

# Catalog of Federal Domestic Assistance



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# Introduction

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## Catalog of Federal Domestic Assistance

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

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

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

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

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

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

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

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



For years, GSA has published a printed version of the Catalog of Federal Domestic Assistance (CFDA or Catalog), as required by legislation dating to 1977 and 1983. That same legislation allowed GSA to distribute free copies of the printed Catalog to designated recipients. In fiscal year 2003, nearly 10,000 paper copies of the Catalog were distributed at no cost to the recipients.

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

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

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

## Types Of Assistance

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

- A** Formula Grants - Allocations of money to States or their subdivisions in accordance with distribution formulas prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specific project.
- B** Project Grants - The funding, for fixed or known periods, of specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants.
- C** Direct Payments for Specified Use - Financial assistance from the Federal government provided directly to individuals, private firms, and other private institutions to encourage or subsidize a particular activity by conditioning the receipt of the assistance on a particular performance by the recipient. This does not include solicited contracts for the procurement of goods and services for the Federal government.
- D** Direct Payments with Unrestricted Use - Financial assistance from the Federal government provided directly to beneficiaries who satisfy Federal eligibility requirements with no restrictions being imposed on the recipient as to how the money is spent. Included are payments under retirement, pension, and compensatory programs.
- E** Direct Loans - Financial assistance provided through the lending of Federal monies for a specific period of time, with a reasonable expectation of repayment. Such loans may or may not require the payment of interest.
- F** Guaranteed/Insured Loans - Programs in which the Federal government makes an arrangement to identify a lender against part or all of any defaults by those responsible for repayment of loans.
- G** Insurance - Financial assistance provided to assure reimbursement for losses sustained under specified conditions. Coverage may be provided directly by the Federal government or through private carriers and may or may not involve the payment of premiums.
- H** Sale, Exchange, or Donation of Property and Goods - Programs which provide for the sale, exchange, or donation of Federal real property, personal property, commodities, and other goods including land, buildings, equipment, food and drugs. This does not include the loan of, use of, or access to Federal facilities or property.
- I** Use of Property, Facilities, and Equipment - Programs which provide for the loan of, use of, or access to Federal facilities or property wherein the federally owned facilities or property do not remain in the possession of the recipient of the assistance.
- J** Provision of Specialized Services - Programs that provide Federal personnel directly to perform certain tasks for the benefit of communities or individuals. These services may be performed in conjunction with nonfederal personnel, but they involve more than consultation, advice, or counseling.

- K** Advisory Services and Counseling - Programs which provide Federal specialists to consult, advise, or counsel communities or individuals to include conferences, workshops, or personal contacts. This may involve the use of published information, but only in a secondary capacity.
- L** Dissemination of Technical Information - Programs that provide for the publication and distribution of information or data of a specialized or technical nature frequently through clearinghouses or libraries. This does not include conventional public information services designed for general public consumption.
- M** Training - Programs that provide instructional activities conducted directly by a Federal agency for individuals not employed by the Federal government.
- N** Investigation of Complaints - Federal administrative agency activities that are initiated in response to requests, either formal or informal, to examine or investigate claims of violations of Federal statutes, policies, or procedure. The origination of such claims must come from outside the Federal government.
- O** Federal Employment - Programs that reflect the Governmentwide responsibilities of the Office of Personnel Management in the recruitment and hiring of Federal civilian agency personnel.

## Contents of the Catalog

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

Programs in the Catalog provide information on the:

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

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

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

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

The Catalog does not include:

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



## Organization of the Catalog

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

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

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

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

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

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

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

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

- Private individuals such as Native Americans, homeowners, students, farmers, artists, scientists, consumers, small business, refugees, aliens, veterans, senior citizens, low-income persons, health and education professionals, builders, contractors, developers, handicapped persons, the physically afflicted.

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

Users should also consult the following listings:

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

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

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

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

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

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

Example: 93.259 Mental Health -- Children's Services

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

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

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

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

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

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

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

Example: Project Grants.

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

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

#### **ELIGIBILITY REQUIREMENTS:**

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

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

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

**Beneficiary Eligibility** -- This section lists the ultimate beneficiaries of a program, the criteria they must satisfy and who specifically is not eligible. The applicant and beneficiary will generally be the same for programs that provide assistance directly from a Federal agency. However, financial assistance that passes

through State or local governments will have different applicants and beneficiaries since the assistance is transmitted to private sector beneficiaries who are not obligated to request or apply for the assistance.

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

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

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

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

**Preapplication Coordination** -- This section indicates whether any prior coordination or approval is required with governmental or nongovernmental units prior to the submission of a formal application to the Federal funding agency. For example, programs may require: (1) State agency approval prior to the submission of an application to a Federal agency; (2) the submission of environmental impact information as required by the National Environmental Policy Act of 1969, and Executive Order 11514 of March 4, 1970; (3) coordination with the policies of the recently revised OMB Circular No. A-102, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" (referenced here for construction, land acquisition, and land development projects for which Federal funding exceeds \$100,000); (4) coverage for eligibility under Executive Order 12372, "Intergovernmental Review of Federal Programs"; or (5) a preapplication or preapplication conference. Applicants should also ascertain from the Federal agency the existence of other circular requirements not indicated by this section, and from the State, any State requirements that may be in effect. In cases where E.O. 12372 is not applicable to the program, a disclaimer statement is included referencing the exclusion, e.g., "This program is excluded from coverage under E.O. 12372."

Example: Preapplication consultation with the Substance Abuse and Mental Health Services Administration (SAMHSA) Branch of the HHS Regional Office is not mandatory. Application must be accompanied by evidence of approval and recommendation by the appropriate State agency or agencies. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. This program is excluded from coverage under E.O. 12372.

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

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

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

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

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

**Deadlines** -- When available, this section indicates the deadlines for applications to the funding agency that will be stated in terms of the date(s) or between what dates the application should be received. Reference is made to new applications, continuations, renewals, and supplementals. Application deadline information is also indicated in the Deadlines Index, in the agency's program guidelines, or announced in the Federal Register. Where not available, applicants should contact the funding agency for deadline information.

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

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

Example: From 90 to 120 days.

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

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

**Renewals** -- This section advises the applicant as to whether renewals or extensions of applications are available and indicates the appropriate procedures to follow. In some instances, renewal procedures may be the same as for the application procedure, e.g., for projects of a non-continuing nature renewals will be treated as new, competing applications; for projects of an ongoing nature, renewals may be given annually. Example: This program is renewed annually. Grantees are required to update their plan and submit a current year budget.

#### **ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements** -- This section indicates the formula and matching requirements prescribed in the allocation of funds or maintenance of effort requirements. A formula may be based on population, per capita income, and other statistical factors. Applicants are informed whether there are any matching requirements to be met when participating in the cost of a project. In general, the matching share represents that portion of the project costs not borne by the Federal government. Usually, a minimum



percentage for matching share is prescribed by program legislation, and matching share requirements are included in the grant agreement. Attachment F of OMB Circular No. A-102 sets forth the criteria and procedures for the evaluation of matching share requirements which may be cash or in-kind contributions made by State and local governments or other agencies, institutions, private organizations, or individuals to satisfy matching requirements of Federal grants or loans.

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

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

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

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

**Length and Time Phasing of Assistance** -- This section indicates the time period during which the assistance is normally available, whether there are any restrictions placed on the time permitted to use the funds awarded, and the timing of disbursement of the assistance, e.g., lump sum, annually, quarterly, or as required.

Example: Staffing grants are limited to 8 years by law. Payments are made on a Monthly Cash Request System or under a Letter of Credit.

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

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

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

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

Example: In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of

\$300,000 or more in Federal awards will have an audit made for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

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

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

#### **FINANCIAL INFORMATION:**

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

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

**Obligations** -- The dollar amounts listed in this section represent obligations for the past fiscal year (PY), estimates for the current fiscal year (CY), and estimates for the budget fiscal year (BY) as reported by the Federal agencies. In each succeeding edition of the Catalog, the dollar amounts are revised to reflect changes that may result from supplemental appropriations or amendments. Each program indicates what the obligation figures represent in terms of the type of assistance provided. Obligations for nonfinancial assistance programs indicate the administrative expenses involved in the operation of a program as an indication of the magnitude of the services being provided, or the items involved in obligations.

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

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

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

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

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

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

Example: Interim guidelines available in application kits.

#### **INFORMATION CONTACTS:**

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

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

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

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

**Headquarters Office** -- This section lists names and addresses of the office at the headquarters level with direct operational responsibility for managing a program. A telephone number is provided in cases where a Regional or Local Office is not normally able to answer detailed inquiries concerning a program. Also listed are the name(s) and telephone number(s) of the information contact person(s) who can provide additional program information to applicants.

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

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

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

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

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

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

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

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

**Appendix I -- Programs Requiring Executive Order 12372 Review:**

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

**Appendix II -- Authorization Appendix:**

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

**Appendix III -- Budget Functional Code Appendix:**

This appendix lists programs by the Budget functional classification. The three digits listed are the major and minor functional classifications used to identify the major purpose of the programs.

**Appendix IV -- Agency Regional and Local Office Addresses:**

This appendix lists the names, addresses and telephone numbers of the regional and local offices that should be contacted for detailed information concerning a program and for initiating the process for applying for assistance. In cases where a Federal agency does not have a regional or local office, the headquarters office listed in the program description should be contacted.

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

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

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

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

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

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

# AGENCY INDEX SUMMARY

The following is a summary description of the functions and activities of federal agencies responsible for administering programs listed in the Catalog. The programs (numbers) are also listed with the administering agency.

## DEPARTMENT OF AGRICULTURE

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

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

### **Agricultural Marketing Service (AMS) (10.084, 10.153-10.170, 10.256, 10.290, 10.309, 10.679, 10.860, 10.862)**

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

### **Animal and Plant Health Inspection Service (APHIS) (10.025-10.029)**

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

### **Cooperative State Research, Education, and Extension Service (10.200-10.228, 10.303-10.308, 10.500)**

Participates in a nationwide system of agricultural research program planning and coordination between the States and the Department of Agriculture to encourage and assist in the establishment and maintenance of cooperation within and among the States and between the States and their Federal research partners. The primary function is to administer the Acts of Congress that authorize Federal appropriations for agricultural research carried on by the State agricultural experiment stations of the 50 States, Puerto Rico, Guam, the Virgin Islands, the District of Columbia, American Samoa, and Micronesia the Northern Marinas, approved schools of forestry, the 1890 land-grant institutions and Tuskegee University, colleges of veterinary medicine, and other eligible institutions. The Extension activities of the Cooperative State Research, Education, and Extension Service coordinates and provides administrative, technical, and other services to a nationwide Cooperative Extension System, in partnership with State and local governments and the private sector. The primary function of this system is to take the research findings of the Department of Agriculture, the State Land-Grant Colleges and programs administered by the Department of Agriculture, and to develop and deliver informal, out-of-school educational programs. These programs communicate and demonstrate to people how they can apply research findings to identify and solve farm, home, and community problems. This work is carried out through extension offices in each State, Puerto Rico, Guam, the Virgin Islands, the District of Columbia, American Samoa, and Micronesia, plus 16, 1890 land-grant universities and Tuskegee University as the State partner.

### **Economic Research Service (10.250-10.255)**

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

### **Farm Service Agency (FSA) (10.051-10.069, 10.073-10.082, 10.404, 10.406, 10.407, 10.421, 10.435, 10.437, 10.407, 10.421, 10.435, 10.437, 10.443, 10.449-10.451, 10.452, 10.994-10.999)**

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

### **Assistant Secretary for Administration (10.443)**

Through leadership and partnership with USDA agencies: ensure the provision of information, technical assistance, and training to all USDA customers with emphasis on under-served populations, to assure they have full access to all USDA programs and services.

### **Food and Nutrition Service (FNS) (10.551-10.582)**

Administers programs to make food assistance available to people who need it. These programs are operated in cooperation with State and local governments.

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

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

### **Foreign Agricultural Service (FAS) (10.600-10.604, 10.606-10.609, 10.960-10.962)**

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

### **Forest Service (10.652-10.684)**

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

### **Grain Inspection, Packers and Stockyard Administration (GIPSA) (10.800)**

Maintains effective competition and fair trade practices in the marketing of livestock, poultry for the protection of livestock and poultry producers.

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

Agricultural estimates involve collecting, analyzing, and publishing agricultural



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

#### **Natural Resources Conservation Service (NRCS) (10.070, 10.072, 10.901-10.923)**

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

#### **Risk Management Agency (RMA)/Federal Crop Insurance Corporation (FCIC) (10.450, 10.454, 10.455-10.459)**

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

RMA, via the FCIC, provides crop insurance to American producers. Private-sector insurance companies sell and service the policies. RMA develops and/or approves the premium rate, administers premium and expense subsidy, approves and supports products, and reinsures the insurance companies.

RMA through the formation of partnerships with public and private organizations fund projects that:

(A) Create new products, seek enhancements in existing products, and expand the use of non-insurance risk management tools that will be utilized by agricultural producers to assist them in mitigating the risks inherent in agricultural production. Risk management tools include a variety of risk management options and strategies developed to assist producers in mitigating the risks inherent in agricultural production. Risk management tools may include financial management tools to mitigate price and production risks; tools to enhance measurement and prediction of risks in order to facilitate risk diversification; tools to improve production management, harvesting, record keeping or marketing.

(B) Provide women, limited resource, socially disadvantaged, and other traditionally underserved producers of Priority Commodities with risk management training, informational opportunities, and assistance necessary to understand:

- (1) The kind of risks addressed by existing and emerging risk management tools;
- (2) The features and appropriate use of existing and emerging risk management tools; and
- (3) How to make sound risk management decisions.

(C) Deliver crop insurance education and information to U.S. agricultural producers in certain States that have been designated as historically underserved with respect to crop insurance. The states, collectively referred to as Targeted States, are Connecticut, Delaware, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming.

(D) Deliver risk management education and information in the management of

production, marketing, and financial risk to U.S. agricultural producers. The program gives priority to educating producers of crops currently not insured under Federal crop insurance, specialty crops, and underserved commodities, including livestock and forage.

#### **Rural Business-Cooperative Service (RBS) (10.350-10.352, 10.405, 10.140-10.420, 10.427, 10.433, 10.438, 10.441-10.446, 10.760-10.886)**

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

#### **Rural Housing Service (RHS) (10.405, 10.410, 10.411, 10.415, 10.417, 10.420, 10.427, 10.433, 10.438, 10.441, 10.442, 10.444-10.446, 10.766)**

Provides credit to families and communities that still do not have effective access to credit because of the isolated nature or small scale of the rural market and provides subsidies to those low income families and communities that could not otherwise afford rent or debt service payments.

#### **National Sheep Industry Improvement Center (10.774)**

To assist the U.S. sheep and goat industries by strengthening and enhancing the production and marketing of sheep and goats and their products in the United States.

#### **Community Outreach and Assistance Partnership Program**

### **DEPARTMENT OF COMMERCE**

#### **Bureau of the Census (11.001-11.006)**

Conducts decennial censuses of population and housing; quinquennial censuses of State and local governments, manufacturers, mineral industries, distributive trades, construction industries, and transportation; current surveys which provide information on many of the subjects covered in the censuses at weekly, monthly, quarterly, annual, or other intervals; compilation of current statistics on U.S. foreign trade, including data on imports, exports, and shipping; conducts special censuses at the request and expense of State and local government units; publishes estimates and projections of the population and housing characteristics; issues current reports on manufacturing, retail and wholesale trade, selected services, construction, imports and exports, State and local government finances and employment, and other subjects; and makes searches of decennial census records and furnishes transcripts to individuals for use as evidence of age, relationship, or place of birth.

#### **Economics and Statistics Administration (ESA) (11.025, 11.026)**

Provides a clear picture of the U.S. economy through the preparation, development, and interpretation of the national income and product accounts, summarized by the gross national product (GNP); the wealth accounts, which show the business and other components of national wealth; the input-output accounts, which trace the interrelationships among industrial markets; personal income and related economic series by geographic area; the U.S. balance of payments accounts and associated foreign investment accounts; and measures relating to environmental change and to welfare within the framework of the national economic accounts. The data and analyses prepared are disseminated mainly through its monthly publications, the Survey of Current Business, and Business Conditions Digest.

#### **International Trade Administration (ITA) (11.106-11.113)**

Promotes world trade and strengthens the international trade and investment position of the United States.

#### **Bureau of Industry and Security (BIS) (11.150)**

The activities of the Bureau of Industry and Security in the Department of Commerce are designed to enforce U.S. export trade laws consistent with national security, foreign policy, and short supply objectives. The program strives to achieve a balance between the interests of U.S. exporters, the U.S. economy and U.S. national security requirements.

#### **Economic Development Administration (EDA) (11.300-11.313)**

The EDA's mission is to lead the federal economic development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy.

#### **National Oceanic and Atmospheric Administration (NOAA) (11.400-11.481)**

Reports the weather of the U.S. and its possessions and provides weather forecasts to the general public, issues warnings against such destructive natural events as hurricanes, tornadoes, floods, and tsunamis and provides special services in support of aviation, marine activities, agriculture, forestry, urban air-quality control, and other weather-sensitive activities; monitors and reports all nonfederal weather modification activities conducted in the U.S.; conducts an integrated program of management, research, and services related to the protection and rational use of living

marine mammals; prepares and issues nautical and aeronautical charts, provides the Nation's precise geodetic surveys, and conducts broad research programs in marine and atmospheric sciences, solar-terrestrial physics, and experimental meteorology, including weather modifications; predicts tides, currents, and the state of the oceans, conducts research and development aimed at providing alternatives to ocean dumping; provides Federal leadership in promoting wise and balanced management of the Nation's coastal zone; provides satellite observations of the environment by establishing and operating a national environmental satellite system; conducts integrated program of research and services relating to the oceans and inland waters, the lower and upper atmosphere, space environment, and the earth; acquires, stores, and disseminates worldwide environmental data through a system of meteorological, oceanographic, geodetic, and seismological data centers; develops a system of data buoys for automatically obtaining and disseminating marine environmental data; promotes the development of technology to meet future needs of the marine community.

#### **National Telecommunications and Information Administration (NTIA) (11.550-11.556)**

Exercises significant responsibility in the areas of communication security, privacy protection, and the application of public service satellites, public telecommunications facilities planning and construction; formulates policies to support the development, growth and regulation of telecommunications, information, and related industries; furthers the efficient development and use of telecommunications and information services; provides policy and management for the use of electromagnetic spectrum; provides telecommunications facilities grants to public service users.

#### **National Institute of Standards and Technology (NIST) (11.601-11.617)**

NIST's mission is to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. This mission is carried out through four major programs: the NIST Laboratories, the Advanced Technology Program (ATP), the Hollings Manufacturing Extension Partnership (MEP) program, and the Baldrige National Quality Program.

The NIST Laboratories maintain world-class expertise in measurements, standards, data evaluation, and test methods and conduct research that advances the Nation's technology infrastructure and is needed by U.S. industry. The NIST Laboratories also provide a wide range of technology services, including standard reference materials and data, information on national and international standards, laboratory accreditation, and equipment calibration.

ATP is a rigorously competitive cost-sharing program that has provided R&D funds to U.S. businesses and industry-led joint ventures to accelerate early-stage development of high-risk, broad-impact technologies that promise widespread benefits for the economy. The President's budget request for fiscal year 2008 proposes no new funding for ATP.

The Hollings MEP program works to raise the productivity and competitiveness of smaller U.S. manufacturers by providing information, decision support, and implementation assistance in adopting advanced manufacturing technologies, techniques, and business best practices through a network of local manufacturing extension centers which are linked to state, university, and private sources of technology and expertise.

The Baldrige National Quality Program promotes performance excellence among U.S. manufacturers, service companies, educational institutions, health care providers, and nonprofit organizations through outreach programs and the Malcolm Baldrige National Quality Award, which recognizes performance excellence and quality achievement.

#### **National Technical Information Service (NTIS) (11.650)**

Simplifies and improves public access to Department of Commerce publications and to data files and scientific and technical reports sponsored by Federal agencies. NTIS is the central point in the United States for the public sale of Government-funded research and development reports and other analyses prepared by Federal agencies, their contractors, or grantees. The public may quickly locate abstracts of interest from among the 650,000 federally sponsored research reports completed and published from 1964 by using the agency's on-line computer search service (NTI Search). Current abstracts of new research reports and other specialized technical information in various categories of interest are published in some 26 weekly abstract newsletters. An all-inclusive biweekly journal (Government Reports Announcements and Index) is published for librarians, technical information specialists, and those requiring such comprehensive volumes.

#### **Office of the Secretary (11.702, 11.900)**

The General Administration account within the Office of the Secretary provides funding for the Secretary, Deputy Secretary and support staff. Responsibilities involve policy development and implementation affecting U.S. and international activities as well as establishing the internal goals and operations of the Department. The functions include serving as the primary liaison with the Executive Branch, and

Congressional and private sector groups, and acting as the management and administrative control point for the Department.

#### **Minority Business Development Agency (MBDA) (11.800-11.803)**

Assists minority businesses in achieving effective and equitable participation in the American free enterprise system and in overcoming social and economic disadvantages that have limited their participation in the past. The agency provides national policies and leadership in forming and strengthening a partnership of business, industry, and government with the Nation's minority businesses. Management and technical assistance is provided to minority firms on request, primarily through a network of local business development organizations funded by the Agency.

#### **Patent and Trademark Office (PTO) (11.900)**

Examines applications for three kinds of patents: design patents, plant patents, and utility patents (issued for 20 years from date of filing). Also processes international applications for patents under the provisions of the Patent Cooperation Treaty. In addition to the examination of patent and trademark applications, issuance of patents, and registration of trademarks, the Office sells printed copies of issued documents; records and indexes documents transferring ownership; maintains a scientific library and search files containing over 20 million documents, including U.S. and foreign patents and U.S. trademarks; provides search rooms for the public to research their applications; hears and decides appeals from prospective inventors and trademark applicants; participates in legal proceedings involving the issue of patents or trademark registrations; helps represent the United States in international efforts to cooperate on patent and trademark policy.

### **DEPARTMENT OF DEFENSE**

#### **Defense Logistics Agency (DLA) (12.002, 12.614)**

Provides effective and economical support to the military services, other Department of Defense components, Federal civil agencies, foreign governments, and others as authorized, for assigned material commodities and items of supply, logistics services directly associated with the supply management function, contract administration services, and other support services as directed by the Secretary of Defense.

#### **Department of the Army, Office of the Chief of Engineers (12.100-12.116)**

Civil functions of the Department of the Army include the Civil Works Program, the administration of Arlington and Soldiers' Home National Cemeteries, and other related matters. The Army's Civil Works Program, a responsibility of the Corps of Engineers is the Nation's major Federal water resources development activity and involves engineering works such as major dams, reservoirs, levees, harbors, waterways, locks, and many other types of structures. These works provide flood protection for cities and major river valleys, reduce the cost of transportation, supply water for municipal and industrial use, generate hydroelectric power, provide recreational opportunities for vast numbers of people, regulate the rivers for many purposes including the improvement of water quality and the enhancement of fish and wildlife, protect the shores of the oceans and lakes, and provide still other types of benefits. Planning assistance is also provided to States and other nonfederal entities for the comprehensive management of water resources, including pollution abatement works. In addition, through the Civil Works Program the Federal government protects the navigable waters of the United States under legislation empowering the Secretary of the Army to prohibit activities which would reduce the value of such waters to the Nation.

#### **Department of the Navy, Office of the Chief of Naval Research (12.300, 12.350)**

Includes two lead offices: the Office of Naval Research and the Office of Naval Technology. The Chief of Naval Research is responsible for the Department of Navy Research (6.1) and Exploratory Development (6.2) Programs. The Chief of Naval Research is responsible to the Secretary of the Navy through the Assistant Secretary (Research, Engineering and Systems) and is a principal adviser to the latter. The Chief of Naval Research is also responsible for providing leadership, management, and direction to the Department of Navy research and exploratory development programs and other research, development, technology, and equipment programs assigned to and conducted by the Office of the Chief of Naval Research; developing and formulating viable and responsive naval research and technology requirements based on current and projected Navy and Marine Corps long-range objectives and considerations of national security; and coordinating naval research and promoting cooperative research efforts within the Department of the Navy with other elements of the Department of Defense, National Science Foundation, National Aeronautics and Space Administration, Department of Energy, and other government research groups. The Office of Naval Research also conducts research in conjunction with the research and development conducted by other Department of Navy activities, coordinates the Naval Basic Research Program, and conducts a contract management program with educational institutions in support of all Federal agencies. The Office of Naval Technology, established in October 1980, manages the Department of

Navy's Exploratory Development (6.2) Program, assessing, planning, programming, budgeting, directing, and monitoring the program, and manages the oversight activities in regard to the Industrial Independent Research and Development Program.

#### **National Guard Bureau (12.400-12.401)**

Provides a combat-ready reserve force and facilities for training and administering the Army National Guard units in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and the Virgin Islands.

#### **U.S. Army Medical Command (12.420)**

The Commanding General, United States Army Medical Command, performs health services for the Army within the United States, and, as directed, for other governmental agencies and activities. Responsibilities include command of the Army hospital system within the United States and other organizations, units, and facilities as directed; medical professional education for Army personnel; health promotion and wellness for all beneficiaries; medical research and development; and development of medical doctrine, concepts, organizations, materiel requirements, and systems in support of the Army.

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

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

#### **Office of the Assistant Secretary (Strategy and Requirements) (12.550-12.555)**

Principal advisor to the Under Secretary of Defense (Policy) and the Secretary of Defense on national security strategy and defense strategy and in the requirements, forces and contingency plans necessary to implement those strategies.

#### **Office of Economic Adjustment (12.607-12.611)**

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

#### **Office of the Secretary (12.351-12.360, 12.630)**

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

#### **Secretaries of Military Departments (12.700)**

Donates or lends obsolete combat material to veterans' organizations, soldiers' monument associations, State museums, incorporated museums, and incorporated municipalities.

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

The Air Force Materiel Command researches, develops, tests, acquires, delivers, and logistically supports every Air Force weapons system. It has responsibilities from inception of a weapons system through its operational life and final disposition. The Air Force Materiel Command operates major product centers, logistics centers, test centers, and laboratories. It was created in July 1992 through the integration of the Air Force Logistics Command and the Air Force Systems Command.

#### **National Security Agency (12.900-12.902)**

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

Service. The Agency has three primary missions: an information systems security mission, an operations security training mission, and a foreign intelligence information mission.

#### **Defense Advanced Research Projects Agency (12.910)**

The Defense Advanced Research Projects Agency is a separately organized agency within the Department of Defense under a Director appointed by the Secretary of Defense. The Agency engages in advanced, basic, and applied research and development projects essential to the Department of Defense, and conducts prototype projects that embody technology that may be incorporated into joint programs, programs in support of deployed U.S. forces, or selected Military Department programs and, on request, assists the Military Departments in their prototype efforts. In this regard, the Agency arranges, manages, and directs the performance of work connected with assigned advanced projects by the Military Departments, other government agencies, individuals, private business entities, as appropriate; recommends through the Under Secretary of Defense for Acquisition to the Secretary of Defense assignment of advanced projects to the Agency; keeps the Under Secretary, the Organization of Joint Chiefs of Staff, the Military Departments, and other Department of Defense agencies informed on significant new developments and technological advances within assigned projects; and performs other such functions as the Secretary of Defense or the Under Secretary may assign.

### **DEPARTMENT OF EDUCATION**

#### **Office of the Secretary (ED) (84.002-84.354, 84.357-84.569)**

The Secretary of Education advises the President on education plans, policies, and programs of the Federal government. The Secretary directs Department staff in carrying out the approved programs and activities of the Department and promotes general public understanding of the Department's goals, programs, and objectives. The Secretary also carries out certain Federal responsibilities for four federally aided corporations: The American Printing House of the Blind, Gallaudet University, Howard University, and the National Technical Institute for the Deaf.

#### **Office of Bilingual Education and Minority Languages Affairs**

Administers programs designed to fund activities that assist students with limited English proficiency and minority languages populations by providing support for programs, activities, and management initiatives meeting the special educational needs of those populations.

#### **Office of Educational Research and Improvement (84.203-84.206,84.015,84.086-84.087,84.095,84.304-84.305)**

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

#### **Office of Elementary and Secondary Education**

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

#### **Office of Postsecondary Education**

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

#### **Office of Special Education and Rehabilitative Services**

Provides leadership to ensure that people with disabilities have services, resources, and equal opportunities to learn, work, and live as fully integrated, contributing members of society. The Office coordinates the activities of the Office of Special Education Programs, which works to help States provide quality educational opportunities and early intervention services to help students with disabilities achieve their goals. Through the Rehabilitation Services Administration, the Office supports State vocational rehabilitation programs that give disabled people the education, job training, and job placement services they need to gain meaningful employment. Programs include support for training of teachers and other professional personnel; grants for research; financial aid to help States initiate, expand, and improve their resources; and media services and captioned films for the deaf.



### **Office of Student Financial Assistance**

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

### **Office of Vocational and Adult Education**

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

### **Regional Offices**

Each regional office serves as a center for the dissemination of information and provides technical assistance to State and local educational agencies and other institutions and individuals interested in Federal education activities. At present, offices are located in 10 cities: Atlanta, Boston, Chicago, Dallas, Denver, Kansas City, New York, Philadelphia, San Francisco, and Seattle.

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

### **The Secretary of Health and Human Services (OS) (93.001-93.018,93.088,93.100,93.239,93.252,93.290-93.296,93.775)**

The Secretary of HHS advises the President on health, welfare, and income security plans, policies, and programs of the Federal government. The Secretary administers these functions through the Office of the Secretary and the Department's 11 operating divisions, including a budget of \$460 billion and a workforce of 65,000 employees.

### **Administration for Children and Families (ACF)**

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

### **Administration on Aging (AOA) (93.041-93.054)**

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

### **Agency for Healthcare Research and Quality (AHRQ)**

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

### **Agency for Toxic Substances and Disease Registry (ATSDR) (93.161,93.202-93.208,93.240)**

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

### **Centers for Disease Control and Prevention (CDC)**

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

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

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

### **Centers for Medicare and Medicaid Services (CMS) formerly the Health Care Financing Administration (HCFA) (93.760-93.794)**

Administers the Medicare and Medicaid programs, that provide health care to

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

### **Health Resources and Services Administration (HRSA)**

Helps provide health resources for medically underserved populations. HRSA Supports a nationwide network of 643 community and migrant health centers, and 144 primary care programs for the homeless and residents of public housing, serving 8.1 million Americans each year. HRSA also works to build the health care workforce and maintains the National Health Service Corps oversees, the Nation's organ transplantation system, works to decrease infant mortality and improve child health, and provides services to people with AIDS through the Ryan White CARE Act programs.

### **Indian Health Services (IHS)**

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

### **National Institutes of Health (NIH)**

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

### **Program Support Center (PSC)**

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

### **Substance Abuse and Mental Health Services Administration (SAMHSA)**

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

## **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

### **Office of Housing-Federal Housing Commissioner (14.103-14.199; 14.311-14.316, 14.515, 14.876, 14.877)**

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

### **Office of Community Planning and Development (14.218-14.252)**

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

Empowerment Zones and Enterprise Communities.

#### **Office of Fair Housing and Equal Opportunity (14.400-14.415)**

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

#### **Office of Policy Development and Research (14.506-14.520)**

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

#### **Office of Public and Indian Housing (14.850-14.881)**

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

#### **Office of Healthy Homes and Lead Hazard Control (14.900-14.906)**

The Office is responsible for: Increasing awareness of the public and building industry of the dangers of lead-based paint poisoning and the options for detection, risk reduction, and abatement; encouraging the development of safer, more effective, and less costly methods for detection, risk reduction, and abatement; encouraging State and local governments to develop lead-based paint programs covering primary prevention, public education, certification of contractors, hazard reduction, financing, and enforcement.

### **DEPARTMENT OF JUSTICE**

#### **Drug Enforcement Administration (DEA) (16.001-16.004, 16.012, 16.750)**

Enforces the controlled substances laws and regulations, and brings to the criminal and civil justice system of the United States or any other competent jurisdiction, those organizations, and principal members of organizations involved in the cultivation, manufacture, or distribution of controlled substances appearing in or destined for the illicit traffic in the United States. DEA's mission requires it to

provide a leadership role in narcotic and dangerous drug suppression programs at the national and international level.

#### **Office of State and Local Domestic Preparedness Support (OSLDPS) (16.006, 16.010)**

Is responsible for enhancing the capacity and capability of State and local jurisdictions to prepare for and respond to incidents of domestic terrorism involving chemical and biological agents, radiological and explosive devices, and other weapons of mass destruction (WMD). It awards grants for equipment and provides training and technical assistance for State and local first responders.

#### **Civil Rights Division (16.100-16.110, 16.749)**

Enforces the Civil Rights Acts of 1957, 1960, 1964, and 1968; the Voting Rights Act of 1965, as amended; the Equal Credit Opportunity Act; the Americans with Disabilities Act; the National Voter Registration Act; the Uniformed and Overseas Citizens Absentee Voting Act; the Voting Accessibility for the Elderly and Handicapped Act; and additional civil rights provisions contained in other laws and regulations. These laws prohibit discrimination in education, employment, credit, housing, public accommodations and facilities, voting, and certain federally funded and conducted programs. In addition, the Division prosecutes actions under several criminal civil rights statutes which were designed to preserve personal liberties and safety. The Division also enforces the Civil Rights of Institutionalized Persons Act of 1980, which authorizes the Attorney General to seek relief for persons confined in public institutions where conditions exist that deprive residents of their constitutional rights; the Freedom of Access to Clinic Entrances Act; the Police Misconduct Provision of the Violent Crime Control and Law Enforcement Act of 1994; and, Section 102 of the Immigration Reform and Control Act of 1986, as amended, which prohibits discrimination on the basis of national origin and citizenship status as well as document abuse and retaliation under the Immigration and Nationality Act.

#### **Community Relations Service (CRS) (16.200)**

Provides onsite conflict resolution and violence prevention assistance through its field staff of mediators and conciliators stationed in 10 regional offices and 4 field offices. Under its mandate, CRS responds to requests for services or offers assistance on a voluntary basis when there are community conflicts or violence related to race, color, or national origin. CRS helps to resolve disputes and conflicts and supports communities in developing local mechanisms to address conflicts. Primary CRS activities include the use of conciliation and/or mediation processes to settle differences through common understanding and voluntary action. Each process is composed of certain specialized techniques designed to deal with complex racial and ethnic issues. The goal of each is the immediate reduction of community tension and the establishment of viable alternatives for resolving difficulties short of coercion or litigation.

#### **Federal Bureau of Investigation (FBI) (16.300-16.309)**

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

#### **Immigration and Naturalization Service (INS) (16.400)**

Administers the immigration and naturalization laws relating to the admission, exclusion, deportation, and naturalization of aliens. Specifically, the Service inspects aliens to determine their admissibility into the United States; adjudicates requests of aliens for benefits under the law; guards against illegal entry into the United States; investigates, apprehends, and removes aliens in this country in violation of the law; and examines alien applicants wishing to become citizens. Through offices in the United States and in other areas around the world, the Service provides information and counsel to those seeking U.S. citizenship. Through numerous enforcement activities, such as the Border Patrol, the Service protects the national security of the United States and the welfare of those legally residing here. In addition to citizenship and immediately related matters, the Service, in cooperation with other Federal, State, and local law enforcement agencies, works to stem the inflow of illegal drugs.

#### **Violence Against Women Office (16.013-16.019, 16.524-16.529, 16.556, 16.557, 16.587-16.590, 16.736)**

The mission is to restructure and strengthen the criminal justice system's response to crimes of violence committed against women, in particular, domestic violence, sexual assault, and stalking, and enhance the services available to victims of such violence



through the award of formula and discretionary grants to States, units of local government, Indian tribal governments, and other public and private entities in rural States.

#### **Office of Justice Programs (OJP)**

Provides policy coordination and general management authority over the Office of Justice Programs, which includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. While each OJP Bureau and Office retains independent authority in awarding funds to carry out its programs, together these components function as a single agency whose goal is to promote innovative programs and to foster improvements in the Nation's criminal and juvenile justice systems.

#### **Office of Juvenile Justice and Delinquency Prevention (OJJDP) (16.523, 16.540-16.548, 16.727-16.731, 16.735, 16.737)**

Federal leadership in responding to the problems confronting the Nation's juvenile justice system is vested in the Office of Juvenile Justice and Delinquency Prevention (OJJDP). Established in 1974 by the Juvenile Justice and Delinquency Prevention Act, OJJDP is the Federal agency responsible for providing a comprehensive, coordinated approach to preventing and controlling juvenile crime and improving the juvenile justice system. OJJDP administers State Formula grants, State Challenge Grants, and the Title V Community Prevention Grants in States and territories; funds gang and mentoring programs under Parts D and G of the Act; funds numerous projects through its Special Emphasis Discretionary Grant Program and its National Institute for Juvenile Justice and Delinquency Prevention; and coordinates Federal activities related to juvenile justice and delinquency prevention. OJJDP also serves as the staff agency for the Coordinating Council on the Juvenile Justice and Delinquency Prevention, coordinates the concentration of the Federal Efforts Program, and administers both the Title IV Missing and Exploited Children's Program and programs under the Victims of Child Abuse Act of 1990.

#### **Bureau of Justice Statistics (BJS) (16.550,16.554, 16.734, 16.739)**

The primary source for justice statistics in the United States. BJS collects analyzes, publishes, and disseminates information on crime, criminal offenders, victims of crime, and the operation of justice systems at all levels of government. BJS maintains more than two dozen major data collection series and publishes a wide variety of reports annually which receive nationwide distribution. Core statistical efforts include annual data on criminal victimization, populations under correctional supervision, federal criminal offenders, federal case processing, and criminal Justice expenditures and employment. Periodic data series are undertaken to provide statistical information on felony convictions, state court case processing, the composition and characteristics of correctional populations, prosecutorial practices and policies, and the administration of law enforcement agencies and correctional facilities. BJS conducts special studies and analyses on policy relevant issues and emerging areas in interest. In addition, BJS provides financial and technical support to State and local governments in developing capabilities in criminal justice statistics and improving their criminal history records and information systems.

#### **National Institute of Justice (NIJ) (16.560-16.566, 16.741,16.742,16.748)**

Supports basic and applied research into criminal justice issues. Innovative approaches to controlling criminal behavior and improving law enforcement and criminal justice are tested and evaluated. Research results are disseminated through a wide variety of mechanisms including the quarterly "NIJ Reports" and a Research in Brief series designed for policy makers and criminal justice professionals. The Institute maintains a national and international clearinghouse on criminal justice issues. Its services are available to policymakers, criminal justice professionals, and the general public.

#### **Bureau of Justice Assistance (BJA) (16.571, 16.578-16.580, 16.606-16.616, 16.738-16.753)**

Administers programs designed to assist State and local governments with drug, crime, and violence control and prevention efforts, as well as criminal justice system improvements. The Edward Byrne Memorial State and Local Law Enforcement Assistance Program, which was established by the Anti-Drug Abuse Act of 1986, provides assistance to States to subgrant funds to locals in 26 broad purpose areas, as well as limited discretionary grant funds. The Public Safety Officers' Benefits Programs, the Regional Information Sharing Systems, the State Criminal Alien Assistance Program, and the Local Law Enforcement Block Grants Program are also part of BJA's portfolio. Through its programs, BJA serves as a partner with State and local criminal justice systems. Program innovations of State and locals from across the country are tested, translated into implementation strategies, and demonstrated. Training and technical assistance on program development, implementation, evaluation, and site specific problems are available to State and local agencies. Currently, BJA is providing broad assistance in the areas of community justice and strategic planning.

#### **Office of Victims of Crime (OVC) (16.320, 16.321, 16.575-16.576, 16.582-16.583, 16.747)**

The mission is to enhance the Nation's capacity to assist crime victims and to provide leadership in changing attitudes, policies, and practices to promote justice and healing for all victims of crime. OVC works with national, international, State, military, and tribal victim assistance and criminal justice agencies, as well as other professional organizations, to promote fundamental rights and comprehensive services for crime victims. OVC improves the criminal justice system response to victims of crime, including Native American crime victims, through the delivery of direct service and funding, training and technical assistance, and through monitoring the implementation of statutes providing victims rights and assistance.

#### **Drug Court Program Office (DCPO) (16.585)**

The mission is to improve public safety and reduce criminal recidivism through the support of drug court programs that intensively supervise drug treatment of drug addicted, non-violent offenders.

#### **Corrections Program Office (CPO) (16.202,16.203,16.586, 16.593, 16.596)**

The mission of the Violent Offender Incarceration and Truth-In- Sentencing program is to enhance the ability of states to confine more violent offenders for longer periods of time and to encourage states to implement of truth-in-sentencing laws.

#### **Executive Office for Weed and Seed (16.595)**

Provides a coordinative function in bringing together Federal, State and local governments, the community, and the private sector to form a partnership to create a safe, drug-free environment. The core elements of the Weed and Seed strategy are enhanced law enforcement; community policing as a bridge between law enforcement and social revitalization efforts; prevention, early intervention, and treatment efforts; and neighborhood restoration, including opportunities for economic development. Weed and Seed is primarily a strategy rather than a grant program.

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

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

#### **Office of Community Oriented Policing Services (16.710)**

The Office seeks to expand the number of police officers and improve cooperative efforts between law enforcement agencies and members of the community to enhance public safety. The agency provides grants which fund new officers' salaries, training in community policing and problem- solving, and other innovative programs designed to bring law enforcement agencies into partnership with members of the community to address local crime problems.

#### **Office of the Police Corps and Law Enforcement Education (OPCLEE) (16.712)**

Provides college educational assistance to students who commit to public service in law enforcement and scholarships with no service commitment to dependents of law enforcement officers who died in the line of duty.

### **DEPARTMENT OF LABOR**

#### **Bureau of Labor Statistics (BLS) (17.002-17.005, 17.807)**

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

### **Office of Labor-Management Standards (LMS) (17.140)**

The Office of Labor-Management Standards conducts criminal and civil investigations to safeguard the financial integrity of unions and to ensure union democracy, and conducts investigate audits of labor unions to uncover and remedy criminal and civil violations of the Labor-Management Reporting and Disclosure Act and related studies.

### **Employee Benefits Security Administration (17.150)**

The Employee Retirement Income Security Act of 1974 (ERISA), (88 Stat. 829; 29 U.S.C. 1001 note), requires administrators of private pension and welfare plans to provide plan participants with easily understandable summaries of plans; to file those summaries in the Office of Pension and Welfare Benefit Programs; and to report annually on the financial operation of the plans and bonding of persons charged with handling plan funds and assets. Plan Administrators must also meet strict fiduciary responsibility standards which are enforced by the Office of Pension and Welfare Benefit Programs. Vesting, participation, and funding standards are, for the most part, administered by the Internal Revenue Service.

### **Employment and Training Administration (ETA) (17.201-17.274)**

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

### **Employment Standards Administration (ESA) (17.301-17.310)**

Administers and directs employment standards programs dealing with: minimum wage and overtime standards; registration of farm labor contractors; determining prevailing wage rates to be paid on Government contracts and subcontracts; nondiscrimination and affirmative action for minorities, women, veterans, and handicapped workers on Government contracts and subcontracts; and workers' compensation programs for Federal and certain private employers and employees and, administers provisions of various laws that seek to ensure basic standards of

democracy and fiscal responsibility in labor organizations representing employees in private industry, in the U.S. Postal Service, and in certain Federal employee organizations.

### **Occupational Safety and Health Administration (OSHA) (17.500-17.505)**

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

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

Develops and promulgates mandatory safety and health standards, ensures compliance with such standards, assesses civil penalties for violations, investigates accidents, cooperates with and provides assistance to the States in the development of effective State mine safety and health programs, improves and expands training programs in cooperation with the States and the mining industry, and, in coordination with the Department of Health and Human Services contributes to the improvement and expansion of mine health research and development. All of these activities are aimed at preventing and reducing mine accidents and occupational diseases in the mining industry.

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

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

### **Office of the Assistant Secretary for Veterans' Employment and Training (17.801-17.806)**

The Office of the Assistant Secretary for Veterans' Employment and Training (VETS) is responsible for the administration, formulating and implementation of policy and procedures affecting veterans as well as veterans' employment and training programs nationwide. VETS serves as a national leader on Veterans policy and procedure to the Department of Labor (DOL) and other Federal agencies. VETS fulfills a wide range of obligations prescribed by the Secretary of Labor regarding the employment and training needs of service-connected disabled veterans, Vietnam-era veterans, and veterans recently separated from military service. The VETS staff works closely with and provides technical assistance to State Employment Security Agencies and Job Training Partnership Act grant recipients to ensure that veterans are provided the priority services required by law. They also coordinate with employers, labor unions, veterans' service organizations, and community organizations through planned public information and outreach activities. Federal contractors are provided management assistance in complying with their veterans affirmative action and reporting obligations. Also administered by the Assistant Secretary through the Service is the Job Training Partnership Act, Title IV, Part C grant program designed to meet the employment and training needs of service-connected disabled veterans, Vietnam-era veterans, and veterans recently separated from military service. Job Training Partnership Act grants are awarded and monitored through the Services' national office and field staff. The Assistant Secretary also administers through the Service the Homeless Veterans Reintegration project grant program to provide employment, training, housing assistance, and supportive services to help homeless veterans reenter mainstream society. Homeless Veterans Reintegration Project grants are awarded and monitored through the Services' national office and field staff. Certain other Service staff also administer the veterans Uniformed Services Employment and Reemployment Rights Act program. They provide assistance to help restore job, seniority, and pension rights to veterans following absences from work for active military service and to protect employment and retention rights of members of the Reserve or National Guard. Other staff provide assistance to preference eligible veterans to ensure that they are not denied their veterans' preference benefits (preference in Federal government hiring and preference retention in reduction in force (RIF), under the Veterans Employment Opportunities Act (VEOA)).

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

The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP was established to bring a heightened, permanent focus to address the significant employment obstacles faced by individuals with disabilities and to ensure coordination among Federal agencies on matters related to or affecting people with disabilities. ODEP's research provides new knowledge used to develop

evidence-based disability employment policies and practices for dissemination to workforce systems and partners. ODEP works to achieve its mission through collaborating on inter- and intra-agency initiatives, commissions, councils, and workgroups; building partnerships with Federal, state, local, and non-governmental stakeholders; reviewing Federal legislation and policies; designing and conducting research studies; highlighting and promoting policies and practices that increase the employment of people with disabilities; and implementing education and outreach initiatives. ODEP's stakeholders include Federal, state, and local government agencies, private and public employers and their employees, educational and training institutions, individuals with disabilities and their families, and the disability community.

#### **longshore and harbor workers' compensation**

### **DEPARTMENT OF STATE**

#### **Office of the Legal Advisor (19.200-19.201)**

The Legal Advisor is the principal adviser to the Secretary and to the Department on all legal matters with which the Department and overseas posts are concerned.

#### **Bureau of Oceans and International Environmental and Scientific Affairs (19.204)**

Provides for the reimbursement of losses incurred as a result of the seizure of United States commercial fishing vessels by a foreign country in territorial waters or on the high seas not recognized by the United States.

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

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

#### **Bureau of Educational and Cultural Affairs (19.400-19.432)**

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

### **DEPARTMENT OF THE INTERIOR**

#### **Bureau of Indian Affairs (BIA) (15.020-15.108, 15.113-15.130, 15.141-15.147)**

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

#### **Bureau of Land Management (BLM) (15.214-15.242)**

Has responsibility for the total management of 341 million acres of public lands located primarily in the Far West and Alaska and scattered parcels located in other States. In addition to minerals management responsibilities on the public lands and the Outer Continental Shelf, the Bureau is responsible for subsurface resource management of an additional 169 million acres where mineral rights have been reserved to the Federal Government. Resources managed by the Bureau include timber, minerals, oil and gas, geothermal energy, wildlife habitat, endangered plant and animal species, rangeland vegetation, recreation and cultural values, wild and scenic rivers, designated conservation and wilderness areas, and open space; provides for the protection (including fire suppression), orderly development, and use of public lands and resources under principles of multiple use and sustained yield. Land use plans are developed with public involvement to provide orderly use and development while maintaining and enhancing the quality of the environment; manages watersheds to protect soil and enhance water quality; makes land available through sale to individuals, organizations, local governments, and other Federal agencies when such transfer is in the public interest. Lands may be leased to State and local government agencies and to nonprofit organizations for certain purposes; the Bureau issues rights-of-way, in certain instances, for crossing Federal lands under other agencies' jurisdictions; is responsible for the survey of Federal lands and establishes and maintains public land records and records of mining claims; and also administers a program of payments in lieu of taxes based on the amount of Federally-

owned land in counties and other units of local government.

#### **Office of Surface Mining Reclamation and Enforcement (15.250-15.255)**

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

#### **Bureau of Reclamation (15.504-15.534)**

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

#### **Fish and Wildlife Service (15.602-15.655)**

The U.S. Fish and Wildlife Service is the principal Federal agency responsible for conserving, protecting and enhancing fish, wildlife and plants and their habitats for the continuing benefit of the American people. The Service manages the 95 million acres National Wildlife Refuge System, which encompasses 542 national wildlife refuges, thousands of small wetlands and other special management areas. It also operates 69 national fish hatcheries, 64 Fisheries Resource offices and 78 ecological services field stations. The agency enforces federal wildlife laws, administers the Endangered Species Act, manages migratory bird populations, restores nationally significant fisheries, conserves and restores wildlife habitat such as wetlands, and helps foreign governments with their conservation efforts.

#### **Geological Survey (15.805-15.816, 15.978)**

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

#### **Indian Arts and Crafts Board (15.850)**

Encourages and promotes the development of American Indian and Alaska Native arts and crafts.

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

Promotes the economic, social, and political development of the territories of Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and the Freely Associated States.

#### **National Park Service (15.406, 15.407, 15.904-15.931)**

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

### **DEPARTMENT OF THE TREASURY**

#### **Internal Revenue Service (IRS) (21.003-21.008)**

Administers and enforces the Internal Revenue laws and related statutes, except those relating to alcohol, tobacco, firearms, and explosives. The IRS mission is to encourage and achieve the highest possible degree of voluntary compliance with the tax laws and regulations and to conduct itself so as to warrant the highest degree of public confidence in the integrity and efficiency of the Service. Accomplishment of this mission involves advising the public of its rights and responsibilities; communicating requirements of the law to the public; assisting taxpayers in complying with the laws and regulations, and taking those enforcement actions necessary for fair, effective, and impartial tax administration. Basic IRS activities include ensuring satisfactory resolution of taxpayer complaints, providing taxpayer service and education; determination, assessment, and collection of internal revenue taxes; determination of pension plan qualifications and exempt organization status; and preparation and issuance of rulings and regulations to supplement the provisions of the Internal Revenue Code.



### **Under Secretary for Domestic Finance (21.020-21.021)**

Advises and assists the Secretary and Deputy Secretary of the Treasury in the areas of domestic finance, banking, and other related economic matters. These responsibilities include the development of policies and guidance for Treasury Department activities in the areas of financial institutions, Federal debt finance, financial regulation, and capital markets.

### **Bureau of Alcohol, Tobacco and Firearms (21.053)**

Enforces and administers firearms and explosives laws, as well as those covering the production, use, and distribution of alcohol and tobacco products. The objective of the Bureau's programs is to maximize voluntary compliance with these laws, and to minimize willful and involuntary violations of the laws. To achieve these goals, the Bureau is divided into two basic functions: criminal enforcement and regulatory enforcement. The objectives of the criminal enforcement activity are to eliminate illegal possession and use of firearms, destructive devices, and explosives; suppress the interstate trafficking in illicit distilled spirits; suppress the interstate trafficking in contraband cigarettes; and assist State and local law enforcement agencies in reducing crime and violence. The regulatory enforcement activity determines and assures full collection of revenue due from legal alcohol and tobacco industries; fulfills the Bureau's responsibility in the prevention of commercial bribery, consumer deception, and other improper trade practices in the distilled spirits industry; assists other Federal, State, and local governmental agencies in the resolution of problems relating to industrial development, ecology, and revenue protection; ensures that categories of persons prohibited by law from manufacturing, importing, or dealing in firearms and explosives do not obtain a license or permit; ensures that storage facilities for explosives are safe and secure, to avoid presenting a hazard to the public, and that explosives are properly stored in such facilities; and ensures that the audit trail is preserved to permit the tracing of firearms used in the commission of crimes and full accountability for explosive materials.

### **United States Secret Service (21.100)**

Detects and arrests any person committing any offense against the laws of the United States relating to coins, currency, and other obligations, and securities of the United States and of foreign governments; detects and arrests any person violating any of the provisions of Sections 508, 509, and 871 of Title 18 of the United States Code; executes warrants issued under the authority of the United States; carry firearms; and perform such other functions and duties as are authorized by law. In addition, subject to the direction of the Secretary of the Treasury, the United States Secret Service is authorized to protect the person of the President of the United States, the members of his immediate family, the President-elect, the Vice President or other officer next in the order of succession to the Office of President, the immediate family of the Vice President, the Vice-President-elect, major Presidential and Vice-Presidential candidates, former Presidents and their wives during his lifetime, widows of former Presidents until their death or remarriage, and minor children of a former President until they reach age 16, and visiting heads of a foreign state or foreign government.

## **DEPARTMENT OF TRANSPORTATION**

### **Federal Aviation Administration (FAA) (20.100-20.109)**

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

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

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

### **Federal Motor Carrier Safety Administration (FMCSA) (20.218,20.231-20.238)**

Under the authority of the motor carrier safety provisions of Title 49 of the United States Code, the agency exercises Federal regulatory jurisdiction over the safety performance of all commercial motor carriers engaged in interstate commerce. It deals with more than 500,000 carriers, approximately 13,000 passenger carriers and

42,000 hazardous material carriers. The primary mission of the Agency is to improve the safety of commercial vehicle operations on our nation's highways. To accomplish this mission the FMCSA focuses its efforts on reducing the number and severity of large truck-involved crashes through safety regulation and research, safety in commercial operations through training and enforcement, improvements to the commercial driver's license program, and enhancing highway and transportation systems infrastructure. To accomplish these activities, the FMCSA works closely in partnership with other Federal and State agencies, private organizations and individuals. The FMCSA works with various governmental agencies, the commercial motor vehicle industry and other interested groups to promote truck and bus safety by addressing vehicle safety issues such as the mechanical condition of trucks and buses, infrastructure improvements including high profile grade crossings, and commercial operations such as commercial driver license and hours-of-service regulations.

### **Federal Railroad Administration (FRA) (20.301-20.317)**

Promulgates and enforces rail safety regulations, administer railroad financial assistance programs, conduct research and development in support of improved railroad safety and national rail transportation policy, provide for the rehabilitation of Northeast Corridor rail passenger service, and consolidate government support of rail transportation activities. Railroad Safety: The Administration administers and enforces the Federal laws and related regulations designed to promote safety on railroads; exercises jurisdiction over all areas of rail safety under the Rail Safety Act of 1970, such as track maintenance, inspection standards, equipment standards, and operating practices. It also administers and enforces regulations resulting from railroad safety legislation for locomotives, signals, safety appliances, power brakes, hours of service, transportation of explosives and other dangerous articles, and reporting and investigation of railroad accidents. Railroad and related industry equipment, facilities, and records are inspected and required reports reviewed. Research and Development: A ground transportation research and development program is administered to advance all aspects of intercity ground transportation and railroad safety pertaining to the physical sciences and engineering, in order to improve railroad safety and ensure that railroads continue to be a viable national transportation resource. Transportation Test Center: This 50-square-mile facility, located near Pueblo, CO, provides testing for advanced and conventional systems and techniques designed to improve ground transportation. The facility has been managed and staffed for the Administration by the Association of American Railroads since October 1, 1982. The United States and Canadian Governments and private industry use this facility to explore, under controlled conditions, the operation of both conventional and advanced systems. It is used by the Urban Mass Transportation Administration for testing of urban rapid transit vehicles. Policy: Program management for new and revised policies, plans and projects related to railroad transportation economics, finance, system planning, and operations is provided; appropriate studies and analyses are performed; relevant tests, demonstrations, and evaluations are conducted; and labor/management programs are evaluated. Analyses of issues before regulatory agencies are carried out and recommendations are made to the Secretary as to the positions to be taken by DOT. Passenger and Freight Services: The Administration administers a program of Federal assistance for national, regional, and local rail services. Programs include rail freight service assistance programs; rail service continuation programs and State rail planning; and rail passenger service on a national, regional, and local basis. The agency also administers programs to develop, implement, and administer rail system policies, plans and programs for the Northeast Corridor in support of applicable provisions of the Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 501), and related legislation.

### **Federal Transit Administration (FTA) (20.500-20.522)**

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

### **National Highway Traffic Safety Administration (20.600-20.605, 20.609-20.614)**

Carries out programs relating to the safety performance of motor vehicles and related equipment, motor vehicle drivers and pedestrians and a uniform nationwide speed limit under the National Traffic and Motor Vehicle Safety Act of 1966 (80 Stat. 718), as amended. Under the authority of the Motor Vehicle Information and Cost Saving Act (86 Stat. 947), as amended, the Administration carries out programs and studies aimed at reducing economic losses in motor vehicle crashes and repairs, through general motor vehicle programs; administers the Federal odometer law; and promulgates average fuel economy standards for passenger and nonpassenger motor vehicles. Under the authority of the Clean Air amendments of 1970 (84 Stat. 1700),

the Administration certifies as to the consistency of Environmental Protection Agency State grants with any highway safety program developed pursuant to section 402 of Title 23 of the United States Code. The National Highway Traffic Safety Administration was established to carry out a congressional mandate to reduce the mounting number of deaths, injuries, and economic losses resulting from traffic accidents on the Nation's highways and to provide motor vehicle damage susceptibility and ease of repair information, motor vehicle inspection demonstrations, and protection of purchasers of motor vehicles having altered odometers, and to provide average standards for greater vehicle mileage per gallon of fuel for vehicle under 10,000 pounds (gross vehicle weight).

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

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

#### **Maritime Administration (20.763, 20.802-20.814)**

Administers programs to aid in the development, promotion, and operation of the U.S. Merchant Marine; organizes and directs emergency merchant ship operations; administers subsidy programs through the Maritime Subsidy Board, under which the Federal government, subject to statutory limitations, pays the difference between certain costs of operating ships under the U.S. flag and foreign competitive flags on essential services, and the difference between the costs of constructing ships in U.S. and foreign shipyards; provides financing guarantees for the construction, reconstruction, and reconditioning of ships; and enters into capital construction fund agreements which grant tax deferrals on moneys to be used for the acquisition, construction, or reconstruction of ships; constructs or supervises the construction of merchant-type ships for the Federal government; it helps industry generate increased business for U.S. ships and conducts programs to develop ports, facilities, and intermodal transport, and to promote domestic shipping. Administers a War Risk Insurance program insuring operators and seamen against losses caused by hostile action if domestic commercial insurance is not available; Under emergency conditions, charters Government-owned ships to U.S. operators, requisitions or procures ships owned by U.S. citizens, and allocates them to meet defense needs. It maintains a National Defense Reserve Fleet of Government-owned ships that it operates through general agents when required in national defense interests. An element of this activity is the Ready Reserve Force consisting of a number of ships available for quick-response activation; regulates sales to aliens and transfers to foreign registry of ships that are fully or partially owned by U.S. citizens; also disposes of Government-owned ships found nonessential for national defense; operates the U.S. Merchant Marine Academy, Kings Point, NY, where young people are trained to become merchant marine officers, and conducts training in shipboard firefighting at Earle, NJ, and Toledo, OH. It also administers a Federal assistance program for the maritime academies operated by California, Maine, Massachusetts, Michigan, New York, and Texas.

#### **Office of the Secretary (20.900-20.931)**

Develops and evaluates public policy related to the transportation industries and their economic regulation; assures that the Department's regulatory programs remain consistent with established policy and maintains oversight of all departmental safety regulatory actions; proposes and coordinates on transportation-related legislation involving the private sector; provides analyses of current and emerging transportation policy issues to assess their economic and institutional implication, particularly with regard to Federal assistance, public trust funds, user charges, nondiscrimination of the handicapped in the provision of public transportation services, and energy and environmental aspects; undertakes studies and analyses to aid in the resolution of safety problems; develops policies to support the Department in aviation and maritime multilateral and bilateral negotiations with foreign governments and participates on the U.S. negotiating delegations; develops policies on a wide range of international transportation and trade matters; furnishes guidance to the United States Trade Representative's Trade Policy Committee in efforts to improve the U.S. balance of payments; coordinates efforts to combat transport-related terrorist acts and drug smuggling; arranges and coordinates cooperative agreements with foreign governments for the exchange of state-of-the-art scientific and technical information; provides assistance to the Agency for International Development's transportation programs in developing countries; and participates on the U.S.-Saudi Arabian Joint Commission for Economic Cooperation. The Assistant Secretary also: develops, coordinates, and carries out U.S. Government policy relating to the economic regulation of the airline industry, including licensing of U.S. and foreign carriers to serve in international air transportation and carrier fitness determinations; processes and resolves complaints concerning unfair competitive practices in international fares, rates, and tariff filings; establishes international and intra-Alaska mail rates; and determines the disposition of requests for approval and immunization from the antitrust laws of international aviation agreements. The Assistant Secretary also administers the essential air service program, which involves: establishing

appropriate subsidy levels for subsidized carriers; processing applications to terminate, suspend, or reduce air service below the defined essential level; determining which carrier among various applicants should be selected to provide subsidized service; and continuously reviewing essential air service definitions for each community.

#### **Bureau of Transportation Statistics (20.920)**

Supports the development of transportation statistics and actively promotes research activities in the field of transportation statistics. Conducts and publishes transportation studies in support of Department program evaluation efforts. Provides mathematical, statistical, cartographic and support to other Department programs.

### **DEPARTMENT OF VETERANS AFFAIRS**

#### **Veterans Health Administration (64.005-64.024)**

Provides hospital, nursing home and domiciliary care, and outpatient medical and dental care to eligible veterans of military service in the Armed Forces. Dependents of certain veterans are provided medical care supplied by non-VA institutions and physicians. The Department conducts both individual medical and health-care delivery research projects and multi-hospital research programs. It assists in the education of physicians and dentists and with training of many other health care professionals through affiliations with educational institutions and organizations.

#### **Veterans Benefits Administration (64.100-64.128)**

Conducts an integrated program of veterans benefits: The Compensation and Pension (C & P) Service has responsibility for: claims for disability compensation, pension, and Spina Bifida monthly allowance under 38 U.S.C. 1805; automobile allowances and special adaptive equipment; claims for specially adapted housing; special clothing allowances; emergency officer's retirement pay; eligibility determinations based on military service for other VA benefits and services or those of other Government agencies; survivor's claims for death compensation, dependency and indemnity compensation, death pension, burial and plot allowance claims; claims for accrued benefits; forfeiture determinations; claims for adjusted compensation in death cases; and claims for reimbursement for headstones or markers. The Education Service has responsibility for: readjustment education benefits for post-Vietnam era veterans and recently-discharged veterans, as well as educational assistance for spouses, surviving spouses, and children of veterans who are permanently and totally disabled or die from disability incurred or aggravated in active service in the Armed forces, or are currently prisoners of war or missing in action. In addition, certain members of the selected Reserve or National Guard are also eligible for education benefits administered by the Service. Vocational Rehabilitation Service has responsibility for the rehabilitation of disabled veterans. Information, advice, and assistance are provided to veterans, their dependents and beneficiaries, representatives and others in applying for benefits administered by the Department of Veterans Affairs. Benefit information and readjustment assistance is provided to recently separated veterans. C&P also maintains a benefits protection program (fiduciary activities) for minors and incompetent veterans and other incompetent adult beneficiaries and provide field-investigative services. Special restorative training is also available to eligible children. The mission is also to provide credit assistance whereby the housing credit needs of eligible veterans and active duty service personnel may be satisfied by private capital on more liberal terms than generally available to non-veterans. Assistance is provided chiefly through substituting the Government's guaranty on loans made by private lenders in lieu of the downpayments, shorter terms, and other requirements generally required in conventional home mortgage transactions. Direct loans are made to Native Americans on trust land or to supplement a grant to get a specially adapted home for certain eligible veterans who have a permanent and total service-connected disability(ies). In addition, a system of direct financial grants is operated to help certain permanently disabled veterans to acquire specially adapted housing. VA life insurance operations are for the benefit of service members, veterans, and their beneficiaries. In addition, the VA is responsible for: supervision of the Servicemen's Group Life Insurance (SGLI) and Veterans Group Life Insurance (VGLI) Programs for today's service members and veterans. The Veterans' Insurance Act of 1974 (88 Stat. 165; 38 U.S.C. 765-779), effective May 24, 1974, has substantially amended the law provided for the conversion of SGLI to a 5-year nonrenewable term policy known as Veterans Group Life Insurance (VGLI). At the termination of the 5-year term period, it may be converted to an individual policy with any one of the many participating commercial insurance companies. Supervision of the Veterans Mortgage Life Insurance Program for those disabled veterans who receive a VA grant for specially adapted housing - under the terms of contractual agreement with a Primary Insurer. VA guarantees the protection of commercial life insurance (up to \$10,000) against premium payments for persons while in military or naval service, and 2 years thereafter.

#### **National Cemetery Administration (64.201-64.203, 64.026)**

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

## **ELECTIONS ASSISTANCE COMMISSION**

### **U.S. ELECTION ASSISTANCE COMMISSION (90.400-90.402)**

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

### **Information Related to the Election Assistance Commission**

The U.S. Election Assistance Commission (EAC) was established by the Help America Vote Act of 2002 (HAVA). Central to its role, the Commission serves as a national clearinghouse and resource for information and review of procedures with respect to the administration of Federal elections. According to the text of HAVA, the law was enacted to, establish a program to provide funds to States to replace punch card voting systems, to establish the Election Assistance Commission to assist in the administration of Federal elections and to otherwise provide assistance with the administration of certain Federal election laws and programs, to establish minimum election administration standards for States and units of local government with responsibility for the administration of Federal elections, and for other purposes. Excerpt from The Help America Vote Act of 2002 The Help America Vote Act of 2002 (HAVA) requires the Election Assistance Commission (EAC) to: Generate technical guidance on the administration of federal elections. Produce voluntary voting systems guidelines. Research and report on matters that affect the administration of federal elections. Otherwise provide information and guidance with respect to laws, procedures, and technologies affecting the administration of Federal elections. Administer payments to States to meet HAVA requirements. Provide grants for election technology development and for pilot programs to test election technology. Manage funds targeted to certain programs designed to encourage youth participation in elections. Develop a national program for the testing, certification, and decertification of voting systems. Maintain the national mail voter registration form that was developed in accordance with the National Voter Registration Act of 1993 (NVRA), report to Congress every two years on the impact of the NVRA on the administration of federal elections, and provide information to States on their responsibilities under that law. Audit persons who received federal funds authorized by HAVA from the General Services Administration or the Election Assistance Commission. Submit an annual report to Congress describing EAC activities for the previous fiscal year.

## **ENVIRONMENTAL PROTECTION AGENCY**

### **Office of Air and Radiation (66.001-66.040)**

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

### **Office of Water**

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

### **Office of Research and Development (66.508,66.509,66.511,66.512,66.516)**

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

### **Office of Administration (66.202,66.513-66.518,66.600,66.605-66.612)**

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

### **Office of Enforcement and Compliance Assurance (66.305, 66.700-66.709)**

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

### **Office of Environmental Justice (66.306, 66.604)**

Provides support for community-based projects, programs, and activities that seek to address local environmental justice and public health issues and enhance environmental justice/community-based environmental protection.

### **Office of Solid Waste and Emergency Response (66.801-66.818)**

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

### **Office of Environmental Education (66.950-66.951)**

Establishes, maintains, and disseminates a clearinghouse of information about available and planned multimedia environmental education products; identifies gaps in existing environmental education materials and works in collaboration with academia, other agencies, private industry and public interest groups to fill these gaps with quality products; establishes an Environmental Education and Training Grants Program through a grant awarded to a consortium of universities to support the training of education professionals in reaching environmental issues; establishes an Environmental Education Grants Program to support the design, demonstration and dissemination of environmental education materials, practice or techniques; provides for environmental internships through post-secondary level studies with agencies of the Federal government; establishes a National Environmental Education Advisory Council to advise, consult with, and make recommendations to the Administrator on matters relating to environmental education activities, functions, and policies of the Agency; establishes an Environmental Education Foundation; establishes the EPA as the key source for Federal, National and international communication and



cooperation in environmental education activities; and coordinates and tracks EPA environmental efforts.

#### **APPALACHIAN REGIONAL COMMISSION (23.001-23.011)**

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

#### **OFFICE OF PERSONNEL MANAGEMENT (OPM) (27.001-27.013)**

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

#### **COMMISSION ON CIVIL RIGHTS (CCR) (29.001)**

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

#### **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) (30.001-30.011)**

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

#### **FEDERAL COMMUNICATIONS COMMISSION (FCC) (32.001)**

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

#### **FEDERAL MARITIME COMMISSION (FMC) (33.001)**

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

#### **FEDERAL MEDIATION AND CONCILIATION SERVICE (FMCS) (34.001)**

Assists labor and management in resolving disputes bargaining contract negotiation through voluntary mediation and arbitration services; provides training to unions and management in cooperative processes to improve long-term relationship under the Labor-Management Cooperation Act of 1978, including Federal sector partnership training authorized by Executive Order 12871; provides alternative dispute resolution services and training to government agencies, including the facilitation of regulatory

negotiations under Administrative Dispute Resolution and Negotiated Rulemaking Acts of 1990; awards competitive grants to joint labor-management committees to encourage innovative approaches to cooperative efforts.

#### **FEDERAL TRADE COMMISSION (FTC) (36.001)**

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

#### **GENERAL SERVICES ADMINISTRATION (GSA) (39.002-39.009)**

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

#### **GOVERNMENT PRINTING OFFICE (GPO) (40.001-40.002)**

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

#### **LIBRARY OF CONGRESS (42.001-42.009)**

Under the organic law, the Library's first responsibility is service to Congress. One department, the Congressional Research Service, functions exclusively for the legislative branch of the Government. As the Library has developed, its range of service has come to include the entire governmental establishment in all its branches and the public at large, so that it has become a national library for the United States. The Library's extensive collections are universal in scope. They include books and pamphlets on every subject and in a multitude of languages. Among them are the most comprehensive collections of Chinese, Japanese, and Russian language books outside Asia and the Soviet Union; volumes relating to science and legal materials, outstanding for American and foreign law; the world's largest collection of published aeronautical literature; and the most extensive collection in the western hemisphere of books printed before 1501 A.D. The manuscript collections relate to manifold aspects of American history and civilization and include the personal papers of most of the Presidents from George Washington through Calvin Coolidge. The music collections contain volumes and pieces (manuscript and published) from classic works to the newest popular compositions. Other materials available for research include maps and views; photographic records from the daguerreotype to the latest news photo; recordings, including folksongs and other music, speeches, and poetry readings; prints, drawings, and posters; government documents, newspapers, and periodicals from all over the world; and motion pictures, microforms, and audio and video tapes. Admission to the various research facilities of the Library is free. No introduction or credentials are required for persons over high school age who wish to read in the general reading rooms; however, certain collections, like those of the Manuscript, Rare Book and Special Collections, Motion Picture, Broadcasting, and Recorded Sound Divisions, can be used only by those with a serious purpose for doing so. The Library is also responsible for copyrights, which are registered by the Copyright Office. All copyrightable works, whether published or unpublished, are subject to a system of statutory protection that gives the copyright owner certain exclusive rights, including the right to reproduce the copyrighted work and distribute it to the public by sale, rental, lease, or lending. Works of authorship include books, periodicals, and other literary works, musical compositions, song lyrics, dramas and dramatic musical compositions, pictorial, graphic, and sculptural works pantomimes

and choreographic works, motion pictures and other audiovisual works, and sound recordings. The Library extends its service through an interlibrary loan system; the photoduplication, at reasonable cost, subject to conditions of law, copyright, and deposit of books, manuscripts, maps, and newspapers, and prints in its collections; the sale of sound recordings, which are released by its Recording Laboratory; the exchange of duplicates with other institutions; the sale of printed catalog cards and magnetic tapes, and the publication in book format or microform of cumulative catalogs, which make available the results of the expert bibliographical and cataloging work of its technical personnel; a centralized acquisitions program whereby the Library of Congress acquires material published all over the world, catalogs it promptly, and distributes cataloging information in machine readable form as well as other means to the Nation's libraries; a cooperative catalog program, whereby the cataloging of data by name authority and bibliographic records, prepared by other libraries becomes part of the Library of Congress data base and distribute them through the MARC Distribution Service; a cataloging-in-publication program in cooperation with American publishers for printing and cataloging information in current books; the National Serials Data Program, a national center that maintains a record of serial titles to which International Standard Serial Numbers have been assigned and serves, with this file, as the United States Register; and the development of general schemes of classification (Library of Congress and Dewey Decimal), subject headings, and cataloging, embracing the entire field of printed matter. The American Folklife Center in the Library of Congress, has a coordinative function both in and outside the Federal establishment to carry out appropriate programs to support, preserve, and present American folklife through such activities as the collection and maintenance of archives, scholarly research, field projects, performances, exhibitions, festivals, workshops, publications, and audiovisual presentations. The Center for the Book was established in the Library of Congress to provide a program for investigating the transmission of human knowledge and to heighten public interest in the role of books and printing in the diffusion of knowledge. Drawing on the resources of the Library of Congress, the Center works closely with other organizations to explore important issues in the book and educational communities, to encourage reading, and to encourage research about books and about reading. Its goal is to serve as a useful catalyst by bringing together authors, publishers, librarians, booksellers, educators, scholars, and readers to discuss common concerns and work toward the solution of common problems. The Library provides technical information related to the preservation and restoration of library and archival material. A series of leaflets on various preservation and conservation topics has been prepared by the Preservation Office. Information and publications are available from the National Preservation Program Office, Library of Congress. A free national library program of braille and recorded materials for blind and physically handicapped persons is administered by the National Library Service for the Blind and Physically Handicapped (NLS), Library of Congress. With the cooperation of authors and publishers who grant permission to use copyrighted works, NLS selects and produces full-length books and magazines in braille on recorded disc and cassette. Reading material are distributed to a cooperating network of regional and subregional (local) libraries where they are circulated to eligible borrowers. Reading material and playback machines are sent to borrowers and returned to libraries by postage-free mail. Established by an act of Congress in 1931 to serve blind adults, the program was expanded in 1952 to include children, in 1962 to provide music materials, and again in 1966 to include individuals with other physical impairments that prevent the reading of standard print. Information and publications are available from the National Library Service for the Blind and Physically Handicapped, Library of Congress, Washington, DC 20542.

#### **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION (NASA) (43.001-43.002)**

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

#### **NATIONAL CREDIT UNION ADMINISTRATION (NCUA) (44.001-44.002)**

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

#### **NATIONAL ENDOWMENT FOR THE ARTS (NEA) (45.024 - 45.025)**

The National Endowment for the Arts is a public agency dedicated to supporting excellence in the arts, both new and established bringing the arts to all Americans, and providing leadership in arts education. The National Endowment for the Arts is the largest annual funder of the arts in the United States. An independent federal agency, the National Endowment for the Arts is the official arts organization of the

United States government. The National Endowment for the Arts awards more than \$100 million annually investing in every state which in turn generates more than \$700 million in additional support. The Arts Endowment has played a transformative and sustaining role in the development of regional theater, opera, dance, orchestras, museums, and other arts both contemporary and traditional that Americans now enjoy.

#### **NATIONAL ENDOWMENT FOR THE HUMANITIES (NEH) (45.129 - 45.169)**

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

#### **FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES (45.201)**

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

#### **INSTITUTE OF MUSEUM AND LIBRARY SERVICES (45.301-45.313)**

The Institute of Museum and Library Services is the primary source of federal support for the nation's 122,000 libraries and 17,500 museums. Its mission is to grow and sustain a "Nation of Learners" because lifelong learning is essential to a democratic society and individual success. Through its grant making, convenings, research, and publications, the Institute empowers museums and libraries nationwide to provide leadership and services to enhance learning in families and communities, sustain cultural heritage, build twenty-first-century skills, and increase civic participation. IMLS supports adult education and literacy through a number of competitive and state grants and programs, such as Museums for America grants, State Library programs, Native American/ Native Hawaiian Library Services, National Leadership Grants, 21st Century Museum Professionals, the Laura Bush 21st Century Librarian Program, and the Partnership for a Nation of Learners program.

#### **NATIONAL LABOR RELATIONS BOARD (NLRB) (46.001)**

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

#### **NATIONAL SCIENCE FOUNDATION (NSF) (47.041-47.081)**

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

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

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

#### **SECURITIES AND EXCHANGE COMMISSION (SEC) (58.001)**

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

#### **SMALL BUSINESS ADMINISTRATION (SBA) (59.006-59.046, 59.049-59.055, 59.070)**

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

#### **NATIONAL GALLERY OF ART (NGA) (68.001)**

The National Gallery's collections embrace every major school of western European

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

**OVERSEAS PRIVATE INVESTMENT CORPORATION (OPIC) (70.002-70.003)**

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

**NUCLEAR REGULATORY COMMISSION (NRC) (77.006-77.008)**

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

**COMMODITY FUTURES TRADING COMMISSION (CFTC) (78.004)**

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

**DEPARTMENT OF ENERGY (DOE) (81.003-81.126)**

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

The Department is also an investor in the Nation's most precious resource - its youth -

by supporting science and mathematics education in our schools through grants, educational programs, and fellowships. DOE is global enterprise. The outcome of our work is the technology that stimulates the private market for the expansion of clean energy to meet national and global energy requirements of almost 500 quadrillion Btu's by the year 2010 - a staggering 36 percent increase over 1995. Overseas energy market needs include coal, nuclear power, oil and gas exploration, energy efficiency, and renewable energy technologies that are available for export now or that will soon be available for the international marketplace. DOE supports the export of U.S. energy services and technologies by assisting the nations in Asia, South America, Eastern Europe, an Africa, and the states of the former Soviet Union in developing private markets for environmentally responsible, sustainable energy. These alliances support U.S. competitiveness in a global economy of growing energy infrastructure requirements and create jobs in the U.S. at all skill levels.

**HARRY S TRUMAN SCHOLARSHIP FOUNDATION (85.001)**

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

**CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION (85.100)**

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

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

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

**THE WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS (85.300)**

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

**THE MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION (85.400 - 85.402)**

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

**JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION (85.500)**

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

**SMITHSONIAN INSTITUTE FELLOWSHIP FOUNDATION (85.601)**

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



#### **PENSION BENEFIT GUARANTY CORPORATION (PBGC) (86.001)**

The Pension Benefit Guaranty Corporation guarantees payment of nonforfeitable pension benefits in covered, private-sector-defined benefit pension plans. Title IV of the Employee Retirement Income Security Act of 1974 (29 U.S.C. 1301 et seq.) provides for coverage of most private-sector-defined benefit pension plans that provide a benefit based on factors such as age, years of service, and average or highest salary. The Corporation administers two benefit insurance programs separately covering single-employer and multi-employer plans. Nearly 40 million workers participate in more than 112,000 covered plans. Single-Employer Insurance: Under the single-employer program, the Corporation guarantees payment of a covered plan's basic benefits if that plan terminates without sufficient assets to pay those guaranteed benefits. Multi-employer Insurance: Under Title IV of the Act, as originally enacted, the Corporation guaranteed nonforfeitable benefits for multi-employer plans in a similar fashion as for single-employer plans. However, the payment of guaranteed benefits was at the agency's discretion under the provisions of the law that remained in force until August 1, 1980. The Multi-employer Pension Plan Amendments Act of 1980 (29 U.S.C. 1001) revised the law applicable to multi-employer pension plans by changing the insurable event from plan termination to plan insolvency. In accordance with the Act, the Corporation provides financial assistance to plans that are unable to pay basic benefits. The plans are obligated to repay such assistance. The act also made employers withdrawing from a plan liable to the plan for a portion of its unfunded vested benefits. Premium Collections: All defined benefit pension plans covered by Title IV of Employee Retirement Income Security Act are required to pay premiums under prescribed rates to the Corporation.

#### **ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD (ATCB) (88.001)**

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

#### **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) (89.001-89.005)**

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

#### **DENALI COMMISSION (90.100)**

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

#### **DELTA REGIONAL AUTHORITY (90.200-90.202)**

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

#### **JAPAN US FRIENDSHIP COMMISSION (90.300)**

The Japan-United States Friendship Act of 1975 established the Japan-United States Friendship Trust Fund and created the Japan-United States Friendship Commission to make grants for the promotion of scholarly, cultural, and artistic activities between Japan and the United States. The Commission is authorized to make expenditures from the fund in an amount not to exceed 5 percent annually of the fund's original principal to pay Commission expenses and make grants to support Japanese studies

in American universities, policy oriented research, faculty and other professional exchanges, public affairs programs, and other cultural and educational activities primarily in the United States.

#### **UNITED STATES INSTITUTE OF PEACE (91.001-91.002)**

The United States Institute of Peace was established as an independent, Federal, nonprofit corporation by act of October 19, 1984 (22 U.S.C. 4603). It was established to strengthen the Nation's capacity to promote international peace and the peaceful resolution of conflicts among the peoples and nations of the world. The purpose of the Institute is to develop and disseminate knowledge about the peaceful resolution of international conflict. To accomplish this the Institute has set the following goals: To provide creative practical insights through research, education, and training on negotiation, mediation, and other skills to those actively engaged in resolving international conflicts; to expand the body of knowledge about the nature and processes of peace, war, and international conflict management; and to disseminate information to the public about these subjects. Among the Institute's instruments are grants, fellowships, a library, and in-house projects. The grants program provides financial support to nonprofit organizations, including private colleges and universities; official public institutions, including public schools, colleges, universities, libraries, and Federal, State, and local agencies; and individuals, whether or not they are associated with nonprofit or official public institutions. The Jennings Randolph Program for International Peace offers senior fellowships annually to practitioners or scholars in the U.S. and around the world who join the Institute for about ten months to work on projects concerning the sources and nature of international conflict and ways of managing conflict and sustaining peace. The program also awards Peace Scholar Dissertation Fellowships annually to outstanding doctoral students enrolled in an accredited university in the U.S. who are researching or writing a dissertation that promises to contribute knowledge relevant to the formulation of policy on international peace and conflict issues. The Jeannette Rankin Library Program is developing four main components on international peacemaking: a specialized research library; a network with and support for other libraries, both specialized and public; an oral history resource; and bibliographic as well as other data bases. Institute-directed projects under the Education and Public Information Program include an educational TV program and cassette programs on such topics as U.S.-Soviet summitry and a National Peace Essay Contest for high school students. The in-house Research and Studies is completing a broad, systematic examination of peace and conflict management theories and features workshops and seminars. Institute publications include biennial report to Congress and the President; a newsletter, The United States Institute of Peace Journal; and short issue papers, in brief. For more information please visit the Institute's web site at [www.usip.org](http://www.usip.org).

#### **CORPORATION FOR NATIONAL AND COMMUNITY SERVICE (CNCS) (94.002- 94.016)**

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

#### **SOCIAL SECURITY ADMINISTRATION (SSA) (96.001-96.020)**

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

and development of programs and materials to assure that Congress, Federal and State agencies, and the general public have an adequate understanding of the protections, rights, and responsibilities under SSA administered programs. In addition, SSA, through a world-wide organization of ten regional offices, six program service centers, and over 1,300 field offices, guides and directs all aspects of the cash benefit program operations of SSA

**DEPARTMENT OF HOMELAND SECURITY (DHS) (97.004-97.112)**

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

**UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID) (98.001-98.012)**

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

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<p><i>The alphabet(s) in parenthesis following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A_Formula Grants; B_Project Grants; C_Direct Payments for Specified Use; D_Direct Payments with Unrestricted Use; E_Direct Loans; F_Guaranteed/Insured Loans; G_Insurance; H_Sale, Exchange, or Donation of Property and Goods; I_Use of Property, Facilities, and Equipment; J_Provision of Specialized Services; K_Advisory Services and Counseling; L_Dissemination of Technical Information; M_Training; N_Investigation of Complaints; O_Federal Employment.</i></p> <p><i>Included in the Agency Program Index is a chart to help users distinguish programs that provide financial assistance from those providing services and technical assistance.</i></p>		
<b>DEPARTMENT OF AGRICULTURE</b>		
<b>AGRICULTURAL MARKETING SERVICE</b>		
10.153 Market News (L)		X
10.155 Marketing Agreements and Orders (J,K)		X
10.156 Federal-State Marketing Improvement Program (B)	X	
10.162 Inspection Grading and Standardization (J)		X
10.163 Market Protection and Promotion (J,K,M)		X
10.164 Wholesale Farmers and Alternative Market Development (K,M)		X
10.165 Perishable Agricultural Commodities Act (N)		X
10.167 Transportation Services (K,M)		X
10.168 Farmers' Market Promotion Program (B)	X	
10.169 Specialty Crop Block Grant Program (B)	X	
10.170 Specialty Crop Block Grant Program - Farm Bill (B)	X	
10.256 Consumer Data Initiative (CDI) (L)		X
10.290 Agricultural Market and Economic Research (B)	X	
10.084 Dairy Market Loss Assistance Program (D)	X	
10.309 Specialty Crop Research Initiative (B)	X	
10.679 Collaborative Forest Restoration (B)	X	
10.860 Rural Business Investment Program (B,F)	X	
10.862 Household Water Well System Grant Program (B)	X	
<b>AGRICULTURAL RESEARCH SERVICE</b>		
10.001 Agricultural Research_Basic and Applied Research (B)	X	
10.700 National Agricultural Library (L)		X
<b>ANIMAL AND PLANT HEALTH INSPECTION SERVICE</b>		
10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)	X	
10.028 Wildlife Services (B)	X	
10.029 Avian Influenza Indemnity Program (D)	X	
<b>COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE</b>		
10.200 Grants for Agricultural Research, Special Research Grants (B)	X	
10.202 Cooperative Forestry Research (A)	X	
10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)	X	
10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)	X	
10.206 Grants for Agricultural Research_Competitive Research Grants (B)	X	
10.207 Animal Health and Disease Research (A)	X	
10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)	X	
10.212 Small Business Innovation Research (B)	X	
10.215 Sustainable Agriculture Research and Education (B)	X	
10.216 1890 Institution Capacity Building Grants (B)	X	
10.217 Higher Education Challenge Grants (B)	X	
10.219 Biotechnology Risk Assessment Research (B)	X	
10.220 Higher Education Multicultural Scholars Program (B)	X	
10.221 Tribal Colleges Education Equity Grants (A)	X	
10.222 Tribal Colleges Endowment Program (A)	X	
10.223 Hispanic Serving Institutions Education Grants (B)	X	
10.224 Fund for Rural America_Research, Education, and Extension Activities (B)	X	
10.225 Community Food Projects (B)	X	
10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)	X	
10.227 1994 Institutions Research Program (B)	X	
10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)	X	
10.303 Integrated Programs (B)	X	
10.304 Homeland Security_Agricultural (B)	X	
10.305 International Science and Education Grants (B)	X	
10.306 BIODIESEL (B)	X	
10.307 Organic Agriculture Research and Extension Initiative (B)	X	
10.308 Resident Instruction Grants for Insular Area Activities (B)	X	
10.500 Cooperative Extension Service (A,B)	X	
<b>ECONOMIC RESEARCH SERVICE</b>		
10.250 Agricultural and Rural Economic Research (L)		X
10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)		X
10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (L)		X
10.255 Research Innovation and Development Grants in Economic (RIDGE) (L)		X
<b>FARM SERVICE AGENCY</b>		
10.051 Commodity Loans and Loan Deficiency Payments (D,E)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.053 Dairy Indemnity Program (D)	X	
10.054 Emergency Conservation Program (C)	X	
10.055 Direct and Counter-cyclical Payments Program (C)	X	
10.056 Farm Storage Facility Loans (E)	X	
10.066 Livestock Assistance Program (D)	X	
10.069 Conservation Reserve Program (C)	X	
10.073 Crop Disaster Program (D)	X	
10.077 Livestock Compensation Program (D)	X	
10.078 Bioenergy Program (C)	X	
10.079 Bill Emerson Humanitarian Trust (D)	X	
10.080 Milk Income Loss Contract Program (D)	X	
10.081 Lamb Meat Adjustment Assistance Program (D)	X	
10.082 Tree Assistance Program (D)	X	
10.404 Emergency Loans (E)	X	
10.406 Farm Operating Loans (E,F)	X	
10.407 Farm Ownership Loans (E,F)	X	
10.421 Indian Tribes and Tribal Corporation Loans (E)	X	
10.435 State Mediation Grants (B)	X	
10.437 Interest Assistance Program (F)	X	
10.443 Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)	X	
10.449 Boll Weevil Eradication Loan Program (E)	X	
10.451 Noninsured Assistance (D)	X	
10.452 Disaster Reserve Assistance (C)	X	
10.994 Peanut Quota Buyout Program (D)	X	
10.995 Hard White Wheat Incentive Program (D)	X	
10.999 Long Term Standing Agreements For Storage, Transpotation And Lease (C)	X	
<b>FOOD AND NUTRITION SERVICE</b>		
10.551 Supplemental Nutrition Assistance Program (C)	X	
10.553 School Breakfast Program (A)	X	
10.555 National School Lunch Program (A)	X	
10.556 Special Milk Program for Children (A)	X	
10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)	X	
10.558 Child and Adult Care Food Program (A)	X	
10.559 Summer Food Service Program for Children (A)	X	
10.560 State Administrative Expenses for Child Nutrition (A)	X	
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)	X	
10.565 Commodity Supplemental Food Program (A,H)	X	X
10.566 Nutrition Assistance For Puerto Rico (C)	X	
10.567 Food Distribution Program on Indian Reservations (B,H)	X	X
10.568 Emergency Food Assistance Program (Administrative Costs) (A)	X	
10.569 Emergency Food Assistance Program (Food Commodities) (A)	X	
10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)	X	
10.574 Team Nutrition Grants (B)	X	
10.576 Senior Farmers Market Nutrition Program (B)	X	
10.578 WIC Grants To States (WGS) (B)	X	
10.579 Child Nutrition Discretionary Grants Limited Availability (B)	X	
10.580 Special Nutrition Assistance Program Outreach/Participation Program (B)	X	
10.582 Fresh Fruit and Vegetable Program (B)	X	
<b>FOOD SAFETY AND INSPECTION SERVICE</b>		
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)	X	
10.477 Meat, Poultry, and Egg Products Inspection (J)		X
10.479 Food Safety Cooperative Agreements (B)	X	
<b>FOREIGN AGRICULTURAL SERVICE</b>		
10.600 Foreign Market Development Cooperator Program (C)	X	
10.601 Market Access Program (C)	X	
10.603 Emerging Markets Program (C)	X	
10.604 Technical Assistance for Specialty Crops Program (C)	X	
10.606 Food for Progress (H)		X
10.607 Section 416(b) (H)		X
10.608 Food for Education (H)		X
10.609 Trade Adjustment Assistance (D)	X	
10.960 Technical Agricultural Assistance (B)	X	
10.961 Scientific Cooperation and Research (B,C)	X	
10.962 Cochran Fellowship Program-International Training-Foreign Participant (C)	X	
<b>FOREST SERVICE</b>		
10.652 Forestry Research (B)	X	
10.664 Cooperative Forestry Assistance (A,B)	X	
10.665 Schools and Roads_Grants to States (A)	X	
10.666 Schools and Roads_Grants to Counties (A)	X	
10.670 National Forest_Dependent Rural Communities (B,I,M)	X	X
10.671 Southeast Alaska Economic Disaster Fund (C)	X	
10.672 Rural Development, Forestry, and Communities (B)	X	
10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)	X	
10.675 Urban and Community Forestry Program (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.676 Forest Legacy Program (B)	X	
10.677 Forest Land Enhancement Program (B)	X	
10.678 Forest Stewardship Program (B)	X	
10.680 Forest Health Protection (A,B)	X	
10.681 Wood Education and Resource Center (WERC) (B)	X	
10.684 International Forestry Programs (B)	X	
<b>NATIONAL AGRICULTURAL STATISTICS SERVICE</b>		
10.950 Agricultural Statistics Reports (L)		X
<b>NATIONAL SHEEP INDUSTRY IMPROVEMENT CENTER</b>		
10.774 National Sheep Industry Improvement Center (B,C,E,F)	X	
<b>NATURAL RESOURCES CONSERVATION SERVICE</b>		
10.070 Colorado River Basin Salinity Control Program (C)	X	
10.072 Wetlands Reserve Program (C)	X	
10.901 Resource Conservation and Development (K)		X
10.902 Soil and Water Conservation (K)		X
10.903 Soil Survey (L)		X
10.904 Watershed Protection and Flood Prevention (B,K)	X	X
10.905 Plant Materials for Conservation (J)		X
10.906 Watershed Surveys and Planning (J,K)		X
10.907 Snow Survey and Water Supply Forecasting (L)		X
10.910 Rural Abandoned Mine Program (C)	X	
10.912 Environmental Quality Incentives Program (C)	X	
10.913 Farm and Ranch Lands Protection Program (C)	X	
10.914 Wildlife Habitat Incentive Program (C)	X	
10.916 Watershed Rehabilitation Program (B,K)	X	X
10.917 Agricultural Management Assistance (C)	X	
10.918 Ground and Surface Water Conservation Environmental Quality Incentives Program (C)	X	
10.919 Klamath Basin Environmental Quality Incentives Program (C)	X	
10.920 Grassland Reserve Program (C)	X	
10.921 Conservation Security Program (C)	X	
10.922 Healthy Forests Reserve Program (HFRP) (C)	X	
10.923 Emergency Watershed Protection Program (B)	X	
<b>RISK MANAGEMENT AGENCY</b>		
10.450 Crop Insurance (G)	X	
10.454 Dairy Options Pilot Program (C)	X	
10.455 Community Outreach and Assistance Partnership Program (L,M)		X
10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)	X	
10.457 Commodity Partnerships for Risk Management Education (B)	X	
10.458 Crop Insurance Education in Targeted States (B)	X	
10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)	X	
<b>RURAL BUSINESS-COOPERATIVE SERVICE</b>		
10.778 Research on the Economic Impact of Cooperatives (C)	X	
<b>RURAL HOUSING SERVICE</b>		
10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)	X	
<b>COMMODITY CREDIT CORPORATION</b>		
10.085 Tobacco Transition Payment Program (D)	X	
<b>RURAL DEVELOPMENT</b>		
10.350 Technical Assistance to Cooperatives (J,K,L,M)		X
10.352 Value-Added Producer Grants (B)	X	
10.405 Farm Labor Housing Loans and Grants (B,F)	X	
10.410 Very Low to Moderate Income Housing Loans (E,F)	X	
10.411 Rural Housing Site Loans and Self-Help Housing Land Development Loans (E)	X	
10.415 Rural Rental Housing Loans (B,E)	X	
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)	X	
10.420 Rural Self-Help Housing Technical Assistance (B)	X	
10.427 Rural Rental Assistance Payments (C)	X	
10.433 Rural Housing Preservation Grants (B)	X	
10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)	X	
10.441 Technical and Supervisory Assistance Grants (B)	X	
10.442 Housing Application Packaging Grants (B)	X	
10.444 Direct Housing_Natural Disaster Loans and Grants (B,E)	X	
10.445 Direct Housing_Natural Disaster (E)	X	
10.446 Rural Community Development Initiative (B)	X	
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)	X	
10.761 Technical Assistance and Training Grants (B)	X	
10.762 Solid Waste Management Grants (B)	X	
10.763 Emergency Community Water Assistance Grants (B)	X	
10.766 Community Facilities Loans and Grants (B,E,F)	X	
10.767 Intermediary Relending Program (E)	X	
10.768 Business and Industry Loans (F)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.769 Rural Business Enterprise Grants (B)	X	
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)	X	
10.771 Rural Cooperative Development Grants (B)	X	
10.772 Empowerment Zones Program (B)	X	
10.773 Rural Business Opportunity Grants (B)	X	
10.775 Renewable Energy Systems and Energy Efficiency Improvements Program (E,F)	X	
10.850 Rural Electrification Loans and Loan Guarantees (E)	X	
10.851 Rural Telephone Loans and Loan Guarantees (E,F)	X	
10.854 Rural Economic Development Loans and Grants (B,E)	X	
10.855 Distance Learning and Telemedicine Loans and Grants (B,E)	X	
10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)	X	
10.857 State Bulk Fuel Revolving Fund Grants (B)	X	
10.858 Denali Commission Grants and Loans (B,E)	X	
10.859 Assistance to High Energy Cost Rural Communities (B,E)	X	
10.861 Public Television Station Digital Transition Grant Program (B)	X	
10.863 Community Connect Grant Program (B)	X	
10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)	X	
10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)	X	
<b>DEPARTMENT OF COMMERCE</b>		
<b>BUREAU OF THE CENSUS</b>		
11.001 Census Bureau Data Products (L)		X
11.002 Census Customer Services (K,L,M)		X
11.003 Census Geography (J,L)		X
11.004 Census Intergovernmental Services (K,L,M)		X
11.005 Census Special Tabulations and Services (J,L)		X
11.006 Personal Census Search (J)		X
<b>ECONOMICS AND STATISTICS ADMINISTRATION</b>		
11.025 Measures and Analyses of the U.S. Economy (L)		X
11.026 STAT-USA: Key Business, Economic, and International Trade Information (L)		X
<b>INTERNATIONAL TRADE ADMINISTRATION</b>		
11.106 Remedies for Unfair Foreign Trade Practices _Antidumping and Countervailing Duty Investigations (J,N)		X
11.108 Commercial Service (K)		X
11.110 Manufacturing and Services (K)		X
11.111 Foreign-Trade Zones in the United States (J)		X
11.112 Market Development Cooperator Program (B)	X	
11.113 ITA Special Projects (B)	X	
<b>BUREAU OF EXPORT ADMINISTRATION</b>		
11.150 Export Licensing Service and Information (K)		X
<b>ECONOMIC DEVELOPMENT ADMINISTRATION</b>		
11.300 Investments for Public Works and Economic Development Facilities (B)	X	
11.302 Economic Development _Support for Planning Organizations (B)	X	
11.303 Economic Development _Technical Assistance (B)	X	
11.307 Economic Adjustment Assistance (B)	X	
11.312 Research and Evaluation Program (B)	X	
11.313 Trade Adjustment Assistance for Firms (B)	X	
<b>NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION</b>		
11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)	X	
11.405 Anadromous Fish Conservation Act Program (B)	X	
11.407 Interjurisdictional Fisheries Act of 1986 (A)	X	
11.408 Fishermen's Contingency Fund (D)	X	
11.413 Fishery Products Inspection and Certification (J)		X
11.415 Fisheries Finance Program (E)	X	
11.417 Sea Grant Support (B)	X	
11.419 Coastal Zone Management Administration Awards (A,B)	X	
11.420 Coastal Zone Management Estuarine Research Reserves (B)	X	
11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)	X	
11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)	X	
11.429 Marine Sanctuary Program (B)	X	
11.430 Undersea Research (B)	X	
11.431 Climate and Atmospheric Research (B)	X	
11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (B)	X	
11.433 Marine Fisheries Initiative (B)	X	
11.434 Cooperative Fishery Statistics (B)	X	
11.435 Southeast Area Monitoring and Assessment Program (B)	X	
11.436 Columbia River Fisheries Development Program (B)	X	
11.437 Pacific Fisheries Data Program (B)	X	
11.438 Pacific Coast Salmon Recovery _Pacific Salmon Treaty Program (B)	X	
11.439 Marine Mammal Data Program (B)	X	
11.440 Environmental Sciences, Applications, Data, and Education (B)	X	
11.441 Regional Fishery Management Councils (B)	X	
11.443 Short Term Climate Fluctuations (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
11.444 Hawaii Sustainable Fisheries Development (Aquaculture Program) (B)	X	
11.445 Hawaii Stock Management Program (B)	X	
11.449 Independent Education and Science Projects and Programs (B)	X	
11.450 Automated Flood Warning Systems (AFWS) (B)	X	
11.452 Unallied Industry Projects (B)	X	
11.454 Unallied Management Projects (B)	X	
11.455 Cooperative Science and Education Program (B)	X	
11.457 Chesapeake Bay Studies (B)	X	
11.459 Weather and Air Quality Research (B)	X	
11.460 Special Oceanic and Atmospheric Projects (B)	X	
11.462 Hydrologic Research (B)	X	
11.463 Habitat Conservation (B)	X	
11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)	X	X
11.468 Applied Meteorological Research (B)	X	
11.469 Congressionally Identified Awards and Projects (B)	X	
11.472 Unallied Science Program (B)	X	
11.473 Coastal Services Center (B)	X	
11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)	X	
11.477 Fisheries Disaster Relief (B)	X	
11.478 Center for Sponsored Coastal Ocean Research_Coastal Ocean Program (B)	X	
11.480 National Ocean Service Intern Program (B)	X	
11.481 Educational Partnership Program (B)	X	
<b>NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION</b>		
11.550 Public Telecommunications Facilities Planning and Construction (B)	X	
11.553 Special Projects (B)	X	
11.554 Low-Power Television and Translator Digital-to-Analog Conversion (B)	X	
11.555 Public Safety Interoperable Communications Grant Program (B)	X	
11.556 TV Converter Box Coupon Program (C)	X	
<b>NATIONAL INSTITUTE FOR STANDARDS AND TECHNOLOGY</b>		
11.601 Calibration Program (J)		X
11.603 National Standard Reference Data System (H)		X
11.604 Standard Reference Materials (H)		X
11.606 Weights and Measures Service (J,K,L,M)		X
11.609 Measurement and Engineering Research and Standards (B)	X	
11.610 National Center for Standards and Certification Information (L)		X
11.611 Manufacturing Extension Partnership (B,L)	X	X
11.612 Advanced Technology Program (B)	X	
11.616 Technology Innovation Program (TIP) (B)	X	
11.617 Congressionally-Identified Projects (B)	X	
11.618 National Institute of Standards and Technology Construction Grant Program (B)	X	
<b>NATIONAL TECHNICAL INFORMATION SERVICE</b>		
11.650 National Technical Information Service (L)		X
<b>OFFICE OF THE SECRETARY</b>		
11.702 Internship Program for Postsecondary Students (B)	X	
11.900 Patent and Trademark Technical Information Dissemination (L)		X
<b>MINORITY BUSINESS DEVELOPMENT AGENCY</b>		
11.800 Minority Business Enterprise Centers (B)	X	
11.801 Native American Business Enterprise Centers (B)	X	
11.803 Minority Business Opportunity Center (MBOC) (B)	X	
<b>DEPARTMENT OF DEFENSE</b>		
<b>DEFENSE LOGISTICS AGENCY</b>		
12.002 Procurement Technical Assistance For Business Firms (B)	X	
12.614 Community Economic Adjustment Diversification Planning (B)	X	
<b>DEPARTMENT OF THE ARMY, OFFICE OF THE CHIEF OF ENGINEERS</b>		
12.100 Aquatic Plant Control (J,L)		X
12.101 Beach Erosion Control Projects (J)		X
12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (J)		X
12.103 Emergency Operations Flood Response and Post Flood Response (J)		X
12.104 Flood Plain Management Services (K,L)		X
12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)		X
12.106 Flood Control Projects (J)		X
12.107 Navigation Projects (J)		X
12.108 Snagging and Clearing for Flood Control (J)		X
12.109 Protection, Clearing and Straightening Channels (J)		X
12.110 Planning Assistance to States (J)		X
12.111 Emergency Advance Measures for Flood Prevention (J)		X
12.112 Payments to States in Lieu of Real Estate Taxes (A)	X	
12.113 State Memorandum of Agreement Program for the Reimbursement of Technical Services (B)	X	
12.114 Collaborative Research and Development (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
12.116 Department of Defense Appropriation Act of 2003 (J)		X
<b>DEPARTMENT OF THE ARMY, AVIATION APPLIED TECHNOLOGY DIRECTORATE</b>		
12.404 National Guard Civilian Youth Opportunities (A)	X	
<b>DEPARTMENT OF THE NAVY, OFFICE OF THE CHIEF OF NAVAL RESEARCH</b>		
12.300 Basic and Applied Scientific Research (B)	X	
12.350 Department of Defense HIV/AIDS Prevention Program (B)	X	
<b>NATIONAL GUARD BUREAU</b>		
12.400 Military Construction, National Guard (B)	X	
12.401 National Guard Military Operations and Maintenance (O&M) Projects (B)	X	
<b>U.S. ARMY MEDICAL COMMAND</b>		
12.420 Military Medical Research and Development (B)	X	
<b>U.S. ARMY MATERIEL COMMAND</b>		
12.431 Basic Scientific Research (B)	X	
<b>OFFICE OF THE ASSISTANT SECRETARY (STRATEGY AND REQUIREMENTS)</b>		
12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education (B)	X	
12.551 National Security Education Program David L. Boren Scholarships (B)	X	
12.552 National Security Education Program David L. Boren Fellowships (B)	X	
12.553 National Flagship Language Program Fellowships (B)	X	
12.554 English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (B)	X	
12.555 English for Heritage Language Speakers Scholarships (B)	X	
<b>OFFICE OF ECONOMIC ADJUSTMENT</b>		
12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation (B)	X	
12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)	X	
12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment (B)	X	
<b>OFFICE OF THE SECRETARY OF DEFENSE</b>		
12.351 Basic Scientific Research - Combating Weapons of Mass Destruction (B)	X	
12.352 Scientific Research - Combating Weapons of Mass Destruction (B)	X	
12.360 Research on Chemical and Biological Defense (B)	X	
12.630 Basic, Applied, and Advanced Research in Science and Engineering (B)	X	
<b>SECRETARIES OF MILITARY DEPARTMENTS</b>		
12.700 Donations/Loans of Obsolete DOD Property (I)		X
<b>DEPARTMENT OF THE AIR FORCE, MATERIEL COMMAND</b>		
12.800 Air Force Defense Research Sciences Program (B)	X	
<b>NATIONAL SECURITY AGENCY</b>		
12.900 Language Grant Program (B)	X	
12.901 Mathematical Sciences Grants Program (B)	X	
12.902 Information Security Grant Program (B)	X	
<b>ADVANCED RESEARCH PROJECTS AGENCY</b>		
12.910 Research and Technology Development (B)	X	
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>		
<b>OFFICE OF HOUSING-FEDERAL HOUSING COMMISSIONER</b>		
14.103 Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)	X	
14.108 Rehabilitation Mortgage Insurance (F)	X	
14.110 Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)	X	
14.112 Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)	X	
14.117 Mortgage Insurance_Homes (F)	X	
14.119 Mortgage Insurance_Homes for Disaster Victims (F)	X	
14.122 Mortgage Insurance_Homes in Urban Renewal Areas (F)	X	
14.123 Mortgage Insurance_Housing in Older, Declining Areas (F)	X	
14.126 Mortgage Insurance_Cooperative Projects (F)	X	
14.127 Mortgage Insurance_Manufactured Home Parks (F)	X	
14.128 Mortgage Insurance_Hospitals (F)	X	
14.129 Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)	X	
14.133 Mortgage Insurance_Purchase of Units in Condominiums (F)	X	
14.134 Mortgage Insurance_Rental Housing (F)	X	
14.135 Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)	X	
14.138 Mortgage Insurance_Rental Housing for the Elderly (F)	X	
14.139 Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)	X	
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)	X	
14.149 Rent Supplements_Rental Housing for Lower Income Families (C)	X	
14.151 Supplemental Loan Insurance_Multifamily Rental Housing (F)	X	
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)	X	
14.157 Supportive Housing for the Elderly (C)	X	
14.159 Section 245 Graduated Payment Mortgage Program (F)	X	



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Program Description	Financial	Non-Financial	
14.162	Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)	X	
14.163	Mortgage Insurance_Single Family Cooperative Housing (F)	X	
14.164	Operating Assistance for Troubled Multifamily Housing Projects (C)	X	
14.167	Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)	X	
14.168	Land Sales_Certain Subdivided Land (L,N)		X
14.169	Housing Counseling Assistance Program (B)	X	
14.171	Manufactured Home Construction and Safety Standards (L,N)		X
14.172	Mortgage Insurance_Growing Equity Mortgages (F)	X	
14.175	Adjustable Rate Mortgages (F)	X	
14.181	Supportive Housing for Persons with Disabilities (C)	X	
14.183	Home Equity Conversion Mortgages (F)	X	
14.184	Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)	X	
14.188	Housing Finance Agencies (HFA) Risk Sharing (F)	X	
14.189	Qualified Participating Entities (QPE) Risk Sharing (F)	X	
14.191	Multifamily Housing Service Coordinators (B)	X	
14.195	Section 8 Housing Assistance Payments Program_Special Allocations (C)	X	
14.197	Multifamily Assisted Housing Reform and Affordability Act (C)	X	
14.198	Good Neighbor Next Door Sales Program (H)		X
14.199	Multifamily Property Disposition (H)		X
14.311	Single Family Property Disposition (H)		X
14.313	Dollar Home Sales (H)		X
14.314	Assisted Living Conversion for Eligible Multifamily Housing Projects (B)	X	
14.315	Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)	X	
14.316	Housing Counseling Training Program (B)	X	
14.515	Alaska Native/Native Hawaiian Institutions Assisting Communities (B)	X	
14.876	Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (B)	X	
14.877	Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)	X	
<b>OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT</b>			
14.218	Community Development Block Grants/Entitlement Grants (A)	X	
14.225	Community Development Block Grants/Special Purpose Grants/Insular Areas (B)	X	
14.227	Community Development Block Grants/Technical Assistance Program (B)	X	
14.228	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)	X	
14.231	Emergency Shelter Grants Program (A)	X	
14.235	Supportive Housing Program (B,C)	X	
14.238	Shelter Plus Care (B)	X	
14.239	Home Investment Partnerships Program (A)	X	
14.241	Housing Opportunities for Persons with AIDS (A,B)	X	
14.244	Empowerment Zones Program (B,C)	X	
14.246	Community Development Block Grants/Brownfields Economic Development Initiative (B)	X	
14.247	Self-Help Homeownership Opportunity Program (B)	X	
14.248	Community Development Block Grants_Section 108 Loan Guarantees (F)	X	
14.249	Section 8 Moderate Rehabilitation Single Room Occupancy (B)	X	
14.250	Rural Housing and Economic Development (B)	X	
14.251	Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)	X	
14.252	Section 4 Capacity Building for Affordable Housing and Community Development Grants (B)	X	
<b>OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY</b>			
14.400	Equal Opportunity in Housing (N)		X
14.401	Fair Housing Assistance Program_State and Local (B)	X	
14.402	Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (N)		X
14.404	Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (N)		X
14.405	Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color, or National Origin) (N)		X
14.406	Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (N)		X
14.407	Architectural Barriers Act Enforcement (N)		X
14.408	Fair Housing Initiatives Program (B)	X	
14.412	Employment Opportunities for Lower Income Persons and Businesses (N)		X
14.414	Non-Discrimination on the Basis of Disability by Public Entities (N)		X
14.415	Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (N)		X
<b>OFFICE OF POLICY DEVELOPMENT AND RESEARCH</b>			
14.506	General Research and Technology Activity (B)	X	
14.514	Hispanic-Serving Institutions Assisting Communities (B)	X	
14.516	Doctoral Dissertation Research Grants (B)	X	
14.517	Early Doctoral Student Research Grants (B)	X	
14.519	Tribal Colleges and Universities Program (B)	X	
14.520	Historically Black Colleges and Universities Program (B)	X	
<b>OFFICE OF PUBLIC AND INDIAN HOUSING</b>			
14.850	Public and Indian Housing (C)	X	
14.856	Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)	X	
14.862	Indian Community Development Block Grant Program (B)	X	
14.865	Public and Indian Housing_Indian Loan Guarantee Program (F)	X	
14.866	Demolition and Revitalization of Severely Distressed Public Housing (B)	X	
14.867	Indian Housing Block Grants (A)	X	
14.869	Title VI Federal Guarantees for Financing Tribal Housing Activities (F)	X	



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Program Description	Financial	Non-Financial
14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)	X	
14.871 Section 8 Housing Choice Vouchers (C)	X	
14.872 Public Housing Capital Fund (A)	X	
14.873 Native Hawaiian Housing Block Grants (B)	X	
14.874 Loan Guarantees for Native Hawaiian Housing (F)	X	
14.875 Public Housing Neighborhood Networks Grants (B)	X	
14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)	X	
14.879 Mainstream Vouchers (C)	X	
14.880 Family Unification Program (FUP) (C)	X	
14.881 Moving to Work Demonstration Program (A)	X	
<b>OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</b>		
14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)	X	
14.901 Healthy Homes Demonstration Grants (B)	X	
14.902 Lead Technical Studies Grants (B)	X	
14.903 Operation Lead Elimination Action Program (B)	X	
14.904 Lead Outreach Grants (B)	X	
14.905 Lead Hazard Reduction Demonstration Grant Program (B)	X	
14.906 Healthy Homes Technical Studies Grants (B)	X	
<b>DEPARTMENT OF THE INTERIOR</b>		
<b>BUREAU OF INDIAN AFFAIRS</b>		
15.020 Aid To Tribal Governments (C)	X	
15.021 Consolidated Tribal Government Program (C)	X	
15.022 Tribal Self-Governance (C)	X	
15.024 Indian Self-Determination Contract Support (C)	X	
15.025 Services to Indian Children, Elderly and Families (C)	X	
15.026 Indian Adult Education (C)	X	
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)	X	
15.028 Tribally Controlled Community College Endowments (B)	X	
15.029 Tribal Courts (C)	X	
15.030 Indian Law Enforcement (C)	X	
15.031 Indian Community Fire Protection (C)	X	
15.032 Indian Economic Development (C)	X	
15.033 Road Maintenance_Indian Roads (C)	X	
15.034 Agriculture on Indian Lands (C,J,K)	X	X
15.035 Forestry on Indian Lands (C,J,K)	X	X
15.036 Indian Rights Protection (C)	X	
15.037 Water Resources on Indian Lands (C,J,K)	X	X
15.038 Minerals and Mining on Indian Lands (C,J,L)	X	X
15.040 Real Estate Programs_Indian Lands (C)	X	
15.041 Environmental Management_Indian Programs (C)	X	
15.042 Indian School Equalization Program (C)	X	
15.043 Indian Child and Family Education (B,M)	X	X
15.044 Indian Schools_Student Transportation (C)	X	
15.045 Assistance for Indian Children with Severe Disabilities (C)	X	
15.046 Administrative Cost Grants for Indian Schools (B)	X	
15.047 Indian Education Facilities, Operations, and Maintenance (C)	X	
15.048 Bureau of Indian Affairs Facilities_Operations and Maintenance (C)	X	
15.051 Endangered Species on Indian Lands (C,K,L)	X	X
15.052 Litigation Support for Indian Rights (C)	X	
15.053 Attorney Fees_Indian Rights (C)	X	
15.055 Alaskan Indian Allotments and Subsistence Preference_Alaska National Interest Lands Conservation Act (C)	X	
15.057 Navajo-Hopi Indian Settlement Program (C,J)	X	X
15.058 Indian Post Secondary Schools (M)		X
15.059 Indian Graduate Student Scholarships (B)	X	
15.060 Indian Vocational Training_United Tribes Technical College (D,M)	X	X
15.061 Indian Job Placement_United Sioux Tribes Development Corporation (D,K)	X	X
15.062 Replacement and Repair of Indian Schools (C)	X	
15.063 Improvement and Repair of Indian Detention Facilities (C)	X	
15.064 Structural Fire Protection_Bureau of Indian Affairs Facilities (C)	X	
15.065 Safety of Dams on Indian Lands (C)	X	
15.108 Indian Employment Assistance (C)	X	
15.113 Indian Social Services_Welfare Assistance (C)	X	
15.114 Indian Education_Higher Education Grant Program (B)	X	
15.124 Indian Loans_Economic Development (F)	X	
15.130 Indian Education_Assistance to Schools (C)	X	
15.141 Indian Housing Assistance (B,L)	X	X
15.144 Indian Child Welfare Act_Title II Grants (B)	X	
15.146 Ironworker Training Program (B)	X	
15.147 Tribal Courts_Trust Reform Initiative (B)	X	
15.133 Native American Business Development Institute (A)	X	
<b>BUREAU OF LAND MANAGEMENT</b>		
15.214 Non-Sale Disposals of Mineral Material (H)		X
15.222 Cooperative Inspection Agreements with States and Tribes (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.224 Cultural Resource Management (B,H,I,J,K,L,M,N)	X	X
15.225 Recreation Resource Management (B,I,J,K,L,M)	X	X
15.226 Payments in Lieu of Taxes (C,D)	X	
15.227 Distribution of Receipts to State and Local Governments (C,D)	X	
15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)	X	X
15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)	X	X
15.230 Invasive and Noxious Plant Management (B,K,M)	X	X
15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	X	X
15.232 Wildland Fire Research and Studies Program (B)	X	
15.233 Forests and Woodlands Resource Management (B,K,M)	X	X
15.234 Secure Rural Schools and Community Self-Determination (B)	X	
15.235 Southern Nevada Public Land Management (B)	X	
15.236 Environmental Quality and Protection Resource Management (B,K,L,M)	X	X
15.237 Rangeland Resource Management (B,K,M)	X	X
15.238 Challenge Cost Share (B,I,K,M)	X	X
15.239 Management Initiatives (B,I,K,M)	X	X
15.240 Helium Resource Management (B)	X	
15.242 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	X	X
<b>OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT</b>		
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)	X	
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)	X	
15.253 Not-for-Profit AMD Reclamation (B)	X	
15.254 Summer Watershed Intern (C)	X	
15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)	X	
<b>BUREAU OF RECLAMATION</b>		
15.504 Water Reclamation and Reuse Program (A)	X	
15.506 Water Desalination Research and Development Program (B)	X	
15.507 Water 2025 (B)	X	
15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B)	X	
15.509 Colorado River Basin Salinity Control Program (B)	X	
15.510 Colorado Ute Indian Water Rights Settlement Act (B)	X	
15.511 Cultural Resources Management (B)	X	
15.512 Central Valley Project Improvement Act, Title XXXIV (B)	X	
15.513 Dutch John Federal Property and Disposition Assistance Act (B)	X	
15.514 Reclamation States Emergency Drought Relief (B,J,K)	X	X
15.515 Federal Resource Protection (B)	X	
15.516 Fort Peck Reservation Rural Water System (B)	X	
15.517 Fish and Wildlife Coordination Act (B)	X	
15.518 Garrison Diversion Unit (B)	X	
15.519 Indian Tribal Water Resources Development, Management, and Protection (B)	X	
15.520 Lewis and Clark Rural Water System (B)	X	
15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)	X	
15.522 Mni Wiconi Rural Water Supply Project (B)	X	
15.523 Perkins County Rural Water System (B)	X	
15.524 Recreation Resources Management (B)	X	
15.525 Rocky Boy's/North Central Montana Regional Water System (B)	X	
15.526 San Gabriel Basin Restoration Project (B)	X	
15.527 San Luis Unit, Central Valley Project (B)	X	
15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)	X	
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)	X	
15.530 Water Conservation Field Services Program (WCFSP) (B)	X	
15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)	X	
15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)	X	
15.533 California Water Security and Environmental Enhancement (B)	X	
15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)	X	
<b>FISH AND WILDLIFE SERVICE</b>		
15.602 Conservation Law Enforcement Training Assistance (M)		X
15.605 Sport Fish Restoration Program (A)	X	
15.608 Fish and Wildlife Management Assistance (J)		X
15.611 Wildlife Restoration (A)	X	
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)	X	
15.615 Cooperative Endangered Species Conservation Fund (B)	X	
15.616 Clean Vessel Act (B)	X	
15.619 Rhinoceros and Tiger Conservation Fund (B)	X	
15.620 African Elephant Conservation Fund (B)	X	
15.621 Asian Elephant Conservation Fund (B)	X	
15.622 Sportfishing and Boating Safety Act (B)	X	
15.623 North American Wetlands Conservation Fund (B)	X	
15.625 Wildlife Conservation and Restoration (A)	X	
15.626 Hunter Education and Safety Program (A)	X	
15.628 Multistate Conservation Grant Program (B)	X	
15.629 Great Apes Conservation Fund (B)	X	
15.630 Coastal Program (B)	X	
15.631 Partners for Fish and Wildlife (C)	X	
15.632 Conservation Grants Private Stewardship for Imperiled Species (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.633 Landowner Incentive Program (B)	X	
15.634 State Wildlife Grants (A,B)	X	
15.635 Neotropical Migratory Bird Conservation (B)	X	
15.636 Alaska Subsistence Management (B)	X	
15.637 Migratory Bird Joint Ventures (B)	X	
15.638 Tribal Landowner Incentive Program (B)	X	
15.639 Tribal Wildlife Grants Program (B)	X	
15.640 Wildlife Without Borders- Latin America and the Caribbean (B)	X	
15.641 Wildlife Without Borders-Mexico (B)	X	
15.642 Challenge Cost Share (B)	X	
15.643 Alaska Migratory Bird Co-Management Council (B)	X	
15.644 Federal Junior Duck Stamp Conservation and Design (C,H)	X	X
15.645 Marine Turtle Conservation Fund (B)	X	
15.647 Migratory Bird Conservation (B,C)	X	
15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)	X	
15.649 Service Training and Technical Assistance (Generic Training) (B)	X	
15.650 Research Grants (Generic) (B)	X	
15.651 Wildlife Without Borders-Africa Program (B)	X	
15.652 Undesirable/Noxious Plant Species (B)	X	
15.653 National Outreach and Communication Program (B)	X	
15.654 Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (B)	X	
15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)	X	
<b>GEOLOGICAL SURVEY</b>		
15.805 Assistance to State Water Resources Research Institutes (A,B)	X	
15.807 Earthquake Hazards Reduction Program (B)	X	
15.808 U.S. Geological Survey_ Research and Data Collection (B)	X	
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)	X	
15.810 National Cooperative Geologic Mapping Program (B)	X	
15.811 Gap Analysis Program (B)	X	
15.812 Cooperative Research Units Program (B)	X	
15.813 Cooperative Research Units Training Program (B)	X	
15.814 National Geological and Geophysical Data Preservation Program (B)	X	
15.815 National Land Remote Sensing_ Education Outreach and Research (B)	X	
15.816 Minerals Resources External Research Program (B)	X	
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)	X	
<b>INDIAN ARTS AND CRAFTS BOARD</b>		
15.850 Indian Arts and Crafts Development (I,K,N)		X
<b>OFFICE OF TERRITORIAL AND INTERNATIONAL AFFAIRS</b>		
15.875 Economic, Social, and Political Development of the Territories (B)	X	
<b>NATIONAL PARK SERVICE</b>		
15.406 National Park Service Centennial Challenge. (A)	X	
15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B)	X	
15.904 Historic Preservation Fund Grants-In-Aid (A,B)	X	
15.912 National Historic Landmark (K)		X
15.914 National Register of Historic Places (K)		X
15.915 Technical Preservation Services (J,K,L)		X
15.916 Outdoor Recreation_ Acquisition, Development and Planning (B)	X	
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (I)		X
15.921 Rivers, Trails and Conservation Assistance (K)		X
15.922 Native American Graves Protection and Repatriation Act (B)	X	
15.923 National Center for Preservation Technology and Training (B)	X	
15.926 American Battlefield Protection (B)	X	
15.927 Hydropower Recreation Assistance (K)		X
15.928 Civil War Battlefield Land Acquisition Grants (B)	X	
15.929 Save America's Treasures (B)	X	
15.930 Chesapeake Bay Gateways Network (B)	X	
15.931 Conservation Activities by Youth Service Organizations (B)	X	
<b>MINERALS MANAGEMENT SERVICE</b>		
15.421 Alaska Coastal Marine Institute (B)	X	
15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)	X	
15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)	X	
15.424 Marine Minerals Activities (B)	X	
15.425 Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (B)	X	
15.426 Coastal Impact Assistance Program (CIAP) (A)	X	
15.427 Federal Oil and Gas Royalty Management (B)	X	
15.428 Marine Gas Hydrate Research Activities (B)	X	
<b>DEPARTMENT OF JUSTICE</b>		
<b>DRUG ENFORCEMENT ADMINISTRATION</b>		
16.001 Law Enforcement Assistance_ Narcotics and Dangerous Drugs_ Laboratory Analysis (J)		X
16.003 Law Enforcement Assistance_ Narcotics and Dangerous Drugs_ Technical Laboratory Publications (L)		X
16.004 Law Enforcement Assistance_ Narcotics and Dangerous Drugs Training (M)		X

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
16.012 Alcohol, Tobacco, and Firearms_Training Assistance (M)		X
16.750 Support for Adam Walsh Act Implementation Grant Program (B)	X	
<b>CIVIL RIGHTS DIVISION</b>		
16.100 Desegregation of Public Education (J)		X
16.101 Equal Employment Opportunity (J)		X
16.103 Fair Housing and Equal Credit Opportunity (J)		X
16.104 Protection of Voting Rights (J)		X
16.105 Civil Rights of Institutionalized Persons (J)		X
16.108 Americans With Disabilities Act Technical Assistance Program (B,L,M,N)	X	X
16.109 Civil Rights Prosecution (B)	X	
16.110 Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (B,J,N)	X	X
16.749 Radiation Exposure Compensation Program (B)	X	
<b>COMMUNITY RELATIONS SERVICE</b>		
16.200 Community Relations Service (J)		X
<b>FEDERAL BUREAU OF INVESTIGATION</b>		
16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)		X
16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)		X
16.302 Law Enforcement Assistance_FBI Field Police Training (M)		X
16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)		X
16.304 Law Enforcement Assistance_National Crime Information Center (J)		X
16.305 Law Enforcement Assistance_Uniform Crime Reports (L)		X
16.307 Combined DNA Index System (B)	X	
16.308 Indian Country Investigations (M)		X
16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)		X
<b>OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION</b>		
16.523 Juvenile Accountability Block Grants (A,B)	X	
16.540 Juvenile Justice and Delinquency Prevention_Allocation to States (A,B)	X	
16.541 Part E - Developing, Testing and Demonstrating Promising New Programs (B,J)	X	X
16.543 Missing Children's Assistance (B)	X	
16.547 Victims of Child Abuse (B)	X	
16.548 Title V_Delinquency Prevention Program (A)	X	
16.726 Juvenile Mentoring Program (B)	X	
16.727 Enforcing Underage Drinking Laws Program (B)	X	
16.730 Reduction and Prevention of Children's Exposure to Violence (B)	X	
16.731 Tribal Youth Program (B)	X	
16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)	X	
16.737 Gang Resistance Education and Training (B)	X	
<b>BUREAU OF JUSTICE STATISTICS</b>		
16.550 State Justice Statistics Program for Statistical Analysis Centers (B)	X	
16.554 National Criminal History Improvement Program (NCHIP) (B)	X	
16.734 Special Data Collections and Statistical Studies (B)	X	
16.739 National Prison Rape Statistics Program (B)	X	
<b>NATIONAL INSTITUTE OF JUSTICE</b>		
16.560 National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)	X	X
16.562 Criminal Justice Research and Development_Graduate Research Fellowships (B)	X	
16.566 National Institute of Justice W.E.B. DuBois Fellowship Program (B)	X	
16.741 Forensic DNA Backlog Reduction Program (A)	X	
16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)	X	
16.748 Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (A)	X	
<b>BUREAU OF JUSTICE ASSISTANCE</b>		
16.571 Public Safety Officers' Benefits Program (D)	X	
16.578 Federal Surplus Property Transfer Program (H)		X
16.579 Edward Byrne Memorial Formula Grant Program (A)	X	
16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)	X	
16.597 Motor Vehicle Theft Protection Act Program (B)	X	
16.606 State Criminal Alien Assistance Program (D)	X	
16.607 Bulletproof Vest Partnership Program (C)	X	
16.608 Tribal Court Assistance Program (B)	X	
16.609 Community Prosecution and Project Safe Neighborhoods (B)	X	
16.610 Regional Information Sharing Systems (B)	X	
16.611 Closed-Circuit Televising of Child Victims of Abuse (B)	X	
16.612 National White Collar Crime Center (B)	X	
16.614 State and Local Anti-Terrorism Training (K,L,M)		X
16.615 Public Safety Officers' Educational Assistance (D)	X	
16.616 Indian Country Alcohol and Drug Prevention (B)	X	
16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)	X	
16.740 Statewide Automated Victim Information Notification (SAVIN) Program (B)	X	
16.744 Anti-Gang Initiative (B)	X	
16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (B)	X	
16.746 Capital Case Litigation (B)	X	
16.751 Edward Byrne Memorial Competitive Grant Program (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
16.752 Economic High-Tech and Cyber Crime Prevention (B)	X	
16.753 Congressionally Recommended Awards (B)	X	
16.754 Harold Rogers Prescription Drug Monitoring Program (B)	X	
<b>OFFICE OF VICTIMS OF CRIME</b>		
16.320 Services for Trafficking Victims (B,C)	X	
16.321 Antiterrorism Emergency Reserve (B,C)	X	
16.575 Crime Victim Assistance (A)	X	
16.576 Crime Victim Compensation (A)	X	
16.582 Crime Victim Assistance/Discretionary Grants (B,C)	X	
16.583 Children's Justice Act Partnerships for Indian Communities (B,C)	X	
16.747 Crime Victims' Rights Act (B)	X	
<b>DRUG COURT PROGRAM OFFICE</b>		
16.585 Drug Court Discretionary Grant Program (B)	X	
<b>CORRECTIONS PROGRAM OFFICE</b>		
16.202 Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)	X	
16.203 Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)	X	X
16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)	X	
16.593 Residential Substance Abuse Treatment for State Prisoners (A)	X	
16.596 Correctional Grant Program for Indian Tribes (B)	X	
<b>VIOLENCE AGAINST WOMEN OFFICE</b>		
16.013 Violence Against Women Act Court Training and Improvement Grants (B)	X	
16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)	X	
16.016 Culturally and Linguistically Specific Services Program (B)	X	
16.017 Sexual Assault Services Program (A,B)	X	
16.019 Tribal Registry (B)	X	
16.524 Legal Assistance for Victims (B)	X	
16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)	X	
16.526 OVW Technical Assistance Initiative (B)	X	
16.527 Supervised Visitation, Safe Havens for Children (B)	X	
16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)	X	
16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)	X	
16.556 Grants to State Sexual Assault and Domestic Violence Coalitions (A)	X	
16.557 Tribal Domestic Violence and Sexual Assault Coalitions Program (B)	X	
16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)	X	
16.588 Violence Against Women Formula Grants (A)	X	
16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)	X	
16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)	X	
16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)	X	
<b>BUREAU OF PRISONS</b>		
16.601 Corrections_Training and Staff Development (B,J,L,M)	X	X
16.602 Corrections_Research and Evaluation and Policy Formulation (B,J,L)	X	X
16.603 Corrections_Technical Assistance/Clearinghouse (B,J,L)	X	X
<b>OFFICE OF COMMUNITY ORIENTED POLICING SERVICES</b>		
16.710 Public Safety Partnership and Community Policing Grants (B)	X	
<b>DEPARTMENT OF LABOR</b>		
<b>BUREAU OF LABOR STATISTICS</b>		
17.002 Labor Force Statistics (B,L)	X	X
17.003 Prices and Cost of Living Data (L)		X
17.004 Productivity and Technology Data (L)		X
17.005 Compensation and Working Conditions (B,L)	X	X
17.807 Transition Assistance Program (B)	X	
<b>OFFICE OF LABOR-MANAGEMENT STANDARDS</b>		
17.309 Labor Organization Reports (K,L,N)		X
<b>EMPLOYEE BENEFITS SECURITY ADMINISTRATION</b>		
17.150 Employee Benefits Security Administration (L)		X
<b>EMPLOYMENT AND TRAINING ADMINISTRATION</b>		
17.201 Registered Apprenticeship and Other Training (B,K)	X	X
17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)	X	
17.225 Unemployment Insurance (A,D)	X	
17.235 Senior Community Service Employment Program (A,B)	X	
17.245 Trade Adjustment Assistance (B)	X	
17.258 WIA Adult Program (A)	X	
17.259 WIA Youth Activities (A)	X	
17.260 WIA Dislocated Workers (A,B)	X	
17.261 WIA Pilots, Demonstrations, and Research Projects (B)	X	
17.264 National Farmworker Jobs Program (A)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
17.265 Native American Employment and Training (B)	X	
17.266 Work Incentive Grants (B)	X	
17.267 Incentive Grants - WIA Section 503 (A,B)	X	
17.268 H-1B Job Training Grants (B)	X	
17.269 Community Based Job Training Grants (B)	X	
17.270 Reintegration of Ex-Offenders (B)	X	
17.271 Work Opportunity Tax Credit Program (WOTC) (A)	X	
17.272 Permanent Labor Certification for Foreign Workers (J)		X
17.273 Temporary Labor Certification for Foreign Workers (A,J)	X	X
17.274 YOUTHBUILD (B)	X	
<b>EMPLOYMENT STANDARDS ADMINISTRATION</b>		
17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (N)		X
17.302 Longshore and Harbor Workers' Compensation (D)	X	
17.303 Wage and Hour Standards (K,N)		X
17.306 Consumer Credit Protection (K,N)		X
17.307 Coal Mine Workers' Compensation (D)	X	
17.308 Farm Labor Contractor Registration (K,N)		X
17.310 Energy Employees Occupational Illness Compensation (D)	X	
<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION</b>		
17.502 Occupational Safety and Health Susan Harwood Training Grants (B)	X	
17.503 Occupational Safety and Health State Program (B)	X	
17.504 Consultation Agreements (B)	X	
17.505 OSHA Data Initiative (B)	X	
<b>MINE SAFETY AND HEALTH ADMINISTRATION</b>		
17.600 Mine Health and Safety Grants (B)	X	
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)		X
17.602 Mine Health and Safety Education and Training (M)		X
17.603 Brookwood-Sago Grant (B)	X	
17.604 Safety and Health Grants (B)	X	
<b>OFFICE OF THE SECRETARY, WOMEN'S BUREAU</b>		
17.700 Women's Bureau (K)		X
<b>OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING</b>		
17.801 Disabled Veterans' Outreach Program (DVOP) (A)	X	
17.802 Veterans' Employment Program (B)	X	
17.803 Uniformed Services Employment and Reemployment Rights (K,L,N)		X
17.804 Local Veterans' Employment Representative Program (A)	X	
17.805 Homeless Veterans Reintegration Project (B)	X	
17.806 Veteran's Preference in Federal Employment (O)		X
<b>Office of Disability Employment Policy</b>		
17.720 Disability Employment Policy Development (B)	X	
<b>DEPARTMENT OF STATE</b>		
19.430 International Education Training and Research (B)	X	
<b>BUREAU OF OCEANS AND INTERNATIONAL ENVIRONMENTAL AND SCIENTIFIC AFFAIRS</b>		
19.204 Fishermen's Guaranty Fund (G)	X	
<b>BUREAU OF INTELLIGENCE AND RESEARCH</b>		
19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)	X	
<b>BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS</b>		
19.400 Educational Exchange Graduate Students (B)	X	
19.401 Educational Exchange University Lecturers (Professors) and Research Scholars (B)	X	
19.402 International Visitors Program (B)	X	
19.403 American Council of Young Political Leaders (B)	X	
19.408 Educational Exchange Teachers from Secondary and Postsecondary Levels and School Administrators (B)	X	
19.409 Arts Exchanges on International Issues (B)	X	
19.410 Educational Exchange Congress-Bundestag Youth Exchange (B)	X	
19.415 Professional Exchanges Annual Open Grant (B)	X	
19.418 Educational Exchange American Studies Institute (B)	X	
19.421 Exchange English Language Fellow Program (B)	X	
19.423 Exchange English Language Specialist/Speaker Program (B)	X	
19.425 Benjamin Gilman International Scholarship (C)	X	
19.431 Educational Exchange Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (B)	X	
19.432 Overseas Educational Advising (B)	X	
<b>BUREAU OF NEAR EASTERN AFFAIRS</b>		
19.500 Middle East Partnership Initiative (MEPI) (B)	X	
<b>BUREAU OF POPULATION, REFUGEES, AND MIGRATION</b>		
19.510 U.S. Refugee Admissions Program (B)	X	

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Program Description	Financial	Non-Financial
19.511 Overseas Refugee Assistance Programs for East Asia (B)	X	
19.517 Overseas Refugee Assistance Programs for Africa (B)	X	
19.518 Overseas Refugee Assistance Programs for Western Hemisphere (B)	X	
19.519 Overseas Refugee Assistance Program for Near East and South Asia (B)	X	
19.520 Overseas Refugee Assistance Programs for Europe (B)	X	
19.522 Overseas Refugee Assistance Programs for Strategic Global Priorities (B)	X	
<b>DEPARTMENT OF TRANSPORTATION</b>		
20.233 Border Enforcement Grants (B)	X	
20.607 Alcohol Open Container Requirements (B)	X	
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)	X	
20.721 PHMSA Pipeline Safety Program One Call Grant (B)	X	
20.760 University Transportation Centers (B)	X	
20.761 Biobased Transportation Research (B)	X	
20.762 Research Grants (B)	X	
20.100 Aviation Education (K)		X
20.106 Airport Improvement Program (B,K)	X	X
20.108 Aviation Research Grants (B,I)	X	X
20.109 Air Transportation Centers of Excellence (B,I,J)	X	X
<b>FEDERAL HIGHWAY ADMINISTRATION</b>		
20.200 Highway Research and Development Program (B)	X	
20.205 Highway Planning and Construction (A,B)	X	
20.215 Highway Training and Education (B,M)	X	X
20.219 Recreational Trails Program (A,B)	X	
20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)	X	
20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)	X	
<b>FEDERAL RAILROAD ADMINISTRATION</b>		
20.301 Railroad Safety (N)		X
20.303 Grants-in-Aid for Railroad Safety_State Participation (B)	X	
20.312 High Speed Ground Transportation_Next Generation High Speed Rail Program (B)	X	
20.313 Railroad Research and Development (B)	X	
20.314 Railroad Development (B)	X	
20.315 National Railroad Passenger Corporation Grants (B)	X	
20.316 Railroad Rehabilitation and Improvement Financing Program (E)	X	
20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)	X	
20.318 Maglev Project Selection Program - SAFETEA-LU (B)	X	
<b>FEDERAL TRANSIT ADMINISTRATION</b>		
20.500 Federal Transit_Capital Investment Grants (A,B)	X	
20.505 Federal Transit_Metropolitan Planning Grants (A)	X	
20.507 Federal Transit_Formula Grants (A)	X	
20.509 Formula Grants for Other Than Urbanized Areas (A)	X	
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)	X	
20.514 Public Transportation Research (B,L,M)	X	X
20.515 State Planning and Research (A)	X	
20.516 Job Access_Reverse Commute (B)	X	
20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)	X	
20.519 Clean Fuels (B)	X	
20.521 New Freedom Program (A)	X	
20.522 Alternatives Analysis (B)	X	
<b>NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION</b>		
20.600 State and Community Highway Safety (A)	X	
20.601 Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (B)	X	
20.602 Occupant Protection (B)	X	
20.605 Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (B)	X	
20.609 Safety Belt Performance Grants (B)	X	
20.610 State Traffic Safety Information System Improvement Grants (B)	X	
20.611 Incentive Grant Program to Prohibit Racial Profiling (B)	X	
20.612 Incentive Grant Program to Increase Motorcycle Safety (B)	X	
20.613 Child Safety and Child Booster Seats Incentive Grants (B)	X	
20.614 National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (B)	X	
<b>RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION</b>		
20.701 University Transportation Centers Program (B)	X	
20.704 RITA Hydrogen (B)	X	
20.764 Hydrogen Storage Research and Development (B)	X	
<b>MARITIME ADMINISTRATION</b>		
20.763 Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (B)	X	
20.802 Federal Ship Financing Guarantees (F)	X	
20.803 Maritime War Risk Insurance (G)	X	
20.806 State Maritime Schools (C,I)	X	X
20.807 U.S. Merchant Marine Academy (M)		X
20.808 Capital Construction Fund (C)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
20.810 Supplementary Training (M)		X
20.812 Construction Reserve Fund (C)	X	
20.813 Maritime Security Fleet Program (C)	X	
20.814 Assistance to Small Shipyards (C)	X	
<b>OFFICE OF THE SECRETARY</b>		
20.900 Transportation_Consumer Affairs (N)		X
20.901 Payments for Essential Air Services (C)	X	
20.904 Bonding Assistance Program (G)	X	
20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)	X	
20.910 Assistance to small and disadvantaged businesses (B)	X	
20.930 Payments for Small Community Air Service Development (B)	X	
20.931 Transportation Planning, Research and Education (B)	X	
<b>PIPELINE AND HAZARDOUS MATERIAL SAFETY ADMINISTRATION</b>		
20.700 Pipeline Safety Program Base Grants (A)	X	
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)	X	
20.720 State Damage Prevention Program Grants (B)	X	
<b>FEDERAL MOTOR CARRIER SAFETY</b>		
20.218 National Motor Carrier Safety (A)	X	
20.231 Performance and Registration Information Systems Management (A)	X	
20.232 Commercial Driver License State Programs (B)	X	
20.234 Safety Data Improvement Program (B)	X	
20.235 Commercial Motor Vehicle Operator Training Grants (B)	X	
20.236 Thermal Imaging Inspection System Demonstration Project (B)	X	
20.237 Safety Data Improvement Program (B)	X	
20.238 Commercial Drivers License Information System (B)	X	
<b>DEPARTMENT OF THE TREASURY</b>		
<b>INTERNAL REVENUE SERVICE</b>		
21.003 Taxpayer Service (K)		X
21.004 Exchange of Federal Tax Information With State Tax Agencies (J)		X
21.006 Tax Counseling for the Elderly (B)	X	
21.008 Low-Income Taxpayer Clinics (B)	X	
<b>UNDER SECRETARY FOR DOMESTIC FINANCE</b>		
21.020 Community Development Financial Institutions Program (B)	X	
21.021 Bank Enterprise Award Program (B)	X	
<b>APPALACHIAN REGIONAL COMMISSION</b>		
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)	X	
23.002 Appalachian Area Development (B)	X	
23.003 Appalachian Development Highway System (B)	X	
23.009 Appalachian Local Development District Assistance (B)	X	
23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)	X	
<b>OFFICE OF PERSONNEL MANAGEMENT</b>		
27.001 Federal Civil Service Employment (O)		X
27.002 Federal Employment Assistance for Veterans (O)		X
27.003 Federal Student Temporary Employment Program (O)		X
27.005 Federal Employment for Individuals With Disabilities (O)		X
27.006 Federal Summer Employment (O)		X
27.011 Intergovernmental Personnel Act (IPA) Mobility Program (J,K)		X
27.013 Presidential Management Intern Program (J,M,O)		X
<b>COMMISSION ON CIVIL RIGHTS</b>		
29.001 Clearinghouse Services, Civil Rights Discrimination Complaints (L)		X
<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>		
30.001 Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N)		X
30.002 Employment Discrimination_State and Local Fair Employment Practices Agency Contracts (C)	X	
30.005 Employment Discrimination_Private Bar Program (J)		X
30.008 Employment Discrimination_Age Discrimination in Employment (K,N)		X
30.009 Employment Discrimination Project Contracts_Indian Tribes (C)	X	
30.010 Employment Discrimination Equal Pay Act (K,N)		X
30.011 Employment Discrimination_Title I of The Americans with Disabilities Act (K,N)		X
<b>FEDERAL COMMUNICATIONS COMMISSION</b>		
32.001 Communications Information and Assistance and Investigation of Complaints (L,N)		X
<b>FEDERAL MARITIME COMMISSION</b>		
33.001 Shipping_Dispute Resolution and Investigation of Complaints (N)		X

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Program Description	Financial	Non-Financial
<b>FEDERAL MEDIATION AND CONCILIATION SERVICE</b>		
34.001 Labor Mediation and Conciliation (J,K)		X
<b>FEDERAL TRADE COMMISSION</b>		
36.001 Fair Competition Counseling and Investigation of Complaints (K,N)		X
<b>GENERAL SERVICES ADMINISTRATION</b>		
39.002 Disposal of Federal Surplus Real Property (H)		X
39.003 Donation of Federal Surplus Personal Property (B)	X	
39.009 Federal Citizen Information Center (L)		X
39.012 Public Buildings Service (J)		X
<b>GOVERNMENT PRINTING OFFICE</b>		
40.001 Depository Libraries for Government Publications (L)		X
40.002 Government Publications Sales and Distribution (H,L)		X
<b>LIBRARY OF CONGRESS</b>		
42.001 Books for the Blind and Physically Handicapped (I)		X
42.002 Copyright Service (L)		X
42.008 Semiconductor Chip Protection Service (L)		X
42.009 Vessel Hull Design Protection Service (L)		X
<b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>		
43.001 Aerospace Education Services Program (L)		X
43.002 Technology Transfer (L)		X
<b>NATIONAL CREDIT UNION ADMINISTRATION</b>		
44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)	X	X
44.002 Community Development Revolving Loan Fund Program for Credit Unions (E)	X	
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>		
45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)	X	
45.025 Promotion of the Arts_Partnership Agreements (A,B,K)	X	X
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>		
45.129 Promotion of the Humanities_Federal/State Partnership (A)	X	
45.130 Promotion of the Humanities_Challenge Grants (B)	X	
45.149 Promotion of the Humanities_Division of Preservation and Access (B)	X	
45.160 Promotion of the Humanities_Fellowships and Stipends (B)	X	
45.161 Promotion of the Humanities_Research (B)	X	
45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B)	X	
45.163 Promotion of the Humanities_Professional Development (B)	X	
45.164 Promotion of the Humanities_Public Programs (B)	X	
45.168 Promotion of the Humanities_We the People (B,D)	X	
45.169 Promotion of the Humanities_Office of Digital Humanities (B)	X	
<b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>		
45.201 Arts and Artifacts Indemnity (G)	X	
<b>INSTITUTE OF MUSEUM AND LIBRARY SERVICES</b>		
45.301 Museums for America (B,C)	X	
45.302 Museum Assessment Program (C)	X	
45.303 Conservation Project Support (B,C)	X	
45.304 Conservation Assessment Program (C)	X	
45.307 21st Century Museum Professionals (B)	X	
45.308 Native American/Native Hawaiian Museum Services Program (B)	X	
45.309 Museum Grants for African American History and Culture (B)	X	
45.310 Grants to States (A)	X	
45.311 Native American and Native Hawaiian Library Services (B)	X	
45.312 National Leadership Grants (B)	X	
45.313 Laura Bush 21st Century Librarian Program (B)	X	
<b>NATIONAL LABOR RELATIONS BOARD</b>		
46.001 Labor-Management Relations (J,N)		X
<b>NATIONAL SCIENCE FOUNDATION</b>		
47.041 Engineering Grants (B)	X	
47.049 Mathematical and Physical Sciences (B)	X	
47.050 Geosciences (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
47.070 Computer and Information Science and Engineering (B)	X	
47.074 Biological Sciences (B)	X	
47.075 Social, Behavioral, and Economic Sciences (B)	X	
47.076 Education and Human Resources (B)	X	
47.078 Polar Programs (B)	X	
47.079 International Science and Engineering (OISE) (B)	X	
47.080 Office of Cyberinfrastructure (B)	X	
47.081 Office of Experimental Program to Stimulate Competitive Research (B)	X	
<b>RAILROAD RETIREMENT BOARD</b>		
57.001 Social Insurance for Railroad Workers (D)	X	
<b>SECURITIES AND EXCHANGE COMMISSION</b>		
58.001 Securities_ Investigation of Complaints and SEC Information (L,N)		X
<b>SMALL BUSINESS ADMINISTRATION</b>		
59.006 8(a) Business Development Program (J)		X
59.007 7(j) Technical Assistance (B)	X	
59.008 Disaster Assistance Loans (E)	X	
59.009 Procurement Assistance to Small Businesses (J)		X
59.011 Small Business Investment Companies (E,F,K)	X	X
59.012 7(a) Loan Guarantees (F)	X	
59.016 Surety Bond Guarantees (G)	X	
59.026 Service Corps of Retired Executives (K,M)		X
59.037 Small Business Development Centers (B,J,K,L)	X	X
59.041 504 Certified Development Loans (F)	X	
59.043 Women's Business Ownership Assistance (B)	X	
59.044 Veterans Business Development (B)	X	
59.046 Microloan Program (A,E)	X	
59.049 Small Disadvantaged Businesses (E)	X	
59.050 PRIME Technical Assistance (B)	X	
59.051 New Markets Venture Capital Program (B,F)	X	
59.052 Native American Outreach (B)	X	
59.053 Ombudsman and Regulatory Fairness Boards (N)		X
59.054 7(a)Export Loan Guarantees (F)	X	
59.055 HUBZone Program (B)	X	
59.070 Drug-Free Workplace Program (B)	X	
<b>DEPARTMENT OF VETERANS AFFAIRS</b>		
<b>VETERANS HEALTH ADMINISTRATION</b>		
64.005 Grants to States for Construction of State Home Facilities (B)	X	
64.007 Blind Rehabilitation Centers (J)		X
64.008 Veterans Domiciliary Care (J)		X
64.009 Veterans Medical Care Benefits (J)		X
64.010 Veterans Nursing Home Care (J)		X
64.011 Veterans Dental Care (J)		X
64.012 Veterans Prescription Service (H)		X
64.013 Veterans Prosthetic Appliances (J)		X
64.014 Veterans State Domiciliary Care (A)	X	
64.015 Veterans State Nursing Home Care (A)	X	
64.016 Veterans State Hospital Care (A)	X	
64.018 Sharing Specialized Medical Resources (J)		X
64.019 Veterans Rehabilitation_ Alcohol and Drug Dependence (J)		X
64.022 Veterans Home Based Primary Care (J)		X
64.024 VA Homeless Providers Grant and Per Diem Program (B)	X	
<b>VETERANS BENEFITS ADMINISTRATION</b>		
64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)	X	
64.101 Burial Expenses Allowance for Veterans (C)	X	
64.103 Life Insurance for Veterans (E)	X	
64.104 Pension for Non-Service-Connected Disability for Veterans (D)	X	
64.105 Pension to Veterans Surviving Spouses, and Children (D)	X	
64.106 Specially Adapted Housing for Disabled Veterans (C)	X	
64.109 Veterans Compensation for Service-Connected Disability (D)	X	
64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)	X	
64.114 Veterans Housing_ Guaranteed and Insured Loans (F)	X	
64.115 Veterans Information and Assistance (K)		X
64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)	X	X
64.117 Survivors and Dependents Educational Assistance (C)	X	
64.118 Veterans Housing_ Direct Loans for Certain Disabled Veterans (E)	X	
64.119 Veterans Housing_ Manufactured Home Loans (F)	X	
64.120 Post-Vietnam Era Veterans' Educational Assistance (C)	X	
64.124 All-Volunteer Force Educational Assistance (D)	X	
64.125 Vocational and Educational Counseling for Servicemembers and Veterans (K)		X
64.126 Native American Veteran Direct Loan Program (E)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
64.127 Monthly Allowance for Children of Vietnam Veterans Born with Spina Bifida (D)	X	
64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (C)	X	
<b>NATIONAL CEMETERY SYSTEM</b>		
64.026 Veterans State Adult Day Health Care (B)	X	
64.201 National Cemeteries (J)		X
64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)	X	X
64.203 State Cemetery Grants (B)	X	
<b>ENVIRONMENTAL PROTECTION AGENCY</b>		
<b>OFFICE OF AIR AND RADIATION</b>		
66.001 Air Pollution Control Program Support (B)	X	
66.032 State Indoor Radon Grants (B)	X	
66.033 Ozone Transport Commission (B)	X	
66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)	X	
66.035 Community Action for a Renewed Environment (CARE) Program (B)	X	
66.036 Clean School Bus USA (B)	X	
66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)	X	
66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)	X	
66.039 National Clean Diesel Funding Assistance Program (B)	X	
66.040 State Clean Diesel Grant Program (B)	X	
<b>OFFICE OF WATER</b>		
66.112 Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (B)	X	
66.113 Region 3 Environmental Priority Projects (B)	X	
66.115 Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (B)	X	
66.117 Region 9 multi-media and geographic priority projects (B)	X	
66.418 Construction Grants for Wastewater Treatment Works (B)	X	
66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)	X	
66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	X	
66.432 State Public Water System Supervision (A)	X	
66.433 State Underground Water Source Protection (A)	X	
66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	X	
66.437 Long Island Sound Program (B)	X	
66.439 Targeted Watersheds Grants (B)	X	
66.454 Water Quality Management Planning (A)	X	
66.456 National Estuary Program (B)	X	
66.458 Capitalization Grants for Clean Water State Revolving Funds (A)	X	
66.460 Nonpoint Source Implementation Grants (A)	X	
66.461 Regional Wetland Program Development Grants (B)	X	
66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)	X	
66.463 Water Quality Cooperative Agreements (B)	X	
66.466 Chesapeake Bay Program (B)	X	
66.467 Wastewater Operator Training Grant Program (Technical Assistance) (B)	X	
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)	X	
66.469 Great Lakes Program (B,I,L)	X	X
66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)	X	
66.472 Beach Monitoring and Notification Program Implementation Grants (A)	X	
66.473 Direct Implementation Tribal Cooperative Agreements (B)	X	
66.474 Water Protection Grants to the States (A)	X	
66.475 Gulf of Mexico Program (B)	X	
66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)	X	
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)	X	
66.481 Lake Champlain Basin Program (B)	X	
66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	X	
66.517 Regional Applied Research Efforts (RARE) (B)	X	
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)	X	
<b>OFFICE OF RESEARCH AND DEVELOPMENT</b>		
66.508 Senior Environmental Employment Program (B)	X	
66.509 Science To Achieve Results (STAR) Research Program (B)	X	
66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)	X	
66.512 Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)	X	
66.516 P3 Award: National Student Design Competition for Sustainability (B)	X	
<b>OFFICE OF ADMINISTRATION</b>		
66.202 Congressionally Mandated Projects (B)	X	
66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (B)	X	
66.514 Science To Achieve Results (STAR) Fellowship Program (B)	X	
66.515 Greater Research Opportunities (GRO) Research Program (B)	X	
66.518 State Senior Environmental Employment Program (B)	X	
66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)	X	
66.605 Performance Partnership Grants (A,B)	X	
66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)	X	
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)	X	
66.611 Environmental Policy and Innovation Grants (B)	X	
66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)	X	
<b>OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE</b>		
66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)	X	
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)	X	
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)	X	
66.709 Multi-Media Capacity Building Grants for States and Tribes (B)	X	
<b>OFFICE OF ENVIRONMENTAL JUSTICE</b>		
66.306 Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (B)	X	
66.312 State Environmental Justice Cooperative Agreement Program (B)	X	
66.604 Environmental Justice Small Grant Program (B)	X	
<b>OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE</b>		
66.801 Hazardous Waste Management State Program Support (A)	X	
66.802 Superfund State, Political Subdivision, and Indian Tribe Site Specific Cooperative Agreements (B)	X	
66.804 State and Tribal Underground Storage Tanks Program (A)	X	
66.805 Leaking Underground Storage Tank Trust Fund Program (A)	X	
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)	X	
66.808 Solid Waste Management Assistance Grants (B)	X	
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)	X	
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)	X	
66.812 Hazardous Waste Management Grant Program for Tribes (B)	X	
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	X	
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)	X	
66.815 Brownfield Job Training Cooperative Agreements (B)	X	
66.816 Headquarters and Regional Underground Storage Tanks Program (B)	X	
66.817 State and Tribal Response Program Grants (A)	X	
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)	X	
66.110 Healthy Communities Grant Program (B)	X	
66.111 Regional Environmental Priority Projects (B)	X	
66.116 Regional Geographic Initiative/Environmental Priority Projects (B)	X	
66.119 West Coast Estuaries Initiative (B)	X	
66.203 Environmental Finance Center Grants (B)	X	
66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)	X	
66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)	X	
66.480 Assessment and Watershed Protection Program Grants (B)	X	
66.940 Environmental Policy and State Innovation Grants (B)	X	
66.952 National Network for Environmental Management Studies Fellowship Program (B)	X	
<b>OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES</b>		
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)	X	
66.708 Pollution Prevention Grants Program (B)	X	
66.714 Pesticide Environmental Stewardship Regional Grants (B)	X	
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)	X	
66.717 Source Reduction Assistance (B)	X	
66.718 National Community-Based Lead Outreach and Training Grant Program (B)	X	
<b>OFFICE OF FEDERAL ACTIVITIES</b>		
66.926 Indian Environmental General Assistance Program (GAP) (B)	X	
66.931 International Financial Assistance Projects Sponsored by the Office of International Affairs (B)	X	
<b>OFFICE OF ENVIRONMENTAL EDUCATION</b>		
66.950 Environmental Education and Training Program (B)	X	
66.951 Environmental Education Grants (B)	X	
<b>NATIONAL GALLERY OF ART</b>		
68.001 National Gallery of Art Extension Service (I)		X
<b>OVERSEAS PRIVATE INVESTMENT CORPORATION</b>		
70.002 Foreign Investment Financing (F)	X	
70.003 Foreign Investment Insurance (G)	X	
<b>NUCLEAR REGULATORY COMMISSION</b>		
77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)	X	
77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)	X	
77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)	X	
<b>COMMODITY FUTURES TRADING COMMISSION</b>		
78.004 Commodity Futures Reparations Claims (N)		X

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>DEPARTMENT OF ENERGY</b>		
81.003 Granting of Patent Licenses (L)		X
81.022 Used Energy-Related Laboratory Equipment Grants (B)	X	
81.036 Inventions and Innovations (B,K,L)	X	X
81.041 State Energy Program (A)	X	
81.042 Weatherization Assistance for Low-Income Persons (A)	X	
81.049 Office of Science Financial Assistance Program (B)	X	
81.057 University Coal Research (B)	X	
81.064 Office of Scientific and Technical Information (L)		X
81.065 Nuclear Waste Disposal Siting (B,C)	X	
81.079 Regional Biomass Energy Programs (B)	X	
81.086 Conservation Research and Development (B)	X	
81.087 Renewable Energy Research and Development (B)	X	
81.089 Fossil Energy Research and Development (B)	X	
81.104 Office of Environmental Waste Processing (B)	X	
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)	X	
81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)	X	
81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)	X	
81.112 Stewardship Science Grant Program (B)	X	
81.113 Defense Nuclear Nonproliferation Research (B)	X	
81.114 University Reactor Infrastructure and Education Support (B)	X	
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)	X	
81.119 State Energy Program Special Projects (B)	X	
81.121 Nuclear Energy Research, Development and Demonstration (B)	X	
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)	X	
81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)	X	
81.124 Predictive Science Academic Alliance Program (B)	X	
81.126 Federal Loan Guarantees for Innovative Energy Technologies (F)	X	
<b>DEPARTMENT OF EDUCATION</b>		
<b>OFFICE OF VOCATIONAL AND ADULT EDUCATION</b>		
84.002 Adult Education - Basic Grants to States (A)	X	
84.048 Career and Technical Education -- Basic Grants to States (A)	X	
84.051 Career and Technical Education -- National Programs (B)	X	
84.101 Career and Technical Education - Indian Set-aside (B)	X	
84.191 Adult Education_National Leadership Activities (B)	X	
84.243 Tech-Prep Education (A,B)	X	
84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)	X	
84.257 National Institute for Literacy (B)	X	
84.259 Native Hawaiian Career and Technical Education (B)	X	
84.331 Grants to States for Incarcerated Youth Offenders (A)	X	
<b>OFFICE OF HUMAN RESOURCES AND ADMINISTRATION</b>		
84.145 Federal Real Property Assistance Program (H)		X
<b>OFFICE OF BILINGUAL EDUCATION AND MINORITY LANGUAGES AFFAIRS</b>		
84.293 Foreign Language Assistance (B)	X	
<b>OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES</b>		
84.027 Special Education_Grants to States (A)	X	
84.126 Rehabilitation Services_Vocational Rehabilitation Grants to States (A)	X	
84.128 Rehabilitation Services_Service Projects (B)	X	
84.129 Rehabilitation Long-Term Training (B)	X	
84.132 Centers for Independent Living (B)	X	
84.133 National Institute on Disability and Rehabilitation Research (B)	X	
84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)	X	
84.161 Rehabilitation Services_Client Assistance Program (A)	X	
84.169 Independent Living_State Grants (A)	X	
84.173 Special Education_Preschool Grants (A)	X	
84.177 Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (A)	X	
84.181 Special Education-Grants for Infants and Families (A)	X	
84.187 Supported Employment Services for Individuals with Significant Disabilities (A)	X	
84.224 Assistive Technology (A,B,L)	X	X
84.234 Projects with Industry (B)	X	
84.235 Rehabilitation Services Demonstration and Training Programs (B)	X	
84.240 Program of Protection and Advocacy of Individual Rights (A)	X	
84.246 Rehabilitation Short-Term Training (B)	X	
84.250 Rehabilitation Services_American Indians with Disabilities (B)	X	
84.263 Rehabilitation Training_Experimental and Innovative Training (B)	X	
84.264 Rehabilitation Training_Continuing Education (B)	X	
84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)	X	
84.275 Rehabilitation Training_General Training (B)	X	
84.315 Capacity Building for Traditionally Underserved Populations (B)	X	
84.323 Special Education - State Personnel Development (B)	X	
84.324 Research in Special Education (B)	X	
84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.326	Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)	X
84.327	Special Education_Technology and Media Services for Individuals with Disabilities (B)	X
84.328	Special Education_Parent Information Centers (B)	X
84.329	Special Education_Studies and Evaluations (B)	X
84.343	Assistive Technology_State Grants for Protection and Advocacy (A)	X
84.373	Special Education_Technical Assistance on State Data Collection (B)	X
84.380	Special Education -- Olympic Education Programs (B)	X
<b>OFFICE OF ELEMENTARY AND SECONDARY EDUCATION</b>		
84.004	Civil Rights Training and Advisory Services (B)	X
84.010	Title I Grants to Local Educational Agencies (A)	X
84.011	Migrant Education_State Grant Program (A)	X
84.013	Title I Program for Neglected and Delinquent Children (A)	X
84.040	Impact Aid_Facilities Maintenance (B)	X
84.041	Impact Aid (A)	X
84.060	Indian Education_Grants to Local Educational Agencies (A)	X
84.083	Women's Educational Equity Act Program (B)	X
84.141	Migrant Education_High School Equivalency Program (B)	X
84.144	Migrant Education_Coordination Program (B)	X
84.149	Migrant Education_College Assistance Migrant Program (B)	X
84.165	Magnet Schools Assistance (B)	X
84.184	Safe and Drug-Free Schools and Communities_National Programs (B)	X
84.186	Safe and Drug-Free Schools and Communities_State Grants (A)	X
84.196	Education for Homeless Children and Youth (A)	X
84.213	Even Start_State Educational Agencies (A,B)	X
84.214	Even Start_Migrant Education (B)	X
84.256	Freely Associated States_Education Grant Program (B)	X
84.258	Even Start_Indian Tribes and Tribal Organizations (B)	X
84.282	Charter Schools (B)	X
84.283	Comprehensive Centers (B)	X
84.298	State Grants for Innovative Programs (A)	X
84.310	Parental Information and Resource Centers (B)	X
84.318	Education Technology State Grants (A)	X
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	X
84.349	Early Childhood Educator Professional Development (B)	X
84.350	Transition to Teaching (B)	X
84.351	Arts in Education (B)	X
84.354	Credit Enhancement for Charter School Facilities (B)	X
84.356	Alaska Native Educational Programs (B)	X
84.357	Reading First State Grants (B)	X
84.358	Rural Education (A)	X
84.359	Early Reading First (B)	X
84.360	School Dropout Prevention Program (B)	X
84.361	Voluntary Public School Choice (B)	X
84.362	Native Hawaiian Education (B)	X
84.363	School Leadership (B)	X
84.364	Literacy through School Libraries (B)	X
84.366	Mathematics and Science Partnerships (B)	X
84.367	Improving Teacher Quality State Grants (A)	X
84.369	Grants for State Assessments and Related Activities (A)	X
84.370	DC School Choice Incentive Program (B)	X
84.371	Striving Readers (B)	X
84.372	Statewide Data Systems (B)	X
84.374	Teacher Incentive Fund (B)	X
84.377	School Improvement Grants (B)	X
<b>OFFICE OF STUDENT FINANCIAL ASSISTANCE PROGRAMS</b>		
84.007	Federal Supplemental Educational Opportunity Grants (C)	X
84.032	Federal Family Education Loans (F)	X
84.033	Federal Work-Study Program (C)	X
84.037	Perkins Loan Cancellations (C,D)	X
84.038	Federal Perkins Loan Program_Federal Capital Contributions (C)	X
84.063	Federal Pell Grant Program (C)	X
84.069	Leveraging Educational Assistance Partnership (A)	X
84.268	Federal Direct Student Loans (E)	X
84.376	National Science and Mathematics Access to Retain Talent (SMART) Grants (C)	X
<b>OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT</b>		
84.203	Star Schools (B)	X
84.206	Javits Gifted and Talented Students Education Grant Program (B)	X
84.215	Fund for the Improvement of Education (B)	X
84.286	Ready to Teach (B)	X
84.287	Twenty-First Century Community Learning Centers (A)	X
84.295	Ready-To-Learn Television (B)	X
84.304	Civic Education - Cooperative Education Exchange Program (B)	X
84.305	Education Research, Development and Dissemination (B)	X
<b>OFFICE OF POSTSECONDARY EDUCATION</b>		

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)	X	
84.016 Undergraduate International Studies and Foreign Language Programs (B)	X	
84.017 International Research and Studies (B)	X	
84.018 Overseas Programs_Special Bilateral Projects (B)	X	
84.019 Overseas Programs - Faculty Research Abroad (B)	X	
84.021 Overseas Programs - Group Projects Abroad (B)	X	
84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)	X	
84.031 Higher Education_Institutional Aid (B)	X	
84.042 TRIO_Student Support Services (B)	X	
84.044 TRIO_Talent Search (B)	X	
84.047 TRIO_Upward Bound (B)	X	
84.066 TRIO_Educational Opportunity Centers (B)	X	
84.103 TRIO Staff Training Program (B)	X	
84.116 Fund for the Improvement of Postsecondary Education (B)	X	
84.120 Minority Science and Engineering Improvement (B)	X	
84.153 Business and International Education Projects (B)	X	
84.170 Javits Fellowships (B)	X	
84.185 Byrd Honors Scholarships (A)	X	
84.200 Graduate Assistance in Areas of National Need (B)	X	
84.217 TRIO_McNair Post-Baccalaureate Achievement (B)	X	
84.220 Centers for International Business Education (B)	X	
84.229 Language Resource Centers (B)	X	
84.269 Institute for International Public Policy (B)	X	
84.274 American Overseas Research Centers (B)	X	
84.332 Comprehensive School Reform Demonstration (A)	X	
84.333 Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (B)	X	
84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)	X	
84.335 Child Care Access Means Parents in School (B)	X	
84.336 Teacher Quality Enhancement Grants (B)	X	
84.337 International Education_Technological Innovation and Cooperation for Foreign Information Access (B)	X	
84.345 Underground Railroad Educational and Cultural Program (B)	X	
84.375 Academic Competitiveness Grants (C)	X	
84.378 College Access Challenge Grant Program (A)	X	
84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)	X	
84.382 Strengthening Minority-Serving Institutions (B)	X	
84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)	X	
<b>OFFICE OF ENGLISH LANGUAGE ACQUISITION</b>		
84.365 English Language Acquisition Grants (A,B)	X	
<b>HARRY S TRUMAN SCHOLARSHIP FOUNDATION</b>		
85.001 Harry S Truman Scholarship Program (C)	X	
<b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b>		
85.100 Christopher Columbus Fellowship Program (B,J)	X	X
<b>BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION</b>		
85.200 Barry M. Goldwater Scholarship Program (C)	X	
<b>JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION</b>		
85.500 James Madison Memorial Fellowship Program (B)	X	
<b>MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION</b>		
85.400 Morris K. Udall Scholarship Program (C)	X	
85.401 Morris K. Udall Fellowship Program (B)	X	
85.402 Morris K. Udall Native American Congressional Internship Program (C)	X	
<b>WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS</b>		
85.300 Woodrow Wilson Center Fellowships in the Humanities and Social Sciences (B)	X	
<b>SMITHSONIAN INSTITUTION FELLOWSHIP FOUNDATION</b>		
85.601 Smithsonian Institution Fellowship Program (B)	X	
<b>PENSION BENEFIT GUARANTY CORPORATION</b>		
86.001 Pension Plan Termination Insurance (G)	X	
<b>ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD</b>		
88.001 Architectural and Transportation Barriers Compliance Board (L)		X

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Program Description	Financial	Non-Financial
<b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>		
89.001 National Archives Reference Services_Historical Research (I,K,L)		X
89.003 National Historical Publications and Records Grants (B)	X	
89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)	X	
<b>DENALI COMMISSION</b>		
90.100 Denali Commission Program (B)	X	
<b>DELTA REGIONAL AUTHORITY</b>		
90.200 Delta Regional Development (B)	X	
90.201 Delta Area Economic Development (B)	X	
90.202 Delta Local Development District Assistance (B)	X	
<b>JAPAN US FRIENDSHIP COMMISSION</b>		
90.300 Japan-US Friendship Commission Grants (B)	X	
<b>ELECTIONS ASSISTANCE COMMISSION</b>		
90.400 Help America Vote College Program (B)	X	
90.401 Help America Vote Act Requirements Payments (A)	X	
90.402 Help America Vote Mock Election Program (B)	X	
<b>BROADCASTING BOARD OF GOVERNORS</b>		
90.500 International Broadcasting Independent Grantee Organizations (B)	X	
<b>UNITED STATES INSTITUTE OF PEACE</b>		
91.001 Unsolicited Grant Program (B)	X	
91.002 Solicited Grant Program (B)	X	
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>		
<b>OFFICE OF THE SECRETARY</b>		
93.001 Civil Rights and Privacy Rule Compliance Activities (N)		X
93.003 Public Health and Social Services Emergency Fund (B)	X	
93.007 Public Awareness Campaigns on Embryo Adoption (B)	X	
93.008 Medical Reserve Corps Small Grant Program (B)	X	
93.012 Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (B)	X	
93.013 Ambassadors for Change Program (B)	X	
93.014 Steps to Healthier Girls Program (B)	X	
93.015 HIV Prevention Programs for Women (B)	X	
93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (B)	X	
93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)	X	
93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)	X	
93.100 Health Disparities in Minority Health (B)	X	
93.239 Policy Research and Evaluation Grants (B)	X	
93.252 Healthy Communities Access Program (B)	X	
93.290 National Community Centers of Excellence in Women's Health (B)	X	
93.294 Mentoring Partnership Program - Protege (B)	X	
93.295 Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)	X	
93.296 State Partnership Grant Program to Improve Minority Health (B)	X	
93.775 State Medicaid Fraud Control Units (A)	X	
<b>OFFICE OF MINORITY HEALTH</b>		
93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)	X	
93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)	X	
93.105 Bilingual/Bicultural Service Demonstration Grants (B)	X	
93.137 Community Programs to Improve Minority Health Grant Program (B)	X	
93.910 Family and Community Violence Prevention Program (B)	X	
<b>PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS</b>		
93.289 President's Council on Physical Fitness and Sports (K)		X
<b>OFFICE OF DISEASE PREVENTION AND HEALTH PROMOTION</b>		
93.990 National Health Promotion (B)	X	
<b>AGENCY FOR HEALTH CARE POLICY AND RESEARCH</b>		
93.225 National Research Service Awards_Health Services Research Training (B)	X	
93.226 Research on Healthcare Costs, Quality and Outcomes (B)	X	
<b>OFFICE OF POPULATION AFFAIRS</b>		
93.111 Adolescent Family Life Research Grants (B)	X	
93.217 Family Planning_Services (B)	X	
93.260 Family Planning_Personnel Training (B)	X	
93.974 Family Planning_Service Delivery Improvement Research Grants (B)	X	

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Program Description	Financial	Non-Financial
93.995 Adolescent Family Life_Demonstration Projects (B)	X	
<b>ADMINISTRATION ON AGING</b>		
93.041 Special Programs for the Aging_Title VII, Chapter 3_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)	X	
93.042 Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)	X	
93.043 Special Programs for the Aging_Title III, Part D_Disease Prevention and Health Promotion Services (A)	X	
93.044 Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers (A)	X	
93.045 Special Programs for the Aging_Title III, Part C_Nutrition Services (A)	X	
93.047 Special Programs for the Aging_Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (B)	X	
93.048 Special Programs for the Aging_Title IV_and Title II_Discretionary Projects (B)	X	
93.051 Alzheimer's Disease Demonstration Grants to States (B)	X	
93.052 National Family Caregiver Support, Title III, Part E (A)	X	
93.053 Nutrition Services Incentive Program (A)	X	
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)	X	
93.071 Medicare Enrollment Assistance Program (A,B)	X	
<b>ADMINISTRATION FOR CHILDREN AND FAMILIES</b>		
93.010 Community-Based Abstinence Education (CBAE) (B)	X	
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)	X	X
93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)	X	
93.254 Infant Adoption Awareness Training (B)	X	
93.550 Transitional Living for Homeless Youth (B)	X	
93.551 Abandoned Infants (B)	X	
93.556 Promoting Safe and Stable Families (A,B)	X	
93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)	X	
93.558 Temporary Assistance for Needy Families (A)	X	
93.560 Family Support Payments to States_Assistance Payments (A)	X	
93.563 Child Support Enforcement (A)	X	
93.564 Child Support Enforcement Research (B)	X	
93.566 Refugee and Entrant Assistance_State Administered Programs (A)	X	
93.567 Refugee and Entrant Assistance_Voluntary Agency Programs (A)	X	
93.568 Low-Income Home Energy Assistance (A)	X	
93.569 Community Services Block Grant (A)	X	
93.570 Community Services Block Grant_Discretionary Awards (B)	X	
93.575 Child Care and Development Block Grant (A)	X	
93.576 Refugee and Entrant Assistance_Discretionary Grants (B)	X	
93.579 U.S. Repatriation (B)	X	
93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)	X	
93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)	X	
93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)	X	
93.586 State Court Improvement Program (A)	X	
93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)	X	
93.590 Community-Based Child Abuse Prevention Grants (A)	X	
93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A)	X	
93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)	X	
93.593 Job Opportunities for Low-Income Individuals (B)	X	
93.594 Tribal Work Grants (A)	X	
93.595 Welfare Reform Research, Evaluations and National Studies (B)	X	
93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)	X	
93.597 Grants to States for Access and Visitation Programs (B)	X	
93.598 Services to Victims of a Severe Form of Trafficking (B)	X	
93.599 Chafee Education and Training Vouchers Program (ETV) (A)	X	
93.600 Head Start (B)	X	
93.601 Child Support Enforcement Demonstrations and Special Projects (B)	X	
93.602 Assets for Independence Demonstration Program (B)	X	
93.603 Adoption Incentive Payments (A)	X	
93.604 Assistance for Torture Victims (B)	X	
93.605 Family Connection Grants (B)	X	
93.612 Native American Programs (B)	X	
93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)		X
93.616 Mentoring Children of Prisoners (B)	X	
93.617 Voting Access for Individuals with Disabilities_Grants to States (A)	X	
93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A,B)	X	
93.623 Basic Center Grant (B)	X	
93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)	X	
93.631 Developmental Disabilities Projects of National Significance (B)	X	
93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)	X	
93.643 Children's Justice Grants to States (A)	X	
93.645 Child Welfare Services_State Grants (A)	X	
93.647 Social Services Research and Demonstration (B)	X	
93.648 Child Welfare Services Training Grants (B)	X	
93.652 Adoption Opportunities (B)	X	
93.658 Foster Care_Title IV-E (A)	X	
93.659 Adoption Assistance (A)	X	
93.667 Social Services Block Grant (A)	X	
93.669 Child Abuse and Neglect State Grants (A)	X	
93.670 Child Abuse and Neglect Discretionary Activities (B)	X	
93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)	X	



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Program Description	Financial	Non-Financial
93.674 Chafee Foster Care Independence Program (A)	X	
93.676 Unaccompanied Alien Children Program (B)	X	
<b>CENTERS FOR MEDICARE AND MEDICAID SERVICES</b>		
93.760 Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (B)	X	
93.767 State Children's Insurance Program (A)	X	
93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)	X	
93.769 Demonstration to Maintain Independence and Employment (B)	X	
93.770 Medicare_Prescription Drug Coverage (C)	X	
93.773 Medicare_Hospital Insurance (C)	X	
93.774 Medicare_Supplementary Medical Insurance (C)	X	
93.776 Hurricane Katrina Relief (B)	X	
93.777 State Survey and Certification of Health Care Providers and Suppliers (A)	X	
93.778 Medical Assistance Program (A)	X	
93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)	X	
93.780 Grants to States for Operation of Qualified High-Risk Pools (A)	X	
93.781 Seed Grants to States for Qualified High-Risk Pools (B)	X	
93.783 Medicare Transitional Drug Assistance Program for States (C)	X	
93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)	X	
93.785 Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care (B)	X	
93.786 State Pharmaceutical Assistance Programs (A)	X	
93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)	X	
93.790 Alternate Non-Emergency Service Providers or Networks (B)	X	
93.791 Money Follows the Person Rebalancing Demonstration (B)	X	
93.793 Medicaid Transformation Grants (B)	X	
93.794 Reimbursement of State Costs for Provision of Part D Drugs (C)	X	
<b>FOOD AND DRUG ADMINISTRATION</b>		
93.103 Food and Drug Administration_Research (B)	X	
93.448 Food Safety and Security Monitoring Project (B)	X	
93.449 Ruminant Feed Ban Support Project (B)	X	
<b>CENTERS FOR DISEASE CONTROL</b>		
93.061 Innovations in Applied Public Health Research (B)	X	
93.063 Centers for Genomics and Public Health (B)	X	
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)	X	
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)	X	
93.066 State Vital Statistics Improvement Program (B)	X	
93.067 Global AIDS (B)	X	
93.068 Chronic Diseases: Research, Control, and Prevention (B)	X	
93.069 Public Health Emergency Preparedness (B)	X	
93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)	X	
93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)	X	
93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)	X	
93.136 Injury Prevention and Control Research and State and Community Based Programs (B)	X	
93.184 Disabilities Prevention (B)	X	
93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)	X	
93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)	X	
93.262 Occupational Safety and Health Program (B)	X	
93.268 Immunization Grants (B)	X	
93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)	X	
93.270 Adult Viral Hepatitis Prevention and Control (B)	X	
93.283 Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)	X	
93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)	X	
93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)	X	
93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)	X	
93.940 HIV Prevention Activities_Health Department Based (B)	X	
93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)	X	
93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (B)	X	
93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)	X	
93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)	X	
93.945 Assistance Programs for Chronic Disease Prevention and Control (B)	X	
93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)	X	
93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)	X	
93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)	X	
93.978 Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)	X	
93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)	X	
93.991 Preventive Health and Health Services Block Grant (A)	X	
93.993 Public Health Research Accreditation Project (B)	X	
93.009 Compassion Capital Fund (B)	X	
93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)	X	
93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)	X	
<b>HEALTH RESOURCES AND SERVICES ADMINISTRATION</b>		

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Program Description	Financial	Non-Financial
93.107 Model State-Supported Area Health Education Centers (B)	X	
93.110 Maternal and Child Health Federal Consolidated Programs (B)	X	
93.117 Grants for Preventive Medicine (B)	X	
93.124 Nurse Anesthetist Traineeships (A)	X	
93.127 Emergency Medical Services for Children (B)	X	
93.129 Technical and Non-Financial Assistance to Health Centers (B)	X	
93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)	X	
93.134 Grants to Increase Organ Donations (B)	X	
93.145 AIDS Education and Training Centers (B)	X	
93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)	X	
93.155 Rural Health Research Centers (B)	X	
93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B)	X	
93.157 Centers of Excellence (B)	X	
93.162 National Health Service Corps Loan Repayment Program (C)	X	
93.165 Grants to States for Loan Repayment Program (B)	X	
93.178 Nursing Workforce Diversity (B)	X	
93.181 Podiatric Residency Training in Primary Care (B)	X	
93.186 National Research Service Award in Primary Care Medicine (M)		X
93.189 Health Education and Training Centers (B)	X	
93.191 Allied Health Special Projects (B)	X	
93.192 Quentin N. Burdick Program for Rural Interdisciplinary Training (B)	X	
93.211 Telehealth Network Grants (B)	X	
93.212 Chiropractic Demonstration Project Grants (B)	X	
93.223 Development and Coordination of Rural Health Services (B)	X	
93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)	X	
93.234 Traumatic Brain Injury State Demonstration Grant Program (B)	X	
93.235 Abstinence Education Program (A)	X	
93.236 Grants for Dental Public Health Residency Training (B)	X	
93.241 State Rural Hospital Flexibility Program (B)	X	
93.247 Advanced Education Nursing Grant Program (B)	X	
93.249 Public Health Training Centers Grant Program (B)	X	
93.250 Geriatric Academic Career Awards (C)	X	
93.251 Universal Newborn Hearing Screening (B)	X	
93.253 Poison Control Stabilization and Enhancement Grants (B)	X	
93.255 Children's Hospitals Graduate Medical Education Payment (C)	X	
93.256 State Planning Grants Health Care Access for the Uninsured (B)	X	
93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)	X	
93.259 Rural Access to Emergency Devices Grant (B)	X	
93.264 Nurse Faculty Loan Program (NFLP) (A)	X	
93.265 Comprehensive Geriatric Education Program(CGEP) (B)	X	
93.266 Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)	X	
93.267 State Grants for Protection and Advocacy Services (A)	X	
93.288 National Health Service Corps Scholarship Program (C)	X	
93.291 Surplus Property Utilization (H)		X
93.300 National Center for Health Workforce Analysis (B)	X	
93.301 Small Rural Hospital Improvement Grant Program (B)	X	
93.303 Nursing Scholarship Program (C)	X	
93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (E)	X	
93.358 Advanced Education Nursing Traineeships (B)	X	
93.359 Nurse Education, Practice and Retention Grants (B)	X	
93.364 Nursing Student Loans (E)	X	
93.365 Sickle Cell Treatment Demonstration Program (B)	X	
93.822 Health Careers Opportunity Program (B)	X	
93.824 Basic/Core Area Health Education Centers (B)	X	
93.884 Grants for Training in Primary Care Medicine and Dentistry (B)	X	
93.887 Health Care and Other Facilities (B)	X	
93.888 Specially Selected Health Projects (B)	X	
93.889 National Bioterrorism Hospital Preparedness Program (B)	X	
93.890 Healthy Communities Access Program (HCAP) Demonstration Authority (B)	X	
93.908 Nursing Education Loan Repayment Program (C)	X	
93.912 Rural Health Care Services Outreach and Rural Health Network Development Program (B)	X	
93.913 Grants to States for Operation of Offices of Rural Health (B)	X	
93.914 HIV Emergency Relief Project Grants (B)	X	
93.917 HIV Care Formula Grants (A)	X	
93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)	X	
93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)	X	
93.924 Ryan White HIV/AIDS Dental Reimbursements/Community Based Dental Partnership (B)	X	
93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)	X	
93.926 Healthy Start Initiative (B)	X	
93.928 Special Projects of National Significance (B)	X	
93.932 Native Hawaiian Health Systems (B)	X	
93.952 Trauma Care Systems Planning and Development (B)	X	
93.962 Health Administration Traineeships Program (B)	X	
93.964 Public Health Traineeships (A)	X	
93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)	X	
93.969 Geriatric Education Centers (B)	X	

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Program Description	Financial	Non-Financial
93.994 Maternal and Child Health Services Block Grant to the States (B)	X	
93.996 Bioterrorism Training and Curriculum Development Program (B)	X	
<b>INDIAN HEALTH SERVICE</b>		
93.123 Health Professions Pregraduate Scholarship Program for Indians (B)	X	
93.164 Indian Health Service Educational Loan Repayment (B)	X	
93.193 Urban Indian Health Services (B)	X	
93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (B)	X	
93.228 Indian Health Service_Health Management Development Program (B)	X	
93.231 Epidemiology Cooperative Agreements (B)	X	
93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)	X	
93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)	X	
93.441 Indian Self-Determination (C)	X	
93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)	X	
93.933 Demonstration Projects for Indian Health (B)	X	
93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (B)	X	
93.970 Health Professions Recruitment Program for Indians (B)	X	
93.971 Health Professions Preparatory Scholarship Program for Indians (B)	X	
93.972 Health Professions Scholarship Program (B)	X	
<b>SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION</b>		
93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)	X	
93.138 Protection and Advocacy for Individuals with Mental Illness (A)	X	
93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)	X	
93.229 Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (B)	X	
93.230 Consolidated Knowledge Development and Application (KD&A) Program (B)	X	
93.238 Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (B)	X	
93.243 Substance Abuse and Mental Health Services Projects of Regional and National Significance (B)	X	
93.244 Mental Health Clinical and AIDS Service-Related Training Grants (B)	X	
93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)	X	
93.276 Drug-Free Communities Support Program Grants (B)	X	
93.958 Block Grants for Community Mental Health Services (A)	X	
93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)	X	
93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)	X	
<b>NATIONAL INSTITUTES OF HEALTH</b>		
93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)	X	
93.113 Environmental Health (B)	X	
93.121 Oral Diseases and Disorders Research (B)	X	
93.140 Intramural Research Training Award (B)	X	
93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)	X	
93.143 NIEHS Superfund Hazardous Substances_Basic Research and Education (B)	X	
93.172 Human Genome Research (B)	X	
93.173 Research Related to Deafness and Communication Disorders (B)	X	
93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)	X	
93.209 Contraception and Infertility Research Loan Repayment Program (C)	X	
93.213 Research and Training in Complementary and Alternative Medicine (B,M)	X	X
93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (C)	X	
93.232 Loan Repayment Program for General Research (C)	X	
93.233 National Center on Sleep Disorders Research (B)	X	
93.242 Mental Health Research Grants (B)	X	
93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)	X	
93.272 Alcohol National Research Service Awards for Research Training (B)	X	
93.273 Alcohol Research Programs (B)	X	
93.279 Drug Abuse and Addiction Research Programs (B)	X	
93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)	X	
93.281 Mental Health Research Career/Scientist Development Awards (B)	X	
93.282 Mental Health National Research Service Awards for Research Training (B)	X	
93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)	X	
93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)	X	
93.307 Minority Health and Health Disparities Research (B)	X	
93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research (C)	X	
93.310 Trans-NIH Research Support (B,M)	X	X
93.361 Nursing Research (B)	X	
93.389 National Center for Research Resources (B)	X	
93.392 Cancer Construction (B)	X	
93.393 Cancer Cause and Prevention Research (B)	X	
93.394 Cancer Detection and Diagnosis Research (B)	X	
93.395 Cancer Treatment Research (B)	X	
93.396 Cancer Biology Research (B)	X	
93.397 Cancer Centers Support Grants (B)	X	
93.398 Cancer Research Manpower (B)	X	
93.399 Cancer Control (B)	X	
93.837 Cardiovascular Diseases Research (B)	X	
93.838 Lung Diseases Research (B)	X	
93.839 Blood Diseases and Resources Research (B)	X	
93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)	X	
93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)	X	

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Program Description	Financial	Non-Financial
93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)	X	
93.855 Allergy, Immunology and Transplantation Research (B)	X	
93.856 Microbiology and Infectious Diseases Research (B)	X	
93.859 Biomedical Research and Research Training (B)	X	
93.865 Child Health and Human Development Extramural Research (B)	X	
93.866 Aging Research (B)	X	
93.867 Vision Research (B)	X	
93.879 Medical Library Assistance (B)	X	
93.891 Alcohol Research Center Grants (B)	X	
93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (C)	X	
93.989 International Research and Research Training (B,M)	X	X
<b>AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY</b>		
93.161 Health Program for Toxic Substances and Disease Registry (B)	X	
93.202 Capacity Building Among American Indian Tribes (B)	X	
93.204 Surveillance of Hazardous Substance Emergency Events (B)	X	
93.206 Human Health Studies_Applied Research and Development (B)	X	
93.208 Great Lakes Human Health Effects Research (B)	X	
93.240 State Capacity Building (B)	X	
<b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b>		
94.002 Retired and Senior Volunteer Program (B)	X	
94.003 State Commissions (B)	X	
94.004 Learn and Serve America_School and Community Based Programs (B)	X	
94.005 Learn and Serve America_Higher Education (B)	X	
94.006 AmeriCorps (B)	X	
94.007 Planning and Program Development Grants (B)	X	
94.009 Training and Technical Assistance (B)	X	
94.011 Foster Grandparent Program (B)	X	
94.013 Volunteers in Service to America (J)		X
94.016 Senior Companion Program (B)	X	
<b>SOCIAL SECURITY ADMINISTRATION</b>		
96.001 Social Security_Disability Insurance (C,D)	X	
96.002 Social Security_Retirement Insurance (D)	X	
96.004 Social Security_Survivors Insurance (C,D)	X	
96.006 Supplemental Security Income (C,D)	X	
96.007 Social Security_Research and Demonstration (B)	X	
96.008 Social Security - Work Incentives Planning and Assistance Program (B)	X	
96.009 Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (B)	X	
96.020 Special Benefits for Certain World War II Veterans (D)	X	
<b>DEPARTMENT OF HOMELAND SECURITY</b>		
97.004 State Domestic Preparedness Equipment Support Program (B)	X	
97.005 State and Local Homeland Security Training Program (B)	X	
97.006 State and Local Homeland Security Exercise Support (B)	X	
97.007 Homeland Security Preparedness Technical Assistance Program (B)	X	
97.008 Urban Areas Security Initiative (A)	X	
97.009 Cuban/Haitian Entrant Program (B)	X	
97.010 Citizenship Education and Training (L)		X
97.011 Boating Safety (J,K,L,M)		X
97.012 Boating Safety Financial Assistance (A)	X	
97.013 State Access to the Oil Spill Liability Trust Fund (B)	X	
97.014 Bridge Alteration (C)	X	
97.015 Secret Service_Training Activities (M)		X
97.016 Reimbursement for Firefighting on Federal Property (C)	X	
97.018 National Fire Academy Training Assistance (C)	X	
97.019 National Fire Academy Educational Program (M)		X
97.020 Hazardous Materials Training Program (B)	X	
97.021 Hazardous Materials Assistance Program (B)	X	
97.022 Flood Insurance (G)	X	
97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)	X	
97.024 Emergency Food and Shelter National Board Program (A)	X	
97.025 National Urban Search and Rescue (US&R) Response System (B)	X	
97.026 Emergency Management Institute_Training Assistance (C)	X	
97.027 Emergency Management Institute (EMI)_Independent Study Program (M)		X
97.028 Emergency Management Institute (EMI)_Resident Educational Program (M)		X
97.029 Flood Mitigation Assistance (B)	X	
97.030 Community Disaster Loans (E)	X	
97.031 Cora Brown Fund (C)	X	
97.032 Crisis Counseling (B)	X	
97.033 Disaster Legal Services (C)	X	
97.034 Disaster Unemployment Assistance (C,J)	X	X
97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)	X	
97.039 Hazard Mitigation Grant (B)	X	
97.040 Chemical Stockpile Emergency Preparedness Program (B)	X	



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Program Description	Financial	Non-Financial
97.041 National Dam Safety Program (B)	X	
97.042 Emergency Management Performance Grants (A)	X	
97.043 State Fire Training Systems Grants (B)	X	
97.044 Assistance to Firefighters Grant (B)	X	
97.045 Cooperating Technical Partners (B)	X	
97.046 Fire Management Assistance Grant (B,J)	X	X
97.047 Pre-Disaster Mitigation (B)	X	
97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B)	X	
97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)	X	
97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)	X	
97.052 Emergency Operations Centers (B)	X	
97.053 Citizen Corps (B)	X	
97.055 Interoperable Communications Equipment (B)	X	
97.056 Port Security Grant Program (B)	X	
97.057 Intercity Bus Security Grants (B)	X	
97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)	X	
97.059 Truck Security Program (B)	X	
97.061 Centers for Homeland Security (B)	X	
97.062 Scholars and Fellows, and Educational Programs (C)	X	
97.064 Debris Removal Insurance (G)	X	
97.065 Homeland Security Advanced Research Projects Agency (B)	X	
97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)	X	
97.067 Homeland Security Grant Program (A)	X	
97.068 Competitive Training Grants (B)	X	
97.069 Aviation Research Grants (B,I)	X	X
97.070 Map Modernization Management Support (B)	X	
97.071 Metropolitan Medical Response System (B)	X	
97.072 National Explosives Detection Canine Team Program (B)	X	
97.073 State Homeland Security Program (SHSP) (A)	X	
97.074 Law Enforcement Terrorism Prevention Program (LETPP) (A)	X	
97.075 Rail and Transit Security Grant Program (B)	X	
97.076 National Center for Missing and Exploited Children (NCMEC) (B)	X	
97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)	X	X
97.078 Buffer Zone Protection Program (BZPP) (B)	X	
97.079 Public Alert Radios for Schools (B)	X	
97.080 Information Analysis Infrastructure Protection (IAIP) Pilot Projects (B)	X	
97.081 Law Enforcement Training and Technical Assistance (J,M)		X
97.082 Earthquake Consortium (B)	X	
97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)	X	
97.084 Hurricane Katrina Case Management Initiative Program (B)	X	
97.085 9/11 Heroes Stamp Program (D)	X	
97.086 Homeland Security Outreach, Education, and Technical Assistance (B,L)	X	X
97.087 Alternative Housing Pilot Program (B)	X	
97.088 Disaster Assistance Projects (B)	X	
97.089 Real ID Program (B)	X	
97.090 Law Enforcement Officer Reimbursement Agreement Program (C)	X	
97.091 Homeland Security Biowatch Program (B,H,I,L)	X	X
97.092 Repetitive Flood Claims (B)	X	
97.093 Fire Service Hazardous Materials Preparedness and Response (B)	X	
97.094 Prevention Advocacy Resources and Data Exchange Program (B)	X	
97.095 Safe Kids Worldwide (B)	X	
97.096 Commercial Equipment Direct Assistance Program (CEDAP) (H)		X
97.097 Training Resource and Data Exchange (TRADE) (B)	X	
97.098 Disaster Donations Management Program (B)	X	
97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)	X	
97.100 Airport Checked Baggage Screening Program (C)	X	
97.103 Degrees at a Distance Program (B)	X	
97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)	X	
97.105 Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B)	X	
97.106 Securing the Cities (B,H,I,L)	X	X
97.107 National Incident Management System (NIMS) (B)	X	
97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)	X	X
97.109 Disaster Housing Assistance Grant (B)	X	
97.110 Severe Loss Repetitive Program (B)	X	
97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)	X	
97.112 Border Infrastructure Improvement Projects (B)	X	
<b>UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT</b>		
98.001 USAID Foreign Assistance for Programs Overseas (B)	X	
98.002 Cooperative Development Program (CDP) (B)	X	
98.003 Ocean Freight Reimbursement Program (OFR) (B)	X	
98.004 Non-Governmental Organization Strengthening (NGO) (B)	X	
98.005 Institutional Capacity Building (ICB) (B)	X	
98.006 Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (B)	X	
98.007 Food for Peace Development Assistance Program (DAP) (B,H)	X	X
98.008 Food for Peace Emergency Program (EP) (B,H)	X	X

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98.009 John Ogonowski Farmer-to-Farmer Program (B)	X	
98.010 Denton Program (J)		X
98.011 Global Development Alliance (B)	X	
98.012 USAID Development Partnerships for University Cooperation and Development (B)	X	

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Alcohol Research Career Development Awards for Scientists and Clinicians (B)	93.271
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Assistance for Indian Children with Severe Disabilities (C)	15.045
Assistance for Torture Victims (B)	93.604
Assistance Programs for Chronic Disease Prevention and Control (B)	93.945
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Assistance to small and disadvantaged businesses (B)	20.910
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Biomedical Research and Research Training (B)	93.859
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Bioterrorism Training and Curriculum Development Program (B)	93.996
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Trade Adjustment Assistance for Firms (B)	11.313
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Tribal Colleges Endowment Program (A)	10.222
Tribal Court Assistance Program (B)	16.608
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Tribal Domestic Violence and Sexual Assault Coalitions Program (B)	16.557
Tribal Energy Development Capacity Grants ()	15.148
Tribal Landowner Incentive Program (B)	15.638
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Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)	93.444
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Veterans Business Development (B)	59.044
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Veterans Dental Care (J)	64.011
Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)	64.110
Veterans Domiciliary Care (J)	64.008
Veterans Home Based Primary Care (J)	64.022
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WIA Adult Program (A)	17.258
WIA Dislocated Workers (A,B)	17.260
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WIC Farmers' Market Nutrition Program (FMNP) (A)	10.572
WIC Grants To States (WGS) (B)	10.578
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Wildlife Restoration (A)	15.611
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7(a)Export Loan Guarantees (F)	59.054
7(j) Technical Assistance (B)	59.007
8(a) Business Development Program (J)	59.006
81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING (B)	81.104
9/11 Heroes Stamp Program (D)	97.085

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
<p><i>The alphabet(s) in parenthesis following the program title, shows the type(s) of assistance available through that program. Thealphabet codes with accompanying types of assistance are as follows:A-Formula Grants; B-Project Grants; C-Direct Payments for SpecifiedUse; D-Direct Payments with Unrestricted Use; E-Direct Loans;F-Guaranteed/Insured Loans;G-Insurance; H-Sale, Exchange, or Donationof Property and Goods;I-Use of Property, Facilities, and Equipment;J-Provision of Specialized Services; K-Advisory Services andCounseling; L-Dissemination of Technical Information; M-Training;N-Investigation of Complaints;O-Federal Employment.</i></p> <p><i>Definitions of the types of applicants used in this Index are given below.</i></p> <p><i>Individual - Any person or persons, as individuals, groups, or profit making organizations.Such persons and groups do not represent Federally Recognized Indian Tribal Governments.Includes Indians or other Native Americans who apply as individuals rather than as a member of a tribe or other Indian organization.</i></p> <p><i>Local - Agencies or instrumentalities of political subdivisions within a State, to include cities, towns, townships, parishes,municipalities, villages, counties,school districts,and other special local districts.Included under local are Indian tribes on State reservations, Indian bands and group, Pueblos, Indian school boards, and State designated Indian tribes. Local does not include institutions of higher education and hospitals.</i></p> <p><i>Nonprofit - A public or private agency or organization established by charter to perform specialized functions or services for the benefit of all or part of the general public. Functions or services are provided without charge or at cost, and earn no profit. The agency or organization has no shareholders to receive dividends.</i></p> <p><i>State - Any agency or instrumentality of the fifty States of the United States, and the District of Columbia. State does not include the political subdivisions of the State, but does include institutions of higher education and hospitals.</i></p> <p><i>U.S. Territories - Any agency or instrumentality of the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Trust Territories of the Pacific Islands, and Mariana Islands. Included are the political subdivisions of the territories, institutions of higher education, and hospitals.</i></p> <p><i>Federally Recognized Indian Tribal Organizations - The governing body or a governmental agency of an Indian Tribe, nation, or other organized group or community recognized and certified by the Secretary of the Interior. Included are Native villages as defined in the Alaska Native Claims Settlement Act.</i></p> <p><i>(Note: The information contained in this Index was taken from the Applicant Eligibility section of the program descriptions and from other sources. As a potential applicant, if you feel you also qualify to apply for assistance under a particular program but the Index says otherwise, always contact the agency contact persons.</i></p> <p><i>As regarding whether or not a potential applicant is eligible for a program, the agency is always the best source.</i></p>						
<b>DEPARTMENT OF AGRICULTURE</b>						
10.001 Agricultural Research-Basic and Applied Research (B)	X	X	X	X	X	X
10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)		X	X	X	X	
10.028 Wildlife Services (B)	X	X	X	X		X
10.029 Avian Influenza Indemnity Program (D)	X					
10.051 Commodity Loans and Loan Deficiency Payments (D,E)	X					
10.053 Dairy Indemnity Program (D)	X				X	
10.054 Emergency Conservation Program (C)	X					
10.055 Direct and Counter-cyclical Payments Program (C)	X					
10.056 Farm Storage Facility Loans (E)	X		X	X	X	X
10.066 Livestock Assistance Program (D)		X				
10.069 Conservation Reserve Program (C)	X	X		X		
10.070 Colorado River Basin Salinity Control Program (C)	X	X		X		
10.072 Wetlands Reserve Program (C)	X	X		X		
10.073 Crop Disaster Program (D)	X	X	X	X	X	X
10.077 Livestock Compensation Program (D)	X	X	X	X	X	X
10.078 Bioenergy Program (C)	X	X	X	X	X	X
10.079 Bill Emerson Humanitarian Trust (D)						
10.080 Milk Income Loss Contract Program (D)	X	X	X	X	X	X
10.081 Lamb Meat Adjustment Assistance Program (D)	X	X	X	X	X	X
10.082 Tree Assistance Program (D)	X	X	X	X	X	X
10.084 Dairy Market Loss Assistance Program (D)						
10.085 Tobacco Transition Payment Program (D)	X					
10.153 Market News (L)	X	X	X	X	X	X
10.155 Marketing Agreements and Orders (J,K)	X					
10.156 Federal-State Marketing Improvement Program (B)				X		
10.162 Inspection Grading and Standardization (J)						
10.163 Market Protection and Promotion (J,K,M)	X	X	X	X	X	X
10.164 Wholesale Farmers and Alternative Market Development (K,M)				X		
10.165 Perishable Agricultural Commodities Act (N)	X					
10.167 Transportation Services (K,M)	X	X	X	X	X	X
10.168 Farmers' Market Promotion Program (B)		X				

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
10.169	Specialty Crop Block Grant Program (B)				X		
10.170	Specialty Crop Block Grant Program - Farm Bill (B)				X		
10.200	Grants for Agricultural Research, Special Research Grants (B)			X	X		
10.202	Cooperative Forestry Research (A)				X	X	
10.203	Payments to Agricultural Experiment Stations Under the Hatch Act (A)			X	X	X	
10.205	Payments to 1890 Land-Grant Colleges and Tuskegee University (A)				X		
10.206	Grants for Agricultural Research-Competitive Research Grants (B)	X		X	X		
10.207	Animal Health and Disease Research (A)			X	X		
10.210	Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)			X			
10.212	Small Business Innovation Research (B)						
10.215	Sustainable Agriculture Research and Education (B)			X	X		
10.216	1890 Institution Capacity Building Grants (B)			X			
10.217	Higher Education Challenge Grants (B)				X		
10.219	Biotechnology Risk Assessment Research (B)			X			
10.220	Higher Education Multicultural Scholars Program (B)			X	X		X
10.221	Tribal Colleges Education Equity Grants (A)		X		X		
10.222	Tribal Colleges Endowment Program (A)		X		X		
10.223	Hispanic Serving Institutions Education Grants (B)			X	X		
10.224	Fund for Rural America-Research, Education, and Extension Activities (B)						
10.225	Community Food Projects (B)						
10.226	Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)				X		
10.227	1994 Institutions Research Program (B)		X		X		
10.228	Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)						
10.250	Agricultural and Rural Economic Research (L)	X	X	X	X	X	X
10.253	Food Assistance and Nutrition Research Programs (FANRP) (L)	X	X	X	X	X	X
10.254	Program of Research on the Economic of Invasive Species Management (PREISM) (L)	X	X	X	X	X	X
10.255	Research Innovation and Development Grants in Economic (RIDGE) (L)	X	X	X	X	X	X
10.256	Consumer Data Initiative (CDI) (L)	X	X	X	X	X	X
10.290	Agricultural Market and Economic Research (B)			X			
10.303	Integrated Programs (B)				X		
10.304	Homeland Security-Agricultural (B)	X	X	X	X	X	X
10.305	International Science and Education Grants (B)			X			
10.306	BIODIESEL (B)			X			
10.307	Organic Agriculture Research and Extension Initiative (B)				X		
10.308	Resident Instruction Grants for Insular Area Activities (B)		X	X	X		
10.309	Specialty Crop Research Initiative (B)	X	X	X	X	X	X
10.350	Technical Assistance to Cooperatives (J,K,L,M)						
10.352	Value-Added Producer Grants (B)						
10.404	Emergency Loans (E)	X					
10.405	Farm Labor Housing Loans and Grants (B,F)	X	X	X	X	X	
10.406	Farm Operating Loans (E,F)	X					
10.407	Farm Ownership Loans (E,F)	X					
10.410	Very Low to Moderate Income Housing Loans (E,F)	X					
10.411	Rural Housing Site Loans and Self-Help Housing Land Development Loans (E)			X			
10.415	Rural Rental Housing Loans (B,E)	X	X	X	X	X	
10.417	Very Low-Income Housing Repair Loans and Grants (B,E)	X					
10.420	Rural Self-Help Housing Technical Assistance (B)		X	X	X		
10.421	Indian Tribes and Tribal Corporation Loans (E)						X
10.427	Rural Rental Assistance Payments (C)	X	X	X	X	X	
10.433	Rural Housing Preservation Grants (B)			X	X	X	
10.435	State Mediation Grants (B)				X		
10.437	Interest Assistance Program (F)	X					
10.438	Section 538 Rural Rental Housing Guaranteed Loans (F)	X	X	X	X	X	X
10.441	Technical and Supervisory Assistance Grants (B)			X			X
10.442	Housing Application Packaging Grants (B)				X		
10.443	Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)				X		
10.444	Direct Housing-Natural Disaster Loans and Grants (B,E)	X	X	X	X	X	X
10.445	Direct Housing-Natural Disaster (E)	X	X	X	X	X	X
10.446	Rural Community Development Initiative (B)			X			X
10.447	The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)						
10.449	Boll Weevil Eradication Loan Program (E)		X		X		
10.450	Crop Insurance (G)	X					
10.451	Noninsured Assistance (D)		X				
10.452	Disaster Reserve Assistance (C)				X		
10.454	Dairy Options Pilot Program (C)	X					
10.455	Community Outreach and Assistance Partnership Program (L,M)		X	X	X		
10.456	Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)		X		X		
10.457	Commodity Partnerships for Risk Management Education (B)				X		
10.458	Crop Insurance Education in Targeted States (B)			X	X		
10.459	Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)			X	X		
10.475	Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)				X		

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
10.477	Meat, Poultry, and Egg Products Inspection (J)	X					
10.479	Food Safety Cooperative Agreements (B)		X		X		
10.500	Cooperative Extension Service (A,B)				X	X	
10.551	Supplemental Nutrition Assistance Program (C)				X	X	
10.553	School Breakfast Program (A)			X	X	X	
10.555	National School Lunch Program (A)			X	X	X	
10.556	Special Milk Program for Children (A)				X		
10.557	Special Supplemental Nutrition Program for Women, Infants, and Children (A)		X	X	X	X	
10.558	Child and Adult Care Food Program (A)				X	X	
10.559	Summer Food Service Program for Children (A)				X	X	
10.560	State Administrative Expenses for Child Nutrition (A)				X	X	
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)				X	X	
10.565	Commodity Supplemental Food Program (A,H)				X		X
10.566	Nutrition Assistance For Puerto Rico (C)					X	
10.567	Food Distribution Program on Indian Reservations (B,H)				X		X
10.568	Emergency Food Assistance Program (Administrative Costs) (A)				X		
10.569	Emergency Food Assistance Program (Food Commodities) (A)				X		
10.572	WIC Farmers' Market Nutrition Program (FMNP) (A)		X		X		
10.574	Team Nutrition Grants (B)				X		
10.576	Senior Farmers Market Nutrition Program (B)		X		X		
10.578	WIC Grants To States (WGS) (B)				X		
10.579	Child Nutrition Discretionary Grants Limited Availability (B)				X		
10.580	Special Nutrition Assistance Program Outreach/Participation Program (B)				X		
10.582	Fresh Fruit and Vegetable Program (B)				X		
10.600	Foreign Market Development Cooperator Program (C)						
10.601	Market Access Program (C)						
10.603	Emerging Markets Program (C)				X		
10.604	Technical Assistance for Specialty Crops Program (C)			X	X		
10.605	Quality Samples Program (C)			X			
10.606	Food for Progress (H)						
10.607	Section 416(b) (H)						
10.608	Food for Education (H)						
10.609	Trade Adjustment Assistance (D)	X	X	X	X	X	X
10.652	Forestry Research (B)		X	X	X	X	
10.664	Cooperative Forestry Assistance (A,B)	X					X
10.665	Schools and Roads-Grants to States (A)				X	X	
10.666	Schools and Roads-Grants to Counties (A)		X				
10.670	National Forest-Dependent Rural Communities (B,I,M)		X				
10.671	Southeast Alaska Economic Disaster Fund (C)		X				
10.672	Rural Development, Forestry, and Communities (B)		X		X		
10.674	Forest Products Lab: Technology Marketing Unit (TMU) (B)	X	X		X		
10.675	Urban and Community Forestry Program (B)				X		
10.676	Forest Legacy Program (B)				X		
10.677	Forest Land Enhancement Program (B)				X		
10.678	Forest Stewardship Program (B)				X		
10.679	Collaborative Forest Restoration (B)		X	X			
10.680	Forest Health Protection (A,B)	X	X	X	X	X	X
10.681	WOOD EDUCATION AND RESOURCE CENTER (WERC) (B)		X	X	X		X
10.684	International Forestry Programs (B)			X	X	X	X
10.700	National Agricultural Library (L)	X	X	X	X	X	
10.760	Water and Waste Disposal Systems for Rural Communities (B,E,F)		X	X			X
10.761	Technical Assistance and Training Grants (B)						
10.762	Solid Waste Management Grants (B)		X				
10.763	Emergency Community Water Assistance Grants (B)		X				
10.766	Community Facilities Loans and Grants (B,E,F)		X		X		
10.767	Intermediary Relending Program (E)		X		X		X
10.768	Business and Industry Loans (F)	X	X				X
10.769	Rural Business Enterprise Grants (B)		X	X	X		X
10.770	Water and Waste Disposal Loans and Grants (Section 306C) (B,E)		X	X			X
10.771	Rural Cooperative Development Grants (B)			X			
10.772	Empowerment Zones Program (B)		X		X		
10.773	Rural Business Opportunity Grants (B)	X	X	X	X	X	X
10.774	National Sheep Industry Improvement Center (B,C,E,F)	X		X			X
10.775	Renewable Energy Systems and Energy Efficiency Improvements Program (E,F)	X					
10.778	Research on the Economic Impact of Cooperatives (C)				X		
10.850	Rural Electrification Loans and Loan Guarantees (E)		X				
10.851	Rural Telephone Loans and Loan Guarantees (E,F)			X			
10.854	Rural Economic Development Loans and Grants (B,E)	X	X	X	X	X	X
10.855	Distance Learning and Telemedicine Loans and Grants (B,E)		X	X	X	X	
10.856	1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)				X		
10.857	State Bulk Fuel Revolving Fund Grants (B)				X		
10.858	Denali Commission Grants and Loans (B,E)				X		
10.859	Assistance to High Energy Cost Rural Communities (B,E)				X		
10.860	Rural Business Investment Program (B,F)	X	X	X	X	X	X
10.861	Public Television Station Digital Transition Grant Program (B)		X	X	X		



# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
10.862	Household Water Well System Grant Program (B)						
10.863	Community Connect Grant Program (B)		X		X		
10.864	Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)						
10.886	Rural Broadband Access Loans and Loan Guarantees (E,F)		X	X	X		
10.901	Resource Conservation and Development (K)		X	X	X	X	
10.902	Soil and Water Conservation (K)	X	X	X	X	X	
10.903	Soil Survey (L)	X	X	X	X	X	X
10.904	Watershed Protection and Flood Prevention (B,K)		X	X	X	X	
10.905	Plant Materials for Conservation (J)				X	X	
10.906	Watershed Surveys and Planning (J,K)		X	X	X		
10.907	Snow Survey and Water Supply Forecasting (L)	X	X	X	X	X	X
10.910	Rural Abandoned Mine Program (C)	X	X				
10.912	Environmental Quality Incentives Program (C)	X					X
10.913	Farm and Ranch Lands Protection Program (C)		X		X		
10.914	Wildlife Habitat Incentive Program (C)	X	X	X	X	X	X
10.916	Watershed Rehabilitation Program (B,K)		X		X		
10.917	Agricultural Management Assistance (C)				X		
10.918	Ground and Surface Water Conservation- Environmental Quality Incentives Program (C)	X	X	X	X	X	X
10.919	Klamath Basin - Environmental Quality Incentives Program (C)	X	X	X	X	X	X
10.920	Grassland Reserve Program (C)	X	X	X	X	X	X
10.921	Conservation Security Program (C)	X	X	X	X	X	X
10.922	Healthy Forests Reserve Program (HFRP) (C)						
10.923	Emergency Watershed Protection Program (B)	X	X	X	X	X	X
10.950	Agricultural Statistics Reports (L)	X	X	X	X	X	X
10.960	Technical Agricultural Assistance (B)			X	X	X	
10.961	Scientific Cooperation and Research (B,C)			X	X	X	
10.962	Cochran Fellowship Program-International Training-Foreign Participant (C)			X			
10.994	Peanut Quota Buyout Program (D)	X					
10.995	Hard White Wheat Incentive Program (D)	X	X	X	X	X	X
10.999	Long Term Standing Agreements For Storage, Transpotation And Lease (C)						
<b>DEPARTMENT OF COMMERCE</b>							
11.001	Census Bureau Data Products (L)	X	X	X	X	X	X
11.002	Census Customer Services (K,L,M)	X	X	X	X	X	X
11.003	Census Geography (J,L)	X					
11.004	Census Intergovernmental Services (K,L,M)		X		X		
11.005	Census Special Tabulations and Services (J,L)		X		X		
11.006	Personal Census Search (J)	X					
11.025	Measures and Analyses of the U.S. Economy (L)		X		X		
11.026	STAT-USA: Key Business, Economic, and International Trade Information (L)	X	X	X	X	X	X
11.106	Remedies for Unfair Foreign Trade Practices-Antidumping and Countervailing Duty Investigations (J,N)	X	X	X	X	X	X
11.108	Commercial Service (K)	X	X	X	X	X	X
11.110	Manufacturing and Services (K)	X	X	X	X	X	X
11.111	Foreign-Trade Zones in the United States (J)						
11.112	Market Development Cooperator Program (B)			X			
11.113	ITA Special Projects (B)	X		X			
11.150	Export Licensing Service and Information (K)	X	X	X	X	X	X
11.300	Investments for Public Works and Economic Development Facilities (B)		X	X	X		
11.302	Economic Development-Support for Planning Organizations (B)		X				X
11.303	Economic Development-Technical Assistance (B)		X	X	X	X	X
11.307	Economic Adjustment Assistance (B)		X	X	X		X
11.312	Research and Evaluation Program (B)	X		X			
11.313	Trade Adjustment Assistance for Firms (B)			X			
11.400	Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)		X		X		
11.405	Anadromous Fish Conservation Act Program (B)	X	X	X	X	X	X
11.407	Interjurisdictional Fisheries Act of 1986 (A)				X		
11.408	Fishermen's Contingency Fund (D)	X					
11.413	Fishery Products Inspection and Certification (J)	X	X		X		
11.415	Fisheries Finance Program (E)	X					
11.417	Sea Grant Support (B)	X	X	X	X	X	X
11.419	Coastal Zone Management Administration Awards (A,B)				X	X	
11.420	Coastal Zone Management Estuarine Research Reserves (B)				X	X	
11.426	Financial Assistance for National Centers for Coastal Ocean Science (B)		X	X	X		
11.427	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)	X	X	X	X	X	X
11.429	Marine Sanctuary Program (B)			X	X	X	
11.430	Undersea Research (B)	X	X	X	X	X	X
11.431	Climate and Atmospheric Research (B)	X	X	X	X	X	X
11.432	Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (B)				X		
11.433	Marine Fisheries Initiative (B)	X	X	X	X	X	X
11.434	Cooperative Fishery Statistics (B)				X		
11.435	Southeast Area Monitoring and Assessment Program (B)				X		

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
11.436	Columbia River Fisheries Development Program (B)				X		
11.437	Pacific Fisheries Data Program (B)				X		
11.438	Pacific Coast Salmon Recovery-Pacific Salmon Treaty Program (B)				X		
11.439	Marine Mammal Data Program (B)				X		
11.440	Environmental Sciences, Applications, Data, and Education (B)			X	X		
11.441	Regional Fishery Management Councils (B)						
11.443	Short Term Climate Fluctuations (B)			X			
11.444	Hawaii Sustainable Fisheries Development (Aquaculture Program) (B)			X	X		
11.445	Hawaii Stock Management Program (B)			X	X		
11.449	Independent Education and Science Projects and Programs (B)			X			
11.450	Automated Flood Warning Systems (AFWS) (B)				X		
11.452	Unallied Industry Projects (B)	X	X		X	X	X
11.454	Unallied Management Projects (B)	X	X		X	X	X
11.455	Cooperative Science and Education Program (B)				X	X	
11.457	Chesapeake Bay Studies (B)				X		
11.459	Weather and Air Quality Research (B)	X	X	X	X	X	X
11.460	Special Oceanic and Atmospheric Projects (B)		X	X	X		
11.462	Hydrologic Research (B)		X		X		
11.463	Habitat Conservation (B)	X	X	X	X	X	X
11.467	Meteorologic and Hydrologic Modernization Development (B,D,L,M)		X		X		
11.468	Applied Meteorological Research (B)	X	X	X	X	X	X
11.469	Congressionally Identified Awards and Projects (B)	X	X	X	X	X	X
11.472	Unallied Science Program (B)	X	X		X	X	X
11.473	Coastal Services Center (B)		X	X	X		
11.474	Atlantic Coastal Fisheries Cooperative Management Act (B)				X		
11.477	Fisheries Disaster Relief (B)				X		
11.478	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program (B)	X	X	X	X		
11.480	National Ocean Service Intern Program (B)			X			
11.481	Educational Partnership Program (B)				X		
11.550	Public Telecommunications Facilities Planning and Construction (B)		X	X	X	X	X
11.553	Special Projects (B)	X	X	X	X	X	X
11.554	Low-Power Television and Translator Digital-to-Analog Conversion (B)	X	X	X	X	X	X
11.555	Public Safety Interoperable Communications Grant Program (B)				X	X	
11.556	TV Converter Box Coupon Program (C)	X	X	X	X	X	X
11.601	Calibration Program (J)	X	X	X	X	X	X
11.603	National Standard Reference Data System (H)	X	X	X	X	X	X
11.604	Standard Reference Materials (H)	X	X	X	X	X	X
11.606	Weights and Measures Service (J,K,L,M)	X	X	X	X	X	X
11.609	Measurement and Engineering Research and Standards (B)		X		X		
11.610	National Center for Standards and Certification Information (L)	X	X	X	X	X	X
11.611	Manufacturing Extension Partnership (B,L)			X			
11.612	Advanced Technology Program (B)						
11.616	Technology Innovation Program (TIP) (B)			X			
11.617	Congressionally-Identified Projects (B)			X			
11.650	National Technical Information Service (L)	X	X	X	X	X	X
11.702	Internship Program for Postsecondary Students (B)			X	X		
11.800	Minority Business Enterprise Centers (B)		X	X	X	X	X
11.801	Native American Business Enterprise Centers (B)	X					
11.803	Minority Business Opportunity Center (MBOC) (B)		X	X	X		
11.900	Patent and Trademark Technical Information Dissemination (L)	X	X	X	X	X	X
<b>DEPARTMENT OF DEFENSE</b>							
12.002	Procurement Technical Assistance For Business Firms (B)		X		X		
12.100	Aquatic Plant Control (J,L)		X		X		
12.101	Beach Erosion Control Projects (J)		X		X		
12.102	Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (J)	X	X		X		
12.103	Emergency Operations Flood Response and Post Flood Response (J)		X		X		
12.104	Flood Plain Management Services (K,L)	X	X	X	X	X	X
12.105	Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)		X		X		
12.106	Flood Control Projects (J)		X		X		
12.107	Navigation Projects (J)		X		X		
12.108	Snagging and Clearing for Flood Control (J)		X		X		
12.109	Protection, Clearing and Straightening Channels (J)		X		X		
12.110	Planning Assistance to States (J)				X	X	
12.111	Emergency Advance Measures for Flood Prevention (J)	X	X	X	X	X	X
12.112	Payments to States in Lieu of Real Estate Taxes (A)				X		
12.113	State Memorandum of Agreement Program for the Reimbursement of Technical Services (B)				X		
12.114	Collaborative Research and Development (B)		X	X	X		
12.116	Department of Defense Appropriation Act of 2003 (J)				X		
12.300	Basic and Applied Scientific Research (B)			X			
12.350	Department of Defense HIV/AIDS Prevention Program (B)				X		
12.351	Basic Scientific Research - Combating Weapons of Mass Destruction (B)			X			
12.352	Scientific Research - Combating Weapons of Mass Destruction (B)			X			

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
12.360	Research on Chemical and Biological Defense (B)						
12.400	Military Construction, National Guard (B)				X	X	
12.401	National Guard Military Operations and Maintenance (O&M) Projects (B)				X	X	
12.404	National Guard Civilian Youth Opportunities (A)						
12.420	Military Medical Research and Development (B)			X			
12.431	Basic Scientific Research (B)		X	X	X		
12.550	National Flagship Language Program Grants To U.S. Institutions Of Higher Education (B)			X	X		
12.551	National Security Education Program David L. Boren Scholarships (B)	X	X	X	X	X	X
12.552	National Security Education Program David L. Boren Fellowships (B)	X	X	X	X	X	X
12.553	National Flagship Language Program Fellowships (B)	X	X	X	X	X	X
12.554	English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (B)			X	X		
12.555	English for Heritage Language Speakers Scholarships (B)						
12.607	Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation (B)		X		X	X	X
12.610	Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)		X		X		
12.611	Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment (B)		X		X		X
12.614	Community Economic Adjustment Diversification Planning (B)		X		X		
12.630	Basic, Applied, and Advanced Research in Science and Engineering (B)			X			
12.700	Donations/Loans of Obsolete DOD Property (I)		X	X	X	X	
12.800	Air Force Defense Research Sciences Program (B)			X			
12.900	Language Grant Program (B)	X	X	X	X	X	X
12.901	Mathematical Sciences Grants Program (B)	X	X	X	X	X	X
12.902	Information Security Grant Program (B)	X	X	X	X	X	X
12.910	Research and Technology Development (B)			X			
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>							
14.103	Interest Reduction Payments-Rental and Cooperative Housing for Lower Income Families (C,F)	X					
14.108	Rehabilitation Mortgage Insurance (F)	X					
14.110	Manufactured Home Loan Insurance-Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)	X					
14.112	Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)	X					
14.117	Mortgage Insurance-Homes (F)	X					
14.119	Mortgage Insurance-Homes for Disaster Victims (F)	X					
14.122	Mortgage Insurance-Homes in Urban Renewal Areas (F)	X					
14.123	Mortgage Insurance-Housing in Older, Declining Areas (F)	X					
14.126	Mortgage Insurance-Cooperative Projects (F)			X			
14.127	Mortgage Insurance-Manufactured Home Parks (F)	X					
14.128	Mortgage Insurance-Hospitals (F)						
14.129	Mortgage Insurance-Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)						
14.133	Mortgage Insurance-Purchase of Units in Condominiums (F)	X					
14.134	Mortgage Insurance-Rental Housing (F)	X					
14.135	Mortgage Insurance-Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)	X		X			
14.138	Mortgage Insurance-Rental Housing for the Elderly (F)			X			
14.139	Mortgage Insurance-Rental Housing in Urban Renewal Areas (F)	X		X			
14.142	Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)	X					
14.149	Rent Supplements-Rental Housing for Lower Income Families (C)	X					
14.151	Supplemental Loan Insurance-Multifamily Rental Housing (F)	X		X			
14.155	Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)	X	X	X	X	X	X
14.157	Supportive Housing for the Elderly (C)						
14.159	Section 245 Graduated Payment Mortgage Program (F)	X	X	X	X	X	X
14.162	Mortgage Insurance-Combination and Manufactured Home Lot Loans (F)	X	X	X	X	X	X
14.163	Mortgage Insurance-Single Family Cooperative Housing (F)	X					
14.164	Operating Assistance for Troubled Multifamily Housing Projects (C)						
14.167	Mortgage Insurance-Two Year Operating Loss Loans, Section 223(d) (F)	X					
14.168	Land Sales-Certain Subdivided Land (L,N)	X					
14.169	Housing Counseling Assistance Program (B)		X	X	X		
14.171	Manufactured Home Construction and Safety Standards (L,N)	X	X	X	X	X	X
14.172	Mortgage Insurance-Growing Equity Mortgages (F)	X	X	X	X	X	X
14.175	Adjustable Rate Mortgages (F)	X					
14.181	Supportive Housing for Persons with Disabilities (C)						
14.183	Home Equity Conversion Mortgages (F)						
14.184	Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)			X			
14.188	Housing Finance Agencies (HFA) Risk Sharing (F)						
14.189	Qualified Participating Entities (QPE) Risk Sharing (F)						
14.191	Multifamily Housing Service Coordinators (B)		X	X			X

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
14.195	Section 8 Housing Assistance Payments Program-Special Allocations (C)						
14.197	Multifamily Assisted Housing Reform and Affordability Act (C)	X					
14.198	Good Neighbor Next Door Sales Program (H)						
14.199	Multifamily Property Disposition (H)						
14.218	Community Development Block Grants/Entitlement Grants (A)		X				
14.225	Community Development Block Grants/Special Purpose Grants/Insular Areas (B)					X	
14.227	Community Development Block Grants/Technical Assistance Program (B)		X	X	X		X
14.228	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)				X		
14.231	Emergency Shelter Grants Program (A)		X	X			
14.235	Supportive Housing Program (B,C)		X	X			
14.238	Shelter Plus Care (B)		X		X		X
14.239	Home Investment Partnerships Program (A)		X		X		X
14.241	Housing Opportunities for Persons with AIDS (A,B)		X		X		
14.244	Empowerment Zones Program (B,C)				X		
14.246	Community Development Block Grants/Brownfields Economic Development Initiative (B)		X				
14.247	Self-Help Homeownership Opportunity Program (B)						
14.248	Community Development Block Grants-Section 108 Loan Guarantees (F)			X			
14.249	Section 8 Moderate Rehabilitation Single Room Occupancy (B)						
14.250	Rural Housing and Economic Development (B)		X				
14.251	Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)		X	X	X		
14.252	Section 4 Capacity Building for Affordable Housing and Community Development Grants (B)						
14.311	Single Family Property Disposition (H)	X	X	X	X	X	X
14.313	Dollar Home Sales (H)		X				
14.314	Assisted Living Conversion for Eligible Multifamily Housing Projects (B)			X			
14.315	Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)			X			
14.316	Housing Counseling Training Program (B)			X			
14.400	Equal Opportunity in Housing (N)	X					
14.401	Fair Housing Assistance Program-State and Local (B)		X		X		
14.402	Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (N)	X	X	X	X	X	X
14.404	Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (N)	X	X	X	X	X	X
14.405	Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color, or National Origin) (N)	X	X	X	X	X	X
14.406	Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (N)	X	X	X	X	X	X
14.407	Architectural Barriers Act Enforcement (N)	X	X	X	X	X	X
14.408	Fair Housing Initiatives Program (B)		X		X		
14.412	Employment Opportunities for Lower Income Persons and Businesses (N)	X	X	X	X	X	X
14.414	Non-Discrimination on the Basis of Disability by Public Entities (N)		X				
14.415	Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (N)	X	X	X	X	X	X
14.506	General Research and Technology Activity (B)		X	X	X		
14.514	Hispanic-Serving Institutions Assisting Communities (B)			X			
14.515	Alaska Native/Native Hawaiian Institutions Assisting Communities (B)				X		
14.516	Doctoral Dissertation Research Grants (B)			X	X	X	
14.517	Early Doctoral Student Research Grants (B)			X	X	X	
14.519	Tribal Colleges and Universities Program (B)		X				
14.520	Historically Black Colleges and Universities Program (B)				X		
14.850	Public and Indian Housing (C)		X	X			X
14.856	Lower Income Housing Assistance Program-Section 8 Moderate Rehabilitation (C)	X	X	X	X	X	X
14.862	Indian Community Development Block Grant Program (B)						X
14.865	Public and Indian Housing-Indian Loan Guarantee Program (F)		X				X
14.866	Demolition and Revitalization of Severely Distressed Public Housing (B)				X		
14.867	Indian Housing Block Grants (A)		X				X
14.869	Title VI Federal Guarantees for Financing Tribal Housing Activities (F)						X
14.870	Resident Opportunity and Supportive Services - Service Coordinators (B)			X			X
14.871	Section 8 Housing Choice Vouchers (C)		X		X		
14.872	Public Housing Capital Fund (A)	X	X	X	X	X	X
14.873	Native Hawaiian Housing Block Grants (B)						
14.874	Loan Guarantees for Native Hawaiian Housing (F)						
14.875	Public Housing Neighborhood Networks Grants (B)						
14.876	Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (B)			X			X
14.877	Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)			X			X
14.878	Affordable Housing Development in Main Street Rejuvenation Projects (B)		X		X		
14.879	Mainstream Vouchers (C)		X	X	X		
14.880	Family Unification Program (FUP) (C)		X	X	X		
14.881	Moving to Work Demonstration Program (A)	X	X	X	X	X	X
14.900	Lead-Based Paint Hazard Control in Privately-Owned Housing (B)		X		X		

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
14.901	Healthy Homes Demonstration Grants (B)		X	X	X		X
14.902	Lead Technical Studies Grants (B)		X	X	X		X
14.903	Operation Lead Elimination Action Program (B)			X			
14.904	Lead Outreach Grants (B)		X		X		
14.905	Lead Hazard Reduction Demonstration Grant Program (B)		X		X		
14.906	Healthy Homes Technical Studies Grants (B)		X	X	X		X
<b>DEPARTMENT OF THE INTERIOR</b>							
15.020	Aid To Tribal Governments (C)						X
15.021	Consolidated Tribal Government Program (C)						X
15.022	Tribal Self-Governance (C)						X
15.024	Indian Self-Determination Contract Support (C)						X
15.025	Services to Indian Children, Elderly and Families (C)						X
15.026	Indian Adult Education (C)						X
15.027	Assistance to Tribally Controlled Community Colleges and Universities (B)						X
15.028	Tribally Controlled Community College Endowments (B)						X
15.029	Tribal Courts (C)						X
15.030	Indian Law Enforcement (C)						X
15.031	Indian Community Fire Protection (C)						X
15.032	Indian Economic Development (C)						X
15.033	Road Maintenance-Indian Roads (C)						X
15.034	Agriculture on Indian Lands (C,J,K)						X
15.035	Forestry on Indian Lands (C,J,K)						X
15.036	Indian Rights Protection (C)						X
15.037	Water Resources on Indian Lands (C,J,K)						X
15.038	Minerals and Mining on Indian Lands (C,J,L)						X
15.040	Real Estate Programs-Indian Lands (C)						X
15.041	Environmental Management-Indian Programs (C)						X
15.042	Indian School Equalization Program (C)						X
15.043	Indian Child and Family Education (B,M)						X
15.044	Indian Schools-Student Transportation (C)						X
15.045	Assistance for Indian Children with Severe Disabilities (C)						X
15.046	Administrative Cost Grants for Indian Schools (B)						X
15.047	Indian Education Facilities, Operations, and Maintenance (C)						X
15.048	Bureau of Indian Affairs Facilities-Operations and Maintenance (C)						X
15.051	Endangered Species on Indian Lands (C,K,L)						X
15.052	Litigation Support for Indian Rights (C)						X
15.053	Attorney Fees-Indian Rights (C)						X
15.055	Alaskan Indian Allotments and Subsistence Preference-Alaska National Interest Lands Conservation Act (C)						X
15.057	Navajo-Hopi Indian Settlement Program (C,J)						X
15.058	Indian Post Secondary Schools (M)						X
15.059	Indian Graduate Student Scholarships (B)						X
15.060	Indian Vocational Training-United Tribes Technical College (D,M)						X
15.061	Indian Job Placement-United Sioux Tribes Development Corporation (D,K)						X
15.062	Replacement and Repair of Indian Schools (C)						X
15.063	Improvement and Repair of Indian Detention Facilities (C)						X
15.064	Structural Fire Protection-Bureau of Indian Affairs Facilities (C)						X
15.065	Safety of Dams on Indian Lands (C)						X
15.108	Indian Employment Assistance (C)	X					X
15.113	Indian Social Services-Welfare Assistance (C)	X					X
15.114	Indian Education-Higher Education Grant Program (B)	X					X
15.124	Indian Loans-Economic Development (F)						X
15.130	Indian Education-Assistance to Schools (C)				X		X
15.133	Native American Business Development Institute (A)						X
15.141	Indian Housing Assistance (B,L)	X					X
15.144	Indian Child Welfare Act-Title II Grants (B)						X
15.146	Ironworker Training Program (B)						X
15.147	Tribal Courts-Trust Reform Initiative (B)						X
15.148	Tribal Energy Development Capacity Grants (I)						X
15.214	Non-Sale Disposals of Mineral Material (H)			X	X		
15.222	Cooperative Inspection Agreements with States and Tribes (B)				X		X
15.224	Cultural Resource Management (B,H,I,J,K,L,M,N)	X	X	X	X	X	X
15.225	Recreation Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.226	Payments in Lieu of Taxes (C,D)			X			
15.227	Distribution of Receipts to State and Local Governments (C,D)		X		X		
15.228	National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)		X	X	X		
15.229	Wild Horse and Burro Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.230	Invasive and Noxious Plant Management (B,K,M)		X		X		
15.231	Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.232	Wildland Fire Research and Studies Program (B)	X	X	X	X	X	X
15.233	Forests and Woodlands Resource Management (B,K,M)	X	X	X	X	X	X
15.234	Secure Rural Schools and Community Self-Determination (B)		X	X	X		
15.235	Southern Nevada Public Land Management (B)		X				
15.236	Environmental Quality and Protection Resource Management (B,K,L,M)	X	X	X	X	X	X



# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
15.237	Rangeland Resource Management (B,K,M)	X	X	X	X	X	X
15.238	Challenge Cost Share (B,I,K,M)	X	X	X	X	X	X
15.239	Management Initiatives (B,I,K,M)	X	X	X	X	X	X
15.240	Helium Resource Management (B)			X			
15.242	National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)		X		X		X
15.250	Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)				X		
15.252	Abandoned Mine Land Reclamation (AMLR) Program (A,B)		X		X		X
15.253	Not-for-Profit AMD Reclamation (B)						
15.254	Summer Watershed Intern (C)			X	X		
15.255	Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)		X	X	X		X
15.406	National Park Service Centennial Challenge. (A)	X	X	X	X		X
15.407	Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B)	X	X	X	X		
15.421	Alaska Coastal Marine Institute (B)				X		
15.422	Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)						
15.423	Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)				X		
15.424	Marine Minerals Activities (B)				X		
15.425	Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (B)						
15.426	Coastal Impact Assistance Program (CIAP) (A)						
15.427	Federal Oil and Gas Royalty Management (B)				X		X
15.428	Marine Gas Hydrate Research Activities (B)			X	X	X	
15.504	Water Reclamation and Reuse Program (A)		X		X		
15.506	Water Desalination Research and Development Program (B)		X	X	X		X
15.507	Water 2025 (B)				X		
15.508	Providing Water to At-Risk Natural Desert Terminal Lakes (B)		X	X	X		X
15.509	Colorado River Basin Salinity Control Program (B)	X	X	X	X	X	X
15.510	Colorado Ute Indian Water Rights Settlement Act (B)		X		X		
15.511	Cultural Resources Management (B)		X	X	X		X
15.512	Central Valley Project Improvement Act, Title XXXIV (B)		X		X		
15.513	Dutch John Federal Property and Disposition Assistance Act (B)				X		
15.514	Reclamation States Emergency Drought Relief (B,J,K)						
15.515	Federal Resource Protection (B)		X		X		
15.516	Fort Peck Reservation Rural Water System (B)				X		
15.517	Fish and Wildlife Coordination Act (B)		X	X	X		X
15.518	Garrison Diversion Unit (B)		X				X
15.519	Indian Tribal Water Resources Development, Management, and Protection (B)		X				X
15.520	Lewis and Clark Rural Water System (B)						
15.521	Lower Rio Grande Valley Water Resources Conservation and Improvement (B)				X		
15.522	Mni Wiconi Rural Water Supply Project (B)						X
15.523	Perkins County Rural Water System (B)				X		
15.524	Recreation Resources Management (B)		X		X		
15.525	Rocky Boy's/North Central Montana Regional Water System (B)						X
15.526	San Gabriel Basin Restoration Project (B)						
15.527	San Luis Unit, Central Valley Project (B)		X	X	X		X
15.528	St. Mary Storage Unit Facilities Rehabilitation Project (B)				X		X
15.529	Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)		X	X	X		X
15.530	Water Conservation Field Services Program (WCFSP) (B)		X	X	X		
15.531	Yakima River Basin Water Enhancement Project (YRBWEP) (B)		X		X		X
15.532	Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)		X	X	X		X
15.533	California Water Security and Environmental Enhancement (B)				X		
15.534	Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)						X
15.602	Conservation Law Enforcement Training Assistance (M)				X		
15.605	Sport Fish Restoration Program (A)				X	X	
15.608	Fish and Wildlife Management Assistance (J)				X		X
15.611	Wildlife Restoration (A)				X		
15.614	Coastal Wetlands Planning, Protection and Restoration Act (B)				X	X	
15.615	Cooperative Endangered Species Conservation Fund (B)				X	X	
15.616	Clean Vessel Act (B)				X	X	
15.619	Rhinoceros and Tiger Conservation Fund (B)		X	X	X		
15.620	African Elephant Conservation Fund (B)	X	X	X	X	X	X
15.621	Asian Elephant Conservation Fund (B)		X	X	X		
15.622	Sportfishing and Boating Safety Act (B)				X		
15.623	North American Wetlands Conservation Fund (B)				X		
15.625	Wildlife Conservation and Restoration (A)				X		
15.626	Hunter Education and Safety Program (A)				X		
15.628	Multistate Conservation Grant Program (B)				X		
15.629	Great Apes Conservation Fund (B)		X	X	X		
15.630	Coastal Program (B)	X	X	X	X	X	X
15.631	Partners for Fish and Wildlife (C)						X
15.632	Conservation Grants Private Stewardship for Imperiled Species (B)	X		X			
15.633	Landowner Incentive Program (B)				X		X

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
15.634	State Wildlife Grants (A,B)				X		
15.635	Neotropical Migratory Bird Conservation (B)	X		X	X		
15.636	Alaska Subsistence Management (B)	X		X	X		X
15.637	Migratory Bird Joint Ventures (B)		X	X	X		X
15.638	Tribal Landowner Incentive Program (B)						X
15.639	Tribal Wildlife Grants Program (B)						X
15.640	Wildlife Without Borders- Latin America and the Caribbean (B)		X	X	X		
15.641	Wildlife Without Borders-Mexico (B)		X	X	X		
15.642	Challenge Cost Share (B)	X	X	X	X	X	
15.643	Alaska Migratory Bird Co-Management Council (B)		X	X			X
15.644	Federal Junior Duck Stamp Conservation and Design (C,H)	X		X			
15.645	Marine Turtle Conservation Fund (B)						
15.647	Migratory Bird Conservation (B,C)		X		X		X
15.648	Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)		X	X	X		
15.649	Service Training and Technical Assistance (Generic Training) (B)						
15.650	Research Grants (Generic) (B)						
15.651	Wildlife Without Borders-Africa Program (B)		X	X	X		
15.652	Undesirable/Noxious Plant Species (B)	X	X	X	X		
15.653	National Outreach and Communication Program (B)	X	X	X	X	X	X
15.654	Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (B)	X	X	X	X		
15.655	Migratory Bird Monitoring, Assessment and Conservation (B,C)		X	X	X	X	X
15.805	Assistance to State Water Resources Research Institutes (A,B)				X	X	
15.807	Earthquake Hazards Reduction Program (B)		X	X	X		
15.808	U.S. Geological Survey- Research and Data Collection (B)		X	X	X		
15.809	National Spatial Data Infrastructure Cooperative Agreements Program (B)		X	X	X	X	X
15.810	National Cooperative Geologic Mapping Program (B)				X		
15.811	Gap Analysis Program (B)		X	X	X		
15.812	Cooperative Research Units Program (B)						
15.813	Cooperative Research Units Training Program (B)		X		X		
15.814	National Geological and Geophysical Data Preservation Program (B)				X		
15.815	National Land Remote Sensing-Education Outreach and Research (B)		X	X	X		
15.816	Minerals Resources External Research Program (B)		X	X	X		
15.850	Indian Arts and Crafts Development (I,K,N)		X	X	X		X
15.875	Economic, Social, and Political Development of the Territories (B)					X	
15.904	Historic Preservation Fund Grants-In-Aid (A,B)			X	X	X	
15.912	National Historic Landmark (K)	X	X	X	X	X	X
15.914	National Register of Historic Places (K)				X	X	
15.915	Technical Preservation Services (J,K,L)	X	X		X		
15.916	Outdoor Recreation-Acquisition, Development and Planning (B)		X		X	X	X
15.918	Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (I)		X		X		
15.921	Rivers, Trails and Conservation Assistance (K)		X		X		
15.922	Native American Graves Protection and Repatriation Act (B)		X		X		X
15.923	National Center for Preservation Technology and Training (B)		X	X	X		X
15.926	American Battlefield Protection (B)		X	X	X	X	X
15.927	Hydropower Recreation Assistance (K)				X		
15.928	Civil War Battlefield Land Acquisition Grants (B)		X		X		
15.929	Save America's Treasures (B)		X	X	X		X
15.930	Chesapeake Bay Gateways Network (B)	X	X	X	X	X	X
15.931	Conservation Activities by Youth Service Organizations (B)		X		X		
15.978	Upper Mississippi River System Long Term Resource Monitoring Program (B)		X		X		
<b>DEPARTMENT OF JUSTICE</b>							
16.001	Law Enforcement Assistance-Narcotics and Dangerous Drugs-Laboratory Analysis (J)		X		X		
16.003	Law Enforcement Assistance-Narcotics and Dangerous Drugs Technical Laboratory Publications (L)						
16.004	Law Enforcement Assistance-Narcotics and Dangerous Drugs Training (M)		X		X		
16.012	Alcohol, Tobacco, and Firearms-Training Assistance (M)		X		X		
16.013	Violence Against Women Act Court Training and Improvement Grants (B)		X		X	X	X
16.014	Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)		X		X	X	X
16.016	Culturally and Linguistically Specific Services Program (B)		X				
16.017	Sexual Assault Services Program (A,B)		X		X		
16.019	Tribal Registry (B)		X				X
16.100	Desegregation of Public Education (J)	X					
16.101	Equal Employment Opportunity (J)	X	X	X	X	X	X
16.103	Fair Housing and Equal Credit Opportunity (J)	X	X	X	X	X	X
16.104	Protection of Voting Rights (J)	X	X	X	X	X	X
16.105	Civil Rights of Institutionalized Persons (J)	X	X	X	X	X	X
16.108	Americans With Disabilities Act Technical Assistance Program (B,L,M,N)		X	X	X		
16.109	Civil Rights Prosecution (B)	X	X	X	X	X	X
16.110	Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (B,J,N)						
16.200	Community Relations Service (J)	X	X	X	X	X	X

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
16.202	Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)		X	X	X		X
16.203	Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)		X		X		
16.300	Law Enforcement Assistance-FBI Advanced Police Training (M)	X	X		X		
16.301	Law Enforcement Assistance-FBI Crime Laboratory Support (J,M)		X		X	X	
16.302	Law Enforcement Assistance-FBI Field Police Training (M)		X		X		
16.303	Law Enforcement Assistance-FBI Fingerprint Identification (J)		X		X		
16.304	Law Enforcement Assistance-National Crime Information Center (J)				X		
16.305	Law Enforcement Assistance-Uniform Crime Reports (L)	X	X		X		
16.307	Combined DNA Index System (B)		X		X		
16.308	Indian Country Investigations (M)		X				
16.309	Law Enforcement Assistance-National Instant Criminal Background Check System (J)	X	X	X	X	X	X
16.320	Services for Trafficking Victims (B,C)		X		X		
16.321	Antiterrorism Emergency Reserve (B,C)			X	X		
16.523	Juvenile Accountability Block Grants (A,B)		X		X	X	
16.524	Legal Assistance for Victims (B)			X	X		
16.525	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)				X		
16.526	OVW Technical Assistance Initiative (B)			X			
16.527	Supervised Visitation, Safe Havens for Children (B)	X	X	X	X		X
16.528	Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)	X	X	X	X		X
16.529	Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)		X	X	X		X
16.540	Juvenile Justice and Delinquency Prevention-Allocation to States (A,B)				X		
16.541	Part E - Developing, Testing and Demonstrating Promising New Programs (B,J)	X	X	X	X	X	X
16.543	Missing Children's Assistance (B)	X	X	X	X	X	X
16.547	Victims of Child Abuse (B)		X		X		
16.548	Title V-Delinquency Prevention Program (A)		X		X		
16.550	State Justice Statistics Program for Statistical Analysis Centers (B)				X		
16.554	National Criminal History Improvement Program (NCHIP) (B)				X		
16.556	Grants to State Sexual Assault and Domestic Violence Coalitions (A)				X		
16.557	Tribal Domestic Violence and Sexual Assault Coalitions Program (B)			X			
16.560	National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)		X		X	X	
16.562	Criminal Justice Research and Development-Graduate Research Fellowships (B)			X	X		
16.566	National Institute of Justice W.E.B. DuBois Fellowship Program (B)	X					
16.571	Public Safety Officers' Benefits Program (D)	X					
16.575	Crime Victim Assistance (A)			X	X	X	
16.576	Crime Victim Compensation (A)				X	X	
16.578	Federal Surplus Property Transfer Program (H)				X	X	
16.579	Edward Byrne Memorial Formula Grant Program (A)				X	X	
16.580	Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)		X	X	X		X
16.582	Crime Victim Assistance/Discretionary Grants (B,C)			X	X		
16.583	Children's Justice Act Partnerships for Indian Communities (B,C)		X		X		X
16.585	Drug Court Discretionary Grant Program (B)		X		X		
16.586	Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)				X		
16.587	Violence Against Women Discretionary Grants for Indian Tribal Governments (B)						X
16.588	Violence Against Women Formula Grants (A)		X		X		
16.589	Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)	X	X	X	X		X
16.590	Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)		X	X	X		X
16.593	Residential Substance Abuse Treatment for State Prisoners (A)		X		X		
16.595	Community Capacity Development Office (B,J)		X		X		
16.596	Correctional Grant Program for Indian Tribes (B)						X
16.601	Corrections-Training and Staff Development (B,J,L,M)	X	X	X	X		
16.602	Corrections-Research and Evaluation and Policy Formulation (B,J,L)	X	X	X	X		
16.603	Corrections-Technical Assistance/Clearinghouse (B,J,L)	X	X	X	X		
16.606	State Criminal Alien Assistance Program (D)		X		X		
16.607	Bulletproof Vest Partnership Program (C)				X		
16.608	Tribal Court Assistance Program (B)						X
16.609	Community Prosecution and Project Safe Neighborhoods (B)		X		X		
16.610	Regional Information Sharing Systems (B)		X		X		
16.611	Closed-Circuit Televising of Child Victims of Abuse (B)		X		X		
16.614	State and Local Anti-Terrorism Training (K,L,M)		X		X		
16.615	Public Safety Officers' Educational Assistance (D)						
16.616	Indian Country Alcohol and Drug Prevention (B)						X
16.710	Public Safety Partnership and Community Policing Grants (B)		X		X		X
16.726	Juvenile Mentoring Program (B)			X	X		
16.727	Enforcing Underage Drinking Laws Program (B)				X	X	
16.730	Reduction and Prevention of Children's Exposure to Violence (B)			X	X	X	
16.731	Tribal Youth Program (B)						X
16.734	Special Data Collections and Statistical Studies (B)		X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
16.735	Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)				X		
16.736	Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)		X		X		X
16.737	Gang Resistance Education and Training (B)		X		X	X	
16.738	Edward Byrne Memorial Justice Assistance Grant Program (A,B)		X		X	X	
16.739	National Prison Rape Statistics Program (B)	X	X	X	X		
16.740	Statewide Automated Victim Information Notification (SAVIN) Program (B)				X		
16.741	Forensic DNA Backlog Reduction Program (A)		X		X		
16.742	Paul Coverdell Forensic Sciences Improvement Grant Program (A)		X		X		
16.744	Anti-Gang Initiative (B)		X		X		
16.745	Criminal and Juvenile Justice and Mental Health Collaboration Program (B)		X		X		X
16.746	Capital Case Litigation (B)		X		X		
16.747	Crime Victims' Rights Act (B)						
16.748	Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (A)				X		
16.749	Radiation Exposure Compensation Program (B)						
16.750	Support for Adam Walsh Act Implementation Grant Program (B)		X		X	X	X
16.751	Edward Byrne Memorial Competitive Grant Program (B)		X	X	X		X
16.752	Economic High-Tech and Cyber Crime Prevention (B)		X		X		
16.753	Congressionally Recommended Awards (B)		X	X	X		X
<b>DEPARTMENT OF LABOR</b>							
17.002	Labor Force Statistics (B,L)				X		
17.003	Prices and Cost of Living Data (L)	X	X	X	X	X	X
17.004	Productivity and Technology Data (L)	X	X	X	X	X	X
17.005	Compensation and Working Conditions (B,L)	X	X	X	X	X	X
17.150	Employee Benefits Security Administration (L)	X					
17.201	Registered Apprenticeship and Other Training (B,K)	X					
17.207	Employment Service/Wagner-Peyser Funded Activities (A,B)				X	X	
17.225	Unemployment Insurance (A,D)				X	X	
17.235	Senior Community Service Employment Program (A,B)			X	X	X	
17.245	Trade Adjustment Assistance (B)	X					
17.258	WIA Adult Program (A)				X		
17.259	WIA Youth Activities (A)		X		X		
17.260	WIA Dislocated Workers (A,B)				X		
17.261	WIA Pilots, Demonstrations, and Research Projects (B)		X		X		
17.264	National Farmworker Jobs Program (A)		X		X		
17.265	Native American Employment and Training (B)		X				X
17.266	Work Incentive Grants (B)		X		X		X
17.267	Incentive Grants - WIA Section 503 (A,B)				X		
17.268	H-1B Job Training Grants (B)			X			
17.269	Community Based Job Training Grants (B)				X		
17.270	Reintegration of Ex-Offenders (B)			X			
17.271	Work Opportunity Tax Credit Program (WOTC) (A)				X		
17.272	Permanent Labor Certification for Foreign Workers (J)	X					
17.273	Temporary Labor Certification for Foreign Workers (A,J)	X					
17.274	YOUTHBUILD (B)			X			
17.301	Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (N)	X					
17.302	Longshore and Harbor Workers' Compensation (D)	X					
17.303	Wage and Hour Standards (K,N)	X				X	
17.306	Consumer Credit Protection (K,N)	X				X	
17.307	Coal Mine Workers' Compensation (D)	X					
17.308	Farm Labor Contractor Registration (K,N)	X					
17.309	Labor Organization Reports (K,L,N)	X					
17.310	Energy Employees Occupational Illness Compensation (D)	X					
17.502	Occupational Safety and Health-Susan Harwood Training Grants (B)				X		
17.503	Occupational Safety and Health-State Program (B)				X		
17.504	Consultation Agreements (B)				X		
17.505	OSHA Data Initiative (B)				X		
17.600	Mine Health and Safety Grants (B)				X		
17.601	Mine Health and Safety Counseling and Technical Assistance (K,L)	X	X	X	X	X	X
17.602	Mine Health and Safety Education and Training (M)	X	X	X	X	X	X
17.603	Brookwood-Sago Grant (B)				X		
17.604	Safety and Health Grants (B)			X	X		
17.700	Women's Bureau (K)	X					
17.720	Disability Employment Policy Development (B)	X	X	X	X	X	X
17.801	Disabled Veterans' Outreach Program (DVOP) (A)				X		
17.802	Veterans' Employment Program (B)		X		X		
17.803	Uniformed Services Employment and Reemployment Rights (K,L,N)	X					
17.804	Local Veterans' Employment Representative Program (A)				X		
17.805	Homeless Veterans Reintegration Project (B)		X		X		
17.806	Veteran's Preference in Federal Employment (O)						
17.807	Transition Assistance Program (B)	X					
<b>DEPARTMENT OF STATE</b>							

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
19.204	Fishermen's Guaranty Fund (G)	X					
19.300	Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)			X			
19.400	Educational Exchange-Graduate Students (B)	X					
19.401	Educational Exchange-University Lecturers (Professors) and Research Scholars (B)	X					
19.402	International Visitors Program (B)	X		X			
19.403	American Council of Young Political Leaders (B)						
19.408	Educational Exchange-Teachers from Secondary and Postsecondary Levels and School Administrators (B)						
19.409	Arts Exchanges on International Issues (B)						
19.410	Educational Exchange-Congress-Bundestag Youth Exchange (B)						
19.415	Professional Exchanges-Annual Open Grant (B)		X		X		
19.418	Educational Exchange, American Studies Institute (B)		X	X	X		
19.421	Exchange-English Language Fellow Program (B)						
19.423	Exchange-English Language Specialist/Speaker Program (B)						
19.425	Benjamin Gilman International Scholarship (C)						
19.430	International Education Training and Research (B)			X			
19.431	Educational Exchange-Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (B)			X	X		
19.432	Overseas Educational Advising (B)			X			
19.500	Middle East Partnership Initiative (MEPI) (B)		X	X	X		
19.510	U.S. Refugee Admissions Program (B)				X		
19.511	Overseas Refugee Assistance Programs for East Asia (B)						
19.517	Overseas Refugee Assistance Programs for Africa (B)						
19.518	Overseas Refugee Assistance Programs for Western Hemisphere (B)						
19.519	Overseas Refugee Assistance Program for Near East and South Asia (B)						
19.520	Overseas Refugee Assistance Programs for Europe (B)						
19.522	Overseas Refugee Assistance Programs for Strategic Global Priorities (B)			X			
<b>DEPARTMENT OF TRANSPORTATION</b>							
20.100	Aviation Education (K)		X	X	X	X	
20.106	Airport Improvement Program (B,K)		X	X	X	X	X
20.108	Aviation Research Grants (B,I)				X	X	
20.109	Air Transportation Centers of Excellence (B,I,J)				X	X	
20.200	Highway Research and Development Program (B)				X		
20.205	Highway Planning and Construction (A,B)				X	X	
20.215	Highway Training and Education (B,M)		X		X		
20.218	National Motor Carrier Safety (A)				X		
20.219	Recreational Trails Program (A,B)				X		
20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)		X		X		
20.231	Performance and Registration Information Systems Management (A)				X		
20.232	Commercial Driver License State Programs (B)				X		
20.233	Border Enforcement Grants (B)				X		
20.234	Safety Data Improvement Program (B)				X		
20.235	Commercial Motor Vehicle Operator Training Grants (B)		X	X	X		
20.236	Thermal Imaging Inspection System Demonstration Project (B)			X			
20.237	Safety Data Improvement Program (B)				X		
20.238	Commercial Drivers License Information System (B)				X		
20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)				X		
20.301	Railroad Safety (N)	X	X	X	X	X	X
20.303	Grants-in-Aid for Railroad Safety-State Participation (B)				X		
20.312	High Speed Ground Transportation-Next Generation High Speed Rail Program (B)		X	X	X		
20.313	Railroad Research and Development (B)						
20.314	Railroad Development (B)		X		X		
20.315	National Railroad Passenger Corporation Grants (B)						
20.316	Railroad Rehabilitation and Improvement Financing Program (E)		X		X		
20.317	Capital Assistance to States - Intercity Passenger Rail Service (B)				X		
20.500	Federal Transit-Capital Investment Grants (A,B)		X	X	X	X	X
20.505	Federal Transit-Metropolitan Planning Grants (A)		X	X	X		
20.507	Federal Transit-Formula Grants (A)		X		X		
20.509	Formula Grants for Other Than Urbanized Areas (A)		X	X	X		
20.513	Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)						
20.514	Public Transportation Research (B,L,M)		X	X	X		
20.515	State Planning and Research (A)				X		
20.516	Job Access-Reverse Commute (B)		X	X	X		
20.518	Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)						
20.519	Clean Fuels (B)		X		X		
20.521	New Freedom Program (A)		X		X		
20.522	Alternatives Analysis (B)				X		
20.600	State and Community Highway Safety (A)				X	X	X
20.601	Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (B)				X	X	
20.602	Occupant Protection (B)				X	X	
20.605	Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (B)				X	X	
20.607	Alcohol Open Container Requirements (B)				X		
20.608	Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)				X		
20.609	Safety Belt Performance Grants (B)				X		



# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
20.610	State Traffic Safety Information System Improvement Grants (B)				X		
20.611	Incentive Grant Program to Prohibit Racial Profiling (B)				X		
20.612	Incentive Grant Program to Increase Motorcyclist Safety (B)				X		
20.613	Child Safety and Child Booster Seats Incentive Grants (B)				X		
20.614	National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (B)		X	X	X		X
20.700	Pipeline Safety Program Base Grants (A)				X		
20.701	University Transportation Centers Program (B)			X			
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants (B)				X		X
20.704	RITA Hydrogen (B)			X			
20.720	State Damage Prevention Program Grants (B)				X	X	
20.721	PHMSA Pipeline Safety Program One Call Grant (B)				X		
20.760	University Transportation Centers (B)			X			
20.761	Biobased Transportation Research (B)			X			
20.762	Research Grants (B)				X		
20.763	Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (B)			X			
20.764	Hydrogen Storage Research and Development (B)			X			
20.802	Federal Ship Financing Guarantees (F)	X					
20.803	Maritime War Risk Insurance (G)						
20.806	State Maritime Schools (C,I)				X		
20.807	U.S. Merchant Marine Academy (M)	X					
20.808	Capital Construction Fund (C)	X					
20.810	Supplementary Training (M)	X	X		X		
20.812	Construction Reserve Fund (C)	X	X	X	X	X	X
20.813	Maritime Security Fleet Program (C)						
20.814	Assistance to Small Shipyards (C)		X		X		
20.900	Transportation-Consumer Affairs (N)	X	X	X	X	X	X
20.901	Payments for Essential Air Services (C)						
20.904	Bonding Assistance Program (G)						
20.905	Disadvantaged Business Enterprises-Short Term Lending Program (F)						
20.910	Assistance to small and disadvantaged businesses (B)			X			
20.930	Payments for Small Community Air Service Development (B)		X				
20.931	Transportation Planning, Research and Education (B)		X	X	X		
<b>DEPARTMENT OF THE TREASURY</b>							
21.003	Taxpayer Service (K)	X	X	X	X	X	X
21.004	Exchange of Federal Tax Information With State Tax Agencies (J)				X	X	
21.006	Tax Counseling for the Elderly (B)			X			
21.008	Low-Income Taxpayer Clinics (B)						
21.020	Community Development Financial Institutions Program (B)						
21.021	Bank Enterprise Award Program (B)						
<b>APPALACHIAN REGIONAL COMMISSION</b>							
23.001	Appalachian Regional Development (See individual Appalachian Programs) (B)		X	X	X		
23.002	Appalachian Area Development (B)						
23.003	Appalachian Development Highway System (B)				X		
23.009	Appalachian Local Development District Assistance (B)		X				
23.011	Appalachian Research, Technical Assistance, and Demonstration Projects (B)		X	X	X		
<b>OFFICE OF PERSONNEL MANAGEMENT</b>							
27.001	Federal Civil Service Employment (O)	X					
27.002	Federal Employment Assistance for Veterans (O)	X					
27.003	Federal Student Temporary Employment Program (O)	X					
27.005	Federal Employment for Individuals With Disabilities (O)	X					
27.006	Federal Summer Employment (O)	X					
27.011	Intergovernmental Personnel Act (IPA) Mobility Program (J,K)		X	X	X		X
27.013	Presidential Management Intern Program (J,M,O)		X	X	X		
<b>COMMISSION ON CIVIL RIGHTS</b>							
29.001	Clearinghouse Services, Civil Rights Discrimination Complaints (L)	X	X	X	X	X	X
<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>							
30.001	Employment Discrimination-Title VII of the Civil Rights Act of 1964 (K,N)	X					
30.002	Employment Discrimination-State and Local Fair Employment Practices Agency Contracts (C)		X		X		
30.005	Employment Discrimination-Private Bar Program (J)	X					
30.008	Employment Discrimination-Age Discrimination in Employment (K,N)	X				X	
30.009	Employment Discrimination Project Contracts-Indian Tribes (C)						X
30.010	Employment Discrimination Equal Pay Act (K,N)	X					
30.011	Employment Discrimination-Title I of The Americans with Disabilities Act (K,N)						
<b>FEDERAL COMMUNICATIONS COMMISSION</b>							
32.001	Communications Information and Assistance and Investigation of Complaints (L,N)	X	X	X	X	X	X
<b>FEDERAL MARITIME COMMISSION</b>							

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
33.001 Shipping-Dispute Resolution and Investigation of Complaints (N)	X	X	X	X	X	X
<b>FEDERAL MEDIATION AND CONCILIATION SERVICE</b>						
34.001 Labor Mediation and Conciliation (J,K)	X					
<b>FEDERAL TRADE COMMISSION</b>						
36.001 Fair Competition Counseling and Investigation of Complaints (K,N)	X	X	X	X	X	X
<b>GENERAL SERVICES ADMINISTRATION</b>						
39.002 Disposal of Federal Surplus Real Property (H)	X	X	X	X		
39.003 Donation of Federal Surplus Personal Property (B)		X	X	X		X
39.007 Sale of Federal Surplus Personal Property ()	X	X	X	X	X	X
39.009 Federal Citizen Information Center (L)	X	X	X	X	X	X
39.012 Public Buildings Service (J)		X	X	X	X	
<b>GOVERNMENT PRINTING OFFICE</b>						
40.001 Depository Libraries for Government Publications (L)			X	X		
40.002 Government Publications Sales and Distribution (H,L)	X	X	X	X	X	X
<b>LIBRARY OF CONGRESS</b>						
42.001 Books for the Blind and Physically Handicapped (I)	X				X	
42.002 Copyright Service (L)	X	X	X	X	X	X
42.008 Semiconductor Chip Protection Service (L)	X	X	X	X	X	X
42.009 Vessel Hull Design Protection Service (L)	X	X	X	X	X	X
<b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>						
43.001 Aerospace Education Services Program (L)		X	X	X		
43.002 Technology Transfer (L)	X					
<b>NATIONAL CREDIT UNION ADMINISTRATION</b>						
44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)		X		X		
44.002 Community Development Revolving Loan Fund Program for Credit Unions (E)				X		
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>						
45.024 Promotion of the Arts-Grants to Organizations and Individuals (B)	X	X	X	X		
45.025 Promotion of the Arts-Partnership Agreements (A,B,K)				X		
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>						
45.129 Promotion of the Humanities-Federal/State Partnership (A)			X	X		
45.130 Promotion of the Humanities-Challenge Grants (B)		X	X	X	X	
45.149 Promotion of the Humanities-Division of Preservation and Access (B)	X	X	X	X	X	X
45.160 Promotion of the Humanities-Fellowships and Stipends (B)	X					
45.161 Promotion of the Humanities-Research (B)			X			
45.162 Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development (B)		X	X	X	X	X
45.163 Promotion of the Humanities-Professional Development (B)	X					
45.164 Promotion of the Humanities-Public Programs (B)		X	X	X	X	X
45.168 Promotion of the Humanities-We the People (B,D)	X					
45.169 Promotion of the Humanities-Office of Digital Humanities (B)		X	X	X		
<b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>						
45.201 Arts and Artifacts Indemnity (G)	X	X	X	X		
<b>INSTITUTE OF MUSEUM AND LIBRARY SERVICES</b>						
45.301 Museums for America (B,C)		X	X	X	X	
45.302 Museum Assessment Program (C)		X	X	X	X	
45.303 Conservation Project Support (B,C)		X	X	X	X	
45.304 Conservation Assessment Program (C)		X	X	X	X	
45.307 21st Century Museum Professionals (B)				X		
45.308 Native American/Native Hawaiian Museum Services Program (B)		X				X
45.309 Museum Grants for African American History and Culture (B)		X		X		
45.310 Grants to States (A)			X	X		
45.311 Native American and Native Hawaiian Library Services (B)		X				X
45.312 National Leadership Grants (B)			X			
45.313 Laura Bush 21st Century Librarian Program (B)			X	X		
<b>NATIONAL LABOR RELATIONS BOARD</b>						
46.001 Labor-Management Relations (J,N)	X		X			
<b>NATIONAL SCIENCE FOUNDATION</b>						
47.041 Engineering Grants (B)	X	X	X	X		
47.049 Mathematical and Physical Sciences (B)	X		X	X		
47.050 Geosciences (B)	X		X	X		
47.070 Computer and Information Science and Engineering (B)			X	X		
47.074 Biological Sciences (B)			X	X		
47.075 Social, Behavioral, and Economic Sciences (B)			X	X	X	

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
47.076	Education and Human Resources (B)			X	X	X	
47.078	Polar Programs (B)				X		
47.079	International Science and Engineering (OISE) (B)			X			
47.080	Office of Cyberinfrastructure (B)		X	X	X		
47.081	Office of Experimental Program to Stimulate Competitive Research (B)		X	X	X		
<b>RAILROAD RETIREMENT BOARD</b>							
57.001	Social Insurance for Railroad Workers (D)	X					
<b>SECURITIES AND EXCHANGE COMMISSION</b>							
58.001	Securities-Investigation of Complaints and SEC Information (L,N)	X	X	X	X	X	X
<b>SMALL BUSINESS ADMINISTRATION</b>							
59.006	8(a) Business Development Program (J)						
59.007	7(j) Technical Assistance (B)	X		X			X
59.008	Disaster Assistance Loans (E)	X		X			
59.009	Procurement Assistance to Small Businesses (J)						
59.011	Small Business Investment Companies (E,F,K)						
59.012	7(a) Loan Guarantees (F)						
59.016	Surety Bond Guarantees (G)						
59.026	Service Corps of Retired Executives (K,M)	X					
59.037	Small Business Development Centers (B,J,K,L)		X	X			
59.041	504 Certified Development Loans (F)						
59.043	Women's Business Ownership Assistance (B)			X			
59.044	Veterans Business Development (B)			X			
59.046	Microloan Program (A,E)			X			
59.049	Small Disadvantaged Businesses (E)						
59.050	PRIME Technical Assistance (B)			X			
59.051	New Markets Venture Capital Program (B,F)						
59.052	Native American Outreach (B)						
59.053	Ombudsman and Regulatory Fairness Boards (N)			X			
59.054	7(a)Export Loan Guarantees (F)						
59.055	HUBZone Program (B)						
59.070	Drug-Free Workplace Program (B)						
<b>DEPARTMENT OF VETERANS AFFAIRS</b>							
64.005	Grants to States for Construction of State Home Facilities (B)				X		
64.007	Blind Rehabilitation Centers (J)	X					
64.008	Veterans Domiciliary Care (J)	X					
64.009	Veterans Medical Care Benefits (J)						
64.010	Veterans Nursing Home Care (J)	X					
64.011	Veterans Dental Care (J)	X					
64.012	Veterans Prescription Service (H)	X					
64.013	Veterans Prosthetic Appliances (J)	X					
64.014	Veterans State Domiciliary Care (A)				X		
64.015	Veterans State Nursing Home Care (A)				X		
64.016	Veterans State Hospital Care (A)				X		
64.018	Sharing Specialized Medical Resources (J)		X	X	X		
64.019	Veterans Rehabilitation-Alcohol and Drug Dependence (J)	X					
64.022	Veterans Home Based Primary Care (J)	X					
64.024	VA Homeless Providers Grant and Per Diem Program (B)			X			
64.026	Veterans State Adult Day Health Care (B)						
64.100	Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)	X					
64.101	Burial Expenses Allowance for Veterans (C)	X					
64.103	Life Insurance for Veterans (E)	X					
64.104	Pension for Non-Service-Connected Disability for Veterans (D)	X					
64.105	Pension to Veterans Surviving Spouses, and Children (D)	X					
64.106	Specially Adapted Housing for Disabled Veterans (C)	X					
64.109	Veterans Compensation for Service-Connected Disability (D)	X					
64.110	Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)	X					
64.114	Veterans Housing-Guaranteed and Insured Loans (F)	X					
64.115	Veterans Information and Assistance (K)	X					
64.116	Vocational Rehabilitation for Disabled Veterans (C,D,E,K)	X					
64.117	Survivors and Dependents Educational Assistance (C)	X					
64.118	Veterans Housing-Direct Loans for Certain Disabled Veterans (E)	X					
64.119	Veterans Housing-Manufactured Home Loans (F)	X					
64.120	Post-Vietnam Era Veterans' Educational Assistance (C)	X					
64.124	All-Volunteer Force Educational Assistance (D)	X					
64.125	Vocational and Educational Counseling for Servicemembers and Veterans (K)						
64.126	Native American Veteran Direct Loan Program (E)						
64.127	Monthly Allowance for Children of Vietnam Veterans Born with Spina Bifida (D)						
64.128	Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (C)						
64.201	National Cemeteries (J)	X					

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
64.202	Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)	X					
64.203	State Cemetery Grants (B)				X		
<b>ENVIRONMENTAL PROTECTION AGENCY</b>							
66.001	Air Pollution Control Program Support (B)		X		X	X	
66.032	State Indoor Radon Grants (B)				X	X	X
66.033	Ozone Transport Commission (B)		X		X		
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)		X	X	X	X	X
66.035	Community Action for a Renewed Environment (CARE) Program (B)			X	X		
66.036	Clean School Bus USA (B)		X				X
66.037	Internships, Training and Workshops for the Office of Air and Radiation (B)			X	X		
66.038	Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)						X
66.039	National Clean Diesel Funding Assistance Program (B)		X	X	X		X
66.040	State Clean Diesel Grant Program (B)	X	X	X	X	X	X
66.110	Healthy Communities Grant Program (B)	X		X	X		
66.111	Regional Environmental Priority Projects (B)	X	X		X		
66.112	Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (B)	X		X	X		
66.113	Region 3 Environmental Priority Projects (B)		X	X	X		
66.115	Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (B)		X		X	X	X
66.116	Regional Geographic Initiative/Environmental Priority Projects (B)		X	X	X	X	X
66.117	Region 9 multi-media and geographic priority projects (B)		X		X	X	X
66.202	Congressionally Mandated Projects (B)		X		X		
66.305	Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)		X	X	X		
66.306	Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (B)						
66.309	Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)			X	X		
66.310	Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)				X		
66.418	Construction Grants for Wastewater Treatment Works (B)		X		X	X	X
66.419	Water Pollution Control State, Interstate, and Tribal Program Support (A)				X		
66.424	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)		X	X	X		
66.432	State Public Water System Supervision (A)				X	X	X
66.433	State Underground Water Source Protection (A)				X	X	X
66.436	Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	X	X	X	X		
66.437	Long Island Sound Program (B)	X		X	X		
66.439	Targeted Watersheds Grants (B)	X	X	X	X		
66.454	Water Quality Management Planning (A)				X		
66.456	National Estuary Program (B)	X	X	X	X		
66.458	Capitalization Grants for Clean Water State Revolving Funds (A)				X	X	
66.460	Nonpoint Source Implementation Grants (A)				X	X	X
66.461	Regional Wetland Program Development Grants (B)				X		X
66.462	National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)			X			
66.463	Water Quality Cooperative Agreements (B)			X	X		
66.466	Chesapeake Bay Program (B)			X	X		
66.467	Wastewater Operator Training Grant Program (Technical Assistance) (B)			X	X	X	X
66.468	Capitalization Grants for Drinking Water State Revolving Funds (A)				X	X	
66.469	Great Lakes Program (B,I,L)	X		X	X		
66.471	State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)				X	X	
66.472	Beach Monitoring and Notification Program Implementation Grants (A)				X	X	X
66.473	Direct Implementation Tribal Cooperative Agreements (B)						X
66.474	Water Protection Grants to the States (A)		X		X	X	
66.475	Gulf of Mexico Program (B)		X	X	X		X
66.478	Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)			X			
66.479	Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)		X		X		
66.480	Assessment and Watershed Protection Program Grants (B)	X	X	X	X	X	X
66.481	Lake Champlain Basin Program (B)			X	X		
66.508	Senior Environmental Employment Program (B)						
66.509	Science To Achieve Results (STAR) Research Program (B)		X	X	X		
66.510	Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	X	X	X	X		
66.511	Office of Research and Development Consolidated Research/Training/Fellowships	X	X	X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
66.512	Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)		X		X		X
66.513	Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (B)	X	X	X	X	X	X
66.514	Science To Achieve Results (STAR) Fellowship Program (B)	X	X	X	X	X	X
66.515	Greater Research Opportunities (GRO) Research Program (B)				X		
66.516	P3 Award: National Student Design Competition for Sustainability (B)				X		
66.517	Regional Applied Research Efforts (RARE) (B)	X		X	X		X
66.518	State Senior Environmental Employment Program (B)				X		
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)		X		X		
66.604	Environmental Justice Small Grant Program (B)		X	X			X
66.605	Performance Partnership Grants (A,B)		X	X	X		X
66.608	Environmental Information Exchange Network Grant Program and Related Assistance (B)				X	X	
66.609	Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)		X	X			
66.610	Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)		X	X	X		
66.611	Environmental Policy and Innovation Grants (B)	X	X	X	X		
66.612	Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)		X		X		X
66.700	Consolidated Pesticide Enforcement Cooperative Agreements (B)				X	X	X
66.701	Toxic Substances Compliance Monitoring Cooperative Agreements (B)				X	X	
66.707	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)				X	X	X
66.708	Pollution Prevention Grants Program (B)				X	X	X
66.709	Multi-Media Capacity Building Grants for States and Tribes (B)				X	X	X
66.714	Pesticide Environmental Stewardship Regional Grants (B)				X		X
66.715	Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)						X
66.716	Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)			X	X	X	
66.717	Source Reduction Assistance (B)				X		X
66.718	National Community-Based Lead Outreach and Training Grant Program (B)		X	X		X	
66.801	Hazardous Waste Management State Program Support (A)				X	X	
66.802	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)		X		X	X	X
66.804	State and Tribal Underground Storage Tanks Program (A)				X	X	
66.805	Leaking Underground Storage Tank Trust Fund Program (A)				X		X
66.806	Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)	X	X	X	X	X	X
66.808	Solid Waste Management Assistance Grants (B)		X	X	X		X
66.809	Superfund State and Indian Tribe Core Program Cooperative Agreements (B)				X	X	X
66.810	Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)				X	X	X
66.812	Hazardous Waste Management Grant Program for Tribes (B)						X
66.813	Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	X	X	X	X		
66.814	Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)	X	X	X	X		
66.815	Brownfield Job Training Cooperative Agreements (B)		X		X		
66.816	Headquarters and Regional Underground Storage Tanks Program (B)		X		X		
66.817	State and Tribal Response Program Grants (A)		X		X		
66.818	Brownfields Assessment and Cleanup Cooperative Agreements (B)		X		X	X	X
66.926	Indian Environmental General Assistance Program (GAP) (B)		X				X
66.931	International Financial Assistance Projects Sponsored by the Office of International Affairs (B)		X	X	X		
66.940	Environmental Policy and State Innovation Grants (B)				X		
66.950	Environmental Education and Training Program (B)				X		
66.951	Environmental Education Grants (B)				X		
66.952	National Network for Environmental Management Studies Fellowship Program (B)	X	X	X	X	X	X
<b>NATIONAL GALLERY OF ART</b>							
68.001	National Gallery of Art Extension Service (I)	X		X	X		
<b>OVERSEAS PRIVATE INVESTMENT CORPORATION</b>							
70.002	Foreign Investment Financing (F)	X					
70.003	Foreign Investment Insurance (G)	X					
<b>NUCLEAR REGULATORY COMMISSION</b>							
77.006	U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)			X			
77.007	U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)						
77.008	U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)			X	X	X	



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Program Description	Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
<b>COMMODITY FUTURES TRADING COMMISSION</b>						
78.004 Commodity Futures Reparations Claims (N)	X	X	X	X	X	X
<b>DEPARTMENT OF ENERGY</b>						
81.003 Granting of Patent Licenses (L)	X	X	X	X	X	X
81.022 Used Energy-Related Laboratory Equipment Grants (B)			X			
81.036 Inventions and Innovations (B,K,L)	X	X	X	X	X	X
81.041 State Energy Program (A)				X	X	
81.042 Weatherization Assistance for Low-Income Persons (A)		X		X		X
81.049 Office of Science Financial Assistance Program (B)			X	X		
81.057 University Coal Research (B)			X	X		
81.064 Office of Scientific and Technical Information (L)	X	X	X	X	X	X
81.065 Nuclear Waste Disposal Siting (B,C)				X		X
81.079 Regional Biomass Energy Programs (B)			X	X		
81.086 Conservation Research and Development (B)		X		X		
81.087 Renewable Energy Research and Development (B)		X		X		
81.089 Fossil Energy Research and Development (B)	X	X	X	X	X	X
81.104 Office of Environmental Waste Processing (B)		X	X	X	X	X
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)				X		
81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)				X		X
81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)			X			
81.112 Stewardship Science Grant Program (B)		X		X		
81.113 Defense Nuclear Nonproliferation Research (B)			X	X		
81.114 University Reactor Infrastructure and Education Support (B)	X		X	X		
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)			X			
81.119 State Energy Program Special Projects (B)				X	X	
81.121 Nuclear Energy Research, Development and Demonstration (B)		X	X	X		
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)		X		X		
81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)				X		
81.124 Predictive Science Academic Alliance Program (B)			X			
81.126 Federal Loan Guarantees for Innovative Energy Technologies (F)			X			
<b>DEPARTMENT OF EDUCATION</b>						
84.002 Adult Education - Basic Grants to States (A)		X	X	X		
84.004 Civil Rights Training and Advisory Services (B)		X	X	X		
84.007 Federal Supplemental Educational Opportunity Grants (C)			X	X		
84.010 Title I Grants to Local Educational Agencies (A)				X		X
84.011 Migrant Education-State Grant Program (A)				X		
84.013 Title I Program for Neglected and Delinquent Children (A)				X		
84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)			X			
84.016 Undergraduate International Studies and Foreign Language Programs (B)			X	X		
84.017 International Research and Studies (B)	X		X			
84.018 Overseas Programs-Special Bilateral Projects (B)	X					
84.019 Overseas Programs - Faculty Research Abroad (B)			X		X	
84.021 Overseas Programs - Group Projects Abroad (B)		X	X	X		
84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)			X		X	
84.027 Special Education-Grants to States (A)		X		X	X	
84.031 Higher Education-Institutional Aid (B)			X	X	X	
84.032 Federal Family Education Loans (F)	X	X	X	X	X	X
84.033 Federal Work-Study Program (C)		X	X	X		
84.037 Perkins Loan Cancellations (C,D)			X	X		
84.038 Federal Perkins Loan Program-Federal Capital Contributions (C)			X	X		
84.040 Impact Aid-Facilities Maintenance (B)		X				
84.041 Impact Aid (A)		X				
84.042 TRIO-Student Support Services (B)		X	X	X		
84.044 TRIO-Talent Search (B)		X	X	X		
84.047 TRIO-Upward Bound (B)		X	X	X		
84.048 Career and Technical Education -- Basic Grants to States (A)				X		
84.051 Career and Technical Education -- National Programs (B)		X	X	X		
84.060 Indian Education-Grants to Local Educational Agencies (A)		X				X
84.063 Federal Pell Grant Program (C)	X					
84.066 TRIO-Educational Opportunity Centers (B)		X	X	X		
84.069 Leveraging Educational Assistance Partnership (A)		X		X	X	
84.083 Women's Educational Equity Act Program (B)	X	X	X	X		
84.101 Career and Technical Education - Indian Set-aside (B)						X
84.103 TRIO Staff Training Program (B)		X	X	X		
84.116 Fund for the Improvement of Postsecondary Education (B)		X	X			
84.120 Minority Science and Engineering Improvement (B)			X		X	
84.126 Rehabilitation Services-Vocational Rehabilitation Grants to States (A)				X	X	

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
84.128	Rehabilitation Services-Service Projects (B)		X	X	X	X	
84.129	Rehabilitation Long-Term Training (B)		X	X	X	X	
84.132	Centers for Independent Living (B)		X	X	X	X	
84.133	National Institute on Disability and Rehabilitation Research (B)	X	X	X	X		
84.141	Migrant Education-High School Equivalency Program (B)		X	X			
84.144	Migrant Education-Coordination Program (B)		X	X	X		
84.145	Federal Real Property Assistance Program (H)		X		X		
84.149	Migrant Education-College Assistance Migrant Program (B)			X			
84.153	Business and International Education Projects (B)			X			
84.160	Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)		X	X	X	X	
84.161	Rehabilitation Services-Client Assistance Program (A)				X	X	
84.165	Magnet Schools Assistance (B)		X				
84.169	Independent Living-State Grants (A)				X	X	
84.170	Javits Fellowships (B)	X	X	X	X	X	X
84.173	Special Education-Preschool Grants (A)				X	X	
84.177	Rehabilitation Services-Independent Living Services for Older Individuals Who are Blind (A)				X	X	
84.181	Special Education-Grants for Infants and Families (A)				X	X	
84.184	Safe and Drug-Free Schools and Communities-National Programs (B)		X	X	X		
84.185	Byrd Honors Scholarships (A)				X	X	
84.186	Safe and Drug-Free Schools and Communities-State Grants (A)				X	X	
84.187	Supported Employment Services for Individuals with Significant Disabilities (A)				X		
84.191	Adult Education-National Leadership Activities (B)			X			
84.196	Education for Homeless Children and Youth (A)				X	X	
84.200	Graduate Assistance in Areas of National Need (B)			X		X	
84.203	Star Schools (B)		X	X	X		
84.206	Javits Gifted and Talented Students Education Grant Program (B)		X	X	X		X
84.213	Even Start-State Educational Agencies (A,B)				X		
84.214	Even Start-Migrant Education (B)				X		
84.215	Fund for the Improvement of Education (B)			X			
84.217	TRIO-McNair Post-Baccalaureate Achievement (B)			X	X		
84.220	Centers for International Business Education (B)			X			
84.224	Assistive Technology (A,B,L)				X	X	
84.229	Language Resource Centers (B)		X		X		
84.234	Projects with Industry (B)			X			
84.235	Rehabilitation Services Demonstration and Training Programs (B)			X	X		
84.240	Program of Protection and Advocacy of Individual Rights (A)		X	X		X	
84.243	Tech-Prep Education (A,B)				X		
84.245	Tribally Controlled Postsecondary Career and Technical Institutions (B)						X
84.246	Rehabilitation Short-Term Training (B)		X	X	X	X	
84.250	Rehabilitation Services-American Indians with Disabilities (B)		X		X		X
84.256	Freely Associated States-Education Grant Program (B)					X	
84.257	National Institute for Literacy (B)		X	X	X		
84.258	Even Start-Indian Tribes and Tribal Organizations (B)						X
84.259	Native Hawaiian Career and Technical Education (B)			X			
84.263	Rehabilitation Training-Experimental and Innovative Training (B)			X	X	X	
84.264	Rehabilitation Training-Continuing Education (B)		X	X	X	X	
84.265	Rehabilitation Training-State Vocational Rehabilitation Unit In-Service Training (B)				X	X	
84.268	Federal Direct Student Loans (E)	X					
84.269	Institute for International Public Policy (B)			X	X		X
84.274	American Overseas Research Centers (B)			X	X		
84.275	Rehabilitation Training-General Training (B)		X	X	X		
84.282	Charter Schools (B)		X	X	X		
84.283	Comprehensive Centers (B)		X	X	X		
84.286	Ready to Teach (B)		X	X	X		
84.287	Twenty-First Century Community Learning Centers (A)		X	X			
84.293	Foreign Language Assistance (B)		X		X		
84.295	Ready-To-Learn Television (B)			X			
84.298	State Grants for Innovative Programs (A)				X	X	
84.304	Civic Education - Cooperative Education Exchange Program (B)			X			
84.305	Education Research, Development and Dissemination (B)		X	X			
84.310	Parental Information and Resource Centers (B)		X				
84.315	Capacity Building for Traditionally Underserved Populations (B)			X			
84.318	Education Technology State Grants (A)				X		X
84.323	Special Education - State Personnel Development (B)				X		
84.324	Research in Special Education (B)		X	X	X		
84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)		X	X	X		
84.326	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)		X	X	X		
84.327	Special Education-Technology and Media Services for Individuals with Disabilities (B)		X	X	X		
84.328	Special Education-Parent Information Centers (B)						
84.329	Special Education-Studies and Evaluations (B)		X	X	X		
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement				X		

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
84.331	Grants to States for Incarcerated Youth Offenders (A)				X		
84.332	Comprehensive School Reform Demonstration (A)		X		X		
84.333	Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (B)			X		X	
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (B)			X	X		
84.335	Child Care Access Means Parents in School (B)			X			
84.336	Teacher Quality Enhancement Grants (B)				X		
84.337	International Education-Technological Innovation and Cooperation for Foreign Information Access (B)			X			
84.343	Assistive Technology-State Grants for Protection and Advocacy (A)				X		
84.345	Underground Railroad Educational and Cultural Program (B)			X			
84.349	Early Childhood Educator Professional Development (B)		X	X	X		
84.350	Transition to Teaching (B)		X	X	X		
84.351	Arts in Education (B)			X	X		
84.354	Credit Enhancement for Charter School Facilities (B)		X		X		
84.356	Alaska Native Educational Programs (B)						
84.357	Reading First State Grants (B)		X			X	X
84.358	Rural Education (A)		X				
84.359	Early Reading First (B)		X	X			
84.360	School Dropout Prevention Program (B)		X		X		
84.361	Voluntary Public School Choice (B)		X	X	X		
84.362	Native Hawaiian Education (B)		X	X	X		
84.363	School Leadership (B)			X	X		
84.364	Literacy through School Libraries (B)			X	X		
84.365	English Language Acquisition Grants (A,B)				X		
84.366	Mathematics and Science Partnerships (B)				X		
84.367	Improving Teacher Quality State Grants (A)				X		
84.369	Grants for State Assessments and Related Activities (A)				X		
84.370	DC School Choice Incentive Program (B)				X		
84.371	Striving Readers (B)		X	X			
84.372	Statewide Data Systems (B)				X		
84.373	Special Education-Technical Assistance on State Data Collection (B)				X		
84.374	Teacher Incentive Fund (B)		X		X		
84.375	Academic Competitiveness Grants (C)	X					
84.376	National Science and Mathematics Access to Retain Talent (SMART) Grants (C)	X					
84.377	School Improvement Grants (B)				X		
84.378	College Access Challenge Grant Program (A)		X		X		
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)		X		X		
84.380	Special Education -- Olympic Education Programs (B)						
84.381	Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)			X	X	X	
84.382	Strengthening Minority-Serving Institutions (B)		X			X	X
<b>HARRY S TRUMAN SCHOLARSHIP FOUNDATION</b>							
85.001	Harry S Truman Scholarship Program (C)	X		X			
<b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b>							
85.100	Christopher Columbus Fellowship Program (B,J)	X	X	X	X	X	X
<b>BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION</b>							
85.200	Barry M. Goldwater Scholarship Program (C)	X					
<b>JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION</b>							
85.500	James Madison Memorial Fellowship Program (B)	X					
<b>MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION</b>							
85.400	Morris K. Udall Scholarship Program (C)	X					
85.401	Morris K. Udall Fellowship Program (B)	X					
85.402	Morris K. Udall Native American Congressional Internship Program (C)	X					
<b>WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS</b>							
85.300	Woodrow Wilson Center Fellowships in the Humanities and Social Sciences (B)	X					
<b>SMITHSONIAN INSTITUTION FELLOWSHIP FOUNDATION</b>							
85.601	Smithsonian Institution Fellowship Program (B)	X					
<b>PENSION BENEFIT GUARANTY CORPORATION</b>							
86.001	Pension Plan Termination Insurance (G)						
<b>ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD</b>							
88.001	Architectural and Transportation Barriers Compliance Board (L)	X	X	X	X	X	X

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Program Description	Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
<b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>						
89.001 National Archives Reference Services-Historical Research (I,K,L)	X	X	X	X	X	X
89.003 National Historical Publications and Records Grants (B)		X	X	X	X	X
89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)		X		X		
<b>DENALI COMMISSION</b>						
90.100 Denali Commission Program (B)	X	X		X		
<b>DELTA REGIONAL AUTHORITY</b>						
90.200 Delta Regional Development (B)			X	X		
90.201 Delta Area Economic Development (B)				X		
90.202 Delta Local Development District Assistance (B)		X				
<b>JAPAN US FRIENDSHIP COMMISSION</b>						
90.300 Japan-US Friendship Commission Grants (B)				X		
<b>ELECTIONS ASSISTANCE COMMISSION</b>						
90.400 Help America Vote College Program (B)				X		
90.401 Help America Vote Act Requirements Payments (A)				X		
90.402 Help America Vote Mock Election Program (B)				X		
<b>BROADCASTING BOARD OF GOVERNORS</b>						
90.500 International Broadcasting Independent Grantee Organizations ()						
<b>UNITED STATES INSTITUTE OF PEACE</b>						
91.001 Unsolicited Grant Program (B)	X		X			
91.002 Solicited Grant Program (B)	X		X			
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>						
93.001 Civil Rights and Privacy Rule Compliance Activities (N)	X	X	X	X	X	X
93.003 Public Health and Social Services Emergency Fund (B)		X		X		
93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)		X	X	X		X
93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)				X		
93.007 Public Awareness Campaigns on Embryo Adoption (B)			X			
93.008 Medical Reserve Corps Small Grant Program (B)		X				
93.009 Compassion Capital Fund (B)				X		X
93.010 Community-Based Abstinence Education (CBAE) (B)			X			
93.012 Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (B)			X			
93.013 Ambassadors for Change Program (B)						
93.014 Steps to Healthier Girls Program (B)						
93.015 HIV Prevention Programs for Women (B)			X	X		
93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (B)			X			
93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)				X		
93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)				X		
93.041 Special Programs for the Aging-Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)				X	X	
93.042 Special Programs for the Aging-Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals (A)				X	X	
93.043 Special Programs for the Aging-Title III, Part D-Disease Prevention and Health Promotion Services (A)				X	X	
93.044 Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers (A)				X	X	
93.045 Special Programs for the Aging-Title III, Part C-Nutrition Services (A)				X	X	
93.047 Special Programs for the Aging-Title VI, Part A, Grants to Indian Tribes-Part B, Grants to Native Hawaiians (B)		X				X
93.048 Special Programs for the Aging-Title IV-and Title II-Discretionary Projects (B)			X			
93.051 Alzheimer's Disease Demonstration Grants to States (B)				X		
93.052 National Family Caregiver Support, Title III, Part E (A)		X	X	X	X	
93.053 Nutrition Services Incentive Program (A)				X		
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)						X
93.061 Innovations in Applied Public Health Research (B)			X			
93.063 Centers for Genomics and Public Health (B)		X	X	X		
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)		X	X	X	X	
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)				X		
93.066 State Vital Statistics Improvement Program (B)			X			
93.067 Global AIDS (B)						
93.068 Chronic Diseases: Research, Control, and Prevention (B)		X	X	X	X	X

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
93.069	Public Health Emergency Preparedness (B)		X		X	X	
93.086	Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)		X	X	X	X	
93.087	Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)		X	X	X	X	X
93.088	Advancing System Improvements to Support Targets for Healthy People 2010 (B)		X	X	X		X
93.100	Health Disparities in Minority Health (B)			X			
93.103	Food and Drug Administration-Research (B)	X	X	X	X		
93.104	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)		X		X		
93.105	Bilingual/Bicultural Service Demonstration Grants (B)		X		X	X	X
93.107	Model State-Supported Area Health Education Centers (B)			X	X	X	
93.110	Maternal and Child Health Federal Consolidated Programs (B)			X			
93.111	Adolescent Family Life Research Grants (B)		X	X	X	X	X
93.113	Environmental Health (B)		X	X	X		
93.116	Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)		X		X	X	
93.117	Grants for Preventive Medicine (B)			X			
93.118	Acquired Immunodeficiency Syndrome (AIDS) Activity (B)		X	X	X	X	
93.121	Oral Diseases and Disorders Research (B)			X			
93.123	Health Professions Pregraduate Scholarship Program for Indians (B)						
93.124	Nurse Anesthetist Traineeships (A)			X			
93.127	Emergency Medical Services for Children (B)		X	X	X		
93.129	Technical and Non-Financial Assistance to Health Centers (B)			X	X		
93.130	Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)				X		
93.134	Grants to Increase Organ Donations (B)			X			
93.135	Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)			X	X		
93.136	Injury Prevention and Control Research and State and Community Based Programs (B)		X	X	X		
93.137	Community Programs to Improve Minority Health Grant Program (B)		X	X	X		
93.138	Protection and Advocacy for Individuals with Mental Illness (A)		X	X	X		
93.140	Intramural Research Training Award (B)	X					
93.142	NIEHS Hazardous Waste Worker Health and Safety Training (B)	X	X	X	X		
93.143	NIEHS Superfund Hazardous Substances-Basic Research and Education (B)			X			
93.145	AIDS Education and Training Centers (B)		X	X	X		
93.150	Projects for Assistance in Transition from Homelessness (PATH) (A)				X		
93.153	Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)		X	X	X		
93.155	Rural Health Research Centers (B)		X	X	X		
93.156	Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B)		X	X	X		
93.157	Centers of Excellence (B)		X	X	X		
93.161	Health Program for Toxic Substances and Disease Registry (B)	X	X		X		
93.162	National Health Service Corps Loan Repayment Program (C)	X					
93.164	Indian Health Service Educational Loan Repayment (B)						
93.165	Grants to States for Loan Repayment Program (B)				X		
93.172	Human Genome Research (B)	X		X			
93.173	Research Related to Deafness and Communication Disorders (B)			X			
93.178	Nursing Workforce Diversity (B)		X	X	X		
93.181	Podiatric Residency Training in Primary Care (B)		X	X	X		
93.184	Disabilities Prevention (B)		X	X	X		X
93.185	Immunization Research, Demonstration, Public Information and Education-Training and Clinical Skills Improvement Projects (B)		X	X	X		
93.186	National Research Service Award in Primary Care Medicine (M)		X	X	X	X	
93.187	Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)	X	X	X	X	X	X
93.189	Health Education and Training Centers (B)		X	X	X		
93.191	Allied Health Special Projects (B)		X	X	X	X	
93.192	Quentin N. Burdick Program for Rural Interdisciplinary Training (B)		X	X	X		
93.193	Urban Indian Health Services (B)						
93.197	Childhood Lead Poisoning Prevention Projects-State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)		X	X	X	X	X
93.202	Capacity Building Among American Indian Tribes (B)						X
93.204	Surveillance of Hazardous Substance Emergency Events (B)				X	X	X
93.206	Human Health Studies-Applied Research and Development (B)			X	X	X	X
93.208	Great Lakes Human Health Effects Research (B)				X		X
93.209	Contraception and Infertility Research Loan Repayment Program (C)						
93.210	Tribal Self-Governance Program: IHS Compacts/Funding Agreements (B)					X	
93.211	Telehealth Network Grants (B)			X			
93.212	Chiropractic Demonstration Project Grants (B)			X			
93.213	Research and Training in Complementary and Alternative Medicine (B,M)		X	X	X		
93.217	Family Planning-Services (B)		X	X	X	X	
93.220	Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (C)						
93.223	Development and Coordination of Rural Health Services (B)		X	X	X		



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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
93.224	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)		X	X	X		
93.225	National Research Service Awards-Health Services Research Training (B)		X	X	X	X	
93.226	Research on Healthcare Costs, Quality and Outcomes (B)	X	X	X	X	X	
93.228	Indian Health Service-Health Management Development Program (B)						X
93.229	Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (B)			X	X		
93.230	Consolidated Knowledge Development and Application (KD&A) Program (B)			X	X	X	
93.231	Epidemiology Cooperative Agreements (B)		X				X
93.232	Loan Repayment Program for General Research (C)	X					
93.233	National Center on Sleep Disorders Research (B)	X	X	X			
93.234	Traumatic Brain Injury State Demonstration Grant Program (B)				X		
93.235	Abstinence Education Program (A)				X	X	
93.236	Grants for Dental Public Health Residency Training (B)		X	X	X		X
93.237	Special Diabetes Program for Indians-Diabetes Prevention and Treatment Projects (B)		X				X
93.238	Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (B)			X	X		X
93.239	Policy Research and Evaluation Grants (B)	X	X	X	X		
93.240	State Capacity Building (B)		X		X	X	
93.241	State Rural Hospital Flexibility Program (B)				X		
93.242	Mental Health Research Grants (B)	X	X	X	X	X	X
93.243	Substance Abuse and Mental Health Services-Projects of Regional and National Significance (B)		X	X			
93.244	Mental Health Clinical and AIDS Service-Related Training Grants (B)		X	X	X		
93.247	Advanced Education Nursing Grant Program (B)			X			
93.249	Public Health Training Centers Grant Program (B)						
93.250	Geriatric Academic Career Awards (C)	X					
93.251	Universal Newborn Hearing Screening (B)			X	X		
93.252	Healthy Communities Access Program (B)		X	X			
93.253	Poison Control Stabilization and Enhancement Grants (B)				X		
93.254	Infant Adoption Awareness Training (B)		X	X	X		
93.255	Children's Hospitals Graduate Medical Education Payment (C)		X				
93.256	State Planning Grants Health Care Access for the Uninsured (B)				X		
93.257	Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)		X	X	X		
93.259	Rural Access to Emergency Devices Grant (B)		X	X			
93.260	Family Planning-Personnel Training (B)		X	X	X	X	
93.262	Occupational Safety and Health Program (B)		X		X	X	
93.264	Nurse Faculty Loan Program (NFLP) (A)			X			
93.265	Comprehensive Geriatric Education Program(CGEP) (B)			X			
93.266	Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)						
93.267	State Grants for Protection and Advocacy Services (A)				X		
93.268	Immunization Grants (B)		X	X	X		
93.269	Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)	X	X	X	X	X	X
93.270	Adult Viral Hepatitis Prevention and Control (B)	X	X	X	X	X	X
93.271	Alcohol Research Career Development Awards for Scientists and Clinicians (B)		X	X	X		
93.272	Alcohol National Research Service Awards for Research Training (B)	X					
93.273	Alcohol Research Programs (B)	X	X	X	X		
93.275	Substance Abuse and Mental Health Services-Access to Recovery (B)		X		X	X	X
93.276	Drug-Free Communities Support Program Grants (B)						
93.279	Drug Abuse and Addiction Research Programs (B)	X	X	X	X		
93.280	National Institutes of Health Loan Repayment Program for Clinical Researchers (C)						
93.281	Mental Health Research Career/Scientist Development Awards (B)	X	X	X	X		
93.282	Mental Health National Research Service Awards for Research Training (B)	X		X			
93.283	Centers for Disease Control and Prevention-Investigations and Technical Assistance (B)	X	X	X	X		
93.284	Injury Prevention Program for American Indians and Alaskan Natives-Cooperative Agreements (B)						
93.285	National Institutes of Health Pediatric Research Loan Repayment Program (C)						
93.286	Discovery and Applied Research for Technological Innovations to Improve Human Health (B)			X			
93.288	National Health Service Corps Scholarship Program (C)	X					
93.289	President's Council on Physical Fitness and Sports (K)	X	X	X	X	X	X
93.290	National Community Centers of Excellence in Women's Health (B)			X	X		
93.291	Surplus Property Utilization (H)		X	X	X		
93.294	Mentoring Partnership Program - Protege (B)		X	X			
93.295	Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)		X	X	X		
93.296	State Partnership Grant Program to Improve Minority Health (B)				X	X	
93.300	National Center for Health Workforce Analysis (B)		X	X	X		

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
93.301	Small Rural Hospital Improvement Grant Program (B)			X		X	
93.303	Nursing Scholarship Program (C)	X	X	X	X	X	X
93.307	Minority Health and Health Disparities Research (B)						
93.308	Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research (C)						
93.310	Trans-NIH Research Support (B,M)		X	X	X		
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (E)		X	X	X	X	
93.358	Advanced Education Nursing Traineeships (B)		X	X	X		X
93.359	Nurse Education, Practice and Retention Grants (B)			X			
93.361	Nursing Research (B)	X	X	X	X		
93.364	Nursing Student Loans (E)			X			
93.365	Sickle Cell Treatment Demonstration Program (B)			X			
93.389	National Center for Research Resources (B)		X	X	X		
93.392	Cancer Construction (B)		X	X	X	X	
93.393	Cancer Cause and Prevention Research (B)		X	X	X		
93.394	Cancer Detection and Diagnosis Research (B)		X	X	X		
93.395	Cancer Treatment Research (B)		X	X	X		
93.396	Cancer Biology Research (B)		X	X	X		
93.397	Cancer Centers Support Grants (B)		X	X	X		
93.398	Cancer Research Manpower (B)			X			
93.399	Cancer Control (B)		X	X	X		
93.441	Indian Self-Determination (C)		X				
93.442	Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)				X		X
93.443	Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)						X
93.444	Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)						X
93.448	Food Safety and Security Monitoring Project (B)		X		X		X
93.449	Ruminant Feed Ban Support Project (B)						
93.550	Transitional Living for Homeless Youth (B)		X	X	X	X	X
93.551	Abandoned Infants (B)		X	X	X	X	X
93.556	Promoting Safe and Stable Families (A,B)				X	X	
93.557	Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)						
93.558	Temporary Assistance for Needy Families (A)		X		X		X
93.560	Family Support Payments to States-Assistance Payments (A)		X		X	X	
93.563	Child Support Enforcement (A)				X	X	
93.564	Child Support Enforcement Research (B)			X	X		
93.566	Refugee and Entrant Assistance-State Administered Programs (A)				X		
93.567	Refugee and Entrant Assistance-Voluntary Agency Programs (A)				X		
93.568	Low-Income Home Energy Assistance (A)			X	X	X	X
93.569	Community Services Block Grant (A)				X	X	X
93.570	Community Services Block Grant-Discretionary Awards (B)			X	X		
93.575	Child Care and Development Block Grant (A)				X	X	X
93.576	Refugee and Entrant Assistance-Discretionary Grants (B)		X		X		
93.579	U.S. Repatriation (B)		X		X	X	
93.581	Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)						X
93.583	Refugee and Entrant Assistance-Wilson/Fish Program (B)				X		
93.584	Refugee and Entrant Assistance-Targeted Assistance Grants (A)				X		
93.586	State Court Improvement Program (A)				X		
93.587	Promote the Survival and Continuing Vitality of Native American Languages (B)						X
93.590	Community-Based Child Abuse Prevention Grants (A)				X	X	
93.591	Family Violence Prevention and Services/Grants For Battered Women's Shelters-Grants to State Domestic Violence Coalitions (A)					X	
93.592	Family Violence Prevention and Services/Grants for Battered Women's Shelters-Discretionary Grants (B)			X			X
93.593	Job Opportunities for Low-Income Individuals (B)			X			
93.594	Tribal Work Grants (A)						X
93.595	Welfare Reform Research, Evaluations and National Studies (B)		X	X	X		
93.596	Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)				X		X
93.597	Grants to States for Access and Visitation Programs (B)				X		
93.598	Services to Victims of a Severe Form of Trafficking (B)		X	X	X		
93.599	Chafee Education and Training Vouchers Program (ETV) (A)				X		
93.600	Head Start (B)		X				
93.601	Child Support Enforcement Demonstrations and Special Projects (B)		X	X	X		
93.602	Assets for Independence Demonstration Program (B)			X	X		
93.603	Adoption Incentive Payments (A)				X		
93.604	Assistance for Torture Victims (B)			X			
93.612	Native American Programs (B)			X	X		X
93.613	President's Committee for People with Intellectual Disabilities (PCPID) (L)	X	X	X	X	X	X
93.616	Mentoring Children of Prisoners (B)		X	X	X		X
93.617	Voting Access for Individuals with Disabilities-Grants to States (A)		X		X		

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
93.618	Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A,B)				X	X	
93.623	Basic Center Grant (B)		X				
93.630	Developmental Disabilities Basic Support and Advocacy Grants (A)				X	X	
93.631	Developmental Disabilities Projects of National Significance (B)		X	X	X		
93.632	University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)		X	X	X		
93.643	Children's Justice Grants to States (A)				X	X	
93.645	Child Welfare Services-State Grants (A)				X	X	
93.647	Social Services Research and Demonstration (B)			X	X		X
93.648	Child Welfare Services Training Grants (B)		X	X	X		
93.652	Adoption Opportunities (B)		X	X	X		
93.658	Foster Care-Title IV-E (A)				X	X	
93.659	Adoption Assistance (A)				X	X	
93.667	Social Services Block Grant (A)				X	X	
93.669	Child Abuse and Neglect State Grants (A)				X	X	
93.670	Child Abuse and Neglect Discretionary Activities (B)		X	X	X		
93.671	Family Violence Prevention and Services/Grants for Battered Women's Shelters-Grants to States and Indian Tribes (A)				X	X	X
93.674	Chafee Foster Care Independence Program (A)				X		
93.676	Unaccompanied Alien Children Program (B)		X		X		
93.760	Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (B)			X			
93.767	State Children's Insurance Program (A)				X	X	
93.768	Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)				X		
93.769	Demonstration to Maintain Independence and Employment (B)				X		
93.770	Medicare-Prescription Drug Coverage (C)						
93.773	Medicare-Hospital Insurance (C)	X					
93.774	Medicare-Supplementary Medical Insurance (C)	X					
93.775	State Medicaid Fraud Control Units (A)				X		
93.776	Hurricane Katrina Relief (B)				X		
93.777	State Survey and Certification of Health Care Providers and Suppliers (A)				X		
93.778	Medical Assistance Program (A)		X		X		
93.779	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)			X	X		
93.780	Grants to States for Operation of Qualified High-Risk Pools (A)				X		
93.781	Seed Grants to States for Qualified High-Risk Pools (B)				X		
93.783	Medicare Transitional Drug Assistance Program for States (C)			X			
93.784	Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)			X	X		
93.785	Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care (B)				X		
93.786	State Pharmaceutical Assistance Programs (A)				X		
93.789	Alternatives to Psychiatric Residential Treatment Facilities for Children (B)				X		
93.790	Alternate Non-Emergency Service Providers or Networks (B)				X		
93.791	Money Follows the Person Rebalancing Demonstration (B)				X		
93.793	Medicaid Transformation Grants (B)				X	X	
93.794	Reimbursement of State Costs for Provision of Part D Drugs (C)				X		
93.822	Health Careers Opportunity Program (B)		X	X	X		
93.824	Basic/Core Area Health Education Centers (B)		X	X	X		
93.837	Cardiovascular Diseases Research (B)	X	X	X			
93.838	Lung Diseases Research (B)	X	X	X			
93.839	Blood Diseases and Resources Research (B)	X	X	X			
93.846	Arthritis, Musculoskeletal and Skin Diseases Research (B)	X	X	X	X		
93.847	Diabetes, Digestive, and Kidney Diseases Extramural Research (B)	X	X	X	X		
93.853	Extramural Research Programs in the Neurosciences and Neurological Disorders (B)	X	X	X	X		
93.855	Allergy, Immunology and Transplantation Research (B)	X	X	X	X		
93.856	Microbiology and Infectious Diseases Research (B)	X	X	X	X		
93.859	Biomedical Research and Research Training (B)	X	X	X	X		
93.865	Child Health and Human Development Extramural Research (B)	X	X	X	X		
93.866	Aging Research (B)	X	X	X	X		
93.867	Vision Research (B)	X	X	X	X		
93.879	Medical Library Assistance (B)	X	X	X	X		
93.884	Grants for Training in Primary Care Medicine and Dentistry (B)		X	X	X		
93.887	Health Care and Other Facilities (B)		X	X	X		
93.888	Specially Selected Health Projects (B)		X		X		
93.889	National Bioterrorism Hospital Preparedness Program (B)		X		X	X	
93.890	Healthy Communities Access Program (HCAP) Demonstration Authority (B)						
93.891	Alcohol Research Center Grants (B)		X	X	X		
93.908	Nursing Education Loan Repayment Program (C)						
93.910	Family and Community Violence Prevention Program (B)		X	X	X		X
93.912	Rural Health Care Services Outreach and Rural Health Network Development Program (B)			X			
93.913	Grants to States for Operation of Offices of Rural Health (B)				X		

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
93.914	HIV Emergency Relief Project Grants (B)		X		X		
93.917	HIV Care Formula Grants (A)				X	X	
93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)			X			
93.919	Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)				X	X	
93.923	Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)						
93.924	Ryan White HIV/AIDS Dental Reimbursements\Community Based Dental Partnership (B)			X	X	X	
93.925	Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)		X	X	X	X	
93.926	Healthy Start Initiative (B)		X		X		
93.928	Special Projects of National Significance (B)		X	X	X		
93.932	Native Hawaiian Health Systems (B)			X			
93.933	Demonstration Projects for Indian Health (B)		X	X	X		X
93.936	National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (C)						
93.938	Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)			X	X	X	
93.939	HIV Prevention Activities-Non-Governmental Organization Based (B)			X			
93.940	HIV Prevention Activities-Health Department Based (B)		X		X		
93.941	HIV Demonstration, Research, Public and Professional Education Projects (B)		X	X	X		
93.942	Research, Treatment and Education Programs on Lyme Disease in the United States (B)		X	X	X		
93.943	Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)		X	X	X		
93.944	Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)		X		X	X	
93.945	Assistance Programs for Chronic Disease Prevention and Control (B)			X	X	X	
93.946	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)				X	X	
93.947	Tuberculosis Demonstration, Research, Public and Professional Education (B)		X	X	X		
93.952	Trauma Care Systems Planning and Development (B)		X	X	X		
93.954	Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (B)						X
93.958	Block Grants for Community Mental Health Services (A)				X	X	
93.959	Block Grants for Prevention and Treatment of Substance Abuse (A)				X	X	X
93.962	Health Administration Traineeships Program (B)			X	X		
93.964	Public Health Traineeships (A)			X	X		
93.965	Coal Miners Respiratory Impairment Treatment Clinics and Services (B)		X		X		
93.969	Geriatric Education Centers (B)		X	X	X		
93.970	Health Professions Recruitment Program for Indians (B)		X	X			X
93.971	Health Professions Preparatory Scholarship Program for Indians (B)	X					
93.972	Health Professions Scholarship Program (B)	X					
93.974	Family Planning-Service Delivery Improvement Research Grants (B)			X	X		
93.977	Preventive Health Services-Sexually Transmitted Diseases Control Grants (B)		X		X		
93.978	Preventive Health Services-Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)		X	X	X		
93.982	Mental Health Disaster Assistance and Emergency Mental Health (B)		X	X	X		
93.988	Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)				X		
93.989	International Research and Research Training (B,M)	X					
93.990	National Health Promotion (B)			X			
93.991	Preventive Health and Health Services Block Grant (A)				X		X
93.993	Public Health Research Accreditation Project (B)			X			
93.994	Maternal and Child Health Services Block Grant to the States (B)				X		
93.995	Adolescent Family Life-Demonstration Projects (B)		X	X	X		
93.996	Bioterrorism Training and Curriculum Development Program (B)			X			
<b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b>							
94.002	Retired and Senior Volunteer Program (B)		X		X		
94.003	State Commissions (B)				X		
94.004	Learn and Serve America-School and Community Based Programs (B)		X	X	X	X	
94.005	Learn and Serve America-Higher Education (B)			X	X		
94.006	AmeriCorps (B)			X	X	X	
94.007	Planning and Program Development Grants (B)		X	X	X		
94.009	Training and Technical Assistance (B)		X	X	X		
94.011	Foster Grandparent Program (B)		X		X		
94.013	Volunteers in Service to America (J)		X	X	X		
94.016	Senior Companion Program (B)		X	X	X		
<b>SOCIAL SECURITY ADMINISTRATION</b>							
96.001	Social Security-Disability Insurance (C,D)	X					
96.002	Social Security-Retirement Insurance (D)	X					

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Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
96.004	Social Security-Survivors Insurance (C,D)	X					
96.006	Supplemental Security Income (C,D)	X					
96.007	Social Security-Research and Demonstration (B)			X	X		
96.008	Social Security - Work Incentives Planning and Assistance Program (B)		X	X	X		
96.009	Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (B)		X	X	X		
96.020	Special Benefits for Certain World War II Veterans (D)	X					
<b>DEPARTMENT OF HOMELAND SECURITY</b>							
97.004	State Domestic Preparedness Equipment Support Program (B)				X		
97.005	State and Local Homeland Security Training Program (B)		X	X	X		
97.006	State and Local Homeland Security Exercise Support (B)		X	X	X		
97.007	Homeland Security Preparedness Technical Assistance Program (B)		X	X	X		
97.008	Urban Areas Security Initiative (A)				X		
97.009	Cuban/Haitian Entrant Program (B)	X		X			
97.010	Citizenship Education and Training (L)		X	X	X		
97.011	Boating Safety (J,K,L,M)	X					
97.012	Boating Safety Financial Assistance (A)			X	X	X	
97.013	State Access to the Oil Spill Liability Trust Fund (B)				X	X	
97.014	Bridge Alteration (C)	X	X	X	X		
97.015	Secret Service-Training Activities (M)						
97.016	Reimbursement for Firefighting on Federal Property (C)				X	X	
97.018	National Fire Academy Training Assistance (C)			X			
97.019	National Fire Academy Educational Program (M)		X				
97.020	Hazardous Materials Training Program (B)		X		X	X	X
97.021	Hazardous Materials Assistance Program (B)		X		X	X	
97.022	Flood Insurance (G)		X		X		
97.023	Community Assistance Program State Support Services Element (CAP-SSSE) (B)				X		
97.024	Emergency Food and Shelter National Board Program (A)		X	X	X		
97.025	National Urban Search and Rescue (US&R) Response System (B)				X		
97.026	Emergency Management Institute-Training Assistance (C)	X	X		X	X	
97.027	Emergency Management Institute (EMI)-Independent Study Program (M)		X		X		
97.028	Emergency Management Institute (EMI)-Resident Educational Program (M)		X		X		
97.029	Flood Mitigation Assistance (B)		X		X		
97.030	Community Disaster Loans (E)		X				
97.031	Cora Brown Fund (C)	X					
97.032	Crisis Counseling (B)				X		
97.033	Disaster Legal Services (C)	X					
97.034	Disaster Unemployment Assistance (C,J)	X					
97.036	Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)		X		X		
97.039	Hazard Mitigation Grant (B)		X	X	X		X
97.040	Chemical Stockpile Emergency Preparedness Program (B)		X		X		
97.041	National Dam Safety Program (B)		X		X		
97.042	Emergency Management Performance Grants (A)				X	X	
97.043	State Fire Training Systems Grants (B)				X		
97.044	Assistance to Firefighters Grant (B)		X		X	X	
97.045	Cooperating Technical Partners (B)				X	X	
97.046	Fire Management Assistance Grant (B,J)				X	X	
97.047	Pre-Disaster Mitigation (B)				X	X	X
97.048	Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B)	X					
97.049	Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)	X					
97.050	Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)	X					
97.052	Emergency Operations Centers (B)		X		X		
97.053	Citizen Corps (B)		X		X		
97.055	Interoperable Communications Equipment (B)		X				
97.056	Port Security Grant Program (B)		X	X	X		
97.057	Intercity Bus Security Grants (B)			X			
97.058	Operation Safe Commerce (OSC) Cooperative Agreement Program (B)			X			
97.059	Truck Security Program (B)			X			
97.060	Port Security Research and Development Grant (B)						
97.061	Centers for Homeland Security (B)					X	
97.062	Scholars and Fellows, and Educational Programs (C)			X			
97.064	Debris Removal Insurance (G)				X		
97.065	Homeland Security Advanced Research Projects Agency (B)			X			
97.066	Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)				X	X	
97.067	Homeland Security Grant Program (A)		X		X	X	
97.068	Competitive Training Grants (B)		X		X		
97.069	Aviation Research Grants (B,I)			X			
97.070	Map Modernization Management Support (B)		X		X	X	
97.071	Metropolitan Medical Response System (B)		X				
97.072	National Explosives Detection Canine Team Program (B)		X		X		
97.073	State Homeland Security Program (SHSP) (A)		X		X		X



# APPLICANT ELIGIBILITY INDEX

Program Description		Individual	Local	NonProfit	State	U.S Territories	Federal Tribal Govern ments.
97.074	Law Enforcement Terrorism Prevention Program (LETPP) (A)		X		X	X	
97.075	Rail and Transit Security Grant Program (B)				X		
97.076	National Center for Missing and Exploited Children (NCMEC) (B)						
97.077	Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)		X	X	X		
97.078	Buffer Zone Protection Program (BZPP) (B)		X		X	X	X
97.079	Public Alert Radios for Schools (B)						
97.080	Information Analysis Infrastructure Protection (IAIP) Pilot Projects (B)		X	X	X		X
97.081	Law Enforcement Training and Technical Assistance (J,M)		X		X	X	X
97.082	Earthquake Consortium (B)			X			
97.083	Staffing for Adequate Fire and Emergency Response (SAFER) (B)		X	X	X		
97.084	Hurricane Katrina Case Management Initiative Program (B)						
97.085	9/11 Heroes Stamp Program (D)	X					
97.086	Homeland Security Outreach, Education, and Technical Assistance (B,L)		X	X	X		X
97.087	Alternative Housing Pilot Program (B)				X		
97.088	Disaster Assistance Projects (B)		X	X	X		X
97.089	Real ID Program (B)				X	X	
97.090	Law Enforcement Officer Reimbursement Agreement Program (C)		X		X		
97.091	Homeland Security Biowatch Program (B,H,I,L)		X		X		
97.092	Repetitive Flood Claims (B)				X	X	X
97.093	Fire Service Hazardous Materials Preparedness and Response (B)						
97.094	Prevention Advocacy Resources and Data Exchange Program (B)				X		
97.095	Safe Kids Worldwide (B)			X			
97.096	Commercial Equipment Direct Assistance Program (CEDAP) (H)		X		X	X	X
97.097	Training Resource and Data Exchange (TRADE) (B)				X		
97.098	Disaster Donations Management Program (B)		X		X		
97.099	Residential Fire Safety & Fire Sprinkler Initiatives (B)	X	X	X	X	X	X
97.100	Airport Checked Baggage Screening Program (C)		X		X		
97.103	Degrees at a Distance Program (B)		X	X			
97.104	Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)						
97.105	Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B)	X	X	X	X	X	X
97.106	Securing the Cities (B,H,I,L)		X	X	X		X
97.107	National Incident Management System (NIMS) (B)		X	X	X	X	X
97.108	Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)		X	X	X	X	X
97.109	Disaster Housing Assistance Grant (B)	X					
97.110	Severe Loss Repetitive Program (B)		X		X		
97.111	Regional Catastrophic Preparedness Grant Program (RCPGP) (B)		X		X		
97.112	Border Infrastructure Improvement Projects (B)		X		X	X	
<b>UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT</b>							
98.001	USAID Foreign Assistance for Programs Overseas (B)	X	X	X	X	X	X
98.002	Cooperative Development Program (CDP) (B)						
98.003	Ocean Freight Reimbursement Program (OFR) (B)						
98.004	Non-Governmental Organization Strengthening (NGO) (B)						
98.005	Institutional Capacity Building (ICB) (B)						
98.006	Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (B)			X			
98.007	Food for Peace Development Assistance Program (DAP) (B,H)						
98.008	Food for Peace Emergency Program (EP) (B,H)						
98.009	John Ogonowski Farmer-to-Farmer Program (B)		X		X		
98.010	Denton Program (J)						
98.011	Global Development Alliance (B)	X	X	X	X		
98.012	USAID Development Partnerships for University Cooperation and Development (B)				X		

# DEADLINES INDEX

## MARCH 1, 2008

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

## MAY 16, 2008

15.807 Earthquake Hazards Reduction Program (B)

## JUNE 1, 2008

93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)

## JULY 1, 2008

93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)

## JULY 3, 2008

14.902 Lead Technical Studies Grants (B)

14.906 Healthy Homes Technical Studies Grants (B)

## JULY 10, 2008

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)

14.903 Operation Lead Elimination Action Program (B)

## JULY 17, 2008

14.901 Healthy Homes Demonstration Grants (B)

14.905 Lead Hazard Reduction Demonstration Grant Program (B)

## OCTOBER 1, 2008

15.928 Civil War Battlefield Land Acquisition Grants (B)

## OCTOBER 15, 2008

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

## NOVEMBER 1, 2008

15.619 Rhinoceros and Tiger Conservation Fund (B)

15.620 African Elephant Conservation Fund (B)

15.621 Asian Elephant Conservation Fund (B)

15.629 Great Apes Conservation Fund (B)

## NOVEMBER 15, 2008

14.239 Home Investment Partnerships Program (A)

15.421 Alaska Coastal Marine Institute (B)

## NOVEMBER 18, 2008

15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)

## DECEMBER 1, 2008

14.241 Housing Opportunities for Persons with AIDS (A,B)

## DECEMBER 16, 2008

15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)

## JANUARY 1, 2009

93.794 Reimbursement of State Costs for Provision of Part D Drugs (C)

## JANUARY 15, 2009

15.805 Assistance to State Water Resources Research Institutes (A,B)

45.309 Museum Grants for African American History and Culture (B)

93.103 Food and Drug Administration-Research (B)

## JANUARY 30, 2009

93.659 Adoption Assistance (A)

## JANUARY 31, 2009

20.106 Airport Improvement Program (B,K)

20.807 U.S. Merchant Marine Academy (M)

66.952 National Network for Environmental Management Studies Fellowship Program (B)

85.402 Morris K. Udall Native American Congressional Internship Program (C)

93.776 Hurricane Katrina Relief (B)

## FEBRUARY 1, 2009

12.400 Military Construction, National Guard (B)

15.928 Civil War Battlefield Land Acquisition Grants (B)

45.130 Promotion of the Humanities-Challenge Grants (B)

45.312 National Leadership Grants (B)

93.213 Research and Training in Complementary and Alternative Medicine (B,M)

93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)

93.392 Cancer Construction (B)

93.397 Cancer Centers Support Grants (B)

## FEBRUARY 2, 2009

85.200 Barry M. Goldwater Scholarship Program (C)

## FEBRUARY 15, 2009

10.559 Summer Food Service Program for Children (A)

20.602 Occupant Protection (B)

45.302 Museum Assessment Program (C)

93.778 Medical Assistance Program (A)

## FEBRUARY 17, 2009

11.554 Low-Power Television and Translator Digital-to-Analog Conversion (B)

## FEBRUARY 21, 2009

85.401 Morris K. Udall Fellowship Program (B)

## FEBRUARY 22, 2009

11.550 Public Telecommunications Facilities Planning and Construction (B)

## FEBRUARY 25, 2009

20.814 Assistance to Small Shipyards (C)

## FEBRUARY 27, 2009

15.816 Minerals Resources External Research Program (B)

## MARCH 1, 2009

15.022 Tribal Self-Governance (C)

15.042 Indian School Equalization Program (C)

15.044 Indian Schools-Student Transportation (C)

20.609 Safety Belt Performance Grants (B)

20.807 U.S. Merchant Marine Academy (M)

85.500 James Madison Memorial Fellowship Program (B)

93.213 Research and Training in Complementary and Alternative Medicine (B,M)

## MARCH 4, 2009

85.400 Morris K. Udall Scholarship Program (C)

## MARCH 15, 2009

15.644 Federal Junior Duck Stamp Conservation and Design (C,H)

45.307 21st Century Museum Professionals (B)

## MARCH 17, 2009

66.708 Pollution Prevention Grants Program (B)

## MARCH 23, 2009

93.225 National Research Service Awards-Health Services Research Training (B)

## MARCH 31, 2009

10.051 Commodity Loans and Loan Deficiency Payments (D,E)

10.774 National Sheep Industry Improvement Center (B,C,E,F)

11.556 TV Converter Box Coupon Program (C)

93.794 Reimbursement of State Costs for Provision of Part D Drugs (C)

## APRIL 1, 2009

15.619 Rhinoceros and Tiger Conservation Fund (B)

15.620 African Elephant Conservation Fund (B)

15.621 Asian Elephant Conservation Fund (B)

15.629 Great Apes Conservation Fund (B)

15.645 Marine Turtle Conservation Fund (B)

45.201 Arts and Artifacts Indemnity (G)

45.308 Native American/Native Hawaiian Museum Services Program (B)

81.104 Office of Environmental Waste Processing (B)

93.123 Health Professions Pregraduate Scholarship Program for Indians (B)

93.971 Health Professions Preparatory Scholarship Program for Indians (B)

93.972 Health Professions Scholarship Program (B)

## APRIL 5, 2009

93.103 Food and Drug Administration-Research (B)

93.213 Research and Training in Complementary and Alternative Medicine (B,M)

93.272 Alcohol National Research Service Awards for Research Training (B)

93.307 Minority Health and Health Disparities Research (B)

93.396 Cancer Biology Research (B)

## APRIL 15, 2009

10.775 Renewable Energy Systems and Energy Efficiency Improvements Program (E,F)

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

19.421 Exchange-English Language Fellow Program (B)

64.005 Grants to States for Construction of State Home Facilities (B)

## APRIL 16, 2009

# DEADLINES INDEX

66.708 Pollution Prevention Grants Program (B)

## **APRIL 30, 2009**

93.583 Refugee and Entrant Assistance-Wilson/Fish Program (B)  
93.659 Adoption Assistance (A)

## **MAY 1, 2009**

10.051 Commodity Loans and Loan Deficiency Payments (D,E)  
10.560 State Administrative Expenses for Child Nutrition (A)  
17.600 Mine Health and Safety Grants (B)  
45.130 Promotion of the Humanities-Challenge Grants (B)

## **MAY 12, 2009**

10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)

## **MAY 15, 2009**

66.804 State and Tribal Underground Storage Tanks Program (A)  
66.805 Leaking Underground Storage Tank Trust Fund Program (A)  
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)  
66.816 Headquarters and Regional Underground Storage Tanks Program (B)

## **MAY 31, 2009**

11.469 Congressionally Identified Awards and Projects (B)

## **JUNE 1, 2009**

15.428 Marine Gas Hydrate Research Activities (B)  
11.443 Short Term Climate Fluctuations (B)  
12.113 State Memorandum of Agreement Program for the Reimbursement of Technical Services (B)

15.043 Indian Child and Family Education (B,M)

15.928 Civil War Battlefield Land Acquisition Grants (B)  
45.129 Promotion of the Humanities-Federal/State Partnership (A)  
66.456 National Estuary Program (B)  
66.815 Brownfield Job Training Cooperative Agreements (B)  
93.213 Research and Training in Complementary and Alternative Medicine (B,M)  
93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)

93.397 Cancer Centers Support Grants (B)

## **JUNE 9, 2009**

66.717 Source Reduction Assistance (B)

## **JUNE 15, 2009**

15.651 Wildlife Without Borders-Africa Program (B)  
20.610 State Traffic Safety Information System Improvement Grants (B)  
93.778 Medical Assistance Program (A)

## **JUNE 16, 2009**

10.775 Renewable Energy Systems and Energy Efficiency Improvements Program (E,F)

## **JUNE 21, 2009**

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

## **JUNE 30, 2009**

10.774 National Sheep Industry Improvement Center (B,C,E,F)  
11.553 Special Projects (B)  
11.617 Congressionally-Identified Projects (B)  
12.401 National Guard Military Operations and Maintenance (O&M) Projects (B)  
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)  
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)  
93.599 Chafee Education and Training Vouchers Program (ETV) (A)  
93.645 Child Welfare Services-State Grants (A)  
93.674 Chafee Foster Care Independence Program (A)

## **JULY 1, 2009**

10.566 Nutrition Assistance For Puerto Rico (C)  
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)  
15.042 Indian School Equalization Program (C)  
15.044 Indian Schools-Student Transportation (C)  
15.426 Coastal Impact Assistance Program (CIAP) (A)  
15.427 Federal Oil and Gas Royalty Management (B)  
20.609 Safety Belt Performance Grants (B)  
20.611 Incentive Grant Program to Prohibit Racial Profiling (B)  
20.613 Child Safety and Child Booster Seats Incentive Grants (B)  
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)

64.203 State Cemetery Grants (B)

84.002 Adult Education - Basic Grants to States (A)

93.213 Research and Training in Complementary and Alternative Medicine (B,M)

## **JULY 3, 2009**

66.458 Capitalization Grants for Clean Water State Revolving Funds (A)

## **JULY 15, 2009**

20.605 Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (B)  
93.103 Food and Drug Administration-Research (B)

## **JULY 23, 2009**

93.225 National Research Service Awards-Health Services Research Training (B)

## **JULY 30, 2009**

93.659 Adoption Assistance (A)

## **AUGUST 1, 2009**

10.222 Tribal Colleges Endowment Program (A)  
15.921 Rivers, Trails and Conservation Assistance (K)  
20.218 National Motor Carrier Safety (A)  
20.601 Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (B)  
20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)  
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)  
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)  
66.801 Hazardous Waste Management State Program Support (A)

## **AUGUST 5, 2009**

93.103 Food and Drug Administration-Research (B)  
93.213 Research and Training in Complementary and Alternative Medicine (B,M)  
93.272 Alcohol National Research Service Awards for Research Training (B)  
93.307 Minority Health and Health Disparities Research (B)  
93.396 Cancer Biology Research (B)

## **AUGUST 15, 2009**

10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)  
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)  
10.565 Commodity Supplemental Food Program (A,H)  
64.005 Grants to States for Construction of State Home Facilities (B)  
93.777 State Survey and Certification of Health Care Providers and Suppliers (A)  
93.778 Medical Assistance Program (A)

## **AUGUST 16, 2009**

14.239 Home Investment Partnerships Program (A)  
14.241 Housing Opportunities for Persons with AIDS (A,B)

## **AUGUST 27, 2009**

45.164 Promotion of the Humanities-Public Programs (B)

## **SEPTEMBER 1, 2009**

20.600 State and Community Highway Safety (A)  
93.568 Low-Income Home Energy Assistance (A)  
93.569 Community Services Block Grant (A)  
93.958 Block Grants for Community Mental Health Services (A)

## **SEPTEMBER 15, 2009**

15.037 Water Resources on Indian Lands (C,J,K)

## **SEPTEMBER 30, 2009**

10.051 Commodity Loans and Loan Deficiency Payments (D,E)  
10.609 Trade Adjustment Assistance (D)  
10.774 National Sheep Industry Improvement Center (B,C,E,F)  
10.851 Rural Telephone Loans and Loan Guarantees (E,F)  
20.607 Alcohol Open Container Requirements (B)  
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)  
20.700 Pipeline Safety Program Base Grants (A)  
66.458 Capitalization Grants for Clean Water State Revolving Funds (A)  
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)

## **OCTOBER 1, 2009**

10.901 Resource Conservation and Development (K)  
15.641 Wildlife Without Borders-Mexico (B)  
15.645 Marine Turtle Conservation Fund (B)  
15.928 Civil War Battlefield Land Acquisition Grants (B)  
45.201 Arts and Artifacts Indemnity (G)  
45.303 Conservation Project Support (B,C)  
84.007 Federal Supplemental Educational Opportunity Grants (C)

# DEADLINES INDEX

- 93.213 Research and Training in Complementary and Alternative Medicine (B,M)
- 93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)
- 93.397 Cancer Centers Support Grants (B)
- 93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)
- 93.991 Preventive Health and Health Services Block Grant (A)

## OCTOBER 2, 2009

- 93.793 Medicaid Transformation Grants (B)

## OCTOBER 15, 2009

- 12.901 Mathematical Sciences Grants Program (B)
- 93.103 Food and Drug Administration-Research (B)

## OCTOBER 30, 2009

- 93.659 Adoption Assistance (A)

## NOVEMBER 1, 2009

- 15.424 Marine Minerals Activities (B)
- 10.763 Emergency Community Water Assistance Grants (B)
- 45.301 Museums for America (B,C)
- 93.213 Research and Training in Complementary and Alternative Medicine (B,M)
- 93.791 Money Follows the Person Rebalancing Demonstration (B)

## NOVEMBER 15, 2009

- 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)
- 93.778 Medical Assistance Program (A)

## NOVEMBER 19, 2009

- 66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)

## NOVEMBER 23, 2009

- 93.225 National Research Service Awards-Health Services Research Training (B)

## DECEMBER 1, 2009

- 45.304 Conservation Assessment Program (C)
- 66.817 State and Tribal Response Program Grants (A)
- 66.951 Environmental Education Grants (B)

## DECEMBER 5, 2009

- 93.103 Food and Drug Administration-Research (B)
- 93.213 Research and Training in Complementary and Alternative Medicine (B,M)
- 93.272 Alcohol National Research Service Awards for Research Training (B)
- 93.307 Minority Health and Health Disparities Research (B)
- 93.396 Cancer Biology Research (B)

## DECEMBER 12, 2009

- 15.425 Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (B)

## DECEMBER 15, 2009

- 12.900 Language Grant Program (B)
- 12.902 Information Security Grant Program (B)
- 45.313 Laura Bush 21st Century Librarian Program (B)

## DECEMBER 31, 2009

- 10.053 Dairy Indemnity Program (D)
- 10.774 National Sheep Industry Improvement Center (B,C,E,F)

## JANUARY 21, 2010

- 45.164 Promotion of the Humanities-Public Programs (B)

## JANUARY 31, 2010

- 66.817 State and Tribal Response Program Grants (A)

# FUNCTIONAL INDEX SUMMARY

Listed below are 20 basic functional categories in which all domestic assistance programs have been grouped by primary purpose. Within these basic groups are a total of 176 subcategories or subgrouping which further identify specific areas of interest. For example, if you are interested in buying a home, refer to the major category, "Housing," and to the subcategory "Homebuying, Homeownership." Go to the index page shown for this subcategory and you will find all appropriate program titles and program numbers. Select the desired program title and look up by program number. (Programs are in numerical sequence).

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The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A-Formula Grants; B-Project Grants; C-Direct Payments for Specified Use; D-Direct Payments with Unrestricted Use; E-Direct Loans; F-Guaranteed/Insured Loans; G-Insurance; H-Sale, Exchange, or Donation of Property and Goods; I-Use of Property, Facilities, and Equipment; J-Provisions of Specialized Services; K-Advisory Services and Counseling; L-Dissemination of Technical Information; M-Training; N-Investigation of Complaints; O-Federal Employment.

## AGRICULTURE

### Resource Conservation and Development

- 10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)
- 10.028 Wildlife Services (B)
- 10.054 Emergency Conservation Program (C)
- 10.066 Livestock Assistance Program (D)
- 10.069 Conservation Reserve Program (C)
- 10.070 Colorado River Basin Salinity Control Program (C)
- 10.072 Wetlands Reserve Program (C)
- 10.073 Crop Disaster Program (D)
- 10.215 Sustainable Agriculture Research and Education (B)
- 10.225 Community Food Projects (B)
- 10.406 Farm Operating Loans (E,F)
- 10.437 Interest Assistance Program (F)
- 10.449 Boll Weevil Eradication Loan Program (E)
- 10.455 Community Outreach and Assistance Partnership Program (L,M)
- 10.763 Emergency Community Water Assistance Grants (B)
- 10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)
- 10.901 Resource Conservation and Development (K)
- 10.902 Soil and Water Conservation (K)
- 10.905 Plant Materials for Conservation (J)
- 10.906 Watershed Surveys and Planning (J,K)
- 10.910 Rural Abandoned Mine Program (C)
- 10.912 Environmental Quality Incentives Program (C)
- 10.913 Farm and Ranch Lands Protection Program (C)
- 10.914 Wildlife Habitat Incentive Program (C)
- 10.916 Watershed Rehabilitation Program (B,K)
- 10.918 Ground and Surface Water Conservation- Environmental Quality Incentives Program (C)
- 10.919 Klamath Basin - Environmental Quality Incentives Program (C)
- 10.920 Grassland Reserve Program (C)
- 10.921 Conservation Security Program (C)
- 11.419 Coastal Zone Management Administration Awards (A,B)
- 12.110 Planning Assistance to States (J)
- 15.034 Agriculture on Indian Lands (C,J,K)
- 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)
- 15.238 Challenge Cost Share (B,I,K,M)
- 15.518 Garrison Diversion Unit (B)
- 15.533 California Water Security and Environmental Enhancement (B)
- 15.649 Service Training and Technical Assistance (Generic Training) (B)
- 15.650 Research Grants (Generic) (B)
- 15.651 Wildlife Without Borders-Africa Program (B)
- 15.921 Rivers, Trails and Conservation Assistance (K)
- 15.930 Chesapeake Bay Gateways Network (B)
- 81.124 PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM (PSAAP) (B)
- 90.100 Denali Commission Program (B)

### Production and Operations

- 10.055 Direct and Counter-cyclical Payments Program (C)
- 10.056 Farm Storage Facility Loans (E)
- 10.080 Milk Income Loss Contract Program (D)
- 10.307 Organic Agriculture Research and Extension Initiative (B)
- 10.352 Value-Added Producer Grants (B)
- 10.404 Emergency Loans (E)
- 10.406 Farm Operating Loans (E,F)
- 10.435 State Mediation Grants (B)
- 10.450 Crop Insurance (G)
- 10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)
- 10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC) (B)
- 15.034 Agriculture on Indian Lands (C,J,K)
- 15.238 Challenge Cost Share (B,I,K,M)

### Marketing

- 10.029 Avian Influenza Indemnity Program (D)
- 10.053 Dairy Indemnity Program (D)

- 10.078 Bioenergy Program (C)
- 10.081 Lamb Meat Adjustment Assistance Program (D)
- 10.085 Tobacco Transition Payment Program (D)
- 10.153 Market News (L)
- 10.155 Marketing Agreements and Orders (J,K)
- 10.156 Federal-State Marketing Improvement Program (B)
- 10.162 Inspection Grading and Standardization (J)
- 10.163 Market Protection and Promotion (J,K,M)
- 10.164 Wholesale Farmers and Alternative Market Development (K,M)
- 10.165 Perishable Agricultural Commodities Act (N)
- 10.167 Transportation Services (K,M)
- 10.168 Farmers' Market Promotion Program (B)
- 10.169 Specialty Crop Block Grant Program (B)
- 10.170 Specialty Crop Block Grant Program - Farm Bill (B)
- 10.290 AGRICULTURAL MARKET AND ECONOMIC RESEARCH (B)
- 10.352 Value-Added Producer Grants (B)
- 10.454 Dairy Options Pilot Program (C)
- 10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)
- 10.477 Meat, Poultry, and Egg Products Inspection (J)
- 10.500 Cooperative Extension Service (A,B)
- 10.576 Senior Farmers Market Nutrition Program (B)
- 10.600 Foreign Market Development Cooperator Program (C)
- 10.601 Market Access Program (C)
- 10.603 Emerging Markets Program (C)
- 10.605 Quality Samples Program (C)
- 10.608 Food for Education (H)
- 10.609 Trade Adjustment Assistance (D)
- 10.672 Rural Development, Forestry, and Communities (B)
- 10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)
- 10.774 National Sheep Industry Improvement Center (B,C,E,F)
- 10.994 Peanut Quota Buyout Program (D)
- 10.995 Hard White Wheat Incentive Program (D)
- 10.999 LONG TERM STANDING AGREEMENTS FOR STORAGE, TRANSPORTATION AND LEASE (C)
- 15.238 Challenge Cost Share (B,I,K,M)
- 78.004 Commodity Futures Reparations Claims (N)
- 98.009 John Ogonowski Farmer-to-Farmer Program (B)

### Research and Development

- 10.001 Agricultural Research-Basic and Applied Research (B)
- 10.070 Colorado River Basin Salinity Control Program (C)
- 10.200 Grants for Agricultural Research, Special Research Grants (B)
- 10.202 Cooperative Forestry Research (A)
- 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)
- 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)
- 10.206 Grants for Agricultural Research-Competitive Research Grants (B)
- 10.207 Animal Health and Disease Research (A)
- 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)
- 10.212 Small Business Innovation Research (B)
- 10.215 Sustainable Agriculture Research and Education (B)
- 10.216 1890 Institution Capacity Building Grants (B)
- 10.219 Biotechnology Risk Assessment Research (B)
- 10.220 Higher Education Multicultural Scholars Program (B)
- 10.224 Fund for Rural America-Research, Education, and Extension Activities (B)
- 10.227 1994 Institutions Research Program (B)
- 10.250 Agricultural and Rural Economic Research (L)
- 10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)
- 10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (L)
- 10.255 Research Innovation and Development Grants in Economic (RIDGE) (L)
- 10.256 Consumer Data Initiative (CDI) (L)
- 10.290 AGRICULTURAL MARKET AND ECONOMIC RESEARCH (B)
- 10.303 Integrated Programs (B)
- 10.309 SPECIALTY CROP RESEARCH INITIATIVE (B)
- 10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)
- 10.479 Food Safety Cooperative Agreements (B)
- 10.600 Foreign Market Development Cooperator Program (C)
- 10.601 Market Access Program (C)
- 10.652 Forestry Research (B)
- 10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC) (B)
- 10.771 Rural Cooperative Development Grants (B)
- 10.778 Research on the Economic Impact of Cooperatives (C)
- 10.960 Technical Agricultural Assistance (B)
- 10.961 Scientific Cooperation and Research (B,C)
- 10.962 Cochran Fellowship Program-International Training-Foreign Participant (C)

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- 11.433 Marine Fisheries Initiative (B)
- 11.460 Special Oceanic and Atmospheric Projects (B)
- 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)
- 15.238 Challenge Cost Share (B,I,K,M)

## Technical Assistance, Information, and Services

- 10.001 Agricultural Research-Basic and Applied Research (B)
- 10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)
- 10.028 Wildlife Services (B)
- 10.153 Market News (L)
- 10.155 Marketing Agreements and Orders (J,K)
- 10.156 Federal-State Marketing Improvement Program (B)
- 10.163 Market Protection and Promotion (J,K,M)
- 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)
- 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)
- 10.250 Agricultural and Rural Economic Research (L)
- 10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)
- 10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (L)
- 10.255 Research Innovation and Development Grants in Economic (RIDGE) (L)
- 10.256 Consumer Data Initiative (CDI) (L)
- 10.350 Technical Assistance to Cooperatives (J,K,L,M)
- 10.441 Technical and Supervisory Assistance Grants (B)
- 10.443 Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)
- 10.455 Community Outreach and Assistance Partnership Program (L,M)
- 10.457 Commodity Partnerships for Risk Management Education (B)
- 10.458 Crop Insurance Education in Targeted States (B)
- 10.500 Cooperative Extension Service (A,B)
- 10.574 Team Nutrition Grants (B)
- 10.580 Special Nutrition Assistance Program Outreach/Participation Program (B)
- 10.601 Market Access Program (C)
- 10.604 Technical Assistance for Specialty Crops Program (C)
- 10.609 Trade Adjustment Assistance (D)
- 10.670 National Forest-Dependent Rural Communities (B,I,M)
- 10.700 National Agricultural Library (L)
- 10.761 Technical Assistance and Training Grants (B)
- 10.769 Rural Business Enterprise Grants (B)
- 10.771 Rural Cooperative Development Grants (B)
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- 10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)
- 10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)
- 10.901 Resource Conservation and Development (K)
- 10.903 Soil Survey (L)
- 10.906 Watershed Surveys and Planning (J,K)
- 10.907 Snow Survey and Water Supply Forecasting (L)
- 10.916 Watershed Rehabilitation Program (B,K)
- 10.920 Grassland Reserve Program (C)
- 10.921 Conservation Security Program (C)
- 10.950 Agricultural Statistics Reports (L)
- 10.960 Technical Agricultural Assistance (B)
- 15.238 Challenge Cost Share (B,I,K,M)
- 15.653 National Outreach and Communication Program (B)
- 15.921 Rivers, Trails and Conservation Assistance (K)
- 78.004 Commodity Futures Reparations Claims (N)
- 98.009 John Ogonowski Farmer-to-Farmer Program (B)

## Forestry

- 10.028 Wildlife Services (B)
- 10.202 Cooperative Forestry Research (A)
- 10.219 Biotechnology Risk Assessment Research (B)
- 10.406 Farm Operating Loans (E,F)
- 10.407 Farm Ownership Loans (E,F)
- 10.652 Forestry Research (B)
- 10.664 Cooperative Forestry Assistance (A,B)
- 10.665 Schools and Roads-Grants to States (A)
- 10.666 Schools and Roads-Grants to Counties (A)
- 10.670 National Forest-Dependent Rural Communities (B,I,M)
- 10.671 Southeast Alaska Economic Disaster Fund (C)
- 10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)
- 10.675 Urban and Community Forestry Program (B)
- 10.676 Forest Legacy Program (B)
- 10.677 Forest Land Enhancement Program (B)
- 10.678 Forest Stewardship Program (B)
- 10.679 Collaborative Forest Restoration (B)
- 10.680 Forest Health Protection (A,B)
- 10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC) (B)

- 10.684 International Forestry Programs (B)
- 10.922 Healthy Forests Reserve Program (HFRP) (C)
- 15.035 Forestry on Indian Lands (C,J,K)
- 15.233 Forests and Woodlands Resource Management (B,K,M)
- 15.237 Rangeland Resource Management (B,K,M)
- 15.238 Challenge Cost Share (B,I,K,M)
- 15.921 Rivers, Trails and Conservation Assistance (K)

## Stabilization and Conservation Service

- 10.051 Commodity Loans and Loan Deficiency Payments (D,E)
- 10.053 Dairy Indemnity Program (D)
- 10.054 Emergency Conservation Program (C)
- 10.055 Direct and Counter-cyclical Payments Program (C)
- 10.072 Wetlands Reserve Program (C)
- 10.309 SPECIALTY CROP RESEARCH INITIATIVE (B)
- 10.450 Crop Insurance (G)
- 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)
- 10.664 Cooperative Forestry Assistance (A,B)
- 15.034 Agriculture on Indian Lands (C,J,K)
- 15.234 Secure Rural Schools and Community Self-Determination (B)
- 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)
- 15.238 Challenge Cost Share (B,I,K,M)
- 15.520 Lewis and Clark Rural Water System (B)
- 15.533 California Water Security and Environmental Enhancement (B)
- 15.649 Service Training and Technical Assistance (Generic Training) (B)
- 15.651 Wildlife Without Borders-Africa Program (B)
- 81.124 PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM (PSAAP) (B)
- 93.570 Community Services Block Grant-Discretionary Awards (B)

## BUSINESS AND COMMERCE

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- 10.084 Dairy Market Loss Assistance Program (D)
- 10.212 Small Business Innovation Research (B)
- 10.352 Value-Added Producer Grants (B)
- 10.406 Farm Operating Loans (E,F)
- 10.767 Intermediary Relending Program (E)
- 10.768 Business and Industry Loans (F)
- 10.769 Rural Business Enterprise Grants (B)
- 10.773 Rural Business Opportunity Grants (B)
- 10.775 Renewable Energy Systems and Energy Efficiency Improvements Program (E,F)
- 10.861 Public Television Station Digital Transition Grant Program (B)
- 11.108 Commercial Service (K)
- 11.110 Manufacturing and Services (K)
- 11.150 Export Licensing Service and Information (K)
- 11.313 Trade Adjustment Assistance for Firms (B)
- 11.611 Manufacturing Extension Partnership (B,L)
- 11.617 Congressionally-Identified Projects (B)
- 11.800 Minority Business Enterprise Centers (B)
- 11.803 Minority Business Opportunity Center (MBOC) (B)
- 14.412 Employment Opportunities for Lower Income Persons and Businesses (N)
- 15.124 Indian Loans-Economic Development (F)
- 20.814 Assistance to Small Shipyards (C)
- 20.910 Assistance to small and disadvantaged businesses (B)
- 20.930 Payments for Small community Air Service Development (B)
- 21.003 Taxpayer Service (K)
- 36.001 Fair Competition Counseling and Investigation of Complaints (K,N)
- 44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)
- 59.006 8(a) Business Development Program (J)
- 59.007 7(j) Technical Assistance (B)
- 59.008 Disaster Assistance Loans (E)
- 59.009 Procurement Assistance to Small Businesses (J)
- 59.011 Small Business Investment Companies (E,F,K)
- 59.012 7(a) Loan Guarantees (F)
- 59.016 Surety Bond Guarantees (G)
- 59.026 Service Corps of Retired Executives (K,M)
- 59.037 Small Business Development Centers (B,J,K,L)
- 59.041 504 Certified Development Loans (F)
- 59.043 Women's Business Ownership Assistance (B)
- 59.044 Veterans Business Development (B)
- 59.046 Microloan Program (A,E)
- 59.049 Small Disadvantaged Businesses (E)
- 59.050 PRIME Technical Assistance (B)
- 59.051 New Markets Venture Capital Program (B,F)
- 59.053 Ombudsman and Regulatory Fairness Boards (N)



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59.055 HUBZone Program (B)  
59.070 Drug-Free Workplace Program (B)  
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## Economic Development

10.056 Farm Storage Facility Loans (E)  
10.404 Emergency Loans (E)  
10.406 Farm Operating Loans (E,F)  
10.670 National Forest-Dependent Rural Communities (B,I,M)  
10.767 Intermediary Relending Program (E)  
10.768 Business and Industry Loans (F)  
10.769 Rural Business Enterprise Grants (B)  
10.773 Rural Business Opportunity Grants (B)  
10.860 Rural Business Investment Program (B,F)  
11.111 Foreign-Trade Zones in the United States (J)  
11.113 ITA Special Projects (B)  
11.300 Investments for Public Works and Economic Development Facilities (B)  
11.302 Economic Development-Support for Planning Organizations (B)  
11.303 Economic Development-Technical Assistance (B)  
11.462 Hydrologic Research (B)  
11.800 Minority Business Enterprise Centers (B)  
12.002 Procurement Technical Assistance For Business Firms (B)  
12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation (B)  
12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)  
14.218 Community Development Block Grants/Entitlement Grants (A)  
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14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)  
14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)  
14.412 Employment Opportunities for Lower Income Persons and Businesses (N)  
14.862 Indian Community Development Block Grant Program (B)  
15.020 Aid To Tribal Governments (C)  
15.021 Consolidated Tribal Government Program (C)  
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10.404 Emergency Loans (E)  
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11.307 Economic Adjustment Assistance (B)  
11.313 Trade Adjustment Assistance for Firms (B)  
11.450 Automated Flood Warning Systems (AFWS) (B)  
12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (J)  
12.103 Emergency Operations Flood Response and Post Flood Response (J)  
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12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)  
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11.434 Cooperative Fishery Statistics (B)  
11.435 Southeast Area Monitoring and Assessment Program (B)  
11.436 Columbia River Fisheries Development Program (B)  
11.437 Pacific Fisheries Data Program (B)  
11.438 Pacific Coast Salmon Recovery-Pacific Salmon Treaty Program (B)  
11.441 Regional Fishery Management Councils (B)  
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11.462 Hydrologic Research (B)  
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11.800 Minority Business Enterprise Centers (B)  
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- Talent Search 84.044
- Upward Bound 84.047
- violence counseling 16.014, 16.541, 94.005, 94.007
- vocational education 17.805, 84.169, 84.245, 84.331, 84.356, 93.674
- 15.931
- Z**
- Zoological parks**
- 45.302

# DELETED PROGRAMS

The Programs listed below are to be deleted from the Catalog. The reason for deletion are also given

## DEPARTMENT OF AGRICULTURE

- 10.062 Water Bank Program ()--Funds have been recinded by Congress (Program deleted on 06/09/06)
- 10.064 Forestry Incentives Program ()--Funds have been recinded by Congress (Program deleted on 06/09/06)
- 10.075 Special Apple Program ()-- One Time program with obligations\loans available in FY 2001 only (Program deleted on 05/23/06)
- 10.076 Emergency Loan for Seed Producers ()--This is a 1-Time program with Obligations\loans available in FY 2001 only (Program deleted on 05/23/06)
- 10.083 Tobacco Loss Assistance Program ()--Payments for this program were substantially completed in FY 2003 with residual payments in FY 2004. (Program deleted on 05/23/06)
- 10.218 Buildings and Facilities Program ()--Program cancelled several years ago, per CSREES (Program deleted on 02/22/05)
- 10.302 Initiative for Future Agriculture and Food Systems ()--Program cancelled several years ago, per CSREES (Program deleted on 02/22/05)
- 10.353 National Rural Development Partnership ()--This program has not received funding and no awards are expected in the future. (Program deleted on 04/29/05)
- 10.550 Food Donation ()--Program no longer funded (Program deleted on 05/06/08)
- 10.570 Nutrition Services Incentive ()--Program transfered to another agency (Program deleted on 06/04/05)
- 10.581 WIC Discretionary Grant Funds ()--This program is duplicated in the Catalog under program number 10.578 (Program deleted on 07/26/04)
- 10.663 Forest Land Enhancement Program (FLEP) ()--Budget authority appropriated for FY 02 as established by the Farm Security and Rural Investment Act of 2002 (Program deleted on 08/20/03)
- 10.673 Wood In Transportation Program ()--Budget authority appropriated for FY 03 as established by the Food, Agriculture, Conservation, and Trade Act of 1990 - replaced by current program under CFDA 10.681 (Program deleted on 08/15/08)
- 10.800 Livestock, Meat and Poultry Market Supervision ()--Funds not available to the public (Program deleted on 07/15/04)
- 10.852 Rural Telephone Bank Loans ()--There is no longer authorization for this program. (Program deleted on 10/17/07)
- 10.853 LOCAL Television Loan Guarantee Program ()--The authorization for this program has expired. (Program deleted on 10/17/07)
- 10.900 Great Plains Conservation ()--Funds have been recinded by Congress (Program deleted on 06/09/06)

## DEPARTMENT OF COMMERCE

- 11.027 State of the Nation ()--Combined into 11.026 to reflect updates to the program (Program deleted on 03/15/06)
- 11.114 Special American Business Internship Training Program ()--The SABIT program no longer provides assistance as defined by the CFDA. Training program funds are provided to overseas and not domestically. (Program deleted on 10/18/07)
- 11.428 Intergovernmental Climate\_Program (NESDIS) ()--Grant no longer has funding. (Program deleted on 10/17/07)
- 11.458 Alaska Salmon Enhancement ()--Program Element of 11.458 have been consolidated into 11.438 (Program deleted on 04/16/04)
- 11.470 Office of Administration Special Programs ()--Program Element of 11.470 have been consolidated into 11.481 (Program deleted on 04/16/04)
- 11.552 Technology Opportunities Program ()--The TOP program was discontinued. (Program deleted on 03/15/06)
- 11.802 Minority Business Development ()--Program was never funded or implemented.

- (Program deleted on 05/03/04)
- 11.806 Minority Business Opportunity Committee ()--Budget authority expired effective FY 02 (Program deleted on 08/06/03)

## DEPARTMENT OF DEFENSE

- 12.600 Community Economic Adjustment ()--Deleted by sponsor's request. (Program deleted on 10/17/07)
- 12.612 Community Base Reuse Plans ()--Program authorization has expired. (Program deleted on 10/17/07)
- 12.613 Growth Management Planning Assistance ()--Program authorization has expired. (Program deleted on 10/17/07)
- 12.640 Integrated Helicopter Design Tools ()--Budget authority expired (Program deleted on 09/14/05)

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- 14.132 Mortgage Insurance\_Purchase of Sales-Type Cooperative Housing Units ()--Per program area request, program is now obsolete (Program deleted on 08/15/08)
- 14.165 Mortgage Insurance\_Homes\_Military Impacted Areas ()--Per program area request, program is now obsolete (Program deleted on 08/15/08)
- 14.219 Community Development Block Grants/Small Cities Program ()-- Combined with 14.228 Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii (Program deleted on 05/06/08)
- 14.243 Opportunities for Youth\_Youthbuild Program () (Program deleted on 04/07/08)
- 14.310 Teacher Next Door Initiative ()--Program elements of 14.310 consolidated into 14.198 (Program deleted on 05/06/08)
- 14.511 Community Outreach Partnership Center Program ()--Per S. Brunson, program has not been funded since 2005 and request deletion. (Program deleted on 08/15/08)
- 14.512 Community Development Work-Study Program ()--Grants no longer offered (Program deleted on 12/12/07)
- 14.518 HUD Urban Scholars Fellowship Grants ()--Department no longer funds this program. (Program deleted on 05/26/05)
- 14.521 Universities Rebuilding America Program - Community Design ()--Grants no longer offered (Program deleted on 10/18/07)

## DEPARTMENT OF THE INTERIOR

- 15.039 Fish, Wildlife, and Parks Programs on Indian Lands ()--Funds are contracted to the tribes and there are no discretionary funds to apply for. (Program deleted on 08/15/08)
- 15.049 Irrigation Operations and Maintenance on Indian Lands ()--No funds available for program from fiscal years 2007 to 2009. (Program deleted on 08/15/08)
- 15.050 Unresolved Indian Hunting and Fishing Rights ()--Eliminated from the budget for the past three years. (Program deleted on 08/15/08)
- 15.910 National Natural Landmarks Program ()--Program is not financial assistance and currently no funding available. (Program deleted on 08/15/08)
- 15.919 Urban Park and Recreation Recovery Program ()--No longer funded by Congress (Program deleted on 11/28/05)
- 15.925 National Maritime Heritage Grants ()--No funding for FY 07 to FY 09. The program has been inactive due to lack of appropriations. (Program deleted on 08/15/08)
- 15.976 Migratory Bird Banding and Data Analysis () (Program deleted on 07/21/03)

## DEPARTMENT OF JUSTICE

- 16.005 Public Education on Drug Abuse\_Information ()--Program no longer



# DELETED PROGRAMS

- funded because of budget cuts.  
(Program deleted on 08/12/08)
- 16.220 Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances ()--Submitted into the CFDA by error (Program deleted on 06/09/05)
- 16.542 Part D - Research, Evaluation, Technical Assistance and Training ()--No longer funded or supported by OJP (Program deleted on 12/12/07)
- 16.544 Gang-Free Schools and Communities\_Community-Based Gang Intervention ()--Funding transferred to another Bureau. (Program deleted on 12/12/07)
- 16.549 Part E\_State Challenge Activities ()--No longer funded or supported by OJP (Program deleted on 12/12/07)
- 16.561 National Institute of Justice Visiting Fellowships ()--"I think it is okay to go ahead and delete it with the understanding that it is unfunded," per Dionne Mitchell, NIJ, 4/27/06 (Program deleted on 04/30/06)
- 16.563 Corrections and Law Enforcement Family Support ()--No longer funded or supported by OJP (Program deleted on 12/12/07)
- 16.564 Crime Laboratory Improvement\_Combined Offender DNA Index System Backlog Reduction ()--Dionne Mitchell/NIJ email request 4/19/06 no long funded (Program deleted on 04/21/06)
- 16.565 National Institute of Justice Domestic Anti-Terrorism Technology Development Program (Counterterrorism Research and Development) ()--Dionne Mitchell/NIJ email request 4/19/06 - no funds (Program deleted on 04/21/06)
- 16.577 Emergency Federal Law Enforcement Assistance ()--Short term funding program can be deleted, per BJA Maria Pressley 4/27/06 (Program deleted on 04/27/06)
- 16.592 Local Law Enforcement Block Grant Program ()--No longer funded or supported by OJP (Program deleted on 12/12/07)
- 16.597 Motor Vehicle Theft Protection Act Program ()--No longer funded (Program deleted on 08/12/08)
- 16.612 National White Collar Crime Center ()--No longer funded (Program deleted on 08/12/08)
- 16.613 Scams Targeting the Elderly ()--No longer funded (Program deleted on 08/12/08)
- 16.711 Troops to COPS ()--The COPS Office no longer receives funding for the TROOPS to COPS program (Program deleted on 06/30/04)
- 16.712 Police Corps ()--No longer funded or supported by OJP (Program deleted on 12/12/07)
- 16.728 Drug Prevention Program ()--Funding no longer available. (Program deleted on 12/12/07)
- 16.732 National Evaluation of the Safe Schools\_Healthy Students Initiative ()--Funding not available. (Program deleted on 12/12/07)
- 16.733 National Incident Based Reporting System ()--Funding no longer available. (Program deleted on 04/08/05)
- 16.743 Forensic Casework DNA Backlog Reduction Program ()--Restructuring of DNA program. (Program deleted on 08/12/08)

## DEPARTMENT OF LABOR

- 17.006 Employment Projections Data ()--This program has been incorporated in BLS program 17.002. (Program deleted on 04/01/04)
- 17.202 Certification of Foreign Workers for Temporary Agricultural Employment ()--Program elements of 17.202, 17.203, and 17.252 regrouped into 17.272 and 17.273 to more clearly and accurately reflect the program purpose (Program deleted on 05/04/06)
- 17.203 Labor Certification for Alien Workers ()--Program elements of 17.202, 17.203, and 17.252 regrouped into 17.272 and 17.273 to more clearly and accurately reflect the program purpose (Program deleted on 05/04/06)
- 17.252 Attestations by Employers Using Non-Immigrant Aliens in Specialty Occupations ()--Program elements of 17.202, 17.203, and 17.252

- regrouped into 17.272 and 17.273 to more clearly and accurately reflect the program purpose (Program deleted on 05/04/06)
- 17.253 Welfare-to-Work Grants to States and Localities ()--Formula program was terminated by section 105 of the Department of Labor 2004 Appropriation (P.L 108-199). (Program deleted on 04/19/05)
- 17.254 Welfare-to-Work Grants to Federally Recognized Tribes and Alaska Natives ()--The statute supporting this program is no longer in effect. (Program deleted on 04/19/05)
- 17.257 One-Stop Career Center Initiative ()--Combined with 17.207 Employment Service/Wagner-Peyser Funded Activities (Program deleted on 05/01/06)
- 17.262 Employment and Training Administration Evaluations ()--Solicited contract programs administered under procurement laws and regulations should be excluded from the catalog. (Program deleted on 05/01/06)
- 17.263 Youth Opportunity Grants ()--Budget authority expired effective 6/30/04 (Program deleted on 05/01/06)

## DEPARTMENT OF STATE

- 19.200 Claims Against Foreign Governments ()--This is not a federal assistance program and has been inappropriately included in CFDA. (Program deleted on 12/27/05)
- 19.201 Protection of Ships From Foreign Seizure ()--This is not a federal assistance program and has been inappropriately included in CFDA. (Program deleted on 12/27/05)
- 19.202 Special Domestic Assignments ()--19.202 is not a grant program. It is an in-house temporary detail program for foreign service officers. It only benefits the employee. There is no grant issued to an individual or an organization. (Program deleted on 12/27/05)
- 19.404 Professional Development\_International Educators/Administrators ()--Program consolidated into 19.424 (Program deleted on 06/30/04)
- 19.405 Educational Partnerships Program ()--Program no longer receives separate funding. Program is now included with 19.424 (Program deleted on 06/10/04)
- 19.407 Teacher Exchange\_New Independent States (NIS) ()--Budget authority expired (Program deleted on 04/08/05)
- 19.411 Educational Exchange\_NIS Secondary School Initiative ()--Program discontinued (Program deleted on 06/17/04)
- 19.413 Cultural Exchange (Performing Arts) ()--Program concluded in 2004 as planned. (Program deleted on 03/02/06)
- 19.414 Cultural Exchange (Visual Arts) ()--Program ended (Program deleted on 04/29/05)
- 19.419 Professional Development\_Teacher Training ()--No longer funded. (Program deleted on 06/10/04)
- 19.420 Cooperative Grants ()--Program has been discontinued (Program deleted on 06/21/04)
- 19.422 Educational Exchange\_Teaching Excellence Awards Program ()--Program has been discontinued (Program deleted on 06/17/04)
- 19.424 Educational Partnerships Program ()--Budget authority expired (Program deleted on 04/08/05)

## DEPARTMENT OF TRANSPORTATION

- 20.107 Airway Science ()--Program is inactive; last funded in FY 00. (Program deleted on 06/10/05)
- 20.217 Motor Carrier Safety ()--Program was revised and transferred to Federal Highways under the title "Value Pricing"; 20.220 (Program deleted on 06/02/06)
- 20.222 Highways for LIFE ()--Program already exists within 20.200 and 20.205 (Program deleted on 12/11/06)
- 20.230 Crash Data Improvement Program ()--Budget authority expired for next fiscal year (Program deleted on 06/02/06)
- 20.502 Federal Transit Grants for University Research and Training ()--Program has not been funded since FY 1993. (Program deleted on 06/10/05)



# DELETED PROGRAMS

- 20.503 Federal Transit Managerial Training Grants ()--Program has not been funded since FY 1993.  
(Program deleted on 06/10/05)
- 20.511 Human Resource Programs ()--Program not funded since FY 1993  
(Program deleted on 06/10/05)
- 20.512 Federal Transit Technical Assistance ()--Program has not been funded since FY 1993.  
(Program deleted on 06/10/05)
- 20.603 Federal Highway Safety Data Improvements Incentive Grants ()--program has been phased out  
(Program deleted on 11/07/06)
- 20.604 Safety Incentive Grants for Use of Seatbelts ()--program has been phased out.  
(Program deleted on 11/07/06)
- 20.714 National Pipeline Mapping System ()--Program inactive. Last funded in FY 2003.  
(Program deleted on 06/13/05)
- 20.801 Development and Promotion of Ports and Intermodal Transportation ()--re-organization in MARAD  
(Program deleted on 08/15/08)
- 20.804 Operating\_Differential Subsidies ()--Budget authority expired upon completion of funding actions, per Maritime Security Act of October 6, 1996  
(Program deleted on 05/03/04)
- 20.805 Ship Sales ()--Program has been inactive.  
(Program deleted on 06/10/05)
- 20.903 Support Mechanisms for Disadvantaged Businesses ()--no longer being funded  
(Program deleted on 05/01/06)
- 20.906 Hispanic Serving Institutions\_Entrepreneurial Training and Technical Assistance ()--Combined with 20.907, Minority institutions  
(Program deleted on 05/03/04)
- 20.907 Minority Institutions ()--Program is no longer being funded  
(Program deleted on 05/23/06)
- 20.908 Tribal Colleges\_Entrepreneurial Training and Technical Assistance ()--Combined with 20.907, Minority Institutions  
(Program deleted on 05/03/04)
- 20.920 Transportation Statistics Research Grants ()--Program inactive. Not funded in last 3 fiscal years.  
(Program deleted on 06/10/05)

## APPALACHIAN REGIONAL COMMISSION

- 23.008 Appalachian Local Access Roads ()--Combined in Area Development -- program number 23.002  
(Program deleted on 05/18/05)

## FEDERAL MEDIATION AND CONCILIATION SERVICE

- 34.002 Labor Management Cooperation ()  
(Program deleted on 09/24/08)

## GENERAL SERVICES ADMINISTRATION

- 39.011 Election Reform Payments ()--This appropriation was for FY 2003  
(Program deleted on 05/26/05)

## LIBRARY OF CONGRESS

- 42.003 Distribution of Library of Congress Cataloging ()--This program is not the domestic assistance type required to be listed in the CFDA.  
(Program deleted on 05/05/05)
- 42.005 Library of Congress Publications ()--This program is not the domestic assistance type required to be listed in the CFDA.  
(Program deleted on 05/05/05)
- 42.006 Library of Congress\_Library Services ()--This program is not the domestic assistance type required to be listed in the CFDA.  
(Program deleted on 05/05/05)
- 42.007 Reference Services in Science, Technology and Business ()--This program is not the domestic assistance type required to be listed in the CFDA.  
(Program deleted on 05/05/05)

## SMALL BUSINESS ADMINISTRATION

- 59.002 Economic Injury Disaster Loans ()--Duplicated under 59.008

- (Program deleted on 02/14/08)
- 59.005 Internet-Based Technical Assistance ()--Duplicated under 59.055  
(Program deleted on 02/14/08)

## DEPARTMENT OF VETERANS AFFAIRS

- 64.102 Compensation for Service-Connected Deaths for Veterans' Dependents ()--Program number 64.102 has been incorporated into program number 64.110  
(Program deleted on 05/01/06)
- 64.123 Vocational Training for Certain Veterans Receiving VA Pension ()--Provision has expired.  
(Program deleted on 04/29/05)

## ENVIRONMENTAL PROTECTION AGENCY

- 66.009 Air Information Center ()--OAR requests that CFDA 66.009 be withdrawn because the public information activity described is not funded by a grant, but rather is funded through a contract managed by the OARM of the EPA.  
(Program deleted on 06/27/05)
- 66.114 Environmental Protection Consolidated Grants-Program Support ()--This CFDA will no longer be used for the consolidated grant. We will now be doing 'stand alone' grants to fund the work that was under the consolidated grant.  
(Program deleted on 02/14/08)
- 66.307 Environmental Justice Training and Fellowship Assistance ()--CFDA is no longer being funded.  
(Program deleted on 02/14/08)
- 66.308 Environmental Justice Research Assistance ()--CFDA is no longer being funded.  
(Program deleted on 02/14/08)
- 66.311 Assistance to Non-Profit Organizations with Activities Relating to Environmental Justice ()--CFDA is no longer being funded.  
(Program deleted on 02/14/08)
- 66.476 Security Planning Grants for Large Drinking Water Utilities ()--Program is no longer funded.  
(Program deleted on 02/15/05)
- 66.477 Vulnerability Assessments and Related Security Improvements at Large Privately-Owned Community Drinking Water Utilities ()--Program is no longer funded.  
(Program deleted on 02/22/05)
- 66.500 Environmental Protection\_Consolidated Research ()--Each program office that provides funding for research or training will develop their own CFDA descriptions for these activities or incorporate them in their existing descriptions.  
(Program deleted on 06/27/05)
- 66.606 Surveys, Studies, Investigations and Special Purpose Grants ()--Program Consolidated into New CFDA 66.202  
(Program deleted on 02/08/06)
- 66.607 Training and Fellowships for the Environmental Protection Agency ()--Each program office that provides funding for research or training will develop their own CFDA descriptions for these activities or incorporate them in their existing descriptions.  
(Program deleted on 06/27/05)
- 66.807 Superfund Innovative Technology Evaluation Program ()--The budget authority for this program is no longer authorized.  
(Program deleted on 01/29/04)

## NUCLEAR REGULATORY COMMISSION

- 77.001 Radiation Control\_Training Assistance and Advisory Counseling ()--Funding expired effective FY03  
(Program deleted on 05/03/04)
- 77.005 Financial Assistance for NRC Local Public Document Rooms (LPDRs) ()--Funding expired effective FY 03  
(Program deleted on 05/03/04)

## DEPARTMENT OF ENERGY

- 81.039 National Energy Information Center ()--1. Budget authority expired effective 10/01/2007  
(Program deleted on 12/07/07)
- 81.082 Management and Technical Assistance for Minority Business Enterprises ()--Budgetary authority expired September 30, 2003  
(Program deleted on 04/29/04)

# DELETED PROGRAMS

- 81.110 National Resource Center for Plutonium ()--Budget authority expired FY 02  
(Program deleted on 07/22/03)
- 81.116 Science and Engineering Training to Support Diversity-Related Programs ()--Budget authority is rescinded by Congress for Fiscal Year 2004 and all following Fiscal Years  
(Program deleted on 04/16/04)
- 81.120 Arms Control and Nonproliferations Policy Analysis ()--Budget authority rescinded FY 03  
(Program deleted on 07/22/03)

## DEPARTMENT OF EDUCATION

- 84.168 Eisenhower Professional Development Federal Activities ()--This program is no longer authorized. No new awards will be made.  
(Program deleted on 01/29/04)
- 84.195 Bilingual Education Professional Development ()--This program is no longer authorized -- no new awards will be made.  
(Program deleted on 06/10/04)
- 84.209 Native Hawaiian Family Based Education Centers ()--This program is no longer specifically authorized -- no new awards are expected.  
(Program deleted on 06/10/04)
- 84.210 Native Hawaiian Gifted and Talented ()--This program is no longer specifically authorized -- no new awards are expected.  
(Program deleted on 06/10/04)
- 84.216 Capital Expenses ()--This program is no longer authorized, no new awards are expected  
(Program deleted on 08/20/03)
- 84.221 Native Hawaiian Special Education ()--This program is no longer specifically authorized. No new awards are expected.  
(Program deleted on 06/10/04)
- 84.255 Literacy Programs for Prisoners ()--This program is no longer funded nor are there any awards being made.  
(Program deleted on 02/14/08)
- 84.281 Eisenhower Professional Development State Grants ()--This program is no longer authorized. No new awards will be made.  
(Program deleted on 01/29/04)
- 84.294 Foreign Language Incentive Program ()--This program has not received funding and no new awards are expected.  
(Program deleted on 06/10/04)
- 84.296 Native Hawaiian Community-Based Education Learning Centers ()--This program is no longer authorized -- no new awards will be made.  
(Program deleted on 01/29/04)
- 84.297 Native Hawaiian Curriculum Development, Teacher Training and Recruitment ()--This program is no longer authorized -- no new awards will be made.  
(Program deleted on 01/29/04)
- 84.302 Regional Technology in Education Consortia ()--The program is no longer authorized. No new awards will be made.  
(Program deleted on 06/04/05)
- 84.306 National Institute on the Education of At-Risk Students ()--this program is no longer authorized -- no new awards are expected  
(Program deleted on 01/29/04)
- 84.307 National Institute on Early Childhood Development and Education ()--this program is no longer authorized -- no new awards are expected  
(Program deleted on 01/29/04)
- 84.308 National Institute on Educational Governance, Finance, Policymaking, and Management ()--this program is no longer authorized -- no new awards are expected  
(Program deleted on 01/29/04)
- 84.309 National Institute on Postsecondary Education, Libraries, and Lifelong Learning ()--this program is no longer authorized -- no new awards are expected  
(Program deleted on 01/29/04)
- 84.314 Even Start Statewide Family Literacy Program ()--No new awards are expected for this program.  
(Program deleted on 06/10/04)
- 84.316 Native Hawaiian Higher Education Program ()--This program is no longer separately authorized - no new awards are expected under the program.  
(Program deleted on 06/10/04)
- 84.319 Eisenhower Regional Math and Science Consortia ()--No new or continuation awards are expected for this program.  
(Program deleted on 05/01/06)
- 84.320 Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program ()--This program is no longer

- authorized -- no new awards will be made  
(Program deleted on 01/29/04)
- 84.321 Alaska Native Home Based Education for Preschool Children ()--This program is no longer authorized -- no new awards will be made  
(Program deleted on 01/29/04)
- 84.322 Alaska Native Student Enrichment Program ()--This program is no longer authorized -- no new awards will be made  
(Program deleted on 01/29/04)
- 84.338 Reading Excellence ()--This program is no longer authorized, no new awards are expected  
(Program deleted on 08/20/03)
- 84.339 Learning Anytime Anywhere Partnerships ()--The program was last funded in FY 2001 no new awards are expected.  
(Program deleted on 01/29/04)
- 84.340 Class Size Reduction ()--This program is no longer authorized, no new awards are expected  
(Program deleted on 08/20/03)
- 84.341 Community Technology Centers ()--This program is no longer being funded and no future awards will be made.  
(Program deleted on 05/06/08)
- 84.342 Preparing Tomorrow's Teachers to Use Technology ()--There have been no new obligations for 3 years and no new awards are planned for the program.  
(Program deleted on 04/29/05)
- 84.344 TRIO Dissemination Partnership Grants ()--This program is no longer being funded and no future awards will be made.  
(Program deleted on 05/06/08)
- 84.346 Vocational Education Occupational and Employment Information State Grants ()--Program is no longer being funded and no awards are being made.  
(Program deleted on 02/14/08)
- 84.348 Title I Accountability Grants ()--No new awards are expected from this program.  
(Program deleted on 01/29/04)
- 84.352 School Renovation Grants ()--This program is no longer authorized, no new awards are expected  
(Program deleted on 08/01/03)
- 84.353 Tech-Prep Demonstration Grants ()--No funds are available for this program and no future awards are expected.  
(Program deleted on 05/06/08)
- 84.355 Child Care Provider Loan Forgiveness Demonstration ()--The program was not funded in 04-06 and no additional funding is expected in the future.  
(Program deleted on 04/29/05)
- 84.368 Grants for Enhanced Assessment Instruments ()--Budget authority appropriated for FY 03 as established by the Elementary and Secondary Education Act of 1965  
(Program deleted on 10/21/03)
- 84.938 Hurricane Education Recovery ()--No additional funding. No new awards expected.  
(Program deleted on 08/15/08)

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

- 93.005 Project Grants for Facilities to Improve the Health Status of Minority Populations ()--No longer funding this program  
(Program deleted on 05/18/05)
- 93.106 Minority International Research Training Grant in the Biomedical and Behavioral Sciences ()--Program elements consolidated into 93.989  
(Program deleted on 06/30/04)
- 93.108 Health Education Assistance Loans ()--Program no longer exists.  
(Program deleted on 07/21/05)
- 93.114 Applied Toxicological Research and Testing ()--Program is being consolidated under CFDA # 93.113  
(Program deleted on 10/11/06)
- 93.115 Biometry and Risk Estimation Health Risks from Environmental Exposures ()--Program is being consolidated under CFDA # 93.113  
(Program deleted on 10/11/06)
- 93.151 Health Center Grants for Homeless Populations ()--Combined with other HRSA Bureau of Primary Health Care Health Center Programs under 93.224.  
(Program deleted on 05/18/05)
- 93.168 International Cooperative Biodiversity Groups Program ()--Program elements consolidated into 93.989  
(Program deleted on 06/30/04)

# DELETED PROGRAMS

- 93.215 Hansen's Disease National Ambulatory Care Program (--Is now a contract.  
(Program deleted on 05/18/05)
- 93.219 Matching Grants for Health Professions Scholarships to Indian Tribes (--This program is no longer being funded, per Program Office.  
(Program deleted on 04/21/06)
- 93.245 Innovative Food Safety Projects (--Budget authority is rescinded for the current fiscal year  
(Program deleted on 05/18/05)
- 93.246 Health Centers Grants for Migrant and Seasonal Farmworkers (--Combined with other HRSA Bureau of Primary Health Care Health Center Programs under 93.224  
(Program deleted on 05/18/05)
- 93.248 Residencies in the Practice of Pediatric Dentistry (--Consolidated into 93.884  
(Program deleted on 08/05/03)
- 93.263 Occupational Safety and Health Training Grants (--Consolidation of NIOSH CFDA's for UFMS implementation.  
(Program deleted on 05/18/05)
- 93.277 Career Development Awards (--Consolidated into 93.279  
(Program deleted on 07/08/03)
- 93.278 Drug Abuse National Research Service Awards for Research Training (--Consolidated into 93.279  
(Program deleted on 01/10/03)
- 93.287 Bioengineering Research (--PROGRAM ELEMENTS OF 93.287 CONSOLIDATED INTO 93.286 DUE TO A REORGANIZATION WITHIN NIBIB  
(Program deleted on 05/07/03)
- 93.302 Healthy Schools, Healthy Communities (--Program has been combined with other HRSA Bureau of Primary Health Care grants under 93.224.  
(Program deleted on 05/18/05)
- 93.306 Comparative Medicine (--Combined into 93.389  
(Program deleted on 01/10/03)
- 93.309 Bioinformatics and Computational Biology Research (--Consolidated into 93.859  
(Program deleted on 07/24/03)
- 93.371 Biomedical Technology (--Consolidated into 93.389  
(Program deleted on 07/08/03)
- 93.375 Minority Biomedical Research Support (--Consolidated into 93.859  
(Program deleted on 07/24/03)
- 93.390 Academic Research Enhancement Award (--Appropriations for this program are now imbedded in the individual NIH institutes and centers. The program is now covered by the CFDA description for research grants maintained by each of the ICs.  
(Program deleted on 04/26/06)
- 93.447 State Health Fraud Task Force Grants (--This program will not be published as a funding opportunity in the future. Budget authority appropriated for FY 04 as established by the Public Health Service Act  
(Program deleted on 08/15/08)
- 93.571 Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (--This program did not receive funding for the last three years.  
(Program deleted on 10/08/08)
- 93.577 Early Learning Fund (--Budget authority appropriated for FY 01 as established by Public Law 106-554 expired in FY 05 with no subsequent appropriations. All grants have expired.  
(Program deleted on 05/06/08)
- 93.582 Mitigation of Environmental Impacts to Indian Lands Due to Department of Defense Activities (--Available funding has expired.  
(Program deleted on 08/15/08)
- 93.782 Medicare Transitional Drug Assistance Program for Territories (--Program is not authorized, funded or in operation for FY 2005 or later.  
(Program deleted on 04/13/06)
- 93.821 Cell Biology and Biophysics Research (--Consolidated under 93.859  
(Program deleted on 07/29/03)
- 93.862 Genetics and Developmental Biology Research and Research Training (--Consolidated under 93.859  
(Program deleted on 07/29/03)
- 93.864 Population Research (--Consolidated into 93.865  
(Program deleted on 06/24/03)
- 93.880 Minority Access to Research Careers (--Consolidated into 93.859  
(Program deleted on 07/29/03)
- 93.886 Physician Assistant Training in Primary Care (--Consolidated into 93.884  
(Program deleted on 08/07/03)
- 93.894 Resource and Manpower Development in the Environmental Health Sciences (--Program is being consolidated under CFDA # 93.113  
(Program deleted on 10/11/06)
- 93.895 Grants for Faculty Development in Family Medicine (--Consolidated into 93.884  
(Program deleted on 08/07/03)
- 93.896 Predoctoral Training in Primary Care (Family Medicine, General Internal Medicine/General Pediatrics) (--Consolidated into 93.884  
(Program deleted on 08/07/03)
- 93.897 Residencies and Advanced Education in the Practice of General Dentistry (--Consolidated into 93.884  
(Program deleted on 08/07/03)
- 93.927 Health Centers Grants for Residents of Public Housing (--This program has been combined with other HRSA Bureau of Primary Care Health Center grants under 93.224.  
(Program deleted on 05/18/05)
- 93.929 Center for Medical Rehabilitation Research (--Consolidated into 93.865  
(Program deleted on 07/08/03)
- 93.934 Fogarty International Research Collaboration Award (--Program elements consolidated into 93.989  
(Program deleted on 06/30/04)
- 93.948 Pilot Clinical Pharmacology Training (--Program expired  
(Program deleted on 07/29/03)
- 93.953 Trauma Care Systems Planning and Development (--Program now under 93.952  
(Program deleted on 06/29/05)
- 93.955 Health and Safety Programs for Construction Work (--Consolidation of NIOSH CFDA's for UFMS implementation.  
(Program deleted on 05/26/05)
- 93.956 Agricultural Health and Safety Programs (--Consolidation of NIOSH CFDA's for UFMS implementation.  
(Program deleted on 05/26/05)
- 93.957 Occupational Health and Safety Surveillance (--Consolidation of NIOSH CFDA's for UFMS implementation.  
(Program deleted on 05/26/05)
- 93.960 Special Minority Initiatives (--Consolidated into 93.859  
(Program deleted on 07/29/03)
- 93.984 Academic Administrative Units in Primary Care (--Consolidated into 93.884  
(Program deleted on 09/12/03)

## SOCIAL SECURITY ADMINISTRATION

- 96.003 Social Security\_Special Benefits for Persons Aged 72 and Over (--The program was initiated for those individuals born between 1896 - 1900. There are no longer any individuals that would qualify for this program.  
(Program deleted on 05/04/06)
- 96.005 Special Benefits for Disabled Coal Miners (--This program is no longer funded  
(Program deleted on 03/12/04)

## NATIONAL ENDOWMENT FOR THE ARTS

- 45.026 Promotion of the Arts\_Leadership Initiatives (--Program elements of 45.026 consolidated into 45.024 Promotion of the Arts\_Grants to Organizations and Individuals  
(Program deleted on 05/03/04)
- 45.027 Promotion of the Arts\_Challenge America Grants (--Program elements incorporated into program 45.024  
(Program deleted on 07/24/03)

## NATIONAL ENDOWMENT FOR THE HUMANITIES

- 45.166 Promotion of the Humanities\_Extending the Reach Grants to Underserved Areas (--Program elements consolidated into programs 45.164 and 45.149  
(Program deleted on 01/09/03)
- 45.167 Promotion of the Humanities\_Extending the Reach Grants to Presidentially-Designated Minority Institutions (--Program Consolidated into 45.160 and 45.162  
(Program deleted on 04/01/04)

## DEPARTMENT OF HOMELAND SECURITY

- 97.001 Pilot Demonstration or Earmarked Projects (--No longer active  
(Program deleted on 08/15/08)
- 97.002 Research Projects (--no longer active

## DELETED PROGRAMS

- (Program deleted on 08/15/08)
- 97.003 Agricultural Inspection ()--(1) Budget authority expired 9-30-04  
(Program deleted on 03/18/05)
- 97.017 Pre-Disaster Mitigation (PDM) Competitive Grants ()--Elements of this program were incorporated into another existing program  
(Program deleted on 11/27/07)
- 97.035 Individual and Family Grants ()--Resended Disaster Mitigation of 2000  
(Program deleted on 06/03/04)
- 97.037 Disaster Housing Program ()--Resended Disaster Mitigation of 2000  
(Program deleted on 06/03/04)
- 97.038 First Responder Counter-Terrorism Training Assistance ()--program discontinued - budget authority expired  
(Program deleted on 10/20/05)
- 97.051 State and Local All Hazards Emergency Operations Planning ()--Program discontinued - budget authority expired  
(Program deleted on 10/20/05)
- 97.054 Community Emergency Response Teams ()--This program/element incorporated into Citizen Corps (97.053)  
(Program deleted on 10/20/05)
- 97.063 Pre-Disaster Mitigation Disaster Resistant Universities ()--Program discontinued - budget authority expired  
(Program deleted on 10/20/05)



# ADDED PROGRAMS

The following programs are listed for inclusion in the Catalog. The reason for addition are also given.

## DEPARTMENT OF AGRICULTURE

- 10.170 Specialty Crop Block Grant Program - Farm Bill (B)--Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246). (Program added on 07/25/08)
- 10.309 Specialty Crop Research Initiative (B)--Need paragraphs 121 and 122. 11 digit account ID number, and budget dollars. (Program added on 06/27/08)
- 10.684 International Forestry Programs (B)--Establishing new CFDA specifically for International Forestry Program (Program added on 07/08/08)
- 10.999 Long Term Standing Agreements For Storage, Transportation And Lease (C)--New Program (Program added on 05/06/08)

## DEPARTMENT OF COMMERCE

- 11.553 Special Projects (B)--new program funding - fields complete (Program added on 09/24/08)
- 11.556 TV Converter Box Coupon Program (C)--At Agency request. Rejection of program. (Program added on 05/02/08)
- 11.616 Technology Innovation Program (TIP) (B)--New Program (Program added on 10/22/08)

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- 14.880 Family Unification Program (FUP) (C)--Received new funding in FY 2008 (Program added on 07/03/08)
- 14.881 Moving to Work Demonstration Program (A)--Demonstration program was extended from short term to long term (Program added on 07/30/08)

## DEPARTMENT OF THE INTERIOR

- 15.133 Native American Business Development Institute (A)--Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450. (Program added on 07/30/08)
- 15.148 Tribal Energy Development Capacity Grants--Program not previously submitted. (Program added on 10/29/08)
- 15.230 Invasive and Noxious Plant Management (B,K,M)--Federal Noxious Weed Act of 1974, 7 U.S.C. 2814; 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended Public Law 105-277, Section 135; and Executive Order 13112, February 3, 1999. (Program added on 07/30/08)
- 15.232 Wildland Fire Research and Studies Program (B)--Program not previously submitted. (Program added on 07/30/08)
- 15.233 Forests and Woodlands Resource Management (B,K,M)--Program not previously submitted. (Program added on 07/30/08)
- 15.234 Secure Rural Schools and Community Self-Determination (B)--Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II. (Program added on 07/30/08)
- 15.235 Southern Nevada Public Land Management (B)--Program not previously submitted. (Program added on 07/30/08)
- 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)--Program not previously submitted. (Program added on 07/30/08)
- 15.237 Rangeland Resource Management (B,K,M)--Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Public Rangelands Improvement Act of 1978. (Program added on 07/30/08)
- 15.238 Challenge Cost Share (B,I,K,M)--Department of the Interior and Related Agencies Appropriation Act for Fiscal Year 1991, Public Law 101-512, Title I. (Program added on 07/30/08)
- 15.239 Management Initiatives (B,I,K,M)--Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended. (Program added on 07/31/08)
- 15.240 Helium Resource Management (B)--Program not previously submitted. (Program added on 08/12/08)

- 15.406 National Park Service Centennial Challenge. (A)--Program not previously submitted. (Program added on 10/29/08)
- 15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B)--Program not previously submitted. (Program added on 08/08/08)
- 15.428 Marine Gas Hydrate Research Activities (B)--Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331, Gas Hydrates Research Act, and the Marine Minerals Research Act. (Program added on 07/31/08)
- 15.515 Federal Resource Protection (B)--Federal funding legislated (Program added on 05/14/08)
- 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)--Indian Self-Determination and Education Assistance Act, P.L. 93-638, Title I, 25 USC 450 est. seq., as amended; and statutory authorities that authorize each specific project. (Program added on 07/31/08)
- 15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)--Program not previously submitted. (Program added on 06/03/08)
- 15.815 National Land Remote Sensing Education Outreach and Research (B)--Public Law 110-161, Organic Act 1879, 43 U.S.C. 31 (Program added on 07/31/08)
- 15.816 Minerals Resources External Research Program (B)--30 U.S.C. 1601 et. seq. and 42 U.S.C. 7701 et. seq. (Program added on 07/31/08)

## DEPARTMENT OF JUSTICE

- 16.013 Violence Against Women Act Court Training and Improvement Grants (B)--New Program (Program added on 06/12/08)
- 16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)--New Program (Program added on 06/12/08)
- 16.016 Culturally and Linguistically Specific Services Program (B)--New Program (Program added on 06/12/08)
- 16.017 Sexual Assault Services Program (A,B)--New Program (Program added on 06/12/08)
- 16.019 Tribal Registry (B)--New Program (Program added on 09/24/08)
- 16.751 Edward Byrne Memorial Competitive Grant Program (B)--To improve the functioning of the criminal justice system (Program added on 05/06/08)
- 16.752 Economic High-Tech and Cyber Crime Prevention (B)--To improve the functioning of the criminal justice system (Program added on 05/16/08)
- 16.753 Congressionally Recommended Awards (B)--To provide leadership and direction in improving the functioning of the criminal justice system. (Program added on 06/05/08)

## DEPARTMENT OF LABOR

- 17.604 Safety and Health Grants (B)--To provide funding for education and training programs to assist miners in identifying, avoiding, and preventing unsafe working conditions in and around mines and for research and equipment to improve (Program added on 07/16/08)

## GENERAL SERVICES ADMINISTRATION

- 39.012 Public Buildings Service (J)--To entities which coordinate long-term siting of Fed. building and employment in the NCR with State and local governments, the commercial sector and other major stakeholders in the region (Program added on 07/31/08)

## SMALL BUSINESS ADMINISTRATION

- 59.070 Drug-Free Workplace Program (B)--New Program (Program added on 06/27/08)

## DEPARTMENT OF EDUCATION

- 84.377 School Improvement Grants (B)--New program added to the catalog (Program added on 05/29/08)
- 84.378 College Access Challenge Grant Program (A)--First time funding in new program (Program added on 05/29/08)

# ADDED PROGRAMS

- 84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)--First time funding for new program  
(Program added on 05/29/08)
- 84.380 Special Education -- Olympic Education Programs (B)--First time funding for new program  
(Program added on 05/29/08)
- 84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)--First time funding for program  
(Program added on 05/29/08)
- 84.382 Strengthening Minority-Serving Institutions (B)--First time funding for new program  
(Program added on 05/29/08)

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

- 93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)--Pandemic prevention monitoring and control  
(Program added on 10/02/08)
- 93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)--Grant - Cooperative Agreement Program  
(Program added on 07/31/08)
- 93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)--To bring public health and epidemiologic principles to the aid of populations affected by complex humanitarian emergencies.  
(Program added on 05/05/08)
- 93.270 Adult Viral Hepatitis Prevention and Control (B)--To assist State and local health agencies.  
(Program added on 05/05/08)
- 93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)--New Program  
(Program added on 10/02/08)

## DEPARTMENT OF HOMELAND SECURITY

- 97.112 Border Infrastructure Improvement Projects (B)--The U.S. Department of Homeland Security will be implementing border security infrastructure improvement projects and initiatives by providing funding, technical assistance and other resources to bord  
(Program added on 05/02/08)

## BROADCASTING BOARD OF GOVERNORS

- 90.500 International Broadcasting Independent Grantee Organizations (B)--RWP: new program, testing Submit form  
(Program added on 10/28/08)

# CROSSWALK OF CHANGES TO PROGRAM NUMBER AND TITLES

*This is a list of programs that have undergone a program title or number change*

## TITLE CHANGES

### DEPARTMENT OF AGRICULTURE

- 10.290 Agricultural Market and Economic Research
- 10.551 Supplemental Nutrition Assistance Program
- 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program
- 10.580 Special Nutrition Assistance Program Outreach/Participation Program
- 10.681 Wood Education and Resource Center (WERC)

### DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- 14.239 Home Investment Partnerships Program
- 14.870 Resident Opportunity and Supportive Services - Service Coordinators

### DEPARTMENT OF THE INTERIOR

- 15.628 Multistate Conservation Grant Program
- 15.650 Research Grants (Generic)

### DEPARTMENT OF JUSTICE

- 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus
- 16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities
- 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program
- 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault
- 16.741 Forensic DNA Backlog Reduction Program

### DEPARTMENT OF LABOR

- 17.270 Reintegration of Ex-Offenders

### DEPARTMENT OF TRANSPORTATION

- 20.237 Safety Data Improvement Program
- 20.700 Pipeline Safety Program Base Grants
- 20.930 Payments for Small Community Air Service Development

### SMALL BUSINESS ADMINISTRATION

- 59.012 7(a) Loan Guarantees
- 59.016 Surety Bond Guarantees
- 59.026 Service Corps of Retired Executives
- 59.037 Small Business Development Centers
- 59.041 504 Certified Development Loans
- 59.044 Veterans Business Development
- 59.052 Native American Outreach
- 59.054 7(a)Export Loan Guarantees
- 59.055 HUBZone Program

### ENVIRONMENTAL PROTECTION AGENCY

- 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act
- 66.037 Internships, Training and Workshops for the Office of Air and Radiation
- 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act
- 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant
- 66.511 Office of Research and Development Consolidated Research/Training/Fellowships
- 66.515 Greater Research Opportunities (GRO) Research Program
- 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support
- 66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead
- 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies

### DEPARTMENT OF ENERGY

- 81.104 Office of Environmental Waste Processing
- 81.124 Predictive Science Academic Alliance Program

### DEPARTMENT OF EDUCATION

- 84.002 Adult Education - Basic Grants to States

- 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program
- 84.019 Overseas Programs - Faculty Research Abroad
- 84.021 Overseas Programs - Group Projects Abroad
- 84.022 Overseas Programs - Doctoral Dissertation Research Abroad
- 84.181 Special Education-Grants for Infants and Families
- 84.187 Supported Employment Services for Individuals with Significant Disabilities
- 84.310 Parental Information and Resource Centers
- 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants)
- 84.360 School Dropout Prevention Program

### DEPARTMENT OF HEALTH AND HUMAN SERVICES

- 93.068 Chronic Diseases: Research, Control, and Prevention
- 93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements
- 93.837 Cardiovascular Diseases Research
- 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research

### NATIONAL ENDOWMENT FOR THE HUMANITIES

- 45.169 Promotion of the Humanities\_Office of Digital Humanities

### DEPARTMENT OF HOMELAND SECURITY

- 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program
- 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection

# DEPARTMENT OF AGRICULTURE

## 10.001 AGRICULTURAL RESEARCH-BASIC AND APPLIED RESEARCH

(Extramural Research).

### FEDERAL AGENCY:

AGRICULTURAL RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

7 U.S.C. 427, 427i and 1624; 7 U.S.C. 3318.

### OBJECTIVES:

To make agricultural research discoveries, evaluate alternative ways of attaining research goals, and provide scientific technical information.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Research is conducted that is in cooperation with and is correlated with the Agricultural Research Service's in-house research programs and projects. Limited discretionary research funds are periodically made available.

### Applicant Eligibility:

Usually nonprofit institutions of higher education or other nonprofit research organizations, whose primary purpose is conducting scientific research.

### Beneficiary Eligibility:

Usually nonprofit institutions of higher education or other nonprofit research organizations, whose primary purpose is conducting scientific research.

### Credentials/Documentation:

None.

### Preapplication Coordination:

Standard application forms are not used. This program is excluded from coverage under E.O. 12372. Interested parties are urged to submit proposals.

### Application Procedure:

Letters should be submitted to the Agricultural Research Service, Department of Agriculture. Give name of applicants, location of facilities, and State of incorporation, if any.

### Award Procedure:

A peer review panel considers each proposal, evaluates the qualifications of applicants in line with research to be undertaken and determines priority for final negotiations of the grant.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

Progress reports, final technical reports, financial statements, and invention and subaward reports.

### Audits:

As performed by cognizant audit agency.

### Records:

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

### Account Identification:

12-1400-0-1-352.

### Obligations:

(Grants) FY 07 \$20,295,111; FY 08 est \$20,295,111 and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$1,000 to \$25,000. Average: \$3,000.

### PROGRAM ACCOMPLISHMENTS:

None.

### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR 3015 and 7 CFR 3019.

### Regional or Local Office:

See the Agricultural Research Service Regional Offices listed in Appendix IV of the Catalog.

### Headquarters Office:

Administrator for Agricultural Research Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-3656. Contact: Extramural Agreements Division. Telephone: (301) 504-1147. Use the same number for

FTS.

### Web Site Address:

<http://www.ars.usda.gov>.

### RELATED PROGRAMS:

10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research Competitive Research Grants; 10.207, Animal Health and Disease Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry Research; 10.700, National Agricultural Library; 62.001, TVA Energy Research and Technology Applications.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Peer review.

## 10.025 PLANT AND ANIMAL DISEASE, PEST CONTROL, AND ANIMAL CARE

### FEDERAL AGENCY:

ANIMAL AND PLANT HEALTH INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Plant Protection Act, Public Law 106-224, 7 U.S.C. 7701-7772; Farm Security and Rural Investment Act of 2002, Public Law 107-171, Subtitle E, Animal Health Protection, Section 10401-10418; Animal Welfare Act, as amended, 7 U.S.C. 2131-2147, 2149-2155.

### OBJECTIVES:

To protect U.S. agriculture from economically injurious plant and animal diseases and pests, ensure the safety and potency of veterinary biologic, and ensure the humane treatment of animals.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Conduct surveys, inspections to detect and appraise infestations, eradication and control activities, and carry out regulatory actions to prevent interstate spread of infestations and diseases.

### Applicant Eligibility:

Foreign, State, local, and U.S. Territorial government agencies, nonprofit institutions of higher education, and nonprofit associations or organizations requiring Federal support to eradicate, control, or assess the status of injurious plant and animal diseases and pests that are a threat to regional or national agriculture and conduct related demonstration projects.

### Beneficiary Eligibility:

Farmers, ranchers, agriculture producers, State, local, U.S. Territorial government agencies, public and private institutions and organizations benefit from Federal assistance to eradicate or control injurious plant and animal diseases and pests that are a threat to regional or national agriculture.

### Credentials/Documentation:

Curriculum vitae for principal investigator, except for State, local, and Territorial government cooperators.

### Preapplication Coordination:

A letter from applicants seeking support or cooperation with the Animal and Plant Health Inspection Service. Applicants must indicate the nature and severity of the problem to be considered and explain how they will address the problem. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Comply with E.O. 12372, "Intergovernmental Review of Federal Programs," and submit a completed Standard Form 424.1, "Department of Agriculture, Application for Federal Assistance (Non-construction)" and project proposal (work plan), financial plan, curriculum vitae, and other required certifications to the appropriate APHIS area, regional, or Headquarters Office. See Regional and Local Office Address Listing.

### Award Procedure:

Applications are approved by the Administrator or Authorized Departmental Officers (ADOs) upon determination that the project will contribute toward accomplishment of the Agency's overall mission and meet any established project evaluation/selection criteria.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

From 60 to 120 days.



**Appeals:**

None.

**Renewals:**

Based on program needs and availability of annual funding.

**Formula and Matching Requirements:**

Recipients share some project or program costs. The cost-sharing arrangements are developed between USDA and the recipients in advance of the program unless otherwise stated by Congress.

**Length and Time Phasing of Assistance:**

Up to 1 year from the date of award. Funds are made available as required to cover expenditures.

**Reports:**

Requirements are specifically indicated in the award documents and may vary for given programs; however, quarterly financial reports, annual progress reports, final financial and final summary progress reports are generally required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local governments, and Non-profit Organizations," State and local governments, and non-profit organizations that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

Instruction provided in the Notice of Award. Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1600-0-1-352; 12-9971-0-7-352. Wildlife Services (WS) include Aquaculture WS Methods.

**Obligations:**

(Grants) FY 07 \$164,399,210; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Selected examples of progress: Brucellosis class free status States, FY 05 51, FY 06 est 50, FY 06 est 51; Tuberculosis-accredited free States, FY 05 51, FY 06 est 47, FY 07 est 47.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3017, Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants); 7 CFR 3018, New Restrictions on Lobbying; 7 CFR 3019, Uniform Federal Assistance Regulations for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 7 CFR 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Regional or Local Office:**

Consult Appendix IV of the Catalog for addresses of regional offices of the Animal and Plant Health Inspection Service.

**Headquarters Office:**

Agreement Services Center, Marketing and Regulatory Programs, Animal and Plant Health Inspection Service, USDA Center, 4700 River Road, Unit 55, Riverdale, MD 20737. Contact Anita S. Ridley. Telephone: (301) 734-8792.

**Web Site Address:**

<http://www.aphis.usda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.028, Wildlife Services; 10.202, Cooperative Forestry Research; 10.207, Animal Health and Disease Research; 10.215, Sustainable Agriculture Research and Education; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry Research; 10.800, Livestock, Meat and Poultry Market Supervision; 10.902, Soil and Water Conservation; 12.100, Aquatic Plant Control; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:**

The National Animal Health Monitoring System (NAHMS) is designed to provide local, State, and national information on animal disease problems throughout the United States. The National Plant Pest Survey and Detection Program (NAPPSD) coordinates and standardizes a nationwide survey and detection system for exotic and endemic plant pests of agricultural importance.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to agency program mission and qualification of principal investigator and institution.

**10.028 WILDLIFE SERVICES****FEDERAL AGENCY:**

ANIMAL AND PLANT HEALTH INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Animal Damage Control Act of 1931, 7 U.S.C. 426, 426b, 426c, as amended.

**OBJECTIVES:**

To reduce damage caused by mammals and birds and those mammal and bird species that are reservoirs for zoonotic diseases, (except for urban rodent control through control and research activities). Wherever feasible, humane methods will be emphasized.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Works closely with State departments of fish and game, agriculture, health, and counties in joint efforts to alleviate wild animal damage. Conduct surveys, campaigns to reduce wild animal damage including bird problems at airports, develop methods to control wild animal damage, and provide technical advice and assistance. For direct technical assistance, State fish and game departments should be contacted.

**Applicant Eligibility:**

State and local governments, federally recognized Indian tribal governments, public/private nonprofit organizations, nonprofit institutions of higher education, and individuals.

**Beneficiary Eligibility:**

States, local jurisdictions, U.S. Territorial government agencies, federally recognized Indian tribal governments, public and private institutions and organizations, farmers, ranchers, agricultural producers, and land/property owners benefit from Federal assistance in the control of nuisance mammals and birds and those mammal and bird species that are reservoirs for zoonotic diseases, except for urban rodent control.

**Credentials/Documentation:**

Curriculum vitae for principal investigator, except for State, local, and Territorial government cooperators.

**Preapplication Coordination:**

A letter from applicants seeking support or cooperation with the Animal and Plant Health Inspection Service. Applicants must indicate the nature and severity of the problem to be considered, and explain how they will address the problem. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Comply with E.O. 12372, "Intergovernmental Review of Federal Programs," and submit a completed Standard Form 424.1, "U.S. Department of Agriculture, Application for Federal Assistance (Non-construction)" and project proposal (work plan), financial plan, curriculum vitae, and other required certifications to the appropriate APHIS area, regional, or headquarters office. See Regional and Local Office Address Listing.

**Award Procedure:**

Applications are approved by the Administrator or authorized departmental officers (ADO's) upon determination that the project will contribute toward accomplishment of the Agency's overall mission and meet any established project evaluation/selection criteria.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Based on program needs and availability of annual funding.

**Formula and Matching Requirements:**

Recipients share some project or program costs. The cost-sharing arrangements are developed between USDA and the recipients in advance of the program unless otherwise stated by Congress.

**Length and Time Phasing of Assistance:**

Up to one year from the date of award.

**Reports:**

Requirements are specifically indicated in the award documents and may vary for given programs; however, quarterly financial reports, annual progress reports, final financial and final summary progress reports are generally required.

**Audits:**

In accordance with the provisions of OMB Circular No A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No A-133.

**Records:**

Instruction provided in the Notice of Award. Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1600-0-1-352.

**Obligations:**

(Grants) FY 07 \$365,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3017, Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug- Free Workplace (Grants); 7 CFR 3018, New Restrictions on Lobbying; 7 CFR 3019, Uniform Federal Assistance Regulations for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 7 CFR 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Agreements Services Center, Marketing and Regulatory Programs, Animal and Plant Health Inspection Service, USDA Center, 4700 River Road, Unit 55, Station 4B80, Riverdale, MD 20737. Contact Anita S. Ridley. Telephone: (301) 734-8792.

**Web Site Address:**

<http://www.aphis.usda.gov>.

**RELATED PROGRAMS:**

10.025, Plant and Animal Disease, Pest Control, and Animal Care; 10.652, Forestry Research; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:**

In the western States, Wildlife Services (WS) conducts traditional predator control programs including Control of coyote, mountain lion, and bear. An aerial blackbird hazing operation is conducted to protect the sunflower crop. In the eastern and southern States, WS conducts operations to control beaver, deer, and cormorant damage to aquaculture. An operational program is under way in the Delta States to reduce wildlife/agriculture conflicts.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to agency program mission and qualification of principle investigator and institution.

**10.029 AVIAN INFLUENZA INDEMNITY PROGRAM**

(AII)

**FEDERAL AGENCY:**

ANIMAL AND PLANT HEALTH INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

9 CFR part 53.

**OBJECTIVES:**

The Animal and Plant Health Inspection Service (APHIS) of the United States Department of Agriculture (USDA) administers regulations at 9 CFR part 53 that provide for the payment of indemnity to owners of animals that are required to be destroyed because of foot-and-mouth disease, pleuropneumonia, rinderpest, exotic Newcastle disease, highly pathogenic avian influenza, infectious salmon anemia, or any other communicable disease of livestock or poultry that, in the opinion of the Secretary of Agriculture, constitutes an emergency and threatens the U.S. livestock or poultry population. Payment for animals destroyed is to be based on the fair market value of the animals.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Identifiable pathogenic avian influenza associated with a disease situation in a poultry operation.

**Beneficiary Eligibility:**

Poultry owners and contract growers.

**Credentials/Documentation:**

In the case of claims made under Sec. 53.11, claims for compensation for losses from poultry, eggs, and poultry semen destroyed or to be destroyed must be presented to APHIS, through the inspector in charge, on a form approved by the Administrator. The claim must specify the number, type, and age of the poultry; the number and type of eggs; and the type and amount of semen, as applicable.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Claims for compensation for losses from poultry, eggs, and poultry semen destroyed or to be destroyed must be presented to APHIS, through the inspector in charge, on a form approved by the Administrator.

**Award Procedure:**

None.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

1 to 30 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Compensation to Contract Growers: Per bird payment based on the average per bird company grower payment received during the previous year's production x the number of birds depopulated (based on company and grower records) = estimated grower payment if the disease situation hadn't occurred - any company grower payment already received = grower compensation. Compensation to Owners: Compensation value per bird (based on tables included in the compensation plan) x the number of birds depopulated = the total bird value loss + cost to owners of destruction and disposal of birds x 50 percent = total compensation for birds, destruction, and disposal - grower compensation = net owner compensation from the Department.

**Length and Time Phasing of Assistance:**

Payment is made by check or direct deposit after determining applicant eligibility.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, U.S. Department of Agriculture.

**Records:**

Poultry owners and contract growers or any other individual or entity receiving payments for this program shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payments were made.

**Account Identification:**

12-4336-0-1-554.

**Obligations:**

(Includes CCC transfer funds) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The compensation plan for growers allows for Federal payment of 100 percent of eligible losses suffered by a grower, up to the amount that the owner of the poultry is eligible to receive before grower compensation is deducted.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to poultry owners and contract growers in the county. Regulations published in 9 CFR part 53.

**Regional or Local Office:**

FSA state offices can inform applicants of county office locations where applicants may apply for assistance.

**Headquarters Office:**

U.S. Department of Agriculture, Animal and Plant Health Inspection Service, 1400 Independence Avenue, SW, Washington, DC 20250.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All poultry owners and contract growers meeting eligibility requirements may receive assistance. Applications are non-competitive.

**10.051 COMMODITY LOANS AND LOAN DEFICIENCY PAYMENTS**

(Price Supports)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Adjustment Act of 1938, 7 U.S.C. 1301-1393, Public Law 75-430; Commodity Credit Corporation Charter Act, as amended, 15 U.S.C. 714 et. seq.;

Agricultural Act of 1949, as amended, 7 U.S.C. 1421, et. seq., Public Law 81-439, as amended; Food Security Act of 1985, Public Law 99-198, as amended; Joint Resolution Making Appropriations for Government Agencies for Fiscal Year 1987, Public Laws 99-500 and 99-591; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203; Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624; Omnibus Budget Reconciliation Act of 1990, Public Law 101- 508; Omnibus Budget Reconciliation Act of 1993, Public Law 103-66; National Wool Act Amendments of 1993, Public Law 103-130; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; Agriculture, Rural Development, Food and Drug Administration and Related Agencies Appropriations Act, Public Law 106-78; Agricultural Risk Protection Act of 2000, Public Law 106-224; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001, Public Law 106-387.

**OBJECTIVES:**

To improve and stabilize farm income, to assist in bringing about a better balance between supply and demand of the commodities, and to assist farmers in the orderly marketing of their crops.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Direct Loans.

**USES AND USE RESTRICTIONS:**

Loans and loan deficiency payments (LDP's) give farmers a means of promoting more orderly marketing. Loans to producers may be "nonrecourse" which means that producers have the option of forfeiting the collateral to CCC at loan maturity in full satisfaction of the loan obligation; or "recourse" for low quality grain, or un-ginned seed cotton, which means that producers must repay the loans by maturity." If market prices are above the support level producers may repay their loans at the original loan principal plus interest and market their commodities. When market prices are low, most nonrecourse commodity loan repayments are less than the original loan principal plus interest. Eligible commodities for loans are feed grains, wheat, rice, peanuts, tobacco, upland cotton, extra-long staple cotton, sugar, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, and sunflower seed. LDP's are offered for feed grains, wheat, upland cotton, rice, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, and sunflower seed. If the loan repayment rates for these commodities are less than the established loan levels, producers may, for most commodities that are eligible for a nonrecourse loan, agree to forego such loan and elect to receive an LDP. The LDP payment rate equals the amount by which the loan rate exceeds the loan repayment rate in effect at the time the LDP application is approved, or the delivery date for commodities delivered directly to processor, buyer, or warehouse from the field. LDP's and any gain realized from repaying a loan at a level lower than the original loan level are subject to a \$75,000 per "person" payment limitation, except for crops produced in 1999, for which the payment limitation is \$150,000 per "person".

**Applicant Eligibility:**

Owner, landlord, tenant, or sharecropper on an eligible farm that has produced the eligible commodities or, in the case of sugar, a processor or refiner who meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:**

Owner, landlord, tenant, or sharecropper on a farm that has produced the eligible commodities, meets program requirements as announced by the Secretary, and maintains beneficial interest in the commodity.

**Credentials/Documentation:**

Record of farming operation must be on file in the FSA county office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

In the case of warehouse-stored commodities, producer or Cooperative Marketing Association presents warehouse receipts to the FSA county office (warehouse-stored peanut and tobacco loans are made through producer associations). In the case of farm-stored commodities (including sugar), producer/processor or Cooperative Marketing Association requests a loan at the FSA county office. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Applications are approved by the FSA upon determination that applicant and commodity are eligible.

**Deadlines:**

Loans and LDP's are available for wheat, barley, oats, canola, flaxseed, crambe, and rapeseed and loans are available for quota peanuts pledged as collateral for farm-stored loans through March 31 of the year following the year in which the crop is normally harvested. Loans and LDP's are available for rice, corn, grain sorghum, cotton, soybeans, safflower, sunflower seed and mustard seed through May 31 of the year following the year in which the crop is normally harvested. Loans are available for sugar through September 30.

**Range of Approval/Disapproval Time:**

Approximately 3 days.

**Appeals:**

Applications may be reviewed by county, State, or national offices.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Assistance is generally available for 9 months or less, and is normally disbursed on a lump-sum basis.

**Reports:**

Necessary loan documents will be held at the county FSA office.

**Audits:**

Periodic and required spot checks of farm-stored grain will be made by the county FSA office. Recipients are subject to audit by Office of Inspector General, USDA.

**Records:**

Not applicable.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Commodity Loans and Loan Deficiency Payments) FY 07 \$9,493,383,881; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Direct payments (Purchases): Range and average not available. Loans: \$162 to \$1,006,400. Average: \$22,959.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations published in the Federal Register 7 CFR, Chapter XIV, Parts 1421, 1425, 1427, 1430, 1434, 1435, 1446, and 1464; announcements issued to news media and letters to producers; " FSA Commodity Fact Sheets, " no cost: The Price Support Program," BI-4-USDA, no cost; Farm Service Agency, Department of Agriculture, STOP 0532, 1400 Independence Avenue S.W., Washington, DC 20250-0532.

**Regional or Local Office:**

Consult the local telephone directory for location of the FSA county office. If no listing, get in touch with appropriate FSA State office listed under the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Price Support Division, STOP 0512, 1400 Independence Avenue S.W., Washington, DC 20250-0512. Telephone: (202) 720-7901.

**Web Site Address:**

<http://www.fsa.usda.gov> .

**RELATED PROGRAMS:**

10.155, Marketing Agreements and Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.053 DAIRY INDEMNITY PROGRAM

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Act of 1970, Title II, Section 204, Public Law 90-484, as amended, 7 U.S.C. 450j; Public Law 91-524; Agriculture and Consumer Protection Act of 1973, as amended, Public Law 93-86; Food and Agriculture Act of 1977, as amended, Public Law 95-113; Food and Agriculture Act of 1981, Public Law 97-98; Food Security Act of 1985, as amended, Title I, Public Law 99-198; Public Laws 99-190 and 99-349; Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624, as amended; Public Laws 104-37, 104-180, 105-86, 105-277, 106-78 and 106-387.

**OBJECTIVES:**

To protect dairy farmers and manufacturers of dairy products who through no fault of their own, are directed to remove their milk or dairy products from commercial markets because of contamination from pesticides which have been approved for use by the Federal government. Dairy farmers can also be indemnified because of contamination with chemicals or toxic substances, nuclear radiation or fallout.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Fair market value for the milk is paid to the dairy farmer who is unable to market because of any of the violating substances, and the fair market value of the dairy product is paid to the manufacturer who is unable to market because of pesticide residue. No payment may be made to any dairy farmer or any manufacturer whose milk or dairy product was removed from the market as a result of his negligence or his willful failure to follow procedures prescribed by the Federal government.

**Applicant Eligibility:**



Dairy farmers whose milk has been removed from the market by a public agency because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is also available in Puerto Rico.

**Beneficiary Eligibility:**

Dairy farmers whose milk has been removed from the market by a public agency because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is available in Puerto Rico.

**Credentials/Documentation:**

In the case of a dairy farmer, the notice removing the milk from the market along with a record of past marketing records for milk to determine the quantity and value of the milk not marketed, the violating substance involved and the uses of such violating substances during the previous 24 months. In the case of the manufacturer of dairy products, the notice removing the product from the market and sufficient data to determine the value of the product. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Producers must file an application for payment on Form FSA-373 with the local county FSA office. Manufacturers must file information on the cause and amount of their loss with the local county FSA office. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Initial approval is made by the county FSA committee. Final approval is made by the Price Support Division in Washington, DC.

**Deadlines:**

Claims must be filed by December 31 following the fiscal year in which the loss is incurred.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Applicants may appeal to the county Farm Service Agency Committee and to the FSA, U.S. Department of Agriculture, Appeals and Litigation Group, 1400 Independence Avenue, SW., Washington, DC 20250-0570.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Payment is made by Commodity Credit Corporation (CCC) check after claim approval.

**Reports:**

None.

**Audits:**

Recipients are subject to audit by Office of Inspector General, USDA.

**Records:**

The dairy farmer and the manufacturer of dairy products must keep any records in applying for a payment for 3 years following the year in which an application for payment was filed.

**Account Identification:**

12-3314-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$88 to \$95,000; \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations were published in the Federal Register, 7 CFR, 760, and announced through the news media, Handbook 3-LD, Circulars and regulations issued by FSA.

**Regional or Local Office:**

Consult the local telephone directory for location of the county FSA office. If no listing, contact the appropriate State FSA office listed under the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, 1400 Independence Avenue, SW., Washington, DC 20250-0512. Telephone: (202) 720-7641.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.500, Cooperative Extension Service.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.054 EMERGENCY CONSERVATION PROGRAM

(ECP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Credit Act of 1978, Title IV, Public Law 95-334, 16 U.S.C. 2201-2205, as amended.

**OBJECTIVES:**

To enable farmers to perform emergency conservation measures to control wind erosion on farmlands, to rehabilitate farmlands damaged by wind erosion, floods, hurricanes, or other natural disasters and to carry out emergency water conservation or water enhancing measures during periods of severe drought.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Following a natural disaster, the county FSA committee determines, with concurrence from the State FSA committee, to make the program available in the county. Emergency cost-sharing is limited to new conservation problems created by natural disasters which, if not treated will impair or endanger the land, materially affect the productive capacity of the land, represent damage that is unusual in character and, except for wind erosion, is not the type that would recur frequently in the same area and will be so costly to rehabilitate that Federal assistance is or will be required to return the land to productive agricultural use. Eligible drought situations for water enhancing measures must be determined by the Deputy Administrator for Farm Programs, FSA.

**Applicant Eligibility:**

Any agricultural producer who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, and bears a part of the cost of an approved conservation practice in a disaster area, is eligible to apply for cost-share conservation assistance. This program is also available in Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:**

Any agricultural producer who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, and bears a part of the cost of an approved conservation practice in a disaster area, is eligible to apply for cost-share conservation assistance. This program is also available in Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

**Credentials/Documentation:**

Identification as an eligible person and proof of contribution to the cost of performing the conservation practice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Eligible persons may submit an application on Form AD-245, for cost-sharing, at the county FSA office for the county in which the affected land is located. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

The county FSA committee reviews, prioritizes, and may approve applications in whole or in part. Approvals cannot exceed the county allocation of Federal funds for that purpose.

**Deadlines:**

Applications for payment must be filed with the county FSA committee by a prescribed date. The conservation practice for which cost-shares have been approved must be completed during the program year, within the time specified by the county FSA committee, and such performance reported to the county office within a specified time.

**Range of Approval/Disapproval Time:**

From 2 to 3 weeks.

**Appeals:**

Participants may appeal to county FSA committee, State FSA committee, or National Appeals Division (NAD) on any determination. Matters that are generally applicable to all producers are not appealable.

**Renewals:**

Certain approvals may be extended by the FSA county committee, when necessary, with proper justification.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Practice cost-share approvals are given on a fiscal year basis. The approvals specify the time that the practice must be carried out. Payment is by check or electronic funds transfer following completion of the measure.



**Reports:**

Not applicable.

**Audits:**

Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in the county FSA office and Federal record centers for a specified number of years.

**Account Identification:**

12-3316-0-1-453.

**Obligations:**

(Direct payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50 to \$64,000; \$2,681.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations published in the Federal Register at 7 CFR, Part 701. Program is announced through the news media in the county area designated as a disaster area.

**Regional or Local Office:**

Farmers are advised to contact their local county FSA office after a natural disaster has occurred to determine whether the program is available in the county and to determine eligibility for emergency cost-share assistance. Consult the local telephone directory for location of the county FSA office. If no listing, get in touch with the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

USDA/FSA/CEPD, Stop 0513, 1400 Independence Ave., SW., Washington, DC 20250-0513. Telephone: (202) 720-6221.

**Web Site Address:**

<http://www.fsa.usda.gov>

**RELATED PROGRAMS:**

10.404, Emergency Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.055 DIRECT AND COUNTER-CYCLICAL PAYMENTS PROGRAM

(DCP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002 (2002 Farm Bill).

**OBJECTIVES:**

To provide income support to eligible producers of covered commodities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

With respect to Fiscal Year 2002 payments, CCC will offer to enter into a contract with eligible producers of covered commodities on October 1, 2002 through the date announced by CCC. With respect to Fiscal Years 2003 through 2007, CCC shall offer to annually enter into a contract with an eligible producer on a farm having base acreage with respect to a covered commodity at the beginning of each such fiscal year 2003 through 2007 through the date announced by CCC for each such year.

**Applicant Eligibility:**

To be eligible for payments under DCP, owners, operators, landlords, tenants, or sharecroppers must (1) share in the risk of producing a crop on base acres on a farm enrolled in DCP, and be entitled to share in the crop available for marketing from the base acres, or would have shared had a crop been produced; (2) annually report the use of the farm's cropland acreage; (3) comply with conservation and wetland protection requirements on all of their land; (4) comply with planting flexibility requirements; (5) use the base acres for agricultural or related activities; and (5) protect all base acres from erosion, including providing sufficient cover as determined necessary by the county FSA committee, and control weeds.

**Beneficiary Eligibility:**

DCP provides payments to eligible producers on farms enrolled for the 2002 through 2007 crop years.

**Credentials/Documentation:**

As a condition of eligibility for direct and counter-cyclical payments, the operator or owner must submit a report of all cropland acreage on the farm. Reports of production evidence for all covered commodities shall be provided to the county committee of the county where the farm is administratively located, by farm and crop in such manner as required by CCC on a CCC-approved standard, uniform form designated by CCC. When disposition of production has

been through commercial channels, CCC may require the producer to furnish documentary evidence in order to verify the information provided on the report of production.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

The CCC-509 must be submitted. The following documents are required and applicable determinations must be made before the county committee can approve a producer's share on the CCC-509 for payment: (1) a farm operating plan (CCC-502 and related forms); (2) an average adjusted gross income certification (CCC-526); (3) a certification of compliance with highly erodible land and wetland conservation provisions (AD-1026). A certification of the acreage of all cropland on the farm (FSA-578) is needed before final payments can be issued.

**Award Procedure:**

Producers may elect to receive their direct payments in two installments per year: (1) the first payment, available in December of the fiscal year, is up to 50 percent of the total payment; (2) the balance of the total direct payment is available in October of the fiscal year after the fiscal year the payment is earned. Producers who do not elect to take the first direct payment will receive the entire direct payment at this time. Producers may elect to receive up to three counter-cyclical payments per year: (1) first partial payments are available in October of the calendar year in which the crop is harvested. These payments cannot exceed 35 percent of the total projected payment; (2) second partial payments, up to 70 percent of the projected payment, minus the amount of the first partial payment, are available the following February (the year after the crop is harvested); (3) final payments are made after the end of the marketing year for the crop. Producers who do not elect to take the first and second advance payments will receive the entire counter-cyclical payment at this time.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

Approval of payments depends on farmer compliance with conservation and wetland protection requirements on all of the producers' farms, planting flexibility requirements and other eligibility requirements mentioned above, and is fairly routine and prompt.

**Appeals:**

A producer may obtain reconsideration and review of any adverse determination made under this part in accordance with the appeal regulations found at parts 11 and 780 of Title 7 Agriculture.

**Renewals:**

Farm producers must apply for DCP on an annual basis and can opt out of participating in DCP for any year if they so choose.

**Formula and Matching Requirements:**

For each covered commodity, the direct payment for each crop year equals 85 percent of the farm's base acreage times the farm's direct payment yield times the direct payment rate. For each covered commodity, the counter-cyclical payment for each crop year equals 85 percent of the farm's base acreage times the farm's counter-cyclical payment yield times the counter-cyclical payment rate.

**Length and Time Phasing of Assistance:**

The DCP payment schedule for 2002 and 2003 crop years is in the hyperlink provided below. The payment schedule for the 2004-2007 crop years parallels the schedule for the 2003 crop year.

<http://www.fsa.usda.gov/pas/publications/facts/html/dcp03.htm>.

**Reports:**

A certification of the acreage of all cropland on the farm (FSA-578) is needed before final payments can be issued.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

An owner or any other individual or entity receiving assistance for DCP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

Direct Payments: FY 07 \$4,357,871,511.55; FY 08 est not available; and FY 09 est not reported. Counter-Cyclical Payments: FY 07 \$3,765,561,623; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the counties. Regulations published in the Federal Register, 7 CFR

Part 1412.

**Regional or Local Office:**

Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

U.S. Department of Agriculture, Farm Service Agency, Production Emergencies and Compliance Division, Compliance Branch, 1400 Independence Ave. SW., Washington DC 20250-0514. Telephone: (202) 720-9882.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance. Applications are non-competitive.

## 10.056 FARM STORAGE FACILITY LOANS

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

15 U.S.C. 714, et seq.

**OBJECTIVES:**

To encourage the construction of on farm grain storage capacity and to help farmers adapt to identify preserved storage and handling requirements for genetically enhanced production.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Loans are used to finance the purchase and construction of new storage structures, handling equipment and drying equipment, and to finance the remodeling of existing storage structures. The loan amount is limited to \$100,000 times the number of borrowers liable for each loan.

**Applicant Eligibility:**

An eligible borrower is any person who, as landowner, landlord, operator, producer, tenant, leaseholder, or sharecropper: (1) Has a satisfactory credit history and demonstrates an ability to repay the debt arising under this program using a financial statement acceptable to CCC prepared within 90 days of the date of application; (2) has no delinquent Federal debt defined by the Debt Collection Improvement Act of 1996 at the time of loan disbursement; (3) is a producer of a facility loan commodity as defined by CCC; (4) demonstrates a need for increased storage capacity as defined by CCC if the applicant is applying for a loan for a storage structure; (5) provides proof of crop insurance offered under the Federal Crop Insurance Program for crops of economic significance on all farms operated by the borrower in the county where the storage facility is located; (6) is in compliance with USDA provisions for highly erodible land and wetlands provisions according to 7 CFR Part 12; (7) demonstrates compliance with any applicable local zoning, land use, and building codes for the applicable farm storage facility structures; (8) provides proof of flood insurance if CCC determines such insurance is necessary to protect the interests of CCC, and proof of all peril structural insurance, to CCC annually; (9) demonstrates compliance with the National Environmental Policy Act regulations at 40 CFR, Parts 1500- 1508; and (10) has not been convicted under Federal or State law of a controlled substance violation under 7 CFR Part 718.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria. Landowners, landlords, operators, producers, tenants, leaseholders, or sharecroppers are the beneficiaries.

**Credentials/Documentation:**

Applicants must establish that they have a need for additional storage capacity. The applicant must establish that he has the ability to repay the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Application Form CCC-185 provided by the Farm Service Agency must be presented, with supporting information, to the FSA county office serving the applicant's county. FSA personnel assist applicants in completing their application forms. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

FSA State and County Committees are authorized to approve these loans after applicants are determined eligible.

**Deadlines:**

Applications must be filed at least 15 calendar days in advance of the day when the FSA County Committee meets. Loan approvals by the FSA County Committee expire 4 months after the approval date unless extended for up to another 4 months.

**Range of Approval/Disapproval Time:**

The approval process may take from 2 to 6 weeks.

**Appeals:**

Applicants for loans may appeal adverse actions taken against them. The applicant is given an opportunity to appeal the decision to the National Appeals Division.

**Renewals:**

The loan term is 7 years. The term of the loan may not be extended. The loan is repaid in equal annual installments of principal and interest amortized over the loan term.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The amount of the loan is determined after construction takes place. A 15 percent down payment is required. The loan is disbursed by check as soon as the cost is determined, all loan documents have been prepared and all security documents have been filed.

**Reports:**

Borrowers are required to maintain the collateral in good condition and to keep property taxes and insurance current.

**Audits:**

Collateral is inspected by CCC annually.

**Records:**

Borrowers are required to annually submit proof of crop insurance, flood insurance (if applicable), hazard insurance, and property taxes.

**Account Identification:**

12-4158-0-3-351; 12-3301-0-1-351.

**Obligations:**

(Direct Loans) FY 07 est \$1,238,327; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$1000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(1) A fact sheet, press release, forms, and directives are available. Regulations at 7 CFR Part 1436 were first published in the Federal Register under an interim rule on May 11, 2000. After comments were evaluated, regulations at 7CFR Part 1436 were revised with the publication of a final rule on January 18, 2001.

**Regional or Local Office:**

Consult the appropriate FSA State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Farm Service Agency, Director, Price Support Division, 14th and Independence Ave., SW., Washington, DC 20250. Telephone: (202) 720-7935.

**Web Site Address:**

<http://www.fsa.usda.gov/dafp/psd/FSFL.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.066 LIVESTOCK ASSISTANCE PROGRAM

(LAP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001, Public Law 106-387.

**OBJECTIVES:**

To provide direct payments to eligible livestock producers who suffered grazing losses due to drought, hot weather, disease, insect infestation, fire, hurricane, flood, fire, earthquake, severe storm, or other disasters during the 2000 crop year. Benefits will be provided to eligible livestock producers only in those counties where a severe natural disaster occurred. A county must have been approved as a primary disaster area under a Secretarial disaster designation or Presidential disaster declaration after January 1, 2000, and subsequently approved for participation in the Livestock Assistance Program (LAP) by the Deputy Administrator for Farm Programs.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

LAP provides direct payments to eligible livestock producers who suffered 40 percent or greater grazing loss for three or more months due to a natural disaster.

There are no use restrictions on the benefits received under this program.

**Applicant Eligibility:**

An applicant must meet all of the following conditions as determined by the approving official: (1) May not have total annual gross revenue in excess of \$2.5 million; (2) must have grazing land in a county or parish or part of a county or parish approved for LAP; and (3) suffered a 40 percent or greater grazing loss for 3 consecutive months during the LAP payment period approved for the county. An applicant must also be an established livestock producer who is: (1) Actively engaged in farming; (2) a citizen of, or legal resident alien in the United States; (3) a farm cooperative, private domestic corporation, partnership, or joint operation in which a majority interest is held by the members, stockholders, or partners who are citizens of, or legal resident alien of the United States; (4) any Indian tribe or tribal organization of the Indian Self-Determination and Education Assistance Act; (5) any organization under the Indian Reorganization Act or Financing Act; and (6) any economic enterprise under the Indian Financing Act of 1974.

**Beneficiary Eligibility:**

An applicant must meet all of the following conditions as determined by the approving official: (1) May not have total annual gross revenue in excess of \$2.5 million; (2) payment limitation for 2000 LAP benefits is \$40,000 per person as determined according to 7 CFR Part 1439, and 1-PL, Part 4; (3) be actively engaged in farming with at least 10 percent of gross revenue derived from production of livestock; (4) must have grazing land in a county or parish or part of a county or parish approved for LAP; and (5) suffered a 40 percent or greater grazing loss for 3 consecutive months during the LAP payment period approved for the county. An applicant must also be an established livestock producer who is: (1) Actively engaged in farming; (2) a citizen of, or legal resident alien in the United States; (3) a farm cooperative, private domestic corporation, partnership, or joint operation in which a majority interest is held by the members, stockholders, or partners who are citizens of, or legal resident alien of the United States; (4) any Indian tribe or tribal organization of the Indian Self-Determination and Education Assistance Act; (5) any organization under the Indian Reorganization Act or Financing Act; and (6) any economic enterprise under the Indian Financing Act of 1974.

**Credentials/Documentation:**

Applicants must certify: (1) Percent of grazing losses for each type of grazing, number of eligible livestock and date of ownership during the payment period by livestock type and weight class, and number of grazing acthat support eligible livestock; (2) that annual gross revenue is not in excess of \$2.5 million; and (3) derives at least 10 percent of gross revenue from the production of livestock.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants visit the county or parish Farm Service Agency (FSA) office in the eligible county or parish to make application, certify eligibility and report percent of grazing loss, number of grazing acres, and number of eligible livestock by type and weight on Form CCC-740.

**Award Procedure:**

LAP 1999 all application data was uploaded by computer to the FSA national data processing center in Kansas City, MO on February 25, 2000. Totals were tabulated to determine if authorized funding would be exceeded. Based upon the number of applicants and total dollar value of applications, a national payment factor of .46 was established. This factor is being applied to all calculated payments before issuance to the producer. The 2000 LAP factor will be determined at a later date.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

Unknown at this time.

**Appeals:**

Applicants may appeal to the county and State FSA committees and to the National Appeals Division. Producers' grazing losses in excess of the maximum grazing loss for the county are not appealable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Formula and matching requirements are not considered under this program.

**Length and Time Phasing of Assistance:**

Payment is made by check or direct deposit after determining applicant eligibility.

**Reports:**

There are no reports due for post assistance requirements under this program.

**Audits:**

Recipients under these programs are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

Livestock producers or any other individual or entity receiving assistance for LAP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the

calendar year in which assistance was provided.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments) FY 07 \$326,774,990; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance which may be received by an individual applicant. The national "person" limit (before national factoring) is \$40,000. In 2001: \$10 to \$40,000; \$875. For the 2002 LAP unknown at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR Part 1439. Agency procedures are listed in Handbook 1-DAP. LAP Fact Sheet may be located on line at <http://www.fsa.usda.gov/pas/publications/facts/pubfacts.htm>.

**Regional or Local Office:**

Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Production, Emergencies, and Compliance Division, Emergency Preparedness and Program Branch, Stop 0517, 1400 Independence Avenue SW., Washington, DC 20250-0517. Telephone: (202) 720-7641.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.054, Emergency Conservation Program; 10.404, Emergency Loans; 10.450, Crop Insurance; 10.451, Noninsured Assistance; 10.452, Disaster Reserve Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance subject to the national payment factor. Applications are non-competitive.

## 10.069 CONSERVATION RESERVE PROGRAM

(CRP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food Security Act of 1985, Title XII, Public Law 99-198, as amended; Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127.

**OBJECTIVES:**

To protect the Nation's long-term capability to produce food and fiber; to reduce soil erosion and sedimentation, improve water quality, and create a better habitat for wildlife.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Eligible owners or operators may place highly erodible or other environmentally sensitive land into a 10-15 year contract. The participant, in return for annual payments, agrees to implement a conservation plan approved by the local conservation district for converting highly erodible cropland or other environmentally sensitive land to a long-term resource conserving cover i.e., eligible land must be planted with a vegetative cover, such as, perennial grasses, legumes, fobs, shrubs, or trees. The participant agrees to reduce the aggregate total of allotments and quotas by an amount based on the ratio of the total cropland acreage on each farm, to the total acreage on each farm subject to the CRP contract. Financial and technical assistance are available to participants to assist in the establishment of a long-term resource conserving cover.

**Applicant Eligibility:**

An individual, partnership, association, Indian Tribal ventures corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, a political subdivision of a State, or any agency thereof may submit an offer to enroll acreage.

**Beneficiary Eligibility:**

If their offer is accepted for enrollment, an individual, partnership, association, Indian Tribal ventures, corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, political subdivision of State, or any agency thereof may earn benefits.

**Credentials/Documentation:**



The land must be owned or operated for not less than 12 months prior to the close of the signup period, unless the land was acquired by will or succession or FSA determines that ownership was not acquired for the purpose of placing the land in the CRP. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An environmental impact assessment has been prepared for this program. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

FSA has three methods for enrolling acreage in the CRP. One method is a continuous signup process where acreage suitable for certain environmental priority practices, including but not limited to grass waterways, riparian buffers or filterstrips, and acreage within wellhead protection areas may be offered and accepted without going through a competitive offer process. The second method is similar to continuous signup and is available only in distinct geographic areas. These areas are targeted by FSA and State governments under partnership agreements. The third method is to offer acreage during a general signup period where eligible offers to enroll highly erodible and other environmentally sensitive acreage are submitted and ranked competitively based on an environmental benefits index. Regardless of the method of enrollment, the local FSA office that serves the area in which the farm or ranch is located will provide the maximum payment rate CCC will accept to enroll certain acreage in the program. Producers may submit a rental rate per acre offered that may be equal to or less than CCC's maximum payment rate. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

FSA will notify persons whose offers are determined acceptable as soon as practicable after the close of the signup.

**Deadlines:**

The offer must be filed at the county FSA office by the end of the announced signup period.

**Range of Approval/Disapproval Time:**

From 7 to 120 days.

**Appeals:**

Producers may appeal any determination to county FSA committee, State committee, or National Appeals Division. Matters that are generally applicable to all producers are not appealable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Annual rental payments in cash or generic commodity certificates will be made for 10-15 years. If cost-share assistance to establish the appropriate cover was requested, a payment will be made after the practice is successfully established according to applicable guidelines. FSA may provide certain incentives for restoring wetlands or other lands.

**Reports:**

None.

**Audits:**

Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in county FSA office and Federal Record centers for a specified number of years.

**Account Identification:**

12-3319-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Direct Payments) Financial Assistance: FY 07 \$1,969,880,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50 to \$50,000; \$4,000.

**PROGRAM ACCOMPLISHMENTS:**

Currently, approximately 33.5 million acres are enrolled in the CRP. Each contract covers an average of 74 acres with an average rental rate of \$45.95 per acre. This is based on the latest actual data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR part 1410.

**Regional or Local Office:**

Consult the local telephone directory for location of the county FSA office, under U.S. Government, U.S. Department of Agriculture. If no listing, contact the appropriate State FSA office listed in the FSA section of Appendix IV of the Catalog.

**Headquarters Office:**

USDA/FSA/CEPD, Stop 0513, 1400 Independence Avenue, SW., Washington, DC 20250-0513. Telephone: (202) 720-6221.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.054, Emergency Conservation Program; 10.064, Forestry Incentives Program; 10.072, Wetlands Reserve Program; 10.901, Resource Conservation and Development; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

County FSA offices will provide producers the maximum acceptable rental rate for the acreage offered. All offers submitted under a general signup will be screened at both the local and national level to determine the suitability of the acreage and acceptability of the rental rate offered. In addition, offers will be evaluated in terms of cost for the environmental benefits obtained. Acres accepted will be limited to the Secretary's authority to maintain 36.4 million acres or less as determined by the Secretary.

**10.070 COLORADO RIVER BASIN SALINITY CONTROL PROGRAM**

(CRBSCP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Colorado River Basin Salinity Control Act of 1974, as amended, Section 202c of Title II, 43 U.S.C. 1592c; Section 201, Public Law 93-320, 88 Stat. 271; Section 2, Public Law 98-569, 98 Stat. 2933, 43 U.S.C. 1592(c).

**OBJECTIVES:**

To provide financial and technical assistance to: (1) Identify salt source areas; (2) develop project plans to carry out conservation practices to reduce salt loads; (3) install conservation practices to reduce salinity levels; (4) carry out research, education, and demonstration activities; (5) carry out monitoring and evaluation activities; and (6) to decrease salt concentration and salt loading which causes increased salinity levels within in the Colorado River and to enhance the supply and quality of water available for use in the United States and the Republic of Mexico.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Eligible owners or operators in approved project areas may receive cost-share assistance to treat salinity problems caused by agricultural irrigation activities.

**Applicant Eligibility:**

A participant may be any of the following: an owner, landlord, operator, or tenant of eligible lands: Individual, Indian tribe, partnership, firm, association, corporation, joint stock company, conservation district, estate, trust, irrigation district or company, and State or local public or nonpublic entity not described above.

**Beneficiary Eligibility:**

Any person in the Colorado River basin will benefit who uses or reuses water for irrigation, domestic, municipal or industrial water supply or for fish and wildlife habitat.

**Credentials/Documentation:**

Any eligible landowner or operator who controls land in an identified salt source area is eligible to apply for cost-share assistance. This program is currently available in Mesa, Delta, Montezuma, and Montrose counties, Colorado; Duchesne and Uintah counties, Utah; Sweetwater county, Wyoming. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible persons may make application on Form SCS-LTP-001. CRSC contracts may be requested during sign-up periods throughout the year at the local NRCS office in the county where the land is located. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The designated project Contracting officer may approve applications within the project allocation of Federal funds for cost-share assistance.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Participants may appeal any determination to the National Appeals Division, Washington, DC.



**Renewals:**

Certain practice approvals may be extended by the contracting Offices.

**Formula and Matching Requirements:**

Cost-share assistance levels may be funded up to 70 percent of total cost.

**Length and Time Phasing of Assistance:**

Long-term contracts of 3 to 10 years. Cost-share assistance is paid when the practice is performed.

**Reports:**

None.

**Audits:**

Subject to audit by Office of the Inspector General, USDA.

**Records:**

Records are maintained in the NRCS office and Federal record centers for a specified number of years.

**Account Identification:**

12-3318-0-1-304.

**Obligations:**

(Direct payments) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 est \$10,000; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The range has not been identified. Average: \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

This program is operated in 6 project areas in 3 States (Colorado, Utah and Wyoming).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines are announced through the news media and in letters to agricultural producers in the county.

**Regional or Local Office:**

Consult the local telephone directory for location of the local NRCS field office. If there is no listing, get in touch with the appropriate State NRCS office listed in the NRCS section of Appendix IV of the Catalog.

**Headquarters Office:**

Financial Assistance Programs Division, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Dave Mason, Telephone: (202) 720-1873. Use the same number for FTS.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.072, Wetlands Reserve Program; 10.064, Forestry Incentives Program; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 10.900, Great Plains Conservation; 10.912, Environmental Quality Incentives Program.

**EXAMPLES OF FUNDED PROJECTS:**

For the past several fiscal years, salinity control activities were funded under the Environmental Quality Incentives Program (EQIP).

**CRITERIA FOR SELECTING PROPOSALS:**

The type and severity of salinity problems; the need to correlate on the farm conservation treatment with canal and lateral improvement; estimated cost; extent of the salinity problem; proximity to water bodies; land use charges; offsite effects; onsite environmental effects; other resource problems; seasonal nature of salinity reduction practices to be installed; applicants' ability to complete practices in the shortest time practical; and positive or negative effects on wildlife.

**10.072 WETLANDS RESERVE PROGRAM**

(WRP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food Security Act of 1985, Title XII, Public Law 99-198, as amended; Food, Agriculture, Conservation, and Trade Act of 1990, Title XIV, Section 1237, Public Law 101-624, 104 Stat. 3584, 7 U.S.C. 3837, as amended; Omnibus Budget Reconciliation Act of 1993; Federal Agriculture Improvement and Reform Act of 1996; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1998 and Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001 and as amended, Farm Security and Rural Investment Act of 2002.

**OBJECTIVES:**

To assist landowners in restoring and protecting wetlands on eligible lands on which they agree to enter into a permanent or long-term easement, or a restoration cost-share agreement with the Secretary. The goal of WRP is to maximize wetland functions and values and wildlife benefits on every acre enrolled in the program. Total acreage enrollment limitation is 2,275,000 acres.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Eligible landowners may offer farmed wetlands, prior converted wetlands,

wetlands farmed under natural condition, former or degraded wetlands on lands that have been used or are currently being used for the production of food and fiber, including rangeland and forest production land, lands substantially altered by flooding, certain riparian areas, along with certain adjacent areas, to be placed under a permanent or 30-year easement, or restoration cost-share agreement. A deed restriction covering the land approved under easement must be recorded in the local land deeds office. Subject to the acceptance of an offer by the Federal Government, the landowner will receive in cash an amount specified in the WRP contract as determined by a method prescribed by the Secretary. The landowner shall ensure that the easement granted to Natural Resources Conservation Service (NRCS) is superior to the rights of all others and shall agree to implement a wetland restoration plan designed to restore and maintain the easement area. The plan will include a designated access route to be used as necessary for easement management and monitoring. The landowner will receive financial and technical assistance to install necessary restoration practices on the land under easement or the practice will be installed by the Secretary. The landowner shall agree to a permanent retirement of crop acreage bases, allotments, and quotas to the extent that the sum of the crop acreage bases and allotments will not exceed the remaining cropland of the present farm or subsequently reconstituted farm. In cases involving restoration participants receive restoration cost-share and technical assistance and no easement payment.

**Applicant Eligibility:**

An individual landowner, partnership, association, corporation, estate, trust, other business or other legal entities and, whenever applicable, a State, a political subdivision of a State, or any agency thereof owning eligible lands.

**Beneficiary Eligibility:**

An individual landowner, partnership, association, corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, a political subdivision of a State, or any agency thereof owning private croplands will benefit.

**Credentials/Documentation:**

The landowner must have owned the land offered for at least the preceding 12 months prior to the end of the period in which the intent to participate in an easement is declared unless the land was acquired by will or succession as a result of the death of the previous owner; or the Department determines that the new owner did not acquire such land for the purpose of placing it in the WRP. This program is excluded from coverage under OMB Circular No. A-87. The 12 month requirement is not applicable to restoration agreement.

**Preapplication Coordination:**

An environmental impact assessment has been prepared for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit an application to enroll to the local NRCS office that serves the area in which the farm or ranch is located during the designated sign-up period. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

The States will provide a list of potential acceptable offers and request for allocation of funds. The Department will allocate funding in a manner designed to achieve cost effectiveness and maximum wetland restoration based wildlife benefits. The States will notify the landowners of the status of their application. This process will be completed as soon as practical after funding becomes available. For all tentatively accepted applications, a determination of easement compensation value will be made according to the current procedures as prescribed by the Secretary.

**Deadlines:**

None. The program operates under a continuous sign-up process. The application to participate must be filed at the local NRCS office.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS. Landowner application may remain on sign-up list for subsequent funding consideration.

**Appeals:**

Landowner may appeal certain determinations to the National Appeals Division.

**Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

**Formula and Matching Requirements:**

Lump sum payments or no less than 5 nor more than 30 annual payments of equal or unequal value are made for easements. Cost-share payments of 100 percent of the cost of implementing the Wetland Restoration Plan will be paid for a permanent easement with 75 percent of permanent easement amounts being paid for 30-year easements and restoration cost-share agreements.

**Length and Time Phasing of Assistance:**

Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor.

**Reports:**

None.

**Audits:**

Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be filed in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-1080-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Direct payments) FY 07 \$211,006,348; FY 08 est \$455,000,000; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$28,339,000; FY 08 est \$45,500,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV of the Catalog.

**Headquarters Office:**

Easement Programs Division, Natural Resources Conservation Service, Department of Agriculture, 14th and Independence Avenue SW, Room 6812-S, Washington, DC 20013. Tony Puga, National WRP Manager, Telephone: (202) 720-1067. Use the same number for FTS.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.069, Conservation Reserve Program; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All offers are screened at both the local and State level to determine the acceptability of the application to ensure that offers will not be accepted in excess of the value as determined by the method prescribed by the Secretary. Offers will be evaluated based on the environmental benefits and government expenditures on restoration and easement purchase and the requirement that wildlife benefits be maximized.

**10.073 CROP DISASTER PROGRAM**

(CDP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001, Public Law 106-387.

**OBJECTIVES:**

The Acts authorizes the Secretary to provide disaster assistance to producers who suffered crop losses in the 2000 crop year because of adverse weather conditions. Disaster payment provisions apply if the crop could not be planted or production, both in quantity and quality, was adversely affected by: (1) Damaging weather, including drought, excessive moisture, hail, earthquake, freeze, tornado, hurricane, typhoon, volcano, excessive wind, excessive heat, or a combination thereof; or (2) related conditions of insect infestation such as grasshoppers and Mormon crickets, plant disease such as Pierce's disease and watermelon sudden wilt disease, or other deterioration of the crop, including aflatoxin, that is accelerated or exacerbated naturally because of damaging weather occurring before or during harvest.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Assistance under the Crop Disaster Program will be available for: (1) 2000 crop losses on prevented planted acreage, reduced production of planted acreage, or reduced quality on certain crops; (2) value loss crops, including nursery and aquaculture. Direct financial compensation will be paid to producers with eligible crop losses greater than 35 percent compared to the historical average county yield or the producers actual production history (APH), whichever is greater. Persons with a gross revenue in excess of \$2.5 million for the 1999 tax year are not eligible for benefits under the 2000 CDP. The payment limitation for 2000 CDP benefits is \$80,000 per person. There are no use restrictions on the benefits received under this program.

**Applicant Eligibility:**

Any producer that had a financial risk and received or would have received a share of the 2000 crop will be eligible for benefits, if all other requirements have

been met. Eligible crops for the disaster program include: (1) NAP crops defined in FSA Handbook 1-NAP; (2) crops for which Federal crop insurance is available, regardless of whether insurance was purchased. The producer must be able to show, with verifiable evidence, that the producer had an interest in the commodity produced or had control of the crop acreage on which this commodity was grown at the time of the disaster, which is the basis for the application for payment. One of the following shall be obtained as determined by the FSA County Committee: (1) Copies of signed written lease; (2) copies of signed rental agreements; (3) copies of other legal documents showing land ownership or control; (4) statement signed by the landowner that the producer had control of the acreage; (5) statement signed by the operator or producer that the producer had control of the acreage on the farm. Highly Erodible Land and Wetland Restrictions apply to CDP benefits. If, subsequent to the disaster, an eligible producer is now deceased or is a dissolved entity, a representative of the deceased producer or dissolved entity may sign the CCC-557 application, if the representative currently has authority to enter into a contract for the producer.

**Beneficiary Eligibility:**

Any producer that had a financial risk and received or would have received a share of the 2000 crop will be eligible for benefits, if all other requirements have been met.

**Credentials/Documentation:**

Producers shall provide production records for uninsured, noninsurable, and insured crops not meeting the loss threshold. Acceptable documentation includes verifiable and reliable records. Verifiable records are production records for an eligible crop must be submitted by the producer to support an application, or as required, to support a certification of production. Verifiable records of production include contemporaneous records provided by the producer that: (1) May be verified by FSA through an independent source; (2) are used to substantiate the amount of production reported; (3) verifiable records must be dated, show disposition of the crop's production, including quantity, and be crop specific for crops that are produced more than once in a calendar year. If verifiable records are not available, the producer shall provide reliable records documentation similar to copies of receipts, ledgers or income, income statements of deposit slips, register tapes, invoices for custom harvesting, and records to verify production input costs.

**Preapplication Coordination:**

To prepare for the application procedure, the producer must provide evidence of the existence of the crop, certify to the disaster condition, and provide production totals to FSA. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application sign up period runs from January 18, 2001 through May 4, 2001 or such other date as may be announced. The following forms are required to apply for benefits under the Crop Disaster Program: CCC-557 - 2000 Crop Disaster Program Application; CCC-562 - Gross Revenue Certification Statement; CCC-561 - Contract to purchase Crop Insurance; AD-1026 - Highly Erodible Land Conservation (HELIC) and Wetland Conservation (WC) Certification (if one is not already on file); CCC-502 - Farm Operating Plan for Payment Eligibility Review (if one is not already on file); FSA-578D - Acreage Report (if one is not already on file for non-insured crops).

**Award Procedure:**

The CDP provides a one-time payment for 2000 crop disasters.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

FSA County Offices were authorized to make payments under this program upon publication of the regulations in the Federal Register.

**Appeals:**

All producers receiving adverse decisions regarding their application under the disaster program are afforded appeal rights at several levels culminating at the National Appeals Division, which is a separate entity apart from the Farm Service Agency.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Eligible producers must have suffered 2000 crop losses in excess of 35%. Crop losses above 35% will be eligible for assistance at 65% of the county crop table price for insured crops or crops in which Federal crop insurance is not available and 60% of the county crop table price for insurable crops in which the producer did not purchase Federal crop insurance. As a condition of receiving benefits under CDP, any producer who elected to not purchase crop insurance on a crop in 2000 for which CDP benefits are requested must purchase crop insurance on that crop for the 2001 and 2002 crop years.

**Length and Time Phasing of Assistance:**

Program payments are made after the application is filed and approved by the COC.

**Reports:**

None.

**Audits:**

FSA will implement a national compliance program to spot check and verify the accuracy of applications received throughout the country. The Office of Inspector General will conduct program audits on a random basis throughout the country.

**Records:**

Participants must maintain production evidence for 3 years.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance which may be received by an individual applicant. The national "person" limit is \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

All available program funding will be used among eligible applicants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CDP regulations are provided in 7 CFR Part 1480. Agency procedures are listed in Handbook 3-DAP. Disaster Program Fact Sheets may be located on line at <http://www.fsa.usda.gov/pas/publications/facts/pubfacts.htm>.

**Regional or Local Office:**

Applications are filed at the local county office of the Farm Service Agency. The location of all FSA field offices is listed on the WEB at <http://www.fsa.usda.gov/edso/> or in the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Production Emergencies and Compliance Division, Compliance Branch, 1400 Independence Ave. S.W., Washington DC 20250-0514. Telephone: (202) 720-9882.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.450, Crop Insurance; 10.404, Emergency Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance subject to the national payment factor. Applications are non-competitive.

## 10.077 LIVESTOCK COMPENSATION PROGRAM

(LCP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 32 of the Act of August 24, 1935, as amended. Section 203(a) of Agricultural Assistance Act of 2003, Public Law 108-07. Section 2103 of the Emergency Wartime Supplemental Appropriations Act for Fiscal Year 2003, Public Law 108-11.

**OBJECTIVES:**

This program will provide immediate assistance to livestock producers in counties that have received primary disaster designation due to drought in 2001 and/or 2002.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Compensation for cattle, sheep, goats, buffalo, and catfish producers in counties that have received primary disaster designation due to drought in 2001 and/or 2002. An eligible county must be approved as a primary county between January 1, 2001, and February 20, 2003, for Presidential or Secretarial disaster designation for damages and losses because of natural disaster.

**Beneficiary Eligibility:**

Producers of cattle, sheep, goats, buffalo, and catfish.

**Credentials/Documentation:**

All applicants must: (1) conduct a livestock operation that is physically located in a disaster county; (2) meet all other eligibility requirements established by the Secretary for the Program; (3) produce an animal described in section 10806(a)(1) of the Farm Security and Rural Investment Act of 2002 (21 U.S.C. 321d(a)(1)). In addition, Catfish producers must certify compliance with: (1) the adjusted gross income limitation contained in section 1001D of the Food Security Act of 1985 (7 U.S.C. 1308-3a); and (2) conservation compliance provisions according to regulations found at 7 CFR part 12.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants contact their local county Farm Service Agency Office or U.S. Department of Agriculture Service Center for sign-up information. In general,

applicants will certify on the application form CCC-370, the number and type of eligible livestock owned or leased as of June 1, 2002. Documentation will be required from each applicant selected for a spot check that indicates all livestock for which payment was received that were sold or died after June 1, 2002.

Owners or lessees of eligible livestock must certify the number owned or leased as of June 1, 2002. The animals must have been owned for 90 days or more and must fall within the 90-day ownership period.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 1 to 30 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Adult beef cattle, buffalo, and beefalo (cows and bulls), \$18.00 per head; Beef, dairy, buffalo, and beefalo replacement heifers (500 lbs. and over), \$13.50 per head; Adult dairy cattle (cows and bulls), \$31.50 per head; Beef, dairy, buffalo, and beefalo steers (500 lbs. and over), \$13.50 per head; Nonbreeding beef, dairy, buffalo, and beefalo heifers (500 lbs. and over), \$13.50 per head; Beef, dairy, buffalo, and beefalo bulls (500 lbs. and over), \$13.50 per head; Sheep (All), born prior to June 1, 2002, \$ 4.50 per head; Goats (All), born prior to June 1, 2002, \$ 4.50 per head; Catfish feed, \$34 per ton of feed purchased in calendar year 2002.

**Length and Time Phasing of Assistance:**

Payment is made by check or direct deposit after determining applicant eligibility.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, U.S. Department of Agriculture.

**Records:**

Livestock producers or any other individual or entity receiving assistance for LCP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Producers participating in LCP are subject to a \$2.5 million gross revenue limitation per person or less for the preceding tax year. Payments are limited to \$40,000 per person. There is no minimum amount of assistance that may be received by an individual producer.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 67 CFR Part 63070 and 7 CFR Part 3016. LCP Fact Sheet may be located online at <http://www.fsa.usda.gov/pas/publications/facts/pubfacts.htm>.

**Regional or Local Office:**

Farm Service Agency State Offices can inform applicants of county office locations where applicants may apply for assistance.

**Headquarters Office:**

U.S. Department of Agriculture, Farm Service Agency, Production Emergency and Compliance Division, Washington, DC 20250.

**Web Site Address:**

<http://www.fsa.usda.gov> .

**RELATED PROGRAMS:**

10.066, Livestock Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance subject to the national payment factor. Applications are non-competitive.

## 10.078 BIOENERGY PROGRAM

(BIO)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Title IX, Section 9010, Farm Security and Rural Investment Act of 2002 and Section 5(e) of the CCC Charter Act, 15 U.S.C. 714c.



**OBJECTIVES:**

The goals of the Bioenergy Program are to encourage increased purchases of eligible commodities for the purpose of expanding production of such bioenergy and support new production capacity for such bioenergy.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Bioenergy producers may increase their purchases of eligible commodities as compared to the previous fiscal year purchases and convert that commodity into increased commercial fuel grade ethanol and biodiesel production as compared to previous fiscal year ethanol and biodiesel production. The Program defines eligible commodities as barley, corn, grain sorghum, oats, rice, wheat, soybeans, sunflower seed, canola, crambe, rapeseed, safflower, sesame seed, flaxseed, mustard seed, and cellulosic crops, such as switchgrass and short rotation trees, grown on farms, for the purpose of producing ethanol and/or biodiesel or any other commodity or commodity by-product as determined and announced by CCC used in ethanol and biodiesel production which is produced in the United States and its territories.

**Applicant Eligibility:**

All bioenergy producers are eligible to participate in the program. To participate, ethanol producers must provide USDA with evidence of increased production of bioenergy and increased purchase and utilization of agricultural commodities related to that increased production. Biodiesel producers must provide evidence of production and purchase and utilization of agricultural commodities related to that production.

**Beneficiary Eligibility:**

Bioenergy producers.

**Credentials/Documentation:**

USDA will collect information from bioenergy producers that request payments under the Bioenergy Program as the Secretary may require to ensure that benefits are paid only to eligible bioenergy producers for eligible commodities. Bioenergy producers seeking program payments will have to meet minimum requirements by providing information concerning the production of bioenergy. Applicants must certify that they will abide by the Bioenergy Program Agreement's provisions. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Bioenergy Program sign-up period is from August 1 through August 31, or as announced. To participate in the program, producers must complete a Bioenergy Program Agreement, Form CCC 850 and Bioenergy Program Annual Production Information, Form CCC-850 Supplement.

**Award Procedure:**

None.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below or Headquarters office.

**Range of Approval/Disapproval Time:**

From 1 to 30 days.

**Appeals:**

Any participant who is subject to an adverse determination may appeal the determination by filing a written request with the Deputy Administrator at the following address: Deputy Administrator, Commodity Operations, Farm Service Agency, Department of Agriculture, STOP 0550, 1400 Independence Avenue, S.W., Washington, DC 20250-0550. To receive consideration, the participant must file the appeal within 30 days after written notice of the decision, which is the subject of the appeal, is mailed or otherwise made available to the participant. An appeal shall be considered to have been filed when personally delivered in writing to the Deputy Administrator or when the properly addressed request, postage paid, is postmarked. The Deputy Administrator may accept and act upon an appeal even though it is not timely filed if, in the judgement of the Deputy Administrator, circumstances warrant such action.

**Renewals:**

None.

**Formula and Matching Requirements:**

USDA will pay eligible producers up to \$150 million each FY on a quarterly basis. Payments to each producer are capped at 5 percent of available funding (up to \$7.5 million) each FY. USDA will base ethanol payments on the increase in ethanol production compared to the previous FY's production and biodiesel payments on the biodiesel production each FY. Payments will be structured to encourage participation of producers with less than 65 million gallons annual production capacity. Producers with total annual production of: (a) less than 65 million gallons are reimbursed 1 feedstock unit for every 2.5 used for increased production; (b) 65 million gallons or more are reimbursed 1 feedstock unit for every 3.5 used for increased production. In addition, biodiesel producers are reimbursed for base production at 50 percent the rate of increased production. If the applications exceed the program's available funding, USDA will apply a factor to payments to hold program expenditures to available funding for the

applicable FY.

**Length and Time Phasing of Assistance:**

The program is funded at up to \$150 million each FY for FYs 2003 through 2006.

**Reports:**

Multiple FY Agreements require annual production estimate reports to be submitted during each applicable FY sign-up period. Such reports must comply with the terms of the Agreement and Bioenergy Program regulations. In all cases, the accounting for compliance will be made on a per FY basis.

**Audits:**

Participants under this program are subject to audit by the Office of the Regional Inspector General, Department of Agriculture.

**Records:**

Bioenergy producers or any other individual or entity receiving payments for Bioenergy Program shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payments were received.

**Account Identification:**

12-4336-0-1-271.

**Obligations:**

(Direct Payments) FY 07 \$60,000,000; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and is posted on Farm Service Agency website. Regulations published in Title IX, Section 9010, Farm Security and Rural Investment Act of 2002. Bioenergy Program fact sheet may be located online at <http://www.fsa.usda.gov/pas/publications/facts/html/Bioenergy03.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Kansas City Commodity Office, Contract Reconciliation Division, P.O. Box 419205, STOP 8758, Kansas City, MO 64141-6205. Telephone: (816) 926-6525.

**Web Site Address:**

[www.fsa.usda.gov/daco/bio\\_daco.htm](http://www.fsa.usda.gov/daco/bio_daco.htm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) All fuel ethanol production is eligible; however, ethanol under 200 proof will be converted to 200 proof gallons before payment calculations are made; (2) Ethanol producers must produce and sell ethanol commercially and have authority from the Bureau of Alcohol, Tobacco, Firearms, and Explosives to produce ethanol for fuel or sell denatured ethanol rendered unfit for beverage use; (3) Biodiesel producers must produce and sell biodiesel commercially, and the biodiesel must be a mono alkyl ester manufactured in the United States that meets the American Society for Testing and Materials Standard's biodiesel standard.

**10.079 BILL EMERSON HUMANITARIAN TRUST**

(EHT)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Sections 301 and 302, Title III of Bill Emerson Humanitarian Trust. Section 302 (c) of the Agricultural Act of 1980, as amended. The Emergency Wartime Supplemental Appropriations, Public Law 108-11.

**OBJECTIVES:**

To provide for a Trust solely to meet emergency humanitarian food needs in developing countries, the Secretary of Agriculture shall establish a trust stock of wheat, rice, corn, or sorghum, or any combination of the commodities, totaling not more than 4,000,000 metric tons for use as described.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

The Secretary may release eligible commodities only to the extent such release is consistent with maintaining the long-term value of the trust.

**Applicant Eligibility:**

Developing countries that suffer from natural disasters (such as extreme drought, flood, earthquake, etc.), prolong war, prolong diseases, and/or acute hunger.

**Beneficiary Eligibility:**

Developing countries.

**Credentials/Documentation:**



None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 1 to 30 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Release of commodities from the Trust can be triggered in two situations: 1) when domestic supplies are insufficient to meet the availability criteria of Public Law 480, or 2) when unanticipated needs for Title II, Public Law 480 commodities cannot be met in a timely manner under normal means of obtaining commodities. In the second situation, the Secretary is authorized to release up to 500,000 metric tons from the Trust plus an additional 500,000 metric tons that could have been but was not released, in previous years.

**Length and Time Phasing of Assistance:**

The reserve was originally authorized by the Agricultural Trade Act of 1980 as the Food Security Wheat Reserve. Subsequent legislation broadened the number of commodities that can be held in the reserve and, in 1998, it was renamed the Bill Emerson Humanitarian Trust. Most recently, the Farm Security and Rural Investment Act of 2002 reauthorized the Emerson Trust through 2007.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

12-4336-0-7-151.

**Obligations:**

(Includes CCC transfer funds) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and is posted on Farm Service Agency website. Regulations published in Title III of Bill Emerson Humanitarian Trust. EHT fact sheet may be located online at <http://www.fas.usda.gov/excredits/pl480/Emersontrust.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Kansas City Commodity Office, 6501 Beacon Drive, Kansas City, MO 64131-4676. Telephone: (816) 926-6715.

**Web Site Address:**

<http://www.fsa.usda.gov/daco/Default.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Secretary is authorized to release commodities from the reserve to meet unanticipated emergency needs that cannot otherwise be met under Public Law 480, the U.S. government's major humanitarian food aid program. The Secretary is also authorized to release eligible commodities for use under Public Law 480 if the domestic supply of that commodity is determined to be in limited supply and would not meet the availability criteria of Public Law 480.

## 10.080 MILK INCOME LOSS CONTRACT PROGRAM

(MIL)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 1502 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171; 7 U.S.C. 7981 and 7982; 15 U.S.C. 714b and 714c.

**OBJECTIVES:**

To maintain and expand existing markets for dairy which are vital to the welfare

of milk producers in the United States. Payments under this program will be limited to dairy operations that produced milk in the United States and commercially marketed milk during the period of December 1, 2001 through September 30, 2005.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Each fiscal year, eligible dairy operations can receive a monthly payment based on monthly milk marketing, up to a maximum of 2.4 million pounds per dairy operation, for the fiscal year. Dairy operations who make changes to their producer status or who reconstitute their farm operations on or after December 1, 2001 for the sole purpose of receiving additional payments will not be eligible for the benefits under the program implemented by this rule.

**Applicant Eligibility:**

To be eligible, dairy producers must: (1) have produced milk in the United States and commercially marketed the milk produced anytime during the period of December 1, 2001 through September 30, 2005; (2) enter into a MIL contract during the contract application period; (3) agree to all terms and conditions in the MIL contract and comply with instructions issued by the Commodity Credit Corporation; (4) provide proof of monthly milk production commercially marketed by all persons in the dairy operation during the contract period, to determine the total pounds of milk that will be converted to hundredweight (cwt.) used for payment; (5) submit timely production evidence according to Sec. 1430.209; (6) be actively engaged in the business of producing and marketing agricultural products at the time of signing the MIL contract; (7) in administering this program, the eligibility determination of dairy operation shall be made in the same manner as Dairy Market Loss Assistance (DMLA) contracts in that State; and (8) new MIL contract operations must be unaffiliated with prior DMLA operations.

**Beneficiary Eligibility:**

Eligible dairy producers are those who, beginning December 1, 2001 through September 30, 2005: (1) commercially produce and market cow milk in the United States, or (2) produce milk in the United States and commercially market the milk outside the United States. In addition, dairy producers from a foreign country who have a working visa or other valid taxpayer identification number are eligible for MIL contract benefits.

**Credentials/Documentation:**

Before MIL contract payments are issued, all persons involved in a single dairy operation must provide evidence of eligible marketing. Verifiable production evidence can include: (1) milk marketing payment stubs, (2) tank records, (3) milk handler records, (4) daily milk marketing, and (5) copies of any payments received as compensation from other sources.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for the MIL contract program, dairy operation producers must submit form CCC-580, "Milk Income Loss Contract," to Farm Service Agency (FSA) county office where the dairy operation is located. The CCC-580 must show total pounds of all milk produced and marketed during each month for all persons receiving a share of the marketed milk. Monthly milk production may not be apportioned to circumvent the maximum payment quantity. All persons who share in the risk of a dairy operation's total production must certify information on the CCC-580. FSA will accept only one CCC-580 per operation.

When applying for a MIL contract, operators must also have on file: (1) form AD-1026, "Highly Erodible Land Conservation and Wetland Conservation Certification," used to certify understanding of the conservation compliance requirements under USDA programs; and (2) form SF-1199A, "Direct Deposit Sign Up Form," used to sign up for the direct deposit of payments into the payee's account.

**Award Procedure:**

The Price Support Division (PSD) in Washington DC is responsible for the implementation of the MIL contract program in county offices. They will manage the contracts and determine the eligibility of monthly payments for each contract.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

From 1 to 60 days.

**Appeals:**

Any producer who is dissatisfied with a determination may request reconsideration or appeal of such determination under Part 11 or 780 of 7 CFR Part 1430.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Payments under this program may be made to dairy operations when the Boston Class I milk price under the applicable Federal milk marketing order is below \$16.94 per cwt. No payments will be made to dairy operations for marketing during the months that the Boston Class I milk price under the applicable milk

marketing order exceeds \$16.94.

**Length and Time Phasing of Assistance:**

Except as provided in Sections 1430.205 and 1430.206, contracts entered into by producers in a dairy operation shall cover eligible production marketed by producers during the period beginning with the first day of the month producers enter into contract and ending on September 30, 2005. If a dairy goes out of business during the contracted period, the MIL contract program will be terminated immediately, except as applicable to earned payments.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

Producers approved for benefits under this program must maintain accurate records and accounts in order to document that they meet all eligibility requirements specified herein, as may be requested by the Commodity Credit Corporation or the Farm Service Agency. Such records and accounts must be retained for 3 years after the date of payment to the dairy operation under this program. Destruction of the records 3 years after the date of payment shall be the risk of the party undertaking the destruction.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$330,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR part 1430. MIL Fact Sheet may be located online at <http://www.fsa.usda.gov/pas/publications/facts/html/milc02.htm>.

**Regional or Local Office:**

Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the FSA section of Appendix IV of the Catalog, or on the Internet at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Price Support Division, Stop 0512, 1400 Independence Avenue SW., Washington, DC 20250-0517. Telephone: (202) 720-1919.

**Web Site Address:**

<http://www.fsa.usda.gov/dafp/psd/MILC.htm> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance. Applications are non-competitive.

## 10.081 LAMB MEAT ADJUSTMENT ASSISTANCE PROGRAM

(LMA)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Act of August 24, 1935, Section 32.

**OBJECTIVES:**

The purpose of this program is to provide benefits to sheep and lamb producers in order to reestablish their purchasing power in connection with the normal production of sheep and lambs for domestic consumption and boost the long-term development and growth of sheep and lamb farming in the United States.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

This program is designed to provide immediate financial assistance to sheep and lamb producers who have recently experienced low prices and poor market conditions. Payments under this program will provide those who are eligible with an immediate infusion of funds to help pay for operating expenses and meet other financial obligations. The Farm Service Agency (FSA) will provide with respect to sheep and lamb operations: Year 1, payments are for purchasing eligible rams for breeding, enrolling their herd in a sheep improvement program, and for making improvements to their production facilities; Year 2, Year 3, and Year 4 payments are for marketing of eligible slaughtered lambs, feeder lambs, or ewe lambs.

**Applicant Eligibility:**

To be eligible, applicants must be engaged in the business of producing and marketing agricultural products at the time of application. In addition, slaughtered lambs must meet the following criteria: (1) be marketed during August 1, 2001 through July 31, 2003; (2) be owned by operation at least 30 days before marketing; (3) carcasses must: (a) meet the requirements of USDA Quality Grade Choice or Prime, (b) meet the requirements of USDA Yield Grade 2, (c) have a muscling confirmation score of Average Choice or better, (d) have a 55-75 pound dressed hot carcass weight, (e) be certified by a USDA Agricultural Marketing Service (AMS) agent or an assigned representative, (f) be marketed between June 1 and July 31 of each program year in order to receive the \$8 per carcass incentive payment. Feeder lambs must: (1) be marketed during the period August 1, 2001 through July 31, 2003; (2) be owned by the operation continuously from birth until the time of marketing; (3) be thick-muscled and large framed, as determined by AMS. Ewe lambs must: (1) not be older than 18 months of age; (2) not have produced an offspring; (3) not possess the characteristics of parrot mouth, foot rot, or scrapie; (4) be maintained in the herd for at least one complete offspring lambing cycle. Furthermore, eligible lamb producers must have in 1999 gross annual revenue of \$2.5 million or less.

**Beneficiary Eligibility:**

Sheep and lamb producers.

**Credentials/Documentation:**

In order to receive payments, the sheep and lamb operation must submit supporting documentation of the cost of the improvements made to the facility during program Year 1 and must use facility improvements for sheep and lamb production activities continuously for at least the next 3 consecutive years. For slaughtered lambs, an Agricultural Marketing Service (AMS) agent or an assigned representative of AMS must verify that lamb carcasses meet the payment criteria. The condition of qualifying feeder lambs and ewe lambs must also be certified to by the AMS agent or an assigned AMS representative.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A request for Year 1 benefits under this program must be submitted via a completed Form FSA-382. A request for Year 2, Year 3, and Year 4 benefits under this program must be submitted via a completed Form FSA-383. The Forms FSA-382/3 should be submitted to FSA Office serving the county where the sheep and lamb operation is located.

**Award Procedure:**

The Price Support Division (PSD) in Washington DC is responsible for making payments of LMA assistance program through FSA Service Center Offices.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

From 1 to 30 days.

**Appeals:**

Any sheep and lamb operation which is dissatisfied with a determination may make a request for reconsideration or appeal of such determination in accordance with the appeal regulations set forth at parts 11 and 780 of 7 CFR part 784.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

For Year 1 Producers will receive up to \$100 for each ram that is purchased for breeding purposes, at least 90 days old at the time of purchase, and will be maintained for at least 90 days. The maximum ram payment allowed per sheep and lamb operation for rams is \$2,500. Producers will receive \$.50 for each sheep enrolled in an authorized sheep improvement program; however, the maximum sheep improvement payment is \$500. The facility improvement option will provide producers with a payment of 20 percent of the total cost of the facility improvement, not to exceed \$2,500 per sheep and lamb operation. Improvements that must be made during Year 1 must be used in the sheep and lamb operation for at least the next 3 consecutive years and producers must submit cost documentation of the improvements made. The maximum combined total payments to a sheep and lamb operation are \$5,500. For Year 2 and Year 3 Payment rates for feeder and slaughter lambs include \$3 per head for feeder lambs, \$5 per head for slaughter lambs, and \$8 total per head for slaughter lambs marketed during June 1 through July 31. For Year 4 Payment rates are \$3 per head for feeder lambs, \$5 per head for slaughtered lambs, \$8 total per head for slaughtered lambs marketed during June 1 through July 31, \$18 per head for each ewe lamb purchased or retained for breeding purposes during the period of August 1, 2001 through July 31, 2003. There are no maximum payments or herd limits, but feeder lamb producers whose gross income for calendar year 2001 or 2002 exceed \$2.5 million are ineligible for payments. In order to receive the \$8 per carcass incentive payment, slaughter lambs must be marketed between June 1 and July 31 of each program year.

**Length and Time Phasing of Assistance:**

This program has four benefit years.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

Persons making application for benefits under this program must maintain accurate records and accounts in order to document that they meet all eligibility requirements specified herein. Such records and accounts must be retained for 3 years after the date of payment to the sheep and lamb operations under this program. Destruction of the records after such date shall be the risk of the party undertaking the destruction.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR part 784. LMA Fact Sheet may be located online at <http://www.fsa.usda.gov/pas/publications/facts/html/lamb02.htm>.

**Regional or Local Office:**

Consult the local phone directory for location of the nearest county FSA Office. If no listing, contact the appropriate State FSA Office listed in the FSA section of Appendix IV of the Catalog, or on the Internet at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Price Support Division, Stop 0512, 1400 Independence Avenue S.W., Washington, DC 20250-0517. Telephone: (202) 720-1919.

**Web Site Address:**

<http://www.fsa.usda.gov/dafp/psd/lamb.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance. Applications are non-competitive.

**10.082 TREE ASSISTANCE PROGRAM**

(TAP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 3602 of the Farm Security and Rural Investment Act of 2002, Public Law 108-83.

**OBJECTIVES:**

This program provides assistance to tree, bush and vine owners who have trees, bushes or vines lost by a natural disaster. The statute authorizes payments only for eligible owners who actually replant or rehabilitate eligible trees, bushes and vines and who produce annual crops from trees for commercial purposes.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Eligible owners must execute all required documents, comply with all applicable noxious weed laws, and complete the TAP funded practice within 12 months of application approval. Participants must allow representatives of FSA to visit the site for the purposes of certifying compliance with TAP requirements.

**Applicant Eligibility:**

To be eligible for TAP payments the owner must: (1) Own the stand on which the claim for benefits is based; (2) Have owned it at the time the natural disaster occurred; (3) Have continuously owned the stand until the TAP application is submitted; (4) Annual gross revenue not to exceed \$2.5 million for the preceding tax year; (5) Federal, State, local governments and agencies as well as political subdivisions thereof are not eligible for benefits.

**Beneficiary Eligibility:**

An individual owner who has trees, bushes or vines lost by a natural disaster.

**Credentials/Documentation:**

To be considered an eligible loss: (1) Trees, bushes or vines must have been lost as a result of a natural disaster; (2) The individual stand must have sustained a loss in excess of 15 percent after adjustment for normal mortality; (3) The loss could not have been prevented through reasonable and available measures; (4) The trees, bushes or vines would not normally have been rehabilitated or replanted within the 12-month period following the loss; (5) The damage must

be visible and obvious to the County Committee except that if the damage is no longer visible, the County Committee may accept other evidence of the loss as it determines is reasonable. County Committee may require information from an expert in the case of plant disease or insect infestation.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A complete application for TAP benefits and related supporting documentation must be submitted to the county office prior to the deadline that FSA announces.

A complete application includes all of the following: (1) A form provided by FSA; (2) A written estimate of the number of trees, bushes or vines lost or damaged which is prepared by the owner or someone who is a qualified expert, as determined by the County Committee; (3) The number of acres on which the loss was suffered; (4) Sufficient evidence of the loss to allow the County Committee to calculate whether an eligible loss occurred.

**Award Procedure:**

The County Committee: (1) Must make recommendations and an eligibility determination based on a complete application on those requests that it wants to refer to a higher approval official; (2) Will verify actual qualifying losses and the number of acres involved by on-site visual inspection of the land and trees, bushes or vines; (3) May request additional information and may consider all relevant information in making its determination including its members' own knowledge about the applicant's normal operations.

**Deadlines:**

To be announced.

**Range of Approval/Disapproval Time:**

About 30 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Subject to the availability of TAP funds, an approved owner shall be reimbursed in an amount not to exceed 75 percent of the eligible costs for the qualifying loss (that loss over and above the calculated 15 percent mortality). The payment shall be the lesser of the actual costs for the replanting or the amount calculated using rates established by the County Committee (not to exceed the maximum amount the Deputy Administrator establishes). (1) When lost stands are replanted, the types planted may be different than those originally planted if the new types have the same general end use, as the County Committee determines. Payments will be based on the lesser of rates established to plant the types actually lost or the cost to establish the alternative used. (2) If the species of plantings, seedlings or cuttings differs significantly from the species lost, as the County Committee determines, the costs may not be reimbursed. (3) Owners may elect not to replant the entire eligible stand. If so, the County Committee shall calculate payment based on the number of qualifying trees, bushes or vines actually replanted. (4) The cumulative total quantity of acres planted to trees, bushes or vines for which a person may receive assistance shall not exceed 500 acres. (5) The cumulative amount of TAP payments, which any person may receive, shall not exceed \$75,000 per program year. (6) If the total of all eligible TAP claims received exceeds the available TAP funds, payments shall be reduced by a uniform national percentage after the imposition of applicable payment limitation provisions.

**Length and Time Phasing of Assistance:**

Payment is made by check or direct deposit after determining applicant eligibility.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

An owner or any other individual or entity receiving assistance for TAP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-4336-0-4-350.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR Part 783.

**Regional or Local Office:**



Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Production, Emergencies, and Compliance Division, Stop 0517, 1400 Independence Avenue SW., Washington, DC 20250-0517. Telephone: (202) 720-7641.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance. Applications are non-competitive.

## 10.084 DAIRY MARKET LOSS ASSISTANCE PROGRAM

(DMLA III)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Public Law 105-277, 112 Stat. 2681; Public Law 106-78, 113 Stat. 1135; Public Law 106-387, 114 Stat. 1549; The Military Construction Appropriations and Emergency Hurricane Supplemental Appropriations Act of 2005, Public Law 108-324.

**OBJECTIVES:**

The purpose of this program is to provide benefits to dairy operations under Public Law 105-277, 112 Stat. 2681; Sections 805 and 825 of Public Law 106-78; and section 805 of Public Law 106-387 only, in order to provide financial assistance to dairy operations in connection with normal milk production that is sold on the commercial market.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

The dairy operation requesting benefits must certify with respect to the accuracy and truthfulness of the information provided in their application for benefits. All information provided is subject to verification and spot checks by CCC. Refusal to allow CCC or any other agency of the Department of Agriculture to verify any information provided will result in a determination of ineligibility. Data furnished by the applicant will be used to determine eligibility for program benefits. Furnishing the data is voluntary; however, without it program benefits will not be approved. Providing a false certification to the Government is punishable by imprisonment, fines and other penalties.

**Applicant Eligibility:**

(a) To be eligible to receive cash payments, a dairy operation must: (1) Have produced and marketed milk commercially in the United States anytime during the fourth quarter of 1998; (2) Indicate all milk commercially marketed by all persons in the dairy operation during calendar year 1997 and 1998 to establish the base period for determining the total pounds of milk that will be converted to hundredweight (cwt) used for payment; and (3) Apply for payments during the application period. (b) A dairy operation must submit a timely application and comply with all other terms and conditions of 7 CFR Part 1430 Subpart D and those that are otherwise contained in the application to be eligible for benefits. (c) To be eligible for the program under Pub. L. 108-324, dairy producers must have produced milk in the United States during the 2004 calendar year in a dairy operation located in a county declared a disaster by the President due to hurricanes in 2004.

**Beneficiary Eligibility:**

Under DMLA-III, payments will be made to producers who were paid under DMLA-II as well as new dairy producers who began production in calendar year 2000. Under Pub. L. 108-324, payments will be made to producers who have recently suffered dairy production and milk spoilage losses due to hurricanes in 2004.

**Credentials/Documentation:**

A request for benefits under this subpart must be submitted on a completed Form CCC 1040. The Form CCC 1040 should be submitted to the county FSA office serving the county where the dairy operation is located. All persons who share in the milk production of a dairy operation that marketed milk must certify on the same CCC 1040 in order to obtain the total milk production of the dairy operation before the application is complete.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Dairy operations may obtain an application, Form CCC 1040 (Dairy Market Loss Assistance Program Payment Application), in person, by mail, by telephone, or by facsimile from any county FSA office. In addition, applicants

may download a copy of the CCC 1040 at <http://www.fsa.usda.gov/dafp/psd/>.

**Award Procedure:**

Payments under this subpart may be made to dairy operations only on the first 26,000 cwt of milk produced by them from cows in the United States actually marketed in the United States during the base period. Supplemental payments under Public Law 106-387 will be made available to dairy operations in connection with normal milk production that is sold on the commercial market. For supplemental payments made under this section, the payment rate shall be \$0.6468 per cwt. For dairy operations that received a payment under sections 805 and 825 of Public Law 106-78 on less than 12 months production, an annual production level will be calculated by subtracting from the dairy operation's production level for the period of October 1, 1999 through September 30, 2000 the production level on which previous payments were received.

**Deadlines:**

Applicants must apply for benefits during the sign-up period to be announced by the Deputy Administrator for Farm Programs. Eligible dairy producers can apply for program benefits anytime during this sign-up time frame. New announcements are posted on <http://www.fsa.usda.gov/pas/>.

**Range of Approval/Disapproval Time:**

From 1 to 60 days.

**Appeals:**

Any producer who is dissatisfied with a determination may request reconsideration or appeal of such determination under part 11 or 780 of 7 CFR part 1430.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

A payment rate will be determined after the conclusion of the application period, and shall be calculated by: (1) Converting whole pounds of milk to cwt; (2) Totalling the eligible cwt (not to exceed 26,000 cwt) of milk marketed commercially during the base period from all approved applications; and (3) Dividing the amount available for Dairy Market Loss Assistance Program by the total eligible cwt submitted and approved for payment. Each dairy operation payment will be calculated by multiplying the payment rate determined above by the dairy operation's eligible production. In the event that approval of all eligible applications would result in expenditures in excess of the amount available, CCC shall reduce the payment rate in such manner as CCC, in its sole discretion, finds fair and reasonable.

**Length and Time Phasing of Assistance:**

Payments under this subpart may be made to dairy operations only on the first 26,000 cwt of milk produced by them from cows in the United States actually marketed in the United States during the base period.

**Reports:**

All persons involved in such dairy operation marketing milk during the fourth quarter of 1998 shall provide any available supporting documents to assist the county FSA office in verifying that the dairy operation produced and marketed milk commercially during the fourth quarter of 1998 and the base period milk marketings indicated on Form CCC 1040. Examples of supporting documentation include, but are not limited to: tank records, milk handler records, milk marketing payment stubs, daily milk marketings, copies of any payments received as compensation from other sources, or any other documents available to confirm the production and production history of the dairy operation. In the event that supporting documentation is not presented to the county FSA office requesting the information, dairy operations will be determined ineligible for benefits.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

Producers approved for benefits under this program must maintain accurate records and accounts in order to document that they meet all eligibility requirements specified herein, as may be requested by the Commodity Credit Corporation or the Farm Service Agency. Such records and accounts must be retained for 3 years after the date of payment to the dairy operation under this program. Destruction of the records 3 years after the date of payment shall be the risk of the party undertaking the destruction.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The maximum payment that any dairy operation can receive will be \$25,225. Average payments per operation are expected to be about \$8,300 for about 80,000 dairy operations in the United States.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR



part 1430. DMLA III Fact Sheet may be located online at <http://www.fsa.usda.gov/pas/publications/facts/html/dairymar00.htm>.

**Regional or Local Office:**

Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the FSA section of Appendix IV of the Catalog, or on the Internet at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Price Support Division, Stop 0512, 1400 Independence Avenue S.W., Washington, DC 20250-0517. Telephone: (202) 720-1919.

**Web Site Address:**

<http://www.fsa.usda.gov/dafp/psd/dairy.htm>.

**RELATED PROGRAMS:**

10.053, Dairy Indemnity Program; 10.080, Milk Income Loss Contract Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance. Applications are non-competitive.

## 10.085 TOBACCO TRANSITION PAYMENT PROGRAM

(TTPP)

**FEDERAL AGENCY:**

COMMODITY CREDIT CORPORATION, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Fair and Equitable Tobacco Reform Act of 2004.

**OBJECTIVES:**

The Fair and Equitable Tobacco Reform Act of 2004 repeals the federal tobacco price support/production control program, provides compensation payments to tobacco quota owners for the elimination of their government-created asset (quota), and provides transition payments to active tobacco producers.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible quota holder means only a person who, as of October 22, 2004, has either a fee simple interest or life estate interest in the farm for which FSA established a farm basic marketing quota for the 2004 marketing year. The wetlands and highly erodible land provisions of part 12 of Title 7, the controlled substance provisions of part 718 of Title 7, and the payment limitation provisions of part 1400 of Title 7 shall not be applicable to payments made under 7 CFR Part 1463 to an eligible quota holder. Eligible tobacco producer means an owner, operator, landlord, tenant, or sharecropper who shared in the risk of producing tobacco on a farm where tobacco was produced, or considered planted, pursuant to a tobacco poundage quota or acreage allotment assigned to the farm for the 2002, 2003, or 2004 marketing years. The wetlands and highly erodible land provisions of part 12 of Title 7 and the controlled substance provisions of part 718 of Title 7 shall be applicable to payments made under 7 CFR Part 1463 to an eligible tobacco producer. However, the payment limitation provisions of part 1400 of Title 7 shall not be applicable to payments made under this part to an eligible tobacco producer.

**Beneficiary Eligibility:**

Tobacco quota holders, tobacco producers, and eligible assignees.

**Conditions/Documentation:**

Eligible quota holder means only a person who, as of October 22, 2004, has either a fee simple interest or life estate interest in the farm for which FSA established a farm basic marketing quota for the 2004 marketing year. To be eligible for TTPP, quota holders are the owners of a farm with an established 2004 basic marketing quota on their farm as of October 22, 2004, the date the President signed the bill that ends the quota system. Eligible tobacco producer means an owner, operator, landlord, tenant, or sharecropper who shared in the risk of producing tobacco on a farm where tobacco was produced, or considered planted, pursuant to a tobacco poundage quota or acreage allotment assigned to the farm for the 2002, 2003, or 2004 marketing years. For purposes of determining if an eligible tobacco producer has shared in the risk of producing a crop in the 2002, 2003, or 2004 crop years, CCC will consider evidence presented by a producer that includes, but is not limited to: written leases; contracts for the purchase of tobacco; crop insurance documents; or receipts for the purchase of items used in the production of tobacco.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants contact their local county Farm Service Agency Office or U.S. Department of Agriculture Service Center for sign-up information.

**Award Procedure:**

CCC will make a payment to each eligible producer in an amount equal to 10 percent of the total amount due under a contract entered into except that in the case an application was filed after June 17, 2005, the applicant will receive only the TTPP payments that have not been made as of the date the contract is approved.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

1 to 60 days.

**Appeals:**

A person may obtain reconsideration and review of any adverse determinations in accordance with the appeal regulations found at parts 11 and 780 of Title 7.

**Renewals:**

None.

**Formula and Matching Requirements:**

Eligible tobacco quota holders will receive \$7 per pound based upon their basic quota at the 2002 marketing year level. Producers of quota tobacco will receive up to \$3 per pound payment based on their share of the risk in the 2002, 2003, and 2004 crops of quota tobacco. The annual payment will be calculated by multiplying the eligible producer's Base Quota Level (BQL) for each farm for crop years 2002, 2003, or 2004 by \$0.10 per pound per year. For flue-cured and burley producers, the BQL will be equal to the 2002 effective quota produced on the farm. For tobacco other than flue-cured and burley, the producer's BQL will be equal to the 2002 basic allotment multiplied by the farm's 3-year average yield for the years 2001, 2002, and 2003.

**Length and Time Phasing of Assistance:**

The Tobacco Transition Payment Program (TTPP) provides payments to tobacco quota holders and tobacco producers beginning in 2005 and ending in 2014.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, Department of Agriculture.

**Records:**

Tobacco quota holders or any other individual or entity receiving payment for TTPP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payment was received.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments) FY 07 \$952,000,000; FY 08 est not available; and FY 09 est not reported. (NOTE: Estimated to be \$10 billion from FY 2007 through FY 2014.)

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in 7 CFR Part 1463, 2005, 2014 Tobacco Transition Program.

**Regional or Local Office:**

Farm Service Agency state offices can inform applicants of county office locations where applicants may sign up.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Tobacco Branch, STOP 0514, 1400 Independence Avenue, S.W., Washington, DC. 20250-0540, Telephone: (202) 720-2715.

**Web Site Address:**

[www.fsa.usda.gov/tobacco](http://www.fsa.usda.gov/tobacco) and <http://www.fsa.usda.gov/pas/publications/facts/html/ttpp05.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting eligibility requirements may receive assistance subject to the national payment factor. Applications are non-competitive.

## 10.153 MARKET NEWS

**FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Cotton Statistics and Estimates Act, 7 U.S.C. 471- 473, 473b, 475-476; Tobacco Inspection Act, 7 U.S.C. 511h; Agricultural Marketing Act of 1946, 7 U.S.C. 1622k; Tobacco Statistics Act, 7 U.S.C. 501-508; Naval Stores Act, 7 U.S.C. 91-99; Cotton Futures Act, 7 U.S.C. 15b; Peanut Statistics Act, 7 U.S.C. 951-

957; Food Security Act of 1985, as amended.

**OBJECTIVES:**

To provide timely and accurate information on prices, demand, movement, volume, and quality on all major U.S. agricultural commodities.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The information can be used by anyone as a basis for judging prevailing commodity values. Market news information is disseminated by the news media, as well as by mimeographed reports, bulletin boards, telephone, facsimile machines, data networks, and telegraph.

**Applicant Eligibility:**

Any public or private organization, or individual, including those located in the U.S. Territories, may subscribe to existing market news reports or bulletins pertaining to specific agricultural commodities.

**Beneficiary Eligibility:**

Anyone availing themselves of this service.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for Market News should be made to the appropriate commodity division of the AMS field office (see Appendix IV of the Catalog for listing of office locations). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Salaries and expenses) FY 07 \$32,182,000; FY 08 est \$32,745,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MB-40, "The Federal- State Market News Services;" MB-41, "Market News Service on Cotton;" MB-61, "The Market News Service on Fruits, Vegetables, Ornamental and Specialty Crops;" MB-44, "The Market News Service on Grain;" MB-63 "Market News Service on Dairy, MB-60 Market News Service and Poultry Products;" MB-43, "Market News Service for Tobacco and Naval Stores;" Annual Market Statistical Summaries are available for sale only through the AMS commodity divisions.

**Regional or Local Office:**

AMS field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4276.

**Web Site Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.250, Agricultural and Rural Economic Research; 10.950, Agricultural Statistics Reports; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library; 11.001, Census Bureau Data Products; 11.110,

Manufacturing and Services.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.155 MARKETING AGREEMENTS AND ORDERS

**FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Marketing Agreement Act of 1937, as amended, 7 U.S.C. 601, 602, 608a-e, 612, 614, 624, 671-674; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203, 7 U.S.C. 4501- 4513; Agriculture and Food Act of 1981, 7 U.S.C. 2242a.

**OBJECTIVES:**

Marketing Agreements and Orders are designed to stabilize market conditions and improve returns to producers through the establishment of minimum prices, regulating the quality and quantity of commodities sold through commercial channels, and providing market promotion.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

The provisions of orders and agreements are designed specifically to meet the marketing and economic problems of the commodity or area covered. For dairy products, the orders establish orderly marketing conditions in the sale of milk by dairy farmers to handlers, whereas fruit, vegetable, nut, and grass seed, are established to regulate the quantity and quality of products sold in commercial channels.

**Applicant Eligibility:**

Marketing orders are issued by the Secretary of Agriculture only after a public hearing where milk, fruit and vegetable producers, marketers, and consumers testify, and after farmers vote approval through a referendum. Growers of certain fruits, vegetables, and specialty crops (like nuts, raisins, olives, and hops). Dairy farmers are the primary applicants.

**Beneficiary Eligibility:**

The beneficiaries are producers of milk, fruit and vegetable products.

**Credentials/Documentation:**

Evidence (usually hearings) required indicating that agreement or order will assist in the orderly marketing of a commodity.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Made in the form of a letter to the Secretary of Agriculture fully documenting the need for an agreement or order.

**Award Procedure:**

Decision to establish or not to establish an agreement and order is made by the Secretary of Agriculture after public hearings and referendums are conducted.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Subject to time required to hold public hearings, investigations and to conduct a referendum. Approximately 1 year after start of public hearings.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Duration of agreement and order.

**Reports:**

Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order.

**Audits:**

Financial and program audits pertaining to marketing agreements and order transactions are made periodically.

**Records:**

Financial and statistical records relating to the operation of the agreement and order are to be maintained for 3 years.

**Account Identification:**

12-5209-0-2-605.

**Obligations:**

(Salaries and expenses) FY 07 \$15,493,000; FY 08 est \$16,798,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

(Marketing's conducted under agreements and orders) fiscal year 2006, estimate

\$24.9 billion.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

AH-421, Compilation of Agricultural Marketing Agreement Act; PA947, Can a Marketing Order Help?; PA-1095, Marketing Agreements and Orders for Fruits and Vegetables; AMS-565, Sources of Milk for Federal Order Markets by State and County; AMS-559, Questions and Answers on Federal Milk Marketing Orders; MB-27, The Federal Milk Marketing Order Program; SB-625, Federal Milk Order Market Statistics, Annual Summary; SB-624, Dairy Market Statistics, Annual Summary; MB-63, Market News Service on Dairy Products; How to Buy Dairy Products, HG-201; How to Buy Cheese, HG-193; How to Buy Butter, HG-148; Dairy Products Grading Services, MB-69; Judging and Scoring Milk and Cheese, FB-2259.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Associate Administrator, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4276.

#### **Web Site Address:**

<http://www.ams.usda.gov>.

#### **RELATED PROGRAMS:**

10.051, Commodity Loans and Loan Deficiency Payments; 10.500, Cooperative Extension Service; 36.001, Fair Competition Counseling and Investigation of Complaints.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

None.

### **10.156 FEDERAL-STATE MARKETING IMPROVEMENT PROGRAM**

#### **FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Agricultural Marketing Act of 1946, Section 204b, 7 U.S.C. 1623(b).

#### **OBJECTIVES:**

To assist in exploring new market opportunities for U.S. food and agricultural products and to encourage research and innovation aimed at improving the efficiency and performance of the marketing system.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Proposals may deal with barriers, challenges or opportunities manifesting at any stage of the marketing chain including direct, wholesale, and retail. Proposals may involve small, medium or large scale agricultural entities but should potentially benefit multiple producers or agribusinesses. Proprietary proposals that benefit one business or individual will not be considered. Proposals that address issues of importance at the State, regional or national level are appropriate for FSMIP. FSMIP also seeks unique proposals on a smaller scale that may serve as pilot projects or case studies useful as a model for others. Of particular interest are proposals that reflect a collaborative approach between the States, academia, the farm sector and other appropriate entities and stakeholders.

#### **Applicant Eligibility:**

State Departments of Agriculture, State Agricultural Experiment Stations and other appropriate State agencies.

#### **Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

#### **Credentials/Documentation:**

A grant agreement is entered into between the administering Federal agency and the State agency that submits the application.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Applicants must submit forms SF-424 and SF-424A, a narrative description of the proposal, and a supplemental budget. Supporting documents such as letters of support may be submitted.

#### **Award Procedure:**

The requests are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

#### **Deadlines:**

Mid-February.

#### **Range of Approval/Disapproval Time:**

4-5 months from the application deadline.

#### **Appeals:**

No formal appeal procedure.

#### **Renewals:**

Awards are generally for one year. Additional time to complete the project may be requested.

#### **Formula and Matching Requirements:**

States must at least match the request for grant funds. The match consists of cash or a combination of cash and in kind resources.

#### **Length and Time Phasing of Assistance:**

Payments are made to the States on an as needed, reimbursable basis over the grant period. Advance payments may be requested.

#### **Reports:**

Six month progress reports are required. A final financial status report and final project report are to be submitted to the Staff Officer no later than 90 days after the grant period ends. Field reviews are made by Federal-State Marketing Improvement Program personnel.

#### **Audits:**

In accordance with the provisions of 7 CFR Part 3052; Audits of States, Local Governments, and Nonprofit Organizations; which implement OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

#### **Records:**

States must keep all records relating to the grant for 3 years.

#### **Account Identification:**

12-2501-0-1-352.

#### **Obligations:**

(Grants) FY 07 \$1,334,000; FY 08 est \$3,209,000; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$21,000 to \$135,000. Average: \$51,385.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 75 proposals were submitted and it is estimated that 25 projects will be funded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

A request for proposals is announced each fall via agency press release, Federal Register notice, a letter to state departments of agriculture, and the program web site. Additional information about the Federal-State Marketing Improvement Program as well as links to final project reports are available at the program web site.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Staff Officer, Federal-State Marketing Improvement Program, Agricultural Marketing Service, Department of Agriculture, Room 4009-S, 1400 Independence Avenue S.W., Washington, DC 20250. Telephone: (202) 720-2704 Contact: Janise Zygmunt.

#### **Web Site Address:**

<http://www.ams.usda.gov/tmd/fsmip.htm>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

A wide spectrum of marketing projects relating to food and agricultural products: new markets, direct marketing, evaluation of consumer preferences, export opportunities, economic and market analysis, transportation, distribution, labeling, and producer education to improve business and marketing skills.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Project selection is based on several factors: relative need or importance of the problem to be addressed; benefits likely to be derived in relation to the funds requested; level of state and other nonfederal support; potential impact on other states or issues of national importance; measures to be used in evaluating the impact of the project; and unique innovative features of the project.

### **10.162 INSPECTION GRADING AND STANDARDIZATION**

(Agricultural Fair Practices Act)

#### **FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1622a-J, 1-n; Cotton Statistics and Estimates Act, 7 U.S.C. 473d; Cotton Futures Act, 7 U.S.C. 15b; Cotton Standards Act, 7 U.S.C. 51-65; Naval Stores Act, 7 U.S.C. 91-99; Tobacco Inspection Act, 7 U.S.C. 511 i-q; Wool Standards Act, 7 U.S.C. 415b-d; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C. 1031-1056; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 4501-4513; Tobacco Statistics Act, 7 U.S.C. 501-508; Food Security Act of 1985, as amended.

#### **OBJECTIVES:**



To develop and apply standards of quality and condition for agricultural commodities; to participate and assist in the development of international agricultural standards; and to conduct quarterly inspections of egg handlers and hatcheries.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

USDA grades are used by the owners of agricultural commodities and by dealers in these commodities to Hatcheries and shell egg handlers, except for producer-packers with an annual production from 3,000 hens or less packing for the retail consumer are required to be checked quarterly to determine the disposition of certain undergrade eggs.

**Applicant Eligibility:**

Any owner of or dealer in agricultural commodities who (a) has a financial interest in the commodity to be graded and (b) is located within the United States and its Territories. All hatcheries and shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located within the U.S. or its Territories.

**Beneficiary Eligibility:**

Buyers and sellers of agricultural commodities. Shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located in the U.S. or its Territories.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Request for grading of a commodity must be submitted to local AMS grading office in writing. Eligible hatcheries apply for registration by contacting: Chief, Poultry Grading Branch, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250.

**Award Procedure:**

Eligible hatcheries and shell egg handlers must complete registration forms.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

In cases in which applicants do not agree with the grade given, they may appeal for a review of the grade to the local AMS office.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352; 12-8015-0-7-352.

**Obligations:**

FY 07 \$192,129,000; FY 08 est \$198,132,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Number of bales of cotton classed in (thousands) fiscal year 2004, 18,306; fiscal year 2005, estimate 20,193; and fiscal year 2006 estimate, 17,726. Number of tobacco auction markets inspected fiscal year 2004, 100; fiscal year 2005, estimate 80; and fiscal year 2006, estimate 0. Pounds of imported and domestic tobacco inspected in (millions) fiscal year 2004, 1,246; fiscal year 2005, estimate 466; and fiscal year 2006, estimate 60. Pounds of poultry products graded (in millions) fiscal year 2004, 12,623; fiscal year 2005, 12,886; and fiscal year 2006, 13,102. Pounds of meat graded or accepted (in millions) fiscal year 2004, 39,745; fiscal year 2005, estimate 40,000; and fiscal year 2006, estimate 40,500. Shell eggs grading (mil. dz.) fiscal year 2004, 2,620; fiscal year 2005, estimate 2,690; and fiscal year 2006, estimate 2,750. Processed fruit and vegetable grading (mil. lbs.) fiscal year 2004, 20,131; fiscal year 2005, estimate 20,250; and fiscal year 2006, estimate 20,500. Fresh fruit and vegetable grading (mil. lbs.) fiscal year 2004, 76,000; fiscal year 2005, estimate 72,200; and fiscal year 2006, estimate 70,000. Livestock grading (mil. lbs.) fiscal year 2004, 40; fiscal year 2005, estimate 40; and fiscal year 2006, estimate 40. Dairy products

grading (mil. lbs.) fiscal year 2004, 1,600; fiscal year 2005, estimate 1,560; and fiscal year 2006, estimate 1,570.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 26-32, 41-70, 160- 171, 205; AH-533, "USDA Standards for Food and Farm Products;" Marketing Bulletin No. 37, "The Story of Cotton;" "Annual Report on Tobacco Statistics, AH-566, The Classification of Cotton;" Misc. Pub. No. 867, "Tobacco in the U.S.;" quarterly report-- "Tobacco Stocks Reports as of Jan. 1, April 1, July 1, and October 1;" MS-82, "Cotton Testing Service;" AMS-180 MB-41, "Market News Service on Cotton;" MB-43, 7 CFR 2851, 2852, 2853, 2855, 2856, 2858, 2870, 28171; AH-341, "USDA Standards for Food and Farm Products." AH-31, "Poultry Grading Manual." AH-75, "Egg Grading Manual." Egg and Egg Products Inspection Regulations (7 CFR Part 2859); POB-FL-33, Tobacco Market Review for Flue-cured; POB-LA-34, Tobacco Market Review for Burley; POB-LA-33, Tobacco Market Review for Fire and Dark Air.

**Regional or Local Office:**

Local Agricultural Marketing Service inspection, grading, and classing offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4276. Contact: Dr. Ken Clayton.

**Web Site Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.500, Cooperative Extension Service.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.163 MARKET PROTECTION AND PROMOTION

**FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1621-1627, 7 U.S.C. 2101-2119; Egg Research and Consumer Information Act, 7 U.S.C. 2701-2718; Export Apple and Pear Act, 7 U.S.C. 581-590; Export Grape and Plum Act, 7 U.S.C. 591-599; Federal Seed Act, 7 U.S.C. 1551-1611; National Wool Act of 1954, as amended, 7 U.S.C. 1787; Plant Variety Protection Act, 7 U.S.C. 2321-2331, 2351-2357, 2371-2372, 2401- 2404, 2421-2427, 2441-2443, 2461-2463, 2481-2486, 2501-2504, 2531-2532, 2541-2545, 2561-2569, 2581-2583; 7 U.S.C. 4301-4319; Cotton Research and Promotion Act, 7 U.S.C. 2101-2118; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 5111; Agricultural Fair Practices Act, 7 U.S.C. 2301-2306; Capper Volstead Act, 7 U.S.C. 291-292; Potato Research and Promotion Act, 7 U.S.C. 2611-2627; Beef Promotion and Research Act of 1985, 7 U.S.C. 2901-2911; Pork Promotion, Research, and Consumer Information Act of 1985, 7 U.S.C. 1612-1631; Dairy Research and Promotion Act, 7 U.S.C. 4501-4513, 4532; Watermelon Research and Promotion Act, 7 U.S.C. 4901-4916; Honey Research Promotion and Consumer Information Act, 7 U.S.C. 4601-4612; Soybean Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6301-6311; Mushroom Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6101- 6112; Fluid Milk Promotion Act of 1990, 7 U.S.C. 6401-6417; Organic Foods Production Act of 1990, 7 U.S.C. 6501-6522; Fresh Cut Flowers and Fresh Cut Greens Promotion and Information Act of 1993, 7 U.S.C. 6801- 6814; Popcorn Promotion Research, and Consumer Information Act, 7 U.S.C. 7481-7491; National Kiwifruit Research, Promotion, and Consumer Information Act, 7 U.S.C. 7461-7473.

**OBJECTIVES:**

The Federal Seed Program prevents mislabeled seed from moving in interstate commerce by providing for random sampling of seeds to insure accurate labeling of seed characteristics. The Plant Variety Protection Program offers legal protection to developers of new varieties of plants which reproduce by providing the equivalent of a patent to the plant's developer. The Research and Promotion Programs provide for the collection of an assessment for each commodity covered by statutes to enable the commodity industries to carry out research and promotion activities. It is the responsibility of the Agricultural Marketing Service to assure responsible use of these assessments in meeting the research and promotion objective. The Dairy and Tobacco Adjustment Act authorized the establishment of a National dairy promotion research and nutrition education program. To eliminate deceptive, unfair and fraudulent trade practices in the processing and marketing of food and agricultural products; provide assistance to those striving to achieve this objective. The Pesticide Data Program works with participating States to collect and analyze data on pesticide use and residue levels for selected commodities in the nation's food supply. This program provides statistically based data to Federal agencies for use in making policy decisions for regulatory and educational purposes.



**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:**

Assistance provided to assure fair and open marketing distribution system for agricultural products.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, and universities may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service.

**Credentials/Documentation:**

As provided for in applicable Acts as referred to in the Authorization Section above.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Procedures vary as provided for in applicable Acts. Contact appropriate area offices as listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

As provided for in applicable Acts.

**Audits:**

As provided for in applicable Acts.

**Records:**

As provided for in applicable Acts.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Provision of Specialized Services) FY 07 \$28,053,000; FY 08 est \$29,456,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Seed samples tested: Fiscal year 2004, 1,855; fiscal year 2005, estimate 2,000; and fiscal year 2006, estimate 2,000. Plant variety certificates of protection issued: Fiscal year 2004, 421; fiscal year 2005, estimate 325; and fiscal year 2006, estimate 325. Pesticide data samples collected: Fiscal year 2004, 12,573; fiscal year 2005, estimate 11,000; and fiscal year 2006, estimate 11,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PA-655 "Export Fruit Acts-Questions and Answers," AMS-592, Facts About Naming and Labeling Varieties of Seed," "The Plant Variety Protection Act," requirements under the Federal Seed Act for Labeling treated Seed," 7 CFR 33-35, 101- 151,201-202; PA-1005, "Farmers Rights Under the Agricultural Fair Practices Act."

**Regional or Local Office:**

Regional and local offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator, Agricultural Marketing Service.

**Web Site Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.155, Marketing Agreements and Orders; 36.001, Fair Competition Counseling and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.164 WHOLESALE FARMERS AND ALTERNATIVE MARKET DEVELOPMENT****FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Marketing Act of 1946.

**OBJECTIVES:**

To increase overall food marketing efficiency, thereby lowering the cost of marketing food through technical assistance to States and municipalities interested in creating or upgrading markets and marketing facilities.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:**

Assistance provided in cooperation with other government agencies and private industry to reduce marketing costs.

**Applicant Eligibility:**

Other government agencies and private industry. State, trade associations, universities, and other nonprofit organizations are eligible to apply for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, or OMB Circular No. A-21 for Educational Institutions.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs". An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Contact Vacant, Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

As provided for in the Act.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

As provided for in the Act.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

As provided for in the Agreement.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

As provided for in the Agreement.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 07 \$3,721,000; FY 08 est \$3,781,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vacant, Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-1305. Contact: Vacant.

**Web Site Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Study on the design of central refrigeration systems in modern food centers; study of wholesale and farmers' market use for distributing produce.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.165 PERISHABLE AGRICULTURAL COMMODITIES ACT

### FEDERAL AGENCY:

AGRICULTURAL MARKETING SERVICES, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Perishable Agricultural Commodities Act of 1930, as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497.

### OBJECTIVES:

To suppress unfair and fraudulent practices in the marketing of perishable agricultural commodities in interstate and foreign commerce. To prevent the destruction or dumping, without good and sufficient cause of farm produce received in interstate commerce by commission merchants and others and to require them truly and correctly to account for all farm produce received by them.

### TYPES OF ASSISTANCE:

Investigation of Complaints.

### USES AND USE RESTRICTIONS:

Assistance provided to assure a fair and open marketing distribution system for agricultural products. No specific restrictions.

### Applicant Eligibility:

Business and industry or individuals may apply for a PACA license.

### Beneficiary Eligibility:

Business and industry or individuals may apply for a PACA license.

### Credentials/Documentation:

As provided for in the Perishable Agricultural Commodities Act, 1930 as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Contact appropriate area offices listed in Appendix IV of the Catalog.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

As provided for in applicable Acts.

### Renewals:

As provided for in applicable Acts.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

As provided for in applicable Acts.

### Audits:

As provided for in applicable Acts.

### Records:

As provided for in applicable Acts.

### Account Identification:

12-5070-0-2-352.

### Obligations:

(Investigation of Complaints) FY 07 \$10,557,000; FY 08 est \$10,052,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

None.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Perishable Agricultural Commodities Act of 1930, and Regulations (other than rules of practice).

### Regional or Local Office:

Regional and local offices listed in Appendix IV of the Catalog.

### Headquarters Office:

Associate Administrator, Agricultural Marketing Service.

### Web Site Address:

<http://www.ams.usda.gov>.

### RELATED PROGRAMS:

36.001, Fair Competition Counseling and Investigation of Complaints.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 10.167 TRANSPORTATION SERVICES

### FEDERAL AGENCY:

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Agricultural Adjustment Act of 1938, 7 U.S.C. 1281 et seq.; Agricultural Marketing Act of 1946, 7 U.S.C. 1621 et seq.; Agricultural Trade and Assistance Act of 1954, 7 U.S.C. 1427, 1431, 1691, et seq.; Rural Development Act of 1972, 7 U.S.C. 2662, 2663; International Carriage of Perishable Foodstuff Act of 1982; Cooperative Marketing Act of 1926, 7 U.S.C. 291, 292.

### OBJECTIVES:

The Transportation Services program develops and promotes efficient agriculture transportation systems to help improve farm income, expand exports and meet the needs of rural America. The program provides technical and administrative direction, coordination, and leadership in the development and execution of agricultural transportation policies. Transportation Services provides a basis for Federal-State decision-makers in regulatory, policy and legislative matters in order to assure the transportation needs of rural communities and agriculture.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling; Training.

### USES AND USE RESTRICTIONS:

Assistance provided where it is determined that there is a significant regional impact at stake or a significant policy at issue with potentially broad implications.

### Applicant Eligibility:

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, universities, and nonprofit organizations may be eligible for cooperative agreements.

### Beneficiary Eligibility:

Producers, processors, and general public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

No formal application procedure specified; informal correspondence or personal contact is permissible. Contact Vacant, Director, Transportation and Marketing Division, Agricultural Marketing Service, USDA.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

12-2500-0-1-352.

### Obligations:

(Advisory Services and Counseling) FY 07 \$2,719,000; FY 08 est \$2,783,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

It is estimated that 12 research projects, 12 publications, and 25 workshops/conferences, will be completed in fiscal year 2006.

### REGULATIONS, GUIDELINES, AND LITERATURE:

None.

### Regional or Local Office:

None.

### Headquarters Office:

(Vacant), Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA, Washington, DC 20250. Telephone: (202) 690-1305.

### Web Site Address:

<http://www.ams.usda.gov>.

### RELATED PROGRAMS:

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.168 FARMERS' MARKET PROMOTION PROGRAM**

(Farmers' Market Promotion Program)

**FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To increase domestic consumption of agricultural commodities by improving and expanding, or assisting in the improvement and expansion of, domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities; and develop, or aid in the development of, new farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer infrastructures.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects must improve and expand, or assist in the improvement and expansion of, domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities through innovative approaches to market operations and management, improving access to relevant marketing and financial information, and consumer-based education and market access. Eligible entities must apply for FMPP funds on behalf of direct marketing operations that include two or more farmers/farm vendors who produce and sell their own products through a common distribution channel. Use of funds are based on documented needs, excluding, however, routine operational expenses such as management salaries or other salaries associated with normal operation of farm markets/marketing entities, utility bills, and insurance premiums. FMPP grant funds cannot be used to pay for acquisition, repair, rehabilitation, or construction of a building or facility; acquisition of land; political or lobbying activities; or any activities prohibited by 7 CFR parts 3015 and 3019. Additional detail and justification must be provided for any purchase that is expected to exceed \$5,000.

**Applicant Eligibility:**

Agricultural cooperatives, local governments, nonprofit corporations, public benefit corporations, economic development corporations, regional farmers market authorities, and Tribal governments. Projects must be located within the 50 States or the District of Columbia.

**Beneficiary Eligibility:**

Direct marketing operations that include two or more farm vendors who produce and sell their own products through a common marketing channel, and consumers.

**Credentials/Documentation:**

Applicants must provide documentation as to how they meet the definition of an eligible entity.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants must submit forms SF-424, SF-424A, and SF-424B, an eligibility statement, a narrative description of the proposal including project title, executive summary, goals, background, workplan and resource requirements, and expected results, a supplemental budget summary, and any supporting documents such as letters of support.

**Award Procedure:**

Applications are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Contact the Farmers Market Promotion Program contact for application deadlines.

**Range of Approval/Disapproval Time:**

120 to 180 days from the application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects are not to exceed 18 months. Grant payments are made on an as-needed basis over the grant period. Advance payments may be requested.

**Reports:**

Progress reports are required at the midpoint of projects approved for one year and at 6-month intervals for projects of longer duration. A final report of results and accomplishments and form SF 269A must be submitted no later than 90 days after the grant ends.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees and sub-grantees must keep all records relating to the grant for 3 years from the date the SF-269A is submitted to the Agricultural Marketing Service.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

FY 07 \$1,000,000; FY 08 est \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The maximum grant is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for the Farmer Market Promotion Program are posted at <http://www.ams.usda.gov/tmd/MSB/index.htm> or may be obtained from the Farmers Market Promotion Program contact.

**Regional or Local Office:**

None.

**Headquarters Office:**

Farmers Market Promotion Program, Marketing Services Branch, Transportation and Marketing Programs, Agricultural Marketing Service, USDA, Room 2646-South, STOP 0269, 1400 Independence Avenue, S.W., Washington, DC 20250-0269. Telephone: (202) 720-8317. Contact: Errol Bragg.

**Web Site Address:**

<http://www.ams.usda.gov/tmd/MSB/index.htm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the following criteria: need for the project, direct benefit to farmers/vendors, project innovation, degree of collaboration/partnerships and farmer/producer participation, quantitative evaluation and measurement of the project's impact, long-term project sustainability, transferability of project outcomes, and reasonableness of the budget.

**10.169 SPECIALTY CROP BLOCK GRANT PROGRAM**

(SPECIALTY CROP BLOCK GRANT PROGRAM)

**FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note.

**OBJECTIVES:**

To increase fruit, vegetable, and nut consumption and improve the competitiveness of United States specialty crop producers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects must enhance the competitiveness of specialty crops.

**Applicant Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, universities, and general public.

**Credentials/Documentation:**

A grant agreement is entered into between the Agricultural Marketing Service and the State department of agriculture that submits the application.

**Preapplication Coordination:**

This program is not subject to the provisions of Executive Order 12372, which requires intergovernmental consultation with State and local officials. See the Notice related to 7 CFR Part 3015, Subpart V published at 48 FR 29115 (June



24, 1983).

**Application Procedure:**

The State department of agriculture submits SF-424 and a State plan identifying the lead agency charged with the responsibility of carrying out the plan and indicating how the grant funds will be utilized to enhance the competitiveness of specialty crops.

**Award Procedure:**

Applications are reviewed by the Agricultural Marketing Service. Grantees are notified of the amount awarded by allotment letter. Grant payments are made by the electronic transfer system.

**Deadlines:**

The Agricultural Marketing Service annually publishes application dates and deadlines in the Federal Register.

**Range of Approval/Disapproval Time:**

90 to 180 days from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

Awards are for 3 years. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

Each State that applies is to receive \$100,000. In addition, each State will receive an amount that represents the proportion of the value of specialty crop production in the state in relation to the national value of specialty crop production using the latest available complete specialty crop production data set in all states whose applications are accepted.

**Length and Time Phasing of Assistance:**

Funds are advanced in one lump sum. Applicants generally have 3 years to use the funds, but extensions may be granted.

**Reports:**

Annual performance reports are required. A final performance report and financial report are required within 90 days after the expiration date of the grant period.

**Audits:**

The State is required to conduct an audit of the expenditures of specialty crop block grant funds in accordance with Government Auditing Standards not later than 60 days after expiration of the grant period. Not later than 30 days after completion of the audit, the State shall submit a copy of the audit results with an executive summary to the Agricultural Marketing Service.

**Records:**

The State shall retain financial and other records relating to the funds and these programs for a period of three years after expiration of the grant period or until final resolution of any audit findings or litigation claims relating to this program.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

FY 07 \$6,930,000; FY 08 \$8,440,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

New program, not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Project Manager, Specialty Crop Block Grant Program, Agricultural Marketing Service, Department of Agriculture, Room 2086-S, 1400 Independence Avenue S.W., Washington, DC 20250. Telephone: (202) 690-4942, Fax: (202) 690-0102.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated based on the potential for enhancing the competitiveness of specialty crops.

**10.170 SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL**

**FEDERAL AGENCY:**

AGRICULTURAL MARKETING SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246).

**OBJECTIVES:**

To increase fruit, vegetable, and nut consumption and improve the

competitiveness of United States specialty crop producers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects must enhance the competitiveness of specialty crops. Funds under this program may be used to support horticulture, including turfgrass sod and herbal crops; horticulture is not eligible under 10.169. Use of funds will be monitored to ensure that funds are promoting specialty crops as defined under the Specialty Crop Competitiveness Act of 2004.

**Applicant Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State. Guam, American Samoa, U.S. Virgin Islands, and Northern Mariana Islands are eligible to receive grants under this program; they are not eligible under 10.169.

**Beneficiary Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State.

**Credentials/Documentation:**

A grant agreement is entered into between the Agricultural Marketing Service and the State department of agriculture that submits the application.

**Preapplication Coordination:**

This program is not subject to the provisions of Executive Order 12372, which requires intergovernmental consultation with State and local officials. See the Notice related to 7 CFR Part 3015, Subpart V published at 48 FR 29115 (June 24, 1983).

**Application Procedure:**

The State department of agriculture submits SF-424 and a State plan identifying the lead agency charged with the responsibility of carrying out the plan and indicating how the grant funds will be utilized to enhance the competitiveness of specialty crops. In developing their plans, States must take into consideration the views of beginners and socially disadvantaged farmers and ranchers, and take steps to perform outreach to these groups. State plans should be developed through a competitive process in order to ensure maximum public input and benefit. The States should develop a transparent process of receiving and considering public comment. States are encouraged to submit grant plans that include multi-State and regional project proposals.

**Award Procedure:**

Applications are reviewed by the Agricultural Marketing Service. Grantees are notified of the amount awarded by allotment letter. Grant payments are made by the electronic transfer system.

**Deadlines:**

The Agricultural Marketing Service annually publishes application dates and deadlines in the Federal Register.

**Range of Approval/Disapproval Time:**

90 to 180 days from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

Awards are for 3 years. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

Each State that applies is to receive \$100,000 or 1/3 of 1 percent, whichever is equal to or higher of the total amount of funding made available in each fiscal year. In addition, each State will receive an amount that represents the proportion of the value of specialty crop production in the state in relation to the national value of specialty crop production using the latest available complete specialty crop production data set in all states whose applications are accepted. These requirements differ from the formula used for 10.169.

**Length and Time Phasing of Assistance:**

Funds are advanced in one lump sum. Applicants have up to 3 years to use the funds.

**Reports:**

Annual performance reports are required. A final performance report and financial report are required within 90 days after the expiration date of the grant period.

**Audits:**

The State is required to conduct an audit of the expenditures of specialty crop block grant funds. Not later than 30 days after completion of the audit, the State shall submit a copy of the audit results with an executive summary to the Agricultural Marketing Service.

**Records:**

The State shall retain financial and other records relating to the funds and these programs for a period of three years after expiration of the grant period or until final resolution of any audit findings or litigation claims relating to this program.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Grants) FY 07 \$0; FY 08 \$10,000,000; and FY 09 est \$49,000,000.

**Range and Average of Financial Assistance:**

Not applicable.



**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Project Manager, Specialty Crop Block Grant Program, Agricultural Marketing Service, Department of Agriculture, Room 2086-S, 1400 Independence Avenue S.W., Washington, DC 20250. Telephone: (202) 690-4942, Fax: (202) 690-0102.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated based on the potential for enhancing the competitiveness of specialty crops.

**10.200 GRANTS FOR AGRICULTURAL RESEARCH, SPECIAL RESEARCH GRANTS**

(Special Research Grants)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 2(c), Public Law 89-106, 7 U.S.C. 450i(c), as amended.

**OBJECTIVES:**

To carry out research, to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the nation and to facilitate or expand on-going State-Federal food and agricultural research programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Areas of basic and applied research and extension and education are generally limited to high priority problems of a regional or national scope. Areas currently awarded on a competitive basis include Pest Management Alternatives and Citrus Tristeza Research.

**Applicant Eligibility:**

Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Beneficiary Eligibility:**

For Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Formal proposals are solicited and should be submitted to the Proposal Services Unit, Competitive Programs, CSREES, USDA, as outlined in the guidelines and/or requests for proposals. Application procedures are contained in the guidelines or request for applications. This program is subject to the provisions of OMB Circular No. A-110, Special Research Grants Program Administrative Provisions.

**Award Procedure:**

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadline dates are announced on Agency's Web site and in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From four to six months.

**Appeals:**

None.

**Renewals:**

Requests for renewal support must be submitted as new proposals at the announced deadline, and are considered in equal competition with other proposals.

**Formula and Matching Requirements:**

As announced in the request for applications.

**Length and Time Phasing of Assistance:**

From 1 to 3 years.

**Reports:**

Quarterly financial reports. Annual progress reports. Final financial and final summary progress reports.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations."

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

FY 07 \$13,682,210; FY 08 est \$16,954,704; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$56,664 to \$9,549,325. Average: \$46,183.

**PROGRAM ACCOMPLISHMENTS:**

Example of accomplishments: To address some problems of the small fruit industry, one State conducted research on a variety of small fruit crops as outlined by the industry on breeding and genetics, plant viruses and diseases, integrated pest management, processing, plant hardiness, plant physiological factors, and marketing.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pages 50994-50996 and 50998-50999, Federal Register, Vol. 54, No. 236, Part IX, December 11, 1989; 7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019 (Uniform Federal Assistance Regulations for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; 7 CFR 3400, Special Research Grants Administrative Provisions, Federal Register, November 15, 1991, Vol 56, No. 221, pages 58146-58152.

**Regional or Local Office:**

None.

**Headquarters Office:**

Competitive Programs, Proposal Services Unit, Stop 2245, 1400 Independence Ave., SW., Washington, DC 20250-2245 Telephone: (202) 401-5048.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research\_Compulsive Research Grants; 10.207, Animal Health and Disease Research; 10.215, Sustainable Agriculture Research and Education; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Northwest Center for Small Fruits Research Program; Arid Rangelands; Economic Impacts of Agricultural and Macroeconomic Policy on the U.S. Livestock; Cataloging Genes Associated with Drought or Disease Resistances in Crop Plants.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program; overall scientific and technological quality of proposal; research competence of the principal investigator(s), research team and support personnel; adequacy of facilities, equipment, and related program support; justification of support requested in relation to objectives and procedures; feasibility of attaining objectives during life of proposed research; awareness of published literature and current research related to proposed research; relevance of importance of proposed research to solution of specific areas of inquiry; and estimate of expected benefits.

**10.202 COOPERATIVE FORESTRY RESEARCH**

(McIntire-Stennis Act)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Cooperative Forestry Research Act of 1962, Public Law 87-788, 16 U.S.C. 582a-7; Education Amendments of 1972, Section 506, Public Law 92-318; Education Amendments of 1980, Section 1361, Public Law 96-374, 7 U.S.C. 301 note; Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127.

**OBJECTIVES:**

To encourage and assist the States in carrying on a program of State forestry research at State forestry schools, and to develop a trained pool of forest scientists capable of conducting needed forestry research.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Forestry research at certified State institutions in the nine categories which follow: (1) Reforestation and management of land for the production of crops of timber and other related products of the forest; (2) management of forest and related watershed lands to improve conditions of water flow and to protect resources against flood and erosion; (3) management of forest and related rangeland for production of forage and domestic livestock and game and improvement of food and habitat for wildlife; (4) management of forest lands for outdoor recreation; (5) protection of forest lands for outdoor recreation; (6) protection of forest resources against fire, insects, diseases, or other destructive agents; (7) utilization of wood and other forest products; (8) development of sound policies for the management of forest lands and the harvesting and marketing of forest products; and (9) such other studies as may be necessary to obtain the fullest and most effective use of forest resources.

**Applicant Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State- certified forestry schools and other groups concerned with forestry research. This program is also available to Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana Islands, and Micronesia.

**Beneficiary Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State- certified forestry schools and other groups concerned with forestry research. This program is also available in Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana, and Micronesia.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

No application required for the release of funds but funds can be expended only on projects approved by CSREES. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

To receive an annual allotment of funds, each eligible institution must first submit its annual research program to CSREES for approval. All projects on which it is proposed to expend research funds during the fiscal year must first be approved by CSREES.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Act provides that the apportionment among States shall be determined by the Secretary after consultation with the Cooperative Forestry Research Advisory Council. The statistical factors used for allocation of fund are: (1) Area of nonfederal commercial forest land (40 percent) (and the source is "An Analysis of the Timber Situation in the U.S.," 1952-2030, FS/USDA), (2) volume of timber cut annually from growing stock (40 percent) (and the source is "An Analysis of the Timber Situation in the U.S.," 1952-2030, FS/USDA); and (3) nonfederal funds expended for forestry research (20 percent) (and the source is "Current Research Information System"). The Act limits the Federal payments to amounts made available and budgeted from nonfederal sources for expenditure for forestry research.

**Length and Time Phasing of Assistance:**

One year subsequent to year of appropriation up to 5 percent of unobligated balance September 30 carried over for obligation in subsequent year. Funds released as needed to finance current operations.

**Reports:**

Fiscal year annual plan of work due August 15 of each year for the fiscal year starting in October; Annual program financial report due December 1; Annual progress report due February 15; Certification of Offset and Certification of Entitlement due prior to October 1; and Past Year Obligations by Project due December 15.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Maintained by project. Retain payment documents three years.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$28,356,226; FY 08 est \$19,375,580; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$30,281 to \$694,074. Average: \$322,889.

**PROGRAM ACCOMPLISHMENTS:**

Researchers in one State have completed a project studying the plant growth and environmental consequences of different "manufactured soil" materials developed from paper mill sludge and residuals. They have developed a research plan for paired watershed studies and focused on intensive quantitative soil sampling. This research provided information that helps determine the risk of air pollution, climate change, land application of residuals, or harvesting on forest health and associated freshwater quality.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the McIntire-Stennis Cooperative Forestry Research Program, January, 1982; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); and 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Natural Resources and Environment, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4318.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research\_Competitive Research Grants; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.203 PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER THE HATCH ACT**

(Hatch Act)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Hatch Act of 1887, as amended; Public Law 84-352, 7 U.S.C. 361a-361i; Education Amendments of 1972, Section 506, Public Law 92-318; Public Law 93-471; Public Law 95-113; Education Amendments of 1980, Section 1361, Public Law 96-374, 7 U.S.C. 301; Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.

**OBJECTIVES:**

To support agricultural research at State Agricultural Experiment Stations. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life. Up to 25 percent of funds to be used for integrated cooperative research and extension activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Money appropriated pursuant to this Act shall also be available, in addition to meeting expenses for research and investigations conducted under authority of Section 2, for printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research. The State Agricultural Experiment Stations are authorized to plan and conduct any research authorized under Section 2 of this Act in cooperation with each other and such other agencies and individuals as may contribute to the solution of the agricultural problems involved, and moneys appropriated pursuant to this Act shall be available for paying the necessary expenses of planning, coordinating, and conducting such cooperative research. Up to 25 percent of funds to be used for integrated cooperative research and extension activities.

**Applicant Eligibility:**

Funds under the Hatch Act are allocated in accordance with the statutory formula stated in the Act to the State agricultural experiment stations of the 50 States, the District of Columbia, Guam, Puerto Rico, the Virgin Islands, American Samoa, Micronesia, and Northern Mariana Islands. These institutions have been identified and declared eligible by their respective State legislatures.

**Beneficiary Eligibility:**

Funds under the Hatch Act are allocated in accordance with the statutory formula stated in the Act to the State agricultural experiment stations of the 50 States, the District of Columbia, Guam, Puerto Rico, the Virgin Islands, American Samoa, Micronesia, and Northern Mariana Islands. These institutions have been identified and declared eligible by their respective State legislatures.

**Creditentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

State 5-year plans of work must be submitted to and approved by CSREES before funds are released. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019.

**Award Procedure:**

Awards are made to States according to statute.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Formula: Payments to States for fiscal year 1955 was a fixed base and sums appropriated in excess of 1955 level use the following fund allocation statistical factors: (1) 20 percent allotted equally to each State; (2) not less than 52 percent to States as follows: One-half in an amount which bears the same ratio as the rural population of the State bears to the total rural population of all the States (and the source is the 1990 Decennial Census); and one-half in an amount which bears the same ratio as the farm population of the State bears to the total farm population of all the States (and the source is the 1990 Decennial Census); and (3) at least 25 percent to States for cooperative research in which 2 or more State agricultural experiment stations are cooperating to solve problems of agriculture in more than one State. The statistical factor used for eligibility does not apply to this program. Matching requirement: Federal funds must be matched with nonfederal funding on a dollar-for-dollar basis. In the case of Guam, the Virgin Islands, Micronesia, Northern Mariana Islands, and American Samoa, Federal funds are subject to not less than a 45 percent match with nonfederal funds in fiscal year 2001; and not less than a 50 percent match with nonfederal funds in fiscal year 2002 and each fiscal year thereafter.

**Length and Time Phasing of Assistance:**

Fiscal year appropriated. Unobligated balance September 30 deducted from subsequent year allocation. Funds are released quarterly under the electronic transfer system.

**Reports:**

Due dates and plans of work and reporting requirements will be provided to eligible institutions by the agency.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Maintained by project. Retain payment documents 3 years.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$304,477,264; FY 08 est \$154,804,258; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$611,608 to \$5,831,557. Average: \$2,796,141.

**PROGRAM ACCOMPLISHMENTS:**

Examples of accomplishments: (1) Researchers developed a computerized system that uses infrared video to assess spray coverage of crop protection products on the complex surface of a vertical grain head; (2) Researchers conducted a scientific review of available information and concluded that dietary fat recommendations for adults have been inappropriately applied to children. The researchers suggested that dietary fat should not be restricted until 5 years of age and reduced gradually down to 30 percent throughout childhood and teen years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Hatch (Experiment Station) Act as amended, Agricultural Handbook No. 381 revised November 1980; Manual for Cooperative Regional Research, revised 1986; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Partnerships, Cooperative State Research, Education and Extension Service, Department of Agriculture, Washington, DC 20250-2201. Telephone: (202) 720-5623.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research\_Compertitive Research Grants; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.205 PAYMENTS TO 1890 LAND-GRANT COLLEGES AND TUSKEGEE UNIVERSITY**

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, Section 1445, Public Law 95- 113; Public Law 95-547; Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.

**OBJECTIVES:**

To support continuing agricultural research at colleges eligible to receive funds under the Act of August 30, 1890 (26 Stat. 417-419, as amended; 7 U.S.C. 321-326 and 328), including Tuskegee University. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Moneys appropriated pursuant to Public Law 95-113, Section 1445, shall be used for expenses of conducting agricultural research, printing, disseminating the results of such research, contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 39-40, as amended; 7 U.S.C. 331), administrative planning and direction, and purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting agricultural research. The eligible institutions are authorized to plan and conduct agricultural research in cooperation with each other and such agencies, institutions, and individuals as may contribute to the solution of agricultural problems, and moneys appropriated pursuant to Section 1445 shall be available for paying the necessary expenses of planning, coordinating, and conducting such cooperative research.



**Applicant Eligibility:**

Sixteen 1890 Land-Grant Colleges and Tuskegee University as specified in the Act. Funds are appropriated by Congress for distribution to eligible institutions in accordance with the statutory formula as stated in the Act. This program is available in the States of Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia.

**Beneficiary Eligibility:**

Sixteen 1890 Land-Grant Colleges and Tuskegee University as specified in the Act. Funds are appropriated by Congress for distribution to eligible institutions in accordance with the statutory formula as stated in the Act. This program is available in the States of Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, and West Virginia.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

No application necessary for the release of funds, but funds must be accounted for by projects previously approved by CSREES. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019.

**Award Procedure:**

To receive an annual allotment of funds, each eligible institution or State must first submit a plan of work to CSREES for approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Fiscal year appropriated. Unobligated balance in excess of five percent on September 30 deducted from subsequent year allocation. Funds released quarterly under the electronic transfer system.

**Reports:**

Eligible recipients will be notified by CSREES of any changes in plan of work and reporting due dates or other requirements.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Maintained by project. Retain payment documents three years.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$38,366,135; FY 08 est \$36,251,543; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$518,078 to \$1,539,502. Average: \$1,571,245.

**PROGRAM ACCOMPLISHMENTS:**

This program supports continuing agricultural research at the 1890 Colleges and Tuskegee University. This program also supports development of agricultural expertise by providing training opportunities for students to assist in the research projects being conducted by scientists at these institutions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for Evans-Allen Cooperative Agricultural Research, May 1982; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other nonprofit organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader, Multicultural Alliances, Cooperative State Research, Education, and Extension Service, Department of Agriculture; Stop 2251; 1400 Independence Avenue, SW; Washington, DC 20250-2251; Telephone: (202)720-3511.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for

Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.206, Grants for Agricultural Research\_Compétitive Research Grants; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.206 GRANTS FOR AGRICULTURAL RESEARCH-COMPETITIVE RESEARCH GRANTS**

(NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 2(b), Public Law 89-106, 7 U.S.C. 450i(b), as amended; Section 1414, Public Law 95-113; Section 1415, Public Law 97-98; Section 1409, Public Law 99-198; Section 1615, Public Law 101- 624; Public Law 104-127; Public Law 105-185; Public Law 108-7.

**OBJECTIVES:**

To support research, education and extension grants that address key problems of national, regional and multistate importance in sustaining all components of agriculture (farming, ranching, forestry, aquaculture, rural communities, human nutrition and obesity, food and fiber processing, etc.) Providing this support to US agriculture requires that the NRI advance fundamental. Building on these discoveries will necessitate new efforts in education and extension that deliver science-based knowledge to people, allowing them to make informed practical decisions. All grants are awarded on a competitive basis.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The selected areas for research, education and extension grants are broad and change as the needs of US agriculture change. Applicants should check the request for applications for changes. Priorities are identified for: agricultural security; plant science and plant pathology; animal science; entomology and nematology; natural resources and environment; nutrition/obesity; food quality and health; markets and trade; rural development; new products and processes; and nanotechnology. Grant funds may be used for costs necessary to conduct research, education and extension (salaries and wages, scientific equipment, materials and supplies, travel, publication costs, and other allowable direct and indirect costs). Applicants should check the annual request for applications for limitation on indirect costs. The primary responsibility for general supervision of all grant activities rests with the grantee organization; the project director is responsible for the work defined in the grant. Funds may not be used for purposes other than those specified in the grant.

**Applicant Eligibility:**

For research grants applicant eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, other U.S. research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For integrated research, education and extension grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, research foundations maintained by colleges or universities, private research organizations with established and demonstrated capacities to perform research or technology transfer, Federal research agencies and national laboratories. Proposals from scientists at non-U.S. organizations will not be considered for support.

**Beneficiary Eligibility:**

For research grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, other U.S. research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For integrated research, education and extension grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, research foundations maintained by colleges or universities, private research organizations with established and demonstrated capacities to perform research or technology transfer, Federal research agencies and national laboratories. Proposals from scientists at non-U.S. organizations will not be considered for support.

**Credentials/Documentation:**

Each prospective grantee organization must furnish the organizational information and assurances specified in the guidelines. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.



**Application Procedure:**

Formal proposal to National Research Initiative Competitive Grants Program, USDA/CSREES as outlined in the guidelines. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019.

**Award Procedure:**

National Research Initiative Competitive Grants Program staff members review and evaluate all proposals with the assistance and advice of a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadlines are announced in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Proposals for renewal, should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Normally, competitive research projects will be supported for periods of up to four years.

**Reports:**

Annual progress reports due within 90 days after anniversary of grant effective date and final technical report due 90 days after expiration of grant. Federal cash transaction reports and financial status reports as in Attachment G of OMB Circular A-110.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during life of the grant and for 3 years thereafter.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$175,142,784; FY 08 est \$240,084,000; and FY 09 est not reported. Note: Grants are competitively awarded.

**Range and Average of Financial Assistance:**

\$4,000 to \$5,000,000. Average: \$183,607.

**PROGRAM ACCOMPLISHMENTS:**

Significant accomplishments include: (1) Genomics - Support for international efforts to complete a draft sequence of the rice and bovine genomes. The rice sequence will serve as a model system that is now greatly accelerating the understanding of all cereals. (2) Biofuels - research has resulted in the development of more efficient bioprocessing of agricultural wastes into ethanol, making the process much more economically viable. (3) Pests and Diseases - Fundamental research has led to the development of a preventative treatment for screw worm, a devastating pest of livestock. It is estimated that this development will save US agriculture over \$1 billion annually by preventing losses in production and overcoming international trade barriers related to this pest. (For more information see the program web site [www.reeusda.gov/nri](http://www.reeusda.gov/nri)).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pages 61290-61306 Federal Register, Vol. 56, No. 231, Part II, December 2, 1991; 7 CFR 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying. National Competitive Research Initiative Grants Program Administrative Provisions, Federal Register, Vol. 56, No. 220, Pages 57950-57958, November 14, 1991; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief Scientist, National Research Initiative Competitive Grants Program, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Ag Box 2241, 14th and Independence Avenue, SW., Washington, DC 20250-2241. Telephone: (202) 401-5022.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry

Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Influence of the Amounts of Dietary Fat on the Absorbance of Plant Carotenes, Integrating Ecology and Economics for Managed Forest Landscapes, Smart Combination of Heating Modes for Improved Quality, Speed and Safety of Food Processing, RNA Dependent RNA Polymerases in Plant Antiviral Defense and Gene Silencing, Lymphopineal Interactions in the Chicken. Abstracts of all funded projects are available on the program web site [www.reeusda.gov/nri](http://www.reeusda.gov/nri).

**CRITERIA FOR SELECTING PROPOSALS:**

1. The scientific merit of the application for research, education and/or extension, including: (a) novelty innovation and originality, (b) where model systems are used the ability to transfer knowledge gained to organisms of importance to US agriculture, (c) conceptual adequacy, (d) clarity and delineation of objectives, (e) adequacy and suitability of the methodology (f) demonstration of feasibility through preliminary data (g) Probability of success. 2. Qualifications of the proposed project personnel and adequacy of the facilities 3. Planning and administration of the project 4. Relevance of the proposal to improvements in, and sustainability of, US agriculture as specified in the request for applications.

**10.207 ANIMAL HEALTH AND DISEASE RESEARCH****FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1433, Public Law 95-113, as amended; Section 1429, Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.

**OBJECTIVES:**

To support animal health and disease research at eligible Schools and Colleges of Veterinary Medicine, and State Agricultural Experiment Stations whose purpose is to improve the health and productivity of food animals and horses through effective prevention, control or treatment of disease, reduction of losses from transportation and other hazards, and protect human health through control of animal diseases transmissible to people.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Research on animal health and disease of food animals and horses conducted in eligible institutions under the following categories: (1) Infectious diseases; (2) internal and external parasites; (3) noninfectious diseases, toxins, poisons, transportation losses, predators and other hazards; (4) diseases and parasites of wildlife transmissible to food animals and horses; and (5) diseases and parasites of animals transmissible to people.

**Applicant Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

**Beneficiary Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

**Creditentials/Documentation:**

The current capacity in food animal health and disease research must be documented annually by eligible institutions. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All eligible institutions must file a current, certified list of animal health and disease research capacity prior to the fiscal year for which funds are appropriated. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

No application is necessary, but payment of funds is contingent on the approval of an annual plan for programs to be conducted. Funds can be expended only on projects approved by CSREES. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019.

**Award Procedure:**

The release of funds to eligible institutions is contingent upon the filing of an approved Program of Research and the certification that required nonfederal funds are available to meet matching requirements. Funds can be expended only

by the recipient institution and only on research having had prior approval by The Cooperative State Research, Education, and Extension Service (CSREES).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Act provides that the Secretary in consultation with the Animal Health Science Research Advisory Board shall distribute 48 percent of the funds to the States on the basis of livestock value and income as determined by the Department of Agriculture data. Forty-eight percent of the funds shall be distributed on the basis of animal health and disease research capacity of eligible institutions. Distribution of a State's allocation among its eligible institutions is made on the basis of the animal health research capacity of these institutions. Animal health research capacity is measured by the annual expenditures (excluding Section 1433 funds) and scientist year equivalents in animal health and disease research in eligible institutions. The Act limits the annual Federal payment a State may receive in excess of \$100,000 to that amount made available and budgeted from nonfederal sources for expenditures on animal health and disease research.

**Length and Time Phasing of Assistance:**

Funds must be expended or obligated in the year for which the appropriation was made. Unliquidated obligations must be paid in the fiscal year following the year of appropriation. Funds are released quarterly as needed to finance current operations.

**Reports:**

Fiscal year annual plan of work due August 15 of each year for the fiscal year starting in October. Annual program financial report due December 1; Annual progress report due February 15; Certification of Offset and Entitlement due prior to October 1; Past year Obligations by Project due December 15.

**Audits:**

In accordance with the provisions of OMB Circular No A-133(Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No A-133.

**Records:**

Maintained by project. Retain payment documents three years.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$4,651,359; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,586 to 408,854. Average: \$65,515.

**PROGRAM ACCOMPLISHMENTS:**

Example of accomplishments include: Researchers developed the J-5 vaccine to prevent coliform mastitis infections in dairy cattle. This preventive strategy also reduces use of antibiotics protecting consumers from possible drug residues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Continuing Animal Health and Disease Research Program, August 1982; 7 CFR Part 3015, USDA Uniform Federal Assistant Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Plant and Animal Science, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 401-4329.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.025, Plant and Animal Disease, Pest Control, and Animal Care; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research\_Competitive Research Grants; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry

Research.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.210 FOOD AND AGRICULTURAL SCIENCES  
NATIONAL NEEDS GRADUATE FELLOWSHIP GRANTS**

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, Section 1417b(b)(6), Public Law 95-113, 7 U.S.C. 3152.

**OBJECTIVES:**

To award grants to colleges and universities that have superior teaching and research competencies in the food and agricultural sciences to encourage outstanding students to pursue and complete a graduate degree at such institutions in an area of the food and agricultural sciences for which there is a national need for the development of scientific expertise. Therefore, institutions that currently have excellent programs of graduate study and research in the food and agricultural sciences dealing with targeted national needs are particularly encouraged to apply. Starting in fiscal year 1997, The Cooperative State Research, Education, and Extension Service (CSREES) will provide support on a biennial basis and combine appropriations from 2 fiscal years into one competition to be held during odd-numbered years.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Competitive annual grants providing for a limited number of graduate stipends are awarded to selected U.S. institutions of higher education so as to distribute support for graduate study to promising food and agricultural scientists and professionals. Individuals selected initially by the institution must enroll in a program leading to a graduate, master's or doctoral degree in one of the targeted national needs areas of the food and agricultural sciences. Such persons may not have been enrolled previously in the program at the same degree level. Current fellows are eligible to receive supplemental grants of \$3,000 to cover travel and living expenses for special international study or thesis/dissertation research experiences. Funding for the supplemental grants will be awarded on a competitive basis using no-year funds drawn from expired fellowship grants with unspent funds remaining as set forth in the annual program guidelines.

**Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities that confer a master's or doctoral degree in at least one area of the food and agricultural sciences targeted for national needs fellowships. As defined in Section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3103), the terms "college" and "university" mean "an educational institution in any State which: (a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (b) is legally authorized within such State to provide a program of education beyond secondary education; (c) provides an educational program for which a bachelor's degree or any other higher degree is awarded; (d) is a public or other nonprofit institution; and (e) is accredited by a nationally recognized accrediting agency or association." Eligibility also applies to research foundations maintained by eligible colleges or universities.

**Beneficiary Eligibility:**

Funds awarded in this program are used to support the training of graduate students to obtain either a master's or doctoral degree in one of the targeted specializations of the food and agricultural sciences.

**Credentials/Documentation:**

Each prospective grantee institution must furnish the information and assurance specified in the guidelines. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Formal proposal to the Office of Extramural Programs, CSREES, USDA, as outlined in the guidelines. Application procedures are contained in the Food and Agricultural Sciences National Needs Graduate Fellowships Grant Application Kit. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019. Starting in fiscal year 1997, CSREES will provide support on a biennial basis and combine appropriations from two fiscal years into one competition to be held during odd-numbered years.

**Award Procedure:**

CSREES Higher Education Program staff members review and evaluate all proposals with the assistance and advice of a peer panel of qualified scientists, administrators, and other appropriate persons who are specialists in the field

covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadlines dates are announced in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None. Contingent upon appropriations, funds are allocated to provide support for doctoral fellows for 36 months and for masters fellows for 24 months.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants cover a five-year period, however, fellows are supported for three years for a doctoral degree or two years for a masters during that five-year period.

**Reports:**

Documentation of fellowship appointments (Form CSRS-707) must be submitted by project directors upon request of CSREES. A graduate fellow exit report (Form CSRS-709) must be submitted by project directors for each fellow supported by a grant as soon as a fellow is: (a) Graduated; or (b) officially terminated from the program.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$3,506,539; FY 08 est \$4,276,800; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant, as well as stipend levels, are established by the annual program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Since its inception in 1985, this program has supported Fellows in six areas of the food and agricultural sciences deemed critical to agricultural research and teaching. Recent targeted need areas are Animal Biotechnology; Food Science; Food, Forest Products, or Agricultural Engineering; Agribusiness Marketing or Management; Human Nutrition; Plant Biotechnology; and Water Science. An example: One Fellow who conducted research leading to a dissertation on the heat and mass transfer of hygroscopic porous materials, is now a university Assistant Professor.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3402 (52 FR 4712, February 13, 1987, as amended by 55 FR 2214, January 22, 1990); Application Kit for the Food and Agricultural Sciences National Needs Graduate Fellowships Grants; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug- Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader; Higher Education Programs; Cooperative State Research, Education, and Extension Service, USDA; 1400 Independence Avenue, SW; STOP 2251, Washington, DC 20250-2251; Telephone: (202)720-7854.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.216, 1890 Institution Capacity Building Grants; 10.217, Higher Education Challenge Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Grants for fellowships support are awarded to colleges and universities determined through peer review to be characterized by excellence in the chosen targeted need areas.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which the proposal clearly establishes that the proposed program of graduate training will result in the development of outstanding scientific/professional expertise related to the national need area and in a reasonable period of time; (2) the degree to which the proposed program of study reflects special features such as a combination-disciplinary, approach (inter-

disciplinary, multi-disciplinary or cross-disciplinary), a unique collateral specialization in a related discipline, experimental learning opportunities, a unique mentoring program, seminars, or a multi-university collaborative approach; (3) the degree to which the proposal establishes that the institution's faculty, facilities and equipment, instructional support resources, and other attributes are excellent for providing outstanding graduate study and research at the forefront of science and technology related to the chosen area of national need; (4) the degree to which the institution's plans and procedures for recruitment and selection of academically outstanding fellows and for monitoring and facilitating fellow's progress through a program of study reflect excellence as documented in the proposal; (5) the degree to which supporting summary data substantiate program quality in the targeted national need area; and (6) the quality of the proposal as reflected by its substantive content, organization, clarity, and accuracy; (7) any additional evaluation criteria as cited in the annual program announcement published in the Federal Register.

## 10.212 SMALL BUSINESS INNOVATION RESEARCH

(SBIR Program)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Small Business Innovation Development Act of 1982, Public Law 97-219, as amended, Public Law 99-443; Public Law 102-564.

**OBJECTIVES:**

To stimulate technological innovation in the private sector, strengthen the role of small businesses in meeting Federal research and development needs, increase private sector commercialization of innovations derived from USDA-supported research and development efforts, and foster and encourage participation, by women-owned and socially disadvantaged small business firms in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The selected areas for research are Forests and Related Resources; Plant Production and Protection-Biology; Animal Production and Protection; Soil and Water Resources; Food Science and Nutrition; Rural and Community Development; Aquaculture; Industrial Applications; Marketing and Trade; Wildlife; Animal Manure Management, Small and Mid-size Farms, Plant Production and Protection-Engineering. The Small Business Innovation Research Program is carried out in three separate phases: Phase I projects are supported to determine the scientific or technical feasibility of ideas submitted by proposes on the selected research areas; Phase II awards are made to firms with approaches that appear sufficiently promising as a result of Phase I studies. Only those small businesses previously receiving Phase I awards in either of the two preceding fiscal years are eligible to submit Phase II proposals. Phase II projects are limited to \$350,000 for a period normally not to exceed 24 months; Phase III is to be conducted by the small business concern (including joint ventures and limited partnerships), and will be non-SBIR funded through the exercising of a follow-on funding commitment. The purpose of Phase III is to stimulate technological innovation and the national return on investment from research through the pursuit of commercialization objectives resulting from the USDA-supported work carried out in Phases I and II.

**Applicant Eligibility:**

Applicant Eligibility (1) is organized for profit, with a place of business located in the United States, which operates primarily within the United States, or which makes a significant contribution to the United States economy through the payment of taxes or use of American products, materials or labor; (2) is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture, there can be no more than 49 percent participation by foreign business entities in the joint venture; (3) is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, except in the case of a joint venture, where each entity in the venture must be 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in the United States; and (4) has, including its affiliates, not more than 500 employees. The term "affiliates" is defined in greater detail in 13 CFR 121.103. The term "number of employees" is defined in 13 CFR 121.106.

**Beneficiary Eligibility:**

Small businesses.

**Credentials/Documentation:**

Each prospective grantee organization must furnish the organizational information and assurances specified in the SBIR program solicitation. The principles to be used in determining allowable costs of activities under this program are contained in the Federal Acquisition Regulations, 48 CFR Part 31.

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**



Publication by the Small Business Administration listing all agencies participating in the program, their Small Business Innovation Research coordinators, proposed dates for their solicitations, and proposed topic areas. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Formal proposal to SBIR Program, CSREES, USDA, as outlined in the SBIR program solicitation. Application procedures are contained in the SBIR program solicitation. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The SBIR Program staff reviews and evaluates all proposals with the assistance and advice of a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

Six months from application receipt to notification of approval/disapproval.

**Appeals:**

Phase I applications may be revised and resubmitted during a later funding cycle, provided the subject matter of the proposal is not changed, and the topic area under which the proposal was originally submitted is still listed in the solicitation. Phase I grantees may apply for a Phase II grant only once for each Phase I project funded.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no matching requirements.

**Length and Time Phasing of Assistance:**

Phase I grants are normally limited to 8 months. Phase II grants are normally limited to 2 years.

**Reports:**

Final performance and final financial status reports for Phase I grants must be submitted 30 and 90 days, respectively, after the expiration date of the grant. Final performance and final financial status reports for Phase II grants must be submitted 90 days after the expiration date of the grant.

**Audits:**

Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of grants and other agreements. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of the Federal Acquisition Regulations, 48 CFR Part 42, to ensure that funds have been applied efficiently, economically, and effectively.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for at least 3 years after the date of submission of the final financial status report.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$15,599,447; FY 08 est \$12,813,701; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$54,215 to \$350,000; \$117,433.

**PROGRAM ACCOMPLISHMENTS:**

This program was designed to strengthen the role of small, innovative firms in Federally-funded research and development. The thirteen categories of research supported under this program are: Forests and Related Resources; Plant Production and Protection-Biology; Animal Production and Protection; Soil and Water Resources; Food Science and Nutrition; Rural and Community Development; Aquaculture; Industrial Applications; Marketing and Trade; Wildlife; Animal Manure Management, Small and Mid-size Farms, Plant Production and Protection-Engineering.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3403, Small Business Innovation Research Grants Program, Administrative Provisions, 62 FR 26168, May 12, 1997; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug- Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; The Small Business Innovation Research Program Reauthorization Act of 2000, Public Law 106-554, amended section 9 of the Act (15 U.S.C. 638).

**Regional or Local Office:**

None.

**Headquarters Office:**

SBIR Director, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Ag Box 2243, 14th and Independence Ave., S.W.,

Washington, DC 20250-2243. Telephone: (202) 401-4002.

**Web Site Address:**

<http://www.csrees.usda.gov/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Bolted Wood Framing System; Development of Floating Permeable Covers to Control Emissions from Livestock Waste Lagoons; Production of Organic Acids by Simultaneous Fermentation and Adsorption; Software for Evaluating the Impact of Forest Management Plans on Wildlife; Bioprocessing Wheat Midds and Screenings to Improve Protein.

**CRITERIA FOR SELECTING PROPOSALS:**

(a) The proposing firm must qualify as a small business concern as specified in the SBIR solicitation; (b) The proposal must meet the Proposal Content and Format requirements as described in subsection 3.3 of the SBIR solicitation; (c) Proposals must be limited to one research problem (see subsection 3.1 of the SBIR solicitation); (d) The proposed budget must be within the dollar limit identified in subsection 1.2 of the SBIR solicitation; (e) The proposed duration of Phase I projects should normally not exceed 8 months, except in special, justified circumstances, and the duration of Phase II projects should normally not exceed 24 months. Where a proposed research project requires more than 8 months to complete in Phase I, a longer grant period, not to exceed 20 months, may be considered. An applicant of a Phase I project with an anticipated duration beyond 8 months should specify and justify the length of duration in the proposal at the time of its submission to USDA in order for it to be considered; (f) Proposals must cover scientific research activities only (see subsection 3.1 of the SBIR solicitation); (g) The proposed Phase I research must fall within a solicited topic area; (h) A proposal must contain adequate scientific/technical information to state clearly the research plan and objectives. USDA reserves the right not to submit for review any proposal which it finds to have insufficient scientific/technical information; (i) A resubmitted proposal must address concerns of the previous review panel. USDA reserves the right not to submit for review any proposal found not to be responsive to the previous review; and (j) Is it clear that the project director will work a minimum of 51 percent of his/her time for the small business firm during the period of the grant and that the small business firm will conduct a minimum of two-thirds of the research effort?

## 10.215 SUSTAINABLE AGRICULTURE RESEARCH AND EDUCATION

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act Amendments of 1985, Public Law 99-198, Sections 1461-1471, 7 U.S.C. 4701-4710; Food, Agriculture, Conservation, and Trade Act of 1990, Section 1621, 7 U.S.C. 5811.

**OBJECTIVES:**

To facilitate and increase scientific investigation and education in order to reduce the use of chemical pesticides, fertilizers and toxic materials in agricultural production; to improve management of on-farm resources to enhance productivity, profitability and competitiveness; to promote crop, livestock and enterprise diversification and to facilitate the conduct of research projects in order to study agricultural production systems that are located, in areas that possess various soil, climatic, and physical characteristics; to study farms that have been and continue to be managed using farm production practices that optimize the use of on-farm resources and conservation practices; to take advantage of the experience and expertise of farmers and ranchers through their direct participation and leadership in projects; to transfer practical, reliable and timely information to farmers and ranchers concerning sustainable practices and systems; and to promote a partnership between farmers, nonprofit organizations, agribusiness and public and private research and extension institutions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may not be used to pay indirect costs or tuition. Funds may be used for transportation, per diem, salaries, office supplies, printing, and other direct costs for conducting approved activities.

**Applicant Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

**Beneficiary Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State



governmental entities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and approved by OMB must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019 or A-102 as implemented by 7 CFR 3016. The standard application forms as furnished by the Federal agency and approved by OMB must be used for this program.

**Award Procedure:**

Regional technical committees will review, rank and prioritize proposals received from public and private organizations and make recommendations for funding to the regional administrative councils. Regional administrative councils will approve proposals for funding and associated plans of work and submit them to USDA. Research and education subcommittee on sustainable agriculture will review plans of work and the Department will give final approval.

**Deadlines:**

Contact the Headquarters office for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Agreements will be supported for periods of one to five years. Funds are released by the electronic transfer system and reimbursement by Treasury check.

**Reports:**

Standard reporting as required by OMB Circular Nos. A-102 and A-110 as implemented by 7 CFR Part 3016 or 7 CFR Part 3019, respectively.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records required by OMB Circular Nos. A-102 and A-110 as implemented by 7 CFR Part 3016 or 7 CFR Part 3019, respectively, must be maintained for three years.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

FY 07 \$11,490,336; FY 08 est \$8,553,168; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$8,000 to \$1,752,250. Average: \$855,540.

**PROGRAM ACCOMPLISHMENTS:**

The program is a major catalyst and facilitator of alternative agricultural systems for the future. Programs are designed to reduce the use of synthetic fertilizers and pesticides to minimize environmental degradation; improve and increase low-input farm management to enhance productivity and profitability; and promote crop and livestock enterprise diversification.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Sections 1472 and 1473A of the National Agricultural Research Extension, and Teaching Policy Act of 1977, as amended; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Requirements for Grants and Agreements with Institutions of Higher Education and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Economic and Community Systems, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-7948.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry

Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research\_Compétitive Research Grants; 10.207, Animal Health and Disease Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Support of the National Sustainable Agriculture Program; Mainstreaming Principles of Sustainability in Agriculture; National Rollout of Agricultural Entrepreneurs Curriculum; and Evaluation of National Sustainable Agriculture Research and Education Projects.

**CRITERIA FOR SELECTING PROPOSALS:**

The primary selection process will be done by the regional technical committees and administrative councils, with subsequent approval by the Department of Agriculture. Criteria used at the regional level include: (1) Does the proposed work fulfill the intent of Congress and Departmental policy, as articulated in guidelines prepared by CSREES? (2) Is the subject matter highly relevant to producers in this region with regard to finding profitable low input methods and systems of production? (3) Are specific provisions made for presenting in readily usable form those findings that are directly applicable to producers? (4) Do the various categories of public and private organizations have a meaningful opportunity to participate in shaping and implementing the program?

**10.216 1890 INSTITUTION CAPACITY BUILDING GRANTS**

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, Section 1417(b)(4), Public Law 95-113, 7 U.S.C. 3152(b)(4).

**OBJECTIVES:**

To build the research and teaching capacities of the 1890 land-grant institutions and Tuskegee University through cooperative programs with Federal and nonfederal entities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For teaching grants, funds may be used in the following targeted areas: (1) Curricula design and materials development; (2) faculty preparation and enhancement for teaching; (3) instruction delivery systems; (4) scientific instrumentation for teaching; (5) student experiential learning; and (6) student recruitment and retention. For research grants, funds may be used to address high-priority research initiatives in areas where there is a present or anticipated need for increased capabilities and in which it is feasible for applicants to develop programs recognized for their excellence. Research areas include, but are not limited to: (1) Studies and experimentation in food and agricultural sciences; (2) centralized research support systems; and (3) technology delivery systems.

**Applicant Eligibility:**

The 1890 land-grant institutions and Tuskegee University. The 1890 land-Grant Institutions are: Alabama A&M University; Alcorn State University; University of Arkansas-Pine Bluff; Delaware State University; Florida A&M University; Fort Valley State University; Kentucky State University; Lincoln University (MO); Langston University; University of Maryland-Eastern Shore; North Carolina A&T State University; Prairie View A&M University; South Carolina State University; Southern University and A&M College; Tennessee State University; Virginia State University; and West Virginia State College.

**Beneficiary Eligibility:**

The seventeen 1890 land-grant institutions and Tuskegee University, non-1890 academic institutions, private industry, and the Department of Agriculture.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Formal proposals should be submitted to the Proposal Service Unit, CSREES, as outlined in the annual solicitation for applications. Application and materials are available at the CSREES Funding Opportunities web site <http://www.reeusda.gov/1700/funding/ourfund.htm>. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

**Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of qualified educators, scientists, administrators, and other appropriate persons that are specialists in the fields covered by the proposals. Proposals are supported in order of merit to the extent permitted by available funds. Grant payments are made by the electronic transfer system.

**Deadlines:**

Specific deadline dates are announced in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None. However, matching is strongly encouraged.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 1 to 3 year period and may receive no-cost extensions of time as appropriate up to maximum of 5 years.

**Reports:**

Annual progress reports. Quarterly financial reports. Final progress and financial reports are due within 90 days after project expiration.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are expended for authorized purposes. Grant related records must be retained at least 3 years; records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$11,616,121; FY 08 est \$11,583,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Teaching grants: \$88,470 to \$225,000. Average: \$171,443. Research grants: \$107,574 to \$349,793. Average: \$242,524.

**PROGRAM ACCOMPLISHMENTS:**

Example of accomplishments: One university has established a degree program in Biological and Agricultural Systems Engineering; another university has incorporated advanced technology into the degree programs in Environmental Science, Soil Science, Forestry, and Plant Science; one university has established a state-of-the-art Geographic Information Systems (GIS) laboratory; another university has established an interactive video conference classroom to deliver courses to students in rural communities at their local community college; a consortium of universities is preparing students for management positions with private sector industries and government agencies in domestic and global food and fiber distribution.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, USDA Uniform Federal Assistance Regulations (implementing the provisions of OMB Circular Nos. A-21 and A-110); 7 CFR Part 3017, Government wide Debarment and Suspensions (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grant and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. 7 CFR Part 3406, 1890 Institution Capacity Building Grants Program, Administrative Provisions; 7 CFR 3407, Agency Procedures to Implement the National Environment Policy Act of 1969; annual solicitation of applications; and Grant Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader, Higher Education Programs, Cooperative State Research, Education, and Extension Service, U.S. Department of Agriculture; Stop 2251; 1400 Independence Avenue, SW; Washington, DC 20250-2251. Telephone: (202) 720-2186.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.200, Grants for Agricultural Research, Special Research Grants; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207, Animal Health and Disease Research; 10.217, Higher Education Challenge Grants.

**EXAMPLES OF FUNDED PROJECTS:**

EXAMPLES OF FUNDED PROJECTS: Lateral Entry: Strategies to Increase the Pool of Teachers Through Online Course Offerings; Enhancing Teachers and Students Hands-On Experience in Agricultural Biotechnology Through Summer Laboratory Workshops; Novel Protocols to Optimize Fertility Rate and Mass Propagation of Transgenic Hypoallergenic Peanuts; Biotic Integrity Index Development for Forested Ecosystems.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated using the following criteria: Potential for Advancing Quality of Education; Significance of the Problem; Proposed Approach and Cooperative Linkages; Institutional Capability and Capacity Building; Key Personnel; and Budget and Cost-Effectiveness.

**10.217 HIGHER EDUCATION CHALLENGE GRANTS****FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1417(b)(1), as amended, Public Law 95-113, 7 U.S.C. 3152.

**OBJECTIVES:**

To increase institutional capacities to respond to State, regional, national, or international educational needs by strengthening college and university teaching programs in the food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, faculty preparation and enhancement for teaching, instruction delivery systems, scientific instrumentation for teaching, student experiential learning, and student recruitment and retention, as cited in the annual program announcement in the Federal Register.

**Applicant Eligibility:**

All U.S. public and private nonprofit colleges and universities offering a baccalaureate or first professional degree in at least one discipline or area of the food and agricultural sciences.

**Beneficiary Eligibility:**

All U.S. colleges and universities having a demonstrable capacity to teach the food and agricultural sciences.

**Credentials/Documentation:**

Each first-time recipient must furnish organizational management information requested by the funding agency, and each applicant must provide assurances specified in the annual solicitation of applications.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals should be submitted to the Proposal Services Unit, CSREES, as outlined in the solicitation of applications. Application procedures are contained in the program regulations and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

**Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of qualified educators, administrators, industrialists, and other appropriate persons who are specialists in the fields covered by the proposals. Proposals are supported in order of merit to the extent permitted by available funds. Grant payments may be made by the electronic transfer system, advance by Treasury check, or reimbursement by Treasury check.

**Deadlines:**

Specific deadline dates are announced in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Dollar-for-dollar matching funds from nonfederal sources is required.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one to three-year period and may receive no-cost extensions as appropriate up to a maximum of five years.

**Reports:**

Annual progress reports. Quarterly financial reports. Final progress and financial reports are due within 90 days after project expiration.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are expended for authorized purposes. Grant related records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$5,174,151; FY 08 est \$5,227,200; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$47,936 to \$152,000. Average: \$89,479.

**PROGRAM ACCOMPLISHMENTS:**

An example of program accomplishments: One university developed a course entitled, "Biotechnology: Science and Socio-Economic Issues" presented in two formats: as a traditional on-campus lecture class for undergraduates and as an innovative distance education course. The course introduces genetic engineering and the basic scientific theory of biotechnology in animal, plant, food, and economic research, and the latest applications of biotechnology in agriculture production.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, USDA Uniform Federal Assistance Regulations (implementing the provisions of OMB Circular Nos. A-21 and A-110); 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR part 3019, Uniform Administrative: Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; 7 CFR Part 3405, Higher Education Challenge Grants, Administrative Provisions, and Grant Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader - Higher Education Challenge Grants; Higher Education Programs; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; STOP 2251; 1400 Independence Avenue, SW., Washington, DC 20250-2251; Telephone: (202) 720-1973; Fax: (202) 720-2030.

**Web Site Address:**

<http://www.reeusda.gov/1700/funding/ourfund.htm>

**RELATED PROGRAMS:**

10.226, Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants; 10.210, Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216, 1890 Institution Capacity Building Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Foreign Animal and Zoonotic Disease Digital Library for Diagnosis, Conferencing and Education; Applications of Functional Anatomy in Farm Animals Using Collaborative Learning; Foreign Disease Curriculum Development of Veterinary Colleges; and Transferring Experts' Reasoning to Novice Learners in Food Product Development.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated using the following criteria: Potential for advancing quality of education/significance of the problem; proposed approach and cooperative linkages; institutional capability and capacity building; key personnel; and budget and cost-effectiveness.

**10.219 BIOTECHNOLOGY RISK ASSESSMENT RESEARCH**

(Biotechnology Risk Assessment Research Grants Program)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 1668, Public Law 101-624, as amended.

**OBJECTIVES:**

To carry out risk assessment and risk management research focused on environmental effects of agricultural biotechnology.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research objectives. Funds may not be used for purposes other than those approved in the grant award documents.

**Applicant Eligibility:**

Any public or private research or educational institution or organization.

**Beneficiary Eligibility:**

Any public or private research or educational institution or organization.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Pre-proposals and/or formal proposals, as outlined in the solicitation, should be submitted to the Proposal Services Unit, Cooperative State Research, Education, and Extension Service (CSREES). Application procedures are contained in the

Research Grant Application Kit. This program is subject to the provisions of OMB Circular No. A-110 and the administrative Provisions for the Biotechnology Risk Assessment Research Grants Program, 7 CFR 3415.

**Award Procedure:**

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadline dates are announced in the request for application or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From four to six months.

**Appeals:**

None.

**Renewals:**

Requests for renewal support must be submitted as new proposals at the announced deadline and are considered in equal competition with other proposals.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

From one to five years.

**Reports:**

Quarterly financial reports, annual progress reports, and final financial and final summary progress reports.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspections during the life of the grant and for three years thereafter.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$1,685,400; FY 08 est \$1,685,400; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,220 to \$223,269. Average: \$147,583.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that funded projects will advance the safe application of biotechnology to agriculture.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3415, Biotechnology Risk Assessment Research Grants Program Administrative Provisions, and regulations referenced therein (e.g., 7 CFR 3015, 3016, 3017, 3018, 3019 and 3407).

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Competitive Programs, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 401-1761.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.206, Grants for Agricultural Research\_Compétitive Research Grants; 10.207, Animal Health and Disease Research; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Factors Affecting Crop Gene Flow and Introgression into Natural Populations; Transgenic Fish; Testing Models to Assess Risk; Risk Assessment of a Recombinant Baculovirus Expressing a Protease; The Hazard of Pest Evolution: Accuracy and Precision of Genetic Risk Assessments; Assessing Risk of Bt Corn to Nontarget Soil Arthropods: Direct and Indirect Effects.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program, criteria include: Overall scientific and technological quality of proposal; research competence of the principal investigator(s), research team and support personnel; adequacy of facilities, equipment, and related program support; justification of support requested in relation to objectives and procedures; feasibility of attaining objectives during life of proposed research; awareness of published literature and current research related to proposed research; relevance of importance of proposed research to solution of specific areas of inquiry; and estimate of expected benefits.

**10.220 HIGHER EDUCATION MULTICULTURAL SCHOLARS PROGRAM**



**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, Section 1417(b)(5); Food and Agriculture Act of 1977, Title XIV; Public Law 95-113; 91 Stat. 98; 7 U.S.C. 3152.

**OBJECTIVES:**

To increase the ethnic and cultural diversity of the food and agricultural scientific and professional work force, and to advance the educational achievement of minority Americans, by providing grants to colleges and universities that have a demonstrable capacity to attract, educate, and graduate minority students for careers as agriscience and agribusiness professionals, and have unique capabilities for achieving the objective of full representation of minority groups in the fields of agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Competitive annual grants to selected U.S. institutions of higher education provide for a limited number of four-year undergraduate scholarships to support minority students pursuing baccalaureate degrees in the food and agricultural sciences. Institutions also receive an annual cost-of-education allowance for each scholar supported by a grant. The scholars are selected by the institutions and students must apply for the scholarships through procedures established by the individual institutions. No scholarship grants are made directly to students and students cannot apply directly to USDA for scholarships. Scholarship monies may be used for tuition, fees, room, board, and other educational expenses as announced in a Federal Register notice inviting applications for new awards. The institutional cost-of-education allowance may be used by the selected institutions to defray program expenses including, but not limited to, travel and publications costs incurred for student recruitment, and salaries of project personnel.

**Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities with baccalaureate or higher degree programs in agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system, including land-grant colleges and universities, colleges and universities having significant minority enrollments and a demonstrable capacity to carry out the teaching of food and agricultural sciences, and other colleges and universities having a demonstrable capacity to carry out the teaching of food and agricultural sciences.

**Beneficiary Eligibility:**

Funds awarded under this program are used to support full-time undergraduate students pursuing a baccalaureate degree in an area of the food and agricultural sciences or a closely allied field. Persons eligible to receive scholarships under this program are students who either are enrolled or have been accepted as full-time baccalaureate or DVM degree candidates, and who are members of groups traditionally under-represented in food and agricultural scientific and professional fields.

**Credentials/Documentation:**

Each prospective grantee institution must furnish the information and assurances specified in the program guidelines and the Federal Register notice inviting applications for new awards. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals should be submitted to the Office of Extramural Programs, CSREES, in accordance with instructions provided in a Federal Register notice inviting applications for new awards. Application guidelines are contained in the CSREES Application Kit. This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019.

**Award Procedure:**

Proposals are reviewed and evaluated by Higher Education Programs staff and other CSREES professional staff members with the assistance and advice of a peer panel of qualified educators, scientists, administrators, and other appropriate persons who are specialists in the fields covered by the proposals. Proposals are supported in order of merit to the extent permitted by available funds.

**Deadlines:**

All deadlines are announced in the Federal Register notice inviting applications for new awards.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None. Contingent upon appropriations, funds are allocated to provide support for undergraduate scholars for 48 months.

**Formula and Matching Requirements:**

For each scholarship supported under this program, a college or university receiving a grant must provide 25 percent of the scholarship funds from their own or other non-Federal sources.

**Length and Time Phasing of Assistance:**

Grants are awarded for a five-year period, however, scholars are supported for four years during that five-year period. One year of the grant period is available for student recruitment and for short interruptions of a scholar's educational advancement due to personal circumstances or emergencies.

**Reports:**

Documentation of scholarship appointments must be submitted by project directors upon request of CSREES. An undergraduate scholar exit report must be submitted by project directors for each scholar supported by a grant as soon as the scholar graduates or is officially terminated from the program. Annual and final technical and financial reports must be submitted by the project directors to CSREES.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three-years thereafter. Grant related records must be retained at least three years after the end of the grant; records must be retained beyond the three year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$932,499; FY 08 est \$948,480; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant, as well as stipend levels for scholarships, will be announced each year in the Federal Register notice inviting applications for new awards. Awards ranged from \$20,000 to \$80,000 with the average award being \$52,004.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that this program will significantly advance the achievement of the objective of full representation of underrepresented groups in the food and agricultural sciences workforce of the United States. At one university the 2+2+2 Project was initiated with the goal to increase the number of Native Americans earning baccalaureate degrees in agriculture, biological sciences, and family and consumer sciences.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Announcement and Application Kit for the Food and Agricultural Sciences All-Americans/Undergraduate Scholars Program; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Department and Suspension (Nonprocurement) and Government Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader, Higher Education Programs, CSREES, Department of Agriculture, Stop 2251; 1400 Independence Avenue, SW., Washington, DC 20250-2251. Telephone: (202) 720-1973.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.210, Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216, 1890 Institution Capacity Building Grants; 10.217, Higher Education Challenge Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Leadership Experiences and Education in Agriculture and Diversity; Developing a Model System to Bridge a Gap in Agricultural Sciences; Providing Incentives and Quality Programs to Attract Talented Minorities to Agricultural Sciences.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated by a peer review panel of educators, scientists, representatives from the private sector, and government officials who consider such criteria as: the potential for advancing the quality of education; the



likelihood that the proposed program of undergraduate study will result in the development of outstanding graduates to meet the future needs of the food and agricultural industry; the quality of the chosen academic program, current and future demand for graduates in chosen discipline(s), strength of the curriculum, instructional approaches, strategies for developing critical thinking and problem solving skills and prior success in or potential for graduating scholars. Additional criteria include the quality of the institution's academic advising, career counseling, mentoring, and student support services, as well as the qualifications and roles of key staff assigned to the project, particularly the Project Director and faculty or staff that would have the most frequent or influential contacts with scholars. Finally, the degree to which the proposal describes any innovation, special features of the academic program(s) that will be available especially to scholars or required as a part of their degree program(s), including: an interdisciplinary, multi-disciplinary, or cross-disciplinary approach; a focus on innovative, multi-disciplinary education programs, material, or curricula; a multi-university collaborative approach; an emphasis on a collateral specialization or minor in a related discipline; research opportunities, internships, practicum, experiential learning opportunities, international research/educational experiences, and related work experience.

## 10.221 TRIBAL COLLEGES EDUCATION EQUITY GRANTS

### FEDERAL AGENCY:

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Equity in Educational Land-Grant Status Act of 1994, Public Law 103-382, October 20, 1994, 7 U.S.C. 301, note as amended Public Law 105-185.

### OBJECTIVES:

To enhance educational opportunities at the 30 Tribal Colleges designated as the 1994 Land-Grant Institutions by strengthening their teaching programs in the food and agricultural sciences in targeted need areas.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Public Law 103-382 targeted funds to benefit those schools specifically listed as the 1994 Land-Grant Institutions. Funds may be used to support teaching programs in the food and agricultural sciences in the targeted need areas of: (1) Curricula design and instructional materials development; (2) faculty development and preparation for teaching; (3) instruction delivery systems; (4) student experiential learning; (5) equipment and instrumentation for teaching, and (6) student recruitment and retention.

### Applicant Eligibility:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation; and Little Priest Tribal College.

### Beneficiary Eligibility:

The 1994 Institutions--Bay Mills Community College, Black feet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation; and Little Priest Tribal College.

### Credentials/Documentation:

Each prospective grantee institution must furnish the information and assurances specified in the program guidelines. Guidelines include: 7 CFR Part 1, Subpart A; 7 CFR Part 3; 7 CFR Part 15, Subpart A; 7 CFR Part 3015; 7 CFR Part 3017; 7 CFR Part 3018; 7 CFR Part 3019; 7 CFR Part 3052; 29 U.S.C. 794, Section 504 and 7 CFR Part 15b; 35 U.S.C. 200 et seq., and 37 CFR Part 401.

### Preapplication Coordination:

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-110 must be used for this program. This program is

excluded from coverage under E.O. 12372 because the program does not directly affect State and local governments.

### Application Procedure:

Formal application should be submitted to the Office of Extramural Programs, CSREES, as outlined in the application package submitted to the 29 institutions. Application procedures are contained in the program guidelines and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA's 7 CFR 3015 et seq. and 7 CFR 3019, and all successor regulations.

### Award Procedure:

Applications are reviewed and evaluated by USDA staff and by expert educators and scientist from other Federal agencies as needed. Grant payment may be made by the electronic transfer system or advance by Treasury check.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

From 45 to 90 days.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

approximately \$50,000 to each of the 30 1994 Institutions, no matching requirements.

### Length and Time Phasing of Assistance:

Grants are awarded for a 12- to 24-month period of assistance.

### Reports:

Annual technical and financial progress reports are due within 90 days after the end of each 12-month budget period. Final technical and financial reports are due within 90 days after the expiration date of the grant. The content of these reports will be as required in the "Terms and Conditions" of the grant award.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are expected to maintain records three years beyond the life of the grant or longer if there are any pending litigation or unresolved audit findings. Separate records for each grant must be maintained. Records are subject to inspection during the life of the grant and for three years thereafter.

### Account Identification:

12-1500-0-1-352.

### Obligations:

(Grants) FY 07 \$3,342,000; FY 08 est 2,227,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Approximately \$50,000 to each eligible institution.

### PROGRAM ACCOMPLISHMENTS:

One Tribal College recently received accreditation of its Bachelor of Science in Environmental Sciences program because of the purchase of equipment from this program.

### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR 301 note; 7 CFR Part 1.1, USDA implementation of Freedom of Information Act; 7 CFR Part 3, USDA implementation of OMB Circular No. A-129 regarding debt collection; 7 CFR Part 15, Subpart A, USDA implementation of Title VI of the Civil Rights Act of 1964, as amended; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR Part 3019, USDA implementation of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations; 7 CFR Part 3407, Agency Procedures to Implement the National Environmental Policy Act; 7 CFR Part 3052, Audits of States, Local Governments, and Nonprofit Organizations; 29 U.S.C. 794, section 504, Rehabilitation Act of 1973, and 7 CFR Part 15b (USDA implementation of statute), prohibiting discrimination based upon physical or mental handicap in Federally assisted programs; and 35 U.S.C. 200 et seq., Bayh-Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Higher Education Programs, Science and Education Resources Development, CSREES, USDA, 800 9th Street, SW, Room 3901 Waterfront Centre, Washington, DC 20250-2251. Telephone: (202) 720-1973.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.222, Tribal Colleges Endowment Program.

**EXAMPLES OF FUNDED PROJECTS:**

Center for Integrated Rural Development Studies; Agricultural Degree Development Project; Implementation of a Comprehensive Horticulture Program; Educational Program in Nutrition; Strengthening Curricula and Services for Students in the Food and Agricultural Sciences.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated using the following criteria: Overall approach and cooperative linages; intrinsic merit; budget and cost effectiveness; and institutional commitment and resources.

**10.222 TRIBAL COLLEGES ENDOWMENT PROGRAM**

(Tribal Colleges Endowment Program)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Equity in Educational Land-Grant Status Act of 1994, Public Law 103-382, 7 U.S.C. 301 note, as amended; Public Law 105-185.

**OBJECTIVES:**

To enhance educational opportunities at the 30 Tribal colleges designated as the 1994 Land-Grant Institutions by strengthening their teaching programs in the food and agricultural sciences in targeted need areas.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Public Law 103-382 established an endowment fund corpus, the interest of which was to be used to benefit the 1994 Land-Grant Institutions. Funds may be used to support teaching programs in the food and agricultural sciences in the targeted need areas of: (1) Curricula design and instructional materials development; (2) faculty development and preparation for teaching; (3) instruction delivery systems; (4) student experiential learning; (5) equipment and instrumentation for teaching; and, (6) student recruitment and retention.

**Applicant Eligibility:**

Bay Mills Community College, Black feet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation; and Little Priest College.

**Beneficiary Eligibility:**

The 1994 Institutions--Bay Mills Community College, Black feet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, and College of the Menominee Nation; and Little Priest College.

**Credentials/Documentation:**

Guidelines include: 7 CFR Part 1, Subpart A; 7 CFR Part 3; 7 CFR Part 15, Subpart A; 7 CFR Part 3015; 7 CFR Part 3017; 7 CFR Part 3018; 7 CFR Part 3019; 7 CFR Part 3052; 29 U.S.C. 794, Section 504 and 7 CFR Part 15b; 35 U.S.C. 200 et seq., and 37 CFR Part 401.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

The Indian student count for the 1994 institutions (as defined in Section 390(3) of the Carl D. Perkins Vocational and Applied Technology Education Act) will be furnished to the agency by the American Indian Higher Education Consortium. Using the formula specified, grant payments will be made through

the office of Extramural Programs to each of the institutions by the electronic transfer system or by Treasury check.

**Deadlines:**

The information for the Indian student count is to be received by August 1. Interest will be disbursed within 45 days from termination of the fiscal year and notification of availability of interest funds.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The interest from the Endowment Fund Corpus will be distributed, after adjustment for administrative cost, as follows: (1) Sixty percent distributed on a pro rata basis based upon the Indian student count for each institution for the prior fiscal year; and, (2) Forty percent distributed in equal shares to the 1994 Institutions. There are no matching requirements.

**Length and Time Phasing of Assistance:**

The grant will be awarded for a 12-month period of assistance.

**Reports:**

Annual technical and financial report will be due by December 31 of the year following that in which funds were received.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain records three years beyond the life of the grant or longer if there are any pending litigation or unresolved audit findings. Separate records for each grant must be maintained. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$3,119,628; FY 08 est \$3,264,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$7,932 to \$40,191. Average: \$14,943.

**PROGRAM ACCOMPLISHMENTS:**

The funds derived from the interest on the Endowment Fund will be used to support grants for teaching programs in the food and agricultural sciences.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 301 note; 7 CFR Part 1.1, USDA implementation of Freedom of Information Act; 7 CFR Part 3, USDA implementation of OMB Circular No. A-129 regarding debt collection; 7 CFR Part 15, Subpart A, USDA implementation of Title VI of the Civil Rights Act of 1964, as amended; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR Part 3019, USDA implementation of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospital, and Other Nonprofit Organizations; 7 CFR Part 3407, Agency Procedures to Implement the National Environmental Policy Act; 7 CFR Part 3052, Audits of States, Local Governments, and Nonprofit Organizations; 29 U.S.C. 794, Section 504, Rehabilitation Act of 1973, and 7 CFR Part 15b (USDA implementation of statute), prohibiting discrimination based upon physical or mental handicap in Federally assisted programs; and 35 U.S.C. 200 et seq., Bayh-Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

**Regional or Local Office:**

None.

**Headquarters Office:**

Higher Education Programs, Science and Education Resources Development, CSREES, USDA, Room 3901 Waterfront Centre, Washington DC 20250-2251. Telephone: (202) 720-1973.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.221, Tribal Colleges Education Equity Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.223 HISPANIC SERVING INSTITUTIONS EDUCATION GRANTS

### FEDERAL AGENCY:

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, Section 1455, 7 U.S.C. 3241.

### OBJECTIVES:

The objective of this program is to promote and strengthen the ability of Hispanic-Serving Institutions to carry out higher education programs in the food and agricultural sciences. These programs aim to attract outstanding students and produce graduates capable of enhancing the Nation's food and agricultural scientific and professional work force. Grants under this program will be awarded to: (1) support the activities of consortia of Hispanic-Serving Institutions to enhance educational equity for underrepresented students; (2) strengthen institutional educational capacities including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international educational needs in the food and agricultural sciences; (3) attract and support undergraduate and graduate students from underrepresented groups in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States, beginning with the mentoring of students at the high school level and continuing with the provision of financial support for students through their attainment of a doctoral degree; and (4) facilitate cooperative initiatives between two or more Hispanic-Serving Institutions, or between Hispanic-Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds may be used to support one or more of the following target areas or additional target areas as identified in the annual program announcement: Curricula design; materials development; library resources; faculty preparation and enhancement for teaching; instruction delivery systems; scientific instrumentation for teaching; student experiential learning; and student recruitment and retention.

### Applicant Eligibility:

Hispanic serving institutions are eligible to receive funds under this program. "Hispanic serving institutions" means an institution of higher education which, at the time of application, has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students, and which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such certificate; (2) is a public or other nonprofit institutions accredited by a nationally recognized accrediting body; and (3) is legally authorized to provide a program of education beyond the secondary level for which a 2-year associate, baccalaureate, or higher degree is awarded. Applications may be submitted by, and awards may only be made to, public or other non-profit Hispanic-Serving Institutions as defined in the definitions section of this solicitation. For the purposes of this program, the individual branches of a State university system or public system of higher education that are separately accredited as degree granting institutions are treated as separate institutions eligible for awards. Accreditation must be by an agency or association recognized by the Secretary, U.S. Department of Education. Institutions also must be legally authorized to offer at least a two-year program of study creditable toward an associate's or bachelor's degree. Separate branches or campuses of a college or university that are not individually accredited as degree granting institutions are not treated as separate institutions. To be eligible for competitive consideration for an award under this program, a Hispanic-Serving Institution must at the time of application: (1) certify that it has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students; and (2) provide assurances that not less than 50 percent of the institution's Hispanic students are low-income individuals as defined in the definitions section of this solicitation.

### Beneficiary Eligibility:

Hispanic serving institutions, as identified above, are eligible to receive funds under this program.

### Credentials/Documentation:

Each prospective grantee institution must furnish the information and assurances specified in the proposal solicitation and/or the administrative provisions for the program once they are developed. These materials will be available from the CSREES, Office of Extramural programs, at (202) 401-5050. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

To assist CSREES in preparing for the review of proposals, institutions planning to submit proposals may be requested to complete Form CSREES-711, "Intent to Submit a Proposal," provided by CSREES in the grant application package.

CSREES will determine annually if "Intent to Submit a Proposal" forms will be requested. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Formal proposals should be submitted to the CSREES, Office of Extramural Programs, in accordance with instructions provided in the program announcement. The program announcement will be published in the Federal Register.

### Award Procedure:

Proposals are reviewed and evaluated by CSREES staff with the assistance and advice of a peer panel of scientists, educators, representatives from the private sector, and representatives from other Federal agencies. Proposals will be supported in order of merit to the extent permitted by available funds.

### Deadlines:

Please contact the program contact listed in the Information Contacts or Headquarters Office section below.

### Range of Approval/Disapproval Time:

From 180 to 220 days.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

CSREES encourages and may require nonfederal matching support under this program and will disclose any matching requirements or incentives for providing matching funds in its annual program announcement.

### Length and Time Phasing of Assistance:

From 1 to 3 years.

### Reports:

Quarterly financial reports, annual progress reports, final financial reports, final summary progress reports, and other reports as specified in the grant terms and conditions.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

### Account Identification:

12-1500-0-1-352.

### Obligations:

FY 07 \$5,686,986; FY 08 est \$5,364,480; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$25,000 to \$75,000. This is a newly funded program, average not yet determined.

### PROGRAM ACCOMPLISHMENTS:

One of our-year instituted an academically rigorous internship program in the field of agricultural conservation, and then used the program as a recruitment tool to attract Hispanic students. A community college developed curriculum leading to a college certificate in water technology that addresses a statewide need for qualified technicians in the critical fields of water conservation and wastewater management.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Applicable regulations will be outlined in the program announcement and/or the administrative provisions for the program once they are developed, and in the terms and conditions of any resulting grant award. Applicable regulations will include but not be limited to: 7 CFR Part 3015, USDA Uniform Administrative Regulations; 7 CFR Part 3019, USDA Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; 7 CFR part 3017, Government wide Debarment and Suspension and Drug-free Workplace Requirements; 7 CFR part 3018, New Restrictions on Lobbying; and 7 CFR part 3052, USDA implementation of OMB Circular No. A-133 (revised June 24, 1997) regarding audits of States, local governments, and nonprofit organizations.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

USDA, CSREES, Multicultural Alliances, Science and Education Resources Development, Room 3240 Waterfront Centre, Washington, DC 20250-2251. Telephone: (202) 720-1254.

### Web Site Address:

<http://www.reeusda.gov>.

### RELATED PROGRAMS:

10.217, Higher Education Challenge Grants; 10.220, Higher Education Multicultural Scholars Program; 10.210, Food and Agricultural Sciences



National Needs Graduate Fellowship Grants; 10.226, Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants.

#### **EXAMPLES OF FUNDED PROJECTS:**

The Agriculture Education Implementation Outreach Project; Developing Freshman's Interest in Agricultural Research and Careers; The Integration of Research Internships into the Undergraduate Life Sciences Curriculum; Enhancement of Genetics Lab Teaching Through Agricultural Biotechnology Research; and Bridges to Careers as Urban Environmentalists.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria are expected to include the following: (1) The likelihood that the project will have a substantial impact upon and advance the quality of higher education in the food and agricultural sciences higher education by strengthening institutional capacities to meet clearly delineated needs; (2) the soundness of the proposed approach, including objectives, procedures, timetable, evaluation and dissemination plans, and partnerships and collaborative efforts; (3) the institution's commitment to the project and the adequacy of institutional resources available to carry out the project; (4) the qualifications and the adequacy of the key personnel who will carry out the proposed project; (5) the extent to which the total budget adequately supports the project and is cost effective; and (6) the degree to which the proposal complies with the application guidelines and is of high quality.

### **10.224 FUND FOR RURAL AMERICA-RESEARCH, EDUCATION, AND EXTENSION ACTIVITIES**

(Fund for Rural America)

#### **FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Section 793, 7 U.S.C. 2204(f); Public Law 105-185.

#### **OBJECTIVES:**

The funding for Rural America (FRA) provides funds for rural development programs and for a competitive grant program to support research, education, and extension activities. CSREES administers the competitive grant program for the research, education, and extension component of the Fund for Rural America. The competitive grant program supports unique, innovative, and high-impact research, education, and extension projects to aid farmers, ranchers, and rural communities to address changes and challenges facing agriculture and rural communities as a result of fundamental reforms to Federal farm programs. The broad range of purposes of these projects are to: increase international competitiveness, efficiency, and farm profitability; reduce economic and health risk; conserve and enhance natural resources; develop new crops, new crop uses, and new agricultural applications of biotechnology; enhance animal agricultural resources; preserve plant and animal germplasm; increase economic opportunities in farming and rural communities; and expand locally- owned, value-added processing. The information provided under this Catalog entry applies only to the competitive grant program administered by CSREES for research, education, and extension activities supported by the Fund for Rural America.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

The CSREES Fund for Rural America competitive grants program will support applied, developmental, and adaptive research; technology transfer; extension and related outreach activities; and education. The program will emphasize biological, physical, and social sciences to address systems-based problems. This requires involvement of affected parties within the system (such as producers, commodity groups, environmental interests, rural communities, and other program beneficiaries); therefore, this program will give priority to projects that are designed and proposed by eligible grant recipients in collaboration with institutions, organizations, and communities of interest. Strong partnerships will be critical to leverage and apply research, education, and extension investments to address user needs and solve community-defined problems. The program is segmented into two initiatives: (1) The Fund Core Initiative, which addresses and links international competitiveness, profitability; and efficiency; environmental stewardship; and rural community enhancement; and (2) the Secretary's Initiative to Ensure a Safe, Competitive, Nutritional and Accessible Food System. Examples of potential research, education, and extension activities to be funded under the Fund Core Initiative include, but are not limited to: extension to improve producers' risk management knowledge, skills, and practices; adaptive research to develop new strategies for animal waste management to reduce environmental contaminants in animal waste; and innovations in delivery of education and information in rural areas. As part of the Fund Core Initiative, CSREES also intends to provide funding for FRA Center Grants which are aimed at bringing together individuals, institutions, States, and/or regions in support of research, education, and extension in a collaborative process towards a common goal. Initially, CSREES will award

FRA Center Planning Grants to support only the planning stages of FRA Centers, and only those organizations successful in receiving a FRA Center Planning Grant will be eligible to receive follow-on funding for a FRA Center. Proposals for FRA Center Planning Grants and for follow-on FRA Center Grants may be solicited in separate announcements. Examples of research, education, and extension activities to be funded under the Secretary's Initiative to Ensure a Safe, Competitive, Nutritional and Accessible Food System include, but are not limited to: assessment of educational needs of small and very small meat and poultry processing plants to achieve Hazard Analysis and Critical Control Points (HACCP) implementation; research, development and on-farm extension education about low-cost production facilities, such as hoop housing for swine production, combined with management systems and genetics appropriate to these facilities; research to create foods that have increased amounts of the beneficial components found in fruits, vegetables and grains; and research and extension efforts to develop and implement mechanisms such as community-operated canneries or dehydration facilities to extend the "shelf-life" of food available through gleaned and food recovery programs. Funds provided under the CSREES Fund for Rural America competitive grants program may not be used for the construction of a new building or for the acquisition, expansion, remodeling, or alteration of an existing building (including site grading and improvement and architect fees), or for the purchase of fixed equipment.

#### **Applicant Eligibility:**

Proposals may be submitted by Federal research agencies, national laboratories, colleges or universities or research foundations maintained by a college or university, or private research organizations. National laboratories include Federal laboratories that are government-owned contractor-operated or government-owned government operated. If the applicant is a private organization, documentation must be submitted that the organization has an established and demonstrated capacity to perform research or technology transfer. A programmatic decision on the eligibility status of the private organization will be made based on the information submitted.

#### **Beneficiary Eligibility:**

The beneficiaries of this program are expected to be parties affected by the fundamental reforms to Federal farm programs. These parties include, but are not limited to producers, commodity groups, environmental interests, and rural communities.

#### **Credentials/Documentation:**

Organizations must furnish the information and assurances specified in the program guidelines and/or proposal solicitation with each proposal it submits. In addition, if a proposal is recommended for funding and the submitting organization has not previously received funding from CSREES, that organization will be asked to furnish specific management information relating to the organization as part of the pre-award process.

#### **Preapplication Coordination:**

All proposal solicitations are published in the Federal Register. Any preapplication requirements will be specified in the program guidelines and/or proposal solicitations. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application procedures are outlined in the annual program guidelines and/or proposal solicitations.

#### **Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of specialists who are uniquely qualified by training and experience in their respective fields to render expert advice on the merit of proposals being reviewed. Proposals are recommended for funding in order of merit to the extent permitted by available funds. The National Agricultural Research, Education and Economics Advisory Board will review collective groups of proposals recommended for funding to ensure the relevance of the work proposed for funding toward achieving the programmatic goals of the Fund for Rural America. Proposals recommended for funding as a result of the merit and programmatic relevance evaluations then undergo a financial and administrative review. Upon the satisfactory completion of all reviews and evaluations, a grant award is issued.

#### **Deadlines:**

All proposal submission deadlines are announced in the program guidelines and/or proposal solicitations, which are published in the Federal Register.

#### **Range of Approval/Disapproval Time:**

From 90 to 180 days from proposal submission.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

A grant awarded for applied research that is commodity-specific and that is not of national scope must be matched by the grant recipient with equal funds from a nonfederal source. The matching requirement may be met through allowable costs incurred by the recipient or subrecipient and through third party in-kind contributions.

#### **Length and Time Phasing of Assistance:**



From 6 months to 4 years.

**Reports:**

Annual and final technical and financial reports must be submitted to CSREES in accordance with the terms and conditions of a grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Grantees must maintain records, which are subject to inspection by CSREES, the cognizant Federal audit agency, or the USDA Office of Inspector General, three years beyond the expiration date of a grant or longer if there are any pending litigation or unresolved audit findings.

**Account Identification:**

12-0012-0-1-999.

**Obligations:**

(Grants) FY 07 \$0; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The range of assistance is \$25,000 to \$600,000; the average amount for Standard Grants is \$271,000; the average amount for Center Planning Grants is \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

The development of information infrastructure for post-secondary programs that will expand American Indian agricultural and natural resources programs; the development of a center for decentralized rural wastewater treatment; and the demonstration and promotion of the economic development potentials of farmers' markets and their effects on vendors and host communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As indicated in the terms and conditions of any resulting grant award, the applicable regulations, guidelines, and literature include, but are not limited to: 7 CFR Part 3015 - USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, as amended - USDA Implementation of Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018 - USDA Implementation of New Restrictions on lobbying; 7 CFR Part 3019 - USDA Implementation of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; 7 CFR Part 3052 - USDA Implementation of OMB Circular No. A-133 (revised June 24, 1997) regarding audits of States, local governments, and nonprofit organizations; 7 CFR Part 3407 - CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Competitive Research Grants and Awards Management, the Cooperative State Research, Education, and Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 401-1761.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206, Grants for Agricultural Research, Competitive Research Grants; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.215, Sustainable Agriculture Research and Education; 10.500, Cooperative Extension Service.

**EXAMPLES OF FUNDED PROJECTS:**

Planning for Native American Rural Development; Food Losses from the Farm to the Consumer; Competition for Land on the Urban-Rural Interface; Value-Added Composites from the Rural Southwestern United States.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are initially reviewed to ensure that they meet the requirements set forth in the program guidelines/proposal solicitations. Standard Project Grant proposals then undergo technical evaluations using the following criteria: (1) Merit - scientific, technical, or educational merit; well defined problem; clearly defined objectives; appropriateness of approach (including selection of proper approach to address systems, multifaceted, or multidisciplinary problems); demonstrated integration of components (such as research, education, and extension components); degree of feasibility; soundness and effectiveness of management plan; (2) Quality - creativity and innovativeness in addressing problems and issues; selection of most appropriate and qualified individuals to address problem; competence and experience of personnel; effective utilization

of knowledge base in addressing problems; potential to contribute solutions to stated problem; identified potential for technology transfer and information dissemination; (3) relevance - proposal advances purposes for federally-supported research, education, and extension as referenced or stated in the solicitation; potential to contribute solutions to priority problems in agriculture; identification and involvement of stakeholders; involvement of communities of interest and stakeholders in the identification of problems set forth in the proposal; partnership with those affected by the outcome. FRA Center Planning Grant proposals will be judged using the following criteria: (1) Merits of the FRA Center concept; (2) relevance of the proposed FRA Center to the purposes of the Fund for Rural America; (3) appropriateness of planning activities in assembling a follow-on proposal for funding of the proposed FRA Center; and (4) competence of identified participants. Criteria used to judge FRA Center Grant proposals will be published in the FRA Center Grant solicitation.

## 10.225 COMMUNITY FOOD PROJECTS

(Community Food Project Program)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food Stamp Act of 1977, Section 25, as amended; Federal Agriculture Improvement and Reform Act of 1996, Section 401, Public Law 104-127.

**OBJECTIVES:**

To support the development of community food projects designed to meet the food needs of low-income people; increase the self-reliance of communities in providing for their own needs; and promote comprehensive responses to local food, farm, and nutrition issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Community food projects are intended to take a comprehensive approach to developing long-term solutions that help to ensure food security in communities by linking the food sector to community development, economic opportunity, and environmental enhancement. Comprehensive solutions may include elements such as: (1) Improved access to high quality, affordable food among low-income households; (2) support for local food systems, from urban gardening to local farms that provide high quality fresh food, ideally with minimal adverse environmental impact; and (3) expanded economic opportunities for community residents through local business or other economic development, improved employment opportunities, job training, youth apprenticeship, school-to-work transition, and the like. Any solution proposed must tie into community food needs. Successful applicants must provide matching funds, either in cash or in-kind amounting to at least 50 percent of the total cost of the project during the term of the grant award.

**Applicant Eligibility:**

Proposals may be submitted by private nonprofit entities. Because projects must promote comprehensive responses to local food, farm, and nutrition issues, applicants are encouraged to seek and create partnership among public, private nonprofit and private for-profit organizations or firms. To be further eligible for a grant, a private nonprofit applicant must meet three mandatory requirements:

1. Have experience in the area of: (a) community food work, particularly concerning small and medium-sized farms, including the provision of food to people in low-income communities and the development of new markets in low-income communities for agricultural producers; or (b) job training and business development activities in low-income communities;
2. demonstrate competency to implement a project, provide fiscal accountability and oversight, collect data, and prepare reports and other appropriate documentation; and
3. demonstrate a willingness to share information with researchers, practitioners, and other interested parties.

**Beneficiary Eligibility:**

Low income people.

**Credentials/Documentation:**

Prior to the award of a grant, a prospective grantee organization must furnish information about the organization upon request from USDA. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published in the Federal Register. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Formal proposal submission to the Cooperative State Research, Education, and Extension Service in accordance with the Community Food Projects program guidelines which will be issued annually.

**Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of specialists who are uniquely qualified by training and experience in their respective fields to render expert advice on the merit of proposals being reviewed. Proposals are supported in order of merit to

the extent permitted by available funds. Proposals recommended for funding as a result of the merit review then undergo a financial and administrative review. Upon completion of all reviews, a grant award is issued.

**Deadlines:**

All proposal submission deadlines are announced in the proposal solicitation published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is a matching requirement of 50 percent Federal and 50 percent nonfederal support of the project during the term of the grant. The nonfederal share may be provided through payment in cash or in-kind contributions in the form of fairly evaluated facilities, equipment, or services. The nonfederal share may be derived from State or local governments, or from private sources.

**Length and Time Phasing of Assistance:**

From one to three years.

**Reports:**

Quarterly financial reports, annual progress reports, and final financial and final summary progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 2, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. All matching contributions must be verifiable in the grantee organization's records. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Grants) FY 07 \$4,800,000; FY 08 est \$4,800,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$10,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Grants were awarded for projects designed to increase food security in communities by bringing the whole food system together to assess strengths, establish linkages, and create systems that improve the self-reliance of community members over their food needs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As set forth in the program guidelines and any resulting grant award, including 7 CFR Part 3015 (USDA Uniform Federal Assistance Regulations); 7 CFR Part 3017 (Government wide Debarment and Suspension-Nonprocurement, and Government wide Requirements for Drug-Free Workplace-Grants); 7 CFR Part 3018 (New Restrictions on Lobbying); 7 CFR Part 3019 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations); and 7 CFR Part 3052 (Audits of States, Local Governments, and Nonprofit Organizations).

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator, Competitive Research Grants and Awards Management, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 401-1761.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.572, WIC Farmers' Market Nutrition Program (FMNP).

**EXAMPLES OF FUNDED PROJECTS:**

Family Gardens and Neighborhood Markets-Three New Communities; Patchwork Family Farms; Value-Added Processing for Community Food Security; Native American Food Systems Project; Lowell Farming and Food Project.

**CRITERIA FOR SELECTING PROPOSALS:**

1. The applicability and merit of the proposed project in regard to its ability to: Meet the food needs of low-income people in the proposed community for providing for its own food needs; and promote comprehensive responses to local food, farm, and nutrition needs; 2. the capacity to become self-sustaining once Federal funding ends; and 3. organizational and staff qualifications and experience; and 4. additional criteria will be considered relative to the extent the proposed project contributes to: (a) developing linkages between two or more sectors of the food system; (b) supporting the development of entrepreneurial

projects; (c) developing innovative linkages between the for-profit and nonprofit food sectors; (d) encouraging long-term planning activities and multi-system, interagency approaches; and (e) incorporating linkages to one or more ongoing USDA themes or initiatives referred to in the program guidelines and/or annual proposal solicitation.

## 10.226 SECONDARY AND TWO-YEAR POSTSECONDARY AGRICULTURE EDUCATION CHALLENGE GRANTS

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127, as amended.

**OBJECTIVES:**

To promote excellence in agriscience and agribusiness education, and to encourage more young Americans to pursue baccalaureate and higher degrees in the food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, promotion of teaching competencies, promotion of agriscience and agribusiness career information, instruction delivery systems, student experiential learning, and educational activities that increase the diversity of students pursuing degrees in agriscience and agribusiness.

**Applicant Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

**Beneficiary Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

**Credentials/Documentation:**

Each first-time recipient must furnish organizational management information requested by the funding agency, and each applicant must provide assurances specified in the annual solicitation of applications.

**Preapplication Coordination:**

All proposals/solicitations are published in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals should be submitted to the Office of Extramural Programs, CSREES, as outlined in the solicitation of applications. Application procedures are contained in the program regulations and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

**Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of qualified educators, administrators, industrialists, and other appropriate persons who are specialists in the fields covered by the proposals. Proposals are supported in order of merit to the extent permitted by available funds. Grant payments may be made by the electronic transfer system, advance by Treasury check, or reimbursement by Treasury check.

**Deadlines:**

All deadlines are announced in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Dollar-for-dollar matching funds from nonfederal sources is required.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one to two-year period and may receive no-cost extensions as appropriate up to a maximum of five years.

**Reports:**

Annual progress reports. Quarterly financial reports. Final progress reports are due within 90 days after project expiration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that

funds are expended for authorized purposes. Grant related records must be retained at least three years; records must be retained beyond the three year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**  
12-1500-0-1-352.

**Obligations:**  
(Grants) FY 07 \$931,082; FY 08 est \$950,400; and FY 09 est not reported.

**Range and Average of Financial Assistance:**  
\$15,000 to \$40,000; \$20,900.

**PROGRAM ACCOMPLISHMENTS:**  
One institution is incorporating agriscience/agribusiness concepts into secondary education by improving student exposure to distance learning opportunities, animal and plant sciences, farm business management, hydroponics, natural resources, and agricultural literacy.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; 7 CFR Part 3405, Higher Education Challenge Grants, Administrative Provisions, and Grant Application Kit.

**Regional or Local Office:**  
None.

**Headquarters Office:**  
National Program Leader- Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants; Higher Education Programs; Cooperative State Research, Education, and Extension Service; Department of Agriculture; STOP 2251; 1400 Independence Avenue, SW., Washington, DC 20250-2251; Telephone: (202) 720-1973; Fax: (202) 720-2030.

**Web Site Address:**  
<http://www.reeusda.gov/1700/funding/ourfund.htm>

**RELATED PROGRAMS:**  
10.217, Higher Education Challenge Grants; 10.210, Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216, 1890 Institution Capacity Building Grants.

**EXAMPLES OF FUNDED PROJECTS:**  
Pioneer Agriculture Curriculum, College, and Careers Project; Suitcase Lessons for Agriculture; Agribusiness for At-Risk Youth; Technology Integration for the Future of Agricultural Education; New Opportunities: Aquaculture Research Freshwater Shrimp Farming.

**CRITERIA FOR SELECTING PROPOSALS:**  
Proposals are evaluated using the following criteria: Potential for advancing quality of education/significance of the problem; proposed approach and cooperative linkages; institutional capability and capacity building; key personnel; and budget and cost-effectiveness.

## 10.227 1994 INSTITUTIONS RESEARCH PROGRAM

(1994 INSTITUTIONS RESEARCH PROGRAM)

**FEDERAL AGENCY:**  
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**  
Equity in Educational Land-Grant Status Act of 1994, Public Law 103-382, as amended.

**OBJECTIVES:**  
To carry out a competitive research grants program for the 30 institutions designated as 1994 Institutions.

**TYPES OF ASSISTANCE:**  
Project Grants.

**USES AND USE RESTRICTIONS:**  
This research grants program is authorized to conduct agricultural research that addresses high priority concerns of tribal, national or multi-State significance.

**Applicant Eligibility:**  
Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian National University, Leech Lake Tribal College,

College of the Menominee Nation, and Little Priest Tribal College.

**Beneficiary Eligibility:**  
Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Oriellese Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

**Credentials/Documentation:**  
Each prospective grantee organization must furnish the organizational information and assurances specified in the guidelines. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**  
All proposal solicitations are published in the Federal Register. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**  
Formal proposal to National Research Initiative Competitive Grants Program, USDA/CSREES as outlined in the guidelines. Application procedures are contained in CSREES Research Grant Application Kit. This program is subject to the provisions of 7 CFR 3019.

**Award Procedure:**  
CSREES program staff members review and evaluate all proposals with the assistance and advice of a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds.

**Deadlines:**  
As announced in a request for proposals for each fiscal year.

**Range of Approval/Disapproval Time:**  
From 90 to 180 days.

**Appeals:**  
None.

**Renewals:**  
Proposals for renewal, should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**  
None.

**Length and Time Phasing of Assistance:**  
Normally, competitive research projects will be supported for periods of up to 3 years.

**Reports:**  
Annual progress reports due within 90 days after anniversary of grant effective date and final technical report due 90 days after expiration of grant. Federal cash transaction reports and financial status reports as stated in 7 CFR 3019.52.

**Audits:**  
In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**  
Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during life of the grant and for 3 years thereafter.

**Account Identification:**  
12-1500-0-1-352.

**Obligations:**  
(Grants) FY 07 \$1,445,184; FY 08 est \$998,712; and FY 09 est not reported. Note: Grants are competitively awarded.

**Range and Average of Financial Assistance:**  
From \$40,963 to \$150,000. Average: \$66,221.

**PROGRAM ACCOMPLISHMENTS:**  
One college began a study that will determine the best combination of seeding method, seeding rate, herbicides, and native grass and forbs for establishment of desired grasses in a single pass. Researchers also will measure the resulting effects on the population dynamics of seeded grasses and forbs on invasive plants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
Pages 61290-61306 Federal Register, Vol. 56, No. 231, Part II, December 2, 1991; 7 CFR 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Governmentwide Debarment and Suspension (Nonprocurement) and



Governmentwide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying. National Competitive Research Initiative Grants Program Administrative Provisions, Federal Register, Vol. 56, No. 220, Pages 57950-57958, November 14, 1991; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administrator, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Ag Box 2201, 14th and Independence Avenue, SW., Washington, DC 20250-2201. Telephone: (202) 720-4423.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Aquatic and Wetland Ecosystem Study of a Restored Wild Rice System; Bison Culture; Revegetating Invasive Plant Infested Rangelands In a Single Entry; Surveillance of Mosquito-Borne Equine; Effects of Prairie Dog Towns on Bison and Cattle Production on Tribal Lands.

**CRITERIA FOR SELECTING PROPOSALS:**

1. The scientific merit of the proposal, including the suitability and feasibility of the approaches and methodology; 2. the probability that the research will contribute to important discoveries or significant breakthroughs in the food and agricultural sciences; 3. the qualifications of the principal investigator and other senior personnel, such as training, demonstrated awareness of previous and alternative approaches to the problem, and performance record and/or potential for future accomplishment; and 4. the probable adequacy of available or obtainable facilities, equipment, instrumentation, and technical support.

## 10.228 ALASKA NATIVE SERVING AND NATIVE HAWAIIAN SERVING INSTITUTIONS EDUCATION GRANTS

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 759, Public Law 106-78, 7 U.S.C. 3242.

**OBJECTIVES:**

To recruit, support and educate under-represented scientists and professionals, and to advance the educational capacity of the Alaska Native and Native Hawaiian (AN/NH) Serving Institutions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to enhance educational equity for under-represented students in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States; to strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified educational needs in the food and agricultural sciences; and to facilitate activities and cooperative initiatives between AN/NH Serving Institutions, or between AN/NH Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs.

**Applicant Eligibility:**

Individual public or private, non-profit Alaska Native-Serving and Native Hawaiian-Serving Institutions of higher education that meet the definitions of Alaska Native-Serving Institution or Native Hawaiian Serving Institution established in Title III, Part A of the Higher Education Act of 1965, as amended (20 U.S.C. 1059d.) are eligible institutions under this program.

**Beneficiary Eligibility:**

Alaska Native Serving Institutions and Native Hawaiian Serving Institutions.

**Credentials/Documentation:**

Each first-time recipient must furnish organizational management information requested by the funding agency, and each applicant must provide assurances specified in the annual solicitation of applications.

**Preapplication Coordination:**

All proposals/solicitations are published in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals should be submitted to the Office of Extramural Programs, CSREES, as outlined in the solicitation of applications. Application procedures are contained in the program regulations and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

**Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of qualified educators, administrators, industrialists, and other appropriate persons who are specialists in the fields covered by the proposals, as needed. Grant payments may be made by the electronic transfer system, advance by Treasury check, or reimbursement by Treasury check.

**Deadlines:**

All deadlines are announced in the Federal Register. The deadline for submission of fiscal year 2004 proposals is March 18, 2004.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funds are awarded on an equal basis to Alaska Native-Serving and Native Hawaiian-Serving Institutions to carry out higher education programs. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for project periods of 12 to 36 months duration.

**Reports:**

Grant terms and conditions will specify reporting requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133(Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are expended for authorized purposes. Grant related records must be retained at least three-years; records must be retained beyond the three year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$3,088,800; FY 08 est \$2,848,320; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

It is anticipated that awards will range from \$100,000 to \$150,000. This is a newly funded program; average not yet determined.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, USDA Uniform Federal Assistance Regulations (implementing the provisions of OMB Circular Nos. A-21 and A-110); 7 CFR Part 3017, Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Multicultural Alliances, Science, Education, and Research Development Unit, Cooperative State Research, Education and Extension Service, Department of Agriculture, Room 3901, Waterfront Centre, 1400 Independence Ave., S.W., Washington, DC 20250-2251. Telephone: (202) 720-1973.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.217, Higher Education Challenge Grants; 10.220, Higher Education Multicultural Scholars Program; 10.223, Hispanic Serving Institutions Education Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are expected to include the following: (1) The likelihood that the project will have a substantial impact upon and advance the quality of higher education in the food and agricultural sciences higher education by strengthening institutional capacities to meet clearly delineated needs; (2) the soundness of the proposed approach, including objectives, procedures, timetable, evaluation and dissemination plans, and partnerships and collaborative efforts; (3) the



qualifications and the adequacy of the key personnel who will carry out the proposed project; (4) the institution's commitment to the project and the adequacy of institutional resources available to carry out the project; (5) the extent to which the total budget adequately supports the project and is cost effective; and (6) the degree to which the proposal complies with the application guidelines and is of high quality.

## 10.250 AGRICULTURAL AND RURAL ECONOMIC RESEARCH

### FEDERAL AGENCY:

ECONOMIC RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

### OBJECTIVES:

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

### Applicant Eligibility:

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

### Beneficiary Eligibility:

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

12-1701-6-1-352.

### Obligations:

FY 07 \$84,222,000; FY 08 est not available; and FY 09 est not reported. (Note: Includes reimbursable and all obligations, including those from nonfederal funding.)

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

None.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Research results are available in the agency's publications and periodicals, which can be purchased through the National Technical Information Service (1-800

999-6779. Reports are also available on the ERS website:

<http://www.ers.usda.gov>. Computerized bibliographic data are accessible through AG-ECON and AGRICOLA. For additional information contact the Chief, Publishing and Communications Branch, ERS, USDA, 1800 M Street, NW., Washington, DC 20036-5831. Telephone: (202) 694-5120.

### Regional or Local Office:

None.

### Headquarters Office:

Director, Extramural Agreement Division, ARS, Room 5601, Sunnyside Avenue, Mail Stop 5110, Beltsville, MD 20705-5110. Telephone: (301) 504-1147.

### Web Site Address:

<http://www.ers.usda.gov>.

### RELATED PROGRAMS:

10.001, Agricultural Research\_Basic and Applied Research; 10.153, Market News; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library; 10.900, Great Plains Conservation.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 10.253 FOOD ASSISTANCE AND NUTRITION RESEARCH PROGRAMS (FANRP)

### FEDERAL AGENCY:

ECONOMIC RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

### OBJECTIVES:

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

### Applicant Eligibility:

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

### Beneficiary Eligibility:

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

FY 07 \$84,222,000; FY 08 est not available; and FY 09 est not reported. (Note: Includes reimbursable and all obligations, including those from nonfederal funding).

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The ERS had 224 active projects in fiscal year 2006. In fiscal year 2006, ERS staff responded to about 50,000 requests for economic information and published about 170 reports of economic analysis and research. That does not include unpublished staff analysis that were used to address specific policy questions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research results are available in the agency's publications and periodicals, which can be purchased through the National Technical Information Service (1-800-999-6779). Reports are also available on the ERS website:

<http://www.ers.usda.gov>. Computerized bibliographic data are accessible through AG-ECON and AGRICOLA. For additional information contact the Chief, Publishing and Communications Branch, ERS, USDA, 1800 M Street, N.W., Washington, DC 20036-5831. Telephone: (202) 694-5120.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Extramural Agreement Division, ARS, Room 5601, Sunnyside Avenue, Mail Stop 5110, Beltsville, MD 20705-5110. Telephone: (301) 504-1147.

**Web Site Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.153, Market News; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.254 PROGRAM OF RESEARCH ON THE ECONOMIC OF INVASIVE SPECIES MANAGEMENT (PREISM)**

**FEDERAL AGENCY:**

ECONOMIC RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE  
**AUTHORIZATION:**

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

FY 07 \$84,222,000; FY 08 est not available; and FY 09 est not reported.(Note: Includes reimbursable and all obligations, including those from nonfederal funding).

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The ERS had about 224 active projects in fiscal year 2006. In fiscal year 2006, ERS staff responded to about 50,000 requests for economic information and published about 170 reports of economic analysis and research. That does not include unpublished staff analysis that were used to address specific policy questions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research results are available in the agency's publications and periodicals, which can be purchased through the National Technical Information Service (1-800-999-6779). Reports are also available on the ERS website:

<http://www.ers.usda.gov>. Computerized bibliographic data are accessible through AG-ECON and AGRICOLA. For additional information contact the Chief, Publishing and Communications Branch, ERS, USDA, 1800 M Street, N.W., Washington, DC 20036-5831. Telephone: (202) 694-5120.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Extramural Agreement Division, ARS, Room 5601, Sunnyside Avenue, Mail Stop 5110, Beltsville, MD 20705-5110. Telephone: (301) 504-1147.

**Web Site Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.153, Market News; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.255 RESEARCH INNOVATION AND DEVELOPMENT GRANTS IN ECONOMIC (RIDGE)**

**FEDERAL AGENCY:**

ECONOMIC RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE  
**AUTHORIZATION:**

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To provide economic and other social science information and analysis for

public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Grants) FY 07 \$84,222,000; FY 08 est not available; and FY 09 est not reported. (Note: Includes reimbursable and all obligations, including those from nonfederal funding).

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The ERS had about 224 active projects in fiscal year 2006. In fiscal year 2006, ERS staff responded to about 50,000 requests for economic information and published about 170 reports of economic analysis and research. That does not include unpublished staff analysis that were used to address specific policy questions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research results are available in the agency's publications and periodicals, which can be purchased through the National Technical Information Service (1-800-999-6779). Reports are also available on the ERS website:

<http://www.ers.usda.gov>. Computerized bibliographic data are accessible through AG-ECON and AGRICOLA. For additional information contact the Chief, Publishing and Communications Branch, ERS, USDA, 1800 M Street, NW., Washington, DC 20036-5831. Telephone: (202) 694- 5120.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Extramural Agreement Division, ARS, Room 5601, Sunnyside Avenue, Mail Stop 5110, Beltsville, MD 20705-5110. Telephone: (301) 504-1147.

**Web Site Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.153, Market News; 10.200, Grants for Agricultural Research, Special Research Grants;

10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.256 CONSUMER DATA INITIATIVE (CDI)

**FEDERAL AGENCY:**

ECONOMIC RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for technical and additional information, contact: Chief, Publishing and Communications Branch, ERS, USDA, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Salaries and Expenses) FY 07 \$84,222,000; FY 08 est not available; and FY 09 est not reported. (Note: Includes reimbursable and all obligations, including those from nonfederal funding).

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research results are available in the agency's publications and periodicals, which can be purchased through the National Technical Information Service (1-800)

999-6779). Reports are also available on the ERS website:  
<http://www.ers.usda.gov>. Computerized bibliographic data are accessible through AG-ECON and AGRICOLA.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Extramural Agreement Division, ARS, Room 5601, Sunnyside Avenue, Mail Stop 5110, Beltsville, MD 20705-5110. Telephone: (301) 504-1147.

**Web Site Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.153, Market News; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500, Cooperative Extension Service; 10.700, National Agricultural Library.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.290 AGRICULTURAL MARKET AND ECONOMIC RESEARCH

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF ECONOMIST, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

7 U.S.C. Section 3318, 7 CFR Section 2.29.

**OBJECTIVES:**

To conduct cooperative economic research and analyses in support of the Office of the Chief Economist's responsibility to advise the Secretary of Agriculture on the economic implications of Department policies, programs, and proposed legislation. These research projects and analyses cover the nation's agricultural commodity markets; risk analyses and cost-benefit analyses related to international food and agriculture; sustainable development; energy issues related to the agricultural economy; agricultural labor; global climate change; and any other topics that support the Department's consideration or review of policies and programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research is conducted that is in cooperation with the Office of the Chief Economist's in-house research and analysis programs and projects. Limited discretionary funds are periodically made available.

**Applicant Eligibility:**

Applicants are usually nonprofit institutions of higher education or other nonprofit research organizations whose primary purpose is conducting economic research.

**Beneficiary Eligibility:**

Beneficiaries are usually nonprofit institutions of higher education or other nonprofit research organizations whose primary purpose is conducting scientific research.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Upon request of the Office of the Chief Economist, proposals should be submitted to the Office of the Chief Economist, Department of Agriculture.

**Award Procedure:**

The Office of the Chief Economist considers proposals received, evaluates the qualifications of the proposal with respect to the research issue, and, in consultation with the selected cooperator institution, establishes a funding level and the specific deliverables due at the conclusion of the agreement.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Progress reports, final research or study reports, and financial statements.

**Audits:**

Audits will be conducted in accordance with guidelines established in the

revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

12-0705-0-1-352.

**Obligations:**

(Grants) FY 07 \$2,873,761; FY 08 est \$2,873,761; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$20,000 to \$1,948,384. Average: \$245,102.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015 and 7 CFR 3019.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief Economist, Department of Agriculture, Washington, DC 20250.

Telephone: (202) 720-4164. Contact: Information Officer. Telephone: (202) 720-5447.

**Web Site Address:**

<http://www.usda.gov/oce>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Review by professional economic and senior management staff at the Office of the Chief Economist for relevance to the proposed research topic, experience of the institution with respect to the research topic, and cost effectiveness.

## 10.303 INTEGRATED PROGRAMS

(Integrated Programs)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Sections 406 and 229 of Public Law 105-185; Section 25 of the Food Stamp Act of 1977, Section 25.

**OBJECTIVES:**

To provide an integrated research, education, and extension competitive grants program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This research, education, and extension competitive grants program provides funding for integrated, multi-functional agricultural research, extension, and education activities which addresses priorities in United States agriculture.

**Applicant Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Beneficiary Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Credentials/Documentation:**

Each prospective grantee organization must furnish the organizational information and assurances specified in the guidelines.

**Preapplication Coordination:**

All proposal solicitations are published in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposal to USDA/CSREES as outlined in the guidelines. Application procedures are contained in CSREES research Grant Application Kit. This program is subject to the provisions of 7 CFR 3019.

**Award Procedure:**

CSREES program staff members review and evaluate all proposals with the assistance and advice of a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds.

**Deadlines:**



As announced in the Federal Register for each fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Proposals for renewal should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Normally, competitive research projects will be supported for periods of up to three years.

**Reports:**

Annual progress reports due within 90 days after anniversary of grant effective date and final technical report due 90 days after expiration of grant. Federal cash transaction reports and financial status reports as stated in 7 CFR 3019.52.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during life of the grant and for three years thereafter.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Grants) FY 07 \$41,334,662; FY 08 est \$1,311,857; and FY 09 est not reported. Note: Grants are competitively awarded.

**Range and Average of Financial Assistance:**

Awards range from \$20,000 to \$2,080,000 with the average being \$499,050.

**PROGRAM ACCOMPLISHMENTS:**

One university established a network among home food safety experts and provided new research on home food preservation. Goals for project activities met the needs for providing scientific, research-based recommendations for home food processing and preservation to the public.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pages 61290-61306 Federal Register, Vol. 56, No. 231, Part II, December 2, 1991; 7 CFR 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying, National Competitive Research Initiative Grants Program Administrative Provisions, Federal Register, Vol. 56, No. 220, Pages 57950-57958, November 14, 1991; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administrator, Cooperative State Research, Education, and Extension Service, U.S. Department of Agriculture, Ag Box 2201, 14th and Independence Avenue, SW., Washington, DC 20250-2201. Telephone: (202) 720-4423.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207, Animal Health and Disease Research; 10.219, Biotechnology Risk Assessment Research; 10.250, Agricultural and Rural Economic Research; 10.500, Cooperative Extension Service; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

Improving Microbial Safety and Shelf-Life of Fresh Produce with Antimicrobial Films; National Center for Home Food Processing and Preservation; Preservation of Rural Watersheds and Drinking Water Resources; Accelerating Riparian Buffer Adoption to Enhance Water Quality and Farm Income.

**CRITERIA FOR SELECTING PROPOSALS:**

1. The scientific merit of the proposal, including the suitability and feasibility of the approaches and methodology; 2. the probability that the research will contribute to important discoveries or significant breakthroughs in food production or human nutrition, in relation to the mission of this program; 3. the qualifications of the principal investigator and other senior personnel, such as

training, demonstrated awareness of previous and alternative approaches to the problem, and performance record and/or potential for future accomplishment; and 4. the probable adequacy of available or obtainable facilities, equipment, instrumentation, and technical support. Consideration will be given to proposals which address fundamental questions in the relevant areas and which are consistent with the long-range missions of USDA.

## 10.304 HOMELAND SECURITY-AGRICULTURAL

(Homeland Security Program)

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), Section 1472, 7 U.S.C. 3318.

**OBJECTIVES:**

To provide funding to protect the food supply and agricultural production, protect USDA facilities and other agricultural infrastructure and protect USDA staff and manage emergency preparedness.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

These funds are subject to the provisions of 31 U.S.C. 1301 requiring their use only for the purpose for which they were appropriated.

**Applicant Eligibility:**

Recipients must be eligible under section 1472(c) of NARETPA.

**Beneficiary Eligibility:**

Beneficiaries must be eligible under section 1472(c).

**Credentials/Documentation:**

Each first-time recipient must furnish organizational management information requested by the funding agency, and each applicant must provide assurances specified in the annual solicitation of applications.

**Preapplication Coordination:**

Letters of intent are requested prior to the submission of project proposals. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants submit project proposals along with OMB-approved Application Forms to CSREES for approval.

**Award Procedure:**

Proposals are reviewed and evaluated by CSREES staff members with the assistance and advice of peer panels of qualified educators, administrators, industrialists, and other appropriate persons who are specialists in the fields covered by the proposals, as needed. Grant payments will be made through the U. S. Department of Health and Human Services Payment Management System.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants are awarded for project periods of 12 to 36 months duration.

**Reports:**

Grant terms and conditions will specify reporting requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specified audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are expended for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0115-0-1-352.

**Obligations:**

(Grants) FY 07 \$9,504,000; FY 08 est 13,705,920; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

It is anticipated that awards will range from \$250,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable. This is a newly funded program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015; 7 CFR 3016; 7 CFR 3017; 7 CFR 3018; 7 CFR 3019; and Grant Terms and Conditions.

**Regional or Local Office:**

None.

**Headquarters Office:**

CSREES Administrators Office, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Room 305-A, Stop 2201, 1400 Independence Avenue, SW., Washington, DC 20250-2201.

**Web Site Address:**

<http://www.reeusda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Current funding is directed solely to the establishment of two diagnostic networks: one for plant diseases and pests and one for animal diseases and pests. Funding is not available under this section for research projects.

**CRITERIA FOR SELECTING PROPOSALS:**

In FY 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria: (1) Existing scientific capacity; (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements; (3) Both animal and plant diagnostic capabilities; (4) Geographical location meeting one or more of the following requirements: located in an area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility; (5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and (6) An effective outreach/extension system.

**10.305 INTERNATIONAL SCIENCE AND EDUCATION GRANTS**

(INTERNATIONAL SCIENCE AND EDUCATION COMPETITIVE GRANTS PROGRAM)

**FEDERAL AGENCY:**

DEPARTMENT OF AGRICULTURE, COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE (CSREES)

**AUTHORIZATION:**

Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended 7 U.S.C. 3292b.

**OBJECTIVES:**

To support projects to: enhance the international content of curricula; ensure that faculty work beyond the U.S. and bring lessons learned back home; promote international research partnerships; enhance the use of application of foreign technologies in the U.S., and strengthen the role that colleges and universities play in maintaining U.S. competitiveness.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funded projects will respond to specific needs and strengths of the university or college that will enable it to strengthen the global competence of students, faculty and staff in agriculture and related areas and enhance business performance in international agriculture and related sectors through extension, research and/or teaching programs.

**Applicant Eligibility:**

Applications may be submitted by colleges and universities and defined in section 1404 of NARETPA. The terms college and university mean an educational institution in any State which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (2) is legally authorized within such State to provide a program of education beyond secondary education; (3) provides an education program for which a bachelor's degree or any other higher degree is awarded; (4) is a public or other nonprofit institution; and (5) is accredited by a nationally recognized accrediting agency or association.

**Beneficiary Eligibility:**

Colleges and universities; public or other nonprofit institutions.

**Credentials/Documentation:**

None. The program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals are solicited and should be submitted to the Proposal Services

Unit, Competitive Programs, CSREES, USDA, as outlined in the guidelines and/or requests for applications. Application procedures are contained in the guidelines or request for applications.

**Award Procedure:**

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadline dates are announced on the Agency's Web site and in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

Notice of action taken on proposals will generally be within 90 days of final date of submission deadline.

**Appeals:**

None.

**Renewals:**

Requests for renewal support must be submitted as new proposals at the announced deadline, and are considered in equal competition with other applications.

**Formula and Matching Requirements:**

As announced in the request for applications.

**Length and Time Phasing of Assistance:**

From one to four years.

**Reports:**

Quarterly financial reports. Annual progress reports. Final financial and final summary progress reports.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Grants) FY 07 \$950,400; FY 08 est 1,910,400; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None. This is a new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, USDA Uniform Federal Assistance Regulations (implementing the provisions of OMB Circular Nos. A-21 and A-110); 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative: Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Programs, Cooperative State Research, Education, and Extension Service; USDA; STOP 2203; 1400 Independence Avenue, SW., Washington, DC. 20250-2203; telephone: 202-720-3801.

**Web Site Address:**

<http://www.csrees.usda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207, Animal Health and Disease Research; 10.210, Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216, 1890 Institution Capacity Building Grants; 10.219, Biotechnology Risk Assessment Research; 10.226, Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants; 10.250, Agricultural and Rural Economic Research; 10.652, Forestry Research.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated based on four major criteria: (1) Overall Approach and Collaboration, which includes soundness of proposed approach, procedures, integration with existing programs and realistic time table, cooperation among the lead institution and other partner organizations and institutional commitment; and (2) Potential for Contributing to Internationalization which includes the extent of importance or impact of the project, expected products or results, an adequate evaluation plan, a dissemination plan, and continuation

plans; 3) Personnel Resources; and Budget and Cost Effectiveness.

## 10.306 BIODIESEL

(BIODIESEL)

### FEDERAL AGENCY:

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE (CSREES), DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Section 9002, Public Law 107-171, 7 U.S.C. 8104.

### OBJECTIVES:

To educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

This funding is used for education and outreach activities. Program funds may not be used for renovation or refurbishment or research space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition or construction of buildings or facilities.

### Applicant Eligibility:

Eligibility is restricted to nonprofit organizations or institution of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

### Beneficiary Eligibility:

Nonprofit organizations or institutions of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

### Credentials/Documentation:

None.

### Preapplication Coordination:

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Formal proposals are solicited and should be submitted to the Proposal Services Unit, Competitive Programs, CSREES, USDA, as outlined in the guidelines and/or requests for applications. Application procedures are contained in the guidelines or request for applications.

### Award Procedure:

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

### Deadlines:

Specific deadline date is announced in the request for applications in the first fiscal year of the program.

### Range of Approval/Disapproval Time:

Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

### Appeals:

None.

### Renewals:

Awards are made as continuation grants, and subsequent annual funding is provided based on demonstrated progress.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Same level of funding for five years.

### Reports:

Quarterly progress reports; annual and summary reports submitted to the Current Research Information System.

### Audits:

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

### Records:

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

### Account Identification:

12-1500-0-1-352.

### Obligations:

(Grants) FY 07 \$960,000; FY 08 est \$960,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$190,000 and \$770,000.

### PROGRAM ACCOMPLISHMENTS:

To increase the use of biodiesel fuel nationally, to provide information about the benefits of using biodiesel, to provide consistent information about technical issues related to biodiesel use.

## REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR Part 1, subpart A USDA implementation of the Freedom of Information Act. 7 CFR Part 3 USDA implementation of OMB Circular No. A 129 regarding debt collection. 7 CFR Part 15, subpart A USDA implementation of Title VI of the Civil Rights Act of 1964, as amended. 7 CFR Part 3015 USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A 21 and A 122) and incorporating provisions of 31 U.S.C. 6301 6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Public Law 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance. 7 CFR Part 3017 USDA implementation of Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug Free Workplace (Grants). 7 CFR Part 3018 USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. 7 CFR Part 3019 USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. 7 CFR Part 3052 USDA implementation of OMB Circular No. A 133, Audits of States, Local Governments, and Non profit Organizations. 7 CFR Part 3407 CSREES procedures to implement the National Environmental Policy Act of 1969, as amended. 29 U.S.C. 794 (sec. 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) prohibiting discrimination based upon physical or mental handicap in Federally assisted programs. 35 U.S.C. 200 et seq. Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401). FR Vol 68, No. 189, September 30, 2003, pages 56137-56143 (regulation); FR Vol. 68, No. 135, July 15, 2003, pages 41770-41777 (request for applications).

### Regional or Local Office:

None.

### Headquarters Office:

Plant and Animal Systems, 1400 Independence Avenue, SW; STOP 2220; Washington, DC 20250-2220; Telephone: (202) 401-5877.

### Web Site Address:

<http://www.csrees.usda.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

America's Energy Future; National Biodiesel Fuel Education Program.

### CRITERIA FOR SELECTING PROPOSALS:

Within guidelines established for the program, demonstrated knowledge of biodiesel fuel production, use, or distribution; and demonstrated ability to conduct educational and technical support programs; relevance of proposed project to current and future issues, reasonableness of the proposed project, and technical quality of the proposed project.

## 10.307 ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE

(ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE)

### FEDERAL AGENCY:

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE (CSREES), DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

The Farm Security and Rural Investment Act of 2002, Section 7218, as amended; The Food, Agriculture, Conservation, and Trade Act of 1990, Section 1672B, 7 U.S.C. 5925b).

### OBJECTIVES:

Facilitate the development of organic agriculture production, breeding, and processing methods. Functionally identify soil microbial communities and ways to manage microbial dynamics to enhance nutrient cycling and disease suppression; Develop systemic approaches to weed, insect and disease management; Prevent, control, and treat internal and external parasites in various livestock species; and Breed crops for disease and insect resistance, good yield in a biologically diverse system, compatibility with intercrops, good response to organic fertility sources, horizontal resistance (traits determined by multiple genes). Evaluate the potential economic benefits to producers and processors who use organic methods. Analyze potential economic costs, returns and risks of organic production systems; Use environmental valuation tools to quantify externalities of producing food, and compare externalities of producing organic and conventional food; - Analyze price and market structures, including ability of small, medium-, and large-scale growers to access different markets, in order to frame policies that minimize concentration within the industry; and Analyze marketing channels to document how organic food is distributed, what share of the organic food dollar is returned to the farmer, and the implications of large-scale manufacturers entering the organic market. Explore international trade opportunities for organically grown and processed agricultural



commodities. Compare compatibility of certification standards used in different parts of the world, with the ultimate goal of harmonization and reciprocity; Undertake marketing studies of international consumer demand for U.S. produced organic goods; and Perform Welfare analyses (quantified gains and losses for producers and consumers) of trade policies affecting international competitiveness, including implementation of the National Organic Program, domestic support programs such as the Conservation Security Act, country of origin labeling, GMO labeling, etc. Determine desirable traits for organic commodities. Examine relationships between nutrients in the soil and nutrients in the food grown on that soil, including long-term soil nutrient and crop nutrient profiles under conventional and organic management; Perform comparisons of nutrient levels between organic and conventional crops and relationship, if any, between taste and nutrient profile; Investigate the role of post-harvest handling and treatment in the maintenance of quality in fresh market organic products; and Determine the reasons for consumer preferences for organic goods. Identify marketing and policy constraints on the expansion of organic agriculture. Analyze opportunities and constraints to organic agriculture resulting from provisions of the Farm Security and Rural Investment Act of 2002; Investigate specific barriers to markets, such as scale-based regulations that restrict family farm access to processors and/or markets; Study negative lender perception of organic farming and ways to change this; and Analyze regulatory barriers, such as lack of access to Federal farm programs, and developing solutions to these challenges. Conduct advanced on-farm research and development that emphasizes observation of, experimentation with, and innovation for working organic farms, including research relating to production and marketing and to socioeconomic conditions. (Note: Many topics from other goal areas can be conducted on working farms.) Develop rigorous on-farm systems research designs; and Conduct long-term, interdisciplinary systems research.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Integrated Organic Program is particularly interested in proposed projects that emphasize research and outreach that assist farmers and ranchers with whole farm planning and ecosystem integration. Projects should plan to deliver applied production information to producers. Fieldwork for both program areas must be done on certified organic land or on land in transition to organic certification, as appropriate to project goals and objectives. Refer to the USDA National Organic Program (<http://www.ams.usda.gov/nop>) for organic production standards.

**Applicant Eligibility:**

Applications may be submitted by State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For both ORG and OREI, all award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

**Beneficiary Eligibility:**

State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals.

**Credentials/Documentation:**

Curricula vitae for all project directors and sub-contractors.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals are solicited and should be submitted to the Proposal Services Unit, Competitive Programs, CSREES, USDA, as outlined in the guidelines and/or requests for applications. Application procedures are contained in the guidelines or request for applications.

**Award Procedure:**

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

**Deadlines:**

applications must be received 60 days after publication of the Request for Applications.

**Range of Approval/Disapproval Time:**

Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

If a grant provides a particular benefit to a specific agricultural commodity, the grant recipient is required to match the USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions. CSREES may waive the matching funds requirement for a grant if CSREES

determines that: (1) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or (2) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Grantees must submit Annual Progress Reports to CSREES that detail progress toward achieving goals and objectives of the project and a Final Performance Report that includes a brief project impact statement written in lay language. These reports should be succinct and no longer than five (5) pages, single-spaced, using 12-point font. They should include the following information about the project: (1) basic information (i.e., project title, name(s) of PD(s), award number, and reporting period); (2) a description of the stakeholder needs identified, problems addressed, and results of the project (including publications); (3) plans for the upcoming year; and (4) a description of subaward activity, including the process used to select recipients. Any students who work on a project should be listed in the project reports (i.e., report graduate degrees awarded and under graduates trained, as applicable). A budget summary should be attached to each report to provide an overview of all monies spent during the reporting period. Grantees also are required to submit annual and summary progress reports via CSREES. Current Research Information System (CRIS). CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Grants) FY 07 \$2,836,820; FY 08 est \$2,880,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None. This is a new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Plant and Animal Systems, 1400 Independence Avenue, SW; STOP 2220; Washington, DC 20250-2220. Telephone: (202) 401-3356.

**Web Site Address:**

<http://www.csrees.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria below will be used in reviewing applications submitted in response to this RFA: Proposal Relevance (50%): (a) Documented need. Application includes documentation substantiating that project is directed to current and likely future potential problems/challenges in organic agriculture; (b) Stakeholder involvement; (c) Potential for project to contribute to profitable and sustainable organic production or marketing systems; (d) Importance of the commodity or production system or importance of marketing constraints and resulting impacts on the production system; (e) Potential for project to make a difference, to have an impact; (f) Potential for project to contribute to long-term improvement and sustainability of organic agriculture and (g) Feasibility, probability of success. Proposal Quality (50%): (a) Conceptual adequacy. Application clearly states objectives which are potentially attainable within project time, scope and budget; (b) Design. The application's methodology and analytical approach are appropriate to project objectives; (c) Involvement of appropriate, relevant expertise; (d) Experience of key project personnel; (e) Appropriateness of budget; and (f) Adherence to guidelines.

**10.308 RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES**

(RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES)



**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE (CSREES), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 1491 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171, 7 U.S.C. 3363.

**OBJECTIVES:**

(a) In General. -The Secretary of Agriculture shall make competitive grants to eligible institutions to- (1) strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international education needs in the food and agricultural sciences; (2) attract and support undergraduate and graduate students in order to educate them in identified areas of national need in the food and agriculture sciences; 3) facilitate cooperative initiatives between two or more insular area eligible institutions, or between those institutions and units of State Government or organizations in the private sector, to maximize the development and use of resources such as faculty, facilities, and equipment to improve food and agricultural sciences teaching programs; and 4) conduct undergraduate scholarship programs to assist in meeting national needs for training food and agricultural scientists.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

**Beneficiary Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Formal proposals are solicited and should be submitted to the Proposal Services Unit, Competitive Programs, CSREES, USDA, as outlined in the guidelines and/or requests for applications. Application procedures are contained in the guidelines or request for applications.

**Award Procedure:**

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadline dates are announced in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is

pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Grants) FY 07 \$468,748; FY 08 est \$475,200; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

This program is designed to enhance teaching programs in extension programs in food and agricultural sciences that are located in the insular areas of the Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Northern Mariana Islands, Micronesia, the Marshall Islands, or the Republic of Palau. Funds may be used that enhance programs in agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agriculture production and delivery systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Science and Education Resources Development (SERD) Cooperative State Research, Education and Extension Service (CSREES), Department of Agriculture, 1400 Independence Avenue, SW., Washington, DC 20250-2250.

**Web Site Address:**

[www.csrees.usda.gov](http://www.csrees.usda.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.309 SPECIALTY CROP RESEARCH INITIATIVE****FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 412 of the Agricultural Research, Extension, and Education Reform Act of 1998, as amended, 7 U.S.C. 7621 et seq.

**OBJECTIVES:**

To address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents.

**Applicant Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Beneficiary Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Credentials/Documentation:**

Applicants must furnish the information announced in the request for applications. Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process.

**Preapplication Coordination:**

All proposal solicitations are published on the Agency's Web site and Grants.Gov. Before applying, you must complete the Grants.gov registration process. Please see the following Grants.Gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must follow the instructions as provided in the request for applications and the instructions on Grants.Gov.

**Award Procedure:**

Proposals are reviewed by a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are funded in order of merit to the extent permitted by available funds.

**Deadlines:**

Specific deadlines dates are announced in the request for applications or guidelines for each fiscal year.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

None.

**Renewals:**

Proposals for renewal should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

The recipient of a grant under the Specialty Crop Research Initiative (SCRI) must provide funds or in-kind support from non-Federal sources in an amount that is at least equal to the amount provided by the SCRI. There is no provision for waiver of this requirement. See the request for applications for further information.

**Length and Time Phasing of Assistance:**

From one to ten years.

**Reports:**

Grantees are required to submit annual and summary progress reports via CSREES' Current Research Information System (CRIS). CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

**Audits:**

Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations." This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

FY 07 \$0; FY 08 \$28,440,000 and FY 09 est not available.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement.

**PROGRAM ACCOMPLISHMENTS:**

New program in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, USDA Uniform Federal Assistant Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader; Plant and Animal Systems; Cooperative State Research, Education, and Extension Service, USDA; 1400 Independence Avenue, S.W., STOP 2220, Washington, DC 20250-2220; Telephone: (202) 401-3356.

**Web Site Address:**

<http://www.csrees.usda.gov/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

New program in FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the request for applications.

## 10.350 TECHNICAL ASSISTANCE TO COOPERATIVES

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Cooperative Marketing Act of 1926, 7 U.S.C. 451- 457; Agricultural Marketing Act of 1946, 7 U.S.C. 1621-1627.

**OBJECTIVES:**

To develop and administer research, technical assistance, statistical, and educational programs on finances, organization, management, legal, social, and economic aspects of rural cooperatives, focusing on farmer cooperatives.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Advisory Services and Counseling; Training; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Services are limited to rural residents, including groups interested in forming cooperatives and established rural cooperatives. Publications are available to anyone.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:**

Farmer and rural cooperatives and groups of rural residents interested in forming cooperatives, Native Americans, and rural residents in all U.S. Territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Farmer/Rancher/Agriculture Producer; Rural residents.

**Credentials/Documentation:**

Requests for technical assistance by an established cooperative should come from the cooperative board of directors. Requests for assistance in forming a cooperative should be made in writing from a steering committee on behalf of the interested rural group.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

None. Consultation or assistance is available from the State Office or National Office to aid in preparing the request for assistance. Initial e-mail inquiries may be sent to [Coopinfo@usda.gov](mailto:Coopinfo@usda.gov). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A formal letter requesting assistance and including a description of the problem or nature of request is required. Send letters to either the National Office--Letter to the Deputy Administrator for Cooperative Services, Rural Business-Cooperative Service (RBS) or State Rural Development Office--Letter to the State Director, Rural Development. Requests made to the State Office may be forwarded to the National Office. Appropriate addresses may be found at the Web site shown later in this program description.

**Award Procedure:**

RBS considers all requests.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Requests are usually acted upon within 10 days following receipt at the National or State Offices.

**Appeals:**

Requests denied by the State Office may be appealed to the National Office.

**Renewals:**

If clients need additional assistance following formal closure of Federal assistance, a new request must be submitted.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Varies depending on the nature of the request or complexity of problem.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

On a periodic basis, RBS will request key persons representing the client to evaluate the assistance received.

**Audits:**

In accordance with the provisions of Office of Management and Budget (OMB) Circular No. A-133 (Revised, June 27, 2003). "Audits of States, Local Governments, and Non-Profit Organizations, "non Federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 per year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**FINANCIAL INFORMATION:**

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Cooperative Services provides research, technical assistance, education and advisory services, and publication materials to rural and farmer cooperatives and to groups interested in organizing cooperatives. National Office and State Office staffs coordinate activities and responsibilities to best serve clients. Assistance to cooperatives was authorized by the Cooperative Marketing Act of 1926 and is available as part of the rural economic development efforts within the USDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Many publications related to farmer and rural cooperatives are available via the World Wide Web at the indicated Web Site or through USDA.gov.

#### **INFORMATION CONTACTS:**

##### **Regional or Local Office:**

Rural Development, State Office. Telephone numbers should be listed under Government in local telephone books. Visit Web site listed below.

##### **Headquarters Office:**

Deputy Administrator, Cooperative Services, Rural Business-Cooperative Service, U.S. Department of Agriculture, Stop 3250, Washington, DC 20250-3250. Telephone: (202) 720-7558. FAX (202) 720-4641. FTS is not available. Visit Web site listed below.

##### **Web Site Address:**

<http://www.rurdev.usda.gov/rbs/coops/csdir.htm>.

##### **RELATED PROGRAMS:**

10.352, Value-Added Producer Grants; 10.771, Rural Cooperative Development Grants.

##### **EXAMPLES OF FUNDED PROJECTS:**

RBS provides technical assistance to help groups organize and establish new cooperatives and conducts advisory assistance to established cooperatives. RBS collects, analyzes and disseminates statistical information on rural cooperatives in the United States and its territories. RBS creates educational materials and conducts workshops about rural cooperatives. RBS conducts specialized applied research about rural and farmer cooperatives. RBS publishes the Rural Cooperatives bimonthly magazine that focuses on rural cooperative events and issues of importance nationally and internationally.

##### **CRITERIA FOR SELECTING PROPOSALS:**

Requests for assistance must come from or on behalf of residents in rural areas of the United States or its territories.

## **10.352 VALUE-ADDED PRODUCER GRANTS**

(VAPG)

##### **FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

##### **AUTHORIZATION:**

Agriculture Risk Protection Act of 2000, Title VII, Public Law 106-224, as amended; The Farm Security and Rural Investment Act of 2002, Title VII, Public Law 107-171.

##### **OBJECTIVES:**

To assist eligible independent agricultural commodity producers, agriculture producer groups, farmer and rancher cooperatives, and majority-controlled producer-based businesses in developing strategies and business plans to further refine or enhance their products, thereby increasing their value to end users and increasing returns to producers.

##### **TYPES OF ASSISTANCE:**

Project Grants.

##### **USES AND USE RESTRICTIONS:**

The VAPG program offers two types of grants. Planning grants provide funding for the activities necessary to determine the viability of a potential value-added venture, including feasibility studies and business plans. Working capital grants provide funds to pay the day-to-day expenses of the venture associated with marketing a value-added product. An application may be for either a Planning Grant or a Working Capital Grant, but not both.

##### **Applicant Eligibility:**

Eligible applicants are independent producers, agriculture producer groups, farmer- and rancher-cooperatives, and majority-controlled producer-based business ventures.

##### **Beneficiary Eligibility:**

Agricultural producers.

##### **Credentials/Documentation:**

Applicants must provide a budget supporting the work plan that details all sources and uses of funds during the project period. Applicants are required to verify matching funds, both cash and in-kind, such that USDA can verify all representations. Applicants must certify that matching funds will be available at the time grant funds are received. Matching funds must be spent in advance of grant funds.

##### **Preapplication Coordination:**

An environmental impact statement is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedure:**

USDA will solicit applications on a competitive basis by publication of a notice in the Federal Register and through the Grants.gov Federal Web site. Unless otherwise specified, applicants must file an original and one copy of the proposal and all required forms or as otherwise instructed in the annual announcement. An applicant must submit Form SF-424, Form SF-424A, Form SF-424B, and other information as directed. Each proposal must contain the following elements and any additional elements published in the announcement:

(1) Title Page; (2) Table of Contents; (3) Executive Summary, including a clear statement whether the application is for a Planning Grant or a Working Capital Grant and the amount requested; (4) Eligibility; (5) Proposal Narrative including, but not limited to: (i) Project Title; (ii) Information Sheet; (iii) Goals of the Project; (iv) Work Plan; (v) Performance Evaluation Criteria; (vi) Proposal Evaluation Criteria; (6) Verification of Matching Funds; and (7) Certification that matching funds will be available at the same time grant funds are anticipated to be spent and that matching funds will be spent in advance of grant funding.

##### **Award Procedure:**

The Agency conducts an initial screening of all proposals to determine eligibility and completeness to allow for an informed review. Applications will be evaluated by experts selected by the Agency. After evaluation and scoring according to established criteria, the Administrator of Rural Business Cooperative Service reserves the right to award limited additional points: to ensure geographic distribution, for innovative projects, or to projects in underserved areas. Applications are funded in rank order until all available funds have been obligated. Final processing of the awards and monitoring of projects are the responsibility of the appropriate Rural Development State Office.

##### **Deadlines:**

Published in the Federal Register.

##### **Range of Approval/Disapproval Time:**

From 100 to 150 days after the application is filed with the Rural Development-Cooperative Programs National Office.

##### **Appeals:**

Applicants may appeal any adverse decisions to USDA's National Appeals Division.

##### **Renewals:**

None.

##### **Formula and Matching Requirements:**

7 CFR 4284.908 Use of grant and matching funds: (b) Grant funds may be used to pay up to 50 percent costs. Applicants will be required to contribute at least 50 percent in cash or in-kind contributions. The maximum grant amount of a planning grant is \$100,000 and of a working capital grant is \$300,000. Matching funds include cash or confirmed funding commitments from nonfederal sources. In-kind contributions that conform to the provisions of 7 CFR 3015.50 and 7 CFR 3019.23, as applicable, can be used as matching funds. Examples of in-kind contributions include volunteer services furnished by professional and technical personnel, donated supplies and equipment, and donated office space. Matching funds must be provided in advance of grant funding such that for every dollar of grant advanced not less than an equal amount of matching funds shall have been funded prior to submitting the request for reimbursement. Matching funds are subject to the same use restrictions as grant funds. Funds used for an ineligible purpose will not be considered matching funds.

##### **Length and Time Phasing of Assistance:**

Grant funds may be disbursed over a period of a year after obligation. No-cost extensions may be granted on a limited basis at the discretion of the Agency.

##### **Reports:**

Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. Those nonfederal entities exempt from Circular A-133 are subject to the audit requirements outlined in the Grant Agreement.

##### **Records:**

The Grantee will maintain adequate records and accounts to assure that grant and matching funds are used for authorized purposes. Records required by Federal law and regulations will also be maintained by the Rural Development State Office and the Rural Development-Cooperative Programs National Office.

##### **Account Identification:**

12-1900-0-1-452.

##### **Obligations:**

FY 07 \$21,637,622; FY 08 est \$19,000,000; and FY 09 est not reported.

##### **Range and Average of Financial Assistance:**

Grants can be awarded for any amount up to \$100,000 for Planning Grants and up to \$300,000 for Working Capital Grants.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal year 2007 funds were awarded to 157 recipients.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 1951; 7 CFR 3015; 7 CFR 3019; 7 CFR 4284, Subpart A--General Requirements for Cooperative Services Grant Programs, 4284.1 through 4284.100; and, Subpart J - Value-Added Producer Grants, 4284.901 through 4284.1000. See the RBS website for additional information. You may also



contact Rural Development State and Local Offices and the Rural Business Cooperative Service Web site.

**Regional or Local Office:**

Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog or check the RBS Web site.

**Headquarters Office:**

Deputy Administrator, Cooperative Services, Rural Business-Cooperative Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-7558. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov/rbs/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grant funds are used to conduct feasibility studies, develop business and marketing plans, and provide working capital for value-added ventures.

**CRITERIA FOR SELECTING PROPOSALS:**

Published in the Federal Register and through grants.gov.

## 10.404 EMERGENCY LOANS

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Subtitle C, Sections 321-330, Public Law 92-419, 7 U.S.C. 1961- 1984; Public Law 96-438; Public Law 97-35; Public Law 98-258; Public Law 99-198; Public Law 100-233; Public Law 100-387; Public Law 101-624.

**OBJECTIVES:**

To assist established (owner or tenant) family farmers, ranchers and aquaculture operators with loans to cover losses resulting from major and/or natural disasters, which can be used for annual farm operating expenses, and for other essential needs necessary to return disaster victims' farming operations to a financially sound basis in order that they will be able to return to private sources of credit as soon as possible.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Loan funds may be used to repair, restore, or replace damaged or destroyed farm property (real and chattel) and supplies which were lost or damaged as a direct result of a natural disaster; under certain conditions, refinance secured and unsecured debts made necessary by the disasters; finance adjustments in the farming, ranching or aquaculture operation(s) determined necessary to restore or maintain applicants' operations on a sound financial basis equivalent to their predisaster potential. The total of all actual loss loans is based on actual dollar value of production and physical losses. Loans are made at 3.75 percent interest, with a maximum limit of 80 percent of the actual production loss and 100 percent of the actual physical loss, or \$500,000 total indebtedness. Loans are made in counties: (1) Named by the Federal Emergency Management Agency as being eligible for Federal assistance under a major disaster or emergency declaration by the President; (2) designated as natural disaster areas by the Secretary of Agriculture; and (3) designated by the FSA Administrator for severe physical losses, only, as a result of a natural disaster.

**Applicant Eligibility:**

Requires that an applicant: (a) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on no more than 1 occasion prior to April 4, 1996. (b) be an established family farmer, rancher, or aquaculture operator (either tenant-operator or owner-operator), who was conducting a farming operation at the time of occurrence of the disaster either as an individual proprietorship, a partnership, a cooperative, a corporation, or a joint operation; (c) have suffered qualifying crop loss and/or physical property damage caused by a designated natural disaster; (d) be a citizen of the United States or legal resident alien, or be operated by citizens and/or resident aliens owning over a 50 percent interest of the farming entity; (e) be unable to obtain suitable credit from any other source(s) to qualify for subsidized loss loans; (f) have sufficient training or farming experience in managing and operating a farm or ranch (1 year's complete production and marketing cycle within the last 5 years immediately preceding the application); (g) be able to realistically project a feasible and sound plan of operation; (h) be a capable manager of the farming, ranching, or aquaculture operations (in the case of a cooperative, corporation, partnership or joint operation, if members, stockholders, partners or joint operators own a majority interest and are related by blood or marriage, at least one member, stockholder, partner or joint operator must operate the family farm; if not related, the majority interest holder(s) must operate the family farm); (i) have legal capacity to contract for the loan; (j) obtain eligibility certification; (k) provide adequate collateral to secure the loan request; (l) have crop insurance if available for affected crops comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 (16 U.S.C. 3801 et seq.), (Title 12 and 13) the Food Security Act of 1985 and the Food, Agriculture, Conservation, and Trade Act of 1990. Applicants who cannot meet all of these requirements

are not eligible. Assistance is available in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and, to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands, when those areas (by county) are designated.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria. Families, individuals and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants must establish that substantial physical property damage and/or severe production losses, caused by the designated natural disaster, has occurred. To qualify for loss loans, the applicant must be unable to get credit elsewhere and demonstrate repayment ability on the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Application Form FSA 410-1 provided by the Farm Service Agency must be presented, with supporting information, to the FSA county office serving the applicant's county. FSA personnel assist applicants in completing their application forms. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

FSA Farm Loan Manager, State Executive Directors, and the Administrator or his designee are authorized to approve these loans, subject to certain administrative requirements, after applicants are determined eligible.

**Deadlines:**

Deadline for filing applications for actual loss loans is 8 months from the date of declaration/designation for both physical and production losses. Applicants should consult the FSA county office serving their area for application deadlines.

**Range of Approval/Disapproval Time:**

Applications must be approved or disapproved within 60 calendar days after the receipt of a completed application by the County Office.

**Appeals:**

Applicants for loans may appeal adverse actions taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division.

**Renewals:**

Rescheduling, reamortization, consolidation and deferment: Up to 15 years rescheduling for short and intermediate term loans made for production-type losses. Long term loans may be reamortized. However, the maximum statutory repayment period of 40 years for real-estate purposes cannot be exceeded. Loans made for similar purposes can be consolidated and rescheduled or reamortized. Generally, real estate will be needed as security when a term of more than 7 years is authorized.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

This varies in accordance with individual case needs, type of disaster losses, type of security available, and borrower's repayment ability. Applicants should consult the FSA county office serving their area for specific information.

**Reports:**

Borrowers are required to account for all security property.

**Audits:**

This varies in individual cases.

**Records:**

Applicants must furnish 5 year history of farm production, if available, when production losses are claimed. Otherwise, FSA records of acres grown and proven yields, county or State production averages, or combinations of the above records when approved, are used. Borrowers must keep adequate records as a condition for receiving FSA financing. Specific financial information is required to be maintained for 3 years for some borrowers as a condition of receiving loan assistance.

**Account Identification:**

12-4140-0-3-351; 12-1140-0-3-351.

**Obligations:**

(Direct Loans) FY 07 \$69,788,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$500 to \$500,000. Average: \$58,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(1) Farm Service Agency Fact Sheets, Program Aids 1610 "Farm Service Agency Producer's Guide to Loan Programs", and 1632, "Natural Disaster Assistance." Administrative regulations are published in the Federal Register at 7 CFR Chapter XVIII, Part 1945, Subparts A, and D.

**Regional or Local Office:**



Consult the appropriate FSA State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Director, Loan Making Division, Ag Box 0522, Washington, DC 20250. Telephone: (202) 720-1632.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.054, Emergency Conservation Program; 10.450, Crop Insurance; 59.008, Disaster Assistance Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.405 FARM LABOR HOUSING LOANS AND GRANTS**

(Labor Housing)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT (RD), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514 and 516, Public Laws 89-117 and 89-754, 42 U.S.C 1484 and 1486.

**OBJECTIVES:**

To provide decent, safe, and sanitary low-rent housing and related facilities for domestic farm laborers.

**TYPES OF ASSISTANCE:**

Project Grants; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

The loans and grants may be used for construction, repair, or purchase of year-round or seasonal housing; acquiring the necessary land and making improvements on land for housing; and developing related support facilities including central cooking and dining facilities, small infirmaries, laundry facilities, day care centers, other essential equipment and facilities or recreation areas. Funds may also be used to pay certain fees and interest incidental to the project. Restrictions on the use of funds are: Developers' fees, resident services, cost of unrelated commercial space, costs associated with other lenders/grantors. Housing financed with labor housing loan or grant funds must be occupied by domestic farm laborers, individuals who derive a substantial portion of their income from farm labor, and their families. The occupants must also be a U.S. citizen or permanent resident.

Housing financed with labor housing loan or grant funds must be occupied by domestic farm laborers, individuals who derive a substantial portion of their income from farm labor, and their families. The occupants must also be a U.S. citizen or permanent resident.

**Applicant Eligibility:**

Loans are available to farmers, family farm partnership, family farm corporations, or an association of farmers. Loans and grants are available to States, Puerto Rico, the U.S. Virgin Islands, political subdivisions of States, broad-based public or private nonprofit organizations, federally recognized Indian Tribes and non-profit corporations of farm workers. Grants are available to eligible applicants only when there is a pressing need and when it is doubtful that such facilities could be provided unless grant assistance is available.

**Beneficiary Eligibility:**

A domestic farm laborer is any person who receives a substantial portion of his/her income as a laborer on a farm in the United States and is either (1) a citizen of the United States, or (2) has been legally admitted for permanent residency.

**Credentials/Documentation:**

The applicant must furnish factual evidence of the following: (a) The number of domestic farm laborers currently being used in the area; (b) the kind of labor performed; (c) the future need for domestic farm labor in the area; (d) the kind, condition, and adequacy of housing presently used for such labor; (e) ownership of presently occupied housing; (f) ability of workers to pay necessary rent; and (g) with the exception of State and local public agencies, be unable to provide housing from its own resources or credit on terms and conditions that would enable the applicant to provide labor housing. Costs will be determined in accordance with 7 CFR 3015 or 3016 for State and local governments.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For FY 06 the Section 514 Program will be awarded through a Notice of Funding Available (NOFA) announced in the Federal Register March 15, 2006. The NOFA application period is 2 months from the date of the announcement. The NOFA deadline is May 14, 2006. Funds available for off-farm new construction and acquisition and rehabilitation are as follows: Section 514 Loan \$36,116,887; Section 516 Grant \$13,860,000; Rental Assistance (RA) and Operating Assistance (only for migrant workers) will be available for all new construction funds. Other Distribution of Funding: Loans: On-Farm-\$2,000,000; Administrator's Reserve-\$4,179,805; Grants: Technical Assistant Grants-\$0; Administrator's Reserve-\$3,369,960.

**Award Procedure:**

Applications will be scored on the following factors: (1) The presence and extent of leveraged assistance for the units that will serve RHS income-eligible tenants

at basic rents comparable to those if RHS provided full financing, computed as a percentage of the RHS total development cost. A minimum of ten percent leveraged assistance is required to earn points; however, less than ten percent and the proposal includes donated land, two points will be awarded for the donated land, (0 to 20 points); (2) Seasonal, temporary, migrant housing (5 points for up to and including 50 percent of the units; 10 points for 51 percent or more); For FY 2005, National Office initiative will be based on the presence of and extent to which a tenant services plan exists that clearly outlines services that will be provided to the residents of the proposed project. Two points will be awarded for each resident service included in the tenant services plan up to a maximum of 10 points.(0 to 10 points). Application selection process: (1) States will review and score the applications and submit a list of applications in rank and point score order to the National Office; (2) the National Office will rank applications on a nation-wide basis and will advise States of the results.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

RHS uses a two-stage application process for the Farm Labor Housing Program. First, applicants submit preapplications, which are used to determine preliminary eligibility and feasibility. RHS then invites some applicants to submit formal applications. Section 514/516 funds are divided between off-farm housing and on-farm housing. The off-farm program provides loans and grants to organizations that assist farmworkers at off-farm locations with no restrictions that workers be employed on a particular farm. Under new regulations effective June 1999, preapplications for the off-farm program funds must be submitted in response to a Notice of Funding Availability (NOFA) published in the Federal Register every year. RHS scores the preapplications, using a ranking process to determine which applicants will be invited to submit formal applications. The on-farm program makes loans to eligible farmers (or a group of farmers) to provide Housing, usually for their own laborers. Preapplications for on-farm units, or for repair And rehabilitation of existing off-farm units, may be submitted at any time are processed on a first-come, first-served basis.

**Appeals:**

A person or organization who is directly and adversely affected by an administrative decision by Rural Development should follow the procedures found in 7 CFR Part 1900, Subpart B of "Rural Development Administrative Appeal Procedures."

**Renewals:**

Not applicable; although, applicants may apply under subsequent funding cycles.

**Formula and Matching Requirements:**

In case of a grant, 10 percent or more of the total development cost must be obtained from other sources. This may include funds made available through the power to levy taxes, assessments or charges, or from other credit sources including an Rural Development Labor Housing loan under Section 514.

**Length and Time Phasing of Assistance:**

Loans are usually made for 33 years at 1 percent interest. Grants may cover up to 90 percent of development cost. The balance may be (and usually is) a Section 514 loan. RHS rental assistance (RA) subsidy can be used to limit tenant payments to 30 percent of their income. RA can be used as an operating subsidy for projects or units with Section 516 funding that serve migrants. It is RHS policy to attempt to use less than a 90 percent grant when RA is utilized.

**Reports:**

Monthly progress reports are to be made to the Rural Development District/State Offices during the first year of operation or until requirement is waived by Rural Development.

**Audits:**

For borrowers not covered under OMB Circular No. A-133, annual audits are required from borrowers with 25 or more units in one or more projects. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Adequate operating tenant, and accounting records must be maintained by borrower.

**Account Identification:**

(Grants) 12-2004-0-1-604; (Loans) 12-4141-0-3-371; 12-2081-0-4-371.

**Obligations:**

Loans: FY 07 \$41,580,000; FY 08 est not available; and FY 09 est not reported. Grants: FY 07 \$13,860,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Initial Grants \$48,270 to \$5,412,973. Average: \$2,365,805. Initial Loans ranged from \$196,400 to \$300,000,000. Average: \$1,297,028.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2005, 818 new units were built and 1,222 units were rehabilitated or developed as multiple family-type housing and on-farm individual-type housing units.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3560; Subpart L; RD Instruction 1944-D.

#### **Regional or Local Office:**

Consult your local telephone directory for Rural Development Area Office number. If no listing, contact appropriate Rural Development State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

#### **Headquarters Office:**

Multi-Family Housing Processing Division, Rural Housing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1604. Use the same number for FTS.

#### **Web Site Address:**

<http://www.rurdev.usda.gov>.

#### **RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans; 10.415, Rural Rental Housing Loans; 10.427, Rural Rental Assistance Payments.

#### **EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects are the projects sponsored by the Homestead Housing Authority in Homestead, Florida, or The Boulder County Housing Authority, Boulder, Colorado.

#### **CRITERIA FOR SELECTING PROPOSALS:**

A clearly defined need must exist to provide housing for domestic farm workers.

## **10.406 FARM OPERATING LOANS**

#### **FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Farm and Rural Development Act, as amended, Subtitle B, Sections 311-317, Public Law 92-419, 7 U.S.C. 1942; Agriculture Act of 1961, Title III, Public Law 87-128.

#### **OBJECTIVES:**

To enable operators of not larger than family farms through the extension of credit and supervisory assistance, to make efficient use of their land, labor, and other resources, and to establish and maintain financially viable farming and ranching operations.

#### **TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans.

#### **USES AND USE RESTRICTIONS:**

Loan funds may be used to: (1) Purchase livestock, poultry, fur bearing and other farm animals, fish, and bees; (2) purchase farm equipment; (3) provide operating expenses for farm enterprise; (4) meet family subsistence needs and purchase essential home equipment; (5) refinance secured and unsecured debts subject to certain restrictions; (6) pay property taxes; (7) pay insurance premiums on real estate and personal property; and (8) finance youth projects. Use restrictions are shown under Applicant Eligibility.

#### **Applicant Eligibility:**

Except for youth loans, individual applicants must: (1) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on more than 3 occasions prior to April 4, 1996 to receive a guaranteed loan; (2) have the necessary education and/or farm experience or training (1 year's complete production and marketing cycle within the last 5 years); (3) do not exceed the limitation on the number of years that assistance may be received; (4) possess the legal capacity to incur the obligations of the loan; (5) be unable to obtain sufficient credit elsewhere at reasonable rates, and terms; (6) project the ability to repay the loan; (7) be a citizen or permanent resident of the United States; (8) after the loan is closed, be an owner/tenant operator of a family farm; and (9) comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 of the Food Security Act of 1985 (FSA); Certain corporations, cooperatives, partnerships and joint operations ("entities") operating family-sized farms are also eligible for farm operating loans. In brief, entity applicants must meet some of the same eligibility requirements as individual applicants. In addition, if members, stockholders or shareholders of the entity are related by blood or marriage, at least one stockholder, shareholder partner or joint operator must operate the family-sized farm. In the case when members are not related by blood or marriage, the majority interest holders in the entity must actually operate the family-sized farm to be eligible. The entity must be authorized to operate a farm in the State in which it is located. Limited resource applicants must meet the above requirements. In addition, they must have a low income and show a need for increased farm income. In the case of limited resource entities, all the partners, joint operators, members, or stockholders must be citizens and the entity must be the owner-operator of the family farm with at least one partner, joint operator, member or stockholder operating the farm. Assistance is authorized for eligible applicants in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and to the extent the Secretary determines it to be feasible and

appropriate, the Trust Territories of the Pacific Islands. To be eligible to obtain a direct loan, a borrower must agree to abide by any "borrower training" requirements. Applicants/borrowers requesting guaranteed loan assistance must meet all lender requirements.

#### **Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individuals, and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

#### **Credentials/Documentation:**

Applicants must prove that credit is not available elsewhere for the requested purposes. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

None required. However, an informal conference with the local county office staff is recommended. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

#### **Application Procedure:**

Applicants file Form FSA 410-1, Application for Direct Loan Assistance, with supporting information, at the local county office of the Farm Service Agency for direct loans or Form FSA 1980-25 with the prospective lender for loan guarantees. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

Certification as to eligibility is made by the local county committee (unless that responsibility has been delegated to the Agency credit officials) and an approval determination is made by a FSA official as to loan feasibility and soundness, and whether there is adequate collateral to secure any loan.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

The loan approval official approves or disapproves a completed application within 60 days on a direct loan application and 30 days on a guaranteed loan application.

#### **Appeals:**

Applicants for direct and guaranteed loans, may appeal adverse action taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division. The applicant may, in the final step of the appeals process, request a review by the Director, National Appeals Division, Washington, DC. For guaranteed loans, both the lender and the applicant must request the appeal.

#### **Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred, since the denial decision.

#### **Formula and Matching Requirements:**

The selected criteria identify essential elements considered necessary to compare the needs of the various States, and to make the best use of available program funds. This program has no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Loans are scheduled for repayment over periods up to 7 years, but when justified, loans may be consolidated or rescheduled for up to 15 additional years. The interest rate for guaranteed loans is negotiated between the lender and borrower. If eligible, FSA may provide interest rate assistance on guaranteed loans at the rate of 4 percent. The interest rate for direct loans is determined by the Secretary of Agriculture.

#### **Reports:**

Various States have USDA certified Agricultural Loan mediation programs, which are designed to assist farm borrowers and their creditors in resolving financial disputes through the process of mediation. Where a State has such a farm credit mediation program, the lender shall participate in accordance with the rules of that system. FSA is not bound by any agreements developed in mediation or findings of the mediation unless FSA agrees to them in writing.

#### **Audits:**

Not applicable.

#### **Records:**

Records on production, income, expenses during the period of the loan.

#### **Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

#### **Obligations:**

(Direct Loans) FY 07 \$643,500,000; FY 08 est not available; and FY 09 est not reported. (Unsubsidized Guaranteed Loans) FY 07 \$1,025,610,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

Direct loans up to \$200,000; guaranteed loans up to \$731,000 (amount adjusted annually for inflation); direct average loan size approximately \$47,365 and guaranteed average loan size approximately \$157,339 for fiscal year 2001.

#### **PROGRAM ACCOMPLISHMENTS:**

There were 14,023 direct and 11,444 guaranteed loans made in fiscal year 2001. Farm operating loans provide credit to: (1) Establish beginning farmers; (2) assist farmers suffering from the price/cost squeeze, which will enable them to remain on the farm and refinance secured and unsecured debts; and (3) expand

farming operations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1941, Subpart A and Part 762. Farm Service Agency Fact Sheets; FSA Handbook 2 FLP; Program Aids 1610 "Farm Service Agency Producer's Guide to Loan Programs"; 1620 "Lender's Guide to FSA Loan Programs"; and 1630 "Rural Youth Loans".

**Regional or Local Office:**

Contact the appropriate FSA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Director, Loan Making Division, Ag Box 0522, Washington, DC 20250. Telephone: (202) 720-1632.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.407, Farm Ownership Loans; 15.124, Indian Loans\_Economic Development.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.407 FARM OWNERSHIP LOANS

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Subtitle A, Sections 302, 310D, Public Laws 100-233, 87-128, 91-620, 95-334, 97-98, 7 U.S.C. 1922; Section 303, Public Laws 87-708, 90-488, 95-113, 96-438, 7 U.S.C. 1923; Section 305, Public Law 92-419, 7 U.S.C. 1925; Section 307, Public Law 97-35, 7 U.S.C. 1927; Section 308, Public Laws, 87-798, 89-240, 92-133, 7 U.S.C. 1928; 7 U.S.C. 1934.

**OBJECTIVES:**

To assist eligible farmers, ranchers, and aquaculture operators, including farming cooperatives, corporations, partnerships, and joint operations, through the extension of credit and supervisory assistance to: Become owner-operators of not larger than family farms; make efficient use of the land, labor, and other resources; carry on sound and successful farming operations; and enable farm families to have a reasonable standard of living.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Loan funds may be used to: (1) Enlarge, improve, and buy family farms; (2) provide necessary water and water facilities; (3) provide basic soil treatment and land conservation measures; (4) construct, repair, and improve essential buildings needed in the operation of a family farm; (5) construct or repair farm dwellings; (6) provide facilities to produce fish under controlled conditions.

**Applicant Eligibility:**

An applicant must: (1) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on more than 3 occasions prior to April 4, 1996 to receive a guaranteed loan; (2) be unable to obtain suitable credit from other sources at reasonable rates and terms; (3) be a U.S. citizen or permanent resident and possess the legal capacity to incur the obligations of the loan; (4) have the necessary education and/or experience, training, and managerial ability to operate a family farm; (5) realistically project the ability to repay the loan; (6) be the owner-operator of a not larger than family farm after the loan is closed; and (7) if an individual, the applicant must not have a combined farm ownership, soil and water, and recreation loan indebtedness to FSA of more than \$200,000, for direct loans; and \$717,000 (amount adjusted annually for inflation) for a guaranteed loan(s), or a combination of direct and guaranteed indebtedness; or a total indebtedness against the property securing the loan(s) of more than the market value of the security, whichever is the lesser amount. If a cooperative, corporation, joint operation or partnership, the entity must be controlled by farmers or ranchers engaged primarily and directly in farming in the U.S., after the loan is made, and must consist of members, stockholders, partners, or joint operators (8) have a minimum of 3 years farming experience. Assistance is authorized for eligible applicants in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and, to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands. Applicants must also comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 of the Food Security Act of 1985 (FSA). To be eligible to obtain a direct loan, a borrower must abide by the Agency's borrower training requirements. Applicants/borrowers requesting guaranteed loan assistance must meet all lender requirements.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individuals, and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants must prove that credit is not available elsewhere for the requested

purpose; and that they possess sufficient training or farm experience. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Applicants file Form FSA 410-1, Application for FSA Services, with supporting information, at the local county office of the Farm Service Agency for direct loans or Form FSA 1980-25 with the prospective lender for loan guarantees. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Certification as to eligibility is made the Agency credit officials and an approval determination is made by an FSA official based on loan feasibility and soundness, and adequate security.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The loan approval official must approve or disapprove a completed application within 30 days on a guaranteed loan application and 60 days on a direct loan application.

**Appeals:**

Applicants for direct and guaranteed loans, may appeal adverse actions taken. The applicant is given an opportunity to appeal the decision to the National Appeals Staff. For guaranteed loans, both the lender and the applicant must request the appeal.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred, since the denial decision.

**Formula and Matching Requirements:**

The selected criteria identify essential elements considered necessary to compare the needs of the various States, and to make the best use of available program funds. This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Loans justified may be scheduled over a period up to 40 years. The interest rate for guaranteed loans is negotiated between the lender and borrower.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

**Obligations:**

(Direct Loans) FY 07 \$222,750,000; FY 08 est not available; and FY 09 est not reported. (Guaranteed Loans) FY 07 \$1,200,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Maximum direct \$200,000, maximum guaranteed \$731,000 (amount adjusted annually for inflation). Average direct \$111,762, guaranteed \$250,421.

**PROGRAM ACCOMPLISHMENTS:**

Loans are used to purchase, enlarge, and improve family farms. In fiscal year 2001, 2,085 direct, and 3,488 guaranteed loans were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1943, Subpart A and Part 762. Farm Service Agency Fact Sheets; FSA Handbook 2 FLP; Program Aids 1610, "Farm Service Agency Producer's Guide to Loan Programs"; and 1620, "Lender's Guide to FSA Loan Programs."

**Regional or Local Office:**

Contact the appropriate FSA State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Director, Loan Making Division, Ag Box 0522, Washington, DC 20250. Telephone: (202) 720-1632.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.406, Farm Operating Loans; 15.124, Indian Loans\_Economic Development.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.410 VERY LOW TO MODERATE INCOME HOUSING LOANS

(Section 502 Rural Housing Loans)



**FEDERAL AGENCY:**

RURAL DEVELOPMENT (RD), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq.; Public Law 92-310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100-233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601.

**OBJECTIVES:**

To assist very low, low-income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD Guaranteed Housing loans or RHS Section 502 Direct Housing loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

**Applicant Eligibility:**

Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

For direct loans, application is made at the Rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made to a participating private lender. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Rural Development field offices have authority to approve most Direct loan requests. Processing of guaranteed loans varies in each State. Contact your Rural Development State Office, listed in the telephone directory. If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. Requests for guarantee loans are acted upon in 3 days of receipt of the lender's request for guarantee.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

For direct loans, from 30 to 60 days subject to availability of funds, from the time the application is filed if no backlog of applications exists. A 'pre-qualification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. For guarantees, a decision is required within 3 days of loan package submission by the approved lender.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National

Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no matching requirements. This program has no statutory formula. A basic formula is used to allocate program funds to various States. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding.

**Reports:**

Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits.

**Audits:**

None.

**Records:**

Borrowers are not required to, but should retain copies of loan-related documents.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

Direct Loans Initial Obligations FY 07 \$1,119,555,000; FY 08 est \$1,121,486,000; and FY 09 est not available. Guaranteed Loan Purchases: FY 07 \$3,334,132,000; FY 08 est \$4,129,225,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

FY 07 Average: 502 Direct Loans (\$108,663); Guaranteed Loans (\$102,649). Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Maximum loan restricted by area loan limits. In FY 2007, the average direct loan was \$108,663, while the average guaranteed loan for home purchase was \$102,649. Loans in high cost areas may be higher.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550 "Direct Single Family Housing Loans and Grants." For guaranteed loans, 1980-D "Subpart D -Rural Housing Loans."

**Regional or Local Office:**

Consult your local telephone directory under United States Department of Agriculture for Rural Development field office number. If no listing, contact appropriate Rural Development State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Single Family Housing Direct Loan Division or Director Single Family Housing Guaranteed Loan Division, Rural Development (RD), Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1474 (direct loans); (202) 720-1452 (guaranteed loans).

**Web Site Address:**<http://www.rurdev.usda.gov>.**RELATED PROGRAMS:**

10.405, Farm Labor Housing Loans and Grants; 10.411, Rural Housing Site Loans and Self-Help Housing Land Development Loans; 10.417, Very Low-Income Housing Repair Loans and Grants; 10.420, Rural Self-Help Housing Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.411 RURAL HOUSING SITE LOANS AND SELF-HELP HOUSING LAND DEVELOPMENT LOANS**

(Section 523 and 524 Site Loans)

**FEDERAL AGENCY:**RURAL DEVELOPMENT(RD) RURAL HOUSING PROGRAMS,  
DEPARTMENT OF AGRICULTURE**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 523 and 524, Public Law 89-117; Public Law 89-754, 42 U.S.C. 1496c and d.



**OBJECTIVES:**

To assist public or private nonprofit organizations interested in providing sites for housing; to acquire and develop land in rural areas to be subdivided as adequate building sites and sold on a cost development basis to families eligible for low and very low income loans, cooperatives, and broadly based nonprofit rural rental housing applicants.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

For the purchase and development of adequate sites, including necessary equipment which becomes a permanent part of the development; for water and sewer facilities if not available; payment of necessary engineering, legal fees, and closing costs; for needed landscaping and other necessary facilities related to buildings such as walks, parking areas, and driveways. Restrictions: loan funds may not be used for refinancing of debts, payment of any fee, or commission to any broker, negotiator, or other person for the referral of a prospective applicant or solicitation of a loan; no loan funds will be used to pay operating costs or expenses of administration other than actual cash cost of incidental administrative expenses if funds to pay those expenses are not otherwise available. Repayment of loan is expected within two years.

**Applicant Eligibility:**

A private or public nonprofit organization that will provide the developed sites to qualified borrowers on a cost of development basis in open country and towns of 10,000 population or less and places up to 25,000 population under certain conditions. Applicants from towns of 10,000 to 25,000 population should check with local RD office to determine if agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Sites developed with Section 524 loans must be for housing low and very low income families and may be sold to families, nonprofit organizations, public agencies and cooperatives eligible for assistance under any Section of Title V of the Housing Act of 1949, or under any other law which provides financial assistance. Sites developed with Section 523 loans must be for housing to be built by the self-help method.

**Credentials/Documentation:**

Applicants must furnish evidence of the following: (1) Market analysis showing need for such services; (2) legal capacity to borrow funds and develop land for sale; (3) a sound budget; and (4) general project description. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental impact assessment and environmental impact statements are required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

The application will be in the form of a letter to the Rural Development Manager of the Rural Development (RD). Supporting information and costs should be included as needed. This program is excluded from coverage under Departmental Regulations 3015 and 3016, and OMB Circular No. A-110.

**Award Procedure:**

After application has been reviewed.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

A uniform procedure whereby an organization which is directly or adversely affected by an administrative decision by Rural Development Rural Housing Programs is found in 7 CFR 3550.4. Applicants may request reconsideration on the basis of pertinent facts concerning his application.

**Renewals:**

Applicants may reapply at any time provided there is evidence of need for the proposed building sites in the locality.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

RD District office monitors the loan and reports to the State Director should the borrower default in its loan obligations.

**Audits:**

Not applicable.

**Records:**

Adequate operating records must be maintained by borrower.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(524 Site Loans) FY 07 \$2,450,000; FY 08 est not available; and FY 09 est not available. (523 Site Loans) FY 07 \$570,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, four loans were made in the 523 program, and one loan was made in the 524 program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

RD Instruction 444.8, "Rural Housing Site Loan Policies, Procedures, and Authorizations"; 7 CFR 1822.261-1822.278; PA-1131.

**Regional or Local Office:**

Consult your local telephone directory for RD District Office number. If no listing, get in touch with appropriate RD State office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Single-Family Housing Processing Division, Rural Housing Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1474. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans; 10.415, Rural Rental Housing Loans; 10.420, Rural Self-Help Housing Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Caver County Housing and Redevelopment Agency, Chanhausen, Minnesota.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.415 RURAL RENTAL HOUSING LOANS****FEDERAL AGENCY:**

RURAL DEVELOPMENT (RD), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 515 and 521, Public Law 102-550, 42 U.S.C. 1485, 1490a.

**OBJECTIVES:**

To provide economically designed and constructed rental and cooperative housing and related facilities suited for rural residents.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants.

**USES AND USE RESTRICTIONS:**

Loans can be used to construct, or to purchase and substantially rehabilitate rental or cooperative housing or to develop manufactured housing projects. Housing as a general rule will consist of multi-units with two or more family units and any appropriately related facilities. Funds may also be used to provide approved recreational and service facilities appropriate for use in connection with the housing and to buy and improve the land on which the buildings are to be located. Loans may not be made for nursing, special care, or institutional-type homes. Grants are in the form of rental assistance for some units within the underwritten property.

**Applicant Eligibility:**

Applicants may be individuals, cooperatives, nonprofit organizations, State or local public agencies, profit corporations, trusts, partnerships, limited partnerships, and be unable to finance the housing either with their own resources or with credit obtained from private sources. However, applicants must be able to assume the obligations of the loan, furnish adequate security, and have sufficient income for repayment. They must also have the ability and intention of maintaining and operating the housing for purposes for which the loan is made. Loans may be made in communities up to 10,000 people in MSA areas and some communities up to 20,000 population in non-MSA areas. Applicants in towns of 10,000 to 20,000 should check with their local Rural Development; office to determine if the agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Mariana's, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Occupants must be very low-, low- or moderate-income families households, elderly, handicapped, or disabled persons.

**Credentials/Documentation:**

Applicants must furnish evidence of the following: (a) A comprehensive market analysis showing the need for such service; (b) a legal capacity to incur the obligation and operate the housing; (c) a sound budget; (d) good credit history; (e) inability to obtain necessary funds from other sources on terms and conditions that would enable the applicants to rent the units for amounts that are within payment ability of eligible very low, low-, or moderate-income family, households, elderly, handicapped, or disabled occupants. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For FY 06 the Section 515 Program will be awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register March 15, 2006. The NOFA application period is 60 days from the date of the announcement. The NOFA deadline is May 14, 2006.

**Award Procedure:**

Applications will be scored on the following factors (the factors are the same as last year's except for the additional requirement (shown in italics) that has been added to factor 4, the National Office initiative): (1) The presence and extent of leveraged assistance for the units that will serve RHS income-eligible tenants at basic rents comparable to those if RHS provided full financing, computed as a percentage of the RHS total development cost. (0 to 20 points); (2) the units to be developed are in a colonia, tribal land, EZ, EC, or REAP community, or in a place identified in the State Consolidated Plan or State Needs Assessment as a high need community for multifamily housing. ("State" refers to the State Government.) (20 points); (3) the loan request includes donated land meeting the provisions of 7 CFR 1944.215(r)(4). (5 points); and (4) in States where RHS has an on-going formal working relationship, agreement or Memorandum of Understanding (MOU) with the State to provide State resources (State funds, State RA, HOME funds, CDBG funds, or Low-Income Housing Tax Credits) for RHS proposals; or where the State provides preference or points to RHS proposals in awarding such State resources, 20 points will be provided to loan requests that include such State resources in an amount equal to at least 5 percent of the total development cost. (National office initiative) (20 points).

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

Within 30 days, States will review and score the applications and submit a list of applications in rank and point score order to the National Office. Following the State's submission of applications to the National Office, within 30 days the National Office will rank applications on a nation-wide basis and advise States of the results.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Applicants may reapply at next Notice of Funding Availability (NOFA).

**Formula and Matching Requirements:**

This program is now a Notice of Funding Availability (NOFA). Rural Development State Directors use needs criteria to establish a list of targeted communities for which applicants may request loan funds. Applications are then rated competitively in order to select recipients.

**Length and Time Phasing of Assistance:**

Loans are for up to 30 years at an effective 1 percent interest rate, and are amortized over 50 years. A current rate is used for the promissory note but thereafter is used only to determine maximum rent payments. Tenants pay basic rent or 30 percent of adjusted income, whichever is greater. RHS rental assistance subsidy can be used to limit tenant payment to 30 percent of their income. Loans made through contracts entered into on or after December 15, 1989 cannot be prepaid.

**Reports:**

Monthly progress reports are to be made to the Rural Development Manager, during the first six months of successful operation and each month thereafter until discontinued by the Rural Development Manager. Annual reports required thereafter.

**Audits:**

For borrowers not covered under OMB Circular No. A-133, annual audits conducted in accordance with Government Auditing Standards are required from borrowers with 25 or more units in any project. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Good business records required.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(New Construction funds) FY 07 \$36,382,000 (for repair/rehab only); FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Loan limit per application is \$1 million. Total limit per State (reserve and set-aside funds are not included in this cap): \$2.5 million.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3560. Handbook 1-Loan Origination, Handbook 2-Asset Management, Handbook 3-Project Servicing.

**Regional or Local Office:**

Refer to the NOFA which lists Offices to contact or consult your local telephone directory for Rural Development county or district office number. If no listing, get in touch with appropriate Rural Development State office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Multi-Family Housing Processing Division, Rural Development, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1604. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405, Farm Labor Housing Loans and Grants; 10.411, Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.427, Rural Rental Assistance Payments.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.417 VERY LOW-INCOME HOUSING REPAIR LOANS AND GRANTS**

(Section 504 Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT (RD) RURAL HOUSING PROGRAMS (RHP)  
DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92-310, 42 U.S.C. 1474.

**OBJECTIVES:**

Section 504 loans and grants are intended to help very low-income owner-occupants in rural areas repair their properties.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants.

**USES AND USE RESTRICTIONS:**

Loan funds may be used to make general repairs and improvements to properties or to remove health and safety hazards. Grant funds may be used only to pay for the costs for repairs and improvements that will remove identified health and safety hazards or to repair or remodel dwellings to make them accessible for household members with disabilities. Loans and grants are typically used for repair or replacement of heating, plumbing or electrical services, roof or basic structure as well as water and waste disposal systems, and weatherization. Loans bear an interest rate of one percent and are repaid over a period up to 20 years. In addition to the above purpose, loan funds may be used to modernize the dwelling. Maximum loan amount cannot exceed a cumulative total of \$20,000 to any eligible person and maximum lifetime grant assistance is \$7,500 to any eligible person. The house must be located in an eligible rural area which does not exceed 10,000 population. Some places with populations between 10,000 and 25,000 may be eligible if not within a Metropolitan Statistical Area (MSA). Assistance is available in States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's and the Trust Territories of the Pacific Islands.

**Applicant Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Beneficiary Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for the part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Credentials/Documentation:**

Evidence of ownership and verification of income and debts. Grant recipients must provide evidence of age. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Applicants must file an application form at the Rural Development field office serving the county where the dwelling is located. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Delegated to Local or Area Loan Approval Official.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 60 days from time applications are filed if no backlog of applications exists. Applications for assistance far exceed available funding. There is generally a waiting list for funding.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no matching requirements. This program has no statutory formula. The following basic formula criteria are to allocate program loan funds to various States:  $(A \times .50 + B \times .50) \times \text{funds available} = \text{State basic formula allocation}$ . Where "A" is State's percentage of national number of rural occupied units; and "B" is State's percentage of national number of rural households below 50 percent of area median income. The formula for grants is:  $(A \times 1/3 + B \times 1/3 + C \times 1/3) \times \text{funds available} = \text{State basic allocation}$ . Where "C" is State's percentage of national rural population 62 years of age and older. The data source for each of these criteria are based on the latest census data available.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of an established allocation system. Funds are usually released to borrowers/grantees as a lump sum payment for completed repairs or, as needed, for repairs in progress.

**Records:**

None.

**Audits:**

None.

**Records:**

Borrowers and/or grantees are not required to, but should retain copies of loan or grant-related documents.

**Account Identification:**

(Loans) 12-4141-0-3-371; 12-2081-0-1-371; (Grants) 12-2064-0-1-604.

**Obligations:**

(Loans) FY 07 \$36,800,000; FY 08 est \$34,409,003; and FY 09 est not available. (Grants) FY 07 \$29,700,000; FY 08 est \$29,790,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Loans Averaged \$5,942; Grants Averaged \$5,638.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550, Direct Single Family Housing Loans and Grants. (no charge); Home Improvement and Repair Loans, PA-1184, no charge.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development county office number. If no listing, contact your Rural Development State office listed in Appendix IV of the Catalog or visit [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Single-Family Housing Processing Division, Rural Development - Rural Housing Programs, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1474. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.420 RURAL SELF-HELP HOUSING TECHNICAL ASSISTANCE

(Section 523 Technical Assistance)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT, HOUSING PROGRAMS, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 523, Public Laws 89-117 and 89-754, 42 U.S.C. 1490c.

**OBJECTIVES:**

To provide Self-Help Technical Assistance Grants to provide financial assistance to qualified nonprofit organizations and public bodies that will aid needy very low and low-income individuals and their families to build homes in rural areas by the self help method. Any State, political subdivision, private or public nonprofit corporation is eligible to apply. Section 523 Grants are used to pay salaries, rent, and office expenses of the nonprofit organization. Pre-development grants up to \$10,000 may be available to qualified organizations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Eligible organizations may use technical assistance funds to hire the personnel to carry out a technical assistance program for self-help housing in rural areas; to pay necessary and reasonable office and administrative expenses; to purchase or rent equipment such as power tools for use by families participating in self-help housing construction; and to pay fees for training self-help group members in construction techniques or for other professional services needed. Funds will not be used to hire personnel to perform any construction work, to buy real estate or building materials, or pay any debts, expenses or costs other than previously outlined for participating families in self-help projects.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation or a private nonprofit corporation. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Very low and low-income rural families, usually in groups of 6 to 10 families.

**Credentials/Documentation:**

Applicants must furnish evidence of the need for such services, have legal capacity to incur the obligation and operate the proposed project, and be unable to obtain the necessary funds from other sources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The State Director must request funding approval from the National office of all requests. A technical review and analysis must be completed by the Regional Technical and Management Assistance (T&MA) contractor on all predevelopment, new, and existing (refunding) grant applications. In addition to the T&MA contractor's review, Agency personnel must also review and evaluate the feasibility of the grantee's request and make the appropriate recommendation. The level of National office review will be based on the amount of the grant. For grant requests under \$300,000 the State Director should submit: (1) the analysis from the T&MA contractor; (2) statement indicating whether or not the grant recipient will be working in Empowerment Zones (EZ), Enterprise Communities (EC) or Rural Economic Area Partnerships (REAP) and census tract designation of area; (3) the State Director's recommendation; (4) a copy of the conditions to be met; (5) a copy of From RD 1940-1, "Request for Obligation of Funds;" and (6) if the grantee is a marginal performer, specific information showing actions to correct performance. For grant requests that equal or exceed \$300,000, the complete application docket along with a statement indicating whether the grant recipient will be working in an EZ, EC, REAP or tribal community, must be sent to the National office. \$34 million has been appropriated for section 523 Mutual and Self-Help Technical Assistance grants. Of these funds, \$1 million is earmarked for EZ, EC or REAP communities. All section 523 grants will be obligated in the National office. This will enable the National office staff to monitor fund utilization. For section 523 mutual and self-help site loans and section 524 RH site loans, State Directors are responsible for developing an outreach program to increase public awareness of these programs. The State Director must request funding authority from the National office prior to obligating loan funds. Preapplication Coordination: The standard application forms as furnished by the Federal agency and required by Departmental Regulations 3015 and 3016 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Form SF-424 is submitted to the Field office of the Rural Development (RD), including information attached to Part IV, fully documenting the applicant's experience, need for the grant and the proposed amount needed. Attachments relating to the size of the proposed project, estimated cost, budget and need are also required. This program is subject to provisions of Departmental Regulation 3015 and 3016.



**Award Procedure:**

Award is made by the National office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 60 to 190 days from the time discussion begins.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time, if needed to help low- income families build homes in rural areas by the mutual self-help method is clearly evidenced.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are typically for a 2-year period, however, other time periods may be authorized if appropriate. Applications for assistance far exceed available funding. There is generally a waiting list for funding.

**Reports:**

Quarterly progress reports are to be made to the RD-Housing Programs District Office.

**Audits:**

Annual audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Adequate operating records must be maintained by Grantee.

**Account Identification:**

12-2006-0-1-604.

**Obligations:**

(Grants) FY 07 \$30,550,000; FY 08 est \$32,355,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Subpart I of Part 1944; Chapter XVIII; RD Instruction 1944-I, "Self-Help Technical Assistance Grants"; (PA 1254) (no charge).

**Regional or Local Office:**

Consult your local telephone directory for Rural Development District Office number. If no listing, contact the appropriate Rural Development State office listed in Appendix IV of the Catalog or see our web site at <http://www.rurdev.usda.gov>.

**Headquarters Office:**

Director, Single-Family Housing Processing Division, Rural Development, Housing Programs, Department of Agriculture, Washington, DC 20250.  
Telephone: (202) 720-1474.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans; 10.411, Rural Housing Site Loans and Self Help Housing Land Development Loans.

**EXAMPLES OF FUNDED PROJECTS:**

An example of a funded project is Self-Help Enterprises, Visalia, California and the City of Casa Grande, Casa Grande, and Arizona.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are the evidence of a clearly defined need in an area for mutual self-help housing and the families in the area cannot afford or obtain a modest house by customary methods, and the applicant possesses the expertise to provide the technical assistance (TA) required.

**10.421 INDIAN TRIBES AND TRIBAL CORPORATION LOANS****FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Loans to Indian Tribes and Tribal Corporations Act, Section 488-492, Public Law 91-229.

**OBJECTIVES:**

To enable federally recognized Indian tribes and tribal corporations to acquire land within tribal reservations and Alaskan communities.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Loan funds may be used to acquire land and interest therein for the benefit and use of the tribe or its members for purposes such as rounding out farming and ranching units or elimination of fractional heir ships. Funds may also be used for incidental costs connected with land purchase such as appraisals, title clearance, legal services, land surveys, and loan closing. Loan funds may be used to refinance non-United States Department of Agriculture preexisting debts that applicant incurred to purchase land subject to certain conditions. Loan funds cannot be used for any improvement or development purposes, acquisition or repair of buildings or personal property, payment of operating costs, payment of finder's fees, or similar costs.

**Applicant Eligibility:**

Limited to any Indian tribe recognized by the Secretary of the Interior or tribal corporation established pursuant to the Indian Reorganization Act or community in Alaska incorporated by the Secretary of Interior pursuant to the Indian Reorganization Act which does not have adequate uncommitted funds to acquire lands within the tribe's reservation or in a community in Alaska. The tribe must be unable to obtain sufficient credit elsewhere at reasonable rates and terms and must be able to show reasonable prospects of repaying the loan as determined by an acceptable repayment plan and a satisfactory management plan for the land being acquired.

**Beneficiary Eligibility:**

American Indian Tribe or tribal corporation recognized by the Secretary of the Interior, or a community in Alaska incorporated by the Secretary of the Interior.

**Credentials/Documentation:**

Credentials provided by the Secretary of the Interior. Feasibility documentation must be supplied by the applicant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Secretary of the Interior must determine that lands to be acquired lie within a tribal reservation or community in Alaska incorporated by the Secretary of the Interior pursuant to the Indian Reorganization Act. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application Form FSA 770-2620 will be submitted to the State FSA offices. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After an application has been recommended by Agency loan specialist, the State Executive Director has final approval authority on loans up to \$500,000. Loans in excess of that amount require the National office approval. Following approval, payment authorization is forwarded to the National finance office which issues the check.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated and appropriate appeal rights given. The applicant may reapply at any time that the reasons for rejection are corrected. If not satisfied with the State Executive Director's action, the applicant is given an opportunity to appeal the decision to the National Appeals Division decision making process. The applicant may in the final step of the appeals process, ask for a review of the decision by the Director of the National Appeals Division, Washington, DC.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Program size and requirement does not permit equitable distribution on a Tribe or State basis. The loan assistance may equal the project cost if the applicant is financially unable to contribute a part of the cost. This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Loans may be scheduled over a period not to exceed 40 years.

**Reports:**

None.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Records and accounts are required to reflect the operations of the project.

**Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

**Obligations:**

(Loans) FY 07 \$3,960,000; FY 08 est not available; and FY 09 est not reported.



**Range and Average of Financial Assistance:**

\$450,000 to \$2,000,000. Average: \$224,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 770, and FSA Handbook 6-FLP, Part 2., FMHA Instruction 442.11, FMHA Credit for American Indians, PA-1129.

**Regional or Local Office:**

Contact the appropriate FSA State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Director, Loan Servicing and Property Management Division, Ag Box 0523, Washington, DC 20250.  
Telephone: (202) 720-4572.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

15.124, Indian Loans Economic Development.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.427 RURAL RENTAL ASSISTANCE PAYMENTS**

(Rental Assistance)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT (RD), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 521, Public Laws 90-448 and 93-128, 42 U.S.C. 1490a.

**OBJECTIVES:**

To reduce the tenant contribution paid by low-income families occupying eligible Rural Rental Housing (RRH), Rural Cooperative Housing (RCH), and Farm Labor Housing (LH) projects financed by the Rural Housing Service (RHS) through its Sections 515, 514 and 516 loans and grants.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Rental assistance may be used to reduce the rents paid by low-income senior citizens or families and domestic farm laborers and families whose rents exceed 30 percent of an adjusted annual income. Tenants who may be eligible must occupy units in eligible RRH, RCH and LH projects financed by RHS.

**Applicant Eligibility:**

To be eligible to participate in the rental assistance program, borrowers must have an eligible project. All projects must convert to Interest Credit Plan II before they are eligible, except direct RRH and insured RRH loans approved prior to August 1, 1968, and LH loans and grants. For a borrower to have an eligible project, the loan must be an RRH insured or direct loan made to a broad-based nonprofit organization, or State or local agency or; an RRH insured loan made to an individual or organization who has or will agree to operate the housing on a limited profit basis as defined in 7 CFR 3560.254 (a) or; an RCH insured or direct loan or; an LH loan, or an LH loan and grant combination made to a broad-based nonprofit organization or nonprofit organization of farm workers or a State or local public agency. New construction and/or rehabilitation projects, utilizing the Section 8 program from HUD will not be considered eligible projects, although it may be used for eligible families in existing projects utilizing Section 8 for part of the units.

**Beneficiary Eligibility:**

Any very low and low-income family, handicapped or senior citizen that is unable to pay the approved rental rate for an eligible RHS rental assistance unit within 30 percent of their adjusted monthly income. Households eligible for rental assistance are those 1) whose net tenant contribution to rent, determined in accordance with 3560.203 (a)(2), is less than the basic rent for the unit; 2) whose head of the household is a U.S. citizen or a legal alien as defined in 3560.11; 3) who meet the occupancy rules established by the borrower in accordance with 3560.155 (e); and 4) who have a signed, unexpired tenant certification form on file with the borrower.

**Credentials/Documentation:**

The applicant must be the owner or plan to become an owner of an eligible RHS RRH, RCH, or LH project operating on a limited profit or nonprofit basis. This program is excluded from coverage under 7 CFR 3015 or 3016.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under 7 CFR 3015 or 3016.

**Application Procedure:**

Eligible borrowers will initiate the processing by submitting Form RD 3560-25,

"Request for Rental Assistance". Applications shall then be reviewed under the procedure set forth in 7 CFR 3560.255. This program is excluded from coverage under 7 CFR 3015 or 3016.

**Award Procedure:**

After the application has been reviewed by the Rural Development Manager, it is given final approval by the State Director. The State Director will determine the number of rental assistance units to be given from the total of units that were allocated to the State. Projects may be eligible for rental assistance for up to 100 percent of the number of units in the project.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 90 days from the time Form RD 1944-25, "Request for Rental Assistance" is filed.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application under the provisions of RD Instruction 1900-B.

**Renewals:**

Rental assistance contracts for new as well as existing projects may be renewed for at the end of the original contract subject to the availability of funds.

**Formula and Matching Requirements:**

The statistical factors used for fund allocation are: (1) State percentage of RHS rural population and the source is "2000 Census" updated by ERS; (2) State percentage of RHS rural housing units lacking plumbing and/or overcrowded and the source is "2000 Census"; and (3) State percentage of persons in poverty living in RHS rural areas and the source is "2000 Census."

**Length and Time Phasing of Assistance:**

Rental assistance contracts shall be funded subject to the availability of funds and appropriation language.

**Reports:**

The borrower must initially submit Form RD 3560-8, "Tenant Certification," for each tenant. Subsequent tenant certifications must be obtained annually and submitted to the Rural Development Manager. Quarterly progress reports are to be made to the Rural Development Manager during the first year of successful operation and each quarter thereafter until discontinued by the Rural Development Manager. An annual report will also be necessary.

**Audits:**

Borrowers not covered by OMB Circular No. A-133, are required to provide annual financial reports in accordance with 7 CFR 3560.308. This program is also subject to audit by the USDA Office of Inspector General. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Adequate operating records must be maintained by borrower.

**Account Identification:**

12-0137-0-1-604; 12-2002-0-1-604.

**Obligations:**

(Direct payments) FY 07 \$487,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Data unavailable at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3560, Direct Multi-Family Housing Loans and Grants.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development office number. If no listing, contact the appropriate Rural Development State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Multi-family Housing Portfolio Management Division, Rural Housing Programs (RP), Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1615. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405, Farm Labor Housing Loans and Grants; 10.415, Rural Rental Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.433 RURAL HOUSING PRESERVATION GRANTS****FEDERAL AGENCY:**

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 533, Public Law 98-181, 42 U.S.C. 1480.

**OBJECTIVES:**

To assist very low- and low-income rural residents individual homeowners, rental property owners (single/multi-unit) or by providing the consumer cooperative housing projects (co-ops) the necessary assistance to repair or rehabilitate their dwellings. These objectives will be accomplished through the establishment of repair/rehabilitation, projects run by eligible applicants. This program is intended to make use of and leverage any other available housing programs which provide resources to very low and low-income rural residents to bring their dwellings up to development standards.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Organizations may use less than 20 percent of the Housing Preservation Grant funds for program administration purposes, such as to hire the personnel to carry out a project of housing rehabilitation to meet the needs of very low and low-income persons in rural areas; to pay necessary and reasonable office and administrative expenses; and to pay reasonable fees for training of organization personnel. Eighty percent or more of funds must be used for loans, grants or other assistance on individual homes, homeowners, rental properties or co-ops to pay any part of the cost for repair or rehabilitation of structures; funds may not be used to hire personnel to perform construction or to pay any debts, expenses or costs other than previously outlined and approved in the project application.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation, Indian tribal corporations, authorized to receive and administer housing preservation grants, private nonprofit corporation, or a consortium of such eligible entities. Applicants must provide assistance under this program to persons residing in open country and communities with a population of 10,000 that are rural in character and places with a population of up to 20,000 under certain conditions. Applicants in towns with population of 10,000 to 20,000 should check with local Rural Development office to determine if the Agency can serve them. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, and the territories and possessions of the United States.

**Beneficiary Eligibility:**

Very low and low-income rural individuals and families who are homeowners and need resources to bring their housing up to code standards, rental property owners, or co-ops.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational capacity to carry out the objectives of the program by having experience in rural housing rehabilitation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by 7 CFR parts 3015 or 3016 must be used for this program. Preapplications on SF 424.1 "Application for Federal Assistance (for non-construction)," must be submitted to Rural Development. Applicants are encouraged to consult with the Rural Development District or State office prior to submission of a Preapplication and to receive assistance in the preparation of their preapplication. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In FY 06, the section 533 program will be awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register March 15, 2006. The NOFA application period is 60 days from the date of the announcement. The NOFA deadline is May 14, 2006.

**Award Procedure:**

Award is made by the Rural Development State Director.

**Deadlines:**

Dates governing the acceptance, review, and selection of project preapplication will be published annually in the Federal Register. Applicants may also contact the Rural Development State Office for deadlines.

**Range of Approval/Disapproval Time:**

Notice of action taken on preapplications will be generally within 60 days of final date of acceptance of preapplication.

**Appeals:**

Applicants may request reconsideration on the basis of pertinent facts concerning their application within 30 days of notification of action taken on the preapplication or application.

**Renewals:**

Applicants may apply for an additional HPG grant when they have achieved or nearly achieved the goals established for the previous or existing grant. The

grantee must file a preapplication for the current fiscal year which will be processed and compared under the project selection criteria to others submitted at that time.

**Formula and Matching Requirements:**

See 7 CFR 1940-L, "Methodology and Formulas for Allocation of Loan and Grant Funds." This program has a statutory formula consisting of the following factors and weights: State's percentage of national rural population, 33 1/3 percent; State's percentage of national number of rural occupied substandard units, 33 1/3 percent; and State's percentage of national rural families with incomes below the poverty level, 33 1/3 percent. Data source for each factor is based on the latest census data available. The percentage for each factor is multiplied by the weight assigned and summed to arrive at a State factor. The State factor is multiplied by the total amount available for allocation nationally, minus the national office reserve (approximately 5 percent). This program has no cost-sharing arrangement or matching requirements although priorities under the project selection criteria include extent of leveraging of funds to complement the housing preservation grant.

**Length and Time Phasing of Assistance:**

Grants are made for a 12 month period. Agency consent is required for grants that exceed 1 year.

**Reports:**

Quarterly financial and project performance reports are to be made to the Rural Development office receiving the grant.

**Audits:**

Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2070-0-1-604.

**Obligations:**

(Grants) FY 07 \$9,900,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944-N, Section 1944.651 through 1944.700. RD Instruction 1944-N. Regulations are available from Rural Development State offices.

**Regional or Local Office:**

Consult your local telephone directory for your local Rural Development Area Office number. If no listing, contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/reed\\_map.html](http://www.rurdev.usda.gov/reed_map.html).

**Headquarters Office:**

Multi-Family Housing Processing Division, Rural Development, Department of Agriculture, Washington DC 20250. Telephone: (202) 720-1604. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans; 10.411, Rural Housing Site Loans and Self-Help Housing Land Development Loans; 10.417, Very Low-Income Housing Repair Loans and Grants; 10.420, Rural Self-Help Housing Technical Assistance; 14.108, Rehabilitation Mortgage Insurance; 14.121, Mortgage Insurance\_Homes in Outlying Areas.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects generally provide financial assistance to very low-income persons for bringing their dwellings up to local code standards through an HPG grant combined with other Federal funding, such as HUD's community development block grants or HHS's weatherization program. Other variations funded includes using HPG funds to establish a revolving loan fund that provides homeowners a long term, interest subsidized loan; "lending homeowners the money and "forgiving" 20 percent per year until the loan becomes a grant after five years; using the grantee's own employees to perform the rehabilitation work to reduce the costs; and, in a few instances, leveraging State resources for repair loans or grants. In most cases, grantees that are currently active in home repair and rehabilitation were selected and were able to leverage their existing programs with the new HPG funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must provide a feasible repair rehabilitation program and serve areas

with a concentration of substandard housing and very low and low-income persons. In addition, the following criteria will be considered in the selection of grant recipients. Each preapplication and its accompanying statement of activities will be evaluated on: (1) The percentage of very low-income persons assisted; (2) the percentage of use of HPG funds to total cost of housing preservation; (3) the applicant's administrative capacity and experience in (i) housing rehabilitation or weatherization, (ii) assisting very low and low-income persons attain housing assistance and (iii) prior programs no outstanding audits findings; (4) the proposed program will be undertaken in non-Metropolitan Statistical Areas identified by Rural Development as having populations below 10,000 or in remote parts of other rural areas, (i.e., rural areas contained in Metropolitan Statistical Areas with less than 5,000 population); (5) the program will minimize the use of grant funds for administrative purposes, i.e., less than 20 percent of grant funds; (6) the program will alleviate overcrowding in rural residences inhabited by very low and low-income families; and (7) if an existing grantee has met the objectives of its current grant.

## 10.435 STATE MEDIATION GRANTS

### FEDERAL AGENCY:

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Agricultural Credit Act of 1987, Title V, Public Law 100-233; Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624; Agricultural Credit Improvement Act of 1992; Federal Crop Insurance Reform Act of 1994, Department of Agriculture Reorganization Act of 1994, Public Law 103-354; the United States Grain Standards Act of 2000, Public Law 106-472.

### OBJECTIVES:

To assist States in establishing and administering mediation programs and services for agricultural producers, creditors of producers (as applicable), and persons directly affected by actions of the Department of Agriculture.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grants are to be used for the operation and administration of a State's mediation program which has been certified by the Administrator of the Farm Service Agency (FSA) as meeting the requirements of Section 501 (c) of Title V of the Agricultural Credit Act of 1987 (U.S.C. 510), as amended. A grant will not exceed 70 percent of the total fiscal year funds that a qualifying State requires to operate and administer its mediation program, or \$500,000, whichever is less. Eligible costs are limited to those that are reasonable and necessary to carry out the mission of the State's mediation program and may include activities related to the intake and scheduling of cases, the provision of background and selected information regarding the mediation process, financial advisory and counseling services, and the mediation session.

### Applicant Eligibility:

State governments.

### Beneficiary Eligibility:

Agricultural producers, creditors of producers (as applicable) and persons directly affected by actions of the Department of Agriculture.

### Credentials/Documentation:

Have a mediation program which has been certified by the Administrator of FSA, and for which certification has not been withdrawn; provide evidence to justify the estimated costs of operating and administering the State's mediation program. The Governor of a State or head of an entity designated by the Governor of a State must make a written request to FSA on or before August 1 of each year to receive a matching grant during the fiscal year commencing on October 1, of that same year. Request for certification are accepted after August 1 of each year; however, the State will be considered in order of date received for reserved grant funds. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. To be certified as a qualifying State, the mediation program of the State must mediate issues involving agricultural loans (regardless of whether the loans are made or guaranteed by the Secretary of Agriculture or made by third party); and may provide mediation services for disputes involving wetlands determinations, compliance with farm programs including conservation programs, rural water loan programs, grazing on National forest system lands, pesticides, and such other issues, under the jurisdiction of the Secretary meeting the requirements of Section 501 of Title V of the Agricultural Credit Act of 1987 (7 U.S.C. 510), as amended.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The standard application forms as furnished by the Federal agency and required by 7 CFR part 3016, must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Grant funds will be distributed on a first come, first served basis to qualifying States. If, however, when funds for a fiscal year become available, there are not sufficient funds to give all qualifying States 70 percent of their justified

estimated expenses for the fiscal year, the percentage allocation will be reduced so as to give all States the same percentage of their expenses. FSA views the use of grant funds to provide financial advisory or other services in an advocacy context to be inconsistent with the premise of a mediation program, which is to provide a neutral forum for resolution of disputes.

### Deadlines:

Contact FSA National Office for application deadlines.

### Range of Approval/Disapproval Time:

Thirty days from receipt of a complete application package.

### Appeals:

If a certified State mediation program is available as part of the informal appeal hearing process, the participant will be offered the right to choose such mediation.

### Renewals:

Section 506 of Title V of the Agricultural Credit Act of 1987, Public Law 100-233 and Section 1853 of the Food, Agricultural, Conservation and Trade Act of 1990, Public Law 101-624, Section 22 of the Agricultural Credit Improvement Act of 1992, Public Law 102-554, Section 282 of the Federal Crop Insurance Reform and Department of Agriculture Reorganization Act of 1994, Public Law 103-354, and the United States Grain Standards Act of 2000, Public Law 106-472.

### Formula and Matching Requirements:

Seventy percent of fiscal year cost of operating and administering a State's agricultural mediation program, not to exceed \$500,000 annually.

### Length and Time Phasing of Assistance:

From beginning to end of the Federal government's fiscal year. Grant will be an annual grant and will run concurrently with the Federal government's fiscal year; reimbursement by Treasury check.

### Reports:

Reports are submitted quarterly: Standard Form 269, "Financial Status Report"; Standard Form 270, "Request for Advance or Reimbursement; Standard Form 272, "Federal Cash Transactions Report"; and Program Performance Report. Qualifying States receiving grants must provide an annual performance report to the FSA Administrator by September 30 of the fiscal year including the names and addresses of all mediation participants, the disputes being mediated, and the final results of mediation.

### Audits:

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-Federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

### Records:

Record keeping will conform to requirements of 7 CFR Part 3016.

### Account Identification:

12-0170-0-1-351.

### Obligations:

(Grants) FY 07 \$4,207,500; FY 08 est not applicable; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$5,000 to \$391,880.

### PROGRAM ACCOMPLISHMENTS:

Not available.

### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR Part 1946 published on August 26, 1988, 53 FR 32597.

### Regional or Local Office:

None.

### Headquarters Office:

Department of Agriculture, Farm Service Agency, STOP 0539, Washington, DC 20250. <http://www.fsa.usda.gov/pas/publications/facts/html/mediate01.htm>. Telephone: (202) 720-1471. Fax: (202) 690-0644. E-mail: [Cbailey@wdc.fsa.usda.gov](mailto:Cbailey@wdc.fsa.usda.gov). Contact Person: Chester A. Bailey.

### Web Site Address:

<http://www.fsa.usda.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Twenty-three States having mediation programs certified by USDA have received matching grants totaling \$3 million in fiscal year 2000. A \$183,370 grant was received by Alabama; a \$92,190 grant was received by Arizona; a \$80,200 grant was received by Arkansas; a \$5,000 grant was received by Florida; a \$9,570 grant was received by Idaho; a \$126,090 grant was received by Illinois; a \$5,000 grant was received by Indiana; a \$238,740 grant was received by Iowa; a \$391,880 grant was received by Kansas; a \$79,480 grant was received by Maryland; a \$59,900 grant was received by Michigan; a \$264,330 grant was received by Minnesota; a \$135,120 grant was received by Nebraska; a \$5,000 grant was received by Nevada; a \$68,500 grant was received by New Mexico; a \$355,600 grant was received by North Dakota; a \$190,990 grant was



received by Oklahoma; a \$117,810 grant was received by South Dakota; a \$278,530 grant was received by Texas; a \$21,430 grant was received by Utah; a \$42,220 grant was received by Washington; a \$208,360 grant was received by Wisconsin; and a \$40,690 grant was received by Wyoming.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Certification by the Administrator, FSA, that mediation program meets the requirements of Section 501 (c) of Title V of the Agricultural Credit Act (Public Law 100-233) as amended; application meets requirements of FSA regulations to be implemented.

### **10.437 INTEREST ASSISTANCE PROGRAM**

#### **FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended.

#### **OBJECTIVES:**

To provide a 4 percent subsidy to farmers and ranchers, who do not qualify for standard commercial credit. Guaranteed loans are serviced by a lender who has entered into a Lenders Agreement with the agency.

#### **TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

#### **USES AND USE RESTRICTIONS:**

The Interest Assistance Program can be provided for Operating Loans (OL). Under the interest assistance program, FSA will subsidize 4 percent of the interest rate on loans to qualifying borrowers. Operating Loans (OL) may be used: (1) to finance livestock or farm equipment; (2) to pay annual operating expenses or family living expenses; or (3) to refinance debts under certain conditions. Lines of Credit (LOC) are operating loans for annual operating loan purposes. Funds may be advanced and repaid (revolve) throughout the year. The total loan limit for a guaranteed loan cannot exceed \$731,000.

#### **Applicant Eligibility:**

Individuals, partnerships, or joint operations, legal resident aliens, corporations and cooperatives that meet the eligibility requirements for a guaranteed loan and are able to project the required cash flow margins with the aid of interest assistance.

#### **Beneficiary Eligibility:**

This program aids both the borrower and lender by providing 4 percent of the interest costs and receiving up to a 90 percent guarantee on the loan.

#### **Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

#### **Application Procedure:**

The lender must submit to the agency on behalf of the applicant, all required forms to the FSA county office, where the proposed operation will be located. Contact the lender in your area for completion of all required forms. Additional information can be obtained by contacting the FSA office in your local area. Farm Service Agency offices are listed in the telephone directory under U.S. Government, Department of Agriculture.

#### **Award Procedure:**

Not applicable.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

One to 30 days.

#### **Appeals:**

At the time of any rejection FSA will notify the lender and loan applicant of appeal rights and procedures.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Not applicable.

#### **Length and Time Phasing of Assistance:**

Interest Assistance agreements will be granted for a term not to exceed 10 years from the date the first agreement was signed.

#### **Reports:**

The lender is required to file Form FSA 1980-24 annually. This form will reflect current loan information, request a claim payment and establish the amount of interest assistance for the next year.

#### **Audits:**

FSA will review Form FSA 1980-24 annually. In addition, FSA will require a loan activity summary and calculation of interest charges.

#### **Records:**

The type of records required will be on a case-by-case basis.

#### **Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

#### **Obligations:**

(Subsidized Guaranteed Loans) FY 07 \$272,250,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$1 to \$731,000. Average: \$158,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Not available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations published at 54 FR 1534, codified in 7 CFR Part 762 and FSA Handbook 2 FLP.

#### **Regional or Local Office:**

Farm Service Agency State Offices can inform applicants of county office locations where applicants may apply for assistance. FSA State Office locations are listed in Appendix IV of the Catalog. Or visit the website at: <http://www.fsa.usda.gov>. FSA has more than 2,500 county offices serving every rural county in the United States.

#### **Headquarters Office:**

Department of Agriculture, Farm Service Agency, Director, Loan Making Division, Ag Box 0522, Washington, DC 20250. Telephone: (202) 720-1632.

#### **Web Site Address:**

<http://www.fsa.usda.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each loan application will be judged on its own merit and processed in chronological order.

### **10.438 SECTION 538 RURAL RENTAL HOUSING GUARANTEED LOANS**

#### **FEDERAL AGENCY:**

RURAL DEVELOPMENT, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Housing Act of 1949, as amended, Section 538, Public Law 106-569, 42 U.S.C. 1490p-2.

#### **OBJECTIVES:**

This program has been designed to increase the supply of affordable multifamily housing in rural areas through partnerships between Rural Development and major lending sources, as well as State and local housing finance agencies and bond insurers. The program provides Federal credit enhancement to encourage private and public lenders to make new loans for affordable rental properties that meet program standards.

#### **TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

#### **USES AND USE RESTRICTIONS:**

The guarantee will encourage the construction of new rural rental housing and appropriate related facilities. Housing as a general rule will consist of projects with five or more dwellings. The guarantee may not be made for nursing, special care or industrial type housing.

#### **Applicant Eligibility:**

The applicant in this program is the lender. The lender must be approved and currently active with Fannie Mae, Freddie Mac, HUD/FHA insurance programs, Ginnie Mae or be a State or local Housing Finance Agency. A member of the Federal Home Loan Bank System or other lender may be able to participate if they can demonstrate satisfactory experience with multifamily lending.

#### **Beneficiary Eligibility:**

Occupants must be families or persons with income not in excess of 115 percent of the Median Income at the time of initial occupancy.

#### **Credentials/Documentation:**

Eligible borrowers include: individual partnerships; profit and not-for-profit corporations; limited liability companies; trusts; State and local agencies; and Indian Tribes.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

The lender originates the loan and performs the necessary underwriting and provides the documentation required by the RHS and request for guarantee to the RHS for consideration.

#### **Award Procedure:**

Rural Development will review all the applications for compliance with the program requirements and issue the Conditional Commitment of Guarantee with conditions. Once the conditions are met the final Contract of Guarantee will be issued.

#### **Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

#### **Range of Approval/Disapproval Time:**

The review and award process is established at 60 days from the end of the NOFA.

#### **Appeals:**

Applicants may appeal adverse decisions in accordance with 7 CFR Part 11,



National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Per program requirements.

**Audits:**

As required by the lender and program regulations..

**Records:**

Good business records and any records required by the lender.

**Account Identification:**

12-0137-0-1-604.

**Obligations:**

(Loans) FY 07 \$197,997,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The final rule, 7 CFR 3565, was effective January 19, 2005. Also available in the Guaranteed Rural Rental Housing Program Origination and Servicing Handbook.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development field office number. If no listing, get in touch with appropriate Rural Development State office listed in Appendix IV of the Catalog or on the internet at <http://www.rurdev.usda.gov>.

**Headquarters Office:**

Director, Multi-Family Housing Processing Division, Rural Development, Department of Agriculture, Washington, DC 20250. Telephone (202) 720-1604. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Provided in the NOFA.

## 10.441 TECHNICAL AND SUPERVISORY ASSISTANCE GRANTS

**FEDERAL AGENCY:**

RURAL HOUSING SERVICE (RHS), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, Section 525(a), 42 U.S.C. 1490(e)(a).

**OBJECTIVES:**

To assist low-income rural families in obtaining adequate housing to meet their family's needs and/or to provide the necessary guidance to promote their continued occupancy of already adequate housing. These objectives will be accomplished through the establishment or support of housing delivery and counseling projects run by eligible applicants.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant purposes: Grant funds are to be used for a housing delivery system and counseling program to include a comprehensive program of technical and supervisory assistance as set forth in the grant agreement and any other special conditions as required by RHS. Uses of grant funds may include, but are not limited to: (a) The development and implementation of a program of technical and supervisory assistance as defined in RD Instruction 1944-K, 1944.506(h) and (i); (b) payment of reasonable salaries of professional, technical, and clerical staff actively assisting in the delivery of the TSA project; (c) payment of necessary and reasonable office expenses such as office supplies and office rental, office utilities, telephone services, and office equipment rental; (d) payment of necessary and reasonable administrative costs such as workers' compensation, liability insurance, audit reports, travel to and attendance at RD approved training sessions, and the employer's share of Social Security and health benefits. Payments to private retirement funds are prohibited unless prior written authorization is obtained from the Administrator; (e) payment of reasonable fees for necessary training of grantee personnel. This may include the cost of travel and per diem to attend regional training sessions when authorized by the State Director; and (f) other reasonable travel and miscellaneous expenses necessary to accomplish the objectives of the specific TSA grant which were anticipated in the individual TSA grant proposal and which were included as eligible expenses at the time of grant approval. Ineligible

activities: Grant funds may not be used for: (1) Acquisition construction, repair, or rehabilitation of structures or acquisition of land, vehicles, or equipment; (2) replacement of or substitution for any financial support which would be available from any other source; (3) duplication of current services in conflict with the requirements of RD Instruction 1944-k, 1944.514(c); (4) hiring personnel to perform construction; (5) buying property of any kind from families receiving technical or supervisory assistance from the grantee under the terms of the TSA grant; (6) paying for or reimbursing the grantee for any expenses or debts incurred before RHS/RD executes the grant agreement; (7) paying any debts, expenses or costs which should be the responsibilities of the individual families receiving technical and supervisory assistance; (8) any type of political activities, and (9) other costs including contributions and donations, entertainment, fines and penalties, interest and other financial costs, legislative expenses and any excess of cost from other grant agreements. Advice and assistance may be obtained from the national office where ineligible costs are proposed as part of the TSA project or where a proposed cost appears ineligible. The grantee may not change fees or accept compensation or gratuities from TSA recipients for the grantee's assistance under the program.

**Applicant Eligibility:**

Technical and Supervisory Assistance Grants may be made to public or private nonprofit corporations, agencies, institutions, organizations, Indian Tribes, and other associations. Listed below are a description and definition of eligible applicants: 1. Sponsored organization - A public purpose group other than a unit of government that is a beneficiary under a plan or program administered by a State, or political subdivision of a State or local government, and which is subject to approval by a Federal agency. Usually organized to work for a specific purpose. Examples: Community development agencies, model cities, and community action agencies; 2. public nonprofit institution/organization - A public owned agency or organization established to perform specialized functions or services for the benefit of all or part of the general public either without charge or at cost, making no profits and having no shareholders or receive dividends, includes institutions of higher education and hospitals. 3. Federally Recognized Indian Tribal Government - the governing body or a governmental agency of an Indian tribe, nation, pueblo, or other organized group or community (including native village as defined in the Alaska Native Claims Settlement Act) certified by the Secretary of the Interior as eligible for the special programs and services provided through the Bureau of Indian Affairs; and 4. private nonprofit institution/organization - privately owned organization or institution which represent community service networks, public information, technical assistance, and public education. Operated exclusively for charitable, scientific, literary or educational purposes such that no part of its earnings is for the benefit of any private shareholder or individual, includes private institutions of higher education and hospitals. Examples: Girl Scouts, American Civil Liberties Union.

**Beneficiary Eligibility:**

Eligible beneficiaries must be low- income, individual/family and rural sponsored organizations.

**Credentials/Documentation:**

Have the financial, legal, administrative, and operational capacity to assume and carry out the responsibilities that meet this requirement of actual capacity, it must either: (a) Have necessary background and experience with proven ability to perform responsibly in the field of low-income rural housing development and counseling, or other business management or administrative experience which indicated an ability to provide responsible technical and supervisory assistance; or (b) be assisted by an organization which has such background experience and ability and which agrees in writing that it will provide, without charge, the assistance the applicant will need to carry out its responsibilities; (c) legally obligate itself to administer TSA funds, provide an adequate accounting of the expenditure of such funds, and comply with the grant agreement and RHS regulations; (d) demonstrate an understanding of the needs of low-income rural families; (e) have the ability and willingness to work within established guidelines; and (f) if the applicant is engaged in or plans to become engaged in any other activities, it must be able to provide sufficient evidence and documentation that it has adequate resources, including financial resources, to carry on any other programs or activities to which it is committed without jeopardizing the success and effectiveness of its TSA project.

**Preapplication Coordination:**

Application Submission: (a) Upon notification that the applicant has been tentatively selected for funding, the State office will forward to the applicant a signed Form AD-622 and provide SF 424.1 with instructions to the applicant for preparation of an application; (b) upon receipt of Form AD-622, the applicant will submit an application, an original and two copies on Form SF 424.1, and provide whatever additional information is requested to the Field office within 30 days; and (c) upon receipt of an application on SF 42.1 by the Field office, a docket shall be assembled which will include the following: (1) Form SF 424.1 and the information submitted in accordance with RD Instruction 1944-k, 1944.526(a) (2); (2) Form AD-622; (3) any comments received in accordance with 7 CFR part 3015 subpart V, "Intergovernmental Review of Department of Agriculture Programs and Activities." See RD Instruction 1940-J, available in any RD office; (4) SF 424.1; (5) OGC legal administration made pursuant to RD

Instruction 1944-K, 1944.526(c) (3); (6) grant agreement; (7) Form RD 1940-1, "Request for Obligation of Funds;" (8) Form RD 400-1, "Equal Opportunity Agreement;" (9) Form RD 400-4, "Assurance Agreement;" (10) Form RD 1940-20, "Request for Environmental Information;" (11) Form RD 1940-22, "Environmental Checklist for Categorical Exclusions," Form RD 1940-21, "Environmental Assessment for Class I Actions" or exhibit H, subpart G of Part 1940 entitled, Environmental Assessment for Class II Actions; (12) the historical and archaeological assessment; and (13) the detailed budget for the agreement period based upon the needs outlined in the proposal and the comments and recommendations by RD. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Award is made by the Rural Development State Director.

**Deadlines:**

Contact the State office for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Appeal rights are available under Rural Development's Instruction 1900 Subpart B.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Assistance is normally for one to two years. Requesting TSA checks: (a) The initial TSA check may cover the applicant's needs for the first calendar month. If the first calendar month is a partial month, the check will cover the needs for the partial month and the next whole month. (b) The initial advance of TSA grant funds may not be requested simultaneously with the request for obligation of TSA grant funds. The initial advance must be requested on Form RD 440-57 in accordance with the FMI after it has been received from the Finance Office indicating that funds have been obligated; and (c) all advances will be requested only after receipt of Standard Form 279 from the grantee. The amount requested must be in accordance with the detailed budget, including amendments, as approved by RHCDS. Standard Form 270 will not be submitted more frequently than once every 30 days. In no case will additional funds be advanced if the grantee fails to submit required reports or is in violation of the grant agreement.

**Reports:**

Grant Evaluation, Closeout, Suspension, and Termination: (a) Grant evaluation will be an ongoing activity performed by both the grantee and RHS. The grantee will perform self-evaluations by preparing periodic project performance reports in accordance with 1944.541. RHS will also review all reports prepared and submitted by the grantee in accordance with the grant agreement and this part.

**Audits:**

Within 45 days after the grant ending date, the grantee will complete closeout procedures as specified in the grant agreement.

**Records:**

Grantees are required to maintain financial records, supporting documents, statistical records, and all other records pertinent to the grant for a period of at least 3 years after the submission of the final Project Performance report.

**Account Identification:**

12-2009-0-1-604.

**Obligations:**

(Grants) FY 07 \$1,000,000; FY 08 \$0; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944 Subpart K.

**Regional or Local Office:**

Contact the appropriate Rural Development State office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

USDA, Rural Development, Housing Programs, 14th Street and Independence Avenue SW., Washington, DC 20250. Telephone: (202) 720-1474. FTS is not available.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must provide a program of supervisory assistance as defined in 7 CFR 1944.506(h) and they must serve areas with a concentration of substandard housing and low-income and low-income minority households. In addition, the proposals will be scored on the following criteria: (1) The extent to which the

program serves areas with concentrations of Rural Development single family housing loan borrowers who are delinquent in their housing loan payments and/or threatened with foreclosure. (2) The capability and past performance demonstrated by the applicant in administering its programs, the effectiveness of current efforts by the applicant to assist low-income and low-income minority families in obtaining adequate housing, the adequacy of records and practices (including personnel procedures and practices) that will be established and maintained by the applicant during the term of the agreement. (3) The narrative presentation of the applicant's proposed TSA program. (4) The extent to which the program will provide or increase the delivery of housing resources to low-income and low-income minority families who are not currently occupying adequate housing in the areas. (5) The extent to which the program will make use of other financial and contribution-in-kind resources for both technical and supervisory assistance and housing development and supporting facilities. (6) The extent to which the project will be cost effective. (7) The extent to which the program is effective in providing expected benefits to low-income families. (8) The narrative statement is based on need. (9) The services of the applicant will provide are not presently available in the proposed service area to assist low-income families in obtaining or maintaining occupancy of adequate housing and the extent of duplication of technical and supervisory assistance activities currently provided for low-income families. (10) The extent of citizen and local government participation and involvement in the development of the preapplication and project and coordination with other Federal, State or local technical and/or supervisory assistance programs.

## 10.442 HOUSING APPLICATION PACKAGING GRANTS

(Section 509 Grants)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT, RURAL HOUSING PROGRAMS (RHS),  
DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, as amended, 42 U.S.C. 1479.

**OBJECTIVES:**

To package single family housing applications for very low- and low-income rural residents in colonias and designated counties who wish to buy, build, or repair houses for their own use and to package multi-family housing applications for organizations wishing to develop rental units for lower income families to construct new rental housing complexes or to repair and rehabilitate existing units.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants reimburse eligible organizations for part or all of the costs of conducting, administering, and coordinating an effective housing application packaging program in colonias and designated counties. Eligible organizations aid very low- and low-income individuals and families in obtaining benefit from Federal, State, and local housing programs. The following are restrictions under the housing application packaging grants: (1) These funds are available only in the areas defined in Exhibit D of RD Instruction 1944-B; (2) the packager may not charge fees or accept compensation or gratuities directly or indirectly from the very low- and low-income families being assisted under this program; (3) the packager may not represent or be associated with anyone else, other than the applicant, who may benefit in any way in the proposed transaction; (4) if the packager is compensated for this service from other sources, then the packager is not eligible for compensation from this source except as permitted by RHS; (5) grantees who are funded to do self-help housing effort; and (6) the authorized representatives must have no pecuniary interest in the award of the architectural or construction contracts, the purchase of equipment, or the purchase of the land for the housing site.

**Applicant Eligibility:**

An eligible grantee is an organization which is defined as any of the following entities which are legally authorized to work in designated counties and/or colonias and are: (1) A State, State agency, or unit of general local government; or (2) a private nonprofit organization or corporation that is owned and controlled by private persons or interests, is organized and operated for purposes other than making gains or profits for the corporation, and is legally precluded from distributing any gains or profits to its member.

**Beneficiary Eligibility:**

The targeted groups are nonprofit organizations who will serve very low- and low-income families without adequate housing in the colonias and designated counties.

**Credentials/Documentation:**

(1) Have the financial, legal, and administrative capacity to carry out the responsibilities of packaging housing applications for very low- and low-income applicants. To meet this requirement it must have the necessary background and experience with proven ability to perform responsibly in the field of housing application packaging, low-income housing development, or other business or administrative ventures which indicate an ability to perform responsibility in this

field of housing application packaging. (2) legally obligate itself to administer grant funds, provide adequate account of the expenditure of such funds, and comply with RHS regulations; (3) if the organization is a private nonprofit corporation: (a) is organized under State and local laws. (b) is qualified under Section 501(c)(3) of the Internal Revenue Code of 1986. (c) has as one of its purposes assisting very-low- and low-income families to obtain affordable housing; and (d) comply with the administrative requirements in RD Instruction 1944-B, other RHS policies and regulations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A package will consist of the required forms for the respective loan or grant program, as listed in Exhibit C of RD Instruction 1944-B. Grantees shall submit all material requested to the local Rural Development office. In addition, an original and copy of Forms RD 400-1, "Equal Opportunity Agreement," and Form RD 400-4, "Assurance Agreement," must be submitted. A copy of a current "Certificate of Training" pertaining to the type of application will be submitted. Applicants must also provide proof of nonprofit status under Section 501 (c)(3) or Section 501 (c)(4) of the Internal Revenue Code or of their existence as a State agency or unit of government legally authorized to work in the designated county and/or colonia. An SF-270, "Request for Advance or Reimbursement," will be submitted with each package for the amount authorized for the specific loan type, as listed in Exhibit B of RD Instruction 1944-B.

**Award Procedure:**

Awards are made by the State Director.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The determination is made by the State Director. Grantees must attend training each year in order to qualify for assistance. A copy of a current "Certificate of Training" pertaining to the type of application package must be submitted. Generally, training must be completed prior to December 31 of any year.

**Appeals:**

Appeal rights are available under 7 CFR 3550.4.

**Renewals:**

Grantees may reapply and packages may be submitted after the annual housing application packaging orientation and training is held, and a "Certificate of Training" is issued.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The State Director will determine based on the housing funds available, how many applications can be processed for each program during the fiscal year. The grant period will end when sufficient packages are received for each designated county or colonias, or on September 30, of the fiscal year, whichever is earlier.

**Reports:**

Quarterly reports must be submitted to the appropriate RD office servicing the designated county and/or colonias.

**Audits:**

Annual audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

The grantee will be required to retain records for 3 years from the date Standard Form (SF) - 269A, financial status report (short form), is submitted. These records will be accessible to RD and other Federal officials in accordance with 7 CFR Part 3015. A file of packages submitted will be established in the RD office and retained in accordance with RD Instruction 2033-A.

**Account Identification:**

12-2009-0-1-604.

**Obligations:**

(Grants) FY 07 \$30,000; FY 08 est \$0; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Fees paid for Section 502 Single Family Housing Loans, Section 504 Repair Loans and Grants, and Section 514 Farm Labor Housing Loans are \$500 for each acceptable package. For other programs, refer to Exhibit B of RD Instruction 1944-B.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944 Subpart B, 7 CFR 3014 (for nonprofit organizations) and 7 CFR 3016 (For State and local governments).

**Regional or Local Office:**

Consult your local telephone directory under United States Department of Agriculture for RD field office number. If no listing, contact appropriate Rural Development State Office listed in the Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Single Family Housing Processing Division, Rural Housing Programs,

Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1474. FTS is not available.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405, Farm Labor Housing Loans and Grants; 10.410, Very Low to Moderate Income Housing Loans; 10.411, Rural Housing Site Loans and Self Help Housing Land Development Loans; 10.415, Rural Rental Housing Loans; 10.417, Very Low-Income Housing Repair Loans and Grants; 10.433, Rural Housing Preservation Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.443 OUTREACH AND ASSISTANCE FOR SOCIALLY DISADVANTAGED FARMERS AND RANCHERS**

**FEDERAL AGENCY:**

ASSISTANT SECRETARY FOR ADMINISTRATION, OFFICE OF OUTREACH, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food, Agriculture, Conservation, and Trade Act of 1990, Section 2501, Public Law 101-624, 7 U.S.C. 2279.

**OBJECTIVES:**

To reverse the decline of socially disadvantaged farmers and ranchers across the United States. The intended outcome is to encourage and assist socially disadvantaged farmers and ranchers to own and operate their own farms and ranches, participate in agricultural programs, and thus allow them to become an integral part of the agricultural community and strengthen the rural economy.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To provide outreach, training and technical assistance to socially disadvantaged farmers and ranchers on agricultural programs.

**Applicant Eligibility:**

1890 Land-Grant Institutions, including Tuskegee University, Indian Tribal Community Colleges, Alaska Native cooperative colleges, Hispanic serving post-secondary educational institutions, other post-secondary educational institutions providing Agricultural education or other agriculturally-related services to socially disadvantaged farmers and ranchers in their region and community-based organizations that: (1) Have demonstrated experience in providing agricultural education or other agriculturally related services to socially disadvantaged farmers and ranchers in their region; (2) provides documentary evidence of its past experience in working with socially disadvantaged farmers and ranchers during the 2 years preceding its application for assistance; and (3) does not engage in activities prohibited under Section 501(c)(3) of the Internal Revenue Code of 1986.

**Beneficiary Eligibility:**

A farmer or rancher who is a member of one or more of the following groups whose members have been subjected to racial or ethnic prejudice because of their identity as members of a group without regard to their individual qualities. Groups include, but are not limited to, African-Americans, Native Americans, Alaskan Natives, Hispanics, Asians, and Pacific Islanders. The Secretary of Agriculture will determine on a case-by-case basis whether additional groups qualify under this definition, either at the Secretary's initiative or in response to a written request with supporting explanation.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational capacity to carry out the objectives of the program by having experience in agriculture. Costs will be determined in accordance with OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" and OMB Circular No. A-21, "Cost Principles for Educational Institutions" as implemented by USDA regulation 7 CFR part 3019. Community-based organizations should provide a current certification of non-profit status in accordance with section 501(c)(3) of the Internal Revenue Code of 1986.

**Preapplication Coordination:**

Notice of fund availability and request for proposals will be published in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal proposals should be submitted as outlined in the solicitation of proposals/applications. Application procedures are contained in the 2501 Program Application booklet. This program is subject to the Administrative procedures of 7 CFR Part 26.

**Award Procedure:**

Proposals are reviewed and evaluated by the 2501 Program staff members with the assistance and advice of a review panel of appropriate persons that are specialists who are qualified by training and experience in the fields covered by the proposals. Proposals are ranked and recommended in order of merit and funded to the extent permitted by available funds. Final approval for those



proposals selected will be made by the Awarding Official.

**Deadlines:**

Dates governing the acceptance, review, and selection of projects will be published in the Federal Register Notice or other applicable publication announcing the request for proposals.

**Range of Approval/Disapproval Time:**

Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

**Appeals:**

As stipulated in OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations.

**Renewals:**

None. Applicants that have previously received a grant, and have achieved the goals established for the previous grant, must reapply for an additional grant under the initial grant procedures.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants can be awarded from one to five years as stipulated by the current request for proposals notification published in the Federal Register.

**Reports:**

Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and performance/progress report is required within 90 days of the expiration of each agreement, which shall include an evaluation of the activities under the Agreement since the inception of the Project.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," Nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0601-0-1-351.

**Obligations:**

(Grants) FY 07 \$5,666,890; FY 08 est \$6,652,800; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

FY 2001, 27 recipients - \$62,941 to \$550,000, average was approximately \$225,000; and FY 2002, 30 recipients - \$66,437 to \$276,822, average was approximately \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

The 27 recipients serviced 22 States and 394 counties by providing assistance to more than 8,686 farmers and ranchers. These efforts have provided outreach to more than 107,566 rural constituents.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 26, "Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers Program; and 2501 Program Application Booklet.

**Regional or Local Office:**

Contact appropriate USDA State Office listed in Appendix IV of Catalog.

**Headquarters Office:**

Department of Agriculture, USDA Office of Outreach, 1400 Independence Avenue, SW., AG STOP 1710, Washington, DC 20250. Telephone: (202)720-6350. Fax: (202) 720-7489.

**Web Site Address:**

<http://www.usda.gov/agency/outreach>.

**RELATED PROGRAMS:**

10.224, Fund for Rural America Research, Education, and Extension Activities; 10.350, Technical Assistance to Cooperatives; 10.450, Crop Insurance; 10.500, Cooperative Extension Service; 10.960, Technical Agricultural Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Under the current funded projects, the grantees proposed a one-year plan for outreach and technical assistance to encourage and assist socially disadvantaged farmers and ranchers to own and operate farms and ranches and to participate in agricultural programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Prior to technical examination, a preliminary review will be made for responsiveness to the solicitation. Proposals that do not fall within the solicitation guidelines will be eliminated from competition. All accepted proposals will be reviewed by a review panel. In evaluating the proposal, the following will be taken into account to the degree to which the proposal demonstrates the following: (1)degree to which the proposal clearly describes its

objective and evidences a high level of feasibility and consistency with USDA policy and the Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers objectives; (2)degree to which the institution or organization is committed to the project, as shown by funds, in-kind services, or historical success in meeting the objectives of the program; (3)degree to which the proposal reflects collaborative approaches in meeting with other agencies or organizations to enhance the objectives of the program. Also, the areas and number of farmers who would benefit from the services offered; (4)degree to which the proposal contains efforts to reach persons identified as socially disadvantaged and farmers in designated socially disadvantage counties; and (5)degree to which the proposal reflects special innovative features to attract, interest, and improve the economical and social conditions of the farmer and/or rancher.

## 10.444 DIRECT HOUSING-NATURAL DISASTER LOANS AND GRANTS

(SECTION 504, Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT, HOUSING PROGRAMS (RHP), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92-310, 42 U.S.C. 1474; Public Law 104-134.

**OBJECTIVES:**

To assist qualified recipients to meet emergency assistance needs resulting from natural disaster. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). For the purpose of administering these funds, natural disaster will only include those counties identified by a Presidential declaration.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants.

**USES AND USE RESTRICTIONS:**

To assist very-low income owner- occupants to repair or replace damaged property as a direct result of a natural disaster. Loans are made in counties named by the Federal Management Agency as being eligible for Federal assistance under an emergency declaration by the President.

**Applicant Eligibility:**

Applicants must own and occupy the home in a rural area. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. The applicant's income for a loan may not exceed the very low-income limit which can be obtained in any Rural Development (RD) field office.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

Natural disasters will only include those areas identified by a Presidential declaration. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). Applicants must establish that physical damage was caused by natural disaster. For Section 504 loans/grants, there must be evidence of ownership and verification of income and debts. For grant recipients, evidence of age is required. The applicant must be unable to get credit elsewhere and demonstrate repayment for the loan.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Applicants must file Form RD 410-4 at the Rural Development field office serving the county where the dwelling is located. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Final approval of the application is given by the local or area office loan approval official.

**Deadlines:**

Applicants must file applications from the date of declaration/designation and until supplemental appropriated funds are exhausted.

**Range of Approval/Disapproval Time:**

From 30 to 60 days subject to the availability of funds, from the time the application is filed if no backlog of applications exist.

**Appeals:**

Applicants may request reconsideration at the local RD field office and may appeal adverse actions in accordance with 7 CFR Part 11. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan/grant applicants.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no matching requirement or statutory formula.



**Length and Time Phasing of Assistance:**

These funds are available only if the Supplemental Emergency Funding for Natural Disaster has been appropriated.

**Reports:**

None.

**Audits:**

None.

**Records:**

Borrowers are not required to, but should retain copies of loan/grant related documents.

**Account Identification:**

(Loans) 12-2081-0-1-371; 12-4215-0-3-371. (Grants) 12-1953-0-1-999.

**Obligations:**

(Loans) FY 07 \$40,000; FY 08 est. not available; and FY 09 est. not available. (Grants) FY 07 \$21,300; FY 08 est. \$0; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

(Loans) \$6,167; (Grants) \$5,241.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, the number of existing houses improved through Section 504 Natural Disaster Loans and Grants was 1,322.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3550.

**Regional or Local Office:**

Consult your local telephone directory under United States Department of Agriculture for Rural Development field office number. If no listing, contact appropriate RD State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Single Family Processing Division, Rural Housing Programs (RHP), Department of Agriculture, Washington DC 20250. Telephone: (202) 720-1474. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.445 DIRECT HOUSING-NATURAL DISASTER**

(Section 502 Very Low and Low Income Loans)

**FEDERAL AGENCY:**

RURAL DEVELOPMENT, RURAL HOUSING PROGRAMS (RHP), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq; Public Law 92- 310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100- 233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601.

**OBJECTIVES:**

To assist qualified lower income rural families to meet emergency assistance needs resulting from natural disaster to buy, build, rehabilitate, or improve dwellings in rural areas. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). For the purpose of administering these funds, natural disaster will only include those areas identified by a Presidential declaration.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Direct loans may be used for construction, repair, or purchase of housing. Payment subsidy is available to eligible low and very low-income applicants. The term payment subsidy refers to either payment assistance or interest credit. A payment subsidy reduces the borrower's scheduled payment to an amount equal to what it would be if the note were amortized to as low as one percent. Payment subsidies are subject to recapture by the government when the borrower transfers title or ceases to occupy the property.

**Applicant Eligibility:**

Applicants must be without adequate resources to obtain housing or related facilities. Applicants must be unable to secure the necessary credit from other sources at prevailing terms and conditions for residential financing.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

Natural disasters will only include those areas identified by a Presidential declaration. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). Applicants must establish that physical damage was caused by natural disaster. An applicant

needs to submit evidence of inability to obtain credit elsewhere, verification of income and debts, plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-110.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Applicants must file Form RD 410-4 at the Rural Development field office serving the county where the dwelling is located. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Final approval of the application is approved by the Community Development Manager.

**Deadlines:**

Applicants must file applications from the date of declaration/designation and until supplemental appropriated funds are exhausted.

**Range of Approval/Disapproval Time:**

From 30 to 60 days subject to the availability of funds, from the time the application is filed if no backlog of applications exists.

**Appeals:**

Applicants may request reconsideration at the local Rural Development field office or may appeal adverse actions in accordance with RD Instruction appeal procedure. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan applicant.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no matching requirement or statutory formula.

**Length and Time Phasing of Assistance:**

These funds are available only until the Supplemental Emergency Funding for Natural Disaster are exhausted.

**Reports:**

None.

**Audits:**

None.

**Records:**

Borrowers are not required to, but should retain copies of loan related documents.

**Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371.

**Obligations:**

(Loans) FY 07 \$0; FY 08 est. not available; and FY 09 est. not available (Note: Funds under this program are based on supplemental funding provided by Congress in response to a natural disaster. Hurricane Emergency Supplemental funds are not included in the projected amounts.)

**Range and Average of Financial Assistance:**

(Loans) \$0.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, no houses were financed through the Section 502 Direct Loan (Natural Disaster) Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550.

**Regional or Local Office:**

Consult your local telephone directory under United States Department of Agriculture for Rural Development field office number. If no listing, contact appropriate Rural Development State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Single Family Processing Division, Rural Housing Programs (RHP), Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1474. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405, Farm Labor Housing Loans and Grants; 10.411, Rural Housing Site Loans and Self-Help Housing Land Development Loans; 10.417, Very Low-Income Housing Repair Loans and Grants; 10.420, Rural Self-Help Housing Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.446 RURAL COMMUNITY DEVELOPMENT INITIATIVE****FEDERAL AGENCY:**

RURAL DEVELOPMENT, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2005.

**OBJECTIVES:**

To develop the capacity and ability of private, nonprofit community-based housing and community development organizations, and low income rural communities to improve housing, community facilities, community and economic development projects in rural areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Rural Community Development Initiative grants may be used for but are not limited to (a) training sub-grantees to conduct a program on home-ownership education; (b) training sub-grantees to conduct a program for minority business entrepreneurs; (c) providing technical assistance to sub-grantees on how to effectively prepare a strategic plan; (d) provide technical assistance to sub-grantees on how to access alternative funding sources; (e) building organizational capacity through board training; (f) developing training tools, such as videos, workbooks, and reference guides to be used by the sub-grantee; (g) providing technical assistance and training on how to develop successful child care facilities; and (h) providing training on effective fundraising techniques.

**Applicant Eligibility:**

Rural Community Development Initiative grants may be made to a legally qualified private or public (including tribal) organization that provides technical assistance to nonprofit community-based housing and community development organizations, and low income rural communities. The grantee must provide a program of technical assistance to the sub-grantee. The grantee must have been legally organized for a minimum of three years prior experience working with nonprofit organizations or low-income rural communities in the areas of housing, community facilities, or community and economic development. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Subgrantees must be legally organized private, nonprofit community-based housing and community development organizations, low income rural communities, and Federally recognized Indian Tribes.

**Credentials/Documentation:**

Have the legal, financial, administrative, and operational capacity relative to the activity for which assistance is requested. Have necessary background and experience with proven ability to perform responsibly in the areas of housing, community facilities, or community and economic development. Have the ability to work within established guidelines.

**Preapplication Coordination:**

A complete application for RCDI funds must include the following: (a) a summary page; (b) a detailed table of contents containing page numbers for each component of the application; (c) a project overview; (d) the evaluation criteria; (e) a separate one-page information sheet listing each of the evaluation criteria followed by the page numbers of all relevant material and documentation contained in the application which supports these criteria; (f) a breakdown of specific time increments and steps to accomplish goals; (g) a detailed breakdown of estimated costs and a project budget; (h) organizational documents for the grantee; (i) Form SF-424, Application for Federal Assistance; (j) Form SF-424B, Assurances - Non-Construction Programs; (k) Form AD-1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions; (l) Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; (m) Form AD-1049, Certification Regarding Drug-Free Workplace Requirements; (n) Certification of Non-Lobbying Activities; (o) Standard Form LLL, Disclosure of Lobbying Activities; (p) Form RD 400-4, Assurance Agreement; and (q) report any association or relationship with Rural Development employees. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application procedures will be announced in the Federal Register and on the Grants.gov web site.

**Award Procedure:**

Award is made by the Administrator, Housing and Community Facilities Programs.

**Deadlines:**

Announced in Federal Register.

**Range of Approval/Disapproval Time:**

As required, 90 days to 120 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the National Appeals Division, USDA.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The grantee must provide matching funds at least equal to the amount of the grant in the form of cash or committed funding. (No in-kind contributions.)

**Length and Time Phasing of Assistance:**

Proposals must be structured to utilize the Rural Community Development Initiative grant funds within 3 years from the execution of the Rural Community Development Initiative grant agreement.

**Reports:**

The grantee will perform self-evaluations by preparing quarterly financial and project performance reports in accordance with the grant agreement for RCDI.

**Audits:**

Periodic audits should be made as part of the grantee's system of financial management and internal control to meet terms and conditions of the grant. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

The borrower must maintain adequate records and accounts related to the technical assistance performed.

**Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371.

**Obligations:**

(Grants) FY 07 \$6,200,000; FY 08 est \$6,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$500,000. Average: \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 38 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations 7 CFR 3015, 7 CFR 3016, 7 CFR 3019, 7 CFR 3052; H.R. 5426 Guidelines announced in NOFA, published in the Federal Register.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development state office numbers. If no listing, contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Administrator, Community Programs, Housing and Community Facilities Programs, Department of Agriculture, Washington, DC 20250- 3222. Telephone: (202) 720-1490.

**Web Site Address:**

<http://www.rurdev.usda.gov/rhs/rcdi/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants were made to (a) hire a staff person to provide technical assistance to the sub-grantee; (b) the sub-grantee organization hires a staff person, under the supervision of the grantee, to carry out the technical assistance; (c) develop the capacity of sub-grantees to conduct community development programs; (d) develop the capacity of sub-grantees to conduct home-ownership education programs; and (e) develop the capacity of sub-grantees to conduct training for minority business entrepreneurs.

**CRITERIA FOR SELECTING PROPOSALS:**

Factors considered for project selection include but are not limited to median household income, rural population, and points for evaluation criteria.

**10.447 THE RURAL DEVELOPMENT (RD) MULTI-FAMILY HOUSING REVITALIZATION DEMONSTRATION PROGRAM (MPR)**

(Restructuring Program)

**FEDERAL AGENCY:**

RURAL HOUSING SERVICE (RHS), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514/516 and 515, and The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2008 (Public Law 110-161)

**OBJECTIVES:**

To preserve and revitalize existing rural rental housing and farm labor housing projects financed by RHS under Section 515 and Sections 514/516 of the Housing Act of 1949 and to ensure that sufficient resources are available in order to continue to provide safe and affordable housing for low-income residents.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds will be used to meet the physical needs of rental and farm labor housing properties financed under Section 515 and Sections 514/516 of the Housing Act

of 1949. Related soft costs are also eligible. Owners or buyers are required to agree to a Restrictive Use Covenant for 20 years or the remaining term of any loans, or the remaining term of any existing restrictive-use provisions whichever ends later. This ensures the property will be used for low income housing as defined by the Housing Act of 1949.

**Applicant Eligibility:**

Owners or buyers of financially viable Section 515 financed rental or Section 514/516 labor housing properties.

**Beneficiary Eligibility:**

Low-income rural residents needing safe, decent and sanitary rental housing.

**Credentials/Documentation:**

Applicants must provide a Capital Needs Assessment (CNA) to identify the physical needs of the property as well as the estimated cost to make the needed repairs over a 20-year period.

**Preapplication Coordination:**

Multi-Family Housing Revitalization Demonstration Program (MPR) Pre-application. An electronic version of this form can be found on the internet at <http://www.rurdev.usda.gov/rd/nofas/index.html> or obtained by contacting the RD State Office in the state where the project is located. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

For FY 08, the MPR Program will be awarded through a Notice of Funding Availability announced in the Federal Register on March 12, 2008. The NOFA pre-application period is 60 days from the date of the announcement. The NOFA deadline is May 12, 2008.

**Award Procedure:**

Pre-applications will be scored on the following factors: (1) Contribution of third party funds; (2) Owner contribution sufficient to pay transaction costs; (3) Age of Project; (4) Transfer and revitalization of troubled projects; (5) Prior Agency approvals of CNAs; (6) Installation of energy generation systems; (7) Energy conservation; and (8) New tenant services to be provided by a non-profit organization at no cost to the project and that are available to all tenants.

**Deadlines:**

May 12, 2008.

**Range of Approval/Disapproval Time:**

Within 45 days from Pre-application submission, pre-applications will be scored and ranked, eligibility will be confirmed, and applicants will be notified of selection for participation and requested to submit full applications.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Applicants may reapply at the next Notice of Funding Availability (NOFA).

**Formula and Matching Requirements:**

This program is now a Notice of Funding Availability (NOFA). This is a demonstration program.

**Length and Time Phasing of Assistance:**

Debt deferral is the lesser of the remaining term of the existing loan or 20 years. A balloon payment of accrued principal and interest will be due at the end of the deferral period. A revitalization grant for non-profit applicants/borrowers only, is limited to the cost of correcting health and safety violations as identified by a CNA. A revitalization zero percent loan will be amortized over 30 years. A soft-second loan with a one percent interest rate will have its interest and principal deferred, to a balloon payment, due at the time the latest maturing Section 514 or 515 loan becomes due. An additional 30-year Section 515 loan at an effective one percent interest rate amortized over a period not to exceed 50 years. An additional 33-year Section 514 loan at an effective one percent interest rate amortized over a period not to exceed 33 years. An additional Section 516 grant not to exceed the lesser of 90 percent of the total development cost, or that portion of the total development cost which exceeds the sum of any amount provided by the applicant from their own resources plus the amount of any Section 514 loans approved for the applicant.

**Reports:**

Quarterly or annual financial reports.

**Audits:**

Quarterly or annual financial statements completed using agreed-upon procedures and performance standards described in the RHS Multi-Family Housing Audit Program.

**Records:**

Business records must be retained.

**Account Identification:**

12-2081-0-1-371.

**Obligations:**

FY 07 \$0; FY 08 \$20,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The underwriting guidelines include, but are not limited to, the following: The maximum soft-second loan will be limited to no more than \$5,000 per unit; revitalization grants limited to \$5,000 per unit; total assistance provided from a revitalization grant, revitalization zero percent loan, and/or a soft-second loan is limited to \$10,000 per unit; and the maximum Section 515 loan or Section

514/516 loan and grant is limited to no more than \$20,000 per unit.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, 87 properties received assistance for revitalization and preservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Refer to the NOFA which lists contacts at the National Office and consult your local telephone directory for Rural Development District or State Office number.

Also, contact information is available on the internet at

[http://www.rurdev.usda.gov/reed\\_map.html](http://www.rurdev.usda.gov/reed_map.html).

**Headquarters Office:**

Office of Rental Housing Preservation, Attention: Sandra L. Mercier, Rural Development, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1617.

**Web Site Address:**

<http://www.rurdev.usda.gov/>.

**RELATED PROGRAMS:**

10.415, Rural Rental Housing Loans.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be selected based on eligibility and ranking and scoring criteria listed in the NOFA.

## 10.449 BOLL WEEVIL ERADICATION LOAN PROGRAM

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 104-180, 7 U.S.C. 1989.

**OBJECTIVES:**

To assist producers and State governmental agencies to eradicate boll weevils from the United States.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Funds may be used to purchase or lease supplies and equipment, to pay entity operating expenses and to pay salaries and benefits. Loan funds may not be used to pay for lobbying, public relations, or related activities.

**Applicant Eligibility:**

Applicants may be determined eligible if the organization: (a) Meets the Animal and Plant Health Inspection Service (APHIS) cost-sharing requirements; (b) possesses a legal nonprofit corporate authority; (c) possesses the legal authority to enter into a contract; (d) operates in an area approved by a majority of cotton producers via referendum; (e) is unable to obtain funds elsewhere; and (f) may pledge producer assets as loan collateral.

**Beneficiary Eligibility:**

The beneficiaries of this program include the local boll weevil organization and agricultural community as well as local, State, and national governments.

**Credentials/Documentation:**

All applicants must be nonprofit entities, authorized to operate under the appropriate State law and for the specific purpose of eradicating boll weevils from the nation's agricultural community.

**Preapplication Coordination:**

Applicants are eligible for loan consideration after pre-approved funding is established by APHIS. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complete applications will be accepted by the National Office accompanied by documentation showing the entity's authority to borrow and the operation's ability to make the scheduled loan payment(s).

**Award Procedure:**

Loans will be written within specific credit guidelines as well as within the borrowing entity's documented ability to repay the loan.

**Deadlines:**

Initial loan request should be reviewed with APHIS prior to the funding year with a complete loan package submitted to FSA 90 days prior to the anticipated disbursement of funds.

**Range of Approval/Disapproval Time:**

Agency credit decisions will generally be issued within 60 days of the receipt of a complete loan package.

**Appeals:**

None.

**Renewals:**

Boll weevil loans are term loans based upon certain procedural and program criteria. Although loans are not renewed, additional loan requests may be submitted by each entity for consideration.

**Formula and Matching Requirements:**

While there are eligibility requirements, there are no formula or matching fund



requirements.

**Length and Time Phasing of Assistance:**

Loans can be applied for at anytime during the year. The loan term varies anywhere from one to seven years.

**Reports:**

Profit and loss statements may be required monthly, but are always required quarterly and annually. Income and expense deviations in excess of ten percent must be reported immediately.

**Audits:**

Audited financial statements and profit and loss statements will be annually submitted for review and analysis.

**Records:**

Detailed records will be maintained by each entity in the respective offices. These same records will be made available to the Agency for review upon demand.

**Account Identification:**

12-1140-0-1-351.

**Obligations:**

(Interest Free Loan) FY 07 \$59,400,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

The FSA Boll Weevil Eradication program is in its third year. Loans have been made or are in the process of being made in most all cotton producing States. Although the eradication of the boll weevil is difficult, where implemented, the program is highly successful. Full implementation is anticipated within the next five years and general eradication accomplished within the next decade. Maintenance programs will be required perpetually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal regulations are found at 7 CFR Part 1941, Subpart C.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Farm Service Agency, Loan Making Funds Management Branch, 1400 Independence Avenue SW., Stop 0522, Room 5438 SO/AGRIB, Washington, DC 20250-0522. Telephone: (202) 720-1632.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.025, Plant and Animal Disease, Pest Control, and Animal Care.

**EXAMPLES OF FUNDED PROJECTS:**

Tennessee Boll Weevil Eradication Foundation.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are based upon area boll weevil infestation, APHIS recommendation, individual State and Charter authority, and the ability of the entity to repay the loan.

## 10.450 CROP INSURANCE

**FEDERAL AGENCY:**

RISK MANAGEMENT AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1501-1520, Agricultural Adjustment Act of 1938, Title V, 52 Stat. 31; Federal Crop Insurance Act of 1980, as amended, Public Law 101-624; Federal Crop Insurance Reform Act of 1994, Public Law 103-354; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1999, Public Law 105- 277; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriation Act of 2000, Public Law 106-78; Agriculture Risk Protection Act of 2000, Public Law 106-224; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriation Act of 2001, Public Law 106-387; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriation Act of 2002, Public Law 107-76.

**OBJECTIVES:**

To promote the national welfare by improving the economic stability of agriculture through a sound system of crop insurance and providing the means for the research and experience helpful in devising and establishing such insurance.

**TYPES OF ASSISTANCE:**

Insurance.

**USES AND USE RESTRICTIONS:**

The Federal Crop Insurance Corporation (FCIC) is a wholly owned government corporation created February 16, 1938 (7 U.S.C. 1501.) Public Law 96-365, dated September 26, 1980, amended the program to provide for nationwide expansion of a comprehensive crop insurance plan. The Federal Agriculture Improvement and Reform Act of 1996 (P.L.104-127) required the Secretary of Agriculture to establish an independent office for supervision of the FCIC. The

Risk Management Agency (RMA) administers the FCIC and promotes the national welfare by serving America's agricultural producers through effective, market-based risk management solutions and promoting, supporting and regulating sound risk management solutions to preserve and strengthen the economic stability of America's agricultural producers. RMA fully subsidizes catastrophic crop insurance protection (CAT) except for minor administrative fees paid by the producer. CAT coverage compensates the producer for yield losses exceeding 50 percent of yield and at a price equal to 55 percent of maximum price (or equivalent amounts for dollar-based programs). RMA offers additional protection at higher levels of coverage and variable levels of premium subsidy. The Farm Service Agency (FSA) administers the Noninsured Assistance Program (NAP). NAP is available to provide coverage for food or fiber crops equivalent to the catastrophic crop insurance protection in areas where catastrophic crop insurance protection is not available. FCIC offered insurance on the following crops or commodities for the 2007 crop year, with some available only in limited areas: Adjusted Gross Revenue, Adjusted Gross Revenue-Lite, Almonds, Apples, Apricots, Avocado Trees (Florida), Avocados (Revenue, Actual Production History (APH)), Banana Trees, Bananas, Barley (APH, Income Protection (IP), Revenue Assurance (RA)), Blueberries, Cabbage, Canola (APH, RA), Cherry (Dollar), Chile Peppers, Citrus, Citrus Tree (Texas), Clams, Coffee, Coffee Trees, Corn (APH, Crop Revenue Coverage (CRC), Group Risk Income Protection (GRIP), Group Risk Protection (GRP), IP, Indexed Income Protection (IIP), RA), Cotton (APH, CRC, GRIP, GRP, IP, RA), Cranberries, Cultivated Wild Rice, Dry Beans, Dry Peas, Extra Long Staple Cotton, Figs, Flax, Florida Fruit Tree, Forage, Forage (APH, GRP), Forage Seed (Alfalfa), Forage Seeding, Fresh Market Sweet Corn, Fresh Market Tomatoes (APH, Dollar), Grain Sorghum (APH, CRC, GRIP, GRP, IP), Grapefruit, Grapes, Green Beans for Canning, Green Peas, Hybrid Corn Seed, Hybrid Grain Sorghum Seed, Lemons, Limes, Livestock, Macadamia Nuts, Macadamia Trees, Mandarins, Mango Trees (Florida), Millet, Mint, Murcotts, Mustard, Naval Oranges (Citrus Dollar, APH), Nectarines, Nursery, Oats, Onions, Oranges, Papaya, Papaya Trees, Pasture, Peaches, Peaches, Peanuts (APH, GRP), Pears, Pecan Revenue, Peppers, Plums, Popcorn, Potatoes, Prunes, Raisins, Rangeland, Rangeland (GRP), Rice (APH, CRC, RA), Rye, Safflower, Silage Sorghum, Soybeans (APH, CRC, GRIP, GRP, IP, IIP, RA), Stonefruit, Strawberries, Sugar Beets, Sugarcane, Sunflowers (APH, RA), Sweet Corn for Canning, Sweetpotatoes, Table Grapes, Tangelos, Tangerines, Tobacco, Tomatoes (Canning and Processing), Walnuts, and Wheat (APH, CRC, GRIP, GRP, IP, RA).to more affordable risk management tools and improved protection from production and income loss, and to improve the efficiency and integrity of the Federal crop insurance program. Due to the new legislation, RMA has improved basic products by implementing higher premium subsidies to make buy- up coverage more affordable for producers; made adjustments in actual production history guarantees; and revised the administrative fees for CAT coverage. Other major provisions of ARPA include: expanded authority of general pilot programs; expansion of the Dairy Options Pilot Program and Risk Management Education; tightening of program compliance and integrity; establishment of expert reviewpanels and procedures for reviewing policies, plans of insurance, and related material or modifications; mandating availability and acceptance of electronic information; and strengthening of "good farming practices" by including scientifically sound sustainable and organic farming practices. RMA has implemented a cost-share program to producers in eleven historically underserved states in the Northeast to purchase AGR insurance. Under this program, RMA will pay 50 percent of the producer-paid premium and the entire administrative fee. RMA anticipates more crops and/or commodities will become insurable through pilot programs approved by the FCIC Board of Directors.

**Applicant Eligibility:**

Unless otherwise restricted by the insurance policy, owners or operators of farmland, who have an insurable interest in a crop in a county where insurance is offered on that crop are eligible for insurance. Producers will be covered under the Noninsured Assistance Program (NAP) which is available to provide coverage similar to the catastrophic risk protection in areas where catastrophic risk protection is not available, if such crop is produced for food or fiber and the area is authorized.

**Beneficiary Eligibility:**

Any insured producer who has a financial loss caused from a covered peril for the particular crop insured or covered by the Noninsured Assistance Program (NAP).

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Application for crop insurance offered by a company reinsured by FCIC must be filed with a crop insurance sales agent. Both catastrophic and additional coverage are available only from private companies. In general, crops and acreage must be reported to establish insurance coverage for crop insurance and,



if not eligible for crop insurance, such must be filed to establish eligibility for NAP. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The insurance contract becomes effective upon issuance of a Notice of Acceptance by the insurance company. Notices of Acceptance for insurance coverage are issued upon a determination that the applicant is eligible.

**Deadlines:**

Applications must be filed by the appropriate sales closing date for the crop involved.

**Range of Approval/Disapproval Time:**

From 15 to 20 days.

**Appeals:**

Appeals should be addressed within 30 days to the National Appeals Division, U.S. Department of Agriculture, Washington, DC 20250.

**Renewals:**

Continuous insurance contract.

**Formula and Matching Requirements:**

This program has no statutory formula nor matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Private Industry Crop Insurance Acreage Report; Actual Production History Yield Report; and in the event of a loss, Notice of Damage, Production Worksheet, and proof of loss.

**Audits:**

Recipients are subject to audit by the RMA internal compliance function, private insurance company auditors, Office of the Inspector General, USDA, and the General Accounting Office.

**Records:**

Insured must keep for 3 years, after the end of the crop year, records of harvesting, shipments, sale or other disposition of all insured crops produced on each unit covered by the contract and separate records for any uninsured acreage of the insured crops.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Total indemnities): Indemnities: FY 07 \$5,266,271,000; FY 08 est \$6,569,971,000; and FY 09 est not reported. (Premium subsidy to farmers through reinsured companies): FY 07 est \$2,803,070,000; FY 08 est \$3,663,065,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Level of assistance varies according to policy, crop and indemnities paid.

**PROGRAM ACCOMPLISHMENTS:**

For crop year 2006, the estimates are approximately 262.6 million acres for total insurance protection of an estimated \$49.9 billion, and for crop year 2007, the estimates are 264.3 million acres for total insurance protection of an estimated \$68.9 billion. For crop year 2008, the estimates are approximately 262.6 million acres for total insurance protection of an estimated \$66.9 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 400 and a brochure "Introduction to Risk Management"- available at no charge.

**Regional or Local Office:**

Interested producers should contact their Regional Office listed in Appendix IV of the Catalog, or a private industry crop insurance agent.

**Headquarters Office:**

Department of Agriculture, Administrator, Risk Management Agency, Ag Box 0801, Washington, DC 20250. Telephone: (202) 690-2803.

**Web Site Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

10.404, Emergency Loans; 97.022, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.451 NONINSURED ASSISTANCE

(NAP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, as amended, 15 U.S.C. 714b and 714c; 7 U.S.C. 7333.

**OBJECTIVES:**

To provide crop loss assistance comparable to the catastrophic risk protection level of crop insurance to producers of commercial crops or other agricultural commodities for which the catastrophic risk protection level of crop insurance is not available.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible crops include each commercial crop or other agricultural commodities (except livestock and their by-products; tobacco; and trees grown for wood, paper, or pulp products) that is produced for food or fiber and specifically includes: Floricultural, ornamental nursery, and Christmas tree crops, turfgrass sod, seed crops, aquaculture (including ornamental fish), and industrial crops. An eligible producer is an owner, landlord, tenant, or sharecropper: (1) Who shares in the risk of producing the crop; (2) who is entitled to share in the crop available for marketing or would have shared had the crop been produced; and (3) whose qualifying gross revenue is less than \$2 million for the preceding tax year for which an application for coverage is filed.

**Beneficiary Eligibility:**

Applicant Eligibility: Eligible crops include each commercial crop or other agricultural commodities (except livestock and their by-products; tobacco; and trees grown for wood, paper, or pulp products) that is produced for food or fiber and specifically includes: floricultural, ornamental nursery, and Christmas tree crops, turfgrass sod, seed crops, aquaculture (including ornamental fish), and industrial crops. An eligible producer is an owner, landlord, tenant, or sharecropper: (1) who shares in the risk of producing the crop; (2) who is entitled to share in the crop available for marketing or would have shared had the crop been produced; and (3) whose qualifying gross revenue is less than \$2 million for the preceding tax year for which an application for coverage is filed.

**Credentials/Documentation:**

Applicants must provide to the local administrative FSA office, annual certifications of acreage, yield, and production. Randomly selected producers and producers requesting program payments must also provide acceptable records of production. Applicants must provide evidence as necessary for a proper determination of their eligibility.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must file an application for coverage in the local administrative FSA office. An applicable service fee must accompany the application. Coverage is effective the later of: (1) 30 days after the application for coverage is filed; (2) date the crop is planted for yield-based crops or the beginning of the crop year for all other eligible crops. Other documentation required to fulfill the application requirements include: (1) A report of acreage, facility, etc.; (2) a notice of loss when the eligible crop is prevented from being planted as a result of eligible natural disaster or the eligible planted crop or commodity suffers loss of yield due to eligible natural disaster; (3) if the crop is harvested, a certification of production, and in the crop year for which an application for payment is filed, acceptable evidence of production, (4) if the crop will not be harvested, a request to the local county FSA office for appraisal; and (5) a certification of gross revenue.

**Award Procedure:**

None.

**Deadlines:**

Applications for coverage to include both prevented planting and low-yield coverage must be filed at least 30 calendar days prior to the final planting date for yield based crops or in the case of multiple planted crops, 30 calendar days prior to the beginning of the respective planting period. Applications for coverage to include only low-yield coverage may be filed until the final planting date for yield based crops or in the case of multiple planted crops, the beginning of the respective planting period. Applications for all other eligible crops must be filed no later than the beginning of the crop year. Other reporting requirements and deadlines will become applicable upon acceptance of the application for coverage.

**Range of Approval/Disapproval Time:**

The county committee will normally make a decision regarding the application for payment within 60 calendar days after all required information and documentation is received.

**Appeals:**

Applicants may request reconsideration of a decision by the decision authority or appeal such decisions to a higher authority including the county and State FSA committees and the National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

Formula and matching requirements are not considered under this part.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in a single payment following approval of the application for payment.

**Reports:**

There are no reports due for post assistance requirements under this program.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

Applicants must retain financial books and records that permit verification of all transactions for at least 3 years following the end of the calendar year in which an application for coverage is filed.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Cash Payments) FY 07 \$327,744,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Procedural handbooks and published regulations are available in county FSA offices.

**Regional or Local Office:**

Consult the local telephone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Production, Emergency and Compliance Division, Noninsured Assistance Program Branch, Stop 0517, 1400 Independence Avenue SW, Washington, DC 20250-0526. Telephone: (202)720-5172.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.450, Crop Insurance; 10.054, Emergency Conservation Program; 10.404, Emergency Loans; 10.066, Livestock Assistance Program; 10.073, Crop Disaster Program; 10.452, Disaster Reserve Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

There are no funded projects related to this program.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.452 DISASTER RESERVE ASSISTANCE**

(DRAP)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Act of 1970, as amended, 7 U.S.C. 1427a.

**OBJECTIVES:**

To provide emergency assistance to eligible livestock owners, in a State, county, or area approved by the Secretary or designee, where because of disease, insect infestation, flood, drought, fire, hurricane, earthquake, hail storm, hot weather, cold weather, freeze, snow, ice, and winterkill, or other natural disaster, a livestock emergency has been determined to exist.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Direct Payments are for unrestricted use. Feed on which cost-sharing is received: (a) Must be fed to the producer's livestock; (b) may not be resold; and (c) must be utilized during the established feeding period.

**Applicant Eligibility:**

Applicants must meet all of the following conditions as determined by the approving official: (1) May not have total annual gross revenue in excess of \$2.5 million; (2) be actively engaged in farming with at least 10 percent of gross revenue derived from the production of grain or livestock; (3) must have suffered a 40 percent or greater loss of normal feed production on the farm; and (4) have insufficient feed available for eligible livestock for the duration of the emergency; and (5) applicants eligible to receive program benefits under more than one program administered by the Secretary for the same crop loss must choose whether to receive other program benefits or disaster reserve assistance benefits. Applicants are not eligible for both. Basic program eligibility requirements include: (1) For the Disaster Reserve Assistance Program, crop losses in areas that have suffered a 40 percent or greater loss of normal grazing, and feed grain and forage production, and determined to be in a livestock feed emergency due to a natural disaster; (2) for the Emergency Feed Grain Donation Program: (a) the State committee must determine and document a livestock feed emergency on a county-by-county basis, when the danger of eligible livestock perishing as a result of snow and freezing conditions exists in the county, (b) the livestock owner, or other person or entities (public or private) certify that the eligible livestock were or are in danger of perishing without immediate assistance; and (3) the Foundation Livestock Relief (Cost-Share) Program: (a) when foundation livestock are stranded and in imminent danger of perishing, and (b) when the State committee determines and documents livestock losses due to severe weather conditions.

**Beneficiary Eligibility:**

Applicants must meet all of the following conditions as determined by the

approving official: (1) May not have total annual gross revenue in excess of \$2.5 million; (2) be actively engaged in farming with at least 10 percent of gross revenue derived from the production of grain or livestock; (3) must have suffered a 40 percent or greater loss of normal feed production on the farm; and (4) have insufficient feed available for eligible livestock for the duration of the emergency; and (5) applicants eligible to receive program benefits under more than one program administered by the Secretary for the same crop loss must choose whether to receive other program benefits or disaster reserve assistance benefits. Applicants are not eligible for both.

**Credentials/Documentation:**

Applicants must certify: (1) Ownership of livestock, feed loss, and feed available, (2) that annual gross revenue is not in excess of \$2.5 million, (3) derives at least 10 percent of gross revenue from the production of grain and livestock. Applicants must also be an established producer or husbandry of livestock or a dairy producer who is: (1) Actively engaged in farming; (2) a citizen of, or legal resident alien in the United States; (3) a farm cooperative, private domestic corporation, partnership, or joint operation in which a majority interest is held by the members, stockholders, or partners who are citizens of, or legal resident aliens of the United States; (4) any Indian tribe or tribal organization of the Indian Self-Determination and Education Assistance Act; and (5) any organization under the Indian Reorganization Act or Financing Act.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

(1) Applicants visit the county FSA office in the eligible county to make application, certify eligibility and report feed loss, feed available, and eligible livestock related to the disaster occurrence; and (2) applicants also receive authority to participate in the program as provided by the approving official.

**Award Procedure:**

None.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

Approval is 30 days or less in most cases if complete information is furnished by the applicant.

**Appeals:**

Applicants may appeal to the county and State FSA committees and to the National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

Formula and matching requirements are not considered under this program.

**Length and Time Phasing of Assistance:**

Payment is made by check upon presenting satisfactory evidence of cost of feed purchased and determining program eligibility.

**Reports:**

There are no reports due for post assistance requirements under this program.

**Audits:**

Recipients under these programs are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

Owners, dealers, handlers, and warehousemen shall retain financial books and records that permit verification of all transactions for at least 3 years following the end of the calendar year in which assistance is provided.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Cash Payments: American Indian Livestock Feed Program) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Procedural handbooks are available in county FSA offices.

**Regional or Local Office:**

Consult the local telephone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, Emergency and Noninsured Assistance Program Division, STOP 0526, 1400 Independence Avenue S.W., Washington, DC 20250-0526. Telephone: (202) 720-3168.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.450, Crop Insurance; 10.054, Emergency Conservation Program; 10.404, Emergency Loans.

**EXAMPLES OF FUNDED PROJECTS:**

There are no funded projects related to this program.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.454 DAIRY OPTIONS PILOT PROGRAM****FEDERAL AGENCY:**

RISK MANAGEMENT AGENCY (RMA), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Title I; Agricultural Market Transition Act, Subtitle H, Public Law 104-127; Agricultural Risk Protection Act of 2000, Public Law 106-224.

**OBJECTIVES:**

The purpose of the Dairy Options Pilot Program (DOPP) is to educate dairy producers in the use of options contracts as risk management tools and to ascertain the usefulness of options to dairy producers in various regional markets.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds will be used to share the cost of premium for 'put' options purchased by DOPP participants and for a portion of the brokers' fees to conduct and execute transactions. Funds may be used to purchase only 'put' options on milk futures contracts. Other discretionary expenses will be incurred by RMA to operate the program such as those associated with the DOPP's required training sessions.

**Applicant Eligibility:**

To be eligible for any benefits under this program, applicants must be dairy farmers (i.e., an individual, entity, or joint operation, which as owner, operator, landlord, tenant, or sharecropper is entitled to share in the production available for marketing from the dairy farm, or share in the proceeds thereof) who: (1) Are eligible for a production flexibility contract, a marketing assistance loan or any other assistance under Title I of the Federal Agriculture Improvement and Reform Act of 1996; (2) volunteer to participate in this program; (3) operate a dairy farm located in a county selected for the pilot program; and (4) have documented production history of at least 100,000 pounds of production over any consecutive 6-month period during the most recent 12 months.

**Beneficiary Eligibility:**

Dairy farmers.

**Credentials/Documentation:**

Dairy farmers must certify that they are eligible for the DOPP and that their farm produced at least 100,000 pounds of milk over a consecutive 6-month period during the most recent 12 months.

**Preapplication Coordination:**

The DOPP application and participation agreement materials include Form CCC-320 and a brochure explaining DOPP, along with instructions. Consultation or assistance is available from RMA and from extension agents to aid in preparing these forms. No informal preapplication consultation is necessary. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The DOPP application materials will be mailed to producers in counties where the program operates.

**Award Procedure:**

Each round of the program will last up to 12 months for each participant and operate for up to 3 years in each pilot county.

**Deadlines:**

Farmers have one month after the county official training date to return their signed application and a copy of their production records to RMA.

**Range of Approval/Disapproval Time:**

Farmers should expect a response within 3 weeks of RMA's receipt of their applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The program has no statutory formula. The proposed cost-sharing arrangement between RMA and participating dairy farmers calls for RMA to pay for 80 percent of premiums and up to \$30 in broker fees for each options contract purchased under the DOPP. The farmer pays for 20 percent of the premium and any broker fees in excess of \$30 per contract. This program has no matching requirements for State and local governments.

**Length and Time Phasing of Assistance:**

This assistance is available to farmers in selected counties from the date application materials are mailed to farmers in those counties until all options have been liquidated. All DOPP options must be purchased within 4 months of the date of the training session in each county. The assistance is paid to the farmer's broker on behalf of the farmer on a transaction-by-transaction basis.

**Reports:**

None.

**Audits:**

RMA's Office of Risk Compliance will conduct random audits of participating producers' and brokers' trading activity to verify compliance with the DOPP agreements.

**Records:**

None.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In DOPP Round I, 1,450 dairy producers were trained; 428 of those dairy producers bought 1,700 milk put options. During DOPP Round II, 1,226 dairy producers were trained; 129 of those dairy producers bought 310 milk put options due to low prices. An increased number of dairy producers attended training during Round III; 790 of those dairy producers bought 2,816 milk put options.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Brochure - "Got Options? Announcing the Dairy Options Pilot Program".

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Risk Management Agency, Stop #0808, 1400 Independence Avenue, SW., Washington, DC 20250. Contact: Lee Ziegler, Telephone: (202) 690-0520. Fax: (202) 690-3605. E-mail: rma.options@wdc.usda.gov.

**Web Site Address:**<http://www.rma.usda.gov>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The program was operated to fund milk put options purchases for dairy producers in 38 counties in a total of seven States during the original Round of DOPP (Round I). The program operated between 6 to 8 months in each State. For Round II, the program was expanded to include 61 new counties and included a total of 32 States. None of the original (Round I) counties were chosen to participate in Round II of the program. DOPP Round III was piloted in 275 counties and 39 states during FY 2001. An additional 25 counties were chosen by the Secretary of Agriculture for implementation during FY 2002. Counties from Rounds I, II, and III are included in the 300 total counties in 40 states during FY 2002 because DOPP will continue to operate in these counties, as directed by Congress.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.455 COMMUNITY OUTREACH AND ASSISTANCE PARTNERSHIP PROGRAM**

(RMA Community Outreach and Assistance Partnership Program)

**FEDERAL AGENCY:**

RISK MANAGEMENT AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended 7 U.S.C. 1522(d).

**OBJECTIVES:**

To ensure that women, limited resource, socially disadvantaged and other traditionally underserved producers of priority commodities are provided information and training necessary to use financial management, crop insurance, marketing contracts, and other existing and emerging risk management tools.

**TYPES OF ASSISTANCE:**

Information; Training.

**USES AND USE RESTRICTIONS:**

Recipients will use funds to develop and implement a community outreach program to women, limited resource, socially disadvantaged and other traditionally underserved producers of priority commodities. Community outreach must create awareness and use of risk management tools; and educate audience on how to use risk management tools to mitigate risks associated with farming. Applicants may propose additional use of funds that are creative and non traditional in reaching agricultural producers. RMA will be substantially involved in the project. Funds may not be used to plan, repair, rehabilitate, acquire or construct a building or facility including a processing facility; purchase, rent or install fixed equipment; repair or maintain privately owned vehicles; pay for preparation of the partnership agreement application; fund political activities; pay costs incurred prior to receiving a partnership agreement; or fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable. Indirect costs are limited to ten percent of total direct costs of the funded project.

**Applicant Eligibility:**

Applicant Eligibility Includes educational institutions, community based organizations, associations of farmers, ranchers and other nonprofit



organizations with demonstrated capabilities in developing and implementing risk management and other marketing options for priority commodities. Individuals are not eligible applicants. To be eligible, applicants must also be able to demonstrate that they will receive a non-financial benefit as a result of a partnership agreement. Non-financial benefits must accrue to the applicant and must include more than the ability to provide employment income to the applicant or for the applicant's employees or the community. The applicant must demonstrate that performance under the partnership agreement will further the specific mission of the applicant (such as providing research or activities necessary for graduate or other students to complete their educational program).

**Beneficiary Eligibility:**

Women, limited resource, traditionally under served and socially disadvantaged producers of priority commodities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All Applicants must submit applications in compliance with the criteria outlined in the Request for Applications (RFA) by the deadline specified in the Notice. Applicants are encouraged to submit completed and signed application packages using overnight mail or delivery service to ensure timely receipt by the USDA. Program application materials may be downloaded from the RMA website at: [www: rma.usda.gov](http://www.rma.usda.gov). Applicants may also request application materials from Marie Buchanan, Telephone: (202) 690-2686, Fax: (202) 690-2496, Email: [Marie.Buchanan@usda.gov](mailto:Marie.Buchanan@usda.gov).

**Award Procedure:**

Awards under this program will be made on a competitive basis for projects of up to one year. Each application will be reviewed and rated by a diverse panel based on the evaluation criteria contained in the RFA. Projects will be funded in final rank order until all available funds have been expended. Applicants must score at least 50 points or more to be considered for funding. The award instrument is a Partnership Agreement between the Risk Management Agency and the Applicant. No maximum or minimum funding levels have been established for individual projects or geographic locations.

**Deadlines:**

Completed and signed application packages must be submitted by the closing date specified in the Notice. Applications received after the deadline will not be evaluated By the technical review panel.

**Range of Approval/Disapproval Time:**

All awards will be made and agreements completed no later than September 30. Applicants that are not funded will be notified within 90 days after the receipt of applications.

**Appeals:**

Informal appeals can be addressed within 30 days from the date of notification to William Buchanan, Director, Civil Rights and Community Outreach, 1400 Independence Ave., SW, Washington, DC.

**Renewals:**

The project period is one year; there are no renewals under this program. Applicants must reapply each year.

**Formula and Matching Requirements:**

Applicants awarded partnership agreements require a match of ten (10) percent of the award amount. The applicant's contribution must be from nonfederal funds and can be cash or in-kind.

**Length and Time Phasing of Assistance:**

Projects will be funded for a period of up to one year from the project starting date for the activities described in the announcement.

**Reports:**

Applicants awarded partnership agreements will be required to submit quarterly progress and financial status reports (OMB Stand Ford 269) throughout the project period, as well as a comprehensive final report and financial report not later than 90 days after the end of the project period.

**Audits:**

Recipients are subject to audit by the Office of the Inspector General, USDA, as set forth in OMB Circular No. A-133, or in Federal Acquisition Regulations.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

FY 07 \$5,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Projects funded range from \$5,000 to \$300,000. The average is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced as a Request for Applications in the Federal Register and the RMA web site, along with specific information on obtaining an application package.

**Regional or Local Office:**

RMA has ten Regional Offices serving potential applicants. A listing may be obtained from the RMA web site or RMA Headquarters.

**Headquarters Office:**

Department of Agriculture, Risk Management Agency, Community Outreach and Assistance Partnership Program, 1400 Independence Ave., SW, Stop 0805, Washington, DC 20250. Telephone: (202) 690-2686. E-mail: <http://www.rma.usda.gov>.

**Web Site Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A complete listing of projects funded under this program is provided on the RMA web site, or may be obtained by contacting RMA Headquarters.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the Request for Applications.

**10.456 PARTNERSHIP AGREEMENTS TO DEVELOP NON-INSURANCE RISK MANAGEMENT TOOLS FOR PRODUCERS (FARMERS)**

**FEDERAL AGENCY:**

THE FEDERAL CROP INSURANCE CORPORATION (FCIC), OPERATING THROUGH THE RISK MANAGEMENT AGENCY (RMA), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Crop Insurance Act, 7 U.S.C. 1501, et. seq.), Section 522(d); Agricultural Market Transition Act, 7 U.S.C. 7333.

**OBJECTIVES:**

To develop risk management tools (risk management tools do not include insurance products, plans of insurances, policies, modifications thereof or any related material) for the U. S. agriculture producers with an emphasis on specialty crop(s) producers, livestock producers, rangeland producers and producers of underserved commodities currently covered by section 196 of the Agricultural Market Transition Act (7 U.S.C. 733).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The availability of research partnership monies (variable) is announced on a yearly basis. The partnership agreements are for the development of non-insurance risk management tools for use directly by agricultural producers. Each partnership agreement recipient must demonstrate non-financial benefits from the partnership agreement and the partner must agree to substantial involvement of RMA in the project. Indirect costs must be limited to ten percent of the total direct costs.

**Applicant Eligibility:**

Proposals are invited from all qualified public and private entities. Eligible applicants include all colleges and universities, Federal, State, local government agencies, Native American Tribal Organizations, nonprofit and for-profit private organizations or corporations, and other entities. Individuals are not eligible applicants.

**Beneficiary Eligibility:**

The research partnerships will result in the development of non-insurance risk management tools to be utilized by agricultural producers to assist them in mitigating the risks inherent in agricultural production.

**Credentials/Documentation:**

Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other facts may exclude an applicant from receiving Federal assistance under this program (e.g., debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Preapplication Coordination:**

None. This program is excluded under E.O. 12372.

**Application Procedure:**

This program is subject (as applicable) to the provisions of OMB Circular Nos. A-21, A-87, A-102, A-110, A-122, A-133 and FAR, Part 31. Eligible applicants submit proposals according to published guidelines (generally in the Federal Register). Objectives will vary for the research proposals solicited and funded each year. Application procedures and guidelines may change each year. See the yearly Request for Applications (RFA) for specific guidelines.

**Award Procedure:**

Project funds for successful applicants are awarded to recipients based upon a merit review (panel) of all applications that meet the objectives outlined in the RFA announcement. The evaluation of each application will be conducted by a panel of not less than three independent reviewers. The panel will be comprised of representatives from USDA, other federal agencies, and others representing public and private organizations, as needed. The panel will examine and score



applications based on the evaluation criteria and weights contained in the RFA. After assigning points based upon the evaluation criteria and weights, recommended applications will be listed in rank order and presented, along with funding level recommendations, to the Manager of FCIC, who will make the final selection and funding decisions.

**Deadlines:**

As specified in the RFA.

**Range of Approval/Disapproval Time:**

From 30 180 days as specified in the RFA.

**Appeals:**

Not applicable.

**Renewals:**

Renewal possible depending upon agency review and needs.

**Formula and Matching Requirements:**

This program has no statutory formula other than the general yearly funding availability established under section 522(e)(A) of the Federal Crop Insurance Act. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Each approved project will be funded for a period of up to three years for the activities described in the RFA. Projects can also be in two parts with the first part including the research and feasibility studies and the second part including the development, implementation, delivery and maintenance of the non-insurance risk management tool. If the development of the tool is determined not to be feasible, the partnership may be terminated by RMA after completion of the first part, with funding reduced accordingly.

**Reports:**

All partnership recipients will submit progress and financial reports throughout the project period as specified in the partnership agreement as well as a final program and financial report not later than 90 days after the end of the mutually agreed upon project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year except as noted in OMB Circular No. A-123.

**Records:**

Financial records, supporting documentation, statistical records and all other records pertinent to the partnership agreement must be retained for a period of at least 3 years after closing.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Partnerships) FY 07 \$4,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information concerning the Risk Management Agency and associated publications can be obtained using the public website at: <http://www.rma.usda.gov>.

**Regional or Local Office:**

Risk Management Agency, Stop 0813, 6501 Beacon Drive, Kansas City, MO 64133-4676. Telephone: (816) 926-6343. Fax: (816) 926-7343. E-mail: [www.RMARED.Applications@rma.usda.gov](mailto:www.RMARED.Applications@rma.usda.gov).

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

10.455, Community Outreach and Assistance Partnership Program; 10.457, Commodity Partnerships for Risk Management Education; 10.458, Crop Insurance Education in Targeted States; 10.459, Commodity Partnerships for Small Agricultural Risk Management Education Sessions.

**EXAMPLES OF FUNDED PROJECTS:**

FY 03: <http://www.rma.usda.gov/news/2003/10/03rdtable.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria are specified in the Request for Application.

## 10.457 COMMODITY PARTNERSHIPS FOR RISK MANAGEMENT EDUCATION

(Commodity Partnerships)

**FEDERAL AGENCY:**

RISK MANAGEMENT AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended. 7 U.S.C. 1522(d).

**OBJECTIVES:**

To deliver training and information in the management of production, marketing, and financial risk to U.S. agricultural producers, with a priority to producers of crops not insurable with federal crop insurance, specialty crops, and underserved commodities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of risk management education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for risk management and educational opportunities, (d) deliver educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the partnership agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay the for preparation of the partnership agreement application; (e) fund political activities; (f) pay costs incurred prior to receiving a partnership agreement (g) pay for alcohol, food, beverage, or entertainment; or (h) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of risk management education for farmers and ranchers in an RMA Region. Individuals are not eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving federal assistance under this program (e.g. debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers, with a priority for producers of crops not insurable by Federal crop insurance, specialty crops, and underserved commodities. Applicants receiving awards will ensure that such producers receive effective risk management education and information either directly or through agribusiness professionals that can impart risk management information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver risk management education and information programs to producers in the written narratives and statements of work that accompany applications.

**Preapplication Coordination:**

No preapplication coordination with governmental or nongovernmental units is required prior to the submission of a formal application. This program is excluded under E.O. 12372.

**Application Procedure:**

Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive partnership agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

The application due date is indicated in the Request for Applications notice and [www.Grants.gov](http://www.Grants.gov).

**Range of Approval/Disapproval Time:**

Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

The Request for Applications contains specifics on the limits of funding availability for individual projects. Although RMA prefers matching funds, this program has no matching requirement.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year.

**Reports:**

Quarterly performance reports are required which document project progress. In addition, a comprehensive final report is required which documents all educational activity conducted within the partnership project.

**Audits:**

Recipients are subject to audit by the Office of the Inspector General, USDA, as set forth in OMB Circular No. A-133, or in Federal Acquisition Regulations.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

FY 07 \$4,623,766; FY 08 \$0; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

FY 2007 funds provided direct risk management training to approximately 30,000 agricultural producers and assist in raising risk management awareness to the larger agricultural community.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced as a Request for Applications in the Federal Register, www.Grants.gov, and the RMA web site, along with specific information on obtaining an application package.

**Regional or Local Office:**

RMA has ten Regional Offices nationwide serving potential applicants. A listing may be obtained from the RMA web site or RMA Headquarters.

**Headquarters Office:**

Risk Management Agency, Risk Management Education Division, Department of Agriculture, Stop 0808, 1400 Independence Ave. S.W., Washington, DC 20250-0808. Telephone: (202) 720-5265. E-mail: rma.risk-ed@rma.usda.gov.

**Web Site Address:**

http://www.rma.usda.gov.

**RELATED PROGRAMS:**

10.455, Community Outreach and Assistance Partnership Program; 10.456, Partnership Agreements to Develop Non- Insurance Risk Management Tools for Producers (Farmers); 10.458, Crop Insurance Education in Targeted States; 10.459, Commodity Partnerships for Small Agricultural Risk Management Education Sessions.

**EXAMPLES OF FUNDED PROJECTS:**

A complete listing of projects funded under this program is provided on the RMA web site, or may be obtained by contacting RMA Headquarters.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the Request for Applications.

**10.458 CROP INSURANCE EDUCATION IN TARGETED STATES**

(Targeted States)

**FEDERAL AGENCY:**

RISK MANAGEMENT AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended. 7 U.S.C. 1524(a).

**OBJECTIVES:**

The purpose of this cooperative agreement program is to deliver crop insurance education and information to U.S. agricultural producers in certain, designated States that have been historically underserved with respect to crop insurance. The States, collectively referred to as Targeted States, are Connecticut, Delaware, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of crop insurance education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for crop insurance and educational opportunities, (d) deliver crop insurance educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the

objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the cooperative agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay for the preparation of the partnership agreement application; (e) fund political activities; (f) purchase alcohol, food, beverage, or entertainment; (g) pay costs incurred prior to receiving a partnership agreement; or (g) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of crop insurance education for farmers and ranchers in a Targeted State. Individuals are eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving federal assistance under this program (e.g. debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers in the Targeted States. Applicants receiving awards will ensure that such producers receive effective crop insurance education and information either directly or through agribusiness professionals that can impart crop insurance information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver crop insurance education and information programs to producers in the written narratives and statements of work that accompany applications.

**Preapplication Coordination:**

No preapplication coordination with governmental or nongovernmental units is required prior to the submission of a formal application. This program is excluded under E.O. 12372.

**Application Procedure:**

Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using www.Grants.gov.

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive cooperative agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

The application due date is indicated in the Request for Applications notice and www.Grants.gov.

**Range of Approval/Disapproval Time:**

Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

The Request for Applications contains specifics on the limits of funding availability for individual projects. Although RMA prefers matching funds, this program has no matching requirement.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year.

**Reports:**

Quarterly performance reports are required which document project progress. In addition, a comprehensive final report is required which documents all educational activity conducted within the partnership project.

**Audits:**

Recipients are subject to audit by the Office of the Inspector General, USDA, as set forth in OMB Circular No. A-133, or in Federal Acquisition Regulations.

**Records:**

The recipient will maintain at its place of business all records required by the

cooperative agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

FY 07 \$4,482,217; FY 08 est \$4,500,000; and FY 09 est \$4,500,000.

**Range and Average of Financial Assistance:**

\$157,000 to \$754,000 as announced in the Request for Applications.

**PROGRAM ACCOMPLISHMENTS:**

FY 2008 funds will provide direct crop insurance education training to approximately 20,000 agricultural producers and assist in raising risk management awareness to the larger agricultural community.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced as a Request for Applications in the Federal Register, www.Grants.gov and the RMA web site, along with specific information on obtaining an application package.

**Regional or Local Office:**

RMA has three Regional Offices serving potential applicants for the fifteen Targeted States. A listing may be obtained from the RMA web site or RMA Headquarters.

**Headquarters Office:**

Risk Management Agency, Risk Management Education Division, Department of Agriculture, Stop 0808, 1400 Independence Ave. SW, Washington, DC 20250-0808. Telephone: (202) 720-5265. E-mail: rma.risk-ed@rma.usda.gov.

**Web Site Address:**

http://www.rma.usda.gov.

**RELATED PROGRAMS:**

10.455, Community Outreach and Assistance Partnership Program; 10.456, Partnership Agreements to Develop Non- Insurance Risk Management Tools for Producers (Farmers); 10.457, Commodity Partnerships for Risk Management Education; 10.459, Commodity Partnerships for Small Agricultural Risk Management Education Sessions.

**EXAMPLES OF FUNDED PROJECTS:**

A complete listing of projects funded under this program is provided on the RMA web site, or may be obtained by contacting RMA Headquarters.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the Request for Applications.

**10.459 COMMODITY PARTNERSHIPS FOR SMALL AGRICULTURAL RISK MANAGEMENT EDUCATION SESSIONS**

(COMMODITY PARTNERSHIPS SMALL SESSIONS PROGRAM)

**FEDERAL AGENCY:**

RISK MANAGEMENT AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1522(d).

**OBJECTIVES:**

To deliver training and information during small sessions in the management of production, marketing, and financial risk to U.S. agricultural producers, with a priority to producers of crops not insurable with Federal crop insurance, specialty crops, and underserved commodities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of risk management education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for risk management and educational opportunities, (d) deliver educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the partnership agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay for the preparation of the partnership agreement application; (e) fund political activities; (f) purchase alcohol, food, beverage, or entertainment; (g) pay costs incurred prior to receiving a partnership agreement; or (h) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of risk management education for farmers and ranchers in an RMA Region. Individuals are not eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving Federal assistance under this program (e.g. debarment and suspension; a

determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers, with a priority for producers of crops not insurable by Federal crop insurance, specialty crops, and underserved commodities. Applicants receiving awards will ensure that such producers receive effective risk management education and information either directly or through agribusiness professionals that can impart risk management information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver risk management education and information programs to producers in the written narratives and statements of work that accompany applications.

**Preapplication Coordination:**

No preapplication coordination with governmental or nongovernmental units is required prior to the submission of a formal application. This program is excluded under E.O. 12372.

**Application Procedure:**

Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using www.Grants.gov.

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive partnership agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

The application due date is indicated in the Request for Applications notice.

**Range of Approval/Disapproval Time:**

Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

The Request for Applications contains specifics on the limits of funding availability for individual projects. Although RMA prefers matching funds, this program has no matching requirement.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year.

**Reports:**

Quarterly performance reports are required which document project progress. In addition, a comprehensive final report is required which documents all educational activity conducted within the partnership project.

**Audits:**

Recipients are subject to audit by the Office of the Inspector General, USDA, as set forth in OMB Circular No. A-133, or in Federal Acquisition Regulations.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

FY 07 \$415,655; FY 08 est \$500,000; and FY 09 est \$500,000.

**Range and Average of Financial Assistance:**

FY 07 Range: \$4,000 to \$10,000; FY 07 Average: \$9,666.

**PROGRAM ACCOMPLISHMENTS:**

FY 2008 funds will provide direct risk management training to approximately 3,000 agricultural producers and assist in raising risk management awareness to the larger agricultural community.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced as a Request for Applications in the Federal Register, www.Grants.gov, and the RMA website, along with specific information on obtaining an application package.

**Regional or Local Office:**

RMA has ten Regional Offices nationwide serving potential applicants. A listing may be obtained from the RMA website or RMA Headquarters.



**Headquarters Office:**

Risk Management Agency, Risk Management Education Division, Department of Agriculture, Stop 0808, 1400 Independence Ave. S.W., Washington, DC 20250-0808. Telephone: (202) 720-5265. E-mail: rma.risk-ed@rma.usda.gov.

**Web Site Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

10.455, Community Outreach and Assistance Partnership Program; 10.456, Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers); 10.457, Commodity Partnerships for Risk Management Education; 10.458, Crop Insurance Education in Targeted States.

**EXAMPLES OF FUNDED PROJECTS:**

A complete listing of projects funded under this program is provided on the RMA web site, or may be obtained by contacting RMA Headquarters.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the Request for Applications.

**10.475 COOPERATIVE AGREEMENTS WITH STATES FOR INTRASTATE MEAT AND POULTRY INSPECTION**

(Meat and Poultry Inspection State Programs)

**FEDERAL AGENCY:**

FOOD SAFETY AND INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Meat Inspection Act, Public Law 90-201, 21 U.S.C. 601-624, 641-645, 661, 671-680; 691-695; Federal-State Cooperative Act (Talmadge-Aiken), Public Law 87-718, 7 U.S.C. 450; Poultry Products Inspection Act, Public Law 90-492, 21 U.S.C. 451-471. Agriculture Marketing Act of 1946, as amended, 7 U.S.C. 1621-1627.

**OBJECTIVES:**

To supply Federal assistance to States desiring to operate a meat and poultry inspection program in order to assure the consumer an adequate supply of safe, wholesome, and properly labeled meat and poultry products.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To assist States that operate meat and poultry inspection programs which are equal to Federal meat and poultry inspection.

**Applicant Eligibility:**

An appropriate State or U.S. Territory agency administering State or Territorial meat or poultry inspection programs under laws equal to the Federal Meat and Poultry Products Inspection Acts.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Receipt of State inspection mandatory laws, copies of regulations related to the laws, and State performance plans. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Notify the Director, Federal-State Liaison Staff, Field Operations, Food Safety and Inspection Service, U.S. Department of Agriculture, Congressional Quarterly Building, Room 329, Washington, DC 20250-3700. Contact: Dr. Muriel Prasad. Telephone: (202) 418-8897. The applicant should express their interest and request copies of the cooperative agreements currently in use by participating States. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Federal funds for any year shall not exceed 50 percent of the estimated total costs of the cooperative program, and the Federal funds shall be allocated

equitably among the cooperating States.

**Length and Time Phasing of Assistance:**

Grants are awarded on an annual basis to States.

**Reports:**

Applicant will keep a complete accounting of the cost of developing and operating the State inspection program and will submit quarterly statements to the Food Safety and Inspection Service.

**Audits:**

State will arrange for an audit of the records pertaining to these agreements by the State Auditor of Public Accounts, annually or otherwise, as provided by applicable State law or regulations. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Other Non-Profit Organizations," State and local governments, that expend financial assistance of \$500,000 or more in a year in Federal awards, will have a single or a program-specific audit made for that year. State and local government.

**Records:**

Complete accounting records shall be available to the Comptroller General of the United States and to the authorized representatives of the Secretary of Agriculture.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Grants) FY 07 \$46,500,000; FY 08 est \$47,446,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

FY 07 \$93,000.00 to \$5,607,000.00; \$1,661,000.00; FY 08 \$95,000,000.00 to \$5,721,000.00; \$1,695,000.00.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 it is expected that 28 States will continue to cooperate under Federal Meat Inspection Act (FMIA) and 26 States will continue to cooperate under Poultry Products Inspection Act (PPIA).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FSIS Directive 5720.2, Revision 3, State Cooperative Inspection Programs.

**Regional or Local Office:**

See Appendix IV of the Catalog for a list of addresses of the District Offices.

**Headquarters Office:**

Director, Federal-State Liaison Staff, Field Operations, Food Safety and Inspection Service, Department of Agriculture, Congressional Quarterly Building, Room 329, Washington, DC 20250-3700. Contact: Dr. Muriel Prasad. Telephone: (202) 418-8897. (Use same 7-digit number for FTS.)

**Web Site Address:**

<http://www.fsis.usda.gov>.

**RELATED PROGRAMS:**

10.477, Meat, Poultry, and Egg Products Inspection.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.477 MEAT, POULTRY, AND EGG PRODUCTS INSPECTION****FEDERAL AGENCY:**

FOOD SAFETY AND INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Meat Inspection Act, Public Law 90-201, 21 U.S.C. 601-624, 641-645, 661, 671-680; 691-695; Poultry Products Inspection Act, Public Law 90-492, 21 U.S.C. 451-471; Humane Slaughter Act, Public Law 85-765, 7 U.S.C. 1901-1906; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C. 1031-1056; Agriculture Marketing Act of 1946, as amended, 7 U.S.C. 1621-1627.

**OBJECTIVES:**

To assure that all meat, poultry and egg products produced in plants and shipped in commerce are federally inspected for safety, wholesomeness, and proper labeling.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Meat, poultry, and egg products plants located within the United States or its Territories engaged in slaughtering or processing meat, poultry, and egg products for shipment in commerce are required to have inspection. All plants located within the U.S. or its territories processing egg products are required to be under continuous USDA inspection. The Department of Agriculture is reimbursed for overtime and holiday inspection services. Inspection not required under law is provided on request for a fee.

**Applicant Eligibility:**

Any meat or poultry plant planning to engage in slaughtering or processing meat and poultry products, and all egg products processing plants for shipment in commerce. This program is available in the U.S. and its Territories.

**Beneficiary Eligibility:**



General public (meat, poultry, and egg products.)

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A request for inspection should be submitted to the Meat, Poultry and Egg Products Inspection District Office, or to the Administrator.

**Award Procedure:**

Certification is made that the applicant meets the regulations on sanitation, and operating standards for the inspection of meat, poultry and egg products plant facilities and equipment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

Not applicable.

**Records:**

None.

**Account Identification:**

12-3700-0-1-554; 12-8137-0-7-352.

**Obligations:**

(Salaries and expenses for Account 12-3700-0-1-554); FY 07 \$840,906,692; FY 08 est 877,945,000; and FY 09 est not reported. (Salaries and expenses for Account 12-8137-0-7-352) FY 07 \$6,642,000; FY 08 est \$6,841,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, the program inspected operations at about 6,300 establishments which produced about 107.9 billion pounds of meat, poultry and egg products. The scope of program operations in fiscal years 2007 and 2008 will be similar.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MPI-7, Meat and Poultry Inspection Manual; Sanitation Handbook; 9 CFR 301-592, Inspection Regulations.

**Regional or Local Office:**

See Appendix IV of the Catalog for a list of addresses of the District Offices.

**Headquarters Office:**

Assistant Administrator, Field Operations, Food Safety and Inspection Service, Department of Agriculture, Washington, DC 20250. Contact: Kenneth Petersen. Telephone: (202) 720-8803. (Use the same number for FTS.)

**Web Site Address:**

<http://www.fsis.usda.gov>.

**RELATED PROGRAMS:**

10.475, Cooperative Agreements with States for Intrastate Meat and Poultry Inspection.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.479 FOOD SAFETY COOPERATIVE AGREEMENTS

**FEDERAL AGENCY:**

FOOD SAFETY AND INSPECTION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Public Law 108-7, Section 713, 117 Statute 39; Public Law 108-447; H.R. Conference Report 108-792.

**OBJECTIVES:**

To reduce the incidence of foodborne illnesses associated with meat, poultry, and egg products and to protect the food supply. FSIS is authorized to use cooperative agreements to reflect a relationship between FSIS and cooperators to carry out educational programs or special studies to improve the safety of the nation's food supply. Also, FSIS has been directed to further develop the Food Emergency Response Network, a network of Federal, state and local laboratories that provides the nation the analytic capabilities and capacity it needs to cope with agents threatening the food supply.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Available discretionary funds are contingent on annual appropriations. Work products, where appropriate, are to be made available for use by other government agencies and accessible by the general public.

**Applicant Eligibility:**

State, local and tribal government agencies; academic institutions and non-profit organizations.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded under E.O. 12372.

**Application Procedure:**

Academic institutions; State, local and tribal government agencies; and non-profit organizations are invited to submit brief proposals (two to four pages) for cooperative agreements in any of the areas described in the request for proposals along with an SF-424. These proposals will be reviewed by FSIS. The criteria used by FSIS to assess proposals are listed for each cooperative agreement program area in the request for proposals. Cooperators whose proposals are selected for further project development will need to discuss and reach agreement with FSIS on project details to permit establishment of a cooperative agreement. Unlike typical Federal grants, cooperative agreements involve a Federal agency's active participation with the cooperator during both project development and project execution. Work products, where appropriate, are to be made available for use by other government agencies and accessible by the general public. All proposals should address the following points: \* Project description, including specific goals, timeline, and deliverables; \* Description of national public benefit expected, including expected utility of work products, for example, training manuals, CDs, and videos; \* Projected costs, including cooperator contributions; \* Projected performance measures; \* Primary contact, principal investigator, and other likely participants, and; \* All work products may be freely reproduced and distributed by FSIS.

**Award Procedure:**

Cooperative agreement awards are made upon selection through a competitive process directed by the relevant FSIS program area. The program area identifies the awardees to the FSIS Administrative Services Division, which prepares and executes required documentation.

**Deadlines:**

Refer to the request for proposals for the applicable fiscal year which is advertised annually in the federal register and at [www.fsis.usda.gov/About\\_Fsis/Cooperative\\_Agreements/](http://www.fsis.usda.gov/About_Fsis/Cooperative_Agreements/).

**Range of Approval/Disapproval Time:**

Generally from 30 to 90 days from the deadline listed in the request for proposals.

**Appeals:**

Not applicable.

**Renewals:**

Renewals or extensions may be available under extraordinary circumstances if approved prior to the closing date of the initial agreements.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Generally, funding will be available for projects up to one year. Multi-year projects will be considered, but they are subject to annual renewal and may be affected by changes in FSIS' annual budget.

**Reports:**

The cooperative agreement will specify the frequency of submission of performance progress reports, which will not be more frequently than quarterly or less frequently than annually. Also, a comprehensive final report is required which documents all activities conducted within the partnership project.

**Audits:**

Recipients are subject to audit by the Office of the Inspector General, USDA, as set forth in OMB Circular No. A-133, or in Federal Acquisition Regulations.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the applicable OMB Circulars.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

FY 07 \$12,000 to \$100,000; \$52,000.

**PROGRAM ACCOMPLISHMENTS:**

The projects funded in fiscal year 2005 are expected to make demonstrable improvements in public health by promoting science-based reductions in the incidence of foodborne disease and other hazards associated with meat, poultry, and egg products, and to enhance food defenses through improved State and

local government laboratory participation in the Food Emergency Response Network.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

9 CFR 301-592, Inspection Regulations. Guidelines and literature can be found on FSIS website at [www.fsis.usda.gov](http://www.fsis.usda.gov).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Strategic Initiatives, Partnerships and Outreach Staff; Food Safety and Inspection Service (Mail drop 405 Aerospace); Department of Agriculture, 1400 Independence Avenue., SW., Washington, DC 20250; Telephone: (202)690-6520.

**Web Site Address:**

[www.fsis.usda.gov/About\\_Fsis/Cooperative\\_Agreements/](http://www.fsis.usda.gov/About_Fsis/Cooperative_Agreements/).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects are listed on FSIS web site at [www.fsis.usda.gov/About\\_Fsis/Cooperative\\_Agreements/](http://www.fsis.usda.gov/About_Fsis/Cooperative_Agreements/).

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the request for proposals.

## 10.500 COOPERATIVE EXTENSION SERVICE

**FEDERAL AGENCY:**

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Smith-Lever Act, as amended, 7 U.S.C. 341-349; District of Columbia Public Postsecondary Education Reorganization Act, Public Law 93-471; Food and Agriculture Act of 1977, as amended; Renewable Resources Extension Act of 1978, Section 1361(c), Public Law 95-306; Public Law 95-113, 7 U.S.C. 301n; Public Law 97-98; Agriculture and Food Act of 1981; Food Security Act of 1985, as amended, Public Law 99-198; Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public Law 102-624; Improving America's Schools Act of 1994, as amended, Public Law 103-382; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185; Agricultural Risk Protection Act of 2000, Public Law 106-224, Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

to help people improve their lives and communities through an educational process that uses scientific knowledge focused on issues critical to the economic, agricultural, societal, health/safety, and environmental progress of all Americans. Identify and solve their farm, home, and community problems through the practical application of research findings of USDA and the land-grant colleges and Universities. The Cooperative Extension System is a future-oriented, self-renewing, national educational network providing excellence in programs that focus on contemporary issues and needs of people.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Federal funding is made available to 1862, 1890, and 1994 Land-grant Institutions, which, through State and county extension service personnel, or by direct efforts provide educational and technical assistance to individuals, communities, organizations and other Federal and State authorized agencies for programs in the food and agricultural sciences. A facilities program, which is only authorized to fund projects at the 1890 Institutions for construction, renovation, planning and development of new facilities, and equipment is also conducted.

**Applicant Eligibility:**

By law, Extension programs, authorized and appropriated under the Smith-Lever Act, are made to the designated 1862 Land-Grant institutions in the 50 States and Puerto Rico, Guam, the Virgin Islands, American Samoa, Micronesia, Northern Marianas, and the District of Columbia, and are administered by the Director of the State Extension Service at each eligible institution. Funds also are made available to the 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University, under section 1444 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) and are administered by the Extension Administrator at each eligible institution. Under section 3(d) of the Smith-Lever Act, funds may be made available through formula grants or through a competitive process to both the 1862 Land-Grant Institutions and to the 1890 Land-Grant Institutions, if funds appropriated for that fiscal year exceed the FY 1995 level appropriated for that program. Funds are also made available on a competitive basis to the 1994 Land-grant institutions under 534(b) of the Equity in Educational Land-Grant Status Act of 1994. Funds also are made available to the 1890 Land-Grant Institutions for Facilities Grants on a formula basis under section 1447 of NARETPA. Funds also are made available on a formula basis to both the 1862

and 1890 Land-Grant Institutions under the Renewable Resources Extension Act.

**Beneficiary Eligibility:**

Extension Programs at the State and county level are available to the general public.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under Executive Order 12372 and OMB Circular No. A-102.

**Application Procedure:**

Institutions or States submit Plans of Work for the funds authorized under Sections 3 (b) and (c) of the Smith-Lever Act and Section 1444 of the National Agricultural Research, Education, and Extension Reform Act of 1977, to the Cooperative State Research, Education, and Extension Service, USDA, for approval. Eligible recipients will be notified by CSREES of any changes in the requirements for preparation of the Plan of Work. Eligible recipients, including the 1862, 1890, and 1994 Land-Grant Institutions, also may prepare grant proposals for review and approval of Cooperative State Research, Education, and Extension Service-USDA in response to Requests for Applications (e.g., Tribal Colleges Extension Services Program, AgrAbility Program, Children, Youth, and Families At-Risk Program. This program is subject to the provisions of OMB Circular No. A-21, A-110, and A-133.

**Award Procedure:**

Payments are made to State Land-grant institutions basically on a formula basis for an approved Plan of Work. Competitive grant awards also are made upon selection through a competitive process.

**Deadlines:**

Eligible recipients will be notified by CSREES of any changes in Plan of Work or reporting deadlines or related requirements. Deadlines for competitive programs are identified in the Request for Applications.

**Range of Approval/Disapproval Time:**

Plans of work are approved or returned for revision or additional information within 60 days after receipt. Project proposals are reviewed, approved, and awarded within 60 days of designated submission dates.

**Appeals:**

Not applicable.

**Renewals:**

Grant recipients may renew or extend projects with CSREES approval.

**Formula and Matching Requirements:**

Smith-Lever Act Section 3(b) and 3(c), and Section 1444 of the Food and Agriculture Act of 1977 formula funds are distributed to States based on farm and rural population. Funds authorized under Section 3(d) of the Smith-Lever Act for the Expanded Food and Nutrition Education Program are allocated based on population below the poverty level. The source for both of these distributions is the last preceding decennial census at the time an additional amount is first appropriated. Formula funds provided under the Smith-Lever Act Section 3(b) and (c) and under Section 1444 of the Food and Agriculture Act of 1977 are matched as required in Public Law 105-185. The statistical factor used for eligibility does not apply to this program.

**Length and Time Phasing of Assistance:**

Formula Grants are a continuing program each year. Funds are made available through the electronic transfer system. 1862 Land-grant institutions in the 50 States, District of Columbia, American Samoa, Guam, Puerto Rico, Micronesia, Northern Marianas and the Virgin Islands are permitted to carry over unexpended balances to the next year for up to five years. 1890 Land-Grant Institutions are permitted to carry over twenty percent of unexpended funding to the next year; funding not expended in the subsequent year will reduce future allocations.

**Reports:**

Annual financial and statistical reports are furnished to the Cooperative State Research, Education, and Extension Service-USDA, by the State Extension Service and other recipients.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records on annual expenditures are maintained in accordance with university or State Extension Service regulations.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

FY 07 \$431,247,815; FY 08 est \$410,099,340; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$890,000 to \$19,962,000; \$7,210,000.

**PROGRAM ACCOMPLISHMENTS:**

Significant accomplishments include: (1) A university worked with community residents to assess needs and strengths, develop resources and implement customized programs to reduce developmental risks for child and youth; (2) Funding has helped one State implement a pro-active educational approach to pest control to minimize the likelihood of potential problems for apples, sweet corn, tomatoes, peppers, field corn, turfgrass, several nursery crops and greenhouse crops.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines applicable to this program include: 7 CFR Part 3; 7 CFR Part 3015; 7 CFR Part 3017; 7 CFR Part 3018; 7 CFR Part 3019; 7 CFR Part 3052. Many different publications are available from State and county extension offices. Most are free, some are sold at nominal cost. In addition, Department of Agriculture publications may be obtained from the Cooperative State Research, Education, and Extension Service; United States Department of Agriculture; Policy, Oversight, and Funds Management Branch, Stop 2298; 1400 Independence Avenue, SW; Washington, DC 20250-2298.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Deputy Administrator, Planning and Accountability; Cooperative State Research Education, and Extension Service; Department of Agriculture; 1400 Independence Avenue, SW., Washington, DC 20250. Telephone: (202) 720-5623.

**Web Site Address:**

<http://www.recusda.gov>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.025, Plant and Animal Disease, Pest Control, and Animal Care; 10.053, Dairy Indemnity Program; 10.153, Market News; 10.155, Marketing Agreements and Orders; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205, Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.477, Meat, Poultry, and Egg Products Inspection; 10.652, Forestry Research; 10.800, Livestock, Meat and Poultry Market Supervision; 10.902, Soil and Water Conservation; 15.611, Wildlife Restoration; 23.009, Appalachian Local Development District Assistance; 93.103, Food and Drug Administration\_Research.

**EXAMPLES OF FUNDED PROJECTS:**

Identifying Field Parameters for Successful Postemergence Weed Management in Corn; Reducing Herbicide Input and Increasing Economic Output with Site-Specific Weed Management; National Network for Health; 4-H Communities Collaborating for Youth.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM****FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food Stamp Act of 1977, as amended, Public Law 95- 113, 91 Stat. 958, 7 U.S.C. 2011 et seq.; Public Law 95-348, Public Law 96-58, Public Law 96-249, Public Law 97-35; Public Law 97-98; Public Law 97-253, Public Law 98-204, Public Law 98-369; Public Law 99-198, Public Law 99-425; Public Law 99-498, Public Law 99-603, Public Law 100-77, Public Law 100-175, Public Law 100-232, Public Law 100-387, Public Law 100-435, Public Law 100-503, Public Law 100-707, Public Law 101-202; Public Law 101-392; Public Law 101-508; Public Law 101-624; Public Law 102-237; Public Law 102-265; Public Law 102-325; Public Law 103-31; Public Law 103-66; Public Law 103-225; Public Law 103-286; Public Law 103-296; Public Law 104-66; Public Law 104-127; Public Law 104-193; Public Law 104-208; Public Law 105-18; Public Law 105-33; Public Law 105-185; Public Law 105-379; Public Law 106-171; Public Law 106-387; Public Law 107-171; Public Law 110-161.

**OBJECTIVES:**

To improve the health of low-income households by increasing their food purchasing ability.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Households receive Supplemental Nutrition Assistance Program (SNAP) benefits (Formally known as Food Stamp Program benefits) which vary according to household size and income. The maximum allotment is based on the USDA Thrifty Food Plan adjusted for household size; household allotments are based on Thrifty Food Plan amounts reduced by 30 percent of the available income after deducting certain expenses. SNAP benefits are issued via electronic debit cards (Electronic Benefit Transfer) and for use in participating retail stores to buy food for home consumption. The program is available to a limited number of institutionalized persons: drug addicts and alcoholics who are participating in approved rehabilitation centers, disabled or blind persons

receiving benefits under Titles I, II, X, XIV, or XVI of the Social Security Act living in certain group living arrangements, residents of shelters for battered women and children, and homeless persons living in authorized shelters.

**Applicant Eligibility:**

The State or U.S. Territory agency responsible for Federally aided public assistance programs submits requests for funding to USDA's Food and Nutrition Service.

**Beneficiary Eligibility:**

Households eligibility and benefit amounts are determined by local social service agencies. Eligibility is based on family size, income, and resources. A gross income test is based on 130 percent of the poverty line, and the net income (after expenses) test is based on 100 percent of the poverty line. Households with elderly and disabled members need only meet the net income test. The resource limit is \$2,000 (\$3,000 for a household with an elderly or disabled member). Able-bodied adults with certain limited exceptions must meet a work requirement. Eligibility is limited to citizens and, most but not all, immigrants granted permanent legal status.

**Credentials/Documentation:**

Households are certified by local social service offices based on National eligibility standards. Regulations require key eligibility factors to be verified. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

The Food Stamp Act of 1977, as amended (Public Law 95-113), requires each State agency to submit to the Food and Nutrition Service for approval, a plan of operation specifying the manner in which the Supplemental Nutrition Assistance Program will be conducted in every political subdivision within the State. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Secretary of Agriculture approves State plans of operation submitted by the State agency that operates public assistance programs.

**Deadlines:**

The authority to continue the Supplemental Nutrition Assistance Program has been extended through September 30, 2008.

**Range of Approval/Disapproval Time:**

Full implementation of the Nationwide mandate was completed in fiscal year 1975, except for certain Indian reservations which continued in the Food Distribution Program.

**Appeals:**

None.

**Renewals:**

Program continues once approved, unless there is a substantial failure to comply with regulations or withdrawal on the part of the State.

**Formula and Matching Requirements:**

Department of Agriculture pays 100 percent of the cost of benefits to individuals and households. The statistical factors used to set benefit levels are: (1) Cost of the thrifty food plan and the source is the Center for Nutrition Policy and Promotion; and (2) the Consumer Price Index (CPI) and components of the CPI (National, except for territories outside the continental United States) and the source is the Bureau of Labor Statistics (CPI for urban wage earners and clerical workers annually). The statistical factor used for eligibility is nonfarm poverty income guidelines and the source is the Federal poverty guidelines (modified).

**Length and Time Phasing of Assistance:**

Length of assistance period varies and time phasing is not applicable.

**Reports:**

Annual budget summary statements; monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year.

**Audits:**

Programs operated by the State or on behalf of the State are subject to audit by Office of Inspector General, USDA.

**Records:**

Records of households certified, benefits issued, and records relating to any financial transaction are required and must be maintained for 3 years.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

FY 07 \$30,319,569,235; FY 08 est \$33,616,777,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Varies by income and family size. Averaged \$95.64 per month, per person, in fiscal year 2007.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, every area in every State operated a Supplemental Nutrition Assistance Program. Participation per month averaged 26.47 million persons.



## REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR 271-282. Available from the national office and the regional offices:  
"Facts About the Food Stamp Program, "PA-1340 (English) and PA-1340-S (Spanish); "Official Food List," FNS-110 (English), FNS-110-S (Spanish), FNS-110-K (Korean), FNS-110-V (Vietnamese), FNS-110 (English/Chinese), FNS-110-Alaska; FNS-136 EBT Do's and Don'ts/Penalties for Violations of the FSP; "USDA Food Assistance" (poster) FNS-200, fns-200-S (Spanish); "USDA Food Assistance" (flyer), FNS-182 (English), FNS-182-S (Spanish); Food Stamp Rights Poster, FNS-183 (English) and FNS-183-S (Spanish); Using Food Stamps Poster, FNS-283 (English) and FNS-283-S (Spanish); Team Nutrition Series of flyers (English/Spanish); "We Accept Food Stamps" (poster), FNS-132; "We Accept Food Stamps" (decal); FNS-1325, "We Accept Food Stamps" (Spanish), (poster and decal); FNS-240 (English) Report Abuse Poster.

### Regional or Local Office:

See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

### Headquarters Office:

Associate Administrator, Supplemental Nutrition Assistance Program, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Jessica Shahin, Acting Associate Administrator, Supplemental Nutrition Assistance Program. Telephone: (703) 305-2026. Use the same number for FTS.

### Web Site Address:

<http://www.fns.usda.gov/fsp/>

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 10.553 SCHOOL BREAKFAST PROGRAM

### FEDERAL AGENCY:

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE AUTHORIZATION:

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1773, 1779, Public Laws 104-193, 100-435, 99-661, 97-35.

### OBJECTIVES:

To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Federally appropriated School Breakfast Program funds are available to reimburse participating public and nonprofit private schools, of high school grade and under and residential child care institutions, for breakfasts, meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. The rates of reimbursement are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for all Urban Consumers. For the period July 1, 2007 through June 30, 2008, the rates of reimbursement are 24.0 cents for paid breakfasts, 105.0 cents for each reduced price breakfast, and 135.0 cents for each free breakfast. The maximum reduced price charged for breakfast is 30 cents. Schools serving 40 percent or more free and reduced price lunches in the second preceding school year get up to 131.0 cents and 161.0 cents for each breakfast served to children qualifying, respectively, for a reduced price and a free breakfast. All participating schools must agree to serve free and reduced price meals to eligible children, and to operate the program on a nonprofit basis for all children regardless of race, sex, color, National origin, age, or disability. Federal program funds for the School Breakfast Program are provided to each State agency in a Child Nutrition block grant along with program funds for the National School Lunch Program, the Special Milk Program for Children, the Summer Food Service Program for Children, and the Child and Adult Care Food Program. Congress has given some leeway to States to determine how this block of money will actually be allocated among these programs at the State level based on program needs.

### Applicant Eligibility:

State and U.S. Territory agencies; (except territories subject to the requirements to the Compact of Free Association) public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers. Schools desiring to participate must agree to operate a nonprofit breakfast program that is available to all children regardless of race, sex, color, National origin, age, or disability.

### Beneficiary Eligibility:

All children attending schools where the breakfast program is operating may participate. Breakfast is served free to children who are determined by local educational agencies to have household income levels at or below 130 percent, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the federal poverty line, respectively. Meals served to non-needy children also get cash assistance. Such determinations are

made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary prescribes these income eligibility guidelines by July 1; the statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive food stamps, the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, and migrant children are automatically eligible for free meals.

### Credentials/Documentation:

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019).

### Preapplication Coordination:

The application forms as furnished by the State agency or FNS, as applicable, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

### Application Procedure:

Public schools in all States make application to the State Educational Agency unless the State applies or is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State Educational Agency in most States. In some States, however, the State Educational Agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application will be referred to the alternate State agency or the appropriate Food and Nutrition Service regional office.

### Award Procedure:

When application is approved, schools make agreements with appropriate agency.

### Deadlines:

Please contact the program contact listed in the Information Contacts section below.

### Range of Approval/Disapproval Time:

Agreements become effective upon approval by the State Agency or FNSRO, where applicable.

### Appeals:

None. The State Agency or Food and Nutrition Service regional office, where applicable, is responsible for determining a school's eligibility.

### Renewals:

Permanent, amended as necessary.

### Formula and Matching Requirements:

Federal funds are made available for breakfast assistance in accordance with Section 4 of the Child Nutrition Act on a performance basis by: (1) multiplying the number of paid breakfasts served to eligible children during the fiscal year by a National Average Payment (NAP); (2) multiplying the number of breakfasts served free to eligible children by a NAP prescribed by the Secretary for free breakfasts; and, (3) multiplying the number of reduced price breakfasts served to eligible children by a NAP prescribed by the Secretary for reduced-priced breakfasts. The amount of Federal funds given the grantee is the sum of the products obtained from these three computations, plus an additional 6 cents for every breakfast served. Schools with a high percentage of needy may receive additional payments. The statistical factors used in this formula are: (1) The NAP's; (2) the number of paid breakfasts served; and (3) the number of breakfasts served free or at reduced price to eligible children. The NAP's are prescribed by the Secretary and adjusted each July 1, in accordance with the Food Away From Home component of the Consumer Price Index for All Urban Consumers. The source of this adjustment factor is the Bureau of Labor Statistics. The source of the numbers of breakfasts served, including the number served free or at reduced price, is the monthly programmatic reports submitted to Food and Nutrition Service. This program has no maintenance of effort (MOE) requirements.

### Length and Time Phasing of Assistance:

For the period covered by the agreement on a fiscal-year basis.

### Reports:

State Agencies, schools and institutions file monthly reports on the number of meals served, by type, to claim for reimbursement. Schools and institutions must submit final meal claims to the State no later than 60 days after claiming month. States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. States must submit a final fiscal year grant closeout report to the Food and Nutrition Service no later than 120 days after the end of the fiscal year to which they pertain.

### Audits:

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments, and non profit organizations that expended \$500,000 or more under Federal awards within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be



conducted less frequently under conditions specified in OMB Circular A-133.

**Records:**

Schools must maintain full and accurate records of the breakfast program. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, records shall be retained beyond the 3 year period until audit findings have been resolved.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Grants) FY 07 \$2,228,842,422; FY 08 est \$2,367,186,000; and FY 09 est \$2,522,286,000.

**Range and Average of Financial Assistance:**

Average Federal cash assistance for school year 2007 ranged from 24.0 to 157.0 cents per meal depending upon income levels of the individual participant and upon the number of free and reduced price meals served by the school. Individual State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

The number of schools and children participating in the breakfast program has been increasing. In fiscal year 2007, over 1.71 billion breakfasts were served, 80.3 percent to needy children. School breakfasts must provide, over a school week, 1/4 of the Recommended Dietary Allowances for key nutrients and 1/4 of the calories needed by growing children. They also must conform to the recommendations of the Dietary Guidelines for Americans, including limitations on calories from fat (no more than 30 percent of total calories) and saturated fat (less than 10 percent of total calories).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 220-School Breakfast Program regulations, 7 CFR Part 245-Determining Eligibility for Free and Reduced Price Meals and Free Milk in Schools.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Headquarters Office Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2590. Contact: Cynthia Long, Director.

**Web Site Address:**

<http://www.fns.usda.gov/cnd>.

**RELATED PROGRAMS:**

10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558, Child and Adult Care Food Program; 10.559, Summer Food Service Program for Children; 84.010, Title I Grants to Local Educational Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.555 NATIONAL SCHOOL LUNCH PROGRAM

(School Lunch Program)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National School Lunch Act, as amended, 42 U.S.C. 1751 1760, 1779.

**OBJECTIVES:**

To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federally appropriated National School Lunch Program funds are available to each State agency to reimburse participating public and nonprofit private schools, of high school grades or under, including residential child care institutions, for lunches meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. Schools meeting eligibility criteria may be reimbursed for snacks served to children enrolled in eligible after school hour care programs. Participating schools are reimbursed at rates that are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers. For the period July 1, 2007, through June 30, 2008, the rates of reimbursement are 23.00 cents general cash assistance for paid lunches, 207.00 cents reduced price lunches and 247.00 cents for each free lunch. The maximum reduced price charge for lunch is 40 cents. Schools that served 60 percent or more free or reduced price lunches in the second preceding school year received an additional 2 cents general cash assistance for all lunches served. The reimbursement for snacks in after school care programs is 68.00 cents for each free snacks, 34.00 cents for each reduced

price snack and 6.00 cents for each paid snack. In addition to cash reimbursement, the national average value of donated commodities for each lunch is 18.75 cents, for the period July 1, 2007, through June 30, 2008, and is adjusted annually to reflect changes in the Price Index for Food Used in Schools and Institutions. All participating schools must agree to serve free and reduced price meals to eligible children. Federal program funds for the National School Lunch Program are provided to each State agency in a Child Nutrition block grant along with program funds for the School Breakfast Program, the Special Milk Program for Children, the Summer Food Service Program for Children, and the Child and Adult Care Food Program. Congress has given some leeway to States to determine how this block of money will actually be allocated among these programs at the State level based on program needs.

**Applicant Eligibility:**

State and U.S. Territory agencies (except territories subject to the Compact of Free Association), public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers, residential summer camps that participate in the Summer Food Service Program for children and private foster homes. Schools and residential child care institutions desiring to participate must agree to operate a nonprofit food service that is available to all children regardless of race, sex, color, National origin, age, or disability.

**Beneficiary Eligibility:**

All children enrolled in schools where the lunch program is operating may participate. Lunch is served free to children who are determined by local educational agencies to have household income levels at or below 130, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the poverty line respectively. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary announces these income eligibility guidelines by July 1. The statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive food stamps, the Food Distribution Program on Indian Reservations, in most cases, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, and migrant children are also automatically eligible for free meals.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019).

**Preapplication Coordination:**

The application forms as furnished by FNS or the State agency, as applicable, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

Public schools in all States make application to the State educational agency unless the State applies and is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State educational agency in most States. In some States, however, the State educational agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application should be submitted to the alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

The State agency, or Food and Nutrition Service Regional Office (FNSRO) where applicable, reviews the written application of a school or a residential child care institution and, upon determination of eligibility, makes a written agreement with the school or institution for participation in the program.

**Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time Agreements become effective upon approval by the State agency or FNSRO, where applicable.

**Appeals:**

None. The State agency or FNSRO, where applicable, is responsible for determining a school's eligibility.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

The funding formula for the general cash for food assistance phase of the program is set forth in Section 4 of the National School Lunch Act, as amended; the formula for special cash assistance is described in Section 11 of the Act. The program is funded on a performance basis. For every lunch served during the applicable fiscal year, the State receives a payment from funds made available under Section 4. In addition, the State receives a payment from Section 11 funds

for each lunch served to a child eligible for free or reduced price lunches. The amounts of such per-lunch payments are determined by "National Average Payment" (NAP) factors. The amount due the State under this program is obtained by: (1) multiplying the total number of eligible paid lunches and free and reduced price lunches served during the fiscal year by the Section 4 NAP factor for lunches; (2) multiplying the number of free lunches served by the Section 11 NAP factor for free lunches; (3) multiplying the number of lunches served at reduced price by the Section 11 NAP factor for reduced price lunches; (4) multiplying the total number of lunches served during the fiscal year in school food authorities which served 60 percent or more free or reduced price lunches in the second preceding school year by \$.02; and (5) adding together the four products obtained thereby. The NAP factors are prescribed by the Secretary in accordance with Sections 4 and 11, respectively, of the Act; the numbers of lunches are obtained from programmatic reports submitted to Food and Nutrition Service. In addition, the funding formula for snacks in after school care programs is described in Section 17 A of the Act. Section 11(a)(3) of the Act requires that the NAP factors be adjusted annually, according to changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers; the source is the Bureau of Labor Statistics. Each State must appropriate from State revenues and use, for program purposes, an amount equal to 30 percent of the Section 4 funds made available to the State in the 1980-81 school year. Also, commodity schools are eligible to receive donated commodities equal in value to the sum of section 6 and section 4 assistance rates, except that up to 5 cents of this amount may be received in cash for processing and handling commodities. In addition, commodity schools are eligible for Section 11 free and reduced price meal reimbursements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis.

**Reports:**

State agencies and schools file monthly reports on the number of meals served, by type, to claim program funds. School food authorities must submit final meal claims to the State no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments, and nonprofit organizations that expended \$500,000 or more under Federal awards within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Schools must maintain full and accurate records of their lunch programs. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Grants) FY 07 \$7,836,173,913; FY 08 est \$8,209,848,000; and FY 09 est. \$8,599,755,000.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance Average Federal cash for school year 2007 was 142.00 cents per meal and ranged from 6.0 cents for "paid" snacks to 291.00 cents for free lunches in school districts serving more than 60 percent free and reduced price lunches. State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 5.07 billion lunches were served. School lunches must provide, over a school week, 1/3 of the Recommended Dietary Allowances for key nutrients and 1/3 of the calories needed by growing children. They also must conform to the recommendations of the Dietary Guidelines for Americans, including limitations on calories from fat (no more than 30 percent of total calories) and saturated fat (less than 10 percent of total calories) averaged over the school week. To support nutrition education USDA has established Team Nutrition to provide nutrition information to children and their families and technical assistance for local school food service professionals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2590. Contact: Cynthia Long, Director.

**Web Site Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

10.553, School Breakfast Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558, Child and Adult Care Food Program; 10.559, Summer Food Service Program for Children; 84.010, Title I Grants to Local Educational Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.556 SPECIAL MILK PROGRAM FOR CHILDREN**

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE  
**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1772 and 1779.

**OBJECTIVES:**

To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are made available to State agencies to encourage the consumption of fluid milk by children in public and private nonprofit schools of high school grade and under, public and private nonprofit nursery schools, child-care centers, settlement houses, summer camps, and similar nonprofit institutions devoted to the care and training of children, except Job Corps Centers, provided that these schools and institutions do not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. The Child Nutrition Amendments of 1986 expanded eligibility in the program to include children in split session kindergarten and pre-kindergarten programs in nonprofit schools and institutions who do not have access to the Federal meal service program operating in schools the children attend. Disbursement to States is made on the basis of the number of half pints of milk served to non-needy children, using a reimbursement rate specified by law. Milk served free to eligible needy children is reimbursed at the average cost of a half pint of milk. Federal program funds for the Special Milk Program for Children are provided to each State agency in a Child Nutrition block grant along with program funds for the School Breakfast Program, the National School Lunch Program, the Summer Food Service Program for Children, and the Child and Adult Care Food Program. Congress has given some leeway to States to determine how this block of money will actually be allocated among these programs at the State level based on program needs.

**Applicant Eligibility:**

Any State or U.S. Territory (except territories subject to the requirements of the Compact of Free Association). Any public and nonprofit private school of high school grade or under, and public and private nonprofit residential and nonresidential child care institutions, except Job Corps Centers, may participate in the Special Milk Program upon request if it does not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. This generally includes nonprofit nursery schools, child-care centers, settlement houses and summer camps. Schools with split session kindergarten and pre-kindergarten programs can receive subsidies for milk served to children in the split session kindergartens and pre-kindergartens who do not have access to another meal service program operating in the school. All schools and child care institutions which participate must agree to operate the program on a nonprofit basis for all children without regard to race, sex, color, National origin, age or disability.

**Beneficiary Eligibility:**

All children enrolled in schools and institutions in which the Special Milk Program is in operation may participate in the program.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019).

**Preapplication Coordination:**

The application forms as furnished by the State agency or Food and Nutrition Service, as applicable, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

Public schools in all States make application to the State educational agency unless the state applies and is approved a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. In most cases, nonprofit private schools and institutions also apply to the State educational agency. However, in some States, the State educational agency is prohibited by

State statute from disbursing Federal funds to nonprofit private schools and institutions. In such instances, the application will be referred to the appropriate alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

The State agency or the FNSRO, where applicable, reviews the written application of school or child care institution and, upon determination of eligibility, makes a written agreement with school or sponsor for participation in the program.

**Deadlines:**

Federal/State agreement must be signed.

**Range of Approval/Disapproval Time:**

Agreements are effective upon approval of the State Agency or the FNSRO, where applicable.

**Appeals:**

None. State agencies or the FNSRO, where applicable, are responsible for determining eligibility of a school or institution.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

The reimbursement rate for each paid half pint of milk served to children with household income levels above 130 percent of the poverty line in schools and institutions that participate in the Special Milk Program during school year 2007-08 is 17.0 cents, and the reimbursement rate for each 1/2 pint of milk served free (in pricing programs with a free milk option) to children with household income levels at or below 130 percent of poverty is the average cost of 1/2 pint of milk. This rate is adjusted each school year to correspond to the change in the Producer Price Index for Fluid Milk Products published by the Bureau of Labor Statistics. The statistical factor used for beneficiary eligibility for free milk is 130 percent of the poverty line and the source is the Federal income poverty guidelines. There is no matching guideline. The cost of milk in excess of the Federal reimbursement must be borne by sources within the States (7 CFR Part 215). Disbursement to States is based on the number of half pints served to children. This program has no maintenance of effort (MOE) requirement.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal year basis.

**Reports:**

State agencies, schools and institutions file monthly reports on program operations to claim for reimbursement. Schools must submit final claims to the State agency no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments, and nonprofit organizations that expended \$500,000 or more under Federal awards within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

Schools and institutions must maintain full and accurate records of Special Milk Program operations. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain except that, if audit findings have not been resolved, the records shall be retained as long as required for their resolution. This program is subject to periodic audits.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Grants) FY 07 \$14,224,678; FY 08 est \$15,006,000; and FY 09 est \$13,867,000.

**Range and Average of Financial Assistance:**

For fiscal year 2007, average Federal assistance is 17.0 cents for each half-pint of milk served to children with income levels above 130 percent of poverty. State grants vary according to participation in the program. Average Federal assistance for half-pints served free is 17.0 cents.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 215, "Special Milk Program for Children," and 7 CFR Part 245, "Determining Eligibility of Free and Reduced Price Meals and Free Milk in Schools."

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Cynthia Long, Director. Telephone: (703) 305-2590.

**Web Site Address:**

<http://www.fns.usda.gov/cnd>.

**RELATED PROGRAMS:**

10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.557, Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558, Child and Adult Care Food Program; 10.559, Summer Food Service Program for Children; 84.010, Title I Grants to Local Educational Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.557 SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN**

(WIC Program)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, Section 17, 42 U.S.C. 1786.

**OBJECTIVES:**

To provide low-income pregnant, breastfeeding and postpartum women, infants, and children to age five determined to be at nutritional risk, at no cost, supplemental nutritious foods, nutrition education, and referrals to health and social services.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants are made to State health departments or comparable agencies, Indian tribes, bands, or intertribal councils, or groups recognized by the Bureau of Indian Affairs, Department of the Interior, or the Indian Health Service of the U.S. Department of Health and Human Services. These agencies distribute funds to participating local public or nonprofit private health or welfare agencies. Funds are expended to pay for supplemental foods, nutrition education and health care referrals for participants, as well as specified administrative costs, including certification services. State agencies are provided Federal funds according to legislative and regulatory formulas. Only local agencies qualifying under State agency applications with formal agreements may operate WIC programs.

**Applicant Eligibility:**

A local agency is eligible to apply to deliver locally the services of the WIC Program, provided that: (1) it serves a population of low-income women, infants, and children at nutritional risk; and (2) it is a public or private nonprofit health or human service agency. All local agencies must apply through the responsible State, Indian Tribal Organization or U.S. Territory agency.

**Beneficiary Eligibility:**

Pregnant, breastfeeding and postpartum women, infants, and children up to 5 years of age are eligible if: (1) they are individually determined by a competent professional to be in need of the special supplemental foods supplied by the program because of nutritional risk; and (2) meet an income standard, or receive or have certain family members that receive benefits under the Food Stamp, Medicaid or Temporary Assistance for Needy Families Programs. They must also reside in the State in which benefits are received.

**Credentials/Documentation:**

Individuals are certified as meeting an income standard, or as participating in certain other means-tested Federal programs. Certification regarding nutritional need for supplemental foods is determined by local level professionals. As of April 1999, all State agencies were using uniform criteria to determine nutrition risk. Costs are determined in accordance with OMB Circular No. A-87 for State and local governments. The State designated official responsible for ensuring that the program is operated in accordance with program requirements must sign the State Plan and Federal-State Agreement pursuant to program regulations.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration," as required by legislation. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by FNS and required by OMB Circular No. A-102, as implemented by 7 CFR part 3016, must be used for this program by State and local agencies.

**Application Procedure:**

Local agencies must apply to the State agency in writing. Individual participants apply for WIC benefits at an approved local agency.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies for distribution to approved local agencies subject to available funds.



**Deadlines:**

A State plan for the next fiscal year is required by August 15. Only substantive changes to the currently approved State plan must be submitted.

**Range of Approval/Disapproval Time:**

Approval determination is made within 30 days of submission of a completed plan or amendment.

**Appeals:**

Local agency or food vendor appeals: The State agency provides a hearing appeal procedure for a food vendor or local agency adversely affected by certain State or local agency actions. The adverse action may be postponed until a hearing decision is reached. Participant appeals: The State agency provides a hearing appeal procedure for any individual that receives a State or local agency action that results in a claim for repayment of the cash value of improperly issued benefits, denial of participation, or disqualification from the WIC Program.

**Renewals:**

The program is authorized through September 30, 2009; it presently operates under the authority of the Child Nutrition Act of 1966, as amended.

**Formula and Matching Requirements:**

Grants are allocated on the basis of formulas determined by the Department of Agriculture which allocate funds for food benefits, and nutrition services and administration costs. No matching funds are required, but some States contribute nonfederal funds in support of a larger WIC Program in their State.

**Length and Time Phasing of Assistance:**

Grants are released for the fiscal year using an electronic transfer system. State agencies may withdraw funds only as needed.

**Reports:**

Monthly report of participation, value of food or food instruments issued, operating expenses, and funds withdrawn from the Federal letter of credit.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments and Nonprofit organizations that expend a total amount of Federal awards equal to or in excess of \$500,000 in any fiscal year shall have either a single audit or (in certain cases stated in the Circular) a program-specific audit made for such fiscal year. Audit rules provided by OMB Circular A-133 must be applied for audits of grantee and subgrantee fiscal years that began on or after July 1, 1996. Authority to conduct such audits less frequently than annually is limited to: (1) State or local governments required by constitution or statute, in effect on January 1, 1987, to undergo audits less frequently than annually; and (2) nonprofit organizations that had biennial audits for all biennial periods ending between July 1, 1992 and January 1, 1995. If a biennial audit is authorized, the audit must cover the two year period.

**Records:**

Full and complete records concerning program operations including financial operations, food delivery systems, food instrument issuance and redemption, equipment purchases and inventory, certification, nutrition education, civil rights and fair hearing procedures.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Grants for food) FY 07 \$5,547,776,650; FY 08 est \$6,250,280,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$71,977 to \$891,953,017. Average: \$59,056,900 in fiscal year 2006 for the 90 State Agencies.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, FNS approved the operation of the WIC Program in 90 State agencies. This figure includes 50 States, 34 Indian agencies, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Marianas and the District of Columbia. As of September 2007, an average of approximately 8,285,249 women, infants and children received WIC benefits every month. Although food package costs varied widely among the States, the monthly average food package cost as of September 2007 was approximately \$39.09 per person. For fiscal year 2007, the WIC Program realized over \$1.9 billion in savings generated by infant formula rebates, which allowed approximately 2.2 million additional participants to be served with the WIC grant. In its continuing effort to advance new technologies, FNS awarded approximately \$5.2 million in Electronic Benefits Transfer (EBT) grants to 6 WIC State agencies in FY 2007, in support of EBT projects. The WIC Program State Agency Model (SAM) Project is a FNS initiative to plan, develop and deploy model information systems (IS) in WIC State agencies. The SAM project was initiated by FNS at the request of the Office of Management and Budget, with the expectation that these modern, state-of-the-art systems will be transferred to other WIC State agencies at a lower cost than regular development/transfer efforts. FNS has awarded funding to 3 State Agency Model (SAM) consortia across the country. Funding in FY 2006 totaled \$20,214,463; an additional \$53,433 was awarded in FY 2007. As part of its efforts to revitalize quality nutrition services, in FY 2007 FNS continued to take steps to increase training and technical assistance opportunities and facilitate communication among its

partners. In collaboration with the National Agricultural Library-Food and Nutrition Information Center, FNS continues to enhance the WIC Works Resource System (WWRS), an on-line system for WIC educators to talk, share successes, receive training on counseling strategies, and find educational materials and tools for assessment, and review current research. A new feature of WWRS is the WIC Bulletin Board Exchange; a database of ideas collected from WIC local agencies. The data base contains over 40 ideas many with photos from the waiting rooms and offices. The goal is to allow WIC staff to share ideas on how to reinforce nutrition messages through bulletin board displays. The online staff learning modules were enhanced with the addition of 3 modules on the topic of infant feeding (Infant Formula Basics, Feeding Infants 0-6 Months, and Feeding Infants 6-12 Months). Additionally a series of Web pages were created to post resources that assist State and local agencies in planning, developing and implementing the Value Enhanced Nutrition Assessment initiative. As part of our ongoing commitment to promote breastfeeding to WIC participants and their families through the USDA national breastfeeding promotion campaign, Loving Support Makes Breastfeeding Work, a marketing project, Partnering with WIC for Breastfeeding Success, was launched. This project invites stakeholders and health care professionals to partner with WIC to create a national environment that encourages mothers to breastfeed. In FY 2006, FNS and the National WIC Association continued to work together on the Value Enhanced Nutrition Assessment (VENA) initiative. Part of the continuing effort to improve and revitalize nutrition services in the WIC Program, VENA is WIC nutrition assessment guidance to enhance and ensure the collection and interpretation of accurate and relevant assessment information for all WIC Program participants. In FY 2006, FNS worked with the Rochester Institute of Technology to provide training to all WIC State agencies on the competencies necessary to implement VENA: critical thinking, rapport building, and positive health outcome-based approaches to nutrition assessment. competencies necessary to implement VENA: critical thinking, rapport building, and positive health outcome-based approaches to nutrition assessment.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 246; "WIC State Plan Guidance" is available at no charge from FNS.

**Regional or Local Office:**

See Food and Nutrition Service regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Supplemental Food Programs Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Patricia Daniels, Director. Telephone: (703) 305-2746. Use the same number for FTS.

**Web Site Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program; 10.556, Special Milk Program for Children; 10.565, Commodity Supplemental Food Program; 10.572, WIC Farmers' Market Nutrition Program (FMNP); 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.558 CHILD AND ADULT CARE FOOD PROGRAM****FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, Sections 9, 11, 14, 16 and 17, as amended, 89 Stat. 522-525, 42 U.S.C. 1758, 1759a, 1762a, 1765 and 1766.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children, elderly or impaired adults in nonresidential day care facilities and children in emergency shelters.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible institutions to reimburse their costs in providing meals and snacks to homeless children in emergency shelters and children and adults receiving nonresidential day care, including after school programs. Disbursement is made on the basis of the number of lunches, suppers, breakfasts, and snacks served, using annually adjusted reimbursement rates specified by law. Program institutions may receive reimbursement for not more than three meals per day, per participant. The Program is available in child care centers and day care homes to children through the age of 12 years, except for the children of migrant workers, who may participate through the age of 15 years, and individuals with disabilities without



regard to their age, if participating in a center or home where the majority of children are 18 years of age or younger. In addition, the Program is available to children in emergency shelters through the age of 18. In after school care programs, reimbursement is available for snacks (and suppers in eight States) served to children through age 18. In adult day care centers, functionally impaired adults 18 years of age and older and adults 60 years of age and older who are not residents of an institution are eligible. Meals must meet minimum requirements of the United States Department of Agriculture (USDA). Federal program funds for the Child and Adult Care Food Program are provided to each State agency in a Child Nutrition block grant along with program funds for the School Breakfast Program, the Special Milk Program for Children, the Summer Food Service Program for Children, and the National School Lunch Program. Congress has given some leeway to States to determine how this block of money will actually be allocated among these programs at the State level based on program needs.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for, and signs an annual agreement to receive Federal funds for disbursement. In Virginia, where the State does not administer the program, institutions may receive funds directly from USDA. If the institution is a school food authority that operates another Child Nutrition Program (NSLP, SMP, SBP, SFSP), the institution must have a single, permanent agreement with the State agency.

**Beneficiary Eligibility:**

Approved institutions providing nonresidential day care services may participate in the program. Emergency shelters which provide shelter and meals to homeless children are eligible. Eligible public and nonprofit private organizations may include day care centers, outside-school-hours care centers, settlement houses, family and group day care homes, Head Start programs, and institutions providing day care services to children with disabilities. Private for-profit centers may also participate if at least 25 percent of the children in care (enrolled or licensed capacity, whichever is less) are eligible for free or reduced price school meals or receive benefits under Title XX. Also eligible for participation are nonprofit centers which provide nonresidential adult day care, and private for-profit adult day care centers which receive compensation under Title XIX or Title XX, if not less than 25 percent of their enrolled eligible adults receive benefits under Title XIX, Title XX, or a combination of Title XIX and Title XX. Any eligible institution may participate in the Child and Adult Care Food Program upon request with State agency approval.

**Credentials/Documentation:**

The allow ability of costs incurred by States in administering the program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3016 and 3019). Applicant organizations must furnish evidence of tax-exempt status under the Internal Revenue Code of 1986. This requirement does not apply to public agencies or proprietary institutions.

**Preapplication Coordination:**

This program is subject to the provisions of E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State.

**Application Procedure:**

Institutions apply to the responsible State agency. In Virginia, where the State does not administer the program, the application is directed to the USDA Food and Nutrition Service (FNS) Mid-Atlantic Regional Office. This program is subject to the provisions of USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When the application is approved, the institution signs an annual agreement with the administering agency.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable to States. States must approve or disapprove an application from an institution within 30 calendar days after receipt of a completed application.

**Appeals:**

The administering agency must provide a hearing procedure for local institution (i.e., center and sponsoring organization) grievances.

**Renewals:**

Not less frequently than every three years.

**Formula and Matching Requirements:**

Program funds are provided to the States through letters of credit to reimburse institutions for costs of food service operations, including administrative expenses. Appropriate rates of reimbursement, multiplied by the number of meals served to enrolled participants, represent the basic program payment that an institution receives for each meal served. The assigned rates of reimbursement are adjusted annually on July 1. For child care centers, adult day care centers, and emergency shelters for homeless children, the annual adjustment reflects changes in the Food Away from Home series of Consumer Price Index for All Urban Consumers. For day care homes, the adjustment reflects changes in the Food at Home series of the Consumer Price Index for All Urban Consumers. Donated foods or cash in lieu of donated foods are also

made available. Program payments to child care or adult day care centers depend on the number and types of meals served to enrolled participants, multiplied by the appropriate rate of reimbursement. Rates for meals served to enrolled children and eligible adults in day care centers are determined by the participants' eligibility for free, reduced price, or paid meals using USDA Income Eligibility Guidelines. All children through age 18 in eligible emergency shelters receive free meals without application. After school care programs, which must be located in low-income areas, are reimbursed at the free rate for all snacks--and meals in the States of Missouri, Delaware, Michigan, Pennsylvania, New York, Oregon, Illinois and West Virginia--served to children through age 18. Sponsoring organizations of day care homes for children are reimbursed at a graduated administrative rate based on the number of homes they operate. The level of reimbursement for meals served to enrolled children in day care homes is determined by economic need based on either the location of the day care home; or the income of the day care provider; or the income of an individual child's household. Meals served in day care homes to the provider's own children are reimbursable only if those children are determined eligible for free and reduced price meals, and at least one other nonresidential child is participating in the meal service. The reimbursement for food service is passed on by sponsoring organizations to the day care home providers under their auspices. This program does not have maintenance of effort (MOE) requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement.

**Reports:**

Institutions file monthly reports on program operations to claim reimbursement for meals served and must submit final meal claims no later than 60 days after the claiming month. States, then, must submit final program reports to FNS no later than 90 days after the claiming month.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," States and Local Governments, and Nonprofit organizations that expend \$500,000 or more under Federal awards within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133. For-profit institutions are subject to audit by their administering State agencies.

**Records:**

Institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Grants) FY 07 \$2,303,732,494; FY 08 est \$2,286,629,000; and FY 09 est \$2,386,780,000.

**Range and Average of Financial Assistance:**

State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 226 Regulations and the Child and Adult Care Food Program fact sheet are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Cynthia Long, Director. Telephone: (703) 305-2590.

**Web Site Address:**

<http://fns.usda.gov/cnd>.

**RELATED PROGRAMS:**

10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.559, Summer Food Service Program for Children; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.559 SUMMER FOOD SERVICE PROGRAM FOR CHILDREN**

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, Sections 9, 13 and 14, as

amended, 42 U.S.C. 1758, 1761 and 1762a.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools are out of session or are closed for vacation.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible service institutions (sponsors) which provide free meals to children in areas where at least 50 percent of the children meet the income eligibility criteria for free and reduced price lunches. Meals may be served to children 18 and younger, and to individuals over 18 who participate in State approved school programs for persons with disabilities. The program generally operates during the months of May through September at site locations where regularly scheduled food services are provided for children. Sites may also participate in the program from September through May if the school is closed because of an emergency situation. Service institutions operating food programs for children on school vacation under a continuous year-round calendar may apply for participation in other months. The Consolidated Appropriations Act of 2008 extends cost accounting procedures commonly known as the "Simplified" Summer Food Service Program to all sponsors in all States equals the maximum per meal reimbursement rater. Reimbursement may be paid for one meal and one snack or two meals per child each day. Camps and sites primarily serving children of migrant workers may be approved to serve up to three reimbursable meals each day. Meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for State administrative expenses related to employing personnel, including travel and related expenses, and to supervise and provide technical assistance to service institutions operating the program. Federal program funds for the Summer Food Service Program for Children are provided to each State agency in a Child Nutrition block grant along with program funds for the School Breakfast Program, the Special Milk Program for Children, the National School Lunch Program, and the Child and Adult Care Food Program. Congress has given some leeway to States to determine how this block of money will actually be allocated among these programs at the State level based on program needs.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an annual agreement to receive Federal funds for disbursement. Where the State does not administer the program, an applicant institution may sign an agreement and receive funds directly from USDA.

**Beneficiary Eligibility:**

A service institution that conducts a regularly scheduled program for children from areas in which poor economic conditions exist is eligible to participate in the program. Such institutions include public or private nonprofit school food authorities; public or private nonprofit colleges or universities operating the National Youth Sports Program during the months of May to September; and units of local, municipal, county, or State governments. Other private nonprofit organizations are eligible to participate under certain conditions. Service institutions which develop food service programs for children during school vacations under a continuous school calendar may also participate. Public or private nonprofit residential or nonresidential summer camps may also participate; however, at camps, reimbursement will only be paid for meals served to enrolled children who are individually determined to be eligible for free and reduced price school meals under USDA Income Eligibility Guidelines.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State.

**Application Procedure:**

Service institutions may apply directly to the responsible State administering agency. In Virginia where the State does not administer the program, the application is directed to the USDA Food and Nutrition Service regional office. This program is subject to the provisions of USDA's Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When an application is approved, the service institution (sponsor) enters into an agreement with the appropriate administering agency for the duration of summer program operations. If the institution is a school food authority that operates another Child Nutrition Program (NSLP, CACFP, SMP, or SBP) with the same administering agency, the institution must have a single, permanent agreement.

**Deadlines:**

A State Management Administration Plan is due February 15. States establish the deadline date for sponsor applications; however, no applications can be

accepted after June 15.

**Range of Approval/Disapproval Time:**

Not applicable to States. States must render a decision within 30 calendar days of receipt of a complete and correct application from a service institution. If an incomplete application is received, the State agency shall notify the applicant within 15 days and provide technical assistance to complete the application.

**Appeals:**

The administering agency must have a hearing procedure for local service institution grievances.

**Renewals:**

Annually.

**Formula and Matching Requirements:**

Program funds are earned by the States and institutions on a per meal reimbursement basis with rates adjusted annually on January 1, to reflect changes in the "Food Away from Home" series of the Consumer Price Index for All Urban Consumers. This program has no maintenance of effort (MOE) requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement.

**Reports:**

Service institutions file monthly reports on program operations to claim reimbursement for meals served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-profit Organizations," State and Local Governments, and Non-profit organizations that expend \$500,000 or more under Federal awards within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

Service institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of the audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

FY 07 \$297,932,607; FY 08 est \$312,637,000; and FY 09 est \$328,934,000.

**Range and Average of Financial Assistance:**

State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 225 regulations and the Summer Food Service Program fact sheet, are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Cynthia Long, Director. Telephone: (703) 305-2590.

**Web Site Address:**

<http://fns.usda.gov/cnd>.

**RELATED PROGRAMS:**

10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.558, Child and Adult Care Food Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.560 STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION**

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1776, 1779.

**OBJECTIVES:**

To provide each State agency with funds for its administrative expenses in supervising and giving technical assistance to local schools, school districts and institutions in their conduct of Child Nutrition Programs. State agencies that administer the distribution of USDA donated commodities to schools or child or adult care institutions are also provided with State Administrative Expense (SAE) funds.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

SAE funds must be used for purposes specified in the legislation, consistent with

the cost principles and constraints on allowable and unallowable costs, and indirect cost rates as prescribed in OMB Circular No. A-87. These funds may be used, under certain conditions, for the procurement of supplies, equipment, and services. Five FNS programs comprise the Child Nutrition grants to States funding block. Federal funds for State administrative expenses allocated to the National School Lunch Program, the School Breakfast Program, the Special Milk Program for Children, the Summer Food Service Program for Children, and the Child and Adult Care Food Program are combined and provided to each State agency as a "block distribution." Congress has given some leeway to States to determine how this block of money will actually be allocated among these programs at the State level based on program administrative needs.

**Applicant Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and agencies responsible for the distribution of USDA donated commodities to schools, and/or child or adult care institutions, including agencies in the U.S. Territories.

**Beneficiary Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and agencies responsible for the distribution of USDA donated commodities to schools, and/or child or adult care institutions, including agencies in the U.S. Territories.

**Credentials/Documentation:**

Costs are to be determined and documented in accordance with agency regulations (7 CFR 235) and USDA Uniform Federal Assistance Regulations (7 CFR Parts 3015 or 3016 and 3019).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The State agency enters into a written agreement with the Food and Nutrition Service (FNS) on a form prescribed by the FNS. The standard application forms as furnished by the Federal agency must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Release of funds to a State agency is contingent upon receipt and approval of their plan for disbursement of SAE funds. A State agency must submit an initial Plan in fiscal year 1997 and their estimated funding needs for the duration of fiscal year 1997. Thereafter, in accordance with Public Law 104-193 which deleted the requirement for an annual plan unless there are substantive changes, a State agency would only submit revisions to the initial plan.

**Deadlines:**

Data on additional funds needed or funds not needed and to be returned as applicable, are due by May 1 of each year.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Annually.

**Formula and Matching Requirements:**

For the National School Lunch Program, the School Breakfast Program, and the Special Milk Program, funds are allocated on the basis of an amount equal to one percent of the total funds used in the State for these programs during the second preceding year based on FNS program and fiscal data. However, no State receives less than \$200,000 or the amount it received in fiscal year 1981, whichever is larger. For the Child and Adult Care Food Program, a sliding grant is made based on FNS program and fiscal data. In addition, the Secretary has discretionary authority to provide funds to States for program improvement, based on FNS program and fiscal data. The authorizing legislation which establishes eligibility for SAE funds is the Child Nutrition Act of 1966, as amended, Section 7 (42 U.S.C. 1776). This program has a State Funding Requirement (SFR). See funding agency for details. Any reduction of funds from State sources below the fiscal year 1977 level will result in a withdrawal of Federal funds under this grant.

**Length and Time Phasing of Assistance:**

Funded each fiscal year during the period covered by the agreement. A State agency may carry over up to twenty percent of SAE funds allocated to it for obligation and expenditure during the succeeding fiscal year.

**Reports:**

Each State agency shall submit quarterly financial status information on SAE funds on forms provided by FNS and will continue to report information on the use of SAE funds, after the end of the fiscal year to which they pertain, until all unpaid obligations have been liquidated.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-profit Organizations," State governments that expended \$500,000 or more under Federal awards within any fiscal year

shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

Each State agency shall keep records on administrative expenses conforming with the applicable SAE plan and shall maintain current accounting records of SAE funds that shall adequately identify fund authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

FY 07 \$162,843,624; FY 08 \$171,177,636; and FY 09 est \$184,454,000.

**Range and Average of Financial Assistance:**

From \$309,953 to \$20,122,410; \$3,153,719.

**PROGRAM ACCOMPLISHMENTS:**

The availability of SAE funds has enabled State agencies to be more effective in meeting their administrative responsibilities under the National School Lunch, School Breakfast, Special Milk, Child and Adult Care Food Program, and Food Distribution Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 235, "State Administrative Expense Funds."

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2590. Contact: Cynthia Long, Director.

**Web Site Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.558, Child and Adult Care Food Program, 10.559 Summer Food Service Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE AUTHORIZATION:

Food Stamp Act of 1977, as amended, Section 16, Public Law 95-113, 91 Stat. 958, 7 U.S.C. 2025; Public Law 99-198, Public Law 105-33, Public Law 105-185.

**OBJECTIVES:**

To provide Federal financial aid to State agencies for costs incurred to operate the Supplemental Nutrition Assistance Program (SNAP). Formally known as the Food Stamp Program.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To provide Federal funding for administrative costs incurred by State and local agencies to operate SNAP. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs. Submission of claims for payments of administrative costs shall be in accordance with 7 CFR 277 of the SNAP Regulations.

**Applicant Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.)

**Beneficiary Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.)

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, 7 CFR 277, and cost allocation plans negotiated by a cognizant Federal agency for State government.

**Preapplication Coordination:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR part 3016, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.



**Application Procedure:**

State governments may apply for Federal financial aid in accordance with requirements outlined in 7 CFR Parts, 271 and 277. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Food and Nutrition Service funds State cooperator operations.

**Deadlines:**

Budgets are due to FNS August 15.

**Range of Approval/Disapproval Time:**

30 days.

**Appeals:**

None.

**Renewals:**

Annually, as of October 1.

**Formula and Matching Requirements:**

Federal agency funds 50 percent of State administrative costs, including the costs of SNAP benefit fraud investigations and prosecutions costs of developing certain computer systems as provided for in 7 CFR 277, and the cost incurred in the verification of alien status. Administrative cost-sharing is authorized by Section 16 of the Food Stamp Act of 1977 (7 U.S.C. 2025). By April 1, 1987 all States were to implement an Employment Training (E&T) Program mandated by Public Law 99-198. States' E&T programs are funded by individual grants requiring no State matching; should a State's costs exceed the grant allocation, additional funding is available on a 50 percent basis. The Federal agency shall also pay 50 percent of States' costs of reimbursing participants' costs of dependent care as a result of E&T participation, not to exceed the applicable local market rate and other reimbursable participant expenses, not to exceed \$25 per month per participant, and 50 percent of costs for case management or casework to facilitate the transition from economic dependency to self-sufficiency through work. The Balanced Budget Act (Public Law 105-33) provides additional funding for grants to States (which do not require a State match) for work/training programs generally targeted for non-working able-bodied adults without dependents. These funds were reduced by Public Law 105-185. Nutrition education grants (authorized by Public Law 105-33 to private nonprofit organizations or State agencies are available with the Federal share of costs limited to 50 percent.

**Length and Time Phasing of Assistance:**

Annually by fiscal year.

**Reports:**

Reports are submitted as required by 7 CFR Parts 272 and 277.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State Local Governments, and Nonprofit Organizations," State and local government, and Nonprofit organizations that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all records pertinent to a grant program shall be retained for a period of 3 years. Additionally, those record retention requirements outlined in 7 CFR Part 3016, apply to this program.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Grants) FY 07 \$2,508,553,167; FY 08 est \$2,620,000,000; and FY 09 est \$2,723,000,000.

**Range and Average of Financial Assistance:**

\$1.7 million to \$491.2 million: \$51.4 million in FY 07.

**PROGRAM ACCOMPLISHMENTS:**

Paid approximately 50 percent of State administrative cost of providing Supplemental Nutrition Assistance Program benefits.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 275, 276, 277 and 3016.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator, Special Nutrition Assistance Program, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Jessica Shahin, Acting Associate Administrator, Supplemental Nutrition Assistance Program. Telephone: (703) 305-2026.

**Web Site Address:**

<http://www.fns.usda.gov/fsp/>.

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.565 COMMODITY SUPPLEMENTAL FOOD PROGRAM****FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agriculture and Consumer Protection Act of 1973, Section 4(a) and 5, as amended, Public Law 93-86, 7 U.S.C. 612c (note); Food and Agriculture Act of 1977, as amended, Public Law 95-113, 91 Stat. 980; Public Law 97-98, 95 Stat. 1293; Public Law 98-8, 97 Stat. 35; Public Law 98-92, 97 Stat. 611; Public Law 99-198, 99 Stat. 1590; Public Law 100-202; Public Law 101-624, 101 Stat. 3806; Public Law 104-127, 110 Stat. 1028; Public Law 107-171.

**OBJECTIVES:**

To improve the health and nutritional status of low-income pregnant, postpartum and breastfeeding women, infants, and children up to age of 6, and elderly persons age 60 years and older through the donation of supplemental foods.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods; Formula Grants.

**USES AND USE RESTRICTIONS:**

Administrative grants are made to State agencies, Indian tribes or tribal organizations recognized by the Department of the Interior, or, the appropriate area office of the Indian Health Service of the Department of Health and Human Services. These agencies distribute funds to participating local public or private nonprofit agencies. Federal funding for administrative costs may only be used in making these donated foods and nutrition education available to eligible beneficiaries. Donated foods can only be made available to eligible beneficiaries and cannot be sold, exchanged, or otherwise disposed of without prior specific approval by the Department.

**Applicant Eligibility:**

Agreements are made between the Department and the State agency, an Indian tribe or tribal organization recognized by the Department of the Interior for the administration of the program of the appropriate area office of the Indian Health Service of the Department of Health and Human Services.

**Beneficiary Eligibility:**

To be certified as eligible to receive supplemental foods, each applicant must be categorically eligible as an infant, child up to age six, a pregnant, postpartum or breastfeeding woman, or an elderly person 60 years of age or older, residing in an area where the program operates. Women, infants, and children, must have income at or below 185 percent of Federal poverty income guidelines, or, at State discretion, be income eligible under existing Federal, State, or local food, health, or welfare programs for low-income persons. Women, infants or children who receive Special Nutrition Assistance Program benefits, Temporary Assistance for Needy Families, or Medicaid are considered automatically eligible for CSFP. Elderly persons must have income at or below 130 percent of Federal poverty income guidelines. States may require that participants be at nutritional risk, as determined by a physician or local agency staff. States may also require that an individual reside within the service area of the local agency at the time of application for CSFP benefits. However, States may not require that the individual reside within the area for any fixed period of time.

**Credentials/Documentation:**

Participants are provided donated foods by local agency personnel or its designee. Costs will be determined in accordance with 2 CFR Part 225 (OMB Circular No. A-87) and 2 CFR Part 230 (OMB Circular No. A-122).

**Preapplication Coordination:**

Application is made through submission of a State Plan as required by the Federal agency. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The State agency must require each agency that desires approval as a local agency, to submit an application that contains sufficient information to enable the State agency to make a determination of eligibility for that agency. Individual participants may apply for program benefits at an approved local agency.

**Award Procedure:**

Funds are awarded by the Department to State agencies in accordance with the priorities and funding formulas set forth in program regulations and legislation; State agencies, in turn, distribute administrative funds to the local level.

**Deadlines:**

Approved State plans are considered permanent and updated as needed. A State plan for a new State seeking to participate in the program during the next FY is required by August 15.

**Range of Approval/Disapproval Time:**

A determination will be made within 30 days of submission of a completed plan.

**Appeals:**

Local agency appeals: The State agency provides a hearing appeal procedure for a local agency adversely affected by a State agency action. The right to appeal is granted whenever an action would adversely affect participation. Individual participant appeals: The State agency provides a hearing appeal procedure for



any individual who receives an adverse action which may include the denial or discontinuance of program benefits, disqualification from the program, or a claim to repay the value of commodities received as the result of fraud.

**Renewals:**

None.

**Formula and Matching Requirements:**

Administrative Funds: Public Law 107-171 requires the USDA to provide State agencies with a grant per assigned caseload slot to pay for administrative program costs. There are no Federal matching requirements.

**Length and Time Phasing of Assistance:**

Commodities are made available on an ongoing basis. Cash assistance is released annually each FY.

**Reports:**

Financial, Program, Inventory, and Civil Rights Reports must be submitted as required by FNS at a frequency prescribed by FNS.

**Audits:**

In accordance with the provision of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments, and nonprofit organizations that expend Federal financial assistance of \$500,000 or more within any FY must have either a single or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Each State agency must maintain accurate and complete records of all receipts and dispositions as detailed in 7 CFR 247.29(a). Records must be retained for 3 FYs from the end of the FY to which they pertain, or if they are related to unsolved claims, actions, audits or investigations until those activities have been resolved.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

FY 07 \$107,828,081; FY 08 est \$139,830,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

On average, \$831,437 in appropriated administrative funding was allocated to each State for FY 07. Funding ranged from \$6,091 to \$4,682,278 per State.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07, average monthly participation was 33,270 women, infants, and children, and 432,910 senior persons.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 247 is available without charge from the Department.

**Regional or Local Office:**

See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Food Distribution Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Cathie McCullough, Director. Telephone: (703) 305-2680.

**Web Site Address:**

<http://www.fns.usda.gov/fdd/programs/csfp/default.htm>

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558, Child and Adult Care Food Program; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.566 NUTRITION ASSISTANCE FOR PUERTO RICO**

(NAP)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE AUTHORIZATION:

Omnibus Budget Reconciliation Act of 1981, as amended, Title 1, Section 116; Public Law 97-35; Public Law 97-253; Public Law 98-204; Public Law 99-114; Public Law 99-157; Public Law 99-182; Public Law 99-198; Public Law 101-624; Public Law 103-66; Public Law 104-127; Public Law 106-387; Public Law 107-171.

**OBJECTIVES:**

A cash grant alternative to the Special Nutrition Assistance Program (SNAP) (Formally known as the Food Stamp Program) to improve diets of needy persons residing in the Commonwealth of Puerto Rico.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Households receive money to purchase food.

**Applicant Eligibility:**

The Commonwealth of Puerto Rico alone is eligible.

**Beneficiary Eligibility:**

Low-income individuals and families are eligible for benefits as determined by the Commonwealth.

**Credentials/Documentation:**

The Commonwealth is required to document the classes of households that receive benefits and the level of those benefits. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Praeapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the Commonwealth for more information on the process the Commonwealth requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

The Commonwealth is required to submit an annual plan of operation to the Food and Nutrition Service for approval. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Secretary of Agriculture designates the Commonwealth agency or agencies to operate the program upon submission of the request.

**Deadlines:**

July 1 for plan submission.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Program continues once approved unless there is a substantial failure to comply with regulations or withdrawal on the part of the Commonwealth.

**Formula and Matching Requirements:**

The Department of Agriculture pays 100 percent of the cost of benefits and 50 percent of administrative costs.

**Length and Time Phasing of Assistance:**

Assistance is available for one fiscal year at a time. Assistance is provided through the electronic transfer system, consistent with Treasury Fiscal Requirement Manual, Volume I, Part 6, Section 2030.

**Reports:**

The content and frequency of reports is specified by the Commonwealth's plan of operation.

**Audits:**

The Commonwealth is required to conduct an audit of expenditures at least once every two years, and is subject to audit by the Office of Inspector General, USDA. In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments," State and local governments, that expend financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

The content and maintenance of records is specified by the Commonwealth's plan of operation.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Formula Grants) FY 07 \$1,551,167,000; FY 08 \$1,622,521,000; and FY 09 \$1,677,686,000.

**Range and Average of Financial Assistance:**

Not applicable; program is available to Puerto Rico only.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 285.

**Regional or Local Office:**

Regional Administrator, Mid-Atlantic Regional Office, Food and Nutrition Service, Department of Agriculture, Robbinsville, NJ 08691-1598. Contact: Yvette Jackson. Telephone: (609) 259-5025, FTS: (609) 259-5025.

**Headquarters Office:**

Associate Administrator, Special Nutrition Assistance Program, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Contact: Jessica Shahin, Acting Associate Administrator, Special Nutrition Assistance Program. Telephone: (703) 305-2026.

**Web Site Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.567 FOOD DISTRIBUTION PROGRAM ON INDIAN RESERVATIONS

### FEDERAL AGENCY:

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Section 416 of the Agricultural Act of 1949, as amended; Section 32 of Public Law 74-320, as amended; Section 709 of the Food and Agriculture Act of 1963, as amended; Section 4(a) of the Agriculture and Consumer Protection Act of 1973, as amended; Section 4(b) of the Food Stamp Act of 1977, as amended; Section 1336 of Public Law 97-98, as amended; Section 4122(c) of Public Law 107-171.

### OBJECTIVES:

Section 416 of the Agricultural Act of 1949, as amended; Section 32 of Public Law 74-320, as amended; Section 709 of the Food and Agriculture Act of 1963, as amended; Section 4(a) of the Agriculture and Consumer Protection Act of 1973, as amended; Section 4(b) of the Food Stamp Act of 1977, as amended; Section 1336 of Public Law 97-98, as amended; Section 4122(c) of Public Law 107-171.

### TYPES OF ASSISTANCE:

Project Grants; Sale, Exchange, or Donation of Property and Goods.

### USES AND USE RESTRICTIONS:

Indian Tribal Organizations and State Distributing Agencies make food available for distribution to qualifying households. Households may not be charged. Donated foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of the Department. FNS administrative funds must be expended to meet expenses incurred in operating the Food Distribution Program on Indian Reservations. These funds may not be used to purchase real property (land or buildings).

### Applicant Eligibility:

Authorized Indian Tribal Organizations and State agencies designated by the Governor, legislature, or other authority may receive and distribute donated foods. State agencies that administer the program are eligible to receive Federal cash assistance (administrative funds) to assist in meeting operating expenses incurred in administering the program. Indian Tribal Organizations may be their own State agency for the administration of the program on reservations if determined capable by FNS.

### Beneficiary Eligibility:

Households must be living on an Indian reservation, or be Indian households living in a designated area near an Indian reservation or in an approved service area in Oklahoma, and must be certified by local authorities as having inadequate income and resources. Upper limits of allowable income vary with family size. Household resources for all household sizes are set by FNS.

### Credentials/Documentation:

Households are individually certified by local administering offices based upon Federal eligibility standards. Administrative costs will be determined in accordance with OMB Circular No. A-87 for administering agencies.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

State agencies and Indian Tribal Organizations that want to administer the Food Distribution Program on Indian Reservations must submit a completed Form SF-424 (application) to the appropriate FNS regional office in their area. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Cash assistance is provided by the Department to State agencies and Indian Tribal Organizations for use in administering the program.

### Deadlines:

State agencies and Indian Tribal Organizations applying to administer the program must begin program operation within 120 days of FNS' determination that they are capable of administering the program. Extensions to this time frame may be granted if there is compelling justification.

### Range of Approval/Disapproval Time:

FNS must determine within 30 days of the receipt of a completed application if a State agency is capable of administering the program.

### Appeals:

Heads of households may appeal adverse or delayed decisions as the regulations provide.

### Renewals:

Program continues unless withdrawal is requested or required because of program irregularities, or funding is unavailable. Households are recertified periodically, depending on household circumstances. Household certification periods may not exceed one year.

### Formula and Matching Requirements:

Not applicable to food donations. Administrative expense funds are allocated on basis of need for funds. There is a 25 percent matching requirement except with compelling justification.

### Length and Time Phasing of Assistance:

Food donations continuous; cash assistance released quarterly by the electronic transfer system to the Department of Treasury. Funds may be withdrawn as needed.

### Reports:

Financial, inventory, and participant data must be submitted in accordance with requirements established by the Department.

### Audits:

In accordance with the provision of OMB Circular No. A-133, "Audits of States and Local Governments, and Nonprofit Organizations," State and local governments, and non-profit organization that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

### Records:

Each State agency and Indian Tribal Organization must maintain accurate and complete records of all receipts and dispositions. Records must be retained for 3 years following the close of the fiscal year or until any outstanding audit, claim or litigation is settled.

### Account Identification:

12-3505-0-1-605.

### Obligations:

(Grants) (Food donations). Bonus commodities may also be available. FY 07 \$77,533,898; FY 08 est \$88,477,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

From \$79,031 to \$4,937,577 in administrative funds for fiscal year 2001.

### PROGRAM ACCOMPLISHMENTS:

The average monthly participation of needy persons in low-income households was 99,011 for fiscal year 2005; 97 Indian Tribal Organizations and five States administer the program for 257 Indian tribes. As of fiscal year 2005, 97 Indian Tribal organizations were approved for participation in the Fresh Produce Program, by which participants may select fresh fruits and vegetables in lieu of canned fruits and vegetables. Additional sites are expected to join the project as they become capable. Prior to the pilot, only foods with a minimum shelf life of 6 months were available to participating households. In addition, FNS is making changes to the food package that it provides to recipients in order to make it more nutritious and responsive to recipient needs.

### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR Part 253; 7 CFR Part 254; 7 CFR Part 250.

### Regional or Local Office:

See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

### Headquarters Office:

Les Johnson, Director, Food Distribution Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2680.

### Web Site Address:

<http://www.fns.usda.gov/fdd/programs/fdpi/default.htm>

### RELATED PROGRAMS:

10.551, Supplemental Nutrition Assistance Program.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 10.568 EMERGENCY FOOD ASSISTANCE PROGRAM (ADMINISTRATIVE COSTS)

### FEDERAL AGENCY:

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Emergency Food Assistance Act of 1983, Section 204, Public Law 98-8, 97 Stat. 35, 7 U.S.C. 7508; Federal Supplemental Compensation Act of 1982 Amendments, Section 2, as amended, Public Law 98-92, 97 Stat. 608; Food Security Act of 1985, as amended, Section 1569, Public Law 99-198, 99 Stat. 1354; Public Law 100-77, 101 Stat. 536; Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330.

### OBJECTIVES:

To help supplement the diets of low-income persons by making funds available to States for processing, storage and distribution costs incurred by State agencies and local organizations in providing food assistance to needy persons.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Administrative funds are provided to State agencies to cover administrative costs incurred at the State and local level in the operation of the program. Funds may

only be used for approved administrative expenses, and the State agency is required to pass-through at least 40% of the funds to emergency feeding organizations.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor, legislature or other authority may receive these administrative funds to support the distribution of commodities to the needy.

**Beneficiary Eligibility:**

Public or private non-profit organizations which provide food assistance to the needy.

**Credentials/Documentation:**

State agencies and local organizations are required to document their use of the administrative funds, and only those administrative costs permitted under OMB Circular No. A-87, as implemented at 2 CFR Part 225, for State and local governments will be allowed.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Not necessary; all States are eligible to participate. However, this program is subject to the provisions of OMB Circular No. A-102, as implemented by 7 CFR Part 3016. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Administrative funds are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60%) and of unemployed persons (40%). At a minimum, States must make at least 40% of the administrative grant available to emergency feeding organizations, or expend such funds on their behalf. In addition, the States must match, either in cash or in kind, the amount of administrative funds not passed-through to emergency feeding organizations.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Local organizations receiving administrative funds must have an agreement with the State agency or with another local organization participating in the program. Such agreements are ongoing and amended as necessary.

**Formula and Matching Requirements:**

Funds for administration of the program are allocated among the States based on a legislatively-mandated formula. The allocation formula is based in part (60 percent) on the number of people whose income is below the poverty level and in part (40 percent) on the number of unemployed persons. Including appropriations, recoveries and conversions of commodity funds into administrative funds, \$58 million was available Nationally for TEFAP administration in FY 07. States are required to pass-through to emergency feeding organizations at least 40 percent of the administrative funds allocated to the State. In addition, States are required to match, either in cash or in kind, 100 percent of the administrative funds not passed-through to emergency feeding organizations.

**Length and Time Phasing of Assistance:**

Funds are provided through the electronic transfer system as they are needed for actual expenditures on a fiscal year basis. Any funds which are made available through the initial allocation or a subsequent reallocation that are not used are turned back to the Federal government.

**Reports:**

Quarterly and annual financial reports are made on FCS-667.

**Audits:**

In accordance with the provisions of OMB circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments and non-profit organizations that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

FY 07 \$58,026,690; FY 08 est \$49,650,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range was \$10,416 to \$7,323,436; the Average was \$1,055,131.

**PROGRAM ACCOMPLISHMENTS:**

Provided funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated commodities to needy persons and to organizations for use in preparing meals at congregate meal sites.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Food and Nutrition Service regional office contacts listed in Appendix IV of the Catalog.

**Headquarters Office:**

Food Distribution Division, FNS, USDA, Room 500, Park Office Center, 3101 Park Center Drive, Alexandria, VA 22302. Contact: Cathie McCullough, Director. Telephone: (703) 305-2680.

**Web Site Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/>

**RELATED PROGRAMS:**

10.569, Emergency Food Assistance Program (Food Commodities); 10.551, Supplemental Nutrition Assistance Program; 10.561, State Administrative Matching Grants for the Special Nutrition Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.569 EMERGENCY FOOD ASSISTANCE PROGRAM (FOOD COMMODITIES)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Public Law 98-8, 97 Stat. 35, 7 U.S.C. 7501 et seq.; Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330.

**OBJECTIVES:**

Emergency Food Assistance Act of 1983, Public Law 98-8, 97 Stat. 35, 7 U.S.C. 7501 et seq.; Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The food commodities are provided to State agencies that are responsible for administering the distribution of the commodities within the States. Commodities can only be used to provide food assistance to needy persons. Commodities may be provided for household consumption or for congregate feeding. The State agency must give priority to local organizations that provide nutrition assistance to relieve situations of emergency and distress.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor, legislature or other authority may receive and distribute these donated food commodities.

**Beneficiary Eligibility:**

Needy individuals. They may be homeless, unemployed, welfare recipients, or low-income. The State agency must establish income based eligibility criteria to ensure the commodities are provided to the needy.

**Credentials/Documentation:**

Needy individuals receiving commodities for home consumption must establish eligibility to participate in the program on the basis of State eligibility standards. All individuals seeking food assistance at sites which serve prepared meals are presumed to be eligible to receive meals.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All States are eligible to participate, no applications necessary. This program is subject to the provisions of OMB Circular No. A-102, as implemented by 7 CFR Part 3016. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Food commodities are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60 percent)



and of unemployed persons (40 percent).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Individuals receiving food for home consumption are recertified periodically. Persons receiving commodities in the form of meals from sites which serve prepared meals are presumed to be eligible.

**Formula and Matching Requirements:**

Commodities are allocated among the States based on a legislatively-mandated formula. The allocation formula is based in part (60%) on the number of people whose income is below the poverty level and in part (40%) on the number unemployed persons. Including amounts converted into administrative funds, \$130,640,006 was available Nationally to purchase commodities in 2007.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Inventory reports on the FCS-155.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local governments, and Nonprofit Organizations," State and local governments, and non-profit organizations that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

FY 07 \$130,640,006; FY 08 est \$140,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range was \$22,156 to \$15,577,443, while the Average was \$2,375,272.

**PROGRAM ACCOMPLISHMENTS:**

Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Food and Nutrition Service Regional Office contacts listed in Appendix IV of the Catalog.

**Headquarters Office:**

Food Distribution Division, FNS, USDA, Room 500, Park Office Center, 3101 Park Center Drive, Alexandria, VA 22302. Contact: Cathie McCullough, Director. Telephone: (703) 305-2680.

**Web Site Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/default.htm>.

**RELATED PROGRAMS:**

10.568, Emergency Food Assistance Program (Administrative Costs); 10.551, Supplemental Nutrition Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.572 WIC FARMERS' MARKET NUTRITION PROGRAM (FMNP)**

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

WIC Farmers' Market Nutrition Act of 1992, Public Law 102-314, 106 Stat. 281; Child Nutrition Act of 1966, as amended, Section 17(m), 42 U.S.C. 1786.

**OBJECTIVES:**

(1) To provide fresh, nutritious unprepared locally grown fruits and vegetables from farmers markets to women, infants, and children who participate in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC); and (2) to expand the awareness and use of farmers' markets and increase sales at such markets.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants are made to State health, agriculture and other agencies (or Indian tribes,

bands, or intertribal councils or groups recognized by the Department of the Interior, or the Indian Health Service of the Department of Health and Human Services.) Participating State agencies must provide program income or State, local, or private funds for the program in an amount that is equal to at least 30 percent of the administrative cost of the program except Indian Tribal Organizations which may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. The matching requirement may be satisfied from State contributions that are made for similar programs. Federal FMNP benefits (coupons) may be issued only to participants in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) or to persons who are on a waiting list to receive WIC benefits.

**Applicant Eligibility:**

All State agencies that desire to receive a FMNP grant must submit, for each fiscal year, a State plan to the Food and Nutrition Service (FNS), USDA. States that received Federal assistance under the Farmers' Market Coupon Demonstration Project, which was administered by FNS from 1989-1992, were "grandfathered" into the FMNP by Public Law 102-314. Other States interested in participating in the FMNP must first submit a State plan to the appropriate FNS regional office for approval. Approved plans are then reviewed and evaluated by the National office (Supplemental Food Programs Division). New State agencies are then selected based on the evaluation and the availability of funds. Local FMNP sites are selected by participating State agencies based on concentration of eligible WIC participants and access to farmers' markets.

**Beneficiary Eligibility:**

WIC participants (i.e., pregnant, postpartum or breastfeeding women; infants over 4 months of age; and children up to 5 years of age) and (at the State's discretion) those who are on a waiting list to receive WIC benefits are eligible to receive FMNP coupons. State agencies may also designate subcategories of WIC participants, e.g., pregnant and breastfeeding women only, to be FMNP recipients.

**Credentials/Documentation:**

WIC participants (except infants under 4 months of age) and persons on WIC waiting lists certified for WIC eligibility who live in areas with a FMNP are eligible to receive benefits. A signed and executed Federal/State Agreement is necessary before funds can be allocated to a participating FMNP State agency. Costs will be determined in accordance with 7 CFR Part 3016, and FNS guidelines and instructions.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration" as required by law. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Farmers or farmers' markets (depending on whether State agencies have agreements with farmers or markets) located in communities with WIC Program sites may apply to be authorized to accept FMNP coupons under the program. The State agency reviews the applications for completeness and compliance with authorization requirements. The State agency contacts the farmer/farmers' market to inform them of qualification. Individual participants apply for FMNP benefits at approved local WIC agencies.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies.

**Deadlines:**

A State plan for the next fiscal year is required by November 15.

**Range of Approval/Disapproval Time:**

An eligibility determination will be made within 30 days of submission.

**Appeals:**

Farmer/farmers' market appeals: The State agency shall provide a hearing procedure whereby a farmer/farmers' market adversely affected by a State agency action may appeal the action. The right of appeal shall be granted when a farmer/farmers' market is denied or, during the course of the contract or agreement, when a farmer/farmers' market is disqualified or any other adverse action which affects participation is taken.

**Renewals:**

This Program is authorized through September 30, 2009.

**Formula and Matching Requirements:**

Statutory formula can be found at Section 17(m)(3) of the Child Nutrition Act. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Indian Tribal Organizations may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. State contributions for similar programs may satisfy the State matching requirement. Provided that sufficient funds are available, each current State agency will be funded at its most recent year's level. Remaining funds are divided between current States for expansion and new States, based on a 75 to 25 percent ratio, respectively.

**Length and Time Phasing of Assistance:**

Grants have been released for the duration of the fiscal year using Federal Reserve Bank letters of credit. State agencies may withdraw funds only as needed.



**Reports:**

Annual reports submitted to FNS specifying the following data: Number and type of recipients (Federal and nonfederal); number of authorized farmers, farmers' markets, and farm or roadside stands; value of coupons issued and redeemed; and financial expenditure data.

**Audits:**

State and local agencies shall obtain either a single audit or a program-specific audit in accordance with 7 CFR 3016.26 or 3019.26 and 3052, as applicable.

**Records:**

State agencies must maintain full and complete records including recipient and financial data; coupon issuance and redemption data; equipment purchases and inventory; nutrition education and civil rights procedures.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

FY 07 \$22,109,323; FY 08 est \$19,860,000 and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance \$6,337 to \$4,452,384; \$621,155.

**PROGRAM ACCOMPLISHMENTS:**

FNS has approved the operation of the FMNP in 46 State agencies, which include 37 States, the District of Columbia, Guam, Puerto Rico and 5 Indian Tribal Organizations for fiscal year 2006, thereby increasing the consumption of fresh fruits and vegetables from farmers' markets by many more WIC recipients. This is consistent with the nutrition goals of WIC and FMNP to motivate WIC participants to make healthy food choices.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 248.

**Regional or Local Office:**

See Food and Nutrition Service updated regional office listed in Appendix IV.

**Headquarters Office:**

Supplemental Food Programs Division, Food and Nutrition Service, Department of Agriculture, 3101 Park Center Drive, Room 540, Alexandria, VA 22302. Contact Debra R. Whitford, Branch Chief. Telephone: (703) 305-2746.

**Web Site Address:**

<http://www.fns.usda.gov/wic/>.

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 10.557, Special Supplemental Nutrition Program for Women, Infants, and Children; 10.565, Commodity Supplemental Food Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.574 TEAM NUTRITION GRANTS**

(Team Nutrition Training Grants)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National School Lunch Act, Section 6(a)(3) Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1996; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1997, Public Law 104-280; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1998, Public Law 105-86; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1999, Public Law 105-277; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2000, Public Law 106-78; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001, Public Law 106-387. Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2002, Public Law 107-229 for 2003.

**OBJECTIVES:**

Team Nutrition Training Grants for Healthy School Meals have been identified in USDA's national Strategic Plan for Training and Technical Assistance as one of the anchor delivery systems for supporting the implementation of USDA's nutrition requirements and the Dietary Guideline for Americans in school meals.

Team Nutrition's (TN) goal is to improve children's lifelong eating and physical activity habits by using the principles of the Dietary Guidelines for Americans and the Food Guide System. TN Training Grants offer funding to state agencies to establish or enhance sustainable infrastructures for implementing TN using three behavior-focused strategies: (1) provide training and technical assistance to child nutrition food service professionals to enable them to prepare and serve nutritious meals that appeal to students; (2) promote nutrition curriculum and education in schools through multiple communication channels (i.e., food

services initiatives, classroom activities, school wide events, home activities, community programs and events, and media events and coverage) to reinforce positive nutrition messages and encourage students to make healthy food physical activity choices as part of a healthy lifestyle; (3) build school and community support for creating healthy school environments that are conducive to healthy eating and physical activity.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Team Nutrition Training Grants provide funding to assist State agencies in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans. States may award sub-grants to local school districts following the established oversight procedure as well as the Guidance for Interpreting Cost Principles of Sub-Grants.

**Applicant Eligibility:**

State agencies that administer the National School Lunch Program and/or Child and Adult Care Food Program may apply for a TN Training Grant. States may apply individually, or apply as a coalition within their State if there is an alternate State agency, or may establish a network and apply as a coalition of two or more different States.

**Beneficiary Eligibility:**

School and child care decision makers and caregivers, school and child care food service staff, and children, parents and teachers/educators.

**Credentials/Documentation:**

State agencies must administer the National School Lunch Program and/or Child and Adult Care Food Program. Applicants must prove ability to provide a competent experienced staff and other resources to assure adequate development, supervision and execution of TN Training Grant activities. In addition, applicants are required to submit a written proposal which includes a description of the training issue or issues to be add-on of the training issue or issues to be addressed, the proposed project approach, the rationale for it, specific program objectives, activities and budget. A properly executed Federal/State Agreement between the Food and Nutrition Service and the State agency is necessary before funds can be allocated.

**Preapplication Coordination:**

State agencies are furnished with a copy of the Request for Applications (RFA) package on how to apply for a TN Training Grant. Additionally, the complete RFA is posted on the FNS Team Nutrition web site. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit a complete application to the Food and Nutrition Service by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a technical review panel composed of Food and Nutrition Service staff which convenes to determine the technical merit of each grant application, provide a numerical score and make recommendations to selecting officials.

**Deadlines:**

The deadlines for the TN Training Grants are specified in the Request for Applications package.

**Range of Approval/Disapproval Time:**

Once the application is received from the State agency, it is approximately 3 months before announcement of the TN Training Grant awards.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

If selected for funding State agencies will be funded at the level requested after approval of the budget. There are no matching requirements.

**Length and Time Phasing of Assistance:**

FY 2005: September 30, 2005 - September 30, 2007. FY 2006: September 30, 2006 - September 2009.

**Reports:**

Specified progress and financial status reports and a final project report are to be submitted to the Food and Nutrition Service as stated in the Federal/State TN Training Grant Agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, State governments that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

State agencies must maintain records as necessary to support the use of TN Training Grant funds in accordance with the Grant Agreement. Such records

must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Grants) FY 07 \$9,381,761; FY 08 est \$13,269,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR Part 3021 and 7 CFR Part 3052.

**Regional or Local Office:**

See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grants Management Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2867. Contact: Lisa Johnson, Grants Management Specialist.

**Web Site Address:**

<http://teamnutrition.usda.gov/grants.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Technical Review Criteria, which are furnished to all applicants in the Request for Applications package are used by the review panel to score and rank TN Training Grant applications.

## 10.576 SENIOR FARMERS MARKET NUTRITION PROGRAM

(SFMNP)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Public Law 107-171, 116 Stat. 334; Section 4402, 7 U.S.C. 3007.

**OBJECTIVES:**

(1) To provide fresh, nutritious, unprepared, locally grown fruits, vegetables and herbs from farmers markets, roadside stands and community supported agriculture programs to low-income seniors, and (2) to increase the consumption of agricultural commodities by expanding, developing, or aiding in the development and expansion of domestic farmers markets, roadside stands, and community supported agriculture programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are made to State departments such as health, agriculture and aging, United States territories and Federally-recognized Indian tribal governments, or any other agency approved by the chief executive officer of the State. Grant funds may be used only to support the costs of the foods that are provided under the SFMNP; no administrative funding is available.

**Applicant Eligibility:**

All States, United States territories, and federally recognized Indian tribal governments are eligible to apply for a grant.

**Beneficiary Eligibility:**

Persons eligible for the program are low-income seniors, generally defined as individuals who are at least 60 years old and who have household incomes of not more than 185% of the federal poverty income guidelines (published each year by the Department of Health and Human). Some State agencies accept proof of participation or enrollment in another means-tested program, such as the Commodity Supplemental Food Program or Food Stamps, for SFMNP eligibility.

**Credentials/Documentation:**

In addition to submitting an application based on the requirements of the grant solicitation, potential grantees must submit a standard SF-424, Application for Federal Assistance, form. In addition, potential grantees must submit forms in which they agree to comply with USDA regulations and Office of Management and Budget circulars, including: Uniform Federal Assistance Regulations, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, Government-wide Debarment and Suspension; Government-wide Requirements for Drug-free Workplace; and, New Restrictions on Lobbying.

**Preapplication Coordination:**

Each State applying for a SFMNP grant must designate a lead State agency. Each State may only submit one application on behalf of all interested State agencies, local governments, and non-profit organizations in the State. However, the lead State agency may make subgrants to other State agencies, Indian tribal governments, local governments, and non-profit organizations. Also, Indian tribal governments may make subgrants to local governments and non-profit organizations in the areas they serve. Interested agencies are encouraged to contact the Governor's office or Indian tribal governments to work together on an application. If multiple applications are received from more than one agency within the same State, FNS reserves the right to contact the Governor's office in that State for a final designation of the lead State agency. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Under the competitive grant process, FNS announces the opportunity for States, including territories and Federally recognized Indian tribal governments, to submit grant applications for the SFMNP for each fiscal year in which funds are available. All applications are due by a specified date to FNS Headquarters.

**Award Procedure:**

Applications are reviewed and evaluated by a panel of FNS staff to determine the technical merit of each grant application. Two separate panels evaluate applications; one panel reviews applications from current State agencies that are seeking expansion funds and another panel reviews applications from new State agencies. In the event that all available SFMNP funds for a given year are needed to provide base grants to currently participating State agencies, applications for program expansion or new programs will not be solicited by FNS. If the available funds are insufficient to meet the base grant levels for current SFMNP grantees, a pro-rata reduction will be applied to the grant levels awarded to all participating SFMNP State agencies. If additional funds become available for the SFMNP, such funds would first be distributed evenly among the current grantees to make whole their base grants for that fiscal year. Grant payments are made by a letter of credit.

**Deadlines:**

A deadline for the submission of grant applications is set forth in the announcement by FNS. In general, applications are due approximately 60 days after the announcement to request grant applications.

**Range of Approval/Disapproval Time:**

In general, FNS will announce SFMNP awards, and notify each State agency that did not receive an award, approximately 60 days after the date applications are due to FNS.

**Appeals:**

All decisions by the FNS selecting officials are final. However, unsuccessful applicants are offered a debriefing to discuss the strengths and weaknesses of their proposals.

**Renewals:**

Current State agencies are required to submit updated information annually.

**Formula and Matching Requirements:**

SFMNP grant funds are provided only to support the costs of the foods that are provided under the SFMNP; no administrative funding is provided.

**Length and Time Phasing of Assistance:**

SFMNP funds are provided using Federal Reserve Bank letters of credit, for a program period that begins when the grant agreement is signed by FNS and ends on November 30 of each year.

**Reports:**

Grantees are required to submit two financial status reports and two progress reports to FNS. The progress reports must indicate the number of outlets authorized to receive coupons (i.e., farmers, farmers markets, roadside stands and/or community supported agriculture programs) by category and the number of recipients who have been issued coupons.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State governments that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

State agencies must maintain records as necessary to support the SFMNP funds. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

FY 07 \$16,203,484; FY 08 est \$16,200,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In FY 06, base grant levels to State agencies totaled \$16.2 million. Unspent funds from FY 2006 were reallocated on a proportionate basis to participating SFMNP grantees in the spring of 2007. In FY 2007, 46 State agencies and federally recognized Indian tribal governments operated the SFMNP. In FY 06, 825,691 seniors were served by the SFMNP by 14,574 farmers at 2,911 markets, 2,323 roadside stands, and 260 community supported agriculture programs. In December 2006, FNS published a final rule for the SFMNP, which would make the program a permanent nutrition assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

**Regional or Local Office:**

None.

**Headquarters Office:**

Supplemental Food Program Division, Food and Nutrition Service, Department of Agriculture, 3101 Park Center Dr. Room 540, Alexandria, VA 22302.

Contact: Debra R. Whitford, Branch Chief. Telephone (703) 305-2746.

**Web Site Address:**

<http://www.fns.usda.gov/fns/>.

**RELATED PROGRAMS:**

10.565, Commodity Supplemental Food Program; 10.551, Supplemental Nutrition Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.578 WIC GRANTS TO STATES (WGS)

(WIC Grants To States)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 17(h)(10)(A) of the Child Nutrition Act of 1966, as amended. Section 17(h)(10)(B) of the Child Nutrition Act of 1966, as amended.

**OBJECTIVES:**

To provide grants to WIC State agencies for Electronic Benefit Transfer projects and pilots to explore the feasibility both technical and financial of providing WIC benefits electronically. To provide grants to WIC State agencies and Indian Tribal Organizations (ITOs) to fund, implement, and evaluate innovative projects that improve WIC service provision and impact the nutrition and health of WIC participants.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds are used to plan, develop and implement pilot projects for WIC EBT. Grant funds are used to improve WIC service provision and impact the nutrition and health of WIC participants.

**Applicant Eligibility:**

State agencies that administer the WIC Program are eligible to apply for WIC EBT grant funds. States may apply individually or as a coalition of States.

**Beneficiary Eligibility:**

WIC participants ultimately will receive benefits through EBT. WIC participants will receive improved WIC services.

**Credentials/Documentation:**

State agencies must administer the WIC Program. Applicants must prove through the grant application process that adequate resources are available for project success. Applicants are required to submit a written proposal, which includes a description of the EBT pilot, budget documents, feasibility studies, cost allocation plans, and other required documents. A properly executed Federal/State agreement between FNS and the State agency is necessary before funds can be allocated. State agencies and Indian Tribal Organizations must administer the WIC Program. Applicants must prove through the grant application process that adequate resources are available for project success. Through a competitive solicitation, applicants are required to submit a written proposal which includes a description of the proposed project, staffing, and budget documents for review by a technical panel. Upon selection for award, a properly executed Federal/State agreement between FNS and the State agency or Indian Tribal Organization is necessary before funds can be allocated.

**Preapplication Coordination:**

State agencies are given a grant solicitation package outlining the process and deadlines related to the grant application process. State WIC agencies and Indian Tribal Organizations are given a grant solicitation package outlining the process and deadlines related to the grant application process. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit a complete application to FNS by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in

the solicitation package. Grants are awarded by a competitive process via a review panel composed of FNS staff, who make recommendations to selecting officials.

**Deadlines:**

As specified in the solicitation package.

**Range of Approval/Disapproval Time:**

About 3 to 6 months.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

No matching requirements. Grants will be funded based on submitted budget, need for funds and available funding.

**Length and Time Phasing of Assistance:**

From 3-5 years, depending on project timeline. From 1-3 years depending on project schedule.

**Reports:**

Progress reports and financial status reports must be submitted as outlined in the cooperative/agreements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State governments that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the use of EBT grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

EBT Grants: FY 07 \$5,198,828; FY 08 est not available; and FY 09 est not reported. WIC Discretionary Grants: FY 07 est. \$14,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

EBT Grants: FY 06 \$6,245,923; FY 07 \$5,198,828, Range \$66,125 to \$2,142,315, Average (6) \$866,471. WIC Discretionary Grants: FY 06 \$20,808,994; FY 07 \$2,742,354, Range \$20,000 to \$390,000, Average (11) \$249,3004.

**PROGRAM ACCOMPLISHMENTS:**

Successful EBT pilots have been launched in 6 WIC State agencies, with two States, Wyoming and New Mexico, issuing WIC benefits through EBT statewide. Seven other State agencies that were in the process of design and development of WIC EBT projects experienced staffing and budget problems and decided in FY 2006 to cancel their EBT project. Another State, Ohio, found EBT to be too costly and reverted to paper benefit issuance in FY 2005. Successful WIC Special Project Grants have been conducted in many states. Every year, awards are made to selected States ranging from one to three years. Between FY 1995 and FY 2000, twenty five awards were made to States and ITOs, which have either all been completed or are near completion. Since FY 2001, seventeen more projects have been awarded, most of which are currently in progress.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

**Regional or Local Office:**

See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grants Management Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302.

**Web Site Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

EBT Projects: The Wyoming and New Mexico EBT system is operational statewide. In addition, several other States are proceeding with EBT projects, including Nevada and the Inter Tribal Council of Nevada (ITCN), which launched its EBT pilot in June 2000; New Mexico began its pilot in FY 2003; Texas began its pilot in FY 2004; and Michigan began its pilot in FY 2005; and Kentucky plans to launch its pilot in FY 09/FY 10. WIC Special Project Grants: One project currently funded under these grants is testing the effectiveness of motivational interviewing in a WIC clinic setting in North Dakota. The goal of the project is to study the effectiveness of motivational interviewing in nutrition



education, and to determine its impact on nutritional behavioral change among WIC participants in North Dakota. A second project seeks to strengthen Massachusetts WIC services by utilizing a behavioral approach to connect with the emotions and values of WIC participants, to help families to adopt healthy dietary, parenting, and physical activity behaviors. A third project is focused on increasing infant breastfeeding among American Indians in Osage County, Oklahoma, as a way of reducing/preventing obesity and diabetes which are highly prevalent in this population.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Technical review criteria, which are furnished to all applicants in the grant solicitation package, are used by the review panel to score and rank EBT Grant applications. Technical review criteria, which are furnished to all applicants in the grant solicitation package, are used by the review panel to score and rank grant applications.

### **10.579 CHILD NUTRITION DISCRETIONARY GRANTS LIMITED AVAILABILITY**

#### **FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP).

#### **OBJECTIVES:**

NSLP: To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities. SBP: To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations. SMP: To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children. CACFP: To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children, elderly or impaired adults in nonresidential day care facilities and children in emergency shelters. SFSP: To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools are out of session or are closed for vacation.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

#### **USES AND USE RESTRICTIONS:**

Determined by the legislation providing the grants. Examples of grants in this category include the Child Nutrition and WIC Reauthorization Act of 2004 (P.L. 108-265) which authorized funds for State agencies to perform administrative reviews and training of selected local education agencies participating in the NSLP. The purpose of these funds is to improve program integrity and administrative accuracy by decreasing administrative errors in those local education agencies identified by the States as having problems or where problems are likely to arise. The funds cannot be used to replace or augment funding allocated for existing review requirements and they cannot be used for local level expenses associated with administrative reviews or training activities. In addition, P.L. 108-265 authorized funding for grants under the SFSP to increase participation at congregate feeding sites through innovative approaches for overcoming limited transportation resources in rural areas. These multi-year grants were awarded in December 2005 on a competitive basis to Mississippi (6 sponsors), New York (7 sponsors), Oregon (8 sponsors), Texas (2 sponsors), and West Virginia (7 sponsors). The projects may not comprise pre-award costs associated with the development of a grant application or the cost of obtaining food. Over the course of 3 years, \$4 million will be available to the 5 States. Additional examples of grants in this category include the Consolidated Appropriations Resolution for Fiscal Year 2003 (Public Law 108-7) which provided funds for eligible schools to cover costs associated with implementing the SBP. The purpose of these grants was to increase the number of schools participating in the SBP, particularly those serving low-income children. The grants were used for State level costs associated with the administration of the SBP grant activities and local level costs that were allowable, reasonable, and necessary for an approved school to implement the SBP. The State agency could retain no more than 17.5% of the grant award for State level costs associated with the administration of the grant activities.

#### **Applicant Eligibility:**

Determined by the legislation providing the grants.

#### **Beneficiary Eligibility:**

Determined by the legislation providing the grants.

#### **Credentials/Documentation:**

Determined by the legislation providing the grants. For example, the SBP Grants under Public Law 108-7 earmarked funds for a specific State, with the remaining funds to be awarded competitively. Eleven States were identified that had less than 60 percent of their NSLP Schools participating in the SBP over the

past 3 years. These States received an Application for SBP Start-up Grant Funds.

#### **Preapplication Coordination:**

Instructions provided in Request for Application. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application package should be sent to FNS Headquarters, Charles Okal, Chief, Grant Management Branch Food and Nutrition Service, Grants Management Division, 3101 Park Center Drive, Room 738, Alexandria, VA 22302 or submitted electronically via [www.grants.gov](http://www.grants.gov) <http://.grants.gov>.

#### **Award Procedure:**

A grant review technical panel objectively reviews all complete applications according to established review criteria provided in the Request for Applications and makes recommendations to Agency officials, who make final award decisions.

#### **Deadlines:**

Provided in Request for Application.

#### **Range of Approval/Disapproval Time:**

Determined by the legislation providing the grants.

#### **Appeals:**

Determined by the legislation providing the grants.

#### **Renewals:**

Determined by the legislation providing the grants. For example, a due date was established for the SBP and grants were awarded after review of all submissions by a selection panel from FNS and receipt of a Letter of Intent from the selected States. All State and local level SBP Grant funds had to be obligated by September 30, 2005 and expended by December 15, 2005.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Determined by the legislation providing the grants.

#### **Reports:**

Instructions provided in Request for Application.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State governments that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

#### **Records:**

State agencies must maintain records as necessary to support the use of Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

#### **Account Identification:**

12-3539-0-1-605.

#### **Obligations:**

(Grants) FY 07 \$2,997,672; FY 08 est not available; and FY 09 est not reported. (NOTE: Availability limited based on eligibility requirements or duration by current year appropriations or authorizing legislation language and Agency priorities, determined by the legislation providing the grants.)

#### **Range and Average of Financial Assistance:**

Provided in Request for Application.

#### **PROGRAM ACCOMPLISHMENTS:**

Determined by the legislation providing the grants.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

#### **Regional or Local Office:**

See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Headquarters Office Grants Management Division, Food and Nutrition Service, U.S. Department of Agriculture, Alexandria, VA 22302. Contact: Charles Okal, Chief, Grants Management Branch, Grants Management Division at (703) 305-2854.

#### **Web Site Address:**

<http://www.fns.usda.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

None.

### **10.580 SPECIAL NUTRITION ASSISTANCE PROGRAM OUTREACH/PARTICIPATION PROGRAM**

#### **FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE



**AUTHORIZATION:**

Section, 17a(1), Food Stamp Act of 1977, 7 U.S.C. 2026(a)(a); Section 17(b)(1), 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

Outreach Grants: The purpose of these grants is to study effective strategies to inform and educate eligible low-income people not currently participating in the Special Nutrition Assistance Program (SNAP) (Formally known as the Food Stamp Program) about the nutrition benefits of the program, eligibility rules, and how to apply so that they can make an informed decision about whether to participate in the program. Program Participation Grants: The purpose of the Program Participation grants is to support efforts by State agencies and their community-based and faith-based partners to develop and implement: 1) Simple SNAP application and eligibility systems; or 2) Measures to improve access to SNAP benefits by eligible applicants.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Program Participation Grants: Funds for program participation projects are to be used to improve the quality and efficiency of operations within SNAP offices and no more than 25 percent of the grant funds may be used for outreach activities. Applications must comply with criteria listed in the Request for Application package. Outreach Grants: Funds are used for research into SNAP outreach strategies to one or more of the targeted groups of people who are eligible for the program but traditionally underused food stamp benefits. Applications must comply with criteria listed in the Request for Application package.

**Applicant Eligibility:**

Outreach Grants: Public organizations, with the exception of State and local SNAP agencies; and Private, nonprofit organizations; specific instructions provided in Request for Application. Program Participation Grants: State agencies that administer the SNAP, State or local governments; agencies that provide health or welfare services; public health or educational entities and private nonprofit entities such as community-based or faith-based organizations, food banks, or other emergency feeding organizations.

**Beneficiary Eligibility:**

Persons potentially eligible for SNAP benefits (low-income individuals or families).

**Credentials/Documentation:**

Proof of nonprofit status is required of nonprofit organizations and institutions. Nonprofits must also submit an IRS Determination Letter, Form 501C (3). Specific instructions provided in Request for Application.

**Preapplication Coordination:**

Instructions provided in Request for Application. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application package should be prepared in accordance with instructions in a specific Request for Application (RFA) and sent to the grant officer identified in the RFA.

**Award Procedure:**

A Grant Review Technical Panel objectively reviews all complete and timely applications according to established review criteria provided in the Request for Applications and makes recommendations to Agency officials, who make final award decisions.

**Deadlines:**

Provided in Request for Application.

**Range of Approval/Disapproval Time:**

Provided in Request for Application.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Provided in Request for Application.

**Reports:**

Instructions provided in Request for Application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133; Audits of States, Local Governments, and Nonprofit Organizations; State governments that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

State agencies must maintain records as necessary to support the use of SNAP Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not

been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

FY 07 \$989,197; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Based on availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Outreach Grants: <http://www.fns.usda.gov/fsp/outreach/default.htm>. Program Participation Grants: <http://www.fns.usda.gov/fsp/government/program-improvement.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Outreach Grants: 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018. Program Participation Grants: 7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3021, 7 CFR Part 3019.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants Management Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2867. Contact: Leslie Byrd, Grant Officer for Outreach Grants, or Lisa Johnson, Grant Officer for Program Participation Grants.

**Web Site Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants: <http://www.fns.usda.gov/fsp/outreach/grants/2004/2005-summary.htm> and <http://www.fns.usda.gov/fsp/outreach/grants/2004/summary.htm>. Program Participation Grants: <http://www.fns.usda.gov/fsp/government/participation-grants.htm>. [www.fns.usda.gov/fsp/government/06-participation-grants.htm](http://www.fns.usda.gov/fsp/government/06-participation-grants.htm). [www.fns.usda.gov/fsp/government/pdf/2007-participation-grants.pdf](http://www.fns.usda.gov/fsp/government/pdf/2007-participation-grants.pdf).

**CRITERIA FOR SELECTING PROPOSALS:**

The review panel to score and rank applications uses Technical Review Criteria, which are furnished to all applicants in the Request for Applications package.

**10.582 FRESH FRUIT AND VEGETABLE PROGRAM**

(FFVP)

**FEDERAL AGENCY:**

FOOD AND NUTRITION SERVICE, DEPARTMENT OF AGRICULTURE  
**AUTHORIZATION:**

National School Lunch Act, as amended, 42 U.S.C. 1769.

**OBJECTIVES:**

To assist States, through cash grants, in providing free fresh fruits and vegetables to school children in designated participating schools beginning in school year 2004/2005.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Under Section 18(g) of the National School Lunch Act, Federally appropriated Fresh Fruit and Vegetable Program funds are available to a specified number of State agencies: 25 schools in each of eight designated states (Indiana, Iowa, Michigan, Mississippi, North Carolina, Pennsylvania, Ohio, Washington); and 25 schools among three Indian Tribal Organizations in 3 designated states (Arizona, South Dakota, and New Mexico). Participating public and nonprofit private schools of high school grade or under are reimbursed free to school children outside of the lunch or breakfast food service periods. All participating schools must agree to serve fresh fruits and vegetables free to all enrolled children, and to publicize fresh fruit and vegetable availability within the school. Funds are allocated to each State based on the enrollment of schools selected for participation.

**Applicant Eligibility:**

State agencies specified in Section 18(g) of the National School Lunch Act or selected by the Secretary of Agriculture in accordance with the conditions specified in Section 18(g), including those State agencies representing Indian Tribal Organizations; and public and nonprofit private schools of high school grade and under participating in the National School Lunch Program and selected by their State agencies to participate in the FFVP. In selecting schools, as required by Section 18(g), to the maximum extent practical States must ensure that the majority of schools have 50 percent or more students eligible for free or reduced price meals and give priority to schools that have partnerships with non-Federal resources.

**Beneficiary Eligibility:**

All children enrolled in schools participating in the Fresh Fruit and Vegetable Program.

**Credentials/Documentation:**

Applicant organizations must be currently participating in the National School Lunch Program. Applicant organizations must furnish evidence of nonprofit

status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019).

**Preapplication Coordination:**

The school-level application prototype form was furnished by FNS and/or modified by the State agency. An applicant should consult the State office or official designated as the single point of contact in his or her State for the National School Lunch Program for more information on the process the State requires to be followed for the FFVP. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Public or private nonprofit schools in the designated States make application to the State Agency. Appropriate forms may be obtained from this agency.

**Award Procedure:**

The State agency reviews the written application of a school based on criteria described in Section 18(g) of the National School Lunch Act and other State agency selection criteria. The State agency selects a total of 25 schools. The State agency then enters into an agreement with the selected schools for their participation in the program.

**Deadlines:**

Please contact the program contact listed in the Information Contacts or Headquarters Office section below.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency.

**Appeals:**

None. The State agency is responsible for selecting schools based on applicable criteria.

**Renewals:**

Annual; amended as necessary.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Permanent, amended as necessary, described by law.

**Reports:**

State agencies must ensure that each school food authority with participating schools maintains and submits itemized reimbursement claim forms to the State agency in order to receive reimbursement. State agencies must submit expenditure data quarterly via the 269A. States must submit final fiscal year grant close out reports within 120 days after the end of the grant period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-profit Organizations," State and local governments, and nonprofit organizations that expended \$500,000 or more under Federal awards within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in A-133. The FFVP is subject to audits.

**Records:**

Schools must maintain full and accurate records of the FFVP. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

FY 07 \$9,036,050; FY 08 est \$12,410,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Child Nutrition Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2590. Contact: Cynthia Long, Director, Special Nutrition Programs, Food and Nutrition Service, Alexandria, VA 22302. Telephone: (703) 305-2161.

**Web Site Address:**

Child Nutrition Division: [www.fns.usda.gov/cnd](http://www.fns.usda.gov/cnd).

**RELATED PROGRAMS:**

10.555, National School Lunch Program; 10.553, School Breakfast Program; 10.857, State Bulk Fuel Revolving Fund Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.600 FOREIGN MARKET DEVELOPMENT COOPERATOR PROGRAM

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Trade Act of 1978, Title VII, 7 U.S.C. 5721, et seq.

**OBJECTIVES:**

To create, maintain and expand long-term export markets for U.S. agricultural products through cost-share assistance and the opportunity to work closely with FAS and its overseas offices.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Cooperator funds are authorized through program agreements with nonprofit U.S. trade associations called Cooperators, that provide for partial reimbursement of generic promotional activities in a Unified Export Strategy application approved by the Foreign Agricultural Service (FAS), the agency which administers the program for the Commodity Credit Corporation (CCC). In general, Cooperator funds may be used only in direct support of activities conducted outside the United States. Types of activities that may be funded include trade servicing, market research, and technical assistance to actual or potential foreign purchasers of U.S. commodities.

**Applicant Eligibility:**

The Commodity Credit Corporation (CCC) enters into agreements with those nonprofit U.S. trade organizations that have the broadest possible producer representation of the commodity being promoted. To be approved, an applicant's proposal must indicate how it can effectively contribute to the creation, expansion, or maintenance of markets abroad. FAS considers a number of factors when reviewing proposed projects. These factors include: (1) The applicant's willingness to contribute resources including cash and goods and services of the U.S. industry and foreign third party; (2) the ability of the organization to provide an experienced U.S.-based staff and with technical and international trade expertise to ensure adequate development, supervision and execution of the proposed project; (3) the degree to which the proposed project is likely to contribute to the development, expansion, or maintenance of foreign markets; and (4) the degree to which the strategic plan is coordinated with other private or U.S. government-funded market development projects.

**Beneficiary Eligibility:**

Preference is given to nonprofit U.S. trade organizations which are nationwide in membership and scope.

**Credentials/Documentation:**

U.S. applicants must prove the ability to provide a competent experienced staff and other resources to assure adequate development, supervision, and execution of promotional activities. Applicants must submit a written export strategy which provides a brief discussion of the commodity for which an agreement is being requested and a description of proposed activities including the foreign countries in which they will be conducted. Applicants must also submit their Internal Revenue Service tax exempt identification number, a Dun and Bradstreet Data Universal Numbering System (DUNS) number, a description of the membership of the applicant organization, a description of the organizations management and administrative capability, the degree to which membership represents national production, an estimate of the level of Government funds required, and the extent to which industry resources are available to match Government expenditures. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each year the availability of funds is announced in a Federal Register notice. At this time a written export strategy should be submitted to the Director, Marketing Operations Staff, FAS. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed against the allocation criteria and factors set forth in 7 CFR part 1484 and the Federal Register program announcement. CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and an allocation/marketing plan approval letter which specifies any special terms and conditions applicable to a cooperator's program. Final agreement occurs when both the participating organization and the Administrator of FAS in the Administrator's capacity as Vice President, CCC, sign the program agreement.

**Deadlines:**

Application deadline is announced in the form of a Federal Register notice.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable. Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

A cooperator's contribution requirement will be specified in the export strategy approval letter. Cooperators must contribute at least 50 percent of the value of resources provided by CCC for activities conducted under the project agreement. Such contribution may be in the form of cash, goods or services.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a provision for program evaluation by an independent third party. Funds awarded in any given fiscal year are typically available for two additional years.

**Reports:**

Expense reports are submitted to claim reimbursement for expenses incurred. Trip reports are submitted within 45 days of completion of travel. A summary of expenses by country and cost code as well as contributions are submitted no later than January 31 following the end of the marketing plan year.

**Audits:**

Cooperator accounts are reviewed periodically, but normally at least every two years, by representatives of the Compliance Review Staff, FAS. Audits and reviews are also conducted sporadically by representatives of the Office of Inspector General and Government Accounting Office. Accounts and records must be available for inspection or audit at any reasonable time.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not less than 5 full calendar years following the year of the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct payments) FY 07 \$34,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$11,000 to \$7,000,000; \$1,243,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1484.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Deputy Administrator, Commodity and Marketing Programs, Foreign Agricultural Service, Department of Agriculture, Washington, DC 20250.  
Telephone: (202) 720-4761.

**Web Site Address:**

<http://www.fas.usda.gov/mos/programs/fmdprogram.asp>.

**RELATED PROGRAMS:**

10.601, Market Access Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Promotion of U.S. soybeans through soymeal livestock feeding trials worldwide, and production and distribution of technical and trade publications throughout South America and South Asia directed towards institutional users; (2) promotion of U.S. forest products through trade exhibits in the United Kingdom, participation in the deliberations of international codes and standards organizations, and trade seminars worldwide demonstrating American building techniques; (3) promotion of U.S. seed through participation in international regulatory organizations to mitigate both tariff and nontariff barriers to U.S. seed exports; and (4) promotion of U.S. poultry through trade seminars in Mexico.

**CRITERIA FOR SELECTING PROPOSALS:**

Allocations are made in a manner that effectively support the strategic decision-making initiatives of the Government Performance and Results Act (GPRA) of 1993. In assessing whether the applicant will effectively create, expand or maintain foreign markets, the following factors are considered: (1) effectiveness of program management; (2) past and present contribution levels; (3) soundness of the strategic plan; (4) past export performance; and (5) past demand expansion performance (6) future demand expansion goals; and (7) accuracy of past demand expansion projections.

**10.601 MARKET ACCESS PROGRAM**

(MAP)

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agricultural Trade Act of 1978, as amended, Section 203.

**OBJECTIVES:**

To encourage the creation, maintenance, and expansion of commercial export markets for U.S. agricultural commodities through cost-share assistance to eligible trade organizations that implement a foreign market development program.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Market Access Program (MAP) funds are authorized through program agreements that provide for partial reimbursement of eligible promotional expenses in a Unified Export Strategy application approved by the Foreign Agricultural Service (FAS), the agency which administers the program for the Commodity Credit Corporation (CCC). MAP participants may receive assistance for either generic or brand promotion activities. Program funds help finance activities such as consumer advertising, point of sale demonstrations, public relations, trade servicing activities, participation in trade fairs and exhibits, market research and technical assistance.

**Applicant Eligibility:**

To be approved, applicants must be: (1) A nonprofit U.S. agricultural trade organization; (2) a nonprofit State regional trade group; (3) a U.S. agricultural cooperative; (4) a State agency; or (5) a U.S. commercial entity that is a small-sized entity (other than a cooperative or producer association).

**Beneficiary Eligibility:**

CCC will enter into MAP agreements only where the eligible agricultural commodity is comprised of at least 50 percent U.S. origin content by weight, exclusive of added water.

**Credentials/Documentation:**

Applicants are required to provide a competent, experienced staff and other resources to assure adequate development, supervision, and execution of promotion activities. All applicants must submit a written proposal which provides a brief discussion of the commodity for which assistance is requested; the proposed program with a justification; and a strategic plan. In addition, all applicants must submit a statement certifying that any CCC resources received will supplement, but not supplant, any private or third party funds or other contributions to program activities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each year the availability of funds is announced in a Federal Register notice. At this time a written export strategy should be submitted to the Director, Marketing Operations Staff, FAS. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed against the allocation criteria and factors set forth in 7 CFR Part 1485. CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter which specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Administrator of FAS in the Administrator's capacity as Vice President, CCC, sign the program agreement.

**Deadlines:**

Application deadline is announced in the form of a Federal Register notice.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable. Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

A participant's contribution requirement will be specified in the export strategy approval letter. Participants must contribute at least 10 percent of the value of resources provided by CCC for generic promotions. Such contributions may be in the form of cash, goods or services. In the case of brand promotions, a participant must contribute at least 50 percent of the total cost of such brand promotions. The brand promotion program is by its very nature a matching funds program.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a provision for program evaluation by an independent third party. Funds awarded in any given fiscal year are typically available for two additional years.

**Reports:**

Expense reports are submitted to claim reimbursement for promotional expenses. Trip reports are submitted not later than 45 days after completion of travel. Research reports and end-of-year contribution reports are submitted no later than 6 months after the end of a participant's activity plan year.

**Audits:**

Participant accounts are reviewed as needed, but normally at least every two years, by representatives of the Compliance Review Staff (CRS) of FAS. Audits and reviews are also conducted sporadically by representatives of the Office of Inspector General and the Government Accounting Office. Accounts and records must be available for inspection or audit at any reasonable time.



**Records:**

Must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year of the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct payments) FY 07 \$100,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$22,000 to \$9,611,000; \$1,375,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1485.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Deputy Administrator, Commodity and Marketing Programs, Foreign Agricultural Service, Department of Agriculture, Washington DC 20250.  
Telephone: (202) 720-4761.

**Web Site Address:**

<http://www.fas.usda.gov/mos/programs/map.asp>.

**RELATED PROGRAMS:**

10.600, Foreign Market Development Cooperator Program.

**EXAMPLES OF FUNDED PROJECTS:**

Generic programs: (1) Promotion of U.S. forest products in Europe through conferences and demonstration projects; (2) promotion of sunflower kernel in Germany through trade shows, advertising and public relations; (3) promotion of U.S. potatoes in Japan through consumer and trade advertising; (4) familiarizing world trading partners with the U.S. grain trading system in order to encourage easier and more fruitful trade. Brand identified promotion program: (1) Promotion of branded citrus worldwide, especially in the Far East and Europe; (2) promotions of branded almonds by increasing consumer awareness in Japan, France and the United Kingdom; and (3) promotions by State groups of a variety of high value products worldwide.

**CRITERIA FOR SELECTING PROPOSALS:**

Allocations will only be made to applicants that present the best opportunity for developing or expanding export markets for U.S. agricultural commodities. In assessing the applicant, the following factors are considered: (1) effectiveness of program management; (2) soundness of accounting procedures; (3) the nature of the organization; (4) prior export promotion or direct export experience; (5) previous MAP funding and performance; (6) adequacy of the applicant's strategic plan; (7) past and present contribution levels; (8) export goals; and the (9) accuracy of past projected export goals. In providing assistance for brand promotions, priority will be given to small-sized entities. Qualifying products whose composition is less than 50 percent U.S. origin are not eligible.

**10.603 EMERGING MARKETS PROGRAM**

(EMP)

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Emerging Markets Program is authorized by the Food, Agriculture, Conservation, and Trade Act of 1990 (FACT Act), as amended by the Federal Agriculture Improvement and Reform Act of 1996 (FAIR Act) Section 1542 (d).

**OBJECTIVES:**

The primary objective of the Emerging Markets Program is to promote, enhance or expand the exports of U.S. agricultural commodities to overseas emerging markets through cost-share assistance to eligible organizations that implement an Emerging Markets Program. The program supports the activities of U.S. agricultural and agribusiness firms--particularly those that may need assistance in obtaining or maintaining access in overseas markets. The program is aimed at improving market access opportunities for agricultural products or processes in low- to middle-income countries that are likely to emerge as promising export markets in the near to medium term.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Emerging Markets Program funds are authorized through project agreements that serve as binding instruments and create a legal obligation on the part of the Commodity Credit Corporation (CCC) to make appropriated funds available to the participant. The agreement creates a cooperative relationship between CCC and the implementor with each side contributing resources to support achievement of mutual goals. Program funds help finance activities such as feasibility studies, market research, sectorial assessments, orientation visits, specialized training, and business workshops. The Program is not intended for

projects targeted at end-user consumers. Ineligible activities include in-store promotions, restaurant promotions, branded product promotions, administrative and operational expenses for trade shows and advertising, except in connection with specific technical assistance activities such as training seminars.

**Applicant Eligibility:**

Applicants must be a: (1) U. S. agricultural or agribusiness organization -- nonprofit, trade association, university, consultant group (under certain conditions), (2) State Department of Agriculture, or (3) USDA agency (or other Federal agency involved in agricultural issues).

**Beneficiary Eligibility:**

(1) a U. S. agricultural or agribusiness organization -- nonprofit, trade association, university, consultant group (under certain conditions), (2) State Department of Agriculture, or (3) USDA agency (or other Federal agency involved in agricultural issues).

**Credentials/Documentation:**

All eligible applicants must submit a written proposal in accordance with the guidelines set forth each year in the Federal Register. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each year solicitation of proposals is announced in the Federal Register. At that time written project proposals should be submitted to the Director, Marketing Operations Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

FAS will notify each applicant in writing of the final disposition of its application. For approvals, letters will contain the notice of approval and any qualifications or adjustments made to the original proposal. For rejections, letters will contain details explaining the reasons why the proposals were not approved for funding. FAS will send an Agreement to each approved applicant. The Agreement will specify the terms and conditions applicable to the project, including the levels of program funding and cost-share contribution. An applicant who accepts the terms and conditions contained in the Agreement should so indicate by having the appropriate authorizing officer sign the Agreement and submit it to the Director, Marketing Operations Staff, FAS, USDA. The Agreement will become effective when the Deputy Administrator signs the Agreement on behalf of CCC.

**Deadlines:**

Application deadline is announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not applicable.

**Renewals:**

Continuation or expansion of successful projects funded by the Program may be considered for future funding through separate application. Funding may be considered for projects which have already begun with the support and financial assistance of a private entity, and for which government funding for continuation of the project is justified. Such proposals must meet the criteria of the Emerging Markets Program, including cost-sharing.

**Formula and Matching Requirements:**

All applications must include an element of cost share. This is the amount of funding U.S. private organizations are willing to commit from their own resources along with those of the Program to seek export business in an emerging market.

**Length and Time Phasing of Assistance:**

Agreements generally include a beginning and end date. Projects are normally funded for one year although some multi-year projects may be funded by the Program, usually on a year-to-year basis.

**Reports:**

Implementors are required to submit regular progress reports, depending upon the length and nature of the project. Progress reports are required for all projects with a duration of at least six months. Final reports are to be submitted 60 days after completion of the project, both on diskette and in hard copy.

**Audits:**

Participant projects are reviewed as needed, but normally at least every two years, by representatives of the Compliance Review Staff (CRS) of FAS. Audits and reviews are also conducted sporadically by representatives of the Office of the Inspector General and the General Accounting Office. Accounts and records must be available for inspection or audit at any reasonable time.

**Records:**

Records must be maintained for at least three years after completion or termination of the Agreement or not more than five full calendar years following the year of the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct payments) FY 07 \$10,000,000; FY 08 est available; and FY 09 est not

reported.

**Range and Average of Financial Assistance:**

Projects are funded on a project by project basis and generally range from \$5,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

EMP receives a large number of project proposals, from both government and private organizations, for funding each year, well beyond the amount of funding available. The Program has also seen significant increases in the level of private participants cost share. In order to operate more efficiently and ease the application and reimbursement process for participants, EMP has converted these functions into an online system. For fiscal year 2005, allocations were made to 71 organizations. Approved activities ranged from market research and training to addressing technical barriers such as in biotechnology and in promoting direct sales. For example, recent trade development activities conducted by the Almond Board of California with EMP funding support include technical seminars for key Russian trade contacts, the production of technical materials, and trade show participation. In addition, industry has funded an in-country representative, website development, and a consumer education program for Russia. As a result, U.S. almond exports to Russia increased dramatically in 2003/2004 to more than 14.2 million pounds, a 58% increase over 2002/2003.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Program currently operates under guidelines.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Director, Marketing Operations Staff, Foreign Agricultural Service, Department of Agriculture, Washington, DC 20250. Telephone (202) 720-4327.

**Web Site Address:**

<http://www.fas.usda.gov/mos/em-markets/em-markets.html>.

**RELATED PROGRAMS:**

10.600, Foreign Market Development Cooperator Program; 10.601, Market Access Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Study of Distribution, Logistical Bottlenecks for Hi-value Products, (2) Technical Seminars on the Proper Storage and Handling of U.S. Pears, (3) Grain Warehouse Receipts Training Seminar, (4) Resolution of SPS and Quality Problems: Translation, Interpretation, Analysis, (5) Trade Education Seminars for Storage and Handling of California Grapes.

**CRITERIA FOR SELECTING PROPOSALS:**

There are two elements that every private sector proposal must contain in order to be considered for funding under the Program: 1. Cost-share. This is the amount of funding U.S. private organizations are willing to commit from their own resources along with those of the Program to seek export business in an emerging market. No proposal will be considered without the element of cost-sharing, regardless of the underlying value of a proposal (the Emerging Markets Program complements, not supplants, export efforts of the U.S. private sector). A minimum or maximum amount of cost share is not specified. Rather, the degree of commitment to a proposed project represented by the percentage and type of private funding is a critical factor in determining which proposals will be funded under the Program. The type of cost-sharing is also not specified. It may be professional time of staff assigned to the project, or actual cash investment. Cost-sharing is not needed for government proposals, but it is required from private organizations who are party to a joint government/private proposal. 2. Justification for Federal Funding. What other sources of funding might be available? Why is funding from the Program required? What specifically could not be accomplished if funding were not provided?

**10.604 TECHNICAL ASSISTANCE FOR SPECIALTY CROPS PROGRAM**

(TASC)

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Technical Assistance for Specialty Crops Program is authorized by Section 3205 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

The Technical Assistance for Specialty Crops Program is designed to assist U.S. organizations by providing funding for projects that address sanitary, phytosanitary, and technical barriers that prohibit or threaten the export of U.S. specialty crops.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Technical Assistance for Specialty Crops Program funds are authorized through project agreements that include the maximum amount that may be reimbursed and identify terms and conditions pursuant to which the Commodity Credit

Corporation (CCC) will reimburse costs. The agreements also outline any specific responsibilities of the participant. Types of activities that may be funded under this program include initial pre-clearance programs, export protocol and work plan support, seminars and workshops, study tours, field surveys, development of pest lists, pest and disease research, database development, reasonable logistical and administrative support, travel and per diem expenses.

**Applicant Eligibility:**

To be approved, an applicant must be a: (1) U.S. government agency; (2) U.S. State government agency; (3) U.S. non-profit trade association; (4) U.S. university; (5) U.S. agricultural cooperative; (6) U.S. private company or (7) any other U.S. organization.

**Beneficiary Eligibility:**

The Technical Assistance for Specialty Crops Program is intended to benefit the represented U.S. industry rather than a specific company or brand.

**Credentials/Documentation:**

Applicants must submit a written proposal which includes, but is not limited to, the following: a brief discussion of the commodity for which funding is requested; a market assessment, including a description of the specific export barrier to be addressed; a description of the activities planned to address the export barrier; and export information that includes performance measures, benchmark performance, and the viability of long-term sales to the market. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each year the availability of funds is publicly announced in a Federal Register notice. Following the announcement, applications for funding may be submitted to the Director, Marketing Operations Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

Proposals are reviewed against the allocation criteria and factors specified in 7 CFR 1487. The CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter that specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Deputy Administrator for Commodity and Marketing Programs, FAS, sign the program agreement.

**Deadlines:**

The application deadline is stated in the form of a Federal Register notice.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable. Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

Although highly encouraged, financial and in-kind support from the participant is not required. Such contributions may be in the form of cash or goods and services.

**Length and Time Phasing of Assistance:**

Agreements generally include the project and a provision for project evaluation. Funds awarded in any given fiscal year are typically available for additional years.

**Reports:**

Claims are submitted to receive reimbursement of approved expenditures associated with completing program projects. Evaluation reports are submitted by the participant within six months of completion of an approved project.

**Audits:**

Participant projects are reviewed by representatives of the Compliance Review Staff (CRS) of FAS. Audits and reviews may be conducted sporadically by representatives of the Office of the Inspector General and the General Accounting Office. Accounts and records must be available for inspection and audit by authorized officials of the U.S. government upon request.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year the transaction that is evidenced in an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments) FY 07 \$2,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Projects funded on a project by project basis for up to \$250,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Director, Marketing Operations Staff, Foreign Agricultural Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4327.

**Web Site Address:**

<http://www.fas.usda.gov/mos/tasc/tasc.asp>.

**RELATED PROGRAMS:**

10.600, Foreign Market Development Cooperator Program; 10.601 Market Access Program.

**EXAMPLES OF FUNDED PROJECTS:**

Pre-clearance program for apples exported to Mexico.

**CRITERIA FOR SELECTING PROPOSALS:**

The FAS will consider the following criteria in evaluating proposals: (1) The identification and nature of the specific export barrier and the extent to which the proposal is likely to successfully remove, resolve, or mitigate that barrier; (2) The potential trade impact of the proposed project on market retention, market access, and market expansion, including the potential for expanding commercial sales in the targeted market; (3) The completeness and viability of the proposal; (4) The applicant organization's ability to provide an experienced staff with the technical and trade experience necessary to economically and effectively execute the proposal; (5) The extent to which the proposal is targeted to an eligible export market in which the United States is generally competitive; (6) The cost of the project and the amount of other (non-TASC) resources specifically dedicated to the project, including cash and goods and services of the U.S. industry and foreign third parties; (7) The degree to which time is essential in addressing the specific export barriers; and, (8) In cases where the CCC receives multiple proposals from different applicants which address essentially the same barrier, the nature of the applicant organization will be taken into consideration, with a greater weight given to those organizations with the broadest base of producer representation.

**10.605 QUALITY SAMPLES PROGRAM**

(QSP)

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Quality Samples Program is authorized by Section 5(f) of the Commodity Credit Corporation (CCC) Charter Act, 15 U.S.C. 714c(f).

**OBJECTIVES:**

The Quality Samples Program is designed to encourage the development and expansion of export markets for U.S. agricultural commodities by assisting U.S. entities in providing commodity samples to potential foreign importers to promote a better understanding and appreciation for the high quality of U.S. agricultural commodities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Quality Samples Program funds are authorized through project agreements that include the maximum amount that may be reimbursed and identify terms and conditions pursuant to which CCC will reimburse costs. Under the QSP, participants may be reimbursed for certain costs of purchasing and transporting commodity samples. Although providing technical assistance is required for all projects, costs of providing the actual technical assistance is not reimbursed under the QSP.

**Applicant Eligibility:**

To be approved, an applicant must be a U.S. private or government entity.

**Beneficiary Eligibility:**

The Quality Samples Program is intended to benefit a represented U.S. industry rather than a specific company or brand.

**Credentials/Documentation:**

Applicants must submit a written proposal which includes, but is not limited to, the following: a description of the organization and its membership; a description of the organization's prior export promotion experience; a description of the organization's experience in implementing an appropriate trade/technical assistance component; an assessment of the market; a long-term strategy in the market; amount of funding requested; a brief description of the specific market development trade constraint or opportunity to be addressed by the project; a sample description; and the importer's role in the project regarding handling and processing the commodity samples. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each year the availability of funds is announced in a Federal Register notice. At that time, proposals should be submitted to the Director, Marketing Operations

Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

Proposals are reviewed against the allocation criteria and factors specified in the Federal Register notice. CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter that specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Deputy Administrator for Commodity and Marketing Programs, FAS, sign the program agreement.

**Deadlines:**

Application deadline is announced in the form of a Federal Register notice.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable. Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

Although highly encouraged, financial and in-kind support from the participant is not required. Such contributions may be in the form of cash or goods and services.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a requirement for program evaluation. Funds awarded in any given fiscal year may be made available for a longer period.

**Reports:**

Reimbursement claims are submitted to claim reimbursement of costs associated with completing approved projects. Evaluation reports are submitted within 90 days of expiration of the agreement.

**Audits:**

Participant projects are reviewed by representatives of the Compliance Review Staff (CRS) of FAS. Audits and reviews may be conducted sporadically by representatives of the Office of the Inspector General and the General Accounting Office. Accounts and records must be available for inspection and audit at any reasonable time.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments) FY 07 \$2,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Projects funded on a project by project basis for up to \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

For the 2005 program year, allocations were made to 20 organizations. Example: The U.S. Wheat Associates, through the use of QSP funded technical assistance activities, successfully introduced U.S. Desert Durum into the Venezuelan market. As a direct result of the QSP funded programs, Venezuela, who exclusively imported Canadian durum wheat, imported 18,200 tons of U.S. wheat.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Director, Marketing Operations Staff, Foreign Agricultural Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4327.

**Web Site Address:**

<http://www.fas.usda.gov/mos/programs/qsp.asp>.

**RELATED PROGRAMS:**

10.600, Foreign Market Development Cooperator Program; 10.601, Market Access Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Shipment of samples of peanut flour to China for a technical assistance activity; (2) brown rice sample shipped to Russia that was used to train rice millers to mill U.S. brown rice; and (3) a sample of orange and grapefruit concentrate shipped to China for a processing seminar.

**CRITERIA FOR SELECTING PROPOSALS:**

FAS uses the following criteria when evaluating QSP proposals: (1) the ability of the organization to provide an experienced staff with the requisite technical and trade experience to execute the proposal; (2) the extent to which the proposal is targeted to a market in which the United States is generally competitive; (3) the potential for expanding commercial sales in the proposed market; (4) the nature of the specific market constraint or opportunity involved and how well it is addressed by the proposal; (5) the extent to which the



importer's contribution in terms of handling and processing enhances the potential outcome of the project; (6) the amount of reimbursement requested and the organization's willingness to contribute resources, including cash and goods and services of the U.S. industry and foreign third parties; and (7) and how well the proposed technical assistance component assures that performance trials will effectively demonstrate the intended end-use benefit.

## 10.606 FOOD FOR PROGRESS

### FEDERAL AGENCY:

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Food for Progress Act of 1985.

### OBJECTIVES:

Agriculture commodities are provided to developing countries and emerging democracies committed to introducing and expanding free enterprise in the agricultural sector.

### TYPES OF ASSISTANCE:

Sale, Exchange, or Donation of Property and Goods.

### USES AND USE RESTRICTIONS:

The following restrictions on commodity use and distribution apply: (a) The Cooperating Sponsor may use the commodities provided only in accordance with the terms of the Program Agreement. (b) Commodities shall not be distributed within the importing country on the basis of political affiliation, geographic location, or the ethnic, tribal or religious identity or affiliations of the potential consumers or recipients. (c) Commodities shall not be distributed, handled or allocated by military forces without specific CCC authorization. (d) In the event that its participation in the program terminates, the non-government cooperating sponsor will safeguard any undistributed commodities and sales proceeds and dispose of such commodities and proceeds as directed by CCC.

### Applicant Eligibility:

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed, i.e., targeted food assistance or sale of commodities for economic development activities; (2) Experience working in the targeted country; and (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program.

### Beneficiary Eligibility:

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed, i.e., targeted food assistance or sale of commodities for economic development activities; (2) Experience working in the targeted country; and (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program.

### Credentials/Documentation:

Organization's Capabilities to Implement the Program. The organization may provide concise information about its past food aid or development activities, its experience within the country where the program is proposed and any other relevant information to demonstrate its capability to implement the program in the country.

### Preapplication Coordination:

Not applicable. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Each year FAS announces on its web site <http://www.fas.usda.gov/> the invitation period for the Food for Progress program. Organizations apply for program funds by submitting a Plan of Operation required by 7 CFR 1499.5.

Organizations may also submit supplemental information that summarizes the need for the program in the country and organizational capabilities to implement the program.

### Award Procedure:

None.

### Deadlines:

Application deadline is included in the announcement on the FAS website.

### Range of Approval/Disapproval Time:

Approximately 90 days.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Agreements normally include assistance or program implementation periods of 1-3 years.

### Reports:

The agreements and regulations require semi-annual reports for commodity logistics and the use of proceeds from the sale of the commodities 7 CFR 1499.17. Organizations must submit quarterly financial reports for all funds advanced and all interested Non-governmental cooperating sponsors are subject of the audit requirements of OMB circular A-133 as implemented in USDA by 7 CFR Part 3052. Audits of States, Local Governments and Non-profit organizations. The cooperating sponsor is also responsible for auditing the activities of recipient agencies that receive more than \$25,000 of provided commodities or sale proceeds. 7 CFR 1499.7.

### Audits:

7 CFR 1499.17.

### Records:

The Cooperating sponsor shall maintain records for a period of three (3) years from the date of export of the commodities that accurately reflect the receipt and use of the commodities and any proceeds realized from the sale of commodities.

### Account Identification:

12-4336-0-3-999.

### Obligations:

FY 07 \$169,000,000; FY 08 est \$225,000,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

None.

### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR 1499.

### Regional or Local Office:

None.

### Headquarters Office:

Director, Food Assistance Division, Foreign Agricultural Service, Department of Agriculture, 1400 Independence Ave., S.W., Stop 1034, Washington, DC 20250-1034. Telephone: (202) 720-4221.

### Web Site Address:

[HTTP://WWW.FAS.USDA.GOV/](http://WWW.FAS.USDA.GOV/).

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Albania Market driven livestock system; Ghana Agri-forestry project in northern Ghana; Guatemala Diversify agricultural production and train farmers on market utilization; Rep. Of Congo Credit programs for farmers; Vietnam Train cocoa farmers on sustainable practices.

### CRITERIA FOR SELECTING PROPOSALS:

Organizational capacity; Substance of activities; Appropriateness of commodities and countries; Quality of proposals Clear, concise and complete Developed ideas Resource ratio Efficiency Beneficiary targeting proposal evaluation criteria.

## 10.607 SECTION 416(B)

### FEDERAL AGENCY:

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Agricultural Act of 1949.

### OBJECTIVES:

U.S. agriculture commodities are provided to developing and friendly countries to carry out programs of assistance.

### TYPES OF ASSISTANCE:

Sale, Exchange, or Donation of Property and Goods.

### USES AND USE RESTRICTIONS:

Restrictions on commodity use and distribution. (a) The Cooperating Sponsor may use the commodities provided only in accordance with the terms of the Program Agreement. (b) Commodities shall not be distributed within the importing country on the basis of political affiliation, geographic location, or the ethnic, tribal or religious identity or affiliations of the potential consumers or recipients. (c) Commodities shall not be distributed, handled or allocated by military forces without specific CCC authorization. (d) In the event that its participation in the program terminates, the non-government cooperating sponsor will safeguard any undistributed commodities and sales proceeds and dispose of such commodities and proceeds as directed by CCC.

### Applicant Eligibility:

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed; (2) Experience working in the targeted country and; (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program.

**Beneficiary Eligibility:**

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed; (2) Experience working in the targeted country and; (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program.

**Credentials/Documentation:**

Organizations capabilities to implement the program. The organization may provide concise information about its past food aid or development activities, its experience within the country where the program is proposed, and any other relevant information to demonstrate its capability to implement the program in the country.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each year FAS announces on it the website <http://www.fas.usda.gov/> invitation period for the Section 416(b) program. Organizations apply for program funds by submitting a Plan of Operation required by 7 CFR 1499.5. Organizations may also submit supplemental information that summarizes the need for the program in the country and organizational capabilities to implement the program.

**Award Procedure:**

None.

**Deadlines:**

Application deadline is included in the announcement on the FAS website [HTTP://WWW.FAS.USDA.GOV](http://WWW.FAS.USDA.GOV).

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Agreements normally include assistance or program implementation periods of 1-3 years.

**Reports:**

The agreements and regulations require semi-annual reports for commodity logistics and the use of proceeds from the sale of the commodities 7 CFR 1499.17. Organizations must submit quarterly financial reports for all funds advanced and all interest earned 7 Non- governmental cooperating sponsors are subject of the audit requirements of OMB circular A-133 as implemented in USDA by 7 CFR part 3052. Audits of States, Local Governments and Non-profit organizations. The cooperating sponsor is also responsible for auditing the activities of recipient agencies that receive more than \$25,000 of provided commodities or sale proceeds. 7 CFR 1499.7.

**Audits:**

7 CFR 1499.17.

**Records:**

The Cooperating sponsor shall maintain records for a period of three (3) years from the date of export of the commodities that accurately reflect the receipt and use of the commodities and any proceeds realized from the sale of commodities.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1499.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director Food Assistance Division, Foreign Agricultural Service, United States Department of Agriculture, 1400 Independence Ave., S.W., Stop 1034, Washington, DC 20250-1034. Telephone: (202) 720-4221.

**Web Site Address:**

[HTTP://WWW.FAS.USDA.GOV/](http://WWW.FAS.USDA.GOV/).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

FY 2003 NFDM Section 416(b); Afghanistan- school milk program; Angola distribute to health centers for HIV/AIDS victims; Azerbaijan vaccination

program for all children; Peru direct feed and health & nutrition training.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal Evaluation Criteria Organizational capacity; Substance of activities; Appropriateness of commodities and countries; Quality of Proposals.

**10.608 FOOD FOR EDUCATION****FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002.

**OBJECTIVES:**

The key objectives of the FFE program are to reduce hunger and improve literacy and primary education, especially for girls. By providing school meals, teacher training, and related support, FFE projects will help boost school enrollment and academic performance. At the same time, nutrition programs will be offered for pregnant women, nursing mothers, infants, and pre-school youngsters to sustain and improve the health and learning capacity of children before they enter school.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

The activities under the program must be in accordance with the terms of the program.

**Applicant Eligibility:**

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed, (2) Experience working in the targeted country; and (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program. 7CFR 1599.3.

**Beneficiary Eligibility:**

The FFE program will focus on developing countries. The national government of the recipient country is fully committed to achieving the goals of the World Declaration on Education for All and should be taking steps to raise nutritional standards and improve the quality and availability of education.

**Credentials/Documentation:**

The program introduction shall include information about the organization's past food aid activities with particular emphasis on school feeding, maternal child health or other relevant development activities, its experience with the country where the program is proposed, and any other relevant information to demonstrate its capability to implement the program in the country, with particular emphasis on the organizations ability to identify and assess the needs of beneficiaries, especially malnourished or undernourished mothers and children who are 5 years of age or younger, and school-age children who are malnourished, undernourished, or do not regularly attend school. 7 CFR 1599.4(b)(1).

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

7 CFR 1599.4 - SF424 Program Introduction Plan of Operation Budget Proposal.

**Award Procedure:**

Application deadline is included in the announcements on the FAS website.

**Deadlines:**

About 60 days.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Agreements normally include assistance or program implementation periods of 1-3 years.

**Reports:**

The agreements and regulations require semi-annual reports for commodity logistics and the use of proceeds from the sale of the commodities 7 CFR 1599.15. Organizations must submit quarterly financial reports for all funds advanced and all interest earned 7 CFR 1499.7.

**Audits:**

Non-governmental cooperating sponsors are subject of the audit requirements of OMB circular A-133 as implemented in USDA by 7 CFR Part 3052. Audits of States, Local Governments and Non-profit organizations. The cooperating sponsor is also responsible for auditing the activities of recipient agencies that receive more than \$25,000 of provided commodities or sale proceeds. 7 CFR

1599.16.

**Records:**

The Cooperating sponsor shall maintain records for a period of three (3) years from the date of export of the commodities that accurately reflect the receipt and use of the commodities and any proceeds realized from the sale of commodities. 7 CFR 1599.15(a)

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Grants) FY 07 \$98,000,000; FY est 08 \$98,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1599.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director Food Assistance Division, Foreign Agricultural Service, Department of Agriculture, 1400 Independence Ave., S.W., Stop 1034; Washington, DC 20250-1034. Telephone: (202) 720-4221.

**Web Site Address:**

<http://www.fas.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Improve food security; Reduce hunger; Improve education; 96 Maternal-child health programs; Government's commitment/action to improve school system; and, Graduate to long-term sustainability.

## 10.609 TRADE ADJUSTMENT ASSISTANCE

(TAA)

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Trade Act of 1974, as amended, Trade Act of 2002.

**OBJECTIVES:**

Under the program, the Department of Agriculture (USDA) provides technical assistance and cash benefits to eligible farmers and fishermen if increased imports have contributed importantly to a price decline of at least 20 percent. Technical assistance under the program can provide access to a wide variety of resources from USDA's Cooperative State Research, Education, and Extension Service (CSREES), in partnership with a county Extension Service, to assist producers in exploring alternative crops and marketing techniques. The program's goal is to help producers respond proactively to import competition through training, cash benefits, and employment services.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

This program makes payments to eligible farmers, ranchers, fish farmers, and fishermen competing with imported aquaculture products.

**Applicant Eligibility:**

USDA's FAS will certify producers eligibility for adjustment assistance if they can demonstrate that their prices are less than or equal to 80 percent of the national average price during the previous 5 marketing years and that increases in imports of like or competitive products "contributed importantly" to the decline in prices. They may then apply individually for benefits. Once a petition has been certified, an applicant is eligible for TAA benefits if: (1) the applicant is an owner, operator, landlord, tenant, or sharecropper who shares in the risk of producing a crop and who is entitled to share in the crop availability for marketing from the farm, or qualified fishermen; (2) they are a producer of a raw agricultural commodity, including livestock, fish, and aquaculture products.

**Beneficiary Eligibility:**

Producers of raw commodities who have been adversely affected by import competition and are covered by a certification of eligibility.

**Credentials/Documentation:**

When applying, producers must provide documentation that they produced the commodity during the most recent marketing year. To be eligible for cash payments, producers must certify that their net income from farming, aquaculture or fishing has declined, from the pre-adjustment year, and that they have received their free technical assistance from the Extension Service. Even if eligible for benefits under multiple petitions, a producer may receive no more than \$10,000 per year in TAA cash payments. Producers may receive no more than \$65,000 in combined counter-cyclical and TAA payments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A group of producers or an association representing a group of producers must first file a petition with USDA's FAS to establish eligibility for assistance. Petitions may be filed by a group of three or more producers or an authorized representative. The TAA petition form may be found on the Internet at <http://www.fas.usda.gov/taa/fas0930.pdf>. A copy may also be obtained from a USDA Farm Service Agency county office, or requested by phone at (202) 720-2916 or by writing to USDA, Foreign Agricultural Service, Trade Adjustment Assistance, STOP 1021, 1400 Independence Avenue, SW, Washington, DC 20250-1021. The TAA regulation defines articles like or directly competitive as products falling generally under the same number in the Harmonized Tariff Schedule of the United States (HTS). Links to the HTS and a U.S. trade database are in the TAA Library. When preparing petitions, producers are encouraged to seek advice from the Trade Adjustment Assistance Office regarding how best to identify their commodity by HTS number. After a petition is certified, eligible producers who apply are eligible to receive trade adjustment technical assistance from the Extension Service at no cost. The Extension Service will provide information regarding the feasibility and desirability of substituting one or more alternative commodities and improve the competitiveness of the production and marketing of the adversely affected commodity. Furthermore, to qualify for a TAA cash payment, producers must complete Form FSA-229, meet with the county Extension Service, and submit all supporting documentation by September 30.

**Award Procedure:**

FAS determined the eligibility of producers of raw commodities who have been adversely affected by import competition based on all information and supporting documentation provided. The Extension Service will make available to all producers who apply for TAA free technical assistance within 180 days of the petition certification date. The Extension Service will contact applicants with the times and dates of scheduled training sessions. Once an applicant has met all program requirements, they will receive a cash benefit based on the certified payment rate times the amount of commodity marketed in the approved marketing year. The Farm Service Agency will make a direct deposit payment to the eligible applicant's checking account. Then, FAS will compute the amount of cash payment for certified eligible producers. The Farm Service Agency (FSA) or National Payment Service (NPS) will make direct deposit payments to certified eligible producers checking accounts. The maximum cash benefit is up to \$10,000 per year. Applicants may receive less, if total applications exceed TAA funding levels.

**Deadlines:**

Use the link to access TAA Petition Registry in order to find out the filing date, approval date, and application period end date for each type of eligible commodity per impacted area <http://www.fas.usda.gov/itp/taa/registry.htm>. A certified eligible producer must apply for adjustment assistance within 90 days after the eligibility certification approval date. FSA county offices can help producers prepare and submit their applications. To qualify for a TAA cash payment, producers must complete Form FSA-229, meet with the county Extension Service, and submit all supporting documentation by September 30.

**Range of Approval/Disapproval Time:**

Petition filing to establish eligibility, on the average, will take 40 days from the date that the petition is accepted and published in the Federal Register. The Extension Service will make available to all producers who apply for TAA free technical assistance within 180 days of the petition certification date.

**Appeals:**

Any person may obtain reconsideration and review of determinations made with respect to applications for program benefits by filing an appeal with the U.S. International Trade Court.

**Renewals:**

TAA may be available in subsequent years if imports keep increasing and producer prices remain below the 80-percent threshold.

**Formula and Matching Requirements:**

An eligible applicant will receive a monetary cash benefit using this formula, the cash benefit will be equal to the certified payment rate times the amount of eligible commodity marketed in the approved marketing year. Payment limitation of \$10,000 exists for applicants who have received prior TAA payments in the same fiscal year or have received \$65,000 in counter cyclical payments. Monetary cash benefits may also be less than the computed amount if total TAA payments exceed available funds.

**Length and Time Phasing of Assistance:**

Payment is made by direct deposit after determining applicant eligibility.

**Reports:**

None.

**Audits:**

At all times during regular business hours, authorized representatives of FSA, the United States Department of Agriculture, or the Comptroller General of the United States shall have access to the premises of the producer in order to inspect, examine, and make copies of the books, records, and accounts, and other written data as specified. Audits of certifications of average adjusted gross income may be conducted as necessary to determine compliance with



established requirements. As a part of this audit, income tax forms may be requested and if requested, must be supplied. If a producer has submitted information to FSA, including a certification from a certified public accountant or attorney, that relied upon information from a form previously filed with the Internal Revenue Service, such producer shall provide FSA a copy of any amended form filed with the Internal Revenue Service with 30 days of the filing.

**Records:**

Persons making application for benefits under this program must maintain accurate records and accounts that will document that they meet all eligibility requirements specified herein, as may be requested by FSA. Such records and accounts must be retained for 2 years after the date of the final payment to the producer under this program.

**Account Identification:**

12-4336-0-4-350.

**Obligations:**

(Funds transferred from FAS to FSA for direct deposit payments) FY 07\$90,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The maximum cash benefit is up to \$10,000 per year. In some years, producers may receive less, if producer demands for TAA exceed funding levels.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the counties. Regulations published in the Federal Register, 7 CFR Part 1580.

**Regional or Local Office:**

Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/statedefault.htm>.

**Headquarters Office:**

Department of Agriculture, Foreign Agricultural Service, Trade Adjustment Assistance, STOP 1021, 1400 Independence Avenue, SW, Washington, DC 20250-1021, Telephone: (202) 720-2916.

**Web Site Address:**

<http://www.fas.usda.gov/itp/taa/taaindex.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers of an eligible commodity identified by HTS number, which has recently suffered from low prices due to increasing imports, and who meet eligibility requirements may receive assistance. Applications are non-competitive.

## 10.652 FORESTRY RESEARCH

(Research Grants & Agreements)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Forest and Rangeland Renewable Resources Research Act of 1978, Public Law 95-307, 92 Stat. 353, 16 U.S.C. 1643.

**OBJECTIVES:**

To extend fundamental research activities of the Forest Service by awarding grants to nonprofit organizations, institutions of higher education, and organizations engaged in renewable resources research.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants will be used for research in the fields of forest management, watershed management, forest range management, wildlife habitat management, forest recreation, forest fire protection, forest insect and disease protection and control, forest products utilization, forest engineering, forest production economics, forest products marketing, forest survey, urban forestry, wilderness, and social/cultural influences. Indirect expenses, when permitted by statute, will be reimbursed according to the negotiated indirect cost rate established by the Government's cognizant audit agency. Grants are limited to 5 years duration.

**Applicant Eligibility:**

Grants for basic or applied research may be made to State Agricultural Experiment Stations, universities and colleges, State and local governments, U.S. Territories, nonprofit research institutions or organizations, international organizations, individuals, and for-profit organizations.

**Beneficiary Eligibility:**

Organizations and scientists involved in basic and applied research activities related to forest and rangeland renewable resources.

**Credentials/Documentation:**

The principal investigator must document competence in the field of the

research proposed. Costs will be determined in accordance with OMB Circular No. A-87, A-21, or A-122, Cost Principles for State and Local Governments, Cost Principles for Educational Institutions, or Cost Principles for Nonprofit Organizations.

**Preapplication Coordination:**

Standard Form 424 (SF-424) will be used. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A complete research proposal must be submitted following guidelines available in each of the offices referred to below. The proposal must explain in detail the work to be undertaken, the qualifications of key personnel involved in the work, other resources such as equipment, facilities, and services available or needed, and a proposed budget for each fiscal year during the life of the proposed grant. A short biographical sketch of the principal investigator and a list of his or her principal publications should be included. This program is subject to the provisions of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, 7 CFR 3015, and 7 CFR 3019.

**Award Procedure:**

All research grant proposals must compete for priority, showing technical competence and demonstrating the ability to meet national or regional needs. Research grants are made only in support of forestry research. Unsolicited proposals can be awarded for innovative or unique approaches to the proposed project.

**Deadlines:**

Applicants may contact the Research Stations for deadlines.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Contact the Research Station for guidance.

**Renewals:**

Requests for continued support will be considered as equal in importance and in competition with pending proposals. Applications submitted for continued support should be identical to a new proposal, except that a resume of progress to date must be added.

**Formula and Matching Requirements:**

The applicant's contribution is negotiated. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and value of resources to be contributed by the applicant. Salaries of academic personnel for periods when they receive salary for teaching should not be included for payment from grant funds.

**Length and Time Phasing of Assistance:**

One to 5 years. Billings for expenses incurred may be submitted monthly, quarterly, or semi-annually.

**Reports:**

Technical reports of progress are required annually; a technical final report is also requested upon completion of project. Fiscal reports are required at least semiannually.

**Audits:**

The Comptroller General of the United States, his representative, or auditors of the cognizant audit agency for the educational institution involved shall have access at any reasonable time to the laboratories, offices, or other facilities of the recipient for purposes of review and observation of the status and progress of the sponsored project. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements. OMB Circular No. A-133, Audits of States, Local Governments and Non-profit Organizations, is applicable.

**Records:**

All related data, information, records, and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is specified in writing by the awarding agency.

**Account Identification:**

12-1104-0-1-302.

**Obligations:**

FY 07 \$14,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,000 to \$300,000. Average: \$35,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87, as implemented by USDA Regulation 7 CFR Part 3016, are applicable to State and local government grantees. OMB Circular Nos. A-110 and A-21 are applicable to educational institutions. OMB Circular Numbers A-110 and A-122, as implemented by USDA Regulation 7 CFR Part 3019, are applicable to nonprofit organizations.

**Regional or Local Office:**

Initial contact for grants shall be made to the Directors of the Research Stations, or the Forest Products Laboratory as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Chief for Research and Development, Forest Service, Department of

Agriculture, P.O. Box 96090, Washington, DC, 20090-6090. Telephone: (202) 205-1075.

**Web Site Address:**

<http://www.fs.fed.us/links/research.html>.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.200, Grants for Agricultural Research, Special Research Grants; 10.202, Cooperative Forestry Research; 10.203, Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500, Cooperative Extension Service.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of executed grants are: effects of prescribed fire on nutrient cycling in ponderosa pine forests; design and test of a proposed experimental system for continuous press drying of paper; and biological decay of logging residues.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established on a program-by-program basis by Research Station Directors to meet Regional or National Research needs.

## 10.664 COOPERATIVE FORESTRY ASSISTANCE

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public Law 101-624.

**OBJECTIVES:**

With respect to nonfederal forest and other rural lands to assist in the advancement of forest resources management; the encouragement of the production of timber; the control of insects and diseases affecting trees and forests; the control of rural fires; the efficient utilization of wood and wood residues, including the recycling of wood fiber; the improvement and maintenance of fish and wildlife habitat; and the planning and conduct of urban and community forestry programs.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

To assist State Forester or equivalent agencies in forest stewardship programs on private, State, local, and other nonfederal forest and rural lands. Programs may include production of timber and efficient processing and use of wood products; developing genetically improved tree seeds; producing and distributing tree seeds and seedlings; reforestation; timber stand improvement; improving wildlife habitat; assisting private woodland owners in harvesting, processing, and marketing activities; conversion of wood to energy; protection and improvement of forest soil fertility; forest insect and disease management; urban and community forestry; Development and transfer of new and improved fire control technologies; organization of shared fire suppression resources, and achievement of more efficient State fire protection; provision of financial, technical and related assistance to local rural fire fighting forces; acquisition and loan of Federal excess property; organizational improvement; forestry resources planning; conservation of forest land; and technology transfer.

**Applicant Eligibility:**

State Forestry or equivalent State agencies, tribes, non-profits, and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

Landowners of nonfederal lands; rural community fire fighting forces; urban and municipal governments, non-profit organizations, tribes and other State, local, and private agencies acting through State Foresters, equivalent State officials, or other official representatives.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, as implemented by 7 CFR Part 3016.

**Preapplication Coordination:**

An environmental impact statement is required for this program whenever pesticides are to be used. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program (i.e., SF-424). To participate in the Forest Legacy Program interested States must prepare an Assessment of need document for approval by the Secretary of Agriculture.

**Application Procedure:**

Not applicable. Contact Regional or Area Office listed in Appendix IV of the Catalog.

**Award Procedure:**

Established by the Regional Office.

**Deadlines:**

States and eligible applicants are requested to submit Form SF-424(A) with SF 424 application and other required forms as advised by the Regional Office within 10 to 60 days.

**Range of Approval/Disapproval Time:**

From 10 to 60 days. State single point of contact will have 30 days from notification of tentative allotments to comment.

**Appeals:**

None.

**Renewals:**

Amend SF-424(A) with SF 424 application is required to amend the allotment amount or length of commitment, other requirements may be established by the Regional Office.

**Formula and Matching Requirements:**

Statistical factors for eligibility do not apply to this program. The amount reimbursed by the Federal Government shall not exceed the amount expended by a State grantee or grantee for all programs except those covered by Section 11 of Public Law 95-313. Cost-sharing ratios for Section 11(a) Management Assistance and Section 11(c), Technology Implementation programs shall be negotiated. Section 11(b), Forest Resource Planning program funds require 20 percent matching by the State. Amount of grant based on negotiated targets to be achieved.

**Length and Time Phasing of Assistance:**

Electronic transfers of payments are encouraged.

**Reports:**

Periodic and annual accomplishment reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Grants) FY 07 \$40,069,200; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$6,000,000. Average: \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Land owners enrolled in forest stewardship programs: 2001 actual 13,919; 2001 estimate 18,604,000; and 2003 estimate, 36,525,000. Acres of forest stewardship plans: 2001 actual 1,437,000; 2001 estimate 1,916,000; and 2003 estimate 3,914,000. Urban communities assisted: 2001 actual 10,785,00; 2002 estimate 10,785,000 and 2003 estimate 23,356,000. Acres protected from fire: 2000 estimate, 1,050,000; 2002 estimate 1,050,000; and 2003 estimate 1,050,000. Acres of forest insect and disease surveys: 2001 estimate, 575,000,000; 2002 estimate 575,000,000; and 2003 estimate 575,000,000. Acres of insect and disease suppression: 2001 estimate 1,500,000; 2002 estimate 1,500,000; and 2003 estimate 1,500,000. The number of applications received and funded is not available without an additional data gathering effort from among field line units. Grants are not competitive, but are of a continuing nature, annually renewable, and based on negotiated targets. The total percentage of applications received and funded was 100.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual- Titles 3000, 3100, 3200, 3300, 3400, 3500, 3600, 3700, 3800, and 3900 available in all Forest Service offices, and State Forestry agency offices. OMB Circular Nos. A-102 and A-87, as implemented by 7 CFR Part 3016, are applicable to State and local government grantees.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.

**Headquarters Office:**

Deputy Chief, State and Private Forestry, Forest Service, Department of Agriculture, P.O. Box 96090, Washington, DC 20090-6090. Telephone: (202) 205-1657.

**Web Site Address:**

<http://www.fs.fed.us/spf/coop>.

**RELATED PROGRAMS:**

10.664, Forestry Incentives Program; 10.670, National Forest\_Dependent Rural Communities; 10.901, Resource Conservation and Development.

**EXAMPLES OF FUNDED PROJECTS:**

Funding is for programs by State Forestry Agencies and other as set forth in

USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. However, grants to rural communities are based on regional and area criteria for meeting the needs and opportunities of the communities. UCF community grants are based on local needs and resources. A specific project focus may be developed by State Urban Forestry Councils.

**10.665 SCHOOLS AND ROADS-GRANTS TO STATES**

(25 Percent Payments to States)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

16 U.S.C. 500.

**OBJECTIVES:**

To share receipts from the National Forests with the States in which the National Forests are situated.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To be used for the benefit of public schools and public roads of the county or counties in which the National Forest is situated.

**Applicant Eligibility:**

Grant recipients must be States (including commonwealths) or territories of the United States containing National Forest land.

**Beneficiary Eligibility:**

States and territories.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

None. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The amount paid shall represent 25 percent of all moneys received during the preceding fiscal year from each National Forest. When a National Forest is in more than one State, territory, or county, the distributive share to each shall be proportional to its area therein. The term "moneys received" includes: 1. all collections under the Act of June 9, 1930 (Knutson-Vandenberg Act); and 2. all amounts earned by or allowed to purchasers of National Forest timber and other forest products, within such State, as purchaser credits for the construction of roads on the National Forests Transportation System within such National Forests or parts thereof in connection with any Forest Service timber sales contract, as well as direct receipts from the sale of forest products, minerals, and land use.

**Length and Time Phasing of Assistance:**

Approximately 75 percent of the estimated fiscal year's payment will be made on or about October 1 of each year. The final payment will be made on or about December 1 of each year.

**Reports:**

Not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**

(Grants to States) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$35 to \$161,888,715.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Fiscal branch of appropriate Forest Service Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Acquisitions Management, Grants and Agreements, Forest Service, USDA, Room 706 RPE, P.O. Box 96090, Washington, DC 20090-6090. Telephone: (703) 605-4776.

**Web Site Address:**

<http://www.fs.fed.us>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.666 SCHOOLS AND ROADS-GRANTS TO COUNTIES**

(Payments to Counties)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

7 U.S.C. 1012.

**OBJECTIVES:**

To share receipts from National Grasslands and Land Utilization Projects with the counties in which the National Grasslands and Land Utilization Projects are situated.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To be used for school or road purposes or both.

**Applicant Eligibility:**

Counties within the States of the United States containing National Grasslands or Land Utilization Projects.

**Beneficiary Eligibility:**

Counties within the States of the United States containing National Grasslands or Land Utilization Projects.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

None. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The amount paid shall represent 25 percent of the net revenues received from the use of the land during the preceding calendar year.

**Length and Time Phasing of Assistance:**

The full 25 percent payment will be made to the county treasurers on or about March 31 of each year.

**Reports:**

Not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**



(Formula Grants) FY 07 \$6,287,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$5 to \$1,706,756. Average: \$69,104.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Fiscal Branch of appropriate Forest Service Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robbie E. Crishon, Director of Procurement and Property, Forest Service, USDA, Room 706 RPE, P.O. Box 96090, Washington, DC 20090-6090. Telephone: (703) 605-4662.

**Web Site Address:**

<http://fs.fed.us>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.670 NATIONAL FOREST-DEPENDENT RURAL COMMUNITIES

(Economic Recovery)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Forest Dependent Rural Communities Economic Diversification Act of 1990, Section 2371, Subtitle G, Chapter 2, Section 2373, Public Law 101-624, 7 U.S.C. 6611, as amended.

**OBJECTIVES:**

Provide accelerated assistance to rural communities faced with acute economic problems associated with Federal, State or private sector resource management decisions and policies and that are located in or near a national forest and are economically dependent upon forest resources. Aid is extended to these rural communities to help them develop strategic action plans to diversify their economic base and to improve the economic, social, and environmental well-being of rural areas.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Training.

**USES AND USE RESTRICTIONS:**

Eligible economically disadvantaged rural areas may request assistance in identifying opportunities that will promote economic improvement, diversification and revitalization. Assistance is coordinated through a community action team and plan. Programs may include upgrade of existing industries, development of new economic activity in non-forest related industries, technical assistance, training and education directed towards meeting the community's planned goals. Assistance requested will be coordinated with other USDA agencies and targeted to provide immediate help to those rural communities in greatest need. Grants and technical assistance are available to those rural communities meeting the eligibility requirements.

**Applicant Eligibility:**

Applicant must be a general purpose local government or tribe represented by a nonprofit corporation or institution under State or Federal law to promote broad based economic development having a population of not more than 10,000; or any county that is not contained within a metropolitan statistical area. In both cases, the county must derive 15 percent or greater primary and secondary labor and proprietary income from forestry and forest related industries, such as recreation and tourism, range, minerals, and wildlife. In all cases, the community or county must also be within 100 miles of the boundary of a national forest. Communities or counties associated solely with national grasslands are not eligible. Individual businesses are not eligible for direct assistance.

**Beneficiary Eligibility:**

Rural communities as defined in the Law.

**Credentials/Documentation:**

When eligibility criteria are met, communities may request assistance in identifying opportunities and implementing action that will promote economic, social, and environmental well-being, including diversification and sustainable development.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable. Contact Regional or Local Office listed in Appendix IV of the Catalog. No community grants are reviewed or awarded at the National Office.

**Award Procedure:**

Established by the Regional Office.

**Deadlines:**

Communities are requested to submit form SF-424(A) with SF-424 application and other required forms as advised by the Regional Office.

**Range of Approval/Disapproval Time:**

The maximum is 60 days.

**Appeals:**

Not applicable.

**Renewals:**

SF-424(A) with SF-424 application is required to amend the allotment amount or length of commitment. Other requirements may be established by the regional office.

**Formula and Matching Requirements:**

The Federal contribution to the overall implementation of an action plan shall not exceed 80 percent of the total cost of the plan, including administrative and other costs.

**Length and Time Phasing of Assistance:**

Financial assistance will support planned action by the community to diversify the local economy and to improve their social, economic, and environmental well-being. Limitation on length of funded projects will be established at the Regional Office.

**Reports:**

Periodic and final reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconcile. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000 to \$30,000.

**PROGRAM ACCOMPLISHMENTS:**

Since the initiation of the Economic Recovery Program, direct assistance has grown from helping 125 eligible communities in fiscal year 1992 to over 800 in fiscal year 2001. Many of the local action plans include activities related to tourism, value-added natural resource enterprises, marketing, special forest products, or building community capacity through leadership or organizational development and training/education projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Implementation Guidelines available in all Forest Service offices. OMB Circular Nos. A-102 and A-87, are applicable and USDA Implementing Regulations 7, CFR 3016, 3017, 3018, and 3019.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.

**Headquarters Office:**

Deputy Chief, State and Private Forestry, Forest Service, Department of Agriculture, P.O. Box 96090, Washington, DC 20090-6090. Telephone: (202) 205-1657.

**Web Site Address:**

<http://www.fs.fed.us/spf>

**RELATED PROGRAMS:**

10.664, Cooperative Forestry Assistance; 10.854, Rural Economic Development Loans and Grants; 10.901, Resource Conservation and Development; 11.303, Economic Development\_Technical Assistance; 11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation.

**EXAMPLES OF FUNDED PROJECTS:**

Training and placing out-of-work loggers into environmental restoration jobs in northern California, Oregon and Washington. Developing and implementing an ecosystem management plan which includes commercial opportunities for utilizing small diameter, second-growth pine in Montezuma, Delores, and La Plata counties in southwestern Colorado. Strategic planning resulting in maintaining the rural character, yet enhancing social and economic benefits of community change in Wakulla County, Florida. Local development and construction of a riverfront park in Libby, Montana. Establishment of the Forest Technology and Training Institute in Clallum County, Washington. Increasing awareness and development of non-farm industries in the historically agriculturally based area around Rust College, Mississippi, with a special

emphasis on recreation and tourism opportunities as well as value-added forest products. Ecotourism training and small business management in Newton County, Arkansas. Establishing state-of-the-art computer technology in Wasatch County, Utah, to help revise the master plan.

**CRITERIA FOR SELECTING PROPOSALS:**

Regional Foresters and the Area Director are given the flexibility to make funding decisions based on their own understanding of community and regional priorities and in consultation with others, such as State, tribal and local agencies and organizations.

**10.671 SOUTHEAST ALASKA ECONOMIC DISASTER FUND**

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Title II, Sections (a) through (a)(4), Public Law 104-134, as amended; Public Law 106-113, as amended.

**OBJECTIVES:**

To counter the effects of the declining timber program of the Tongass National Forest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

To employ former timber workers and for related community development projects.

**Applicant Eligibility:**

Local communities/boroughs named in Public Law 104-134.

**Beneficiary Eligibility:**

Local communities/boroughs named in Public Law 104-134.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The payments to a named governmental entity are determined as stated in Public Law 106-113, as amended.

**Length and Time Phasing of Assistance:**

Awards are made at the beginning of the fiscal year.

**Reports:**

The recipient must be able to report on the fund expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient must make complete financial records available to Federally appointed persons.

**Account Identification:**

12-1108-0-1-451.

**Obligations:**

(Direct payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported. (Note: Per the authorizing legislation, this program ends with the fiscal year 2003 payments.)

**Range and Average of Financial Assistance:**

\$500,000 to \$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Steve Bush, USDA Forest Service, 3301 C Street, Suite 522, Anchorage, AK 99503-3956, Telephone: (907) 271-2519.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

http://fs.fed.us.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.672 RURAL DEVELOPMENT, FORESTRY, AND COMMUNITIES**

(Rural Development Through Forestry)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Department of the Interior, Environment, and Related Agencies Appropriations Act, Public Law 106-291.

**OBJECTIVES:**

To help rural areas analyze and assess forest resource opportunities, maximize local economic potential through market development and expansion, and diversify communities' economic base.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding may be allocated for such things as technical assistance, training and education, equipment, marketing, and all costs associated with making these services available to tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others who are extending services to rural communities.

**Applicant Eligibility:**

Tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others working in support of community identified goals.

**Beneficiary Eligibility:**

Tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others. Forest Service Regions/Areas/Institutes are encouraged to further define program policies that focus resources to meet the regional, State and local needs of communities.

**Credentials/Documentation:**

Assistance is in response to a community or a group of communities' request for assistance in identifying opportunities and implementing action that will promote natural resource-based economic diversification and opportunities, technology transfer, market development and/or expansion.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable. Contact Regional or Local Office listed in Appendix IV of the Catalog. No community grants are reviewed or awarded at the National Office.

**Award Procedure:**

Established by the Regional Office in support of an overall regional strategic plan.

**Deadlines:**

Communities are requested to submit form SF-424 (A) with SF-424 application and other required forms as advised by the Regional Office.

**Range of Approval/Disapproval Time:**

The maximum is 60 days.

**Appeals:**

Not applicable.

**Renewals:**

SF-424(A) with SF-424 application is required to amend the awarded amount or length of commitment. Other requirements may be established by the Regional Office.

**Formula and Matching Requirements:**

The Federal contribution to the overall implementation of a planned project may have a matching requirement, but that match is negotiated. No statutory match.

**Length and Time Phasing of Assistance:**

Financial assistance may be a combination of different interests that seek to support planned action by the community or a group of communities to diversify the local economy and to improve its social, economic, and environmental well being. Limitation on length of funded projects will be established at the Forest Service administrative unit (generally, will not exceed 5 years).

**Reports:**

Periodic and final reports are required.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052 which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," Nonfederal entities that expend

financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

State and other generally accepted accounting systems can be used if control procedures allow for proper audit and reconciliation. All grantees must maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000 to \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

A new electronic reporting system is under development at this time. No measures reported at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Implementation Guidelines available in all Forest Service offices. OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. USDA Implementing Regulations 7 CFR 3015, 3016, 3017, 3018, and 3019 also apply depending on the type of recipient. Legislative history found in Senate and Conference reports 1988, 1989, and 1990 and Forest Service revised guidelines (May 2000).

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.

**Headquarters Office:**

Telephone: (202)205-1657USDA Forest Service, Washington, DC.

**Web Site Address:**

<http://www.fs.fed.us/spf/coop/programs/eap/index.shtml>

**RELATED PROGRAMS:**

10.664, Cooperative Forestry Assistance; 10.854, Rural Economic Development Loans and Grants; 10.901, Resource Conservation and Development; 11.303, Economic Development\_Technical Assistance; 11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 10.670, National Forest\_Dependent Rural Communities.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 1999-2000, Catron County Citizens group, NM, developed a forest restoration plan for the Negrito Ecosystem, created a local Economic Development plan, and established a log sort yard and business incubator. New Mexico State University Advanced Manufacturing Center, NM, assisted P&M Signs of Mountainair in the design and construction of prototype equipment for producing juniper/plastic composite materials to be used in construction and sign applications. Painted Sky RC&D, CO, worked with Delta Timber to conduct an economic feasibility test with 4X4-inch width materials for end and edge glueing into wider and longer materials suitable for manufacture of furniture and cabinets. Utah State Rural Development Council, UT, worked with the Southern Utah Forest Products Association to build skills and cooperative marketing strategies for producers of value-added small diameter wood products, as well as to make connections to regional, national, and international markets. Office of Community Services, Fort Lewis College (regional), is developing an evaluation program for Four Corners Partnership projects in forestry in order to describe and assess project outcomes. Washington Department of Natural Resources and the Washington Hardwoods Commission are working together to establish policies for conservation of the State's hardwood resources. The secondary wood products industry in Oregon was surveyed to determine what specific types of training were needed to assist in improving the skills and education of workers in the industry, leading to development of curricula later offered by the State's community college system. Overall, 1,500 communities and 1,000 organizations assisted in fiscal year 1997; 2,400 communities and 1,200 organizations assisted in fiscal year 1998; and 2,200 communities and 1,000 organizations assisted in fiscal year 1999.

**CRITERIA FOR SELECTING PROPOSALS:**

Regional/Area/Institute administrative units are given the flexibility to make funding decisions based on their specific community and regional priorities documented in a regional strategy for their respective administrative areas. These overall strategies are identified through input by States, tribal nations, local agencies and organizations.

**10.674 FOREST PRODUCTS LAB: TECHNOLOGY MARKETING UNIT (TMU)**

(TMU Biomass Grant/Assistance Program)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Appropriation through 2005 Omnibus Bill, Public Law 108-447; Public Law 108-148.

**OBJECTIVES:**

Increase the amount of biomass used from the National Forest and associated lands involved with hazardous fuel reduction activities. The program will be designed to assist small forest products businesses, State, local and Tribal governments, school districts, communities, entrepreneurs, non-profits, special purpose districts (i.e., public utilities districts, fire districts, conservation districts, or ports), companies, and corporations turn small diameter and underutilized wood species into marketable forest products, including biomass energy. Accelerate adoption of technologies using biomass and small diameter materials to create community-based enterprises through marketing activities and demonstration projects and establish small-scale business enterprises to make use of biomass and small-diameter materials. The public goal is to reduce the cost per acre of hazardous fuel treated needed to protect communities from wildland fire and improve the overall health of the nations forest. Program may include: (1) development of potential new products; (2) projects that showcase innovative uses for small diameter and low-valued hardwoods and softwoods; and (3) reducing the challenge to economic and market barriers to the use of the material (4) provide seed money and gap funding (5) facilitating creation/expansion of harvesting/processing/transporting enterprises around wildland urban interface areas.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Must significantly tie to National Forest System land hazardous fuels treatment projects. No land acquisition or construction.

**Applicant Eligibility:**

Entities eligible include: Non-profits, local, state, and Tribal governments, business, companies, corporation, (for Profit), special purpose districts, (public utilities districts, fire districts, conservation districts, or port). Land treatment must be adjacent National Forest System lands and may include other lands as part of the treatment activities.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program (i.e., SF-424). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Procedures for submitting grant application can be found on [www.fpl.fs.fed.us/tmu](http://www.fpl.fs.fed.us/tmu) or contact the Program Manager as listed under Information Contacts. Submit a narrative description along with the appropriate forms listed in 091, budget sheet, and budget justification.

**Award Procedure:**

Nationally competitive, merit-based.

**Deadlines:**

Please contact the program contact listed in the Information Contacts or Headquarters Office section below.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time: 160 days after the date of closure on a Request for Proposals.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Applicants must demonstrate a 20 percent cost share from non-Federal sources, which can include in-kind contributions. In-kind, or non-cash contributions, must be reasonable, allowable, and the recipient must be able to demonstrate in the application that all costs can be shown as actual costs to the recipient in performing the project. i. All unit costs must be clearly identified in the budget justification and must be allowable, reasonable, and auditable. ii. Funds paid by the Federal government under another award, unless authorized by Federal statute, may not be used for cost sharing or matching.

**Length and Time Phasing of Assistance:**

As determined by project, no longer than 3 years.

**Reports:**

Reports: Grants quarterly financial and semi-annual performance report required.

**Audits:**

Grant recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Grant records will be maintained for 5 years after expiration date.

**Account Identification:**

11-4011-0-1-302.

**Obligations:**



FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: \$50,000 to \$250,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations.

**Regional or Local Office:**

Local contact: List S&PF regional contacts which reference to table as in the past.

**Headquarters Office:**

Technology Marketing Unit, State and Private Forestry, Forest Service, Forest Products Laboratory, One Gifford Pinchot Dr., Madison, WI 53726-2398, (608) 231-9200.

**Web Site Address:**

<http://www.fpl.fs.fed.us/tmu> (grants.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None, this is a new Program.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are approved on the basis of a nationwide review and are based on technical and financial merits of the project as evaluated by a panel of Federal, State, and local business experts and peers. Criteria include showing a demonstrated ability to use biomass from hazardous fuels reduction/treatment projects on and near National Forest Lands.

## 10.675 URBAN AND COMMUNITY FORESTRY PROGRAM

(UCF)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Cooperative Forestry Assistance Act of 1978, Public Law 95-313,92 Stat. 365, 16 U.S.C. 2102 et seq. (As Amended Through Public Law 107-195, June 16, 2002) Section 9 (16 U.S.C. 2105) Urban and Community Forestry Assistance.

**OBJECTIVES:**

To plan for, establish, manage and protect trees, forests, green spaces and related resources in and adjacent to cities and towns to improve urban livability; to link governmental, private and grassroots organizations and resources to address environmental issues at the local, regional and national level; to engage people in citizen-based, grassroots volunteer efforts to assist in retaining and protecting their natural environment to provide a balance between quality of life and land consumption associated with urban sprawl; and to improve the ecological function, and social and economic stability of cities and communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To assist State Foresters, equivalent State agencies, interested members of the public and private non-profit organizations in urban and community forestry programs in cities and communities.

**Applicant Eligibility:**

State Foresters or equivalent State agencies, interested members of the public, private non-profit organizations and others. All States, as well as the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa and Guam, and other territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

State Foresters or equivalent State agencies, local governments, tribes, and non-profit organizations, and other State, local and private agencies acting through State Foresters, equivalent State agencies or other official representatives as agreed by the State Forester, equivalent State agency, and the Secretary.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 For State and local governments, as implemented by 7 CFR Part 3016.

**Preapplication Coordination:**

Regional/Area/IITF Offices provide States and territories with program funding advice each year. This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Contact Regional, Area or Institute Office listed in Appendix IV of the Catalog [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

**Award Procedure:**

Established by the Regional, Area and Institute offices. [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

**Deadlines:**

Contact Regional, Area or Institute Office listed in Appendix IV of the Catalog [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

**Range of Approval/Disapproval Time:**

Established by the Regional, Area, and Institute offices.

[http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

**Appeals:**

Not applicable.

**Renewals:**

Amended SF-424 (A) with SF 424 application is required to amend the allotment amount or length of commitment, other requirements may be established by the Regional, Area or Institute offices.

**Formula and Matching Requirements:**

Statistical factors for eligibility do not apply to this program. Funds reimbursed by the Federal Government may not exceed 50 percent of the total project budget expended by a grantee. The non-Federal share of the match may be in the form of cash, services or in-kind contributions.

**Length and Time Phasing of Assistance:**

Electronic transfer of payments are encouraged. Grants are normally awarded for a period of 12 months. A no cost extension justification must be received and approved by the Forest Service.

**Reports:**

Each State forestry agency or equivalent is required to submit annual accomplishment reports on the program, and have an approved 5-year strategic plan.

**Audits:**

Use of all funds will have to meet Federal and State audit requirements. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

FY 07 \$30,130,000; FY 08 est \$17,436,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006 and FY 2007, 6,364 and 5,800 communities received technical assistance, respectively. In 2006, 164,136,406 people lived in communities that had received program assistance and that were managing or developing urban forestry capacity according to accepted national performance measures: (1) hired professional staff, (2) adopted tree ordinances and policies, (3) implemented an urban forest management plan, and 4) established a local advocacy/advisory organization.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87, as implemented by 7 CFR Part 3016, are applicable to State and local government grantees. Available online at: <http://www.whitehouse.gov/omb/circulars/index.html>.

**Regional or Local Office:**

For Forest Service, State and Private Forestry office addresses and telephone numbers. Visit: [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

**Headquarters Office:**

Deputy Chief, State and Private Forestry, Forest Service, Department of Agriculture, 1400 Independence Ave., SW, Mailstop: 1123, Washington, DC 20250-1123 . Telephone: (202) 205-1657.

**Web Site Address:**

<http://www.fs.fed.us/ucf/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funding is for programs by State Forestry Agencies and others as set forth in Uses and Use Restrictions. Examples include but are not limited to tree inventories, tree planting, training and education for proper tree care, establishment of urban foresters in communities, etc. For examples of current and completed projects, see the Challenge Cost Share Program at: [http://www.treelink.org/nucfac/general\\_info.html](http://www.treelink.org/nucfac/general_info.html).

**CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. UCF community grants are based on local needs and resources.

## 10.676 FOREST LEGACY PROGRAM

(FLP)

**FEDERAL AGENCY:**

DEPARTMENT OF AGRICULTURE, FOREST SERVICE;

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, 16 U.S.C. 2101 et. seq., as

amended by the 1990 Farm Bill, Section 1217 of Title XII of the Food, Agriculture, Conservation and Trade Act of 1990, Public Law 101-624, 104 Stat. 3359, 16 U.S.C. 2103c; later amended by the 1996 Farm Bill, Federal Agricultural Improvement and Reform Act of 1996; Public Law 104-127; Title III, Conservation; Subtitle G Forestry; Section 374, Optional State Grants for Forest Legacy Program.

**OBJECTIVES:**

To effectively protect and conserve environmentally important forest areas that are threatened by conversion to nonforest uses, through conservation easements and other mechanism. The FLP is a voluntary private land conservation partnership between the Forest Service, participating States, land trusts, private landowners, and others. The Program works with State partners and operates on a willing seller and willing buyer basis and is completely nonregulatory in its approach. No eminent domain authority or adverse condemnation is authorized for this Program. Participating States are required to complete an Assessment of Need (AON), which analyzes the need and areas of priority for the program and describes how the program will be implemented within the State.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Landowner participation in the program is voluntary and consists of conveying land or interests in land to achieve land conservation objectives and preparing and periodically updating a Forest Stewardship Management Plan or a multi-resource management plan.

**Applicant Eligibility:**

Projects are evaluated and prioritized by State lead agencies, in consultation with the State Forest Stewardship Coordinating Committees. All States, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, and Guam, and other territories and possessions of the United States may be eligible.

**Beneficiary Eligibility:**

State agency, landowners of private forest lands, and land trust organizations.

**Credentials/Documentation:**

Each State must prepare an Assessment of Need (AON). This document analyzes the need for the program and describes how the program will be implemented within the State. The FS Regional, Area, or Institute Responsible Official must concur with the State's AON. Requirements for an eligible project are: (1) project is within an approved Forest Legacy Area and fits within the priorities of a State's AON; (2) an approved Forest Stewardship Plan or a multi-resource management plan for the project; (3) complies with FLP State and National criteria; (4) a completed grant application; (5) an approved appraisal, meeting Federal acquisition appraisal standards as outlined in the Uniform Appraisal Standards for Federal Land Acquisitions; (6) negotiated terms of a conservation easement, if applicable; and, (7) adequate non-Federal cost share.

**Preapplication Coordination:**

The participating State, private landowner, and participating land trust, when applicable, will negotiate the terms of the conservation easement or acquisition. Forest management activities, including timber management, may be allowed on tracts when consistent with the State AON and the purposes for tract acquisition. In addition, an initial appraisal of the property and a Forest Stewardship Plan should be initiated. This program is excluded from cover under E.O. 12372.

**Application Procedure:**

Application requirements must comply with the Code of Federal Regulations (7 CFR 3016), Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Individual participating States have application duties and procedures.

**Award Procedure:**

The Forest Service will conduct an annual project selection process to arrive at a prioritized national project list for inclusion in the Presidents budget. The Forest Service then issues grants to states for the project specific earmarks designated in the Congressional appropriations bills.

**Deadlines:**

States are required to submit Form SF-424 for each eligible project. An annual project selection calendar with due dates will be developed each fiscal year, and will identify deadlines and approval times.

**Range of Approval/Disapproval Time:**

An annual project selection calendar with due dates will be developed each fiscal year, and will identify deadlines and approval times.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Federal contribution cannot exceed 75 percent of the total project costs, and at least a 25 percent non-Federal cost share is required. The non-Federal cost share may consist of: funds, donations, land or interests in land, in-kind contributions, direct costs, indirect costs, and others as determined by the Forest Service. Funds will be provided to the States on a per-project basis, as determined by the annual Appropriations Law. The non-Federal cost share can occur at any phase of the project within the legal grant period, including planning, developing

future projects, acquisition, capital improvement, management, or administrative activities.

**Length and Time Phasing of Assistance:**

Assistance is provided via grants to States. Typical grant period is two years. Grants can receive a no cost extension up to five years with justification and is approved by the Forest Service.

**Reports:**

States are required to submit annual progress reports on outstanding grants. States are required to monitor properties with conservation easements. Project specific Forest Stewardship Plans are required to be established and updated periodically.

**Audits:**

Use of all funds will have to meet Federal and State audit requirements.

**Records:**

State Lead Agencies are required to retain complete grant files on each grant issued. States must report annual accomplishments data in the Forest Legacy Information System.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

FY 07 \$57,107,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Legacy Program Implementation Guidelines of 2003.

**Regional or Local Office:**

Refer to the web site below for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.  
[http://www.fs.fed.us/spf/coop/library/flp\\_region\\_coord.shtml](http://www.fs.fed.us/spf/coop/library/flp_region_coord.shtml).

**Headquarters Office:**

Forest Service, State and Private Forestry; Cooperative Forestry; 1400 Independence Avenue, SW; Stop Code 1123; Washington, DC 20250.  
Telephone: (202) 205-1389.

**Web Site Address:**

<http://www.fs.fed.us/spf/coop/programs/loa/flp.shtml>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

1. Mt. Blue/Tumbledown, Maine - Hancock Timber Resources Group put on the open market 11,800 acres of forest land in western Maine, including the peak of Tumbledown Mountain, one of Maine's most popular recreation spots. In addition, another 10,000 acres surrounding Mt. Blue State Park was put on the market by another timber company, with a portion of it sold immediately to a liquidator who cleared all the timber and immediately subdivided it into 40 acre lots. Working with a Maine-based forest products company, Hancock Lumber, and the local community, the state of Maine secured the protection of Tumbledown's summit and purchased an easement on other lands that are now owned by Hancock Lumber, ensuing continued timber for its mill. All told, over 21,000 acres have been protected, ensuring continued public access to outstanding recreational lands and maintaining sustainable harvesting to support the economic backbone of western Maine. Forest Legacy funding of \$2.2 million was provided to help supplement private and state funding for this \$5.04 million project. 2. Mountains to Sound Greenway, Washington Forest Legacy funds helped to protect tracts critical to the scenic and ecologic integrity of this unique corridor from expanding development. Surrounded by protected land on two sides and rural development on the others, the Mountains to Sound Greenway and is highly visible from both Rattlesnake Ridge and I-90. The acquisitions preserved scenic values, habitat, wildlife corridors, water quality and working forest opportunities that would have otherwise been lost to private development. Individual tracts of the Mountains to Sound Greenway protected with Forest Legacy funds include Rattlesnake Ridge, Issaquah Creek and Lake Sammamish, critical in protecting local water quality and an important fishery and salmon rearing resource. The acquisitions were a locally-driven multifaceted effort by private, public, and non-profit initiative to protect targeted landscapes for multiple use management. 3. Anderson Tully, Tennessee - In 2001, Anderson Tully Company announced its intention to sell 11,807 acres of unlevveed, bottomland hardwood forest on the Mississippi River in Lauderdale County, Tennessee. Because of the company's excellent forest stewardship record and long history of cooperation with the state in making the land available for public access and hunting - the property was extremely attractive to both forestry and wildlife agencies in the state. The most likely alternative for this property was purchase by private interests and loss of public access. The Nature Conservancy worked with the state agencies and Anderson Tully to negotiate a \$15 million purchase price, \$1 million less than the appraised value of the property. Without Forest Legacy, this project would not have been possible. The Forest Legacy program contributed \$8 million, which was matched by contributions from The Nature Conservancy, the Wild Turkey Federation, state Wetlands Acquisition

Fund, and the North American Wetlands Conservation Program, the state Natural Areas Program - to name a few - and enjoyed strong support of both the Tennessee and Mississippi congressional delegations. Because of the work of this partnership the Anderson Tully property - now known as the John Tully Wildlife Management Area - will remain open for public access, Forest Stewardship Council certified timber management will be conducted by TN Division of Forestry at a demonstration forest on a portion of the property, and high-value waterfowl habitat on the Mississippi River will be protected on into the future. 4. Peaceful Valley Ranch, Utah - Just one mile downstream from the East Canyon Reservoir, this area serves as a source of drinking water for seven counties in the Weber Basin Water District. All told, 16,000 acres of critical watershed lands have been protected Through this project. The landowners of this 7,300 acre ranch faced advancing age, declining income and development pressure in this beautiful area just east of the growing Salt Lake City region. Working with the state of Utah, the MacFarlane family sold at a significantly reduced price an easement over the entire ranch that ensures public access, prevents development, protects drinking water supplies and keeps this longtime family working the land. This project also leveraged a donation to the state of Utah of an easement valued at \$8 million on an 8,800 acre property owned by another part of the MacFarlane family. Forest Legacy funding of \$900,000 was used to leverage state and private funds and the donated easement for this \$15 million project. 5. Green Cathedral, Maryland The town of Crownsville, just outside of Annapolis, is home to the largest undeveloped forested parcel on the Severn River. The Green Cathedral property is 292 acres of important fish spawning and waterfowl nesting areas, and its forests provide the natural process of filtering water that drains into the Severn River and the Chesapeake Bay. Prior to acquisition, the tract was slated for residential development, but the developer agreed to terminate the contract if a buyer for an easement could be found. Forest Legacy funds contributed \$650,000, to be combined with local resident donations, to preserve this critical watershed.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Project evaluation and priority ranking is based on the three national core criteria (importance, threatened, and strategy, as defined in the 2003 FLP Implementation Guidelines) as well as project readiness and other evaluation considerations developed in consultation with States and FS Units.

### **10.677 FOREST LAND ENHANCEMENT PROGRAM**

(FLEP)

#### **FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002. Public Law 107-171.

#### **OBJECTIVES:**

With respect to the sustainable management of nonindustrial private forest and other rural lands suitable for sustainable forest management; provide technical and educational assistance; provide cost share for practices such as management plan development, tree planting, forest stand improvement, agroforestry implementation, water quality improvement and watershed protection, fish and wildlife habitat improvement, forest health protection, invasive species control, wildfire and catastrophic risk reduction, wildfire and catastrophic risk rehabilitation, and special practices approved within the State and by the FS Responsible Official.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

To assist State Foresters or equivalent agencies in sustainable forest management on nonindustrial private forest lands. Program may include agreements with other agencies or organizations to serve as a third party to deliver parts of FLEP. Program may include technical assistance to develop management plans for NIPF lands; educational programs and assistance to increase the awareness and land owner ability to manage forests sustainably; and cost-share assistance to implement sustainable forestry practices on the ground.

#### **Applicant Eligibility:**

State Forestry or equivalent State agencies. All States, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, and Guam and other territories and possessions of the United States that may be eligible.

#### **Beneficiary Eligibility:**

Landowners and managers of nonindustrial private forest lands, non-profit organizations, consultant foresters, universities, other State, local and private organizations and agencies acting through State Foresters, equivalent State officials or other official representatives.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

Each State must prepare a State Priority Plan that is concurred in by the FS Regional, Area, or Institute Responsible Official before any funds can be

disbursed. A management plan must be prepared before a landowner is eligible for cost-share assistance, except where the practice is development of a management plan. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Established by each State forestry agency.

#### **Award Procedure:**

Established by each State forestry agency.

#### **Deadlines:**

Please contact the program contact listed in the Information Contacts section below.

#### **Range of Approval/Disapproval Time:**

Established by each State forestry agency.

#### **Appeals:**

Start with the State Forestry agency, through the FS Regional, Area or Institute Official, with final decisions by the Chief of the Forest Service if no decision is made at a lower level.

#### **Renewals:**

Established by each State forestry agency.

#### **Formula and Matching Requirements:**

Public Law 107-171 establishes the criteria to distribute funds. All criteria are considered at the national and regional level to distribute funds to the States. There are no matching requirements for the State to receive funds. Cost-share payments to NIPF land owners and managers may not exceed 75 percent. Each State forestry agency determines the amount of funds any land owner may receive. Each State forestry agency will request their funds electronically from the Forest Service Regional, Area or Institute office and funds will be sent to each State electronically.

#### **Length and Time Phasing of Assistance:**

Electronic transfers of payments are encouraged. Electronic transfer of funds from the Forest Service to the State forestry agencies typically occurs quarterly.

#### **Reports:**

Each State forestry agency is required to submit annual accomplishment report on the program. Any grants, cooperative agreements or other instrument used to award funds will each require a report on the accomplishment and use of funds.

#### **Audits:**

Use of all funds will have to meet Federal and State audit requirements.

#### **Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data. All records for agreements using any FLEP funds will be maintained in the State forestry agency office for a minimum of 10 years.

#### **Account Identification:**

12-2711-0-1-051.

#### **Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported. (Note: This program expires as of September 30, 2007.)

#### **Range and Average of Financial Assistance:**

States and Territories may receive between \$1,100 and \$832,000 based on allocation criteria.

#### **PROGRAM ACCOMPLISHMENTS:**

Benefits of the regulations include cost sharing to improve forest management on nearly 610,000 acres, owned by more than 7800 landowners. Technical assistance on sustainable forest practices will be provided to more than 1.1 million acres of forestland, and nearly \$8 million will be provided to improve landowner awareness and understanding of sustainable forestry principles and practices. These accomplishments will result in additional carbon sequestration, improved wildlife habitat, improved soil and water quality, and sustainable forest conditions.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual Titles 3300, Chapter 3310, Section 3314; The Principal Laws Relating to USDA Forest Service State and Private Forestry Programs as amended March 2003, FS-758; and the Final Interim Rule, 36 CFR Part 230, Subpart C.

#### **Regional or Local Office:**

Refer to the web site below for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.  
<http://www.fs.fed.us/contactus/regions.shtml>.

#### **Headquarters Office:**

None.

#### **Web Site Address:**

None.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Funding is for programs by State forestry agencies and others as set forth in Uses and Use Restrictions.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Most grants to the State forestry agency are approved when the State Priority Plan has been approved and funds are available.



## 10.678 FOREST STEWARDSHIP PROGRAM

(FSP)

### FEDERAL AGENCY:

DEPARTMENT OF AGRICULTURE, FOREST SERVICE

### AUTHORIZATION:

Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food, Agriculture, Conservation and Trade Act of 1990, as amended, Public Law 107-171.

### OBJECTIVES:

To promote and enable the long-term active management of non-industrial private and other non-federal forest land to sustain the multiple values and uses that depend on such lands.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

To provide financial, technical, educational, and related assistance to State foresters or equivalent State officials for: The delivery of information and professional assistance to owners of nonindustrial private forest lands; The afforestation, reforestation and active management of state and other non-federal forest land; and Improved forest seedling production and distribution.

### Applicant Eligibility:

State forestry or equivalent State agencies, tribes, non-profits, and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Trust Territory of the Pacific Islands, and territories and possessions of the United States may be eligible.

### Beneficiary Eligibility:

Landowners of non-federal lands, non-profit organizations, tribes and other State, local, and private agencies acting through State Foresters, equivalent State officials, or other official representatives are eligible.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

Regional and Area Offices provide States and territories with program funding advice each year for the current fiscal year. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

States and other eligible applicants prepare grant proposal narratives for submittal to Regional and Area Offices, accompanied by completed standard application forms as furnished by the Federal agency and required by OMB circular No. A-102, as implemented by 7 CFR Part 3016 (i.e., SF-424).

### Award Procedure:

Established by Regional and Area Offices.

### Deadlines:

States and eligible applicants are requested to submit Form SF-424(A) with SF-424 application and other required narratives, forms and assurances as advised by the Regional and Area Offices within 10 to 60 days following official funding advice notification.

### Range of Approval/Disapproval Time:

From 10 to 60 days after the application is filed with the Forest Service Regional or Area Office.

### Appeals:

Not applicable.

### Renewals:

SF-424(A) with SF-424 application is required to amend the grant amount or length of commitment. Other requirements may be established by the Regional or Area Office.

### Formula and Matching Requirements:

Formula and Matching Requirements: Applicant matching requirements are determined by Regional and Area Offices. Matching funds cannot come from other federal sources.

### Length and Time Phasing of Assistance:

Electronic transfers of grant reimbursement payments to States and other program participants is encouraged. Funds are transferred to States and participants, following the submittal of financial and narrative progress reports to Regional and Area offices as requested. Grants are normally awarded for a period of 12 to 18 months.

### Reports:

Periodic and annual accomplishment and financial reports are required, by Regional and Area Offices. These reports must accompany all grantee cost-share reimbursement requests.

### Audits:

Program grant recipients are subject to audit by the Office of Inspector General, USDA.

### Records:

State and other grant recipients and Regional and Area Offices must retain records pertaining to grant payments received for a minimum period of five years. State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation.

### Account Identification:

12-1105-0-1-302.

### Obligations:

FY 07 \$40,069,200; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$25,000 to \$2,000,000. Average: \$450,000.

### PROGRAM ACCOMPLISHMENTS:

Program performance measures are number of Landowners assisted, Forest Stewardship plans completed, and number of corresponding acres encompassed by plans.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Forest Service Manual Titles 3000 and 3200 and the Forest Stewardship Program National Standards and Guidelines. OMB Circular Nos. A-102 and A-87, as amended by 7 CFR Part 3016, are applicable to State and Local Government grantees.

### Regional or Local Office:

Office: [Http://www.fs.fed.us/contactus/regions.shtml](http://www.fs.fed.us/contactus/regions.shtml), Forest Service Regions 1 & 4 (ID, MT, ND, NV, UT))  
Dee Sessions USDA Forest Service Federal Building, 324 25th Street Ogden, UT 84401. Telephone: (801) 625-5189; Fax: (801) 625-5127; E-mail: [dsessions@fs.fed.us](mailto:dsessions@fs.fed.us); Forest Service Region 2 (Rocky Mountain) (CO, KS, NE, SD, WY) Susan Gray, USDA Forest Service, P.O. Box 25127 Lakewood, CO 80225. Telephone: (303) 275-5239 Fax: (303) 275-5754; E-mail: [segray@fs.fed.us](mailto:segray@fs.fed.us); Forest Service Region 3 (Southwestern Region) (AZ, NM); George Martinez, USDA Forest Service, 517 Gold Ave., S.W. Albuquerque, NM 87102. Telephone: (505) 842-3229; Fax: (505) 842-3800; E-mail: [gcmartinez@fs.fed.us](mailto:gcmartinez@fs.fed.us); Forest Service Region 5 (Pacific Southwest Region) (CA, HI); Sandra Stone, USDA Forest Service 1323 Club Drive, Vallejo, CA 94592. Telephone: (707) 562-8918; Fax: (707) 562-9054; E-mail: [ssstone@fs.fed.us](mailto:ssstone@fs.fed.us) Forest Service Region 6 (Pacific Northwest Region) (OR, WA) Ray Abriel USDA Forest Service 333 SW First Ave P.O. Box 3623 Portland, OR 97208. Telephone: (503) 808-2355; Fax: (503) 808-2339; E-mail: [rabel@fs.fed.us](mailto:rabel@fs.fed.us) Region 8 (Southern Region) (AL, AR, FL, GA, KY, LA, MS, NC, OK, SC, TN, TX, VA) David Hoge USDA Forest Service, 1720 Peachtree Road, NW, Ste. 8508 Atlanta, GA 30367. Telephone: (404) 347-1649; Fax: (404) 347-2776; E-mail: [dhoge@fs.fed.us](mailto:dhoge@fs.fed.us); Northeastern Area (CT, DE, IL, IN, IA, MA, MD, ME, MI, MN, MO, NJ, NH, NY, OH, PA, RI, VT, WI, WV) Mark Buccowich USDA Forest Service 11 Campus Blvd., Ste. 200 Newtown Square, PA 19073. Telephone: 610-557-4029; Fax: (610) 557-4136; E-mail: [mbuccowich@fs.fed.us](mailto:mbuccowich@fs.fed.us); Region 10 (Alaska Region) (AK); Steve Bush, USDA Forest Service, 3301 C Street, Suite 522 Anchorage, AK 99503. Telephone: (907) 271-2550; Fax: (907) 271-2897 E-mail: [sbush@fs.fed.us](mailto:sbush@fs.fed.us).

### Headquarters Office:

Karl R. Dalla Rosa, Forest Stewardship Program Manager, Forest Service, State and Private/Cooperative Forestry, P.O. Box 96090, Washington, DC 20090-6090. Telephone: (202) 205-6206.

### Web Site Address:

<http://www.na.fs.fed.us/spfo/stewardship/index.htm>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Funding is for private and non-federal landowner assistance, and supporting programs that are developed and carried out by State forestry agencies or other eligible applicants as described in the USES AND USE RESTRICTIONS section above.

### CRITERIA FOR SELECTING PROPOSALS:

Applicant grant proposals are reviewed, and funds are granted by Regional and Area Offices.

## 10.679 COLLABORATIVE FOREST RESTORATION

(CFRP)

### FEDERAL AGENCY:

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Secure Rural Schools and Community Self-Determination Act of 2000, Title VI-Community Forest Restoration, Public Law 106-393, Section 605, Establishment of Program.

### OBJECTIVES:

The purposes of the grants are: to promote healthy watersheds and reduce the threat of large, high intensity wildfires, insect infestation, and disease in the forests in New Mexico; to improve the functioning of forest ecosystems and enhance plant and wildlife biodiversity by reducing the unnaturally high number and density of small diameter trees on Federal, Tribal, State, County, and Municipal forest lands; to improve communication and joint problem solving among individuals and groups who are interested in restoring the diversity and productivity of forested watersheds in New Mexico; to improve the use of, or add value to, small diameter trees; to encourage sustainable communities and sustainable forests through collaborative partnerships, whose objectives are forest restoration; and to develop, demonstrate, and evaluate ecologically sound

forest restoration techniques.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding may be allocated for such things as technical assistance, training and education, equipment, marketing, and all costs associated with making these services available to tribal governments, educational institutions, landowners, and other interested public and private entities.

**Applicant Eligibility:**

Local and tribal governments, educational institutions, landowners, conservation organizations, and other interested public and private entities. Grant proponents must include a diverse and balanced group of stakeholders as well as appropriate Federal, Tribal, State, County, and Municipal government representatives in the design and implementation of the project. The projects may be entirely on, or on any combination of, Federal, Tribal, State, County, or Municipal forestlands. Processing facilities may be located on private land if they are associated with restoration activities on public land.

**Beneficiary Eligibility:**

Local and tribal governments, educational institutions, landowners, conservation organizations, and other interested public and private entities. Grant proponents must include a diverse and balanced group of stakeholders as well as appropriate Federal, Tribal, State, County, and Municipal government representatives in the design and implementation of the project. The projects may be entirely on, or on any combination of, Federal, Tribal, State, County, or Municipal forestlands. Processing facilities may be located on private land if they are associated with restoration activities on public land.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

The State of New Mexico Local Government Division has determined that they do not choose to exercise their option under EO 12372 to conduct an intergovernmental review of Collaborative Forest Restoration Program grant proposals. They have requested that the CFRP project proposals not be sent to their office. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants are required to submit form SF-424, SF-424(a), SF-424 (b), AD 1047, AD 1049, and other information described in the Request for Proposals. Proposals should be sent to: CFRP Program, Cooperative and International Forestry, USDA Forest Service, Room 329, 333 Broadway SE, Albuquerque, NM 87102.

**Award Procedure:**

The Collaborative Forest Restoration Program Technical Advisory Panel evaluates the proposals and provides recommendations to the Forest Service on which ones best meet the purposes, objectives, and administrative requirements of the program. The panel also evaluates the effect of each proposal on long-term forest management. The Forest Service Southwestern Regional Forester selects proposals for final award. The Secretary of Agriculture chartered the Technical Advisory Panel as a Federal Advisory Committee for two years on June 12, 2001 (CFR 1042-138) under the Federal Advisory Committee Act (Public Law 92-463). The Secretary reauthorized the Panel's charter on July 30, 2003 (CFR 1042-138).

**Deadlines:**

Contact the regional office for specific application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 Days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of an individual project cost shall not exceed 80 percent of the total cost. The 20-percent matching may be in the form of cash or in-kind contribution. Projects can not exceed a total annual cost of \$150,000, with the Federal portion not exceeding \$120,000 annually, nor exceed a total cost of \$450,000 for the project, with the Federal portion of the total cost not exceeding \$360,000 (Public Law 106-393, Title VI, Sec. 605(a) and (b)(8)).

**Length and Time Phasing of Assistance:**

Projects may not exceed 4 years in length (Public Law 106-393, Title VI, SEC. 605(b)(7)). Assistance will be provided by no more than monthly payments.

**Reports:**

Periodic and final performance reports are required. Annual financial reports will also be required. Grant recipients must attend an annual workshop with other stakeholders for the purpose of discussing the cooperative forest restoration program and projects implemented under Collaborative Forest Restoration Program. Grant recipients may use project grant funds to pay for their travel and per diem expenses to attend the workshop.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems can be used if control procedures allow for proper audit and reconciliation. All grantees must maintain adequate systems for collection and recording statistical data. Project records must be maintained for a period of three years after the project has ended.

**Account Identification:**

12-1115-0-1-302.

**Obligations:**

(Grants) FY 07 \$4,100,700; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$66,361.00 to \$360,000.00.

**PROGRAM ACCOMPLISHMENTS:**

The Collaborative Forest Restoration Program (CFRP) Technical Advisory Panel has met four times to provide the USDA Forest Service Southwestern Regional Forester with consensus recommendations regarding which project proposals submitted for funding under the CFRP best met the objectives of the program. From 2001 to 2004 the Panel reviewed 149 grant proposals and developed consensus recommendations to fund 62 of them. The Panel adopted bylaws to guide their work. CFRP grantees and their partners met in 2003, 2004 and 2005 at the CFRP Annual Workshop to discuss projects implemented under the program. The 2006 Annual Workshop for grantees, their partners, and other interested stakeholders will be held in Albuquerque or Santa Fe in January 2006. CFRP grants support a wide variety of forest and watershed restoration, small diameter utilization, training, and multi-party monitoring and assessment projects in New Mexico. These projects are effectively engaging board and diverse interest groups in collaborative efforts to restore New Mexico's public forestlands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The authorizing legislation (Public Law 106-393 Title VI), a list of the members of the Collaborative Forest Restoration Program Technical Advisory Panel, The Charter for the Technical Advisory Panel, The Technical Advisory Panel Recommendations, The Request for Proposals, Project Summaries for funded activities, and a List of Forest Service Contacts can be found on the website for the Southwestern Region of the Forest Service at [www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp).

**Regional or Local Office:**

Regional or Local Office: Refer to Appendix IV of the Catalog for addresses and telephone numbers of the Forest Service National Forests in New Mexico. These are the Gila, Lincoln, Cibola, Santa Fe, and Carson National Forests.

**Headquarters Office:**

Telephone: (505) 842-3289, USDA Forest Service Southwestern Region, Cooperative and International Forestry staff, 333 Broadway S.E., Albuquerque, NM 87122.

**Web Site Address:**

[www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp).

**RELATED PROGRAMS:**

10.664, Cooperative Forestry Assistance; 10.672, Rural Development, Forestry, and Communities; 10.854, Rural Economic Development Loans and Grants; 10.901, Resource Conservation and Development; 11.303, Economic Development Technical Assistance; 11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation.

**EXAMPLES OF FUNDED PROJECTS:**

The following activities were among those funded in fiscal year 2004: (1) The project will remove small diameter trees, reduce fuel loads and other flammable materials on 200 acres of Forest Service land that abuts private land north of Shady Brook and around campgrounds on the west end of Taos. Emphasis will be on eliminating crowded and non-native plant and tree species by removing trees less than 12 inches in diameter. Healthy old and large trees and snags in both conifer and aspen stands will be preserved. Free firewood will be distributed to local residents and posts and poles less than 12 inches in diameter will be provided to recipients with permits. Local community members will be hired for thinning projects. The project proponents estimate that 10-12 jobs will be created for the thinning work, and at least eight people will be trained in forest practices. (2) The project will gather and review information about the Santa Domingo Pueblo Bosque (riparian) area and upland resources to identify information gaps; establish methodologies for fuel loading inventories to establish monitoring protocols; conduct baseline surveys of vegetation; explore the feasibility of opening a tribal wood-yard for small diameter timber; involve the community in the development of the project; develop a comprehensive fuels management strategy; and conduct a pilot restoration treatment on 50 acres of Tribal Bosque and woodland. The project includes a summer education and work program for Santo Domingo youth on the restoration protection of the Rio Grande floodplain protection. (3) The project will conduct fuels reduction and forest restoration treatments to reduce hazardous fuels, improve habitat, reduce non-native species and improve watershed conditions on 225 acres of Ponderosa Pine, mixed conifer, and pinyon-juniper forest on Tribal, BLM and NM State

Lands near the communities of Candy Kitchen and Fort Wingate. Logs over 9 will be milled, graded, and dried to sell to the Zuni Furniture company and others. Lower grade material will be dried and sold to the community for construction. Logs too small for milling will be made into posts and vigas with traditional Zuni carvings for local and regional markets. The grantees will also study the feasibility of biomass heat and/or power applications for the remaining materials and milling waste. High school students will collect data for multi-party monitoring and assessment reports. (4) This project will chip trees resulting from forest restoration and Wildland Urban Interface fuels reduction projects on the Gila National Forest to provide the Fort Bayard Medical Center with biomass for a new biomass fired boiler system. Gila WoodNet will purchase and install chip handling and processing equipment to be used in screening and re-chipping; purchase and install chip storage bins and equipment to deliver chips; purchase a truck for chip transport; purchase and install scales and moisture monitoring equipment for determining BTU content and value; install transfer, storage, and re-chipping facilities to receive and process biomass; and provide monitoring and system evaluation assistance to other biomass heating projects in the state. The project will create up to five permanent year-round jobs and support up to twenty other forest and wood product related jobs. (5) This project will develop and manufacture high value wood products using logs removed from forest restoration and Wildland Urban Interface fuels reduction projects on National Forest lands in Catron County. The Forestry Association will: purchase, fabricate, and install milling equipment and train local operators to manufacture products made from small diameter trees; participate in collaborative processes that incorporate forest restoration principles and work with business enterprises; mentor young people through Youth Conservation Programs; and design and coordinate community-based multi-party forest restoration monitoring efforts. (6) This project will develop maps, models and assessments of current, reference, and alternative future forest conditions and fire behavior in the Sheep Basin and Negrito Watershed areas and use a collaborative process to develop science-based prescriptions for forest restoration. Treatments will restore the size and age class distribution and spatial pattern of trees to their historic range and variability on approximately 456 acres of the Gila National Forest. The mechanical treatments will be followed by broadcast burns to reintroduce fire when it is ecologically appropriate and safe to do so. The grantee and their partners will develop a model of science-based adaptive management practices through multi-part monitoring and assessment of the ecological and socio-economic effects of the project. (7) The project will conduct forest restoration and fuels reduction treatments on approximately 249 acres of tribal and municipal land. The non-federal match includes the treatment of 267 acres of adjoining tribal land. The project acres adjoin other on-going forest restoration projects on Forest Service land (153 acres) and private land (99 acres). The harvested material will be used by local businesses to produce wood shavings for animal bedding, compost and mulch products. Data for a multi-party assessment of the ecological and socio-economic effects of the project will be collected with assistance from the Mescalero Apache School and Youth Conservation Corps. (8) The Santa Fe County Fire Department will thin trees to reduce fire risk and restore forest health on 43 square miles of high hazard County land in the Wildland Urban Interface where people have built homes and live in forested areas adjacent to County lands. The County will use a collaborative process to identify and prioritize areas to be treated, develop treatment methods, solicit proposals from local contractors, measure and assess treatment processes, implement a media campaign, analyze data, and train participants.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated to determine if they followed the administrative requirements of the program and the proposal format described in the Request for Proposals. The Collaborative Forest Restoration Program Technical Advisory Panel will evaluate grant proposals based on the purpose and eligibility requirements described in the Community Forest Restoration Act of 2000 (Section 3 and Section 5, Title VI, Public Law 106-393). The Panel will consider the proposed projects effect on long-term management and the capability of the proponents to accomplish the project. The Panel will also examine the degree to which proposed activities complement existing projects and programs and evaluate whether the project would reduce the danger of wildland fire in high-risk areas in New Mexico.

**10.680 FOREST HEALTH PROTECTION**

(FHP)

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public Law 101-624; Consolidated Appropriations Resolution FY 2003, Public Law 108-7, Division F, Title II; subsequent appropriation Acts, Public Law 108-108.

**OBJECTIVES:**

Protect non-Federal forest and tree resources from damaging forest insects,

disease causing agents, and invasive plants; develop/improve forest health protection technologies; and monitor the health of our nation's forests.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To assist State Foresters, State Plant Regulatory Officials, equivalent State officials, or other official representatives, subdivisions of states, agencies, institutions (public and private), organizations (profit or nonprofit), and individuals on non-Federal lands. Activities include: conducting surveys to detect and assess insect, disease, invasive plant and other stressors; monitoring and reporting on the health of forests and trees; recommending measures to prevent, retard, slow the spread, control, suppress or eradicate incipient, potential, threatening or emergency forest and tree pests; planning, organizing, directing, and performing such measures; providing technical and scientific information, advice, and related assistance; developing applied methods and technology to improve management of forest health; providing information on pesticides and their use; promoting implementation of appropriate silvicultural or management techniques to improve forest health; and taking other actions deemed necessary to accomplish the objectives and purposes of the Forest Health Protection program. Assistance to tribal lands held in trust by the United States Government is provided directly by the Forest Service, and thus are not included in this cooperative program. However, other tribal lands, such as Alaska Native Corporation Lands, that are not held in trust are included.

**Applicant Eligibility:**

State Forestry, State Agriculture or equivalent State agencies, subdivisions of states, Alaska native corporations and tribal governments, institutions (public and private), organizations (profit and non-profit), and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

State Foresters, State Plant Regulatory Officials, equivalent State officials or other official representatives, tribes, subdivisions of states, agencies, institutions (public and private), organizations (profit or nonprofit), and individuals on non-Federal lands.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, as implemented by 7 CFR Part 3016.

**Preapplication Coordination:**

Compliance with the National Environmental Policy Act is required for this program whenever pesticides are to be used. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Applicants should consult the office or official designated as the single point of contact in their State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program (i.e., SF-424).

**Application Procedure:**

Not applicable. Contact Regional or Area or International Institute of Tropical Forestry (IITF) Office listed in Appendix IV of the Catalog.

**Award Procedure:**

Established by the Regional, Area or IITF Office.

**Deadlines:**

States and eligible applicants are requested to submit Form SF-424(A) with SF 424 application and other required forms as advised by the Regional, Area or IITF Office within 10 to 60 days.

**Range of Approval/Disapproval Time:**

Submission due dates are developed for each fiscal year. Contact Region, Area or IITF office. State single point of contact will have 30 days from notification of tentative allotments to comment.

**Appeals:**

Not applicable.

**Renewals:**

Submit SF-424(A) with SF 424 application to amend the allotment amount or length of commitment; other requirements may be established by the Regional, Area or IITF Office.

**Formula and Matching Requirements:**

Funding for the Cooperative Forest Health Protection program is provided to states to help support a base level of professional forest health expertise for non-federal forest land managers. Grants for this program are allocated to states using a formula that is based on the number of acres of non-federal forest land within the states, other factors, and amount of funding available through annual appropriations; the purpose of this funding is to help support a base level of professional forest health expertise for non-federal forest land managers. Applicant matching for cooperative Forest Health Protection programs and projects that treat specific forest health problems on non-federal lands is required and is usually about 50%. In cases where it is mutually agreed that an applicant will treat Federal lands as part of a cooperative project or program, the Forest Service reimbursement is 100% for the federal portion. However,



applicant matching rates may be adjusted in emergency or extraordinary situations. Forest Service cost-share rates for activities involving development of new and improved forest health protection methods and technologies, and the conduct of special projects and evaluations are negotiated on a project-by-project basis with the grantee. The applicant share of cooperative programs may be in the form of cash, services, or in-kind contributions. If a state elects to consolidate the annual Forest Service financial assistance, in lieu of functional cost sharing mechanisms, the total consolidated payment to any state during any fiscal year may not exceed the total amount of non-federal funds expended to implement its state forest resources program during that year. However, the Forest Service may exceed the non-federal amount for specific selected activities under the program as long as the total federal expenditure during any fiscal year does not exceed the total non-federal expenditure during that year under the state forest resources program.

**Length and Time Phasing of Assistance:**

Electronic transfers of payments are encouraged.

**Reports:**

Periodic and annual accomplishment reports are required.

**Audits:**

Periodic and annual accomplishment reports are required. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Grants) FY 07 \$40,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$6,000,000. Average: \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Annual acres of forest insect and disease surveys is approximately 500,000,000. Annual acres of insect and disease suppression is approximately 1,000,000. The number of applications received and funded is not available without an additional data gathering effort from among field line units. Grants and agreements for base forest health programs on cooperative lands are not competitive, but are of a continuing nature, annually renewable, and based on negotiated targets. Grant and agreements for pest prevention and suppression projects, methods and technology development and special projects are generally competitive and solicited through Requests for Proposals. The total percentage of applications received and funded was 100 for base programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual- Title 3400 is available in all Forest Service offices, and State Forestry agency offices. OMB Circular Nos. A-102 and A-87, as implemented by 7 CFR Part 3016, are applicable to State and local government grantees.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for Regional and Northeastern Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Northeastern Area Director of the Forest Service.

**Headquarters Office:**

Deputy Chief, State and Private Forestry, Forest Service, Department of Agriculture, P.O. Box 96090, Washington, DC 20090-6090. Telephone: (202) 205-1657.

**Web Site Address:**

<http://www.fs.fed.us/spf/coop>.

**RELATED PROGRAMS:**

10.064, Forestry Incentives Program; 10.670, National Forest Dependent Rural Communities; 10.901, Resource Conservation and Development.

**EXAMPLES OF FUNDED PROJECTS:**

Granted the Alaska Division of Forestry \$60,000 for biological control of birch leafminer infestation on private lands. Granted Colorado State Forest Service \$1,000,000 for treatments to control mountain pine beetle infestations on non-federal lands within the state. Granted the Minnesota Department of Natural Resource's Division of Forestry \$300,000 to control the spread of oak wilt on private lands within the state. Granted the Alabama Forestry Commission \$1,000,000 to carry out treatments on non-federal lands to help prevent future southern pine beetle outbreaks. Granted the Oregon Department of Forestry \$150,000 for treatments to help eradicate sudden oak death infections in the state. Granted the Tennessee Dept. of Agriculture \$450,000 for treatments it eradicate an isolated gypsy moth infestation in the state.

**CRITERIA FOR SELECTING PROPOSALS:**

All grants and cooperative agreements are approved on the basis of negotiated targets, project objectives to be achieved, and relationship to national and regional forest health issues, priorities, and needs.

**10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC)**

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 U.S.C. 2101 et. seq.; Forest and Rangeland Renewable Resources Act of 1978, as amended, 6 U.S.C. 1600-1614.

**OBJECTIVES:**

To provide funds, on a cost-share basis, for projects that focus on enhancing opportunities for sustained forest products production for primary and secondary hardwood industries located in the eastern hardwood forest region. In order to maintain and improve the health and stewardship of our eastern hardwood forests, local wood-using industries need to be vibrant and able to utilize a wide variety of resources from the forest. Priorities include: Maintain the economic competitiveness of hardwood industries. Bring information and technology to existing and emerging businesses involved in the development and manufacturing of wood products. Bring marketing and business-related skills to existing and emerging wood products businesses. Encourage the adoption of new technology to improve competitiveness and profitability. Provide support and key information to entrepreneurs and start-up businesses. Address global issues and assist communities and industries facing threats from invasive species, such as the emerald ash borer. Increase the use of woody biomass for domestic energy use. In addition, the primary mission of WERC is to foster interaction and information exchange with the forest products industry to enhance opportunities for sustained forest products production in the eastern hardwood forest region of the United States.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Projects need to compliment existing activities and/or focus on niches that are not being met by either industry or service providers. In addition, projects need to clearly document industry support and involvement.

**Applicant Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others.

**Beneficiary Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others located in the 35 states of the eastern hardwood forest region including: AL, AR, CT, DE, FL, GA, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, NE, NH, NJ, NY, NC, OH, OK, PA, RI, SC, TN, TX, VT, VA, WV, WI.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

An application package (including instructions, application, and electronic location of financial forms) is developed each year that provides guidelines for applicants to follow in developing their proposal. Standard financial application forms (SF-424, SF-424A, and Certifications) are required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A formal request for proposals is announced at <http://www.na.fs.fed.us/werc/> as well as [www.grants.gov/](http://www.grants.gov/) normally around December 1st of each year.

**Award Procedure:**

Proposals are submitted to the Forest Service. Proposals are evaluated based on a number of criteria including: alignment with WERC's mission and goals, focus on yearly priority items, clear deliverables, industry support, minimal duplication, length of time.

**Deadlines:**

Completed applications are due to the Forest Service normally two months after the announcement of the request for proposals.

**Range of Approval/Disapproval Time:**

Approximately 90 days after the application the application deadline.

**Appeals:**

None.

**Renewals:**

SF-424A with SF-424 application is required to amend the awarded amount or length of commitment. Unsuccessful applications can be resubmitted in a future years.

**Formula and Matching Requirements:**

No formula funding. Funds reimbursed by the Federal Government for competitive grants may not exceed 50 percent of the support expended by a

grantee. Non-federal share of matching funds may be in the form of cash, services, or in-kind contributions.

**Length and Time Phasing of Assistance:**

Grants are normally awarded for a period of 18 months.

**Reports:**

Annual accomplishment reports and final accomplishment report.

**Audits:**

Periodic and annual accomplishment reports are required. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All recipients need to maintain records adequate to collect and report statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

FY 07 \$1,700,000; FY 08 est \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range varies from \$10,000 to \$200,000. Average grant award is about \$63,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. USDA Implementing Regulations 7 CFR 3015, 3016, 3017, 3018, and 3019 also apply depending on the type of recipient. The program is announced through the Wood Education and Resource Center website and Grants.Gov website.

**Regional or Local Office:**

USDA Forest Service, Wood Education and Resource Center, 301 Hardwood Lane, Princeton, WV 24740. Telephone: (304) 487-1510. Fax: (304) 487-6661.

**Headquarters Office:**

USDA Forest Service, Wood Education and Resource Center, 301 Hardwood Lane, Princeton, WV 24740. Telephone: (304) 487-1510. Fax: (304) 487-6661.

**Web Site Address:**

<http://www.na.fs.fed.us/werc/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects range from developing how-to documents, to software tools for improved manufacturing efficiencies, to technology development and implementation, to workshop and training focused on leadership and management skills needed in forest products businesses, to methods for maintaining and/or expanding economic competitiveness.

**CRITERIA FOR SELECTING PROPOSALS:**

An evaluation panel is convened on an annual basis to evaluate and rate proposals received. Proposals are evaluated on a number of criteria including alignment with WERC's mission and goals, focus on yearly priority items, clear deliverables, industry support, minimal duplication, length of time, multi-state project, training.

## 10.684 INTERNATIONAL FORESTRY PROGRAMS

**FEDERAL AGENCY:**

FOREST SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

International Forestry Cooperation Act of 1990, Act of November 4, 1990, Public Law 101-513, Title VI; 104 Stat. 2070; 16 U.S.C. 4501 (note), 4501-4503, 4503a-d, 4504-4505.

**OBJECTIVES:**

To extend Forest Service efforts to improve forest policies and practices internationally, conserve and protect critical global forest environments and resources, and improve the lives of forest-dependent peoples by awarding grants to and entering into cooperative agreements with nonprofit organizations, multilateral organizations, and other individuals, organizations, institutions, and governments engaged in forest conservation and management.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are used to carry out, supplement and complement Forest Service international activities in a wide range of fields, including but not limited to forest policies and regulations, forest products trade, forest management practices, wildlife management, watershed management, recreation and tourism, fire management, forest insect and disease prevention and response, invasive species preventions and response, disaster response and

mitigation, landscape planning, forest product development and utilization, climate change adaptation and mitigation, forest economics, and training and institutional strengthening. Grants will be limited to five years.

**Applicant Eligibility:**

Potential applicants include U.S. and international organizations, educational institutions, government entities, and individuals. International applicants must be from countries sanctioned by the State Department.

**Beneficiary Eligibility:**

Potential beneficiaries include host-country forest management agencies, non-profit organizations, forest landowners in the target countries, forest-dependent communities and peoples in the targeted countries, and U.S. landowners and organizations involved in or concerned with invasive species mitigation, migratory species conservation, legal trade in forest products, and the impact of climate change on forests.

**Credentials/Documentation:**

Project managers and organizations must document competence in the field and activities of the project proposed. Eligible projects must fit within the U.S. Forest Service International Programs priorities, comply with all federal grants and agreements regulations, and be documented through a completed grant application.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A complete proposal must be submitted to International Programs and explain in detail the work to be undertaken, the qualifications of key personnel involved in the work, resources such as equipment, facilities, services available or needed, and a detailed proposed budget for each fiscal year during the life of the grant. All grant proposals must show technical competence and demonstrate ability to meet international, transnational, national, regional or local needs. Proposals for federal financial assistance must also submit a SF-424, SF-424(A) and (B).

**Award Procedure:**

Proposals will be evaluated by the Forest Service Office of International Programs, in consultation with the U.S. State Department and the U.S. Agency for International Development, where relevant, for purposes of ensuring compliance with U.S. foreign policy and objectives. Proposed activities will be assessed for their ability to improve forest management and the welfare of forest-dependent peoples in the targeted country or countries, as well as their ability to enhance or complement existing or planned Forest Service programs and activities.

**Deadlines:**

Applicants are required to submit Form SF-424 and all associated documents for each eligible project. Applications are received on a revolving basis and are reviewed subject to available funding.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Not applicable.

**Renewals:**

Requests for continued support will be considered as equal in importance and in competition with pending proposals. Applications submitted for continued support should be identical to a new proposal along with a detailed summary of progress to date. Applications for continued support must be received no later than 3 months prior to the expiration of the existing grant or agreement.

**Formula and Matching Requirements:**

The applicant's contribution is negotiated. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and the value of resources to be contributed by the applicant. The non-Federal cost share may consist of: funds, donations, in-kind contributions, direct costs, indirect costs, and other as determined by the Forest Service. Funds will be provided on a per-project basis, as determined by annual budget allocations.

**Length and Time Phasing of Assistance:**

Up to 5 years. Billing and invoices for expenses incurred may be submitted quarterly or semi-annually. Electronic transfers of payments are encouraged.

**Reports:**

Technical progress reports are required semi-annually. Financial status reports are required quarterly. Final technical reports and financial status reports are due within 1 month of the completion of the project or of the expiration of the agreement, whichever is first.

**Audits:**

Not applicable.

**Records:**

All related data, information, records and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is specified in writing by the awarding agency.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

FY 07 \$361,620; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Years 2005-2007, approximately 50 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please consult with International Programs for information relevant to a specific proposal.

**Regional or Local Office:**

Washington, DC.

**Headquarters Office:**

Washington, DC.

**Web Site Address:**

www.fs.fed.us/global.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of executed grants are: Reforestation and Panda Habitat Conservation in Southwest China, Training for Improved Forest Practices in Brazil, Migratory Bird Habitat Improvement and Conservation in Mexico, Policy and Technology Training to improve transparency in the Forest Sector in Russia, Development of Protected Area Education Curriculum and Training in Southern Africa, Development of a Financial Assessment Model for Reduced Impact Logging, Middle East Regional Cooperation on Watershed Monitoring Protocols.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established on a program-by-program basis and approved based on the negotiated objectives to be achieved at international, national, regional and local levels.

**10.700 NATIONAL AGRICULTURAL LIBRARY****FEDERAL AGENCY:**

AGRICULTURAL RESEARCH SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

5 U.S.C. 301, 552, 5946; 7 U.S.C. 450b, 450i, 2201, 2202, 2204, 2206, 2244, 2264, 2265, and 3318.

**OBJECTIVES:**

To serve as the Nation's Chief Agricultural information resource by providing agricultural information products and services through traditional library functions and through modern electronic dissemination to agencies of the USDA, public organizations, and individuals.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Anyone can use the services. Publications in the library collection are available through interlibrary loan or photo-reproduction, and the library facilities are open to anyone wishing to use them.

**Applicant Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Apply by letter to the Office of Associate Director, Public Services Division, National Agricultural Library, Beltsville, MD 20705.

**Award Procedure:**

None.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Services) FY 07 \$22,801,000; FY 08 est \$21,561,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Resources number over 3.3 million items.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Guide to the Services of the National Agricultural Library."

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Director, National Agricultural Library, Beltsville, MD 20705-2351. Telephone: (301) 504-6780. Use the same number for FTS. Contact: Extramural Agreements Division.

**Web Site Address:**

http://www.nal.usda.gov.

**RELATED PROGRAMS:**

10.001, Agricultural Research\_Basic and Applied Research; 10.153, Market News; 10.250, Agricultural and Rural Economic Research; 10.950, Agricultural Statistics Reports; 42.003, Distribution of Library of Congress Cataloging; 42.005, Library of Congress Publications; 42.006, Library of Congress\_Library Services; 42.007, Reference Services in Science, Technology and Business.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**10.760 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES****FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: a 4.5 percent rate when the loan is required to meet health or sanitary standards and the median household income of the service area is below the higher of the poverty line or 80 percent of the statewide nonmetropolitan median household income; an intermediate rate halfway between 4.5 percent and market rate if the median household income of the service area is not more than 100 percent of the nonmetropolitan median household income of the State; and a market rate for those applicants that do not qualify for 4.5 percent or the intermediate rate. The interest rate on guaranteed loans is negotiable between the applicant and the lender.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. Plans and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual benefited user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the cost to grant eligible users exceeds the following percentages of median household incomes (MHI) for the applicant service area: 0.5 percent when the MHI of the service area is below the poverty line or below 80 percent (whichever



is higher) of the State's non-metropolitan household income (NMHI); 1.0 percent when the NMHI of the service area exceeds the 0.5 percent requirement but is not more than 100 percent of the State's NMHI; no RUS grant funds will be used in any project when the MHI of the service area is above the poverty line and more than 100 percent of the State's NMHI. The RUS grant may not exceed 75 percent of the eligible project development cost when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's NMHI and the project is necessary to alleviate a health or sanitary problem; 45 percent when the MHI of the service area exceeds the 75 percent requirements, but is not more than 100 percent of the State's NMHI. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Funds are allocated to States based upon rural population, number of households in poverty, and unemployment. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

Periodic reports are to be made to the RD servicing official.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

(Loans) 12-4155-0-3-452; (Grants and Loans) 12-0400-0-1-452.

**Obligations:**

Direct Loans) FY 07 est \$990,000,000; FY 08 est \$1,080,236,000; and FY 09 est not reported. (Guaranteed Loans) FY 07 est \$75,000,000; FY 08 est \$75,000,000; and FY 09 est not reported. (Grants) FY 07 est \$349,385,000; FY 08 est. \$349,385,000; and FY 09 est not reported. Note: Technical Assistance and Training (TAT) and grants earmarked under Section 306C of the Consolidated Farm and Rural Development Act to Note: Colonias are included

in these estimates.

**Range and Average of Financial Assistance:**

(FY 2005) (Direct Loans) \$3,400 to \$9,999,900; \$1,064,000; (Grants) \$600 to \$8,090,000; \$619,000.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 800 direct, 2 guaranteed loans, and 700 grants will be made in fiscal year 2007. It is estimated that 900 direct, 2 guaranteed loans, and 800 grants will be made in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants, 7 CFR 1779, Water and Waste Disposal Program Guaranteed Loans.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-2670.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

11.300, Investments for Public Works and Economic Development Facilities; 14.218, Community Development Block Grants/Entitlement Grants.

**EXAMPLES OF FUNDED PROJECTS:**

The following areas received funds for specified projects: Construct new water system consisting of water lines, pumping stations, wells, storage tanks and treatment plants; water system improvements consisting of additional water lines, new water treatment facility and booster pump; renovation of existing water system which includes new distribution lines, wells and pressure tanks; construct new waste water collection and treatment systems; replace waste water treatment plant and improve waste water collection lines; rehabilitate waste water collection lines and construct lift station; purchase site for landfill; and purchase trucks and equipment for solid waste disposal.

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

## 10.761 TECHNICAL ASSISTANCE AND TRAINING GRANTS

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Sections 306(a)(16)(A), Public Law 99-198, 7 U.S.C. 1926(a).

**OBJECTIVES:**

To identify and evaluate solutions to water and waste disposal problems in rural areas; to assist applicants in preparing applications made in accordance with 7 CFR 1780; to improve operation and maintenance of water and waste disposal facilities in rural areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to pay expenses associated with providing technical assistance and/or training (TAT) to identify and evaluate solutions to water problems relating to source, storage, treatment, and distribution, and to waste disposal problems relating to collection, treatment, and disposal; assist applicants that have filed a preapplication with RUS in the preparation of water and/or waste disposal loan and/or grant applications; and to provide training that will improve the management, operation and maintenance of water and waste disposal facilities. Grant funds may not be used to recruit applications, duplicate current services such as those performed by a consultant in developing a project, fund political activities, pay for capital assets, purchase real estate or vehicles, improve and renovate office space or repair and maintain privately owned property, pay construction or O&M costs, and pay costs incurred prior to the effective date of grants made.

**Applicant Eligibility:**

Private nonprofit organizations that have been granted tax exempt status by the Internal Revenue Service of the United States. Applicants must have proven ability, background, experience, legal authority and actual capacity to provide technical assistance and/or training on a regional basis to associations.

**Beneficiary Eligibility:**

Entities that may be eligible for water and waste disposal loans and grants (10.760) such as municipalities, counties, districts, authorities, and other

political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, or private corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-110 and A-122.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program.

**Application Procedure:**

This program is subject to the provisions of OMB Circular Nos. A-110 and A-122. Preapplication form SF 424.1, will be filed with the appropriate Rural Development (RD), formerly FMHA, State or Rural Utilities Service (RUS) National Office between October 1 and December 31 each fiscal year.

**Award Procedure:**

Preapplications received by an RD State office will be reviewed and forwarded with any written comments within 7 working days to the RUS National Office, Washington, DC.

**Deadlines:**

Preapplications must be filed between October 1 and December 31 of each fiscal year.

**Range of Approval/Disapproval Time:**

Form AD-622 "Notice of Preapplication Review Action" will normally be issued within 45 days after December 31 of each year. SF 424.1 "Application for Federal Assistance (for Non-construction)," will be submitted by the applicant upon notification of funding eligibility.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Not less than one percent or more than three percent of appropriated Water and Waste Disposal grant funds may be used for TAT grants. Nonprofit organizations with proven ability to provide technical assistance/training are eligible.

**Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the technical assistance and/or training grant project is 12 months or less.

**Reports:**

All grantees will submit quarterly reports to the RUS National Office through the appropriate RD State Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Grants) FY 07 \$18,358,694; FY 08 est \$16,215,000; and FY 09 est not reported. (Note: Grants included in program 10.760, Water and Waste Disposal Systems for Rural Communities).

**Range and Average of Financial Assistance:**

\$40,000 to \$10,270,000. Average: \$5,155,000 (FY 07).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 12 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1775, Technical Assistance and Training Grants.

**Regional or Local Office:**

Consult your local telephone directory for RD district office number. If no listing, get in touch with the appropriate RD State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-2670.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Recipients of this program received funds to administer technical assistance and training to small communities experiencing water and waste disposal problems.

**CRITERIA FOR SELECTING PROPOSALS:**

Assistance will be directed to those applicants who: (1) Have demonstrated ability to provide technical assistance and/or training to rural associations; (2) propose to serve multi-state, regional, or nationwide areas; (3) maximize use of grant funds for direct staffing of activities that are delivered to the associations; and (4) the population of the associations served have low income.

## 10.762 SOLID WASTE MANAGEMENT GRANTS

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 310B, Public Law 101-624, 7 U.S.C. 1932.

**OBJECTIVES:**

To reduce or eliminate pollution of water resources and improve planning and management of solid waste disposal facilities in rural areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to: Evaluate current landfill conditions to determine threats to water resources in rural areas; provide technical assistance and/or training to enhance operator skills in the maintenance and operation of active landfills in rural areas; provide technical assistance and/or training to help associations reduce the solid waste stream; and provide technical assistance and/or training for operators of landfills in rural areas which are closed or will be closed in the near future with the development/implementation of closure plans, future land use plans, safety and maintenance planning, and closure scheduling within permit requirements. Grant funds may not be used to: Recruit preapplications/applications for any loan and/or grant program including RUS Water and Waste Disposal Loan and/or Grant Program; duplication of current services, replacement or substitution of support previously provided such as those performed by an association's consultant in developing a project; fund political activities; pay for capital assets, the purchase of real estate or vehicles, improve and renovate office space, or repair and maintain privately-owned property; pay for construction or operation and maintenance costs of water and waste facilities; and pay costs incurred prior to the effective date of grants made under this subpart.

**Applicant Eligibility:**

Entities eligible for grants are nonprofit organizations, including: Private nonprofit organizations that have been granted tax exempt status by the Internal Revenue Service (IRS); and public bodies including local governmental-based multijurisdictional organizations. Applicants must have the proven ability, background, experience, legal authority, and actual capacity to provide technical assistance and/or training on a regional basis to eligible beneficiaries.

**Beneficiary Eligibility:**

Municipalities, counties, districts, authorities, and other political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, and private nonprofit corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-87, and A-122.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program.

**Application Procedure:**

This program is subject to the provisions of OMB Circular Nos. A-87, A-102, A-110, and A-122. Preapplication Form SF 424.1, will be filed with the appropriate Rural Development (RD), formerly FMHA, State or Rural Utilities Service (RUS) National Office between October 1 and December 31 each fiscal year.

**Award Procedure:**

Preapplications received by an RD State Office will be reviewed and forwarded with any written comments within seven working days to the RUS approval official.

**Deadlines:**

Preapplications must be filed between October 1 and December 31 of each fiscal year in which funds are appropriated.

**Range of Approval/Disapproval Time:**

Form AD-622, "Notice of Preapplication Review Action," will normally be issued within 45 days after December 31 of each year. SF-424.1, "Application for Federal Assistance (for Non-Construction)," will be submitted by the applicant upon notification of funding eligibility.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the grant project is 12 months or less.

**Reports:**

All grantees will submit quarterly reports to the RUS approval official.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Grants) FY 07 \$3,465,000; FY 08 est \$3,465,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$18,000 to \$205,000. Average: \$86,625.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 39 grants were made; FY 2007, 40 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1775, Technical Assistance and Training Grants.

**Regional or Local Office:**

Consult your local telephone directory for RD District Office number. If no listing, get in touch with the appropriate RD State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-2670.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Recipients of this program received funds to administer technical assistance in areas of solid waste management to small communities.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant funds will be directed to those applicants who: (1) Have demonstrated ability to provide technical assistance on a regional basis to rural communities; (2) propose to assist small, low income communities; (3) propose to serve multi-State, regional or nationwide areas; (4) the extent to which the proposed project is cost effective; and (5) meet the objectives of RUS Water and Waste Disposal Program.

**10.763 EMERGENCY COMMUNITY WATER ASSISTANCE GRANTS****FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306A; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Through the Emergency Community Water Assistance Grant Program, the Rural Utilities Service (RUS) is authorized to help rural residents who have experienced a significant decline in quantity or quality of water to obtain adequate quantities of water that meet the standards of the Safe Drinking Water Act.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used to extend waterlines on existing systems; to construct new water lines; to repair existing systems; to perform significant maintenance on existing systems; to construct new wells, reservoirs, transmission lines, treatment plants, storage tanks, etc.; to replace equipment; to provide connection and/or tap fees; to pay costs incurred within six months of the date an application was filed with USDA to correct an emergency situation that would have been eligible for funding under this program; to provide funds for any other appropriate related purposes, such as, legal fees; engineering fees;

recording costs; environmental impact analyses; archaeological surveys; possible salvage or other mitigation measures; planning, establishing, or acquiring rights associated with developing sources of treating, storing, or distributing water; and to assist rural water systems in complying with the requirements of the Federal Water Pollution Control Act or the Safe Drinking Water Act, when failure to comply is directly related to a recent decline in quality of potable water. Grants provided under this program shall not be used to assist a rural area or community with a population in excess of 10,000; to assist a rural area that has a median household income in excess of the statewide nonmetropolitan median household income according to the most recent decennial census of the U.S.; to finance facilities which are not modest in size, design, and cost; to pay loan or grant finder's fees; to pay any annual recurring costs considered to be operational expenses; to pay rental for the use of equipment or machinery owned by the rural community; to purchase existing systems; to refinance existing indebtedness; and to make reimbursement for projects developed with other grant funds. Grants made to alleviate a significant decline in quantity or quality of water available from the water supplies in rural areas that occurred within two years of filing an application with USDA cannot exceed \$500,000. Grants for repairs, partial replacement, or significant maintenance on an established system cannot exceed \$150,000.

**Applicant Eligibility:**

Rural Development Utilities Programs may make grants to public bodies, private nonprofit corporations, and political subdivisions of a State, as well as Indian tribes.

**Beneficiary Eligibility:**

Public bodies, private nonprofit corporations, and political subdivisions of a State, as well as Indian tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program. The standard application forms as furnished by the Federal agency and required by 7 CFR Parts 3015 and 3016 must be used for this program.

**Application Procedure:**

Rural Development (RD) State Director will administer the program on the local level. This program is subject to the provisions of 7 CFR Parts 3015 and 3016. Application Form SF-424 will be filed with the appropriate RD District office.

**Award Procedure:**

Applications received will be reviewed and scored for funding priority by the RD State office. The RD State Director will request funds from the National office. Projects must compete on a national basis for available funds.

**Deadlines:**

All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year.

**Range of Approval/Disapproval Time:**

Within 60 days of receipt of complete application.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the higher management level of RUS.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Request for funds, as needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

((Grants) FY 07 \$6,959,192; FY 08 est \$7,000,000; and FY 09 est not reported.



**Range and Average of Financial Assistance:**

123 Range and Average of Financial Assistance: \$4,100 to \$500,000. Average: \$297,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, 36 grants were awarded. In fiscal year 2006, 21 grants were awarded, and in fiscal year 2007, 24 grants were made. In fiscal year 2008 it is estimated that 30 grants will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1778.

**Regional or Local Office:**

Consult your local telephone directory under United States Government, Department of Agriculture for Rural Development District Office number. If no listing, contact appropriate Rural Development State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-2670. FTS is not available.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.760, Water and Waste Disposal Systems for Rural Communities; 10.766, Community Facilities Loans and Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Rural communities can use these funds to correct drinking water problems that have been created by a significant decline in quantity or quality of their water supply. The communities use the funds for new systems, waterline extensions, construction of water sources and treatment facilities, storage tanks, and repairs or renovation of existing systems.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposed projects designed to serve a rural area with a population of 5,000 or less that has a median household income of not more than 70 percent of the statewide nonmetropolitan household income and had a significant decline in quantity of water available from private individually owned wells will be given priority. Preference also will be given to proposed projects that will assist an established water system or remedy an acute shortage of quality water. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding.

**10.766 COMMUNITY FACILITIES LOANS AND GRANTS****FEDERAL AGENCY:**

RURAL DEVELOPMENT (RD), DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To construct, enlarge, extend, or otherwise improve community facilities providing essential services to rural residents.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans; Direct Loans; Project Grants.

**USES AND USE RESTRICTIONS:**

Community facilities include but are not limited to those providing or supporting overall community development such as child care facilities, food recovery and distribution centers; assisted-living facilities; group homes, mental health clinics, and shelters; and education facilities. Projects comprise, community, social, cultural, transportation, industrial park sites, fire and rescue services, access ways, and utility extensions. All facilities financed in whole or in part with RHS funds shall be for public use.

**Applicant Eligibility:**

City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses, and other users of such public facilities in eligible applicant areas as set out above.

**Credentials/Documentation:**

Evidence of legal capacity and financial responsibility of the applicants and the economic feasibility of the project relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as provided by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires in applying for assistance if the State has selected the project for review.

**Application Procedure:**

For direct loans and grants, applicants must file Standard Form SF-424 and supporting documentation at the local Rural Development Area Office. For guaranteed loans, the lender must file For RD 3575-1 and supporting documentation.

**Award Procedure:**

After the preapplication has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Following review by the State Office, the applicant is notified about eligibility, availability of funds, and if an application should be filed. Upon completion of application processing requirements and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Matching funds are not required but may be used in connection with the funds provided from the applicant or other sources. Funds are allocated to States based upon rural population, number of households below the poverty level, and rural unemployment. The statistical factor for eligibility is cities, towns or incorporated areas under 20,000 population for direct and guaranteed loans and 20,000 population for grants. The source is "Latest Decennial Census." This program has no statutory formula.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of Community Facilities loan or grant funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by RHS to cover expenses for a 30-day period.

**Reports:**

Periodic reports are made to Rural Development. Each borrower will monitor and report to RHS on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds.

**Audits:**

Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of loans and other agreements. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

The borrower must maintain adequate records and accounts of the operation of the facility developed.

**Account Identification:**

12-4155-0-3-452; 12-1951-0-1-452.

**Obligations:**

(Direct Loans) FY 07 \$300,000,000; FY 08 est not available; and FY 09 est not reported. (Guaranteed Loans) FY 07 \$210,000,000; FY 08 est not available; and FY 09 est not reported. (Grants) FY 07 est \$17,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Direct Loans: \$3,000 to \$11,000,000. Average: \$847,971. Guaranteed Loans: \$20,000 to \$17,000,000. Average: \$2,377,243. Grants: \$570 to \$120,750. Average: \$36,753.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, subpart A, Community Facilities Loans; 7 CFR 1942, subpart C, Fire and Rescue Loans; 7 CFR 3575, subpart A, Community Facilities Guaranteed Loans; 7 CFR 3570, subpart B, Community Facilities Grants.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development county or district office numbers. If no listing, contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Administrator, Community Programs, STOP 0788, Department of Agriculture, 1400 Independence Avenue SW, Washington, DC 20250-0788. Telephone: (202) 720-1490.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.500, Cooperative Extension Service; 10.664, Cooperative Forestry Assistance; 15.124, Indian Loans Economic Development.

**EXAMPLES OF FUNDED PROJECTS:**

Loans were made to: (1) establish rural health clinics in medically underserved areas; (2) purchase fire fighting, rescue, and public safety equipment for rural areas; (3) construct new municipal buildings; (4) build new schools to serve rural communities; and (5) renovate hospitals to meet current life/safety codes.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected for funding giving due consideration to State development strategies, serving the largest number of low income rural residents, and priority recommendations. Priority for funding will be given to those projects that will enhance public safety such as fire, police, rescue, and ambulance services, and projects for health care facilities.

## 10.767 INTERMEDIARY RELENDING PROGRAM

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Health and Human Services Act of 1986, Section 407, Public Law 99-425, 7 U.S.C. 1932 note; Food Security Act of 1985, Section 1323, as amended, Public Law 99-198, 7 U.S.C. 1631; Community Economic Development Act of 1981, Section 623, as amended, Public Law 97-35, 42 U.S.C. 9812.

**OBJECTIVES:**

To finance business facilities and community development.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

An entity that receives an Intermediary Relending Program (IRP) loan from the Rural Business-Cooperative Service (RBS) is referred to as an intermediary. Intermediaries must relend all of the loan funds received from the IRP loan for business facilities or community development in rural areas. An entity that receives a loan from an intermediary is referred to as an ultimate recipient. The maximum loan to any one intermediary is \$2 million. The maximum term is 30 years and the interest rate is one percent per annum. Intermediaries may not use IRP funds to finance more than 75 percent of the cost of an ultimate recipient's project or for a loan of more than \$250,000 to one ultimate recipient. (No more than 25 percent of an IRP loan approved may be used for loans to ultimate recipients that exceed \$150,000.)

**Applicant Eligibility:**

Eligible intermediaries may include: Private nonprofit organizations, State or local governments, and Federally recognized Indian tribes and cooperatives.

**Beneficiary Eligibility:**

Ultimate recipients may include: For profit organizations, individuals, public and private nonprofit organizations.

**Credentials/Documentation:**

Intermediaries must have adequate legal authority and a proven record of successfully assisting rural businesses and industries. Ultimate recipients must not be located within a city with a population of 25,000 or more. Both intermediaries and ultimate recipients must be unable to obtain the loan at reasonable rates and terms through commercial credit or other Federal, State, or local programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program.

**Application Procedure:**

Potential intermediaries should file applications with the State office for the State in which the intermediary's headquarters is located. The application package includes Form 4274-1 and a written work plan. More details are available in 7 CFR 4274.343, or from the appropriate Rural Development State Office. The Rural Development administers the program on the local level. Intermediaries develop their own application procedures for ultimate recipients.

**Award Procedure:**

The application of each intermediary will be evaluated by the RD State Office. Applications received by RBS will be reviewed and ranked quarterly and funded in the order of priority ranking.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Adverse actions by RBS in connection with this program may be appealed by contacting the Area Supervisor of the USDA National Appeals Division. Appeals will be handled in accordance with 7 CFR 1900-B.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or specific matching requirements, but RBS funds loaned to one ultimate recipient by an intermediary must not exceed 75 percent of the cost of the ultimate recipient's project.

**Length and Time Phasing of Assistance:**

Applicant intermediaries must show a need for the funds and limit the request to an amount they can expect to use within one year. After a loan is approved, the funds are released to the intermediary in multiple advances as required to fund loans to ultimate recipients.

**Reports:**

Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts must be maintained to reflect the operations of each project.

**Account Identification:**

12-4233-0-3-452; 12-2069-0-1-452.

**Obligations:**

(Loans) FY 07 \$33,869,875; FY 08 est \$33,772,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$150,000 to \$1,000,000. Average: \$632,755.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, 101 applications were received and 53 were approved. It is anticipated that in fiscal year 2009, 105 applications will be received including 20 carried over from fiscal year 2008 and 57 loans will be approved. Considering the estimated funding level for fiscal year 2009, funding activity is anticipated to be similar to fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4274, Subpart D; 7 CFR 1951, Subpart R.

**Regional or Local Office:**

RBS State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rural Business-Cooperative Service, Room 6867, Stop 3225, South Agriculture Building, Washington, DC 20250-3225. Telephone: (202) 690-4100. FTS is not available.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.769, Rural Business Enterprise Grants.

**EXAMPLES OF FUNDED PROJECTS:**

(1) \$750,000 loan to a nonprofit corporation to relend to businesses within a State; (2) \$750,000 loan to a nonprofit corporation to relend to businesses within 10 counties in one State; (3) \$600,000 loan to a nonprofit corporation serving an six-county area for relending to businesses; and (4) \$500,000 loan to a Native American community development corporation to relend to new and expanding businesses.

**CRITERIA FOR SELECTING PROPOSALS:**

Factors considered in judging applications include: Financial condition, assurance of repayment ability, equity, collateral, experience and record of managing a loan program or providing other assistance to rural businesses, ability to leverage with funds from other sources, extent assistance would flow to low income persons.

## 10.768 BUSINESS AND INDUSTRY LOANS

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 310B,

**OBJECTIVES:**

To assist public, private, or cooperative organizations (profit or nonprofit), Indian tribes or individuals in rural areas to obtain quality loans for the purpose of improving, developing or financing business, industry, and employment and improving the economic and environmental climate in rural communities including pollution abatement and control.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Guaranteed loans may be extended for: (a) modernization, development costs; (b) purchasing and development of land, easements, rights-of-way, buildings, facilities, leases or materials; (c) purchasing equipment, leasehold improvements, machinery and supplies; (d) projects involving agricultural production, when not eligible for Farm Service Agency farmer program assistance and when it is part of an integrated business also involved in the processing of agricultural products and the agricultural production portion of the loan does not exceed the lessor of 50 percent of the total loan or \$1 million; and (e) pollution control and abatement. Maximum loan size is \$25 million. For cooperative organizations under certain conditions, the maximum loan size is \$40 million. Maximum time allowable for final maturity is limited to 30 years for land and buildings, the usable life of machinery and equipment purchased with loan funds, not to exceed 15 years, and 7 years for working capital. Interest rates for guaranteed loans are negotiated between the lender and the borrower. For loans of \$5 million or less, the maximum percentage of guarantee is 80 percent. For loans over \$5 million but not over \$10 million, the maximum percentage of guarantee is 70 percent. For loans in excess of \$10 million up to \$40 million, the maximum percentage of guarantee is 60 percent. Losses on principal advanced, including protective advances, and accrued interest, may be guaranteed by the Agency, but the maximum loss paid by RBS will never exceed the original principal plus accrued interest. Loans may not be made for: (a) distribution or payment to the owner, partners, shareholders, or beneficiaries of the applicant or members of their families when such persons shall retain any portion of their equity in the business; (b) the transfer of ownership of a business unless the loan will keep the business from closing, or prevent the loss of employment opportunities in the area, or provide expanded job opportunities; (c) the guarantee of lease payments; (d) charitable institutions, churches, fraternal organizations, lending and investment institutions and insurance companies; (e) any legitimate business activity where more than 10 percent of the annual gross income is derived from legalized gambling; (f) the guarantee of loans made by other Federal agencies except those made by Banks for Cooperatives, Federal Land Bank or Production Credit Associations; (g) golf courses; (h) racetracks where individual prizes are awarded in the amount of \$500 or more; (i) owner-occupied housing; (j) projects eligible for the Rural Rental Housing and Rural Cooperative Housing loans under sections 515, 521, and 538 of the Housing Act of 1949, as amended; and (k) any project which is likely to result in the transfer of business or employment from one area to another or cause production which exceeds demand. Interested parties should contact the Rural Business-Cooperative Service (RBS) or the nearest Rural Development State Office which administers the programs at the local level. Insurance companies; (e) any legitimate business activity where more than 10 percent of the annual gross income is derived from legalized gambling; (f) the guarantee of loans made by other Federal agencies except those made by Banks for Cooperatives, Federal Land Bank or Production Credit Associations; (g) golf courses; (h) racetracks where individual prizes are awarded in the amount of \$500 or more; (i) owner-occupied housing; (j) projects eligible for the Rural Rental Housing and Rural Cooperative Housing loans under sections 515, 521, and 538 of the Housing Act of 1949, as amended; and (k) any project which is likely to result in the transfer of business or employment from one area to another or cause production which exceeds demand. Interested parties should contact the Rural Business-Cooperative Service (RBS) or the nearest Rural Development State Office which administers the programs at the local level.

**Applicant Eligibility:**

An applicant may be a cooperative, corporation, partnership, trust, or other legal entity organized and operated on a profit or nonprofit basis; an Indian tribe; a municipality, county, or other political subdivision of a State; or individuals in rural areas. Applicants for guaranteed loans must be located in one of the fifty States, Puerto Rico, Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of Palau, the Federated States of Micronesia, or the Republic of the Marshall Islands in rural areas other than a city, having a population of fifty thousand or more and its contingent adjacent urbanized area, as determined by the Secretary of Agriculture according to the latest decennial census of the United States. Preference is given to loans in open country, rural communities and towns with populations of 25,000 or less, and, on applications of equal priority, to veterans. Applicants must be U.S. citizens or reside in the U.S. after being legally admitted for permanent residence and, if corporations, at least 51 percent owned by such individuals.

**Beneficiary Eligibility:**

Beneficiaries include cooperatives, corporations, partnerships, trust or legal

entities organized and operated for profit or nonprofit, Federally recognized Indian Tribal Governments and individuals in rural cities and towns of less than 50,000 population.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. All preapplication letters must be coordinated fully with appropriate State agencies in keeping with E.O. 12372, "Intergovernmental Review of Federal Programs," in a manner that will assure maximum support of the State's strategies for development of its rural areas. The application form as furnished by the Federal agency must be used for this program. An environmental assessment is required and an environmental impact statement may be required for this program. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Form 4279-1 is used for guaranteed loans and filed at the Rural Development State Office. These programs are excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are forwarded to the Rural Development State Director for review and final approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

If an application is denied, the reasons for denial are fully stated. The lender or applicant may individually or jointly request mediation or an appeal hearing by the National Appeals Staff within 30 days provided the request is in writing. The requestor and State Director are notified of the decision by the Hearing Officer.

**Renewals:**

None.

**Formula and Matching Requirements:**

Matching funds are not required. For existing businesses, applicants are required to provide a minimum of 10 percent tangible balance sheet equity for guaranteed loans. For new businesses, at least 20 percent is required for guaranteed loans. Feasibility studies are normally required. Exceptions to the feasibility study requirement may be made to businesses with adequate financial history.

**Length and Time Phasing of Assistance:**

The letter of conditions for the direct loan and the Conditional Commitment for the guaranteed loan specifies the time limit for the use of funds. The Loan Note Guarantee for a guaranteed loan will be issued when all of the requirements of the Conditional Commitment have been or will be met.

**Reports:**

Each guaranteed lender will be required to monitor and report to RBS on actual performance during the construction of each project financed, in whole or in part, with RBS assistance. When the project is in operation, field visits will be made and customary financial statements provided as determined by the guaranteed lender and RBS.

**Audits:**

Independent accountant compiled or reviewed financial statements prepared in accordance with Generally Accepted Accounting Principles are required annually for guaranteed loans and for direct loans with a principal and interest balance of less than \$ 1 million. RBS may require audited statements for guaranteed loans in excess of \$3 million.

**Records:**

Records and accounts must be maintained to reflect the operations of the project.

**Account Identification:**

12-4155-0-3-452; 12-0400-0-1-452.

**Obligations:**

(Guaranteed Loans) FY 07 \$830,435,486; FY 08 \$1,390,531,595; FY 09 est \$993,000,000.

**Range and Average of Financial Assistance:**

\$35,000 to \$17.5 million for guaranteed loans. \$2.0 million (average size) for B&I guaranteed loans.

**PROGRAM ACCOMPLISHMENTS:**

There was 390 guarantees made in fiscal year 2007; 588 guarantees loans made in fiscal year 2008. In FY 2009 anticipated number of loans is 462.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guaranteed Loans: 7 CFR Part 4279-A, Section 4279.1 through 4279.100, Part 4279-B, Section 4279.101 through 4279.200, and Part 4287-B, Section 4287.101 through 4279.200.

**Regional or Local Office:**



Consult your local telephone directory for appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Administrator, Rural Business-Cooperative Service, Department of Agriculture, Washington, DC 20250-3201. Telephone: (202) 690-4730. Fax: (202) 690-4737.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.766, Community Facilities Loans and Grants; 10.769, Rural Business Enterprise Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Loans made and guaranteed by RBS have been in order to assist a wide variety of manufacturing, retail, wholesale, and service businesses. Some recent loans and loan guarantees have assisted an agribusiness in expanding its service area, helped a radio station begin operations, constructed and equipped an ethanol plant, assisted a textile firm in modernizing and expanding its operations, and provided working capital and financing for machinery and equipment for a printing company.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Those projects that will save existing jobs, (2) improve existing business and industry, (3) create the greatest number of permanent jobs, (4) contribute to the overall economic stability of rural areas.

## 10.769 RURAL BUSINESS ENTERPRISE GRANTS

(RBEG)

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 310B, Public Law 92-419, 7 U.S.C. 1989, Public Law 101- 624, Public Law 102-142, 7 U.S.C. 1932.

**OBJECTIVES:**

To facilitate the development of small and emerging private business, industry, and related employment for improving the economy in rural communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Rural business enterprise grant (RBEG) funds may be used to create, expand or operate rural distance learning networks or programs that provide educational or job training instruction related to potential employment or job advancement to adult students; develop, construct or acquisition land, buildings, plants, equipment, access streets and roads, parking areas, utility extensions, necessary water supply and waste disposal facilities; refinancing; services and fees; and to establish a revolving loan fund. Television demonstration grant (TDG) funds may be used for television programming to demonstrate the effectiveness of providing information on agriculture and other issues of importance to farmers and other rural residents. All uses must assist a small and emerging private business enterprise except for the TDG Program.

**Applicant Eligibility:**

Applicants eligible for RBE grants are public bodies and nonprofit corporations serving rural areas such as States, counties, cities, townships, and incorporated towns and villages, boroughs, authorities, districts and Indian tribes on Federal and State reservations which will serve rural areas. Applicants eligible for TD grants are statewide, private, nonprofit, public television systems whose coverage is predominantly rural. Rural area for this program is defined as a city, town, or unincorporated area that has a population of 50,000 inhabitants or less, other than an urbanized area immediately adjacent to a city, town, or unincorporated area that has a population in excess of 50,000 inhabitants.

**Beneficiary Eligibility:**

A small and emerging private business enterprise which will employ 50 or less new employees and has less than \$1.0 million in projected gross revenue. Public bodies, private non-profit corporations, and Federally recognized Indian tribes receive the grant to assist a business. Grants are not made directly to the business.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular Nos. A-110 and A-102 must be used for this program. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Preapplication Form SF-424 is filed at the Rural Development local office. The standard application forms as furnished by the Federal agency and required by OMB Circular Nos. A-110 and A-102 must be used for this program.

**Award Procedure:**

After the preapplication has been reviewed by the RD local office, it is forwarded to the RD State Office for review and processing instructions. Following approval by the State Office, funds are made available to the local office for final delivery. Notification of awards must be made to the designated State Central Information Reception Agency.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. Applicant may request a review of this decision from the next higher management level of Rural Business-Cooperative Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funds are allocated to States based on rural population and percent of nonmetropolitan per capita income. On occasion, the allocation to States may not be practical due to funding or administrative constraints. In these cases, funds will be controlled by the National Office.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Periodic reports are made to RD.

**Audits:**

Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations", State, local governments or Nonprofit Organizations that expend Federal financial assistance of \$500,000 or more within the fiscal year shall have an audit made for that year.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

FY 07 \$41,925,672; FY 08 \$44,223,026; and FY 09 est 38,727,000. Program is still anticipated to go to the Department of Commerce but is continued to be funded.

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000. Average: \$96,668.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 572 grants were made. It is anticipated that in fiscal year 2008, the level of activity will be approximately the same. The program is listed to go to Department of Commerce in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, Subpart G.

**Regional or Local Office:**

Consult your telephone directory for RD local office number. If no listing, get in touch with appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Specialty Lenders Division, Rural Business-Cooperative Service, Department of Agriculture, Washington, DC 20250-3222. Telephone: (202) 720-1400. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.766, Community Facilities Loans and Grants; 10.768, Business and Industry Loans.

**EXAMPLES OF FUNDED PROJECTS:**

(1) a \$25,000 grant was made for business development in an Empowerment Zone; (2) a \$500,000 grant was made to establish a revolving loan fund; and (3) a \$200,000 grant was made for construction of a manufacturing building.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects selected for funding should, as much as practical, adhere to the following priorities: (1) Projects which will be located in communities having a large portion of their population with low incomes; (2) projects which will save existing jobs; (3) projects which will create jobs; and (4) projects located in areas with high unemployment rate.

## 10.770 WATER AND WASTE DISPOSAL LOANS AND GRANTS (SECTION 306C)

**FEDERAL AGENCY:**  
RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306C, 7 U.S.C. 1926(c), as amended; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Provide water and waste disposal facilities and services to low income rural communities whose residents face significant health risks.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Loans.

**USES AND USE RESTRICTIONS:**

Funds may be used for 100 percent of costs to: Construct, enlarge, extend, or otherwise improve a community water or waste system; extend service lines and connect individual residences to a system. Allow applicant to make grants directly to individuals to: Extend service lines, connect resident's plumbing to system, pay reasonable charges and fees for connecting to system, installation of plumbing and related fixtures, and construction in dwelling of a bathroom.

**Applicant Eligibility:**

Local level governments, federally recognized Indian tribes, U.S. Territories and possessions, and nonprofit associations can receive assistance under this program. Except for rural areas known as "Colonia" along the U.S./Mexico border, the projects funded under this program must primarily provide water and/or waste disposal services to residents of a county where the per capita income of the residents is not more than 70 percent of the most recent national average per capita income, as determined by the U.S. Department of Commerce, and unemployment rate of the residents is not less than 125 percent of the most recent national average unemployment rate, as determined by the Bureau of Labor Statistics. Also the residents must face significant health risks due to not having access to an affordable community water and/or waste disposal system.

**Beneficiary Eligibility:**

Public bodies, private nonprofit corporations, cooperatives, political subdivisions of a State, and Indian tribes.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program.

**Application Procedure:**

Applicants are required to file a application Form SF-424 with the appropriate Rural Development (RD) Office.

**Award Procedure:**

Applications will be reviewed and scored for funding priority by the RD State Office. Applications must compete on a national basis for available funds.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Applicants that are determined to be not eligible may request review of this decision at a higher management level of Rural Development Utilities Programs.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Requests for funds are granted as needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Required to maintain records and accounts to assure funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Colonias Grants) FY 07 \$24,750,000 FY 08 est \$24,750,000; and FY 09 est not reported. (Native American Tribe Grants) FY 07 \$16,335,000, FY 08 est \$16,000,000; and FY 09 est not reported. (Loans) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported. (Note: Grants are included in program 10.760, Water and

Waste Disposal Systems for Rural Communities. Only grant funds for Colonias have been appropriated for this program.)

**Range and Average of Financial Assistance:**

(Colonias Grants) FY 05 Average: \$757,600. (Native American Tribe Grants) FY 05 Average: \$586,900.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1777.

**Regional or Local Office:**

Consult local telephone directory under United States Government, Department of Agriculture, for Rural Development office number. If no listing contact appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250-3200. Telephone: (202) 690-2670. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.760, Water and Waste Disposal Systems for Rural Communities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

A proposed project servicing a rural area with a population not in excess of 1,500, a median household income not in excess of 50 percent of the statewide no metropolitan median household income and servicing residents of a Colonia along the U.S./Mexico border will be given priority. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding. Fiscal year 2000 funding is limited to the Colonias.

## 10.771 RURAL COOPERATIVE DEVELOPMENT GRANTS

(RCDG)

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food, Agriculture, Conservation, and Trade Act of 1990, Section 2347, Public Law 101-624; Consolidated Farm and Rural Development Act, Section 310B(e), 7 U.S.C. 1932; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; 5 U.S.C. 301; 7 U.S.C. 1989; 7 U.S.C. 1991; 16 U.S.C. 1005; 62 FR 42387 Aug/7/1997; Farm Security and Rural Development Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To improve economic conditions in rural areas through cooperative development. The primary objective of the cooperative center concept is to provide technical assistance services, including feasibility analysis. The grant program will be used to facilitate the creation or retention of jobs in rural areas through the development of new rural cooperatives, value-added processing, and rural businesses.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for, but not limited to, the following activities to develop new cooperatives and improve existing cooperatives: applied research, feasibility, environmental, and other studies; collection, interpretation, and dissemination of principles, facts, technical knowledge, or other useful information; training and instruction; loans and grants; and technical assistance or advisory services to individuals, small businesses, cooperatives, or other similar entities in rural areas. Up to \$1.5 million may be used for applications that focus on assistance to small, minority producers through their cooperative businesses.

**Applicant Eligibility:**

Eligible applicants are nonprofit corporations and institutions of higher education. Grants may not be made to public bodies. A rural area for this program is defined as all territories of a State not within the outer boundary of any city having a population of 50,000 or more according to the latest decennial census of the United States.

**Beneficiary Eligibility:**

Rural residents.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is requested.

**Preapplication Coordination:**

An environmental assessment is generally not required for the Rural Cooperative Development Grant program. However, this program is eligible for coverage

under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard Federal application forms as furnished by the Federal Agency and required by Office of Management and Budget Circular Nos. A-110 and A-102 must be used for this program. An original and a copy of all Federal forms and application materials are to be filed with the appropriate Rural Development National Office. Electronic data submissions are encouraged. The National Office reviews the submittals to determine eligibility, then reviews, scores, and ranks all eligible applications.

**Award Procedure:**

See annual solicitation to determine the maximum amount of Federal funds to be awarded. Final processing and monitoring will be designated to the appropriate State Rural Development Office. Payments will be made by electronic funds transfer. In the event that the applicant is awarded a grant less than the amount requested, the applicant will be required to modify its application.

**Deadlines:**

Published in the Federal Register.

**Range of Approval/Disapproval Time:**

Sixty-to-120 days from the end of the application period as indicated in the annual solicitation in the Federal Register.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. An applicant may request that the Agency's decision be reviewed by the USDA National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

The total allocation is controlled by Congress. Applicants will be required to contribute at least 25 percent of the total project cost in cash or in-kind contributions that must be from nonfederal funds except that a loan from another federal source can be used. Applicants that are designated as 1994 Institutions" as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note; Pub. L. 103-382) are required to provide nonfederal financial support (matching funds) of at least 5 percent of the total project cost.

**Length and Time Phasing of Assistance:**

The grant program is conducted on an annual basis. Awards are made for a 12-month period. A Request for Advance or Reimbursement may be submitted monthly, but quarterly reimbursements are typical. The grantee's share of the costs will be disbursed in advance of grant funds or on a pro-rata distribution basis with grant funds during the disbursement period. Some reimbursements may be linked to submission of acceptable performance reports.

**Reports:**

Semiannual Financial Status Report, semiannual performance report, and a final project performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

FY 07 \$3,586,838; FY 08 est \$4,900,000; and FY 09 est not reported. Up to \$1.473 million may be used for applications that focus on assistance to small, minority producers through their cooperative businesses.

**Range and Average of Financial Assistance:**

In FY 2007, \$3.5 million was awarded to 19 recipients, averaging \$188,000 with a range from \$85,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

The Rural Cooperative Development Grant program has established a number of rural cooperative development centers across the Nation. Efforts from these centers have improved the economic condition of rural areas through the development of new cooperatives and improved operations of existing cooperatives. USDA continues to encourage and stimulate the development of effective cooperative organizations in rural America as a part of its total package of rural development efforts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4284, Subparts A and F; 7 CFR 3015; 7 CFR 3019. Final rules published in the Federal Register on April 29, 2004, revised 7 CFR 4284 Subpart F. The amendments implemented for Subpart F within 7 CFR Part 4284,

conform to the regulations for the Rural Cooperative Development Grant program contained within the newly implemented subpart A that consolidates provisions common to all grant programs administered by Cooperative Services within Rural Business Cooperative Service (RBS).

**Regional or Local Office:**

Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog or through the RBS Web site.

**Headquarters Office:**

Assistant Deputy Administrator, Cooperative Services, Rural Business-Cooperative Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-8460. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative development centers use grant funds to provide technical assistance, applied research, technical training, and cooperative education to emerging or active rural cooperatives. Examples of recent cooperative activities include: director training, technical assistance in value-added processing and marketing, and developmental outreach.

**CRITERIA FOR SELECTING PROPOSALS:**

Preference will be given to those applicants that demonstrate; a proven track record in cooperative development; in providing technical assistance in rural areas; ability to facilitate the establishment of cooperatives and new cooperative approaches; and Transferability of approach to rural areas outside of project area. Projects will be selected that contribute the most to the improvement of economic conditions of the rural area.

## 10.772 EMPOWERMENT ZONES PROGRAM

(Empowerment Zones and Enterprise Communities)

**FEDERAL AGENCY:**

OFFICE OF COMMUNITY DEVELOPMENT, RURAL DEVELOPMENT, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1993, Title XIII, Public Law 103-66; Taxpayer Relief Act of 1997, Public Law 105-34; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1999, Public Law 105-277; Public Law 106-554, The Community Renewal Tax Relief Act of 2000.

**OBJECTIVES:**

The purpose of this program is to provide for the establishment of empowerment zones and enterprise communities in rural areas to stimulate the creation of new jobs, particularly for the disadvantaged, long-term unemployed, and out migration, and to promote revitalization of economically distressed areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The USDA Empowerment Zone and Enterprise Community (EZ/EC) program is the first step in rebuilding communities in America's poverty-stricken rural communities. It is designed to empower people and communities all across this Nation by inspiring Americans to work together to improve living conditions in their communities, and create jobs and opportunity. Under this program the Federal government has designated 57 rural areas as EZs and ECs. These communities meet certain poverty and distress criteria and have prepared creative strategic plans for revitalization. For the purposes of this program, Round I refers to those EZs and ECs designated in 1994, Round II refers to those designated in 1998 and Round III refers to those EZs designated in 2002. Empowerment Zones are eligible for private activity tax exempt bonding authority for qualifying enterprises and facilities. Bond issues are subject to State private activity bond caps and special limits on issue size. Round I Empowerment Zones are eligible for employer wage credits, with a phase out beginning in year 2005. Empowerment Zones are eligible for accelerated Section 179 expensing for eligible property. Certain environmental remediation expenditures for cleaning up sites in enterprise communities may be deducted in the year incurred by taxpayers, where those expenses would ordinarily be capitalized and depreciated over time. EZ/ECs are also eligible for qualified academy zone taxable bonding authority, where the holder receives a tax credit in an amount equal to a credit rate (set by the Treasury Department) multiplied by the face amount of the bond. Round II rural zones can each issue up to \$60,000,000 in "new bonds" to Finance Zone facilities in addition to Round I type tax exempt bonds. The benefits described above may or may not be all-inclusive. EZ/EC communities benefit from additional legislated benefits in the future. They receive special consideration in competition for funding under numerous Federal programs, including the National Service and Community Policing initiatives. The Federal government will focus special attention on working cooperatively with designated enterprise communities to overcome regulatory impediments, to permit flexible use of existing Federal funds, and to



assist these communities in meeting essential mandates. Round II Empowerment Zones have authority to issue private activity bonds for qualified enterprises and facilities, which are not subject to State private activity bond caps, and enjoy a greater allowance for section 179 expensing. Round II Empowerment Zones do not enjoy the employer wage credits mentioned above. All EC and EZ employers, however, may use the Work Opportunity Tax Credit, as such credit may be extended.

**Applicant Eligibility:**

USDA is not currently authorized to grant new designations for the EZ/EC program. If Congress authorizes a new round of designations, eligibility criteria based on the statutory requirements for the new round will be published in the Federal Register.

**Beneficiary Eligibility:**

USDA is not currently authorized to grant new designations for the EZ/EC program. If Congress authorizes a new round of designations, eligibility criteria based on the statutory requirements for the new round will be published in the Federal Register.

**Credentials/Documentation:**

A Notice Inviting Applications would be published in the Federal Register.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Notice Inviting Applications, to be published in the Federal Register.

**Award Procedure:**

Round II Designations are published in the Federal Register and are effective as of the date of publication.

**Deadlines:**

Published in the Federal Register.

**Range of Approval/Disapproval Time:**

Guidelines would be published in the Federal Register.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Period of designation: The designation of an area as an Empowerment Zone or Enterprise Community shall remain in full effect during the period beginning on the date of designation and ending on the earliest of: (1) the close of the tenth calendar year beginning on or after the date of designation; (b) the termination date designated by the State and local governments in their application for nomination; or (c) the date the Secretary modifies or revokes the designation.

**Reports:**

USDA requires semi-annual reports for the designated EZ/EC communities. These reports will identify the community, local government and State actions that have been taken in accordance with the strategic plan. In addition to these reports, such other information relating to designated empowerment zones and enterprise communities as USDA shall request from time to time shall be submitted promptly. On the basis of this information and of on-site reviews, USDA will prepare and issue periodic EZ/EC reports.

**Audits:**

In accordance with OMB Circular No. A-133 "Audits of States, Local Governments, and Nonprofit Organizations" as codified by USDA or 7 CFR Chapter XXX, Part 3052, nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year.

**Records:**

None.

**Account Identification:**

12-2065-0-1-452.

**Obligations:**

FY 07 \$11,697,938; FY 08 est \$10,724,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$500,000 to \$40 million over a ten year period.

**PROGRAM ACCOMPLISHMENTS:**

Leveraging ratio is 17:1.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 25 Designation of Empowerment Zones and Enterprise Communities. Program regulations may be found in 7 CFR Part 25 Designation of Empowerment Zones and Enterprise Communities.

**Regional or Local Office:**

Consult your local telephone directory for the USDA Rural Development Area Office number. If none are listed contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

USDA, Office of Community Development, 300 7th Street S.W., Reporters Building, Room 266, Washington, DC, 20024, Attn: David Sears, Acting Director. Telephone: (202) 619-7980. Internet website: www.ezec.gov.

**Web Site Address:**

http://www.rurdev.usda.gov.

**RELATED PROGRAMS:**

14.244, Empowerment Zones Program; 93.667, Social Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:**

Descriptions of designated communities and information on activities in the strategic plans are available on the internet website above, or upon request, from the Headquarters Office.

**CRITERIA FOR SELECTING PROPOSALS:**

Published in the Federal Register.

**10.773 RURAL BUSINESS OPPORTUNITY GRANTS**

(RBOG)

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Section 741, Public Law 104-127.

**OBJECTIVES:**

To promote sustainable economic development in rural communities with exceptional needs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development.

**Applicant Eligibility:**

Grants may be made to public bodies, nonprofit corporations, Indian tribes on Federal or State reservations or other Federally recognized tribal groups, and cooperatives with members that are primarily rural residents and that conduct activities for the mutual benefit of the members.

**Beneficiary Eligibility:**

Rural communities and businesses in rural areas.

**Credentials/Documentation:**

Evidence of legal capacity. Evidence of financial strength and expertise in activities such as proposed in the application, sufficient to ensure accomplishment of the activities and objectives described in the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to environmental review requirements; however, most applications are expected to qualify as general exclusions.

**Application Procedure:**

Potential applicants should file Standard Form 424.1, "Application for Federal Assistance (For Nonconstruction)," and additional material required by Agency regulations with the USDA Rural Development State Office. The application will include a written narrative and scope of work. More details are available from the Headquarters Office or any Rural Development State Office.

**Award Procedure:**

Applications will be given a priority score in accordance with the criteria set out in the program regulations.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

30 days to 1 year.

**Appeals:**

Adverse decision may be appealed in accordance with procedures set out at 7 CFR 11.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements, although availability of matching funds is considered in determining priority.

**Length and Time Phasing of Assistance:**

Funding for complete projects is limited to projects that can be completed within 2 years. Projects of longer duration may only be funded for 1 year at a time.

**Reports:**

Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that

year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts must be maintained to reflect the operations of the project.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

FY 07 \$6,939,689; FY 08 \$2,634,610; and FY 09 est \$2,634,600.

**Range and Average of Financial Assistance:**

\$12,000 to \$344,750. Average: \$78,846.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 107 grants were made. In FY 2008 the number of grants were 38. It is anticipated that in FY 2009, approximately the same number will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Implementing regulations were published in the Federal Register (64 FR 71984) on December 23, 1999. The CFR citation is 7 CFR 4284, Subpart G.

**Regional or Local Office:**

Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rural Business-Cooperative Service, USDA, Specialty Lenders Division, STOP 3225, Room 6767, 1400 Independence Ave., S.W., Washington, DC 20250-1521. Telephone: (202) 720-1400.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.769, Rural Business Enterprise Grants.

**EXAMPLES OF FUNDED PROJECTS:**

(1) a \$50,000 grant was made to help fund a business incubator; (2) a \$33,500 grant was made to a Native American tribe for technical assistance in implementing a business plan; (3) a \$344,500 grant was made to provide technical assistance in an Enterprise Community.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant selection criteria include the extent to which economic development resulting from the proposed project will be sustainable over the long term; the extent to which the project should lead to improvements in the quality of economic activity within the community, such as higher wages, improved benefits, greater career potential, and the use of higher level skills; the amount of leveraging of funds from other sources; service to communities that are experiencing trauma due to a major natural disaster or the closing or major downsizing of a military facility or other major employer; service to communities that have remained consistently poor over the long term or have experienced long term population decline or job deterioration; and the extent of the project's usefulness as a best practice that may serve as a model for other communities.

## 10.774 NATIONAL SHEEP INDUSTRY IMPROVEMENT CENTER

(RURAL DEVELOPMENT)

**FEDERAL AGENCY:**

NATIONAL SHEEP INDUSTRY IMPROVEMENT CENTER, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127.

**OBJECTIVES:**

To assist the U.S. sheep and goat industries by strengthening and enhancing the production and marketing of sheep and goats and their products in the United States.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans; Direct Payments for Specified Use; Project Grants.

**USES AND USE RESTRICTIONS:**

(1) Making capital available for increasing production or improving production efficiency; (2) improving marketing efficiency or product quality; (3) promoting coordination in marketing systems and between industry participants; (4) communicating to meet the information needs of the industry and to inform the public and industry of the Center's activities; and (5) taking actions that will maintain the viability of the Center.

**Applicant Eligibility:**

Eligible entities include public, private, or cooperative organizations, associations, including corporations not operated for profit, Federally-recognized Indian Tribes or public or quasi-public agencies. An individual is not considered an eligible entity. Fifty-one percent of the entity must be owned by citizens of the United States or reside in the United States after being legally admitted for permanent residence.

**Beneficiary Eligibility:**

Eligible entities include public, private, or cooperative organizations, association, including corporations not operated for profit, Federally-recognized Indian Tribes or public or quasi-public agencies. An individual is not considered an eligible entity. Fifty-one percent of the entity must be owned by citizens of the United States or reside in the United States after being legally admitted for permanent residence.

**Credentials/Documentation:**

Applicants must demonstrate that a competent management team is in place, clearly defining each management team member's role, responsibilities and credentials. Applicants must demonstrate that the management team has the technical, marketing and financial expertise to manage all aspects of the proposed project or program.

**Preapplication Coordination:**

Eligible applicants should submit proposed projects on the "Proposal Application, National Sheep Industry Improvement Center" form (under review, available in 2000). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposal Application, NSIIC, may be submitted at any time to: NSIIC, PO Box 23483, Washington, DC 20026-3483 (Physical location: NSIIC, 1400 Independence Ave., S.W., (Room 2117), Washington DC. 20250). Funding and policy decisions are made by the NSIIC Board of Directors. Board of Director application review sessions are held following the end of each calendar quarter (March 31, June 30, September 30 and December 31). Applications must be received on or before the end of each calendar quarter to be considered. Applications not received within the allotted time period will be considered in the next review session.

**Award Procedure:**

The "Proposal Application" is used by the NSIIC Board of Directors to negotiate agreements and complete additional forms. Funding is made through rural development.

**Deadlines:**

March 31, June 30, September 30, and December 31.

**Range of Approval/Disapproval Time:**

Several months, including approval by the NSIIC Board of Directors.

**Appeals:**

Applications submitted, but not funded at a regular Board of Directors review session, may be resubmitted. Applications not funded or carried forward will include a summary stating the reasons.

**Renewals:**

In general, funding by the NSIIC is intended to be a one-time affair. The financial status of the company and the requested amount of funding are analyzed carefully at the time the decision is made to fund the project. If the Board determines the amount of funding to be inappropriate, the figures are adjusted during the final negotiations with the applicants. Thus, the applying entity, is then in a position to meet the terms of the agreement.

**Formula and Matching Requirements:**

NSIIC will: (1) Not exceed 50 percent of the project cost on equity investments included in Direct Payments for Specified Use; (2) not exceed \$1 million for a direct loan; and (3) require that loan guarantees: (a) have an eligible lender, as defined in the NSIIC Strategic Plan; (b) not exceed \$ 1 million; (c) not exceed 80 percent of the guaranteed loan; and (d) be assessed a 1 percent per annum guarantee fee by NSIIC.

**Length and Time Phasing of Assistance:**

Terms are negotiable between applicants and the NSIIC Board of Directors. The term of a loan may not exceed the shorter of: (i) The useful life of the activity financed; or (ii) 40 years.

**Reports:**

Periodic reports showing the progress of the project are required from eligible entities that receive NSIIC funds. The frequency and the detail required in these reports are proportionate to the risk and amount of money invested in the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Successful applicant receiving funds from NSIIC shall maintain adequate records and accounts using generally accepted accounting principles to assure that the funds are used for authorized purposes.

**Account Identification:**

12-1906-0-1-452.

**Obligations:**

Not separately identifiable. (NOTE: NSIIC is a revolving fund with a \$26 Million appropriation from Congress (ultimately to be \$50 Million appropriated at which time the fund will privatized) without fiscal year limitations. Equity Investments will be awarded.)

**Range and Average of Financial Assistance:**

Negotiated with the Board of Directors under the limitations set forth in the annual NSIIC Strategic Plan. Each program or project loan may not exceed \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Strategic Plan, Proposal Application.

**Regional or Local Office:**

None.

**Headquarters Office:**

NSIIC, 1400 Independence Ave., S.W. room 2117 Washington DC. 20250.  
Physical location: 1400 Independence Ave., S.W., room 2117 Washington DC. 20250. Telephone: (202) 690-0632. Fax: (207) 236-6576.

**Web Site Address:**

<http://www.rurdev.usda.gov/rbs/coops/csssheep.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Board of Directors will consider the impact the project will have on the sheep or goat industries by evaluating the financial feasibility, business system, management team, potential impact, and summary of overall strengths and weaknesses of the proposed project.

**10.775 RENEWABLE ENERGY SYSTEMS AND ENERGY EFFICIENCY IMPROVEMENTS PROGRAM**

(RES and EEI)

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Pursuant to enactment of the Farm Security and Rural Investment Act of 2002, Title IX, Section 9006.

**OBJECTIVES:**

To create a program to make direct loans, loan guarantees, and grants to agricultural producers (farmers and ranchers) and rural small businesses to help reduce energy costs and consumption and help meet the nation's critical energy needs.

**TYPES OF ASSISTANCE:**

Direct Loans; Loan Guarantees/Grants.

**USES AND USE RESTRICTIONS:**

The amount of a grant shall not exceed 25 percent of the cost of the eligible project costs. The maximum amount of combined grant and loan made or guaranteed shall not exceed 50 percent of the eligible project costs. The funds must be used for purchase of renewable energy systems or energy efficiency improvements.

**Applicant Eligibility:**

An eligible applicant must be an agricultural producer or rural small business. Individual applicants must be citizens of the United States (U.S.) or reside in the U.S. after being legally admitted for permanent residence. The applicant or owner must not have an outstanding judgment, delinquent on any Federal debt or debarred from receiving Federal assistance.

**Beneficiary Eligibility:**

Farmers, ranchers and rural small businesses.

**Credentials/Documentation:**

An Agricultural Producer (farmer or rancher) must be directly engaged in the production of agricultural products, including crops; livestock; forestry products; hydroponics; nursery stock; or aquaculture, whereby 50 percent or greater of their gross income is derived from the operations. A small business must meet the Small Business Administration's Business Size Standards by North American Industry Classification System; including all parent, affiliate, or subsidiary entities at other locations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant must submit a complete application to the Rural Energy Coordinator in their respective State. A complete application includes standards forms 424, 424C and 424D plus Rural Development forms, feasibility studies, energy audits, environmental assessment (form RD 1940-20), and written technical requirements. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

State Rural Development Office personnel will review all applications. Ineligible and incomplete applications may be returned to the applicant and not evaluated further. projects not financially or technically feasible will not be considered for funding. Qualified industry experts will review the technical

requirements of the applications. The State Rural Development Office will score the application based on the Evaluation Criteria and submit it to the National Office to be reviewed and ranked. The National Office will rank applications based on its total score. The highest scoring applications will be selected until all the funds are depleted. Recommendations for funding will be forwarded to the Administrator of RBS, who will award the grants.

**Deadlines:**

The Grant applications have two deadlines: Application must be postmarked no later than April 15, 2008 and June 16, 2008. The Combination loan and grant applications will be accepted and processed until June 16, 2008. Combination packages will be evaluated on a bi-weekly basis. Guaranteed loan applications will be accepted and processed until June 16, 2008, in a rolling application manner.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with RBS.

**Appeals:**

Adverse actions made on applications are applicable. pursuant to 7 CFR part 11.

**Renewals:**

None.

**Formula and Matching Requirements:**

The applicant must provide at least 75 percent of leveraged funds if the request is for grant funds. For a combination grant, loan and loan guarantee, the applicant must provide at least 50 percent of leveraged funds. In-kind contributions and other Federal grants may not be used to meet the 75 percent requirement.

**Length and Time Phasing of Assistance:**

Grant funds will be provided on a reimbursement basis unless the funding partners require the funds to be disbursed on a pro rata basis.

**Reports:**

A financial status report and a project performance report will be required on a quarterly basis (due 30 working days after end of the quarter). Grantees shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished.

**Audits:**

Accounting records prepared in accordance with generally accepted accounting principles (GAAP) and supported by source documentation.

**Records:**

Applicant will provide a financial management system in accordance with 7 CFR Part 3015. The applicant will also retain financial records, supporting documents, statistical records, and other records pertinent to the award for a period of at least three years after final disbursement, except that the records shall be retained beyond the three-year period if audit findings have not been resolved.

**Account Identification:**

Not available at this time.

**Obligations:**

(Loans) FY 07 \$55,846,437; FY 08 est \$204,953,560; and FY 09 est not reported. (Grants) FY 07 \$20,553,428; FY 08 est \$15,888,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range \$2,500 to \$500,000; Average \$125,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 562 projects were funded. Based on funding levels, we anticipate approximately the same number of projects will be funded in fiscal year 2008. The Agency anticipates the program to be at or above the same funding level for fiscal year 2009, funding activity is anticipated to be 600.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Funds Availability was published in the Federal Register for this fiscal year's funding. Regulations will be developed and published in the Federal Register this fiscal year.

**Regional or Local Office:**

The NOFA that was published in the Federal Register on March 6, 2008, provides the names, addresses and phone numbers of the contacts for each State.

**Headquarters Office:**

Rural Business-Cooperative Services, Department of Agriculture, 1400 Independence Avenue SW., Washington, DC 20013. Telephone: (202) 720-1400. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov/rbs/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) a \$20,000 grant for the purchase and installation of a small solar system. (2) a \$224,000 grant for the purchase of a large wind turbine. (3) a \$50,000 grant to make energy efficiency improvements to an existing facility. (4) a \$171,386 grant for an anaerobic digester. (5) a \$10 million guaranteed loan for the purchase and installation of a biomass electric generation facility.

**CRITERIA FOR SELECTING PROPOSALS:**

State Rural Development Office personnel will review all applications and score it on bases of the Evaluation Criteria and submit it to the National Office to be



reviewed and ranked. The National Office will rank applications based on its total score. The highest scoring applications will be selected until all the funds are depleted. Recommendations for funding will be forwarded to the Administrator of RBS, who will award the grants.

## 10.778 RESEARCH ON THE ECONOMIC IMPACT OF COOPERATIVES

(REIC)

### FEDERAL AGENCY:

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006, Title III, Public Law 109-97, as amended, Department of Defense Appropriations Act, 2006, Division B, Title III, Chapter 8, Section 3801, Public Law 109-148.

### OBJECTIVES:

The encouragement of research on the national economic impact or value of all types of cooperatives in the United States.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

An REIC cooperative agreement is to be used to conduct research on the national economic impact of all types of cooperative organizations. The research is to include development of methodology and collection and analysis of data as well as describing the economic impacts. Indirect costs are restricted to no more than 10 percent of the direct cost. Direct costs are not to include construction or fixed assets.

### Applicant Eligibility:

Institutions of Higher Education, including consortia of academic institutions, research foundations maintained by a college or university, or private nonprofit organizations funded by a group of colleges or universities, are eligible to apply.

### Beneficiary Eligibility:

Public or private colleges or universities.

### Credentials/Documentation:

Applicants must provide a budget supporting the work plan that details all sources and uses of funds during the project period. Applicants are required to verify matching funds, both cash and in-kind such that USDA can verify all representations.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

USDA will solicit applications on a competitive basis by publication of a notice in the Federal Register and through the [www.grants.gov](http://www.grants.gov) Federal Web site. Unless otherwise specified, applicants must file an original and two copies of the proposal and all required forms or as otherwise instructed in the annual announcement. An applicant must submit Form SF-424, Form SF-424A, Form SF-424B, and other information as directed. Each proposal must contain the following elements and any additional elements published in the announcement: (1) Title Page; (2) Table of Contents; (3) Executive Summary; (4) Eligibility Discussion; (5) Proposal Narrative including, but not limited to: (i) Project Title; (ii) Information Sheet; (iii) Goals of the Project; (iv) Work Plan; (v) Proposal Evaluation Criteria; (6) Certification of Judgment; and (7) Verification of Matching Funds.

### Award Procedure:

Qualified academic institutions must submit their application to the Rural Development-Cooperative Programs National Office where it will be reviewed and scored on a competitive basis as described in the annual solicitation for proposals. If selected for an award, the applicant must complete the objectives as defined in the approved proposal.

### Deadlines:

Contact the headquarter office for application deadlines.

### Range of Approval/Disapproval Time:

From 30 to 60 days after the application is filed with the Rural Development-Cooperative Programs.

### Appeals:

Applicants may appeal any adverse decisions to USDA's National Appeals Division.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

This program has no statutory formula.

### Length and Time Phasing of Assistance:

The cooperative agreement funds will be dispersed quarterly on a reimbursement basis over a period of up to two years.

### Reports:

Progress reports must be submitted to the Rural Development-Cooperative Programs National Office within 30 days of the end of each calendar quarter. A

final report must be submitted to the Rural Development-Cooperative Programs National Office within 90 days after the project is completed. Form SF-269 or SF-269A, "Financial Status Report" must be submitted Quarterly. Form SF-270 "Request for Advance or Reimbursement" may be submitted when required, but no more often than monthly.

### Audits:

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, non-Federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

### Records:

The recipient will maintain adequate records and accounts to assure that agreement funds are used for authorized purposes. Records will also be maintained by the Rural Development-Cooperative Programs National Office and Rural Development Budget Office according to USDA and Agency record-keeping requirements.

### Account Identification:

12-1900-0-1-452.

### Obligations:

FY 07 \$500,000; FY 08 est \$491,535; and FY 09 est not reported.

### Range and Average of Financial Assistance:

One agreement in the amount of \$491,535 is anticipated.

### PROGRAM ACCOMPLISHMENTS:

This program was new in FY 2006. In previous years 3 to 5 applications were received and it is anticipated that the same number will be received and 1 award will be made in fiscal year 2008.

### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR 3015; 7 CFR 3019. Please see all details in the program notice of request for proposals in the Federal Register. Application guidelines are on the website listed below and through [www.grants.gov](http://www.grants.gov).

### Regional or Local Office:

None.

### Headquarters Office:

USDA-Rural Development's Cooperative Programs, 1400 Independence Ave., S.W., Stop 3252, Washington, DC 20250-3252 Telephone: (202) 690-0368, Fax: (202) 690-2723 E-mail: [cpgrants@wdc.usda.gov](mailto:cpgrants@wdc.usda.gov).

### Web Site Address:

<http://www.rurdev.usda.gov/rbs/coops/reic.htm>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None available at this time.

### CRITERIA FOR SELECTING PROPOSALS:

All eligible and complete applications will be evaluated by a review panel based on the criteria published in the Federal Register. The top ranked proposal will be funded.

## 10.850 RURAL ELECTRIFICATION LOANS AND LOAN GUARANTEES

(RUS)

### FEDERAL AGENCY:

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

### AUTHORIZATION:

Rural Electrification Act of 1936, as amended, 7 U.S.C. 901-950.

### OBJECTIVES:

To assure that people in eligible rural areas have access to electric services comparable in reliability and quality to the rest of the Nation.

### TYPES OF ASSISTANCE:

Direct Loans.

### USES AND USE RESTRICTIONS:

Long-term, direct loans and loan guarantees to qualified organizations for the purpose of supplying or improving inadequate or unreliable electric services on a continuing basis in rural areas.

### Applicant Eligibility:

Rural electric cooperatives, public utility districts, power companies, municipalities, and other qualified power suppliers including those located in the U.S. Territories.

### Beneficiary Eligibility:

Persons in rural areas who do not have electric service, have inadequate or unreliable electric service, or those currently served through RUS financing. Rural areas are defined in the Rural Electrification Act as any area of the United States not included within the boundaries of any urban area as defined by the Bureau of the Census. Such term shall be deemed to include both the farm and nonfarm populations.

### Credentials/Documentation:

None. This program is excluded from coverage under OMB Circular No. A-87,

"Cost Principles for State, Local and Indian Tribal Governments."

**Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102, "Grants and Cooperative Agreements with State and Local Governments."

**Application Procedure:**

Applications for direct loan and loan guarantees are made by resolution of the board of directors of the borrowing organization. Information on submitting applications is contained in 7 CFR Part 1710 and 1714. This program is excluded from coverage under OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutes of Higher Education, Hospitals and other Nonprofit Organizations."

**Award Procedure:**

Depending on the amount of the application, the RUS Administrator, Assistant Administrator, or appropriate Regional Director makes the final decision on approval of the loan upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Direct loans are approved generally on an average of 3 to 6 months as funding becomes available. Loan guarantees are approved generally on an average of 9 to 12 months.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Under certain conditions, obtaining a municipal rate will require obtaining a concurrent loan (of 10, 20, or 30 percent of the total amount required) from a supplemental financing source. The factors used for determining the amount of concurrent financing required are set forth in 7 CFR 1710.110.

**Length and Time Phasing of Assistance:**

Direct loans are generally made for a period up to 35 years, that approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for utility companies by the RUS uniform system of accounts, and by sound business practices.

**Account Identification:**

12-1230-0-1-271; 12-4230-0-3-271.

**Obligations:**

(Direct Loans) FY 07 \$2,542,001,000; FY 08 est not available; and FY 09 est not reported. (Guaranteed FFB) FY 07 \$3,600,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Direct Loans: \$772,000 to \$1,000,000,000 \$23,664,000 Average. Guaranteed FFB: \$334,600 to \$82,448,000 \$12,924,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR XVII. RUS publishes and issues upon request bulletins bearing on the financing, construction, operation, and maintenance of rural electric systems. Also available are annual statistical summaries; and the Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administrator, Rural Utilities Service, Department of Agriculture, Washington, DC 20250-1500. Telephone: (202) 720-9540. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.854, Rural Economic Development Loans and Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.851 RURAL TELEPHONE LOANS AND LOAN GUARANTEES

(Rural Telephone Loans and Loan Guarantees)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Titles II and III, 7 U.S.C. 921, 922-924, and 930-940.

**OBJECTIVES:**

To assure that people in eligible rural areas have access to telecommunications services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Long-term direct and guaranteed loans to qualified organizations for the purpose of financing the improvement, expansion, construction, acquisition, and operation of telephone lines, facilities, or systems to furnish and improve Telecommunications service in rural areas. "Rural area" is defined as any area of the United States, its territories and insular possessions (including any areas within the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population exceeding 5,000 inhabitants. The population figure is obtained from the Bureau of Census. For purposes of the "rural area" definition, the character of an area is determined at the time the initial loan for the system is made.

**Applicant Eligibility:**

Telephone companies or cooperatives, nonprofit associations, limited dividend associations, mutual associations or public bodies including those located in the U.S. Territories and countries included in the Compact of Free Association Act of 1985, providing or proposing to provide telecommunications service to meet the needs of rural areas.

**Beneficiary Eligibility:**

Residents of rural areas, and others who may also receive telephone service as a result of service provided to a rural area.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

The completed loan application consists of four parts: an RUS Form 490; Application for Telephone Loan or Loan Guarantee; a market survey called Area Coverage Survey (ACS); the plan and associated costs for the proposed construction called the Loan Design (LD); and other various supplementary information specified in 7 CFR 1737.22. Detailed information on applying for an RUS telephone loan or loan guarantee is in 7 CFR Part 1737, available from RUS upon request. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Depending on the amount of the application, and loan committee(s) recommendation, the RUS Administrator, Assistant Administrator, or appropriate Area Director makes the final decision on approval of the loan or loan guarantee upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

Applications are processed on a first-come, first-serve basis through out the fiscal year ending September 30.

**Range of Approval/Disapproval Time:**

Normal loan processing time is from 2 to 3 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The statistical factor used for eligibility is any area of the United States; its territories or possessions, not within the boundaries of any city, village or borough having a population over 5,000 (farm and nonfarm). The source is the

Department of Commerce's Bureau of the Census. The statistical factor used for fund allocation does not apply to this program.

**Length and Time Phasing of Assistance:**

Direct and guaranteed loans can be made not to exceed the economic life of facilities and equipment. (average loan maturity is 18 yrs). Provision is normally made for advances to be completed within 5 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No.A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for telephone companies by the State regulatory body having jurisdiction, or by the Federal Communications Commission if there is no such regulatory body.

**Account Identification:**

12-1230-0-1-271; 12-4230-0-3-271.

**Obligations:**

(Hardship Loans) FY 07 \$54,413,000,000; FY 08 est \$145,000,000; and FY 09 est not reported. (Cost of Money Loans) FY 07 \$397,792,000; FY 08 est \$250,000,000; and FY 09 est not reported. (FFB Treasury Loans) FY 07 \$129,961,000; and FY 08 est \$295,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

For FY 2006: Direct loans: \$249,000 to \$55,658,000; Average: \$13,774,634. Loan Guarantees: \$2,351,000 to 23,877,000; Average: \$12,500,000.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2004, 65 borrowers received loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR-XVII. RUS publishes and issues upon request technical operations manuals and bulletins covering financing, construction, operation and maintenance of rural telephone systems. Also available are annual statistical summaries; and Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, U.S. Department of Agriculture, 1400 Independence Avenue, SW., STOP 1590, Room 5151, Washington, DC 20250 1590. Telephone number (202) 720 9554, Facsimile (202) 720 0810.

**Web Site Address:**

<http://www.usda.gov/rus/>

**RELATED PROGRAMS:**

10.886, Rural Broadband Access Loans and Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.854 RURAL ECONOMIC DEVELOPMENT LOANS AND GRANTS

**FEDERAL AGENCY:**

RURAL BUSINESS-COOPERATIVE SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title III, 7 U.S.C. 930-940c.

**OBJECTIVES:**

To promote rural economic development and job creation projects, including funding for project feasibility studies, start-up costs, incubator projects, and other reasonable expenses for the purpose of fostering rural development.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants.

**USES AND USE RESTRICTIONS:**

Projects which promote rural economic development and job creation. For fiscal year 2007, maximum amount of grant is \$300,000; maximum amount of loan is \$740,000. Maximum term of loan is ten years at zero interest rate.

**Applicant Eligibility:**

Electric and telephone utilities that have current loans with the Rural Utilities Service (RUS) or Rural Telephone Bank loans or guarantees outstanding and are not delinquent on any Federal debt or in bankruptcy proceedings.

**Beneficiary Eligibility:**

Rural/General Public.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application Form: OMB Standard Form 424. This program except for feasibility studies is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." The RUS utility should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102. An environmental review is conducted by the agency for the projects. An environmental assessment without scoping is occasionally required.

**Application Procedure:**

Submit application as described in 7 CFR 4280.39, no State plan required.

**Award Procedure:**

RBS selects projects to be funded. The funds pass through the RUS utility to rural economic development projects.

**Deadlines:**

Applications may be filed on any working day during the month.

**Range of Approval/Disapproval Time:**

Open ended.

**Appeals:**

None.

**Renewals:**

Renewal of same application for one year. Submit new or revised application as often as desired.

**Formula and Matching Requirements:**

This program requires supplemental funds in the amount of 20 percent of the RBS application amounts.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Reporting need established in 7 CFR 4280, Subpart A.

**Audits:**

Financial audit of the RUS utility is required.

**Records:**

Record retention requirements established in 7 CFR 4280, Subpart A.

**Account Identification:**

12-4230-0-3-271; 12-3108-0-1-452; 12-3105-0-1-452.

**Obligations:**

(Loans) FY 07 \$26,167,000; FY 08 \$33,120,656; and FY 09 est \$ot reported. (Grants) FY 07 \$9,963,000; FY 08 \$10,000,000; and FY 09 est not reported. (Note: Grants to establish Revolving Loan Fund Programs.)

**Range and Average of Financial Assistance:**

The maximum amount of loan is \$740,000. The maximum amount of Grant is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 81 projects were funded. In fiscal year 2008, the level of activity was 92. At this time, the estimated funding level for fiscal year 2009, has not been reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4280, Subpart A and the Rural Electrification Act of 1936.

**Regional or Local Office:**

Consult your local telephone directory for RD District Office number. If no listing, get in touch with appropriate Rural Development State Office listed in Appendix IV of the catalog.

**Headquarters Office:**

Director, Specialty Lenders Division, Rural Business-Cooperative Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-1400.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) a \$740,000 loan to construct an addition to a hospital to house a Rural Health Clinic. (2) a \$450,000 loan to purchase equipment to be used in a business expansion. (3) a \$300,000 grant to establish a revolving loan fund to provide business loans to businesses in 10 counties.

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR 4280.42.

## 10.855 DISTANCE LEARNING AND TELEMEDICINE LOANS AND GRANTS

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Title VII, Public Law



**OBJECTIVES:**

To encourage and improve the use of telemedicine, telecommunications, computer networks, and related advanced technologies to provide educational and medical benefits through distance learning and telemedicine projects to people living in rural areas and to improve rural opportunities.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Loans.

**USES AND USE RESTRICTIONS:**

Telecommunications, computer networks and related advanced technologies that provide educational and/or medical benefits to students, teachers, medical professionals and rural residents. Eligible costs depend on the type of financial assistance being requested; i.e., grant or loan. See 7 CFR Part 1703 for details.

**Applicant Eligibility:**

To be eligible to receive a grant, loan and grant combination, or loan, the applicant must be legally organized as an incorporated organization or partnership, an Indian tribe or tribal organization, a state or local unit of government, a consortium, or other legal entity. The applicant must have legal capacity to contract with RUS. The applicant also must propose to utilize the financing to: (i) operate a rural community facility; or (ii) deliver distance learning or telemedicine services to entities that operate a rural community facility or to residents of rural areas at rates calculated to ensure that the benefit of the financial assistance is passed through to such entities or to residents of rural areas. The applicant must not be delinquent on any Federal debt. RUS electric and telecommunications borrowers are not eligible for grants. Generally, applicants are organizations such as schools, libraries, hospitals, medical centers, or other eligible organizations that will be users of a telecommunications, computer network, or related advanced technology system to provide educational and/or medical benefits to rural residents.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities, particularly in the areas of education, training and medical services.

**Credentials/Documentation:**

See 7 CFR Part 1703 for details.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circular No. A-110 (7 CFR 3015). This program is not subject to the provisions of OMB Circular No. A-102.

**Application Procedure:**

Submit application Form 424; non-delinquent on any Federal obligations; consultation with USDA State Director (for grant applicants); evidence of legal existence and authority to perform the proposed grant activities; a comprehensive rural telecommunications plan; scope of work plan, executive summary for the project; financial information; a statement of experience; funding commitment from other sources; compliance with Federal statutes and regulations (compliance with scoring criteria) and environmental impact; supplemental information and required additional RUS information.

**Award Procedure:**

Based on a determination that the loan is economically feasible and serves the purposes of the Rural Electrification Act, loans are approved. For grants, RUS rates the applicants based on specified scoring criteria and determines awards based on those ratings.

**Deadlines:**

See the federal register notice for grant application deadline. Loan applications may be submitted anytime and loans are approved throughout the year.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available. Applications that have not been approved may be resubmitted each year for consideration.

**Appeals:**

A grant applicant may appeal the numerical scoring to the Secretary in writing within 10 days after applicant is notified of the scoring level.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no formula requirements. A 15 percent matching contribution will be required from the applicant. No matching is required for applicants requesting loans.

**Length and Time Phasing of Assistance:**

Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes. Applicants generally have three years to spend funds. Extensions may be granted.

**Reports:**

SF 269, "Financial Status Report," and project performance activity report required annually.

**Audits:**

For a grant recipient, an audit report is required for the years in which funds are received. For a loan recipient, an audit report is required annually until all RUS loans have been repaid.

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Grants) FY 07 \$15,000,000; FY 08 est \$24,750,000; and FY 09 est not reported. (Loans) FY 07 \$127,914,000; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The minimum grant is \$50,000. The maximum varies and is not to exceed the amount established by the RUS Administrator.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1703, subparts D through G. Distance Learning and Telemedicine Program Grant Application Guide - Fiscal Year 2007 Distance Learning and Telemedicine Program Loan and Combination Loan-Grant Application Guide - Fiscal Year 2007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, Department of Agriculture, 1400 Independence Avenue, S.W., STOP 1590, Room 5151, Washington, DC 20250 1590. Telephone: (202) 720 9554, Fax: (202) 720 0810.

**Web Site Address:**

<http://www.usda.gov/rus/telecom/dlt/dlt.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Depending on the type of financial assistance: interactive rural education networks, remote health care units linkups, computer terminals that are required for a distance learning or telemedicine system, video and audio equipment, site development and alteration of buildings, telecommunications transmission facilities, and other telemedicine or distance learning projects.

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR Part 1703, subparts D through G.

## 10.856 1890 LAND GRANT INSTITUTIONS RURAL ENTREPRENEURIAL OUTREACH PROGRAM

(1890 REOD Initiative)

**FEDERAL AGENCY:**

BUSINESS AND COOPERATIVE PROGRAMS, RURAL DEVELOPMENT, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

7 U.S.C. 2204b(b)(4) and Executive Order 13256 (February 12, 2002), President's Board of Advisors on Historically Black Colleges and Universities.

**OBJECTIVES:**

To encourage 1890 Institutions to provide technical assistance for business creation in economically challenged rural communities, to conduct educational programs that develop and improve upon the professional skills of rural entrepreneurs, and to provide outreach and promote USDA Rural Development programs in small rural communities with the greatest economic need.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Rural Development cooperative agreements with the 1890 Institutions must be used to strengthen the capacity of rural communities to undertake innovative, comprehensive, citizen led, long-term strategies for community and economic development. Only one application or proposal per 1890 institution per year will be accepted. Recognized outreach efforts to promote Rural Development programs in targeted underserved rural communities include, but are not limited to: (a) business startup and related technical assistance; seminars and workshops for small businesses; (b) development of management and technical assistance plans that: (1) assess small business alternatives to traditional agriculture; (2) assist in the development of business plans or loan packages, marketing, or bookkeeping; (3) assist and train small businesses in customer relations, product development, or business planning and development; (c) feasibility studies; (d) advice and recommendations regarding best practices in community economic development; (e) the conduct of seminars to stimulate business and economic development; and (f) developing computer technology outreach and establishing and maintaining a computer network system, linking community leaders and residents to available economic development information. Rural Development funds may be used to pay up to 75 percent of the costs for carrying out relevant projects. Applicants' contributions (matching

25 percent) may be in cash or in-kind contributions but must be from non-Federal funds. The applicant and assigned personnel must also have expertise and experience in providing the recommended assistance. Applicants should also have a previous record of successful implementation of similar projects and must have the expertise in the use of electronic network technologies and/or a business information system network website.

**Applicant Eligibility:**

1890 Land Grant Institutions and Tuskegee University (1890 Institutions).

**Beneficiary Eligibility:**

The 1890 REOD Initiative is limited to residents located in a rural area as defined in 7 U.S.C. 1991(a)(13) with economic need. Location in an Empowerment Zone, Enterprise Community, Champion Community, Federally-recognized Tribal Indian groups or other Federally declared economic depressed or disaster area is sufficient evidence of economic need. Eligible beneficiaries must also be located in communities that show significant community support for the proposal. Preference will be given for projects that operate in a multi-county service area. See annual notice of funding availability for details.

**Credentials/Documentation:**

Eligible applicants are 1890 Land Grant Institutions and Tuskegee University. Eligible applicants must provide matching funds equal to at least 25 percent of the amount provided by Rural Development in the cooperative agreement. See annual notice of funding availability for details.

**Preapplication Coordination:**

Applicants are encouraged to submit applications electronically through Grants.gov. Applicants must follow the instructions given at "http://www.grants.gov" website. Applicants are advised to visit the site well in advance of the application deadline if they plan to apply electronically to insure that they have obtained the proper authentication and have sufficient computer resources to complete the application. To obtain paper application instructions and all required forms, contact Rural Development--Cooperative Programs, USDA. The application forms and instructions may be requested via e-mail (edgar.lewis@wdc.usda.gov) and are also located on the Business and Cooperative Programs website noted later in this announcement. This program is excluded from coverage under E.O. 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

Submit (1) Form SF-424, Application for Federal Assistance; (2) Form SF-424A, Budget Information--Non-Construction Programs; (3) Form SF-424B, Assurances--Non-construction Programs; (4) Form AD-1047, Certification Regarding Debarment, Suspension and other Responsibility Matters; (5) Form AD-1049, Certification Regarding Drug Free Workplace Requirements (6) Form SF-LLL, Disclosure of Lobbying Activities; and, (7) other information as requested by the annual Request For Proposals. See annual solicitation in the Federal Register for specific procedures.

**Award Procedure:**

The 1890s Institutions must submit their application to the Rural Development--Cooperative Programs National Office where it will be reviewed and scored on a competitive basis as described in the annual solicitation for proposals. If selected for an award, the applicant must complete the objectives as defined in the approved proposal.

**Deadlines:**

Annual deadline as published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 60 to 120 days after solicitation closes and application is filed with the Rural Development--Cooperative Programs.

**Appeals:**

Applicants may appeal any adverse decisions to the National Appeals Division.

**Renewals:**

This program is conducted annually and requires a new application and competition each year. Hence, renewals are not applicable.

**Formula and Matching Requirements:**

Federal funds may be used to pay up to 75 percent of the costs for carrying out relevant projects. Applicants' contributions may be in cash or in-kind contributions and must be from non-Federal funds.

**Length and Time Phasing of Assistance:**

Matching funds must be spent in proportion to the spending of funds received from the cooperative agreement. All awards are for one year from the beginning of the performance period as specified in the terms and conditions of the agreement.

**Reports:**

Progress reports must be submitted to Rural Development--Cooperative Programs National Office on a quarterly basis. A final report must be submitted to Rural Development--Cooperative Programs National Office within 90 days following the end of the performance period. All reports forwarded to Rural Development--Cooperative Programs National Office must also be forwarded to the Rural Development State Office. Upon request by Rural Development--Cooperative Programs National Office, the recipient will deliver manuscripts, videotapes, software, or other media, as may be identified in approved proposals. Recipients will deliver project outreach success stories and other project related information requested by Rural Development--Cooperative Programs National

Office for use on the website.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, non-Federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. Those non-Federal entities exempt from Circular A-133 will be audited by the Rural Development State Office.

**Records:**

The recipient will maintain adequate records and accounts to assure that agreement funds are used for authorized purposes. Records will also be maintained by the Rural Development--Cooperative Programs National Office National Office and RD Budget Office according to USDA and Agency record-keeping requirements.

**Account Identification:**

12-0403-0-1-452.

**Obligations:**

FY 07 \$1,500,000; FY 08 est not available; and FY 09 est not reported. (NOTE: Program funds are discretionary in nature and funding decisions are made during the third quarter of the fiscal year. Cooperative Agreements for technical assistance with 1890 Institutions totaled the following amounts in the year indicated.)

**Range and Average of Financial Assistance:**

Cooperative Agreements awarded typically range from \$75,000 to \$100,000 and average \$136,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015; 7 CFR 3017; 7 CFR 3018; 7 CFR 3019; 7 CFR 3021; and, 7 CFR 3052. NOTE: Executive Order 13256 (February 12, 2002), President's Board of Advisors on Historically Black Colleges and Universities. Please see all details in the annual program notice of funding availability in the Federal Register.

**Regional or Local Office:**

Contact the appropriate RD State Office or check the website noted in this announcement. Email: CPGrants@wdc.usda.gov.

**Headquarters Office:**

Edgar L. Lewis, Rural Development 1890 Land Grant Outreach Manager, Cooperative Programs, Business and Cooperative Programs, U.S. Department of Agriculture, 1400 Independence Ave. SW, Stop 3252, Washington, DC 20250 3252. Telephone: (202) 690-3407.

**Web Site Address:**

http://www.rurdev.usda.gov/rbs/oa/1890.htm.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative Agreement funds were used to fund outreach initiatives including technical assistance in economic and community development, feasibility studies, research, market development, loan packaging, conducting workshops and seminars in the area of business and economic development, and developing and providing access to computer technology and website development to the targeted population and communities.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be evaluated in a two-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in a Notice of Request for Proposals. Second, a number of expert reviewers will conduct a merit review based on the "Evaluation Criteria and Weights" section of the Notice of Request for Proposals as published in the Federal Register.

## 10.857 STATE BULK FUEL REVOLVING FUND GRANTS

(RUS)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

To provide grants to State entities for revolving funds to promote more cost-effective fuel purchases for communities where fuel cannot be shipped by surface transportation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds must be used to establish and support a revolving fund to provide a more cost-effective means of purchasing fuel where fuel cannot be shipped by means of surface transportation. Not more than 4 percent of the funds made available

under the grant may be used for planning and administrative expenses.

**Applicant Eligibility:**

Applicants are limited to State entities and to entities of any Territory, possession or other area authorized to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended. Entities must be in existence as of November 9, 2000.

**Beneficiary Eligibility:**

Assistance must be used to improve the cost-effectiveness of fuel purchasing for communities that are dependent on fuel deliveries by water or air.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register. Requirements for applications are described in the Federal Register notice and may be requested from the Agency. Eligible entities should provide expressions of interest in applying for grants to the Assistant Administrator, Electric Programs.

**Award Procedure:**

Grants are awarded competitively.

**Deadlines:**

Deadlines will be announced in Notice of Funding Availability published in the Federal Register. Applications will be accepted during the announced application window and awarded at the close of the window.

**Range of Approval/Disapproval Time:**

Grant approvals will generally be made within 60 days of the application closing date.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grant agreements will run for a period of three years. Extensions may be granted. Funds will be disbursed on request of the Grantee.

**Reports:**

Grantee will be required to provide periodic financial and performance reports.

**Audits:**

Grantee will be required to report in accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Records must be kept as required under USDA and State regulations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Grants) FY 07 \$500,000; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grants to States have ranged from \$350,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Grant allowed expansion of existing State revolving fund program to fully fund requests for assistance to secure adequate winter fuel supplies. Grantee reports that 60 remote communities benefitted from lower fuel costs through bulk purchase discounts and lower finance costs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Rural Development Utilities Programs Department of Agriculture, Washington, DC 20250-1560. Telephone: (202) 720-9540. Use the same number for FTS.

**Web Site Address:**

<http://www.usda.gov/rus/electric/hecgp/index.htm>

**RELATED PROGRAMS:**

10.850, Rural Electrification Loans and Loan Guarantees; 10.854, Rural Economic Development Loans and Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Expansion of state revolving loan fund for fuel purchases for isolated small rural communities; creation of State emergency loan fund to acquire fuel on behalf of financially distressed communities.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected competitively based on total scores received on evaluation criteria in grant announcement.

**10.858 DENALI COMMISSION GRANTS AND LOANS**

(RUS)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Grants and loans to the Denali Commission for the benefit of rural communities in Alaska with extremely high household energy costs exceeding 275 percent of the national average.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Loans.

**USES AND USE RESTRICTIONS:**

Funds must be used for energy generation, transmission, or distribution facilities serving rural communities where average residential energy expenditures are at least 275 percent of the national average. Grant must be in coordination with State rural development initiatives. Planning and administrative expenses must not exceed 4 percent of the grant amount.

**Applicant Eligibility:**

The Denali Commission, a Federal Agency is the only eligible applicant.

**Beneficiary Eligibility:**

Beneficiaries are residents of rural communities in Alaska with extremely high energy costs. Eligible beneficiary communities must apply for assistance directly to the Denali Commission and eligible projects must be on Denali Commission Annual Approved Work Plan.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Denali Commission submits a letter of application under a Memorandum of Understanding with USDA.

**Award Procedure:**

Approval of the Denali request for grant funds is made by the Administrator.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grant funds are for three years and may be extended.

**Reports:**

The Denali Commission will provide a summary of projects approved, rural communities served, and an accounting of expenditures made under each grant in its annual report.

**Audits:**

The Denali Commission is subject to audit requirements for Federal agencies and maintains its books and records in accordance with Federal requirements of OMB Circular A-34.

**Records:**

The Denali Commission maintains its books and records in accordance with Federal requirements of OMB Circular A-34.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Grants) FY 07 \$15,000,000; FY 08 est. \$15,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grant awards have ranged from \$10,000,000 to \$18,500,000.

**PROGRAM ACCOMPLISHMENTS:**

The Denali Commission reports that more than 100 communities in rural Alaska have benefitted from USDA grant funds supporting the Denali rural power system and bulk fuel storage tank replacements and upgrade program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administrator, Rural Development Utilities Programs, Washington, DC 20250-1500. Telephone: (202) 720-9540. Use the same number for FTS.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.850, Rural Electrification Loans and Loan Guarantees; 10.854, Rural Economic Development Loans and Grants.



#### **EXAMPLES OF FUNDED PROJECTS:**

Projects funded by the Denali Commission through this grant were selected from approved projects on the Denali Commission Work Plan and include improvements and replacements of bulk fuel storage and handling facilities and electric distribution system improvements in remote Alaskan villages.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The Agency Administrator makes a grant award based on Denali Letter of Request and Denali Annual Work Plan.

### **10.859 ASSISTANCE TO HIGH ENERGY COST RURAL COMMUNITIES**

(RUS High Energy Cost Grants)

#### **FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

#### **OBJECTIVES:**

Assistance to rural communities with extremely high energy costs.

#### **TYPES OF ASSISTANCE:**

Project Grants; Direct Loans.

#### **USES AND USE RESTRICTIONS:**

Funds must be used to acquire, construct, extend, upgrade, and improve energy generation, transmission, or distribution facilities serving communities in which the average annual expenditure for home energy costs is at least 275 percent of the national average. Energy efficiency and on-grid and off-grid renewable energy systems are eligible. Not more than 4 percent of amounts made available in grant funds may be used for planning and administrative expenses. Funds may not be used to pay utility bills, fuel costs, or operating expenses.

#### **Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States, for-profit and non-profit businesses, cooperatives, associations, organizations, and other entities organized under the laws of States, Indian tribes, tribal entities, and individuals. The governments and entities located in any U.S.

Territory/possession or other area authorized by law to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended, are also eligible.

#### **Beneficiary Eligibility:**

Projects must serve rural communities in which the annual average residential expenditure for home energy is at least 275 percent of the national average. Energy cost eligibility benchmarks are included in the published Notice of Funding Availability.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register and Grants.gov. Application requirements are described in the published notice and on the agency web site. Application materials may also be requested from the Agency.

#### **Award Procedure:**

Grants will be awarded based on competitive ranking of applications according to published evaluation criteria for technical merit, community need, economic hardship, and rurality.

#### **Deadlines:**

Deadlines for applications will be published in the Notice of Funding Availability in the Federal Register, Grants.gov and on the Agency web site. Applications will be accepted only during the announced application window.

#### **Range of Approval/Disapproval Time:**

Selection of grant finalists will be announced approximately 90 to 180 days after the application deadline. Final Grant awards will be approved after completion of environmental review and other pre-award requirements.

#### **Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709. Applicants may not appeal numerical rankings of competitive grant applications.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Grant agreements will run for the period of time necessary to complete the project and provide at least one year of operating data, generally about three years. Extensions may be granted. Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

#### **Reports:**

Grant recipients will be required to file periodic financial and performance reports specified in the grant agreement and program regulations.

#### **Audits:**

Recipient will be required to report in accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," as applicable, and as provided in the grant agreement and program regulations.

#### **Records:**

Grantee must maintain records in accordance with requirements of program regulations and the grant agreement.

#### **Account Identification:**

12-0400-0-1-452.

#### **Obligations:**

FY 07 \$3,928,578; FY 08 est, \$21,900,000; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

Minimum award is \$75,000 and maximum is \$5,000,000. Individual grant awards have ranged from approximately \$175,000 to \$3.775,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 2007 it is expected that 50 applications will be submitted and that 15 to 20 projects will be funded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Assistant Administrator, Electric Programs, Rural Development Utilities Programs, Department of Agriculture, Washington, D.C. 20250-1560. Telephone: (202) 720-9545. Use the same number for FTS.

#### **Web Site Address:**

<http://www.usda.gov/rus/electric/hecgp/index.htm>

#### **RELATED PROGRAMS:**

10.850, Rural Electrification Loans and Loan Guarantees; 10.854, Rural Economic Development Loans and Grants.

#### **EXAMPLES OF FUNDED PROJECTS:**

A total of 32 grant projects are currently active and include electric generation, transmission, and distribution upgrades and replacements, energy efficiency improvements, and on-grid and off-grid renewable energy systems. The projects benefit local consumers by preserving reliable service and reducing or limiting rate increases.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be ranked competitively based on published evaluation criteria. All projects must serve rural communities with extremely high energy costs.

### **10.860 RURAL BUSINESS INVESTMENT PROGRAM**

#### **FEDERAL AGENCY:**

DEPARTMENT OF AGRICULTURE

#### **AUTHORIZATION:**

The Consolidated Farm and Rural Development Act, as amended, Subtitle H, 7 U.S.C. 2009cc et seq.

#### **OBJECTIVES:**

To promote economic development and create wealth and job opportunities among individuals living in rural areas and help to meet the equity capital investment needs primarily of smaller enterprises located in such areas.

#### **TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans; Project Grants.

#### **USES AND USE RESTRICTIONS:**

USDA licenses newly formed for-profit entities as Rural Business Investment Company's (RBIC)s and provides financial assistance in the form of debenture guarantees to such RBICs to fund their rural area investment activities.

Recipients use funds from the guaranteed debentures to make equity capital investments mostly in smaller enterprises located primarily in rural areas.

Additionally, USDA awards Operational Assistance grants to RBICs for the recipient to provide operational and technical assistance to the enterprises in which the RBIC invests. Debentures issued by the RBIC and guaranteed by USDA are for a term not to exceed 10 years.

#### **Applicant Eligibility:**

An applicant is eligible to apply for an RBIC license if it meets the criteria in Subpart C of 7 CFR part 4290, which include but are not limited to: (1) the company is a newly formed for-profit entity or a newly formed for-profit subsidiary of such an entity; (2) the company has a qualified management team with experience in community development financing or relevant venture capital financing; and (3) the company will invest in enterprises that will create wealth and job opportunities in rural areas, with an emphasis on smaller enterprises.

#### **Beneficiary Eligibility:**

Individual businesses or enterprises must satisfy established criteria, including but not limited to being: (A) a public, private, or cooperative for-profit or nonprofit organization; (B) a for-profit or nonprofit business controlled by an Indian tribe on a Federal or State reservation or other federally recognized Indian tribal group; or (C) any other person or entity; that primarily operates in a rural

area, as determined by the Secretary.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants may submit applications only after USDA publishes a Notice of Funds Availability (NOFA) in the Federal Register and invites applications. Applicants must submit applications by the deadline specified in the NOFA. Application information and associated forms are available from the SBA Investment Division.

**Award Procedure:**

Applicants for RBIC designation will be selected for approval as an RBIC. Selected applicants then will have a certain period of time, specified by USDA but no more than 2 years, to raise its private capital. Those selected applicants that raise such resources by the applicable deadline and that meet other conditions established by USDA will receive a license to operate as an RBIC, which will include an operational assistance grant and a commitment of leverage in the form of debenture guarantees.

**Deadlines:**

Application deadlines will be set forth in a NOFA published in the Federal Register.

**Range of Approval/Disapproval Time:**

SBA, on behalf of USDA, may take an average of 120 days to consider and approve/disapprove applications.

**Appeals:**

Applicant(s) have the right to request review by USDA's National Appeals Division, per 7 CFR 4290.1940(i).

**Renewals:**

None.

**Formula and Matching Requirements:**

Applicants for a RBIC license must raise a minimum amount of private equity capital and must obtain debenture leverage (in the amount of 200 percent of its private capital) through the RBIP, to fund their investment activities. Under the current NOFA, USDA requires \$10,000,000 in private equity capital and will not be granting exceptions to this requirement, pursuant to 7 CFR 4290.210(b), under this funding opportunity.

**Length and Time Phasing of Assistance:**

RBICs must issue any Debentures subject to USDA guarantee within five years of licensing as an RBIC. Project grant funds will be available for a time period not to exceed 5 years after award.

**Reports:**

SBA, on behalf of USDA, will request financial information including, but not limited to, financial statements, economic impact and community development information, and portfolio financing reports and valuations.

**Audits:**

SBA, on behalf of USDA, will require an annual financial report performed by an independent public accountant and periodic examinations performed by SBA examiners or an examiner contracted by SBA.

**Records:**

Appropriate records as needed for requirements of 111 and 112.

**Account Identification:**

12-1907-0-1-452.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported. Note: RBIP Program included in Deficit Reduction Act of 2006, which cancelled all remaining unobligated funds as of September 30, 2006. No new funding has subsequently been made available.

**Range and Average of Financial Assistance:**

\$20,000,000 Debentures and \$1,000,000 Grants.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 4290. Further, Section 384Q of the statute required the Secretary to enter into an interagency agreement under Section 1535 of Title 31, United States Code, with another Federal agency that has considerable expertise in operating a program under which capital is provided for equity investments in private sector companies. USDA and the Small Business Administration (SBA) signed an Economy Act Agreement on October 31, 2003. The Agreement authorizes SBA to provide the day-to-day management and operation of the RBIP, including administrative and all data management, licensing and regulatory compliance functions.

**Regional or Local Office:**

Consult your local telephone directory for the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Administrator, Rural Business-Cooperative Service, Department of Agriculture, Washington, DC 20250-3201. Telephone: (202) 690-4730, Fax: (202) 690-

4737.

**Web Site Address:**

<http://www.sba.gov/INV/RBIP>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Equity venture capital finance experience, community development finance experience, and ability to raise equity capital.

## 10.861 PUBLIC TELEVISION STATION DIGITAL TRANSITION GRANT PROGRAM

(Public Television Station Digital Transition Grant Program)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006; Title III, Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 109-97.

**OBJECTIVES:**

The Federal Communications Commission (FCC) has ordered all television broadcasters to initiate the broadcast of a digital television signal and to cease analog television broadcasts. The result of this conversion will be a new, high performance television system that is highly efficient in its use of the radio spectrum. This will free spectrum to enable the introduction of new wireless telecommunications services such as mobile wireless Internet access. Before spectrum can be reallocated to new uses, all television stations must make the transition to the new broadcast system. Lagging far behind in this transition are the rural public television stations, which depend on viewer donations and public funds to buy the expensive digital equipment. A significant number of stations have not completed the transition, and many are rural stations that have no funding to proceed. The deadline for initiating digital broadcasting was May 2003, and all waivers of that date have expired. These stations are in violation of their FCC licenses. On February 17, 2009, all analog broadcasting is scheduled to cease, meaning that stations that have not transitioned will stop broadcasting any television signal. In addition to the public losing the benefits of public television programming, this will leave many school systems without educational programming they count on for curriculum compliance. This grant program assists rural public television stations in making the transition to digital television signal broadcasting.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used to install digital television facilities through purchase or lease (up to three years of lease costs); and for associated engineering and environmental studies. All broadcast facilities acquired under this program must be capable of delivering both digital television (DTV, sometimes called standard definition) and high definition television (HDTV) at both the interim and final channel power authorizations. Grant funds may be used to fund facilities directly connected to the digital transition of the broadcast signal such as: digital transmitters; digital translators; transmitting antennas; new towers or improvements to existing towers necessary for antenna installation; tower ground infrastructure such as land, buildings, fencing, standby power, and where commercial power is unreliable, power generation and conditioning facilities; studio to transmitter/translator communication links; television program production and management equipment; datacasting equipment; and subject to RUS approval, other facilities directly necessary for the digital transition of the broadcast signal. Grants shall not be used: to fund operations or for facilities not owned by the applicant (except for leased facilities as described above); for salaries, wages, and other public television employee benefits; for construction performed or expenditures made prior to the application deadline; or for facilities funded under other grants.

**Applicant Eligibility:**

The applicant must be a public television station that serves a rural area regardless of whether they also serve an urban area. (Rural area means any area of the United States not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population in excess of 20,000 inhabitants.) The applicant must also be required to convert from analog to digital transmission under the rules of the FCC. For the purpose of this grant program, a public television station must be an organization which (1) qualifies for Federal funding under Section 396(k) of the Public Broadcasting Act of 1967, and (2) which is either: (a) under the rules and regulations of the FCC in effect on November 2, 1978, eligible to be licensed as a noncommercial educational broadcast station and which is owned and operated by a public agency or nonprofit private foundation, corporation, or association; or (b) owned and operated by a municipality and which transmits only noncommercial

programs for education purposes.

**Beneficiary Eligibility:**

Anyone who receives the improved digital television signal from a rural public television station or attends an educational institution that uses public television in its curriculum.

**Credentials/Documentation:**

The applicant must provide evidence demonstrating that it meets the definition of a public television station in section 81, above. The applicant must also provide evidence that the FCC has authorized the initiation of digital broadcasting at each of the Applicant's transmitter and translator sites.

**Preapplication Coordination:**

None required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An applicant must submit an application in accordance with the Program's application guide. In addition to Government-wide requirements, the applicant shall provide a description of the project including: an executive summary, a project cost spreadsheet, broadcast coverage maps, a complete narrative description, and an environmental assessment.

**Award Procedure:**

All complete applications from eligible applicants that meet the application deadline will be scored in a competitive process to determine which projects are funded. There are three scoring categories. The first is rurality, a measure of the rural character of the applicant's digital television coverage area. Up to 50 points can be earned in this category. The second uses the National School Lunch Program eligibility percentage as a measure of the economic need of the people in the applicant's coverage area. This category earns up to 25 points. Finally, up to 25 points can be awarded based on critical need.

**Deadlines:**

RUS publishes application dates and deadlines annually in a Notice of Funding Availability in the Federal Register.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

RUS will advance funds as needed (but no more frequently than once every 30 days) to reimburse disbursements for approved grant purposes. A recipient generally has three years to spend funds. RUS may approve a one year extension.

**Reports:**

The recipient must provide periodic performance reports and permit periodic inspection by RUS of the project. The recipient must constantly monitor performance to ensure that it is meeting time schedules, accomplishing projected work by time periods, and achieving other performance objectives. The recipient must provide periodic financial reports to RUS. The performance and financial reports must be submitted to RUS on a quarterly basis throughout the project construction period.

**Audits:**

The recipient must provide RUS with an audit for each year in which a portion of the grant is expended. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non Profit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient must maintain all records needed to identify the purposes for which, and the manner in which, grant and other funds were expended on the project. The recipient must maintain such records for three years after the project is completed. The recipient must provide reasonable access to these records to RUS.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Grants) FY 07 \$4,950,000; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The maximum grant for an individual public television station is \$1 million. In fiscal year 2006, the average grant amount was \$497,000. The 10 grants ranged from \$110,525 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2006, 10 applicants received grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1740 - Public Television Station Digital Transition Grant Program (Interim final rule with request for comments)

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, Department of Agriculture, 1400 Independence Avenue, S.W., STOP 1590, Room 5151, Washington, DC 20250-1590. Telephone: (202) 720 9554, Fax: (202) 720 0810.

**Web Site Address:**

<http://www.usda.gov/rus/telecom/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The grant will enable the purchase of a full power transmitter, 14 translators, master control equipment, and standby power. The grant will fund DTV translators. It will also fund purchase and installation of a DTV video distribution system to mirror the programming storage functions of a similar system. In addition, the grant will fund a digital media server and automation system. The grant will finance a full power digital television transmission facility serving an area that is currently served by six low power analog translators. Funding will cover a new tower, building, transmission equipment, and associated processing, monitoring, and test equipment. The grant will fund an emergency backup power generation system to provide a reliable broadcast during power outages. The grant will fund a studio-to-transmitter communication system, a transmission link for High Definition programming, and a dynamic Program and System Information Protocol generation system. The grant will fund a three hop microwave system to deliver the digital signal 140 miles. The grant will allow the conversion of two translators to digital. The translators serve areas hidden from the transmitters by terrain. It will also provide interconnection from the headquarters to the translator sites using a vacant UHF channel. The grant will finance the upgrade of microwave systems that will allow two stations to deliver standard and high definition signals.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete, eligible applications that meet the application deadline are scored to determine which projects are funded. There are three scoring categories: rurality, up to 50 points; economic need, up to 25 points; and critical need, up to 25 points.

## 10.862 HOUSEHOLD WATER WELL SYSTEM GRANT PROGRAM

(HWWS Program)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306E, Public Law 107-171, 7 U.S.C. 1926e.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to finance the construction, refurbishing and servicing of individually-owned household water well systems in rural areas for individuals with low or moderate income.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to provide loans to eligible individuals to construct, refurbish, and service individually-owned household water well systems. Eligible individuals must own or will own the household water well systems. Funds may be used to pay administrative expenses associated with providing the loans. Grant funds may not be used to pay (1) administrative expenses exceeding 10 percent of the loans made during the calendar year; (2) administrative expenses incurred before the Rural Utilities Service executes a grant agreement; (3) delinquent debt owed to the Federal Government.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in lending activities and promoting the safe and productive use of individually-owned household water well systems and ground water.

**Beneficiary Eligibility:**

An individual in a household in which the combined income of all household members (for the most recent 12 months) does not exceed 100 percent of the median non-metropolitan household income for the State or territory in which the individual resides.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by



OMB Circular No. A-110. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant.

**Deadlines:**

As published in the FEDERAL REGISTER in a Notice of Availability of Funding.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are stated fully. The applicant may request a review of this decision at the RUS National level.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Applicants are encouraged to provide matching funds to receive scoring priorities.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the RUS grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

Periodic reports are to be made to the RUS servicing official.

**Audits:**

Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Grants) FY 07 \$990,000; FY 08 \$990,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$200,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, it is estimated that at least three grants totaling \$990,000 will be made. At least three grants will be awarded in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1776, Household Water Well System Grant Program; The Household Water Well System Program: 2004 Grant Application Guide.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-2670.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.760, Water and Waste Disposal Systems for Rural Communities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as; population, low income, unemployment; health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

## 10.863 COMMUNITY CONNECT GRANT PROGRAM

(Community Connect Grant Program)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Appropriations Act, 2005; Title III: Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband

Program; Public Law 108-447.

**OBJECTIVES:**

To encourage community-oriented connectivity by providing grants to eligible applicants who will deploy broadband transmission service in rural communities where such service does not currently exist; who will connect all critical community facilities such as local schools, education centers, libraries, hospitals, health care providers, law enforcement agencies, public safety organizations, fire, and rescue services, as well as residents and businesses; and who will operate a community center which provides free and open access to area residents.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants will be made available, on a competitive basis, for the deployment of broadband transmission services to critical community facilities, rural residents, and rural businesses and for the construction, acquisition, expansion, and/or operation of a community center which would provide free access to broadband transmission services to community residents for at least two years. Funding is also available for end-user equipment, software, and installation costs. See 7 CFR Part 1739 for details.

**Applicant Eligibility:**

To be eligible for a grant, the applicant must: (a) be legally organized as an incorporated organization, an Indian tribe or tribal organization, a state or local unit of government, or other legal entity, including cooperatives or private corporations or limited liability companies organized on a for profit or not-for profit basis, and (b) have the legal capacity and authority to own and operate the broadband facilities as proposed in its application, to enter into contracts and to otherwise comply with applicable federal statutes and regulations.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities through the availability of access to high speed broadband networks.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit an application in accordance with 7 CFR 1739 and its accompanying application guide.

**Award Procedure:**

Grants are awarded on a competitive basis to applicants receiving the highest number of points.

**Deadlines:**

RUS annually publishes application dates and deadlines in a Notice of Funding Availability.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no formula requirements. The grant applicant must contribute a matching contribution which is at least 15 percent of the grant amount requested.

**Length and Time Phasing of Assistance:**

Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes. Applicants generally have three years to spend funds. Extensions may be granted.

**Reports:**

SF 269, "Financial Status Report," and project performance activity report required annually.

**Audits:**

An audit report is required for the years in which funds are received.

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The minimum grant amount is \$50,000. The size of grants varies.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1739 Notice of solicitation of applications in the Federal Register; Vol. 70, No. 60; Wednesday, March 30, 2005. Community Connect Broadband Program Grant Application Guide - Fiscal Year 2005.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service,

Department of Agriculture, 1400 Independence Avenue, S.W., STOP 1590, Room 5151, Washington, DC 20250 1590. Telephone: (202) 720 9554, Fax: (202) 720-0810.

**Web Site Address:**

<http://www.usda.gov/rus/telecom/commconnect.htm> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The grant funds will establish a broadband path to the Internet over an existing microwave route. Broadband will be delivered to homes and businesses using DSL technology. Internet traffic will be handled economically and efficiently by equipping the community with equipment to enable it to interface with the applicant's satellite mesh technology. Demographic barriers to broadband adoption will be overcome by equipping a community center with computers and Internet access free of charge for 2 years. The project will provide wireless broadband internet service to the community. The project will connect all community critical facilities, businesses, the elementary school, and homes on the reservation. Public safety and health organizations will have improved communications, which can be life saving in emergency situations. The community center will be accessible to residents for information research, education, marketing and promotion, and personal or business communications using high-speed internet. All center workstations will have GED and other self paced interactive learning software installed and the center will also provide basic computer and internet skill training to end-users. The project will create a tribal website and digital community bulletin board to enhance communication within the tribal organization and with community members. The project will employ broadband wireless technology to reach locations where only slow (14.4Kb/sec), expensive (long-distance) wireline Internet connections exist. In addition to providing residential access, the project will enable the local government to enhance and streamline core public services including Head Start, tribal courts, cultural and social services, and community health outreach efforts.

The grant will address community challenges including the lack of a library, hospital, and police department by providing broadband Internet access to the community. High-speed online connections will establish online city services to benefit the residents, including the remote monitoring of water resources, and a Web presence to assist with economic development efforts. The community will have access to computer training and education in e commerce; students will have access to distance learning programs and enhanced curricula. The RUS grant will fund a community center, including computers and staff for 2 years. The applicant, a local telephone carrier, will also provide a fiber to the premises (FTTP) network for the town, in an effort to bolster economic development opportunities, as the area's economy transitions away from complete reliance on production agriculture. "Always-on" Internet access can encourage new business migration, telecommuting and local entrepreneurs.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.864 GRANT PROGRAM TO ESTABLISH A FUND FOR FINANCING WATER AND WASTEWATER PROJECTS**

(RFP Program)

**FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 6002, Public Law 107-171, 7 U.S.C. 1926c.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to establish a revolving loan fund to make small, short term loans for pre-development or small capital water or waste disposal projects.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to finance pre-development costs associated with proposed water and wastewater projects or with existing water and wastewater systems, and short-term costs incurred for replacement equipment, small-scale extension of services, or other small capital projects that are not part of the regular operations and maintenance activities of existing water and wastewater systems.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in making and servicing loans.

**Beneficiary Eligibility:**

Municipalities, counties, and other political subdivisions of a State, such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. Facilities shall primarily serve rural residents

and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. The loan recipient must be unable to finance the proposed project from their own resources or through commercial credit at reasonable rates and terms. The loan recipient must have or will obtain the legal authority necessary for owning, constructing, operating and maintaining the proposed service or facility, and for obtaining, giving security for, and repaying the proposed loan.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by OMB Circular No. A-110. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant.

**Deadlines:**

To be determined by Secretary, USDA.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

If an application is rejected, the reasons for rejection are stated fully. The applicant may request a review of this decision at the RUS National level.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Applicants must provide funds from other sources equal to at least 20 percent of the RFP grant.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the RUS grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

Periodic reports are to be made to the RUS servicing official.

**Audits:**

Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Grants) FY 07 \$495,000 FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1783, Grant Program to Establish a Fund for Financing Water and Wastewater Projects; The Revolving Fund Program 2005 Grant Application Guide.

**Regional or Local Office:**

Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 690-2670.

**Web Site Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.760, Water and Waste Disposal Systems for Rural Communities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as; population, low income, unemployment; health and sanitary problems. RUS

financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

## **10.886 RURAL BROADBAND ACCESS LOANS AND LOAN GUARANTEES**

(Rural Broadband Access Loans and Loan Guarantees)

### **FEDERAL AGENCY:**

RURAL UTILITIES SERVICE, DEPARTMENT OF AGRICULTURE

### **AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title VI; 7 U.S.C. 950bb.

### **OBJECTIVES:**

To assure that people in eligible rural communities have access to broadband service comparable in reliability and quality to the rest of the Nation.

### **TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans.

### **USES AND USE RESTRICTIONS:**

RUS makes long term direct and guaranteed loans to eligible entities for the purpose of financing the construction, improvement, and acquisition of telecommunications facilities and equipment to provide broadband service in eligible rural communities. Eligible rural communities are defined as any area of the United States (which includes its territories and insular possessions, including the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau); that is not contained in an incorporated city or town with a population in excess of 20,000 inhabitants, based on the most recent available information of the Bureau of the Census. Broadband Service means any technology having the capacity to transmit at a minimum transmission speed of 200 kbps both from and to a residential subscriber. The rate of data transmission is subject to annual review and will be published in the Notice of Funds Availability at the beginning of each fiscal year. Loans maturities are equal to the composite economic life of the facilities financed. The interest rate for the Cost-of-Money program is equal to the cost of borrowing to the Department of Treasury for a comparable maturity. The 4-Percent program interest rate is 4 percent and the maximum loan amount for the 4-Percent program is \$7.5 million. The interest rate for the Guarantee program is set by the lender.

### **Applicant Eligibility:**

Cooperative, nonprofit, limited dividend or mutual associations, limited liability companies, commercial organizations, Indian tribes, tribal organizations, state government, local government, including those located in the U.S. territories and countries included in the Compact of Free Association Act of 1985, providing or proposing to provide broadband services in eligible rural communities. The following are not eligible: individuals, partnerships, limited liability partnerships, and any entity serving more than 2 percent of the telephone subscriber lines installed in the United States. Applicants must meet a credit support requirement; see 7 CFR 1738.20.

### **Beneficiary Eligibility:**

Residents of eligible rural communities and others who may receive service as a result of service provided to a rural area.

### **Credentials/Documentation:**

None.

### **Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. This program is excluded from coverage under Executive Order 12372.

### **Application Procedure:**

The completed loan application consists of twenty-one schedules. Form 532, Rural Broadband Access Loan and Loan Guarantee Application, serves as the official application document and as a checklist to assure all relevant information is included. The major sections of an application include: business plan, market research, historical and 5 year pro forma financial statements, system design and project costs. The instructions for completing an application are outlined in RUS Bulletin 1738-1: Rural Broadband Access Loan and Loan Guarantee Program Application Guide. The bulletin and application are available from RUS on request and on our website: [www.usda.gov/rus/telecom/broadband.htm](http://www.usda.gov/rus/telecom/broadband.htm).

### **Award Procedure:**

Depending on the amount of the application, and loan committee(s) recommendation, the RUS Administrator or Assistant Administrator Telecommunications, makes the final decision on approval of the loan or loan guarantee. There must be a finding that the project is economically feasible, capable of delivering Broadband Service, and services the purposes of the program. Borrowers and member of Congress are notified directly of the approval of a loan or loan guarantee.

### **Deadlines:**

The program is an ongoing program with applications evaluated on a first come, first served basis. There is no deadline for applications.

### **Range of Approval/Disapproval Time:**

Normal processing time is four to five months.

### **Appeals:**

Not applicable.

### **Renewals:**

Not applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

### **Length and Time Phasing of Assistance:**

Loan funds must be used within a five year period from the date of loan closing. A one time extension is permitted.

### **Reports:**

The borrower must submitted quarterly financial statements within 30 days of the end of each calendar quarter. The statements must consist of a balance sheet, income statement, and statement of cash flows.

### **Audits:**

All borrowers must have their books audited annually by a Certified Public Accountant. Information on audits is contained in 7 CFR Part 1773.

### **Records:**

Not applicable.

### **Account Identification:**

12-1232-0-1-452.

### **Obligations:**

(Cost of Money Loans) FY 07 \$923,186,000; FY 08 est \$300,000,000; and FY 09 est not reported. (4 Percent Loans) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported. (Loan Guarantees) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported.

### **Range and Average of Financial Assistance:**

The minimum loan amount for the program is \$100,000. There is no maximum loan amount except for 4 Percent loans (that amount is published by RUS in the Federal Register at the beginning of each fiscal year). The smallest loan approved to date is \$362,000; the largest, \$168,406,000.

### **PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2006, RUS approved 15 Cost of Money loans totaling \$329,000,000.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1738 - Rural Broadband Access Loans and Loan Guarantees Notice of funds availability, Federal Register, March 4, 2005 (Volume 70, Number 42)  
RUS Bulletin 1738-1: Rural Broadband Access Loan and Loan Guarantee Program Application Guide.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, Department of Agriculture, 1400 Independence Avenue, S.W., STOP 1590, Room 5151, Washington, DC 20250 1590. Telephone number (202) 720 9554, Facsimile (202) 720 0810.

### **Web Site Address:**

<http://www.usda.gov/rus/telecom/broadband.htm>.

### **RELATED PROGRAMS:**

10.851, Rural Telephone Loans and Loan Guarantees.

### **EXAMPLES OF FUNDED PROJECTS:**

Loans have been approved to construct wireless, DSL, cable modem, and fiber to the premises (FTTP) broadband systems.

### **CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR 1738.

## **10.901 RESOURCE CONSERVATION AND DEVELOPMENT**

### **FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

### **AUTHORIZATION:**

Public Law 97-98, 95 Stat. 1213.

### **OBJECTIVES:**

To encourage and improve the capability of State and local units of government and local nonprofit organizations in rural areas to plan, develop and carry out programs for resource conservation and development.

### **TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

### **USES AND USE RESTRICTIONS:**

Technical assistance is available only to RC&D sponsors within areas authorized by the Secretary of Agriculture for assistance. Technical assistance is available for the planning and installation of approved projects specified in RC&D area plans, for land conservation, water management, community development and environmental enhancement elements.

### **Applicant Eligibility:**

State and local governments and nonprofit organizations with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas. This program is also available in Puerto Rico, the Virgin Islands, Guam and Mariana Islands.



**Beneficiary Eligibility:**

State and local governments and nonprofit organizations within areas designated as RC&D areas by the Secretary of Agriculture with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas.

**Credentials/Documentation:**

Applicant agency(ies) and nonprofit organizations must document that application is made as a result of official action of the governing body. Applications are honored only from agencies for which applicant eligibility has been established. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Written application must be in the form suggested in the National Resource Conservation and Development Manual. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Details of the procedure are available from State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

October 1.

**Range of Approval/Disapproval Time:**

Indeterminate. Authorization of applications is dependent upon the level of appropriations for the program each year.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

When financial assistance is available, local or State agencies must provide land rights needed for the installation of all projects. RC&D grant assistance (up to 25 percent not to exceed \$50,000 of the total project cost) may be provided for a project. Local or State agencies generally must provide ten percent of the total cost and be responsible for any needed operation and maintenance. Loan assistance may be provided for the local share of project cost.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

None.

**Account Identification:**

12-1010-0-1-302.

**Obligations:**

(Salaries and Expenses) FY 07 \$25,933,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Assistance available from the Natural Resources Conservation Service," AIB-345; "Resource Conservation and Development Manual, 390 - V, Third Ed.

**Regional or Local Office:**

State and field offices of the Natural Resources Conservation Service are listed in Appendix IV of the Catalog. For loans, contacts should be made with the Rural Development office serving the county in which the RC&D project is located.

**Headquarters Office:**

Deputy Chief for Programs, Resource Conservation and Community Development Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-2847.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation.

**EXAMPLES OF FUNDED PROJECTS:**

NRCS and the Two Rivers RC&D Council in Georgia created a program to help utility companies cut maintenance expenses on more than 150,000 acres of utility transmission rights-of-way while protecting and enhancing the environment. Project WINGS (Wildlife Incentives for Nongame and Game Species) is a utility-based wildlife initiative offering technical and financial incentives to groups and individuals interested in creating wildlife habitat along electrical transmission rights-of-way. The use of customized management plans prepared by resource management professionals offers WINGS participants an opportunity to transform eroded brush land into productive wildlife lands. To date, more than 1000 individuals have been awarded corporate grants to convert over 7,000 acres of rights-of-way brush land to productive habitat. WINGS is a project that can be replicated, and has already been started in South Carolina where it is called Powerful Wildlife. The Rolling Hills RC&D in partnership with Georgia Department of Human Resources, Department of Family and Children's Services, and Department of Rehabilitative Services has implemented an innovative program called "Wheels to Work" that is helping people get off public assistance (welfare) and back to work. Many of these individuals who participate are single mothers that have never been independent before, never owned a vehicle, and are unable to obtain credit in order to purchase a vehicle of their own. The Rolling Hills RC&D Council has placed 110 vehicles with clients in the nine county region. These individuals are now off of the welfare roles and back to work. The funding for these clients was obtained through an appropriation from the Georgia General Assembly and the Lieutenant Governor. Rolling Hills received over \$582,000 to purchase vehicles, pay staff, and other needed expenses. These funds were offset by car donations, assistance from local businesses and partners, and volunteer assistance. In Idaho homes that lie on the fringe of forests and rangeland face a continuing threat of fire that knows no boundary between private property and wildland. The West Central Highlands RC&D Council obtained funds to develop a Fire Education Corps. Five RC&Ds areas contracted with the Student Conservation Association (SCA) to put the Corps together. Fire Education Corps teams spent the summer of 2001 conducting home safety evaluations and providing homeowners with fire prevention techniques, using the nationally recognized FIREWISE protocol, a program for fire education sponsored by a coalition of state and federal agencies. The teams concentrated their efforts in interface areas where fires might start and spread to homes that were surrounded by dense dry fuels. The Northeast Iowa Resource Conservation and Development (RC&D) Council obtained \$105,000 for Spectrum Industries, Inc to provide quality vocational training. Spectrum Industries, Inc., is a wood workshop serving over 135 physically and mentally challenged people from throughout the Northeast Iowa and Southern Minnesota area. This project has provided quality jobs for persons with disabilities, added value to the lower quality hardwoods in the area, and provided a model that can be replicated anywhere in the United States. The goal of Spectrum Industries is to have this woodworking program continue to grow in ways that allow individuals to move into competitive jobs, and provide high quality products. The RC&D Council worked with many different partners to implement the project. The overall value of the project including grant funds, matching funds, and in-kind contribution is estimated at \$300,000 dollars. The Central Mississippi RC&D Council, City of Carthage, NRCS, MS Department of Environmental Quality, and a group of consulting engineers teamed up to help the City of Carthage meet current water quality standards for the State of Mississippi. Carthage has a population of 4,300 and a watershed that drains into the Pearl River. Wastewater treatment for the city was inadequate to meet new water quality standards. Expensive options were provided that were not feasible for a small rural town. Traditional methods needed to meet new water quality standards for the city were estimated to cost \$1.8 million, resulting in increased taxes for the local citizens. Through assistance from the Central Mississippi RC&D Council, another cost-effective alternative was provided to the city. The alternative was a natural wastewater treatment system costing approximately \$650,000. This system saved the town more than \$1.1 million and provides clean water releases into the Pearl River. The Erie Basin RC&D Council in Ohio has been managing a Revolving Loan Fund for several years. The success of this ongoing project has resulted in three other RC&D Areas in Ohio establishing revolving loan funds to serve the citizens in their areas. These revolving loan funds provide money to new and existing businesses primarily in the area of natural resource development. They are designed to create private sector job opportunities and to boost the economy of an area. Partnerships were established with USDA Rural Development, local planning agencies and banks in RC&D areas. Loans have been made to a variety of businesses including a campground in Huron County for improvements which resulted in higher use of the facilities; a company which recycles 1,000,000 pounds of plastic a week which would otherwise be headed for the landfill; and a charter boat service on Lake Erie which is equipped to handle physically and mentally disadvantaged individuals. These loans have helped businesses in the RC&D areas and have helped create new jobs. This is a project that can be easily duplicated throughout the country. In Pennsylvania

NRCS, along with seven RC&D Councils, local Conservation Districts, the Pennsylvania Department of Environmental Protection (DEP), and 27 landowners collaborated with solar component suppliers to demonstrate the use of photovoltaic (PV) solar technology on livestock farms. Twenty-seven solar pump systems were installed on a variety of livestock operations. The primary objective was to advance the concept of intensive rotational grazing and reduce the need for mechanical harvesting and its inherent consumption of fossil fuels. Water is available on most Pennsylvania farms, but it is seldom located where it will support properly designed and managed grazing systems. Therefore it must be moved via pipelines using either gravity or mechanical means. Water for use in most rotational grazing systems in Pennsylvania generally needs to be pumped. Since most under-utilized grazing lands are often very remote and at great distances from grid-power sources, alternative energy sources must be used to power the pumps. Solar arrays proved to be very durable and dependable for production of power to pump water despite Pennsylvania's intermittent overcast skies. It was found that solar power is a cost effective and a viable alternative to conventional power sources for water pumping in remote areas if it is properly designed, installed, and maintained.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects are judged on relevance of the project to the individual RC&D's area plan goals and objectives. Criteria for setting priorities are usually published in the RC&D area plan or are available from the local sponsors of the RC&D area. Proposals for projects should be submitted to the local USDA designated RC&D area. If an area does not exist, contact the field or state office of the Natural Resources Conservation Service.

**10.902 SOIL AND WATER CONSERVATION**

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act of 1936, as amended, Public Law 74-46, 16 U.S.C. 590 a-f.

**OBJECTIVES:**

To help people conserve, improve, and sustain our natural resources and environment.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Technical assistance to the general public in planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments.

**Applicant Eligibility:**

Land users, Land owners, Community organizations State governments and local governments. Resource assistance needed is usually reviewed with the conservation district governing body. Individuals and groups may become cooperators with local conservation districts to which application for assistance is directed. Applicants are also eligible in Puerto Rico, the Virgin Islands, and Western Pacific U.S. Trust Territories.

**Beneficiary Eligibility:**

General public, State governments, and local governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the local Natural Resources Conservation Service office in nearly all counties. Preapplication coordination of this program is not required. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries and expenses) FY 07 \$634,320,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

NRCS provided conservation technical assistance to nearly 3 million customers, in fiscal year 2000. Of the customers assisted, over 347,000 were members of minority groups. As a result of these conservation planning services, a total of 10.2 million acres of cropland and 10.8 million acres of grazing land were treated to the resource management system level (sustainable management). On 4.2 million acres of cropland that had been eroding at excessive rates, NRCS technical assistance enabled farmers to reduce erosion to the tolerable rate or less, thus preserving the productive capacity of the soil. Overall, NRCS provided conservation planning assistance on more than 34 million acres of land in all uses and application assistance on more than 29 million acres.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Conquest of the Land," AIB99; "Soil Erosion by Water," AIB513; "Assistance Available from the Natural Resources Conservation Service," AIB345; "Controlling Erosion on Construction Sites," AIB347; "Community Improvement Through Resource Conservation and Development," PA1077; "Save Soil Systematically," PA1366. "List of Published Soil Surveys;" "Going Wild with Natural resource Conservation," PA1363; "Conversation Planning- You and Your Land," PA 1376, "Farming and Maintaining Terraces," LN570.

**Regional or Local Office:**

State and local Natural Resources Conservation Service offices (see Appendix IV of the Catalog).

**Headquarters Office:**

Jose Acevedo, Deputy Chief for Natural Resources Conservation Programs, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-4527.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.054, Emergency Conservation Program; 10.500, Cooperative Extension Service; 10.901, Resource Conservation and Development; 10.903, Soil Survey; 10.904, Watershed Protection and Flood Prevention; 10.905, Plant Materials for Conservation; 10.906, Watershed Surveys and Planning; 10.907, Snow Survey and Water Supply Forecasting; 10.910, Rural Abandoned Mine Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.903 SOIL SURVEY**

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Public Law 74-46; Public Law 89-560.

**OBJECTIVES:**

To produce and maintain up to date published soil surveys and other forms of soil survey databases of counties or other comparable size areas for widespread use by interested agencies, organizations, and individuals and to assist in the use of this information.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Soil surveys are for planners, environmentalists, engineers, zoning commissions, tax commissions, homeowners, farmers, ranchers, developers, landowners, and operators who use them to evaluate soil suitability for home sites, subdivisions, commercial and industrial sites, farms, wildlife and recreational areas, prime agricultural land, hydric soils, highly erodible lands, highways, and airports and to select and implement appropriate use and management of those soils.

**Applicant Eligibility:**

All individuals and groups that have a need for soil surveys are eligible to receive these documents by contacting the local Natural Resources Conservation Service Office.

**Beneficiary Eligibility:**

All individuals and groups that have a need for soil surveys are eligible to receive these documents.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants may request information from the local office of the Natural Resources Conservation Service, Soil Conservation Districts, Extension Service, the State office of the Natural Resources Conservation Service, State

Agricultural Experiment Station and from Senators and Congressmen. Local units of government submit requests to State Conservationist, Natural Resources Conservation Service, see Appendix IV in the Catalog for addresses. Soil Conservation District (SCD) cooperators submit requests to SCD board of supervisors.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries and Expenses) FY 07 est \$90,426,300; FY 08 est \$91,354,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2005, progress was 9,365,881 acres of new surveys and 22,668,138 acres of outdated surveys. For fiscal year 2006, progress was 7,057,166 acres of new surveys and 28,778,386 acres of outdated surveys. Estimated production for fiscal year 2007 is 34,000,000 acres.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"List of Published Soil Surveys;" "Know the Soil You Build On," AIB 320; "Know Your Soil," AIB 267; "Soil Surveys Can Help You," PA-1054. These publications are available from the Office of Public Affairs, NRCS-USDA, P.O. Box 2890, Washington, DC 20013, at no charge.

**Regional or Local Office:**

State and local offices of the Natural Resources Conservation Service; see Appendix IV of the Catalog for addresses.

**Headquarters Office:**

Deputy Chief For Soil Survey and Resource Assessment, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 690-4616.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.904 WATERSHED PROTECTION AND FLOOD PREVENTION

(Watershed Program; PL-566 Operations Phase)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Watershed Protection and Flood Prevention Act, Public Law 83-566, 68 Stat. 666, as amended; Public Law 84-1018, 70 Stat. 1088; Public Law 85-624, 72 Stat. 563; Public Law 85-865, 72 Stat. 1605; Public Law 86-468, 74 Stat. 131, 132; Public Law 86-545, 74 Stat. 254; Public Law 87-170, 75 Stat. 408; Public Law 87-703, 76 Stat. 608; Public Law 89-337, 79 Stat. 1300; Public Law 90-361, 82 Stat. 250; Public Law 92-419, 86 Stat. 667; Public Law 95-113, 91 Stat. 913; Public Law 97-98, 95 Stat. 1213; Public Law 99-662, 100 Stat. 4196; Public Law 101-624, 104 Stat. 3359.

**OBJECTIVES:**

To provide technical and financial assistance in carrying out works of improvement to protect, develop, and utilize the land and water resources in watersheds.

**TYPES OF ASSISTANCE:**

Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in designing, and installing watershed works of improvement. Financial assistance is provided for sharing costs of measures for watershed protection, flood prevention, agricultural water management, sedimentation control, public water based fish, wildlife, recreation; and in extending long term credit to help local interests with their share of the costs. Watershed area must not exceed 250,000 acres. Capacity of a single structure is limited to 25,000 acre-feet of total capacity and 12,500 acre-feet of floodwater detention capacity.

**Applicant Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, the Virgin Islands, Guam, American Samoa, the Mariana Islands and the Trust Territories of the Pacific Islands.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, Guam, American Samoa, the Mariana Islands, and the Trust Territories of the Pacific Islands.

**Credentials/Documentation:**

Applications must designate the proposed project area, be properly signed and attested to by all applicants, and set forth the need for the proposed project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental assessments or an Environmental impact statements are required for all projects. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application forms and information are available in all NRCS offices and from designated State agencies. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Details of the procedure are available from the State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Technical and financial assistance under which program funds provide certain prescribed services and costs and a percentage of other costs on the basis of a contract vary according to purpose of the works of improvement. For example, for construction costs under the Act, program funds provide 100 percent for flood prevention; up to 50 percent of agricultural water management, public recreation and fish and wildlife purposes; and none of the costs for certain other nonagricultural water management purposes. All of the applicants' installation costs are eligible for program loans. Reimbursable advances are available for preservation of sites and future municipal water supply. Sponsors are required to obtain all land and water rights and permits prior to installation of project measures, and for operation and maintenance.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement.

**Reports:**

Annual operation and maintenance inspection and report.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than



\$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

(Grants watershed and flood prevention operations) FY 07 \$17,974,600; FY 08 est \$0; and FY 09 est not reported. (Salaries and Expenses, watershed and flood prevention operations) FY 07 \$17,258,000; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

(per State) \$0 to \$2,164,000; \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2000, 6 projects were approved for operations. A total of 518 projects in construction. Projects installed as planned under the program totaled 918. In fiscal year 2002, it is estimated that 8 projects will be approved for operations, 512 projects will be in construction, and 931 projects will be installed as planned under the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"What is a Watershed," PA-420; "Flood Plain Management - Why We Need It," PA-1276; "Multiple- Purpose Watershed Projects," PA-575; and "Small Watershed Projects," PA- 1354.

**Regional or Local Office:**

For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Conservation Planning and Technical Assistance Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-1510. Stuart Simpson, USDA/NRCS, Conservation Planning Technical Assistance Division, Room 6015, P.O. Box 2890 Washington, DC 20013-2890. Telephone: (202) 720-3413.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.664, Cooperative Forestry Assistance; 10.902, Soil and Water Conservation; 10.903, Soil Survey; 10.905, Plant Materials for Conservation; 10.906, Watershed Surveys and Planning; 10.907, Snow Survey and Water Supply Forecasting; 12.104, Flood Plain Management Services.

**EXAMPLES OF FUNDED PROJECTS:**

To date, Federal assistance for installation has been authorized on 1,756 watershed projects. This program provides technical and financial assistance to State agencies and units of local government in solving problems caused by flooding, erosion and sediment damage, conservation, development, utilization, and disposal of water, including the development of multipurpose facilities for such uses as recreation, improvement of fish and wild-life habitat, irrigation, and water supply to municipal and industrial users.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The watershed must meet the requirements of the law; (2) an approved watershed plan has been prepared; (3) the local sponsors should indicate willingness to carry out a watershed project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio; and (5) no critical environmental issues exist.

## 10.905 PLANT MATERIALS FOR CONSERVATION

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act of 1936, as amended, Public Law 74-46.

**OBJECTIVES:**

To assemble, evaluate, select, release, and introduce into commerce, and promote the use of new and improved plant materials for soil, water, and related resource conservation and environmental improvement programs. To develop technology for land management and restoration with plant materials. To transfer technology on plant materials.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Plant materials are used in all phases of the soil and water conservation program. This program emphasizes field testing to determine the plant's value and restoration techniques. It is limited to conservation cooperators properties in conjunction with soil conservation districts, State Agricultural Experiment Stations, State Crop Improvement Associations and other Federal and State agencies. The program also provides commercial seed growers with breeder and foundation quality seed or propagules. Other plants or seed are not provided to the general public. Large-scale production is conducted by cooperating

commercial producers. Free plants, seed and/or grants are not available to nurseries or the public.

**Applicant Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts where structured evaluations are conducted and commercial seed growers and nurserymen interested in the commercial production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands. The general public is not eligible to participate in this program.

**Beneficiary Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts and commercial seed growers and nurserymen interested in the production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the local Natural Resources Conservation Service office.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries and expenses) FY 07 \$12,243,487; FY 08 est \$10,858,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

About 450 releases of grasses, legumes, forbs, shrubs, and trees have been developed and made available for commercial increase through this program. Uses include erosion control and sediment reduction, roadside and stream bank protection, wetlands restoration, buffer strip establishment, surface-mined land reclamation, biofuels, and wildlife food and cover. The annual commercial production of NRCS released grasses, legumes and woody plants by commercial seed growers and nurserymen is equivalent to the amount required to establish vegetative cover on over 2,000,000 acres of land.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"National Plant Materials Manual; "Grass Seed Production and Harvest in the Great Plains," FB 2226; "Building, Planting and Maintaining Sand Dunes," L 42; "Grasses and Legumes for Soil Conservation in the Pacific Northwest and Great Basin States," AH 339. "Conservation Plants for the Northeast," NRCS, USDA Program Aid No. 1154; "Plant Performance on Surface Coal Mine Spoil in the Eastern United States," NRCS TP 155; "Plant Materials For Conservation," NRCS Program Aid No. 1219; "Plant Materials For Use On Surfaced Mined Land in Arid and Semiarid Regions," NRCS TP 157; "New Plants For Conservation," NRCS Environmental Quality Aid; "Grass Varieties in the United States," SCS Handbook 170. "Native Grass Seed Production Manual," USDA-NRCS, DU-Canada; "Vegetating With Native Grasses in Northeastern North America," USDA-NRCS, DU-Canada. An internet homepage with more information may be found at: <http://plant-materials.nrcs.usda.gov>.

**Regional or Local Office:**

NRCS State offices and field offices. See Appendix IV.

**Headquarters Office:**

Deputy Chief For Science and Technology, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-4630.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.906 WATERSHED SURVEYS AND PLANNING**

(Small Watershed Program; PL-566; Watershed Surveys and Planning)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Watershed Protection and Flood Prevention Act, Public Law 83-566 (PL-566), 68 Stat. 666, as amended: Public Law 84-1018, 70 Stat. 1088; Public Law 85-624, 72 Stat. 563; Public Law 85-865, 72 Stat. 1605; Public Law 86-468, 74 Stat. 131, 132; Public Law 86-545, 74 Stat. 254; Public Law 87-170, 75 Stat. 408; Public Law 87-703, 76 Stat. 608; Public Law 89-337, 79 Stat. 1300; Public Law 90-361, 82 Stat. 250; Public Law 92-419, 86 Stat. 667; Public Law 97-98, 95 Stat. 1213; Public Law 99-662, 100 Stat. 4196; Public Law 101-624, 104 Stat. 3359; Public Law 106-472, 114 Stat. 2077; Public Law 107-171, 116 Stat. 274; Public Law 109-171, 120 Stat. 4.

**OBJECTIVES:**

The Watershed Protection and Flood Prevention Act, Public Law 83-566, established the Watershed Program (16 U.S.C. 1001-1011). Section 6 of the Act provided for the establishment of the River Basin Surveys and Investigation Program (16 U.S.C. 1006-1009). A separate appropriation funded these two programs until fiscal year 1996 when they were combined into a single appropriation, Watershed Surveys and Planning. Public Law 83-566 provides the authority for the Natural Resources Conservation Service (NRCS) to cooperate with other Federal, State, and local agencies in making investigations and surveys of river basins as a basis for the development of coordinated water resource programs. River basin surveys and floodplain management studies provide local decision-makers with an inventory and analysis of the resource status and trends in their watershed, and the impact this has on the community. It provides them with valuable information allowing them to better understand the cause and effect relationships of changes taking place in their watersheds and communities. Authorities include cooperative river basin studies, floodplain management studies, flood insurance studies, and interagency coordination and program formulation. Reports of the investigations and surveys serve as guides for the development of water, land, and related resources in agricultural, rural, and urban areas within upstream watershed settings. They also serve as a basis for coordination with major river systems and other phases of water resource management and development. Public Law 83-566 also provides for watershed planning activities that are needed to conserve, distribute, develop, protect, restore, and use water. In watershed planning work, NRCS assists sponsoring local organizations develop plans on watersheds. The plans describe water quality, flooding, water and land management, and sedimentation problems and propose alternative conservation land treatments to conserve and protect land and related resources. These watershed plans form the basis for installing needed works of improvement and include estimated benefits and costs, cost-sharing, operation and maintenance arrangements, and other information necessary to justify the need for Federal assistance in carrying out the plan.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided to sponsoring organizations for planning activities to help solve water and related land resources problems. It is available through disciplines such as engineering, economics, social sciences, agronomy, range management, forestry, biology, hydrology, archaeology, landscape architecture, waste management, recreation, etc.

**Applicant Eligibility:**

Any local or State water resource agency or other Federal agency concerned with water and related land resource development, counties, municipalities, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization or nonprofit organization. USDA participation is based on a cooperative effort with a sponsoring organization(s). State and local agencies are expected to participate in the studies and to fund their own activities. This program is also available in Puerto Rico, Virgin Islands, Guam, American Samoa, the Mariana Islands and the Trust Territories of the Pacific Islands.

**Beneficiary Eligibility:**

Any local or State water resource agency or other Federal agency concerned with water and related land resource development that can benefit from the development of alternative plans and recommendations.

**Credentials/Documentation:**

Requests for assistance must designate the proposed study area, describe the basic planning and/or study objective, and indicate joint participation and be signed and attested to by all applicants.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application materials and information are available in all NRCS offices. This program is excluded from coverage under OMB Circular No. A-110. The letter of request addressed to the appropriate State Conservationist of the Natural Resources Conservation Service.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Receipt of request is acknowledged when received by the State Conservationist.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Each cooperating agency is to fund its own participation. The extent of participation and funding are to be defined in a plan of work that establishes the basis for the study effort.

**Length and Time Phasing of Assistance:**

The length of the study is defined in the plan of work. It is subject to some modification, depending on the availability of funds to each of the cooperating agencies. Federal assistance for planning is provided as rapidly as possible depending on availability of funds and personnel resources. Sponsors are encouraged to focus their studies on a limited number of critical problems of special concern nationally, such as flood damage reduction, erosion control, water conservation, preservation of wetlands, and water quality improvement. Short duration, low cost studies that support ongoing State and local programs are encouraged.

**Reports:**

Interim reports may be prepared during the study. Final reports are prepared at the completion of each study. Post study assistance may be provided through the operations phase of this program (see program no. 10.904).

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1066-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 \$6,056,100; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

USDA has cooperated with local, State, and concerned Federal agencies in the preparation and updating of State water resource plans and other water, land, and related studies for floodplain management and flood prevention. There have been over 1,670 watershed plans and 550 flood insurance studies, 620 floodplain management studies (detailed studies), 460 cooperative river basin studies (broad based studies), and 230 resource plans completed under this program since it was authorized in 1954.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for the program are found in 7 CFR 621 and 622. Guidelines and policy is contained in the National Watersheds Manual (NWSM), National Basin and Area Planning Manual (NRBM), and NRCS General Manual (GM) 150-Basin and Area Planning, Part 401. Literature available through the NRCS include "What the Natural Resources Conservation Service Does," SCS-CI-3; "Local- State-Federal Watershed Projects," SCS-CI-4; "Multiple-Purpose Watershed Projects," PA-575.

**Regional or Local Office:**

For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Conservation Planning and Technical Assistance Division, Conservation and Watershed Planning Branch, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 690-1588.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 12.110, Planning Assistance to States.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Dunloup Creek Watershed, Fayette and Raleigh Counties, West Virginia, is well known for its extensively documented flooding problems. In the aftermath of devastating floods in 2001, NRCS was asked to find a solution to the problem. As a result of extensive investigations, it was revealed that traditional structural measures, such as impoundments, levees, and channel modification, do not effectively reduce flooding. An alternative solution was developed, with

active participation by the community, which recommended a voluntary floodplain buyout for an estimated 238 properties. Participating eligible properties would be demolished and the floodplain returned to natural conditions. While non-residential properties exist in the floodplain and are eligible, emphasis will be to purchase occupied residences. Benefits of the project include reduced flood damages, increased human health and safety, better vector control, improved water quality, and improved air quality. (2) In Tobesofkee Creek Watershed, Bibb County, Georgia, landowners and other interested individuals in the watershed participated in identifying natural resource concerns, including poor water quality, sedimentation in streams and ponds, inadequate supplies of good quality water for livestock, excessive cropland erosion, and poor pasture quality. An interagency interdisciplinary team, led by NRCS, determined a number of sources causing the resource problems. Five alternative watershed plans were developed: a No Action Plan, a Minimum Action Plan, a Moderate Action Plan, a Resource Protection Plan, and a Recommended Plan. The Recommended Plan was eventually adopted, which will address nutrient waste, air, soil, aquatic vegetation, and water quality, and quantity concerns on 38 animal waste management systems plus land treatment of 13,797 acres of eroding cropland and pastureland.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on completion in a timely manner, cost effectiveness, production of a deliverable, and merit.

**10.907 SNOW SURVEY AND WATER SUPPLY FORECASTING**

(Snow Surveys)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act of 1936, as amended, Public Law 74-46.

**OBJECTIVES:**

To provide information on forthcoming seasonal water supplies from streams that derive most of their run off from snow melt. To help farm operators, rural communities, and municipalities use water- supply forecasts in managing water resources. To provide hydrometeorological data for regulating reservoir storage and managing stream flow. To provide soil moisture/temperature and climate data to support drought assessment, fire hazard assessment, wildlife management and climate change research. To obtain, evaluate and disseminate climate data in support of NRCS conservation activities including models.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The information is used by the owners and operators of the 30,000,000 irrigated acres in the mountain States, and the far West. The data are also used in administering international and interstate river flow distribution contracts and agreements, and in the regulation of hundreds of small and large reservoirs for irrigation, flood control, power generation, recreation, industry, and municipal supplies. The data are also used for drought, flood, fire, and climate assessments. Cooperators include other Federal agencies, State agencies, municipalities, irrigation districts, water associations and private utilities, and water management officials of Canada and Mexico.

**Applicant Eligibility:**

General public, including those located in the U.S. Territories.

**Beneficiary Eligibility:**

General public, including those located in the U.S. Territories.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Individuals can make requests for reports from NRCS Field and State offices that issued them, and from the NRCS National Water and Climate Center at Portland, OR.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries and expenses) FY 07 \$10,848,700; FY 08 est \$10,760,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Daily snow and precipitation data is gathered from 675 automated Snow Telemetry (SNOTEL) sites and 1150 manual snow courses in West U.S. and Alaska. These data and 11,534 forecasts of seasonal volume stream flows at 575 stream gaging points are provided to water users via the internet address "http://www.wcc.nrcs.usda.gov". Climate analyses are performed for soil surveys (40 narratives per year) and for wetland determination (6,700 WETS tables) nationally. Soil moisture analysis has been done to more effectively evaluate potential runoff conditions and for drought and flood potential.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Snow Surveys, AIB 536.

**Regional or Local Office:**

State and local offices of the Natural Resources Conservation Service in Alaska, Arizona, California, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, and the National Water & Climate Center, Portland, OR. See Appendix IV of the Catalog for addresses. California's Department of Water Resources, which coordinates and issues snow surveys for that State, and the British Columbia Department of Lands, Forests and Water Resources, supply data for the monthly west-wide summaries.

**Headquarters Office:**

Deputy Chief for Science and Technology Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-4630. FTS is not available.

**Web Site Address:**

http://www.nrcs.usda.gov.

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.910 RURAL ABANDONED MINE PROGRAM**

(RAMP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Section 406, Public Law 95-87, 91 Stat. 460, 30 U.S.C. 1236; Abandoned Mine Reclamation Act of 1990; Energy Policy Act of 1992.

**OBJECTIVES:**

To protect people and the environment from the adverse effects of past coal mining practices, and to promote the development of soil and water resources of unreclaimed mined lands.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Cost-share funds are available only for conservation practices determined to be needed for the reclamation, conservation, and development of up to 320 acres per owner of rural abandoned coal mine land or lands and waters affected by coal mining activities.

**Applicant Eligibility:**

Individuals, groups, or units of government who own or control the surface or water rights of abandoned coal land or lands, and water affected by coal mining practices before August 3, 1977. These areas are not eligible if: (1) There is continuing reclamation responsibility on the part of the mine operator or the State; (2) the lands are in Federal ownerships; and (3) the surface rights are under easement or lease to be remained.

**Beneficiary Eligibility:**

Individuals, group, or units of government who own or control the surface or water rights of abandoned coal land or lands, and water affected by coal mining practices before August 3, 1977. These areas are not eligible if: (1) There is continuing reclamation responsibility on the part of the mine operator or the



State; (2) the lands are in Federal ownerships; and (3) the surface rights are under easement or lease to be remained.

**Credentials/Documentation:**

Participants must furnish proof of ownership or management control for the contract period and written consent of the landowner, if not the owner. Participants are responsible for completing an application for assistance that includes statement of financial burden. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Applicants request program assistance on Form SCS LTP-156, through the local office of the Natural Resources Conservation Service or conservation district. Applicants must develop, with the assistance of NRCS, a reclamation plan as a basis for program assistance. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Participants must sign a 5 to 10 year contract based on the reclamation plan to receive cost sharing. Cost payments may be made directly to the applicant or the contractor upon satisfactory completion of identifiable units of work. Approval of contracts are made by the Chief of NRCS, State conservationist, or contracting officer depending upon dollar amount of contract. Reclamation work contained in RAMP contracts may be performed under an NRCS awarded contract or by the participant.

**Deadlines:**

If fully operational, NRCS announces, through local media, dates and deadlines for applications.

**Range of Approval/Disapproval Time:**

Variable, no specified time. Approval will depend on volume of applications received, available funds, and priority assigned by reclamation committee and complexity of the reclamation project.

**Appeals:**

None.

**Renewals:**

Eligible applicants may re-apply for program assistance in accordance with program funding priorities. Subject to a 320-acre limitation per owner.

**Formula and Matching Requirements:**

Allotments of Rural Abandoned Mine Program funds to NRCS State conservationists are to reflect the national program needs; the geographic areas from which funds were derived; the funding priority assigned to applications for program assistance, including benefits expected to be derived; and, the practicability and feasibility of the reclamation work proposed. For 120 acres or less, the Federal cost-share rate for applying land use and conservation treatment may be up to 80 percent, depending upon the income producing potential of the land after reclamation. However, this rate may be increased to a level required to obtain participation when the main benefits of reclamation accrue to the public and there is a declaration of financial burden. For acreage in excess of 120 acres, up to 320 acres maximum, the cost-share rate is reduced proportionately by up to 0.25 percent per acre. The Chief of the Natural Resources Conservation Service may establish specific rates according to the above criteria. Cost-share rates will range from 25 to 100 percent.

**Length and Time Phasing of Assistance:**

Contract period is not less than 5 or not more than 10 years.

**Reports:**

No reports. NRCS and applicant make a status review that includes maintenance of completed items, need for deletion or addition of contract items, and as appropriate, the need to reschedule installation of practices.

**Audits:**

NRCS makes periodic, random on-site reviews of the quantity and quality of the application and maintenance of scheduled items. Program activities are subject to audit by the Office of Inspector General, USDA.

**Records:**

Recipients should retain the reclamation plan contract, subsequent correspondence and transactions, because they will be held accountable for its implementation.

**Account Identification:**

14-5015-0-2-302.

**Obligations:**

(From carryover funds) (Grants) FY 07 \$0; FY 08 \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$0; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

As of September 30, 2001, there are 20 active contracts with cost share practices valued in excess of \$255,000 remaining to be implemented.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 632, available from the Government Printing Office; RAMP operating procedures, and RAMP environmental impact statements are available from

NRCS State and National headquarters offices.

**Regional or Local Office:**

See Natural Resources Conservation Service State offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Chief for Programs, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-1873.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A 70 acre site near a small community exposed approximately 125 residents to health and safety hazards. Reclamation includes eliminating subsidence holes through filling and grading to eliminate dangerous water pits and illegal trash dumps; surface water control; wildlife plantings; firebreaks; fencing for exclusion of grazing animals; and stabilizing the site by planting pine seedlings. A 40 acre site near a small borough presented a constant hazard to life and property. Reclamation consists of shaping and stabilization of eroding and unsightly "refuse" piles; disposal of "red dog" boulders; removal of a hazardous tippie; filling open mine shafts; back filling to reduce height of "high walls"; removal of acid debris and soil deposition in streams; establishment of diversions, rock and grass waterways; establishing permanent vegetation on the site; and stabilization of stream banks.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the criteria specified in 7 CFR 632.12, which considers the effect on public health, safety and general welfare, the environment, and beneficial use.

## 10.912 ENVIRONMENTAL QUALITY INCENTIVES PROGRAM

(EQIP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002 (the 2002 Act) (Public Law 107-171, May 13, 2002) re-authorized and amended the Environmental Quality Incentives Program, which had been added to the Food Security Act of 1985 (the 1985 Act) (16 U.S.C. 3801 et seq.) by the Federal Agriculture Improvement and Reform Act of 1996 (the 1996 Act) (Public Law 104-127).

**OBJECTIVES:**

Provide technical and financial assistance to eligible farmers and ranchers to address soil, water, and related natural resource concerns on their lands in an environmentally beneficial and cost-effective manner. This program provides assistance to farmers and ranchers in complying with Federal, State, and tribal environmental laws, and encourages environmental enhancement. The purpose of this program is achieved through the implementation of structural, vegetative, and land management practices on eligible land. This program is funded through the Commodity Credit Corporation (CCC). NRCS provides overall program administration and management.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural, and land management practices. Cost-share payments may be made to implement one or more eligible structural or vegetative practices. Incentive payments can be made to implement one or more land management practices. Fifty percent of the funding available for technical assistance, cost-share payments, incentive payments, shall be targeted at practices relating to livestock production.

**Applicant Eligibility:**

Agricultural producers who face serious threats to soil, water, and related natural resources, or who need assistance with complying with Federal and State environment laws. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands. Limited resource producers, small-scale producers, producers of minority groups, Federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide

either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Program participation is voluntary. The applicant applies at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops an EQIP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance, and cost-share or incentive payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the conservation EQIP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on locally developed ranking process. These criteria can be found at [http://www.nrcs.usda.gov/programs/eqip/EQIP\\_signup/2007%20EQIP%20Signup/2007\\_EQIP.html](http://www.nrcs.usda.gov/programs/eqip/EQIP_signup/2007%20EQIP%20Signup/2007_EQIP.html).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the FSA county committee.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Conservation practices may be eligible for cost-sharing up to 75 percent of the total cost of establishing the practice. Incentive payments can be made for land management practices in an amount and rate that NRCS determines is necessary to encourage a participant to perform the practice that would not otherwise be initiated without government assistance. Limited resource producers and beginning farmers may be eligible for cost-sharing up to 90 percent.

**Length and Time Phasing of Assistance:**

A 2002 Farm Bill EQIP contract expires one year after the last planned practice is implemented but cannot be longer than 10 years. Obligations for assistance are tied to the schedule for applying conservation practices included in the EQIP plan of operations conservation plan used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications.. Technical assistance may be provided by a certified Technical Service Provider (TSP). The participant may not engage a TSP prior to contract approval. This assistance will be reimbursed based upon not-to-exceed rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications.

**Reports:**

There are no reports. The Designated Conservationist reviews contract administration annually during the length of the contract of completed contract items and need for deletion or addition of contract items. Participants must operate and maintain a conservation practice for its intended purpose for the life span of the practice.

**Audits:**

Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-4336-0-1-302.

**Obligations:**

(Grants) FY 07 \$755,010,208; FY 08 est \$758,000,000; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$240,550,029; FY 08 est \$242,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Cost-share and incentive payments are limited to a maximum payment limitation of \$450,000 for the life of the 2002 Farm Bill. Average contract payments are estimated to be \$15,400.

**PROGRAM ACCOMPLISHMENTS:**

Over 70,000 applications were received in fiscal year 2006. NRCS estimates that it would require over \$636 million to fully fund all of the applications received last year. After NRCS ranked the applications based on criteria developed at the

local and State level 39,030 contracts were approved with farmers and ranchers totaling over \$787 million. It is estimated that these contracts will treat conservation resource concerns on over 20 million acres of farmland.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1466. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS.

**Regional or Local Office:**

For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/eqip>.

**Headquarters Office:**

John Dondero, Branch Chief, Environmental Improvements Programs, Financial Assistance Programs Division, Natural Resources Conservation Service, Department of Agriculture, PO Box 2890, Washington, DC 20013. Attn: Deputy Chief, Natural Resources Conservation Programs. Telephone: (202) 720-1986. Fax: (202) 720-4265.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.054, Emergency Conservation Program; 10.069, Conservation Reserve Program; 10.072, Wetlands Reserve Program; 10.901, Resource Conservation and Development; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

No projects were funded at the time of publication.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits per dollar expended; the cost-effectiveness of the conversation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; whether the land is located in a priority area and the extent the contract will assist the priority area goals and objectives.

## 10.913 FARM AND RANCH LANDS PROTECTION PROGRAM

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food Security Act of 1985, as amended, 16 U.S.C. 3838h and 3838i.

**OBJECTIVES:**

To purchase conservation easements to limit conversion to non-agricultural uses of farm and ranch lands that contain prime, unique, or important soils or historical and archaeological resources.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are provided to purchase conservation easements in partnership with States, Tribes, or local government entities, or eligible nongovernmental organizations. The Federal share for any easement acquisition is limited to a maximum of 50 of the appraised fair market value of the conservation easement. A conservation plan is required for highly erodible lands enrolled under an FRPP easement. Conservation easements are perpetual easements. A contingent remainder right is incorporated in the conservation easement deed for the protection of the Federal investment. A failure of title would require the cooperating entity to reimburse the United States for the Federal share of the easement value.

**Applicant Eligibility:**

Any local or State agency, county or groups of counties, municipality, town or township, soil and water conservation district, or Indian tribe or tribal organization, that has a farmland protection program that purchases conservation easements for the purpose of protecting topsoil by limiting conversion to non- agricultural uses of land, and that has pending offers may apply for funds. This program is available in all 50 States, Puerto Rico, the Virgin Islands, Guam, American Samoas, the Mariana Islands, and the Trust Territories of the Pacific Islands. Individuals must apply through their local agency that handles purchase of development rights programs. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Any local or State agency, county or groups of counties, municipality, town or township, soil and water conservation district, Federally recognized Indian tribe or eligible nongovernmental organization, such as a land trust, may apply.

**Credentials/Documentation:**

Entities must provide documents indicating their commitment to long-term conservation of agricultural lands through legal devices, such as right-to-farm laws, agricultural districts, zoning, or land use planning; uses of voluntary

approaches to protect farmland from conversion to non-agricultural uses; and their capability to acquire, manage, and enforce conservation easements. Programs must have a systematic plan for acquiring conservation easements, have a proven commitment to agricultural land protection, and sufficient funds and staff to monitor and enforce conservation easements.

**Preapplication Coordination:**

Potential applicants must submit documents to the appropriate State Office of the Natural Resources Conservation Service (NRCS) and work with NRCS to develop a statewide priority list. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application information is included in a Notice of Request for Proposals published in the Federal Register. It is available from the State Offices of the (NRCS), the Federal Register, and USDA NRCS home page, and the Farmland Information Library homepage.

**Award Procedure:**

NRCS State Offices work with the applicants to review their programs, evaluate their priority lists, and award funding to applicants that have submitted parcels that meet FRPP objectives.

**Deadlines:**

Each year funds are available the deadline for applying is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Indicated on the Notice of Request for Proposals published in the Federal Register.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Each cooperating entity is required to contribute towards the conservation easement acquisition. For the cooperating entity, two cost-share options are available when providing its matching offer. The entity must provide, in cash, at least 25 percent of the appraised fair market value of the conservation easement or 50 percent of the purchase price of the conservation easement. Each cooperating entity is required to fund its own administrative costs in acquiring easements, such as surveys or title searches, and costs incurred in managing and enforcing the easements.

**Length and Time Phasing of Assistance:**

Federal funds must be disbursed within two to five years after signing the cooperative agreement. Technical assistance to maintain the conservation plan, however, is provided by NRCS through the life of the easement.

**Reports:**

Annual reports on the status of the easements acquired will be prepared by the cooperating entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS.

**Audits:**

An audit may be made in accordance with the Office of Management and Budget (OMB) Circular No. A-102 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local governments and other related Circulars.

**Records:**

Records of easements acquired will be maintained for the life of the easements by the cooperating entity and NRCS.

**Account Identification:**

12-1000-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Technical Assistance) FY 07 \$2,000,000; FY 08 est not available; and FY 09 est not reported. (Financial Assistance) FY 07 \$48,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,700 to \$1,000,000 per landowner. Average: \$97,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Request for Proposals, Federal Register, Volume 68, No. 64, pp. 16253-16258, April 3, 2003.

**Regional or Local Office:**

For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Farmland Protection and Community Planning Staff, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-9476, Fax: (202) 720-0745.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) California Department of Conservation's Agricultural Land Stewardship

Program; (2) Florida St. Johns River Water Management District's Georgia-Pacific Project; (3) Massachusetts Department of Food and Agriculture's Agricultural Preservation Restriction Program; (4) Rhode Island Department of Environmental Management's Farmland Purchase of Development Rights Program; (5) Vermont Housing and Conservation Board's Farmland Conservation Easement Program; (6) The Nature Conservancy; (7) Iowa Natural Heritage Foundation. The Farm and Ranch Lands Protection Program provides an opportunity to expand Federal partnerships with States, Tribes, and local government entities and nongovernmental organizations to protect farm and ranch land for future generations; to protect strategic agricultural land from conversion to nonagricultural uses; maintain, restore, and enhance ecosystem function; protect historic landscapes, scenic beauty, and open space; and sustain rural economic stability.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting proposals are: The type and terms of easements, the use by a cooperating entity of a land evaluation and site assessment system to evaluate applications for their program, a programmatic process for systematic easement acquisition, evidence of a successful program, and the magnitude of the resources protected.

**10.914 WILDLIFE HABITAT INCENTIVE PROGRAM**

(WHIP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; 16 U.S.C. 3839bb et. seq.

**OBJECTIVES:**

The objective of WHIP is to help participants protect, restore, develop or enhance habitat for upland wildlife, wetland wildlife, threatened and endangered species, fisheries, and other types of wildlife.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided to develop a Wildlife Habitat Development Plan for eligible participants. Cost-share payments may be made to implement wildlife habitat conservation practices. Up to seventy-five percent cost-share is available from NRCS to reimburse participants for installing conservation practices beneficial to wildlife.

**Applicant Eligibility:**

Applicant must meet Highly Erodible Land and Wetland Conservation (HEL/WC) requirements, Adjusted Gross Income (AGI) requirements, verification that applicant will be in control of land for the duration of a contract. A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, Pacific Islanders, State, county, or local government owned lands are encouraged to apply.

**Beneficiary Eligibility:**

A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small-scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable Wildlife Habitat Development Plan for the land unit of concern that incorporates needed wildlife habitat conservation practices. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Program participation is voluntary. The applicant applies at the local USDA service center or found at <http://www.sc.egov.usda.gov> on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant, With the Natural Resources Conservation Service develops a Wildlife Habitat Development Plan for the land unit of concern. The participant's plan serves as the basis for the WHIP cost-share agreement. Technical assistance and cost-share payments may be provided to apply the needed wildlife habitat conservation practices within a time schedule specified by the plan. A participant may apply one or more wildlife habitat conservation practices in a cost-share agreement.

**Award Procedure:**

NRCS may designate a wildlife habitat type or a region of special wildlife habitat concern as a priority. The priorities are designated by the State Conservationist based on recommendations of local work groups which are convened by the local conservation district with advice from the State Technical



Committee. NRCS will give special consideration to applicants who have Wildlife Habitat Development Plans that address wildlife habitat concerns consistent with National and state priorities. Applications will be ranked and selected for funding.

**Deadlines:**

As designated by State Conservationists with advice from the State Technical Committee.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

A participant may appeal any adverse determination to NRCS.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Installation of cost-share practices to develop wildlife habitat can be funded by cost-sharing up to 75 percent of the total cost of establishing the conservation practice by NRCS. Program participants or nonfederal partners provide the remaining 25 percent. Other conservation practices may be required to be installed without program payments.

**Length and Time Phasing of Assistance:**

The WHIP cost-share agreement period is a minimum of 5 to 10 years. Agreements of shorter duration are permitted under limited wildlife emergency circumstances. Obligations for assistance are tied to the schedule for applying wildlife habitat conservation practices included in the Wildlife Habitat Development Plan used as the basis for contract. Payments are made when the participant and NRCS certify that a conservation practice is completed in accordance with the cost-share agreement.

**Reports:**

No reports. NRCS will review contract implementation annually during the length of the cost-share agreement that includes maintenance of completed contract items and need for deletion or addition of cost-share agreement items.

**Audits:**

NRCS makes periodic random reviews of the operation and maintenance of the cost-share agreement items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in the NRCS state office and Federal records centers for specified number of years.

**Account Identification:**

12-3322-0-1-302.

**Obligations:**

(Cost-Share Agreements) FY 07 \$32,697,700; FY 08 \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$10,538,700; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Average contract payments are estimated to be \$4,500.

**PROGRAM ACCOMPLISHMENTS:**

States began implementing WHIP in fiscal year 1998. Over 3.7 million acres are enrolled in the program. The average agreement encompassed 165 acres. Of all acres enrolled, 95 percent are designed for upland habitat, 3 percent for wetland habitat, 2 percent were riparian habitat, and nearly 1 percent in-stream aquatic habitat. It is estimated that approximately 15 percent of the total acreage enrolled in WHIP will benefit threatened and endangered species.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 636. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS and FSA.

**Regional or Local Office:**

For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. NRCS, FSA, and many local conservation districts are located in USDA service centers. For a list of NRCS State Office telephone numbers and addresses, see Appendix IV of the Catalog or visit the NRCS National Website at <http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

Department of Agriculture, Natural Resources Conservation Service, P.O. Box 2890, Washington, DC 20013. Attn: Director, Financial Assistance Programs Division. Telephone: (202) 720-1844. Fax: (202) 720-4265. Program Contact: Albert Cerna at (202) 720-9358.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.054, Emergency Conservation Program; 10.069, Conservation Reserve Program; 10.072, Wetlands Reserve Program; 10.901, Resource Conservation and Development; 10.902, Soil and Water Conservation; 10.904, Watershed Protection and Flood Prevention; 10.912, Environmental Quality Incentives Program; 10.921, Conservation Security Program.

**EXAMPLES OF FUNDED PROJECTS:**

Restoring native grasslands; improving aquatic habitat with obstruction removal,

fish passages and streambank stabilization; estuarine habitat improvement; cave closures for bat habitat; native tree planting; invasive plant control.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be ranked and selected for funding based on: The wildlife habitat benefits derived and the extent the cost-share agreement will assist in achieving the wildlife habitat priority goals and objectives in the area the land unit is located.

## 10.916 WATERSHED REHABILITATION PROGRAM

(Watershed Rehabilitation; PL-566 Watershed Program)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Watershed Protection and Flood Prevention Act, Public Law 83-566, 68 Stat. 666, as amended; Public Law 84-1018, 70 Stat. 1088; Public Law 85-624, 72 Stat. 563; Public Law 85-865, 72 Stat. 1605; Public Law 86-468, 74 Stat. 131, 132; Public Law 86-545, 74 Stat. 254; Public Law 87-170, 75 Stat. 408; Public Law 87-703, 76 Stat. 608; Public Law 89-337, 79 Stat. 1300; Public Law 90-361, 82 Stat. 250; Public Law 92-419, 86 Stat. 667; Public Law 95-113, 91 Stat. 913; Public Law 97-98, 95 Stat. 1213; Public Law 99-662, 100 Stat. 4196; Public Law 101-624, 104 Stat. 3359. Public Law 106-472, 114 Stat. 2077; Public Law 107-171, 116 Stat. 274.

**OBJECTIVES:**

To provide technical and financial assistance to rehabilitate dams originally constructed with assistance of USDA Watershed Programs. Rehabilitation must extend the life of the dam and meet applicable safety and performance standards. Priority is given to dams that could result in loss of life if the dam should fail.

**TYPES OF ASSISTANCE:**

Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property.

**Applicant Eligibility:**

Sponsoring local organizations for existing watershed projects that include dams that were originally constructed with assistance from one of the following water resource programs: Public Law 78-534, Section 13 of the Flood Control Act of 1944; Public Law 156-67, the pilot watershed program authorized under the heading Flood Prevention of the Department of Agriculture Appropriation Act of 1954; Public Law 83-566, the Watershed Protection and Flood Prevention Act of 1954; and Subtitle H of Title XV of the Agriculture and Flood Act of 1981, commonly known as the Resource Conservation and Development Program.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may become a sponsoring local organization for a watershed rehabilitation project.

**Credentials/Documentation:**

Applications must designate the proposed dam to be rehabilitated, be properly signed and attested to by all sponsoring local organizations of the existing watershed, and set forth the need for the proposed project.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental assessments or an Environmental impact statement are required for all projects. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental assessments or an Environmental impact statement are required for all projects. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Applications are evaluated by analyzing the condition of the dam and consequences of failure of the dam. The State Dam Safety Agency is also consulted for input. Details of the procedure are available from the State Offices

of the Natural Resources Conservation Service.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Federal funds may be available for 65 percent of the total rehabilitation project cost, but shall not exceed 100 percent of the actual construction cost incurred. The total rehabilitation project cost includes land acquisition, easements, construction, and non-federal technical assistance and project administration. The cost of technical assistance provided by the natural Resources Conservation Service is not considered as part of the total rehabilitation project cost. The sponsoring local organizations shall be responsible for the cost of all water, mineral, and other resource rights, and cost of permits which are not part of the total rehabilitation project cost. Costs associated with adding new purposes to the watershed rehabilitation project may be cost-shared according to provisions of the Watershed Protection and Flood Prevention Act.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement.

**Reports:**

Annual operation and maintenance inspection and report.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1002-0-1-301.

**Obligations:**

(Financial Assistance) FY 07 \$8,262,000; FY 08 est not available; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$7,038,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

(per State) \$0 to \$6,451,000; \$770,000 average per state.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Policy for implementation of this program is contained in the National Watershed Manual and NRCS General Manual. Program fact sheets, case studies, and guidelines are available from NRCS State Offices and can also be accessed through the NRCS website ([www.nrcs.usda.gov](http://www.nrcs.usda.gov)).

**Regional or Local Office:**

For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Watersheds and Wetlands Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-3534. <http://www.nrcs.usda.gov>.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.904, Watershed Protection and Flood Prevention; 10.906, Watershed Surveys and Planning; 12.104, Flood Plain Management Services.

**EXAMPLES OF FUNDED PROJECTS:**

Since 2002, Federal assistance for watershed rehabilitation has been provided on 72 watershed projects. This program provides technical and financial assistance to State agencies and units of local government in addressing public health and safety concerns with homes and businesses downstream from the dams. These projects also reduce flooding and sediment damage some projects also include the development of multipurpose facilities for such uses as recreation, improvement of fish and wild-life habitat, irrigation, and water supply to municipal and industrial users. Examples: watershed rehabilitation projects protect public health and safety of residents in the communities of Gwinnett County, Georgia (Yellow River Watershed); McKinney, Texas (East Fork Above Lavon Creek Watershed); Ramon, Oklahoma (Double Creek Watershed), and Carlsbad, New Mexico (Hackberry Draw Watershed).

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The existing watershed project must meet the requirements of the law; (2) operation and maintenance of the existing dam must be current; (3) the local sponsors must agree to carry out the watershed project including acquiring land rights, permits, local cost-share, and operating and maintaining the rehabilitated dam for the life of the project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio.

## 10.917 AGRICULTURAL MANAGEMENT ASSISTANCE

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 133 of the Agricultural Risk Protection Act of 2000, Public Law 106-524, Section 524 (b).

**OBJECTIVES:**

To provide cost-share assistance to producers on private lands through contracts to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Eligible producers in approved states may receive cost-share assistance to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**Applicant Eligibility:**

Applicants must have control of the land for a period of the contract running from a minimum of 3 years to a maximum of 10 years. The land must be in one of the 15 following eligible states: Connecticut, Delaware, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Applicants must have control of the land for a period of the contract running from a minimum of 3 years to a maximum of 10 years.

**Credentials/Documentation:**

Evidence that the applicant has control over the land for the life of the proposed contract. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Potential applicants must submit documents to the appropriate local NRCS or Conservation District office. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms are available in USDA Service Centers and conservation district offices as well as in an automated format on the Internet on the USDA NRCS homepage.

**Award Procedure:**

Participants must sign a 3 to 10 year contract based on the conservation plan to receive cost-sharing. Cost share payments are made directly to the applicant upon satisfactory completion on identifiable units of work. Approval of contracts are made by an authorized representative of the Commodity Credit Corporation (CCC).

**Deadlines:**

Applicants may submit an application at any time during the year. Applications will be ranked at periodic intervals during the year. Applications that miss the current ranking cut-off date will be held and processed at the end of the next application ranking cut-off date, regardless of whether the cut-off date occurs in the current fiscal year or the subsequent fiscal year.

**Range of Approval/Disapproval Time:**

Variable, no specified time. Approval will depend on volume of applications received and available funds.

**Appeals:**

Any participant shall have the right to appeal final adverse or potentially adverse decisions made by NRCS.

**Renewals:**

Contracts that are scheduled for less than 10 years may be extended up to the ten-year contract limit, in order for the participant to complete the practices scheduled in the contract. However, the participant must apply all practices within ten years of signing the contract.

**Formula and Matching Requirements:**

Cost share payments shall be based on 75 percent of the cost of the eligible practice installed.

**Length and Time Phasing of Assistance:**

Long term contracts of 3 to 10 years. Cost share assistance is paid when the practice is performed.

**Reports:**

No reports. NRCS and the landowner or operator make an annual contract status review that includes maintenance of completed contract items, need for deletion or addition of contract items, and as appropriate, the need to reschedule the installation of practices.

**Audits:**

Program activities are subject to audit by the Office of Inspector General, USDA.

**Records:**

The records for all expired or terminated contracts will be kept for 10 years following expiration or termination of the contracts.

**Account Identification:**

12-4336-0-1-302.

**Obligations:**

(Grants) FY 07 \$0; FY 08 \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$5,000,000; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not to exceed \$50,000 per fiscal year. Total cost share payments per the life of the contract shall not exceed \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1465 regulations in the Federal Register, Volume 68, No. 68, page 17272, April 9, 2003; USDA/NRCS Internet homepage under Programs.

**Regional or Local Office:**

For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Financial Assistance Programs Division, \_ Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Dave Mason, Telephone (202) 720-1873, Fax: (202) 720-4265.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

A State developed ranking process and ranking criteria will be used. The ranking criteria will emphasize: the construction or improvement of water management structures or irrigation structures; planting of trees for windbreaks or to improve water quality; and mitigating financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

## 10.918 GROUND AND SURFACE WATER CONSERVATION- ENVIRONMENTAL QUALITY INCENTIVES PROGRAM

(EQIP-G&SW)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002 (the 2002 Act), (Public Law 107-171, May 13, 2002) re-authorized and amended the Environmental Quality Incentives Program, which had been added to the Food Security Act of 1985 (the 1985 Act), (16 U.S.C. 3801 et seq.) by the Federal Agriculture Improvement and Reform Act of 1996 (the 1996 Act), Public Law 104-127.

**OBJECTIVES:**

Provide technical and financial assistance to eligible farmers and ranchers to address water conservation natural resource concerns on their lands in an environmentally beneficial and cost-effective manner. This program provides assistance to farmers and ranchers in complying with Federal, State, and tribal environmental laws, and encourages environmental enhancement. The purpose of this program is achieved through the implementation of structural and land management conservation practices on eligible land. This program is funded through the Commodity Credit Corporation (CCC). NRCS provides overall program administration and management.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural and land management practices. Cost-share payments may be made to implement one or more eligible structural practices. Incentive payments can be made to implement one or more

land management practices. The funding available is for technical assistance, cost-share payments and incentive payments that will assist participants achieve a net-water savings on their agricultural land.

**Applicant Eligibility:**

Agricultural producers who are addressing water conservation natural resource issues. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands. Limited resource producers, small-scale producers, producers of minority groups, Federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply. Program may not be available in all States.

**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Program participation is voluntary. The applicant applies at the local USDA Service Center on Form NRCS-CPA--1200. Applications may be filed at any time during the year. The participant develops an EQIP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance and cost-share or incentive payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the EQIP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on a State or locally developed ranking process. These criteria can be found at <http://www.nrcs.usda.gov/programs/eqip/>.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the FSA county committee.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Conservation practices may be eligible for cost-sharing up to 75 percent of the total cost of establishing the practice. Incentive payments can be made for land management practices in an amount and rate that NRCS determines is necessary to encourage a participant to perform the practice that would not otherwise be initiated without government assistance. Limited resource producers and beginning farmers may be eligible for cost-sharing up to 90 percent.

**Length and Time Phasing of Assistance:**

A 2002 Farm Bill EQIP contract expires one year after the last planned practice is implemented but cannot be longer than 10 years. Obligations for assistance are tied to the schedule for applying conservation practices included in the EQIP plan of operations used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP). The participant may not engage a TSP for technical services prior to contract approval. This assistance will be reimbursed based upon not-to-exceed rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications.

**Reports:**

There are no reports. The designated Conservationist reviews contract administration annually during the length of the contract for installation of practices scheduled and maintenance of completed contract items. Participants must operate and maintain a conservation practice for its intended purpose for the life span of the practice.

**Audits:**

Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.



**Records:**

Maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-4336-0-1-302.

**Obligations:**

(Grants) FY 07 \$51,000,000; FY 08 \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$19,093,000; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

An individual or entity may not receive, directly or indirectly, cost-share or incentive payments under this chapter that, in the aggregate, exceed \$450,000 for all contracts entered into under this chapter by the individual or entity during the period of fiscal years 2002 through 2007, regardless of the number of contracts entered into under this chapter by the individual or entity.

**PROGRAM ACCOMPLISHMENTS:**

Thirty-two states located in the High Plains Aquifer, or areas severely impacted by drought (according to the USDA Drought Monitor), or in areas with extensive agricultural water needs were targeted for achieving a net savings in water consumption on agricultural lands. In FY 2006, producers entered into 2,023 Ground and Surface Water contracts on nearly 382,600 acres to improve irrigation and water use efficiency on currently irrigated cropland.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1466. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS.

**Regional or Local Office:**

For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/eqip>.

**Headquarters Office:**

John Dondero, Branch Chief - Environmental Improvement Programs, Financial Assistance Programs Division, Natural Resources Conservation Service, U.S. Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-1986. FAX: (202) 720-4265.

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation; 10.912, Environmental Quality Incentives Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; and the extent the contract will assist the priority natural resource goals and objectives and achieve a net water savings.

**10.919 KLAMATH BASIN - ENVIRONMENTAL QUALITY INCENTIVES PROGRAM**

(EQIP-KB)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002 (the 2002 Act), Public Law 107-171, May 13, 2002 re-authorized and amended the Environmental Quality Incentives Program, which had been added to the Food Security Act of 1985 (the 1985 Act) (16 U.S.C. 3801 et seq.) by the Federal Agriculture Improvement and Reform Act of 1996 (the 1996 Act) (Public Law 104-127).

**OBJECTIVES:**

Provide technical and financial assistance to eligible farmers and ranchers to address water conservation natural resource concerns on their lands in an environmentally beneficial and cost-effective manner. This program provides assistance to farmers and ranchers in complying with Federal, State, and tribal environmental laws, and encourages environmental enhancement. The purpose of this program is achieved through the implementation of structural and land management conservation practices on eligible land. This program is funded through the Commodity Credit Corporation (CCC). NRCS provides overall program administration and management.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural and land management practices. Cost-share payments may be made to implement one or more eligible

structural practices. Incentive payments can be made to implement one or more land management practices. The funding is available is for technical assistance, cost-share payments and incentive payments that will assist participants achieve a net-water savings on their agricultural land.

**Applicant Eligibility:**

Agricultural producers who are addressing water conservation natural resource issues. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands. Limited resource producers, small-scale producers, producers of minority groups, Federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply. This program is only available in the Klamath Basin of California and Oregon.

**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Program participation is voluntary. The applicant applies at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops an EQIP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance and cost-share or incentive payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the EQIP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on a State or locally developed ranking process.

These criteria can be found at

[http://www.nrcs.usda.gov/programs/eqip/EQIP\\_signup.html](http://www.nrcs.usda.gov/programs/eqip/EQIP_signup.html).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the FSA county committee.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Conservation practices may be eligible for cost-sharing up to 75 percent of the total cost of establishing the practice. Incentive payments can be made for land management practices in an amount and rate that NRCS determines is necessary to encourage a participant to perform the practice that would not otherwise be initiated without government assistance. Limited resource producers and beginning farmers may be eligible for cost-sharing up to 90 percent.

**Length and Time Phasing of Assistance:**

A 2002 Farm Bill EQIP contract expires one year after the last planned practice is implemented but cannot be longer than 10 years. Obligations for assistance are tied to the schedule for applying conservation practices included in the EQIP plan of operations used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP). The participant may not engage a TSP for technical services prior the contract approval. This assistance will be reimbursed based upon not-to-exceed rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications.

**Reports:**

There are no reports. The Designated Conservationist reviews contract administration annually during the length of the contract for installation of practices scheduled and maintenance of completed contract items. Participants must operate and maintain a conservation practice for its intended purpose for the life span of the practice.

**Audits:**

Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the

conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-4336-0-1-302.

**Obligations:**

(Grants) FY 07 \$6,012,800; FY 08 \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$2,346,700; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

An individual or entity may not receive, directly or indirectly, cost-share or incentive payments under this chapter that, in the aggregate, exceed \$450,000 for all contracts entered into under this chapter by the individual or entity during the period of fiscal years 2002 through 2007, regardless of the number of contracts entered into under this chapter by the individual or entity.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1466. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS.

**Regional or Local Office:**

For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. NRCS, FSA, and many local conservation districts are located in USDA service centers. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/eqip>.

**Headquarters Office:**

John Dondero, Branch Chief, Environmental Improvement Programs, Financial Assistance Programs Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-1986. Fax: (202) 720-4265.

**Web Site Address:**

[www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**RELATED PROGRAMS:**

10.902, Soil and Water Conservation; 10.912, Environmental Quality Incentives Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; and the extent the contract will assist the priority natural resource goals and objectives and achieve a net water savings.

## 10.920 GRASSLAND RESERVE PROGRAM

(Grassland Reserve Program (GRP))

**FEDERAL AGENCY:**

UNITED STATES DEPARTMENT OF AGRICULTURE NATURAL RESOURCES CONSERVATION SERVICE

**AUTHORIZATION:**

16 U.S.C. 3838n through 3838q.

**OBJECTIVES:**

To assist landowners and others in restoring and protecting eligible grassland, rangeland, pastureland and certain other lands through rental agreements and easements.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

GRP easements and rental agreements are designed for working agricultural lands. All participants are subject to the Adjusted Gross Income Provision set forth in 7 CFR Part 1400. This limitation provides that individuals and entities that have an average adjusted gross income exceeding \$2.5 million for the three tax years immediately preceding the year the contract is approved are not eligible to receive program benefits, unless 75 percent of the adjusted gross income is derived from farming, ranching, or forestry operations. Easements and rental agreements will (1) permit grazing on the land in a manner that is consistent with maintaining the viability of the native and natural grass, shrub, forest, and wildlife species adapted to the locality; (2) permit haying, mowing, or harvesting for seed production, except during the nesting and brood-rearing seasons for birds in the area that are in significant decline; (3) allow for fire rehabilitation and construction of firebreaks, fences, watering facilities and practices that protect and restore the grasslands functions and values; and (4)

prohibit the production of row crops, fruit trees, vineyards, or any other agricultural commodities or activity that requires disturbance of the soil surface. Both easements and rental agreements will require that the land is managed to maintain the viability of the plant community as described in the conservation plan.

**Applicant Eligibility:**

GRP is available on privately owned lands. Eligible land includes grassland, land that contains forbs, or shrubs (including rangeland and pasture land; or land that is located in an area that has historically been dominated by grassland, forbs, and shrubs; and has potential to provide habitat for animal or plant populations of significant ecological value. Incidental lands, in conjunction with eligible land, may also be considered for enrollment to allow for the efficient administration of an easement or rental agreement. Generally, forty acres is the minimum acreage that will be accepted unless USDA makes a determination that enrollment of a smaller parcel meets the purposes of the program and grants a waiver.

**Beneficiary Eligibility:**

Only landowners may submit applications for easements; landowners and others who have general control of the acreage may submit applications for rental agreements.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Any owner or operator or tenant meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA service centers at any time. USDA will establish criteria to evaluate and rank applications for easement and rental agreement enrollment. Ranking criteria will emphasize support for high quality grasslands and shrublands; grazing operations; and plant and animal biodiversity; under threat of conversion. Individual project selection will be made by State level USDA officials. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are accepted in local USDA service centers at any time. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e. permanent or 30-year easement, 10-year, 15-year, 20-year or 30-year rental agreement). Applications can be obtained through local USDA service centers or the website of the Natural Resources Conservation Service Office. See [www.nrcs.usda.gov](http://www.nrcs.usda.gov). Select Programs from the menu, then select Grassland Reserve Program.

**Award Procedure:**

None.

**Deadlines:**

No application deadline. Applications are accepted through a continuous signup process. Individual State USDA offices of the Farm Service Agency and the Natural Resources Conservation Service Office may establish funding cut off periods.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

Applicants or participants may appeal decisions regarding this program in accordance with 7 CFR Part 614 and Parts 11 and 780.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Easement duration is either perpetual, 30-years, or the maximum duration permitted by State law. Financial assistance for easement acquisition is provided at closing. For rental agreements, payments are made annually on the agreement anniversary date of USDA approval. For both easements and rental agreements, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or rental agreement.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Direct Payments) FY 07 \$12,671,100; FY 08 \$0; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$3,236,000; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

In FY 2003 USDA had available approximately \$52,000,000 in financial assistance to allocate nationwide. The average estimated cost per acre for

ease acquisition was approximately \$382. The average estimated cost per acre for rental agreements was \$134 per acre. In FY 2004 USDA has available approximately \$54,000,000 in financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Thomas Christensen, Deputy Chief for Natural Resources Conservation Programs, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Telephone: (202) 720-4527. Use the same number for FTS; Floyd Wood, National Grassland Reserve Program Manager, NRCS, (202) 720-0242 or Jim Williams, National Grassland Reserve Program Manager, FSA, (202) 720- 9562.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.069, Conservation Reserve Program; 10.072, Wetlands Reserve Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 10.921 CONSERVATION SECURITY PROGRAM

(CSP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Food Security Act of 1985, Title XII, Chapter 2, Subchapter A, of the Food Security Act of 1985, 16 U.S.C. 3801 et seq., Public Law 99-198, as amended by the Farm Security and Rural Investment Act of 2002, enacted on May 13, 2002, Public Law 107-171.

**OBJECTIVES:**

The CSP sets forth a mechanism to provide financial and technical assistance to promote the conservation and improvement of soil, water, air, energy, plant and animal life, and other conservation purposes on Tribal and private working lands. Working lands include cropland, grassland, prairie land, improved pasture, and range land, as well as forested land that is an incidental part of an agriculture operation. The goal of CSP is to identify and reward those farmers and ranchers who are meeting the highest standards of conservation and environmental management on their operations and to support ongoing stewardship of private agricultural lands by providing payments for maintaining and enhancing natural resources.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Eligible applicants may offer eligible land on a portion of their agricultural operation to enter into a five year contract, or entire agricultural operation for a five to ten year contract. Subject to the acceptance of an offer by the Federal Government, the participant shall agree to participate as outlined in the CSP stewardship plan and contract. The contract will include appropriate stewardship, new practice, existing practice, and enhancement payments. Subject to the availability of funds, CCC will make stewardship, existing practice, new practice or enhancement payments at the rates specified in this contract after a determination by CCC that an eligible practice or activity has been established in compliance with the CSP plan of operations and in accordance with appropriate standards and specifications.

**Applicant Eligibility:**

An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means an owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. An applicant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Beneficiary Eligibility:**

An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means and owner, operator, landlord, tenant or sharecropper that shares in the

risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. A participant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Credentials/Documentation:**

The participant must have control of the land offered for the length of the contract period. This program is excluded from coverage under OMB Circular No. A-87.

**Reapplication Coordination:**

An environmental impact assessment has been prepared for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Conduct a CSP self-assessment and benchmark condition inventory, and submit an intention to enroll to the local NRCS office that serves the area in which the agricultural operation is located during the designated sign-up period. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**Deadlines:**

NRCS will publish a CSP sign-up notice with a schedule for the sign-up process, including the deadline(s) for applying. At the beginning of each sign-up, the Chief will announce the order in which categories and subcategories are eligible to be funded.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS.

**Appeals:**

An applicant or a participant may obtain administrative review of an adverse decision. Participants cannot appeal payment rates, payment limits, and cost-share percentages, eligible conservation practices, or other matters of general applicability. Before a participant can seek judicial review, the participant must exhaust all administrative appeal procedures.

**Renewals:**

The conservation security contract may be renewed, as appropriate, for an additional period of not less than 5, nor more than 10 years.

**Formula and Matching Requirements:**

Payments may have as many as four components including a base conservation stewardship payment, existing practice payment, new practice cost-share payment, and enhancement payment. Payments will be made as described in the contract in return for the implementation and/or maintenance of a specified level of conservation treatment on all or part of the agricultural operation.

**Length and Time Phasing of Assistance:**

The schedule of payments will be specified in the conservation stewardship contract based on calculations identified in the rule and sign up notice.

**Reports:**

None.

**Audits:**

Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained by the participant, as appropriate and in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Direct Payments) FY 07 \$235,960,000; FY 08 est \$287,752,900; and FY 09 est not reported. (Salaries and Expenses) FY 07 \$23,310,000; FY 08 est \$28,459,100; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Contract numbers and acres by year: 2006 - 4,323 contracts covering 3,648,100 acres; 2007 - No sign-up.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media, local conservation districts, and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV. the Catalog.

**Headquarters Office:**

Dwayne Howard, Branch Chief, Stewardship Programs Branch, Financial Assistance Programs Division, Natural Resources Conservation Service,



Department of Agriculture, PO Box 2890, Washington, DC 20013. Telephone: (202) 720-3524.

**Web Site Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.904, Watershed Protection and Flood Prevention; 10.912, Environmental Quality Incentives Program; 10.914, Wildlife Habitat Incentive Program; 10.917, Agricultural Management Assistance .

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

## 10.922 HEALTHY FORESTS RESERVE PROGRAM (HFRP)

Healthy Forests Reserve Program (HFRP)

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Title V of the Healthy Forest Restoration Act of 2003, 16 U.S.C. Sections 6571-6578.

**OBJECTIVES:**

To assist landowners in restoring and enhancing forest ecosystems to: Promote the recovery of threatened and endangered species, improve biodiversity, and enhance carbon sequestration.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

HFRP restoration agreements and easements are designed for working Agricultural lands. Easements and Agreements shall be maintained in accordance with HFRP goals and objectives for the duration of the restoration agreement and easement including the restoration, protection, enhancement, maintenance, and management of habitat for listed species within a forest ecosystem's functions and values. For the duration of its term, the easement shall require, at a minimum, that the landowner, and the landowner's heirs, successors and assigns, shall cooperate in the restoration, protection, enhancement, maintenance, and management of the land in accordance with the easement and with the terms of the HFRP restoration plan. In addition, the easement shall grant to the United States, through the NRCS: A right of access to the easement area; The right to permit compatible uses of the easement area, which may include such activities as hunting and fishing, managed timber harvest, or periodic haying or grazing, if such use is consistent with the long-term protection and enhancement of the purposes for which the easement was established; The right to determine compatible uses on the easement area and specify the amount, method, timing, intensity and duration of the compatible use; The rights, title and interest to the easement area as specified in the conservation easement deed; and The right to perform restoration, protection, enhancement, maintenance, and management activities on the easement area. The landowner shall convey title to the easement which is acceptable to the NRCS. The landowner shall warrant that the easement granted to the United States is superior to the rights of all others, except for exceptions to the title which are deemed acceptable by the NRCS.

**Applicant Eligibility:**

To be eligible to enroll an easement or restoration agreement in the HFRP, a person must: Be the landowner of eligible private land for which enrollment is sought. Agree to provide such information to the Natural Resources Conservation Service (NRCS) as the agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes.

**Beneficiary Eligibility:**

Only landowners.

**Credentials/Documentation:**

Be the landowner of eligible land for which enrollment is sought; and agree to provide such information to NRCS as the agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes.

**Preapplication Coordination:**

Any owner meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up dates. USDA will establish criteria to evaluate and rank applications for easement and restoration agreement enrollment. Individual project selection will be made by State level USDA officials. NRCS will identify through a sign-up notice process the geographic scope and ranking priorities for that particular sign-up. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up dates. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e., 10 year restoration agreement, 30 year easement or 99 year easement). Applications can be obtained through local USDA Service Center.

**Award Procedure:**

NRCS will not acquire any easement unless the landowner accepts the amount of the easement payment which is offered by NRCS. The easement payment may or may not equal the fair market value of the interests and rights to be conveyed by the landowner under the easement. By voluntarily participating in the program, a landowner waives any claim to additional compensation based on fair market value.

**Deadlines:**

NRCS will only accept applications for enrollment during announced sign-up periods.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

A person participating in the HFRP may obtain a review of any administrative determination concerning eligibility for participation utilizing the administrative appeal regulations provided in 7 CFR Part 614.

**Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

**Formula and Matching Requirements:**

Lump sum or annual easement payments made in no more than 10 annual payments of equal or unequal size, as agreed to between NRCS and the landowner.

**Length and Time Phasing of Assistance:**

Restoration Agreements of 10 years, Easements duration is either 30-years, 99-years, or the maximum duration permitted by State law. Financial assistance for easement acquisition is provided at closing. For restoration agreements, payments are made annually on the agreement anniversary date of USDA approval. For both easements and restoration agreements, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or restoration agreement.

**Reports:**

None.

**Audits:**

Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be filed in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Financial Assistance) FY 07 \$2,351,300; FY 08 est \$2,351,300; and FY 09 est not reported. (Technical Assistance) FY 07 \$124,700; FY 08 est. \$124,700; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

In FY 2006 NRCS had \$2.3 million available to fund the program in three states. The average estimated cost per acre for easement acquisition was approximately \$1,048.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007 NRCS has enrolled approximately 196,000 acres in the program in Arkansas, Maine, and Mississippi.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media and in letters to agricultural landowners in the county. Regulations published in the Federal Register (Interim Final Rule) and 7 CFR Part 625.

**Regional or Local Office:**

Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Thomas W. Christensen, Deputy Chief for Programs, Natural Resources Conservation Service, Department of Agriculture, 14th and Independence Ave., S.W., Room 5109-S, Washington, DC 20250. Telephone: (202) 720-4527. Robin Heard, NRCS, Director, Easements Programs Division, Room 6819-S, Telephone: (202) 720-1875; Ross Lahren, NRCS, Branch Chief, Easements Programs Division, Room 6809-S, (202) 720-0123; Astor Boozer, NRCS, Healthy Forests Reserve Program Manager, Room 6813-S, Telephone: (202) 720-1836.

**Web Site Address:**

**RELATED PROGRAMS:**

10.069, Conservation Reserve Program; 10.072, Wetlands Reserve Program; 10.920, Grassland Reserve Program; 10.913, Farm and Ranch Lands Protection Program.

**EXAMPLES OF FUNDED PROJECTS:**

Maine is one of three states nationally where the program is available. The primary focus of HFRP in Maine is to enhance the management of Spruce-Fir and Northern Hardwood-Spruce forests to promote the recovery of the federally-threatened Canada lynx and to enhance the biodiversity and environmental quality using sustainable forests management practices. Maine developed three contracts from fiscal year 2006 applications addressing 494,000 acres with landowners who agreed to develop and implement forest management plans which incorporate management guidelines specifically designed to benefit the Canada lynx.

**CRITERIA FOR SELECTING PROPOSALS:**

The Secretary of Agriculture shall give priority to the enrollment of land that provides the greatest conservation benefit to primarily, species listed as endangered or threatened under 16 U.S.C. 1533; and secondarily, species that are not listed as endangered or threatened under 16 U.S.C. 1533; but are candidates for such listing, State-listed species, or special concern species. The Secretary of Agriculture shall also consider the cost-effectiveness of each agreement or easement, and associated restoration plans, so as to maximize the environmental benefits per dollar expended.

**10.923 EMERGENCY WATERSHED PROTECTION PROGRAM**

(Emergency Watershed Protection (EWP) Program )

**FEDERAL AGENCY:**

NATURAL RESOURCES CONSERVATION SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 216 of the Flood Control Act of 1950, Public Law 81-516, 33 U.S.C. 701b-1; and Section 403 of the Agricultural Credit Act of 1978, Public Law 95-334, as amended by Section 382, of the Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127, 16 U.S.C. 2203.

**OBJECTIVES:**

The objective of the EWP Program is to assist sponsors, landowners, and operators in implementing emergency recovery measures for runoff retardation and erosion prevention to relieve imminent hazards to life and property created by a natural disaster that causes a sudden impairment of a watershed.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All EWP work must reduce threats to life and property and must be economically, environmentally, and socially defensible and sound from a technical standpoint. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the U.S. Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services. EWP funds have restrictions. EWP cannot solve problems that existed before the disaster or to improve the level of protection above that which existed before a disaster. It cannot fund operation and maintenance work or repair private or public transportation facilities or utilities. The work cannot adversely affect downstream water rights and funds cannot be used to install measures not essential to the reduction of hazards. In addition, funds cannot be used to perform work on measures installed by another federal agency.

**Applicant Eligibility:**

Public and private landowners are eligible for assistance but must be represented by a project sponsor. Project sponsor means a State government or a State agency or a legal subdivision thereof, local unit of government, or any Native American tribe or tribal organization as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), with a legal interest in or responsibility for the values threatened by a watershed emergency; is capable of obtaining necessary land rights; and is capable of carrying out any operation and maintenance responsibilities that may be required. Sponsors are also responsible for furnishing the local cost share and for accomplishing the installation of work. Work can be done either through Federal or local contracts. Emergency watershed protection is authorized in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

Public and private landowners are eligible for assistance but must be represented by a project sponsor. Project sponsor means a State government or a State agency or a legal subdivision thereof, local unit of government, or any Native American tribe or tribal organization as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), with a legal interest in or responsibility for the values threatened by a watershed emergency;

is capable of obtaining necessary land rights; and is capable of carrying out any operation and maintenance responsibilities that may be required. Sponsors are also responsible for furnishing the local cost share and for accomplishing the installation of work. Work can be done either through Federal or local contracts. Emergency watershed protection is authorized in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Credentials/Documentation:**

Sponsors must submit a formal request to the State Conservationist for assistance within 60 days of the natural disaster occurrence, or 60 days from the date when access to the sites becomes available. Requests must include a statement that the sponsors understand their responsibilities and are willing to pay its cost-shared percentage as well as information pertaining to the natural disaster, including the nature, location, and scope of the problems and the assistance needed.

**Preapplication Coordination:**

Each NRCS state office has developed and maintains an EWP Program Emergency Recovery Plan that contains procedures for implementation of emergency recovery measures should a disaster occur. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Potential sponsors submit formal requests for assistance to the NRCS state conservationist.

**Award Procedure:**

Project sponsors seeking EWP assistance must apply to the STC in writing within 60 days of the natural disaster occurrence, or 60 days from the date when access to the sites becomes available. Project sponsors may use SF 424 Application for Federal Assistance but must ensure that following information is provided: (1) A description of the problems encountered; (2) Assistance needed, including the following: Nature of the problem; Location; Scope of the problem; Commitment by the sponsor to assume the following responsibilities: local cost-share; Land rights; acquisition; Permits; Operations and Maintenance (O and M), if required; A statement indicating that funds have either been exhausted or are insufficient to provide adequate recovery measures from the applicable hazards; A statement identifying any other State or Federal funding received or application submitted. On receipt of a formal request for EWP assistance, the State Conservationist or designee shall immediately investigate the emergency situation to determine whether EWP is applicable and to prepare an initial cost estimation for submission to the NRCS Chief or designee. The cost estimation will be submitted no later than 60 days from receipt of the formal request from the sponsor. NRCS may not commit funds until notified by the Chief, or designee, of the availability of funds. Before the release of financial assistance, NRCS will enter into a Cooperative Agreement with a sponsor that specifies the responsibilities of the sponsor under this part, including any required operation and maintenance responsibilities. NRCS will not provide funding for activities undertaken by a sponsor prior to the signing of the agreement between NRCS and the sponsor.

**Deadlines:**

Potential sponsors have 60 days from the natural disaster occurrence, or 60 days from the date when access to the sites becomes available. The cost estimation will be submitted no later than 60 days from receipt of the formal request from the sponsor. NRCS may not commit funds until notified by the Chief, or designee, of the availability of funds. Projects must be completed within 220 days from the date funding is provided. For exigency situations project must be completed within 10 days from the date funding is provided.

**Range of Approval/Disapproval Time:**

Timeline is dependent upon when funding is appropriated. The EWP program is not a line-item funded program and is reliant upon emergency supplemental appropriations.

**Appeals:**

Only NRCS decisions relating to eligibility for the EWP Program can be appealed. These decisions may be appealed in accordance with 7 CFR Part 614 and 7 CFR 11, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the US Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services.

**Length and Time Phasing of Assistance:**

Continues until all EWP Program recovery measures are installed or their installation is terminated by mutual agreement.

**Reports:**

Final reports are prepared for each project once completed. A benefit and accomplishment report is prepared for the fiscal year based upon final reports.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and

NonProfit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Records of operation are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

Grants: FY 07 \$172,697,406; FY 08 est \$112,310,000; and FY 09 est not reported. Salaries and Expenses: FY 07 \$40,445,602; FY 08 est \$38,482,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Disaster Events Funded: FY 06 range \$22,211 to \$6,047,723, average \$955,410.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2006: Disaster Events Funded, 87; Disaster Events Unfunded, 25; Completed Projects, 47; Costs: Technical Assistance, \$8,109,137; Financial Assistance, \$44,904,270; Local Contribution, \$9,967,235; Floodplain Easements, 0; Total Costs, \$62,980,642; Benefits: Outcomes: Public Buildings Protected, 259; Private Buildings Protected, 6,342; Road Protected, 487 miles Utilities Protected, 369; Value of Property Protected, \$709,495,022; Outputs: Debris Removed, 1,241,135 feet; Streambank Stabilized 58,469 feet; Land Protected, 84,981 acres; Easements Purchased, 0 acres; People Benefited: Elderly 27,863; Minority, 274,043; Other, 518,018; Total, 819,924; 8(a) Contracts 99; Value of 8(a) Contracts, \$10,512,629; Total Benefits: Economic, \$267,379,988; Cost/Benefit Ratio, 1.0:4.2.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 624; National Emergency Watershed Protection Program Manual.

**Regional or Local Office:**

For the list of NRCS state offices with telephone numbers and addresses, see the web site: <http://www.nrcs.usda.gov/contact/>.

**Headquarters Office:**

Conservation Planning and Technical Assistance Division, Department of Agriculture, P.O. Box 2890, Washington, DC 20013. Victor Cole, National Emergency Watershed Protection Program Manager, Telephone: (202) 690-0793.

**Web Site Address:**

<http://www.nrcs.usda.gov/programs/ewp/>.

**RELATED PROGRAMS:**

10.904, Watershed Protection and Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

NRCS made a major effort to accelerate the work during fiscal year 2006. The objective for NRCS and our local, State and federal partners is to finish all dead tree removal work in the priority areas by the end of calendar year 2007. This has been communicated to all our partners and plans are being put into place to accomplish this goal. Alabama: Hurricane Recovery Efforts -- Alabama has been very aggressively responding to municipalities and local units of government to assist with repair of damages caused by recent hurricanes, Dennis and Katrina. For traditional Emergency Watershed Protection Program (EWP) efforts, Alabama received and approved requests from 34 sponsors for \$18,893,975 to address damages at 205 sites. The potential fire hazards resulting from downed timber from hurricane damage needed to be addressed. For removal of downed timber resulting from hurricane damage from Hurricanes Dennis and Katrina, Alabama recently obligated \$14.6 million dollars to implement emergency measures to relieve imminent hazards to life and property. Alabama received requests from 1,050 landowners to address damages on 295,114 acres. Priority was given in areas with a high risk for wildfire and associated smoke concerns near transportation corridors and fire concerns near urban interface areas. Five counties designated as limited resource areas were assisted with the Program. In addition, the Poarch Band of Creek Indian Reservation has EWP contracts totaling \$779,000 to repair 16 hurricane-damaged sites. This is the first time the tribe has participated in the EWP Program. Florida: Hurricane Recovery Efforts -- Hurricane Charley - City of Punta Gorda: On October 24, 2005 Hurricane Wilma hit Broward County. With over 2,000 miles of canals and waterways in Broward County, most were damaged from debris and erosion. NRCS provided financial and technical assistance to 31 local units of government to remove debris from waterways and repair erosion damage to streambanks. Several sites are completed with the remainder of the work in progress. Massachusetts: Whittenton Pond Dam, Taunton -- NRCS used EWP funding to alleviate the threat to public safety and property through a controlled draw-down of water due to the high risk of dam failure due to flooding. The wooden portion of the dam was removed as part of the draw-down and rock was used to stabilize the site to stop further erosion. Without immediate action by NRCS the dam could have failed flooding business and residences in Taunton. Massachusetts: Millpond Dam, Rockport -- A dam in Rockport partially collapsed after heavy rain and was in jeopardy of failing. NRCS immediately responded and place rock to stabilize the dam until sponsors could inspect and determine the best course of action to rebuild or remove the dam. Without NRCS action the dam could have failed damaging water and sewer lines immediately downstream along with other

businesses and residences. Since the dam is in close proximity of Rockport Harbor rupture of the sewer line could have caused serious contamination.

**CRITERIA FOR SELECTING PROPOSALS:**

EWP projects are eligible when they provide runoff retardation and soil erosion prevention, safeguard lives and property, and relieve an imminent threat that is a result of a sudden impairment in a watershed due to a natural disaster.

**10.950 AGRICULTURAL STATISTICS REPORTS**

(Agricultural Estimates)

**FEDERAL AGENCY:**

NATIONAL AGRICULTURAL STATISTICS SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

5 U.S.C. 3109; 7 U.S.C. 411, 411a, 411b, 427, 471, 475, 476, 501, 951, 953, 955-957; 7 U.S.C. 1621-1623, 1623a, 1624-1627; 7 U.S.C. 2201, 2202, 2204g, 2225, 2248, 3103, 3311, 3504; 13 U.S.C. 142a, 142b; 18 U.S.C. 1902, 1905, 2072; 42 U.S.C. 1891-1893; 44 U.S.C. 3501-3511; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To formulate, develop, and administer programs for collecting and publishing statistics related to agriculture, resources, and rural communities.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Copies of publications of estimates and reports of production, supply, price and other aspects of the agricultural economy are available to anyone without restriction. Publications are provided free to survey respondents, press, Congress, and, many current publications and all data products are also available for free on the NASS Internet World Wide Website: <http://www.usda.gov/nass/>. Other publications are available to all others on a subscription basis.

**Applicant Eligibility:**

Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Request for technical information only may be made to the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1801-0-1-352.

**Obligations:**

FY 07 \$160,300,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Estimates on approximately 120 crops and 45 livestock items are included in approximately 400 reports. These reports include crops, livestock and poultry estimates; agricultural chemical usage; prices received by farmers; prices paid for commodities and services; and data on farm employment and wage rates. The Census of Agriculture is conducted every 5 years, for the years ending in a



"2" or "7" and provides comprehensive data down to the county level on all aspects of the agricultural economy.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Agricultural Statistics Board catalog (annual listing of reports available by subscription issued by Agricultural Statistics Board), no charge.

**Regional or Local Office:**

Consult Appendix IV for addresses of National Agricultural Statistics Service State Statistical Offices.

**Headquarters Office:**

National Agricultural Statistics Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-2707. Use the same number for FTS.

Contact: R. Ronald Bosecker, Administrator.

**Web Site Address:**

<http://www.usda.gov/nass>.

**RELATED PROGRAMS:**

10.153, Market News; 10.250, Agricultural and Rural Economic Research; 10.700, National Agricultural Library; 11.001, Census Bureau Data Products; 11.110, Manufacturing and Services; 17.003, Prices and Cost of Living Data.

**EXAMPLES OF FUNDED PROJECTS:**

PROJECTS: Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 10.960 TECHNICAL AGRICULTURAL ASSISTANCE

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE (FAS), DEPARTMENT OF AGRICULTURE (USDA)

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, 7 U.S.C. 3318, 3319a and 3291; Food and Agriculture Act of 1977, Public Law 95-113, September 29, 1977, as amended.

**OBJECTIVES:**

To identify and apply the most appropriate solutions to international agricultural problems and increase the capabilities of U.S. educational institutions and nonprofit agencies in agricultural technical assistance and research.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cost-reimbursable and cooperative agreements are used to fund projects dealing with various aspects of agricultural technical assistance. No funding is available for unsolicited proposals.

**Applicant Eligibility:**

U.S. institutions of higher learning, and public and private/nonprofit organizations whose primary purpose is agriculture, natural resources management and/or rural development (including those located in U.S. territories).

**Beneficiary Eligibility:**

Technical assistance provided through these reimbursable agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is not subject to the provisions of OMB Circular No. A-87, Cost Principles for State, Local and Indian Tribal Governments.

**Preapplication Coordination:**

Notices of fund availability and requests for proposals with information on requirements are disseminated through selected USDA agencies and land grant universities. This program is not subject to the provisions of Executive Order 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

Submit requests for proposal packages, which include specific information on requirements, to USDA/FAS/ICD/DRD (see below). This program is subject to the provisions of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. This program is not subject to the provisions of OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments.

**Award Procedure:**

Proposals are evaluated by a technical review panel, which rates the qualifications of applicants and the merit of proposal.

**Deadlines:**

Deadlines are announced with the Request for Proposals.

**Range of Approval/Disapproval Time:**

Not available.

**Appeals:**

None.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects.

Generally, cost- reimbursable and cooperative agreements are funded for variable lengths of time, depending on the technical assistance requested.

**Reports:**

None.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in a year in Federal awards will have a single or double program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Program and financial records are kept in the Department.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Reimbursable Agreements) FY 07 \$7,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$30,000 to \$600,000. Average: \$160,000.

**PROGRAM ACCOMPLISHMENTS:**

Programs currently include provision of technical assistance for expanding the use of effective program management concepts and technologies in developing countries to promote food security; guidance on natural resources management policy, procedures and techniques; trade capacity building; post-disaster and post-conflict reconstruction; and integrated approaches to international agricultural development and environmental protection.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015 and 3019.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Pettrie, USDA/FAS/International Cooperation and Development, Development Resources Division, Washington DC 20250-1089. Telephone: (202) 690-1924.

**Web Site Address:**

<http://www.fas.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of effective management concepts and methodologies for implementation of technical agricultural and environmental protection projects. Hurricane rehabilitation activities in Central America and the Caribbean, emphasizing watershed rehabilitation, food safety, and food security. Sound natural resources management, agricultural and environmental policy reform, and micro- finance for economic and rural development in developing countries. Strengthening of host government institutions in post-conflict environments.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities determined by the Foreign Agricultural Service's International Cooperation and Development (FAS/ICD) program area and its collaborators, especially the U.S. Agency for International Development (USAID). Contact FAS/ICD for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

## 10.961 SCIENTIFIC COOPERATION AND RESEARCH

(International Collaborative Research and Scientific Exchanges, Scientific Cooperation Program).

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, 7 U.S.C. 3318 and 3291.

**OBJECTIVES:**

To advance cooperation in areas of bilateral trade and market access, agriculture, animal and plant health, biotechnology, food safety and security, and sustainable natural resource management through long-term collaborative research worldwide and through short term scientific exchanges coordinated by USDA and the People's Republic of China's Ministry of Agriculture.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds under the Scientific Cooperation Research Program may be used for direct costs of conducting approved activities, such as travel for scientific exchanges and research associates, supplies, and equipment for research

projects. Funds may not be used to pay indirect costs, general communication, clerical and publication costs, tuition, expenses solely for conferences or sabbaticals, or salary for principal investigators. The Scientific Cooperation Exchange Program supports USDA's Scientific Technological Exchange Agreement with the People's Republic of China for visits of teams in which the receiving country covers all expenses for in-country travel and per diem for visiting teams. Under this agreement, teams with a maximum of 5 scientists are exchanged for up to 14 days per team. U.S. participants are responsible for their international airfare between the U.S. and China, as are Chinese teams coming to the United States.

**Applicant Eligibility:**

Proposals are accepted from U.S. scientists affiliated with a college or university, a federal or state agency, or a private, nonprofit organization. Proposals are especially encouraged from scientists early in their career, women scientists, and scientists or institutions representing under-served and under-represented communities. U.S. institutions include those in American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands.

**Beneficiary Eligibility:**

Research and scientific exchange trade and market access, agriculture, animal and plant health, biotechnology, food safety and security, and sustainable natural resource management projects benefit both U.S. and cooperating countries' college and universities, federal and state agencies, and private and nonprofit organizations and their stakeholders.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21, Cost Principles for Educational Institutions, A-122, Cost Principles for Nonprofit Organizations, and A-87, Cost Principles for State, Local and Indian Tribal Governments.

**Preapplication Coordination:**

Requests for proposals are made through Grants.gov, a government-wide internet portal for federal funding, at: <http://www.Grants.gov> under Catalog for Federal Domestic Assistance Number (CFDA) 10.961 and the USDA Foreign Agricultural Service website at: <http://www.fas.usda.gov/>. This program is not subject to the provisions of Executive Order 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at: <http://www.fas.usda.gov/icd/grants/scrp.htm> or through Grants.gov, a government-wide internet portal for federal funding, at: <http://www.Grants.gov> under Catalog for Federal Domestic Assistance Number (CFDA) 10.961. Guidelines are also available directly from the Foreign Agricultural Service's Research and Scientific Exchanges Division, USDA/FAS/ICD/RSED/SCEP, Mail Stop 1084, 1400 Independence Avenue, SW, Washington, D.C. 20250-1084. Applications may be submitted either electronically or as printed copies by mail or hand delivery by the proposal deadline. Any changes to the deadline or guidelines will be accessible on the internet through <http://www.Grants.gov> under CFDA Number 10.961 or the Foreign Agricultural Service Web site at: <http://www.fas.usda.gov/>. This program is subject to the provisions of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations and OMB Circular No. A-102, Grants and Cooperative Agreements with State and Local Governments.

**Award Procedure:**

Program staff members review and evaluate all proposals with the assistance and advice of qualified U.S. scientists. Proposals are selected according to how well they meet criteria that includes scientific or technical merit of the proposed activity; suitability of the investigators and institutions; feasibility of achieving proposal objectives; relevance to priority issues in U.S. trade and market access, agriculture, animal and plant health, biotechnology, food safety and security, and sustainable natural resource management. Proposals are funded to the extent permitted by available funds.

**Deadlines:**

Deadlines are announced with the Request for Proposals. Any changes to the deadline or guidelines will be accessible on the internet through <http://www.Grants.gov> under CFDA Number 10.961 or the Foreign Agricultural Service Web site at: <http://www.fas.usda.gov/>.

**Range of Approval/Disapproval Time:**

Award and decline letters are expected to be sent to the U.S. Principal Investigators within 60 to 150 days.

**Appeals:**

None.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

The Scientific Cooperation Exchange Program with the People's Republic of China operates under a receiving side pays arrangement with the People's Republic of China. U.S. program participants, however, are responsible for their international airfare. For long-term collaborative research projects under the Scientific Cooperation Research Program, participating U.S. institutions are

expected to share a portion of project costs or arrange supplemental funding from other sources. These programs have no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Short-term exchange visits with the People's Republic of China are limited to 2 to 4 weeks. Long-term research project agreements range from 1 to 3 years, with funds provided annually.

**Reports:**

Short-term exchange visits require trip reports. Long-term research projects require technical annual progress and final research reports. Financial reports are also required.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in a year in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Cooperative Agreements and Direct Payments) FY 07 \$830,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$5,000 to \$45,000. Average: \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

The global Scientific Cooperation Research Program, reflecting USDA and Foreign Agricultural Service priorities, has assisted U.S. scientists cooperating in 356 projects with partners in 85 countries to find innovative ways to help solve marketing and trade, food security, sustainable agriculture, and natural resource management problems of mutual interest since 1982. The U.S. Department of Agriculture and the Ministry of Agriculture of China for 27 years have worked under the umbrella of the U.S.-China Science and Technology Cooperation Agreement. Jointly, we have advanced cooperation in areas that include food safety and security, agriculture, animal and plant health, bilateral trade and market access, biotechnology, and sustainable natural resource management. More than 1,700 American and Chinese scientists have not only exchanged technical knowledge, but built relationships that have helped foster political and economic collaboration, including trade. Each year, an equal number of teams are selected from each country to initiate linkages for long-term collaboration in the other country. 1 and subtropical climates where babesiosis is endemic. Without vaccination in some form, life expectancy of exported cattle is one to three months. New Mexico State University, an Hispanic Serving Institution, collaborated with Mexican scientists on research assessing the impact of insecticide use on target and non-target natural enemies of cotton. Iowa State University researchers are working with extension workers to implement results of collaborative research with New Zealand to reduce the use of stored feed through grazing corn crop residues which could save cattle producers in Iowa alone over \$140 million each year. USDA's Natural Resources Conservation Service and Agricultural Research Service continues collaborative research in Mongolia to collect forage germplasm for preservation and use in the U.S. Similar research in China led to the participation of American Indian Tribal Colleges in Montana in a scientific exchange with China which emphasized the use of indigenous and traditional plants in restoration ecology. The University of California teamed with Korea's Rural Economic Institute to identify likely effects of the reductions in trade barriers to US agricultural exports of high value products such as beef, citrus, almonds and walnuts to Korea.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 3015, 3016, and 3019.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Owens, Director, USDA/FAS/International Cooperation and Development, Research and Scientific Exchanges Division, Washington DC 20250-1084. Telephone: (202) 690-4872.

**Web Site Address:**

<http://www.fas.usda.gov/icd/grants/scrp.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal years 2004 and 2005, 70 percent of the scientific exchange teams under the Scientific Cooperation Exchange Program with the People's Republic of China (SCEP) addressed critical agricultural market and trade-related concerns of both countries. Teams addressed food safety, the development and application of biotechnology, product development, and sanitary and phytosanitary issues. Priorities of other exchange teams included environmental and food security

problems. The 22 scientific exchanges of mutual importance selected for 2006 include food safety, animal disease eradication and control, and agricultural policy. Projects under the worldwide Scientific Cooperation Research Program collaborate with a diverse group of U.S. institutions building long-lasting international research partnerships that remove technical trade barriers to agricultural, forest, and fish products. Trade-related research projects include the safe and appropriate use of biotechnology, and address the sanitary and phytosanitary issues of food safety and animal and plant health such as avian influenza, foot and mouth disease, and soybean rust. They also develop new and improved agricultural products such as biofuels and more nutritious foods. and other products using biotechnology. Researchers are introducing into legumes drought tolerance traits to help reduce aflatoxin contamination, aid in water management and reduce irrigation costs.

**CRITERIA FOR SELECTING PROPOSALS:**

Within the guidelines established for the Scientific Cooperation and Research Program, proposals are evaluated on the overall scientific or technical merit of the proposed activity; suitability of the investigators and institutions; feasibility of achieving proposal objectives; relevance to priority issues in U.S. food, agriculture and the environment; and potential for furthering international cooperation.

**10.962 COCHRAN FELLOWSHIP PROGRAM-  
INTERNATIONAL TRAINING-FOREIGN PARTICIPANT**

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, 7 U.S.C. 3291; Food Security Act of 1985, as amended, Public Law 99-198.

**OBJECTIVES:**

To provide high quality training resulting in knowledge and skills that will assist eligible countries meet the food needs of their domestic populations; and to strengthen and enhance trade linkages between eligible countries and agricultural interests in the United States.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposals. Cochran Program funds are used for projects involved with international training activities, including course development and/or evaluation.

**Applicant Eligibility:**

The Cochran Program solicits proposals from U.S. institutions of higher education, nonprofit organizations and U.S. agricultural trade and market development associations.

**Beneficiary Eligibility:**

Technical assistance provided through these agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

None. This program is subject to the provisions of OMB Circular Nos. A-21 and A-122. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No funding is available for unsolicited proposals. The Cochran Program solicits proposals from U.S. institutions of higher education, nonprofit organizations and U.S. agricultural trade and market development associations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications solicited by the Cochran Program should include a scope of work, budget, time frame and expected results. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

All proposals are evaluated by technical specialists, which rate the qualifications of applicants and merits of the proposals.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects.

**Reports:**

Training evaluation reports may be required.

**Audits:**

In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Government, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audits requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Program and financial records are kept in the Department.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Reimbursable Agreements) FY 07 \$1,500,000; FY 08 est \$1,200,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,000 to \$206,000 per project. Average: \$19,000.

**PROGRAM ACCOMPLISHMENTS:**

This program currently includes short term agricultural and trade-related training programs for senior and mid-level specialists and administrators in such technical areas as food safety, biotechnology, sanitary and phytosanitary issues, agribusiness development and marketing. The program also strengthens local capacities in such commodity areas as dairy, livestock, poultry, horticultural products, grains, feeds and consumer ready products. The Cochran Fellowship Program trained 551 Fellows in 67 countries in FY06 and 706 Fellows in 70 countries in FY07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynne Reich, FAS\Office of Capacity Building and Development, Cochran Fellowship Program, Department of Agriculture, Washington DC 20250-1031. Telephone: (202) 690-0880.

**Web Site Address:**

<http://www.fas.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Short-term training in such areas as pest risk assessment, meat and poultry inspection, food safety control methods and regulatory systems, organic certification, HACCP, veterinary epidemiology, and dairy herd management.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development(FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.994 PEANUT QUOTA BUYOUT PROGRAM**

(PQB)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002 (2002 Farm Bill), Public Law 107-171, Section 1309, enacted May 13, 2002.

**OBJECTIVES:**

To terminate the marketing quota program for peanuts and offer compensation to the peanut quota holders for losses in quota asset value. The 2002 Farm Bill repeals part IV of subtitle B of Title III of the Agricultural Adjustment Act of 1938, thereby ending the quota system.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

A peanut producer who owned a farm and was eligible for a permanent peanut quota for the 2002 through 2006 crop years.

**Beneficiary Eligibility:**

Peanut quota holders.

**Credentials/Documentation:**

The Secretary shall consider a person to be an eligible peanut quota holder if the person, as of May 13,2002, owned a farm that, also as of May 13, 2002, was eligible for a permanent peanut quota under section 358-1(b) of the Agricultural Adjustment Act of 1938 (7 U.S.C. 1358-1(b)), irrespective of temporary leases, transfers of quotas for seed, or quotas for experimental purposes. If there was a written contract for the purchase of all or a portion of a farm described above, as



of May 13, 2002, and the parties to the sale are unable to agree to the disposition of eligibility for payments, the Secretary, taking into account any incomplete permanent transfer of quota that has otherwise been agreed to, shall provide for the equitable division of the payments among the parties by adjusting the determination of who is the eligible peanut quota holder with respect to particular pounds of the quota. If the Secretary determines that there was in existence, as of May 13, 2002, an agreement for the permanent transfer of quota, but that the transfer was not completed by that date, the Secretary shall consider the peanut quota holder to be the party to the agreement who, as of that date, was the owner of the farm to which the quota was to be transferred. A person that owns a farm with a peanut poundage quota which is protected under a conservation reserve program contract entered into under section 1231 of the Food Security Act of 1985 (16 U.S.C. 3831) shall be considered to be an eligible quota holder with respect to the protected poundage.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants contact their local county Farm Service Agency Office or U.S. Department of Agriculture Service Center for sign-up information. The signup period for PQB benefits was announced as beginning September 03, 2002, and ending November 22, 2002. Because of heavy workloads in County Farm Service Agency Offices, it was difficult to enroll all eligible quota holders by November 22, 2002. Notice DCP-55 was released to inform State and County Farm Service Agency Offices that the final date for signup for PQB was extended to January 15, 2003.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

1 to 30 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The amount of payment for a fiscal year to an eligible peanut quota holder under a contract shall be equal to the product obtained by multiplying (1) \$0.11 per pound by (2) the number of pounds of quota with respect to which the person qualifies as a peanut quota holder. The provisions of section 8(g) of the Soil Conservation and Domestic Allotment Act (16 U.S.C. 590h(g)), relating to assignment of payments, shall apply to the payments made under the contracts. A person making an assignment of the payment, or the assignee, shall provide the Secretary with notice, in such manner as the Secretary may require, of any assignment made.

**Length and Time Phasing of Assistance:**

The Secretary shall make payments under the contracts during fiscal years 2002 through 2006. The payments required under the contracts shall be provided in 5 equal installments not later than September 30 of each fiscal year 2002 through 2006. At the request of an eligible peanut quota holder entitled to payment under a contract, the Secretary shall provide the entire payment amount for the 5 fiscal years in a single lump sum during the fiscal year specified by the eligible peanut quota holder.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, U.S. Department of Agriculture.

**Records:**

Peanut quota holders or any other individual or entity receiving payment for PQB shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payment was received.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The eligible quota peanut holder is entitled to a payment of \$0.11 per pound or \$220 per ton. The eligible quota holder is entitled to the number of pounds of quota with respect to which the person qualifies under the 1938 Act taken in conjunction with other factors such as quota transfers. Total quota pounds cannot exceed 2001 crop year quota.

**PROGRAM ACCOMPLISHMENTS:**

None. This is a new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Farm Security and Rural

Investment Act of 2002, Public Law 107-171, Section 1309, enacted May 13, 2002.

**Regional or Local Office:**

Farm Service Agency State Offices can inform applicants of county office locations where applicants may sign up.

**Headquarters Office:**

U.S. Department of Agriculture, Farm Service Agency, Production Emergency and Compliance Division, Washington, DC 20250.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance subject to the national payment factor. Applications are non-competitive.

## 10.995 HARD WHITE WHEAT INCENTIVE PROGRAM

(HWW)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

Section 1616 of The Agricultural Assistance Act of 2002, Public Law 107-171.

**OBJECTIVES:**

The purpose of this program is to increase the production of both Spring and Winter varieties of hard white wheat during the 2003 through 2005 crop years.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

To be eligible to receive the certified seed incentive payment, a producer must (1) Submit a complete application during the application period; (2) Submit a receipt for the purchase of certified seed to FSA. To be eligible to receive the production incentive payment, a producer must (1) Submit a complete application during the application period; (2) Produce hard white wheat of the quality required under Sec. 1413.106; (3) Have an interested buyer with the intent to use the wheat for all purposes except for feed use.

**Beneficiary Eligibility:**

Producers of hard white wheat.

**Credentials/Documentation:**

The applicant must certify to the total number and location of acres planted to hard white wheat and the number of eligible bushels sold. Applicants must also provide a settlement sheet, to Farm Service Agency (FSA) upon disposal of the production certified to on the application. Each applicant for a certified seed incentive payment must submit an acceptable seed receipt for the certified seed to FSA, and certify to the number and location of acres planted with certified seed. Producers requesting benefits under this part must certify to the accuracy and truthfulness of the information provided in their application. All information provided is subject to verification by FSA.

**Preapplication Coordination:**

There is no preapplication coordination related to this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Signup for the Hard White Wheat Incentive Program shall be conducted by CCC for each of the 2003 through 2005 crop years during the application period announced by the Deputy Administrator. Applications are available from any county FSA office. Applicants must submit a complete application to FSA during the application period. The producer shall submit one application for all farms within in a particular county.

**Award Procedure:**

None.

**Deadlines:**

Application period is announced by the Deputy Administrator. Applicants must submit a complete application to FSA during the application period.

**Range of Approval/Disapproval Time:**

1 to 30 days.

**Appeals:**

Any producer who is dissatisfied with a determination made pursuant to this part may request reconsideration or appeal such determination in accordance with parts 11 and 780 of 7 U.S.C. 7999; 15 U.S.C. 714b and 714c.

**Renewals:**

None.

**Formula and Matching Requirements:**

Payment for the production incentive shall be the product of the bushels determined in accordance with Sec. 1413.108 times \$0.20. Payment for the certified hard white wheat planting incentive shall be the product of the number of acres certified on the application times \$2.00 per acre. The maximum hard

white wheat acreage and production for which payments may be issued for the 2003 through 2005 crop year is to total 2,000,000 acres, or 120,000 bushels, whichever is greater. The certified seed incentive may be discontinued, as determined by the Deputy Administrator, in any year sufficient funds are determined to be unavailable.

**Length and Time Phasing of Assistance:**

Payment is made by check or direct deposit after determining applicant eligibility.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, Department of Agriculture.

**Records:**

Producers of hard white wheat or any other individual or entity receiving payments for this program shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payments were made.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available at this time.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 U.S.C. 7999; 15 U.S.C. 714b and 714c. HWW Fact Sheet may be located online at <http://www.ceris.purdue.edu/fedweb/0302/03/0000.html>.

**Regional or Local Office:**

FSA state offices can inform applicants of county office locations where applicants may apply for assistance.

**Headquarters Office:**

U.S. Department of Agriculture, Farm Service Agency, Production Emergency and Compliance Division, 1400 Independence Ave., SW., Washington, DC 20250-0512. Telephone: (202) 720-7641.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.051, Commodity Loans and Loan Deficiency Payments.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers meeting eligibility requirements may receive assistance subject to the national payment factor. Applications are non-competitive.

## 10.999 LONG TERM STANDING AGREEMENTS FOR STORAGE, TRANSPORTATION AND LEASE

(Farm Service Agency)

**FEDERAL AGENCY:**

FARM SERVICE AGENCY

**AUTHORIZATION:**

Public Law 107-347.

**OBJECTIVES:**

Provide storage, transportation, and lease for wheat, grain and other commodities in support of Commodity Credit Corporation (CCC) price supports. FSA State and County Office lease agreements. This CFDA program is being used to report Non FAR (Federal Acquisition Register) lease, storage, transportation, and FFIS (Foundation Financial Information System) Non FPDS-NG (Federal Procurement Data System-Next Generation) lease agreements along with processing fees and bartering values. They are long standing agreements (contracts) with warehouses and transportation companies to store and transport grain and processed commodities, State and county office lease agreements, commodity processing fees and bartering values.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The payments provide for the storage, transportation, and leasing for wheat, grain and other commodities during the designated CCC price support period of activity. Payments may go to private entities in addition to State and local government's for STO/CTY lease agreements.

**Applicant Eligibility:**

Approved and certified, crop storage facilities, transportation companies, and State and local governments. Payments may go to private entities in addition to State and local governments for STO/CTY lease agreements.

**Beneficiary Eligibility:**

Farmers and producers whose crops are eligible for price supports through CCC. State, county, and local governments for Storage and lease agreements.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Upon request of Farm Service Agency, proposals are submitted to local county Farm Service Agency Office or Department of Agriculture Service Centers.

**Award Procedure:**

Farm Service Agency considers the proposals received, evaluates the qualifications of the proposal.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Determined by local FSA offices.

**Reports:**

None.

**Audits:**

Recipients under this program are subject to audit by the Office of the Regional Inspector General, Department of Agriculture.

**Records:**

Any individual or entity receiving payment under this program shall maintain and retain financial books, records, supporting documents, and all other records pertinent to the award for at least three years, following the end of the calendar year in which payment was received.

**Account Identification:**

12-2900-0-1-352; 12-1336-0-1-351; 12-4336-0-3-999; 12-0600-0-1-351.

**Obligations:**

(Direct Payments) FY 07 \$1,774,995,367; FY 08 est \$6,606,532.07; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural storage, transportation and leasers in the county.

**Regional or Local Office:**

Farm Service Agency state offices can inform applicants of county locations where applicants may sign up.

**Headquarters Office:**

Department of Agriculture, Farm Service Agency, 1400 Independence Avenue, S.W., Washington, DC 20250-0540.

**Web Site Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility requirements may receive assistance payments subject to the national payment factor. Applications are non-competitive.

# DEPARTMENT OF COMMERCE

## 11.001 CENSUS BUREAU DATA PRODUCTS

(Census Bureau Publications, CD-ROMs, DVDs, Online (Internet), and Other Media)

### FEDERAL AGENCY:

CENSUS BUREAU, DEPARTMENT OF COMMERCE

### AUTHORIZATION:

sssAct of August 31, 1954, Public Law 83-740.

### OBJECTIVES:

To provide statistical results of censuses, surveys, and other programs on the Internet, in printed reports, floppy discs, CD-ROMs, DVDs and online, and to provide maps showing area boundaries and codes.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Statistical products are used by Federal, State, and local agencies, businesses, industries, educational institutions, and the general public. Data are available for many types of geographic areas from a variety of programs: (1) The censuses of population and housing; American Community Survey, retail trade; wholesale trade; service industries; construction industries; transportation, communications, and utilities; manufactures; mineral industries; financial, insurance, and real estate industries; and governments; (2) periodic and special surveys covering the preceding subjects; (3) population estimates and projections programs; and (4) foreign trade statistics program. Also available are statistical compendia, directories, indexes, catalogs, and guides to statistical data. Restrictions: Census laws guarantee the confidentiality of data concerning individual persons, households, and business establishments.

### Applicant Eligibility:

Census Bureau products are available for review and for purchase by all interested persons.

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Not applicable.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), audits of states, local governments, and Nonprofit organizations. Nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

None.

### Account Identification:

13-0450-0-1-376; 13-0401-0-1-376.

### Obligations:

(Salaries and Expenses) FY 07 \$275,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

The Customer Services Center, Marketing Services Office, received orders for various data products (namely, DVDs, CD-ROM and print on demand reports) in fiscal year 2005. Also, substantial amounts of data were disseminated online. The Census Bureau's Internet site continued to expand its data offerings in fiscal year 2005. (Internet address: <http://www.census.gov/>). Customers may now order Census Bureau products online and pay for them using all major credit

cards or electronic checks.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The Census Bureau's Customer Services Center maintains an online sales catalog listing all data products available for sale. The Center issues the Census Product Update, a biweekly email and online newsletter to customers at no charge; please contact Customer Services (301) 763-INFO (4636) for ordering information, or check "Catalog" on the Internet site(<http://www.census.gov>).

### Regional or Local Office:

See list of Department of Commerce District Offices, and 12 Bureau of the Census Regional Offices at <http://www.census.gov/field/www/>.

### Headquarters Office:

Customer Services Center, Marketing Services Office, U.S. Census Bureau, Washington, DC 20233. Telephone: (301) 763- INFO (4636). Information on Census Bureau training opportunities is available at: <http://www.census.gov/mso/www/training/index.htm>. Additional information about regional events and meetings and conferences in which the Census Bureau will participate is available at: <http://www.census.gov/cgi-bin/mso/cencal/>.

### Web Site Address:

<http://www.census.gov> .

### RELATED PROGRAMS:

10.153, Market News; 11.002, Census Customer Services; 11.003, Census Geography; 11.004, Census Intergovernmental Services; 11.005, Census Special Tabulations and Services; 11.025, Measures and Analyses of the U.S. Economy; 17.002, Labor Force Statistics.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 11.002 CENSUS CUSTOMER SERVICES

### FEDERAL AGENCY:

CENSUS BUREAU, DEPARTMENT OF COMMERCE

### AUTHORIZATION:

Act of August 31, 1954, Public Law 83-740.

### OBJECTIVES:

To assist census data users in the access to and use of published and unpublished data through information provided in newsletters, on-line catalogs, conferences and training courses; design new informational and data products to meet user needs; develop user-oriented educational and training materials; provide assistance for locally sponsored conferences or workshops; assist customers with the selection of appropriate products; take and fulfill orders from customers; and improve dissemination of statistical data to data users.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling; Dissemination of Technical Information; Training.

### USES AND USE RESTRICTIONS:

(1) Assistance for locally sponsored conferences or workshops on the censuses and other Census Bureau programs--arrangements must be mutually agreeable; (2) consultation on problems associated with using Census Bureau products; and (3) descriptive reports, brochures, and Internet-site information (address: <http://www.census.gov/>) concerning Census Bureau programs, products, and their uses.

### Applicant Eligibility:

Materials and consultation at the Census Bureau are available to any requester. Officials of Federal, State, and Local Governments, universities, community organizations, and the private sector are eligible for Census Bureau-sponsored data user training; there may be a nominal fee. Also, see information about State Data Centers presented under program 11.004, Census Intergovernmental Services, in the Catalog, and at (<http://www.census.gov/sdc/www/>).

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

By written request.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.



**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations." Nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-4512-0-1-376.

**Obligations:**

FY 07 \$66,700; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Published biweekly newsletters via e-mail and the Internet for the public. Conducted occasional seminars on Census and other statistical resources, and specialized workshops and training courses on Census 2000 programs and products, Economic Census activities, American Community Survey programs and products and other subjects. Both Census headquarters and regional office staff participated in such conferences and workshops. Publication of guides, pamphlets, and other reference material and sale of data products.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publication order forms for reports on data files resulting from census and special surveys, no charge. Selected informational publications: Census Product Update (biweekly online and e-mailed newsletter), no charge; information about training courses, no charge; online electronic sales catalog site. Please contact the Customer Services Center (301) 763-4636 for ordering information, or check "Catalog" on the Internet site (<http://www.census.gov>).

**Regional or Local Office:**

See list of 12 Census Bureau Regional Offices at [www.census.gov/field/www](http://www.census.gov/field/www).

**Headquarters Office:**

For information about training opportunities, go to <http://www.census.gov/mso/www/training/index.htm> or contact the Marketing Services Office, Census Bureau, Washington, DC 20233. Telephone: 301-763-4094. For free materials and ordering information for priced products, please contact: Customer Services Center, Marketing Services Office, Census Bureau, Washington, DC 20233. Telephone: (301) 763-INFO (4636).

**Web Site Address:**

<http://www.census.gov>.

**RELATED PROGRAMS:**

11.003, Census Geography; 11.004, Census Intergovernmental Services; 11.005, Census Special Tabulations and Services.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.003 CENSUS GEOGRAPHY**

(Census Mapping and Statistical Areas)

**FEDERAL AGENCY:**

CENSUS BUREAU, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Act of August 31, 1954, Public Law 83-740, 13 U.S.C. 8.

**OBJECTIVES:**

To provide a computer generated set of maps for use in conducting censuses and surveys and for showing their results geographically; determine names and current boundaries of selected statistical areas; show these entities on a variety of maps; develop geographic code schemes; develop computer files of area measurements, geographic boundaries, and map features with address ranges.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The U.S. Census Bureau prepares base maps that are used in the planning and conduct of its various censuses and surveys. The Census Bureau also prepares for publication detailed maps showing States and State equivalents (i.e., the District of Columbia, Puerto Rico, and the several U.S. territories and possessions), counties and county equivalents, Congressional districts, county subdivisions, places, American Indian reservations, urbanized areas, metropolitan areas, census tracts, block-numbered areas, blocks, and other geographic units. Some of these maps show roads and other physical features,

others show only area outlines and related identifiers. The Census Bureau also issues U.S. maps showing boundaries (e.g., States and metropolitan areas) and sometimes data sets of maps. For the 2000 Decennial Census, an automated geographic data base, called the Topologically Integrated Geographic Encoding and Referencing (TIGER) system was used to generate maps, and other geographic products, including digital geospatial data files (TIGER/Line files). In addition, the Census Bureau, in conjunction with State, local and tribal governments, maintains records of changes in legally-defined areas, and delimits the boundaries of Census-defined statistical areas for use in the next Decennial Census, and develops geographic code systems that are used in the electronic data processing of the information.

**Applicant Eligibility:**

Interested persons, organizations, or government agencies.

**Beneficiary Eligibility:**

Interested persons, organizations, or government agencies.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By written request.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), audits of states, local governments, and non-profit organizations, nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-0450-0-1-376.

**Obligations:**

FY 07 \$40,210,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable. The Census Bureau is only an "information source" and not a fund granting agency; i.e., our assistance is limited to helping people understand what data are available to use in their analysis.

**PROGRAM ACCOMPLISHMENTS:**

The Census Bureau maintains the MAF/TIGER data bases and related applications software to support the various censuses and household surveys managed by the Census Bureau with geographic products including geographic files and maps. Digital geospatial data, called TIGER/Line files, are available for the entire U.S. and its possessions. TIGER/Line files are available for the whole country from the Census Bureau's web site or on DVD. Additionally the MAF/TIGER data bases serve as the mapping base for many different automated, printed, and plotted map types required by the Census Bureau's programs. The Census Bureau's Internet site (address: <http://www.census.gov/>) includes mapping features and data displayed on maps, and PDF versions of the Census 2000 maps designed to be used with the data tabulations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Census Catalog is available off the Census Bureau's homepage at <https://censuscatalog.mso.census.gov/esales/start.swe>. Please contact Customer Services, (301) 763-INFO (3646) for additional ordering information. Geographic information is available at <http://www.census.gov/geo/www/index.html>.

**Regional or Local Office:**

See list of 12 Bureau of the Census Regional Offices listed in Appendix IV of the Catalog, or [www.census.gov/field/www](http://www.census.gov/field/www).

**Headquarters Office:**

Geography Division, U.S. Census Bureau, Department of Commerce, Washington, DC 20233-7400. Telephone: (301) 763-1128 or e-mail: [geography@geo.census.gov](mailto:geography@geo.census.gov). For more information on maps and other geographic products, contact Customer Services, U.S. Census Bureau,

Washington, DC 20233. Telephone: (301) 763-INFO (3646). Published maps are generally sold by Superintendent of Documents. Unpublished maps are sold by Customer Services.

**Web Site Address:**

<http://www.census.gov>.

**RELATED PROGRAMS:**

11.001, Census Bureau Data Products; 11.002, Census Customer Services; 11.004, Census Intergovernmental Services; 11.005, Census Special Tabulations and Services.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.004 CENSUS INTERGOVERNMENTAL SERVICES

(Intergovernmental Services Program)

**FEDERAL AGENCY:**

CENSUS BUREAU, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Act of August 31, 1954, Public Law 83-740, 13 U.S.C. 8, 31 U.S.C. 686.

**OBJECTIVES:**

To provide technical and informational assistance to State and local governments.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Statistical, technical, and informational assistance provided to Federal, State, and local governments includes the following: (1) Technical assistance on methods of making population estimates and projections; (2) consultation services available to local officials for the planning and conducting of special surveys; (3) special censuses taken at the request and expense of local communities; (4) special surveys conducted on a reimbursable basis; and (5) assistance to States in the establishment and operation of State Data Centers and Business and Industry Data Centers to improve access to Census Bureau data by State and local agencies and other data users.

**Applicant Eligibility:**

Officials of Federal, State, local governments, and community organizations.

**Beneficiary Eligibility:**

Officials of Federal, State, local governments, and community organizations.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By written request.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-0401-0-1-376; 13-0450-0-1-376.

**Obligations:**

FY 07 \$12,639,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fifty States, the District of Columbia, and the Commonwealth of Puerto Rico are

officially participating in the Federal-State Cooperative Program for the preparation and publication of county population estimates. Currently 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands are participating in the State Data Center Program, and many are also in the Business and Industry Data Center (BIDC) Program. Over 1,800 state and local governmental agencies, universities and other organizations are affiliated with the programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(1) Series P-25, Population Estimates and Projections, price varies; (2) Federal Special Censuses (Form SC-1), no charge; (3) Data Center Address List, <http://www.census.gov/sdc/www/sdctx.html>; (4) Census Catalog and Guide is available on the Web site and on CD-ROM. Please call Customer Services (301) 457-4100 for ordering information.

**Regional or Local Office:**

See list of 12 Bureau of the Census Regional Offices and Department of Commerce District Offices listed in Appendix IV of the Catalog, or <http://www.census.gov/field/www/>.

**Headquarters Office:**

For special censuses, Office of Special Censuses, telephone: (301) 763-1429, FTS is not available; for population estimates and projections, Population Division, telephone: (301) 763-2422, FTS is not available; and for State Data Center and BIDC Programs, Customer Liaison Office Staff, telephone: (301) 763-1305, FTS is not available. Mailing address: Census Bureau, Washington, DC 20233.

**Web Site Address:**

<http://www.census.gov>.

**RELATED PROGRAMS:**

11.001, Census Bureau Data Products; 11.002, Census Customer Services; 11.003, Census Geography; 11.005, Census Special Tabulations and Services.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.005 CENSUS SPECIAL TABULATIONS AND SERVICES

**FEDERAL AGENCY:**

CENSUS BUREAU, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Act of August 31, 1954, Public Law 83-740, 13 U.S.C. 8; 31 U.S.C. 686, Title 13, Subchapter IV, Section 196.

**OBJECTIVES:**

To provide customized tabulations from Census Bureau records in a variety of output forms to meet users' needs, and to conduct statistical surveys and special censuses, on a reimbursable basis.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

To ensure confidentiality, information in data files and special tabulations is subject to statistical safeguards (see [www.census.gov/privacy/files/data\\_protection/002775.html](http://www.census.gov/privacy/files/data_protection/002775.html)), including requirements of the Census Bureau's Disclosure Review Board.

**Applicant Eligibility:**

Officials of federal, State, and local governments, community organizations, and private organizations, as well as individuals.

**Beneficiary Eligibility:**

Officials of federal, State, and local governments, community organizations, and private organizations, as well as individuals.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By written request.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), audits of states, local governments, and nonprofit organizations; nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-4512-0-1-376.

**Obligations:**

FY 07 est \$1,433,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, the Census Bureau conducted special surveys and prepared numerous special tabulations for data users.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Census Product Update, no charge; Census Catalog is available on the Web Site. Please contact Customer Services (301) 763-INFO (4636) for information.

**Regional or Local Office:**

See list of 12 Bureau of the Census Regional Offices at <http://www.census.gov/field/www/>.

**Headquarters Office:**

For requests for demographic and household special surveys, contact Cheryl R. Landman, Chief, Demographic Surveys Division. Telephone: (301) 763-3773. For requests for special censuses contact Mike Stump, Office of Special Censuses. Telephone: (301) 763-1429. For requests for economic special surveys contact Shirin A. Ahmed, Chief, Economic Planning and Coordination Division, Census Bureau, Department of Commerce, Washington, DC 20233. Telephone: (301) 763-2558. For special tabulations (decennial censuses), contact Linda Showalter, Population Division. Telephone: (301) 763-2429. For special tabulations (housing and demographic surveys), contact Caroline Carbaugh, Chief, Survey Processing Branch, Housing and Household Economic Statistics Division. Telephone: (301) 763-3204. For special tabulations (American Community Survey), contact Kai Wu, American Community Survey Offices. Telephone: (301) 763-2626. To arrange for other special tabulations, write to the Director, U.S. Census Bureau, Washington, DC 20233.

**Web Site Address:**

<http://www.census.gov>.

**RELATED PROGRAMS:**

11.001, Census Bureau Data Products; 11.002, Census Customer Services; 11.003, Census Geography; 11.004, Census Intergovernmental Services; 11.110, Manufacturing and Services; 17.002, Labor Force Statistics.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.006 PERSONAL CENSUS SEARCH**

(Age Search)

**FEDERAL AGENCY:**

CENSUS BUREAU, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Act of August 31, 1954, Public Law 83-740, 13 U.S.C. 8.

**OBJECTIVES:**

To retrieve personal information from decennial records and provide an official census transcript to qualified individuals for proof of age, citizenship, family relationships, or satisfy other situations where a birth certificate is required but not available.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Information on age or citizenship may be required: (1) To qualify for government programs (such as Medicare, Social Security retirement, old age benefits, or other pensions); (2) as proof of citizenship when required (for example, in obtaining a passport); (3) when needed for employment purposes; (4) to qualify for rights of inheritance as a beneficiary; and (5) as a generally acceptable proof of age or relationship for annuities, other rights, or benefits to which one may be entitled. A fee is required for each age search application, whether the applicant's record is found or is not found.

**Applicant Eligibility:**

Personal information from census records are confidential and may be furnished only upon written request of the persons to whom it relates or, for a proper purpose, to a legal representative of an estate. Information regarding a child who has not reached legal age may be obtained upon the written request of either parent. For records of a deceased person, application must be signed by: (1) A

blood relative in the immediate family; (2) the surviving wife or husband; (3) a beneficiary; or (4) the administrator or executor of the estate. In all such cases, a certified copy of the death certificate must be furnished as well as a certified copy of the court order naming the legal representative or legal evidence of the beneficiary's relationship.

**Beneficiary Eligibility:**

Personal information from census records are confidential and may be furnished only upon written request of the persons to whom it relates or, for a proper purpose, to a legal representative of an estate. Information regarding a child who has not reached legal age may be obtained upon the written request of either parent. For records of a deceased person, application must be signed by: (1) A blood relative in the immediate family; (2) the surviving wife or husband; (3) a beneficiary; or (4) the administrator or executor of the estate. In all such cases, a certified copy of the death certificate must be furnished as well as a certified copy of the court order naming the legal representative or legal evidence of the beneficiary's relationship.

**Credentials/Documentation:**

A certified copy of the death certificate must be furnished as well as a certified copy of the court order naming the legal representative or legal evidence of the beneficiary's relationship.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application form (BC-600) can be obtained by request. When a personal census search is made, a \$65.00 fee is charged for the cost of making the search, verifying the results, and furnishing a transcript.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-4512-0-1-376.

**Obligations:**

FY 07 \$180,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Age Search Information" of Census Records, BC-600, no charge.

**Regional or Local Office:**

Jean Ann Banet, Chief, Survey Coding Section, Personal Census Search Unit, (812) 218-3046.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.census.gov/genealogy>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**11.025 MEASURES AND ANALYSES OF THE U.S. ECONOMY****FEDERAL AGENCY:**

BUREAU OF ECONOMIC ANALYSIS, ECONOMICS AND STATISTICS



**AUTHORIZATION:**

15 U.S.C. 171 et seq., Chapter 5, 1516, 22 U.S.C. 286f, 3101 et seq., Chapter 46.

**OBJECTIVES:**

The Bureau of Economic Analysis (BEA), a principal Federal statistical agency, seeks to promote a better understanding of the U.S. economy by providing the Nation with timely, relevant, and accurate economic data in an objective and cost-effective manner. BEA's national, industry, regional, and international economic accounts present basic information on key issues, such as U.S. economic growth, regional economic development, interindustry relationships, and the Nation's position in the world economy. Some of the widely used statistical measures produced by BEA include gross domestic product (GDP), personal income and outlays, corporate profits, gross state product, balance of payments, and GDP by industry. These statistics are used by Federal, state, and local governments for budget development and projections, the Federal Reserve for monetary policy, by the business sector for planning and investment purposes, and by the American public to follow and understand the performance of the Nation's economy. BEA's strategic vision is to remain the world's most respected producer of economic accounts.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The statistics produced by BEA are used in the formulation and execution of fiscal, monetary, financial, international trade, and other policies related to the major economic goals of the Nation. Businesses plan production, price, and investment programs with the aid of the information provided by BEA. This information also is essential for economic decision-making by state and local governments, labor, other economic groups, and by individuals who need a better understanding in an increasingly complex economic world. In addition, teaching and research programs at universities and research organizations rely on the information provided.

**Applicant Eligibility:**

Any business, public official, civic organization, or private citizen may request information in person, by letter, by telephone, or by E-mail.

**Beneficiary Eligibility:**

Any business, public official, civic organization, or private citizen may request information in person, by letter, by telephone, or by E-mail.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

13-1500-0-1-376.

**Obligations:**

(Salaries and expenses) FY 07 \$76,507,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Bureau of Economic Analysis (BEA) produces some of the Nation's most important economic statistics including the gross domestic product (GDP), international trade in services, personal income, gross state product, annual industry accounts, and U.S. balance of payments. During FY 2005, BEA made important improvements to the accuracy, timeliness, and relevance of the Nation's economic accounts. As a result, the Federal Reserve Board, the White House, the Congress, and Wall Street have more accurate data on such key aggregates as economic growth, profits, productivity, and inflation. Tax projections at the Federal and State and local level are based on more accurate

and up-to-date information. BEA increased the accuracy of GDP by incorporating information from the Census Bureau's new quarterly services survey and made substantial improvements to estimates of international trade in services, including incorporating the results from its own expanded quarterly surveys. BEA accelerated the release of the gross state product estimates and the 2002 benchmark input-output gross output estimates, and produced GDP-by-industry estimates on a NAICS-basis dating back to 1987. BEA upgraded its dissemination efforts by enhancing www.bea.gov with a new search engine, e-mail subscription service, new interactive applications, and a customer satisfaction survey. These efforts have been recognized with the highest rating of effective by the Office of Management and Budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BEA's estimates are available on the BEA Web site at www.bea.gov, in publications and CD-ROMs. The Survey of Current Business, BEA's monthly journal, presents summary estimates and analyses of U.S. economic activity. The Survey is available by subscription from the Superintendent of Documents, U.S. Government Printing Office (GPO): List ID SCUB, price \$63.00 per year (domestic second-class mail), \$88.20 (foreign second-class mail), or \$105.00 (domestic first-class mail); single copy price \$25.00 (domestic) or \$35.00 (foreign). Foreign airmail delivery rates are available upon request from GPO. To order using Visa, MasterCard, or a GPO deposit account, call (202) 512-1800 or fax (202) 512-2250. To order by mail, send a check payable to "Superintendent of Documents" to Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. To order on-line, go to the GPO Website at www.gpo.gov.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Public Information Office, Bureau of Economic Analysis, Department of Commerce, 1441 L St., NW., BE-53, Washington, DC 20230. Telephone: (202) 606-9900. TDD: (202) 606-5335. E-mail: webmaster@bea.gov .

**Web Site Address:**

http://www.bea.gov .

**RELATED PROGRAMS:**

11.001, Census Bureau Data Products; 11.110, Manufacturing and Services; 17.003, Prices and Cost of Living Data; 17.004, Productivity and Technology Data; 17.006, Employment Projections Data.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.026 STAT-USA: KEY BUSINESS, ECONOMIC, AND INTERNATIONAL TRADE INFORMATION**

**FEDERAL AGENCY:**

STAT-USA, ECONOMICS AND STATISTICS ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Omnibus Trade and Competitiveness Act of 1988, 15 U.S.C. 4901 et. seq., 15 U.S.C. 1527a.

**OBJECTIVES:**

STAT-USA's objective is to provide the public with access to key business, economic, and international trade information in formats that are easy to use and located in a "one-stop shop." STAT-USA(r)/Internet is a single point of access for business, economic, and trade-related information from across the Federal government. STAT-USA/Internet consists of two main databases: 1) State of the Nation (SOTN), which tracks the direction of the U.S. economy and provides a repository for statistical releases of economic indicators from a number of federal agencies; and 2) Global Business Opportunities (GLOBUS) & the National Trade Data Bank (NTDB), which includes trade leads, exchange rates, extensive market and country research, and contact databases. USA Trade(r) Online provides access to U.S. merchandise trade data, offering current and cumulative export and import data on more than 18,000 export commodities and 24,000 import commodities worldwide, and also includes port-level data. The annual historic data on USA Trade Online (UTO) are available from 1992 to the present and the monthly historical data are available from January 2002 to the present. UTO allows users to find existing and emerging export markets for products, compare specific product exports with related products, determine market share of export markets, and monitor trends in specific products, markets, and countries. EuroTrade Online(r) offers detailed and timely trade data straight from the European Commission's Commerce Extérieur database, Comext. The official statistics for the European Union (EU), EuroTrade Online, documents import and export data on a monthly basis at the 8-digit level of industry detail for the 25 EU member countries. Syndicate USA is similar to RSS (Really Simple Syndication) but more sophisticated and capable. This allows organizations to target subsets of STAT-USA's vast inventory of information and have this information pushed to them within minutes of the actual release. STAT-USA Paid Training is the newest service of STAT-USA. The training sessions cover the basics of STAT-USA/Internet and USA Trade Online and then delves

deeper into the functionality of both services, complete with practice exercises. The classes can be tailored to specific interests. Statistical Abstract of the United States, from the U.S. Census Bureau, is one of the most widely used reference tools in the country and provides a wealth of data to help identify trends that could affect businesses. The CD-ROM version takes those statistics one-step further, allowing the customer to download and manipulate the tables to meet their needs.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Federal, State and local agencies, businesses, industries, educational institutions and the general public use this statistical information. STAT-USA publishes over 100,000 documents, which are updated daily, weekly, monthly, quarterly and annually. Electronic re-dissemination of files or data from the STAT-USA Products is prohibited without prior approval of STAT-USA. Please contact STAT-USA for more information.

**Applicant Eligibility:**

Subscriptions to or single purchases of STAT-USA Products are available for purchase by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

13-4323-0-1-376.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

STAT-USA/Internet includes the National Trade Database (NTDB) and State of the Nation (SOTN). The GLOBUS/NTDB contains over 120 program titles, including market research, country profiles, foreign business contacts, and export "how-to" guides. Additionally, both SOTN and NTDB databases contain libraries of current and recently released information (commonly referred to as the SOTN Library and International Trade Library, respectively). In response to user demand, STAT-USA/Internet includes information from non-federal sources such as the Institute for Supply Management and Cantor/Fitzgerald, among others. Subscribers enjoy quick access to late breaking economic and trade news from the Federal Government, and can keep abreast of important release dates and opportunities. USA Trade Online, provides official U.S. export and import statistics shortly after official release through an user-friendly interface allows charting and graphing capabilities, ranking options, simple calculation, and more. The website now provides port-level data. EuroTrade Online (ETO) provides access to import and export merchandise trade for 25 major European countries. The trade data contains over 12,000 commodities and is based on 8-digit Harmonized System classification structure. Syndicate USA allows subscribers to select the most useful information in business, economics, and international trade and have it delivered to them through various electronic technologies. Paid Training helps subscribers to unleash the full potential of the STAT-USA/Internet and/or USA Trade Online websites. The training can be tailored to fit the subscriber organization's focus and interest areas. During these sessions, the subscribers gain a deeper understanding of business, trade, and economic resources from across the Federal government through a series of practical hands-on learning exercises and case studies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subscription prices are as follows: STAT-USA/Internet: Annual \$200.00, single

quarterly \$75.00; USA Trade Online: Annual \$300.00, single monthly \$75.00; EuroTrade Online: Annual \$2,900.00, single monthly \$1,015.00. Syndicate USA: A standard subscription is based on the volume of information transmitted, the frequency of the transmission and whether the information is electronically re-disseminated to external users. STAT-USA representatives will develop a price quote for an individual user or company. Training: DC Metro area: One-Day - \$350 and Two-Day - \$500; US: One-Day - \$650 and Two-Day - \$1,000; and International: One-Day - \$350 (+roundtrip air fair) and Two-Day - \$500 (+roundtrip air fair). Statistical Abstract CD-ROM: \$50 (shipment to a U.S. address), \$75 (shipped to a foreign address). For subscriptions, contact: U.S. Department of Commerce, STAT-USA; HCHB Room 4885; Washington, DC 20230. Telephone: (202) 482-1986 or 800-STAT-USA, Fax (202) 482-2164; E-mail statmail@esa.doc.gov or on the Internet http://home.stat-usa.gov.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Forrest Williams, Director, STAT-USA, U.S. Department of Commerce, HCHB Room 4885, Washington, DC 20230. Telephone: (202) 482-3429.

**Web Site Address:**

http://www.stat-usa.gov.

**RELATED PROGRAMS:**

10.153, Market News; 10.950, Agricultural Statistics Reports; 11.001, Census Bureau Data Products; 11.002, Census Customer Services; 11.025, Measures and Analyses of the U.S. Economy; 17.002, Labor Force Statistics; 17.003, Prices and Cost of Living Data; 17.004, Productivity and Technology Data; 40.001, Depository Libraries for Government Publications.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.106 REMEDIES FOR UNFAIR FOREIGN TRADE PRACTICES-ANTIDUMPING AND COUNTERVAILING DUTY INVESTIGATIONS**

**FEDERAL AGENCY:**

INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Tariff Act of 1930, as amended; Trade Agreements Act of 1979; Trade and Tariff Act of 1984; Trade Act of 1988; Uruguay Round Agreements Act, 19 U.S.C. 1339, 1516a, 1673-1673h, 1675-1677n.

**OBJECTIVES:**

To protect U.S. industry from injury by U.S. sales of foreign merchandise at less than fair value and by unfair subsidies bestowed by foreign governments.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Antidumping Duty petitions filed by domestic industries are investigated. Should the Secretary of Commerce determine that dumping has occurred, and the International Trade Commission find the dumping to cause, or threaten to cause, material injury to the competing U.S. industry, special dumping duties are assessed against imported foreign merchandise entering the U.S. at less than the foreign market price. Countervailing Duty petitions filed by domestic industries are investigated. If the Secretary of Commerce determines a countervail able subsidy is being bestowed and the International Trade Commission determines that the subsidy causes, or threatens to cause, material injury to the U.S. industry, countervailing duties are assessed on imports of subsidized merchandise from the bestowing country. Duties are intended to offset the unfair competitive effects of dumping or subsidies.

**Applicant Eligibility:**

Any interested party, as defined by Section 771 (9)(C), (D), (E), (F), or (G) of the Tariff Act of 1930, as amended, who has information that merchandise is being, or is likely to be, imported into the United States at less than fair value or is unfairly subsidized by a foreign government, may communicate such information to the Import Administration, International Trade Administration, U.S. Department of Commerce. Domestic producers or workers who support the petition must account for at least 25 percent of the domestic production of the like merchandise.

**Beneficiary Eligibility:**

Industries are eligible if they are being adversely affected by imports of like products that are the subject of a dumping or subsidy finding.

**Credentials/Documentation:**

Petitions for the imposition of antidumping duties or countervailing duties must contain: The name and address of the petitioner with pertinent documentation; the names and addresses of all other known persons in the domestic industry; the names and addresses of all known foreign firms believed to be exporting the dumped or subsidized products to the U.S.; information relating to the degree of industry support for the petition; a description of the merchandise involved; information with respect to home market or third country sales prices and/or

cost, prices and sales in the U.S.; information with respect to the alleged countervail able subsidy; and information indicating that an industry in the U.S. is being injured materially by the imports. For a more detailed description of petition requirements see 19 CFR 351.202 (b) and the website for the Petition Counseling and Analysis Unit, <http://ia.ita.doc.gov/pcp/pcp-index.html>.

**Preapplication Coordination:**

A conference with Import Administration officials is highly recommended. Both the Import Administration and the International Trade Commission have staff available to assist domestic industries in deciding whether there is sufficient evidence to file a petition for antidumping or countervailing duty investigations. The staff may also assist businesses with the filing process. For further information see the website for the Petition Counseling and Analysis Unit, <http://ia.ita.doc.gov/pcp/pcp-index.html> or the Subsidies Enforcement Office, <http://ia.ita.doc.gov/esel/index.html>. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Representatives of U.S. industries should consult 19 CFR 351.202.

**Award Procedure:**

A decision regarding the initiation of an investigation is made generally within 20 days of receipt of a proper petition. If the investigation is initiated by the Department of Commerce, a notice is published in the Federal Register. Then, generally within 45 days of receipt of a proper petition, the International Trade Commission (ITC) must determine whether there is a reasonable indication of injury to the domestic industry. If sales are subsequently found to have been made at less than fair value (dumped) or a subsidy has been bestowed, the Secretary of Commerce issues a determination to that effect. The case is then sent back to the ITC for a final determination as to whether or not the dumped or subsidized imports are causing, or are likely to cause, material injury to the industry in the United States. If the ITC determination is affirmative, the Secretary of Commerce issues an anti-dumping or countervailing duty order and special dumping or countervailing duties are assessed against that merchandise which is being sold in the United States at less than fair value or being subsidized.

**Deadlines:**

The Department of Commerce normally makes a preliminary antidumping determination in 140 to 190 days (depending on the complexity of the case) from the date of initiation of an investigation. A final determination will be due 75 or 135 days, as appropriate, after the preliminary determination. A preliminary countervailing determination normally must be published in 65 to 130 days of initiation of the investigation (depending on the complexity of the case) and a final determination is generally due within 75 days from the date of the preliminary determination.

**Range of Approval/Disapproval Time:**

All antidumping or countervailing investigations must be concluded within statutory deadlines pursuant to the Tariff Act of 1930, as amended.

**Appeals:**

See 19 U.S.C. 1516A.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

An antidumping or countervailing duty finding will be revoked after a review in the fifth year unless the Secretary of Commerce and the International Trade Commission determine that revocation would be likely to lead to a recurrence or continuation of dumping or a countervail able subsidy and injury.

**Reports:**

Not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Not applicable.

**Account Identification:**

13-1250-0-1-376.

**Obligations:**

(Operations and administration) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Antidumping and countervailing duty trade remedies have been successfully pursued by a variety of domestic industries, including producers of steel, industrial equipment, computer chips, agricultural products, textiles, chemicals, and consumer products.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Commerce Regulations, Part 351 (19 CFR 351).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Import Administration, International Trade Administration, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, DC 20230. Inquiries or requests for assistance should be directed to the Office of Policy Petition Hotline (202) 482-1255.

**Web Site Address:**

<http://ia.ita.doc.gov/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.108 COMMERCIAL SERVICE**

**FEDERAL AGENCY:**

INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418, 15 U.S.C. 473; 15 U.S.C. 1512; 15 U.S.C. 649a et seq.

**OBJECTIVES:**

Through export counseling, trade promotion, trade finance and advocacy provided by domestic international network of trade professionals, encourage export capable U.S. firms to expand their export marketing efforts or begin exporting; to assist them to identify and assess potential foreign trade contacts and market opportunities; and to facilitate their export efforts through a comprehensive use of export promotion services, including trade events and market research information.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Services include the following: (1) Information on foreign market trade opportunities; (2) export counseling for U.S. business on market identification and assessment; (3) non-financial assistance in export promotion (matchmaker missions, multi-state/catalog exhibitions, and other specialized promotions); (4) product promotions through catalog-magazine listings; (5) support to State and private sector organizers of selected domestic and foreign trade fairs and missions through international buyer shows, certified trade fairs and missions; (6) information on foreign tariffs, customs regulations and procedures, market potential in individual countries industry analyses, and other related activities; (7) foreign government- to-government advocacy and representation; (8) advice and counseling on individual foreign markets; and (9) assistance on sources of export finance available from U.S. Export Import Bank, U.S. Small Business Administration and U.S. Agency for International Development in U.S. Export Assistance Centers; (10) information on locating and evaluating prospective overseas business contacts.

**Applicant Eligibility:**

Any U.S. citizen, firm, organization, or branch of government needing information or assistance in international business matters.

**Beneficiary Eligibility:**

Any U.S. citizen, firm, organization or branch of government needing information or assistance in international business matters.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June



27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award documents.

**Records:**

None.

**Account Identification:**

13-1250-0-1-376.

**Obligations:**

(Operations and Administration) FY 07 \$237,291,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Directly contributed to the expansion of U.S. exports, particularly those of small and medium-size firms through one-on-one business counseling. Advocated on behalf of U.S. business firms in their pursuit of major foreign projects and products sales contracts. Provided trade opportunity leads, market research, Agent/Distributor Reports (ADS), International Country Profiles (ICP), Customized Market Analysis (CMA), and a variety of other marketing information products. Introduced visiting U.S. executives to end-users and other potential business partners. Assisted U.S. business firms in their participation in major foreign promotional exhibitions, trade missions, and trade delegations. Provided in-depth counseling and marketing information through, personal visits, by telephone, fax, and other correspondence to U.S. business representatives. Aggressively advocated U.S. business interests abroad. Develop E-Commerce programs to expand and expedite market entry programs for U.S. companies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418, Title II, Section 2308, 102 Stat. 1342; 15 U.S.C. 472. A Basic Guide to Exporting; Commercial News USA (CNUA); program/service literature; conditions of participation, Operations Manual, and Federal Register notices.

**Regional or Local Office:**

Export Assistance Centers (EAC): Local Department of Commerce, Commercial Services domestic field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://ita.doc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.110 MANUFACTURING AND SERVICES

**FEDERAL AGENCY:**

INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

15 U.S.C. 1512; 19 U.S.C. 1202, 2031, 2354.

**OBJECTIVES:**

To foster the competitiveness and growth of U.S. industries and promote their increased participation in international markets.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

To serve as the Federal Government source of industry-specific expertise, negotiation and enforcement of bilateral and multilateral trade agreements, and industry and trade competitive analysis; for use by the business community, Federal program managers and policy-makers.

**Applicant Eligibility:**

Any business, public official, civic organization or private citizen may request information in person, by letter, by telephone or via the Internet (<http://www.trade.gov>).

**Beneficiary Eligibility:**

Any business, public official, civic organization or private citizen may request information in person, by letter or telephone.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

None.

**Account Identification:**

13-1250-0-1-376.

**Obligations:**

(Operations and Administration) FY 07 \$47,328,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

This program included regular statistical reports; economic studies on current policy issues, such as international trade and industry competitiveness and the impact of Government regulations on industry; forecasts of industry/sector output, cost trends, and their general economic condition; information on industry structure, operations and technological developments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Periodic reports on U.S. domestic and international competitiveness, U.S. manufactures and services trade, U.S. international direct investment and other international economic topics.

**Regional or Local Office:**

Local Department of Commerce field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

International Trade Administration, Department of Commerce, 14th and Constitution Avenue, NW., Washington, DC 20230. Inquiries should be directed to Manufacturing, (202) 482-1872; Aerospace and Automotive Affairs, (202) 482-0554; Energy, Environment and Materials, (202) 482-5225; Health and Consumer Goods, (202) 482-1176; Materials and Machinery, (202) 482-0575; Technology and Electronic Commerce, (202) 482-0216; Service Industries, (202) 482-3575; Travel and Tourism Industries, (202) 482-0140; Finance, (202) 482-3277; Export Trading Company Affairs, (202) 482-5131; Industry Analysis (202) 482-5145; Advisory Analysis, (202) 482-5145; Advisory Committees, (202) 482-4501; and Planning, Coordination and Management, (202) 482-4921.

**Web Site Address:**

<http://www.export.gov>.

**RELATED PROGRAMS:**

10.153, Market News; 10.950, Agricultural Statistics Reports; 11.001, Census Bureau Data Products; 11.005, Census Special Tabulations and Services; 11.025, Measures and Analyses of the U.S. Economy; 11.800, Minority Business Enterprise Centers; 59.005, Internet-Based Technical Assistance; 59.007, 7(j) Technical Assistance; 59.026, Service Corps of Retired Executives.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.111 FOREIGN-TRADE ZONES IN THE UNITED STATES

(Foreign-Trade Zones)

**FEDERAL AGENCY:**

INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Foreign-Trade Zones (FTZ) Act of 1934, 48 Stat. 98-1003, 19 U.S.C. 81a-81u, as amended, Public Law 81-566, 64 Stat. 246; Public Law 85-791, 72 Stat. 945; Public Law 91-271, 84 Stat. 292; Public Law 96-609, 94 Stat. 3561 Section 231; Public Law 98-573, 98 Stat. 142 and 299; Public Law 99-386, 100 Stat. 823; Public Law 99-514; Public Law 100-418, 102 Stat. 1300; Public Law 100-647, 102 Stat. 3808; Public Law 100-449, 102 Stat. 1863; Public Law 101-382, 104

Stat. 706 and 710.

**OBJECTIVES:**

To help encourage domestic warehousing, manufacturing and processing activity. States and local communities use foreign-trade zones as part of their overall economic growth efforts to improve their international business service structure. In this way, FTZs contribute to the enhancement of their investment climate for commerce and industry.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Zone procedures help firms reduce customs costs and help improve a domestic operation's international competitiveness. The procedures are available at facilities designated as foreign trade zones and sub zones under the sponsorship of local public and quasi-public corporations.

**Applicant Eligibility:**

Public and private corporations as defined by the Law, and by appropriate State enabling legislation.

**Beneficiary Eligibility:**

Foreign Trade Zone's (FTZ) are required to operate under public utility principles, providing access to zone procedures on a nondiscriminatory basis to businesses and manufacturers. Zone procedures are available at any of the operating FTZ's, subject to customs requirements, a review process to determine that manufacturing activity is in the public interest, and the specific requirements of the local zone project.

**Credentials/Documentation:**

Applications contain: A cover letter, with exhibits, detailing corporation's eligibility to apply; type of authority requested; a site and facility description; project background; the need for a zone; public economic benefits; the relationship of the zone project to the overall community economic development plans; and how the project will be operated and financed. When manufacturing activity is involved, the application must also contain information on the activity, including products and components, tariff rates, benefits to the operator, industry information, international competitive factors, public benefits (e.g., employment retention/creation), and a demonstration of a net positive economic effect.

**Preapplication Coordination:**

Draft applications are recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for zone authority are submitted by eligible applicants and reviewed under the regulations of the FTZ Board. The Board (Secretaries of Commerce (Chairman), and Treasury) can approve or deny the application, or approve it with restrictions. Applications are processed for the Board by the FTZ Staff/Import Administration/International Trade Administration, U.S. Department of Commerce.

**Award Procedure:**

Upon filing of an application, after a pre-filing review, an examiner is appointed to investigate the proposal and make recommendations. Hearings are held in cases of new zones and public comments invited in all cases. When the Foreign-Trade Zones Board makes a decision an order is issued and published in the Federal Register.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Applications are usually acted upon within 10 to 12 months of filing.

**Appeals:**

A negative decision can be appealed by reapplication to the FTZ Board when warranted by evidence and circumstance.

**Renewals:**

Applicable when the Board places time constraints on the FTZs. In that event, a renewal application must be filed.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Annual reports on FTZ operations are submitted by grantees.

**Audits:**

FTZ operations are supervised and audited by the U.S. Customs Service and monitored by the Foreign-Trade Zones Board in terms of restrictions imposed by board and the general public interest mandate of the FTZ Act.

**Records:**

Each grantee is required to keep records pursuant to the FTZ Board's (15 CFR 400), and Customs regulations (19 CFR 146).

**Account Identification:**

13-1250-0-1-376.

**Obligations:**

(Operations and administration) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Board processes approximately 60 to 80 applications each year covering new general-purpose zones, sub zones, and zone expansions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Commerce Regulations, 15 CFR, Part 400 (15 CFR 400). U.S. Custom Regulations, (19 CFR Part 146), FTZ Board Guidelines (see web site below).

**Regional or Local Office:**

Commerce District Offices.

**Headquarters Office:**

Office of the Executive Secretary, Foreign- Trade Zones Board, 1401 Constitution Avenue, NW., Room FCB 4100W, Washington, DC 20230. Inquiries should be directed to Dennis Puccinelli, Executive Secretary, Foreign-Trade Zones Board. Telephone: (202) 482-2862.

**Web Site Address:**

<http://www.trade.gov/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.112 MARKET DEVELOPMENT COOPERATOR PROGRAM**

**FEDERAL AGENCY:**

INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418, Title II, Section 2303, 102 Stat. 1342, 15 U.S.C.4723.

**OBJECTIVES:**

Through the Market Development Cooperator Program (MDCP), the International Trade Administration (ITA) aims to develop, maintain and expand foreign markets for nonagricultural goods and services produced in the United States.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

A notice is published in the Federal Register soliciting applications. A more detailed Federal Funding Opportunity (FFO) notice describing the program is published at [www.export.gov/mdcp](http://www.export.gov/mdcp), where the most recent notice and the FFO are available, or from the contact listed in "Information Contacts" below. The most prominent uses and restrictions are summarized below. (1) Applicants should propose foreign market development activities that result in increased exports by U.S. firms; (2) the primary beneficiaries of project activity should be small-and medium-sized enterprises; (3) no more than \$400,000 in federal funds is available for each project; (4) the federal funds are to last for the life of the project, not to exceed three years; (5) applicant match is two for one: for each federal dollar received, applicant must match at least one dollar with cash and another dollar with cash or in-kind contribution; and (6) federal funds and the first dollar of applicant match can be used only on direct costs.

**Applicant Eligibility:**

Applicants are found to be eligible in one of three categories: (1) Nonprofit industry organizations (includes small business development centers, World Trade Centers, and 501(c)3 nonprofits such as chambers of commerce, international trade centers, port authorities, economic development organizations, and other business interest groups); (2) trade associations; and (3) State departments of trade and their regional associations (includes centers for international trade and similar entities that may fall within a university organization). The Statute stipulates that private industry firms or groups of firms may be found eligible in cases where no entity described above represents that industry. However, since the program began operating in 1993, no private firm has been able to demonstrate that an organization in one of the first three categories did not represent its interests.

**Beneficiary Eligibility:**

U.S. firms that sell non-agricultural goods or services. (While private firms benefit from MDCP project activity, as noted above, they are generally not eligible to apply for MDCP funds.)

**Credentials/Documentation:**

In order to determine eligibility, applicants should consult [www.export.gov/mdcp](http://www.export.gov/mdcp) and request an eligibility determination in writing from the MDCP Manager (see "Information Contacts"). The written request should be accompanied by the most current version of all the following documents that apply: (1) articles of incorporation; (2) charter; (3) bylaws; (4) information on types of members and membership fees; (5) Internal Revenue Service acknowledgment of non-profit status; (6) annual report; (7) audited financial statements; and (8) documentation of ties to state trade departments or their regional associations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The main body of the application should include the substance of the applicant's proposal as identified in elements (1) through (4) below. It is limited to 50 pages. Elements (5) through (7) below, as well as information which supplements elements (1) through (4) should be submitted as appendices. There is no limit to the number of pages for the appendices. The elements of the application are summarized below. (1) Executive summary of one-page that lists application essentials such as a summary of the proposal, name address, contact information, ITA offices to be involved in the proposal, budget, amount of federal funds requested, term of project, U.S. industry(s) to be promoted, and target markets; (2) background research on the market potential of U.S. products to be marketed, competition, economic situation, ability/desire of the U.S. industry to export, and the ability/desire of foreign customers to purchase U.S. products; (3) project description including a work plan, performance measures, a description of performance measurement recording and reporting, and a description of how applicant plans to incorporate partnership with ITA in its project; (4) credentials including a description of the applicant's competence and resumes of principal players; (5) budget including financial statements, a detailed description of the budget, the "Budget for Project Award Period" worksheet, and the form "Budget Information" (SF-424A); (6) other forms including SF-424, SF424B, CD- 511, and CD-346. Applicants that intend to lobby the federal government with funds included in the project budget should also submit SF-LLL. All of these forms are available at [www.export.gov/mdcp](http://www.export.gov/mdcp); (7) other appendices.

**Award Procedure:**

A selection panel of at least three senior ITA officials evaluates each MDCP application based on the following criteria: (1) Export success potential; (2) performance measurement; (3) partnership potential with ITA and compatibility with ITA priorities; (4) creativity and institutional capacity; and (5) budget, cash match, and sustainability. Each application can receive up to 20 points in each of the five categories for a total possible score of 100. Once applications are received, applicants may not revise them. Unsuccessful applicants will be notified in writing within 10 days after award decisions have been announced. Since the program began in 1993, ITA has made, on average, 7 awards per year.

**Deadlines:**

Historically, application deadlines have varied from early spring to early summer. The most recent information is posted at [www.export.gov/mdcp](http://www.export.gov/mdcp).

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

All award decisions are final. There is no appeal process.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418, Title II, Section 2303, 102 Stat. 1342, 15 U.S.C. 4723. This information on formula and matching requirements is published in the Federal Register in an annual solicitation for applications, available at [www.export.gov/mdcp](http://www.export.gov/mdcp).

**Length and Time Phasing of Assistance:**

Funds may be expended over the period of time required to complete the scope of the work, but not exceed three years from the date of the award. Assistance is released according to approved marketing plans in the Market Development Cooperator Program.

**Reports:**

Award recipients submit reports and requests as set forth below. (1) Quarterly reports: (a) progress in project activity, and (b) financial status (SF-269); (2) requests/reports as needed: (a) advance or reimbursement request (SF- 270); and (b) cash transactions reports (SF-272)(for recipients that receive award funds in advance).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507).

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub recipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for 3 years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-1250-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 07 \$2,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$10,000 to \$400,000. Average: \$298,000.

**PROGRAM ACCOMPLISHMENTS:**

On average, MDCP project activity yields 86 dollars in exports for every federal dollar invested.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants can link to Internet sources for each of the authorities cited below at [www.export.gov/mdcp](http://www.export.gov/mdcp). (1) MDCP-specific authorities and guidelines: (a) Federal Register notice soliciting applications; (b) mock application; and (c) application kit; (2) statutory authority: Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418, Title II, Section 2303, 102 Stat. 1342, 15 U.S.C. 4723. (3) regulatory/administrative guidelines: (a) costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A- 122 for nonprofit and for-profit organizations; (b) financial assistance management will be in accordance with OMB Circular No. A-110 for nonprofit organizations and 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

The MDCP is managed from the headquarters office, which should be the applicant's initial point of contact for MDCP information. In addition, applicants are encouraged to contact relevant ITA industry specialists in Washington, DC and their nearest ITA Export Assistance Center. Contact information is available at [www.export.gov/mdcp](http://www.export.gov/mdcp).

**Headquarters Office:**

MDCP Manager, Brad Hess, 14th Street and Constitution Avenue, N.W., HCHB 3215, Washington, DC 20230. Telephone: (202) 482-2969. Fax: (202) 482-5828. Organizational Reference: Department of Commerce, International Trade Administration, Trade Development, Office of Planning, Coordination and Management. Management and Planning Division.

**Web Site Address:**

<http://www.export.gov/mdcp> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of activities which applicants from prior years have found appropriate are set forth below. These are provided only for illustration. Applicants are not required to propose any of these activities: (1) foreign trade shows; (2) foreign trade missions; (3) reverse trade missions; (4) product demonstrations abroad; (5) export seminars; (6) technical seminars abroad; (7) joint product promotions with foreign partners; (8) establishment of offices abroad; (9) co-locating an office with the U.S. & Foreign Commercial Service; (10) advice to foreign standards and testing organizations; (11) training of foreign agents and distributors; and (12) creating and promoting matchmaking databases. Descriptions of the award recipients' projects are available at [www.export.gov/mdcp](http://www.export.gov/mdcp).

**CRITERIA FOR SELECTING PROPOSALS:**

Additional details on the selection criteria are published in the Federal Register and in the FFO, the annual solicitation for applications. The most recent solicitation is available at [www.export.gov/mdcp](http://www.export.gov/mdcp).

**11.113 ITA SPECIAL PROJECTS****FEDERAL AGENCY:**

INTERNATIONAL TRADE ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Department of Commerce and Related Agencies Appropriations Act of 2002, Public Law 107-77.

**OBJECTIVES:**

To assist various organizations identified by Congress to expand exports; to promote job creation through projects designed to provide small-medium sized businesses with export assistance to specified overseas markets.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is used to provide information, contracts, and research and development in shaping and implementing specific projects and programs that promote exports in various markets.

**Applicant Eligibility:**

Organizations or individuals specifically identified by Congress in agency appropriations legislation.

**Beneficiary Eligibility:**

Beneficiaries are the companies served by the organizations receiving awards, and the organizations or individuals specifically identified by Congress.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit all standard forms, project proposal and budget following the format specified by the Department of Commerce.

**Award Procedure:**



Grants result from legislation by the congress. There is no application process.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Financial and progress reports are to be submitted in accordance with the terms and conditions of the award. Financial status reports (SF-269) are submitted on a quarterly basis. Federal cash transaction reports (SF-272) are submitted for each award where funds are advanced to recipients. Performance reports are submitted on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for 3 years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-1250-0-1-376.

**Obligations:**

(Grants) FY 07 \$500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$500,000 to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

ITA grant recipients receiving continuation funding have developed new technologies and established new companies; a number of companies have reached the stage where they can attract new foreign and domestic investments. This has resulted in job creation and led to increased opportunities to export the technologies developed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, A-122 for nonprofit organizations; and 48 CFR Part 31 for-profit organizations. Grants management will be in accordance with the provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, for-profit organizations; and 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Annette Henderson, Planning and Management Division, Trade Development/OPCM, Room 3215, HCHB, Department of Commerce, Washington, DC 20230. Telephone: (202) 482-3197. Fax: (202) 482-4462.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The development of a series of programs to assist small businesses in targeting new domestic and international markets; assist new high tech start-up companies by writing business plans, locating financing for export, and conducting market research for export; research and development in the textiles and apparel industry.

**CRITERIA FOR SELECTING PROPOSALS:**

The U.S. Congress designates those entities that receive funding in annual appropriations of the Department of Commerce.

**11.150 EXPORT LICENSING SERVICE AND INFORMATION**

(Export Control) Exporter Assistance Program

**FEDERAL AGENCY:**

BUREAU OF INDUSTRY AND SECURITY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Export Administration Act of 1979, as amended, 50 U.S.C. 2401 et seq. This authority is currently extended under the International Emergency Economic Powers Act (IEEPA).

**OBJECTIVES:**

Respond to the needs of the exporting community by telephone, in person, and through seminars and other outreach efforts in order to help exporters understand and comply with the Export Administration Regulations that involve the export of certain products and technical data requiring a special export license for shipments to foreign countries.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Individuals and business firms may obtain information, training, and assistance on the interpretation of export control regulations and policies, when a validated export control license is required; and secure expeditious handling of an export application when priority action is warranted.

**Applicant Eligibility:**

Any person, firm, organization, or branch of government needing information or assistance on export control matters.

**Beneficiary Eligibility:**

Any person, firm, organization, or branch of government needing information or assistance on export control matters.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

In person, by letter or telephone.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB circular No. A133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of High Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C 7501 -7507). Commercial organization shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-0300-0-1-376.

**Obligations:**

(Operations and administration) FY 07 \$1,753,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Office of Exporter Services (OEXS) is the Bureau of Industry and Security (BIS) front line unit in providing exporter counseling and plays a major role in guiding exporters through complex licensing transactions. Through a variety of seminar programs offered at locations throughout the United States, OEXS instructs and assists new and established exporters through basic and advanced level courses. OEXS also provides specialized workshops on topics of specific interest (e.g., commercial encryption licensing, technology controls, how to classify your products, export management systems and freight forwarder

programs). In fiscal year 2005, BIS conducted 45 domestic seminars in 17 states, which were attended by over 3,318 participants. In fiscal year 2006, we anticipate over 3,200 exporters will be counseled through 45 export licensing seminars. These estimates should also apply in fiscal year 2007 as limited resources will prevent us from expanding the seminar program. Through our headquarters in Washington, DC and our Western Regional Offices in Los Angeles and San Jose, California, BIS will provide one-on-one counseling 11 hours a day through meetings, telephone counseling sessions and responses to e-mail and fax inquiries. In addition, the BIS Web site ([www.bis.doc.gov](http://www.bis.doc.gov)) provides exporters constant access to timely information and services.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Export Administration Regulations; Export Administration Bulletins; Summary of U.S. Export Regulations; Bureau of Industry and Security Annual Report; Index to the Commodity Control List; Export Management System Guidelines and Summary thereof.

#### **Regional or Local Office:**

Refer to Appendix IV of the Catalog for BIS Regional Office addresses.

#### **Headquarters Office:**

Office of Exporter Services, Outreach and Educational Services Division, Room 1099, Department of Commerce, Washington, DC 20230 or Outreach and Educational Services Division, P.O. Box 273, Washington, DC 20044. Telephone: (202) 482-4811. Western Regional Office (Newport Beach, California) 3300 Irvine Avenue, Suite 345, Newport Beach, CA 92660. Telephone: (949) 660-0144. Western Regional Office (San Jose, CA) 111 N. Market Street, 6th Floor, San Jose, CA 95113. Telephone: (408) 351-3378.

#### **Web Site Address:**

<http://www.bis.doc.gov>.

#### **RELATED PROGRAMS:**

11.108, Commercial Service.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## **11.300 INVESTMENTS FOR PUBLIC WORKS AND ECONOMIC DEVELOPMENT FACILITIES**

#### **FEDERAL AGENCY:**

ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Section 201 of the Public Works and Economic Development Act of 1965, as amended (PWEDA), (42 U.S.C. 3141).

#### **OBJECTIVES:**

The Public Works and Economic Development Program of the Economic Development Administration (EDA) is designed to enhance regional competitiveness and promote long-term economic development in regions experiencing substantial economic distress. Through the program, EDA provides Public Works investment assistance to support the construction or rehabilitation of essential public infrastructure and facilities necessary to generate or retain long-term private sector jobs and investments, attract private sector capital, and promote regional competitiveness. Grants (referred to throughout this document as investments) may be used for projects such as expanding and upgrading infrastructure to attract new industry, supporting technology-led development, redeveloping brownfield sites, promoting eco-industrial development, and supporting heritage preservation development investments such as those promoted by the Executive Order on Preserve America.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Eligible activities include the acquisition or development of public land and improvements for use in public works, public services, or development facilities. Other appropriate activities include acquisition, design and engineering, construction, rehabilitation, alteration, expansion, or improvement of publicly-owned and operated development facilities, including related machinery and equipment. Characteristic projects include investments in facilities such as water and sewer systems, industrial access roads, industrial and business parks, port facilities, railroad sidings, distance learning facilities, skill-training facilities, business incubator facilities, brownfield redevelopment, eco-industrial facilities, and telecommunications and broadband infrastructure improvements necessary for business creation, retention and expansion. A project must be located in or impact a region that, on the date EDA receives an application for investment assistance, satisfies one or more of the economic distress criteria set forth in 13 CFR 301.3(a). In addition, the project must fulfill a pressing need of the region and must: (a) improve the opportunities for the successful establishment or expansion of industrial or commercial plants or facilities in the region; (b) assist in the creation of additional long-term employment opportunities in the region; or (c) primarily benefit the long-term unemployed and low-income residents. All proposed investments must be consistent with a current EDA-approved Comprehensive Economic Development Strategy (CEDS) or equivalent strategic

economic development plan for the region in which the project will be located, and the applicant must have the required local share of funds committed, available, and unencumbered. Applicants must be able to start and complete proposed projects in a timely manner consistent with award terms and conditions.

#### **Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment assistance include a State, city, county, or other political subdivision of a State, including a(n): (a) District Organization as defined in 13 CFR 304.2; (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. Projects eligible for Public Works investment assistance include those located in regions meeting "Special Need" criteria as defined in 13 CFR 300.3. For-profit, private-sector entities do not qualify for Public Works assistance under PWEDA. EDA may not provide investments directly to individuals or for-profit entities seeking to start or expand a private business. Such requests may be referred to State or local agencies, or to non-profit economic development organizations. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

#### **Beneficiary Eligibility:**

Not applicable. Public Works and Economic Development investments are intended to help recipients in the nation's most distressed communities to revitalize, expand, or upgrade their physical infrastructure to attract new industry, encourage business expansion, diversify their local economies, and generate or retain long-term private sector jobs and capital investments.

#### **Credentials/Documentation:**

An application for investment assistance must describe the purpose of the proposed projects, the type of facility proposed, estimated project costs, permanent private sector job impact (estimated payrolls, estimated private-sector job investment, etc.), the estimated schedule for construction commencement and completion, and assurances that the project will satisfy EDA's statutory and regulatory requirements. The application must demonstrate how the project will satisfy a pressing need of the region and assist local economic development efforts.

#### **Preapplication Coordination:**

An applicant interested in a Public Works investment assistance award may request application information by contacting the EDA regional office serving the region in which the proposed project will be located or will serve. Please visit EDA's internet website at [www.eda.gov](http://www.eda.gov) for regional office contact information. An environmental assessment is necessary; an environmental impact statement may also be required. This program is eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs".

#### **Application Procedure:**

For information on the application process you may access the applicable federal funding opportunity (FFO) announcement for Public Works investment assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for Public Works investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO. Applications are subject to the intergovernmental review process authorized under Executive Order 12372 and implementing regulations at 13 CFR 302.9 and 15 CFR part 13.

#### **Award Procedure:**

Successful applications are selected by the appropriate Regional Director and announced by the Assistant Secretary of Commerce for Economic Development (Assistant Secretary).

#### **Deadlines:**

EDA regional offices accept applications for Public Works investments on an ongoing basis. EDA will notify the applicant if EDA has accepted a completed application and forwarded the application for further review and processing in accordance with EDA and Department of Commerce procedures.

#### **Range of Approval/Disapproval Time:**

Generally, two months are required for EDA to reach a final decision after receipt of a complete application that meets all requirements.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Generally, EDA investment assistance may not exceed 50 percent of the project cost. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. See section 204(a) of PWEDA (42 U.S.C. 3144) and 13

CFR 301.4(b)(1). In the case of investment assistance to a(n) (a) Indian Tribe; (b) State or political subdivision of a State that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity; or (c) non-profit organization that the Assistant Secretary determines have exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost. See sections 204(c)(1) and (2) of PWEDA (42 U.S.C. 3144) and 13 CFR 301.4(b)(5). Potential applicants should contact the appropriate EDA regional office to make these determinations. While cash contributions are preferred, in-kind contributions, such as contributions of space, equipment, assumptions of debt, and services, may provide the required non-federal share of the total project cost. See section 204(b) of PWEDA (42 U.S.C. 3144). EDA will fairly evaluate all in-kind contributions, which must be eligible project costs and meet applicable Federal financial assistance awards are considered matching share funds only if authorized by statute, which may be determined by EDA's reasonable interpretation of the statute. See 13 CFR 300.3. The applicant must show that the required matching share is committed to the project for the project period, available as needed, and not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA investment assistance. See 13 CFR 301.5.

**Length and Time Phasing of Assistance:**

Public Works investments, which are disbursed for eligible costs incurred, are generally not disbursed until after all contracts for construction have been awarded. See 13 CFR 305.9.

**Reports:**

Recipients are subject to all federal laws and federal, Department of Commerce and EDA policies, regulations, and procedures applicable to federal financial assistance awards, including but not limited to 15 CFR Parts 14 or 24, as applicable. Standard financial and performance reports are required, and special reports for specific projects may be requested. See 13 CFR 302.6 and 302.16.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, non-profit organizations (including hospitals), and institutions of higher education shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.). States, local governments, and non-profit governments that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year. In addition, recipients must provide the EDA, the Inspector General of the Department of Commerce, and the Comptroller General of the United States with access to its properties to examine all materials necessary to verify compliance with investment requirements. See 13 CFR 302.14(b).

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the grant agreement. The recipient must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Investments) FY 07 \$176,990,281; FY 08 \$146,430,000; and FY 09 est \$7,200,000.

**Range and Average of Financial Assistance:**

In FY 2007, Public Works investments ranged from \$12,500 to \$3,215,427. The average investment was \$1,246,410.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 142 Public Works investments were approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 13 CFR Chapter III, Parts 300-302, 305, 310, and 314; Department of Commerce Organization Order 10-4, as amended.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

Economic Development Administration, Department of Commerce, 1401 Constitution Avenue, N.W., Washington, DC 20230.

**Web Site Address:**

www.eda.gov

**RELATED PROGRAMS:**

11.303, Economic Development\_Technical Assistance; 11.307, Economic Adjustment Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded through the Public Works and Economic Development Program include: (a) infrastructure for industrial park development; (b) port development and expansion; (c) infrastructure necessary for economic development (e.g. water quality infrastructure, sewer facilities, etc.); (d) renovation and recycling of former industrial buildings; (e) construction of vocational/technical facilities and skill centers; (f) incubator facility construction; (g) brownfield redevelopment; (h) eco-industrial development; and (i) broadband infrastructure.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all applications for investment assistance for the feasibility of the budget presented and conformance with EDA statutory and regulatory requirements. EDA will assess the economic development needs of the affected region in which the proposed project will be located, or the region which the project will serve, as well as the capability of the proponent to implement the proposed project. Furthermore, EDA will select applications competitively based on strategic areas of interest and priority considerations identified in the applicable announcement of federal funding opportunity (FFO). EDA also may consider the degree to which an investment in the proposed project will satisfy one or more of the following criteria: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes and diversifies the local and regional economy; and (e) demonstrates a high degree of local commitment. Public Works investment applications must meet EDA's investment policy guidelines as set out in 13 CFR 301.8 and other requirements as provided in the applicable FFO.

**11.302 ECONOMIC DEVELOPMENT-SUPPORT FOR PLANNING ORGANIZATIONS**

(Section 203 Grants for Planning and Administrative Expenses)

**FEDERAL AGENCY:**

ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Section 203 of the Public Works and Economic Development Act of 1965, as amended (PWEDA), (42 U.S.C. 3143).

**OBJECTIVES:**

The Economic Development Administration (EDA) provides Planning assistance to provide support to Planning Organizations (as defined in 13 CFR 303.2) for the development, implementation, revision, or replacement of a Comprehensive Economic Development Strategy (CEDS), short-term planning efforts, and State plans designed to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the nation's most economically distressed regions. Planning activities supported by these grants (referred to throughout this document as investments) must be part of a continuous process involving the active participation of Private Sector Representatives (as defined in 13 CFR 300.3), public officials, and private citizens. In addition, they must include: (a) analysis of local economies; (b) identification of economic development goals; (c) determination of project opportunities; and (d) formulation and implementation of an economic development program that includes systematic efforts to reduce unemployment and increase incomes. Current investment priorities include applications that help develop and enhance regional industry clusters and assist local leaders in understanding and applying the principles of entrepreneurship and technological innovation. See 13 CFR 303.1 and 303.7.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Planning investment assistance helps bear the direct and indirect costs incurred by a Planning Organization in developing and implementing a CEDS.

**Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment assistance include a(n): (a) District Organization (as defined in 13 CFR 304.2); (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. As used in this paragraph, State includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. See 13 CFR 300.3 and 301.2.

**Beneficiary Eligibility:**

Not applicable. EDA Planning investments provide support to Planning Organizations for the development, implementation, revision, or replacement of a CEDS. They also may provide support for related short-term planning investments and State plans designed to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the nation's most economically distressed regions.

**Credentials/Documentation:**

Applicants must satisfy all applicable federal, Department of Commerce and EDA standards and regulations, including all terms and conditions of the financial assistance award. Costs will be determined in accordance with applicable federal cost principles and administrative requirements.



**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For information on the application process, you may access the federal funding opportunity (FFO) announcement for planning assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for planning investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO. Applications are subject to the intergovernmental review process authorized under Executive Order 12372. See 13 CFR 302.9 and 15 CFR Part 13.

**Award Procedure:**

The Assistant Secretary of Commerce for Economic Development (Assistant Secretary) approves the initial investment to District Organizations, Indian Tribes, and other Planning Organizations. The appropriate regional office approves continuation awards.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Generally, 45 to 60 days are required for EDA to reach a final decision after receipt of a completed application that meets all requirements.

**Appeals:**

None.

**Renewals:**

EDA will provide Planning assistance for the period of time required to develop, revise, replace, or implement a CEDS, generally in 36-month renewable investment project periods. EDA will consider a recipient's performance over previous investment project periods in order to determine whether additional Planning investments should be awarded. See 13 CFR 303.4.

**Formula and Matching Requirements:**

Generally, an EDA investment may not exceed 50 percent of the total cost of a project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. See section 204(a) of PWEDA (42 U.S.C. 3144) and 13 CFR 301.4(b)(1). For Planning assistance, the minimum EDA investment rate for projects under 13 CFR part 303 is 50 percent, and the maximum allowable EDA investment rate is 80 percent. See 13 CFR 301.4(b)(3). In the case of EDA investment assistance to (a) Indian Tribe, (b) State or political subdivision of a State that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (c) nonprofit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum allowable EDA investment rate of up to 100 percent of the total project cost. See sections 204(c)(1) and (2) of PWEDA (42 U.S.C. 3144) and 13 CFR 301.4(b)(5). Potential applicants should contact the appropriate EDA regional office to make these determinations. While cash contributions are preferred, in-kind contributions, such as contributions of space, equipment, assumptions of debt, and services, may provide the required non-federal share of the total project cost. Applicants must show that the required matching share is committed to the project for the project period, available as needed, and not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA investment assistance. See section 204(b) of PWEDA (42 U.S.C. 3144) and 13 CFR 301.5.

**Length and Time Phasing of Assistance:**

A project period generally consists of increments of 12 months for a total of 36 months, depending on past performance and the availability of funds. Funds are disbursed quarterly. EDA recently has increased the number of its Planning investments being funded on a 3-year basis.

**Reports:**

Recipients are subject to all federal laws and to all federal, Department of Commerce and EDA policies, regulations, and procedures applicable to federal financial assistance awards, including but not limited to 15 CFR Parts 14 or 24, as applicable. Standard financial and performance reports are required, and special reports for specific projects may be requested. See 13 CFR 302.6 and 302.16.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, non-profit organizations, and institutions of higher education are subject to the requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501, et seq.). States, local governments, and non-profit organizations that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year. In addition, recipients must provide EDA, the Inspector General of the Department of Commerce, and the Comptroller General of the United States with access to its properties to examine all materials necessary to verify compliance with investment requirements. See 13 CFR 302.14(b).

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients and sub-recipients must be maintained according to the terms of the investment award.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Investments) FY 07 \$29,597,524; FY 08 \$27,000,000; and FY 09 est \$27,000,000.

**Range and Average of Financial Assistance:**

In FY 2007, Planning Investments ranged from \$2,000 to \$742,000. The average award was \$71,839. The average award for District Organizations was \$72,450; the average for Indian Tribes' projects was \$51,058; and the average for States and all other area projects was \$105,160.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 412 Planning investments were awarded to District Organizations, Indian Tribes, States, urban areas, and sub-state political subdivisions. These entities carried out a variety of Planning efforts aimed at generating jobs and income for their region and for unemployed and underemployed residents.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-303.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

Economic Development Administration, Department of Commerce, 1401 Constitution Avenue, N.W., Washington, DC 20230.

**Web Site Address:**

[www.eda.gov](http://www.eda.gov)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of projects funded through the Planning Program include: (a) support for Planning Organizations in the creation, implementation, revision, or replacement of a CEDS; (b) development and implementation of training programs for Planning Organization members; (c) support for community planning events; (d) implementation of CEDS-related projects; (e) development of economic strategies in the wake of a military base realignment; and (f) disaster-mitigation planning.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all applications for Planning assistance for the feasibility of the budget presented and conformance with EDA's statutory and regulatory requirements. EDA will assess the economic development needs of the affected region in which the proposed project will be located, as well as applicant's capacity to implement the proposed project. Furthermore, EDA will select applications competitively based on strategic areas of interest and priority considerations identified in the applicable FFO. EDA also may consider the degree to which a proposed project: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes and diversifies the local and regional economy; and (e) demonstrates a high degree of local commitment. Planning investment applications must meet EDA's investment policy guidelines as set out in 13 CFR 301.8, the requirements of 13 CFR Part 303, as applicable, and other requirements provided in the applicable FFO.

**11.303 ECONOMIC DEVELOPMENT-TECHNICAL ASSISTANCE**

(National, University Center and Local Technical Assistance)

**FEDERAL AGENCY:**

ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Section 207 of the Public Works and Economic Development Act of 1965, as amended (PWEDA), (42 U.S.C. 3147).

**OBJECTIVES:**

EDA oversees three technical assistance programs (National, Local and University Center) that promote economic development and alleviate unemployment, underemployment, and out-migration in distressed regions. These programs provide grants or cooperative agreements (referred to throughout this document as investments) to: (1) invest in institutions of higher education to establish and operate University Centers to provide technical assistance to public and private sector organizations with the goal of enhancing local economic development; (2) support innovative approaches to stimulate economic development in distressed regions; (3) disseminate information and studies of economic development issues of national significance; and (4) finance feasibility studies and other projects leading to local economic development. These programs aid the long-range economic development of regions with severe unemployment and low per capita income.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Technical assistance is used to provide information, data, and know-how in

evaluating, shaping and implementing specific projects and programs that promote economic development in economically distressed regions.

**Applicant Eligibility:**

Most technical assistance recipients are private or public nonprofit organizations and educational institutions. As defined in 13 CFR 300.3, 'eligible recipients' include a State, city, county, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivision, an institution of higher education or a consortium of institutions of higher education, an Economic Development District organization, a private or public nonprofit organization or association, including a faith-based nonprofit organization, acting in cooperation with officials of a political subdivision of a State, or an Indian Tribe, or a consortium of Indian Tribes. Individuals, companies, corporations, and associations organized for profit are not eligible. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. Program funds cannot be awarded to individuals and for profit organizations to start or expand a private enterprise.

**Beneficiary Eligibility:**

None. Investments are intended to finance projects that would be useful in alleviating or preventing conditions of excessive unemployment or underemployment.

**Credentials/Documentation:**

A nonprofit organization is required to submit its articles of incorporation charters and a certificate of good standing issued by the State in which it is incorporated. Applicants must demonstrate capability to complete the work program. In addition, a recipient that is a non-profit organization must work in cooperation with a political subdivision of a State unless EDA waives that requirement because the project has a significant regional or national scope.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Except for applications that have a national or multi-regional focus, applications are subject to the requirements of Executive Order 12372, "Intergovernmental Review of Federal Programs" and implementing regulations at 13 CFR 302.9.

**Award Procedure:**

EDA will award investment assistance in accord with the procedures set forth in the applicable announcement of federal funding opportunity (FFO).

**Deadlines:**

See deadlines announced in the applicable FFO.

**Range of Approval/Disapproval Time:**

From one month to four months.

**Appeals:**

None.

**Renewals:**

Each fiscal year, two EDA regional offices will provide a three-year project period for each University Center selected for funding under the requisite competition, with the initial award being made for the first year of the project period. Funding beyond the initial year is dependent upon the availability of funds and satisfactory performance, as determined by EDA and expressed in written notice. The servicing EDA regional office will contact current University Center operators regarding the procedures for applying for continuation funding. National and local technical assistance projects are typically funded for a single project period without any pre-set expectation of renewal. Renewal of an award to increase funding or extend the period of performance is at EDA's sole discretion.

**Formula and Matching Requirements:**

Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. See Section 204(a) of PWEDA (42 U.S.C. 3144) and 13 CFR 301.4. For projects of a national scope under 13 CFR part 306 (Training, Research and Technical Assistance), and for all other projects under part 306, after the application of the first two sentences of this paragraph, the Assistant Secretary of Commerce for Economic Development has the discretion to establish a maximum EDA investment rate of up to 100 percent where the project (i) merits and is not otherwise feasible without an increase to the EDA investment rate; or (ii) will be of no or only incidental benefit to the recipient. See Section 204(c)(3) of PWEDA (42 U.S.C. 3144) and 13 CFR 301.4(b)(4). Potential applicants should contact the appropriate EDA regional office to make this determination.

**Length and Time Phasing of Assistance:**

Generally, the University Center Program funds applications on a three-year basis with continuation awards made for each of the three years within a project period. The length of the project period for national and local technical assistance projects varies, but is usually for a period of one year. Funds are disbursed as required.

**Reports:**

Recipients must submit financial and performance reports as required by the award agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, nonprofit organizations, and institutions of higher education are subject to the audit requirements contained in Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. States, local governments, and nonprofit organizations that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients and sub-recipients are required to be maintained by the terms of the agreement. The recipient must retain records for three years after completion of the project or submission of the final financial reports, whichever is later, and have them readily available for inspection and audit.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Investments) FY 07 \$8,161,852; FY 08 \$9,400,000; and FY 09 est \$9,400,000.

**Range and Average of Financial Assistance:**

In FY 2007 range of investments: \$690 to \$430,000. The average grant for the University Center Program in fiscal year 2007 was \$130,934; for National Technical Assistance projects, \$266,394; and for Local Technical Assistance projects, \$34,253.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 74 projects were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-302, 306.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

For University Center and Local Technical Assistance grants, refer to Appendix IV of the Catalog for EDA regional office addresses and telephone numbers. For National Technical Assistance grants, contact EDA, Department of Commerce, Office of Regional Affairs, 1401 Constitution Ave N.W., HCHB Room 7816, Washington DC 20230. Telephone: (202) 482-4208.

**Web Site Address:**

www.eda.gov

**RELATED PROGRAMS:**

11.800, Minority Business Enterprise Centers; 23.009, Appalachian Local Development District Assistance; 59.037, Small Business Development Centers.

**EXAMPLES OF FUNDED PROJECTS:**

University Center projects provide management and technical assistance services to communities, counties, districts, nonprofit development groups, and technology transfer assistance to firms. Local technical assistance projects help to determine the economic feasibility of various local development projects involving industrial, commercial, and other activities. National technical assistance projects may fund reports on innovative economic development or the dissemination of economic development information.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will screen all applications for the feasibility of the budget presented and conformance with EDA's statutory and regulatory requirements. EDA will assess the economic development needs of the affected region in which the proposed project will be located (or will service) as well as the capability of the proponent to implement the proposed project. Furthermore, EDA will select proposals competitively based on strategic areas of interest and priority considerations identified in the applicable FFO. EDA may also consider the degree to which an investment in the proposed project will satisfy one or more of the following criteria: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes and diversifies the local and regional economy and; (e) demonstrates a high degree of local commitment. An application for investment assistance must meet EDA's investment policy guidelines (as set out in 13 CFR 301.8) and other requirements as set out in the applicable FFO.

**11.307 ECONOMIC ADJUSTMENT ASSISTANCE**

(Economic Adjustment)

**FEDERAL AGENCY:**

ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Section 209 of the Public Works and Economic Development Act of 1965, as amended (PWEDA), (42 U.S.C. 3149).

**OBJECTIVES:**

To address the needs of distressed communities experiencing adverse economic changes that may occur suddenly or over time, and generally result from industrial or corporate restructuring, new Federal laws or requirements, reduction in defense expenditures, depletion of natural resources, or natural disaster. Economic Adjustment Assistance grants (referred to throughout this document as investments) are intended to enhance a distressed community's ability to compete economically by stimulating private investment in targeted areas. Current investment priorities include proposals that: (a) promote comprehensive, entrepreneurial, and innovation-based economic development efforts that enhance the competitiveness of regions in the global economy. The investments will be part of a long-term strategy to promote the region's success in achieving a rising standard of living by supporting existing industry clusters, developing emerging new clusters, or attracting new regional economic drivers; (b) support technology-led economic development and reflect the important role of linking universities and industry and technology transfers; and (c) advance community- and faith-based social entrepreneurship in redevelopment strategies for regions of chronic economic distress.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Strategy investments help organize and carry out a planning process in order to develop a Comprehensive Economic Development Strategy (CEDS) tailored to the community's specific economic problems and opportunities. Implementation investments support one or more activities identified in an EDA-approved CEDS. Awards may be used for activities such as developing and updating a CEDS and for implementing the CEDS by carrying out projects for site acquisition and preparation, construction, rehabilitation, and equipping facilities, technical assistance, market or industry research and analysis, and other activities set out in 13 CFR 307.3.

**Applicant Eligibility:**

Eligible applicants for EDA investment assistance include a State, city, county, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivision, an institution of higher education or a consortium of institutions of higher education, an Economic Development District organization, a private or public nonprofit organization or association, including a faith-based non-profit organization, acting in cooperation with officials of a political subdivision of a State, or an Indian Tribe, or a consortium of Indian Tribes. Individuals, companies, corporations, and associations organized for profit are not eligible. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Beneficiary Eligibility:**

None. Investments are intended to alleviate long-term deterioration and sudden and severe economic dislocation in distressed communities and regions.

**Credentials/Documentation:**

Applicants for assistance must develop a CEDS that identifies the actual or anticipated adjustment problem and prescribe steps to address that problem. Implementation investment applications must be consistent with an approved CEDS.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." EDA's Regional Office representative or Economic Development Representative (EDR) will meet with the proponent to determine whether preparation of a project proposal is appropriate. If appropriate, the proponent will be requested to prepare a brief project proposal according to an outline provided by the EDR. Following a review by the EDR and regional office staff, the Regional Director will determine whether to invite a formal application. An environmental impact assessment is necessary; an environmental impact statement is required for this program.

**Application Procedure:**

This If an application is invited by the regional office, an EDR or regional office representative will provide necessary application materials. This program is subject to the provisions of OMB Circular No. A-110 and 15 CFR Part 24.

**Award Procedure:**

Applications are invited and approved by the Regional Director.

**Deadlines:**

Proposals are accepted on a continuing basis and applications are invited and processed as received.

**Range of Approval/Disapproval Time:**

Normally, two months are required for a final decision after the receipt of a completed application invited by EDA that meets all statutory and regulatory requirements.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The maximum investment rate shall not exceed 50 percent of the project cost, except that the project may receive an investment rate up to 80 percent based on relative needs as measured by the severity and duration of unemployment and the per capita income level and extent of underemployment in the region. Indian Tribes may be eligible for an investment rate of 100 percent. In addition, States or political subdivisions of a State that have exhausted their effective borrowing and taxing capacity or nonprofit organizations that have exhausted their effective borrowing capacity may also be eligible for a 100 percent rate. On average, EDA investment assistance covers approximately 50 percent of project costs.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

With the exception of strategy grants, quarterly financial reports are required until one year after final disbursement of funds. Reports on revolving loan fund investments are initially required semi-annually but may be changed to annual reports with the consent of the agency. Recipients also are required to report on program performance and project outcomes at intervals prescribed by the agency in compliance with Government Performance Results Act of 1993.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, nonprofit organizations, and institutions of higher learning are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. States, local governments, and nonprofit organizations that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year.

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients and sub-recipients are required to be maintained by the terms of the agreement. The grantee must retain records for three years after completion of the project or submission of the final financial report and be readily available for inspection and audit.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Investments) FY 07 \$64,228,016; FY 08 \$42,300,000; and FY 09 est \$40,330,000.

**Range and Average of Financial Assistance:**

In FY 2007, grants ranged from \$13,382 to 6,080,000. The average grant for Economic Adjustment Assistance in FY 2007 was \$568,390.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 113 projects were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-302, 307.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

Economic Development Administration, Department of Commerce, 1401 Constitution Avenue, N.W., Washington, DC 20230.

**Web Site Address:**

[www.eda.gov](http://www.eda.gov)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Investments awarded under the Economic Adjustment Assistance Program have included: (a) strategies for recovery from plant closure and major permanent job loss; (b) rehabilitation of vacant industrial facilities for multi-tenant use or entrepreneurship or innovation incubators; and (c) revolving loan funds or recapitalization of revolving loan funds.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all investment applications for the feasibility of the budget presented and conformance with EDA statutory and regulatory requirements. EDA will assess the economic development needs of the region in which the proposed project is located, as well as the capacity of the applicant to implement the proposed project. Furthermore, EDA will select proposals competitively based on strategic areas of interest and priority considerations identified in the applicable announcement of federal funding opportunity (FFO). EDA also may consider the degree to which a proposed project: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes, and diversifies the local and regional economy; and (e) demonstrates a high degree of local commitment.

Applications for Economic Adjustment investment assistance must meet EDA investment policy guidelines as set out in 13 CFR 301.8, the requirements set out in 13 CFR part 307, as applicable, and other requirements as provided in the applicable FFO.



## 11.312 RESEARCH AND EVALUATION PROGRAM

### FEDERAL AGENCY:

ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

### AUTHORIZATION:

Section 207 of the Public Works and Economic Development Act of 1965, as amended (PWEDA), 42 U.S.C. 3147.

### OBJECTIVES:

The Research and Evaluation Program of the Economic Development Administration (EDA) supports rigorous, practitioner accessible research of leading, world class economic development practice that advances our understanding of economic development. Current funding priorities include proposals that enhance regional competitiveness by focusing on entrepreneurship and innovation strategies.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

The Research and Evaluation Program funds research, including evaluative research, and national technical assistance projects to promote competitiveness and innovation in urban and rural regions throughout the United States.

### Applicant Eligibility:

In accordance with PWEDA, eligible applicants for and recipients of EDA investment assistance include a(n): (a) District Organization (as defined in 13 CFR Part 304.2); (b) Indian Tribe or a consortium of Indian Tribes; (c) State, a city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR Part 300.3. For-profit, private-sector entities do not qualify for investment assistance under this program.

### Beneficiary Eligibility:

Not applicable. Research and Evaluation investments are designed to finance projects for research into techniques that promote competitiveness and innovation in urban and rural regions throughout the United States.

### Credentials/Documentation:

Researcher qualifications are considered in the application review process. Applicants must have demonstrated expertise in the proposed area of study.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applicants should submit applications in accordance with the requirements of 13 CFR Part 306 and the applicable federal funding opportunity (FFO) announcement. EDA Headquarters can provide assistance in connection with proposed Research and Evaluation projects. This program is not subject to Executive Order 12372. This program is subject to provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations or provisions of 15 CFR Part 24 for State, local and Indian Tribal governments, as applicable. Costs will be determined in accordance with applicable federal cost principles and uniform administrative requirements.

### Award Procedure:

The Assistant Secretary of Commerce for Economic Development (Assistant Secretary) is the selecting official for Research and Evaluation projects. EDA will award investment assistance in accord with the procedures set forth in the applicable FFO.

### Deadlines:

Please see the deadline set forth in the applicable FFO.

### Range of Approval/Disapproval Time:

Generally, two months are required for EDA to reach a final decision after receipt of a completed application that meets all requirements.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Generally, EDA investment assistance may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. See section 204(a) of PWEDA (42 U.S.C. 3144) and 13 CFR Part 301.4(b)(1). For Research and Evaluation projects of a national scope under 13 CFR Part 306, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent where the project (a) merits and is not otherwise feasible without an increase of EDA's investment rate; or (b) will be of no or only incidental benefit to the recipient. See section 204(c)(3) of PWEDA (42 U.S.C. 3144) and 13 CFR Part 301.4(b)(4). While cash contributions are preferred, in-kind contributions, such as contributions of space, equipment, assumptions of debt, and services, may provide the required nonfederal share of the total project cost. If required, applicants must show that the matching share is committed to the project for the

entire project period, available as needed and not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA Investment Assistance. See section 204(b) of PWEDA (42 U.S.C. 3144) and 13 CFR Part 301.5.

### Length and Time Phasing of Assistance:

The length of time of a project period varies, but is generally one year. Grant funds are disbursed as required and justified. See 13 CFR Part 306.3.

### Reports:

Recipients are subject to all federal laws and to federal, Department of Commerce and EDA policies, regulations, and procedures applicable to federal financial assistance awards, including, but not limited to, 15 CFR Parts 14 or 24, as applicable. Standard financial and performance reports are required and special reports for specific projects may be requested. See 13 CFR Parts 302.6 and 302.16.

### Audits:

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, nonprofit organizations, and institutions of higher education are subject to the requirements of the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.). Commercial organizations shall be subject to the audit requirements as stipulated in the award agreement. States, local governments, and nonprofit organizations that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year.

### Records:

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained pursuant to the terms of investment award.

### Account Identification:

13-2050-0-1-452.

### Obligations:

(Investments) FY 07 \$993,236; FY 08 \$470,000; and FY 09 \$470,000.

### Range and Average of Financial Assistance:

In FY 2007, grants ranged from \$160,000 to \$349,865. The average EDA support was \$248,309.

### PROGRAM ACCOMPLISHMENTS:

In FY 2007, four projects were funded.

### REGULATIONS, GUIDELINES, AND LITERATURE:

13 CFR parts 300-302, 306.

### Regional or Local Office:

Refer to Appendix IV of the Catalog for EDA regional office contact information.

### Headquarters Office:

Economic Development Administration, U.S. Department of Commerce, 1401 Constitution Avenue, NW, Washington DC 20230.

### Web Site Address:

www.eda.gov

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Projects funded under the Research and Evaluation Program have included reports on innovative economic development strategies such as: (a) "Regional Clusters of Innovation, Driving a Long-Term Strategy" by Monitor Company Group; (b) "Unlocking Rural Competitiveness: The Role of Regional Clusters" by Purdue and Indiana Universities; and (c) "A Resource Guide for Technology-Based Economic Development: Positioning Universities as Drivers, Fostering Entrepreneurship, Increasing Access to Capital" by the State Science and Technology Institute.

### CRITERIA FOR SELECTING PROPOSALS:

EDA will review all Research and Evaluation applications for the feasibility of the budget presented and conformance with EDA statutory and regulatory requirements. EDA will assess the economic development needs of the region served by the proposed project, as well as the applicants capacity to implement the proposed project. Further, EDA will select proposals competitively based on strategic areas of interest and priority considerations identified in the applicable FFO. EDA also may consider the degree to which a proposed project: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes and diversifies the local and regional economy; and (e) demonstrates a high degree of local commitment. Applications must meet EDA's investment policy guidelines as set forth in 13 CFR Part 301.8, the requirements of 13 CFR Part 306, as applicable, and other requirements as provided in the applicable FFO.

## 11.313 TRADE ADJUSTMENT ASSISTANCE FOR FIRMS

### FEDERAL AGENCY:

ECONOMIC DEVELOPMENT ADMINISTRATION, DEPARTMENT OF COMMERCE

### AUTHORIZATION:

Chapters 3 and 5, Title II of the Trade Act of 1974, as amended (Trade Act), 19

**OBJECTIVES:**

To provide trade adjustment assistance to firms and industries adversely affected by an increase in imports of directly competitive or similar articles to those with articles produced by the firm, and to help implement the firms' strategies to guide their economic recovery.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Under Chapter 3 of Title II of the Trade Act of 1974, a firm may apply to the Economic Development Administration (EDA) of the Department of Commerce for certification of eligibility to apply for trade adjustment assistance (TAA). Interested firms that believe they meet the requirements set forth in 13 CFR part 315 may contact EDA or one of the EDA-funded Trade Adjustment Assistance Centers (TAACs). TAACs will assist firms, at no cost, in completing and submitting a petition (Form ED-840P or any successor form) to EDA. Before a firm receives technical assistance under the program, the firm must have an adjustment proposal approved by EDA. Usually the adjustment proposal, which includes an unbiased diagnostic of the firm's strengths, weaknesses, opportunities and threats, is prepared by the TAAC in cooperation with the certified firm. The adjustment proposal also identifies technical assistance tasks, which when implemented, will guide the firm toward economic recovery. The adjustment proposal must also demonstrate that the implementation of the technical assistance tasks has a reasonable chance helping the firm recover. The firm must pay at least 25 percent of the cost of preparing the adjustment proposal. After a firm's adjustment proposal is accepted by EDA, the firm is authorized to apply for technical assistance to implement the recovery strategy. The technical assistance is usually provided by a private consultant, who is jointly hired by the certified firm and the TAAC. The certified firm and the TAAC each typically pay one half of the consultant's fees. Actual provision of TAA will depend on the feasibility of the firm's adjustment proposal, compliance with the requirements of the Trade Act, EDA's regulations and guidelines, and the availability of funds. Organizations representing trade-injured industries are eligible under the Trade Act to apply to EDA for industry-wide assistance.

**Applicant Eligibility:**

Section 253 of the Trade Act (19 U.S.C. 2343(b)) provides that grants may be awarded to "intermediary organizations (including Trade Adjustment Assistance Centers)" to provide assistance to trade-injured firms. For an industry association or other organizations to be eligible for industry assistance under section 265 of the Trade Act (19 U.S.C. 2355(a)), the applicant must submit evidence demonstrating that the industry faces import competition and includes a substantial number of Trade Act-certified firms or worker groups.

**Beneficiary Eligibility:**

Only manufacturing and producing firms certified by EDA on behalf of the Secretary of Commerce are eligible for assistance under the TAA program. Industries that can demonstrate they have been injured by imports and have a substantial number of Trade Act certified firm or worker groups may also benefit. The principal benefit is cost-shared technical assistance: the TAA program pays up to one-half of the cost of assistance by private-sector consultants and contractors for operational improvements at certified firms.

**Credentials/Documentation:**

The TAACs act as intermediaries for this program between EDA and the firm. Entities seeking industry-wide assistance must contact EDA staff to discuss their needs, describe the import injury and determine if funding is available for industry-wide projects.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs".

**Application Procedure:**

The nationwide network of 11 TAACs apply to EDA each year for funding for the coming fiscal year. Industry associations or other organizations seeking industry assistance must submit an application (SF-424) if invited to do so by EDA.

**Award Procedure:**

Awards to TAACs are made based upon submitted applications, previous performance under cooperative agreements with EDA, and the availability of funds. Acceptance of an application or amended application for a cooperative agreement does not ensure funding by EDA. Awards to industries are made based on conformance with program requirements and availability of funds.

**Deadlines:**

There are no deadlines, as long as the application allows enough time for processing to receive fiscal year funds.

**Range of Approval/Disapproval Time:**

EDA makes a determination on a firm's certification for eligibility to apply for TAA within 60 days of receipt of its petition. Decisions on adjustment proposals are typically made within two to three weeks of receipt by EDA. Decisions on TAAC applications or industry-wide assistance requests are normally made within two months of receipt of a fully complete application by EDA.

**Appeals:**

There is no appeal procedure for proponents or recipients. A petitioning firm

whose petition for certification was denied may appeal pursuant to 13 CFR 315.11.

**Renewals:**

EDA's cooperative agreements with each of the 11 TAACs are usually renewed; industry grants generally are not renewed.

**Formula and Matching Requirements:**

Matching share requirements are as follows: Each certified firm must pay at least twenty-five (25) percent of the cost of the preparation of its adjustment proposal. Each firm requesting \$30,000 or less in total adjustment assistance in its approved adjustment proposal must pay at least twenty-five (25) percent of the cost of that adjustment assistance. Each firm requesting more than \$30,000 in total technical assistance in its approved adjustment proposal must pay at least fifty (50) percent of the cost of that adjustment assistance. Organizations representing trade-injured industries must pay at least fifty (50) percent of the total cash cost of the adjustment assistance, in addition to appropriate in-kind contributions. There are no matching share requirements for TAA provided by the TAACs to firms for certification or for administrative expenses of the TAACs.

**Length and Time Phasing of Assistance:**

Generally one year for TAAC investments and the amount of time needed to complete the project for industry grants. The TAA program is a nationwide federal program designed to help U.S. firms that have experienced business decline and loss of employment due to imports of like or directly competitive products.

**Reports:**

Periodic reporting of operating results and progress, financial statements, and summary of funds spent.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, nonprofit organizations, and institutions of higher education are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.). Commercial organizations shall be subject to the audit requirements as stipulated in the award documents. States, local governments, and nonprofit organizations that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year.

**Records:**

Records are required to be maintained for three years. All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the agreement. The recipient must retain records for three years after submission of the final financial report, and have them readily available for inspection and audit.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Cooperative Agreements) FY 07 \$12,912,953; FY 08 \$14,100,000; and FY 09 est \$14,100,000.

**Range and Average of Financial Assistance:**

TAAC investments in FY 2007 ranged from \$930,939 to \$1,642,629. The average grant was \$1,173,905.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, EDA, through the TAACs, provided assistance to petitioning firms as follows: 135 petitions were certified as eligible to receive trade adjustment assistance; 126 adjustment proposals were accepted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of pertinent regulations (13 CFR Part 315), guidelines, and forms are available from EDA, the TAACs or the TAAC website at [www.taacenters.org](http://www.taacenters.org). Allowable costs will be determined in accordance with OMB Circular A-87 for State, local, and Indian Tribal governments; OMB Circular A-122 for nonprofit organizations; OMB Circular A-21 for educational institutions; and 48 CFR Part 31 for commercial organizations. Uniform administrative requirements will be in accordance with 15 CFR Part 14 for institutions of higher education and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Economic Development Administration, Department of Commerce, 1401 Constitution Avenue N.W., Washington, DC 20230. Telephone: (202) 482-4495.

**Web Site Address:**

[www.eda.gov](http://www.eda.gov) and [www.taacenters.org](http://www.taacenters.org)

**RELATED PROGRAMS:**

17.245, Trade Adjustment Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

There are 11 Trade Adjustment Assistance Centers (TAACs) funded by EDA, which cover the 50 States, and the District of Columbia. The TAACs, through cooperative agreements with EDA, help firms become certified in order to receive TAA. Common types of technical assistance that firms may receive

under the TAA program include market research, quality assurance completion (ISO-9000 designation, for example) and management information systems guidance. Industries have been aided in developing new manufacturing machines and procedures, technological innovations, expanding exporting opportunities, marketing studies, and product diversification.

#### **CRITERIA FOR SELECTING PROPOSALS:**

EDA invites existing (currently funded) TAACs to submit either new or amended applications provided they have performed successfully and complied with previous conditions in their cooperative agreements with EDA and contingent upon the availability of funds. EDA also may invite new TAACs to submit applications through an applicable Federal Funding Opportunity (FFO) announcement. EDA generally evaluates existing (currently funded) TAACs based on: (i) performance under cooperative agreements with EDA and compliance with terms and conditions if such cooperative agreements; (ii) proposed scope of work, budget and application or amended application; and (iii) availability of funds.

### **11.400 GEODETIC SURVEYS AND SERVICES (GEODESY AND APPLICATIONS OF THE NATIONAL GEODETIC REFERENCE SYSTEM)**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Coast and Geodetic Survey Act, Public Law 80-373, 33 U.S.C. 883a, 883d, 883e, 33 U.S.C. 892, and 15 U.S.C. 1525.

#### **OBJECTIVES:**

To provide national, coordinated spatial reference system at various specified intervals which provide scale, orientation, coordinated positions, and elevations of specific points for use in surveying, boundary delineations and demarcation, mapping, planning, and development; to provide assistance to State, local, municipal, and regional agencies in the development and implementation of Multipurpose Land Information Systems (MPLIS)/Geographic Information Systems (GIS) pilot projects and spatial reference system development and/or enhancement, and Height Modernization. For the Joint Hydrographic Center (JHC) improve the techniques and technology of hydrographic surveying, hydrographic services, and ocean mapping.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Extend National Spatial Reference System into areas not adequately covered to meet infrastructure needs. Use of basic data for survey system in local densification is unrestricted. Spatial Reference System coordinates and elevations describe baselines from which restricted coastal boundaries are delineated and other boundaries are marked. The National Spatial Reference System forms the standard of measurement on which State plane coordinate systems, land and utility records, and boundary delineations are based. Federal funding (grants) are restricted to those State, local, municipal, or regional, and/or universities specifically selected by the U.S. Congress, in annual Federal appropriations legislation. To conduct research and carry out development programs at the Joint Hydrographic Center at the University of New Hampshire to improve the techniques and technology of hydrographic surveying, hydrographic services, and ocean mapping, and to conduct bathymetric research in support of delineation of an extended continental shelf.

#### **Applicant Eligibility:**

State, local, municipal, universities and/or regional agencies. For the JHC, limited to the University of New Hampshire by Congress and through Joint Institute relationship with NOAA.

#### **Beneficiary Eligibility:**

State, local, municipal, universities and/or regional agencies. For the JHC limited to the University of New Hampshire by Congress and through Joint Institute relationship with NOAA.

#### **Credentials/Documentation:**

Annual Congressional appropriations legislation. An official of the State, local, municipal, university and/or regional agency should certify as the official authorized, in accordance with State, local, municipal, or regional agency law, to commit the State, local, municipal, university and/or regional agency to participate in the grant program, to sign project documents, and to receive payments. Eligibility of costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For the JHC, an approved official of the University of New Hampshire should certify the application to commit the University to participate in the cooperative agreement and to receive payments in accordance with OMB circulars A-110 and A-21.

#### **Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is

available from NOAA in the preparation of an application. These programs are eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. For the JHC, the standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division.

#### **Application Procedure:**

Proposals are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity number and/or CFDA number to access the application package and instructions. Submission of grant application on Standard Form 424 to the Director, National Geodetic Survey listed in Appendix IV of the Catalog. This program is subject to the provisions of 15 CFR Part 24, and OMB Circular No. A-110. For the JHC, submission of grant application on Standard Form 424 to the NOAA Co-Director, Joint Hydrographic Center.

#### **Award Procedure:**

Applications are reviewed by the National Geodetic Survey and processed and awarded by the NOAA Grants Division. For the JHC, Applications are reviewed by the NOAA National Ocean Service and processed and awarded by the NOAA Grants Division.

#### **Deadlines:**

Grant applications must be submitted to the National Geodetic Survey, a minimum of 90 working days in advance of the desired effective date. For the JHC, grant applications should be submitted to the NOAA Co-Director of the Joint Hydrographic Center, a minimum of 90 working days in advance of the desired effective date.

#### **Range of Approval/Disapproval Time:**

From 45 to 90 working days from date of receipt of proposal in the National Geodetic Survey. For the JHC, from 45 to 90 working days from date of receipt of proposal in the Joint Hydrographic Center.

#### **Appeals:**

No formal appeal procedure for grant applications. If grant applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit grant applications, projects must be revised in accordance with recommended changes.

#### **Renewals:**

No renewal, however, an approved on-going project can be extended by submission of an amendment request for continuation and/or supplemental funding, providing the request for extension is received 60 days prior to the end of the award period. For the JHC, An approved on-going project can be extended by submission of an amendment request for continuation and/or supplemental funding.

#### **Formula and Matching Requirements:**

Specific cost-sharing or matching requirements is generally defined in the legislation providing funds. For the JHC, not applicable.

#### **Length and Time Phasing of Assistance:**

Grants are normally issued for a 12-month period. The funds are released as required. For JHC, the cooperative agreement is normally issued for a one to five year period. The funds are released as required.

#### **Reports:**

Semi-annual and final progress reports are required for Federally financed multi-year pilot projects. Progress reports may be in the form of a manuscript. Quarterly financial reports are also required. For JHC, semi-annual and final progress reports and financial reports are required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations, (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure report is submitted.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Grants-NGS) FY 07 \$9,342,000; FY 08 est not available; and FY 09 est not reported. FY 07 \$7,200,000; FY 08 est not available; and FY 09 est not reported. Alabama Freight Mobility Study: FY 07 \$675,921; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

Not applicable.

#### **PROGRAM ACCOMPLISHMENTS:**

Funding was provided in FY 2004 to the California Spatial Reference Center, the Louisiana Spatial Reference Center, the States of Mississippi, North



Carolina, South Carolina, Wisconsin, Texas, Kentucky, Alabama and Washington. In addition to these states, a grant is planned for FY 2006 to Arizona. For FY 2006 funding was not received to continue grant activities in Louisiana and Washington. Sponsored a meeting of experts to discuss models used in the Prince William Sound Science Center (PWSSC) for a Nowcast-Forecast System (NFS). The proposed project will complete the implementation of a Prince William Sound (PWS) Nowcast-Forecast Information System (PWS NFS) in Prince William Sound. Focus areas are 1) integration and coupling of ongoing modeling efforts at a new and enhanced computing and communications environment at the PWSSC/Oil Spill Recovery Institute (OSRI) in Cordova, Alaska; 2) development of new information products for users in a variety of media including new Internet web pages; and 3) expansion of near real-time observational network elements in support of the model and user requirements. Examples of funded projects are more observation systems and experimentation to test models. The Joint Hydrographic Center has developed several new technologies for ocean mapping and hydrographic surveying that will greatly increase the quality and productivity of hydrographic surveying and ocean mapping in the United States. In particular, new techniques for multibeam sonar data processing will have major positive impacts. 3-D visualization techniques have been developed and demonstrated that will greatly improve the study of whale behavior below the surface.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments. For JHC, allowable cost will be determined in accordance with OMB Circular A-21 for institutions of higher education.

#### **Regional or Local Office:**

Not applicable. Joint Hydrographic Center, University of New Hampshire, Durham, NH 03824. Telephone: (603) 862-4559.

#### **Headquarters Office:**

Grant Program Office/Geodetic Service Division, National Geodetic Survey, National Ocean Service, National Oceanic and Atmospheric Administration, Silver Spring, MD 20910. Telephone: (301) 713-3228. For JHC, not applicable.

#### **Web Site Address:**

<http://www.ngs.noaa.gov/>, for the JHC: <http://chartmaker.ncd.noaa.gov/>

#### **RELATED PROGRAMS:**

11.003, Census Geography.

#### **EXAMPLES OF FUNDED PROJECTS:**

Projects involving applications of the NSRS. The Joint Hydrographic Center.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected by Congress. The State, local, municipal, universities and/or regional agency designated to conduct the project is specified. The Joint Hydrographic Center was established by funding specifically designated by Congress. The University designated to conduct the project is specified.

### **11.405 ANADROMOUS FISH CONSERVATION ACT PROGRAM**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE AND FISH AND WILDLIFE SERVICE,  
DEPARTMENT OF THE INTERIOR

#### **AUTHORIZATION:**

Anadromous Fish Conservation Act of 1965, Public Law 89-304, as amended, 16 U.S.C. 757a. through f., as amended; Reorganization Plan No. 4, 1970.

#### **OBJECTIVES:**

To cooperate with the States and other nonfederal interests in the conservation, development, and enhancement of the nation's Anadromous fish stocks and the fish in the Great Lakes and Lake Champlain that ascend streams to spawn, and for the control of sea lamprey.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Funds can be used for spawning area improvement, installment of fish ways, data collection, construction of fish protection devices and hatcheries, and research to improve management and increase Anadromous fish resources. Funds cannot be used for law enforcement, public relations, or construction of facilities and vessels, the primary purpose of which is to commercially harvest, handle, and process fishery products. In addition, funds cannot be used for projects in the Columbia River Basin, with the exception of the state of Idaho.

#### **Applicant Eligibility:**

Any interested person or organization may propose a cooperative undertaking. However, all proposals must be coordinated with and submitted through the State fishery agency having responsibility for the resource to be affected by the

proposal.

#### **Beneficiary Eligibility:**

General public.

#### **Credentials/Documentation:**

Proposal with statement of work and budget estimate accompanied with SF-424.

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

#### **Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. Applications must be coordinated with the State fishery agency having responsibility for the resource affected by the proposal. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional office and processed by the Grants Management Division, Office of Administration, NOAA.

#### **Deadlines:**

Project applications should be submitted 90 days in advance of desired effective date.

#### **Range of Approval/Disapproval Time:**

75 days or less.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

The Federal share of a project cost shall usually not exceed 50 percent. However, projects supporting an interstate Fishery Management Plan, the Federal share may be up to 90 percent. Real and personal property owned or controlled by a cooperator may be used in lieu of matching funds. Such real and personal property must be directly related to the work involved and must be an appropriate cost item of the project. Property may be used as matching funds until the total appraised value is exhausted.

#### **Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months.

Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures.

#### **Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the REPORTING PERIOD.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever has the latest end date.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Grants and Cooperative Agreements) FY 07 est \$1,900,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$2,000 to \$400,000. Average: \$40,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Northeast Region: AFC work was conducted on the following projects: Connecticut Anadromous Fish Investigations; Atlantic Sturgeon in the Delaware River; Restoration of American Shad and River Herring in the Androscoggin River; A Study of the Striped Bass in the Marine District of New York State; Juvenile Striped Bass Fund; and Age and Time Specific Estimates of Natural

and Fishing Mortality Rates for Striped Bass (Virginia).

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 401; available from Director, Office of Sustainable Fisheries (F/SF), National Marine Fisheries Service, 1315 East West Highway, Silver Spring, MD 20910, or from regional offices without cost. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

#### **Regional or Local Office:**

Potential applicants should make initial contact relative to this program at the Regional Office of the National Marine Fisheries Service (NMFS) that has jurisdiction over the geographic area that the project is proposed for. Alaska: Alaska Regional Office, Shawn Carey, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS. E-mail: shawn.carey@noaa.gov. Northeast: Harold C. Mears, Director, State, Federal and Constituent Programs Office, National Marine Fisheries Service, Northeast Region, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov. Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349. Telephone: (206) 526-6115 or 6113. E-mail: Kevin.ford@noaa.gov, or Stephen.freese@noaa.gov. Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701, Telephone: (727) 824-5324. Fax: (727) 824-5364. Email: Cynthia.Binkley@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562)980-4239. Fax: (562)980-4047. E-mail: trisha.culver@noaa.gov.

#### **Headquarters Office:**

Headquarters Office Program Contact: Director, Office of Sustainable Fisheries, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910, Telephone: (301) 713-2334. Fax: (301)713-0596. E-mail: anne.lang@noaa.gov. Web Site Address: [http://www.nmfs.noaa.gov/sfa/state\\_federal/state\\_federal.htm](http://www.nmfs.noaa.gov/sfa/state_federal/state_federal.htm).

#### **Web Site Address:**

Southeast Region: <http://sero.nmfs.noaa.gov/grants/grants.htm> Northeast Region: <http://www.nero.noaa.gov/StateFedOff/> Northwest Region: <http://www.nwr.noaa.gov/>.

#### **RELATED PROGRAMS:**

11.407, Interjurisdictional Fisheries Act of 1986; 11.417, Sea Grant Support.

#### **EXAMPLES OF FUNDED PROJECTS:**

Research projects to determine population characteristics and monitor catch, escapement and production levels of Anadromous species, construction projects to build or modernize hatcheries, operation and maintenance of hatcheries, fish screens and fish ways, tagging studies, data collection, etc. Northeast Region: AFC work was conducted on the following projects: Connecticut Anadromous Fish Investigations; Atlantic Sturgeon in the Delaware River; Restoration of American Shad & River Herring in the Androscoggin River; A Study of the Striped Bass in the Marine District of New York State: Juvenile Striped Bass Fund; and Age and Time Specific Estimates of Natural and Fishing Mortality Rates for Striped Bass (Virginia). Southeast Region: Research continues to determine status of striped bass population in Mississippi, the collection of fishery-dependent data for American shad in South Carolina, and alosid management in the Albemarle Sound area. Southwest Region: Salmon and steelhead research, management and enhancement. Alaska Region: Salmon Research and Management projects conducted by the Alaska Department of Fish and Game and University of Washington.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged on the degree to which they contribute to the purpose of the Act, expected results and benefits, soundness of scientific approach, cost effectiveness, and other factors.

### **11.407 INTERJURISDICTIONAL FISHERIES ACT OF 1986**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Interjurisdictional Fisheries Act of 1986, Public Law 99-659, Title III, 16 U.S.C. 4106, as amended.

#### **OBJECTIVES:**

To assist States in managing interjurisdictional fisheries resources.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Funds can be used for research and enforcement of interjurisdictional fishery resources, for the development of Fishery Management plans, and for restoration

of resources damaged by a natural resource disaster.

#### **Applicant Eligibility:**

The agency of a State government authorized under its laws to regulate commercial fisheries, and the Pacific, Atlantic, and Gulf Interstate Marine Fisheries Commissions.

#### **Beneficiary Eligibility:**

The agency of a State government authorized under its laws to regulate commercial fisheries.

#### **Credentials/Documentation:**

The Governor of each State shall notify the Secretary of Commerce which State agency is authorized to regulate commercial fisheries. An official of the State agency shall certify as the official(s) authorized in accordance with State law to commit the State to participation under the Act, to sign project documents, and to receive payments. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

#### **Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by 15 CFR Part 24, Grants and Cooperative Agreements to State and Local Governments, must be used for this program.

#### **Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Applications reviewed by the National Marine Fisheries Service Regional Program Office and processed by the NOAA Grants Management Division (OA32).

#### **Deadlines:**

Project application should be submitted 90 days in advance of desired effective date.

#### **Range of Approval/Disapproval Time:**

From 75 days or less.

#### **Appeals:**

No formal appeal procedure. If application is unacceptable the reasons are fully stated to the applicant. If the applicant desires to resubmit application, project must be revised in accordance with recommended changes.

#### **Renewals:**

No renewal. However, an approved on-going project can be extended by submission of an amendment request.

#### **Formula and Matching Requirements:**

Apportionment to States is based on average value and volume of raw fish landed by domestic commercial fishermen. No State that qualified for funding may receive less than 1/2 of 1 percent or more than 6 percent of funds appropriated in any fiscal year based on conditions of the act. Federal funding is not to exceed 75 percent of approved project costs, except where a project supports an approved interstate or Federal Fishery Management Plan, up to 90 percent Federal funding may apply. The statistical factors used for fund allocation are: (1) Three year average of value of commercial fish landed, the source is the "Fishery Statistics of the U.S."; and (2) volume of fish landed, the source is the "Fishery Statistics of the U.S." No matching requirements for commission grants.

#### **Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures.

#### **Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the six-month period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the

three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$3,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$12,000 to \$250,000. Average: \$62,522.

**PROGRAM ACCOMPLISHMENTS:**

Sample in the Northeast include: Continuation of controlling of non-indigenous species in the Great Lakes; monitoring of American lobster, horseshoe crab and blue crab population off Long Island Sound, and documentation and quantification of alosids utilizing fish passage ways.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 253 available from Director, Office of Sustainable Fisheries (F/SF), National Marine Fisheries Service, 1315 East West Highway, Silver Spring, MD 20910. or from regional offices without cost.

**Regional or Local Office:**

Potential applicants should make initial contact relative to this program at the region or area offices of the National Marine Fisheries Service listed. Alaska: Alaska Regional Office, Barbara Fosburg, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Use the same numbers for FTS. E-mail: barbara.fosburg@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: grants.information@noaa.gov. Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or 6113). E-mail Kevin.Ford@naoo.gov or Stephen.Freese@noaa.gov. Pacific Islands Region: Scott Bloom or Dan Namur, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 973-2941. E-mail: scott.bloom@noaa.gov or dan.namur@noaa.gov. Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13 Ave. South, St. Petersburg, FL 33701 Telephone: (727) 824-5324. Fax: (727) 824-5364 E-mail: Cynthia.Binkley@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802- 4213. Telephone: (310) 980-4239. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov.

**Headquarters Office:**

Program Contact: Director, Office of Sustainable Fisheries, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2334. Fax: (301)713-0596. E-mail: anne.lange@noaa.gov. Web Site Address: [http://www.nmfs.noaa.gov/sfa/state\\_federal/state\\_federal.htm](http://www.nmfs.noaa.gov/sfa/state_federal/state_federal.htm).

**Web Site Address:**

Southeast Region: <http://sero.nmfs.noaa.gov.grants.htm>. Northeast Region: <http://www.nero.noaa.gov/sttefedoff/>. Northwest Region: <http://www.nwr.noaa.gov/1susfish.htm>. Pacific Islands Region <http://swr/nmfs.noaa.gov/pir/index.htm>

**RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.417, Sea Grant Support; 11.474, Atlantic Coastal Fisheries Cooperative Management Act.

**EXAMPLES OF FUNDED PROJECTS:**

Fisheries monitoring, assessment and evaluation, extension services, enforcement, construction, collection, compilation and evaluation of fisheries statistics, aquaculture experiments, etc. Northeast: Unassessed Catch and Harvest of Nearshore Species in IL Waters of Lake Michigan, A Partnership Approach for Controlling non-indigenous Aquatic species in the Great lakes, Monitoring of the American Lobster Resource Fishery in New Hampshire, Fishery Dependent Monitoring of the American Lobster, Horseshoe Crab and Blue Crab populations in the Marine District of Long Island Sound, Documentation & Quantification of Alosids Utilizing Fish Passage Facilities & Collection of Biological Data on Adult American Shad, Rhode Island Lobster Research and Management Project, and Great Lakes Commercial Fisheries Licensing and Harvest Statistics Information Systems. Southeast: Development, monitoring, implementation and revision of fishery management plans for blue crab, menhaden, striped mullet, shrimp, striped bass, oyster, black drum, red drum, etc. Research addressing stock assessment, stock identification, stock status, life history characteristics, and gear impacts has continued to provide valuable information for effective management of important marine resources. Commercial landings and biostatistics provide vital data for the management of Caribbean resources. Southwest Region: Monitoring and Management of California Commercial Coastal Pelagic Species. Alaska Region: Determine domestic groundfish landings; Collect biological data on key species; continue longline, dinglebar troll and trawl logbook programs; Conduct resource assessment surveys; implement closures for fisheries in state waters and state-managed fisheries in federal waters as needed. The Pacific Island Regional Office in Hawaii: includes grants to Guam, CNMI, Hawaii, American Samoa.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.408 FISHERMEN'S CONTINGENCY FUND

(Title IV)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Outer Continental Shelf Lands Act Amendments of 1978, Title IV, Section 402.

**OBJECTIVES:**

To compensate U.S. commercial fishermen for damage/loss of fishing gear and 50 percent of resulting economic loss due to oil and gas related activities in any area of the Outer Continental Shelf.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Applicant must be a U.S. commercial fisherman.

**Beneficiary Eligibility:**

U.S. Commercial fishermen.

**Credentials/Documentation:**

Financial statements, records, logbooks, receipts, and estimates which establish that the applicant is a fisherman and owned the property for which compensation is claimed.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit applications to Chief, Financial Services Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

**Award Procedure:**

Review and approval by Financial Services Division, NMFS.

**Deadlines:**

Ninety day statutory filing period for claims. Presumption of causation allowed if reported within 15 days after the vessel first returns to port from the trip of the casualty.

**Range of Approval/Disapproval Time:**

For two months.

**Appeals:**

Assistant Administrator, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

None.

**Account Identification:**

13-5120-0-2-376.

**Obligations:**

FY 07 \$175,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$500 to \$54,000. Average: \$6,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2006 and 2007, 25 claims are estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from Chief, Financial Services Division, National Marine Fisheries Service. 43 U.S.C. 1841 et seq; 50 CFR Part 296.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Financial Services Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2396. Fax: (301) 713-1306. E-mail: Charles.Cooper@noaa.gov.

**Web Site Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/fcf.htm](http://www.nmfs.noaa.gov/mb/financial_services/fcf.htm).

**RELATED PROGRAMS:**

None.



**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.413 FISHERY PRODUCTS INSPECTION AND CERTIFICATION**

(Inspection and Grading of Fishery Products)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, Public Law 79-733, 7 U.S.C. 1624-1627;  
Fish and Wildlife Act of 1956, as amended, Public Law 84-1024, 16 U.S.C.  
742(a)-742(j); Reorganization Plan No. 4, 1970.

**OBJECTIVES:**

To ensure that the hygienic aspects of seafood harvesting and processing operations meet the minimum public health requirements and to determine and certify the identity, condition, and distributing quality, and quantity of seafood products.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The voluntary inspection, grading and certification of seafood is made at the processing plant, or at other locations depending upon the inspection services desired. Funds are derived from fees charged for the services provided.

**Applicant Eligibility:**

Any individual, Federal, State, county, or municipal agencies, or carrier having a financial interest in the commodity.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Applicants must stipulate that they have a financial interest in the product. Applicants for in-plant inspection service must furnish a surety bond or other guarantee of payment. Applicants for other types of services may be required to furnish a surety bond or make payment prior to the receipt of services.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants for in-plant inspection services must do so in writing to the nearest regional inspection office. Requests for other types of services may be made orally or in writing to the Regional Inspection Office.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$18,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

As of December 2004, over 325 official establishments were under contract inspection. Over 175 of those contract establishments participate in the voluntary NMFS HACCP quality management program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Chapter II, Parts 260 to 267; Inspection Services Brochure, USDC approved list of fish establishments and products, free. Also available on the Internet at <http://seafood.nmfs.noaa.gov/>. Service fees are established annually.

**Regional or Local Office:**

None.

**Headquarters Office:**

Inspection Services Division, National Marine Fisheries Services, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2355. Toll free: (1-800) 422-2750.

**Web Site Address:**

<http://seafood.nmfs.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.415 FISHERIES FINANCE PROGRAM****FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

46 U.S.C. 1271 et seq., 50 CFR 253.

**OBJECTIVES:**

Provides direct loans for certain fisheries costs. Vessel financing available for the purchase of used vessels or the reconstruction of vessels (limited to reconstructions that do not add to fishing capacity). Refinancing available for existing debt obligations. FFP loans are not issued for purposes which could contribute to over capitalization of the fishing industry. Finance or refinance fisheries shore side facilities or Aqua cultural facilities. Provides Individual Fishing Quota (IFQ) financing (at the request of a Fishery Management Council). IFQ financing available at this time to first time purchasers and small vessel operators in the Halibut Sablefish fisheries. Provides financing for Community Development Quota groups fisheries investments in the Bering Sea Aleutian Islands Pollock fishery. Provides long term fishery buy back financing (at the request of a Fishery Management Council or Governor) to purchase and retire fishing permits and/or fishing vessels in overcapitalized fisheries.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Direct loans for up to 80 percent of actual cost, for reconstruction or reconditioning of fishing vessels and renovation, repair or construction of fisheries shore side facilities (including aquaculture facilities). Maximum maturity up to 25 years. Funds from this program are not used for purposes which contribute to over capitalization of the fishing industry.

**Applicant Eligibility:**

Applicant must possess the ability, experience, financial resources, and other qualifications necessary to operate successfully and repay the debt.

**Beneficiary Eligibility:**

Commercial fishermen, processors or distributors of fishery products.

**Credentials/Documentation:**

Financial statements, records, business history, and tax returns.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Maximum term is 25 years. Financing based on the economic useful life of the asset financed.

**Reports:**

Annual Financial Statements and associated financial information as needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Agency has the right to inspect all relevant financial documents and records.

**Account Identification:**

13-4417-0-3-376.

**Obligations:**

FY 07 \$59,000,000 (traditional), \$5 million (QS); FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$10,000 to \$100,000,000. Average: \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Direct traditional loans: 31 loans for \$59 million. QS loans: 27 loans for \$5 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 253.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Charles Cooper, Acting Chief, Financial Services Division, National Marine Fisheries Service, Department of Commerce, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713- 2390. Fax: (301) 713-1306. E-mail: earl.bennett@noaa.gov.

**Web Site Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/ffp.htm](http://www.nmfs.noaa.gov/mb/financial_services/ffp.htm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Vessel loans, aquaculture, Quota share, buyback.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.417 SEA GRANT SUPPORT

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Sea Grant College Program Improvement Act of 1976, Public Law 94-461, as amended, 33 U.S.C. 1121 et seq., as amended, Public Law 100-220; National Sea Grant College Program Act, Title III.

**OBJECTIVES:**

To support the establishment and operation of major university centers for marine resources research, education, and training and to support marine advisory services. Some individual efforts in these same areas also receive funding.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, education and training, and advisory services. Coherent area, institutional and Sea Grant College support is provided to some institutions. Grant money cannot be used to purchase, or construct ships or facilities.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories; any public or private corporation, partnership, or other association or entity; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with professional interest in marine affairs.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Made in a proposal to Headquarters Office or local Sea Grant program fully documenting need for grant and proposed amount. This program is excluded from coverage under OMB Circular No. A- 102.

**Award Procedure:**

Awards are made competitively on the basis of proposal evaluation.

**Deadlines:**

Vary, RFPs listed in Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

None.

**Renewals:**

By negotiation with Sea Grant Office.

**Formula and Matching Requirements:**

At least one-third of total cost must be obtained from nonfederal sources.

Projects designed to meet specified national needs may be supported up to 100 percent.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Financial status reports and performance reports required quarterly. Final reports are required at the end of the support period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for purpose for which grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$51,250,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$5,000 to \$3,900,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 600-635; Literature: Suggestions for Submission of Proposals and Administration of Grants, National Sea Grant Program (no charge). Federal Register Vol. 43, No. 70 dates April 1978 and Vol. 43, No. 153 dated August 8, 1978, Part III, Title 15, Chapter IX, Part 917. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, National Sea Grant College Program, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2448.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.407, Interjurisdictional Fisheries Act of 1986; 11.419, Coastal Zone Management Administration Awards; 11.420, Coastal Zone Management Estuarine Research Reserves; 11.430, Undersea Research; 20.806, State Maritime Schools; 20.807, U.S. Merchant Marine Academy; 47.050, Geosciences.

**EXAMPLES OF FUNDED PROJECTS:**

Cardiovascular, Anticancer, and Central Nervous System Drugs from Marine Organisms; Marine Fouling and Corrosion in seawater; Fisheries Oceanography; Population Dynamics; Fish Habitat relationship; Marine Finfish and shellfish aquaculture; Effect of pollutants on marine resources and Ecosystems; Seafood quality and safety; and coastal erosion.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged on the degree to which they contribute to the purposes of the Act, along with their relevance to the oceans, Great Lakes, and the marine environment. They are also judged on expected results and benefits, soundness of scientific approach, cost effectiveness, and other factors.

## 11.419 COASTAL ZONE MANAGEMENT ADMINISTRATION AWARDS

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Coastal Zone Management Act of 1972, Section 305, Section 306, Section 309, and Section 6217, Public Law 92-583, 16 U.S.C. 1451 et seq.; Coastal Zone Management Act Amendments of 1976, Section 306, Public Law 94-370; Coastal Zone Management Act Amendments of 1980, Public Law 96-464; Coastal Zone Management Act Amendments of 1984, Public Law 98-620; Coastal Zone Management Act Amendments of 1986, Public Law 99-272; Coastal Zone Act Reauthorization Amendments of 1990, Public Law 101-508;

Coral Reef Conservation Act of 2000, Section 6403, Public Law 106-562.

**OBJECTIVES:**

To assist States in implementing and enhancing Coastal Zone Management and related programs that have been approved by the Secretary of Commerce.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreements may be used only to implement and enhance the States' approved Coastal Zone Management programs. This includes personnel salaries, travel and other related costs required to support the administration of the program. Ten to twenty percent of Section 306 funds are available annually to develop new program requirements under Section 309 in the areas of coastal wetlands management and protection; natural hazards management (including potential sea and Great Lakes level rise); public access improvements; reduction of marine debris; assessment of cumulative and secondary impacts of coastal growth and development; special area management planning; impacts of coastal growth and development; special area management planning; ocean resource planning; and citing of coastal energy and Government facilities. and program development grants as authorized by section. Section 310 can be used to provide grants for technical assistance and to address coastal issues such as Coastal Nonpoint Source Pollution Program Implementation and Coral Reef conservation activities. CELP can be used to provide grants for protecting important coastal and estuarine areas that have significant conservation, recreation, ecological, historical, or aesthetic values, or that are threatened by conversion from their natural or recreational state to other uses (16 USC 33 Section 1456d).

**Applicant Eligibility:**

Any coastal State, including those that border the Great Lakes, and including Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States of the Pacific whose Coastal Zone Management program has been approved by the Secretary of Commerce. The Governor shall designate the State agency or entity that is to be the applicant.

**Beneficiary Eligibility:**

Any coastal State, including Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States of the Pacific whose Coastal Zone Management program has been approved by the Secretary of Commerce.

**Credentials/Documentation:**

Letter from Governor designating the applicant. Proposal with statement of work and budget estimate. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.gov. The Application for Federal Assistance (Non-construction Programs) SF-424 is to be submitted in original and two copies. This program is subject to provisions of 15 CFR Part 24 for State and local governments. CELP and Coral Reef conservation awards are competitively selected through a peer review process.

**Award Procedure:**

Applications are approved by the Office of Ocean and Coastal Resource Management.

**Deadlines:**

Applications should be submitted 180 days prior to the beginning date of the grant.

**Range of Approval/Disapproval Time:**

From 90 to 150 days.

**Appeals:**

No formal procedure. If application is unacceptable the applicant is fully informed and applicant may revise application.

**Renewals:**

Continuation grants on an annual basis are available. Individual grants may be extended, however, all funds must be obligated within the fiscal year following the fiscal year of the original award.

**Formula and Matching Requirements:**

A percentage of the total project cost which varies by fiscal year, must be provided by the applicant. Federal funds from other sources cannot be used to match. Awards must be not less than one percent of the amount appropriated each fiscal year. Eighty to ninety percent of awards are allocated by formula. The statistical factors used for fund allocation are: (1) Population in counties

within the state's legally defined coastal zone, and the source is the 2000 Decennial Census; and (2) miles of coastal shoreline and the source is "The Coastline of the United States," NOAA. The remaining funds are allotted by cooperative criteria established annually.

**Length and Time Phasing of Assistance:**

Grants are normally made for 18 months. Funds are released as required.

**Reports:**

Financial status reports and performance reports are required semi-annually. Final financial status reports are required within 90 days of the award ending date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13x1450; 1306/071450; 1306/081460.

**Obligations:**

(Grants) FY 07 \$73,546,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$300,000 to \$2,000,000; \$1,300,000 average per financial assistance award.

**PROGRAM ACCOMPLISHMENTS:**

Thirty-four coastal States and U.S. island territories, covering 99 percent of U.S. coastline, participate in this voluntary partnership. The nature and structure of CZM programs vary widely from State to State. Some States have passed comprehensive coastal management legislation while others have used existing land use legislation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 923. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Coastal Programs Division, Office of Ocean and Coastal Resource Management, National Ocean Service, National Oceanic and Atmospheric Administration, Department of Commerce, 1305 East-West Highway, 11th Floor, Silver Spring, MD 20910. Telephone: (301) 713-3155. Use the same number for FTS.

**Web Site Address:**

<http://coastalmanagement.noaa.gov/czm/>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support; 11.420, Coastal Zone Management Estuarine Research Reserves.

**EXAMPLES OF FUNDED PROJECTS:**

Coastal management programs have been actively involved in protecting wildlife and fisheries habitats, and regulating land use impacts on water quality. In addition, coastal programs have taken the leadership of nationwide beach clean-ups; marshes are protected in South Carolina and development along the State's 2,876 mile shoreline is now subject to pollution and storm water guidelines; CZM studies led to State bonds to rebuild coastal fishing piers and facilities; in California, the permit for a marina was conditioned to provide at least 80 percent of berthing for commercial fishing vessels, thus assuring them a permanent base. Coastal land valued acquired for public access in the ten States and territories cited; land obtained for recreation in California, Massachusetts, and Guam; access ways to the water have been designated in Rhode Island and California.

**CRITERIA FOR SELECTING PROPOSALS:**

While 80 to 90 percent of the appropriated funds are allocated to States through a formula based on coastal population and shoreline mileage, the tasks in the State application are reviewed for relevance to program objectives and cost effectiveness. The remainder of the funds are allocated according to criteria published by the Coastal Program Division. CELP and Coral Reef funds are distributed through a competitive process, subject to availability of funds for competitive awards.



## 11.420 COASTAL ZONE MANAGEMENT ESTUARINE RESEARCH RESERVES

### FEDERAL AGENCY:

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

### AUTHORIZATION:

Coastal Zone Management Act of 1972, Section 312, Public Law 92-583, 16 U.S.C. 1451 Seq.; Coastal Zone Management Act Amendments of 1987, Section 315 (1), Public Law 94-370; Coastal Zone Management Act Amendments of 1980, Public Law 96-464; Coastal Zone Management Act Amendments of 1984, Public Law 98-960; Coastal Zone Act Reauthorization Amendments of 1990, Public Law 101-508.

### OBJECTIVES:

To assist States in the development, acquisition, monitoring, research, education, operation and facilities construction for National Estuarine Research Reserves for the purpose of creating natural field laboratories to gather data and make studies of, and educate people about the natural and human processes occurring within the estuaries of the coastal zone.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Grants may be used to cover the costs of land acquisition, development, research, education, operation and facilities construction for National Estuarine Research Reserves. Development and operation costs may include the administrative expenses necessary for implementing reserve programs. Grants are available to states for education projects at reserves. Competitive research grants are also available.

### Applicant Eligibility:

Land acquisition, development, operation, and facilities construction grants are available to any coastal State and, in some cases, public or private person, including those bordering the Great Lakes. For the purposes of the Coastal Zone Management Act, the coastal State also applies to Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Governor shall designate the State agency or entity to be the applicant. Competitive research grants are available to any coastal State or qualified public or private person. Education grants are available to any coastal State entity.

### Beneficiary Eligibility:

Any coastal State including those bordering the Great Lakes, as well as Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible for reserve operation, land acquisition, or construction awards where a reserve has been designated and for development awards for designating new reserves. Also qualified students are eligible to apply for research fellowship grants.

### Credentials/Documentation:

(1) For development grants: A letter from the Governor designating the lead agency for new reserve development; (2) for competitive research grant proposals which do not come from the lead agency: A letter from the reserve manager indicating formal support of the application by the lead agency; (3) for reserve operations, land acquisition, and construction: An application from the reserve lead agency or its designee. For all grants, a statement of work and budget estimate must be submitted. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments.

### Preapplication Coordination:

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." If a State or local government is the provider of matching funds, an applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance if the State has selected the program for review.

### Application Procedure:

Proposals are submitted through Grants.gov. For development (construction) awards, the Application for Federal Assistance (For Construction Programs) SF-424, as furnished by NOAA is to be submitted in original plus two copies. For operation and management, education and research, acquisition and non-construction development awards, the application for Federal assistance (For Non-Construction Programs) SF-424 is to be used. This program is subject to the provisions of 15 CFR Part 24 for State and local governments.

### Award Procedure:

Applications are approved by the Office of Ocean and Coastal Resource Management and Grants Management Division.

### Deadlines:

Preapplications and applications should be submitted 150 and 120 days respectively prior to grant beginning date.

### Range of Approval/Disapproval Time:

From 90 to 150 workdays.

### Appeals:

No formal procedure. If application is unacceptable the applicant is fully informed and may revise application.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Range from 0 to 50 percent of the total project cost provided by the applicant depending upon the type of project. The Federal share for each reserve shall not exceed \$5,000,000 for acquisition of lands, waters or interests therein, unless using Congressionally-directed funds.

### Length and Time Phasing of Assistance:

Generally, 18 months. Land acquisition and construction may be longer. Funds are released as required.

### Reports:

All financial status reports and performance reports are required semi-annually.

### Audits:

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, Local Governments, Nonprofit Organizations, and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

### Records:

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the Final expenditure report is submitted.

### Account Identification:

13-1450-0-1-306; 13-1460-0-1-306.

### Obligations:

(Grants) FY 07 \$23,178,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$20,000 to \$6,000,000. Average: \$300,000.

### PROGRAM ACCOMPLISHMENTS:

By the end of fiscal year 2005, there were 26 designated estuarine research reserves.

### REGULATIONS, GUIDELINES, AND LITERATURE:

15 CFR Part 921 National Estuarine Research Reserve System Program Regulations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

### Regional or Local Office:

None.

### Headquarters Office:

Chief, Estuarine Reserves Division, Office of Ocean and Coastal Resource Management, National Ocean Service, National Oceanic and Atmospheric Administration, Department of Commerce, 1305 East-West Highway, N/ORM5, 10th Floor Silver Spring, MD 20910. Telephone: (301) 713-3155.

### Web Site Address:

<http://www.nerrs.noaa.gov>.

### RELATED PROGRAMS:

11.417, Sea Grant Support; 11.419, Coastal Zone Management Administration Awards; 11.429, Marine Sanctuary Program.

### EXAMPLES OF FUNDED PROJECTS:

Generic projects/activities funded under the National Estuarine Research Reserve program consist of: acquisition of lands to be included in the reserve; site selection procedures and management plan development; construction projects; operation of the reserve; and resource stewardship, research, and educational activities.

### CRITERIA FOR SELECTING PROPOSALS:

There are five types of awards to coastal States under the National Estuarine Research Reserve Program: (1) land acquisition; (2) development; (3) operation, education, monitoring; (4) research; and (5) facilities construction. Detailed criteria for the State's development of these awards and criteria for reviewing each award are provided in the regulations for the National Estuarine Research Reserves Program (15 CFR Part 921). Final regulations were published in the Federal Register, July 15, 1993.

## 11.426 FINANCIAL ASSISTANCE FOR NATIONAL CENTERS FOR COASTAL OCEAN SCIENCE

### FEDERAL AGENCY:

**AUTHORIZATION:**

Marine Protection, Research, and Sanctuaries Act of 1972, Title II, Section 201 and 202, Public Law 92-532; National Ocean Pollution Planning Act of 1978, Section 6, Public Law 95-273; Executive Order 13158.

**OBJECTIVES:**

To determine the long-term consequences of human activities which affect the coastal and marine environment; to assess the consequences of these activities in terms of ecological, economic, and social impacts upon human, physical and biotic environments, and to define and evaluate management alternatives which minimize adverse consequences of human use of the coastal and marine environments and resources. Executive Order 13158 directs Federal agencies to work collaboratively with public and private interests to develop a science-based framework for the national system of marine protected areas (MPAs). To insure compliance with this order, NCCOS is intending to conduct an integrated assessment (IA) examining the impacts of various marine resources uses on sustainable fisheries, biodiversity, and submerged cultural artifacts and looking at how a network of MPAs can be used to manage those impacts. The assessment is intended to provide scientific information that can be used to evaluate the existing system, evaluate options for future potential action, and identify gaps in our understanding of this issue. The IA will give stakeholders in the area a process for evaluating alternative methods of implementing E.O. 13158 and a product that 1) identifies objectives and priorities for marine protection and habitat enhancement, 2) outlines agreed-upon actions and implementation plans to achieve marine protection and habitat enhancement benefits, 3) serves as a tool for subsequent IAs, and 4) maintains or improves ecosystem health and the health of high priority, at-risk species. This assessment will be conducted in collaboration with NOAA's MPA Center, National Marine Sanctuaries (NMS), Non-Governmental Offices (NGO) and academic partners. Integrated assessments serve as a formal bridge between science and management to integrate the best existing scientific information for use by coastal managers. Integrated assessments 1) document status and trends of ecosystem and cultural resource conditions, 2) relate those trends to their environmental and economic causes and consequences, 3) predict outcomes of alternative management actions, and 4) review means to implement those alternatives. A successful IA is responsive to policy-relevant questions, based on peer review and public participation, broadly integrated and synthetic, based on high-quality existing information, and predictive.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories, State and local government agencies, public or private profit or nonprofit entities or individuals.

**Beneficiary Eligibility:**

Organizations and individuals with demonstrated professional expertise in determining, assessing and portraying the temporal and spatial distribution of chemical contaminants and their impact upon physical, biotic and human environments, particularly coastal ecosystems. With regard to the IA competitive program element, organizations and individuals with interests in a national system of marine protected areas (MPAs).

**Credentials/Documentation:**

None. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with Commercial Organizations, codified at 48 CFR 31.2.

**Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A standard application form (SF-424) should be submitted with a statement of work and estimated budget to the National Ocean Service, National Centers for Coastal Ocean Science (N/SCI), 1305 East-West Highway, Silver Spring, MD 20910. This program is subject to the requirements of CFR Part 14, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Nonprofit and Commercial Organizations, which replaces OMB Circular No. A-110 as the administrative rules applicable to these awards. In addition, this program is subject to the requirements of 15

CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments", which replaces OMB A-102 as the administrative rule applicable to these awards. Applicable administrative requirements and cost principles are identified in each award and are incorporated into the award by reference. Proposals are submitted through Grants.Gov. Applicants will need to enter the funding opportunity number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the National Centers for Coastal Ocean Science Office. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of proposal evaluation. For the IA competitive program element, awards are made on the basis of competitive peer review of proposals.

**Deadlines:**

No specific deadlines for proposal submission. Proposals will be reviewed several times a year. For the IA competitive program element, proposals must be submitted in accordance with instructions published in the Federal Register notice. The deadline date will be at least thirty days after the date of publication in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 210 days from the time of proposal receipt.

**Appeals:**

None.

**Renewals:**

By application to the National Centers for Coastal Ocean Science, 1305 East-West Highway, Silver Spring, MD 20910. Attn: Gary Matlock.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Support for projects may be provided for periods up to 5 years in annual increments. Funds are released as required.

**Reports:**

Semi-annual and final performance reports; quarterly and final financial reports, and other special reports as may be required on a case-by-case basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, Local Governments, Nonprofit Organizations, and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement (OMB Circular No. A110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments). The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$1,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$20,000 to \$550,000. Average: \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Accomplishments vary from year to year based on the specific mix of cooperative agreements actually funded. Programs under this CFDA conduct ecosystem and targeted research studies on Great Lakes and marine ecosystems to understand, describe, monitor, assess, model and predict the response of these systems to natural and human induced changes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Ocean Service, National Centers for Coastal Ocean Science (N/SCI), 1305 East-West Highway, Silver Spring, MD 20910. attn: Gary Matlock.

**Web Site Address:**

<http://www.nccos.noaa.gov>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support.

**EXAMPLES OF FUNDED PROJECTS:**

Assessments of estuarine and marine contaminants, harmful algal blooms, habitats, and natural resources, as they pertain to coastal ecosystems health and

biodiversity. Development of a data set of characteristics of the Nation's coasts and oceans including erosion rates, coastal vulnerability indices and coastal hazards for incorporation into a geographic Information System and other microcomputer desktop information systems for further analysis.

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants/cooperative agreements, criteria for selecting proposals is contained in the individual program solicitation. For non-competitive grants, applications received by NCCOS are reviewed for completeness, accuracy, and compliance with all program requirements. Final funding decisions will be constrained by the actual amount of agency funding available and changes in programmatic priorities.

**11.427 FISHERIES DEVELOPMENT AND UTILIZATION RESEARCH AND DEVELOPMENT GRANTS AND COOPERATIVE AGREEMENTS PROGRAM**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Saltonstall-Kennedy Act, as amended, 15 U.S.C. 713c-3(c).

**OBJECTIVES:**

To increase greatly the Nation's wealth and quality of life through sustainable fisheries that support fishing industry jobs, safe and wholesome seafood, and recreational opportunities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Proposals must respond to funding priorities in the annual solicitation. Applicants should demonstrate an awareness of the fisheries resources in the region over which the resource extends as well as the issues/problems involving such fisheries. Issues/problems addressed in the project should be supported by industry experience.

**Applicant Eligibility:**

Any U.S. citizen or national, or any citizen of the Northern Mariana Islands, the Republic of the Marshall Islands, Republic of Palau, or the Federated States of Micronesia; or group including State and local governments, except that employees of Federal agencies, and Regional Fishery Management Councils and their employees, are not eligible.

**Beneficiary Eligibility:**

Any U.S. citizen or national, or any citizen of the Northern Mariana Islands, the Republic of the Marshall Islands, Republic of Palau, or the Federated States of Micronesia; or group including State and local governments.

**Credentials/Documentation:**

Proposal with statement of work and budget estimate. See annual solicitation published in the Federal Register for details. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should contact the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. A listing of State single points of contact under E.O. 12372 is available at [www.hhs.gov/grantsnet/lawsregs/eo.htm](http://www.hhs.gov/grantsnet/lawsregs/eo.htm).

**Application Procedure:**

Submit Standard Form 424, project proposal and budget following the format specified by the funding office in the annual solicitation. Proposals are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to NOAA. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are reviewed after the submission deadline in competition with all other proposals submitted. To the extent that funds are available, those proposals judged to best meet priorities are funded. Either grants or cooperative agreements will be awarded.

**Deadlines:**

Solicitation published once each fiscal year for which there is an allocation by the Congress for the program. Notice is published in the Federal Register; deadline is 60 days after date of publication.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

None.

**Renewals:**

Projects of up to 24-month durations will be considered. Proposals for

continuing work must be competed.

**Formula and Matching Requirements:**

By statute, the Federal share must be at least 50 percent of the total costs of the project. The requirement for cost-sharing varies from year to year as published in the solicitation. For example, for the FY 2002 solicitation, a 10 percent minimum cost share was required.

**Length and Time Phasing of Assistance:**

Grants are not to exceed 24 months. Financial status reports are completed and submitted.

**Reports:**

Semiannual progress and financial reports shall be due within 30 days after the end of the 6-month period. Final reports shall be submitted within 90 days after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and NonProfit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an agreement shall be retained for a period of three years.

**Account Identification:**

13-5139-0-2-376.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For costs principles, see OMB Circular No. A-87 (State and local governments) and OMB Circular No. A-122 for other recipients. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

Northeast Region: Harold C. Mears, Director, State, Federal and Constituent Programs Office, National Marine Fisheries Service, Northeast Region, One Blackburn Drive, Gloucester MA 01930-2298; Telephone: (978)281-9243; Fax: (978) 281-9117; Email: [Harry.Mears@noaa.gov](mailto:Harry.Mears@noaa.gov).

**Headquarters Office:**

Headquarters Office: Steve Aguzin, NOAA National Marine Fisheries Service, Financial Services Division, 1315 East-West Highway, Rm. 13134, Silver Spring, MD 20910 (301) 713-2358 x 215. Fax: (301) 713-1306. E-mail: [Stephen.Aguzin@noaa.gov](mailto:Stephen.Aguzin@noaa.gov).

**Web Site Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/skhome.htm](http://www.nmfs.noaa.gov/mb/financial_services/skhome.htm)

**RELATED PROGRAMS:**

11.407, Interjurisdictional Fisheries Act of 1986; 11.417, Sea Grant Support.

**EXAMPLES OF FUNDED PROJECTS:**

Northeast Region: Safety Training for Commercial Fishermen. The primary goals of this project are to reach as many commercial fishermen as possible on a voluntary basis to provide them with hands-on safety and survival skills that will give them enough knowledge and experience to know what to do in case of emergencies.

**CRITERIA FOR SELECTING PROPOSALS:**

Significance of the issue addressed in the proposal, methodology proposed, responsiveness to published priorities, cost proposed, etc.

**11.429 MARINE SANCTUARY PROGRAM**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Marine Protection, Research, and Sanctuaries Act of 1972, Title III, Public Law 92-532, 16 U.S.C. 1431 et seq.; Marine Sanctuaries Amendments of 1984, Public Law 98-498; Marine Sanctuaries Amendments of 1988, Public Law 100-627; National Marine Sanctuaries Program Amendments Act of 1992, Public Law 102-587. National Marine Sanctuaries Preservation Act of 1996, Public Law 104-283; National Marine Sanctuaries Amendments Act of 2000, Public Law 106- 513.



**OBJECTIVES:**

To identify areas of the marine environment of special national significance due to their resource or human-use values; to provide authority for comprehensive and coordinated conservation and management of these marine areas that will complement existing regulatory authorities; to support, promote, and coordinate scientific research on, and monitoring of, the resources of these marine areas; to enhance public awareness, understanding, appreciation, and wise use of the marine environment; and to facilitate, to the extent compatible with the primary objective of resource protection, all public and private uses of the resources of these marine areas not prohibited pursuant to other authorities; and to support organizations that provide environment-based education to students, teachers and communities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative agreements are entered into for the purpose of conducting research and educational programs; for the solicitation of private donations for the support of such activities in the Marine sanctuary system; to conduct enforcement activities at Marine sanctuary sites; and for other activities to carry out the purposes of the National Marine Sanctuaries Act. Scholarships are provided for masters and doctorate level studies particularly by women and minorities who are pursuing degrees in Marine Biology, Maritime Archaeology and Oceanography.

**Applicant Eligibility:**

States, local governments, regional agencies, interstate agencies, k-through-12 public and independent schools and school systems, institutions of higher education, commercial and nonprofit organizations, Indian tribal Governments, or other persons. Agreements to solicit private donations may only be made with nonprofit organizations. Scholarships are awarded to individuals who are U.S. citizens and have been admitted to a masters or doctorate program for studies in Marine Biology, Maritime Archaeology, and Oceanography.

**Beneficiary Eligibility:**

Financial assistance is made for a public purpose. The ultimate beneficiary is the public. The scholarship program benefits individuals who do not have the financial means of pursuing graduate level studies and, in turn, ensures that women and minorities are representative in the areas supported by the scholarship program.

**Credentials/Documentation:**

Proposal with statement of work and budget estimate. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit organizations.

**Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. This program is excluded from coverage under E.O. 12372. For the scholarships to individuals, there is no preapplication requirement.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. For cooperative agreements and competitive awards, the application package will be submitted directly to the National Marine Sanctuary Program. For scholarships, the application package will be submitted directly to the NOS Office of the assistant Administrator. This program is subject to the provisions of OMB Circular No. A-110, for institutions of higher education and other nonprofit organizations, and with 15 CFR Part 24 for State and local governments. Monterey Bay Watershed Education and Training Program Awards are competitively selected. The application process is described in the annual Federal Register Notice. For the scholarship program, the application process is described in the annual Federal Register Notice.

**Award Procedure:**

The cooperative agreement and competitive grants awards are approved by the National Marine Sanctuary Program. Scholarship awards are approved by NOS Associate Assistant Administrator for Management.

**Deadlines:**

Proposals should be submitted 120 days prior to the beginning date of the cooperative agreement. Competitive grant deadlines and scholarship deadlines are published in the annual Federal Register Notice.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

No formal procedure.

**Renewals:**

The National Marine Sanctuary Program may renew funding for existing grants that were funded in the previous application process. New grants may be awarded pending successful review of a new application package, and adequate progress reports and/or site visits.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Awards are usually made for a 1 year period. Funds are released as required.

**Reports:**

Financial Status Reports and Performance Reports are required quarterly or semi-annually. For the scholarships, an annual Progress Report is required and a final Progress Report is required at the end of the award. For the competitive awards, Financial and Performance Reports are semi-annually and a comprehensive final Progress Report is required at the end of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, recipients that are States, Local Governments, Nonprofit Organizations, and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the Final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$10,021,934; FY 08 est not available; and FY 09 est not reported. (Scholarships) FY 07 \$350,000; FY 08 est not available; and FY 09 est not reported. (Competitive awards) FY 07 \$1,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Cooperative Agreements: FY 2006 - \$200,000 to approximately \$3,940,000. Average: \$1,695,000. Scholarships: \$32,000. Competitive award: \$10,000 - \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

There are currently 13 designated marine sanctuaries, and a 14th sanctuary site is in the designation process. Management Plan Reviews are underway at seven sites. In fiscal year 2004, the National Marine Sanctuary Program (NMSP) launched the Sanctuary integrated Monitoring Network (SIMoN) that enables researchers to monitor the sanctuary effectively by integrating existing monitoring programs and identifying gaps in information; ground was broken on a new Maritime Heritage Center at Thunder Bay; working in conjunction with the NMS Foundation, a suite of outreach activities have been conducted to achieve the goals of increasing visibility and/or educational efforts related to the NMSP. National Science Teachers Association (NSTA) has completed and will present three Science Guides (formal education professional development tools) on corals, estuaries, and the effects of the ocean on weather and climate as well as a symposium for 80 middle and high school level educators on coral ecosystems in cooperation with NOAA in FY 06. The Monterey Bay Watershed Education and Training Program funded 10 grants and 2 cooperative agreements in FY 05 and a estimated 35 grants and 4 cooperative agreements in FY 06; and emergency response tools and capabilities were expanded across the program. Fourteen students were awarded scholarships in FY 04. Nine were continuing and 5 new awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 922. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

Regional or Local Office. Local Offices at each sanctuary.

**Headquarters Office:**

Headquarters Office Director, National Marine Sanctuary Program/NOS, 1305 East West Highway, Silver Spring, MD 20910. Maureen Warren (301) 713-3125 x251 and Matthew Stout (301) 713-3125 x273. Monterey Bay Watershed Education and Training Program: Seaberry Nachbar (831) 647-4204. For Scholarships: Chantell Haskins (301)713-9437 x125, NOAA Education Office, OAR HQTR Route: R, Bldg SSMC3-Room 10742, 1315 East West Highway, Silver Spring, MD 20910-3282, E-mail: Chantell.Haskins@noaa.gov.

**Web Site Address:**

<http://www.sanctuaries.nos.noaa.gov/> <http://www.sanctuaries.nos.noaa.gov/bwet>  
For Scholarships: <http://www.fosterscholars.noaa.gov>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support; 11.419, Coastal Zone Management Administration Awards; 11.420, Coastal Zone Management Estuarine Research Reserves; 11.457, Chesapeake Bay Studies; 11.473, Coastal Services Center.

**EXAMPLES OF FUNDED PROJECTS:**

Long-term management efforts at Fagatele Bay National Marine Sanctuary; Educational programming and interpretation to create greater public awareness of the significance of marine sanctuaries; building the infrastructure to bring live video from a sanctuary site to the American public; Jason Foundation to support an innovative science and technology education program for middle-school students and teachers; Co-sponsor National Geographic Society's Oceans for Life/Field Studies Project for teacher-student pairs at the Florida Keys and Channel Islands National Marine Sanctuaries. The second annual Alligator Symposium was held in Norfolk, VA on October 30-31, 2004. The Monterey Bay Watershed Education and Training Program awarded a grant to allow students to investigate the factors that influence the health of invertebrates by assessing the sand crab population and by measuring the environmental factors that impact the sand crab population at a local beach. Scholarships were awarded to graduate students studying Marine Biology, Oceanography, and Maritime Archeology.

#### **CRITERIA FOR SELECTING PROPOSALS:**

A set of ranking criteria was developed to establish the priority of proposed efforts funded through the National Marine Sanctuary Program. The criteria include: (1) importance of the information or transaction for sanctuary management decisions; (2) date of the available information or accomplishment for which funds are expended; (3) status of information or accomplishment; and (4) generic applicability of information or techniques receivable from effort. Criteria for scholarships include financial need, academic record, recommendations, organizational, analytical, and written communications skills based on the statement of intent, and research and career goals and objectives as described in the statement of intent. Criteria for Monterey Bay Watershed Education and Training Program competitive awards include: (1) Importance and/or relevance and applicability of proposal to the program goals; (2) Technical Merit; (3) Overall qualifications for applicants; (4) Project costs, and (5) Financial need of student.

### **11.430 UNDERSEA RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Coast and Geodetic Survey Act, Public Law 80-373; Outer Continental Shelf, Section 21(e), 1978.

#### **OBJECTIVES:**

To place man safely undersea to conduct research in support of National Oceanic and Atmospheric Administration (NOAA) and national science requirements.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants may be used for research and development and to purchase and/or lease technology in support of program goals.

#### **Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories; any State, political subdivision of a State, or agency or office thereof; any individual.

#### **Beneficiary Eligibility:**

Organizations and individuals with professional interests in marine science engineering.

#### **Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit organization.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

#### **Application Procedure:**

Formal proposal to the headquarters office that documents fully the grant requirements and requested support with application for Federal Assistance (SF 424). This program is subject to the requirements of 15 CFR Part 24, Grants and Cooperative Agreements with State and Local Governments and OMB Circular No. A-110, as applicable.

#### **Award Procedure:**

Awards are made on the basis of proposal evaluation.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

Approximately 90 to 150 days from time of proposal submission.

#### **Appeals:**

None.

#### **Renewals:**

By negotiation with the office of Undersea Research.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

None.

#### **Reports:**

Financial status reports and performance reports are required quarterly. Final reports are required at the end of the grant period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain complete records for each grant to ensure funds are used pursuant to the statement of work.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

FY 07 \$8,000,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$15,000 to \$2,225,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Not available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Symposia Series for Undersea Research; National Solicitation of Research Proposals; Annual Report. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Director, Office of Undersea Research, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, MD 20910.  
Telephone: (301) 713-2427.

#### **Web Site Address:**

<http://www.nurp.noaa.gov/>.

#### **RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.407, Interjurisdictional Fisheries Act of 1986; 11.417, Sea Grant Support; 11.419, Coastal Zone Management Administration Awards; 47.050, Geosciences.

#### **EXAMPLES OF FUNDED PROJECTS:**

Nutrient Cycling and Primary Productivity of Marine Ecosystems; Recruitment Processes of Fish and Invertebrates; Diving safety and physiology research; submarine venting of liquids and gases.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the degree to which they contribute to the goals and objectives of NOAA along with their relevance to national science requirements for the marine environment, and the extent of expected benefits, scientific quality, cost effectiveness, and other factors.

### **11.431 CLIMATE AND ATMOSPHERIC RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Federal Aviation Act, as amended, 49 U.S.C. 4720; 33 U.S.C. 883d; Weather Service Organic Act, 15 U.S.C. 2904; National Climate Program Act, as amended, 15 U.S.C. 2931-2934.

#### **OBJECTIVES:**

To develop the knowledge required to establish a predictive capability for short and long-term climate fluctuations and trends.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants may be used for research and development, advisory services, and operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

#### **Applicant Eligibility:**

Institutions of higher education, other nonprofits, commercial organizations, international organizations, state, local and Indian tribal governments.

#### **Beneficiary Eligibility:**

Organizations and individuals with interests in meteorology, oceanography, and climate research and prediction.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards are made on the basis of peer review of proposals.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 100 to 200 days from time of proposal receipt.

**Appeals:**

None.

**Renewals:**

By negotiation with Climate Program Office.

**Formula and Matching Requirements:**

Cost Sharing is only required in one program element competition which is the NOAA Climate Transition Program (NCTP) where the Cost Share Percentage must be at least 5 percent of the total costs. The other competitions have no cost sharing requirement.

**Length and Time Phasing of Assistance:**

Grant award period ranges one to five years with annual funding for one year.

**Reports:**

Annual performance and financial reports are required. Final reports are due 90 days after expiration of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for purpose for which grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$45,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$200,000. Average: \$85,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, approximately 65 new grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Climate Program Office, National Oceanic and Atmospheric Administration, 1100 Wayne Avenue, Suite 1200, Silver Spring, MD 20910.  
Telephone: (301) 427-2089.

**Web Site Address:**

<http://www.climate.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Numerical Weather Prediction using Global Weather Experiment data; (2) Prediction of Planetary Circulation; (3) Implementation of Sea Level Network in Indian Ocean; (4) Dynamical Forecast of El Nino/Southern Oscillation; and (5) Circulation of the S.W. Tropical Pacific Ocean.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration primarily scientific merit and application to office research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.432 OFFICE OF OCEANIC AND ATMOSPHERIC RESEARCH (OAR) JOINT AND COOPERATIVE INSTITUTES****FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

15 U.S.C. 313; 15 U.S.C. 2904; 15 U.S.C. 1540; 15 U.S.C. 2901 et seq.; 16 U.S.C. 753a; 33 U.S.C. 883d; 49 U.S.C. 4472(b); and 118 Stat. 71 (2004)(noted in 15 U.S.C. 1540).

**OBJECTIVES:**

To increase the effectiveness of research and the quality of education in the environmental sciences by facilitating cooperation between government, university, and nonprofit research institutions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Program authorizes funds to be used for research and development, education and training, advisory services and operational systems as they relate to specific NOAA programs. Specific restrictions, other than those mandated for cooperative agreements, are evaluated on an individual program basis. Most Joint and Cooperative Institutes (CIs) operate under a Memorandum of Understanding/Memorandum of Agreement and are geographically located near a NOAA Research laboratory or a NOAA facility. In addition, 118 Stat. 71 (2004), authorizes the Secretary to designate (delegated to the Under Secretary of NOAA) joint and cooperative institutes and use the personnel, services, or facilities of such organizations for research, education, training, and outreach to further NOAA's mission under a cooperative agreement. It essentially authorizes "personal services" contract authority and the authority to procure services, equipment, and facilities under a financial assistance agreement as opposed to executing a procurement contract.

**Applicant Eligibility:**

University or nonprofit research institution usually located near a NOAA Research Laboratory or other NOAA facility.

**Beneficiary Eligibility:**

Organizations and individuals with interests in oceanographic research, atmospheric research, limnology, solar environment research, near-space research, and Arctic research.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circular Nos. A-21 for agreements with educational institutions, A-87 for State and local governments, and A-122 for nonprofit institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the agency and required by OMB Circular Nos. A-21 and A-110 must be used for this program. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Proposals for new cooperative agreements are solicited with an announcement in the Federal Register. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable.

**Award Procedure:**

Accepted applications are subject to peer review by a review panel assembled by the Cooperative Institute Program Manager. All applicants are notified whether or not their proposal was funded.

**Deadlines:**

Determined by award period (contact Cooperative Institute Program Manager).

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

None.

**Renewals:**

By negotiation with OAR or other NOAA components when applicable.

**Formula and Matching Requirements:**

None. Universities and other nonprofit institutions make contributions as partial indirect costs in accordance with the cooperative agreement.

**Length and Time Phasing of Assistance:**

Generally, five years with funding approved on individual and group proposal basis throughout the five years in accordance with the DOC approvals.

**Reports:**

Financial status reports are required quarterly. Program status reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that



year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are expected to maintain complete records for each cooperative agreement to insure funds are used for the purposes that the cooperative agreement was made. Record must be retained for three years; records shall be retained beyond the three-year period if audit findings have not been resolved.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Total annual funding at current Cooperative Institutes ranges from \$74,000 to \$20,000,000. Average funding is \$8,700,000.

**PROGRAM ACCOMPLISHMENTS:**

Projects were reviewed and funded through thirteen cooperative agreements. Funding of proposals for the current 13 OAR Joint and Cooperative Institutes is expected in fiscal year 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. John Cortinas, Program Manager, NOAA/OAR R/LCLx2, 1315 East West Highway, Silver Spring, MD 20910. Telephone: (301) 713-9397 X 206.

**Web Site Address:**

[http://www.oarhq.noaa.gov/OSS\\_JL.html](http://www.oarhq.noaa.gov/OSS_JL.html).

**RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.417, Sea Grant Support; 11.420, Coastal Zone Management Estuarine Research Reserves; 11.426, Financial Assistance for National Centers for Coastal Ocean Science; 11.430, Undersea Research; 11.431, Climate and Atmospheric Research; 11.440, Environmental Sciences, Applications, Data, and Education; 11.455, Cooperative Science and Education Program; 11.459, Weather and Air Quality Research; 11.460, Special Oceanic and Atmospheric Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Evaluation of the Atmospheric, Soil, and Plant Community Parameters that Influence Surface Water Balance and the Relation to Waste Disposal, Understanding Climate Change from the Medieval Warm Period to the Greenhouse Future, The Role of Orography on the North American Monsoon Onset and Interannual Variability, Ocean and Atmospheric Inverse Modeling for Global Carbon Flux Determinations, A Hydrologic Ensemble Seasonal Forecast System over the Eastern U.S., Long-term Trends and Special Variability in Arctic Haze at 4 Sites in Western Alaska, Assessment of Cyanobacterial Blooms and Microcystin Concentrations in the Great Lakes, Air-Sea Flux Estimation in High Wind Boundary Layers, Transport and Exchange of Florida Bay Interior Waters, Tornado Warning Lead Time and Tornado Casualties: A Research Proposal, Investigation of Synoptic and Mesoscale Meteorological Processes Associated with Hazardous Weather, Impact of Interactive Vegetation on Predictions of the North American Monsoon, Modeling Longline Effort Dynamics and Protected Species Interaction, Cooperative Studies of Central Coast Salmon, Tropical Atlantic Circulation Program.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to peer-review evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into primary consideration scientific merit and application to the mission goals of NOAA.

**11.433 MARINE FISHERIES INITIATIVE**

(MARFIN)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 753a; Magnuson Fishery Conservation and Management Act, 16 U.S.C. 1854(e); Saltonstall-Kennedy Act, 15 U.S.C. 713 c-3(d).

**OBJECTIVES:**

To provide financial assistance for research and development projects that will provide information for the full and wise use and enhancement of fishery resources in the Southeast U. S. Gulf of Mexico and the South Atlantic

beginning with the State of North Carolina south to Florida. In addition, beginning in Fiscal Year 1998 similar assistance is provided for the coastal New England states.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used to develop harvest methods, economic analyses of fisheries, processing methods, fish stock assessment and fish stock enhancement. Projects are restricted to the fisheries in the Southeast Region including the U.S. Gulf of Mexico and the South Atlantic beginning with North Carolina, South Carolina to Florida. Funds are not used for loans. Also, projects in the coastal New England States will be considered. In the Northeast, project priorities have varied during the first two years of funding availability. During Fiscal Year 1999, the area of emphasis was new methods or techniques to improve the ability of scientists to identify the stock structure of selected species of fish and shellfish to improve fisheries management.

**Applicant Eligibility:**

States or local governments, universities, private enterprise, individuals or any other entity, nonprofit or otherwise, if such entity is a citizen of the United States within the meaning of Section 2 of the Shipping Act, 1916, as amended, 46 U.S.C. 802.

**Beneficiary Eligibility:**

Federal, State and local governments, universities, private enterprise, nonprofit or profit organizations, and the general public.

**Credentials/Documentation:**

Applications must include resumes of qualifications and experience of the principal investigators. They are expected to demonstrate expertise in the proposed area of study.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals will be reviewed, evaluated and ranked by the National Marine Fisheries Service (NMFS). The ranking is divided into two groups; (a) recommended; and (b) not recommended. They are then presented to a panel of fishery experts and to the MARFIN Panel. The Panel will individually submit their funding recommendations to the Regional Administrator of the appropriate Region. The Regional Administrator in consultation with the Assistant Administrator for Fisheries will determine funding availability and select the projects to be funded. The selected proposals will be reviewed and negotiated by the appropriate Regional Office and the assigned Technical Monitor. A complete application will be forwarded to the NOAA Grants Officer for approval and award.

**Deadlines:**

Deadlines are published in the annual Federal Register or contact either the NMFS Southeast Regional Office or the NMFS Northeast Regional Office.

**Range of Approval/Disapproval Time:**

Successful applicants will be selected generally within 180 days. Awards will be made normally within 240 days after the date of publication of the Federal Register.

**Appeals:**

None.

**Renewals:**

Multi-year awards of up to three years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Cost-sharing is not required under this program.

**Length and Time Phasing of Assistance:**

The money must be spent during the award period. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Semi-annual progress and financial reports are due six months after the start date of the award. Progress reports should summarize all work accomplished during the six months following the start date of the award and the financial reports should reflect the use of funds. A final report is due 90 days after completion of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Non-Profit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be retained for 3 years from the date of the final financial status report for each award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$2,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$21,185 to \$374,372. Average: \$64,282.

**PROGRAM ACCOMPLISHMENTS:**

Recent accomplishments include: using high-technology underwater video cameras to fine tune bycatch reduction devices in shrimp trawl nets; development of a horseshoe crab management program in South Carolina as a result of reproductive biology research; and delineation of important nursery habitat for red snapper in the northern Gulf of Mexico. Numerous multi-year projects were funded in the out years that reduced the level of funding for new cooperative agreements in FY 06.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A description of MARFIN activities is available and published in an "Annual Report." A copy may be obtained from the Southeast Regional Office. There is no funding history in the Northeast Region prior to FY 1998. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

Regional or Local Office: Scot Plank, State/Federal Liaison Office, National Marine Fisheries Service, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Use the same number for FTS. Email: Scot.plank@noaa.gov. Kenneth L. Beal, National Marine Fisheries Service, Northeast Regional Office, One Blackburn Drive, Gloucester, MA 01930. Telephone: (978) 281- 9267. E-mail: Grants.Information@noaa.gov.

**Headquarters Office:**

Not applicable.

**RELATED PROGRAMS:**

11.427, Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program.

**EXAMPLES OF FUNDED PROJECTS:**

Relationship between estuarine habitat structure and distribution and abundance of juvenile fishery species; assessment of bathymetric highs as nursery habitat of newly settled red snapper in the northwest Gulf of Mexico; genetic analysis of the stock structure of wahoo in the western Atlantic and Gulf of Mexico; turtle excluder device (TED) and bycatch (BRD) reduction device technology transfer to the shrimp industry; and validation of ages for species of the deepwater snapper/grouper complex off the southeast U.S. coast.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority in program emphasis will be placed upon funding projects that have the greatest probability of recovering, maintaining, improving, or developing fisheries, improving our understanding of factors affecting recruitment success, generating increased values from fisheries, and generating increased recreational opportunity and harvest potential. Projects will be evaluated as to the likelihood of achieving these benefits through both short-term and long-term research projects with consideration of the magnitude of the eventual economic benefit that may be realized.

## 11.434 COOPERATIVE FISHERY STATISTICS

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF  
COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 753 a.

**OBJECTIVES:**

To maintain a cooperative State and Federal partnership to provide a continuing source of fisheries dependent statistics to support fishery management in the States' Territorial Sea and the U.S. Exclusive Economic Zone.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to support cooperative State and Federal programs to collect statistics on commercial and recreational fisheries in support of the Magnuson-Stevens Fishery Conservation Management Act.

**Applicant Eligibility:**

Eligible applicants are the Marine Fisheries Conservation agencies of the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, Puerto Rico, U.S. Virgin Islands and the Gulf States Marine Fisheries Commission.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. Applicants may be required to show proof that they are mandated by their own State to monitor fishery resources and to manage or participate in the management of these resources.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Gulf of Mexico Fisheries Information Network (GulfFIN) grants should be submitted to: National Marine Fisheries Service, Office of Science and Technology, 1315 East-West Highway, SSMC3, Room 12441, Silver Spring, MD 20910.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures.

**Appeals:**

None.

**Renewals:**

Multiple year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent of the Federal share. Grantee matching contributions are not required, but are encouraged.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are to be expended in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the financial reporting period designated.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be retained for 3 years from the date of the final financial status report for each award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$5,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$59,417 to \$124,167; \$79,735. (One award to GulfFIN for \$3,304,789, is not included.)

**PROGRAM ACCOMPLISHMENTS:**

GulfFIN: Collecting, managing, and disseminating marine recreational fisheries data; head boat port sampling in Texas, Louisiana, and Florida; menhaden data collection; development and implementation of a FIN data management system; trip ticket program development, implementation, and operation; and biological sampling of commercial and recreational catches.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application guidelines are provided by the NMFS Regional Office, address listed below. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Office, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax (727) 824-5364.

**Headquarters Office:**

For GulfFIN - Patty Zielinski, Fisheries Statistics and Economics Division, Office of Science and Technology, National Marine Fisheries Service, Office of Science and Technology, 1315 East West Highway, SSMC3, Room 12441, Silver Spring, MD 20910. Telephone: (301)713-2328. Fax: (301)713-4137. E-mail: Patty.zielinski@noaa.gov.

**Web Site Address:**

<http://caldera.sero.nmfs.gov/grants/programs/csp.htm>;  
<http://www.st.nmfs.gov/st1/>.

**RELATED PROGRAMS:**

11.407, Interjurisdictional Fisheries Act of 1986; 11.435, Southeast Area Monitoring and Assessment Program; 11.474, Atlantic Coastal Fisheries Cooperative Management Act.

**EXAMPLES OF FUNDED PROJECTS:**

All projects are NMFS/State (U.S. territory/commonwealth) cooperative fisheries statistics, agreements, for the collection, analysis and distribution of statistical information and for research into better methods for those tasks.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the results of Cooperative Statistics and Fisheries Information Network (FIN) committee activities and on negotiations between NMFS and cooperators. The nature and scope of cooperative activities are based on the needs of the cooperating agencies. Funding is allocated by NMFS based on Cooperative Statistics and Fisheries Information Network (FIN) committee recommendations and on the level of activities that are planned for accomplishment. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.435 SOUTHEAST AREA MONITORING AND ASSESSMENT PROGRAM**

(SEAMAP)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF  
COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 753 a.

**OBJECTIVES:**

To maintain a cooperative program which engages State and Federal agencies in the coordinated collection, management, and dissemination of fishery - independent information on marine fisheries in support of State Territorial Sea and U.S. Exclusive Economic Zone fisheries management programs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funding through cooperative agreements involve regional member organizations in fishery - independent sampling projects. Projects are restricted to fisheries of the Gulf of Mexico, South Atlantic and U.S. Caribbean. Cooperators are State and territorial governments, Interstate Marine Fishery Commissions.

**Applicant Eligibility:**

Eligible applicants are the Marine Fishery Conservation agencies of the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, Puerto Rico, the U.S. Virgin Islands, the Atlantic and Gulf States Marine Fishery Commissions.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. Applicants may be required to show proof that they are mandated by their own State to monitor fishery resources and to manage or participate in the management of these resources.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

In FY 2003, the SEAMAP program changed to multi-year grants. Funding continues to be awarded annually, however, grant recipients submit three year proposals, that are reviewed and evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval. Subsequent years of the grant do not require proposals. All requirements for funding are worked by the Program Officer. Recipients receive notification when funding has been approved for the current fiscal year.

**Deadlines:**

The Program Officer works with the SEAMAP grant recipients to coordinate the requirements for multi-year grants; three-year proposals were submitted 90 days before the start date. Application packages are submitted to: National Marine Fisheries Service, SEAMAP Program Officer, 9721 Executive Center Drive N., St. Petersburg, FL 33702.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 30 to 90 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures. Subsequent funding for the multi-year grant is typically awarded 30 days after the Program Officer completes all funding requirements.

**Appeals:**

None.

**Renewals:**

Multiple year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent of the Federal share. Grantee matching contributions are not required, but are encouraged.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are to be expended in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**



Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the financial reporting period designated.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,139,543; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 - \$298,934. Average: \$110,993.

**PROGRAM ACCOMPLISHMENTS:**

This Program provides an integrated, cooperative State/NMFS program that collects fishery-independent information on stocks of finfish and shellfish that are interjurisdictional in management and conservation need. This information is used by all Southeast fishery management authorities to develop, implement and monitor the effectiveness of fishery management plans and programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://caldera.sero.nmfs.gov/grants/programs/seamap.htm>.

**RELATED PROGRAMS:**

11.407, Interjurisdictional Fisheries Act of 1986; 11.434, Cooperative Fishery Statistics.

**EXAMPLES OF FUNDED PROJECTS:**

Funds have been used for a variety of fishery-independent studies, including: surveys of shrimp and ground fish, and reef fish resources in the Gulf of Mexico; ichthyoplankton; physical oceanographic parameters; trawl surveys of fish and invertebrate resources along the South Atlantic Bight; and lobster and conch resources in the Caribbean.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the results of SEAMAP committee activities and on negotiations between NMFS and cooperators. The nature and scope of cooperative activities are based on the needs of the cooperating agencies. Funding is allocated by NMFS based on SEAMAP committee recommendations and on the level of activities that are planned for accomplishment. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

## 11.436 COLUMBIA RIVER FISHERIES DEVELOPMENT PROGRAM

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Mitchell Act, Public Law 79-676, 16 U.S.C. 756- 757.

**OBJECTIVES:**

This program uses the facilities and personnel of the State fisheries agencies in the Pacific Northwest to protect and enhance the salmon and steelhead resources in the Columbia River Basin.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used to develop and implement measures to protect and enhance salmon and steelhead resources in the Columbia River Basin.

**Applicant Eligibility:**

State governments and quasi-public nonprofit institution/organizations.

**Beneficiary Eligibility:**

Federal, Interstate, State, and Quasi- public nonprofit entities.

**Credentials/Documentation:**

Proposal from a State or an Interstate Fishery Agency should be submitted in accordance with 15 CFR Part 24.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Northwest Regional Office and processed by the NOAA Grants Office. Pursuant to Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided to the State on a sole-source basis.

**Deadlines:**

According to the NOAA Grants Office, project applications should be submitted 75 days in advance of desired effective date.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, projects must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants can be made on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

Cooperative agreements are normally made for one year. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi- annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$13,200,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$57,314 to \$4,912,171. Average: \$1,990,858.

**PROGRAM ACCOMPLISHMENTS:**

Northwest Region: State and Tribal fisheries agencies in Oregon, Washington, and Idaho involved in the program operated eighteen salmon hatcheries and rearing ponds, over seven hundred irrigation diversions screens, and more than forty fish ladders, and conducted hatchery improvement studies. Northwest Center: Analyses of biological data collection and research related to endangered

and threatened salmonid species listed under the Endangered Species Act, used by fisheries managers and policy makers to determine and implement changes needed to manage the water and fisheries resources of the Columbia and Snake Rivers.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 24, Mitchell Act. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

Northwest Region: Robert Z. Smith, Director, Columbia River Fisheries Development Program, NOAA/NMFS, Salmon Recovery Division, Hatcheries and Inland Fisheries Branch, 1201 NE Lloyd Blvd., Portland, OR 97232-1274. Telephone: (503) 231-2009. Fax: (503) 872-2737. E-mail: rz.smith@noaa.gov.

#### **Headquarters Office:**

Not applicable.

#### **Web Site Address:**

<http://www.noaa.gov>

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Northwest Region: All projects are State and Federal cooperative efforts to protect and enhance the salmon and steelhead resources in the region. Examples of project activities include: Operation and maintenance of fish hatcheries, fish ladders, fish screens, and other fish passage facilities; fish passage and water flow planning and input to involved agencies; and studies on irrigation screens, stream improvement, and hatchery improvement. Northwest Center: Biological sampling and data collection for transportation, fish guidance, and migration studies of Pacific salmon on the Columbia and Snake Rivers project; monitoring and recording biological and spawning behavior data on captive broodstock population; development of captive broodstock rearing techniques, monitoring salmon spawning behavior within a controlled-environment behavior flume, and the continuation of bio-assay, predator-survival, and PIT-tag research.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to projects that directly relate to NOAA statutory responsibilities (Mitchell Act) and to court actions and Federal treaties. Special consideration is given to Columbia Basin Watershed planning activities and activities impacting Federal responsibilities under the Endangered Species Act.

## **11.437 PACIFIC FISHERIES DATA PROGRAM**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act, as amended, Public Law 94-265, 16 U.S.C. 1854(e).

#### **OBJECTIVES:**

This cooperative program provides support to State fishery agencies to enhance their data collection and analysis systems to respond to coast wide and insular area fisheries management needs. The program supports fisheries data collection and analysis projects that provide catch, effort, economic and biological data on federally managed species to the Fishery Management Councils as needed for continuing management of Pacific fisheries.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds can be used to enhance State fishery data collection and analysis systems to respond to Federal fisheries management needs.

#### **Applicant Eligibility:**

State governments (including territories of Guam and American Samoa and the Commonwealth of the Northern Mariana Islands) and quasi-public nonprofit institution/organizations.

#### **Beneficiary Eligibility:**

The agency of a State government authorized under its laws to regulate commercial and recreational fisheries.

#### **Credentials/Documentation:**

Proposal from a State or an Interstate Fishery Agency should be submitted in accordance with 15 CFR Part 24.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Applications are evaluated by the receiving National Marine Fisheries Service Regional Office and processed by the NOAA Grants Office. Pursuant to Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided on a sole-source basis.

#### **Deadlines:**

According to the NOAA Grants Office, project applications should be submitted 75 days in advance of desired effective date.

#### **Range of Approval/Disapproval Time:**

From 60 to 120 working days.

#### **Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, projects must be revised in accordance with recommended changes.

#### **Renewals:**

Continuation grants on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent Federal share.

#### **Length and Time Phasing of Assistance:**

Grants are normally made for one year. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

#### **Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally requires that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Cooperative Agreements) FY 07 \$20,000,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$36,000 to \$7,694,000. Average: \$3,774,500.

#### **PROGRAM ACCOMPLISHMENTS:**

Southwest Region: Document the large-scale movements and behaviors of Atlantic and Pacific bluefin tuna in relation to oceanographic features. Use of a range of electronic tagging technologies to document the movements and behaviors of Atlantic and Pacific bluefin tuna.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 24, Magnuson Fishery Conservation and Management Act. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

Alaska: Alaska Regional Office, Shawn Carey, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS. Email: shawn.carey@noaa.gov. Northwest Regional Office, Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or 6113). Email Stephen.Freese@noaa.gov. Northwest Center, Northwest: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725

Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. Email: Bob.Iwamoto@noaa.gov. Pacific Islands Region: Scott Bloom, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 944-2218. Email: scott.bloom@noaa.gov. Southwest: Barb Decker, Federal Program Officer, Southwest Center, Telephone: (858) 546-7007. Email: Barb.Decker@noaa.gov.

**Headquarters Office:**

Patty Zielinski, Fisheries Statistics and Economics Division, Office of Science and Technology, National Marine Fisheries Service, Office of Science and Technology, 1315 East West Highway, SSMC3, Room 12441, Silver Spring, MD 20910. Telephone: (301)713-2328. Fax: (301)713-4137. E-mail: Patty.Zielinski@noaa.gov.

**Web Site Address:**

Alaska: <http://www.st.nmfs.gov/st1/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

All: Program funds State projects that enhance State systems to respond to coast wide and Pacific islands fisheries management needs under the Magnuson-Stevens Fishery Conservation and Management Act. Examples include sampling of landings to determine species composition, special processing of State-collected fisheries data to conform to specifications of regional fishery data management systems, and monitoring domestic shore side ground fish landings in Alaska, as well as foreign tuna transshipment activities in Guam, providing catch and effort data necessary to monitor in-season harvest quotas by species, group, gear type and regulatory area, to evaluate the effectiveness of fisheries management programs in the western Pacific region, and to update the historic ground fish catch database, as well as Year-round data collection for groundfish fisheries off Washington, Oregon and California. Santa Cruz: California Habitat Restoration Data Projects. In Alaska, 7 fisheries data collection and management projects. Hawaii: Fishery Data Collection to Guam, CNMI, Hawaii, American Samoa.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to State projects that provide the Fishery Management Councils with the timely information needed to make the management decisions required under fishery management plans.

## 11.438 PACIFIC COAST SALMON RECOVERY-PACIFIC SALMON TREATY PROGRAM

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Pacific Coast Salmon Treaty Act, Pacific Coastal Salmon Recovery - Public Law 106-113, Public Law 99-5, 16 U.S.C. 3634, 16 U.S.C. 3641.

**OBJECTIVES:**

This is a cooperative program that assists the States in salmon restoration and in fulfilling responsibilities under the Pacific Salmon Treaty by providing administrative management. Support is provided to treaty Indian tribes for salmon recovery and to meet the needs of the Pacific Salmon Commission and U.S. international commitments under the treaty.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used by State agencies and treaty Indian tribes to assist in salmon recovery and in fulfilling Federal responsibilities under the Pacific Salmon Treaty.

**Applicant Eligibility:**

State government agencies and treaty Indian tribes.

**Beneficiary Eligibility:**

This program benefits the State governments, treaty Indian tribes, Federal government, international relationships, and conservation of a public resource by ensuring that State agencies and tribal governments participate in the recovery and international management of salmon on the west coast.

**Credentials/Documentation:**

Proposal from a State agency or treaty Indian tribe should be submitted in accordance with 15 CFR Part 24.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional Office and processed by the NOAA Grants Management Division. Under Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided on a sole-source basis.

**Deadlines:**

According to the NOAA Grants Management Division, project applications should be submitted at least 75 days in advance of desired effective date.

**Range of Approval/Disapproval Time:**

Within 75 calendar days from the receipt of a complete and acceptable application.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, applications must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants can be made on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS, based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

For the Pacific Coast Salmon Recovery Program, States are required to provide a matching amount of 25 percent. Treaty Indian tribes are not required to provide a match for Pacific Salmon Recovery Program funds. The Pacific Salmon Treaty funds have no statutory formula; projects are funded at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$95,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$57,963 to \$17,850,000. Average: \$8,953,981.

**PROGRAM ACCOMPLISHMENTS:**

Pacific Salmon Treaty, Alaska Region: Since implementation of the Pacific Salmon Treaty in 1985, the State of Alaska has provided the necessary support to and has been involved with the Pacific Salmon Commission in accordance with the treaty. Pacific Salmon Treaty, Northwest Region: Awards are made on annual basis to the states of Washington, Idaho and Oregon to participate in the implementation of the 1985 Pacific Salmon Treaty. The Pacific Coastal Salmon Recovery Fund (PCSRF) was established in FY 2000 to provide Grants to the States and tribes to assist State, tribal and local salmon conservation and recovery efforts. The fund supplements existing State, tribal and federal programs to foster development of federal-state- tribal-local partnerships in salmon and steelhead recovery and conservation; promotes efficiencies and effectiveness in recovery efforts through enhanced sharing and pooling of capabilities, expertise and information. Significant contributions are being made through this program to the conservation, restoration, and sustainability of Pacific salmon and steelhead runs and the habitats on which they depend.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pacific Salmon Treaty; 16 U.S.C. 3631 et seq. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance



management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Pacific Salmon Treaty - Northwest Region: Dave Cantillon, NOAA/NMFS, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-4140, Fax: (206) 526-6534. E-mail: Dave.Cantillon@noaa.gov. Pacific Coast Salmon Recovery Program - Alaska Region: Shawn Carey, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907)586-7845. Use the same numbers for FTS. E-mail: shawn.carey@noaa.gov. - Northwest Region: Joe Scordino, NOAA/NMFS, 7600 Sand Point Way NE, Seattle, WA 98115. Telephone: (206) 526-6150, Fax: (206) 526-6426, E-mail: Joe.Scordino@noaa.gov. Southwest Region: Patricia Culver, NOAA/NMFS, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562) 980-4239, E-mail: trisha.culver@noaa.gov.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

Alaska - <http://www.fakr.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Alaska: Pacific Coast Salmon Recovery projects will provide support for salmon habitat restoration, salmon enhancement and salmon research.  
Northwest: Since the inception of this program, grantees have provided funds (primarily as subgrants) to support over 2,600 individual projects in Washington, Oregon and Idaho.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to State and tribal programs that directly address salmon recovery or the information needs of the Pacific Salmon Commission for international management of salmon fisheries stocks under the Pacific Salmon Treaty.

## 11.439 MARINE MAMMAL DATA PROGRAM

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Marine Mammal Act of 1972, 16 U.S.C. 1361 et seq.; and Marine Mammal Rescue Assistance Act of 2000, 16 U.S.C. 1421f-1.

**OBJECTIVES:**

Nondiscretionary funding under this authorization provides support to State agencies for the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources. Information collected is used by the State and Federal governments to conserve marine mammals, address or resolve conflicts between marine mammals, fisheries and living marine resources, and to improve their understanding of the health of individual marine mammals as well as marine mammal populations. Discretionary funds may be announced in the Federal Register under competitive programs to undertake research in subjects which are relevant to the protection and conservation of marine mammals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Nondiscretionary funds may be nondiscretionary and appropriated for a particular recipient for a particular purpose such as the Marine Mammal cooperative agreements in Alaska (16 U.S.C. 1388) or allocated to State agencies for collection of information on marine mammals that occur in State waters and interact with fisheries and other marine resources. Discretionary funds announced in the Federal Register under competitive programs may restrict the use of funds or include additional program restrictions based on the appropriation language.

**Applicant Eligibility:**

State governments and quasi-public nonprofit institutions or organizations. U.S. Marine Mammal Stranding Network participants, including state and local governments, academia, aquaria, non profits, private individuals and organizations. Eligibility may vary under programs announced in the Federal Register.

**Beneficiary Eligibility:**

This program benefits the States that have marine mammals in waters under State jurisdiction and supports Federal requirements for conservation of marine mammals, and other public resources. The program also benefits the active volunteer U.S. marine mammal stranding network members throughout coastal states.

**Credentials/Documentation:**

Proposal from a State fishery agency or an Interstate Fisheries Commission, or an eligible stranding network member, should be submitted in accordance with 15 CFR Part 14; 15 CFR Part 24 and the applicable Federal Register notice.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". A State applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional or Headquarters Offices and processed by the NOAA Grants Management Division. Pursuant to Section 404 of Public Law 102- 567, financial assistance awards to a State or Interstate Fishery Commission may be provided to the State on a non- discretionary basis for projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources. For discretionary funds including Stranding Networks, a competitive award process is announced in the Federal Register for projects related to stranding network activities. A small percentage of discretionary funds will be available to be provided on a non-competes basis for catastrophic stranding events.

**Deadlines:**

According to the NOAA Grants Management Division, project applications should be submitted at least 75 days in advance of desired effective date.

**Range of Approval/Disapproval Time:**

Within 75 calendar days after a complete and acceptable application is received.

**Appeals:**

No formal appeal procedure.

**Renewals:**

For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, continuation grants can be made on an annual basis for approved multi- year projects. For projects related to stranding network activities, grants or cooperative agreements will be awarded for a maximum award period of three years; however the total Federal share of each award is fixed at a maximum of \$100,000 regardless of the funding period requested. Future or continued funding will be at the discretion of NMFS, based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, the program has no statutory formula. Projects are funded at up to 100 percent Federal share. For projects related to stranding network activities the maximum Federal award for each project will be \$100,000, and a minimum cost share of 25 percent of total project costs is required.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained in accordance the terms and conditions of the Financial Assistance Award. The grantee must maintain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$25,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$2,807,000; \$530,826.

**PROGRAM ACCOMPLISHMENTS:**

Programs support marine mammal research and management efforts relative to marine mammal health and strandings and fulfill commitments under Title IV of the Marine Mammal Protection Act. Several programs contribute to the United States participation in the International Whaling Commission and the fulfillment of native subsistence co-management commitments under section 119 of the Marine Mammal Protection Act. Northwest: Information is provided to state and federal fishery managers to support regulatory decisions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Marine Mammal Protection Act, as amended. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

Discretionary: Stranding Network Contacts-Alaska Region: Aleria Jensen, Alaska Region, NMFS, Federal Building, 709 West 9th Street, 14th Floor, Juneau, AK 99802-1668. Telephone: (907) 586-7248 or aleria.jensen@noaa.gov. Northeast Region: Dana Hartley, NMFS, 1 Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9328 or dana.hartley@noaa.gov. Northwest Region: Brent Norberg, NMFS, Brent Norberg, 7600 Sand Point Way, N.E., Building 1, Seattle, WA 98115. Telephone: (206) 526-6733 or brent.norberg@noaa.gov; Southeast Region: Laura Engleby, NMFS, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5312 or laura.ingleby@noaa.gov; Southwest Region: Joe Cordaro, Southwest Region, NMFS, 501 West Ocean Boulevard, Suite 4200, Long Beach, CA: 90802-4213. Telephone: (562) 980-4017 or joe.cordaro@noaa.gov. Nondiscretionary: Alaska Regional Office: Barbara Fosburg, NOAA/NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Northwest Regional Office: Joe Scordino, NOAA, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6150, Fax: (206) 526-6426, E-mail: Joe.Scordino@noaa.gov. Pacific Islands Area Office: Margaret Akamine, NMFS, 1601 Kapiolani Blvd., Suite 1110, Honolulu, HI, 96814-4700. Telephone: (808) 973-2935 or margaret.akamine@noaa.gov. Headquarters Office: Budget Officer, Administrative and Budget Processes Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2245. Fax: (301) 713-2299.

**Headquarters Office:**

Teri Rowles, Office of Protected Resources, NMFS, Teri Rowles, 1315 East West Highway, Silver Spring, MD, 20910. Telephone: (301) 713-2322, ext. 178.

**Web Site Address:**

[http://www.nmfs.noaa.gov/prot\\_res/PR2/](http://www.nmfs.noaa.gov/prot_res/PR2/)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Nondiscretionary: Northwest - funds are provided annually to an interstate fishery commission to collect data on the expanding west coast pinniped population and its impact on fish populations.

**CRITERIA FOR SELECTING PROPOSALS:**

Nondiscretionary: For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, priority consideration is given to proposals for the collection of information on marine mammals involved in interactions with fisheries and other marine resources, and on activities impacting marine mammals such as native subsistence; Discretionary: For projects involving stranding network activities, priorities are published in the Federal Register Notice soliciting applications for financial assistance. Unsolicited proposals may also be submitted outside of the competitive process for response to catastrophic stranding events.

**11.440 ENVIRONMENTAL SCIENCES, APPLICATIONS, DATA, AND EDUCATION****FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

49 U.S.C. 44720(b); 33 U.S.C. 883d, 33 U.S.C. 1442; 15 U.S.C. 313, 1540, 15 U.S.C. 2901 et. seq.

**OBJECTIVES:**

To advance and promote applied research, data assimilation and management, technology development, and education in environmental science.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used to support a wide variety of atmospheric and oceanographic research, development, data distribution and assimilation programs, education,

advisory services, and to support long-term partnerships between the Federal government, universities, and institutions of research and higher education for cooperative science and education in environmental science.

**Applicant Eligibility:**

Any State university, college, institute or laboratory; any public or private nonprofit institution or consortium.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

Proposals with a statement of work and estimated budgets. Costs are determined in accordance with applicable OMB circulars and applicable Federal Register notices.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are sent to the appropriate office of the National Environmental Satellite, Data, and Information Service.

**Award Procedure:**

Awards are made on the basis of proposal evaluations, technical and administrative reviews, and external reviews, if applicable.

**Deadlines:**

In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of receipt of the proposal.

**Appeals:**

None.

**Renewals:**

Future or continued funding will be at the discretion of the Federal government based upon satisfactory performance and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Normally from one to five years.

**Reports:**

Reports are due in accordance with the terms and conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other related records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure and technical reports are submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$22,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$0 to \$200,000 (Grants); \$250,000 to \$5,000,000 (Cooperative Agreements).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, NESDIS expects to continue funding amendments to the cooperative agreements for their three Institutes (CICS, CIMSS, and CIOSS). NESDIS will also continue to provide funding to other NOAA Cooperative Institutes (CIRA, CIRES, CIMMS, CICOR and JIMAR).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments. Department Administrative Order 203-36 dated May 15, 1985 (Department of Commerce Grants Administration) and the NOAA Grants and Cooperative Agreement Interim Policy Manual dated February 2002.

**Regional or Local Office:**

Patty Mayo, DOC/NOAA/NESDIS/STAR, 5200 Auth Road, Room 701, Camp Springs, MD 20746-4304, patty.mayo@noaa.gov; Telephone: (301) 763-8127; Fax: (301) 763-8108.

**Headquarters Office:**

See "Information Contact".

**Web Site Address:**

NOAA Homepage: [www.noaa.gov](http://www.noaa.gov); NESDIS Homepage: [www.nesdis.noaa.gov](http://www.nesdis.noaa.gov),

STAR Homepage <http://www.orbit.nesdis.noaa.gov/star/index.html>; Grant application forms and instructions: <http://www.ago.noaa.gov/grants>; grant opportunities and Request for Applications (RFA) at: <http://grants.gov>

**RELATED PROGRAMS:**

11.431, Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative Institute for Meteorological Satellite Studies (CIMSS), University of Wisconsin; Cooperative Institute for Climate Studies (CICS), University of Maryland; Cooperative Institute for Oceanographic Satellite Studies (CIOS), Oregon State University; Cooperative Institute for Research in the Atmosphere (CIRA), Colorado State University; satellite meteorological research and development in atmospheric, oceanic, and land sciences; marine bio-optical calibration of ocean color satellite-derived data; application of earth satellite data to oceanographic processes, structure, and events; environmental risk assessment integrative systems approach with GIS/RS; ground-based demonstration of instrumentation for measuring wind profiles from space, satellite data assimilation for numerical and climate prediction models.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated technically and administratively primarily for scientific merit and application to the goals and objectives of NOAA. The qualifications of the principal investigator are considered and costs are subject to negotiation.

**11.441 REGIONAL FISHERY MANAGEMENT COUNCILS**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act, as amended, 16 U.S.C. 1852.

**OBJECTIVES:**

The objectives of the eight Regional Fishery Management Councils are to prepare, monitor and revise fishery management plans and data collection programs for domestic and foreign fishing within the 200-mile U.S. Exclusive Economic Zone (EEZ). This is done with approval and implementation by the Secretary of Commerce who has stewardship responsibility for living marine resources in the EEZ under the MSFCMA.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are used by the eight Regional Fishery Management Councils to prepare plans and amendments to recommend to the Secretary of Commerce, under the MSFCMA.

**Applicant Eligibility:**

Eight Regional Fishery Management Councils (New England, Mid-Atlantic, South Atlantic, Gulf of Mexico, Caribbean, Pacific, North Pacific and Western Pacific) as established by the MSFCMA. These councils can best be described as "quasi-government" because they are sponsored by the Federal government, specifically funded by Congress but the members are appointed by the Secretary of Commerce from the private sector; they are not Federal employees.

**Beneficiary Eligibility:**

This program benefits commercial and recreational fishing enterprises in the EEZ. Foreign fishing enterprises may also benefit from this program if authorized to conduct fishing operations. U.S. consumers will benefit as a result of availability of seafood. Imports may be reduced and exports may be increased.

**Credentials/Documentation:**

Generally a work plan for the funding year.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. States are not directly included in this program, though each coastal State has an official representative on the appropriate Council(s).

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are initially evaluated by the respective National Marine Fisheries Service Regional Administrators and are forwarded to NMFS Headquarters for final approval. They are then forwarded for processing to the Grants Management Division, Office of Administration, NOAA.

**Deadlines:**

Project applications should be submitted 120 days in advance of desired effective date.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not applicable.

**Renewals:**

Multi-year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Awards can be approved for one year due to annual Congressional appropriation schedule. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reporting requirements are outlined in 50 CFR Part 605, Guidelines for Council Operation/Administration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be retained in accordance with provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$22,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$890,500 to \$2,034,500. Average: \$1,637,500.

**PROGRAM ACCOMPLISHMENTS:**

Grants focus on NEPA; Ecosystem Management; Fisheries Management; Database and Information Processing; Marine Protected Areas & Sanctuaries; Strategic Planning & Outreach; Capacity Reduction; Research, Planning and Coordination; Marine Turtle Conservation; and Coral Reef.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Chapter 6; the Statement of Organization, Practices, and Procedures, and 50 CFR Part 605 Operational Guidelines for Council Operations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

Alaska: Alaska Regional Office, Barbara Fosburg, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Use the same numbers for FTS. Email: [barbara.fosburg@noaa.gov](mailto:barbara.fosburg@noaa.gov). Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: [grants.information@noaa.gov](mailto:grants.information@noaa.gov). Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or 6113. Email [Kevin.Ford@noaa.gov](mailto:Kevin.Ford@noaa.gov) or [Stephen.Freese@noaa.gov](mailto:Stephen.Freese@noaa.gov). Pacific Islands Region: Scott Bloom or Dan Namur, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 973-2941. Email: [scott.bloom@noaa.gov](mailto:scott.bloom@noaa.gov) or [dan.namur@noaa.gov](mailto:dan.namur@noaa.gov). Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13 Ave. South, St. Petersburg, FL 33701 Telephone: (727) 824-5324.. Fax: (727) 824-5364 Email: [Cynthia.Binkley@noaa.gov](mailto:Cynthia.Binkley@noaa.gov). Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802-4213. Telephone: (310) 980-4239. Fax: (562) 980-4047. Email: [trisha.culver@noaa.gov](mailto:trisha.culver@noaa.gov).

**Headquarters Office:**

None.

**Web Site Address:**

[http://www.nmfs.noaa.gov/sfa/domes\\_fish/index.htm](http://www.nmfs.noaa.gov/sfa/domes_fish/index.htm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative Research; Administrative Cooperative Agreement; Ecosystem



Management.

**CRITERIA FOR SELECTING PROPOSALS:**

This program is non- competitive. It is Congressionally mandated.

**11.443 SHORT TERM CLIMATE FLUCTUATIONS**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Public Law 95-224, 15 U.S.C. 313; 49 U.S.C. 1463.

**OBJECTIVES:**

To support studies relevant to the diagnosis and prediction of short-term climate fluctuations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The program at the National Weather Service/National Centers for Environmental Prediction/Climate Prediction Center (CPC) is based on the availability of funds and the relevance of a proposal to CPC's mission: "To maintain a continuous watch on short- term climate fluctuations and to diagnose and predict them." Potential applicants may submit a written proposal with a budget sheet for review and consideration. The proposal must follow application procedures, set by the NOAA/Grants Management Division. Cost-sharing by each recipient is usually 5 percent.

**Applicant Eligibility:**

Public and private educational institutions, and other persons in institutions qualified to conduct climate-related studies to provide climate-related services.

**Beneficiary Eligibility:**

The ultimate benefit will go to the general public through improved methods and knowledge of the climate system and potentially improved forecasts.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications for Federal Assistance (SF- 424) with the proposal and budget estimate are required.

**Award Procedure:**

Applications are approved within NOAA.

**Deadlines:**

New applications must be received no later than June 1, and renewals no later than July 1, at the Grants Management Division for award funding in a fiscal year.

**Range of Approval/Disapproval Time:**

New applications: 120 days (30 days for review/evaluations, 90 days for processing). Renewals: 90 days (30 days for review/evaluations, 60 days for processing).

**Appeals:**

None.

**Renewals:**

Renewals are available, subject to project performance and availability of funds. The procedure is the same as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Awards are generally made for 1-year periods. Funds are released as needed by recipient, usually once a month.

**Reports:**

Quarterly expenditure reports and final reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and NonProfit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients that are States, local governments, non-profit organizations (including hospitals), and institutions of higher learning are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be retained

in accordance with provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations, and with 10 CFR 24 for State and local governments.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for- profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Climate Prediction Center, National Centers for Environmental Prediction, National Weather Service, World Weather Building, 5200 Auth Rd., Camp Springs, MD 20746. Telephone: (301) 763-8000 Ext. 7512.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) University of Maryland - Cooperative Institute, Climate Studies; (2) UCAR - Scientific Program.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals reviewed and approved on basis of relevance to program objectives, potential for service, cost effectiveness, and availability of funds.

**11.444 HAWAII SUSTAINABLE FISHERIES DEVELOPMENT (AQUACULTURE PROGRAM)**

**FEDERAL AGENCY:**

NATIONAL MARINE FISHERIES SERVICE, NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

16 U.S.C. 758b; Executive Order No. 13-089.

**OBJECTIVES:**

The development of commercially feasible technology for high-value marine finfish in the United States. The ultimate goal of the Hawaiian Fisheries Development project is to increase the availability of marine finfish for aquaculture and stock enhancement purposed in the U.S., with the secondary goal of promoting the development of a sustainable commercial aquaculture industry for high-value species.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Establish a consistent source of supply to satisfy the growing market for marine finfish. Funds are appropriated by Congress for the Oceanic Institute.

**Applicant Eligibility:**

Private nonprofit institution operating for scientific purposes.

**Beneficiary Eligibility:**

The beneficiaries of the aquaculture program would be anyone/general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Projects approved for funding will be submitted to the NOAA Grants Office for review and approval.

**Deadlines:**

Completed application package must be received at the following address at least 90 days before the requested start date of the project: National Marine Fisheries Service, Pacific Islands Fisheries Science Center, 2570 Dole Street, Honolulu, HI 96822.

**Range of Approval/Disapproval Time:**

Approval time for awards is expected to range from 90 to 150 days. That includes processing of the award through the NMFS, NOAA Grants and DOC.

**Appeals:**

None.

**Renewals:**

This program is expected to be renewed through fiscal year 2005.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

Awards are normally awarded for a 12-month period. Financial status reports are completed and submitted. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Semiannual progress and financial reports are due 30 days after each calendar half. An annual report is due 90 days after each award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 a year or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents statistical reports, and other records of grantees or subgrantees are required to be retained in accordance with provisions of 15 CFR Part 14 for institutions of higher education or other nonprofit organizations, and with 15 CFR Part 24 for State and local governments from the date of the financial report. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$525,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$439,800 to \$869,000. Average: \$654,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

The goal of the Hawaiian Fisheries Development (HDF) Project is the generation and transfer of aquaculture information, technologies and products that can be applied to restoration and maintenance of sustainable fish production, reef ecosystems, and fisheries of the United States.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pacific Island Fisheries Science Center: Bruce Mundy, Pacific Islands Fisheries Science Center, National Marine Fisheries Service, 2570 Dole Street, Honolulu, HI 96822. Telephone: (808) 983-5374. Fax: (808) 983-2902. E-mail: Bruce.Mundy@noaa.gov.

**Regional or Local Office:**

Pacific Island Fisheries Science Center: Bruce Mundy, Pacific Islands Fisheries Science Center, National Marine Fisheries Service, 2570 Dole Street, Honolulu, HI 96822. Telephone: (808) 983-5374. Fax: (808) 983-2902. E-mail: Bruce.Mundy@noaa.gov.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://www.pifsc.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

## 11.445 HAWAII STOCK MANAGEMENT PROGRAM

(SEMFISH)

**FEDERAL AGENCY:**

NATIONAL MARINE FISHERIES SERVICE, NATIONAL OCEANIC AND

ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE  
**AUTHORIZATION:**

Magnuson Fishery Conservation and Management Act, 16 U.S.C. 1854(e).

**OBJECTIVES:**

Multi-year effort to develop and test the technology of a marine stock management program in Hawaii. The marine hatchery- and-release stock enhancement concept may afford the State of Hawaii a powerful management option for protecting and enhancing some of Hawaii's depleted nearshore fishery resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to be used to develop and test the technology for a marine stock management program in Hawaii. This Hawaii Stock Management project is developing and testing technology for replenishing depleted near shore (marine) populations.

**Applicant Eligibility:**

Private nonprofit institutions operating for scientific purposes.

**Beneficiary Eligibility:**

The beneficiaries of the Hawaiian stock management program would be anyone/general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Projects approved for funding will be submitted to the NOAA Grants Office for review and approval.

**Deadlines:**

Completed application package must be received at the following address at least 90 days before the requested start date of the project: National Marine Fisheries Service, Pacific Islands Fisheries Science Center, 2570 Dole Street, Honolulu, HI 96822.

**Range of Approval/Disapproval Time:**

Approval time for awards is expected to range from 90 to 150 days. That includes processing of the award through the NMFS, NOAA Grants and DOC.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period. Financial status reports are completed and submitted. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Semiannual progress and financial reports are due 30 days after each calendar half. An annual report is due 90 days after each award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education or other nonprofit organizations and with 15 CFR Part 24 for State and local governments. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$438,900 to \$474,500. Average: \$456,700 per year.

**PROGRAM ACCOMPLISHMENTS:**

The long-term goals of the Hawaii Stock Management program is to evaluate marine stock enhancement technology to replenish depleted populations of near shore fish in Hawaii.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Pacific Islands Fisheries Science Center: Bruce Mundy, Pacific Islands Fisheries Science Center, National Marine Fisheries Service, 2570 Dole Street, Honolulu, HI 96822. Telephone: (808) 983-5374. Fax: (808) 983-2902. E-mail: Bruce.Mundy@noaa.gov.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://www.pifsc@noaa.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

## 11.449 INDEPENDENT EDUCATION AND SCIENCE PROJECTS AND PROGRAMS

(Spangler Elementary School, Longmont, Co/Mathematics, Engineering, Science Achievement (MESA); Practical Hands-on Application to Science Education (PHASE))

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

5 U.S.C. 7201; Executive Order 11478; 15 U.S.C. 1540.

**OBJECTIVES:**

(1) To increase the number of minority students enrolling in college and majoring in math, science and engineering and to recruit scientists and engineers to serve as science/math tutors primarily for girls and minority students; (2) to expose high-school and college students to hands-on research in the Office of Oceanic and Atmospheric Research (OAR) during the summer months and vacation periods.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The grant or contract is to be used only as proposed in the proposal. The Cooperative Agreement is to be used only as proposed in the Application for Federal Assistance.

**Applicant Eligibility:**

(1) Nonprofit organization with experience in administering a Math, Engineering, Science Achievement (MESA) program; (2) Nonprofit organization with knowledge of OAR programs and science education.

**Beneficiary Eligibility:**

(1) High school, middle school and elementary teachers who are MESA program advisors and students with a GPA of 3.0 who are participating in a course of study related to the MESA program and interested in pursuing careers related to mathematics, science or engineering; (2) Students pursuing a course of study related to oceanic and atmospheric sciences, with a GPA of 3.0 and an interest in a summer hands-on experience in a laboratory setting.

**Credentials/Documentation:**

Proposals must contain statements of work and estimated budgets.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

(1) Proposals are received from Spangler Elementary School; and (2) application for Federal Assistance is received from CAS/CU. They then are sent to the OAR

EEO Office for evaluation and processing, if applicable. Proposals are subject to the requirements of the appropriate OMB Circular No.'s. A-110 and A-122, as applicable.

**Award Procedure:**

Awards are made on the basis of proposal evaluations, technical, and administrative reviews. (1) These awards are non-competitive (sole source) because Spangler Elementary is the only Longmont elementary school that administers a Math, Engineering, Science Achievement (MESA) program; (2) this Cooperative Agreement is non-competitive (sole source) because of the existing relationship between the Colorado Alliance for Science/University of Colorado and OAR. There is substantial involvement and knowledge of existing programs, and close collaboration in providing a benefit to the general public by both parties.

**Deadlines:**

There is no deadline for receiving grant proposals. Awards are contingent upon need and the availability of resources.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

None.

**Renewals:**

Subject to availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

Financial and performance reports are required upon completion of funded event (Spangler Elementary School) or semi-annually (PHASE).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Recipients are expected to maintain complete records and ensure that funds are used for the purposes specified in the award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$10,000; FY 08 est not available; and FY 09 est not reported. (Cooperative Agreements) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

(1) grants: \$5,000 to \$10,000 (when awarded); (2) cooperative agreement: \$45,000 to \$172,000 (when awarded).

**PROGRAM ACCOMPLISHMENTS:**

If funding is available, it is anticipated that similar grants will be made each year. Program funding will be suspended for at least two years or until budgets stabilize.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

NOAA/OAR, Bldg. 22, 325 Broadway, Boulder CO 80303. Contact: Tony Tafoya, Program Officer for this award. Telephone: (303) 497-6731.

**Headquarters Office:**

Information is available only at the Boulder office.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) MESA Advisor's training workshops, field trips, student science competitions, recruitment of volunteer scientists and engineers to tutor youth needing help in math and science; (2) transportation, housing, and stipends for



students during summer months and vacation periods where students learn about the laboratory's mission and perform hands-on assignments.

**CRITERIA FOR SELECTING PROPOSALS:**

The grant proposals are evaluated internally by OAR EEO staff, Acquisition and Management Division of NOAA Mountain Administrative Support Center (MASC), MASC Finance Division, NOAA Grants Office staff, and NOAA General Counsel.

**11.450 AUTOMATED FLOOD WARNING SYSTEMS (AFWS)**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
NATIONAL WEATHER SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

15 U.S.C. 313; 33 U.S.C. 883d.

**OBJECTIVES:**

The objective of the Automated Flood Warning Systems Program is to provide funding to communities with flood or flash flood problems that affect safety of life and property to assist them in creating, renovating, or enhancing Automated Flood Warning Systems (AFWS).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds are used by entities who can demonstrate they have significant flood and flash flood risk, and ability to operate and maintain an AFWS. Data received by the NWS will be redistributed to the public without restrictions.

**Applicant Eligibility:**

Eligible applicants are States, counties, municipalities, educational institutions, and non-profit organizations.

**Beneficiary Eligibility:**

Since the basic goal of the AFWS program is to effectively reduce loss of life and damage resulting from flooding, benefits accrue to the general public.

**Credentials/Documentation:**

The applicant must describe the organizational entity that will administer the AFWS on a long-term basis. Documentation may also include a copy of by-laws for non-profit organizations, or other supporting documentation that affirms the viability of the organization.

**Preapplication Coordination:**

No preapplication coordination is required. However, since proposals must demonstrate a level of coordination with the local NOAA/NWS forecast office and/or River Forecast Center, it is strongly recommended that applicants discuss potential interactions with relevant NOAA/NWS personnel prior to submission. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The recommended procedure is to file electronically via the Federal government portal, <http://www.grants.gov>. The applicant must submit a Standard Form 424 and other associated forms. Along with the forms described above, the applicant must provide a statement of work, project description, and a detailed budget narrative and justification. If electronic filing is unavailable, application packages may be downloaded from <http://www.ofa.noaa.gov/%7Egrants/appkit.html>, and sent to NOAA/NWS; 1325 East-West Highway, AFWS Program Manager W/OS31, Room 13396, Silver Spring, MD.

**Award Procedure:**

An initial administrative review/screening will be conducted to determine compliance with requirements/completeness. All proposals will then be evaluated and individually ranked in accordance with the assigned weights of published evaluation criteria by an independent peer panel review. Three to seven NOAA/NWS experts may be used in this process. The merit reviewers ratings are used to produce a rank order of the proposals. The Selecting Official then makes final award recommendations after considering the peer panel reviews, selection factors listed in the Federal Register Notice, and funding availability. The Selecting Official's recommendations will be in rank order unless the proposal is selected out of rank order based upon one or more of the selection factors.

**Deadlines:**

Not available.

**Range of Approval/Disapproval Time:**

Not available.

**Appeals:**

None.

**Renewals:**

Grant period is up to 24 months for this program. Award of a grant does not preclude the applicant from applying for subsequent grants.

**Formula and Matching Requirements:**

This program has no matching requirements. Projects are accepted at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

The award period shall not exceed 24 months, with an anticipated start date of May 1, 2007. Applications to supplement existing AFWS are eligible to compete

with applications for new awards. If an application is awarded, the NOAA/NWS has no obligation to provide additional funding in connection with that award in subsequent years. Funds shall be spent during the award's budget period unless the applicant requests and justifies an extension prior to the period of award, and the request is approved by NOAA Grants Office. Funds shall be disbursed through the Automated Standard Application for Payments (ASAP) System.

**Reports:**

Progress and financial reports are required semi-annually. Final reports are due within 90 days of the expiration of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Financial records and supporting documents and all other records, i.e. property, performance work products, patents, etc. pertinent to the agreement shall be maintained for a period of 3 years from the date of the approved financial report.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$425,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

AFWS have been credited with saving numerous lives and millions of dollars of property by giving participants and users the ability to obtain real time rain and stream gage data. AFWS funds have been used to purchase rain gages and communications equipment to support operational warning systems in areas with a high flash flood risk.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

AFWS Operations Manager, Hydrologic Services Division, National Weather Service Eastern Region - W/ER2, Airport Corporate Center, 630 Johnson Avenue, Bohemia, NY 11716. Telephone: (631) 244-0112.

**Headquarters Office:**

Headquarters Office: AFWS Program Office, Hydrologic Services Division, Office of Climate, Water, and Weather Services, National Weather Service - W/OS3, 1325 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-0006 x154.

**Web Site Address:**

<http://www.ago.noaa.gov/grants/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Three Rivers Wet Weather of Pittsburgh awarded \$100,000 to upgrade an existing gauge network with radio telemetry and integrate its data stream with that from other flood warning systems. City of Fort Wayne, IN, awarded \$95,000 to upgrade the city's existing AFWS with new hardware. County of Augusta, VA., awarded \$48,135 to add additional rainfall and stream gauges. Department of Public Works, Gila County, AZ, awarded \$25,000 to upgrade and enhance an existing flood warning system with new rain and stream gauges.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria are flood risk, technical merit, qualification of applicants, and cost effectiveness.

**11.452 UNALLIED INDUSTRY PROJECTS**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC AGENCY, NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1956, 16 U.S.C. 661-666c; Department of Commerce Appropriation Act of 1999; Public Law 103-211; Saltonstall-Kennedy Act, 15 U.S.C. 713c-3(d).

**OBJECTIVES:**

To provide grants and cooperative agreements for biological, economic, sociological, public policy, and other research and administration projects to benefit U.S. fisheries industries and contribute to the economic and social welfare of the Nation; also, to award grants and cooperative agreements to develop innovative approaches and methods for ensuring the safety, quality and integrity of U.S. fishery products; also, to provide funds to the five States bordering the Gulf of Mexico, for projects or other measures designed to alleviate the long-term effects of disasters on the Gulf's fishery resources and associated habitat. To facilitate the administration, coordination and implementation of the research activities of the Cooperative Institute for Fisheries Molecular Biology (FISHTEC). The goal of FISHTEC is to develop, test, and apply new technology in molecular biology for use in management of commercial and recreational marine fisheries. Emphasis of the research program is placed on development of molecular genetics techniques to identify and evaluate the status of fish stocks/populations subject to fishing pressure and/or environmental impacts. To support the implementation of community-based demonstration projects in the U.S. western Pacific that promote the development of fishery-related industries and the economic self-sufficiency of native Pacific islanders and communities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research and management activities for high-priority marine and estuarine resources, especially for species and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges; U.S. territorial agencies; Federal and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. Depending on the Authorization, some elements of this program are covered by E.O. 12372.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS office/region/science center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Project applications must be received by the receiving NMFS office at least 90 days before the requested start date of the project.

**Range of Approval/Disapproval Time:**

Approval time is expected to range for 90 to 120 days, which includes processing of the award through the NMFS, NOAA and DOC financial assistance procedures.

**Appeals:**

None.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding, extend the period of an award to increase funding, or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent of the Federal share. Depending upon the Authorization, grantee matching

contributions may be required.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period. In some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are expended in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted semi annually. Progress reports summarize work accomplished and explain situations where expected work has not been completed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$14,000,000; FY 08 est available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$150,000. Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Southeast: Restoration of the bay scallop in Florida - an integrated approach to stock enhancement and evaluation of benefit; Mississippi's shellfish restoration and enhancement project; Monitoring the impact of environmental perturbations on commercial fishermen; Restoration and research of Alabama marine fisheries affected by natural disaster. Develop methods to restore Louisiana oyster habitat by recycling oyster shell and comparing alternative cultch materials for restoring oyster reefs. Provide funding for marketing domestic shrimp. Pacific Island: Native Fishery Observer Program; Hawaii Seafood Program; Western Pacific Demonstration Program Projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for Institutions of Higher Education, A-87 for State and Local Governments, and with A-122 for Nonprofit Organizations. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

Alaska: Shawn Carey, NMFS, Alaska Regional Office, P.O. Box 12668, Juneau, AK 99802. Telephone: (907) 586-7280. E-mail: shawn.carey@noaa.gov.  
Northeast: Harold C. Mears, Director, State, Federal, and Constituent Programs Office, National Marine Fisheries Service, Northeast Region, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978)281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov. Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6115. Fax: (206) 526- 4461. Email: Kevin.Ford@noaa.gov. Southeast: Jeffrey Brown, State/Federal Liaison Branch, 263 13th Avenue South, St. Petersburg, FL 33701. Telephone: (727) 824-5364 Fax: (727) 824-5364. E-mail: jeff.brown@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562) 980-4033. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov. PIRO: Scott Bloom, 1601 Kapiolani Blvd, Suite 1110, Honolulu, HI 96814. Telephone: (808)944- 2218. Fax: (808)973-2941. E-mail: scott.bloom@noaa.gov.

**Headquarters Office:**

JoAnna Grable, Management and Administration Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-1364. Use the same number for FTS. Fax: (301) 713-2258. E-mail: joanna.grable@noaa.gov.

**Web Site Address:**

<http://www.noaa.gov>. Southeast: <http://caldera.sero.nmfs.gov/grants/programs/industry.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Southeast: Funded research to restore bay scallops in Florida through stock enhancement and funded projects to eradicate exotic plants from shorelines to

reduce beach erosion. Provided funds to restore oyster beds in Louisiana, Mississippi, and Alabama that were damaged as a result of hurricanes and flooding. Funded removal of underwater obstacles to navigation and fishing that were left after hurricanes. Direct financial assistance to shrimp fishers and blue crab fishers in the Southeast U.S. and development of programs to market shrimp and blue crabs. PIRO: Hawaii Seafood Safety and Marketing; Fishery Observer Program, Longline Vessel Procurement and Training, Skip Jack Fishing Training, Fishpond Revitalization Project, Fishermen's Cooperative Market, By-catch Utilization Projects.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals may be selected from several sources, e.g., unsolicited proposals, Congressionally-mandated projects, applications received as a result of notices published in the Federal Register. Recipients and sub recipients are subject to all applicable Federal laws and Federal and Departmental policies, regulations, and procedures applicable to Federal financial assistance awards.

### **11.454 UNALLIED MANAGEMENT PROJECTS**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1956, 16 U.S.C. 661; Magnuson Fishery Conservation and Management Act, 16 U.S.C. 1854(e); National Fisheries Research and Development Program, 15 U.S.C. 713c 3(d), Department of Commerce Appropriation Act of 1999.

#### **OBJECTIVES:**

Projects provide economic, sociological, public policy, and other information needed by Federal and State natural resource administrators for conserving and managing fishery resources and protected species and their environment in Federal, State, and U.S. territorial waters. Information derived from project studies may consist of econometric data, user profiles, sociological case studies, policy and systems analyses, and other knowledge, and is used in such decisions as resource allocations, total and zonal harvest determinations, and initial apportionment of harvesting rights under controlled access management regimes. Primary users of project information include the National Marine Fisheries Service, Regional Fishery Management Councils, Interstate Marine Fisheries Commissions, State, and other Federal resource management agencies.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of management activities for high-priority marine and estuarine resources, especially for species and/or their habitat currently under or proposed for future Federal or interjurisdictional management.

#### **Applicant Eligibility:**

Eligible applicants for assistance include: State and local governments, including their universities and colleges; U.S. territorial agencies; federally and state recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and individuals.

#### **Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

#### **Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct.

#### **Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. See <http://www.whitehouse.gov/omb/grants/spoc.html>.

#### **Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and

reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division for review and approval.

#### **Deadlines:**

Project applications must be received by the receiving NMFS office at least 90 days before the requested start date of the project.

#### **Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and NOAA financial assistance procedures.

#### **Appeals:**

None.

#### **Renewals:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and NOAA financial assistance procedures.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent of the Federal share. Grantee matching contributions are not required, but are encouraged.

#### **Length and Time Phasing of Assistance:**

Awards are normally for a 12-month or 18-month period, but in some instances, award periods may extend beyond these periods, or may be completed in less time. Award funds must be spent in the indicated budget period and are expended in accordance with DOC/NOAA finance and reporting procedures. Funds are requested through the Financial Management System as part of the Department of Treasury's Automated Standard Application for Payment System (ASAP). See [http://www.fms.treas.gov/asap/pr\\_gettingstarted.html](http://www.fms.treas.gov/asap/pr_gettingstarted.html).

#### **Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Grants and Cooperative Agreements) FY 07 \$12,000,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$146,500 to \$1,225,000. Average: \$539,250.

#### **PROGRAM ACCOMPLISHMENTS:**

Alaska Region: Development of programs seeking to stabilize and restore fisheries access to the Gulf of Alaska community-based small boat fleets and assist in the creation of new fisheries opportunities. Provide research assistance to aid in run forecasting and restoration of Yukon River salmon. These activities are carried out by 5 grants to Alaska recipients. Northeast Region: Work in 2005 focused on: A 6-day research video cruise to the northern portion of Nantucket Lightship Closed area (NLCA). The survey concentrated on both high and low density of scallops. A multistage centric systematic survey on two spatial scales was compared to a simple random survey with 300 stations. This work allows for statistical comparisons between the two survey designs including comparisons of densities and size frequencies of sea scallops, other macroinvertebrate and sediment compositions; Conduct research on a turtle excluder dredge in two phases. In phase 1, design and fabricate a prototype scallop dredge frame, field test the frame on commercial trips, and modify the design as appropriate. The dredge will consist of two components; (1) a chain mat that had previously designed and tested that prevents turtles from entering the bag dredge and (2) a new concept for construction of the dredge frame to keep turtles from snagging on top of the dredge. The second phase will commence when an acceptable design has been achieved and will consist of extensive scientific field testing of the dredge. Southeast Region: Development of programs to better document fishing effort in the shark fishery, south Atlantic snapper-grouper fisheries, and the U.S. Virgin Islands commercial fisheries. Development of a Gulf of Mexico shrimp trawl bycatch device testing project. Continuation of king mackerel stock research. Cooperative research to study the life histories of various reef fish in the Southeast.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**



For cost principles, see OMB Circular Nos. A-21 (educational institutions), A-87 (State and local governments) or A-122 (nonprofit organizations). For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS. E-mail: shawn.carey@noaa.gov. Northeast: Harold C. Mears, Director, State, Federal and Constituent Programs Office, National Marine Fisheries Service; Northeast Regional Office, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov. Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Regional Office, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206)526-6150. Fax: (206) 526-6426. E-mail: Joe.Scordino@noaa.gov. Southeast: Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727)551-5760. Fax: (727) 824-5364. E-mail: Robert.sadler@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802-4213. Telephone: (562) 980-4239. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov. Pacific Island: Scott Bloom. Telephone (808) 944-2218. E-mail: scott.bloom@noaa.gov.

**Headquarters Office:**

JoAnna Grable, Management and Administration Division,, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-1364. Fax: (301) 713-2258. Email: joanna.grable@noaa.gov.

**Web Site Address:**

Alaska: <http://www.fakr.noaa.gov>. Southeast: <http://caldera.sero.nmfs.gov/grants/programs/manage.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Alaska: Alaska Coastal Communities Coalition; Support efforts to stabilize and restore fisheries access to Gulf of Alaska Community-based small-boat fleets. Create and activate plans to do run forecasting and restoration of Yukon River salmon. Support program reports on current events in the fisheries arena of the major fishing nations of the Pacific Rim. Northeast: Examining the Effect of the 2004 Pulse Fishing Event on the Georges Bank and Closed Area Benthic Community, Development of an Interactive Video Map Detailing the Georges Bank and Mid-Atlantic Benthic Community, 2005 Fishery Independent Survey of Selected Hard Bottom Areas in Southern New England, Continued Investigation of Marine Biotoxins in the Atlantic Sea Scallop Resource. Southeast: Improved data collection for discards of shark, and south Atlantic snapper-grouper. Cooperative research to better estimate king mackerel stock mixing and abundance. Pilot projects to collect U.S. Virgin Islands reef fish data, test shrimp trawl bycatch devices, and to test reef fish gear in the eastern Gulf of Mexico. Improved collection of life history data on hogfish, goliath grouper, and Gulf of Mexico vermilion snapper and red grouper.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register, FedBizOpps, or Congressionally mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

## 11.455 COOPERATIVE SCIENCE AND EDUCATION PROGRAM

Cooperative Marine Education and Research Programs (CMER); Joint Institute for Marine Observation (JIMO); Cooperative Unit of Fisheries Education and Research (CUFER); Cooperative Institute of Fishery Oceanography (CIFO); Cooperative Education and Research Program (CERP); Cooperative Institute Agreement (CIA); Cooperative Institute for Marine Resources Studies (CIMRS); Cooperative Institute for Marine and Atmospheric Studies (CIMAS); and Cooperative Institute for Arctic Research (CIFAR); Joint Institute for the Study of the Atmosphere and Oceans (JISAO).

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1956, 16 U.S.C. 661; Fish and Wildlife Act, 16 U.S.C. 753(a); Department of Commerce Appropriation Act of 1999.

**OBJECTIVES:**

To support through grants and cooperative agreements, enduring partnerships between the Federal government and institutions of research and higher education for cooperative science and education on marine issues, especially living marine resources and their habitat, that confront local, regional, and

national resources managers; also, to award grants and cooperative agreements to develop innovative approaches and methods for marine and estuarine science and education.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research and higher education projects on high-priority marine and estuarine resource issues, especially resources and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance are State, U.S. territorial, and private institutions of higher learning and education, especially universities and colleges, with which the National Marine Fisheries Service or the National Oceanic and Atmospheric Administration has entered into, or may enter into, an enduring partnership for purposes of research and education on the marine environment. Also included are private and public research organizations affiliated with institutions of higher learning, and national and international organizations and programs dedicated to marine and estuarine research, education, and outreach.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is eligible for coverage under E.O. 12372, " Intergovernment Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the appropriate NMFS Science and Research Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional research and education goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Project applications must be received by the receiving NMFS office at least 120 days before the requested start date of the project.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 150 days, which includes processing of the award through the NMFS and NOAA.

**Appeals:**

None.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. NOAA may fund up to 100 percent of project costs. Grantees matching contributions are not required, but are encouraged.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and expended in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally

require that financial and performance reports be submitted semi-annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$6,200,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$33,000 to \$1,777,363. Average \$136,000.

**PROGRAM ACCOMPLISHMENTS:**

Alaska Center: Through support of JISAO work was carried out on an atlas of the occurrence and distribution of eggs and larvae of north Pacific fishes sampled during fisheries oceanography cruises; study of biological and physical factors affecting survival of walleye pollock eggs and larvae in the Gulf of Alaska and their recruitment to the commercially fished population; groundfish stomachs were read to determine the importance of different Bering Sea and Gulf of Alaska prey species; research cruises were conducted to place and recover Atka mackerel tags; and a research cruise was conducted to determine the effects of fishing on the distribution of pollock. Northeast Center: Cooperative programs with universities were supported, primarily for training graduate students: University of Massachusetts, Rutgers University, Virginia Institute of Marine Science and the University of Rhode Island. Northwest Center: Undergraduate and graduate internships; Salmon survival and life-stages research: disease and anthropogenic factors, estuarine influences, ocean ecology, predation, and genetics; Ground fish research: stock assessment and habitat Southeast Center: Coastal fisheries habitat management research. Southwest Center: Grants were awarded to the University of Hawaii and the University of California to support undergraduate and graduate student research, support of educational programs in fisheries research, marine satellite data processing and research vessel support. Cooperative research studies are between NMFS/JIMAR and JIMO. Research on highly migratory fish species in the Atlantic.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Program contacts: Alaska: Mr. James M. Coe, Deputy Director, Alaska Fisheries Science Center, 7600 Sand Pt. Way NE., Bldg. 4, Seattle, WA 98115-6349. Telephone: (206) 526-4000. Fax: (206) 526-4004. E-mail: jim.coe@noaa.gov. Northeast: Dr. Ken Sherman, Chief, Office of Marine Ecosystem Studies, Northeast Fisheries Science Center, 28 Tarzwell Drive, Narragansett, RI, 02882. Telephone: (401) 782-3211. Fax: 401-782-3201. E-mail: Kenneth.Sherman@noaa.gov. Northwest: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. E-mail: Bob.Iwamoto@noaa.gov. Southeast: Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701, Telephone (727) 824-5324. Fax: (727) 824-5364. Southwest: Dr. Richard Neal, Deputy Science Director, Southwest Fisheries Science Center, 8604 La Jolla Shores Drive, La Jolla, CA 92038-1508. Telephone: (858) 546-7066. Fax: (858) 546-7003. E-mail: Richard.A.Neal@noaa.gov.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

Alaska Center: <http://www.afsc.noaa.gov/>. Northeast Center: CMER: <http://www.nefsc.nmfs.gov/cmer/>. Southwest Center: <http://swfsc.nmfs.noaa.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Alaska Center: JISAO at the University of Washington was supported to provide for the study of biological and physical factors affecting the recruitment of walleye pollock in the Gulf of Alaska and Bering Sea to improve our ability to

predict year class recruitment to the commercial fishery; to study the acoustic properties of fish of the north Pacific, develop visualization tools to increase the understanding of using sound to survey fish populations, investigate equipment and methods used to acoustically enumerate, size, and map fish distributions, and to foster the training of students and researchers in the use of acoustics to assess fish populations; and to provide for the study of food habitats of groundfish, the effects of fishing on the distribution of pollock in the Gulf of Alaska and the distributional behavior of Atka mackerel. Research at CIFAR was conducted on the use of genetic markers to describe the population structure of Pacific Ocean Perch and to use genetics to study the possibility of two species of rougheye rockfish. Northeast Center: Research to support the management of living marine resources. Evaluating the potential effects of habitat alterations and determine if benthic fish assemblages and biomass differ at and away from sand ridges. Documenting and understanding the behavioral interactions between cetaceans and trawl fishing gear in the Western Atlantic. Also, research aimed at studying the decline of Atlantic bluefish stocks. Focus on investigating the relationship between bluefish and striped bass populations, changes in bluefish food stocks, whether the bluefish have declined or migrated elsewhere, and other factors which bear upon the status of bluefish and striped bass stocks. Continuation of a program which has developed an extensive database on Western North Atlantic right whales and other protected marine species. A cooperative agreement was established to conduct Atlantic Salmon Communication Network Assessment to Focus Education, Outreach and Collaboration. A fish habitat study to be carried out by undergraduate students applying fishery techniques, water quality monitoring and GIS methodology in characterizing selected fish habitats in an urbanized tributary of the Chesapeake Bay estuarine system. Southeast Center: Characterizing conditions under which fisheries and cetaceans co-occur along the eastern U.S. coast. Funded research to verify and improve age determination in endangered marine turtle species. Establishing a web-based resource to expand opportunities for under-represented groups in the marine and environmental sciences. Northwest Center: Feeding and growth of juvenile salmonids off the Oregon and Washington coasts; ocean survival of salmonids relative to migrational timing, fish health, predation and oceanographic conditions in the Columbia River plume and adjacent coastal waters; disease and survival of juvenile salmon in the estuarine and nearshore ocean environment; undergraduate and graduate research, groundfish stock assessment and habitat research. Southwest Center: JIMO at the University of California was supported to provide satellite data processing; research vessel for "Egg and larval fish production from marine ecological reserves" cruise; genetic population structure of central California coastal Salmonid populations; cooperative studies of Pacific Coast salmon; ocean and estuarine physiological ecology of salmon. JIMAR at the University of Hawaii was supported to provide pelagic fisheries visiting scientists program; tropic ecology and structured-associated aggregation behavior in Bigeye and Yellowfin Tuna in Hawaii-based commercial longline fishery; distribution, histories, and recent catch trends with six fish taxa taken as incidental catch by the Hawaii-based commercial longline fishery; recreational fisheries meta data preliminary steps; development of oceanographic atlases for Pelagic and insular fisheries and resource management of the Pacific basin; pop-off satellite archival tags to chronicle the survival and movements of blue sharks following release from longline gear; developing biochemical and physiological predictors of long term survival in released blue shark; survivorship, migration, and diving patterns of sea turtles released from commercial longline gear determined with pop-up satellite archival transmitters; pelagic fisheries research program management; pelagic fisheries research management-modeling and tag design; and Hawaii regional tuna tagging project.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected following consultation between NMFS fisheries centers scientists and universities with established memoranda of understanding or agreement, and subject to availability of funds. Proposals may be reviewed by coordinating or technical committees, based on joint determination by these reviewers and in consideration of the informational needs of the State regional and Federal marine resource management agencies, and on peer-review comments related to the technical quality of the proposal. All proposals must comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.457 CHESAPEAKE BAY STUDIES**

(Chesapeake Bay Studies)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 753a; 15 U.S.C. 1540; 16 U.S.C. 661-666c, Department of Commerce and Related Agencies Appropriations Act of 2002; NOAA Authorization Act of 1992, Public Law 102-567.

**OBJECTIVES:**

To provide financial assistance for research and development projects that will provide information for the living marine resources of Chesapeake Bay. In

addition, assistance is provided for the Chesapeake Bay Watershed Education and Training Initiative (B-WET). The B-WET Program will work with and support organizations that provide environment-based education to students, teachers, and communities throughout the Chesapeake Bay watershed. In addition, assistance is provided for research and restoration of Submerged Aquatic Vegetation (SAV) in the Chesapeake Bay.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used to improve surveys and fisheries statistics, investigate living marine resource linkages with dependent habitats and conduct research in support of fisheries stock assessments in conjunction with cooperative, long-term data collection programs for the Bay's living marine resources. Funding can also be used to support environmental-based education, expand student Chesapeake Bay or stream outdoor experiences, improve opportunities for teachers to receive professional training in the area of environmental education, and promote internship opportunities for students and teachers in the field of environmental education.

**Applicant Eligibility:**

Eligible applicants are institutions of higher education, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, State, local and Indian tribal governments.

**Beneficiary Eligibility:**

Federal, State and local governments, universities, independent school divisions, nonprofit organizations, and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs applications and conduct.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the NOAA Chesapeake Bay Office, and then are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national and regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for Department of Commerce clearance and processing procedures. In additions, funds may be provided on a sole source basis for priority projects for the stewardship of Chesapeake Bay resources.

**Deadlines:**

Deadlines are published in the annual Federal Register or contact the NOAA Chesapeake Bay Office.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If an application is unacceptable, the reasons are fully stated to the applicant.

**Renewals:**

Multi-year awards of up to three years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years, however proposals may be subject to a technical evaluation. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent Federal share. Grantee matching contributions are not required but are encouraged.

**Length and Time Phasing of Assistance:**

Grants/cooperative awards are normally made for one year. Assistance is released via the NOAA Financial Assistance Disbursement System (FADS). Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12-months, or may be completed in less than 12-months. Award funds must be spent in the indicated budget period and in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Semi-annual progress and financial reports are due six months after the start date of the award. Progress reports should summarize all work accomplished during the six months following the start date of the award and the financial reports should reflect the use of funds. A final report is due 90 days after completion of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$13,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$8,000 to \$350,000. Average: \$85,000.

**PROGRAM ACCOMPLISHMENTS:**

1) Valuable information has been obtained under this program. All projects are State and Federal cooperative efforts to implement and develop fishery stock assessment programs in Chesapeake Bay. The following are a few of the highlights: Developed a randomized sampling design for the blue crab recreational fishery in Chesapeake Bay; Developed and implemented the Baywide winter dredge survey for blue crab; Designed and field-tested multiple species monitoring program to be conducted on a Baywide scale; Developed a multispecies modeling approach for Management of the Coastal fishery for Atlantic menhaden; Verified techniques to biochemically measure the age of blue crab, and; competed stock assessments for blue crab, oyster, and hard clam. Planted 15 acres of eelgrass (SAV) from seed on the Piankatank (VA) and Patuxent (MD) rivers 2) Educated more than 35,000 students about the Chesapeake Bay watershed and their greater environment. Provided more than 6,700 teachers with professional development opportunities in the field of environmental education. Developed strong partnerships among environmental education organizations. Forged partnerships with the Departments of Education to integrate information about the Chesapeake Bay and its watershed into school curricula.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fish and Wildlife Act of 1956. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

NOAA Chesapeake Bay Office, 410 Severn Avenue, Suite 107A, Annapolis, MD 21403. Contact: Derek Orner, Fishery Biologist or Shannon Sprague, Education Coordinator. Telephone: (410) 267-5660. Fax: (410) 267-5666. E-mail: Derek.Orner@noaa.gov or Shannon.Sprague@noaa.gov.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://noaa.chesapeakebay.net/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Developed better methods to collect and plant eelgrass (SAV) seeds; set up facilities to increase the availability of seeds and other planting materials for planting lower salinity SAV species; conducted site assessments to choose sites for future large scale SAV planting projects. Developed better methods to collect and plant eelgrass (SAV) seeds; set up facilities to increase the availability of seeds and other planting materials for planting lower salinity SAV species; conducted site assessments to choose sites for future large scale SAV planting projects For the B-WET Program, all projects support the education and outreach goals of the Chesapeake 2000 agreement. The following are examples of funded projects in fiscal year 2004. School Leadership in Urban Runoff Reduction (Living Classrooms Foundation); the Teachers Training Institute at Hard Bargain Farm (Alice Ferguson Foundation); Bay Grasses in Classes (MD DNR); Chesapeake Connections (Arlington Echo Outdoor School); and Chesapeake Classrooms (Chesapeake Bay Foundation).



**CRITERIA FOR SELECTING PROPOSALS:**

Consideration is given to projects that directly relate to the interstate/governmental Chesapeake Bay 2000 Agreement. Consideration is measured amongst several criterion including: project description and conceptual approach for resolution; soundness of project design/technical approach; project management and experience and qualification of personnel; justification and allocation of the budget in terms of the work to be performed; demonstration of project partnerships; and continued teacher involvement and communication.

**11.459 WEATHER AND AIR QUALITY RESEARCH****FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Federal Aviation Act, as amended, 49 U.S.C. 1463; Weather Service Organic Act, 15 U.S.C. 313; National Climate Program Act, as amended, 15 U.S.C. 2901; Clean Air Act Amendments of 1990, 42 U.S.C. 7403.

**OBJECTIVES:**

To develop the knowledge required to establish a predictive capability for short and long-term climate and air quality fluctuations and trends. To develop the base of scientific knowledge for better informed decisions.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, science assessments, advisory services, and operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis. Grants and contracts currently exist with National Acid Precipitation Assessment Program (NAPAP) participants.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutions, laboratories; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with interests in meteorology, oceanography, climate, and air-quality research and prediction.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards are made on the basis of peer review of proposals.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal receipt.

**Appeals:**

None.

**Renewals:**

By negotiation with OAR.

**Formula and Matching Requirements:**

No matching funds required.

**Length and Time Phasing of Assistance:**

Normally for a period of one year.

**Reports:**

Quarterly performance and financial reports are required. Final reports are due 90 days after expiration of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted

in Circular No. A-133.

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for the purpose for which the grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported. (Contracts) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.(NOTE: No funds are currently identified for grants and contracts).

**Range and Average of Financial Assistance:**

Funds no longer are available.

**PROGRAM ACCOMPLISHMENTS:**

One to three contracts per year are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Office of Weather and Air Quality, Office of Oceanic and Atmospheric Research, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, MD 20910. Contact: Office of Weather & Air Quality: (301) 713- 9397 or (301) 713-9121.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.431, Climate and Atmospheric Research; 11.432, Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Numerical weather prediction using global weather experiment data; (2) prediction of planetary circulation; (3) implementation of sea level network in Indian Ocean; (4) dynamical forecast of El Nino/Southern Oscillation; (5) circulation of the SW tropical Pacific Ocean; and (6) analysis of the effects of atmospheric deposition of nitrates and sulfates on surface water chemistry.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration primarily scientific merit and application to office research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.460 SPECIAL OCEANIC AND ATMOSPHERIC PROJECTS****FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

National Weather Service and Related Agencies Authorization Act of 1999, as amended.

**OBJECTIVES:**

As indicated in NOAA special announcements or applicable reports supportive of the Department's goal to expand knowledge of and to manage effectively the Nation's oceanic and atmospheric resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative agreements and grants may be used for research and development, education and training, and advisory services. May be used for operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants and cooperative agreements are evaluated on an individual program basis.

**Applicant Eligibility:**

As stated in NOAA special announcements or applicable reports in support of NOAA's mission.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with applicable OMB Circulars.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards will be made on the basis of proposal evaluations, technical reviews, administrative reviews, and external reviews, if applicable.

**Deadlines:**

In accordance with the applicable report or announcement.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from the time of proposal submission to NOAA/OAR.

**Appeals:**

None anticipated.

**Renewals:**

By negotiation with the OAR and subject to availability of funds.

**Formula and Matching Requirements:**

None anticipated.

**Length and Time Phasing of Assistance:**

In accordance with the applicable NOAA Report or special NOAA announcement and in accordance with FARB approvals.

**Reports:**

Financial and performance reports will be required quarterly at a minimum.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Recipients are expected to maintain complete records for each grant and/or cooperative agreement to ensure funds are used for the purpose for which the award was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Varies depending upon what funds are appropriated for special projects.

**PROGRAM ACCOMPLISHMENTS:**

Grants and cooperative agreements are awarded as applicable. For example, the Oceans and Human Health Initiative (OHHI) sponsors competitive, peer-reviewed research to collaborate with and augment NOAA intramural research programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NOAA Grants and Cooperative Agreements Policy Manual. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

OAR, Laboratory, or Sea Grant offices, depending upon the particular program. 1335 East-West Highway, Silver Spring, MD 20910.

**Headquarters Office:**

Director, OAR, Office of Program, Planning & Evaluation, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713- 2465, Ext. 119.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.417, Sea Grant Support; 11.420, Coastal Zone Management Estuarine Research Reserves; 11.426, Financial Assistance for National Centers for Coastal Ocean Science; 11.430, Undersea Research; 11.431, Climate and Atmospheric Research; 11.432, Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.449, Independent Education and Science Projects and Programs; 11.459, Weather and Air Quality Research.

**EXAMPLES OF FUNDED PROJECTS:**

Institute for the Study of Earth, Oceans, and Space; STORM; Radiophysics Lab of Dartmouth College; Gulf of Maine Council; Aquatic Ecosystems; Lake

Champlain Study; Central California Ozone Study; Ice Physics Research; Southeast Atlantic Marine Monitoring and Prediction; Lake Champlain Canal Barrier Demonstration; Oceans and Human Health (OHHI); and such Ocean Exploration as continuing the Lewis and Clark Legacy and Sound in the Sea: Acoustic Monitoring at Pioneer Sea Mount.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

**11.462 HYDROLOGIC RESEARCH**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, NATIONAL WEATHER SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C. 313, 1525.

**OBJECTIVES:**

To maintain a cooperative university/Federal partnership to conduct joint research and development on pressing surface water hydrology issues common to National, regional, local operational offices, private consulting hydrologists, and academics.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used to support research and development on issues related to the forecasting of surface hydrologic conditions. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

**Applicant Eligibility:**

Eligible applicants are Federally recognized institutions of higher learning, agencies of State or local governments, quasi-public institutions such as water supply or power companies, hydrologic consultants and companies involved in using and developing hydrologic forecasts (either for reducing flood damages or for water management decisions).

**Beneficiary Eligibility:**

Since the benefits of the overall program are for a reduction in loss of life and damage resulting from flooding and drought, and improved utilization of water supply and water dependent industries, benefits accrue from these projects to: (1) Federal agencies responsible to forecast, assess, manage, disperse, project economic conditions based on projections of water supply for agriculture and industry, and control water resources; (2) interstate commissions to control and allocate surface waters; (3) State agencies responsible for allocating and controlling water resources and for making projections for the use of water for industry and agriculture and for planning and developing infrastructure within the State that is impacted by rivers and lakes; (4) local agencies dependent on water for economic planning, emergency preparedness, and public water supply; (5) all businesses and industries depending all or in part upon surface water supplies or adequate water in lakes for recreation, in rivers to generate power, or in production or dispersion of products or who must take action in order to ameliorate damage during flood situations, (6) wildlife interests at all levels that are dependent upon water management for managing the environment; (7) homeowners or farmers who must plan for proper responses to flooding or inadequate water supply; and (8) academic institutions which are funded for programs dealing with the studies of hydrologic science.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit and for-profit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals, including a statement of work and budget, are submitted to Chief of the Training Division of OCWWS. When details of the work and budget are mutually agreed upon, the complete proposal will be prepared and formally submitted. Complete grant or cooperative agreement proposals will include forms SF-424 Application for Federal Assistance, SF-424A, Budget Information Non-Construction Programs, statement of work, budget and supporting details, negotiated indirect cost rate sheet, and CD-511 Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug Free Workplace Requirements, and Lobbying statements. Cooperative activities and funding amounts are determined through an evaluation conducted in coordination with the Director of OCWWS, and staff.

**Award Procedure:**

Awards are made on the basis of proposal evaluations and technical and administrative reviews. Proposal will be submitted to the NOAA Grants Management Division for review and approval. Cooperative activities and funding amounts are determined through an evaluation conducted in

coordination with the Director of the Office of Hydrologic Development by the Chief of the Hydrology Laboratory, and the technical experts of the Laboratory.

**Deadlines:**

Application deadlines are established by notices appearing on OHD/HL website.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days, which includes processing of the award through the NWS and NOAA financial assistance functions.

**Appeals:**

None.

**Renewals:**

By negotiations with the Office of Hydrologic Development. Cooperative activities are normally continuing subject to the availability of funding for subsequent budget periods. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no matching requirements. NOAA may fund up to 100 percent of project costs.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12-months. The funding is spent in the award's budget period unless an extension is requested by the principal investigator and approved by NOAA Grants Office. Since many cooperative projects with universities depend upon student labor there are times when unfunded extensions are required.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports be submitted quarterly or semiannually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and commercial organizations and in accordance with 15 CFR Part 24 for State and local governments.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000. Average: \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

This program has developed an improved method for automatic calibration of hydrologic models to river basins, made definite progress in the development of distributed rainfall/runoff models, demonstrated improved flash flood models for urbanizing environments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Hydrology Laboratory, National Weather Service - W/OHD-1, 1325 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-0640.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Project to further automate the calibration of hydrologic models; (2) development of procedure to enhance flash flood guidance; (3) development and testing of distributed rainfall/runoff models using radar-derived rainfall data; (4)

demonstration project to show practical benefits from extended streamflow predictions in a probabilistic framework; and (5) investigations of flash flood models in arid climates.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration scientific merit, application to office research goals, principal investigator's qualifications, cost, and available funding.

**11.463 HABITAT CONSERVATION**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1956, 16 U.S.C. 661; 16 U.S.C. 6401 et seq.; 16 U.S.C. 3951 et seq.; Public Law 100-220, Title II, Section 2204, 33 U.S.C. 1901 et. seq.; Department of Commerce Appropriation Act of 1999; and Coral Reef Conservation Act, 16 U.S.C. 6401 et seq.

**OBJECTIVES:**

To provide grants and cooperative agreements for biological, economic, sociological, public policy, and other research, administration, and public education projects on the coastal environment to benefit U.S. fisheries, conserve protected resources, and add to the economic and social well being of the Nation. Projects are funded to carry out public policy pertaining to protection and restoration of the Nation's wetlands and other coastal habitats, pursuant to the Fish and Wildlife Coordination Act, Magnuson Fishery Conservation and Management Act, Endangered Species Act, Estuary Restoration Act, Marine Mammal Protection Act, Marine Plastic Pollution Research and Control Act of 1987, Coastal Wetlands Planning Protection and Research Act (CWPPRA), Coral Reef Conservation Act and other legislation. Research and management includes determining the effects of habitat modifications and contaminants on populations of living marine resources, restoring depleted stocks that have been adversely impacted by habitat modifications, determining if artificial or restored habitat fulfills essential habitat needs of living marine resources, and quantifying contaminants and debris that pose a hazard to populations of these animals.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research, habitat restoration, coral reef conservation, construction, management, and public education activities for marine and estuarine habitats, especially for species currently under, or proposed for, future Federal or Inter-jurisdictional management. Habitat restoration includes providing fish passage, dam and barrier removals, marine debris prevention and removal, wetland and riparian restoration, and similar activities that restore habitat for diadromous fish, shellfish and other marine resources in coastal watersheds.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges; U.S. territorial agencies; federally and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations, and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. Territories and Freely Associated States; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the Office of Habitat Conservation, or NOAA Coral Conservation Program lead, as appropriate. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the appropriate NMFS Office/Region/Science Center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs.



Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Project applications must be received by the receiving NMFS office at least 90 days before the requested start date of the project.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 150-180 days, which includes processing of the award through NMFS and NOAA.

**Appeals:**

None.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Project costs are funded at up to 100 percent. Grantee matching contributions vary by specific funding opportunity. Coastal Wetland Planning, Protection and Restoration Act projects require a 15 percent match by the State of Louisiana at this time. Under the Community-based Restoration Program guidelines, projects are encouraged to demonstrate a minimum nonfederal match of 50 percent of the total cost needed to complete the proposed project. A 1:1 match is required for the General and International Coral Reef Conservation Grant Programs.

**Length and Time Phasing of Assistance:**

Awards are normally for 12-24 month periods, and vary by specific funding opportunity. Award funds must be spent in the indicated budget period and expended in accordance with DOC/NOAA finance and reporting procedures. Funds are released as needed through the automated treasury process (ASAP) or by reimbursement, as indicated in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions may require that financial and performance reports be submitted semi-annually or on some other agreed upon schedule.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$32,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$15,000 to \$10,000,000. Typical award: \$35,000 to \$200,000; CWPPRA awards among the largest, typically in the millions.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, cooperative agreements for wetland restoration projects in Louisiana under the CWPPRA program resulted in funding construction for the Little Lake Shoreline Protection/Dedicated Dredging near Round Lake Restoration Project and funding engineering and design for the Riverine Sand Mining/Scofield Island Restoration Project. Under the NOAA Community-based Restoration Program (CRP), 18 applications were recommended for funding in FY05 ranging from \$20,000 to \$211,507 for a total of \$1.72 million, and nearly \$8M went to the continued support of 12 national and regional habitat restoration partnerships (funded between \$125K and \$1.7M) that provide sub-awards for individual habitat restoration projects. These projects leverage between \$3 and \$5 for every NOAA dollar invested, have significant community support and hands-on participation, and typically have an associated outreach or informal education component. NOAA's Coral Reef Conservation Grant Program launched a new international coral reef program in 2002, pursuant to the Coral Reef Conservation Act of 2000. During Fiscal Year 2005, the International Coral Reef Conservation Grant Program invested \$400,000 in 11 projects in 12 countries that leveraged \$435,109 in matching funds. Funds were distributed among the following four themes: 1) Demonstrate best management practices to reduce and control run-off to near shore coral reef ecosystems in the

Caribbean; 2) Implement management effectiveness programs to enhance adaptive management of marine protected areas; 3) Promote use of socioeconomic assessments in coastal management; and 4) Regional approaches to promote marine reserves in the Caribbean and Southeast Asia.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations. For grants management principles, see 15 CFR 24 (State and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Appendix IV.

**Headquarters Office:**

CWPPRA: Dr. Erik Zobrist; Community-based Restoration Program (CRP): Ms. Robin Bruckner, Program Manager. Office of Habitat Conservation, 1315 East West Highway, Silver Spring, MD 20910. Telephone: (301) 713-0174. Fax: (301) 713-0184. E-mail: Erik.Zobrist@noaa.gov; Robin.Bruckner@noaa.gov. General Coral Reef Conservation Grant Program: Andy Bruckner, Program Manager. Office of Habitat Conservation, FHC1, 1315 East West Highway, Silver Spring, MD 20910. Telephone: (301) 713-3459. Fax: (301) 713-1594. E-mail: Andy.Bruckner@noaa.gov. International Coral Reef Conservation Grant Program: Arthur Paterson, 1315 East West Highway, 5th Floor, Room 5627, Silver Spring, MD 20910. Telephone: (301) 713-3078; E-mail: Arthur.E.Paterson@noaa.gov.

**Web Site Address:**

<http://www.nmfs.noaa.gov/habitat/ecosystem/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

NOAA Fisheries Headquarters: Wetland restoration projects in CWPPRA program are utilized for protecting and restoring eroding coastal marshes. The Community-based Restoration Program (CRP) provides funding to implement a wide variety of on-the-ground habitat restoration projects to benefit marine, estuarine and riparian habitats, including but not limited to salt marshes, seagrass beds, coral reefs, mangrove forests, and freshwater habitat important to diadromous fisheries, predominantly in coastal areas around the United States. The Office of Habitat Conservation also provides funding for coral reef conservation activities. Coral Reef: Nguna-Pele Marine Protected Area Community Management and Assessment Enhancement Project. Enhancing Management Effectiveness of MPAs: Regional Capacity Building in Indonesia and the Philippines, Assessment and Management of Black Grouper Spawning Aggregations in Belize essential fish habitat mapping and assessment, coral reef trade, sustainable use and management of the live reef fishes, watershed management, socioeconomic monitoring, and community-based management and conservation. Others: Bonneau Ferry, SC and other West Cooper River Corridor land protection, Great Bay NERR Construction and Development, Port Aransas Nature Preserve, Wetlands Protection land acquisition, and Village Point Park Preserve land acquisition.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures. Any financial assistance announcements must be made in the Federal Register; announcements in the Commerce Business Daily only is not sufficient.

**11.467 METEOROLOGIC AND HYDROLOGIC MODERNIZATION DEVELOPMENT**

(Hydrometeorological Development)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, NATIONAL WEATHER SERVICE

**AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C. 313, 1525.

**OBJECTIVES:**

To maintain a cooperative university and Federal partnership to conduct meteorological training, education, professional development, and research and development on hydrometeorological issues common to the hydrometeorological community.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments with Unrestricted Use; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Funds can be used to support education, training, research and development on subjects, especially those relating to modernization of the weather services, related to the atmospheric, near surface (first ten meters) oceanographic, and hydrologic conditions. Specific restrictions, other than those mandated for

cooperative agreements, are evaluated on an individual basis.

**Applicant Eligibility:**

Eligible applicants are accredited Federally recognized institutions of higher learning, consortia of these institutions, agencies of State or local governments including school systems, quasi-public institutions, consultants, and companies involved in using and developing meteorological or hydrologic forecasts or forecast methodology.

**Beneficiary Eligibility:**

The benefits of the overall program are for reduction in loss of life and damage which the general public can realize from improvement in weather forecasts, watches, and warnings of hazardous weather and resultant flooding. For the improvements from the modernization of the Nation's weather and hydrologic services to be realized, there must be significant involvement of the entire hydrometeorological community. Thus, benefits will accrue to: (1) General public through higher quality weather products and information; (2) State and local agencies responsible for the planning and implementation of emergency services, fire prevention, allocation and control of water resources, and those agencies who project economic conditions based on weather and water resource availability; (3) educational institutions (0-13+) which need to incorporate the information which will result from modernization of the weather services into their curricula; (4) scientists and developers who will be using the new information to enhance the State of the knowledge of the atmosphere and improve present system safety and reliability; and academic institutions which are funded for programs dealing with studies of the atmospheric and hydrologic science.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, curriculum vitae, and statements of appropriate and/or necessary accreditation. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit and for-profit organizations.

**Preapplication Coordination:**

Preapplication coordination between the proposer and the Office of Climate, Water and Weather Services (OCWWS) is recommended. Consultation in the preparation of forms is available from OCWWS. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals, including a statement of work and budget, are submitted to Chief of the Training Division of OCWWS. When details of the work and budget are mutually agreed upon, the complete proposal will be prepared and formally submitted. Complete grant or cooperative agreement proposals will include forms SF-424 Application for Federal Assistance, SF-424A, Budget Information Non-Construction Programs, statement of work, budget and supporting details, negotiated indirect cost rate sheet, and CD-511 Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug Free Workplace Requirements, and Lobbying statements. Cooperative activities and funding amounts are determined through an evaluation conducted in coordination with the Director of OCWWS, and staff.

**Award Procedure:**

Awards are made on the basis of proposal evaluations as well as technical and administrative reviews.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approval time for grants is expected to range from 90 to 180 days, which includes processing of the award through the NWS, NOAA, and DOC financial assistance functions.

**Appeals:**

None.

**Renewals:**

By negotiations with OCWWS. Cooperative agreement activities are normally continuing subject to the availability of funding for subsequent budget periods. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Agency.

**Formula and Matching Requirements:**

This program has no specific matching requirements. Projects are accepted at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12 months. The funding is spent in the award's budget period unless an extension is requested by the principal investigator and approved by NOAA Grants Office. The recipient receives the funds through the financial assistance disbursement system (FADS).

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally

require that financial and performance reports be submitted quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All financial and programming records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be maintained by the terms of the agreement. The grantee must retain records for 3 years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$4,983,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$15,000 to \$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

The Cooperative Program for Operational Meteorology, Education, and Training (COMET) has performed in a manner which has met all expectations. COMET consists of two programs: the Education and Training Program, and the Outreach Program. Experts from the entire academia community cooperate in the operational aspects of meteorology and hydrology which leads to the most current education and training. The Outreach Program seeks to make partnerships with Federal operational meteorologists and research scientists. During fiscal year 2002, this program sponsored a total of 15 projects with an average level of funding of approximately \$35,000 per year for collaborative efforts and a total of 12 smaller projects with an average level of funding of \$8,500. Proposals were treated in the standard peer review process. COMET produces cost-effective Web- Based modules and has produced four modules within the last year which are available freely on the web at <http://meted.ucar.edu/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Training Division, National Weather Service/OS6, 1325 East West Highway, Silver Spring, MD 20910 Telephone: (301) 713-0280; Fax: (301) 713-1598.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The COMET, AMS and UVA are the only projects which are presently funded under this program.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration scientific merit, application to office research goals, principal investigator's qualifications, cost, and available funding.

**11.468 APPLIED METEOROLOGICAL RESEARCH**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, NATIONAL WEATHER SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

49 U.S.C. 44720.

**OBJECTIVES:**

Through the Collaborative Science, Technology, and Applied Research (CSTAR) program, the NWS provides funding to the university community for highly collaborative applied research activities. The CSTAR program creates a cost-effective transition from basic and applied research to operations and services. This service-science linkage provides a foundation for the ongoing

infusion of science and technology into NWS operations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The funds are used by recipients to implement programs described in proposals submitted and selected in response to calls for proposals from the CSTAR Program Office. The CSTAR Program Office may support non-competitive awards in case specific instances or by direction from legislative language.

**Applicant Eligibility:**

College and universities in the United States.

**Beneficiary Eligibility:**

Colleges and universities with interests in atmospheric and related sciences.

**Credentials/Documentation:**

Proposals will be considered if applicants meet the qualifications listed in solicitations.

**Preapplication Coordination:**

No preapplication coordination is required. However, since proposals must demonstrate high levels of collaboration with operational NWS components, it is recommended that applicants discuss potential interactions with relevant NWS operational personnel prior to submission. Consultation and assistance is available through the NWS program manager. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Proposals will be submitted through the CSTAR program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

Awards are selected by the NWS Office of Science and Technology and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Deadlines are announced within solicitations published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approval time is expected to be about four months, which includes processing the award through NWS, NOAA, and DOC financial assistance functions.

**Appeals:**

None.

**Renewals:**

Awards are normally issued on an annual basis.

**Formula and Matching Requirements:**

This program has no matching requirements, however, each university normally contributes funding to further support the projects.

**Length and Time Phasing of Assistance:**

Awards are for a 12-36 month period, although only one year is funded at a time. Outyears are funded based on availability of funds and adequate progress. Funds are disbursed through the NOAA Accounting Services.

**Reports:**

Semiannual technical and financial progress reports are due within 30 days of the end of the evaluation period. Final reports are due within 90 days of the expiration of the award.

**Audits:**

Audits will be conducted in accordance with OMB Circular No. A-133 for universities and nonprofit organizations. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Financial records and supporting documents and all other records, i.e., property, performance work products, etc., pertinent to the agreement shall be maintained in accordance with the provisions of 15 CFR 14.53 as applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$1,544,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 to \$3,700,000. Average: \$460,285.

**PROGRAM ACCOMPLISHMENTS:**

Projects awarded through the CSTAR program are leading to a deeper understanding of meteorological factors involved in the NWS warning and forecasting programs, which, in turn, will benefit the U.S. public with more responsive warning and forecast programs. Specifically, regional and local lightning climatologies are being developed and distributed to NWS forecast offices for use in anticipating thunderstorm development; improvements to operational hurricane prediction models are being implemented; algorithms for better detection and estimation of precipitation amounts in the complex terrain

of the western U.S. are being developed; and new techniques for forecasting and warning extreme winter weather events are being developed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

N/A.

**Headquarters Office:**

CSTAR Program Manager, National Weather Service, 1325 East-West Highway, SSMC2, Room 15326, Mailcode W/OST12, Silver Spring, MD 20910. Telephone: (301) 713-557 x150.

**Web Site Address:**

<http://www.noaa.nws.gov>.

**RELATED PROGRAMS:**

11.467, Meteorologic and Hydrologic Modernization Development.

**EXAMPLES OF FUNDED PROJECTS:**

Awards are related to topics of regional and national importance such as developing an operational system for probabilistic quantitative precipitation forecasts in the U.S., improving the prediction of warm- and cool-season heavy precipitation events over the Northeastern U.S., improving forecasts of topographically-forced weather systems in the Carolinas and Virginia, and improving operational radar algorithms in the Inter-mountain West.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

**11.469 CONGRESSIONALLY IDENTIFIED AWARDS AND PROJECTS**

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act.

**OBJECTIVES:**

The objectives of the overall program are to facilitate education, research and development in the fields of marine and atmospheric science, and to provide a provision of assistance for the construction of suitable facilities for these activities, as specified by Congress.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To provide appropriated funds to facilitate education, research and development in the fields of marine and atmospheric science. Appropriated funds can also be used for construction of facilities and construction-related activities to support education, research and development associated with issues of atmospheric or marine sciences. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

**Applicant Eligibility:**

Eligible applicants include State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations and/or individuals. Typically those specifically identified by Congress in agency appropriations legislation.

**Beneficiary Eligibility:**

Through the awarding of financial assistance to facilitate education, research and development in the fields of marine and atmospheric science, and for the construction of educational, research and development facilities, this program benefits Federal, State, local governments, public and private universities and colleges, profit and nonprofit organizations, and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs.

**Preapplication Coordination:**

The standard application forms are furnished by the agency. Executive Order 12372 does not apply to this program. An environmental analysis is required for each project funded under this program under the provisions of the National Environmental Policy Act, 40 CFR 1500. As a result of this analysis, an Environmental Assessment and/or Environmental Impact Statement also may be required. Applicants should contact the agency for further NEPA guidance.

**Application Procedure:**



Submission of an application on Standard Form 424 as furnished by NOAA, including all required certifications, to the Program Officer, Congressionally Identified Awards, Office of Finance and Administration, Acquisitions and Grants Office. This program is subject to the provisions of 15 CFR 24, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, and 15 CFR 14, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations. NOAA reserves the right to withhold the awarding of a grant or cooperative agreement to any individual or organization delinquent on a debt to the Federal government until payment is made or satisfactory arrangements are made with the agency to which the debt is owed.

**Award Procedure:**

Applications reviewed by NOAA and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Time frame to submit application according to Federal Register announcement (if applicable), or as indicated in specific application cover letter furnished to applicants but in either case no later than May 31, to ensure processing during the fiscal year that funds are appropriated.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days from the time of receipt of a complete application. This timeframe includes processing of the award through the NOAA and DOC financial assistance functions.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce/NOAA.

**Formula and Matching Requirements:**

This program has no matching requirements. Projects are accepted at up to 100 percent Federal share.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12 months. The funding is spent in the award's budget period unless otherwise negotiated between the recipient and NOAA and approved by the NOAA Grants Management Division.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports be submitted semi-annually or as otherwise required under special award conditions. Progress reports summarize work accomplished, relate the progress to the original approved proposal and timelines, explain situations where expected work has not been completed, and request modifications to the project plan as necessary.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations, "nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained in accordance with the terms of the award. The recipient must retain records for three years from the date when the final financial status report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Historically awards have ranged from \$140,000 to \$28,500,000.

**PROGRAM ACCOMPLISHMENTS:**

NOAA grant recipients receiving funding have developed projects fostering a wide range of public benefits in the fields of marine and atmospheric science as specified by Congress in Appropriations Acts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional appropriations, Public Law (for FY 1998, Public Law 105-119, Nov. 13, 1997; for FY 1999, Public Law 105-277, Oct. 19, 1998). Costs will be determined in accordance with OMB Circular No.A-21 for institutions of higher education, OMB Circular No.A-87 for State and local governments, and OMB

Circular No.A-122 for nonprofit organizations. Grants management will be in accordance with provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations or 15 CFR 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Grants Management Division, OFA62, SSMC2, 1325 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-0926.

**Web Site Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Bronx Zoo Construction Project. Land Acquisition in Maine, Various Environmental Literacy project such as, Science on the Sphere Projects with Bishop Museum, National Maritime Museum, National Model Earth, National Ocean Science Bowl, and PRIDE Environmental Enhancement Initiative.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 11.472 UNALLIED SCIENCE PROGRAM

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC AGENCY, NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1956, 16 U.S.C. 661; Fish and Wildlife Act, 16 U.S.C. 753a.

**OBJECTIVES:**

To provide grants and cooperative agreements of biological, socio-economic and physical science research on the stocks of fishery and protected resources of the United States and their environment that will contribute to their optimal management for the benefit of the Nation; also, to award grants and cooperative agreements to develop innovative approaches and methods for marine and estuarine science.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research on high-priority marine and estuarine resource issues, especially for resources and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include: State and local governments, including their universities and colleges; U.S. territorial agencies; federally and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs applications and conduct.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Project applications must be received by the receiving NMFS office at least 120 days before the requested start date of the project.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 150 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures.

**Appeals:**

None.

**Renewals:**

Renewal of an award to increase funding and/or extend the period of an award is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent of the Federal share. Grantee matching contributions are not required, but are encouraged.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$34,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$2,455,000. Average: \$546,000.

**PROGRAM ACCOMPLISHMENTS:**

Alaska Region: Carry out marine research activities in the North Pacific, Bering Sea, and Arctic Ocean. Northeast Region: Contributions to enhance data collection for the American lobster resource along the coasts of Maine, New Hampshire and Massachusetts, and to provide improved information for stock assessments and management; and an ocean haul seine survey for striped bass in coastal New York State was conducted. Southeast Region: Development of genetic tools to assess the population structures of major commercial and recreational species, such as swordfish, tunas and sharks. Conservation and management of threatened and endangered marine species in Georgia, South Carolina, and North Carolina including development of an early warning system to reduce right whale/vessel collisions; U.S. Gulf of Mexico marine stock enhancement program; Contributions to the biology of the red drum in South Carolina; funded research to examine the biological and hydrographic characteristics of the Charleston Bump; provided support for research into pathogens affecting shrimp in the southeastern United States; developed an index of sea turtle abundance along the southern U.S. Atlantic coast. NOS: The goal of FISHTEC is to develop, test and apply new technologies in molecular biology to enhance fisheries management policies and actions. This long term project was focused initially on the development of genetic tools to determine population structures of major commercial and recreational species such as swordfish, tunas and sharks. Emphasis has now been shifted to deal with broader issues of management such as multi-species assemblages or habitats, and detection of pathogens and/or diseases affecting marine organisms. Ongoing research is organized into two major components dealing with molecular genetics of pelagic fish populations, and stock structure of coastal marine fisheries of the southeastern U.S. The results of FISHTEC research may be found in numerous peer-reviewed publications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of

higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7845, Fax: (907) 586-7255. Use the same numbers for FTS. Email: peter.d.jones@noaa.gov. Northeast: Harold C. Mears, Director, State, Federal, and Constituent Programs Office, National Marine Fisheries Service, Northeast Regional Office, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: Grants.Information@noaa.gov. Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6115. Fax: (206) 526-4461. Email: Kevin.Ford@noaa.gov. Northwest Center: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. Email: Bob.Iwamoto@noaa.gov. Southeast: Jeffrey Brown, State/Federal Liaison Staff, Southeast Regional Office, 9721 Executive Center Drive, North, St. Petersburg, FL 33702-2432. Telephone: (727) 570-5324. Fax: (727) 570-5364. Email: jeff.brown@noaa.gov. Southwest Region: Patricia Culver, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA. 90802. Telephone: (562) 980-4239. Email: trisha.culver@noaa.gov.

**Headquarters Office:**

JoAnna Grable, Management and Administration Division, National Marine Fisheries Services, 1315 East-West Highway, Silver Spring, MD 20910. Telephone (301) 713-1364. Use the same numbers for FTS. Fax: (301) 713-2258. Email: joanna.grable@noaa.gov.

**Web Site Address:**

Alaska: <http://www.fakr.noaa.gov/omi/grants/default.htm>. Southeast Region: <http://caldera.sero.nmfs.gov/grants/programs/science.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Alaska: Cooperative Fisheries Research in Alaska. Northeast: Maine Lobster Resource Assessment, Monitoring of New Hampshire's Fishery for Shell Disease in the American Lobster, Post Stratification and Calibration of a Random Stratified Lobster Ventless Trap Survey in Buzzards Bay and Vineyard Sound, A Study of the Striped Bass in the Marine District of New York State - Ocean Haul Seine Survey. Northeast Center: The Northeast Consortium is used encourage and fund collaborative research and monitoring projects within the Gulf of Maine and Georges Bank, which involve effective, equal partnerships among fishermen, scientists, and other stakeholders. Examine the population biology and dynamics of the multispecies fishery of the Northeast USA, with specific focus on the groundfish assemblage and American lobster, in support of the development of a fisheries management decision support system. Examine the population biology and dynamics of the sea scallop, from Virginia to the Hague line, USA in support of the development of a decision support system. A research and monitoring program to provide information required to sustainably manage the horseshoe crab resource for the benefit of all resource users. North Atlantic Right Whale Research Grant Program (RWRGP) is used for funding research or other activities that can provide information useful to management of North Atlantic right whales, with emphasis on understanding or mitigating factors inhibiting the species recovery. Southeast Region: Funded a cooperative program that investigated the technical, economic and commercial feasibility of farm raising marine finfish in cages in the northern Gulf of Mexico utilizing oil and gas production platforms as operation centers. Provided funds to refine, field-test and demonstrate a successful marine fisheries stock management program for the Gulf of Mexico that blends aquaculture technology with traditional fishery management practices. Georgia, South Carolina, and North Carolina were funded for their endangered species programs on sea turtles. Funded research in red drum biology to better understand survival rates in the wild. South Carolina was funded to create a taxonomic center to identify and archive marine specimens. Cooperative Institute for Fisheries Molecular Biology (FISHTEC). Northwest region: Ballard High School Maritime Academy/Seattle Public Schools.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.473 COASTAL SERVICES CENTER**

(CSC)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA), NATIONAL OCEAN SERVICE (NOS), DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

16 U.S.C. 1456C; 15 U.S.C. 1540; 33 U.S.C. 1442, 883a-d.

**OBJECTIVES:**

To support projects aimed at developing a science-based, multi-dimensional approach that will allow for the maintenance or improvement of environmental quality while at the same time allowing for economic growth.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Uses will be in the following Center areas: Coastal Learning Services (CLS) program will develop a training program for coastal managers and scientists. The Center's goal is to build leadership skills and capabilities to meet the changing needs within the coastal community. Coastal Learning Services (CLS) program will work with cooperators to collect and analyze physical, social, and environmental indicator data and the Center will provide technical assistance and training on performance measures. The Geographic Information Systems Integration and Development Program (GIS I&D) program will provide relevant, easily accessible spatial data, tools, and support services to the coastal resource management community by working with nationally networked organizations on geospatial solutions to issues related to coastal hazards. The Landscape Characterization & Restoration program will develop an environmental characterization of a coastal region designed for use by coastal resource managers within two or more states to address a single management issue related to coastal development. The Pacific Services Center (PSC), located in Hawaii, will provide competitive grants through the Bay Watershed Education and Training (B-WET) program to support existing environmental education programs, fosters the growth of new programs, and encourages the development of partnerships among environmental education programs throughout the Hawaii. These projects provide meaningful outdoor experiences for students and professional development opportunities for teachers in the area of environmental education.

**Applicant Eligibility:**

Institutions of higher educations, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, and state, local and Indian tribal governments.

**Beneficiary Eligibility:**

Institutions of higher educations, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, and State, local and Indian tribal governments.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circulars Nos. A-21 for agreements with education institutions, A-87 for State and local governments and A-122 for nonprofit institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the agency and required by 15 CFR Parts 14 and 24 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposal are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the Coastal Services Center. Proposal are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of proposals evaluations, technical reviews and administrative reviews, if applicable.

**Deadlines:**

Contact the regional office for application.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

None.

**Renewals:**

Extension requests will be considered by CSC only if the recipient has submitted all required performance reports. At least sixty days prior to the end of the award, recipients must discuss with CSC expected reprogramming and extensions requests. After preliminary negotiation on proposed projects and extensions, formal written reprogramming and extension requests should be received by CSC 45 days prior to the end date of the award. CSC will not recommend approval for any retroactive extension request (received after the end date of the award). Recipients should make every effort to submit one extension request for all projects needing an extension (when possible, multiple extension requests should be avoided). With sufficient justification, CSC will recommend

approval of a six-month extension for the first extension request. First time or cumulative extension requests for more than six months but less than 12 months, will need more compelling justification as to why the project was not completed on time or could not be completed within the first six-month extension.

Although CSC discourages extensions of more than 12 months, CSC will recommend approval in cases where the funds are already obligated. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

1-3 years with funding approved annually on individual and group proposals.

**Reports:**

Financial Status Reports and Performance Reports are required semi-annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Records will be retained in accordance with 15 CFR Parts 14 and 24 for institutions of higher education, other non-profit organizations, and for State and local government.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Grants/Cooperative Agreements) FY 07 \$27,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Proposals tend to range from \$55,000 to \$378,000 under the competitive process. For Congressional directed grants (non-competitive process) funding tends to range from \$380,000 to 2,811,000 per proposal.

**PROGRAM ACCOMPLISHMENTS:**

For the GIS I&D program the following are accomplishments: A national level, state-based inventory of geospatial data, policies, and technology posted on the Web at <http://www.md.gisinventory.net/> as a result of Random Access Metadata Tool for Online National Assessments-Phase 1 grant project. Through a grant entitled Developing a Dynamic and Distributed GIS to Support Coastal Management Along the Lake Superior Coast of Wisconsin GIS Web sites serving spatial data relevant to coastal management long the Lake Superior coast of Wisconsin, two refereed journal articles, Web tutorials on-line at [http://maps.aqua.wisc.edu/lscmp/wlscmp\\_index.htm](http://maps.aqua.wisc.edu/lscmp/wlscmp_index.htm), and three project workshops were completed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department Administrative Order 203-36, dated May 15, 1985 (Department of Commerce Grants Administration) and also the NOAA Grants and Cooperative Agreement Policy Manual.

**Regional or Local Office:**

Jeffrey L. Payne, Deputy Director, NOAA Coastal Services Center, 2234 South Hobson Ave., Charleston, SC 29405-2413. Telephone: (843) 740-1207 or contact James Lewis A. Free, Grants Coordinator, Telephone: (843) 740-1185.

**Headquarters Office:**

Mr. John H. Dunnigan, Assistant Administrator, NOS, 1305 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-3074 Ext. 154.

**Web Site Address:**

<http://www.csc.noaa.gov>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support; 11.419, Coastal Zone Management Administration Awards; 11.420, Coastal Zone Management Estuarine Research Reserves; 11.426, Financial Assistance for National Centers for Coastal Ocean Science; 11.428, Intergovernmental Climate Program (NESDIS); 11.429, Marine Sanctuary Program; 11.431, Climate and Atmospheric Research; 11.432, Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.440, Environmental Sciences, Applications, Data, and Education; 11.449, Independent Education and Science Projects and Programs; 11.455, Cooperative Science and Education Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A priority of the GIS I&D program is to fund state and local level coastal resource management organizations proposing geospatial solutions to issues related to coastal hazards; and to provide other easily accessible spatial data, tools, and support services to the coastal management community. An example of a cooperative agreement grant awarded in 2005 by the GIS I&D program is a project with the Chatham County Emergency Management Agency. This agency is working with the Center to develop four Geographic Information Systems (GIS) applications to enhance overall planning, response, and recovery from hurricane hazards, building on previous tools such as HURREVAC, a restricted-use program developed by the Federal Emergency Management Agency (FEMA), U.S. Army Corps of Engineers (USACE), and the National Weather



Service. This project is scheduled to end in October 2006. (2) Another 2005 GIS I&D cooperative agreement grant project was awarded to the Ventura County, California, Planning Division for development of a comprehensive GIS database of biological resources at a parcel scale for Ventura County, California. This project is scheduled to end in March 2007. (3) Under the CIS branch in 2005, a \$97,570 cooperative agreement was awarded to Mississippi State University to develop a shared geospatial database for Mobile Bay and the Tennessee-Tombigbee watershed. This project is scheduled to end in September 2006.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and externals reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Coastal Services Center.

### **11.474 ATLANTIC COASTAL FISHERIES COOPERATIVE MANAGEMENT ACT**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
NATIONAL MARINE FISHERIES SERVICES, DEPARTMENT OF  
COMMERCE

#### **AUTHORIZATION:**

Atlantic Coastal Fisheries Cooperative Management Act, 16 U.S.C. 5107, as amended.

#### **OBJECTIVES:**

To provide assistance to eligible States and the Atlantic States Marine Fisheries Commission in order to support and encourage the development, implementation, and enforcement of effective interstate conservation and management of Atlantic Coastal resources. Activities conducted under projects will be used to collect information necessary for the preparation, implementation and enforcement of coastal fisheries management plans and State activities required within such plans. Primary users of the information would be the Atlantic States Marine Fisheries Commission (ASMFC), the Atlantic Coast States, the National Marine Fisheries Service, and the U.S. Fish and Wildlife Service.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds are restricted to "coastal fishery resources" which means any fishery, any species of fish, or any stock of fish that moves among, or is broadly distributed across, waters under the jurisdiction of two or more Atlantic Coastal States or waters under the jurisdiction of one or more Atlantic Coastal States and the exclusive economic zone. Funds can be provided to the Commission and to the specified States for the preparation, implementation and enforcement of coastal fishery management plans and State activities required within such plans. Funds can also be used for program activities to support and enhance State cooperation in collection, management and analysis of fishery data; law enforcement; habitat conservation; fishery research including biological and socioeconomic research; and fishery management planning.

#### **Applicant Eligibility:**

Eligible applicants for assistance are the Atlantic States Marine Fisheries Commission (ASMFC), the Atlantic Coast State governments which are Maine, New Hampshire, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Pennsylvania, Delaware, Maryland, Virginia, North Carolina, South Carolina, Georgia, Florida, the Potomac River Fisheries Commission, and the District of Columbia.

#### **Beneficiary Eligibility:**

This program benefits State, and interstate marine resource conservation agencies, the marine fishing industries and the general public.

#### **Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct.

#### **Preapplication Coordination:**

The standard application forms are furnished by NOAA. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design,

competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

#### **Deadlines:**

Applications must be received by the Program Office by April 1 of each fiscal year.

#### **Range of Approval/Disapproval Time:**

The application processing time is 75 days as required by 15 U.S.C. 1539 (sole source selection).

#### **Appeals:**

None.

#### **Renewals:**

Grants and cooperative agreements are generally approved on an annual basis, but may be continued beyond the initial project period, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. The Department of Commerce has the discretion to renew the award to increase funding, or extend the period of performance.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Projects are funded at up to 100 percent of the total project cost. A formula may be used to determine allocation of funds among eligible applicants. This formula may be based upon factors such as (but not limited to) the value of raw fish landed by domestic fishermen and the number of recreational fishing trips taken by anglers in each State, and the number of coastal fishery management plans in which the States participate. Recipient matching contributions are not required, but are encouraged. Direct allocations will be given to the District of Columbia, the Potomac River Fisheries Commission, Atlantic Coastal States, and the Atlantic States Marine Fisheries Commission, pursuant to NOAA'S discretion in accordance with the Statute.

#### **Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

#### **Reports:**

Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the reporting period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Grants and Cooperative Agreements) FY 07 \$9,250,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$13,980 to \$1,925,948. Average: \$150,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Activities include the development and monitoring of interstate fishery management plans; fishery research and stock assessment; habitat conservation; and law enforcement. Others include restoration and maintenance of shared fisheries of the Atlantic Coast, with the principal emphasis on the conservation and restoration of migratory marine and diadromous fishery resources and their habitat, as well as the maintenance, enhancement, and improvement of public uses and benefits from these resources.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For cost principles, see OMB Circular No. A-87 (State and local governments) and OMB Circular No. A-122 for other recipients. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

#### **Regional or Local Office:**

Northeast: Harold C. Mears, Director, State, Federal and Constituent Programs Office, National Marine Fisheries Service, Northeast Regional Office, One Blackburn Dr., Gloucester MA 01930. Telephone: (978) 281-9243. Fax: (978)

281-9117. Email: Grants.Information@noaa.gov. Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: cynthia.binkley@noaa.gov.

**Headquarters Office:**

Director, Office of Sustainable Fisheries, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2334. Fax: (301) 713-0596. E-mail: anne.lange@noaa.gov. Web site address: [http://www.nmfs.noaa.gov/sfa/state\\_federal/state\\_federal.htm](http://www.nmfs.noaa.gov/sfa/state_federal/state_federal.htm).

**Web Site Address:**

Southeast: <http://sero.nmfs.noaa.gov/grants.htm>. Northeast: <http://www.nero.noaa.gov/statefedoff/>

**RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.407, Interjurisdictional Fisheries Act of 1986.

**EXAMPLES OF FUNDED PROJECTS:**

Northeast Region: A Cooperative State-Federal Program for Conservation of Atlantic Coastal Fisheries; Marine Recreational Fishery Statistics Survey; Interstate Fisheries Management Support Program; Implementation of the Atlantic Coastal Cooperative Statistics Program; and Biomonitoring and Assessment Project for American Shad and River Herring. Southeast Region: Florida Atlantic Coast Stock Assessments; Interstate Fisheries Management Planning and Implementation; Implementation of the Atlantic Coastal Cooperative Statistics Program; Interstate Fisheries Management Program Implementation for North Carolina; and Fisheries Conservation Programs and Management Plans.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are solicited from eligible coastal States and other eligible applicants by notification from the National Marine Fisheries Service, Northeast and Southeast Regional Offices. Proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

## 11.477 FISHERIES DISASTER RELIEF

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION,  
NATIONAL MARINE FISHERIES SERVICE, DEPARTMENT OF  
COMMERCE

**AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act of 1996, Section 312(a), 16 U.S.C. 1861a; Departments of Justice and State, the Judiciary, and Related Agencies Appropriations Act, Title II.

**OBJECTIVES:**

To deal with commercial fishery failures due to fishery resource disasters. Disaster causes may be (a) natural; (b) man-made (if they are "beyond the control of fisheries managers to mitigate through conservation and management measures"); or (c) undetermined.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used for assessing the effects of commercial fishery failures, or restoring fisheries or preventing future failures, and assisting fishing communities affected by the failures. However, the Secretary of Commerce must first determine that the activity will not expand the commercial fishery failure in that fishery or into other fisheries or other geographical regions.

**Applicant Eligibility:**

Eligible applicants are agencies of State governments or fishing communities for programs to provide assistance to fishing communities (including fishing vessel owners, operators, and crew and United States fish processors that are based in such community).

**Beneficiary Eligibility:**

This program directly benefits fishing communities (including fishing vessel owners, operators, crew, and U.S. fish processors based in such communities) that are adversely affected by commercial fishery failures due to a fishery resource disaster.

**Credentials/Documentation:**

Applicants are required to satisfy all Department of Commerce, National Oceanic and Atmospheric Administration (DOC/NOAA) standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. Costs will be determined in accordance with OMB Circular No. A- 87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the National Marine Fisheries Service. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent National Marine Fisheries Service (NMFS) office, region science center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Project applications must be received by the receiving NMFS office at least 120 days before the requested start date of the project.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and DOC financial assistance procedures.

**Appeals:**

None.

**Renewals:**

Grants and cooperative agreements are approved for a fixed period, but may be continued beyond that period, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding, extend the period of an award to increase funding, or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

The Federal share of any activity under this program must not exceed 75 percent of the total costs of the activity. The minimum 25 percent contribution from the recipient may be as cash or in-kind contributions.

**Length and Time Phasing of Assistance:**

Varies. Award funds must be spent in the indicated budget period and are expended in accordance with OMB Cost Principles and DOC financial and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted on a semi-annual basis.

**Audits:**

Audits are required at least biennially by DOC Office of the Inspector General auditors, or an independent public accountant, and are subject to the Audit Act of 1984, 312 U.S.C. 7501-7507. Recipients that are subject to the provisions of OMB Circular No. A-133; Audit of States, Local Governments, and Nonprofit Organizations; and that expend \$500,000 or more in Federal awards shall have an audit performed in accordance with the requirements contained in OMB Circular No. A-133. In accordance with 15 CFR Part 14.26, for-profit recipients shall have a project audit performed no less than once every two years in accordance with the Generally Accepted Government Auditing Standards. See OMB Circular No. A-133, (Revised June 27, 2003) (Audits of States, Local Governments, and Nonprofit Organizations and Information Collection Under OMB Review).

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be maintained by the terms of the agreement. The grantee must retain records for 3 years from the date when the final financial status report is submitted unless otherwise directed by DOC/NOAA pursuant to the exception or 15 CFR Part 24, as applicable. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$343,500 to \$7,000,000. Average: \$2,781,167. FY 2006 Defense appropriations bill supplemental. Amount from USDA = \$199.8M to refurbish/rehabilitate oyster beds damaged by 2005 hurricanes and HUD = \$11.5B for disaster relief, long term recovery, restoration of infrastructure and mitigation in communities in 2005 hurricane disaster areas.

**PROGRAM ACCOMPLISHMENTS:**

Fishery resource assessment, contaminant monitoring, debris mapping, and development of fishing effort reduction and market-based approaches to fishery management.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants administration will be in accordance with provisions of 15 CFR Part 24 for State and Local Governments. For other projects developed to provide assistance to universities, nonprofits, and individuals, grants administration will be in accordance with 15 CFR Part 14 and costs will be determined in

accordance with OMB Circular No. A-21 for Institutions of Higher Education, Circular No. A-122 for Nonprofit Organizations, and for Commercial Organizations 48 CFR Part 31.

**Regional or Local Office:**

Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7845, Fax: (907) 586-7255. Use the same numbers for FTS. E-mail: Shawn.Carey@noaa.gov. Northeast: Harold C. Mears, Director, State, Federal, and Constituent Programs Office, National Marine Fisheries Service; Northeast Regional Office, One Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978)281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov. Northwest: Steve Freese, Northwest Regional Office, NMFS, Sustainable Fisheries Division, 7600 Sand Point Way NE, Seattle, WA 98115. Telephone: (206) 526-6113. Fax: (206) 526- 4461. E-mail: steve.freese@noaa.gov. Southeast: Jeffrey Brown, State/Federal Liaison Staff, Southeast Regional Office, 263 13th Ave., South, St. Petersburg, FL 33702-2432. Telephone: (727) 551-5324. Fax: (727) 551-5364. E-mail: jeff.brown@noaa.gov. Southwest: Tricia Culver, Federal Program Officer, Southwest Regional Office, 501 W. Ocean Blvd., Long Beach, CA 90802-4213. Telephone: (562) 980-4239. Fax: (562) 980-4047. E-mail: tricia.culver@noaa.gov..

**Headquarters Office:**

Steve Aguzin, NOAA National Marine Fisheries Service, Financial Services Division, 1315 East-West Highway, Rm. 13134, Silver Spring, MD 20910 (301) 713-2358 Ext. 215. Fax: (301) 713-1306. E-Mail: Stephen.Aguzin@noaa.gov.

**Web Site Address:**

Alaska: <http://www.fakr.noaa.gov/omi/grants/default.htm>. Southeast: <http://caldera.sero.nmfs.gov/grants/programs/disaster.htm>.

**RELATED PROGRAMS:**

11.407, Interjurisdictional Fisheries Act of 1986; 11.452, Unallied Industry Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Refurbish/rehabilitate oyster beds damaged by 2005 hurricanes and disaster relief, long term recovery, restoration of infrastructure and mitigation in communities in 2005 hurricane disaster areas.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals may be selected from several sources, e.g., unsolicited and solicited proposals, Congressionally-mandated projects, and applications received as a result of notices published in the Federal Register. All proposals must undergo rigorous technical and merit review. Recipients, subrecipients and their proposals are subject to all applicable Federal laws and Federal and departmental policies, regulations, and procedures applicable to Federal financial assistance awards.

**11.478 CENTER FOR SPONSORED COASTAL OCEAN RESEARCH-COASTAL OCEAN PROGRAM**

(CSCOR/COP)

**FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA), NATIONAL OCEAN SERVICE (NOS), DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

16 U.S.C. 1456c; 33 U.S.C. 883d; 33 U.S.C 1442; 15 U.S.C. 1540, Public Law 105-383. Act of National Weather Service and Related Agencies Authorization 1999, as amended.

**OBJECTIVES:**

NOAA's Coastal Ocean Program in the Center for Sponsored Coastal Ocean Research (CSCOR/COP) is a unique Federal- academic partnership designed to provide predictive capability for managing coastal ecosystems. COP seeks to deliver the highest-quality science in a timely manner for important coastal policy decisions by supporting high-priority research and interagency initiatives related to NOAA's mission in three goal areas: coastal ecosystem oceanography, cumulative coastal impacts and coastal forecasting/natural hazards. COP supports research on critical issues which exist in the Nation's estuaries, coastal waters and the Great Lakes; and translates its findings into accessible information for coastal managers, planners, lawmakers and the public.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants may be used to fund research and interagency initiatives under specific CSCOR/ COP programs related to NOAA's mission in coastal ecosystem oceanography, cumulative coastal impacts, and coastal forecasting/natural hazards.

**Applicant Eligibility:**

Institutions of higher education, not-for- profit institutions, State, commercial organizations, local and Indian tribal governments and Federal agencies. CSCOR/COP will accept proposals that include foreign researchers as collaborators with researchers who are affiliated with a U.S. academic institution, Federal agency, or other nonprofit organization. Nonfederal and Federal applicants will be competed against each other. For the Oceans and

Human Health Initiatives Program, eligible applicants are: Institutions of higher education, hospitals and other not-for-profit institutions, commercial organizations, State, local and Indian tribal governments. Federal agencies are not eligible to receive federal assistance under this program.

**Beneficiary Eligibility:**

Organizations and individuals with interests in coastal oceanography. And for the OHHI program, organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102. And is not considered significant for purposes of E.O 12866.

**Application Procedure:**

Send an application for financial assistance (Standard Form 424) to CSCOR/COP with statement of work to be performed and proposed amount in response to a current funding announcement only. This program is subject to the requirements of CFR Part 14, "Uniform Administrative Requirements for Grants and Agreements with Institutions of High Education, Hospitals, Other Nonprofit and Commercial Organization, which replaces OMB Circular No. A-110 as the administrative rules applicable to these awards. In addition, this program is subject to the requirements of 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments", which replaces OMB A-102 as the administrative rule applicable to these awards. Proposals are submitted through Grants.Gov. Applicants will need to enter the funding opportunity number and/or the CFDA number to access the application package and instructions. Application package will then be submitted directly to the Center for Sponsored Coastal Ocean Research/Coastal Ocean Program. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of competitive peer review of proposals.

**Deadlines:**

Proposals must be submitted in accordance with instructions published in the Federal Register notice. The deadline date will be at least 30 days after the date of publication in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 210 days from the time of proposal receipt.

**Appeals:**

None.

**Renewals:**

By negotiation with the CSOR/COP Office. Multi- year awards of two to five years may be approved. Once awarded, multi- year projects will not compete for funding in subsequent years. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

From one to five years, with funding approved annually.

**Reports:**

Implementation plans are required annually. Progress reports are due annually. Financial status reports are required semi- annually. Final reports are due ninety days after expiration of award.

**Audits:**

Recipients and subrecipients that are State and local governments, institutions of higher education or other nonprofit organizations shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (3 U.S.C. 7501-7507) and revised OMB Circular No. A-133. For the OHHI program, In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments.



**Account Identification:**

13-1450-0-1-306.

**Obligations:**

FY 07 \$16,000,000; FY 08 est not available; and FY 09 est not reported. For the OHHI program, those funds are allocated within the COP budget dollar amounts.

**Range and Average of Financial Assistance:**

\$25,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

The Coastal Ocean Program is currently funding over 68 competitively awarded ongoing extramural research funding commitments to over 80 external marine science institutions. This cutting-edge research has already and will in the future benefit the management of U.S. coastal resources and increase our understanding of the coastal ocean. Projects are underway to unravel the ecology and oceanography of harmful algal blooms and help coastal states manage HAB associated health and economic risks; understand the effects of human impacts on coral reef ecosystems in the Caribbean and Micronesia; assess the potential impacts of the Everglades restoration project on South Florida ecosystems; understanding the effects of climate variability on fish stocks in the Northwest Pacific and Northwest Atlantic; and detecting and assessing the extent of the hypoxic area in the Northern Gulf of Mexico.

CSCOR studies will also examine the impacts of multiple stressors on coastal ecosystems in Louisiana and integrate the findings of recently completed east coast research projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Rob Magnien, Director, NOAA/CSCOR/COP, 1305 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713- 3338, Fax: (301) 713-4044. For the OHHI program: Hal Stanford, 1305 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-3020, Ext. 135, Fax (301) 713-4044.

**Headquarters Office:**

Center for Sponsored Coastal Ocean Research, Coastal Ocean Program, National Ocean and Atmospheric Administration, 1305 East West Highway, Room 8243, Silver Spring, MD 20910. Telephone: (301) 713-3338.

**Web Site Address:**

<http://www.cop.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Coastal Ocean Program uses a regional, multi-disciplinary approach to understanding and predicting the impacts of natural and anthropogenic variability on coastal ecosystems, communities, and economies. The main goal of the Coastal Ocean Program (COP) is to improve predictions for coastal management through research to understand and describe coastal systems, data synthesis and modeling to assess and predict ecosystem conditions, and translation of scientific results to engage, inform, and advise the public. The COP sponsors competitive, peer-reviewed research to collaborate with and augment NOAA-based research programs focused on the coastal ocean, estuaries, and coastal margins.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated by competitive peer review taking into consideration primarily scientific merit and applicability to COP's research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.480 NATIONAL OCEAN SERVICE INTERN PROGRAM**

(NOS Intern Program)

**FEDERAL AGENCY:**

DEPARTMENT OF COMMERCE, NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, NATIONAL OCEAN SERVICE

**AUTHORIZATION:**

15 U.S.C. 1540.

**OBJECTIVES:**

To establish an Intern Program which will provide unique opportunities for cooperative study, research, and development that would be of major benefit in advancing the number and diversity of skilled engineers, scientists, and managers in the environmental arena who are familiar with the techniques and technologies used by the National Ocean Service (NOS).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Primary grantee may use funds to recruit and evaluate candidate interns and to administer and fund stipends for implemented internships.

**Applicant Eligibility:**

Primary awards will be available to nonprofit organizations. Internships are restricted to recent college graduates and have a maximum cumulative duration of 24 months for any individual.

**Beneficiary Eligibility:**

Benefits to the Nation are increased opportunities for recent college graduates to increase public awareness and gain exposure to government programs that affect the Nation's coastal areas and resources. This program will also promote interest in civil service as a career. Benefits also include a transfer of the techniques, technologies, and methods used by NOS to the next generation of engineers, scientists, and managers in the environmental arena. Interns who are selected by the program will receive increased training and skill enhancement as identified by the particular Internship opportunity in which they participate.

**Credentials/Documentation:**

Applicants are required to satisfy all Department of Commerce (DOC) and National Oceanic and Atmospheric Administration (NOAA) standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. Costs will be determined in accordance with OMB Circular Nos. A-21 for educational institutions and A-22 for nonprofit organizations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

Grantee: Candidate partners will submit an application for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR 24, Grants and Cooperative Agreements with State and Local Governments, as applicable. The Statement of work should include the proposed plan for advertising and recruitment, costs for recruiting, selecting, and administering an intern based on duration and stipend level of the internship. Intern: Intern candidates will apply for internships developed, documented, and funded by a component of NOS, and transmitted, after review by the project office, to the grantee who shall advertise them according to their proposed plan. The grantee will screen the applicants based on the documented requirements of the internship and transmit the highest qualified (typically 5 to 10) to NOS for further review. NOS will assign priority sequences to the candidates who will be offered the internship by the grantee in that order. Funding of the intern and administrative supervision will be through the grantee according to their proposal. The interns will work in Governmental offices under the technical supervision of the Government. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the Office of Coast Survey. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable. In FY06 this grant closed and no further funding accepted.

**Award Procedure:**

Awards are made on the basis of proposal evaluation, technical review, and administrative review.

**Deadlines:**

Applications must be received by NOS 45 days following announcement in the Federal Register.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days, which includes processing of the award through the NOS, NOAA, and DOC financial assistance functions.

**Appeals:**

None.

**Renewals:**

Cooperative activities are generally approved on an annual fiscal year basis, but may be continued beyond the first year, subject to satisfactory progress and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Five years with funding approved annually.

**Reports:**

Implementation plans are required annually. Progress reports are due semi-annually. Financial status reports are required quarterly. Final reports are due ninety days after expiration of award.

**Audits:**

Recipients will be subject to the provisions of the Single Audit Act Amendments of 1996 and revised OMB Circular No. A-133.

**Records:**

None.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Indeterminate and highly variable. Minimum of \$40,000 and maximum of \$1,800,000 per year (1 to 50 interns).

**PROGRAM ACCOMPLISHMENTS:**

The initial grant was issued on March 12, 1999, for \$267,690 to Environmental Careers Organization covering seven (7) internships, after an open competition which closed October 5, 1998, in response to a Federal Register Notice published August 25, 1998, Vol 63, #164, p. 45223-45227. Additional grants were issued on 10/1/99 covering 2 interns, 7/17/00 covering 4 new interns and extending 2 previously initiated interns. Grants were issued on 7/30/01 covering 12 new interns and extending 3 previously initiated interns and on 9/30/01 covering 8 new interns and extending 3 previously initiated interns. On 12/31/01 a grant covering 4 new interns and extending 5 others was issued. A grant was issued on September 30, 2002 to Environmental Careers Organization covering seven twenty (20) new internships and extending sixteen (16) Internships, after an open competition which closed June 10, 2002, in response to a Federal Register Notice published April 25, 1998, Vol 67, #164, pg 20487-20491. On September 30, 2003, a renewal of the grant covering 12 new interns and extending 13 others was issued. Currently, the grant covers over 30 interns working in varied fields including cartography, oceanography, web design, and international policy. Currently, the grant has closed and no longer accepts funding.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of Coast Survey, National Ocean Service, 1315 East West Highway, 6th Floor, Silver Spring, MD 20910. Telephone: (301) 713-2780, ext. 137. Attn: Curtis C. Loy.

#### **Web Site Address:**

None at this time.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to a review process taking into consideration the proposed recruiting plan, qualifications of the applicant, costs, and previous experience.

## **11.481 EDUCATIONAL PARTNERSHIP PROGRAM**

#### **FEDERAL AGENCY:**

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA),  
NOAA RESEARCH, DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

15 U.S.C. 1540, Executive Orders 13256, 13230 13021 and 13339.

#### **OBJECTIVES:**

To continue development of a program aimed at increasing research and educational partnerships between NOAA and Minority Serving Institutions. Partnerships are achieved through collaboration with NOAA Cooperative Science Centers in atmospheric, oceanic, environmental sciences, environmental technology, and remote sensing. An Environmental Entrepreneurship Program has been implemented to support restoration projects in environmentally depleted zones and program development in NOAA-related sciences at minority serving institutions.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds may be used to support a distinguished professor, research, development programs and students undertaking course work and/or research in NOAA related sciences at minority serving institutions.

#### **Applicant Eligibility:**

Applicants are defined as qualified minority serving institutions based on the 2003 United States Department of Education definition of minority serving institutions. Non-minority institutions may also participate in this program when partnered with a minority serving institution. Institutions applying to be considered a designated Cooperative Science Center in atmospheric, oceanic and environmental sciences, environmental technology and remote sensing must have a graduate program in the respective category.

#### **Beneficiary Eligibility:**

The benefits to the Nation are an increased number of academic institutions capable of providing services and products in support of the agency's mission to describe and predict changes in the environment, and to conserve and manage the nation's coastal and marine resources to ensure sustainable economic opportunities. Collaboration among NOAA and academic institutions will not only increase the number of trained professionals in the NOAA related sciences, it will also lead to a larger number of institutions participating in collaborative

research and co-management of the nation's natural resources with State, local and tribal governments.

#### **Credentials/Documentation:**

Applicants are required to satisfy all DoC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Submission of an application package which includes the Standard Form SF-424 Application for Federal Assistance, SF-424A Budget Information Non-Construction Programs, SF-424B Assurances Non-Construction Programs, statement of work, budget and supporting details, and CD-511 Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug Free Workplace Requirements, and Lobbying must be used when applying for Federal funds. This program is subject to the provisions of 15 CFR Part 14.

#### **Award Procedure:**

Awards are made on the basis of proposal evaluation, technical review and administrative review.

#### **Deadlines:**

Applications for funding must be received by NOAA Educational Partnership Program, at least 45 days following the announcement in the Federal Register.

#### **Range of Approval/Disapproval Time:**

Approval time is anticipated to range from 90 to 150 days, which includes processing of the award through NOAA Research, NOAA and DoC financial assistance functions.

#### **Appeals:**

None.

#### **Renewals:**

Cooperative activities are generally approved on an annual fiscal year basis, but may be continued for up to five years, subject to approved time frame, program development plan, satisfactory progress, and availability of funds.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

From one to five years with funding approved annually.

#### **Reports:**

Periodic progress and financial reports are required. However, the reporting frequency may be changed to be more or less frequent progress reports should summarize work accomplished and explain situations where expected work has not been completed. Financial reports must indicate use of funds during the semi-annual period. Final reports are due ninety days after expiration of the award.

#### **Audits:**

Recipients will be subject to the provisions of the Single Audit Act Amendments of 1996 and revised OMB Circular A-133, "Audits of States and Local Governments and Nonprofit Organizations".

#### **Records:**

Financial records and support documents and all other records, i.e., property, performance, work products, patents etc. pertinent to the agreement shall be maintained for a period of three years from the date on which the final expenditure report is submitted.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Grants; Cooperative Agreements) FY 07 \$14,400,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$20,000 to \$2,500,000 per year.

#### **PROGRAM ACCOMPLISHMENTS:**

NOAA funded four Cooperative Science Centers established at minority institutions in the areas of atmospheric, oceanic and environmental sciences and remote sensing. In addition, NOAA funded proposals in support of environmental restoration and high school training in the full range of natural and social sciences that support the agency's mission. To date, NOAA has hired 24 students from underrepresented communities in FTE positions since the program began in FY 2001. Twelve of these hires are Ph.D., and twelve are MS students. In addition, 15 Ph.D., 69 MS and 192 BS degree students have graduated from the designated Cooperative Science Centers with degrees in NOAA related sciences. There are currently 79 Ph.D. 100 MS and 223 BS students in training at the Science Centers sponsored by NOAA's Educational Partnership Program with Minority Serving Institutions.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For cost principles, see OMB Circular No. A-21, "Cost Principles for Educational Institutions". For grants administration requirements, see 15 CFR Part 14, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

#### **Regional or Local Office:**

None.

**Headquarters Office:**

National Oceanic and Atmospheric Administration, Educational Partnership Program, Office of Oceanic and Atmospheric Research, Education Partnership Program, 1315 East-West Highway, SSMC 3, Room 10600, Silver Spring, MD 20910. Telephone: (301) 713-9437. Attn: Jacqueline J. Rousseau.

**Web Site Address:**

<http://epp.noaa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(a) Cooperative Science Centers (b) High School Pipeline Projects Enhancement Projects (c) Demonstration Research Projects (d) Student Scholarship Programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to a review process taking into consideration the applicant(s) Performance Plan, research plans, scientific merit, investigator's qualifications, cost and available funds. Proposals must undergo a rigorous technical review and comply with all OMB, DoC and NOAA grant policies and procedures. Specific information about the selection process will be included in the solicitation.

## 11.550 PUBLIC TELECOMMUNICATIONS FACILITIES PLANNING AND CONSTRUCTION

(PTFP)

**FEDERAL AGENCY:**

NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Communications Act of 1934, Title III, Part IV, 47 U.S.C 390-394, 397-399 (b) as amended, Public Law 87-447, 76 Stat. 64; Science, State, Justice, Commerce, and Related Agency Appropriations Act of 2006; Public Law 109-108.

**OBJECTIVES:**

To assist in the planning, acquisition, installation, and modernization of public telecommunications facilities, through planning grants and matching construction grants, in order to: (a) extend delivery of public telecommunications services to as many citizens of the United States and territories as possible by the most efficient and economical means, including the use of broadcast and nonbroadcast technologies; (b) increase public telecommunications services and facilities available to, operated by and owned by minorities and women; and (c) strengthen the capability of existing public television and radio stations to provide public telecommunications service to the public.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provides grants for the planning and construction of public telecommunications facilities. Matching grants are given for apparatus necessary for the production, dissemination, interconnection, captioning, broadcast, or other distribution of noncommercial educational, cultural radio and television programs, as well as noncommercial instructional or informational services. Buildings and renovations of buildings, land, operational expenses, and indirect costs are ineligible.

**Applicant Eligibility:**

A public or noncommercial educational broadcast station; a noncommercial telecommunications entity; a system of public telecommunications entities; a nonprofit foundation, corporation, institution or association organized primarily for educational or cultural purposes; State, local, and Indian Tribal governments (or an agency thereof); or a political or special purpose subdivision of a State. Special consideration is given to applications which would increase minority and women's ownership of, operation of, and participation in public telecommunications entities.

**Beneficiary Eligibility:**

General public and students.

**Credentials/Documentation:**

All applicants must supply proof of eligibility. Applicants must supply proof of their Federal Communications Commission (FCC) license, permit, or application if FCC authorization is required for any aspect of the proposed project. Applicants must provide assurances required under Program Rules and Regulations.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance in preparing application forms. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Applicants must coordinate their project plans with the State educational television, radio, or telecommunications agency and must file an application with the FCC if an FCC authorization is required for the proposed project.

Applicants must show evidence of participation in comprehensive planning in the area to be served including an evaluation of alternate technologies.

**Application Procedure:**

The application forms as furnished by the Federal Agency and approved by OMB must be used for this program. The Application Kit can be requested from the Agency or retrieved from the web-site at [www.ntia.doc.gov/ptfp](http://www.ntia.doc.gov/ptfp). By the deadline, applicants must file a completed PTFP Application Form, Project Narrative, Project Budget forms, relevant exhibits, CD-511, CD 346, SF 424B, and SF LLL. Where applicable, applicants must notify the State Telecommunications Agency, State Single Point of Contact, and the Federal Communications Commission. Applications postmarked or received after the deadline are returned to applicants.

**Award Procedure:**

Applications are reviewed on the basis of funding criteria for construction and planning applications as set forth in the regulations. The Administrator of NTIA may select an application for funding, in whole or in part, and will notify the applicant, the relevant State agency, the FCC, and the Corporation for Public Broadcasting.

**Deadlines:**

The Administrator of NTIA shall select and publish in the Federal Register the date by which applications must be filed in order to be considered for funding in the current fiscal year. For fiscal year 2008 consideration, the deadline for filing applications is February 22, 2008.

**Range of Approval/Disapproval Time:**

Awards for the current fiscal year are generally announced in 180 days.

**Appeals:**

None.

**Renewals:**

Applications that are not funded may be reactivated upon request of the applicant during the two consecutive years following the applicant's initial receipt by the agency, as provided by program regulations.

**Formula and Matching Requirements:**

47 U.S.C 392 (b) and (c); 15 CFR 2301.6. The Administrator may provide up to 100 percent of the funds necessary for the planning of a public telecommunications facility. The maximum amount of a federal grant for the construction of a public telecommunication facility is 75 percent of the eligible project costs.

**Length and Time Phasing of Assistance:**

Projects must be completed within a reasonable period of time, generally one to two years as specified in the award document. Prompt completion is expected. Extensions, however, may be requested in writing if circumstances require additional time. Extensions must be approved by the Grants Officer. Financial assistance is generally released as required during the award period.

**Reports:**

During construction, quarterly progress reports must be submitted. The Federal Government maintains a ten-year reversionary interest in the use of the facilities from the date of completion. Annual reports must be submitted before April 1st of each year during such period.

**Audits:**

Audits will be conducted in accordance with the terms and conditions of the award and OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Recipients of construction grants shall keep a complete and itemized inventory of equipment for all public telecommunications facilities under their control. All grantees shall keep complete, current and accessible financial records on all funds associated with the total project. All records of accounts, supporting documents and project records must be retained by the recipient and subrecipient for a period of three years from the date of submission of the final Financial Status Report.

**Account Identification:**

13-0551-0-1-503.

**Obligations:**

FY 07 \$22,450,443; FY 08 est \$19,456,872; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$6,787 to \$1,189,250. Average: \$190,258.

**PROGRAM ACCOMPLISHMENTS:**

During 2007, the program awarded 118 grants for \$22.45 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Telecommunications Facilities Program and Policy Statement, Final Rules, 15 CFR 2301 printed in 61 FR 57966 (November 8, 1996). Written request to the Director, Public Telecommunications Facilities Program, will obtain application forms containing regulations, authorizing legislation, and other pertinent materials. Costs will be determined in accordance with OMB



Circular Nos. A-21 for institutions of higher education, A-87 for State, Local, and Indian Tribal Governments, and with A-122 for nonprofit organizations. Grants management will be in accordance with the provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and Local Governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. William Cooperman, Director, Public Telecommunications Facilities Program, Office of Telecommunications and Information Applications/NTIA, Room 4812, Department of Commerce, 1401 Constitution Avenue, NW, Washington, DC 20230. Telephone: (202) 482- 5802.

**Web Site Address:**

<http://www.ntia.doc.gov/ptfp>.

**RELATED PROGRAMS:**

10.861, Public Television Station Digital Transition Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A project to replace the antenna and STL system as part of digital conversion and improvement of WVPE Public Radio, Elkhart Community Schools' coverage; (2) a project to convert the WHYY-DT production facilities to HD by the purchase of HD cameras and production control room equipment, including switching, audio console, and special effects; and (3) a project in which the Foundation for the California Community Colleges will purchase a video control unit and server for a video-on-demand distance learning system for the California Community Colleges' statewide network.

**CRITERIA FOR SELECTING PROPOSALS:**

In order to achieve the objectives of Section 393 of the Communications Act, the Administrator, in determining whether to approve a construction grant application in whole or in part and the amount of such grant, will consider the projects conformance with priorities, and funding criteria set forth in the Act and the PTFP Rules and Regulations.

## 11.553 SPECIAL PROJECTS

**FEDERAL AGENCY:**

NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Science, State, Justice, Commerce, and Related Agencies Appropriations Act. Communications Act of 1934, 47 U.S.C. 309(j)(8)(E) as amended, Public Law 109-171 Deficit Act of 2005, Title III - Digital Television Transition and Public Safety, February 8, 2006.

**OBJECTIVES:**

To assist various organizations identified by Congress or through non-competitive grants to achieve agency objectives.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance is provided to implement specific projects identified by Congress or through non-competitive grants.

**Applicant Eligibility:**

Organizations specifically identified by Congress in agency appropriations legislation or other authority that provides for non-competitive grants.

**Beneficiary Eligibility:**

Beneficiaries are those served by the organizations receiving awards.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Preapplications are not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

Submit all standard forms (SF-424 Series Forms), project proposal and budget following the format specified by the Department of Commerce.

**Deadlines:**

None. However, to ensure processing during the fiscal year that funds are appropriated, applications should be submitted to NTIA by June 30.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements, except when specified by Congress.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Financial and progress reports are to be submitted in accordance with the terms

and conditions of the award. Financial status reports (SF-269) are submitted on a quarterly basis. Performance reports are submitted on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), recipients that are States, Local Governments, Non-profit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). In accordance with the provisions of OMB Circular No.A-133, Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for 3 years from the date on which the final expenditure report is submitted to NIST.

**Account Identification:**

13-0500-0-1-376; 13-0515-0-1-376.

**Obligations:**

(Grants) FY 07 \$7,855,000; FY 08 est \$21,645,000; FY 09 est \$4,500,000.

**Range and Average of Financial Assistance:**

From \$7,855,000 to \$21,645,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Costs will be determined in accordance with applicable cost principles found at 2 CFR Part 220, Cost Principles for Education Institutions (OMB Circular A-21), 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87), 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122), 48 CFR 31 for Commercial Organizations, 45 CFR 74, Appendix E for Hospitals. Grants management will be in accordance with the provisions of 15 CFR Part 14 for institutions of higher education, other nonprofit organizations, for-profit organizations; and 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bernadette McGuire-Rivera, Ph.D., Associate Administrator, Office of Telecommunications and Information Applications/NTIA, Room 4812, U.S. Department of Commerce, 1401 Constitution Avenue, NW, Washington, DC 20230. Telephone: (202) 482-5802. FAX: (202) 501-8009.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 11.554 LOW-POWER TELEVISION AND TRANSLATOR DIGITAL-TO-ANALOG CONVERSION

**FEDERAL AGENCY:**

NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Communications Act of 1934, 47 U.S.C.309(j)(8)(E) as amended, Public Law 109-171 Deficit Reduction Act of 2005, Title III - Digital Television Transition and Public Safety, February 8, 2006.

**OBJECTIVES:**

To convert the incoming digital signal of the eligible low-power station's corresponding full-power television station to analog format for transmission on the low-power television stations analog channel.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provides compensation toward the cost of the purchase of a digital-to-Analog conversion device.

**Applicant Eligibility:**

Low-Power television broadcast station, Class A television station, television translator station, or television booster station that is itself broadcasting exclusively in analog format and has not purchased a digital-to-analog conversion device prior to the enactment of the Digital Television Transition and Public Safety Act of 2005, February 8, 2006. Priority compensation shall be

given to eligible low-power television stations in which the license is held by a non-profit corporation and eligible low-power television stations that serve rural areas of fewer than 10,000 viewers.

**Beneficiary Eligibility:**

General public in area served by the eligible station.

**Credentials/Documentation:**

All applicants must supply proof of eligibility. Applicants must certify proof of Federal Communications Commission (FCC) license. Applicants must provide assurances required under Program Rules and Regulations.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance in preparing application forms. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application forms as furnished by the Federal Agency/LPTV and approved by OMB must be used for this program. The Application Kit can be retrieved from the web-site at [www.ntia.doc.gov/](http://www.ntia.doc.gov/). By the deadline applicants must file a completed application form, required certifications and complete ACH payment form. Applications postmarked or received after the deadline are returned to applicants.

**Award Procedure:**

Applications are reviewed for completeness and verified with FCC data. Payments are direct electronic transfers through the Automated Clearing House(ACH) system.

**Deadlines:**

An eligible low-power television station may receive compensation from this program only if it submits a request for such compensation on or before February 17, 2009.

**Range of Approval/Disapproval Time:**

Award payments are generally within 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

ACH payments are generally within 90 days.

**Reports:**

None.

**Audits:**

Audits may be conducted in accordance with the terms and conditions of the award and Department of Commerce Financial Assistance Standard Terms and Conditions.

**Records:**

Grant recipient must retain records for three years.

**Account Identification:**

13-5396-0-1-503.

**Obligations:**

FY 07 \$10,000,000; FY 08 est \$10,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from [www.ntia.doc.gov/lptv](http://www.ntia.doc.gov/lptv).

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. William Cooperman, Director, Broadcast Division, Office of Telecommunications and Information Applications/NTIA, Room 4812, Department of Commerce, 1401 Constitution Avenue, N.W., Washington, DC 20230. Telephone: (202) 482-5802.

**Web Site Address:**

[www.ntia.doc.gov/lptv](http://www.ntia.doc.gov/lptv).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority compensation shall be given to eligible low-power television stations in which the license is held by a nonprofit corporation and eligible low-power television stations that serve rural areas of fewer than 10,000 viewers.

**11.555 PUBLIC SAFETY INTEROPERABLE COMMUNICATIONS GRANT PROGRAM**

(PSIC)

**FEDERAL AGENCY:**

NATIONAL TELECOMMUNICATION AND INFORMATION

ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

The Deficit Reduction Act of 2005, (Public Law 109-171), as amended by Section 2201 of Public Law 110-53, and Section 4 of the Call Home Act of 2006, Public Law 109-459.

**OBJECTIVES:**

To assist public safety agencies in the acquisition of, deployment of, or training for the use of interoperable communications systems that can utilize or enable interoperability with communications systems that can utilize reallocated public safety spectrum for radio communications.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provides grants to assist public safety agencies in the planning and coordination associated with, acquisition of, deployment of, or training for the use of interoperable communications equipment, software and systems that utilize reallocated public safety spectrum for radio communication; enable interoperability with communications systems that can utilize reallocated public safety spectrum for communication; or otherwise improve or advance the interoperability of public safety.

**Applicant Eligibility:**

The PSIC grant will be awarded to the 56 States and Territories. The Governor of each State and Territory has designated a State Administrative Agency (SAA), which can apply for and administer the funds under the PSIC Grant Program. The SAA is the only agency eligible to apply for PSIC funds.

**Beneficiary Eligibility:**

The SAA is responsible for obligating PSIC funds to eligible pass-through, public safety recipients.

**Credentials/Documentation:**

All applicants must be a public safety agency that is a State, local, or tribal government entity or nongovernmental organization authorized by such entity, whose sole or principal purpose is to protect safety of life, health, or property.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance in preparing application forms. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The SAAs must apply for PSIC Grant Program funding through the online Grants.gov system through the Authorized Organization Representative (AOR.) Instructions are available on the Grants.gov website ([www.grants.gov](http://www.grants.gov)).

**Award Procedure:**

Each applications will be reviewed by NTIA and DHS for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed solution addresses the identified need or capability shortfall. If submissions do not meet PSIC requirements, they will be returned to the submitting State or Territory and funds will be withheld until the applicant meets all PSIC requirements. Upon approval of the application, the grant will be awarded to the SAA. Grantees can draw down and expend funds through the DHS Payment and Reporting System.

**Deadlines:**

The deadline for filing applications was August 22, 2007. The deadline for submitting the required Statewide Communications Interoperability Plans and Investment Justifications was December 3, 2007.

**Range of Approval/Disapproval Time:**

Award payments are generally within 90 days of application approval.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Each public safety agency receiving PSIC funds is required to meet and document the 20 percent statutory match requirement for each project, during the period of performance of the grant program.

**Length and Time Phasing of Assistance:**

Payment and Reporting System payments are generally within 90 days.

**Reports:**

None.

**Audits:**

Audits may be conducted in accordance with the terms and conditions of the award and Department of Commerce Financial Assistance Standard Terms and Conditions. The Implementing Recommendations of the 9/11 Commission Act of 2007, requires the Departments Office of Inspector General to report annually on the management of the NTIA PSIC program to Congress, and conduct financial audits on not fewer than 25 States or territories receiving NTIA PSIC grant awards.

**Records:**

Grant recipient must retain records for three years.

**Account Identification:**

13-5396-0-1-503.

**Obligations:**

FY 07 \$968,385,000; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

PSIC funds were allocated using a two-part process. First, each State, the District of Columbia and Puerto Rico will receive a minimum of \$3 million and each Territory will receive a minimum of \$500,000 to ensure that it will be able to make meaningful improvements to its interoperable communications capabilities. The remaining 80 percent of funds are allocated to States and Territories using a formula similar to the current Homeland Security Grant Program (HSGP) risk formula, this formula is the product of three variables: threat, vulnerability and consequence.

**PROGRAM ACCOMPLISHMENTS:**

The PSIC Grant Program awarded \$968,385,000 to fund interoperable communications projects from the 56 States and Territories.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from [www.ntia.doc.gov/psic](http://www.ntia.doc.gov/psic).

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura Pettus, Program Specialist, Office of Telecommunications and Information Applications/NTIA, Room 4812, Department of Commerce, 1401 Constitution Avenue, N.W., Washington, DC 20230. Telephone: (202) 482-5802.

**Web Site Address:**

[www.ntia.doc.gov/psic](http://www.ntia.doc.gov/psic).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority compensation shall be given to public safety agencies that seek solutions that (1) achieve meaningful and measurable improvements in the state of interoperability for public safety communications and (2) fill interoperability gaps identified in the Statewide Plans.

**11.556 TV CONVERTER BOX COUPON PROGRAM****FEDERAL AGENCY:**

NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Communications Act of 1934, 47 U.S.C.309(j)(8)(E) as amended, Public Law 109-171 Deficit Reduction Act of 2005, Title III - Digital Television Transition and Public Safety, February 8, 2006.

**OBJECTIVES:**

After February 17, 2009, all full-power television stations will broadcast only in digital. If you use "rabbit ears" or a rooftop antenna with your analog television set, you must take some action to continue receiving television broadcasts. The Federal Government is offering US households up to two \$40 coupons to help with the cost of certified TV converter boxes. A converter box is a one-time purchase that will allow your analog TV to work after February 17, 2009. Coupons are free but supply is limited. Coupons will be mailed by the Federal Government. Applications will be accepted from January 1, 2008 until March 31, 2009. Coupons expire after 90 days and cannot be re-issued.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Provides financial assistance to off-set the cost of a certified digital-to-analog converter box.

**Applicant Eligibility:**

All consumers in the 50 U.S. States and territories are eligible for the first 22.25 million coupons. Only households who rely on over-the-air broadcasts are eligible for the additional 11.25 million coupons.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Program contractor maintains telephone and website 24/7. Telephone operations can accommodate English, Spanish, French, Russian, simple Chinese, Vietnamese, and Tagalog. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Application can be retrieved from the website at [www.DTV2009.gov](http://www.DTV2009.gov); or consumers may call (1-888) 388-2009 (24 hour hot-line), TTY - (English) (1-877)530-2634, or TTY (Spanish) (1-866) 495-1161. Applicants may also mail requests to DTV Coupon Program, P.O. Box 9000, Portland, OR 97208-2000; or Fax to (1-877)388-4632. Applicants must request coupon(s) by March 31, 2009.

**Award Procedure:**

Applications are reviewed for completeness. Coupons are mailed directly to applicant's home.

**Deadlines:**

Consumers must request coupons on or before March 31, 2009.

**Range of Approval/Disapproval Time:**

Coupons are generally mailed within 14 TO 21 days after the application is accepted.

**Appeals:**

Yes. Appeals can be made through a mail-in process.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Coupons expire 90 days after they are mailed. Each coupon has an expiration date printed on it.

**Reports:**

None.

**Audits:**

Audits may be conducted in accordance with the terms and conditions of the award and Department of Commerce Financial Assistance Standard Terms and Conditions.

**Records:**

None.

**Account Identification:**

13-5396-0-1-503.

**Obligations:**

FY 07 \$0; FY 08 est \$429,424,000; and FY 09 est \$471,870,000.

**Range and Average of Financial Assistance:**

\$40 - \$80.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from [www.ntia.doc.gov/dtvcoupon](http://www.ntia.doc.gov/dtvcoupon).

**Regional or Local Office:**

None.

**Headquarters Office:**

Anthony Wilhelm, Consumer Education Director, Office of Telecommunications and Information Applications/NTIA, Room 4812, Department of Commerce, 1401 Constitution Avenue, N.W., Washington, DC 20230. Telephone: (202) 482-2048.

**Web Site Address:**

[www.dtv2009.gov](http://www.dtv2009.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**11.601 CALIBRATION PROGRAM****FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

National Bureau of Standards Organic Act, Public Law 56-177, as amended, 15 U.S.C. 271 et seq.

**OBJECTIVES:**

To provide a consistent system of physical measurement in the United States of America.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Provides traceability to the National Standards for measurements that are used for assurance of interchangeability and uniformity of manufactured items, for process control, for informational and scientific purposes, and for fairness and objectivity in commerce and regulation. There are no use restrictions.

**Applicant Eligibility:**

Calibrations and tests are provided on a fee basis to state and local governments, academic institutions, scientific laboratories, industrial firms, corporations, and individuals.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of purchase order to appropriate office for service of interest: Calibration Program, 100 Bureau Drive Stop 2330, National Institute of Standards and Technology, Department of Commerce, Gaithersburg, MD 20899-2330; or to M.C. 818.01, National Institute of Standards and Technology, Department of Commerce, Boulder, CO 80303.



**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

13-4650-0-4-376.

**Obligations:**

(Operating expenses) FY 07 \$7,877,400; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Institute of Standards and Technology Special Publication 250 "Calibration and Related Measurement Services of the National Institute of Standards and Technology, and NIST 250 appendix, "Fee Schedule" available on the web. Program Literature: The NIST Technical Notes (TN's), Special Publications (SP's), and Monographs listed in SP 250, may be obtained at the price indicated from the Superintendent of Documents, Government Printing Office, Washington, DC 20402; or from the National Technical Information Service, Springfield, VA 22151.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Calibration Program, National Institute of Standards and Technology, Department of Commerce, 100 Bureau Drive, Stop 2330, Gaithersburg, MD 20899-2330. Telephone: (301) 975-2092. E-mail: [calibrations@nist.gov](mailto:calibrations@nist.gov). Fax: (301) 869-3548.

**Web Site Address:**

<http://ts.nist.gov/ts/htdocs/230/233/calibration>.

**RELATED PROGRAMS:**

11.603, National Standard Reference Data System; 11.604, Standard Reference Materials; 11.606, Weights and Measures Service.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.603 NATIONAL STANDARD REFERENCE DATA SYSTEM**

(NSRDS)

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Standard Reference Data Act, Public Law 90-396, 15 U.S.C. 290; National Bureau of Standards Organic Act, Public Law 56-177, as amended, 15 U.S.C. 271 et seq.

**OBJECTIVES:**

To make evaluated scientific and technical data readily available to scientists, engineers, and the general public.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

NIST standard reference data aid scientists and engineers by providing reliable evaluated information on the chemical, physical, and other properties of

substances and systems. Evaluations are carried out through a network of data centers and projects. Data compilations published, and databases and online systems established by the program are for sale without restriction. There are no specific use restrictions.

**Applicant Eligibility:**

Federal agencies, universities, industrial laboratories, institutions, firms, corporations, other research establishments, and individuals may purchase databases. Data compilations published and databases established by the program are owned by the Federal government and are for sale subject to copyright restrictions set forth in 15 USC 290.

**Beneficiary Eligibility:**

Federal agencies, universities, industrial laboratories, institutions, firms, corporations, other research establishments, and individuals may purchase databases. Data compilations published and databases established by the program are owned by the Federal government and are for sale subject to copyright restrictions set forth in 15 USC 290.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Purchase orders should be directed to the Standard Reference Data Program, National Institute of Standards and Technology, 100 Bureau Drive Stop 2320, Gaithersburg, MD 20899-2320, or <http://www.nist.gov/srd>.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

No renewals. Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

13-0500-0-1-376; 13-4650-0-4-376.

**Obligations:**

FY 07 \$4,281,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Publications and computerized databases needed by the scientific and engineering communities are issued at a rate of approximately 20 publications and 5-10 databases per year. In addition, data are available via several online web based systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Catalog available on Internet at <http://www.nist.gov/srd>.

**Regional or Local Office:**

Department of Commerce field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Standard Reference Data Program, National Institute of Standards and Technology, Department of Commerce, 100 Bureau Drive Stop 2320, Gaithersburg, MD 20899-2320. Telephone: (301) 975-2208. Fax: (301) 926-0416.

**Web Site Address:**

<http://www.nist.gov/srd>.

**RELATED PROGRAMS:**

11.604, Standard Reference Materials; 11.650, National Technical Information Service; 42.007, Reference Services in Science, Technology and Business.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.604 STANDARD REFERENCE MATERIALS**

(SRM)

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

National Bureau of Standards Organic Act, Public Law 56-177, as amended, 15 U.S.C. 272 et seq.

**OBJECTIVES:**

Standard Reference Materials are certified and issued by NIST to develop accurate methods of analysis; to calibrate measurement systems used to: (1) facilitate the exchange of goods, (2) institute quality control, (3) determine material performance characteristics, (4) measure materials at state-of-the-art limits, and (5) assure the long-term adequacy and integrity of measurement quality assurance programs.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Standard Reference Materials are used as primary reference measurement standards in such areas as clinical laboratories testing, air and water pollution monitoring, low-level radioactive pollution monitoring, and production control of basic materials, such as steel, rubber, cement, and plastics. Standard Reference Materials are intended for measurement quality control, regulatory compliance, product development, and scientific research.

**Applicant Eligibility:**

Federal agencies, State and local governments, societies, institutions, firms, corporations, and individuals may purchase the materials.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Purchase orders should be directed to the Standard Reference Materials Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 2322, Gaithersburg, MD 20899-2322.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

13-4650-0-4-376.

**Obligations:**

(Operating expenses) FY 07 \$12,025,100; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006 sales are estimated to be 30,500 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General information is available at no cost from the Standard Reference Materials Program, National Institute of Standards and Technology, 100 Bureau Drive Stop 2322, Building 820, Room 135, Gaithersburg, MD 20899-2322. E-mail: srminfo@nist.gov. Catalogs and price lists may be viewed electronically by accessing URL <http://www.nist.gov/srm> or can be obtained from the Superintendent of Documents, Government Printing Office, Washington, DC 20402 (Order C13.10.260).

**Regional or Local Office:**

Department of Commerce field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Standard Reference Materials Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 2322, Building 820, Room 113, Gaithersburg, MD 20899-2322. Telephone: (301) 975-6776. Use the same number for FTS. Fax: (301) 948-3730. E-mail: srminfo@nist.gov.

**Web Site Address:**

<http://www.nist.gov/srm>.

**RELATED PROGRAMS:**

11.601, Calibration Program; 11.603, National Standard Reference Data System; 11.650, National Technical Information Service.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.606 WEIGHTS AND MEASURES SERVICE****FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

National Bureau of Standards Organic Act, Public Law 56-177, as amended, 15 U.S.C. 271 et seq.; 15 U.S.C. 201 et seq.

**OBJECTIVES:**

To provide leadership and technical resources to assure the accuracy of the quantities and quantity representations in all commercial transactions in the United States, to promote a uniform national weights and measures system, to promote harmonization of national and international legal metrology standards, and to facilitate the transition to the metric system.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Provision of Specialized Services; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

This program provides education, technical advice, and assistance to States, State and industry metrologists, manufacturers of weights and measures devices, and other device users; manages U.S. representation and participation in the International Organization of Legal Metrology (OIML) and in regional legal metrology organizations to harmonize legal metrology standards; provides leadership and assistance on metric use and conversion to businesses, state and local governments, standards organizations, trade association, and the education community; coordinates the metric transition activities of all Federal agencies; develops model laws and regulations; upgrades State laboratories; conducts technical studies; and provides technical support to the National Conference on Weights and Measures. It includes publications, related activities, special studies, technical advice, technology transfer through audit of State laboratories, technical training, and development of training material. There are no restrictions on the use of this material.

**Applicant Eligibility:**

States, political subdivisions of States, private industry, and the general public.

**Beneficiary Eligibility:**

States, political subdivisions of States, private industry, and the general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter requesting services should be sent to Chief, Weights and Measures Division, National Institute of Standards and Technology, 100 Bureau Drive, Stop 2600, Gaithersburg, MD 20899-2600.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

13-0500-0-1-376; 13-4650-0-4-376.

**Obligations:**

(Operating expenses) FY 07 \$4,532,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Ensures economic equity and uniformity in commerce. The agency provides classroom training, computer-based training, and technical assistance to State weights and measures laboratories to help assure that State measurement standards are traceable to national standards. A wide range of proficiency tests

are conducted on an annual basis. It also develops device performance and commodity packaging standards with representatives of manufacturers, packagers, distributors, consumer groups, and officials in Federal, State, and local jurisdictions who enforce laws and regulations governing packages and measuring devices. The agency provides technical support to the National Conference on Weights and Measures (NCWM) and aids in the development of uniform and compatible State weights and measures laws and regulations, codes for measuring device design and performance, and the design and implementation of test procedures and prototype device evaluation. The Weights and Measures Division staff participates actively in NCWM affairs, and provides technical assistance to its members, to Federal, State, and local government, and to private manufacturing and service businesses. The Fourth Edition of NIST Handbook 133 was published in January 2003. A comprehensive CD-ROM-based training course in laboratory mass calibration procedures and concepts was completed in September 2003. A CD-ROM-based training course in the use of electronic audit trails for commercial weighing and measuring devices was completed in June 2004. Workshops for weights and measures administrators were held in 2001 and in 2004 to address management and budget issues confronting weights and measures enforcement programs. A benchmark study of the national weights and measures system was completed in February 2005.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Model laws, regulations, codes, and test procedures relating to weights and measures enforcement, packaging and labeling, method of sale of commodities, unit pricing, open dating, field inspections, and registration of service persons, and service agencies, engine fuel quality, and weighmasters. Manuals for coordinating the system of State laboratories, testing specific measuring devices, and training State officials. Design and performance codes for scales, liquid and vapor meters, distance and time measuring devices, and other measuring equipment. Most publications available from the Government Printing Office. List of Publications is available from the Weights and Measures Division at no charge.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Carol Hockert, Chief, Weights and Measures Division, National Institute of Standards and Technology, 100 Bureau Drive, Stop 2600, Gaithersburg, MD 20899-2600. Telephone: (301) 975-4004. Use the same number for FTS.

#### **Web Site Address:**

<http://ts.nist.gov/ts/htdocs/230/235/owmhome.htm>.

#### **RELATED PROGRAMS:**

11.601, Calibration Program.

#### **EXAMPLES OF FUNDED PROJECTS:**

Awards not available. Funds support standards development for devices and packaging, the development of training materials for State and local weights and measures officials, and the delivery of weights and measures related training to weights and measures officials, industry representatives, and State and industry laboratory metrologists.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## **11.609 MEASUREMENT AND ENGINEERING RESEARCH AND STANDARDS**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

#### **AUTHORIZATION:**

National Bureau of Standards Organic Act, Public Law 56-177, as amended, 15 U.S.C. 271 et seq, 19 U.S.C 2343-45.

#### **OBJECTIVES:**

To provide scientific research and technology transfer for measurement and engineering research and standards.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Grant money will be used to further scientific research and technology transfer, in areas of fire research, building research, precision measurement, automation manufacturing, materials science, chemistry, physics, biotechnology, electronics, optical technologies, mathematics, communications and information, science and technology and other areas of specific research.

#### **Applicant Eligibility:**

Institutions of higher education (e.g. universities and colleges), professional institutes and associations, nonprofit organizations, State and local governments, laboratories, and commercial organizations.

#### **Beneficiary Eligibility:**

Universities, colleges, professional institutes and associations, nonprofit organizations, State and local governments, and commercial organizations.

#### **Credentials/Documentation:**

Applicants must have and demonstrate scientific competence in areas of

research for which grants are requested. Costs will be determined in accordance with applicable cost principles found at 2 CFR Part 220, Cost Principles for Education Institutions (OMB Circular A-21), 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87), 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122), 48 CFR 31 for Commercial Organizations, 45 CFR 74, Appendix E for Hospitals.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Applicants should reply to notices published as Federal funding opportunities at [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

Award process based upon published selection criteria.

#### **Deadlines:**

Deadlines for proposal submissions are contained in announcements described in the application procedure.

#### **Range of Approval/Disapproval Time:**

Approval times are from 6 to 9 months.

#### **Appeals:**

None.

#### **Renewals:**

Future or continued funding will be at the discretion of NIST, based on such factors as satisfactory performance and the availability of funds. Renewals are competed whereas continuations of multi-year agreements are not subject to further competition.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Usually one to five years in length.

#### **Reports:**

Semi-annual and final program and financial status reports are required; unless specified in award document.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

#### **Records:**

All records of accounts and supporting documents will be retained by recipient and subcontractors for a period of three years from the date of submission of final expenditure report.

#### **Account Identification:**

13-0500-0-1-376; 13-0525-0-1-376; 13-4650-0-4-376.

#### **Obligations:**

FY 07 \$34,362,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

Dependent upon nature and type of grant.

#### **PROGRAM ACCOMPLISHMENTS:**

Three hundred and nine grants, cooperative agreements, and amendments were funded in fiscal year 2005. It is estimated that approximately the same level will be funded in fiscal years 2006 and 2007.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 15 CFR 24 and 15 CFR 14.

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

National Institute of Standards and Technology, 100 Bureau Drive, Bldg. 411, Room A120, Mail Stop 3580, Gaithersburg, MD 20899-3580. Telephone: (301) 975-6328.

#### **Web Site Address:**

<http://www.nist.gov>.

#### **RELATED PROGRAMS:**

11.601, Calibration Program; 11.603, National Standard Reference Data System; 11.604, Standard Reference Materials; 11.606, Weights and Measures Service.

#### **EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include: Development and Study of Strong and Ductile Magnesium Alloys; Experimental Investigation of Vitiated Flame Behavior and Self-Extinction in Fires; Interaction of Laser and Synchrotron Radiation with Semiconductor Photodetectors; Measurements of Molecular Assemblies on Surfaces; and Ultra-Thin Oxide Metrology and Reliability.

#### **CRITERIA FOR SELECTING PROPOSALS:**



Criteria vary with type of proposal. Specific criteria listed in the Federal Funding Opportunities posted at [www.grants.gov](http://www.grants.gov).

## 11.610 NATIONAL CENTER FOR STANDARDS AND CERTIFICATION INFORMATION

(NCSCI)

### FEDERAL AGENCY:

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

### AUTHORIZATION:

National Bureau of Standards Organic Act, Public Law 56-177, as amended, 31 Stat. 1449, 15 U.S.C. 271 et seq; Trade Agreements Act of 1979, Public Law 96-39, 93 Stat. 299, 19 U.S.C. 2416.

### OBJECTIVES:

To serve as a standards information and conformity assessment center and referral service, by maintaining a reference collection of standards and specifications, regulations, certification rules, directories, reference books and special publications. To respond to inquiries, develop and publish lists, bibliographies, indexes, and directories of standards and related information, and to provide trade related regulations and certification information to U.S. exporters and manufacturers. To serve as U.S. Inquiry Point for the WTO TBT Agreement, NAFTA, and ISONET. To serve as U.S. Notification Authority for the WTO TBT Agreement.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Responds to the needs of government, industry, U.S. exporters, manufacturers, and the general public for information on domestic and foreign standards, regulations, certification procedures, and standards related activities. Information on standards, collections, copyrights and lending restrictions are provided on site. NCSCI does not analyze, evaluate, or interpret standards.

### Applicant Eligibility:

State and local government, private, public, profit organizations, nonprofit institutions and individuals.

### Beneficiary Eligibility:

State and local government, private, public, profit organizations, nonprofit institutions and individuals will benefit.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Inquiry may be made by telephone, letter, fax, or e-mail to the National Center for Standards and Certification Information, 100 Bureau Drive, Stop 2160, Gaithersburg, MD 20899-2160. Telephone: (301) 975-4040. Fax: (301) 926-1559. E-mail: [ncsci@nist.gov](mailto:ncsci@nist.gov).

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Depends on the nature of the request. Response time for 90 percent of the inquiries ranges from immediate to several weeks. Trade related inquiries that depend on information from abroad may take longer for response.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

13-0500-0-1-376; 13-4650-0-4-376.

### Obligations:

(Operating expenses) FY 07 \$700,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Not applicable.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Published directories and indexes on standards related information. Publications

are available from NCSCI, GPO, NTIS, or other designated private publishers.

### Regional or Local Office:

None.

### Headquarters Office:

Dr. Carmina Londono; Telephone: (301) 975-2573 or Global Standards and Information Group, Standards Services Division, 100 Bureau Drive, Stop 2100, Gaithersburg, MD 20899-2100. Telephone: (301) 975-4040. Fax: (301) 926-1559.

### Web Site Address:

<http://ts.nist.gov/ncsci/>

### RELATED PROGRAMS:

11.606, Weights and Measures Service.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 11.611 MANUFACTURING EXTENSION PARTNERSHIP

### FEDERAL AGENCY:

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

### AUTHORIZATION:

Omnibus Trade and Competitiveness Act of 1988, 15 U.S.C. 278K, as amended by Public Law 100-418; American Technology Preeminence Act of 1991; Technology Administration Act of 1998.

### OBJECTIVES:

To establish, maintain, and support manufacturing extension centers and services, the functions of which are to improve the competitiveness of firms accelerating the usage of appropriate manufacturing technology by smaller U.S. based manufacturing firms, and partner with the States in developing such technical assistance programs and services for their manufacturing base.

### TYPES OF ASSISTANCE:

Cooperative Agreements; Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Federal funding provided under this program shall be used for the creation and support of manufacturing extension services, or used by the States to plan for and pilot test state-wide extension services. It may also be used to plan for and pilot test services within a multi-state region which has sufficient regional linkages to justify such services. Extension service providers shall be affiliated with a U.S. based nonprofit institution or organization or group thereof. Funds may be used for the purpose of demonstrations, technology deployment, active transfer and dissemination of research findings and extension service expertise to a wide range of companies and enterprises, especially small manufacturers with fewer than 500 employees. Congressional funding has been provided annually since fiscal year 1988 (under Manufacturing Technology Centers and the State Technology Extension Program, which were combined into the Manufacturing Extension Partnership in fiscal year 1993).

### Applicant Eligibility:

For extension services, eligible applicants shall be U.S.-based nonprofit institutions or organizations or groups thereof. Applicants must contribute 50 percent or more of the proposed service's capital, annual operating and maintenance costs. At least 50 percent of the applicant's share must be as cash or full-time personnel. For extension service planning and pilot services agreements, eligible applicants shall be State governments and State affiliated nonprofit organizations. For multi-state regional planning and pilot services agreements, eligible applicants shall be State and local governments, representing either themselves or a consortium of States, and appropriate private or public nonprofit organizations, operating on behalf of a consortium of States or as a representative of States.

### Beneficiary Eligibility:

Beneficiary shall be U.S.-based manufacturing firms, especially smaller companies.

### Credentials/Documentation:

An applicant for manufacturing extension centers must submit a proposal in accordance with 15 CFR 290, which provides assurances that they will contribute 50 percent or more of the proposed center's capital, annual operating and maintenance costs. Proposals also must contain sufficient information regarding management, technical, and technology strengths sufficient for a formal merit review of the proposal. Applicants must have and demonstrate competence in areas for which financial assistance is requested. Costs will be determined in accordance with applicable cost principles found in OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, A-122 for nonprofit organizations, 48 CFR 31 for commercial organizations, and 45 CFR 74, Appendix E for hospitals.

### Preapplication Coordination:

The extension service planning and pilot testing portion of this program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the

State requires to be followed in applying for assistance, if the State has selected the program for review. For manufacturing extension centers, no formal preapplication is required, although applicants are advised to discuss their proposal during the early stages of development with NIST MEP regional managers. This portion of the program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit proposals in accordance with deadlines and other details as published in formal program announcements including Standard Form 424 and Commerce Department Form 511. Applicants for manufacturing extension centers must follow the format set out in 15 CFR 290.

**Award Procedure:**

All timely submitted and qualified proposals are reviewed by a NIST selection panel. For proposals for manufacturing extension centers, the finalists' proposals are selected on the basis of NIST evaluations and judgments based on published evaluation criteria, and may undergo a site visit.

**Deadlines:**

Notices of availability of funds and deadlines are published in the Federal Funding Opportunity at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Applicants should be notified within 60 to 90 days of the application deadline for extension service planning/pilot testing agreements, and 120 days for manufacturing extension centers.

**Appeals:**

None.

**Renewals:**

Future or continued funding will be based on availability of funds, and will be based on satisfactory performance, and may be subject to competition.

**Formula and Matching Requirements:**

A State may be required to provide adequate assurances that it will increase its spending on technology extension by an amount at least equal to the amount of Federal assistance requested. For manufacturing extension centers, the program has no statutory formula. For years 1-3, applicants must provide at least 50 percent of the capital, annual operating and maintenance funds required to create and maintain the center. For year 4, applicants must provide 60 percent, and 66.7 percent for year 5 and beyond. Funds may be provided by any non-Federal source. A minimum of 50 percent of the applicant's share must be as cash or full-time personnel.

**Length and Time Phasing of Assistance:**

For extension service planning and pilot-testing agreements, one year. For manufacturing extension centers, duration of support is based upon positive evaluation every two years, and availability of funds.

**Reports:**

Quarterly progress and financial reports are required. Each request for reimbursement must be accompanied by a report of applicant's cost-share contribution.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of awardees or subawardees are required to be maintained by the terms of the agreement. The awardees must retain records for 3 years after completion of the project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**Account Identification:**

13-0525-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 07 \$35,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Individual awards for extension service planning and pilot testing agreements should range between \$25,000 and \$100,000. Awards for manufacturing extension centers fall in the range of \$200,000 to \$6,500,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, the MEP program will continue to increase U.S. manufacturers productivity and competitiveness as well as to ensure reliable and secure supply chains. NIST MEP will leverage the manufacturing extension infrastructure by cooperating with other federal agencies to encourage innovative practices, to develop a workforce ready to meet the demands of our

nation's high growth industries and to expand manufacturers participation in the global economy. The most recent performance results of the MEP program can be found on the MEP website at:

<http://www.mep.nist.gov/impacts/impacts.html>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are codified at 15 CFR 290-92. A Federal Register Notice announcing the request for proposals from qualified organizations will be published when funds are available. This program is subject to the provisions of 15 CFR 24 and 15 CFR 14.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. Roger Kilmer, Director, Manufacturing Extension Partnership, National Institute of Standards and Technology, 100 Bureau Drive Stop 4800, Gaithersburg, MD 20899-4800. Telephone: (301) 975-5020.

**Web Site Address:**

<http://www.mep.nist.gov>.

**RELATED PROGRAMS:**

11.303, Economic Development Technical Assistance; 11.650, National Technical Information Service; 43.002, Technology Transfer; 59.037, Small Business Development Centers.

**EXAMPLES OF FUNDED PROJECTS:**

A map of the current funded MEP centers is available at

<http://www.mep.nist.gov/about-mep/center-info.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected on the basis of merit. Selection criteria are published in the Federal Funding Opportunity, and for manufacturing extension centers, appear in 15 CFR 290.

## 11.612 ADVANCED TECHNOLOGY PROGRAM

(ATP)

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418, Section 5131(a); American Technology Preeminence Act of 1991, Public Law 102-245, Section 201(c), 15 U.S.C. 278n.

**OBJECTIVES:**

To work in partnership with industry to foster the development and broad dissemination of challenging, high-risk technologies that offer the potential for significant, broad-based economic benefits for the nation.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Single for-profit company recipients can receive ATP funds for R&D activities for up to 3 years, with ATP funding not to exceed \$2 million. ATP funds may only be used to pay for direct costs for single company recipients. Single company recipients are responsible for funding all of their overhead/indirect costs. Small and medium sized companies applying as single company proposers are not required to provide cost-sharing of direct costs. Large companies applying as single company proposers, however, must cost-share at least 60 percent of the total project costs (direct plus indirect costs). A large company is defined as any business, including any parent company plus related subsidiaries, having annual revenues in excess of \$3.043 billion. (Note that this number will likely change for future competitions and, if so, will be noted in future annual announcements of availability of funds and ATP Proposal Preparation Kits.) Joint ventures can receive ATP funds for R&D activities for up to 5 years, with ATP funding a minority share of the total project costs. Joint ventures must cost-share (matching funds) more than 50 percent of the total project costs (direct plus indirect costs). Joint ventures must consist of at least two separately-owned for-profit companies, both of which are substantially involved in the R&D and both contributing towards the matching fund requirement. The joint venture may include additional for-profit companies, universities, governmental laboratories (excluding any NIST laboratory), independent research organizations, and/or nonprofit organizations, which may or may not contribute funds (other than Federal funds) to the project and perform R&D activities. The joint venture need not be a legally constituted entity but can consist of companies who simply agree to collaborate on the R&D and divide tasks. ATP funding may not be used to fund product development or be used to fund existing or planned research programs that would otherwise be conducted in the same period.

**Applicant Eligibility:**

U.S. businesses and U.S. joint research and development ventures. Foreign-owned businesses are eligible for funding, provided they meet the requirements of Public Law 102-245, Sec. 201(c)(6-7). Universities, government laboratories (excluding any NIST laboratory), independent research organizations, and/or nonprofit organizations, may participate as a member of a joint venture that includes at least two separately owned for-profit companies, both of which are

substantially involved in the R&D and both contributing towards the matching-fund requirement.

**Beneficiary Eligibility:**

U.S. businesses and U.S. joint ventures; and foreign-owned businesses that meet the requirements of Public Law 102-245, Section 201(c)(6-7).

**Credentials/Documentation:**

Proposals with statements of work, business plans, and detailed budgets. Costs will be determined in accordance with applicable Federal costs principles found in OMB Circular Nos. A-21 for educational institutions, A-122 for nonprofit organizations, 48 CFR 31 for commercial organizations, and 45 CFR 74, Appendix E for hospitals.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are submitted under a multi-stage and sequential review process to reduce the amount of information required at one time. Required information is submitted at different stages as determinations are made by ATP that proposals have high merit based on the selection criteria. These stages in the review process are called "gates." Proposals must pass through each gate in order to receive funding. Proposals should be submitted only in response to formal competition announcements and requests for proposals published in the "Federal Register" and "Federal Funding Opportunity" available at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Competitive award process based upon published selection criteria.

**Deadlines:**

Deadlines for proposal submissions are contained in the formal competition announcements and requests for proposals published in the "Federal Register" and "Federal Funding Opportunity" available at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

120 to 180 days.

**Appeals:**

None.

**Renewals:**

ATP awards may be renewed within the statutory time limitation based on satisfactory performance and availability of funds from Congress.

**Formula and Matching Requirements:**

ATP funds may only be used to pay for direct costs for single company recipients. Single company recipients are responsible for funding all of their overhead/indirect costs. Small and medium sized companies applying as single company proposers are not required to provide cost-sharing of direct costs. Large companies applying as single company proposers, however, must cost-share at least 60 percent of the total project costs (direct plus indirect costs). A large company is defined as any business, including any parent company plus related subsidiaries, having annual revenues in excess of \$3.043 billion. (Note that this number will likely change for future competitions and, if so, will be noted in future annual announcements of availability of funds and ATP Proposal Preparation Kits.) Joint ventures must cost-share (matching funds) more than 50 percent of the total project costs (direct plus indirect costs).

**Length and Time Phasing of Assistance:**

Funding for joint research and development ventures may be provided for no more than five years. Funds for single company awards may not exceed three years. The funds are released on an advance payment basis. Continued funding is contingent on satisfactory performance and availability of appropriated funding from Congress.

**Reports:**

Quarterly and annual technical progress and business reports are required.

**Audits:**

Audits of all recipients shall be conducted in accordance with Government Auditing Standards (GAS), issued by the Comptroller General of the United States (the Yellow Book). Other requirements are as follows: 1) For single companies, the NIST Program-Specific Audit Guidelines for Advanced Technology Program (ATP) Cooperative Agreements with Single Companies, issued by the DoC/OIG; 2) for joint venture recipients, the NIST Program-Specific Audit Guidelines for Advanced Technology Program (ATP) Cooperative Agreements with Joint Ventures, issued by the DoC/OIG; and 3) ATP recipients covered under OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," should have an audit performed in accordance with the requirements of the OMB Circular. The program-specific audit guidelines may be useful in identifying the allowability of specific cost elements and other programmatic compliance. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Documents, papers, and financial records are required to remain available to the Federal government for 3 years from the date of submission of the final financial

status report. All financial and programmatic records, supporting documents, statistical reports, and other records of recipients are required to be maintained in accordance with the terms of the agreement.

**Account Identification:**

13-0525-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range: \$434,000 to \$31,000,000. Average: \$2,900,000.

**PROGRAM ACCOMPLISHMENTS:**

The ATP has made 768 awards since its first competition in 1990 - 218 to joint ventures and 550 to single companies. In fiscal year 2004, the ATP held a single competition open to all technology areas. ATP did not hold a competition in fiscal year 2005 and will not hold a competition in fiscal year 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Implementing regulations are published at 15 CFR Part 295. The ATP Proposal Preparation Kit may be obtained by contacting the ATP toll-free "hotline" number (1-800) ATP-FUND or (1-800) 287-3863. The Kit is also available on the Internet on the ATP website [www.atp.nist.gov](http://www.atp.nist.gov). An electronic form for requesting general information from ATP and/or to have your name on the ATP mailing list is available at <http://www.atp.nist.gov/atpform.htm>. This program is subject to the provisions of 15 CFR Part 14.

**Regional or Local Office:**

Advanced Technology Program, National Institute of Standards and Technology, 100 Bureau Drive Stop 4701 Gaithersburg, MD 20899-4701. Telephone: (1-800) ATP-FUND. Fax: (301) 926-9524. E-mail: [atp@nist.gov](mailto:atp@nist.gov).

**Headquarters Office:**

Barbara Lambis, Advanced Technology Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4700, Gaithersburg, MD 20899-4700. Telephone: (301) 975-4447. Use the same number for FTS. FAX: (301) 869-1150. E-mail: [barbara.lambis@nist.gov](mailto:barbara.lambis@nist.gov). To receive application kits, contact ATP customer service staff, at (1-800) ATP-FUND or E-mail: [atp@nist.gov](mailto:atp@nist.gov).

**Web Site Address:**

<http://www.atp.nist.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Printed wiring board manufacturing technology, flat panel display manufacturing, handwriting recognition, magnetoresistive random access memories, deep ultraviolet lasers, high temperature superconducting material processes, superconducting motors, stem cell expansion, viral inactivation, scalable high-density electronics, polymeric switches, nanocrystalline ceramics, polymer compatibilization, catalysis, biocatalysis, process chemistry, combinatorial methods, aquaculture, net-shaped ceramic processing, neural network controls, thermoplastic liquid composite molding, autonomous robots, digital image compression, software for managing complex healthcare data, and biochips for DNA diagnostics.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Scientific and Technological Merit and (2) Potential for Broad-Based Economic Benefits.

## 11.616 TECHNOLOGY INNOVATION PROGRAM (TIP)

(TIP)

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Section 3012 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, Public Law 110-69 (August 9, 2007) 15 U.S.C.A. § 278n (2008).

**OBJECTIVES:**

Technology Innovation Program (TIP), is a cost-shared federal financial assistance program to support, promote, and accelerate innovation in the United States through high-risk, high-reward research in areas of critical national need.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Single small or medium sized company recipients can receive up to a total of \$3 million in TIP funding for R and D activities spanning up to 3 years. TIP funds may only be used to pay direct costs. Single company recipients are responsible for funding all of their indirect/overhead costs. Small and medium sized companies applying as single company proposers must cost share at least 50 percent of the yearly total project costs (direct plus all of the indirect costs). A large-sized company is not eligible to apply for TIP funding. Joint venture recipients can receive up to a total of \$9 million for R and D activities spanning up to 5 years. TIP funds may only be used to pay direct costs. Joint ventures are responsible for funding all of their indirect/overhead costs. Joint ventures



must cost share at least 50 percent of the yearly total project costs (direct plus all of the indirect costs). A Joint Venture is a business arrangement that includes (1) At least two separately owned small-sized or medium-sized for-profit companies that are both substantially involved in the project and both of which are contributing to the cost-sharing requirement, with the lead entity of the joint venture being an eligible company as defined in the TIP regulations (15 CFR Part 296); or (2) at least one eligible company and one institution of higher education or other organization, such as a national laboratory, governmental laboratory (not including NIST), or nonprofit research institute, that are both substantially involved in the project and both of which are contributing to the cost sharing requirement, with the lead entity of the joint venture being either the eligible company or the institution of higher education.

**Applicant Eligibility:**

A U.S.-owned, single, small-sized or medium-sized company doing a majority of its business in the United States or a joint venture may apply for TIP funding. Members of joint ventures that are companies must also be doing a majority of their business in the United States. In addition, a company incorporated in the United States that has a parent company incorporated in another country may apply as either a single applicant or a joint venture member provided that certain requirements are met. Institutions of higher education, national laboratories, governmental laboratories (not including NIST), and nonprofit research institutions may also participate as a member of a joint venture.

**Beneficiary Eligibility:**

A U.S.-owned, single, small-sized or medium-sized company doing a majority of its business in the United States or a joint venture may apply for TIP funding. Members of joint ventures that are companies must also be doing a majority of their business in the United States. In addition, a company incorporated in the United States that has a parent company incorporated in another country may apply as either a single applicant or a joint venture member provided that certain requirements are met. Institutions of higher education, national laboratories, governmental laboratories (not including NIST), and nonprofit research institutions may also participate as a member of a joint venture.

**Credentials/Documentation:**

Proposals with statements of work and detailed budgets. Costs will be determined in accordance with applicable federal cost principles found in OMB Circular Nos. A-21 for institutions of higher education, A-122 for nonprofit organizations, 48 C.F.R. 31 for commercial organizations, and 45 C.F.R. 74, Appendix E for hospitals.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are submitted in response to formal competition announcements and requests for proposals published in the Federal Register and Grants.gov. Proposals must be prepared in accordance with the instructions in the TIP Proposal Preparation Kit.

**Award Procedure:**

Competitive award process based upon published evaluation and award criteria.

**Deadlines:**

Deadlines for proposal submissions are contained in the formal competition announcements and requests for proposals published in the Federal Register and Grants.gov.

**Range of Approval/Disapproval Time:**

Approximately 120 to 180 days.

**Appeals:**

None.

**Renewals:**

TIP awards may be renewed within the statutory time limitation based on satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Recipients must cost share at least 50 percent of the yearly total project costs (direct plus all of the indirect costs).

**Length and Time Phasing of Assistance:**

Single recipients may receive TIP funding for up to 3 years. Joint venture recipients may receive funding for up to 5 years.

**Reports:**

Quarterly technical performance, impact assessment, and financial reports.

**Audits:**

Audits of all recipients shall be conducted in accordance with Government Auditing Standards (GAS) issued by the Comptroller General of the United States (the Yellow Book). TIP recipients covered under OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, should have an audit performed in accordance with the requirements of the OMB Circular.

**Records:**

All financial and programmatic records are required to remain available to the federal government for 3 years from the date of submission of the final financial status report.

**Account Identification:**

13-0525-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 08 est \$9,000,000; FY 09 est not available; FY 10 est not available.

**Range and Average of Financial Assistance:**

New program; therefore, no range and average available.

**PROGRAM ACCOMPLISHMENTS:**

New program; therefore, no accomplishments available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Implementing regulations are published at 15 C.F.R. Part 296. The TIP Proposal Preparation Kit is available at [www.nist.gov/tip/helpful.html](http://www.nist.gov/tip/helpful.html). This program is also subject to the provisions of 15 C.F.R. Part 14.

**Regional or Local Office:**

Technology Innovation Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4701, Gaithersburg, MD 20899-4701. Telephone: 1 (888) 847-6478. Fax: (301) 926-9524. Email: [tip@nist.gov](mailto:tip@nist.gov).

**Headquarters Office:**

Barbara Lambis, Technology Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4700, Gaithersburg, MD 20899-4700. Telephone: (301) 975-4447. FAX: (301) 975-1150. Email: [barbara.lambis@nist.gov](mailto:barbara.lambis@nist.gov). To have your name added to the TIP mailing list complete the electronic request at [http://tipmailing.nist.gov/forms/mailling\\_list.cfm](http://tipmailing.nist.gov/forms/mailling_list.cfm).

**Web Site Address:**

[www.nist.gov/tip](http://www.nist.gov/tip).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

New program; therefore, none available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected for funding based on the evaluation criteria listed in 15 C.F.R. § 296.21 and the award criteria listed in 15 C.F.R. § 296.22. Additionally, no proposal will be funded unless TIP determines that it has scientific and technical merit and that the proposed research has strong potential for addressing a societal challenge within the TIP-identified areas of critical national need.

## 11.617 CONGRESSIONALLY-IDENTIFIED PROJECTS

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY,  
DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Science, State, Justice, Commerce, and Related Agencies Appropriations Act.

**OBJECTIVES:**

To assist various organizations identified by Congress to achieve objectives specified by Congress.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance is provided to implement specific projects identified by Congress.

**Applicant Eligibility:**

Organizations specifically identified by Congress in agency appropriations legislation.

**Beneficiary Eligibility:**

Beneficiaries are those served by the organizations receiving awards.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Preapplications are not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit all standard forms (SF-424 Series Forms), project proposal and budget following the format specified by the Department of Commerce.

**Award Procedure:**

Applications are reviewed by NIST and awards are issued by the Grants and Agreements Management Division.

**Deadlines:**

None. However, to ensure processing during the fiscal year that funds are appropriated, applications should be submitted to NIST by June 30.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements, except when specified by Congress.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Financial and progress reports are to be submitted in accordance with the terms

and conditions of the award. Financial status reports (SF-269) are submitted on a quarterly basis. Performance reports are submitted on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Non-profit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted to NIST.

**Account Identification:**

13-0500-0-1-376; 13-0515-0-1-376.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$900,000 to \$20,000,000.

**PROGRAM ACCOMPLISHMENTS:**

NIST grant recipients receiving funding have developed projects fostering a wide range of economic, industrial, educational and other public benefits as specified by Congress in Appropriations Acts. Examples of funded projects include: School Safety and Preparedness; School of Public Health Construction; Museum of Science - Program for Technological Literacy; and Bio-commodity Engineering Research Initiative.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Costs will be determined in accordance with applicable cost principles found at 2 CFR Part 220, Cost Principles for Education Institutions (OMB Circular A-21), 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87), 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122), 48 CFR 31 for Commercial Organizations, 45 CFR 74, Appendix E for Hospitals. Grants management will be in accordance with the provisions of 15 CFR Part 14 for institutions of higher education, other nonprofit organizations, for-profit organizations; and 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Karen S. Williams, Office of the Director NIST, Department of Commerce, 100 Bureau Drive, MS 1001, Bldg. 101, Room A1126, Gaithersburg, MD 20899. Telephone: (301) 975-2397. Fax: (301) 869-8972.

**Web Site Address:**

<http://www.nist.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 11.618 NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY CONSTRUCTION GRANT PROGRAM

(NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY CONSTRUCTION GRANT PROGRAM )

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008 (Public Law 110-161) (the "Act"). Additional information on the program was provided in an explanatory statement that under Section 4 of the Act has the same effect as a Conference Report: The research buildings should span all the applicable sciences, as they relate to DoC. These grants shall be awarded to colleges, universities, and other non-profit science research organizations on a competitive basis. 153 Congressional Record H15790 (December 17, 2007).

**OBJECTIVES:**

To provide competitively awarded grant funds for research science buildings

through the construction of new buildings or expansion of existing buildings. For purposes of this program, "research science building" means a building or facility whose purpose is to conduct scientific research, including laboratories, test facilities, measurement facilities, and/or observatories.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for the construction of new or expansion of existing research science buildings whose purpose is to conduct scientific research, including laboratories, test facilities, measurement facilities, and observatories. Projects to construct or expand a building not intended for performing research or that will predominately be equipped with routine office equipment and/or lecture/class room furnishings are ineligible.

**Applicant Eligibility:**

Institutions of higher education and nonprofit organizations are eligible to apply.

**Beneficiary Eligibility:**

Institutions of higher education and nonprofit organizations are eligible to apply.

**Credentials/Documentation:**

Proposals with statements of work and detailed budgets. Costs will be determined in accordance with applicable federal cost principles found in OMB Circular A-21 for institutions of higher education and OMB Circular A-122 for nonprofit organizations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are submitted in response to formal competition announcements and requests for proposals published in the Federal Register and Grants.gov. Proposals must be prepared in accordance with the instructions in the Announcement of Federal Funding Opportunity (FFO) published in Grants.gov.

**Award Procedure:**

Competitive award process based upon published evaluation criteria.

**Deadlines:**

Deadlines for proposal submissions are contained in the formal competition announcements and requests for proposals published in the Federal Register and Grants.gov.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Although cost sharing is not required it is encouraged for a proposal to be competitive. A minimum of 25 percent would be viewed favorably; 50 percent even more favorably.

**Length and Time Phasing of Assistance:**

Up to five (5) years.

**Reports:**

Quarterly technical performance and financial reports.

**Audits:**

Audits of all recipients shall be conducted in accordance with Government Auditing Standards (GAS) issued by the Comptroller General of the United States (the Yellow Book). Recipients covered under OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, should have an audit performed in accordance with the requirements of the OMB Circular.

**Records:**

Pursuant to 15 CFR 14.53.(b)(2), all financial and programmatic records are required to remain available to the federal government for 3 years after final disposition.

**Account Identification:**

13-0515-0-1-376.

**Obligations:**

(Grants) FY 08 \$29,000,000; FY 09 estimate not available; FY 10 estimate not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 15 CFR Part 14.

**Regional or Local Office:**

Stella Fiotes, Chief Facilities Management Officer, National Institute of Standards and Technology, 100 Bureau Drive, Stop 1900, Gaithersburg, MD 20899-1900. Telephone: (301) 975-8836. Fax: (301) 975-8835. E-mail: [stella.fiotes@nist.gov](mailto:stella.fiotes@nist.gov).

**Headquarters Office:**

Stella Fiotes, Chief Facilities Management Officer, National Institute of Standards and Technology, 100 Bureau Drive, Stop 1900, Gaithersburg, MD 20899-1900. Telephone: (301) 975-8836. Fax: 301-975-8835. E-mail: [stella.fiotes@nist.gov](mailto:stella.fiotes@nist.gov).

**Web Site Address:**

www.nist.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected for funding based on the evaluation criteria published in the Federal Register and Grants.gov notices.

**11.650 NATIONAL TECHNICAL INFORMATION SERVICE**

(NTIS)

**FEDERAL AGENCY:**

NATIONAL TECHNICAL INFORMATION SERVICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Research and Technical Services Act, Public Law 81-776, 15 U.S.C. 1151-1157, 3710; Omnibus Trade and Competitiveness Act of 1988, Public Law 100-418; National Institute of Standards and Technology Authorization Act, Title II, Subtitle B; National Technical Information Act of 1988, Public Law 100-519, 15 U.S.C. 3704; American Technology Preeminence Act of 1991, Public Law 102-245.

**OBJECTIVES:**

To provide products and services designed to increase the flow of technical information and technology into the world marketplace. To serve as a principal source for the public sale of U.S. Government-sponsored scientific, engineering and technical information products, related business information, research in progress information, machine-processed data files, computer software, and to serve the information dissemination needs of the Federal Government.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Provides an extensive inventory of over 3,000,000 information products, of which approximately 2,500,000 are under computerized inventory control. Customers may quickly locate summaries of interest using public vendor online systems, NTIS Catalogs, or by referring to NTIS' web site, www.ntis.gov. NTIS is a permanent archive of information on research conducted or sponsored by the U.S. government. With over 3,000,000 titles, NTIS is the nation's largest collection of scientific, technical, engineering and related business information produced by or for hundreds of government agencies and complementary materials from international sources. NTIS maintains an extensive, user-friendly website, www.ntis.gov in which individuals can browse, search and retrieve full text reports, downloading from the NTIS site or ordering from NTIS in a variety of formats. In addition, NTIS acts as a point of entry for key online services providing important business information, such as export regulations, research in progress and international news. See NTIS' Homeland Security Information Center website www.ntis.gov/hs. This is the place to go to get information products related to Homeland Security, especially in the areas of health and medicine, food and agriculture, biological and chemical warfare, preparedness and response, and safety training. NTIS is also the home of the National Audiovisual Center, www.ntis.gov/nac. The center offers more than 9,000 titles in a range of subjects as varied as the 200 agencies that produce them -- subjects like business, education and training, firefighting, health and safety, languages, law enforcement, personal enrichment, entertainment as well as training materials.

**Applicant Eligibility:**

Any United States and most foreign organizations or individuals are eligible to purchase NTIS products and services.

**Beneficiary Eligibility:**

Any United States and most foreign organizations or individuals.

**Credentials/Documentation:**

Payment options available for all products and services.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Write NTIS, 5285 Port Royal Road, Springfield, VA 22161, for information concerning products and services ask for NTIS PR-827.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

13-4295-0-3-376.

**Obligations:**

(NTIS Revolving Fund) FY 07 \$41,000,000; FY 08 est not available; and FY 09 est not reported. Normal operating costs are funded through the sale of NTIS products and services.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

NTIS has over 3,000,000 scientific, technical, and engineering reports permanently available for sale. Each report added to the collection is abstracted, catalogued, and indexed so that it can be identified and merged into the permanent bibliographic database for future generations of researchers and the public-at-large who may benefit from this valuable research and innovations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NTIS descriptive brochures, and product and service brochures are available on request.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Ellen Herbst(Director), 5285 Port Royal Road, Room 1014 Sills, Springfield, VA 22161. Telephone: (703) 605-6400. Sales Division: Telephone: 1-800-553-6847 or E-mail: info@ntis.gov (for Placing orders and for information on NTIS products and services).

**Web Site Address:**

http://www.ntis.gov.

**RELATED PROGRAMS:**

11.603, National Standard Reference Data System; 11.604, Standard Reference Materials; 11.900, Patent and Trademark Technical Information Dissemination; 39.009, Federal Citizen Information Center; 40.001, Depository Libraries for Government Publications; 40.002, Government Publications Sales and Distribution; 42.007, Reference Services in Science, Technology and Business; 43.002, Technology Transfer; 81.003, Granting of Patent Licenses.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**11.702 INTERNSHIP PROGRAM FOR POSTSECONDARY STUDENTS**

(Postsecondary Internship Program)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

5 U.S.C. 7201.

**OBJECTIVES:**

To provide college students interested in future Federal employment with experiential learning opportunities related to their academic studies. Students must be U.S. citizens enrolled in colleges or universities (to include graduate and law schools). The educational institution must be accredited by an organization recognized by the U.S. Department of Education. No employment relationship is created between the government and the student by virtue of participation in this program.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Selected institutions will perform the following functions: Outreach and recruitment, application process and referral, selection notification and follow up, logistics, including temporary housing and accommodations, orientation and communication, enrichment activities program, intern personnel and pay administration, intern supervision, intern monitoring, intern evaluation, program evaluation, and evaluation reporting. The number of available internships will vary depending upon the financial position of the potential host offices and bureaus. Student opportunities will be primarily located in the Washington,DC metropolitan area; however a limited number of opportunities may exist outside of the area.

**Applicant Eligibility:**

Accredited universities and colleges (2- year, 4-year, graduate and law schools) and nonprofit organizations are eligible to apply.

**Beneficiary Eligibility:**

Postsecondary educational students who wish to have experiential training at the



Department of Commerce. Students may be assigned to work in Federal agencies other than DOC.

**Credentials/Documentation:**

An applicant should propose an intern program design that represents a comprehensive approach to a work-study experience and its own philosophy about workforce preparedness. For the purposes of the proposal, plans and budgets should be presented separately for the summer and academic year sessions. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education and with Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A standard application package is required. This includes SF-424, SF-424A, SF-424B, CD-511, CD-346, SF-LLL (if applicable), Project Plans, and Budgets.

**Award Procedure:**

A notice of availability of funding will be published in the Federal Register and on Grants.gov website. Each responsive application will receive an independent, objective review by a panel qualified to evaluate the applications submitted. The final decision on awards will be based upon the numerical review panel ranking, availability of funding, and Selecting Official's determination of which proposals best meet the objectives of the program, specifically related to ensuring who will best reach the targeted audience of intern candidates.

**Deadlines:**

Contact the information contact for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants should be notified of approval or disapproval within 120 days from deadline date.

**Appeals:**

None.

**Renewals:**

If an application is selected for funding, DOC has no obligation to provide any additional future funding in connection with that award. Renewal of an award to increase funding or extend the period of performance is at the total discretion of DOC.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The award period for the internship project will be 3 years and three months. Funding will be provided annually at the discretion of the DOC and will depend upon satisfactory performance by the recipient and availability of funds for the DOC to continue funding the project.

**Reports:**

Department of Commerce Standard Terms and Conditions require performance and financial reports to be submitted semi-annually. Final reports will be due within 90 days of award expiration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations.

**Account Identification:**

13-0120-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,270,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$196,209 to \$513,550; \$288,898.

**PROGRAM ACCOMPLISHMENTS:**

In 2005, 110 students received internships. It is anticipated that a similar number of students will receive internships in fiscal years 2006 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 14.

**Regional or Local Office:**

Ms. Cynthia Brice, Office of Human Resources Management, Department of Commerce, Washington, DC 20230. Telephone: (202) 482-6402. Beverly Manley, Office of Acquisition Management and Financial Assistance, Department of Commerce, Washington, DC 20230. Telephone: (202) 482-1370.

**Headquarters Office:**

Office of Human Resources Management, Department of Commerce, Washington, DC 20230.

**Web Site Address:**

[http://www.ohrm.os.doc.gov/Career/PROD01\\_000871.html](http://www.ohrm.os.doc.gov/Career/PROD01_000871.html)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Project activities are designed to give college students an opportunity to gain experience in public service that will foster future employment in Federal government agencies or public service in general.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria will be used to evaluate applications: Quality of Program Plan, Proposed Costs, Key Personnel Qualifications, and Capabilities of the applicant Organization.

**11.800 MINORITY BUSINESS ENTERPRISE CENTERS**

(MBDC)

**FEDERAL AGENCY:**

MINORITY BUSINESS DEVELOPMENT AGENCY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Executive Order 11625, October 13, 1971; Department of Commerce and Related Agencies Appropriations Act, Public Law 105-277.

**OBJECTIVES:**

To provide electronic and one-on-one business development services for a nominal fee to minority firms and individuals interested in entering, expanding or improving their efforts in the marketplace. MBDA's funded Minority Business Enterprise Center operators provide a wide range of services to clients, from initial consultations to the identification and resolution of specific business problems.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Minority Business Development Agency (MBDA) competitively solicits and will fund in Fiscal Year 2007 twenty-six MBEC's to provide standardized business assistance services to rapid growth potential minority businesses directly; to develop a network of strategic partnerships; to charge client fees; and to provide strategic business consulting through one-on-one management and technical assistance in designated states and/or Metropolitan Statistical Areas (MSA) throughout the country. Recipients of MBDA's MBEC financial assistance awards provide clients with advice and counseling in such areas business assessment and strategic business consulting, access to capital and access to markets. These services may include preparing financial packages, business planning and counseling, business information and management assistance, accounting, marketing, business/industrial site analysis, production, engineering, construction assistance, procurement, and identification of potential business opportunities. MBDA does not have the authority nor does it make loans to minority businesses. Program funds in this category are restricted to providing management and technical assistance.

**Applicant Eligibility:**

There are no eligibility restrictions for this program. Applicants eligible to operate a MBDC may include individuals, nonprofit organizations, for-profit firms, local and State governments, Native American Tribes, and educational institutions.

**Beneficiary Eligibility:**

Recipient operators are to provide electronic and one-on-one business assistance to rapid growth potential minority-owned businesses. Eligible beneficiaries of this program have been designated as African American, Native American, Aleut, Asian Indian, Asian Pacific American, Eskimo, Hasidic Jew, Puerto Rican, and Spanish-Speaking Americans.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for awards to State, local and Federally Recognized Indian Tribal Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for other recipients; and 15 CFR Part 24 contains administrative requirements for States, local and Federally Recognized Indian Tribal Governments. All other recipients are subject to the administrative requirements contained in OMB Circular No. A-110.

**Preapplication Coordination:**

Pre-application and post award conferences will be scheduled for most MBDA projects. These conferences will be announced in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by 15 CFR Part 24 must be used for this program. This program is subject to the provisions of 15 CFR Part 14.

**Award Procedure:**

The Federal Register and Grants.gov will advise the applicant where to submit the application. Each application will be reviewed and evaluated by MBDA. Name checks, verification of academic credentials and post-award audits may be required from applicants.

**Deadlines:**

Deadlines for formal competitive awards are outlined in the Federal Register, Grants.gov, and as detailed in the Federal Funding Opportunity Announcement.

**Range of Approval/Disapproval Time:**

From four to six months. Unsuccessful applicants shall be notified in writing within ten days of notification to the successful applicant.

**Appeals:**

All decisions are final. There is no administrative appeal process.

**Renewals:**

MBEC awards are typically made for a period of three years with funding provided on an annual basis at the discretion of MBDA and the Department of Commerce. Performance evaluations will be conducted and funding levels will be established for each of the budget periods. The MBEC will receive continued funding after the initial competitive year at the discretion of MBDA based upon the availability of funds, the MBEC's performance, and agency priorities. The current funding cycle (2004 - 2006) will terminate December 31, 2006. The next formal competition is tentatively scheduled for the Summer of 2006 with new awards beginning in January 2007.

**Formula and Matching Requirements:**

This program has no statutory formula. In most program areas, MBDA has established minimum requirements for matching or cost sharing by the recipient. New awards are generally required to provide a minimum 15 percent cost sharing through in-kind contributions and cash, including client service fees. MBDA reserves the right to decide on a case-by-case basis whether a nonfederal contribution is required in other program areas so as to successfully implement the program.

**Length and Time Phasing of Assistance:**

Awards may be granted for one to three years.

**Reports:**

Financial (quarterly and annually); program narrative reports (semi-annual and annual); statistical reports on each client are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Documents, papers, and financial records relating to the MBEC are required to remain available to the Federal Government for 3 years from the date of submission of the final financial status report. All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be maintained by the terms of the agreement. The grantee must retain records for 3 years after completion of the project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**Account Identification:**

13-0201-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 07 \$8,400,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$155,000 to \$400,375.

**PROGRAM ACCOMPLISHMENTS:**

MBDA estimates in calendar years 2006 and 2007, the MBEC program will assist 4,254 clients and achieve a minimum of \$614,269,965 in combined financings and contracts respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no applicable regulations in the Code of Federal Regulations (CFR).

**Regional or Local Office:**

Contact the nearest Minority Business Development Agency Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Business Development, Minority Business Development Agency, Department of Commerce, 14th and Constitution Avenue, NW., Washington, DC 20230. Telephone: (202) 482-1940. Use the same number for FTS.

**Web Site Address:**

<http://www.mbda.gov>.

**RELATED PROGRAMS:**

11.303, Economic Development Technical Assistance; 11.801, Native American Business Enterprise Centers; 11.803, Minority Business Opportunity Center (MBOC); 15.850, Indian Arts and Crafts Development; 39.001, Business Services; 59.005, Internet-Based Technical Assistance; 59.006, 8(a) Business Development Program; 59.007, 7(j) Technical Assistance; 59.009, Procurement Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive awards for the MBDC program are made based on a panel evaluation of the applications submitted. This evaluation includes such factors as capability and experience of staff assigned to the project, techniques, methodology, resources and costs. MBDA publishes notices in the Federal Register, Grants.gov website and the MBDA website when seeking applications for this program. Competitive applications are normally sought every three years, upon the availability of funds and depending on the Agency's priorities.

**11.801 NATIVE AMERICAN BUSINESS ENTERPRISE CENTERS**

(NABEC)

**FEDERAL AGENCY:**

MINORITY BUSINESS DEVELOPMENT AGENCY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Executive Order 11625, October 13, 1971; Department of Commerce and Related Agencies Appropriations Act, Public Law 105-277.

**OBJECTIVES:**

To provide electronic and one-on-one business development service to Native Americans interested in entering, expanding or improving their efforts in the marketplace. MBDA's Native American Business Enterprise Center operators provide a wide range of services to clients, from initial consultations to the identification and resolution of specific business problems.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Minority Business Development Agency (MBDA) competitively selects and will fund in Fiscal Year 2007 approximately eight Native American Business Enterprise Centers (NABDC's) to deploy standardized business assistance services to the Native American business public directly, develop a network of strategic partnerships and provide strategic business consulting within the geographic services area. Recipients of MBDA's NABEC financial assistance awards provide clients with advice and counseling in such areas as business assessment and strategic business consulting, access to capital and access to markets. These services may include preparing financial packages, business counseling, business information and management, accounting guidance, marketing, business/industrial site analysis, production, engineering, construction assistance, procurement and identification of potential business opportunities. MBDA does not have the authority nor does it make loans to Native American firms. Program funds are restricted to providing management and technical assistance.

**Applicant Eligibility:**

There are no eligibility restrictions for this program. Applicants eligible to operate a NABEC may include individuals, nonprofit organizations, for-profit firms, local and State governments, Native American Tribes, and educational institutions.

**Beneficiary Eligibility:**

Native Americans and minorities will benefit. Award recipients must provide assistance to Native Americans and minorities interested in starting, expanding, or maintaining a business. Assistance emphasis is on Native Americans.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for awards to States, local governments and Federally Recognized Indian Tribal Governments. OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 will be used for other recipients. Administrative requirements for States, local governments and Federally Recognized Indian Tribal Governments are contained in 15 CFR, Part 24. All other recipients are subject to the administrative requirements contained in 15 CFR Part 14.

**Preapplication Coordination:**

Preapplication and post award conferences may be scheduled for NABEC projects. The conferences will be announced in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by 15 CFR Part 24 must be used for this program. This program is subject to the provisions of 15 CFR Part 14.

**Award Procedure:**

The Federal Register and Grants.gov will advise the applicant where to submit the application. Each application will be reviewed and evaluated by MBDA. Name checks, verification of academic credentials and pre-award audits may be required from applicants.

**Deadlines:**

Deadlines for formal competitive awards are outlined in the Federal Register, Grants.gov and as detailed in the Federal Funding Opportunity Announcement.

**Range of Approval/Disapproval Time:**

From 4 to 6 months. Unsuccessful applicants shall be notified in writing within 10 days of notification to the successful applicant.

**Appeals:**

All decisions are final. There is no administrative appeal process.

**Renewals:**

NABEC awards are typically made for a period of 3 years with funding provided on an annual basis at the discretion of MBDA and the Department of Commerce. Performance evaluations will be conducted, and funding levels will be established for each of three budget periods. The NABEC recipient will receive continued funding after the initial competitive year at the discretion of MBDA based upon the availability of funds, the NABDC's performance, and agency priorities. The current cycle (2004 - 2006) of projects will terminate on December 31, 2006. The next formal competition is tentatively scheduled for the Summer of 2006 with new awards beginning in January 2007.

**Formula and Matching Requirements:**

This program has no statutory formula. The Native American Program currently does not require any matching or cost-sharing by the recipient.

**Length and Time Phasing of Assistance:**

Awards may be granted for 1 to 3 years.

**Reports:**

Financial (quarterly and annually); program narrative reports (semi-annual and annual); statistical reports on each client are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Documents, papers and financial records relating to the NABEC are required to remain available to the Federal Government for 3 years from the date of submission of the final financial status report. All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be maintained by the terms of the agreement. The grantee must retain records for 3 years after completion of the project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**Account Identification:**

13-0201-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,591,500; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$155,500 to \$287,500.

**PROGRAM ACCOMPLISHMENTS:**

In calendar year 2005, MBDA funded Native American Business Enterprise Centers in eight locations throughout the United States to provide management and technical assistance to minority and Native American Business Enterprise Center clients. A total of 742 clients were assisted and obtained \$315,375,112 in combined financings and contracts. In 2006 and 2007, we estimate that the NABECs will assist 1229 clients and obtain \$117,776,442 in combined financings and contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no applicable regulations in the Code of Federal Regulations.

**Regional or Local Office:**

Contact the nearest Minority Business Development Agency Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Business Development, Minority Business Development Agency, Department of Commerce, 14th and Constitution Avenue, N.W., Washington, DC 20230. Telephone: (202) 482-1940. Use the same number for FTS.

**Web Site Address:**

<http://www.mbda.gov>.

**RELATED PROGRAMS:**

11.303, Economic Development Technical Assistance; 11.800, Minority Business Enterprise Centers; 11.803, Minority Business Opportunity Center (MBOC); 15.850, Indian Arts and Crafts Development; 39.001, Business Services; 59.005, Internet-Based Technical Assistance; 59.006, 8(a) Business Development Program; 59.007, 7(j) Technical Assistance; 59.009, Procurement Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 2004, an organization was awarded \$235,000 in federal funds to operate a NABDC. It delivered one-to-one management and technical assistance to eligible minority and Native American business clients to develop business plans and promote the development and operation of businesses. NABDC program funding is not designed for the financing of individual businesses.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive awards for the NABDC are made based upon a panel evaluation of the applications submitted. This evaluation includes such factors as capability and experience of staff assigned to the project, techniques, methodology,

resources and costs. MBDA publishes notices in the Federal Register, Grants.Gov website and the MBDA website when seeking applications for this program. Competitive applications are normally sought every three years, upon the availability of funds and depending on the Agency's priorities.

**11.803 MINORITY BUSINESS OPPORTUNITY CENTER (MBOC)****FEDERAL AGENCY:**

MINORITY BUSINESS DEVELOPMENT AGENCY, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

Department of Commerce and Related Agencies Appropriations Act, Executive Order 11625, Public Law 105-277.

**OBJECTIVES:**

To promote access to key decision makers in the public and private sectors, facilitate the brokering of contracts and financial transactions, and identify and coordinate local business resources to benefit minority business entrepreneurs. Facilitate business opportunities for minority businesses through the utilization of public and private sector organizations that provide minority business owners/individuals with enhanced access to the marketplace by identifying and brokering procurement and contract awards, marketing and sales opportunities, financing transactions and potential joint ventures or merger and acquisitions; by promoting relationship building and sharing of business information between organizations in a geographic service area; by conducting media outreach, by disseminating economic data, by sponsoring workshops, conferences and seminars within service area; and by maintaining inventories of resources such as bid opportunities, sources of debt and equity funds, business ownership possibilities such as franchises, and prospective joint venture partners.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds will be used in support of the MBDA policy statement on funding business development programs. Minority Business Development Agency (MBDA) is charged under Executive Order 11625 with fostering new minority business enterprises and maintaining and strengthening existing firms to increase their opportunities to participate and receive the benefits of our economic system. MBDA uses a portion of its program funds to award contracts, grants, and cooperative agreements to public and private sector entities which have the greatest potential for developing access to capital, market, and other opportunities on behalf of minority business. The performance of each funded recipient is evaluated on a scheduled basis. Renewals are based on Agency priorities, funding availability, and performance of recipients.

**Applicant Eligibility:**

Applicants for this program are Federal, State or local government entities or quasi governmental entities, American Indian Tribes, colleges, universities, nonprofit organizations, and for project organizations.

**Beneficiary Eligibility:**

Client/Beneficiaries of this program are minority business persons/firms. Eligible client/ beneficiaries of this program have been designated as African American, Native American, Aleut, Asian Indian, Asian Pacific American, Eskimo, Hasidic Jew, Puerto Rican, and Spanish-Speaking Americans.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for awards to State, local and Federally Recognized Indian Tribal Governments; A-21, Cost Principles For Educational Institutions; and A-122 for other recipients. Administrative requirements are found in 15 CFR Part 24 for State and Local governments and Indian tribes and all others are at 15 CFR Part 14.

**Preapplication Coordination:**

A pre-application conference may be scheduled for recipients of these awards. Conferences will be announced in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the Department of Commerce must be used for this program. Recipients are subject to the administrative requirements contained in 15 CFR Part 14 or 15 CFR Part 24.

**Award Procedure:**

The application package will advise the applicant where pre-award audits may be required from applicants.

**Deadlines:**

Deadlines for formal competitive awards are outlined in the Federal Register, Grants.gov and as detailed in the Federal Funding Opportunity Announcement.

**Range of Approval/Disapproval Time:**

From approximately four to six months after closing date for submission of applications. Successful and unsuccessful applicants shall be notified in writing at the same time.

**Appeals:**

All decisions are final. There are no administrative appeals.

**Renewals:**

Minority Business Opportunity Center (MBOC) awards may be made for a



period of two years with funding provided on an annual basis at the sole discretion of MBDA and the Department of Commerce. Performance evaluations will be conducted, and funding levels will be established for each of the three budget periods. The MBOC will receive continued funding after the initial competitive year at the discretion of MBDA based upon the availability of funds, the MBOC's performance, and agency priorities.

**Formula and Matching Requirements:**

Projects may be required to provide up to 50 percent minimum amount of cost-sharing in the form of in-kind contributions and/or cash.

**Length and Time Phasing of Assistance:**

For one to two years depending on the requirements of the projects.

**Reports:**

Financial (quarterly and annually), narrative (semi annually); and, statistical reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Documents, papers and financial records of grantees or subrecipients relating to the MBOC program are required to remain available to the Federal Government for three years from the date of submission of the final financial status report in accordance with the applicable administrative requirements.

**Account Identification:**

13-0201-0-1-376.

**Obligations:**

FY 07 \$1,655,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$150,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that in FY 2006 and FY 2007, the MBOC program will generate \$562 million in combined financings and contracts. In 2006, the MBOC program was redesigned to include goals for Clients and Jobs Created as well as Number of Contracts and Financial Transactions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no applicable program-specific regulations in the Code of Federal Regulations (CFR) for this program.

**Regional or Local Office:**

Contact the nearest Minority Business Development Agency Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Business Development, Minority Business Development Agency, Department of Commerce, 14th and Constitution Avenue, N.W., Washington, DC 20230. Telephone: (202) 482-1940. Use the same number for FTS.

**Web Site Address:**

<http://www.mbda.gov>.

**RELATED PROGRAMS:**

11.303, Economic Development Technical Assistance; 11.800, Minority Business Enterprise Centers; 11.801, Native American Business Enterprise Centers; 15.850, Indian Arts and Crafts Development; 39.001, Business Services; 59.005, Internet-Based Technical Assistance; 59.006, 8(a) Business Development Program; 59.009, Procurement Assistance to Small Businesses.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive awards for the MBOC program are made based on a panel evaluation of the applications. This evaluation includes such factors as capability and experience of staff assigned to the project; techniques and methodology, creativity and innovation, resources and costs. MBDA publishes notices in the Federal Register, Grants.Gov, and the MBDA website when seeking applications for this program. Competitive proposals are normally sought every three years, upon availability of funds, and depending on the Agency's priorities.

## 11.900 PATENT AND TRADEMARK TECHNICAL INFORMATION DISSEMINATION

**FEDERAL AGENCY:**

PATENT AND TRADEMARK OFFICE, DEPARTMENT OF COMMERCE

**AUTHORIZATION:**

35 U.S.C. 1-42.

**OBJECTIVES:**

To promote the continued growth of American technology and commerce through the utilization and dissemination of technical information available through patents and trademarks, and maintenance of public search centers containing patents and trademarks.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The Patent and Trademark Office examines patent applications to determine the patentability of an invention and grants patents when requirements of law are met. It publishes and disseminates information, mainly through its Internet Web site ([www.uspto.gov](http://www.uspto.gov)), which contains the texts and images of over 7,000,000 patents (full-text since 1976, full-page images since 1790) and over three million registered, pending, and abandoned trademarks dating back to 1870. The Patent and Trademark Office also sells copies of patents for \$3.00 each, and maintains on site Public Search Facilities where Patent and Trademark information may be searched and copied. Access is open to all adults who obtain a free User ID, issued only in the Patent Search Room. The Patent Search Room is located at 600 Dulany Street (Madison East), Lobby Level, and is open from 8:00 a.m. to 8:00 p.m. weekdays. The Trademark paper facility is located at 2900 Crystal Drive (South Tower Building), Room 2B30 and is open from 8:00 a.m. to 5:00 p.m. weekdays. Patent and Trademark information is available in these locations in a variety of formats including online and optical disk automated search systems, microfilm, print documents and publications. Access is free, print and photocopies have a \$.25 per page, \$.50 for color fee. Customers nationwide are also served through PTO's national network of 84 Patent and Trademark Depository Libraries (PTDLs). PTDLs offer a variety of information resources and services and are staffed by information professionals trained by the PTO. Additional information on the Public Search Facilities and the PTDLs may be found on the USPTO Web site. There are approximately 7,400,000 U.S. patents issued to date. These documents are arranged by subject classes and subclasses for searching. The Patent Search Room is open from 8 a.m. to 8 p.m. weekdays and may be used by anyone at no charge. The device, discovery or process described in a patent cannot be manufactured, used or sold except by the inventor or assignee for 20 years after the date of patent filing, after which it enters the public domain. However, technical information contained in a patent can be used in many other ways.

**Applicant Eligibility:**

Anyone is eligible.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

13-1006-0-1-376.

**Obligations:**

(Direct obligations) FY 07 \$1,842,966,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The PTO's information dissemination program provides patent and trademark information via a diverse line of products and services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"General Information Concerning Patents," and "Basic Facts About Registering a Trademark" are available at no cost.

**Regional or Local Office:**

Department of Commerce field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

General Information Services, (1-800) 786-9199 or (703) 308-4357 or [usptoinfo@uspto.gov](mailto:usptoinfo@uspto.gov). Mailing Address: Patent and Trademark Office, Mailstop USPTO Contact Center PO Box 1450, Alexandria VA 22313-1450.

**Web Site Address:**

<http://www.uspto.gov> .

**RELATED PROGRAMS:**

11.650, National Technical Information Service; 42.002, Copyright Service;  
81.003, Granting of Patent Licenses.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

# DEPARTMENT OF DEFENSE

## 12.002 PROCUREMENT TECHNICAL ASSISTANCE FOR BUSINESS FIRMS

(Procurement Technical Assistance (PTA) Cooperative Agreement Program)

### FEDERAL AGENCY:

DEFENSE LOGISTICS AGENCY, DEPARTMENT OF DEFENSE

### AUTHORIZATION:

Public Law 98-525, as amended, Title 10, Chapter 142, as amended, Section 2411.

### OBJECTIVES:

To increase assistance by the DoD for eligible entities furnishing PTA to business entities, and to assist eligible entities in the payment of the costs of establishing and carrying out new PTA Programs and maintaining existing PTA Programs.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

The purpose of the PTA Cooperative Agreement Program is to generate employment and to improve the general economy of a locality by assisting business firms in obtaining and performing under Federal, State and local government contracts. Recipients are to provide marketing and technical assistance to business firms in selling their goods and services to the Department of Defense (DoD), other Federal agencies, and State and local governments. The DoD cost-share will not exceed 50 percent of the net cost of a single PTA Program, excluding any Federal funds and other income. The DoD share may be increased up to 75 percent for an existing program or new start program that qualifies solely as servicing a distressed area. In no event, shall the DoD share of the net program cost exceed \$150,000 for a program providing less than statewide coverage, or \$300,000 in the case of a statewide program or a program providing multi-area coverage (Indian Program).

### Applicant Eligibility:

Existing or new start PTA Programs established by State and local governments, private nonprofit organizations, American Indian tribal organizations, and American Indian economic enterprises (nonprofit and for-profit).

### Beneficiary Eligibility:

Existing or new start PTA Programs established by State and local governments, private nonprofit organizations, American Indian tribal organizations, and American Indian economic enterprises (nonprofit and for-profit).

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-21, "Cost Principles for Educational Institutions," and OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations."

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

This program is subject to the provisions of OMB Circular Nos. A-102 and A-110.

### Award Procedure:

All State and local governments, eligible private nonprofit organizations, American Indian tribal organizations and American Indian economic enterprises (nonprofit and for-profit), including those which have cooperative agreements with the Defense Logistics Agency (DLA), can submit applications for participation in the DoD cost-sharing cooperative agreement program in accordance with the Solicitation for Cooperative Agreement Applications (SCAA). If selected for an award, the applicant is bound to perform the services described in its application, when the application is incorporated into the cooperative agreement award document. Cooperative agreements will be awarded on a competitive basis consistent with the SCAA.

### Deadlines:

Please contact the program contact listed in the Information Contacts or Headquarters Office section below.

### Range of Approval/Disapproval Time:

From 120 to 160 calendar days after the solicitation closes.

### Appeals:

A written objection "protest," by an interested party to SCAA may be made, concerning a proposed award of a cooperative agreement or the award of an agreement. The protest is filed with the applicable Grants Officer. The subsequent decision of the Grants Officer shall be final unless the recipient appeals the decision to the Headquarters, DLA PTA Cooperative Agreement Program Policy Committee. The Policy Committee is the final administrative appeal authority for disputes and protests.

### Renewals:

Cooperative agreements will be awarded for a base year (FY 96), or a base year with one option period (FY 96 through FY 97), or a base year with two option periods (FY 96 through FY 98) of twelve months each. Awards are based on competitive evaluation of the applications submitted in response to the SCAA.

### Formula and Matching Requirements:

Public Law 98-525, as amended; Chapter 142, 10 U.S.C., Section 2411, Procurement Technical Assistance Program, requires the use of annual DoD appropriations. The DoD share shall not exceed 50 percent of the net program cost of a single PTA Program, excluding any Federal funds and other income. The DoD share may be increased up to 75 percent for an existing or a new start program that qualifies solely as a distressed area. In no event shall the DoD share of the net program cost exceed \$150,000 for programs providing less than statewide (general program) or multi-area coverage (Indian program), or \$300,000 in the case of those programs providing statewide or providing multi-area coverage.

### Length and Time Phasing of Assistance:

Twelve months from the beginning of the performance period. Recipients may submit requests for reimbursement of the Government's share of total costs incurred to the Administrative Grants/Contract Officer at the appropriate post award administration activity on a periodic basis, but not more often than monthly. Recipients are required to furnish a final reimbursement request for services rendered within 90 days after the expiration date of the cooperative agreement.

### Reports:

Recipients are required to submit quarterly reports (DLA Form 1806) not later than 30 calendar days after the end of each quarter to the Administrative Grants Officer at the cognizant post award administration activity. Reports are to include, as a minimum, the following information: Budgeted versus actual expenditures; goals versus performance against goals; problems encountered in implementing the program; and problems encountered by clients in the performance of government contracts which cannot be resolved by the recipient. A final report using the same format as the quarterly report is to be prepared and submitted not later than 90 days after the expiration date of the cooperative agreement.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Recipients are required to maintain records adequate to reflect the nature and extent of their costs and expenditures and to insure that the required cost of participation is achieved. Records must be maintained for 3 years following the date of submittal of a final reimbursement request for services rendered.

### Account Identification:

97-0100-0-1-051.

### Obligations:

(Cooperative Agreements) FY 07 est not available; FY 08 est not reported; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$30,000 to \$300,000. Average: \$160,185.

### PROGRAM ACCOMPLISHMENTS:

For fiscal year 2002, it is anticipated that approximately 115 applications will be received and 66 agreements will be awarded.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations, Guidelines, and Literature: Title 10, U.S.C., Chapter 142, as amended, "Procurement Technical Assistance Cooperative Agreement Program;" DLA Regulation 9040.2, "Cooperative Agreement Program;" and Cooperative Agreement Revised Procedures published in the Federal Register March 5, 1996.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Defense Logistics Agency, Office of Small and Disadvantaged Business Utilization (DDAS), 8725 John J. Kingman Road, Suite 2533, Fort Belvoir, VA 22060-6221. Telephone (703) 767-1650. FTS is not available.

### Web Site Address:

<http://www.d/a.mil/ddas>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None available at this time.

### CRITERIA FOR SELECTING PROPOSALS:

Applications are competitively evaluated and awarded. They are evaluated on the likelihood of achieving the stated program objectives, considering past



performance (existing programs), Management, technical, qualifications, services area (geographic and demographic), and cost realism. In the event that insufficient funds are available to award all applicants that meet the minimum requirements of the SCAA, only those applicants found to be the most meritorious will be funded for an award.

## 12.100 AQUATIC PLANT CONTROL

### FEDERAL AGENCY:

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY,  
DEPARTMENT OF DEFENSE

### AUTHORIZATION:

River and Harbor Act of 1958, as amended, Section 104.

### OBJECTIVES:

To provide for the cooperation of the Army Corps of Engineers with State and local government agencies in the control of obnoxious aquatic plants in rivers, harbors, and allied waters.

### TYPES OF ASSISTANCE:

Provision of Specialized Services; Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

To supply Federal assistance for the control and eradication of obnoxious aquatic plants in rivers, harbors and allied waters. Nonfederal interests must agree to hold the government of the United States free from damages and to finance 50 percent of the costs of control operations. The program is designed to deal primarily with weed infestations of major economic significance including such weeds as water hyacinth, alligatorweed, hydrilla, elodea, and watermilfoil.

### Applicant Eligibility:

States and their political subdivisions or instrumentalities.

### Beneficiary Eligibility:

States and their political subdivisions or instrumentalities.

### Credentials/Documentation:

Letters of intent from applicants to cost-share, as required by law, for control operations. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### Preapplication Coordination:

Cooperative action of local, State, Federal and other interests in support of the project. This program requires development of environmental documents to comply with the National Environmental Policy Act (Public Law 91-190). This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

A letter to the District Engineer at the nearest U.S. Army Corps of Engineers District Office, requesting a reconnaissance study of the problem.

### Award Procedure:

Preparation, approval and budget of a plan for control of problem aquatic plants.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

From 6 to 18 months.

### Appeals:

There are no appeals procedures as such. The reasons for refusal will be fully stated. If reconsideration is desired, the applicant should make the changes as appropriate to the situation.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Fifty percent of the cost of developing a plan for control and fifty percent of the cost of control operations must be obtained from local and State resources.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

Audit Office. This program is subject to the requirements of OMB Circular No. A-133.

### Records:

District Engineer.

### Account Identification:

96-3125-0-1-301.

### Obligations:

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Not reported.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Engineer Regulation 1130- 2-412 (33 U.S.C. 273) and information about the

program are available from the District Engineer.

### Regional or Local Office:

Persons are encouraged to communicate with the office of the nearest U.S. Army District Engineer listed in Appendix IV of the Catalog.

### Headquarters Office:

Commander, U.S. Army Corps of Engineers, Attn: CECW-ON, Washington, DC 20314-1000. Telephone: (202) 272-0247. FTS is not available.

### Web Site Address:

<http://www.usace.army.mil/business.html>.

### RELATED PROGRAMS:

10.025, Plant and Animal Disease, Pest Control, and Animal Care.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 12.101 BEACH EROSION CONTROL PROJECTS

(Small Beach Erosion Control Projects)

### FEDERAL AGENCY:

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF ARMY,  
DEPARTMENT OF DEFENSE

### AUTHORIZATION:

River and Harbor Act of 1962, Section 103, as amended, Public Law 87-874, 33 U.S.C. 426g.

### OBJECTIVES:

To control beach and shore erosion to public shores through projects not specifically authorized by Congress.

### TYPES OF ASSISTANCE:

Provision of Specialized Services.

### USES AND USE RESTRICTIONS:

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself, and economically justified. The nonfederal sponsoring agency must agree to: (1) Share equally in cash and in-kind services for feasibility studies; (2) share in the cost of the project, including a cash contribution, providing the necessary lands, easements, right-of-way, and relocations required for the project; (3) assume full responsibility for all project costs in excess of the Federal cost limit of \$2,000,000; (4) hold and save the United States free from damages; (5) assure that water pollution that would affect the health of bathers will not be permitted; (6) assure continued public ownership or public use of the beach, and its administration for public use; (7) provide project maintenance; and (8) provide and maintain necessary access roads, parking areas and other public use facilities open and available to all on equal terms.

### Applicant Eligibility:

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

### Beneficiary Eligibility:

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

### Credentials/Documentation:

Applicants must furnish evidence of legal authorization, financial capability, and willingness to provide all necessary local participation and required cooperation.

### Preapplication Coordination:

State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental impact statement is also required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

### Award Procedure:

The Division Engineer approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer. Advertising and award are subject to availability of funds from the Chief of Engineers.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Project planning studies are undertaken in a single feasibility phase. The first \$100,000 is federally funded. Additional study costs are shared 50/50 with local sponsor. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for beach erosion control projects specifically authorized by Congress under regular authorization procedures, but Federal participation cannot exceed \$2,000,000, the determination of local costs is based on the public use and ownership of the beach protected.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:**

Not applicable.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of District Engineers.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-PM Washington, DC 20314-1000. Telephone: (202) 761-1975. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>

**RELATED PROGRAMS:**

12.102, Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.102 EMERGENCY REHABILITATION OF FLOOD CONTROL WORKS OR FEDERALLY AUTHORIZED COASTAL PROTECTION WORKS

(Public Law 84-99, Code 300 Program)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1941, as amended, Public Law 77-228; Public Laws 84-99, 87-874, 93-251, 95-51, 99-662, 100-45, and 101-640, 33 U.S.C. 701n.

**OBJECTIVES:**

To assist in the repair and restoration of flood control works damaged by flood, or federally authorized hurricane flood and shore protection works damaged by extraordinary wind, wave, or water action.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Authorized assistance includes emergency repair or rehabilitation of flood control works damaged by flood, and restoration of federally authorized coastal protection structures damaged by extraordinary wind, wave, or water action. Assistance does not extend to major improvements of flood control or federally authorized coastal protection structures, nor to reimbursement of individuals or communities for funds expended in repair or rehabilitation efforts.

**Applicant Eligibility:**

Owners of damaged flood protective works, or State and local officials of public entities responsible for their maintenance, repair, and operation must meet current guidelines to become eligible for Public Law 84-99 assistance: 1. Engineering and maintenance criteria (inspection required); 2. cost-sharing (80 percent Federal and 20 percent nonfederal); and 3. public sponsorship nonfederal (items a through c pertain to nonfederal flood control projects).

**Beneficiary Eligibility:**

All persons living in areas protected by eligible flood control or coastal protection works are potential beneficiaries of the program.

**Credentials/Documentation:**

For public entities, copy of resolution or other proceeding constituting official request for assistance. For private owners, public sponsorship is required.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Written application by letter or by form request if such form is locally used by the District Engineer of the Corps of Engineers.

**Award Procedure:**

Formal notice of approval and/or disapproval will be furnished applicant by the District Engineer of the Corps of Engineers.

**Deadlines:**

Thirty days after a flood or unusual coastal storm.

**Range of Approval/Disapproval Time:**

Normally within 30 to 45 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Nonfederal flood control projects: 1. Maintain an acceptable maintenance rating; 2. Provide 20 percent cost-share of construction cost either by monetary value or in-kind services; and, 3. Obtain public sponsorship by a public entity, also local interests are normally required to: (a) provide without cost to the United States all lands, easements, and rights-of-way necessary for the authorized work; (b) hold and save the United States free from damages due to the authorized work; and, (c) maintain and operate, in a manner satisfactory to the Chief of Engineers, all the protective works after completion of repairs. Additionally, work constituting deferred regular maintenance and desired major modifications, if included, will be at local cost.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None. However, Corps district will periodically inspect completed projects to insure that operation and maintenance activities are being accomplished in a manner satisfactory to the Chief of Engineers.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-3125-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Midwest flood of 1993 resulted in over 200 rehabilitations of individual projects to date. This is the latest available data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 500- 1-1, pamphlets, and statements are issued by District Engineer Offices and the Headquarters, U.S. Army Corps of Engineers. They are available on request without charge.

**Regional or Local Office:**

U.S. Army Corps of Engineers Division or District Engineers listed in Appendix IV of the Catalog.

**Headquarters Office:**

Commander, U.S. Army Corps of Engineers, Attn: CECW-OE, Washington, DC 20314. Telephone: (202) 272-0251. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>

**RELATED PROGRAMS:**

12.101, Beach Erosion Control Projects; 12.103, Emergency Operations Flood Response and Post Flood Response; 12.105, Protection of Essential Highways, Highway Bridge Approaches, and Public Works; 12.108, Snagging and Clearing for Flood Control; 12.111, Emergency Advance Measures for Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.103 EMERGENCY OPERATIONS FLOOD RESPONSE AND POST FLOOD RESPONSE

(Public Law 84-99 Code 200 Program)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1941, Public Law 77-228, as amended; Public Laws 84-99,

87-874, 93-251, 95-51, 99-662, 100-45, and 101-640, 33 U.S.C. 701n.

**OBJECTIVES:**

To provide emergency flood response and post flood response assistance as required to supplement State and local efforts and capabilities in time of flood or coastal storm.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Emergency assistance is provided in all phases of flood response and post flood response to supplement State and local efforts. State and local governments must use their own resources to the maximum extent feasible, usually including the furnishing of common labor. No specific restrictions are placed on such assistance.

**Applicant Eligibility:**

State or local public agencies for flood response and the State for post flood response.

**Beneficiary Eligibility:**

All persons living in areas subject to floods, and in eligible areas, are potential beneficiaries.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Flood response is provided upon oral or written request by responsible State or local authorities, followed by a written request from the Governor. Post flood response will be provided upon written request by the Governor.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies by situation of request from hours to days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Local cooperation is required to provide necessary lands, easements, and right-of-way; hold and save the Federal Government free from damages due to the authorized work; and, maintain permanent works in a satisfactory manner.

**Length and Time Phasing of Assistance:**

Flood fight response will normally continue until flood waters recede below bank full and recovery operations commence. Post flood response activities are limited to 10 days following receipt of the Governor's request. All temporary preventive and protective measures constructed by the Corps of Engineers must be removed by local interests.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-3125-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Corps conducts 50 to 250 flood emergency operations annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 500- 1-1 pamphlets and statements are issued by the District Engineer's Office and Headquarters, U.S. Army Corps of Engineers. They are available on request without charge.

**Regional or Local Office:**

U.S. Army Corps of Engineers or District Engineers listed in Appendix IV of the Catalog.

**Headquarters Office:**

Commander, U.S. Army Corps of Engineers, Attn: CECW-OE, Washington, DC 20314-1000. Telephone: (202) 272-0251. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.102, Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.104, Flood Plain Management Services; 12.105, Protection of Essential Highways, Highway Bridge Approaches, and Public Works; 12.111, Emergency Advance Measures for Flood Prevention.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**12.104 FLOOD PLAIN MANAGEMENT SERVICES**

(FPMS)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1960, as amended, Section 206, Public Law 86-645, 33 U.S.C. 709a.

**OBJECTIVES:**

To promote appropriate recognition of flood hazards in land and water use planning and development through the provision of flood and flood plain related data, technical services, and guidance.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Available information identifies areas subject to flooding and flood losses from streams, lakes, and oceans and describes flood hazard at proposed building sites. It can be used as a basis for planning flood plain use, for flood emergency preparedness planning, for hurricane evacuation and preparedness planning, for assistance in developing flood plain regulations, for setting elevations for flood proofing, and implementing flood proofing measures, and for indicating areas to be acquired for open space. Activities also include interpretation of technical information and related planning assistance and guidance toward prudent use of flood plains. Services are available to States and local governments without charge, but within annual funding limitations on request. Services are available to Federal agencies on a fully reimbursable basis. Services are available to the private sector on a pay first basis.

**Applicant Eligibility:**

States, political subdivisions of States, other nonfederal public organizations and the public.

**Beneficiary Eligibility:**

States, political subdivisions of States, other nonfederal public organizations and the public.

**Credentials/Documentation:**

The request must come from an official of a nonfederal public agency.

**Preapplication Coordination:**

Although not required, discussion of problems and needs with District Engineer's Flood Plain Management Service representative would facilitate request. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Requests are generally made in the form of a letter to the District Engineer which documents the need for assistance.

**Award Procedure:**

Response time and approval time may be the same for information readily available. Services and information are provided directly to the applicant except for some special study reports which are coordinated through the designated State agency.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From three to 30 days from receipt of request. Approval does not assure an immediate start. Each request takes its place among others and is responded to as capability permits.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

These services are provided to State and local governments at full Federal expense. Federal agencies and the private sector must pay for services.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-3121-0-1-301.

**Obligations:**



(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-100, Section V, Flood Plain Management Services Program.

**Regional or Local Office:**

Persons are encouraged to communicate with the District Engineer of the nearest U.S. Army Engineer District listed in Appendix IV of the Catalog.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-PF, Washington, DC 20314-1000. Telephone: (202) 761-0169. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

10.904, Watershed Protection and Flood Prevention; 12.103, Emergency Operations Flood Response and Post Flood Response; 12.106, Flood Control Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.105 PROTECTION OF ESSENTIAL HIGHWAYS, HIGHWAY BRIDGE APPROACHES, AND PUBLIC WORKS

(Emergency Bank Protection)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1946, Section 14, Public Law 79-526, 33 U.S.C. 701r, as amended; Public Laws 93-251 and 99-662.

**OBJECTIVES:**

To provide bank protection of highways, highway bridges, essential public works, churches, hospitals, schools, and other nonprofit public services endangered by flood-caused erosion.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself and economically justified. Nonfederal interests are responsible for all project costs in excess of the Federal limit of \$1,000,000. Nonfederal sponsor must share in project costs, including cash and lands, easements, rights-of-way; utility relocations; hold and save the United States free from damages; and, maintain the project at local cost after completion.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial ability and willingness to provide all necessary local participation.

**Preapplication Coordination:**

State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental assessment is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of an investigation and report by the District Engineer who investigates and processes all applications. Advertisement and award at construction is subject to availability of funds from the Chief of Engineers.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

In most cases project studies will be at Federal expense. Cost-sharing is required for project, but Federal participation cannot exceed \$1,000,000.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:**

Not applicable.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, Chapter 9 (33 CFR 263) and information sheets describing this program are available from the nearest District Engineer.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-PM, Washington, DC 20314-1000. Telephone: (202) 761-1975. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.102, Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.103, Emergency Operations Flood Response and Post Flood Response.

**EXAMPLES OF FUNDED PROJECTS:**

Reinforced barriers at either side of bridge approachments.

**CRITERIA FOR SELECTING PROPOSALS:**

Not presently available.

## 12.106 FLOOD CONTROL PROJECTS

(Small Flood Control Projects)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1948, Section 205, Public Law 80-858, as amended, 33 U.S.C. 701s; Public Law 93-251, as amended; Public Laws 97-140 and 99-662.

**OBJECTIVES:**

To reduce flood damages through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the projects. Each project selected must be engineering feasible, complete within itself, and economically justified. Nonfederal sponsoring agency will share equally in the cost of feasibility studies (cash and in-kind services), shares in the project cost in cash, lands, damages and project costs in excess of the Federal cost limit of \$7,000,000; provides a cash contribution for land enhancement benefits and for project costs assigned to project features other than flood control; prevent future encroachment which might interfere with proper functioning of the project for flood control; and, maintain the project after completion. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for flood control projects specifically authorized by Congress under regular authorization procedures.

**Applicant Eligibility:**

States, political subdivisions of States, or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibility.

**Beneficiary Eligibility:**

States, political subdivisions of States, or other responsible local agencies

established under State law with full authority and ability to undertake necessary legal and financial responsibility.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial ability, and willingness to provide necessary local participation.

**Preapplication Coordination:**

State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of a remedial project under this program. An environmental impact statement is also required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Formal letter to the District Engineer indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer. Advertisement and awards of construction is subject to availability of funds from the Chief of Engineers.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Project Planning Studies are undertaken in a single feasibility phase. The first \$100,000 is federally funded. Additional cost are cost-shared 50/50 with local sponsor. Cost-sharing is required for project construction, and consists of cash, provision of lands, easements, right-of-way, and relocation necessary for the project, and other requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:**

Not applicable.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Planning and construction) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported. No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-PM, Washington, DC 20314-1000. Telephone: (202) 761-1975. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>

**RELATED PROGRAMS:**

12.104, Flood Plain Management Services; 12.108, Snagging and Clearing for Flood Control.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.107 NAVIGATION PROJECTS

(Small Navigation Projects)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

River and Harbor Act of 1960, Section 107, as amended, Public Law 86-645, 33

U.S.C. 577.

**OBJECTIVES:**

To provide the most practicable and economic means of fulfilling the needs of general navigation, through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself, and economically justified. The nonfederal sponsoring agency must agree to assume full responsibility for all project costs in excess of the Federal cost limit of \$4,000,000; equally share with the Federal government the cost of feasibility studies; contribute toward project costs for construction and maintenance in view of recreational benefits, land enhancement benefits or other special local benefits; provide all necessary lands, easements, rights-of-way; hold and save the United States free from damages; and, provide adequate public landing or wharf, piers, access roads, parking areas and other needed public facilities open and available to all on equal terms. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for navigation projects specifically authorized by Congress under regular authorization procedures. No project is to be recommended for implementation under the Section 107 authority for which the total constant dollar Federal costs over 50 years exceed the greater of \$4,500,000 or 2.25 times the Federal construction cost, both discounted at the current water project discount rate.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial capability, and willingness to provide all necessary local participation and required cooperation.

**Preapplication Coordination:**

State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental impact statement is also required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation. Advertisement and award of construction is subject to availability of funds from the Chief of Engineers.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Project planning studies are undertaken a single feasibility phase. The first \$100,000 is Federally funded. Additional study costs are cost-shared 50/50 with local sponsor. Cost-sharing is required for project construction and consists of cash; provision of lands, easements rights-of-way and relocations necessary for the project and other requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Planning and construction) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported. No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105-2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

U.S. Army Corp of Engineers, Attn: CECW-PM, Washington, DC 20314-1000. Telephone: (202) 761-1975. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.109, Protection, Clearing and Straightening Channels.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.108 SNAGGING AND CLEARING FOR FLOOD CONTROL

(Section 208)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF ARMY,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1937, as amended, Section 2, Public Law 79-14, 33 U.S.C. 701g; Public Laws 83-780, 93-251, and 99-662.

**OBJECTIVES:**

To reduce flood damages.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself, and economically justified. The nonfederal sponsor must provide all lands, easements and rights-of-way; provide all project costs in excess of the Federal limit of \$500,000; agree to maintain project after construction; hold and save the United States free from damages; provide a contribution toward construction costs for land enhancement or special benefits; agree to prevent future encroachment which might interfere with proper functioning of the project for flood control. Local cost participation requirements and procedures for feasibility study cost-sharing and determining the local share of project cost are similar to those for flood control projects specifically authorized by Congress under regular authorization procedures.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial capability and willingness to provide all necessary local participation and required cooperation.

**Preapplication Coordination:**

State or local government officials should consult the nearest District Engineer regarding specific problems and the possibility of remedial action under this program. An environmental assessment in accordance with NEPA is also required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of an investigation and report by the District Engineer, who investigates and processes all applications. Advertisement and award of construction is subject to availability of funds from the Chief of Engineers.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

In most cases project studies will be at Federal expense. Cost-sharing is required for projects, but the Federal part cannot exceed \$500,000,000.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status.

**Audits:**

Not applicable.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported. No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulations 1105-2-10 Chap. 4 (33 CFR 263) and information sheets regarding this program are available from nearest District Engineer.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-PM, Washington, DC 20314-1000. Telephone: (202) 761-1975. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.102, Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.106, Flood Control Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.109 PROTECTION, CLEARING AND STRAIGHTENING CHANNELS

(Section 3, Emergency Dredging Projects)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

River and Harbor Act of 1945, Section 3, Public Laws 79-14 and 99-662, 33 U.S.C. 603a.

**OBJECTIVES:**

To restore channels for purposes of navigation or flood control.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Each project selected must be engineering feasible, complete within itself, and economically justified. Work pursuant to this authority is undertaken as an emergency measure to clear or remove unreasonable obstructions to navigation in navigable portions of rivers, harbors, and other waterways of the United States, or tributaries thereof, in order to provide existing traffic with immediate and significant benefit. The nonfederal interest involved must provide all lands, easements and rights-of-way for construction of the project and bear the costs of necessary annual maintenance until such time as the location may become a part of a specifically authorized project. Local cost participation requirements and procedures for determining the local share of project costs are similar to those for navigation or flood control projects specifically authorized by Congress under regular authorization procedures. Annual expenditures limited to \$1,000,000.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial capability and willingness to provide all necessary local participation and required cooperation.



**Preapplication Coordination:**

State or local government officials should consult the nearest District Engineer regarding problems and possibility of remedial action under this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program review.

**Application Procedure:**

Formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:**

The Chief of Engineers makes final decision to approve or reject individual projects.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-3123-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported. No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulations 1105-2-50 (33 CFR 263) and sheets describing this program are available from nearest District Engineer.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Commander, U.S. Army Corps of Engineers, Attn: CECW-OD, Washington, DC 20314-1000. Telephone: (202) 272-8835. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.107, Navigation Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Provided specialized services to applicants in Shinnecock Inlet, Suffolk Co., NY.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**12.110 PLANNING ASSISTANCE TO STATES**

(Section 22)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Water Resources Development Act of 1974, Section 22, Public Law 93-251, as amended, 42 U.S.C. 1962d-16.

**OBJECTIVES:**

To cooperate with any State in the preparation of comprehensive plans for the development, utilization and conservation of water and related land resources of drainage basins located within the boundaries of such State.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The State must have a planning program for the development, utilization or conservation of the water and related land resources underway or laid out in sufficient detail so that the relationship of a State's request for Corps input for some particular aspect of the program may be appraised. All Corps input must be an integral part of the State program. The input from the Corps is to be on an

effort or service sharing basis in lieu of an outright grant basis. Federal program funds are limited to \$10,000,000 annually and not more than \$500,000 in Federal funds shall be expended in any one year in any one State.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marinas, Palau Island, the Commonwealth of Puerto Rico, the Virgin Islands, and Federally recognized Indian tribes.

**Beneficiary Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marinas, Palau Island, the Commonwealth of Puerto Rico the Virgin Islands, and Federally recognized Indian tribes.

**Credentials/Documentation:**

Applicants must furnish evidence in sufficient detail so that the relationship of a State's request for Corps input for some particular aspect of the State program may be appraised.

**Preapplication Coordination:**

State government officials should consult the designated coordinating District Commander for that State regarding the coordination of specific State water and related land resource problems. This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Requests are made in the form of a letter to the District Engineer documenting the need for assistance.

**Award Procedure:**

The appropriate Division Engineer reviews and approves State requests. The Office of the Chief of Engineers allocates funds to the appropriate Corps field office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Technical planning services are provided with Federal program funds. The Corps of Engineers has been authorized to collect contributions from beneficiaries of this program, recovering approximately 50 percent of the cost of such services.

**Length and Time Phasing of Assistance:**

Funds are released from the Office of the Chief of Engineers on an annual basis shortly after the start of the fiscal year. The length of the study is defined in the plan of study but is subject to some modification, depending on the availability of funds to each of the participating States. Federal assistance is provided as rapidly as possible depending on availability of funds and competent personnel resources.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-3121-0-1-301.

**Obligations:**

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported. No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not reported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineering Regulation 1105-2-100, Chapter Section VI, available from the nearest District Engineer and Title 33, Part 265 "Planning Assistance to States" in the Federal Register dated 15 September 1975, revised 21 January 1977.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-PF, Washington, DC 20314-1000. Telephone: (202) 272-0169. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

10.906, Watershed Surveys and Planning; 11.420, Coastal Zone Management Estuarine Research Reserves.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**12.111 EMERGENCY ADVANCE MEASURES FOR FLOOD PREVENTION**

(Public Law 84-99 Code 500 Program)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1941, Public Law 84-99, Public Law 77-228, as amended;  
Public Laws 87-874, 93-251, 95-51, 100-45, 101- 640, and 99-662, 33 U.S.C.  
701n.

**OBJECTIVES:**

To perform activities prior to flooding or flood fight that would assist in  
protecting against loss of life and damages to property due to flooding.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Authorized assistance includes work such as removal of waterway obstructions,  
work necessary to prevent dam failure, and work necessary to prepare for  
abnormal snowmelt. There must be an immediate threat of unusual flooding  
present before advance measures can be considered. Any work performed under  
this program will be temporary in nature and must have a favorable benefit cost  
ratio.

**Applicant Eligibility:**

The Governor of the affected State must request assistance.

**Beneficiary Eligibility:**

All persons living in areas subject to floods.

**Credentials/Documentation:**

Letter from the Governor of the State requesting assistance and detailing State  
and local efforts. (Such as the use of highway department and manpower or the  
use of National Guard resources.)

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Written request for advance measures assistance by letter or message from the  
Governor of the affected State.

**Award Procedure:**

Formal notice of approval and/or disapproval will be furnished the applicant by  
the District Engineer of the Corps of Engineers.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies by situation of request from hours to days after request for assistance is  
received.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-3125-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 07 \$0; FY 08 est not reported; and FY 09  
est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 500- 1-1 pamphlets, and statements available on request  
from the District or Division Engineers offices of the Corps of Engineers.

**Regional or Local Office:**

U.S. Army Corps of Engineers, Division or District Engineers Offices listed in  
Appendix IV of the Catalog.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CECW-OE, Washington, DC 20314.

Telephone: (202) 272-0251. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.101, Beach Erosion Control Projects; 12.102, Emergency Rehabilitation of  
Flood Control Works or Federally Authorized Coastal Protection Works; 12.103,  
Emergency Operations Flood Response and Post Flood Response; 12.105,  
Protection of Essential Highways, Highway Bridge Approaches, and Public  
Works; 12.108, Snagging and Clearing for Flood Control.

**EXAMPLES OF FUNDED PROJECTS:**

Emergency drawdown of Spirit Lake, Washington; Emergency levee  
construction, Utah Lake, Provo, Utah; Temporary levee raising, Cowlitz River,  
Washington; and levee setback, Red River, Louisiana.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**12.112 PAYMENTS TO STATES IN LIEU OF REAL ESTATE TAXES****FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Flood Control Act of 1941, as amended, Public Law 83-228; Flood Control Act  
of 1946, as amended, Public Law 83-526, Public Law 83-60; Flood Control Act  
of 1954, Public Law 83-780, 33 U.S.C. 701C- 3.

**OBJECTIVES:**

To compensate local taxing units for the loss of taxes from federally acquired  
lands, 75 percent of all monies received or deposited in the Treasury during any  
fiscal year for the account of leasing of lands acquired by the United States for  
flood control, navigation and allied purposes, including the development of  
hydroelectric power, are paid at the end of each year to the States in which such  
property is situated.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be expended as the State legislature may prescribe for the benefit of  
public schools and public roads of the county in which property is located, or for  
defraying of the expenses of the county government, including public  
obligations of levees and drainage districts for flood control and drainage  
improvements.

**Applicant Eligibility:**

State government in which lands have been Federally acquired for purposes  
defined under Objectives.

**Beneficiary Eligibility:**

State and county government being compensated and their residents.

**Credentials/Documentation:**

Districts report to CERM-F by State and county the amounts collected. This  
program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB  
Circular No. A-102.

**Application Procedure:**

Automatic distribution is made as authorized by 33 U.S.C. 701c-3. No  
application is necessary. This program is excluded from coverage under OMB  
Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

When property is situated in more than one State or county, the distributive  
share to each from the proceeds of such property shall be proportional to its area  
therein. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-9921-0-2-999.

**Obligations:**

(Grants) FY 07 not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters, U.S. Army Corps of Engineers, Attn: CERM-FC., 20 Massachusetts Avenue, NW., Washington, DC 20314-1000. Telephone: (202) 272-1931. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.113 STATE MEMORANDUM OF AGREEMENT PROGRAM FOR THE REIMBURSEMENT OF TECHNICAL SERVICES

(DSMOA)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 96-510, as amended, 10 U.S.C. 2810; Superfund Amendments and Reauthorization Act of 1986, Section 211(d), Public Law 99-499.

**OBJECTIVES:**

To reimburse each State and territory for their costs incurred by providing technical services in support of Department of Defense Environmental Restoration Program activities. This program seeks to facilitate State and territory participation in expediting cleanup at DoD hazardous waste sites, and to foster relations between States, military services, Defense agencies and DoD.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

State/territorial services that qualify for payment under the program include the following types of assistance provided by the State/territory commencing at site identification and continuing through operation and maintenance as well as any other activities that are funded by DERA: 1. Technical review, comments and recommendations on all documents or data required to be submitted to the State/territory under an agreement between the State/territory and a DoD component, all documents or data that a DoD component requests the State/territory to review, and all documents or data that are provided by a DoD component to the State/territory for review as a result of a request from the State/territory made under applicable State/territorial law; 2. identification and explanation of State/territorial applicable or relevant and appropriate requirements related to response actions at DoD installations; 3. site visits to review DoD response actions and ensure their consistency with appropriate requirements, or in accordance with site-specific requirements established in other agreements between the State/territory and DoD Component; 4. participation in cooperation with DoD in the conduct of public education and public participation activities in accordance with Federal and State/territorial requirements for public involvement; 5. services provided at the request of DoD in connection with participation in technical review committees; 6. preparation and administration of a cooperative agreement (CA) to implement this agreement, including the estimates of State/territorial costs; and 7. other services that the State/territory will provide that are set out in the DSMOA or are included in installation-specific cleanup agreements. The DSMOA program does not include costs incurred prior to October 16, 1986. Funded from DERA, BRAC 1, BRAC 91, and Defense stock funds and will soon include selected formerly used Defense site activities.

**Applicant Eligibility:**

State and territorial governments only.

**Beneficiary Eligibility:**

State and territorial governments, local governments, public nonprofit organization/institution, public institution/organization, profit organization, private nonprofit institution/organization.

**Credentials/Documentation:**

Applicants must enter into a Defense/State Memorandum of Agreement (54 FR 31358-31362, July 28, 1989).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Administration of CAs will be in accordance with Office of management and Budget (OMB) Circular No. A-102, Grants and Cooperative Agreements with State and Local Governments, and Title 32 CFR 278, Office of the Secretary of Defense, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. A State/territory will submit a complete application package for Federal assistance, consisting of Standard Form 424 (SF 424) and attachments, including a proposal narrative, the signed DSMOA, and a project management plan. The State/territory's application must also include a description of the type and amount of support services that the State/territory plans to provide for each installation covered in the DSMOA for the specific award period of the CA. CAs will be awarded for a term of two years, based on an annual estimate of requirements. Applications will be accepted after signature of the DSMOA by both parties; DoD processing time for applications is expected to be two months. The Corps of Engineers, as executive agent for DASD(E) will accept the application, review it, and make a decision as to the award. This CA agreement, when signed by both the Head of the Agency signing on behalf of the State/territory, and approved by the chief of engineers, comprises the contractual relationship between the DoD and the State/territory. States/territories may request funds in accordance with the methods outlined in OMB Circular No. A-102 and 32 CFR 278. These documents provide for the following methods of payment: (1) Advances; and (2) reimbursement; and a State/territory may request a payment method in its cooperative agreement application. Allowable costs will be determined in accordance with OMB Circular No. A-87, Cost Principles for State and Local Governments. Specific services to be provided by the State/territory will be as described in the DSMOA. Auditing of State/territorial programs will be accomplished in accordance with OMB Circular No. A-128, Audits of State and Local Governments. DoD DASD(E) will invite State/territories to sign DSMOAs and submit applications for CAs.

**Award Procedure:**

Reimbursement will be accomplished, using Federal procedures for CAs, with State/territories that have signed DSMOAs. Eligible activities are limited to those authorized for the Defense Environmental Restoration Program (DERP), and funded by the Defense Environmental Restoration Account (DERA), Sections 2701 et seq., of Title 10 U.S.C., and as specified in the DSMOA. In general, these activities will be centralized in the Office of the Deputy Assistant Secretary of Defense (Environment) with the assistance of the Army Corps of Engineers who will administer the program on a day to day basis. CAs will be awarded for a term of two years, based on annual estimate of requirements. Applications will be accepted after signature of the DSMOA by both parties; processing time for applications is expected to be two months. The Deputy Assistant Secretary of Defense (Environment) (DASD(E)) will approve the DSMOA, and the Corps of Engineers accept the application, review it, and make a decision as to the award. This CA agreement, when signed by the Head of the Agency signing on behalf of the State/territory, and approved by the Corps of engineers, comprises the contractual relationship between the DoD and the State/territory. States may request funds in accordance with the methods outlined in OMB Circular No. A-102 and 32 CFR 278. These documents provide for the following methods of payment: (1) Advances; and (2) Reimbursement; and a State may request either payment method in its cooperative agreement application.

**Deadlines:**

For receipt of funds in any given year a complete application must be received by June 1.

**Range of Approval/Disapproval Time:**

30 to 60 days.

**Appeals:**

For applications not approved, the Army Corps of Engineers (managing office of the program) will work with applicants to complete applications.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Two years. Annual budgets are prepared and reimbursement or advances are awarded on a quarterly basis.

**Reports:**

Quarterly financial and technical reports by object class and installation.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted



in Circular No. A-133.

**Records:**

Copies of State's expenditures by installations quarterly.

**Account Identification:**

96-8008-0-1-250.

**Obligations:**

(Salaries and Expenses) FY 07 \$1,700,000 FY 08 est not reported; and FY 09 est not reported. (Cooperative Agreements) FY 07 \$41,844,600; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$104,000 to \$11,400,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FR Vol. 54, No. 144, July 18, 1989 - 31358-31362 for detailed information on program.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Robert Lubbert, CEMP-RI, 20 Massachusetts Avenue, NW., Washington, DC 20314. Telephone: (202) 504-4950.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Thirty eight States and 4 territories have entered into the program; 27 awards have been made.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) That the State/territory has DoD installations, currently owned by DoD that are being cleaned up under the Defense Environmental Restoration Program; (2) that the State/territory has entered into a DSMOA; (3) total project costs are under ceiling allowed for the CA, directly proportional to the amount; and (4) proposed work and work to be reimbursed is directly attributable to eligible DoD installations and not otherwise reimbursed by other Federal funding sources.

## 12.114 COLLABORATIVE RESEARCH AND DEVELOPMENT

(Construction Productivity Advancement Research (CPAR) Program)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF THE ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Water Resources Development Act of 1988, Section 7, Public Law 100-676, 33 U.S.C. 2313.

**OBJECTIVES:**

To facilitate productivity-improving research and development and application of advanced construction technologies through collaborative research and development, field demonstration, licensing agreements, and other means of commercialization and technology transfer.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Projects are based on ideas from the U.S. construction industry on how to improve productivity. Industry partners must agree to substantially produce and market products domestically. Corps laboratory must perform a significant portion of each project.

**Applicant Eligibility:**

Any U.S. private firm, including corporations, partnerships, limited partnerships and industrial development organizations; public and private foundations; nonprofit organizations; units of State and local governments; academic institutions; and others who have interest in and the capability to address CPAR objectives.

**Beneficiary Eligibility:**

Beneficiaries of CPAR products will include the U.S. construction industry (builder/contractor/developer, engineer/architect, construction equipment/material suppliers) profit and nonprofit business organizations, the general public, and Federal, State and local government agencies.

**Credentials/Documentation:**

Representations, certifications and other statements of proposers disclosure of lobbying activities are required.

**Preapplication Coordination:**

Informal discussions with a Corps laboratory is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Written proposal to the Corps laboratory must be submitted.

**Award Procedure:**

Proposals recommended by the Corps laboratories are evaluated and prioritized by the CPAR Executive Committee in Corps headquarters. Proposals are funded in descending priority order until available funds are exhausted.

**Deadlines:**

Time for submission of proposals varies, set annually.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Industry partner must provide at least 50 percent of the total project costs. At least 5 percent of the partner share must be paid in cash for services and supplies that do not originate within the partner organization.

**Length and Time Phasing of Assistance:**

Variable.

**Reports:**

Technical report/product data sheets are required at the end of the project.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

96-9921-0-2-999.

**Obligations:**

(Cooperative Agreement) FY 07 \$6,000,000; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$200,000 to \$900,000. Average: \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Seventy-six projects covering a wide range of technologies have been funded at a total investment of over \$70 million. The Corps has provided over \$32 million and the construction industry partners have contributed over \$38 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CPAR Guidelines for Participation, published annually.

**Regional or Local Office:**

Corps research and development laboratories.

**Headquarters Office:**

Headquarters, U.S. Army Corps of Engineers, ATTN: CERD-C, 20 Massachusetts Ave., NW., Washington, DC 20314-1000, David B. Mathis, General Manager. Telephone: (202) 272-1846.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects have been funded in the areas on construction planning and design improvement, improved construction site productivity and advanced materials.

**CRITERIA FOR SELECTING PROPOSALS:**

Potential impact on U.S. construction industry productivity; potential impact on the Corps of Engineers; commercialization/technology transfer; ease of adoption; probability of achieving projected productivity and effectiveness enhancement; project duration; and research and development investment.

## 12.116 DEPARTMENT OF DEFENSE APPROPRIATION ACT OF 2003

(Section 8044)

**FEDERAL AGENCY:**

OFFICE OF THE CHIEF OF ENGINEERS, DEPARTMENT OF ARMY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Department of Defense Appropriation Act 2003, Public Law 107-248.

**OBJECTIVES:**

For developing a system for prioritization of mitigation and cost to complete estimates for mitigation, on Indian lands resulting from Department of Defense activities. (1) For the mitigation of environmental impacts, including training and technical assistance to tribes, related administrative support, the gathering of information, documenting of environmental damage, and developing a system for prioritization of mitigation and cost to complete estimates for mitigation, on Indian lands resulting from Department of Defense activities.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Funds, as appropriated by Congress, may be used by the State and Tribes of the funds appropriated to the Department of Defense under the heading "Operation and Maintenance, Defense-Wide", not less than \$10,000,000 shall be made available only for the mitigation of environmental impacts, including training and technical assistance to tribes, related administrative support, the gathering of

information, documenting of environmental damage, and developing a system for prioritization of mitigation and cost to complete estimates for mitigation, on Indian lands resulting from Department of Defense activities.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marinas, Palau Island, the Commonwealth of Puerto Rico, the Virgin Islands, and Federally recognized Indian tribes.

**Beneficiary Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marinas, Palau Island, the Commonwealth of Puerto Rico, the Virgin Islands, and Federally recognized Indian tribes.

**Credentials/Documentation:**

Applicants must furnish evidence is sufficient detail so that the relationship of a State's or Tribes request for Corps input for some particular aspect of the State or Tribe program may be appraised.

**Preapplication Coordination:**

Pre-application and selection by DoD and USACE occurs prior to development of the CA. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests are made in the form of a letter to the District Engineer documenting the need for assistance.

**Award Procedure:**

The appropriate Division Engineer reviews and approves federally recognized Tribe requests. The Office of the Chief of Engineers allocates funds to the appropriate Corps field office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

100 percent Federal upon award.

**Length and Time Phasing of Assistance:**

Funds are released from the Office of the Chief of Engineers on an annual basis after the start of the fiscal year. The length of the agreement is defined in the Cooperative Agreement, but is subject to some modification, depending on the availability of funds to each of the participating Federally recognized Tribe. Federal assistance is provided as rapidly as possible depending on availability of funds and competent personnel resources. Federal assistance is not guaranteed beyond the term of the Cooperative Agreement.

**Reports:**

Quarterly reports are required including financial (SF 269). SEE MOA/CA for details.

**Audits:**

internal review is accomplished by BIA of Tribal programs.

**Records:**

Per OMB Circular No. A-102.

**Account Identification:**

97-2003-0-1-999.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported. No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The role of the BBRPO is to ensure the timely an proper mitigation of the former BBR to condition that is safe for the anticipated reasonable use of its owners. The BBRPO ensures that land usage issues are evaluated to the proper UXO clearance. The BBRPO is responsible for coordinating the necessary parties required for any and all cultural issues and concerns of the BBR.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOD Regulation 3210.6-R Department of Defense Grant and Agreement Regulations.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

U.S. Army Corps of Engineers, Attn: CEMP-RF (KIM DAILY), Washington, DC 20314-1000. Telephone: (202) 761-5145. FTS is not available.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 12.300 BASIC AND APPLIED SCIENTIFIC RESEARCH

**FEDERAL AGENCY:**

OFFICE OF NAVAL RESEARCH, DEPARTMENT OF THE NAVY

**AUTHORIZATION:**

Public Law 79-588, 10 U.S.C. 5150-5153; Public Law 87-651, 10 U.S.C. 2358, as amended; Public Law 97-86, 31 U.S.C. 6304.

**OBJECTIVES:**

To support basic and applied research at educational or research institutions, which has a potential for leading to the improvement of naval operations, and to support training and stimulation of future researchers in science and engineering disciplines.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Basic and applied research in the physical, mathematical, environmental, engineering and life sciences providing knowledge necessary for the Navy to make informed decisions about further exploratory development to provide the technology base from which naval capabilities are drawn. Partial support of symposia in the listed disciplines. Programs to encourage careers in science and engineering by supporting outstanding graduate, undergraduate and high school students pursuing studies in areas of naval concern. Programs to increase science and engineering graduates from under-represented minority groups. Programs providing means for universities to buy major, high-cost research equipment.

**Applicant Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and are not organized primarily for profit. Grants cannot be awarded to individuals. Eligibility requirements for Office of Naval Research's (ONR) training and research instrumentation/ equipment programs are also described in the ONR publication "Guide to Programs".

**Beneficiary Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational or similar purposes in the public interest, and are not organized primarily for profit. Grants cannot be awarded to individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21, A-87, A-88, and A-122 and Subpart 31.2 of the Federal Acquisition Regulation applicable to commercial firms and those nonprofits exempted from OMB Circular No. A-122. The administrative requirements of OMB Circular Nos. A-102, A-110, A-128 and A-133 apply. Patents, inventions and rights in technical data and computer software are subject to 48 CFR 227 and 252, as amended, and 37 CFR 401.14.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to OMB Circular No. A-110. All eligible private/public educational institutions and other private/public nonprofit organizations may submit proposals in response to the relevant Broad Agency Announcement published annually in the Federal Business Opportunities ([www.fedbizopps.gov](http://www.fedbizopps.gov)) Information regarding areas of scientific interest and points of contact is contained in the ONR "Guide to Programs". Application and award procedures for ONR's training and research instrumentation/equipment programs is also contained in separate brochures describing these programs.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from a peer and/or scientific review. Evaluations will use the criteria contained in the relevant Broad Agency Announcement. If selected for award, the proposal is incorporated into a grant document and the applicant agrees to perform the research described therein.

**Deadlines:**

Proposals may be submitted at any time during a year period from the date of publication of the Broad Agency Announcement in the Commerce Business Daily.

**Range of Approval/Disapproval Time:**

Awards may be made at any time throughout the year for which funding is authorized.

**Appeals:**

None.

**Renewals:**

Reapplication with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Funding will reflect period of performance and may be awarded incrementally.

**Reports:**

Grantee is expected to publish or otherwise make results of work publicly available. Copies of reports are furnished by the grantee to a prescribed list of addressees (as set forth in the grant), which includes the Defense Technical Information Center. Subsequent distribution to DoD agencies and their

contractors is made by DTIC on a request basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Each grantee will maintain accounting records which will permit determination that the funds were used for the grant purposes.

**Account Identification:**

17-1319-0-1-051 (Office of Naval Research).

**Obligations:**

FY 07 est \$480,000,000; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$1,000 to \$15,000,000. Average: \$110,907.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ONR website <http://www.our.navy.mil>. This site lists the points of contact within the various scientific disciplines.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Naval Research, 800 North Quincy Street, Arlington, VA 22217-5000. Contact: ONR 22. Telephone: (703) 696-2570. FTS is not available.

**Web Site Address:**

<http://www.onr.navy.mil>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

1. Historically Black Colleges and Universities (HBCU), and Minority Institutions (MI) Pilot Program to increase minorities trained at graduate level in mathematics, computer science, and the physical sciences; 2. partial funding of symposia on various areas of scientific research of interest to the Navy; 3. cooperative research associateship program, to provide post-doctoral scientists opportunities for research on problems compatible with the research interests of the sponsoring laboratories furthering research on problems of interest to the Navy; 4. providing funds to universities for a multidisciplinary program to provide new knowledge in science and engineering critical to defense technologies, to improve quality of defense research conducted at universities, and to strengthen the numbers and quality of students trained in science and engineering; and 5. research by a university laboratory on preservation of blood platelets in blood bank storage by freeze-drying.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Overall scientific, technical or socio-economic merits of the proposal; 2. potential contributions of the effort to the agency's specific mission; 3. the offeror's capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposal objectives; 4. the qualifications, capabilities and experience of the proposed principal investigator, team leader or key personnel who are critical in achieving the proposal objectives; 5. realism of the proposed cost and availability of funds; and 6. the extent to which the cost effectiveness of the proposed research is diminished by expenditures for unproductive administrative and other overhead expenses. Academic institutions are especially encouraged to participate.

**12.350 DEPARTMENT OF DEFENSE HIV/AIDS PREVENTION PROGRAM**

**FEDERAL AGENCY:**

NAVAL HEALTH RESEARCH CENTER, DEPARTMENT OF THE NAVY

**AUTHORIZATION:**

Public Laws 108-25, 108-287.

**OBJECTIVES:**

To train and assist selected foreign militaries in establishing and implementing HIV/AIDS prevention, care, and treatment programs for their military personnel and dependents.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are authorized through grants and cooperative agreements, primarily with non-governmental U.S. organizations and educational institutions, to carry out activities that support HIV/AIDS prevention programs in militaries around the world. Funds are generally limited for direct support of activities conducted outside the United States.

**Applicant Eligibility:**

Generally any type of applicant may apply. Grants cannot be awarded to

individuals.

**Beneficiary Eligibility:**

Beneficiaries are primarily foreign Governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21, A-87, A-88, and A-122 and Subpart 31.2 of the Federal Acquisition Regulation applicable to commercial firms and those nonprofits exempted from OMB Circular No. A-122. The administrative requirements of OMB Circular Nos. A-102, A-110, A-128 and A-133 apply. Further requirements are stated in the BAA.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to OMB Circular No. A-110. All eligible organizations may submit proposals in response to general and specific broad agency announcements (BAAs) published annually or as the need arises. Information regarding areas of interest and points of contact are contained in the BAAs. Application and award procedures are also contained in the BAA brochures.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from a peer review. Evaluations will use the criteria contained in the relevant Broad Agency Announcement. If selected for award, the proposal is incorporated into a grant document and the applicant agrees to perform the work describes therein.

**Deadlines:**

Proposals may be submitted at any time during the indicated submission time contained in the BAA.

**Range of Approval/Disapproval Time:**

Formal proposals are normally reviewed and notification made within six months from submission. Grant awards are usually made within three months from notification.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are made by competitive applications and reviews.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funding will reflect the period of performance and may be awarded incrementally. Normally, projects are funded for one year of operations. Funds are normally provided in individual grants according to a quarterly schedule of payments.

**Reports:**

Quarterly financial reports (SF 272) and a final transactions report (SF 269) are required. Additionally, grants require interim technical, progress and final reports as outlined in each BAA. In addition, awardees are required to provide DHAPP copies of media published.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 22 CFR Part 226.53, grantees are to maintain accounting records for a minimum of 3 years after the end of the date of submission of the final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

97-6013-0-1-551; 97-1030-0-1-551.

**Obligations:**

(Grants) FY 07 \$10,000,000; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-110, A-133, A-88, and A-21; DoD Instruction 3210.6, the DOD Grants and Agreements Regulation are applicable to the project grants.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Defense HIV/AIDS Prevention Program, Naval Health Research Center, PO Box 85122, San Diego, CA 92186-5122. Telephone: (619) 553-8528; E-mail: [code02s1@nhrc.navy.mil](mailto:code02s1@nhrc.navy.mil).

**RELATED PROGRAMS:**



None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are defined specifically in the BAAs when issued.

**12.351 BASIC SCIENTIFIC RESEARCH - COMBATING WEAPONS OF MASS DESTRUCTION**

**FEDERAL AGENCY:**

DEFENSE THREAT REDUCTION AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2358, as amended (R&D Projects), 10 U.S.C. 2371 (OTA), 10 U.S.C. 2413 (Cooperative Agreements), 10 U.S.C. 2361 (Grants and Contracts to universities-competitive)

**OBJECTIVES:**

To support and stimulate basic, applied and advanced research and technology development at educational or research institutions, non-profit organizations, and commercial firms, which support the advancement of fundamental knowledge and understanding of the sciences with an emphasis on exploring new and innovative research for combating or countering Weapons of Mass Destruction (WMD).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Uses and restrictions are specified in individual program BAAs and award documents issued by and codified regulations applicable to awards. These are submitted at the time of proposal or prior to award, as specified by executive agents.

**Applicant Eligibility:**

As stated in individual program BAAs. Generally, competitions are open to private and public educational accredited institutions of higher education that carry out science and engineering research and/or related science and engineering education on a non-profit basis. Some awards are made to non-profit, commercial or federal laboratories that conduct basic research. Awards are not made to individuals.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

If the award is a grant, cooperative agreement or other transactional agreement the applicant must not appear on the non-procurement, debarred or suspended list for DoD. Recipient eligibility is contingent upon submission of representations and certifications that are required by federal statutes and Executive Orders (EO). Costs will be determined in accordance with 2 CFR Part 220 (formerly OMB Circular No. A-21). The administrative requirements of OMB Circular Nos. A-102, A-110, A-128 and A-133 apply. Patents, inventions and rights in technical data and computer software are subject to 48 CFR 227 and 252, as amended, and 37 CFR 401.14.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible applicants may submit proposals in response to relevant BAAs published on [www.FedBizOpps.gov](http://www.FedBizOpps.gov) under "Other Defense Agencies - DTRA", which will advise potential applicants what activities or research topic areas will be supported, and how to apply.

**Award Procedure:**

Award decisions are based on evaluations of proposals, using technical merit, peer and/or scientific review. Evaluation criteria are contained in the relevant Broad Agency Announcement. If selected for award, the proposal is the basis for the award document and the applicant agrees to perform the research or research related activities described therein.

**Deadlines:**

Deadlines for submitting proposals are specified in the individual relevant Broad Agency Announcements.

**Range of Approval/Disapproval Time:**

Award times will be identified in the relevant BAA. Typically, decisions are made within 90-120 days of receipt of proposal for which funding is authorized.

**Appeals:**

None.

**Renewals:**

Re-application with new proposals is permitted.

**Formula and Matching Requirements:**

There are no statutory formulas. Cost-sharing or matching, when required, is specified in the individual BAA.

**Length and Time Phasing of Assistance:**

Since this is a research and technology program, the assistance is generally for the period of performance as stated in the individual grant, agreement or OTA. Funding is usually provided incrementally in accordance with a payment schedule contained in the award document.

**Reports:**

Awardee is expected to publish or otherwise make results of work publicly available. Copies of reports are furnished by the awardee to a prescribed list of addressees as set forth in the grant, agreement or OTA. Technical and financial reporting requirements are in accordance with terms and conditions of award documents and with Department of Defense implementation of applicable OMB Circulars A-110 and A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Each awardee will maintain accounting records, in accordance with Department of Defense implementation of OMB Circular A-110, which will permit determination that the funds were used for the grant purposes.

**Account Identification:**

97-X-0400.34HQ.

**Obligations:**

FY 07 \$13,298,000; FY 08 \$38,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Average \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Initiated a new start program in FY 07 via Broad Agency Announcement BAA. 174 white papers from 86 US Universities were received and down selected via the technical criteria in the BAA to 75 invitations for full proposals. Ninety-three peer-reviewers external to DTRA performed the evaluations, again using the technical criteria in the BAA. Based on their evaluations and other factors, including budget limitations and balance of the entire portfolio as set forth in the BAA, 33 grants were awarded to 27 Universities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, Guidelines and Literature sources are specified in the individual relevant Broad Agency Announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Defense Threat Reduction Agency BE-BC, 8725 John J. Kingman Rd - MS 6201, Ft. Belvoir, VA 22060-6201.

**Web Site Address:**

[http://www.dtra.mil/be/business\\_opp/procurement/acq\\_procopp.cfm](http://www.dtra.mil/be/business_opp/procurement/acq_procopp.cfm)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Eight topic Areas include: Radiological and Nuclear Detection Material Science; Novel High Energy Materials and Processes for Counter WMD; Particulate and Agent Dynamics in Multipurpose Turbulent Reacting Flows; Understanding Network Response to Attack; Adversarial Social Network Theory; Biodosimetry Biomarkers for Mixed Radiation Exposure; Thermal Bionanosensor Material Science; Novel Methods of WMD Explosives Detection; Sample Projects include: Control of grain boundaries and defects in nano-engineered transparent scintillator ceramics; Radiological and Nuclear Detection Material Science - Investigation of Overpressure Related Brain Injury Mechanism; Polymer-Inorganic Nanohybrid Materials for High-Sensitivity Radiation Detection; High-Energy-Density Structural Energetic Materials for Counter WMD Applications; Fundamental Particle Combustion Kinetics Measurements in the Shock Tube in Support of Enhanced Blast Weapons Development; Coarse-grained Dynamics and Robustness of Networks: An Equation-free Approach; Framework for Adversarial Social Networks; Integrated Adversarial Network Theory; Discovery and Validation of Proteomic Biomarkers for Radiation Exposure; Composite-Nanoparticles Thermal History Sensors; Macrophage-Derived Receptors as Novel Detectors of Explosive-Released Chemicals.

**CRITERIA FOR SELECTING PROPOSALS:**

Generally, the principal evaluation and selection criteria are the technical or socio-economic merits of the proposal and potential long term contributions of DTRA's specific mission. Other selection criteria vary with the nature of the specific research or research-related activity. Typically, these include the qualifications, capabilities, and experience of the proposed Principal Investigator and/or key personnel who are critical in achieving the proposal objectives; adequacy of current or planned facilities, and equipment; and reasonableness and realism of the proposed costs.

**12.352 SCIENTIFIC RESEARCH - COMBATING WEAPONS OF MASS DESTRUCTION**

**FEDERAL AGENCY:**

DEFENSE THREAT REDUCTION AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2358 (R&D grants and cooperative agreements), 10 U.S.C. 2361

(grants & contracts to universities- competitive), 10 U.S.C. 2371 (OTA)

**OBJECTIVES:**

To support and stimulate applied research, advanced research, and technology development at educational or research institutions, nonprofit organizations, and commercial firms, in order to advance the fundamental knowledge and understanding of the sciences with an emphasis on exploring new and innovative research for combating or countering Weapons of Mass Destruction (WMD), which may have a military or dual-use application (10 U.S.C. 2511, recipient must cost share) This support may take the form of grants, cooperative agreements, other transactions or contracts.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

No block or formula grants. Only project grants resulting from scientific proposals. Funds must be expended in furtherance of the research identified in the proposal, in accordance with the cost principles established in 2 CFR Part 220 and CFR Part 230.

**Applicant Eligibility:**

Any domestic or foreign industrial/commercial concerns including small business; accredited degree granting colleges and universities; not-for profit organizations; DoD- sponsored Federally Funded Research and Development Centers (FFRDCs) specified in DoD FAR Supplement 235.017-1; DOE sponsored FFRDCs With authorization from DOE sponsor. Awards are not made to U.S. Government agencies and organizations, Federal academic institutions, Federal laboratories not identified in DFARS 235-071-1, or individuals.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Applicants must not appear on the debarred or suspended list for the Department of Defense. Costs will be determined in accordance with 2 CFR Part 220 (formerly OMB Circular No. A-21), 2 CFR.225 (formerly OMB Circular No. A-87), and 2 CFR Part 230 (formerly OMB Circular A-122). The administrative requirements of OMB Circular Nos. A-102, A-110, A-128 and A-133 apply. Patents, inventions and rights in technical data and computer software are subject to 48 CFR 227 and 252, as amended, and 37 CFR 401.14.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible applicants may submit proposals or white papers in response to relevant Broad Agency Announcements publicized on Grants.gov and in the Federal Business Opportunities (www.fedbizopps.gov) under Other Defense Agencies - DTRA. This program is subject to OMB Circular No. A-110.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from a peer and/or scientific review. Evaluations will use the criteria contained in the relevant Broad Agency Announcement. If selected for award, the Statement of Work (SOW) and budget are incorporated and the applicant agrees to perform the research described therein.

**Deadlines:**

White paper submission and invitation proposal instructions will be specified in the Broad Agency Announcement.

**Range of Approval/Disapproval Time:**

Awards may be made at any Time throughout the year for which funding is authorized.

**Appeals:**

None.

**Renewals:**

Reapplication with new proposals is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula and matching is normally not applicable; however, if award instrument is under 10 U.S.C. 2511 (Defense Dual-Use Critical Technology Program) 50 percent cost sharing is mandatory.

**Length and Time Phasing of Assistance:**

Funding will reflect period of performance and may be awarded incrementally.

**Reports:**

Technical and financial reporting requirements are in accordance with terms and conditions of award document. Grantee is expected to publish or otherwise make results of work publicly available. Copies of reports are furnished by the grantee to a prescribed list of addressees (as set forth in the grant), which includes the Defense Technical Information Center (DTIC). 112 Audits: In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Each grantee will maintain accounting records which will permit determination that the funds were used for the grant purposes. Financial records must be maintained for at least three years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

970400.34HQ.

**Obligations:**

FY 07 \$500,000; FY 08 est \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Defense Grants and Agreements Regulations (DoDGARs), and specific program announcements (Broad Agency Announcements) issued by DTRA.

**Regional or Local Office:**

None.

**Headquarters Office:**

Defense Threat Reduction Agency, 8725 John J. Kingman Rd, MS 6201, Ft. Belvoir, VA 22060-6201.

**Web Site Address:**

See Broad Agency Announcement for specific website information.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Overall scientific, technical or socio-economic merits of the proposal; (2) potential contributions of the effort to the DTRA's specific mission; (3) capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposal objectives; 4. qualifications, capabilities and experience of the proposed principal investigator, team leader or key personnel who are critical in achieving the proposal objectives; and 5. reasonableness and realism of the proposed cost.

**12.360 RESEARCH ON CHEMICAL AND BIOLOGICAL DEFENSE**

**FEDERAL AGENCY:**

JOINT PROGRAM OFFICE FOR CHEMICAL AND BIOLOGICAL DEFENSE, CHEMICAL AND BIOLOGICAL MEDICAL SYSTEMS PROGRAM OFFICE, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2358.

**OBJECTIVES:**

To further the capability to prevent, detect, diagnose and treat the effects of chemical, radiological and biological warfare agents.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Recipients are required to conform to their accepted research protocol and are usually required to submit some form of annual or project report.

**Applicant Eligibility:**

Applicants must be a public or private educational institution, nonprofit organizations operated for purposes in the public interest and commercial firms.

**Beneficiary Eligibility:**

Beneficiaries are relatively independent investigators associated with an applicant organization.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial and managerial capability as well as a certification of compliance with Federal, State, and local environmental laws, ordinances and regulations. Applicants must not appear on the DoD debarred or suspended list.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants should obtain a copy of The relevant BAA which describes the full research program areas of interest and includes necessary forms and instruction for proposal submissions. The BAA is available at no cost to the applicant and is also available for download at www.fedbizopps.gov (search under USASMDC), www.jpocbd.osd.mil/ and www.grants.gov .

**Award Procedure:**

None.

**Deadlines:**

None. Individual research areas may initiate deadlines which will be communicated upon review of the pre-proposal.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Once a grant is awarded, any follow-on research Proposal is treated as a new request. Follow-on work should allow for review time noted above.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length of time for which support is requested should be consistent with the nature and complexity of the proposed research. The maximum period acceptable for a research proposal is 5 years. Funds are normally released on a quarterly basis.

**Reports:**

Quarterly financial reports and a final financial transactions report, i.e. SF 272 are required. Additionally, some grants may require midterm and/or final technical reports.

**Audits:**

Defense Contract Audit Agency or Department of Health and Human Services Audit Agency.

**Records:**

Recipients are required to maintain records adequate to reflect the nature and extent of their costs and expenditures and to insure that the required costs of participation is achieved. Records must be maintained for 3 years following the date of submission of final request for services rendered.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

FY 07 est \$3,752,500; FY 08 est \$10,000,000 and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOD and Federal Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chemical and Biological Medical Systems, 64 Thomas Johnson Drive, Frederick, MD 21702. Telephone: (301) 619-2895 E-mail: cbmsbaa@amedd.army.mil .

**Web Site Address:**

<http://www.jpeocbd.osd.mil/> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

See the CBMS BAA for Complete selection criteria.

## 12.400 MILITARY CONSTRUCTION, NATIONAL GUARD

**FEDERAL AGENCY:**

DEPARTMENT OF THE ARMY, NATIONAL GUARD BUREAU,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Public Laws 101-510 and 101-519, 10 U.S.C. 2231- 2238.

**OBJECTIVES:**

To provide a combat-ready reserve force facilities for training and administering the Army and Air Force National Guard units in the 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For armories, to provide offices, storage, assembly area, rifle range and classrooms. For non-armories, to provide for maintenance, supply, training, and other administrative and logistical requirements.

**Applicant Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Guam, and the territories. The State National Guard unit must be federally recognized. States must provide real estate for armory projects.

**Beneficiary Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Guam, and the territories. The State National Guard unit must be federally recognized. States must provide real estate for armory projects.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program requires annual identification of facility shortfalls and the submission of an environmental impact analysis on proposed construction project. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

The State Adjutant General submits proposed projects in accordance with DoD construction criteria guidelines to the headquarters office listed below. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

After Congress authorizes, approves, and appropriates funds for the project and the National Guard Bureau reviews and approves all necessary plans, specifications, bidding documents, contracts and other documentation, the award can be made.

**Deadlines:**

February 1, annually.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Federal funds provide 75 percent of construction costs for armories and 100 percent for non- armory facilities. State provides 25 percent of construction funds, all necessary real estate and 100 percent of operations and maintenance costs for armories. State must provide 25 percent of the operations and maintenance cost for the non-armory projects, except training facilities which are 100 percent Federal.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

State must submit certified vouchers for each payment to the U.S. Property and Fiscal Officer of the State, for initial construction and subsequent maintenance.

**Audits:**

Army Audit Agency, Defense Audit Service, and the General Accounting Office. No specific frequency.

**Records:**

An inventory of program assets by each State.

**Account Identification:**

21-2085-0-1-051.

**Obligations:**

(Grants) FY 07 not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$300,000 and up.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2002, 5 armory and 23 non-armory projects are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief of Installations, NGB-ARI, ARNG Readiness Center, 111 S George Mason Drive, Arlington, VA 22204-1382. Telephone: (703) 607-7900. Use the same number for FTS. (Use 327-7900 for DSN).

**Web Site Address:**

<http://www.ngb.dtic.mil/indexshtm/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Armory, Organizational Maintenance Shop, Army Aviation Support Facility, Mobilization and Training Equipment Sites.

**CRITERIA FOR SELECTING PROPOSALS:**

The following are the criteria used to select a project for Federal support: (a) Early deployment priority; (b) the total actual strength of the unit(s) assigned is greater than 75 percent of the total required strength of the unit(s) supported by the proposed project; (c) in the case of armory projects matching State funds and the necessary State land must be available and; (d) the Joint Service Reserve Component Facilities Board must have validated the project and recommended either unilateral or joint construction.

## 12.401 NATIONAL GUARD MILITARY OPERATIONS AND MAINTENANCE (O&M) PROJECTS

**FEDERAL AGENCY:**

NATIONAL GUARD BUREAU, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

32 U.S.C. 106 and 107.

**OBJECTIVES:**

1. ARNG Real Property O&M Projects (RPOMA) - provide Federal support for services provided by the State for authorized facilities for leases, real property services, real property maintenance, and O & M minor construction costs; 2.



ARNG Environmental and Integrated Training Area Management Programs Resources Management provide Federal support for services provided by the States to accomplish environmental actions such as: a. Environmental Compliance/Corrective Projects - maintenance and repair and construction projects that are initiated to comply with environmental laws, prevent pollution, conserve the environment, and restore the environment; b. Environmental Services - activities that support environmental compliance, pollution prevention, conservation, and restoration; such as studies, plans, surveys, assessments, test, monitoring, hazardous waste management and environmental public affairs requirements; c. Program Management - actions, activities, and tasks which are accomplished to maintain a strong environmental program. Program management includes, but is not limited to items such as salaries and benefits, training, maintaining and environmental reference library and material, file/records administration, travel, per diem, mileage, etc.; d. ITAM program - an Army program designed to sustain future use of federally supported training lands through program components and to integrate other Federal programs and stewardship principles into range, training; 3. ARNG Security Guard Activities - provide Federal support for services provided by the States for authorized facilities and services for security guard costs; 4. ARNG Electronic Security System Operation and Maintenance - provide Federal support for services provided by the States for Joint Services Interior Intrusion Detection Systems (J-SIIDS), Commercial Intrusion Detection Systems (CIDS), Exterior Instruction Detection Systems, Closed Circuit Television (CCTV) used for security surveillance and associated on site and off site remote monitoring equipment provided by the State for authorized facilities; 5. ARNG Telecommunications - provide Federal support for services provided by the States for installation/activity telephone service; facsimile service; telecommunication services; foreign exchange (FX) service; Wide Area Telecommunications Service (WATS); telephone directories; funding, billing, and internal controls for base telecommunications services; and Defense Switched Network (DSN); 6. ARNG Aviation Training Base Operation - provide Federal support for services provided by the States for Air Traffic Control (ATC) Service, Airport Service Agreements, and Aircraft Rescue Fire Fighting (AFF); 7. ARNG Ranges and Training Land Program - provide Federal support for services provided by the States for range operations, range maintenance, leases, rentals and equipment for authorized ranges and training lands; 8. ARNG Full Time Dining Facility Operations - provide Federal support for services provided by the States for authorized Food Service Operations at ARNG missions and training sites; 9. ARNG Store Front Recruiting Office Activities - provide Federal support for services provided by the States for authorized Store Front Recruiting activities; 10. Office of the Chief - Information Services Activities - provide Federal support for services provided by the States for printing and duplication services, mail distribution services, and records management services; 11. ARNG Air and Surface Petroleum, Oil and Lubricants (POL) - provide Federal support services and maintenance expenses for POL activities; 12. ARNG Aviation Reimbursable Maintenance Operations - Provide Federal support for aviation reimbursable maintenance operations within the State. These operations include the maintenance, fabrication, and/or repair of aircraft, aircraft subassemblies, and systems; 13. Air National Guard(ANG) Facilities O & M - provide Federal support for services provided by the State for authorized facilities for leases, real property operations, real property maintenance and repair, and O + M minor construction costs; 14. ANG Environmental Programs Management provide Federal support for services provided by the States to accomplish environmental actions such as: a. Environmental Compliance/Corrective Projects - maintenance and repair and/or construction projects that are initiated to comply with the environmental laws, prevent pollution, conserve the environment, and restore the environment, b. Environmental Services - activities that support environmental compliance, pollution prevention, conservation, and restoration; such as studies, plans, surveys, tests, monitoring, hazardous waste disposal and management and environmental public affairs requirements, c. Program Management - actions, activities, and tasks which are accomplished to maintain a strong environmental program. Program management includes, but is not limited to items such as environmental corrective actions, Hazardous waste management, ECAMP auditing, Training, Environmental Project reviews, Environmental planning activities, and Natural resources actions; 15. ANG Security Guard - provide Federal support for services provided by the States for authorized expenses incurred in rendering security guard service; and 16. ANG Fire Protection Activities provide Federal support for services provided by the States for authorized fire protection activities. 17. ANG Natural and Cultural Resources Management - provide Federal support for Natural and Cultural resource Management projects which are initiated to comply environmental laws, conserve and restore the environment; 18. ANG Air Traffic Control Activities - provide Federal support to the State for sufficient personnel, equipment (except GFE), tools, materials, supervision and other items/services necessary to perform non-approach control air traffic control, and aviation weather observing/reporting services; 19. ANG Paint Facility Activities - provide Federal support for paint facility activities, which include but are not limited to, painting aircraft, and administrative support; 20. ANG Services Resources Management -

provide Federal support for State services employees training, lodging and food service activities, i.e., cooks, custodial support and, food service accounting. Note: State means any of the States of the United States, District of Columbia, the Commonwealth of Puerto Rico, Virgin Islands, and Guam, including their political subdivisions, counties, municipalities, cities, towns, townships, local public authorities and tax-supported agencies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To provide a combat-ready reserve force in the Army and Air Force National Guard units in the 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam.

**Applicant Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam. The State National Guard unit must be federally recognized.

**Beneficiary Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam. The State National Guard must be federally recognized.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The State Adjutant General submits proposed projects in accordance with National Guard Bureau criteria guidelines.

**Award Procedure:**

After Congress authorizes, approves, and appropriates funds, the National Guard Bureau reviews and approves all necessary plans, specifications, and other documentation, the award can be made.

**Deadlines:**

Not later than June 30, the States shall submit a budget to NGB, for review/approval, for each succeeding fiscal year (September 1 through October).

**Range of Approval/Disapproval Time:**

From 1 to 2 months.

**Appeals:**

None.

**Renewals:**

Requires submission of a budget proposal for the coming fiscal year.

**Formula and Matching Requirements:**

Federal funds provide from 75 percent to 100 percent of cost for these programs.

**Length and Time Phasing of Assistance:**

Twelve month funding.

**Reports:**

States must submit certified vouchers for each payment to the United States Property and Fiscal Officer of the State.

**Audits:**

Governed by Single Audit Act of 1984.

**Records:**

Maintained at State level.

**Account Identification:**

57-3840-0-1-051.

**Obligations:**

(Cooperative Agreements) FY 07 \$100,000,000; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 and up.

**PROGRAM ACCOMPLISHMENTS:**

All programs have been successful. For specific accomplishments for the programs listed in Objectives above, please contact the Program Managers listed in Appendix IV of the Catalog under National Guard Bureau Headquarters Offices.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

See Appendix IV of the Catalog.

**Web Site Address:**

<http://www.ngb.dtic.mil/indexshtm/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

ARNG Real Property O&M Projects (RPOMA); Environmental Resources Management; Security Guard Activities; Electronic Security System; Telecommunications; Aviation Operations; Automated Target Systems; Full Time Dining Facility Operations; Store Front Office Recruiting Lease; Administrative Services Activities; ARNG Air and Surface Petroleum, oil and lubricants; ARNG Aviation Reimbursable Maintenance Operations; Air National Guard (ANG) Facilities O&M; ANG Environmental; ANG Security Guard; (ANG) Fire Protection; (ANG) Natural and Cultural Resources Management; (ANG) Air Traffic Control Activities and (ANG) Paint Facility

Activities.

**CRITERIA FOR SELECTING PROPOSALS:**

States shall submit annual financial plans which will be reviewed, prioritized, and approved by the appropriate NGB Program Manager.

**12.404 NATIONAL GUARD CIVILIAN YOUTH OPPORTUNITIES**

**FEDERAL AGENCY:**

DEPARTMENT OF THE ARMY, NATIONAL GUARD BUREAU,  
DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Defense Appropriation Act, as amended, 32 U.S.C. 509; 10 U.S.C. 2193.

**OBJECTIVES:**

The Secretary of Defense, acting through the Chief of the National Guard Bureau, conducts a National Guard civilian youth opportunities program (to be known as the "National Guard ChalleNGe Program") to use the National Guard to provide military-based training, including supervised work experience in community service and conservation projects, to civilian youth who cease to attend secondary school after graduating so as to improve the life skills and employment potential of such youth.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To carry out the National Guard ChalleNGe Program in a State, the Secretary of Defense shall enter into an agreement with the Governor of the State or, in the case of the District of Columbia, with the commanding general of the District of Columbia National Guard, under which the Governor or the commanding general will establish, organize, and administer the National Guard ChalleNGe Program in the State. The agreement may provide for the Secretary to provide funds to the State for civilian personnel costs attributable to the use of civilian employees of the National Guard in the conduct of the National Guard ChalleNGe Program.

**Applicant Eligibility:**

The Secretary of Defense shall provide for the conduct of the National Guard ChalleNGe Program in such States and U.S. territories and possession as the Secretary considers to be appropriate, except that Federal expenditures under the program may not exceed \$62.5M for fiscal year 01.

**Beneficiary Eligibility:**

The Secretary of Defense shall provide for the conduct of the National Guard ChalleNGe Program in such States and U.S. territories and possession as the Secretary considers to be appropriate, except that Federal expenditures under the program may not exceed \$62.5M for fiscal year 01.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The State shall develop a plan which includes details on student application and selection procedures, number of students to be trained, staffing, curriculum, Post-Residential phase execution, facilities and services, State public and private service to be provided and a detailed budget.

**Award Procedure:**

After Congress authorizes, approves, and appropriates funds for the project and the National Guard Bureau reviews and approves all necessary plans, specifications, bidding documents, contracts and other documentation, the award can be made.

**Deadlines:**

Not available.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The amount of assistance provide under this section to a State program of the National Guard ChalleNGe Program may not exceed: (1) For fiscal year 2000, 65 percent of the costs of operating the State program during the year; and (2) for fiscal year 2001 and each subsequent fiscal year, 60 percent of the costs of operating the State program during that year."

**Length and Time Phasing of Assistance:**

One year from the approval of the agreement.

**Reports:**

State must submit certified vouchers for each payment to the U.S. Property and Fiscal Officer of the State. Within 90 days after the end of each fiscal year, the Secretary of Defense shall submit to Congress a report on the design, conduct, and effectiveness of the National Guard ChalleNGe Program during the preceding fiscal year. In preparing the report, the Secretary shall coordinate with the Governor of each State in which the National Guard ChalleNGe Program is

carried out and, if the program is carried out in the District of Columbia, with the commanding general of the District of Columbia National Guard.

**Audits:**

Governed by the Single Audit Act of 1984. The USPFO shall conduct an annual internal review of the program. The internal review shall commence 90 days after the close of the program budget year.

**Records:**

An inventory of program assets by each State.

**Account Identification:**

57-3840-0-1-051.

**Obligations:**

(Grants) FY 07 \$62,500,000; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Section 509(b) limits the use of Federal funds in an amount not to exceed \$62.5M for fiscal year 05.

**PROGRAM ACCOMPLISHMENTS:**

The ChalleNGe and Starbase programs have grown during the past 9 years from ideas into the most successful programs of their types in the United States. ChalleNGe has grown from a pilot program of 10 States to a permanent program with 25 States currently participating and more than 22,000 graduates. Starbase has grown from 1 program to the 19 that exist today, and has been adopted by the Navy and Air Force Reserve.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DoD and NGB guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

NGB/NGB-YP (Youth Programs Division), 1411 Jefferson Davis Highway, JP1, Arlington, VA 22202-3221. Telephone: (703) 607-5975. (Use 327-5975 for DSN).

**Web Site Address:**

<http://www.ngb.dtic.mil/indexstm/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

ChalleNGe, Youth Conservation, and STARBASE.

**CRITERIA FOR SELECTING PROPOSALS:**

States shall submit annual financial plans which will be reviewed, prioritized, and approved by the appropriate NGB Program Manager.

**12.420 MILITARY MEDICAL RESEARCH AND DEVELOPMENT**

**FEDERAL AGENCY:**

DEPARTMENT OF ARMY ARMY RESEARCH AND MATERIAL  
COMMAND, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2358.

**OBJECTIVES:**

To reduce illness and injury among U.S. military personnel on the battlefield through basic and applied medical research executed largely through grants and contracts with civilian educational and research institutions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Recipients are required to conform to their accepted research protocol and are usually required to submit some form of annual or project report. Project support is limited to fundamental research which is defined as basic and applied research aimed at sustaining the technology base or understanding a biological- medical process, thereby providing a technological edge in solving complex biological-medical problems and countering future military medical threats. Some grants are also awarded to support conferences and symposiums.

**Applicant Eligibility:**

Applicants must be a public, nonprofit institution/organization, other public institution/organization, private nonprofit institution/organization, specialized group, or quasi-public nonprofit institution/organization.

**Beneficiary Eligibility:**

Beneficiaries are relatively independent investigators associated with an applicant organization.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial and managerial capability as well as a certification of compliance with Federal, State, and local environmental laws, ordinances and regulations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants should obtain a copy of the U.S. Army Medical Research and Development Command's Broad Agency Announcement (BAA) which describes the full research program and includes necessary forms and instructions for proposal submissions. BAA's may be obtained by request in writing from U.S.

Army Medical Research and Development Command, ATTN: MCMR-ACQ-BA, Fort Detrick, Frederick, MD 21702-5012. Pre-proposals are encouraged prior to submission of a formal application. (See also [www.fedbizopps.gov](http://www.fedbizopps.gov), search on Army Medical Command).

**Award Procedure:**

Proposals are evaluated by in-house committee or by a combination of in-house and extramural review committees against the following factors: (1) Military and program relevance; (2) research objective; (3) scientific feasibility; (4) qualifications; (5) facilities; and (6) budget. The final stage of evaluation is the establishment of an order of merit in which all competing proposals are ranked on the basis of their respective military relevance and scientific merit evaluations. Award amount will be negotiated with those proposals recommended for acceptance. Awards depend upon the availability of funds and the priority which USAMRDC determines to exist at the time of award.

**Deadlines:**

No overall program deadlines exist. Individual research areas may initiate deadlines which will be communicated upon review of the pre-proposal.

**Range of Approval/Disapproval Time:**

Pre-proposals are normally reviewed within 60 to 120 days. Formal proposals are usually reviewed and notifications received within 6 months from submission. Grant award dates are normally within 6 months from notification.

**Appeals:**

Not applicable.

**Renewals:**

Once a grant is awarded, any follow-on research proposal is treated as a new request. Follow-on work should allow for the review time noted above.

**Formula and Matching Requirements:**

This program has no formula or matching requirements.

**Length and Time Phasing of Assistance:**

The length of time for which support is requested should be consistent with the nature and complexity of the proposed research. The maximum period acceptable for a research proposal is 5 years. Funds are normally released on a quarterly basis.

**Reports:**

Quarterly financial reports and a final financial transactions report, i.e., SF 272 are required. Additionally, some grants may require midterm and/or final technical reports.

**Audits:**

Defense Contract Audit Agency or Department of Health and Human Services Audit Agency with no specific frequency established.

**Records:**

Recipients are required to maintain records adequate to reflect the nature and extent of their costs and expenditures and to insure that the required cost of participation is achieved. Records must be maintained for 3 years following the date of submission of final reimbursement request for services rendered.

**Account Identification:**

21-2040-0-1-051.

**Obligations:**

(Grants) FY 07 est \$140,000,000; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$100,000 to \$5,000,000. Average: \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Army Medical Research and Development Command Board Agency Announcement (BAA) available without cost from the sponsoring agency. OMB Circular Nos. A-110 and A-122 are applicable to the project grants.

**Regional or Local Office:**

Commander, U.S. Army Medical Research Acquisition Activity, Attn: SGRD-RMA-RC, Fort Detrick, Frederick, Maryland 21702-5014. POC: Mr. Craig D. Lebo. Telephone: (301) 619-2036.

**Headquarters Office:**

U.S. Army Medical Research and Material Command, ATTN: MCMR-ACQ-BA, Fort Detrick, Frederick, MD 21702-5012. Telephone: (301) 619-7216.

**Web Site Address:**

<http://mrmc-www.army.mil>; <http://cdmrp.army.mil>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Characterization and Utilization of Opioid-Like Hibernation Factors, \$621K; (2) Analysis of Investigational Drugs in Biological Fluids, Method Development and Routine Assay, \$2.4M; (3) Studies of Altered Response to Infection Induced by Severe Injury, \$1.1M; and (4) Mechanisms of Cutaneous Vesication, \$862K.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**12.431 BASIC SCIENTIFIC RESEARCH**

**FEDERAL AGENCY:**

ARMY RESEARCH OFFICE, ARMY MATERIAL COMMAND

**AUTHORIZATION:**

Public Laws 79-588, 87-651, 97-86, 10 U.S.C. 5150- 5153; 10 U.S.C. 2358, as amended; 10 U.S.C. 2361; 10 U.S.C. 6304.

**OBJECTIVES:**

To support basic research that is related to or has potential for leading to the improvement of Army programs or operations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Basic Research in the mathematical, physical, engineering, biological and geosciences providing knowledge necessary for the Army to make informed decisions about further exploratory development to provide the technology base from which Army capabilities are drawn. Partial support of symposia in the listed disciplines. Programs to encourage careers in science and engineering by support to outstanding graduate, undergraduate and high school students pursuing studies in areas of Army concern. Programs to increase science and engineering graduates from under-represented minority groups. Programs providing means for universities to buy major, high-cost research equipment.

**Applicant Eligibility:**

Educational institutions and nonprofit scientific research organizations.

**Beneficiary Eligibility:**

Educational institutions and nonprofit scientific research organizations.

**Credentials/Documentation:**

The following documentation is required to be submitted with offerors proposals: Cover page and information requested thereon (ARO Form 51); Statement of Disclosure Preference (AR Form 52 or 52A); Abstract; Technical Proposal; and Cost Proposal including SF 1411. The technical portion of the proposal should contain the following: A complete discussion stating the background and objectives of the proposed work; information that will identify the magnitude of the research program currently underway by the proposed principal investigator(s) such as (i) description of the work, (ii) the annual dollar volume of the effort, (iii) the names Federal, State, local agencies or other parties presently funding the work or requested to fund such work, and (iv) a complete breakdown of the time of the principal investigator and/or co-principal investigator; brief biographical information and list of recent publications of the offeror's key personnel who will be involved in the research; type of support requested, for example, facilities, equipment, materials; names of other Federal, State, local agencies or other parties receiving the proposal and/or funding the proposed effort; statement regarding possible impact if any of the proposed effort on the environment; brief description of organization; and identity of facilities to be used for the work if appropriate for an understanding of the proposal. The cost proposal must be a complete and thoroughly documented estimate of the proposed costs of the research project.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to OMB Circular No. A-110. All eligible organizations may submit proposals in response to ARO's general and specific broad agency announcements (BAAs) published annually or as the need arises in the Federal Business Opportunities ([www.fedbizopps.gov](http://www.fedbizopps.gov)). Information regarding areas of scientific interest and points of contact are contained in the BAAs. Application and award procedures are also contained in the BAA brochures. Pre-proposal contacts are encouraged prior to submission of a formal application.

**Award Procedure:**

Upon receipt of a proposal, the ARO scientific staff will perform an initial review of its scientific merit and potential contribution to the Army mission and also determine if funds are expected to be available for the effort. Proposals not considered to have sufficient scientific merit or relevance to the Army's needs or those in areas for which funds are not expected to be available may be declined without further review. Proposals not declined as a result of the initial review may be subject to an extensive peer review by highly qualified scientists from within the government and leading scientists and other preeminent experts outside the government. Each proposal will be evaluated based on how the proposal relates to the overall ARO program rather than against other proposals for research in the same general area normally using the following factors: (1) overall scientific and/or technical merits; (2) military and program relevance; (3) capabilities, related experience, facilities, techniques or unique combinations of these; (4) qualifications, capabilities and experience of the proposed principal investigator, team leader or other key personnel; (5) record of past performance; and (6) reasonableness and realism of proposed costs. If selected for award, the proposal is incorporated into a grant document and the awardee agrees to perform the research described therein.

**Deadlines:**

Proposals may be submitted at any time during the indicated submission time contained in the BAA.

**Range of Approval/Disapproval Time:**

Formal proposals are normally reviewed and notification made within six months from submission. Grant awards are usually made within three months from notification.

**Appeals:**



Not applicable.

**Renewals:**

Once a grant is awarded, any follow-on research proposal is treated as a new request. Follow-on work should allow for the review time noted in the "award procedure" above.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The length of time for which support is requested should be consistent with the nature and complexity of the proposed research. It is preferred that proposals submitted cover a three year period with each year proposed as a severable unit. The maximum period acceptable for a research proposal is five years. Funds are normally provided in individual grants according to a quarterly schedule of payments.

**Reports:**

Quarterly financial reports (SF 272) and a final transactions report (SF 269) are required. Additionally, grants require interim technical, progress and final reports as outlined in ARO Form 18, U.S. Army Research Office Reporting Instructions; a copy of which is provided to each awardee. In addition, awardees are required to provide ARO copies of manuscripts and reprints.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain records adequate to document costs incurred. Financial records, supporting documents, statistical records and all other records pertinent to an agreement will be retained for a period of 3 years. The retention period starts from the date of the submission of the final expenditure report or, for grants that are renewed annually, from the date of the submission of the annual financial status report. The recipient will allow access to any pertinent books, documents, papers, and records of the recipient organization and their subrecipients to make audits, examinations, excerpts and transcripts.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Army Research Office Broad Agency Announcement (BAA) is available without cost from the sponsoring agency. OMB Circular Nos. A-110, A-133, A-88, and A-21; DoD Instruction 3218.2; DoD Directive 3210.2; DoD Directive 3210.6; are applicable to the project grants.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. George Neece, U.S. Army Research Office, ATTN: AMXRO-RT, P. O. Box 12211, Research Triangle Park, NC 27709-2211. Telephone: (919) 549-4204; DSN 832-4204.

**Web Site Address:**

<http://www.amc.army.mil>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

1. Research entitled Focused Ion Beam Fabrication of Microelectronic Structures at the Massachusetts Institute of Technology; 2. research entitled Manufacturing Science Reliability and Maintainability Technology at the University of Delaware; 3. National Defense Science and Engineering Graduate Fellowship in Materials Science with Dr. Patrick T. Mather at the University of California; 4. Center of Excellence in Rotary Wing Technology at Rensselaer Polytechnic Institute; and 5. Research performed by a historically black college/university entitled Computational Methods for the Simulation of Non-Newtonian Flows at Hampton University.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are as indicated in the Award Procedures.

**12.550 NATIONAL FLAGSHIP LANGUAGE PROGRAM GRANTS TO U.S. INSTITUTIONS OF HIGHER EDUCATION**

(National Security Education Program (NSEP))

**FEDERAL AGENCY:**

OFFICE OF THE UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

50 U.S.C. 1901-1911.

**OBJECTIVES:**

(1) To establish centers for the teaching of critical languages to the ILR level 3 (ACTFL Superior level) and beyond in Arabic, Chinese, Russian, Korean, Persian, Hindi, and Urdu; (2) To develop curricular, institutional, and instructional models for advanced language learning; (3) To test those models; (4) To stimulate institutional support and long term commitment to reforming language learning; and (5) To improve national capacity in critical languages.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant awards are made to U.S. institutions of higher education to develop or strengthen their capabilities to enhance the national capacity and educate U.S. citizens in critical languages & cultures together with a variety of academic and professional disciplines. The National Security Education Act places no special or unique requirements on grantee institutions. Only requirements that govern all Federal grants will apply to NSEP grants. No International exchange programs may be funded by NSEP.

**Applicant Eligibility:**

Any accredited U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a) is eligible to apply for a grant. This includes 2 and 4 year colleges and universities, both public and private. Other organizations, associations, agencies, and foreign institutions may be included in proposals but may not be direct recipients of a grant. Federal government schools are not eligible.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education and their students.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible, private and public U.S. institutions of higher education may submit proposals in response to the relevant agency announcements.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Specified in requests for applications released on behalf of NSEP by the Institute of International Education Center (IIE) and the Center for Applied Study of Languages (CASL).

**Range of Approval/Disapproval Time:**

From 45 to 60 days at each stage of a two-stage process.

**Appeals:**

None.

**Renewals:**

Renewals are negotiated through IIE, and are conducted annually based on performance.

**Formula and Matching Requirements:**

No less than 25% of the grant supported program costs are required to be shared by a grant recipient.

**Length and Time Phasing of Assistance:**

Grants are multi-year renewed each year based on performance.

**Reports:**

Semi-annual progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Comptroller General of the United States or a duly authorized representative from the General Accounting Office shall, until 3 years after final payment under this grant have access to and right to examine any of the recipient's directly pertinent books, documents, papers, or other records involving transactions related to this grant.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

FY 07 \$12,000,000; FY 08 est \$12,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grants ranges from \$150,000 to \$1,000,000 annually for multi-year projects.

**PROGRAM ACCOMPLISHMENTS:**

Participants in NSEP grant programs are provided instruction in Arabic, Hindi, Urdu, Central Asian Languages, Russian, Korean, Persian, and Mandarin

through domestic and overseas study, and achieve professional-level proficiency (ILR Level 3/3/3).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Requests for Applications are released by IIE at <http://www.iie.org/nsep>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Robert O. Slater or Ms. Stacia Falat, Department of Defense, National Defense University, National Security Education Program, 1101 Wilson Boulevard, Suite 1210, Arlington, VA 22209-2248. Telephone: (703) 696-1991, E-Mail Address: [nsepo@ndu.edu](mailto:nsepo@ndu.edu).

**Web Site Address:**

<http://www.casl.umd.edu/nflp>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The NFLP grants have been awarded to establish an infrastructure that provides instruction to reach ILR Level 3 in the following language and at the following institutions: Arabic Georgetown University and the University of Maryland, College Park; Chinese Brigham Young University, Ohio State University, University of Oregon (K-16 effort in partnership with Portland Public Schools; Korean University of California, Los Angeles; University of Hawaii, Manoa; Persian University of Maryland, College Park; Russian Bryn Mawr College (consortium).

**CRITERIA FOR SELECTING PROPOSALS:**

Significance of the problem and proposal's response to the problem; proposals effectiveness, and evaluation plans.

**12.551 NATIONAL SECURITY EDUCATION PROGRAM  
DAVID L. BOREN SCHOLARSHIPS**

**FEDERAL AGENCY:**

OFFICE OF THE UNDER SECRETARY OF DEFENSE, PERSONNEL AND READINESS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

50 U.S.C. 1901-1911.

**OBJECTIVES:**

(1) To equip Americans with an understanding of less commonly taught languages and cultures; (2) to build a critical base of future leaders both in the marketplace and in government service; (3) to develop a cadre of professionals with more than the traditional knowledge of language and culture; and (4) to enhance institutional capacity and increase the number of faculty who can educate U.S. citizens toward achieving these goals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Scholarship awards are given to degree-seeking undergraduate U.S. citizens enrolled in academic and professional programs at U.S. institutions of higher education. All NSEP scholarship recipients agree to seek employment in the federal government, and serve for a period of time equal to the length of the award but no less than one year.

**Applicant Eligibility:**

Any U.S. citizen enrolled in an accredited 2 or 4 year public or private U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a) is eligible to apply for an undergraduate scholarship. Students enrolled in Federal government schools are not eligible.

**Beneficiary Eligibility:**

U.S. students enrolled in public or private two- or four-year accredited U.S. institutions of higher education.

**Credentials/Documentation:**

Proof of enrollment and proof of U.S. citizenship.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible, U.S. undergraduate students may apply for scholarships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Specified in annual application, usually in January or February.

**Range of Approval/Disapproval Time:**

From 70 to 90 days.

**Appeals:**

None.

**Renewals:**

Freshmen and sophomore Boren Scholarship recipients are eligible for a second Boren Scholarship by competing as an upperclassman. Juniors and seniors may receive only one Boren Scholarship. Boren Scholarship recipients may be

eligible to apply for David L. Boren Fellowships or National Flagship Language Program Fellowships.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Eligible students may receive Boren Scholarships for no more than twelve (12) months.

**Reports:**

Semi-annual progress reports are required while receiving funding followed by annual service agreement reports until service requirement is fulfilled.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

(Undergraduate Scholarships) FY 07 est \$2,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Award amounts are based on the study abroad costs and financial aid information provided by the applicant. The maximum award is \$8,000 for a summer, \$10,000 for a semester, or \$20,000 for a full academic year. Scholarship support can be for no less than eight (8) weeks, and no more than twelve (12) months. Average awards are approximately \$10,000 per scholar.

**PROGRAM ACCOMPLISHMENTS:**

Since 1996, NSEP has awarded Boren Scholarships to nearly 2000 U.S. citizens from all 50 States and the District of Columbia. These scholarships have enabled the study of over 63 less-commonly taught languages in 68 less-commonly studied countries and world regions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); Department of Defense Instructions 1025.02, "National Security Education Program," March 09, 2006; and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ms. Stacia Falat, National Defense University, National Security Education Program, Rosslyn P.O. Box 20010, 1101 Wilson Blvd, Suite 1210, Arlington, VA 22209-2248. Telephone: (703)696-1991, E-Mail: [nsepo@ndu.edu](mailto:nsepo@ndu.edu) or Mr. Christopher Powers, Institute of International Education, NSEP David L. Boren Scholarship Program, 1400 K Street, N.W., Washington, DC 20005-2403. Telephone: (800)618-6737, E-mail: [nsep@iie.org](mailto:nsep@iie.org).

**Web Site Address:**

<http://www.iie.org/programs/nsep/undergraduate/>.

**RELATED PROGRAMS:**

12.552, National Security Education Program David L. Boren Fellowships; 12.553 National Flagship Language Program Fellowships.

**EXAMPLES OF FUNDED PROJECTS:**

Sophomore international relations major and Southeast Asia area studies minor from Loyola University Chicago learned Hindi in Udaipur, India on a University of Minnesota international development program. Junior political science major from the University of Illinois at Chicago studied Arabic at Al Akhawayn University in Ifrane, Morocco.

**CRITERIA FOR SELECTING PROPOSALS:**

Boren Scholarship recipients are selected based on merit including (1) academic record and potential to succeed in the proposed study, (2) commitment to federal service, (3) language interests and aptitude, and (4) quality and appropriateness of the proposed program and its relevance to the National Security Education Program.

**12.552 NATIONAL SECURITY EDUCATION PROGRAM  
DAVID L. BOREN FELLOWSHIPS**

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE, STRATEGY AND REQUIREMENTS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

50 U.S.C. 1901-1910.

**OBJECTIVES:**

(1) To equip Americans with an understanding of less commonly taught languages and cultures; (2) to build a critical base of future leaders both in the marketplace and in government service; (3) to develop a cadre of professionals with more than the traditional knowledge of language and culture; and (4) to enhance institutional capacity and increase the number of faculty who can educate U.S. citizens toward achieving these goals.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

Fellowship awards are made to degree-seeking graduate-level U.S. citizens who are enrolled in academic and professional programs at a U.S. institution of higher education to study in critical world areas. All Boren Fellowship recipients agree to seek employment with the U.S. federal government, and serve for a period of time equal to the length of the award but no less than one year.

**Applicant Eligibility:**

Any U.S. citizen enrolled in an accredited public or private U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a)) is eligible to apply for a graduate fellowship. Students enrolled in Federal government schools are not eligible.

**Beneficiary Eligibility:**

U.S. students enrolled in public or private accredited U.S. institutions of higher education.

**Credentials/Documentation:**

Proof of enrollment and proof of U.S. citizenship.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible, U.S. graduate students may apply for fellowships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Specified in annual application, usually in January or February.

**Range of Approval/Disapproval Time:**

From 70 to 90 days.

**Appeals:**

None.

**Renewals:**

Boren Fellows who achieve an advanced level of language proficiency (ACTFL Advanced) in Arabic, Korean, Mandarin, Persian, Russian other select languages are eligible to apply for a National Flagship Language Program Fellowship.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Eligible students may receive a fellowship from NSEP to study for no less than one academic semester and no more than 12 months overseas, and up to 4 semesters domestically. Domestic study is not a required application component to receive funding. Domestic study is limited to language or area studies that enhance a degree program. Total maximum duration is two years.

**Reports:**

Semi-annual progress reports are required while receiving funding followed by annual service agreement reports until service requirement is fulfilled.

**Audits:**

None.

**Records:**

Not applicable.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

FY 07 est \$2,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Up to \$24,000 for overseas study, and up to \$12,000 for domestic study for a maximum of up to \$30,000. Average awards are approximately \$20,000 per fellow. If only requesting funding for overseas study, it must be at least two semesters in duration. If including a domestic study component, the overseas portion of the funding request must be higher.

**PROGRAM ACCOMPLISHMENTS:**

Since 1996, NSEP has awarded over 1100 Boren Fellowships to U.S. citizens from all 50 States and the District of Columbia. These fellowships have enabled study of over 91 less-commonly taught languages in 105 less-commonly studied countries and world regions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); Department of Defense Instructions 1025.02, "National Security Education Program," March 09, 2006; and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Kevin Gormley, Department of Defense, National Security Education Program, Rosslyn P.O. Box 20010, 1101 Wilson Blvd, Suite 1210, Arlington, VA 22209-2248. Telephone: (703)696-1991, E-Mail Address: nsepo@ndu.edu or Mr. Christopher Powers, Institute of International Education, NSEP David L. Boren Fellowship Program, 1400 K Street, NW, Washington, DC 20005-2403. Telephone: (800)618-6737, E-mail Address: nsep@iie.org.

**Web Site Address:**

<http://www.iie.org/programs/nsep/graduate/>

**RELATED PROGRAMS:**

12.551, National Security Education Program David L. Boren Scholarships;

12.553, National Flagship Language Program Fellowships.

**EXAMPLES OF FUNDED PROJECTS:**

A Ph.D. candidate researching infectious diseases in Malaysia, while studying Malay; a Master's degree student learning Russian and studying Russian environmental policy and business developments; a Ph.D. student researching nationalist movements in the former Soviet Union, studying both Turkish and Uzbek; a Master's degree student studying both Mandarin and Cantonese while researching U.S. business firms hoping to establish competitive trade platforms in the Far East; and a Ph.D. student reviewing Japan's foreign aid policy towards Africa, while studying Japanese.

**CRITERIA FOR SELECTING PROPOSALS:**

Boren Fellowship recipients are selected based on merit including (1) academic record and potential to succeed in the proposed study, (2) commitment to federal service, (3) language interests and aptitude, and (4) quality and appropriateness of the proposed program and its relevance to the National Security Education Program.

**12.553 NATIONAL FLAGSHIP LANGUAGE PROGRAM FELLOWSHIPS**

National Security Education Program (NSEP)

**FEDERAL AGENCY:**

OFFICE OF THE UNDER SECRETARY OF DEFENSE, PERSONNEL AND READINESS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

50 U.S.C. 1901-1911.

**OBJECTIVES:**

The National Flagship Language Program (NFLP) is designed to address the urgent and growing need for Americans with professional levels of competency in languages critical to national security. NFLP offers advanced language training in Arabic, Hindi, Korean, Mandarin, Persian, Russian, and Urdu. NFLP is designed to train participants to reach professional working proficiency in a target language, as measured by the federal Interagency Language Roundtable (ILR) level 3 and/or the American Council on the Teaching of Foreign Languages (ACTFL) superior level.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

Fellowship awards are made to U.S. citizens with at least a bachelor's degree who enroll in domestic and overseas study through one of the designated NFLP institutions. Flagship Fellowship recipients agree to seek employment with the U.S. federal government, and serve for a period of time equal to the length of the award but no less than one year.

**Applicant Eligibility:**

(1) Must be a U.S. citizen at the time of application; (2) Must have a minimum proficiency in the appropriate foreign language of advanced low (as defined by ACTFL) or level 2 (as defined by ILR). You must also possess excellent skills in English (ILR level 3/ACTFL superior language proficiency or higher in all modalities of English); (3) Must complete an undergraduate degree by the time you would begin the NFLP Fellowship. Past recipients of NSEP Boren Undergraduate Scholarships or Graduate Fellowships are eligible and are encouraged to apply to this program; and (4) may not be a current U.S. government employee.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education, their students.

**Credentials/Documentation:**

Proof of U.S. citizenship and at least a bachelor's degree by the time participation in the NFLP begins.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible, U.S. citizens may apply for fellowships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Specified in annual application, usually in January.

**Range of Approval/Disapproval Time:**

Between 70 and 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Eligible students may receive a fellowship from NSEP to study for no less than one academic year, and no more than two (2) years in a combination of domestic



and overseas study. The duration of study is dependent upon proficiency in the target language upon entering the NFLP and the progress made to reach ILR level 3. Typical duration is either one or two academic years.

**Reports:**

Semi-annual progress reports are required on initiatives to fulfill service obligations incurred.

**Audits:**

None.

**Records:**

Not applicable.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

FY 07 \$12,000,000; FY 08 est \$12,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Awards cover all program costs for one or two academic years. Average awards are approximately \$38,000 per fellow, and range from approximately \$30,000 to \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

Since 2003, NSEP has awarded over 100 Flagships Fellowships to U.S. citizens. This unprecedented program is achieving consistent proficiency results among its graduates of ILR level 3 in Arabic, Mandarin, Korean, and Russian. New programs are underway in Persian, Hindi, and Urdu. Graduates of these programs are proceeding into national security positions throughout the federal government.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); Department of Defense Instructions 1025.02, "National Security Education Program," March 09, 2006; and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Ms. Stacia Falat, Department of Defense, National Security Education Program, Rosslyn P.O. Box 20010, 1101 Wilson Blvd, Suite 1210, Arlington, VA 22209-2248. Telephone: (703) 696-1991, E-Mail Address: nsepo@ndu.edu or Ms. Sharon Nishizaki, Institute for International Education, National Flagship Language Program, 1400 K Street, NW, Washington, DC 20005-2403. Telephone: (800)618-6737, E-mail Address: flagship@iie.org.

**Web Site Address:**

<http://www.iie.org/programs/nsep/flagship/>.

**RELATED PROGRAMS:**

12.550, National Flagship Language Program Grants To U.S. Institutions Of Higher Education.

**EXAMPLES OF FUNDED PROJECTS:**

A Flagship Fellow attended the NFLP Russian Language Program at St. Petersburg State University (SPSU) in St. Petersburg, Russia, and developed superior-level Russian language and culture skills. During his studies, he presented a formal academic paper in Russian to the faculty at SPSU, and interned as a consultant on international project development. Programs for Flagship Fellows are highly individualized and are typically two consecutive academic years in duration: first year in language and culture study domestically at a NFLP university program institution, second year overseas in a combination of university study and professional internships. Those with very high advanced-level proficiency upon entering a program may be awarded to study one academic year of overseas study only.

**CRITERIA FOR SELECTING PROPOSALS:**

Flagship Fellowship recipients are selected based on merit including (1) academic record and potential to succeed in the proposed study, (2) commitment to federal service, (3) language interests and aptitude, and (4) quality and appropriateness of the proposed program and its relevance to the National Security Education Program.

## 12.554 ENGLISH FOR HERITAGE LANGUAGE SPEAKERS GRANTS TO U.S. INSTITUTIONS OF HIGHER EDUCATION

National Security Education Program (NSEP)

**FEDERAL AGENCY:**

OFFICE OF THE UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

50 U.S.C. 1901-1911.

**OBJECTIVES:**

The English for Heritage Language Speakers (EHLS) program is designed to provide intensive English language instruction for U. S. citizens who are native speakers of critical languages. The goal of the program is to enable participants to reach professional working proficiency in English, as measured by the federal Interagency Language Roundtable (ILR) level 3 and/or the American Council on

the Teaching of Foreign Languages (ACTFL) superior level. The program equips participants with the ability to read, write, speak, and listen at a superior level in an effort to build a critical base of future leaders to serve in the federal government service and the broader professional community.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant awards are made to U.S. institutions of higher education to develop or strengthen their capabilities to enhance the national capacity and provide English-as-a-second-language instruction to native speakers of critical languages who are U.S. citizens. The National Security Education Act places no special or unique requirements on grantee institutions. Only requirements that govern all Federal grants will apply to NSEP grants. No International exchange programs may be funded by NSEP.

**Applicant Eligibility:**

Any accredited U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a) is eligible to apply for a grant. This includes 2 and 4 year colleges and universities, both public and private. Other organizations, associations, agencies, and foreign institutions may be included in proposals but may not be direct recipients of a grant. Federal government schools are not eligible.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education, their students, and U.S. citizens with superior-level proficiency in their native language.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible, private and public U.S. institutions of higher education may submit proposals in response to the relevant agency announcements.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Specified in requests for applications released on behalf of NSEP by the Center for Applied Linguistic (CAL).

**Range of Approval/Disapproval Time:**

From 45 to 60 days at each stage of a 2 stage process.

**Appeals:**

None.

**Renewals:**

Renewals are negotiated through CAL, and are conducted annually based on performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are multi-year renewed each year based on performance.

**Reports:**

Monthly progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program- specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Comptroller General of the United States or a duly authorized representative from the General Accounting Office shall, until 3 years after final payment under this grant have access to and right to examine any of the recipient's directly pertinent books, documents, papers, or other records involving transactions related to this grant.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

FY 07 \$2,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grants ranges from \$250,000 to \$400,000 annually for multi-year projects. Average award is approximately \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

The first cohort of participants completed the programs at the University of Washington, Seattle and Georgetown University in August 2006. Results will be available later in the year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Requests for Applications are released by CAL at <http://www.cal.org/ehls>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Kevin Gormley, Department of Defense, National Defense University,

National Security Education Program, 1101 Wilson Boulevard, Suite 1210, Arlington, VA 22209-2248. Telephone: (703) 696-1991, E-Mail Address: nsepo@ndu.edu, or Ms. Deborah Kennedy, Center for Applied Linguistics, 4646 40th Street NW, Washington, DC 20016. Telephone: (202)355-1572, E-mail Address: ehls@cal.org.

**Web Site Address:**  
<http://www.cal.org/ehls>.

**RELATED PROGRAMS:**

12.555, English for Heritage Language Speakers Scholarships.

**EXAMPLES OF FUNDED PROJECTS:**

The University of Washington, Seattle and Georgetown University offer professional-level English instruction to native speakers of Arabic, Chinese (Mandarin and Cantonese), and Russian. Participants have additional critical language proficiencies in Korean, Vietnamese, and a variety of regional dialects.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 12.555 ENGLISH FOR HERITAGE LANGUAGE SPEAKERS SCHOLARSHIPS

National Security Education Program (NSEP)

**FEDERAL AGENCY:**

OFFICE OF THE UNDER SECRETARY OF DEFENSE FOR PERSONEL AND READINESS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

50 U.S.C. 1901-1911.

**OBJECTIVES:**

The English for Heritage Language Speakers (EHLS) program is designed to provide intensive English language instruction for U. S. citizens who are native speakers of critical languages. The goal of the program is to enable participants to reach professional working proficiency in English, as measured by the federal Interagency Language Roundtable (ILR) level 3 and/or the American Council on the Teaching of Foreign Languages (ACTFL) superior level. The program equips participants with the ability to read, write, speak, and listen at a superior level in an effort to build a critical base of future leaders to serve in the federal government service and the broader professional community.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Scholarship awards are made to U.S. citizens with at least a bachelor's degree participating in one of the EHLS program sites. Scholarship recipients agree to seek employment with the U.S. federal government, and serve in a position for no less than one year.

**Applicant Eligibility:**

(1) Must be a U.S. citizen at the time of application; (2) Must have a minimum proficiency in English of advanced low (as defined by ACTFL) or level 2 (as defined by ILR); (3) must also possess excellent skills in your heritage/native language (ILR level 3/ACTFL superior language proficiency or higher in all modalities of English; (4) Must have received at least an undergraduate degree by the time of application; and (5) may not be a current U.S. government employee. Eligible native languages of interest are updated annually, a list of which is available on the program web site.

**Beneficiary Eligibility:**

U.S. citizens with superior-level proficiency in their native language, and partner institutions of higher education.

**Credentials/Documentation:**

Proof of U.S. citizenship and Bachelor's degree or higher.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible U.S. citizens may apply for scholarships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Specified in annual application, usually in October.

**Range of Approval/Disapproval Time:**

Between 70 and 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Eligible students may receive EHLS scholarships for the duration of one program term (approximately six months).

**Reports:**

Annual progress reports required on initiatives to fulfill service obligations incurred.

**Audits:**

None.

**Records:**

Not applicable.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

FY 07 \$2,000,000; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Scholarships include all tuition and fees and a small monthly stipend for the duration of the program approximately six months. The average scholarship is approximately \$24,000.

**PROGRAM ACCOMPLISHMENTS:**

The first cohort of participants completed the programs at the University of Washington, Seattle and Georgetown University in August 2006. Results will be available later in the year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); Department of Defense Instructions 1025.02, "National Security Education Program," March 09, 2006; and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Kevin Gormley, Department of Defense, National Security Education Program, Rosslyn P.O. Box 20010, Arlington, VA 22209-2248. Telephone: (703)696-1991, E-Mail Address: nsepo@ndu.edu or Mr. Christopher Powers, Institute for International Education, English for Heritage Language Program, 1400 K Street, NW, Washington, DC 20005-2403. Telephone: (800)618-6737, E-mail Address: nsepo@iie.org.

**Web Site Address:**

<http://www.cal.org/ehls>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A native Arabic speaker with a Masters degree in agriculture wishes to work in horticultural sciences and issues related to food security. A native Mandarin Chinese speaker with expertise in accounting is currently looking for positions in federal financial management. A native Russian speaker with a Ph.D. in nuclear physics hopes to secure a position with the Nuclear Regulatory Commission.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 12.607 COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION, REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION

**FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Military Base Reuse Studies and Planning Assistance, 10 U.S.C Section 2391; Defense Base Clouser and Realignment Act of 1990, Section 2905 of Public Law 101-510, as amended.

**OBJECTIVES:**

Assistance for States and communities to: plan and carry out adjustment strategies; engage the private sector in order to plan and undertake community economic development and base redevelopment; and, partner with the Military Departments in response to the proposed or actual expansion, establishment, realignment or closure of a military installation by the Department of Defense (DoD).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is structured through an assigned Project Manager working with an affected State and/or local government, and may be used to plan and carry out local economic adjustment programs, including, but not limited to: base redevelopment and business/financial plans; infrastructure assessments and feasibility studies; organizational staffing, operating, and administrative expenses; redevelopment and economic development capacity-building; architecture and engineering activities; land use plans; specialized environmental and legal services; public outreach; and, other activities necessary for a community to capably respond to Defense actions. Assistance may not be used to duplicate or supplant DoD activities in carrying out an expansion, establishment, realignment, or closure of a military installation.

**Applicant Eligibility:**

Applicants for this assistance are to contact the Office of Economic Adjustment

to have a Project Manager assigned who, in turn, will work with the applicant to determine eligibility for assistance under this program. States, cities, counties, other political subdivisions of a State, special purpose units of a State or local government, and tribal nations are eligible for this assistance if there is a proposed or actual establishment, realignment, or closure of a military installation. In the case of the establishment or expansion of a military installation, assistance may be made only if community impact assistance is not otherwise available.

**Beneficiary Eligibility:**

States and communities, including workers, businesses, and other community interests that may be affected by Department of Defense activity.

**Credentials/Documentation:**

Applicants must document: (1) an establishment, expansion, realignment, or closure of a military installation has occurred or will occur; and (2) any known or anticipated local impacts from the action on the beneficiary. The assigned OEA Project Manager will work with the Applicant to identify other necessary information.

**Preapplication Coordination:**

Parties interested in obtaining assistance under this program should contact OEA at: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704, (703)604-6020, or by E-mail at [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil). OEA, in turn, will assign a Project Manager to work closely with the affected State or community to craft a responsive program of technical and, where eligible, project grants. The Project Manager will provide necessary information to prepare and submit an application for financial assistance under this program. Additionally, E.O. 12372, "Intergovernmental Review of Federal Programs," applies to this program. An applicant should consult their respective office or official designated as the single point of contact for their State for more information on the process that the State may require to be followed in applying for assistance.

**Application Procedure:**

Applications are necessary for the project grants available under this program and must be invited by the Office of Economic Adjustment through an assigned Project Manager. The standard application forms required by 32 CFR Part 33, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments will comprise an application for assistance once they are invited. Applications and supporting documentation should be submitted to the Director of the Office of Economic Adjustment, Department of Defense. Applicants will generally be invited to submit their requests for assistance electronically. In instances where, for whatever reason, an electronic application cannot be submitted, provisions will be made to accept a paper application addressed to: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, OEA will inform an Applicant of approval within seven business days of the receipt of a final, completed application. OEA will promptly inform an applicant of the rejection of any application once its due diligence has been completed.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Generally, not less than 10 percent of the project's total proposed funding is to be comprised of non-federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed on a quarterly basis, or as required.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations".

**Records:**

None.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

FY 07 \$60,000,000; FY 08 est \$45,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 - \$2,000,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Through the previous four rounds of base closures and realignments, more than \$280 million has been provided to over 70 local adjustment efforts that, in turn, have converted former defense facilities to productive mixed civilian use, including residential, commercial, office, retail, and manufacturing. These

efforts, beyond expanding the local tax base, have created over 135,000 jobs to more than offset the 130,000 jobs lost as a result of the Defense activity.

Additionally, important public uses on over 48,000 acres have been facilitated, including public airports, educational facilities, parks and recreational facilities, public health and safety centers, ports, and correctional facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133 Audits of States, Local Governments, and Nonprofit Organizations and A-87 Cost Principles for State, Local, and Indian Tribal Governments. 32 CFR Part 25 - Government-wide Debarment and Suspension (Non-procurement); 32 CFR Part 26 - Drug-Free Workplace; 32 CFR Part 28 - New Restrictions on Lobbying; 32 CFR Part 33 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. These and related publications are available on the OEA Website at <http://www.oea.gov>, under eGrants, Other Federal Grant Links.

**Regional or Local Office:**

Western Region Director, Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020. E-mail: [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil).

**Web Site Address:**

<http://www.oea.gov>.

**RELATED PROGRAMS:**

11.307, Economic Adjustment Assistance; 12.610, Community Economic Adjustment Planning Assistance for Joint Land Use Studies; 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 12.614, Community Economic Adjustment Diversification Planning; 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 17.260, WIA Dislocated Workers; 59.005, Internet-Based Technical Assistance; 59.012, 7(a) Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:**

Assistance was provided to support the actions of a Local Redevelopment Authority to organize itself to speak with one voice on behalf of an impacted area; conduct outreach to identify local homeless and community economic development needs and to balance them in the form of an economically- and environmentally-sustainable local redevelopment plan; and undertake business planning analyses and engage in other economic development activity to redevelop former military installations. Communities anticipating mission growth were provided assistance to work across local political jurisdictions to gauge likely demands/need for hard (housing, roads, schools, water and sewer) and soft (health, child care, public safety) infrastructure, including business plans to identify sustainable public financing and opportunities to leverage private and third party investment. States have received assistance to coordinate various State programs of assistance to assist local adjustment efforts, including staff assistance and regional capacity-building.

**CRITERIA FOR SELECTING PROPOSALS:**

Magnitude of impact, statutory compliance, immediacy of need, reasonableness of proposed work program and the proposed level of funding.

## 12.610 COMMUNITY ECONOMIC ADJUSTMENT PLANNING ASSISTANCE FOR JOINT LAND USE STUDIES

**FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Defense Authorization Act, 10 U.S.C. 2391.

**OBJECTIVES:**

To assist local and State governments in preparing and adopting a planning study to mitigate or prevent incompatible community development that is likely to impair the continued operational utility of a Department of Defense (DoD) military installation. Grantees and participating governments are expected to adopt and implement the study recommendations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

DoD funding may be provided to develop and recommend civilian measures that need to be taken to prevent public or private development that either presently or in the future will likely impair the operations of a military installation. Funding may also be made available to carry out the recommendations of a study.

**Applicant Eligibility:**

Local governments, States on behalf of local governments, or regional organizations composed of State or local governments may be eligible if the criteria below are met and the installation they are responding to is located within any of the several States, the District of Columbia, the Commonwealth of Puerto Rico, or Guam. An applicant may be eligible for DoD funding if: (a) the Secretary of Defense determines that encroachment of the civilian community on a military installation is likely to impair the continued operational utility of the



military installation; (b) the installation has been nominated for a study by the appropriate Military Department; and (c) the affected jurisdictions desire to work with the Military Department to address civilian encroachment through local land use planning.

**Beneficiary Eligibility:**

Local governments, States on behalf of local governments, and regional organizations composed of State and local governments that represent the affected area.

**Credentials/Documentation:**

Documentation in the form of locally-adopted resolutions or similar actions that indicate the affected government(s) will cooperate and participate in the development and implementation of the Joint Land Use Study. Also required is evidence that the proposed planning process and implementation of study recommendations will prevent further encroachment on the military installation.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact for the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Communities interested in obtaining DoD funding for community economic adjustment planning activities should contact DoD's Office of Economic Adjustment for pre-application assistance.

**Application Procedure:**

The standard application forms required by 32 CFR Part 33 must be used for this program. Applications and supporting documentation should be submitted to the Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Applicants are encouraged to use the web-based eGrants application option available on the OEA homepage at <http://www.oea.gov>.

**Award Procedure:**

Applications are approved by the Director, Office of Economic Adjustment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, complete applications for planning assistance are responded to within seven business days from receipt.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. A minimum of 25 percent of the project's total proposed funding is to be comprised of non-Federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed quarterly or as required.

**Reports:**

Quarterly financial and progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

In accordance with 32 CFR 33.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

FY 07 est \$1,200,000; and FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$45,000 - \$90,000; \$70,000.

**PROGRAM ACCOMPLISHMENTS:**

Communities developed joint land use studies and implemented recommendations that helped limit encroachment and avoid inappropriate development near military bases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133 and A-87, and 32 CFR Parts 25, 28 and 33. Related publications are available on the OEA website at no charge.

**Regional or Local Office:**

Regional Director, Western Region Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020.

**Web Site Address:**

E-mail address: [oeafeedback@osd.mil](mailto:oeafeedback@osd.mil) Website: <http://www.oea.gov>.

**RELATED PROGRAMS:**

12.600, Community Economic Adjustment.

**EXAMPLES OF FUNDED PROJECTS:**

Funds were provided to develop Joint Land Use Studies that helped communities plan for compatible use near military bases.

**CRITERIA FOR SELECTING PROPOSALS:**

Seriousness of the problem, immediacy of need, benefits to DoD and the participating government(s), and reasonableness of proposed work program and level of funding, and likelihood that the recommendations will be implemented.

## 12.611 COMMUNITY ECONOMIC ADJUSTMENT PLANNING ASSISTANCE FOR REDUCTIONS IN DEFENSE INDUSTRY EMPLOYMENT

**FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2391.

**OBJECTIVES:**

Assistance for States and communities to prepare and carry out community adjustment and economic diversification activities in response to reductions in defense industry employment resulting from: a publicly announced planned major reduction in Department of Defense (DoD) spending; the closure or significantly reduced operations of a defense facility as the result of the merger, acquisition, or consolidation of the defense contractor operating the defense facility; the cancellation or termination of a DoD contract; or the failure to proceed with an approved major weapon system program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is structured through an assigned Project Manager working with an affected State and/or local government, and may be used to plan and carry out local economic adjustment programs, including, but not limited to; assessment of local economic strengths, weaknesses, opportunities and threats; staffing, operating and administrative costs for an organization to represent the affected community; review of local Defense prime and sub contracting activity; outreach to local small businesses, workers, and other community interests; and, facility evaluations. Funds provided under this program may not be used to directly identify or assist a business, including a business expansion, in the relocation of a plant, facility, or operation from one Labor Market Area (LMA) to another if the relocation is likely to result in the loss of jobs in the LMA from which the relocation occurs.

**Applicant Eligibility:**

Applicants for this assistance are to contact the Office of Economic Adjustment to have a Project Manager assigned who, in turn, will work with the applicant to determine eligibility for assistance under this program. States, cities, counties, other political subdivisions of a State, special purpose units of a State or local government, and tribal nations are eligible for this assistance if there is: a publicly announced planned major reduction in Department of Defense (DoD) spending; the closure or significantly reduced operations of a defense facility as the result of the merger, acquisition, or consolidation of the defense contractor operating the defense facility; the cancellation or termination of a DoD contract; or the failure to proceed with an approved major weapon system program.

**Beneficiary Eligibility:**

States and communities, including workers, businesses, and other community interests, that may be affected by Defense actions.

**Credentials/Documentation:**

Applicants must document: 1) the publicly announced Defense action that has occurred or will occur; and 2) the known or anticipated impacts on the applicant due to the closure, reduction, cancellation, termination, or failure to proceed.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact for the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Communities interested in obtaining DoD funding for community economic adjustment planning activities should contact DoD's Office of Economic Adjustment for pre-application guidance.

**Application Procedure:**

The standard application forms required by 32 CFR Part 33 must be used for this program. Applications and supporting documentation should be submitted to the Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Applicants are encouraged to use the web-based eGrants application option available on the OEA homepage at <http://www.oea.gov>.

**Award Procedure:**

Applications are approved by the Director, Office of Economic Adjustment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, complete applications for planning assistance are responded to within 7 business days from receipt. Complete applications for assistance to carry out community adjustment programs are responded to within 30 business days from receipt, to the extent practicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. A minimum of 25 percent of the project's total proposed funding is to be comprised of non-Federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed quarterly or as required.

**Reports:**

Quarterly financial and progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

In accordance with 32 CFR 33.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

(Grants) FY 07 \$2,000,000; FY 08 est \$2,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$75,000 - \$250,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

In past years communities received economic adjustment planning grant assistance for defense industry impacts that resulted in a variety of diversification and job creation initiatives.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133, and A-87, and 32 CFR Parts 25, 28 and 33. Related publications are available on the OEA website at no charge.

**Regional or Local Office:**

Regional Director, Western Region Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020.

**Web Site Address:**

E-mail address: [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil) Website: <http://www.oea.gov>.

**RELATED PROGRAMS:**

11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 12.611, Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 12.614, Community Economic Adjustment Diversification Planning; 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 17.260, WIA Dislocated Workers; 59.012, 7(a) Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:**

Funds were awarded to develop and implement community economic adjustment strategies to create jobs and businesses to replace those lost due to defense industry cutbacks.

**CRITERIA FOR SELECTING PROPOSALS:**

Magnitude of impact, statutory compliance, immediacy of need, reasonableness of proposed work program and the proposed level of funding.

**12.614 COMMUNITY ECONOMIC ADJUSTMENT DIVERSIFICATION PLANNING**

(COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ADVANCE PLANNING)

**FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2391.

**OBJECTIVES:**

Assistance for States and communities to plan community adjustment and economic diversification activity to lessen an area's dependence on Defense expenditures.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is structured through an assigned Project Manager working with a Defense-dependent State and/or local government, and may be used to plan and carry out local economic adjustment programs, including, but not limited to: development of diversification studies; assessment of local economic strengths, weaknesses, opportunities and threats; analyses of local economic Standard Industry Code clusters; enhancement of local economic development capacity to diversify local Defense dependencies; review of local Defense prime and sub contracting activity; and, outreach to local small businesses, workers, and other community interests. Funds provided under this program may not be used to

directly identify or assist a business, including a business expansion, in the relocation of a plant, facility, or operation from one Labor Market Area (LMA) to another if the relocation is likely to result in the loss of jobs in the LMA from which the relocation occurs.

**Applicant Eligibility:**

Applicants for this assistance are to contact the Office of Economic Adjustment to have a Project Manager assigned who, in turn, will work with the Applicant to determine eligibility for assistance under this program. Stated, cities, counties, political subdivisions of a State, special purpose units of a State or local government, and tribal nations are eligible for this assistance if a substantial portion of the economic activity or population of the applicant's geographic area is dependent on defense expenditures.

**Beneficiary Eligibility:**

States and communities, including workers, businesses, and other community interests that may be dependent upon Defense expenditures.

**Credentials/Documentation:**

Applicants must document that a substantial portion of the economic activity of a local area is dependent on Defense expenditures, including a statement explaining the direct Defense wage and salary employment as a share of regional total employment and as a share of recent annual changes in regional total employment.

**Preapplication Coordination:**

Parties interested in obtaining assistance under this program should contact OEA at: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704, (703)604-6020, or by e-mail at [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil). OEA, in turn, will assign a Project Manager to work closely with the affected State or community to craft a responsive program of technical and, where eligible, project grants. The Project Manager will provide necessary information to prepare and submit an application for financial assistance under this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are necessary for the project grants available under this program and must be invited by the Office of Economic Adjustment through an assigned Project Manager. The standard application forms required by 32 CFR Part 33, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments will comprise an application for assistance once they are invited. Applications and supporting documentation should be submitted to the Director of the Office of Economic Adjustment, Department of Defense. Applicants will generally be invited to submit their requests for assistance electronically. In instances where, for whatever reason, an electronic application cannot be submitted, provisions will be made to accept a paper application addressed to: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704.

**Award Procedure:**

Applications are approved by the Director, Office of Economic Adjustment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, OEA will inform an Applicant of approval within seven (7) business days of the receipt of a final, completed application. OEA will promptly inform an applicant of the rejection of any application once its due diligence has been completed.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Generally, not less than 10 percent of the project's total proposed funding is to be comprised of non-Federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed quarterly or as required.

**Reports:**

Interim and final progress and financial reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

In accordance with 32 CFR 33.

**Account Identification:**

97-0100-1-7-051.

**Obligations:**

(Grants) FY 07 \$1,500,000; FY 08 est \$1,500,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$175,000 - \$500,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Communities have developed strategies to diversify regional economies to reduce Defense dependency.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133 Audits of States, Local Governments, and Nonprofit Organizations and A-87 Cost Principles for State, Local, and Indian Tribal Governments. 32 CFR Part 25 - Government-wide Debarment and Suspension (Non-procurement); 32 CFR Part 26 - Drug-Free Workplace; 32 CFR Part 28 - New Restrictions on Lobbying; 32 CFR Part 33 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Related publications are available on the OEA Website.

**Regional or Local Office:**

Western Region Director, Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020. E-mail: [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil).

**Web Site Address:**

<http://www.oea.gov>.

**RELATED PROGRAMS:**

11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 12.610, Community Economic Adjustment Planning Assistance for Joint Land Use Studies; 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 17.260, WIA Dislocated Workers; 59.012, 7(a) Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:**

Funds were provided to plan and carry out community adjustment and economic diversification activities.

**CRITERIA FOR SELECTING PROPOSALS:**

The level of economic dependence on military, DoD civilian and Defense industry employment, an appropriate and clear project design to address the need identified, the innovative quality of the proposed approach to stimulating economic adjustment and economic diversification, reasonableness of the proposed work program and the proposed level of funding.

## 12.615 RESEARCH AND TECHNICAL ASSISTANCE

**FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2391(c).

**OBJECTIVES:**

The Office of Economic Adjustment (OEA), a field activity under the Department of Defense (DoD), is authorized to make awards to, or conclude cooperative agreements with State or local governments or any nongovernmental or other private entity, to conduct research and provide technical assistance related to community economic adjustment needs and assistance. Awards provided under this notice support the Office of Economic Adjustment as well as the Defense Economic Adjustment Program (DEAP) by: (1) developing and analyzing information for program and policy considerations; and (2) undertaking special research.

**TYPES OF ASSISTANCE:**

Subject to need and availability of funds, this program provides financial assistance for approved research and technical assistance projects in the form of grants or cooperative agreements.

**USES AND USE RESTRICTIONS:**

Topics and areas of specific interest to OEA may be identified in a Federal Register Notice of Funding Availability (the Notice) issued under this program. Proposals outside of a Notice, or beyond the identified topics and areas of interest in a Notice, will also be considered. Activities under this program must relate to assisting State and local governments to plan and/or carry out community adjustments and economic diversification required by: the proposed or actual establishment, realignment, or closure of a military installation; the cancellation or termination of a Department of Defense contract or the failure to proceed with an approved major weapon system program; a publicly announced planned major reduction in Department of Defense spending that would adversely affect a community; the encroachment on a military installation; or, the closure or the significantly reduced operations of a defense facility as the result of the merger, acquisition, or consolidation of the defense contractor operating the facility. Funding may be used only for non-construction activities.

**Applicant Eligibility:**

Eligible applicants include a State or local government, or any private entity. A "private entity" is defined for purposes of this listing as any entity that is non-governmental.

**Beneficiary Eligibility:**

Eligible applicants include a State or local government, or any private entity. A "private entity" is defined for purposes of this listing as any entity that is non-governmental.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

A Federal Register Notice of Funding Availability (the Notice) may be used to announce the availability of funds for specific research and technical assistance needs identified by OEA or proposed by the respondent. Proposals will be accepted for a period of sixty (60) days after the publication date of the Notice.

**Application Procedure:**

The application process is two-part. The first part requires all interested respondents to the Notice to submit a proposal within the advertised solicitation period (sixty (60) days). Each proposal submitted must include a cover or transmittal letter and accompanying text that shall consist of no more than 10 pages (single-sided), consisting of: An abstract of the proposed research or technical assistance; A description of the scope of work to be undertaken and how it responds to OEA and the Defense Economic Adjustment Program; A proposed budget and budget justification; Detailed description of the project team and their relevant experience; A project schedule for completion of the work; A point of contact. (In the case of a proposal on an unsolicited topic) A summary of the problem or issue the project will address. Proposals should be submitted by letter addressed to the Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4707, or may be submitted via the e-mail address ([oeafeedback@osd.mil](mailto:oeafeedback@osd.mil)) - reference RTA Proposal - in the subject).

**Award Procedure:**

OEA will notify respondents within ninety (90) days of the date of publication of the Notice in the Federal Register whether their proposal will be invited for a formal application. At this point, OEA will assign a Project Manager to advise and assist with the preparation of the application. Applications will be reviewed for their completeness and accuracy, and, to the extent possible, an award notification will be issued within 30 days of the receipt of a complete application.

**Deadlines:**

After the Notice is posted in the Federal Register, respondents will have sixty (60) days to submit a proposal.

**Range of Approval/Disapproval Time:**

OEA will notify respondents within ninety (90) days of the Notice being published in the Federal Register whether their proposal was successful and invite an application. To the extent possible, an award notification will be issued within 30 days of the receipt of a complete application.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

OEA may fund up to 100 percent of the proposed budget depending on the nature of the project.

**Length and Time Phasing of Assistance:**

Project duration will vary according to the nature of the proposal, but is generally 12 to 18 months.

**Reports:**

OEA requires interim performance reports and one final performance report for each award. The performance reports will contain information on the following: A comparison of actual accomplishments to the objectives established for the reporting period; Reasons for slippage if established objectives were not met; Additional pertinent information when appropriate; A comparison of actual and projected expenditures for the period; The amount of Federal cash on hand at the beginning and end of the reporting period. The final performance report must contain a summary of activities for the entire award period. All required deliverables should be submitted with the final performance report. The final SF 269A, "Financial Status Report," must be submitted to OEA within ninety (90) days after the end date of the award. Any funds actually advanced and not needed for award purposes shall be returned immediately to OEA. OEA will provide a schedule for reporting periods and report due dates in the Award Agreement.

**Audits:**

Standard Federal Audit requirements apply, as appropriate to the type of recipient.

**Records:**

Standard Federal recordkeeping requirements apply, as appropriate to the type of recipient.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

FY 07 \$643,287; FY 08 \$1,092,332; and FY 09 \$1,735,619.

**Range and Average of Financial Assistance:**

OEA expects proposals in the range of \$100,000 to \$500,000, supported accordingly by a clear project scope of work, budget justification, and project timeline.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**



The Awardee and any consultant/contractor operating under the terms of a grant or cooperative agreement shall comply with all Federal, State, and local laws applicable to its activities including the following: 32 CFR Part 33, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; OMB Circulars A-87, "Cost Principles for State and Local Governments" and the revised A-133, "Audits of States, Local Governments and Non-Profit Organizations"; 32 CFR Part 25, "Government-wide Debarment and Suspension (Non-procurement)"; 32 CFR Part 26, "Drug-free Workplace"; 32 CFR Part 32, Uniform Administrative Requirements for Grants and Agreements to with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations; 32 CFR Part 34, Administrative Requirements for Grants and Agreements with For-Profit Organizations; OMB Circular A-21 Cost Principles for Educational Institutions; OMB Circular A-122, Cost Principles for Non-Profit Organizations; and 32 CFR Part 28, "New Restrictions on Lobbying (Grants)."

**Regional or Local Office:**  
None.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020. E-mail: oeafeedback@osd.mil.

**Web Site Address:**

Website: <http://www.oea.gov>.

**RELATED PROGRAMS:**

12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 12.610, Community Economic Adjustment Planning Assistance for Joint Land Use Studies; 12.611, Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 12.614, Community Economic Adjustment Diversification Planning.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

OEA considers each of the following equally-balanced factors as a basis for inviting formal award applications: Overall conformance with proposal requirements; Overall responsiveness of the proposal to support the Office of Economic Adjustment and Defense Economic Adjustment Program; Overall expertise, experience, qualifications and ability of investigators; Overall reasonableness of budgeted expenditures.

## 12.630 BASIC, APPLIED, AND ADVANCED RESEARCH IN SCIENCE AND ENGINEERING

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY OF DEFENSE, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2358, as amended; 10 U.S.C. 2323; 10 U.S.C. 2391 et seq.

**OBJECTIVES:**

To: (1) Discover new knowledge and gain better understanding in mathematical, physical, engineering, environmental, and life sciences, and other fields with good, long-term potential for contributing to technology for Department of Defense missions; (2) facilitate transition of research results to practical application for defense needs; (3) improve linkages between defense research and the civilian technology and industrial bases, to promote commercial application of the results of defense research and commercial availability of technology for defense needs; (4) foster education of future scientists and engineers in disciplines critical to defense; and (5) strengthen the infrastructure for research and related science and engineering education in those disciplines.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Uses and restrictions are specified in individual program announcements (Broad Agency Announcements, or BAAs) and award documents issued by and codified regulations applicable to awards. These are submitted at the time of proposal or prior to award, as specified by executive agents.

**Applicant Eligibility:**

As stated in individual BAAs (generally, competitions are open to private and public educational institutions that carry out science and engineering research and/or related science and engineering education on a nonprofit basis). Some awards are made to other public or private organizations. Awards are not made to individuals.

**Beneficiary Eligibility:**

Beneficiaries may include individual graduate and undergraduate students (e.g., recipients of fellowships or research traineeships) in science and engineering disciplines important to defense, as well as institutions described under "Applicant Eligibility."

**Credentials/Documentation:**

Recipient eligibility is contingent upon submission of certifications and representations that are required by Federal statutes, executive orders.

**Preapplication Coordination:**

This program is excluded from coverage under E. O. 12372.

**Application Procedure:**

Institutions eligible to compete may submit proposals in response to Broad Agency Announcements (BAAs) that executive agents publish in Federal Business Opportunities ([www.fedbizopps.gov](http://www.fedbizopps.gov)) and circulate broadly to eligible proposers' sponsored-programs offices. Each BAA tells potential proposers what activities will be supported, in which science and engineering areas they will be supported, and how to apply.

**Award Procedure:**

Award decisions are based on a competitive selection of proposals, using a technical merit review. Evaluation criteria are specified in the relevant Broad Agency Announcement. If selected for award, the proposal is the basis for the award document and the applicant agrees to perform the research or research-related activities (e.g., science or engineering education or research infrastructure-building activities) described therein.

**Deadlines:**

Deadlines for submitting proposals are specified in the individual relevant Broad Agency Announcements.

**Range of Approval/Disapproval Time:**

Times vary, but award decisions are typically made within 90 to 120 days of receipt of the proposal.

**Appeals:**

Appeal procedures are specified by the executive agents.

**Renewals:**

Application for a competitive new award is permitted.

**Formula and Matching Requirements:**

There are no statutory formulas. Cost-sharing or matching, if required, would be specified in the individual Broad Agency Announcement.

**Length and Time Phasing of Assistance:**

Funding reflects period of performance and may be awarded incrementally.

**Reports:**

Technical and financial reporting requirements are in accordance with terms and conditions of award documents and with Department of Defense implementation of applicable OMB Circular Nos. A-110 and A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping requirements are in accordance with Department of Defense implementation of 12.300; the air force office of Scientific Research (listing 12.800).

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

(Cooperative Agreements) FY 07 est \$215,000,000; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$1,000 to \$3,000,000. Average: \$120,000.

**PROGRAM ACCOMPLISHMENTS:**

Numerous research accomplishments and research training for more than 1,000 graduate students in science and engineering areas with a high potential for long-term benefit to defense needs (areas such as electronics and electro-optics; materials science; fluid dynamics; biotechnology; manufacturing-related research; mathematics and computer sciences; and environmental science).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See program announcements (Broad Agency Announcements) issued by executive agents.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

For information about open competitions or future opportunities, prospective proposers should contact the agents that execute the program. The executive agents are the Army Research Office (see information contacts in listing 12.431 in this Catalog); the Office of Naval Research (listing 12.300); the Air Force Office of Scientific Research (listing 12.800); and the Advanced Research Projects Agency (listing 12.910).

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.300, Basic and Applied Scientific Research; 12.431, Basic Scientific Research; 12.800, Air Force Defense Research Sciences Program; 12.910, Research and Technology Development.

**EXAMPLES OF FUNDED PROJECTS:**

1. University research grants in areas such as: Materials degradation and fatigue; hypervelocity flow; organic superconductors; high-frequency microelectronics;

biodegradation of military toxic wastes; blue-green optoelectronic emitters; robust geometric calculations; 3-D visualizations and design of large, manufactured objects; 2. augmentation grants, in conjunction with DoD contracts or grants for research performance, to provide additional research assistantships and increase the number of graduate students receiving research training through defense research; and 3. instrumentation grants, to allow the purchase of more costly items of research equipment (\$50,000 and up) that can usually be funded within single-investigator research awards.

**CRITERIA FOR SELECTING PROPOSALS:**

Generally, the principal evaluation and selection criteria are the technical merits of the proposed research (or research-related activity) and its potential relationship in the long term to missions of the Department of Defense. Other selection criteria vary with the nature of the specific research or research-related activity. Typical examples include: Qualifications of the principal investigator and other key personnel to perform the proposed activity; adequacy of current or planned facilities and equipment to do so; and realism and reasonableness of proposed costs.

**12.700 DONATIONS/LOANS OF OBSOLETE DOD PROPERTY**

**FEDERAL AGENCY:**

SECRETARIES OF MILITARY DEPARTMENTS, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2572; 10 U.S.C. 7308; 10 U.S.C. 7545.

**OBJECTIVES:**

To donate or lend obsolete combat material to veterans' organizations, soldiers' monument associations, State museums, incorporated museums, and incorporated municipalities.

**TYPES OF ASSISTANCE:**

Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:**

A donation or loan of books, manuscripts, works of art, drawings, plans, models, and other specified items to be used only for historical, ceremonial or display purposes. Determination of the item and quantity to be provided will be made by the individual Secretaries of the Military Departments. Each donee must certify that the property requested is for the donee's use and, when no longer required by the donee, disposition instruction will be requested from the original donating activity. If the item requires some demilitarization, pursuant to the Defense Demilitarization Manual (DoD 4160.21-M-1), these costs will be borne by the donee. Donees must not, without written consent of the Department of Navy, use vessels for purposes other than as stated in the application, or destroy, transfer or otherwise dispose of a vessel. Cost of packing and handling incident to donations will be paid by the donee before release of the property. Instructions regarding these actions are contained in the defense Utilization and Disposal Manual (DOD 4160.21-M), Chapter X, Paragraphs F and G, and Attachments 20 through 28.

**Applicant Eligibility:**

Veterans' organizations recognized by the Office of the Deputy Under Secretary of Defense (LIMDM); museums operated and maintained for education purposes only and which are tax- exempt; and incorporated municipalities. The Department of the Navy donates or loans additional types of condemned or obsolete material and obsolete, condemned or captured vessels to States, Territories, Commonwealths, or possessions of the United States, political subdivisions or municipal incorporations thereof, the District of Columbia, the Canal Zone, libraries, historical societies, educational institutions whose graduates or students fought in World War I or World War II, recognized veterans organizations and to nonprofit organizations operated and maintained for educational purposes only.

**Beneficiary Eligibility:**

Veterans' organizations recognized by the Office of the Deputy Under Secretary of Defense (LIMDM); museums operated and maintained for education purposes only and are tax-exempt; and incorporated municipalities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Veterans' organizations must obtain written approval for a donation or loan from Headquarters of their association and must submit a copy of the approval with their application. When material of possible historical interest is being donated, prior approval will be obtained from the appropriate military curator. With regard to vessels, the applicant must locate a vessel in a donable status before submitting an application. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application for donations or loans will be made to the Secretary of the Military Department which has control of the desired items in accordance with prescribed procedures. Donation of material under 10 U.S.C. 7308 and 10 U.S.C. 7545 requires referral to Congress.

**Award Procedure:**

None.

**Deadlines:**

Requests must be received before items are reported for sale or other scheduled disposal action.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Annual report of the location and condition of loaned or donated property.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

Not applicable.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Defense Utilization and Disposal Manual (DOD 4160.21-M, Chapter X, paragraphs F and G and Attachments 20 through 28).

**Regional or Local Office:**

Nearest military installation for general information on the subject. Requests which cannot be handled at the local level should be referred to the appropriate departmental headquarters.

**Headquarters Office:**

Appropriate Military Department, Pentagon, Washington, DC 20301.

**Web Site Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

39.003, Donation of Federal Surplus Personal Property; 39.007, Sale of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**12.800 AIR FORCE DEFENSE RESEARCH SCIENCES PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF THE AIR FORCE, HQ AIR FORCE MATERIAL COMMAND, AIR FORCE OFFICE OF SCIENTIFIC RESEARCH, ARMSTRONG LABORATORY, PHILLIPS LABORATORY, ROME LABORATORY, WRIGHT LABORATORY

**AUTHORIZATION:**

Public Law 100-370, Section 1(g)(3), 1023 Stat. 846, 10 U.S.C. 2368(a); Public Law 100-456, Division A, Title II, Section 204; 84 Stat. 908, 10 U.S.C. 2358(b)(1), (c)(1); 95 Stat. 1404, 1405, 10 U.S.C. 2361.

**OBJECTIVES:**

To maintain technological superiority in the scientific areas relevant to Air Force needs; to prevent technological surprise to our nation and create it for our adversaries; to maintain a strong research infrastructure composed of Air Force laboratories, industry, and universities; and to complement the national research effort.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds must be expended in furtherance of the research identified in the proposal, in accordance with the cost principles as established in OMB Circular Nos. A-21 and A-122.

**Applicant Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and commercial concerns.

**Beneficiary Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and commercial concerns.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Research proposals shall be prepared in accordance with local instructions. See Federal Business Opportunities (www.fedbizopps.gov).

**Award Procedure:**

Awards decisions will be based on a competitive selection of proposals resulting from a peer and/or scientific review.

**Deadlines:**

Proposals may be submitted in accordance with requirements of the Broad Agency Announcement (BAA), Program Research and Development Announcement (PRDA), or other solicitation notice in the Commerce Business Daily (CBD).

**Range of Approval/Disapproval Time:**

60 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Re-application with new proposal is permitted.

**Formula and Matching Requirements:**

Statutory formulas or matching requirements apply in some cases.

**Length and Time Phasing of Assistance:**

Normally from 12 to 36 months.

**Reports:**

Technical progress reports, reports of expenditures, and invention reports must be submitted annually (for those projects which exceed 18 months) and after completion of the performance period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain accounting records which will permit determination that the funds were used for the award purposes. Financial records must be maintained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

57-3600-0-1-051.

**Obligations:**

FY 07 \$275,000,000; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$50,000 to \$5,000,000. Average: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Defense Grant and Agreement Regulations (DODGARS), February 8, 1994, and local publications/procedures.

**Regional or Local Office:**

Air Force Office of Scientific Research, 110 Duncan Avenue, Suite B115, Bolling AFB, Washington DC 20332-4990; Armstrong Laboratory, 8005 Ninth Street, Brooks AFB, TX 78235-5353; Phillips Laboratory, 3651 Lowry Avenue SE, Kirtland AFB, NM 87117-5777. Telephone: (505) 846-4979; Rome Laboratory, 26 Electronics Pkwy, Griffiss AFB, NY 13441-4514. Telephone: (315) 330-7746; Wright Laboratory, 2530 C Street, Bldg. 7, Wright-Patterson AFB, OH 45433-7607. Telephone: (513) 255-4813.

**Headquarters Office:**

HQ Air Force Material Command/PKT, 4375 Childlaw Road, Suite 6, Wright-Patterson AFB, OH 45433-5006. Telephone: (513) 257-8934. FTS is not available.

**Web Site Address:**

<http://www.usace.army.mil/business.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(a) Aerospace sciences and engineering sciences, e.g., structural dynamics, mechanics of materials, particulate mechanics, propulsion diagnostics, space, power and propulsion, external aerodynamics and hypersonics, internal fluid dynamics; (b) chemistry and materials sciences, e.g., chemical reactivity and synthesis, polymer chemistry, inorganic materials chemistry, electrochemistry, theoretical chemistry, molecular dynamics, metallic structural materials, ceramics and nonmetallic structural materials; (c) physics and electronics devices, components, and circuits, optoelectric information processing, devices and systems, quantum electronic solids, semiconductor and electromagnetic materials, photonic physics, optics, x-ray physics, atomic and molecular physics, plasma physics; (d) life and environmental sciences, e.g., neuroscience,

chronobiology, perception and recognition, spatial orientation, cognition, bioenvironmental sciences, optical and infrared environment, space sciences; and (e) mathematical and computer sciences, e.g., dynamics and control, physical mathematics and applied analysis, computational mathematics, optimization and discrete mathematics, signal processing, probability and statistics, software and systems, artificial intelligence, neural computation systems, and electromagnetic.

**CRITERIA FOR SELECTING PROPOSALS:**

(a) Overall scientific and technical merits of the proposed research; (b) potential contribution of the proposed research to the mission of the Air Force; (c) availability of funds; (d) likelihood of the proposed effort to develop new research capabilities and to broaden the research base in support of national defense; (e) offeror's capabilities, related experience, facilities, techniques, or unique combinations of these factors that are integral to achieving the objectives; (f) qualifications, capabilities, experience, and past research accomplishments of the proposed principal investigator and team; and (g) realism and reasonableness of proposed cost.

**12.900 LANGUAGE GRANT PROGRAM**

**FEDERAL AGENCY:**

NATIONAL SECURITY AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Public Law 95-224.

**OBJECTIVES:**

To foster foreign language training to Americans.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Investigations must be an employee of a U.S. college, university or nonprofit institution as related to language.

**Beneficiary Eligibility:**

Private, public educational institutions and other private, public nonprofit organizations which are operated primarily for language and are not organized primarily for profit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21, A-87, A-88, A-122 and Subpart 31.2 of the Federal Acquisition Regulation applicable to commercial firms and those nonprofits exempted from OMB Circular No. A-122. The administrative requirements of OMB Circular Nos. A-102, A-110, and A-133 apply.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All eligible private, public educational institutions and other private, public nonprofit organizations may submit proposals in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from a RUA review. If selected for award, the proposal is incorporated into a grant document and the applicant agrees to perform the research described therein.

**Deadlines:**

December 15 is the deadline for submission of proposals.

**Range of Approval/Disapproval Time:**

Awards may be made at any time throughout the year for which funding is authorized.

**Appeals:**

None.

**Renewals:**

Reapplication with a new proposal.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funding will reflect the period of performance.

**Reports:**

Interim and final reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee will maintain accounting records which will permit determination that the funds were used for the grant purpose.

**Account Identification:**



97-0100-0-1-051.

**Obligations:**

FY 07 not reported; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$5,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Provided support which led to the documentation of low density languages; the development of foreign language reference works, and the improved research in training methods and computer assisted instruction technologies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Chief, Language Training, Department of Defense, National Security Agency, ATTN: E41, Fort George Meade, MD 20755-6000. Telephone: (410) 859-6087. Use the same number for FTS.

**Web Site Address:**

<http://www.darpa.mil/cmo>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

1. CALICO; 2. development of a hypermedia area studies module; 3. research on student learning center to maintain less commonly taught languages; 4. ALICE prototype natural language processing environment; and 5. monograph defining priorities for listening comprehension research.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Overall language, technical or socio-economic merits; 2. potential contributions of the effort to the agency's specific mission; 3. the offerer's capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposal objectives; 4. the qualifications, capabilities and experience of the proposal principal investigator, team leader or key personal who are critical in achieving the proposal objectives; 5. realism of the proposed cost and availability of funds; and 6. potential contributions of the effort to the American public.

## 12.901 MATHEMATICAL SCIENCES GRANTS PROGRAM

**FEDERAL AGENCY:**

NATIONAL SECURITY AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

National Security Act of 1959, Sections 13(a) and 10(a), 50 U.S.C. 402, Public Law 86-36.

**OBJECTIVES:**

The NSA grant program seeks to stimulate developments in the field of cryptography and make careers in these fields of mathematics more attractive to Americans and to make NSA known as a possible employer of such mathematicians.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Summer salary, professional travel, publishing costs, graduate student support, postdoctoral support, and conference support. No more than one summer month support. No released time from teaching during the regular academic year.

**Applicant Eligibility:**

Investigators must be an employee of a U.S. college or university, the principal investigator must be at least a permanent resident of the U.S. Graduate students must be U.S. citizens or intending to become U.S. citizens.

**Beneficiary Eligibility:**

This will benefit researchers in the mathematical science that are at least permanent residents as well as their students that are permanent residents of the U.S. and intending to apply for U.S. citizenship.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A brochure is available from NSA giving the form of the proposal. A proposal may be sent directly to NSA by a college or university before the yearly deadline. NSA has the authority for the final approval and passes the funds to a college or university. The college or university distributes the funds to the principal investigator, students, postdoctoral students, etc.

**Award Procedure:**

The agency grant/contracting officer coordinates with the performing organization for the effective administration of the grant.

**Deadlines:**

October 15 is the deadline for submission of proposals with certain exceptions, such as conference applications for which there is no deadline.

**Range of Approval/Disapproval Time:**

Generally 12 months.

**Appeals:**

None.

**Renewals:**

Only no-cost extensions allowed when work is not completed. Funds will remain.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Two years in most cases except for conferences, which are for a shorter period.

**Reports:**

Interim and final reports are required.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

FY 07 est \$3,000,000; and FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$5,000 to \$60,000. Average: \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSA provides a free brochure describing how to apply for a grant.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Charles F. Osgood, Department of Defense, National Security Agency, ATTN: R51A, Fort George G. Meade, MD 20755-6000. Telephone: (301) 688-0400. Use the same number for FTS.

**Web Site Address:**

<http://www.darpa.mil/cmo>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Mathematics conference; (2) research in algebra; (3) research in number theory; (4) research in discrete mathematics; (5) research in statistics; and (6) research in probability.

**CRITERIA FOR SELECTING PROPOSALS:**

Primarily qualifications of the principal investigator. Cost is considered when deciding what to fund, e.g., one month of summer salary and/or student support.

## 12.902 INFORMATION SECURITY GRANT PROGRAM

(Information Security University Research Program (URP))

**FEDERAL AGENCY:**

NATIONAL SECURITY AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

Public Law 97-89, NSA/CSS Directive 60-11.

**OBJECTIVES:**

The National Security Agency (NSA) is involved with the development of secure computing systems. This grant program is designed to assist in the area of unclassified Information Security research. This research should provide significant advances in our nation's ability to design, build, and maintain computer systems that perform with a high degree of integrity, confidentiality, and service assurance. Additionally, this grant program is aimed at developing computer science graduates who are knowledgeable in the area of Information Security from which NSA can recruit.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Summer salary, professional travel, publishing costs, graduate student support, postdoctoral support, and conference support. No more than two summer months support from all sources. No released time from teaching during the regular academic year.

**Applicant Eligibility:**

Investigators must be an employee of a U.S. college or university, the principal investigator and supported graduate students must be (at least) a permanent resident of the U.S., graduate students must at least have started to apply for U.S. citizenship.

**Beneficiary Eligibility:**

This will benefit researchers in the information security field of computer science that are at least permanent residents as well as their students that are permanent residents of the U.S. and intending to apply for U.S. citizenship.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A brochure is available from NSA giving the form of the proposal. A proposal may be sent directly to NSA by a college or university before the yearly deadline. NSA has the authority for the final approval and passes the funds to a college or university. The college or university distributes the funds to the principal investigator, students, postdoctoral students, etc.

**Award Procedure:**

The agency grant and contracting officer coordinates with the performing organization for the effective administration of the grant.

**Deadlines:**

December 15 is the deadline for submission of proposals with certain exceptions, such as conference applications for which there is no deadline.

**Range of Approval/Disapproval Time:**

Generally within 6 months, but may be made at any time throughout the year for which funding is authorized.

**Appeals:**

None.

**Renewals:**

Only no-cost extensions allowed when work is not completed. Funds will remain.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Since this is a research and technology program the assistance is generally available for a 1 to 2-year period.

**Reports:**

Interim and final reports are required. Additionally, copies of publications, conference presentations, dissertations, and theses published as a result of this research are required.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

FY 07 \$2,000,000; FY 08 est not reported; and FY 09 est not reported. Note: No current information provided by Agency.

**Range and Average of Financial Assistance:**

\$50,000 to \$100,000. Average: \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSA provides a free brochure describing how to apply for a grant.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Director, INFOSEC University Research Program, Department of Defense, National Security Agency, ATTN: R23, 9840 O'Brien Road, Fort George Meade, MD 20755-6000. Telephone: (301) 688-0847. FAX: (301) 688-0255. E-mail [urp@tycho.ncsc.mil](mailto:urp@tycho.ncsc.mil).

**Web Site Address:**

<http://www.darpa.mil/cmo>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Past funded research has been in the following areas: (1) Multilevel Secure Distributed Systems Security; (2) Multilevel Secure Network Systems; (3) Multilevel Secure Databases; (4) Formal Methods; (5) Computer Misuse and Anomaly Detection; (6) Object Oriented Technology; and (7) Secure Applications.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation of proposals is based on the following factors (listed in order of importance): (1) The relevance of the research to the INFOSEC Research and Technology Group and NSA; (2) the perceived quality and realism of the research; (3) qualifications of the principal investigator(s); (4) graduate student involvement and support; and (5) cost realism.

**12.910 RESEARCH AND TECHNOLOGY DEVELOPMENT****FEDERAL AGENCY:**

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2358; 10 U.S.C. 2371.

**OBJECTIVES:**

To support and stimulate basic research, applied research and technology development at educational institutions, nonprofit organizations, and commercial firms, which may have military or dual-use application. This support may take the form of grants, cooperative agreements, or other transactions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

No block or formula grants. Only project grants resulting from scientific proposals. Basic research, applied research and technology development in areas of science and technology which may have military or dual-use application. Projects are expected to advance the state of the art or result in fundamental change in technology. Support for scientific symposia, conferences in relevant technology areas, and consortia which deals with relevant technologies. Programs to encourage careers in science, technology and engineering, and to increase the number of graduates from underrepresented minority groups. Programs assisting laboratory research instrumentation at universities. Programs intended to produce fundamentally different approaches to relevant technologies or establish fundamentally new relationships among the parties engaged in technology development. Potential recipients should note that by DARPA these funds are awarded on project-by-project basis and are not block grants. The research focus areas are defined in the advertisement of potential research needs (See references to Broad Agency Announcements in Application and Award Process).

**Applicant Eligibility:**

For grants, eligibility is limited to public and private educational institutions and nonprofit organizations operated for purposes in the public interest. For cooperative agreements, eligibility is limited to educational institutions, nonprofit organizations, and commercial firms. Eligibility for other transactions is the same as for cooperative agreements. Individuals are not eligible for these awards.

**Beneficiary Eligibility:**

Public and private educational institutions. Nonprofit organizations operated for purposes in the public interest and commercial firms.

**Credentials/Documentation:**

Applicants must not appear on the debarred or suspended list for DoD. If the award is a grant, cooperative agreement, or other transaction the applicant must not appear on the nonprocurement debarred or suspended list. In addition, the provisions of OMB Circular Nos. A-21, A-87, A-88, A-110, A-122, and A-133 must be met.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Eligible organizations may submit proposals or white papers in response to relevant Broad Agency Announcements published in the Federal Business Opportunities ([www.fedbizopps.gov](http://www.fedbizopps.gov)-- look for DARPA under other Defense Agency).

**Award Procedure:**

Award decisions are based upon competitive selection of specific project proposals resulting from a scientific review. Evaluators use the evaluation criteria contained in the relevant Broad Agency Announcement. Generally, the offeror's proposal is incorporated into the grant document and the offeror agrees to perform the project as described in the proposal, with specific deliverable due from the project.

**Deadlines:**

Deadlines are specified by the various Broad Agency Announcements.

**Range of Approval/Disapproval Time:**

A representative range of time required for the proposal to be accepted for award would be 60 to 120 days. Awards on high priority projects generally would take less time.

**Appeals:**

Not applicable.

**Renewals:**

Renewals generally require reapplication with a new proposal. Extensions can generally be handled under the terms of the original grant, cooperative agreement, or other transaction.

**Formula and Matching Requirements:**

This program has no statutory formula. All cooperative agreements require cost-sharing of at least 50 percent.

**Length and Time Phasing of Assistance:**

Since this is a research and technology program, the assistance is generally available for a 3 to 5-year period, as stated in the individual grant, agreement, or other transactions. Funding is usually provided incrementally in accordance with a payment schedule contained in the award document.

**Reports:**

Grantees, agreement holders, and other awardees are expected to publish, or otherwise make publicly available, the results of the work. Copies of reports are furnished by the awardees to a prescribed list of addressees, including the Defense Technical Information Center. Further distribution is made by DTIC on a request basis to DoD agencies and their contractors.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that

year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Each awardee must maintain sufficient records to permit determination that the funds were used appropriately for the award purpose.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 to \$100,000,000. Average: \$1,150,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, projected totals are 30 grant awards and 20 other transactions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The DARPA Brochure, can be obtained from the Headquarters office. This publication lists the points of contact within the various scientific disciplines. For additional information see DARPA's website: <http://www.darpa.mil>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Defense Advanced Research Projects Agency, ATTN: Director, Contract Management Office (CMO), 3701 N. Fairfax Drive, Arlington, VA 22203. Telephone: (703) 696-2399. FTS is not available.

**Web Site Address:**

<http://www.darpa.mil/cmo>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Research Grants: 1. Biosensors Technology; 2. Electromagnetic material Technology; 3. Silicon nanofabrication and nanoelectronics device manufacturing; 4. High bandgap materials and devices; 5. Advanced Lithography; 6. Simulation based design; 7. Power systems for land vehicles; and 8. Wireless communications devices.

**CRITERIA FOR SELECTING PROPOSALS:**

Listed in descending order of relative importance: (1) Overall scientific and technical merit; (2) potential contribution and relevance to DARPA mission; (3) offeror's capabilities and related experience; (4) plans and capability to accomplish technology transition; and (5) cost realism.



# DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

## 14.103 INTEREST REDUCTION PAYMENTS-RENTAL AND COOPERATIVE HOUSING FOR LOWER INCOME FAMILIES

(236)

### FEDERAL AGENCY:

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
AUTHORIZATION:

National Housing Act, as amended, Section 236, Public Law 90-448, 12 U.S.C. 1715.

### OBJECTIVES:

To provide good quality rental and cooperative housing for persons of low-and moderate-income by providing interest reduction payments in order to lower their housing costs.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use; Guaranteed/Insured Loans.

### USES AND USE RESTRICTIONS:

Use was limited to Section 236 insured and non-insured mortgages financed by State or Local Housing Finance Agencies. Program is now inactive. No new projects are being approved. Projects with this subsidy are still active in the MF portfolio.

### Applicant Eligibility:

Eligible mortgagors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution sponsors. Public bodies did not qualify as mortgagors under this program.

### Beneficiary Eligibility:

Families and individuals, including the elderly and handicapped or those displaced by government action or natural disaster, eligible to receive the benefits of the subsidies must at the time of admission fall within certain locally determined income limits. Families with higher incomes may occupy apartments, but may not benefit from subsidy payments.

### Credentials/Documentation:

Documentation regarding the characteristics of the property and qualifications of the mortgagor was submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Documentation regarding property characteristics and mortgagor qualifications was assembled by the mortgagee and submitted with the application. The sponsor held a preapplication conference with the local HUD field office with multifamily processing. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372. An environmental assessment was required for this program. No applications for new projects are being accepted.

### Application Procedure:

No applications for new projects are being accepted. Sponsors submitted FHA Form No. 2013, application and other documentation for FHA Review of Proposed Development, to local HUD field office with multifamily processing or equivalent documentation to a State or local Housing Finance Agency approved by HUD for participation in the program. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

The local HUD office or State or local Housing Finance Agency reviewed the application to determine site appraisal and market analysis. Market need, correct zoning, environmental assessment and value of site fully improved were considered. The local office granted feasible proposals a tentative reservation of contract authority, and the sponsor was invited to apply for mortgage commitment, at which stage(s) further technical processing was completed. No new applications for project mortgage insurance are being accepted.

### Deadlines:

Program is inactive. No new applications are being accepted.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Assistance payments are made monthly by HUD to the mortgagee, and may bring the effective interest rate paid by the mortgagor down to as low as one percent. Benefits received in this way are passed on to those families qualifying for assistance in the form of reduced rents. Assisted families are required to pay for rent at least 30 percent of their adjusted income (income after certain allowable deductions), but not in excess of the fair market rent. This program has maintenance of effort (MOE) requirements; see funding agency for further details.

### Length and Time Phasing of Assistance:

The mortgage term normally extends for 40 years. Interest reduction payments may extend for the full term of the mortgage. For individual families, assistance ceases when their income rises to the point where they can afford the full market rent without the benefit of assistance.

### Reports:

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors of insured projects are required to submit, electronically, an annual financial statement to HUD audited and prepared in accordance with Generally Accepted Accounting Principals and Generally Accepted Auditing Standards.

Approved mortgages, upon request by HUD, must furnish a copy of their latest financial statement.

### Audits:

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgage or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

### Records:

Tenant certifications for assistance payments and annual recertification must be forwarded to the HUD Field or Area Office by the sponsor. Regular financial reports are also required. Mortgagees must service and maintain records in accordance with acceptable mortgagee practices and HUD regulations.

### Account Identification:

86-0148-0-1-604; 86-4077-0-3-371.

### Obligations:

(Outlays) FY 07 not separately identifiable; FY 08 est not separately identifiable; and FY 09 est not separately identifiable. (Note: Program is inactive.)

### Range and Average of Financial Assistance:

See uses and use restrictions.

### PROGRAM ACCOMPLISHMENTS:

Reservations for additional projects are not being made under the program. No additional mortgages have been insured since 1992. Cumulative totals through September 30, 1992, were 377,680 units insured with a value of \$6,480,013,120.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Fact Sheet: Rental and Co-op Housing for Lower Income Families. No charge; 24 CFR 236 et seq.

### Regional or Local Office:

Contact the appropriate local HUD Office listed in the Catalog Address Appendix IV.

### Headquarters Office:

For Management Information: Director, Office of Multifamily Housing Management, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-3730.

### Web Site Address:

<http://www.hud.gov/offices/hsg/mfh/progdesc/progdesc.cfm>

### RELATED PROGRAMS:

14.149, Rent Supplements\_Rental Housing for Lower Income Families; 14.852, Public Housing\_Comprehensive Improvement Assistance Program.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 14.108 REHABILITATION MORTGAGE INSURANCE

(203(k))

### FEDERAL AGENCY:

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
AUTHORIZATION:

National Housing Act, as amended, Section 203(k), Public Law 95-557, 12 U.S.C. 1709, 1715(k).

### OBJECTIVES:

To help families repair or improve, purchase and improve, or refinance and improve existing residential structures more than one year old.

### TYPES OF ASSISTANCE:

Guaranteed/Insured Loans.

### USES AND USE RESTRICTIONS:

HUD insures lenders against loss on loans. These loans may be used to rehabilitate an existing 1 to 4 unit dwelling in one of four ways: (1) Purchase a structure and the land on which the structure is located and rehabilitate it; (2) purchase a structure on another site, move it onto a new foundation on the mortgaged property and rehabilitate it; (3) refinance the existing indebtedness and rehabilitate such a structure; or (4) rehabilitate such a structure. Maximum insurable mortgage loans for an occupant mortgagor are the same as prescribed for Section 203(b) - Program 14.117. Rehabilitation cost must be at least \$5,000.

**Applicant Eligibility:**

Individual and families.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the borrower are assembled by the lender and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Application is submitted through a HUD-approved lending institution. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The maximum loan amount is the same as Section 203(b) - Program 14.117. Value is determined by either (a) the value of the property before rehabilitation plus the cost of rehabilitation, or (b) 110 percent of the appraised value of the property after rehabilitation, whichever is less. The loan may be subordinated to an existing first mortgage, or there may be insured advances during the rehabilitation period if the loan is a first lien. The lender may charge the greater of \$350 or an additional 1-1/2 percent supplemental loan origination fee for the portion of the loan which is allocated to rehabilitation when there are insured advances. Also, the lender may charge the mortgagor fees in the nature of discounts.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with FHA regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Loans insured) FY 07 \$441,844,837; FY 08 est \$583,421,000; and FY 09 est reported under program 14.117.

**Range and Average of Financial Assistance:**

Maximum insurable mortgage loans for an occupant mortgagor are the same as prescribed for Section 203(b) - Program 14.117. Rehabilitation cost must be at least \$5,000.

**PROGRAM ACCOMPLISHMENTS:**

The Department insured 3,383 loans in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Residential Rehabilitation Program, no charge Fact Sheet: Rehabilitation Mortgage Insurance, no charge. 24 CFR 203.50.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghocscfm>), or the nearest local HUD Office. See Catalog Appendix IV for a list of offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.117, Mortgage Insurance\_Homes; 14.172, Mortgage Insurance\_Growing Equity Mortgages.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.110 MANUFACTURED HOME LOAN INSURANCE-FINANCING PURCHASE OF MANUFACTURED HOMES AS PRINCIPAL RESIDENCES OF BORROWERS**

(Title I)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT AUTHORIZATION:

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing of manufactured home purchases.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to purchase manufactured home units by buyers intending to use them as their principal places of residence. The maximum amount of the loan is \$48,600, whether single or multiple modules. The borrower must give assurance that the unit will be placed on a site which complies with local zoning and land development requirements.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted to a HUD-approved lender or through a lender's approved dealer for review and approval. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

HUD does not participate in the approval or disapproval of individual loans.

**Appeals:**

The applicant may reapply.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

HUD insures private lenders against losses of up to 90 percent of any single loan with maximum insurance coverage limited to a total of 10 percent of the total amount insured. A 5 percent down-payment is required. The interest rate is agreed upon between the borrower and lender. Annual insurance charges are \$1.00 per \$100 of the amount advanced.

**Length and Time Phasing of Assistance:**

The average loan term is between 15 to 25 years.

**Reports:**

Not applicable.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of lenders in order to determine their compliance and conformance with FHA regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Loans insured) FY 07 \$53,235,426; FY 08 est \$71,121,000; and FY 09 est \$71,121,000.

**Range and Average of Financial Assistance:**

The maximum amount of the loan is \$48,600, whether single or multiple modules. The average loan amount for FY 2006 is \$37,970.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 1,386 loans were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Financing Manufactured Homes," HUD-265-H(10); 24 CFR Part 201.

**Regional or Local Office:**

None. Contact HUD at (800) 767-7468 for a brochure, item no. 4340.

**Headquarters Office:**

Director, Home Mortgage Insurance Division, Department of Housing and Urban Development, 451 7th Street, S.W., Room 9266, Washington, DC 20410. Telephone: (202) 708-2121.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/title/manuf14.cfm>

**RELATED PROGRAMS:**

14.142, Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures; 64.119, Veterans Housing\_Manufactured Home Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.112 MORTGAGE INSURANCE FOR CONSTRUCTION OR SUBSTANTIAL REHABILITATION OF CONDOMINIUM PROJECTS**

(234(d) Condominiums)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended; Housing Act of 1964, as amended, Section 234(d), Public Law 88-560; Section 234(c), Public Law 90-448, 82 Stat. 476, 507, 1969; Section 234(c), Public Law 91-152, 83 Stat. 379, 384, 12 U.S.C. 1715(y).

**OBJECTIVES:**

To enable sponsors to develop condominium projects in which individual units will be sold to home buyers.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the construction or rehabilitation of multifamily housing structures by a sponsor intending to sell individual units as condominiums, which also would be eligible for the benefits of mortgage insurance under Section 234(c). The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**Applicant Eligibility:**

Private profit-motivated developers, public bodies, and other sponsors who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:**

All families are eligible to purchase condominium units. Mortgages for individual units may be insured under Section 234(c). See program 14.133.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The sponsor will have a preapplication conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility of the project before an application is submitted. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

The sponsor submits a formal mortgage insurance application through a HUD approved mortgagee to the local HUD Multifamily Hub or Program Center. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The local HUD Multifamily Hub or Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, HUD issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Field Office.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and the workload of field office.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required.

**Formula and Matching Requirements:**

The maximum amount of the loan is 90 percent of the replacement cost, the sum of the statutory per unit limits, or sum of the unit mortgage amounts, whichever is less. The combined HUD site appraisal and market analysis application fee and commitment fees are \$3.00 per \$1,000 of the mortgage amount, and the HUD inspection fee may not exceed \$5.00 per \$1,000 of the mortgage amount, except that in all cases the combined application, commitment and inspection fee shall aggregate no less than \$65 per unit for new construction or \$50 per unit in rehabilitation cases. The mortgage insurance premium is one-half percent of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-quarters of the remaining economic life, whichever is less, if the project remains a rental.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.135.

**Range and Average of Financial Assistance:**

The maximum amount of the loan is 90 percent of the replacement cost, the sum of the statutory per unit limits, or sum of the unit mortgage amounts, whichever is less. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**PROGRAM ACCOMPLISHMENTS:**

No loans were insured in fiscal year 2007 and none are anticipated in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"HUD Mortgage Insurance Handbook No. 4580.1 For Condominium Housing Insured under Section 234 (d) of the National Housing Act, 24 CFR234; "HUD Mortgage Insurance Handbook No. 4265.1, Home Mortgage Insurance-Condominium Units, Section 234(c)", available on <http://www.hudclips.org>.

**Regional or Local Office:**

All projects are processed in local HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest local HUD Office. HUD Multifamily Hubs and Program Centers are listed at: [http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone (202) 708-1142. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmult.cfm>.

**RELATED PROGRAMS:**

14.133, Mortgage Insurance\_Purchase of Units in Condominiums.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.117 MORTGAGE INSURANCE-HOMES**

(203(b))

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(b), Public Law 73-479, 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:**

To help people undertake home ownership.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one-to-four-family housing, as well as to refinance indebtedness on existing housing. Maximum insurable loans are as follows: one-family \$200,160; two family



\$256,248; three-family \$309,744; and four-family \$384,936; except that the Secretary may increase the preceding maximum dollar amounts on an area-by-area basis to the extent the Secretary deems necessary, after taking into consideration the extent to which moderate and middle income persons have limited housing opportunities in the area due to high prevailing housing sales prices, but in no case may such limits, as so increased, exceed the lesser of (A) 87 percent of the Federal National Mortgage Association's Conforming Loan Limit, or (B) in the case of a one-family residence, 95 percent of the median one-family house price in the area, as determined by the Secretary; in the case of a two-family residence, 107 percent of such median price; in the case of a three-family residence, 130 percent of such median price; or in the case of a four-family residence, 150 percent of such median price. Designated areas of limited housing opportunities and maximum mortgage amounts may be obtained from local HUD Offices.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgage and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement. This program is excluded from coverage under OMB Circular No. A-110.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

For most families, the maximum amount of the loan is the property's sales price (or appraised value, if less) exclusive of any borrower paid closing costs multiplied by a percent that is determined by the sales price or value if less and the average closing cost for the State. This determines the maximum mortgage that FHA will ensure, provided the mortgagor makes a cash investment of at least 3 percent into the property which may include closing costs. The downpayment is the difference between the maximum loan amount and the purchase price of the home. In addition to the downpayment, the purchaser must pay for all items of prepaid expense. Risk-based mortgage insurance premiums are collected including: 1) an up-front premium which may be financed and 2) a periodic premium which is paid monthly. The loan origination charge by the mortgage varies, but may not exceed one percent of the total mortgage (minus the mortgage insurance premium, if being financed). Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by FHA must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with FHA regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Mortgages insured) FY 07 \$56,518,703,000; FY 08 est \$72,172,152,000; and FY 09 est \$151,280,082,000.

**Range and Average of Financial Assistance:**

Maximum insurable loans are as follows: one-family \$200,160; two-family \$256,248; three-family \$309,744; and four-family \$384,936; except that the Secretary may increase the preceding maximum dollar amounts on an area-by-area basis to the extent the Secretary deems necessary, after taking into consideration the extent to which moderate and middle income persons have limited housing opportunities in the area due to high prevailing housing sales prices, but in no case may such limits, as so increased, exceed the lesser of (A) 87 percent of the Federal National Mortgage Association's Conforming Loan Limit, or (B) in the case of a one-family residence, 95 percent of the median one-family house price in the area, as determined by the Secretary; in the case of a two-family residence, 107 percent of such median price; in the case of a three-family residence, 130 percent of such median price; or in the case of a four-family residence, 150 percent of such median price.

**PROGRAM ACCOMPLISHMENTS:**

FHA insured 403,098 loans in Fiscal Year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Residential Rehabilitation Program, no charge; Fact Sheet: Rehabilitation Mortgage Insurance, no charge. 24 CFR 203.50.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgdocs.cfm>), or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.159, Section 245 Graduated Payment Mortgage Program; 14.172, Mortgage Insurance\_Growing Equity Mortgages.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.119 MORTGAGE INSURANCE-HOMES FOR DISASTER VICTIMS

(203(h))

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(h), Public Law 73-479, 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:**

To help victims of a major disaster undertake homeownership on a sound basis.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase or reconstruction of a one-family home that will be the principal residence of a borrower that is a victim of a major disaster. The maximum insurable loan for such an occupant mortgagor is the same as prescribed for Section 203(b) (14.117). Disaster victims are not required to meet the 3 percent minimum investment requirements. In order to qualify for assistance, the formerly occupied home must have been in an area designated by the President as a disaster area, and it must have been destroyed or damaged to such an extent that reconstruction or replacement is necessary.

**Applicant Eligibility:**

Anyone that is a victim of a major disaster as designated by the President is eligible to apply.

**Beneficiary Eligibility:**

Families or individuals that are victims of a major disaster as designated by the President.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An FHA-approved lender submits the application for review and approval or disapproval to the local HUD Field Office. This program is excluded from

coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement. This program is excluded from coverage under OMB Circular No. A-110.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The maximum amount of the loan is 100 percent of the HUD estimated value. No downpayment is required. As of July 1, 1991, risk-based mortgage insurance premiums will be collected including: 1) An up-front premium which may be financed and 2) a periodic premium which is paid monthly. The origination charge by the mortgagee varies, but may not exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable for a 30-year term and the property was constructed subject to HUD or VA inspection.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

Reported under program 14.117.

**Range and Average of Financial Assistance:**

The maximum amount of the loan is 100 percent of the HUD estimated value. No loans were insured under this program in FY 2006.

**PROGRAM ACCOMPLISHMENTS:**

The maximum amount of the loan is 100 percent of the HUD estimated value. No loans were insured under this program in FY 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Guide To Single Family Home Mortgage Insurance," no charge; 24 CFR 203.18(e).

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>

**RELATED PROGRAMS:**

14.117, Mortgage Insurance\_Homes; 59.008, Disaster Assistance Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.122 MORTGAGE INSURANCE-HOMES IN URBAN RENEWAL AREAS

(220 Homes)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Act of 1954, Public Law 83-560, 12 U.S.C. 1715(b), 1715(k).

**OBJECTIVES:**

To help families purchase or rehabilitate homes in urban renewal areas.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance acquisition or rehabilitation of one- to 11-family housing in approved urban renewal or code enforcement areas. Maximum insurable loans for the occupant mortgagor are the same as prescribed for Section 203(b), plus \$9,165 for each family unit over four. Properties must be constructed or rehabilitated pursuant to an approved urban renewal plan.

**Applicant Eligibility:**

All families are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD- approved lending institution. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Formula and Matching Requirements: For most families, the maximum amount of the loan is the same as under Section 203(b) - program 14.117. The downpayment is the difference between the maximum loan amount and the purchase price of the home, or the estimated value, whichever is less. In addition, the purchaser must pay all items of prepaid expense. Special terms are available for qualified veterans. A one-half percent mortgage insurance premium is required. The loan origination charge by the mortgagee varies but may not normally exceed one percent of the total mortgage. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable under a 30 year term and the property was constructed subject to HUD or VA inspection.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.133.

**Range and Average of Financial Assistance:**

Maximum insurable loans for the occupant mortgagor are the same as prescribed for Section 203(b), plus \$9,165 for each family unit over four.

**PROGRAM ACCOMPLISHMENTS:**

There were no mortgage endorsements in Fiscal Year 2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Fact Sheet; Urban Renewal Housing (Mortgage Insurance)," no charge; "Fact Sheet; Major Home Improvements (Loan Insurance)," no charge; 24 CFR 220.1 et seq.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.117, Mortgage Insurance\_Homes.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.123 MORTGAGE INSURANCE-HOUSING IN OLDER, DECLINING AREAS**

(223(e))

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 223(e), Public Law 90-448, 12 U.S.C. 1715(b), 1715(n).

**OBJECTIVES:**

To assist in the purchase or rehabilitation of housing in older, declining urban areas.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans under other sections of the National Housing Act, e.g., Section 221(d)(3) or (d)(4), pursuant to Section 223(e). Claims are paid from the Special Risk Insurance Fund, but this is not a separate program. The determination to use Section 223(e) is at the discretion of HUD. These loans may be used to finance the purchase, repair, rehabilitation, and construction of housing in older, declining urban areas where conditions are such that certain normal eligibility requirements for mortgage insurance under a particular program cannot be met. The property must be an acceptable risk giving consideration to the need for providing adequate housing for low-and moderate-income families.

**Applicant Eligibility:**

HUD-approved mortgagees.

**Beneficiary Eligibility:**

For single family purposes, an individual or family is eligible to apply through HUD approved mortgagees. Multifamily sponsorship is determined by applicable program requirements.

**Credentials/Documentation:**

For single family applications, documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Documentation required for multifamily applications is determined by applicable program requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Sponsors of multifamily housing located in older, declining urban areas, may arrange a preapplication conference with the local HUD field office for advice on the best program for the sponsor, and to discuss HUD procedures and requirements. This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications may be submitted at any time for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may request the HUD-approved mortgagee to seek HUD reconsideration.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Mortgages for housing eligible under the special program may be insured under any one of several HUD programs. The maximum amount of the loan, the downpayment, and other mortgage terms vary according to the HUD program under which the mortgage is insured. The mortgage insurance premium is one-half percent per year on the outstanding loan balance. Fees are established under the applicable HUD program. This program has maintenance of effort (MOE) requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved lenders at any time upon request by HUD, must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the lender to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgages are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.133.

**Range and Average of Financial Assistance:**

Mortgages for housing eligible under the special program may be insured under any one of several HUD programs. The maximum amount of the loan, the downpayment, and other mortgage terms vary according to the HUD program under which the mortgage is insured. There was no activity under this program in FY 2006.

**PROGRAM ACCOMPLISHMENTS:**

No fiscal activity under this section since Fiscal Year 2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Handbook 4260.1, "Miscellaneous Type Home Mortgage Insurance, Section 223(a), (e), and (d)," no charge; 24 CFR 207.31a (for multifamily); 24 CFR 203.43a (for single family).

**Regional or Local Office:**

All projects are processed in Single Family Homeownership Centers, Multifamily Hubs, or local HUD offices. Persons are encouraged to contact the Homeownership Center or HUD serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.108, Rehabilitation Mortgage Insurance; 14.117, Mortgage Insurance\_Homes; 14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.126 MORTGAGE INSURANCE-COOPERATIVE PROJECTS**

(213 Cooperatives)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 213; Housing Act of 1950, Public Law 81-475; Housing Act of 1956, Public Law 84-1020, 12 U.S.C. 1715(e); Public Law 91-152, 83 Stat. 379, 383; Public Law 84-345, 69 Stat. 635; Public Law 87-70, 75 Stat. 149, 179; Public Law 86-372, 73 Stat. 654, 656; Public Law 89-117, 79 Stat. 451, 469; Public Law 89-754, 80 Stat. 1255-66.

**OBJECTIVES:**

Enables nonprofit cooperative ownership housing corporations or trusts to develop or sponsor the development of housing projects to be operated as cooperatives. Section 213 allows investors to provide good quality multifamily housing to be sold to such nonprofit corporations or trusts upon completion of construction or rehabilitation.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 213 insures lenders against loss on mortgages. Insured mortgages may be used to finance construction, acquisition of existing, or rehabilitation of detached, semidetached, row, walk-up, or elevator type housing consisting of five or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation housing projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors are nonprofit cooperatives, ownership housing corporations or trusts which may either sponsor projects directly, sell individual units to



cooperative members, or purchase projects from investor-sponsors (builders, developers, or others who meet HUD requirements).

**Beneficiary Eligibility:**

Members of the cooperative are eligible to occupy a dwelling in the structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The sponsor has an initial conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or a feasibility application (for substantial rehabilitation projects) is submitted. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact for additional information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The sponsor submits the SAMA application or feasibility letter to the local Hub or Program Center. Following HUD's approval and issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local Multifamily Hub or Program Center for processing. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The local HUD field office decides whether to approve, or reject individual applications and whether to issue a commitment to the lender to insure the mortgage.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub or Program Center.

**Range of Approval/Disapproval Time:**

Processing times will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If any application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

Sales-Type: The maximum loan for the sales project is the amount equivalent to the aggregate total of the maximum mortgage amounts that would be allowed for the individual units comprising the project under Section 203(b) Program 14.117 - of the National Housing Act. Investor-Sponsor: The maximum amount of the loan to the investor sponsor is equal to 90 percent of the estimated replacement cost. Management-Type: The maximum amount of the loan is equal to 98 percent of the estimated replacement cost. All Projects: The annual mortgage insurance premium is one half percent of the mortgage amount. The combined FHA application and commitment fees are \$3 per \$1,000 of the mortgage amount. The HUD inspection fee may not exceed \$5 per \$1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less, except for sales type cooperatives where the maximum term is 35 years or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with the regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

Reported under program 14.117.

**Range and Average of Financial Assistance:**

Loan sizes ranged from \$1,500,000 to \$10,200,000, with an average of \$4.7 million. Project sizes ranged from 22 units to 120 units with an average of 53 units.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, HUD insured mortgages for seven projects with 373 units, totaling \$33 million. It is estimated that the Department will insure approximately the same number of projects in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Handbooks 4550.1 and 4550.2 "Basic Cooperative Housing Insurance, and Pre-sale Management Type Co-ops", no charge; HUD Handbook 4550.3, "Converting an Existing Project to a Cooperative", no charge; HUD Handbook 4240.3, Section 203 (n), Application Through Insurance (Single Family), no charge; HUD Handbook 4550.4, Supplementary Loan-Cooperative Housing", no charge; HUD Handbook 4550.5, "Investor-Sponsor and Nonprofit Sponsorship of Housing Cooperatives", no charge; HUD Handbook 4550.6, "Sales Type Cooperatives", no charge available on <http://www.hudclips.org>.

**Regional or Local Office:**

Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Program Centers are listed on the web at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Office of Multifamily Housing Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202)708-1142. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.132, Mortgage Insurance\_Purchase of Sales-Type Cooperative Housing Units; 14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.127 MORTGAGE INSURANCE-MANUFACTURED HOME PARKS**

(207 - Manufactured Home Parks)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 84-345, 12 U.S.C. 1713.

**OBJECTIVES:**

To make possible the financing of construction or rehabilitation of manufactured home parks.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

The Department's Federal Housing Administration (FHA) insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance the construction or rehabilitation of manufactured home parks consisting of 5 or more spaces. The maximum mortgage limit is \$11,250 per space. In areas where cost levels so require, limits may be increased up to 140 percent on a case-by-case basis. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

Families, individuals, and elderly persons owning manufactured homes and desiring to lease spaces in a manufactured home park.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The sponsor has an initial conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility of the project before a Site Appraisal and Market Analysis (SAMA) application (for new construction projects or feasibility application (for substantial rehabilitation projects) is submitted. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the

State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The sponsor submits a site appraisal and market analysis (SAMA) for new construction projects or a feasibility application for substantial rehabilitation projects. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved lender for processing. Considerations include market need, zoning, capabilities of the borrower, and availability of community resources. Applications are submitted to the local HUD Multifamily Hub Program Center which does multifamily processing. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The HUD Multifamily Hub or Program Center decides whether to approve or reject applications.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub or Program Center.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and by the workload of the HUD Field Office.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

The maximum amount of the loan may not exceed 90 percent of the estimated value. The mortgage insurance premium is based on the mortgage amount. The application fee is \$3 per \$1,000. The HUD-inspection fee may not exceed \$5 per \$1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgages at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.135.

**Range and Average of Financial Assistance:**

Loan sizes range from \$1,890,000 to \$7,830,000, with an average of \$4.5 million. Project sizes range from 84 units to 337 units with an average of 175 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD did not insure any projects under this program. It is estimated that no mortgages will be insured under this program in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Manufactured Home Parks; 24 CFR 207.33 et seq.; Mobile Home Parks Financing, no charge; Housing Surveys, Part II; HUD Handbook 4545.1, Mobile Home Park Program, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

All projects are processed in Local HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or in the Catalog Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S. W., Washington, DC 20410. Telephone: (202) 708-1142. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.110, Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers; 64.119, Veterans Housing\_Manufactured Home Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.128 MORTGAGE INSURANCE-HOSPITALS

(242 Hospitals)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 242; 12 U.S.C. 1715z-7; Public Law 108-091.

**OBJECTIVES:**

To facilitate the affordable financing of hospitals for the care and treatment of persons who are acutely ill or who otherwise require medical care and related services of the kind customarily furnished only or most effectively by hospitals.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgages. The loans may be used to finance the construction, modernization, equipment, or refinancing of acute care hospitals.

**Applicant Eligibility:**

Qualified applicants can be either profit or not-for-profit hospitals licensed or regulated by the State, municipality, or other political subdivision. At least 50 percent of the care must be for general acute patients (this requirement has been eliminated for hospitals specifically designated as Critical Access Hospitals as part of Public Law 108-091).

**Beneficiary Eligibility:**

Persons needing the services of these hospitals benefit by using the modernized facilities supported by the insured mortgages.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. A Certificate of Need from the appropriate State agency is needed if that State has a Certificate of Need process. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Interested parties should contact the program office with information about the proposed project before preparing an application. This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Recipients should consult the office or the official designated as the single point of contact in its respective State for more information on the process the State requires to be followed when funds are used for the planning or the construction (reconstruction or rehabilitation) of water or sewer facilities.

**Application Procedure:**

The sponsor submits a formal application to the Office of Insured Health Care Facilities, Room 9224, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Federal Housing Commissioner makes final decisions to approve, hold, or reject individual projects.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Processing time depends upon the complexity of the proposal and the degree of preparation by the sponsor.

**Appeals:**

If an application for mortgage insurance is refused, the reasons for the refusal will be stated. The applicant may reapply.

**Renewals:**

The term of a commitment to insure advances is typically effective for 90 days from the date of issuance and may be extended for good cause.

**Formula and Matching Requirements:**

The maximum mortgage amount may not exceed 90 percent of the estimated replacement cost of the hospital including the installed equipment. The mortgage insurance premium is based on one-half percent of the average monthly amortized unpaid principal balance for the forthcoming year. The combined HUD application and commitment fees are 0.3 percent of the mortgage amount. The HUD inspection fee may not exceed 0.5 percent of the mortgage amount.

**Length and Time Phasing of Assistance:**

The mortgage term is 25 years.

**Reports:**

Defaults in meeting the mortgage terms must be reported. Mortgagors are required to submit annual audited financial statements to HUD. Approved mortgagors must furnish copies of their latest financial statements upon request by HUD.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees and mortgagors are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and FHA regulations. Records must be kept in accordance with State and Federal Regulations during the construction phase.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgage insurance commitments) FY 07 est \$846,348,500; FY 08 est 825,000,000; and FY 09 est \$1,100,000,000.

**Range and Average of Financial Assistance:**

\$1,950,000 to \$278,500,000; \$71,911,778.

**PROGRAM ACCOMPLISHMENTS:**

HUD issued 9 insurance commitments for acute care hospitals in FY 2007. It is expected that approximately 7 new mortgages will be insured in FY 2008 through Section 242 and 241.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (Housing and Urban Development) Part 200; Mortgage Insurance for Hospitals, (HUD Handbooks 4615.1; 4615.2) no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Insured Health Care Facilities, Department of Housing and Urban Development, 451 7th Street, Room 9224, Washington DC 20410. Paul Giandrone, Senior Financial Analyst. Telephone: (202)708-0599; E-mail: paul.a.giandrone@hud.gov).

**Web Site Address:**

<http://www.fha.gov/hospitals>.

**RELATED PROGRAMS:**

14.129, Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.129 MORTGAGE INSURANCE-NURSING HOMES, INTERMEDIATE CARE FACILITIES, BOARD AND CARE HOMES AND ASSISTED LIVING FACILITIES

(232)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 232; Housing Act of 1959, as amended, Public Law 86-372; Housing and Urban Development Act of 1969, Public Law 91-152, 73 Stat. 654, 83 Stat. 379; Public Laws 95-128, 95-557, 96-153, and 98-181.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders to facilitate the construction or rehabilitation of nursing homes, intermediate care facilities, board and care homes and assisted living facilities, to allow purchase or refinancing with or without repairs of projects not requiring substantial rehabilitation, and to provide loan insurance to install fire safety equipment.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 232 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance construction or renovation of facilities to accommodate 20 or more patients requiring skilled nursing care and related medical services, or those who while not in need of nursing home care, are in need of minimum but continuous care provided by licensed or trained personnel. Board and care homes and assisted living facilities are also eligible and must contain a minimum of five accommodations or units. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities may be combined in the same facility covered by an insured mortgage or may be in separate facilities. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities must be licensed or regulated by the appropriate state agency, municipality, or other political subdivision where located. Contractors for new construction and substantial rehabilitation projects

must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, nursing homes and private nonprofit corporations or associations.

**Beneficiary Eligibility:**

Residents requiring skilled nursing, custodial care, and assistance with activities of daily living are eligible to live in a structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Certification of need and inspection and licensing by the State agency designated by the Public Health Service Act for the State in which the nursing home or intermediate care facility is to be located is required, or, if no State Agency exists, an alternative market study is required. A Certificate of Need may be required for a board and care home or assisted living facility. A statement from the appropriate State Agency is required stating that the State is in compliance with Section 1616 (e) of the Social Security Act. This facility must be licensed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For Traditional Application Processing (TAP) of a mortgage insurance application, the sponsor will have an initial conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility for the project before a site appraisal and market analysis application, or a firm commitment application, is submitted. For Multifamily Accelerated Processing (MAP) for new construction or substantial rehabilitation loans, the sponsor works with a MAP-approved lender who submits certain required exhibits for the preapplication stage. For refinance or purchase of an existing health care project, under Section 232/223(f), there is no preapplication stage under MAP. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the State office or official designated as the single point of contact additional information.

**Application Procedure:**

For Traditional Application Processing (TAP), the application for Firm commitment is submitted by the sponsor through a HUD-approved mortgagee, and the application is processed by the Multifamily Hub or Program Center. For Multifamily Accelerated Processing (MAP), the application for a Firm Commitment, including a full under-writing package, is submitted by the MAP lender for HUD Field Office review. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The local HUD Field Office makes the final decision to approve, or reject individual projects.

**Deadlines:**

Deadlines are established on a case-by-case basis by the designated Multifamily Hub or Program Center and are mutually agreed to at the pre-commitment conference.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not Multifamily Accelerated Processing (MAP) or Traditional Application Processing (TAP) is used.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

The maximum amount of the loan for new construction and substantial rehabilitation would be equal to 90 percent (95 percent for nonprofit sponsors) of the estimated value of the physical improvements and major movable equipment. For existing projects, the maximum is 85 percent (90 percent for nonprofit sponsors) of the estimated value of the physical improvements and major movable equipment. HUD charges one-half percent of the mortgage amount per annum for mortgage insurance premium. The combined HUD site appraisal and market analysis application and commitment fees are \$3 per \$1,000 of the mortgaged amount. The HUD inspection fee may not exceed \$5 per \$1,000 of the mortgage amount for new construction and substantial rehabilitation projects. The inspection fee for existing projects may not exceed one percent of the total cost of repairs.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years for new construction and substantial rehabilitation. The maximum term for existing projects without substantial rehabilitation is 35 years.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be



approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to file, electronically, an annual financial statement to HUD audited and prepared in accordance with Generally Accepted Accounting Principals and Generally Accepted Auditing Standards. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor, or lesser, in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) FY 07 \$1,219,476,400; FY 08 est \$1,237,500,000; and FY 09 est \$1,762,500,000.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: The maximum amount of the loan for new construction and substantial rehabilitation would be equal to 90 percent (95 percent for nonprofit sponsors) of the estimated value of the physical improvements and major movable equipment. For existing projects, the maximum is 85 percent (90 percent for nonprofit sponsors) of the estimated value of the physical improvements and major movable equipment.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, the Department insured mortgages for 174 health care facilities with 18,910 beds/units, totaling \$1.1 billion. It is estimated that approximately the same number of projects will be insured during fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Nursing Homes (Mortgage Insurance); Minimum Property Standards for Nursing Homes; (FHA Regulations). Handbook for Nursing Homes and Intermediate Care Facilities; (4600.1); (FHA Regulations 24 CFR 232 and 200), available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Program Centers are listed in the web at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20412. Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.128, Mortgage Insurance\_Hospitals; 14.151, Supplemental Loan Insurance\_Multifamily Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.133 MORTGAGE INSURANCE-PURCHASE OF UNITS IN CONDOMINIUMS

(234(c))

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
**AUTHORIZATION:**

National Housing Act, as amended, Section 234(c), Public Law 87-70, 75 Stat. 149, 1968, Public Law 90-448, 82 Stat. 476, 507, 1969, Public Law 91-152, 83 Stat. 379, 384.

**OBJECTIVES:**

To enable families to purchase units in condominium projects.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the acquisition of individual units in proposed or existing condominium projects containing four or more units. The maximum insurable loan for an occupant mortgagor is the same as Section 203(b) - Program 14.117. With respect to a unit in any project which was converted from rental housing, no insurance may be provided under this section unless: (1) The conversion occurred more than 1 year prior to the application for insurance; (2) the mortgagor or co-mortgagor was a tenant of that rental housing; or (3) the

conversion of the property is sponsored by a bona fide tenant's organization representing a majority of the households in the project.

**Applicant Eligibility:**

All families are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the function and characteristics of the project and the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An environmental assessment is required for a proposed project under this program. Owner-occupancy requirements apply as do requirements for transfer of rights to the homeowner association. Eighty percent of HUD-insured mortgages in the project must be made to owner-occupants. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted for review and approval to the local HUD Field Office through a HUD-approved lending institution. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The maximum amount of the loan is the same as under 203(b) - Program 14.117. The downpayment is equal to the difference between the maximum loan amount and the purchase price of the unit. The loan origination charge by the mortgagee varies, but may not exceed one percent of the total mortgage amount. Risk based premiums are collected including 1) an upfront premium that may be financed and 2) a periodic premium that is paid monthly.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptably under a 30-year term.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) FY 07 \$27,573,476,420; FY 08 est \$20,361,187,000; and FY 09 reported under program 14.117.

**Range and Average of Financial Assistance:**

The maximum amount of the loan is the same as under 203(b) - Program 14.117.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured 18,242 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Guide To Single Family Home Mortgage Insurance," no charge; Questions about Condominiums, HUD 365-H(7), no charge; 24 CFR 234.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohcs.cfm>) or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.112, Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects; 14.159, Section 245 Graduated Payment Mortgage Program; 14.172, Mortgage Insurance\_Growing Equity Mortgages.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.134 MORTGAGE INSURANCE-RENTAL HOUSING**

(Section 207)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 75-424, 12 U.S.C. 1713.

**OBJECTIVES:**

To increase the supply of good quality rental housing for middle-income families.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 207 insures lenders against the loss on mortgage defaults. Section 207 mortgage insurance, although still authorized, is no longer used for new construction and substantial rehabilitation. It is however, the primary vehicle for the Section 223(f) refinancing program. Multifamily new construction and substantial rehabilitation projects are currently insured under Section 221(d)(3) and Section 221(d)(4) programs. Insured mortgages may be used to finance the construction or rehabilitation of rental detached, semidetached, row, walk-up, or elevator type structures with 5 or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The sponsor has an initial conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility of the project before a Site Appraisal and Market Analysis (SAMA) application (for new construction projects) or feasibility application (for substantial rehabilitation projects) is submitted. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the State office or official designated as the single point of contact for additional information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

The sponsor submits an application for a SAMA or feasibility letter. Following HUD's approval and issuance of a SAMA or feasibility letter, the Firm Commitment application is submitted to the local HUD Multifamily Hub or Program Center for processing. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub or Program Center.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

The maximum amount of the loan is equal to 90 percent of the estimated value. The mortgage insurance premium is one-half percent of the mortgage amount. The total HUD application processing and commitment fees are \$5 per \$1,000 of the mortgage amount. Only \$1 per \$1,000 is required at the initial application for SAMA. No fee is required with a feasibility application for a rehabilitation project. The HUD inspection fee may not exceed \$5 per \$1,000 of the mortgage

amount.

**Length and Time Phasing of Assistance:**

The mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit annual financial statements to HUD. All approved mortgagors at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

Reported under program 14.135.

**Range and Average of Financial Assistance:**

The maximum amount of the loan is equal to 90 percent of the estimated value.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD did not insure any mortgages under this program. It is estimated that the Department will not insure any mortgages in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207 et seq.; Fact Sheet: Section 207 Rental Housing, no charge; HUD Handbook 4400.1, Project Mortgage Insurance Basic Section 207 Instructions, available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

Persons are encouraged to communicate with Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Programs Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or at the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410; Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate; 14.138, Mortgage Insurance\_Rental Housing for the Elderly; 14.139, Mortgage Insurance\_Rental Housing in Urban Renewal Areas; 14.155, Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.135 MORTGAGE INSURANCE-RENTAL AND COOPERATIVE HOUSING FOR MODERATE INCOME FAMILIES AND ELDERLY, MARKET INTEREST RATE**

(221(d)(3) and (4) Multifamily - Market Rate Housing)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 221, Public Law 86-372, 12 U.S.C. 1715(1).

**OBJECTIVES:**

To provide good quality rental or cooperative housing for moderate income families, the elderly, and handicapped. Single Room Occupancy (SRO) may also be insured under this section (see program 14.184).

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 221(d)(3) and Section 221(d)(4) insures lenders against loss on mortgage defaults for market rate rental projects. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, row, walkup, or elevator-type rental or cooperative housing containing 5 or more units. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new

construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 221(d)(3) mortgages require appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Public, profit-motivated sponsors, limited distribution, nonprofit cooperative, builder-seller, investor-sponsor, and general mortgagors.

**Beneficiary Eligibility:**

All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection. There are no income limits. Projects may be designed specifically for the elderly and handicapped.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Under Traditional Application Processing (TAP), the sponsor has an initial conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility of the project, before the submission of a site appraisal and market analysis (SAMA) or a feasibility application. For Multifamily Accelerated Processing (MAP), the sponsor works with a MAP-approved lender who submits certain required exhibits for the preapplication stage. If HUD determines that the exhibits are acceptable, the lender is invited to submit a Firm Commitment application. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

For Traditional Application Process (TAP) following HUD's issuance of a SAMA letter (new construction) or Feasibility Letter (substantial rehabilitation) the sponsor submits a formal mortgage insurance application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing. For Multifamily Accelerated Processing (MAP), the lender submits the required exhibits, including a full underwriting package, which are then reviewed by the Multifamily Hub and Program Center before a Firm Commitment is issued. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the HUD Multifamily Hub and Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub and Program Center.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not TAP or MAP is used.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required.

**Formula and Matching Requirements:**

Section 221(d)(3): For general and limited distribution mortgagors, the maximum amount of the loan is equal to 90 percent of the estimated replacement cost. For nonprofit, public and cooperative mortgagors the maximum amount of the loan may be up to 100 percent of the estimated replacement cost in most cases. Section 221(d)(4): The maximum amount of the loan is equal to 90 percent of the estimated replacement cost. All projects: The mortgage insurance premium depends on whether the application is under Section 221(d)(3) or Section 221 (d) (4). Application processing and commitment fees are \$3 per \$1,000 of the mortgage amount. The HUD inspection fee may not exceed \$5 per \$1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees must furnish a copy of their latest financial statements

at any time upon request by HUD.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) FY 07 \$1,254,248,333; FY 08 est \$1,218,750,000; and FY 09 est \$1,715,000,000.

**Range and Average of Financial Assistance:**

Loan sizes range from \$1,100,000 to \$40,000,000 with an average of \$9.7 million. Project sizes range from 35 to 526 units with an average of 155 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured mortgages for 104 projects with 16,219 units, totaling \$1.0 billion. It is estimated that the Department will insure approximately the same number of projects in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221 et seq.; Fact Sheet: Rental Housing for Moderate Income Families, no charge; HUD Handbook 4560.2, Mortgage Insurance for Moderate-Income Housing Projects, Section 221 (d)(4), no charge; HUD Handbook 4560.1, Section 221(d)(3) Market Interest Rate for Project Mortgage Insurance, no charge; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy Projects; no charge; HUD Handbook 4550.3; Basic Cooperative Housing Insurance Handbook, no charge. Handbooks are on HUDCLIPS at <http://www.hudclips.org>. The Multifamily Accelerated Processing (MAP) Guide is on the web. Refer to HUD's MAP page at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

Persons are encouraged to contact the Multifamily Hub or Program Center with jurisdiction for the proposed project. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or in the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.134, Mortgage Insurance\_Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.138 MORTGAGE INSURANCE-RENTAL HOUSING FOR THE ELDERLY**

(231)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 231, Public Law 86-372, 73 U.S.C. 654, 12 U.S.C. 1715(V).

**OBJECTIVES:**

To provide good quality rental housing for the elderly.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 231 insures lenders against loss on mortgages. Section 231 was designed to increase the supply of rental housing specifically for the use and occupancy of elderly persons and/or persons with disabilities. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, walk-up, or elevator type rental housing designed for occupancy by elderly or handicapped individuals and consisting of 8 or more rental units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include private profit-motivated developers, and nonprofit sponsors.

**Beneficiary Eligibility:**

All elderly or handicapped persons are eligible to occupy apartments in a project whose mortgage is insured under the program.

**Credentials/Documentation:**



Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The sponsor has an initial conference with the local HUD Multifamily Hub and Program Center to determine the preliminary feasibility of the project before a site appraisal and market analysis (SAMA) application (for new construction projects) or feasibility application (for substantial rehabilitation projects) is submitted. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the state office or official designated as the single point of contact for additional information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender for mortgage insurance.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub or Program Center.

**Range of Approval/Disapproval Time:**

Processing time varies depending upon the degree of preparation by the sponsor and HUD Multifamily Hub and Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

Formula and Matching Requirements: For nonprofit and public mortgagors, the maximum amount of the loan is equal to 100 percent of the estimated replacement cost (or 100 percent of project value for projects involving rehabilitation). For all other mortgagors, the maximum amount of the loan is up to 90 percent of the replacement cost (90 percent of project value for projects involving rehabilitation). The annual mortgage insurance premium is one-half percent of the mortgage amount. The HUD application processing and commitment fees are \$3 per \$1,000 of the mortgage amount. The HUD inspection fee may not exceed \$5 per \$1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practice of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

Reported under program 14.135.

**Range and Average of Financial Assistance:**

For nonprofit and public mortgagors, the maximum amount of the loan is equal to 100 percent of the estimated replacement cost. For all other mortgagors, the maximum amount of the loan is up to 90 percent of the replacement cost.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, HUD insured 2 mortgages with 262 units totaling \$8.8 million. It is estimated that the Department will insure approximately the same number of projects in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Section 231 for the Elderly; 24 CFR 231.1 et seq. Section 231, Housing for the Elderly for Project Mortgage Insurance, HUD Handbook 4570.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

Persons are encouraged to communicate with the Multifamily Hub or Program

Center with jurisdiction for the proposed property. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) and in the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.134, Mortgage Insurance\_Rental Housing; 14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.139 MORTGAGE INSURANCE-RENTAL HOUSING IN URBAN RENEWAL AREAS

(220 Multifamily)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
**AUTHORIZATION:**

National Housing Act, as amended, Section 220, Public Law 83-560, 12 U.S.C. 1745(k).

**OBJECTIVES:**

To provide good quality rental housing in urban renewal areas, code enforcement areas, and other areas designated for overall revitalization.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 220 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance proposed construction or rehabilitation of detached, semi-detached, row, walk-up, or elevator type rental housing or to finance the purchase of properties which have been rehabilitated by a local public agency. Property must consist of two or more units and must be located in an urban renewal area, urban redevelopment project, or code enforcement program area, urban area receiving rehabilitation assistance as a result of natural disaster, or area where concentrated housing, physical development and public service activities are being carried out in a coordinated manner. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage standards under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include private profit motivated entities, public bodies, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy a dwelling in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For Traditional Application Process (TAP) of a mortgage insurance application, the sponsor will have an initial conference with the local HUD Multifamily Hub or Program Center to determine the preliminary feasibility of the project before a site appraisal and market analysis application, or a firm commitment application is submitted. For Multifamily Accelerated Processing (MAP) for new construction or substantial rehabilitation loans, the sponsor works with a MAP-approved lender who submits certain required exhibits for the preapplication stage. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

For traditional processing, the application for a Firm Commitment is submitted by the sponsor through a HUD-approved mortgagee, and the application is processed by the Multifamily Hub or Program Center. For Multifamily Accelerated Processing (MAP), the application for a Firm Commitment, including a full underwriting package, is submitted by the MAP leader for HUD

Field Office review. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The local Multifamily Hub or Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the Multifamily Hub or Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Deadlines are established on a case by case basis by the Multifamily Hub or Program Center.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not Multifamily Accelerated Processing (MAP) or Traditional Application Processing (TAP) is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

The maximum amount of the loan may not exceed 90 percent of the estimated replacement cost for new construction. For substantial rehabilitation projects, the maximum mortgage amount is 90 percent of the estimated cost of repair and rehabilitation and the estimated value of the property before the repair and rehabilitation project. The HUD application processing fee is \$3 per \$1,000 of the mortgage amount. The HUD inspection fee may not exceed \$5 per \$1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit annual financial statements to HUD. All approved mortgagees must furnish copies of their latest financial statements at any time upon request by HUD.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

Reported under program 14.135.

**Range and Average of Financial Assistance:**

Loan sizes range from \$1,365,500 to 45,495,200, with an average of \$17.9 million. Project sizes range from 48 units to 340 units with an average of 138 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured one project with 420 units, totaling \$29.4 million. It is estimated that the Department will insure approximately the same number of mortgages during fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 220.1 et seq.; Fact Sheet: Urban Renewal Housing (Mortgage Insurance), no charge; Rental Housing in Urban Renewal Areas for Project Mortgage Insurance, HUD Handbook 4555.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Field Office listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.134, Mortgage Insurance Rental Housing; 14.135, Mortgage Insurance Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.142 PROPERTY IMPROVEMENT LOAN INSURANCE FOR IMPROVING ALL EXISTING STRUCTURES AND BUILDING OF NEW NONRESIDENTIAL STRUCTURES**

(Title I)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT AUTHORIZATION:

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To facilitate the financing of improvements to homes and other existing structures and the building of new nonresidential structures.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to finance alterations, repairs, and improvements for existing structures and the building of new nonresidential structures which substantially protect or improve the basic livability or utility of the properties. The maximum loan amount is \$25,000 for improving a single family home or for improving or building a nonresidential structure. For improving a multifamily structure, the maximum loan amount is \$12,000 per family unit, not to exceed a total of \$60,000 for the structure.

**Applicant Eligibility:**

Eligible borrowers include the owner of the property to be improved, a lessee having a lease extending at least 6 months beyond maturity of the loan, or a purchaser of the property under a land installment contract.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

The responsibility for credit approval of borrowers is exercised by HUD-insured lenders. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The borrower applies directly to an insured lender, or through a lender's approved dealer. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

HUD does not participate in the approval or disapproval of individual loans.

**Appeals:**

Reapplication in case of refusal should be submitted to an approved lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

HUD insures private lenders against losses of up to 90 percent of any single loan with maximum insurance coverage limited to a total of 10 percent of the total amount insured. The interest rate is a negotiable interest rate agreed upon between the borrower and lender. The annual insurance charge is \$1 per \$100 of the amount advanced.

**Length and Time Phasing of Assistance:**

Loans mature in 20 years and 32 days or earlier. Loans may be refinanced, but may not extend beyond 30 years from the date of the original note.

**Reports:**

None.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of lenders in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Loans insured) FY 07 \$42,413,306; FY 08 est \$54,367,000; and FY 09 est \$54,367,000.

**Range and Average of Financial Assistance:**

The maximum loan amount is \$25,000 for improving a single family home or

for improving or building a nonresidential structure. For improving a multifamily structure, the maximum loan amount is \$12,000 per family unit, not to exceed a total of \$60,000 for the structure.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured 2,970 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Fixing Up Your Home," HUD-52-H(7), no charge.

**Regional or Local Office:**

Contact HUD at 800-767-7468 for a program brochure #2651 and list of lenders.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

10.417, Very Low-Income Housing Repair Loans and Grants; 14.108, Rehabilitation Mortgage Insurance; 14.110, Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.149 RENT SUPPLEMENTS-RENTAL HOUSING FOR LOWER INCOME FAMILIES

(Rent Supplement Program)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Urban Development Act of 1965, Public Law 89-117, 12 U.S.C. 1701(s).

**OBJECTIVES:**

To make good quality rental housing available to low income families at a cost they can afford.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

HUD makes payments to owners of approved HUD-insured and non-insured multifamily rental housing projects to supplement the partial rental payments of eligible tenants. Rental projects were required to be part of an approved workable program for community improvement or be approved by local government officials. Assistance covers the difference between the tenant's payment and the basic market rental, but may not exceed 70 percent of the market rental. The tenant's payment is between 25 and 30 percent of monthly adjusted income or 30 percent of market rental, whichever is greater. This program is inactive. No new projects are being approved; however, tenants may apply for admission to existing projects.

**Applicant Eligibility:**

Eligible sponsors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution mortgagors.

**Beneficiary Eligibility:**

Families incomes must be within the income limits prescribed for admission to Section 8 housing in order to qualify for benefits under this program. Families may continue in occupancy if 30 percent of monthly income exceeds the market rent.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications for new projects are no longer being accepted. The sponsor arranged a preapplication conference with the local HUD Multifamily Hub or Program Center to determine the need for rent supplement assistance to the project before a formal application is submitted. Applications for new projects and unit increases for existing projects are no longer being accepted. All existing FHA-insured projects are being converted to the Section 8 Housing Assistance Payments program. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372. No applications for new projects are being accepted.

**Application Procedure:**

No applications for new projects are being accepted. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

HUD makes monthly payments to project owners to make up the difference between the partial rentals paid by assisted tenants and the market rentals. Assisted tenants must pay between 25 and 30 percent of their adjusted monthly income (after certain deductions) or 30 percent of the market rent, whichever is greater. This program has maintenance of effort (MOE) requirements, see funding agency for further details. Statistical factors used for fund allocation do not apply for this program. The statistical factor used for eligibility is 80 percent of the median family income by HUD field office region, the source calculated by HUD from P-25, Census; 1990 Census; County Business Patterns; P-60, Census; and the Annual Housing Survey.

**Length and Time Phasing of Assistance:**

The rent supplement contract is limited to the term of the mortgage or 40 years from the date of the first payment made under the contract, whichever is less. Individual family's assistance ceases when 30 percent of income is equal to or exceeds the market rent.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage terms must be reported. All mortgagors of HUD-insured projects are required to submit an annual financial statement to HUD.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to maintain records in accordance with acceptable mortgage practices of lending institutions and the HUD regulations. All tenants who benefit from supplements must have their incomes recertified annually.

**Account Identification:**

86-0129-0-1-604.

**Obligations:**

(Outlays) FY 07 not separately identifiable; FY 08 est not separately identifiable; and FY 09 est not separately identifiable.

**Range and Average of Financial Assistance:**

See USES AND USE RESTRICTIONS.

**PROGRAM ACCOMPLISHMENTS:**

No new commitments for additional projects will be made under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rent Supplements, no charge; 24 CFR 215; HUD Handbook 4350.3.

**Regional or Local Office:**

Contact the appropriate HUD Field Office listed in Appendix IV.

**Headquarters Office:**

For Management Information, Director, Office of Multifamily Asset Management, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-3730.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

14.103, Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families; 14.134, Mortgage Insurance\_Rental Housing; 14.138, Mortgage Insurance\_Rental Housing for the Elderly; 14.139, Mortgage Insurance\_Rental Housing in Urban Renewal Areas.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.151 SUPPLEMENTAL LOAN INSURANCE-MULTIFAMILY RENTAL HOUSING

(241(a))

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Section 241, Public Law 90-448, 12 U.S.C. 1715, Public Law 94-375, 12 U.S.C. 1715z-6.

**OBJECTIVES:**

To provide good quality rental housing for the elderly.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 241(a) insures lenders against loss on loans made either (1) to finance additions and improvements of multifamily housing projects, nursing homes, hospitals and group practice facilities already subject to HUD/FHA insured



mortgages or mortgages held by HUD, or (2) to finance energy conservation improvements. The proceeds of a loan involving an insured nursing home, hospital or a group practice facility may also be used to purchase equipment to be used in the operation of such nursing home or facility. The maximum insurable loan for an insured project is an amount which, when added to the outstanding balance of the existing insured mortgage, does not exceed the amount insurable under the program pursuant to which the mortgage covering such project or facility is insured. Where the project is covered by a mortgage held by the Secretary the principal amount of the loan shall be in an amount acceptable to the Secretary. Contractors of substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 241(a) for apartments requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility already subject to a mortgage insured by HUD or held by HUD.

**Beneficiary Eligibility:**

Individuals/families and owners of multifamily projects.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The sponsor will have a preapplication conference with the local HUD Multifamily Hub and Program Center which does multifamily processing to determine the preliminary feasibility of making the proposed improvements before a formal application is submitted. This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The sponsor submits a formal application for review and approval or disapproval through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

If the proposed improvements meets program requirements, the local HUD Multifamily Hub and Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub and Program Center.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and workload in the HUD Multifamily Hub and Program Center.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

The amount of the loan may not exceed 90 percent of the estimated value of the improvements, additions, or equipment.

**Length and Time Phasing of Assistance:**

A loan for a project with a HUD-insured or HUD-held mortgage must have a maturity acceptable to HUD.

**Reports:**

Any change of the borrower during the period of loan insurance must be approved by HUD. Defaults in meeting the loan terms must be reported. All borrowers are required to submit an annual financial statement to HUD. All approved lenders at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the lender or borrower in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Loans insured) FY 07 \$5,477,300; FY 08 est \$7,500,000; and FY 09 est

\$10,000,000.

**Range and Average of Financial Assistance:**

Loan sizes typically range from \$250,000 to \$1,500,000, with an average of \$1,375,000. Project sizes range from 20 units to 290 units with an average of 204 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007 HUD insured 4 mortgages with 819 units/beds, totaling \$5.5 million. It is estimated that the Department will insure approximately the same number of mortgages in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR, 241 et seq.; HUD Handbook 4585.1 "Supplemental Loans for Project Mortgage Insurance," Section 241, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

All projects are processed in Regional and Local Multifamily Hub or Program Center. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office in the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, Washington, DC 20411. Telephone: (202) 708-2556. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.129, Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.155 MORTGAGE INSURANCE FOR THE PURCHASE OR REFINANCING OF EXISTING MULTIFAMILY HOUSING PROJECTS

(Section 223(f)/207)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
**AUTHORIZATION:**

National Housing Act, Section 223(f), as amended; Housing and Community Development Act of 1974, as amended, Public Law 93-383. 12 U.S.C. 1715n.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders for the purchase or refinancing of existing multifamily housing projects, whether conventionally financed or subject to federally insured mortgages at the time of application for mortgage insurance. The program allows for the long term mortgages that can be financed with Ginnie Mae Mortgage-Backed Securities.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Section 223(f) insures lenders against loss on mortgage loans. These loans may be used to purchase or refinance existing multifamily housing projects. Only projects not requiring substantial rehabilitation are acceptable under this section. The estimated cost of required repairs may not exceed 15 percent of the estimated value after repairs or \$6,500 per unit adjusted by a high cost factor, whichever is greater and may not involve the replacement of more than one major system. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations. Prevailing wage requirements under the Davis-Bacon Act do not apply to this program.

**Applicant Eligibility:**

Mortgagors may be either private or public. The property must consist of not less than 5 living units and must meet the following criteria: (1) the mortgage cannot exceed 85 percent of the HUD estimated value of the project; (2) three years must have elapsed from the later date of completion of project construction or substantial rehabilitation, or the beginning occupancy date of application for mortgage insurance; (3) the remaining economic life of the project must be long enough to permit at least a ten-year mortgage term or 75 percent of the estimated life of the physical improvements.

**Beneficiary Eligibility:**

All persons are eligible to occupy such projects subject to normal occupancy restrictions.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the purchaser or existing mortgagor in refinance projects are assembled by the mortgagee and submitted with the application. Management plan must be submitted at time of application for commitment. This program is

excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For Traditional Application Process (TAP) before the application is filed, the sponsor has a preapplication conference with local HUD Multifamily Hub and Program Center Staff. For Multifamily Accelerated Processing (MAP) there is no preapplication stage for Section 223(f). The MAP-approved lender prepares and submits the application for a Firm Commitment, including a full underwriting package for HUD Multifamily Hub or Program Center review. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

The applicant will submit a formal application for conditional or firm commitment through a HUD approved mortgagee. This program is excluded from coverage under OMB Circular No. A-110. An environmental assessment is required.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine proposal eligibility. If the project meets program requirements, the local HUD Multifamily Hub and Program Center issues the commitment to the lender to insure the project.

**Deadlines:**

Deadlines are established on a case-by-case basis.

**Range of Approval/Disapproval Time:**

Processing time depends on the degree of preparation of the sponsor, and whether MAP or TAP is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for denial.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

The maximum amount of the loan will not be in excess of 85 percent of the estimated value.

**Length and Time Phasing of Assistance:**

The mortgage term should not be less than 10 years nor should it exceed the lesser of 35 years or 75 percent of the estimated remaining economic life of the physical improvements.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by HUD. Defaults in meeting the mortgage term must be reported. All mortgagors are required to submit annual financial statements to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages Insured) FY 07 \$1,509,619,356; FY 08 est \$1,125,000,000; and FY 09 est \$1,575,000,000.

**Range and Average of Financial Assistance:**

Loan sizes range from \$478,700 to \$14,300,000, with an average of \$3.5 million. Project sizes range from 8 units to 364 units with an average of 121 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured mortgages for 355 projects with 29,284 units, totaling \$1.1 billion. It is estimated that the Department will insure the same number of mortgages in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Section 223(f) Mortgage Insurance; 24 CFR 200, HUD Handbook 4565.1, Mortgage Insurance for the purchase or Refinancing of Existing Multifamily Housing Projects, Section 223(f) available on [www.hudclips.org](http://www.hudclips.org). The Multifamily Accelerated Processing (MAP) guide may be found at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.134, Mortgage Insurance Rental Housing.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.157 SUPPORTIVE HOUSING FOR THE ELDERLY**

(202)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT AUTHORIZATION:

Housing Act of 1959 (12 U.S.C. 1701q) as amended by section 801 of the Cranston-Gonzalez National Affordable Housing Act (Public Law 101-625 approved November 28, 1990); The Housing and Community Development Act of 1992 (Public Law 102-550 approved October 28, 1992); The Rescissions Act (Public Law 104-19 enacted on July 27, 1995); The American Homeownership and Economic Opportunity Act of 2000 (Public Law 106-569 approved December 27, 2000); and The Consolidate Appropriations Act of 2008 (Public Law 110-161 approved December 26, 2007).

**OBJECTIVES:**

To expand the supply of housing with supportive services for the elderly, including the frail elderly.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Capital advances shall be used to finance the construction or rehabilitation of a structure or portion thereof, or the acquisition of a structure to provide supportive housing for the elderly, which may include the cost of real property acquisition, site improvement, conversion, demolition, relocation and other expenses of supportive housing for the elderly. Project rental assistance is used to cover the difference between the HUD-approved operating cost per unit and the amount the tenant pays.

**Applicant Eligibility:**

Eligible Sponsors include private nonprofit organizations and nonprofit consumer cooperatives. Eligible Owner entities include private nonprofit corporations, nonprofit consumer cooperatives, and if the proposed project involves mixed-financing, for-profit limited partnerships with a nonprofit entity as the sole general partner. Public bodies and their instrumentalities are not eligible Section 202 applicants.

**Beneficiary Eligibility:**

Beneficiaries of housing developed under this program must be elderly (62 years of age or older) and have very low-incomes.

**Credentials/Documentation:**

The Sponsor/Owner must receive certification of eligibility from HUD. The Owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the HUD-approved capital advance amount, up to a maximum of \$25,000 for national Sponsors or up to \$10,000 if not a national Sponsor. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A Notice of Fund Availability is published in the Federal Register each fiscal year announcing the availability of funds to HUD Field Offices. Applicants must submit a Request for a Fund Reservation, using Form HUD-92015-CA, Section 202 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office). The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. This program is excluded from coverage under OMB Circular No. A-110. All applications must be submitted via [www.grant.gov](http://www.grant.gov).

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the particular HUD Field Office. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a private nonprofit organization, commitment to provide the minimum capital investment and prior experience in housing or related supportive service activities. The Request for Capital Advance Financing, using Form HUD-92013, is reviewed to

update the determination of acceptability of project site and market, correctness of zoning, and effect on environment, as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Applications must be submitted within the time period specified in the Notice of Fund Availability (or Funding Notification), usually 60 to 90 days.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the Sponsor usually is advised of the decision within 4 to 5 months from the end of the application period, but in any event, usually by the end of the same fiscal year (September 30).

**Appeals:**

During the period of competition, Sponsors whose applications are rejected by the HUD Field Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection. Also, HUD Field Offices may issue Notices of Intent to Cancel a Fund Reservation to Sponsors/Owners who have been approved for a fund reservation, but whose projects are not progressing towards a construction start in a satisfactory manner and within the term of the fund reservation, including any approved extensions of time. Under these circumstances, Sponsors/Owners have the right to appeal HUD's Notice of Intent to Cancel a Fund Reservation within 30 days of HUD's written notice.

**Renewals:**

Not applicable to Section 202 capital advances. However, Project Rental Assistance Contracts may be renewed for up to a one-year term after the initial 3-year term subject to the availability of funds.

**Formula and Matching Requirements:**

This program has maintenance of effort (MOE) requirements, see funding agency for further details. The formula used for allocating funds consists of one data element from the 2000 Census: Number of one-person elderly renter households (householder age 62 and over) with income at or below the applicable Section 8 very low-income limit, and with housing condition. No match required.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable so long as the project is available to very low income elderly for 40 years. Project Rental Assistance Contract payments may not exceed 3 years. However, contracts are renewable for up to a one-year term based on availability of funds. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction for work in place.

**Reports:**

Any change in the Owner during the period of the capital advance must be approved by HUD. All Owners will be required to submit a financial statement and form HUD-96010 Program Outcome Logic Model to HUD on an annual basis.

**Audits:**

HUD reserves the right to audit the accounts of the Owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0164-0-3-371; 86-4588-0-3-371; 86-0320-0-3-371.

**Obligations:**

(Obligations) FY 07 \$750,264,401; FY 08 est \$795,262,000; and FY 09 est \$791,303,000.

**Range and Average of Financial Assistance:**

\$717,700 to \$12,560,400.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, HUD funded 3,857 units under this program. HUD anticipates a similar level of funding in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 891; HUD Handbooks 4571.3 REV-1 and 4571.5; and Notice H 96-102, as extended.

**Regional or Local Office:**

Contact the appropriate HUD office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Office Housing Assistance and Grants Administration, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-3000.

**Web Site Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.181, Supportive Housing for Persons with Disabilities; 14.195, Section 8 Housing Assistance Payments Program Special Allocations.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.159 SECTION 245 GRADUATED PAYMENT MORTGAGE PROGRAM

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act of 1934, Section 245, Public Law 73-479; Housing and Community Development Act of 1974, Section 308, Public Law 93-383, as amended; Housing and Community Development Amendments of 1979, Section 245(b).

**OBJECTIVES:**

To facilitate early home ownership for households that expect their incomes to rise. Program allows homeowners to make smaller monthly payments initially and to increase their size gradually over time.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These mortgage loans may be used by owner-occupant mortgagors to finance the purchase of proposed, under construction, or existing single family housing, and condominiums. Maximum insurable mortgage is the property's sales price (or appraised value, if less) exclusive of any borrower paid closing cost multiplied by a percent that is determined by the sales price or value if less and the average closing cost for the State or 97 percent of the appraised value and closing costs of the property, minus all of the deferred interest which would accrue during the graduated term. This determines the maximum mortgage that FHA will insure, provided the mortgagor makes a cash investment of at least 3 percent into the property which may include closing costs.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply for Section 245(a).

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the applicant are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application conference with the mortgage lender submitting the application is suggested. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

None.

**Formula and Matching Requirements:**

Formula and Matching Requirements: Formula and Matching Requirements: For most families, the maximum amount of the loan is the property's sales price (or appraised value, if less) exclusive of any borrower paid closing cost multiplied by a percent that is determined by the sales price or value, if less and the average closing cost for the State. This determines the maximum mortgage that FHA will insure, provided the mortgagor makes a cash investment of at least 3 percent into the property, which may include closing costs. The downpayment is the difference between the maximum loan amount and the purchase price of the home. In addition to the downpayment, the purchaser must pay for all items of prepaid expense. Risk based premiums are collected including (1) an upfront premium that may be financed and (2) a periodic premium that is paid monthly. The loan origination charge by the mortgagee varies, but may not exceed one percent of the total mortgage (minus the mortgage insurance premium, if being financed). Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:**

The term of the mortgage is limited to 30 years.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.



**Audits:**

HUD reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.117.

**Range and Average of Financial Assistance:**

See Uses and Use Restrictions.

**PROGRAM ACCOMPLISHMENTS:**

No Graduated Payment Mortgage loans were made in 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Move in...With A Graduated Payment Mortgage", no charge; "Lending and Selling With A Graduated Payment Mortgage", no charge; 24 CFR 203.45; HUD Handbook 4240.2, no charge.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.117, Mortgage Insurance\_Homes; 14.122, Mortgage Insurance\_Homes in Urban Renewal Areas; 14.172, Mortgage Insurance\_Growing Equity Mortgages.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.162 MORTGAGE INSURANCE-COMBINATION AND MANUFACTURED HOME LOT LOANS

(Title I)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing for the purchase of a manufactured home and a lot on which to place the home.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. Insured loans may be used to purchase manufactured homes and lots for buyers intending to use them as their principal places of residence. The maximum mortgage amount is \$64,800 for a manufactured home and a suitably developed lot and \$16,200 for a developed lot only. The lot must be appraised by the HUD-approved appraiser. Maximum loan limits may be increased in designated high-cost areas.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit, HUD-approved appraisal of the lot, and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted to a HUD-approved lender for review and approval. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

HUD does not participate in the approval or disapproval of individual loans.

**Appeals:**

The applicant may reapply.

**Renewals:**

None.

**Formula and Matching Requirements:**

HUD insures private lenders against losses of up to 90 percent of any single loan with maximum insurance coverage limited to a total of 10 percent of the total amount insured. A downpayment is required. The interest rate is a negotiable interest rate agreed upon between the borrower and lender. Annual insurance charges start at \$1.00 per \$100 of the amount advanced.

**Length and Time Phasing of Assistance:**

The maximum loan term is 20 years for a single-module home and lot; 25 years for a multiple-module home and lot; and 15 years for a lot only.

**Reports:**

None.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of lenders in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.110.

**Range and Average of Financial Assistance:**

The maximum mortgage amount is \$64,800 for a manufactured home on a suitably developed lot and \$16,200 for a developed lot only.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured 1,386 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Financing Manufactured Homes," HUD-265-H(10), no charge; 24 CFR Part 201.

**Regional or Local Office:**

None. Contact HUD at 800-767-7468 for program brochure #4340.

**Headquarters Office:**

Director, Home Mortgage Insurance Division, Department of Housing and Urban Development, 451 7th Street, S.W., Room 9266, Washington, DC 20410. Telephone: (202) 708-2121.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>

**RELATED PROGRAMS:**

14.110, Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers; 14.127, Mortgage Insurance\_Manufactured Home Parks; 14.142, Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.163 MORTGAGE INSURANCE-SINGLE FAMILY COOPERATIVE HOUSING

(203(n))

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act; as amended, Section 203(n), Emergency Home Purchase Assistance Act of 1974, Public Law 93-449, 88 Stat. 1364.

**OBJECTIVES:**

To provide insured financing for the purchase of the Corporate Certificate and Occupancy Certificate for a unit in a cooperative housing project. Ownership of the corporate certificate carries the right to occupy the unit located within the cooperative project.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These insured loans may be used to assist individuals or families in acquiring corporate certificates and occupancy certificates in a cooperative housing project that is covered by a blanket mortgage insured under the National Housing Act. The maximum insurable mortgage loan is limited to the maximum limit under Section 203(b) minus the portion of the unpaid balance of the project mortgage attributable to the dwelling unit.

**Applicant Eligibility:**

Potential owner-occupant mortgagors are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the

qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted for review and approval or disapproval to the HUD Homeownership Center having jurisdiction over the area where the property is located through a HUD approved lending institution. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

For most families, the maximum amount of the loan is the same as under 203(b) - program 14.117. The unit's share of the project mortgage is deducted from the maximum potential amount to determine the maximum Section 203(n) loan. As of July 1, 1991, risk-based mortgage insurance premiums will be collected including: 1) an up-front premium which may be financed and 2) a periodic premium which is paid monthly. The origination charge by the mortgagee varies, but may not exceed one percent of the total mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 30 years or the remaining term of the blanket mortgage covering the cooperative development, whichever is less.

**Reports:**

Defaults in meeting the mortgage terms must be reported. Any approved mortgagee, at any time upon request by HUD, must furnish a copy of its latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.117.

**Range and Average of Financial Assistance:**

See Uses and Use Restrictions.

**PROGRAM ACCOMPLISHMENTS:**

There has been very little activity under this program in recent years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD 4240.3, Section 203(n) Application Through Insurance (Single Family) no charge; 24 CFR 203.43c and 203.437.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.117, Mortgage Insurance\_Homes; 14.132, Mortgage Insurance\_Purchase of Sales-Type Cooperative Housing Units.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.164 OPERATING ASSISTANCE FOR TROUBLED MULTIFAMILY HOUSING PROJECTS

(Flexible Subsidy Fund; Troubled Projects)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Amendments of 1978, as amended, Public Law 95-557, 12 U.S.C. 17152-1.

**OBJECTIVES:**

To provide loans to restore or maintain the physical and financial soundness, to assist in the management and to maintain the low-to moderate-income character of certain projects assisted or approved for assistance under the National Housing Act or under the Housing and Urban Development Act of 1965.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Flexible Subsidy funds can be lent to eligible projects in an amount based on the project's total needs. It may be used to correct physical deficiencies resulting from deferral of regular maintenance; to reduce deficiencies in replacement reserve funds; and to fund operating deficits. Flexible Subsidy assistance is limited to projects assisted under Section 236 or Section 221 (d) (5) of the National Housing Act; those assisted under Section 101 of the HUD Act of 1965 (Rent Supplement) or when the Section 101 assistance has been converted to Section 8 Loan Management Set Aside (LMSA); direct loans at below market interest rates made under Section 202 of the Housing Act of 1959; housing assistance payments made under Section 23 of the U.S. Housing Act of 1937 or Section 8 of the U.S. Housing Act of 1937 after conversion from assistance under the Section 236 Rental Assistance Payments Program or the Rent Supplement Program. Some of the Flexible Subsidy resources are being used in connection with Safe Neighborhood Action Plans.

**Applicant Eligibility:**

Eligible owners are nonprofits, with existing loans from HUD under the Section 202 program. Public bodies do not qualify for this program. Field Offices recommend projects to be assisted.

**Beneficiary Eligibility:**

Tenants will benefit because this will allow decent, safe and sanitary conditions in projects. Additionally, this program will guarantee good management in those projects selected.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of managing agents and owners are assembled by the owners and submitted to the Field Office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Assurance must be gained from the appropriate unit of local government that essential services will be provided to the project; the real estate taxes will be assessed in a manner consistent with normal assessment procedures; and that assistances not inconsistent with local plans and priorities. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Because of the limited funding, Flexible Subsidy funds are strictly reserved for the emergency needs of 202 projects. Such projects, must have been in occupancy for at least fifteen (15) years and have emergency health and safety needs. Deferred maintenance or items that did not exist at the time the project was finally endorsed, e.g., adding air conditioning to an entire project, will not be approved for Flexible Subsidy Operating Assistance funding.

**Award Procedure:**

For most of the Flexible Subsidy assistance, funds are assigned from HUD Headquarters to the HUD Field Offices, for specific projects identified by the Field Offices as having priority based on established criteria.

**Deadlines:**

Funds are awarded until exhausted.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

No contribution is required for nonprofit sponsors.

**Length and Time Phasing of Assistance:**

Generally on a monthly basis. Operating Assistance is usually for a one year period and is paid according to pre-approved work schedule. Capital Improvement Loan proceeds are disbursed until construction is completed.

**Reports:**

Quarterly assessment and review of owner performance. Monthly reporting of individual disbursements and action items. Periodic on-site visits. Owners must electronically file an annual financial statement with HUD, audited and prepared in accordance with Generally Accepted Accounting Principals and Generally Accepted Auditing Standards.

**Audits:**

Federal audits will be made in accordance with the policies of FMC 73-2 to ensure that funds have been applied efficiently, economically, and effectively.

**Records:**

Owner keeps all records relating to MIO Plan transactions for at least 5 years. Field Office retains all records relating to assistance for 5 years.

**Account Identification:**

86-4044-0-3-604.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

See Uses and Use Restrictions.

**PROGRAM ACCOMPLISHMENTS:**

No activity is anticipated in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR part 219, HUD Handbook 4355.1.

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at

<http://www.hud.gov/fha/mfh/fhamie/mieforms/lkmdir.html> or the nearest HUD Field Office listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Office of Housing Assistance and Grants Administration, Department of Housing and Urban Development, Washington, DC 20420. Telephone: (202) 708-2866. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/progdesc.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Section 202 projects for the elderly or disabled with emergency health and safety problems whose sponsors do not have the necessary funds available to cure the immediate problems.

**CRITERIA FOR SELECTING PROPOSALS:**

First and foremost the applicant must be able to demonstrate that the requested items meet the guideline for emergency. After which, assistance will be granted only if the: (1) assistance, in concert with one or more other relief tools, will restore or maintain physical and financial soundness and the low- or moderate-income nature of the project; (2) assistance is less costly to the Federal government than any other available; (3) project owner, except for nonprofit projects, agrees to provide assistance to the project; (4) project can be made structurally sound with this assistance; (5) project management is at least satisfactory; and (6) project is operated and managed in accordance with the terms of the Management Improvement and Operation (MIO) Plan designed to reduce the operating costs of the project.

## 14.167 MORTGAGE INSURANCE-TWO YEAR OPERATING LOSS LOANS, SECTION 223(D)

(Two Year Operating Loss Loans)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, Public Law 90- 448, as amended, Public Law 91-152, 12 U.S.C. 1715x.

**OBJECTIVES:**

To insure a separate loan covering operating losses incurred during the first 2 years following the date of completion or any other 2-year period occurring within 10 years following the date of completion of a multifamily project with a HUD-insured first mortgage.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Eligibility is limited to currently insured HUD projects. Section 223(d) insures a loan to cover the excess of expenses over project gross income incurred during the first two years following the date of completion of the project or for any other two-year period within 10 years of project completion, for such amounts and upon such terms and conditions as HUD may prescribe. A project can receive both loans but not for the same two year period. The loan is insured by HUD under the same section as the original mortgage in an amount not exceeding the excess of operating expenses over project income. The loan term is limited to the unexpired term of the original mortgage. This program requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility subject to a mortgage insured by HUD are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families and property owner.

**Credentials/Documentation:**

A formal application for insurance accompanied by a financial statement prepared by an independent certified public accountant or independent public accountant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The HUD Multifamily Hub and Program Center will hold a preliminary conference with the sponsor to provide general application guidance. This

program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Information submitted by the applicant will be reviewed and analyzed using data available through office records, field review and general current working knowledge of the project and background. A determination is then made as to the maximum insurable loan amount.

**Deadlines:**

Application shall be made within three years after the end of the two-year operating loss period for the 2-year loan. A loan covering losses occurring within 10 years of project completion must be made within 10 years of the end of the 2-year loss period covered by the loan.

**Range of Approval/Disapproval Time:**

Processing time will be dependent upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for operating loss loan is refused, HUD will state the reason for the refusal.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The amount of the 2-year loan shall be limited to the lesser of (1) The amount of the operating loss loan requested; (2) the amount of the operating loss established by HUD review or, (3) the maximum loss supported by debt service limitation. The 10-year loan shall be further limited to 80 percent of unreimbursed funds invested in the project.

**Length and Time Phasing of Assistance:**

The loan may not exceed the remaining term of the insured mortgage.

**Reports:**

Defaults in meeting the mortgage terms must be reported.

**Audits:**

HUD reserves the right to audit the accounts of the mortgagee or mortgagor to determine compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Loans insured) FY 07 \$7,044,000; FY 08 est \$11,250,000; and FY 09 est \$15,000,000.

**Range and Average of Financial Assistance:**

Loan sizes range from \$750,000 to \$7,000,000 with an average of \$2.0 million. Project sizes range from 117 to 210 units with an average of 151 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007 HUD insured mortgages for one operating loss loan with 210 units/beds, totaling \$7.0 million. It is estimated that approximately the same number of projects will be insured in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207.4(f) et seq; HUD Handbook 4470.1 REV-2 CHG-1 (Chapter 17), "Operating Loss Loans", no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

All projects are processed in HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest local Multifamily Hub or Program Center. These offices are listed under HUD resources on the Multifamily industry website at: [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1142. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.168 LAND SALES-CERTAIN SUBDIVIDED LAND

(Interstate Land Sales Registration Program)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT



**AUTHORIZATION:**

Interstate Land Sales Full Disclosure Act, as amended, Public Law 90-448, Title XIV, 15 U.S.C. 1701; Public Law 96-153.

**OBJECTIVES:**

To provide consumer protection by prohibiting fraudulent practices and requiring full disclosure of conditions surrounding the purchase of subdivided land covered by the Act.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Developers that sell, lease, or offer to sell or lease land divided into 100 or more nonexempt lots, using any means or instruments of transportation or communication in interstate commerce or the mails must register with the Department of Housing and Urban Development. The developers must provide all purchasers with a copy of a Property Report which sets forth important facts about the development and the developer. Failure to provide a Property Report prior to the purchaser signing a purchase agreement subjects the developer to statutory and regulatory penalties. Anti-fraud provisions of the Act are applicable to subdivisions of 25 lots or more. Failure to comply with the anti-fraud provisions subjects developers to civil and criminal penalties. Other consumer protection provisions include a seven-day cooling-off period and required contractual provisions. The Act and regulations provide exemption from full disclosure where a subdivision meets certain requirements.

**Applicant Eligibility:**

Certain land developers are required to submit a filing in compliance with specific registration requirements.

**Beneficiary Eligibility:**

Any person who purchases a lot in a covered subdivision is entitled to certain rights and remedies.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Developers wishing to register a subdivision should contact the Office of RESPA and Interstate Land Sales, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Developers file an extensive statement of record (including the Property Report) disclosing all pertinent facts about the land, its ownership, control, amenities, restrictions, nature of purchase or lease transaction, and other required information. Specific requirements set forth in Federal Register, Title 24, Chapter X, Part 1710 as amended by Public Law 96-153. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

An effective date is issued after all materials have been submitted and found to be in compliance with the registration requirements.

**Deadlines:**

No deadlines. An effective date of registration must be issued by HUD before the developer commences any non-exempt sales or lease program.

**Range of Approval/Disapproval Time:**

Not applicable. The Federal government does not issue approval/disapproval of subdivision or offering. HUD must notify developers of deficiencies in disclosure materials within 30 days after receipt. Filings become effective at the end of 30 days or can be declared effective upon correction of deficiencies.

**Appeals:**

Any developer receiving a deficiency notice, notice of proceeding, suspension order, notice of exemption eligibility termination or notice of civil money penalties may request a formal hearing.

**Renewals:**

An annual report of activity accompanied by any applicable amendments and fees, must be submitted within 30 days of the annual anniversary of the effective date of the initial filing.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

An annual report of activity within 30 days of the annual anniversary of the effective date of the filing. Financial statements are due within 120 days after the close of the developer's fiscal year.

**Audits:**

Not applicable.

**Records:**

The developer must retain copies of Property Report receipts for a period of three years from the date of execution or the term of the contract, whichever is longer.

**Account Identification:**

86-5270-0-2-376.

**Obligations:**

FY 07 \$665,000; FY 08 est \$650,000; and FY 09 est \$650,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, HUD received 1305 filings, 846 Annual Reports of Activity, 36 requests for exemption from the registration requirements and 40 requests for Voluntary Suspension of existing registrations. Investigation of violators of the Act led to settlement agreements that are posted on web site. Projected program activity is expected to remain the same in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and Exemption Guidelines appear in 24 CFR Parts 1700, 1710, 1715, 1720, and 1730.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of RESPA and Interstate Land Sales, Department of Housing and Urban Development, 451 7th Street, SW., Ivy M. Jackson, Room 9154, Washington, DC 20410. Telephone: (202) 708-0502.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ils/ilshome.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.169 HOUSING COUNSELING ASSISTANCE PROGRAM****FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

To counsel homeowners, homebuyers, prospective renters and tenants under HUD, conventional and other government programs in improving their housing conditions and in meeting the responsibilities of tenancy and homeownership.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To provide housing counseling grants to HUD-approved local housing counseling agencies; to HUD-approved national and regional intermediaries; and to State housing finance agencies. Grants provide a variety of housing counseling services, including single family home buying, homeownership, mortgage default, HECM, rental, and rental delinquency under HUD and other programs.

**Applicant Eligibility:**

Qualified public or private nonprofit organizations. There are three categories of eligible applicants: (1) HUD-approved local housing counseling agency; (2) HUD-approved national or regional intermediary; and (3) State housing finance agency.

**Beneficiary Eligibility:**

Individuals, groups of individuals, and families who are renters, tenants, homeowners, and home buyers under HUD, conventional and other government programs.

**Credentials/Documentation:**

To be eligible to apply for a housing counseling grant through the SuperNOFA, agencies, except state housing finance agencies must be HUD approved. HUD-approval must be secured by the SuperNOFA publication date. To become a HUD-approved housing counseling agency, applicants must (1) meet the requirements of the Housing Counseling Handbook 7610.1 as revised; (2) consult the HUD website to learn about the eligibility requirements for becoming HUD-approved and obtain application (available on the HUD website at [www.hud.gov/offices/hsg/sfh/hcc/hcc\\_homes.cfm](http://www.hud.gov/offices/hsg/sfh/hcc/hcc_homes.cfm)); and (3) return application to the HUD Homeownership Center (HOC) with jurisdiction, or, if appropriate, HUD Headquarters.

**Preapplication Coordination:**

The availability of funds (HUD SuperNOFA) is announced in the Federal Register. There is no application kit. Potential applicants and community-based organizations are invited to view and participate in a satellite broadcast that reviews the application process. For a copy of the SuperNOFA, or for the satellite broadcast schedule, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)) or call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit by the required date the items and forms requested in the SuperNOFA, such as a description of the housing counseling services to be provided, and indicators by which benefits / impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. National and regional

intermediaries are rated and ranked by HUD Headquarters. Local agencies and State housing finance agencies are rated and ranked by the Homeownership Center (HOC) with jurisdiction. A funding formula outlined in the SuperNOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for State and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Due dates and times for the receipt of applications for housing counseling grants are specified in the application.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5-7 months after applications are received.

**Appeals:**

Applicants for housing counseling grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the SuperNOFA each year.

**Formula and Matching Requirements:**

Formula is outlined in the SuperNOFA. This program has no matching requirements. However, applicants are required to demonstrate funding from other resources.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT).

**Reports:**

Grantees must file periodic invoices including semi-annual performance reports as well as final reports pursuant to grant agreement. Moreover, Form HUD-96010, Housing Counseling Agency Fiscal Year Activity Report is required at year-end from funded agencies.

**Audits:**

HUD-approved housing counseling organizations are subject to a biennial performance review by HUD to retain status as a HUD- approved counseling agency.

**Records:**

As required in grant document and Housing Counseling Handbook, HUD 7610.1 REV-4 dated August 1995.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

(Grants) FY 07 \$38,580,000; FY 08 est \$47,000,000; and FY 09 est \$60,000,000.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: For Fiscal Year 2006, the grants ranged from \$20,000, the minimum award for a local agency, to \$4 million, the maximum award for an intermediary. The average local agency counseling grant was approximately \$36,000. The average intermediary award was approximately \$1.2 million.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, agencies participating in the program provided having counseling services to approximately 1,700,000 households.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation issued September 28, 2007 at 24 CFR Part 214. The revised Housing Counseling Program Handbook 7610.1 REV 4, Change 1, was distributed in October 1997 to all HUD Offices. Copies are available by contacting Headquarters at (800) 767-7468.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>), or the nearest local HUD Office. See Catalog address Appendix IV for a list of offices.

**Headquarters Office:**

Program Support Division, Office of Insured Single Family Housing, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-0317.

**Web Site Address:**

[http://www.hud.gov/offices/hsg/sfh/hcc/hcc\\_home.cfm](http://www.hud.gov/offices/hsg/sfh/hcc/hcc_home.cfm).

**RELATED PROGRAMS:**

14.316, Housing Counseling Training Program.

**EXAMPLES OF FUNDED PROJECTS:**

Housing Partnership Network-\$2.14 million awarded October 4, 2007.

**CRITERIA FOR SELECTING PROPOSALS:**

Outlined in SuperNOFA.

**14.171 MANUFACTURED HOME CONSTRUCTION AND SAFETY STANDARDS**

(Manufactured Housing)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Manufactured Housing Construction and Safety Standards Act, Title VI, Public Law 93-383; 42 U.S.C. 5401 et seq.; as amended; Public Laws 95-128, 96-399, 100-242, 102-550 and 106-569.

**OBJECTIVES:**

To protect the quality, durability, safety and affordability of manufactured homes; to facilitate the availability of affordable manufactured homes and to increase home ownership for all Americans; to provide for the establishment of practical, uniform, and, to the extent possible, performance-based Federal construction standards for manufactured homes; to encourage innovative and cost-effective construction techniques for manufactured homes; and to protect residents of manufactured homes with respect to personal injuries and the amount of insurance costs and property damages in manufactured housing.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Manufacturers who build "manufactured homes" as defined by the Act, for sale in the United States are subject to the Act and must comply with preemptive Federal Manufactured Home Construction and Safety Standards (24 CFR 3280). Designs of homes are reviewed for compliance, and homes are inspected during construction by HUD-approved third-party inspection agencies. Consumers receiving defective homes have recourse, ranging from the right to be notified that their home contains a defect, to correction by the manufacturer of serious defects and imminent safety hazards. Retailers are prohibited from selling homes which they know are not in compliance with the Federal Standards. As required by 2000 amendments to the Act, the Department has now established installation standards for siting of new manufactured homes. These installation standards cover joining of sections and anchoring, as well as stabilizing and support systems. As required by the same amendments to the Act, the Department has also established a national manufactured home dispute resolution program.

**Applicant Eligibility:**

Any purchaser of a manufactured home built on or after June 15, 1976, for residential use is automatically covered by the program.

**Beneficiary Eligibility:**

Any purchaser of a residential manufactured home built on or after June 15, 1976.

**Credentials/Documentation:**

None required for the purchaser. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Manufacturers must have designs for each manufactured home model to be produced, reviewed and approved by a HUD- approved third-party design inspection agency. Each home must be inspected during at least one phase of construction and every stage of manufacturing process inspected by a third-party in-plant inspection entity. A purchaser may file a complaint with HUD or a HUD-approved State Administrative Agency (SAA). This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Unless defects or noncompliance with the standards are found in homes, manufacturers may label and retailers may sell the units. If a purchaser complains, HUD or an SAA may request an investigation by the manufacturer or the dealer, and may then initiate enforcement actions under applicable regulations (24 CFR 3282). As required by 2000 amendments to the Act, the Department has established a dispute resolution program to provide for the timely resolution of disputes between manufacturers, installers, and retailers regarding responsibility for repairs. Consumers may file complaints and otherwise participate in this program.

**Deadlines:**

Each manufactured home must bear a manufacturer's certification label, certifying compliance with the Federal Standards, before the home can be sold to a retailer or purchaser.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

A manufacturer may appeal a preliminary determination, and be granted a hearing or presentation of views by HUD or by a State Administrative Agency (SAA) whenever homes are identified as having "serious defects" or "imminent safety hazards," and notification or correction would be required under the

regulations.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

A retailer is required, after selling a manufactured home, to fill out an information card listing the name of the purchaser and the home's location, and to send it to the home manufacturer. A manufacturer is required to maintain records relating to each home's production and service related work.

**Account Identification:**

86-5271-0-2-376.

**Obligations:**

FY 07 \$6,510,000; FY 08 est \$16,000,000; and FY 09 est \$16,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Regulatory oversight of over 100,000 new manufactured homes per year. In FY 08, the program has published Model Manufactured Home Installation Standards and will publish Manufactured Home Installation Program Regulations. The program also implemented the Manufactured Home Dispute Resolution Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Manufactured Home Construction and Safety Standards appear in the Code of Federal Regulations at 24 CFR 3280, et seq.; Manufactured Home Procedural and Enforcement Regulations appear at 24 CFR 3282, et seq.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Manufactured Housing Programs, Office of Regulatory Affairs and Manufactured Housing, Room 9164, Department of Housing and Urban Development, Washington, DC 20410-8000. Telephone: (202) 708-6409. Fax: (202) 708-4213. Toll-free consumer hotline (leave message only): (800) 927-2891. E-mail: mhs@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/mhs/mhshome.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.172 MORTGAGE INSURANCE-GROWING EQUITY MORTGAGES

(GEMs)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
**AUTHORIZATION:**

National Housing Act, as amended, Section 245(a).

**OBJECTIVES:**

To provide a rapid principal reduction and shorter mortgage term by increasing payments over a 10-year period, thereby expanding housing opportunities to the homebuying public.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing single family housing, as well as to refinance indebtedness on existing housing, provided certain conditions are met. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - Program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD- approved mortgagee lending institution. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The maximum amount of the loan is the same as under Section 203(b) - Program 14.117. The down payment is the difference between the maximum loan amount and the purchase price of the home. In addition to the down payment, the purchaser must pay for all items of prepaid expense. As of July 1, 1991, risk-based mortgage insurance premiums will be collected including: 1) an up-front premium which may be financed and 2) a periodic premium which is paid monthly. If property is a condominium unit; the mortgage insurance premium is one-half percent paid monthly. The loan origination charge by the mortgagee varies, but may not exceed one percent of the total mortgage (minus the mortgage insurance premium, if financed). Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD.

**Length and Time Phasing of Assistance:**

The Mortgage terms vary according to the plan chosen.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the Mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending instructions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.117.

**Range and Average of Financial Assistance:**

The maximum amount of the loan is the same as under Section 203(b) - Program 14.117.

**PROGRAM ACCOMPLISHMENTS:**

No new loans were insured in Fiscal Year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Departmental memorandums dated June 4 and July 15, 1982.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohcs.cfm>) serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>

**RELATED PROGRAMS:**

14.108, Rehabilitation Mortgage Insurance; 14.133, Mortgage Insurance\_Purchase of Units in Condominiums; 14.159, Section 245 Graduated Payment Mortgage Program; 14.163, Mortgage Insurance\_Single Family Cooperative Housing.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.175 ADJUSTABLE RATE MORTGAGES

(ARMS)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended; Housing and Urban-Rural Recovery Act of



**OBJECTIVES:**

To provide mortgage insurance for an adjustable rate mortgage which offers lenders more assurance of long term profitability than a fixed rate mortgage, while offering consumer protection features.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one- to four-family housing as well as to refinance indebtedness on existing housing. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The maximum amount of the loan is the same as under Section 203(b) - Program 14.117. The down payment is the difference between the maximum loan amount and the purchase price of the home. In addition to the down payment, the purchaser must pay all items of prepaid expense. As of July 1, 1991, risk-based mortgage insurance premiums will be collected including 1) an up-front mortgage insurance premium which may be financed; and 2) a periodic premium which is paid monthly. If the property is a condominium, the mortgage insurance premium is one-half percent paid monthly. The loan origination charge by the mortgagee varies, but may not exceed one percent of the total mortgage (minus the mortgage insurance premium, if financed). Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD. The interest rate adjustments of the mortgage may not increase more than one percent per year or five percent over the term of the mortgage. There is no negative amortization. The mortgagor must receive a disclosure statement explaining the adjustable rate features of their mortgage.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.117.

**Range and Average of Financial Assistance:**

See Uses and Use Restrictions.

**PROGRAM ACCOMPLISHMENTS:**

HUD insured 5,204 ARMs in FY 2007 (excludes ARMs reported under 14.183).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 203.49; 234.79.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State

(see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgsdocs.cfm>) or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.117, Mortgage Insurance\_Homes; 14.133, Mortgage Insurance\_Purchase of Units in Condominiums; 14.159, Section 245 Graduated Payment Mortgage Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 14.181 SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES

(Section 811)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Affordable Housing Act, Public Law 101-625, 42 U.S.C. 8013, 104 Stat. 4324, 4331; Housing and Community Development Act of 1992, Public Law 102-550; the Rescissions Act, Public Law 104-19; American Homeownership and Economic Opportunity Act of 2000, Public Law 106-569; and the Revised Continuing Appropriations Resolution, 2007, Public Law 110-5.

**OBJECTIVES:**

To provide for supportive housing for very low-income persons with disabilities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Capital advances may be used to construct, rehabilitate or acquire structures to be used as supportive housing for persons with disabilities. Project rental assistance is used to cover the difference between the HUD-approved operating costs of the project and the tenants' contributions toward rent (30 percent of adjusted income).

**Applicant Eligibility:**

Eligible Sponsors are nonprofit organizations with a Section 501(c)(3) tax exemption from the Internal Revenue Service. Eligible Owner entities are nonprofit organizations with a 501(c)(3) tax exemption from the Internal Revenue Service and, if the proposed project involves mixed financing, for-profit limited partnerships with a nonprofit entity as the sole general partner.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Beneficiaries of housing developed under this program must be very low-income persons with a physical disability, developmental disability or chronic mental illness (18 years of age or older).

**Credentials/Documentation:**

The nonprofit sponsor and owner must receive certification of eligibility from HUD. The owner must submit financial statements to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the capital advance amount, up to a maximum of \$10,000. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must forward a copy of their applications to the appropriate state or local agency for a review of the supportive services plan and a completed certification from the agency as to whether the provision of services is well designed to meet the needs of the anticipated occupancy must be included in the applicant's submission of its application to the HUD field office. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for applications containing evidence of site control. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A Notice of Funding Availability is published in the Federal Register each fiscal year announcing the availability of funds to HUD Field Offices. Applicants must submit an electronic application through [grants.gov](http://grants.gov) in response to the Notice of Fund Availability. The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on the environment. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the particular HUD Field Office. Those selected for funding must meet basic

program requirements including, but not limited to: eligibility as a nonprofit entity, eligibility as a for-profit limited partnership with nonprofit entity as the sole general partner for mixed-finance projects, financial commitment and prior experience in housing or related service activities. The request for Capital Advance Financing, using Form HUD-92013 is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and the effect on environment as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Applications must be submitted within the time period specified in the Notice of Fund Availability, usually 60 to 90 days.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

Applicants are afforded the right to appeal HUD's determination of technical rejection.

**Renewals:**

Not applicable to Section 811 capital advances. However, Project Rental Assistance contracts may be renewed for up to a one-year term after the initial 3-year term subject to the availability of funds.

**Formula and Matching Requirements:**

This program has maintenance of effort (MOE) requirements; see funding agency for further details. The formula used for allocating funds consists of one data element from the 2000 Census: the number of persons age 16 to 64 with a disability.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable if the project is available for very low-income persons with disabilities for 40 years. Project Rental Assistance Contracts may not exceed 3 years. However, contracts are renewable for up to a one-year term based on availability of funds. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction.

**Reports:**

Any change in the owner during the 40-year period of the capital advance must be approved by HUD. All owners will be required to submit an annual financial statement and Outcome Logic Model Report to HUD.

**Audits:**

HUD reserves the right to audit the accounts of the owners in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0320-0-3-371; 86-0164-0-3-371; 86-4588-0-3-371.

**Obligations:**

(Obligations) FY 07 \$246,569,077; FY 08 est \$259,171,000; and FY 09 est \$237,000,000.

**Range and Average of Financial Assistance:**

\$341,000 to \$3,272,200; \$1,113,460.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD funded 1,004 units. The Department anticipates that the level of funding in Fiscal 2008 will result in about 800 new Section 811 housing units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 891; HUD Handbooks 4571.2 and 4571.4; and Notice H 96-102, as extended.

**Regional or Local Office:**

Contact the appropriate HUD field office listed on HUD website address <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

**Headquarters Office:**

Office of Housing Assistants and Grants Administration, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-3000. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/grants/nofa07/grpsec811.cfm>.

**RELATED PROGRAMS:**

14.157, Supportive Housing for the Elderly; 14.195, Section 8 Housing Assistance Payments Program\_Special Allocations.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.183 HOME EQUITY CONVERSION MORTGAGES**

(Section 255)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
**AUTHORIZATION:**

National Housing Act, as amended; Housing and Community Development Act of 1987, Section 417, Public Law 100-242, 12 U.S.C. 1715z-20.

**OBJECTIVES:**

To enable elderly homeowners to convert equity in their homes to monthly streams of income or, except for Texas, lines of credit.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on reverse mortgage loans. These loans may be used to provide monthly streams of income or, except for Texas, lines of credit for older homeowners, 62 years of age or older.

**Applicant Eligibility:**

Eligible borrowers are persons 62 years of age or older and must complete counseling from a HUD-approved agency prior to obtaining the loan. Eligible properties include Single Family one-to-four unit owner-occupied dwelling units, condominiums and Planned Unit Developments, if they meet FHA standards, and manufactured homes, if they meet FHA standards.

**Beneficiary Eligibility:**

Individuals.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

The borrower is required to receive counseling from a HUD-approved counseling agency prior to application. Approved Direct Endorsement Lenders process all aspects of the loan application and submit it to HUD for insurance endorsement. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Mortgagee will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Payments that a borrower can receive from a reverse mortgage are determined by calculating the principle limit. This is determined at closing using a factor corresponding to the age of the youngest borrower, the interest rate, and the lessor of the value of the home or the FHA limits for the area. Mortgage insurance premiums will be collected including: (1) an up-front premium which may be financed and (2) a periodic premium which is paid monthly. The loan origination charge by the mortgagee varies, but the financed portion may not exceed the greater of 2 percent of maximum claim amount or \$2,000. Mortgagors may be charged appraisal and inspection fees in accordance with fee schedules established by HUD. These charges may also be financed.

**Length and Time Phasing of Assistance:**

The mortgage has no specified term. The mortgage is due and payable at the death of the borrower(s) or if the borrower sells, conveys, or moves from the property.

**Reports:**

Defaults in meeting the mortgage terms must be reported. All approved mortgagees at any time upon request by HUD must furnish a copy of their latest financial statement.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) FY 07 \$5,571,350,940; FY 08 est \$4,225,354,720; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Payments that a borrower can receive from a reverse mortgage are determined by

calculating the principle limit. This is determined at closing using a factor corresponding to the age of the youngest borrower, the interest rate, and the value of the home or the FHA limits, whichever is less. The average loan amount for FY 2006 is \$235,634.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2006, 76,282 loans were insured; in Fiscal Year 2007, 107,367 loans were insured.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Options for Elderly Homeowners: A Guide to Reserve Mortgages and Their Alternatives," no charge; 24 CFR 200 and 206, HUD Handbook 4235.1, Rev. 1.

**Regional or Local Office:**

Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohocs.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-2121.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/hecm/hecmabou.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.184 MORTGAGES INSURANCE FOR SINGLE ROOM OCCUPANCY (SRO) PROJECTS

(221(d) Single Room Occupancy)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, Section 221(d), 12 U.S.C. 1751(d); Section 223(g), 12 U.S.C. 1715 (g).

**OBJECTIVES:**

The Single Room Occupancy (SRO) Program provides mortgage insurance for multifamily properties consisting of single-room units. There are no Federal rent subsidies involved with this SRO Program. It is aimed at those tenants who have a source of income but are priced out of the rental apartment market. SRO projects will generally require assistance from local governing bodies or charitable organizations in order to reduce the rents to affordable levels.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

The SRO Program insures lenders against loss on mortgages used to finance construction or substantial rehabilitation of projects consisting of five or more units comprised primarily of one room residential units. Projects must be designed primarily for residential use. Any commercial activity must be compatible with the use of the project and primarily for the benefit of the residents. Commercial space is limited to 10 percent of the total gross floor area (20 percent in substantial rehabilitation projects), and 15 percent of gross rental income in a project. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible applicants may be nonprofit entities; builder/sellers teamed with a nonprofit purchaser, a limited distribution entity, profit-motivated entities or public entities. Cooperative lenders or investors are not eligible.

**Beneficiary Eligibility:**

Residents are subject to normal tenant selection procedures. There are no income limits for admission.

**Credentials/Documentation:**

Along with the Application for Mortgage Insurance, the applicant must provide a market profile demonstrating a clear need for the proposed SRO, experience profiles as to SRO operation, a certification from the local government assuring support of the project, and a relocation plan if needed.

**Preapplication Coordination:**

For Traditional Application Process (TAP), the sponsor has an initial conference with the local HUD Multifamily Hub and Program Center to determine the preliminary feasibility of the project before a Site Appraisal and Market Analysis (SAMA) Application (for new construction projects or feasibility application (for substantial rehabilitation projects) is submitted. For Multifamily Accelerated Processing (MAP), the sponsor works with the MAP-approved lender who submits required exhibits for the pre-application state. This program is excluded from coverage under OMB Circular No. A-102. An environmental assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires

to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The sponsor submits an application for a SAMA or feasibility application to the local HUD office for review. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The project is reviewed to determine its feasibility. If the project meets program requirements, the HUD Multifamily Hub or Program Center issues a commitment to insure the mortgage.

**Deadlines:**

Deadlines are established on a case-by-case basis by the local HUD Multifamily Hub or Program Center.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the workload of the HUD Multifamily Hub or Program Center.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

The maximum amount of a Section 221 (d)(4) profit motivated loan may not exceed 90 percent of the estimated replacement cost. The maximum amount of a Section 221(d)(3) non-profit loan is 100 percent of the estimated replacement cost. The mortgage insurance premium is one-half percent of the mortgage amount. The HUD fees for application processing and commitment are \$3 per \$1,000 of the mortgage amount. The HUD-inspection fee may not exceed \$5 per \$1,000 of the mortgage amount.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less.

**Reports:**

HUD must approve mortgagor changes during the period of mortgage insurance. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to HUD. All approved mortgagees at any time upon request by HUD must furnish copies of their latest financial statements.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Mortgages insured) Reported under program 14.133.

**Range and Average of Financial Assistance:**

The maximum amount of the loan may not exceed 90 percent of the estimated replacement cost for For Section 221(d)(4). The maximum loan amount for Section 221(d)(3) is 100 percent of the estimated replacement cost.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, the Department did not insure any mortgages under this section. No activity under this section is expected in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221.565; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy (SRO) Projects available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed in [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1142.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.134, Mortgage Insurance\_Rental Housing; 14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate; 14.155, Mortgage Insurance for the Purchase or



Refinancing of Existing Multifamily Housing Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.188 HOUSING FINANCE AGENCIES (HFA) RISK SHARING**

(542(c) Risk Sharing Program)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(c), Public Law 102-550, 12 U.S.C. 1707. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily mortgage insurance program.

**OBJECTIVES:**

Under Section 542(c), HUD provides credit enhancement for mortgages for multifamily housing projects whose loans are underwritten, processed, serviced, and disposed of by Housing Finance Agencies (HFA). HUD and the Housing Finance Agencies share in the risk of the mortgage. The program was originally designed as a pilot program to assess the feasibility of risk-sharing partnerships between HUD and qualified State and local HFAs in providing affordable housing for the Nation. The Section 542(c) program is now permanent multifamily insurance program.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Participating qualified State and local Housing Finance Agencies (HFAs) may underwrite, originate, service, and dispose of properties financed under Section 542(c). Program provides full HUD mortgage insurance to enhance HFA bonds to investment grade. HFA reimburses HUD in the event of a claim pursuant to terms of Risk Sharing Agreement. HFAs may elect to share risk with HUD from 10 to 90 percent of the loss. The program provides new independent insurance authority not under the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors, who include investors, builders, developers, public entities, and private nonprofit corporations or associations, may apply to a qualified HFA. To be eligible for HUD's approval, the HFA must: (1) carry the designation of "top tier" or its equivalent as evaluated by Standard and Poors or another nationally recognized rating agency; (2) receive an overall rating of "A" for the HFA for its general obligation bonds from a nationally recognized rating agency; or (3) otherwise demonstrate its capacity as a sound, well-managed agency that is experienced in financing multifamily housing.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application to a qualified HFA. Proof of nonprofit status is required of nonprofit organizations. Projects must qualify as affordable housing as defined by Section 42(g) of the Internal Revenue Code of 1986.

**Preapplication Coordination:**

To obtain mortgage insurance an applicant should consult the HFA as the single point of contact for more information on the process. The sponsor will have a preapplication meeting with the HFA. This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

An applicant submits a formal application directly to a HUD-approved HFA.

**Award Procedure:**

The HFAs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects. However, HUD retains authority for environmental review. The HUD-approved HFA is responsible for making the award once the project qualifies for mortgage insurance.

**Deadlines:**

Deadlines are established on a case-by-case basis by HFAs, and are mutually agreed to at the pre-commitment conference.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor.

**Appeals:**

If an application for mortgage insurance is refused, HFA will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

HUD will provide mortgage insurance on multifamily housing projects whose

loans were underwritten, processed, serviced, and disposed of by HFAs.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Any change of the mortgagor during the period of mortgage insurance must be approved by the HFA. Defaults in meeting the mortgage terms must be reported. All mortgagors are required to submit an annual financial statement to the HFA.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the accounts of the HFA and the mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

HFAs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the implementing regulations. HFAs must also monitor construction/inspection process.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(loans insured) FY 07 \$93,880,377; FY 08 est \$90,000,000; and FY 09 est \$120,000,000.

**Range and Average of Financial Assistance:**

In FY 2007, loan sizes ranged from \$475,000 to \$10,400,000, with an average of \$4.8 million. Project sizes ranged from 34 to 216 units with an average of 91 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007 HUD insured mortgages for 36 projects with 3,277 units totaling \$173.3 million. It is estimated that a larger number of projects will be insured in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulatory authority for this program is regulation 24 CFR Part 266. HUD Handbook 4590.1, Housing Finance Agency Risk-Sharing Pilot Program, is located on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410-8000. Telephone: (202) 708-1142. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

14.189, Qualified Participating Entities (QPE) Risk Sharing.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.189 QUALIFIED PARTICIPATING ENTITIES (QPE) RISK SHARING**

(542(b) Risk Sharing Program)

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(b), Public Law 102-550, 12 U.S.C. 1701; Public Law 106-377. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily insurance program.

**OBJECTIVES:**

Under this program HUD provides reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by qualified participating entities (QPEs) and/or its approved lenders. The program encourages the development and preservation of affordable housing. The Section 542(b) program was originally designed as a pilot to test innovative mortgage insurance and reinsurance products to provide affordable multifamily housing through a partnership between HUD and QPEs, including Government Sponsored Enterprises, financial institutions, and the Federal Housing Finance Board.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

QPEs and/or its approved lenders may originate and underwrite affordable

housing loans. HUD's mortgage credit enhancements are used to support the underwriting and production strengths of Fannie Mae, Freddie Mac, and other qualified Federal, State, and local public financial and housing institutions. In the event of a default, the QPE will pay all costs associated with loan disposition and will seek reimbursement from HUD. In most cases, the HUD risk share will be 50 percent. The program provides a new insurance authority independent of the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, and private nonprofit corporations or associations may apply to a qualified QPE and/or its lender.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted to the QPE and/or its lender.

**Preapplication Coordination:**

An applicant should consult the QPE as the single point of contact for more information on the process. The sponsor will have a preapplication meeting with the QPE. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An applicant submits a formal application directly to the QPE.

**Award Procedure:**

QPEs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects.

**Deadlines:**

Deadlines are established on a case-by-case basis by the QPE.

**Range of Approval/Disapproval Time:**

Within 15 days of HUD's receipt of a complete and acceptable Risk Sharing Request, HUD will execute the Addendum to Risk Sharing Agreement which signifies that HUD has undertaken a Risk Sharing Obligation for a specific mortgage loan.

**Appeals:**

If a Risk Sharing Request is refused, HUD will state the reasons for the refusal.

**Renewals:**

HUD will provide reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by QPEs.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

QPEs must submit a semi-annual report listing (1) the original mortgage amount and outstanding unpaid principal balance for each reinsured loan, and (2) the status of the reinsured loan.

**Audits:**

The Department of Housing and Urban Development reserves the right to audit the Mortgage Loans which HUD has reinsured.

**Records:**

QPEs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Insured Loans) FY 07 \$12,424,100; FY 08 est \$11,250,000; and FY 09 est \$15,000,000.

**Range and Average of Financial Assistance:**

Loan sizes range from \$1,300,000 to \$5,600,000 with an average of \$3.4 million. Project sizes range from 48 to 160 units with an average of 108 units.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, HUD insured mortgages for 13 projects with 1,415 units, totaling \$44.3 million units. It is estimated that the Department will insure the same number of mortgages in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Section 542(b) program was implemented without regulations.

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Office of Multifamily Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1142. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.188, Housing Finance Agencies (HFA) Risk Sharing.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.191 MULTIFAMILY HOUSING SERVICE COORDINATORS**

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Affordable Housing Act, Section 808, Public Law 101-625, as amended; Housing and Community Development Act of 1992, 42 U.S.C. 13632, Public Law 104-104, as amended; American Homeownership and Economic Opportunity Act of 2000, Section 851, Public Law 106-569, approved December 27, 2000.

**OBJECTIVES:**

To link elderly, especially frail and disabled, or disabled non-elderly assisted housing and neighborhood residents to supportive service in the general community; to prevent premature and unnecessary institutionalization; and, to assess individual service needs, determine eligibility for public services and make resource allocation decisions which enable residents to stay in the community longer.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The service coordinator is a social service staff person hired by the development owner/management company to arrange a broad spectrum of services for residents which include, but are not limited to, the following: the provision of formal case management (i.e., the evaluation of health, psychological or social needs); educate residents and development management staff on issues related to aging-in-place and service coordination; monitor the provision of services, and act as an advocate for the resident in dealing with community service providers. The service coordinator may not serve as the recreational or activities director for a development; provide supportive services directly, or assist with other administrative work associated with the development's operation during the time paid for by grant funds.

**Applicant Eligibility:**

Eligible applicants are owners of Section 8 developments with project-based subsidy (including Rural Housing Service Section 515/8 developments); Section 202 developments as defined under 24 CFR Sections 277 and 885, and 221(d)(3) below-market interest rate and 236 developments which are insured or assisted (funded under Sections 24 CFR 221 Subpart C, 236, 277, 880, 881, 883, 885 and 886). To be eligible, developments must also be current in mortgage payments. Service coordinators for Congregate Housing Service Programs (CHSP), Section 202 developments with a Project Rental Assistance Contract (PRAC), and Section 811 developments are not eligible for funding. Owners of Section 202 PRAC developments may request an increase in their PRAC to hire a Service Coordinator by following procedures in the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8.

**Beneficiary Eligibility:**

Eligible beneficiaries are residents of eligible housing or community residents who live in the vicinity of such housing. Service Coordination may be provided to elderly or disabled families. In particular, priority is given to residents who are frail (unable to perform at least three activities of daily living (ADLs)) or "at risk" elderly persons who are unable to perform 1-2 ADLs, or non-elderly disabled or temporarily disabled residents. At least twenty-five percent of the residents of a development must be frail, at risk, or non-elderly people with disabilities for that development to be eligible for funding.

**Credentials/Documentation:**

As required in the annual Notice of Funding Availability (NOFA) published in the Federal Register.

**Preapplication Coordination:**

None required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted in accordance with the requirements in the NOFA published in the Federal Register.

**Award Procedure:**

As described in the NOFA. All eligible applications will be selected through a national lottery.

**Deadlines:**

Deadlines are specified in the NOFA.

**Range of Approval/Disapproval Time:**

As specified in the NOFA.

**Appeals:**

None.

**Renewals:**

At the end of the grant period, subject to the availability of appropriations, continued need, and compliance with grant requirements.

**Formula and Matching Requirements:**

No mandatory applicant match requirements. A coordinator position may be fully funded from appropriated funds or in combination with the development's residual receipts or surplus cash/excess income. Such combination of funds must be used when the development has some limited resources to fund the coordinator position, but not enough to provide funding on a continuing basis. In this instance, the owner/borrowers' funds would be listed in the funding request and must be used first. Developments with sufficient project funds to fully fund a coordinator are not eligible to receive grant funds.

**Length and Time Phasing of Assistance:**

Funding term stated in the NOFA.

**Reports:**

Financial and performance reporting as specified in the grant agreement. On-site management reviews done by HUD consistent with Development monitoring standards contained in HUD Handbook 4350.1, Chapter 6.

**Audits:**

Review of financial records conducted as part of an on-site management review, including an analysis of at least 10 percent of the financial records maintained to substantiate expenditures made under the program.

**Records:**

Grantees required to maintain records as required by grant agreement. These requirements conform to OMB Circular No. A-110.

**Account Identification:**

86-0162-0-1-451, 86-0320-0-1-604.

**Obligations:**

Reported under program 14.157.

**Range and Average of Financial Assistance:**

\$88,825 to \$402,196; \$171,064.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 21 applications were selected, representing 22 projects, 2,228 units, and \$3,592,342 in Service Coordinator grant funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations for this program, see the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8. Also see HUD's How-to Guide for Service Coordinators and the Evaluation Study of the Service Coordinator Program available without cost from the NOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)).

**Regional or Local Office:**

Contact Multifamily Director in the nearest HUD Field Office. Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Housing Assistance and Grant Administration, Office of Multifamily Housing Programs, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-3000, E-mail: Carissa.L.Janis@hud.gov.

**Web Site Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

14.181, Supportive Housing for Persons with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded coordinators include (1) An assisted housing complex composed of two 17-story and two 16-story high-rise buildings with a total of 1,093 apartments. Of the 1,256 residents, 30 percent are frail elderly and 3 percent are non-elderly persons with disabilities. Two full-time service coordinators are located on-site and coordinate the provision of transportation, congregate meals, case management and multilingual programs in up to 9 languages; (2) two 8-story mid-rise buildings connected by a community building which contains 231 units with 321 residents, of whom 28 percent are at-risk or frail elderly. One full-time, on-site service coordinator coordinates a cadre of services including an emergency hotline connected to the local hospital.

**CRITERIA FOR SELECTING PROPOSALS:**

Published in the NOFA.

## 14.195 SECTION 8 HOUSING ASSISTANCE PAYMENTS PROGRAM-SPECIAL ALLOCATIONS

(Project-based Section 8)

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

United States Housing Act of 1937, Section 8(c)(9).

**OBJECTIVES:**

To reduce claims on the Department's insurance fund by aiding projects with FHA-insured or Secretary-held mortgages that have immediate or potentially serious financial difficulties.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

This program is inactive. No new projects are being approved; however, tenants

may apply for admission to projects with existing Section 8 assistance contracts. The assistance is paid by HUD to the owner of an assisted unit on behalf of an eligible family. The payment is the difference between the contract rent and the tenant rent. Assistance is currently available only on a renewal basis, i.e., projects currently assisted may receive a 1-year renewal, or multiple years, up to twenty years, upon expiration of the Section 8 contract.

**Applicant Eligibility:**

No funding is available to new applicants. Funding is currently available only for the owners of record of projects with an existing expiring project-based Section 8 contract. The project must meet minimum decent, safe, and sanitary standards.

**Beneficiary Eligibility:**

Families currently receiving assistance as long as their income does not exceed 80 percent of area median income adjusted for smaller or larger families.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. Project must meet minimum decent, safe, and sanitary standards for HUD to renew the Section 8 contract.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. No applications for new projects are being accepted.

**Application Procedure:**

Project owner must notify HUD within 120 days of contract expiration that it wishes to renew the Section 8 contract.

**Award Procedure:**

Contract is renewed upon expiration.

**Deadlines:**

Owner must notify HUD within 120 days of contract expiration that it intends to renew contract. Owner must notify the residents one year in advance of contract expiration that it intends not to renew the contract.

**Range of Approval/Disapproval Time:**

Approval given by date of contract expiration.

**Appeals:**

Not applicable.

**Renewals:**

Subject to appropriations and owner's interest in renewing contract.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

1 year.

**Reports:**

The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy.

**Audits:**

The owner must permit HUD to review and audit the management and maintenance of the project at any time to assure the owner is meeting its obligation to maintain the units and related facilities in decent, safe, and sanitary condition.

**Records:**

The owner must reexamine the income and composition of all families at least once each year and prepare and furnish other information required under the Section 8 contract.

**Account Identification:**

86-0319-0-1-604; 86-0164-0-1-604; 86-0311-0-1-604; 86-0316-0-1-604; 86-0303-0-1-604.

**Obligations:**

FY 07 \$8,421,000; FY 08 est \$8,549,000; and FY 09 est \$8,529,000.

**Range and Average of Financial Assistance:**

Eligible tenants pay no more than 30 percent of their monthly adjusted income for rent.

**PROGRAM ACCOMPLISHMENTS:**

No new commitments for additional projects will be made under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Section 8 Renewal Policy Guide (1/15/08); 24 CFR 886 Subpart A - Additional Assistance Program for Projects With HUD-Insured And HUD-Held Mortgages Payments Program\_Special Allocations.

**Regional or Local Office:**

Persons may contact local field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Housing and Urban Development, Office of Housing Assistance and Grant Administration, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-3000.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/mfh/mfhsec8.cfm>

**RELATED PROGRAMS:**

14.126, Mortgage Insurance\_Cooperative Projects; 14.132, Mortgage Insurance\_Purchase of Sales-Type Cooperative Housing Units; 14.134, Mortgage Insurance\_Rental Housing; 14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest



Rate; 14.138, Mortgage Insurance\_Rental Housing for the Elderly; 14.139, Mortgage Insurance\_Rental Housing in Urban Renewal Areas; 14.155, Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects; 14.157, Supportive Housing for the Elderly; 14.181, Supportive Housing for Persons with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Projects with HUD-insured mortgages; projects with HUD-held mortgages; projects with non-insured mortgages; projects with Section 202 Direct Loans.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.197 MULTIFAMILY ASSISTED HOUSING REFORM AND AFFORDABILITY ACT**

(Market-to-Market)

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

The Multifamily Assisted Housing Reform and Affordability Act of 1997 (Title V of Public Law No. 105-65, October 27, 1997, 111 Stat. 1384ff), as amended by section 531 of the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 2000, (Public Law 106-74, October 20, 1999, 113 Stat. 1109ff), as amended by the Mark-to-Market Extension Act of 2001 (Title VI of Public Law No. 107-166, January 10, 2002, 115 Stat. 2177), and as further amended by H.R. 20 (Public Law 110-5) Revised Continuing Appropriations Resolution, 2007 Section 21043, which made changes to Section 579 to extend the statute and allow new referrals until October 1, 2011. The Office of Affordable Housing Preservation (OAHP) administers the Mark-to-Market program (M2M).

**OBJECTIVES:**

To retain critical affordable housing resources represented by the supply of FHA-insured Section 8 assisted housing and maintain it in good physical and financial condition while, at the same time, reducing the cost of the ongoing Federal subsidy. In carrying out the Program, HUD works with willing participating administrative entities (PAEs), owners and lenders to reduce Section 8 rents and operating expenses to true market levels and also provide for the project's capital improvement needs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Participating owners who undergo a mortgage restructuring must execute a use agreement committing to maintaining affordable housing for 30 years.

**Applicant Eligibility:**

The project must be subject to a FHA- insured mortgage and supported by project-based Section 8 HAP contracts with rent levels which, in the aggregate, exceed Comparable Market Rents.

**Beneficiary Eligibility:**

The project owner and individuals/families who are project tenants.

**Credentials/Documentation:**

Owner will submit a request to enter Mark-to-Market at least 120 days prior to the expiration of the HAP contract and certify the property is eligible to participate. The owner must not have been suspended or disbarred.

**Preapplication Coordination:**

Owner must submit a letter of intent to the Multifamily Director of the local HUD Field Office. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Owner must submit a letter of intent to the Multifamily Director of the local HUD Field Office at least 120 days prior to HAP expiration. Owner may also submit a letter of intent to the local HUD field office during the term of the Section 8 HAP contract to be considered as an outyear transaction.

**Award Procedure:**

Not applicable.

**Deadlines:**

Applications are due 120 days prior to expiration of Section 8 contract as well as during the term of the Section 8 HAP contract.

**Range of Approval/Disapproval Time:**

Eligibility to participate in the program is determined within 30 business days of OAHP's receipt of submission. Restructuring and refinancing process should take no longer than 12 months.

**Appeals:**

If the owner is not programmatically eligible there is not an appeal process as this is determined by legislative authority. There are two levels of appeals for a "Restructuring Commitment" or rejection of a Restructuring Plan. An appeal may be submitted in writing (with a copy to the Participating Administrative Entity) to the Portfolio Director of Office of Affordable Housing Preservation, within 30 calendar days of the issuance date of Restructuring Commitment. A second level appeal may be made within 10 days of notice, requesting an administrative review by OAHP Headquarters.

**Renewals:**

Section 8 contracts will only be issued on an annual basis with terms of up to five years for a rent restructuring (M2M Lite) and up to 20 years for a mortgage restructuring (M2M Full).

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Section 8 contracts are issued on an annual basis as long as the property remains eligible. Owners of projects that undergo a mortgage restructuring shall commit to maintain project affordability for 30 years.

**Reports:**

As required by Section 8 and future program guidelines.

**Audits:**

Annual audits are required.

**Records:**

As required by Section 8 and future program guidelines.

**Account Identification:**

86-4072-0-3-371.

**Obligations:**

FY 07 \$148,000,000; FY 08 est \$253,000,000; and FY 09 est \$14,000,000.

**Range and Average of Financial Assistance:**

Partial payment of claims may be made up to the amount of the unpaid principal balance of the FHA insured mortgage. Section 8 contracts will be provided at comparable market rents, or with exception rents in cases where the loss of units would adversely effect the tenants or community because of a lack of affordable housing.

**PROGRAM ACCOMPLISHMENTS:**

OAHP has completed/closed 3,110 projects representing 264,563 units. The breakdown in Fiscal Years is as follows: 195 projects (15,830) in FY 2007; 260 projects (19,938 units) in FY 2006; 369 projects(33,333 units) in FY 2005; 456 projects (37,520 units) in FY 2004; 408 projects (35,868 units) in FY 2003; 426 projects (37,383 units) in FY 2002; 557 projects (45,717 units)in FY 2001; and 439 projects (38,974 units) in FY 2000 under the M2M Program. In Fiscal Year 2008, OAHP estimates that 110 projects (9,549 units) will be completed/closed under the M2M program. These estimates are based on an OAHP projection of anticipated workload, which is, in part, based on an estimate of market rents for contracts expiring in the future. These projections may be affected by owner decisions, real estate market trends, accuracy of the REMS data base, and future legislative changes relative to M2M eligible properties.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Rule 24 CFR 401 titled Multifamily Housing Mortgage and Housing Assistance Restructuring Program (Mark-to-Market) Final Regulations are published in the Federal Register, Volume 65, No. 56, dated Wednesday, March 22, 2000, as corrected in the September 6, 2000 Federal Register Volume 65, No. 173 (final rule; correction).

**Regional or Local Office:**

The Office of Affordable Housing Preservation has two preservation office locations: Chicago Preservation Office: Harry West; Preservation Director, Office of Affordable Housing Preservation; Metcalfe Federal Building, 77 West Jackson Blvd., Room 2301, Chicago, IL 60604. Telephone: (312) 886-4133 Ext. 2371. Washington Preservation Office: Donna Rosen; Preservation Director, Office of Affordable Housing Preservation; The Portals Building, Suite 380, 1280 Maryland Ave., S.W., Washington, DC 20024. Telephone: (202) 260-2746 Ext. 3768.

**Headquarters Office:**

Theodore Toon, Deputy Assistant Secretary, Office of Affordable Housing Preservation, Suite 6230, Weaver Federal Building, 451 7th St, S.W., Washington, DC 20410. Telephone: (202) 708-0001. E-mail: m2minfo@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/omhar/index.cfm>.

**RELATED PROGRAMS:**

14.135, Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate; 14.138, Mortgage Insurance\_Rental Housing for the Elderly; 14.155, Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects; 14.195, Section 8 Housing Assistance Payments Program\_Special Allocations.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.198 GOOD NEIGHBOR NEXT DOOR SALES PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

24 CFR 291.500-565, final rule published in Federal Register, October 31, 2006, effective December 1, 2006, following publication in the Federal Register of a proposed rule on September 8, 2005.

**OBJECTIVES:**

The purpose of the Good Neighbor Next Door Sales Program is to improve the quality of life in distressed urban communities. This is to be accomplished by encouraging law enforcement officers, teachers, and firefighters/emergency medical technicians, and pre-Kindergarten Teachers whose daily responsibilities and duties represent a nexus to the needs of the community, to purchase and live in homes in these communities.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Participants must be employed full-time as a law enforcement officer, pre-K through grade 12 teacher, firefighter or emergency medical technician and agree to live in the property purchased for thirty six months from the date of occupancy following purchase of the home. Violation of the occupancy rule is under penalty of repayment of a prorata share of the discount of fifty percent of the list price. Properties offered through the program are single unit residences located in HUD-designated revitalization areas. The availability of properties is limited. Purchasers must provide financing for the purchases by their own means and are responsible for their portion of closing costs and broker fees. Teachers and Firefighters/EMTs are restricted to purchase homes located in an area served by their employer.

**Applicant Eligibility:**

Eligible law enforcement officer must be (a) Employed full-time by a law enforcement agency of the federal government, a state, a unit of general local government, or an Indian tribal government ; and (b) In carrying out such full-time employment, you are sworn to uphold, and make arrests for violations of, Federal, state, county, or municipal law. A firefighter/EMT must be full-time as a firefighter or emergency medical technician by a fire department or emergency medical services responder unit of the federal government, a state, unit of general local government, or an Indian tribal government serving the area where the home is located. A teacher for the purposes of the GNND Sales Program if the person is: (a) Employed as a full-time teacher by a state-accredited public school or private school that provides direct services to students in grades pre-kindergarten through 12; and (b) The public or private school where the person is employed as a teacher serves students from the area where the home is located in the normal course of business.

**Beneficiary Eligibility:**

Law enforcement officers, firefighters, and EMTs purchasing a HUD-owned home in a designated revitalization area for use as their sole residence.

**Credentials/Documentation:**

Sales contract (HUD 9548); employer certification; second mortgage and note.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372, Intergovernmental Review of Federal Programs (or consultation with State and local governments regarding program design).

**Application Procedure:**

Interested persons apply by submitting an offer to purchase a property listed through HUD's property disposition program. Properties for sale are listed on the Internet at sites accessible to the general public. Offers are submitted electronically. The offer amount submitted must be the list price.

**Award Procedure:**

A winning offer is selected randomly each week. The selected offeror is offered the property at a 50 percent discount off the list price, subject to the purchaser fully complying with the 36 month occupancy requirement and other program rules. The selected offeror is provided with a document package. The offeror accepts by signing and returning the sales documents. The selected offeror receives title to the home at a sales closing. The selected offeror arranges for financing of the purchase price.

**Deadlines:**

Properties eligible for this program are offered exclusively to law enforcement officer, firefighters, pre-K through 12 teachers and emergency medical technicians for five days beginning with the first listing of the property.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The assistance is in the form of a 50 percent reduction in the list price of the home selected for purchase. The discount is provided in the form of a self-amortizing note/mortgage reduced each month of occupancy over 36 months.

**Length and Time Phasing of Assistance:**

The assistance is provided in exchange for the buyer's commitment to occupy the homes as a personal residence for thirty six months. Each month of occupancy results in the forgiveness of one thirty sixth of the discount value. Early vacation of the premises requires repayment of a pro rata amount of the discount.

**Reports:**

The officer, pre-K through 12 teacher, firefighter or EMT purchasing the home

must submit an annual certification for each of 12-month period that he or she resides in the home.

**Audits:**

None.

**Records:**

Not applicable.

**Account Identification:**

86-4587-0-3-371; 86-4070-0-3-371; 86-4077-0-3-371; 86-4072-0-3-371; 86-4242-0-3-371; 86-4105-0-3-371.

**Obligations:**

(Sales) Reported under program 14.311.

**Range and Average of Financial Assistance:**

Fifty percent discount off list price of home. List prices vary widely.

**PROGRAM ACCOMPLISHMENTS:**

Over 13,000 properties have been sold through the life of the program as of the end of FY 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Regulations at 24 CFR Part 291. Fed. Register, October 31, 2006, Volume, Number, Page. Program information is available on HUD's website at <http://www.hud.gov/offices/hsg/sfh/reo/goodn/gnndabot.cfm>.

**Regional or Local Office:**

Contact HUD's Homeownership Center (HOC) serving your state. Each Homeownership Center has Good Neighbor Next Door Coordinators. HOCs and their service areas may be found on the web at <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>. Management and Marketing (M&M) contractors provide listings of properties available for purchase through the Good Neighbor Next Door program on the web and are a source of information. Go to <http://www.hud.gov/homes/index.cfm> and click on the state of your choice.

**Headquarters Office:**

For policy questions not covered on the website, contact the Asset Management and Disposition Division by mail to 451 7th Street SW, Washington, DC 20410; or by phone to (202) 708-1672 (this is not a toll free number).

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/reo/goodn/gnndabot.cfm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.199 MULTIFAMILY PROPERTY DISPOSITION****FEDERAL AGENCY:**

OFFICE OF HOUSING, OFFICE OF MULTIFAMILY HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, Section 207(k) and (l); Housing and Community Development Amendments of 1978, Section 203; Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1997, Public Law 104-204; Departments of Veterans Affairs, Housing and Urban Development, Section 213, and Independent Agencies Appropriations Act of 1998, Public Law 105-65; Departments of Veterans Affairs, Housing and Urban Development, Section 206, and Independent Agencies Appropriations Act of 1999, Public Law 105-276; Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 2000, Public Law 106-74.

**OBJECTIVES:**

To manage and dispose of multifamily housing projects that are owned by the Secretary or that are subject to a mortgage held by the Secretary in a manner that is consistent with the National Housing Act; protect the financial interests of the Federal government, and will, in the least costly fashion among reasonable available alternatives: preserve certain housing so that it can remain available to and affordable by low-income persons; preserve and revitalize residential neighborhoods; maintain the existing housing stock in a decent, safe and sanitary condition; minimize the involuntary displacement of tenants; maintain housing for the purpose of providing rental housing, cooperative housing, and home ownership opportunities for low-income persons; supporting fair housing strategies; and dispose of such projects in a manner consistent with local housing market conditions.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

This section only applies to multifamily housing projects owned by the Secretary or that are subject to a mortgage held by the Secretary for which a foreclosure sale is to be held. A property can be sold with its current project-based Section 8 contract assigned to the new owner so that contract and its requirements stay in place. A property can be sold with tenant-based Housing Choice Vouchers (14.871) being provided to eligible tenants, which give the tenants the ability to

stay on-site in units that meet HUD standards, or move to another location. In both cases, the residents must meet the eligibility requirements of those programs, which are defined elsewhere. A HUD-owned property may be sold with an up-front grant to assist in paying for rehabilitation or rebuilding provided funds have been appropriated by Congress. To be eligible, in addition to the property being HUD-owned, it must have more than 50 percent of the units in the project occupied by very low-income residents at the time a disposition plan is approved by HUD, or HUD must determine it is essential, as affordable housing, to the revitalization of its community; it must be located in a housing market or submarket in which there is not sufficient habitable, affordable, rental housing, as defined in 24 CFR 290.3; it will generate, after rehabilitation or rebuilding, sufficient rental income in a competitive market to cover all operating expenses, meet after sale debt service requirements, fund required reserves and throw off positive cash flow; will provide affordable housing for at least 20 years, after the rehabilitation and/or rebuilding is completed; meets such other requirements, including deed restrictions, loan provisions, and monetary penalties for non-performance, as HUD may determine are appropriate on a case-by-case basis. The maximum that HUD will fund per project in an up-front grant or loan is 50 percent of total development cost (TDC), or \$40,000 per affordable, finished unit, whichever amount is less (not to exceed the current number of residential units in the project).

**Applicant Eligibility:**

These properties can be purchased by governmental entities, private individuals, corporations, or nonprofit organizations who have the requisite qualifications and agree to abide by the conditions set by HUD for the particular property sale.

**Beneficiary Eligibility:**

The ultimate beneficiary of those properties sold for continued use as affordable housing are low-income individuals and families.

**Credentials/Documentation:**

Interested parties must file HUD form 2530, "Previous Participation Clearance Application," and certify to HUD that any properties owned by the purchaser in the same geographical area of the property being purchased meet all applicable standards and housing codes.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

There is no application process. Foreclosure sales are conducted on an open, oral bid process, with sealed bids also being permitted. HUD-owned properties may be purchased without competition by governmental entities. HUD can sell some properties non-competitively to nonprofits. All other HUD-owned properties are sold through a full and open competition, usually sealed bids, auctions, or a Request for Proposals. HUD maintains a mailing list of individuals and firms interested in buying these projects, and maintains a website which lists all properties currently available for sale.

**Award Procedure:**

Properties sold at foreclosure are sold to the highest responsive and responsible bidder. HUD-owned projects may be sold to governmental entities who agree to meet HUD's requirements. Certain HUD-owned projects can be sold to nonprofits who agree to meet HUD's requirements. HUD-owned properties can be sold to the highest responsive and responsible bidder, and some are sold to the proposer with the best experience and plan for the future operation of the property.

**Deadlines:**

Deadlines are established on a property-by-property basis.

**Range of Approval/Disapproval Time:**

Contingent upon complexity of case.

**Appeals:**

None.

**Renewals:**

Renewals of the Section 8 are subject to the rules of the particular program. There are no renewals of Up-Front Grants.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Purchaser must file, electronically, an annual financial statement to HUD audited and prepared in accordance with Generally Accepted Accounting Principals and Generally Accepted Auditing Standards. Other reporting requirements established by Property Disposition Centers.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-4072-0-1-371; 86-4077-0-1-371.

**Obligations:**

(Sales) FY 07 est not available; FY 08 est not available; and FY 09 est \$450,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

HUD closes about 50-125 projects annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reference material can be found at website <http://www.hud.gov/offices/hsg/mfh/pd/multifam.cfm>.

**Regional or Local Office:**

Interested parties can contact the Multifamily Property Disposition Centers in the Atlanta and Fort Worth HUD Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Multifamily Asset Management, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-3730.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/mfh/pd/multifam.cfm>.

**RELATED PROGRAMS:**

14.871, Section 8 Housing Choice Vouchers.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

For the up-front grants, once HUD identifies an eligible project, the grant is made part of the sale and the project is only sold to a purchaser who has the demonstrated experience to rehabilitate/rebuild the project and maintain it as affordable housing for at least 20 years after the rehabilitation/rebuilding is completed.

## 14.218 COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, as amended, Public Law 93-383.

**OBJECTIVES:**

To develop viable urban communities, by providing decent housing and a suitable living environment, and by expanding economic opportunities, principally for persons of low and moderate income.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Recipients may undertake a wide range of activities directed toward neighborhood revitalization, economic development, and provision of improved community facilities and services. Entitlement communities develop their own programs and funding priorities as long as programs/activities conform to the statutory standards and program regulations. Some of the specific activities that can be carried out with Community Development Block Grant (CDBG) funds include acquisition of real property; relocation; clearance and demolition; rehabilitation of residential and nonresidential structures; provision of public facilities and improvements, such as water and sewer facilities (which require reviews by the State single point of contact or a Regional Planning Agency in accordance with Executive Order 12372), streets, and neighborhood centers. In addition, CDBG funds may be used to pay for public services within certain limits. Recipients may contract with other local agencies or nonprofit organizations to carry out part or all of their programs. Community-based development organizations may carry out neighborhood revitalization, community economic development or energy conservation projects to further achieve the national objectives of the CDBG program. Recipients may provide assistance to microenterprises or other for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. All eligible activities must either benefit low- and moderate-income persons, aid in the prevention or elimination of slums or blight, or meet other community development needs having a particular urgency that the grantee is unable to finance on its own.

**Applicant Eligibility:**

Cities in Metropolitan Areas designated by OMB as a central city of the Metropolitan Area; other cities over 50,000 in Metropolitan Areas; and qualified urban counties of at least 200,000 (excluding the population in entitlement cities located within the boundaries of such counties) are eligible to receive CDBG entitlement grants determined by a statutory formula.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low- and moderate-income persons (generally defined as a member of a family having an income equal to or less than the Section 8 low income limit established by HUD). The grantee must certify that at least 70 percent of the grant funds received during a 1, 2, or 3-year period, that it designates, are expended for activities that will principally benefit low- and moderate-income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.



**Preapplication Coordination:**

A grantee is required to prepare a consolidated plan in accordance with the requirements of Part 91; have and follow a detailed citizen participation plan; provide information to citizens on the amount of CDBG funds available and the range of community development and housing activities that may be undertaken; hold public hearings; publish a proposed action plan which includes a description of activities in sufficient detail, including location, to afford affected citizens an opportunity to submit views and comments prior to the preparation of a final action plan; prepare and submit a final action plan to HUD. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." Recipients should consult the office or the official designated as the single point of contact in its respective State for more information on the process the State requires to be followed when funds are used for the planning or the construction (reconstruction or rehabilitation) of water or sewer facilities.

**Application Procedure:**

Submit a Consolidated Plan, an annual action plan, SF Form 424, and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD Community development programs, including CDBG. The annual action plan must include the local community development objectives and show the proposed use of the funds. If the grantee makes a complete submission within the established deadlines, the Department will make a grant award unless a determination is made by HUD that the grantee's performance is unsatisfactory. HUD will approve the submission generally within 45 days of receipt of the annual action plan and required certifications unless a determination has been made that the grantee has failed to carry out its CDBG program in a timely manner or has failed to conform to the requirements of the statute or other applicable laws. Under such circumstances, HUD may take appropriate actions, including reductions in the amount of the final grant.

**Award Procedure:**

None.

**Deadlines:**

For formula grants, action plans associated with the Consolidated Plan must be submitted based on the grantee's program year, but no earlier than November 15 or no later than August 16 of the fiscal year for which the funds are allocated.

**Range of Approval/Disapproval Time:**

Generally within 45 days.

**Appeals:**

Administrative appeals process followed if entitlement grant funds are withheld or reduced, or repayment proposed for non-compliance or non-performance.

**Renewals:**

Every 3 to 5 years, localities submit a Consolidated Plan. Each year localities submit an annual action plan and certifications.

**Formula and Matching Requirements:**

Entitlements are based on a dual formula under Section 106 of the Act using statistical factors. Each metropolitan city and urban county is entitled to receive an amount equaling the greater of the amounts calculated under two formulas. The factors involved in the first formula are population, extent of poverty and extent of overcrowded housing, weighted 0.25, 0.50, and 0.25, respectively. The factors involved in the second formula are population growth lag, poverty, and age of housing, weighted 0.20, 0.30, and 0.50, respectively. The statistical factors used for fund allocation are (1) most current population estimates from the Bureau of Census 90 days before the end of the fiscal year; (2) number of persons with incomes below the poverty level from the source 2000 Census; (3) number of housing units with 1.01 or more persons per room from the source 2000 Census; (4) age of housing; number of year-round housing units built in 1939 or earlier from the source 2000 Census; (5) growth lag; the lag in population growth as computed from population in 1960 to current population from the source 1960 Census and P25, Census Report. Statistical factors used for eligibility are (1) metropolitan city: principal city of a Metropolitan Area (MA) or city within MA with 50,000 population from the source Census and OMB; (2) urban county: generally, counties in MA having a net population of 200,000 or more, excluding entitlement cities located therein, from the source Census and OMB. Questions concerning the formula should be addressed to the Systems Development and Evaluation Division, Community Planning and Development, 451 7th Street S.W., Washington, DC 20410. Telephone: (202) 708-0790.

**Length and Time Phasing of Assistance:**

Assistance is for an annual program of activities, but activities generally may be continued beyond one year until completed.

**Reports:**

An annual performance report is required on the use of funds to meet program requirements including the grantee's objectives and the national objectives of the program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in Federal awards in a year shall generally have a single audit conducted for that year. (The addtee may elect to have a program-specific audit conducted under certain limited circumstances.)

**Records:**

The applicant must maintain records with regard to eligibility, national objectives, financial management, citizen participation, relocation, other resources, acquisition, housing assistance to units and households, equal opportunity, environmental impact, labor standards and other requirements set forth in regulations. Records shall be retained for four years after submission of the report in which the activity is reported as completed, except as otherwise prescribed in the published regulations.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

FY 07 \$2,592,790,000; FY 08 est \$2,510,501,000; FY 09 est \$1,909,184,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

Determined by formula.

**PROGRAM ACCOMPLISHMENTS:**

There are approximately 1,150 units of local government eligible to receive entitlement grants during fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**Regional or Local Office:**

Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Entitlement Communities Division, Office of Block Grant Assistance, Community Planning and Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-1577. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/index.cfm>.

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.225 COMMUNITY DEVELOPMENT BLOCK GRANTS/SPECIAL PURPOSE GRANTS/INSULAR AREAS

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Title I, Public Law 93-383, 42 U.S.C. 5306(a)(2).

**OBJECTIVES:**

To provide community development assistance to the Pacific Islands of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands in the Caribbean.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Activities must be eligible under 24 CFR 570 Subpart C.

**Applicant Eligibility:**

The Island Governments of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income for the territory, as adjusted by family size.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each Insular Area shall submit a consolidated plan or an abbreviated consolidated plan to HUD no later than 45 days before the start of its program year.

**Award Procedure:**

The Honolulu Field Office and the HUD San Juan Field Office are responsible for reviewing each consolidated plan or abbreviated consolidated plan and approving them if the submissions are in accordance with 24 CFR 91 and the certifications are acceptable to HUD.

**Deadlines:**

Applicants must submit final statements no later than 45 days before the start of its program year.

**Range of Approval/Disapproval Time:**

45 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The funds are allocated according to population size of the applicants. There is no matching required.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, and is released through a letter of credit.

**Reports:**

Financial management and annual performance reports as required by the Secretary.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations", nonfederal entities that expend \$500,000 or more in a year in Federal awards should have a single audit conducted for that year in accordance with the provisions of the Circular.

**Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Grants) FY 07 \$6,930,000; FY 08 est \$7,000,000; and FY 09 est \$7,000,000.

**Range and Average of Financial Assistance:**

Funds awarded in FY 2008: American Samoa: \$963,516; Guam: \$2,851,151; Northern Marianas: \$1,374,719; Virgin Islands: \$1,810,614.

**PROGRAM ACCOMPLISHMENTS:**

In their 2006 program year, the Insular Areas Expended 70 percent of their CDBG funds on public improvements, 12 percent on acquisition, and 7 percent on public services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart F.

**Regional or Local Office:**

Honolulu Field Office and the HUD San Juan Field Office as listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>.

**Headquarters Office:**

Office of Block Grant Assistance, Community Planning and Development, Department of Housing and Urban Development, 451 7th St., S.W., Washington, DC 20410. Telephone: (202) 708-1322. E-mail: [Stephen.M.Rhodeside@hud.gov](mailto:Stephen.M.Rhodeside@hud.gov).

**Web Site Address:**

[http://www.hud.gov/offices/cpd/about/cpd\\_programs.cfm](http://www.hud.gov/offices/cpd/about/cpd_programs.cfm).

**RELATED PROGRAMS:**

15.875, Economic, Social, and Political Development of the Territories.

**EXAMPLES OF FUNDED PROJECTS:**

Housing rehabilitation, infrastructure and public facilities development, and/or improvements, economic development initiatives, microenterprise/small business creation and/or assistance, and first-time home buyer assistance.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.227 COMMUNITY DEVELOPMENT BLOCK GRANTS/TECHNICAL ASSISTANCE PROGRAM****FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Section 107 (b)(4), as amended.

**OBJECTIVES:**

To help States, units of general local government, Indian tribes and area-wide planning organizations to plan, develop and administer local Community Development Block Grant programs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance may be used to transfer skills and knowledge in planning, developing and administering the Community Development Block Grant programs from those individuals and institutions which possess them to eligible block grant entities and affiliated CDBG participants which need them. Project activities show how they will increase the effectiveness with which eligible block grant communities can use CDBG funds to meet community development national and local program objectives. Assistance may take several forms, such as the provision of written information, person-to-person exchange, seminars, workshops or training sessions.

**Applicant Eligibility:**

States, units of general local government, national or regional nonprofit organizations that has membership comprised predominately of entities or officials of entities of CDBG recipients, for-profit or nonprofit professional and technical services companies or firms that have demonstrated knowledge of the CDBG program and the capacity to provide technical assistance services, public or private nonprofit or for-profit organizations, including educational institutions and area-wide planning organizations. Specifications for respondents to competitive requests for proposals are stated in the request documents.

**Beneficiary Eligibility:**

States, units of general local government, Indian tribes and Alaska natives, entities participating or actively intending to participate in the planning, developing, or administering of a Community Development Block Grant program.

**Credentials/Documentation:**

Applicants need to obtain a DUNS number to receive an award and submit other documentation as described in a solicitation document.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals may be submitted in response to competitions and solicitations. The Federal Register publication detailing each competition spells out the submission requirements.

**Award Procedure:**

The Secretary has final approval authority; applicants are notified of acceptance or rejection.

**Deadlines:**

Deadlines are shown in solicitation documents.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None specified by statute.

**Length and Time Phasing of Assistance:**

Generally, projects will be funded to operate one to three years. Assistance is released on a reimbursement basis through electronic funds transfers.

**Reports:**

Quarterly and final financial and performance reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est \$3,000,000; and FY 09 est \$5,000,000 (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts).

**Range and Average of Financial Assistance:**

(Cooperative Agreements) FY 2005 range: \$100,000-\$539,000; average: \$234,750.

**PROGRAM ACCOMPLISHMENTS:**

Technical assistance was offered to all of the 50 States and over 1,100 entitlement communities through training programs, satellite broadcasts, manuals and publications. This program did not have funds appropriated between 2000 and 2003, nor in FY 2006 or FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart E, 24 CFR 571.

**Regional or Local Office:**

Contact the appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Technical Assistance Division, Community Planning and Development, Department of Housing and Urban Development, 451 7th St., SW., Washington, DC 20410. Telephone: (202) 708-3176. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm>.

**RELATED PROGRAMS:**

14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to criteria set forth in solicitation documents.

## 14.228 COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM AND NON-ENTITLEMENT GRANTS IN HAWAII

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, as amended; Public Law 93-383; 88 Stat. 633; 42 U.S.C. 5301-5321.

**OBJECTIVES:**

The primary objective of this program is the development of viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income. Each activity funded must meet one of the program's National Objectives by: Benefiting low and moderate income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Thirty percent of funds available for distribution under each annual appropriation for the Community Development Block Grant (CDBG) program is allocated among the States and Puerto Rico (which is considered to be a state for the State CDBG program) for use in areas which are not a metropolitan city or part of an urban county (nonentitlement areas). All States except Hawaii have elected to administer these CDBG funds for areas that do not receive CDBG entitlement grants (14.218). HUD awards the formula grants to these States under the CDBG/State Program. In Hawaii, HUD awards the state's share of these funds to three non-entitlement counties. States must distribute CDBG funds to units of general local government (counties, towns, etc.) in nonentitlement areas. States develop their own programs and funding priorities. Units of general local government then carry out community development activities funded by the State. Eligible activities are directed toward neighborhood revitalization, economic development, or provision of improved community facilities and services. Specific activities that can be carried out with block grant funds include: Acquisition, rehabilitation or construction of certain public works facilities and improvements, such as streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and clearance; rehabilitation of public and private buildings including housing; code enforcement; relocation payments and assistance; economic development; planning activities; certain public services with some restrictions; and administrative expenses. The projected use of funds must be developed to ensure that all activities will meet one of the three national objectives described under "OBJECTIVES". Communities receiving CDBG funds from a state may select subgrantees to carry out approved projects. Such subgrantees may include: Neighborhood-based nonprofit organizations; local development corporations; Small Business Investment Companies; or other nonprofit organizations serving the development needs of nonentitlement areas. Grant recipients may provide assistance to for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Communities are restricted from constructing or rehabilitating public facilities for the general conduct of government and from making housing allowances or other income maintenance-type payments. Each State may use a limited portion of its grant, subject to a matching requirement, to administer the program. Each State may also use a limited portion of its grant, with no matching requirement, to provide technical assistance to local governments and nonprofit program recipients. At least seventy percent of the funds received must benefit low and moderate income persons.

**Applicant Eligibility:**

Forty-nine State governments and the Commonwealth of Puerto Rico receive funds from HUD under this program. The state of Hawaii does not participate and HUD allocates the state's share of funds to the three Hawaii non-entitled counties. Funds are allocated to each state based on a statutory formula. States must distribute the funds to units of general local government in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. For non-metropolitan areas, low and moderate income is generally defined as 80 percent of the median income for non-metropolitan areas of the State or of the county, whichever is higher, adjusted for family size. For eligible localities in metropolitan areas, low- and moderate-income is generally defined as 80 percent of the median income for the metropolitan area, adjusted for

family size.

**Credentials/Documentation:**

The State must certify that with respect to nonentitlement areas the State will: (1) engage in planning for community development activities; (2) provide technical assistance; (3) consult with local officials from nonentitlement areas in determining methods for distributing funds, and (4) each unit of general local government to receive funds must identify its housing and community development needs, the needs of low and moderate-income persons, and the activities to be undertaken to meet such needs. The State must submit a Consolidated Plan and annual action plan, which contains its method of distributing CDBG funds. The State must also certify that (1) it has met the statutory citizen participation requirements, (2) it will conduct its grant in conformance with the Civil Rights Act of 1964 and the Fair Housing Act, (3) all activities will meet one of the three national objectives described under "OBJECTIVES", and (4) it will comply with the other provisions of Title I and all applicable laws. This program is covered under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under 24 CFR Part 85 and E.O. 12372.

**Application Procedure:**

Each state must submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including CDBG. The annual action plan must contain the method by which the State will distribute its CDBG funds.

**Award Procedure:**

HUD will provide funds after the State submits its Consolidated Plan, annual action plan and Certifications.

**Deadlines:**

Consolidated Plans may be submitted between November 15 and August 16 of each fiscal year in which the State will administer funds.

**Range of Approval/Disapproval Time:**

HUD will review plan submissions for completeness and consistency with the purposes of the Act, within 45 days of receipt from a State.

**Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart I).

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Allocations to States are based on Census data using a dual formula prescribed under Section 106 of the Act. Allocations for each State are based on an amount equaling the greater of the amounts calculated under the two formulas. The factors involved in the first formula are population, extent of poverty and extent of overcrowding, weighted 0.25, 0.50, and 0.25, respectively. The factors involved in the second formula are population, poverty, and age of housing, weighted 0.20, 0.30, and 0.50, respectively. The statistical factors used for fund allocation are (1) total resident population for all places in the nation (2) number of persons with incomes below the poverty level; (3) number of housing units with 1.01 or more persons per room; and (4) age of housing (number of year-round housing units built in 1939 or earlier). The statistical factors for each State are adjusted to reflect only the non-entitled area; that is, the State area excluding metropolitan cities and urban counties. There is no matching requirement for the allocation of funds under the formula. Address questions concerning the formula to the Systems Development and Evaluation Division Rm. 7224, Community Planning and Development, 451 7th Street, S.W. Washington, DC 20410. Telephone: (202) 708-0790.

**Length and Time Phasing of Assistance:**

Assistance is provided to States on an annual basis. Individual States may impose time limitations on the implementation of grants to recipients.

**Reports:**

Annual performance report covering all programs included in the Consolidated Plan as prescribed at 24 CFR 91.520; SF-272 Federal Cash Transactions Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Non-Profit Organizations", nonfederal entities that expend \$500,000 or more in a year shall have a single audit conducted for that year in accordance with the provisions of the circular.

**Records:**

Records must demonstrate that the State has met the requirements of Title I of the Act.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

FY 07 est \$1,111,196,000; FY 08 \$1,075,929,000; and FY 09 \$818,221,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

State grant amounts are determined by formula. Of the 50 state grants awarded under the State CDBG program in FY 2008, the average (mean) grant amount was \$21,414,231. Grant amounts ranged from \$1,982,003 to \$71,779,088. The average grant amount in FY 2007 was \$22,117,187. These totals do not include



Hawaii's allocations awarded to its 3 non-entitled counties. Hawaii's share of the 2008 allocation is \$5,217,450.

**PROGRAM ACCOMPLISHMENTS:**

Accomplishments reported by states in fiscal year 2007 provided 17,492 housing benefits for nonentitlement communities, and created or retained 27,487 jobs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 570, 24 CFR Part 91, 24 CFR Part 58.

**Regional or Local Office:**

Contact the appropriate HUD Field Office listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>. Contact the Honolulu Field Office for the non-entitled Hawaii counties.

**Headquarters Office:**

State and Small Cities Division, Office of Block Grant Assistance, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, SW., Washington, DC 20410. Telephone: (202) 708-1322; e-mail: Diane.L.Lobasso@hud.gov.

**Web Site Address:**

[http://www.hud.gov/offices/cpd/about/cpd\\_programs.cfm](http://www.hud.gov/offices/cpd/about/cpd_programs.cfm).

**RELATED PROGRAMS:**

14.218, Community Development Block Grants/Entitlement Grants; 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas.

**EXAMPLES OF FUNDED PROJECTS:**

Projects are selected by States.

**CRITERIA FOR SELECTING PROPOSALS:**

All States are eligible if they meet the requirements outlined in Credentials/Documentation. States are responsible for determining the methods of distribution of funds to their units of general local government in nonentitlement areas.

## 14.231 EMERGENCY SHELTER GRANTS PROGRAM

(ESG)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended, 42 U.S.C. 11371-78.

**OBJECTIVES:**

To help improve the quality of emergency shelters and transitional housing for the homeless, to make available additional shelters, to meet the costs of operating shelters, to provide essential social services to homeless individuals, and to help prevent homelessness.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grantees may use the grant for one or more of the following activities relating to emergency shelter and transitional housing for the homeless: (1) renovation, major rehabilitation, or conversion of buildings for use as shelters for the homeless; (2) provision of essential services to the homeless (not more than 30 percent of the grant, unless waived by HUD); (3) payment of operations (not more than 10 percent of the grant for staff management costs), maintenance, rent, repair, security, fuel, equipment, insurance, utilities, and furnishings; and (4) homeless prevention activities (not more than 30 percent of the grant), and (5) administrative costs not to exceed five percent of the ESG grant. In the case of State grantees, the grant for administration must be shared with funded recipients.

**Applicant Eligibility:**

States, metropolitan cities, urban counties, and territories. Local governments receiving formula allocations may distribute all or part of their grants to nonprofit recipients to be used for ESG activities. State grantees must distribute ESG funds to local governments, or directly to nonprofit organizations with the approval of the local government. Only local governments and nonprofit organizations may apply for ESG funds directly from States. The territories receive their allocations based on their population size.

**Beneficiary Eligibility:**

Homeless families and individuals, and low-income persons in immediate risk of losing their housing due to eviction, foreclosure, or utility shutoffs.

**Credentials/Documentation:**

States, metropolitan cities, urban counties, and territories that elect to participate in the program must submit (1) an approved Consolidated Plan; and (2) certifications that each grantee will (a) supplement the assistance provided under the program with an equal amount of funds from other sources, except for State grantees under the \$100,000 exemption, (b) ensure that any building using ESG funds will continue as a homeless shelter for specified periods, (c) ensure that assisted rehabilitation is sufficient to make the structure safe and sanitary, (d) provide for a procedure to ensure the confidentiality of victims of domestic violence, and assist homeless individuals in obtaining appropriate supportive

services and other available assistance, and (e) meet other generally applicable requirements, such as nondiscrimination and equal opportunity. Costs will be determined in accordance with OMB Circular No. A-133 for State and local governments. State grantees are exempt from matching the first \$100,000 of their award, but States must certify that they will provide the benefits of that exemption to local government and nonprofit recipients.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the State office or official designated as the single point of contact for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The Consolidated Plan required by 24 CFR Part 91 must be used for this program.

**Application Procedure:**

Application Procedure: To be eligible, each grantee must have a HUD-approved Consolidated Plan, which contain descriptions of the community's homeless assistance needs, details available resources, and provides a five-year plan and an annual action plan. The annual action plan specifies new projects being funded, along with any revisions in the overall document. Each participating grantee must submit certifications required by HUD.

**Award Procedure:**

The HUD field office reviews the grantee's Consolidated Plan and, if approved, executes a grant agreement.

**Deadlines:**

Each State, metropolitan city, urban county, and territory grantee should submit its Consolidated Plan to its local HUD office no later than 45 days before the start of its program year as required by 24 CFR Part 91.

**Range of Approval/Disapproval Time:**

The Consolidated plan is generally approved in 10 working days or deemed approved by HUD within 45 days of receipt.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

After the ESG appropriation is set aside for the territories, the amount of each grant for formula grantees is determined by the Community Development Block Grant (CDBG) formula using several objective measures of community need, including poverty, population, housing overcrowding, age of housing and growth lag. Allocations among the territories are based on their populations. If, according to the formula, an eligible government receives less than .05 percent of the yearly appropriation, then that grant is added to the allocation for that State. A State must allocate to its local governments or to nonprofit organizations the entire grant, except for the up to five percent used to administer the grant. The administrative funds must be shared with local government grantees in that State. Grantees must match grant funds with an equal amount of funds from other sources including donated material or a building, leasehold value, additional staff salaries, and volunteer time.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Grant awards should be made within 45 days of HUD's receipt and approval of the Consolidated Plan. A State should make available to its recipients all of its grant allocation within 65 days of the date of the grant award by HUD. A State recipient should have its entire grant obligated by 180 days from the date on which the State made the grant available to it, and spent the entire grant within 24 months of this date. For State homeless prevention funds, the State may continue to make available homeless prevention funds within 180 days of grant award. State recipients that are local government agencies and nonprofit organizations then have 30 days to obligate the funds, and up to 24 months to spend them. Each local government grantee should have all of its grant funds obligated by 180 days from its grant award by HUD, and entirely spent within 24 months.

**Reports:**

Each grantee shall annually report on its uses of funds and program progress in a HUD-approved format within 90 days after the close of its program year. State and local governments report via an on-line computer linkup with HUD, and a consolidated annual performance and evaluation report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Institutions," State and local governments that expend total Federal financial assistance of \$500,000 or more within their fiscal year must have an independent financial audit conducted for that year. This single audit combines the government's annual financial statement audit with additional audit coverage of its Federal funds.

**Records:**

According to the ESG regulations, grantees and recipients must retain records for four years from the date of submission of the annual performance report.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Grants) FY 07 \$160,000,000; FY 08 est \$160,000,000; and FY 09 est \$160,000,000.

**Range and Average of Financial Assistance:**

Each grantee shall annually report on its uses of funds and program progress in a HUD-approved format within 90 days after the close of its program year. State and local governments report via an on-line computer linkup with HUD, and a consolidated annual performance and evaluation report.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that all 360 365 eligible governments awarded funds will apply, and that all 360 365 awards will be granted in FY 20072008. The States and entitlement communities make grants to thousands of homeless emergency shelters and transitional housing programs to assist them in maintaining and operating their facilities and providing essential services to homeless clients. In additions, financial assistance and services are provided to help prevent families and individuals from becoming homeless.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by streamlined final regulations published in the Federal Register on October 2, 1996, at 24 CFR Part 576. A comprehensive "Emergency Shelter Grants (ESG) Program Desk Guide" is available from HUD at 1-800-998- 9999, Or or can be found on the ESG homepage on HUD's Website at <http://www.hud.gov/offices/cpd/homeless/library/esg/esgdeskguide/>.

**Regional or Local Office:**

Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Headquarters Office: Michael RoanhouseRobyn Raysor, Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-1226402-4891, E-mail: Michael\_RoanhouseRobyn.S.Raysor@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/homeless/programs/esg/index.cfm>.

**RELATED PROGRAMS:**

14.235, Supportive Housing Program; 14.238, Shelter Plus Care; 14.241, Housing Opportunities for Persons with AIDS; 97.024, Emergency Food and Shelter National Board Program; 93.151, Health Center Grants for Homeless Populations.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed ESG projects are part of the prospective grantee's Consolidated Plan, which are reviewed according to criteria set forth in 24 CFR 91.

**14.235 SUPPORTIVE HOUSING PROGRAM**

(Transitional Housing; Permanent Housing for Homeless Persons with Disabilities; Innovative Supportive Housing; Supportive Services for Homeless Persons not in Conjunction with Supportive Housing; Safe Havens; and HMIS.)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, Subtitle C, as amended.

**OBJECTIVES:**

The Supportive Housing Program is designed to promote the development of supportive housing and supportive services to assist homeless persons in the transition from homelessness and to enable them to live as independently as possible. Program funds may be used to provide: (i) transitional housing within a 24-month period as well as up to six months of follow-up services to former residents to assist their adjustment to independent living; (ii) permanent housing provided in conjunction with appropriate supportive services designed to maximize the ability of persons with disabilities to live as independently as possible; (iii) supportive housing that is, or is part of, a particularly innovative project for, or alternative method of, meeting the immediate and long-term needs of homeless individuals and families; (iv) supportive services for homeless individuals not provided in conjunction with supportive housing,(v) safe havens for homeless individuals with serious mental illness currently residing on the streets who may not yet be ready for supportive services; and (vi)HMIS for developing management information systems to maintain data on beds, units and homeless individuals.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Eight types of assistance may be provided for Supportive Housing: acquisition of structures for use as supportive housing or in providing supportive services; rehabilitation of structures for use as supportive housing or in providing supportive services; new construction of buildings for use as supportive housing under limited circumstances; leasing of structures for use as supportive housing

or in providing supportive services; operating costs of supportive housing; costs of providing supportive services to homeless persons; costs of implementing and operating management information systems; and administrative costs not to exceed five percent of the SHP grant.

**Applicant Eligibility:**

States, local governments, other governmental entities, private nonprofit organizations, and community mental health associations that are public nonprofit organizations.

**Beneficiary Eligibility:**

Homeless individuals and families with children.

**Credentials/Documentation:**

Private nonprofit entities must establish eligibility based on documentation showing they have tax exempt status under Section 501(c)(3) of the Internal Revenue Code; are a certified United Way Agency; or have a voluntary board and a functioning accounting system.

**Preapplication Coordination:**

An environmental assessment is required for this program. Any application that HUD determines would have a significant adverse impact on the human environment would not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372.

**Application Procedure:**

One application package prescribing the specific information that applicants must submit is available. The standard application forms as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan and must be permissible under applicable zoning ordinances and regulations.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and prepares a Grant Agreement for those applications selected.

**Deadlines:**

A Notice of Fund Availability announces deadlines for completed applications and time frames for HUD selections.

**Range of Approval/Disapproval Time:**

Processing of applications will take place in HUD Field Offices and at HUD Headquarters, and selection of successful applicants will take place at HUD Headquarters. HUD will make its final selections and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal funding decision if they believe a HUD error has occurred.

**Renewals:**

Information on renewals is contained in the Notice of Fund Availability and the application package.

**Formula and Matching Requirements:**

Recipients must match grants for acquisition, rehabilitation, and new construction, with an equal amount of funds from other sources. Recipients must also provide a cash match for support services and operations. The Supportive Housing Program will pay no more than 80 percent of total support service costs, 75 percent of total operating costs or 80 percent of total HMIS costs.

**Length and Time Phasing of Assistance:**

Grants may be made available for up to 3 years for leasing, operating, supportive services and HMIS costs.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD.

**Audits:**

The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 45. Private nonprofit entity recipients are subject to the audit requirements of 24 CFR 44. Both 24 CFR Part 44 and 45 stipulate that grant recipients and their subgrantees provide audits in accordance with OMB Circular No. A-133. HUD may perform further and additional audits as it finds necessary or appropriate. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Each recipient must agree to participate in an evaluation of the program, and to keep any records and make any reports that HUD may require for the purpose of reporting to Congress on the cost of the program and the social, financial, and other advantages of supportive housing components as a means of assisting homeless persons.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Grants) FY 07 \$951,924,000; FY 08 est \$1,059,172,000 and FY 09 est

\$1,096,317,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: (1) Acquisition and/or rehabilitation construction grants for the Supportive Housing Program may not exceed 200,000 (up to \$400,000 in high cost areas); new construction may not exceed \$400,000; (2) funding of up to 75 percent for operating costs; (3) funding of up to 80 percent for supportive services and HMIS costs; and (4) the program provides grants for leasing costs for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

5,235 applications were received for the Supportive Housing Program as of the end of fiscal year 2007. 4,964 project applications received conditional grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 583 published in the Federal Register. Other program information is available from Community Connections at (1-800) 998-9999.

**Regional or Local Office:**

Designated contact person for the Supportive Housing Program in HUD Field Offices with a Community Planning and Development Division.

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-4300. Use the same number for FTS. E-mail: Robyn.S.Raysor@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231, Emergency Shelter Grants Program; 14.238, Shelter Plus Care; 14.241, Housing Opportunities for Persons with AIDS; 14.249, Section 8 Moderate Rehabilitation Single Room Occupancy.

**EXAMPLES OF FUNDED PROJECTS:**

Information not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications for assistance are defined in a Notice of Funding Availability in the Federal Register.

## 14.238 SHELTER PLUS CARE

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Subtitle F of Title IV of the McKinney-Vento Homeless Assistance Act of 1987 as amended, 42 U.S.C.11403.

**OBJECTIVES:**

The Shelter Plus Care Program provides rental assistance, in connection with supportive services funded from sources other than this program, to homeless persons with disabilities (primarily persons who are seriously mentally ill; have chronic problems with alcohol, drugs, or both, or have acquired immunodeficiency syndrome and related diseases) and their families. The program provides assistance through four components: (1) Tenant-based Rental Assistance (TRA); (2) Sponsor-based Rental Assistance (SRA); (3) Project-based Rental Assistance (PRA); (4) and Single Room Occupancy for Homeless Individuals (SRO).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Homeless persons with disabilities and their families. Homeless persons with disabilities.

**Applicant Eligibility:**

An eligible applicant is a State, unit of general local government, or public housing agency (PHA).

**Beneficiary Eligibility:**

Homeless persons with disabilities and their families. Except in single room occupancy dwellings that are only for homeless individuals with disabilities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Governmental entities and public housing agencies will certify to their eligibility.

**Preapplication Coordination:**

An environmental assessment is required for this program. Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372.

**Application Procedure:**

An electronic application package prescribing the specific information that applicants must submit through the local Continuum of Care (CoC) is available from HUD through the annual CoC Notice of Fund Availability, found at

<http://hudhre.info>. The standard electronic application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked, in accordance with the Notice of Fund Availability (NOFA).

**Deadlines:**

A Notice of Fund Availability announces deadlines for completed applications and time frames for HUD selections.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters. HUD Headquarters will make selection and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes occurred.

**Renewals:**

One year funding for projects eligible for renewal as contained in the Notice of Fund Availability and application.

**Formula and Matching Requirements:**

Recipients must match the rental assistance by supportive services that are equal in value to the aggregate amount of rental assistance and appropriate to the needs of the population to be served.

**Length and Time Phasing of Assistance:**

HUD will provide rental assistance under the TRA and SRA components for a five year period. Rental assistance under the SRO component will be for a ten-year period. If units are rehabilitated, and meet the standards required, assistance under the PRA component will be for a ten-year period; otherwise it will be for a five-year period.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD.

**Audits:**

The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with OMB Circular No. A-133 as stipulated in 24 CFR 45. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

Grants) FY 07 \$315,226,000; FY 08 est \$350,741,000; and FY 09 est \$363,041,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: No more than ten percent of the assistance available for any fiscal year may be used for programs located within any one unit of general local government. At least ten percent of the funds available must be made available for each of the four components. In FY 2007, the average grant amount was \$374,071.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007 HUD funded 138 new Shelter Plus Care projects and 806 Shelter Plus Care renewal projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 582 Shelter Plus Care Program Final Rule.

**Regional or Local Office:**

Designated contact person or monitor for the Shelter Plus Care Program in HUD Field Offices with a Community Planning and Development Division. Program information may also be obtained from Community Connections at HUD at (1-800)998-9999.

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-4300. Use the same number for FTS. E-mail Robyn.S.Raysor@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231, Emergency Shelter Grants Program; 14.235, Supportive Housing Program; 14.241, Housing Opportunities for Persons with AIDS.

**EXAMPLES OF FUNDED PROJECTS:**

None available.

**CRITERIA FOR SELECTING PROPOSALS:**



The criteria for selecting proposals will be listed under each Notice of Fund Availability.

## 14.239 HOME INVESTMENT PARTNERSHIPS PROGRAM

(HOME Program)

### FEDERAL AGENCY:

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

National Affordable Housing Act, Title II, 1990, as amended.

### OBJECTIVES:

(1) To expand the supply of affordable housing, particularly rental housing, for low and very low income Americans; (2) to strengthen the abilities of State and local governments to design and implement strategies for achieving adequate supplies of decent, affordable housing; (3) to provide both financial and technical assistance to participating jurisdictions, including the development of model programs for developing affordable low income housing; and (4) to extend and strengthen partnerships among all levels of government and the private sector, including for-profit and nonprofit organizations, in the production and operation of affordable housing.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

For use by participating jurisdictions or Insular Areas for housing rehabilitation, tenant-based rental assistance, assistance to homebuyers, acquisition of housing and new construction of housing. Funding may also be used for other necessary and reasonable activities related to the development of non-luxury housing, such as site acquisition, site improvements, demolition and relocation. Ten percent of a participating jurisdiction's allocation may be used for administrative costs. Funds may not be used for public housing modernization, matching funds for other Federal programs, reserve accounts or operating subsidies for rental housing, Annual Contributions Contracts, or activities under the Low Income Housing Preservation Act except for priority purchasers. In December 2003, the American Dream Downpayment Act authorized a new program, American Dream Downpayment Initiative (ADDI), to be administered as a part of the HOME Program. ADDI will grant funds to all 50 states and local participating jurisdictions that have a population of at least 150,000 or will receive an allocation of at least \$50,000 under the ADDI formula. Participating jurisdictions may use ADDI funds to provide downpayment, closing costs and rehabilitation assistance to low-income families to help them achieve homeownership. Technical Assistance is available to help HOME participating jurisdictions design and implement HOME programs, including: improving their ability to design and implement housing strategies and incorporate energy efficiency into affordable housing; facilitating the exchange of information to help Participating Jurisdictions carry out their programs; facilitating the establishment and efficient operation of employer-assisted housing programs and land bank programs; and/or encouraging private lenders and for-profit developers of low-income housing to participate in public-private partnerships. Community Housing Development Organization Technical Assistance (CHDO TA) to promote the ability of CHDOs to maintain, rehabilitate and construct housing for low-income homeowners and tenants; and help women who reside in low- and moderate-income neighborhoods to rehabilitate and construct housing in these neighborhoods.

### Applicant Eligibility:

States, cities, urban counties, and consortia (of contiguous units of general local governments with a binding agreement) are eligible to receive formula allocations; funds are also set aside for grants to Insular Areas. Technical Assistance applicants: a for-profit and non-profit professional and technical services company or firm that has demonstrated capacity to provide technical assistance services; a HOME participating jurisdiction or agency thereof; a public purpose organization responsible to the chief elected official of a PJ and established pursuant to State or local legislation; an agency or authority established by two or more PJs to carry out activities consistent with the purposes of the HOME program; a national or regional non-profit organization that has membership comprised predominantly of entities or officials of entities of PJs or PJs agencies or established organizations. CHDO Technical Assistance: public and private non-profit intermediary organizations that customarily provide services (in more than one community) related to affordable housing or neighborhood revitalization of CHDOs, or similar organizations that engage in community revitalization, including all eligible organization under section 233 of the Cranston-Gonzalez National Affordable Housing Act, as amended.

### Beneficiary Eligibility:

For rental housing, at least 90 percent of HOME funds must benefit low and very low income families at 60 percent of the area median income; the remaining ten percent must benefit families below 80 percent of the area median. Assistance to homeowners and homebuyers must be to families below 80 percent of the area median.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Specific requirements of 24 CFR part 85 apply to participating jurisdictions, State recipients and any governmental subrecipient receiving HOME funds. OMB Circular No. A-122 and specific requirements of 24 CFR part 84 apply to nonprofit subrecipients which are not governmental.

### Preapplication Coordination:

HUD produces an annual list of each jurisdiction's formula allocation. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including HOME. The annual action plan must describe how the funds will be used. The technical assistance funds are awarded on a competitive basis through a national competition, under the Notice of Fund Availability. An application package prescribing the specific information that an applicant must submit will be available from HUD when the NOFA is published in the Federal Register.

### Award Procedure:

The responsible HUD Field Office notifies grantees of the formula awards. HUD prepares the grant agreement for formula applicants and for those applications selected on a competitive basis.

### Deadlines:

Action plans should be submitted to HUD at least 45 days before the start of the program year. In no event will HUD accept a submission earlier than November 15 or later than August 16 of the federal fiscal year for which funds are allocated. The Notice of Funding Availability for technical assistance for competitive grants announces deadlines for applications.

### Range of Approval/Disapproval Time:

HUD will review for completeness and consistency with the purposes of the Act, within 45 days of receipt from a jurisdiction. The selection of successful competitive technical assistance applicants will take place at HUD Headquarters.

### Appeals:

Formula allocations may not be appealed.

### Renewals:

Every fifth year, localities submit a Consolidated Plan. Each year jurisdictions must submit an action plan and certifications. A new application procedure is initiated for each technical assistance request.

### Formula and Matching Requirements:

The formula is a system of factors established to reflect a jurisdiction's need for an increased supply of affordable housing for low and very low income families. Designed by HUD to meet statutory criteria, it is based on a jurisdiction's inadequate housing supply, substandard housing, the number of low income households in housing units likely to be in need of rehabilitation, the cost of producing housing, poverty, and the relative fiscal incapacity of the jurisdiction to carry out housing activities without Federal assistance. A separate formula based on need and prior commitment to homebuyer assistance is used to allocate ADDI funds to participating jurisdictions. Each jurisdiction must make matching contributions to affordable housing throughout a fiscal year in an amount not less than 25 percent of the HOME funds drawn from the U.S. Treasury during the federal fiscal year for projects. Jurisdictions in fiscal distress receive full or partial (50 percent) relief from this requirement.

### Length and Time Phasing of Assistance:

Grant funds are drawn down from the U. S. Treasury based upon individual project development progress. The HOME program uses an electronic fund transfer disbursement and information system. Once drawn down, funds must be expended within fifteen days. All funds must be committed within 24 months and expended within 5 years.

### Reports:

Financial management and annual performance reports.

### Audits:

In accordance with 24 CFR Part 44 and OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

### Records:

Records which enable HUD to determine whether the participating jurisdiction has met the requirements of the program must be kept for the most recent five year period. Those records required to document the period of affordability must be maintained for five years beyond the required period.

### Account Identification:

86-0205-0-1-604.

### Obligations:

FY 07 \$1,715,671,000; FY 08 est \$1,654,000,000; and FY 09 est \$1,966,640,000 (NOTE: Amounts reported reflect allocation of new budget

authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

\$256,131 to \$116,046,814; \$2,607,003.

**PROGRAM ACCOMPLISHMENTS:**

As of March 31, 2008, 844,754 units were committed; 781,101 units were completed; and 162,908 families have received tenant-based rental assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 92.

**Regional or Local Office:**

Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Clifford Taffet, Director, Office of Affordable Housing Programs, Room 7164, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-2470. Use the same number for FTS. E-mail: Clifford.Taffet@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/homeprogram>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**14.241 HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS**

(HOPWA)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

AIDS Housing Opportunity Act, Public Law 101-624.

**OBJECTIVES:**

To provide States and localities with the resources and incentives to devise long-term comprehensive strategies for meeting the housing needs of persons with AIDS or related diseases and their families.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Grantees and project sponsors may use HOPWA funds to provide for any of the following eligible activities, subject to certain standards and limitations provided in the regulations: (1) Housing information services including, but not limited to, counseling, information, and referral services to assist eligible individuals to locate, acquire, finance and maintain housing; (2) Resource identification to establish, coordinate and develop housing assistance resources; (3) Acquisition, rehabilitation, conversion, lease, and repair of facilities to provide housing and services; (4) New construction (for single room occupancy (SRO) dwellings and community residences only); (5) Project- or tenant-based rental assistance including assistance for shared housing arrangements; (6) Short-term rent, mortgage, and utility payments to prevent the homelessness of the tenant or mortgagor of a dwelling; (7) permanent housing placement assistance; (8) Supportive services including, but not limited to, health, such as uncompensated costs subject to limitations at 574.310(a)(2), mental health, assessment, drug and alcohol abuse treatment and counseling, day care, nutritional services, intensive care when required, and assistance in gaining access to local, State, and Federal government benefits and services except that health services may not be provided to family members (Per the HOPWA regulations, health services may only be provided to an individual with HIV/AIDS (not family members) and payments for health-care costs are limited by 574.300(b)(7) to items and services that are not made or reasonably expected to be made under compensation programs, insurance policy, or health benefits programs. HUD issued guidance on the restricted use of HOPWA funds for AIDS Drug Assistance and other health-care costs). (9) Operating costs for housing facilities including maintenance, security, operation, insurance, utilities, furnishings, equipment, supplies, and other incidental costs; (10) Technical assistance in establishing and operating a community residence, including planning and other pre-development or pre-construction expenses and including, but not limited to, costs relating to community outreach and educational activities regarding AIDS (and the fiscal year 2004 appropriation act and subsequent acts authorize the use of funds for technical assistance, training and oversight); (11) Administrative expenses: 3 percent for grantees and 7 percent for project sponsors, including costs of staff necessary to carry out eligible activities; and (12) For competitive grants only, any other activity proposed by the applicant and approved by HUD. Restrictions: Appropriate supportive services must be provided as part of any HOPWA assisted housing. General standards for housing activities are established, including minimum use periods for structures (10 years for new construction, substantial rehabilitation or acquisition and 3 years for other non-substantial rehabilitation or repair). Resident rent payments are required for

rental assistance and for residing in rental housing. Additional standards for rental assistance, short-term supported housing, and community residences are provided.

**Applicant Eligibility:**

(1) Entitlement grants will be awarded by formula to States and qualifying cities for eligible metropolitan statistical areas (EMSAs) with the largest number of cases of AIDS. The most populous city will serve as the applicant/grantee for the EMSAs award; and (2) competitively awarded grants will be awarded to: (a) States, local governments and nonprofit organizations for special projects of national significance; and (b) projects submitted by States and localities in areas that do not qualify for HOPWA formula allocations. Nonprofit organizations are eligible to apply for projects of national significance, but may also serve as a project sponsor for other types of grants. As required by the Appropriation Act, HUD gives priority to the renewal of permanent supportive housing projects.

**Beneficiary Eligibility:**

Eligible beneficiaries are low income persons with HIV or AIDS and their families. However, regardless of income, persons living with HIV/AIDS may receive housing information. Persons living near community residences may receive educational information.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and No. A-110 and A-122 section report to private nonprofit organizations. Governmental entities will certify to their eligibility.

**Preapplication Coordination:**

An environmental assessment is required for this program. Any activity provided in an application that HUD determines would have a significant adverse impact on the human environment would not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372.

**Application Procedure:**

Government recipients must have submitted a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including HOPWA. The annual action plan must describe how funds will be used. Ten percent of HOPWA funds and the technical assistance funds are awarded on a competitive basis through a national competition, under the SuperNOFA, a Notice of Fund Availability. Application packages prescribing the specific information that applicants must submit will be available from HUD when the SuperNOFA is published in the Federal Register. The fiscal year 2008 appropriation act authorizes the Secretary to renew all expiring contracts for permanent supportive housing that were funded under section 854(c)(3) of AIDS Housing Act that meet all program requirements before awarding funds for new contracts and activities authorized under this section: Provided further, That the Secretary may use funds under this heading for training, oversight, and technical assistance activities, and amounts will be adjusted based on approved appropriations for this program.

**Award Procedure:**

HUD reviews Consolidated Plan submissions and competitive applications under the SuperNOFA. HUD prepares a Grant Agreement for formula applicants and for those applications selected on a competitive basis.

**Deadlines:**

A Notice of Funding Availability (NOFA) for competitive grants announces deadlines for applications. For formula grants, action plans associated with the Consolidated Plan must be submitted based on the grantee's operating year, but no earlier than December 1 or no later than August 16 of the fiscal year for which funds are allocated.

**Range of Approval/Disapproval Time:**

Processing of Consolidated Plan submissions will take place in HUD Field Offices and selection of successful competitive applicants will take place in HUD Headquarters with post-selection technical submissions processed in HUD Field Offices. HUD will make its final selections and obligate funds as soon as the applications are processed.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The formula for entitlement grants is found at 24 CFR 574.130. Ninety percent of appropriated amounts are to be distributed by formula entitlement. Seventy-five percent of this 90 percent is distributed to qualifying cities for eligible metropolitan statistical areas (EMSA) and eligible States for are as outside of EMSAs, based on each metropolitan area's or State's proportionate share of the cumulative number of AIDS cases in all eligible metropolitan areas and eligible States. The remaining twenty-five percent is allocated among the qualifying cities in eligible metropolitan statistical areas, but not States, where the per capita incidence of AIDS for the year (April 1 to March 31) preceding the fiscal year of the appropriation is higher than the average for all metropolitan areas with more than 500,000 population. The EMSAs allocation is based on its proportionate share of the incidence of AIDS cases. The high incidence factor is computed by multiplying: (1) the population of the metropolitan area; and (2) the difference between its twelve-month-per-capita-incidence rate and the rate

for all metropolitan areas with more than 500,000 population. HUD will use data collected by the Department of Health and Human Services, Public Health Service, Centers for Disease Control and Prevention (CDC), National Center for Infectious Diseases, Division of HIV/AIDS, definition of metropolitan areas issued by OMB, and population data provided by the Census. The CDC data utilized will be as reported as of March 31 of the fiscal year immediately preceding the fiscal year of the appropriation. Some adjustments to allocations are made in the annual appropriations acts.

**Length and Time Phasing of Assistance:**

Funds should be expended in a timely manner or may be subject to deobligation after 3 years from the date of the signing of the grant agreement or operating start date established in a grant agreement for a competitive grant, with an allowance for a one-year extension, if approved by HUD.

**Reports:**

Annual performance reporting requirements are applicable to both competitive and formula grantees which will provide information, including the number of persons assisted, the types of assistance provided, and any other information that HUD may require, to assess the overall performance and accomplishments of the grantees program activities under approved goals and objectives. Grantees must complete the annual report for each operating year in which HOPWA funds were expended, including the planned housing output by type of housing assistance, and report on this with actual accomplishment, including results for client outcomes in maintaining stable housing, reducing risks of homelessness and improved access to care. Recipients jurisdiction file a consolidated Annual Performance and Evaluation Report (CAPER) which are required and are due to HUD 90 days following the completion of the grantee's operating year along with data elements to be provided in HUD's information technology system for Consolidated Plan programs (IDIS). Information is collected periodically in the Department's Integrated Disbursement and Information System (IDIS) to provide complete annual information on the use of program and other funds.

**Audits:**

The financial management systems used by governmental entities that are grantees or project sponsors of other grantees must provide for audits in accordance with 24 CFR 85. A nonprofit organization serving as a grantee or project sponsor for a grantee is subject to the audit requirements set forth in 24 CFR part 84.

**Records:**

Grantees will ensure that records are maintained for a seven-year period to document compliance with the program. Grantees must maintain current and accurate data on the race and ethnicity of program participants.

**Account Identification:**

86-0308-0-1-604.

**Obligations:**

(Grants) FY 07 \$286,110,000; FY 08 est \$300,100,000; and FY 09 est \$300,100,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

The range of Fiscal Year 2008 formula allocations is \$56,811,000 to the largest grant and \$115,000 to the smallest grant; Grants selected under the fiscal year 2008 competition are pending selection as renewal or new projects; the FY 2007 selections range in size from \$269,278 to \$1,424,500.

**PROGRAM ACCOMPLISHMENTS:**

HOPWA program addresses the housing needs of low-income persons with HIV/AIDS and their families. Assistance enables these special needs households to establish or maintain stable housing, reduce their risks of homelessness and improve their access to health-care and other support. Housing also serves as a base from which to participate in advances in HIV treatment and related care. HOPWA funds have helped many communities establish strategic AIDS housing plans, better coordinate local and private efforts, fill gaps in local systems of care, and create new housing resources. In assisting low-income persons who are living with HIV or AIDS and their families avoid homelessness, grantees have provided for a wide-array of housing with social services and engage in program planning and development activities in connection with health-care, AIDS drug assistance and other support offered through community-wide efforts. Formula and competitive grantees are reporting that 67,850 units of housing have been supported through HOPWA funds in program year 2006-7. Grantees also report that about 91 percent of HOPWA's beneficiaries have family incomes of less than \$1,000 per month and all families are low-income (less than 80 percent of area median income), including 77 percent with extremely low incomes (less than 30 percent of area median incomes).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Rule at 24 CFR 574, as amended; and Consolidated Plan Final Rule at 24 CFR part 91.

**Regional or Local Office:**

Designated Community Planning and Development staff in each HUD Field Office. HUD Field Offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Vos, Director, Office of HIV/AIDS Housing, Community Planning and Development, Department of Housing and Urban Development, 451 Seventh Street S.W., Room 7212, Washington, DC 20410. Telephone: (202) 708-1934,

(1-800) 877-8339 TTY, E-Mail: HOPWA@hud.gov. Information on HOPWA is also available on the HUD home page on the world wide web at <http://www.hud.gov/offices/cpd/aidshousing>. HOPWA Technical Assistance is available to HOPWA grantees and Project Sponsors through the HOPWA National Technical Assistance program.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/aidshousing>.

**RELATED PROGRAMS:**

14.218, Community Development Block Grants/Entitlement Grants.

**EXAMPLES OF FUNDED PROJECTS:**

AIDS Alabama, Inc., of Birmingham was awarded a 2007 HOPWA renewal grant of \$879,963 to continue the Alabama Rural AIDS Project. This permanent housing support reaches 27 households through the use of small housing facilities operated by local providers in the state's 35 most rural counties. The Delaware HIV Consortium was awarded a HOPWA 2007 renewal grant of \$749,291 to continue Women's Space, involving the operation of a permanent housing facility which provides 10 units of housing and on-site supportive services to assist women with HIV/AIDS address co-occurring substance use and/or mental health disorders. Broward House, Inc., Recently Incarcerated Substance Abuse Housing (RISAH) in Fort Lauderdale, Florida was awarded a new 2007 HOPWA Special Project of National Significance grant of \$1,339,000. RISAH will provide nine units of double occupancy transitional housing and substance abuse treatment to 36 post incarcerated individuals annually. Contact: Greyston Health Services Inc., 23 Park Avenue, Younkers, NY 10703. Steven Brown, President and CEO, Telephone: (914) 376-3900; Fax: (914) 376-1333; and E-mail: [sabrown@greyston.org](mailto:sabrown@greyston.org).

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants, the Statute establishes rating criteria with more specific detail outlined within the published in a NOFA and by a CPD notice on renewals.

## 14.244 EMPOWERMENT ZONES PROGRAM

(Empowerment Zones and Enterprise Communities)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1993, Title XIII, Public Law 103-66, Sections 952-954; Taxpayer Relief Act of 1997, Public Law 105-34; Community Renewal Tax Relief Act of 2000, Public Law 106-554.

**OBJECTIVES:**

The purpose of this program is to establish Renewal Communities (RCs) and Empowerment Zones (EZs) in certain distressed urban and rural areas, to reduce poverty and to stimulate business growth, job creation, and other aspects of economic and community development primarily through billions of dollars in tax incentives for businesses to hire residents of these communities, expand their facilities, and upgrade their equipment needs. The Department of Housing and Urban Development (HUD) has designated 40 RCs in one competition to date. Twenty-eight of these RCs are in urban areas and twelve are in rural areas. HUD has designated 30 EZs to date in three separate competitions and all of these EZs are in urban areas. No RC or EZ has more than 200,000 residents. More information regarding the objectives of the Renewal Community and Empowerment Zone programs is available at [www.hud.gov/cr](http://www.hud.gov/cr). The tax incentives are described in IRS Publication 954 and on IRS forms including forms 8844 and 8850. total area of the noncontiguous parcels must not exceed 2,000 acres; (f) Is located entirely within the jurisdiction of the unit or units of general local government making the nomination, and is located in no more than two contiguous States; and (g) Does not include any portion of a central business district, as this term is used in the most recent Census of Retail Trade, unless the poverty rate for each census tract in the district is not less than 35 percent.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

DESIGNATION AS AN EMPOWERMENT ZONE. Currently, grant funds are available over the life of the program under the provisions of the appropriations statutes enacted by Congress and the business tax incentives for RCs and EZs extend through 2009.

**Applicant Eligibility:**

Eligible applicants were one or more units of general local government, along with the State or States in which they were located, that nominated an area meeting the criteria for eligibility of nomination, including population thresholds, poverty, unemployment and distress criteria, and boundary and geographic size limitations. HUD designated areas from among the nominations submitted. The designations continue until December 31, 2009.

**Beneficiary Eligibility:**

Residents and businesses in designated urban areas. To determine if an address qualifies for the business tax incentives visit [www.hud.gov/crlocator](http://www.hud.gov/crlocator).

**Credentials/Documentation:**



Interested persons should visit HUD's Renewal Community/Empowerment website [www.hud.gov/cr](http://www.hud.gov/cr) and the USDA Empowerment Zone website [www.ezec.gov](http://www.ezec.gov) periodically for information on applying for future competitions to designate additional Renewal Communities and/or Empowerment Zones, and for information on taking advantage of the benefits in an existing RC or EZ. HUD designated EZs in 1994, 1998, and 2002, and RCs in 2002. There is currently no authority for HUD to make additional designations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Interested persons should visit HUD's website for the Renewal Community and Empowerment Zone programs [www.hud.gov/cr](http://www.hud.gov/cr), and the USDA website for the rural Empowerment Zone program [www.ezec.hud](http://www.ezec.hud), periodically for information on any upcoming competitions and detailed information on procedures required to apply for a Renewal Community or Empowerment Zone designation.

**Award Procedure:**

The Secretary of HUD will review applications for the designation of nominated urban areas to determine the quality of the strategic plans submitted by nominating State local government(s); other factors established by HUD; and geographic diversity.

**Deadlines:**

Applications must be received by the deadline established by the Secretary of HUD.

**Range of Approval/Disapproval Time:**

4 to 6 months following application deadline if authority to make additional designations is provided.

**Appeals:**

The Secretary of HUD may waive for good cause any provision of the program not required by statute, where it is determined that the requirement would produce a result adverse to the purpose and objectives of the program.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Period of designation: The December 31, 2001, designation of areas as new Empowerment Zones and Renewal Communities shall remain in full effect during the period beginning on the date of designation and ending on the earliest of: (a) December 31, 2009; (b) The termination date designated by the State and local governments in their application for nomination; or (c) The date the Secretary modifies or revokes the designation.

**Reports:**

HUD will require periodic reports for the Empowerment Zones and Renewal Communities designated pursuant to this part. These reports will identify the community, local government and State actions which have been taken in accordance with the strategic plan and tax incentive utilization plan. In addition to these reports, such other information relating to designated Empowerment Zones and Renewal Communities as HUD shall request from time to time, including information documenting nondiscrimination in hiring and employment by business within the designated Empowerment Zone or Renewal Community, shall be submitted promptly.

**Audits:**

Periodic performance reviews. HUD will regularly evaluate the progress of the strategic plan and tax incentive utilization plan in each designated Empowerment Zone and Renewal Community on the basis of performance reviews to be conducted on site and other information submitted. HUD may also commission evaluations of the Empowerment Zone and Renewal Community programs as a whole by an impartial third party, at such intervals as HUD may establish.

**Records:**

None.

**Account Identification:**

86-0315-0-1-451; 86-0315-4-1-451.

**Obligations:**

FY 07 \$0; FY 08 est \$0; and FY 09 est \$0. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

HUD awarded EZ grants totaling \$25.6 million to each of the 15 round II urban EZs in varying amounts from 1998-2005. The round I EZs received grants funded by the US Department of Health and Human Services. The round I and II EZs also receive the business tax incentives. Under current law, Renewal Communities and Round III EZs receive only the tax incentives.

**PROGRAM ACCOMPLISHMENTS:**

On December 31, 2001, HUD designated 8 new urban Round III Empowerment Zones, as well as 40 Renewal Communities in urban and rural areas nationwide. The tax credits claimed by sole proprietor business owners for hiring a resident of a Renewal Community or Empowerment Zone to work in the designated area increased from \$61 million in 2002 to \$105 million in 2004 to almost \$128 million in 2005. The certificates filed by employers with state governments to claim the Work Opportunity Tax Credits for hiring youth or summer youth

residents of the areas increased from 35,077 in 2003 to 83,758 in 2005. The allocations of commercial revitalization deductions for construction of commercial and industrial buildings in the Renewal Communities increased from \$209 million in 2003 to \$259 million in 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 598 and 599 Designation of Round III Urban Empowerment Zones and Renewal Communities; Interim Rule. Part 598 was amended on December 13, 2007. Also, see "Tax Incentive Guide for Business in the Renewal Communities, Empowerment Zones and Enterprise Communities", "Tax Incentives + Businesses = Jobs," and "Spotlight on Results," all of which are available by calling (1-800)998-9999.

**Regional or Local Office:**

All HUD Field offices with a Community Planning and Development Division, ATTN: Director of Community Planning and Development. See Appendix IV of the Catalog for Field Offices addresses/phone numbers.

**Headquarters Office:**

HUD Office of Community Planning and Development, Office of Community Renewal. Telephone: (202) 708-6339.

**Web Site Address:**

<http://www.hud.gov/cr>.

**RELATED PROGRAMS:**

10.772, Empowerment Zones Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Interested parties should visit HUD's website for the Renewal Community and Empowerment Zone programs ([www.hud.gov/cr](http://www.hud.gov/cr)) and the USDA website for the rural Empowerment Zone program ([www.ezec.hud](http://www.ezec.hud)) periodically for information on any upcoming competitions and detailed information on criteria to be used to select proposals for Renewal Community and Empowerment Zone designations.

## 14.246 COMMUNITY DEVELOPMENT BLOCK GRANTS/BROWNFIELDS ECONOMIC DEVELOPMENT INITIATIVE

(BEDI; Section 108)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Section 108(q), as amended, Public Law 93-383.

**OBJECTIVES:**

To return Brownfield's to productive economic use by assisting units of general local government in carrying out economic development projects on contaminated land or buildings. BEDI grants are designed to enhance the security of loans guaranteed under the Section 108 program or improve the viability of projects financed with Section 108 funds.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance may be used for any activity eligible under Section 108(a) of the Housing and Community Development Act of 1974, except that fiscal year 2008 grant funds may not be used to fund reserves. Grant funds may only be used in conjunction with a new, that is, not yet approved, Section 108 Loan for the same project.

**Applicant Eligibility:**

Units of general local government.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Proposed activities must be consistent with a unit of general local government's consolidated plan submitted for HUD's Community Planning and Development programs. Proposed activities must also meet applicable citizen participation requirements. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposals may only be submitted in response to competitions announced in a Federal Register publication. The Federal Register publication of a Notice of Funds Availability (NOFA) will detail the purpose of each separate program, the application deadlines, the funds available for each competition, the submission requirements and the competitive factors that will be considered in awarding grants.

**Award Procedure:**

Competitive, based upon factors published in a Federal Register NOFA.

**Deadlines:**

Applications must be submitted within the deadlines established in the published Federal Register NOFA.

**Range of Approval/Disapproval Time:**

Generally within 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Brownfields EDI grant funds may only be used in conjunction with a new Section 108-Guaranteed loan for the same project.

**Length and Time Phasing of Assistance:**

Projects should be completed within a five year period. Funds would be accessed by line of credit in the same ratio as the amount of BEDI grant funds compared with the amount of Section 108 Loan funds committed by the applicant for the project.

**Reports:**

All reporting is made in connection with an eligible public entity's Community Development Block Grant program reporting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The applicant must maintain records with regard to subrecipient and activity eligibility, national objectives, financial management, citizen participation, relocation, environmental impact, labor standards, equal opportunity and other requirements set forth in the regulations.

**Account Identification:**

86-0314-0-1-451; 86-0162-0-1-451.

**Obligations:**

(Grants) FY 07 \$9,900,000; FY 08 est \$10,000,000; and FY 09 est \$0. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

Fiscal Year 2007 range of assistance was \$480,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, 46 BEDI applications were received with 14 funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations are the same as for the Community Development Block Grants found at 24 CFR Part 570.

**Regional or Local Office:**

Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Kaminsky, Economic Development Specialist, Office of Economic Development, Community Planning and Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 402-4612 E-mail: david.kaminsky@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/economicdevelopment/programs/>.

**RELATED PROGRAMS:**

14.218, Community Development Block Grants/Entitlement Grants; 14.228, Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii.

**EXAMPLES OF FUNDED PROJECTS:**

A wide-range of economic development activities including commercial, industrial and residential economic development projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Based upon competitive factors contained in the NOFA.

**14.247 SELF-HELP HOMEOWNERSHIP OPPORTUNITY PROGRAM**

(Self-Help Homeownership Opportunity Program-SHOP)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Opportunity Extension Act of 1996, Section 11, as amended.

**OBJECTIVES:**

To facilitate and encourage innovative homeownership opportunities through the provision of self-help housing where the homebuyer contributes a significant amount of sweat equity toward the construction of the dwellings.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Eligible expenses for program funds are land acquisition and infrastructure improvements, which taken together may not exceed an average of \$15,000 in assistance per dwelling. Additionally, up to 20 percent of the grant amount may be used for administrative costs.

**Applicant Eligibility:**

Funds are awarded competitively to national or regional nonprofit organizations or consortia that have experience in providing self-help housing homeownership opportunities.

**Beneficiary Eligibility:**

Eligible homebuyers are low-income families who are otherwise unable to afford to purchase a dwelling, and who provide significant amounts of sweat equity or volunteer labor to the development of the dwellings.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR part 84 for nonprofit organizations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application Procedure: Applications may be submitted electronically in response to the annual publication of the SHOP NOFA in the Federal Register. The General Section of the SuperNOFA and SHOP NOFA detail the submission requirements.

**Award Procedure:**

Based upon the requirements published in the Federal Register SuperNOFA, respondents are notified of acceptance or rejection.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Leveraging of other public and/or private resources and homebuyer sweat equity and volunteer labor are required to complete housing construction.

**Length and Time Phasing of Assistance:**

Assistance is released on an as-needed basis over a 24-month period. For affiliates that develop 5 or more dwellings units, up to a 36-month period.

**Reports:**

Quarterly and annual progress reports and final close-out reports.

**Audits:**

The audit requirements in 24 CFR part 45 (implementing OMB Circular No. A-133) apply. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the program must be kept for three years following close-out.

**Account Identification:**

86-0176-0-1-604; 86-0162-0-1-451.

**Obligations:**

(Grants) FY 07 \$19,800,000; FY 08 est \$26,500,000; and FY 09 est \$40,000,000 (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

Four grants were awarded in FY 2007. They ranged from \$2,241,245 to \$8,404,670. The average grant was \$4,699,260.

**PROGRAM ACCOMPLISHMENTS:**

1,999 units were completed in FY 2007 and over 2,500 units are under development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The statute and SHOP NOFA constitute the regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lou Thompson, Office of Affordable Housing Programs, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-2684. E-mail: louise.d.thompson@hud.gov.

**Web Site Address:**

<http://www.hud.gov/progdsc/cpdindx.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the SHOP NOFA and SuperNOFA.

**14.248 COMMUNITY DEVELOPMENT BLOCK GRANTS-SECTION 108 LOAN GUARANTEES**

(Section 108)

**FEDERAL AGENCY:**

OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Section 108 as amended.

**OBJECTIVES:**

To provide communities with a source of financing for economic development, housing rehabilitation, public facilities, and large scale physical development projects.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

For purposes of determining eligibility, the Community Development Block Grant (CDBG) rules and requirements apply. As with the CDBG program, all projects and activities must either principally benefit low- and moderate-income persons, aid in the elimination or prevention of slums and blight, or meet urgent needs of the community. The President's FY 2009 budget proposes to combine several categorical programs, including the Section 108 program, into the CDBG program.

**Applicant Eligibility:**

Eligible Applicants include: metropolitan cities and urban counties, i.e., CDBG entitlement recipients; nonentitlement communities that are assisted in their submission of applications by States that administer the CDBG program; nonentitlement communities eligible to receive CDBG funds under the HUD-Administered Small Cities CDBG program; and Insular Areas (American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands). The public entity may be the borrower or it may designate a public agency to be the borrower. Furthermore, HUD's FY 2008 appropriations act authorizes HUD to provide loan guarantees to States borrowing on behalf of local governments in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication requirements are found in 24 CFR Section 570.704. Presubmission requirements are similar to those applicable for the Community Development Block Grants program. Proposed activities must be consistent with a unit of local government's Consolidated Plan submitted for HUD's Community Planning and Development Programs. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application requirements are found in 24 CFR Section 570.704.

**Award Procedure:**

Upon approval of an application, HUD will issue to the applicant an offer of commitment to guarantee notes or other obligations issued by the applicant or its public agency designee. The commitment will be subject to compliance with applicable requirements and such conditions as HUD may specify in the commitment document. Furthermore, borrowers are required to pledge current and future CDBG funds as security for the loan guarantee. HUD also requires that the loan guarantee be secured with other collateral.

**Deadlines:**

None; applications can be submitted at any time.

**Range of Approval/Disapproval Time:**

Approximately 75 days from submission of complete application to appropriate HUD Field Office.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Formula and Matching Requirements: Section 108 has no matching requirement but Section 108 funds (like CDBG funds) may be used as local matching funds for most other Federal programs. Maximum commitment amounts are limited as follows: Entitlement Public Entities an entitlement public entity may apply for

up to five times the public entity's latest (approved) CDBG entitlement amount, minus any outstanding Section 108 commitments and/or principal balances on Section 108 loans; State assisted public entities a nonentitlement public entity may apply for up to five times the latest (approved) CDBG amount received by its State, minus any outstanding Section 108 commitments and/or principal balances on Section 108 loans for which the State has pledged its CDBG funds as security; and Nonentitlement public entities eligible under the HUD administered Small Cities Program in Hawaii and Insular Areas, the maximum commitment amount is five times the public entity's latest grant under Subpart F of 24 CFR Part 570, minus any outstanding Section 108 commitments and/or principal balances on Section 108 loans.

**Length and Time Phasing of Assistance:**

The maximum repayment period for a Section 108 loan is twenty years. Repayment schedules and forms are negotiable.

**Reports:**

The reporting requirements for Section 108 are the same as the reporting requirements for the CDBG program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The record keeping requirements of Subpart J of 24 CFR Part 570 apply to entitlement public entities receiving grants under Subpart F of 24 CFR Part 570. The record keeping requirements of Subpart I of 24 CFR Part 570 apply to State-assisted public entities.

**Account Identification:**

86-0198-0-1-451.

**Obligations:**

(Loan limitation) FY 07 \$137,500,000; FY 08 est \$200,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$223,000 to \$20,890,000; \$5,425,000.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, 37 commitments are estimated to have generated 4,108 jobs. Fiscal year 2008 estimate: 35 commitments issued and 4,100 jobs created or retained.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart M.

**Regional or Local Office:**

Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Financial Management Division, Room 7180, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/>.

**RELATED PROGRAMS:**

14.218, Community Development Block Grants/Entitlement Grants; 14.228, Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii.

**EXAMPLES OF FUNDED PROJECTS:**

A wide-range of community and economic development projects includes public facilities, housing rehabilitation projects, and economic development loan funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed against criteria set forth at 24 CFR S 570.704.

**14.249 SECTION 8 MODERATE REHABILITATION SINGLE ROOM OCCUPANCY**

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended.

**OBJECTIVES:**

The Section 8 Moderate Rehabilitation Single Room Occupancy Program provides rental assistance to homeless individuals. Under the program, HUD enters into Annual Contributions Contracts with public housing agencies (PHAs) in connection with the moderate rehabilitation of residential properties that, when rehabilitation is completed, will contain multiple single room dwelling units.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Homeless (single) individuals.

**Applicant Eligibility:**



An eligible applicant is a PHA or private nonprofit organization. Private nonprofits have to contract with a PHA to administer the rental assistance.

**Beneficiary Eligibility:**

Homeless individuals.

**Credentials/Documentation:**

Private nonprofit organizations and public housing agencies will certify to their eligibility.

**Preapplication Coordination:**

An environmental assessment is required for this program. Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372.

**Application Procedure:**

An application package prescribing the specific information that applicants must submit is available from HUD through the annual Continuum of Care Notice of Fund Availability. The standard application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked.

**Deadlines:**

A Notice of Fund Availability announces deadlines for completed applications and time frames for HUD selections.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters, HUD Headquarters will make selection. Funds, however, will not be obligated until the technical submission is approved.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes has occurred.

**Renewals:**

On an annual basis, dependent on fund availability.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Under the SRO Program, an eleven-year Annual Contribution Contract (ACC) is signed by the PHA with HUD. After the ACC is signed, the PHA and owner sign an AHAP and the owner has 12 months from the date of ACC execution to complete rehabilitation on the project. Once the rehabilitation is completed and the PHA inspects the units to ensure compliance with HUD's physical condition standards (PCS), a 10-year Housing Assistance Payments (HAP) Contract is signed between the PHA and project owner.

**Reports:**

Each recipient must keep records and any reports as specified by HUD, such as required annual reports.

**Audits:**

The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 44. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Grants) FY 07 \$14,450,000; FY 08 est \$16,077,000; and FY 09 est \$16,642,000.

**Range and Average of Financial Assistance:**

In FY 2007, the three awards ranged from the smallest of \$255,360 to the largest of \$1,027,200 for an average award of \$536,960.

**PROGRAM ACCOMPLISHMENTS:**

This program has awarded 463 grants through the end of fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882, Subpart H Section 8 Moderate Rehabilitation Single Room Occupancy Program for Homeless Individuals; Final Rule, as well as 24 CFR, Part 5, Subparts A,E and F. Program information also available from Community Connections at HUD at 1-800-998-9999.

**Regional or Local Office:**

Designated contact person or monitor for the Section 8 SRO Program in the HUD Field Offices with a Community Planning and Development Division (see Appendix IV of the Catalog for a listing of HUD Field Offices).

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202)

708-4300. Use the same number for FTS. E-mail: Robyn.S.Raysor@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/homeless/programs/sro/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.238, Shelter Plus Care.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

## 14.250 RURAL HOUSING AND ECONOMIC DEVELOPMENT

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Public Law 105-276 - October 21, 1998.

**OBJECTIVES:**

To build capacity at the State and local level for rural housing and economic development and to support innovative housing and economic development activities in rural areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants can be used to support innovative housing and economic development activities for this program. More specific information is provided in the Notice of Funding Availability (NOFA).

**Applicant Eligibility:**

Local rural nonprofit organizations, community development corporations, Federally recognized Indian Tribes, State Housing Financing Agencies and State Community and/or Economic Development Agencies.

**Beneficiary Eligibility:**

Local and rural communities.

**Credentials/Documentation:**

As required by the NOFA.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Federal Register NOFA will detail each competition's submission requirements and the competitive funding.

**Award Procedure:**

Competition is required for grants. Awards to applicants securing the highest scores in relation to the selecting factors outlined in the NOFA.

**Deadlines:**

The NOFA will contain deadlines.

**Range of Approval/Disapproval Time:**

September 1, 2008.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

For a period of 36 months.

**Reports:**

Semi-Annual narrative and statistical reports are required.

**Audits:**

In accordance with provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each recipient must maintain records to facilitate audits of funds, disposition of proceeds, costs from all sources, in-kind/cash contributions and information on housing, and other facilities connected with the use of the funds.

**Account Identification:**

86-0324-0-1-604.

**Obligations:**

FY 07 \$16,830,000; FY 08 est \$17,000,000; and FY 09 est \$0. (Note: Amounts reported reflect allocation of new budget authority rather than obligation amounts).

**Range and Average of Financial Assistance:**

Maximum award amount is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

854 jobs were created for the period October 1, 2006 to September 30, 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thann Young, Office of Rural Housing and Economic Development, Community Planning and Development 451 7th St., S.W., Rm. 7137, Washington, DC 20410. Telephone: (202) 708-2290.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/economicdevelopment/programs/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Balancing the need for assistance with capacity of applicant to effectively use the assistance.

## 14.251 ECONOMIC DEVELOPMENT INITIATIVE-SPECIAL PROJECT, NEIGHBORHOOD INITIATIVE AND MISCELLANEOUS GRANTS

(Congressional Grants)

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Transportation, Treasury, Housing and Urban Development, the Judiciary, the District of Columbia, and Independent Agencies Appropriations Act of 2006, Public Law 109-115, Continuing Appropriations Resolution of 2007, Public Law 110-5.

**OBJECTIVES:**

The annual appropriation of funds to the Department and the accompanying Conference Report or Congressional Record accompanying the appropriation set forth grants in a specified amount to designated organizations for the activities specified by Congress.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Eligible activities and restrictions are set forth in the authorizing language enacted by Congress for each grant as well as in the appropriation of Economic Development Initiative-Special Project (EDI-SP) Neighborhood Initiative (NI) and Miscellaneous grant funds.

**Applicant Eligibility:**

The Conference Report or Congressional Record accompanying the annual appropriation of funds to the Department specifies the individual grantees eligible to receive each grant. These typically are nonprofit organizations, units of State or local government and Indian tribes.

**Beneficiary Eligibility:**

Nonprofit organizations, units of State or local government and Indian tribes.

**Credentials/Documentation:**

The Congressional authorization for an individual grant may not specify the intended recipient or may identify the intended recipient by its common rather than legal name. In such cases, organizations may be required to submit documentation (e.g., certificate of incorporation) verifying their eligibility for the grant.

**Preapplication Coordination:**

Grants are excluded from coverage under E.O. 12372.

**Application Procedure:**

The Department invites each organization authorized by Congress to receive a grant to submit an application for grant funds. The Department provides each invited organization with the required application materials.

**Award Procedure:**

Awards are made to applicants authorized by Congress to receive funds for activities consistent with the authorized use for each grant and with terms of the relevant fiscal year appropriation.

**Deadlines:**

There is no deadline for the submission of applications. Applicants are strongly encouraged to submit applications by the end of the calendar year, but applications may be submitted and approved within the time frame for obligation of grant funds, historically three fiscal years.

**Range of Approval/Disapproval Time:**

Typically, within 4 months of application submission. All applicants are notified in writing of approval. Applications that cannot be approved, either because the proposed activities are not consistent with the authorized use of the grant or the terms of the appropriation; or the organization is not designated by Congress to receive the grant, may require the applicant to seek an amendment

by Congress to the language authorizing the use of grant funds.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Implementation Grants - Funds are typically available for five years following the period of obligation (i.e., typically eight fiscal years). Funds are accessed through an established Line of Credit.

**Reports:**

Semi-annual narrative and financial reports providing the status of the approved activities. A final narrative and financial report is also required when the grant is closed.

**Audits:**

In accordance with the provisions of OMB Circular No. A 133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A 133.

**Records:**

Each recipient must maintain records to facilitate audits of funds, disposition of proceeds, costs from all sources, and information on project activities.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est \$25,970,000; and FY 09 est \$0. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

\$49,000 to \$3,000,000; Average FY 08 EDI-SP Grant \$242,098; Average FY 08 NI Grant \$713,902.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 84 or Part 85, as applicable; 24 CFR Part 50 or Part 58, as applicable; annual appropriation of funds to the Department and accompanying Conference Report or Congressional Record; Application Kit; Grant Agreement; Certificate of Project Completion and Close-out Agreement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Congressional Grants Division, Department of Housing and Urban Development, 451 7th Street S.W., Washington, DC 20410, Room 7149. Telephone: (202) 708-3773. (Use the same number for FTS).

**Web Site Address:**

<http://www.hud.gov/progdsc/cpdindx.cfm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) annual appropriation of grant funds to the Department; (2) Congressional authorization specifying amount of funds, designated recipient and authorized activity for each grant.

## 14.252 SECTION 4 CAPACITY BUILDING FOR AFFORDABLE HOUSING AND COMMUNITY DEVELOPMENT GRANTS

**FEDERAL AGENCY:**

COMMUNITY PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 4, HUD Demonstration Act of 1993, Public Law 103-120, 107 Stat. 1148, 42 U.S.C. 9816 note; as amended, Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To help improve the capacity of community organizations to develop affordable housing and other community development projects.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grantees may use the grant for one or more of the following activities relating to capacity building for affordable housing and community development: (1) Training, education, support, and advice to enhance the technical and administrative capabilities of community development corporations (CDCs) and community housing development organizations (CHDOs); (2) Loans, grants,

development assistance, predevelopment assistance, or other financial assistance to CDCs and CHDOs to carry out community development and affordable housing activities that benefit low-income families and persons; and (3) Such other activities as may be determined by the grantees in consultation with the Secretary or his designee.

**Applicant Eligibility:**

Four organizations, as specified in the authorizing legislation and amendment, are eligible: Living Cities/The National Community Development Initiative, Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, and Habitat for Humanity International.

**Beneficiary Eligibility:**

Community Development Corporations, Community Housing Development Organizations, and other nonprofit community based organizations that develop affordable housing and community development projects and programs.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR Part 84 (Uniform Administrative Requirements), OMB Circular A-122 (Cost Principles for Nonprofit Organizations), and OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). After selection for funding but prior to award, applicants must submit financial and administrative information and certifications to comply with applicable requirements. Applicants also must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability.

**Preapplication Coordination:**

This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Applications may be submitted in response to the annual publication of the Capacity Building Notice of Funding Availability (NOFA) in the Federal Register. The General Section of the SuperNOFA and the Capacity Building NOFA detail the submission requirements. There is no application kit.

**Award Procedure:**

Based upon the requirements published in the Federal Register SuperNOFA, respondents are notified of acceptance or rejection. Upon selection, the applicant and HUD shall negotiate and execute a grant agreement.

**Deadlines:**

As indicated in the Federal Register NOFA publication.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Each dollar awarded must be matched by three (3) dollars in cash or in-kind contributions obtained from private sources.

**Length and Time Phasing of Assistance:**

The performance period for the capacity building grants is 4 years. Funds must be expended within 5 years of the grant start date.

**Reports:**

Grantees shall submit semiannual and annual performance and progress reports and final closeout reports.

**Audits:**

Grantees and sub grantees shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

All records applicable to the program must be kept for three years following closeout.

**Account Identification:**

86-0176-0-1-604.

**Obligations:**

(Grants) FY 07 \$29,590,000; FY 08 est \$33,500,000; and FY 09 est \$0. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

For fiscal year 2007 there were two grant awards of \$13,070,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the capacity building program demonstrated success in several areas relating to increasing the organizational capacity of CDCs and CHDOs. Section 4 funds were used: (1) to renovate, preserve, or build 11,727 homes; (2) to provide 326 trainings to CDCs and CHDOs; and (3) to leverage \$1.87 billion in total development costs of community development projects funded by CDCs and CHDOs. The investment ratio of total project development costs to Section 4 funding was over 63:1.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The statute and the Capacity Building for Affordable Housing and Community Development NOFA constitute the regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Karen Daly, Office of Policy Development and Coordination, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, SW, Washington, DC 20410. Telephone: (202) 402-5552. E-mail: karen.e.daly@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/cpd/affordablehousing/index.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the Capacity Building for Affordable Housing and Community Development NOFA and SuperNOFA.

## 14.311 SINGLE FAMILY PROPERTY DISPOSITION

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

National Housing Act, as amended, 12 U.S.C 1710, Sections 203(b), 203(k), 204, 24 CFR 200.

**OBJECTIVES:**

To sell the inventory of HUD-acquired properties in a manner that expands home ownership opportunities, strengthens neighborhoods and communities, and ensures a maximum return to the FHA mortgage insurance fund.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

The Single Family Property Disposition Program is the marketing and sale of one to four unit properties acquired by HUD after foreclosure of an FHA-insured mortgage. Within the general program there are special disposition programs through which a portion of the property inventory is sold. These programs are referred to collectively as the Good Neighbor Initiatives and include Good Neighbor Next Door Sales program for law enforcement officer, pre-K through 12 teachers and firefighters/emergency medical technicians, Discount Sales to Nonprofits and Local Governments program and \$ HOME Sales to Local Governments program. Information for each of these programs is covered separately. The majority of foreclosed one to four unit properties are sold through the general disposition program. HUD contracts with private companies to manage and market the properties. Properties are listed for sale by each company for the company's contract area; generally, a state. The listings may be viewed by going directly to the contractor's website or visiting HUD's website at <http://www.hud.gov/offices/hsg/sfh/reo/goodn/dhmbout.cfm>, where you will be directed to the listings for your state. The listings provide the appraised value of the property, the property address, a brief description of the property and access to a Property Condition Report prepared by the contractor. Complete information explaining the sales process and earnest money requirements is also available. Bids must be submitted electronically by a real estate broker. An earnest money deposit is required with each bid submitted. Special opportunities are available for bidders who intend to occupy the purchased property as their personal residence. Properties not purchased during this Exclusive Listing Period are then available for the general public, including investors, during an Extended Listing Period. FHA financing may be available for purchasing many homes, including the FHA 203(k) and 203 Special (k) program providing a loan to purchase a property and pay for repairs or improvements as permitted by FHA rules. Interested persons should contact their FHA approved lender. Refer to <http://www.hud.gov/ll/code/llplcrit.html> for assistance in locating a lender.

**Applicant Eligibility:**

Local Governments and Nonprofit Organizations: HUD contractors in the specific area should be contacted regarding eligibility requirements. Contact HUD at Tollfree: (800) CALLFHA or (800) 225-5342 for a listing of nationwide HUD contractors. FHA Insured Financing: Generally, anyone who has a satisfactory credit rating; enough cash to close the loan; sufficient, steady income to make the monthly payments without difficulty; and who will live in the home can be approved for an FHA insured mortgage. Income is only one of several factors that apply in the lending process. Interested buyers should contact their lender for more information.

**Beneficiary Eligibility:**

Individual, governmental and organizational homebuyers.

**Credentials/Documentation:**

Nonprofit Organizations must have IRS 501(c)(3) status.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372, Intergovernmental Review of Federal Programs (or consultation with State and local governments regarding program design).

**Application Procedure:**



HUD homes are managed and marketed by private contractors. A list of contractors and the areas each serves may be found at <http://www.hud.gov/offices/hsg/sfh/reo/mm/mminfo.cfm>. The contractors list all HUD homes for sale on their individual Internet websites. Bids for a particular property can be submitted online. Purchasers must secure financing of their choice. FHA financing may be available. A list of HUD approved mortgage lenders is located at our website, <http://www.hud.gov/ll/code/llscrit.cfm>.

**Award Procedure:**

Properties are generally sold awarded to the highest bidder. Direct sales may be made where permitted by regulations.

**Deadlines:**

Bids must be submitted by the closing date indicated in the listings.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Nonprofit organizations purchasing homes at a discount must submit an annual report (see <http://www.hud.gov/groups/grantees.cfm>).

**Audits:**

None.

**Records:**

Nonprofit organizations purchasing homes at a discount must retain information about the acquisition, rehabilitation and resale of discounted properties. This includes copies of HUD-1 Settlement Statements for the resale and other documents (see <http://www.hud.gov/groups/grantees.cfm>).

**Account Identification:**

86-4070-0-1-371; 86-4072-0-1-371; 86-4077-0-1-371; 86-4587-0-1-371.

**Obligations:**

(Sales) FY 07 \$3,370,036,717.00; FY 08 est \$6,568,648,990.00; and FY 09 est \$6,722,144,770.00.

**Range and Average of Financial Assistance:**

10 to 30 percent discount off list price for Local Governments and Nonprofit Organizations.

**PROGRAM ACCOMPLISHMENTS:**

49,381 homes were sold in Fiscal Year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Regulations at 24 CFR Part 291. Program information is available on HUD's website at <http://www.hud.gov>.

**Regional or Local Office:**

Contact the appropriate HUD Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For policy questions, contact the Asset Management and Disposition Division, Office of Single Family Housing, Department of Housing and Urban Development. Telephone: (202) 708-1672 (this is not a toll free number).

**Web Site Address:**

[http://www.hud.gov/offices/hsg/sfh/reo/reo\\_home.cfm](http://www.hud.gov/offices/hsg/sfh/reo/reo_home.cfm)

**RELATED PROGRAMS:**

14.108, Rehabilitation Mortgage Insurance; 14.117, Mortgage Insurance\_Homes; 14.198, Good Neighbor Next Door Sales Program; 14.313, Dollar Home Sales.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

### 14.313 DOLLAR HOME SALES

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Notice 00-07, dated April 28, 2000 (and subsequent extensions).

**OBJECTIVES:**

To expand HUD's partnership with local governments in helping to foster housing opportunities for low-to-moderate income families and address specific community needs.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Single family homes that are acquired through foreclosure of Federal Housing Administration (FHA) insured loans will be available for purchase by local governments at a price of \$1 plus closing costs, after the properties have been

actively marketed for at least six months and remain unsold. The property must be located with the jurisdiction of the purchasing local government with the intent of using the property for a "clear public purpose".

**Applicant Eligibility:**

Local government legally authorized by local law to make the purchase.

**Beneficiary Eligibility:**

Low- to moderate-income families and communities.

**Credentials/Documentation:**

Evidence of authority to purchase.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit HUD-9548, Sales Agreement, stating a purchase price of one dollar (\$1.00) plus closing costs, together with the Addendum to Sales Contract in the form attached to Housing Notice 00-07, as further detailed in Housing Notice 00-07, to HUD by close of the 10-day listing period for a property.

**Award Procedure:**

Evaluation of the documentation required by the application procedure evidenced by HUD's execution of the Sales Agreement and approval of the purchaser's plan for use of the property.

**Deadlines:**

Local governments have 10 calendar days from the time the properties are made available to submit HUD-9548, Sales Agreement, stating a purchase price of one dollar (\$1.00) plus closing costs, together with the Addendum to Sales Contract in the form attached to Housing Notice 00-07.

**Range of Approval/Disapproval Time:**

Properties assigned to this program are offered for ten days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Local governments must agree to provide the applicable HUD Homeownership Center (HOC) Program Support Staff Director with an annual report that provides the status and details on all properties purchased under this program. The report must include information on the ultimate purchaser, the amount of profit realized on the final sale and where the profit was put back into local housing/community development.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All annual reports submitted by local governments will be maintained by HOC Program Support Staff Director.

**Account Identification:**

86-0470-0-1-371.

**Obligations:**

(Sales) FY 07 \$5,571,350,940; FY 08 est \$4,225,354,720; and FY 09 est not available.

**Range and Average of Financial Assistance:**

The average market value of the homes is approximately \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 70 \$1 homes sales are estimated for 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Regulations will be in 24 CFR Part 291. Program information is available on HUD's website at <http://www.hud.gov/offices/hsg/sfh/reo/goodn/dhmbabout.cfm>.

**Regional or Local Office:**

Contact the appropriate HUD Homeownership Center listed in Appendix IV of the Catalog.

**Headquarters Office:**

For policy questions not covered on HUD's website, contact the Asset Management and Disposition Division: 451 7th Street, SW., Washington, DC 20410; Telephone: (202) 708-1672.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/sfh/reo/goodn/dhmbabout.cfm>.

**RELATED PROGRAMS:**

14.311, Single Family Property Disposition.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.314 ASSISTED LIVING CONVERSION FOR ELIGIBLE MULTIFAMILY HOUSING PROJECTS

(ALCP)

### FEDERAL AGENCY:

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

Section 202b of the Housing Act of 1959, as amended and the Consolidated Appropriations Act, 2008 (Public Law 110-161; approved December 26, 2007).

### OBJECTIVES:

To provide private nonprofit owners of eligible developments designated primarily for occupancy by the elderly with a grant to allow the conversion of some or all of the dwelling units in the project into Assisted Living Facilities (ALFs) for the frail elderly, as defined in Section 232(B)(6) of the National Housing Act and 202(k).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Assisted living facilities (ALFs) are designed to accommodate frail elderly persons and people with disabilities who can live independently but need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities.) ALFs must provide support services such as personal care, transportation, meals, housekeeping, and laundry. Typical funding will cover basic physical conversion of existing project units, as well as related common and services space. The ALCP provides funding for the physical costs of converting some or all of the units of an eligible development into an ALF, including unit configuration, common and services space and any necessary remodeling, consistent with HUD or the State's statute/regulations (whichever is more stringent). There must be sufficient community space to accommodate a central kitchen or dining facility, lounges, recreation and other multiple-areas available to all residents of the project, or office/staff spaces in the ALF. Funding for the supportive services must be provided by the owners, either directly or through a third party.

### Applicant Eligibility:

Only private nonprofit owners of eligible multifamily assisted housing developments specified in Section 683(2)(B), (C), (D), (E), and (F) (Section 202 projects for the elderly, Rural Housing Section 515 projects receiving Section 8 rental assistance, projects receiving project-based rental assistance under Section 8, projects financed by a below-market interest rate loan or mortgage insured under Section 221(d)(3) of the Housing Act, or housing financed under Section 236 of the National Housing Act) that have been in occupancy for at least five years are eligible for funding. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a).

### Beneficiary Eligibility:

Eligible residents who meet the admissions/discharge requirements as established for assisted living by State and local licensing, or HUD frailty requirements under 24 CFR 891.205 if more stringent. The residents must be able to live independently but may need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities).

### Credentials/Documentation:

The assisted living facility must be licensed and regulated by the State (or if there is no State law providing such licensing and regulation, by the municipality or other subdivision in which the facility is located). The application must include a firm commitment for the supportive services to be offered at the ALF as part of the application. The Notice of Funding Availability contains all the necessary information for applicants to apply for the grant.

### Preapplication Coordination:

Applicants must have contacted the State licensing agency for such a project to determine if the proposed project will meet state licensing requirements. A Supportive Service Plan (SSP) for the services and coordination of the supportive services which will be offered in the ALF must be developed and submitted to the appropriate State or local organization. Applicants must comply with all applicable statutory requirements and statutory requirements under Section 232(b)(6) prior to application submission. This program is eligible for coverage under E.O. 12372.

### Application Procedure:

Applications are only accepted in response to the Notice of Funding Availability which is published in the Federal Register each fiscal year. Applicants responding to the NOFA should ensure that their application is complete before submitting it to HUD. Applications must be submitted in accordance with requirements of the NOFA. All applications received by the deadline will be screened for curable deficiencies. After the completeness review, HUD reviews

the application to determine whether it meets the threshold requirements. Only those applications that meet all of the threshold requirements will be eligible to receive an award. Applications submitted in response to the NOFA that are eligible, pass threshold and have a total score of 75 points (or more) are eligible for ranking and selection.

### Award Procedure:

Applications are reviewed and selected for funding within the funding allocation of the geographical Hub area. At the end of the technical review, all applications will be either rated or technically rejected. If an application meets all program eligibility requirements after completion of the technical review, it will be rated according to the rating selection factors. The number of points that an application receives will depend on the extent to which the application is responsive to the information requested in the selection criteria. The maximum number of points an application may receive under this program is 102.

### Deadlines:

Deadlines are specified in the NOFA. The application deadline is firm as to date and hour. In the interest of fairness to all competing applicants, the Department will treat as ineligible for consideration any application that is received after the deadline. Applicants should take this practice into account and make early submission of their materials to avoid risk of loss of eligibility brought about by any unanticipated or delivery-related problems. A FAX is not acceptable.

### Range of Approval/Disapproval Time:

A processing schedule is developed for each funding round. Applicants are provided with a decision by the end of the fiscal year (September 30th).

### Appeals:

An applicant will have fourteen (14) calendar days from the date of HUD's written notice to appeal a technical rejection. HUD will make a determination on an appeal before finalizing selection recommendations.

### Renewals:

None.

### Formula and Matching Requirements:

This program has no matching requirements. However, owners are required to find the supportive services through other funding sources.

### Length and Time Phasing of Assistance:

None.

### Reports:

Any change in the owner during the period of the capital advance must be approved by HUD. Financial and performance reports are required every six months in accordance with instructions outlined in the Grant Agreement.

### Audits:

HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

### Records:

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations as outlined in the grant agreement.

### Account Identification:

86-0320-0-1-604.

### Obligations:

Reported under program 14.157.

### Range and Average of Financial Assistance:

In FY 2007, funded applications range from \$1,315,303 to \$4,276,091 with an average of \$2,777,911.

### PROGRAM ACCOMPLISHMENTS:

Funded 218 units in FY 2005; 64 units in FY 2006; and 197 units in FY 2007.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Section 202(b) of the Housing Act of 1959, Assisted Living Conversion Program Notice of Funding Availability published May 12, 2008.

### Regional or Local Office:

Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at <http://www.hud.gov/localoffices.cfm> or at the Catalog Address Appendix IV.

### Headquarters Office:

Office of Grant Policy and Management, Department of Housing and Urban Development, Room 6138, 451 Seventh Street, SW., Washington, DC 20410. Telephone: (202) 708-3000.

### Web Site Address:

<http://www.hud.gov/offices/hsg/mfh/progdesc/alcp.cfm>.

### RELATED PROGRAMS:

14.157, Supportive Housing for the Elderly; 14.191, Multifamily Housing Service Coordinators.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Criteria for selecting proposals are in the NOFA.

## 14.315 EMERGENCY CAPITAL REPAIR GRANTS FOR MULTIFAMILY HOUSING PROJECTS DESIGNATED FOR OCCUPANCY

(ECRP)

**FEDERAL AGENCY:**

OFFICE OF HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 202b of Title II of the Housing Act of 1959, 12 U.S.C. 1701q-2 and Consolidated Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To provide private nonprofit owners of eligible developments designated primarily for occupancy by the elderly with grants to make emergency capital repairs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Emergency capital repair grants will be used to correct a situation that presents an immediate threat to the life, health and safety of project tenants. Assistance is limited to those projects with emergency problems that are of such a magnitude that the problem poses an immediate threat to the quality of life of the tenants and the continuation of the existing problem could potentially result in an evacuation of the tenants or long-term tenant displacement unless the repairs are made. The maximum amount an owner may apply for is \$500,000. The grant, along with funds from other sources, must remove the emergency condition(s).

**Applicant Eligibility:**

Only private nonprofit owners of eligible multifamily assisted housing developments designated for occupancy by elderly tenants, as specified in Section 683(2)(B), (C), (D), (E), and (F, or G of the Housing and Community Development Act of 1992 (Public Law 102-550, approved October 28, 1992) and are identified as: Section 202 direct loan projects with or without Section 8 rental assistance; Section 202 capital advance projects receiving rental assistance under their Project Rental Assistance Contract (PRAC); Section 515 rural housing projects receiving project-based rental assistance; projects subsidized with Section 221(d)(3) below-market interest mortgage, projects assisted under Section 236 of the National Housing Act; and other projects receiving Section 8 project-based rental assistance. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders enumerated in 24 CFR 5.105(a) as applicable. The eligible projects must have had closing on or before January 1, 1999.

**Beneficiary Eligibility:**

Residents of assisted housing projects designated for occupancy by elderly tenants.

**Credentials/Documentation:**

Applicants are provided all necessary information to apply for the grants in the published Federal Register notice.

**Preapplication Coordination:**

Applicants must comply with all applicable statutory requirements prior to application submission. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A notice is published in the Federal Register each year announcing the availability of funds to potential applicants. Applicants will submit a complete application, in accordance with requirements of the notice published in the Federal Register. HUD staff will review each application to determine whether the application meets the requirements of the notice. At the end of the review, all applications will be either recommended for funding or rejected. If an application meets all program eligibility requirements after completion of the review, the local Multifamily HUB Director will forward a recommendation for funding to HUD Headquarters.

**Award Procedure:**

HUD Headquarters will award the funds, if approved, in accordance with the funding queue established by the date and time of receipt of the applications in Grants.gov until the exhaustion of funds.

**Deadlines:**

There is no application deadline date. Applications are received in Grants.gov, processed in the Field Offices and funded in Headquarters on an as submitted basis.

**Range of Approval/Disapproval Time:**

The Field Offices will have 15 working days from the date and time of receipt of the application to review the application, forward to the Hub and have the Multifamily HUB Director provide a recommendation for approval/disapproval of the funding request to Headquarters.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no formula or matching requirements.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Financial and performance reports as specified in the ECRP Grant Agreement.

**Audits:**

HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular progress and financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations.

**Account Identification:**

86-0320-0-1-604.

**Obligations:**

Reported under program 14.157.

**Range and Average of Financial Assistance:**

\$2,333 to \$500,000; \$235,000.

**PROGRAM ACCOMPLISHMENTS:**

Funded 53 projects in FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Consolidated Appropriations Act, 2008 (Public Law 110-161) provides funding for grants under section 202b of the Housing Act of 1959 (12 U.S.C. 1701q-2) for conversion of eligible projects to assisted living and for emergency capital repairs as determined by the Secretary of HUD.

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and/or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

G. DeWayne Kimbrough, Director, Grant and Housing Assistance Field Support Division, Office of Multifamily Housing, Room 6146, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, DC 20410; Telephone: (202) 708-3000.

**Web Site Address:**

<http://www.hud.gov/offices/hsg/mfh/prodesc/ecrp.cfm>.

**RELATED PROGRAMS:**

14.157, Supportive Housing for the Elderly; 14.314, Assisted Living Conversion for Eligible Multifamily Housing Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Essex Manor, Saginaw, MI; Exchange Sunshine Home, Copperas, TX; and Kivel Manor, Phoenix, AZ.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are listed in the published Federal Register notice.

## 14.316 HOUSING COUNSELING TRAINING PROGRAM

**FEDERAL AGENCY:**

HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

This program supports, under cooperative agreements with HUD, the delivery of a broad array of training activities for counselors from agencies participating in HUD's Housing Counseling program. The primary objectives of the program are to improve and standardize the quality of counseling provided by housing counselors working with HUD-approved housing counseling agencies and to make training accessible and affordable.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To annually provide one or more housing counseling training grants to qualified organizations. The grant will fund the training of counselors of agencies participating in HUD's Housing Counseling program.

**Applicant Eligibility:**

Applicants must be public or private nonprofit organizations with a least two years of experience providing housing counseling training services nationwide.

**Beneficiary Eligibility:**

Housing Counselors from HUD-approved housing counseling agencies.

**Credentials/Documentation:**

Each applicant is required to submit, for itself and for any organization with which it is partnering for the purpose of this NOFA, a legible copy of the document that supports the applicant's claim to be a nonprofit organization (for example, a 501(c) letter issued by the IRS). The documentation must contain the official name, address, and telephone number of the legal authority that granted the nonprofit status. Branches or affiliates of the applicant that are part of the proposed work plan must also be nonprofit entities.

**Preapplication Coordination:**

The availability of funds (HUD SuperNOFA) is announced in the Federal



Register. For a copy of the SuperNOFA, or for the satellite broadcast schedule, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Persons with hearing or speech impairments may call the Center's TTY number at (1-800) HUD-2209. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit by the required date the items and forms requested in the SuperNOFA, such as a description of the housing counseling training services to be provided, and indicators by which benefits impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. A funding formula outlined in the SuperNOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR Part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR Part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for state and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Due dates and times for the receipt of applications for housing counseling training grants are specified in the application.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5-7 months after applications are received.

**Appeals:**

Applicants for housing counseling training grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the SuperNOFA each year.

**Formula and Matching Requirements:**

Formula is outlined in the SuperNOFA. This program has no matching requirements. However, applicants are required to demonstrate funding from other resources.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling training services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT).

**Reports:**

Grantees must submit quarterly progress reports and periodic invoices as well as final reports pursuant to the cooperative agreement.

**Audits:**

Awardees shall comply with the audit requirements of the Single Audit Act (31 U.S.C. 7501-07) and OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations (Revised June 24, 1997), as they may be amended from time to time.

**Records:**

As required in the grant cooperative agreement.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

FY 07 est \$3,000,000; FY 08 est \$3,000,000; and FY 09 est 3,000,000.

**Range and Average of Financial Assistance:**

HUD typically makes a small number of awards that range in size from \$400,000 to \$2.6 million.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, approximately 2,600 housing counselors have been trained through the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No housing counseling training regulations have been issued.

**Regional or Local Office:**

None.

**Headquarters Office:**

Persons are encouraged to contact HQs Program Support Division, Office of Insured Single Family Housing, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-0317.

**Web Site Address:**

Persons are encouraged to contact HQs Program Support Division, Office of Insured Single Family Housing, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-0317.

**RELATED PROGRAMS:**

14.169, Housing Counseling Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Neighborhood Reinvestment Corporation/dba/NeighborWorks Housing counseling training award in the amount of \$2,600,026. Date of Award: October 4, 2007.

**CRITERIA FOR SELECTING PROPOSALS:**

Outlined in the NOFA.

**14.400 EQUAL OPPORTUNITY IN HOUSING**

(Fair Housing)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Fair Housing Act, 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide fair housing throughout the United States and an administrative enforcement system which is subject to judicial review.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

With limited exceptions, no housing offered commercially for sale or rental, may be advertised, sold, leased out, financed or appraised in a manner which discriminates on the basis of race, color, national origin, religion, sex, disability or familial status (the presence of children under the age of 18 in a household or a pregnant woman). In addition, housing providers and others must allow reasonable modifications to units and provide reasonable accommodations when these are necessary to allow a person with a disability full housing rights. Finally, multi-family housing built for occupancy after March 13, 1991, must comply with the Accessibility Guidelines established. Complaints of discrimination are investigated and conciliated. When conciliation is unsuccessful and where investigation indicates reasonable cause to believe that discrimination occurred or is about to occur, complainants may pursue their complaints before an Administrative law judge or in Federal district court (The Department of Justice litigates on behalf of complainants in federal district court, or HUD litigates on their behalf in the administrative forum). Also conferences and training sessions are held to explain rights and responsibilities under the law to attorneys, developers, the real estate industry and the general public.

**Applicant Eligibility:**

Any aggrieved person, or the Assistant Secretary, may file a complaint based on an alleged discriminatory housing practice because of race, color, religion, sex, familial status, disability, or national origin. The complaint may be filed with the Department of Housing and Urban Development or a State or local fair housing agency with processes, procedures and remedies substantially equivalent to those of the Department, and which the Department has approved.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to any HUD Field Office, or to HUD's Washington, DC Headquarters.

**Award Procedure:**

None.

**Deadlines:**

An administrative complaint must be filed with HUD within one year of the alleged discriminatory act.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Depends upon result of complaint processing.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, 2,449 cases were filed with HUD, another 7,705 cases were filed with State and local agencies. Many of these cases were settled, achieving relief for the complainants and commitments to conduct activities that would further fair housing. Settlements by both HUD and the State and local agencies had a total monetary value of approximately \$6,140,943 (does not include HUD ALJ or DOJ closure of HUD complaints). For Fiscal Year 2008, it is estimated that 1,932 cases will be filed with HUD and another 7,568 cases will be filed with State and local agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations implementing the Fair Housing Act, 24 CFR Part 100; "Fair Housing It's Your Right," English (HUD-1686-FHEO); Fair Housing - Complaint Processing, 24 Part 103; Administrative Proceedings Under Section 812 of the Fair Housing Act, 24 CFR Part 180; Consolidated HUD Hearing Procedures for Civil Rights Matters Certification of Substantially Equivalent Agencies, 24 CFR 115; Preamble to Final Rule Implementing Fair Housing Amendments Act of 1988, 54 Federal Register 3232 (1989); CFR Ch I, Subch. A, App II.

**Regional or Local Office:**

HUD Fair Housing and Equal Opportunity Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th St., S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904. Toll-free number for filing complaints: (1-800) 669-9777 (Voice) or (1-800) 927-9275 (TTY). E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

<http://www.hud.gov/complaints/housediscrim.cfm>.

**RELATED PROGRAMS:**

16.103, Fair Housing and Equal Credit Opportunity.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**14.401 FAIR HOUSING ASSISTANCE PROGRAM-STATE AND LOCAL**

(FHAP)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Fair Housing Act, 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide assistance to State and local fair housing enforcement agencies to support complaint processing, training, technical assistance, education and outreach, data and information systems and other activities that will further fair housing within the agency's jurisdiction. The intent of the Fair Housing Assistance Program (FHAP) is to build an intergovernmental enforcement effort to further fair housing at the State and local level by providing funding assistance for State and local fair housing enforcement agencies to increase administration of fair housing laws.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

State and local fair housing enforcement agencies in the first year of participation in the FHAP receive a fixed amount of capacity building funding. Agencies in the second year and beyond are eligible to receive contributions funding which provides funds for complaint processing, administrative costs, and training.

**Applicant Eligibility:**

Application for participation from State and local government agencies is encouraged for jurisdictions with current or new/pending State and local fair housing laws and ordinances. The funding process includes a requirement to obtain HUD interim certification of the applicant agency's State and local fair housing laws and ordinances as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act. Eligible applicants include State and local government fair housing enforcement agencies administering State and local fair housing laws and ordinances which have been interim certified by HUD as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act and which have executed formal written Agreements with HUD to process housing discrimination complaints.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by a discriminatory housing practice because of race, color, religion, sex, handicap, familial status or national origin.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Cooperative agreements are executed for one year, they are non-competitive, and provide funding for complaint processing, administrative costs, and training for contribution agencies. Capacity building funds are also provided under a cooperative agreement for a one year period. For detailed program information under each funding component, contact the Fair Housing and Equal Opportunity Hub or Headquarters Office. Fixed price cooperative agreements are anticipated to be awarded with payments to be made in accordance with a schedule of dates set out in the cooperative agreements.

**Reports:**

On-site review and evaluation and regular monitoring of agency's performance as specified in 24 CFR Part 115 to assure HUD's substantial equivalency standards are met. Payment is in accordance with payment schedules established in the agency's cooperative agreements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. See exemptions and exceptions in Circular No. A-133.

**Records:**

State and local agencies are required to maintain housing complaint files for a period of one year after closure.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

FY 07 \$26,000,000; FY 08 est \$25,620,000; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

Contributions for Capacity Building - \$120,000; Complaint Processing, Training, and Administrative Costs.

**PROGRAM ACCOMPLISHMENTS:**

There are currently 108 jurisdictions receiving financial assistance under this program. In Fiscal Year 2008 HUD estimates that two additional jurisdictions will receive funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 24 CFR Part 115 for regulations on the certification and funding of State and local Fair Housing Enforcement Agencies.

**Regional or Local Office:**

HUD Field Offices listed in the Catalog Appendix IV.

**Headquarters Office:**

Kenneth J. Carroll, Director, FHAP Division, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5206, Washington, DC 20410. Telephone: (202) 402-7044.

**Web Site Address:**

<http://www.hud.gov/offices/fheo/partners/FHAP/index.cfm>.

**RELATED PROGRAMS:**

14.408, Fair Housing Initiatives Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding is contingent upon obtaining and maintaining HUD certification of the applicant agency's State and local fair housing laws and ordinances as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act. Funding for capacity building will be based on a written statement of work within established limitations.

**14.402 NON-DISCRIMINATION IN FEDERALLY-ASSISTED PROGRAMS (ON THE BASIS OF AGE)****FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Age Discrimination Act of 1975.

**OBJECTIVES:**

The Age Discrimination Act of 1975, as amended, is designed to prohibit discrimination on the basis of age in programs or activities receiving Federal financial assistance.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Subject to legislative restrictions as to coverage, individuals are entitled to services, i.e., housing which is suitable according to needs and financial ability in the area in which they desire to live, etc., without discrimination based on age. Investigations are conducted if complaints cannot be mediated successfully and action is taken to settle the complaints. Beneficiaries and recipients are provided with brochures on the mediation process.

**Applicant Eligibility:**

Any individual aggrieved by a discriminatory practice because of age may file a complaint against the recipient of Federal financial assistance with the Department of Housing and Urban Development. A complainant may file a civil action following exhaustion of administrative remedies under the Act.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to any Local HUD Fair Housing and Equal Opportunity Office or HUD Headquarters, Washington, DC Office.

**Award Procedure:**

None.

**Deadlines:**

A complaint can be filed within 180 days from the date the complainant first knows of the alleged act of discrimination. A complaint based on age must be referred to the Federal Mediation and Conciliation Service for mediation. If the complaint is not resolved, it is returned to HUD for investigation.

**Range of Approval/Disapproval Time:**

A complaint based on age must be referred immediately upon receipt by HUD for referral to the Federal Mediation and Conciliation Service.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

HUD received two age discrimination complaints during Fiscal Year 2007 and estimates receiving another two cases in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Nondiscrimination on the basis of age in HUD Programs or activities receiving Federal Financial Assistance, 24 CFR Part 146.

**Regional or Local Office:**

HUD Local Field Office of Fair Housing and Equal Opportunity. Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th St., S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, ext. 5361. E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

<http://www.hud.gov/progdsc/fheindx.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.404 NON-DISCRIMINATION IN FEDERALLY ASSISTED AND CONDUCTED PROGRAMS (ON THE BASIS OF DISABILITY)**

(Section 504)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Rehabilitation Act of 1973, Section 504 (Parts 8 and 9), as amended.

**OBJECTIVES:**

Section 504 of the Rehabilitation Act of 1973 prohibits discrimination on the basis of disability in federally assisted programs (Part 8) and federally conducted programs (Part 9).

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Pertains to all Housing and Urban Development Programs of Federal financial assistance except contracts of insurance and guaranty (Part 8) programs conducted by the Department (Part 9).

**Applicant Eligibility:**

Any individual feeling aggrieved because of an alleged discriminatory action in a HUD-assisted or HUD-conducted program or activity on the basis of disability may file a complaint with the Department of Housing and Urban Development.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to any Local HUD Field Office Fair Housing and Equal Opportunity or HUD Headquarters, Washington, DC Office.

**Award Procedure:**

None.

**Deadlines:**

Complaints must be filed within 180 days of the date of the alleged act of discrimination. Complaints may be amended; notification letter sent to complainant and recipient within 10 days of receipt of complaint.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, 970 complaints were received under section 504 and 67 compliance reviews were initiated. For Fiscal Year 2008, HUD estimates that 884 complaints will be received and 110 compliance reviews will be initiated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Nondiscrimination Based on Disability in Federally Assisted and Federally Conducted Programs and Activities of the Department of Housing and Urban Development (24 CFR Part 8 and Part 9).

**Regional or Local Office:**

HUD Local Field Office of Fair Housing and Equal Opportunity: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, ext. 5361. E-mail:



Lynn.M.Grosso@hud.gov.

**Web Site Address:**

http://www.hud.gov/progdsc/fheindx.html .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.405 NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS (ON THE BASIS OF RACE, COLOR, OR NATIONAL ORIGIN)**

(Title VI)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Civil Rights Act of 1964, as amended, Title VI.

**OBJECTIVES:**

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color or national origin in Federally assisted programs.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Pertains to all housing and urban development programs that receive Federal financial assistance from HUD, except contracts of insurance and guaranty.

**Applicant Eligibility:**

Persons believing they have been subjected to a discriminatory action on the basis of race, color or national origin may file a complaint with the Department of Housing and Urban Development.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to any HUD Local Field Office of Fair Housing and Equal Opportunity or HUD Headquarters, Washington, DC.

**Award Procedure:**

None.

**Deadlines:**

Complaints must be received within 180 days of the date of the alleged act of discrimination. May be amended.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Recipients may request a hearing.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, 702 complaints were received under Title VI and 62 compliance reviews were initiated. HUD estimated that in Fiscal Year 2008, 598 complaints will be received and 114 compliance reviews initiated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Housing and Urban Development's Title VI Regulation is published at 24 CFR Part 1.

**Regional or Local Office:**

HUD Local Field Office of Fair Housing and Equal Opportunity: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, Ext. 5361. E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

http://www.hud.gov/progdsc/fheindx.html.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.406 NON-DISCRIMINATION IN THE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM (ON THE BASIS OF RACE, COLOR, NATIONAL ORIGIN, RELIGION, OR SEX)**

(Section 109)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, as amended.

**OBJECTIVES:**

Section 109 of Title I of the Housing and Community Development Act of 1974, as amended prohibits discrimination in Community Development Block Grant Programs on the basis of race, color, national origin, religion, or sex.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Pertains to all Title I programs, including employment.

**Applicant Eligibility:**

Persons believing they have been subjected to discriminatory action in a Title I program on the basis of race, color, national origin, religion, or sex may file a complaint with the Department of Housing and Urban Development.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to any Local HUD Field Office Fair Housing and Equal Opportunity or HUD Headquarters, Washington, DC.

**Award Procedure:**

None.

**Deadlines:**

Complaints should be received within 180 days of the date of the alleged act of discrimination. May be amended.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

May request review within 30 days of preliminary "Letter of Finding."

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, 56 complaints were received under Section 109 and 14 compliance reviews were initiated. HUD estimates that 38 complaints will be received in Fiscal Year 2008 and 20 compliance reviews will be initiated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Housing and Urban Development regulations at 24 CFR Part 6.

**Regional or Local Office:**

HUD Local Field Office of Fair Housing and Equal Opportunity: Director, Fair

Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, Ext. 5361. E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

<http://www.hud.gov/prodesc/fheoindx.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**14.407 ARCHITECTURAL BARRIERS ACT ENFORCEMENT**

((Section 502) Architectural Barriers Act)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Architectural Barriers Act of 1968, Section 502, as amended.

**OBJECTIVES:**

To provide that facilities financed, constructed, altered or leased by the Federal government with specific design standards shall be accessible to persons with physical disabilities.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Pertains to all HUD Programs which are leased for occupancy by the Department or which are designed, built or altered with certain Federal funds (e.g., low income public housing).

**Applicant Eligibility:**

Individuals who believe there has been noncompliance with the Architectural Barriers Act or 24 CFR Part 41 may file a complaint with the Department of Housing and Urban Development or the Architectural and Transportation Barriers Compliance Board.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to the Department of Housing and Urban Development or the Architectural and Transportation Barriers Compliance Board.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, the Department did not receive any Architectural Barriers Act complaints. The Department does not anticipate any Architectural Barriers Act complaints in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Parts 40 and 41.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, Ext. 5361. E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

<http://www.hud.gov/sec8.html>.

**RELATED PROGRAMS:**

14.400, Equal Opportunity in Housing.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**14.408 FAIR HOUSING INITIATIVES PROGRAM**

(FHIP)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private-for-profit or not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices, as well as faith-based community-based organizations and State or local government agencies.

**Applicant Eligibility:**

State and local government agencies, public or private nonprofit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices. Applicants for funding of testing activities must have at least one year of experience in complaint intake, complaint investigation, testing for fair housing violations, and enforcement of meritorious claims. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Fair housing enforcement organizations and nonprofit groups organizing to build their capacity to provide fair housing enforcement are also eligible applicants.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin. Also, any person or group of persons, including landlords and real estate agents, to prevent discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin.

**Credentials/Documentation:**

Costs for State and local government units will be determined in accordance with OMB Circular No. A-87. Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide

services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the Federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms as furnished by the Federal agency and required by OMB Circular No. A-110.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the appropriate office identified in the Notices of Funding Availability within the time frames specified in the Notices.

**Range of Approval/Disapproval Time:**

Two to six months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement.

**Reports:**

Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

FY 07 \$19,800,000; FY 08 est \$24,000,000; and FY 09 est \$26,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

FHIP funds are used to increase compliance with the Fair Housing Act and with substantially equivalent fair housing laws. HUD has awarded grants to affirmatively further fair housing in the amounts indicated above. Grants were competitively awarded to emphasize enforcement and education and outreach activities based on the protected bases including race, color, religion, sex, disability, familial status and national origin. For FY 2007 approximately 88 grants were awarded. Enforcement related grants were given to assist private, tax exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Act and substantially equivalent State and local fair housing laws. Education and outreach grants were given to assist projects that inform the public about their rights and obligations under the Act and substantially equivalent State and local fair housing laws. HUD estimates that 88 competitive grants will be awarded in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry, Director, FHIP Division, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5224, Washington, DC 20410. Telephone: (202) 402-7095 E-mail: Myron.P.Newry@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/theo/partners/FHIP/fhip.cfm>.

**RELATED PROGRAMS:**

14.401, Fair Housing Assistance Program\_State and Local; 14.402, Non-Discrimination in Federally-Assisted Programs (On the Basis of Age); 14.412, Employment Opportunities for Lower Income Persons and Businesses.

**EXAMPLES OF FUNDED PROJECTS:**

The types of projects funded included activities for discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination, including systemic discrimination; conducting testing or other investigative support for administrative and judicial enforcement of fair housing laws; and linking fair housing organizations regionally in enforcement activities. Additional projects funded included activities for establishing new fair housing enforcement organizations; discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination; and building the capacity of existing organizations to provide fair housing enforcement. Other projects included activities providing fair housing information to the public through public service announcements, advertisements, posters and brochures; providing fair housing counseling services; and developing fair housing training for educational institutions and members of the housing industry on fair housing rights and responsibilities.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

## 14.412 EMPLOYMENT OPPORTUNITIES FOR LOWER INCOME PERSONS AND BUSINESSES

(Section 3)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, Section 3, 12 U.S.C. 1701u.

**OBJECTIVES:**

Section 3 of the HUD Act of 1968 requires that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, be directed to low-and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low-and very low-income persons.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Section 3 applies to training, employment, contracting and other economic opportunities arising from the expenditure of public and Indian housing development, operating and modernization assistance; and to training, employment and other economic opportunities arising in connection with the expenditure of housing and community development assistance that is used for housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction and other public construction. Section 3 also applies to financial assistance in the form of insurance or guaranty or to tenant-based assistance.

**Applicant Eligibility:**

Public and Indian Housing Programs: (1) Training and employment opportunities --(i) public housing residents; or (ii) an individual who resides in the metropolitan area or non-metropolitan county in which the Section 3 covered assistance is expended, and who is a low- or very low-income person. (2) Contract opportunities -- (i) business concerns that are 51 percent or more owned by residents of the housing development or developments for which the Section 3 covered assistance is expended, or who's full-time, permanent workforce includes 30 percent of these persons as employees; or (ii) business concerns that are 51 percent or more owned by residents of other housing developments or developments managed by the housing authority that is expending the Section 3 covered assistance or whose full-time permanent workforce includes 30 percent of these persons as employees; or (iii) HUD Youth build programs being carried out in the metropolitan area in which the Section 3 covered assistance is expended; or (iv) business concerns that are 51 percent or more owned by Section 3 residents, or whose permanent, full-time workforce includes no less than 30 percent Section 3 residents or that subcontract in excess of 25 percent of the total amount of subcontracts to business concerns identified in (i) and (ii) above. Housing and Community Development Programs: (1) training and employment opportunities -- (i) Section residents residing in the service area or neighborhood in which the Section 3 covered project is located; (ii) participants in HUD Youthbuild programs; (iii) homeless persons residing in the service area or neighborhood in which the Section 3 covered project is located; and (iv) other Section 3 residents. (2) Contract opportunities: -- (i) Section 3 business concerns that provide economic



opportunities for Section 3 residents in the service area or neighborhood in which the Section 3 covered project is located; (ii) applicants selected to carry out HUD Youthbuild programs; and (iii) Other Section 3 business concerns. Any Section 3 resident or Section 3 business concern may file a complaint alleging noncompliance with Section 3.

**Beneficiary Eligibility:**

Complainant individuals who are Section 3 residents or a Section 3 business concern.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to HUD Headquarters, Office of Fair Housing and Equal Opportunity, Economic Opportunity Division.

**Award Procedure:**

Not applicable.

**Deadlines:**

Complaints must be received within 180 days of the date of the alleged non-compliance with Section 3.

**Range of Approval/Disapproval Time:**

Approximately six months.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the Section 3 Division completed 17 Section 3 compliance and monitoring reviews and responded to more than 14 requests for technical assistance nationwide. The Division estimates completing Section 3 Compliance Reviews and/or providing Technical Assistance to 20 recipients of Section 3 covered financial assistance in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 U.S.C. 1701u; 24 CFR Part 135.

**Regional or Local Office:**

HUD Field Office, Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Staci Gilliam Hampton, Director, Economic Opportunity Division, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5232, Washington, DC 20410. Telephone: (202) 708-3633, extension 3468. E-mail: Staci.Gilliam.Hampton@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/fheo/section3/section3.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

### 14.414 NON-DISCRIMINATION ON THE BASIS OF DISABILITY BY PUBLIC ENTITIES

(Title II of the Americans with Disabilities Act)

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Americans with Disabilities Act of 1990, Title II.

**OBJECTIVES:**

Title II of the Americans with Disabilities Act prohibits discrimination against

persons with disabilities in all programs, services, and regulatory activities relating to State and local public housing, and housing assistance and referral.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Pertains to all programs, services, and regulatory activities relating to State and local government, public housing, and housing assistance and referral.

**Applicant Eligibility:**

Individuals who believe they have been subjected to a Title II violation by a HUD-assisted recipient or a public entity involved in housing, housing assistance or housing referral may file a complaint with the Department of Housing and Urban Development.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints may be sent to any HUD Office or to the Department of Justice.

**Award Procedure:**

None.

**Deadlines:**

Complaints must be received within 180 days of the date of the alleged act of discrimination. Complaints may be amended.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

May request a review of HUD's findings.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, 305 complaints were received and four compliance reviews were conducted. HUD estimates that in Fiscal Year 2008, 288 complaints will be received and eight compliance reviews conducted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Nondiscrimination on the Basis of Disability in State and Local Government Services (28 CFR Part 35).

**Regional or Local Office:**

HUD Local Field Office of Fair Housing and Equal opportunity: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, Ext. 5361. E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

<http://www.hud.gov/sec8.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

### 14.415 NON-DISCRIMINATION ON THE BASIS OF SEX IN EDUCATION PROGRAMS AND ACTIVITIES RECEIVING FEDERAL FINANCIAL ASSISTANCE

**FEDERAL AGENCY:**

OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Education Amendments Act of 1972, Title IX, as amended, 20 U.S.C. 1681, et

seq.

**OBJECTIVES:**

To investigate complaints of discriminatory practices in connection to the Department's administration of Federal assistance programs and activities. Title IX prohibits discrimination on the basis of sex in education programs or activities that receive Federal financial assistance.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Pertains to all education programs or activities that receive Federal financial assistance. The goal of Title IX is to ensure that Federal funds are not utilized for and do not support sex-based discrimination, and that individuals have equal opportunities, without regard to sex, to pursue, engage or participate in, and benefit from academic, extracurricular, research, occupational training, employment, or other educational programs and activities.

**Applicant Eligibility:**

Any person believing he/she has been subjected to a discriminatory action on the basis of sex may file a complaint with the Department of Housing and Urban Development. Complaints may be filed on behalf of a specific group or individual believed to have been subjected to 24 CFR Part 3 discrimination.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complaints must be in writing and sent to any HUD local Field Office of Fair Housing and Equal Opportunity or HUD Headquarters, Washington, DC.

**Award Procedure:**

None.

**Deadlines:**

Complaints must be received within 180 days of the date of the alleged act of discrimination. May be amended.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Recipient may request a hearing.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

86-0143-0-1-999.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, the Department did not receive any complaints under Title IX. The Department does not anticipate any complaints in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Housing and Urban Development's Title IX Common Rule is published at 24 CFR Part 3.

**Regional or Local Office:**

Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn Grosso, Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, 451 7th Street, S.W., Room 5226, Washington, DC 20410. Telephone: (202) 708-2904, Ext. 5361. E-mail: Lynn.M.Grosso@hud.gov.

**Web Site Address:**

<http://www.hud.gov/progdsc/fheindx.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.506 GENERAL RESEARCH AND TECHNOLOGY ACTIVITY

**FEDERAL AGENCY:**

OFFICE OF POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Act of 1970, Title V, as amended.

**OBJECTIVES:**

To carry out research, demonstration and program evaluation and monitoring projects of high priority and pre-selected by the Department to improve the operations of the Department's programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

HUD's Office of Policy Development and Research's (PD&R) funds are awarded through competitive procurement solicitations or Interagency Agreements with other Federal Agencies.

**Applicant Eligibility:**

Researchers, research organizations, State and local governments, academic institutions, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Beneficiary Eligibility:**

Researchers, research organizations, State and local governments, academic institutions, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Credentials/Documentation:**

Capacity and capability of applicant to perform research by grant or cooperative agreement under this program and to manage Federal funding.

**Preapplication Coordination:**

Contact HUD's Office of the Chief Procurement Officer for information related to competitive solicitations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As identified in request for proposals for competitive procurement awards or as identified in the NOFA for competitive grants.

**Award Procedure:**

Contact Proposals will be reviewed against criteria contained in the request for proposals issued by HUD's Office of the Chief Procurement Officer for procurement actions. Applications will be reviewed against criteria contained in the NOFA for competitive grant actions.

**Deadlines:**

As specified in request for proposals or NOFA.

**Range of Approval/Disapproval Time:**

As identified in request for proposals for competitive procurement awards or as identified in the NOFA for competitive grants.

**Appeals:**

Office of the Assistant Secretary for Policy Development and Research for grant awards. Office of the Chief Procurement Officer for procurement actions and for all contractual matters.

**Renewals:**

As provided in agreement arrangements, if any.

**Formula and Matching Requirements:**

Contracts are either Cost reimbursable or fixed price in nature.

**Length and Time Phasing of Assistance:**

As specified in the contractual agreement. Awards usually will not exceed twelve months.

**Reports:**

As specified in agreements.

**Audits:**

Accounts and records of the project are subject to audit by the Federal government at any time. The number of audits depends on the length of the project and the nature of the agreement. Grantees are subject to the audit requirements of OMB Circular A-133.

**Records:**

Full and accurate records must be maintained with respect to all matters covered in the agreement.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$39,313,731; FY 08 est \$30,478,902; and FY 09 est \$41,300,000.

**Range and Average of Financial Assistance:**

\$13,580 to \$675,000.

**PROGRAM ACCOMPLISHMENTS:**

Research and demonstration programs are underway in the following major areas: low-income housing; public housing; Government-Sponsored Enterprises' activities; fair housing practices; community and urban economic development; and international activities. Additionally, there are HUD program evaluation and monitoring projects underway.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For competitive grants, refer to the NOFA. For competitive procurements, refer to the request for proposals.

**Regional or Local Office:**  
None.

**Headquarters Office:**

Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development, 451 7th Street S.W., Washington, DC 20410. Attention: Budget, Contracts, and Program Control Division. Telephone: (202) 708-1796. Use the same number for FTS.

**Web Site Address:**

<http://www.huduser.org>.

**RELATED PROGRAMS:**  
None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Unsolicited proposals are not accepted.

## 14.514 HISPANIC-SERVING INSTITUTIONS ASSISTING COMMUNITIES

**FEDERAL AGENCY:**

POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Continuing Appropriations Act 2008 (Public Law 110-161).

**OBJECTIVES:**

To assist Hispanic-Serving Institutions of higher education (HSIs) expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low-and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974 as amended.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Each activity proposed for funding must meet both the Community Development Block Grant (CDBG) Program eligibility requirements and at least one national objective. Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR 570.208. Ineligible activities are listed in paragraph 570.207.

**Applicant Eligibility:**

Nonprofit Hispanic- Serving Institutions that meet the definition of an HIS of higher education established in Title V of the Higher Education Act of 1965 (20 U.S.C. 1101) as amended are eligible to submit applications for funding. In order to meet this definition, at least 25 percent of the full-time undergraduate student enrolled in an institution must be Hispanic. In addition, all applicants must be institutions of higher education granting two-or four-year degrees that are fully accredited by a national or regional accrediting agency recognized by the Department of Education.

**Beneficiary Eligibility:**

The principal beneficiaries of the program include any city, county, town, parish, village, any other political subdivision of a State, or certain U.S. territories within which the HSI is located.

**Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations; and (3) provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations".

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

**Deadlines:**

Deadlines will be announced in each NOFA publication.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None. Applicants get points in the selection system for securing leveraged funds.

**Length and Time Phasing of Assistance:**

HUD may make grants for up to 3 years.

**Reports:**

Semi-annual and final reports are required, as well as Program Logic Model and a final program report and Program Logic Model are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Must be kept in accordance with the terms and conditions of the grant.

**Account Identification:**

86-0162-0-1-451; 86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$5,940,000; FY 08 est \$6,000,000; and FY 09 est \$3,929,000.

(NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts).

**Range and Average of Financial Assistance:**

\$600,000 per grantee for a three-year grant performance period.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007 10 grants were awarded. It is anticipated that a similar number of awards will be made in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by regulations contained in 24 CFR 570.400 and 570.404 and 24 CFR Part 570, Subparts A, C, J, K and O. Provisions of 24 CFR Part 84 "Grant Agreements with Institutions of Higher Education, Hospitals, and Nonprofit Organizations."

**Regional or Local Office:**

None.

**Headquarters Office:**

For answers to technical questions, contact Madlyn Wohlman-Rodriguez in the Office of University Partnerships, Office of Policy Development and Research, 451 7th Street S.W., Washington, DC 20410. Telephone: (202) 402-5939. E-mail: Madlyn.Wohlmanrodriguez@hud.gov.

**Web Site Address:**

[www.oup.org](http://www.oup.org); or [www.hud.gov/grants](http://www.hud.gov/grants).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the criteria listed in each NOFA.

## 14.515 ALASKA NATIVE/NATIVE HAWAIIAN INSTITUTIONS ASSISTING COMMUNITIES

**FEDERAL AGENCY:**

POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Continuing Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To assist Alaska Native Institutions (ANIs) and Native Hawaiian Institutions (NHIs) of higher education enhance their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low-and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974 as amended.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Each activity proposed for funding must meet both the Community Development Block Grant (CDBG) Program eligibility requirements and at least one national objective. Criteria for determining whether an activity addresses one or more objectives are provided at 24CFR 570.208. Ineligible activities are listed in paragraph 570.207.

**Applicant Eligibility:**

Nonprofit Alaska Native and Native Hawaiian Institutions of higher established in Title III, Part A, Section 317 of the Higher Education Act of 1965, as amended by the Higher Education Amendments of 1998 (Public Law 105-244, enacted October 7 1998) are eligible to submit applications for funding. Institutions are not required to be on the list of eligible ANI/NHI prepared by the Department of Education. However, an institution that is not on the list is required to provide a statement that certify that they meet the statutory definition of an ANI or NHI. Each autonomous campus of an ANI or NHI is permitted to



submit a separate application as long as they have a separate administrative structure and budget.

**Beneficiary Eligibility:**

The principal beneficiaries of the program include any city, county, town, parish, village, any other political subdivision of a State within which an ANI or NHI is located.

**Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations; and (3) provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations".

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

**Deadlines:**

Deadlines will be announced in each NOFA publication.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None. Applicants get points in the selection system for securing leveraged funds.

**Length and Time Phasing of Assistance:**

HUD may make grants for up to 3 years.

**Reports:**

Quarterly progress and financial progress reports, as well as Program Logic Model and a final program report and Program Logic Model are required.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Records must be kept in accordance with the terms and conditions of the grant.

**Account Identification:**

86-0162-0-1-451, 86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$2,970,000; FY 08 est \$3,000,000; and FY 09 est \$1,977,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

For Alaska Native Institutions of higher education and Native Hawaiian Institutions of higher education, \$800,000 per grantee.

**PROGRAM ACCOMPLISHMENTS:**

Since 2001 36 grants have been awarded under this program. It is anticipated that up to four more applicants will receive funding in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by regulations contained in 24 CFR 570.400 and 570.404 and 24 CFR Part 570, subparts A, C, J, K and O. Provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals, and Nonprofit Organizations."

**Regional or Local Office:**

None.

**Headquarters Office:**

For answers to technical questions, Sherone Ivey, in the Office of University Partnerships, Office of Policy Development and Research HUD, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 402-4200. Fax: (202) 708-0309. E-mail: Sherone.Ivey@hud.gov .

**Web Site Address:**

<http://www.oup.org> ; or [www.hud.gov/grants](http://www.hud.gov/grants) .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the criteria listed in each NOFA.

## 14.516 DOCTORAL DISSERTATION RESEARCH GRANTS

**FEDERAL AGENCY:**

OFFICE OF POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Continuing Appropriations Resolution Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To assist Ph.D. candidates in completing their research and dissertations on housing and urban development issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Costs incurred in the timely completion of a dissertation including stipends, computer software, the purchase of data, travel expenses to collect data, transcription services, and compensation for interviews. Grants cannot be used for tuition, computer hardware, or meals. Indirect cost and honorariums cannot be charged under this program.

**Applicant Eligibility:**

Applicants must be accredited institutions of higher education recognized by the Department of Education that sponsor doctoral students who are currently enrolled and matriculating and have been accepted into candidacy in an accredited doctoral program. However, the sponsored doctoral student is responsible for the completion of the application (with the assistance of the institution).

**Beneficiary Eligibility:**

Beneficiaries are doctoral students.

**Credentials/Documentation:**

Doctoral students must meet the following requirements: (1) Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled in an accredited doctoral program; (2) Have an approved dissertation proposal; (3) Provide documentation from the dissertation committee chairs that states the feasibility of the following: (a) By the application due date, the student's dissertation will be accepted by the full dissertation committee (b) The student will have an assigned dissertation advisor; (c) by September of the application year, the student will have satisfactorily completed all other written and oral Ph.D. requirements, including all examinations and defense of the proposal, except the dissertation; and (d) The proposed dissertation can be completed within the 2-year grant period.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Application requirements will appear in a Federal Register Notice of Funding Availability (NOFA). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applicants will respond to competitive requirements contained in a NOFA published in the Federal Register each year.

**Deadlines:**

Deadlines will be announced in each NOFA publication.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Applicant's institution is required to provide support to the applicant during the grant period.

**Length and Time Phasing of Assistance:**

This grant is for a 2-year period.

**Reports:**

Applicants must submit a report on progress halfway through the grant period and a Program Logic Model. At the end of the grant performance period the doctoral student must submit to HUD two copies and a CD-Rom of the approved manuscript in its final version and a final complete Program Outcome Logic Model.

**Audits:**

None.

**Records:**

The institution must maintain information on grant disbursement.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$295,783; FY 08 est \$300,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Maximum grant size is \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Program helps approximately 12 Ph.D. candidates a year complete their

dissertations on HUD-related research topics.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This information is provided in the yearly NOFA. More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan Brunson, Office of University Partnerships, Department of Housing and Urban Development, Room 8106, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 402-3852. E-mail: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov).

**Web Site Address:**

<http://www.oup.org> and [www.hud.gov](http://www.hud.gov).

**RELATED PROGRAMS:**

14.517, Early Doctoral Student Research Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

A competitive process is used in selecting grants. Criteria will be published in the annual NOFA.

## 14.517 EARLY DOCTORAL STUDENT RESEARCH GRANTS

**FEDERAL AGENCY:**

POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Continuing Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To enable doctoral students enrolled at institutions of higher education to cultivate their research skills through the preparation of a research manuscript that focuses on policy-relevant housing and urban development issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Costs incurred in the timely completion of a research manuscript including stipends, computer software, the purchase of data, travel expenses to collect data, transcription services, and compensation for interviews. Grants cannot be used for tuition, computer hardware, or meals. Indirect cost and honorariums cannot be charged under this program.

**Applicant Eligibility:**

Applicants are accredited institutions of higher education recognized by the Department of Education that sponsor doctoral students who are currently enrolled and matriculating and who are in pre-candidacy in an accredited doctoral program. However, the sponsored doctoral student is responsible for the completion of the application (with the assistance of the institution).

**Beneficiary Eligibility:**

Beneficiaries are doctoral students.

**Credentials/Documentation:**

Doctoral students must meet the following requirements: (1) Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled as a full-time student in an accredited doctoral program; (2) Have a major or concentration within a field related to housing and urban development (3) Have not taken the preliminary/comprehensive examinations (4) Completed at least two semesters or three terms of their doctoral studies program (depending on the course structure of the institution); and (5) Have an assigned faculty advisor to supervise the research manuscript.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Application requirements will appear in a Federal Register Notice of Funding Availability (NOFA). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applicants will respond to competitive requirements contained in a NOFA published in the Federal Register each year.

**Deadlines:**

Deadlines will be announced in each NOFA publication.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Applicant's institution is required to provide support to the applicant during the grant period.

**Length and Time Phasing of Assistance:**

This Grant is for a 1-year period.

**Reports:**

Applicants must submit a report on progress halfway through the grant period and a Program Outcome Logic Model. At the end of the grant performance period the doctoral student must submit to HUD two copies and a CD-Rom of the approved manuscript in its final version and a final complete Program Outcome Logic Model.

**Audits:**

None.

**Records:**

The institution must maintain information on grant disbursement.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$102,693; FY 08 est \$100,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Maximum grant size is \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

Program helps approximately 7 doctoral students a year complete their research manuscripts on HUD-related research topics.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This information is provided in the yearly NOFA. More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan Brunson, Office of University Partnerships, Department of Housing and Urban Development, Room 8106, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 402-3852. E-mail: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov).

**Web Site Address:**

<http://www.oup.org> and [www.hud.gov](http://www.hud.gov).

**RELATED PROGRAMS:**

14.516, Doctoral Dissertation Research Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

A competitive process is used in selecting grants. Criteria will be published in the annual NOFA.

## 14.519 TRIBAL COLLEGES AND UNIVERSITIES PROGRAM

**FEDERAL AGENCY:**

POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Continuing Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To assist Tribal Colleges and Universities (TCU) build, expand, renovate, and equip their own facilities, and to expand the role of the TCUs into the community through the provision of needed services such as health programs, job training, and economic development activities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds can be used by tribal colleges to build, expand, renovate, and equip their own facilities. No other activities can be funded, nor can facilities not owned by tribal colleges and universities be assisted.

**Applicant Eligibility:**

Tribal Colleges and Universities that meet the statutory definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Public Law 105-244, approved October 7, 1998) that are two- or four-year, fully accredited or that are candidates for accreditation by a regional institutional accrediting association recognized by the Department of Education are eligible to submit applications for funding.

**Beneficiary Eligibility:**

Tribal Colleges and Universities to help build, expand, renovate, and equip their own facilities. Buildings for which TCUP funding is used that also serves the community are eligible; however, the facilities must be predominantly (at least 51 percent of the time) for the used of the institution (e.g., students, faculty, and staff). In addition, public services and program delivery activities for the community such as health programs, job training and economic development are eligible activities.

**Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Nonprofit Organizations; and (3) provisions of 24 CFR Part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations".

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register each year.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

**Deadlines:**

Deadlines will be announced in each NOFA publication.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Applicants are not required to provide matching funds, but will be awarded points in the selection system for securing leveraged funds.

**Length and Time Phasing of Assistance:**

Projects are funded for a 3-year period.

**Reports:**

Quarterly progress and financial progress reports and a final program report are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Must be kept in accordance with the terms and conditions of the grant.

**Account Identification:**

86-0162-0-1-451; 86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$2,574,000; FY 08 est \$5,000,000; and FY 09 est \$1,687,000.

**Range and Average of Financial Assistance:**

\$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Through fiscal year 2007, Tribal Colleges and Universities have received approximately \$20.2 million in grants to further develop facilities on their campuses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by (1) OMB Circular No. A-133 "Audits of States, Local Governments, and Nonprofit Organizations; and (2) provisions of 24 CFR Part 84, "Grant Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations."

**Regional or Local Office:**

None.

**Headquarters Office:**

For answers to technical questions, Sherone Ivey, in the Office of University Partnerships, Office of Policy Development and Research HUD, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 402-4200. Fax: (202) 708-0309. E-mail: Sherone.Ivey@hud.gov.

**Web Site Address:**

<http://www.oup.org> or [www.hud.gov](http://www.hud.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be listed in a NOFA each year.

## 14.520 HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM

**FEDERAL AGENCY:**

POLICY DEVELOPMENT AND RESEARCH, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Continuing Appropriations Resolution, 2008 (Public Law 110-161).

**OBJECTIVES:**

To assist Historically Black Colleges and Universities (HBCUs) expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for person of low-moderate income consistent with the purposes of Title I of the Housing and Community Development Act of 1974 as amended.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Each activity proposed for funding must meet both the Community Development Block Grant (CDBG) Program eligibility requirements and at least one national objective. Criteria for determining whether an activity addresses one or more objectives are provided at 24CFR 570.208. Ineligible activities are listed in paragraph 570.207. An activity which is otherwise eligible, may not be funded if State or local law requires that it be carried out by a governmental entity.

**Applicant Eligibility:**

Historically Black Colleges and Universities as determined by the Department of Education in 34 CFR 608.2 pursuant to that Department's responsibilities under Executive Order 13256, dated February 12, 2002.

**Beneficiary Eligibility:**

The principal beneficiaries of the Historically Black Colleges and Universities program will include any city, county, town, township, parish, village, or other general political subdivision of a State within which the HBCU is located. A HBCU located in a metropolitan statistical area, as established by the Office of Management and Budget, may consider its locality to be one or more of these entities within the entire area.

**Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations; and (3) provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations".

**Preapplication Coordination:**

None. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications, subject to the Department's right to make selections out of rank order based on geographic considerations as established in each NOFA.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

**Deadlines:**

Deadlines will be announced in each NOFA publication.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

No formula or matching requirement. Applicants get points in the selection system for securing leveraged funds.

**Length and Time Phasing of Assistance:**

HUD may make funding commitments for up to 3 years.

**Reports:**

Quarterly progress and financial progress reports, as well as Program Logic Model and a final program report and Program Logic Model are required.

**Audits:**

OMB Circular No. A-133 establishes audit requirements and defines Federal responsibilities for implementing and monitoring such requirements of higher education and other nonprofit institutions receiving Federal awards. It promotes the efficient and effective use of audit services. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Must be kept in accordance with the terms and conditions of the grant.

**Account Identification:**

86-0162-0-1-451; 86-0108-0-1-451.

**Obligations:**

(Grants) FY 07 \$8,910,000; FY 08 est \$9,000,000; and FY 09 est \$5,907,000. (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts).

**Range and Average of Financial Assistance:**

Up to \$700,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, approximately \$8,374,000 was awarded in grants to 14 HBCUs to help them revitalize distressed neighborhoods surrounding their campuses. Activities such as: housing rehabilitation, community center



development, small business enhancement, job creation and training will be made available to residents in low and moderate income neighborhoods.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by regulations contained in 24 CFR 570.400 and 570.404 and 24 CFR Part 570, Subparts A, C, J, K and O. Provisions of 24 CFR Part 84 "Grant Agreements with Institutions of Higher Education, Hospitals, and Nonprofit Organizations."

**Regional or Local Office:**

Contact the appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of University Partnerships, Office of Policy Development and Research, Dept. of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 402-4390. Fax: (202) 402-0309. E-mail: OPHELIA.WILSON@hud.gov.

**Web Site Address:**

<http://www.oup.org/> or [www.hud.gov/grants](http://www.hud.gov/grants).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each NOFA.

## 14.850 PUBLIC AND INDIAN HOUSING

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Act of 1937, as amended.

**OBJECTIVES:**

To provide and operate cost-effective, decent, safe and affordable dwellings for lower income families through an authorized local Public Housing Agency (PHA).

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Operating subsidy funds are provided to PHAs to achieve and maintain adequate operating and maintenance service and reserve funds. Funds are made to PHAs based on the extent to which their projected total allowable expenses (as determined by formula) exceed their projected income (also as determined by formula) from rents and other sources.

**Applicant Eligibility:**

Public Housing Agencies established in accordance with State law are eligible. The proposed program must be approved by the local governing body. Pursuant to the Native American Housing Assistance and Self Determination Act of 1996, Indian Housing Authorities (IHAs) are no longer eligible for funding under the U.S. Housing Act (of 1937) or the Indian Housing Act.

**Beneficiary Eligibility:**

Lower income families which include citizens or eligible immigrants. The term "Families" includes but is not limited to: (1) a family with or without children; (2) an elderly family (head, spouse, or sole member 62 years or older), (3) near elderly family (head, spouse, or sole member 50 years old but less than 62 years old); (4) a disabled family; (5) a displaced family; (6) the remaining member of a tenant family; or (7) a single person who is neither elderly, near-elderly, displaced, or a person with disabilities.

**Credentials/Documentation:**

The applicant must support the application/proposal by furnishing data that the program is consistent with the Public Housing Agency (PHA) Plan (Quality Housing and Work Responsibility Act of 1998). The PHA Plan is designed for both long-term and short-term strategies for addressing the housing needs of the community. The proposed program should demonstrate that it is responsive to the PHA Plan by identifying conditions of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, persons with disabilities, large families and those displaced or who will be displaced) residing in or expected to reside in the community.

**Preapplication Coordination:**

Execution of Cooperative Agreement between local government and local PHA. Sites are subject to review by the chief executive officer of the unit of local government in accordance with Section 213 of the Housing and Community Development Act of 1974. An environmental assessment pursuant to NEPA is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Projects approved after September 30, 1986, are covered under OMB Circular No. A-102, except those provisions of the circular which OMB has granted waivers.

**Application Procedure:**

PHAs may submit a full proposal (HUD-52483-A) which includes, but is not

limited to a project description, development method, offer of sale of real property, site information and financial feasibility pursuant to 24 CFR Part 941 and Handbook 7417.1 REV-1 and, if applicable, additional statutory or policy requirements governing the funds provided for the particular fiscal year. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Usually the HUD Field Office Manager makes final decision to approve individual applications.

**Deadlines:**

PHA Applications may be submitted at any time; PHA applications must be amended or resubmitted to meet current year funding notice requirements when issued.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the deadline for applications for processing applications/proposals.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Funds are provided to PHAs to cover the capital cost of a project. Additional operating subsidies are available to maintain adequate operating and maintenance services and reserve funds. There are no matching requirements; however an indirect local contribution results from the difference between full local property taxes and payments in lieu of taxes (PILOT) made by local PHAs. This program has maintenance of effort (MOE) requirements, (see funding agency for further details).

**Length and Time Phasing of Assistance:**

Contributions made annually for up to 30 years for development and 20 years for modernization program reservations approved through September 30, 1986 for projects with permanent financing. Annual appropriations of capital funds for development and modernization started October 1, 1986. Projects funded with capital funds after October 1, 1986 will have contract terms of 40 years.

**Reports:**

Annual Operating Budget; periodic occupancy and financial reports.

**Audits:**

Periodic fiscal, management, maintenance and energy audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract.

**Account Identification:**

86-0163-0-1-604.

**Obligations:**

FY 07 \$3,864,000,000; FY 08 est \$4,200,000,000; and FY 09 est \$4,300,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2003, the Department made available approximately \$3.60 billion in operating subsidies for approximately 1,204,000 public housing units. No development was funded under this program; such development of new or replacement units that did occur was primarily financed with funds from the modernization accounts (14.852 and 14.859) or HOPE VI (14.866).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 990, 24 CFR 941, Handbook 7417.1 (Rev.-1) (Public Housing-Development Handbook), Handbook 7465.1 Rev-2. (Public Housing Occupancy: Admission).

**Regional or Local Office:**

HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Assistant Secretary for Public and Indian Housing, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-0950. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/progdsc/pihindx.html>

**RELATED PROGRAMS:**

14.866, Demolition and Revitalization of Severely Distressed Public Housing; 14.867, Indian Housing Block Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.856 LOWER INCOME HOUSING ASSISTANCE PROGRAM-SECTION 8 MODERATE REHABILITATION

(Section 8 Housing Assistance Payments Program for Very Low Income Families-Moderate Rehabilitation)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Act of 1937, Public Law 75-412, 42 U.S.C.1401-1435, as amended; Housing and Community Development Act of 1974, as amended, Public Law 93-383, 88 Stat. 662, 42 U.S.C. 1437f; Supplemental Housing Authorization Act of 1977, Public Law 95-24, 91 Stat. 53; Housing and Community Development Act of 1977, Public Law 95- 128, 91 Stat. 1111; Housing and Community Development Amendments of 1978, as amended, Public Law 95-557, 92 Stat. 2080; Housing and Community Development Amendments of 1979, Public Law 96-153, 93 Stat. 1121; Housing and Community Development Act of 1980, Public Law 96-399, 94 Stat. 1614; Housing and Community Development Amendments of 1981, Public Law 97-35; Housing and Urban-Rural Recovery Act of 1983, Public Law 100-242; Housing and Community Development Act of 1987, Public Law 101-235; Department of Housing and Urban Development Reform Act of 1989; Housing Opportunity Program Extension Act of 1996, Public Law 104-120; Multifamily Assisted Housing Reform and Affordability Act of 1997, Public Law 105-65.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe and sanitary rental housing.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe and sanitary housing for very low income families at rents they can afford. Housing assistance payments are used to make up the difference between the approved rent due to the owner for the dwelling unit and the occupant family's required contribution towards rent. Assisted families must pay the highest of 30 percent of their monthly adjusted family income, 10 percent of gross family income, or the portion of welfare assistance designated for housing toward rent. This program is inactive, i.e., no new projects are being approved.

**Applicant Eligibility:**

An authorized Public Housing Agency (any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof).

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area adjusted for small and large families). A very low income or, on an exception basis, lower income single person who is elderly, disabled or handicapped, displaced, or the remaining member of an eligible tenant family is also eligible.

**Credentials/Documentation:**

This program is no longer funded for new applications and awards.

**Preapplication Coordination:**

No applications for new projects are being accepted. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

No applications for new projects are being accepted.

**Award Procedure:**

No applications for new projects are being accepted.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Eligible owners may request a one-year Housing Assistance Payments Contract renewal. Requests must be made at least 75 days prior to Contract expiration.

**Formula and Matching Requirements:**

There are no matching requirements. Assisted families must pay the highest of 30 percent of their monthly adjusted family income, 10 percent of gross family income, or the portion of welfare assistance designated for housing toward rent.

**Length and Time Phasing of Assistance:**

Under the Moderate Rehabilitation Program, payments may be made for 180 days. Assistance may be extended for 12 months at a time when an eligible owner requests a Housing Assistance Payments Contract renewal.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; and Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; Report on Program Utilization, HUD Form 52683; Family Report, HUD Form 50058.

**Audits:**

Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Assistance Payments Contract.

**Account Identification:**

86-0303-0-1-604; 86-0319-0-1-604.

**Obligations:**

FY 07 Reported under 14.157; FY 08 est Reported under 14.157; and FY 09 est Reported under 14.157.

**Range and Average of Financial Assistance:**

Amount necessary to lease units and cover related administration, management, maintenance and operating expenses including utilities.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 28,000 units are available for occupancy or receiving subsidies under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882; Section 8 Housing Assistance Payments Program, Existing Housing and Moderate Rehabilitation Processing Handbook, 7420.3; PHA Administrative Practices Handbook for the Section 8 Existing Housing Program, 7420.7; Accounting Handbook 7420.6; Section 8 Rental Certificate, Rental Voucher, and Moderate Rehabilitation Programs Forms, Legal Contracts and Publications, Handbook 7420.7; PIH Notice 2001-13.

**Regional or Local Office:**

The HUD Office listed in the Catalog Address Appendix IV has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Office of the Deputy Assistant Secretary for Housing and Voucher Programs, Housing Voucher Management and Operations Division, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 402-0477. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/progdsc/pihindx.html>.

**RELATED PROGRAMS:**

14.871, Section 8 Housing Choice Vouchers; 14.850, Public and Indian Housing.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.862 INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Section 106(a), as amended, 42 U.S.C. 5301 et seq.; Housing and Urban Development Act, Section 7(d), 42 U.S.C. 3535(d).

**OBJECTIVES:**

To provide assistance to Indian tribes and Alaska Native villages in the development of viable Indian communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Indian tribes and Alaska Native villages may use block grants to improve the housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities which are eligible for funding include housing rehabilitation programs, acquisition of land for housing, direct assistance to facilitate homeownership among low and moderate income persons, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects particularly those by nonprofit tribal organizations or local development corporations when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Tribes and Alaska Native villages are restricted from using block grants for construction and improvement of governmental facilities, the purchase of equipment, general government expenses, operating and maintenance expenses, political activities, new housing construction (except through community-based development organizations (CBDOS), and income payments.

**Applicant Eligibility:**

Any Indian tribe, band, group, nation, or tribal organization, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native village that is eligible for assistance under the Indian Self-Determination and Education Assistance Act or which had been eligible under the State and Local Fiscal Assistance Act of 1972.

**Beneficiary Eligibility:**

The principal beneficiaries of ICDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income, as determined by HUD, adjusted for family size.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments.

**Preapplication Coordination:**

No preapplication required. Prior to submitting application, applicant must allow for citizen participation in application development. An environmental assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must file an application on forms prescribed by HUD, which describe the community development need and how that need will be addressed by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) Area Office is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Dates are published in a Notice of Funding Availability (NOFA) in the Federal Register.

**Range of Approval/Disapproval Time:**

From 75 to 110 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, usually within two years.

**Reports:**

Annual performance reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Grants) FY 07 \$61,796,147; FY 08 est \$62,000,000; and FY 09 est \$57,420,000.

**Range and Average of Financial Assistance:**

The estimated average grant in Fiscal Year 2003 (latest year data provided) was approximately \$600,000. The smallest and largest awards were \$177,274 and \$4,950,947, respectively.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1003.

**Regional or Local Office:**

Contact appropriate HUD Office of Native American Programs (ONAP) Area Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Native American Programs, Department of Housing and Urban Development, 451 Seventh St, S.W., Room 4126, Washington, DC 20410.  
Telephone: (202) 401-7914.

**Web Site Address:**

<http://www.hud.gov/offices/pih/ih/grants/icdbg.cfm>.

**RELATED PROGRAMS:**

14.867, Indian Housing Block Grants; 14.250, Rural Housing and Economic Development; 15.124, Indian Loans\_Economic Development; 15.141, Indian Housing Assistance; 93.612, Native American Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Fire station; housing rehabilitation grant program; cooperative store development; water lines and storage facility, community building.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village which has the capacity to administer a grant. Applications are then rated against factors which measure impact and quality.

## 14.865 PUBLIC AND INDIAN HOUSING-INDIAN LOAN GUARANTEE PROGRAM

(Loan Guarantees for Indian Housing)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, OFFICE OF NATIVE AMERICAN PROGRAMS, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1992, as amended; Public Law 102-550; 106 Stat. 3739; 12 U.S.C. 1515z-13a.

**OBJECTIVES:**

To provide homeownership opportunities to Native Americans, Tribes, Indian Housing Authorities including Tribally Designated Housing Entities (TDHEs), and Indian Housing Authorities on Indian land, through a guaranteed mortgage loan program available through private financial institutions.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Mortgage loans are for the acquisition or rehabilitation of existing homes, purchase and rehabilitation of a home or construction of a new home; and refinancing of existing debt (FY 03). The financial institution which originates the mortgage loan must meet certain requirements noted in the law.

**Applicant Eligibility:**

The loan applicant must be members of a federally recognized Indian tribe, band or community, which includes Native Americans, Alaska Natives, or an Indian Housing Authority including a Tribally Designated Housing Authority (TDHE) or a Tribe which meets certain requirements. Applicant eligibility is validated by current enrollment in a federally recognized tribe.

**Beneficiary Eligibility:**

The homeowner is the ultimate beneficiary of the program. When the Indian Housing Authority, TDHE or Tribe is the homebuyer, they may then rent the property. In these cases, the person renting the home would be an indirect beneficiary.

**Credentials/Documentation:**

Loan applicants must provide the lender with documentation on eligibility, assets, income, debts and liabilities to show ability to obtain and repay the mortgage loan.

**Preapplication Coordination:**

A Tribe must develop eviction, foreclosure, and priority of lien procedures and adopt a residential mortgage lease acceptable to HUD and the BIA for any property on trust land within their jurisdiction to be eligible for this program. The loan applicant must find an existing property or a builder to construct a home. The proposed home site must be in an Indian area as defined in the statute. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted to eligible financial institutions. With the loan application, the homebuyer must submit documentation such as pay stubs, W-2 forms (income tax returns if self-employed), evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender verifies the land status of the proposed property.

**Award Procedure:**

The financial institution obtains and reviews all documentation and forwards it to HUD's Office of Native American Programs. HUD sends the Section 184 Loan Guarantee Firm Commitment Form to the Lender, if the mortgage meets the Section 184 Program underwriting criteria. The financial institution is responsible for assuring Tribal eligibility, land status, property acceptability and the creditworthiness of the loan applicant. HUD has responsibility for the approval or disapproval of the loan (the application for loan guarantee). Eligible lenders may originate loans under the Direct Guarantee Program. Direct Guarantee lenders underwrite, approve and close the loan prior to submission to HUD for the Loan Guarantee Certificate.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

There are no specific time requirements for the processing of these loans.

**Appeals:**

Applicants whose loans are disapproved may appeal the disapproval if the applicant can provide additional documentation to resolve the issues which lead to the disapproval.

**Renewals:**

None.

**Formula and Matching Requirements:**

The loan amount is calculated based on 97.75 percent of the appraised value of the property if over \$50,000 and 98.75 percent if the property is valued at or under \$50,000. The applicant must have sufficient assets in cash (or their equivalent) to make the downpayment. The applicant's total debts (including the mortgage loan) should not exceed 41 percent of their income (unless valid compensating factors are presented).

**Length and Time Phasing of Assistance:**

The term of the loan cannot exceed 30 years. The processing time varies from



time of application to the time the loan closes, but in general will average from 30 to 120 days unless there are significant land issues; then 6 to 12 months is possible.

**Reports:**

Participating financial institutions must provide HUD with copies of loan files and must report to HUD on the status of the loan, once it has closed.

**Audits:**

Participating lenders, and closed loan files, are reviewed to assure compliance with the program's requirements.

**Records:**

Copies of loans files are maintained by HUD. The lender that originates the loan must maintain a copy of the loan file for 2 years after loan closing. The lender that services the loan must maintain the loan file for the life of the loan plus 3 years.

**Account Identification:**

86-0223-0-1-371.

**Obligations:**

(Loans guaranteed/commitment level) FY 07 \$235,074,000; FY 08 est \$367,000,000; FY 09 est \$367,000,000.

**Range and Average of Financial Assistance:**

The average loan amount in FY 2007 was \$168,009.

**PROGRAM ACCOMPLISHMENTS:**

The first loan was guaranteed on March 1, 1995. As of September 30 2007, 5,051 loans totaling \$664,841,253 had been guaranteed (cumulative over life of program).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1005; a Guidebook and literature is available from HUD's Office of Native American Programs.

**Regional or Local Office:**

None. Inquiries should be addressed to the Headquarters Office below.

**Headquarters Office:**

Thomas C. Wright, Director, Office of Loan Guarantee, Office of Native American Programs, 451 Seventh Street, S.W., Room 4126, Washington, DC 20410. Telephone: (202) 402-4978, or toll-free, (800) 561-5913.

**Web Site Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/184>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.866 DEMOLITION AND REVITALIZATION OF SEVERELY DISTRESSED PUBLIC HOUSING

(HOPE VI)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

The funding authority for HOPE VI revitalization grants under the fiscal year 2008 HOPE VI NOFA is provided by the Consolidated Appropriations Act, 2008 (Public Law 110-161, approved December 26, 2007) under the heading "Revitalization of Severely Distressed Public Housing (HOPE VI)." The program authority for the HOPE VI program is Section 24 of the 1937 Act, as amended by the Consolidated Appropriations Act, 2008 (Public Law 110-161, approved December 26, 2007).

**OBJECTIVES:**

Revitalization Grants enable PHAs to improve the living environment for public housing residents of severely distressed public housing projects through the demolition, substantial rehabilitation, reconfiguration, and/or replacement of severely distressed units; revitalize the sites on which severely distressed public housing projects are located and contribute to the improvement of the surrounding neighborhood; lessen isolation and reduce the concentration of low-income families; build sustainable mixed-income communities; and provide well-coordinated, results-based community and supportive services that directly complement housing redevelopment and that help residents to achieve self-sufficiency, young people to obtain educational excellence, and the community to secure a desirable quality of life.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

HOPE VI Revitalization grant funds may be used to fund the revitalization of severely distressed public housing developments. Such activities include the demolition of severely distressed public housing developments or portions thereof; relocation costs for affected residents; disposition activities; rehabilitation of existing public housing units and/or community facilities; development of new public and other housing units and community facilities;

homeownership activities; acquisition activities; necessary management improvements and administrative costs; and community and supportive services. Up to 15 percent of a grant may be used for community and supportive services activities.

**Applicant Eligibility:**

For HOPE VI Revitalization Grants, Public Housing Agencies (PHAs) operating public housing units are eligible to apply. Indian Housing Authorities and PHAs that only administer the Section 8 Program are not eligible to apply.

**Beneficiary Eligibility:**

For HOPE VI Revitalization Grants, the ultimate beneficiaries are residents of the severely distressed public housing and residents of the revitalized development.

**Credentials/Documentation:**

Eligibility requirements to apply for a HOPE VI grant are included in each year's Notice of Funding Availability (NOFA). This program is covered under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants are provided with guidance from HUD Headquarters and may ask questions of HUD staff while preparing their applications. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A NOFA is published in the Federal Register announcing the availability of funds and includes necessary application materials. The NOFA and all necessary application materials are made available on the Grants.gov website as well.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to participate in the HOPE VI program. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment."

**Deadlines:**

The deadline for submitting an application for HOPE VI is published in each year's NOFA.

**Range of Approval/Disapproval Time:**

Approximately 3 months from the application deadline date.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

None.

**Formula and Matching Requirements:**

Grantees must provide a 5 percent overall match. For HOPE VI Revitalization Grants, if more than 5 percent of the grant is used for Community and Supportive Services, any amount over that 5 percent must be matched (up to a maximum of 15 percent).

**Length and Time Phasing of Assistance:**

Each year's grant agreement sets out the requirements regarding timetables and milestones.

**Reports:**

Quarterly Progress Report, Quarterly Obligation and Expenditures Report, Closeout Report.

**Audits:**

HOPE VI Revitalization grants are audited in conjunction with regular HUD or independent public accountant audits of PHA operations in accordance with 24 CFR 85.26, and after grant close-out.

**Records:**

Copies of budgets and accumulative cost records through the grant period, and other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Grants) FY 07 \$97,020,000; FY 08 est \$97,600,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The HOPE VI Revitalization Grants awarded in FY 2006 ranged from \$11.9 to \$20 million, with an average of \$18 million. The maximum grant amount was set at \$20 million. Fiscal year 2007 grants ranged from \$8.855 to \$20 million, with an average of \$17.7 million. The maximum grant amount was set at \$20 million. Fiscal year 2008 grants have not yet been awarded (application deadline is June 20, 2008).

**PROGRAM ACCOMPLISHMENTS:**

Through fiscal year 1993 to 2007, PHAs received 35 planning, 242 revitalization, and 287 demolition-only grants and 9 HOPE VI Main Street. Fiscal year 2008 grants have not yet been awarded. Over 88,554 severely distressed public housing units have been demolished under the HOPE VI program. Over 67,332 new housing units have been developed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published. Each grant is subject to the terms of its

NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to its Home Page (<http://www.hud.gov/offices/pih/programs/ph/hope6/>) that provides Grantees with information on timelines, budgets, financial instructions, and other program guidance. HUD also publishes a Mixed-Finance Guidebook that is available to the public by calling (800) 955-2232.

**Regional or Local Office:**

The level of field office involvement in the administration of a project varies grant-by-grant. All HOPE VI Demolition grants are administered in the Field, and most Revitalization grants are administered in Headquarters. Applicants should contact the HUD Field Office listed on the internet at <http://www.hud.gov/local/> that has jurisdiction for their area.

**Headquarters Office:**

Assistant Secretary for Public and Indian Housing, Deputy Assistant Secretary for Public Housing Investments, Office of Urban Revitalization, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 401-8812.

**Web Site Address:**

<http://www.hud.gov/offices/pih/programs/ph/hope6/>.

**RELATED PROGRAMS:**

14.850, Public and Indian Housing; 14.872, Public Housing Capital Fund.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

As published in each NOFA.

## 14.867 INDIAN HOUSING BLOCK GRANTS

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA), Public Law 104-330 as amended October 21, 1998; December 27, 2000; November 13, 2002; October 30, 2004; December 22, 2005; and August 8, 2005.

**OBJECTIVES:**

To provide Federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Affordable housing activities such as: Indian Housing Assistance; Development; Housing Services; Housing Management Services; Crime Prevention and Safety Activities; and Model Activities.

**Applicant Eligibility:**

Indian tribes or tribally designated housing entities (TDHE) (to be eligible for Indian housing block grant funds the tribe or TDHE must submit an Indian housing plan that is in compliance with the requirements of Section 102 of NAHASDA).

**Beneficiary Eligibility:**

Primarily low-income families and in limited cases, over-income families may be eligible.

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public Law 93- 638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

None.

**Deadlines:**

Indian housing plans must be submitted prior to July 1st of each Federal Fiscal Year.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Amounts made available for assistance will be allocated to Indian tribes in compliance with the requirements under NAHASDA.

**Length and Time Phasing of Assistance:**

Indian Housing Block Grant funds are drawn down from the Treasury based on need using an electronic fund transfer disbursement and information system. Within 2 years of grant award, no less than 90 percent of the grant must be

obligated.

**Reports:**

Recipients are required to submit Grantee Expenditure Data and an Annual Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Cut off at end of fiscal year or calendar in which all master file events are closed out.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Grants) FY 07 \$617,265,000; FY 08 est \$621,770,000; and FY 09 est \$620,750,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$89,260,522; \$1,715,679.

**PROGRAM ACCOMPLISHMENTS:**

A variety of affordable housing activities that include, operating of 1937 housing units, development of new rental and homeownership housing, rehabilitation of existing units, housing counseling, housing management, and crime prevention.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1000.

**Regional or Local Office:**

Inquiries should be addressed to the Administrator, Office of Native American Programs at the appropriate area office (see Catalog Address Appendix IV for HUD Office of Native American Programs area office addresses in Chicago, Denver, Phoenix, Seattle, Oklahoma City and Anchorage).

**Headquarters Office:**

Headquarters Office of Native American Programs, 451 Seventh Street, S.W., Room 4126, Washington, DC 20410. Telephone: (202) 401-7914.

**Web Site Address:**

<http://www.hud.gov/progdsc/ihbg1208.cfm>.

**RELATED PROGRAMS:**

14.862, Indian Community Development Block Grant Program; 14.250, Rural Housing and Economic Development; 15.124, Indian Loans\_Economic Development; 15.141, Indian Housing Assistance; 93.612, Native American Programs.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.869 TITLE VI FEDERAL GUARANTEES FOR FINANCING TRIBAL HOUSING ACTIVITIES

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, OFFICE OF NATIVE AMERICAN PROGRAMS, OFFICE OF LOAN GUARANTEE, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Act (NAHASDA) of 1996, Public Law 104-330, 25 U.S.C. 401-4212.

**OBJECTIVES:**

To assist an Indian tribe or Tribally Designated Housing Entity (TDHE) to obtain financing for affordable housing activities under Title II of NAHASDA where an obligation cannot be completed without such guarantee.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Limited to the eligible affordable housing activities listed in Section 202 of the NAHASDA to include Indian Housing Assistance, Development, Housing Services, Housing Management Services, Crime Prevention and Safety Activities, and Model Activities approved by the Secretary.

**Applicant Eligibility:**

The applicant must be a Federally recognized Indian tribe or TDHE that is either a beneficiary or recipient of Indian Housing Block Grants (IHBG) funds.

**Beneficiary Eligibility:**

Indian tribes and their members are the beneficiaries. A TDHE acts on behalf of a tribe, as authorized by Tribal and TDHE resolutions.

**Credentials/Documentation:**

The applicant must provide the lender the documentation detailed in the "Title VI Application Process", including the certifications required under 24 CFR Section 1000.424(d) that the applicant possesses the legal authority to pledge,

and that it will, if approved, make the pledge of IHBG funds required by section 602(a)(2) of NAHASDA.

**Preapplication Coordination:**

Applicant submits a request for a Preliminary Letter of Acceptance (PLA) to HUD. The PLA is HUD's concurrence to proceed with the Title VI application. The PLA is not an approval of the Title VI application or a commitment to approve or guarantee the Title VI loan. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible lenders are detailed in the statute. The lender assembles the Title VI application package and submits it to HUD. HUD will review the application for compliance with Title VI of NAHASDA and the implementing regulations.

**Award Procedure:**

HUD issues a Letter of Firm Commitment to the lender when HUD approves the Title VI application and the mortgage meets the Title VI Program underwriting criteria. The lender then closes the loan and submits the closing package to HUD for review. Following a successful review, HUD issues a Certificate of Loan Guarantee to the lender.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The Title VI regulation at 24 CFR 1000.430(a) states that HUD will make every effort to approve an application within 30 days of the receipt of a completed application, and if HUD is unable to do so, will notify the lender (the applicant via the lender) within the 30 day time frame of the need for additional time to process the application and/or if additional information is required.

**Appeals:**

HUD will notify the lender in writing that the application has been reduced or disapproved and the specific reasons for the reduction or the disapproval. The lender may submit additional documentation to reverse the HUD decision.

**Renewals:**

None.

**Formula and Matching Requirements:**

Borrowers may be required to pledge security in addition to IHBG funds to secure the remaining 5 percent of the loan balance that is not secured by the 95 percent federal loan guarantee.

**Length and Time Phasing of Assistance:**

The term of the loan may exceed 20 years, as approved by HUD. The lender and applicant shall determine the terms of the repayment for each project, subject to HUD's approval.

**Reports:**

The lender will provide HUD a quarterly report on the guaranteed loan, including the status of the guaranteed loan, the current principal balance, and the amount collected during the quarter just ended.

**Audits:**

Participating lenders and closed loan files are reviewed to assure compliance with the program's requirements.

**Records:**

Copies of loan files are maintained by HUD. The originating lender must maintain a copy of the loan file for 2 years after loan is guaranteed. The servicing lender must maintain a loan file for the line of the loan plus 3 years.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Loans guaranteed/commitment level) FY 07 \$12,457,000; FY 08 est \$17,000,000; and FY 09 est \$17,000,000.

**Range and Average of Financial Assistance:**

A borrower's guaranteed obligations may not exceed an amount equal to the borrower's IHBG, less the amount needed to operate and maintain current assisted stock (CAS), times five (IHBG - CAS X 5 = maximum guaranteed amount).

**PROGRAM ACCOMPLISHMENTS:**

Title VI is a permanent program under Title VI of the NAHASDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000, subpart E; "The Title VI Application Process" and promotional literature are available from HUD's National Program Office of Native American Programs, Office of Loan Guarantee; and the Title VI web page (see the address below).

**Regional or Local Office:**

None (see Headquarters Office below).

**Headquarters Office:**

Robert Lamp, Loan Guarantee Specialist, Office of Loan Guarantee, Department of Housing and Urban Development, Office of Native American Programs, Room 4126, 451 Seventh Street, S.W., Washington, DC 20410. Telephone: (202) 402-4134. (This is not a toll free number).

**Web Site Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>

**RELATED PROGRAMS:**

14.865, Public and Indian Housing Indian Loan Guarantee Program.

**EXAMPLES OF FUNDED PROJECTS:**

Development of single family and multiple-family housing projects or subdivisions; integration of infrastructure resources on tribal lands; purchase and renovation of a mobile home lot.

**CRITERIA FOR SELECTING PROPOSALS:**

Title VI and Section 202 of NAHASDA; criteria is detailed in the "The Title VI Application Process" available from HUD's National Program Office, Office of Loan Guarantee, and on the Title VI web site (<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>).

**14.870 RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES - SERVICE COORDINATORS**

(ROSS Service Coordinators)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 34 of the 1937 Act, 42 U.S.C 1437z-6, as amended by the The Consolidated Appropriations Act, 2008 (Public Law 110-161, approved December 26, 2007).

**OBJECTIVES:**

To programmatically address the needs of public housing residents by providing service coordinator positions to coordinate supportive services, resident empowerment activities and/or assisting residents in becoming economically self-sufficient or age-in-place.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for the salary of Service Coordinator positions, with some administrative and training funds.

**Applicant Eligibility:**

Public Housing Authorities (PHAs), Tribes and tribally designated housing entities (TDHEs), resident councils and nonprofit entities supported by residents. Applicants must establish partnerships to leverage resources.

**Beneficiary Eligibility:**

Individuals, families, children, youth, adults as well as elderly/persons with disabilities who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review, applications in accordance with selection criteria in the NOFA published in the Federal Register.

**Deadlines:**

The NOFA will announce the deadline for application submission.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will be undertaken by HUD. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

All applicants must present evidence of matching funds, as specified in the NOFA.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 3-year time period.

**Reports:**

Grantees must keep records and make available semi-annual reports as specified by HUD.

**Audits:**

Grantees must adhere to the policies, guidelines and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; and OMB Circular Nos. A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

FY 07 reported under 14.876; FY 08 est \$40,000,000; and FY 09 est



\$37,620,000.

**Range and Average of Financial Assistance:**

\$200,000 to \$720,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 300-350 grants were awarded annually 2001-2007 for all ROSS programs available those years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

**Regional or Local Office:**

Designated persons in the Offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ron Ashford, Director, HOPE VI Community and Supportive Services;  
Telephone: (202) 402-4258.

**Web Site Address:**

<http://www.hud.gov/progdesc/pihindx.html>.

**RELATED PROGRAMS:**

14.877, Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

## 14.871 SECTION 8 HOUSING CHOICE VOUCHERS

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing Act of 1937, Section 8(o), as amended, 42 U.S.C. 1437(o); Department of Housing and Urban Development Act, Section 7(d), 42 U.S.C. 3535(d); Housing and Urban-Rural Recovery Act of 1983, Public Law 98-181; Housing and Community Development Act of 1987, Part 3, Public Law 100-242; National Affordable Housing Act of 1990, Public Law 101-625; Housing and Community Development Act of 1992, Public Law 102-550; Housing Opportunity Program Extension Act of 1996, Public Law 104-120; Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1998, Public Law 105-65; Quality Housing and Work Responsibility Act of 1998, Public Law 105-276; Preserving Affordable Housing for Senior Citizens and Families into the 21st Century Act of 1999, Public Law 106-74; Departments of Veterans Affairs, Housing and Urban Development; Independent Agencies Appropriations Act of 2000, and Violence Against Women and Justice Department Reauthorization Act of 2005, Public Law 109-162.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe, and sanitary rental housing. For Welfare-to-Work rental vouchers, families must also meet special welfare-to-work criteria. HUD regulations merged the former Section 8 Rental Voucher program (14.855) with the former Section 8 Certificate program (14.857). Section 502 of the Public Housing Reform Act states that a purpose of the legislation is "consolidating the voucher and certificate programs for rental assistance under Section 8 of the United States Housing Act of 1937 (the "USHA") into a single market-driven program that will assist in making tenant-based rental assistance more successful at helping low-income families obtain affordable housing and will increase housing choice for low-income families."

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area,

adjusted for smaller and larger families). At least 75 percent of families admitted to the voucher program during the PHA fiscal year must be extremely low income families (whose income does not exceed 30 percent of the median income for the area).

**Credentials/Documentation:**

In the Housing Choice Voucher Program, the PHA must support its application by furnishing data that the program proposed is responsive to the condition of the housing stock in the community and the housing assistance needs of very low income families (including the elderly, handicapped and disabled, large families and those displaced) residing in the community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Department will publish a Notice of Funding availability (NOFA) in the Federal Register identifying allocation areas, amount of funds available for each area, and the selection criteria for rating and ranking applications. Applicants will have at least 30 days to submit an application. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Submission of Application for Housing Assistance Payments Program (Form HUD-52515). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process. Welfare-to-Work vouchers were awarded through a national competition in fiscal year 1999.

**Deadlines:**

Applications should be submitted in accordance with the time frame stated in the NOFA.

**Range of Approval/Disapproval Time:**

Generally 45 days from the date of receipt and approval of applications.

**Appeals:**

None.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD.

**Formula and Matching Requirements:**

There are no matching requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058.

**Audits:**

Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

FY 07 \$15,970,659,000; FY 08 est \$16,051,000,000; and FY 09 est \$16,253,000,000.

**Range and Average of Financial Assistance:**

Amount necessary for the PHA to pay housing assistance payments and cover related administrative expenses. The housing assistance payment is generally the difference between the lower of the gross rent or the local payment standard and 30 percent of the family's adjusted income. The family may choose to rent a unit for more or less than the payment standard. When initially leasing a unit where the gross rent exceeds the payment standard, a family may not pay more than 40 percent of adjusted monthly income.

**PROGRAM ACCOMPLISHMENTS:**

Approximately two million families receive voucher program assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Rental Certificate, Rental Voucher and Moderate Rehabilitation Programs Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Office of the Public Housing and Voucher Programs, Housing Voucher Management and Operations Division, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-0477. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

## 14.872 PUBLIC HOUSING CAPITAL FUND

(CFP)

### FEDERAL AGENCY:

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

Housing Act of 1937, as amended; Quality Housing and Work Responsibility Act of 1998, Public Law 105-276.

### OBJECTIVES:

The Capital Fund provides funds annually to Public Housing Agencies (PHAs) for capital and management activities, including modernization and development of public housing. The Capital fund also permits PHAs to use Capital Funds for financing activities, including payments of debt service and customary financing costs, in standard PHA developments and in mixed-finance developments which include Public Housing.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

The funds may be used for the development, financing and modernization of public housing developments and for management improvements. The funds may not be used for luxury improvements, direct social services, costs funded by other programs, and ineligible activities as determined by HUD on a case-by-case basis.

### Applicant Eligibility:

The PHA must demonstrate that it has the legal authority to develop, own, modernize and operate a public housing development in accordance with the 1937 Act.

### Beneficiary Eligibility:

Low-income public housing residents.

### Credentials/Documentation:

PHAs must submit the following documents with their PHA Plan which includes a component for the Capital Fund Program: Form HUD-50075, PHA Certification of Compliance with The PHA Plan and Related Regulations; State or Local Certification of Consistency with the Consolidated Plan; Form HUD-5070, Certification of a Drug-Free Workplace; Form HUD-50071, Certification of Payments To Influence Federal Transactions; and Standard Form SF-LLL and SF-LLLa, Disclosure of Lobbying Activities (where applicable).

### Preapplication Coordination:

PHAs consult with local government officials and PHA residents as they plan for activities to be included in the CFP. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

PHAs annually submit a PHA Plan to the local HUD Field Office that consolidates information submitted by the PHA for various HUD programs into one document. The CFP is one component of the Plan.

### Award Procedure:

The Field Office reviews and approves the PHA Plan, which includes information relative to the CFP.

### Deadlines:

PHAs must submit a PHA Plan to the Field Office 75 days in advance of the PHA's fiscal year.

### Range of Approval/Disapproval Time:

The Field Office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

### Appeals:

To be determined through the rule-making process.

### Renewals:

None.

### Formula and Matching Requirements:

The formula is based on the backlog and accrual needs of PHAs. There are no matching requirements.

### Length and Time Phasing of Assistance:

The statute requires that CFP funds allocated to a PHA be fully obligated within 2 years and expended in 4 years unless the Secretary extends the time period.

### Reports:

To be determined through the rule-making process.

### Audits:

The CFP is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

### Records:

The PHA must maintain budgets and cumulative cost records for review by

HUD and independent auditors, as applicable.

### Account Identification:

86-0304-0-1-604.

### Obligations:

(Grants) FY 07 \$2,493,865,000; FY 08 est \$2,327,452,000; and FY 09 est \$1,939,038,000.

### Range and Average of Financial Assistance:

\$572 to \$340,826,471; \$667,760.

### PROGRAM ACCOMPLISHMENTS:

Section 519 of the Quality Housing and Work Responsibility Act of 1998 authorized the CFP. A Rule was published in the Federal Register on March 16, 2000 on the formula allocation process A proposed Rule for comment on CFP implementation as well as implementation of the Capital Fund Financing Program will be published in the Federal Register later in this Fiscal Year.

### REGULATIONS, GUIDELINES, AND LITERATURE:

24 CFR Part 905.

### Regional or Local Office:

Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

### Headquarters Office:

Assistant Secretary for Public and Indian Housing, Washington DC 20410.  
Telephone: (202) 708-0950.

### Web Site Address:

<http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 14.873 NATIVE HAWAIIAN HOUSING BLOCK GRANTS

### FEDERAL AGENCY:

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

Hawaiian Homelands Homeownership Act of 2000, Section 513, Public law 106-569.

### OBJECTIVES:

To provide housing assistance to low-income Native Hawaiian families who are eligible to reside on Hawaiian Home Lands.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Eligible affordable housing activities are development, housing services, crime prevention and safety activities, and model activities. NHHBG funds may only be used for eligible activities that are consistent with the Department of Hawaiian Home Lands housing plan.

### Applicant Eligibility:

The Department of Native Hawaiian Home Lands (DHHL) is the only eligible grant recipient.

### Beneficiary Eligibility:

Native Hawaiian families who are eligible to reside on the Hawaiian Home Lands.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Submission of Housing Plan.

### Award Procedure:

Native Hawaiian Housing Block Grant funds are provided to the Department of Hawaiian Home Lands (DHHL), the sole eligible grant recipient.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

Grant funds are made available on an annual basis, subject to annual congressional appropriations.

### Formula and Matching Requirements:

All Native Hawaiian Housing Block Grant funds are provided to DHHL. There are no matching requirements.

### Length and Time Phasing of Assistance:

Annual grants.

### Reports:

Annual performance reports to HUD.

**Audits:**

Compliance with the Single Audit Act and OMB Circular A-133.

**Records:**

Grant files are maintained by HUD for one year after grant closeout and destroyed six years after grant closeout pursuant to the HUD Records Disposition Handbook.

**Account Identification:**

86-0235-0-1-604.

**Obligations:**

FY 07 \$8,377,770; FY 08 est \$8,700,000; and FY 09 est \$5,641,000.

**Range and Average of Financial Assistance:**

Average \$9 million per year.

**PROGRAM ACCOMPLISHMENTS:**

Project activities that are underway include site and infrastructure improvements for new housing development, technical assistance to families for self-help construction, loan subsidies, and homeownership counseling and training. In FY 2007, 65 Native Hawaiian families received a new home under this program and 164 families were assisted with counseling and training services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Rule published June 13, 2002. Final regulations effective December 29, 2003.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claudine Allen, PIH/Office of Native American Programs, 500 Ala Moana Boulevard, Suite 3A, Honolulu, HI 96813. Telephone: (808) 522-8175 Ext. 223. E-mail: Claudine.C.Allen@hud.gov.

**Web Site Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/nhhbgprogram.cfm>.

**RELATED PROGRAMS:**

14.867, Indian Housing Block Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Maluohai Phase 3 on the island of Oahu - self-help technical assistance; Waiakea 6 on the island of Hawaii - infrastructure construction and low-interest loans; Kekaha Residence Lots on the island of Kauai - infrastructure construction, self-help technical assistance and subsidies.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.874 LOAN GUARANTEES FOR NATIVE HAWAIIAN HOUSING

(Section 184A)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 514 of the Hawaiian Homelands Homeownership of 2000, Public Law 106-569, added a new Section 184A to the Housing and Community Development Act of 1992, to authorize a new program of loan guarantees for Native Hawaiian housing.

**OBJECTIVES:**

To provide eligible Native Hawaiian families with greater access to private mortgage resources by guaranteeing loans for one-to four family housing located on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

A loan guaranteed under this part may only be used to construct, acquire, or rehabilitate eligible housing. The housing must be located on Hawaiian Home Lands for which a housing plan has been determined by HUD to be in compliance with regulations.

**Applicant Eligibility:**

A Native Hawaiian family; the Department of Hawaiian Home Lands; the Office of Hawaiian Affairs; a private nonprofit organization experienced in the planning and development of affordable housing for Native Hawaiians.

**Beneficiary Eligibility:**

Native Hawaiian homeowners are the beneficiaries of the program.

**Credentials/Documentation:**

Individual Loan Applicants must meet the definitions of Native Hawaiian and provide the eligible lender with documentation of that eligibility, assets, income, debts and liabilities to show ability to obtain and repay the loan.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted to eligible financial institutions. With the loan application, the homebuyer submits documentation such as pay stubs, W-2 forms, tax returns, evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain

and repay the mortgage. The lender will verify the eligibility of the land status.

**Award Procedure:**

The financial institution obtains and reviews all documentation and submits it to HUD. HUD is responsible for ensuring the individual applicants Native Hawaiian eligibility, land status per Section 204 of the Hawaiian Homes Commission Act, housing acceptability, and the creditworthiness of the applicant. HUD has responsibility for the approval or disapproval of the applicant and the issuance of the loan guarantee. If the loan guarantee funds are available, a firm commitment is issued to the lender. Firm commitments are valid for a period not to exceed 90 days from issuance.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

HUD may approve a loan for guarantee under this part and issue a certificate under this section only if HUD determines that there is a reasonable prospect of repayment of the loan.

**Appeals:**

Applicants whose loans are disapproved may appeal the disapproval. Additional documentation to resolve the issues which led to the disapproval may be required.

**Renewals:**

None.

**Formula and Matching Requirements:**

The loan amount will not exceed 97.75 percent of the appraised value of the property or 98.75 percent if the value of the property is \$50,000 or less.

**Length and Time Phasing of Assistance:**

The loan term shall not exceed thirty years. Processing time of the individual loans will depend on the quality of the lenders submittal and HUD's ability to ascertain proper land and lease status.

**Reports:**

Lenders will be required to report loan delinquencies on a quarterly basis.

**Audits:**

Participating lenders will be subject to review and closed loan files are subject to review to assure compliance with the requirements of Section 184A.

**Records:**

Copies of loan files will be maintained by HUD. The originating lender must maintain copies of the guaranteed loan file for 2 years after loan closing. The servicing lender must maintain the loan file for the life of the loan plus 3 years.

**Account Identification:**

86-0233-0-1-604.

**Obligations:**

(Loan Guarantee/Commitment Level) FY 07, \$36,425,000; FY 08 est \$41,504,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Claudine Allen, PIH/Office of Native American Programs, 500 Ala Moana Boulevard, Suite 3A, Honolulu, HI 96813. Telephone: (808) 522-8175 Ext. 223. E-mail: Claudine.C.Allen@hud.gov.

**Web Site Address:**

[www.hud.gov/codetalk](http://www.hud.gov/codetalk).

**RELATED PROGRAMS:**

14.865, Public and Indian Housing Indian Loan Guarantee Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 14.875 PUBLIC HOUSING NEIGHBORHOOD NETWORKS GRANTS

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 9(d)(1)(E) of the U.S. Housing Act of 1937.

**OBJECTIVES:**

To provide Public Housing Authorities with funding to create community technology centers which provide Internet access, job training, and other supportive services to residents of public housing.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A grant provided under the Public Housing Neighborhood Networks program may only be used for the purposes of creating a new Neighborhood Networks



center or expanding an existing center.

**Applicant Eligibility:**

Only Public Housing Authorities may apply.

**Beneficiary Eligibility:**

Residents of public housing are the only eligible beneficiaries.

**Credentials/Documentation:**

Applicants must provide evidence with their application submission that they are eligible and qualified to run the grant program.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Notice of Funding Availability (NOFA) is issued on an annual basis. The NOFA outlines application procedures, application deadlines, and funding available.

**Award Procedure:**

HUD reviews all applications received for eligibility, threshold requirements, and rating and ranking criteria. Once the review process is completed, award notifications are sent to applicants.

**Deadlines:**

The NOFA provides this information.

**Range of Approval/Disapproval Time:**

The application review process can last a few months.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

Applicants may not renew an existing grant. However, applicants may apply each year for new funding.

**Formula and Matching Requirements:**

Applicants are required to demonstrate a firmly committed 25 percent match of cash or in-kind donations.

**Length and Time Phasing of Assistance:**

The grant lasts for a period of three years.

**Reports:**

Grantees are required to submit semi-annual performance and financial reports to their local HUD field offices.

**Audits:**

An audit at the end of the grant term may be required.

**Records:**

HUD field offices retain copies of grantees' performance and financial reporting submissions. Grantees should retain all grant-related documentation for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Though there have been no Congressional appropriations for the Public Housing Neighborhood Networks Program since FY 2006, in November, 2007, a NOFA was made available for the last bit of roll-over funds available for this program. Awards to be made by FY end 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Parts 85, 905, and 968; and the Neighborhood Networks NOFA.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ron Ashford, Director, HOPE VI Community and Supportive Services.  
Telephone: (202) 401-8812 x4258.

**Web Site Address:**

[www.hud.gov/offices/pih/programs/ph/ross/aboutnn.cfm](http://www.hud.gov/offices/pih/programs/ph/ross/aboutnn.cfm).

**RELATED PROGRAMS:**

14.866, Demolition and Revitalization of Severely Distressed Public Housing;  
14.870, Resident Opportunity and Supportive Services - Service Coordinators.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are announced in the NOFA.

**14.876 RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES - ELDERLY AND PERSONS WITH DISABILITIES**

(ROSS Elderly and Persons with Disabilities)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 34 of the 1937 Act (42 U.S.C 1437z-6), as amended by the FY 2007

HUD Appropriations Act.

**OBJECTIVES:**

To programmatically address the needs of public housing residents by providing supportive services, resident empowerment activities and/or assisting residents in becoming economically self-sufficient. The primary focus of the program is on independent living and "aging in place."

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for supportive services activities, including the employment of project coordinators and/or direct services staff.

**Applicant Eligibility:**

Public Housing Authorities (PHAs), Tribes and tribally designated housing entities (TDHEs), resident councils and nonprofit entities supported by residents. Applicants must establish partnerships to leverage resources.

**Beneficiary Eligibility:**

Elderly/persons with disabilities who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Notice of Funding Availability prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review, rate and rank those applications in accordance with selection criteria in the NOFA published in the Federal Register. Awards will be made in rank order in each of the ten federal regions until all funds are expended.

**Deadlines:**

The NOFA will announce the deadline for application submission.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will be undertaken by HUD. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

All applicants must present evidence of matching funds, as specified in the NOFA.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 3-year time period.

**Reports:**

Grantees must keep records and make available semi-annual reports as specified by HUD.

**Audits:**

Grantees must adhere to the policies, guidelines and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; and OMB Circular Nos. A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

FY 07 \$50,000,000; FY 08 est reported under 14.870; and FY 09 est reported under 14.870.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 300 grants are awarded annually for all ROSS programs. For FY 08 and forward, ROSS Family and ROSS Elderly have been combined to ROSS Service Coordinators.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

**Regional or Local Office:**

Designated persons in the Offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ron Ashford, Director, HOPE VI Community and Supportive Services,  
Telephone: (202) 401-8812 Ext. 4258.

**Web Site Address:**

<http://www.hud.gov/progdsc/pihindx.html>.

**RELATED PROGRAMS:**

14.870, Resident Opportunity and Supportive Services - Service Coordinators;  
14.875, Public Housing Neighborhood Networks Grants; 14.877, Public

Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.877 PUBLIC HOUSING FAMILY SELF-SUFFICIENCY UNDER RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES**

(Public Housing Family Self-Sufficiency (PH FSS))

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 34 of the 1937 Act, 42 U.S.C 1437z-6, as amended by The Consolidated Appropriations Act, 2008 (Public Law 110-161, approved December 26, 2007).

**OBJECTIVES:**

To promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources to enable participating families to achieve economic independence and housing self-sufficiency.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used to pay the salary and fringe benefits of a program coordinator.

**Applicant Eligibility:**

Public Housing Authorities (PHAs) and Tribes and tribally designated housing entities (TDHEs).

**Beneficiary Eligibility:**

Individuals and families who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review those applications in accordance with the NOFA published in the Federal Register.

**Deadlines:**

The NOFA will announce the deadline for application submission.

**Range of Approval/Disapproval Time:**

HUD will undertake processing of applications and selection of successful applicants. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 1-year time period.

**Reports:**

Grantees must keep records and make available semi-annual reports as specified by HUD. Grantees must also report using the Family Self Sufficiency Addendum to the HUD-50058 form in the Public and Indian Housing (PIH) Information Center (PIC) unless otherwise arranged for MTW agencies.

**Audits:**

Grantees must adhere to the policies, guidelines and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; and OMB Circular Nos. A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

FY 07 Reported under 14.876; FY 08 Reported under 14.870; and FY 09 Reported under 14.870.

**Range and Average of Financial Assistance:**

\$68,000.

**PROGRAM ACCOMPLISHMENTS:**

130-200 grants each year since 2004.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

**Regional or Local Office:**

Designated personal in the offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ron Ashford, Director, HOPE VI Community and Supportive Services 202-401-8812 x4258.

**Web Site Address:**

<http://www.hud.gov/progdsc/pihindx.html>.

**RELATED PROGRAMS:**

14.870, Resident Opportunity and Supportive Services - Service Coordinators.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.878 AFFORDABLE HOUSING DEVELOPMENT IN MAIN STREET REJUVENATION PROJECTS**

(Main Street)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2008 (Public Law 110-161, approved December 26, 2007); Section 24, U.S. Housing Act of 1937 (42 U.S.C. 1437v), as amended; Section 402, HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003, Public Law 108-186.

**OBJECTIVES:**

To assist small communities in the rejuvenation of historic or traditional central business districts or "Main Street Areas" by replacing unused commercial space in buildings with Affordable housing units. The objectives of the program are to: (1) Redevelop Main Street Areas; (2) Preserve historic or traditional architecture or design features in Main Street Areas; (3) Enhance economic development efforts in Main Street Areas; and (4) Provide affordable housing in Main Street Areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Main Street grant funds may be used to rehabilitate or develop new affordable housing that is included in a Main Street rejuvenation effort. Main Street housing units must be maintained as affordable for the initial residents only. Each resident (or family) must have an adjusted income of 80 percent or less of the area median income. Allowable activities that may be funded by a Main Street grant include: development of new housing units; rehabilitation of non-habitable existing housing units; acquisition activities; homeownership activities; necessary management improvement costs; relocation costs for affected residents; and community and supportive services. Main Street grant funds must NOT be used to develop or replace public housing or to repair existing habitable housing. Main Street grant funded activities are limited to: affordable housing development that is part of an existing Main Street rejuvenation effort; development cost up to a maximum of HUD's Total Development Cost for public housing units; maximum fees and soft costs listed in HUD's public housing Safe Harbor Cost Controls; and a maximum of 15 percent of the grant amount to support community and supportive services activities.

**Applicant Eligibility:**

Eligible applicants include, and are limited to, Units of Local Government ("Local Government") that are subdivisions of State governments, and other governments listed in Section 102 of the Housing and Community Development Act of 1974. The jurisdiction of the Local Government must contain a population of no more than 50,000. The Local Government must either have no Public Housing Agency (PHA) or a PHA that administers no more than 100 public housing units.

**Beneficiary Eligibility:**

The beneficiaries are low-income families that occupy the newly developed affordable housing, and the local community that is benefiting from the Main Street rejuvenation project.

**Credentials/Documentation:**

Eligibility requirements to apply for a Main Street VI grant are included in each year's Notice of Funding Availability (NOFA). This program is covered under OMB Circular No. A-87.

**Preapplication Coordination:**

After Federal Register publication of the Main Street (NOFA), applicants are

provided with guidance from HUD Headquarters and may ask questions of HUD staff while preparing their applications. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance if the State has selected the program for review.

**Application Procedure:**

A NOFA is published in the Federal Register announcing the availability of funds and referring applicants to application materials available from Grants.gov, at <http://www.grants.gov>. Applications must be submitted electronically to Grants.gov. Further information on registration into Grants.gov can be obtained at HUD's <http://www.hud.gov/grants> website.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected receive a Main Street grant. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment."

**Deadlines:**

The deadline for submitting an application for Main Street is published in each year's NOFA.

**Range of Approval/Disapproval Time:**

Approximately one month from the application deadline date.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Grantees must provide a 5 percent match from funding sources other than Section 24 of the 1937 Housing Act, (the Main Street or HOPE VI Programs).

**Length and Time Phasing of Assistance:**

Grants have a term of 30 months. The applicant must include its program schedule in the application.

**Reports:**

Quarterly Progress Report, Quarterly Obligation and Expenditures Report, Logic Model, and Closeout Report.

**Audits:**

Main Street grants are audited with regular audits of the unit of local government and after grant close-out.

**Records:**

Copies of budgets and accumulative cost records through the grant period, and other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Grants) FY 07 \$3,000,000; FY 08 est \$4,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The Main Street Grants have a statutory maximum of \$1 million per grant and a total Annual amount of at most 5 percent of that year's HOPE VI appropriation.

**PROGRAM ACCOMPLISHMENTS:**

Approximately half of the Main Street grants funded the development of housing units in small, single building projects. The other half of the grants added to the mixed-finance funding of larger developments of up to seventy-five units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published, although authorizing legislation at Section 24 of the 1937 Housing Act is extremely detailed. Although not specifically applicable, Main Street housing development is processed using HUD's Office of Public and Indian Housing Mixed-finance regulations at 24 CFR 941.606, or HOPE VI homeownership under Section 24 of the 1937 Act. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to its Main Street website at <http://www.hud.gov/offices/pih/programs/ph/hope6/grants/mainstreet/> with links to Main Street's most recent NOFA, program summaries, general guidance materials, mixed-finance guidance materials, and relevant statutes, regulations and notices. This web site provides Grantees with information on timelines, budgets, financial instructions, and other program guidance.

**Regional or Local Office:**

All Main Street grants are administered at Headquarters by the Office of Public Housing Investments (OPHI). The level of field office involvement in the administration of Main Street grants is limited to issuance of the required environmental review (24 CFR Part 50), and construction inspections. Grantees should contact OPHI at (202) 401-8812, until a HUD Grant Manager is assigned. Grantees should also contact the HUD Field Office Public Housing Division that has jurisdiction for their area. Local Public Housing Divisions are listed on the internet at <http://www.hud.gov/offices/pih/about/focontacts.cfm>.

**Headquarters Office:**

Assistant Secretary for Public and Indian Housing, Deputy Assistant Secretary for Public Housing Investments, Office of Urban Revitalization, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC

20410. Telephone: (202) 401-8812.

**Web Site Address:**

<http://www.hud.gov/offices/pih/programs/ph/hope6/grants/mainstreet/>.

**RELATED PROGRAMS:**

14.866, Demolition and Revitalization of Severely Distressed Public Housing; 14.872, Public Housing Capital Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As published in each NOFA.

## 14.879 MAINSTREAM VOUCHERS

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Cranston Gonzalez National Affordable Housing Act, 42 U.S.C. 8013, Public Law 101-625.

**OBJECTIVES:**

To aid persons with disabilities (elderly and non-elderly) in obtaining decent, safe, and sanitary rental housing For Welfare-to-Work rental vouchers, families must also meet special welfare-to-work criteria.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Public housing agencies (PHA) that is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area and non-profit organization that provide services to the disabled as defined in 42 U.S.C.

**Beneficiary Eligibility:**

Disabled family that is income-eligible under the Housing Choice Voucher program regulations at 24 CFR 982.201(b)(1) as well as other wise eligible under the regulations at 24CFR 982.201, may receive a voucher awarded on the Mainstream Program Applicants with disabilities must be selected from the PHA's or nonprofit organization's housing choice voucher waiting list.

**Credentials/Documentation:**

In the Mainstream Voucher Program, the PHA or non-organization must support its application by furnishing data that the program proposed is responsive to the demand for housing for non-elderly and elderly persons with disabilities would equal or exceed the requested number of vouchers.

**Preapplication Coordination:**

To the extent appropriations are available, the Department will publish a Notice of Funding availability (NOFA) in the Federal Register identifying allocation areas, amount of funds available for each area, and the selection criteria for rating and ranking applications. Applicants will have at least 60 days to submit an application. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Submission of Application for Housing Assistance Payments Program (Form HUD-52515). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Applications should be submitted in accordance with the time frame stated in the NOFA.

**Range of Approval/Disapproval Time:**

Generally 45 days from the date of receipt and approval of applications.

**Appeals:**

None.

**Renewals:**

Expiring increments of Mainstream voucher program assistance are automatically renewed by HUD.

**Formula and Matching Requirements:**

There are no matching requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 5 years.

**Reports:**



Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; and Family Report, HUD Form 50058 and Logic Model, HUD Form 96010.

**Audits:**

Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Mainstream/Housing Choice Voucher Contract.

**Account Identification:**

86-0237-0-1-604.

**Obligations:**

FY 07 \$73,662,000; FY 08 \$74,745,000; and FY 09 \$87,100,000.

**Range and Average of Financial Assistance:**

Amount necessary for the PHA to pay housing assistance payments and cover related administrative expenses. The housing assistance payment is generally the difference between the lower of the gross rent or the local payment standard and 30 percent of the family's adjusted income. The family may choose to rent a unit for more or less than the payment standard. When initially leasing a unit where the gross rent exceeds the payment standard, a family may not pay more than 40 percent of adjusted monthly income.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 14,000 families receive Mainstream Voucher assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Housing Choice Voucher Program, Form, Legal Contracts, and Publications Handbook, 7420.8; and the Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Office of the Public Housing and Voucher Programs, Housing Voucher Management and Operations Division, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-0477. Use the same 7-digit number for FTS.

**Web Site Address:**

[http://www.hud.gov/offices/pih/programs/hcv/about/fact\\_sheet.cfm](http://www.hud.gov/offices/pih/programs/hcv/about/fact_sheet.cfm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

## 14.880 FAMILY UNIFICATION PROGRAM (FUP)

**FEDERAL AGENCY:**

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Section 8(x) of the United States Housing Act of 1937 (42 U.S.C.1437(x)), Title II of Division K of the Consolidated Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To aid families for whom the lack of adequate housing is the primary factor in the separation, or the threat of imminent separation, of children from their families, and youths ages 18-21 years old who left foster care at age 16 or older and lack adequate housing. FUP eligible families and youths can have access to Housing Choice Voucher (HVC) to obtain decent, safe, and affordable housing units on the private market.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Families and youths that are income eligible under the HCV program regulations at 24 CFR 982.201 may receive a voucher awarded under the FUP. Families and youths must be referred to the PHA from the local Child Welfare Agency (CWA).

**Credentials/Documentation:**

In the FUP, the PHA must support its application by furnishing data that the program proposed is responsive to the demand of FUP eligible families and youths would equal or exceed the requested number of voucher.

**Preaapplication Coordination:**

The Department will publish a Notice of Funding availability (NOFA) in the Federal Register identifying allocation areas, amount of funds available for each area, and the selection criteria for rating and ranking applications. Applicants will have at least 30 days to submit an application. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Submission of Application for Housing Assistance Payments Program (Form HUD-52515). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Applications should be submitted in accordance with the time frame stated in the NOFA.

**Range of Approval/Disapproval Time:**

Generally 45 days from the date of receipt and approval of applications.

**Appeals:**

None.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD.

**Formula and Matching Requirements:**

There are no matching requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months.

**Reports:**

Supporting Data for Annual Contributions Estimates, form 52672; Estimate of Total Required Annual Contributions, HUD form 52673; Requisition for Partial Payment of Annual Contributions, HUD form 52663; Voucher for payment of Annual contributions and Operating Statement, HUD form 52681 and 52681-B; and Family Report, HUD Form 50058 and Logic Model, HUD form 96010.

**Audits:**

Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

FY 07 \$0; FY 08 est \$20,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Amount necessary for the PHA to pay housing assistance payments and cover related administrative expenses. The housing assistance payment is generally the difference between the lower of the gross rent or the local payment standard and 30 percent of the family's adjusted income. The family may choose to rent a unit for more or less than the payment standard. When initially leasing a unit where the gross rent exceeds the payment standard, a family may not pay more than 40 percent of adjusted monthly income.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 24,426 families receive voucher program assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Housing Choice Voucher Program Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Office of the Public Housing and Voucher Programs, Housing Voucher Management and Operations Division, Department of Housing and Urban Development, Washington, DC 20410. Telephone: (202) 708-0477. Use the same number for FTS.

**Web Site Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

## 14.881 MOVING TO WORK DEMONSTRATION PROGRAM

### FEDERAL AGENCY:

PUBLIC AND INDIAN HOUSING, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Public Law 104-134, 110 Stat. 1321).

### OBJECTIVES:

The purpose of this demonstration is to give public housing agencies and the Secretary of Housing and Urban Development the flexibility to design and test various approaches for providing and administering housing assistance that: reduce cost and achieve greater cost effectiveness in Federal expenditures; give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient; and increase housing choices for low-income families.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Under the demonstration, notwithstanding any provision of the United States Housing Act of 1937 except as provided in section 204(e) of Public Law 104-134, an agency may combine operating assistance provided under section 9 of the United States Housing Act of 1937, and tenant-based assistance provided under section 8 of such Act, to provide housing assistance for low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937, and services to facilitate the transition to work on such terms and conditions as the agency may propose and the Secretary may approve.

### Applicant Eligibility:

Public housing agencies administering the public housing program and/or the section 8 housing assistance payments program may be selected by the Secretary to participate.

### Beneficiary Eligibility:

Low-income public housing residents.

### Credentials/Documentation:

PHAs must enter into an agreement with the Department that details the terms and conditions of participation in the demonstration.

### Preapplication Coordination:

Preapplication Coordination: PHAs consult with local government officials and PHA residents as they plan for activities to be included in the application. The initial application must request authority to combine assistance under sections 8 and 9 of the United States Housing Act of 1937; must be submitted only after the public housing agency provides for citizen participation through a public hearing and, if appropriate, other means; and must include a plan developed by the agency that takes into account comments from the public hearing and any other public comments on the proposed program, and comments from current and prospective residents who would be affected. This program is not eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

### Application Procedure:

PHAs annually submit an MTW Plan to the program office that documents new and ongoing MTW activities. Plans must include criteria for: (A) families to be assisted, which shall require that at least 75 percent of the families assisted by participating demonstration public housing authorities shall be very low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937; (B) establishing a reasonable rent policy, which shall be designed to encourage employment and self-sufficiency by participating families, consistent with the purpose of this demonstration, such as by excluding some or all of a family's earned income for purposes of determining rent; (C) continuing to assist substantially the same total number of eligible low-income families as would have been served had the amounts not been combined; (D) maintaining a comparable mix of families (by family size) as would have been provided had the amounts not been used under the demonstration; and (E) assuring that housing assisted under the demonstration program meets housing quality standards established or approved by the Secretary; and (4) may request assistance for training and technical assistance to assist with design of the demonstration and to participate in a detailed evaluation.

### Award Procedure:

The program office reviews and approves the MTW Plan.

### Deadlines:

PHAs must submit an MTW Plan to the program office 75 days in advance of the PHA's fiscal year.

### Range of Approval/Disapproval Time:

The program office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

### Appeals:

To be determined.

### Renewals:

None.

### Formula and Matching Requirements:

MTW agencies are funded in accordance with their agreement. No additional funds other than those provided under Sections 8 and 9 of the United States Housing Act of 1937 are provided.

### Length and Time Phasing of Assistance:

MTW agencies must meet the requirements stated in their MTW agreement.

### Reports:

To be determined.

### Audits:

The MTW program is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

### Records:

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

### Account Identification:

86-0302-0-1-604; 86-0304-0-1-604; 86-0163-0-1-604.

### Obligations:

(Grants) FY 07 reported under 14.871, 14.872, 14.850; FY 08 reported under 14.871, 14.872, 14.850; and FY 09 reported under 14.871, 14.872, 14.850.

### Range and Average of Financial Assistance:

\$3,849,147 to \$710,871,239; \$99,333,263.

### PROGRAM ACCOMPLISHMENTS:

A standard MTW Agreement was developed and implemented in 2008. It has a ten-year term and will mandate evaluations of MTW agencies three years and six years into the demonstration.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not applicable.

### Regional or Local Office:

Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Program office addresses).

### Headquarters Office:

Assistant Secretary for Public and Indian Housing, Washington DC 20410. Telephone: (202) 708-0950.

### Web Site Address:

<http://www.hud.gov/offices/pih/programs/ph/mtw/>.

### RELATED PROGRAMS:

14.850, Public and Indian Housing; 14.871, Section 8 Housing Choice Vouchers; 14.872, Public Housing Capital Fund.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 14.900 LEAD-BASED PAINT HAZARD CONTROL IN PRIVATELY-OWNED HOUSING

### FEDERAL AGENCY:

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

Sections 501 and 502 of the Housing and Urban Development Act of 1970; Consolidated Appropriations Act 2008, Public Law 110-161.

### OBJECTIVES:

Lead-Based Paint Hazard Control grants assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) Preventing childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) establishing a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

For Fiscal Year 2008, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submit your electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

States, Tribes, cities or units of general local government that have a current, approved Consolidated Plan. Federal agencies and Federal employees are not eligible to submit applications. Applicants with outstanding civil rights violations are not eligible for funding.

**Beneficiary Eligibility:**

Hazard Control Grants shall be for lead-based paint hazard control in eligible target housing, as defined under Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) as amended by Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X). Funds shall be available only for projects conducted using contractors and inspectors certified, through an EPA authorized program, or trained in lead-safe work practices using a HUD-approved curriculum.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Lead-Based Paint Hazard Control grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, E-mail [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://grants.gov) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Applications must be received and validated by [Grants.gov](http://Grants.gov) no later than 11:59:59 on July 10, 2008, the date specified in the 2008 NOFA. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Lead Hazard Control Grant Program requires a minimum of 10 percent local matching requirement. Community Development Block Grant funds are eligible as a local contribution.

**Length and Time Phasing of Assistance:**

The Hazard Control Grant award is for 36 months. HUD reserves the right to approve no cost time extensions.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions.

**Audits:**

In accordance with OMB Circular A-133.

**Records:**

As required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Grants, Contracts, IAAs) FY 07 \$76,400,000; FY 08 est \$86,600,000; and FY 09 est \$95,000,000.

**Range and Average of Financial Assistance:**

With Fiscal Year 2008 funds an estimated 26 to 40 Lead Hazard Control grants of \$1 million to \$3 million will be awarded totaling \$76.4 million.

**PROGRAM ACCOMPLISHMENTS:**

Since the inception of the lead programs over 100,000 units have been made lead-safe and over 300,000 units have been tested.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application Kit are self-contained; all necessary information is provided; no other regulations pertain. For Hazard Control Grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonnette G. Hawkins, Director, Programs Division, Office of Lead Hazard Control, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room 8236, Washington, DC 20410. Telephone: (202) 402-7593 (this is not a toll-free number). If you are a hearing-or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Web Site Address:**

<http://www.hud.gov/offices/lead/>.

**RELATED PROGRAMS:**

14.902, Lead Technical Studies Grants; 14.903, Operation Lead Elimination Action Program; 14.904, Lead Outreach Grants; 14.905, Lead Hazard Reduction Demonstration Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Lead Hazard Control Grant projects are designed to accomplish the following objectives: Perform testing and lead hazard control activities in targeted, low-income, private housing, and conduct general or targeted community awareness and education programs on lead hazard control and poisoning prevention within this designated area.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.

## 14.901 HEALTHY HOMES DEMONSTRATION GRANTS

**FEDERAL AGENCY:**

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Sections 501 and 502 of the Housing and Urban Development Act of 1970;  
Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

The purpose of the Healthy Homes Demonstration Program is to develop, demonstrate, and promote cost-effective, preventive measures to correct multiple safety and health hazards that produce serious disease in children and other sensitive subgroups such as the elderly, with a particular focus on low-income households. The Healthy Homes Demonstration program is committed to supporting the Departmental Strategic Goal of strengthening communities by addressing housing conditions that threaten health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

This program focuses on demonstration projects that implement housing assessment, maintenance, renovation and construction techniques to identify and correct housing-related illness and injury risk factors; they may also include outreach and education activities. Applicants must expend at least 65% of project funds on remediation, be specific as to the locations they are targeting their intervention activities to occur, the residents, individuals or groups targeted to receive interventions, and the organizations targeted to continue to operate effective intervention strategies over the life of the award and thereafter.

**Applicant Eligibility:**

Eligible applicants include: not-for-profit institutions, and for-profit firms located in the U.S, State and local governments, Federally-recognized Native Indian Tribes and colleges and universities. For-profit firms are not allowed to make profit from the project. Individuals are not eligible to apply.

**Beneficiary Eligibility:**

Healthy Homes Demonstration grants are intended to serve a broad array of beneficiaries including homeowners, rental property owners, and public housing residents.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally-recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Healthy Homes Demonstration Grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, E-mail: [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://grants.gov) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.



**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

To be considered for funding, the application should be submitted electronically through [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. on July 17, 2008, the date and time specified in the 2008 NOFA. Applications for waivers from the electronic submission must be submitted as specified in the General Section. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Healthy Homes Demonstration grants are awarded for a period of performance up to 36 months from the effective date of award. HUD reserves the right to approve no cost time extensions. Payment is on a cost-reimbursable basis.

**Reports:**

Quarterly financial management and performance reports and benchmark standards are required.

**Audits:**

In accordance with OMB Circular No. A-133.

**Records:**

For State, local and Federally-recognized Indian Tribal governments, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally-recognized Indian Tribal Governments." For nonprofit and educational institutions, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Grants) FY 07 \$4,897,000; FY 08 est \$4,375,000; and FY 09 est \$5,000,000.

**Range and Average of Financial Assistance:**

HUD will make about \$5,000,000 available in FY 2006 funds for the Healthy Homes.

**PROGRAM ACCOMPLISHMENTS:**

Healthy Homes Demonstration Program activities have included hazard assessment and mitigation projects, national and local public education efforts, and housing-related hazard awareness training for health care and day care professionals, environmental specialists, peer educators and hazard remediation workers. Through two grants specifically targeting mold and moisture control in inner city housing, a visual assessment protocol, with linkages to work specifications, was developed. One education grant developed and launched a web-based 'E-house' that enabled parents to 'walk from room to room' identifying household pollutants, pathways of exposure and finding alternative products and services for minimizing potential health risks.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is available at [Grants.gov](http://Grants.gov); all necessary information is provided; no other regulations pertain. For Healthy Homes Program Cooperative Agreements, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Suzanne Gaynor, Office of Lead Hazard Control, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room P-3206, Washington, DC 20410. Telephone: (202) 402-7689 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Web Site Address:**

<http://www.hud.gov/offices/lead/>.

**RELATED PROGRAMS:**

14.902, Lead Technical Studies Grants; 14.903, Operation Lead Elimination Action Program; 14.906, Healthy Homes Technical Studies Grants.

**EXAMPLES OF FUNDED PROJECTS:**

The New England Asthma Regional Council promotes the adoption of the Asthma Regional Council (ARC) Guidelines for incorporating healthy housing practices in new construction and rehabilitation projects. Training is being provided to 200 code inspectors, 100 affordable housing professionals, and 70 residents. Neighborhood House, in Seattle, in collaboration with public and private partners, will adopt a holistic approach to construct 35 asthma-safe

homes through the HOPE VI projects of the Seattle Housing Authority.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.

**14.902 LEAD TECHNICAL STUDIES GRANTS****FEDERAL AGENCY:**

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Title X, Public Law 102-550; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5.

**OBJECTIVES:**

To fund technical studies to improve methods for detecting and controlling lead-based paint hazards.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

For fiscal year 2008, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at [www.grants.gov](http://www.grants.gov). The application is an electronic application. You must be registered at [www.grants.gov](http://www.grants.gov) to submit your application.

**Applicant Eligibility:**

Academic, not-for-profit and for-profit institutions located in the U.S. (for-profit firms are not allowed to profit from the project), State and local governments, and Federally-recognized Indian Tribes in the United States. Federal agencies and Federal employees are not eligible to apply for this program.

**Beneficiary Eligibility:**

Homeowners, rental property owners, and public housing residents in housing with lead-based paint and/or lead-based paint hazards.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally-recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Lead Technical Studies Grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, e-mail [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://grants.gov) at 800-518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

To be considered for funding, the application should be submitted electronically through [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. on July 3, 2008, the date and time specified in the 2008 NOFA. Applications for waivers from the electronic submission must be submitted as specified in the General Section. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Lead Technical Studies grants are awarded up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Payment is on a cost-reimbursable basis.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted

in Circular No. A-133.

**Records:**

For State, local and Federally-recognized Indian Tribal governments, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally-recognized Indian Tribal Governments." For nonprofit and educational institutions, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

FY 07 \$3,499,997; FY 08 est \$2,200,000; and FY 09 est \$2,000,000.

**Range and Average of Financial Assistance:**

The total amount to be awarded is approximately \$2 million. The anticipated amounts and/or numbers of individual awards will be approximately 3 to 5 awards, ranging from approximately \$200,000 to no more than \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Lead Technical Studies grants have resulted in, for example, improved methods for detecting and controlling lead-based paint hazards, including methods for lead sampling and analysis, such as a protocol for measuring lead in soil using portable X-ray fluorescence analyzers, and an evaluation of various methods for addressing lead contaminated soils.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application Kit are self-contained; all necessary information is provided; no other regulations pertain. For Hazard Control Grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Robert F. Weisberg, Office of Healthy Homes and Lead Hazard Control, 451 7th Street, S.W., Room 8236, Washington, DC 20410. E-mail: Robert.F.Weisberg@hud.gov. Telephone: (202) 402-7687 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at (800) 877-8339.

**Web Site Address:**

<http://www.hud.gov/offices/lead/techstudies/index.cfm>.

**RELATED PROGRAMS:**

14.901, Healthy Homes Demonstration Grants; 14.906, Healthy Homes Technical Studies Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Studies to developing new class of accurate and user friendly color-based spot test kits for lead in household paint and dust, to assess the impact of building demolition on release of lead contaminated dust, and to develop and validate a precise method for collecting surface dust on a variety of surface types.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.

## 14.903 OPERATION LEAD ELIMINATION ACTION PROGRAM

(LEAP)

**FEDERAL AGENCY:**

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Sections 501 and 502 of the Housing and Urban Development Act of 1970; Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To leverage private sector resources to eliminate lead poisoning as a major public health threat to young children. Operation LEAP will provide seed money in the form of grants to applicants that demonstrate a concrete ability to leverage substantial private sector resources to be used for lead hazard control related activities. Resources generated through Operation LEAP will be used and/or distributed by non-profits or for-profits to assist National, State and local entities actively engaged in creating lead-safe housing for families with young children on both a preventive and remedial basis.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submit your electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

To be eligible to apply for funding under the Operation Lead Elimination Action Program (LEAP), the applicant must be a non-profit or for-profit entity or firm. For-profit institutions are not allowed to earn a fee. Colleges and Universities are also eligible to apply. National and local groups are encouraged to apply. States, cities, counties and units of local government and their departments are not eligible.

**Beneficiary Eligibility:**

Homeowners, rental property owners, and public housing residents.

**Credentials/Documentation:**

Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Operation Lead Elimination Action Program (LEAP) Grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, E-mail: [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](tel:800518GRANTS) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Award Procedure:**

HUDs review and awarding procedures are explained in the NOFA.

**Deadlines:**

To be considered for funding, the application should be submitted electronically through [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. on July 10, 2008, the date and time specified in the 2008 NOFA. Applications for waivers from the electronic submission must be submitted as specified in the General Section. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The Operation LEAP grants are awarded for up to 36 months. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. HUD reserves the right to approve no cost time extensions.

**Reports:**

Quarterly financial management and performance reports are required.

**Audits:**

In accordance with OMB Circular No. A-133.

**Records:**

In accordance with OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

FY 07 \$17,500,000; FY 08 est \$17,500,000; and FY 09 est \$2,000,000.

**Range and Average of Financial Assistance:**

For Operation Lead Elimination Action Program (LEAP) Approximately \$500,000 to maximum of \$2,000,000 per grant. Approximately 9 to 12 grants will be awarded to applicants for Operation LEAP.

**PROGRAM ACCOMPLISHMENTS:**

Grantees leveraged private sector resources and utilizing leveraged funds for lead-hazard control related work.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application Kit are self-contained; all necessary information is provided; no other regulations pertain. For Hazard Control Grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonnette G. Hawkins, Director, Programs Division, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street S.W. Room 8236, Washington, DC 20410-3000 or by telephone, fax, or E-mail: [Jonnette\\_G\\_Hawkins@hud.gov](mailto:Jonnette_G_Hawkins@hud.gov) (use underscores), Telephone: (202)402-7593 (this is not a toll-free number), Fax: (202) 755-1000. If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal

Information Relay Service at (1-800 877-8339).

**Web Site Address:**

<http://www.hud.gov/offices/lead>.

**RELATED PROGRAMS:**

14.900, Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.904, Lead Outreach Grants; 14.905, Lead Hazard Reduction Demonstration Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

National Safety Council assists community-based organizations in building local capacity for lead hazard control and to implement lead hazard control projects in low income privately-owned rental or owner occupied housing in high risk neighborhoods. The ACCESS Agency will partner with the Salvation Army, a coalition of low-income homeowners and landlords of low-income housing, a regional municipal health department, a regional hospital, regional municipalities, area banks and local motels to provide temporary housing for families whose homes are undergoing lead hazard control action, mobilize private sector resources, provide meaningful educational activities for residents and landlords that focus on the dangers of lead poisoning in the home and strategies to minimize these dangers, and, provide financial and technical assistance to low-income landlords and homeowners to enable them to upgrade residential units and make them lead-safe for families and children. The Neighborhood Improvement Development Corporation will use health/housing partnerships with the Milwaukee Health Department, local banks, neighborhood associations, apartment owners, and the Milwaukee Foundation. The Energy Program Consortium, a joint venture of low-income home energy assistance program directors; state weatherization assistance program directors, and state energy officials, will raise funds for lead hazard control activities from national foundations, corporations and financial institutions, building upon the successful collaboration between local lead hazard control and weatherization programs.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.

## 14.904 LEAD OUTREACH GRANTS

**FEDERAL AGENCY:**

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Sections 1011(e)(8) and (g)(1) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 and the Consolidated Appropriations Act, 2008 (Public Law 110-161, approved December 26, 2007). Section 1011(e)(8) and Section 1011(g)(1).

**OBJECTIVES:**

(1) Increase enrollment of low-income units in HUD or other lead hazard treatment programs. (2) Increase number of residents, housing owners, community leaders, maintenance and rehabilitation workers, and other related persons who are aware of and able to identify lead-based paint hazards. (3) Increase number of residents, housing owners, community leaders, maintenance and rehabilitation workers, and other related persons who understand proper lead hazard control methods. (4) Develop easy to use and sustainable systems for reporting and addressing lead hazards. (5) Develop effective partnerships between public and private entities, including grassroots, community-based and faith-based organizations, dedicated to reducing lead hazards.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants should consult the general section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates.

**Applicant Eligibility:**

Academic, not-for-profit and for-profit institutions located in the United States, states and units of general local government, and federally recognized Native American tribes are eligible to apply. For-profit firms are eligible to apply, but not allowed to earn a fee (i.e., make a profit from the project).

**Beneficiary Eligibility:**

Homeowners, rental property owners, and public housing residents. Families with children under age six.

**Credentials/Documentation:**

Costs will be determined for non-profit and for-profit entities in accordance with OMB Circulars No. A-122 and specific requirements of 24 CFR Part 84. Costs will be determined for educational institutions in accordance with OMB Circular No. A-21 and specific requirements of 24 CFR Part 84. Costs will be determined for State, local and Federally-recognized Indian Tribal governments in accordance with OMB Circular No. A-87 and specific requirements of 24 CFR Part 85.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Lead Outreach Grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead). For questions related to the application process, E-mail: [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](tel:800518GRANTS) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Award Procedure:**

HUDs review and awarding procedures are explained in the NOFA.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Ten percent matching by the applicant is required.

**Length and Time Phasing of Assistance:**

The period of performance cannot exceed 24 months from the date of the award. A period of performance extension for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.30(d)(2) or 24 CFR 84.25(e)(2), as applicable, and the Office of Healthy Homes and Lead Hazard Control (OHHLHC) Program Guide. Only one extension will be provided for a period not to exceed 12 months.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions.

**Audits:**

All awardees must comply with the audit requirements in OMB Circular No. A-133.

**Records:**

For State, local and Federally-recognized Indian Tribal governments, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally-recognized Indian Tribal Governments." For nonprofit and educational institutions, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

FY 07 est \$1,187,519; FY 08 est \$2,000,000; and FY 09 \$2,000,000.

**Range and Average of Financial Assistance:**

Approximately \$ 1.5 million is available under this program. HUD estimates that approximately 5 to approximately 8 grants will be awarded, ranging between approximately \$100,000 and approximately \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Grants to state and local governments and nonprofit organizations have raised public awareness of lead poisoning prevention and referred units to lead treatment programs. This program has also increased local capacity of lead-trained workers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is self-explanatory; all necessary information is provided; no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonnette G. Hawkins, Director, Programs Division, Office of Lead Hazard Control, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room 8236, Washington, DC 20410. Telephone: (202) 402-7593 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Web Site Address:**

<http://www.hud.gov/offices/lead>.

**RELATED PROGRAMS:**

14.900, Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.903, Operation Lead Elimination Action Program; 14.905, Lead Hazard Reduction Demonstration Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.



## 14.905 LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

### FEDERAL AGENCY:

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### AUTHORIZATION:

Sections 501 and 502 of the Housing and Urban Development Act of 1970;  
Consolidated Appropriations Act 2008, Public Law 110-161.

### OBJECTIVES:

Lead Hazard Reduction Demonstration Grant assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) preventing childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) establishing a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (See 59 FR 33881, June 30, 1994).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

For Fiscal Year 2008, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submit your electronic application through <http://www.grants.gov>.

### Applicant Eligibility:

To be eligible to apply for the Lead Hazard Reduction Demonstration Program, the applicant must be a city, county, or other unit of local government. States and Indian Tribes may apply on behalf of units of local government within their jurisdiction, if the local government designates the state or the Indian Tribe as their applicant. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a prime applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745 in effect on the application deadline date to be eligible to apply for Lead Hazard Reduction Demonstration Grant funds.

### Beneficiary Eligibility:

Occupants and owners of eligible target housing, Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X). Lead Hazard Reduction Demonstration Grants shall be for lead-based paint hazard control in this housing. Funds shall be available only for projects conducted using contractors and inspectors certified, and workers trained through an EPA authorized program. Selected beneficiaries must comply with all eligibility criteria and all applicable restrictions presented in the Appropriation language and with all requirements presented in the NOFA.

### Credentials/Documentation:

For the Lead Hazard Control Grant Program, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85.

### Preapplication Coordination:

Not applicable. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Lead Hazard Reduction Demonstration Grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://www.grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, E-mail: [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://www.grants.gov) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

### Award Procedure:

HUD's review and awarding procedures are explained in the NOFA.

### Deadlines:

To be considered for funding, the application should be submitted electronically through [Grants.gov](http://Grants.gov) no later than 11:59:59 p.m. on July 17, 2008, the date specified in the 2008 NOFA. Applications for waivers from the electronic submission must be submitted as specified in the General Section. No hand-delivered applications will be accepted. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

25 percent local match, which may be cash, including private sector funding, in-kind contributions, or both. For the Lead Hazard Reduction Demonstration Grant Program, HUD may grant a waiver of the 25 percent match requirement, if the applicant submits a request that meets HUD's criteria. Waiver eligible applicants should provide the 10% match. Except for Community Development Block Grant (CDBG) funds, Federal Revenue Sharing programs, or other programs which by statute allow their funds to be considered local funds and therefore eligible to be used as matching funds, Federal funds may not be used to satisfy the statutory 10 percent requirement, but may be used for contributions above that requirement. You must support each source of contributions by a letter of commitment from the contributing entity, describing the contributed resources and their designated purpose.

### Length and Time Phasing of Assistance:

The Lead Hazard Reduction Demonstration Grant award for a period of performance is 36 months. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months.

### Reports:

Quarterly financial management and performance reports are required of participating jurisdictions.

### Audits:

In accordance with OMB Circular A-133.

### Records:

As required by OMB Circular A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

### Account Identification:

86-0174-0-1-451.

### Obligations:

FY 07 \$54,700,000; FY 08 est \$44,000,000; and FY 09 \$48,000,000.

### Range and Average of Financial Assistance:

Approximately \$44.7 million in fiscal year 2008 funds is available. The minimum award amount shall be approximately \$1 million per grant up to \$4 million per grant. Approximately 10 to approximately 14 grants will be awarded to applicants for the Lead Hazard Reduction Demonstration Program.

### PROGRAM ACCOMPLISHMENTS:

Lead Hazard Reduction Demonstration Grant Program projects are designed to accomplish the following objectives: Perform testing and lead hazard control activities in targeted, low-income, owner occupied rental housing, and conduct general or targeted community awareness and education programs on lead hazard control and poisoning prevention within this designated area.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The Notice of Funding Availability is available at [Grants.gov](http://Grants.gov); all necessary information is provided; no other regulations pertain. For Lead Hazard Reduction Demonstration grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

### Regional or Local Office:

None.

### Headquarters Office:

Jonnette G. Hawkins, Director, Programs Division, Office of Lead Hazard Control, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room 8236, Washington, DC 20410. Telephone: (202) 402-7593 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

### Web Site Address:

<http://www.hud.gov/offices/lead/>.

### RELATED PROGRAMS:

14.900, Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.903, Operation Lead Elimination Action Program; 14.904, Lead Outreach Grants.

### EXAMPLES OF FUNDED PROJECTS:

San Bernardino County, California, works with its partners to provide abatement services to low- and moderate-income families in approximately 300 housing units, especially the homes of children with high blood-lead levels where documented lead-based paint hazards have been identified. The District of Columbia's Department of Housing and Community Development partners with

DC's Department of Health, Department of Consumer and Regulatory Affairs, and Department of Employment Services, with supporting partnerships with the Office of Local Business Development, several low-income community-based organizations, and local environmental organizations, to conduct lead hazard control in high-risk communities.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.

**14.906 HEALTHY HOMES TECHNICAL STUDIES GRANTS**

**FEDERAL AGENCY:**

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL,  
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**AUTHORIZATION:**

Sections 501 and 502 of the Housing and Urban Development Act of 1970; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5.

**OBJECTIVES:**

To fund technical studies to improve methods for detecting and controlling housing-related health and safety hazards. The purpose of the Healthy Homes Technical Studies program is to improve our knowledge of housing-related health hazards, and to improve or develop new hazard assessment and control methods.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at [www.grants.gov](http://www.grants.gov). The application is an electronic application. You must be registered at [www.grants.gov](http://www.grants.gov) to submit your application.

**Applicant Eligibility:**

Academic, not-for-profit and for-profit institutions located in the U.S. (for-profit firms are not allowed to profit from the project), State and local governments, and Federally recognized Native American tribes are eligible under all existing authorizations. Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section of the SuperNOFA provides additional eligibility requirements.

**Beneficiary Eligibility:**

Homeowners, rental property owners, and public housing residents.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Healthy Homes Technical Studies Grants provides information about the application procedure. All grants must be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission is received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead). For questions related to the application process, E-mail [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://grants.gov) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

To be considered for funding, the application should be submitted electronically through [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. on July 3, 2008, the date and time specified in the 2008 NOFA. Applications for waivers from the electronic submission must be submitted as specified in the General Section. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Healthy Homes Technical Studies grants are awarded up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a

period not to exceed 12 months. Payment is on a cost-reimbursable basis.

**Reports:**

Quarterly financial management and performance reports are required.

**Audits:**

In accordance with OMB Circular No. A-133.

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Grants) FY 07 \$2,000,000; FY 08 est \$2,100,000; and FY 09 est \$2,000,000.

**Range and Average of Financial Assistance:**

The total amount to be awarded is approximately \$2 million. The anticipated amounts and/or numbers of individual awards will be approximately 3 to approximately 5 grants or cooperative agreements, ranging from approximately \$200,000 to a maximum of \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Healthy Homes Technical Studies grants have resulted in, for example, low cost interventions to reduce moisture intrusion and associated mold problems in urban homes and documenting an improvement in the symptoms of asthmatic children following such interventions; developing improved methods for controlling cockroaches and cleaning cockroach allergen, the development of a scoring system for injury hazards in homes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application Kit are self-contained; all necessary information is provided; no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Peter J. Ashley, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, S.W., Room 8236, Washington, DC 20410. E-mail: [Peter.J.Ashley@hud.gov](mailto:Peter.J.Ashley@hud.gov). Telephone: (202) 402-7595 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at (800) 877-8339.

**Web Site Address:**

<http://www.hud.gov/offices/lead>.

**RELATED PROGRAMS:**

14.901, Healthy Homes Demonstration Grants; 14.902, Lead Technical Studies Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Studies to design and field test methods of insulating walls that could be installed to permanently eliminate moisture and mold conditions in walls cost-effectively; laboratory testing of different vacuum protocols to collect dust samples for allergen analyses; and improving the assessment of mold exposure in an ongoing cohort study of factors associated with asthma development in young children.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2008 HUD will use the technical and financial selection criteria listed in the NOFA.

# DEPARTMENT OF THE INTERIOR

## 15.020 AID TO TRIBAL GOVERNMENTS

### FEDERAL AGENCY:

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

### OBJECTIVES:

To provide funds to Indian tribal governments to support general tribal government operations, to maintain up-to-date tribal enrollment, to conduct tribal elections, and to develop appropriate tribal policies, legislation, and regulations.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

Funds may be used in a variety of ways to strengthen the capabilities of Indian tribes in self-government, community planning, and maintenance of membership records.

### Applicant Eligibility:

Federally Recognized Indian Tribal Governments.

### Beneficiary Eligibility:

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

### Credentials/Documentation:

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

### Preapplication Coordination:

An informal conference with a Bureau of Indian Affairs agency representative is recommended. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

### Award Procedure:

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Applications will be processed within 90 days.

### Appeals:

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

### Renewals:

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

### Reports:

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

### Audits:

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

### Records:

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

### Account Identification:

14-2100-0-1-452.

### Obligations:

(Total Amount of Awards) FY 07 est \$36,270,000; FY 08 est \$33,887,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

\$10,000 to \$700,000; \$80,000.

### PROGRAM ACCOMPLISHMENTS:

Activities supported by this program to foster strong and stable Tribal governments include Indian tribes developing and implementing plans for the distribution of judgment funds, making revisions to their constitutions, and issuing certificates of degree of Indian blood to individuals.

### REGULATIONS, GUIDELINES, AND LITERATURE:

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

### Regional or Local Office:

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

### Headquarters Office:

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW., MS 320 SIB, Washington, DC 20240. Telephone: (202) 513-7640. Use the same number for FTS.

### Web Site Address:

<http://www.doi.gov/bia/tribegovserv/tribegov.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

### RELATED PROGRAMS:

15.021, Consolidated Tribal Government Program.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

## 15.021 CONSOLIDATED TRIBAL GOVERNMENT PROGRAM

### FEDERAL AGENCY:

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Indian Self-Determination and Education Assistance Act; Public Law 93-638; as amended, 25 U.S.C. 450 et seq.

### OBJECTIVES:

To promote Indian self determination and improve the quality of life in Tribal communities by providing greater flexibility in planning programs and meeting the needs of communities. This program allows Tribes to combine various programs and/or grants into one agreement. The simplified contracting procedures enhance program accountability by reducing paperwork and reporting requirements, and reduce Tribal administrative costs to allow for increased services under these contracts.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

Funds from various Bureau programs, such as, Scholarships, Johnson O'Malley, Adult Education, and Job Placement and Training can be combined into a single consolidated contract.

### Applicant Eligibility:

Federally Recognized Indian Tribal Governments.

### Beneficiary Eligibility:

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

### Credentials/Documentation:

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

### Preapplication Coordination:

An informal conference with Bureau of Indian Affairs agency representative is recommended. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

### Award Procedure:

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

### Deadlines:

Applications may be submitted at any time.

### Range of Approval/Disapproval Time:

Applications will be processed within 90 days.



**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$63,185,000; FY 08 est \$69,240,000, and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$1,300 to \$2,400,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Activities supported by this program to foster strong and stable Tribal governments include consolidation of adult education programs, of natural resource programs and of social services programs for more effective and efficient operation of programs providing the potential for an increased level of services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW., MS-320 SIB, Washington, DC 20240. Telephone: (202) 513-7640. Use the same number for FTS.

**Web Site Address:**

a) not available b) <http://www.doi.gov/bia/tribegovserv/tribegov.htm>.  
c) <http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.022 TRIBAL SELF-GOVERNANCE****FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title IV, Public Law 93-638, as amended, 25 U.S.C. 458 aa et seq.

**OBJECTIVES:**

To further the goals of Indian Self-Determination by providing funds to Indian tribes to administer a wide range of programs with broad administrative and programmatic flexibility.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used by Federally Recognized Tribal Governments to support a wide range of programs such as law enforcement, tribal courts, scholarships, social services, road maintenance, forestry, agriculture, real estate services, wildlife and parks, and water resources. Funds may be used only for programs previously administered by the Bureau of Indian Affairs or for programs specifically authorized by Federal statute and may not be used for the operation of elementary and secondary schools or for community colleges. The Indian tribe must ensure adequate protection of trust resources.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal consortia authorized by the Federally Recognized Indian Tribal Governments to be served.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their Members.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe or in the case of a consortia, Indian tribes to be served. First-time applicants must have successfully completed a planning phase and must have demonstrated for the previous three years, financial stability and financial management capability.

**Preapplication Coordination:**

An informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application and selection process is governed by regulations contained in 25 CFR Part 1000. Applicants first apply for inclusion in an applicant pool. Once an Indian tribe/consortium has established eligibility for admission to the applicant pool, it can be selected to become a Self-Governance Tribe. Application information is available from the office(s) listed below under "Information Contacts."

**Award Procedure:**

The annual dollar value of the funding agreement is subject to negotiation between the applicant, the local Bureau agency office, the servicing Regional office, and the Office of Self-Governance. Final funding agreements are signed by the authorized tribal representative and the Director, Office of Self-Governance.

**Deadlines:**

An application for inclusion in the applicant pool may be filed at any time. However, an Indian tribe/consortium must submit its application by March 1 of the year in which the initial funding agreement and compact are to be negotiated. The application must be complete before the tribe can be placed in the applicant pool and selected to operate as a Self-Governance Tribe.

**Range of Approval/Disapproval Time:**

Funding agreements are to be negotiated and submitted to Congress and neighboring Indian tribes at least 90 days before the proposed effective date of the agreement. Negotiation and approval of a new funding agreement may take up to four months.

**Appeals:**

Applicable appeal procedures are contained in 25 CFR Part 1000.

**Renewals:**

Funding agreements may be for a single or multi-year period and renewed indefinitely upon satisfactory performance by the Indian tribe/consortium. The amount of the annual funding agreement may be negotiated each year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds are provided on an annual basis and remain available until expended by the tribe/consortium. When possible, payments are made in a lump sum following enactment of the Department's appropriations.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the Indian tribe/consortium. Annual, external reviews of the management of trust assets will be conducted.

**Audits:**

For awards made under this program, Indian tribes/consortia are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been

resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

FY 07 \$388,643,000; FY 08 est. \$389,500,000; and FY 09 est. \$391,000,000.

**Range and Average of Financial Assistance:**

\$9,800 to \$34,134,000; \$4,091,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 94 Indian tribes/consortia are participating in the Tribal Self-Governance Program. The 94 annual funding agreements with Indian tribes and tribal consortia will provide an estimated 234 Federally recognized Indian Tribes with the opportunity to exercise discretion in establishing funding priorities, and allow them wide latitude in the design of tribal programs, services, functions, and activities in response to local circumstances.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 1000; OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments.

**Regional or Local Office:**

Office of Self Governance, Department of the Interior, Northwest Field Office, 500 West 12th Street, Suite 102, Vancouver, WA 98660. Telephone: (360) 699-1011. Use the same number for FTS or the nearest Bureau of Indian Affairs Regional Office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Self-Governance, Office of the Deputy Assistant Secretary - Policy and Economic Development, Department of the Interior, 1951 Constitution Avenue, N.W., MS 355-G, Washington, DC 20240. Telephone: (202) 219-0240.

**Web Site Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Among the activities supported by one consortium was the organization of a tourism alliance, provision of 300 college scholarships, repair of 16 homes, and the initiation of job readiness training for welfare recipients. A tribe in the northwest managed over 3800 acres of forest land, helped 27 tribal members move from welfare to paid employment, and supported 20 members in adult education/training programs. Another tribal consortium provided life skills assistance (tax preparation, driver's education, resume writing, etc.) to over 500 members, provided assistance to village groups in preparing economic development proposals which resulted in increased funding being provided by other Federal agencies, and worked with the Reindeer Herders Association to improve the health and economic value of the reindeer herds.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the eligibility criteria of 25 CFR Part 1000 will be selected, up to a maximum of 50 new participants annually. An applicant must be a Federally Recognized Tribe or tribal consortium, have an authorizing tribal resolution(s) from the tribal governing body (ies), have successfully completed a planning phase and have demonstrated for the previous three years, financial stability and financial management capability. Applicants are selected in the order in which complete applications are received. For more information contact the offices listed under Information Contacts.

## 15.024 INDIAN SELF-DETERMINATION CONTRACT SUPPORT

(CONTRACT SUPPORT)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Federally Recognized Indian Tribal Governments and to tribal organizations to fund some or all of the indirect costs incurred in administering Federal programs for which direct appropriations are made to the Bureau of Indian Affairs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used in accordance with indirect cost rate proposals which have been approved by the cognizant Federal agency or for lump sum administrative cost rates negotiated with the Bureau of Indian Affairs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Federal approval of indirect cost rate.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards for new or expanded contracts will be awarded based upon the start date of the underlying program award, and the application date, on a first-come-first-served basis. Additional information concerning fiscal year 2002 awards will be published in 2002 as a Notice in the Federal Register.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of a changed indirect cost rate or as a result of pro-rata reductions due to insufficient appropriations to cover all eligible awards.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments for renewals will generally be made in two increments: 70 percent soon after the start date of the award, and the balance during the fourth quarter of the fiscal year.

**Reports:**

Financial status reports, SF 269A, are required.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501et. seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of the Awards) FY 07 \$143,628,000; FY 08 est \$149,628,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$10,000 to \$8,000,000; \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Annually, approximately 500 Indian Federally Recognized Indian tribal Governments and tribal organizations receive support to fund the overhead costs associated with the administration of programs funded by the Bureau of Indian Affairs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW, MS 320 SIB, Washington, DC 20240. Telephone: (202) 513-7640. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/self-determ/idc.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.046, Administrative Cost Grants for Indian Schools.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All renewal awards will be funded; the amount of the awards is subject to the availability of appropriations; first-time awards will be funded in the order of receipt of the application up to an annual limit of \$5,000,000.

## 15.025 SERVICES TO INDIAN CHILDREN, ELDERLY AND FAMILIES

(Social Services)

### FEDERAL AGENCY:

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Snyder Act of 1921, 25 U.S.C. 13.

### OBJECTIVES:

To provide funds to Federally Recognized Indian Tribal Governments to administer welfare assistance programs for both American Indian adults and children; to support caseworkers and counselors; and to support tribal programs to reduce the incidence of substance abuse and alcohol abuse in Indian country.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

Funds may be used for staff support and related costs of processing welfare applications, determining suitable placement of American Indian children in need of foster care, staffing and operational costs of emergency shelters, and similar services.

### Applicant Eligibility:

Federally Recognized Indian Tribal Governments.

### Beneficiary Eligibility:

Federally Recognized Indian Tribal Governments, adult American Indians in need of financial assistance or social services counseling, American Indian children who require foster care services, and American Indian youth requiring temporary, emergency shelter.

### Credentials/Documentation:

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

### Preapplication Coordination:

An informal conference with Bureau of Indian Affairs agency representatives is recommended. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

### Award Procedure:

The dollar value of the awards depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs Tribal Priority Allocation budget formulation process.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Applications will be processed within 90 days.

### Appeals:

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

### Renewals:

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

### Reports:

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

### Audits:

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

### Records:

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been

resolved.

### Account Identification:

14-2100-0-1-452.

### Obligations:

(Total amount of awards) FY 07 \$21,032,000; FY 08 est \$21,690,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

\$10,000 to \$4,800,000; \$100,000.

### PROGRAM ACCOMPLISHMENTS:

On an annual basis Indian tribes provide a range of social services in order to strengthen American Indian families and American Indian communities.

### REGULATIONS, GUIDELINES, AND LITERATURE:

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments;" and 25 CFR Part 20.

### Regional or Local Office:

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

### Headquarters Office:

Chief, Division of Human Services, Bureau of Indian Affairs, 1849 C Street, NW, MS 320 SIB, Washington, DC 20240. Telephone: (202) 513-7642. Use the same number for FTS.

### Web Site Address:

<http://www.doi.gov/bia/childw-2.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

### RELATED PROGRAMS:

15.113, Indian Social Services\_Welfare Assistance; 15.144, Indian Child Welfare Act Title II Grants.

### EXAMPLES OF FUNDED PROJECTS:

These funds support staff who process applications for assistance, handle referrals and provide counseling and intensive case management; or who are responsible for collecting, compiling, and reporting monthly statistics regarding child abuse and neglect, child welfare placements, and general assistance caseloads.

### CRITERIA FOR SELECTING PROPOSALS:

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

## 15.026 INDIAN ADULT EDUCATION

### FEDERAL AGENCY:

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended.

### OBJECTIVES:

To improve the educational opportunities for Indian adults who lack the level of literacy skills necessary for effective citizenship and productive employment and to encourage the establishment of adult education programs.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

All funds must be for direct services. Funds may not be used for administration.

### Applicant Eligibility:

Federally Recognized Indian Tribal Governments.

### Beneficiary Eligibility:

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

### Credentials/Documentation:

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

### Preapplication Coordination:

The applicant should consult the Agency/Area Program Administrator for Education. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency or area office listed in Appendix IV of the Catalog.

### Award Procedure:

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Applications will be processed within 90 days.

### Appeals:

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of



Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program, grantees are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133, Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

FY 07 \$2,464,000; FY 08 est \$2,434,000; and FY 09 est \$2,429,000.

**Range and Average of Financial Assistance:**

\$100 to \$629,400; \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 140 tribes receive funding to provide educational opportunities for adults.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 46; 25 CFR, Part 900.

**Regional or Local Office:**

See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, MS-3609 MB, 1849 C Street, N.W., Washington, DC 20240. Contact: Keith Neves; Telephone: (202) 208-3601.

**Web Site Address:**

<http://www.oiep.bia.edu/contact.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.114, Indian Education Higher Education Grant Program; 15.027, Assistance to Tribally Controlled Community Colleges and Universities.

**EXAMPLES OF FUNDED PROJECTS:**

Courses include Adult Basic Education (ABE), preparation for the General Educational Development Test (GED); life-coping skills such as budgeting, driver training and filing of Federal and State taxes; and continuing education courses such as typing and computer literacy.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected.

## 15.027 ASSISTANCE TO TRIBALLY CONTROLLED COMMUNITY COLLEGES AND UNIVERSITIES

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Tribally Controlled Community College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants for the operation and improvement of tribally controlled community colleges to insure continued and expanded educational opportunities for Indian students, and to allow for the improvement and expansion of the physical resources of such institutions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds must not be used in connection with religious worship or sectarian instruction. Funds may be used for the general operating costs of the Tribally Controlled Community College to defray, at the determination of the College, expenditures for academic, educational and administrative purposes and for the operation and maintenance of the College.

**Applicant Eligibility:**

Colleges sponsored by Federally Recognized Indian Tribes or tribal organizations which are governed by a board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees, are nonprofit and nonsectarian.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school.

**Preapplication Coordination:**

An applicant should consult the Branch Chief of Post-Secondary Education. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The organization should submit written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college to the Director, Office of Indian Education.

**Award Procedure:**

After receiving approval of the application by the governing body or governing bodies, the Director will designate a study team to determine whether there is justification to encourage maintaining a college.

**Deadlines:**

Colleges must submit the tribe's approval of the application by March 1 of the fiscal year preceding the year in which they wish to be eligible for funding. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1 of the preceding year in which they wish to be eligible for funding.

**Range of Approval/Disapproval Time:**

The study team will be designated within 30 days. Within 60 days the team must complete its eligibility study. The tribe will be notified of approval within 60 days of completion of the study.

**Appeals:**

A negative determination may be appealed to the Assistant Secretary - Indian Affairs. Within 30 days of receiving a notice of appeal the Assistant Secretary must conduct a hearing at which the applicant may present evidence and offer arguments in support of the appeal. Within 30 days after the hearing the Assistant Secretary must issue a written ruling on the appeal. Specifics relative to the appeals process are found in 25 CFR 41.7.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available without fiscal year limitation until expended by the contractor/grantee.

**Reports:**

OMB 1076-0105, Annual Report.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants)FY 07 \$54,612,000; FY 08 est. \$56,713,000; and FY 09 est. \$56,712,000.

**Range and Average of Financial Assistance:**

\$213,000 to \$11,118,000; \$2,080,000. The amount of the award is determined by the number of eligible Indian students enrolled in the college. Indian Tribes may choose to supplement the funding provided by the grant program by identifying additional amounts in the Tribal Priority Allocations portion of the Bureau of Indian Affairs budget.

**PROGRAM ACCOMPLISHMENTS:**

Annually, over 20,000 Indian students receive an education above the secondary level, and approximately 1,000 Indian students receive an associate, bachelors or masters degree or a vocational certificate.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 41; 25 CFR, Part 276.

**Regional or Local Office:**

See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Keith Neves, Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, NW., Washington, DC 20240. Telephone: (202)208-3601. (Use the same 7-digit number for FTS).

**Web Site Address:**

<http://www.oiep.bia.edu.>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.114, Indian Education\_Higher Education Grant Program; 15.026, Indian Adult Education.

**EXAMPLES OF FUNDED PROJECTS:**

Twenty-five Tribally Controlled Community Colleges received financial assistance.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants which the study team determines as eligible will be funded.

## 15.028 TRIBALLY CONTROLLED COMMUNITY COLLEGE ENDOWMENTS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Tribally Controlled College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants to establish endowments for the Tribally Controlled Community Colleges.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used to establish endowments. Interest earned on the invested funds may be used to defray expenditures associated with the operation of the College including maintenance, administration, academic and support costs, and community and student services programs. No part of the net earnings of the trust fund may be used to benefit any private person.

**Applicant Eligibility:**

Colleges chartered by Federally Recognized Indian Tribes which are governed by an Indian board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Approved status as a Tribally Controlled Community College.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Colleges must complete an Endowment Fund agreement in accordance with 25 U.S.C. 1832(b).

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified by the Branch Chief of Post- Secondary Education.

**Deadlines:**

Established by the Branch of Post-Secondary Education.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals. Full appeal procedures are found in 25 CFR Part 2.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

The Colleges must match an endowment grant with a capital contribution equal

to half of the amount of the Federal contribution. Personal or real property received as a donation or gift may be applied toward the matching requirement.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis.

**Reports:**

OMB 1076-0105, Annual Report.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants) FY 07 \$109,000; FY 08 est. \$107,000; and FY 09 est. \$109,000.

**Range and Average of Financial Assistance:**

\$10,179 to \$64,190; \$46,849.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-five Tribally Controlled Community Colleges received endowments grants in FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 41.

**Regional or Local Office:**

See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, DC 20240. Contact: Keith Neves. Telephone: (202) 208-3601. Use this same number for FTS.

**Web Site Address:**

<http://www.oiep.bia.edu.>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027, Assistance to Tribally Controlled Community Colleges and Universities.

**EXAMPLES OF FUNDED PROJECTS:**

Using interest earnings from the endowment, a distance learning program utilizing satellites was established in one college and social science laboratories were updated.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

## 15.029 TRIBAL COURTS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Federally Recognized Indian Tribal Governments to operate a judicial branch of government.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of tribal court judges, prosecutors, defenders, clerks of court, probation officers, juvenile officers, and other court personnel.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments exercising law enforcement jurisdiction on their reservation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

An informal conference with Bureau of Indian Affairs agency representatives is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be

submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under the program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$8,168,840; FY 08 est \$11,604,200; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$15,000 to \$800,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

More than 250 tribal justice systems and Courts of Indian Offenses (serving 40 Indian tribes) are supported by this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW., MS 320-SIB, Washington, DC 20240. Contact: Ralph Gonzales; Telephone: (202) 513-7641. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ots/otshome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

## 15.030 INDIAN LAW ENFORCEMENT

(Law Enforcement)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Law Enforcement Reform Act, Public Law 101-379, 25 U.S.C. 2801.

**OBJECTIVES:**

To provide funds to Indian Tribal Governments to operate police departments and detention facilities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of criminal investigators, uniformed officers, detention officers, radio dispatchers, and administrative support.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments exercising Federal criminal law enforcement authority over crimes under the Major Crimes Act (18 U.S.C. 1153) and other Federal statutes on their reservations and operating a Law Enforcement Services program.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

An informal conference with Bureau of Indian Affairs field representative or district commander is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs field or district office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that had been previously prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' budget formulation process and upon identified program needs.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 est \$116,560,200; FY 2008 est \$132,159,000; and FY 09 est not available.



**Range and Average of Financial Assistance:**

\$20,000 to \$20,000,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

On an annual basis, approximately 210 law enforcement services programs and approximately 80 detention facilities are supported by this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments;" 25 CFR Parts 10, 11 and 12; Indian Affairs Manual, Chapter 40, "Law Enforcement and Detention;" and Detention and Law Enforcement Handbooks.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' law enforcement field or district office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Law Enforcement Services, Bureau of Indian Affairs, 1849 C Street NW, MS 2429 MIB, Washington, DC, 20240. Telephone: (202) 208-5787. Use the same number for FTS.

**Web Site Address:**

<http://www.bialaw.fedworld.gov/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting the requirements of 25 CFR Part 900 who exercise criminal law enforcement authority over crimes under the Major Crimes Act (18 U.S.C. 1153) and other Federal statutes and who currently operate a Law Enforcement Services program will be selected. Additional funding provided under the Initiative will be distributed on the basis of need.

**15.031 INDIAN COMMUNITY FIRE PROTECTION**

(Community Fire Protection)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to perform fire protection services for Indian Tribal Governments that do not receive fire protection support from State or local government.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used to support staff, train volunteer fire-fighters, repair existing fire-fighting equipment, and purchase additional equipment. Funds may also be used to purchase smoke detectors, fire extinguishers, fire escapes, and emergency lights for public building.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments performing fire protection services on their reservation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

An initial application must be accompanied by a copy of the authorizing resolution from the Federally Recognized Indian Tribal Government to be served. If a currently effective authorizing resolution covering the scope of an initial contract proposal has already been provided, a reference to that resolution.

**Preapplication Coordination:**

An informal conference with the Bureau of Indian Affairs agency representatives is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures

are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-1-1-999.

**Obligations:**

(Total Amount of Awards) FY 07 \$903,760; FY 08 est \$948,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$200 to \$138,000; \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

On an annual basis, funding is provided to over 40 tribal fire protection programs on reservations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications should be filed with the local Bureau of Indian Affairs' agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Tribal Service, Bureau of Indian Affairs, 1849 C Street, NW, MS 320 SIB, Washington, DC 20240. Telephone: (202) 513-7640. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ots/otshome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.032 INDIAN ECONOMIC DEVELOPMENT****FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Reorganization Act of 1934, Section 10, Public Law 73-383, 48 Stat. 986, 25 U.S.C. 470; Public Law 93-262, 88 Stat. 77 through 83, 25 U.S.C. 1451; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To assist Federally Recognized Indian Tribal Governments by providing the resources necessary to develop a self-sustaining economic base. The program provides opportunities for business development, the coordination and integration of programs through out the Federal government, and the partnering of Federally Recognized Indian Tribal Governments with local government and the public and private business sector.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are used to administer tribal revolving loan programs and guaranty loan programs in order to develop resources to improve access to capital in tribal economies. Final approval of loan guarantees is restricted to the Bureau of Indian Affairs. Funds can also be used by Federally Recognized Indian Tribal Governments to develop essential tribal ordinances and commercial business codes which provide the necessary separation and exercise of sovereign immunity between business activities and tribal regulatory activities to promote a pro-business environment.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog. In some instances, the application will be forwarded to the Regional Director for approval.

**Award Procedure:**

In most cases, the application to administer the program can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

A Federally Recognized Tribal Government or Native American Organization whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Renewals may be granted indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Some awards under this program may be one-time grants for a specific purpose and may not be subject to renewal.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the contractor/grantee.

**Reports:**

Federally Recognized Indian Tribal Governments and Native American Organizations administering the program must submit financial status reports, SF 269A. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

Grantees and subgrantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$1,940,530; FY 08 est \$1,477,230; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$5,000 to \$300,000; \$215,000.

**PROGRAM ACCOMPLISHMENTS:**

Several Federally Recognized Indian Tribal Governments administer programs that monitor the status of existing loans made to its members and collect on loans made by re-lending programs and credit associations. The programs that may be administered include: guaranteed loans from the Loan Guaranty and Insurance Fund, Direct Loans, and grants from the Indian Business Development Program and Community and Economic Development Program. Some of the programs listed may not be open for new applications. The programs also

provide assistance to American Indian owned businesses and individual American Indians in obtaining financing from private sources.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Assistant Secretary - Policy and Economic Development, Office of the Assistant Secretary - Indian Affairs, 1849 C Street, N.W., MS-4071 MIB, Washington, DC 20240. Mike Lugar; Telephone: (202) 219-0005.

**Web Site Address:**

<http://www.doi.gov/bia/ecodev/index.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

11.300, Investments for Public Works and Economic Development Facilities; 15.124, Indian Loans\_Economic Development.

**EXAMPLES OF FUNDED PROJECTS:**

A Commercial Center Expansion in New Mexico creating/retaining 25 jobs. A combined dental office and social services center in the Washington which created 20 new jobs.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals to administer an economic development program are evaluated on the capability of the prospective applicant to successfully conduct the program and on budget and its effective use. All applicants meeting the criteria in 25 CFR Part 900 will be funded.

## 15.033 ROAD MAINTENANCE-INDIAN ROADS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Highway Act of 1921, as amended, Public Law 70-520, 45 Stat. 750, 25 U.S.C. 318(a); Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide limited routine maintenance on paved, gravel, earth, and unimproved roads; bridges; and airstrips.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

These funds are used to repair and maintain public roads serving Indian reservations, with particular emphasis on school bus routes and arterial highways; for snow removal, ice control, washout repair, and landslide removal; for replacement, rehabilitation, or maintenance of the 745 bridges on Indian reservation roads; for operation and maintenance of a ferry across Lake Roosevelt serving the Colville Indian Reservation; and for the maintenance of public airstrips located on Indian reservations which are not maintained by other governmental entities. Access to these funds is restricted to tribes with qualifying road miles or other facilities required to be maintained by this program.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Tribal governments which have jurisdiction over roads or other facilities that qualify for this program.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and individual American Indians.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Tribes must submit a needs request to have roads or facilities added to the system being maintained under this program. An informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$7,442,550; FY 08 est \$7,014,870; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$300 to \$500,000; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 50,000 miles of roads, 745 bridges, a ferry, and numerous airstrips are operated and/or maintained under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 170.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities Tribal Services, Division of Transportation, Bureau of Indian Affairs, 1849 C Street NW, MS-4058 MIB, Washington, DC 20240. Contact: LeRoy Gishi. Telephone: (202) 208-4359.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects are funded in the areas of Routine Maintenance and Administration which maintains public roads serving Indian reservations; Emergency Maintenance which provides for snow removal, ice control, washout repair and landslide removal; Bridge Maintenance which inspects and maintains 745 bridges on Indian reservations; Ferry Boat Operation and Maintenance which operates and maintains a ferry across Lake Roosevelt serving the Colville Indian Reservation; and Airstrip Maintenance which provides maintenance services for public airstrips located on Indian reservations.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the criteria in 25 CFR Part 900 will be funded.

## 15.034 AGRICULTURE ON INDIAN LANDS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; American Indian Agriculture Resource Management Act, Public Law 103-177, 107 Stat. 2011, 25 U.S.C. 3701.

**OBJECTIVES:**

To protect and restore the agricultural (cropland and rangeland) resources on trust lands and facilitate the development of renewable agricultural resources.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Advisory Services and Counseling; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Funds are used to support inventory, analysis, management, and improvement of Indian agricultural lands; to administer authorized use of Indian agricultural lands; and to support efforts to control noxious weeds and other invasive species on Indian lands.

**Applicant Eligibility:**

Native American individuals, tribal governments and native organizations authorized by tribal governments, and individuals and entities authorized to make use of Indian agricultural lands and resources.

**Beneficiary Eligibility:**

Native American landowners, Indian tribes and their members, native organizations authorized by tribal governments, and individuals and entities authorized to make use of Indian agricultural lands and resources.

**Credentials/Documentation:**

Must have a landownership, tribal government, or authorized-user interest in the Indian agricultural land or resource that is the basis of assistance request.

**Preapplication Coordination:**

For Public Law 93-638 requests, coordination recommended before a submission of request for noxious weed control funding. Pre-application coordination not needed for individual advisory services and counseling or provision of specialized service requests. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For Public Law 93-638 requests, awards of noxious weed control funding are made by the Central Office of the BIA. Individual advisory services and counseling, and provision of specialized services are handled at the Agency, Region, or Central Office level as appropriate.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval. The dollar value of Agriculture awards depends upon the amount that has been prioritized by the individual tribe through tribal participation in the BIA's budget formulation process (TPA).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

For Public Law 93-638 requests applications will be processed within 90 days.

**Appeals:**

For Public Law 93-638 requests an unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

For Public Law 93-638 requests agriculture awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Noxious Weed Eradication assistance is awarded for projects on a year-by-year basis and is not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

Noxious Weed Eradication requires a minimum 50 percent cost-share agreement for the control projects.

**Length and Time Phasing of Assistance:**

For Public Law 93-638 requests noxious weed control funding is awarded annually and must be obligated by the second year.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under Public Law 93-638 awards, grantees and subgrantees are responsible for obtaining audits. All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133. Non-federal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Total Amount of Awards) Agriculture: FY 07 \$3,337,950; FY 08 est \$3,504,600; and FY 09 est not available. Noxious Weed Eradication: FY 07



\$147,450; FY 08 est \$154,650; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Agriculture: \$200 to \$575,000; \$50,000. Noxious Weed Eradication: \$500 to \$300,000; \$6,200.

**PROGRAM ACCOMPLISHMENTS:**

Annually, program funds, through the TPA process, assist nearly 30,000 farmers, ranchers, and landowners in the management and development of over 45 million acres of Indian land used for farming and grazing. Fifty tribes/tribal organizations receive competitive Noxious Weed Eradication awards, treating approximately 80,000 acres of trust lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Parts 161, 162, 166, 167, 168, and 900.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities, Division of Water and Land Resources, Branch of Agriculture and Range, Bureau of Indian Affairs, 1849 C Street NW, MS 4513 MIB, Washington, DC 20240. Contact: David Edington. Telephone: (202)513-0866.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.033, Road Maintenance Indian Roads; 15.035, Forestry on Indian Lands; 15.040, Real Estate Programs Indian Lands; 15.049, Irrigation Operations and Maintenance on Indian Lands.

**EXAMPLES OF FUNDED PROJECTS:**

Inventories to identify vegetative cover, condition, and level of annual utilization; preparation of programmatic and unit-specific planning documents; rangeland pest control and livestock trespass investigation; leasing and permitting support and administration; chemical, mechanical and biological control of noxious weeds; and integrated pest management.

**CRITERIA FOR SELECTING PROPOSALS:**

For contracts under the Indian Self-Determination and Education Assistance Act: All applicants for assistance meeting the criteria in 25 CFR part 900 will be funded. Noxious Weed Eradication: Project proposals are ranked according to land use and indicators of cooperator support, pest management integration, degree of establishment of targeted weed, and support of noxious weed control.

## 15.035 FORESTRY ON INDIAN LANDS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Forest Resources Management Act of 1990, 36 Stat. 857, 25 U.S.C. 406 and 407; Act of June 25, 1910, Public Law 61-313; 62 Stat. 787 and 788, 18 U.S.C. 1853, 1855, and 1856; Rumsey Indian Rancheria Act, Sections 304-320, 104 Stat. 4531.

**OBJECTIVES:**

To maintain, protect, enhance, and develop Indian forest resources through the execution of forest management activities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Funds are used to support activities of reforestation and commercial forest stand improvement; timber sales management; forest inventories and plans; forest program management and administration; and forest protection activities including Wild land Fire Management. Forest Inventory, Management Planning and Forest Development funds are awarded competitively.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

Initial application for financial assistance (Public Law 93-638) must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications for financial assistance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office

listed in Appendix IV of the Catalog. Requests for technical services can be made through the local BIA agency office.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval. The dollar value of Forestry awards depends upon the amount that has been prioritized by the individual tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Forestry. Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Forestry Management Inventories, Planning and Forest Development funds are awarded for projects on a year-by-year basis and are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required for contract awards. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.), OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Total Amount of Awards) FY 07 \$15,649,135; FY 08 est \$14,500,000; and FY 09 est \$14,000,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$1,000,000; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the program supported reforestation activities on about 11,000 acres and pre-commercial thinning on 37,000 acres. Completed hazardous fuel reduction treatments on 200,000 acres of Indian land. Timber sales managed through the program created about 9,000 person years of employment and generated revenues of approximately \$68 million. To date, 123 management plans have been developed to direct forestry activities on over 15 million acres of Indian forest lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; 25 CFR 163 -- General Forestry Regulations.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities, Division of Forestry, Bureau of Indian Affairs, 1849 C Street N.W., MS-4513 MIB, Washington, DC 20240. Contact: Bill Downes. Telephone: (202) 208-4837.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm#Forests>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funds are used for planting trees; greenhouse operations; weeding and fertilization; development or revision of reservation specific long-term sustained yield forest management plans; and development of environmental compliance documents, sales documents, and timber sale contracts.

**CRITERIA FOR SELECTING PROPOSALS:**

Forestry: All applicants meeting the criteria in 25 CFR Part 900 will be funded. Forestry Management and Development: Criteria include need, benefit/cost analysis, capability of the applicant to successfully conduct the project, and budget and its effective use. Awards are based on the commercial timber base, the annual forest development inventory, and on periodic priority needs as determined by Regional Offices.

**15.036 INDIAN RIGHTS PROTECTION**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101 et seq.; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399, 108 Stat. 4164; Indian Lands Open Dump Cleanup Act of 1994; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To protect Indian rights guaranteed through treaty or statute by obtaining the services or information needed to litigate challenges to these rights.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Awards fund projects to collect information needed by the Federal government to litigate challenges to Indian rights which have been guaranteed through treaty or statute.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this Program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$393,110; FY 08 est \$415,910; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$1,000 to \$100,000; \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Awards under this program have helped Tribes to successfully establish and defend rights guaranteed through treaty or statute.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities, Bureau of Indian Affairs, 1849 C Street NW., MS-4510 MIB, Washington, DC 20240; Telephone: (202) 208-7737. Contact: Arch Wells.

**Web Site Address:**

<http://www.doi.gov/bia/Rightsprot.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects are funded to support research and collection of data on rights issues in the areas of water, land title disputes, hunting and fishing rights, and environmental problems.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the criteria in 25 CFR Part 900 will be funded.

**15.037 WATER RESOURCES ON INDIAN LANDS**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, 25 U.S.C. 13, Public Law 67-85, 42 Stat. 208.

**OBJECTIVES:**

To support Indian tribes in the effective and efficient management, planning, and use of their water resources.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Funds are used by tribes to conduct water management and planning project and activities for the purpose of managing and conserving their water resources and to participate in the on-going water rights negotiation and litigation activities to protect and secure their lawful water rights. All awards are project/proposal specific and are the result of a nationwide competitive process.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Bureau's application and prioritization procedure for water programs funding has been published as a Notice in the Federal Register, Vol. 70, No. 201, Wednesday, October 19, 2005 ("Notice of Revised Instructions for Preparing and Prioritizing Water Program Funding Requests"). Completed applications should be submitted by the established deadline to the local BIA

agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are made by the Deputy Bureau Director, Office of Trust Services, Central Office, based on the prioritization of all applications received through a thorough evaluation and scoring by a six-person review team. Awards are usually made shortly after the review team has completed its reviews of all proposals received in Central Office by the due date of September 15th. Any awards are subject to the availability of the congressional appropriations for the new fiscal year.

**Deadlines:**

As published in the Federal Register Notice, all applications must be submitted through the Regional Director of the BIA region with jurisdiction to the Deputy Bureau Director, Office of Trust Services, Bureau of Indian Affairs, by September 15th for funding consideration the following fiscal year.

**Range of Approval/Disapproval Time:**

No set times.

**Appeals:**

No appeal process. The Water Programs funds are annual, non-recurring congressional appropriations and any awards made on the basis of the published prioritization process and the availability of funds.

**Renewals:**

Funds are appropriated for use in non-recurring projects/activities on a year-to-year basis and are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

Applications are evaluated and scored based on weighted criteria that have a maximum scoring range of 100 points (congressional and court mandates automatically score 100). No matching requirement, however, applications with available matching funds may score higher.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee.

**Reports:**

Financial status reports, SF 269A, are required. Water program funds awarded to tribes through Public Law 93-638, as amended, are subject to the requirements of the Act and 25 CFR Part 900.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Non-Federal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Total Amount of Awards) FY 07 \$4,094,495; FY 08 est \$3,846,150; and FY 09 est \$3,850,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Annually, approximately 25 to 40 percent of the requests for Water Management, Planning, and Pre-development financial assistance are at least partially funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Revised Instructions for Preparing and Prioritizing Water Program Funding Requests, Federal Register, Vol. 70, No. 201, Wednesday, October 19, 2005.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities, Division of Water and Land Resources, Bureau of Indian Affairs, 1849 C Street N.W., MS 4650 MIB, Washington, DC 20240. Contact: Division Chief, Telephone: (202)208-3956.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects include hydrologic studies of groundwater supply, groundwater

modeling, quantitative and qualitative monitoring and analysis of ground and surface water, aquifer investigations, stream gaging; comprehensive water management plans, etc., and also participation in tribal water rights negotiations/litigation.

**CRITERIA FOR SELECTING PROPOSALS:**

Water Management, Planning, and Pre-development proposals are evaluated according to the type of proposal (as published in the Federal Register Notice, Vol. 70, No. 201, October 19, 2005): Water Management - Indian Water and Associated Resources; Water Management - Coordination/Cooperation/Consultation/Conservation; Water Management - Other; Water Planning and Pre-development - Indian Water; and Water Planning and Pre-development - Other: In addition, all proposals are evaluated on the basis of: Cost Effectiveness, Compliance with Requesting Guidelines; and Efficiency and Accomplishment. Projects are funded based on rankings of the projects Bureau wide, and in accordance with the national program priorities established for the program. Some preference is given to proposals that offer matching funds. Proposals are evaluated on the capability of the prospective applicant to successfully conduct the project, and on the budget and its effective use.

**15.038 MINERALS AND MINING ON INDIAN LANDS**

**FEDERAL AGENCY:**

ASSISTANT SECRETARY - INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Minerals Development Act, Public Law 97-382, 98 Stat. 1938, 25 U.S.C. 2101 et seq.; Umatilla Basin Project Act, Public Law 101-557, 16 U.S.C. 1271 et seq.

**OBJECTIVES:**

The objectives of the Energy and Mineral Development Program are to: (1) provide funds to Tribes to perform technical evaluations of the energy (both renewable and conventional) and mineral resource potential of Indian reservations; (2) provide Tribes with geological, geophysical and engineering reports, maps, and other data concerning their energy and mineral resources; (3) provide Tribes technical assistance on using and interpreting assessment information so that Tribes can understand and plan for the potential development of these resources; and (4) provide Tribes with an outreach vehicle to promote their lands and resources to potential partners if they so desire. Those projects that fell into economic development categories will be considered for funding through the Office of Indian Energy and Economic Development.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Minerals and Mining: Funding may be used to facilitate the inventory, assessment, promotion and marketing of both renewable and nonrenewable energy and mineral resources on Indian lands. Energy and Mineral Assessments: Funds are awarded competitively to support assessment and inventory programs and/or develop baseline data, but cannot be used for development purposes.

**Applicant Eligibility:**

Federally Recognized Indian Tribes and Individual American Indian mineral owners.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members, Native American Organizations, and/or individual American Indian mineral property owners.

**Credentials/Documentation:**

Minerals and Mining: Initial application for assistance must be accompanied by a resolution of the governing body of the Indian tribe. Mineral Assessments Proposals must include: (1) a current tribal resolution authorizing the proposed project; (2) a proposal describing the proposed activities and the planned deliverable products; (3) a detailed budget estimate; and 4) a review by the BIA Agency Superintendent verifying that the work to be performed occurs on trust or restricted fee lands (the Superintendent will notify DEMD in writing if that is not case).

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications for financial assistance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications for Minerals and Mining should be submitted to the Division of Energy and Mineral Development office in Lakewood, Colorado and to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Mineral and Mining/Mineral Assessments. Proposals are paneled by the Office



of Indian Energy and Economic Development. Funds are awarded according to the order of ranking of the proposals, although some elements of the budget may not be fully funded due to the Division's own ability to perform some tasks at lower costs.

**Deadlines:**

Energy and Mineral Assessments: Proposals are usually submitted within 90 days of the original solicitation, usually occurring in December, although this may vary due to the appropriations process.

**Range of Approval/Disapproval Time:**

Mineral Assessments: Within 120 days after the solicitation period.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Minerals and Mining/Mining Assessment: A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award.

**Formula and Matching Requirements:**

Consideration in the final ranking score is given to proposal's that include contribution by the Tribe. The contribution can be either monetary or staff time of Tribal employees devoted to the project.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments is negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Technical reports describing project outcomes are defined as deliverables in an Energy and Mineral Development award and the data generated must be presented in a compatible computer format as specified by the Division of Energy and Mineral Development.

**Audits:**

For awards made under this program, grantees and subgrantees are responsible for obtaining audits. All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.), OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Non-Federal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved. For Mineral Assessment awards, one paper copy of all data (field data, processed data, analyses, assays, etc.) must be submitted at completion of contract.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Grants) FY 07 \$1,224,840; FY 08 est \$1,000,000; and FY 09 est \$1,000,000.

**Range and Average of Financial Assistance:**

Minerals and Mining: Currently not contracted by any of the tribal governments. Mineral Assessments: \$25,000 to \$150,000; \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Minerals and Mining facilitates over \$400 million in annual minerals income to tribes and allottees. Between 25 and 50 Tribes request Energy and Mineral Development projects annually; generally 10 to 20 projects are funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 900 and Subchapter I - Energy and Minerals.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Secretary - Indian Affairs, Division of Energy and Mineral Development, 12136 W. Bayaud Ave., Suite 300, Lakewood, CO 80228. Contact: Steve Manydeeds. Telephone: (303) 969-5270, Ext. 225.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm#Energy>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.222, Cooperative Inspection Agreements with States and Tribes; 15.252, Abandoned Mine Land Reclamation (AMLR) Program.

**EXAMPLES OF FUNDED PROJECTS:**

Projects support the development of energy (both renewable and conventional)

and mineral resources on Indian lands through assessment studies, economic analysis and market studies, developing strategies for leasing feasibility studies and mining plans, establishing terms for exploration agreements, environmental reviews, and training. Mineral Assessments include seismic exploration, inventories of existing geophysical and geological data, development of an oil and gas resource database and mapping system, and evaluation and assessment of mineral resources.

**CRITERIA FOR SELECTING PROPOSALS:**

Energy and Mineral Assessments: Proposals are evaluated according to technical merits of the mandatory elements of the proposal. Additionally, selection criteria for ranking contain six criteria: (1) Resource Potential; (2) Commodity Marketability; (3) Economic Benefit, (4) Willingness to Develop; (5) Tribal Commitment; and (6) Additional funding or participation from other entities.

**15.040 REAL ESTATE PROGRAMS-INDIAN LANDS**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; 60 Stat. 1097, 25 U.S.C. 176; Indian Land Consolidation Act; Act of March 3, 1901; Act of March 3, 1921; Reorganization Plan No. 3, 1946; Public Law 56-382, 31 Stat. 1084, 25 U.S.C. 311; Public Law 66-359, 41 Stat. 1232, 25 U.S.C. 393; Public Law 97-459, 96 Stat. 2515, 25 U.S.C. 2201 et seq.; Public Law 98-608, 98 Stat. 3171; Public Law 102-238.

**OBJECTIVES:**

To provide real property management, counseling, and land use planning services to individual Indian allottees and Indian tribal and Alaska Native entities who own an interest in almost 56 million acres of trust land; to provide real estate appraisal services required in processing land transactions, and to protect and enhance the Indian leasehold estate by providing individual Indian landowners and Indian tribes with lease compliance activities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Real Estate Services: decision-making processes are developed through cooperative efforts with the Indian landowners for the proper utilization, development, and enhancement of Indian trust lands. Real Estate Appraisals are one element in trust land transactions and are restricted to American Indians who have an ownership interest in property held in trust by the Federal government. Lease Compliance: program resources are used to ensure that leases on trust and restricted Indian lands and their assignees comply with the terms of the leases.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations authorized by tribes, and individual American Indians.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. For real estate appraisals, documented ownership interest in property held in trust is required.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications for real estate services and lease compliance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog. Requests for real estate appraisals should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog along with documentation of ownership interest in the property.

**Award Procedure:**

For Real Estate Services and Real Estate Appraisals, the dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process. For Lease Compliance, funding is distributed to the Area offices on the basis of number of existing leases and the number of inspections planned for the year. For Lease Compliance awards, in some cases, the award can be approved at the agency level. In most instances, the application will be forwarded to the Area Director for approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal

procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards for Real Estate Services and Lease Compliance may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

Awards for Real Estate Appraisals are a single-action item completed for a specific property and are not subject to renewal.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this Program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$3,606,000; FY 08 est \$3,987,550; and FY 09 est not available.

**Range and Average of Financial Assistance:**

For Real Estate Services, tribal award amounts vary from approximately \$1,000 to \$500,000. For Real Estate Appraisals, the cost of most appraisals is less than \$500 but can range up to approximately \$2,500 or more for large and/or complex properties; the average is \$1000. Lease Compliance awards range from \$250 to \$30,000 with most awards less than \$5,000.

**PROGRAM ACCOMPLISHMENTS:**

Real Estate Services: To date, more than 12,000 surface leases were approved, and approximately 7,800 acquisitions and 4,000 land sales were processed. Real Estate Appraisals: More than 20,000 appraisals were conducted for trust property transactions. Lease Compliance: approximately 25,000 physical inspections were completed on more than 100,000 leases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 162; 30 CFR; 43 CFR; Uniform Standard of Professional Appraisal Practices as promulgated by the Appraisal Standards Board of the Appraisal Foundation.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities, Division of Real Estate Services, Bureau of Indian Affairs, 1849 C Street NW, MS 4510 MIB, Washington, DC 20240. Contact: Arch Wells. Telephone: (202) 208-7737.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm#Land>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Real Estate Services funds land sales, leasing, preparation of probate documents and estate planning. Real Estate Appraisals are conducted for commercial, residential, and industrial properties, including leased agricultural trust lands. Lease Compliance funds reviews of lease documents, investigations of lease violations and trespass issues, and physical inspections of leased property including assessments of improvements.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding levels for Real Estate Services and Real Estate Appraisals are determined by the individual Tribe through participation in the BIA's budget formulation process. All applicants meeting the criteria in 25 CFR Part 900 will be funded. Appraisals are conducted for all transactions involving trust property. The time required to complete an appraisal depends on the number of requests being processed by a specific office and the resources available to meet the requests. Lease Compliance funds are distributed to the area offices based on three factors: (1) total number of leases, (2) total number of acres, and (3) total amount of income derived from leases. Awards for lease compliance are determined by the number of qualifying leases reported to the Agency and Area

Offices. Minimum funding of \$50,000 is allocated to each area office. In allocating program resources, priority is given to activities involving agriculture, oil and gas, mining, industrial, business, recreational, and other income-producing leases.

## 15.041 ENVIRONMENTAL MANAGEMENT-INDIAN PROGRAMS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; 42 U.S.C. 4321, et seq.; National Environmental Policy Act; Solid Waste Disposal Act, 42 U.S.C. 6901-6992k; Resource Conservation and Recovery Act, Public Law 94-580; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, 42 U.S.C. 9601-9675; 16 U.S.C. 470; National Historic Preservation Act.

**OBJECTIVES:**

To determine environmental impacts of Federal projects on Indian lands; to conduct surveys of Bureau of Indian Affairs controlled Federal lands and facilities, and of Indian lands, in order to identify hazardous waste sites, evaluate the potential threat to health and the environment, and develop the necessary remedial actions; to train area, agency and tribal staff in waste management principles; and to respond to emergencies and alleviate adverse health or environmental impacts.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Use of these funds are two-fold. One, they facilitate the Bureau's fulfilling statutory responsibilities: they are used to prepare Environmental Assessments (EA's); advise agency superintendents on environmental quality, waste disposal and cultural resource management; assist area offices in gathering information for EA's and Environmental Impact Statements (EIS's); review proposed actions to determine compliance with the National Environmental Policy Act (NEPA); and assist area offices in obtaining information for compliance with the National Historic Preservation Act and the Archeological Resources Protection Act. Two, they are used for individual tribal projects that enhance or protect the local environment.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by the Tribes.

**Beneficiary Eligibility:**

Federally Recognized Indian tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The award is approved by the Director, Office of Facilities, Environmental and Cultural Resources, Indian Affairs.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

For continuing, funded projects, awards may be renewed upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the

grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.), OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$4,500,000; FY 08 est \$4,000,000; and FY 09 est \$4,000,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$250,000; \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Each year more than 3,000 compliance issues on Indian lands are addressed under the National Environmental Policy Act and the National Historic Preservation Act. Over the past several years, cleanup and compliance activities have been initiated on over 100 sites, including underground storage tanks, solid waste disposal facilities, and oil wells. An average of 50 emergencies that have the potential to adversely impact trust resources and health and safety are responded to annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR 800 and 40 CFR 1500-1508.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Facilities, Environmental and Cultural Resources, Division of Environmental and Cultural Resources Management, Bureau of Indian Affairs, 2051 Mercator Drive, Reston, VA 20191. Contact: Kevin Tennyson. Telephone: (703)390-6437.

**Web Site Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects include on-site inspections, site testing and environmental data collection, closure of municipal waste dumps, asbestos abatement, removal of leaking underground storage tanks, and report preparation.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must provide the Bureau of Indian Affairs or the tribes with assistance on a current compliance issue; work must be consistent with conservation of trust resources; and applicant must have the experience and qualifications necessary to complete the technical aspects of the work.

## 15.042 INDIAN SCHOOL EQUALIZATION PROGRAM

(ISEP)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funding for primary and secondary education.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for the education of Indian children in BIA funded schools. Funds may not be used for construction.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a

Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school.

**Preapplication Coordination:**

An applicant should consult the Agency/Area Education Program Administrator who will provide technical assistance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et. seq.

**Award Procedure:**

The Agency/Area Education Program Administrator will ensure the application is complete and forward the application to the Director, Office of Indian Education Programs, with a recommendation for approval/disapproval.

**Deadlines:**

Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the Agency/Area Education Program Administrator.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Approximately ninety-nine percent of the ISEP funds will be allocated in accordance with the ISEP formula contained in 25 CFR 39. One percent of the funds shall be reserved for the Director's discretion.

**Length and Time Phasing of Assistance:**

Funds may be paid in advance, are awarded annually on an indefinite basis based on performance, and remain with the Self Determination contractor or grantee until spent.

**Reports:**

Annual Financial Report, Narrative Report, and a program evaluation by an impartial third party such as an accrediting agency.

**Audits:**

For awards made under this program, grantees are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Total Available for Awards) FY 07 \$211,824,000; FY 08 est \$215,800,000; and FY 09 est \$219,494,000.

**Range and Average of Financial Assistance:**

The estimated range is \$119,500 to \$7,091,000. The average is \$1,700,000 per school.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 30,000 students are served by 122 tribally operated schools.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.



**Regional or Local Office:**

See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, DC 20240. Contact: Joe Herrin. Telephone: (202) 208-7658. Use the same number for FTS.

**Web Site Address:**

<http://www.oiep.bia.edu/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.043, Indian Child and Family Education; 15.044, Indian Schools\_Student Transportation; 15.045, Assistance for Indian Children with Severe Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

ISEP funds are used to provide basic education and residential programs to Indian students not served by public or sectarian schools.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.043 INDIAN CHILD AND FAMILY EDUCATION**

(FACE)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.

**OBJECTIVES:**

To begin educating children at an early age through parental involvement, to increase high school graduation rates among Indian parents, and to encourage life-long learning.

**TYPES OF ASSISTANCE:**

Project Grants; Training.

**USES AND USE RESTRICTIONS:**

Funds must be used for early childhood education, adult education and parenting skills. Funds may not be used for administration.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded elementary schools may apply to administer the program.

**Beneficiary Eligibility:**

Parents and their Indian children under 5 years of age who live on a reservation with a Bureau-funded school.

**Credentials/Documentation:**

The initial application must be accompanied by a resolution of the tribal governing body of the Tribe of the children served by or to be served by the organization. No documentation is required of the parents or children.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Tribe should contact the Area/Agency Administrator for Education Programs.

**Award Procedure:**

Once an application is received, the Coordinator of the FACE program appoints a panel of readers from such organizations as the Indian Health Service, the Department of Education and others who are familiar with early childhood development. The panel reads, rates and ranks the applications. The coordinator then recommends to the Director, Office of Indian Education Programs, those applications for approval.

**Deadlines:**

Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Office of Indian Education Programs. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every 3 years based upon satisfactory performance. A notice of intent to renew should be submitted yearly and a full application must be submitted every 3 years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor/grantee.

**Reports:**

Monthly progress reports, annual participation data, screening, Work Sampling, and other program data requested is required.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Non-Federal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants) FY 07 \$4,565,000; FY 08 est. \$5,683,000; and FY 09 est. \$4,641,000.

**Range and Average of Financial Assistance:**

Each site receives \$220,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Annually, over 1,800 children and 1,800 adults from 1,700 families receive services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the Area/Agency Education Program Administrators.

**Regional or Local Office:**

See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, Office of the Deputy Director, Early Childhood, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, NM 87104. Contact: Debbie Lente-Jojola. Telephone: (505) 563-5258. Use the same number for FTS.

**Web Site Address:**

<http://www.oiep.bia.edu/sirc.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The sites provide such services as parenting skills, adult education and early childhood education in an effort to increase student achievement.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the review of the team appointed by the Coordinator. Final determination made by the Director, OIEP, based on the Coordinator's recommendation.

**15.044 INDIAN SCHOOLS-STUDENT TRANSPORTATION**

(Student Transportation)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funds to each school for the round trip transportation of students between home and the school site.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are to be used only for the transportation of students who are eligible under the Indian School Equalization Program (ISEP) as provided for under 25 CFR 39 and are enrolled in a Bureau funded school or dormitory.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least

90 percent of the students served by such school.

**Preapplication Coordination:**

An applicant should consult the Agency/Area Education Program Administrator who will provide technical assistance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et seq.

**Award Procedure:**

The Agency/Area Education Program Administrator will ensure the application is complete and forward the application to the Director, Office of Indian Education Programs, with a recommendation for approval/disapproval.

**Deadlines:**

Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the Agency/Area Education Program Administrator.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Funds are allocated in accordance with 25 CFR 39 Subpart G. The Director, Office of Indian Education Programs, will review transportation allotment factors each year and make changes in factors based on changes in transportation costs.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments are made in advance or by way of reimbursement.

**Reports:**

Annual Financial Report, Narrative Report, and a program evaluation by an impartial third party such as an accrediting agency.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133, the OMB Circular Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Total amount of awards) FY 07 \$29,305,000; FY 08 est \$32,734,000; and FY 09 est \$32,096,000.

**Range and Average of Financial Assistance:**

\$2,000 to \$1,133,000; \$204,000.

**PROGRAM ACCOMPLISHMENTS:**

Annually, more than 20,000 students are provided daily bus transportation to and from tribally-operated schools.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, DC 20240. Contact: Joe Herrin, Telephone (202) 208-7658.

**Web Site Address:**

<http://www.oiep.bia.edu/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042, Indian School Equalization Program; 15.043, Indian Child and Family Education; 15.045, Assistance for Indian Children with Severe Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Funds are provided to each school to provide daily transportation of students to and from school, and for boarding students, transportation at the beginning and end of the year as well as one mid-year round trip home. Additional funding is provided where miles driven is on unimproved roads.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.045 ASSISTANCE FOR INDIAN CHILDREN WITH SEVERE DISABILITIES**

(Institutionalized Handicapped)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Individuals with Disabilities Education Act (IDEA), Public Law 101-476, 20 U.S.C. 1400.

**OBJECTIVES:**

To provide for the special education and related services of Indian children with severe disabilities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for physical and occupational therapy, speech therapy, direct academic services and administration including staff development. Funds may only be used for students who are enrolled in a Bureau-funded school.

**Applicant Eligibility:**

Members or direct descendants of members of Federally recognized tribes and enrolled in a BIA-funded school.

**Beneficiary Eligibility:**

Indian children enrolled in a Bureau-funded school who are between the ages of five and twenty-one who have been determined by a multi-disciplinary team comprised of parents, teachers, school administrators and other concerned parties to be in need of specialized services available only in residential settings. Children whose fifth birthday occurs on or before December 31 or whose twenty-second birthday occurs during the course of the regular school year shall be regarded as eligible children for the entire school year.

**Credentials/Documentation:**

An Individual Education Program must be developed by a multi-disciplinary team.

**Preapplication Coordination:**

A parent, classroom teacher, Tribal educator or other concerned party must identify a student as needing services and inform the head of the school attended by the student. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Individual Education Program is submitted to either the Institutionalized Program Coordinator at the Cheyenne River Education Line Office, the Ft. Defiance Education Line Office or the Office of Indian Education Programs Office's Center for School Improvement in Albuquerque, NM.

**Award Procedure:**

The multi-disciplinary team in conjunction with the concerned Institutionalized Coordinator determines in what institution the child will receive services.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

10 to 45 days.

**Appeals:**

The appeals process is outlined in the Individuals with Disabilities Education Act, Public Law 101-476, 20 U.S.C. 1400.

**Renewals:**

Individual Education Programs must be updated annually on the anniversary date of the Individual Education Program for as long as the student requires services.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Payments are made directly to the institution in which the eligible child is placed.

**Reports:**

None from the applicant or beneficiary.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Total Amount of Awards) FY 07 \$3,713,000; FY 08 est. \$3,715,000; and FY 09 est. \$3,737,000.

**Range and Average of Financial Assistance:**

The average education cost for students in institutions is between \$140 and \$300 per day.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 170 students had disabilities so profound as to require institutionalized services on a 24 hour basis which were paid for by the Bureau of Indian Affairs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 38; 25 CFR 39; 25 CFR 42; 25 CFR 43; 25 CFR 45; 25 CFR 900; 34 CFR 300; 34 CFR 300 (Appendix C); 34 CFR 303.

**Regional or Local Office:**

See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, 500 Gold Avenue S.W., 7th Floor, PO Box 1088, Albuquerque, NM 87103-1088. Contact: Chief, Center for School Improvement. Telephone: (505) 248-6942. Use the same number for FTS.

**Web Site Address:**

<http://www.oiep.bia.edu/sped.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042, Indian School Equalization Program; 15.043, Indian Child and Family Education.

**EXAMPLES OF FUNDED PROJECTS:**

Funding may include but not be limited to occupational and physical therapy, counseling, audiology, and psychological services.

**CRITERIA FOR SELECTING PROPOSALS:**

All Individual Education Programs are funded.

## 15.046 ADMINISTRATIVE COST GRANTS FOR INDIAN SCHOOLS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide grants to tribes and tribal organizations operating schools for the purpose of paying administrative and indirect costs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for program services related administrative overhead, operations necessary to meet requirements of the law, prudent management practices, and other necessary support functions.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or Tribal Organizations operating a Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Indian Tribal Governments or tribal organizations operating an elementary or secondary school under a grant or Self-determination contract with the Bureau of Indian Affairs.

**Credentials/Documentation:**

Approved status as a grant or contract school.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

No separate application is required. The additional allocation will be calculated by the Bureau of Indian Affairs and added to the underlying award.

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified by the Education Line Officer.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are renewed automatically based on satisfactory performance by the

grantee.

**Formula and Matching Requirements:**

Funds are allocated in accordance with 25 U.S.C. 2008(a).

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available without fiscal year limitation until expended by the contractor/grantee.

**Reports:**

Annual Financial Report, Narrative Report, and a program evaluation by an impartial third party such as an accrediting agency.

**Audits:**

For awards made under this program, grantees are responsible for obtaining audits. All nonfederal entities that expend \$500,000, or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants) FY 07 \$44,060,000; FY 08 est. \$43,373,000; and FY 09 est. \$43,373,000.

**Range and Average of Financial Assistance:**

\$49,000 to \$1,785,000; \$363,000.

**PROGRAM ACCOMPLISHMENTS:**

One hundred and twenty-two tribally operated schools received grants under this program. These funds were used to provide related administrative overhead support without reducing direct program services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Headquarters Office: Office of Indian Education Programs, Bureau of Indian Affairs, MS-3609 MIB, 1849 C Street, N.W., Washington, DC 20240. Contact: Joe Herrin. Telephone: (202) 208-7658. Use the same number for FTS.

**Web Site Address:**

<http://www.oiep.bia.edu/administration.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042, Indian School Equalization Program.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of some administrative costs include fiscal, personnel, property and procurement management and costs of necessary insurance, auditing, legal, safety and security services.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

## 15.047 INDIAN EDUCATION FACILITIES, OPERATIONS, AND MAINTENANCE

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001; Tribally Controlled Schools Act, 25 U.S.C. 2501.

**OBJECTIVES:**

To provide funds to BIA funded elementary or secondary schools or peripheral dormitories for facilities operations and maintenance.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of maintenance personnel, utilities, maintenance of school grounds, supplies, equipment, materials, and for minor repairs to facilities.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or tribal organizations currently served by a BIA funded elementary or secondary school or peripheral dormitory.

**Beneficiary Eligibility:**



Federally Recognized Indian Tribal Governments and occupants and visitors of BIA funded elementary or secondary schools or peripheral dormitories.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. If the school serves students from multiple tribes, resolutions from tribal governing bodies representing at least 90 percent of the students are required.

**Preapplication Coordination:**

An applicant should consult the Agency/Regional Education Program Administrator who will provide technical assistance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications for status as a contract school must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Initial applications for status as a grant school should be developed in accordance with 25 U.S.C. 2501 et seq.

**Award Procedure:**

Applications should be submitted to the Agency/Regional Education Program Administrator (EPA) who will ensure that the application is complete. The application is forwarded by the EPA to the Director, Office of Indian Education Programs, with a recommendation for approval or disapproval. The dollar value of the awards is based upon school age and condition, size, utilities costs, and other pertinent factors.

**Deadlines:**

First-time applications should be submitted by March 1.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 to 180 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants) FY 07 Operations \$32,600,000 Maintenance \$27,400,000; FY 08 est Operations \$33,000,000 Maintenance \$26,800,000; and FY 09 est Operations \$33,000,000 Maintenance \$26,800,000.

**Range and Average of Financial Assistance:**

\$9,600 to \$1,326,000; \$360,000.

**PROGRAM ACCOMPLISHMENTS:**

Almost 100 elementary and secondary schools on or near Indian reservations are operated by Indian tribes or Tribal School Boards. These funds help ensure that the facilities used to educate these students are safe, clean, and well maintained.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency/regional education program administrator as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, DC 20240. Contact: Joe Herrin. Telephone: (202) 208-7658. FTS is not available.

**Web Site Address:**

<http://www.oiep.bia.edu/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042, Indian School Equalization Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 or the requirements of the Tribally Controlled Schools Act will be selected if they are currently served by a BIA-funded school.

**15.048 BUREAU OF INDIAN AFFAIRS FACILITIES- OPERATIONS AND MAINTENANCE**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide funds for basic operating services to Bureau-owned or Bureau-operated non-education facilities and to maintain these facilities in a safe operating condition for the conduct of Bureau programs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for essential services for non-education physical plant and utility systems throughout the Bureau. The Operation and Maintenance may be used for personnel services, supplies, materials, equipment and support for planning, reporting and managing the operations and resources of the organization as well as heating, cooling, electricity, water, sewage, refuse disposal, basic telecommunications equipment, unscheduled and preventive maintenance, GSA vehicle rental, lease agreements, and custodial and protection services.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments who have Bureau-owned or Bureau-operated facilities on their reservation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and occupants and visitors of Bureau-owned or Bureau-operated facilities.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

An informal conference with the Bureau of Indian Affairs agency representative is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C "Contract Proposal Contents." Completed applications should be submitted to the local Bureau agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that would otherwise be spent for the program through direct services provided by the Bureau. Operation and Maintenance is based upon age and condition, size, utilities costs, and other pertinent factors of the facility.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants) FY 07 \$1,384,040; FY 08 est \$1,440,670; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 1,263 Bureau owned or operated buildings, excluding quarters, containing approximately 3,500,000 square feet receive funds. These funds help ensure that the facilities used are safe, clean, and well-maintained.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Facilities Management and Construction, Bureau of Indian Affairs, 201 Third Street, NW, Suite 500, P.O. Box 1248, Albuquerque, NM 87103. Telephone: (505) 346-6522. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ofmc/om.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting the requirements of 25 CFR Part 900 who have Bureau-owned or Bureau-operated facilities on their reservation.

## 15.051 ENDANGERED SPECIES ON INDIAN LANDS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Endangered Species Act, Public Law 93-205.

**OBJECTIVES:**

To comply with the Endangered Species Act, the Northern Spotted Owl Recovery plan, and to implement the Endangered Species Recovery on Indian lands.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Dissemination of Technical Information; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

The program monies are species specific. Appropriated funds allow those tribes in areas of endangered species to conduct activities that are necessary to comply with the Endangered Species Act.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments whose reservations are in areas inhabited by these specific endangered species.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal application conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

Financial assistance is in the form of nonrecurring awards appropriated for projects on a year-by-year basis. They are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program, grantees and subgrantees are responsible for obtaining audits. All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Non-Federal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

FY 07 \$153,000; FY 08 est \$872,900; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$20,000 to \$140,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

About a dozen tribes are involved in endangered species driven activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900; 50 CFR Part 17 Endangered and Threatened Wildlife and Plants.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Services, Division of Natural Resources, Branch of Fish and Wildlife Recreation, Bureau of Indian Affairs, MS-4656 MIB, 1849 C Street N.W., Washington, DC 20240. Telephone: (202)208-4088. Contact: Ira New Breast.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.034, Agriculture on Indian Lands; 15.035, Forestry on Indian Lands.

**EXAMPLES OF FUNDED PROJECTS:**

Program activities include the development of water impoundments, cross fencing and vegetative management for the holistic management of a prairie resource; owl surveys; and radiotelemetry and habitat studies.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria such as the geographic extent of potential critical habitat and the amount of harvested acres (forest, range, agricultural, etc.) are considered, as well as the methodologies proposed and the capability of the applicant to successfully conduct the project.

## 15.052 LITIGATION SUPPORT FOR INDIAN RIGHTS

**FEDERAL AGENCY:**

**AUTHORIZATION:**

Public Law 103-399; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.

**OBJECTIVES:**

To establish or defend Indian property or treaty rights through judicial, administrative, or settlement actions.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

This program supports requests from tribes for expert witnesses, research, data collection, technical support, and other evidence-gathering activities required for the United States to defend the government's position in litigation cases involving Indian rights issues such as hunting, fishing and gathering rights issues; trespass; title issues, such as property line disputes; rights-of-way disputes; allotment claims; mineral entry; pollution and other activities which have harmed or could harm the health and safety of the reservation population. Funds may be used for the payment of Equal Access to Justice Act (EAJA) settlements or other payments ordered by the Courts, the Department of Justice and the Department of the Interior Office of the Solicitor.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by these Tribes.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribes and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are approved at the Headquarters level.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

Applications must be submitted each year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee for the purposes specified in the application. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this Program, grantees/contractors are responsible for obtaining audits. All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Non-Federal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

**Obligations:**

FY 07 \$2,324,000; FY 08 est \$1,386,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$20,000 to \$320,000; \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 30 funding requests are received on an annual basis; between 20 and 25 are funded each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS-4620 MIB, Washington, DC 20240. Telephone: (202) 208-5831. Robin Forrest.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.053, Attorney Fees Indian Rights.

**EXAMPLES OF FUNDED PROJECTS:**

Types of projects funded include studies supporting litigation and negotiation, record searches, and information research activities.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of proposals is dependent on the type of assistance being requested and the availability of funds. Cases for which assistance is requested must have progressed beyond Tribal courts to local, county, State, or Federal courts.

## 15.053 ATTORNEY FEES-INDIAN RIGHTS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.

**OBJECTIVES:**

To assist Federally Recognized Tribes in protecting their treaty rights and other rights established through Executive Order or court action.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

These funds are used to provide assistance to tribes to obtain legal representation in situations where the United States cannot represent them as authorized in 25 U.S.C. 175. The funds are distributed in accordance with regulations governing the expenditure of appropriated funds for the fees of private attorneys representing tribes, and the eligibility requirements are found in 25 U.S.C. 89. Bureau policy determines the attorney fee hourly rates.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribes and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR 89. Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are approved at the Headquarters level.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

New application required each year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until



expended for the legal services specified in the contractor/grantee application. Payments are made as billings are received. The timing of payments will be negotiated with the grantee.

**Reports:**

None.

**Audits:**

For awards made to Tribes under this Program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133. For payments made directly by the Bureau of Indian Affairs to attorneys on behalf of a Tribe, no audit is required.

**Records:**

Financial records must be retained by Tribes for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved. Records maintained by the attorneys are subject to provisions of the contract with the Tribe.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

FY 07 \$1,826,000; FY 08 est \$1,764,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$10,000 to \$100,000; \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 89.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS 4620 MIB, Washington, DC 20240. Contact: Vicki Forrest. Telephone: (202) 208-5831.

**Web Site Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.052, Litigation Support for Indian Rights.

**EXAMPLES OF FUNDED PROJECTS:**

Cases funded from this program may involve environmental damage claims; water rights negotiation/litigation; boundary disputes; treaty hunting, fishing, and gathering rights; and off-reservation rights.

**CRITERIA FOR SELECTING PROPOSALS:**

Cases must first have been turned down by the Department of Justice and the Department of the Interior Office of the Solicitor, and then can be submitted for review to the Attorney Review Committee for a recommendation to the Assistant Secretary for approval.

## 15.055 ALASKAN INDIAN ALLOTMENTS AND SUBSISTENCE PREFERENCE-ALASKA NATIONAL INTEREST LANDS CONSERVATION ACT

(ANILCA)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399, 108 Stat. 4164; Indian Lands Open Dump Cleanup Act of 1994; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To fulfill the directives prescribed in the Alaska National Interest Lands Conservation Act (ANILCA) which affect Alaska Natives and their allotments. The Bureau of Indian Affairs is responsible for assisting Alaska Native applicants acquire title to lands they occupy. Under the subsistence portion of the program, activities seek to establish that Alaska Native groups have traditionally and customarily used a particular resource for subsistence.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

This program provides for the coordination and consultation with land managing agencies and the State of Alaska on subsistence preference for Alaska Natives and administration of programs affecting native allotments under the 1906 Native Allotment Act.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments in Alaska, Native American Organizations authorized by the Tribes, and individual Alaska Natives.

**Beneficiary Eligibility:**

Federally Recognized Alaskan Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the Juneau Area Office of the Bureau of Indian Affairs listed in Appendix IV of the Catalog.

**Award Procedure:**

The application will be forwarded to the Juneau Area Director for approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Annual applications required.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this Program, grantees/contractors are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133. Non-Federal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

FY 07 \$136,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$12,000 to \$221,000 for the Native allotment awards; \$15,000 to \$40,000 for subsistence preference awards.

**PROGRAM ACCOMPLISHMENTS:**

For Native allotments, more than 9,000 parcels have been finalized and approximately 2,800 more have been approved and are awaiting final action. Separate awards are made for the subsistence preference portion of the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 2561; 25 CFR 271.31 to 271.34.

**Regional or Local Office:**

Applications may be filed with the Juneau Area Office of the Bureau of Indian Affairs as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS-4620 MIB, Washington, DC 20240. Contact: Vicki Forrest. Telephone: (202)

208-5831.

**Web Site Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.040, Real Estate Programs Indian Lands; 15.036, Indian Rights Protection.

**EXAMPLES OF FUNDED PROJECTS:**

For the Native allotment program, tribal realty offices assist Alaska Native applicants in acquiring title to lands they occupy. For the subsistence preference program, projects are awarded to study past subsistence uses and conduct population studies on subsistence resources.

**CRITERIA FOR SELECTING PROPOSALS:**

If a tribe has allotment cases pending and operates a realty office, they will be allotted a portion of the funds available based on the number of pending cases. Proposals for funding of subsistence preference projects are evaluated on the basis of the degree to which the work addresses subsistence issues and the potential for affecting the largest number of Alaska Natives.

## 15.057 NAVAJO-HOPI INDIAN SETTLEMENT PROGRAM

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Public Law 93-531, 25 U.S.C. 640 et seq.; Navajo-Hopi Settlement Act; Public Law 102-180, 105 Stat. 1230; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To implement those provisions of the Navajo-Hopi Settlement Act of 1974, as amended, which are assigned to the Department of the Interior; and to institute conservation practices and methods to restore the grazing potential of rangelands lying within the former Navajo/Hopi Joint Use Area.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Use is restricted to approved projects within the Navajo/Hopi Joint Use Area. Funds will be used for restoration of rangeland within the former Navajo/Hopi Joint Use Area (JUA). This includes livestock monitoring on the JUA, issuance of grazing permits, implementation of range management plans and grazing control methods, establishment of range units and grazing capacity, and removal of trespass livestock on the Hopi Partitioned Lands; initiation of grazing control on the Navajo Partitioned Lands; and natural resources restoration on the affected lands.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments of the Navajo and Hopi Tribes and Native American Organizations authorized by either Tribe.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments of the Navajo and Hopi Tribes and individual members of both Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the Hopi Agency or the Navajo or Western Regional Office of the Bureau of Indian Affairs at the address listed in Appendix IV of the Catalog.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Annual application required.

**Formula and Matching Requirements:**

By agreement, 40 percent of the funds are used on Hopi Partitioned Lands and 60 percent are used on Navajo Partitioned Lands.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this Program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$229,600; FY 08 est \$239,200; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$5,000 to \$150,000; \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Ongoing activities to accomplish the goal of rangeland restoration within the former Joint Use Area include livestock monitoring, issuance of grazing permits, implementation of range management plans and grazing control methods, establishment of range units and grazing capacity. Program activities on the Hopi Partitioned Lands include range, woodlands and wildlife restoration of 910,021 acres and maintenance on 630 miles of fencing and 123 stock water facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 161, 166, and 168.

**Regional or Local Office:**

Applications may be filed with the Hopi Agency or the Navajo or Western Regional Office of the Bureau of Indian Affairs at the address listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Responsibilities, Bureau of Indian Affairs, 1849 C Street N.W., MS-3061 MIB, Washington, DC 20240. Contact: David Edington. Telephone: (202)513-0886.

**Web Site Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects are funded in the areas of windmill maintenance, boundary fence maintenance, erosion control measures, and re-seeding.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected on the basis of the need and urgency of the proposed work.

## 15.058 INDIAN POST SECONDARY SCHOOLS

Haskell Indian Nations University (Haskell) and Southwestern Indian Polytechnic Institute (SIP)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921 Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide postsecondary educational opportunities for American Indian Students.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Students may attend one of two post-secondary schools operated by the Bureau of Indian Affairs with minimal charge for tuition, room and board. Married student housing is not available on campus.

**Applicant Eligibility:**

A member of a Federally Recognized Indian tribe.

**Beneficiary Eligibility:**

American Indians.

**Credentials/Documentation:**

Application must be accompanied by a verification of Tribal affiliation.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Interested applicants may obtain a Standard Form 5-6621 from a local Area/Agency education program office or Tribal Government education office, or applicants may contact the schools directly.

**Award Procedure:**

Applications will be reviewed by the colleges' admissions committees.

**Deadlines:**

Haskell: Fall Semester-June 30; Spring Semester-November 15; Summer School-(if funds are available)-April 15. SIPI: Fall Trimester-September 1; Spring Trimester-December 29; Summer Trimester-May 5.

**Range of Approval/Disapproval Time:**

Students will be notified within 4 weeks of having submitted a completed application packet.

**Appeals:**

None.

**Renewals:**

Haskell: Fulltime students are considered making satisfactory academic progress if they are not on academic probation and have not completed the minimum hours to graduate with an associate degree in six semesters or with a baccalaureate degree in 12 semesters. SIPI: Awards may be renewed until the student completes the chosen program of study so long as satisfactory progress is maintained and the student adheres to the student code of conduct.

**Formula and Matching Requirements:**

Haskell Indian Nations University: \$210 per semester for housing, student activities, and textbooks; SIPI: Lodging full-time: \$280.00, Commuter full-time: \$225.00, Commuter part-time: \$150.00. New fees are effective Fall/2005 trimester. All Fees are non-refundable.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

None.

**Audits:**

None.

**Records:**

Applicants are to submit official transcript from high school or other institution attended or certificate of GED.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

Fiscal Years 2006-2008 Not separately identifiable.

**Range and Average of Financial Assistance:**

Not identifiable.

**PROGRAM ACCOMPLISHMENTS:**

Haskell Indian Nations University enrolls approximately 900 students, approximately 174 students graduate each year. SIPI has an average enrollment of 600 students per trimester of whom about 100 graduate each year. SIPI also offers technical certificate programs in addition to associate degrees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40; Haskell Indian Nations University Catalog; Southwestern Indian Polytechnic Institute Catalog.

**Regional or Local Office:**

Applications may be obtained at the local Bureau of Indian Affairs agency/area education program administrator as listed in Appendix IV.

**Headquarters Office:**

Haskell Indian Nations University, 155 Indian Avenue, Lawrence, KS 66046. Telephone: (785) 749-8454; Southwestern Indian Polytechnic Institute, 9169 Coors Road, NW, Albuquerque, NM, 81774. Telephone: (505)346-2348.

**Web Site Address:**

<http://www.oiep.bia.edu/>; [WWW.Haskell.edu](http://WWW.Haskell.edu); <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027, Assistance to Tribally Controlled Community Colleges and Universities; 15.114, Indian Education\_Higher Education Grant Program; 15.060, Indian Vocational Training\_United Tribes Technical College.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To the extent that space is available, all applicants meeting the eligibility criteria and demonstrating the ability to benefit from post-secondary education will be accepted.

**15.059 INDIAN GRADUATE STUDENT SCHOLARSHIPS**

(Special Higher Education Scholarships)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to obtain advanced degrees.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used to defray the costs of obtaining a graduate degree.

**Applicant Eligibility:**

Individual applicants must be Indian students who are members of Federally Recognized Indian Tribes, who have been admitted to a graduate program and have unmet financial need.

**Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are a member of or are at least one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Individual applicants must have proof of membership or one-fourth degree of Indian blood or descendant of a member of a Federally Recognized Indian Tribe.

**Preapplication Coordination:**

Applicants should contact the American Indian Graduate Center which administers the program on behalf of the Bureau. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms may be obtained from the local BIA agency or area education office listed in Appendix IV of the Catalog.

**Award Procedure:**

The applicant will be notified of the amount of the award by the financial aid office of the admitting university.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

20 to 30 days from the receipt of the application by the American Indian Graduate Center.

**Appeals:**

None.

**Renewals:**

Individuals must reapply annually.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards made are not to exceed one academic year.

**Reports:**

Successful applicants are required to show proof of satisfactory performance.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Grants) FY 07 \$2,198,000; FY 08 est \$2,164,000; and FY 09 est \$2,164,000.

**Range and Average of Financial Assistance:**

\$250 to \$4,000; \$3,200.

**PROGRAM ACCOMPLISHMENTS:**

Annually approximately 325 Indian students receive support to help finance graduate studies. Law and health professions are the most often selected areas of concentration.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40.

**Regional or Local Office:**

None.

**Headquarters Office:**

American Indian Graduate Center, 4520 Montgomery Boulevard, Suite 1-B, Albuquerque, NM, 87109. Telephone: (505) 881-4584.

**Web Site Address:**

<http://www.oiep.bia.edu/contact.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.026, Indian Adult Education; 15.027, Assistance to Tribally Controlled Community Colleges and Universities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**15.060 INDIAN VOCATIONAL TRAINING-UNITED TRIBES TECHNICAL COLLEGE**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended;



Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide vocational training to individual American Indians through the United Tribes Technical College, located in Bismarck, North Dakota.

**TYPES OF ASSISTANCE:**

Training; Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Financial aid is used to assist individual Indians to obtain a marketable skill through vocational training at the United Tribes Technical College, located in Bismarck, North Dakota. Restricted to American Indian people who are determined eligible for these services.

**Applicant Eligibility:**

Application to administer the program is limited to the United Tribes Technical College. Individual American Indian applicants must be a member of a Federally Recognized Indian Tribe, be in need of financial assistance, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

Individual American Indians who are members of a Federally Recognized Indian Tribe and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs. Complete information on beneficiary eligibility is found in 25 CFR, Parts 26 and 27.

**Credentials/Documentation:**

Applicant must submit a certificate signed by a Bureau Agency Superintendent or an authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally Recognized Indian Tribe.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application by the United Tribes Technical College to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." The completed application should be submitted to the Bureau of Indian Affairs' Aberdeen Regional Office. Individual American Indian applicants should apply for program services using the application form designated by the College. Individual application forms may be obtained directly from the United Tribes Technical College or from Bureau of Indian Affairs Agency or Regional Offices listed in appendix IV of the Catalog.

**Award Procedure:**

Applications for individual subsistence benefits are approved by the designated United Tribes Technical College official.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

1 to 90 days.

**Appeals:**

Disputes between the United Tribes Technical College and the Bureau of Indian Affairs may be appealed through an informal conference with the deciding official, may be appealed to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900. An appeal of a college official's decision must be made under the college's appeal procedures.

**Renewals:**

Awards to the United Tribes Technical College to administer the program may be renewed indefinitely upon satisfactory performance by the college and the availability of appropriations. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Renewals of grants to individual beneficiaries are granted based on evidence of satisfactory performance and the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards to the United Tribes Technical College to administer the program are made on an annual basis and the funds remain available until expended by the college. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the college. Grants to individual beneficiaries for subsistence are released monthly or quarterly, based upon individual needs. Vocational and employment counseling are provided by the college. Funding is limited in duration to the length of the vocational program, which varies by area of study.

**Reports:**

The United Tribes Technical College must submit financial status reports, SF 269A. The timing and nature of program accomplishment data will be negotiated with the College.

**Audits:**

For awards administered by the United Tribes Technical College, the College is responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

The United Tribes Technical College must retain financial records for three years from the date of submission of the single audit report. Procurement records

must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 not available; FY 08 est \$4,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$500 to \$3,000; \$2,500.

**PROGRAM ACCOMPLISHMENTS:**

The United Tribes Technical College offers 23 vocational certificates and degrees. They have approximately 160 new students each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26 and 25 CFR 27. For awards to United Tribes Technical College see also 25 CFR Part 900.

**Regional or Local Office:**

Applications may be obtained from the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog or with the United Tribes Technical College. For direct contact: United Tribes Technical College, 3315 University Dr., Bismarck, North Dakota 58504. Contact: Vivian Gillette, Admissions. Telephone: (701) 255-3285, ext. 334.

**Headquarters Office:**

Office of Self-Governance and Self-Determination, Division of Job Placement and Training, Bureau of Indian Affairs, 1849 C Street, NW, MS 2542 MIB, Washington, DC 20240. Contact: Lynn Forcia. Telephone: (202) 219-5270.

**Web Site Address:**

<http://www.united-tribes.tec.nd.us/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

17.250, Job Training Partnership Act; 15.114, Indian Education\_Higher Education Grant Program; 15.850, Indian Arts and Crafts Development; 15.108, Indian Employment Assistance; 15.061, Indian Job Placement\_United Sioux Tribes Development Corporation.

**EXAMPLES OF FUNDED PROJECTS:**

On average about 80 percent of attendees are placed in jobs upon completion of a vocation certificate program and about 20 percent continue on to higher education.

**CRITERIA FOR SELECTING PROPOSALS:**

Final determination to fund an application is based on the individual's eligibility and financial need and total dollars available to the College.

## 15.061 INDIAN JOB PLACEMENT-UNITED SIOUX TRIBES DEVELOPMENT CORPORATION

(United Sioux Tribes)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85; 42 Stat. 208; 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956; Public Law 84-959; 70 Stat. 986, as amended; Public Law 88-230; 77 Stat. 471; 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act; Public Law 93-638; as amended; 25 U.S.C. 450.

**OBJECTIVES:**

To provide job development, counseling, social adjustment guidance, and referrals to job training programs and other assistance programs through the United Sioux Tribes Development Corporation, located in Pierre, South Dakota.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Financial aid is used to assist individual Indians in finding permanent employment. A weekly or monthly (depending on type of services received) stipend is paid until the participant is employed. Upon receiving employment, assistance may be provided until the first full paycheck is received.

**Applicant Eligibility:**

Application to administer the program is limited to the United Sioux Tribes Development Corporation. Individual American Indian applicants must be a member of a Federally Recognized Indian Tribe, be in need of financial assistance, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

Must be an American Indian member of a Federally Recognized Indian Tribe and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs. Complete information on beneficiary eligibility is found in 25 CFR, Parts 26 and 27.

**Credentials/Documentation:**

Applicant must submit a certificate signed by a Bureau Agency Superintendent or an authorized Tribal representative that indicates the applicant is an enrolled

member of a Federally Recognized Indian Tribe.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application by the United Sioux Tribes Development Corporation to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." The completed application should be submitted to the Bureau of Indian Affairs Aberdeen Regional office. Individual American Indian applicant should apply for program services using the application form designated by the Corporation. Individual application forms may be obtained directly from the Corporation.

**Award Procedure:**

Applications for individual benefits are approved by the designated United Sioux Tribes Development Corporation official.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

1 to 90 days.

**Appeals:**

Disputes between the United Sioux Tribes Development Corporation and the Bureau of Indian Affairs may be appealed through an informal conference with the deciding official, may be appealed to the Interior Board of Indian Appeals, or the corporation may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900. An appeal of the corporate official's decision must be made under the corporation's appeal procedures.

**Renewals:**

Awards to the United Sioux Tribes Development Corporation to administer the program may be renewed indefinitely upon satisfactory performance by the corporation and the availability of appropriated funds. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Individual renewals are based on the availability of funds, but the job placement service may not be used more than three times or more frequently than every two years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards to the United Sioux Tribes Development Corporation to administer the program are made on an annual basis and the funds remain available until expended. Payments may be made in advance or by reimbursement. Payments to individual beneficiaries for subsistence, support services, uniforms, etc., are released as required by beneficiary, up to the amount of the award. Assistance for job placement is provided until the beneficiary receives their first full paycheck.

**Reports:**

The United Sioux Tribes Development Corporation must submit financial status reports, SF 269A. The timing and nature of program accomplishment data will be negotiated with the Corporation.

**Audits:**

For awards administered by the United Sioux Tribes Development Corporation, the Corporation is responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

The United Sioux Tribes Development Corporation must retain financial records for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 not available; FY 08 est not available (program not funded); and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$500 to \$1,200; \$1,000.

**PROGRAM ACCOMPLISHMENTS:**

Less than 30 percent of the funds provided to the Corporation are used for administrative purposes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900, 25 CFR 26, and 25 CFR 27.

**Regional or Local Office:**

United Sioux Tribes Development Corporation, 1830 Lombardy Drive, Rapid City, South Dakota, 57701. Contact: Ken Lock; Telephone: (605) 226-7426.

**Headquarters Office:**

Office of Economic Development, Division of Job Placement and Training, Bureau of Indian Affairs, 1849 C Street, NW., MS-2412 MIB, Washington, DC 20240. Contact: Lynn Forcia. Telephone: (202) 219-5270.

**Web Site Address:**

<http://www.doi.gov>.

**RELATED PROGRAMS:**

15.108, Indian Employment Assistance; 17.251, Native American Employment and Training Programs.

**EXAMPLES OF FUNDED PROJECTS:**

An unemployed husband and wife with two children were placed as a handyman in a garage and a housekeeper in a hotel, respectively.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received for direct employment participants. Final determination to fund an application is based on the individual's eligibility and financial need and total dollars available to the Corporation.

**15.062 REPLACEMENT AND REPAIR OF INDIAN SCHOOLS**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, 25 U.S.C. 450 et seq., as amended, Title IV; Tribal Self-Governance Act of 1994, Public Law 103-413; Tribally Controlled Schools Act of 1988, as amended, Public Law 100-297, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide safe, functional, code-compliant, economical, and energy-efficient education facilities for American Indian students attending Bureau of Indian Affairs owned or funded primary and secondary schools and/or residing in Bureau owned or funded dormitories.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Replacement School Construction: Funds are provided for advanced planning, design, and construction of major expansions or major replacements of Bureau of Indian Affairs owned or funded education facilities for the direct support of primary and secondary schools and/or dormitories. An education facility may include an entire school facility or building, or a component(s) of a school facility or building, such as, classrooms, multi-purpose rooms or gymnasiums, or cafeteria/kitchens; and may include other improvements to real property such as, water storage tanks, water and sewer distribution lines, parking lots, and other site improvements. School facilities are replaced only in those instances where rehabilitation and upgrading are not feasible because of eligible American Indian student capacity needs, functional changes or costs. Facilities Improvement and Repair: Funds are provided for advanced planning, design, and construction for facilities improvement and repair of education facilities for the direct support of primary and secondary schools and/or dormitories and the Bureau's two post secondary schools. Funds are used to improve, repair and rehabilitate facilities and in some instances replace components of education facilities and may include other improvements to real property as noted under Replacement School Construction.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Tribal Organizations, including School Boards, who have a prioritized Replacement School Construction or Facilities Improvement and Repair project for which funds have been appropriated.

**Beneficiary Eligibility:**

American Indian children attending Bureau owned or funded primary and secondary schools and/or American Indian children residing in Bureau owned or funded dormitories.

**Credentials/Documentation:**

An initial application must be accompanied by a copy of the authorizing resolution from the Federal Recognized Indian Tribal Government to be served. If a currently effective authorizing resolution covering the scope of a project has already been provided, a reference to that resolution.

**Preapplication Coordination:**

An informal conference with Bureau agency representatives is strongly recommended to determine the application and award procedures to be followed. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be filed in accordance with 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable.

**Award Procedure:**

Projects are prioritized before the funds are appropriated. Funds must be appropriated before the award can be made. The award is made in accordance with the procedures contained in 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable.

**Deadlines:**

Applications must be submitted in accordance with applicable procedures.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days or as provided under applicable procedures.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Depending upon the size and complexity of the construction project, it may take several increments of funding assistance to complete the project. The initial award is issued as a new contract/grant, with second and subsequent funding increments issued as renewals to existing contracts/grants.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds remain available until expended in accordance with terms of the award.

**Reports:**

Financial status reports, SF 269A, are required. Program progress reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452.

**Obligations:**

Replacement School Construction: FY 07 \$73,824,080; FY 08 est \$13,037,200; and FY 09 est not available. Facilities Improvement and Repair: FY 07 \$48,876,070; FY 08 est \$56,092,020; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Replacement School Construction: The amount of financial assistance can range from approximately \$6 million to \$25 million depending on the size of the school, both grade level and student enrollment, the program requirements, and the location. For the higher amounts, funding may be incremental over 2, 3, or even 5 years. Because of the limited number of schools that have received funding in the last few years and the increasing costs for construction, there is no way to determine a true representative "average" of financial assistance for this program. Facilities Improvement and Repair: The amount of financial assistance can range significantly from a few thousand dollars to approximately \$7 million.

There are several categories of projects that are included under Facilities Improvement and Repair, such as, Emergency, Roofing Replacement/Repair, Portable Classrooms. The average amount of financial assistance can vary depending on the category.

**PROGRAM ACCOMPLISHMENTS:**

Replacement School Construction: A grades 9 through 12 junior/senior high school in Arizona and a grades pre-K through 8 in Iowa were recently completed. Facilities Improvement and Repair: Funds are used to address environmental projects, AHERA requirements, minor repairs, emergency repairs, major repair/replacement projects and safety and health and other code deficiencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable; OMB Circulars No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments," A-122, "Cost Principles for Non-Profit Organizations," A-21, "Cost Principles for Educational Institutions," as applicable; and Bureau of Indian Affairs Manual, Chapter 25, Supplements 18 and 19; Bureau of Indian Affairs Education Space Guidelines.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV.

**Headquarters Office:**

Director, Office of Facilities Management and Construction, Bureau of Indian Affairs, 201 Third Street, NW., Suite 500, P. O. Box 1248, Albuquerque, NM 87103. Telephone: (505) 346-6522. Use the same number of FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ofmc/cm.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Replacement School Construction: A pre-Kindergarten through Grade 12 school complex was funded in the State of Washington. Because of the size of the project, funds were appropriated in increments for this project. In recent years funds have been provided to build elementary and middle schools in North Dakota, New Mexico, and Mississippi, a high school in South Dakota and a library in Mississippi. Facilities Improvement and Repair: The emphasis of this program is minor replacement construction, major and minor repairs, and emergency projects to remedy life safety and health related deficiencies in facilities. Examples of projects include: boiler repair and replacement; roofing repair and replacement of gymnasium; removal of underground storage tanks; installation of fire exit lights, emergency lights, fire rated doors, and other safety related items; and replacement of water storage tanks.

**CRITERIA FOR SELECTING PROPOSALS:**

Replacement School Construction: Funds are appropriated based on the "Education Facilities Replacement Construction Priority List" as published in the FEDERAL REGISTER on March 24, 2004. Criteria emphasizes providing safe, functional, code-compliant, economical and energy-efficient educational facilities that meet applicable accreditation standards and space guidelines. Facilities Improvement and Repair: Criteria to evaluate projects emphasize eliminating critical health and safety-related deficiencies and reducing the substantial backlog of needed improvements and repairs. Potential projects are identified by facility users, regional office facilities personnel and the Office of Facilities Management and Construction. Facilities Improvement and Repair projects are then prioritized on a Bureau-wide basis using a computerized formula that evaluates the seriousness of the deficiencies and the relative risks of those deficiencies to facility users. To be considered it is essential that deficiencies and projects for a Bureau funded school or dormitory be identified in the automated inventory of Bureau facilities. In addition there are limited funds provided under this program to address safety and health deficiencies on an immediate or interim basis as well as funds for emergency repairs under certain conditions, and for other purposes. For more information on these other programs or on the priority ranking process for Replacement School Construction or Facilities Improvement and Repair projects, contact the Headquarters Office listed above or the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**15.063 IMPROVEMENT AND REPAIR OF INDIAN DETENTION FACILITIES**

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, 25 U.S.C. 450 et seq., as amended, Title IV; Tribal Self-Governance Act of 1994, Public Law 103-413.

**OBJECTIVES:**

To provide safe, functional, code and standards compliant, economical, and energy-efficient adult and/or juvenile detention facilities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are provided for advanced planning, design, and construction for facilities improvement and repair to Bureau detention facilities (e.g. renovations, improvements, demolitions, or additions) when economically justified with emphasis on addressing critical health and safety needs identified in Bureau safety reports and meeting emergency needs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments who have a prioritized Facilities Improvement and Repair project for a Bureau detention facility for which funds have been appropriated.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

An initial application must be accompanied by a copy of the authorizing resolution from the Federal Recognized Indian Tribal Government to be served. If a currently effective authorizing resolution covering the scope of a project has already been provided, a reference to that resolution.

**Preapplication Coordination:**

An informal conference with BIA agency representatives is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be filed in accordance with 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act."

**Award Procedure:**

Projects are prioritized before the funds are appropriated. Funds must be appropriated before the award can be made. The award is made in accordance with the procedures contained in 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act."



**Deadlines:**

Applications must be submitted in accordance with applicable procedures.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Depending upon the size and complexity of the construction project, it may take several increments of funding assistance to complete the project. The initial award is issued as a new contract/grant, with second and subsequent funding increments issued as renewals to the existing contract/grant.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds remain available until expended in accordance with the terms of the award.

**Reports:**

Financial status reports, SF 269A, are required. Program progress reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996, (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 est \$7,292,700; FY 08 est \$9,999,900; and FY 09 est not available.

**Range and Average of Financial Assistance:**

The amount of financial assistance can range significantly from a few thousand dollars to approximately \$1,000,000. Because funding is on a project basis based on the work to be accomplished, an average financial assistance can not be determined.

**PROGRAM ACCOMPLISHMENTS:**

Funds are used to address environmental projects, asbestos abatement, minor repairs, emergency repairs, and safety and health and other code deficiencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 900, Contracts under the Indian Self-Determination and Education Assistance Act; OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments; Bureau of Indian Affairs Manual, Chapter 25, Supplements 18 and 19; Indian Affairs Manual, Chapter 40, Law Enforcement and Detention; and BIA's Adult Detention Handbook, Juvenile Detention Handbook, and/or Model Inmate Handbook, as applicable.

**Regional or Local Office:**

Bureau of Indian Affairs agency or regional office as listed in Appendix IV.

**Headquarters Office:**

Director, Office of Law Enforcement Services, Bureau of Indian Affairs, P.O. Box 66, Albuquerque, NM 87103. Telephone: (505) 248-7937. Use the same number for FTS; or Director, Office of Facilities Management and Construction, Bureau of Indian Affairs, 201 Third St., NW., Suite 500, P.O. Box 1248, Albuquerque, NM 87103. Telephone: (505) 346-6522. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ofmc/cm.htm#3>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

16.596, Correctional Grant Program for Indian Tribes.

**EXAMPLES OF FUNDED PROJECTS:**

The emphasis of this program is to remedy life safety and health related deficiencies in existing facilities. An emergency stand-by generator to power security systems and enlargement of exercise yard to comply with program requirements were done at a detention facility in Arizona. Another project at a Montana detention facility addressed miscellaneous life safety, handicap, and environmental deficiencies including installation of rest rooms to accommodate the handicapped, new electrical wiring, and asbestos removal. A project at a facility in New Mexico included heating and cooling system improvements, site drainage, and a new back-up generator to power security systems.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria to evaluate Bureau owned and operated detention facilities for prioritization emphasize eliminating critical health and safety-related

deficiencies. For more information on the priority ranking process for Facilities Improvement and Repair of Bureau owned and operated detention facilities, contact the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog or the Headquarters Offices listed above.

**15.064 STRUCTURAL FIRE PROTECTION-BUREAU OF INDIAN AFFAIRS FACILITIES**

(Fire Protection)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, 25 U.S.C. 450 et seq., as amended, Title IV; Tribal Self-Governance Act of 1994, Public Law 103-413; Tribally Controlled Schools Act of 1988, as amended, Public Law 100-297, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide for the installation of fire protection and prevention equipment in schools, dormitories, detention centers and other BIA facilities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for training, breathing apparatus equipment; other equipment such as hoses; fire trucks; protective clothing for fire personnel; installation of fire sprinkles and fire/smoke alarms in schools and dormitories; and support other fire protection and preventive measures.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Tribal Organizations, including School Boards, who have a prioritized Fire Protection project for which funds have been appropriated.

**Beneficiary Eligibility:**

Indian children attending Bureau owned or funded primary and secondary schools and/or residing in Bureau owned or funded dormitories and occupants and visitors of detention centers and other BIA facilities.

**Credentials/Documentation:**

An initial application must be accompanied by a copy of the authorizing resolution from the Federally Recognized Indian Tribal Government to be served. If a currently effective authorizing resolution covering the scope of an initial contract proposal has already been provided, a reference to that resolution.

**Preapplication Coordination:**

An informal conference with a Bureau agency representative is strongly recommended to determine the application and award procedures to be followed. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be filed in accordance with 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable.

**Award Procedure:**

Fire protection projects have been identified and prioritized. Funds must be appropriated before the award can be made. The award is made in accordance with the procedures contained in 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable.

**Deadlines:**

Applications must be submitted in accordance with applicable procedures.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days or as provided under applicable procedures.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are for one-time projects. Depending upon the size and complexity of the project, it may take a couple of increments of funding assistance to complete the project. The initial award is issued as a new contract/grant, with second and any subsequent funding increments issued as renewals to existing contracts/grants.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds remain available until expended in accordance with the terms of the award.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee.

**Audits:**

For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 \$532,960; FY 08 est \$532,960; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$5,000 to \$250,000; \$120,000.

**PROGRAM ACCOMPLISHMENTS:**

Funds were used to retrofit smoke detectors, fire alarms, and sprinkler systems in identified schools, dormitories, and other Bureau facilities and used to replace fire trucks.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable; OMB Circulars A-87, "Cost Principles for State, Local, and Indian Tribal Governments," A-122, "Cost Principles for Non-Profit Organizations," A-21, "Cost Principles for Educational Institutions," as applicable; and Bureau of Indian Affairs Manual, Chapter 25, Supplements 18 and 19; National Fire Protection Association Standards.

**Regional or Local Office:**

Applications should be filed with the local Bureau of Indian Affairs agency or regional office representative or education program administrator as listed in Appendix IV.

**Headquarters Office:**

Structural Fire Protection Program Manager; Office of Facilities Management and Construction, Bureau of Indian Affairs, 201 Third Street, NW, Suite 500, P. O. Box 1248, Albuquerque, NM 87103. Telephone: (505) 346-6522. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ofmc/sp.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Installation or repair of sprinkler systems; installation of smoke detectors; installation or repair of fire alarm systems; acquisition/replacement of fire extinguishers; replacement of fire trucks.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects have been identified and prioritized based on assessed risk to occupants. Dormitories and schools housing Indian children were given highest priority. Applicants must have a prioritized project. For more information contact the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog or the Structural Fire Protection Program Manager at the location shown under "Headquarters Office."

**15.065 SAFETY OF DAMS ON INDIAN LANDS****FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, 25 U.S.C. 13, Public Law 67-85, 42 Stat. 208; Indian Dams Safety Act of 1994, Public Law 103-302, 108 Stat. 1560; Secretarial Order No. 3048.

**OBJECTIVES:**

To improve the structural integrity of dams on Indian lands, including operations and maintenance of these dams.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds allow for the inspection, operation and maintenance, early warning systems, and emergency action plans of high and significant hazard dams under the responsibility of the Bureau of Indian Affairs, and for safety of dam rehabilitation construction necessary to correct identified deficiencies on the

most unsafe dams. Financial awards are specific to a given site and awards are restricted to Indian tribes or tribal organizations affected by the projects.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments to be benefited by the award.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

The application must be accompanied by a resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." For the rehabilitation construction, applications must contain the information specified in 25 CFR Part 900, Subpart J, "Construction." An Indian tribe or tribal organization that wishes to secure a construction project should contact the appropriate local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Area Director for approval.

**Deadlines:**

Notification of specific fund allocations for construction projects is made to Indian tribes or tribal organizations to be benefited by the availability of the funds. A 30-day time period is usually set for the tribe to notify the Bureau of Indian Affairs of its intent to seek award of the available project.

**Range of Approval/Disapproval Time:**

Applications for construction projects will be processed within 90 days after receipt of the final proposal.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900, Subpart L.

**Renewals:**

Projects are generally multi-year agreements with no renewal. Under extenuating circumstances, extensions may be granted.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Contracts are for the duration of the project, often one to five years, and the funds remain available until expended by the contractor/grantee. The timing of payments will be negotiated with the grantee.

**Reports:**

Financial status reports, SF 269A, are required. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee.

**Audits:**

For awards made under this program, grantees and subgrantees are responsible for obtaining audits. All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.) and Circular A-133. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Total Amount of Awards) FY 07 \$8,900,000; FY 08 est \$6,900,000; and FY 09 est \$9,100,000.

**Range and Average of Financial Assistance:**

Highly variable, depending on the scope of work. Awards are commonly awarded for various phases of the safety program. For example, conception design \$100,000 to \$300,000; final design \$300,000 to \$1,000,000; and construction repair \$1,000,000 to \$17,000,000. For non-construction portion, awards can be from \$10,000 up to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the design phase was completed on three project and two

construction projects were completed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; and Department of the Interior Safety of Dams (SOD) Program.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Trust Services, Division of Irrigation, Power and Safety of Dams, Bureau of Indian Affairs, 1849 C Street N.W., MS 4655 MIB, Washington, DC 20240. Telephone: (202) 208-5480. Contact: Ross Mooney.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

15.049, Irrigation Operations and Maintenance on Indian Lands.

**EXAMPLES OF FUNDED PROJECTS:**

Projects commonly encompass three phases of program work: conceptual design, involving engineering studies of construction alternatives; final design, including structural dam design and cost estimation; and construction repair, the physical rehabilitation of existing structures. Also, included are recurring operations and maintenance of the dams, early warning systems and emergency action plans.

**CRITERIA FOR SELECTING PROPOSALS:**

The relative probability of dam failure (risk-of-failure) is determined from the technical factors used in the SEED report to determine placement on the Department of the Interior's Technical Priority Rating List. This priority list is then used to prioritize budget requests for repair of the Bureau's most unsafe dams. Approximately \$22,000,000 of the funds for the Safety of Dams program are distributed in accordance with the Technical Priority Rating listing for Department of the Interior dams.

## 15.108 INDIAN EMPLOYMENT ASSISTANCE

(Employment Assistance Program)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide vocational training and employment opportunities to eligible American Indians and reduce Federal dependence.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Financial aid is used to assist individual Indians to obtain a marketable skill through vocational training and to assist those who have a job skill to find permanent employment. Vocational and employment counseling are provided by the program. Eligible American Indians may receive vocational training or job placement on or near the reservation or in an urban Regional.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian Tribal Governments may apply to administer the program. Individual American Indian applicants must be a member of a Federally Recognized Indian Tribe, be in need of financial assistance, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are unemployed, underemployed, or in need of training to obtain reasonable and satisfactory employment. Complete information on beneficiary eligibility is found in 25 CFR, Parts 26 and 27.

**Credentials/Documentation:**

Applicants must submit a certificate signed by a Bureau Agency Superintendent or an authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally Recognized Indian Tribe.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications by Indian Tribal Governments to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV. Individual American Indian applicants should apply for program services on Bureau of Indian Affairs Form BIA-8205 at the nearest Bureau Employment Assistance office or tribal government offices.

**Award Procedure:**

The dollar value of the awards to Indian Tribal Governments depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Applications for individual benefits are approved by the Bureau Agency Superintendent or authorized tribal representative.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications by Tribal Governments to administer the program will be processed within 90 days. Applications by individuals for benefits will be processed within 30 days.

**Appeals:**

A Tribal Government whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900. An individual may appeal the BIA agency Superintendent's decision to the Regional Director. The complete appeal process for an individual is found in 25 CFR Part 2, "Appeals from Administrative Action." An appeal of a Tribal contractor's decision must be made under the Tribe's appeal procedures.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Renewals of grants to individual beneficiaries are based on evidence of satisfactory performance and the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards to Indian Tribal Governments and Native American Organizations to administer the program are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the Tribal Government. Grants to individual beneficiaries for subsistence, tuition and related training costs, supportive services, etc., are released as required by beneficiary, up to the amount of the award. Assistance for job placement is provided until the beneficiary receives the first full paycheck from employment. Individual beneficiaries may not receive more than 24 months of full-time training, except for Registered Nursing students who may receive 36 months of training.

**Reports:**

Indian Tribal Governments administering the program must submit financial status reports, SF 269A. The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Individuals must provide evidence of satisfactory progress.

**Audits:**

For awards administered by Indian Tribal Governments, the Tribe is responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Indian Tribal Governments administering the program must retain financial records for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards)FY 07 \$7,261,840; FY 08 est \$6,923,860; and FY 09 est not available.

**Range and Average of Financial Assistance:**

For awards to Indian Tribal Governments: \$7,000 to \$350,000; \$46,000. For awards to individual beneficiaries: \$200 to \$10,000; \$5,100.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 175 awards are made annually to Indian Tribal Governments; approximately 1500 individuals receive assistance annually either through Tribal programs or as direct grants from the BIA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26 and 25 CFR 27. For awards to Indian Tribal Governments see also 25 CFR Part 900.

**Regional or Local Office:**

Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog or with the Tribal Government administering the program.

**Headquarters Office:**

Office of Indian Energy and Economic Development, Division of Workforce Development, 1951 Constitution Avenue, NW, Mail Stop 20-SIB, Washington



DC 20245.

**Web Site Address:**

<http://www.doi.gov/bia/ecodev/index.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.114, Indian Education\_Higher Education Grant Program; 15.850, Indian Arts and Crafts Development.

**EXAMPLES OF FUNDED PROJECTS:**

The Southwestern Indian Polytechnic Institute in Albuquerque, New Mexico trains students in ophthalmology and provides job placement upon completion of the program. Adult vocational training subsistence funds are provided to individuals with families who live off campus. One individual received 3 years of nursing training in Phoenix, Arizona and was subsequently employed by a medical center.

**CRITERIA FOR SELECTING PROPOSALS:**

All Tribes meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Applications from individuals are received for both vocational training and direct employment participants. Final determination to fund an application is based on the individual's eligibility and financial need and total dollars available to the Tribe or Agency.

### 15.113 INDIAN SOCIAL SERVICES-WELFARE ASSISTANCE

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial assistance for basic needs of needy eligible American Indians who reside on or near reservations, including those American Indians living under Bureau of Indian Affairs service area jurisdictions, when such assistance is not available from State or local public agencies.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Provides cash payments to eligible American Indian individuals and families to meet basic needs (i.e., food, clothing, shelter, etc.). Provides extra monthly benefits to tribal members on general assistance who also work on tribal projects under the Tribal Work Experience Program. Provides monthly assistance for non-medical institutional or custodial care of adults who are not eligible for care from Indian Health Services, Social Security, or any other county, state or Federal program. Provides foster home care and appropriate institutional (non-medical) care for dependent, neglected, and handicapped American Indian children in need of protection. This program also pays the burial expenses of indigent American Indians whose estates do not have sufficient resources to meet funeral expenses and provides emergency assistance to prevent hardship caused by fire, flood or acts of nature.

**Applicant Eligibility:**

An American Indian who is a member of a federally recognized Indian Tribe, who resides on or near a federally recognized Indian reservations, who is in need of financial assistance and who meets the eligibility criteria in 25 CFR Part 20.

**Beneficiary Eligibility:**

American Indians who are members of federally recognized Indian Tribes.

**Credentials/Documentation:**

Proof of American Indian status, residency, and income/resources available must be provided by applicant.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A verbal or written request for assistance to the Bureau of Indian Affairs agency or regional representative or designated tribal authority.

**Award Procedure:**

Assistance is provided by the Bureau of Indian Affairs agency or regional office or contracted tribal program.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Generally within 10 days depending upon applicants needs and the extent of investigation required. Decisions will take no longer than 45 days.

**Appeals:**

An unsuccessful applicant may appeal a Bureau of Indian Affairs official's decision under the procedures contained in 25 CFR Part 20, Subpart D "Hearings and Appeals" and 25 CFR Part 2 "Appeals from Administrative Actions."

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length of assistance is indefinite, depending on continued need and available resources. Assistance is usually provided monthly or as needed.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total program funds including direct payments) FY 07 \$59,332,460; FY 08 est \$59,332,460; and FY 09 est not available.

**Range and Average of Financial Assistance:**

May range from a few hundred to several hundred dollars monthly depending upon the assistance provided.

**PROGRAM ACCOMPLISHMENTS:**

General assistance is provided to over 41,000 persons on a monthly basis. Indian Child Welfare Assistance is provided to an estimated 3,000 children on a monthly basis and Non-Medical Institutional or Custodial Care is provided monthly to about 1,100 disabled American Indian adults.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 20.

**Regional or Local Office:**

Information can be secured from the Agency Superintendents and from Regional Directors (see Catalog Appendix IV for addresses). Applications for general assistance are made at the local agency or tribal level.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C St., NW., MS 320 SIB, Washington, DC 20245. Telephone: (202) 513-7642. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/childw-2.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Individual financial assistance (welfare) grant to a single American Indian person or to an American Indian family of eight based upon public assistance standards of the State where recipients reside.

**CRITERIA FOR SELECTING PROPOSALS:**

Must be an American Indian residing on or near a reservation as defined in 25 CFR 20 and must be in need as defined in 25 CFR Part 20. All eligible applicants will be funded subject to availability of funds.

### 15.114 INDIAN EDUCATION-HIGHER EDUCATION GRANT PROGRAM

(Higher Education)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to attend accredited institutions of higher education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds are to supplement the total financial aid package prepared by the college financial aid officer. Funds are intended to assist students in pursuing their undergraduate baccalaureate degree.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments may apply to administer the program. Individuals who are members of Federally Recognized Indian Tribes may submit applications for benefits directly to the Bureau of Indian Affairs if the Bureau agency serving their reservation provides direct services for this program. Individuals must be enrolled in an accredited college and have financial need as determined by the institution's financial aid office.

**Beneficiary Eligibility:**

Members of a Federally Recognized Indian Tribe who are enrolled or accepted for enrollment in an accredited college and have financial need as determined by the institution's financial aid office.

**Credentials/Documentation:**

Initial application by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

Individual student applicants must submit a certificate of Indian blood; college financial aid package; statement of acceptance by college and Bureau of Indian Affairs grant application.

**Preapplication Coordination:**

The applicant should consult the Agency/Area Program Administrator for Education. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications by Indian tribes and tribal organizations to administer the program must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Individual students must be accepted by a college or university and should complete application forms in accordance with instructions available upon request from the Education Line Office, or tribal contractor administering the program. Completed forms are submitted to the student's higher education program office at the appropriate office.

**Award Procedure:**

In most cases, the application by an Indian tribe or tribal organization to administer the program can be approved by the Area/Agency Education Program Administrator or the Area/Agency Bureau Contracting Officer. Individual students are notified by the Area/Agency Education Program Administrator or tribal contractor, and funds are sent to the applicant in care of the college or university financial aid office.

**Deadlines:**

Applications to administer the program may be submitted at any time. Deadlines for individual student applications are determined by the Education Line Office and/or tribal contractor.

**Range of Approval/Disapproval Time:**

Applications by Indian tribes and tribal organizations to administer the program will be processed within 90 days. Applications by students will be processed within 6 to 10 weeks after all required documents are submitted.

**Appeals:**

Indian tribes and tribal organizations whose application to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900. Individual students may appeal a Bureau of Indian Affairs official's decision to the Area/Agency Education Program Administrator under the procedures contained in 25 CFR Part 2, "Appeals from Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Grants to students may be continued through the undergraduate level if the student maintains acceptable progress and academic standing. Renewal applications must be submitted annually with updated grades or transcript.

**Formula and Matching Requirements:**

Not applicable to Indian tribes and tribal organizations. Students are expected to take advantage of the campus-based financial aid programs offered to all students, and any other scholarships which may be available to them.

**Length and Time Phasing of Assistance:**

Awards to Indian tribes and tribal organizations are made on an annual basis. Payments may be made in advance or by way of reimbursement. The time of the payments will be negotiated with the Indian tribe or tribal organization. Grants to students are generally made for the academic year on a quarter or semester basis. A grant is for a period not to exceed 5 years, or the period of time required to complete the course of study.

**Reports:**

Indian tribes and tribal organizations are required to submit financial status reports, SF 269A. Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Students applying for continuation of grants must submit grade reports at the end of each academic year.

**Audits:**

For awards administered by Indian tribes and tribal organizations, the contractor/grantee is responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be maintained by the Indian tribe or tribal organization for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of

disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

FY 07 \$25,832,000; FY 08 est \$25,959,000; and FY 09 est \$20,138,000.

**Range and Average of Financial Assistance:**

\$300 to \$5,000; \$3,000.

**PROGRAM ACCOMPLISHMENTS:**

Annually an estimated 9,800 students receive assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40; 25 CFR Part 900.

**Regional or Local Office:**

See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Office of Indian Education Programs, Room MS 3609-MIB, 1849 C Street, NW., Washington, DC 20240. Contact: Keith Neves. Telephone: (202)208-3601. Use the same number for FTS.

**Web Site Address:**

<http://www.oiep.bia.edu/scholarships.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.108, Indian Employment Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

The Bureau's scholarship program provides about 25 percent of the student's total financial aid.

**CRITERIA FOR SELECTING PROPOSALS:**

All Indian tribes and tribal organizations meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Final determination to fund student applications is based on the individual's eligibility and total dollars available to the Indian tribe or tribal organization or local Bureau office.

## 15.124 INDIAN LOANS-ECONOMIC DEVELOPMENT

(Loan Guaranty, Insurance, and Interest Subsidy Program)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, OFFICE OF INDIAN ENERGY AND ECONOMIC DEVELOPMENT, DEPARTMENT OF THE INTERIOR.

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Reorganization Act of 1934, Section 10, Public Law 73-383, 48 Stat. 986, 25 U.S.C. 470; Public Law 93-262, 88 Stat. 77 through 83, 25 U.S.C. 1451; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide assistance to Federally Recognized Indian Tribal Governments, Native American Organizations, and individual American Indians in obtaining financing from private sources to promote business development initiatives to improve the economies of Federally Recognized Indian Reservations.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Loans may be used to finance commercial, industrial, agricultural, or business activities, which benefit Federal Indian Reservation economies. Loan guarantees to private lenders will only be provided if funds otherwise would be unavailable to the borrower.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations authorized by Indian tribal governments, and individual American Indians.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations, and individual American Indians or Alaska natives. Complete information on beneficiary eligibility is found in 25 CFR, Part 103.

**Credentials/Documentation:**

Individual applicants must submit a certificate signed by Bureau Agency Superintendent or authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally recognized Indian tribal government. Federally Recognized Indian Tribal Governments and Native American Organizations must submit a resolution of the governing body of the Indian Tribe. All applicants must demonstrate their inability to obtain financing through the same institutions serving other citizens.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for loan guarantees should be submitted by the lender at the local Bureau of Indian Affairs Agency or Tribal Loan Administration Office. Lenders should contact the local office for information on documentation needed to

complete an application.

**Award Procedure:**

Action approving or disapproving loans is taken at various levels pursuant to delegated authority. The Bureau of Indian Affairs Regional or Field Office or Tribal Loan Administration Office notifies applicants of action taken on applications.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

15 to 30 days depending upon completeness of loan package.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application by a Bureau of Indian Affairs official to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 2.

**Renewals:**

None.

**Formula and Matching Requirements:**

The maximum percentage of guaranty is 90 percent of unpaid principal and interest. Borrower must have 20 percent equity in business being financed.

**Length and Time Phasing of Assistance:**

Loan guarantees are limited to no more than 30 year terms.

**Reports:**

Lenders will submit quarterly reports on the status of loans to the Director of Indian Affairs Region in which the loan was made.

**Audits:**

Federally Recognized Indian Tribal Governments, Native American Organizations, and tribal enterprises are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Loan records must be maintained for the life of the loan.

**Account Identification:**

14-4415-0-3-452.

**Obligations:**

(Guaranteed Loans) FY 07 \$85,485,456; FY 08 est \$84,172,203; and FY 09 est \$84,172,203.

**Range and Average of Financial Assistance:**

For individuals and tribal enterprises, \$150,000 to \$10,500,000. For Federally Recognized Tribal Governments and Native American Organizations, \$10,000,000 to \$12,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Guarantees of over eight hundred and forty-seven million dollars of loans have been awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 103.

**Regional or Local Office:**

Lenders must submit applications to the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog or with the Tribal Government administering the program.

**Headquarters Office:**

Office of Indian Energy and Economic Development, Assistant Secretary Indian Affairs, 1951 Constitution Ave, NW., MS-20-SIB, Washington, DC 20240. Contact: Michael A. Lucero. Telephone: (202) 513-7681.

**Web Site Address:**

<http://www.doi.gov/bia/ecodev/loanpgm.html>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

10.766, Community Facilities Loans and Grants.

**EXAMPLES OF FUNDED PROJECTS:**

A Bureau of Indian Affairs 90 percent loan guarantee of \$5.5 million for a Tribe to construct and operate a tire recycling business, which is one of the first vertically integrated crumb rubber processing facilities in North America. Another example is a BIA 90 percent loan guarantee of \$763,500 for a Tribe's health clinic expansion. This expansion was required to provide the quality and level of services the Tribal members needed. Another example is a BIA 90 percent loan guarantee of \$4.5 million for a Tribe's 96-unit apartment complex expansion. This expansion will assist in diversifying the Tribal economy in the Northern New Mexico region.

**CRITERIA FOR SELECTING PROPOSALS:**

Economic enterprises must demonstrate a reasonable prospect for repayment, and be at least 51 percent Indian owned. Project must provide economic development to a federally recognized Indian reservation.

## 15.130 INDIAN EDUCATION-ASSISTANCE TO SCHOOLS

(Johnson-O'Malley)

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Indian Self Determination and Education and Assistance Act, Public Law 93-638; 25 U.S.C. 455-457.

**OBJECTIVES:**

To fund programs that meet the unique and specialized needs of eligible Indian students.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds may be used for supplemental programs to meet the special educationally related needs of eligible Indian students. Funds under this program may not be used for capital expenditures.

**Applicant Eligibility:**

Tribal organizations, Indian Corporations, school districts or States which have eligible Indian children attending public school districts and have established Indian Education Committees to approve supplementary or operational support programs beneficial to Indian students.

**Beneficiary Eligibility:**

Children who are enrolled members of, or at least one-fourth or more degree of Indian blood descendant of a member of a federally recognized Indian tribal government eligible for service by the Bureau, and are between age 3 through grade 12 with priority given to those residing on or near Indian reservations.

**Credentials/Documentation:**

As required for contract under 25 CFR Part 900.

**Preapplication Coordination:**

BIA will provide technical assistance when requested by tribal organization. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms may be obtained from the Area/Agency Education Program Administrator. Completed applications which include an education plan based on needs assessments and an estimated budget are sent to the appropriate BIA Area or Agency Office.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Contracts with Indian corporations, States and school districts are negotiated with the Agency/Area Education Program Administrator.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Annual reports required following the close of the year, as specified in 25 CFR 273.

**Audits:**

For awards made under this program, grantees are responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A-133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**



Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

FY 07 \$16,371,000; FY 08 est \$12,000,000; and FY 09 est \$16,500,000.

**Range and Average of Financial Assistance:**

\$700 to \$4,359,000; \$72,000.

**PROGRAM ACCOMPLISHMENTS:**

Annually approximately 272,000 students in 33 States are served.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 273; 25 CFR Part 900.

**Regional or Local Office:**

See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Office of Indian Education Programs, Room MS 3609-MIB, 1849 C Street, N.W., Washington, DC 20240. Contact: Jim Martin. Telephone: (202) 208-5820.

**Web Site Address:**

<http://www.oiep.bia.edu/jom.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Home school coordinators; remedial tutoring, educational field trips; and cultural programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Johnson-O'Malley Parent Committee determination through needs assessments.

## 15.133 NATIVE AMERICAN BUSINESS DEVELOPMENT INSTITUTE

(NABDI)

**FEDERAL AGENCY:**

OFFICE OF INDIAN ENERGY AND ECONOMIC DEVELOPMENT (IEED), DIVISION OF ECONOMIC DEVELOPMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

Under its Native American Business Development Institute (NABDI) conceived in FY 2006, IEED has developed partnerships with U.S. business schools to assist tribal business assess financial opportunities and prepare economic feasibility studies. Assistance by way of Public Law 93-638 agreements between tribes and participating business schools. During FY 2006- 2008, NABDI assisted tribes to analyze the potential of economic opportunities as diverse as a business park, a meat packing plant, a wind energy project, a security business, a medical supply business, upland bird hunting, new uses for a dormat tribal wellness/recreation center, and a greenhouse heated by way of woody biomass.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federally recognized tribes whose lands are held in trust or restricted fee by the Federal government.

**Applicant Eligibility:**

Federally Recognized Indian Tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal governments and their members.

**Credentials/Documentation:**

Tribal applicants must submit a tribal resolution requesting funding of a Public Law 93-638 contract and describing the project for which a feasibility study is requested. This program is excluded from coverage under E.O. 12372.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications should be submitted to IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW Washington DC 20245.

**Award Procedure:**

As funding is limited, applications are juried by IEED staff and selections are approved by the Director, IEED.

**Deadlines:**

Applications are considered on a competitive basis until available funds are exhausted.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Agreements are made on an annual basis and the funds remain available until expended by the contractor. The timing of payments will be negotiated by the Regional Office, Contract Officer and the contractor.

**Reports:**

Financial Status Reports, SF 269.

**Audits:**

All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996, and OMB Circular A-133. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years form the date of the final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-7-8-452.

**Obligations:**

FY 07 \$0; FY 08 est \$150,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Determined on an annual basis, sujet to appropriations.

**PROGRAM ACCOMPLISHMENTS:**

IEED has developed partnerships with U.S. business schools to assist tribal business assess financial opportunities and prepare economic feasibility studies. During FY 2006-FY 2008, NABDI assisted tribes to analyze the potential of economic opportunities as diverse as a business park, a meat packing plant, a wind energy project, a security business, a medical supply business, upland bird hunting, new uses for a dormat tribal wellness/recreation center, and a greenhouse heated by way of woody biomass.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Regional Office Contract Officer.

**Headquarters Office:**

IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW, Washington, DC 20245, Phone: (202) 219-0740, Fax: (202) 208-4564.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Potential for creating jobs and fostering economic activity on the reservation.

## 15.141 INDIAN HOUSING ASSISTANCE

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To use the Housing Improvement Program (HIP) resources of the Bureau of Indian Affairs to eliminate substantially substandard Indian owned and inhabited housing for very low income eligible Indians living in approved tribal service areas. This effort is assisted by the Indian Health Service (Department of Health and Human Services) which provides water and sanitary systems for houses repaired or built with HIP funds.

**TYPES OF ASSISTANCE:**

Project Grants; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The program is primarily devoted to providing decent, safe, and sanitary housing through renovations, repairs, or additions to existing homes. The program will build an entire house in situations where no other program can meet the need in the immediate or near future. Technical assistance is provided to Indian tribes to establish housing plans and determine the extent and use of the Bureau's Housing Improvement Program. The program is restricted to use within reservations and approved tribal service areas.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations to administer the program who have eligible applicants with identified housing needs. Individual members of Federally recognized Indian tribes living in approved tribal service areas in need of housing assistance who are unable to obtain assistance from any other source, and who meet the eligibility criteria of the HIP regulations (25 CFR Part 256 "Housing Improvement Program").

**Beneficiary Eligibility:**

Individual members of Federally recognized Indian tribes.

**Credentials/Documentation:**

Initial applications by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe(s) to be served. Individual Indians must furnish information required by 25 CFR Part 256, basically proving membership in a Federally-recognized Indian tribe and financial inability to obtain assistance for repairs or new housing.

**Preapplication Coordination:**

Funds may be used in conjunction with other Federal programs, such as Indian Health Service for water and sanitary facilities, or privately financed programs that are appropriate to repair or build housing. An informal conference with Bureau of Indian Affairs agency representative is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial applications from Indian tribes and tribal organizations must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed application should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV. Individual Indians should submit written applications to the local tribal servicing housing office, or local Bureau of Indian Affairs agency or regional office listed in Appendix IV.

**Award Procedure:**

The dollar value of the award to Indian tribes and tribal organizations is determined through the use of annual tribal work plans identifying eligible applicants and through prioritization under the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

For Indian tribes and tribal organizations, applications may be submitted at any time. For individual Indians, as set at the local level.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

Applicants whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR part 900. An individual whose request is denied may appeal a Bureau of Indian Affairs official's decision to the Regional Director under the procedures contained in 25 CFR Part 2, "Appeals From Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations to administer the program may be renewed indefinitely upon satisfactory performance by the contractor. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of changes in the identified eligible applicants and in individual tribal priorities established in the budget formulation process. For individual Indians, receipt of program services represent one-time direct assistance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

For Indian tribes and tribal organizations awards are made on an annual basis and the funds remain available until expended by the contractor. Payments may be made in advance or by way of reimbursement. The timing of payment will be negotiated with the Indian tribes.

**Reports:**

For Indian tribes and tribal organization administering the program financial status reports, SF-269A, are required. Program progress reporting requirements will be negotiated with the contractor.

**Audits:**

For awards administered by Indian tribes and tribal organizations, the contractor is responsible for obtaining audits. All nonfederal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.) and OMB Circular A - 133 Compliance Supplement and Government Auditing Standards. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A - 133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the

date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452.

**Obligations:**

(Total Amount of Awards: Self-Determination Contracts and Direct Grants) FY 07 \$23,000,000; FY 08 est \$13,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For HIP, maximum of \$35,000 for repairs and renovations; \$2,500 for interim improvements. The average cost of repair has been approximately \$17,500. New housing does not have a specified maximum amount, but is intended to provide only a modest standard dwelling. Average new housing construction cost has been approximately \$55,000.

**PROGRAM ACCOMPLISHMENTS:**

On an annual basis over 500 families receive services under the HIP program through repairs/renovations or new or replacement construction.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 Part 256, "Housing Improvement Program;" 25 CFR Part 900, "Contracts under the Indian Self-Determination and Educational Assistance Act;" and OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments."

**Regional or Local Office:**

See Catalog Appendix IV for Regional Office addresses.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C St., N.W., MS 4513 MIB, Washington, DC 20240. Telephone: (202) 513-7640.

**Web Site Address:**

<http://www.doi.gov/bia/tsservices/hip/housing.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

10.410, Very Low to Moderate Income Housing Loans; 14.850, Public and Indian Housing.

**EXAMPLES OF FUNDED PROJECTS:**

The HIP does not fund multi-unit projects as such, the assistance is granted to repair Indian owned and inhabited individual houses with each house considered to be a project. Occasionally, several individual projects may be constructed simultaneously in close proximity giving the appearance of a multi-unit project. One such occurrence was the construction of several units in California. Prior to HIP undertaking there was no housing in this area. No other federally-assisted housing program was able to meet this need. The result of constructing housing in this area has been significant. The effort proved decent housing could be a reality in remote geographic areas.

**CRITERIA FOR SELECTING PROPOSALS:**

Indian tribes and tribal organizations meeting the requirements of 25 CFR Part 900 will be selected if a viable tribal work plan identifying eligible applicants, the category of assistance needed, the estimated project cost for each eligible applicant, and a report of prior year accomplishments is submitted and the tribe has high priority ranking eligible applicants for which sufficient funding is available for the needed project or the program has been prioritized by the Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Individual Indians must meet the eligibility requirements contained in 25 CFR Part 256. Requests are made by individuals to the local tribal servicing housing office or to local BIA agencies for repair or new housing assistance. Starting with the most needy, regardless of the category of services required, applicants are served until available funds are exhausted.

## 15.144 INDIAN CHILD WELFARE ACT-TITLE II GRANTS

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Child Welfare Act; Public Law 95-608, 92 Stat. 3075, 25 U.S.C. 1901.

**OBJECTIVES:**

To promote the stability and security of American Indian tribes and families by protecting American Indian children and preventing the separation of American Indian families and providing assistance to Indian tribes in the operation of child and family service programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Operation and maintenance of counseling facilities, family assistance (homemaker and home counselors), protective day care, and after school care, recreational activities, respite care, employment of professionals to assist tribal courts personnel, education and training, foster care subsidy programs, legal advice and representation, home improvement programs with the primary emphasis of upgrading unsafe home environments, preparation and implementation of child welfare codes, and providing matching shares for other Federal programs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

American Indian children and families.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

An informal conference with Bureau of Indian Affairs agency or regional representative is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application procedures are contained in 25 CFR Part 23, Subpart C "Grants to Indian Tribes for Title II Indian Child and Family Service Programs." The application must contain the information specified in Section 23.33 "Tribal Government Application Content." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV.

**Award Procedure:**

In most instances, awards can be approved at the agency or regional level. The dollar value of the grant depends upon the amount that has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs budget formulation process.

**Deadlines:**

Contact local Bureau of Indian Affairs agency or regional office listed in Appendix IV.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

An unsuccessful applicant may appeal a Bureau of Indian Affairs official's decision under the procedures contained in 25 CFR Part 23, Subpart F "Appeals," and 25 CFR Part 2 "Appeals from Administrative Actions."

**Renewals:**

Grants may be renewed indefinitely upon satisfactory performance by the grantee. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are made on an annual basis and the funds remain available until expended by the tribe/grantee.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements are specified in 25 CFR Part 23, Subpart E, Section 23.47 "Reports and Availability of Information to Indians."

**Audits:**

For awards made under this program, tribes/grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Contracts and Grants) FY 07 \$10,063,000; FY 08 est \$10,974,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$26,449 to \$750,000; \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

There are over 27,000 referrals each year to the more than 500 Bureau and tribal programs for child abuse and neglect investigations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 23; 25 CFR 2.

**Regional or Local Office:**

Information can be secured from the Agency Superintendents and from Regional Directors. See Appendix IV of the Catalog for addresses.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Services, Bureau of Indian Affairs, 1849 C Street, N.W., MS 320 SIB, Washington, DC 20240. Telephone: (202) 513-7640.

**Web Site Address:**

<http://www.doi.gov/bia/ots/otshome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

An Indian Child Welfare Program operated by an Indian tribe in North Carolina.

**CRITERIA FOR SELECTING PROPOSALS:**

Only applicants who received Indian Child Welfare Act Title II grants in 1994 and who meet the requirements contained in 25 CFR Part 23 will be funded if the program has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.146 IRONWORKER TRAINING PROGRAM****FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309.

**OBJECTIVES:**

To provide ironworker vocational training, apprenticeships, and job placement to eligible American Indians through the National Ironworkers Training Program, located in Broadview, Illinois.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Eligible American Indians who reside on or near an Indian reservation may receive vocational training in ironworking and assistance with job placement upon completion of the program.

**Applicant Eligibility:**

Applicants must be an American Indian who is a member of a Federally Recognized Indian Tribe, at least 18 years old, possess a high school diploma or General Equivalency Development (GED) Certificate, be in good physical health, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

American Indian who is a member of a Federally Recognized Indian Tribal Government, at least 18 years old, possess a high school diploma or General Equivalency Development (GED) Certificate, be in good physical health, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs. Complete information on beneficiary eligibility is found in 25 CFR, Part 26.

**Credentials/Documentation:**

Applicant must submit a certificate signed by a Bureau Agency Superintendent or authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally Recognized Indian Tribe.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants should apply for program services on Bureau of Indian Affairs Form BIA-8205 at the nearest Bureau Employment Assistance office or tribal government office.

**Award Procedure:**

Individual applications are processed at the Bureau agency or tribal contract offices to determine eligibility.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

1 to 90 days.

**Appeals:**

Appeals may be made to the Bureau of Indian Affairs' Agency Superintendent or to the Regional Director. The complete appeal process for an individual is found in 25 CFR, Part 2, "Appeals of Administrative Actions." Appeals of a Tribal contractor's decision must be made under the Tribe's appeal procedures.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Assistance for Ironworker training is not to exceed 12 weeks. Payments for subsistence and related training costs are released as required by beneficiary. Job placement assistance is provided upon completion of training.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available (program not funded); and FY 09 est not available.

**Range and Average of Financial Assistance:**



Students receive \$185 per week for the duration of the program for room and board and miscellaneous expenses. Work clothes and tools are also provided.

**PROGRAM ACCOMPLISHMENTS:**

Over 120 individuals have participated in this program; over 80 completed their training and over 60 of these individuals were subsequently employed as ironworkers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26.

**Regional or Local Office:**

Applications may be filed at the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog. For direct contact: Mr. Russell Geishwnd, Director, National Ironworkers Training Program for American Indians, 1819 Beach Street, Broadview, Illinois 60153. Telephone (708)345-2344.

**Headquarters Office:**

Office of Indian Energy and Economic Development, Division of Workforce Development, Assistant Secretary of Indian Affairs, 1951 Constitution Ave., N.W., MS-20-SIB, Washington, DC 20245. Contact Lynn Forcia. Telephone (202)219-5270.

**Web Site Address:**

<http://www.doi.gov/bia/ecodev/index.htm>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.108, Indian Employment Assistance; 15.114, Indian Education\_Higher Education Grant Program; 15.850, Indian Arts and Crafts Development; 15.060, Indian Vocational Training\_United Tribes Technical College.

**EXAMPLES OF FUNDED PROJECTS:**

This program provides vocational training and job placement in ironworking to individuals.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received for both vocational training and direct employment participants. Final determination to fund an application is based on the individual's eligibility.

## 15.147 TRIBAL COURTS-TRUST REFORM INITIATIVE

**FEDERAL AGENCY:**

BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; American Indian Trust Fund Management Reform Act of 1994, Public Law 103-412, 25 U.S.C. 4001 et seq.

**OBJECTIVES:**

To provide grant funds to Federally Recognized Indian Tribal Governments that operate a judicial branch of government which has assumed the increased responsibilities required by 25 CFR Part 115--Trust Funds for Individual Indians Money accounts.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Under 25 CFR Part 115, tribal courts may assume responsibility for appointing guardians, determining competency, awarding child support from Indian Individual Money (IIM) accounts, determining paternity, sanctioning adoptions, marriages and divorces, making presumptions of death. Funds under this program may be used for salaries and related expenses of tribal court judges, prosecutors, defenders, clerks of court, and other court personnel. However, funds provided are specifically made available to tribal courts that assume the additional responsibility under 25 CFR Part 115 and are not intended to be used as general operating funds for a judiciary and may not be reprogrammed for other tribal uses.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments that operate a judicial branch of government which has assumed the increased responsibilities required by 25 CFR Part 115.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments that operate a tribal judicial branch which has assumed the increased responsibilities required by 25 CFR Part 115 and its members.

**Credentials/Documentation:**

Application must be accompanied by a Certification of the governing body of the Federally Recognized Indian Tribal Government attesting to the fact that: (1) The tribal court has adopted and made accessible the court rules setting forth the procedures to adjudicate these cases; (2) Tribal court personnel have been trained to process these cases and the court is staffed to fulfill the tribal legislative mandate, and (3) The tribal justice system is one that serves as the judicial component of a tribal government which is federally recognized by the United States Government.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A notice of fund availability will be published in the Federal Register to

announce the availability of grant funds, the amount of funding available and the requirements for eligibility including a deadline for filing applications. An application must be submitted on the form entitled "Application for Federal Assistance," (Standard Form 424, Rev 7-97). The Federally Recognized Tribal Government will be required to provide a certification as a response to Item #II "Descriptive Title of Applicant's Project", in the SF-424, that the threshold requirements for the grant funds are met. Applications will be submitted to the Headquarters Office.

**Award Procedure:**

Funds will be distributed to tribal courts based on the cost per case as determined by the data submitted on SF 424 by all qualified applicants.

**Deadlines:**

Contact the Headquarters Office for application deadline.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may appeal the decision under the regulations contained in 25 CFR Part 2.

**Renewals:**

Grants will be awarded on an annual basis. An application will need to be submitted each year to qualify to receive grant funds, until it is determined that the fund will be awarded as a part of the permanent tribal base.

**Formula and Matching Requirements:**

Formula and Matching Requirements: The program has no statutory formula. In partnership with tribes the Bureau of Indian Affairs developed a distribution formula to allocate the funds among qualified applicants. Funds will be distributed to tribal courts based on the cost per case as determined by the data submitted on SF 424 by all qualified applicants. The amount each qualified applicant will receive may vary from year to year depending on the total number of cases projected the amount available for grant awards under this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Awards are made on an annual basis and the funds remain available until expended by the grantee. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the grantee, a report at the end of the fiscal year reconciling the Supervised IIM account case load will also be required.

**Audits:**

For awards made under the program, grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Total Amount of Awards) FY 07 est not available, FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$3,000 to \$216,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 276; 25 CFR Part 2; 25 CFR Part 115.

**Regional or Local Office:**

Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Tribal Services, Bureau of Indian Affairs, MS 320-SIB, 1849 C Street, NW., MS 320-SIB Washington, DC 20240. Contact: Ralph Gonzales. Telephone: (202) 513-7641. Use the same number for FTS.

**Web Site Address:**

<http://www.doi.gov/bia/ots/otshome.htm>; <http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

15.029, Tribal Courts.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All qualified applicants will be funded. A qualified applicant is a tribal government submitting an application for funding by the deadline specified for a tribal court meeting the following threshold requirements: (1) The tribal government has enacted the codes necessary for the tribal justice system to carry

out its responsibility under 25 CFR Part 115; (2) The tribal court has adopted and made accessible the court rules setting forth the procedures to adjudicate these cases; (3) Tribal court personnel have been trained to process these cases and the court is staffed to fulfill the tribal legislative mandate; and (4) The tribal justice system is one that serves as the judicial component of a tribal government which is federally recognized by the United States Government.

## 15.148 TRIBAL ENERGY DEVELOPMENT CAPACITY GRANTS

(TEDC)

### FEDERAL AGENCY:

OFFICE OF INDIAN ENERGY AND ECONOMIC DEVELOPMENT,  
BUREAU OF INDIAN AFFAIRS, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Title XXVI (Indian Energy) of the Energy Policy Act of 1992, as amended (25 CFR, Section 3502(a)(2)(A)).

### OBJECTIVES:

To provide development grants to Indian tribes for use in developing and sustaining the managerial and technical capacity needed to develop their energy resources, and to properly account for resulting energy production and revenues. Proposals from tribes should strive to achieve the following stated goals: Evaluated the type and range of energy development activities that a tribe want to assume under a TERA; Determine the current level of scientific, technical, administrative, for financial management capacity of the tribe to assume responsibility for the identified development activities; and determine which scientific, technical, administrative, or financial management capacities need enhancement and what process and/or procedures the grantee may use to eliminate these capacity gaps.

### TYPES OF ASSISTANCE:

Direct payments for specified use.

### USES AND USE RESTRICTIONS:

Federally recognized tribes whose lands are held in trust or restricted fee by the Federal government.

### Applicant Eligibility:

Federally recognized Indian tribal governments.

### Beneficiary Eligibility:

Federally recognized tribal governments and their members.

### Credentials/Documentation:

Application for financial assistance must contain a formal signed resolution of the governing body of the tribe; a proposal describing the planned activities and deliverable products; and a detailed budget estimate.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications must meet all requirements published in the Federal Register notice and be submitted to IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW, Washington, DC 20245.

### Award Procedure:

Recommendations from an IEED technical evaluation committee must be approved by the Director, IEED.

### Deadlines:

Due 60 days after announcement of grant availability in the Federal Register.

### Range of Approval/Disapproval Time:

30 to 45 days.

### Appeals:

An applicant with a rejected TEDC proposal may appeal the denial of the application to the Department of the Interior's Board of Indian Appeals or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

### Renewals:

The TEDC program cannot award multi-year funding for a project. Funding available for building energy development capacity is subject to annual appropriations by Congress and therefore IEED can only consider single-year projects.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Awards are made on an annual basis and the funds remain available until expended by the recipient. The timing of payments will be negotiated by the Regional Office, Contract Officer, and the recipient.

### Reports:

During the life of the TEDC project, Financial Status Reports and quarterly progress reports are to be submitted to the IEED project coordinator assigned to the project. The beginning and ending quarter periods are based on the actual start date of the TEDC project. This date can be determined between the IEED project coordinator and the tribe. The quarterly report can be a one to two page summary of events, accomplishments, problems and/or results that took place

during the quarter. Quarterly reports are due two weeks after the end of the a project's fiscal quarter. For Final Report, the tribe must deliver all products and data generated by the proposed assessment project to IEED through the TEDC project coordinator within two weeks after completion of the project.

### Audits:

All non-Federal entities that expend \$500,000 or more of Federal awards in a year (\$300,000 for fiscal year ending on or before December 30, 2003) are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996 and OMB Circular A-133. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

### Records:

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of the final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

### Account Identification:

14-2100-7-8-302.

### Obligations:

FY 07 \$374,773; FY 08 \$1,000,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

Determined on an annual basis, subject to appropriations. In FY 07 awards were limited to \$50,000.

### PROGRAM ACCOMPLISHMENTS:

Not applicable.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Published in Federal Register Notice annually.

### Regional or Local Office:

Regional Office Contract Officer.

### Headquarters Office:

IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW, Washington, D.C. 20245, Phone: (202)219-0740, Fax: (202) 208-4564.

### Web Site Address:

None.

### RELATED PROGRAMS:

Energy and Mineral Development Program.

### EXAMPLES OF FUNDED PROJECTS:

Chippewa Cree Tribe of Rocky Boys Reservation - Tribal Energy Resource Development Plant; Passamaquoddy Tribe of Pleasant Point - Development of tribal governmental development entity and skills needs assessment; Prairie Band Potawatomi - Develop energy vision, viable energy development options, and action plan.

### CRITERIA FOR SELECTING PROPOSALS:

The proposal ranking criteria factors are as follows: (1) Resource potential; (2) Energy development history and current status; (3) Existing energy development capabilities; (4) Intent to develop and retain energy development capacity within tribal government or business entities; (5) Demonstrated willingness to develop independent energy development business entity; and (6) Tribal commitment to staff, training, or monetary resources.

## 15.214 NON-SALE DISPOSALS OF MINERAL MATERIAL

(Free Use of Mineral Material)

### FEDERAL AGENCY:

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Materials Act of 1947, Public Law 80-291, 30 U.S.C. 601-604, 611, as amended.

### OBJECTIVES:

To permit free use of certain mineral material from federally owned lands under the jurisdiction of the Bureau by governmental units and nonprofit organizations.

### TYPES OF ASSISTANCE:

Sale, Exchange, or Donation of Property and Goods.

### USES AND USE RESTRICTIONS:

Free use permits are granted to governmental units without regard to number of permits or value of mineral material, provided the mineral material is for use on a public project. Permits are granted to nonprofit organizations for mineral material not to exceed 5000 cubic yards during any period of twelve consecutive months. All free-use mineral material must be extracted in accordance with approved conservation practices, terms, and conditions that provide for protection of environment and rehabilitation of any damage caused by mineral material extraction.

### ELIGIBILITY REQUIREMENTS:

#### Applicant Eligibility:

Any Federal or State agency, unit, or subdivision, including municipalities,

where material will be used for public project; or any nonprofit association or corporation. A free use permit will not be issued upon the determination that the applicant owns or control an adequate supply of suitable mineral materials that are readily available and can be mined in a manner which is economically and environmentally acceptable. Mineral material obtained under a free use permit may not be bartered or sold.

**Beneficiary Eligibility:**

Federal or State agencies, units, or subdivisions, including municipalities, where material will be used for public project; or any nonprofit association or corporation.

**Credentials/Documentation:**

Evidence of eligibility, i.e., nonprofit status, delegation of authority for signing official to take such action, surety bond, etc.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

This program may require submission of an environmental impact statement and/or performance bond. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit application on Form 5510-1 to the proper Bureau of Land Management office.

**Award Procedure:**

If mineral material is available, applicant is qualified and application does not conflict with other management practices or uses, application is approved and one copy of the executed form is returned to the applicant. Environmental analysis is accomplished and environmental impact statement is prepared if necessary.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies. Term of permit not to exceed 10 years to any Federal or State agency, unit, or subdivision, including municipalities. Permits to nonprofit organizations are not to exceed 1 year.

**Appeals:**

Appeals may be made to the Board of Land Appeals, Office of Hearings and Appeals as specified in 43 CFR Part 4 et seq.

**Renewals:**

Any free use permits may be extended for a single additional period not to exceed 1 year.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

Annual production report.

**Audits:**

Must be available if requested to confirm production.

**Records:**

None.

**FINANCIAL INFORMATION:**

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Free-Use Permits Issued) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

This information is available in the Public Land Statistics Publication which can be found in most public libraries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 3620; 43 CFR Part 4.

**INFORMATION CONTACTS:**

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Team Leader, Use Authorization Team, Bureau of Land Management, Department of the Interior, Washington, DC 20240. Telephone: (202) 452-0350.

**Web Site Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 15.222 COOPERATIVE INSPECTION AGREEMENTS WITH STATES AND TRIBES

(Section 202 Agreements)

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Oil and Gas Royalty Act of 1982, Public Law 97-451, Title II, Section 202, 30 U.S.C 1732.

**OBJECTIVES:**

To provide for the Bureau of Land Management (BLM) to enter into cooperative agreements with Tribes so that authorized Tribal inspectors can carry out inspection activities on Indian oil and gas leases within Tribal jurisdiction.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance to be used only for costs directly required to carry out the agreed upon activities as described in the signed agreement.

**Applicant Eligibility:**

Indian tribes with producing tribal oil and gas leases for which the Federal government has trust responsibility. States may enter into a cooperative agreement for inspection of tribal oil and gas leases with the permission of the Tribe.

**Beneficiary Eligibility:**

Indian tribes with producing tribal oil and gas leases for which the Federal government has trust responsibility. States that have tribal permission to enter into cooperative agreements to conduct inspections on tribal oil and gas leases.

**Credentials/Documentation:**

None. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

States or Tribes may request oil and gas inspection information necessary to prepare a proposal. The standard application form as furnished by the Federal agency and required by 43 CFR, Subpart C, must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Completed SF 424, Application for Federal Assistance; 424A, Budget Information - NonConstruction Programs; and 424B, Assurances - Nonconstruction Programs and proposal must be submitted to the appropriate BLM State Director. The proposal must include a description of the type and extent of inspection activities proposed under the agreement, the number of proposed inspectors, the proposed period or time the agreement will be in effect; and the name, address and telephone number of the State or Tribal contact.

**Award Procedure:**

Within 30 days of receipt of the proposal BLM will determine if the application is complete. If the application is acceptable, a start date will be given for negotiating the agreement. Negotiations will be carried out by the appropriate Field Office of the BLM.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Within 30 days the District or Resource Area Office will notify the State or Tribe if the application is complete and acceptable.

**Appeals:**

Not applicable.

**Renewals:**

Agreements may be renewed with the consent of the BLM and the State or Tribe.

**Formula and Matching Requirements:**

As provided in 43 CFR 3190.2-2, funding will be up to 100 percent of allowable cost.

**Length and Time Phasing of Assistance:**

Funding shall be at least quarterly, upon submission of invoice or request for reimbursement.

**Reports:**

As specified in the agreement.

**Audits:**

For awards made under this program, grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.), and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program- specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.



**Records:**

All records are to be maintained for a period of 6 years or as specified in the agreement.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Grants) FY 07 \$1,000,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$664 to \$260,000; \$67,877.

**PROGRAM ACCOMPLISHMENTS:**

To date, Tribal Oil and Gas Inspectors conducted 655 Inspections resulting in 394 violations being detected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 3190; 43 CFR 3192.

**Regional or Local Office:**

See Catalog Appendix IV for list of BLM offices.

**Headquarters Office:**

Assistant Director, Resource Use and Protection (300), Department of the Interior, Washington, DC 20240. Telephone: (202) 208-4201.

**Web Site Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

To date there are four funded inspection agreements with Tribes.

**CRITERIA FOR SELECTING PROPOSALS:**

Availability of funding and inspection workload.

**15.224 CULTURAL RESOURCE MANAGEMENT****FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Land Policy and Management Act, Public Law 94-579; Archaeological Resources Protection Act, Public Law 96-95; National Historic Preservation Act of 1966, Public Law 89-665, as amended.

**OBJECTIVES:**

To manage and protect cultural resources on the public lands and to increase public awareness and appreciation of these resources. Most of these lands are located in the Western United States and Alaska.

**TYPES OF ASSISTANCE:**

Project Grants; Sale, Exchange, or Donation of Property and Goods; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands administered by BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for cooperation in managing cultural resources, e.g., stabilization of structures and public contact/education or for improving information about cultural resources, consistent with needs identified in BLM planning documents. No regular discretionary fund is available but is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Offers of Assistance are coordinated by Bureau State and Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and other Nonprofit Organizations," must be used by this program.

**Award Procedure:**

Projects are reviewed at BLM State Office level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the Washington Office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no matching requirements except for Challenge Cost-Share and Cooperative Conservation Initiative projects.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year.

**Reports:**

Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but will probably take place at least once during the life of a project.

**Audits:**

Projects will be audited at least once during life cycle. Grants awarded to educational institutions and nonprofit organizations are subject to the audit requirements of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations". In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained as required by in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administration Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 est not available; FY 08 est \$3,350,000; and FY 09 est \$9,750,000.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

BLM's cultural resources program continues its efforts to promote Heritage Education through partnerships and its Adventures in the Past initiative. BLM worked with over 20 university archaeology field schools to train students in archaeological methods, worked to identify almost 7,000 new cultural properties, and developed interpretive signing for over 300 properties. BLM uses challenge cost-share and Cooperative Conservation Initiative grants whenever possible on projects located on lands managed by the Federal Government, to enhance cultural and heritage resource management on Public Lands. Projects are restricted to lands administered by BLM in the Western United States and Alaska.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's cultural resource management program is basically guided by the provisions in 43 CFR Part 3, 43 CFR Part 7, 36 CFR Part 60 and 36 CFR Part 800. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for cultural resources (8100) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Group Administrator, Cultural and Recreation Group, Bureau of Land Management (WO 340), 1849 C St., NW., Washington, DC 20240. Telephone: (202) 452-0330.

**Web Site Address:**

<http://www.blm.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative agreements with universities to conduct management-focused archaeological field schools and scholarly research on public lands located in the Western United States and Alaska and cooperative agreements to produce education materials enhancing public awareness and appreciation of cultural resources.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.225 RECREATION RESOURCE MANAGEMENT****FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Land Policy and Management Act, Public Law 94-579.

**OBJECTIVES:**

To manage recreational resource values on the public lands administered by the Bureau of Land Management and to increase public awareness and appreciation of these values.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands administered by the BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping the BLM manage and/or upgrade recreational resources and related facilities, and in providing related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

Coordinate cooperative project proposals with BLM State or District Offices. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Offers of Assistance are coordinated by Bureau State and Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

Projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or Field Office Manager.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has matching requirements under the challenge cost-share program.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year.

**Reports:**

Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once during the life of a project.

**Audits:**

Projects will be audited at least once during life cycle. Grants awarded to educational institutions and nonprofit organizations are subject to the audit requirements of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations". In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend

less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$3,500,000; FY 08 est \$4,340,000; and FY 09 est \$5,950,000.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$500 to \$250,000. Average amounts run about \$10,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

BLM continues to maintain and expand partnerships in the Tread Lightly, Leave No Trace, Interpretive programming, Recreational Fishing, corridor management (rivers and trails), and numerous travel and tourism activities. BLM uses challenge cost share and cooperative conservation initiative grants whenever possible on projects of mutual benefit to rural communities, counties, and cities in the western United States for management of Public Lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's recreation program is generally guided by provisions in 43 CFR Part 8000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 8300 and 8400) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Group Manager, Recreation Group, Bureau of Land Management (WO 250), 1849 C St, NW., 302 LS, Washington, DC 20240- 9998. Telephone: (202) 452-5041. Please contact the specific BLM State Office where you wish to apply.

**Web Site Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of recreation facilities on BLM managed lands; cooperative visitor services to the general public using BLM managed lands; agreements to manage public land resources cooperatively; and assistance agreement to promote more effective management of caves on Public Lands.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM land management and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.226 PAYMENTS IN LIEU OF TAXES**

(PILT)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Payment for Entitlement Land, Public Law 97-258, as amended, 31 U.S.C. 6901-6907.

**OBJECTIVES:**

To compensate local taxing units (usually County governments) for the loss of taxes from Federally-owned and acquired lands. Payment amounts are determined by several codified formulas (U.S.C. 6901-6907) and is designed to supplement other Federal land revenue sharing payments that local units may be receiving.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Payments made under Section 6902 of the Law may be used for any governmental purpose. Payments made under Sections 6904 and 6905 must be distributed to units and school districts that lost real property taxes because of the acquisition of lands by the Federal government.

**Applicant Eligibility:**

Local units containing eligible acres of PILT entitlement land as defined in Section 6901 will receive automatic payment distribution as computed in accordance with Section 6903 of the Law.

**Beneficiary Eligibility:**

County governments in which Federal lands are located or have been acquired

for purposes defined under Objectives.

**Credentials/Documentation:**

Payments under Section 6902 are computed based on: 1) the number of acres of PILT entitlement land owned or administered by the Federal government, 2) the amount of prior year payments received by the unit under other Federal programs, and 3) the population of the unit as reported by the U.S. Census Bureau. Payments under Section 6904 and Section 6905 are computed based on: 1) the fair market value of the acquired land, and 2) the amount of real property taxes paid on the land in the year prior to Federal acquisition. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Automatic distribution is made as authorized by 31 U.S.C. 6901-6907. No application is necessary. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Payments under Section 6902 are computed based on: 1) the number of acres of PILT entitlement land owned or administered by the Federal government, 2) the amount of prior year payments received by the unit under other Federal programs, and 3) the population of the unit as reported by the U.S. Census Bureau. Payments under Section 6904 and Section 6905 are computed based on: 1) the fair market value of the acquired land, and 2) the amount of real property taxes paid on the land in the year prior to Federal acquisition. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

The Governor of each State is required under Section 6903 to submit audited or certified information to the authorized officer for the PILT program on the amounts of payments received by the units in the prior year under other Federal programs as detailed in Section 6903.

**Records:**

None.

**Account Identification:**

14-1114-0-1-806.

**Obligations:**

(Grants) FY 07 \$198,000,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

PILT Specialist, Office of Budget, Department of the Interior, 1849 C St N.W., (Room 4012), Washington, DC 20240. Telephone: (202) 208-3157. FTS is not available.

**Web Site Address:**

<http://www.doi.gov/budget/pilt>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**15.227 DISTRIBUTION OF RECEIPTS TO STATE AND LOCAL GOVERNMENTS**

(Revenue Sharing, Public Lands and Resources)

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR  
**AUTHORIZATION:**

Mineral Lands Leasing Act, 30 U.S.C. 191, 275, 286 and 355, Public Law 85-88, as amended; Taylor Grazing Act, 43 U.S.C. 315i and 315m, Section 15; as amended, 48 Stat. 1275; Executive Orders 10322, 10787, 10890, and 10046, Section 15; Taylor Grazing Act, 43 U.S.C. 315i, and 315m, Section 15, 43 U.S.C. 315b, Section 3; 48 Stat. 1270 and 1275; The Department of the Interior and Related Agencies Appropriations Act of 1981, 42 U.S.C. 6508, Public Law 96-514, 94 Stat. 2964; Outer Continental Shelf Lands Act, 43 U.S.C. 1337, 67 Stat. 462, as amended; Lake Tahoe Basin-U.S. Lands-Disposal and Acquisition, Sections 1 and 2, Public Law 96-586, 94 Stat. 3381-3382; Federal Land Policy and Management Act of 1976, Title I, Section 102, Public Law 94-579, 90 Stat. 2744; Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901, Public Law 105-263, 90 Stat. 2343; Lincoln County Land Act of 2000, Public Law 106-298; 30 U.S.C. 230, 62 Stat. 576; 65 Stat. 248; Public Buildings Omnibus Act, 30 U.S.C. 603; Money and Finance, 31 U.S.C. 711 and 717, Public Law 97-258, 96 Stat. 889 and 893; National Reclamation Law, 43 U.S.C. 391, 32 Stat. 388; Chapter 139, 18 Stat. 474; 58 Stat. 745; 65 Stat. 252; Department of the Interior and Related Agencies Appropriations Act of 1993, Title I, Public Law 102-381, 106 Stat. 1378; Federal Land Transaction Facilitation Act, Title II, Public Law 106-248, 106 Stat. 613; Public Law 85-569, 7 U.S.C. 1012, 72 Stat. 348; Federal Land Policy and Management Act of 1976, Title II, Section 213, Public Law 94-579, 90 Stat. 2760, Mineral Revenue Payments Clarification Act of 2000, Title V, Public Law 106-393.

**OBJECTIVES:**

By various Laws, the Bureau of Land Management (BLM) shares revenue with State, county, and local governments from fees charged for sale or use of public lands, minerals, and vegetation. Payment amounts are determined by several codified formulas and supplements other Federal land revenue sharing payments that local units may be receiving. Payments may be used for any governmental purpose as specified in the various Public Laws.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Are specified in the various Public Laws.

**Applicant Eligibility:**

No application is necessary. Local units which generate revenue from public land and resources will receive automatic payment distribution as computed in accordance with the Law for that distribution.

**Beneficiary Eligibility:**

State and county governments in which Federal lands and minerals are located or have been acquired for purposes defined under Objectives.

**Credentials/Documentation:**

None. The distributions are automatic and are computed based on receipts.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Automatic distribution is made as authorized by the various Laws for that distribution subject. No application is necessary.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Distributions are made in accordance with the various Public Laws. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1110-0-2-806.

**Obligations:**

FY 07 \$256,733,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not Applicable.



**Headquarters Office:**

Distribution of Receipts Specialist, Bureau of Land Management BC- 621  
Building 50, Denver Federal Center, Denver, CO 80225. Telephone: (303) 236-7135.

**Web Site Address:**

<http://www.blm.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 15.228 NATIONAL FIRE PLAN - WILDLAND URBAN INTERFACE COMMUNITY FIRE ASSISTANCE

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.

**OBJECTIVES:**

To implement the National Fire Plan and assist communities at risk from catastrophic wildland fires by providing assistance in the following areas: Provide community programs that develop local capability including; assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, including the training, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; enhance local and small business employment opportunities for rural communities; enhance the knowledge and fire protection capability of rural fire districts by providing assistance in education and training, protective clothing and equipment purchase, and mitigation methods on a cost share basis.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Hazard reduction activities are restricted to Federal lands, or adjacent nonfederal land for activities that benefit resources on Federal land. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping BLM support community based efforts to address defensible space and fuels management issues to support outreach and education efforts associated with fuels management and risk reduction activities and to increase the effectiveness of rural fire protection. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

Coordinate cooperative project proposals with BLM State or District Offices. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Wildland Urban Interface Community Assistance is coordinated by Bureau State and Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

Wildland Urban Interface community projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or Field Office Manager.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Wildland Urban Interface community assistance and rural fire projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program may include matching requirements, for example: Rural fire departments must have the capability to meet cost share at a minimum of 10 percent, which may include in-kind services.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year-to-year basis and funds are expended during a particular fiscal year.

**Reports:**

Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once during the life of a project.

**Audits:**

Projects will be audited at least once during life cycle. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

FY 07 \$8,100,000; FY 08 est \$7,360,000; and FY 09 est \$1,757,000.

**Range and Average of Financial Assistance:**

\$1,000 to \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's wildland urban interface community assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate State Office or the National Interagency Fire Center's web site at: <http://www.nifc.gov>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Community Protection and Assistance, Planning-Resources Group, Bureau of Land Management (FA-130), National Interagency Fire Center, 3833 S. Development Ave, Boise, ID 83705. Telephone: (208) 387-5150.

**Web Site Address:**

<http://www.blm.gov/nhp/index.htm>; <http://www.nifc.gov>.

**RELATED PROGRAMS:**

15.242, National Fire Plan - Rural Fire Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Assessment and planning for reducing wildland fire risks to communities and their associated watersheds and natural resources. (2) Hazard fuel reduction activities and projects that mitigate wildfire hazards to communities and natural resources. (3) Implementation of programs, workshops or training that distribute educational materials and develop partnerships between stakeholders in wildland urban interface communities. (4) Assistance and technical transfer of information that promotes homeowner's and rural fire department's action to implement community wildfire mitigation activities. (5) Wildland fire assistance to rural fire departments through mitigation education, training, and providing necessary safety equipment.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their ability to reduce the risk of wildland fire to community values and to increase the capabilities of rural fire organizations, in the vicinity of Federal lands.

## 15.229 WILD HORSE AND BURRO RESOURCE MANAGEMENT

**FEDERAL AGENCY:**  
BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR  
**AUTHORIZATION:**

Wild Free-Roaming Horses and Burros Act of 1971, Public Law 92-195, as amended; Federal Land Policy and Management Act of 1976, Public Law 94-579; Public Rangelands Improvement Act of 1978, Public Law 95-514.

**OBJECTIVES:**

The goal of the Wild Horses and Burro Resource Management program is to achieve and maintain healthy, viable wild horse and burro populations on the public lands.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Projects are designated to manage and protect wild free-roaming horses and burros to achieve and maintain a thriving natural ecological balance on the public lands. Project assistance can be used in researching for improved censusing techniques and fertility control methods; and adopting excess animals removed from the range.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

Coordinate cooperative project proposals with BLM State or District Offices. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Offers of Assistance are coordinated by Bureau State and Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

Projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or Field Office Manager.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory matching funds requirement, however, applicants offering matching funds are more likely to be funded.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year.

**Reports:**

Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once during the life of a project.

**Audits:**

Projects will be audited at least once during life cycle. Grants awarded to educational institutions and nonprofit organizations are subject to the audit requirements of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations". In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is

no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$1,490,093; FY 08 est \$2,950,000; and FY 09 est \$5,700,000.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$10,000 to \$400,000. Average amounts run about \$60,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

The BLM has made significant progress in achieving appropriate management levels of wild horses and burros on public lands. The BLM implemented close coordination with its advisory board and interested non-profits to gain efficiencies in the adoption program. BLM is continuing the investigation of fertility control, which has shown promise as a population control tool.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The wild horse and burro program is generally guided by provisions in 43 CFR Part 4700. BLM Manuals and Handbooks 4700 - 4770 provide basic program operational guidance for the wild horses and burro program and may be obtained by accessing the BLM library through the internet.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Group Manager, Wild Horses and Burros Group, Bureau of Land Management (WO 260), 1849 C St, N.W., 402 LS, Washington, DC 20240-9998. Telephone: (202) 452-5073. Please contact the specific BLM State Office where you wish to apply.

**Web Site Address:**

<http://www.wildhorseandburro.blm.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of the National Wild Horse and Burro Foundation working in partnership with the Bureau of Land Management to ensure healthy wild horses and burros through the successful placement of excess animals for future generations. BLM's continued research into population level fertility control along with research on population census techniques. Cooperative program with the States to provide for long-term holding of excess wild horses on private lands.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM's management of wild horse and burro herds and a balanced review including relevance to program objectives, merit and cost effectiveness.

## 15.230 INVASIVE AND NOXIOUS PLANT MANAGEMENT

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF INTERIOR

**AUTHORIZATION:**

Federal Noxious Weed Act of 1974, 7 U.S.C. 2814; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended, Public Law 105-277, Section 135; and Executive Order 13112, Invasive Species, February 3, 1999.

**OBJECTIVES:**

To encourage interested State and local governments and Federal agencies to work together to inventory, manage, educate, reduce the spread of, and prevent the further invasion and establishment of noxious, invasive weeds, and other species. These entities will develop and implement Integrated Pest Management Plans to develop and implement projects that foster consultation and cooperation among stakeholders, interested parties, and the public and to organize, finalize, and develop projects to implement integrated pest management plans for invasive species within a specific geographic area.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:**

Funds may be used on public, State county, and private lands for approved projects that prioritize and target undesirable plant species or group of species to be controlled or contained within a specific geographic area; describe the integrated pest management system to be used to control or contain the targeted undesirable invasive species or groups of species; and detail the means of implementing the integrated pest management system, define the duties of the Federal agency and the State agency in prosecuting that method, and establish a timeframe for the initiation and completion of the tasks specified in the

integrated management system.

**Applicant Eligibility:**

State and local governments.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Coordinate cooperative project proposals with Bureau of Land Management local State or District office for more information and local requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standards Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposals should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

The deadline will be published in the Grants.gov announcement.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula requirements. However, applicant's matching funds are encouraged and those projects are more likely to be funded.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annually, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$2,718,000; FY 08 est \$2,800,000; and FY 09 est \$2,900,000.

**Range and Average of Financial Assistance:**

The previous fiscal year average was about \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

The State and the Bureau of Land Management have worked together with private and non-federal landowners to prevent, contain, and control the spread of noxious weeds. Because the plants move rapidly from one owner's land to another, joint efforts to eradicate, contain or control noxious weeds reduces adverse impacts on public and private lands and reduce costs to all land owners.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management invasive and noxious plant management program can be found at <http://www.blm.gov/wo/st/en/prog/more/weeds.html>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Senior Weeds Specialist, Division of Rangeland Resources, Bureau of Land Management, 1849 C Street, MS: 201LS, Washington, DC 20240. Telephone: (202) 452-5084.

**Web Site Address:**

For general information see website

<http://www.blm.gov/wo/st/en/prog/more/weeds/html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Past projects funded encouraged the State and the Bureau of Land Management to work together to control, manage and eradicate undesirable invasive species on Federal, State, and private lands. By working together entire areas are treated to control and prevent the spread of noxious or undesirable plants and other invasive species within the close proximity of public lands.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.231 FISH, WILDLIFE AND PLANT CONSERVATION RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Land Policy and Management Act, as amended, Public Law 94-579; The Endangered Species Act of 1973, as amended, Public Law 93-205; Sikes Act, Public Law 93-452; Fish and Wildlife Conservation and Water Resources Developments Coordination Act, as amended, Public Law 85-624; Oceans Act of 1992, Public law 102-587; The Wyden Amendment, 16 U.S.C. 1011(a), as Amended by Public Law 105-277, Section 136.

**OBJECTIVES:**

To manage fish, wildlife and plant conservation resources on the public lands administered by the Bureau of Land Management.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Projects are primarily conducted on lands administered by the BLM but may also be conducted on other public or private lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to help protect, restore, and enhance fish, wildlife, and plant conservation resources and to provide related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

Coordinate cooperative project proposals with BLM State or District/Field Offices. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Offers of Assistance are coordinated by Bureau State and District/Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

Projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or District/Field Office Manager.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory matching funds requirement, however, applicants offering matching funds are more likely to be funded.



**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year.

**Reports:**

Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once annually and upon completion a final project report.

**Audits:**

Projects will be audited at least once during life cycle. Grants awarded to educational institutions and nonprofit organizations are subject to the audit requirements of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations". In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$4,000,000; FY 08 est \$2,274,000; and FY 09 est \$3,125,000.

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$1,000 to \$100,000. Average amounts run about \$10,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

BLM continues to maintain and expand partnerships in the management of fish, wildlife and botany resources. BLM uses challenge cost share and cooperative conservation initiative grants whenever possible on projects of mutual benefit to rural communities, counties, and cities in the western United States for management of Public Lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's fish, wildlife and botany program is generally guided by provisions in 43 CFR Part 6000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 6500) and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Group Manager, Fish, Wildlife and Botany Group, Bureau of Land Management (WO 230), 1849 C St, N.W., LSB 204, Washington, DC 20240-9998.

Telephone: (202) 452-5133. Please contact the specific BLM State Office where you wish to apply.

**Web Site Address:**

<http://www.blm.gov/nhp/index.htm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded include vegetation, rare and threatened and endangered plants and botanical surveys; fish and wildlife survey and monitoring; habitat use and condition surveys; habitat improvement or protection projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM land management and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.232 WILDLAND FIRE RESEARCH AND STUDIES PROGRAM****FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Land Policy and Management Act, as amended, Public Law 94-579; The Consolidated Appropriations Act of 2005, Division E, Department of the Interior and Related Appropriations Act of 2005, Title I and Title 4, Public Law 108-447. The Joint Fire Science Program authorization is in the Department of the Interior and Related Agencies Appropriation Act of 1998, Public Law 106-291 and funded yearly.

**OBJECTIVES:**

To encourage interested parties to perform research and studies pertaining to wildland fire and resource management, to develop products and tools for all levels of decision making to meet the objectives of the National Fire Plan, and to seek information to improve decision making in wildland fire management. In addition to generally funded wildland fire research and studies there are two separate research programs; Climate applications with the National Climate Data Center: The purpose of the program is to develop products and tools for wildland fire resource management utilizing the climate data archives of the National Climate Data Centers. The National Climate Data Center is authorized to describe the climate of the United States. For example, the Western Regional Climate Center is one of the six regional centers. Western Regional Climate Center is the archive of interagency fire weather station observations. The objectives for the National Climate Data Center and its regional centers are to perform basic climate and ecosystem studies pertaining to wildland fire and resource management, to develop climate and ecosystem products and tools for all levels of decision-making. The Joint Fire Science Program: This program seeks research proposals that respond to its announcements for proposals that seek information on seven critical wildland fire and fuels issues: These issues are: Wildland fuels and inventory mapping; Effects of fuels treatments; Scheduling of fuels treatments; Monitoring and evaluation of fuels treatments; Evaluating post fire stabilization and rehabilitation projects; Aircraft-based remote sensing; and Regional and local offices.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used for approved projects that address wildland fire management needs of federal and local government land managers. Joint Fire Science Program applicants must clearly identify a federal cooperator. Successfully awarded projects can only be funded through a federal cooperator.

**Applicant Eligibility:**

Anyone/General Public.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Coordinate cooperative project proposals with program leaders and the local State or District Officers. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, a budget breakdown, and any other requirements specified in the funding opportunity announcement. No State Plan is required with this application.

**Award Procedure:**

Projects are reviewed at the National and State level and funding recommendations are made through National and State's annual work plan. Final budget approvals rest with the National Office and State Director. For the Joint Fire Science Program all applications are peer-reviewed. The ten person Joint Fire Science Program Governing Board will analyze peer review comments and make all funding decisions.

**Deadlines:**

The deadline will be published in the Grants.gov announcement. Applications for projects for the Joint Fire Science program will also be posted at [www.firescience.gov](http://www.firescience.gov) generally in the fall of each year.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 to 180 days or less after the announcement closes.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula requirements. However, the applicant's matching funds are encouraged and those projects are more likely to be funded.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year. For the Joint Fire Science Program, projects are generally funded for no more than three years. Most projects funded are awarded in one lump sum at the start of the project; however some projects are occasionally funded year-by-year.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end

date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

FY 07 \$231,000; FY 08 est \$230,000; and FY 09 est \$230,000.

**Range and Average of Financial Assistance:**

The previous fiscal year average was about \$60,000 and for the Joint Fire Science Program was \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Program accomplishments provided new information and tools to improve decision-making in wildland fire management. Program accomplishments include Climate and Ecosystem studies that benefit fire and resource management programs both directly and through the inherently interagency nature of many of the climate-related projects. Projects have had direct benefit to, among others, fire management, Predictive Services, meteorologists, fuels analysts, intelligence officers, fire behavior analysts, fire specialists, fire planners, resource managers and State and local government leaders. Specific accomplishments include user access to Western Regional Climate Center Remote Automated Weather System data archive through field-requested queries; lightning climatologies; comparisons of drought indices for fire management; operational 15-day fire danger forecasts; operations of an interagency regional modeling facility; model output statistics products; real-time drought assessment for rangelands; and quality-checked, complete Remote Automated Weather System weather data sets for the Fire Program Analysis effort. The Joint Fire Science Program funded projects are helping to improve the overall effectiveness of wildland fire management by providing the scientific information and tools necessary to integrate fire into land and resource management plans and their implementation. Researchers and managers have communicated results and new tools to on-the-ground users through published papers, field trips with managers, participation in workshops and symposia, training sessions, and the development of Web pages for posting current and relevant information, and other technology transfer media.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the National Fire Plan can be found at website: <http://www.forestsandrangelands.gov/>. Western Regional Climate Center reports and publications pertaining to projects and accomplishments are posted on <http://cefa.dri.edu>. Joint Fire Science information, including announcements for proposals, project information, and literature can be found at website [www.firescience.gov/](http://www.firescience.gov/).

**Regional or Local Office:**

See Catalog Appendix IV for addresses of BLM State Offices.

**Headquarters Office:**

Group Manager, Planning and Resources Group, Bureau of Land Management, Office of Fire and Aviation, 3833 S. Development Ave., Boise, ID 83705. Telephone: (208)387-5153. For the Joint Fire Science Program: Program Manager, Joint Fire Science Program, 3833 S. Development Ave., Boise, ID 83705. Telephone: (208) 387-5349.

**Web Site Address:**

For general information see website <http://www.forestsandrangelands.gov/>. For information on the Western Regional Climate Center website see <http://cefa.dri.edu/>. Joint Fire Science Program information may be found at <http://www.firescience.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of Web Access to Remote Automated Weather System Data and Products; Development of US Operational Fire Danger 15-Day Forecasts; Role of Climate in Prescribed Fire; Understanding Drought for BLM Business; Real-time Drought Assessment for Rangelands. Reports are available at <http://cefa.dri.edu/>.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal wildland fire management, qualifications of principal investigator and institution, and a balanced review including relevance to program objectives, merit and cost effectiveness. Joint Fire Science Program proposals will be reviewed for relevancy in relation to the posted announcement for proposals task statement, scientific methods and study design, science deliverables, collaboration/leverage, and administrative adequacy. Successful

proposals will provide a strong science delivery and application plan that clearly demonstrates the use of both passive and active technology transfer methods.

## 15.233 FORESTS AND WOODLANDS RESOURCE MANAGEMENT

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR AUTHORIZATION:

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737,(b), Public Law 94-579, as amended; and Stewardship End Result Contracting Projects, 16 U.S.C. 2104, Public Law 108-7, Consolidated Appropriation Resolution, 2003, Division F, Title III, Section 323 as amended Public Law 105-277, Department of the Interior and Related Agencies Appropriations Act, 1999, Division A, Section 101(e), Title III, Section 347, as amended Public Law 106-113, Making Consolidated Appropriations For the Fiscal Year Ending September 30, 2000, and For Other Purposes, Division B, Section 1000(a)(3), Title III, Section 341 and Public Law 107-63, Department of the Interior and Related Agencies Appropriations Act, 2002, Title III, Section 332.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of forests on public lands. Improvements will include the maintenance of forest health, forest regeneration, restoration, rehabilitation, insect and disease control, forest development, implementation of stewardship projects and providing for biomass utilization of public lands.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:**

Projects are limited to forestry projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Coordinate cooperative forestry project proposals with Bureau of Land Management local State or District office for more information and local requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

The deadline will be published in the Grants.gov announcement for each project.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposals was not selected for award.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula requirements. However, applicant's matching funds are encouraged and those projects are more likely to be funded.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using form Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting

period. Final performance and financial status reports are due 120 days after the end date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$45,000; FY 08 est \$500,000; and FY 09 est \$1,000,000.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$10,000 to \$250,000. Average amounts run about \$100,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

BLM continues to maintain and expand partnerships to include funding for continued support of collaborative efforts to build community capacity and support for ecological restoration efforts in forest and woodlands. The public and BLM benefit from its support with partners in heightening public understanding of the social and economic, as well as environmental, aspects of ecosystem restoration and maintenance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's Forestry program is generally guided by provisions in 43 CFR Part 5000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for Forestry are found in BLM Manuals 500 series and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Division Chief, Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., N.W., 204 LS, Washington, DC 20240. Telephone: (202)452-0316.

**Web Site Address:**

[http://www.blm.gov/wo/st/en/prog/more/forests\\_and\\_woodland.html](http://www.blm.gov/wo/st/en/prog/more/forests_and_woodland.html).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Stewardship projects that removed vegetation to promote healthy forest stands and reduced fire hazards. Projects that promoted an integrated approach that included local community participation in developing strategies for biomass utilization, recognizing the connections between biomass utilization and forest restoration, and encouraged sustainable development through a variety of enterprises at different and appropriate scales. Projects that cooperatively supported common goals and interests in managing, developing and protecting federal and private land and water resources in an environmentally and economically sound manner.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to Federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

## 15.234 SECURE RURAL SCHOOLS AND COMMUNITY SELF-DETERMINATION

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II.

**OBJECTIVES:**

To restore stability and predictability to the annual payments made to States and counties containing National Forest System lands and public domain lands managed by the Bureau of Land Management for use by the counties for the benefit of public schools, roads, and other purposes.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Project funds shall be expended solely on projects that meet the requirements of Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II. Project funds may be used for the purpose of entering into

and implementing cooperative agreements with willing Federal agencies, State and local governments, private and nonprofit entities, and landowners for protection of restoration, and enhancement of fish and wildlife habitat, and other resource objectives consistent with the purposes of the law on Federal land and on nonfederal land where projects would benefit these resources on Federal land.

**Applicant Eligibility:**

State and local governments, public nonprofit institutions/organizations, other public institution/organization, private nonprofit institution/organization, other private institution/organization and landowners.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written technical and cost proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. Title II Project Application Information may be received from the BLM Western Oregon Districts or their websites. No State plan is required with this application.

**Award Procedure:**

Bureau of Land Management District staff screen applications to ensure they meet project criteria. The projects are then forwarded to the Resource Advisory Committees whose members consider each project for funding and make recommendations to the Designated Federal Officials by September 30 for each fiscal year. Final budget approvals rest with the delegated Bureau of Land Management District Managers.

**Deadlines:**

The deadline will be published in the Grants.gov announcement for each project. Completed project application forms are due to the Designated Federal Officials by April 15 each year for funding requests in the following year.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement. Projects are approved by the delegated District Managers at their sole discretion. Within 30 days after making a rejection decision, the District Manager shall notify the Resource Advisory Committee in writing with the reasons for the rejection.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula requirements. However, applicant's matching funds are encouraged and may be looked upon more favorably by the Resource Advisory Committees.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-to-year basis and funds are expended during a particular fiscal year. Funds that are not expended during a particular fiscal year may be carried forward to the next fiscal year.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and local governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**



14-5485-0-1-302; 14-5884-0-1-302; and 14-5984-0-1-302.

**Obligations:**

FY 07 \$8,500,000; FY 08 \$8,800,000; and FY 09 \$0. The Act sunsetted in FY 07, so no further funds are available to obligate unless the Act is renewed.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$4,500 to \$600,000. Average amounts run about \$10,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

The Secure Rural Schools and Community Self-Determination Act program continues its efforts to make investments in and create additional employment opportunities through projects that improve the maintenance of existing infrastructure, implement stewardship objectives that enhance forest ecosystems and restore and improve land health and water quality. Simultaneously, improve cooperative relationships among the people that use and care for Federal lands and the agencies that manage these lands. Since the implementation of projects in this program in fiscal year 2002, over 1000 projects have been reviewed by the Resource Advisory Committee, with 582 projects recommended to the Designated Federal Officials and subsequently approved. 250 projects have been completed to date and many of the projects are multi-year projects that are funding in phases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 106-393 and the Resource Advisory Committee Charters basically guide BLM's County Payments Program. For links to the Law and additionally information see website <http://www.blm.gov/or/rac/ctypayhistory.php>.

**Regional or Local Office:**

County Payments Coordinator (OR931), Oregon State Office, Bureau of Land Management, 333 S.W. 1st Ave., P.O. Box 2965, Portland, OR 97204. Telephone: (503) 808-6451. E-mail: [Lindsey\\_Goetz@blm.gov](mailto:Lindsey_Goetz@blm.gov).

**Headquarters Office:**

Division Chief, Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., N.W., 204 LS, Washington, DC 20240. Telephone: (202) 452-0316.

**Web Site Address:**

<http://www.blm.gov/or/rac/ctypayhistory.php>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Assistance agreements with cooperators, watershed councils, counties to perform road and trail construction, maintenance or obliteration, culvert replacements for fish passage; vegetation and density management, wildfire hazard reduction, stream channel enhancement; watershed restoration; wildlife and fisheries habitat restoration and improvement; control of noxious and exotic plants; and reestablishment of native species.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to approve project proposals are: The project complies with all applicable Federal laws and regulations; the project is consistent with the applicable resource management plan and with any watershed or subsequent plan developed pursuant to the resource management plan and approved by the Secretary of the Interior; the project has been approved by the Resource Advisory Committee in accordance with section 205 of the Act; a project description has been submitted by the Resource Advisory Committee to the Secretary of the Interior; and the project will improve the maintenance of existing infrastructure, implement stewardship objectives that enhance forest ecosystems and restore and improve land health and water quality.

**15.235 SOUTHERN NEVADA PUBLIC LAND MANAGEMENT**

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901 Public Law 105-263, as amended; Clark County Conservation of Public Land and National Resources Act of 2002, 16 U.S.C. 460qqq, Public Law 107-282; Department of the Interior and Related Agencies Appropriation Act of 2004, Public Law 108-108, Section 147, Title I, Section 146; Lincoln County Conservation, Recreation and Development Act of 2004, 16 U.S.C. 1241, Public Law 108-424; and White Pine County Conservation, Recreation, and Development Act of 2006, 16 U.S.C. 1241, Public Law 109-432, Division C, Title III.

**OBJECTIVES:**

To provide for the orderly disposal of certain Federal lands in Clark County, Nevada, and to provide for the acquisition of environmentally sensitive lands in the State of Nevada.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative projects are restricted to the development of parks, trails, and natural areas on lands owned by local governments and units of as designated in Public Law 105-263, as amended, in Clark County, Lincoln County, and White

Pine County, Nevada, and, to the development and implementation of comprehensive, cost-effective, multijurisdictional hazardous fuels reduction and wildfire prevention plans, including sustainable biomass and biofuel energy development and production activities, for the Lake Tahoe Basin (Nevada and California), for the Carson Range in Douglas and Washoe Counties, and Carson City in the State of Nevada, and that are: subject to approval by the Secretary of the Interior; and not more than 10 years in duration; and as further in the Southern Nevada public Land Management Act Implementation Agreement.

**Applicant Eligibility:**

Local governments and regional government entities within the State of Nevada as specifically identified in Public Law 105-263, as amended.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

For any grants awarded as a component of any project, approved by the Secretary of the Interior, and funded under Public Law 105-263 and subsequent amendments, for any eligible beneficiary entity, all applicable Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

The deadline will be published in the Grants.gov announcement for each project.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after announcement closes. Projects are approved in accordance with Public Law 105-263, as amended, and as further delineated in the Southern Nevada Public Land Management Act Implementation Agreement. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula requirements. However, applicant's matching funds are encouraged and those projects are more likely to be funded.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal funds will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and local governments shall maintain project records in accordance with 43 CFR 12.82.

**Account Identification:**

14-5232-0-1-302.

**Obligations:**

FY 07 \$425,000,000; FY 08 est \$96,000,000; and FY 09 est \$45,000,000.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$52,800 to \$42,000,000. Average amounts run about \$5,000,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Cooperative Agreements with local government and units of local governments, has resulted in project selection for projects focused on wetlands preservation, regional and community park recreation opportunities, multi-use trail systems for pedestrians & equestrians, preservation of native vegetation, evaluation, monitoring and protection of threatened or endangered species, improved water quality, protection of cultural sites, responsible fire management, and enhanced public safety.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All guidance for this program rests with the Southern Nevada Public Land Management Act of 1998, as amended, Public Law 105-263, and can be found on website <http://www.nv.blm.gov/snplma/>.

**Regional or Local Office:**

SNPLMA Business Manager, Nevada State Office, Bureau of Land Management, 1340 Financial Blvd., P.O. Box 12000, Reno, NV 89520-0006. Telephone: (775)861-6613. E-mail: Sharon\_Gore@blm.gov .

**Headquarters Office:**

Division Chief, Lands, Realty, and Cadastral Survey, Bureau of Land Management (WO 350), 1849 C St., N.W., 1000 LS, Washington DC 20240. Telephone: (202)452-7779.

**Web Site Address:**

<http://www.nv.blm.gov/snplma/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of parks, trails and natural area and the Clark County Wetlands Park, which serves as a regional wildlife preserve, affording education and recreation, while providing habitat restoration and associated wildlife, water systems, and wetlands protection, for a unique resource of the Las Vegas Valley; City of Las Vegas Centennial Hills Regional Park, with playgrounds, aquatic, picnic, and amphitheatre areas, providing recreational opportunities for the rapidly expanding northwest Las Vegas Valley area, and; Alamo Children's Park, a basic community recreational park providing picnic and barbeque areas, a volley ball court, and shaded playground area, for the small agricultural community of Alamo, NV.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting projects is outlined and defined in the Southern Nevada Public Lands Management Act Implementation Agreement, based upon the established Ranking and Rating Criteria, a balanced review including relevance to program objectives, merit and cost effectiveness, and consistent with the Southern Nevada Public Land Management Act of 1998, Public Law 105-263, as amended.

**15.236 ENVIRONMENTAL QUALITY AND PROTECTION RESOURCE MANAGEMENT****FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended Public Law 105-277, Section 135; and Consolidated Appropriations Act of 2008, Public Law 110-161, Division F, Section 125.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements as a partnership to reduce or remove pollutants in the environment for the protection of human health, water and air resources; to restore damaged or degraded watersheds; and to respond to changing climate. Objectives are implemented through core programs such as: the Abandoned Mine Land program which addresses physical safety hazards and water quality through restoration of abandoned hardrock mines; the Hazard Management and Resource Restoration, also known as Hazmat program, which remediates sites impacted by hazardous materials and illegal activities, coordinates emergency response actions, and ensures the Bureau of Land Management facilities and operations comply with applicable environmental regulations; and the Soil, Water and Air (SWA) program which develops guidance for land use plans and plan implementation. The Soil, Water, and Air program also assures that fundamental resources are inventoried and assessed, managed, and monitored to support appropriate management response to public land conditions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Partnership projects are limited to public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska. Hazmat and Abandoned Mine Land projects will support: inventory and site assessments; mitigation, remediation, and restoration activities; and maintenance and monitoring of actions taken. Funded projects will protect public health, safety and environmental resources by eliminating contamination

and hazards and restoring natural resources.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Coordinate cooperative rangeland project proposals with the Bureau of Land Management local State or District office for more information and local requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

The deadline will be published in the Grants.gov announcement for each project.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applications with information on why their proposal was not selected for award.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula matching requirements. However, applicant's matching funds or in-kind services are encouraged and those projects are more likely to be funded.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using form Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$7,221,600; FY 08 est \$7,500,000; and FY 09 est \$8,000,000.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$5,000 to \$1,000,000. Average amounts run about \$45,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

States, other partners, and the Bureau of Land Management have worked together with private and non-federal landowners to enhance public health and safety and eliminate environmental degradation due to impacts from past hardrock mining activities, illegal dumping of solid and hazardous wastes, and unexploded ordnance. Natural resources adversely impacted by oil spills and releases of hazardous substances have been restored. Soil, water and air

resources have been sampled and monitored; impacts have been controlled.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management environmental quality and protection programs can be found at [www.blm.gov](http://www.blm.gov), including: the Cooperative Conservation Based Strategic Plan for the Abandoned Mine Lands Programs, Abandoned Mine Land Program Policy Bureau of Land Manual 3720 and Handbook H-3720-1, Hazard Management and Resource Restoration Manual 1703, and CERCLA Response Actions Handbook H-1703-1. Manuals providing basic program policy guidance for the Soil, Water and Air Program are found in Bureau of Land Management Manual 7000 series and may be obtained at [www.blm.gov](http://www.blm.gov).

#### **Regional or Local Office:**

See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

#### **Headquarters Office:**

Nancy E. Dean, Division Chief, Environmental Quality and Protection, Bureau of Land Management (WO 280), 1849 C St., N.W., 204 LS, Washington, DC 20240. Telephone: (202) 452-5060.

#### **Web Site Address:**

<http://www.blm.gov/>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Past projects funded encouraged the State and the Bureau of Land Management to work together within close proximity of public lands. Examples of Abandoned Mine Land projects can be found in the Bureau of Land Management - Forest Service joint report entitled "Abandoned Mine Lands: A Decade of Progress Reclaiming Hardrock Mines," BLM publication BLM-WO-GI-07-013-3720. This report is available at [www.blm.gov](http://www.blm.gov). Projects designed to reduce salt loading in the Colorado River, which include plugging saline wells, reducing saline runoff from areas of saline soils through improved vegetation management and restoration of OHV trails and other surface disturbance, organization and presentation of a road maintenance workshop to teach erosion control methods, and a study on relationship between grazing and vegetation green-up to maintain vegetation cover in areas of saline geology and soils. Past completed projects were completed to improve stream bank and channel conditions and projects to analyze movement and management of groundwater in areas threatened by groundwater over-draught and ground water contamination.

#### **CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

## **15.237 RANGELAND RESOURCE MANAGEMENT**

#### **FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

#### **AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Public Rangelands Improvement Act of 1978, 43 U.S.C. 1906, Public Law 95-514 and the Taylor Grazing Act of 1934, 43 U.S.C. 315a, as amended.

#### **OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements to manage, develop and protect public lands and enhance the understanding of rangeland and watershed resources, their ecological processes, and capabilities in order to meet rangeland and water quality standards for the improvement of rangelands on public lands. Projects and livestock administration for the management of rangeland on public lands. Projects and livestock administration for the management of rangeland ecosystems are conducted in a coordinated manner and consider the interrelationships of living organisms of plants and animals, the physical environment of soil, water, air, and landscape characteristics when developing and implementing resource objectives and management actions. Systematic assessments and evaluations are conducted at the watershed, allotment, and in some instances, the landscape scale to determine in the standards and fundamentals for rangeland ecosystem health are being achieved.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Advisory Services and Counseling; Training.

#### **USES AND USE RESTRICTIONS:**

Projects are limited to rangeland projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska.

#### **Applicant Eligibility:**

Anyone/General public.

#### **Beneficiary Eligibility:**

Anyone/General public.

#### **Credentials/Documentation:**

None.

#### **Preadmission Coordination:**

Coordinate cooperative rangeland project proposals with Bureau of Land Management local State or District office for more information and local requirements. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via a hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

#### **Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

#### **Deadlines:**

The deadline will be published in the [Grants.gov](http://Grants.gov) announcement for each project.

#### **Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

#### **Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula matching requirements. However, applicant's matching funds or in-kind services are encouraged and those projects are more likely to be funded.

#### **Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and fund availability.

#### **Reports:**

Recipients of funding are required to submit quarterly financial status reports using form Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

#### **Account Identification:**

14-1109-0-1-302.

#### **Obligations:**

FY 07 \$322,369; FY 08 est \$325,000; and FY 09 est \$325,000.

#### **Range and Average of Financial Assistance:**

Past partnership projects have run between \$3,000 to \$75,000. Average amounts run about \$13,000 or less.

#### **PROGRAM ACCOMPLISHMENTS:**

The Bureau of Land Management continues to maintain and expand partnerships to include funding for activities within this program to include resource monitoring, conducting upland health assessments and evaluations, use authorizations, allotment planning and administration, development of vegetation objectives, integrated weed management, and activity plan development in connection with land use planning.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Bureau of Land Management's Rangeland and Management program is generally guided by the provisions in 43 CFR Part 4000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals and handbooks providing basic program operational guidance for Rangeland Management are found in BLM Manuals



4000 series and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Division of Chief, Rangeland Resources, Bureau of Land Management (WO 220), 1849 C St., N.W., 201 LS, Washington, DC 20240. Telephone: (202)785-6569.

**Web Site Address:**

<http://www.blm.gov/wo/st/en/pro/grazing.l.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative rangeland management projects that developed criteria and indicators for measuring sustainability of rangelands. Projects that provided range management education and training for grazing permittees and agency staff. Projects that supported technical and applied rangeland and grazing management information for dissemination, such as support for Grazinglands Conservation Initiative Convention and the International Rangelands Congress. Projects that promoted general public education and information on values of proper livestock grazing management.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

## 15.238 CHALLENGE COST SHARE

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriation Act for Fiscal Year 1991, Public Law 101-512, Title I.

**OBJECTIVES:**

The Challenge Cost Share Program works through cooperative partners to help accomplish high priority work to support habitat improvement, comprehensive travel management, recreation and cultural projects. The types of projects that can be funded include monitoring and inventorying of resources; implementing habitat improvement or protection projects; developing threatened and endangered species recovery plans; protecting, stabilizing or documenting cultural resources; travel management, including managing off-highway vehicle use; and providing enhanced recreational experiences, including visitor services, information, and facilities for public health and safety.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:**

All projects are restricted to public lands administered by the Bureau of Land Management or that directly benefit public lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to leverage funds with partners and other external funding sources to enhance the Bureau of Land Management's ability/capacity to survey, monitor and inventory resources; to restore and maintain land in a healthy condition; to support threatened and endangered species management; to manage heritage resources; to enhance recreational experiences; provide visitor services or facilities; to conduct public outreach and education projects; and to support emerging partnership opportunities.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Coordinate cooperative project proposals with Bureau of Land Management local State or District Office for more information and local requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

The deadline will be published in Grants.gov announcements each year.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has statutory non-federal matching funds or in-kind service requirements. Funds are required to be matched one nonfederal dollar for each federal dollar. The matching funds must be nonfederal in origin.

**Length and Time Phasing of Assistance:**

No specific restrictions for more projects, however, most projects are awarded for one to five year period and funded on a year-by-year basis and funds are expended during a particular year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

FY 07 \$3,789,000; FY 08 est \$3,800,000; and FY 09 est \$3,900,000.

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$10,000 to \$100,000. Average amounts run about \$20,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Past partnership projects have completed wildlife habitat improvement, protection, and restoration projects with durable lasting results, conducted wildlife studies, and developed threatened and endangered species recovery plans. Cultural resource projects have been conducted to protect and stabilize cultural sites and conduct surveys to find artifacts. Recreation projects have been conducted to build trails, obliterate roads and trails, and enhance visitor recreation experiences on public lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, manuals and information about the Bureau of Land Management fish, wildlife, botany, recreation and cultural programs can be found at website <http://www.blm.gov/>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Management Program Analyst, Assistant Director for Renewable Resources and Planning, Bureau of Land Management (WO 200), 1849 C St., N.W., 201 LS, Washington, DC 20240. Telephone: (202) 785-6594.

**Web Site Address:**

For general information see website <http://www.blm.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Past projects funded include monitoring and inventorying of resources; implementing habitat improvement or protection projects; developing threatened and endangered species recovery plans; protecting, stabilizing, or documenting cultural resources; travel management, including managing off-highway vehicle use; and providing enhanced recreational experiences including visitor services, information, and facilities for public health and safety.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced view including relevance to program objectives, merit and cost effectiveness.

## 15.239 MANAGEMENT INITIATIVES

### FEDERAL AGENCY:

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR.

### AUTHORIZATION:

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended.

### OBJECTIVES:

To provide a variety of Bureau of Land Management financial assistance awards not covered by any other program entry. This program will support mission program efforts for the management, protection, and development of public lands managed by the Bureau of Land Management. Awards are typically supported by funding one-time specific legislation and internal projects and programs.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements); Training; Use of Property, Facilities, and Equipment; Advisory Services and Counseling.

### USES AND USE RESTRICTIONS:

Assistance support for the management, protection, and development of public lands within the Bureau's area of responsibility and supported by specific authorities. Awards are restricted to activities on Federal public lands for activities that benefit resources on Federal land. Most of these public lands are located in the Western United States and Alaska. The assistance may support outreach and education efforts associated with partnership programs.

### Applicant Eligibility:

Anyone/General public.

### Beneficiary Eligibility:

Anyone/General public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

Coordinate cooperative project proposals with Bureau of Land Management local State or District Office for more information and local requirements. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

A Standard Form 424, Application for Federal Assistance, Standard 424A, Budget Information for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

### Award Procedure:

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

### Deadlines:

The deadline will be published in the Grants.gov announcement for each project.

### Range of Approval/Disapproval Time:

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding. Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be able for each project at the time of funding opportunity announcement is posted on www.grant.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

### Appeals:

None. Final award decisions are not subject to appeal. The Bureau of Land Management will provide all applicants with information on why their proposals was not selected for award.

### Renewals:

None.

### Formula and Matching Requirements:

This program has no statutory formula requirements unless specifically required. However, applicant's matching funds are encouraged and those projects are more likely to be funded.

### Length and Time Phasing of Assistance:

No specific restrictions for most projects, however, some projects are awarded for one to five year period and funded on a year basis. Funds are normally expended during a particular fiscal year.

### Reports:

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending Dec. 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities

that expend less than \$500,000 (for fiscal years ending after Dec. 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

### Account Identification:

14-1109-0-1-302.

### Obligations:

FY 07 \$3,045,000; FY 08 est \$2,000,000; and FY 09 est \$1,600,000.

### Range and Average of Financial Assistance:

Past partnerships have run between \$4,000 to \$250,000. Average amounts run about \$4,000 or less.

### PROGRAM ACCOMPLISHMENTS:

Developing partnerships to include the funding for continued support of collaborative efforts to build community capacity and support for the management, protection and development of public lands. The public and BLM benefit from its support with partners in heightening public understanding of the social and economic, as well as environmental, aspects of ecosystem restoration and maintenance.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Program information is included in the Bureau of Land Management Manuals, available at <http://www.blm.gov>. These documents may also be obtained by contacting the Bureau of Land Management Office listed below.

### Regional or Local Office:

See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

### Headquarters Office:

Procurement Analyst, Property, Acquisition, and Headquarters Services Group, Bureau of Land Management (WO 850), 1849 C St., NW, LS-1075, Washington, DC 20240. Telephone: (202) 452-5186.

### Web Site Address:

<http://www.blm.gov/>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Assistance for State and local governments, Indian Tribal governments, public and private colleges and universities, conservation corps, and nonprofit organizations, as directed in the annual appropriations. Support of Historical Black Colleges and Universities and Hispanic Association of Colleges and Universities in support of students interested in pursuing careers in the natural resource area.

### CRITERIA FOR SELECTING PROPOSALS:

General criteria used to select assistance proposals are based on the applicant's direct relationship to the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

## 15.240 HELIUM RESOURCE MANAGEMENT

### FEDERAL AGENCY:

BUREAU OF LAND MANAGEMENT, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Helium Privatization Act of 1996, 50 U.S.C 167, Public Law 104-273.

### OBJECTIVES:

To meet the requirements of the Helium Privatization Act of 1996, Section 8, a crude helium enrichment unit was designed, constructed, and is now operated to ensure that the U.S. Government can upgrade and deliver crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting via the governments conservation pipeline which supplies helium to Private Helium plants located along the governments pipeline. Private plants refine the helium, supply private industry, government agencies and research projects. To pay back the helium debt, the cost that was incurred by purchasing the helium, and to ensure that the U.S. Government can redeliver crude helium into the conservation pipeline system in order to meet private and Government customer needs, as defined in the Helium Privatization Act.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Projects are limited to entities that have a direct involvement with the implementation of the Helium Privatization Act and projects related to the elimination of the Helium Debt.

### Applicant Eligibility:

Public nonprofit institution/organization, Other public institution/organization, and Profit organization.

### Beneficiary Eligibility:

Anyone/general public.

### Credentials/Documentation:

None.

**Preapplication Coordination:**

Coordinate cooperative project proposals with the Bureau of Land Management, New Mexico State Office for more information and requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management, New Mexico State Office. Final approvals rest with the State Director.

**Deadlines:**

The deadline will be published in the Grants.gov announcement for each project.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less after the announcement closes. Further information will be available for the project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal. The Bureau of Land Management will provide all unsuccessful applicants with information on why their proposal was not selected for award.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula matching requirements.

**Length and Time Phasing of Assistance:**

Projects are awarded for a one to five year period and funded on a year-by-year basis. Continuing funding will be re-evaluated each year based on performance, merit, and funding availability.

**Reports:**

Recipients of funding are required to submit quarterly financial status reports using Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1108-0-1-302.

**Obligations:**

FY 07 \$6,900,000; FY 08 est \$6,900,000; and FY 09 est \$6,900,000.

**Range and Average of Financial Assistance:**

Past partnership projects range between \$714,600 and \$6,129,800. Average amount is \$3,400,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Through a partnership the Bureau of Land Management, Helium Operation, now delivers crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting through the governments conservation pipeline which supplies helium to private helium plants located along the government's pipeline. Private plants refine the helium, and supply private industry, government agencies and research projects. The helium sold is used to pay back the helium debt to ensure that the U.S. Government can redeliver crude helium into the conservation pipeline.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information can be found at the website listed below.

**Regional or Local Office:**

Bureau of Land Management, New Mexico State Office, Division of Minerals, 1474 Rodeo Road, Santa Fe, NM 87505.

**Headquarters Office:**

Tim Spisak, Group Manager, Fluid Minerals, Bureau of Land Management, (WO-300), 1849 C St. N.W., 501-LS, Washington, DC 20240, Telephone: (202) 452-5061.

**Web Site Address:**

[http://www.blm.gov/nm/st/en/fo/Amarillo\\_Field\\_Office.html](http://www.blm.gov/nm/st/en/fo/Amarillo_Field_Office.html)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Construction of a compressor station and the Crude Helium Enrichment Unit with Partners that upgrades and delivers crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting via the governments conservation pipeline which supplies helium to private helium plants located along the governments pipeline. Private plants refine the helium and supply private industry, government agencies and research projects.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to helium projects and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.242 NATIONAL FIRE PLAN - RURAL FIRE ASSISTANCE**

(National Fire Plan - Rural Fire Assistance)

**FEDERAL AGENCY:**

BUREAU OF LAND MANAGEMENT, BUREAU OF INDIAN AFFAIRS, FISH AND WILDLIFE SERVICE, NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2005, Title I, Public Law 108-447. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.

**OBJECTIVES:**

To implement the National Fire Plan by increasing firefighter safety and enhancing the knowledge and fire protection capability of rural fire departments by providing assistance in education and training, protective clothing and equipment purchase, and support to public education efforts on a cost share basis.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Emphasis is placed on fire departments that protect rural communities and play a substantial cooperative role in the protection of the Department of the Interior managed public lands.

**Applicant Eligibility:**

State and local government, Public nonprofit institution/organizations, Other public institution/organization, Federally Recognized Indian Tribal Government, Private nonprofit institution/organization, Native American Organization, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface. All applicants must be rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Other Public Institution/Organization, Federally Recognized Indian Tribal Government, Small Business, Profit Organization, Private Organization, Anyone/General Public, Native American Organization, Farmer/Rancher/Agriculture Producer, Homeowner, Land/Property Owner, Suburban, and Rural.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

Coordinate applications with the local BLM State or District Office, Bureau of Indian Affairs Regional Office, Fish and Wildlife Service Regional Office, or a National Park Service Regional Office or National Park unit. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Rural Fire Assistance is coordinated through each State Forester and the Bureau/Service State or Regional Office, or National Park unit. Procedures may be found on the National Fire Plan website at: <http://www.fireplan.gov>. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

To ensure consistency within existing rural fire assistance programs, the Department of the Interior bureaus work with the State Foresters and other



Federal partners to ensure that funding is allocated in the amount of the award to qualified and suitable rural fire districts. The following criteria applies for a fire department to participate in the program: Statewide agreement with the State Forester, who maintains cooperative fire agreements with the rural fire department/volunteer fire department, or a cooperative fire agreement with an Interior Bureau; rural fire department serving a community with a population of 10,000 or less in the wildland/urban interface; and the funding request is limited to training, equipment, and prevention activities. The rural fire department must have the capability to meet cost share at a minimum of 10% which may include in-kind services.

**Deadlines:**

Contact the State or regional office, as appropriate for application deadlines.

**Range of Approval/Disapproval Time:**

Rural fire assistance projects are approved by the Bureau/Service/Park Unit in coordination with the State Forester and other Federal partners. Normally all grant requests are received and awards made during the same fiscal year.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program includes matching requirements. For example, rural fire departments must have the capability to meet cost share at a minimum of 10 percent, which may include in kind services.

**Length and Time Phasing of Assistance:**

Most projects are funded on a single year basis and funds are expended during the fiscal year of the award.

**Reports:**

Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once during the life of a project.

**Audits:**

Projects will be audited at least once during life cycle. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the recipient. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

Bureau of Land Management - 14-1125-0-1-302; Bureau of Indian Affairs - 14-1125-0-1-302; Fish and Wildlife Service - 14-1125-0-1-302; National Park Service - 14-1125-0-1-302.

**Obligations:**

FY 07 \$0; FY 08 est \$6,032,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$1000 to \$20,000; \$6000.

**PROGRAM ACCOMPLISHMENTS:**

An average of 1,200 Rural Fire Departments are provided assistance each year for technical assistance, training, supplies, equipment and public education support.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of the Interior's rural fire assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Bureau/Service Office or the National Fire Plan's web site at: <http://www.fireplan.gov>.

**Regional or Local Office:**

Contact Regional/State/Local Office: See Catalog Appendix IV for addresses.

**Headquarters Office:**

BLM: Chief, Community Protection and Assistance, Planning Resources Group, Bureau of Land Management (FA 130), National Interagency Fire Center, 3833 S. Development Ave, Boise, ID 83705. Telephone: (208) 387-5169. BIA: Assistant Director, Fire Operations, Bureau of Indian Affairs, National Interagency Fire Center, 3833 S. Development Ave, Boise, ID 83705. Telephone: (208) 387-5372. FWS: Fire Management Specialist, Fish and Wildlife Service, National Interagency Fire Center, 3833 S. Development Ave, Boise, ID 83705. Telephone: (208) 387-5976. NPS: National Fire Operations Program Leader, National Park Service, National Interagency Fire Center, 3833 S. Development Ave, Boise, ID 83705. Telephone: (208) 387-5226.

**Web Site Address:**

<http://www.nifc.gov/rfa/index.html>

**RELATED PROGRAMS:**

15.228, National Fire Plan - Wildland Urban Interface Community Fire Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Wildland fire assistance to rural fire departments through technical assistance, training, supplies, equipment and public education support.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for ranking eligible Rural Fire Departments, relative to other applicants, for funding allocation are: The fire department's frequency of responses to wildland/urban fire incidents in the local area; the fire department's wildland prevention and education program needs; the fire department's training program needs; the communities and Department of the Interior's values to be protected; the percentage of wildland/urban lands; and the number of wildland fire engines in the department relative to the percentage of wildland/urban interface acres protected.

**15.250 REGULATION OF SURFACE COAL MINING AND SURFACE EFFECTS OF UNDERGROUND COAL MINING**

**FEDERAL AGENCY:**

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To assist the States in administering approved regulatory programs.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Grants for permanent program development are available to fund staff and related costs in connection with preparing State legislative proposals; preparing State regulations; preparing permanent program applications to the Office of Surface Mining Reclamation and Enforcement (OSM); and for other related purposes. Administration and enforcement grants are awarded to assist States that have received approval of permanent regulatory programs. Funded cooperative agreements provide for State regulation of coal mining activities on Federal lands. Technical assistance is available on any aspect of regulating surface impacts of coal mining.

**Applicant Eligibility:**

The State must have an approved program and a designated State agency to receive and administer grants.

**Beneficiary Eligibility:**

State agencies responsible for regulation, reclamation and enforcement of provisions protecting the environment from negative effects of coal mining operations. Coal mining operators with annual production of less than 300,000 tons total at all mining locations may apply to State or Federal regulatory authorities for assistance in meeting certain technical permit application requirements.

**Credentials/Documentation:**

The Governor of a State designates an agency to act as recipient of the grant or funded cooperative agreement.

**Preapplication Coordination:**

No preapplication is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application SF 424 and other forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. State Regulatory grant applicants are required to submit applications to their appropriate Regional/OSM Field Office. State applications must meet specific criteria described in the Federal Register, 30 CFR Part 725, 735 and 795. Copies of the regulations and application forms are available from the appropriate OSM Regional/Field Office.

**Award Procedure:**

Review by appropriate regional/field staff and approval by the OSM Regional/Field Office is required.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

60 days.

**Appeals:**

Not applicable.

**Renewals:**

Annual applications required for grants.

**Formula and Matching Requirements:**

Permanent program development grants and administration and enforcement grants are limited to 80 percent of costs in the first year, 60 percent in the second, and 50 percent thereafter.

**Length and Time Phasing of Assistance:**

All administration and enforcement grants are for a one year period and are annually renewable. SOAP operational grants have a 3-year performance period and are annually renewable.

**Reports:**

Progress and financial reports (OMB SF-269) as specified by the Agency are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1801-0-1-302; 14-1802-0-1-302.

**Obligations:**

Administration and Enforcement Grants: FY 07 \$56,365,000; FY 08 est \$60,559,000; and FY 09 est \$70,323,518.

**Range and Average of Financial Assistance:**

\$30,430 to \$12,417,655; \$2,087,605.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-four coal producing States have approved programs and are receiving administration and enforcement grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 42, No. 62706, Tuesday, December 13, 1977 and Volume 47, No. 169, Tuesday, August 31, 1982, Volume 48, No. 12, Tuesday, January 18, 1983; and informal agency guidelines titled "Federal Assistance Manual."

**Regional or Local Office:**

See Catalog Appendix IV.

**Headquarters Office:**

Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., N.W., Washington, DC 20240. Contact: Chief, Division of Reclamation Support. Telephone: (202) 208-2788.

**Web Site Address:**

<http://www.osmre.gov>.

**RELATED PROGRAMS:**

15.252, Abandoned Mine Land Reclamation (AMLR) Program; 15.253, Not-for-Profit AMD Reclamation.

**EXAMPLES OF FUNDED PROJECTS:**

Governor-designated State agencies in coal producing States receive annual grants to assist in administering and enforcing the States' approved regulatory programs as provided by the Surface Mining Control and Reclamation Act of 1977.

**CRITERIA FOR SELECTING PROPOSALS:**

Designated agencies that choose to comply with the Surface Mining Reclamation and Enforcement Provisions, Parts 725, 735, and 795 (Federal Register, Vol. 423, No. 239, Tuesday, December 13, 1977, Vol. 47, No. 169, August 31, 1982 and Vol. 48, No. 12, January 18, 1983), are eligible for awards. Criteria for amounts awarded are the State's need relative to other eligible States.

## 15.252 ABANDONED MINE LAND RECLAMATION (AMLR) PROGRAM

(Abandoned Mine Lands)

**FEDERAL AGENCY:**

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To protect the public, health, safety and general welfare, and restore land, water and environmental resources affected by coal and noncoal mining practices that occurred prior to August 3, 1977.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Grants support the operation of an approved State or Tribal Abandoned Mine

Land (AML) reclamation program. Approved programs use grant funds for mine site reclamation projects on eligible lands, which are lands and waters mined or affected by coal mining processes that occurred prior to August 3, 1977 (as well as certain post-1977 and noncoal mining activities). Grants also support project administration. Grants may also include funding for AML-related activities including: the Emergency program, to abate sudden mining-related dangers to public health and safety; the Appalachian Clean Streams program, to treat water affected by acid mine drainage; Set-Aside funds, to establish special accounts to fund future acid mine drainage treatment or coal mining reclamation; and the Subsidence Insurance program, to develop a self-sustaining State subsidence insurance program.

**Applicant Eligibility:**

The program is restricted to States with (1) an approved coal mining regulatory program, (2) lands eligible for reclamation, and (3) active coal mining operations within their borders that are paying coal reclamation fees into the Abandoned Mine Reclamation Fund; and to federally-recognized Indian Tribes with (1) eligible lands, and (2) active mining operations paying fees into the Fund. An eligible State or Tribe may submit a State reclamation plan to the Office of Surface Mining for approval.

**Beneficiary Eligibility:**

Coal field citizens and the general public benefit from reduced exposure to safety and health risks from abandoned mine lands.

**Credentials/Documentation:**

A State or Tribal Indian reclamation plan must be approved by the Assistant Secretary for Land and Minerals Management. AML grants to approved projects must be approved by an authorized official of the appropriate OSM Regional or Field Office.

**Preapplication Coordination:**

Preapplication is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application SF 424 and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," may be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional/Field Office for details. Grant applications covering all AML programs/activities are to be submitted to the applicable OSM Regional/Field Office annually.

**Award Procedure:**

The Regional/Field Office should act upon a grant application within 60 days of submittal of a complete application. If the application is not approved, the Regional/Field Office must set forth in writing the reasons for disapproval and may propose modifications if appropriate. The applicant may submit the revised application or appropriate revised portions of the application.

**Deadlines:**

State/Indian Reclamation Program: Grant application may be submitted at any time to the applicable OSM Regional/Field Office. Applications should be submitted 60 days prior to the start of the proposed grant performance period.

**Range of Approval/Disapproval Time:**

Normally 60 days.

**Appeals:**

An applicant may appeal the OSM's decision not to approve a grant or to reduce or terminate a grant to the Director, OSM no later than 30 days after the Regional or Field Office official made the decision.

**Renewals:**

New grants may be awarded annually upon satisfactory performance by the State/Tribal AML Program.

**Formula and Matching Requirements:**

Grants are 100 percent Federally funded. Grant funds are no-year funds congressionally appropriated from coal mining reclamation fees in the Abandoned Mine Reclamation Fund. The formula is based on historical coal production and annual fee collections. However, States/Tribes may be granted additional funds for emergency and other high priority abandoned mine land reclamation projects.

**Length and Time Phasing of Assistance:**

Grant periods are variable; however, under normal conditions, funds for construction activities must be expended three years after the award.

**Reports:**

State/Indian Reclamation Program (Project Grants): Annual performance and financial reports (SF 269) are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted

in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-5015-0-2-302.

**Obligations:**

FY 07 \$145,352,582; FY 08 est \$285,400,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$200,000 to \$87,200,000; \$9,800,000.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-four States and three Indian tribes have approved reclamation programs. Since 1978, over 236,000 acres of mined land with safety, health and environmental problems have been reclaimed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Guidelines for Reclamation Programs and Projects, Federal Register (66 FR 31250-31258), June 11, 2001.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Office of Surface Mining, Division of Reclamation Support, Department of the Interior, 1951 Constitution Avenue, N.W., Washington, DC 20240. Contact: Chief, Division of Reclamation Support. Telephone: (202) 208-2788. Use the same number for FTS.

**Web Site Address:**

<http://www.osmre.gov> .

**RELATED PROGRAMS:**

15.250, Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining.

**EXAMPLES OF FUNDED PROJECTS:**

State and Indian Tribal AML programs reclaim landslides, and mine openings, impoundments, highwalls, underground mine fires and burning refuse banks, mine subsidence, coal refuse piles, acid mine drainage, and dangerous impoundments.

**CRITERIA FOR SELECTING PROPOSALS:**

Section 403 of Public Law 95-87, cited Abandoned Mine Land Reclamation Program regulation, and approved State/Indian Reclamation plans.

## 15.253 NOT-FOR-PROFIT AMD RECLAMATION

**FEDERAL AGENCY:**

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To fund local organizations and not-for-profit groups that undertake local acid mine drainage (AMD) reclamation projects.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To assist local organizations, especially watershed groups, to begin actual construction projects to clean streams impacted by AMD. Lands and water eligible for reclamation or drainage abatement expenditures under Section 404 of Public Law 95-87 are those which were mined for coal or which were affected by such mining, wastebanks, coal processing, or other coal mining processes, except as provided for under Section 411 of Public Law 95-87, prior to August 3, 1977, and for which there is no continuing reclamation responsibility under State or other Federal laws. For other provisions relating to lands and waters eligible for such expenditures, see Section 402(g)(4), Section 403(b)(1), and Section 409 of Public Law 95-87. Surface coal mining operations on lands eligible for remaining shall not affect the eligibility of such lands for reclamation and restoration under this title after the release of the bond or deposit for any such operation as provided under Section 509. In the event the bond or deposit for a surface coal mining operation on lands eligible for remaining is forfeited, funds available under this title may be used if the amount of such bond or deposit is not sufficient to provide for adequate reclamation or abatement, except that if conditions warrant, the secretary shall immediately exercise his authority under Section 410.

**Applicant Eligibility:**

Primary recipients must be not-for-profit, established organizations. Federal, State, local governments, colleges, and universities are not eligible to receive funding directly.

**Beneficiary Eligibility:**

Communities impacted by streams polluted by acid mine drainage will benefit from this program.

**Credentials/Documentation:**

Proof of not-for-profit IRS 501(c)(3) status is required of nonprofit organizations

and institutions. A State certification of project eligibility is required.

**Preapplication Coordination:**

Preapplication is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application SF-424 and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," must be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional/Field Office for details listed in the Catalog Address Appendix IV.

**Award Procedure:**

Approval is made by OSM Director or designee.

**Deadlines:**

Applications will be accepted until all available funds have been awarded.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services.

**Length and Time Phasing of Assistance:**

The cooperative agreements have a performance period of 2 years.

**Reports:**

Financial and programmatic reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, Section 3052.215(a) and Section 3052.235.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations".

**Account Identification:**

14-5015-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,500,000; FY 08 est \$1,500,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$6,195 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Restore polluted streams affected by acid mine drainage to a safe level for drinking and recreational activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87.

**Regional or Local Office:**

See Catalog Appendix IV.

**Headquarters Office:**

Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., NW., Washington, DC 20240. Contact: Chief, Division of Reclamation Support. Telephone: (202) 208-2788. Use the same number for FTS.

**Web Site Address:**

<http://www.osmre.gov> .

**RELATED PROGRAMS:**

15.252, Abandoned Mine Land Reclamation (AMLR) Program.

**EXAMPLES OF FUNDED PROJECTS:**

In one project, the site has 30 miles of streams, with 17 miles severely impacted by drainage from abandoned coal mines in the watershed. Two different limestone treatment systems were used. With the first system limestone was added to the streams and two windmills that operated air pumps pumping air into the water causing the metals to fall out of solution. The second system was an underground anoxic limestone drain that the acidic water flows through dissolving the limestone in the water and raising the pH enough cause the metals to fall out in the wetlands.

**CRITERIA FOR SELECTING PROPOSALS:**

Section 404 of Public Law 95-87, State certification of eligibility is required. No opposition to the project from the State Abandoned Mine Land (AML) agency. All applicable Federal and State clearances and permits must be



secured. The project should propose to use proven or innovative technology that has a high probability of success and produce tangible results, e.g., fishery restored, stream miles improved, educational and community benefits, pollutants removed from the streams. Funds must be used for the construction phase of a project and there must be demonstrated public support for the project. Also, there must be a plan to address any ongoing operation/maintenance considerations.

## 15.254 SUMMER WATERSHED INTERN

### FEDERAL AGENCY:

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT,  
DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Surface Mining Control and Reclamation Act of 1977; Public Law 95-87; 91 Stat. 445-532.

### OBJECTIVES:

The Office of Surface Mining (OSM) Watershed Intern Program provides funds to assist watershed groups by providing funds for the watershed organizations to hire interns to work on specific watershed projects. The project must clearly enhance the sustainability of the watershed organizations and must contribute directly to the remediation of acid mine drainage. The AmeriCorps\*VISTA generally concentrates on fighting poverty and building capacity. OSM's primary goal is to fight acid mine drainage (AMD) in the watersheds of the Appalachia. The combined efforts of OSM and AmeriCorps\*VISTA is to bring environmental and economic improvement in the Appalachia region by targeting problems associated with pre-regulatory coal mining in the Appalachia watersheds affected by AMD.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

The OSM Watershed Intern Program is to assist watershed groups by providing funds for the watershed organizations to hire interns to work on specific watershed projects. The OSM/AmeriCorp\*VISTA provides a one time payment for support for the watershed organizations to obtain OSM/AmeriCorp\*VISTA volunteers to work on specific projects. Projects for both programs must clearly enhance the sustainability of the watershed organization, and must contribute directly to the remediation of acid mine drainage.

### Applicant Eligibility:

The OSM Watershed Intern Program recipients are required to be public or private non-profit institutions/organizations, established watershed organizations in the following States to be eligible to participate: Alabama, Illinois, Indiana, Iowa, Kentucky, Maryland, Missouri, Ohio, Oklahoma, Pennsylvania, Tennessee, Virginia, and West Virginia. Undergraduate and Graduate Students, throughout the United States, interested in helping to clean up the environment are also eligible. OSM/AmeriCorps VISTA requires qualified watershed groups to be non-profit organizations or be sponsored by a local non-profit group such as a Resource Conservation and Development District, a local historical society, or a Soil and Water Conservation Service. The program currently serves the following Appalachia States: Alabama, Kentucky, Maryland, Ohio, Pennsylvania, Tennessee, Virginia and West Virginia.

### Beneficiary Eligibility:

Watershed organizations in communities impacted by streams polluted by acid mine drainage will benefit from this program.

### Credentials/Documentation:

Proof of not-for-profit, IRS 501(c)(3), status is required of nonprofit watershed organizations. Proof of student status is required.

### Preapplication Coordination:

Preapplication is not required. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used. Guidelines and application procedures can be obtained from the OSM Website, [www.osmre.gov](http://www.osmre.gov). Paper copy of guidelines and application procedures can be obtained from the OSM Headquarters.

### Award Procedure:

Approval by the Director or his designee.

### Deadlines:

Sponsorships and internships will be awarded on a rolling basis until all funds are allocated.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

This program has no statutory formula. Partners are encouraged to make

monetary contributions or provide in-kind services.

### Length and Time Phasing of Assistance:

Each internship is for 12 weeks of full-time work by an intern. This 12-week period can be split with two interns or worked part-time over 24 weeks.

### Reports:

Quarterly reports (financial and programmatic) are required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

### Account Identification:

14-5015-0-1-302.

### Obligations:

(Direct payments) FY 07 \$65,000; FY 08 est \$70,000; and FY 09 est \$75,000.

### Range and Average of Financial Assistance:

Each internship includes a \$2,000 stipend for 12 weeks of full-time work by an intern and \$500 for related expenses.

### PROGRAM ACCOMPLISHMENTS:

Ten college students working in five States throughout the Appalachian region pioneered the Summer Watershed Intern Program during the summer of 1999. In 2000 and 2001, 20 college students participated as summer watershed interns. During the summer of 2002, together with financial support of the Department of Energy's National Energy Technology Laboratory, OSM placed 33 interns in eight Appalachian States. In FY 03, with additional EPA funding, OSM placed 30 interns in seven States. In 2004, OSM placed 22 interns in six States. In 2005, OSM placed 22 interns in eight States. We are currently reviewing applications for 2006.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87.

### Regional or Local Office:

See Catalog Appendix IV for addresses.

### Headquarters Office:

Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., NW, Washington, DC 20240. Contact: Division of Reclamation Support. Telephone: (202) 208-2585.

### Web Site Address:

<http://www.osmre.gov>.

### RELATED PROGRAMS:

15.253, Not-for-Profit AMD Reclamation.

### EXAMPLES OF FUNDED PROJECTS:

In 1999, ten college students pioneered the program, completing projects dealing with various aspects of cleaning up acid mine drainage.

### CRITERIA FOR SELECTING PROPOSALS:

Each proposed watershed project must clearly enhance the sustainability of the watershed organization and must contribute directly to the remediation of acid mine drainage. Candidates must be able to organize their work, work well with community groups and on their own, have an understanding of acid mine drainage remediation and the national Clean Streams program, and write well.

## 15.255 APPLIED SCIENCE PROGRAM COOPERATIVE AGREEMENTS RELATED TO COAL MINING AND RECLAMATION

### FEDERAL AGENCY:

OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT,  
DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Surface Mining Control and Reclamation Act of 1977 (SMCRA), Public Law 95-87; Public Law 95-224.

### OBJECTIVES:

To support of two efforts: (1) develop and demonstrate improved technologies to address public safety and environmental issues related to the mining of coal and reclamation of the lands affected after mining; and (2) encourage efforts to collect, preserve and convert into digital format, maps of underground mines that provide valuable information regarding protection of public and miner safety, mine pool evaluation, and mine subsidence investigation for previously mined areas.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Projects must focus on issues related to mining in the United States and its territories. Funding will be limited to projects that can be completed without additional funding from the Office of Surface Mining (OSM) beyond those funds awarded in the current fiscal year. Applicants may request funding not to exceed an amount established each year prior to the solicitation for proposals. OSM encourages cost-sharing through an advantaged score in the rating process, but cost-share is not required for the applicant to supply a proposal.

**Applicant Eligibility:**

Applied Science Projects: Recipients may be any public, private, nonprofit, state, local or Tribal governments, colleges, and universities located in the USA. Mine Mapping: Recipients may be any state or Indian Tribal agency or U.S. Territory.

**Beneficiary Eligibility:**

Communities impacted by coal mining and reclamation of the land after mining.

**Credentials/Documentation:**

Applied Science Projects: All proposals must either be initiated by or include a letter of endorsement, (on official letterhead) from an appropriately authorized management official representing a State, Indian, or Federal Title IV or V Surface Mining Control and Reclamation Act (SMCRA) Mining Regulatory or Abandoned Mine Land Reclamation Authority. Mine Map Projects: Proposals must be from an official State or Tribal agency or U.S. territory within whose borders underground mining has occurred.

**Preapplication Coordination:**

A preapplication proposal is required to be considered for this program. OSM will announce the opportunity for interested parties to submit preapplication proposals in Grants.gov/, and/or on other Federal government websites generally viewed by the public to access such solicitations, and through direct mailings or email to organizations that have shown a past interest in SMCRA related activities. Specific details of the items to be addressed in the pre-application proposal may also be itemized on an OSM web site. The application process consists of two parts, a preapplication proposal with is used in the project review and selection process, and a formal application that will be submitted only by those organizations whose projects are selected for further consideration. The specifics of the project solicitation, review and selection process are itemized below for Applied Science Projects and for Mine Map Projects. Applied Science Projects: Following is a description and approximate timeline for Applied Science Projects: (1) On an annual basis, OSM announces the solicitation of preapplication proposals for eligible projects during the first quarter of each fiscal year that funding is available for the Applied Science Program. (2) OSM allows at least 60 days for interested parties to submit preapplication proposals. (3) Approximately 60 days after the last date to submit proposals, OSM staff and appropriate regional and national technology team members complete initial reviews of preapplication proposals and forward rankings to the National Technology Team Leader (all reviewers are required to sign confidentiality agreements assuring protection of information contained in pre-applications and fairness of the selection process). (4) Approximately 30 days later the National Technology Transfer Team reaches consensus on final ranking of preapplication proposals and submits a final recommendation of pre-application proposals for funding to be submitted to the OSM Core Leadership Team. 5) Within 30 days of receipt from the National Technology Team Leader, the OSM Core Leadership Team may make a final decision of which preapplication proposals to fund (pending receipt by OSM of a complete formal cooperative agreement application within the allowed timeframe). Mine Mapping Projects: (1) On an annual basis, OSM announces the solicitation of preapplication proposals for eligible projects during the first quarter of each fiscal year that funding is available. In addition, OSM notifies the individuals responsible for SMCRA Title IV and Title V programs, and the state geologist for each state where coal mining has occurred. (2) OSM allows approximately 60 days for interested parties to submit preapplication proposals. (3) Approximately 60 days after the last date to submit proposals, members of the Underground Mine Map UGMM) Steering Committee excluding OSM members, plus one representative from each OSM region, one representative from OSM headquarters, and one representative from the Mine Map Repository, will review and rank all of the proposals; (4) Approximately 30 days later, the UGMM Steering Committee Review Team reaches consensus on final ranking of preapplication proposals and submits a recommendation for funding to the OSM Core Leadership Team; (5) Within 30 days of receipt from the Team Leader, the OSM Core Leadership Team may make a final decision of which preapplication proposals to fund (pending receipt by OSM of a complete formal cooperative agreement application within the allowed timeframe). This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Within 7 days of the decision by the Core Leadership Team of which preapplications to support, OSM notifies successful preapplicants to submit formal applications. Application materials consist of a cover letter with SF-424 Form, OSM-51 Form, and OSM-47 Form. By June 15, each year, OSM begins approving cooperative agreements and awarding funds.

**Award Procedure:**

Following the review of the pre-application stage, the formal applications are reviewed by the OSM Core Leadership Team. Approval of cooperative

agreements is made by the OSM Director or designee.

**Deadlines:**

The deadline for submission of pre-proposals is during the second quarter of each fiscal year. Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

Estimated from 60 to 120 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula and no mandatory cost-share or matching requirements. However, OSM recommends that applicants participate in the support of the Project in the following manner: Applied Science Projects: OSM recommends a minimum cost-share of 25 percent with the applicant providing some portion of this percentage. The remainder may come from academia, industry, or other non-federal sources. Mine Map Projects: OSM encourages cost-sharing through an advantaged score in the rating process, but cost-share is not required for the applicant to supply a proposal. Cost-share can be comprised at any percentage from the following: applicant, academia, industry, or other nonfederal sources.

**Length and Time Phasing of Assistance:**

The cooperative agreements have a performance period of 1 year.

**Reports:**

Financial and programmatic reports are required no more than quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after Dec.1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subparts C and F.

**Account Identification:**

14-5015-0-1-302; 14-1801-0-1-302.

**Obligations:**

FY 07 \$1,200,000; FY 08 \$1,400,000; and FY 09 est \$1,400,000.

**Range and Average of Financial Assistance:**

Applied Science Project Awards will not to exceed \$100,000. Mine Map Projects have no Limit other than the annual appropriation to this program.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that Applied Science Projects will result in improved technologies to address environmental issues related to the mining of coal and reclamation of the land after mining, and for regulatory processes that ensure compliance with the Surface Mining Control and Reclamation Act. It is anticipated that Mine Map Projects will result in increased protection of public and Miner safety, environmental quality and property from adverse effects of underground mines through the cooperative efforts between OSM and various state agencies and through increased preservation and public access to mine map resources.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87; Grants Common Rule at 43 CFR Part 12.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., N.W., Washington, DC 20240. Contact: Chief, Division of Reclamation Support. Telephone: (202) 208-2788. Use the same number for FTS.

**Web Site Address:**

See www.grants.gov/. For additional details on specific proposal requirements, please see OSM's website at www.mcrcc.osmre.gov/.

**RELATED PROGRAMS:**

15.250, Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining; 15.252, Abandoned Mine Land Reclamation (AMLR) Program; 15.253, Not-for-Profit AMD Reclamation.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applied Science Projects: In order for a preapplication proposal to be considered, it must include the following: Electronic submission must be received on or before the due date. The proposal must follow the application instructions. Instructions for providing the 1st round ranking of projects is as follows: (1) Individual reviewers rank the proposals such that the best proposal receives the highest rank. When the scores are averaged this will give the best

proposals the highest numerical value. (Every reviewer must fill out a non-disclosure agreement in order to access the proposal website.) (2) Regional Team Ranking: Each regional team AR, WR, and MCR will allow each state/Tribe team member to provide one ranking of proposals. Each state may have more than one person involved in the ranking in order to get the appropriate technical expertise. (3) Each technology transfer member must provide their ranking to the National Technology Team Leader by a specified date each year. (4) National Technology Transfer Team scoring Each National Team member needs to score all projects based upon the following criteria: (a) Does the proposal address a topic of special interest to OSM as identified in the annual solicitation of proposals; (b) What is the level of external financial support; (c) What is the technology transfer potential; (d) What is the technical merit; (e) What is the overall proposal quality, innovation, and viability; Project score spreadsheets should be sent to the National Technology Team Leader by a specified date each year (see Application Process above for 2007 dates). The national technology transfer team is composed of members from OSM and from States that administer coal mining activities. The members from OSM represent Headquarters, the National Technical Training Program (NTP), Technical Innovation and Professional Services (TIPS) program, and the three OSM Regions (Appalachian, Mid-Continent, and Western). The States are represented by the Interstate Mining Compact Commission and the Western Interstate Energy Board. Each regional team is composed of one representative from the OSM region and one from each of the State regulatory authorities within that region. Mine Map: After all proposals are received, the first review will be conducted as follows: (1) members of the Underground Mine Map Steering Committee excluding OSM members, one representative from each OSM region, one representative from OSM headquarters, and one representative from the Mine Map Repository, will review and rank all of the proposals. The voting members must rank each proposal in ascending order. The summation of each voting member's score for each proposal will be used to compute the overall ranking. The proposal/severable piece with the lowest score will have the highest priority for funding. Likewise the proposal/severable piece with the highest score will have the least priority for funding. If there is a proposal that a member feels should not be considered, the rank should be filled in with a score of 40 rather than the concurrent ascending numerical value. (2) the highest ranked proposals will then be submitted to the OSM Core Leadership Team for decisions concerning final approval of proposed projects.

## 15.406 NATIONAL PARK SERVICE CENTENNIAL CHALLENGE.

### FEDERAL AGENCY:

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Challenge Cost Share Provision, Public Law 104-333, 16 U.S.C.; Centennial Challenge Provision (2008), FY 2008 Appropriations Act (December 17, 2007)(see H.R. Rep. No. 110-497, Division F, Title I, to accompany H. Res. 878, at 266).

### OBJECTIVES:

The National Park Centennial Initiative is a ten year effort to prepare national parks for another century of conservation, preservation, and public enjoyment. Project efforts will improve parks and serve all Americans, especially our nation's youth. Centennial Challenge signature projects provide no less than fifty percent (50%) of the total cost of each project or program is derived from non-Federal sources).

### TYPES OF ASSISTANCE:

Formula Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

For the purpose of sharing costs or services in carrying out authorized functions and responsibilities of the Secretary of Interior with respect to any unit or program of the National Park System through Centennial Challenge projects within the following five areas of emphasis: Stewardship, Environmental Leadership, Recreational Experience, Educational and Professional Excellence.

### Applicant Eligibility:

Non-federal partners may include state agencies, Tribes, local governments, non-governmental organizations, private companies, and private individuals. Non-federal partners are expected to match NPS Centennial Challenge Cost Share funds at or above 1:1 for their respective projects.

### Beneficiary Eligibility:

State and local governments, private, public, profit, nonprofit organizations and institutions who are positioned to contribute at least 50% of the value of projects included in the list of approved projects and which support the NPS Centennial Challenge.

### Credentials/Documentation:

Proposals that support the goals of the NPS Centennial Challenge including commitment letters from partners demonstrating ability to contribute the required match and readiness to complete the project. Proposals include description of the project, proposed budget, commitments from recipients.

### Preapplication Coordination:

Proposals are developed in coordination with NPS managers which are then

submitted through the NPS Project Management Information System (PMIS) for priority setting by a panel who recommends to Regional Directors and the NPS Director projects for approval in accordance with Centennial Challenge priorities. The approved projects are placed on an eligible list to receive funding, when available. The NPS makes the final decisions on funding. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Upon determination of funded proposals by the NPS, selected applicants will complete SF-424, SF 424B Assurances for Non-Construction.

### Award Procedure:

Applicants/Proposals selected for funding are notified regarding the next steps to implement a project and are required to submit a project plan that outlines the project objectives and milestones and additional required documentation depending upon the method of project execution. A panel of NPS staff recommend approval to the NPS Director, who makes the final decision on awards.

### Deadlines:

Determined by NPS management and posted when available on <http://www.nps.gov/2016> and [www.grants.gov](http://www.grants.gov).

### Range of Approval/Disapproval Time:

Projects eligible for funding are submitted up to 12 months in advance of funding determinations.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

Requested funds shall not exceed 50 percent (50%) of eligible projects costs and shall be made on the condition that non-Federal sources, including in-kind contributions of services or materials, provide the remainder of eligible project costs.

### Length and Time Phasing of Assistance:

The project approval, execution and completion period is typically for a time period not to exceed 24 months. Specific requirements for project execution and completion are outlined in detailed project plans and budgets.

### Reports:

For projects under \$100,000 the NPS will require a budget status update and project progress report on an annual basis. Projects over \$100,000 must submit quarterly reports to the Centralized Centennial Acquisitions and Financial Assistance Team. All projects and activities are monitored for progress and compliance with the use of Quarterly and Final Narrative Reports and the Financial Status Report SF-269. Recipients are required to submit an SF-270 for reimbursement payments.

### Audits:

Partners under cooperative agreements with the NPS for centennial projects must adhere to auditing requirements outlined in OMB Circular A-133, "Audits of States, Local Governments and Non-Profit Organizations." Partners who receive more than \$500,000 in federal awards in a year are required to have an audit conducted by a third party. The NPS will conduct reviews of a sample of Centennial Challenge projects each year to assess compliance with the program's requirements and the effectiveness of the project in advancing centennial goals. The centennial project reviews will be conducted as part of the Service's annual A-123 programmatic review process and Acquisition Management Reviews.

### Records:

The recipient must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained three years after submission for final request for reimbursement.

### Account Identification:

14-2645-0-1-303.

### Obligations:

FY 07 \$0; FY 08 est \$25,000,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

Varies - new program in fiscal year 2008.

### PROGRAM ACCOMPLISHMENTS:

None. New program in fiscal year 2008.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The Future of America's National Parks, May 2007, a report to the President presenting a bold vision for our National Parks.

### Regional or Local Office:

None.

### Headquarters Office:

Program Manager, Centennial Initiative, Department of the Interior, National Park Service, 1849 C Street, NW, Washington DC 20240.

### Web Site Address:

[www.nps.gov/2016](http://www.nps.gov/2016).

### RELATED PROGRAMS:

15.916, 15.921, and any authorized functions and responsibilities of the Secretary of the Interior with respect to any unit or program of the National Park System (as defined in section 16 U.S.C. 1c(a)).



## EXAMPLES OF FUNDED PROJECTS:

None. New program for fiscal year 2008.

## CRITERIA FOR SELECTING PROPOSALS:

Proposed projects and programs must: Provide for authorized activities to benefit one or more of the 391 units of the National Park System; Contribute toward at least one of the five centennial overarching goals as stated in The Future of America's National Parks; Be consistent with all Federal, Department of the Interior, and the National Park Service (NPS) management policies; and park planning, compliance, and acquisition/assistance law, regulation and policy; Require little or not additional recurring NPS operating funds to be sustainable; Have a partner(s) willing to contribute at least 50% of the project cost in cash from non-Federal sources as evidenced by a letter of commitment from the partner(s); Are for projects that support specific performance goals. Priority will be given to those identified in the centennial report, such as: address a critical, high priority need of the NPS, have a ready, willing and able partner, improve the efficiency and effectiveness of park management, operations, and employees, imaginative, innovative and collaborative in meeting centennial goals, benefit multiple parks or contribute to national initiatives, produce measurable results, and consistent with Federal assistance regulations and laws.

## 15.407 KEWEENAW NATIONAL HISTORICAL PARK (NHP) AND KEWEENAW NHP ADVISORY COMMISSION PARTNER ENHANCEMENT GRANTS

(Keweenaw Heritage Grants)

### FEDERAL AGENCY:

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Keweenaw NHP's Enabling Legislation: 16 U.S.C. 410: 410-6. Cooperative Agreements: The Secretary, after consultation with the Commission, may enter into cooperative agreements with owners of property within the park of nationally significant historic or other cultural resources in order to provide for interpretive exhibits or programs; 410-7(a). Financial and Technical Assistance: The Secretary may provide to any owner of property within the park containing nationally significant historic or cultural resources, in accordance with cooperative agreements or grant agreements, as appropriate, such financial and technical assistance to mark, interpret, and restore non-Federal properties within the park as the Secretary determines appropriate to carry out the purposes of this subchapter; and 410-8(a)(7). Keweenaw NHP Advisory Commission. Establishment and Duties: The Commission shall be authorized to carry out historical, educational, or cultural programs which encourage or enhance appreciation of the historic resources in the park, surrounding areas, and on the Keweenaw Peninsula. 16 U.S.C. 470a. The National Historic Preservation Act of 1966 and 16 U.S.C. 461. The Historic Sites Act of 1935.

### OBJECTIVES:

Provide funds to enhance partner projects that will mark, interpret, or restore non-Federal properties.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

NPS Grants: Funding is to be used by owners of properties containing nationally significant historic or cultural resources to mark, interpret, and restore non-Federal properties within the park. The National Park Service shall have right of access at reasonable times to public portions of the property related to the enhancement funds for the purpose of conducting visitors through such property and interpreting them to the public. No changes or alterations shall be made in such properties except by mutual agreement between the NPS and the other parties to the grant agreement(s). The availability of discretionary funding is determined by Keweenaw NHP each fiscal year. Keweenaw NHP Advisory Commission Grants: Funding is to be used by owners or operators of properties containing local, state, or nationally significant historic or cultural resources to mark, interpret, and restore properties on the Keweenaw Peninsula. The availability of discretionary funding is determined by Keweenaw NHP Advisory Commission each fiscal year.

### Applicant Eligibility:

For NPS Grants: Owners of properties within the legislated boundaries of Keweenaw National Historical Park containing nationally significant historic or cultural resources. For Keweenaw NHP Advisory Commission Grants: Owners or operators of property containing local, state, or nationally significant historic or cultural resources on the Keweenaw Peninsula.

### Beneficiary Eligibility:

For NPS Grants: Owners of properties within the legislated boundaries of Keweenaw National Historical Park containing nationally significant historic or cultural resources including state and local governments; public and private nonprofit organizations; and individual, partnership, and corporate private property owners. For Keweenaw NHP Advisory Commission Grants: Owners or operators of properties on the Keweenaw Peninsula containing nationally significant historic or cultural resources including state and local governments;

public and private nonprofit organizations; and individual, partnership, and corporate private property owners.

### Credentials/Documentation:

For NPS Grants: Documentation of ownership of the subject property is required of all applicants in the form of a registered deed or presentation of the most recent tax bill. All applicants other than individual property owners are required to cite laws or by-laws that authorize the organization to accept funds. For Keweenaw NHP Advisory Commission Grants: Documentation of ownership of the subject property or, for operators, permission of the property owner as well as documentation of ownership is required of all applicants in the form of a registered deed or presentation of the most recent tax bill. All applicants other than individual property owners are required to cite laws or By-Laws that authorize the organization to accept funds.

### Preapplication Coordination:

Consultation or assistance from the agency regarding this application may be available from the NPS or the Keweenaw NHP Advisory Commission, as appropriate. There are no pre-application requirements. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

For NPS Grants: Eligible applicants will be required to submit a written proposal/application and an Application for Federal Assistance (SF-424) to: Keweenaw NHP, ATTN: Grants Manager, PO Box 471, 25970 Red Jacket Road, Calumet, MI 49913, and will include a project title, property location of requested assistance, project objectives, and a budget proposal for the project reflecting federal and matching funds. For Keweenaw NHP Advisory Commission Grants: Eligible applicants will be required to submit a written proposal/application and an Application for Federal Assistance (SF-424) to: Keweenaw NHP Advisory Commission, ATTN: Grants Manager, PO Box 471, 25970 Red Jacket Road, Calumet, MI 49913, and will include a project title, property location of requested assistance, project objectives, and a budget proposal for the project reflecting federal and matching funds.

### Award Procedure:

Application announcements will be posted utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by a panel of reviewers. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement or Grant Agreement by the Agreements Technical Representative within the time specified on the announcement. Successful applicants must register on the Central Contractor Register (CCR) website at <http://www.ccr.gov> within 15 days of notice of award.

### Deadlines:

Application deadlines will be announced with the announcement of the specific opportunity.

### Range of Approval/Disapproval Time:

Generally, 30 - 90 days.

### Appeals:

None.

### Renewals:

No. Awards will be project-specific or for a specified time period.

### Formula and Matching Requirements:

For NPS Grants: The property owner/organization must be able to provide a cash match in accordance with the prevailing legislation at the time of disbursement. Current legislative match requirements will be posted with the specific grant opportunity. For Keweenaw NHP Advisory Commission Grants: The property owner or operator must be able to provide a match in accordance with the Keweenaw NHP Advisory Commission guidelines for the specific grant opportunity.

### Length and Time Phasing of Assistance:

Assistance is provided on a project-specific basis or within a specified time period. Most projects are completed within months, but may vary depending on complexity and other factors.

### Reports:

Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of Standard Form 270, Request for Advance or Reimbursement; Standard Form 272 Federal Cash Transaction Report; and a quarterly submittal of Standard Form 269 the Financial Status Report as outlined in 2 CFR 215.52. Additionally grant recipients will be required to submit a yearly narrative summary of accomplishments report to the National Park Service at Keweenaw NHP or the Keweenaw NHP Advisory Commission, as appropriate, at the end of each Fiscal Year until the project is completed and a final report is submitted. All projects and activities are monitored for progress and compliance with a mutually agreed upon scope of work.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, non-federal entities that expend financial assistance \$500,000 (for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133. For commercial

organizations, in accordance with the provisions of OMB Circular A-110 (Revised, November 19, 1993; Further Amended September 30, 1999), Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. Audit requirements will be incorporated into the award document.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or Grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

None (variable, depending on the specific grant opportunity).

**Obligations:**

Funds will be obligated within the fiscal year of the award. Nothing in the Agreements will be construed as binding the NPS or the Keweenaw NHP Advisory Commission to expend in any fiscal year any sum in excess of the appropriation made by Congress for purposes of the Agreements in that fiscal year.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

This is a new series of grant programs, with no history to report.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information on Keweenaw NHP grant programs is available at <http://www.nps.gov/kewe/grants>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Baker, Management Assistant, Keweenaw NHP, P.O. Box 471, 25970 Red Jacket Road, Calumet, MI 49913. Phone: (906) 337-1104 ext. 131, Email: [thomas\\_m\\_baker@nps.gov](mailto:thomas_m_baker@nps.gov).

**Web Site Address:**

<http://www.nps.gov/kewe/grants>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None at this time.

**CRITERIA FOR SELECTING PROPOSALS:**

Demonstrate ability of the organization or individual to successfully complete the project. Past performance in Federal Financial Assistance programs. Organization's ability to provide the required match. For NPS grants, ability to provide public access in accordance with Keweenaw NHP's enabling legislation. 16 U.S.C. 410yy-6(1) and 7(1). Other specific project criteria developed for each grant cycle.

## 15.421 ALASKA COASTAL MARINE INSTITUTE

(ALASKA CMI)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, states and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. Outer Continental Shelf Lands Act (OCSLA) Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint

monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Alaska Coastal Marine Institute is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the MMS-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates up to \$750,000 per year for cooperative research at the University of Alaska. The University of Alaska invites proposals that are reviewed by a Technical Steering Committee including the University, State of Alaska, and MMS, and funds individual awards. Applications must be for scientific research projects which are within the MMS' area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, and marine minerals projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

University of Alaska may make application for support by a named principal investigator. Non-UA scientists may participate in collaboration with a UA principal investigator.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental Impact Statements are not required for these projects. Executive Order 12372 does not apply.

**Application Procedure:**

Proposals are requested for mission-relevant research likely to provide needed information for OCS oil and gas resource management decisions. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that 6-12 applications will be received and 6 awards will be granted in FY 2009.

**Deadlines:**

Proposals are due by November 15, 2008.

**Range of Approval/Disapproval Time:**

From 150 to 360 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Recipients share costs on a one-dollar-for-one-dollar contribution across the program. In any fiscal year, the collective CMI match commitment must equal or exceed MMS contributions. On rare occasions exceptions may be considered.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project funded under the cooperative agreement and presentations at a session of the publicly held MMS Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Annual financial reports using OMB Standard Form SF-269 are also required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations",

nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302; 14-8370-0-7-302.

**Obligations:**

(Cooperative Agreements) FY 07 \$500,000; FY 08 \$750,000; FY 09 estimate \$750,000.

**Range and Average of Financial Assistance:**

\$75,000 to \$250,000; \$169,000.

**PROGRAM ACCOMPLISHMENTS:**

The Alaska Coastal Marine Institute currently funds over 30 competitively awarded ongoing extramural research funding commitments. This cutting-edge research has already and will in the future benefit the management of the OCS and increase understanding of the potential impacts of offshore oil and gas activities. Projects are underway to improve understanding of: ocean circulation and physical transport processes and their role in fate and behavior of potential spilled oil in areas offshore Alaska; marine biological resources their health and habitat use; background levels of chemicals that can be associated with oil and gas development activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Kate Wedemeyer, Telephone: 907-334-5278; Fax 907-334-5242; Email address: kate.wedemeyer@mms.gov.

**Headquarters Office:**

James Cimato, Minerals Management Service, 381 Elden Street, MS-4041, Herndon, VA 20170. Telephone: (703) 787-1721; Fax: (703) 787-1053; E-mail address: james.cimato@mms.gov.

**Web Site Address:**

<http://www.mms.gov/eppd/sciences/esp/profiles/partners/cmi/index.htm> and <http://www.sfos.uaf.edu/cmi/>.

**RELATED PROGRAMS:**

15.422, Louisiana State University (LSU) Coastal Marine Institute (CMI); 15.423, Minerals Management Service (MMS) Environmental Studies Program (ESP).

**EXAMPLES OF FUNDED PROJECTS:**

The MMS Alaska Coastal Marine Institute funds studies for better understanding marine, coastal or human environments affected or potentially affected by offshore oil and gas or other mineral exploration and extraction on the outer continental shelf. Recent efforts include field observations, laboratory experiments and modeling studies of environmental, social, economic, or cultural processes related to offshore OCS gas and oil activities.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.422 LOUISIANA STATE UNIVERSITY (LSU) COASTAL MARINE INSTITUTE (CMI)**

(LSU CMI)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, States and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments.

Outer Continental Shelf Lands Act Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Louisiana State University Coastal Marine Institute (CMI) is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the MMS-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates \$1,000,000 for cooperative research via LSU. Applications must be for scientific research projects which are within the MMS area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

To apply for a research award, the recipient is asked to provide the name of the Principal Investigator. If an applicant other than LSU wants to apply, they must do so in collaboration with an LSU research scientist.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental Impact Statements are not required for these projects. Executive Order 12372 does not apply.

**Application Procedure:**

Applicants will be encouraged to post their applications on Grants.gov. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that ten applications will be received and six awards will be granted in FY 2010.

**Deadlines:**

Deadline for proposals is November 18, 2008.

**Range of Approval/Disapproval Time:**

From 180 to 270 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Recipients share costs on a dollar-for-dollar contribution across the program. In any fiscal year, the collective LSU CMI match commitment must equal or exceed MMS contributions.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project funded under the cooperative agreement and presentations at a session of the publicly held MMS Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Annual financial



reports using OMB Standard Form SF-269 are also required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302; 14-8370-0-7-302.

**Obligations:**

(Cooperative Agreements)FY 07 \$1,400,000; FY 08 est \$1,000,000; and FY 09 est \$1,000,000.

**Range and Average of Financial Assistance:**

\$32,000 to \$500,000; \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

The Louisiana State University Coastal Marine Institute currently funds over 50 competitively awarded ongoing research awards. This cutting-edge research has already and will in the future benefit the management of the OCS, and increase understanding of the potential impacts of offshore oil and gas activities. Projects are underway to improve understanding of: ocean circulation and physical transport processes and their role in the fate and behavior of potential spilled oil in Gulf of Mexico; marine biological resources - their health and habitat use; and background levels of chemicals that can be associated with oil and gas development activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M Studies. Quarterly reports are available at <http://cmi.lsu.edu/reports.asp>. Final reports are available online in the Minerals Management Service Environmental Studies Program Information System at: <http://www.gomr.mms.gov/homepg/espis/espisfront.asp>.

**Regional or Local Office:**

Deborah Epperson, Telephone: 504-736-3257; Fax: 504-736-2901; E-mail: [Deborah.Epperson@mms.gov](mailto:Deborah.Epperson@mms.gov).

**Headquarters Office:**

James Cimato, Minerals Management Service, 381 Elden Street, MS-4041, Herndon, VA 20170; Telephone: 703-787-1721; Fax: (703) 787-1053; E-mail: [james.cimato@mms.gov](mailto:james.cimato@mms.gov).

**Web Site Address:**

<http://www.mms.gov/eppd/sciences/esp/profiles/partners/cmi/index.htm>.

**RELATED PROGRAMS:**

15.421, Alaska Coastal Marine Institute; 15.423, Minerals Management Service (MMS) Environmental Studies Program (ESP).

**EXAMPLES OF FUNDED PROJECTS:**

The MMS LSU Coastal Marine Institute funds studies for better understanding marine, coastal or human environments affected or potentially affected by offshore oil and gas or other mineral exploration and extraction on the outer continental shelf. Recent efforts include field observations, laboratory experiments and modeling studies of environmental, social, economic, or cultural processes related to offshore OCS gas and oil activities.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.423 MINERALS MANAGEMENT SERVICE (MMS) ENVIRONMENTAL STUDIES PROGRAM (ESP)**

(ESP)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, states and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS

continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. The Outer Continental Shelf Lands Act (OCSLA) Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Environmental Studies Program is to obtain the information needed for the assessment and the management of environmental impacts; to predict impacts on marine biota; and to monitor the human, marine, and coastal environments to provide time series and data trend information.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The assistance can be used to conduct environmental research to satisfy the information needs associated with oil and gas, alternate energy and marine mineral development on the outer continental shelf. Applications must be for scientific research projects which are within the MMS' area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

State agencies and public universities may apply. More than one institution may collaborate in the preparation of an application for assistance.

**Beneficiary Eligibility:**

Research scientists, Federal, state and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicant's qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental Impact Statements are not required for these projects. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Applicants should consult the office or official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance.

**Application Procedure:**

Applicants are encouraged to post their applications on [www.grants.gov](http://www.grants.gov). The standard SF-424 application forms required by OMB Circular A-102, 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subparts C and F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that five applications will be received and five cooperative agreement awards will be granted in FY 2009.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 90 - 270 days.

**Appeals:**

None.

**Renewals:**

Renewals can be made through submission and approval of a project agreement.

**Formula and Matching Requirements:**

No statutory requirements. Cost sharing of 1:1 is encouraged.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 8 years, with funding awarded as a lump sum, or added as funds become available.

**Reports:**

Quarterly progress reports; a presentation at periodic MMS Information Transfer Meetings; a draft final, proof copy, and final report; draft and final technical

summary; articles based on the research published in journals, and presentation slides are required. Dissemination of the research results at professional society meetings and symposia is encouraged. Annual financial reports using OMB Standard Form SF-269 are also required.

**Audits:**

Audit requirements are in accordance with relevant OMB regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302; 14-8370-0-7-302.

**Obligations:**

(Cooperative Agreements) FY 08 est \$1,000,000; FY 09 est \$1,500,000; and FY 10 est \$1,000,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$700,000; \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

The Environmental Studies Program currently funds more than a dozen ongoing research cooperative agreements. This cutting-edge research has already and will in the future benefit the public through an increase in understanding the potential impacts of offshore oil and gas and marine mineral and alternative energy activities on the marine environment. Some of the projects underway to improve understanding include: the physical and biological characteristics of offshore borrow areas for sand and gravel for beach and coastal restoration; the reproductive ecology and health of fish assemblages at oil and gas platforms; ecology and health of intertidal communities in proximity to oil and gas production; and the behavior of sperm whales in response to seismic industry activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M-Studies. Final reports are available at online in the Minerals Management Service Environmental Studies Program Information System at: <http://www.gomr.mms.gov/homepg/espis/espisfront.asp>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

James Cimato, Minerals Management Service, 381 Elden Street, MS-4041, Herndon, VA 20170; Telephone: (703) 787-1721; Fax: (703) 787-1053; E-mail address: [james.cimato@mms.gov](mailto:james.cimato@mms.gov).

**Web Site Address:**

<http://www.mms.gov/eppd/sciences/esp/index.htm>

**RELATED PROGRAMS:**

15.421, Alaska Coastal Marine Institute; 15.422, Louisiana State University (LSU) Coastal Marine Institute (CMI).

**EXAMPLES OF FUNDED PROJECTS:**

The MMS ESP funds studies for better understanding of the marine, coastal or human environments affected or potentially affected by offshore oil and gas or other mineral exploration and extraction on the outer continental shelf. Recent efforts include field observations, laboratory experiments and modeling studies of environmental, social, economic, or cultural processes related to offshore OCS gas and oil and marine mineral extraction activities.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

## 15.424 MARINE MINERALS ACTIVITIES

(Marine Minerals Activities)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331.

**OBJECTIVES:**

To evaluate OCS sand deposits for coastal restoration and beach nourishment needs, and to foster good working relationships regarding OCS mineral issues with coastal States.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The funds must be spent for OCS sand activities and not inside State waters. These cooperative agreements are awarded to assist States in order to find sand supplies for beach nourishment projects.

**Applicant Eligibility:**

Proposals are received from coastal States in need of coastal restoration.

**Beneficiary Eligibility:**

State agencies and organizations participating in the project, as well as the general public.

**Credentials/Documentation:**

States submit proposals to the MMS which furnish evidence of the applicant's qualifications for performance of the proposed research.

**Preadmission Coordination:**

Applicants attend a workshop held by MMS, and define their requirements for the upcoming year. At this time the applicants and the MMS decide which projects will be funded for the upcoming year. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Applicants should consult the office of official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance.

**Application Procedure:**

This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The standard SF-424 application forms must be used for this program. Applicants will be asked to submit their proposals electronically through Grants.gov.

**Award Procedure:**

An internal MMS review of the State's proposal is conducted including convening a panel to discuss the proposals and making the final decision on the funding for the project. A notification of a cooperative agreement award is issued so the project can begin.

**Deadlines:**

November of each year or as soon as the MMS is given funding.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not applicable.

**Renewals:**

Projects that were approved and funded during the previous fiscal year may be submitted as renewals for subsequent years.

**Formula and Matching Requirements:**

The Leasing Division Marine Minerals Activities encourages a 1-to-1 match of each Federal dollar with a nonfederal dollar.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods.

**Reports:**

Annual and final technical and financial reports using the OMB SF-269 form are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-5003-0-2-999.

**Obligations:**

FY 07 \$750,000; FY 08 est \$1,280,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$30,000 to \$760,000.

**PROGRAM ACCOMPLISHMENTS:**

Sand resources identified and evaluated by this program have been used in 3 beach nourishment projects in the State of Maryland, 5 projects in Virginia, 1 in North Carolina, 4 in South Carolina, 8 in Florida, and 3 in Louisiana.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations include the OCS Lands Act, Endangered Species Act, the National Environmental Policy Act (NEPA) of 1969, and the Coastal Zone Management Act.

**Regional or Local Office:**

New Orleans Office: MMS, GOM OCS Region, 1201 Elmwood Park Blvd., New Orleans, LA 70123-2394; Pacific Office: MMS, 770 Paseo Camarillo, 2nd Floor, Camarillo, CA 93010.

**Headquarters Office:**

MMS, 381 Elden Street, MS-4021, Herndon, VA 20170.

**Web Site Address:**

<http://www.mms.gov/sandandgravel>.

**RELATED PROGRAMS:**

15.423, Minerals Management Service (MMS) Environmental Studies Program (ESP).

**EXAMPLES OF FUNDED PROJECTS:**

Offshore Cooperative Sand Programs with the following States: Delaware, New Jersey, Massachusetts, New Hampshire, Maine, Maryland, Virginia, North Carolina, South Carolina, Florida, Alabama, Louisiana, Texas, and California. Studies were funded in support of the Hurricane Katrina and Rita Relief efforts in Alabama, Mississippi, Louisiana, and Texas.

**CRITERIA FOR SELECTING PROPOSALS:**

Cost of the project is the most important criteria followed by relevance to State and Federal needs, and technical ability of the State agency.

## 15.425 OFFSHORE RESEARCH TECHNOLOGY CENTER (OTRC) TEXAS ENGINEERING EXPERIMENT STATION (TEES)

(OTRC, TEES)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

43 U.S.C. 1331-1356, Outer Continental Shelf Lands Act.

**OBJECTIVES:**

The MMS, as authorized by the Outer Continental Shelf Lands Act (OCSLA) (43 U.S.C. 1331-1356), is responsible for ensuring that any oil and gas activities located on the OCS conserve resources, operate safely, and protect the coastal and marine environment. The Technology Assessment and Research Program (TA&R) is a research element encompassed by the MMS Regulatory Program. The TA&R Program supports research associated with operational safety and pollution prevention as well as oil spill response and cleanup capabilities. The TA&R Program was established in the 1970's to ensure that industry operations on the Outer Continental Shelf incorporated the use of the Best Available and Safest Technologies (BAST) subsequently required through the 1978 OCSLA amendments. Congress provides TA&R funding to be used by OTRC in order to perform research through the MMS.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

University of Texas and Texas A&M, otherwise known as the Texas Engineering Experiment Station (TEES).

**Applicant Eligibility:**

The TEES is qualified to receive funding through this cooperative agreement program.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public.

**Credentials/Documentation:**

Evidence of the applicant's qualifications for performance of the proposed research including resumes, and lists of past projects. This includes resumes and lists of past projects. No environmental impact statement required. Executive Order 12372 applies.

**Preapplication Coordination:**

The OTRC must submit ideas and proposals to the MMS. The OTRC consists of the researchers and other faculty from the University of Texas and Texas A&M. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Applicants should consult the office or official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance.

**Application Procedure:**

The OTRC submits proposals to the MMS in order to determine the benefits to the offshore oil and gas operations in a safe and environmentally responsible manner in order to benefit the industry and the public. The MMS determines which proposals will be the most beneficial to the industry and to the public. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Notification of an award is issued by the MMS.

**Deadlines:**

Deadline for proposals will be on or around December 12 of each year.

**Range of Approval/Disapproval Time:**

From 90 days to 180 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

No statutory requirement.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month yearly intervals for a total of 60 months.

**Reports:**

Annual and final technical and financial reports using the OMB Standard Form SF-269 are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

083E4029AAS.

**Obligations:**

(Cooperative Agreements) FY 07 \$400,000; FY 08 est \$400,000; and FY 09 est \$400,000.

**Range and Average of Financial Assistance:**

\$20,000 to \$200,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

The MMS has funded OTRC projects to conduct research and assessment studies to promote the development of deep water oil and gas resources in a safe and environmentally sound manner, and to facilitate the development of emerging technologies for the efficient and pollution-free development of deepwater oil and gas resources.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Alaska Office MMS 3801 Centerpoint Drive, Suite 500, Anchorage, AK., 99503-5820; New Orleans Office MMS GOM OCS Region, 1201 Elmwood Park Blvd., New Orleans, LA., 70123-2394; Pacific Office MMS 770 Paseo Camarillo, 2nd Floor, Camarillo, CA., 93010.

**Headquarters Office:**

MMS 381 Elden Street, MS-4021, Herndon, VA., 20170.

**Web Site Address:**

<http://www.mms.gov/tarphone>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Research on Suction Caissons and Vertically Loaded Anchors; Deep Sea Furrows; and Seafloor Interaction with Steel Catenary Risers.

## 15.426 COASTAL IMPACT ASSISTANCE PROGRAM (CIAP)

(CIAP)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE (MMS), DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, as amended; 31 U.S.C. 6301-6305.

**OBJECTIVES:**

The intent of the program is to disburse funding to eligible producing states and coastal political subdivisions for the purpose of conservation, protection, or restoration of coastal areas including wetlands; mitigation of damage to fish, wildlife, or natural resources; planning assistance and the administrative costs of complying with these objectives; implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Can only be used to directly benefit an authorized use to conserve, restore, enhance, and protect renewable natural resources. Funding cannot be used for projects that would not provide a direct benefit, including but not limited to, supporting litigation or to fund publicity or lobbying efforts for purposes of influencing or attempting to influence a member of the U.S. Congress or an agency of the Federal government.

**Applicant Eligibility:**

States eligible to receive funding are: Alabama, Alaska, California, Louisiana, Mississippi, and Texas and 67 coastal political subdivisions among the six



states.

**Beneficiary Eligibility:**

The producing coastal states, their eligible coastal political subdivisions, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Applicants must provide documentation that they have met state and local permitting requirements.

**Preapplication Coordination:**

Prior to submitting any grant applications an eligible state must submit to MMS, for approval, a State Plan that provides detail on how a State and its Coastal Political Subdivisions (CPS) will use the CIAP funds and implement the state plan. To assist the States in developing a plan the MMS issued final Coastal Impact Assistance Program Guidelines, and published a Notice of Availability in the Federal Register, September 29, 2006. Coastal Political Subdivisions and State are required by the Act to work together to develop their Plan. The plan should contain prescribed components from Section 384 of the amended OCS Lands Act, which includes an implementation program representing both parties' interests. The State point of contact submits the Plan to the MMS for approval. The MMS will determine within 20 calendar days after receipt of a Plan or Plan amendment whether additional information is needed. If no deficiencies are identified and the required number of copies has been received, the Plan or amendment will be deemed complete. Once a Plan or amendment is determined complete, MMS will have 90 calendar days to notify the State in writing that the Plan or amendment is approved, disapproved, or remains under review (in which case the Plan or amendment is neither approved nor disapproved). If MMS fails to provide such written notice to the State, the Plan or amendment is deemed to be disapproved. If MMS notifies the State that the Plan or amendment remains under review, MMS will also provide the State with an estimate of the amount of additional time necessary to complete its review. If a Plan or amendment is disapproved, the State may revise and resubmit it. The MMS will then have 20 calendar days to determine completeness; once MMS determines that the revised Plan or amendment is complete, MMS will then have 90 calendar days to approve or disapprove the revised Plan or amendment. On April 16, 2007 MMS released the recipient allotment amounts that will be eligible to spend in 2007 and 2008. The States and CPSs will use this information to develop grant project applications with detailed descriptions of their individual projects, including detailed breakdowns of costs. The recipients will provide in each application the current status of Federal, State and local permits required for the project. A completed grant project application is to be submitted electronically through Grants.gov. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Specific projects submitted to the MMS for funding are subject to the Department of the Interior Regulations at 43 CFR Part 12, Subparts C and E, or any subsequent revisions. The OMB SF-424 application forms must be used for this program. Applications are submitted electronically through Grants.gov.

**Award Procedure:**

The MMS provides a notice of award to the recipient.

**Deadlines:**

A Plan or acknowledgement of good intent to provide a Plan must be submitted no later than July 1, 2009.

**Range of Approval/Disapproval Time:**

MMS will have 90 days or as time is needed to approve or disapprove State Plans. No time limit is established for review of projects.

**Appeals:**

Applicants can appeal disapproval of Plans or project applications no later than December 2010.

**Renewals:**

Proposals are submitted for a project period. Projects that were approved and funded during the previous project period may be submitted as renewals for subsequent project periods.

**Formula and Matching Requirements:**

In accordance with the language of the Act no State will receive less than 1 percent of the \$250 million to be disbursed per year. Of the percentage received by a State, 65 percent remains with the State, and 35 percent is awarded to the coastal political subdivisions (CPS).

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12-month budget periods.

**Reports:**

Annual and final technical and financial reports (using the SF-269) are required.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-5572-0-2-306.

**Obligations:**

FY 07 \$250,000,000; FY 08 \$250,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

This program begins in Fiscal Year 2007. There are no program accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

[www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf](http://www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf).

**Regional or Local Office:**

Alaska: MMS Regional CIAP Representative, Minerals Management Service, OCS Region, 3801 Centerpoint Drive, Suite 500, Anchorage, Alaska 99503; Alabama, Louisiana, Mississippi, and Texas: MMS Regional CIAP Representative, Minerals Management Service, Gulf of Mexico OCS Region, 1201 Elmwood Park Boulevard, MS 5400, New Orleans, Louisiana 70123; California: MMS Regional CIAP Representative, Minerals Management Service, Pacific OCS Region, 770 Paseo Camarillo, Camarillo, California 93010

**Headquarters Office:**

National CIAP Coordinator, 381 Elden Street, MS 4040, Herndon, Virginia 20170.

**Web Site Address:**

[www.mms.gov/offshore/CIAPmain.htm](http://www.mms.gov/offshore/CIAPmain.htm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A Coastal Impact Assistance Program is managed by the National Oceanic and Atmospheric Administration. It was a one-year (2001) disbursement of \$150 million to 7 states and 147 coastal political subdivisions. It was enacted with language similar to that guiding the CIAP presently under MMS direction. "Bayou Lamoque Floodgate Removal," Remove existing floodgates from a freshwater introduction structure to allow for the unimpeded flow of water from the Mississippi River into Bayou Lamoque and the surrounding marshes. This will create approximately 620 acres of new marsh over 20 years providing the coastline needed buffering and reduction in coastline erosion.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for approving proposals are identified in the Coastal Impact Assistance Program Guidelines located at: <http://www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf> and the program announcement found on Grants.gov.

## 15.427 FEDERAL OIL AND GAS ROYALTY MANAGEMENT

(FOGRMA)

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Oil and Gas Royalty Management Act of 1982, Public Law 97-451, as amended.

**OBJECTIVES:**

To ensure that all oil, gas, and solid minerals originated on the public lands and on the Outer Continental Shelf are properly accounted for under the direction of the Secretary of the Interior, and for other purposes.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All projects are restricted to State and Tribal Governments. No discretionary funds are available under this program.

**Applicant Eligibility:**

State and Tribal Governments as specified in Title II of the Federal Oil and Gas Royalty Management Act of 1982, as amended.

**Beneficiary Eligibility:**

States and Federally recognized Tribal Governments that receive funds collected as a result of the compliance activities on Federal and Indian mineral leases.

**Credentials/Documentation:**

Must follow 30 CFR Parts 200 to 699 Mineral Resources, General Accountability Offices (GAO) Generally Accepted Government Audit Standards (Yellowbook), and Minerals Management Service Audit and Compliance Procedures.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point-of-contact in his or her State for more information

on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

For grants awarded, the standard application forms furnished by the Federal agency as required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" will apply. Also, reference the procedures outlined in 30 CFR 227.103 entitled, "What must a States delegation proposal contain?" For Indian tribes reference the procedures outlined in 30 CFR 228.100 entitled, "Entering into an Agreement."

**Award Procedure:**

Projects are reviewed at the Minerals Management Service (MMS) Minerals Revenue Management (MRM) Program level, and funding recommendations are made through each State and Tribe's annual work plan. Final budget approvals rest with the MMS/MRM Associate Directors Washington Office.

**Deadlines:**

For recipients on the Federal fiscal year cycle, applications are due on July 1st of each year. For recipients operating on an alternate fiscal year, applications are due 90 days prior to award.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires 90 days to receive funding.

**Appeals:**

None.

**Renewals:**

For State agreements, 30 CFR 227.110 entitled, When and for how long are delegation agreements effective? For Tribal agreements, 30 CFR 228.101 entitled, Terms of Agreement.

**Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, projects are funded on a year to year basis, and funds are expended during a particular fiscal year. Funding is released either monthly or quarterly through the fiscal year.

**Reports:**

Performance monitoring schedules and/or progress reports are required quarterly. Financial status reports are required at the end of the yearly performance period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations, Nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 07 \$9,490,000; FY 08 \$10,180,000; and FY 09 est \$10,480,000.

**Range and Average of Financial Assistance:**

\$70,000 to \$2,100,000; \$536,000.

**PROGRAM ACCOMPLISHMENTS:**

State and Tribal compliance activities contributed to meeting Government Performance and Results Act (GPRA) goals for the MMS. For fiscal year 2008, 18 applications were received and awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MMS's cooperative (tribal) and delegated (State) audit program is basically guided by the provisions in 30 CFR Parts 227, 228, and 229. States and Tribes use the guidance contained in the GAO Yellowbook and two MMS procedural manuals for audits and compliance activities.

**Regional or Local Office:**

Mr. Patrick Milano, P.O. Box 25165, Mail Stop 390B2, Denver, CO 80225-0165. Telephone: (303) 231-3124, fax (303) 231-3473, email: patrick.milano@mms.gov.

**Headquarters Office:**

Associate Director for Minerals Revenue Management, Minerals Management Service, 1849 C St., NW., Mail Stop 4230, Washington, DC 20240. Telephone: (202) 208-3500.

**Web Site Address:**

<http://www.mms.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative agreements with States and Tribes to conduct audits, investigations and inspections related to mineral payments made to the MMS which are attributable to leased Federal and Indian lands within State and Tribal boundaries and on the Outer Continental Shelf.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on a balanced review including relevance to program objectives, merit, and cost effectiveness.

**15.428 MARINE GAS HYDRATE RESEARCH ACTIVITIES**

**FEDERAL AGENCY:**

MINERALS MANAGEMENT SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331, Gas Hydrates Research Act and the Marine Minerals Research Act.

**OBJECTIVES:**

To characterize and monitor gas hydrate deposits on OCS Block MC-118 in the Gulf of Mexico.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The funds must be used for gas hydrate research activities in the OCS of the Gulf of Mexico, specifically for a permanent gas hydrates monitoring station in Block MC-118. The cooperative agreements are awarded to the Center for Marine Resources and Environmental Technology (CMRET) and the Gulf of Mexico Gas Hydrates Research Consortium (GOMGHRC), based at the University of Mississippi.

**Applicant Eligibility:**

Proposals are received from the CMRET (and qualified subcontractors through CMRET) for research and scientific sensory equipment for the monitoring station. Applicants must have expertise in marine gas hydrates.

**Beneficiary Eligibility:**

Organizations participating in the project, as well as the general public.

**Credentials/Documentation:**

Technical Proposals are submitted to the MMS which furnish evidence of the applicant's qualifications for performance of the proposed research.

**Preapplication Coordination:**

Applicants attended workshops and general meetings of the Gulf of Mexico Gas Hydrates Research Consortium held by the CMRET at the University of Mississippi. Research requirements were developed at those meetings for the upcoming year. At that time the applicants and the MMS decided which projects will be funded for the upcoming year. E.O. 12372 applies to this program.

**Application Procedure:**

This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The standard SF-424 application forms must be used for this program. Applicants will be asked to submit their proposals electronically through Grants.gov.

**Award Procedure:**

An internal MMS review of the proposals is conducted including convening a panel to discuss the proposals and making the final decision on the funding for the project. A notification of a cooperative agreement award is issued so the project can begin.

**Deadlines:**

June of each year, as long as the MMS has received specific funding for this program.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not applicable.

**Renewals:**

Projects that were approved and funded during the previous fiscal year may be submitted as renewals for subsequent years.

**Formula and Matching Requirements:**

The MMS Gas hydrates Research Program encourages matched contributions from other interested Federal agencies.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods.

**Reports:**

Annual and final technical and financial reports using the OMB SF-269 form are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

FY 07 \$0; FY 08 est \$850,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$0 to \$850,000.

**PROGRAM ACCOMPLISHMENTS:**

To date, about 2/3 of the components of the monitoring station have been placed at the site and data are being retrieved. The site has also been extensively surveyed and sampled.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations include the OCS Lands Act, Gas Hydrates Research Act, and the Marine Minerals Research Act (1996).

**Regional or Local Office:**

New Orleans Office: MMS, GOM OCS Region, 1201 Elmwood Park Blvd., New Orleans, LA 70123-2394.

**Headquarters Office:**

MMS, 381 Elden Street, MS-4010, Herndon, VA 20170.

**Web Site Address:**

<http://www.mms.gov/offshore/gashydrates.htm> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Research work and the development and placement of sensory components for the gas hydrates monitoring station at Block MC-118 was funded by the MMS in 2001-2006.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 15.504 WATER RECLAMATION AND REUSE PROGRAM

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Reclamation Wastewater and Groundwater Study and Facilities Act, Title XVI, Public Law 102-575, as amended; Reclamation Recycling and Water Conservation Act of 1996, Public Law 104-266; Oregon Public Lands Transfer and Protection Act of 1998, Public Law 105-321; Consolidated Appropriation Act of 2000, Public Law 106-544; Hawaii Water Resources Act of 2000, Public Law 106-566; Lakehaven Utilities District, WA, Project, 2002, Public Law 107-344; Consolidated Appropriations Resolution, 2003, Public Law 108-7; San Diego Creek Watershed, CA, Project, 2004, Public Law 108-233; Williamson County, TX, Project, Public Law 108-316; Hawaii Water Resources Act of 2005, Public Law 109-70.

**OBJECTIVES:**

This Title gives Reclamation general authority to conduct appraisal and feasibility studies on water reclamation and reuse projects. It also provides general authority for research and demonstration programs to test water reclamation and reuse technologies. Reclamation may also participate in construction of reuse projects after congressional authorization of the project. The original Act provided authority to participate in the design and construction of five specific projects in California and Arizona. The 1996 Act authorized 16 additional recycling projects and 2 desalination demonstration projects. Subsequent amendments to Title XVI and other individual acts authorized nine additional construction projects.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Reclamation is restricted by law to activities in the 17 Western States, unless otherwise authorized by Congress, as was done by Public Law 106-566, which extended Reclamation's authority to conduct Title XVI investigations to include Hawaii. The nonfederal sponsor must complete a feasibility study, including NEPA (National Environmental Policy Act) compliance, complete a cost-share agreement with Reclamation, and furnish a statement of financial capability of the project sponsor to fund the nonfederal share to Reclamation prior to receiving construction appropriations from Congress for the Federal cost share. Operation and Maintenance (O&M) costs for the constructed project must be furnished by the nonfederal sponsor. Federal contributions for demonstration projects that exceed 25 percent of the cost cannot be made unless the Secretary (of the Interior) determines that the project is not feasible without such Federal contribution. Although the Act provides that Reclamation may furnish up to 50 percent of O&M costs for demonstration projects, it is Reclamation policy not to provide funds for this purpose.

**Applicant Eligibility:**

A legally organized nonfederal entity to sponsor the project is required, such as an irrigation district or a municipality. The applicant must be able to furnish the nonfederal cost share and be able to assume the operation and maintenance of the project upon completion of construction. Research projects may also be

undertaken by colleges and universities and architectural and engineering firms.

**Beneficiary Eligibility:**

A legally organized nonfederal entity such as an irrigation district or an organization within a municipality, such as the water department.

**Credentials/Documentation:**

A feasibility report must be completed, either by the nonfederal sponsor alone or with the assistance of the Federal government. A statement of financial capability by the nonfederal sponsor must be provided to Reclamation. This statement demonstrates the capability of the sponsor to fund its portion of the feasibility report, its share of construction costs, and the ability to fund and assume responsibility for the operation and maintenance of the completed project. A cost-share agreement must be completed with Reclamation before funds can be requested for appropriation for construction.

**Preapplication Coordination:**

An environmental impact assessment or environmental impact statement may be required. This program is excluded from coverage under E.O. 12372. It is recommended nonfederal entities contact the appropriate Reclamation office to discuss the processes and procedures for participation.

**Application Procedure:**

Discretionary funding opportunities will be posted on Grants.gov. The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subparts C and F, must be used for this program. The required documents must be furnished to Reclamation prior to authorization for construction. Upon satisfactory completion of these documents, Reclamation may seek authorization for the project and initiate appropriation requests. Reclamation has limited funding authority for this program, therefore requests for project construction authority may be delayed until a funding request can be made that is within the authorized limit.

**Award Procedure:**

After funds are appropriated, Reclamation will complete the necessary paperwork to transfer funds.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Authorization of a project and appropriation of funds for its construction are dictated by the schedule of Congress with respect to appropriating funds. Because of the limitation on the ability of Reclamation to request funding for this program, delay can be anticipated in requesting funds for construction. Depending on the number of requests for funding, this delay could be several years.

**Appeals:**

None.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete a project is at the discretion of the Congress.

**Formula and Matching Requirements:**

Appraisal level studies are nonreimbursable, that is, if the Federal government either completes or participates in an appraisal study, its funding requirements are nonreimbursable. Reclamation can cost share up to 50 percent of the cost of a feasibility study with the nonfederal sponsor supplying the balance. Environmental compliance costs are considered to be part of the planning costs and are cost shared accordingly. If the project proceeds to construction, the Federal share of planning becomes part of the total project cost. Reclamation may furnish up to 25 percent of the total project cost up to a maximum of \$20 million per project. The balance of the construction cost must be furnished by the nonfederal sponsor. The entire O&M cost for the project must be borne by the nonfederal sponsor. Ownership of the completed facilities is with the sponsor.

**Length and Time Phasing of Assistance:**

There are no time restrictions placed on the use of the funds and the funds have generally been made available periodically throughout the year on a reimbursable basis. A schedule is planned between Reclamation and the recipient when the cost share agreement is arranged. However, this schedule can be impacted by funds availability during the year.

**Reports:**

Reporting requirements are as prescribed by 43 CFR 12, Subparts C and F, as applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The required records will be specified as part of the audit procedure discussed above.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**



FY 07 \$10,100,000; FY 08 est \$9,780,000; FY 09 est \$9,780,000.

**Range and Average of Financial Assistance:**

Construction funding is limited to 25 percent of the total project cost or \$20 million per project, which ever is less.

**PROGRAM ACCOMPLISHMENTS:**

The Arsenic Wellhead Demonstration Project in Albuquerque, NM has been completed, and the Mission Basin Brackish Groundwater Desalting Demonstration Project in Oceanside, CA should be completed in 2006. Construction projects in El Paso, TX, and San Diego, San Gabriel, Watsonville and San Jose, CA, and Albuquerque, NM are progressing. The Long Beach (CA) Desalination Research and Development Project is in the pilot development stage. The comprehensive studies for Southern California and the San Francisco Bay area have been completed. Feasibility studies in Phoenix and Tucson, AZ, Santa Fe, NM, Pasadena and Desert Hot Springs, CA, and Austin and Williamson County TX, are underway. In addition, four new construction projects in southern California were initiated in 2000. They are the North San Diego County Area Water Recycling Project, the Orange County Regional Water Reclamation Project (Phase 1), the Calleguas Municipal Water District Recycling Project, and the Long Beach Area Water Reclamation and Reuse Project.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Brochure containing guidelines for nonfederal sponsors to participate in program. No charge.

**Regional or Local Office:**

Regional Director, Bureau of Reclamation. For addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Office of the Commissioner, Bureau of Reclamation, P.O. Box 25007, D-5000, Denver Federal Center, Denver, CO 80225. Contact: Richard A. Martin. Telephone: (303) 445-3710. E-mail: rmartin@do.usbr.gov.

**Web Site Address:**

<http://www.usbr.gov/pmts/writing/guidelines/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

San Diego Area Water Reclamation Program, CA; San Gabriel Basin Project, CA; Los Angeles Area Water Reclamation and Reuse Project, CA; San Jose Area Water Reclamation and Reuse Program, CA; Watsonville Area Water Recycling Project, CA; Tooele Wastewater Treatment and Reuse Project, UT; Southern Nevada Water Recycling Project, NV; City of North Las Vegas Water Reuse Project, NV; Phoenix Metropolitan Water Reclamation and Reuse Project, AZ; Albuquerque Metropolitan Area Water Reclamation and Reuse Project, NM; and Northwest El Paso Water Reclamation and Reuse Project, TX.

**CRITERIA FOR SELECTING PROPOSALS:**

Reclamation will place priority on funding projects that are economically justified and environmentally acceptable in a watershed context, not eligible for funding under another Federal program, and that directly address Administration priorities for the Reclamation program, such as providing instream flows for Federally endangered or threatened species, meeting the needs of Native American communities, and meeting international commitments.

## 15.506 WATER DESALINATION RESEARCH AND DEVELOPMENT PROGRAM

(Desal R&D Program)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Water Desalination Act of 1996, Public Law 104-298, 42 U.S.C. 10301.

**OBJECTIVES:**

The Water Desalination Act of 1996 is based on the fundamental need in the United States and world-wide for additional sources of high quality water. Therefore, the primary objective of the program is to develop more cost-effective, technologically efficient, and implementable methods by which usable water can be produced from saline water or water otherwise impaired or contaminated. The two principal parts of the program are: (1) perform research on desalination technologies and related issues to advance the state of the art forward (research and studies), and (2) conduct development and demonstration activities to test technological advancements, confirm economics, and gain public acceptance (development projects).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To be used to support research and studies, demonstration and development projects and related activities, as described in the Act.

**Applicant Eligibility:**

Any responsible source, to include individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit

organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations may submit a proposal which will be considered by Reclamation. Foreign entities, other than United States-Mexico binational research foundations and inter-university research programs established by the two countries, are not eligible for funding under the Act. Federal agencies are not eligible to apply.

**Beneficiary Eligibility:**

Individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and United States-Mexico binational research foundations and inter-university research programs established by the two countries.

**Credentials/Documentation:**

(1) A detailed written technical proposal including the current status of the technology supporting the proposed research, technical approach proposed to accomplish the work, a scope of work which separates the work into major tasks, applicability to local and/or national water problems, type of personnel participating in the research, type and location of facilities and equipment that will be utilized by the project applicant, experience in this type of research, the environmental impact of the research, an estimate of the costs and/or cost savings (\$/1000 gal) and economic benefit of the technology, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task.

**Preapplication Coordination:**

On an annual basis, a pre-proposal solicitation announcement is issued by Reclamation. Submission of a pre-proposal is not mandatory; however, offerors are strongly encouraged to do so in order to receive the benefit of the initial pre-proposal screening process and thereby eliminate the possibility of submitting a full proposal that would not be considered for award. The pre-proposal application limits the description of a proposed project to six pages. The project description must address each of the following areas: (1) Description of the project objective(s). (2) Description of the approach to be taken to meet the project objectives. (3) Description of the relevance of the project to the Program objectives and specific research Task area. (4) Estimate of the costs and/or cost savings (\$/1000 gal) and economic benefits of the technology. (5) Anticipated funding partners, if any. Applicants must submit an SF-424 with their pre-proposal. Questions regarding the pre-proposal process should be directed to the Grants and Cooperative Agreements Officer identified in the pre-proposal solicitation package. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A full proposal solicitation package is issued annually by Reclamation. There will be a general solicitation and one for pilot plants or a demonstration project in FY02. Submission of full technical and cost proposals in accordance with the instructions stated in the solicitation document is mandatory. Additionally, applicants must submit all applicable SF-424 forms and a DI-2010 form which will be included in the solicitation document.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the annual solicitation are reviewed on the basis of a competitive, merit- review process, and are rated in accordance with evaluation criteria stated in the solicitation document. Reclamation will make awards for the highest rated proposals based on the amount of funding available each year. Reclamation reserves the right to make awards to maintain balance among the program objectives listed in the solicitation document.

**Deadlines:**

Contact Reclamation for solicitation and proposal dates and deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

Not applicable. Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of the Congress. Yearly solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration.

**Formula and Matching Requirements:**

The Federal share of the cost of a project or activity carried out under this Act shall not exceed 50 percent of the total cost of the project or activity. A Federal contribution in excess of 25 percent for a project carried out under this Act may not be made unless the Secretary of the Interior determines that the project is not feasible without such increased Federal contribution. Costs of operation, maintenance, repair, and rehabilitation of facilities funded under the authority of this Act shall be nonfederal responsibilities. In each fiscal year, up to \$1,000,000 may be awarded to institutions of higher education, including United States-Mexico binational research foundations and interuniversity research programs established by the two countries, for research grants or cooperative agreements without any cost-sharing requirement.

**Length and Time Phasing of Assistance:**

Solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration.

**Reports:**

The Recipient shall furnish quarterly reports and a final report as a permanent record of the work accomplished under the agreement. A midterm project review shall be held at the Recipient's site approximately 3 to 6 months after project award. Approximately at the time of delivery of the draft final report, the Project Manager shall make a presentation in Denver on the overall progress of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain project records in accordance with the applicable OMB Circular regulations.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$30,000; FY 08 est \$2,275,000; and FY 09 est \$1,075,000.

**Range and Average of Financial Assistance:**

\$20,000 to \$150,000; \$85,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Reclamation for a copy of the solicitation document.

**Regional or Local Office:**

None.

**Headquarters Office:**

Technical/Program Information: Bureau of Reclamation, Water Treatment Engineering and Research Group, Attn: Kevin Price, Mail Code: D-8230, P.O. Box 25007, Denver Federal Center, Denver, CO 80225. Telephone: (303) 445-2260. Fax: (303) 445-6329. E-mail: kprice@do.usbr.gov. Solicitation documents: Bureau of Reclamation, Acquisitions Operations Group, Attn: Randy Jackson, Mail Code: D-7810, P.O. Box 25007, Denver Federal Center, Denver, CO 80225. Telephone: (303) 445-2432. Fax: (303) 445-6345. E-mail: rjackson@do.usbr.gov.

**Web Site Address:**

<http://www.usbr.gov/water/desal.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of ongoing agreements awarded in FY 01 are: Development of membranes and membrane holding device for direct contact membrane distillation; Predicting membrane flux decline using parameters derived from field flow fractionation measurements; Determination of impact of magnetic fields on reverse osmosis separation; Study of two-phase technique for removal of biofilm and other foulants from spiral wound reverse osmosis membranes; Optimization at pilot plant level of membrane bioreactor systems for water reclamation; and Pilot study of membrane pretreatment (ultrafiltration and microfiltration) for seawater reverse osmosis desalination. In FY 02 Congress instructed Reclamation to develop a desalination technology progress plan and a Tulerosa Basin Desalination R & D Feasibility Study in partnership with Sandia National Laboratories.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: Technical Factors: (1) Demonstrated familiarity with the current technology in the field of work and understanding of the potential difficulties in carrying out the work. (2) Impact of the proposed work on the current technology and on its related economics if a completely successful outcome were achieved. (3) Novelty of approach to the work. (4) Probability of a successful outcome of work. (5) Availability of equipment, instruments, and test facilities required for the work.

Managerial Factors: (1) The qualifications, capabilities, and experience of the proposed project manager and other key personnel who are critical to achievement of the proposed objectives. (2) Adequacy, completeness and realism of the research schedule, task phasing, and milestones. (3) The offeror's capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposed objectives. Pricing Factors: (1) Cost realism and reasonableness. This requires that costs be directly relatable to items in the research work plan, reasonable, and be appropriate to the project in terms of dollar amount and quantity. (2) Cost-share. Offerors proposing to provide the most cost-share shall be given greater consideration.

**15.507 WATER 2025**

(Water 2025 Challenge Grant Program)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Energy and Water Development Appropriations Act, 2006, Title II, Section 205, Public Law 109-103.

**OBJECTIVES:**

To prevent crises and conflict over water in the western United States. The Challenge Grant Program is designed to contribute to this goal by providing 50 percent funding for projects that will conserve water, increase water use efficiency, or enhance water management, using advanced technology, improvements to existing facilities, and water banks and markets.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To be used for projects that will result in water conservation, more efficient water use, or better management of existing water supplies, which can be completed within 24 months from the date of award. Types of eligible projects include: (1) use of water banks and water markets; (2) modernization of existing facilities using new technology; (3) canal lining; (4) installation of measuring devices; and (5) the development of analytical tools to better manage water resources. Financial assistance under this program is limited to 50% of the total project cost, and generally may not exceed \$300,000 per project. Congress may also authorize the Secretary to enter into grants or cooperative agreements with universities or non-profit institutions to fund water use efficiency research.

**Applicant Eligibility:**

Irrigation and/or water districts, state governmental entities with water management authority (e.g., state agencies, departments, boards, etc), and other entities with water delivery authority, located in the states identified in the Reclamation Act of June 17, 1902, as amended, specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming; universities and non-profit research institutions.

**Beneficiary Eligibility:**

The general public, irrigation or water districts, and state governmental entities with water management authority, located in the states identified in the Act of June 17, 1902.

**Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, such as location, total project diversions, and relevant water use efficiency measurements, a detailed scope of work separating the work into major tasks, including any engineering or design work already completed, and describing the conservation measures and/or water banking activities to be undertaken, how the amount of saved water will be estimated, the level of cooperation with other parties involved in the proposal, and how the proposal will reduce conflict over water resources. (2) When applicable, a funding plan showing how the applicant will pay for its 50 percent cost share requirement, and an official resolution adopted by the irrigation or water district's governing board of directors, resolving that, if selected, it will negotiate and execute a grant or cooperative agreement with Reclamation. (3) A detailed project cost proposal, including a budget with the annual estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, an estimate of annual operation and maintenance costs, and the value of in-kind contributions of goods and services.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A request for proposals (RFP) is posted annually by Reclamation at Grants.gov. Submission of a complete technical proposal and a project budget proposal in accordance with the instructions in the RFP is mandatory. In addition, applicants must submit all applicable SF-424 forms, which are referenced in the RFP.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual

basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the RFP are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the RFP. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year. Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the RFP.

**Deadlines:**

Visit the Department of the Interior Water 2025 website, <http://www.doi.gov/water2025/>, for current information on any upcoming RFP dates and deadlines, or contact Reclamation.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

Not applicable. Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of Congress. Yearly solicitation is made for projects of 24 months in duration or less, although multi-year projects may be considered if annual accomplishments can be demonstrated.

**Formula and Matching Requirements:**

The Federal share of the cost of a project or activity carried out under the Program shall not exceed 50 percent of the total cost of the project or activity. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority for this Program shall be nonfederal responsibilities. When funding is available to universities and nonprofit institutions for research projects, the 50% cost share may not be applicable.

**Length and Time Phasing of Assistance:**

Proposals are requested for projects of 24 months in duration or less. However, funding for multi-year projects may be considered if annual accomplishments can be demonstrated.

**Reports:**

The recipient must furnish quarterly and final financial reports; quarterly, annual and final performance reports; and significant development reports as needed.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

The recipient shall maintain project records in accordance with applicable OMB Circular requirements.

**Account Identification:**

14-1968-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 07 \$9,200,000; FY 08 est \$11,000,000; and FY 09 est \$14,475,000.

**Range and Average of Financial Assistance:**

Challenge Grant Program ranges from \$19,338 to \$300,000; averages \$140,331. Water Efficiency Research averages \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); Standard Forms, [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html); Program information, <http://www.doi.gov/water2025/>. Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

None.

**Headquarters Office:**

Technical/Program Information: Bureau of Reclamation, Office of Program and Policy Services, Attn: Avra Morgan, Mail Code: D-5500, P.O. Box 25007, Denver Federal Center, Denver, CO 80225. Telephone: (303) 445-2906. Fax: (720) 544-4207. E-mail: [aomorgan@do.usbr.gov](mailto:aomorgan@do.usbr.gov). Solicitation documents: Available through Grants.gov at [www.grants.gov](http://www.grants.gov).

**Web Site Address:**

<http://www.doi.gov/water2025/>.

**RELATED PROGRAMS:**

15.506, Water Desalination Research and Development Program.

**EXAMPLES OF FUNDED PROJECTS:**

A total of 68 Water 2025 Challenge Grant projects have been funded to date, including 43 projects by irrigation and water districts and other local entities, and 6 more by western states. The funded projects include, among others, 28 projects that will save water by eliminating evaporation and seepage by

converting a total of 74 miles of dirt canals to pipeline and lining a total of 8.6 miles of dirt canals; 46 projects that will improve the efficiency and control of water deliveries by installing water measurement and SCADA devices, and automating delivery systems; and 10 projects that involve marketing water to other water users in conformance with state laws. Short descriptions of each project funded under Water 2025 are available at <http://www.doi.gov/water2025/grant.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: (1) inclusion of water banking or marketing elements; (2) amount of water conserved as a percent of normal supplies; (3) reasonableness of the costs for the benefits gained; (4) the degree to which conserved water contributes toward an established or new water market or bank; (5) documentation of the projected results (i.e. identified the number of acre-feet to be managed, conserved or marketed), and tracking of the post-project results; (6) consistency with applicable water plan(s); (7) ability to pay for project cost and any increase in operation and maintenance costs; (8) costs are reasonable and appropriate for work proposed (including consideration of the percentage of the proposal used for capital improvements); (9) whether more than 50% non-federal funding was proposed; and (10) the relevance to Water 2025, including, the degree of stakeholder involvement and likelihood of reducing conflict, whether the project is in a hot spot, and whether the project is "in a basin with connections to Reclamation project activities."

**15.508 PROVIDING WATER TO AT-RISK NATURAL DESERT TERMINAL LAKES**

(Desert Terminal Lakes)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Sec. 2507, Public Law 107-171; Energy and Water Development Appropriations Act, 2003, Title II, Sec. 207, Public Law 108-7 (to implement the Truckee River Settlement Act, Public Law 101-618); and Energy and Water Development Appropriations Act, 2004, Title II, Sec. 217, Public Law 108-137; and Public Law 109-103, Energy and Water Development Appropriations Act, 2006, Title II, Sec. 208.

**OBJECTIVES:**

Under this authority, Reclamation will fund various activities that will provide water to at-risk natural desert terminal lakes or fund earmarked activities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funding is directed to be used to provide water only to Walker Lake, Pyramid Lake, and Summit Lake in the State of Nevada. Funding is earmarked in legislation for other specific projects. Reclamation is restricted from using the funds to purchase or lease water rights, unless specifically directed otherwise.

**Applicant Eligibility:**

State and local public agencies, Indian tribes, nonprofit organizations, and individuals may submit a proposal which will be considered by Reclamation. Foreign entities and Federal agencies are not eligible to apply.

**Beneficiary Eligibility:**

State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, profit organizations, private organizations, quasi-public nonprofit organizations, other private institutions/organization, general public, native American organizations, farmers/ranchers/agriculture producers, and land/property owners.

**Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, benefits to be received by implementation of the project(s), environmental impact(s), an estimate of the amount of water that will reach the impacted desert terminal lake as a result of accomplishing the work, how that amount of water was estimated, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed cost proposal by project including a budget covering labor categories, salaries and wages with estimated hours, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, other funding sources and commitments, cost-sharing, value of in-kind contributions of goods and services, and a narrative discussion.

**Preapplication Coordination:**

Funding is allowed for work that will provide water to three specified desert terminal lakes in Nevada. An Environmental Impact Statement or Environmental Assessment may be required depending on the nature of the proposal and its impact on the environment. Summit and Walker Lakes Preapplication Coordination: Although it is not mandatory, Reclamation



strongly encourages offerors to submit a pre-proposal to eliminate the possibility of submitting a full proposal that would not be considered for award. The pre-proposal should describe 1) how the proposal will provide water to the terminal lake, 2) the quantity of water anticipated to be provided, 3) the associated estimated cost, 4) potential environmental impacts, 5) state, local and other permits or approvals needed to implement the proposal. Pyramid Lake Preapplication Coordination: On a periodic basis, a pre-proposal solicitation announcement is issued by Reclamation; the initial solicitation occurred in FY05. This program is excluded from coverage under E.O. 12372. No additional solicitation is planned in FY06.

**Application Procedure:**

Funding is allowed for work that will provide water to three specified desert terminal lakes in Nevada. For Summit Lake, Reclamation will only accept proposals from the Summit Lake Paiute Tribe, since the lake is entirely within the reservation boundaries and any proposal affecting the lake would need the consent of the Tribe. For Walker Lake, Reclamation will accept applications after the applicant provides enough preapplication information to Reclamation to assure that the proposed work will provide water to Walker Lake, the associated cost is reasonable, and it is likely Reclamation can satisfy its federal Indian trust, endangered species, environmental, and other responsibilities. For Pyramid Lake, a Request for Proposals (RFP) is issued periodically by Reclamation. Discretionary funding opportunities will be posted on Grants.gov. Submission of a complete technical proposal and a project budget proposal in accordance with the instructions in the RFP is mandatory. In addition, applicants must submit all applicable SF424 forms, which are referenced in the RFP.

**Award Procedure:**

For Summit Lake and Walker Lake, proposals are evaluated using a merit-based review process. For Pyramid Lake, proposals received in response to the RFP are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the RFP. Reclamation will make awards to the highest rated proposals based on the amount of funding available each solicitation period. Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the RFP.

**Deadlines:**

Contact Reclamation for solicitation and proposal dates and deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

None. Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

Funding is available until all funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. On March 2, 2006, the Commissioner of Reclamation proposed to Congress that \$88 million of unobligated Desert Terminal Lakes Program funding be used for a budget rescission; until this is resolved by Congress, no funds will be available beyond those now being processed or that have been previously legislatively earmarked.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Applicants are encouraged to cost share with other funding partners when possible.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Reports:**

The recipient must furnish quarterly and final financial reports; quarterly, annual and final performance reports; and significant development reports as needed.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

The recipient shall maintain project records in accordance with applicable OMB Circular regulations.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$7,000,000; FY 08 est. \$75,000,000; and FY 09 est. \$20,000,000.

**Range and Average of Financial Assistance:**

Will be provided in the RFP issued and future updates.

**PROGRAM ACCOMPLISHMENTS:**

During FY04, 4 of 8 earmarked proposals were awarded in the amount of \$1,633,000.00 and two (2) other projects in the amount of \$2,396,811.00. During FY05, 2 earmarked proposals were awarded in the amount of \$1.5 million. During FY06 it is anticipated that \$95 million of earmarked funding will be awarded, along with two other projects in the amount of \$1.5 million. It is estimated that proposals will be issued in subsequent fiscal years until the funding is expended. The number of awards will be based on the funding requested in the proposal and based on the merit to the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); Standard Forms, [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html). Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

Technical/Program Information - contact Bureau of Reclamation, Lahontan Basin Area Office, Attention: Carol Grenier, 705 North Plaza Street, Room 320, Carson City, Nevada 89701-4015. Telephone: (775) 882-3436. Fax (775) 882-7592. Email [cgrenier@mp.usbr.gov](mailto:cgrenier@mp.usbr.gov). Acquisition Office - contact Bureau of Reclamation, Mid-Pacific Regional Office, Acquisition Services, 2800 Cottage Way, Room E-1815, Sacramento, California 95825-1898. Telephone: (916) 978-5130. Fax (916) 978-5175/5182. Email [2WG3@mp.usbr.gov](mailto:2WG3@mp.usbr.gov).

**Headquarters Office:**

None.

**Web Site Address:**

[http://www.usbr.gov/mp/lbao/desert\\_terminal/index.html](http://www.usbr.gov/mp/lbao/desert_terminal/index.html)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Infrastructure improvement at a state wildlife management area that will improve water management and consequently allow conserved water to flow to a terminal lake. Infrastructure design and analysis at a geothermal plant to determine whether their current discharge could be transferred to a terminal lake instead of being allowed to evaporate. River restoration with an associated water right transfer. Increased use of recirculated water at a tribal fish hatchery.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**15.509 COLORADO RIVER BASIN SALINITY CONTROL PROGRAM**

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Colorado River Basin Salinity Control Act, Public Law 93-320, 59 Stat. 1219, as amended; Section 2, Public Law 98-569; Section 1, Public Law 104-20; Title III, Subtitle D, Chapter 4, Public Law 104-127, 110 Stat. 1006; Public Law 106-459, 114 Stat. 1987; 43 U.S.C. 1571 and 43 U.S.C. 1592(c).

**OBJECTIVES:**

To provide financial and technical assistance to: (1) identify salt source areas; (2) develop project plans to carry out conservation practices to reduce salt loads; (3) install conservation practices to reduce salinity levels; (4) carry out research, education, and demonstration activities; (5) carry out monitoring and devaluation activities; and (6) to decrease salt concentration and salt loading which causes increased salinity levels within the Colorado River and to enhance the supply and quality of water available for use in the United States and the Republic of Mexico. Such programs shall consist of cost-effective measures and associated works to reduce salinity from saline springs, leaking wells, irrigation sources, industrial sources, erosion of public and private land, or other sources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Eligible owners or operators in approved project areas may receive assistance to treat salinity problems.

**Applicant Eligibility:**

Federal, Interstate, Intrastate, State, Local, Sponsored organizations, Public nonprofit institution/organizations, Federally Recognized Indian Tribal Government, Individual/Family, Minority Group, Specialized Group, Small Business, Profit Organization, Other private institution/organization, general public, and Native American Organizations.

**Beneficiary Eligibility:**

Any person in the Colorado River Basin will benefit who uses or reuses water for irrigation, domestic, municipal or industrial water supply, or for fish and wildlife habitat.

**Credentials/Documentation:**

Some projects may require compliance with the National Environmental Policy Act and Endangered Species Act. Information regarding whether these requirements must be met will be included in the funding opportunity announcement posted on [www.grants.gov](http://www.grants.gov).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Reclamation will solicit proposals and award funding through a Request for Application (RFA) process. The RFA will request proposals from public and private sectors that would control salinity based on cost per ton. The proposals will be ranked based on their cost effectiveness for preventing salt from entering the Colorado River system. The ranking would consider risk factors that might affect the project's performance. Upon receipt of applications/proposals by the date identified in the announcement(s), the applications will be reviewed to determine if application/proposal(s) are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed against identified criteria by a Federal technical team of experts, that may include representatives of states as advisors. Based on the review, a ranking will be defined. Negotiations will be conducted and/or awards will be made based on recommendations from the technical experts. Award will be based on those applications best meeting the needs of the program, including cost and risk factors.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Approximately 90 Days.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final Program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

FY 07 \$16,408,500; FY 08 est \$7,850,000; and FY 09 est \$6,900,000.

**Range and Average of Financial Assistance:**

Range - \$12,916 to \$2,570,000; average - \$923,552.

**PROGRAM ACCOMPLISHMENTS:**

Since the inception of the program, an estimated 570,000 tons of salt have been controlled from entering the river.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Salinity Program: Mr. Kib Jacobson, Bureau of Reclamation, 125 South State

Street, Salt Lake City, UT 84138-1147, Telephone: (801) 524-3753, Fax: (801) 524-5499, E-mail: [kjacobson@uc.usbr.gov](mailto:kjacobson@uc.usbr.gov); or Mr. John Redlinger, Bureau of Reclamation, 400 Railroad Ave, Boulder City, NV 89005, Telephone: (702) 293-8592, Fax: (702) 293-8042, E-mail: [jredlinger@lc.usbr.gov](mailto:jredlinger@lc.usbr.gov). Western Colorado: Mr. Mike Baker, Bureau of Reclamation, 2764 Compass Drive, Grand Junction, CO 81506, Telephone: (970) 248-0637, Fax: (970) 248-0601, E-mail: [mbaker@uc.usbr.gov](mailto:mbaker@uc.usbr.gov); or Mr. Stan Powers, Bureau of Reclamation, 835 E Second Avenue, Suite 300, Durango, CO 81301, Telephone: (970) 385-6555, Fax: (970) 385-6539, E-mail: [spowers@uc.usbr.gov](mailto:spowers@uc.usbr.gov). Eastern Utah and Western Wyoming: Mr. Lee Baxter, Bureau of Reclamation, 302 East 1860 South, Provo, UT 84606, Telephone: (801) 379-1174, Fax: (801) 379-1159, E-mail: [lbaxter@uc.usbr.gov](mailto:lbaxter@uc.usbr.gov).

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/dataweb/html/crwq.html>, and <http://www.usbr.gov/uc/progact/salinity/index.html>.

**RELATED PROGRAMS:**

10.070, Colorado River Basin Salinity Control Program.

**EXAMPLES OF FUNDED PROJECTS:**

Salinity Improvement Project; Identifying Sources of Salt and Water in Grand Valley, CO; Eden Valley Salinity Project.

**CRITERIA FOR SELECTING PROPOSALS:**

In 1984, the Salinity Control Act was amended to direct the Secretary of the Interior to give preference to units which reduce salinity at the least cost per unit of salinity reduction (or cost-effectiveness). Cost-effectiveness is defined as the Salinity Program's annual cost per ton of salt prevented from entering the Colorado River system. Conceptually, cost-effectiveness is analogous to determining the cost per mile to own and operate a car. That computation combines the annual expenses (loan payments, gas, maintenance, etc.) and divides by the miles traveled each year. The key to understanding this approach is to appreciate that the government evaluates all projects as if the money is borrowed from a loan institution and repaid in annual installments over the life of the project. This economic evaluation principle is required by the "Economic and Environmental Principles Guidelines for Water and Related Land Resources Implementation Studies", March 1983. This method lends consistency in the comparison of non-federally financed alternatives (which must borrow funds) to Federally financed projects. Each proposal will be evaluated by a technical review panel in accordance with the following criteria and corresponding percentage weights: (a) Technical merit - those passing will be evaluated further, (b) Cost effectiveness 70 percent of the annual cost for each ton of salt load reduction, expressed in dollars per ton, (c) Performance risk 30 percent of performance risk will evaluate the cost and effectiveness risks of the proposal. More detailed information will be included in each funding announcement or may be obtained from the Salinity Control Program contacts listed above.

**15.510 COLORADO UTE INDIAN WATER RIGHTS SETTLEMENT ACT**

(Colorado Ute Settlement Act/Animas La Plata)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Colorado River Basin Project Act, Public Law 90-537, 82 Stat.885; Colorado Ute Indian Water Rights Settlement Act of 1988, as amended, Public Law 100-585, 102 Stat. 1973; Colorado Ute Settlement Act Amendments of 2000, Public Law 106-554, 114 Stat. 2763A-266.

**OBJECTIVES:**

To supply both irrigation and municipal and industrial water supply to the Ute Mountain Ute and Southern Ute Indian Tribes from the Animas-La Plata Project in settlement of water rights claims for the Tribes, and also fulfill other project activities that may be required as a result of the construction, such as relocation of roads and moving power lines. To complete construction of, and to operate and maintain, a reconfigured Animas-La Plata Project, consisting of facilities to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water, to be used for municipal and industrial water supply only, for the Ute Mountain Ute and Southern Ute Indian Tribes, and other tribal and non-tribal entities in the Four Corners Region of the United States.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Bureau of Reclamation is specifically authorized to: (1) Construct, operate and maintain a reservoir, a pumping plant, a reservoir inlet conduit, and appurtenant facilities with sufficient capacity to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water to be used for a municipal and industrial water supply; (2) Meet specific annual depletion rates for water allocation delivery. The design and construction functions of the Bureau of Reclamation with respect to the Dolores and Animas-

LaPlata Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Government - Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs; and for projects not awarded subject to Public Law 93-638: State, local, Federally recognized Indian Tribal governments, small businesses, individuals, and profit organizations.

**Beneficiary Eligibility:**

Federally recognized Indian Tribal Government members and the general public in southwestern Colorado and northwestern New Mexico.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Bureau of Reclamation is required by Public Law 100-585 to use Public Law 93-638 procedures to contract for construction of the Animas-La Plata Project with the Ute Mountain Ute Tribe and the Southern Ute Indian Tribe. Construction contracts for estimated quantities and with firm fixed unit pricing are issued to accomplish the work. For projects under this program that are not required to be awarded subject to Public Law 93-638, funding opportunity announcements, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on <http://www.grants.gov/>.

**Award Procedure:**

An initial statement of work is issued to the Tribe for review and pricing by the Contract Specialist. The Tribe reviews the initial statement of work, submits and proposal with an estimate for completion of the work. The proposal with cost estimate is evaluated by the Government Technical Team, the Government Cost and Price Analyst, Contract Specialist, Contract Administrator, and Contracting Officer. Negotiations are held on the various elements until an agreement is reached and an award is then made. For projects not awarded subject to Public Law 93-638, all applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Public Law 93-638 contracts and agreements are written for a specific period of time to complete a project, but normally not over 5 years. Funds are disbursed by progress payments, based on percentage of completion of estimated quantities of work. Section 207, Section 17(b) of the Act as amended extended the project period through Fiscal Year 2012.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

Audits are performed by the Inspector General for the overhead rates on the Tribes. In accordance with the provisions of OMB Circular No. A-133

(Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year.

Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

FY 07 \$57,420,000; FY 08 est \$35,000,000; and FY 09 est \$47,400,000.

**Range and Average of Financial Assistance:**

FY 05 Range \$210 - \$84,851,143, average \$200,000. FY 06 Range \$600 - \$2,229,810, average \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

Since 2002, construction contracts in excess of \$211 million have been awarded for the Animas-La Plata Project. Construction on Ridges Basin Dam and pumping plant continued in FY 2005. Excavation for the outlet works tunnel and foundation of the dam and the pumping plant was completed. Construction of 5 of 11 drop structures also was completed. Grouting of the dam foundation is well underway, with placement of dam embankment currently in progress. Placement of concrete for the pumping plant began in 2004 and continues. Final design of components to Navajo Nation Municipal Pipeline and of the inlet conduit is underway. Construction of the entire Animas-La Plata Project is nearly 25 percent complete.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and 18, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); Public Law 93-638, [http://www.access.gpo.gov/nara/cfr/waisidx\\_06/25cfr900\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/25cfr900_06.html); these documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Rich Ehat, REhat@uc.usbr.gov, Construction Engineer, ALP 100, Western Colorado Area Office, 835 East 2nd Avenue, Suite 300 Durango, Colorado 81301 Telephone: (970) 259-1110 Ext. 1004, Fax: (970) 259-0059.

**Headquarters Office:**

None.

**Web Site Address:**

[http://www.usbr.gov/library/annual\\_reports/FY2005/MDandA3.pdf/](http://www.usbr.gov/library/annual_reports/FY2005/MDandA3.pdf/).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Construction of Durango Pumping Plant Stage 2, Ridges Basin Dam Completion, and Outlet Works Tunnel Excavation; Archaeology: Cultural Resources Investigations; and Relocation of Atmos Gas Pipeline and Associated Facilities.

**CRITERIA FOR SELECTING PROPOSALS:**

There are no criteria for selecting proposals for projects awarded under Public Law 93-638 procedures. When needed work is identified, a request for proposal is issued with a statement of work. The Tribe submits a proposal based on the statement of work. Negotiations are held to arrive at a mutually agreed upon Public Law 93-638 contract for award of the project and the costs associated with performance of the work. For any projects that may be identified that are not subject to Public Law 93-638 procedures, specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

## 15.511 CULTURAL RESOURCES MANAGEMENT

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

National Historic Preservation Act of 1966, Pub. L. 89-665, as amended; Archaeological and Historic Preservation Act of 1974, P.L. 93-291 and 16 U.S.C. 469-469 c.

**OBJECTIVES:**

To manage and protect cultural resources on Reclamation land and to provide for the curation of and public access to collectible heritage assets, including the increase of public awareness, appreciation, and knowledge of these resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

All activities are related to Reclamation programs and activities. Cooperative agreements are used for providing long-term care of Reclamation-owned heritage assets. Awards made under the National Historic Preservation Act are limited to project grants for providing heritage education services and, per 36



CFR Part 79, the curation of museum property. The amount of funding available for projects is highly variable from year to year. Projects are approved through the budget cycle and may require up to three years for funding approval.

**Applicant Eligibility:**

State and local agencies, sponsored organizations, public nonprofit institutions/organizations, other public institutions/organizations, Federally-recognized Indian Tribal governments, minority groups, specialized groups, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and Native American Organizations, educational or scientific organization, or any institution, corporation, association, or individual that possesses the requisite professional requirements.

**Beneficiary Eligibility:**

State and local governments, Tribes, universities, general public, entities that have an education mission or mission-component, and repositories that meet the standards of the Department of the Interior, Department Manual, Part 411: Managing Museum Property, Chapters 1, 2, and 3, for facilities managing Federal museum property. Further information regarding the general purpose and scope of the Department Manual (DM) is included in Part 001, Chapter 1, of the DM. The DM may be accessed at [http://elips.doi.gov/app\\_DM/index.cfm?fuseaction=home](http://elips.doi.gov/app_DM/index.cfm?fuseaction=home).

**Credentials/Documentation:**

Repositories must meet the standards for managing museum property at 411 DM Chapters 1 through 3; and repositories holding archeological collections must also meet the standards for "Curation of Federally-owned and Administered Archeological Collections" included in the Code of Federal Regulations at Title 36, Part 79, available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>. Activities under the Archaeological and Historic Preservation Act must be conducted by educational or scientific organizations, or any institution, corporation, association, or qualified individual.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the issuing office. Qualified experts from the Bureau of Reclamation will review applications against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the number of proposals received and the complexity of the project. Generally, offices review and award assistance agreements within 60 days of proposal submission.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Some projects may be eligible for extension. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Agreements are typically awarded for periods of 1 to 5 years.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years

ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, accounts, and supporting documents must be retained for 3 years after final request of reimbursement. For museum property, records must be in accordance with the specifications of 36 CFR Part 79 and 411 DM 1 through 3.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$899,669; FY 08 est not separately identifiable; and FY 09 est \$289,000.

**Range and Average of Financial Assistance:**

Heritage education agreements: one annually in the amount of \$15,000.  
Curation agreements: Range \$5,000 - \$190,000. Agreements under the Archaeological and Historic Preservation Act: Range \$25,000 - \$250,000.  
Average approximately \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Heritage education grants have been awarded since 1993. Numerous assistance agreements have been awarded to state and governmental entities, and universities for the curation of museum property. Assistance agreements have been awarded to universities for activities associated with the Archaeological and Historic Preservation Act.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reclamation's cultural resources management program is governed by 36 CFR Part 800; 43 CFR Part 7; Department of the Interior Manual Chapter 411, Chapters 1 through 3; and Reclamation Policy and Directives & Standards for Cultural Resources Management and Museum Property Management available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> - page1/. 43 CFR 12 and 18, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> - page1/; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

Please see listing of contacts at [www.usbr.gov/cultural/crmstaff.html/](http://www.usbr.gov/cultural/crmstaff.html/).

**Headquarters Office:**

Thomas Lincoln, Federal Preservation Officer, Bureau of Reclamation, P.O. Box 25007 (Mail Code: 84-53000), Denver, Colorado 80225-0007.

**Web Site Address:**

<http://www.usbr.gov/cultural/> and <http://www.usbr.gov/museumproperty/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative agreements with entities to provide long-term curation of Reclamation-owned museum property, and grants to provide heritage education to the public including lesson plans to be used in promoting heritage education on Indian tribal schools and development of web sites to Reclamation's contribution to archaeology site preservation and protection.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting a recipient are based on a balanced and informed review of a technical proposal, budget proposal, and relevancy to program objectives. The specific evaluation criteria for each project will be included in the funding announcement posted on [www.grants.gov/](http://www.grants.gov/).

## 15.512 CENTRAL VALLEY PROJECT IMPROVEMENT ACT, TITLE XXXIV

(CVPIA)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV, Central Valley Project Improvement Act, Public Law 102-575.

**OBJECTIVES:**

The purposes of the CVPIA are (1) to protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California, (2) to address impacts of the Central Valley Project on fish, wildlife, and associated habitats, (3) to improve the operational flexibility of the Central Valley Project, (4) to increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation, (5) to contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary, and (6) to achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Agreements will be awarded for projects that will result in attaining the objectives noted above and the mandates set out in the CVPIA. Areas of emphasis include fish and wildlife restoration activities and investigations, evaluation of ecologic and hydrologic effects of existing and alternative operations of water facilities and systems, and the effects of the CVP on anadromous fish populations. The Secretary of the Interior is authorized and directed to promulgate such regulations and enter into such agreements as may be necessary to implement the intent, purposes and provisions of Title XXXIV. This title does not and shall not be interpreted to authorize construction of water storage facilities.

**Applicant Eligibility:**

Irrigation and/or water districts; state, local, and county governmental entities with water management authority (e.g., State and Federal agencies, departments, boards, etc.); and other entities with water delivery authority as well as private nonprofit or profit organizations, and individuals located in the State of California.

**Beneficiary Eligibility:**

General public, government agencies, and water management authorities located in the State of California.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

For current information on any upcoming funding opportunity announcement dates and deadlines, contact the Mid-Pacific Region, MP-400 Division of Resources Management, Sacramento, California, as listed in the Contacts section below.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of Congress. Yearly solicitation is made for projects of 24 months in duration or less, although multi-year projects may be considered if annual accomplishments can be demonstrated.

**Formula and Matching Requirements:**

The Federal share of the costs of a project or activity carried out under this Program varies in accordance with the provisions of the CVPIA. Cost-share requirements will be included in the funding opportunity announcement posted on [www.Grants.gov](http://www.Grants.gov).

**Length and Time Phasing of Assistance:**

Proposals are requested for projects of 24 months in duration or less; however, funding for multi-year projects may be considered if annual accomplishments can be demonstrated.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, Except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5173-0-2-301.

**Obligations:**

FY 07 \$5,500,000; FY 08 not separately identifiable; and FY 09 est \$18,000,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$2,400,000; average \$307,000.

**PROGRAM ACCOMPLISHMENTS:**

Programmatically, the number of awards has been based on the level of funding received and the need to solicit for proposals. For FY 2004 to present, the Habitat Restoration Program (Section 3406 (b)(1) Other has provided approximately 80 percent to 85 percent of its yearly budget toward project grants (grants and cooperative agreements). The Anadromous Fish Screen Program Section 3406 (b)(21) has awarded funds toward cooperative agreements sharing the costs associated with the activities but not to exceed 50 percent of the total cost of any such activity (Total fish screen obligations for FY 1992 to date are about \$92,400,000). Other programs may provide funding for grants and/or cooperative agreements based on project needs, types of projects to be implemented, interested parties, and funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). Program information, [http://www.usbr.gov/mp/cvpia/title\\_34/public\\_law\\_complete.html](http://www.usbr.gov/mp/cvpia/title_34/public_law_complete.html). These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

Frank Michny, Acting Assistant Regional Director, MP 115, (916) 978-5010  
Micheal Heaton, Acting Chief Division of Resources Management, MP-400, (916) 978-5556. Shana Kaplan, CVPIA Program Manager, MP 400, (916) 978-5190.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/mp/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Anadromous fish habitat restoration, implementation of the Trinity River fishery restoration program, fish screen improvements, canal lining, conveyance of water to wildlife refuges, and watershed monitoring, operation and maintenance.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.513 DUTCH JOHN FEDERAL PROPERTY AND DISPOSITION ASSISTANCE ACT****FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Dutch John Federal Property Disposition and Assistance Act of 1998, Public Law 105-326, 16 U.S.C. 460v.

**OBJECTIVES:**

To privatize certain lands in and surrounding Dutch John, Utah; to transfer jurisdiction to certain Federal property Between the Secretary of Agriculture and the Secretary of the Interior; to improve the Flaming Gorge National Recreation Area; to dispose of certain residential units, public buildings, and facilities; to provide interim financial assistance to local government to defray the cost of providing basic governmental services; to achieve efficiencies in operation of the Flaming Gorge Dam and Reservoir and the Flaming Gorge National Recreation Area; to reduce long-term Federal outlays; and to serve the interests of the residents of Dutch John and Daggett County, Utah, and the general public.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For the purpose of defraying costs of transition in administration and provision

of basic community services, an annual payment of \$300,000 (as adjusted by the Secretary for changes in the Consumer Price Index for all-urban consumers published by the Department of Labor) shall be provided from the Upper Colorado River Basin Fund to Daggett County, Utah, for a period not to exceed 15 years. At the present time, no new project awards are being made under this authority and none are anticipated. Funding is only available for continuation of the existing grant with Daggett County.

**Applicant Eligibility:**

The residents in and around Daggett County, Utah.

**Beneficiary Eligibility:**

The residents in and around Daggett County, Utah.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O.12372.

**Application Procedure:**

None.

**Award Procedure:**

At the present time, program funding is limited to providing additional annual funding to the existing project agreement with Daggett County. The Bureau of Reclamation will transfer on an annual basis the sum of \$300,000 to Daggett County, Utah, (as adjusted by the Secretary for changes in the Consumer Price Index for all-urban consumers published by the Department of Labor) by a amendment to the existing agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grant funding is for a total of 15 years.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after Dec.1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after Dec.1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, accounts, and supporting documents must be retained for 3 years after submission for final request of reimbursement. State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

FY 07 \$367,763; FY 08 est \$376,000; and FY 09 est \$400,000.

**Range and Average of Financial Assistance:**

The range is from \$345,668 to \$373,874 with an average of \$359,679.

**PROGRAM ACCOMPLISHMENTS:**

A years worth of funding was provided to assist in turning the facilities over to Dutch John. Increased funding was provided in fiscal year 2006 to provide assistance for repairs of the sewer treatment facility. This funding was used to restore the sewer treatment facility that was partly discontinued from use by the Bureau of Reclamation. As of March, 2000, twenty residential properties and two commercial parcels have been sold, nine additional residential properties, the State of Utah storage yard has been transferred without cost. During April 2000, 1810 acres surrounding the developed area were transferred to Daggett County. The school properties have been transferred to the Daggett County School District. Daggett County is maintaining all vacant grounds and roads and operating the Fire Department and conference hall.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>;  
OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html).

These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Mr. Steve Hulet, Acting Manager, Telephone: (435) 885-3238, Fax: (435)885-3224, E-mail: [Shulet@uc.usbr.gov](mailto:Shulet@uc.usbr.gov).

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/uc/news/dutchjohnfacts.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

During April 2000, 1810 acres surrounding the developed area were transferred to Daggett County. As of December 1, 1999, Bridger Valley Electric Association took over the operation and maintenance of the electrical system. A three acre parcel of land which was sold has a new commercial building under construction and should be doing limited business by April 17, 2000. Daggett County is maintaining all vacant grounds and roads and Operating the Fire Department and conference hall.

**CRITERIA FOR SELECTING PROPOSALS:**

No proposals are issued. Funding is transferred annually to Daggett County, Utah, in accordance with Section 13 of the Act.

## 15.514 RECLAMATION STATES EMERGENCY DROUGHT RELIEF

(Emergency Drought Relief and Drought Contingency Planning)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Reclamation States Emergency Drought Relief Act of 1991, Title II, Public Law 102-250, 43 U.S.C. Section 2201-2214, as amended; Hawaii Water Resources Act of 2000, Title II, Public Law 106-566.

**OBJECTIVES:**

To provide planning assistance that would minimize and mitigate losses and damages resulting from drought conditions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

In consultation with other appropriate Federal and State officials, Indian tribes, public, private, and local entities, Reclamation may prepare, or participate in the preparation of, plans for the prevention or mitigation of drought impacts. Financial assistance for the development of drought contingency plans may be provided in the form of cooperative agreements to States, Indian tribes, public, private, and local entities located within the 17 Reclamation States (Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming) and Hawaii. Pursuant to Public Law 93-638, an Indian tribe is entitled to contract for any activities that Reclamation would otherwise conduct pursuant to Section 201 or 202 of Title II of the Act on the tribe's behalf which would benefit the tribe exclusively. Reclamation may provide technical assistance for drought contingency planning in any of the 50 U.S. States and territories and to local and tribal government entities.

**Applicant Eligibility:**

State and local entities and Federally Recognized Indian Tribal Governments within the following 17 Western U.S. States: Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Wyoming, Utah, and Washington; and Hawaii. Technical assistance can also be requested for all 50 U.S. States and the following U.S. Territories: Puerto Rico, the Republic of the Marshall Islands, the Federated States of Micronesia, the Trust Territory of the Pacific Island, and upon termination of the Trusteeship, the Republic of Palau, the United States Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

General public; Federal, State and local governments; and Federally Recognized Indian Tribal Governments within the 50 U.S. States and Territories.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other



forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications will be received by the Bureau of Reclamation and forwarded to the respective Regional Offices, where they are prioritized, merited and consolidated. Regional Directors will then forward their prioritized lists of funding requests to the Bureau of Reclamation Drought Coordinator who will make the final recommendations regarding which applications will receive awards. If a request is not approved, the Bureau of Reclamation Drought Coordinator will prepare a response letter to notify the applicant that their project was not selected for an award. If a request is approved, a letter of approval will be prepared by the Reclamation Drought Coordinator that includes a delegation of authority to the appropriate Regional Director and includes funding information. This letter will be forwarded to the appropriate Regional/Area Office responsible for implementing the approved actions. The respective Regional/Area Office will develop their agreements and Public Law 93-638 contracts/agreements in compliance with applicable regulations.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Extensions may be granted by the Commissioner of the Bureau of Reclamation or the Regional Office may be granted authority to implement the approved assistance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Assistance may be approved at any time of the year and agreements are generally awarded for a six month period, unless an extension is granted by the Commissioner (or the Regional Office granted authority to implement the approved assistance).

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$475,000; FY 08 est \$436,000; and FY 09 est \$500,000.

**Range and Average of Financial Assistance:**

Range \$25,000 to \$75,000; Average \$470,000.

**PROGRAM ACCOMPLISHMENTS:**

No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); Documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Great Plains Region: Rick DeVore, Regional Drought Coordinator, GP-4500, P.O. Box 36900, Billings, MT 59107-6900, Telephone: (406) 247-7757, Fax: (406) 247-7793; Lower Colorado Region: Steve Jones, Regional Drought

Coordinator, B4230, P.O. Box 61470, Boulder City, NV 89006-1470, Telephone: (702) 293-8186, Fax: (702) 293-8042; Mid-Pacific Region: Lucille Billingsley, Regional Drought Coordinator, MP-410, Federal Office Building - 2800 Cottage Way, Sacramento, CA 95758, Telephone: (916) 978-5215, Fax: (916) 978-5290; Pacific Northwest Region: Megan Montague, Regional Drought Coordinator, PN-6436, 1150 N. Curtis Rd, Suite 100, Boise, ID 83706-1234, Telephone: (208) 378-5396, Fax: (208) 378-5305; Upper Colorado Region: Mike Stuver, Regional Drought Coordinator, UC-439, 125 S. State Street, Room 6107, Salt Lake City, UT 84138-1147, Telephone: (801) 524-3745, Fax: (801) 524-5499.

**Headquarters Office:**

Lilas V. Lindell, Reclamation Drought Coordinator, Bureau of Reclamation, Mail Code 84-52000, P.O. Box 25007, Denver, CO 80225-0007. Telephone: (303) 445-2889.

**Web Site Address:**

<http://www.usbr.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects typically funded under Title II of the Reclamation States Emergency Drought Relief Act of 1991, as amended, are drought contingency plans. These drought contingency plans have been prepared by States, counties, and local entities and Federally Recognized Indian Tribal Governments.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov), and on the basis of funding availability and priority needs in a particular fiscal year.

## 15.515 FEDERAL RESOURCE PROTECTION

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Cooperation of the Secretary of the Interior with State and Local Regulatory and Law Enforcement Officials, Public Law 98-552, 42 U.S.C. 1962d-19.

**OBJECTIVES:**

The Secretary of the Interior, in connection with Federal resource protection and administration of the use and occupancy of lands and waters within a Department of the Interior water resource development project, is authorized to cooperate with regulatory and law enforcement officials of any State or State political subdivision in the enforcement of the laws or ordinances of that State or political subdivision.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Awarded projects are limited to the enforcement of State, or political subdivision, laws and ordinances on water resource development projects within the jurisdiction of the Department of the Interior. Payment for recipient expenses is limited to the reimbursement method.

**Applicant Eligibility:**

Regulatory and law enforcement agencies of any State or political subdivision thereof.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Applicants must have authority to enforce the laws or ordinances of their State or political subdivision.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the law enforcement and security areas. Applications will be reviewed by the Bureau of Reclamation Law Enforcement Administrator against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, his designee, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting

the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Projects may generally be renewed on an annual basis, not to exceed a total of 5 years. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Agreements are typically awarded for one year, and may include up to four annual renewals. Funding is restricted to the reimbursement method, but there is no restriction on how frequently reimbursement may be requested.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$628,843; FY 08 not separately identifiable; and FY 09 not separately identifiable.

**Range and Average of Financial Assistance:**

Range \$5,276 - \$800,000; Average \$69,655.

**PROGRAM ACCOMPLISHMENTS:**

Law enforcement activities at Bureau of Reclamation dams, reservoirs, water projects, and associated buildings and grounds. Information is not currently available on the number of future funding opportunity announcements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. Vincent Parolisi, Chief of Law Enforcement, Telephone: (303) 445-3245.

**Web Site Address:**

<http://www.usbr.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Law enforcement activities at Canyon Ferry Dam and Reservoir, Colorado Big Thompson Facilities, Pueblo Dam, Brantley Reservoir, and Flaming Gorge Dam and Related buildings and grounds.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

## 15.516 FORT PECK RESERVATION RURAL WATER SYSTEM

(Fort Peck Water Supply Project)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR  
**AUTHORIZATION:**

Fort Peck Reservation Rural Water System Act of 2000, Public Law 106-382.

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Fort Peck Indian Reservation in the State of Montana; and to assist the citizens in those portions of Roosevelt, Sheridan, Daniels, and Valley Counties that are outside the Fort Peck Indian Reservation, in developing safe and adequate municipal, rural, and industrial water supplies.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The project is for the construction of municipal, rural, and industrial water supply systems that will serve the Fort Peck Indian Reservation (Assiniboine and Sioux Rural Water System), and all or portions of Valley, Daniels, Sheridan and Roosevelt counties in northeastern Montana (Dry Prairie Rural Water System). At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Fort Peck Tribal Executive Board, Dry Prairie Rural Water Association Incorporated (or any successor non-Federal entity).

**Beneficiary Eligibility:**

The Fort Peck Indian Reservation, the Dry Prairie Rural Water Association, and the residents of all or portions of Valley, Daniels, Sheridan and Roosevelt counties in the State of Montana.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

These projects have met the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports and water conservation plans have been approved. Any proposed changes in the scope of these projects will be reviewed for continued compliance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing and in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

The Federal share of the Fort Peck project is 100 percent (Sec. 4(j)); the Federal share of the Dry Prairie Rural Water System project is 76 percent (Sec. 5(a)(2)). Construction costs for both projects will total \$193 million (1998 dollars) with Dry Prairie's cost being \$68 million and the Reservation's portion being \$125 million. Funds are to be available until expended.

**Length and Time Phasing of Assistance:**

Funding for these projects was authorized to be appropriated over a period of 10 fiscal years.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$5,000,000; FY 08 est \$6,763,000, and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Average \$10,167,000.

**PROGRAM ACCOMPLISHMENTS:**

Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; partial construction of the systems in accordance with the final engineering report.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137, Telephone: 406.247.7298, E-mail: [djewell@gp.usbr.gov](mailto:djewell@gp.usbr.gov).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, E-mail: [kbanks@gp.usbr.gov](mailto:kbanks@gp.usbr.gov).

**Web Site Address:**

<http://www.nemontel.net/~dprw/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Construction of municipal, rural, and industrial water supply systems for the Fort Peck Indian Reservation and for all or portions of Valley, Daniels, Sheridan, and Roosevelt counties in northeastern Montana.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

**15.517 FISH AND WILDLIFE COORDINATION ACT**

(FWCA)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended; as limited by the Secretary of the Interior delegation of authority at 255 DM 14.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of fish and wildlife habitats associated with water systems or water supplies affected by Bureau of Reclamation projects.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

In accordance with the delegation of authority to the Bureau of Reclamation in the Department of the Interior Department Manual, Part 255, Chapter 14, available at [http://elips.doi.gov/app\\_DM/act\\_getfiles.cfm?relnum=3062](http://elips.doi.gov/app_DM/act_getfiles.cfm?relnum=3062), projects are limited to the improvement of fish and wildlife habitat associated with water systems or water supplies affected by Bureau of Reclamation projects.

**Applicant Eligibility:**

State and local governments, nonprofit organizations and institutions, public and private institutions and organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, for-profit organizations, and Native American Organizations.

**Beneficiary Eligibility:**

Anyone/general public, governmental entities, Tribal governments, Native American organizations, and/or public or private organizations in the specific project area.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal

evaluation panel comprised of qualified experts in the program area.

Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 5 years.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$12,323,628; FY 08 not separately identifiable; and FY 09 not separately identifiable.

**Range and Average of Financial Assistance:**

Range of \$5,000 to \$3,123,390.

**PROGRAM ACCOMPLISHMENTS:**

Improvements to fish and wildlife habitat through award of projects that track fish and wildlife movement, habitat temperature monitoring, collection and analysis of invertebrates, genetics studies, surveying and monitoring of fish and wildlife and salinity studies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Bureau of Reclamation Office listed in the funding announcement.

**Regional or Local Office:**

Specific contact information will be provided in each funding announcement.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Wetland habitat research, study of riparian vegetation, habitat restoration.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).



## 15.518 GARRISON DIVERSION UNIT

(Garrison Diversion Unit Project)

### FEDERAL AGENCY:

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Garrison Diversion Unit, Missouri River Basin Project, Public Law 89-108, as amended; Energy and Water Development Appropriation Act of 1985, Public Law 98-360; Garrison Diversion Unit Reformulation Act of 1986, Public Law 99-294; Dakota Water Resources Act of 2000, Public Law 106-554.

### OBJECTIVES:

To meet the water needs within the State of North Dakota by providing funds on a non-reimbursable basis for the planning and construction of a multi-purpose water resource development project within the State of North Dakota for irrigation; municipal, rural, and industrial water; fish, wildlife, and other natural resource conservation and development; recreation; flood control; augmented stream flows; ground water recharge; and other project purposes.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Different projects and programs under the authorization have different cost ceilings. The Bureau of Reclamation's Great Plains Region shall enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa to undertake the authorized activities, programs and projects as the Secretary of the Interior determines necessary.

### Applicant Eligibility:

The State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa.

### Beneficiary Eligibility:

The citizens of the State of North Dakota and the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa.

### Credentials/Documentation:

See Public Law 99-294, Section 2, for considerations to be given to fish and wildlife conservation, including habitat impacts, mitigation procedures, and enhancement. See Public Law 99-294, Section 3, regarding when it may be necessary for applicants to complete a comprehensive report covering feasibility, capability, impacts, cost and efficiency measures, National Environmental Policy Act requirements, and other matters. Please contact the Bureau of Reclamation personnel listed in the Contacts section, below, for further information regarding these requirements.

### Preapplication Coordination:

Preapplication is not required. Depending on the project, an environmental impact assessment or statement may be required. This program is excluded from coverage under E.O. 12372. If requested, the Bureau of Reclamation's Great Plains Region will assist the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa in preparing their respective proposals.

### Application Procedure:

Applications shall include: (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with their technical and budget proposals.

### Award Procedure:

Once the parties agree with their respective scopes of work and cooperative agreements, the Bureau of Reclamation's Great Plains Region will finalize the agreements. The Bureau of Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa. The tribes may choose to enter into an agreement under Public Law 93-638, the Indian Self-Determination and Education Assistance Act. For those agreements that are in place, the Bureau of Reclamation negotiates annually the workplan and budget for that fiscal year.

### Deadlines:

Varies by project. Contact the Regional Office listed below for deadline dates.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

### Reports:

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

### Account Identification:

14-0680-0-1-301.

### Obligations:

FY 07 \$24,221,000; FY 08 est \$17,642,000; and FY 09 est \$23,960,000.

### Range and Average of Financial Assistance:

Range - \$2,000 to \$1,427,500; Average - \$320,000.

### PROGRAM ACCOMPLISHMENTS:

Technical and environmental reports required by the various activities, projects, and programs; construction of municipal, rural and industrial water supply systems; and enhancement of recreation facilities.

### REGULATIONS, GUIDELINES, AND LITERATURE:

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>;  
OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html).  
These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

### Regional or Local Office:

Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov](mailto:dbreitzman@gp.usbr.gov).

### Headquarters Office:

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, E-mail: [kbanks@gp.usbr.gov](mailto:kbanks@gp.usbr.gov).

### Web Site Address:

<http://www.usbr.gov/gp/>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

The tribal municipal, rural and industrial water supply systems projects; the tribal operation and maintenance activities; the Red River Valley feasibility study and environmental assessment; the State of North Dakota municipal, rural and industrial water supply systems projects; the enhancement of Garrison recreation facilities.

### CRITERIA FOR SELECTING PROPOSALS:

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling, and any stated evaluation criteria.

## 15.519 INDIAN TRIBAL WATER RESOURCES DEVELOPMENT, MANAGEMENT, AND PROTECTION

(Indian Tribal Water Resources)

### FEDERAL AGENCY:

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Consolidated Appropriations Resolution, 2003, Division D Energy and Water Development Appropriations, Title II, Section 201, Public Law 108-7.

### OBJECTIVES:

To increase opportunities for Indian tribes to develop, manage, and protect their water resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements, pursuant to 31 U.S.C. 6301-6308, are authorized to increase opportunities for Indian tribes to develop, manage, and protect their water resources. Nothing in this Act is intended to modify or limit the provisions of the Indian Self-Determination Act (25 U.S.C. 45 et seq.).

**Applicant Eligibility:**

Federally recognized Indian tribes, institutions of higher education, national Indian organizations, and tribal organizations located in the 17 western States identified in the Act of June 17, 1902, as amended; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming.

**Beneficiary Eligibility:**

Federally recognized Indian tribes in the 17 western states.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of Bureau of Reclamation program managers who are qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects generally last one to two years.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82. Institutions of higher education shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$3,829,061; FY 08 not separately identifiable; and FY 09 not separately identifiable.

**Range and Average of Financial Assistance:**

Range \$4,000 to \$800,000, average \$110,000.

**PROGRAM ACCOMPLISHMENTS:**

Projects have been awarded for improvement of infrastructure, restoration of fish and wildlife, and habitat improvement. Information is not available on the number of projects that will be announced this year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Pacific Northwest Region: Telephone: (208) 378-5012, Web: <http://www.usbr.gov/native/regions/pn/index.html>; Mid-Pacific Region: Telephone: (916) 978-5000, Web: <http://www.usbr.gov/native/regions/mp/index.html>; Lower Colorado Region: Telephone: (702) 293-8411, Web: <http://www.usbr.gov/native/regions/lc/index.html>; Upper Colorado Region: Telephone: (801) 524-3600, Web: <http://www.usbr.gov/native/regions/uc/index.html>; Great Plains Region: Telephone: (406) 247-7600, Web: <http://www.usbr.gov/native/regions/gp/index.html>.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/native/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Well closures, drought relief, water needs assessments, aquifer studies, water management database, infrastructure improvement, and water quality monitoring.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed projects must be related to the development, management and protection of Indian tribal water resources. Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

## 15.520 LEWIS AND CLARK RURAL WATER SYSTEM

(Lewis and Clark Project)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fiscal Year 2000, Department of Defense Supplemental Appropriations Act, Division B, Chapter 3, Title IV, Lewis and Clark Rural Water System, Public Law 106-246.

**OBJECTIVES:**

To provide safe and adequate municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, southwestern Minnesota, and northwestern Iowa.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This project is for the planning and construction of a bulk water supply system to provide municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, southwestern Minnesota, and northwestern Iowa. Congress has specifically authorized the Bureau of Reclamation to administer this project in southwestern Minnesota and northwestern Iowa. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Lewis and Clark Rural Water Supply System, Inc., and its member entities (rural water systems or municipalities that meet the Lewis and Clark Rural Water Supply System, Inc., requirements for membership).

**Beneficiary Eligibility:**

The communities and five rural water systems in Lake, McCook, Minnehaha, Turner, Lincoln, Clay, and Union Counties, in southeastern South Dakota; Rock and Nobles Counties, in Southwestern Minnesota; and Lyon, Sioux, Osceola, O'Brien Dickinson, and Clay Counties, in northwestern Iowa.

**Credentials/Documentation:**

The project requires submission of a final engineering report and a plan for water conservation and mitigation plans for fish and wildlife losses in

accordance with Section 4104 of the Act.

**Preapplication Coordination:**

Preapplication is not required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Amendments to incorporate annual work plans and budgets are negotiated annually. The recipient must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

The Federal share of the project is 80 percent; except that Federal funds for the City of Sioux Falls, South Dakota, shall be 50 percent of the incremental cost to the city of participation in the project. (Public Law 106-246, Section 4108).

**Length and Time Phasing of Assistance:**

As of September 30, 2004, the federal appropriation ceiling as prepared by the Bureau of Reclamation was \$332,355,000 and the projected cost ceiling from all funding sources was \$423,198,000. Funds are to be available until expended.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$21,000,000; FY 08 est \$26,000,000; and FY 09 est \$4,850,000.

**Range and Average of Financial Assistance:**

Average \$17,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Required technical and environmental reports for the construction of the municipal, rural, and industrial systems; construction of the systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Bureau of Reclamation office listed below.

**Regional or Local Office:**

Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov](mailto:dbreitzman@gp.usbr.gov).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, Email: [kbanks@gp.usbr.gov](mailto:kbanks@gp.usbr.gov).

**Web Site Address:**

<http://www.lcrws.org/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Continuing construction of the Lewis and Clark water supply system.

**CRITERIA FOR SELECTING PROPOSALS:**

The scope of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

**15.521 LOWER RIO GRANDE VALLEY WATER RESOURCES CONSERVATION AND IMPROVEMENT**

(Lower Rio Grande Valley Irrigation Projects).

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2000, Public Law 106-576, as amended; Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2002, Public Law 107-351.

**OBJECTIVES:**

To investigate and identify opportunities to improve the supply of water in the program area identified as the counties in the State of Texas in the Rio Grande Regional Water Planning Area known as Region M.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cost ceilings of \$8,000,000 for conservation and improvements (section 3(g)) and \$47,000,000 for construction (section 4(c)). Reclamations Great Plains Region will enter into cooperative agreements with the State of Texas, water users in the program area, specified irrigation districts, and other non Federal entities to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient. A substantial portion of this program is directed toward funding 19 construction projects specifically identified in the Lower Rio Grande Valley Water Resources Act, as amended.

**Applicant Eligibility:**

The State of Texas, water users in the program area, specified irrigation districts, and other non-Federal entities.

**Beneficiary Eligibility:**

The general public located in the state of Texas.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.(2) Applicants shall provide a report in accordance with Section 3(c) of the Act that includes, but is not limited to, (a) estimated project costs, conservation measures, and operational efficiency improvements, (b) a project plan and map, and (c) a cost-sharing commitment for applicant funding of its proportional share of project construction costs on an annual basis.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Before providing funding for a project to the nonFederal project sponsor, the Secretary of the Interior shall determine that the nonFederal project sponsor is financially capable of funding the projects nonFederal share of the project costs. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of



Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

The nonfederal share of total project costs shall be 50 percent. Not more than 40 percent of the project costs may be paid by the State. The remainder of the nonFederal share may include in-kind contributions of goods and services, and the actual funds previously spent on feasibility and engineering studies. Awarded agreements must contain a commitment by the nonFederal project sponsors to fund their proportionate share of the project's construction costs on an annual basis. (Public Law 106- 576, Section 4(b), as amended).

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established with the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$1,200,000; FY 08 est \$2,519,000; and FY 09 est \$50,000.

**Range and Average of Financial Assistance:**

Average \$1,460,000.

**PROGRAM ACCOMPLISHMENTS:**

Reclamation has entered into several cooperative agreements with irrigation districts in the project area for planning, design, and construction activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

Oklahoma Texas Area Office: Mr. Mark Trevino, Area Manager, Bureau of Reclamation, Address: 5316 Highway 290 West, Suite 510, Austin, TX 78735-8931, Telephone: (512) 899-4150, E-mail: [mtrevino@gp.usbr.gov](mailto:mtrevino@gp.usbr.gov).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings MT 59101, Telephone: (406)247-7710, fax: (406)247-7695, E-mail: [kbanks@gp.usbr.gov](mailto:kbanks@gp.usbr.gov).

**Web Site Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Replacement of river pumping plant and construction of canal interconnect system, main canal replacements, water conservation improvement project, reservoir renovation telemetry and flow measurement projects, and lateral rehabilitation.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

## 15.522 MNI WICONI RURAL WATER SUPPLY PROJECT

(Mni Wiconi Project)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Mni Wiconi Rural Project Act of 1988, Public Law 100-516, as amended; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title VIII, Mni Wiconi Act Amendments of 1994, Public Law 103-434.

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Pine Ridge Indian, Rosebud Indian, and Lower Brule Indian Reservations in South Dakota; to assist the citizens of Haakon, Jackson, Jones, Lyman, Mellette, Pennington, and Stanley Counties, South Dakota, to develop safe and adequate municipal, rural, and industrial water supplies; to promote the implementation of water conservation programs at these locations; to provide certain benefits to fish, wildlife, and the natural environment of South Dakota; and in consultation with the Oglala, Rosebud, and Lower Brule Sioux Tribes, to conduct feasibility studies on the need to develop water disposal facilities and systems and rehabilitate existing waste water disposal facilities and systems on the Pine Ridge, Rosebud, and Lower Brule Indian Reservations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Agreements are limited to planning, designing, constructing, operating, maintaining, and replacing the Oglala Sioux, the Rosebud, and the Lower Brule Sioux Rural Water Supply Systems; and for planning and construction of the West River Rural Water System and the Lyman-Jones Rural Water System. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

West River/Lyman-Jones Water Systems and the Oglala, Rosebud, and Lower Brule Sioux tribes.

**Beneficiary Eligibility:**

The citizens of the southwest quarter of the State of South Dakota, including the Oglala, Rosebud, and Lower Brule Indian Reservations.

**Credentials/Documentation:**

Cooperative agreements for construction of projects entered into for the Lyman-Jones Rural Water System must be in accordance with the final engineering reports submitted by each project applicant.

**Preapplication Coordination:**

Preapplication is not required. Depending on the project, an environmental impact assessment or statement may be required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

At the present time, program funding is limited to amendments of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications. Responsibilities for needs assessments, feasibility and environmental studies, design, conservation measures and administration are to be included in agreements negotiated under this authority.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

The Federal share of tribal projects is 100 percent. The Federal share of the West River/Lyman Jones projects is 80 percent. (Public Law 103-434, Section 805)

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipients at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$24,221,000; FY 08 est \$26,309,000; and FY 09 est \$30,650,000.

**Range and Average of Financial Assistance:**

Average-\$26,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Required technical and environmental reports for the construction of municipal, rural, and industrial systems; and construction of the systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: PO Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov/](mailto:dbreitzman@gp.usbr.gov/).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, PO Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, E-mail: [kbanks@gp.usbr.gov/](mailto:kbanks@gp.usbr.gov/).

**Web Site Address:**

<http://www.usbr.gov/gp/> or <http://www.wrlj.com/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The tribal municipal, rural and industrial projects; the tribal operation and maintenance activities; the West River/Lyman-Jones System municipal, rural and industrial water system.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.

### 15.523 PERKINS COUNTY RURAL WATER SYSTEM

(Perkins County Water Project)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Perkins County Rural Water System Act of 1999, Public Law 106-136.

**OBJECTIVES:**

To ensure conservation of the resources and to make the systems functional under the new water supply system.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Construction of a rural water supply system that will serve the members of the Perkins County Rural Water System, Inc. in Perkins County, South Dakota. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Perkins County Rural Water System, Inc., Perkins County, South Dakota.

**Beneficiary Eligibility:**

The members of Perkins County Rural Water System, Inc. in Perkins County, South Dakota.

**Credentials/Documentation:**

Completion of a final engineering report and plan for a water conservation program; plans for mitigation of fish and wildlife losses in accordance with Section 5 of the Act.

**Preapplication Coordination:**

Preapplication is not required. This project has met the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports and water conservation plans have been approved. Any proposed changes in the scope of this project will be reviewed for continued compliance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

At the present time, program funding is limited to amendments to the existing project agreement. Amendments to incorporate annual work plans and budgets are negotiated annually with Perkins County Rural Water System, Inc.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

The Federal share of the project is 75 percent. (Section 7).

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 for fiscal years ending after December 1, 2003 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$125,000; FY 08 est \$3,060,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Average-\$2,381,000.

**PROGRAM ACCOMPLISHMENTS:**

Required technical and environmental reports for the construction of water supply systems; and continued work on construction of the system.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov/](mailto:dbreitzman@gp.usbr.gov/).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, E-mail: [kbanks@gp.usbr.gov/](mailto:kbanks@gp.usbr.gov/).

**Web Site Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Continuing construction of the water supply system.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

### 15.524 RECREATION RESOURCES MANAGEMENT

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Water Projects Recreation Act of 1965, Public Law 89-72 as amended; Reclamation Recreation Act of 1992, Public Law 102-575, Title XXVIII.

**OBJECTIVES:**

To provide opportunities for public recreation at Bureau of Reclamation or other publicly-owned water projects, and to encourage State, county, and local governments to fund and manage recreation resources at these project areas.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cost sharing agreements are used to provide assistance to non-Federal managing partners for the long-term management and care of publicly-owned recreation resources, and for the planning, construction and other facets of improving

recreation access and assets. Concession contracts are not authorized by the above authorities.

**Applicant Eligibility:**

State and local government entities that are willing to manage and maintain publicly-owned recreation facilities and assets.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Public Law 89-72 requires that State and local governments indicate their intent in writing to agree to administer project land and water.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov/](http://www.grants.gov/).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications are reviewed by the Bureau of Reclamation office having administrative jurisdiction of the land and water areas being considered for public recreation purposes. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. There are no other additional requirements and the office having jurisdiction may issue a management agreement.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov/](http://www.grants.gov/).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov/](http://www.grants.gov/) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. Management agreements are renewable if both the Bureau of Reclamation and the State or local partner are in mutual agreement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Funding announcements will include information on cost sharing requirements applicable to the specific project. In the case of recreation development, a minimum cost share of 50 percent would be required from a non-Federal partner. For fish and wildlife enhancement projects, the Federal share may be up to 75 percent of the project cost. (16 U.S.C. 4601-13(a)).

**Length and Time Phasing of Assistance:**

Agreements are typically for one to five years depending on the type of project.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$3,232,789; FY 08 not separately identifiable; and FY 09 est \$4,000,000.

**Range and Average of Financial Assistance:**

Range \$5,000 to \$6,000,000 Average-\$272,000.

**PROGRAM ACCOMPLISHMENTS:**

Cost-sharing agreements have been awarded since 1965. Numerous agreements have been awarded to State and local governmental entities for the management of recreation resources. The funds awarded through cost-sharing agreements have for the most part gone to plan, develop, operate, and maintain recreation facilities on Bureau of Reclamation land and water.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/); Program information is included in the Reclamation Manual, LND PO4, available at <http://www.usbr.gov/recman/lnd/lnd-p04.pdf/>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Pacific Northwest Region: (208) 378-5312; Mid-Pacific Region: (916) 978-5558; Lower Colorado Region: (702) 293-8375; Upper Colorado Region: (801) 524-3765; Great Plains Region: (406) 247-7714.

**Headquarters Office:**

Vernon Lovejoy, Bureau of Reclamation, P.O. Box 25007 (84-53000), Denver, Colorado 80225-0007. Telephone (303) 445-2913. Fax 303-445-6690. E-mail: [vlovejoy@do.usbr.gov](mailto:vlovejoy@do.usbr.gov).

**Web Site Address:**

<http://www.usbr.gov/pmts/planning/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Management agreements with State and local governments providing for long-term management of public recreation resources at Horsetooth, Jordanelle, Cascade, Folsom, and Coachella Reservoirs; shoreline stabilization; Americans with Disabilities Act compliance projects; boat ramp replacement; and operation and maintenance of designated fish and wildlife areas and facilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov/](http://www.grants.gov/).

## 15.525 ROCKY BOY'S/NORTH CENTRAL MONTANA REGIONAL WATER SYSTEM

(North Central Montana Rural Water Supply Project)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Financing Amendments Act of 2002, Title IX; Rocky Boy's/North Central Montana Regional Water System Act of 2002, Public Law 107-331.

**OBJECTIVES:**

To ensure a safe and adequate rural, municipal, and industrial water supply for the residents of the Rocky Boy's Reservation in the State of Montana, and to assist the citizens residing in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana, but outside the Reservation, in developing safe and adequate rural, municipal, and industrial water supplies.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Construction of a rural water supply system that will serve the Chippewa-Cree of the Rocky Boy's Indian reservation and the surrounding, off-reservation communities in north central Montana. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Chippewa-Cree of the Rocky Boy's Indian Reservation and the North Central Montana Regional Water Authority.

**Beneficiary Eligibility:**

The Chippewa-Cree of the Rocky Boy's Indian Reservation and inhabitants of the areas served by the North Central Montana Regional Water Authority in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

The Bureau of Reclamation Great Plains Region, will assist the Chippewa-Cree of the Rocky Boy's Indian Reservation and members of the North Central Montana Regional Water Authority, in preparing their respective annual funding agreements. This program is excluded from coverage under E.O.12372.

**Application Procedure:**



At the present time, program funding is provided only for the continuation of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually with the current recipients. Current recipients submit applicable SF-424 forms, technical proposals, and budget narratives for Bureau of Reclamation review.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

The Federal share of the Rocky Boy's Rural Water System project is 100 percent. The Federal share of the North Central Montana Regional Water Authority project is 80 percent. (Section 904(b) and (c), Section 905(b)).

**Length and Time Phasing of Assistance:**

Funds are to be available until expended.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$7,000,000; FY 08 est \$5,704,015; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Average \$4,250,000.

**PROGRAM ACCOMPLISHMENTS:**

Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; beginning construction of the systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/) These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137. Telephone: (406) 247-7298, E-mail: [djewell@gp.usbr.gov/](mailto:djewell@gp.usbr.gov/).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, PO Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, E-mail: [kbanks@gp.usbr.gov/](mailto:kbanks@gp.usbr.gov/).

**Web Site Address:**

<http://northcentralmontanawater.org/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Initial construction activities for the water supply system.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

## 15.526 SAN GABRIEL BASIN RESTORATION PROJECT

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

San Gabriel Basin Restoration Project, Appendix D, Division B, Title I, Section 110, Public Law 106-554, as amended; Energy and Water Development Appropriations Act, 2002, Title II, Section 202, Public Law 107-66; and Section 2 of Reorganization Plan Number 3 of 1950, 64 Stat. 1262, as amended.

**OBJECTIVES:**

To design, construct, operate, and maintain water quality projects within the San Gabriel Basin, Los Angeles County, California.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project grants can only be issued to reimburse recipients for the Federal share of costs associated with the design, construction, operation, and maintenance of water quality improvement projects within the San Gabriel Basin, located in Los Angeles County, California.

**Applicant Eligibility:**

San Gabriel Basin Water Quality Authority (or its successor agency) and/or the Central Basin Municipal Water District.

**Beneficiary Eligibility:**

General public, all users and indirect users of groundwater supplies in the San Gabriel Basin.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Applicants are encouraged to consult with the Bureau of Reclamation, Southern California Area Office (SCAO), for assistance in preparing project proposals and preliminary review of project descriptions and budgets, including assurance of compliance with the National Environmental Policy Act and related laws and orders. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant must submit SF 424 Application for Federal Assistance documents; detailed project technical descriptions and budgets; and all information required under the terms of the applicable appropriations law.

**Award Procedure:**

Bureau of Reclamation personnel will review (1) the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law, (2) the project budgets and description to ensure the appropriation language requirements are met, and (3) the project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed by both parties.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Typical range of 2 to 6 weeks.

**Appeals:**

None.

**Renewals:**

Extensions may be applicable and are subject to appropriated funds. Revised SF 424 forms are required when applicable.

**Formula and Matching Requirements:**

A minimum of 35 percent nonFederal cost share is required by Public Law 106-554, Section 110(a)(3)(B), as amended. The cost share can be provided from any nonFederal source; and, in accordance with Section 110(a)(3)(B)(iii), credit toward the nonFederal cost share can be given for the value of certain prior project expenditures.

**Length and Time Phasing of Assistance:**

Agreements for planning and construction projects are generally awarded for up to 5 years. Funds for operation and maintenance can be provided for a period not to exceed 10 years following the initial date of operation of the project, or until the project funding ceiling has been reached, whichever occurs first.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF 269/SF 269a Financial Status Reports, (2) SF 272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF 269/SF 269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A 133 (Revised, June 27, 2003), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A 133.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. State, Local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**  
14-5483-0-2-301.

**Obligations:**  
FY 07 \$753,313; FY 08 est \$400,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**  
Average \$3,890,646.

**PROGRAM ACCOMPLISHMENTS:**

Five grant agreements have been executed to design, construct, operate, and maintain facilities that will extract contaminated groundwater from the San Gabriel Basin, treat it to potable standards, and use the water for potable purposes. The projects will provide a safe source of potable water while remediating groundwater contamination that has been designated as operable units under the EPA superfund program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). Program guidelines: Department of the Interior, Delegation of Authority for the San Gabriel Basin Restoration Project, Order No. 3241, Amendment No. 4; San Gabriel Basin Water Quality Authority, Federal Funding Program Administration guidelines, <http://www.wqa.com/pdfs/FFPA3.pdf>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Dennis Wolfe, Area Engineer, Southern California Area Office, Telephone: (951) 695-5310; Fax: (951) 695-5319; E-mail: [dwolfe@lc.usbr.gov](mailto:dwolfe@lc.usbr.gov).

**Headquarters Office:**  
None.

**Web Site Address:**  
<http://www.usbr.gov/lc/socal/>.

**RELATED PROGRAMS:**

15.504, Water Reclamation and Reuse Program.

**EXAMPLES OF FUNDED PROJECTS:**

San Gabriel Valley Groundwater Remediation, Central Basin Water Quality Protection Plan.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the San Gabriel Basin Water Quality Authority or the Central Basin Municipal Water District. Projects must improve the quality of the groundwater in the San Gabriel Basin, located in Los Angeles County, California. The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.

## 15.527 SAN LUIS UNIT, CENTRAL VALLEY PROJECT

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

San Luis Unit, Central Valley Project Act of June 3, 1960, Public Law 86-488, 74 Stat. 156, Section 5.

**OBJECTIVES:**

Construction and operation of drainage facilities designed to serve the general area of which the lands to be served by the San Luis Unit are a part.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To be used for projects that will result in construction and operation of drainage facilities in the San Luis Unit and adjacent areas.

**Applicant Eligibility:**

Any responsible source, to include irrigation and/or water districts, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, irrigation and/or water districts, State and local entities, farmers and ranchers, agricultural producers, and property owners.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration

procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov/](http://www.grants.gov/).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area; however, non-Federal experts may be utilized for specific project reviews. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

There is no statutory requirement for cost sharing; however, applicants are encouraged to provide a cost share whenever possible.

**Length and Time Phasing of Assistance:**

Length and time phasing information, as applicable, will be included in funding announcements for this program on [www.grants.gov/](http://www.grants.gov/).

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$3,500,000; FY 08 not separately identifiable; and FY 09 est \$800,000.

**Range and Average of Financial Assistance:**

Range: \$16,345 to \$1,650,000; Average: \$246,770.

**PROGRAM ACCOMPLISHMENTS:**

During FY 2006, projects were awarded for drainage water reuse and drainage water treatment projects dealing with drainage water from approximately 90,000 acres of San Luis Unit area lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation.

**Regional or Local Office:**

Technical/Program Information: Bureau of Reclamation, South-Central California Area Office, Attention: Michael Delamore, 1243 N Street, Fresno, CA, 93721. Telephone: (559) 487-5039. Fax: (559) 487-5130. E-mail: [mdelamore@mp.usbr.gov/](mailto:mdelamore@mp.usbr.gov/). Acquisition Office: Bureau of Reclamation, Mid-Pacific Regional Office, Acquisition Services, 2800 Cottage Way, Room E-

1815, Sacramento, California 95825-1898. Telephone: (916) 978-5130. Fax: (916) 978- 5175/5182. E-mail: 2WG3@mp.usbr.gov/.

**Headquarters Office:**

None.

**Web Site Address:**

[http://www.mp.usbr.gov/.](http://www.mp.usbr.gov/)

**RELATED PROGRAMS:**

15.506, Water Desalination Research and Development Program.

**EXAMPLES OF FUNDED PROJECTS:**

Agricultural drain water reuse and drainage water treatment.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov/](http://www.grants.gov/).

## 15.528 ST. MARY STORAGE UNIT FACILITIES REHABILITATION PROJECT

(St. Mary Rehabilitation Project)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Energy and Water Development Appropriations Act, 2006, Title II, Public Law 109-103.

**OBJECTIVES:**

To fund the collection of technical and environmental data to be used to evaluate potential rehabilitation of the St. Mary Storage Unit facilities, Milk River Project, Montana.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cost ceiling of \$500,000. Cooperative agreements may be awarded to the State of Montana and/or the Blackfoot Tribe to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient.

**Applicant Eligibility:**

The State of Montana and the Blackfoot Tribe of Montana.

**Beneficiary Eligibility:**

The citizens of the State of Montana and the Blackfoot Tribe of Montana.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

If requested, the Bureau of Reclamation's Great Plains Region will assist both the State of Montana and the Blackfoot Tribe of Montana in preparing their respective proposals. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) A detailed written technical proposal including background data regarding the applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal, including a budget with the estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the value of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective scopes of work, Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with both the State of Montana and the Blackfoot Tribe. The Tribe may choose to enter into an agreement under Public Law 93-638 the Indian Self-Determination and Education Assistance Act.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Reports:**

Draft and final technical reports; SF-269A (quarterly), financial reports (quarterly), progress reports (quarterly); annual report; reports on significant developments (as necessary).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$452,453; FY 08 \$0; and FY 09 \$0.

**Range and Average of Financial Assistance:**

\$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Reports that provide technical and environmental data necessary to evaluate the potential rehabilitation of the St. Mary Storage Unit facilities, Milk River Project, Montana.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, Address: PO Box 30137, Billings, MT, 59107-0137, Telephone: (406) 247-7298, E-mail: [djewell@gp.usbr.gov](mailto:djewell@gp.usbr.gov).

**Headquarters Office:**

Great Plains Region Office: Mr. Kimball M. Banks, Tribal and Financial Assistance Officer, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, MT 59101, Telephone: (406) 247-7710, Fax: (406) 247-7695, E-mail: [kbanks@gp.usbr.gov](mailto:kbanks@gp.usbr.gov).

**Web Site Address:**

[http://www.usbr.gov/gp/.](http://www.usbr.gov/gp/)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

## 15.529 UPPER COLORADO AND SAN JUAN RIVER BASINS ENDANGERED FISH RECOVERY PROGRAMS

(Upper Colorado and San Juan River Recovery Implementation Program)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs, Public Law 106-392, 114 Stat. 1602, as amended; Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs Extension, Public Law 107-375, 116 Stat. 3113.

**OBJECTIVES:**

To authorize the Bureau of Reclamation to provide cost sharing for the endangered fish recovery implementation programs for the Upper Colorado and San Juan River Basins.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Recovery Implementation Programs are designed to help recover the Colorado Pikeminnow, the Razorback Sucker, Bonytail, and the Humpback Chub while allowing water development to continue in the Upper Colorado and San Juan River Basins. The term "Recovery Implementation Programs" means the intergovernmental programs established pursuant to the 1988 and 1992 Cooperative Agreement described in Section 2 of the Act. The major portion of the work (between 90 percent to 97 percent) will be accomplished through mandatory grant and cooperative agreement awards established by these intergovernmental Cooperative Agreements. The types of projects authorized by these Cooperative Agreements include Administration of Water Rights;



Oversight of the Development of Water Resources; Protection and Management of Fish and Wildlife Resources; Projects related to Tribal Sovereignty; Long Range Plan and Program Goal Development; Protection, Management and Augmentation of Habitat; Interactions Between Native and Non-Native Fish Species; and Monitoring and Data Management. Periodically, the Bureau of Reclamation will have discretionary funding available to make awards for certain types of projects. When this project funding becomes available, funding opportunity announcements will be posted to [www.grants.gov](http://www.grants.gov).

**Applicant Eligibility:**

Federal and non-Federal entities.

**Beneficiary Eligibility:**

Indian Tribes in the location of the San Juan River Basin and in the Duchesne River Basin, and the general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Depending on the project to be accomplished, an environmental impact statement may be required for this program, but not until after receipt of applications. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

All discretionary funding opportunities will be posted on [www.grants.gov](http://www.grants.gov). The funding opportunity will include the name of the Federal agency, the Funding Opportunity Title of work associated with the project, the application due date, eligible applicants, the federal funding amounts per agreement, the estimated number of agreements to be awarded, and the overall total amount of funding available for awards. All applicants, whether submitting projects under the mandatory or discretionary portions of this authority, will be required to submit a Standard Form 424, Application for Federal Assistance, and Standard Forms 424B or 424D for Assurances must also be submitted. A detailed budget worksheet guide form will be included to assist in preparation of the budgeted amount requested. The Funding Opportunity posting will identify the program description, background and purpose, program objectives, objective or request for proposals, eligible projects, types of projects, and program authority. General provisions and special provisions, along with reporting requirements will be identified to provide applicants with information that must be followed if an award is made. The funding opportunity will identify a point of contact for assistance or consultation for preparing the form.

**Award Procedure:**

Upon receipt of applications by the date identified in the announcement(s), the applications will be reviewed to determine if applications are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed by a Federal technical team of experts (along with state and private advisors) against identified criteria. Negotiations, revised applications, or awards will be made based on recommendations from the technical experts. Proposals submitted under the mandatory authority portion of this program will undergo a similar review and screening procedure.

**Deadlines:**

Any required deadlines for discretionary projects will be posted at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

90 Days.

**Appeals:**

Not applicable. The Bureau of Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

None.

**Formula and Matching Requirements:**

Non-Federal contributions to capital projects shall be made in accordance with the provisions of Section 3(c) of the Act. Contact the Regional Office listed in the contacts section, below, for further information regarding cost sharing requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003)

a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and accomplishments, or awards achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after final request of reimbursement.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

FY 07 \$11,480,000; FY 08 est \$1,600,000; and FY 09 est \$1,900,000.

**Range and Average of Financial Assistance:**

From \$16,080 to \$289,394; with an average of \$136,808.

**PROGRAM ACCOMPLISHMENTS:**

No applications were received in FY 2006. In prior years, an average of approximately 121 scopes of work per year are funded for both the Upper Colorado and the San Juan Programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

Brent Uilenberg, 2764 Compass Drive, Grand Junction, CO 81506, Telephone: (970) 248-0641, E-mail: [builenberg@uc.usbr.gov](mailto:builenberg@uc.usbr.gov).

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/uc/wcao/rm/sjrip/> and <http://www.fws.gov/southwest/sjrip/index.html/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Geomorphology projects, Fish Hatchery work (Raising and monitoring endangered Fish), Water Temp and Data Collection, Identification of characteristics of species spawning, population and habitat, Channel Morphology, Assessing population of endangered species and trophy fish, Habitat mapping, Rearing Pond Improvements, and Research Support for a Larval Fish Lab.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

## 15.530 WATER CONSERVATION FIELD SERVICES PROGRAM (WCFSP)

(WCFSP)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Soil and Moisture Conservation Act of 1935, Public Law 74-46, 49 Stat 163, 16 U.S.C. 590 et seq., (through Section 6 of Reorganization Plan No. IV - 1940); Fish and Wildlife Coordination Act, Public Law 85-624, 75 Stat. 563, 16 U.S.C. 661 et seq. (through Secretarial delegation at 255 DM 14); Reclamation Projects Authorization And Adjustment Act of 1992, Title XVI-Reclamation Wastewater and Groundwater Studies, and Title XXXIV-Central Valley Project Improvement Act, Public Law 102-575; Energy and Water Development Appropriations Act, 2006, Title II, Section 205, Publication Law 109-103.

**OBJECTIVES:**

The goal of the Water Conservation Field Services Program (WCFSP) is to actively encourage water conservation and efficient use of water supplies on Federal Reclamation projects, assist water districts with their responsibility to develop water conservation plans, implement measures identified in their plans, and complement and support State and other conservation programs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funding is to be used for projects that fall under the following categories: (1) development of water management and conservation plans; (2) demonstration activities; and (3) implementation of efficiency measures. Financial assistance is generally limited to \$25,000 or less.

**Applicant Eligibility:**

Depending on the authorizing legislation, agricultural and/or municipal/industrial water districts, irrigation districts, water districts or entities, communities, state or local water agencies, water-related non-profit organizations, small entities (public or private) that have contracts for water with Reclamation under the Warren Act, Native American Tribes, universities or educational institutions proposing to conduct water conservation activities within Reclamation boundaries.

**Beneficiary Eligibility:**

The general public and irrigation or water districts located in the 17 western States identified in the Act of June 17, 1902, as amended; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. The number of awards and maximum funding amount per award are determined on an annual basis and are dependent upon the amount of available funding in each Region.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov) or you may contact the appropriate WCFSP Coordinator, listed below, for further information.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement, or you may contact the appropriate WCFSP Coordinator, listed below, for information.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for activities within the WCFSP from one fiscal year to the next is at the discretion of Congress. Generally, applicants should propose projects that can be completed within 24 months from the project start date. However, multi-year proposals may be considered if it can be demonstrated that there will be measurable on-the-ground accomplishments each year.

**Formula and Matching Requirements:**

The Federal share of the cost of a project or activity carried out under the WCFSP shall generally not exceed 50 percent of the total cost of the project or activity, and dependent on the project and authorizing legislation, the Federal share of project funding may be less than 50 percent. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority of this program shall be nonfederal responsibilities. Cost-share requirements may vary by Region. Please contact the Regional or Area Office Water Conservation Coordinator located in the Region in which the proposed project is located for specific information. Projects awarded under the following authorities have mandatory recipient cost sharing requirements as follows: Reclamation Projects Authorization and Adjustment Act of 1992, Title XVI-Reclamation Wastewater and Groundwater Studies, requires up to a 50 percent cost share for projects awarded under Section 1604 and requires a 50 percent cost share for projects awarded in accordance with Section 1605; Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Public Law 102-575, cost share varies in accordance with the type of project (see Section 3406 and 3407); and the Energy and Water Development Appropriations Act, 2006, Title II, Public Law 109-103, requires a 50% cost share in accordance with Section 205.

**Length and Time Phasing of Assistance:**

Projects typically are awarded for up to 24 months; however, some projects may be awarded for periods of up to 5 years.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit

a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1968-0-1-301.

**Obligations:**

FY 07 \$1,548,998; FY 08 est \$14,340,000; and FY 09 est \$4,594,000.

**Range and Average of Financial Assistance:**

Not separately identifiable.

**PROGRAM ACCOMPLISHMENTS:**

Assistance to districts towards development of water conservation plans, assistance with implementation of efficiency improvement measures identified in plans, demonstrations of new technology, leveraging of resources through collaboration between water districts and other entities by encouraging and developing partnerships.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

Regional contact information may be found at <http://www.usbr.gov/waterconservation/wtrctr.html>. This website includes a map to help you locate the appropriate office for your area. Not Applicable.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/waterconservation/>.

**RELATED PROGRAMS:**

15.507, Water 2025.

**EXAMPLES OF FUNDED PROJECTS:**

Development of water conservation plans, implementation of water management efficiency improvements identified in plans such as canal lining, installation of automated control gates, installation of sprinkler and drip irrigation systems, and basin leveling and grading.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.531 YAKIMA RIVER BASIN WATER ENHANCEMENT PROJECT (YRBWEP)****FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title XII, Yakima River Basin Water Enhancement Project, Public Law 103-434.

**OBJECTIVES:**

Within the Yakima River Basin: (1) to protect, mitigate, and enhance fish and wildlife through improved water management; improved instream flows; improved water quality; protection, creation and enhancement of wetlands; and by other appropriate means of habitat improvement; (2) to improve the reliability of water supply for irrigation; (3) to authorize a Yakima River basin water conservation program that will improve the efficiency of water delivery and use; enhance basin water supplies; improve water quality; protect, create and enhance wetlands, and determine the amount of basin water needs that can be met by water conservation measures; (4) to realize sufficient water savings from the Yakima River Basin Water Conservation Program so that not less than 40,000 acre-feet of water savings per year are achieved by the end of the fourth year of the Basin Conservation Program; (5) to encourage voluntary transactions among public and private entities which result in the implementation of water conservation measures, practices and facilities; and (6) to provide for the implementation by the Yakima Indian Nation at its sole discretion of (A) an irrigation demonstration project on the Yakima Indian Reservation using water savings from system improvements to the Wapato Irrigation Project, and (B) a Toppenish Creek corridor enhancement project integrating agricultural, fish, wildlife, and cultural resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To participate in the Conservation Basin Program an entity must submit a proposed water conservation plan to the Secretary of the Interior. Assistance is limited to those entities (districts, irrigation districts, individuals, or other entities) that equip all surface water delivery systems within their boundaries with volumetric water meters or equally effective water measuring methods within five years of the date of enactment of this Act. The Yakima Nation is not included in the provisions of this, Section 1203, except as to any funds specifically applied for from the Basin Conservation Program. The Secretary of the Interior may use appropriated funds to purchase, or lease, land, water, or water rights from an entity or individual willing to limit or forego water use on a temporary or permanent basis. Funds used for purchase or lease under this paragraph are not subject to the cost sharing provisions of Section 1203(d).

**Applicant Eligibility:**

State of Washington, and Federally Recognized Indian Tribal Governments, water and irrigation districts, and water rights owners located in the project area.

**Beneficiary Eligibility:**

Anyone/General Public, Intrastate, Local, Individual/Family, and Federally Recognized Indian Tribal Governments within the project area.

**Credentials/Documentation:**

Eligible entities must submit a proposal to develop a Water Conservation Plan. Once the Water Conservation Plan has been developed it is to be submitted to the Bureau of Reclamation, Pacific Northwest Region, Upper Columbia Area Office, in accordance with the information included in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov). Only entities with approved Water Conservation Plans are eligible for consideration for feasibility studies. Only entities with an approved Water Conservation Plan and approved feasibility study are eligible for potential implementation of conservation measures.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of personnel from the Bureau of Reclamation, Pacific Northwest Regional Office, who are qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Entities meeting the basic criteria for participation in the YRBWEP must enter into a cost sharing agreement prior to beginning project work.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

None.

**Formula and Matching Requirements:**

Unless otherwise stated in the Act: (1) Development of water conservation plans 50 percent nonFederal share, but not more than \$200,000 per recipient; (2) Investigation of specific water conservation measures 50 percent State share and 20 percent local share, but sum of (1) and (2) shall not be greater than \$200,000 per recipient; (3) and (4) Implementation and post implementation monitoring and evaluation 17.5 percent State share, and 17.5 percent local share.(Section 1203(d)).

**Length and Time Phasing of Assistance:**

Agreements are normally written for a 1 to 5 year period. Implementation agreements may be written to cover the period estimated in the approved Water Conservation Plan and Feasibility Study.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status

Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 \$9,865,864; FY 08 est \$6,500,000; and FY 09 est \$8,000,000.

**Range and Average of Financial Assistance:**

Range from \$5,000 to \$21,000,000; Average \$6,557,087.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006, SDBOC will continue their improvement projects and an award to The Benton Irrigation District is expected to be finalized for an implementation grant to launch a multi-year project to improve their water delivery systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

James A. Esget, YRBWEP Manager, 1917 Marsh Rd., Yakima, WA 98901. Telephone: (509) 575-5848 Ext. 267, Fax: (509) 454-5611, E-mail: [jesget@pn.usbr.gov](mailto:jesget@pn.usbr.gov).

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/pn/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development/Updating of Water Conservation Plan, Conduct Feasibility Study of Measures Identified in Water Conservation Plan, Implementation of Water Conservation Measures.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). Initial selection based on projects that would meet/fulfill the objectives of YRBWEP. After Water Conservation Plans are approved, feasibility studies are approved for those projects/measures that appear to result in the greatest benefit to YRBWEP. Implementation awards are based on those that are the most cost effective and result in the greatest water savings.

## 15.532 CENTRAL VALLEY PROJECT, TRINITY RIVER DIVISION, TRINITY RIVER FISH AND WILDLIFE MANAGEMENT

(Trinity River Restoration Program)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Central Valley Project Improvement Act (CVPIA), 1992, Public Law 102-575, Title 34, Section 3406(b)(1).

**OBJECTIVES:**

To address impacts of the Central Valley Project (CVP) on fish, wildlife, and associated habitats in the Trinity River basin of California by protecting, restoring, and enhancing such habitats and to address other identified adverse environmental impacts of the Central Valley Project.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

All funding is discretionary and intended for projects that support the goals and objectives of the Program and meet the requirements specified in the CVPIA and Record of Decision.

**Applicant Eligibility:**



State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, federally recognized Indian Tribal governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A request for applications (RFA) will be posted at Grants.gov as funding is made available by the Bureau of Reclamation. Applications shall include: 1) A detailed written technical proposal that should include information such as a scope of work which separates the work into major tasks, the approach proposed to accomplish the work, type of personnel who will participate in accomplishing the work, background and location of applicant, any equipment that will be utilized by the project applicant, experience in this type of work, an estimate of the costs and/or cost savings, any economic benefit, and any other information that may be useful for proposal evaluation. 2) A detailed cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. In addition, applicants must submit all applicable SF 424 forms, which are referenced in the RFA.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the RFA are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the RFA. The review team will consist of Federal personnel and qualified non-Federal personnel when specific expertise is required by the review team. The Bureau of Reclamation will make awards to the highest rated proposals based on the amount of funding available each year. The Bureau of Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the RFA.

**Deadlines:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be provided for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov).

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements; however, project cost sharing is encouraged.

**Length and Time Phasing of Assistance:**

Proposals will be requested for projects of varying durations.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF- 269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

FY 07 \$1,705,038; FY 08 est \$1,000,000; and FY 09 est \$1,500,000.

**Range and Average of Financial Assistance:**

Range \$24,000 - \$550,000; Average \$170,000.

**PROGRAM ACCOMPLISHMENTS:**

To date, program accomplishments include completion of modifications on four bridges; modification of floodplain infrastructures allowing for peak releases of up to 11,000 cubic feet per second; completion of the two largest releases for fishery restoration purposes since the opening of the dams in 1963; and construction of several channel rehabilitation projects. It is anticipated that 8 to 10 projects will be awarded funding in fiscal year 2007. Depending on funding appropriations, a similar number of awards are projected for fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html).

**Regional or Local Office:**

Bureau of Reclamation, Trinity River Restoration Program, Attn: Doug Schleusner, P.O. Box 1300, Weaverville, CA 96093. Telephone: (530) 623-1800. Fax: (530) 623-5944.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usbr.gov/mp/nao/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Public Information and Outreach, Watershed Coordination, Target Watershed Implementation, Grass Valley Creek Watershed Monitoring, and Habitat Assessment.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria will vary according to project and will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.533 CALIFORNIA WATER SECURITY AND ENVIRONMENTAL ENHANCEMENT**

(CALFED)

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Water Supply, Reliability, and Environmental Improvement Act, Title I California Water Security and Environmental Enhancement, Public Law 108-361.

**OBJECTIVES:**

The purpose of the CALFED Bay-Delta Authorization Act is to authorize the Secretary of the Interior and the heads of the other Federal implementing agencies to carry out specific activities identified in the Act in furtherance of the CALFED Bay-Delta Program as set forth in the CALFED Bay-Delta Program Record of Decision dated August 28, 2000. The primary objectives of the program are to expand water supplies to ensure efficient use through an array of projects and approaches, improve water quality from source to tap, improve the health of the Bay-Delta system through restoring and protecting habitats and native species, and improve the Bay-Delta levees to provide flood protection, ecosystem benefits, and protect water supplies.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2007, appropriations provided to the Bureau of Reclamation are limited to supporting the development of activities that will contribute to implementation of Delta Vision under Section 103(f)(4)(A) and (B) of Public Law 108-361. Available funding is limited to grants and cooperative agreements with agencies of the State of California that will lead toward the establishment of a sustainable management program for the Sacramento-San Joaquin Bay. Of the amounts made available under Section 103(f)(A), not less than 50 percent shall be provided to the California Bay-Delta Authority to carry out Program-wide management, oversight, and coordination activities.

**Applicant Eligibility:**

Agencies of the State of California.

**Beneficiary Eligibility:**

The general public located in and near the California Bay-Delta area.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicant must submit all applicable SF-424 forms; and a statement of work separating the work into major tasks, level of cooperation with parties involved, and how the subject proposal will provide the outcome sought.

**Award Procedure:**

Applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal or non-Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Maximum funding amount is dependent upon the annual appropriation from Congress.

**Deadlines:**

Contact the Bureau of Reclamation, Mid-Pacific Region, MP-120 Special Projects Office, Sacramento, CA at (916) 978-5022.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project or activity.

**Appeals:**

None.

**Renewals:**

Continuation of funding from one fiscal year to the next is at the discretion of Congress.

**Formula and Matching Requirements:**

The Federal share of the costs of a project or activity carried out under this Program may vary dependent upon activity and authority. Costs of operation, maintenance, repair and rehabilitation of facilities shall be a nonfederal responsibility. Per Section 103(f)(4)(B), PROGRAM-WIDE ACTIVITIES, of the amount referred to in subparagraph (A), not less than 50 percent of the appropriated amount shall be provided to the California Bay-Delta Authority to carry out Program-wide management, oversight, and coordination activities.

**Length and Time Phasing of Assistance:**

Generally for 24 months or less; multi-year projects may be considered if justified and annual accomplishments can be demonstrated.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-269/SF-269a Financial Status Reports, (2) SF-272 Report of Federal Cash Transactions, and (3) Program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final: (1) SF-269/SF-269a Financial Status Report, (2) final program performance report, and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

10-0687-0-1-301.

**Obligations:**

(Grants) FY 07 \$1,000,000; FY 08 not separately identifiable; and FY 09 est. \$3,500,000.

**Range and Average of Financial Assistance:**

Range \$35,000 - \$1,650,000; average \$281,663.

**PROGRAM ACCOMPLISHMENTS:**

For Fiscal Year 2006, the Bureau of Reclamation awarded \$2.8 million in CALFED Water Use Efficiency (WUE) grants for projects located throughout California. As a participating agency in the CALFED Bay-Delta Program, the Bureau of Reclamation's Mid-Pacific and Lower Colorado Regions worked in partnership with the California Department of Water Resources, State Water Resources Control Board, and CALFED to award WUE projects that had a defined relationship to the Bay-Delta. When the matching contributions of nonfederal partners are included, the selected projects represent a combined investment of more than \$6.5 million towards enhancing water management throughout the CALFED focus area.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

[www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1); OMB Circulars [www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); Standard Forms

[www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html); Documents may also be obtained by contacting the Bureau of Reclamation or CALFED at [calwater.ca.gov](http://calwater.ca.gov).

**Regional or Local Office:**

Bureau of Reclamation, Department of the Interior, Mid-Pacific Region, 2800 Cottage Way, Special Projects Office (MP-120), Sacramento, CA 95825; Telephone: (916) 978-5022; Fax: (916) 978-5528.

**Headquarters Office:**

Contact Regional Office.

**Web Site Address:**

[www.mp.usbr.gov](http://www.mp.usbr.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The CALFED WUE Grants program funded agricultural and urban projects that focused on improving ecosystem health, water supply reliability, or water quality of the Bay-Delta. Cost sharing was provided for system modernization improvements, measurement devices, seepage reduction, leak detection, landscape incentives, and weather-based irrigation controllers.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in application packages and any funding announcements posted on [www.grants.gov](http://www.grants.gov).

## 15.534 MISCELLANEOUS PUBLIC LAW 93-638 CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS

**FEDERAL AGENCY:**

BUREAU OF RECLAMATION, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, Title I, 25 U.S.C. 450 est. seq., as amended; and statutory authorities that authorize each specific project.

**OBJECTIVES:**

Project funds are to be provided on a non-reimbursable basis for construction and/or non-construction activities which are primarily for the benefit of Indians because of their status as Indians.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements); Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Contracts, grants, and cooperative agreements are authorized for construction and non-construction projects. Certain restrictions will be applicable based on the specific statutory authority that authorizes the project. This CFDA number will not be utilized if there is a more specific CFDA number applicable to the project such as for projects awarded under the Colorado Ute Indian Water Rights Settlement Act.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations in the 17 western states are eligible applicants; however, eligibility alone does not establish a "program."

**Beneficiary Eligibility:**

Federally recognized Indian tribes and tribal organizations.

**Credentials/Documentation:**

(1) Each contract, grant, or cooperative agreement requires project specific authority. (2) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. (3) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. (4) The awarded contract, grant, or cooperative agreement must contain an authorizing resolution of the governing body of the Indian tribe.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial proposals must contain the information specified as 25 CFR Part 900. Proposals shall be submitted to the applicable Reclamation office with responsibility for the specific project for which a Tribe or tribal organization proposes to participate. Reclamation will provide technical assistance to Tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

Reclamation and the Tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and

regulations. Reclamation and the Tribe also negotiate an Annual Funding Agreement (AFA), which identifies activities to be performed, funds to be provided, and the method of payment for the initial year of the contract. A final contract agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial AFA, property list, list of any applicable provisions, terms, and conditions.

**Deadlines:**

As specified within 25 CFR Part 900.

**Range of Approval/Disapproval Time:**

As specified for the project.

**Appeals:**

Not applicable.

**Renewals:**

Will vary with project and/or award.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Length of projects will vary.

**Reports:**

The reporting (financial status report and progress reports) requirements will be negotiated within the AFA or overarching terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82, Public Law 93-638, and 25 CFR Part 900.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

FY 07 not separately identifiable; FY 08 not separately identifiable; and FY 09 not separately identifiable.

**Range and Average of Financial Assistance:**

Average \$653,575.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 U.S.C. 450 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (2 CFR 225), and OMB Circular A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Commissioner, Bureau of Reclamation, 1849 C Street N.W., Washington, DC, 20240-0001, Telephone: (202) 513-0501.

**Web Site Address:**

<http://www.usbr.gov/native/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Operation and maintenance of Navajo Indian irrigation project facilities, conducting studies to identify water needs for the Tule River Reservation, pre-construction work for creation of a fish hatchery at Walker Lake, Rio Grande Restoration Project at Pueblo of Santa Ana, identify and evaluate the rehabilitation and betterment needs of the Crow Irrigation Project.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants must meet the requirements of Public Law 93-638, 25 CFR Part 900 and any additional criteria specific to the authorizing legislation for the project. The project must be contractible under Public Law 93-638.

**15.602 CONSERVATION LAW ENFORCEMENT TRAINING ASSISTANCE**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1958; 16 U.S.C. 661-666c; Fish and Wildlife Improvement Act of 1978, 16 U.S.C. 7421.

**OBJECTIVES:**

To provide training assistance to State conservation officers in criminal law, and the principles, techniques, and procedures of wildlife law enforcement.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Special Agents are available to assist in State conservation law enforcement training efforts as instructors for short periods of time. FWS Special Agents are available to assist and instruct State conservation law enforcement training

efforts for short periods of time. Funding represents cost to FWS.

**Applicant Eligibility:**

State agencies.

**Beneficiary Eligibility:**

State conservation law enforcement officers and officials.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Written request to the Assistant Director, Office of Law Enforcement.

**Award Procedure:**

Requests are acknowledged, and decisions on training are made according to availability of personnel.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately 15 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Salaries and expenses) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, assistance was provided to various State conservation agencies for staff training within the States.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Law Enforcement Workshop Notebook, Endangered Species Literature.

**Regional or Local Office:**

Federal Law Enforcement Training Center, Bldg. 69, Rm. 100, Glynco, GA 31524. Telephone: (912) 267-2370.

**Headquarters Office:**

Assistant Director, Office of Law Enforcement, Fish and Wildlife Service, Department of the Interior, 4401 N. Fairfax Drive, Room 520, Arlington, VA 22203. Telephone: (703) 358-1949.

**Web Site Address:**

[HTTP://www.le.fws.gov](http://www.le.fws.gov).

**RELATED PROGRAMS:**

16.300, Law Enforcement Assistance\_FBI Advanced Police Training; 16.012, Alcohol, Tobacco, and Firearms Training Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**15.605 SPORT FISH RESTORATION PROGRAM**

(Dingell-Johnson Program or D-J Program)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Dingell-Johnson Sport Fish Restoration Act of 1950, 64 Stat. 430, as amended 16 U.S.C. 777-777n.

**OBJECTIVES:**

Sport Fish Restoration funds support activities designed to restore, conserve, manage, or enhance sport fish populations and the public use and benefits from these resources; and to support activities that provide boating access to public waters. Sport fisheries research and management activities, boating access development and maintenance, aquatic resource education projects, lake construction and maintenance, land acquisition, technical assistance, planning, habitat enhancement, administration, coordination, and hatchery construction are eligible under the Act. Law enforcement and public relations are not eligible under the Act.

**TYPES OF ASSISTANCE:**



Formula Grants.

**USES AND USE RESTRICTIONS:**

Approvable activities include land acquisition, development (including boating access sites), research, operations and maintenance, sport fish population management and program coordination. Prohibited activities are law enforcement and public relations.

**Applicant Eligibility:**

Participation is limited to State, Commonwealth, or territorial agencies with lead management responsibility for fish and wildlife resources. States, Commonwealths, and territories must pass laws (assent legislation) for the conservation of fish, which includes a prohibition against diversion of license fees paid by anglers for purposes other than the administration of the State, Commonwealth, or territorial fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these fishery conservation measures.)

**Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary of the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid angler license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth, or territory for more information on the process required by the State, Commonwealth, or territory when applying for assistance, if the State, Commonwealth, or territory selected a program for review.

**Application Procedure:**

Grantee may document initial program by submission of a satisfactory fish conservation plan. Grantees will submit grant proposals that include a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justified and if funds are available.

**Formula and Matching Requirements:**

Formula-based apportionment; 40 percent based on land and water area of the State and 60 percent based on licensed anglers; no State receives more than 5 percent or less than one-third of 1 percent of the total funds apportioned to the program; the Commonwealth of Puerto Rico is apportioned 1 percent; and Guam, U.S. Virgin Islands, the Commonwealth of Northern Mariana Islands, American Samoa, and the District of Columbia are each apportioned up to one-third of 1 percent of the total apportioned. States may be reimbursed up to 75 percent of the total project cost. Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share could come from license fees paid by hunters. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

**Length and Time Phasing of Assistance:**

Sport Fish Restoration funds are available for a period of two years. Any funds not obligated within two years by a State, Commonwealth, or territorial fish and wildlife agency will revert to the U.S. Fish and Wildlife Service and placed back into the Sport Fish Restoration and Boating Trust Fund for obligation to States, Commonwealths, or territories in the following year's apportionment.

**Reports:**

A Performance Report and Financial Status Report are required for each grant or grant segment annually within 90 days after the anniversary date and/or end of

the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Grants) FY 07 \$349,089,063; FY 08 \$398,337,729; and FY 09 est \$410,000,000.

**Range and Average of Financial Assistance:**

\$900,000 to \$14,700,000; \$5,200,000.

**PROGRAM ACCOMPLISHMENTS:**

The Dingell-Johnson Sport Fish Restoration Act grant programs contribute significantly to the nation's aquatic recreation and fisheries conservation efforts. Already successful, the programs' accomplishments will continue to increase in the coming years because of the increased funding that is resulting from the SAFETEA-LU (Public Law 109-059) legislation. Some examples of activities planned by State, Commonwealth, and territorial fish and wildlife agencies in FY 2008 include: Acquire 494 acres of tidal marshes, 81 acres of tide flats, and 49 acres of uplands habitat in Oregon that is critical to Federal and State listed species, migratory shorebirds, and waterfowl. In addition, this will provide opportunities for a variety of public educational and recreational uses in Oregon; Replace the boat ramp and boat dock at Placid Lake State Park and pave the boating ramp access road and parking lot at Salmon Lake State Park in Montana; Conduct restoration and enhancement projects on American shad and hickory populations in three tributary rivers to the Chesapeake Bay in Maryland; and Operate and maintain 23 public lakes that will supply approximately 240,000 angler trips per year in 20 Alabama Counties.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80; Aquatic Resource Education Guide; and Fish and Wildlife Service Manual. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203.

Contact: Policy and Programs, Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program; 11.407, Interjurisdictional Fisheries Act of 1986; 15.608, Fish and Wildlife Management Assistance; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:**

Strawberry Reservoir Sport Fish Management - Utah: Biologists with the Utah Division of Wildlife Resources are managing the most popular sport fishery in Utah with 75% of the funding coming from the Sport Fish Restoration Fund. Strawberry Reservoir is 17,000 surface acres at maximum pool. Approximately 1.4 million angler hours of fishing occur on Strawberry Reservoir annually. In 2004, the average summer catch rate was 0.61 fish per hour. This was the third highest catch rate ever recorded for Strawberry Reservoir going back to 1947. Two full time biologist and many days of volunteer help from Strawberry Anglers (a volunteer angling group) manage this project. Perry R. Bass Marine Fisheries Station - Texas: Through funds from the Sport Fish Restoration program, the Perry R. Bass Marine Research Facility continues operation and maintenance practices to provide research on several saltwater species. In addition to the innovative marine research, the associated hatchery annually produces 4.5 million fry/fingerling of red drum and spotted sea trout. These fish generate more than 300,000 angler days annually along the Texas Gulf Coast.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of the State's, Commonwealth's, or territorial's fish resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.608 FISH AND WILDLIFE MANAGEMENT ASSISTANCE**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-742j; Sikes Act of 1974, as amended, 16 U.S.C. 670(a)-670(o); Alaska National Interest Lands Conservation Act, 16 U.S.C. 3101; Marine Mammal Protection Act of 1972, Public Law 92-522, as amended, 16 U.S.C. 1361-1421; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C. 4701-4741; Great Lakes Fish and Wildlife Restoration Act as amended 1998.

**OBJECTIVES:**

To provide technical information, advice, and assistance to other Federal agencies, other nations, States, and Native Americans on the conservation and management of fish and wildlife resources, including co-management by Alaskan Natives of marine mammals for subsistence use.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Assistance in the form of biological, chemical, and physical advice regarding land and water management and specific recommendations and plans based on the conditions found to exist. Stocking of fishes from National Fish Hatcheries and advising on wildlife management techniques may be management tools considered. The program does not provide financial assistance for construction of ponds, lakes, wood duck boxes, or for other purposes.

**Applicant Eligibility:**

Applicants may be other Federal agencies, State agencies, local governments, Native American Organizations, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests which support the mission of the Service on a cost recoverable basis.

**Beneficiary Eligibility:**

Federal agencies, State agencies, local governments, Native Americans, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests which support the mission of the Service on a cost recoverable basis.

**Credentials/Documentation:**

There must be factual evidence of the need for management assistance.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Generally in the form of a letter to the Regional Directors of the U.S. Fish and Wildlife Service stating the need for management assistance and requesting the services available.

**Award Procedure:**

After considering program commitments and obligations, State, Federal agencies, or Native Americans will generally be informed by letter from the Director or Regional Director, followed by development of a formal Memorandum of Agreement (MOA) or understanding (MOU).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable, however, assistance is provided only on a cost recoverable basis.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Reports are submitted annually to the entities involved. Occasionally, progress reports are considered to be advisable. Fish and Wildlife Management Plans are developed as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance

with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Grants) FY 07 \$250,000; FY 08 \$250,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fish and Wildlife Service provides technical assistance to more than 100 Native American Tribes, 254 National Wildlife Refuges, and 150 Department of Defense installations. Cooperative programs with the State conservation agencies and military installations have included joint studies of fishery and wildlife problems of major watersheds, large reservoirs, or streams. Through the Sikes Act, the Service has established a Memorandum of Understanding with the Department of Defense whereby fish and wildlife values are considered on military installations. The Service developed a policy in cooperation with Native Americans for fish and wildlife management on/off Tribal lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual Project Reports, Special Reports, and Fish and Wildlife Management Plans.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Division of Fish and Wildlife Management and Habitat Restoration, Room 840 ARLSQ, U.S. Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Telephone: (703) 358-1718. Use the same number for FTS.

**Web Site Address:**

HTTP://fisheries.fws.gov.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**15.611 WILDLIFE RESTORATION**

(Pittman-Robertson Program or P-R Program)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669-669k.

**OBJECTIVES:**

The Act provides funding for the selection, restoration, rehabilitation, and improvement of wildlife habitat; wildlife management research; wildlife population surveys and inventories; land acquisition, coordination; development of facilities; facilities and services for conducting a hunter education and safety program; and provisions for public use of wildlife resources. Some eligible activities include planting food plots for wildlife; posting boundaries on wildlife management areas; building roads and trails; controlling noxious vegetation; and providing public access to wildlife-related recreation opportunities. Section 4(c) Hunter Education program could include training in the safe handling and use of firearms and archery equipment; hunter responsibilities and ethics; construction, operation, and maintenance of public shooting ranges; and basic wildlife management and identification.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Approved activities include selection, restoration, rehabilitation, and improvement of wildlife habitat; wildlife management research; wildlife population surveys and inventories; land acquisition; coordination; development of facilities; facilities and services for conducting a hunter safety program; and provisions for public use of wildlife resources. Prohibited activities are law enforcement and public relations.

**Applicant Eligibility:**

Participation is limited to State, Commonwealth, or territorial agencies with lead management responsibility for fish and wildlife resources. States, Commonwealths, and territories must pass laws (assent legislation) for the conservation of wildlife, which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State, Commonwealth, or territorial fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures.)

**Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary of the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth, or territory for more information on the process required by the State, Commonwealth, or territory when applying for assistance, if the State, Commonwealth, or territory selected a program for review.

**Application Procedure:**

Grantees will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Average 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justified and if funds are available.

**Formula and Matching Requirements:**

Formula-based apportionment; 50 percent based on land area of the State, Commonwealth, or territory and 50 percent based on paid hunting license holders; no State may receive more than 5 percent or less than one-half of 1 percent of the total apportionment; the Commonwealth of Puerto Rico is apportioned up to one-half of 1 percent; and Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands each receive up to one-sixth of 1 percent of the total apportionment. One-half of the 11-12.4 percent excise tax on archery equipment and 10 percent excise tax on handguns, pistols, and revolvers make up the funding for Hunter Education program. The other one-half of the excise tax collected are for wildlife restoration purposes. Hunter Education funds are formula-based apportionment based on population of the States. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned. Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands receive up to one-sixth of 1 percent of the total apportionment. Statistical factors used for fund allocation are (1) States' percentage share of land area from 2000 Census of Population; (2) States' percentage share of number of paid hunting license holders, from the source annually certified by each State's fish and wildlife agency; (3) State's percentage share of population (hunter education) from the source 2000 Census of Population. Statistical factors used for eligibility do not apply for this program. States may be reimbursed up to 75 percent of the total project cost. Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share could come from license fees paid by hunters. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation for a period of two years. Balances remaining unobligated after the period of availability revert to the U.S. Fish and Wildlife Service. Any funds not obligated within two years by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S. Fish and Wildlife Service and will be spent under the provision of the Migratory Bird Conservation Act. Also, under the provisions of the Wildlife Restoration Act, the interest accumulated by Wildlife Restoration account is available to the North American Wetland Conservation program.

**Reports:**

A Performance Report and Financial Status Report are required for each grant award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Grants) FY 07 \$241,310,443; FY 08 \$301,686,579; and FY 09 est \$310,000,000.

**Range and Average of Financial Assistance:**

\$268,000 to \$7,187,000; \$2,750,000.

**PROGRAM ACCOMPLISHMENTS:**

The Pittman-Robertson Wildlife Restoration Act grant programs contribute significantly to the nation's wildlife conservation and hunter education efforts annually. Already successful, the programs' accomplishments will continue to increase in the coming years because of the increased funding that is resulting. Some specific accomplishments by State, Commonwealth, and territorial fish and wildlife agencies in FY 2006 include: Operations and maintenance of State facilities and wildlife management areas encompassing more than 30.3 million acres; 3.5 million acres of habitat improvements for wildlife species; 3,680 scientific research projects for wildlife species - including propagation, biology, utilization, and habitat needs; technical assistance for wildlife management provided to 47,872 private landowners; 209,237 acres of waterfowl impoundment improvements conducted for waterfowl management, and 553,788 students certified in Hunter Education.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Hunter Education Guide, Fish and Wildlife Service Manual, Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203. Contact: Policy and Programs, Telephone: (703)358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.615, Cooperative Endangered Species Conservation Fund; 15.626, Hunter Education and Safety Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Wildlife Restoration program has provided a stable Federal funding source for State Fish and Wildlife agencies for over 70 years. This funding stability is critical to the recovery of many United States' wildlife species. Some examples of activities planned by State, Commonwealth, and territorial fish and wildlife agencies in FY 2008 include: operation and maintenance of 89 wildlife management areas in Georgia that provide approximately one million acres habitat for wildlife and related wildlife recreation such as hunting and wildlife viewing; manage hunter education and safety programs in 50 States, the U.S. Virgin Islands, Commonwealth of Puerto Rico; continued population surveys on black bear, wild turkey, white-tailed deer, moose, and waterfowl in Vermont; enhancement of 10,200 acres of shallow wetland and wet meadow habitat types unique to Carson Lake, Nevada; and design and implementation of landscape scale habitat improvement projects in critical wildlife areas throughout New Mexico.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of the State's Commonwealth's, or territorial's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.614 COASTAL WETLANDS PLANNING, PROTECTION AND RESTORATION ACT**

(National Coastal Wetlands Conservation Grants)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**



Coastal Wetlands Planning, Protection and Restoration Act, Section 305, Title III, Public Law 101-646, 16 U.S.C. 3951-3956.

**OBJECTIVES:**

To provide competitive matching grants to coastal States for coastal wetlands conservation projects. The Coastal Wetlands Planning, Protection, and Restoration Act (Section 305, Title III, Public Law 101-646 U.S.C. 3954) established the National Coastal Wetlands Conservation Grant Program to acquire, restore, and enhance wetlands in coastal States.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are available to coastal States for acquisition of interests in coastal lands or waters, and for restoration, enhancement or management of coastal wetlands ecosystems on a competitive basis. Proposed projects must provide for long-term conservation of such lands or waters and the hydrology, water quality, and fish and wildlife dependent thereon. Ineligible activities include: (1) projects that primarily benefit navigation, irrigation, flood control or mariculture; (2) acquisition, restoration, enhancement or management of lands to mitigate habitat losses; (3) creation of wetlands where wetlands did not previously exist; (4) enforcement of fish and wildlife laws and regulations, except when necessary for the accomplishment of approved project purposes; (5) research; (6) planning as a primary project focus; (7) operations and maintenance; (8) acquisition and/or restoration of upper portions of watersheds where benefits to the coastal wetlands ecosystem are not significant and direct; and (9) projects providing less than 20 years of conservation benefits.

**Applicant Eligibility:**

Eligible applicants include any agency or agencies designated by the Governor of a coastal State. It is usually a State natural resource or fish and wildlife agency. Eligible coastal States are States bordering the Great Lakes (Illinois, Michigan, Minnesota, New York, Ohio, Pennsylvania, and Wisconsin); States bordering the Atlantic, Gulf (except Louisiana), and Pacific coasts (Alabama, Alaska, California, Connecticut, Delaware, Florida, Georgia, Hawaii, Maine, Maryland, Massachusetts, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Oregon, Rhode Island, South Carolina, Texas, Virginia, and Washington); and American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:**

States, Commonwealths, or territories as designated in the applicant eligibility section.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. Environmental assessment is required where actions will significantly affect the human environment. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office designated as the single point of contact in his or her State, Commonwealth, or territory for more information on the process the State, Commonwealth, or territory requires to be followed in applying for assistance, if the State, Commonwealth, or territory has selected a program for review.

**Application Procedure:**

Participating States will submit an Application for Federal Assistance SF-424, a statement of assurances, and a narrative description of the project. Additional information on the application process can be found at <http://www.fws.gov/coastal/CoastalGrants> or <http://www.grants.gov>.

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects to be funded based on established criteria.

**Deadlines:**

Deadline for State proposals is in June 30. The U.S. Fish and Wildlife Service will provide details to eligible State, Commonwealth, or territory partner agencies prior to the deadline.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Federal share of project costs is not to exceed 50 percent; except that the Federal share may be increased to 75 percent if a coastal State, Commonwealth, or territory has established a trust fund for acquiring coastal wetlands, other natural areas, or open spaces.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual proposals.

**Reports:**

A Performance Report and Financial Status Report are required for each grant award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, they are subject to Program specific audits contracted by the U.S. Fish and Wildlife Service.

**Records:**

Cost records must be maintained separately for each project. Grantees must retain records, accounts, and supporting documents for three years after submission final request for reimbursement.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Grants) FY 07 \$18,750,000; FY 08 est \$20,575,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$75,000 to \$1,000,000; \$752,598.

**PROGRAM ACCOMPLISHMENTS:**

Projects awarded funding in the last three years have proposed to protect, restore, or enhance 39,000 acres of coastal wetlands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations were published in the Federal Register July 30, 2002.

**Regional or Local Office:**

See Catalog Appendix IV for Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

The program is co-managed by the Division of Wildlife and Sport Fish Restoration Program and Fish and Wildlife Management and Habitat Restoration. U.S. Fish and Wildlife Service, Division of Wildlife and Sport Fish Restoration Program, Mail Stop FA-4020, 4401 North Fairfax Drive, Arlington, VA 22203. Telephone: (703) 358-2156 or Division of Fish and Wildlife Management and Habitat Restoration Mail Stop MAHR-720 ARL, 4401 N Fairfax Drive, Arlington, VA 22203. Telephone: (703) 358-2236.

**Web Site Address:**

<http://wsftrprograms.fws.gov> and [http://www.fws.gov/coastal/coastal\\_grants](http://www.fws.gov/coastal/coastal_grants).

**RELATED PROGRAMS:**

15.630, Coastal Program; 15.623, North American Wetlands Conservation Fund; 15.632, Conservation Grants Private Stewardship for Imperiled Species.

**EXAMPLES OF FUNDED PROJECTS:**

Restore wetlands under State ownership; acquire new wetlands.

**CRITERIA FOR SELECTING PROPOSALS:**

The project proposal must be submitted by State, Commonwealth, and territorial agencies designated by the Governor as having responsibility for acquisition of interests in coastal lands or waters, and for the restoration, management, or enhancement of coastal wetlands ecosystems. Purpose of the project must be consistent with the purpose and conditions of the Act. The specific criteria for selection are included in the rule for administering the program.

**15.615 COOPERATIVE ENDANGERED SPECIES CONSERVATION FUND**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; Consolidated Appropriations Act 2008, P.L. 110-161.

**OBJECTIVES:**

To provide Federal financial assistance to any State or Territory (hereafter, "States"), through its appropriate State or territorial agency, to assist in the development of programs for the conservation of endangered and threatened species.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The assistance provided to the State fish and wildlife agency can include animal, plant, and habitat surveys; research; planning; monitoring; habitat protection, restoration, management, and acquisition; and public education. Assistance is restricted to those State agencies with which the Fish and Wildlife Service has a current cooperative agreement for the species involved.

**Applicant Eligibility:**

Participation limited to State agencies that have a cooperative agreement with the Secretary of the Interior. The annual Request for Proposals announced through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html> will describe

the criteria that must be satisfied for a proposal to be eligible for funding.

**Beneficiary Eligibility:**

All States that have entered into a cooperative agreement with the Secretary of the Interior.

**Credentials/Documentation:**

A current cooperative agreement(s) between the Secretary of the Interior and the State Conservation agency(ies) concerning endangered and threatened species is necessary. Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs. Separate agreements for animals and plants are normally made with each State's responsible agency.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. This program is eligible for coverage under E.O. 12372. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

An applicant must complete the Standard Form (SF)424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non Construction; or SF 424C and SF 424D - Construction). The project description section of the application should address the evaluation factors identified in the annual request for proposals that will be posted at [www.grants.gov](http://www.grants.gov) and to the U.S. Fish and Wildlife Service website at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Award Procedure:**

Final selection is made by the Secretary of the Interior, based on recommendations by the Director or Regional Directors of the U.S. Fish and Wildlife Service. Funds are obligated by an authorized signature on an award agreement.

**Deadlines:**

Variable. Information regarding deadline dates will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Range of Approval/Disapproval Time:**

Information regarding approval/disapproval time frames will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Appeals:**

Decisions can be appealed to the Fish and Wildlife Service, Chief, Endangered Species Division of Consultation, Habitat Conservation Planning, Recovery, and State Grants. Final determination rests with the Secretary of the Interior.

**Renewals:**

Renewals can be made through submission of a project proposal and approval of a grant award document.

**Formula and Matching Requirements:**

States may receive up to 75 percent of the program costs. When two or more States have a common interest in one or more endangered or threatened species and enter into a joint agreement, the Federal share of the total project cost may be increased to 90 percent.

**Length and Time Phasing of Assistance:**

So much of the annual appropriation allocated for obligation to any State for any fiscal year as remains unobligated at the close thereof is authorized to be made available to that State until the close of the succeeding fiscal year. Any amount allocated to any State which is unobligated at the end of the period during which it is available for expenditure is authorized to be made available for expenditure by the Secretary for conducting programs authorized by Section 6 of the Endangered Species Act.

**Reports:**

A performance report is required for each project segment within 90 days following the close of the segment.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003, "Audits of States, Local Governments, and Non-Profit organizations," non-federal entities that receive financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years following the submission of request for final reimbursement.

**Account Identification:**

14-5143-0-2-302.

**Obligations:**

(Grants) FY 07 \$81,001,000; FY 08 \$73,831,000; and FY 09 est \$75,501,000.

**Range and Average of Financial Assistance:**

\$500 to \$24,000,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, approximately \$73,831,000 was available for projects and administration of the Cooperative Endangered Species Conservation Fund (CESCF) (Section 6 of the Endangered Species Act). Through the traditional Conservation Grants program, \$9,845,000 was allocated regionally, based on the number of species covered by cooperative agreements within each U.S. Fish and Wildlife Service region. Habitat Conservation Planning (HCP) Land Acquisition Grant funding was used to fund 9 individual projects in 6 states out of the 19 proposals received. The Recovery Land Acquisition Grant program awarded 22 out of 30 projects located in 12 states and one territory. The Habitat Conservation Planning Assistance Grant program awarded 19 out of 20 proposals to provide project funding in 15 states. In fiscal year 2009, the U.S. Fish and Wildlife Service anticipates providing approximately \$10,001,000 to States for traditional Conservation Grants; \$7,642,000 for Habitat Conservation Planning Assistance Grants; \$36,008,000 for Habitat Conservation Land Acquisition Grants; and \$14,186,000 for Recovery Land Acquisition Grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; 50 CFR 81, The U.S. Fish and Wildlife Service Manual Chapter 521 FW 4 (<http://www.fws.gov/policy/521fw4.html>); The Wildlife and Sport Fish Restoration Program Toolkit (<http://wsfirprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf>); and the annual request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Regional or Local Office:**

Please visit <http://www.fws.gov/endangered/grants/section6/index.html> and click on the "How to contact us for information" link to access a list of regional program contacts.

**Headquarters Office:**

Fish and Wildlife Service, Department of the Interior, 1849 C Street, NW., (MS-420 ARLSQ), Washington, DC 20240. Contact: Chief, Endangered Species: Division of Consultation, HCPs, Recovery and State Grants. Telephone: (703) 358-2171. Use the same number for FTS.

**Web Site Address:**

<http://www.fws.gov/endangered/grants/section6/index.html>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.611, Wildlife Restoration; 15.634, State Wildlife Grants.

**EXAMPLES OF FUNDED PROJECTS:**

A variety of projects were funded through the Cooperative Endangered Species Conservation Fund in FY 2008, including Habitat Conservation Planning Assistance grants to develop Habitat Conservation Plans (HCP) across the country in areas ranging from the bottomland forests of Arkansas to sagebrush-steppe habitat in Utah. These HCPs will benefit a wide range of plants and animals, including the endangered Butte County meadowfoam, threatened Monetary spineflower, endangered Ivory-billed woodpecker and endangered Indian bat. Most of the HCPs will address multiple species, many of them on a city, county or large watershed basis. Recovery Land Acquisition grants awarded in fiscal year 2008 will be used to acquire and protect important forest, riparian, coastal, desert, wetland, and mountain areas that represent critical portions of species' last remaining habitats. Some of these acquisitions support more than one endangered or threatened species, as well as, provide important habitat for migratory birds, other plants, and wildlife. For example, acquisition of property in northern Idaho will benefit grizzly bear, mountain caribou, bull trout, Canada lynx, and gray wolf. The acquisition of relatively pristine coastal dune, coastal prairie and riparian wetlands habitats in California will enhance recovery of three federally listed species: Western snowy plover, Howell's spineflower, and Menzie's wallflower. HCP Land Acquisitions in fiscal year 2008 will be used to help acquire vital habitat for threatened and endangered species ranging from red-cockaded woodpecker in Georgia to the Lake Erie water snake in Ohio. The land acquired under the HCP Land Acquisition program are purchased only from willing sellers, and are intended to complement but not replace the conservation responsibilities contained in the HCP.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for grant funding must be submitted by the State fish and wildlife agency. The State must have an approved cooperative agreement with the Secretary of the Interior which provides for sharing responsibilities for endangered species, prior to receiving Cooperative Endangered Species Conservation Fund (section 6 of the Endangered Species Act) funds. Individual project proposals must compete with other State submissions for funding.

**15.616 CLEAN VESSEL ACT**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Clean Vessel Act of 1992, Section 5604, Public Law 102-587, Subtitle F; 16 U.S.C. 777c, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.

**OBJECTIVES:**

To provide funding to States, Commonwealths, and territories for the construction, renovation, operation, and maintenance of sewage pumpout stations, waste reception facilities and pumpout boats for recreational boaters and for educational programs that inform boaters of the importance of proper disposal of their sewage.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for development of surveys and plans for installing sewage pumpouts and dump stations for recreational boats in the coastal zone of coastal States, and for the construction of sewage pumpouts and dump stations for recreational boats and implementation of an educational programs. These stations must provide protection of sensitive areas from recreational boat sewage. Prohibited activities include law enforcement, construction/renovation of upland restroom facilities, construction, renovation, operation and maintenance of sewage treatment plants, and any activity that does not provide public benefits.

**Applicant Eligibility:**

States, Commonwealths, and territories.

**Beneficiary Eligibility:**

General public, recreational boaters, municipalities, and private marinas within eligible States.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule) identifies Federal cost principles for determining allowable costs.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth or territory for more information on the process required by the State, Commonwealth or territory requires when applying for assistance, if the State, Commonwealth, or territory has selected the program for review.

**Application Procedure:**

Grantees will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the Fish and Wildlife Service will select projects to be funded based on established criteria. Regional Offices make awards to approved applicants.

**Deadlines:**

Application deadlines are typically in late December or early January. The Fish and Wildlife Service notifies all States, Commonwealths, and territories about the grant program annually.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Regional Directors will consider differences of opinion over the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Federal share of the project costs cannot exceed 75 percent.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual proposals.

**Reports:**

A Performance Report and Financial Status Report are required for each grant award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Grants) FY 07 \$12,300,000; FY 08 est \$13,250,000; and FY 09 est \$13,630,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$1,500,000; \$394,191.

**PROGRAM ACCOMPLISHMENTS:**

Between 1993 and 2003, the Fish and Wildlife Service issued \$87.6M in grants to 49 States and resulted in the construction of over 3,000 pumpouts and 1,900 dump stations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 85; Final Technical Guidelines published in the Federal Register Vol. 59, No. 47, March 10, 1994; final Grant Guidelines published in the Federal Register Vol. 59, No. 47, March 10, 1994; and final Pumpout Symbol Guidelines published in the Federal Register, Vol. 62, No. 166, August 27, 1997.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203. Contact: Policy and Programs, Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program.

**EXAMPLES OF FUNDED PROJECTS:**

Surveys for the number and location of operational pumpout stations/dump stations, for the number of recreational vessels in coastal waters with type III marine sanitation devices and the areas where those vessels congregate; development of plans for construction of stations and/or facilities; construction, renovation, operation and maintenance of pumpout/dump stations; and programs for education of recreational boaters about the problem of waste discharge from vessels and the location of pumpout/dump stations.

**CRITERIA FOR SELECTING PROPOSALS:**

Project must be submitted by the State, Commonwealth, or territorial agency given responsibility for the program by the Governor of that State, Commonwealth, or territory. Purpose of the project must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals for coastal States are based upon the extent the project will contribute to conducting a survey, developing a plan for installing pumpouts/dump stations, and constructing pumpouts/dump stations according to the approved plan. Criteria for selecting proposals for all States, Commonwealths, or territories are based upon the extent the project will contribute to public/private partnerships, innovative approaches to increasing availability and use of pumpouts/dump stations, implementation of an education program, contribution toward protecting sensitive areas, and lowering the ration of vessels with holding tanks and portable toilets to pumpouts and dump stations.

## 15.619 RHINOCEROS AND TIGER CONSERVATION FUND

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Rhinoceros and Tiger Conservation Act of 1994, Public Law 103-391, 108 Stat. 4094 et seq., 16 U.S.C. 5301 et seq., as amended by the Rhino and Tiger Product Labeling Act of 1998, Public Law 105-312, 112 Stat. 2956 et seq., 16 U.S.C. 5301 et seq.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of rhinoceros and tigers. This program supports projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of rhinoceros and tiger or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-rhinoceros and human-tiger conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.



**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project work should occur within the rhinoceros/tiger range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to rhinoceros/tiger conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Applications may be submitted by any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros and/or tiger conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros and/or tiger conservation.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on this program's website at

<http://www.fws.gov/international/animals/rhinoprogram.htm>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are competitively selected for funding using criteria from the Rhinoceros and Tiger Conservation Act (16 USC 5301 et seq.). Review criteria can be found in the application information at <http://www.fws.gov/international/animals/rhinoprogram.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

None.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula. To the extent possible, grant funds are matched by nonfederal funds. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting

requirements can be found at this program's web page at <http://www.fws.gov/international/animals/rhinoprogram.htm>. For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non Profit Organizations," nonfederal entities that expend \$500,000 or more in Federal awards shall have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A 133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5199-0-2-303.

**Obligations:**

(Assistance Awards) FY 07 \$1,496,000; FY 08 \$1,870,000; and FY 09 est \$890,000.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the Service funded 36 rhinocero and tiger projects. A summary of each of those projects can be found at the program's webpage at <http://www.fws.gov/international/animals/rhinoprogram.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/animals/rhinoprogram.htm> or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

U.S. Fish and Wildlife Service, U.S. Department of the Interior. Contact: Chief, Division of International Conservation, 4401 North Fairfax Drive, ARLSQ 100, Arlington, Virginia 22203. Telephone: (703) 358 1754, fax (703) 358 2115. E-mail: [MSCF\\_RhinoTiger@fws.gov](mailto:MSCF_RhinoTiger@fws.gov).

**Web Site Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.620, African Elephant Conservation Fund; 15.621, Asian Elephant Conservation Fund; 15.629, Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/animals/tigerprogram.htm> and <http://www.fws.gov/international/animals/rhinoprogram.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation. Telephone: (703) 358-1754.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the requirements of the Rhinoceros and Tiger Conservation Act (16 U.S.C. 5301 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Rhinoceros and Tiger Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/animals/tigerprogram.htm>. Hard copies of the criteria are available upon request from the Division of International Conservation at (703) 358-1754.

**15.620 AFRICAN ELEPHANT CONSERVATION FUND****FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

African Elephant Conservation Act, Title II Sec. 2001 et seq., Public Law 100-

**OBJECTIVES:**

To provide financial assistance to support projects that will enhance sustainable conservation programs to ensure effective, long-term conservation of African elephants. The African Elephant Conservation Fund supports projects that promote conservation through: Applied research on elephant populations and their habitat, including surveys and monitoring; Development and execution of elephant conservation management plans; Compliance with applicable treaties and laws that prohibit or regulate the taking or trade of elephants or regulate the use and management of elephant habitat; Conservation education and community outreach; Enhanced protection of at-risk elephant populations; Efforts to decrease human-elephant conflict; Habitat conservation and management; Protected area/reserve management in important elephant range; Strengthening local capacity to implement conservation programs; Transfrontier elephant conservation; and Wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the African elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to African elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Applications may be submitted by any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Beneficiary Eligibility:**

Any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on this program's website at <http://www.fws.gov/international/afecf/afecf.htm>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed on the requirements of the African Elephant Conservation Fund (16 USC et seq.) Review criteria can be found in the application information at <http://www.fws.gov/international/afecf/afecf.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

Not applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g., time extensions or budget changes.

**Formula and Matching Requirements:**

To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/afecf/afecf.htm>. For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-8154-0-7-303.

**Obligations:**

FY 07 \$1,299,000; FY 08 \$1,378,000; and FY 09 est \$890,000.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

During FY 2007, the Service funded 25 African elephant conservation projects. A summary of each of those projects can be found at the program's webpage at <http://www.fws.gov/international/afecf/afecf.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources the regulations found in 43 CFR part 12 and the U.S. Fish and Wildlife Service Administration Manual. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/grants/grants.html> or in hard copy by contacting the Division of International Conservation. Telephone: (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Fish and Wildlife Service, U.S. Department of the Interior. Contact: Chief, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203. Telephone: (703)358 1754. Fax: (703) 358-2115. E-mail: [MSCF\\_AfricanElephant@fws.gov](mailto:MSCF_AfricanElephant@fws.gov).

**Web Site Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.619, Rhinoceros and Tiger Conservation Fund; 15.621, Asian Elephant Conservation Fund; 15.629, Great Apes Conservation Fund; 15.645, Marine Turtle Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Annual summaries of the projects funded under this program can be found at our website at <http://www.fws.gov/international/afecf/afecf.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation. Telephone: (703) 358-1754.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the African Elephant Conservation Act (16 USC 4201 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to

proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the African Elephant Notice of Funding Availability and Application Instructions found on our website at <http://www.fws.gov/international/afecf/afecf.htm>. Hard copies are available upon request from the Division of International Conservation. Telephone: (703) 358-1754.

## 15.621 ASIAN ELEPHANT CONSERVATION FUND

### FEDERAL AGENCY:

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Asian Elephant Conservation Act, Public Law 105- 96, 111 Stat. 2150, 16 U.S.C. 4261-4266.

### OBJECTIVES:

To provide financial assistance to support the effective long-term conservation of Asian elephants. This program provides support for projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of Asian elephant or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-elephant conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Project work should occur within the range of the Asian elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to Asian elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan, and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

### Applicant Eligibility:

Applications may be submitted by any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

### Beneficiary Eligibility:

Any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The program announcement and application instructions for this program can be found at Grants.gov website <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on this program's website at <http://www.fws.gov/international/asecf/asep.htm>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 730, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

### Award Procedure:

Projects are reviewed and competitively selected for funding based on established criteria contained in the Asian Elephant Conservation Act (16 USC 4261 4266). Review criteria can be found in the application information at <http://www.fws.gov/international/asecf/asep.htm>. Once a proposal has been selected for funding an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by a FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other

aspects of the Assistance Award.

### Deadlines:

This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

### Range of Approval/Disapproval Time:

Decisions on funding of project proposals are made within 180 days after receipt of the project proposal.

### Appeals:

No procedure for appeals.

### Renewals:

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g., time extensions or budget changes.

### Formula and Matching Requirements:

To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

### Length and Time Phasing of Assistance:

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures.

### Reports:

Progress and final reports are due in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/asecf/asep.htm>. For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

### Account Identification:

14-1652-0-1-303.

### Obligations:

(Assistance Awards) FY 07 \$1,299,000; FY 08 est \$1,378,000; and FY 09 est \$890,000.

### Range and Average of Financial Assistance:

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

### PROGRAM ACCOMPLISHMENTS:

In FY 2007 the Service funded 27 Asian elephant conservation projects. A summary of each of those projects can be found at the program's webpage at <http://www.fws.gov/international/asecf/asep.htm>.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/asecf/asep.htm> or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

### Regional or Local Office:

None.

### Headquarters Office:

Fish and Wildlife Service, Department of the Interior. Contact: Chief, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203. Telephone: (703) 358-1754. Fax: (703) 358-2115. [MSCF\\_AsianElephant@fws.gov](mailto:MSCF_AsianElephant@fws.gov).

### Web Site Address:

<http://www.fws.gov/international/grants/grants.html>.

### RELATED PROGRAMS:

15.619, Rhinoceros and Tiger Conservation Fund; 15.620, African Elephant Conservation Fund; 15.629, Great Apes Conservation Fund; 15.645, Marine



Turtle Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/asecf/asep.htm>. Hard copies of this information are available upon request from the Division of International Conservation at (703) 358-1754.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Asian Elephant Conservation Act (16 U.S.C. 4261-4266). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Asian Elephant Notice of Funding Availability and Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

## 15.622 SPORTFISHING AND BOATING SAFETY ACT

(Boating Infrastructure Grant Program)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Sportfishing and Boating Safety Act, Title VII, Subtitle D, Section 7404, Public Law 105-178, 16 U.S.C. 777g-1, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.

**OBJECTIVES:**

Provides funds for States to construct, renovate, and maintain tie-up facilities for transient, recreational boats 26 feet or more in length.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for constructing, renovating, or maintaining tie-up facilities for transient, recreational boats 26 feet or more in length and to produce and distribute information and educational materials about the program. Prohibited activities include; law enforcement, construct, renovate, or maintain tie up facilities for boats less than 26 feet in length and any activity that does not provide public benefits.

**Applicant Eligibility:**

Available to all States, Commonwealths, and territories.

**Beneficiary Eligibility:**

General Public, specifically owners and/or users of transient, recreational boats more than 26 feet in length, and municipalities and private marinas within those eligible States, Commonwealths, and territories.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule) identifies Federal cost principles for determining allowable costs.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth, or territory for more information on the process the State, Commonwealth, or territory requires when applying for assistance, if the State, Commonwealth, or territory selected the program for review.

**Application Procedure:**

Grantees will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be used. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the Fish and Wildlife Service will select projects for funding based on established criteria. Regional Offices make awards to approved applicants.

**Deadlines:**

50 CFR 86.50 provides the guidelines for this program.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Federal share of the project costs cannot exceed 75 percent.

**Length and Time Phasing of Assistance:**

Projects are normally funded through annual proposals.

**Reports:**

A Performance Report and Financial Status Report are required for each grant award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after final submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Grants) FY 07 \$12,200,000; FY 08 est \$13,400,000; and FY 09 est \$17,100,000.

**Range and Average of Financial Assistance:**

Tier 1 grants average at \$100,000; Tier 2 range from \$100,000 to \$1,500,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

The U.S. Fish and Wildlife Service has awarded \$72,000,000 for improving boating infrastructure facilities throughout the States, Commonwealth, and territories.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 86.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203. Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include the construction of floating docks, breakwaters, and fuel docks for transient boats. Other examples include the construction of associated support infrastructure such as restrooms and showers for transient boaters.

**CRITERIA FOR SELECTING PROPOSALS:**

The designated State, Commonwealth, or territorial agency must submit proposals to participate in this program. The purpose of these projects must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals are based upon the extent the project will contribute to constructing tie-up facilities according to the State's, Commonwealth's, or territory's approved plan; contribute to public/private partnerships; innovative approaches to increasing availability and use of tie-up facilities; that include private, local, or other State, Commonwealth, or territorial funds in addition to the 25 percent match; that are cost efficient; provide a significant link to prominent destination way points such as those near cultural or natural sites; provide access to recreational, historic, cultural, natural, or scenic opportunities of local, regional, or national significance; that provide significant economic impacts to a community; and include multistate efforts that result in coordinating location of tie-up facilities.

## 15.623 NORTH AMERICAN WETLANDS CONSERVATION FUND

(NAWCF)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

North American Wetlands Conservation Act, Public Law 101-233, as amended, 16 U.S.C. 4401.

**OBJECTIVES:**

To provide grant funds for wetlands conservation projects in the United States, Canada, and Mexico.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to acquire real property interest in lands or waters, including

water rights. Funds may also be used to restore, manage, and/or enhance wetland ecosystems and other habitat for migratory birds and other fish and wildlife. Projects must provide long-term conservation for wetlands-associated migratory birds and other wetlands-associated wildlife. Coastal Wetlands Planning, Protection and Restoration act-derived funds eligible for NAWCA projects may be used only in U.S. coastal wetlands ecosystems. More specific restrictions are outlined on the NAWCA grants information and instructions website.

**Applicant Eligibility:**

Available to private or public organizations or to individuals who have developed partnerships to carry out wetlands conservation projects in the U.S., Canada, and Mexico.

**Beneficiary Eligibility:**

Available to any private or public organization or individual.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

A grant announcement and application instructions are published annually on grants.gov and the FWS website (see below). Prospective applicants may consult with staff on questions related to the details of match eligibility, project feasibility, overhead, cost levels, etc. Associated materials and guidelines are posted on the FWS website and are available in printed form upon request. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complete program information and application instruction can be found on the Division of Bird Habitat Conservation (DBHC) website, at <http://www.fws.gov/birdhabitat/Grants/NAWCA>, or can be accessed through grants.gov. Grant applications, including Standard Form 424 Application for Federal Assistance, are submitted directly to the Coordinator, North American Wetlands Conservation Council, Division of Habitat Conservation, U.S. Fish and Wildlife Service, Mail Stop MBSP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; 703-358-1784.

**Award Procedure:**

Applications are screened by the Coordinator's staff, and further reviewed and ranked by the North American Wetlands Conservation Council (Council) Staff and North American Waterfowl Management Plan Joint Venture Coordinators. Site visits are conducted as needed. Grant proposals are recommended for approval by the Council to the Migratory Bird Conservation Commission (Commission). The U.S. Fish and Wildlife Service conducts a National Environmental Policy Act and National Historic Preservation Act review of the projects that the Council selects to recommend to the Commission. The Council selects proposals in March, July, and December that are recommended to the Commission for final funding approval in September, March, and June respectively. The grant is administered by FWS DBHC.

**Deadlines:**

U.S. Standard grants are due in March and July; specific proposal due dates are published on [www.grants.gov](http://www.grants.gov) and on the NAWCA website.

**Range of Approval/Disapproval Time:**

The range of time from proposal submission to the Commission meeting for standard grants is 7 to 11 months. Small grants approvals are usually known in 4 months.

**Appeals:**

None. Proposals not funded may be resubmitted.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must complete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

Proposals must have at least a 1:1 match of nonfederal U.S. dollars; although nonfederal dollars for Mexico proposals do not have to be U.S. dollars.

**Length and Time Phasing of Assistance:**

Grant funds should be spent within the 1-2 year grant period, although the grant period can be extended for reasonable cause.

**Reports:**

Progress and final reports must be submitted in accordance with the terms and conditions of the grant agreement. Final reports must be filed with the Division of Bird Habitat Conservation within 90 days of the end of the project termination date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and a detailed accounting of receipts and

expenditures of nonfederal matching dollars or value of services. Records, accounts, and supporting documents must be retained for 3 years after submission for final request of reimbursement.

**Account Identification:**

14-5241-0-2-303.

**Obligations:**

(Grants) FY 07 \$67,079,040; FY 08 est \$80,144,640; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Range is \$0 to \$75,000 for Small Grants; over \$75,000 to \$1,000,000 for U.S. Standard Grants. Average award is approximately \$42,000 and \$710,000 for Small Grants and U.S. Standard Grants, respectively.

**PROGRAM ACCOMPLISHMENTS:**

From September 1990 through September 2007, more than 3,547 partners have been involved in 1,697 Standard and Small Grant Programs' projects combined. More than \$836.8 million in Act grants has leveraged some \$1.6 billion in matching funds and \$946 million in nonmatching funds to affect approximately 23.8 million acres of wetlands and associated uplands across the continent.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Standard Grants Application Instructions; Small Grants Instructions; U.S. Grant Administration Standards; 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

Regional Office or Local Office For additional program information, see Appendix IV for addresses of USFWS Regional Offices.

**Headquarters Office:**

Headquarters Office Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Contact: Chief, Division of Bird Habitat Conservation, MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203. Telephone: (703) 358-1784.

**Web Site Address:**

<http://www.fws.gov/birdhabitat/Grants/NAWCA>

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.611, Wildlife Restoration; 15.614, Coastal Wetlands Planning, Protection and Restoration Act; 15.635, Neotropical Migratory Bird Conservation.

**EXAMPLES OF FUNDED PROJECTS:**

Wetlands conservation projects funded by NAWCA acquire, restore and enhance wetlands and wetlands ecosystems. Summaries of some funded projects are available on the website.

**CRITERIA FOR SELECTING PROPOSALS:**

The Council selects proposals based on factors given in Section 5 of the North American Wetlands Conservation Act, results of site visits, available funds and other factors deemed important to meeting Act objectives. U.S. standard and small grant proposals are additionally evaluated against answers to Technical Assessment Questions taken from Section 5 of the Act and annually published on the web site in application instructions.

## 15.625 WILDLIFE CONSERVATION AND RESTORATION

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of Transportation and Related Agencies (i.e. Commerce, Justice, State) Appropriations Act of 2001, Public Law 106-553, Title IX, Sec. 901; 16 U.S.C. 669-669i.

**OBJECTIVES:**

To provide financial to States, Commonwealths and territories under the Pittman-Robertson Wildlife Restoration Act to plan and implement projects for benefit of a diverse array of wildlife and associated habitats, including species that are not hunted or fished; and to fulfill unmet needs of wildlife within the States, Commonwealths and territories, including wildlife education and recreation activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Approved activities include those, which plan, enhance, and implement programs for wildlife and their habitats, including species that are not hunted or fished; States, Commonwealths and territories must pass laws for the conservation of wildlife, which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State, Commonwealth, and territorial fish and wildlife agencies. No funds must be used for projects that oppose legal hunting. Federal share may not exceed 75 percent of total funding.

**Applicant Eligibility:**

Participation limited to State, Commonwealth, or territorial fish and wildlife agencies with lead management responsibility for fish and wildlife resources. States, Commonwealths, and territories must pass laws (assent legislation) for the conservation of wildlife, which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State, Commonwealth, or territorial fish and wildlife agency. In addition, the

States, Commonwealths, and territories must have an approved comprehensive plan as described by the Appropriations Act.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.)

**Credentials/Documentation:**

Only the agency that has lead management responsibility for fish and wildlife resources with the State, Commonwealth, or territory may apply for these grants. The State, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Plan must consider the broad range of State, Commonwealth, or territory agencies' wildlife and associated habitats, with appropriate policy placed on those species of greatest conservation need. States, Commonwealths, or territories must notify the Secretary of the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife agency Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth, or territory for more information on the process the State, Commonwealth or territory when applying for assistance, if the State, Commonwealth, or territory has selected a program for review.

**Application Procedure:**

Grantee may document initial program by submission of a satisfactory Comprehensive Wildlife Conservation Plan. Grantees will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justified and if funds are available.

**Formula and Matching Requirements:**

This program is required by statute to provide funds using a specified formula. The authorizing Appropriation Act of states: (1) The Secretary of the Interior shall make the following apportionment from the Wildlife Conservation and Restoration Account: (A) to the District of Columbia and to the Commonwealth of Puerto Rico, each a sum equal to not more than one-half of 1 percent thereof; (B) to Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, each a sum equal to not more than one-fourth of 1 percent thereof; (2) (A) The Secretary of the Interior, after making the apportionment under paragraph (a), must apportion the remaining amount in the Wildlife Conservation and Restoration Account for each fiscal year among the States in the following manner: (i) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (ii) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. (B) The amounts apportioned under this paragraph must be adjusted equitably so that no such State shall be apportioned a sum which is less than one percent of the amount available for apportionment under this paragraph for any fiscal year or more than 5 percent of such amount. The State, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Federal share of funded programs or projects may not exceed 75 percent. More discussion on Matching and Cost-sharing requirements can be found in 43 CFR 12.64 and 43 CFR 12.923.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A Performance Report and Financial Status Report are required for each grant

award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

For awards made under this Program, grantees and subgrantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996, 31 U.S.C. 7501 et seq. and OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Conservation Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Based on statutory formula - \$121,000 to \$2,425,000; average \$904,000.

**PROGRAM ACCOMPLISHMENTS:**

Funding for this program was for one year only, FY 2002. This program closely parallels the State Wildlife Grant program under CFDA 15.634, which has nearly the same goals and objectives. For the purposes of accomplishments, the WCRP is combined with State Wildlife Grants. Together these two programs have appropriated to States, Commonwealths, and territories approximately \$380 million for use in restoring and protecting species of greatest concern.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80; Fish and Wildlife Service Manual; Federal Aid in Fish and Wildlife Restoration Annual Report (limited number available at no cost).

**Regional or Local Office:**

See Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203. Contact: Policy and Programs, Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.608, Fish and Wildlife Management Assistance; 15.611, Wildlife Restoration; 15.615, Cooperative Endangered Species Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

New Jersey Grassland Habitat Project - The grant restored early successional habits on selected wildlife management areas in New Jersey. Within three years, approximately 715 acres of scrub-shrub, native warm-season grasslands, and savanna developed, largely on existing fallow agricultural lands. A variety of wildlife species benefited from this working, including one Federal candidate species (Argos skipper), at least 9 State-listed species (red-headed woodpecker, grasshopper, savanna, Henslow's and vesper sparrows; upland sandpiper, bobolink, frosted elfin, and loggerhead shrike), three specials of special concern (Eastern meadowlark, American kestrel, and yellow-breasted chat); and four important game species (bobwhite quail, cottontail rabbit, woodcock, and wild turkey). Oregon East Alton Baker Park Habitat Restoration - This grant restored degraded habitats (Willamette River Riparian Forest Upland Prairie) on 237 acres in East Alton Baker Park in Eugene, OR. It protected and enhanced wildlife habitat and provided accessible, high quality public educational opportunities. The habitat enhancement benefited a number of species of concern, including Spring Chinook Salmon, Western Meadowlark, Western Pond Turtles, Townsend big-eared bats, and many others. Reintroduction of Osprey into Suitable Sites along the Missouri River in South Dakota - This grant evaluated the first year of hatching of osprey chicks at suitable sites along the Missouri River. The work contributes toward increasing the numbers of nesting new pairs and distribution of nesting ospreys in South Dakota. The long-term goal is restoration of this species to the point that it can be removed from the State list of threatened species.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of the State's, Commonwealth's, or territorial's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.626 HUNTER EDUCATION AND SAFETY PROGRAM**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR



**AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669h-1.

**OBJECTIVES:**

To provide Section 10 funds for the enhancement of hunter, bow, and archery education programs and the enhancement or construction of firearm shooting ranges and archery ranges.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Section 10 funds supplement Section 4(c) Hunter Education funds, thereby enhancing Hunter Education. The Congressional Record affirms that Section 10 funds should be used to: hire additional staff for Hunter Education programs; provide additional materials for Hunter Education courses; enhance and modernize materials as needed; investigate new technologies and delivery methods; develop and evaluate home study courses; create advanced hunter education courses; perform programmatic evaluations and monitoring of hunter education classes; and improve and enhance training for Hunter Education instructors. This policy is consistent with what Congress intended when they passed the Pittman-Robertson Wildlife Restoration Act. It provides States, Commonwealths and territories with flexibility, while enhancing hunting and shooting activities and projects. Again, these funds may be used for the enhancement of hunter education programs and construction of ranges until the State, Commonwealth, or territory obligates all of their Section 4(c) Hunter Education funds apportioned to them for hunter education and safety as stated in 16 U.S.C. 669c. Ineligible activities include law enforcement and public relation.

**Applicant Eligibility:**

Participation is limited to State, Commonwealth or territorial agencies with lead management responsibility for fish and wildlife resources. States, Commonwealths, and territories must pass laws (assent legislation) for the conservation of wildlife which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State, Commonwealth, or territorial fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these hunter safety programs.)

**Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth or territory for more information on the process required by the State, Commonwealth, or territory requires when applying for assistance, if the State, Commonwealth, or territory selected a program for review.

**Application Procedure:**

Grantees will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider the differences of opinion about eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justified and if funds are available.

**Formula and Matching Requirements:**

One-half of the 11 percent manufacturer's excise tax on bows, arrows, and archery equipment and 10 percent manufacturer's excise tax on handguns,

pistols, and revolvers makeup the funding for the Hunter Education program.

The other one-half of the manufacturer's excise tax are for wildlife restoration purposes including the 11 percent manufacturer's excise tax on firearms and ammo. Formula-based apportionment; based on State population compared to the total U.S. populations using last census figures; No State may receive more than 3 percent on less than 1 percent of the total Hunter Education funds apportioned; and the Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands receive up to one-sixth of 1 percent of the total apportionment. Statistical factors used for fund allocation are (1) States' percentage share of land area from the 2000 Census of Population; (2) States' percentage share of the number paid hunting license holders, from the source annually certified by each State's fish and wildlife agency; (3) States' percentage share of population (hunter education) from the source 2000 Census of Population. Statistical factors used for eligibility do not apply for this program. States may be reimbursed up to 75 percent of the total project cost. Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of Guam, the U.S. Virgin Islands, and the American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share could come from license fees paid by hunters. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation for a period of one year. Balances remaining un-obligated after one year are returned to be reapportioned to States, Commonwealths, and territories that obligate all of the funds apportioned to them under section 4(c) and section 10 of the Pittman-Robertson Wildlife Restoration Act for hunter safety related activities. For more information, see the Hunter Education Guide at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Reports:**

A Performance Report and Financial Status Report SF-269 are required for each grant or grant proposals annually within 90 days after the anniversary date or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Grants) FY 07 \$8,000,000; FY 08 \$8,000,000; and FY 09 est \$8,000,000.

**Range and Average of Financial Assistance:**

\$13,300 to \$240,000; \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

About \$8 million is available for 2008 to help States, Commonwealths, and territories enhance their Hunter Education and Safety program. Specific 2006 accomplishments funded by Section 10 Hunter Education and Safety include enhancements to 284 shooting ranges, education facilities, etc.; construction of six shooting ranges; funding to the National Archery in the Schools program across the United States; and operation and maintenance of 56 shooting ranges.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Hunter Education Guide, Fish and Wildlife Service Manual, matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203. Contact: Policy and Programs, Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.615, Cooperative Endangered Species Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded by Section 10 Hunter Education Program could include bow hunter education, Archery in the Schools Program, Becoming an Outdoor Woman, Youth Hunter Mentoring Program, Muzzleloader Training Program, and construction or renovation of recreational shooting and archery ranges.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territory agency having responsibility for the management of the States, Commonwealth's, or territory's wildlife resources must submit the projects. The State, Commonwealth's, or territory's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.628 MULTISTATE CONSERVATION GRANT PROGRAM****FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.

**OBJECTIVES:**

To provide funding for sport fish and wildlife restoration projects identified by the Association of Fish and Wildlife Agencies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Sport Fish and Wildlife Restoration funds used for sport fisheries and wildlife research projects, boating access development, hunter safety, aquatic education, habitat improvements, and other projects consistent with the purposes of the enabling legislation.

**Applicant Eligibility:**

States, groups of State, Fish and Wildlife Service (for national Survey of Fishing, Hunting, and Wildlife-Associated Recreation only), and non-governmental organizations. By October 1st of each year the Association of Fish and Wildlife Agencies (AFWA) will provide the U.S. Fish and Wildlife Service a priority list of projects recommended for funding. The U.S. Fish and Wildlife Service Director may only fund project proposals on the priority list.

**Beneficiary Eligibility:**

Projects must benefit at least 26 States, or a majority of the States in a region of the U.S. Fish and Wildlife Service, or a regional association of State fish and game departments.

**Credentials/Documentation:**

Costs for grants to States or groups of States will be determined in accordance with 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). Cost for grants to non-governmental groups who are nonprofit organizations will be determined according to 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122). Cost principles for non-governmental groups which are commercial will be determined the Federal Acquisition Regulations (FAR) 31.2. Non-government applicants must certify that they will not use grant funds for activities, projects, or programs that promote or encourage opposition to regulated hunting or trapping of wildlife, or to the regulated taking of fish.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires when applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants will use standard Federal Application and Assurance forms recently approved by OMB, as well as proposal formatting requirements established by the Association of Fish and Wildlife Agencies in their spring request for Multi-State Conservation Grant project proposals. Standard Federal forms include the Application for Federal Assistance (SF-424), the Budget Information for Non-construction Program (SF-424A), and the Compliance Assurances for Non-construction Programs (SF-424-B). Specific application procedures for States are described in 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Specific application procedures for Nonprofits are described in 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. Specific application procedures for commercial applicants and Fish and Wildlife Service applicants are described in the FAR, Subpart 31.2, Contracts with Commercial Organizations, and 50 CFR 80, Administrative Requirements, Dingell-Johnson Sport Fish Restoration and Pittman-Robertson Wildlife Restoration Acts.

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding from a priority list developed by the Association of Fish and Wildlife Agencies (AFWA) based on established criteria.

**Deadlines:**

The exact date in June of each year for submitting proposals to the Association

of Fish and Wildlife Agencies (AFWA) will be announced generally in the Spring of each year at [http://www.fishwildlife.org/multistate\\_grants.html](http://www.fishwildlife.org/multistate_grants.html). AFWA must submit its priority list of project proposals to the U.S. Fish and Wildlife Service Assistant Director for Wildlife and Sport Fish Restoration Programs by October 1. The list of priority projects submitted by AFWA will be published in the Federal Register by the end of each calendar year.

**Range of Approval/Disapproval Time:**

Approximately 6 to 9 months from the deadline established by AFWA for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director of the Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects may be approved for up to three years with funding dependant on annual competition.

**Reports:**

Reporting requirements for grants to States are described in 43 CFR 12, Subpart C, and OMB Circular A-102. Reporting for grants to nonprofit organizations are described in 43 CFR 12, Subpart F, and OMB Circular A-110. Commercial grantees and U.S. Fish and Wildlife Service grantees must use reporting procedures described in 43 CFR 12.80 and FAR Subpart 31.2.

**Audits:**

Audits: In accordance with the provisions of OMB Circular No.A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project for three years after submission of the final Financial Status Report. Record keeping requirements for grants to States are described in 43 CFR 12, Subpart C, and OMB Circular A-102. Record keeping requirements for grants to nonprofit organizations are described in 43 CFR 12, Subpart F, and OMB Circular A-110. For Commercial grantee and U.S. Fish and Wildlife Service grantees must use record keeping procedures described in 43 CFR 12, Subpart C, and OMB Circular A-110.

**Account Identification:**

14-8151-0-7-303; 14-5029-0-2-303.

**Obligations:**

(Grants) FY 07 \$6,000,000; FY 08 est \$6,000,000; and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000; \$140,000.

**PROGRAM ACCOMPLISHMENTS:**

From over 100 project proposals received each year, between 10 and 20 project grants are awarded annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12; 50 CFR 80; Sections 521, 522, and 523 of the Fish and Wildlife Service Manual.

**Regional or Local Office:**

See Catalog Appendix IV for Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Division of Federal Assistance, 4401 N. Fairfax Drive, Room 4020, Arlington, VA 22203. Contact: Multistate Conservation Grant Program Coordinator. Telephone: (703) 358-2156.

**Web Site Address:**

<http://federalast.fws.gov>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.611, Wildlife Restoration.

**EXAMPLES OF FUNDED PROJECTS:**

Education and training, analysis and focus on the values and use of sport fish and wildlife programs and new technologies, and evaluation in restoration, recreation, enhancement, or protection of sport fish and wildlife and their habitats.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be reviewed and evaluated for scope, significance, feasibility, and cost effectiveness. In addition, projects must address one or more focus areas as described in the National Conservation Needs established annually by the Association of Fish and Wildlife Agencies (AFWA).

**15.629 GREAT APES CONSERVATION FUND****FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Great Ape Conservation Act of 2000, Public Law 106-411, 16 U.S.C. 6301.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of great apes and their habitats. This program supports projects that focus on one or more of the following areas: applied research on ape populations and their habitats, including surveys and monitoring; development and execution of ape conservation management plans; compliance with applicable treaties and laws that prohibit or regulate the taking or trade of ape or regulate the use and management of ape habitat; conservation education and community outreach; enhanced protection of at-risk ape populations; efforts to decrease human-ape conflicts; habitat conservation and management; protected area/reserve management in important ape range; strengthening local capacity to implement conservation programs; transfrontier ape conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project work should occur within the ape range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to ape conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training Federal Government personnel.

**Applicant Eligibility:**

Applicants may be submitted by any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on [gaprogram.htm](http://www.fws.gov/international/animals/gaprogram.htm). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Great Ape Conservation Act (16 USC 6301 et seq.). Review criteria can be found in the application information at <http://www.fws.gov/international/animals/gaprogram.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by a FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

**Appeals:**

Not applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.; time extensions or budget changes.

**Formula and Matching Requirements:**

To the extent possible, grant funds are matched by non-federal funds. This

program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at the program web page at <http://www.fws.gov/international/animals/gaprogram.htm>. For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-303.

**Obligations:**

(Assistance Awards) FY 07 \$1,279,000; FY 08 \$1,870,000; and FY 09 est \$890,000.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006 the Service funded 29 great ape conservation projects. A summary of each of those projects can be found at the program webpage at <http://www.fws.gov/international/animals/gaprogram.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources the regulations found in 43 CFR Part 12 and the Fish and Wildlife Service Administration Manual. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/grants/grants.html> or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Fish and Wildlife Service, Department of the Interior. Contact: Chief, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, VA 22203. Telephone: (703) 358 1754. Fax: (703) 358 2115. E-mail: [MSCF\\_GreatApe@fws.gov](mailto:MSCF_GreatApe@fws.gov).

**Web Site Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.619, Rhinoceros and Tiger Conservation Fund; 15.620, African Elephant Conservation Fund; 15.621, Asian Elephant Conservation Fund; 15.645, Marine Turtle Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/animals/gaprogram.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation at (703) 358-1754.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Great Ape Conservation Fund (16 U.S.C. 6301 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Great Ape Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/animals/gaprogram.htm>. Hard copies are available upon request from the Division of International



### 15.630 COASTAL PROGRAM

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 742a-c, 747e-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 667(e).

**OBJECTIVES:**

To provide technical and financial assistance via partnerships to identify, protect, and restore or improve habitats in priority coastal areas for fish and wildlife.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

Funds are used for habitat assessments, protection and restoration of coastal habitats on private or public lands. The Coastal Program is geographically limited to 22 high priority areas. These are Gulf of Maine, Southern New England/New York Bight, Delaware Bay, Chesapeake Bay, Albemarle/Pamlico Sound, South Carolina Coast, South Florida/Everglades, Panama City, Florida, Florida Tampa Bay, the Caribbean, Texas Coast (Upper), Texas Coast (Southern), Great Lakes (Northern), Great Lakes (Southern), San Diego Bay, San Francisco Bay, Humboldt Bay, California, Oregon Coast, Puget Sound, Alaska (South East), Alaska (South Central), and the Pacific Islands.

**Applicant Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

**Beneficiary Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The local Coastal Program Coordinator works with cooperators to design a project that will benefit Federal trust resources. Contact the appropriate Coastal Program Office for application procedures. Information is also available on <http://www.grants.gov/>.

**Award Procedure:**

After a project has been designed and the cost calculated, the local Coastal Program coordinator will be able to inform the respective cooperator(s) whether or not the Service will provide financial assistance. When the cooperator has signed a cooperative agreement work can begin on the project. The Service reimburses the landowner after the project is completed.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None. However, project partners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual segments.

**Reports:**

Reporting requirements are stated in each cooperative agreement. Contact the appropriate Coastal Program Office for additional information and specific requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HABITS). HABITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

**Obligations:**

FY 07 \$12,984,000; FY 08 \$12,900,000; and FY 09 est \$12,000,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, the Coastal Program worked with partners to protect an estimated 11,600 acres of wetlands, 7,800 acres of uplands, and 19 miles of streams/shoreline; and restore an estimated 41,700 acres of wetlands, 13,300 acres of uplands, and 120 miles of streams/shoreline; and remove 11 barriers to fish passage. This was accomplished through 191 partnership agreements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See <http://www.fws.gov/coastal> for contact information and addresses.

**Headquarters Office:**

Fish and Wildlife Service, Division of Fish and Wildlife Management and Habitat Restoration, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, VA 22203. Telephone: (703) 358-2201. Use the same number for FTS. Fax: (703) 358-2232.

**Web Site Address:**

<http://www.fws.gov/coastal>.

**RELATED PROGRAMS:**

15.631, Partners for Fish and Wildlife.

**EXAMPLES OF FUNDED PROJECTS:**

See web page. Restoration of tidal flow to a degraded salt marsh, customized habitat assessments using GIS, dam removal for fish passage.

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must benefit Federal trust species and be cost effective. Project selection occurs at the field level. See the annual "Notice of Availability of Federal Assistance" in <http://grants.gov> for more details.

### 15.631 PARTNERS FOR FISH AND WILDLIFE

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774; Fish and Wildlife Act of 1956; 16 U.S.C. 742a-c, 742e-j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e).

**OBJECTIVES:**

Provide technical and financial assistance to private landowners and Native American Tribes interested in voluntarily restoring or otherwise improving native habitats for fish and wildlife on their lands.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Assistance provided to private landowners (defined to include individuals, local governments, non-government organizations) and Native American Tribes. Program goal is to achieve a 50 percent cost share on projects with matching funds and in-kind contributions provided by the landowners and other partners.

**Applicant Eligibility:**

Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land this is not owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland. Private landowners, Tribal Governments, local governments, educational institutions and organizations are eligible for financial and technical assistance from the Partners for Fish and Wildlife Program.

**Beneficiary Eligibility:**

Private landowners, Tribal Governments, local governments, educational institutions and organizations and the general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The local Partners for Fish and Wildlife Program Coordinator works with private landowners and makes a site visit to design a project that will benefit Federal trust resources and is acceptable for the landowner's needs. Contact the appropriate Partners for Fish and Wildlife Program Office for application procedures. Information is also available at <http://www.grants.gov>.

**Award Procedure:**

After a project has been designed and the cost calculated, the local Partners Program coordinator will be able to inform the private landowner whether or not the Service will provide cost-share assistance. When the landowner has signed a cooperative agreement (a minimum of 10 years) work can begin on the project. The Service reimburses the landowner after the project is completed.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Not applicable. Private landowners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula. The Program goal is to obtain a 50 percent match of Federal monies by partnering with landowners, local community groups and other local and national conservation organizations.

**Length and Time Phasing of Assistance:**

Cost-share is a one time event that occurs after project construction.

**Reports:**

Reporting requirements are stated in each cooperative agreement. Contact the appropriate Partners for Fish and Wildlife Program Office for additional information and specific requirements. Detailed biological reports are prepared on a percentage of projects funded. All projects are monitored for accurate construction.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HabITS). HabITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$42,660,000; FY 08 \$42,600,000; and FY 09 est \$42,000,000.

**Range and Average of Financial Assistance:**

Cost-share range per project is from \$200 to \$25,000. The average cost per project is \$5,400.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, the Partners Program helped restore or enhance an estimated: 91,000 acres of wetlands; 420,000 acres of native grasslands and other uplands; 600 miles of riparian corridors, streambanks and in-stream habitats; and 140 fish passage barriers. This was accomplished using 1,850 landowner agreements for fish and wildlife habitat restoration on private lands.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information about Program policy and guidelines see the Partners for Fish and Wildlife Program Management Policy in the Fish and Wildlife Service Manual, 640 FW1 (at <http://www.fws.gov/policy/640fw1.html>).

**Regional or Local Office:**

See <http://www.fws.gov/partners> for addresses and contact information.

**Headquarters Office:**

Chief, Branch of Habitat Restoration, Fish and Wildlife Service, Department of the Interior, 4401 N. Fairfax Drive, Room 750, Arlington, VA 22203. Telephone: (703)358-2201. Use the same number for FTS. Fax: (703)358-2232.

**Web Site Address:**

<http://www.fws.gov/partners>.

**RELATED PROGRAMS:**

15.630, Coastal Program.

**EXAMPLES OF FUNDED PROJECTS:**

Typical wetland restoration and enhancement techniques involve restoring the natural hydrology of a site through the blocking of surface ditches, breaking sub-surface drain tiles, building shallow berms to trap water, filling in concentration pits, removing eroded sediment which fills in basins, installing grass buffers, or installing fences along wetlands or stream corridors that prevent cattle grazing within the stream or wetland. Other wetland enhancement activities include working with the landowners to better manage the wetlands through the use of grazing, haying, discing, and burning. Upland restoration and enhancement and riparian areas are restored and enhanced through re-seeding or planting native grass, forbs, woody shrubs and trees. The installation of cross fencing along with providing alternative sources of water, assist landowners develop grassland/grazing management plans that have greater benefits for wildlife. Removing barriers to fish migration and using natural channel design techniques is the main focus of the Partners Program in-stream restoration work. Riparian fencing and improved grazing systems compliments stream restoration work.

**CRITERIA FOR SELECTING PROPOSALS:**

In general, projects must benefit Federal trust species, involve on-the-ground habitat restoration, and be cost-effective. Specific criteria for reviewing and ranking projects were established in the national Partners policy, at <http://www.fws.gov/policy/640fw1.html>. The program gives high priority to proposed projects that benefit the National Wildlife Refuge System and/or species at risk. Projects also receive priority if they: were identified as priority

by Service ecosystem teams; reduce habitat fragmentation; conserve globally or nationally imperiled habitats; and are self-sustaining. Also take a look at the annual Notice of Availability of Federal Assistance referenced in <http://grants.gov>.

## 15.632 CONSERVATION GRANTS PRIVATE STEWARDSHIP FOR IMPERILED SPECIES

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1361 et seq., as amended; Department of the Interior and Related Agencies Appropriations Act of 2004, H.R. 2691; Public Law 108-108.

**OBJECTIVES:**

To provide Federal financial and other assistance to individuals and groups engaged in local, private, and voluntary conservation efforts to be carried out on private lands that benefit species listed or proposed as endangered or threatened under the U.S. Endangered Species Act, candidate species, or other at-risk species.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is provided to individuals and groups to fund the voluntary restoration, management, or enhancement of habitat on private lands for endangered, threatened, proposed, candidate, or other at-risk species. Funds will not be used for the acquisition of real property either through fee title or easements.

**Applicant Eligibility:**

Sponsored organizations, individual/family, specialized group, public nonprofit institution/organization, private nonprofit institution/organization, small business, profit organization, or other private institution/organization. The annual Request for Proposals announced through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at [http://www.fws.gov/endangered/grants/private\\_stewardship/index.html](http://www.fws.gov/endangered/grants/private_stewardship/index.html) will describe the criteria that must be satisfied for a proposal to be eligible for funding.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of the Interior.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A Request for Proposals is published annually through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at [http://www.fws.gov/endangered/grants/private\\_stewardship/index.html](http://www.fws.gov/endangered/grants/private_stewardship/index.html). Additional information and instructions are printed and distributed annually. The standard application for Federal Assistance is submitted. The project title/description section of the application will address the evaluation factors identified in the annual Request for Proposals posted to the internet locations identified above. Submit a request for a proposal package, which includes specific information on requirements, to the U.S. Fish and Wildlife Service Regional Office.

**Award Procedure:**

Final selection is made by the Secretary of the Interior, based on recommendations by the Director or Regional Director of the Fish and Wildlife Service. Funds are obligated by signature on a project agreement.

**Deadlines:**

Information regarding deadline dates will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at [http://www.fws.gov/endangered/grants/private\\_stewardship/index.html](http://www.fws.gov/endangered/grants/private_stewardship/index.html).

**Range of Approval/Disapproval Time:**

Information regarding approval/disapproval time frames will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at [http://www.fws.gov/endangered/grants/private\\_stewardship/index.html](http://www.fws.gov/endangered/grants/private_stewardship/index.html).

**Appeals:**

None. Proposals not funded may be resubmitted.

**Renewals:**

Proposals are funded on a one-time basis. Requests for future funding must compete with other requests for funding.

**Formula and Matching Requirements:**

A 10 percent cost-share on the part of the landowner or other nonfederal partner

is required.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the approved Period of Performance of the grant agreement, and in accordance with DOI/FWS financial and reporting procedures.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions of the grant agreement and be submitted within the Period of Performance of the grant agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5495-0-1-302.

**Obligations:**

(Grants) FY 07 \$8,930,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$0 to \$300,000 (FY 05).

**PROGRAM ACCOMPLISHMENTS:**

The program was not funded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Endangered Species Act; 43 CFR 12, United States Standard Grants Application Instructions, and the annual Request for Proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at [http://www.fws.gov/endangered/grants/private\\_stewardship/index.html](http://www.fws.gov/endangered/grants/private_stewardship/index.html).

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

U.S. Fish and Wildlife Service, Division of Fish and Wildlife Management and Habitat Restoration, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, VA 22203. Telephone: (703)358-2201. Use the same number for FTS. Fax: (703)358-2232.

**Web Site Address:**

[Http://endangered.fws.gov/grants/private\\_stewardship/index.html](http://endangered.fws.gov/grants/private_stewardship/index.html).

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.611, Wildlife Restoration; 15.618, Administrative Grants for Federal Aid in Sport Fish and Wildlife Restoration; 15.615, Cooperative Endangered Species Conservation Fund; 15.633, Landowner Incentive Program.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of the types of projects that may be funded include using prescribed burning to restore grasslands that support imperiled species, management or removal of nonnative and invasive species for protection of imperiled species, fencing to exclude animals from sensitive habitats, reintroduction of imperiled species to suitable habitat, or planting native vegetation to restore degraded habitat.

**CRITERIA FOR SELECTING PROPOSALS:**

The Request for Proposals announced annually through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at [http://www.fws.gov/endangered/grants/private\\_stewardship/index.html](http://www.fws.gov/endangered/grants/private_stewardship/index.html) describes the selection criteria. Factors used to evaluate the merit of the proposals include: (1) the number of endangered or threatened species, species proposed or candidates for such listing, and at-risk species that will directly benefit from the project; (2) the importance of the project to the conservation of the target species, including the duration of the benefits, the magnitude of the benefits, and the urgency of the project; (3) other proposal merits, such as whether the project complements other conservation projects in the area, the project's unique qualities, or any other appropriate justifications, including particular strengths in the above categories (e.g., extraordinary benefits or cost share).

**15.633 LANDOWNER INCENTIVE PROGRAM**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2006, Public Law 109-148; Title I; Land and Water Conservation Fund Act of 1965; 16 U.S.C. 4601-4 through 11.

**OBJECTIVES:**

This program establishes or supplements existing landowner incentive programs that provide technical or financial assistance. This includes habitat protection and restoration, to private landowners for the protection and management of habitat to benefit Federally listed, proposed, or candidate species, or other at-risk species on private lands; and to encourage States, Commonwealths, or territories to enhance private landowner conservation by providing these benefits to private landowners in an efficient manner.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Tier 1 projects provide the States, Commonwealths, or territories to support development of a new program, or to enhance an existing landowner incentive program, through administration, development of plans, outreach, and other associated activities that assist in the accomplishment of projects on private lands. Tier 2 projects should place a priority on the implementation of State, Commonwealth, or territorial programs that provide technical and financial assistance to private landowners for the protection and restoration of habitats that benefit federally listed, proposed, or candidate species, or other species-at-risk.

**Applicant Eligibility:**

Participation is limited to State, Commonwealth, or territorial agencies with lead management responsibility for fish and wildlife resources.

**Beneficiary Eligibility:**

Private landowners and the public. (While direct participation is limited to State, Commonwealth, or territorial fish and wildlife agencies, private landowners will directly benefit from financial and technical assistance and the public will ultimately benefit from these wildlife conservation measures implemented on private lands.)

**Credentials/Documentation:**

Only the agency that has lead management responsibility for fish and wildlife resources within the State, Commonwealth, or territory may apply for these grants.

**Preapplication Coordination:**

None. This program is not subject to E.O. 12372.

**Application Procedure:**

Application procedures are in the Fiscal Year 2007 Landowner Incentive Program Guidelines, (<http://wsfrprograms.fws.gov>). For further instructions and forms go to, <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>, or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

60 days after the request for grant proposals is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 60 working days after due date.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Federal share of project costs cannot exceed 75 percent. More detailed discussion concerning matching and cost-sharing requirements found in 43 CFR Part 12.64 and 43 CFR 12.923.

**Length and Time Phasing of Assistance:**

Funds are available until expended.

**Reports:**

A Performance Report and Financial Status Report are required for each grant award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5496-0-1-303.



**Obligations:**

(Grants) FY 07 \$21,301,500; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In 2007, the range for Tier 2 grants was \$527,000 to \$849,510. The 2007 average for Tier 1 grants was \$180,000.

**PROGRAM ACCOMPLISHMENTS:**

The Fish and Wildlife Service appropriated to States, Commonwealths, and territories approximately \$119.8 million since 2002, for the protection and restoration of habitats on private lands to benefit species classified as Special Concern by the State, or Federally listed, proposed, or candidate species or other species determined to be at-risk. In addition, funds have provided technical and financial assistance to private landowners for habitat protection and restoration. In FY 2007, the Fish and Wildlife Service apportioned \$20.6 million. National accomplishments funded by the Landowner Incentive Program include: 576,750 acres of habitat improvement or restoration; 16,338 acres of land were acquired through easements; and 1,624 private landowners were provided assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Act, 2006, Public Law 109-148, Title I, language on Landowner Incentive Program, and 43 CFR 12.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203.  
Contact: Policy and Programs, Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.608, Fish and Wildlife Management Assistance; 15.611, Wildlife Restoration; 15.615, Cooperative Endangered Species Conservation Fund; 15.634, State Wildlife Grants.

**EXAMPLES OF FUNDED PROJECTS:**

In 2007, the Fish and Wildlife Service awarded Landowner Incentive Tier 2 funding to the following State projects. The Idaho Department of Fish and Game (IDFG) received \$849,510 to provide technical assistance to implement selected projects that protected, restored, or enhanced approximately 1,800 acres of upland habitat, 300 acres of wetlands, 4 miles of streams, and obtained conservation easements on 115 acres of Palouse Prairie remnants to benefit targeted at-risk species. IDFG focused their work in the Upper Henrys Fork, Bear River Basin, and Palouse Prairie Conservation Priority Areas. The Nebraska Game and Parks Commission (NGPC) received \$765,000 to continue Natural Legacy Plan implementation in twelve Biologically Unique Landscapes to conserve and enhance 2,420 acres of at-risk species habitat through invasive tree clearing, 11,300 acres through prescribed burning, 12,600 acres through planned grazing, 1,000 acres through ecologically sensitive weed control and 100 acres through wetland restoration. The Oregon Department of Fish and Wildlife (ODFW) received \$849,510 to provide technical assistance to implement selected projects that restored or enhanced approximately 840 acres of sagebrush, wetland, or riparian habitat, and 9 miles of stream habitat to benefit the greater sage-grouse and coho salmon, as well as other at-risk species. ODFW focused in their eastern Oregon Ecoregions (sage-grouse) and in the Coast Range Ecoregion (coho salmon).

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of the State's, Commonwealth's, or territorial's fish and wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.634 STATE WILDLIFE GRANTS**

(SWG)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2006, Public Law 109-54; Title I.

**OBJECTIVES:**

To develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Approved activities include those, which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or

fished. Competitive State Wildlife Grants - It is designed to encourage multi-state projects, partnering with public and private individuals and entities, large scale projects, climate change wildlife-related issues, and "emerging issues" in context with the State Comprehensive Wildlife Plans.

**Applicant Eligibility:**

Participation is limited to State, Commonwealth, or territorial agencies with lead management responsibility for fish and wildlife resources.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.)

**Credentials/Documentation:**

Only that agency that has lead management responsibility for fish and wildlife resources within the State may apply for these grants. The State, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Plan must consider the broad range of the State, Commonwealth, or territory, agencies' wildlife and associated habitats, with appropriate priority placed on those species of the greatest conservation need.

**Preapplication Coordination:**

None. This program is not covered under E.O. 12372.

**Application Procedure:**

Grantees will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by the 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov). Grant proposals must clearly indicate how the proposed objectives address the conservation needs identified within the State's, Commonwealth's, or territory's Comprehensive Wildlife Conservation Plan.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Non-competitive State Wildlife Grants - None; and Competitive State Wildlife Grants - Anticipate deadline late FY 08.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justified and if funds are available.

**Formula and Matching Requirements:**

The Department of the Interior and Related Agencies Appropriations Bill for FY 05, Public Law 108-447, Title I requires that: (1) The Secretary of the Interior shall, after deducting administrative expenses and \$6,000,000 for Tribal grants, apportion the remaining amount in the following manner: (A) to the District of Columbia and to Puerto Rico, each a sum equal to not more than one-half of 1 percent thereof; and (B) to Guam, American Samoa, the Commonwealth of Virgin Islands, and the Commonwealth of Northern Mariana Islands, each a sum equal to not more than one-fourth of one percent thereof. (2) The Secretary must apportion the remaining amount in the following manner: (A) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (B) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. The amounts apportioned under this paragraph must be adjusted equitably so that no State shall be apportioned a sum which is less than 1 percent of the amount available for apportionment under this paragraph for any fiscal year or more than 5 percent of such amount: The Federal share of project costs is not to exceed 75 percent for planning or competitive grants, nor 50 percent for an implementation grant. More discussion is in the matching and cost sharing requirements found in 43 CFR 12.64 and 43 CFR 12.923.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the State, Commonwealth, or territory for a period of two years. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated after the period of availability or unspent after the final grant closeout must return to the U.S. Fish and Wildlife Service for reapportionment.

**Reports:**

A Performance Report and Financial Status Report are required for each grant award annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June

27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5474-0-1-303.

**Obligations:**

(Non-competitive Grants) FY 07 \$60,754,843; FY 08 est \$61,522,997; and FY 09 est \$69,492,000. (Competitive Grants) FY 07 \$0; FY 08 est \$5,000,000; and FY 09 est \$5,000,000.

**Range and Average of Financial Assistance:**

\$155,000 to \$3,104,000; \$1,109,000.

**PROGRAM ACCOMPLISHMENTS:**

Since the program's 2002 inception, the Fish and Wildlife Service appropriated to States, Commonwealths, and territories approximately \$380 million for use in restoring and protecting species of greatest concern. In FY 2008, the Fish and Wildlife Service apportioned \$61.5 million. In FY 2009, the Fish and Wildlife Service will continue to appropriate funds to States, Commonwealths, and territories for use in restoring and protecting species of greatest concern. Specific 2007 accomplishments funded by the State Wildlife Grant program include: 212,561 acres of habitat improvement or restoration to protect species of greatest concern; 3,300 animals were stocked across the United States to restore populations; 4,830 acres of land were acquired in fee simple; 17,241 acres of land were acquired through easements or lease land; and 5,276 private landowners received technical assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Bill for FY 04, Public Law 108-108 language on State Wildlife Grants, and 43 CFR Part 12.

**Regional or Local Office:**

See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Programs - Policy and Programs, 4401 North Fairfax Drive, FA-4020, Arlington, VA 22203. Contact: Policy and Programs, Telephone: (703) 358-2156.

**Web Site Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.608, Fish and Wildlife Management Assistance; 15.611, Wildlife Restoration; 15.615, Cooperative Endangered Species Conservation Fund; 15.633, Landowner Incentive Program.

**EXAMPLES OF FUNDED PROJECTS:**

Colorado - Working Cooperatively to Conserve Western Great Plains Species and Ecosystems: The State Wildlife Grant program is supporting two ongoing multi-state efforts, involving twelve Western states, to develop and implement conservation plans to maintain and enhance sagebrush, shrub-steppe, and prairie ecosystems across the Western Great Plains. New Mexico - Partnership between State and Turner Endangered Species Fund Benefits Chiricahua leopard frog. State Wildlife Grant funds and the Turner Endangered Species Funds were used to return the Federally threatened Chiricahua leopard frogs to the mountains, valleys, and river drainages where it historically lived within Mexico. Other funded projects in New Mexico and Arizona focus on finding the cause of declining Chiricahua leopard frog populations and restoring the frog in its native range.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of the State's, Commonwealth's, or territorial's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.635 NEOTROPICAL MIGRATORY BIRD CONSERVATION**

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Neotropical Migratory Bird Conservation Act of 2000, Public Law 106-247, 16 U.S.C. 6101.

**OBJECTIVES:**

To assist in the conservation of neotropical migratory birds by providing financial resources for the projects of partnerships in countries within the ranges of neotropical migratory birds.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for approved neotropical migratory bird conservation projects. Projects must: enhance the conservation of neotropical bird species in the U.S., Latin America, or the Caribbean; ensure adequate local public participation in project development and implementation; be implemented in consultation with relevant wildlife management authorities and other appropriate government officials with jurisdiction over the resources addressed by the project; be sensitive to local historic and cultural resources and comply with applicable laws; promote sustainable effective, long-term programs to conserve neotropical migratory birds; and other requirements the Secretary considers to be necessary. The Act requires that not less than 75 percent of the amounts made available each fiscal year shall be expended for projects outside of the U.S. Projects are approved for up to a 2-year period of time.

**Applicant Eligibility:**

An individual, corporation, partnership, trust, association, or other private entity; an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Beneficiary Eligibility:**

An individual, profit organization, other private institution/organization, public nonprofit institution/organization, an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Creditentials/Documentation:**

None. Outside the U.S., circulars and regulations are applicable only to the extent U.S. Federal law provides.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant application, including Standard Form 424, Application for Federal Assistance, is to be submitted electronically to the address referenced on the website, at <http://www.fws.gov/birdhabitat/Grants/NMBCA>. Information may also be accessed through [www.grants.gov](http://www.grants.gov). If unable to access the website, request a proposal package, which includes specific requirement information, from the Chief, Division of Habitat Conservation, U.S. Fish and Wildlife Service, Mail Stop MBSP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; Telephone: (703)358-1784. Instructions are available in English, Portuguese and Spanish.

**Award Procedure:**

Proposals are reviewed by a panel of experts from the Fish and Wildlife Service, who make funding recommendations to the Director. After projects are selected for funding, a grant agreement between the Fish and Wildlife Service and the grantee is drafted by the Division of Bird Habitat Conservation (DBHC). The agreement is then processed by DBHC and sent to the recipient. The agreement is considered to be executed on the date of receipt by the recipient, as evidenced by return of registered mail receipt to DBHC. Other than the registered mail signature, an agreement signature is not required of the recipient.

**Deadlines:**

Application submittal dates are announced on a yearly basis; dates set are for the latest date that an application may be postmarked and still be accepted for funding consideration.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposal.

**Appeals:**

None. Proposals not funded may be resubmitted.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must complete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

In determining whether to accept projects for funding approval, applicants must guarantee a 3:1 match amount. That is, the applicant must match each Act dollar with 3 non-Federal dollars. Federal dollars refers to U.S. Federal dollars. Federal dollars of non-U.S. governments are eligible. In the U.S., match must be in cash; outside of the U.S., match may either be in cash or in-kind.

**Length and Time Phasing of Assistance:**

Unless the project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement, and in accordance with financial and reporting procedures specified in the grant agreement.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions of the grant agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1696-0-1-303.

**Obligations:**

(Grants) FY 07 \$3,822,915; FY 08 est. \$4,296,906; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

Variable amounts. Awards have ranged from about \$2,000 to about \$250,000, with an average of about \$88,000. For FY 2006, the maximum award may not exceed \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Between 2002 and 2007, the program supported 225 projects, coordinated by partners in 44 U.S. states/territories and 34 countries. More than \$21 million from NMBCA grants have leveraged about \$97 million in partner contributions. Projects involving land conservation have affected about 3 million acres of bird habitat. In 2007, 37 projects were approved for funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NMBCA Grant Application Instructions; U.S. Grant Administration Standards (for grants within the U.S.); 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Fish and Wildlife Service, U.S. Department of the Interior. Contact: Chief, Division of Bird Habitat Conservation, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203. Telephone: (703) 358-1784. Fax: (703) 358-2282.

**Web Site Address:**

<http://www.fws.gov/birdhabitat/Grants/NMBCA>.

**RELATED PROGRAMS:**

15.623, North American Wetlands Conservation Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Conservation projects that have as their focus enhancement and/or protection of neotropical migratory birds and their habitats, and that encourage and incorporate local jurisdictional and public participation in the project planning and execution process.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be screened and selected for funding primarily on the basis of criteria contained in 16 U.S.C. 6101. However, proposals will also be evaluated on: scope and significance of effort; importance of resource values; relationship of project to other efforts locally/regionally; feasibility and cost-effectiveness.

## 15.636 ALASKA SUBSISTENCE MANAGEMENT

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Alaska National Interest Lands Conservation Act (ANILCA) of 1980, Title VIII, Public Law 96-487, 16 U.S.C. 3101-3233, Section 809. Fish and Wildlife Coordination Act (16 U.S.C. 661 to 666).

**OBJECTIVES:**

To identify and provide information needed to sustain subsistence fisheries and wildlife management on Federal public lands, for rural Alaskans, through a multidisciplinary, collaborative program. Three programs are administered under ANILCA to fulfill this objective. The Fisheries Resource Monitoring Program (Monitoring Program) funds approximately 80 studies annually to provide information on stock status and trends, harvests, and traditional ecological knowledge to manage and regulate Federal subsistence fisheries. The Partners for Fisheries Monitoring Program (Partners Program) strengthens Alaska Native and rural involvement subsistence fisheries and research. The program provides funds directly to Alaska Native and rural organizations to hire fishery biologists, social scientists, and educators to implement fisheries monitoring projects and rural internship programs. The Liaison and Staff Support Grant to the State of Alaska is directed specifically to the Alaska Department of Fish and Game. The

grant defrays salary and travel expenses that occur in support of the coordination between State and Federal subsistence fish and wildlife programs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used for approved fish and wildlife subsistence management, fisheries monitoring and traditional ecological knowledge projects.

**Applicant Eligibility:**

An individual/family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska; Federally recognized Indian Tribal Government (including any Native village as defined in the Alaska Native Claims Settlement Act).

**Beneficiary Eligibility:**

An individual/Family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department, or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska, or of any foreign government.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used. For both the Monitoring and Partners programs, a Request for Proposal (RFP) will be posted biennially on <http://fedbizopps.gov> and <http://grants.gov>. Complete application information can be found on the Office of Subsistence Management (OSM) website at: <http://alaska.fws.gov/asm/fisindex.cfm> or, if unable to access the website a proposal package containing specific requirement information can be requested from Attn: Kathleen Orzechowski, Program Specialist, Office of Subsistence Management, Fisheries Division, 3601 C Street, Suite 1030, Anchorage, Alaska 99503. For the Liaison and Staff Support Grant, a Request for Proposal will be posted annually on <http://grants.gov> APPLY. Information can be requested from Attn: Greg Risdahl, Wildlife Biologist, Office of Subsistence Management, Fisheries Division, 3601 C Street, Suite 1030, Anchorage, AK 99503.

**Award Procedure:**

For the Monitoring Program, an inter-agency technical review committee evaluates and ranks proposals, and, for those selected for further consideration, subsequently the full investigation plans. The committee develops a draft monitoring program from the highest priority projects, based on their technical review and available funds. The draft monitoring plan is reviewed by ten regional advisory councils and the public. An inter-agency staff committee reviews all recommendations, and reconciles differences between staff and public recommendations. The Federal Subsistence Board approves biennial monitoring plans with the benefit of both a technical recommendation by the Technical Review Committee and public review by the Regional Advisory Councils. For the Partners Program, an internal review committee evaluates proposals and makes recommendations for funding. The committee evaluations are based on the criteria outlined in the request for federal assistance. The review committee ranks proposals and the assistant regional director selects proposals that best support the program within available funding. Once a Monitoring Program project or Partners Program position is selected for funding, a funding instrument, i.e., notice of award, between Fish and Wildlife Service and the recipient is drafted by the OSM. The award is processed by OSM through the contracting office and sent to the recipient for signature. The award is considered executed when signed copies of the agreement are received from the recipient and the contracting office has obligated funds to the agreement. The awards are administered by OSM. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-Federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

**Deadlines:**

Request for Proposals are announced biennially. For the Fisheries Monitoring Program and the Partners Program complete application information can be found on the Office of Subsistence Management website at: <http://alaska.fws.gov/asm/fisindex.cfm> or, if unable to access the website, a proposal package containing the specific requirement information can be requested from Attn: Kathleen Orzechowski, Program Specialist, Office of Subsistence Management, Fisheries Division, 3601 C Street, Suite 1030, Anchorage, Alaska 99503. For the Liaison and Staff Support Grant, a Request for Proposal will be posted annually on <http://grants.gov> APPLY. Information can be requested from Attn: Greg Risdahl, Wildlife Biologist, Office of



Subsistence Management, Fisheries Division, 3601 C Street, Suite 1030, Anchorage, AK 99503.

**Range of Approval/Disapproval Time:**

Federal Subsistence Board decisions on funding of Monitoring Program projects are made no later than January 20. OSM decisions on Partners Program positions are announced within one year of the Request for Proposals.

**Appeals:**

Not applicable.

**Renewals:**

Monitoring projects and positions may be approved for one to four years duration. Applicants may re-apply during subsequent Request for Proposals.

**Formula and Matching Requirements:**

There is no requirement for cost sharing, matching, or cost participation. However, applicants are encouraged to document matching contributions. Proposals with substantial cost sharing will be ranked higher than similar proposals with no identified cost sharing.

**Length and Time Phasing of Assistance:**

For the Monitoring and Partners Programs, upon approval, the project may be extended or the agreement modified for a period not to exceed five years from initial award. Awarded funds must be spent during the approved Period of Performance of the award, and in accordance with financial and reporting procedures specified in the award. For the Liaison and Staff Support Grant, award is for one year.

**Reports:**

Progress, annual, final, performance, and significant development reports are to be submitted in accordance with terms and conditions of the award. Financial reports (SF-269) are required a minimum of annually in accordance with 43 CFR 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133."

**Records:**

Records for cooperative agreements awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for cooperative agreements awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$6,393,000; FY 08 \$5,200,000; and FY 09 est \$5,200,000.

**Range and Average of Financial Assistance:**

Variable amounts. In 2007, awards ranged from \$3,000 to \$550,000. In FY 2008, awards will range from \$3,000 to \$610,000.

**PROGRAM ACCOMPLISHMENTS:**

The Monitoring and Partners programs provide critical information needed for the management and regulation of Alaska's subsistence resources, as directed by the ANILCA. The Monitoring Program provides over \$4 million annually for research and monitoring projects in Alaska. Approximately 80 projects are conducted annually. Projects provide information on over 70 fish populations important for subsistence fishers, who annually consume over 220 pounds of fish per person in rural Alaska. Over 100 Alaska Native and rural organizations have participated in the program. By providing sound scientific data, building capacity in rural organizations forging partnerships, and promoting local involvement, the Monitoring Program has enabled Federal and State governments to better manage fisheries and provide for subsistence uses. Through the Partners for Fisheries Monitoring Program, the U.S. Fish and Wildlife Service is building the capability and expertise of Alaska Native organizations to participate more fully in subsistence fishery management. With both Monitoring and Partners programs, subsistence fisheries are actively managed and sustained, proposed regulatory changes are analyzed, local concerns are addressed, conflicts among user groups are minimized, and Alaska Native and rural organizations are meaningfully involved in subsistence fisheries management and monitoring. Successful partnerships among government, Alaska Native, and other organizations have promoted more effective information collection, promoted internships and mentoring in rural Alaska, and improved local understanding and support for the subsistence management program. The Liaison and Staff Support Grant provides for effective dual management and coordination between the Alaska Department of Fish and Game and the Office of Subsistence Management. The grant provides funding for the State to meet its responsibilities to maintain healthy fish and wildlife

resources while providing contained harvest opportunities for Alaska residents. In addition to the development of State and Federal harvest regulations, i.e., seasons, harvest limits, and methods and means, dual management also includes the recognition of customary and traditional uses and subsistence use amounts, as well as the sharing of harvest data. More specifically it is intended to protect and promote the sustained health of fish and wildlife populations, to ensure conservation and stability in fisheries and wildlife management and to include meaningful public involvement.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements/project grants will be administered in conformance with the Fish and Wildlife Service Administrative Service Manual and 43 CFR 12.

**Regional or Local Office:**

For the Fisheries Monitoring and Partners for Fisheries Monitoring Programs: Kathleen Orzechowski, Program Specialist, Office of Subsistence Management, Fisheries Information Service Division, 3601 C Street, Suite 1030, Anchorage, Alaska 99503. Telephone: (907)786-3645, E-mail: kathleen\_orzechowski@fws.gov. For the Liaison and Staff Support Grant: Greg Risdahl, Wildlife Biologist, Office of Subsistence Management, Fisheries Division, 3601 C Street, Suite 1030, Anchorage, AK 99503, Telephone: (907) 786-3678, E-mail: reg\_risdahl@fws.gov.

**Headquarters Office:**

Karie Crow, Administrative Officer, Office of Subsistence Management, 3601 C Street, Suite 1030, Anchorage, Alaska 99503. Telephone: (907) 786-3387, E-mail: karie\_crow@fws.gov.

**Web Site Address:**

<http://alaska.fws.gov/asm/fisindex.cfm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Monitoring Program: There are more than 330 known steelhead streams in Southeast Alaska. The numbers of adult fish in these streams were estimated in the late 1980s. Most populations are thought to be quite small, with an annual run size of 100 or fewer adult steelhead. Approximately 56 streams are estimated to have run sizes of more than 200 fish, of which 12 are thought to contain more than 500 fish. Several systems may contain adult runs of 1,000 or more fish. Of the approximately 330 steelhead streams in Southeast Alaska, 75 are located on Prince of Wales Island. A three-year project to assess adult steelhead populations through the use of weirs on five Prince of Wales Island streams concluded in 2007 and a final report is being prepared. The data gathered will help ensure careful management of steelhead stocks. The steelhead population assessment project is a cooperative effort of the Alaska Department of Fish and Game, the Organized Village of Kasaan, the Bureau of Indian Affairs, and the Forest Service. A study documenting traditional methods of harvest, use and processing of steelhead was completed in 2005. This was a cooperative effort of the Alaska Department of Fish and Game, Craig Community Association, Klawock Cooperative Association, and Hydaburg Cooperative Association. Partners Program: The success of the Fisheries Resource Monitoring Program depends upon a well informed public, and support of the program and resulting projects within rural communities. However, most rural communities and organizations do not have the capacity to meaningfully participate in the program, and many people do not understand how the program operates. Within the Kuskokwim region, Kuskokwim Native Association was recently awarded two positions, a fishery biologist and an educator position. The biologist will serve as a co-investigator on seven Monitoring Program projects and serve as a mentor for rural college student interns. The educator will mentor students working on Monitoring Program projects during the summer and assist students in the fall while they bring what they learned into their classrooms.

**CRITERIA FOR SELECTING PROPOSALS:**

For the Monitoring Program, each proposal is evaluated using the following four criteria: (1) Strategic Priorities: Studies must be responsive to identified issues and information needs. All projects must have a direct association to a Federal subsistence fishery, and either the subsistence fishery or fish stocks in question must occur in waters within or adjacent to Federal public lands. (2) Technical and Scientific Merit: Technical quality of the study design must meet accepted standards for information and collection, compilation, analysis, and reporting. Studies must have clear objectives, appropriate sampling design, correct analytical procedures, and specified progress and final reports. (3) Investigator Ability and Resources: Investigators Ability and Resources: Investigators and their organizations should have demonstrated technical and administrative expertise to complete prior studies, or have co-investigators or appropriate partnerships with other organizations to meet all requirements of the study. (4) Partnership-Capacity Building: Studies must include appropriate partners and contribute to building capacities of rural organizations, local communities, and residents to participate in fisheries resource management. Investigators and their organizations should be able to demonstrate the ability to maintain effective local relationships and a commitment to capacity building. For the Partners Program, each proposal is evaluated using the following equally weighted criteria: (1) Ability to successfully implement the program as described. (2) Strategic priority and past performance of the Monitoring Program project. (3)

Letters of support from tribal and rural organizations, government agencies, project investigators, and schools/universities. (4) Annual and total cost of the proposal, including the use of in-kind or matching contributions that either decrease cost or expand support for implementing the Partners Program. (5) Past performance on implementing Monitoring Program projects. (6) Past performance on current or past agreements with the Office of Subsistence Management. (7) Previous experience in mentoring, training, and supervising personnel. (8) Past and current accounting practices to ensure deliverables and accountability. (9) The following items must be included in the application for successful submission and review. Each of these items carries a "Go/No-Go" impact: lack of direct linkage of a Monitoring Program project, enrollment in CCR; affirming in writing in your application that you have enrolled in CCR; providing your DUNS Number; submission of completed SF-424, SF-424A, and SF-424B package; and submission of indirect rate documentation (the agreement, the pool, and the base) if requesting reimbursement for indirect costs, unless no indirect reimbursement is being requested. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

## 15.637 MIGRATORY BIRD JOINT VENTURES

### FEDERAL AGENCY:

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, (16U.S.C. 709a).

### OBJECTIVES:

To protect, restore and enhance wetland and upland ecosystems for the conservation of migratory birds.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Joint Ventures are public/private partnerships, are guided by a Management Board of public/private representatives and use a Fish and Wildlife Service approved Implementation Plan that establishes conservation goals, priorities, and strategies. The Implementation Plan typically includes stepped down goals and objectives from a variety of national and international bird planning efforts. A Joint Venture Coordinator facilitates the coordination and implementation of the Joint Venture. The U.S. Fish and Wildlife Service provides basic administrative funding to Joint Ventures to cover costs associated with coordination; planning; monitoring, evaluation and applied research; communications and outreach; and project development and implementation. Joint Ventures may provide federal assistance to partners within these categories to achieve the goals of the Joint Venture. The FWS does not fund the entire scope of Joint Venture operations. Joint Venture partners are expected to contribute funding towards one or more of these categories. Non-federal match is not required, but leveraging FWS dollars provided for Joint Venture administration is a critical component of the Joint Venture program.

### Applicant Eligibility:

Federal, State and local government agencies, Federally recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; profit organizations, interstate and intrastate entities, and individuals or families who are also private landowners.

### Beneficiary Eligibility:

General Public.

### Credentials/Documentation:

Must participate or intend to participate in strategic conservation planning, implementation and evaluation activities designed to meet Joint Venture objectives as identified in an approved Implementation Plan and all related plans.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Joint venture partner/potential partner contact Joint Venture Coordinator to discuss Joint Venture (JV) needs and objectives, or JV Coordinator may initiate the contact. Coordinators work with partners/potential partners to design projects and discuss cost-share programs/activities that will contribute to meeting Joint Venture goals. Preparation of Environmental Impact Statements is not a prerequisite for receiving federal assistance/funding. State Plans are not required.

### Award Procedure:

Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non Construction; or SF 424C and SF 424D - Construction). Once the project is designed and either fits within an approved Implementation Plan or is reviewed and approved by a Joint Venture Management Board, a cooperative agreement or grant agreement is

written and work can begin.

### Deadlines:

None. Funding decisions are made at least annually. All applications received will be held for consideration during the next review period.

### Range of Approval/Disapproval Time:

180 Days.

### Appeals:

None.

### Renewals:

None. Partners/potential partners may request additional projects to meet Joint Venture goals and objectives.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Length and Time Phasing of Assistance: Cooperative agreements are normally written for a 1 to 5 year period. For project cost-share grants, a 2 year period for expenditure of funds is the norm. Payments are generally made on a quarterly basis.

### Reports:

All projects and activities are monitored for progress and compliance with agreed on scope of work. Written reports on completion of the project are generally required. Recipients are required to submit annual Financial Status Reports using SF 269 or SF 269A within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Financial Status Report is required 90 calendar days after the expiration or termination of the assistance agreement.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Financial Status Report.

### Account Identification:

14-1611-0-1-303.

### Obligations:

(Project Grants) FY 07 \$4,019,000; FY 08 est \$5,000,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

\$2,400 to \$900,000; \$225,000.

### PROGRAM ACCOMPLISHMENTS:

Six original Joint Ventures were formed in 1987 to implement the North American Waterfowl Management Plan. As of 2007, there are 17 joint ventures that focus on regions containing critical habitats and 3 that focus on individual species in the US, Canada, Mexico. Joint venture partners have invested more than \$2.2 billion to protect, restore or enhance more than 9 million acres of wetlands, grasslands, forests and riparian habitats in the U.S. alone. Joint ventures adapt program principles to their own geographic and cultural conditions and pool limited resources to successful conservation actions that involve a variety of public and private stakeholders.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Fish and Wildlife Service Policy 721 FW6, Joint Venture Implementation Plans, Joint Venture Accomplishment Reports.

### Regional or Local Office:

See Catalog Appendix IV for addresses.

### Headquarters Office:

U.S. Fish and Wildlife Service, U.S. Department of the Interior, Division of Bird Habitat Conservation, Joint Venture Liaison Officer, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, VA 22203. Telephone: (703) 358-1784; Fax: (703) 358-2282. Email: DBHC@fws.gov.

### Web Site Address:

[www.grants.gov](http://www.grants.gov); <http://www.fws.gov/birdhabitat/JointVentures/index.shtm>.

### RELATED PROGRAMS:

15.631, Partners for Fish and Wildlife; 15.623, North American Wetlands Conservation Fund; 15.647, Migratory Bird Conservation; 15.635, Neotropical Migratory Bird Conservation.

### EXAMPLES OF FUNDED PROJECTS:

Administration, coordination and assessment of management practices necessary to ensure the effective operation and implementation of a joint venture. Develop integrated migratory bird habitat landscape planning, including development of biological models, spatial analysis and Geographic Information systems to develop joint venture objectives. Monitoring, evaluation and applied research including testing planning assumptions, management uncertainties, development

of baseline data and data bases, biological assessments, species and habitat surveys and research projects necessary to assess biological performance; socio-economic surveys to better understand economic and cultural issues affecting conservation in the Joint Venture. Habitat conservation, such as protection, restoration and enhancement of wetland, riparian, grassland, forest, coastal and estuarine habitats, including work with private landowners, to achieve joint venture objectives. Communications and outreach efforts include newsletters, educational pamphlets, web sites, technical assistance, workshops and training for joint venture partners.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must be an existing or potential partner of a Joint Venture, and must agree to support Joint Venture goals and objectives. Project must fall within scope of a Management Board approved Joint Venture Implementation Plan and related conservation plans. Projects must contribute to overall Joint Venture goals and objectives. Project must be cost-effective. Projects that leverage grant funds with partner funds or in-kind services will receive preference.

**15.638 TRIBAL LANDOWNER INCENTIVE PROGRAM**

(TLIP)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, 2004, Title I, Public Law 108-108; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601-4 through 11.

**OBJECTIVES:**

To establish or supplement existing programs that provide technical or financial assistance including habitat protection and restoration, to Federally recognized Indian tribes for the protection and management of habitat to benefit Federally listed, proposed, or candidate species, or other at-risk species.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

These discretionary grants are available for conservation efforts to be carried out on private lands, to provide technical or financial assistance to private landowners for the purpose of benefiting Federally listed, proposed, or candidate species, or other at-risk species on private lands. Assistance must be to protect, restore, or manage habitat on private lands. (No new funds are expected in FY 09, the Fish and Wildlife Service will not be accepting proposals.)

**Applicant Eligibility:**

Participation is limited to Federally recognized Indian tribal governments. For the purposes of inclusion under TLIP, tribal trust lands are treated similarly to lands under private ownership.

**Beneficiary Eligibility:**

Anyone/General Public (While direct participation is limited to Federally Recognized Indian Tribal governments, the general public will ultimately benefit from these wildlife conservation measures.)

**Credentials/Documentation:**

Only Federally recognized Tribes in all parts of the United States are eligible to receive grants under this program, including federally recognized Tribes, pueblos, rancherias, and Alaska native villages or traditional councils as defined by the Alaska Native Claims Settlement Act. Federally recognized Tribes are listed in the Federal Register (68 FR 68180; December 5, 2003).

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of project costs is not to exceed 75 percent. Matching and cost sharing requirements are discussed in 43 CFR Part 12, Section 12.64.

**Length and Time Phasing of Assistance:**

Funds are available until expended. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated or unspent after the final grant closeout are returned to the Service for reapportionment.

**Reports:**

A Performance Report and Financial Status Report are required for each grant annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of final Financial Status Report.

**Account Identification:**

14-5496-0-1-303.

**Obligations:**

(Grants) FY 07 \$2,366,690; FY 08 \$0; and FY 09 \$0.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, TLIP was not funded and no funds are expected in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Act, 2004, Public Law 108-108, Title I, language on Landowner Incentive Program, and 43 CFR 12.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Fish and Wildlife Service, Division of External Affairs, ATTN: Native American Liaison, Mail Stop-3251, 1849 C Street N.W., Washington, DC 20240.

Telephone: (202) 208-4133, Fax: (202) 501-3524.

**Web Site Address:**

<http://grants.fws.gov/tribal.html>.

**RELATED PROGRAMS:**

15.631, Partners for Fish and Wildlife; 15.623, North American Wetlands Conservation Fund; 15.630, Coastal Program; 15.639, Tribal Wildlife Grants Program.

**EXAMPLES OF FUNDED PROJECTS:**

Habitat improvement, augmentation, and monitoring of Roundtail chub (*Gila Robusta*) in the Navajo River; restoring the Penobscot River ecosystem; and a perennial stream study of the Topeka Shiner.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria will be used for selecting proposals: (1) Benefit: What are the probable significant outcomes to protect and restore habitats that benefit federally listed, proposed, or candidate species, or other at-risk species on tribal lands if this program is successfully completed? The Service requires that the Tribe articulate how the benefits of its proposal support the goals and objectives of the TLIP and Service and tribal Performance Goals in its proposal narratives. (2) Performance Measures: To what extent does the proposal provide obtainable and quantifiable performance measures and means to monitor, evaluate, and report on these measures compared to an initial baseline? The measures should be specific and clear and should provide demonstrable benefits to the target species of the action. These measures must support the goals and objectives of the TLIP, the Service, and the Tribe. (3) Work Plan: Are the program activities and objectives well-designed and achievable? (4) Budget: Are all major budget items justified in relation to the program objectives and clearly explained in the narrative description? (5) Capacity Building: To what extent does the program increase the grantee's capacity to implement actions and activities that protect and restore habitats that benefit Federally listed, proposed, or candidate species, or other at-risk species on tribal lands? (6) Contributions and Partnerships: To what extent does the applicant display commitment to the project proposal through in-kind contribution or matching funds and to what extent does it incorporate contributions from other nonfederal partners in the form of either cash or in-kind services?

**15.639 TRIBAL WILDLIFE GRANTS PROGRAM**

(TWG)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, FY 2004, Title I, Public Law 108-108, Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601-4 through 11.

**OBJECTIVES:**

To develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Approved activities include those which develop and implement programs for



the benefit of wildlife and their habitat, including species that are not hunted or fished.

**Applicant Eligibility:**

Participation is limited to Federally recognized Indian tribal governments. For the purposes of inclusion under TLIP, tribal trust lands are treated similarly to lands under private ownership.

**Beneficiary Eligibility:**

Anyone/General Public (While direct participation is limited to Federally recognized Indian tribal governments, the general public will ultimately benefit from these wildlife conservation measures).

**Credentials/Documentation:**

Only Federally recognized Tribes in all parts of the United States are eligible to receive grants under this program, including Federally recognized Tribes, pueblos, rancherias, and Alaska native villages or traditional councils as defined by the Alaska Native Claims Settlement Act. Federally recognized Tribes are listed in FR/Vol. 73, No. 66, p. 18553/April 4, 2008.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application procedures are spelled out in the "Tribal Wildlife Grant Application Kit" available electronically at: <http://grants.fws.gov/tribal.html>. To receive a paper copy, contact the regional Office of the Native American Liaison.

**Award Procedure:**

The Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee and will coordinate the development of the grant agreement.

**Deadlines:**

60 days after the request for grant proposals is announced and published on [Grants.gov](http://Grants.gov).

**Range of Approval/Disapproval Time:**

Proposals will be scored, ranked and selected approximately 90 working days after the deadline for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director, Fish and Wildlife Service. Final determination rests with the Secretary of the Interior.

**Renewals:**

None. Any requests for future funding must compete with requests for new projects.

**Formula and Matching Requirements:**

There is no matching requirement, however, the Service will consider matching funds as an indication of tribal commitment to the program and to encourage partnerships. Matching and cost sharing requirements are discussed in 43 CFR Part 12, Section 12.64.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the tribe until expended. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated or unspent after the final grant closeout are returned to the Service for reapportionment.

**Reports:**

A Performance Report and Financial Status Report are required for each grant annually within 90 days after the anniversary date and/or end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5474-0-1-303.

**Obligations:**

(Grants) FY 07 \$6,000,000; FY 08 \$6,000,000; and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

Awards may be granted up to a maximum of \$250,000 and there is no minimum. Tribes may submit more than one proposal however no tribe may receive more than \$250,000 in any single TWG cycle.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, 38 proposals were selected for funding from a pool of 112 submissions. We are expecting a slightly larger number of submissions in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Bill for FY

2002, Public Law 107-63 language on State Wildlife Grants, and 43 CFR Part 12.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Fish and Wildlife Service, Division of External Affairs, ATTN: Native American Liaison, Mail Stop-3251, 1849 C Street N.W., Washington, DC 20240.  
Telephone: (202) 208-4133, Fax: (202) 501-3524.

**Web Site Address:**

<http://grants.fws.gov/tribal.html>

**RELATED PROGRAMS:**

15.631, Partners for Fish and Wildlife; 15.623, North American Wetlands Conservation Fund; 15.630, Coastal Program; 15.638, Tribal Landowner Incentive Program.

**EXAMPLES OF FUNDED PROJECTS:**

Nooksack Cumulative Watershed Effects Assessment South Fork Nooksack In-Stream Restoration Project; Red Lake Wildlife Habitat Preservation and Maintenance, Enhancement and Evaluation Project; Habitat Use, Seasonal Movements and Stock Structure of Bearded Seals in Kotzebue Sound, Alaska.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria is used to select proposals: (1) Benefit: What are the expected benefits to fish and wildlife resources, including species that are not hunted or fished, and their habitat if this program is successfully completed? The Service requires that the Tribe articulate how the benefits of its proposal support the goals and objectives of the TWG and Service and tribal Performance Goals in their proposal narratives. (2) Performance Measures: To what extent does the proposal provide obtainable and quantifiable performance measures and a means to monitor, evaluate, and report on these measures compared to an initial baseline? The measures should be specific and clear, and should provide demonstrable benefits to the target species of the action. These actions must support the goals and objectives of the TWG, the Service and the Tribe. (3) Work plan: Are the program activities and objectives well-designed and achievable? (4) Budget: Are all major budget items justified in relation to the program objectives and clearly explained in the narrative description? (5) Capacity Building: To what extent does the program increase the grantee's capacity to provide for the benefit of wildlife and their habitat? (6) Contributions and Partnerships: To what extent does the applicant display commitment to the project proposal through in-kind contribution or matching funds and to what extent does it incorporate contributions from other nonfederal partners in the form of either cash or in-kind services?

## 15.640 WILDLIFE WITHOUT BORDERS- LATIN AMERICA AND THE CARIBBEAN

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended (16 U.S.C. 1531-43).

**OBJECTIVES:**

The Wildlife Without Borders-Latin America and the Caribbean Program focuses on strengthening the ability of Latin American and Caribbean institutions to manage and conserve species, habitats and ecological processes for the benefit of the people of the Americas and the world. Of particular interest are projects that build the human and institutional capacity to effectively conserve and manage natural protected areas in Latin America and the Caribbean. Program objectives are: (1) To advance, through capacity building, the transition of protected areas from legally established but under-implemented paper parks to effectively managed landscapes, benefiting species of regional concern; and (2) To develop, strengthen and replicate high-quality conservation training programs that reach the priority audiences associated with protected areas. The priority audiences for the training supported by this Program include: Protected area managers and administrators; Protected area guards and rangers; Protected area outreach and education specialists; Community leaders (living in and around protected areas); Upper-level students (working on projects in and around protected areas); and Decision-makers who influence protected areas (including private landowners, legislators, and public officials).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects should take place in Latin America or the Caribbean, ideally in a recognized high priority ecosystem or ecoregion of biome, or a key location associated with flagship, endangered or migratory species of regional concern. If work is to be conducted outside that region, the proposal must explain why it is preferable that the project is implemented elsewhere. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or the country in which

the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, and Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The program announcement and application instructions for this program can be found at the Grants.gov website. The Notice of Funding Availability and Application Instructions are also located on the program website at <http://www.fws.gov/international/DICprograms/lac.htm>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Latin America & the Caribbean, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed specifically for this program. Review criteria can be found in the application information at <http://www.fws.gov/international/DICprograms/lac.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

This program has two annual deadlines. The first deadline is October 15 each year. The second deadline is April 15 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes made.

**Formula and Matching Requirements:**

Applicants and/or other project partners must contribute funds to the project, which may include cash or in-kind contributions.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance indicated on the Assistance Award, and in accordance with the financial and performance reporting procedures specified in the Assistance Award.

**Reports:**

Financial and performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DICprograms/lac.htm>. For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,00 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Grants) FY 07 \$691,000; FY 08 \$1,229,000; and FY 09 est \$532,000.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$25,000.00. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007 the Service funded 39 conservation projects under this program. A summary of each of those projects can be found at the program webpage at <http://www.fws.gov/international/DICprograms/lac.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at <http://www.fws.gov/international/DICprograms/lac.htm> or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Fish and Wildlife Service, Department of the Interior. Contact: Chief, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, VA 22203-1622. Telephone: (703) 358-1754. Fax: (703) 358-2115. E-mail: [WWB\\_LAC@fws.gov](mailto:WWB_LAC@fws.gov).

**Web Site Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.641, Wildlife Without Borders-Mexico; 15.651, Wildlife Without Borders-Africa Program.

**EXAMPLES OF FUNDED PROJECTS:**

Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/DICprograms/lac.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation at (703) 358-1754.

**CRITERIA FOR SELECTING PROPOSALS:**

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$25,000. A complete list of the criteria used to select projects under this program can be found in the Latin America & the Caribbean Notice of Funding Availability and Application Instructions located on line at <http://www.fws.gov/international/DICprograms/lac.htm>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

## 15.641 WILDLIFE WITHOUT BORDERS-MEXICO

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended, 16 U.S.C. 1531-43.

**OBJECTIVES:**

To provide support for projects that build human and institutional capacity for biodiversity conservation and management in Mexico through training associated with Mexican nature reserves. Of interest are projects that provide training in biodiversity conservation or natural resource management associated with federal, state, or local nature reserves, or areas in the process of acquiring protection status, as well as other priority biodiversity areas designated by the Government of Mexico.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding will be provided for training projects, including short-term (2-3 week) on-the-job courses certified by an educational institution (Diplomados), workshops, personnel exchanges, training provided through on-the-ground practices, among other delivery mechanisms, with the following objectives: (1) develop specific conservation/management skills of resources managers by addressing critical gaps in formal and informal training in Mexico while increasing the number of personnel trained; (2) promote training that links sound management practices in nature reserves to the creation of economic opportunities for buffer zone communities; and (3) raise the level of awareness and capacity of key stakeholder groups to deliver conservation. Applicants

should be proposing work to be conducted in Mexico. If work is to be conducted in the United States, the proposal must show a clear connection to capacity building for biodiversity conservation in Mexico to be eligible for funding. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or Mexico. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government; public nonprofit institution/organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The program announcement and application instructions for this program can be found at the Grants.gov website. The Notice of Funding Availability and Application Instructions are also located on this programs website at <http://www.fws.gov/international/DICprograms/mexico.htm>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Mexico, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are simultaneously reviewed by a panel convened by the U.S. Fish and Wildlife Service and a panel convened by the Mexican Ministry of the Environment and Natural Resources (SEMARNAT). Final funding decisions are made jointly by representatives of the Service and SEMARNAT based on the recommendations of the two review panels. Review criteria can be found in the application information at <http://www.fws.gov/international/DICprograms/mexico.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Proposals must be submitted to both the Fish and Wildlife Service and SEMARNAT on or before October 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes made.

**Formula and Matching Requirements:**

Applicants and/or other project partners must contribute funds to the project, which may include cash or in-kind contributions. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance indicated on the Assistance Award, and in accordance with the financial and performance reporting procedures specified in the Assistance Award document.

**Reports:**

Financial and performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DICprograms/mexico.htm>. For financial reporting, Domestic Recipients with no program income to report shall use

Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that expend \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Grants) FY 07 \$630,000; FY 08 \$697,000; and FY 09 est \$425,000.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$50,000.00. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

In FY07 the Service awarded 17 Assistance Awards for projects in Mexico. A summary of each of those projects can be found at the programs webpage at <http://www.fws.gov/international/DICprograms/mexico.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at <http://www.fws.gov/international/DICprograms/mexico.htm> or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Fish and Wildlife Service, Department of the Interior. Contact: Chief, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, VA 22203-1622. Telephone: (703) 358-1754. FAX: (703) 358-2115. E-mail: [WWB\\_Mexico@fws.gov](mailto:WWB_Mexico@fws.gov).

**Web Site Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.640, Wildlife Without Borders- Latin America and the Caribbean; 15.651, Wildlife Without Borders-Africa Program.

**EXAMPLES OF FUNDED PROJECTS:**

Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/DICprograms/mexico.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation at (703) 358-1754.

**CRITERIA FOR SELECTING PROPOSALS:**

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$50,000.00. A complete list of the criteria used to select projects under this program can be found in the Wildlife Without Borders-Mexico Notice of Funding Availability and Application Instructions, located on line at <http://www.fws.gov/international/DICprograms/mexico.htm>. Hard copies can be obtained by contacting the Division of International Conservation at (703) 358-1754.

**15.642 CHALLENGE COST SHARE**

(CCS)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, 2004, Title I, Public Law 108-108.

**OBJECTIVES:**

Encourage partnerships with nonfederal governments, private individuals and organizations, educational institutions, philanthropic and charitable groups, and businesses to support the mission of the Service. Projects must conserve, protect, and enhance fish, wildlife, and plants for the continuing benefit of the American



people.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for approved Challenge Cost Share projects. It is the policy of the Service to encourage the use of Challenge Cost Share agreements to complete projects on and off Service lands. The program requires that the Service expend no more than 50% of the cost to complete project and that a minimum of the other 50% of the funds be of nonfederal origin.

**Applicant Eligibility:**

Applicants may be an individual/family, minority group, specialized group, small business, profit organization, private nonprofit/organization, quasi-public nonprofit institution/organization, native American, Federal, Interstate, Intrastate, State, Local, Sponsored organization, public nonprofit institution/organization, other public institution/organization, U.S. territory, or any organization with interests which support the mission of the Service. This program requires the cooperator(s) to provide a minimum of 50 percent of cost share from non-Federal sources.

**Beneficiary Eligibility:**

An individual/family, profit organization, other private institution/organization, public nonprofit institution/organization, an officer, employee, agent, department or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or any other entity subject to the jurisdiction of the United States with interests which support the mission of the Service.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Interested party contacts the local National Wildlife Refuge, Partners for Wildlife or other Fish and Wildlife Service Office to design a project that will support the mission of the Service. Proposals, including Standard Form 424 "Application for Federal Assistance," are submitted to the cooperating Service office that forwards them to their servicing Regional Office.

**Award Procedure:**

The Regional Challenge Cost Share Coordinator assembles a committee of Fish and Wildlife Service employees from a variety of disciplines to review, rank and select the proposals for funding.

**Deadlines:**

Application submittal dates are announced on a yearly basis, by Region. Contact the appropriate Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposals. If funding is approved, a Challenge Cost Share Agreement (CCSA) is written between the Service and a cooperator(s) in which there is an equal partnership between the Federal government and the cooperator(s) that produces or provides a tangible product which mutually benefits Service objectives and the public. The Regional Contracting and General Services offices will review all CCSA's for contractual sufficiency. The agreements will be signed by the cooperator(s) and the Regional Director.

**Appeals:**

Not applicable.

**Renewals:**

None. However, at the discretion of the National Wildlife Refuge System, a Challenge Cost Share Agreement may be modified.

**Formula and Matching Requirements:**

As required in Public Law 108-108, proposals must have a minimum of a 1:1 match of nonfederal funds or in-kind services.

**Length and Time Phasing of Assistance:**

Challenge Cost Share Agreements are written for funds that should be spent within 1 year; upon approval, agreements may be extended beyond the 1 year for reasonable cause.

**Reports:**

The Challenge Cost Share Management Information System is used to monitor project accomplishment. Each Region certifies that all CCS projects funded for each fiscal year were completed and provides a summary report noting project accomplishment.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$12,000,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Cost share range per project is from \$300 to \$25,000. The average cost per project is \$7,800.

**PROGRAM ACCOMPLISHMENTS:**

These projects focus on restoration of natural resources and/or the establishment or expansion of wildlife habitats with durable, lasting results; and/or wildlife-oriented recreational and education programs. In fiscal year 2003, more than 1,400 partners provided approximately \$10.5 million in dollars and in-kind matches. This effort indicates the importance of these conservation efforts by leveraging approximately \$1.60 for every \$1 in Federal funding for National Wildlife Reserve System projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Fish and Wildlife Service, Department of the Interior. Contact: Assistant Director, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670, Arlington, VA 22203. Telephone (703) 358-1744; Fax: (703) 358-2248.

**Web Site Address:**

www.fws.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A wide variety of projects focusing on conservation, protection, and enhancement of fish, wildlife and plants involving partners who provide a 1:1 match.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the lasting affect on conservation, enhancement and protection. They will also be evaluated on scope of effect, number of partners involved, importance of resource values, feasibility, and cost effectiveness.

**15.643 ALASKA MIGRATORY BIRD CO-MANAGEMENT COUNCIL**

(AMBCC)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 to 666C; Migratory Bird Treaty Act, 16 U.S.C. 703 et seq.

**OBJECTIVES:**

To facilitate and administer regional programs to involve subsistence hunters of migratory birds in the management and regulation of migratory birds.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds will be used to help offset travel, administrative and associated expenses required to establish a regional migratory bird subsistence program in keeping with the recently amended Migratory Bird Treaty. This regional program will become a part of the statewide (Alaska) and national migratory bird management program, for which the - Fish and Wildlife Service (Service) has responsibility.

**Applicant Eligibility:**

Native American Organizations, Public nonprofit institutions/organizations, other public institutions/organizations, Federally Recognized Indian Tribal Governments, and Local governments.

**Beneficiary Eligibility:**

Native American Organizations, Public nonprofit institutions/organizations, Federally recognized Indian Tribal Governments, local governments, and Alaska Native American Indians.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Awards are made on a non-competitive basis pursuant to the authorities mandated in the 1997 Migratory Bird Treaty Act Amendment Protocols. Applicant must complete the Standard Form (SF) 424, SF 424A and SF 424B.

**Award Procedure:**

The Executive Officer for the Alaska Migratory Bird Co-Management Council reviews the applications and makes recommendations. The process ends with concurrence by the Service.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Renewals are available annually, and are based on available funding levels.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Awards must be spent during the approved period of performance of the grant agreement.

**Reports:**

Progress and financial status reports are to be submitted in accordance with terms and conditions of the grant agreement. Additional reports, such as meeting agendas and summaries, may be required.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003) "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$222,600; FY 08 \$222,600; and FY 09 est \$222,600.

**Range and Average of Financial Assistance:**

\$14,000 to \$26,500.

**PROGRAM ACCOMPLISHMENTS:**

Regional management bodies have been established and maintained with semi-annual meetings held to provide vital local input to the Alaska Migratory Bird Co-Management Council. Council representatives were elected by the regional management bodies. Travel has been supported for regional representatives to attend Alaska Migratory Bird Co-Management Council and committee meetings, as well as represent the program at national Flyway Council and Fish and Wildlife Service Regulations Committee meetings. Outreach activities have been sponsored to reach the rural villages within the region.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with 43 CFR and the Fish and Wildlife Service Administrative Manual.

**Regional or Local Office:**

See Appendix IV for addresses.

**Headquarters Office:**

Office of the Alaska Migratory Bird Co-Management Council, Fish and Wildlife Service, Donna Dewhurst, 1011 E. Tudor Road, MS 201, Anchorage, AK 99503. Telephone: (907) 786-3499; Fax: 907-786-3641; E-mail: donna\_dewhurst@fws.gov.

**Web Site Address:**

<http://Alaska.fws.gov/ambcc/index.htm>.

**RELATED PROGRAMS:**

15.608, Fish and Wildlife Management Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

The set-up and maintenance of 11 regional management bodies serving the Alaska Migratory Bird Co-Management Council.

**CRITERIA FOR SELECTING PROPOSALS:**

You must be a regional partner organization of the council to be selected. Criteria included, but is not limited to, past performance, ability to provide administrative support, ability to send an elected representative from the regional management body to meetings.

## 15.644 FEDERAL JUNIOR DUCK STAMP CONSERVATION AND DESIGN

(Junior Duck Stamp Contest)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 103-340, 108 Stat. 3119-3120, 16 U.S.C. 719; Reauthorization of the Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 106-316, 114 Stat. 1276, 16 U.S.C. 719.

**OBJECTIVES:**

To use visual arts programs and a nation-wide art contest to teach students in kindergarten through high school environmental science, wildlife management, wetlands ecology, and the importance of habitat conservation.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Assistance may be used to: 1. provide awards and scholarships to students who submitted winning designs in State/Territory rounds of the Junior Duck Stamp Contest; 2. provide awards to schools and other program participants in order to promote the conservation goals of the program; and 3. cover program outreach and marketing costs. The Federal Duck Stamp Office provides cash awards intended for scholarship purposes to winners of the national round of the Junior Duck Stamp Contest.

**Applicant Eligibility:**

Individual/Family. Students in kindergarten through twelfth grades attending a public, private, or home school in the United States and U.S. Territories are eligible to participate. A First Place winner of the national round of the Junior Duck Stamp Contest cannot submit an entry again for two years.

**Beneficiary Eligibility:**

Individual/Family, Student/Trainee, Artist/Humanist, U.S. citizens, resident aliens, or nationals who are in kindergarten through twelfth grades at a public, private, or home school in the United States or U.S. territories.

**Credentials/Documentation:**

Must be a student in kindergarten through twelfth grade and attend a public, private, or home school in the United States or U.S. Territory. Must verify that entry submitted is student's original artwork and grant the Fish and Wildlife Service permission to use, alter, publish and display artwork.

**Preadaptation Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An eligible student must submit a visual arts entry to the corresponding State/Territory Junior Duck Stamp Program coordinator. A student is limited to one entry per contest year. A completed and signed Federal Junior Duck Stamp Conservation and Design Entry form must be affixed to the back of the entry using glue or adhesive tape. If the student wishes to enter the conservation message contest as well, he or she must write an original message on this form.

**Award Procedure:**

1. State/Territory rounds: An eligible entry is judged first in the home State/Territory contest of the submitting student. These contests are held in late March or early April. Entries are divided into four categories based on the grade-level of the submitting student and reviewed by a panel of five judges. In each State/Territory contest, Judges select three 1st place, three 2nd place, three 3rd place, and sixteen honorable mention winners for each category. From among the twelve 1st place entries, the judges select a Best of Show entry to represent that State or Territory in the national round of the contest. In some State/Territory contests, the conservation messages written by the students and entered on their entry forms are also judged and awarded prizes. In mid-April, State/Territory coordinators present certificates to all participants and award prizes to the winners of this round. 2. National contest: State/Territory coordinators submit the Best of Show entries to the Federal Duck Stamp Office. In late April, these entries are judged in the national round of the contest by a panel of five judges. From among all State/Territory Best of Show entries, the judges select a winning entry to become the next Junior Duck Stamp. One 2nd place, one 3rd place, seven Top Ten, and 15 honorable mention entries are also selected. The judges select 1st, 2nd, and 3rd place conservation messages as well. In mid-May, the Federal Duck Stamp office awards prizes to the national contest winners.

**Deadlines:**

Entries must be postmarked by midnight, March 15th of the corresponding contest year. Note: for South Carolina, entries must be postmarked by midnight, January 30th, and for Ohio, entries must be postmarked by midnight, March 1st of the corresponding contest year.

**Range of Approval/Disapproval Time:**

State/Territory rounds: March-April. National round: April-May.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Prizes are awarded within one year of contest win.

**Reports:**

Not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$164,000; FY 08 est \$150,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

At the State/territory level, range is from \$0 to \$2,350. At the national level, range is from \$200 to \$5,000.

**PROGRAM ACCOMPLISHMENTS:**

The program attracts approximately 26,500 participants each year from all 50 States, the District of Columbia, American Samoa, and the Virgin Islands. Since 1994, sales of Junior Duck Stamps have raised hundreds of thousands of dollars for conservation education. The 2004-2005 Junior Duck Stamp will be the eleventh design produced.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Fish and Wildlife Service Manual, Part 901 FW 5. Copies of the Federal Junior Duck Stamp Art Competition Rules and Entry Form and the Junior Duck Stamp Conservation and Design Program Curriculum Guide can be obtained free of charge from the Federal Duck Stamp Office.

**Regional or Local Office:**

Alabama: Kevin Hamrick, Wheeler NWR, 2700 Refuge Hdqtrs. Rd., Decatur, AL 35603; Telephone: (256) 350-6639, kevin\_hamrick@fws.gov; Alaska: Barry Whitehill, Yukon Flats NWR, 101 12th Ave., R.264, Box 14, Fairbanks, AK 99701; Telephone: (907) 456-0440, Education\_Specialist@fws.gov; American Samoa: Sue Thomas, USFWS, 911 NE 11th Avenue, Portland, OR 97232; Telephone: (503) 231-6164, sue\_thomas@r1.fws.gov; Arizona: Margot Bissell, Cabeza Prieta NWR, 1611 N. 2nd Ave., Ajo, AZ 85321; Telephone: (520) 387-6483, margot\_bissell@fws.gov; Arkansas: Shannon Caldwell, One 4H Way, Little Rock, AR 72223; Telephone: (501) 821-6884, scaldwell@uaex.edu; California: Marilyn Gamette, Sacramento NWR Complex, 752 County Rd 99W, Willows, CA 95988; Telephone: (530) 934-2801, marilyn\_gamette@fws.gov; Colorado: Kristen Gilbert, Alamosa/Monte Vista NWR, 9383 El Rancho Lane, Alamosa, CO 81101; Telephone: (719) 589-4021, kristen\_gilbert@fws.gov; Connecticut: Chris Samor, CN Waterfowl Assoc., 29 Bowers Hill Rd., Oxford, CT 06478, csamor16@adelphia.net; Delaware: Trina Cale-Rosario, DE Div./Fish and Wildlife, 4876 Hay Point Landing. Rd., Smyrna, DE 19977; Telephone: (302) 653-2882 x104, trina.rosario@state.de.us; District of Columbia: Ira Palmer, DC Fish and Wildlife Div., 51 N St., NE, Rm 5002, Washington, DC 20002; Telephone: (202) 535-2266, ira.palmer@dc.gov; Florida: Toni Westland, J.N. "Ding" Darling NWR, 1 Wildlife Drive, Sanibel, FL 33957, 239/472-1100, toni\_westland@fws.gov; Georgia: Deborah Harris, GA Ecological Svcs., 247 S. Milledge, Athens, GA 30605; Telephone: (706) 613-9493, Deborah\_c\_harris@fws.gov; Hawaii: Sandy Hall, USFWS, Rm. 5-311, Box 50187, Pacific Islands Office, 300 Ala Moana Blvd., Honolulu, HI 96850; Telephone: (808) 792-9530, sandra\_hall@R1.fws.gov; Idaho: Todd Fenzl, Deer Flat NWR, 13751 Upper Embankment Rd., Nampa, ID 83686; Telephone: (208) 467-9378 or 79, todd\_fenzl@fws.gov; Illinois: Mary Allen, IL DNR, Div. of Ed., 1 Natural Resources Way, Springfield, IL 62702; Telephone: (217) 524-4126, mallen@dnrmail.state.il.us; Indiana: Donna Stanley, Muscatatuck NWR, 12985 E. US Hwy 50, Seymour, IN 47274; Telephone: (812) 522-4352, donna\_stanley@fws.gov; Iowa: Doreen VanRyswyk, Neal Smith NWR, 9981 Pacific Street, P.O. Box 399, Prairie City, IA 50228; Telephone: (515) 994-3400, doreen\_vanryswyk@fws.gov; Kansas: Lorrie Beck, Great Plains Nature Ctr., 6232 E. 29th North, Wichita, KS 67220; Telephone: (316) 683-5499 x108, lorrie\_beck@fws.gov; Kentucky: Laura Lang, KY Dept./Fish and Wildlife, #1 Game Farm Road, Frankfort, KY 40601; Telephone: (502) 564-3400, Laura.Lang@ky.gov; Louisiana: John P. Barr, Jr., Natchitoches NFH, 615 South Dr., Natchitoches, LA 71457; Telephone: (318) 352-5324, john\_barr@fws.gov; Maine: Graham Taylor, Rachel Carson NWR, 321 Port Rd., Wells, ME 04090; Telephone: (207) 646-9226, graham\_taylor@fws.gov; Maryland: Maria Vonderheid, Patuxent Research Refuge, 10901 Scarlet Tanager Loop, Laurel, MD 20708-4027; Telephone: (301) 497-5761, maria\_vonderheid@fws.gov; Massachusetts: Pam Landry, MA Wildlife Federation, One Rabbit Hill Rd., Westboro, MA 01581; Telephone: (508) 792-7270 x110, pam.landry@state.ma.us; Michigan: Chuck Marsh, MI Duck Hunters Journ., 3517 Anna, Trenton, MI 48183; Telephone: (734) 676-1995, cwmthree@juno.com; Minnesota: Mara Lundeen, MN Valley NWR, 3815 American Blvd. E., Bloomington, MN 55425; Telephone: (952) 858-0710, mara\_lundeen@fws.gov; Mississippi: Rebecca Gruneberg, MS Museum of Natural Science, 2148 Riverside Dr., Jackson, MS 39202; Telephone: (601) 354-7303, rebeccag@mmns.state.ms.us; Missouri: Tim Haller, Big Muddy NWR, 4200 New Haven Dr., Columbia, MO 65102; Telephone: (573) 441-2799, 1-800-611-1826, tim\_haller@fws.gov; Montana: Outdoor Recreation Planner, Lee Metcalf NWR, P.O. Box 247, Stevensville, MT 59870; Telephone: (406) 777-5552, leemetcalf@fws.gov; Nebraska: Brad McKinney, Crescent Lake NWR Complex, 115 Railway, Scottsbluff, NE 69361; Telephone: (308) 635-7851, brad-mckinney@fws.gov; Nevada: Donna Withers, Stillwater NWR, 1000 Auction Rd., Fallon, NV 89406; Telephone: (775) 423-5128, donna-withers@fws.gov; New Hampshire: Victor Young, NH Fish and Game Department, 11 Hazen Drive, Concord, NH 03301; Telephone: (603) 271-3211, vyoung@wildlife.state.nh.us; New Jersey: LysaHelm, TheWetlands Institute, 1075 Stone HarborBlvd., StoneHarbor, NJ

08247; Telephone: (609) 368-1211, lhelm@wetlandsinstitute.org; New Mexico: Steve Alvarez, Bitter Lake NWR, 4065 Bitter Lakes Rd., Roswell, NM 88201; Telephone: (505) 622-6755 x29, steve-alvarez@fws.gov; New York: Liz Gonzalez-Spagnuolo, Wertheim NWR, P.O. Box 21, 360 Smith Road, Shirley, NY 11967; Telephone: (631) 874-4814; North Carolina: Patty Matteson, USFWS Ecological Survey, 551 F. Pylon Drive, Raleigh, NC 27606; Telephone: (919) 856-4520 x25, patty-matteson@fws.gov; North Dakota: Kristine Askerooth, Tewaouk NWR, 9754 143 1/2 Ave. SE, Cayuga, ND 58013; Telephone: (701) 724-3598, kristine-askerooth@fws.gov; Ohio: Rebecca Hinkle, Ottawa NWR, 14000 W. State Rt. 2, Oak Harbor, OH 43449; Telephone: (419) 898-0014, rebecca-hinkle@fws.gov; Oklahoma: Claudine Daniel, Wichita Mountains Wildlife Refuge, Route 1, Box 448, Indianola, OK 73552; Telephone: (580) 429-3221, claudine-daniel@fws.gov; Oregon: Pam Johnson, OR Coast NWR Complex, 2127 SE Marine Science Dr., Newport, OR 97365; Telephone: (541) 867-4550, pam-johnson@fws.gov; Pennsylvania: Joyce Sliter, Erie NWR, 11296 Wood Duck Lane, Guys Mills, PA 16327; Telephone: (814) 789-3585, joyce-sliter@fws.gov; Rhode Island: Valerie Crane-Slocumb, USFWS Div. of Migratory Birds-R5, 300 Westgate Center Drive, Hadley, MA 01035; Telephone: (413) 253-8643, valerie-crane@fws.gov; South Carolina: Steve Bates, SC Dept. of Nat. Resources, 1000 Assembly St. #209, Columbia, SC 29202; Telephone: (803) 734-3885, steveb@scdnr.state.sc.us; South Dakota: Karrie Schmidt, USFWS, Federal Bldg. Rm 309, 200 4th Street, SW, Huron, SD 57350; Telephone: (605) 352-5894, karrie-schmidt@fws.gov; Tennessee: Joan Stevens, Tennessee NWR, 3006 Dinkins Lane, Paris, TN 38242; Telephone: (731) 642-2091, joan-stevens@fws.gov; Texas: Michael Carlo, Santa Ana NWR, RR2, Box 202A, Alamo, TX 78516; Telephone: (956) 787-7630, michael-carlo@fws.gov; Utah: Betsy Beneke, Bear River Bird Refuge, 58 South 950 West, Brigham City, UT 84302; Telephone: (435) 723-5887 x16, betsy-beneke@fws.gov; Vermont: Eileen Nunez, Missisquoi NWR, 371 N. River Street, Swanton, VT 05488; Telephone: (802) 868-4781, eileen-nunez@fws.gov; Virginia: Valerie Crane-Slocumb, USFWS Div. Of Migratory Birds-R5, 300 Westgate Center Drive, Hadley, MA 01035; Telephone: (413) 253-8643, valerie-crane@fws.gov; Virgin Islands: William Coles, VI Div. of Fish and Wildlife, 45 Mars Hill, Fredriksted, VI 00840; Telephone: (340) 713-2422, wcoles@vritelcom.net; Washington: David Falzetti, Nisqually NWR, 100 Brown Farm Rd., Olympia, WA 98516; Telephone: (360) 753-9467, david-falzetti@r1.fws.gov; West Virginia: Janet Butler, Ohio River Islands NWR, P.O. Box 1811 (mail), 3004 7th St., Parkersburg, WV 26102; Telephone: (304) 422-0752, janet-butler@fws.gov; Wisconsin: Molly Mehl, Necedah NWR, W7996 20th St. West, Necedah, WI 54646, 608/565-2551, molly-mehl@fws.gov; Wyoming: Jane Lavino, National Museum of Wildlife Art, P.O. Box 6825 (mail), 2820 Rangview Rd., Jackson, WY 83002; Telephone: (307) 733-5771, jlavino@wildlifeart.org.

**Headquarters Office:**

National Junior Duck Stamp Program Coordinator, Federal Duck Stamp Office, U.S. Fish and Wildlife Service, Mail Stop: MBSP-4070, 4401 N. Fairfax Drive, Arlington, VA 22203; Telephone: (703) 358-2000, Fax: 703/358-2009, duckstamps@fws.gov.

**Web Site Address:**

http://duckstamps.fws.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An eligible entry meets the following criteria: 1. Entry is a 9' x 12' horizontal image, with total thickness not to exceed 1/2". 2. Entry is the student's original, hand-done creation and has not been traced or otherwise replicated from another artist's photographs or other published works. 3. Entry is not created through the use of computers or other mechanical device. Note: Air brush is allowed. 4. The prominent feature of the entry is one of the following North American waterfowl species: Tundra Swan, Trumpeter Swan, Greater White-fronted Goose, Snow Goose, Ross' Goose, Brant, Canada Goose, Emperor Goose, Fulvous Whistling Duck, Black-bellied Whistling Duck, Wood Duck, Green-winged Teal, Blue-winged Teal, Cinnamon Teal, Mottled Duck, Northern Pintail, Gadwall, American Black Duck, Mallard, Northern Shoveler, American Wigeon, Canvasback, Redhead, Ring-necked Duck, Greater Scaup, Lesser Scaup, Common Eider, Spectacled Eider, King Eider, Steller's Eider, Harlequin Duck, Long-tailed Duck (formerly Oldsquaw), Black Scoter, Surf Scoter, White-winged Scoter, Common Goldeneye, Barrow's Goldeneye, Bufflehead, Hooded Merganser, Red-breasted Merganser, or Ruddy Duck. These Hawaiian species are also permitted: Koloa, Nene Goose, or Laysan Duck. Note: Entries from students in U.S. Territories may include a species of waterfowl that naturally occurs in that specific territory. 5. No lettering, signature, or initials appear on the front of the design. 6. An entry done in chalk or pastel must be sprayed with a fixative. 7. Entry is not matted, framed, or otherwise covered with glass, plastic, or irremovable protective wrapper. 8. Entry is postmarked by midnight, March 15th of the corresponding contest year and mailed to the appropriate state/territory Junior Duck Stamp Program coordinator. Note: for South Carolina, entries must be postmarked by midnight, January 30th, and for Ohio,



entries must be postmarked by midnight, March 1st of the corresponding contest year. In addition to meeting eligibility requirements, entries are judged according to the following criteria: biological and anatomical accuracy, habitat accuracy, artistic composition, and suitability of design for reproduction as a stamp.

## 15.645 MARINE TURTLE CONSERVATION FUND

### FEDERAL AGENCY:

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Marine Turtle Conservation Act of 2004, Public Law 108-266.

### OBJECTIVES:

To assist in the conservation of marine turtles and the nesting habitats of marine turtles in foreign countries by supporting and providing financial resources for projects to conserve the nesting habitats, conserve marine turtles in those habitats, and address other threats to the survival of marine turtles.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Project work should occur in foreign countries (outside of the United States) that have within their boundaries marine turtle nesting habitats and be conducted by any person or group with the demonstrated expertise required for the conservation of marine turtles. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

### Applicant Eligibility:

Applications may be submitted by any government agency responsible for conservation and protection of marine turtles and any other organization or individual with demonstrated experience in marine turtle conservation.

### Beneficiary Eligibility:

Applications may be submitted by any government agency responsible for conservation and protection of marine turtles and any other organization or individual with demonstrated experience in marine turtle conservation.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The program announcement and application instructions for this program can be found at the Grants.gov website. The Notice of Funding Availability and Application Instructions are also located on the program website at <http://www.fws.gov/international/animals/marineturtleprogram.htm>. If you are unable to access the Internet, hard copies are available upon request from the Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance".

### Award Procedure:

Projects are reviewed and competitively selected for funding based on established criteria contained in the Marine Turtle Conservation Act of 2004 (Public Law 108-266). Review criteria can be found in the application information at <http://www.fws.gov/international/animals/marineturtleprogram.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

### Deadlines:

This program has two annual deadlines. The first deadline is October 1 each year. We strongly encourage applicants with nesting season projects beginning April/May to submit proposals on or before the October 1 deadline. The second deadline is April 1 each year. We strongly encourage applicants with nesting season projects beginning September/October to submit proposals on or before the April 1 deadline.

### Range of Approval/Disapproval Time:

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

### Appeals:

Not applicable.

### Renewals:

None. However; at the discretion of the Division of International Conservation, active awards can be modified, e.g.; time extensions or budget changes.

### Formula and Matching Requirements:

To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

### Length and Time Phasing of Assistance:

Awarded funds must be spent during the budget period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures.

### Reports:

Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at the program web page at <http://www.fws.gov/international/animals/marineturtleprogram.htm>. For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after Dec.1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

### Account Identification:

14-1652-0-1-303.

### Obligations:

(Grants) FY 07 \$621,000; FY 08 \$906,000; and FY 09 est \$216,000.

### Range and Average of Financial Assistance:

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

### PROGRAM ACCOMPLISHMENTS:

In FY 2007 the Service funded 22 marine turtle conservation projects. A summary of each of those projects can be found at the program webpage at <http://www.fws.gov/international/animals/marineturtleprogram.htm>.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/grants/grants.html> or in paper copy by contacting the Division of International Conservation at (703) 358-1754.

### Regional or Local Office:

Fish and Wildlife Service, University of West Georgia, Department of Biology, Carrollton, Georgia 30118-6300. Telephone: (770) 214-9293. Fax: (678) 839-6548.

### Headquarters Office:

Fish and Wildlife Service, Department of the Interior. Contact: Chief, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, VA 22203. Telephone: (703) 358 1754. Fax: (703)358 2115. E-mail: [MSCF\\_MarineTurtle@fws.gov](mailto:MSCF_MarineTurtle@fws.gov).

### Web Site Address:

<http://international.fws.gov/grants/grants.html>.

### RELATED PROGRAMS:

15.619, Rhinoceros and Tiger Conservation Fund; 15.620, African Elephant Conservation Fund; 15.621, Asian Elephant Conservation Fund; 15.629, Great Apes Conservation Fund.

### EXAMPLES OF FUNDED PROJECTS:

Annual summaries of the projects funded under this program can be found at

<http://www.fws.gov/international/animals/marinerturtleprogram.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation at (703) 358-1754.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Marine Turtle Conservation Fund (Public Law 108-266). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Marine Turtles Notice of Funding Availability and Application Instructions at

<http://www.fws.gov/international/animals/marinerturtleprogram.htm>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

### **15.647 MIGRATORY BIRD CONSERVATION**

#### **FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

#### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, 16 U.S.C. 709a.

#### **OBJECTIVES:**

To maintain and enhance populations and habitats of migratory bird species found in the Upper Midwest (IL, IN, IA, MI, MN, MO, OH, WI).

#### **TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

#### **USES AND USE RESTRICTIONS:**

Grants and payments may be used for the conservation of any bird species protected by the Migratory Bird Treaty Act and occurring in the Fish and Wildlife Service (FWS) Region 3 (Upper Midwest, including IL, IN, IA, MI, MN, MO, OH, and WI). Special emphasis will be placed on the bird species listed in USFWS Region 3's Fish and Wildlife Resource Conservation Priorities document (<http://www.fws.gov/midwest/News/documents/priority.pdf>) as these species are experiencing known or suspected population declines, are recreationally important, or are causing biological or social conflicts. Implementing national, regional, and flyway bird conservation plans, including the Partners in Flight North American Landbird Conservation Plan (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>), North American Waterbird Conservation Plan (<http://www.waterbirdconservation.org>), North American Waterfowl Management Plan (<http://www.fws.gov/birdhabitat/NAWMP/index.shtml>), and Mississippi Flyway waterfowl management plans, is the FWS's highest priority, and proposals related to the priorities identified in these plans and Bird Conservation Region and state-level bird conservation planning efforts will receive the greatest funding consideration. Proposals should address one or more of the following activities: (a) Population surveys and monitoring to determine the status, trends, and distribution of bird species and groups of concern. Emphasis will be placed on landscape-level applications of standardized inventory and monitoring protocols (e.g., Breeding Bird Atlases, national marshbird call playback surveys). Local-scale monitoring (e.g., local land management units) activities will generally not be a focus of this grant program; (b) Applied research, including studies of habitat requirements, limiting factors, and population responses to habitat conservation activities; development of new monitoring techniques and programs for poorly-surveyed species; and use of Geographic Information Systems, bird habitat modeling, and similar tools to identify bird habitat focus areas and further bird conservation planning efforts; (c) Compilation of technical information, such as status reviews of bird species of concern and development of habitat management and restoration guidelines.

#### **Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Indian Tribal governments; private nonprofit institutions/organizations; and public nonprofit institutions/organizations.

#### **Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized Indian Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/organizations; and general public.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

The standard SF 424 Application for Federal Assistance is required. A written proposal should be submitted that includes: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined above), objectives, methodology and study design, time frame, budget breakdown, and list of cooperators and their contributions. Note that the FWS may circulate proposals to others for review.

#### **Award Procedure:**

The Regional Migratory Bird Program Chief convenes a committee of FWS biologists to review, rank, and select proposals for funding. Once a proposal is accepted, a grant agreement is written and work can begin.

#### **Deadlines:**

Contact the Regional Office for application deadlines. Funding decisions are made at least annually.

#### **Range of Approval/Disapproval Time:**

Decisions on funding of a proposal are usually made no later than 180 days after receipt of the proposal.

#### **Appeals:**

Not applicable.

#### **Renewals:**

A grant agreement may be modified at the discretion of the Regional Office.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

#### **Length and Time Phasing of Assistance:**

Unless a project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement and in accordance with financial and reporting procedures specified in the agreement. Grants are normally written for a period of 1 to 5 years and payments can be made in a lump sum or on a periodic basis.

#### **Reports:**

All projects and activities are monitored for progress and compliance with agreed upon scope of work. Written progress, final reports, and SF 269 Financial Status Report on the project are generally required.

#### **Audits:**

None.

#### **Records:**

None.

#### **Account Identification:**

14-1611-0-1-303.

#### **Obligations:**

FY 07 \$250,500; FY 08 est \$365,800; and FY 09 est \$200,000.

#### **Range and Average of Financial Assistance:**

\$7,600 to \$41,800; \$17,400 average in FY 08.

#### **PROGRAM ACCOMPLISHMENTS:**

USFWS Region 3 has provided small grants to cooperators for migratory bird conservation projects since the late 1980s. These projects have addressed the general activities outlined under the Uses section (070) above. The number of projects funded and dollars provided varies annually, depending upon annual appropriations and other program priorities. In FY 2007, Region 3 received 30 proposals requesting \$576,100 and was able to fund 9 of the proposals for \$250,500. In FY 2008, Region 3 received 32 proposals requesting \$583,400, and was able to fund 21 proposals for \$365,800. In FY 2009, we estimate that a maximum of \$200,000 will be available for small grants from the Region's migratory bird program budget.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

#### **Regional or Local Office:**

Steve Lewis, Division of Migratory Birds, Fish and Wildlife Service, 1 Federal Drive, Fort Snelling, MN 55111-4056; Telephone: (612) 713-5473; Fax: (612) 713-5393; E-mail: [steve\\_j\\_lewis@fws.gov](mailto:steve_j_lewis@fws.gov). Sean Kelly, same address; Telephone: (612) 713-5470; Fax: (612) 713-5393; E-mail: [sean\\_kelly@fws.gov](mailto:sean_kelly@fws.gov).

#### **Headquarters Office:**

None.

#### **Web Site Address:**

<http://www.fws.gov/midwest/midwestbird>.

#### **RELATED PROGRAMS:**

15.637, Migratory Bird Joint Ventures.

#### **EXAMPLES OF FUNDED PROJECTS:**

Activities related to the implementation of national, regional, and flyway bird conservation plans, including the Partners in Flight North American Landbird Conservation Plan (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>), North American Waterbird Conservation Plan (<http://www.waterbirdconservation.org>), North American Waterfowl Management Plan (<http://www.fws.gov/birdhabitat/NAWMP/index.shtml>), and Mississippi Flyway waterfowl management plans; population surveys and monitoring to determine the status, trends, and distribution of bird species and groups of concern; applied research, including studies of habitat requirements, limiting factors, and population responses to habitat conservation activities; development of new monitoring techniques for poorly-surveyed species, and use of Geographic Information Systems, bird habitat modeling, and similar tools to identify bird habitat focus areas; and compilation of technical information, such as status reviews and conservation plans for bird species of concern and development of habitat management and restoration guidelines.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed to determine how well they address the migratory bird program priorities outlined above, including relevance to bird conservation plan priorities, Resource Conservation Priority species, and the bird conservation activities listed above. Proposals will also be evaluated for their

biological and statistical soundness, feasibility, geographic scope of applicability, and cost effectiveness. Projects involving matching funds, in-kind services, materials, and equipment from other agencies and organizations will be given greater consideration for funding than similar projects without matching resources.

## **15.648 CENTRAL VALLEY PROJECT IMPROVEMENT (CVPI) ANADROMOUS FISH RESTORATION PROGRAM (AFRP)**

(CVPI, AFRP)

### **FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

### **AUTHORIZATION:**

Central Valley Project Improvement Act, Title 34, Public Law 102-575; Federal Grant and Cooperative Agreement Act, Public Law 97-258, 31 U.S.C. 6301-6308.

### **OBJECTIVES:**

(a) To protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California; (b) To address impacts of the Central Valley Project on fish, wildlife and associated habitats; (c) To improve the operational flexibility of the Central Valley Project; (d) To increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation; (e) To contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary; (f) To achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors.

### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

### **USES AND USE RESTRICTIONS:**

Funds may be used for research to improve management and increase Anadromous fish resources; spawning area improvement; installation of fish passages; construction of fish protection devices, and data collection.

### **Applicant Eligibility:**

Applicants may be State, local governments, Native American Organizations, other public nonprofit institutions/organizations, private nonprofit/organization. No other Federal agency may apply.

### **Beneficiary Eligibility:**

General public.

### **Credentials/Documentation:**

None other than completion of the Standard Form 424 set.

### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

The application should include the project proposal and be submitted through Grants.gov. The proposal contains the narrative description and budgetary information of the project. Only information that is pertinent to the project should be included. The project proposal should also indicate whether partial funding of the project is practicable, and, if so, what specific portion(s) of the project could be implemented with what level of funding. A project proposal that is part of a longer term initiative will be considered, however, the proposed project's objectives, benefits, and tasks must stand on their own, as there are no assurances that additional funding would be awarded in subsequent years for associated or complementary projects. An incomplete proposal will not be considered for funding.

### **Award Procedure:**

The successful applicant will be notified after selection and confirmation of available funding. An applicant should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

### **Deadlines:**

The deadline will be publicized within the grants.gov announcement.

### **Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

### **Appeals:**

None.

### **Renewals:**

Not applicable.

### **Formula and Matching Requirements:**

The matching requirement is based on the project. For specific information see the Central Valley Project Improvement Act, Section 3406 Fish, Wildlife and Habitat Restoration.

### **Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five year restriction on the length of time is due to the Period of Availability of Funds limited to the five (5) year rule.

### **Reports:**

The successful applicant shall submit a written progress report on the project on a quarterly basis in Adobe PDF or Microsoft Word format presenting the activities that occurred and provide a description of the project accomplishments during each quarter of the calendar year beginning with the quarter covering October through December. The reports shall be submitted within 30 days following the end of each quarter. Draft final performance reports are due no later than 60 days after completion of the project. Final reports will be due 30 days after receipt of the program comments on the draft report. The successful applicant shall submit, within 90 calendar days of completion of the project, a final financial report. The successful applicant shall account for any real and personal property acquired with Federal funds or received from the Federal Government according to requirements of regulations referenced in the award. The final report will be provided in hardcopy using Adobe PDF or Microsoft Word format, and also an electronic copy.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after Dec. 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after Dec. 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

### **Account Identification:**

14-1611-0-1-302.

### **Obligations:**

FY 07 \$8,754,544; FY 08 est not available; and FY 09 est not reported.

### **Range and Average of Financial Assistance:**

\$152,335.

### **PROGRAM ACCOMPLISHMENTS:**

Since 1995, the Anadromous Fish and Restoration Program (AFRP) within the Central Valley Project Improvement Act, has been pursuing program objectives by helping to design, fund and manage restoration actions, technical evaluations, and monitoring activities that focus on solving or better understanding a wide variety of problems faced by wild anadromous fish populations at all stages of their life cycles. Many of these projects stem directly from the list of proposed actions developed during the AFRP planning process; others have developed in response to new ideas proposed by a variety of program partners. AFRP-funded projects to improve habitat have included removal of artificial barriers to migration, installing or upgrading fish ladders, expanding and/or improving the quality of spawning grounds, improving salmon rearing and riparian habitat, developing and nurturing educational programs, investigating salmonid natural history, and acquiring permanent easements in floodplains and riparian corridors. To ensure project effectiveness, all projects include a monitoring component to document pre- and post- project conditions.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

### **Regional or Local Office:**

Potential applicants may contact the local office at: Anadromous Fish Restoration Program Stockton Fish and Wildlife Service Office 4001 N. Wilson Way, Stockton, California 95205. Telephone: (209) 946-6400, Fax (209) 946-6355.

### **Headquarters Office:**

CNO- California Nevada Office, 2800 Cottage Way, Room W-2606, Sacramento, California 95825. Telephone (916) 414-6464.

### **Web Site Address:**

<http://www.delta.dfg.ca.gov/afrp/title34.asp#top>

### **RELATED PROGRAMS:**

11.405, Anadromous Fish Conservation Act Program.

### **EXAMPLES OF FUNDED PROJECTS:**

Restoration action on Butte and Big Chico Creeks for spring-run salmon; Evaluate the distribution and relationship of resident and anadromous life history types of rainbow trout in the Central Valley; Comprehensive assessment of genetic population structure/diversity of Central Valley salmon; Lower Calaveras River Chinook salmon and steelhead life history limiting factors analysis; Cosumnes River salmonid barrier program.

### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by a team of Federal staff based on the following criteria: Addresses high priority need as described in the Request for Proposal (RFP) "Purposes and Funding Priorities"; Clearly stated goals, objectives, hypotheses, and relevance of idea; Approach is valid and technically sound; Primary Investigators and/or subcontractors record of performance and expertise; Budget is reasonable and provides good value for funds requested; and Cost sharing or in-kind contributions.



## 15.649 SERVICE TRAINING AND TECHNICAL ASSISTANCE (GENERIC TRAINING)

### FEDERAL AGENCY:

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Fish and Wildlife Act of 1956 and the Fish and Wildlife Coordination Act, for the development and implementation of programs for the benefit of fish and wildlife species and their habitat (16 U.S.C. 661 and 742 et seq.), Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753).

### OBJECTIVES:

To assist in the conservation of the Nation's natural resources by supporting and providing financial resources for training, meetings, workshops and conferences to promote the public's conservation awareness.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Training and technical assistance are used to enhance public awareness and understanding of natural resource conservation and preservation. Projects may include natural resources related education, meetings, training, workshops, and conferences. Details on funding opportunity can be found on [www.Grants.gov](http://www.Grants.gov).

### Applicant Eligibility:

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/ organizations.

### Beneficiary Eligibility:

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/ organizations; general public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

Discussions regarding funding availability and program interest are strongly encouraged (see [www.Grants.gov/FIND](http://www.Grants.gov/FIND) and <http://www.fws.gov/offices/>). This program is excluded from coverage under E.O.12372.

### Application Procedure:

A Standard Form (SF)424 and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined above), objectives, timeframe, and a budget breakdown. Note that the USFWS may circulate proposals to others for review. All Service financial assistance discretionary funding opportunities will be posted on [www.Grants.gov](http://www.Grants.gov).

### Award Procedure:

Notification of an award is the issuance of a grant or cooperative agreement document by Awarding Official.

### Deadlines:

Deadline varies depending on the funding opportunity announcements.

### Range of Approval/Disapproval Time:

This will vary based on the funding opportunity and will range between 3 and 6 months.

### Appeals:

Applicant may revise and resubmit proposal for consideration.

### Renewals:

Not applicable. Projects are for a specified duration as identified in each award.

### Formula and Matching Requirements:

Applicant cost-share requirements will vary based on the nature of the opportunity, but are highly encouraged and applicants should refer to the individual funding announcement for details on these requirements.

### Length and Time Phasing of Assistance:

None.

### Reports:

All projects and activities are monitored for progress and compliance with agreed upon scope of work. Written progress and final reports on the project are generally required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

### Records:

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

### Account Identification:

14-1611-0-1-303.

### Obligations:

FY 07 \$156,032; FY 08 \$91,000; and FY 09 est \$150,000.

### Range and Average of Financial Assistance:

Estimated range is \$1000 to \$500,000 with an average of \$10,000 to \$50,000 per award of financial assistance funding. Specific funding information is available in funding announcement through [www.Grants.gov](http://www.Grants.gov).

### PROGRAM ACCOMPLISHMENTS:

In Fiscal Year 2004, the Fish and Wildlife Service awarded a total of 2,527 actions totaling \$149,000,000 in grants and cooperative agreements. It is anticipated that the awards issued under this CFDA will be a small percentage of the overall action and award totals. All Service financial assistance funding opportunities will be posted on [www.Grants.gov](http://www.Grants.gov).

### REGULATIONS, GUIDELINES, AND LITERATURE:

Guidelines and literature on the Fish and Wildlife Service programs, including its Guide for Submission of Unsolicited Proposals is available at: <http://fws.gov> and <http://www.fws.gov/contracts/index.html>. Federal financial assistance regulations and relevant OMB circulars are located at <http://www.whitehouse.gov/omb/circulars/index.html>, <http://www.doi.gov/pam/financialassistance.html>.

### Regional or Local Office:

Contact Information related to each funding opportunity will be stated in each announcement. Or visit website <http://www.fws.gov/contracts/index.html>.

### Headquarters Office:

Chief, Division of Administration and Information Management, Wildlife and Sport Fish Restoration Programs, 4401 North Fairfax Drive, FA-4020, Arlington, Virginia 22203. Awards are not centrally managed or coordinated. Awards are made in all Regional, Local, and the Washington Offices. Refer to Regional Office contacts at: <http://www.fws.gov/org/html>.

### Web Site Address:

<http://www.fws.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Workshop - Pheasants Forever; Midwest Conservation Internship.

### CRITERIA FOR SELECTING PROPOSALS:

Programs within the Fish and Wildlife Service will review and evaluate all applications consistent with authorized Fish and Wildlife Service program purposes.

## 15.650 RESEARCH GRANTS (GENERIC)

### FEDERAL AGENCY:

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753), Land and Water Conservation Fund Act of 1965, as amended (16 U.S.C. 4601-4 through 11), Endangered Species Act of 1973 (16 U.S.C. 1531-1543).

### OBJECTIVES:

To assist in the conservation of the Nation's natural resources by providing financial assistance for land management, research, and data collection/analysis to further the preservation of natural resources.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Research grants will be used for improving scientific support for natural resource management, to enhance public awareness and understanding of natural resource conservation and preservation. Projects may include land management practices; literature research, data/information analysis and dissemination improving scientific support for natural resource management. Details on funding opportunities can be found on [www.Grants.gov](http://www.Grants.gov).

### Applicant Eligibility:

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/organizations.

### Beneficiary Eligibility:

Federal, State and local government agencies; Federally-recognized private nonprofit institutions/organizations; public nonprofit institutions/ organizations; general public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

Discussions regarding funding availability and program interest are strongly encouraged (see [www.Grants.gov/FIND](http://www.Grants.gov/FIND) and <http://www.fws.gov/offices/>). This program is excluded from coverage under E.O. 12372.

### Application Procedure:

A Standard Form (SF) 424 and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined above), objectives, timeframe, and a budget breakdown. Note, the USFWS may

circulate proposals to others for review. All Service financial assistance discretionary funding opportunities will be posted on [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Notification of an award is by the issuance of a grant or cooperative agreement document by Awarding Official.

**Deadlines:**

Deadlines vary depending on the funding opportunity announcements.

**Range of Approval/Disapproval Time:**

This will vary based on the funding opportunity and will range between 3 and 6 months.

**Appeals:**

Applicants may revise and resubmit proposals for consideration.

**Renewals:**

Not applicable. Projects are for a specified duration as identified in each award.

**Formula and Matching Requirements:**

Applicant cost-share requirements will vary based on the nature of the opportunity, but are highly encouraged and applicants should refer to the individual funding announcement for details on these requirements.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

All projects and activities are monitored for progress and compliance with agreed upon scope of work. Written progress and final reports on the project are generally required.

**Audits:**

In accordance with the provisions of OMB Circular NO. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after December 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Grants) FY 07 \$0; FY 08 \$50,000; and FY 09 est \$50,000.

**Range and Average of Financial Assistance:**

Estimated range is \$1,000 to \$500,000 with an average of \$10,000 to \$50,000 per award of financial assistance funding.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2004, the Fish and Wildlife Service awarded a total of 2,527 actions totaling \$149,000,000 in grants and cooperative agreements. It is anticipated that the awards issued under this CFDA will be a small percentage of the overall action and award totals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and literature on the Fish and Wildlife Service programs, including its Guide for Submission of Unsolicited Proposals is available at: <http://fws.gov> and <http://www.fws.gov/contracts/index.html>. Federal financial assistance regulations and relevant OMB circulars are located at <http://www.whitehouse.gov/omb/circulars/index.html>, <http://www.doi.gov/pam/financialassistance.html>.

**Regional or Local Office:**

Contact Information related to each funding opportunity will be stated in each announcement. Or visit website: <http://www.fws.gov/contracts/index.html>.

**Headquarters Office:**

Chief, Division of Contracting and Facilities Management, Washington Office 4401, North/Fairfax Drive, Mail Stop 7118-43, Arlington, VA 22203. Telephone: (703) 358-1901.

**Web Site Address:**

<http://www.fws.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Programs within the Fish and Wildlife Service will review and evaluate all applications consistent with authorized U.S. Fish and Wildlife Service program purposes.

## 15.651 WILDLIFE WITHOUT BORDERS-AFRICA PROGRAM

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended(16 U.S.C. 1531-43).

**OBJECTIVES:**

To strengthen the ability of African institutions to manage and conserve species, habitats, and ecological process for the benefit of the people of African and the world. Of particular interests are projects that build the human and institutional capacity of effectively conserve and manage natural protected areas in Africa. Of particular interest are projects that provide training to: (1) Increase human and institutional capacity to mitigate the impact of extractive industries, climate change, human/wildlife conflict, illegal trade in bushmeat, and/or wildlife disease in and around protected areas; (2) Strengthen human and institutional capacity to administer protected areas by focusing on: human resource management, financial management, vehicle and facility maintenance, grant writing and project implementation, community outreach and education, conflict resolution, and coalition building; (3) Increase the capacity of universities, colleges or other institutions to deliver training programs on protected area management; and (4) Strengthen decision makers' knowledge of concepts relevant to protected area design, legislation, policy, and finance, and the importance of harmonizing these with other national sectoral policies; (5) Assess the capacity of protected areas and/or institutions responsible for their management.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects should take place in Africa. If work is to be conducted outside Africa, the proposal must explain how the proposed activities will further protected area conservation and management within Africa to be eligible for funding. The Division of International Conservation will not fund: the purchase of firearms or ammunition; buying of intelligence information or paying informants; gathering information by persons who misrepresent their identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. This program is administered in compliance with the Federal Grant and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training Federal government personnel.

**Applicant Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; and public and private institutions of higher education, or any of the stated associate entities on behalf of an eligible individual.

**Beneficiary Eligibility:**

Federal, State and local government. agencies; nonprofit, non-governmental organizations; and public and private institutions of higher education. All recipients, both individual and institutional, must have a bank account and have the ability to receive funds directly.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov/search/basic.do>. Complete application information can also be found at [http://www.fws.gov/international/dicprograms/africa\\_program.htm](http://www.fws.gov/international/dicprograms/africa_program.htm), or, if unable to access the website, by requesting a paper copy from the Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203, Telephone: (703) 358-1754. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 Application for Federal Assistance.

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria. Review criteria can be found in the application information at [http://www.fws.gov/international/dicprograms/africa\\_program.htm](http://www.fws.gov/international/dicprograms/africa_program.htm). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

For fiscal year 2009 proposals must be submitted to the Fish and Wildlife Service on or before June 15, 2009.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula. Applicants and/or other project partners are encouraged, to the extent possible, to contribute funds to the project, which may include cash or in-kind contributions.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the approved project period of performance, in accordance with program financial and performance reporting procedures.

**Reports:**

Financial and performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at [http://www.fws.gov/international/dicprograms/africa\\_program.htm](http://www.fws.gov/international/dicprograms/africa_program.htm). For financial reporting, Domestic Recipients with no program income to report shall use Standard Form 269a. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period, and describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular A-133(Revised June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,00 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$0; FY 08 \$500,000; and FY 09 est \$307,000.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

This is a new program that will begin funding projects in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at [http://www.fws.gov/international/dicprograms/africa\\_program.html](http://www.fws.gov/international/dicprograms/africa_program.html) or by contacting the Division of International Conservation at(703)358-1754.

**Regional or Local Office:**

Region 1, (Washington, Oregon, California, Nevada, Idaho, Hawaii, Trust Territories of the Pacific) Regional Director: Renne Lohoefer, 911 NE 11th Avenue, Portland, OR 97232-4181. Telephone: (503) 872-2716; Fax: (503)231-6118. California Nevada Operations Office Regional Director: Steve Thompson, 2800 Cottage Way, Suite W2606 Sacramento, CA 95825. Telephone: (916) 414-6486; Fax: (916) 414-6464 Region 2 (New Mexico, Arizona, Oklahoma, Texas) Regional Director: Benjamin Tuggle, P.O. Box 1306, Albuquerque, NM 87103. Telephone: (505) 248-6910; Fax: (505) 248-6282. Region 3, (Minnesota, Indiana, Missouri, Michigan, Wisconsin, Ohio, Illinois, Iowa). Regional Director, Robyn Thorson Federal Building, 1 Federal Drive, Fort Snelling, MN 55111. Telephone: (612) 713-5284; Fax: (612) 713-5301. Region 4, (Kentucky, Arkansas, Tennessee, North Carolina, South Carolina, Georgia, Alabama, Mississippi, Louisiana, Florida, Virgin Islands, Puerto Rico). Regional Director: Sam Hamilton, 1875 Century Boulevard, Atlanta, GA 30345. Telephone: (404)679-4006 Fax: (404) 679-4000. Region 5, (Virginia, West Virginia, Maryland, Pennsylvania, New York, Delaware, New Jersey, Connecticut, Maine, Massachusetts, Vermont, New Hampshire, Rhode Island) Regional Director: Marvin Moriarty, 300 Westgate Center Drive, Hadley, MA 01035. Telephone: (413) 253-8308. Fax: (413) 253-8300. Region 6, (Colorado, Montana, Nebraska, Utah, Wyoming, Kansas, North Dakota, South Dakota) Regional Director, Mitch King, P.O. Box 25486, DFC Denver, CO 80225. Telephone: (303) 236-7920 Fax: (303) 236-8295 Region 7 (Alaska) Regional Director: Tom Melius, 1011 East Tudor Road, Anchorage, AK 99503. Telephone: (907) 786-3306 Fax: (907) 786-3542.

**Headquarters Office:**

Fish and Wildlife Service, Department of the Interior. Contact: Chief, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, VA 22203-1622. Telephone: (703) 358-1754. Fax: (703) 358-2115. E-mail: [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov).

**Web Site Address:**

[http://www.fws.gov/international/dicprograms/africa\\_program.html](http://www.fws.gov/international/dicprograms/africa_program.html).

**RELATED PROGRAMS:**

15.640, Wildlife Without Borders- Latin America and the Caribbean; 15.641, Wildlife Without Borders-Mexico.

**EXAMPLES OF FUNDED PROJECTS:**

After this programs first cycle of funding is complete, annual summaries of the projects funded will be located at [http://www.fws.gov/international/dicprograms/africa\\_program.html](http://www.fws.gov/international/dicprograms/africa_program.html) Hard copies of this information will also be available upon request from the Division of Division of International Conservation at (703) 358-1754 or [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov).

**CRITERIA FOR SELECTING PROPOSALS:**

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. A complete list of the criteria used to select projects under this program will be included as part of the Wildlife Without Borders-Africa Notice of Funding Availability and Application Instructions at [http://www.fws.gov/international/dicprograms/africa\\_program.html](http://www.fws.gov/international/dicprograms/africa_program.html) Hard copies can be obtained by contacting the Division of International Conservation at (703) 358-1754 or [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov).

**15.652 UNDESIRABLE/NOXIOUS PLANT SPECIES**

(Weeds Program)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); and National Wildlife Refuge System Administration Act, 16 U.S.C. 668dd.

**OBJECTIVES:**

To encourage coordination and integration of efforts between the U.S. Fish and Wildlife Service (USFWS) and interested parties to accomplish successful management of undesirable plant species. Projects must conserve, protect, and enhance fish, wildlife and plants for the continuing benefit of the American people.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for approved projects on Service lands that facilitate the identification, management and eradication of undesirable plant species.

**Applicant Eligibility:**

Applicants may be State and local governments, educational institutions, private and public nonprofit organizations, and institutions and private individuals which support the mission of the Service.

**Beneficiary Eligibility:**

State and local governments; private and public nonprofit organizations; other private and public organizations; and private individuals who support the mission of the Service.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. Currently this program is excluded from the E.O. 12372, Intergovernmental Review or Federal Programs' requirement, however it may be selected to participate at a later date.

**Application Procedure:**

A Standard Form 424 and a written proposal should be submitted electronically through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined above), objectives, time frame, and a budget breakdown. No State plan is required with this application. Note that the USFWS may circulate proposals to others for review.

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or designee approves or disapproves submitted proposals. Criteria for selection are outlined in the funding announcement and application package posted to [Grants.gov](http://Grants.gov). Successful applicant(s) will be notified after selection and confirmation of available funding. An applicant(s) should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

**Deadlines:**

Deadline varies depending on funding opportunity announcements.



**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five year restriction on the length of time is due to the period of availability of funds, which is limited to the five-year rule.

**Reports:**

Recipients of funding are required to submit quarterly financial reports using form SF-269, and semi-annual performance reports 30 days following the end of each reporting period. All projects and activities are monitored for progress and compliance with the agreed upon scope of work. Final performance and financial reports are due 120 days after the end date of the grant performance reports.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend Financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,000 to \$25,000; \$5,500.

**PROGRAM ACCOMPLISHMENTS:**

Fish and Wildlife Service has worked in conjunction with private, State, county and local governments to jointly address issues surrounding undesirable plant species.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

U.S. Fish and Wildlife Service, U.S. Department of the Interior. Contact: Assistant Director, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670, Arlington, VA 22203. Telephone: (703) 358-1744; Fax: (703) 358-2248.

**Web Site Address:**

<http://www.fws.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Award to Jackson County Noxious Weed Management and Arapaho NWR (\$3,300); awards to Ravalli County Weed District and Charles M. Russell NWR (\$14,400).

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of lasting effect on conservation, preservation, wildlife and their habitats.

**15.653 NATIONAL OUTREACH AND COMMUNICATION PROGRAM**

(NOC )

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Transportation Equity Act for the 21st Century 1998, Public Law 105-178, 112 Stat. 107, 23 U.S.C. 101, Sportfishing and Boating Safety Act of 1998, Section 7402, Public Law 105-178, Subtitle D.

**OBJECTIVES:**

To improve communications with anglers, boaters, and the general public regarding angling and boating opportunities, to reduce barriers to participation in these activities, to advance adoption of sound fishing and boating practices, to promote conservation and the responsible use of the nation's aquatic resources, and to further safety in fishing and boating.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project work should occur within the scope of the Strategic Plan for the Outreach and Communication Program as required by the Sportfishing and Boating Safety Act of 1998, or if work is to be conducted outside of the range, the proposal should show a clear relevance to the Strategic Plan. Applied research projects should address specific management needs and actions.

**Applicant Eligibility:**

Participation limited to applicant with expertise to conduct work within the scope of the Strategic Plan for the Outreach and Communication Program as required by the Sportfishing and Boating Safety Act of 1998, or if work is to be conducted outside of the range, the proposal should show a clear relevance to the Strategic Plan.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

To apply for grant funds, the applicant must provide documentation of marketing expertise in Sport fishing and Boat Safety and submit an online application through Grants.gov.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications may be submitted online using Grants.gov and must contain the information and meet the requirements outlined in the Program Guidelines and Application Kit. The standard application forms including the SF 424 as furnished by the Federal agency will be used for this program.

**Award Procedure:**

Funding recommendations, based upon a process outlined in the funding announcements, will be forwarded to the Awarding Official. Applicants will be notified by Awarding Official.

**Deadlines:**

Submission dates will be detailed in the funding announcement posted on the Grants.gov website.

**Range of Approval/Disapproval Time:**

Within 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program does not have statutory matching requirements, but does encourage matching funds or in-kind contributions.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in, but not restricted to, 12-month budget periods.

**Reports:**

The recipient shall submit quarterly progress reports detailing activities for the reporting periods. An SF 269 will be submitted with the quarterly report detailing expenditures made during the period. An annual report is to be submitted summarizing accomplishments, as well as, include an explanation of any milestones not accomplished, and one copy of all printed products and news articles published about the project. A final report is to be submitted summarizing accomplishments, as well as, include an explanation of any milestones not accomplished.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for three years after submission of the financial report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Grants) FY 07 \$12,000,000; FY 08 \$13,400,000; and FY 09 est \$13,000,000.

**Range and Average of Financial Assistance:**

The previous FY average award was \$12,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Awards under the National Outreach and Communication Program supported boating, fishing and aquatic demographics research; workshops to assist State agencies with marketing plans; and other education and public safety activities. The number of projects identified and funded annually varies depending on program priorities and funds availability.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and literature on the U.S. Fish and Wildlife Service programs is available at: <http://fws.gov> and <http://www.fws.gov/contracts/index.html> . Federal financial assistance regulations and relevant OMB circulars are located

at <http://www.whitehouse.gov/omb/circulars/index.html>,  
<http://www.doi.gov/pam/financialassistance.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Recreational Boating and Fishing Liaison, 4401 N. Fairfax Drive, MS-3103-AEA, Arlington, VA 22203. Telephone: (703) 358-2435.

**Web Site Address:**

<http://www.fws.gov/conservationpartnerships/>.

**RELATED PROGRAMS:**

15.605, Sport Fish Restoration Program; 15.616, Clean Vessel Act; 15.622, Sportfishing and Boating Safety Act; 15.628, Multistate Conservation Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Each grant application will be reviewed for documentation required in the Program Guidelines and Application Kit.

## 15.654 VISITOR FACILITY ENHANCEMENTS - VEHICLE PULLOUTS, INTERPRETIVE TRAILS, AND KIOSKS

(Turnout Program )

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); and National Wildlife Refuge System Administration Act, 16 U.S.C. 668dd.

**OBJECTIVES:**

To encourage partnerships with interested parties to enhance wildlife viewing opportunities for the public. Projects must conserve, protect, and enhance fish, wildlife and plants for the continuing benefit of the American people.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for approved projects on Service lands that enhance wildlife viewing opportunities for the public while providing access in the form of interpretive pullouts, trails, and interpretive kiosks which provide a public benefit. Details for each funding opportunity is posted on [www.Grants.gov](http://www.Grants.gov).

**Applicant Eligibility:**

Applicants may be State and local governments, private, public, nonprofit organizations, institutions and private individuals, which support the mission of the Service.

**Beneficiary Eligibility:**

State and local governments; private and public nonprofit organizations; other private and public organizations; and private individuals who support the mission of the Service.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Standard Form 424 and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined in the funding opportunity), objectives, time frame, and a budget breakdown. No State plan is required with this application. Note that the USFWS may circulate proposals to others for review.

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or designee approves or disapproves submitted proposals. Criteria for selection are outlined in the funding announcement and application package posted to [Grants.gov](http://Grants.gov). Successful applicant(s) will be notified after selection and confirmation of available funding. An applicant(s) should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

**Deadlines:**

The deadline will be publicized in the [Grants.gov](http://Grants.gov) announcement.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements. FWS encourages recipients to consider cost sharing.

**Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five-year restriction on the length of time is due to the period of availability of funds, which is limited to the five-year rule.

**Reports:**

Recipients of funding are required to submit quarterly financial reports using form SF-269, and semi-annual performance reports 30 days following the end of each reporting period. Final performance and financial reports are due 120 days after the end date of the grant performance reports.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend Financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1612-0-1-303; 14-1611-0-1-303.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The previous FY average award was \$102,000.

**PROGRAM ACCOMPLISHMENTS:**

USFWS Region 6 has provided funding for tour routes, kiosks, vehicle pull-outs, scenic overlooks, interpretive signage, etc. The number of projects funded and funding levels depend on available funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Fish and Wildlife Service, Department of the Interior. Contact: Assistant Director, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670, Arlington, VA 22203. Telephone: (703) 358-1744; Fax: (703) 358-2248.

**Web Site Address:**

[www.fws.gov](http://www.fws.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Construction of a highway pullout including interpretive exhibits to allow the traveling public to observe resident wildlife populations on refuges.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the lasting effect on conservation, enhancement, and public enjoyment of wildlife and habitats.

## 15.655 MIGRATORY BIRD MONITORING, ASSESSMENT AND CONSERVATION

(Migratory Bird)

**FEDERAL AGENCY:**

FISH AND WILDLIFE SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; Migratory Bird Treaty Act, 16 U.S.C. 709a.

**OBJECTIVES:**

To maintain, enhance, and better understand the ecology and habitats of migratory birds species.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Grants and payments may be used for the conservation of any bird species protected by the Migratory Bird Treaty Act. Special emphasis will be placed on bird species listed in USFWS conservation and management priorities documents (e.g. USFWS Birds of Conservation Concern 2002, Focal Species list). Implementing national, regional, flyway Bird Conservation Region, and state-level bird conservation plans (e.g., Partners in Flight North American Landbird Conservation (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>) North American Waterbird Conservation Plan (<http://birdhabitat.fws.gov/NAWMP/nawmphp.htm>) are among the Service's highest priorities. Projects related to the priorities identified in these plans will receive the greatest funding consideration. Projects should

address one or more of the following activities: a) Population surveys and monitoring to determine the status, trends, and distribution of bird species and groups of concern. Emphasis will be placed on landscape-level applications of standardized inventory and monitoring protocols (e.g., Breeding Bird Atlases, national marshbird call playback surveys). Local-scale monitoring (e.g., local land management units) activities will generally not be a focus of this program; b) Applied research, including but not limited to, studies of habitat requirements, limiting factors, and population responses to habitat conservation activities; development of new monitoring techniques and programs for poorly-surveyed species; and use of Geographic Information Systems, bird habitat modeling, and similar tools to identify bird habitat focus areas and further bird conservation planning efforts; c) Compilation of technical information, such as status reviews for bird species of concern, development of habitat management and restoration guidelines, and other outreach and education tools. Habitat management projects are generally not covered under this program.

**Applicant Eligibility:**

Federal; Interstate; Intrastate; State; Local; including Tribal Government; Public Nonprofit Institution/Organization; Other Public Institution/Organization; Federally Recognized Tribal Government; U.S. Territory or Possession; Institutions of Higher Education including Public Private, State College, University, Junior, and Community College; Individual/Family; Specialized Group; Small Business; Profit Organization; Private Nonprofit Institution/Organization; Quasi-Public Nonprofit Institution/Organization; Other Private Institution/Organization; or Native American Organization.

**Beneficiary Eligibility:**

Federal; Interstate; Intrastate; State; Local; including Tribal Government; Public Nonprofit Institution/Organization; Other Public Institution/Organization; Federally Recognized Tribal Government; U.S. Territory or Possession; Institutions of Higher Education including Public Private, State College, University, Junior, and Community College; Individual/Family; Specialized Group; Small Business; Profit Organization; Private Nonprofit Institution/Organization; Quasi-Public Nonprofit Institution/Organization; Other Private Institution/Organization; Anyone/General Public; Native American Organization; Education Professional; Student/Trainee; Graduate Student; Scientist/Researcher; Builder/Contractor/Developer; Farmer/Rancher/Agriculture Producer; or Land/Property Owner.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Projects and informal or formal proposals may be requested by the Regional or National Migratory Bird Program office directly from appropriate eligible applicants. These funding opportunities will be posted at [www.grants.gov](http://www.grants.gov) and will clearly outline the required forms or supplements (e.g. SF-424, full budget, etc.). Unsolicited project proposals from eligible applicants may also be submitted for consideration to Regional or National offices. Projects may also be mutually developed by the Regional or National office and appropriate eligible applicants. All projects contain mutually agreed upon deliverables and funding.

**Award Procedure:**

The Migratory Bird Program Chief reviews and approves conservation projects based on proposals meeting the objectives. Once a proposal is accepted and mutually agreed upon deliverables and funding are approved, a formal agreement is written. Upon signing both parties, work can begin.

**Deadlines:**

Deadlines vary according to the funding opportunity announcements.

**Range of Approval/Disapproval Time:**

Decisions on funding a proposal are usually made no later than 180 days after receipt of the proposal. However, funding opportunities may present themselves at a later opportunity at which time projects may be reconsidered.

**Appeals:**

None.

**Renewals:**

An award may be modified at the discretion of the issuing Regional or National office.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The period of performance of awards will vary based on the funding opportunity and appropriations.

**Reports:**

All projects and activities are monitored for progress and compliance with agreed upon scope of work. Written progress reports are generally required. Financial reports using form SF-269 and final performance reports on the project are required. Details for project reporting are contained in the final project agreements. All project reports may be evaluated and reviewed by project supervisor and his or her appointees, including but not limited to outside sources such as other appropriate federal staff at national and regional levels, state and local government employees, and other individuals with project area expertise,

to insure quality and fulfillment of obligation.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superceding regulations if required by the agency. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, an Nonprofit Organizations," nonfederal entities that expend financial assistance \$500,000 (for fiscal years ending after Dec. 1, 2003) or more a year in Federal awards will have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 (for fiscal years ending after Dec. 1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Cooperative Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

FY 07 \$2,278,500; FY 08 est \$2,205,000; and FY 09 est \$1,908,600.

**Range and Average of Financial Assistance:**

\$500 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

USFWS Regional Migratory Bird offices have provided monetary assistance to recipients for migratory bird conservation projects since the late 1980s. These projects have addressed the general activities outlined under the Uses section above. The number of projects funded and dollars provided varies annually, depending upon annual appropriations and other program priorities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Additional information about the Federal financial assistance regulations and relevant OMB circulars is located on <http://www.whitehouse.gov/omb/circulars/index.html>. Guidelines and literature on the U.S. Fish and Wildlife Service programs is located at <http://www.fws.gov/migratorybirds/>.

**Regional or Local Office:**

Additional information is available from Regional and National Migratory Bird Offices as listed in Appendix IV of the Catalog.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.fws.gov/migratorybirds/>.

**RELATED PROGRAMS:**

15.635, Neotropical Migratory Bird Conservation; 15.637, Migratory Bird Joint Ventures; 15.642, Challenge Cost Share; 15.647, Migratory Bird Conservation; 15.649, Service Training and Technical Assistance (Generic Training); 15.650, Research Grants (Generic); 15.812, Cooperative Research Units Program; 47.074, Biological Sciences.

**EXAMPLES OF FUNDED PROJECTS:**

Aerial Surveys of Waterfowl and other Migratory Birds in the Central and Western Arctic (\$46,300); Analysis of Banding Data (\$95,000); Assessment of Buff-breasted Sandpiper Toxicology Levels during migration (\$118,000).

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be reviewed to determine how well they address the migratory bird program priorities outlined above, including relevance to bird conservation plan priorities, conservation and management priority species, and the bird conservation activities listed above. Projects will also be evaluated for their biological and statistical soundness, feasibility, geographic scope of applicability, and cost effectiveness. Projects may also be evaluated and reviewed by outside sources including but not limited to other appropriate federal staff at national and regional levels, state and local government employees, and other individuals with project area expertise before selection is approved to insure cost effectiveness, biological and statistical methodology, and feasibility. Projects involving matching funds, in-kind services, materials, and equipment from other agencies and organizations may be given greater consideration for funding than similar projects without matching resources.

## 15.805 ASSISTANCE TO STATE WATER RESOURCES RESEARCH INSTITUTES

(Water Research Institute Program)

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Water Resources Research Act of 1984, Section 104, Public Law 98-242 as



amended, 42 U.S.C. 10301 et seq.

**OBJECTIVES:**

To provide financial support to Water Resources Research Institutes located at designated State universities in each of the 50 States, Puerto Rico, the District of Columbia, Guam, the Virgin Islands, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Federated States of Micronesia for research, information transfer and student training on one or more aspects of priority water problems.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

This is a mandatory grant program to provide the State institutes with funds to support a State and regional program of water resources research and information transfer. This may include basic or applied research, setting up conferences to discuss research needs or results, conduct of research, information dissemination, and training of students as a byproduct of research. In general the funds are used to study regional, State, or local water problems, but the results may often have national significance. Federal funds cannot be used for (1) formal instructional activities and general education, and (2) the cost of permanent buildings, either directly or indirectly.

**Applicant Eligibility:**

One University Water Research Institute is authorized in each State and other jurisdictions specified in Section 104. Other colleges and universities within a State are encouraged to participate in the program in cooperation with the designated institute.

**Beneficiary Eligibility:**

Researchers at qualified universities and colleges in the State through the designated institute for the State.

**Credentials/Documentation:**

Proposed Research and Information Transfer Program application responsive to instructions issued by the U.S. Geological Survey.

**Preapplication Coordination:**

Requires each Institute to collaborate with State interests in defining research priorities and to coordinate with other institutes in region to avoid duplication of effort. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110 and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. State institutes must submit proposed annual programs on the Internet at <https://niwr.net>, as required by the individual program announcement.

**Award Procedure:**

Geological Survey approves or rejects, in part or as a whole, the program submitted by each State institute. The State institutes are notified of any amendments necessary to obtain Geological Survey approval.

**Deadlines:**

For fiscal year 2009, applications under the formula grant portion must be filed on the Internet at <https://niwr.net> not later than January 15, 2009.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Deficiencies noted by the U.S. Geological Survey can normally be corrected by the State institutes.

**Renewals:**

None.

**Formula and Matching Requirements:**

Amount to each State Water Research Institute under the formula grant is on a basis of one Federal share to not less than two nonfederal shares for fiscal year 2008.

**Length and Time Phasing of Assistance:**

Assistance is on fiscal year basis. Payments are advanced at least quarterly upon application and consistent with Financial Plan submitted previously by institute for use of grant.

**Reports:**

Each State institute makes a final report on accomplishments with grant, including synopses of research projects.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Directors of the State institutes are responsible for conduct of programs and maintaining books and records reflecting financial and technical transactions of

the program. Records shall be retained and made available for audit for three years after allottee's last disbursement of funds.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Grants) FY 07 \$5,171,000; FY 08 \$5,985,179; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$92,335 to \$277,005, \$95,755 under the formula grant program; \$61,312 to \$242,508, \$162,883 under the competitive grant program.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal years 2007 and 2008, 54 applications were received and approved under the formula grant portion of the program. In fiscal year 2007, approximately 60 applications were received under the competitive grant portion of the program and 5 grants were awarded using FY 08 funds. Proposals were not sought under the competitive grant program in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rule, 30 CFR Part 401, 50 FR 27203, June 7, 1993; U.S. Geological Survey Request for Applications under the Water Resources Research Institute Grant Program (Section 104), Announcement 06HQPA0002, October 2007 at <https://niwr.net>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of the Interior, Geological Survey, MS 424 National Center, Reston, VA 20192. Contact: John Schefter, Chief, Office of External Research. Telephone: (703) 648-6800. Fax: (703) 648-5070. Email: [schefter@usgs.gov](mailto:schefter@usgs.gov).

**Web Site Address:**

<http://water.usgs.gov/wrri/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples include: Model Development for Conjunctive Use Planning and Aquifer Protection in Semi-arid Regions; Assessing the Effectiveness of Local Water Institutions in Water Management; Characterizing sources and growth potential of indicator bacteria in cold region streams; Treatment of Nitrate in Groundwater with Autotrophic Bioreactors; Imperial Valley Agriculture and Water: A Regional Economic Analysis; Mechanisms and Modeling of Soft-Bed Nutrient Release in Lakes; The Flow Dimension of Groundwater Resources in Northeastern Illinois. Descriptions of projects funded recently are provided on the Internet at <http://water.usgs.gov/wrri/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to announced priorities, technical merit, prospect of attaining objectives in period specified and potential for student training.

## 15.807 EARTHQUAKE HAZARDS REDUCTION PROGRAM

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

42 U.S.C. 7701 et seq.

**OBJECTIVES:**

To support earthquake hazards research in order to develop information, knowledge, and methods relevant to the major Earthquake Hazards Program elements: national and regional earthquake hazards assessments; research related to earthquake information, monitoring, and notification; research on earthquake occurrence, physics, and effects; and earthquake safety policy. Specific objectives and research tasks identified as measures of progress towards the goals of these program elements are described in greater detail in the Research Priorities section of the annual Program Announcement.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Specific research objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

Colleges, universities, profit-making, and nonprofit organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above

regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>. Links to USGS program announcements are available through the internet site <http://www.usgs.gov/contracts>.

**Award Procedure:**

Notification of an award is by a grant or cooperative agreement document signed by a contracting officer.

**Deadlines:**

The application period for grants is generally open from mid-February until mid-May each year. Deadline for proposals for funding in fiscal year 2009 was May 16, 2008.

**Range of Approval/Disapproval Time:**

From 5 to 9 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

No statutory requirement. Recipients are encouraged to share in the cost of each research project.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in 12 or 36 month budget periods.

**Reports:**

Progress reports covering 12 months of activities and final technical and financial reports are required, and must be submitted electronically as described in the award package.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$12,800,000; FY 08 \$13,138,000; and FY 09 est \$9,800,000.

**Range and Average of Financial Assistance:**

\$6,000 to 1,300,000; average \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

The National Earthquake Hazards Reduction Program has funded projects covering recent tectonics and earthquake potential, research on earthquake occurrence and effects, and evaluation of regional and urban earthquake hazards. During fiscal year 2007, 92 out of 195 applications received funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Lemersal, External Research Support Manager, Earthquake Hazards Program Office, Geologic Division, Geological Survey, 905 National Center, Reston, VA 20192. Telephone: (703) 648-6701. Use same number for FTS. Fax: (703) 648-6642. E-mail: [gd-erp-coordinator@usgs.gov](mailto:gd-erp-coordinator@usgs.gov).

**Web Site Address:**

<http://earthquake.usgs.gov/research/external/>.

**RELATED PROGRAMS:**

47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Geosciences.

**EXAMPLES OF FUNDED PROJECTS:**

Source zone characteristics; Earthquake monitoring and forecasting experiments; Induced seismicity studies; and Fault zone studies; and Seismic zonation and engineering studies.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels composed of expert scientists and engineers drawn from government, universities, and private industry evaluate all grant applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

## 15.808 U.S. GEOLOGICAL SURVEY- RESEARCH AND DATA COLLECTION

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Organic Act of 1879, 43 U.S.C. 31, 43 U.S.C. 36c.

**OBJECTIVES:**

To support research complementary to USGS program efforts in classification of the public lands and examination of the geological structure, water, mineral, and biological resources, and products of the national domain. This entry covers a variety of USGS assistance awards not covered by any other CFDA program entries. Awards are typically supported by funding from internal projects and programs, and funds are not separately budgeted or reserved for external projects or proposals under this entry.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Applications must be for scientific research projects which are within the Survey's area of responsibility. The majority of funds are used to support research that will enhance existing, long-term collaborative projects. Funds can be used for attendance at national conferences for the dissemination of project results. Further, conferences and symposia will be supported only if it is clear that equivalent results cannot be obtained at regular meetings of professional societies. Office furniture, office equipment, and foreign travel are not normally considered for support.

**Applicant Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments may make application for support by a named principal investigator. Due to limited availability of funds to support new external projects, consultation with USGS is strongly recommended prior to submission of applications.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments, industry and public decision makers, research scientists, engineers, and the general public will ultimately benefit from knowledge gained under the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Preapplication Coordination:**

Discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

These are typically individually evaluated and funded projects; there is no annual program announcement, prospectus or other invitation for applications. The standard application form SF 424 and other forms required by OMB Circular Nos. A-102 and A-110, or their successor(s), and the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or its revisions, must be used. See also <http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Award Procedure:**

Notification of an award is by a grant or cooperative agreement document signed by a contracting officer.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not applicable except that application may be revised and resubmitted.

**Renewals:**

None.

**Formula and Matching Requirements:**

Generally, no statutory requirement. Recipients are encouraged to share in the cost of each research project. Appropriations language requires cooperating State and local governments to contribute at least one-half the cost of certain cooperative water resources investigation and cooperative mapping projects.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in, but not restricted to, 12 month budget periods.

**Reports:**

Annual and final technical and financial reports are required.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are

subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

FY 07 \$41,000,000; FY 08 est \$41,000,000; and FY 09 est \$41,000,000.

**Range and Average of Financial Assistance:**

\$1,000 to \$971,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 for this category approximately 270 grants and cooperative agreements were made to support the Geological Survey's earth science research mission. Approximately the same number is projected for fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

USGS Guide for Submission of Unsolicited Proposals is available at:

<http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Regional or Local Office:**

Contact the appropriate regional office, depending on the location of the study. For Alabama, Connecticut, District of Columbia, Florida, Georgia, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, West Virginia, and Wisconsin, write: Regional Director for Eastern Region, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS 150, Reston, VA 20192. Telephone (703) 648-4582. For Arkansas, Colorado, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas and Wyoming, write: Regional Director for Central Region, U.S. Geological Survey, Denver Federal Center, Denver, CO 80225. Telephone: (303) 202-4740. For Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Utah, and Washington, write: Regional Director for Western Region, U.S. Geological Survey, 345 Middlefield Road, Menlo Park, CA 94025. Telephone: (650) 329-4011.

**Headquarters Office:**

This is not a single formal program; awards are not centrally managed or coordinated. Refer to Regional or Local Office contacts.

**Web Site Address:**

<http://www.usgs.gov/contracts>.

**RELATED PROGRAMS:**

47.050, Geosciences.

**EXAMPLES OF FUNDED PROJECTS:**

Support for various boards and committees of the National Academy of Science, National Coal Resources Data System, <http://energy.er.usgs.gov/NCRA>; support for collaborative coastal and marine geology studies (Woods Hole, MA and St. Petersburg, FL), collaborative volcano monitoring, and continuing support of university observatories and earth science research facilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Applications will be funded only to the extent permitted by available funds.

**15.809 NATIONAL SPATIAL DATA INFRASTRUCTURE COOPERATIVE AGREEMENTS PROGRAM**

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Organic Act of March 3, 1879, 43 U.S.C. 31; Executive Order 12906, April 13, 1994.

**OBJECTIVES:**

To improve the efficient discovery, access, transfer and use of geospatial data among organizations among and between Federal, state, and local government; academia; and profit and nonprofit organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for projects not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

Proposals from State and local government agencies, educational institutions, private firms, private foundations, nonprofit organizations and Federally

acknowledged or state-recognized Native American tribes or groups are invited.

**Beneficiary Eligibility:**

Agencies and organizations participating in the project, as well as the general public will ultimately benefit from this program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed project.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application form SF 424, 424-A, 424-B, and Department of the Interior Certifications and Representations must be used.

**Award Procedure:**

Notification of an award is by a cooperative agreement document signed by a contracting officer.

**Deadlines:**

December 16, 2008 for FY 2009 proposals.

**Range of Approval/Disapproval Time:**

From 1 to 2 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no statutory formula, however, the recipients are expected to cost-share depending upon the category of project up to 100 percent of the amount of funding received from the Federal government. For the FY 2008 the matching requirements were as follows: Category 1-50%, Category 2-50%, Category 3-50%, Category 4-100%, Category 5-100%, and Category 6-50%.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods.

**Reports:**

Semi-annual and final technical report, formal oral presentation, and second and third year follow-up reports.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. For profit organizations, principles for determining the allowableness of cost will be in accordance with the FAR, subchapter E, part 31.2. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-300.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,318,636; FY 08 \$1,164,220; and FY 09 est \$1,300,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$100,000; average \$48,500.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 25 cooperative agreements, were awarded to support the NSDI. 29 agreements were awarded in fiscal year 2007. 24 agreements were awarded in fiscal year 2008. For more information see <http://www.fgdc.gov/grants>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Vol. 60, No. 242, December 18, 1995, page 65064; Commerce Business Daily announcement January 25, 1996, Section T, program Announcement No. 8187; internet URL <http://www.fgdc.gov/funding/cap2002.html>.

**Regional or Local Office:**

Brigitta Urban-Mathieux, FGDC CAP Coordinator; Telephone: (703) 648-5175, Fax: (703) 648-5755, [burbanma@fgdc.gov](mailto:burbanma@fgdc.gov).

**Headquarters Office:**

Geological Survey, National Center, Federal Geographic Data Committee Secretariat, 12201 Sunrise Valley Drive, Mail Stop 590, Reston, VA 20192. Telephone: (703)648-4150, Fax: (703)648-5755, or E-mail: [gdc@usgs.gov](mailto:gdc@usgs.gov).

**Web Site Address:**

<http://www.fgdc.gov/grants>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Project support implementation of different aspects of the National Spatial Data Infrastructure such as: implementation of metadata standards through training



and outreach assistance; implementation of framework standards; strategic and business plan development in support of the NSDI Future Directions Fifty States Initiative; collaboration between organizations in the U.S. and Canada to maintain and share geospatial data over a common geography; and assisting organizations and consortia to develop and provide access to geospatial information that serves community needs. See the FGDC website (<http://www.fgdc.gov>) for summaries of funded projects.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated through formal review panels. Proposals will be evaluated on the quality and relevance of the project to the NSDI; the technical approach taken to implement the project; the level and diversity of participation and the applicant's experience and competence to perform the proposed effort successfully; and the extent to which the applicant shows evidence of a capability and willingness to continue and build upon the project when the agreement period ends.

## **15.810 NATIONAL COOPERATIVE GEOLOGIC MAPPING PROGRAM**

(STATEMAP and EDMAP)

#### **FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

#### **AUTHORIZATION:**

National Geologic Mapping Reauthorization Act of 1999, Public Law 106-148.

#### **OBJECTIVES:**

To produce geologic maps of areas in which knowledge of geology is important to the economic, social, or scientific welfare of individual States. STATEMAP supports: (1) projects which produce new geologic maps with attendant explanatory information including correlation of map units, description of map units and symbols, stratigraphic columns, geologic sections, and other pertinent information; and (2) projects which compile existing geologic data in a digital form at a scale of 1 to 100,000 for inclusion in the National Digital Geologic Map Database. OBJECTIVES OF EDMAP: Provide funding for graduate students in academic research programs, through cooperative agreements, that involve geologic mapping and scientific data analysis as major components; expand research and educational capacity of graduate programs that teach earth science students the techniques of geologic mapping and field data analysis; and facilitate the publication and distribution of geologic maps generated in field-based graduate academic research programs.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

STATEMAP Two types of projects are supported by this program: (1) those which produce new geologic maps with attendant explanatory information, and (2) those which compile existing geologic data in a digital form at a scale of 1 to 100,000 for inclusion in the National Geologic Map Database. Only one application will be accepted from each State, however, each proposal can have four sub-projects; three for new geologic mapping and one for compilation. State proposals cannot include in-kind services by the Geological Survey. Travel to meetings of professional societies is not an acceptable expense for the program, nor are funds intended for the purchase of computer hardware, software, or other nonexpendable property. EDMAP Only one cooperative agreement will be awarded to each academic institution, but the agreement may consist of more than one project, more than one faculty supervisor and several students. Proposals cannot include a request for in-kind services by the Geological Survey. Funds are not intended for the purchase of capital equipment.

#### **Applicant Eligibility:**

STATEMAP program is restricted by statute to State geological surveys. Where State surveys are organized under a State university system, an application may be submitted by a State college or university on behalf of the State geological survey. EDMAP program is restricted to universities with geoscience or related departments or programs.

#### **Beneficiary Eligibility:**

State geological surveys participating in this program and the general public will ultimately benefit from this program.

#### **Credentials/Documentation:**

Proposals for STATEMAP must include a letter of support from the State Geologic Mapping Advisory Committee or equivalent to qualify for funding. Proposals for EDMAP must include a letter of support from a State Geologist or USGS Project Chief.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Proposals must include copies of letters of support, figures, tables, and application form SF 424 and 424-B. Proposals including forms cannot exceed 35 pages for STATEMAP and 15 pages for EDMAP.

#### **Award Procedure:**

Notification of an award is by receipt of a cooperative agreement signed by a

contracting officer.

#### **Deadlines:**

STATEMAP Each year the Requests for Proposals (RFP) will be distributed in early September. Applications must be received in early November (the exact date will be announced in the RFP). EDMAP Each year the Requests for Proposals (RFP) will be distributed in early September. Applications must be received in early November (the exact date will be announced in the RFP).

#### **Range of Approval/Disapproval Time:**

STATEMAP Approval/disapproval will be announced by mid-February. EDMAP Approval/disapproval will be announced by late February.

#### **Appeals:**

None.

#### **Renewals:**

STATEMAP Proposals must be submitted for a 1-year project period only. However, projects that were approved and funded during the previous fiscal year may be submitted as renewals (competing continuations). A completely new proposal subject to full review, must be submitted each year. EDMAP Proposals may be submitted which request performance periods of either 1 or 2 years. However, if approved the proposal will be funded for the first year only. Funding for year two will be determined through the annual competitive announcement.

#### **Formula and Matching Requirements:**

The STATEMAP program is required by Public Law 106-148 to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a nonfederal dollar. The nonfederal share may be contributions of services or cash provided to contractors to perform geologic mapping or other services directly applicable to proposed work on the project. The specific source(s) of the State contribution, such as State legislative appropriation, must be provided in the proposal. The EDMAP program is required by Public Law 106-148 to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a nonfederal dollar. The nonfederal share may be a contribution of funds or services. Such services can include those related to the student research project or cash provided to contractors, i.e., field assistants to perform geologic mapping or other services directly applicable to proposed work on the project.

#### **Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods.

#### **Reports:**

STATEMAP and EDMAP All deliverables (geologic maps and accompanying information) are due on or before the last day of the grant year. The recipient of the grant shall use Standard Form (SF) 270, Request for Advance or Reimbursement, to request payment under all resulting awards. The SF-270 shall be submitted to the Administrative Contracting Officer (ACO) whose address will be identified in the award document. Submit the SF-270 no more frequently than quarterly. The recipient shall submit a completed SF-269A, Financial Status Report, to the ACO within ninety (90) days after the end of the performance period.

#### **Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

All records must be maintained for 3 years after submission of the final financial report.

#### **Account Identification:**

14-0804-0-1-306.

#### **Obligations:**

(STATEMAP) FY 07 \$6,202,882; FY 08 \$6,489,290; and FY 09 est \$6,500,000. (EDMAP) FY 07 \$480,431; FY 08 \$492,365; and FY 09 est \$490,000.

#### **Range and Average of Financial Assistance:**

STATEMAP The range of awards to State geological surveys in FY 08 was from \$20,061 to \$228,592. The average award in fiscal year 2007 was \$147,883. EDMAP the range of awards to universities in fiscal year 2007 was from \$5,881 to \$14,972 per student. The average award in fiscal year 2007 was \$12,832. The maximum award allowed per student is \$15,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 45 awards were made to State geological surveys which matched every federal dollar with a State dollar. EDMAP: In fiscal year 2007, a total of 58 students from 30 universities were funded. Each federal dollar was matched 1:1 by a university dollar.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The program announcements are available on the Internet at

<http://www.grants.gov> and <http://www.usgs.gov/contracts>. The FY 2009 announcements will be available at this site by September of 2008.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Coordinator of the National Cooperative Geologic Mapping Program, Randall C. Orndorff, Geological Survey, National Center 908, 12201 Sunrise Valley Drive, Reston, VA 20192.

**Web Site Address:**

<http://www.ncgmp.usgs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals for both STATEMAP and EDMAP are released in Geological Survey Program Announcements in mid summer and can be obtained from Lydia Quintana, Geological Survey, National Center 908, 12201 Sunrise Valley Drive, Reston, VA 20192, or can be found at <http://www.usgs.gov/contracts>.

## 15.811 GAP ANALYSIS PROGRAM

(GAP)

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., Fish and Wildlife Act of 1956, 16 U.S.C. 742 et seq., Fish and Wildlife Conservation Act, 16 U.S.C. 661 et seq., Omnibus appropriations Act, Public Law 108-7.

**OBJECTIVES:**

Studies where native animal species and natural plant communities occur and identifies "gaps" in their representation to support conservation of biodiversity.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

GAP is used by Federal agencies, State agencies and other governmental bodies to develop land use or acquisition plans that incorporate information about the presence and distribution of biodiversity. There are no use restrictions.

**Applicant Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, State and local governments, as well as the general public will ultimately benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application form SF-424, 424-A, and 424-B. Applications must be submitted electronically through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Notification of an award is by a cooperative agreement document signed by a contracting officer.

**Deadlines:**

The application submission deadline is available on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

The timeframe is available on [www.grants.gov](http://www.grants.gov).

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12 month budget periods.

**Reports:**

Annual and final technical and financial reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

FY 07 \$1,800,000; FY 08 est \$2,100,000; and FY 09 est \$1,500,000.

**Range and Average of Financial Assistance:**

\$23,745 to \$462,197; Average of \$98,713.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 13 cooperative agreements were awarded to carry out the GAP Analysis Program. The number of agreements in future years is expected to be similar.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program announcement is available on the Internet at <http://www.gap.analysis.nbii.gov> and [www.grants.gov](http://www.grants.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Coordinator of the National GAP Program, 530 S Asbury Suite 1, Moscow, ID 83843.

**Web Site Address:**

<http://gapanalysis.nbii.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 08, the project, "A distributed graduate seminar to analyze the priorities, obstacles and opportunities that exist for the implementation of the U.S. State Wildlife Action Plans" was funded. Please see website for additional projects and information.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications submitted. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Generally, applications will be funded only to the extent permitted by available funds.

## 15.812 COOPERATIVE RESEARCH UNITS PROGRAM

(CRUP)

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Cooperative Research Units Act, Public Law 86-686, Sec. 1, Sept. 2, 1960, 74 Stat. 733, as amended by the Fish and Wildlife Improvement Act of 1978, Public Law 95-616, Sec. 2, Nov. 8, 1978, 92 Stat. 3110.

**OBJECTIVES:**

To work in partnership with States and universities to address the information needs of local, State, and Federal fish, wildlife, and natural resource agencies through research, technical assistance, and education.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Authority is limited to research with an educational component conducted through one of 40 Cooperative Fish and Wildlife Research Units and their host universities. Awards are limited to information needs related to fish, wildlife, ecology, and natural resources of interest to program cooperators and partners.

**Applicant Eligibility:**

Universities hosting Cooperative Fish and Wildlife Research Units established under authority of the Cooperative Research Units Act of 1960.

**Beneficiary Eligibility:**

Federal, State and local governments, industry and public decision makers, research scientists, State institutions of higher education, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposed research application responsive to the instructions issued by the USGS.

**Preapplication Coordination:**

Requires each research project to be conducted in collaboration and cooperation with USGS personnel stationed at Cooperative Fish and Wildlife Research Units, and cooperating agency representatives. Discussions to determine interest and appropriateness of research projects for a Cooperative Fish and Wildlife Research Unit are required before proposals are submitted. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application form Standard Form (SF) 424 must be used. This program is subject to the provisions of OMB Circular No. A-110, or its successor, and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by a Research Work Order document signed by a contracting officer.

**Deadlines:**

Established annually.

**Range of Approval/Disapproval Time:**

Up to 3 months.

**Appeals:**

Not applicable. The application may be revised and resubmitted.

**Renewals:**

None. All projects have a limited duration, not to exceed 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Project duration may not exceed 5 years. Funds are released as required.

**Reports:**

Specified in the conditions of each award, but typically have annual and final reports as well as other products.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Research Work Orders funded with reimbursable funds provided by other Federal programs) FY 07 \$15,405,511; FY 08 est \$16,000,000; and FY 09 est \$16,000,000. (NOTE: No funds appropriated to the program are set aside or are separately identifiable for project grants.)

**Range and Average of Financial Assistance:**

\$5,000 to \$615,000; \$33,660.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, 414 Research Work Orders were active at cooperating universities. The number of Research Work Orders active in FY 2009 is expected to be about 414.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided to each of the 40 universities participating in the Cooperative Research Units Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Inquiries regarding the Cooperative Research Units program may be addressed to the Cooperative Research Units, 12201 Sunrise Valley Drive, Mail Stop 303, Reston, VA 20192. Point of Contact (POC): Dr. Kevin G. Whalen, Deputy Chief, Telephone: (703)648-4062, FAX: (703)648-4269, E-mail: [kwhalen@usgs.gov](mailto:kwhalen@usgs.gov).

**Web Site Address:**

<https://www.coopunits.org>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development and assessment of Adaptive Management methods; lamprey and salmonid migration and survival past dams; grassland birds following Hurricane Katrina; king rail habitat models; risk of fish disease introductions; biomarkers of fish endocrine disruptors; effects of commercial harvest on shovelnose sturgeon; human disturbance effects on warbler behavior; fish and amphibian conservation genetics, invasive species control techniques; use of UAV systems for natural resource management; climate change and water management effects in ridge-slough mosaics; hierarchical soil nutrient mapping for improved ecosystem change detection; endangered/threatened species research; factors effecting spread of CWD; effects of contaminants and toxins on fish; blood fractions as indicators of protein balance in reindeer and caribou; modeling the dynamics of avian influenza in wild birds; assessment of wildlife vulnerability to energy development.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must address natural resource and environmental issues of concern to federal agencies and be acceptable to local program cooperators and universities hosting Cooperative Fish and Wildlife Research Units. The Unit Leader of each Unit must determine this before the Unit and its host university submits a proposal to USGS. Projects must be for research and have educational components for graduate training.

**15.813 COOPERATIVE RESEARCH UNITS TRAINING PROGRAM**

(CRUTP)

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Organic Act of 1879, 20 U.S.C. 1060.

**OBJECTIVES:**

To provide financial support to Minority Serving Institutions (MSIs) to introduce a culturally diverse group of students, primarily undergraduates, to the fields of freshwater fisheries and aquatic sciences and train them for careers in the natural resources professions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To provide MSIs with funds to offer training opportunities supporting the program objectives in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the grants program of the USGS.

**Applicant Eligibility:**

Accredited 4-year Historically Black College or Universities (HBCUs) under Title III Part B of the Higher Education Act of 1965, as amended (20 U.S.C. 1060 et seq.) with program studies in the freshwater fisheries or aquatic sciences.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; who maintain satisfactory academic progress in accordance with the eligibility standards and practices of the grantee institution.

**Credentials/Documentation:**

Proposed program application responsive to instructions issued by the U.S. Geological Survey.

**Preapplication Coordination:**

Discussions regarding funding availability and program interests are strongly encouraged as limited funding is available for new projects. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application form Standard Form (SF) 424 Application for Federal Assistance must be used. This program is subject to the provisions of OMB Circular No. A-110, or its successor, and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. Applicant must submit proposed projects on <http://www.Grants.gov> as required by the individual program announcement.

**Award Procedure:**

A panel of CRU scientists and program managers that may include external peers will review the proposals. All proposals will be evaluated and rated in accordance with established criteria. Final award determination will be made by the CRU project officer. Notification of an award is by signed grant document from a USGS contracting officer.

**Deadlines:**

Applicants are to submit proposals electronically at <http://www.grants.gov>. Applications will be due approximately 15 days following the release of the Program Announcement. Details regarding the release date of the Program Announcement may be obtained by contacting the office specified in Section 152.

**Range of Approval/Disapproval Time:**

2 to 4 months.

**Appeals:**

Not applicable. The application may be revised and resubmitted.

**Renewals:**

Not applicable. All projects have a limited duration not to exceed 5 years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are normally awarded in, but not restricted to, 12 month budget periods. Project duration may not exceed 5 years.

**Reports:**

Recipients shall be required to submit SF-269 Financial Status Report, SF-272 Federal Cash Transaction Report, and an Interim Report providing annual progress of the project and a Final Report which documents and summarizes the results of the entire project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.



**Records:**

Grantees are required to maintain records for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-300.

**Obligations:**

FY 07 \$150,000; FY 08 \$150,000; and FY 09 est \$150,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$180,000, \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

USGS guide for submission of proposals is available to:  
<http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Inquiries regarding the Cooperative Research Units Training Program may be addressed to the Cooperative Research Units, 12201 Sunrise Valley Drive, MS303, Reston, VA 20192. POC: Dr. Kevin G. Whalen, Deputy Chief (703)648-4062, E-mail: [kwhalen@usgs.gov](mailto:kwhalen@usgs.gov).

**Web Site Address:**

[www.usgs.gov](http://www.usgs.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to announced priorities, technical merit, prospect of attaining objectives in period specified and potential for student training.

**15.814 NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA PRESERVATION PROGRAM****FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

The Federal Energy Policy Act of 2005, Section 351, Public Law 109-58.

**OBJECTIVES:**

To preserve and provide access to geological, geophysical, and engineering samples (and any related data) that have been extracted from the Earth to improve the breadth of information available, to inform science and decision making now and in the future.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for proposals not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

State geological surveys are eligible to apply. For State geological surveys organized under a State university system, such universities may submit a proposal on behalf of or through the State geological survey.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>. Links to USGS program announcements are available through the internet site <http://www.usgs.gov/contracts/>.

**Award Procedure:**

Notification of an award is by a grant document signed by the contracting office.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

Three to six months after submittal of proposal or bureau receipt of appropriations, whichever is later.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

In order to gain the greatest leverage of limited Federal and State funds, each

proposed State-originated program must show a 1:1 Federal/State match of direct-and indirect-cost dollars.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12-month budget periods.

**Reports:**

Quarterly financial reports and final technical and financial reports are required and must be submitted as described in the award terms and conditions.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General, or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Grants) FY 07 \$180,000; FY 08 \$500,000; and FY 09 est \$500,000.

**Range and Average of Financial Assistance:**

In FY 07: \$5,000. In FY 08: \$5,000 to \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 36 states applied for and received funds to inventory their collections.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of the Interior, Geological Survey, MS 911 National Center, Reston, VA 20192. Contact Tamara Dickinson, Program Coordinator, Office of the Chief E-mail: [tdickinson@usgs.gov](mailto:tdickinson@usgs.gov).

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In Fiscal year 2007, State geological surveys had the opportunity to apply for \$5,000.00 from National Geological and Geophysical Data Preservation Program to inventory their collections. Thirty-six states applied for and were granted these funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to announced priorities, technical merit, and prospect of attaining program objectives.

**15.815 NATIONAL LAND REMOTE SENSING-EDUCATION OUTREACH AND RESEARCH**

(National Cooperative Geographic Information System)

**FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Public Law 110-161, Organic Act 1879, 43 U.S.C. 31.

**OBJECTIVES:**

To promote the uses of space-based land remote sensing data and technologies through education and outreach at the State and local level and through university based and collaborative research projects. Technologies of interest include multispectral and hyper-spectral electro-optical, thermal, and radar.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

Nonprofit organizations, Public and Private colleges and universities, and State and local governments may make an application for support by a named principal investigator.

**Beneficiary Eligibility:**

States, research scientists, engineers, education (0-13+) and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed education, outreach and research activities.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>. Links to USGS program announcements are available through the internet site <http://www.usgs.gov/contracts>.

**Award Procedure:**

A panel of scientists and program managers that may include external peers will review the proposals. All proposals will be evaluated and rated in accordance with established criteria. Notification of an award is by an award document signed by a contracting officer.

**Deadlines:**

Contact the headquarters for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12 or 24 month budget periods. The project duration is not to exceed 5 years.

**Reports:**

Quarterly Financial Report, progress reports covering each year's activities and final technical and financial reports are required and must be submitted as described in the award terms and conditions.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

FY 07 \$0; FY 08 \$960,000; and FY 09 est \$960,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Thomas Cecere, Land Remote Sensing Program Office, Geography Division, Geological Survey, 517 National Center, Reston, VA 20192. Telephone: (703) 648-5551. Use the same number for FTS. Fax: (703) 648-5939. E-mail: [tcecere@usgs.gov](mailto:tcecere@usgs.gov).

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The National Land Remote Sensing Education, Outreach and Research Program has funded projects that assure that all users of remotely sensed data have equal, affordable access to the data and can establish the means to conduct research using the data. Additionally, this program has funded projects focusing on K-16 outreach, remote sensing course development for the public, and the tailoring of remotely sensed imagery for State and local scientific and public use.

**CRITERIA FOR SELECTING PROPOSALS:**

Panel composed of expert scientists and administrators drawn from government evaluate all assistance applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.816 MINERALS RESOURCES EXTERNAL RESEARCH PROGRAM****FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

30 U.S.C. 1601 et. seq.

**OBJECTIVES:**

To conduct research in topics related to non-fuel mineral resources in order to (1) ensure availability of up-to-date quantitative assessments of potential for undiscovered mineral deposits, (2) Ensure availability of up-to-date geoenvironmental assessments of priority Federal lands, (3) ensure availability of reliable geologic, geochemical, geophysical, and mineral locality data for the United States, and (4) ensure availability of long-term data sets describing mineral production and consumption.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement.

Applications for research projects not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

Colleges, universities, profit-making, and nonprofit organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Research scientists and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be announcements are available through the internet site <http://www.usgs.gov/contracts/grants/>.

**Award Procedure:**

Notification of an award is by a grant or cooperative agreement document signed by a contracting officer.

**Deadlines:**

Deadline for proposals for funding in fiscal year 2009 is February 27, 2009.

**Range of Approval/Disapproval Time:**

From 7 to 9 months.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

No statutory requirement. Recipients are encouraged to share in the cost of each research project.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in 12 or 24 month budget periods.

**Reports:**

Progress reports covering each year's activities and final technical and financial reports are required and must be submitted electronically as described in the award package.

**Audits:**

Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

FY 07 \$0; FY 08 est \$115,478; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$15,000 to \$151,000; \$60,303.

**PROGRAM ACCOMPLISHMENTS:**

Since its initiation in 2004, the Mineral Resource External Research Program (MRERP) has awarded more than \$1.8 million to 30 different research projects across the country. The MRERP has funded projects covering mineral deposit genesis, regional controls on minerals systems, mineral environmental characteristics of ore deposits, and materials flow studies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Jeff Doebrich, Associate Coordinator, Mineral Resources Program, Geological Survey, 913 National Center, Reston VA 20192. Telephone: (703) 648-6103.

Use same number for FTS. Fax: (703) 648-6057. E-mail address:

mrrerp@usgs.gov .

**Web Site Address:**

<http://minerals.usgs.gov/mrrerp> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Geochronology of mineralizing systems; Characterization of mine waste using state-of-the-art analytical techniques; Reconstruction of structurally dismembered mineral systems; Service lifetimes of mineral end uses.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels composed of expert scientists drawn from government, universities, and private industry evaluate all assistance applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.850 INDIAN ARTS AND CRAFTS DEVELOPMENT****FEDERAL AGENCY:**

INDIAN ARTS AND CRAFTS BOARD, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Act to Promote the Development of Indian Arts and Crafts as amended; Public Law 74-355, 42 Stat. 891-2, 62 Stat. 759, 25 U.S.C. 305,18 U.S.C. 1158-9; Indian Arts and Crafts Act of 1990, Title I, Sections 101-7; Public Law 101-644, 104 Stat. 4662-5; Indian Arts and Crafts Enforcement Act of 2000, Public Law 106-497, 114 Stat. 2219.

**OBJECTIVES:**

To encourage and promote the development of American Indian and Alaska Native arts and crafts.

**TYPES OF ASSISTANCE:**

Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Program planning assistance, such as the development of innovative educational, production, promotion, and economic concepts related to Native culture. Complaints about imitation American Indian arts and crafts that are misrepresented as genuine handcrafts are referred to appropriate Federal or local authorities for action. The three museums operated by the Board serve Indians and the general public: the Sioux Indian Museum, in Rapid City, South Dakota; the Museum of the Plains Indian, in Browning, Montana; and the Southern Plains Indian Museum, in Anadarko, Oklahoma. Advisory assistance only; no grants or other direct financial assistance is offered.

**Applicant Eligibility:**

American Indian and Alaska Native individuals and organizations, federally recognized Indian tribal governments, State and local governments, and nonprofit organizations.

**Beneficiary Eligibility:**

American Indian and Alaska Native individuals and organizations, federally recognized Indian tribal governments, State and local governments, and nonprofit organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit request to headquarters office.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Acknowledgement usually in 14 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Required only if appropriate to the type of assistance offered.

**Audits:**

Not applicable.

**Records:**

None.

**Account Identification:**

14-2100-0-1-999.

**Obligations:**

(Salaries and expenses) FY 07 \$1,057,000; FY 08 \$1,189,700; and FY 09 est \$1,195,700.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, advisory and other services were extended to the general public and to an estimated 6,500 Native artists and craftsmen on a continuing basis. In addition, the operation of three Indian museums provided professional museum services to over 200,000 individuals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 301, 304, 307, 308, 309, 310. "Fact Sheet: General Information about the Activities of the Indian Arts and Crafts Board." No charge.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Director, Indian Arts and Crafts Board, Room 4004-Main Interior Building, Washington, DC 20240. Contact: Meredith Z. Stanton, Director. Telephone: (202) 208-3773. Use the same number for FTS.

**Web Site Address:**

<http://www.iacb.doi.gov>.

**RELATED PROGRAMS:**

11.800, Minority Business Enterprise Centers.

**EXAMPLES OF FUNDED PROJECTS:**

Assistance to an Indian craftsmen's cooperative to plan a series of exhibitions to recognize and promote outstanding work by its members; assistance to an Indian tribe to plan fund-raising to operate a new museum facility; assistance to an Indian craftsman to locate a grant to set aside time for creative experimentation; assistance to an Indian artist to organize, publicize, and professionally install a one-person sales exhibition at an Indian Arts and Crafts Board museum; assistance to an Indian nonprofit organization to develop a comprehensive plan for a multi-facility cultural center.

**CRITERIA FOR SELECTING PROPOSALS:**

All requests receive a response. The depth and extent of assistance offered depend on: relevance to agency objectives; extent to which American Indians and Alaska Natives have had and will have control over any decision-making involved; artistic and/or professional quality and feasibility of the proposed project; anticipated benefits to American Indian and Alaska Native artists and craftsmen.

**15.875 ECONOMIC, SOCIAL, AND POLITICAL DEVELOPMENT OF THE TERRITORIES****FEDERAL AGENCY:**

OFFICE OF INSULAR AFFAIRS, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

The Guam Organic Act, 64 Stat. 384, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188.

**OBJECTIVES:**

To promote greater self-sufficiency through the social, economic, and political development of the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the commonwealth of the Northern Mariana Islands.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Financial assistance is limited to the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands as well as to organizations whose missions directly benefit these four territories. A notable exception is Compact Impact aid to Hawaii which is mandated by Public Law 108-188. Grant funds are provided for capital improvements, government operations, and technical assistance activities.

**Applicant Eligibility:**

Eligible applicants are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, as well as organizations whose missions directly benefit these four territories.

**Beneficiary Eligibility:**

Beneficiaries are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands.



**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12 Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62, identifies Federal cost principles for determining allowable costs.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102, OMB Circular No. A-110, and E.O. 12372.

**Application Procedure:**

Applications for technical assistance grants may be submitted at any time. Directed assistance application procedures, which make up the majority of the Office of Insular Affairs' (OIA) financial assistance, vary depending on the purpose of the funding. For capital improvement funds, call letters are sent out annually requesting spending plans from the 4 U.S. territories while government operations awards are made automatically once the funds are appropriated by the U.S. Congress. Direct payments are provided in accordance with laws and reports for Virgin Islands Rum Excise Tax advances and Guam Section 30 Income Tax Collection advances.

**Award Procedure:**

A grant award is made to each territorial government entity in the specific amounts and for the specific purposes set forth in the annual Department of the Interior and Related Agencies Appropriation Act signed by the President.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no formula requirements. The majority of OIA's financial assistance programs do not have a matching requirement. The two exceptions are the American Samoa Operations and Maintenance Set-Aside Program, which has a 50% local match requirement, and OIA's Operations and Maintenance Improvement Program (OMIP). However, OMIP match requirements are left to the discretion of the grant manager and may be waived should the application warrant it.

**Length and Time Phasing of Assistance:**

The period of performance for OIA grants is dependent on the activity to be funded and is specified in the grant terms and conditions. Payments are generally made through wire transfer arrangements.

**Reports:**

Reports that are required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be submitted on a timely basis as specified in the grant terms and conditions. Final reports are due within 90 days of grant completion or termination.

**Audits:**

In accordance with the provisions of OMB Circular A-133, (Revised, June 27, 2003) "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. Grants are also subject to inspection and audit by Interior's Office of the Inspector General, OIA staff, or any other authorized representative of the Federal government.

**Records:**

Record retention requirements are the same as those contained in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

Account Identification: 14-0412-0-1-806; 14-0414-0-1-806.

**Obligations:**

FY 07 \$225,892,000; FY 08 est \$223,475,000; and FY 09 est \$209,621,000.

**Range and Average of Financial Assistance:**

OIA financial assistance awards range from a few thousand dollars to tens of millions.

**PROGRAM ACCOMPLISHMENTS:**

OIA financial assistance has enabled the U.S. territories to develop economically, socially, and politically thereby fostering their self-sufficiency.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

The Budget and Grants Management Division or the Technical Assistance Division, Office of Insular Affairs, Department of the Interior, 1849 C Street, N.W., Washington, DC 20240. Telephone: (202) 208-6971 and Fax: (202) 208-

7585.

**Web Site Address:**

<http://www/doi.gov/oia>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Operational support to the American Samoa Government and grants for the construction of basic infrastructure including roads, water systems, power, sewer, schools, and hospitals.

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded:

(1) Directed appropriations, (2) Availability of funds; and (3) Relevance to program priorities.

**15.904 HISTORIC PRESERVATION FUND GRANTS-IN-AID****FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470 et seq.

**OBJECTIVES:**

To provide matching grants to States for the identification, evaluation, and protection of historic properties by such means as survey, planning technical assistance, acquisition, development, and certain Federal tax incentives available for historic properties; to provide matching grants to States to expand the National Register of Historic Places, (the Nation's listing of districts, sites, buildings, structures, and objects significant in American history, architecture, archaeology, engineering and culture at the National, State and local levels) to assist Federal, State, and Local Government agencies, nonprofit organizations and private individuals in carrying out historic preservation activities; and to provide grants to Indian Tribes and Alaskan Native Corporations to preserve their culture.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Matching grants can directly finance State staff salaries, equipment, and materials, and travel necessary to accomplish program purposes. States may transfer funds to third parties to carry out historic preservation activities such as surveys, preservation plans, National Register nominations, architectural plans and specifications, historic structures reports, and engineering studies necessary to restore properties listed on the National Register of Historic Places, and for acquisition or repair of these properties. Development projects must comprise one or more of the 4 allowable treatments defined in the "Secretary of the Interior's Standards for the Treatment of Historic Properties" (36 CFR 78). These treatments are preservation, restoration, rehabilitation, and reconstruction. Major reconstruction is not eligible. Other activities must meet the applicable Secretary of the Interior's Standards for Archeology and Historic Preservation. In 2004, the amount appropriated from the Historic Preservation Fund for financial assistance to the States, Territories, and the Freely Associated States of Micronesia, was \$35 million, with an additional \$3 million for grants to Indian tribes. In accordance with Section 102(a)(5) of the National Historic Preservation Act, as amended, grantees must agree to assume, after completion of the restoration project, the total cost of the continued maintenance, repair, and administration of the property in a manner satisfactory to the Secretary.

**Applicant Eligibility:**

Eligible applicants are States and Territories as defined in the National Historic Preservation Act, as amended, operating programs administered by a State Historic Preservation Officer appointed by the Governor or according to State law, and which are otherwise in compliance with the requirements of the Act. Eligible applicants for the Tribal Grant Program are Federally recognized Indian Tribes, Alaska Native Corporations, and Native Hawaiian organizations.

**Beneficiary Eligibility:**

Eligible beneficiaries include State and local governments, public and private nonprofit organizations, and individuals. According to their own priorities and plans, States select their own projects and may subgrant to public and private parties, including local governments, federally recognized Indian tribal governments, nonprofit and for-profit organizations, and/or individuals to accomplish program objectives. At least ten percent of each year's appropriation must be subgranted to local governments certified as eligible to carry out preservation functions according to 36 CFR 61. Grants are awarded at a ratio of 60 percent Federal, 40 percent State (public and/or private funds and/or allowable in-kind donations). American Samoa, Guam, Commonwealth of Northern Mariana Islands, Federated States of Micronesia, Republic of Palau, Republic of Marshall Islands and Virgin Islands are exempt from matching share per Public Law 96-205.

**Credentials/Documentation:**

Each State must have a qualified Review Board, employ professionally qualified staff, and maintain an approved statewide historic preservation plan in accordance with 36 CFR 61.

**Preapplication Coordination:**

The Annual Application from the State uses the standard application forms furnished by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Environmental impact assessment is required. E.O. 12372, "Intergovernmental Review of Federal Programs," applies. An applicant should consult the office or official designated as the Single Point of Contact in the State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application is made by the States for an annual grant in the form of planned activities and projects. 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements For Grants and Cooperative Agreements to State and Local Governments," applies to awards to States. Applicants for financial aid for subgrants and contracts must contact the State Historic Preservation Office for application information. Applicants for HPF Tribal Grant projects may contact the National Park Service; Telephone: (202) 354-2068.

**Award Procedure:**

The Annual appropriation is allocated by the Secretary of the Interior among States and Territories.

**Deadlines:**

Set dependent upon the date of enactment of appropriations for the fiscal year for which assistance is requested. States set subgrant deadlines.

**Range of Approval/Disapproval Time:**

Up to 1 month for Federal grants; subgrant time depends on State procedures.

**Appeals:**

None.

**Renewals:**

None. Grants to States are for 2 years, subject to "Use or Lose" procedures established by the Federal agency.

**Formula and Matching Requirements:**

Funds are allocated to States based upon population, land area, and previous funding levels. Award amounts are subject to the availability of funds.

**Length and Time Phasing of Assistance:**

Fiscal year in which funds are appropriated and one succeeding fiscal year.

**Reports:**

An annual performance report is required comparing planned accomplishments with actual results. Summary completion reports must be maintained for subgrant expenditures. Expenditure reports as specified in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" or in OMB Circular No. A-110 are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Full fiscal and project records to be maintained by grantees in accordance with OMB Circular Nos. A-87, and 43 CFR Part 12 for States and Tribes; OMB Circular Nos. A-122 and A-110 as required.

**Account Identification:**

14-5140-0-2-303.

**Obligations:**

(Grants) FY 07 est \$42,663,000; FY 08 \$45,774,600; and FY 09 est \$41,658,000.

**Range and Average of Financial Assistance:**

\$197,073 to \$1,194,000; \$661,017.

**PROGRAM ACCOMPLISHMENTS:**

See 15.914, National Register of Historic Places for the number of historic districts, individual properties, and National Historic Landmarks nominated because of the Historic Preservation Fund Grants-in-Aid Program. Since 1968, over \$1.3 billion has been awarded to 50 States and Territories, the National Trust, and Tribes. Over 850 subgrants were awarded by 59 State and Territorial grantees in Fiscal Year 2003. These categorical matching grants administered by the National Park Service provide partial funding support to State Historic Preservation Offices (SHPOs) in carrying out statutory responsibilities under the National Historic Preservation Act, as amended, for the following types of activities: (1) conducting a comprehensive survey of historic properties (12.4 million acres and 123,000 properties assessed) and maintaining inventories of information gained from such survey; (2) nominating properties to the National Register of Historic Places (1,450 nominations); (3) assisting and advising Federal and State agencies and local governments in carrying out their historic preservation responsibilities (e.g., 105,000 Federal projects reviewed); (5) cooperating with local governments in developing local historic preservation programs (total of 1,431 Certified Local Governments (CLGs); and (6) advising and assisting in the evaluation of proposals for rehabilitation projects that may qualify for Federal tax incentives (e.g., 3,400 Federal Tax Credit applications

reviewed). Some of the indicators of program success or outcome include: historic resources saved, customers satisfied, timely responses to requests, and increases in grant products such as those noted above.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A brochure describing the grant and related programs are available upon request from the Department of the Interior, National Park Service, 1849 C Street, N.W., Mail Stop 2255, Washington, DC 20240. See the "Catalog of Historic Preservation Publications." Important examples include: "The National Register of Historic Places," 1966-1994 issue, a softbound volume describing National Register properties published in conjunction with the National Trust for Historic Preservation Press and the National Conference for State Historic Preservation Officers, (John Wiley and Sons, Preservation Press, 1 Wiley Drive, Somerset, New Jersey 08875, Telephone 1-800-225-5945, Reference ISBN 0471-144-037), the Historic Buildings Preservation Briefs series; the Preservation Planning series; the Preservation Tech Note Series; and, the National Register Bulletin series. Program regulations are specified in Volume 36 of the Code of Federal Regulations. Program standards are found in "The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation."

**Regional or Local Office:**

State programs applicants should refer to Catalog Appendix IV for list of State Historic Preservation Offices. Contact the appropriate State agency for subgrant eligibility information. This list is also available on the National Park Services ParkNet, Links to the Past, World Wide Web site(<http://www.2cr.nps.gov>). Corrections and additions should be directed to Tawana Jackson, Heritage Preservation Services Division, National Park Service, 1849 C Street, NW., Mail Stop 2255, Washington, DC 20240, or E-mail: [Tawana\\_Jackson@nps.gov](mailto:Tawana_Jackson@nps.gov). Program inquiries should be directed to Hampton Tucker at [Hampton\\_Tucker@nps.gov](mailto:Hampton_Tucker@nps.gov).

**Headquarters Office:**

Associate Director, Cultural Resource Stewardship and Partnerships, National Park Service, Department of the Interior, Washington, DC 20240. Telephone: (202) 354-2054.

**Web Site Address:**

<http://www.family.info.gov.cfda.index.htm>.

**RELATED PROGRAMS:**

15.910, National Natural Landmarks Program; 15.912, National Historic Landmark; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

The listing of the first post-World War II development in the National Register of Historic Places. Designed by developer Edward Hawkins, Colorado's Arapaho Acres residential district, contains houses reflecting the International Style of architecture influenced by architect Frank Lloyd Wright; documentation of Blackbeard's flagship Queen Anne's Revenge, lost at Beaufort Inlet in 1718, by researchers with the North Carolina Department of Cultural Resource's Underwater Archeology Unit; restoration of the Chicago's Reliance Building, a National Historic Landmark, using the combined resources of the Federal Historic Preservation Tax Incentives Program, city, and private funding; and restoration of the Chickasaw White House by the Chickasaw Nation of Oklahoma. The Chickasaw White House, designed by former Chickasaw Governor Douglas Johnston and built in 1895, is listed in the National Register of Historic Places.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State selects subgrant proposals for funding in accordance with its own priorities.

**15.912 NATIONAL HISTORIC LANDMARK**

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Historic Sites Act of 1935, Public Law 74-292, 16 U.S.C. 461 et seq.; National Historic Preservation Act of 1966, as amended, Public Law 89-665, 16 U.S.C. 470(t); National Historic Preservation Act Amendments of 1980, Public Law 96-515; 16 U.S.C. 470.

**OBJECTIVES:**

To study, identify, and encourage preservation of nationally-significant historic properties; a bronze plaque is awarded in a presentation ceremony when requested. This provides permanent identification of nationally significant properties.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Properties recognized as National Historic Landmarks will, upon application by the owner or administrator, be awarded a bronze plaque attesting to the property's national significance. At the same time, the applicant is requested to observe certain simple preservation precepts with regard to the property. Should subsequent occurrences alter the historic qualities of the property, landmark status may be revoked and the plaque removed. Automatic listing of National

Historic Landmark properties in the National Register of Historic Places affords a degree of Federal protection under Section 106 of the Historic Preservation Act of 1966, and fulfills one of the prerequisites for Federal assistance under the National Register grants-in-aid program (see 15.904). Certain landmarks are also made eligible for Federal tax benefits and protections and technical preservation assessment and assistance.

**Applicant Eligibility:**

Anyone may suggest that a property be considered for inclusion in an appropriate National Historic Landmark theme study, provided the property has a high degree of historic integrity and potential national significance with relation to some broad facet of American history. The owner of the property may be an individual, government, or corporate body. Properties of only State or local significance do not qualify.

**Beneficiary Eligibility:**

Anyone may suggest that a property be considered for inclusion in an appropriate National Historic Landmark theme study, provided the property has a high degree of historic integrity and potential national significance with relation to some broad facet of American history. The owner of the property may be an individual, government, or corporate body. Properties of only State or local significance do not qualify.

**Credentials/Documentation:**

Request should be supported by full discussion of national significance of property and documented integrity.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

If the property is not listed in the National Register of Historic Places, write the National Historic Landmarks Survey giving a brief resume of the history of the property and its present condition and advising what assistance can be provided in the nomination process. If the property is already listed in the National Register, provide a brief resume of the historical facts that justify consideration of national significance. Properties nominated to, or already listed in, the National Register of Historic Places at a national level of significance by the State Historic Preservation Officer may be reviewed by the National Historic Landmarks Survey staff.

**Award Procedure:**

When the property has been investigated, findings, in the form of a thorough NHL nomination form, are presented to the National Park System Advisory Board which evaluates the property's national significance and high integrity and recommends a final action to the Secretary of the Interior. Owners of proposed landmarks are contacted prior to a landmark study, given an opportunity to comment on a final study, and then notified after designation of the landmark.

**Deadlines:**

Varies with dates of twice yearly Advisory Board meetings. National Historic Landmarks Survey staff sets deadlines for nominations before Advisory Board meetings.

**Range of Approval/Disapproval Time:**

Determined by scheduling of theme studies, availability of staff or funds, and proximity to twice yearly Advisory Board meetings.

**Appeals:**

Owner comments are sought prior to the meeting of the Advisory Board. Board meetings are open to the public. Appeals process is outlined in program regulations.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

National Park Service personnel make periodic inquiries and inspections to determine continuing eligibility of National Historic Landmark properties and to identify those which exhibit known or anticipated damage or threats to the integrity of their resources.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Salaries and expenses) FY 07 \$787,000; FY 08 est \$790,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

List of National Historic Landmarks available upon request. Regulations were published in the "Federal Register" on February 2, 1983. Copies of regulations

also available upon request. Upon request, a bulletin on "How to Prepare National Historic Landmark Nominations" is available. The documents are also available at the NHL website <http://www2cr.nps.gov/nhl>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

National Historic Landmarks Survey, NRHE, National Park Service, Department of the Interior, 1849 C St., N.W., Mail Stop 2280, Washington, DC 20240. Telephone: (202) 354-2210. Program inquiries should be directed to Paul Loether E-mail: [Paul\\_Loether@nps.gov](mailto:Paul_Loether@nps.gov).

**Web Site Address:**

<http://www.cr.nps.gov/nhl>.

**RELATED PROGRAMS:**

15.904, Historic Preservation Fund Grants-In-Aid; 15.910, National Natural Landmarks Program; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

National Historic Landmarks are automatically entered in the National Register of Historic Places. See Uses and Use Restrictions for funding project capability.

**CRITERIA FOR SELECTING PROPOSALS:**

See program 15.914, National Register of Historic Places.

## 15.914 NATIONAL REGISTER OF HISTORIC PLACES

(National Register)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

National Historic Preservation Act of 1966, as amended, Public Law 89-665, 16 U.S.C. 470, 80 Stat. 915 et seq.; Executive Order 11593, May 13, 1971; Tax Reform Act of 1976, Public Law 94-455; Public Law 94-442; 90 Stat. 1519; Revenue Act of 1978; Public Law 95-600; National Historic Preservation Act Amendments of 1980; Public Law 96-515; Tax Treatment Extension Act of 1980; Public Law 96-541; Economic Recovery Tax Act of 1981, Public Law 97-340; Tax Reform Act of 1984, Public Law 98-369; Tax Reform Act of 1986, Public Law 99-514; National Historic Preservation Act Amendments of 1992, Public Law 102-575; Executive Order 13287, March 3, 2003.

**OBJECTIVES:**

To expand and maintain the National Register of Historic Places for planning, preservation, research, public education and tourism efforts; to make the information on districts, sites, buildings, structures and objects of historical, architectural, archeological, engineering and cultural significance more accessible to the public in order to increase and broaden the public's understanding of the information, foster a national preservation ethic, and to promote greater appreciation of America's heritage; to coordinate with Federal agencies, State and Tribal preservation offices, and the Advisory Council on Historic Preservation in the implementation of laws and policies pertaining to historic preservation; and to establish liaison with and give guidance to communities under Title I of the Housing and Community Development Act of 1974 (see 14.218).

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Professional advice is provided in determining whether a property qualifies for inclusion in the National Register according to the Criteria for Evaluation contained in 36 CFR Part 60. Listing does not affect the range of actions an owner may take, as long as Federal funding, licensing or assistance is not involved and no governmental unit receives any authority or control over the property, including its use and disposition. However, if a Federal project might have an effect on a property listed or eligible for listing, the agency involved must provide the Advisory Council on Historic Preservation a reasonable opportunity to comment pursuant to 36 CFR Part 800. Registered properties also become eligible to receive grants from the Historic Preservation grant-in-aid program of the Department of the Interior (see 15.904), when funding is available, to receive home improvement loans from the Department of Housing and Urban Development under Title I of the National Housing Act as amended on October 18, 1974, or to participate in the community grant program provided by the Housing and Community Development Act of 1974. Major Federal tax advantages can be received on certain rehabilitation expenditures for "certified historic structures" and for charitable contributions for conservation purposes of partial interests in historic properties.

**Applicant Eligibility:**

Eligible applicants are the States and territories as defined in the National Historic Preservation Act, operating under programs administered by State Historic Preservation Officers appointed by the Governors (listed in Appendix IV of the Catalog); or the Tribal Preservation Officers; Federal agencies required to nominate and consider historic properties within their jurisdiction or as a result of the National Environmental Policy Act of 1969 and Executive Order 11593, and the National Historic Preservation Act operating under programs



administered by representatives (listed in Appendix IV of the Catalog) appointed by the heads of the agencies; and, in States without approved State Historic Preservation Programs, persons and local governments. Applicants eligible for Federal Tax benefits include owners of individually listed properties and properties certified by the Secretary of Interior as being historic and in a district certified as historic.

**Beneficiary Eligibility:**

Public and private owners of historic properties listed in the National Register of Historic Places or of properties certified by the Secretary of Interior as being historic and in a district certified as historic.

**Credentials/Documentation:**

Nominations are submitted on standard nomination forms provided upon request to the State Historic Preservation Officers, Federal Preservation Officers, and Tribal Preservation Officers who must certify that each property was properly nominated. Procedures for National Register nominations are found in 36 CFR Part 60. Request for determinations of eligibility must be adequately documented as described in Appendix A of 36 CFR Part 63. Requests for certification of historic properties must be documented as described in Section 36 CFR Part 67 and requests for certification of State and local statutes and districts must be documented as described in Section 36 CFR Part 67. To participate in the program, each State must have an approved review board, an approved State staff, and an accepted State historic preservation plan.

**Preapplication Coordination:**

For National Register nominations the signature of the State Historic Preservation Officer on the nomination form certifies that the State review board has reviewed the nomination and that all applicable procedures, including notification to the property owner at least once during the nomination process, have been followed. The signature of the Federal Preservation Officer for Federal property or the Tribal Preservation Officer on Tribal lands on the nomination form certifies that the property has been nominated in compliance with the National Historic Preservation Act. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Anyone may prepare a National Register nomination. After the property is approved by the State Historic Preservation Officer, Tribal Preservation Officer, or Federal Preservation Officer, the nomination form or letter of request for a determination of eligibility should be forwarded to the Keeper of the National Register, National Park Service, Department of the Interior, 1849 C Street, NW, Mail Stop 2280, Washington, DC 20240. Nominations submitted for review are announced in the Federal Register to provide a period of comment. Documentation for certification for Federal tax benefits of historic buildings and structures, State and local statutes and districts should be forwarded to the appropriate State Historic Preservation Office, which sends it to the appropriate National Park Service Office.

**Award Procedure:**

The professional review staff of the National Register determines whether the properties meet the National Register criteria as contained in 36 CFR Part 60. Properties that meet the criteria are then officially listed in the National Register and become eligible for Federal tax benefits and Historic Preservation Fund grants when they are available.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

After nomination by State, 45 days at Federal level.

**Appeals:**

A nomination returned to the States, Tribes, or Federal agencies may be resubmitted, depending upon the reason for its rejection. Appeals for listing and removal may be made in accord with 36 CFR 60.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Salaries and expenses) FY 07 \$1,700,000; FY 08 est \$1,700,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Part 60; 36 CFR Part 63; 36 CFR Part 67, The National Register of Historic Places, a free leaflet explaining the program, Guidelines for Completing National Register of Historic Places Forms, and other technical guidance are available from the National Register of Historic Places Reference Desk, National Register, History, and Education, 1849 C Street, N.W., (Mail Stop 2280) Washington, DC 20240 ([www.cr.nps.gov/nr/publications](http://www.cr.nps.gov/nr/publications)). Lists of nominations submitted to the National Register for review are published in the Federal Register. The National Register database of all listings is accessible through the Internet at <http://www.cr.nps.gov/nr>.

**Regional or Local Office:**

See Appendix IV for list of State Historic Preservation Officers and National Park Service Regional Offices.

**Headquarters Office:**

Keeper of the National Register of Historic Places, National Register of Historic Places, National Register, History, and Education, National Park Service, Department of the Interior, 1849 C Street, N.W., Mail Stop 2280, Washington, DC 20240. Telephone: (202) 345-2213. Program inquiries should be directed to Paul Loether at [Paul\\_Loether@nps.gov](mailto:Paul_Loether@nps.gov).

**Web Site Address:**

<http://www.cr.nps.gov/nr>.

**RELATED PROGRAMS:**

14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 15.904, Historic Preservation Fund Grants-In-Aid; 15.910, National Natural Landmarks Program; 15.915, Technical Preservation Services; 15.912, National Historic Landmark.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for Evaluation: The following criteria are designed to guide the States and the Secretary of the Interior in evaluating potential entries (other than areas of the National Park System and National Historic Landmarks) to the National Register: The quality of significance in American history, architecture, archeology, engineering, and culture is present in districts, sites, building, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and; (A) that are associated with events that have made a significant contribution to the broad patterns of our history; or (B) that are associated with the lives of persons significant in our past; or (C) that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or (D) that have yielded, or may be likely to yield, information important in prehistory or history. Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories. (A) a religious property deriving primary significance from architectural or artistic distinction or historical importance; or (B) a building or structure removed from its original location but which is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or (C) a birthplace or grave of a historical figure of outstanding importance if there is no other appropriate site or building directly associated with his productive life; or (D) a cemetery which derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or (E) a reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or (F) a property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own historical significance, or (G) a property achieving significance within the past 50 years if it is of exceptional importance.

**15.915 TECHNICAL PRESERVATION SERVICES**

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Executive Order 11593, May 13, 1971; Federal Property and Administrative Services Act of 1949, as amended, Public Law 81-152, 40 U.S.C. 471; National Historic Preservation Act of 1966, as amended, Public Law 89-665, 80 Stat. 915, 16 U.S.C. 470 et seq.; Tax Treatment Extension Act of 1980, Public Law 96-541, Public Law 95-600; General Authorities Act of 1976; Mining in National Parks Act of 1976; Tax Reform Act of 1986, Public Law 99-514.

**OBJECTIVES:**

To establish technical preservation policies and standards and to develop technical information for the treatment of historic properties. This includes

development and distribution of the "Secretary of the Interior's Standards for Historic Preservation Projects," which provide guidance regarding all aspects of preservation work for the use of Federal, State and local officials, property owners, developers, and architects. To review rehabilitations of investment property for the 20% investment tax credit. To advise Congress and Federal agencies on the preservation of historic properties. This includes developing and disseminating policies and the regional inspection procedures for the monitoring of national historic landmarks, and preparing the annual report to Congress on endangered national historic landmarks. To provide policy direction and guidance on Federal surplus properties which are available for transfer for historic monument purposes.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Dissemination of Technical Information; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Technical information is provided to assist Federal agencies, State and local governments, and owners of certified historic structures to preserve and maintain historic properties under their jurisdiction or control. For matching grants, see 15.904, Historic Preservation Grants-in-Aid.

**Applicant Eligibility:**

Federal agencies, State and local governments, and individuals. For Grants-in-Aid program, see 15.904, Historic Preservation Grants-in-Aid.

**Beneficiary Eligibility:**

Federal agencies, State and local governments, and individuals. For Grants-in-Aid see program 15.904, Historic Preservation Grants-in-Aid.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Contact by letter or telephone communication to the State Historic Preservation Officer or the Headquarters Office for technical information or for information on the Historic Preservation Tax Incentives Program; through NPS regional office for surplus property; for Grants-in-Aid see 15.904, Historic Preservation Grants-in-Aid. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By Historic Preservation Certification Application (OMB No. 1024-0009) through the appropriate State official or NPS regional office. For Grants-in-Aid, see 15.904, Historic Preservation Grants-in-Aid.

**Award Procedure:**

The Annual appropriation is allocated by the Secretary of the Interior among States and Territories.

**Deadlines:**

None. Applications are taken at any time during the year. Applicants are strongly urged to apply before rehabilitation work begins on a historic building.

**Range of Approval/Disapproval Time:**

Decisions normally are made within 30 days of receipt of review fee, but the time can vary according to the nature of problems encountered and range of alternatives.

**Appeals:**

None.

**Renewals:**

None. Grants to States are for 2 years, subject to "Use or Lose" procedures established by the Federal agency.

**Formula and Matching Requirements:**

None. Tax credit is determined by the amount of qualified rehabilitation expenditures.

**Length and Time Phasing of Assistance:**

Fiscal year in which funds are appropriated and one succeeding fiscal year.

**Reports:**

Completed rehabilitation work must be documented in photographs submitted with the Request for Certification Work (NPS Form 10-168c).

**Audits:**

The Secretary of the Interior reserves the right to inspect the property at any time up to 5 years after the completion of the rehabilitation and to withdraw certification of rehabilitation work not undertaken as described or of additional unapproved project work undertaken inconsistent with the Secretary of the Interior's Standards for Rehabilitation.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Salaries and expenses) FY 07 \$1,600,000; FY 08 est \$1,600,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The Heritage Preservation Services Program prepares publications on historic structure preservation and rehabilitation for wide distribution to Federal, State, and local agencies, including a series of Preservation Briefs. Each Preservation Brief provides useful information about a technical problem encountered

frequently at all levels of preservation. The division is also responsible for the review and evaluation of rehabilitation proposals and certification of work for certified historic structures under the Tax Reform Act of 1986 and other applicable legislation. As of September 30, 2003, an estimated 31,000 rehabilitations of historic buildings have been approved, representing an investment in America's historic resources of \$31.4 billion. The division, through the regional offices, is responsible for the review of rehabilitation and reuse proposals submitted with State and local government applications for the transfer of federally-owned surplus historic properties. The division provides general technical assistance to private organizations, individuals, and local governments; evaluates the inspection reports prepared by the field area offices and compiles them for reports to Congress on the status of endangered and threatened national historic landmarks. The Heritage Preservation Services Program is responsible for monitoring acquisition and development awards made under the Historic Preservation Fund grant program (15.904), as available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Part 67 (for tax incentives program). Treasury Regulations Section 1.48-12. For a free catalog listing publications of the Cultural Resources programs of the National Park Service, write Headquarters Office listed below or see website at <http://www2.CR.NPS.GOV>.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Heritage Preservation Services Program, National Park Service, Department of the Interior, 1849 C Street, N.W., ORG 2255, Washington, DC 20240. Telephone: (202) 513-7270. Program inquiries should be directed to Andrew Ferrell E-mail: [Andrew\\_Ferrell@nps.gov](mailto:Andrew_Ferrell@nps.gov).

**Web Site Address:**

[HTTP://WWW.CR.NPS.GOV](http://WWW.CR.NPS.GOV).

**RELATED PROGRAMS:**

15.904, Historic Preservation Fund Grants-In-Aid; 15.910, National Natural Landmarks Program; 15.914, National Register of Historic Places.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 15.916 OUTDOOR RECREATION-ACQUISITION, DEVELOPMENT AND PLANNING

(Land and Water Conservation Fund Grants)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

16 U.S.C. 1-4 et seq.; Land and Water Conservation Fund Act of 1965, Public Law 88-578, 78 Stat. 897, as amended; Public Law 90-401, 82 Stat. 354; Public Law 91-485, 84 Stat. 1084; Public Law 91-308, 84 Stat. 410; Public Law 92-347, 86 Stat. 460; Public Law 93-81, 87 Stat. 178; Public Law 94-422, 90 Stat. 1313; Public Law 95-42, 91 Stat. 210; Public Law 100-203, 101 Stat. 1330.

**OBJECTIVES:**

To provide financial assistance to the States and their political subdivisions for the preparation of Statewide Comprehensive Outdoor Recreation Plans (SCORPs) and acquisition and development of outdoor recreation areas and facilities for the general public, to meet current and future needs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Acquisition and development grants may be used for a wide range of outdoor recreation projects, such as picnic areas, inner city parks, campgrounds, tennis courts, boat launching ramps, bike trails, outdoor swimming pools, and support facilities such as roads, water supply, etc. Facilities must be open to the general public and not limited to special groups. Development of basic rather than elaborate facilities is favored. Fund monies are not available for the operation and maintenance of facilities. Grants are also available to States only for revising and updating existing SCORPs preparation of new plans and for statewide surveys, technical studies, data collection and analysis and other planning purposes which are clearly related to SCORP refinement and improvement. Every site acquired or developed with assistance under this program must remain available and accessible for public outdoor recreation use in perpetuity.

**Applicant Eligibility:**

For planning grants, only the State agency formally designated by the Governor or State law as responsible for the preparation and maintenance of the Statewide Comprehensive Outdoor Recreation Plan is eligible to apply. (Treated as States in this regard are the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, and Guam.) For acquisition and development grants, the above designated agency may apply for assistance for itself, or on behalf of other State agencies or political subdivisions, such as cities, counties, and park districts. Additionally, Indian tribes which are

organized to govern themselves and perform the function of a general purpose unit of government qualify for assistance under the program. Individuals and private organizations are not eligible.

**Beneficiary Eligibility:**

The general public. For planning grants, same as Applicant Eligibility.

**Credentials/Documentation:**

The State Liaison Officer (SLO), appointed by the Governor to administer the program in the State, must furnish assurance that the project is in accord with the State Comprehensive Outdoor Recreation Plan; i.e., that it meets high priority recreation needs shown in the action program portion of the plan. The State's apportionment balance of fund monies must be adequate for the project, and the sponsoring agency must permanently dedicate the project to public outdoor recreation and assume responsibility for operation and maintenance. SCORPs must cite the State's legal authority to participate in the Land and Water Conservation Fund program. Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. Applicant is required to furnish basic environmental information or evaluation. Assessment by the National Park Service will determine whether an environmental impact statement will be prepared. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is covered under OMB Circular No. A-102.

**Application Procedure:**

Project proposals are submitted to the National Park Service through the State liaison officer designated by the Governor. The State Liaison Officer has the initial prerogative of determining acquisition and development project eligibility, priority need, and order of fund assistance within the State. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Proposals are reviewed by the NPS field office, where final action may be taken.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately 20 days for acquisition and development projects; 60 days for planning projects.

**Appeals:**

State may appeal to the Secretary of the Interior.

**Renewals:**

Project agreements may be amended to change the scope, amount, or duration. Must be approved by the National Park Service.

**Formula and Matching Requirements:**

The Land and Water Conservation Fund Act specifies that not more than 50 percent of the project cost may be federally financed. Under certain conditions, all or part of the project Sponsor's matching share may be from certain other Federal assistance programs, such as Title I Community Development, Appalachia and all other Regional Commissions. Forty percent of the first \$225 million; thirty percent of the next \$275 million; and twenty percent of all additional appropriations is apportioned equally among the States. The remaining appropriation is apportioned on the basis of need. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available for obligation during the fiscal year in which appropriated and for the two following fiscal years. The assistance period for individual projects varies and may be extended. Complex projects may be broken down into stages, with one being initially approved and the remainder qualified for activation at a later date. Except for project preparation costs, all costs must be incurred within the project period. Planning projects may not be phased.

**Reports:**

State inspection reports are submitted every 5 years on completed projects stating whether the properties acquired and/or developed with fund assistance are used in accordance with the agreement. For planning projects, end products are specified in the application for assistance. Reports are required with billings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Maintain records to facilitate audit, including records that fully disclose the amount and disposition of assistance; the total cost of the project; and the amount and nature of that portion of the cost supplied by other sources.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Grants) FY 07 \$27,994,976; FY 08 \$23,133,400; and FY 09 est \$6,314,000.

**Range and Average of Financial Assistance:**

\$150 to \$5,450,000; \$68,178.

**PROGRAM ACCOMPLISHMENTS:**

Since the programs inception in 1964, over \$3.5 billion had been made available to State and local units of government to assist in planning, acquiring and developing public outdoor recreation areas and facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Brochure available from the Department of the Interior, National Park Service, MS-2225, 1849 C Street, Washington, DC 20240, free. Regulation: 36 CFR Part 59, FR 51 No. 186, September 25, 1986 (amended June 15, 1987).

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Recreation Programs, National Park Service, (2225), Department of the Interior, 1849 C Street, NW., Washington, DC 20240. Telephone: (202) 354-6900. FAX: (202) 371-5179, e-mail: waso\_recgrants@nps.gov. Program inquiries should be directed to Michael D. Wilson at Michael\_D\_Wilson@nps.gov.

**Web Site Address:**

<http://www.nps.gov/lwcf>.

**RELATED PROGRAMS:**

15.919, Urban Park and Recreation Recovery Program; 15.918, Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments.

**EXAMPLES OF FUNDED PROJECTS:**

Acquisition and development grants may be used for a wide range of outdoor recreation projects, such as picnic areas, inner city parks, campgrounds, tennis courts, boat launching ramps, bike trails, outdoor swimming pools, and support facilities such as roads, water supply, etc.

**CRITERIA FOR SELECTING PROPOSALS:**

At the Federal level each project must be in accord with a State Comprehensive Outdoor Recreation Plan. Beyond this, the selection of projects is made by the State Liaison Officer of each State who is responsible for the administration of the 15.916 program in his State.

## 15.918 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY FOR PARKS, RECREATION, AND HISTORIC MONUMENTS

(Surplus Property Program; Federal Lands to Parks Program; Historic Surplus Property Program)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

40 U.S.C. 550(b), (e), and (h), Public Law 107-217, originally under the Federal Property and Administrative Services Act of 1949, Section 203(k), 63 Stat. 385 as amended, 40 U.S.C. 484, Public Law 91-485; Federal Lands for Parks and Recreation, 16 U.S.C. 4601-5.

**OBJECTIVES:**

To transfer surplus Federal real property for public park and recreation use, or for use of historic real property.

**TYPES OF ASSISTANCE:**

Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:**

Surplus real property may be conveyed for public park and recreation use at discounts up to 100 percent of fair market value and for historic purposes without monetary consideration. Property conveyed for park and recreation use or historic purposes must be used for these purposes in perpetuity or be reverted to Federal ownership.

**Applicant Eligibility:**

Only State or local units of government are eligible to apply for surplus real property for public park and recreation and historic purposes, and must agree to manage the property in the public interest and for public use (in the case of park and recreation purposes). Only properties listed in or eligible for listing the National Register of Historic Places may be transferred through the Historic Surplus Property Program.

**Beneficiary Eligibility:**

Only State or local units of government are eligible to apply for surplus real property for public park and recreation and historic purposes, and must agree to manage the property in the public interest and for public use (in the case of park and recreation purposes). Property conveyed for historic purposes may under certain circumstances be used for revenue-producing activities to support the



historic property, and such activities may be eligible for Federal Historic Preservation Tax Incentives.

**Credentials/Documentation:**

The applicant must submit an application, proposed program of use for the property and evidence of its ability to finance the program. Additionally, applicants under the Historic Surplus Property Program must submit an architectural plan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Park and recreation and historic applications are coordinated by the National Park Service, Department of the Interior, and the General Services Administration, or in the case of legislated military base closures, the Department of Defense and its military components. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Applications for park and recreation use and historic uses are submitted to the appropriate National Park Service Regional Office. Application forms are issued by the National Park Service. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Upon approval of a park and recreation application, the National Park Service will request GSA or DOD military service, in the case of base closures, to assign the property to the Secretary of the Interior for transfer. Upon assignment by DOD or GSA, the National Park Service will transfer the property to the applicant, in the case of park and recreation transfers. Historic transfers are made by GSA or DOD.

**Deadlines:**

The National Park Service (or an eligible applicant for a historic monument transfer) must notify the General Services Administration within 20 calendar days after the date of the notice of determination of surplus if it has an eligible applicant interested in acquiring the property, or otherwise comply with the DOD Base Realignment and Closure planning and disposal schedules. For a park and recreation transfer, the National Park Service must request assignment of property from GSA within 25 calendar days after the expiration of the 20 day period, or otherwise comply with DOD Base Realignment and Closure (BRAC) planning and disposal schedules. For a historic monument transfer, GSA or the DOD military service, in the case of base closures, deeds the property directly to the approved applicant.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Recipients of surplus properties are required to submit biennial compliance reports on the use of the property.

**Audits:**

The National Park Service conducts periodic on-site compliance inspections to assure that the properties are being utilized for the purposes for which they are conveyed. Properties in noncompliance may be reverted back to the Federal Government.

**Records:**

The National Park Service maintains official records concerning the property.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

Federal Lands to Parks: FY 07 \$556,000; FY 08 \$565,000; and FY 09 est \$575,000. Historic Monuments: FY 07 \$145,000; FY 08 \$150,000; and FY 09 est \$150,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Since 1949, over 1,400 properties comprising over 156,000 acres have been transferred to State and local governments for park and recreation purposes, and approximately 130 properties for historic purposes. In fiscal year 2004, 25 properties (3,494 acres) were transferred for park and recreation purposes through the Federal Lands to Parks Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Federal Lands to Parks Program," 1997 brochure (no charge), "Historic Surplus Property Program," 1998 brochure published by the National Park Service (no charge), "Disposal of Surplus Real Property," booklet published by the General Service Administration (no charge). 40 U.S.C. 550(b), (e), and (h), Public Law 107-217.

**Regional or Local Office:**

Applicants for historic purposes are requested to contact the following National

Park Service Offices: the Alaska Support Office; Intermountain Region-Santa Fe Office; Midwest Region; Northeast Region-Philadelphia Office; Pacific West Region-Seattle Office; or the Southeast Region. (See Catalog Appendix IV for addresses.) Applicants for parks and recreation purposes should contact the National Park Service Offices: Northeast Region, Boston, MA office; Southeast Region, Atlanta, GA; Western Region, Oakland, CA.

**Headquarters Office:**

National Park Service, Heritage Preservation Services, Historic Surplus Property Program, 1849 C Street, N.W., (Org. Code 2255), Washington, DC 20240. Contact: Gary Sachau, Telephone (202) 354-2044. National Park Service, Recreation Programs Division, Federal Lands to Parks Program, 1849 C Street N.W., Org. Code 2225, Program Contacts: Michael D. Wilson and Wendy Ormant, Telephone: (202) 354-6915.

**Web Site Address:**

Historic Surplus Property Program: [http://www.cr.nps.gov/hps/tps/hsp\\_p.htm](http://www.cr.nps.gov/hps/tps/hsp_p.htm). Federal Lands to Parks Program: <http://www.nps.gov/flp>.

**RELATED PROGRAMS:**

15.916, Outdoor Recreation Acquisition, Development and Planning; 39.002, Disposal of Federal Surplus Real Property; 93.291, Surplus Property Utilization; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

Hiking, Bicycling and/or Equestrian Trails; Nature Study Areas - Wildlife Conservation Areas; Developed Play Areas; State and Regional Parks; Arts/Crafts Centers; Youth and Senior Citizen Areas; Historic Buildings and/or Archeological Areas.

**CRITERIA FOR SELECTING PROPOSALS:**

Suitability of real property for the proposed use and the ability of the applicant unit of government to carry out the proposed program of use.

## 15.921 RIVERS, TRAILS AND CONSERVATION ASSISTANCE

(Rivers and Trails or RTCA)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended, Public Law 90-542; National Trails System Act, 16 U.S.C. 1241 as amended, Public Law 90-543; Outdoor Recreation Act of 1963, 16 U.S.C. 4601-3, Public Law 88-29; Federal Power Act, 16 U.S.C. 797-828c.

**OBJECTIVES:**

The Rivers, Trails and Conservation Assistance Program implements the natural resource conservation and outdoor recreation mission of the National Park Service in communities across America. RTCA will help create local, regional and state networks of parks, rivers, trails, greenways and open spaces by collaborating with community partners and National Park areas in every state.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Private nonprofit organizations and Federal, State and local government agencies.

**Beneficiary Eligibility:**

Private nonprofit organizations and Federal, State and local government agencies.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program advice and information is available from the appropriate NPS Regional Office or the National Office. Consultation with an RTCA staff before an application for assistance is made helps clarify RTCA roles and contributions and also helps identify how the selection criteria might apply to your conservation and outdoor recreation goals. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Information is available electronically at <http://www.nps.gov/rtpca> or you may contact the appropriate regional RTCA program leader. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Decisions are based upon adherence to program criteria and the level of available staff time.

**Deadlines:**

Proposals should be submitted by August 1 for the following fiscal year.

**Range of Approval/Disapproval Time:**

Generally about 4 months.

**Appeals:**

None.

**Renewals:**

Assistance is for one year and may be renewed for a second year if warranted.

**Formula and Matching Requirements:**

No fixed amount. Applications must demonstrate commitment by interested public agencies and non-profit organizations.

**Length and Time Phasing of Assistance:**

Generally 1 to 2 years.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

FY 07 \$7,697,000; FY 08 est \$7,600,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None. Staff assistance only.

**PROGRAM ACCOMPLISHMENTS:**

NPS Rivers and Trails has played a major role in community conservation and recreation through citizen-led, partnership approaches to river protection, trail development and land conservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project reports are available from NPS offices and the Web.

**Regional or Local Office:**

Applicants are requested to communicate with National Park Service Regional Offices. Refer to Catalog Appendix IV or the web site, <http://www.nps.gov/rzca>, for addresses.

**Headquarters Office:**

Chief, Rivers, Trails and Conservation Assistance, National Park Service, 1849 C Street, N.W., (ORG CODE 2235), Washington, DC 20240. Telephone: (202) 354-6900. Program inquiries should be directed to Charlie Stockman at E-mail: [Charlie\\_Stockman@nps.gov](mailto:Charlie_Stockman@nps.gov).

**Web Site Address:**

<http://www.nps.gov/rzca>.

**RELATED PROGRAMS:**

15.916, Outdoor Recreation Acquisition, Development and Planning; 15.918, Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments; 15.919, Urban Park and Recreation Recovery Program.

**EXAMPLES OF FUNDED PROJECTS:**

Develop new trails and greenways; conserve and restore river resources, access and views; convert abandoned railways to multi-purpose trails; promote and develop systems of trails and greenways; preserve open space; and establish new conservation organizations and alliances. Examples of Rivers and Trails projects include: (1) The Lakes-To-Locks Water Trail in Puget Sound includes over 100 miles of shoreline and 100 launch and landing sites. The Rivers & Trails Program worked with the Washington Water Trails Association to build a broad-based constituency, to provide assistance in trail development, marketing, and map publication, and to help empower our partners to see their project goals come to life. (2) In New York, a 15-mile multi-use trail is being planned to connect four state parks and the communities of Ithaca and Trumansburg. Rivers & Trails has facilitated community involvement in the planning for the Black Diamond Trail, one success of which was to organize a Community Volunteer Work Day bringing together a local hospital, college students, youth groups and neighbors. (3) Along the Los Angeles River, Rivers & Trails worked with Los Angeles County to complete a master plan which has spun off multiple open space projects. For example, the opening of the one-mile Los Feliz section was celebrated by volunteers, neighborhood residents, and representatives of government associated with the project. The Los Angeles River offers an example of an effort enjoying lasting success. (4) Rivers & Trails Philadelphia based staff developed one of our first partnerships with the health care community in a project known as Wyoming Valley Wellness Trails in Luzerne county, Pennsylvania. The project focused on the development of a sustainable partnership to implement a trail system in a region with a strong community health initiative and provided opportunities for public participation through workshops and information meetings.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Initial project partners are identified and a lead project partner is designated. Note: The lead partner may be a federal agency, state or local agency, tribe, non-profit organization, or citizens' group. Federal agencies, including the National Park Service, maybe the lead partner only in collaboration with a nonfederal partner. (2) Project has specific, partner- defined goals and anticipated measurable results that are: clearly stated; support the National Park Service mission and RTCA mission and strategic plan goals; protect important natural resources or enhance outdoor recreation opportunities; and will have results that occur within an appropriate timeframe. (3) There is a commitment by lead project partners to significant public involvement and outreach in the project. (4) Roles and contributions of initial project partners, including RTCA, are identified. There is a commitment by initial project partners to cooperate and to provide or obtain the resources necessary to implement the project. (5) There is

evidence of broad support for the project. Preference is given to a project that also: (a) provides physical connections among resources; (b) includes an NPS area as an actively involved project partner; (c) includes both natural resource conservation and outdoor recreation; (d) partners with a health organization.

## 15.922 NATIVE AMERICAN GRAVES PROTECTION AND REPATRIATION ACT

(NAGPRA)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Native American Graves Protection and Repatriation Act of 1990 (NAGPRA); Section 10, Public Law 101-601, 25 U.S.C. 3008.

**OBJECTIVES:**

To provide grants to museums to assist in the consultation on and documentation of Native American human remains and cultural items; to provide grants to Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations to assist in identifying human remains and cultural items, including sacred objects, with which they are culturally affiliated; and to provide grants to museums, Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations to assist in the repatriation of human remains and cultural items which they are culturally affiliated.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project grants may support the following: Consultation/Documentation grants for museums may be used to: (a) bring lineal descendants, traditional religious leaders, and authorized representatives of Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations to inspect collections and consult regarding the identification, cultural affiliation, proper care, treatment, and repatriation of Native American cultural items; (b) bring traditional religious leaders, and authorized representatives of Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations to inspect collections and consult regarding culturally unidentifiable Native American human remains; (c) provide NAGPRA training for staff members; (d) fund travel by staff members to consult with lineal descendants, traditional religious leaders, and Indian tribe, Alaska Native village and corporation, and Native Hawaiian organization officials regarding the proper care, treatment, and disposition of Native American cultural items; and (e) update documentation of unassociated funerary objects, sacred objects, and objects of cultural patrimony in consultation with lineal descendants, traditional religious leaders, and authorized representatives of Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations. Consultation/Documentation grants for Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations may be used to: (a) assess and evaluate summaries, inventories, and other documentation provided by museums and Federal agencies; (b) provide NAGPRA training for staff members; (c) communicate with museum and Federal agency officials regarding culturally affiliated human remains and cultural items; (d) travel to inspect collections and consult with museum and Federal agency officials regarding the identification, cultural affiliation, proper care, treatment, and repatriation of Native American human remains and other cultural items; (e) travel to consult with museum and Federal agency officials regarding culturally unidentifiable Native American human remains; (f) document the cultural affiliation of Native American human remains and other cultural items currently in the control of museums and Federal agencies. Repatriation grants for museums, Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations may be used for: (a) travel by authorized representatives of Indian tribes, Alaska Native villages and corporations, Native Hawaiian organizations, or museums to accept and/or accompany human remains or other cultural items that are being repatriated; (b) transportation of Native American human remains or other cultural items that are being repatriated; and (c) construction of appropriate containers for the transport and disposition of repatriated Native American human remains and other cultural items. Grant funds may not be used for: activities related to the documentation or repatriation of human remains and cultural items from the Smithsonian Institution; activities related to the inadvertent discovery and/or intentional excavation of Native American human remains and other cultural items on Federal or tribal lands pursuant to NAGPRA Section 3 and 43 CFR 10 Subpart B; museum or tribal litigation costs, including expert testimony; care and curation of repatriated Native American human remains and cultural items; construction or renovation of facilities; or purchase of land or buildings; costs associated with the transport of cultural items for which control is not transferred to a lineal descendant, Indian tribe, or Native Hawaiian organization; overhead or indirect cost rates above 25 percent; projects proposed by applicants who have previously received a NAGPRA grant, but whose grant expired without successfully completing major elements of the proposed work, or without meeting the conditions of the grant award.

**Applicant Eligibility:**

Eligible applicants for museum documentation awards include any institution or State or local government agency (including any institution of higher learning) that has possession of, or control over, of Native American human remains or other cultural items and which has completed the following NAGPRA obligations: provided a written summary of their Native American collections to the National Park Service and appropriate lineal descendants, Indian tribes, and Native Hawaiian organizations; and submitted an inventory of Native American human remains and associated funerary objects in their collections to the National Park Service and culturally affiliated Indian tribes and Native Hawaiian organizations. Eligible applicants for tribal documentation and repatriation awards are Indian tribes, Alaska Native villages or corporations, and Native Hawaiian organizations that meet the criteria outlined in the Native American Graves Protection and Repatriation Act. An Indian tribe is defined in NAGPRA as any tribe, band, nation, or other organized group or community of Indians, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Alaska Native villages and corporations include those groups or communities defined in, or established pursuant to, the Alaska Native Claims Settlement Act. Native Hawaiian organizations include any organization that: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has expertise in Native Hawaiian Affairs. NAGPRA states that such Native Hawaiian organizations shall include the Office of Hawaiian Affairs and Hui Malama I Na Kapuna 'O Hawai'i Nei. Applications for repatriation awards will be considered only after publication of the required Notice of Inventory Completion or Notice of Intent to Repatriate in the Federal Register. Funding is not available for activities that occur prior to the submissions of the application.

**Beneficiary Eligibility:**

Eligible beneficiaries for museum documentation awards include any institution or State or local government agency (including any institution of higher learning) that has possession of, or control over, of Native American human remains or other cultural items and which has completed the following NAGPRA obligations: provided a written summary of their Native American collections to the National Park Service and appropriate lineal descendants, Indian tribes, and Native Hawaiian organizations; and submitted an inventory of Native American human remains and associated funerary objects in their collections to the National Park Service and culturally affiliated Indian tribes and Native Hawaiian organizations. Eligible beneficiaries for tribal documentation and repatriation awards are Indian tribes, Alaska Native villages or corporations, or Native Hawaiian organizations that meet the criteria outlined in the Native American Graves Protection and Repatriation Act. An Indian tribe is defined in the statute as any tribe, band, nation, or other organized group or community of Indians, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Alaska Native villages and corporations include those groups or communities defined in, or established pursuant to, the Alaska Native Claims Settlement Act. Native Hawaiian organizations include any organization that: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has expertise in Native Hawaiian Affairs. NAGPRA states that such Native Hawaiian organizations shall include the Office of Hawaiian Affairs and Hui Malama I Na Kapuna 'O Hawai'i Nei. Applications for repatriation awards will be considered only after publication of the required Notice of Inventory Completion or Notice of Intent to Repatriate in the Federal Register. Funding is not available for activities that occur prior to the submissions of the application.

**Credentials/Documentation:**

Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State and Local Governments" applies for Indian tribes and State institutions. OMB Circular A-122 applies for non-profit institutions. OMB Circular A-21 applies for universities.

**Preapplication Coordination:**

This program is excluded from coverage under Executive Order 12372. An Environmental Impact Statement/Assessment is not required for this program.

**Application Procedure:**

Museums, federally recognized Indian tribes, and Native Hawaiian organizations may apply for annual grants in the form of planned activities and projects. Provisions of 43 CFR Part 12 apply. Applicants may contact the National Park Service National NAGPRA program by telephone at (202) 354-2203, by E-mail: NAGPRA\_Grants@nps.gov, or on the Web at <http://www.cr.nps.gov/nagpra/grants> OR <http://grants.gov>.

**Award Procedure:**

An annual appropriation is allocated by the Secretary of the Interior.

**Deadlines:**

Set dependent upon the date of enactment of appropriations for the fiscal year for which assistance is requested, but generally set approximately February or March each year. For application deadlines, contact the National Park Service National NAGPRA program by telephone at (202) 354-2203, by e-mail at NAGPRA\_Grants@nps.gov, or on the Web at <http://www.cr.nps.gov/nagpra/grants>.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no statutory apportionment formula; grants are awarded competitively.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 18 months. Payments are made upon request for costs incurred.

**Reports:**

An Interim Progress Report and a Final Progress Report are required from each grantee. A Federal Cash Transaction Report (SF-272) must be submitted to report expenditure of any Advance Payments made to a grantee.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Full fiscal and project records to be maintained by grantees in accordance with OMB Circular Nos. A-87 and A-102 (for Indian tribes and State and local governments) or OMB Circular Nos. A-110 (for nonprofit institutions) and A-122 or OMB Circular Nos. A-21 and A-110 (for all other grantees).

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Grants) FY 07 \$2,400,000; FY 08 \$2,400,000; and FY 09 est \$2,350,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$75,000 for museum and tribal consultation/documentation grants; any amount up to \$15,000 for repatriation grants. Average amount for a documentation grant: \$63,380. Average amount for a repatriation grant: \$10,931.

**PROGRAM ACCOMPLISHMENTS:**

As of fiscal year 2006, 523 grants totaling over \$27 million has been awarded to museums, Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations for projects that include the creation of museum/tribe partnerships through staff exchanges; workshops and training opportunities; the coordination of inter-tribal and intra-museum discussions; hiring tribal repatriation coordinators to prepare and review NAGPRA-related documentation, and returning human remains and cultural items to Indian tribes, Alaska Native villages and corporations, and Native Hawaiian organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and proposal materials are available upon request from the National Park Service, National NAGPRA Program, 1849 C Street, N.W. (2253), Washington, DC 20240. Requests may also be directed to the National NAGPRA Program at (202) 354-2203, or via E-mail: NAGPRA\_Grants@nps.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

National NAGPRA, National Park Service, 1849 C Street, N.W. (2253), Washington, DC 20240-0001. Telephone (202) 354-2203; Fax: (202) 371-5197; E-mail: NAGPRA\_Grants@nps.gov. Program inquiries should be directed to Sherry Hutt E-mail: Sherry\_Hutt@nps.gov.

**Web Site Address:**

<http://www.cr.nps.gov/nagpra/grants>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects include but are not limited to: NAGPRA Consultation/Documentation Projects: a type of grant which provides tribes with the funds necessary to set-up a NAGPRA office and begin organizing information received from museums, researching cultural affiliation and communicating with museums; Consultation with Tribes: a type of grant which provides museums with the funds necessary to finance tribal visits which facilitate consultation and allow dialogue about collections; NAGPRA Compliance Workshops: a type of grant which provides funding for regional workshops and training sessions allowing the broad dissemination of information on the implementation of NAGPRA as well as information tailored to suit a particular locale.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant proposals will be evaluated according to four criteria: Criterion A - Are the objectives of the project consistent with the goals of Native American Graves Protection and Repatriation Act? (Projects that are inconsistent with NAGPRA's goals will not be considered for funding). Are the project objectives clearly described? Special consideration will be given to collaborative proposals,



especially proposals that focus on sharing and disseminating information among multiple museums and/or Indian tribes, or that outline a plan to work with specific Indian tribes and/or museums. Criterion B - Is the project designed to accomplish the project objectives efficiently? Are the activities clearly described in detail, with an explicitly stated link between the activities and the stated objectives? Are activities organized logically? Are project methods and techniques described clearly? Are the roles and responsibilities of all participants defined clearly and described? Applicants with previously funded NAGPRA grants will have to include a description of the progress achieved and describe how the new project fits with the previously funded one. Criterion C - Is the budget reasonable to accomplish project tasks and activities? Are budget items necessary to accomplish project activities? Is the budget justification sufficient to explain project costs in detail? Criterion D - Are project personnel qualified to accomplish project objectives? Are project personnel are qualified for the activities and tasks assigned? Are unfilled positions and consultancies clearly described? Are search criteria defined for all unfilled positions and consultancies?

## 15.923 NATIONAL CENTER FOR PRESERVATION TECHNOLOGY AND TRAINING

### FEDERAL AGENCY:

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

### AUTHORIZATION:

National Historic Preservation Act Amendments of 1992, Public Law 102-575, Section 4022, 16 U.S.C. 470x.

### OBJECTIVES:

To develop and distribute preservation and conservation skills and technologies for the identification, evaluation, conservation, and interpretation of prehistoric and historic resources; to develop and facilitate training for Federal, State and local resource preservation professionals, cultural resource managers, maintenance personnel, and others working in the preservation field; to apply preservation technology benefits from ongoing research by other agencies and institutions; to facilitate the transfer of preservation technology among Federal agencies, State and local governments, universities, international organizations, the private sector; and to cooperate with related international organizations for the benefit of cultural resource conservation in the United States and worldwide.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Support work in archeology, historic architecture, historic landscapes, objects and materials conservation, ethnography, and interpretation through cooperative agreements and the reservation Technology and Training Grants program. The following types of grants are supported: Applied Research and Technology Transfer in all areas of preservation and conservation; Applied Environmental and Materials Research related to understanding and preventing damage to cultural resources caused by air pollution and other contaminants; Information Management to develop, promote, and disseminate information about preservation technologies; Training and Education to share recent research findings and to promote technology transfer from other disciplines to the field of preservation; Publications to develop books, manuscripts, and articles that focus on collating, synthesizing, reviewing, or interpreting existing preservation knowledge. Ineligible projects include those whose principal focus is the treatment of a specific site, structure, object or collection; proposals exclusively for undergraduate internships or graduate fellowships; projects that are underway prior to the grant award date; projects that duplicate proposals previously submitted; or proposals for conferences for which equivalent results can be obtained at regular meetings of professional societies. Detailed use and use restrictions are specified in the applicable Request for Proposals.

### Applicant Eligibility:

Eligible applicants include: U.S. universities and two and four year colleges; U.S. private nonprofit institution/organization and quasi-public nonprofit institution/organization that are directly associated with educational or research activity; Federal, State, local government agencies, Federally recognized Indian Tribal governments and their Tribal Historic Preservation Offices; Profit organization. Non U.S. institutions, organizations or government agencies, or unaffiliated non-U.S. citizens may submit proposals only in partnership with an eligible U.S. academic institution, U.S. non-profit organization or U.S. government agency.

### Beneficiary Eligibility:

Individuals involved through their organizations in interdisciplinary efforts to advance the art, craft, and science of historic and prehistoric preservation in the fields of archeology, historic architecture, historic landscapes, objects and materials conservation, and interpretation.

### Credentials/Documentation:

Grants and cooperative agreements are awarded to eligible public and private sector practitioners who demonstrate institutional capability and commitment to the Center's mission to preserve historic and prehistoric resources; and who evidence the capacity to perform the proposed work successfully. Proof of

nonprofit status is required of nonprofit organizations and institutions.

### Preapplication Coordination:

The program is covered by E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

A Call for Proposals is published annually that includes guidelines for preparing proposals within each project type. The information is available upon request via mail, e-mail (pttgrants@ncptt.nps.gov), or our website <http://www.ncptt.nps.gov>. Only materials described under proposal requirements for each project type within the annual Call for Proposals will be considered. Standard application forms, as furnished by the National Park Service must be completed.

### Award Procedure:

Applications are evaluated by NCPTT staff, peer reviewers, and a designated National Park Service grants administrator according to selection criteria for each Project Type stated in the Guidelines for Preparing PTT Grants Proposals. Reviews determine the feasibility of the proposed project, and consistency with National Park Service financial and policy requirements concerning the project's scope and purpose. Final award is by the Director of the National Park Service.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

From 90 to 180 days.

### Appeals:

Not applicable. Applicants may reapply if a revised application is submitted in the subsequent competition.

### Renewals:

Renewal may be requested through a new, competing application. Extensions of time may be requested subject to acceptable work progress and reasons for the delay.

### Formula and Matching Requirements:

Award amounts are subject to availability of funds. In accordance with Title IV, Public Law 102-575, Section 405(b): (1) Grants shall be allocated in such fashion to reflect the diversity of the historic preservation fields and shall be geographically distributed. (2) No recipient may receive more than 10 percent of the awards allocated within any year. (3) Total administrative costs, direct and indirect, charged for carrying out these grants may not exceed 25 percent of aggregate costs. Matching share is not required by law, but may be a selection criterion as stated in the Guidelines.

### Length and Time Phasing of Assistance:

Except for Project Type 4, Environmental Effects of Outdoor Pollutants on Cultural Resources - Research and Treatment Development, the period of support is one year. NCPTT's Guidelines specify requirements for Project Type 4 multi-year applications. The Treasury Check method of payment is used for advances or reimbursement. A SF 270, Request for Advance or Reimbursement, must be submitted for each payment requested. Requests for reimbursement or advanced funds may be requested monthly in amounts greater than \$500.

Expenses charged to the grant or cooperative agreement may not be incurred prior to the beginning date specified in the agreement or subsequent to the grant end date, and incurred only to carry out the approved objectives, scope of work, and budget.

### Reports:

An interim progress report and a final report are required. If an advance payment is requested, an SF 272, Federal Cash Transactions Report, must be submitted demonstrating that advanced funds have been promptly expended.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

For programs under OMB Circular No. A-133, financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for 3 years from the date of submission of the final expenditure report. If any audit is started before the 3-year period, the records shall be retained until all issues have been resolved and final action taken. For programs under the purview of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," records must be retained at least 3 years; and must be retained beyond 3 years if audit findings are not resolved.

### Account Identification:

14-1042-0-1-303.

### Obligations:

(Grants) FY 07 \$345,667; FY 08 \$165,415; and FY 09 est \$250,000.

**Range and Average of Financial Assistance:**

\$7,856 to \$50,000; \$36,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for Preparing PTT Grants Proposals are available from NCPPT for each Project Type. The "Common Rule" adopting relevant OMB Circulars governing grants and cooperative agreements implemented by the Department of the Interior is published at 43 CFR Part 12.

**Regional or Local Office:**

Direct inquiries to PTTGrants, NCPPT, 645 College Avenue, Natchitoches, LA 71457. Telephone: (318) 356-7444; Fax: (318) 356-9119; E-mail: ncppt@ncpti.nps.gov. Mary Striegel, Environmental and Materials Research Program Director.

**Headquarters Office:**

Bob Ruff, Grants Administrator, Heritage Preservation Services Program, National Center for Cultural Resource Stewardship and Partnership, National Park Service, 1849 C St., N.W., MS 2255, Washington, DC 20240. Telephone: (202) 354-2088. Program inquiries should be directed to Andrew Ferrell E-mail: Andrew\_Ferrell@nps.gov.

**Web Site Address:**

<http://family.info.gov/cfda/index.htm>.

**RELATED PROGRAMS:**

15.904, Historic Preservation Fund Grants-In-Aid; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

The Powered Parachute as an Archaeological Aerial Reconnaissance Vehicle; Development and Testing of Organic Coatings for the Protection of Outdoor Bronze Sculpture from Air-Pollutant Enhanced Corrosion; Olmsted Online Research Guide; Interpreting Ground Penetrating Radar Data, a User's Workshop; and publications.

**CRITERIA FOR SELECTING PROPOSALS:**

Principal criteria for selecting proposals are: (1) Project activity, results, and audience are clearly described. (2) The project contributes substantially to a better understanding or distribution of knowledge in historic preservation. (3) The project is innovative. (4) The project is cost-effective. (5) The project work will reach an appropriate and adequate audience. Selected projects also share these characteristics: The project is based on creative ideas in preservation or conservation; is significant for the national preservation and conservation community; is clear, concise, and complete, with clearly defined goals, objectives, and results that increase access to and dissemination of information; and is proposed by capable principal investigators and organization.

**15.926 AMERICAN BATTLEFIELD PROTECTION****FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Omnibus Parks and Public Lands Management Act of 1996; American Battlefield Protection Act of 1996, Section 604, Public Law 104-333, 110 Stat. 4173, 16 U.S.C. 469k.

**OBJECTIVES:**

Promote the protection and preservation of battlefield lands on American soil by funding non-acquisition preservation methods such as planning, education, survey and inventory.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for projects resulting in the protection and preservation of battlefield lands and their associated sites on American soil. No funding is given to projects dealing with acquisition of properties or land in fee or interest, payment of rent on properties or land, fund raising, lobbying, battle reenactments, new construction or reconstruction of historic resources, permanent staff positions, object or material culture curation or other on-going activities, academic scholarships, capital construction or improvement projects (site excavation, trail or road construction, parking lots, visitor centers, scene restoration, etc.). Applications for projects associated with NPS-owned sites must focus on resources outside the NPS boundaries.

**Applicant Eligibility:**

Applicant may be Federal, intrastate, interstate, State and local agencies, public or private nonprofit institutions/organizations, Federally recognized Indian tribal governments, U.S. territory and possessions, Native American organizations, State colleges and universities, public and private colleges and universities. Multi-organizational applications are encouraged.

**Beneficiary Eligibility:**

Federal, intrastate, interstate, State and local agencies, public and private nonprofit institutions/organizations, Federally recognized Indian tribal governments, U.S. territories and possessions, Native American organizations, State college or universities, public and private colleges and universities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State's program has been selected for review.

**Application Procedure:**

Applicants should contact the American Battlefield Protection Program in early September to obtain an application for funding. Applicants will receive a Standard Form 424- Request for Federal Assistance, and a Certificate Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying, DI-2010. Forms must be completed and returned to the American Battlefield Protection Program by the date listed in the Application Guidelines.

**Award Procedure:**

Award amounts are based on the review panel's recommendations. Reviewers include American Battlefield Protection Program staff and regional supporting staff, NPS historians and NPS archeologists. Each application is scored individually based on a standardized series of questions.

**Deadlines:**

Contact the American Battlefield Protection Program for application deadlines at (202) 354-2037.

**Range of Approval/Disapproval Time:**

Applications are reviewed and approved or disapproved by the National Park Service by the end of the Federal fiscal year.

**Appeals:**

None.

**Renewals:**

Provision of additional funding will require that the applicant submit a follow-up proposal for the additional funding. The period of performance for a grant may be extended without provision of additional funds through mutual agreement of the beneficiary and the National Park Service.

**Formula and Matching Requirements:**

Awardees must comply with Department of the Interior regulations and requirements governing grants stipulated in 43 CFR 12. There are no matching fund requirements.

**Length and Time Phasing of Assistance:**

Project duration should generally be for one year or less. Project funds may be requested as advances and/or reimbursements, with the final payment being a reimbursement. The project must be complete before final payment may be requested. All awarded funds must be expended by the grant end date specified in the grant agreement.

**Reports:**

Quarterly progress/accounting reports, sent directly to the American Battlefield Protection Program, are required for all projects. A final project report is required of all projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments must be maintained in accordance with the provisions of 43 CFR 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations must be maintained in accordance with the provisions of 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Grants) FY 07 \$492,184; FY 08 \$1,367,144; and FY 09 est \$3,000,000.

**Range and Average of Financial Assistance:**

\$1,000 to \$75,000; \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulated by 43 CFR Part 12 (all sections).

**Regional or Local Office:**

None.

**Headquarters Office:**

American Battlefield Protection Program, National Park Service, 1849 C Street, N.W., MS 2255, Washington, DC 20240. Telephone: (202) 354-2037 or (202) 354-2023, Fax: (202) 371-1616. Program inquiries should be directed to

Hampton Tucker E-mail: Hampton\_Tucker@nps.gov.

**Web Site Address:**

<http://www.cr.nps.gov/hps/abpp/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) \$21,000 in technical assistance helped in creating a county-wide Vision and Protection Plan for a county and its local battlefield. (2) \$20,000 in assistance has been awarded for the development of a state-wide heritage trail. (3) \$18,050 used to complete and submit a National Register Nomination for a Virginia battlefield. (4) \$20,000 in funding has gone towards an archeological survey of a Missouri battlefield. (5) \$25,000 was given to a local battlefield commission to pay for the services of a part-time staff person to implement the local battlefield protection plan.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received are scored on the following criteria: Site significance; Level of Threat; Preservation Opportunity; Well-Planned Objectives, Tasks, and Schedules; Qualifications and Coordination of Partner Organization(s); Realistic Budget and Matching Resources.

## 15.927 HYDROPOWER RECREATION ASSISTANCE

(Rivers and Trails, Hydropower Licensing)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Federal Power Act, 16 U.S.C. 797-828c; Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended, Public Law 90-542; Outdoor Recreation Act of 1963, 16 U.S.C. 4601-3, Public Law 88- 29.

**OBJECTIVES:**

To serve as a national technical resource to support government, industry, and nonprofit partnerships in ongoing consultations and negotiations about applications for hydropower licensing; to meet present and future outdoor recreation and river conservation needs; to maintain and enhance a project's riparian areas.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Staff assistance is available to stakeholders in FERC hydropower licensing proceedings to assist with recreation issues and river conservation. Assistance is applicable to hydropower projects both within and outside units of the National Park System.

**Applicant Eligibility:**

Private nonprofit organizations, Federal, State, and Local government agencies and hydropower licensing applicants.

**Beneficiary Eligibility:**

Private nonprofit organizations, Federal, State, and Local government agencies and hydropower licensing applicants, as well as the general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Program advice and information is available from the appropriate NPS Regional Office. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the program leader for Rivers, Trails and Conservation Assistance in the appropriate NPS Regional Office.

**Award Procedure:**

Decisions are based upon adherence to program criteria and the availability of staff.

**Deadlines:**

Follows requirements of Federal Energy Regulatory Commission; rolling.

**Range of Approval/Disapproval Time:**

Project specific.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Length of licensing process.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

FY 07 \$818,000; FY 08 \$839,000; and FY 09 est \$850,000.

**Range and Average of Financial Assistance:**

None. Staff assistance only.

**PROGRAM ACCOMPLISHMENTS:**

National Park Service Rivers and Trails hydropower program has played a major role in licensing efforts through partnership approaches to river protection and outdoor recreation for responsible hydropower development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information is available on the Web. Assistance complies with Federal Energy Regulatory Commission requirements for licensing nonfederal hydropower projects; 18 CFR Parts 4, 5, and 16. Policy and Guidelines for Recreational Technical Assistance in Hydropower Licenses, 57 FR 61915, December 29, 1992.

**Regional or Local Office:**

Applicants are requested to communicate with National Park Service Regional Offices. See Appendix IV in the Catalog or [www.nps.gov/rta](http://www.nps.gov/rta).

**Headquarters Office:**

Rivers and Hydro Leader, Rivers, Trails and Conservation Assistance, National Park Service, 1849 C Street, N.W., (Org Code 2220), Washington, DC 20240. Telephone: (202) 354-6900. Program inquiries should be directed to Joan Harn at E-mail: [Joan\\_Harn@nps.gov](mailto:Joan_Harn@nps.gov).

**Web Site Address:**

[www.nps.gov/hydro](http://www.nps.gov/hydro).

**RELATED PROGRAMS:**

15.921, Rivers, Trails and Conservation Assistance; 15.916, Outdoor Recreation Acquisition, Development and Planning.

**EXAMPLES OF FUNDED PROJECTS:**

Lower Chippewa River Settlement Agreement, WI--Technical assistance in establishing recreational flows, recreational facility planning, protection of riparian land and open space, and settlement agreement negotiations between Northern States Power Co. (D.B.A. Xcel Energy), City of Eau Claire, WI, Wisconsin Department of Natural Resources, Fish and Wildlife Service, Army Corps of Engineers, Wisconsin Conservation Congress, Lake Holcombe Improvement Association, Inc., Lake Wissota Improvement Association, Lower Chippewa Restoration Coalition, Inc., Chippewa Rod and Gun Club, River Alliance of Wisconsin, and the National Park Service.

**CRITERIA FOR SELECTING PROPOSALS:**

Project should have clear opportunity to enhance recreation and lead to tangible conservation of significant natural and cultural resources.

## 15.928 CIVIL WAR BATTLEFIELD LAND ACQUISITION GRANTS

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Department of the Interior Appropriations Act, Title I, National Park Service, Land and Water Conservation Fund, Public Law 107-63; American Battlefield Protection Act of 1996, Section 604, Public Law 104-333, 110 Stat. 4173, 16 U.S.C. 469k.

**OBJECTIVES:**

Help States and local communities acquire and preserve threatened Civil War battlefields.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are available for the fee simple acquisition of land, or for the acquisition of permanent, protective interests in land, at Civil War Battlefields listed in the Civil War Sites Advisory Commission's (CWSAC) 1993 Report on the Nation's Civil War Battlefields. Funds may not be used to acquire land or interests in land within the legislative boundary of a National Park. Grantees must provide for the appropriate public access to and enjoyment of any lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the beneficiary to protect the historic features of the battlefield from damage or loss. Grantees may not charge costs for administering the project to the grant or to the required matching share.

**Applicant Eligibility:**

Eligible applicants are State and local governments. Private nonprofit organizations seeking to acquire battlefield land with assistance from this program must apply in partnership with the State or local government agency that has jurisdiction over the proposed acquisition parcel. The government agency may then subgrant the Federal funds to the nonprofit organization. In any case where a local government or a private non-profit organization acquires land or an interest in land with assistance from this program, it must convey an acceptable perpetual protective easement on the land to the State Historic Preservation Office or other governmental agency acceptable to the National Park Service.

**Beneficiary Eligibility:**

State and local governments benefit.

**Credentials/Documentation:**



Prior to the expenditure of grant funds for the purchase of real property, a current appraisal must be obtained. Appraisal preparation, documentation and reporting must be made in conformance with the standards and practices of the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA), as codified in 49 CFR 24.103, and the Uniform Standards of Professional Appraisal Practices (USPAP Standards 1 and 2) published by the Interagency Land Acquisition Conference.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Proposal packages must be submitted in hard copy. Faxed proposals and proposals submitted electronically will not be accepted. Incomplete proposals will not be considered. Proposals must contain all of the following: 1) a USGS quadrangle map showing the boundaries of the Civil War battlefield and identifying within those boundaries the specific lands to be acquired; 2) a statement defining the threat to the battlefield and the proposed acquisition parcel; 3) a statement from the property owner(s) indicating a willingness to sell or to negotiate for the sale of the property; and 4) a list of sources of the required nonfederal matching share and verification of the availability of the matching funds. Applicants will receive a Standard Form 424-Request for Federal Assistance, and a Certificate Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying, DI-2010. Forms must be completed and returned to the National Park Service.

**Award Procedure:**

The Director of the National Park Service makes awards to approved applicants.

**Deadlines:**

Applicants may submit their proposals to National Park Service at any time. Applications for Priority I and II battlefields will be reviewed as they are received. Applications for Priority III and IV battlefields will be reviewed every four months beginning on June 1, 2008, and thereafter on October 1, 2008, February 1, 2009, June 1, 2009, and October 1, 2009, or until funds are no longer available. For example, a Priority III application received on February 2, 2008 will not be reviewed until June 1, 2008.

**Range of Approval/Disapproval Time:**

The National Park Service will notify the applicant of its decision within 30 days of receipt of proposals concerning Priority I and II battlefields, and within 45 days of the review date of proposals concerning Priority III and IV battlefields.

**Appeals:**

None. Unsuccessful applicants may resubmit a more complete proposal for consideration in a later round of awards until funds are no longer available.

**Renewals:**

None.

**Formula and Matching Requirements:**

A dollar-for-dollar nonfederal match is required for all projects receiving funding through this program.

**Length and Time Phasing of Assistance:**

Battlefield land or interests in land are purchased immediately after receipt of funds, usually no later than one year after receipt of funds.

**Reports:**

Progress reports must be submitted twice a year to the National Park Service.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Land acquired with these funds must be preserved in perpetuity. To that end, grantees must encumber the title to the acquired battlefield property with a preservation easement running with the land, in favor of and enforceable in court by the State Historic Preservation Office, or by another government agency acceptable to National Park Service, in perpetuity.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

FY 07 \$4,000,000; FY 08 est \$3,000,000; and FY 09 est \$3,000,000.

**Range and Average of Financial Assistance:**

\$47,000 to \$540,000; \$287,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 02, this program obligated more than \$1.4 million to protect 590 acres of land at five Civil War battlefields in Maryland, Virginia, and West Virginia.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim guidelines are available online at [www2.cr.nps.gov/abpp/](http://www2.cr.nps.gov/abpp/).

**Regional or Local Office:**

None.

**Headquarters Office:**

American Battlefield Protection Program, National Park Service, 1849 C Street, N.W., 2255, Washington, DC 20240-0001. Telephone: (202) 354-2023. Fax: (202) 371-1794.

**Web Site Address:**

<http://www2.cr.nps.gov/abpp/>; interim guidelines at [www2.cr.nps.gov/abpp/lwcf2002.htm](http://www2.cr.nps.gov/abpp/lwcf2002.htm)

**RELATED PROGRAMS:**

15.926, American Battlefield Protection.

**EXAMPLES OF FUNDED PROJECTS:**

Awards are made only for the purchase of land or interests in land (easements) at Civil War battlefields listed in the Civil War Sites Advisory Commission's Report on the Nation's Civil War Battlefields and outside the legislative boundaries of National Parks.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated based on significance of the battlefield, existing threats to the land, willingness of current property owners to sell, and availability of required nonfederal matching funds.

## 15.929 SAVE AMERICA'S TREASURES

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Omnibus Parks and Public Lands Management Act of 1996; National Historic Preservation Act of 1966, as amended, Section 108; Public Law 108-108, 110 Stat. 4174; 16 USC 470.

**OBJECTIVES:**

To provide matching grants for preservation and/or conservation work on nationally significant intellectual and cultural artifacts and nationally significant historic structures and sites. Intellectual and cultural artifacts include artifacts, collections, documents, sculpture and works of art.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for projects resulting in the protection and preservation of nationally significant historic structures and sites, as well as nationally significant collections of intellectual and cultural artifacts, documents, sculpture and works of art. Projects to repair structures must comprise one or more of the 4 allowable treatments defined in the "Secretary of the Interior's Standards for the Treatment of Historic Properties" (36 CFR 78). These treatments are preservation, rehabilitation, restoration, and reconstruction. No funding is given to projects dealing with acquisition of properties or, collections, payment of rent on properties or land, fund raising, and lobbying. The Grantee must grant a preservation easement or preservation agreement for each grant-assisted property to the State Historic Preservation Officer (SHPO) for at least 50 years from the end date of the grant agreement.

**Applicant Eligibility:**

Federal (if part of the Interior and Related Agencies Appropriation), Intrastate, Interstate, State and Local agencies, Public or Private nonprofit institutions/organizations, State Colleges and Universities, Public and Private Colleges and Universities, and Federally Recognized Indian Tribes. Individuals are not eligible applicants. Properties receiving Save America's Treasures (SAT) grant assistance must be listed in the National Register of Historic Places for National significance.

**Beneficiary Eligibility:**

Any Federal, Intrastate, Interstate, State and local agencies, Public or Private nonprofit institution/organization, State Colleges or University, Public and Private College or University, or Federally recognized Indian tribes.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants should contact the Save America's Treasures Program in January to obtain an application for funding. Applicants will receive a Save America's Treasures Program application and instructions. Forms must be completed and returned to the Save America's Treasures Program by the date listed in the Application Guidelines. The Application Guidelines can be found at [www2.cr.nps.gov/treasures](http://www2.cr.nps.gov/treasures). The Program is included in Grants.gov FIND and APPLY. If you don't have internet access, the request for an application may be sent to: Grants Manager, Save America's Treasures, National Park Service, 1849 C Street, NW, Mail Stop 2255, Washington, DC 20240.

**Award Procedure:**

Award amounts are based on the review panel recommendations. Each application is scored individually based on standardized criteria.

**Deadlines:**

Contact the Save America's Treasures Program for application deadlines at (202) 513-7270, Ext. 6.

**Range of Approval/Disapproval Time:**

Applications are reviewed and approved or disapproved by the Save America's Treasures Program by the end of the Federal fiscal year.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Grants must be fully matched on a dollar-for-dollar basis.

**Length and Time Phasing of Assistance:**

Project duration is generally for two years. Funds for the project may be requested as advances and/or reimbursements via SMARTLINK electronic payment system, with the final payment being a reimbursement. All conditions of the project must be complete at the time of requesting the final payment. All awarded funds must be expended within 90 days of the grant end date specified in the Grant agreement.

**Reports:**

Quarterly performance and financial reports (SF-270 and SF-272), sent directly to the Save America's Treasures Program, are required for all projects. Final performance and financial status reports are required within 90 days of the grant end date. The final payment request will not be approved until an acceptable final report has been submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments must be maintained in accordance with the provisions of 43 CFR 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations must be maintained in accordance with the provisions of 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

FY 07 \$8,074,000; FY 08 \$24,610,000; and FY 09 est \$15,000,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$500,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulated by 43 CFR Part 12.

**Regional or Local Office:**

None.

**Headquarters Office:**

Save America's Treasures Program, National Park Service, 1849 C Street, NW., Washington, DC 20240. Telephone: (202) 513-7270, Ext. 6; Fax: (202) 371-1794. Program inquiries should be directed to e-mail: Hampton\_Tucker@nps.gov.

**Web Site Address:**

www2.cr.nps.gov/treasures

**RELATED PROGRAMS:**

15.904, Historic Preservation Fund Grants-In- Aid; 15.914, National Register of Historic Places.

**EXAMPLES OF FUNDED PROJECTS:**

Star-Spangled Banner Flag House, Baltimore, Maryland - This National Historic Landmark was the home of the seamstress who sewed the flag that inspired Francis Scott Key to write the National Anthem. Funds used to address invasive moisture problems. Historic Drawings and Documents Collection, Yellowstone National Park, Yellowstone, NPS, Wyoming - The 15,000 drawings in this collection document work in the nation's first national park from the 19th century to the present. This grant will support conservation of the collection. Pollock-Krasner House and Study Center, East Hampton - This National Historic Landmark was the home and studio of 20th-century American painters Jackson Pollock and Lee Krasner. It contains their personal effects, artist materials and the studio floor on which Pollock created his masterpieces of direct painting.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received are scored on the following criteria: critical preservation need; well-planned objectives, tasks, and schedules; qualifications and coordination of partner organization(s); and realistic budget and matching resources.

## 15.930 CHESAPEAKE BAY GATEWAYS NETWORK

(Chesapeake Bay Gateways)

**FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Chesapeake Bay Initiative Act of 1993, Public Law 105-312, Section 501-2.

**OBJECTIVES:**

To aid State and local governments, local communities, nonprofit organizations and the private sector in conserving, restoring and interpreting important historic, cultural, recreational and natural resources within the Chesapeake Bay watershed and the Chesapeake Bay Gateways Network.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Gateways grants assist projects at designated Gateways in the Chesapeake Bay Gateways Network. Only projects related to a currently designated Gateway are eligible for assistance. Gateways can be sites, water trails, land trails, byways, regional information centers or hubs and are designated through a separate nomination process. Information on the nomination process can be found at [www.baygateways.net](http://www.baygateways.net).

**Applicant Eligibility:**

Eligible applicants are limited to designated Gateways, their managing organizations or partners acting on their behalf including state and local governments and non-profit organizations. Only projects related to a currently designated Gateway are eligible for assistance. Gateways are designated through a separate nomination process.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Applications may be submitted by managing organization for a designated Gateway or partners acting on behalf of a designated Gateway, including state and local governments and non-profit organizations.

**Preapplication Coordination:**

None required, but it is suggested that applicants contact the Chesapeake Bay Gateways Network program office and discuss the proposed project to aid in the applicants proposal process. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The grant opportunity and SF 424 application package will be posted on [www.grants.gov](http://www.grants.gov). Additional information can be found at the Chesapeake Bay Gateways network web site, [www.baygateways.net](http://www.baygateways.net). The application package includes information about the application process and project activities that may receive priority attention.

**Award Procedure:**

The application request is reviewed by a panel made up of representatives of the Gateways Network Working Group and National Park Service (NPS) staff. The members independently review and rank each proposal, meet as a panel to discuss the proposals and recommend to the Superintendent, NPS Chesapeake Bay Program Office, proposals to be funded. The NPS makes the final decision on funding. Applicants selected for funding are then contacted regarding next steps.

**Deadlines:**

For public information, deadlines are displayed at [www.grants.gov](http://www.grants.gov) and at the Gateways website, [www.baygateways.net](http://www.baygateways.net). The application deadline is typically set for May, June, or July.

**Range of Approval/Disapproval Time:**

It typically takes 45 to 60 days after the application deadline for selection and award or disapproval.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Per Public Law 105-312, Section 501 requested funds shall not exceed 50 percent (50 percent) of eligible project costs and shall be made on the condition that nonfederal sources, including in-kind contributions of services or materials, provide the remainder of eligible project costs. This means that Federal funds must be matched by an equal or greater amount of nonfederal funds which may include in-kind contributions of services or materials including volunteer labor, cash or revenue sources dedicated to the same project. Applicants should read the grant program guidelines for details on the various kinds and qualifications of matching funds.

**Length and Time Phasing of Assistance:**

The project period is typically for a time period not to exceed 18 months.

**Reports:**

All Gateway projects and activities are monitored for progress and compliance with the use of Quarterly and Final Narrative Reports, a Financial Status Report and an SF 269. Recipients are also required to submit an SF 270 for reimbursement payments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised June 27, 2003), Audits of States, Local Governments, and NonProfit Organizations, non-federal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

FY 07 \$480,350; FY 08 est \$550,000; and FY 09 est \$600,000.

**Range and Average of Financial Assistance:**

Awards range from \$5,000 to \$150,000. The average awards in past years are: FY 06 est \$60,346.

**PROGRAM ACCOMPLISHMENTS:**

From 2000-2006 requests for grants totaled \$10,092,487 and \$7,226,291 in requests were funded, or 71 percent.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Gateways grant guidelines, qualifications, and application instructions for applicants are all available for free on the Gateways program web site [www.baygateways.net](http://www.baygateways.net).

**Regional or Local Office:**

John Maounis, Chesapeake Bay Program Office, NPS, 410 Severn Avenue, Suite 109, Annapolis, MD 21403. Telephone: (410) 267-5720, Fax: (410) 267-5777, E-mail: [jmaounis@chesapeakebay.net](mailto:jmaounis@chesapeakebay.net).

**Headquarters Office:**

Chrysandra Walter, Acting Regional Director, National Park Service, Northeast Region, 200 Chestnut Street, Philadelphia, PA 19106; Telephone: (215) 597-7013, Fax: (215) 597-0815, E-mail: [chrysandra\\_walter@nps.gov](mailto:chrysandra_walter@nps.gov). Program inquiries should be directed to Peggy Wall at [peggy\\_wall@nps.gov](mailto:peggy_wall@nps.gov).

**Web Site Address:**

[www.baygateways.net](http://www.baygateways.net).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Developed an 80 mile water trail on the Juniata River in Pennsylvania with a map and guide and 14 interpretive signs; an interpretive plan and new decoy exhibit for the Havre de Grace Decoy Museum; an interpretive exhibit on the working waterman at Smith Island; tidal wetland restoration with public involvement at the Blackwater NWR; interpretive map of the Chesapeake Bay watershed and its three major environments in a park at the National Aquarium in Baltimore; improving access to and interpretation of the Thomas Point Lighthouse; interpretive signage for city trail and development of stewardship messages in Baltimore; science education curriculum for grades 6 through high school at Pickering Creek Audubon Center; orientation video for the USS Constellation; interpretive signs and access to the Bay at Watermens Museum in Virginia.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant proposals are reviewed by Gateways Network Working Group members and National Park Service staff. Proposals are evaluated on the basis of their: Contributions/measurable results toward established Gateways Network goals; Appropriateness to specific program priorities; Clarity of project objectives and deliverables, and the plans for sustaining them over time; Clarity and credibility of the projects scope of work, timeline and budget; importance in enhancing a Gateways effectiveness. Consideration is given to project cost effectiveness, matching share and geographic distribution.

**15.931 CONSERVATION ACTIVITIES BY YOUTH SERVICE ORGANIZATIONS****FEDERAL AGENCY:**

NATIONAL PARK SERVICE, DEPARTMENT OF THE INTERIOR

**AUTHORIZATION:**

Omnibus Consolidated Appropriations Act, 1997, Public Law 104-208, 16 U.S.C. 1g, Cooperative Agreements, 110 Stat. 3009181, 3009189, Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C. 1f, Challenge-Cost Share Agreement Authority, 110 Stat. 4199, Youth Conservation Corps Act of 1970, as amended, Public Law 91-378, Public Law 10-382, 107 Stat. 850, Public Lands Corps Healthy Forests Restoration Act of 2005, Public Law 109-154, 16 U.S.C. 1701-1706, 1723, and 119 Stat. 2891, 2893.

**OBJECTIVES:**

To utilize qualified youth or conservation corps to carry out appropriate conservation projects which the Secretary is authorized to carry out under other

authority of law on public lands.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year.

**Applicant Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources.

**Beneficiary Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources; Individuals/Families; Graduate Students; youth or corps located in a specific area that have a substantial portion of members who are economically physically, or educationally disadvantaged (Public Land Corps Act of 1993); General Public, specifically, young people, minority groups, social and economically disadvantaged individuals will benefit from the education and skill development in the area of conservation as well as instilling a conservation ethics.

**Credentials/Documentation:**

Documentation demonstrating that an organizations purpose is strongly related or solely for the purpose of youth/student education in a conservation oriented environment. Documentation supporting affiliation with The Corps Network, formerly The National Associate of Service and Conservation Corps, and Proof of past performance in the areas of resource management, conservation and cultural resources and assistance to youth. If applying as a nonprofit organization, proof of nonprofit status will be required. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines. Each organization submitting an application will be required to follow the Grants.gov registration requirements in advance of submitting an application. The procedures are provided at [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp).

**Preapplication Coordination:**

Consultation or assistance from the agency with this application may be available from the NPS. There are no pre-application requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible applicants will be required to submit an Application, SF-424, and a written proposal through the <http://www.Grants.gov> website following the procedures outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

**Award Procedure:**

Application packages will be posted for an Eligible Applicants response utilizing the <http://www.Grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement by the Awarding Official within the time specified on the announcement. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines.

**Deadlines:**

Application deadlines will be announced with the announcement of the specific opportunity.

**Range of Approval/Disapproval Time:**

Generally, 30 to 90 days.

**Appeals:**

None.

**Renewals:**

Yes. Renewals are available at the end of each term and will be negotiated between the awardee and the National Park Service.

**Formula and Matching Requirements:**

With the exception of Challenge Cost Share, this program has no statutory formula. Additional information on awards made under Challenge Cost Share, is available at the NPS web site, Challenge Cost Share Program Guidelines.

**Length and Time Phasing of Assistance:**

Assistance is provided on a Project basis. Most projects are two to three months in duration depending on complexity and other factors.

**Reports:**

Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270 Request for Advance or Reimbursement, Standard Form 272 Federal Cash Transaction Report, and a quarterly submittal of Standard Form 269 the Financial Status Report as outlined in 2 CFR 215.52. Additionally all organizations will be required to submit a



yearly narrative summary accomplishments reports to the National Park Service WASO Youth Programs Office at the end of each Fiscal Year. All projects and activities are monitored for progress and compliance with agreed upon scope of work.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and nonprofit organizations, nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after December 1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after December 1, 2003 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement.

#### **Account Identification:**

14-1042-0-1-303.

#### **Obligations:**

(Grants) FY 07 \$12,000,000; FY 08 est \$11,000,000; and FY 09 est \$11,000,000.

#### **Range and Average of Financial Assistance:**

In FY 2006 there were 227 completed Public Land Corp projects for a total of \$5.6 million with a average dollar amount of \$25,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 2006 there were 227 completed Public Land Corp projects. There were more than 78 programs for high school age students in FY 06 and more than 200 Park sites had conservation projects.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

NPS Youth Programs at <http://www.nps.gov/youthprograms/index.htm>.

#### **Regional or Local Office:**

Alaska Region, Clara Wooden, 2525 Gambell Street, Room 107, Anchorage, AK 99503; Telephone: (907) 644-3416. Northeast Region, Frank Middleton, 14 Beacon Street, Room 503, Boston, MA 02108; Telephone: (617) 227-6537. Midwest Region, Nora Lehmer, 601 Riverfront Drive, Omaha, NE 68102; Telephone: (402) 661-1672; National Capital Region Cynthia, Salter-Stith, 110 Ohio Drive S.W., Washington, DC 20242; (202) 619-7055, Intermountain Region, Carol J. Bennetts, 12795 West Alameda Parkway, Denver, CO 80225-0287; Telephone: (303) 969-2030, Southeast Region, Priscilla Nalls, Atlanta Federal Center, 100 Alabama Street S.W., Atlanta, GA 30303; Telephone: (404) 562-3103 Ext. 652, Pacific West Region, Sonya Capek, Seattle System Support Office, 909 First Avenue, Seattle, WA 98104; Telephone: (206) 220-4271.

#### **Headquarters Office:**

George McDonald, Management Analyst-Acting WASO Youth Programs Coordinator, National Park Service, 1201 I Street N.W., Washington DC 20005; Telephone: (202) 513-7146, Fax: (202) 371-2263; E-mail: [george\\_mcdonald@nps.gov](mailto:george_mcdonald@nps.gov).

#### **Web Site Address:**

<http://www.nps.gov/youthprograms/index.html>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) Wilderness Restoration Program Removal and ecological restoration of inappropriate campsites, the removal of invasive non-native plants, and the obstruction and ecological restoration of multiple trail ruts. Work tasks include: hand pulling of invasive plants, placement of obstructions in trail ruts, fire-rings and charcoal dispersal, obstruction of the site through the placement of logs and rocks, decomposition of the soil and the placement of locally generated organic material. The goal of this project is to facilitate the return of natural processes in areas affected by humans. 2-month duration (2) Ranger Assistance Provide hiking and Leave No Trace camping information to visitors in the field and at the park visitor center; issue backcountry permits; assist backcountry rangers on a variety of projects; patrol backcountry on foot; assist with search and rescue and/or supervise groups of volunteers on short work projects in the backcountry. 3-month duration (3) Restoration and Conservation Project Take the lead in the reclamation of an abandoned mine; prepare the site with erosion control textile and assist in the development of methods to mitigate acidity levels in the soil; conduct site preparation and eventual revegetation. 3-month duration (4) Cultural Resource Project Conduct research, participate in meeting and develop a narrative history of a Historic Site. 2-month duration (5) Resource Management Assist park conservation staff in historic building structural rehabilitation; maintain the historic appearance of the structure; assist with

sheep habitat restoration, 6-month duration.

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Qualifications of the organization or institution; (2) The Secretary may give preference to qualified youth or conservation corps located in a specific area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area. The Secretary may give preference to qualified youth or conservation corps located in a specific geographic area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area; (3) Past performance in the area of youth conservation corps activities; and (4) Organizations ability to reach underserved and disadvantaged population groups.

### **15.978 UPPER MISSISSIPPI RIVER SYSTEM LONG TERM RESOURCE MONITORING PROGRAM**

(LTRMP)

#### **FEDERAL AGENCY:**

GEOLOGICAL SURVEY, DEPARTMENT OF THE INTERIOR

#### **AUTHORIZATION:**

Upper Mississippi River Management Act of 1986, Public Law 99-662, Section 1103, 33 U.S.C. 652.

#### **OBJECTIVES:**

To provide decision makers with information needed to maintain the Upper Mississippi River System (UMRS) as a sustainable large river ecosystem given its multiple-use character. Congress has declared the UMRS to be both a nationally significant ecosystem and a nationally significant commercial navigation system. The long-term goals of the LTRMP are to: understand the UMRS ecosystem, monitor trends and effects with respect to selected resources, develop resource management alternatives, manage information, and develop useful products.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Cooperative Agreements are entered into for the purpose of conducting resource monitoring and research as specified in the LTRMP Operations Plan and for other activities to carry out the purposes of the Water Resources Development Act of 1986.

#### **Applicant Eligibility:**

States, local governments, intrastate/interstate agencies, sponsored organizations, private nonprofit institutions/organizations for the purposes stated in the Water Resources Development Act of 1986.

#### **Beneficiary Eligibility:**

UMRS State, Federal, and private natural resource managers, users, and the general public.

#### **Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed activity.

#### **Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application form Standard Form (SF) 424, 424-A, and 424-B. The States of Illinois, Iowa, Minnesota, Missouri, and Wisconsin; the Upper Mississippi River Basin Association; or any other agency established under paragraph (d)(1) of the Water Resources Development Act of 1986, Public Law 99-662 are exempt from the application procedures by virtue of the Act. In order to comply with the Department of Interior regulations, the United States Geological Survey is now requiring all applications for grants and cooperative agreements to be submitted electronically via the Grants.gov website. Grants.gov is a central online system for applicants to find and apply for grants and cooperative agreements across the Federal government.

#### **Award Procedure:**

Notification of an award is by a cooperative agreement document signed by a contracting officer.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

Up to 3 months.

#### **Appeals:**

None. The application may be revised and resubmitted.

#### **Renewals:**

The LTRMP is a permanent program. Agreements may be renewed on an annual basis dependent upon funding availability.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Cooperative Agreements will be awarded in 12-month budget periods. Funds are released as required.

**Reports:**

Annual and final technical and financial reports are required.

**Audits:**

Covered awardees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.). In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 07 \$2,950,136; FY 08 \$2,691,425; and FY 09 est \$2,429,261.

**Range and Average of Financial Assistance:**

\$307,493 to \$777,324; \$448,571.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, 6 cooperative agreements were made to support the LTRMP.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 99-662, Section 1103, as amended. Information regarding LTRMP publications may be found at the web site address.

**Regional or Local Office:**

Inquiries regarding the LTRMP may be addressed to the Upper Midwest Environmental Sciences Center, 2630 Fanta Reed Road, La Crosse, Wisconsin 54603, POC: Michael Jawson, Center Director, (608) 781-6221, Fax: (608) 783-6066, E-mail: Linda\_Leake@usgs.gov; or Thomas S. Kelly, Management Analyst, (608) 781-6229, Fax: (608) 783-6066, E-mail: Tom\_Kelly@usgs.gov; UMESC web site address, <http://www.umesc.usgs.gov>.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.usgs.gov/ltrmp.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

To date, cooperative agreements and amendments in the amount of approximately \$44,089,000 have been granted to States, universities, and other recipients to conduct resource (fisheries, water quality, invertebrate, vegetation) monitoring and research of the Upper Mississippi River System.

**CRITERIA FOR SELECTING PROPOSALS:**

The States of Illinois, Iowa, Minnesota, Missouri, and Wisconsin, and their institutions and agencies; States, universities, and others having expertise and experience conducting monitoring and research of the Upper Mississippi River System; States, universities, and others having expertise and experience conducting monitoring and research of large, impounded river systems.

# DEPARTMENT OF JUSTICE

## 16.001 LAW ENFORCEMENT ASSISTANCE-NARCOTICS AND DANGEROUS DRUGS-LABORATORY ANALYSIS

### FEDERAL AGENCY:

DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

### AUTHORIZATION:

Comprehensive Drug Abuse Prevention and Control Act of 1970; Reorganization Plan No. 1, 1968; Reorganization Plan No. 2, 1973.

### OBJECTIVES:

To provide technical assistance to duly constituted state, county, and municipal law enforcement agencies regarding specialized forensic examinations involving drug evidence.

### TYPES OF ASSISTANCE:

Provision of Specialized Services.

### USES AND USE RESTRICTIONS:

DEA laboratories will conduct specialized forensic chemical analysis and examinations involving drug evidence for duly constituted state, county, and municipal law enforcement agencies on an as needed basis, in accordance with DEA policy and procedures. This service supplements but does not replace services provided by state, county, or municipal laboratories. The agencies/laboratories requesting the service must not have the capability of conducting the examination(s) requested. Examinations are made with the understanding that the evidence is connected with an official investigation of a criminal matter related to the mission of the DEA, and that the resulting laboratory report will be used only for official purposes related to the investigation or subsequent prosecution. Laboratory services and follow-up court testimony, if required, will be provided free of cost to agencies. DEA will assist state, county, and municipal agency laboratories with the training of their forensic chemists, as necessary and where appropriate. NOTE: THIS IS NOT A GRANT PROGRAM. NO FUNDING IS AVAILABLE.

### Applicant Eligibility:

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

### Beneficiary Eligibility:

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

### Credentials/Documentation:

A formal written request is required from an appropriate official of the requesting law enforcement agency.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Made in the form of a letter on official letterhead to the Director of the DEA Laboratory which services the regional area where the agency is located; or to DEA Headquarters, Washington, DC 20537; Attn: Deputy Assistant Administrator, Office of Forensic Sciences.

### Award Procedure:

Note: This is not a grant program. No funding is available.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

15-1100-0-1-751.

### Obligations:

(Salaries and expenses) FY 07 \$4,077,245; FY 08 est \$4,754,523; and FY 09 est \$5,229,975.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2007, 4,829 State and local exhibits were analyzed.

### REGULATIONS, GUIDELINES, AND LITERATURE:

None.

### Regional or Local Office:

Please contact the field laboratories of the DEA; see Appendix IV of the catalog for a list of addresses.

### Headquarters Office:

Deputy Assistant Administrator, Office of Forensic Sciences, Drug Enforcement Administration, Washington, DC 20537. Telephone: (202) 307-8866.

### Web Site Address:

<http://www.dea.gov>.

### RELATED PROGRAMS:

16.301, Law Enforcement Assistance\_FBI Crime Laboratory Support; 16.303, Law Enforcement Assistance\_FBI Fingerprint Identification.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 16.003 LAW ENFORCEMENT ASSISTANCE-NARCOTICS AND DANGEROUS DRUGS TECHNICAL LABORATORY PUBLICATIONS

(Microgram)

### FEDERAL AGENCY:

DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

### AUTHORIZATION:

Comprehensive Drug Abuse Prevention and Control Act of 1970; Reorganization Plan No. 2, 1973.

### OBJECTIVES:

To disseminate scientific information on the detection and analysis of narcotics and dangerous drugs.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

To provide current information on detection and analysis of narcotics and dangerous drugs.

### Applicant Eligibility:

Forensic laboratories or scientists doing work for law enforcement agencies.

### Beneficiary Eligibility:

Forensic laboratories or scientists doing work for law enforcement agencies.

### Credentials/Documentation:

The applicant must apply on official letterhead of a law enforcement agency.

### Preapplication Coordination:

Not applicable. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Made in the form of a letter on official letterhead to DEA Headquarters, DC 20537; ATTN: Deputy Assistant Administrator, Office of Forensic Sciences.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

15-1100-0-1-751.

### Obligations:

(Expenses) FY 07 \$650; FY 08 est \$2,500; and FY 09 est \$650.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

During fiscal year 2007, 12 Microgram Bulletin issues and one Microgram Journal issue were published. Since the publication is currently available on the internet, the number of issues disseminated via U.S. mail has been greatly reduced. In fiscal year 2007, approximately 1.3 million page views were made on the Microgram site, <http://www.usdoj.gov/dea/program/forensicsci/microgram/index.html>.



**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Microgram" -no charge to eligible applicants.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Assistant Administrator, Office of Forensic Sciences, Drug Enforcement Administration, Washington, DC 20537. Telephone: (202) 307-8866.

**Web Site Address:**

<http://www.dea.gov>.

**RELATED PROGRAMS:**

16.005, Public Education on Drug Abuse\_Information; 93.242, Mental Health Research Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.004 LAW ENFORCEMENT ASSISTANCE-NARCOTICS AND DANGEROUS DRUGS TRAINING****FEDERAL AGENCY:**

DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Comprehensive Drug Abuse Prevention and Control Act of 1970; Reorganization Plan No. 2, 1973.

**OBJECTIVES:**

To acquaint appropriate professional and enforcement personnel with (1) techniques in the conduct of drug investigations; (2) aspects of physical security in legitimate drug distribution; (3) techniques in analysis of drugs for evidential purpose; (4) pharmacology, socio-psychological aspects of drug abuse, drug education, and; (5) management and supervisory training for drug unit Commanders.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

For use by accredited members of agencies or organizations involved in the control of drug abuse or regulation of the drug industry.

**Applicant Eligibility:**

State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Beneficiary Eligibility:**

State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Credentials/Documentation:**

The applicant must furnish suitable credentials.

**Preapplication Coordination:**

Nominations received through DEA Field Division Offices. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Made in the form of a letter or a pre- printed application to the Divisional Office in the area or to the DEA Office of Training.

**Award Procedure:**

By written communication to applicant (teletype, letter, etc).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

15-1100-0-1-751.

**Obligations:**

(Salaries and Expenses) FY 07 \$3,099,850; and FY 08 est \$3,434,610; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year (FY) 2006, the Office of Training (TR) provided training to 41,313 state and local law enforcement personnel. In FY 2007, TR provided

training to 42,204 state and local law enforcement personnel. In FY 2008, TR will provide training to approximately 36,580 state and local law enforcement personnel.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See the list of regional offices of the DEA in the Catalog address Appendix IV.

**Headquarters Office:**

Drug Enforcement Administration, Office of Training, P.O. Box 1475, Quantico, VA 22134-1475. Contact: Donald R. Webb; Telephone: (703) 632-5141; Fax: (703) 632-5167.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.300, Law Enforcement Assistance\_FBI Advanced Police Training; 16.302, Law Enforcement Assistance\_FBI Field Police Training; 16.012, Alcohol, Tobacco, and Firearms\_Training Assistance; 97.015, Secret Service\_Training Activities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.012 ALCOHOL, TOBACCO, AND FIREARMS-TRAINING ASSISTANCE****FEDERAL AGENCY:**

BUREAU OF ALCOHOL, TOBACCO, FIREARMS, AND EXPLOSIVES, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title XVIII, Public Law 90-351; Gun Control Act of 1968, Title XVIII, Public Law 90-618, 18 U.S.C. 44; Organized Crime Control Act of 1970, Title XVIII, Public Law 91-452, 18 U.S.C. 40.

**OBJECTIVES:**

To help the participant identify the laws relating to alcohol, tobacco, firearms and explosives, and provide training in specific investigative skills and techniques, and to help State, county, and local law enforcement officers improve their law enforcement capabilities in the organized crime area, including arson, undercover, firearms and explosives investigations.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Training programs are conducted in the areas of: Identification of the Firearms Problem; Motives and Analysis of Applicable Federal, State and Local Laws; Laboratory Capability; Sources of Information; Interviewing; Investigative Techniques; and Case Management.

**Applicant Eligibility:**

State, county, and local law enforcement agencies. Participation is limited to non-uniformed police personnel engaged in firearms and arson investigations or in the process of being assigned or promoted to such non-uniformed assignments.

**Beneficiary Eligibility:**

State, county, and local law enforcement agencies.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit requests to the Assistant Director (Training and Professional Development), Bureau of Alcohol, Tobacco and Firearms, 99 New York Avenue, NE., Washington, DC 20226.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

15-0700-0-1-751.

**Obligations:**

(Travel and Materials) FY 07 \$2,500,000; FY 08 est \$3,200,000; and FY 09 est not reported. (Note: Agencies will bear the cost of training on a reimbursable basis.)

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Each year about 600 law enforcement officers participate in ATF arson/explosives investigative training, cigarette tax audit enforcement, undercover investigative training, and armed criminal training.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, National Center for Explosives Training and Research, 99 New York Avenue, NE., Washington, DC 20226. Telephone: Commercial (202) 648-8401.

**Web Site Address:**

<http://www.atf.gov>.

**RELATED PROGRAMS:**

16.004, Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance\_FBI Advanced Police Training; 16.302, Law Enforcement Assistance\_FBI Field Police Training; 21.004, Exchange of Federal Tax Information With State Tax Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 16.013 VIOLENCE AGAINST WOMEN ACT COURT TRAINING AND IMPROVEMENT GRANTS

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

This program was authorized by the Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 105, Public Law 109-162, 42 U.S.C. 14043a.

**OBJECTIVES:**

To improve court responses to adult and youth domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purposes: (1) improved internal civil and criminal court functions, responses, practices, and procedures; (2) education for court-based and court-related personnel on issues relating to victims' needs, including safety, security, privacy, confidentiality, and economic independence, as well as information about perpetrator behavior and best practices for holding perpetrators accountable; (3) collaboration and training with Federal, State, tribal, territorial, and local public agencies and officials and nonprofit, nongovernmental organizations to improve implementation and enforcement of relevant Federal, State, tribal, territorial, and local law; (4) enabling courts or court-based or court-related programs to develop new or enhance current -- (A) court infrastructure (such as specialized courts, dockets, intake centers, or interpreter services); (B) community-based initiatives within the court system (such as court watch programs, victim assistants, or community-based supplementary services); (C) offender management, monitoring, and accountability programs; (D) safe and confidential information-storage and -sharing databases within and between court systems; (E) education and outreach programs to improve community access, including enhanced access for underserved populations; and (F) other projects likely to improve court responses to domestic violence, dating violence, sexual assault, and stalking; and (5) providing technical assistance to Federal, State, tribal, territorial, or local courts wishing to improve their practices and procedures or to develop new programs.

**Applicant Eligibility:**

Federal, State, tribal, territorial, or local courts or court-based programs; and national, State, tribal, territorial, or local private, nonprofit organizations with demonstrated expertise in developing and providing judicial education about domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Courts and nonprofit organizations.

**Credentials/Documentation:**

Applicants must certify in writing that: (A) any courts or court-based personnel working directly with or making decisions about adult or youth parties experiencing domestic violence, dating violence, sexual assault, and stalking

have completed or will complete education about domestic violence, dating violence, sexual assault, and stalking; (B) any education program developed under section 14043 of this title has been or will be developed with significant input from and in collaboration with a national, tribal, State, territorial, or local victim services provider or coalition; and (C) the grantee's internal organizational policies, procedures, or rules do not require mediation or counseling between offenders and victims physically together in cases where domestic violence, dating violence, sexual assault, or stalking is an issue.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

This is a newly established program. OVW expects to issue a solicitation in Fiscal Year 2009. Check for online announcements at [www.ovw.usdoj.gov](http://www.ovw.usdoj.gov).

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Information regarding length of awards will be included in an Application Kit for the program. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est 1,579,200.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural

Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.014 ENGAGING MEN AND YOUTH IN PREVENTING DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING**

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE AUTHORIZATION:

This program was authorized by the Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IV, Section 401, Public Law 109-162, 42 U.S.C. 14043d-4.

**OBJECTIVES:**

To develop or enhance programs related to engaging men and youth in preventing domestic violence, dating violence, sexual assault, and stalking by helping them to develop mutually respectful, nonviolent relationships.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (A) to develop or enhance community-based programs, including gender-specific programs in accordance with applicable laws that--(i) encourage children and youth to pursue nonviolent relationships and reduce their risk of becoming victims or perpetrators of domestic violence, dating violence, sexual assault, or stalking; and (ii) that include at a minimum--(I) information on domestic violence, dating violence, sexual assault, stalking, or child sexual abuse and how they affect children and youth; and (II) strategies to help participants be as safe as possible; or (B) to create public education campaigns and community organizing to encourage men and boys to work as allies with women and girls to prevent violence against women and girls conducted by entities that have experience in conducting public education campaigns that address domestic violence, dating violence, sexual assault, or stalking.

**Applicant Eligibility:**

Eligible entities under the first statutory purpose area are--(A) nonprofit, nongovernmental domestic violence, dating violence, sexual assault, or stalking victim service providers or coalitions; (B) community-based child or youth services organizations with demonstrated experience and expertise in addressing the needs and concerns of young people; (C) a State, territorial, tribal, or unit of local governmental entity that is partnered with an organization described in subparagraph (A) or (B); or (D) a program that provides culturally specific services. Eligible entities under the second statutory purpose area (public education campaigns and community organizing) are nonprofit, nongovernmental organizations or coalitions that have a documented history of creating and administering effective public education campaigns addressing the prevention of domestic violence, dating violence, sexual assault or stalking.

**Beneficiary Eligibility:**

Other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

This is a newly established program. OVW expects to issue a solicitation in Fiscal Year 2009. Check for online announcements at www.ovw.usdoj.gov.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Grants under this program will be for a period of two years. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est \$1,579,200.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

http://www.ovw.usdoj.gov.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.016 CULTURALLY AND LINGUISTICALLY SPECIFIC SERVICES PROGRAM**

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE AUTHORIZATION:

This program was authorized by the Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

**OBJECTIVES:**

To enhance culturally and linguistically specific services for victims of domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds shall be used for the following statutory program purposes: (A) working with State and local governments and social service agencies to develop and enhance effective strategies to provide culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; (B) increasing communities' capacity to provide culturally and linguistically specific resources and support for victims of domestic violence, dating violence, sexual assault, and stalking crimes and their families; (C) strengthening criminal justice interventions, by providing training for law enforcement, prosecution, courts, probation, and correctional facilities on



culturally and linguistically specific responses to domestic violence, dating violence, sexual assault, and stalking; (D) enhancing traditional services to victims of domestic violence, dating violence, sexual assault, and stalking through the leadership of culturally and linguistically specific programs offering services to victims of domestic violence, dating violence, sexual assault, and stalking; (E) working in cooperation with the community to develop education and prevention strategies highlighting culturally and linguistically specific issues and resources regarding victims of domestic violence, dating violence, sexual assault, and stalking; (F) providing culturally and linguistically specific programs for children exposed to domestic violence, dating violence, sexual assault, and stalking; (G) providing culturally and linguistically specific resources and services that address the safety, economic, housing, and workplace needs of victims of domestic violence, dating violence, sexual assault, or stalking, including emergency assistance; or (H) examining the dynamics of culture and its impact on victimization and healing.

**Applicant Eligibility:**

Community-based programs whose primary purpose is providing culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; and community-based programs whose primary purpose is providing culturally and linguistically specific services who can partner with a program having demonstrated expertise in serving victims of domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Community and faith-based programs.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

This is a newly established program. OVW expects to issue a solicitation in Fiscal Year 2009. Check for online announcements at [www.ovw.usdoj.gov](http://www.ovw.usdoj.gov).

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Awards will be two years. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est \$4,119,080.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

## 16.017 SEXUAL ASSAULT SERVICES PROGRAM

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

This program was authorized by the Violence Against Women and Department of Justice Reauthorization Act of 2005, 42 U.S.C. 14045a.

**OBJECTIVES:**

To increase intervention, advocacy, accompaniment, support services, and related assistance for adult, youth, and child victims of sexual assault; family and household members of such victims; and those collaterally affected by the victimization, except for the perpetrator of such victimization.

**TYPES OF ASSISTANCE:**

Project Grants; Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are for intervention and related assistance to victims of sexual assault, including: (i) 24-hour hotline services providing crisis intervention services and referral; (ii) accompaniment and advocacy through medical, criminal justice, and social support systems, including medical facilities, police, and court proceedings; (iii) crisis intervention, short-term individual and group support services, and comprehensive service coordination and supervision to assist sexual assault victims and family or household members; (iv) information and referral to assist the sexual assault victim and family or household members; (v) community-based, linguistically and culturally specific services and support mechanisms, including outreach activities for underserved communities; and (vi) the development and distribution of materials on issues related to the services described in clauses (i) through (v).

**Applicant Eligibility:**

Eligible applicants are States and territories.

**Beneficiary Eligibility:**

Beneficiaries are rape crisis centers and other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

Each application submitted under this program shall-- (i) set forth procedures designed to ensure meaningful involvement of the State or territorial sexual assault coalition and representatives from underserved communities in the development of the application and the implementation of the plans; (ii) set forth procedures designed to ensure an equitable distribution of grants and grant funds within the State or territory and between urban and rural areas within such State or territory; (iii) identify the State or territorial agency that is responsible for the administration of programs and activities; and (iv) meet other such requirements as the Attorney General reasonably determines are necessary to carry out the purposes and provisions of this section.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply on-line at the online Grants Management System (GMS) portal. The receipt, review, and analysis of applications will follow Office on

Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

This is a newly established program. OVW expects to issue a solicitation in Fiscal Year 2009. Check for online announcements at [www.ovw.usdoj.gov](http://www.ovw.usdoj.gov).

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

By statute, OVW will allocate to each State not less than 1.50 percent of the total amount appropriated in a fiscal year for grants under this program, except that the United States Virgin Islands, American Samoa, Guam, the District of Columbia, Puerto Rico, and the Commonwealth of the Northern Mariana Islands shall each be allocated 0.125 percent of the total appropriations. The remaining funds shall be allotted to each State and each territory in an amount that bears the same ratio to such remaining funds as the population of such State and such territory bears to the population of all the States and the territories. The District of Columbia shall be treated as a territory for purposes of calculating its allocation under the preceding formula. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

OVW will make awards for at least one year. Funds are released on an as-needed basis to the grantee.

**Reports:**

Annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est 5,264,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

## 16.019 TRIBAL REGISTRY

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

This program was authorized by the Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 905(b), Public Law 109-162, 28 U.S.C. 534 note.

**OBJECTIVES:**

To develop and maintain a national tribal sex offender registry and a tribal protection order registry containing civil and criminal orders of protection issued by Indian tribes and participating jurisdictions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

Funds may be used to develop and maintain a national tribal sex offender registry and a tribal protection order registry containing civil and criminal orders of protection issued by Indian tribes and participating jurisdictions.

**Applicant Eligibility:**

Eligible applicants are tribes, tribal organizations, or tribal nonprofit organizations.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Beneficiaries include tribes and tribal law enforcement.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or office designated as the single point of contact in his or her State for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply on-line at the [grants.gov](http://grants.gov) portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the effective edition of the OJP Financial Guide. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.100 DESEGREGATION OF PUBLIC EDUCATION****FEDERAL AGENCY:**

CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Civil Rights Act of 1964, as amended, Title IV, Public Law 88-352, 42 U.S.C. 2000(c), Title VI, 42 U.S.C. 2000(d), Title IX, 42 U.S.C. 2000(h-2); Equal Educational Opportunities Act of 1974, Public Law 93-380, 20 U.S.C. 1701, et seq.; Education Amendments of 1972, Title IX, Public Law 92-318, 20 U.S.C. 1681.

**OBJECTIVES:**

To secure equal educational opportunity for persons regardless of race, color, religion, sex, or national origin.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The Justice Department may go to court to obtain an order to desegregate a public school (elementary or secondary levels) or public college. The Attorney General may initiate legal proceedings to further orderly desegregation upon receiving a meritorious written complaint from (1) any parent or group of parents whose minor children are being deprived by a school board of equal protection of the laws; or (2) any individual or parent of an individual who has been denied admission to or not permitted to continue in attendance at a public college or university because of race, color, religion, sex or national origin. The Attorney General must certify that the suit will materially further the orderly process of desegregation. The Attorney General may also intervene in any case in which the plaintiff alleges a denial of equal protection of the law on the basis of race, color, religion, sex, or national origin. In addition, the Attorney General may litigate Title VI, Title IX (of the Education Amendments of 1972), Section 504 of the Rehabilitation Act of 1973 referrals received from the Department of Education, previously the Department of Health Education and Welfare, to vindicate the rights of individuals excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance on account of their race, color, sex, national origin, or disability. The Attorney General may also go to court to ensure that school districts take appropriate steps to overcome language barriers that impede equal participation in the district's instructional program pursuant to the Equal Educational Opportunities Act.

**Applicant Eligibility:**

Parent or group of parents in the case of public schools. An individual or his/her parents in the case of a public college.

**Beneficiary Eligibility:**

Parent or group of parents in the case of public schools. An individual or his/her parents in the case of a public college.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries and Expenses) FY 07 \$5,890,000; FY 08 est \$5,916,000; and FY 09 est \$6,091,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Among the Section's most important priorities is its responsibility to monitor approximately 240 school districts currently covered by desegregation orders in cases in which the United States is a party. To ensure that districts comply with their obligations, the Section routinely reviews matters relating to student assignment, faculty assignment and hiring, transportation policies, extracurricular activities, the availability of equitable facilities, and the distribution of resources. The Section also routinely responds to requests by other parties to modify court orders to reflect current circumstances, and to requests by parties, as well as courts, regarding unitary status and the ultimate dismissal of the lawsuit. As a result of these activities, the Section obtained various types of relief including: improved facilities for minority students; the elimination of one-race classrooms and schools; the desegregation of faculty and recruitment of minority faculty and staff; more equitable transportation routes for minority students; the elimination of segregative transfers; and the elimination of race-based extracurricular activities. Also, where appropriate, EOS has agreed that school districts have eliminated the vestiges of the dual system to the extent practicable and thus the district has achieved unitary status. For instance, in FY 2008, in *Graham and United States v. Evangeline Parish Sch. Bd. (W.D. LA)*, the Division filed a motion for further relief because of the poor facilities at a majority-black high school and the failure of the district to provide agreed upon programming. The parties are engaging in discovery and the case is set for a hearing. In *U.S. v. Claiborne Parish Sch. Dist. (LA)*, EOS has reached an agreement with the district to close a virtually one-race school and re-assign students on a desegregated basis to the extent practicable. In *United States v. McComb Mun. Sep. Sch. Sys. (MS)*, the court issued a decision resolving our motion for further relief and the district's motion for unitary status. The court agreed that the district could not be declared unitary in the area of student assignment because its student assignment policies at Otken and Kennedy elementary schools violated the governing desegregation order and federal law. The court further ruled that it could not grant the district unitary status with respect to its homecoming court, because new policies that replaced the district's prior race-based regime had not been in place for a reasonable period of time. The court asked the district to formulate new student assignment policies for Otken and Kennedy and submit them to the United States for approval. We have received a plan for the district and are in the process of providing the district with comments and drafting a consent decree. In *Monteilh and United States v. St. Landry Parish Sch. Bd. (LA)*, the Division conducted a review of the district's personnel assignment, at the request of the court. The Division notified the District that it operated dual principal assignment which was inconsistent with its constitutional obligations to desegregate. The court ordered the District to reassign its principals in a manner that furthered desegregation. The district has since reassigned principals for the 2008-2009 school year. Other notable achievements in safeguarding the educational opportunities for all students in FY 2008 included: (1) since the start of FY 2001, initiating over 275 case reviews; (2) continuing to monitor school districts under court order and notifying 41 school districts regarding compliance concerns and working to resolving those concerns; (3) filing motions seeking relief in Crisp County, Georgia, Chicago, Illinois, and Evangeline Parish, Louisiana; (4) working with parties in longstanding desegregation cases to ensure that requests for unitary status were properly evaluated and agreeing to unitary status in 29 cases where our efforts helped achieve unitary school systems; and (6) opposing requests for declarations of unitary status in cases, and attempting where appropriate to resolve the cases amicably. The Section continued its efforts in cases involving religious discrimination. Specifically, investigations were opened into complaints alleging discrimination on the basis of religion in, among other areas, freedom of expression, religious dress, access to facilities, and harassment. For instance, we are negotiating a settlement agreement addressing the harassment of a student based on religion and national origin, in addition to the district's overall anti-harassment policies. To ensure equal educational opportunities for English Language Learners (ELL), the Section, as part of a nationwide effort,



opened four investigations in FY 2008 and is actively pursuing ongoing investigations in school districts in California, Colorado, Connecticut, Illinois, Massachusetts, New York, and Virginia. These districts have significant or new ELL populations. The purpose of the investigations is to ensure that ELL students are receiving proper services to enable them to overcome language barriers that impede equal participation in the school districts educational programs. In U.S. v. Chicago Bd. of Educ. (IL), the Section filed a motion to enforce the ELL provisions of the August 2006 Second Amended Consent Decree because the Chicago Public Schools (CPS) have failed to comply with the following ELL provisions: (1) CPS has not demonstrated that a significant number of its special education ELLs are appropriately served; (2) CPS has not provided thousands of ELLs with appropriate or timely ELL services; and (3) CPS has failed to provide native language instruction and materials for many of its Transitional Bilingual Education programs. At the court's direction, the parties are negotiating the content and format of EOS' requested relief. In Lau v. Hopp (CA), the Section is negotiating a consent decree with the San Francisco Unified School District addressing outstanding ELL issues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

28 CFR 0.50; Civil Rights Act of 1964; Summary of the Civil Rights Act of 1964.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Educational Opportunities Litigation Section, Washington, DC 20530. Telephone: (202) 514-4092. Contact: Office of Public Affairs, Department of Justice. Telephone: (Voice) (202) 514-2007; (TDD) (202) 514-1888.

**Web Site Address:**

<http://www.usdoj.gov/crt/edo/index.html>.

**RELATED PROGRAMS:**

16.200, Community Relations Service; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 84.004, Civil Rights Training and Advisory Services; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 16.101 EQUAL EMPLOYMENT OPPORTUNITY

**FEDERAL AGENCY:**

CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VII, 42 U.S.C. 2000(e), as amended; Executive Order 11246, September 24, 1965; Reorganization Plan No. 1, 1978. Uniformed Services Employment and Reemployment Rights Act of 1994.

**OBJECTIVES:**

To enforce Federal laws providing equal employment opportunities for all without regard to race, religion, national origin, and sex, and to defend the lawfulness and constitutionality of Federally authorized affirmative action programs.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Title VII of the 1964 Civil Rights Act, as amended, and other Federal Laws and regulations forbid discrimination in employment by private employers, labor organizations, employment agencies, State and local governments and public agencies. The Attorney General is authorized to sue to enjoin and remedy discrimination in employment by State and local government employers under Title VII. Upon referral from the Department of Labor, the Attorney General is authorized to sue to enforce the non-discrimination in employment provisions of Executive Order 11246, as amended, with respect to government contractors and subcontractors. The Section also enforces against state and local government employers and private employers the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA"), which prohibits employers from discriminating or retaliating against an employee or applicant for employment because of such person's past, current or future military obligation. The Attorney General does not, as such, represent specific individuals, though the public interest is served by obtaining relief for them through pattern or practice or 706 referral lawsuits. In addition, the Civil Rights Division represents other Federal agencies in challenges to laws and orders that authorize affirmative action in employment, procurement and contracting on federally-assisted projects.

**Applicant Eligibility:**

All persons.

**Beneficiary Eligibility:**

All persons.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries and Expenses) FY 07 est \$9,963,000; FY 08 est \$10,007,000; and FY 09 est \$10,306,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the Civil Rights Division's Employment Litigation Section filed nine Section 706 complaints, two Section 707 complaints and six Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) complaints. The Section also settled four Section 706 cases, and six USERRA cases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Guidelines on Employee Selection Procedures (1978), 43 F.R. 38290.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Employment Litigation Section, Washington, DC 20530. Telephone: (Voice) (202) 514-3831; 800-578-5404 (TDD). Contact: Office of Public Affairs, Department of Justice. Telephone: (202) 514-2007; (TDD): (202) 514-1888.

**Web Site Address:**

<http://www.usdoj.gov/crt/emp/index.html>.

**RELATED PROGRAMS:**

16.200, Community Relations Service; 17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards; 17.700, Women's Bureau; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 16.103 FAIR HOUSING AND EQUAL CREDIT OPPORTUNITY

**FEDERAL AGENCY:**

CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Civil Rights Act of 1964, as amended, Title II and Title III; Civil Rights Act of 1968, as amended, Title VIII, Public Law 90-284, Fair Housing Amendments Act of 1988, Public Law 100-430, 42 U.S.C. 3601; Equal Credit Opportunity Act of 1974, Public Law 93-495; Equal Credit Opportunity Act of 1976, Public Law 94-239; 15 U.S.C. 1691; Religious Land Use and Institutionalized Persons Act of 2000, Public Law 106-274, 42 U.S.C. 2000cc.; Servicemembers Civil Relief Act of 2003, Public Law 108-189, 50 U.S.C App. 501.

**OBJECTIVES:**

The Fair Housing Act provides freedom from discrimination on the basis of race, color, religion, sex, national origin, handicap and familial status in connection with the sale, rental, and financing of housing and other related activities. The Equal Credit Opportunity Act (ECOA) prohibits discrimination in credit transactions on the basis of race, color, religion, national origin, sex, marital status, or age (provided the applicant has the capacity to contract), because all or a part of the applicant's income is derived from a public assistance program, or

because the applicant has in good faith exercised any right under the Consumer Credit Protection Act. Title II of the 1964 Civil Rights Act prohibits discrimination on the basis of race, color, national origin and religion in places of public accommodation, which are defined to include hotels, motels, restaurants, gas stations, and places of entertainment. Title III prohibits the denial of equal protection rights in public facilities. Section 2 of the Religious Land Use and Institutionalized Persons Act (RLUIPA) prohibits local governments from significantly burdening the exercise of religion or discriminating against religious institutions in their land use and zoning decisions. The Servicemembers Civil Relief Act provides for the temporary suspension of judicial and administrative proceedings and civil protections in areas such as housing and credit for military personnel while they are on active duty.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The Fair Housing Act, which is found in Title VIII of the Civil Rights Act of 1968, as amended by the Fair Housing Amendments Act of 1988, is designed to ensure freedom from discrimination in the sale, rental and financing of housing, and other related activities. The Act provides two major avenues of enforcement by the Department. First, the Attorney General has independent authority to bring civil actions in Federal courts whenever he/she has reasonable cause to believe that any person or group of persons is engaged in a pattern or practice of discrimination or when he/she has reasonable cause to believe any group has been denied such rights in a case of general public importance. Under its pattern or practice authority, the Department may seek appropriate injunctive relief, actual and punitive damages for any persons injured by the discrimination, and civil penalties of up to \$55,000 against a defendant for the first violation and up to \$110,000 for subsequent violations of the Act. Second, the Department also has authority to seek relief on behalf of individuals in certain circumstances, as follows. The Department of Housing and Urban Development (HUD) is required to investigate and conciliate any complaint of housing discrimination filed with that agency. If it cannot be conciliated, HUD is authorized to file an administrative charge if it determines there is reasonable cause to believe the Fair Housing Act has been violated. At that point, either party may elect to have such charge heard in Federal court, and if such election is made, the Department of Justice brings suit in Federal court on behalf of the complainant and may seek actual and punitive damages in such an action. Aside from enforcement by the Federal government, private suits alleging illegal discrimination may be filed in the appropriate Federal or State court within two years of alleged discrimination. The ECOA, as amended, is designed to prohibit certain types of discrimination in all aspects of credit transactions. Persons who believe that they are victims of such discrimination may file complaints with one of the appropriate Federal regulatory agencies or may bring the information to the attention of the Attorney General. The Department of Justice is authorized to institute litigation in Federal court when a matter is referred to the Attorney General by an agency responsible for administrative enforcement of the Act or when he/she has reasonable cause to believe that one or more creditors are engaged in a pattern or practice of discrimination in violation of the Act. The Act gives the United States authority to seek actual and punitive damages for any persons aggrieved by the discrimination. In addition, an aggrieved person may institute suit in a Federal court pursuant to the ECOA. Title II of the 1964 Civil Rights Act is designed to prohibit discrimination in certain kinds of public accommodations. It gives the Attorney General authority to bring a legal action when he/she determines that there is reasonable cause to believe that any person or group is engaged in a pattern or practice of discrimination which violates the provisions of Title II. Remedies available in such cases are limited to injunctive relief and the Department does not have authority to seek monetary relief. Private individuals also may bring legal action under Title II. In addition, there are other civil rights laws which give such individuals authority to take legal action against public accommodations not covered by Title II. Title III allows the Attorney General to file a civil action in federal district court after receiving a written complaint from an individual who alleges the denial of equal protection rights in a public facility, but is unable to initiate or maintain an independent action. 42 U.S.C. 2000b(a). The Religious Land Use and Institutionalized Persons Act passed in September, 2000 prohibits State and local governments from using their authority to burden the exercise of religion, exclude religious assemblies from their jurisdictions, or discriminate against religious institutions. It gives the Attorney General the authority to seek injunctive or declaratory relief for violations of the Act. Private individuals may also bring actions under the statute. The Servicemembers Civil Relief Act of 2003 provides for the temporary suspension of judicial and administrative proceedings and civil protections in areas such as housing and credit for military personnel while they are on active duty.

**Applicant Eligibility:**

All persons.

**Beneficiary Eligibility:**

All persons.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

There is no deadline for the filing of pattern or practices cases seeking injunctive relief with respect to housing or lending discrimination under the Fair Housing Act or public accommodations. However, any individual filing a complaint with HUD pursuant to the enforcement scheme discussed in part 070, must file the complaint with HUD within 1 year of the occurrence or termination of an alleged discriminatory housing practice. Under the ECOA, any legal action must be taken within 2 years of the discriminatory occurrence.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries and Expenses) FY 07 est \$14,168,000; FY 08 est \$14,287,000; and FY 09 est \$15,022,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Housing and Civil Enforcement Section's enforcement efforts continue to achieve significant accomplishments. In fiscal year 2007, the Section filed a total of 19 pattern or practice complaints and successfully resolved 24 pattern or practice cases. The Section continues its consistent efforts to enforce the accessibility provisions of the Act in conjunction with the President's New Freedom Initiative. loans; successful resolution of the Department's second case involving a violation of the land use provisions of the Religious Land Use and Institutionalized Persons Act (RLUIPA); and the filing of the Department's third and fourth new cases under RLUIPA challenging land use or zoning decisions by local governments that discriminate against houses of worship.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Housing and Civil Enforcement Section, Washington, DC 20530. Telephone: (202) 514-4713. Contact: Office of Public Affairs, Department of Justice. Telephone: (Voice) (202) 514-2007; (TDD) (202) 514-1888.

**Web Site Address:**

<http://www.usdoj.gov.crt/housing/hcehome.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.104 PROTECTION OF VOTING RIGHTS**

**FEDERAL AGENCY:**

CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Voting Rights Act of 1965, Public Law 89-110, 42 U.S.C. 1973-1973bb-1; Voting Rights Act Amendments of 1970, 1975, and 1982; Voting Rights Language Assistance Act of 1992; Public Laws 91-285, 94-73, 97-205, and 102-344; 42 U.S.C. 1971, 42 U.S.C. 1974; Uniformed and Overseas Citizens Absentee Voting Act, Public Law 99-410, 42 U.S.C. 1973ff; Voting Accessibility for the Elderly and Handicapped Act, Public Law 98-435, 42 U.S.C. 1973ee; National Voter Registration Act of 1993, Public Law 103-31, 42 U.S.C. 1973gg, Help America Vote Act of 2002, 42 U.S.C. 15301; Fannie Lou Hamer, Rosa Parks, and Coretta Scott King Voting Rights Act Reauthorization and Amendments Act of 2006, Public Law 109-246, 120 Stat. 577.

**OBJECTIVES:**

To provide protection of an individual's right to register and vote in all local, State and Federal elections without discrimination based on race, color, membership in a language minority group, or age. To assure the rights of persons who are disabled or are unable to read or write to receive assistance in voting from a person of their choice. To assure the right to vote in Federal elections to United States citizens residing overseas. To assure access to voter registration and to polling places for the elderly and handicapped, and to assure compliance with the National Voter Registration Act of 1993. To ensure that States and local government units responsible for administration of federal elections meet minimum election administration standards.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The Voting Rights Act of 1965, as amended, prohibits state and local governments from imposing or applying any voting standard, qualification, prerequisite, or procedure in a manner that results in a denial or abridgment of the right of any U.S. citizen to vote on account of race or color or because an individual is a member of a language minority group. The VRA bans the use of literacy and similar tests as a prerequisite to voter registration or voting, authorizes voters in need of assistance in voting (because of illiteracy or disability) to receive help from the person of their choice (other than their employer or union leader), and lets registered voters vote for president even if they change their residence shortly before a presidential election. Certain specially covered States and political subdivisions are required to submit any voting changes either to the District Court for the District of Columbia for a declaratory judgment that the changes do not have a discriminatory purpose or effect, or, in the alternative, to the U.S. Attorney General, who has 60 days in which to object to the proposed changes. Changes to which the Attorney General has objected are legally unenforceable unless a subsequent declaratory judgment is issued by the District Court for the District of Columbia. The VRA requires certain counties (under formulas in the act) to provide voting and election information bilingually and authorizes the Attorney General to send Federal voting observers to certain designated counties to monitor election day polling place activities to prevent discrimination. Under the Uniformed and Overseas Citizens Absentee Voting Act, 42 U.S.C. 1973ff, the Attorney General enforces the right of U.S. citizens living outside of the United States to vote in Federal elections. Under the Voting Accessibility for the Elderly and Handicapped Act, 42 U.S.C. 1973ee, the States must provide accessible registration and voting facilities for Federal elections. Under the National Voter Registration Act of 1993, 42 U.S.C. 1973gg, the States must conduct voter registration for Federal elections by mail and through motor vehicle and other agencies. Under the Help America Vote Act of 2002, 42 U.S.C. 15301, the States must administer federal elections in accord with minimal voting systems standards, requirements for provisional voting and voting information and requirements for computerized, statewide voter registration lists and voters who register by mail.

**Applicant Eligibility:**

All U.S. citizens old enough to vote.

**Beneficiary Eligibility:**

All U.S. citizens old enough to vote.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

There is no statutory formula or matching requirements for this program.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries and Expenses) FY 07 \$11,810,000; FY 08 est \$11,912,000; and FY 09

est \$15,944,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Civil Rights Division's Voting Section vigorously enforces the Voting Rights Act ("VRA") and other laws that protect the right to vote. Primary enforcement efforts in FY 2007 were (1) monitoring of elections to ensure compliance with federal voting rights laws; (2) litigation to enforce federal voting rights laws; (3) the administrative review of voting changes pursuant to Section 5 of the Voting Rights Act; (4) enforcement responsibility for Title III of the Help America Vote Act ("HAVA"); and (5) enforcement of the Uniformed and Overseas Citizens Absentee Voting Act ("UOCAVA") and (6) enforcement of the National Voter Registration Act (NVRA). During the past few years, the Civil Rights Division has significantly increased its election monitoring activities, particularly in the use of Departmental staff in those areas of the country where the Attorney General cannot send federal observers because the jurisdictions are not subject to the special provisions of the Voting Rights Act. In FY 2007, the Voting Section coordinated and monitored elections in 91 jurisdictions located in 24 different states. Overall, the Department covered 107 elections with 479 Department personnel and the assignment of 875 federal observers. The Division continues to establish new landmarks in protecting the voting rights of individuals with limited English proficiency. Section 203 of the Voting Rights Act requires certain jurisdictions to provide bilingual voting materials and assistance to American Indians, Asian Americans, Alaskan Natives, and/or persons of Spanish heritage. In FY 2007, lawsuits included actions to protect persons of Spanish heritage in the City of Philadelphia, PA; Galveston County, City of Earth, Littlefield ISD, Post ISD, Seagraves ISD, and Smyer ISD, TX, and Kane County, IL, and protection for Korean Americans in the City of Walnut, CA. Meanwhile, the Division continued to enforce the provisions of Section 2 of the Voting Rights Act, which provides that the right to vote may not be denied or abridged on account of race or color, or because of membership in a language minority group. In the Fiscal Year, the Division filed a lawsuit against the Village of Port Chester, NY and successfully resolved lawsuits against Osceola County, FL, Noxubee County, MS, and the City of Euclid, OH. The Division also continued its enforcement of the NVRA, a law designed to expand registration opportunities for all citizens and to ensure proper maintenance of voter registration lists. Two cases remain pending against the State of New York for failure to provide adequate voter registration opportunities to voters, including public assistance agencies and at public college offices that provide services to persons with disabilities. The Division also brought a NVRA and HAVA lawsuits against the States of New Jersey regarding the State's list maintenance practices which was successfully resolved and brought HAVA and NVRA claims against Cibola County, NM which were also resolved. The Division continues to be active in enforcing the Help America Vote Act of 2002 (HAVA). On January 1, 2006, requirements for voting system standards and statewide voter registration databases took effect. The Division is working to ensure that states comply with the new requirements. During FY 2007, with new provisions under the Help America Vote Act taking effect, the Division received 5,817 submissions of voting changes for administrative review under Section 5 of the VRA; 44 of these were redistricting plans. The Division is working to ensure that states promptly comply with the new requirements. In 2006, the Division was able to enter into a settlement agreement with the state of California. Negotiations are pending with several other states. During FY 2006, with new provisions under the Help America Vote Act taking effect, the Division received 7,216 submissions of voting changes for administrative review under

Section 5 of the VRA; 75 of these were redistricting plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

28 CFR 0.50; "Voting Rights Act of 1965, A Citizens Guide to Understanding the Voting Rights Act of 1965," (a copy of this pamphlet can be purchased from the Commission on Civil Rights-Clearinghouse Publication No. 84); 28 CFR 51; 45 CFR 801; 28 CFR 55.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Voting Section, Washington, DC 20530. Telephone: (202) 307-3143, (800) 253-3931. Contact: Office of Public Affairs, Department of Justice. Telephone: (Voice) (202) 514-2007; (TDD) (202) 514-1888.

**Web Site Address:**

[www.usdoj.gov/crt/voting/index.htm](http://www.usdoj.gov/crt/voting/index.htm)

**RELATED PROGRAMS:**

16.200, Community Relations Service; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.



## 16.105 CIVIL RIGHTS OF INSTITUTIONALIZED PERSONS

(Equal Enjoyment of Rights in Public Facilities; Protection of Rights to Reproductive Health Services)

### FEDERAL AGENCY:

CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

### AUTHORIZATION:

Civil Rights of Institutionalized Persons Act, Public Law 96-247, 42 U.S.C. 1997; Religious Land Use and Institutionalized Persons Act of 2000, 42 U.S.C. 2000cc-1; Civil Rights Act of 1964, as amended, Title III; Freedom of Access to Clinic Entrances Act, 18 U.S.C 248; Violent Crime Control and Law Enforcement Act of 1994, Section 210401, 42 U.S.C. 14141; Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. 3789d.

### OBJECTIVES:

To initiate actions for redress in cases involving deprivations of rights of institutionalized persons secured and protected by the Constitution or laws of the United States. To prevent any government from imposing a substantial burden on the religious exercise of a person residing in or confined to a publicly operated institution. To provide equal utilization of any public facility owned or operated by any State or subdivision thereof, without regard to race, religion, or national origin. To obtain civil relief for certain violent, threatening, obstructive, and destructive conduct intended to injure, intimidate, or interfere with persons seeking to obtain or provide reproductive health services, or interfere with the First Amendment right of religious freedom, or destroy the property of a place of religious worship. To seek relief to redress a pattern or practice of conduct by law enforcement officers that deprives citizens of the United States of their constitutional rights.

### TYPES OF ASSISTANCE:

Provision of Specialized Services.

### USES AND USE RESTRICTIONS:

The Attorney General is authorized to initiate or intervene in actions for equitable relief on behalf of institutionalized persons residing in public institutions wherein a pattern or practice of egregious or flagrant conditions exists. Such institutions include: facilities for persons who are mentally ill or mentally retarded, nursing homes, prisons, jails, and juvenile detention and correctional facilities. The Attorney General may bring suit to protect the rights of persons in publicly operated institutions to be allowed to exercise their religion without substantial burdens being imposed by the public entity operating the institution. The Attorney General may also bring suit and request injunctive relief prohibiting discrimination on the basis of race, color, religion, and national origin in the operation of public facilities when he/she "has reasonable cause to believe" that a State of political subdivision is engaged in such discrimination. The Attorney General is authorized to investigate and, where appropriate, initiate actions for relief from certain violent, threatening, obstructive, and destructive actions intended to injure, intimidate, or interfere with persons seeking reproductive health services, or deny religious freedom, or destruction of property at places of religious worship. The Attorney General is authorized to investigate patterns or practices of conduct by law enforcement officials which deprive U.S. citizens of their constitutional rights, and may initiate civil actions for relief from such constitutional deprivations.

### Applicant Eligibility:

Any person notifying the Attorney General of a pattern or violations of Federal rights of persons confined in a public institution in any State, territory, or Commonwealth of the United States. Any person notifying the Attorney General of violations of the Freedom of Access to Clinic Entrances Act (FACE). Any person notifying the Attorney General of pattern or practice conduct by law enforcement officers which deprive citizens of the U.S. of their constitutional rights under Section 14141.

### Beneficiary Eligibility:

Institutionalized persons confined in public facilities such as prisons, jails, mental health and mental retardation facilities, nursing homes, and juvenile correctional facilities where there is a pattern of unlawful conditions. Any persons in a publicly operated institution not allowed to exercise their religion because of substantial burdens imposed by the public entity operating the institution. Any persons who have been denied access to or the ability to provide clinic reproductive health services, or has been denied religious freedom, or suffered the destruction of property at a place of religious worship. Any persons who, as a part of a pattern or practice of conduct by law enforcement officers, have been deprived of their constitutional rights.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Contact the Department of Justice, Civil Rights Divisions, Special Litigation Section, Washington, DC 20530 or any United States Attorney's Office.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

15-0128-0-1-752.

### Obligations:

(Salaries and Expenses) FY 07 est \$12,656,000; FY 08 est \$12,765,000; and FY 09 est 13,426,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Civil Rights of Institutionalized Persons Act (CRIPA): covers public institutions, including prisons, jails, juvenile justice facilities, mental retardation facilities, psychiatric hospitals and nursing homes. From May 1980, when CRIPA was enacted, through May 2008, the Division investigated conditions in over 453 nursing homes, mental health facilities, centers for persons with developmental disabilities, residential schools for children with disabilities, jails, prisons, and juvenile justice facilities. Presently, the Section has open CRIPA investigations and cases involving approximately 200 facilities. Our work regarding over one third of those facilities is in the investigative stage, including 55 new investigations of 88 facilities initiated since January 2004. The Section also has undertaken a nursing home initiative to address constitutional violations in publicly operated nursing homes, and a juvenile justice initiative to protect the federal rights youth confined to juvenile justice facilities. From FY 1998 to date, we have settled over 95 percent of our CRIPA cases. Since FY 2003 alone, the Section conducted over 711 on-site inspections of institutions. In addition, we have resolved many investigations pre-suit because jurisdictions voluntarily corrected the identified problems. In FY 2007 and the three-quarters of FY 2008, CRT conducted over 200 investigatory and compliance tours, and handled CRIPA matters and cases involving over 205 facilities in 32 States, the District of Columbia, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Territories of Guam and the Virgin Islands. SPL also continued its investigations of 105 facilities, and monitored the implementation of consent decrees, settlement agreements, memoranda of understanding, and court orders involving over 100 facilities. During FY 2007-08, SPL opened 25 new investigations of 53 facilities, including a country-wide investigation involving 19 juvenile facilities, and obtained ten settlement agreements and issued 18 findings letters. Moreover, the Section continues to participate in a pre-CRIPA case regarding persons with developmental disabilities residing in approximately 200 community-based facilities in the District of Columbia. Police Misconduct: The Section continues to play a major role in promoting law enforcement management policies and practices that foster police integrity through its outreach, technical assistance and enforcement efforts under 42 U.S.C. 14141 and the Safe Streets Act. The Section has open investigations of 10 law enforcement agencies. The subject matter of the investigations usually includes allegations of a pattern or practice of excessive force or discriminatory policing tied to management deficiencies. The investigations are complex, usually requiring the review of voluminous records, extensive interviews, creation and analysis of sophisticated databases, and the use of police practices and other consultants. Investigations also include provision of technical assistance through the continuing identification of deficient policies and management practices and, in some instances, direct technical assistance presentations to agency personnel by our police practices consultants. In six of our seven lawsuits alleging a pattern or practice of police misconduct, consent decrees were negotiated and were lodged simultaneously with our complaints; the seventh lawsuit was ultimately resolved by an out of court settlement. In addition, eight other investigations have resulted in out-of-court settlements including police departments in the District of Columbia, Prince George's County, MD, Detroit, MI, and Villa Rica, GA. The settlements require the adoption and implementation of policies and procedures designed to prevent excessive force, improper searches and seizures, and other misconduct. Finally, during FY 2007 and into FY 2008, we focused our resources on vigorously monitoring the enforcement of its eight existing settlement agreements to ensure timely, compliance with the terms of those agreements. As a result, we successfully and timely terminated our police reform settlements with Mt. Prospect, Illinois (January 2007); Prince George's County, MD (March 2007), and Cincinnati, OH

(April 2007), and Cleveland, OH (March 2008). We also expect to successfully conclude our settlement with the District of Columbia's Metropolitan Police Department in June 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

28 C.F.R. 0.50, Summary of the Civil Rights Act of 1964, 45 C.F.R. Part 84.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Special Litigation Section, Washington, DC 20530. Telephone: (202) 514-6255. Contact: Office of Public Affairs. Telephone: (Voice) (202) 514-2007; (TDD) (202) 514-1888.

**Web Site Address:**

<http://www.usdoj.gov/crt/split/index.html>.

**RELATED PROGRAMS:**

29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 93.613, President's Committee for People with Intellectual Disabilities (PCPID).

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**16.108 AMERICANS WITH DISABILITIES ACT  
TECHNICAL ASSISTANCE PROGRAM**

(ADA)

**FEDERAL AGENCY:**

CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Americans with Disabilities Act, Public Law 101-336, Section 506.

**OBJECTIVES:**

To ensure that public accommodations and commercial facilities and State and local governments learn of the requirements of Titles II and III of the Americans with Disabilities Act (ADA) and acquire the knowledge needed to comply voluntarily with these requirements.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Training; Investigation of Complaints; Project Grants.

**USES AND USE RESTRICTIONS:**

Grants limited to the provision of technical assistance and educational activities that have a wide impact, including the development and dissemination of materials, the conduct of seminars, conferences, and training, and the provision of technical assistance on a state, regional or national basis depending on the funding priorities announced each year. Because the grant program is educational in nature, the Department does not fund projects to research or resolve issues that are outside the scope of the Department's current ADA regulations and court interpretations. The program is not intended to fund or support site-specific compliance implementation (e.g., funding to make specific facilities more accessible), or to fund or support inspections, reviews, or tests to determine whether an entity is meeting its compliance obligations. The program does not provide funding to help people with disabilities become more productive or acquire services they need because of their disability.

**Applicant Eligibility:**

Nonprofit organizations, including trade and professional associations or their subsidiaries, organizations representing State and local governments or their employees, other organizations representing entities covered by the ADA, State and local governments agencies, national and State-based organizations representing persons with disabilities, and individuals.

**Beneficiary Eligibility:**

The target audiences of funded grants will include State and local governments, businesses and nonprofit organizations that operate public accommodations and commercial facilities, and individuals who want information about their rights or responsibilities under the ADA.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

When funds are available, a notice of solicitation of grant applications is published in Federal Register. Applications are typically submitted in 45 to 60 days prior to award. Solicitation requires that the following forms be submitted with the application: SF 424 and 424A Application for Federal Assistance; Office of Justice Programs (OJP) Form 4000-3 (attached to SF 424); OJP Form 4061/6 (3-91); certifications regarding lobbying, debarment, suspension, and other responsibility matters; and Drug-Free Workplace Requirement; OJP Form 7120/1 (1/85), Accounting System and Financial Capability Questionnaire.

**Award Procedure:**

Final award decisions are made by the Assistant Attorney General, Civil Rights Division. Civil Rights Division Program personnel receive and review proposals and make recommendations to the Assistant Attorney General. All grants are

made directly to applicants. No State Plan required.

**Deadlines:**

Variable. Announced in the solicitation published in the Federal Register.

**Range of Approval/Disapproval Time:**

The range is 60-120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Normally 12 months. Release by Letter of Credit and as required.

**Reports:**

Quarterly financial (SF 269A (Rev. 4/88)) and program (OJP 4587/1 (Rev. 2/90)) reports.

**Audits:**

Grants may be audited by the Office of Justice Programs using standard audit procedure mandated by GAO.

**Records:**

Organization financial audits for each calendar year in which grant was effective.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available. (Salaries and Expenses) FY 07 \$17,400,000; FY 08 est \$17,550,000; and FY 09 est \$18,467,000.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, The Department entered into comprehensive settlement agreements with Mandalay Corporation and with Circus Circus Mississippi, Inc., resolving investigations into the accessibility of the Mandalay Bay Casino Resort in Las Vegas and the Gold Strike Casino Resort in Tunica Resorts, Mississippi. Both resorts, subsidiaries of MGM Mirage, were constructed after the ADA Standards for Accessible Design went into effect. Under the agreements, each casino resort has agreed to ensure that its facility complies with the new construction standards of the ADA, ensuring that guests and visitors with disabilities have access to a total of four hotels, more than 6,500 guest rooms and suites, 36 restaurants and bars, 3 theaters, more than 30 specialty shops, 3 convention centers, an events center seating up to 12,000 people, and other amenities. The Department entered into a settlement agreement with Doctor Associates Inc. (DAI), the privately held corporation that franchises more than 20,000 Subway sandwich shops throughout the United States. Because the individual Subway shops are franchisees, the agreement recognizes that DAI will facilitate the efforts to ensure compliance while the individual Subway shops will be responsible for removing barriers to access at more than 20,000 Subway shops nationwide. The U.S. District Court for the Eastern District of Pennsylvania approved an agreement resolving a lawsuit against Philadelphia for violating the ADA in providing emergency medical care. The Department intervened in a lawsuit filed by an individual alleging that paramedics employed by the city refused to provide him with appropriate medical care upon learning of his HIV status. Under the agreement, Philadelphia will provide paramedics employed by the city with ongoing training on nondiscriminatory treatment of patients with infectious diseases, specifically HIV/AIDS. The city also agreed to pay \$50,000 in damages to the plaintiff. Much of the Department's enforcement effort focuses on resolution without litigation or formal agreements. For example, under a contract the Department refers complaints to professional mediators who have been trained in the legal requirements of the ADA. This has resulted in many mediated agreements. The Department's successful enforcement and educational efforts are detailed in quarterly reports published by the Section and available online. The Technical Assistance Program, mandated under Section 506 of the ADA, provides answers to questions and free publications to businesses, state and local governments, people with disabilities, and the general public. In FY 2007, more than 47,000 calls to the ADA Information Line were answered by ADA Specialists who assisted callers in applying the ADA to their own unique situations. The Section develops and disseminates free ADA publications, provides training and information at meetings nationwide, and carries out a variety of outreach and educational initiatives to reach audiences affected by the ADA. The Section's technical assistance publications range from detailed technical assistance manuals to basic Question-and-Answer booklets and illustrated guides addressing specific topics. Publications can be obtained 24 hours a day through a free fax-on-demand service or through the Section's ADA Website. This web site, one of the top five in the Department, received almost 57 million visits to its pages and graphics in FY 2007. The Section also chairs an ADA Technical Assistance Coordinating Committee and works with other agencies to coordinate technical assistance activities nationwide. In FY 2007, continued development of Expanding Your Market, a new series of concise, reproducible documents offering resources for businesses working to improve

access and everyday examples of how accessibility can serve diverse market segments. The first four publications in the series are titled Customers with Disabilities Mean Business, Tax Incentives for Businesses, Accessibility Benefits Older Adult Customers and Building a Diverse Customer Base. The Section participated in 71 speaking and outreach events reaching more than 250,000 people in FY 2007, including sending staff to distribute information and answer questions at 11 national conferences and one state fair to promote public awareness of the ADA. The Section also publishes annually an article about the ADA-related tax credits and deductions in an IRS newsletter that reached more than seven million businesses nationwide. In FY 2007, the ADA Business Connection conducted four Leadership meetings in New York City, Washington, DC, Charlotte, NC, and Chicago, IL. This initiative, headed by the Assistant Attorney General for Civil Rights, seeks to improve access to goods and services and increase employment of people with disabilities by fostering increased understanding of ADA requirements within the business community and increased dialogue and cooperation between the business and disability communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of solicitation of grant applications, Federal Register 25980-25983, June 5, 1991. Notice of solicitation of grant applications, Federal Register 13797-13208, March 15, 1993, and Federal Register 15523, March 23, 1993. Notice of solicitation of grant applications, Federal Register 29160-29168, June 3, 1994. Notice of solicitation of grant applications, Federal Register 28484-28489, May 31, 1995. Notice of solicitation of grant applications, Federal Register 25744-25749, May 22, 1996.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Disability Rights Section, Washington, DC 20530. Telephone: (800) 514- 0301 (Voice) (800) 514-0383 (TDD). Contact: Office of Public Affairs, Telephone: (202) 514-2007; (TDD) (202) 514-1888.

**Web Site Address:**

www.ada.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Police Executive Research Forum was awarded funding to create a set of materials on protecting the rights of persons with seizure disorders, speech and hearing impairments, mental retardation, and mental illness, to be integrated into police academy training and others for use in on-the-job roll-call training. The Chief Officers of State Library Agencies was awarded funding to place a collection of ADA material in 15,000 local libraries nationwide. The National Association of Towns and Township was awarded funding to produce ADA training materials to assist regional and State ADA technical assistance providers in educating officials from small towns across the country on how to comply with the ADA. The American Association of Retired Persons was awarded funding to create materials and conduct training sessions throughout the country to educate older persons with disabilities about their rights under the ADA. In 1995 and 1996, the Program funded state based grant projects to increase knowledge about the requirements of the ADA and awareness of resources available locally and at the State, regional, and national levels.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selection of projects published in the solicitation of application.

**16.109 CIVIL RIGHTS PROSECUTION**

(Criminal Section)

**FEDERAL AGENCY:**

CRIMINAL SECTION, CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

18 U.S.C. 241, 242, 245, 247, 248, 1581, 1583, 1584, 1589, 1592; 1594; 42 U.S.C. 3631.

**OBJECTIVES:**

To reduce police and other official criminal misconduct, to reduce violent activity by private citizens (including organized hate groups) against others because of their race, religion, national origin, or sex, which interferes with the Federal and constitutional rights of individuals, (including church arson); and to curtail acts of modern-day slavery and violent interference with access to reproductive health care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Section prosecutes cases of national significance involving the deprivation of personal liberties which either cannot be, or are not, sufficiently addressed by State or local authorities. Its jurisdiction includes acts of racial violence, misconduct by local, State, or Federal law enforcement officials, violations of the peonage and involuntary servitude statutes that protect migrant workers and

others held in bondage and violations of the Freedom of Access to Clinic Entrances Act. The Section ensures that complaints are reviewed on a timely basis for investigation and potential prosecution.

**Applicant Eligibility:**

All persons regardless of citizenship or immigration status.

**Beneficiary Eligibility:**

All persons regardless of citizenship or immigration status.

**Credentials/Documentation:**

Individuals alleging deprivation of their civil rights should provide information describing the sequence of events (including the type of force or coercion involved), the date of the incident, the names of identifiable perpetrators, involved law enforcement officers and witnesses, a description of any physical injuries and medical treatment, if needed, and the nature of work being forced (if applicable).

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the Criminal Section, Civil Rights Division directly, the local office of the Federal Bureau of Investigation, the local U.S. Attorney's Office, or the national toll-free complaint line for worker exploitation (1-888-428-7581).

**Award Procedure:**

Complaints alleging deprivation of civil rights are reviewed and, in those cases involving complaints of official abuse that are investigated by the FBI, the individual is notified in writing of the outcome of that review, whether it be to decline investigation or prosecution or to seek an indictment.

**Deadlines:**

The federal criminal civil rights statutes generally have a five year statute of limitations from the date of the incident, except in cases involving an intentional killing (generally not bound by the statute of limitations) or religious interference incidents (seven year statute of limitations).

**Range of Approval/Disapproval Time:**

Initial complaints that are reviewed and deemed inappropriate for investigation are generally reviewed within 3 months of their being received. Investigated complaints in which prosecution is sought are usually resolved within a year of the indictment.

**Appeals:**

If new information, not considered by the Section in its original review of complaints for investigation and prosecution, is made available within the applicable statute of limitations, the Section will review the complaint again in light of that new information.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries and Expenses) FY 07 est \$13,140,000; FY 08 est \$13,255,000; and FY 09 est \$13,953,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, the Criminal Section filed a total of 93 cases charging 193 defendants in cases involving official misconduct, racial violence/hate crimes, human trafficking, church burnings, and the Freedom of Access to Clinic Entrances Act (FACE). A total of 189 defendants, including some defendants charged in prior years, were successfully prosecuted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Attorneys' Manual, Title 8, Chapter 3 Sentencing Guidelines; Attorney General Guidelines for Victim and Witness Assistance.

**Regional or Local Office:**

Local U.S. Attorney's Office and Federal Bureau of Investigation.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Criminal Section, Washington, DC 20530. Telephone: (202) 514-3204. Contact: Office of Public Affairs. Telephone: (Voice) (202) 514-2007; (TDD) (202) 514-1888.

**Web Site Address:**

http://www.usdoj.gov/crt/crim/index.html .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See Program Accomplishments.

**CRITERIA FOR SELECTING PROPOSALS:**



Each statute has elements of the offense that must be met in order for there to be Federal jurisdiction. Furthermore, there must be evidence to prove beyond a reasonable doubt that a violation occurred. Official misconduct cases: (1) the defendant must have been acting under color of the law, that is, while using or misusing power possessed by reason of the law (Private citizens jointly engaged with State officials, who are themselves acting under color of the law, in prohibited activity, are acting under color of law for purposes of Section 242.); (2) the conduct of the defendant must have deprived the victim of some right secured or protected by the Constitution or laws of the United States; and (3) there must have been an intent on the part of the defendant willfully to subject the victim to the deprivation of the right described above. Racial violence cases: (1) the defendant must have acted with force or the threat of force; (2) the defendant must have injured, intimidated, or interfered with or attempted to injure, intimidate or interfere with the victim; (3) the defendant must have acted because of the victim's race, color, religion or national origin and because the victim was participating or engaged in a federally protected activity (as enumerated in 18 U.S.C. 245 (b)(2)(A) through (F)) and 42 U.S.C. 3631; and (4) finally, the defendant must have acted willfully. Human trafficking/ involuntary servitude cases: (1) a person must be made to work against his will by the defendant; (2) the period of involuntary servitude must be for a "term"; (3) the defendant must have caused the involuntary servitude by his acts; and (4) the defendant must have intended to cause involuntary service by his acts. Forced labor: (1) defendant did, or attempted to, provide or obtain the labor or services of a person, (2) defendants used either threats of serious harm to, or physical restraint against, that person or another person; used a scheme, plan, or pattern intended to cause the person to believe that non-performance would result in serious harm to, or physical restraint against, that person or another person; or abused or threatened abuse of the law or legal process, and (3) defendant acted knowingly. Reproductive health clinic access cases: (1) facility providing reproductive health services; (2) defendant used force, threat of force, or physical obstruction; (3) defendant intended or attempted to injure, intimidate, or interfere with; and (4) someone providing or obtaining reproductive health services.

## **16.110 EDUCATION AND ENFORCEMENT OF THE ANTIDISCRIMINATION PROVISION OF THE IMMIGRATION AND NATIONALITY ACT**

### **FEDERAL AGENCY:**

OFFICE OF SPECIAL COUNSEL FOR IMMIGRATION RELATED UNFAIR EMPLOYMENT PRACTICES, CIVIL RIGHTS DIVISION, DEPARTMENT OF JUSTICE

### **AUTHORIZATION:**

Immigration and Nationality Act, 8 U.S.C. Section 1324b.

### **OBJECTIVES:**

To educate employers and workers about their rights and responsibilities under the Immigration and Nationality Act (INA), which prohibits employment discrimination based on citizenship status and national origin, and unfair documentary practices with respect to verification of employment eligibility.

### **TYPES OF ASSISTANCE:**

Project Grants; Provision of Specialized Services; Investigation of Complaints.

### **USES AND USE RESTRICTIONS:**

The anti-discrimination provisions of the INA prohibit employment discrimination based upon national origin and citizenship status against U.S. citizens and other legally authorized workers with respect to hiring, firing, and recruitment or referral for a fee, and unfair documentary practices during verification of employment eligibility. The INA also prohibits retaliation for the purpose of interfering with any right or privilege secured by the anti-discrimination provisions, or because an individual has participated in a proceeding to enforce those provisions. The Office of Special Counsel for Immigration-Related Unfair Employment Practices (OSC) was created by Congress to enforce these provisions, and to educate the public about its responsibilities and rights under the law. The goal of OSC's grant program is to educate workers and employers about the anti-discrimination provisions of the INA in order to reduce incidents of employment discrimination. Grants are open to all applicants including labor and immigrant organizations, small and large businesses and associations, employer groups and associations, public service or community-based organizations, faith-based organizations and state and local government agencies. The INA's prohibition against citizenship status discrimination applies to employers with more than three employees, and covers: (1) U.S. citizens and nationals; (2) lawful permanent residents; (3) temporary residents under the Immigration Reform and Control Act of 1986, including Special Agricultural Worker program (SAW) and Replenishment Agricultural Worker program (RAW); (4) refugees and (5) asylees. The INA's prohibition against national origin discrimination applies to employers with four to 14 employees and covers U.S. citizens, and all individuals with work authorization. Employers with 15 or more employees are subject to Title VII of the Civil Rights Act of 1964, 42 U.S.C. 2000e, et seq., Which also prohibits discrimination on the basis of national origin, and is enforced by the U.S. Equal Employment

Opportunity Commission (EEOC). Charges incorrectly filed with OSC are automatically referred to the EEOC and vice versa. The INA's prohibition against unfair documentary practices applies to employers with more than three employees, and protects U.S. citizens and all individuals with work authorization.

### **Applicant Eligibility:**

The OSC welcomes grant proposals from organizations such as local, regional, and national ethnic and immigrant rights advocacy organizations, labor organizations, trade associations, industry groups, professional organizations, state and local government agencies, employer organizations and associations, and others, including for-profit entities, that provide information services to potential victims of discrimination and/or employers.

### **Beneficiary Eligibility:**

The educational efforts under the grant should be cost effective and directed to (1) work-authorized non-citizens (since this group is especially vulnerable to employment discrimination); (2) citizens who are most likely to become victims of prohibited employment discrimination under the INA; and/or (3) employers, especially small businesses.

### **Credentials/Documentation:**

Not applicable.

### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

The applicant must submit the following forms electronically through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance (SF 424); Disclosure Form to Report Lobbying (SF LLL), and Assurances (DOJ/OJP Form 4000/3). In addition, the application package must include an abstract, a program narrative not to exceed 15 pages, a proposed budget, and resumes of professional staff proposed in the budget.

### **Award Procedure:**

Federal officials will review and rate grant applications according to standards published in the announcement of availability of funds posted on [www.grants.gov](http://www.grants.gov). Final award decisions are made by the Special Counsel for Immigration-Related Unfair Employment Practices, or in the absence of the Special Counsel, by the Assistant Attorney General for Civil Rights.

### **Deadlines:**

Contact the Office of Special Counsel listed below.

### **Range of Approval/Disapproval Time:**

4 to 5 months.

### **Appeals:**

None.

### **Renewals:**

Not applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirement.

### **Length and Time Phasing of Assistance:**

12 months. Funds are released quarterly.

### **Reports:**

Quarterly Financial and Categorical Assistance Project Reports are required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), ("Audits of States, Local Governments, and Nonprofit Organizations,") nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

### **Records:**

Any documents related to the items of expenses under the grant.

### **Account Identification:**

15-0128-0-1-752.

### **Obligations:**

(Grants) FY 07 \$725,000; FY 08 est \$710,500; and FY 09 est \$750,000.

(Salaries and Expenses) FY 07 \$4,672,000; FY 08 est \$4,693,000.; and FY 09 est \$4,832,000.

### **Range and Average of Financial Assistance:**

For grants approved in FY 07, the range was \$40,000 to \$90,000, average \$65,909 (\$725,000/11). For FY 08 the grant program announced range is \$35,000 to \$100,000.

### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the Office of Special Counsel continued to conduct outreach activities, including providing grant funds to community-based and nonprofit organizations and government entities to educate employers, employees, immigrant service providers and the general public about employer and immigrant rights and responsibilities under the anti-discrimination provision. OSC staff members made numerous educational presentations across the country, which included presentations sponsored by the U.S. Equal Employment Opportunity Commission, OSC grantees, state and local fair employment practices agencies, unions, and employer and worker organizations. Directly and through its grantees, OSC participated in 843 outreach presentations during the

fiscal year. In addition, the OSC maintained its 50 memoranda of understanding (MOUs) with state and local jurisdictions to promote the protection of immigrant worker rights. During the fiscal year, OSC initiated 165 charges of discrimination and independent investigations, ultimately resolving 89 matters through dismissal, settlement or letters of resolution. In addition, OSC received over 29,797 calls on its worker and employer hotlines, and was able on many occasions to save the jobs of authorized workers or assist employers in modifying their employment eligibility verification procedures to comply with the anti-discrimination provision of the Immigration and Nationality Act.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

8 U.S.C. 1324b.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Department of Justice, Civil Rights Division-NYA, Office of Special Counsel for Immigration-Related Unfair Employment Practices, 950 Pennsylvania Ave., N.W., Washington, DC 20530. Telephone: (voice) (202) 616-5594, (TDD) (202) 616-5525; toll-free: (voice) (1-800) 255-7688, (TDD) 1-800- 237-2515.

#### **Web Site Address:**

<http://www.usdoj.gov/crt/osc/index.html>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Colorado Legal Services of Denver, CO; Legal Aid Foundation of Los Angeles, Los Angeles, CA; Catholic Charities of Dallas, Dallas, TX; National Immigration Law Center (NILC) of Los Angeles, CA; Asian Pacific American Legal Center of Southern California, Los Angeles, CA; Catholic Charities of the Diocese of Palm Beach, W. Palm Beach, FL; Legal Services of South Central Michigan, Ann Arbor, MI, Legal Aid of Nebraska, Omaha, NE; Nachman & Associates, Ridgewood, NJ; New York City Human Rights Commission, New York, NY; and The Association of Farmworker Opportunity Programs of Washington, D. C.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The standards for making grant awards are published in the solicitation posted on [www.grants.gov](http://www.grants.gov) (see Award Procedure). Included among them are: 1) sound program design and cost-effective strategies for educating the intended population, including evidence of in-depth knowledge of the goals and objectives of the project, and the applicant's qualifications to reach effectively the intended audience(s); 2) capability of the applicant to define the intended audience, reach it, and implement the public education and evaluation components of the campaign; 3) staff capability and previous experience in having successfully carried out programs or work of a similar nature.

## **16.200 COMMUNITY RELATIONS SERVICE**

(CRS)

#### **FEDERAL AGENCY:**

COMMUNITY RELATIONS SERVICE, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

Civil Rights Act of 1964, as amended, Title X, Public Law 88-352, 42 U.S.C. 2000g-1-2000g-2.

#### **OBJECTIVES:**

To provide free Federal conciliation and mediation services to communities in preventing and resolving community tensions, conflicts, and civil disorders arising from actions, policies, and practices that are perceived to be based on race, ethnicity, or national origin. No funds are granted to outside organizations to provide these services.

#### **TYPES OF ASSISTANCE:**

Provision of Specialized Services.

#### **USES AND USE RESTRICTIONS:**

The Community Relations Service (CRS) employs conciliation, mediation, technical assistance, and training techniques to provide free services to communities in preventing, reducing, and resolving racial and ethnic conflicts. Through conciliation, CRS facilitates communication among disputing parties. Through mediation, CRS intervenes to promote the settlement of disputes through the terms of an oral or written agreement between the disputing parties. Through technical assistance, CRS provides subject matter expertise to communities by providing such services as: participating in and facilitating community meetings and task forces; and sponsoring, cosponsoring, or making presentations at conferences and forums. CRS conducts training in such areas as community policing, police/community relations, response to hate crimes, and conflict resolution techniques (e.g., law enforcement mediation). CRS also develops resource materials and prepares articles for publication on preventing and resolving racial and ethnic conflicts in communities.

#### **Applicant Eligibility:**

CRS provides services without cost assistance to representatives of groups or communities or Federal, State or local government agencies that seek to resolve, reduce or prevent conflicts related to race, ethnicity, or national origin. CRS does not provide grants to communities for conciliation and mediation

assistance programs.

#### **Beneficiary Eligibility:**

CRS does not provide grants to communities, but beneficiaries may include any group, community, or Federal, State or local government agency that experiences tensions involving race, ethnicity, or national origin.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Parties interested in requesting free conciliation and mediation service may write, phone, or contact in person, headquarters or regional offices. Please see below for contact information. No standard form is used. CRS does not provide grant funds to purchase assistance or to fund community programs.

#### **Award Procedure:**

Assistance is provided by direct response from an appropriate agency official to the applicant in the form of conflict prevention and resolution services. CRS will provide on-site services in major racial or ethnic crisis situations within 24 hours from the time when your community notifies CRS or CRS becomes aware of the crisis. In non-crisis situations, CRS will contact you within three days of when your community notifies CRS or CRS becomes aware of the situation to discuss your request for CRS services.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

In major racial or ethnic crisis situations, on-site services are provided within 24 hours of notifying CRS. In non-crisis situations, CRS will contact the requestor within 3 days to discuss the request. Since CRS has only a limited number of conciliators to service the entire country, CRS cannot guarantee service delivery. CRS will, however, make every effort to service every request.

#### **Appeals:**

Applicant can request assistance again. If the agency is not authorized to provide a response, the applicant will be referred to an appropriate agency or resource for assistance.

#### **Renewals:**

Each request for service is given a separate response by CRS.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

CRS provides continuous service until the conflict is resolved or CRS no longer has jurisdiction under 42 U.S.C. 2000g-1.

#### **Reports:**

None.

#### **Audits:**

None.

#### **Records:**

None.

#### **Account Identification:**

15-0500-0-1-752.

#### **Obligations:**

(Salaries and expenses) FY 07 est \$10,229,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

No financial assistance is provided by CRS. Rather, CRS staff provides appropriate services at no cost to the requestor.

#### **PROGRAM ACCOMPLISHMENTS:**

Each year, CRS is called upon to resolve or prevent racial and ethnic community conflicts throughout the country. CRS usually has an active case load of approximately 1,200 cases each year. Most of CRS' conflict prevention services focused on reducing racial and ethnic tensions between law enforcement and communities across the U.S., preventing racial and ethnic violence in public schools, and resolving community tensions associated with hate crimes.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations or guidelines for requesting assistance from CRS, except as noted above. Pamphlets and other materials developed by CRS for use by communities include: "Principles of Good Policing: Avoiding Violence Between Police and Citizens"; "Responding to Hate Crimes and Bias-Motivated Incidents on College/University Campuses"; "Guidelines for Effective Human Relations Commissions"; "Police Use of Excessive Force: A Conciliation Handbook for the Police and the Community"; "Managing Major Public Events: A Planning Guide for Municipal Officials, Law Enforcement, Community Leaders, Organizers, and Promoters"; "Avoiding Racial Conflict: Guide for Municipalities." These publications can be found on CRS' website at <http://www.usdoj.gov/crs>.

#### **Regional or Local Office:**

For a list of regional and local offices, please either visit <http://www.usdoj.gov/crs> or call (202) 305-2935.

#### **Headquarters Office:**

For general information, Community Relations Service, Department of Justice, Suite 6000, 600 E St. NW., Washington, DC 20530. Telephone: (202) 305-2935. Use the same number for FTS.

**Web Site Address:**

<http://www.usdoj.gov/crs> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable. CRS does not fund projects. Rather, its staff provide services directly to the public.

**16.202 PRISONER REENTRY INITIATIVE DEMONSTRATION (OFFENDER REENTRY)****FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

H.R. 5548, as approved under H.R. 4577, the Consolidated Appropriations Act of 2001, 42 U.S.C. 3793w, Public Law No. 90-351, Title I, Part FF.

**OBJECTIVES:**

The Offender Reentry Initiative (Reentry Grant Program) is a combined federal effort to assist jurisdictions in facing the challenges presented by the return of offenders from prison to the community. The goal is to support the effective delivery of pre-release assessments and services, and to develop transition plans in collaboration with other justice and community-based agencies and providers, for supervised and non-supervised non-violent offenders. The current initiative addresses the continuing problem of offenders entering the community after incarceration with little or no surveillance, accountability, or resource investment.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The Reentry Initiative encourages the development of model reentry programs that begin in correctional institutions and continue through an offender's transition (release) to and stabilization in the community. These programs provide for individual reentry plans that address issues confronting offenders as they return to their communities. The initiative encompasses three phases and is implemented through appropriate programs. Phase 1-Protect and Prepare: Institution-Based Programs, Phase 2-Control and Restore: Community-Based Transition Programs Phase 3-Sustain and Support: Community-Based Long-Term Support Programs.

**Applicant Eligibility:**

An applicant must select a lead agency responsible for the operational aspects of the grant. The applicant must also establish a multidisciplinary collaborative partnership, which includes members of faith-based and/or community organizations; e.g., State and local corrections agencies, the State and local mental health and substance abuse agencies, and the State and local Workforce Investment Boards (WIB). The partnership must select the lead agency to serve as the applicant and the fiscal agent or grantee. If the lead agency designates another to serve as fiscal agent, the lead will remain as grantee with ultimate responsibility for the grant. The lead agency and/or fiscal agent must be a State or tribal agency's unit of government. Federally Recognized Indian Tribes must establish a partnership that includes (but is not limited to) entities or agencies that address corrections, criminal justice, law enforcement, employment services, substance abuse, and mental health. Tribes may involve State level agencies as their key partners, although this is not a requirement. Eligibility is limited to jurisdictions in which grants were awarded to community- and faith-based organizations through the U.S. Department of Labor's FY 2005 Prisoner Reentry Initiative (See [www.dol.gov/opa/media/press/eta/eta20052123list.htm](http://www.dol.gov/opa/media/press/eta/eta20052123list.htm)). State agencies are encouraged to partner with local and regional jails when submitting applications, or to serve as a pass-through for funding. All applicants must coordinate applications with their community- and faith-based partners.

**Beneficiary Eligibility:**

State, units of local government, and federally recognized tribes.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs.

**Preapplication Coordination:**

A considerable amount of preapplication coordination is required amongst the required and suggested stakeholders. For State applicants, this program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected

the program for review. The Offender Reentry Program (Prisoner Reentry Initiative (PRI)) strengthens urban communities characterized by large numbers of returning, nonviolent prisoners. With the support of several federal agencies, PRI is designed to reduce recidivism by helping returning inmates find work and access other critical services in their communities.

**Application Procedure:**

All competitive grant applications must be submitted electronically at: <http://www.grants.gov/>.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination.

**Deadlines:**

See solicitation for deadline. Faxed or mailed applications or supplemental materials will not be accepted.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 120 days of receipt of a completed application.

**Appeals:**

None.

**Renewals:**

Subject to congressional appropriations.

**Formula and Matching Requirements:**

A minimum 25 percent match is required for PRI; federal funding for this project may not exceed 75 percent of the total project costs. Contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 20 awards of \$450,000 will be made under the PRI program depending on the availability of funding. The minimum project period is 24 months; the maximum project period is 36 months.

**Reports:**

Recipients are required to submit quarterly Financial Reports, and semi-annual Progress Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$14,879,140; FY 08 \$11,750,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Application Kit and Questions and Answers posted regularly on the OJP website at <http://www.ojp.usdoj.gov/BJA/grant/reentry.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531. Contact Robert Hendricks, Policy Advisor. Telephone: (202) 616-6500 or (1-866) 859-2687 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.203 COMPREHENSIVE APPROACHES TO SEX OFFENDER MANAGEMENT DISCRETIONARY GRANT (CASOM)**



(CASOM)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, SEX OFFENDER SENTENCING, MONITORING, APPREHENDING, REGISTERING AND TRACKING (SMART) OFFICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994; Public Law 102-322, Sec. 40152, codified at 42 U.S.C. Sec. 13941, the Comprehensive Approaches to Sex Offender Management (CASOM) Discretionary Grant.

**OBJECTIVES:**

To assist state, local and tribal jurisdictions in improving their adult and/or juvenile sex offender management policies and practices by critically examining existing approaches to monitoring and managing the population; identifying significant gaps and needs in the monitoring and management of sex offenders and developing training and technical assistance to address these identified needs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary); Training.

**USES AND USE RESTRICTIONS:**

The Sex Offender Management Discretionary Grant funds may be used to provide training and technical assistance to jurisdictions with reference to sex offender management and accountability. Training and technical assistance should be targeted to probation and parole officers and other personnel who provide case management, supervision, or relapse prevention services to non-incarcerated sex offenders or who are responsible for sex offender registration compliance.

**Applicant Eligibility:**

Non-profit and for-profit organizations, institutions of higher education, tribal entities, States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, the Northern Mariana Islands, local, and tribal communities who are interested in addressing the management of juvenile, adult, or a mixed population of sex offenders through the provision of training and technical assistance are eligible to apply for this grant program. Applicants must coordinate their proposal with others in their jurisdiction to ensure a collaborative response to this solicitation as well as to ensure that agencies within a single jurisdiction are not competing against one another in the grant process.

**Beneficiary Eligibility:**

State, local and tribal agencies (e.g. parole, probation, pretrial services, etc.) responsible for sex offender management, accountability, registration and supervision to implement training programs to enhance strategies for managing sex offender in the community. Non-profit or for-profit organizations, institutions of higher learning and tribal entities with demonstrated experience in sex offender management and accountability issues and delivery of training and technical assistance to implement national training and technical assistance program on sex offender management, accountability, registration and supervision.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All applications must be submitted electronically at: <http://www.grants.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Grantees are notified by e-mail 7 to 10 days after Congress has been notified. Grantees must print award, have signed by the authorized official and returned to the Office of Justice Programs by facsimile or mail.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, SMART Office, Telephone: 202-514-4689 or by e-mail at [GetSMART@usdoj.gov](mailto:GetSMART@usdoj.gov).

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 120 days of receipt of a completed application.

**Appeals:**

Discretionary grant applicants will be notified in writing of reasons for disapproval of their application.

**Renewals:**

Grants can be extended by submitting a written justification for an extension to the SMART Office for review. Extensions are subject to approval by the

SMART Office and congressional funding.

**Formula and Matching Requirements:**

Grants are discretionary and are awarded based on the merits of the application submitted to the SMART Office. A 25 percent match may be required for this grant program, and the funding for this project may not exceed 75 percent. Contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus one additional year.

**Reports:**

Recipients are required to submit semi-annual Progress Reports and quarterly Financial Reports.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 est not available; FY 08 \$4,162,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

See program web site.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering and Tracking, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Jacqueline O'Reilly, Grant Program Specialist. Telephone: (202) 514-5024.

**Web Site Address:**

<http://www.ojp.usdoj.gov/smart>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Visit web site address.

**CRITERIA FOR SELECTING PROPOSALS:**

A review panel convened by the SMART Office will evaluate all applications on the basis of the following criteria: (1) The application clearly exhibits a commitment to collaboration, including meaningful collaboration across public sector agencies and with nonprofit, non-governmental victim services organizations; (2) the application identifies a problem that is consistent with the purposes of this initiative; (3) The application describes a project that effectively addresses the problem statement; (4) The implementation strategy, time line, and capability of the organization and staff are sound; (5) The application articulates clearly the jurisdiction's goals, outcomes, and objectives and describes the accountability system and performance measures to determine progress towards achieving them; (6) The project demonstrates meaningful attention to the safety of victims of sex offenses and holds offenders accountable for their criminal behavior by enhancing capacity through training and technical assistance; (7) The application identifies specific individuals, or a process to identify individuals, to serve as the Grant Manager, Grant Coordinator, and Research Coordinator for the effort, and demonstrates the skills, roles, and involvement of these individuals; and (8) The budget is reasonable as it relates to project activities.

**16.300 LAW ENFORCEMENT ASSISTANCE-FBI  
ADVANCED POLICE TRAINING**

(FBI Academy, Advanced Specialized Courses)

**FEDERAL AGENCY:**  
FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; Crime Control Act of 1973, Public Law 93-83, Section 404(a)(1), 42 U.S.C 3701; Comprehensive Crime Control Act of 1984, Public Law 98-473; Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322.

**OBJECTIVES:**

To provide advanced training to experienced personnel of local, county, State, and selected Federal law enforcement agencies, with special emphasis on developing each graduate as a capable manager or administrator for his own department. To afford specialized advanced training to the above personnel.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

The curriculum of the FBI National Academy program includes criminal law and investigations, behavioral science, forensic science, education, management, and health/fitness. The courses are continually adapted to meet the changing needs of law enforcement administration. Training is provided at the FBI Academy at Quantico, VA. Advanced specialized courses of instruction are provided on specific topics such as Firearms Administration, White-Collar and Computer-Related Crimes, Latent Fingerprint Examinations, Police Legal Issues, Hostage Negotiations, Executive Development, Advanced Training Technology, and Laboratory Matters, with conferences and seminars on topics such as Budgeting, Scientific Technical Analysis, Death Investigation, Crime Prevention, Bombing and Arson Investigations, Violent Crimes Against the Elderly, and Sexual Exploitation of Children.

**Applicant Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local, or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Beneficiary Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Credentials/Documentation:**

The applications of candidates for enrollment in the Academy must be approved and submitted by the head of their agency.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal application to nominate representative to attend the FBI Academy National program (FBI Form FD- 164) submitted by nominee's agency head, followed by an interview of qualified applicants at FBI field office level. Applications of those nominated by agency heads to attend the specialized course are submitted to local office of the FBI for processing.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

National Academy training period of 11 weeks. Specialized training varies with subject, from one to four weeks.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Salaries and Expenses) FY 07 \$15,865,981; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

No award, as such, involved; however, round-trip travel from residence to Washington, DC, provided where necessary, and where eligible, to local, county, and State police officers. Housing, food, laundry furnished all students at FBI Academy, Quantico, VA.

**PROGRAM ACCOMPLISHMENTS:**

The fiscal year 2007 estimate is 1,675. Law enforcement officials enrolled in the

11 week FBI National Academy general curriculum in fiscal year 2004 was 991, the fiscal year 2005 and 2006 estimate is 1,025.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

28 CFR Section 0.85(e); Booklets entitled "The FBI National Academy," and "FBI Training Programs," no cost.

**Regional or Local Office:**

Persons are encouraged to communicate with the nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000. Use the same number for FTS.

**Web Site Address:**

<http://www.fbi.gov>

**RELATED PROGRAMS:**

16.004, Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training; 16.302, Law Enforcement Assistance\_FBI Field Police Training; 16.012, Alcohol, Tobacco, and Firearms\_Training Assistance; 97.015, Secret Service\_Training Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**16.301 LAW ENFORCEMENT ASSISTANCE-FBI CRIME LABORATORY SUPPORT**

(FBI Laboratory)

**FEDERAL AGENCY:**

FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Public Law 90-351, Section 404, 5 U.S.C. 301, 42 U.S.C. 3744, and 28 U.S.C. 85 (g).

**OBJECTIVES:**

To provide forensic services to the FBI and any other duly constituted law enforcement agency; and provide technical and forensic assistance through research, training, technology transfer and access to information and forensic databases.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Training.

**USES AND USE RESTRICTIONS:**

Submitted evidence is examined and the FBI Laboratory also furnishes the experts necessary to testify in connection with the results of these examinations. These examinations are made with the understanding that the evidence is connected with an official investigation of a criminal or terrorism matter and that the laboratory report will be used only for official purposes related to the investigation or a subsequent prosecution. The FBI Laboratory will not accept cases from other crime laboratories which have the capability of conducting the requested examinations. Additionally, specialized forensic training in many forensic disciplines is conducted. This training is provided to eligible applicants commensurate with available resources. Finally, through available resources, the FBI Laboratory provides new enhanced equipment and tools to State and forensic and law enforcement personnel.

**Applicant Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Beneficiary Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Credentials/Documentation:**

Formal request, normally written, from appropriate official of the requesting law enforcement agency.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Inquiries may be sent to the Director, Federal Bureau of Investigation, Washington, DC 20535. Attention: FBI Laboratory.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**  
Not applicable.

**Audits:**  
Not applicable.

**Records:**  
Not applicable.

**Account Identification:**  
15-0200-0-1-751.

**Obligations:**  
(Salaries and expenses and VCRP\*) FY 07 \$186,164,015; FY 08 est not available; and FY 09 est not reported. (\*Note: The Lab no longer has funding related to VCRP).

**Range and Average of Financial Assistance:**  
Not applicable.

**PROGRAM ACCOMPLISHMENTS:**  
Nonfederal scientific examinations made in FY 07 estimate is 33,569.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
28 CFR Section 0.85(g). "Procedures and Services of the FBI Laboratory," no cost.

**Regional or Local Office:**  
The FBI Laboratory is located at 2501 Investigation Parkway, Quantico, VA 20135. See Catalog Appendix IV for addresses and telephone numbers of FBI Field Offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**  
Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000. Use the same number for FTS.

**Web Site Address:**  
<http://www.fbi.gov>.

**RELATED PROGRAMS:**  
16.001, Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Analysis; 16.303, Law Enforcement Assistance\_FBI Fingerprint Identification.

**EXAMPLES OF FUNDED PROJECTS:**  
Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**  
Not applicable.

## 16.302 LAW ENFORCEMENT ASSISTANCE-FBI FIELD POLICE TRAINING

(FBI Field Police Training)

**FEDERAL AGENCY:**  
FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE  
**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; Crime Control Act of 1973, Public Law 93-83, Section 404 (a) (3), 42 U.S.C. 3701; Comprehensive Crime Control Act of 1984, Public Law 98-473; Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322.

**OBJECTIVES:**  
To develop the professional skills of criminal justice personnel.

**TYPES OF ASSISTANCE:**  
Training.

**USES AND USE RESTRICTIONS:**  
Courses available from FBI instructors range from basic recruit training to specialized instruction in such areas as fingerprinting, legal topics, police-community relations, hostage negotiation, white collar crime, organized crime, computer fraud, management techniques, investigative support, criminal investigative analysis, etc. FBI training assistance is available in complete programs of instruction or as supplemental courses to already existing local police training sessions.

**Applicant Eligibility:**  
All authorized municipal, county, local, and State criminal justice personnel.

**Beneficiary Eligibility:**  
All authorized municipal, county, local, and State criminal justice personnel.

**Credentials/Documentation:**  
None.

**Preapplication Coordination:**  
None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**  
Contact FBI Headquarters in Washington, DC or, preferably, the nearest FBI Field Office.

**Award Procedure:**  
By letter to applicant.

**Deadlines:**  
None.

**Range of Approval/Disapproval Time:**  
Not applicable.

**Appeals:**  
Not applicable.

**Renewals:**  
Not applicable.

**Formula and Matching Requirements:**  
Not applicable.

**Length and Time Phasing of Assistance:**  
Not applicable.

**Reports:**  
Not applicable.

**Audits:**  
Not applicable.

**Records:**  
Not applicable.

**Account Identification:**  
15-0200-0-1-751.

**Obligations:**  
(Salaries and expenses) FY 07 est \$10,985,058; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**  
Not applicable.

**PROGRAM ACCOMPLISHMENTS:**  
Criminal justice personnel attending field training courses in fiscal year 2005 numbered 92,500. The estimate for fiscal years 2006 and 2007 is 96,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
28 CFR Section 0.85(e). "FBI Training Programs;" no cost.

**Regional or Local Office:**  
Persons are encouraged to communicate with their nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**  
Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000. Use the same number for FTS.

**Web Site Address:**  
<http://www.fbi.gov>.

**RELATED PROGRAMS:**  
16.004, Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance\_FBI Advanced Police Training; 16.305, Law Enforcement Assistance\_Uniform Crime Reports; 16.012, Alcohol, Tobacco, and Firearms\_Training Assistance; 97.015, Secret Service\_Training Activities.

**EXAMPLES OF FUNDED PROJECTS:**  
Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**  
Not applicable.

## 16.303 LAW ENFORCEMENT ASSISTANCE-FBI FINGERPRINT IDENTIFICATION

(FBI Criminal Justice Information Services Division)

**FEDERAL AGENCY:**  
FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE  
**AUTHORIZATION:**

28 U.S.C. 534; Public Laws 91-452, 92-544, 94-29, 95-405, 97-444, 99-169, 99-399, 100-181, 100-413, 101-604, 101-630, 101-647, 103-159, 103-209, 103-322, 104-120, 105-135, 105-251, 105-277, 106-56, 106-560, 107-71, 107-188, 107-273, 107-295, 107-296, 108-21, 108-173, and 108-458.

**OBJECTIVES:**  
To provide fingerprint and arrest-record services to U.S. Government and criminal justice agencies; and to provide arrest- record services to State and local governmental authorities, as well as certain authorized nongovernmental entities for employment and licensing purposes.

**TYPES OF ASSISTANCE:**  
Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**  
Criminal identification by means of fingerprints; determination of a person's past criminal history, if any; fingerprint identification of missing persons, unknown deceased persons, unknown living persons and victims of major disasters; and processing of physical evidence for latent finger and palm prints. Information must be used for official purposes only and is not furnished for public dissemination.

**Applicant Eligibility:**  
All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Beneficiary Eligibility:**  
All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Credentials/Documentation:**  
Initial request for services must be from a statutorily authorized agency; request must be written on letterhead of agency and list address of agency and title of official signing request; it must indicate that information is to be used only for criminal investigative or other official purpose authorized by statute; and reply will be sent only to head of requesting organization.



**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Inquiries must be sent to the Assistant Director, Criminal Justice Information Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road, Clarksburg, WV 26306.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Salaries and expenses) FY 07 \$154,931,714; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fingerprint cards processed during FY 2007 estimate is 21,019,630.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, CFR, Sections 0.85(b) and (j), 16.30-16.34, 16.96(e) 20.1-20.3, 20.3020.38; and 50.12; Booklet entitled "Science of Fingerprints," for sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402 - Stock Number 027-001-00024-6; Article Entitled "Development of Latent Impressions with Powder", no cost; "Chemical Development of Latent Impressions," no cost; "Lifting Latent Impressions," no cost; "Techniques for Taking Good Fingerprints," no cost.

**Regional or Local Office:**

See Catalog Appendix IV for addresses and telephone number of FBI field offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Assistant Director, Criminal Justice Information Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road, Clarksburg, WV 26306. Telephone: (304) 625-2222. Use the same number for FTS.

**Web Site Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

16.001, Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Analysis; 16.301, Law Enforcement Assistance\_FBI Crime Laboratory Support.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**16.304 LAW ENFORCEMENT ASSISTANCE-NATIONAL CRIME INFORMATION CENTER**

(NCIC)

**FEDERAL AGENCY:**

FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

28 U.S.C. 534.

**OBJECTIVES:**

The FBI National Crime Information Center (NCIC) is designed to complement the development of similar metropolitan and statewide criminal justice information systems and provide a computerized central index to documented files of local and State criminal justice agencies.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The FBI National Crime Information Center (NCIC) is a computerized index of

crime and criminals of nationwide interest. Included are records concerning wanted persons, missing persons, unidentified persons, persons on supervised release, persons subject of a protection order, registered sexual offenders, persons violating immigration laws, persons associated with a violent gang or terrorist organization, and stolen property. Also provided is access to an index of criminal history records. The NCIC, located at the FBI's Criminal Justice Services Division in Clarksburg, WV, serves as a nucleus of a vast, high-speed criminal justice communications network which includes authorized local, State, and Federal criminal justice agencies throughout the United States, Canada, Puerto Rico, the U.S. Virgin Islands, Guam, and American Samoa. Through use of computer storage and retrieval, the NCIC is able to locate and transmit in seconds essential data for the efficient performance of criminal justice personnel. FBI personnel are available to assist States in operating their systems which are connected to the NCIC computer. Technical and other consultant services as well as training are provided at no expense to State agencies.

**Applicant Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Beneficiary Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Credentials/Documentation:**

Agencies accessing NCIC must be an authorized criminal justice agency or authorized entity.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Federal, State and local criminal justice agencies applying for access should contact their control terminal agency, or the Director, Federal Bureau of Investigation, 10th and Pennsylvania Ave., NW., Washington, DC 20535.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Salaries and expenses) FY 07 \$24,924,785; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Transactions handled during FY 2007 estimate is 2,409,847,645.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"NCIC Operating Manual," no charge; "NCIC Code Manual," no charge; "NCIC Newsletter\*," no charge; "The Investigative Tool\*," no charge; "NCIC: An Overview," no charge; "NCIC File Reference Card," no charge; "NCIC 2000 Protection Order File," no charge. (Items marked \* are restricted to criminal justice agencies.)

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. Telephone: (202) 324-3000. Use the same number for FTS.

**Web Site Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

16.305, Law Enforcement Assistance\_Uniform Crime Reports; 16.550, State Justice Statistics Program for Statistical Analysis Centers.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 16.305 LAW ENFORCEMENT ASSISTANCE-UNIFORM CRIME REPORTS

### FEDERAL AGENCY:

FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

### AUTHORIZATION:

28 U.S.C. 534.

### OBJECTIVES:

To furnish data which will assist heads of law enforcement agencies in administration and operation of their departments. Further, to make information/data available to judges, penologists, sociologists, legislators, media, students, and others interested in crime and its social aspects.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

The FBI collects, analyzes, and publishes certain crime statistics which it receives on a regular and voluntary basis from law enforcement agencies nationwide. These data are published annually in the publication, "Crime In The United States-Uniform Crime Reports," and are supplemented with preliminary annual and semiannual releases. The annual publication provides information on (1) crime trends; (2) offenses known to police; (3) age, sex, and race of persons arrested; (4) police disposition of juveniles arrested; (5) police employee; and (6) other information. Additionally, the FBI annually publishes statistics on Hate Crimes and Law Enforcement Officers Killed and Assaulted.

### Applicant Eligibility:

All participating law enforcement agencies including State and local governments are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited annual copies of statistics on Hate Crime and Law Enforcement Officers Killed and Assaulted, along with preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available to the general public for purchase from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street NW., Washington, DC 20401.

### Beneficiary Eligibility:

All participating State and local law enforcement agencies are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited copies of preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available for sale from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street, NW., Washington DC 20401.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Inquiries may be sent to the Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154.

### Award Procedure:

Not applicable.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

15-0200-0-1-751.

### Obligations:

(Salaries and expenses) FY 07 \$26,112,993; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

During FY 2005, 25,000 copies of the FBI's annual publication, Crime in the United States, were distributed. As part of the electronic government initiative, the document will be published on the Internet and will no longer be available as a hardcopy publication or a CD ROM beginning in FY 2006.

### REGULATIONS, GUIDELINES, AND LITERATURE:

28 CFR section 0.85 (f). "Crime In The United States-Uniform Crime Reports," Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

### Regional or Local Office:

None.

### Headquarters Office:

Assistant Director, Criminal Justice Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road. Clarksburg, WV 26306 Telephone: (304) 625-2000.

### Web Site Address:

<http://www.fbi.gov>

### RELATED PROGRAMS:

16.304, Law Enforcement Assistance\_National Crime Information Center; 16.550, State Justice Statistics Program for Statistical Analysis Centers.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 16.307 COMBINED DNA INDEX SYSTEM

(CODIS)

### FEDERAL AGENCY:

FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

### AUTHORIZATION:

DNA Identification Act of 1994, Public Law 103-322.

### OBJECTIVES:

To develop or improve forensic DNA analysis capabilities in State and local crime laboratories. The Combined DNA Index Systems (CODIS) allows State and local crime laboratories to store and match DNA records.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

The CODIS program enables State and local laboratories to establish databases of convicted offenders, unsolved crime scenes, and missing persons. CODIS allows the forensic laboratories to exchange and compare DNA profiles electronically thereby linking serial violent crimes to each other and to identify suspects by matching DNA from crime scenes to convicted offenders.

### Applicant Eligibility:

To receive CODIS software and technical assistance, participants must be publicly funded forensic laboratories performing DNA analysis, or private forensic laboratories performing DNA analysis under contract with crime laboratories.

### Beneficiary Eligibility:

To be eligible for DNA grants, participants must be publicly funded State or local forensic laboratories performing DNA analysis.

### Credentials/Documentation:

Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

FY 07 \$7,947,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

As of March 2005, there are 17 State and local laboratories. CODIS is installed in 50 States, FBI, US Army Crime and Laboratory and Puerto Rico.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

For the CODIS program, contact Director, Federal Bureau of Investigation, Department of Justice, Washington, DC 20535. For the DNA grant program, contact Director, National Institute of Justice, Department of Justice, Washington, DC 20531. For information on the FBI's CODIS Program, Forensic Science Systems Unit, Laboratory Division. Contact: John Behun. Telephone: (202) 324-9440.

**Web Site Address:**<http://www.fbi.gov>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Acceptable proposals must support development or improvement of forensic DNA analysis capabilities by State and local crime laboratories in a manner which supports the CODIS program.

**16.308 INDIAN COUNTRY INVESTIGATIONS****FEDERAL AGENCY:**

FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322, 108 Stat. 1796.

**OBJECTIVES:**

To provide training to the Bureau of Indian Affairs (BIA) and Tribal Law Enforcement Officers in conjunction with the Bureau of Indian Affairs and the Federal Law Enforcement Training Center (FLETC) to better conduct investigations in Indian Country. Coordination of the development of training curriculum with the BIA and the FLETC; and conduct training seminars in law enforcement techniques throughout the country. To coordinate investigative activities within Indian Country.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Funding may be utilized for expenses associated with investigative and managerial training for Indian Country law enforcement.

**Applicant Eligibility:**

BIA Investigators, Tribal Law Enforcement Officers and other law enforcement officers assigned to work in Indian Country.

**Beneficiary Eligibility:**

BIA Investigators, Tribal Law Enforcement Officers and other law enforcement officers assigned to work in Indian Country.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

FBI and BIA select students for training in conjunction with Indian country police.

**Award Procedure:**

Not applicable.

**Deadlines:**

Funding is one-year and is available until expended.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training and investigative assistance) FY 07 \$1,197,500; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Training FY 07 estimate 605 students.

**PROGRAM ACCOMPLISHMENTS:**

Developed and provided uniform courses of instruction in death investigations, child sexual/physical abuse, gaming, evidence recovery, supervision and management, and critical incident response, child forensic interviewing, and street officer safety to all levels of law enforcement in Indian Country to include, local, State, tribal, BIA and FBI officers/agents; funded training in basic and advanced law enforcement skills provided by the BIA IPA and FLETC; funded individual field office training initiatives for law enforcement in Indian Country. Provided training to more than 5,500 Indian Country law enforcement officers in fiscal years 1996-2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Bureau of Investigation, Department of Justice, 935 Pennsylvania Avenue, N.W., Washington, DC 20535. Contact: (202) 324-3336.

**Web Site Address:**<http://www.fbi.gov>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**16.309 LAW ENFORCEMENT ASSISTANCE-NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM**

(NICS)

**FEDERAL AGENCY:**

FEDERAL BUREAU OF INVESTIGATION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Gun Control Act, 18 U.S.C. Chapter 44, Public Law 103-159; National Firearms Act, 26 U.S.C. Chapter 53.

**OBJECTIVES:**

To provide a system so that any Federal Firearm Licensee (FFL) could gain information, by telephone or by other electronic means, on whether receipt of a firearm by a prospective buyer would violate Federal or State laws through the proper completion of Bureau of Alcohol Tobacco and Firearms (ATF) Form 4473.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The NICS Operations Center conducts NICS background checks by analyzing and evaluating criminal history records to determine whether the transfer of a firearm to an individual may violate State or Federal law. The staff at the Operations Center provides technical and operational support to users, provides customer service to FFLs and State Point of Contacts (POCs), processes appeals of denied transactions, and prepares management and statistical reports on the operation of the NICS.

**Applicant Eligibility:**

All persons purchasing firearms.

**Beneficiary Eligibility:**

The Federal Firearm Licensees and American public.

**Credentials/Documentation:**

Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Operation Center by telephone via a toll-free number or, in the future, electronically by computer. If a NICS background check results in no matching records, the transfer will be allowed, and the FFL will be provided with a unique NICS Transaction Number (NTN). If one or more matching records are found, an FBI examiner will review the record(s) to determine if the subject of the record may be identical with the prospective purchaser and to determine if the record contains information which may prohibit the sale of the firearm. If so, the transfer will be denied, and the prospective buyer will be advised of the process for appealing the decision if he/she believes it is incorrect. The FBI may contact local, State, and Federal law enforcement agencies and courts to resolve questions about an individual who appears to be prohibited from purchasing a firearm, as well as to request



clarification regarding information in a prior record or disposition. After analyzing all information, the FFL is then contacted with a "Proceed" or a "Deny" status.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Operation Center by telephone via a toll-free number or, in the future, electronically by computer.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Three business days.

**Appeals:**

Persons denied the right to purchase a firearm may appeal the denial by writing to the NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278. Another option that is available is e-mailing the appeal to: a\_nics@leo.gov .

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

The CJIS Division internal audit staff conducts audits of Point of Contact states to ensure compliance with the Brady Handgun Violence Prevention Act requirements, FBI NICS regulation, and the validation of the completeness and accuracy of the states criminal history records. Additionally, the audit staff conducts audits of Protection Order File (POF) records nationwide. The accuracy of the criminal history records and the POF data is critical to the NICS Program since this is the information that the NICS bases its decision on whether the transfer of the firearm would violate state or federal laws. Furthermore, the internal audit staff conducts audits to determine the accuracy of data submitted by federal agencies for inclusion in the NICS Index.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

FY 07 \$24,880,582; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, CFR, Part 25 National Instant Criminal Background Check System Regulation, Public Laws 103-159 Federal Regulations, NICS Brochure, Appeals Brochure, POC Manual and FFL Manual.

**Regional or Local Office:**

NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278.

**Headquarters Office:**

Assistant Director, Criminal Justice Information Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road, Clarksburg, WV 26306. Telephone: (304) 625-2222. FTS: (304) 625-2222.

**Web Site Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 16.320 SERVICES FOR TRAFFICKING VICTIMS

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

22 USC 7105(b)(2)(A).

**OBJECTIVES:**

To provide assistance to victims of severe forms of trafficking (i.e., sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or the recruitment, harboring, transportation, provision or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the

purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery) without regard to the immigration status of the victim. A set aside of the total appropriation for the following purposes is as follows: three percent for research, evaluation, and statistics; two percent for training and technical assistance; and one percent for management and administration of grant funds.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funding under this program is intended primarily, but not exclusively, to meet victims' pre-certification needs. Pre-certification refers to the period of time between when trafficking victims are initially identified by law enforcement and officially certified by the Federal government as such. In FY 04, 10 cooperative agreements to provide comprehensive victim services were awarded under this program. During FY 05, OVC made one award of \$281,595 to support training and technical assistance to victim service organizations to enhance their services to trafficking victims. OVC also made one award of \$499,155 to a grantee for the provision of comprehensive services. Beginning in 2004, OVC joined with its sister agency, the Bureau of Justice Assistance (BJA) to support an expanded strategy of funding anti-trafficking task forces in cities throughout the country known to have a high concentration of trafficking victims. This task force strategy focuses on enhancing law enforcement's ability to identify and rescue victims of human trafficking; providing law enforcement with the resources and training to identify and rescue victims of trafficking; and to ensuring that comprehensive services are available wherever trafficking victims are found. OVC and BJA released a joint competitive solicitation in FY 06 that resulted in the creation of 10 new law enforcement task forces and funding for victim service provision in areas where new task forces were formed. In FY 07, BJA awarded supplemental funding to six task forces. BJA has provided funding to 42 local and state law enforcement anti-trafficking task forces across the country. This year, OVC awarded supplemental funding to 13 Services for Trafficking Victims grantees to continue providing services to pre-certified trafficking victims. To date, OVC has funded 31 victim service agencies to provide a wide range of services to trafficking victims in the United States. Comprehensive Services awards support the creation and/or enhancement of collaborative networks that will provide critical services for trafficking victims within a given community or region. These awards are intended to build community-based networks of comprehensive, integrated, and culturally appropriate services for trafficking victims. Applicants must demonstrate to capacity to quickly mobilize resources to accommodate the needs of potentially large numbers of victims and the ability to coordinate with other trafficking programs and other service providers. OVC anticipates releasing a competitive solicitation to fund new cooperative agreements to provide comprehensive victim services contingent on the availability and amount of FY 2008 funding. In order to receive Department of Justice funding support and the assistance of the local U.S. Attorney, local law enforcement agencies and victim services providers are required to enter into a Memorandum of Understanding with all task force members committing themselves to collaborating together on investigations and assistance to victims.

**Applicant Eligibility:**

The Attorney General may make grants to States, Indian tribes, units of local government, and nonprofit, non- governmental victims service organizations.

**Beneficiary Eligibility:**

Eligible victim assistance agencies. Eligibility depends on the nature of the grant but may include a wide variety of public and private nonprofit agencies.

**Credentials/Documentation:**

Applications for this program must be submitted electronically via Grants.gov; at a time specified by the Office for Victims of Crime, Office of Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide; (3) assure that the applicant will comply with all applicable nondiscrimination requirements including civil rights compliance, non-discrimination against eligible applicants that are faith or community-based organizations, services to persons with Limited English Proficiency, and protection of human research subjects; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, (including subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990) regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133.

**Preapplication Coordination:**

The standard application form furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule) must be used for all grants made by the Office for Victims of Crime. This program is excluded from coverage under

**Application Procedure:**

In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies in applying for funding under this program electronically via grants.gov. Forms for funds other than grants or for use by Federal Agencies will be supplied by OVC.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director of the Office for Victims of Crime. The Assistant Attorney General, Office of Justice Programs has final approval authority.

**Deadlines:**

Deadlines will be announced by OVC in its Trafficking Victims Protection Act Discretionary Grant solicitation and application guidelines, available on the OVC homepage at <http://www.ojp.usdoj.gov/ovc/>.

**Range of Approval/Disapproval Time:**

Approximately 3-5 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Supplements are considered on an individualized basis, based on grantee performance and the need for service provisions to trafficking victims within the geographic area of coverage, as well as the existence of anti-trafficking task forces funded through the Bureau of Justice Assistance.

**Formula and Matching Requirements:**

Eligible applicants must match the Trafficking Victims Protection Act grant program funds with a 25 percent cash contribution or the value equivalent of an in-kind contribution(s). In-kind match refers to the value of something received or provided that does not have a cost associated with it.

**Length and Time Phasing of Assistance:**

Fiscal Year 2003, 2004, 2005, 2006 and 2007 trafficking funds may be carried for obligation by the grantee for the duration of their grant award. Funds are released via electronic funds transfer. Grantees must become enrolled in the Automated Clearinghouse (ACH) Vendor Express Program to request any Federal funds.

**Reports:**

Quarterly financial reports and semi-annual progress reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of 3 years.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$9,872,280; FY 08 \$9,400,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In FY 08, OVC may award grants ranging from \$200,000 to \$500,000 for 1-3 years to support services to trafficking victims. Additional awards to support research and evaluation and training and technical assistance may be made.

**PROGRAM ACCOMPLISHMENTS:**

Since the inception of the program over 1,900 pre-certified trafficking victims have been served by grantee recipients. Grantees have also provided substantive training on trafficking to over 89,000 individuals, including law enforcement officers. OVC now funds a total of 31 direct service projects, as well as one project that provides mobile services. Comprehensive services grants provide direct services to meet the broad range of needs of trafficking victims, including case management; legal services; medical, dental, and mental health services; advocacy, emergency and longer-term housing; education and job skills training; and interpreter services. The specialized services grants provide a quickly mobilized single service over a broad geographical area, such as mental health assessment and crisis intervention. OVC continues to coordinate closely with the Office for Refugee Resettlement at the Department of Health and Human Services through periodic coordination meetings to ensure that their respective programs for trafficking victims, outreach efforts, and training and technical assistance priorities for trafficking grantees are not duplicative and proactively address issues that arise from the field on service provision to trafficking victims. Funding from this program was previously transferred to the National Institute of Justice to support a ground-breaking evaluation of three of the OVC funded comprehensive service sites. Final results were completed this year. Through its Training and Technical Assistance Center, OVC has developed substantive resources for its grantees to collect data and track performance of their projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVC discretionary grant solicitations and application guidelines and the current edition of the OJP Financial Guide are available on-line at the OVC webpage: <http://www.ojp.usdoj.gov/ovc/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Telephone: (202) 307-5983, or Joye Frost, Director, Program Development and Dissemination Division, Office for Victims of Crime; Telephone: (202) 305-1715.

**Web Site Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

93.598, Services to Victims of a Severe Form of Trafficking; 93.566, Refugee and Entrant Assistance State Administered Programs.

**EXAMPLES OF FUNDED PROJECTS:**

(a) Comprehensive Services projects provide a holistic approach to assisting trafficking victims by either directly providing services or coordinating access to services that provide shelter and sustenance, general health and mental health care, legal services, jobs skills training, cultural support from the community, and educational services. Applicants must establish an advisory committee to guide the project; conduct an assessment of existing community services, resources, and needs; identify key partners including law enforcement and governmental and non-governmental entities; and develop a plan to sustain the project after Federal funding ends. (b) Supplemental and Specialized Services projects must demonstrate capacity to provide discrete services such as legal, housing, or mental health services to trafficking victims with very little notice and lead time within a given geographical area; for fluctuating numbers of victims; for victims with extremely limited resources; for victims from diverse cultural and linguistic backgrounds; and for victims who have experienced distinct or multiple forms of victimization, including psychological and sexual assault, forced labor, denial of medical care, etc. Programs must collaborate as appropriate with recipients of funding for Comprehensive services, and ensure trafficking victims have access to: emergency and long-term medical and mental health care, legal services including immigration advocacy, interpreter and translation services, social service and criminal justice system-based advocacy, outreach services directed toward immigrant populations, special services for victims who are juveniles, and job skills training.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals have been developed by the Office for Victims of Crime and are included in the OVC Services for Trafficking Victims Discretionary Grant program Solicitations and Application Guidelines.

**16.321 ANTITERRORISM EMERGENCY RESERVE**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

42 U.S.C. 10601(d)(5), 42 U.S.C. 10603b(b), 42 U.S.C. 10603b(a).

**OBJECTIVES:**

Encompasses two programs for victims of terrorism and/or mass violence: (1) Antiterrorism and Emergency Assistance Program (AEAP) and (2) The International Terrorism Victim Expense Reimbursement Program (ITVERP). The AEAP provides assistance and compensation services for victims of domestic terrorism and mass violence and assistance for victims of international terrorism. ITVERP provides compensation for victims of acts of international terrorism that occur outside the United States for expenses associated with that victimization.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts); Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

AEAP funds are available specifically for services to victims of terrorism and/or mass violence. Funded activities may include compensation, emergency relief, including crisis response efforts, assistance, training and technical assistance, and ongoing assistance, including during any investigation or prosecution to victims of terrorist acts or mass violence occurring within and outside the United States. ITVERP provides reimbursement for victims of international terrorism specifically for expenses incurred for medical, mental health, funeral and burial, property loss, and other miscellaneous costs.

**Applicant Eligibility:**

AEAP: Criteria will vary depending on the grant. For terrorism or mass violence occurring within or outside the U.S., eligible applicants for funding under VOCA, Title II, 42 U.S.C. 1603b, 1404B, include states, victim service organizations, and public agencies (including federal, State and local governments) and non-governmental organizations that provide assistance to victims of crime. With the exception of ITVERP, OVC does not provide funding directly to individual crime victims. ITVERP: For an applicant to be eligible to receive reimbursement under ITVERP as authorized under VOCA,

Title II, 42 U.S.C. 10603c, 1404C, an individual must be a national of the United States or an officer or employee of the U.S. Government, as of the date on which the act of terrorism occurred. In addition, the individual must have suffered direct physical or emotional injury or death as a result of an act of international terrorism occurring on or after December 21, 1988, with respect to which an investigation or prosecution was ongoing after April 24, 1996.

**Beneficiary Eligibility:**

AEAP: Public and private nonprofit victim assistance agencies; victims of domestic and international terrorism. Eligibility depends on the nature of the grant. ITVERP: The law requires that the individual victim must have suffered direct physical or emotional injury or death as a result of an act of international terrorism occurring on or after December 21, 1988, with respect to which an investigation or prosecution was ongoing or was commenced after April 24, 1996. In the case of a victim who is a minor, incompetent, incapacitated, or is killed, a family member or legally designated representative of the victim may receive expense reimbursement on behalf of the victim. In addition to the victim, claimants may include the following: Spouse of the victim, Parents of the victim, Children of the victim, Siblings of the victim, Legally designated victim representative.

**Credentials/Documentation:**

All potential applicants shall submit a written proposal along with a budget and budget narrative to the OVC Director for consideration. Proposals submitted by State crime victim compensation program administrators should include the following: (1) a description of the qualifying crime; (2) the projected number of claims to be paid and the projected number of claimants to receive payments; (3) the states maximum award amount by category, such as medical, mental health, lost wages, funeral, etc.; and (4) a description of the range of expenses covered by the program and the amount of state funding available to cover victim claims. Proposals submitted by State crime victim assistance administrators, and all other applicants seeking crime victim assistance, should include the following: (1) type of crime and description of the criminal event; (2) identification of the lead law enforcement agency conducting the investigation; (3) estimated number of victims affected by the crime; (4) description of the applicant's role in responding to the victim population since the date of the incident; (5) description of services that this funding will support and how these efforts will complement services already in place or will respond to an unmet need; (6) the amount of funding requested and the time frame for support; and (7) description of outreach and coordination with other public and private entities during the process of preparing the request for assistance. Once approved for applying, an AEAP solicitation, with detailed instructions on applying as well as reporting requirements, will be posted on the OJP electronic Grants Management System (GMS). Applicants, except Federal agencies, must submit through GMS (1) SF-424, Application for Federal Funding and applicable assurances and forms; and (2) Budget and budget narrative including a description of all other federal and nonfederal contributions (cash or in-kind). Applications for the AEAP must be submitted to the OVC Director as soon as practical following a terrorist or mass violence event by the appropriate State or federal official or private victim service and non-governmental organizations. ITVERP: All potential applicants shall submit a written application along with all supporting documentation to OVC for consideration. There are three application types: An Itemized application should be used by those eligible claimants who are a first-time request for reimbursement of out-of-pocket expenses that were paid following an international terrorism event. An Interim Emergency application should be used by eligible claimants seeking funds for an immediate need such as medical treatment, short-term lodging, or emergency transportation. A Supplemental application should be used by eligible claimants whose expenses have changed since they submitted an initial application. The supplemental application is for bills that may have been received late, or for new services that were not originally thought necessary.

**Preapplication Coordination:**

The standard application form furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule) must be used for all grants made by OVC. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

AEAP: Applications will be accepted following an incident of terrorism or mass violence in accordance with the timetable set forth in the AEAP Guidelines. There are two factors that determine the application submission requirements for the AEAP: (1) the applicant status, i.e., government agency (Federal, State, or local), non-governmental organization, or victim service organization; and (2) the type of support requested, i.e., crisis response, consequence management, criminal justice, victim compensation, technical assistance (no direct funding). Application requirements are listed below. Application requirements for State crime victim compensation programs - Funding will be made available to State crime victim compensation programs in response to an incident of terrorism within the United States in the form of a grant. Requests for funding from State crime victim compensation programs may be made at any time in the aftermath of an incident and should include: (1) a description of the qualifying crime; (2) the projected number of claims to be paid and the projected number of claimants to receive payments; (3) the State's maximum award amount by category, i.e., medical, mental health, loss wages, funeral, etc.; and (4) SF-424, Application for

Federal Assistance and applicable assurances and forms. The request should also describe the range of expenses covered by the program and the amount of State funding available to cover victim claims. Application requirements for all other recipients of funds -All other applicants seeking Antiterrorism Emergency Reserve support are required to submit a letter of request containing the following information: (1) Type of crime and description of the criminal event; (2) Identification of the lead law enforcement agency conducting the investigation; (3) Estimated number of victims affected by the crime; (4) Description of the applicant's role in responding to the victim population since the date of the incident; (5) Description of services that funding will support and how these efforts will complement services in place or respond to an unmet need; (6) The amount of funding requested and the time frame for support; and (7) Description of outreach and coordination with other public and private entities in the process of preparing the request for assistance. To Request Training and Technical Assistance Support - Training and Technical Assistance may be requested by submitting a letter describing the nature of the problem; the type of expertise or assistance needed; the duration of assistance; and the projected outcomes of the technical assistance or training. See OVC guidelines published in the Federal Register (Vol. 67, No. 21, Thursday, January 31, 2002) for additional information on application requirements for the AEAP. ITVERP: Step 1: Identify the type of application you are applying for by marking the appropriate type at the top of the application form. In addition, a supplemental sheet must be filled out by applicants. Sections B and F should be answered by all applicants; section G should be answered by Itemized and Supplemental applicants only. Detailed instructions are included. Step 2: If you believe that you are an eligible victim of a "designated" international terrorism event, please use the following forms and information to prepare your application for reimbursement. Required Documentation: A victim is required to submit documentation that provides proof of identity, citizenship, employment, and damage/injury sustained during the international terrorism event. A victim's family member or representative is required to submit documentation of his/her relationship to the victim plus medical information or a death certificate as appropriate, in addition to the items named above. In all cases, receipts for expenses incurred in the recovery process will be required. If any of the required documents have been destroyed and are unavailable from any other source, you must provide and certify a list of destroyed documents and how each would apply to your ITVERP application.

**Award Procedure:**

AEAP: Upon receipt and internal review of a complete application, it is the intention of OVC to notify applicants of funding decision within 5 business days or as soon as practicable. The applicant may be notified by telephone, Internet or facsimile. ITVERP: After review of each application, the Director shall determine the eligibility of the victim or representative and the amount, if any, eligible for reimbursement, specifying the reasons for such determination and the findings of fact and conclusions of law supporting it. A copy of the determination shall be mailed to the claimant at his last known address.

**Deadlines:**

AEAP: The established time frames for funding are flexible and not intended to prohibit the submission of applications at a different time, if warranted. However, applicants should make every available effort to submit applications within the maximum parameters of the grant (Crisis Response Grant, up to 9 months; Consequence Management Grant, up to 18 months; Criminal Justice Support Grant, up to 36 months). ITVERP: The deadline for an application is three years from the date of the act of international terrorism. At the discretion of the Director, the deadline for filing a claim may be extended to a date not later than three years from the date of the determination that there is a reasonable indication that an act of international terrorism has occurred, under 94.21(a). For claims related to acts of international terrorism that occurred after December 21, 1988, but before the establishment of this program, the application deadline is three years from the effective date of program implementation (October 6, 2006).

**Range of Approval/Disapproval Time:**

AEAP: It is OVC's intention to make a funding decision within 5 business days of receipt of a complete application or as soon as practicable. ITVERP: It is OVC's intention to review and process payments as soon as practicable. For itemized and supplemental claims, range of approval/disapproval is dependant upon receipt of an official determination of a reasonable indication of an act of international terrorism from the Assistant Attorney General of National Security for a particular event, Processing time is also dependant upon timely response by claimants of any outstanding documents or information required to process claim applications. Claimants may apply for an interim emergency payment, prior to a determination under Section 94.21(a). If the Director determines that such payment is necessary to avoid or mitigate substantial hardship that may result from delaying reimbursement until complete and final consideration of an application, such payment may be made to cover immediate expenses such as those of medical care, funeral and burial, short-term lodging, and emergency transportation.

**Appeals:**

For both programs, hearing by the Assistant Attorney General, Office of Justice Programs.



**Renewals:**

AEAP: See OVC guidelines for Antiterrorism and Emergency Assistance Program for Terrorism and Mass Violence Crimes published in the Federal Register, Vol. 67, No. 21, Thursday, January 31, 2002. ITVERP: Not applicable.

**Formula and Matching Requirements:**

AEAP: There are no formula or matching requirements. Nonfederal contributions (cash or in-kind) are expected for Antiterrorism Emergency Reserve assistance program grants. Federal agencies are not expected to make a financial contribution. ITVERP: Not applicable to the ITVERP, except that the amount awarded will be offset by collateral sources.

**Length and Time Phasing of Assistance:**

AEAP: For grants, dollars remaining unspent by the State or program within 3 fiscal years after the end of the fiscal year in which the award was made, will revert to the Crime Victims Fund/Antiterrorism Emergency Reserve. Funds are released via the Electronic Transfer System (formerly the Letter of Credit System) on an as needed basis to the recipient.

**Reports:**

AEAP: Quarterly financial reports and semi-annual progress reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. ITVERP: There are no reporting requirements for claimants under ITVERP.

**Audits:**

AEAP: All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Not applicable to ITVERP.

**Records:**

AEAP: Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of 3 years. ITVERP: Files are retained on hard copy and on a computer database. All claim files and automated data pertaining to a claim are destroyed 10 years after the date the claim has been fully processed and/or payment made, as approved by the National Archives and Records Administration (NARA). Automated data is retained in its most current form only, however, and as information is updated, outdated information is deleted.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

FY 07 \$50,000,000; FY 08 \$50,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies depending on terrorism/mass violence event and specific need(s).

**PROGRAM ACCOMPLISHMENTS:**

OVC has and continues to provide mental health counseling and other services or compensation to students, faculty, and emergency services personnel following fatal school shootings in 2005 and 2006 at the Nickel Mines Amish Schoolhouse in Pennsylvania, Platte Canyon High School in Colorado, and Red Lake High School on the Red Lake Indian Reservation in Minnesota, and to witnesses of a courthouse shooting and subsequent carjacking in 2005 in Atlanta, Georgia. OVC has supported mental health services for New York City firefighters, police officers, emergency medical technicians, and other emergency responders who experienced emotional and psychological trauma at Ground Zero. OVC has also provided funding for assistance and services for victims of the September 11, 2001 terrorist attacks in the USA, Oklahoma City, the bombings of Pan Am 103, the US Embassies in Kenya and Tanzania, Khobar Towers, the USS Cole, and the terrorist attacks in Bali, Indonesia, Saudi Arabia, Afghanistan and Iraq (e.g. bombing of UN Headquarters in Baghdad). Assistance has included toll-free information lines, family web sites, informational briefings, travel to criminal justice proceedings, and mental health counseling. In addition, OVC works in liaison with other Federal agencies to coordinate services for victims of terrorism; has worked with the Center for Mental Health Services at HHS to develop training for mental health service providers on assisting victims of terrorism and mass violence; and is working with the Federal Emergency Management Agency (FEMA) to better coordinate and collaborate on victim services in the event of a mass crisis incident. ITVERP: As of October 2007, ITVERP has received twenty-five applications. Of those, six applications have been approved, processed, and paid. Over \$25,000 in reimbursement payments has been paid out to applicants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

AEAP Application Kit and current edition of the OJP Financial Guide are available on the OVC web site at [www.ovc.gov](http://www.ovc.gov) or by writing to Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531; Telephone: (202) 307-5983. ITVERP application materials and program information are available on the OVC web site at [www.ovc.gov](http://www.ovc.gov) or by writing to Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531; Telephone: (202) 307-5983.

**Regional or Local Office:**

None.

**Headquarters Office:**

For AEAP and ITVERP information, contact the Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Telephone: (202) 307-5983.

**Web Site Address:**

<http://www.ovc.gov>.

**RELATED PROGRAMS:**

16.575, Crime Victim Assistance; 16.576, Crime Victim Compensation; 16.582, Crime Victim Assistance/Discretionary Grants.

**EXAMPLES OF FUNDED PROJECTS:**

AEAP: Potential projects may include, but are not limited to: crisis response grants to provide resources to help victims rebuild adaptive capacities, decrease stressors, and to reduce symptoms of trauma immediately following the terrorism or mass violence event; consequence management grants designed to provide supplemental resources to help victims adapt to the trauma event and to restore victims' sense of equilibrium; criminal justice support grants to facilitate victim participation in an investigation or prosecution directly related to the terrorist and mass violence event; crime victim compensation grants to provide supplemental funding to a State crime victim compensation program that reimburses victims for out-of-pocket expenses related to their victimization in cases of terrorism or mass violence occurring within the United States; training and technical assistance for States and local communities to help when responding to terrorism and mass violence; and assistance to victims of acts of international terrorism that occur outside the United States. ITVERP: Applicants have received payments for the following terrorism events: bombing of a housing compound in Riyadh, Saudi Arabia; nightclub bombings in Bali, Indonesia; the airport bombing in Davao City, Philippines; the U.S. embassy bombings in Nairobi, Kenya; and the Khobar Towers bombing in Dhahran, Saudi Arabia.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the guidelines, regulations, and application kits for these programs. Additional criteria may be developed by the Office for Victims of Crime and will be published in the application packages.

**16.523 JUVENILE ACCOUNTABILITY BLOCK GRANTS**

(JABG)

**FEDERAL AGENCY:**

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION,  
OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Public Law 107-273.

**OBJECTIVES:**

To provide States and units of local government with funds to develop programs to strengthen and promote greater accountability in the juvenile justice system. To survey the field and identify projects that would benefit from research, demonstration, and evaluation in the 16 purpose areas identified in the JABG Program. To provide training and technical assistance to States and units of local government so they may develop programs outlined in the 16 program areas to promote greater accountability in the juvenile justice system.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

A total of \$49,361,400 has been appropriated in FY 2007 to be used as follows: Formula grant funds in the amount of \$40,245,992 will be available for use in the following areas: (1) Developing, implementing, and administering graduated sanctions for juvenile offenders. (2) Building, expanding, renovating or operating temporary or permanent juvenile correction, detention, or corrections facilities. (3) Hiring juvenile court judges, probation officers, and court-appointed defenders and special advocates, and funding pretrial services (including mental health screening and assessment) for juvenile offenders, to promote the effective and expeditious administration of the juvenile justice system. (4) Hiring additional prosecutors so that more cases involving violent juvenile offenders can be prosecuted and case backlogs reduced. (5) Providing funding to enable prosecutors to address drug, gang, and youth violence problems more effectively and for technology, equipment and training to assist prosecutors in identifying and expediting the prosecution of violent juvenile offenders. (6) Establishing and maintaining training programs for law enforcement and other court personnel with respect to preventing and controlling juvenile crime. (7) Establishing juvenile gun courts for the prosecution and adjudication of juvenile firearms offenders. (8) Establishing drug court programs for juvenile offenders that provide continuing judicial supervision over juvenile offenders with substance abuse problems and the integrated administration of other sanctions and services for such offenders. (9) Establishing and maintaining a system of juvenile records designed to promote public safety. (10) Establishing and maintaining interagency information-sharing programs that enable the juvenile and criminal justice systems, schools, and social services agencies to make more informed decisions regarding the early identification, control, supervision, and treatment of juveniles who repeatedly commit serious

delinquent or criminal acts. (11) Establishing and maintaining accountability-based programs designed to reduce recidivism amount juveniles who are referred by law referred by law enforcement personnel or agencies. (12) Establishing and maintaining programs to conduct risk and needs assessments of juvenile offenders that facilitate effective early intervention and the provision of comprehensive services, including mental health screening and treatment and substance abuse testing and treatment, to such offenders. (13) Establishing and maintaining accountability-based programs that are designed to enhance school safety. (14) Establishing and maintaining restorative justice programs. (15) Establishing and maintaining programs to enable juvenile courts and juvenile probation officers to be more effective and efficient in holding juvenile offenders accountable and reducing recidivism. (16) Hiring detention and corrections personnel and establishing and maintaining training programs for such personnel, to improve facility practices and programming. (17) Establishing, improving and coordinating pre-release and post-release systems and programs to facilitate the successful reentry of juvenile offenders from state and local custody in the community. Funds in the amount of \$3,948,912 are available to support research, evaluation, and demonstration projects consistent with this program. Input will be solicited from the States to determine which of the 17 areas are most important and where the greatest needs are. This information will guide and provide insight for research, evaluation, and demonstration activities under this program. Training and technical assistance funds, in the amount of \$987,228, are available to support the 17 program areas targeted by the JABG Program.

**Applicant Eligibility:**

Each State and territory (except Palau) is eligible to receive an allocation and award of funds for State and units of local government if the Governor certifies-, consistent with guidelines established by the Attorney General.

**Beneficiary Eligibility:**

All States and territories are eligible to receive an allocation and award of funds for State and units of local government. Funds are available to public and private agencies, organizations, or individuals to apply for discretionary and training and technical assistance funds.

**Credentials/Documentation:**

Each applicant must submit a completed application, including signed assurances that it will comply with statutory and administrative requirements. For Research and Evaluation grants, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. E.O. 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Points of Contact (SPOC), if one exists. Research and evaluation grants are excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit completed applications via the Office of Justice Programs, Grants Management System. The receipt, review and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. The Demonstration Program Division is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs. Local units of government will receive JABG funds through the applicant agency subgrant award process. Each State and territory that receives monies under the JABG program must establish an interest-bearing trust fund to deposit program funds. Each State and territory (recipient) or unit of local government (subrecipient) that receives program funds must establish a coordinated enforcement plan for reducing juvenile crime, developed by an Advisory Board.

**Deadlines:**

Consult the Application Kit or contact the State Relations and Assistance Division, Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs; Telephone: (202) 307-5924 for application deadlines.

**Range of Approval/Disapproval Time:**

Formula grant applications will generally be approved within 30 to 45 days of receipt of a complete application. Discretionary grant applications generally take 2 to 4 months.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR, Part 18, of the Department of Justice Regulations.

**Renewals:**

Renewals are subject to appropriations.

**Formula and Matching Requirements:**

Public Law 107-273 allocates 0.5 percent of the appropriated amount for each State and territory and of the total funds remaining, allocates to each State an amount that bears the same ratio as the population of people under the age of 18 living in each State for the most recent calendar year in which the data is available. The Program requires a cash match of 10 percent of total program costs; Federal funds may not exceed 90 percent of total program costs. (Each

State and territory that receives money under the JABG program must establish an interest-bearing trust fund to deposit program funds.) Interest derived from the award does not have to be matched, but interest generated from the trust fund cannot be used to match the Federal award. Matching contributions need not be applied at the exact time or in proportion to the obligation of Federal funds. However, the full match amount must be obligated by the end of the 36 month project period. For discretionary grants, no match is required.

**Length and Time Phasing of Assistance:**

Formula grant awards are made for 36 months; discretionary grants are generally for 1 to 3 years.

**Reports:**

Quarterly financial, annual, and semiannual progress reports are required.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as described in OJP's Financial Guide, Chapter 19. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that Expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754 and 15-0405-0-1-754.

**Obligations:**

FY 07 \$49,361,000; FY 08 \$51,700,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

OJJDP's National Training and Technical Assistance Center (NTTAC) serves as the national training and technical assistance provider for the JABG program to ensure that comprehensive support is available to states and units of local government. SRAD is working with the Designated State Agencies (DSAs) to help assure the timely award of allocations to Units of local government, and where appropriate approve waiver requests to retain a percentage of funds at the State level equal to the State's level of primary financial burden for the administration of juvenile justice within the twelve program purpose areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide.

**Regional or Local Office:**

Gregory Thompson, Associate Administrator, State Relations and Assistance Division, Telephone: (202) 307-5924, or Thomas Murphy, Program Manager; Telephone: (202) 353-8734; and Jeff Slowikowski, Associate Administrator, Demonstration Programs Division, Telephone: (202) 616-3646.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, 810 7th Street, NW., Washington, DC 20531. Contact State Relations and Assistance Division; Telephone: (202) 307-5924.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In addition to the FY 2007 Block Grant awards, funds were awarded to several tribal entities and a tribal training and technical assistance provider to enhance OJJDP's effort to provide funds to Indian Country. Additionally, an award was made to the National Training and Technical Assistance Center.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria is established by the Juvenile Accountability Block Grants (JABG) FY 2002 Guidance Manual as established by the Office of Juvenile Justice and Delinquency Prevention.

## 16.524 LEGAL ASSISTANCE FOR VICTIMS

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violence Against Women Act of 2000, Section 1201, 42 U.S.C. 3796gg-6, as amended; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 103, Public Law 109-162.

**OBJECTIVES:**

These grants are for increasing the availability of civil and criminal legal services to victims of domestic violence, dating violence, sexual assault, and stalking in matters arising from the abuse or violence. The goal is to develop

innovative, collaborative programs within the legal system that promote victim safety and increase victim economic autonomy.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The Legal Assistance for Victims Grant Program provides an opportunity for communities to enhance legal assistance for victims. Funds may be used: (1) to implement, expand, and establish cooperative efforts and projects between domestic violence, dating violence, and sexual assault victim services organizations and legal assistance providers to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault; (2) to implement, expand, and establish efforts and projects to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault by organizations with a demonstrated history of providing direct legal or advocacy services on behalf of these victims; and (3) to provide training, technical assistance, and data collection to improve the capacity of grantees and other entities to offer legal assistance to victims of domestic violence, dating violence, stalking, and sexual assault.

**Applicant Eligibility:**

Eligible grantees for this program are private, nonprofit entities, Indian tribal governments and tribal organizations, territorial organizations, and publicly funded organizations not acting in their governmental capacity, such as law schools.

**Beneficiary Eligibility:**

Beneficiaries include public or private nonprofit entities providing legal assistance primarily to victims of domestic violence, sexual assault, and or stalking.

**Credentials/Documentation:**

Grantees must certify that any person providing legal assistance has completed or will complete training that was developed with a domestic violence, dating violence, stalking, or sexual assault coalition or program and that the grantee's policies do not require mediation or counseling of offenders and victims together. Grantees must also verify that any person or organization providing legal assistance has informed and will continue to inform State, local, or tribal domestic violence or sexual assault programs and coalitions and appropriate State, territorial, tribal, and local law enforcement of their work.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply online through the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Continuation grant awards are competitively selected and determined on a case-by-case basis.

**Formula and Matching Requirements:**

This is not a formula grant program. Grants will be made for amounts up to 100 percent of the costs of the project contained in the approved applications. Matching is not required for this grant program; however applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the effective edition of M7100.1, Financial and Administrative Guide for Grants. Progress reports should explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$32,201,088; FY 08 est \$27,897,281; and FY 09 est \$19,528,097.

**Range and Average of Financial Assistance:**

\$138,000 to \$600,000; \$416,377.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 277, Awards: 71; FY 08: Applications: 242, Awards: 66; FY 09: est. Applications: 242, Awards: 46.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable. Legal Assistance for Victims Grantee Policy Guidebook.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovv.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments.

**EXAMPLES OF FUNDED PROJECTS:**

Direct legal services (e.g., representation in protection order, family law, or housing matters) for victims of domestic violence, dating violence, sexual assault and stalking; law school clinical programs and curricula on domestic violence; projects that establish partnerships between local domestic violence or sexual assault programs and legal services providers.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are included in an annual Application Kit.

**16.525 GRANTS TO REDUCE DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ON CAMPUS**

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Pub. L. No. 109-162, 42 U.S.C. 14045b.

**OBJECTIVES:**

To develop and strengthen effective security and investigation strategies to combat domestic violence, dating violence, sexual assault, and stalking on campuses, and to develop and strengthen victim services in cases involving such crimes against women on campuses, which may include partnerships with local criminal justice authorities and community-based victim services agencies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds may be used for one or more of the following statutory program purpose areas: (1) To provide personnel, training, technical assistance, data collection, and other equipment with respect to the increased apprehension, investigation, and adjudication of persons committing domestic violence, dating violence, sexual assault, and stalking on campus. (2) To develop and implement campus policies, protocols, and services that more effectively identify and respond to crimes of domestic violence, dating violence, sexual assault, and stalking, and to train campus administrators, campus security personnel, and personnel serving on campus disciplinary or judicial boards on such policies, protocols, and services. (3) To implement and operate education programs for the prevention of domestic violence, dating violence, sexual assault, and stalking. (4) To develop, enlarge, or strengthen victim services programs on the campuses of the institutions involved, including programs providing legal, medical, or psychological counseling, for victims of domestic violence, dating violence, sexual assault, and stalking, and to improve delivery of victim assistance on campus. To the extent practicable, such an institution shall collaborate with any entities carrying out nonprofit and other victim services programs, including



domestic violence, dating violence, sexual assault, and stalking victim services programs in the community in which the institution is located. If appropriate victim services programs are not available in the community or are not accessible to students, the institution shall, to the extent practicable, provide a victim services program on campus or create a victim services program in collaboration with a community-based organization. The institution shall use not less than 20 percent of the funds made available through the grant for a victim services program provided in accordance with this paragraph. (5) To create, disseminate, or otherwise provide assistance and information about victims' options on and off campus to bring disciplinary or other legal action, including assistance to victims in immigration matters. (6) To develop, install, or expand data collection and communication systems, including computerized systems, linking campus security to the local law enforcement for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions with respect to the crimes of domestic violence, dating violence, sexual assault, and stalking on campus. (7) To provide capital improvements (including improved lighting and communications facilities but not including the construction of buildings) on campuses to address the crimes of domestic violence, dating violence, sexual assault, and stalking. (8) To support improved coordination among campus administrators, campus security personnel, and local law enforcement to reduce domestic violence, dating violence, sexual assault, and stalking on campus.

**Applicant Eligibility:**

Institutions of higher education as defined under the Higher Education Amendments of 1998 that are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Sec. 486 (e) (1998). A consortia of institutions of higher education may also apply for these grants provided that each individual consortium member is also eligible to apply.

**Beneficiary Eligibility:**

Institutions of higher education.

**Credentials/Documentation:**

Applicants must certify that they are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Sec. 486 (e) (1998) In addition, applicants must meet the following minimum requirements: 1) Collaborate with at least one nonprofit, nongovernmental victim services agency within the community and criminal justice or civil legal agencies 2) Create a coordinated community response to violence against women on campus 3) Establish a mandatory intervention and education campaign for all incoming students 4) Train campus police to respond effectively to domestic violence, dating violence, sexual assault, and stalking 5) Train members of campus disciplinary boards to respond effectively to charges of domestic violence, dating violence, sexual assault, and stalking.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, an electronic notification will be sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis and competitively selected.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Matching is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as needed basis to the grantee.

**Reports:**

Each grantee receiving funds under this Subpart shall submit semi-annual

progress reports. Upon completion of the grant period, the institution shall file a performance report explaining the activities carried out and including an assessment of the effectiveness of those activities in achieving the purposes of the program. In addition, grantee must provide the Office on Violence Against annual statistics on the numbers of victims served, gender, ethnicity, relationship to offender, type of victimization, language, disability, and the number of victims seeking services who were turned away for services. Grantees must also submit quarterly financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete and accurate records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$8,432,311; FY 08 est \$6,537,812; and FY 09 est. \$4,576,468.

**Range and Average of Financial Assistance:**

\$178,709 - \$499,999; \$311,324.

**PROGRAM ACCOMPLISHMENTS:**

FY 2007 Applications: 117; Awards: 17; FY 08: Applications: 131, Awards: 21; FY 09: est. Applications: 131, Awards: 15.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women Office, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of previously funded activities include: creating a sexual assault and domestic violence community task force, which includes representatives from campus and community organizations, as well as local police and victim services agencies; educating resident assistants, incoming students, sorority and fraternity members, athletes and university staff about violence against women and consequences for offenders; training for student health center doctors and nurses and Medical Center emergency room staff on responding to domestic violence; training campus judicial board members on violence against women; training campus and local law enforcement on responding to and investigating violence against women on campus; and providing prevention education to incoming students.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by Violence Against Women and Department of Justice Reauthorization Act of 2005 and published program guidelines.

**16.526 OVW TECHNICAL ASSISTANCE INITIATIVE**

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, Section 3(a), 42 U.S.C. 13925(b)(11).

**OBJECTIVES:**

To provide communities with critical resources that help them forge partnerships across agencies and disciplines to respond effectively to violent crimes against women. OVW's Technical Assistance Program was created to provide grantees with the expertise and support they need to develop and implement successful local projects, increase victim safety, and bolster offender accountability. Grantees participate in educational initiatives, conferences, peer-to-peer consultations, and targeted assistance that allow them to learn from experts and one another about how to overcome obstacles and incorporate promising practices in their efforts to address violence against women. In addition, the Technical Assistance Program focuses on building the capacity of national criminal justice and victim advocacy organizations to effectively address violent crimes against women and examine issues of special interest to OVW and its constituents.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

OVW funds a constellation of technical assistance projects to support the activities of its grantees and to forge partnerships among organizations that have not traditionally worked together to address domestic violence, dating violence, sexual assault, or stalking. Grantees learn from national experts and each other how best to develop and implement locally responsive programs. OVW encourages applicants to the Technical Assistance Program to design educational initiatives that are interactive and experiential and that seek to change values and attitudes that have traditionally prevented victim advocates and criminal justice professionals from responding effectively to sexual assault, domestic violence, dating violence, and stalking. Applicants proposing education programs must detail the adult education methods they will use to promote new insight, knowledge, skills, and abilities in the individuals with whom they propose to work.

**Applicant Eligibility:**

Eligible applicants are organizations or individuals partnered with organizations.

**Beneficiary Eligibility:**

Beneficiaries are organizations or individuals partnered with organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

No statutory rights of appeal.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the projects contained in the approved applications. Matching is not required for this grant.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as needed basis to the grantee.

**Reports:**

Each grantee receiving funds under this program shall submit semi-annual progress reports. Upon completion of the grant period, the institution shall file a performance report explaining the activities carried out and including an assessment of the effectiveness of those activities in achieving the purposes of the program. Grantees are also required to submit quarterly financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$14,107,409; FY 08 est \$12,734,568; and FY 09 est \$8,914,198.

**Range and Average of Financial Assistance:**

\$20,000 to \$1,500,000; \$318,364.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applicants: 188, Awards: 57; FY 08: Applicants: 41, Awards: 41; FY 09 est: Applicants: 41, Awards: 41.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.524, Legal Assistance for Victims; 16.525, Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588, Violence Against Women Formula Grants; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

OVW's TA projects have offered educational opportunities, conferences, peer-to-peer consultations, site visits, and tailored assistance that has allowed grantees and others to learn from experts and one another about how to effectively respond to crimes of violence against women. plement the Peaceful Families Project, designed to provide culturally appropriate assistance to victims of domestic violence, sexual assault, and stalking in the Muslim communities.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are included in an annual Call for Concept Papers.

**16.527 SUPERVISED VISITATION, SAFE HAVENS FOR CHILDREN**

(Supervised Visitation)

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Victims of Trafficking and Violence Protection Act of 2000; Public Law 106-386, Sec. 1301, as amended; 42 U.S.C. 10420; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 306, Public Law 109-162.

**OBJECTIVES:**

To provide an opportunity for communities to support supervised visitation and safe exchange of children, in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are available for one or more of the following statutory purposes: (1) to provide supervised visitation and safe visitation exchange of children by and between parents in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking; (2) to protect children from the trauma of witnessing domestic or dating violence or experiencing abduction, injury, or death during parent and child visitation exchanges; (3) to protect parents or caretakers who are victims of domestic and dating violence from experiencing further violence, abuse, and threats during child visitation exchanges; and (4) to protect children from the trauma of experiencing sexual assault or other forms of physical assault or abuse during parent and child visitation and visitation exchanges.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, and units of local government.

**Beneficiary Eligibility:**

Beneficiaries include public and private nonprofit entities that provide supervised visitation and safe exchange of children.

**Credentials/Documentation:**

Applicants must demonstrate expertise in the area of family violence, including the areas of domestic violence or sexual assault, as appropriate; ensure that any fees charged to individuals for use of programs and services are based on the income of those individuals, unless otherwise provided by court order; demonstrate that adequate security measures, including adequate facilities, procedures, and personnel capable of preventing violence, are in place for the operation of supervised visitation programs and services or safe visitation exchange; and prescribe standards by which the supervised visitation or safe visitation exchange will occur. In addition, all applicants are required to enter into a collaborative working relationship with state or local courts and a nonprofit, nongovernmental victim services provider in the local community to be served, such as the State or tribal domestic violence coalition, State or tribal sexual assault coalition, local shelters, and programs for domestic violence and sexual assault victims.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Length of assistance is provided in an annual application kit. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports should explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program.

**Audits:**

Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$10,434,453; FY 08 est \$11,268,417; and FY 09 est \$7,887,892.

**Range and Average of Financial Assistance:**

\$200,000 to \$546,000; \$321,955.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 93, Awards: 33; FY 08: Applications: 88, Awards: 29; FY 09 est: Applications: 88, Awards: 20.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Grantees provide supervised visitation services and safe exchange of children by and between parents in cases involving domestic violence, dating violence, sexual assault, stalking, or child abuse.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.528 ENHANCED TRAINING AND SERVICES TO END VIOLENCE AND ABUSE OF WOMEN LATER IN LIFE**

(Elder Abuse, Neglect, and Exploitation)

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Victims of Trafficking and Violence Protections Act of 2000; Public Law 106-386; 42 U.S.C. 14041a; Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, section 205(a).

**OBJECTIVES:**

To provide training, services, and collaboration to address the needs of victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory purposes: (1) training programs to assist law enforcement, prosecutors, governmental agencies, victim assistants, and relevant officers of Federal, State, tribal, territorial, and local courts in recognizing, addressing, investigating, and prosecuting instances of elder abuse, neglect, and exploitation, including domestic violence, dating violence, and sexual assault, or stalking against victims who are 50 years of age or older; (2) providing or enhancing services for victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, or stalking, who are 50 years of age or older; (3) creating or supporting multidisciplinary collaborative community responses to victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older; and (4) conducting cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**Applicant Eligibility:**

Eligible applicants include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants are notified by the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants are made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 36 months for new recipients; up to 24 months for continuation recipients.



Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress and quarterly financial reports are required, as stipulated in the effective edition of the OJP Financial Guide. Upon completion of the grant period, grantees shall file a performance report explaining the activities carried out and including an assessment of the effectiveness of those activities in achieving the purposes of the program.

**Audits:**

Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$3,468,729; FY 08 est \$3,726,679; and FY 09 est \$2,608,675.

**Range and Average of Financial Assistance:**

\$150,000 to \$500,000; \$310,557.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 35, Awards: 10; FY 08: Applications: 53, Awards: 10; FY 09 est: Applications: 53, Awards: 7.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders; 16.529, Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Specialized trainings for prosecutors and investigators on interviewing elder abuse victims with cognitive and/or communication impairments and on forensic wound identification. Educating county law enforcement and prosecutors regarding the unique obstacles encountered by older victims of domestic violence, sexual assault, and neglect. Developing training materials on mental and physical abuse, financial exploitation and domestic violence among older individuals, in order to increase the identification, investigation and prosecution of crimes against older individuals.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

## 16.529 EDUCATION, TRAINING, AND ENHANCED SERVICES TO END VIOLENCE AGAINST AND ABUSE OF WOMEN WITH DISABILITIES

(Disability Grant Program)

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Victims of Trafficking and Violence Protections Act of 2000, Sec. 1402, 42 U.S.C. 3796gg-7), as amended; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title II, Section 204, Pub. L. No. 109-162.

**OBJECTIVES:**

To provide training, consultation, and information on domestic violence, dating violence, stalking, and sexual assault against individuals with disabilities (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)); and to enhance direct services to such individuals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants awarded under this program shall be used for the following statutory program purposes: (1) to provide personnel, training, technical assistance, advocacy, intervention, risk reduction and prevention of domestic violence, dating violence, stalking, and sexual assault against disabled individuals; (2) to conduct outreach activities to ensure that disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault receive appropriate assistance; (3) to conduct cross-training for victim service

organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving individuals with disabilities about risk reduction, intervention, prevention and the nature of domestic violence, dating violence, stalking, and sexual assault for disabled individuals; (4) to provide technical assistance to assist with modifications to existing policies, protocols, and procedures to ensure equal access to the services, programs, and activities of victim service organizations for disabled individuals; (5) to provide training and technical assistance on the requirements of shelters and victim services organizations under Federal antidiscrimination laws, including: (A) the Americans with Disabilities Act of 1990; and (B) section 504 of the Rehabilitation Act of 1973; (6) to modify facilities, purchase equipment, and provide personnel so that shelters and victim service organizations can accommodate the needs of disabled individuals; (7) to provide advocacy and intervention services for disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault; or (8) to develop model programs providing advocacy and intervention services within organizations serving disabled individuals who are victims of domestic violence, dating violence, sexual assault, or stalking. (Grants for this purpose may only be awarded to an eligible agency as defined in section 410 of the Rehabilitation Act of 1973 (29 U.S.C. 796f-5)).

**Applicant Eligibility:**

States, units of local government, Indian tribal governments or tribal organizations, and nonprofit, nongovernmental victim services organizations, such as state domestic violence or sexual assault coalitions or nonprofit, nongovernmental organizations serving disabled individuals. For profit organizations and individuals are not eligible.

**Beneficiary Eligibility:**

Beneficiaries include victim service agencies who respond to crime victims who are individuals with disabilities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as-needed basis to the grantee.

**Reports:**

Quarterly financial reports are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Grantees shall also file a semi-annual performance reports explaining the activities carried out and including an assessment of the effectiveness of those activities in achieving the purposes of the program as well as a final performance report.

**Audits:**

Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than 9 months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$7,497,863; FY 08 est \$7,055,000; and FY 09 est \$4,938,500.

**Range and Average of Financial Assistance:**

\$600,000 - \$600,000; \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 47; Awards: 110; FY 08: Applications: 27, Awards: 7; FY 09: est. Applications: 27, Awards: 5.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders; 16.529, Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Examples include services for victims with disabilities and cross training for victim service agencies, governmental agencies, courts, law enforcement, and organizations serving people with disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

## 16.540 JUVENILE JUSTICE AND DELINQUENCY PREVENTION-ALLOCATION TO STATES

(State Formula Grants)

**FEDERAL AGENCY:**

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act, Sections 221-223, 42 U.S.C. Sections 5631-5633.

**OBJECTIVES:**

To increase the capacity of State and local governments to support the development of more effective education, training, research, prevention, diversion, treatment, accountability based sanctions, and rehabilitation programs in the area of juvenile delinquency and programs to improve the juvenile justice system.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

This program, established by the Juvenile Justice and Delinquency Prevention Act of 2002, allocates formula grant funds to States and territories on the basis of their relative population under age 18. The minimum allocation to each State is \$600,000 and to the Territories is \$100,000. States/Territories must demonstrate compliance with four core requirements of the JJDP act in order to receive their full allocation of Formula Grants funds. The core requirements are: Section 223(a) (11) deinstitutionalization of status offenders; (12) separation of adults and juveniles in secure custody; (13) removal of juveniles from adult jails and lockups; and (22) the elimination of the disproportionate contact of minority juveniles, where such conditions exist. The State's allocation will be reduced by 20 percent for each core requirement with which the State is in non-compliance. Technical Assistance: Not in excess of two percent of the funds available each fiscal year to formula grants is available for grants and contracts with public and private agencies, organizations and individuals to provide assistance to States, units of general local governments, and combinations thereof, and local private agencies to facilitate compliance with Section 223 of the JJDP Act and implementation of the State Plan approved by OJJDP. Technical assistance provided under this provision must be coordinated with the State agencies designated to implement the formula grants program. To be eligible for formula grant funds, a State must submit electronically a comprehensive plan applicable to a 3-year period embodying the purposes of the Act and including provisions that: (1) provide for an advisory group appointed by the chief executive of the State to carry out specified functions and to participate in the development and review of the State's juvenile justice plan; (2) provide that juveniles who are charged with or who have committed offenses that would not be criminal if committed by an adult, or offenses which do not constitute violations of valid court orders or such non-offenders as dependent and neglected children, are removed from secure juvenile detention and secure correctional facilities; (3)

provide that juveniles alleged to be or found to be delinquent and youths within the purview of the deinstitutionalization core requirement not be confined or detained in any institution in which they have contact with adult persons incarcerated because they have been convicted of a crime or are awaiting trial on criminal charges; (4) provide that no juvenile shall be detained or confined in any jail or lockup for adults (with specified exceptions); and (5) provide for programs to eliminate the disproportionate contact of minority juveniles where such condition exists. Once the plan is approved, each State determines the specific programs to be funded. The States are responsible for processing applications for subgrants and administering funded projects. Two-thirds of funds must be passed through to units of general local government, private nonprofit agencies, and Indian Tribes performing law enforcement functions unless a waiver is granted.

**Applicant Eligibility:**

The Chief Executive of each State which chooses to apply for a formula grant shall establish or designate a State agency as the sole agency for supervising the preparation and administration of the plan, in accordance with the Juvenile Justice and Delinquency (JJDP) Act of 2002. Technical Assistance: Grants and contracts may only be made to agencies, organizations and individuals that have experience in providing technical assistance to State agencies in implementing State plans, and in facilitating compliance with Section 223 of the JJDP Act, Public Law 102-586.

**Beneficiary Eligibility:**

Units of a State and its local government, public and private organizations, Indian tribes performing law enforcement functions, and agencies involved in juvenile delinquency prevention, treatment, and rehabilitation.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. An environmental impact assessment is necessary for this program to determine if an environmental impact statement is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants must submit completed applications via the Office of Justice Programs, Grants Management System following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

A letter with copies of the grant award and special conditions are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official to the Office of Justice Programs.

**Deadlines:**

Deadlines are included with the GMS instructions, appropriate Application Kits and Guideline Manuals, and other procedural guides.

**Range of Approval/Disapproval Time:**

Formula Grants Plans will generally be approved within 30 to 45 days of receipt of a complete application. Technical Assistance: Approval/disapproval time is provided on three levels (immediate response, total system response, and specialized, developmental response) from one to two hours to ten days.

**Appeals:**

Hearings held by OJJDP. Technical assistance: Federal Acquisition Regulations apply.

**Renewals:**

Comprehensive Plan submission required every 3 years. Annual updates and applications required each of the other 2 years. Technical Assistance: Contracts are renewed throughout contract modifications and competition processes.

**Formula and Matching Requirements:**

Formula based on juvenile population. Grantees are required to provide dollar for dollar match on planning and administration funds. Action programs allow no match. At least 66 2/3 percent of the funds received by the State under Section 222(a) of the JJDP Act of 1974, must be "expended by" or "passed through to" programs of units of general local government, private nonprofit agencies, and Indian tribes performing law enforcement functions, insofar as they are consistent with the State Plan. This provision may be waived at the discretion of the OJJDP Administrator for any State depending upon the extent to which the services for delinquent or potentially delinquent youth are supported on a statewide basis.

**Length and Time Phasing of Assistance:**

Fiscal year action funds may be carried forward for obligation for 2 years subsequent to the fiscal year of award. Under a Letter of Credit, drawdowns may be made. Technical Assistance: Three year incremental contract is funded.

**Reports:**

Financial, subgrant data and others are required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP Guideline Manuals and other procedural guides.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the Office of the Comptroller and the Federal Audit Clearinghouse no later than thirteen (13) months after the close of each fiscal year during the term of the award (for fiscal years beginning on/after July 1, 1998, audit report packages are due nine (9) months after the close of the fiscal year).

**Records:**

Grantee must keep complete records on disposition of funds.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

FY 07 \$78,978,240; FY 08 \$74,260,000; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

Allocation of formula grants to States and territories are based on of relative populations under 18.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, 55 out of 56 eligible States and territories participated in the Formula Grant Program. All participating States and territories are required to establish systems for monitoring jails, lockups and other facilities which may be used to detain or incarcerate juveniles. Substantial progress has been made in the removal of nonoffender juveniles from these institutions. All participating States must collect data and initiate activities to eliminate the disproportionate confinement of minority juveniles, where such conditions exist.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for Formula Grants (28 CFR Part 31) and OJP Financial Guide applicable editions.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Contact: Gregory Thompson, Associate Administrator, State Relations and Assistance Division. Telephone: (202) 307-5924. Use the same number for FTS.

**Web Site Address:**

<http://www.ojjdp.ncjrs.org>.

**RELATED PROGRAMS:**

16.541, Part E - Developing, Testing and Demonstrating Promising New Programs; 16.542, Part D - Research, Evaluation, Technical Assistance and Training; 16.548, Title V\_Delinquency Prevention Program; 16.549, Part E\_State Challenge Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Individual projects receive funding at the discretion of the responsible designated State agencies. These include programs such as community-based services for the prevention and control of juvenile delinquency, group homes and halfway houses, screening and intake services to permit increased diversion from juvenile court processes, law enforcement training, expanded use of probation and training for related personnel, and those activities which would remove status offenders from secure detention, separate juveniles from adults in institutions where they have contact with incarcerated adults, or remove juveniles from adult jails or lockups.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Juvenile Justice and Delinquency Prevention Act, as amended, and the regulations governing the Formula Grant Program provisions of the Juvenile Justice and Delinquency Prevention Act as published in the Federal Register.

**16.541 PART E - DEVELOPING, TESTING AND DEMONSTRATING PROMISING NEW PROGRAMS**

(Program Grants, Discretionary Grants and Contracts)

**FEDERAL AGENCY:**

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, Sections 261, 262, Public Law 93-415, as amended; Public Laws 95-503, 95-115, 96-509, 98-473, 100-690, and 102-586, 42 U.S.C. 5601 et seq.

**OBJECTIVES:**

To develop and implement programs that design, test, and demonstrate effective approaches, techniques and methods for preventing and controlling juvenile delinquency such as community based- alternatives to institutional confinement; developing and implementing effective means of diverting juveniles from the

traditional juvenile justice system; programs stressing advocacy activities aimed at improving services to youth impacted by the juvenile justice system; model programs to strengthen and maintain the family unit including self-help programs; prevention and treatment programs relating to juveniles who commit serious crimes; programs to prevent hate crimes; programs to provide aftercare and reintegration services; programs to prevent youth gun and gang violence.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

To be eligible for an Award or contract under Part E, an applicant must: (1) respond to legislative requirements contained in Section 261 (a) and (b) of the JJD Act, as amended as well as specific program guidelines issued by the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (2) be consistent with the objectives and priorities of OJJDP and the State's comprehensive juvenile justice and delinquency prevention plan; (3) provide for proper program administration, evaluation, and fiscal reporting; (4) demonstrate, in the overall quality of the proposal, that the program is technically sound and will achieve the required program objectives at the highest possible level; and (5) respond to clear and documentable needs.

**Applicant Eligibility:**

Part E funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public and private nonprofit agencies, organizations, individuals, Indian Tribal government, State and local units of government, combinations of State or local units. (Section 263 of JJD Act as Amended.)

**Beneficiary Eligibility:**

Public and private youth serving agencies/organizations, State and local units of government, combinations of such units, or other private agencies, organizations, institutions or individuals.

**Credentials/Documentation:**

Administration and cost appropriateness will be determined in accordance with the provisions of OMB circulars and government-wide common rules applicable to grants and cooperative agreements, including OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

Program announcements will provide instructions regarding the necessity of submission to single State agencies. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has identified the program for review. This program is excluded from coverage in E.O.12372.

**Application Procedure:**

The applicant must submit an application electronically through the Office of Justice Programs' Grant Management System or grants.gov as directed by the program announcement. Applicants are expected to address each concern or requirement in the guidelines as clearly and specifically as possible, giving particular attention to goal and objective statements, methodology and data requirements. A peer review group is established as mandated in Section 262(d)(1)(A) of JJD Act and applications are rated and ranked in relation to pre-defined selection criteria. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

**Award Procedure:**

Assistance awards and contracts are awarded directly to applicants or may be awarded to State agencies established to administer the JJD Act Formula Grant Program or a National Program Coordinator with a subgrant or contract to successful applicants for program administration and implementation. In either instance, both grantees and subgrantees are notified of a pending award.

**Deadlines:**

Published in program announcements or requests for proposals.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Informal reconsideration by Administrator for assistance applicants, administrative hearings for assistance award terminations. See CFR Part 18, 50 FR 28199, July 11, 1985.

**Renewals:**

Continuation grant, supplemental award or contract modification.

**Formula and Matching Requirements:**

Grants awarded under the Juvenile Justice and Delinquency Prevention Act do not require a cash match.

**Length and Time Phasing of Assistance:**

Initial Awards usually are made for 12 to 36 months with further funding based upon the project period, grantee performance, and availability of funds. Drawdowns are possible under a Letter of Credit.

**Reports:**

Semi-annual progress reports and quarterly financial reports are required.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any



fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for three years after the date of the final report.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 \$830,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006, OJJDP provided funding to over 350 Congressional earmark programs across the nation. Programs funded focused on preventing, reducing, and controlling juvenile delinquency. Examples of the types of programs funded include: mentoring, gang prevention and intervention, truancy reduction, bullying, life skills development for youth, school-based mental health, school-based probation, aftercare/reentry, family strengthening/parenting, and diversion programs. In FY 2007, Part E funds were used to support over 30 grant awards in three program areas: national juvenile justice programs; substance abuse prevention and intervention programs; and prevention and intervention programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Developing, Testing and Demonstrating Promising New Programs awards are governed by the OJP Financial Guide which is available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, Washington, DC 20531. Telephone: (202) 307-5914. Use the same number for FTS.

**Web Site Address:**

<http://www.ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

16.540, Juvenile Justice and Delinquency Prevention Allocation to States; 16.542, Part D - Research, Evaluation, Technical Assistance and Training.

**EXAMPLES OF FUNDED PROJECTS:**

Under the Demonstration Programs discretionary program Developing, Testing and Demonstrating Promising New Programs Program, several programs were continued in FY 2007. Examples of funded projects include Girls and Boys Town USA Father Flanagan; Big Brothers/Big Sisters of America; FirstPic; and Boys and Girls clubs of America. In addition, over 30 grant awards were made in three program areas: national juvenile justice programs; substance abuse prevention and intervention programs; and prevention and intervention programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of the individual program announcements. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy 28 CFR Part 34.

**16.543 MISSING CHILDREN'S ASSISTANCE**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act, Section 405, 42 U.S.C. Section 5775.

**OBJECTIVES:**

To coordinate Federal missing and exploited children activities and to support research, training, technical assistance, and demonstration programs to enhance the overall response to missing children and their families. Establish and maintain a national resource center and clearinghouse dedicated to missing and exploited children issues that: (1) provides a toll-free hotline where citizens can report investigative leads and parents and other interested individuals can receive information concerning missing children; (2) provides technical assistance to parents, law enforcement, and other professionals working on missing and exploited children cases; (3) promotes information sharing and provides technical assistance by networking with regional nonprofit organizations, State missing children clearinghouses, and law enforcement agencies; (4) develops publications that contain practical, timely information; and (5) provides information regarding programs offering free or low-cost transportation services that assist in reuniting children with their families. On a

periodic basis, as funding is designated by Congress for this purpose, conduct national incidence studies to determine the type and extent of missing children in America. Support law enforcement demonstration programs (e.g., the Internet Crimes Against Children Task Force Program) to enhance the investigative response to missing and exploited children cases. Support research to broaden understanding of a wide range of missing and exploited children issues (e.g., abduction homicide investigation solvability factors), to inform training and technical assistance efforts and to identify promising practices and programs for replication. Develop training programs for law enforcement, child protective services, medical personnel, and prosecutors to enhance coordination and effectiveness of missing and exploited children investigations and to enhance the overall system response. Identify service gaps and develop programs to meet specialized needs of parents or guardians of children who are reported missing.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Administrator is authorized to make grants to and enter into contracts with public agencies or private nonprofit organizations, or combinations thereof, for research, demonstration projects, or service programs designed (1) to educate parents, children, and community agencies and organizations in ways to prevent the abductions and sexual exploitation of children; (2) to provide information to assist in the locating and return of missing children; (3) to aid communities in the collection of materials which would be useful to parents in assisting others in the identification of missing children; (4) to increase knowledge of and develop effective treatment pertaining to the psychological consequences, on both parents and children, of (a) the abduction of a child, both during the period of disappearance and after the child is recovered; and (b) the sexual exploitation of a missing child; (5) to collect detailed data from selected States or localities on the actual investigative practices utilized by law enforcement agencies in missing children's cases; (6) to address the particular needs of missing children by minimizing the negative impact of judicial and law enforcement procedures on children who are victims of abuse or sexual exploitation and by promoting the active participation of children and their families in cases involving abuse or sexual exploitation of children; (7) to address the needs of missing children and their families following the recovery of such children; and (8) reduce the likelihood that individuals under 18 years of age will be removed from the control of such individuals legal custodians without such custodians' consent; (9) and to establish or operate statewide clearinghouses to assist in recovering or locating missing children.

**Applicant Eligibility:**

Missing Children's funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public and private nonprofit agencies, organizations, individuals, State and local units of government, combinations of State or local units.

**Beneficiary Eligibility:**

State and local units of government, private nonprofit agencies, organizations, institutions or individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments and A-122 for nonprofit organizations.

**Preapplication Coordination:**

In carrying out the programs authorized by the Missing Children's Assistance Act, the OJJDP Administrator establishes annual research, demonstration, and service program priorities for grants and contracts and the criteria based on merit for making such grants and contracts. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit completed applications following directions from the Office of Justice Programs. Unsolicited applications are not accepted. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

Successful applicants are notified by the Office of Justice Programs according to established procedures. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Deadlines are included with the application instructions, appropriate Application Kits and Guideline Manuals, and other procedural guides.

**Range of Approval/Disapproval Time:**

From 1 to 6 months.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Supplemental grants or contract modification.

**Formula and Matching Requirements:**

No match required.

**Length and Time Phasing of Assistance:**

Initial awards usually are made for 12 to 36 months with further funding based upon the project period and grantee performance. Drawdowns are possible under a Letter of Credit.

**Reports:**

Financial, subgrant data and others are required by effective edition of the OJP Financial Guide and other agency policy on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP Guideline Manuals and other procedural guides.

**Audits:**

Effective 6/30/2004 (increase from 300,000 to \$500,000) All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$47,386,944; FY 08 \$50,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007 Missing Children's Assistance funds were used to support the operation of the National Center for Missing and Exploited Children, the AMBER Alert training and technical assistance program, the Association of Missing and Exploited Children's Organizations, and the Internet Crimes Against Children Task Force Program. Program accomplishments include the following: The Missing Child Hotline (1-800-THE-LOST). During FY 2007, NCMEC answered 109,004 calls on its hotline and assisted in the recovery of 11,066 children. The Child Victim Identification Program (CVIP), a mechanism to identify victims of child pornography, has been used to date to identify more than 260 children in pornographic images and videos. To date there are a total of 1,247 identified child victims in the system. NCMEC works with the private sector to distribute photos of missing children. During FY 2005, 221 children were found as a result of this program. NCMEC uses computer technology and graphic artists to age progress photos of long-term missing children. Almost 600 missing children whose photographs were computer age enhanced have been located, and 20 unidentified deceased children have been identified as a result of NCMEC's imaging specialists' work on facial reconstructions. Project Alert. NCMEC provides targeted fax distribution for missing-child posters. Utilizing the coded databases of 4 million fax numbers, NCMEC distributes more than 50,000 fax transmissions per month to law-enforcement personnel, media outlets, and the general public. Now numbering 59, the ICAC Task Forces are on the front line addressing computer facilitated child sexual exploitation through aggressive investigations, prosecutions, computer forensics and community outreach. The Task Forces have become regional centers of technical and investigative expertise offering both prevention and investigative services to youth, parents, educators, law enforcement, and others working on child sexual exploitation issues. Since the program's inception in 1998, the Task Forces have reviewed nearly 200,000 complaints over the last nine years, resulting in the arrest of almost 11,000 individuals across the country intent on sexually victimizing children. Once source of complaints reviewed by the ICAC Task Forces is CyberTipline referrals forwarded from the National Center for Missing Exploited Children's. The CyberTipline has received over 500,000 tips and complaints since the system was activated in 1998. The ICAC Training and Technical Assistance Program, an OJJDP supported effort, provides training to tens of thousands of law enforcement personnel and prosecutors in the United States and around the world in 17 countries. In fiscal year 2007 alone, ICAC investigations led to more than 2,400 arrests and more than 10,500 forensic examinations. To date there have been 399 successful AMBER alert child recoveries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards are governed by the OJP Financial Guide which is available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Telephone: (202) 616-3637.

**Web Site Address:**

<http://www.ojjdp.ncjrs.org>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2007, OJJDP made awards to State and local law enforcement agencies to support regional task forces to prevent, interdict, or investigate crimes against children by sex offenders using the Internet. Additional awards supported the National Center for Missing and Exploited Children national resource center and clearinghouse functions, operation of the Cyber Tipline, and continuation of the Jimmy Ryce Law Enforcement Training Center. OJJDP supported training and technical assistance programs to provide assistance to State clearinghouses, law enforcement, prosecutors, and other individuals or community organizations working on missing and exploited children issues.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded.

**16.547 VICTIMS OF CHILD ABUSE**

(Judicial Child Abuse Training, Investigation and Prosecution of Child Abuse Through the Criminal Justice System, Court Appointed Special Advocates (CASA), and Children's Advocacy Centers)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Victims of Child Abuse Act, 42 U.S.C. Section 13001, et seq.

**OBJECTIVES:**

To develop model technical assistance and training programs to improve the courts' handling of child abuse and neglect cases to facilitate the adoption of laws to protect children against the potential second assault of the courtroom proceeding; to address the present situation in which many States have adopted innovative procedures that have far outpaced Federal law, leaving those children who do enter the Federal system inadequately protected; to address the inconsistency and disparity among State laws on child abuse; to train criminal justice system personnel on up-to-date, innovative techniques for investigating and prosecuting child abuse cases; and, to promote a multidisciplinary approach to coordinating the investigations and prosecution of child abuse cases and, thereby, limiting the number of pre-trial interviews a child must go through as well as better assure the accuracy of each interview, and to increase the number of communities making use of a Children's Advocacy Center approach to the investigation, prosecution and treatment of child abuse cases. The National Court Appointed Special Advocate Association provides technical assistance, information and support to local CASA programs, as well as assists communities in developing new programs, and provides support to existing and developing State organizations on issues such as the development of goals and objectives, State legislation, and State standards to strengthen local programs. Assist communities in developing child-focused programs designed to improve the resources available to children and families; provide support to non-offending family members; enhance coordination among community agencies, professionals, and provide medical support to health care and mental health care professionals involved in the intervention, prevention, prosecution, and investigation systems that respond to child abuse cases. The American Prosecutors Research Institute's National Center for the Prosecution of Child Abuse (NCPA) pursues improvement of the quality of child abuse prosecution by providing training and technical assistance in the subject area.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are available specifically to achieve the objectives of the Judicial Child Abuse Training, Investigation and Prosecution of Child Abuse Through the Criminal Justice System, Court Appointed Special Advocates (CASA), and the Regional and Local Advocacy Centers.

**Applicant Eligibility:**

Eligible applicants are designated in the congressional appropriations process for judicial child abuse training, investigation and prosecution of child abuse through the criminal justice system, and Court Appointed Special Advocates (CASA). Local nonprofit agencies/organizations may apply to National Court Appointed Special Advocates (NCASA) for State CASA programs and to start or expand local court appointed special advocate programs. Advocacy centers or agencies/organizations interested in start-up of children's advocacy centers may apply to the National Children's Alliance (NCA) for funds awarded to them by OJJDP for this purpose.

**Beneficiary Eligibility:**

Public or private agencies/organizations addressing child maltreatment.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Procedures for application for funds to support CASA programs will be available through competitive proposals issued by National Court Appointed Special Advocates (NCASA), 100 W. Harrison St., North Tower, Suite 500, Seattle, Washington 98119-4123; and funds to support local children's advocacy centers will be available through solicitations issued by the National Children's Alliance (NCA) 1612 K Street, NW., Ste 500, Washington, DC 20006.

**Award Procedure:**

Grantees are notified via the Grant Management System when an award is made.

Procedures for applications for CASA and local children's advocacy funds will be provided in the solicitations for competitive proposals issued by NCASA and NCA.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

The terms for these grant program budget periods range from 12 to 36 months.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are generally awarded for a 12 to 24 month time period, but may be awarded for up to 36 month project period.

**Reports:**

Final financial reports and semi-annual and final program performance reports and performance measure data submission will be required as stipulated in the effective edition of the OJP Financial Guide and in award documents. Similar reporting requirements will be required by NCASAA and NCA to satisfy Federal requirements.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0404-0-1-754; 15-0405-0-1-754.

**Obligations:**

FY 07 \$3,240,000; FY 08 \$3,290,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The Victims of Child Abuse Act Programs enhance the coordination among community agencies and professionals responding to child abuse and neglect by: Establishing and strengthening facility-based, child-focused programs that coordinate the response to victims of child abuse through multidisciplinary teams; Preventing the inadvertent revictimization of an abused child by the justice and social service systems in their efforts to protect the child; Providing information, technical assistance and training at the local, state, regional, and national levels; Assisting communities seeking to improve their response to child abuse by supporting the development, growth, and continuation of children's advocacy centers; Providing training, technical assistance, and networking opportunities to local children's advocacy center programs nationally; Providing training and technical assistance to child abuse professionals across the country, especially those working within a child advocacy center or a multidisciplinary team; Providing training and technical assistance to prosecutors, investigators, and other professional personnel in the child protection field; Developing training curricula and guideline materials for the field; Developing State level capacity to train child abuse prosecutors, investigators, and related child protection practitioners.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The current edition of the OJP Financial Guide is available at <http://www.ojp.usdoj.gov/finguide06/index.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ron Laney, Director, Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531.  
Telephone: (202) 616-3637.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

By congressional designation, funds will be made available specifically for the Judicial Child Abuse Training to the National Council of Juvenile and Family Court Judges, for the Investigation and Prosecution of Child Abuse through the Criminal Justice System to the American Prosecutor Research Institute, Court Appointed Special Advocates and the National Court Appointed Special Advocate Association, for the development of local Children's Advocacy Centers through the National Children's Alliance Centers and the four Regional Children's Advocacy Centers.

## 16.548 TITLE V-DELINQUENCY PREVENTION PROGRAM

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION (OJJDP), DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

The Incentive Grants for Local Delinquency Prevention Programs Act of 2002.

**OBJECTIVES:**

To increase the capacity of State and local governments to support the development of more effective prevention programs to improve the juvenile justice system through risk and protective factor focused programming approach.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

This program authorizes the Administrator to make grants to a State, to be transmitted through the State Advisory Group (SAG), to units of local government for delinquency prevention programming.

**Applicant Eligibility:**

All State agencies designated by the Chief Executive under Section 223(a)(1) of the 2002 JJDP Act are eligible to apply for Title V funds. States will invite units of local government that meet the statutorily mandated eligibility requirements to apply for funding and competitively select for funding those jurisdictions that meet the minimum selection criteria specified in the guidelines as published in the Federal Register, and other such criteria as the State shall adopt.

**Beneficiary Eligibility:**

Youth at risk of juvenile justice involvement and their families.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The Juvenile Justice State Advisory Group established pursuant to Section 223 (a)(3) of the Juvenile Justice and Delinquency Prevention Act must be involved in the development and approval of the application. The application requirements for units of local government seeking funding from States include SAG certification of compliance with the JJDP core requirements, designation of a local Prevention Policy Board, submission of a 3-year delinquency plan, a 50 percent cash or in-kind match of the subgrant amount, if not provided by States, and other additional criteria established by SAG. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance if the State has selected the program for review.

**Application Procedure:**

State applicants are submitted to OJJDP electronically following pre-established criteria.

**Award Procedure:**

After OJJDP awards grants to the States, the SAG, in consultation with the State Agency, awards subgrants to units of local government through a competitive process.

**Deadlines:**

All State Title V grant applications are due no later than March 31 of the fiscal year for which the funds are allocated. States should award all subgrants to units of local government within 180 days after receipt of the award from OJJDP.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Hearings for State applicants held by OJJDP, subject to applicable Federal regulations. Appeal process for units of local government are determined by each State, subject to applicable Federal regulations.

**Renewals:**

Applications are invited annually. Fund availability will be determined by Congressional appropriation.

**Formula and Matching Requirements:**

Formula based on population of youth under the maximum age of original juvenile court delinquency jurisdiction. State and/or units of local government must match Title V fund with a 50 percent cash or the value of in-kind contributions.

**Length and Time Phasing of Assistance:**

Grants to States will be awarded for a 36-month project period.

**Reports:**

Financial, subgrant data and others as required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP guidelines for Title V.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the Office of the Comptroller and the Federal Audit Clearinghouse no later than thirteen (13) months after the close of each



fiscal year during the term of the award (for fiscal years beginning on/after July 1, 1998, audit report packages are due nine (9) months after the close of the fiscal year.

**Records:**

Recipients must keep complete records on disposition of funds.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

FY 07 \$64,169,820; FY 08 \$61,100,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Eligible States will receive an amount determined by a formula based on the population of youth under the maximum age of original juvenile court delinquency jurisdiction.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, 55 out of 56 eligible States and territories participated in the program. The Report to Congress for FY 2003 is available through NCJRS. This report fulfills the requirements of Section 504(4) of Title V, which states that the Administrator of OJJDP shall submit a report to the Committee on Education and the Workforce, in the U.S. House of Representatives and the Committee of the Judiciary in the U.S. Senate describing activities and accomplishments of grant activities under this title; describing procedures followed to disseminate grant activity products and research findings; describing activities conducted to develop policy and to coordinate Federal agency and interagency efforts related to delinquency prevention; and identifying successful approaches and making recommendations for future activities conducted under the title. There were no State allocations of Title V funds in fiscal year 2003. More than 1,500 communities across the Nation have conducted community assessments, developed comprehensive delinquency prevention plans, and received prevention grants. In 2003, 63 communities received community team orientation training; 54 communities received data collection and analysis training, and 40 communities received program and plan development training. Fifty-five (55) communities participated in customized training and technical assistance, which included evaluation training and Model Programs Guide presentations. OJJDP has developed the Model Programs Guide and Database ([http://www.dsgonline.com/mpg2.5/mpg\\_index.htm](http://www.dsgonline.com/mpg2.5/mpg_index.htm)) which can be used by communities to locate scientifically tested and proven (evidence-based) programs and strategies to ensure that their efforts can produce measurable and positive impact. In 2002 and 2003, two issues of Title V Newsletter were distributed to all Title V subgrantees and used in local, State, and national training conferences. The themes were "sustainability" and "performance measures," two important skills areas to enhance/document success of Title V-funded prevention activities. The draft Title V National Evaluation Report is completed. This report presents the experience of the 11 national Title V evaluation communities. Lessons learned from this evaluation project will inform future implementation and evaluation of Title V-funded activities. While some communities are just beginning the grant process, others have completed the implementation of their 3-year delinquency prevention plans and are reporting encouraging results in terms of enhanced coordination of youth resources, family strengthening, school performance, and youth behavior. Supported by community-wide commitment and measurable outcomes, many projects have been sustained following their grant periods through a variety of State and local funding sources. As such, the initial seed money is creating momentum for the focused, coordinated, and long-term efforts necessary to address juvenile crime and delinquency in a meaningful way.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for Formula Grants and the OJP Financial Guide applicable editions, and Title V guidelines issued by OJJDP.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Contact: Elizabeth Wolfe. Telephone: (202) 307-5924 or email: [Elizabeth.Wolfe@ojp.usdoj.gov](mailto:Elizabeth.Wolfe@ojp.usdoj.gov). Use the same number for FTS.

**Web Site Address:**

<http://www.ojjdp.ncjrs.org/titleV>.

**RELATED PROGRAMS:**

16.540, Juvenile Justice and Delinquency Prevention Allocation to States; 16.541, Part E - Developing, Testing and Demonstrating Promising New Programs; 16.542, Part D - Research, Evaluation, Technical Assistance and Training; 16.549, Part E State Challenge Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Programs implemented by participating communities include a broad range of prevention activities, from early child development strategies such as nurse home visitation and preschool/parent training programs to youth development initiatives involving the use of mentoring, after-school activities, tutoring, truancy and dropout reduction, substance abuse prevention, gang prevention outreach, and police/probation teams.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Juvenile Justice and Delinquency Prevention Act, as amended, and the Guideline governing the Title V Grant Program provisions

of the JJDP Act as published in the Federal Register.

## 16.550 STATE JUSTICE STATISTICS PROGRAM FOR STATISTICAL ANALYSIS CENTERS

(SACs)

**FEDERAL AGENCY:**

BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3731-3732.

**OBJECTIVES:**

To provide financial and technical assistance to State governments for the establishment and operation of Statistical Analysis Centers (SACs) to collect, analyze, and disseminate justice statistics.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To improve the administration of justice by encouraging the development of State-level capabilities for collecting, analyzing, utilizing, and disseminating statistical information pertaining to crime, criminal justice, sex offenses, incident based reporting, and for providing statistical information to the Federal Government for national compilations. To analyze particular criminal justice issues of current concern and significance to criminal justice practitioners, as identified by BJS in conjunction with other Office of Justice Programs components, the Justice Research and Statistics Association, and selected SAC Directors. Further information is available in the "State Justice Statistics Program for Statistical Analysis Centers: Program Application Guidelines, 2008.

**Applicant Eligibility:**

Eligible applicants are State agencies whose responsibilities include statistical activities consistent with the goals of the specific programs and are designated as the State Statistical Analysis Center through an Executive Order or legislation.

**Beneficiary Eligibility:**

Eligible beneficiaries are State agencies whose responsibilities include statistical activities consistent with the goals of the specific programs.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

A potential grantee should contact the Headquarters Office, Stephanie L. Burroughs, Bureau of Justice Statistics, U.S. Department of Justice, Washington, DC 20531. Telephone: (202) 514-9012 or email [Stephanie.Burroughs@usdoj.gov](mailto:Stephanie.Burroughs@usdoj.gov). The standard application forms as furnished by the Office of Justice Programs (OJP), in accordance with 28, CFR Part 66 (Common Rule), must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the Headquarters Office, Stephanie L. Burroughs, Bureau of Justice Statistics, U.S. Department of Justice, Washington, DC 20531. Telephone: (202) 514-9012. Email: [Stephanie.Burroughs@usdoj.gov](mailto:Stephanie.Burroughs@usdoj.gov).

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

Hearing by Director.

**Renewals:**

Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

There is no statutory requirement for matching funds. For most programs, however, provision of cash or in-kind match by the recipient is encouraged.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and

the Automated Standard Application for Payment (ASAP).

**Reports:**

Reporting requirements include: financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS; and Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for reporting periods June 30 and December 31.

**Audits:**

Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources including pass through sub awards) in the organizational fiscal year (12 month turn around reporting period) shall have a single organizational audit conducted in accordance with the provisions of OMB Circular A-133. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from audit requirements for that year.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least three years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$34,552,980; FY 08 \$34,780,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$50,000.

**PROGRAM ACCOMPLISHMENTS:**

There were 46 cooperative agreements awarded in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephanie L. Burroughs, Bureau of Justice Statistics, U.S. Department of Justice, Washington, DC 20531. Telephone: (202) 514-9012. Email: Stephanie.Burroughs@usdoj.gov. Use the same number for FTS.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bjs> .

**RELATED PROGRAMS:**

16.304, Law Enforcement Assistance\_National Crime Information Center;  
16.305, Law Enforcement Assistance\_Uniform Crime Reports.

**EXAMPLES OF FUNDED PROJECTS:**

Establishment of State statistical analysis centers; continued support of State-level statistical analysis centers; support for States to provide data for national reporting, and support for projects covered by SJS themes.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the program announcement.

**16.554 NATIONAL CRIMINAL HISTORY IMPROVEMENT PROGRAM (NCHIP)**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 105-251; 42 U.S.C. 3760.

**OBJECTIVES:**

To enhance the quality and completeness of the nation's criminal history record systems; to provide financial and technical assistance to States for the establishment or improvement of computerized criminal history record systems and in their efforts to collect data on stalking and domestic violence; to improve data accessibility and support data transmissions to national systems will permit the immediate identification of persons who are prohibited from purchasing firearms, are subject to domestic violence protective orders, or are ineligible to hold positions of responsibility involving children, the elderly, or the disabled; to support the development of accurate and complete State sex offender identification and registration systems which interface with the FBI's Sex Offender Registry and meet applicable Federal and State requirements; to develop and improve the processes for identifying, classifying, collecting, and entering data regarding stalking and domestic violence into local, State, and national crime information databases; to ensure that criminal justice systems are designed, implemented, or upgraded to be compliant where applicable, with the FBI operated National Instant Criminal Background Check System and Interstate Automated Fingerprint Identification System, meet other applicable statewide or regional criminal justice information sharing standards and plans; and, build upon ongoing efforts so as to support the wide range of technology based, criminal justice information, identification, and communications needs identified by the States.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Allowable uses of funds are outlined in the NCHIP fiscal year 2008 Program Announcement released December 2007.

**Applicant Eligibility:**

Awards will be made to the agency designated by the Governor to administer the NCHIP program. An award will be made to each eligible applicant State. The designated agency may be the agency with primary responsibility for implementing the major activity to be funded with NCHIP funds or a parent agency with programmatic oversight over, and legislative authority to transfer funds to, such agency.

**Beneficiary Eligibility:**

Funds awarded to the State may be allocated for use in State or local agencies or the courts. Private organizations may receive funds under contract arrangements with a State agency or its subgrantees to which NCHIP funds are allocated by the State.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, a detailed budget, a budget narrative, and a program narrative including the accomplishments, goals, impact, methods, evaluation plan, and resources of the project.

**Preapplication Coordination:**

A potential grantee should contact the Headquarters Office, Gerald Ramker, NCHIP Branch Chief, Bureau of Justice Statistics, U.S. Department of Justice, Washington, DC 20531; Telephone: (202) 307-0765, or E-mail: Gerald.Ramker@usdoj.gov, to obtain a copy of the program announcement. The standard application forms as furnished by the Office of Justice Programs (OJP), in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which can be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the Headquarters Office, Gerald Ramker, NCHIP Branch Chief, Bureau of Justice Statistics at (202) 307-0765 or E-mail: Gerald.Ramker@usdoj.gov for application deadlines. The NCHIP Program Announcement, also contains submission information.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Hearing by Director.

**Renewals:**

Awards may be for up to 12 months. Activities must be completed by September 30, 2009.

**Formula and Matching Requirements:**

Provision of a 20 percent cash or in-kind match by the recipient is required.

**Length and Time Phasing of Assistance:**

Project duration period will be for up to 12 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and the Automated Standard Application for Payment (ASAP).

**Reports:**

Reporting requirements include: Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS; and Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for reporting periods June 30 and December 31.

**Audits:**

Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources including passthrough sub awards) in the organizational fiscal year (12 month turn around reporting period) shall have a single organizational audit conducted in accordance with the provisions of OMB Circular A133. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from audit requirements for that year.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754; 15-0404-0-1-754.

**Obligations:**

FY 07 \$9,872,280; FY 08 \$9,400,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The NCHIP grant program is designed to improve the Nation's safety and security by enhancing the quality, completeness, and accessibility of criminal history record information and by insuring the nationwide implementation of criminal justice and noncriminal justice background check systems. For more information on program accomplishments, go to <http://www.ojp.usdoj.gov/bjs/nchip.htm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gerald Ramker, NCHIP Branch Chief, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531; Telephone: (202) 307-0765, or E-mail: [Gerald.Ramker@usdoj.gov](mailto:Gerald.Ramker@usdoj.gov). Use the same number for FTS.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bjs>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the fiscal year 2008 NCHIP Program Announcement at <http://www.ojp.usdoj.gov/bjs/pub/html/nchip08sol.htm#contents>.

## 16.556 GRANTS TO STATE SEXUAL ASSAULT AND DOMESTIC VIOLENCE COALITIONS

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001(c) and 2007(b)(2) and (3), 42 U.S.C. 3796gg and gg-1, as amended; Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162.

**OBJECTIVES:**

To coordinate State victim services activities and collaborate and coordinate with Federal, State, and local entities engaged in violence against women activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To coordinate State victim services activities and collaborate and coordinate with Federal, State, and local entities engaged in violence against women activities.

**Applicant Eligibility:**

Each State domestic violence coalition as determined by the Secretary of Health and Human Services under the Family Violence Prevention and Services Act and each State sexual assault coalition as determined by the Center for Injury Prevention and Control at the Centers for Disease Control and Prevention under the Public Health Service Act.

**Beneficiary Eligibility:**

State domestic violence and sexual assault coalitions.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements, the research priorities of the Institute, and application and selection procedures. The standard application form as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Applicants must contact their State Point of Contact (SPOC) to determine if the program has been selected for review by the State. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The date that the application was sent to the SPOC or the reason such submission is not required must be included in the application. A copy of the application must also be submitted to the State office that administers the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program.

**Application Procedure:**

Applicants must apply through the Office of Justice Programs' Grants Management System (GMS). The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of

OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Each eligible entity receives 1/112 of the funding available for this program (except that dual domestic violence and sexual assault coalitions receive 2 shares). Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 12 months. Funds are released on an as-needed basis to the grantee.

**Reports:**

Quarterly and final financial reports will be required, as stipulated in the effective edition of the OJP Financial Guide. Grantees must also file semi-annual reports explaining the activities carried out and an assessment of the effectiveness of those activities.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit conducted for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$8,804,194; FY 08 est \$8,877,110; and FY 09 est \$6,213,977.

**Range and Average of Financial Assistance:**

\$82,695 to \$165,930; \$102,037.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 87, Awards: 87; FY 08: Applications: 87, Awards: 87; FY 09 est: Applications: 87, Awards: 87.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Providing technical assistance to member agencies, developing or enhancing appropriate standards of service for member programs, bringing local programs together to identify gaps in services and coordinate activities, increasing representation of underserved populations in coordination activities.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants will receive the appropriate share of funding.

## 16.557 TRIBAL DOMESTIC VIOLENCE AND SEXUAL ASSAULT COALITIONS PROGRAM

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001(d) and 2007(b)(4), 42 U.S.C. 3796gg and gg-1, as amended; Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162.

**OBJECTIVES:**

To increase awareness of domestic violence and sexual assault against American Indian and Alaska Native women; enhancing the response to violence against American Indian and Alaska Native women at the tribal, Federal, and State



levels; and identifying and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic and sexual violence.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose areas: (A) increasing awareness of domestic violence and sexual assault against American Indian and Alaska Native women; (B) enhancing the response to violence against American Indian and Alaska Native women at the tribal, Federal, and State levels; and (C) identifying and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic and sexual violence.

**Applicant Eligibility:**

Established nonprofit, nongovernmental tribal coalitions addressing domestic violence and sexual assault against American Indian and Alaska Native women; and individuals or organizations that propose to incorporate as nonprofit, nongovernmental tribal coalitions to address domestic violence and sexual assault against American Indian and Alaska Native women.

**Beneficiary Eligibility:**

Tribal sexual assault and domestic violence coalitions.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. This would be if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office of Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and an end-of- grant program performance report will be required, as stipulated in the effective edition of the OJP Financial Guide. progress Reports explain the activities carried out and an assessment of the effectiveness of those activities, including the number of persons served and the numbers of persons seeking services who could not be served.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants)FY 07 \$3,171,961; FY 08 est \$5,108,911; and FY 09 est \$3,576,238.

**Range and Average of Financial Assistance:**

\$150,000 to \$540,000; \$319,307.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 19, Awards: 12; FY 08: Applications: 11, Awards: 11; FY 09: est. Applications: 11, Awards: 8.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovv.usdoj.gov> .

**RELATED PROGRAMS:**

16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Increasing awareness about domestic violence and sexual assault against American Indian and Alaska Native women, enhancing the response to violence against American Indian and Alaska Native women at the tribal, state, and federal levels, and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic violence and sexual assault.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.560 NATIONAL INSTITUTE OF JUSTICE RESEARCH, EVALUATION, AND DEVELOPMENT PROJECT GRANTS**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, NATIONAL INSTITUTE OF JUSTICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Section 201, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To encourage and support research, development, and evaluation to further understanding of the causes and correlates of crime and violence, methods of crime prevention and control, and criminal justice system responses to crime and violence and contribute to the improvement of the criminal justice system and its responses to crime, violence, and delinquency.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The funds may be used to conduct research and development pertaining to the above objectives, including the development of new or improved approaches, techniques, systems, and technologies and to carry out programs of research on the causes of crime and means of preventing crime, and to evaluate criminal justice programs and procedures, and responses to crime, violence, and delinquency.

**Applicant Eligibility:**

The National Institute of Justice (NIJ) is authorized to make grants to, or enter into contracts or cooperative agreements with State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, nonprofit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States and federally recognized Indian Tribal Governments are also eligible to participate in this program.

**Beneficiary Eligibility:**

State and local governments; private nonprofit organizations, public nonprofit organizations, profit organizations, nonprofit organizations, institutions of higher education, and qualified individuals.

**Credentials/Documentation:**

The applicant must furnish, along with the application for a grant, cooperative agreement or contract, resumes of principal investigator and key personnel, details of the budget composition, goals, impact, methods, evaluation, schedule and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

A potential grantee or contractor should contact the Institute to determine whether a similar proposal has already been funded or whether the proposal is within the objectives and priorities of the Institute. The standard application form (SF 424) as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

General information is provided in individual program solicitations, which are obtained by accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij), sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; or

calling toll free to request a copy. Telephone: (800) 851-3420. This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1-888-549-9901.

**Award Procedure:**

All applications are reviewed and evaluated by program managers for compatibility with the needs of the Institute's research plan, on-going or prior studies, and the particular promise of the proposal itself. The Institute uses external peer review processes, in addition to NIJ program manager review, in order to weigh each application in terms of proposed methodology, economy, and other criteria bearing on the technical merit of the proposal. The Institute Director makes final award decisions, incorporating the recommendations of the relevant NIJ staff and management-level personnel and external peer reviewers.

**Deadlines:**

Throughout fiscal year 2008, NIJ will release multiple announcements for research funding. Program deadlines will be included in the announcements on FedGrants at [www.fedgrants.gov](http://www.fedgrants.gov), on NIJ's website at [www.ojp.usdoj.gov/nij/funding.htm](http://www.ojp.usdoj.gov/nij/funding.htm), and on the Office of Justice Programs website at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

**Range of Approval/Disapproval Time:**

Approximately 60 days for concept papers and 180 days for full proposals.

**Appeals:**

Hearing by the Director.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula requirement. However, the Institute shall require, whenever feasible, as a condition of approval of a grant or contract that the recipient contribute money, facilities, or services to carry out the purpose for which the grant or contract is sought.

**Length and Time Phasing of Assistance:**

Project durations are normally up to 24 months but longer awards are possible.

**Reports:**

Fiscal Report, consisting of quarterly expenditures and budget expenditure reports; final financial reports setting forth costs and expenditures of the complete project; and Project Reports, consisting of bi-annual project reports, and a final report. Other reports may be requested.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or contractor contributed funds shall be maintained during the grant and contract period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$54,297,540; FY 08 \$17,260,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In amounts consistent with the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

Project reports and program implementation manuals are available from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850. Telephone: (301) 514-5500. In fiscal year 2004, more than 1040 applications were received and 55 awards were made. In fiscal year 2005, approximately 1270 applications will be received and it is anticipated that 67 awards will be made. In fiscal year 2006, approximately 1550 applications will be received and it is anticipated that 80 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and funding information are available free from the National Criminal Justice Reference Service, Box 6000, Rockville, MD 20849-6000. Telephone: (800) 851-3420. It is also available electronically through the NCJRS web site at [www.ncjrs.org](http://www.ncjrs.org) or through the NIJ website under "Funding Opportunities" at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Justice, Department of Justice, 810 7th Street, NW., Washington, DC 20531. Telephone: (202) 307-2942. Use same number for FTS. Fax Telephone: (202) 307-6394.

**Web Site Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

16.542, Part D - Research, Evaluation, Technical Assistance and Training.

**EXAMPLES OF FUNDED PROJECTS:**

Priority is given to concerns such as: violent crime; alcohol-and drug-related crime; community crime prevention; criminal justice system improvement; forensic science research; and technology research, development and evaluation.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated according to the criteria specified in the program solicitation. With few exceptions, all proposals are reviewed competitively by a peer review panel consisting of outside experts in the field for technical quality and the general merits of the problems addressed. The Institute uses the peer review process to ensure fair and knowledgeable evaluation of preapplications and proposals. Program solicitations are announced in the Federal Register and advertised on the Institute's website at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**16.562 CRIMINAL JUSTICE RESEARCH AND DEVELOPMENT-GRADUATE RESEARCH FELLOWSHIPS**

(Graduate Research Fellowship Program)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, NATIONAL INSTITUTE OF JUSTICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To improve the quality and quantity of knowledge about crime and the criminal justice system, while, at the same time, helping to increase the number of persons who are qualified to teach in collegiate criminal justice programs, to conduct research related to criminal justice issues, and to perform more effectively within the criminal justice system.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Eligible students are doctoral candidates engaged in dissertation research and writing on a problem related to law enforcement, crime or criminal justice. A fellowship is funded for up to 18 months. This competitive program provides fellowship stipends, major project costs, and certain university fees for a maximum amount of \$15,000. Students who do not qualify for the doctoral program may consider applying for other research grants under the fellowship solicitation.

**Applicant Eligibility:**

Accredited institution of higher education offering a doctoral degree program. Degree does not have to be in criminal justice, but proposed dissertation work must be related to criminal justice issues.

**Beneficiary Eligibility:**

The student must be engaged in writing a doctoral dissertation directly relevant to crime, law enforcement and/or criminal justice.

**Credentials/Documentation:**

Eligible graduate students interested in competing for a fellowship must furnish along with the application for a grant, a letter of endorsement from the faculty advisor. Applicants must have completed all degree requirements except the research writing, and defense of the dissertation or an internship prior to the start of the grant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Detailed information is provided in the program solicitation which is obtained by sending a self-addressed mailing label to the National Criminal Justice Reference Service, Box 6000, Rockville, MD 20849-6000 or calling toll free to request a copy at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities". This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of criminal justice experts from outside reviewers and Institute staff.

**Deadlines:**

Applications may be submitted at any time throughout the year. Proposals will be due and subsequently reviewed three times a year, in February, June, and October, with funding decisions made within 60-90 days of the review date.

**Range of Approval/Disapproval Time:**

Approximately 90 days from application deadline.

**Appeals:**

Hearings by the Director.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no formula and matching requirements.

**Length and Time Phasing of Assistance:**

Project durations are not normally less than 6 months nor more than 18 months.

**Reports:**

Quarterly financial status and bi-annual project reports are required. Three copies of the dissertation and an Executive Summary are required upon completion.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

All project records shall be retained for 3 years.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In amounts consistent with the Institute's plans, priorities, and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2003, a total of 41 applications were received under the Graduate Research Fellowship Solicitation, with five awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program solicitation, "Fellowship Opportunities," is available by sending a self-addressed mailing label to: National Criminal Justice Reference Service, Box 6000, Rockville, MD 20850, or call toll free to request a copy. Telephone: (800) 851-3420. Also available electronically from the Justice Information Center on the world wide web at [www.ncjrs.org](http://www.ncjrs.org) or on NIJ's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities".

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Justice, Washington, DC 20531. Telephone: (202) 307-2942. FTS Telephone: (202) 367-2942.

**Web Site Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

84.032, Federal Family Education Loans; 84.038, Federal Perkins Loan Program Federal Capital Contributions.

**EXAMPLES OF FUNDED PROJECTS:**

Resisting Drug Use Among Adolescents; Controlling the Offender in the Community; Eyewitness Memory and Aging; Sentencing Child Sexual Abusers; An Analysis of Police Post Assault Reactions Measuring Procedural Justice; The Fear of Crime by Older Americans; the Criminal Justice System's Handling of Drug Offenders, and Influences of Adolescent Delinquent Behavior. Fear of Crime and Its Antecedents; Drug Use and Help-Seeking Patterns Among University Students; Differential Drug-Use Patterns Between Institutionalized White and Black Male Delinquents in Georgia; Court Orders of Protection for Battered Women; Forensic Evidence in Sexual Assault Cases; A Survey of Federal, State and Local Prosecutors on Computer Crime; Community Policing and Domestic Violence; Female Gang Involvement in the Midwest: A Two-City Comparison; Violation of Probation Release Conditions and Criminal Recidivism; Impact on Crime of Criminal and Juvenile Justice System Policies and Practices; Specifying Public Support for Corrections Rehabilitation: A Factual Survey Approach; Impact of Managerial Style on the Colombian Distribution of Cocaine to the Wholesale Level; Influence of Neighborhood Disadvantage or Delinquency and Drug Abuse; Evaluation and Review of the Peacemaker Court of the Navajo Nation; Non-Fatal Workplace Violence Epidemiology: Risk Factors and Legal Implications; Variation in Community Policing Activities Across Neighborhoods; The Peer Group Revisited: A Network Approach for Understanding Adolescent Delinquency; and New Estimates of the Cost of Crime: A Hedonic Evaluation.

**CRITERIA FOR SELECTING PROPOSALS:**

Grasp of issues and the relationship of issues to significant problems confronting criminal justice in the United States, description of design and methodology, the potential utility of results, and qualifications of applicant to produce acceptable doctoral dissertation (based upon proposal paper, university endorsement, and researcher's background statement).

**16.566 NATIONAL INSTITUTE OF JUSTICE W.E.B. DUBOIS FELLOWSHIP PROGRAM****FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, NATIONAL INSTITUTE OF JUSTICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Section 201, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To provide opportunities for researchers with an interest in building knowledge for the enhancement of justice system administration, delinquency prevention, and violence reduction with opportunities to pursue projects aimed at addressing these issues from diverse cultural perspectives and evaluating the operational complexities of justice system administration manifested in various cultural contexts.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds may be used to conduct research for both adult and juvenile systems on crime causation, crime measurements, crime prevention, law enforcement, criminal justice administration, and the effectiveness and efficiency of anti-crime programs. Fellows conduct their studies while based at the National Institute of Justice.

**Applicant Eligibility:**

Fellowship grants are awarded to individuals or to their parent agencies or organizations. IPA appointments also may be negotiated with Fellows' parent agencies. Generally, researchers and academicians working in the criminal justice field, including university or college-based academic researchers and upper-level managers in criminal justice agencies are eligible.

**Beneficiary Eligibility:**

Generally, researchers and academicians with research experience in criminal-justice or criminal-justice relevant fields are eligible for grants; those working for law enforcement related branches of State or local government units are eligible for grants or IPA appointments. Each prospective candidate must have at least a doctoral-level or a legal degree of J.D. or higher.

**Credentials/Documentation:**

The applicant must furnish, along with the application for a grant, a resume, a project description which includes the project's scope, a discussion of the state-of-the-art methodology, project period, and the anticipated impact of the study on the justice system. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements, the research priorities of the Institute, and application and selection procedures. The standard application form (SF 424) as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll free to request a copy. Telephone: (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities." This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable.

**Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of the Institute staff and outside reviewers.

**Deadlines:**

NIJ will release multiple announcements for research funding during the fiscal year. Program deadlines will be included in the announcements of Requests for Proposals in the Federal Register, on NIJ's website at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij), and on the NCJRS bulletin board and in electronic and hard copy publications.

**Range of Approval/Disapproval Time:**

Approximately 90 days from application deadline.

**Appeals:**

Hearing by the Director.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no formula or matching requirements.

**Length and Time Phasing of Assistance:**

Project durations are normally not less than 6 months nor more than 12 months.

**Reports:**

Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project; program reports consisting of bi-annual progress reports; and a final report including a summary. Other reports may be requested. Financial reporting for IPAs will be negotiated in the appointment agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profits Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**



Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

None. Program will be funded for the first time during fiscal year 2000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants may obtain program information by accessing the Institute's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities" or calling NCJRS toll free. Telephone: (800) 851-3420.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Justice, Department of Justice, 810 7th Street, NW., Washington, DC 20531. Telephone: (202) 307-2942. Telephone: FTS (202) 307-2942.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.561, National Institute of Justice Visiting Fellowships; 16.562, Criminal Justice Research and Development Graduate Research Fellowships.

**EXAMPLES OF FUNDED PROJECTS:**

None. Fellowship to be offered for the first time during calendar year 2000.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals will be reviewed by a peer review panel. Their selection will be based on the applicant's experience, the significance and conceptualization of the project topic, the quality and feasibility of the research design, and the potential impact of the project on the criminal justice system.

## 16.571 PUBLIC SAFETY OFFICERS' BENEFITS PROGRAM

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Public Safety Officers' Benefits Act of 1976, as amended (42 U.S.C. 3796, Section 1201, Public Law No. 90-351, part L of Title I of the Omnibus Crime Control and Safe Streets Act of 1968).

**OBJECTIVES:**

To provide a \$275,658 death benefit (FY 2005) to the eligible survivors of Federal, State or local public safety officers whose death is the direct and proximate result of a personal (traumatic) injury sustained in the line of duty. Effective November 29, 1990, the Act also provides the same benefit to a public safety officer who has been permanently and totally disabled as the direct result of a catastrophic personal injury sustained in the line of duty. The injury must permanently prevent the officer from performing any gainful work.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

To provide a one-time financial death benefit to the eligible survivors of Federal, State or local public safety officers, and disability benefit to the Federal, State or local public safety officer, whose permanent and total disability is the direct and proximate result of a catastrophic personal injury sustained in the line of duty. There are no restrictions as to how the monies are spent once they reach the recipient with the exception that monies paid on behalf of minor children must be used for their care and benefit.

**Applicant Eligibility:**

Public safety officers--A public safety officer is a person serving a public agency in an official capacity, with or without compensation, as a law enforcement officer, firefighter or member of a public rescue squad or ambulance crew. Law enforcement officers include but are not limited to police, corrections, probation, parole and judicial officers. Volunteer firefighters and members of volunteer rescue squads and ambulance crews are covered if they are officially recognized or designated members of legally organized volunteer fire, rescue or ambulance departments. Disabled public safety officers and eligible survivors of deceased public safety officers in the District of Columbia, Puerto Rico, Guam, Virgin Islands, American Samoa, the Pacific Trust Territories and the Northern Mariana Islands are also entitled to benefits under the Act. Death benefit coverage for (1) State and local law enforcement officers and firefighters applies to deaths occurring on or after September 29, 1976; (2) Federal law enforcement officers and firefighters applies to deaths occurring on or after October 12, 1984; (3) Federal, State and local rescue squad and ambulance crew members applies to death occurring on or after October 15, 1986; and (4) Federal Emergency Management Agency (FEMA) personnel and State, local, and tribal emergency

management and civil defense agency employees are covered for deaths occurring on or after October 30, 2000. Disability benefit coverage for Federal, State and local law enforcement officers, firefighters and members of public rescue squads and ambulance crews applies to injuries sustained on or after November 29, 1990. FEMA personnel and State, local and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000. Disability benefit coverage for Federal, State and local law enforcement officers, firefighters and members of public rescue squads and ambulance crews applies to injuries sustained on or after November 29, 1990. FEMA personnel and State, local and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000.

**Beneficiary Eligibility:**

The Public Safety Officers' Benefits (PSOB) Act, enacted in 1976, was designed to offer peace of mind to men and women seeking careers in public safety and to make a strong statement about the value American society places on the contributions of those who serve their communities in potentially dangerous circumstances. The PSOB Program provides a one-time financial benefit to the eligible survivors of public safety officers whose deaths are the direct and proximate result of a traumatic injury sustained in the line of duty. As of October 1, 2007, the death benefit amount is \$303,064.

**Credentials/Documentation:**

Claim forms entitled "Claim for Death Benefits" and "Report of Public Safety Officers' Death" or "Report of Public Safety Officer's Permanent and Total Disability," and supporting family, medical and investigative documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Employing agencies and/or claimants should initiate a claim by writing to or telephoning the Payments and Benefits Division, Public Safety Officers' Benefits Program, Bureau of Justice Assistance, Washington, DC 20531. Telephone: 1-888-SIGNL13 (744-6513). Upon receiving such notification, program staff will provide claim forms and advise the employing agency and claimant of claim documentation requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit "Claim for Death Benefits" and "Report of Public Safety Officers' Death" or "Report of Public Safety Officers' Permanent and Total Disability," and supporting documentation to the same. Benefits Office, Public Safety Officers' Benefits Program, Bureau of Justice Assistance, Washington, DC 20531. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

Upon a finding of eligibility by the Bureau of Justice Assistance, eligible claimants are awarded a lump sum benefit. For Death Benefit: If the officer is survived by spouse, but there are no eligible children, the spouse will receive 100% of the benefit. If the officer is survived by spouse and eligible children, the spouse will receive 50% of the benefit and the children will receive equal shares of the remaining 50%. If the officer is survived by eligible children but no spouse, the children will receive equal shares of the benefit. If the officer is survived by neither a spouse, nor eligible children and does not have a life insurance policy, then the benefit will be made payable to the surviving parents in equal shares.

**Deadlines:**

Claim may be filed up to 1 year following a public safety officer's death or prerequisite disability certification. (A preliminary determination by the PSOB Office that the officer is medically retired from his/her agency, and receiving the maximum disability compensation allowed by his/her jurisdiction).

**Range of Approval/Disapproval Time:**

Depending on circumstances of death, sufficiency of claim documentation, and/or the need for expert medical reviews. This varies from case to case.

**Appeals:**

A claimant may, within 30 days after notification of denial of eligibility, request an oral appeal hearing. When making this request, the claimant may waive the oral appeal hearing and within 60 days, present written evidence for reconsideration by an Administrative Hearing Officer. A claimant may initiate an appeal by writing the Chief of Payments and Benefits Division, Public Safety Officers' Benefits Program, Bureau of Justice Assistance, Washington, DC 20531. Telephone: 1-888-744-6513.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

15-0403-0-1-754.

**Obligations:**

FY 07 \$68,821,622; FY 08 \$70,854,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2006, PSOB developed the E-package. Using the E-package, program staff proactively email claim packages to public safety agencies when a public safety officer is either killed or becomes permanently and totally disabled in the line of duty. All standard documents have been translated from English to Spanish. All PSOB applications are now web-based.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, Code of Federal Regulations, Part 32.

**Regional or Local Office:**

None.

**Headquarters Office:**

Public Safety Officers' Benefits Program, Bureau of Justice Assistance, Washington, DC 20531. Contact: Valerie Neal, Senior Benefits Officer. Telephone: (202) 616-6500 or (1-888)744-6513 or by E-mail: AskPSOB@usdoj.gov.

**Web Site Address:**

[http://www.ojp.usdoj.gov/BJA/grant/psob/psob\\_main.html](http://www.ojp.usdoj.gov/BJA/grant/psob/psob_main.html).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.575 CRIME VICTIM ASSISTANCE****FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME,  
DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

42 U.S.C. 10603(a).

**OBJECTIVES:**

Enacted in 1984, the Victims of Crime Act (VOCA) is the central source of federal financial support for direct services to victim of crime. VOCA is administered at the federal level through the U.S. Department of Justice, Office for Victims of Crime which annually awards a grant to each state, the District of Columbia and U.S. Territories to support victim assistance services for victims and survivors of domestic violence, sexual assault, child abuse, drunk driving, homicide, and other crimes. Each state has a designated VOCA assistance agency to administer VOCA grants. Those state agencies in turn, subgrant to organizations that provide direct services to victims of crime. While minimal federal requirements must be met, each state is given great discretion in awarding specific subgrants.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds under this program shall be used by States and territories to provide direct services to crime victims with the following exception: States may retain up to 5 percent of their grant for administrative and training purposes. All States and most Territories receive an annual VOCA victim assistance grant. Each State, the District of Columbia, the U.S. Virgin Islands, and Puerto Rico receive a base amount of \$500,000. The territories of the Northern Mariana Islands, Guam, and American Samoa, each receive a base amount of \$200,000. Additional funds are distributed based on populations. That portion of the then remaining funds will be divided among all States or territories according to population (U.S. Census Bureau). If the amount available for grants under this program is insufficient to provide \$500,000 to each State, the base amount available shall be distributed equally among the States and territories. A victim assistance program is an eligible crime victim assistance program under VOCA if it: (A) is operated by a public agency or a nonprofit organization, or combination; (B) meets the appropriate match requirements; (C) uses volunteers unless the VOCA administrator grants a waiver for a compelling reason; (D) promotes coordinated public and private efforts to aid crime victims within the community served; (E) assists victims in applying for crime victim compensation; (F) complies with Federal rules regulating VOCA, including Program Guidelines/Rules and the effective edition of the OJP Financial Guide; (G) maintains civil rights information; (H) complies with additional eligibility or service criteria established by the State grantees; (I) provides services to victims of Federal crimes on the same basis as services are provided to victims of State and local crimes; (J) provides services to crime victims without charge unless a waiver is obtained from the State grantee; and, (K) maintains confidentiality of client-counselor and research information. An eligible crime victim assistance program shall expend sums received under subsection (a) only for providing direct services to victims of crime. The chief executive of each State shall (A)

certify that priority shall be given to eligible crime victim assistance programs providing assistance to victims of sexual assault, spousal abuse, or child abuse, and to programs serving previously underserved victims of violent crime, as determined by the State, (B) certify that funds awarded to eligible crime victim assistance programs will not be used to supplant State and local funds otherwise available for crime victim assistance; and provide such other information and assurances related to the purposes of this section as the Director may reasonably require. As used in this program, (1) the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, and any other territory or possession of the United States; and (2) the term "services to victims of crime" includes (a) crisis intervention services to provide emotional support in cases arising from the occurrence of crime; (b) providing, in an emergency, transportation to court, short-term child care services, and temporary housing and security measures; (c) assistance in participating in criminal justice proceedings; and (d) payment of all reasonable costs for a forensic medical examination of sexual assault victims, to the extent that such costs are otherwise not reimbursed or paid; (3) the term "chief executive" includes a person designated by the governor to perform the functions of the chief executive under this section.

**Applicant Eligibility:**

Any State, the District of Columbia, all Commonwealths and any other territory or possession of the United States are eligible. Funds will be subgranted to eligible public and nonprofit organizations or combinations of such agencies or organizations or of both such agencies and organizations, who provide direct services to victims of crime.

**Beneficiary Eligibility:**

Any member of the general public who has been a victim of a crime or those who are survivors of victims of crime.

**Credentials/Documentation:**

Applications from the designated State agency for this program must be submitted on Standard Form 424 electronically via the Office of Justice Programs Grants Management System (GMS), at a time specified by the Office for Victims of Crime, Office of Justice Programs. The State grant applicant, by completing the grant application, and by receiving a VOCA victim assistance grant award, certifies: (1) that funds awarded to eligible crime victim assistance programs will not be utilized to supplant State and/or local funds that would otherwise be available for crime victim assistance; (2) that the State will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (3) that the State shall give priority to programs aiding victims of sexual assault, spousal abuse, or child abuse, and to programs serving previously underserved victims of violent crimes as determined by the State; (4) that the State will submit to the Office of Justice Programs Subgrant Award Reports and Performance Reports concerning the activities carried out with the Federal funds received and will maintain and report such data and information as required; (5) that the State will adhere to the audit and financial management requirements set forth in the OJP Financial Guide; (6) that the State will comply with all applicable Federal nondiscrimination requirements; and, (7) certify that the information in the application is correct and that the State will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency in accordance with 28-CFR Part 66 (Common Rule), must be used for this program. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

The applicant applies on-line at <http://www.ojp.usdoj.gov> under "Grants/Funding" once posted by the Office for Victims of Crime.

**Award Procedure:**

The Director, Office for Victims of Crime, Office of Justice Programs has final approval authority. Once an award is granted to a State, the State will subgrant the monies to private nonprofit and/or public agencies for the purpose specified in the application and in conformance with all general and special conditions.

**Deadlines:**

Contact the Headquarters Office: Eligible States will be notified of the date for submission of applications through an OVC listserv message.

**Range of Approval/Disapproval Time:**

From 3 to 4 weeks.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards are for the year of award plus 3 years; applications will be submitted annually.

**Formula and Matching Requirements:**

Awards will be made on the basis of population with a base amount of \$500,000 for States; \$200,000 for the territories of N. Mariana Islands, Guam, and American Samoa. Fund availability may necessitate a base change.

**Length and Time Phasing of Assistance:**

States have the year of award plus 3 years to expend the funds.

**Reports:**

Subgrant Award Report for each subrecipient of VOCA funds; Quarterly, final financial reports and Annual Program Performance reports will be required as stipulated in the Program Guidelines/Rules and the OJP Financial Guide.

**Audits:**

All organizations that expend \$500,000 or more in federal funds per organizational fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. The audit report and transmittal letter must be submitted within 9 months from the end of the state fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least three years after the grant has been closed.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

FY 07 \$370,600,000; FY 08 \$268,064,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Base of \$500,000 to each State, Commonwealth, and the District of Columbia. Territories of the United States receive a base of \$200,000. Remaining dollars will be divided based on population.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidelines/Rules are published in the Federal Register. The OJP Financial Guide is available at <http://www.usdoj.gov/oc>, or call the Office of the Comptroller, Customer Service Center at 1-800-458-0786 to request a copy.

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas, Director, State Compensation and Assistance Division, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Telephone: (202) 616-3579. Use the same number for FTS.

**Web Site Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

16.576, Crime Victim Compensation.

**EXAMPLES OF FUNDED PROJECTS:**

Potential projects include, but are not limited to: funding to support (a) domestic violence shelter services; (b) rape crisis programs, including coverage for sexual assault examinations; child abuse treatment programs; and (d) support groups for survivors of homicide victim and DUI/DWI crash victims, etc.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are specifically spelled out in the Victims of Crime Act of 1984, as amended. Additional criteria will be developed by the Office for Victims of Crime. These criteria are listed on the OVC web page [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov).

## 16.576 CRIME VICTIM COMPENSATION

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

42 U.S.C. 10602 (a)

**OBJECTIVES:**

The Office for Victims of Crime (OVC), U.S. Department of Justice, administers the Crime Victim Compensation formula grant program. OVC annually awards a grant to each state, the District of Columbia, the U.S. Virgin Islands, Guam, and Puerto Rico to support state crime victim compensation programs. These programs help pay for some of the expenses resulting from crimes involving violence or abuse.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds under this program shall be used by the States for awards of compensation benefits to crime victims, with the following exception: States may retain up to 5 percent of their total grant for administrative and training purposes. As provided in recent VOCA amendments, formula grant funds to an eligible State crime victim compensation program is based on 60 percent of the amounts States expended during the fiscal year preceding the year of collections for the Crime Victims Fund, other than amounts awarded for property damage. If the sums available in the Fund for grants under this program are insufficient to provide grants of 60 percent as provided above, grants from the sums available will be made to each eligible crime victim compensation program so that all such programs receive the same percentage of the amounts awarded by such programs during the preceding fiscal year, other than amounts awarded for property damage. A crime victim compensation program is an eligible crime victim compensation program if (1) such program is operated by a State and

offers compensation to victims and survivors of victims of criminal violence, including drunk driving and domestic violence for: (A) medical expenses attributable to a physical injury resulting from a compensable crime, including expenses for mental health counseling and care; (B) loss of wages attributable to a physical injury resulting from a compensable crime; and (C) funeral expenses attributable to a death resulting from a compensable crime; (2) such program promotes victim cooperation with the reasonable requests of law enforcement authorities; (3) such State, possession or territory certifies that grants received under this program will not be used to supplant funds otherwise available to provide crime victim compensation; (4) such program, as to compensable crimes occurring within the State, possession or territory, makes compensation awards to victims who are nonresidents of the State, possession or territory on the basis of the same criteria used to make awards to victims who are residents of the State, possession or territory; (5) such program provides compensation to victims of Federal crimes occurring within the State on the same basis that such program provides compensation to victims of State crimes; (6) such program does not, except pursuant to rules issued by the program to prevent unjust enrichment of the offender, deny compensation to any victim because of that victim's familial relationship to the offender, or because of the sharing of a residence by the victim and the offender; (7) such program does not provide compensation to any person who has been convicted of an offense under Federal law with respect to any time period during which the person is delinquent in paying a fine, other monetary penalty, or restitution imposed for the offense; and (8) such program provides such other information and assurances related to the purposes of this section as the Director may reasonably require. Section 1403(c), any amount of crime victim compensation that the applicant receives through a crime victim compensation program under this section shall not be included in the income of the applicant until the total amount of assistance that the applicant receives from all such programs is sufficient to fully compensate the applicant for losses suffered as a result of the crime. As used in this section: (1) the term "property damage" does not include damage to prosthetic devices, eyeglasses or other corrective lenses, or dental devices; (2) the term "medical expenses" includes, to the extent provided under the eligible crime victim compensation program, expenses for eyeglasses and other corrective lenses, for dental services and devices and prosthetic devices, and for services rendered in accordance with a method of healing recognized by the law of the State; (3) the term "compensable crime" means a crime the victims of which are eligible for compensation under the eligible crime victim compensation program, and includes crimes involving terrorism, driving while intoxicated, and domestic violence; and (4) the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, and any other possession or territory of the United States.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, and any other possession or territory of the United States who have an established eligible crime victim compensation program, and who meet the eligibility requirements discussed above.

**Beneficiary Eligibility:**

Victims of crime that results in death or physical or personal injury and are determined eligible under the State victim compensation statute. State compensation statutes either declare that coverage extends generally to any crime resulting in physical or personal injury, or they list all specific crimes that can be covered.

**Credentials/Documentation:**

The Governor designated State agencies are required to submit the following information and assurance along with the application for assistance: (1) a statement certified by the individual designated by the Governor to administer the VOCA crime victims compensation grant. This statement should specify the total amount of money spent by the program from State funding sources for crime victim compensation awards in the Federal fiscal year October 1, 2004-September 30, 2005; (2) the amount of such compensation paid for "property damage"; (3) the total amount and each source of revenue for the program; (4) a copy of the State statute or other legal authority establishing the program and any amendments thereto, and (5) an assurance that funds received under the Act will not be used to supplant State funds otherwise available for crime victim compensation. Costs will be determined in accordance with OMB Circular No. A 87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency in accordance with 28-CFR, Part 66 (Common Rule), must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant applies on-line at <http://ojp.usdoj.gov> under "Grants/Funding" once posted by the Office for Victims of Crime.

**Award Procedure:**

An award is granted by the Director of the Office for Victims of Crime, the Office of Justice Programs. The award must be accepted and signed by the applicant with assurance of compliance with standard and special conditions of the grant award.

**Deadlines:**



Contact the Headquarters Office. Eligible State victim compensation programs will be notified of the date for submission of applications through an OVC listserv message.

**Range of Approval/Disapproval Time:**

From 3 to 4 weeks.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards are for the year of award plus 3 years. Applications will be annually.

**Formula and Matching Requirements:**

The formula will be based on 60 percent of the amounts awarded by the State from State funding sources during the preceding fiscal year, other than amounts awarded for property damage. The State must certify that the Federal funds received under the program will not supplant State funds otherwise available for victim compensation. Fund availability may require a base change. Section 1403(a)(2).

**Length and Time Phasing of Assistance:**

Compensation funds may be carried forward for obligation by the grantee for 3 years subsequent to the fiscal year of award. Funds are released via electronic funds transfer. States must be enrolled in the Automated Clearinghouse (ACH) Vendor Express Program to request any Federal funds.

**Reports:**

Both quarterly and final financial status reports are required as stipulated in the effective edition of the OJP Financial Guide. In addition, an annual program performance report to OVC on the effect that the Federal funds had on the program will be required as stipulated in the Program Guidelines/Rules.

**Audits:**

All organizations that expend \$300,000 or more in federal funds per organizational fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. The audit report and transmittal letter must be submitted within 9 months from the end of the state fiscal year.

**Records:**

The annual program reporting requirement and accounts concerning the expenditures of the award shall be maintained during the award and retained for three years thereafter.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

FY 07 \$165,716,000; FY 08 \$268,064,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Each State receives 60 percent of its prior year payout of State compensation funds.

**PROGRAM ACCOMPLISHMENTS:**

Since Fiscal Year 1986, awards totaled \$1,868,620,429.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidelines/Rules are published in the Federal Register. The OJP Financial Guide is available at <http://www.usdoj.gov/oc>, or call the Office of the Comptroller, Customer Service Center at (1-800) 458-0786 to request a copy.

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas, Director, State Compensation and Assistance Division, Office for Victims of Crime, Department of Justice, Washington, DC 20531.  
Telephone: (202) 616-3579. Use the same number for FTS.

**Web Site Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

16.575, Crime Victim Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Program funds State formula grants to be used for crime victim compensation only.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Victims of Crime Act of 1984, as amended, and Program Guidelines/Rules published in the Federal Register.

## 16.578 FEDERAL SURPLUS PROPERTY TRANSFER PROGRAM

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, as amended, and codified at 40 U.S.C. Section 553(b)(1)(2). Property for correctional facility, law enforcement, and emergency management response purposes.

**OBJECTIVES:**

To facilitate the possible no cost conveyance, by the General Services Administration, to State and local governments, of surplus real and related personal property determined by the Attorney General to be required for correctional facility use, under programs or projects for the care or rehabilitation

of criminal offenders, and for law enforcement purposes.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Deed of Conveyance. The Deed of Conveyance of any surplus real and related personal property disposed of under this program - (1) shall provide that all of the property be used and maintained for the purpose for which it was conveyed in perpetuity, and that if the property ceases to be used or maintained for that purpose, all or any portion of the property shall, in its then existing condition, at the option of the Government, revert to the Government; and (2) may contain additional terms, reservations, restrictions, and conditions that the Administrator determines are necessary to safeguard the interests of the Government.

**Applicant Eligibility:**

State governments, and political subdivision or instrumentality of State governments. Under this program, the term "State" is defined by 40 U.S.C. Section 553(a) to include the District of Columbia, Puerto Rico, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, The Marshall Islands, Palau, and the Northern Mariana Islands.

**Beneficiary Eligibility:**

State, local and territorial governments, that are engaged in activities to control or reduce crime and juvenile delinquency or the enforcement of criminal law or the care or rehabilitation of criminal offenders.

**Credentials/Documentation:**

DOJ/OJP/BJA application for a correctional facility use or law enforcement purpose determination.

**Preapplication Coordination:**

Notify BJA and GSA or DOD by letter, of the State's interest in an identified property. This program requires coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Applicants interested in applying for property under the Base Realignment and Closure Act (BRAC) must consult with their designated Local Redevelopment Authority for the community's plan for economic recovery. A list of the recognized LRAs can be viewed at: <http://www.oea.gov/OEAWeb.nsf/Home?OpenForm>.

**Application Procedure:**

Submission of a completed DOJ/OJP/BJA application kit, including environmental information.

**Award Procedure:**

(1) Applicant must be a State or local governmental entity; (2) applicant must propose a correctional facility use or law enforcement purpose consistent with the requirements set forth in 40 U.S.C. Section 553(b)(1) and (2).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Under 40 U.S.C. Section 553(e), the Administrator of the General Services Administration determines and enforces compliance with the terms contained in the instrument by which the transfer or conveyance is made.

**Audits:**

Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

None.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-seven properties have been conveyed to State and/or to local government entities for correctional purposes and seven have been conveyed for law enforcement purposes. A total of 40 determinations by the Assistant Attorney General have been made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

General Services Administration: [www.propertydisposal.gsa.gov](http://www.propertydisposal.gsa.gov). Office of Economic Adjustment: <http://www.defenselink.mil/brac/>.

**Headquarters Office:**

Bureau of Justice Assistance, 810 Seventh Street, N.W., 4th Floor, Washington,

DC 20531. Contact: M. Berry, Senior Project Manager, Telephone: (202) 616-6500 or (1-866) 859-2687.

**Web Site Address:**

Federal Surplus Real Property Conveyance Program:  
<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Applicant must be a governmental entity; (2) Applicant must use property for viable program for the care and/or rehabilitation of criminal offenders; (3) The General Services Administration determines that a correctional purpose is the highest and best use for the applied for property.

**16.579 EDWARD BYRNE MEMORIAL FORMULA GRANT PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title I, 42 U.S.C. 50 et seq. Public Law 109-162, Title XI - Department of Justice Reauthorization, Subtitle B-Improving the Department of Justice's Grant Programs, Chapter 1-Assisting Law Enforcement and Criminal Justice Agencies, Sec. 1111. Merger of Byrne Grant Program and Local Law Enforcement Block Grant Program.

**OBJECTIVES:**

To reduce and prevent illegal drug activity, crime, and violence and to improve the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to support 29 specified purpose areas as outlined in the authorizing legislation. Funds may be used to provide additional personnel, equipment, facilities (including upgraded and additional law enforcement crime laboratories), personnel training and equipment for more widespread apprehension, prosecution and adjudication of persons who violate state and local laws relating to the production, possession and transfer of controlled substances and to improve the criminal justice system. The Act restricts the use of these funds for supplanting state and local funds and land acquisition, and construction other than penal or correctional facilities.

**Applicant Eligibility:**

All States, the District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico, Virgin Islands and Northern Mariana Islands.

**Beneficiary Eligibility:**

State and units of local governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used with this program.

**Application Procedure:**

Applications are submitted to BJA following the criteria set out in the Act, OJP Financial Guide, and Byrne Formula Grant Program Guidance. This program is excluded from coverage under OMB Circular No. A-110. All applications must be submitted electronically by the Office of Justice Programs Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Letter to the Governor upon approval by BJA, with copies of the grant award sent to the designated State Administrative Agency. One copy of the grant award must be signed by Chief Executive's designee and returned to BJA.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, for application deadline at 1-866-859-2687 or by e-mail at: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov). Applications must be submitted within 60 days of the signing of the appropriation by the President.

**Range of Approval/Disapproval Time:**

The State Administering Agency will receive a grant award notification, no later than 45 days after receipt of application. BJA will also notify the State congressional representatives, the governor and State U.S. attorneys.

**Appeals:**

See 28 C.F.R., Part 18.

**Renewals:**

Annual application is required.

**Formula and Matching Requirements:**

Each participant State will receive a base amount of \$500,000 or 25 percent of the amount available for the program, whichever is greater, with the remaining funds allocated to each State on the basis of the State's relative share of total U.S. population. If a State elects not to participate, all funds may be awarded directly to local units of government and combinations of units of local governments within the State. (a) Funds from the Act may be used to pay up to 75 percent of the cost of a program or project. The remaining nonfederal share will be provided in cash. Match for the formula grant programs will be provided for on a project-by-project basis, State-wide basis, unit-of-government basis, or a combination of the above. Requests will be contained in the application. (b) Funds distributed to an Indian tribe which performs law enforcement functions (as determined by the Secretary of the Interior) for any program or project described in the Act shall be 100 percent of such costs.

**Length and Time Phasing of Assistance:**

48 months/4 years.

**Reports:**

Financial reports are required quarterly, as required by the OJP financial guide. An annual performance report is also required.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Grantee must keep complete records on disposition of funds.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies. This is a formula based funding program.

**PROGRAM ACCOMPLISHMENTS:**

See State Annual Reports.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide, Byrne Formula Grant Program Guidance.

**Regional or Local Office:**

Please contact your local State Administrative Agency (SAA).

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, Washington, DC 20531. Contact: Programs Office. Telephone: (202) 616-6500 or (1-866) 859-2687.

**Web Site Address:**

Edward Byrne Memorial Local Law Enforcement Justice Assistance Grant (JAG) <http://www.ojp.usdoj.gov/BJA/grant/jag.html>.

**RELATED PROGRAMS:**

16.580, Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program; 16.738, Edward Byrne Memorial Justice Assistance Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Multi-Jurisdictional Drug Enforcement Task Forces, Criminal Justice System Improvement, Violent Crime Prevention, DARE Education, Community Policing Training and Technical Assistance Projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.580 EDWARD BYRNE MEMORIAL STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE DISCRETIONARY GRANTS PROGRAM**

(Byrne Discretionary Program)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Not applicable.

**OBJECTIVES:**

To provide leadership and direction in improving the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Discretionary grant funds provide federal financial assistance to public or private agencies and private nonprofit organizations for law enforcement program; prosecution and court program; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement program; programs, planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation). This assistance supports site-based demonstration programs that in view of previous research or experience are likely to be a success in more than one jurisdiction; projects that are national or multijurisdictional in scope; and many training and technical assistance initiatives. Funds are not to be used for supplanting of state and local funds, land acquisition or construction projects.

**Applicant Eligibility:**

Federal, State and local government agencies as well as public and private nonprofit organizations and federally recognized Indian Tribal governments are eligible to receive funds including faith-based and community organizations, under this program.

**Beneficiary Eligibility:**

State and local governments, public and private organizations and Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically via the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Varies. See the program solicitation or guidance letter or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. Telephone: 1 (866) 859-2687 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Grants may be made for amounts up to 100 per centum of the costs of the programs or projects contained in the approved applications.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months.

**Reports:**

Unless otherwise specified in the award's special conditions, financial reports are due quarterly and progress reports are due semi-annually; in some cases, evaluation reports may be required.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA),

P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$189,255,557; FY 08 \$187,513,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to drug law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Telephone: (202) 616-6500 or (1-866) 859-2687 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

## 16.582 CRIME VICTIM ASSISTANCE/DISCRETIONARY GRANTS

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

42 U.S.C. 10603(c)(1)(A); 42 U.S.C. 10603(c)(1)(B); 42 U.S.C. 10603d(a); and 42 U.S.C. 10603e(a).

**OBJECTIVES:**

The Office for Victims of Crime (OVC) administers a discretionary grant program and other assistance programs for crime victims with amounts set-aside from deposits into the Crime Victims Fund for (a) demonstration projects and training and technical assistance services to eligible crime victims assistance programs; and (b) for the financial support of services to victims of Federal crime by eligible crime victim assistance programs. The purpose of the demonstration and training and technical assistance grants is to improve the overall quality of services delivered to crime victims through the provision of training and technical assistance to providers. Of the amount available for training and technical assistance and services to victims of Federal crimes, no less than 50 percent shall be used for demonstration programs and training and technical assistance, and not more than 50 percent for services to victims of Federal crimes.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are available specifically for (a) demonstration projects and training and technical assistance service to eligible crime victim assistance programs; and (b) for the financial support of services to victims of Federal crime by eligible crime victim assistance programs. For the purpose of the grants authorized in 42 U.S.C. 10603, an eligible crime victim assistance program is defined as: (a) operated by a public agency or a nonprofit organization, or a combination of such agencies or organizations or both such agencies and organizations, and providing service to victims of crime; (b) demonstrating (i) a record of providing effective services to victims of crime and financial support from sources other than the Fund; or (ii) substantial financial support from sources other than the Fund; (c) utilizing volunteers in providing such services, unless to the extent the chief executive determines that compelling reasons exist to waive this requirement; (d) promoting within the community served coordinated public and private efforts to the crime victims; and (e) assisting potential recipients in



seeking crime victim compensation benefits. For the purpose of grants authorized for assistance to victims of federal crime, services includes (a) training of law enforcement personnel in the delivery of services to victims of Federal crime; (b) preparation, publication, and distribution of informational materials, setting forth services offered to victims of crime; and concerning services for victims of Federal crime for use by Federal law enforcement and other responsible Federal officials; and (c) salaries of personnel who provide services to victims of crime, to the extent that these personnel provide such services.

**Applicant Eligibility:**

Criteria will vary depending on the grant or grant program. Generally, eligible applicants may include American Indian/Alaska Native Tribes and tribal organizations, States, United States Attorneys' offices, universities and colleges, eligible public agencies that provide victim services and private nonprofit agencies. Applicants for Tribal Victim Assistance grants must be an Indian Tribe, Tribal organization, partnership or nonprofit organization that provides direct services to victims of crime in Indian Country.

**Beneficiary Eligibility:**

Eligible victim assistance agencies. Eligibility depends on the nature of the grant but may include a wide variety of public and private nonprofit agencies.

**Credentials/Documentation:**

Competitive applications under this program must be submitted electronically via Grants.gov. OVC develops solicitations and application guidelines that includes funding strategy, eligibility requirements, required certifications that must be submitted at a time specified by the Office for Victims of Crime, Office of Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide; (3) assure that the applicant will comply with all applicable nondiscrimination requirements including civil rights compliance, non-discrimination against eligible applicants that are faith or community-based organizations, services to persons with Limited English Proficiency, and protection of human research subjects; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, (including subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990) regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133. Applicants from other types of agencies will use forms to be provided by OVC.

**Preapplication Coordination:**

The standard application form furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule) must be used for all grants made by OVC. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

In accordance with the Common Rule, Standard Form 424 must be submitted electronically at Grants.gov by nonfederal agencies in applying for funding under this program. Forms for funds other than grants or for use by Federal agencies will be supplied by OVC. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director. The Assistant Attorney General, Office of Justice Programs has final approval authority.

**Deadlines:**

Deadlines are announced by OVC in as it releases solicitations throughout the fiscal year. Information is available only on-line at the OVC homepage at <http://www.ojp.usdoj.gov/ovc/>.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards range from 6 to 24 months, unless otherwise noted. Supplements are considered on a case by case basis. (See OVC guidelines for the Antiterrorism and Emergency Assistance Program for Terrorism and Mass Violence Crimes.)

**Formula and Matching Requirements:**

There are no formula or matching requirements for discretionary funding, unless stated in the funding applications. The State Victim Assistance Academy grants require a 25 percent "in-kind" match. The Tribal Victim Assistance Discretionary Grants requires a 10 percent "in-kind" match, which increases to 15 percent and 25 percent, respectively, for the 2nd and 3rd years of the award. The Counseling for Crime victims in Indian Country by Faith-Based

Organizations grants require a 10 percent "in-kind" match per year. Federal agencies are not expected to provide a financial contribution, but in general are asked to demonstrate a commitment to continuing the funded effort after OVC funding is terminated.

**Length and Time Phasing of Assistance:**

Any amount awarded that remains unspent at the end of a fiscal year in which the award is made may be expended for the purpose for which the award is made at any time during the three succeeding fiscal years, at the end of which period, any remaining unobligated sums shall be available for deposit into the emergency reserve fund referred to in subsection (d)(5) of the VOCA at the discretion of the Director. Any remaining unobligated sums shall be returned to the Fund. Funds are released via the Electronic Transfer System (formerly the Letter of Credit System) on an as needed basis to the Recipient.

**Reports:**

Quarterly financial reports and semi-annual progress reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

FY 07 \$675,000,000; FY 08 \$590,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

For the Federal Crime Victims Division, approximately \$40,000 to \$500,000. For the Program Development and Dissemination Division from \$25,000 to \$1,000,000 with an average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

OVC supports the development of training, technical assistance, and demonstration projects to expand and improve the quality of services to crime victims. In recent years, OVC has directed substantial funding to developing resources for the field that will assist victim advocates and other allied practitioners in reaching and serving victims from populations that have been largely underserved including victims with disabilities, immigrant victims, victims in rural areas or large urban centers, and victims from cultural, ethnic and racial minority groups. Serving child and adult victims of sexual assault remains problematic for many communities, and OVC continues to support several training and technical resources that foster the replication of Sexual Assault Response Teams across the nation, OVC also funds a biennial Sexual Assault Response Team (SART) National Training Conference to provide multi-disciplinary training to SART members. Various other solicitations provide funding for projects in Indian Country. These grants support victim assistance programs for Indian tribes under Federal criminal justice jurisdiction, including 28 victim assistance programs, one elder abuse demonstration program, a training and technical assistance grant for OVC's American Indian/Alaska Native grantees, tribal CASA programs, grants to support faith-based organizations which provide counseling services to American Indian/Alaska Native crime victims, and a project to provide training to tribal leaders on the critical role of their support of tribal victim assistance programs. OVC also has funded the planning and implementation of State Victim Assistance Academies to meet the entry-level educational and training needs of a broad range of victim assistance providers and allied professionals who work directly with victims of crime. OVC also supports public awareness initiatives on crime victims' rights and issues, including the annual dissemination of a resource kit to the field to assist their activities during National Crime Victims Rights Week (NCVRW) and the sponsorship of an annual NCVRW awards ceremony for exemplary service providers and organizations. During FY 2005, OVC implemented an innovative strategy to provide top-quality Public Service Announcements (PSAs) on crime victims' rights and services to every television broadcaster in the nation, incorporating the ability to track when the PSAs are aired and the estimated audience and audience demographics. During FY 2006, OVC discretionary funding continues to be directed at several areas, including the faith-based response to crime victims, implementation and enforcement of victims' rights, underserved crime victims in both urban and rural settings, a demonstration program to assist victims of identity theft, victim assistance in Indian Country, working with grass roots organizations to identify and replicate promising practices in serving victims, as well as the development and dissemination of information and training for a wide variety of practitioners who work with crime victims. In the past 3 years, OVC has funded several key projects that focus on strengthening collaboration and cross-training between victim assistance and faith-based providers, in order to improve services for crime victims. In FY07, OVC has funded discretionary programs to assist victims of identity theft and financial fraud. udi Arabia, Afghanistan and Iraq

(e.g. bombing of UN Headquarters in Baghdad.). Assistance has included toll-free information lines, Family web sites, informational briefings, travel to criminal Justice proceedings, and mental health counseling. In addition, OVC works in liaison with other Federal agencies to coordinate services for victims of terrorism; has worked with the Center for Mental Health Services at HHS to develop training for mental health service providers on assisting victims of terrorism and mass violence; is working with the Office for Domestic Preparedness to provide training to enhance the capacity of first responders to deal effectively with victims of terrorism; provides funding for a community-based assessment and planning process to help states and local communities design and implement a strategic plan for responding to victims of criminal mass violence; and provides funding to track kidnapped children taken across international borders (in parental abductions) to help their left-behind parents attend court hearings and return to the US with their children. In FY 2006, OVC will continue many of these projects as well as setting aside money in the Antiterrorism Emergency Reserve to respond to future incidents of terrorism and mass violence occurring both within the United States and abroad and to fund an International Terrorism Victim Expense Reimbursement Program.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Current solicitations and application guidelines and the current edition of the OJP Financial Guide, are available on line at the OVC webpage at <http://www.ovc.gov>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Telephone: (202) 307-5983.

#### **Web Site Address:**

<http://www.ovc.gov>.

#### **RELATED PROGRAMS:**

16.321, Antiterrorism Emergency Reserve; 16.320, Services for Trafficking Victims; 16.575, Crime Victim Assistance.

#### **EXAMPLES OF FUNDED PROJECTS:**

Potential projects include, but are not limited to: demonstrations programs that assist victims in rural communities or those programs meeting the needs of special populations such as immigrant victims, victims with disabilities, and victims of identity theft and financial fraud; training and technical assistance for States and local communities to help when responding to terrorism and mass violence; training to improve or expand victim services provided by particular groups of professionals such as judges, prosecutors, law enforcement professionals, and medical personnel.

#### **CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the Victims of Crime Act, 42 U.S.C. Section 10601-10604 (Supp. 1981). Additional criteria may be developed by the Office for Victims of Crime and will be published in the OJP grant packages.

### **16.583 CHILDREN'S JUSTICE ACT PARTNERSHIPS FOR INDIAN COMMUNITIES**

#### **FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

Victims of Crime Act of 1984, as amended, Public Law 98-473; Children's Justice and Assistance Act of 1986, Public Law 99-401, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690, Section 1402 (g)(L); Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act of 1995; Violent Crime Control and Law Enforcement Act of 1994; Subtitle C, Public Law 104-132; Anti-Terrorism and Effective Death Penalty Act of 1996; Child Abuse Prevention and Treatment Enforcement Act of 2000; Omnibus Consolidated Appropriations Act of 1997, Public Law 104-298; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386.

#### **OBJECTIVES:**

Fifteen percent of the first \$20 million of funds from the Crime Victims Fund that are transferred to the Department of Health and Human Services as part of the Children's Justice Act are to be statutorily reserved by the Office for Victims of Crime (OVC) to make grants for the purpose of assisting Native American Indian tribes in developing, establishing, and operating programs designed to improve the handling of child abuse cases, particularly cases of child sexual abuse, in a manner which limits additional trauma to the child victim and improves the investigation and prosecution of cases of child abuse.

#### **TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

#### **USES AND USE RESTRICTIONS:**

Funds are available specifically for the purpose of assisting Indian tribes in developing, establishing, and operating programs designed to improve (a) the

handling of child abuse cases, particularly cases of child sexual abuse, in a manner which limits additional trauma to the victim and (b) the investigation and prosecution of cases of child abuse, particularly child sexual abuse.

#### **Applicant Eligibility:**

Federally recognized Indian tribal governments and nonprofit Indian organizations that provide services to American Indians and Alaska Natives. Specific criteria will vary depending on the grant.

#### **Beneficiary Eligibility:**

American Indian youth who are victims of child abuse and/or child sexual abuse.

#### **Credentials/Documentation:**

Applications must be on Standard Form 424 at a time specified by the Office for Victims of Crime, Office of Justice Programs and must: (1) contain OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements); (2) assure that the grantee will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (3) assure that the Grantee will submit to the Office of Justice Programs a semiannual program performance report of data and information as required; (4) assure that the Grantee will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide, and (5) certify that the information in the application is correct and that the Grantee will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, regulations, and circulars, including Subtitle A, Title II of the Americans With Disabilities Act (ADA) 1990.

#### **Preapplication Coordination:**

The standard application form furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule) must be used for all grants made by OVC. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies applying for funding under this program. Competitive solicitations are announced on Grants.gov.

#### **Award Procedure:**

The Director, Office for Victims of Crime, Office of Justice Programs has final approval authority. Grants are made directly to Indian tribes as defined in Section 450(b) of the Indian Self Determination and Education Assistance Act. Awards may also be granted to nonprofit organizations that provide services to American Indians or State or local governments. Generally, awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director.

#### **Deadlines:**

Deadlines are listed as part of the solicitation at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm) and on Grants.gov. To have your name placed on OVC's mailing list, contact the Office for Victims of Crime, 810 Seventh Street, NW., Washington, DC 20531. Telephone: (202) 307-5983.

#### **Range of Approval/Disapproval Time:**

From 4 to 6 months.

#### **Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

#### **Renewals:**

Awards range from 12 to 36 months. Renewals are considered on a case-by-case basis.

#### **Formula and Matching Requirements:**

In-kind match is required as follows: 10 percent each year.

#### **Length and Time Phasing of Assistance:**

Grants are generally awarded for a 12 to 36 month time period.

#### **Reports:**

Quarterly and final financial reports and semi-annual program performance reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required.

#### **Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

#### **Account Identification:**

15-5041-0-2-754.

#### **Obligations:**

FY 07 \$3,000,000; FY 08 \$3,000,000; and FY 09 est not available.

#### **Range and Average of Financial Assistance:**

None.

#### **PROGRAM ACCOMPLISHMENTS:**

Seventy-five tribal programs to improve the investigation and prosecution of

child sexual abuse cases have been funded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Applications and current edition of the Financial Guide are available by writing to the Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Renee Williams, CJA Program Manager, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Telephone: (202) 616-3218 or (202) 616-9559. E-mail:

Renee.Williams@usdoj.gov.

#### **Web Site Address:**

<http://www.usdoj.gov>.

#### **RELATED PROGRAMS:**

16.582, Crime Victim Assistance/Discretionary Grants.

#### **EXAMPLES OF FUNDED PROJECTS:**

Tribes will implement a variety of programs to improve the way in which child sexual abuse cases are handled in Indian country. Examples of some of the activities are: development of written protocols between agencies to minimize the number of child interviews and improve case management; provision of child advocacy in the court process; reduction in the amount of time required to investigate cases of child sexual abuse; revision of tribal codes to include child abuse; establishment of special multidisciplinary child interviewing teams; provision of specialized training for investigators and judicial personnel; and hiring of staff to increase the numbers of child sexual abuse cases prosecuted in tribal, State, and Federal courts. CJA funds will also be used for training and technical assistance for tribes in implementing the grants awarded.

#### **CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the Anti-Drug Abuse Act of 1988, Public Law 100-690, Section 1402. Additional criteria will be developed by the Office for Victims of Crime and will be announced at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

## **16.585 DRUG COURT DISCRETIONARY GRANT PROGRAM**

(Drug Court)

#### **FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

The Drug Courts Program is authorized under Title I, Part EE, of the Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351d, Title I, 82 Stat. 197, as amended by the 21st Century Department of Justice Appropriations Authorization Act, Public Law 107-273, Division B, Title II, Subtitle C, 116 Stat. 1758 (2002).

#### **OBJECTIVES:**

The Drug Court Discretionary Grant provides financial and technical assistance to states, state courts, local courts, units of local government, and Indian tribal governments to develop and implement treatment drug courts that effectively integrate substance abuse treatment, mandatory drug testing, sanctions and incentives, and transitional services in a judicially supervised court setting with jurisdiction over nonviolent, substance-abusing offenders.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Allowable uses of funds are outlined in the Drug Court Program Guideline available from the Department of Justice Response Center. Drug Court Programs under Title V will be for nonviolent adult and juvenile offenders and involve early and continuous judicial supervision over the nonviolent substance abusing offenders and the integrated administration of sanctions and services including: (1) mandatory periodic testing for the use of controlled substances or other addictive substances during any period of supervised release or probation; (2) substance abuse treatment for each participant; (3) diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements; and (4) programmatic, offender management and aftercare services.

#### **Applicant Eligibility:**

Grants can be given to States, State courts, local courts, units of local government and Indian tribal governments, acting directly or through agreements with other public or private entities. Applicants may choose to submit joint applications with other eligible jurisdictions for statewide, regional, and multi-jurisdictional drug court programs. With joint applications, one organization must be designated as the applicant and any coapplicants designated accordingly. The applicant organization must be eligible and the other agencies/organizations must provide supporting documentation. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope

described in the application kit. Nonprofit and for-profit agencies are not eligible applicants. For an application from a subunit of government (e.g., county probation department, district attorney's office, pretrial services agency) to be considered, it must be designated by letter as representing an eligible applicant (described above). For example, the county court or county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. In this instance, the applicant continues to be the designating State, court system, or unit of local government. The county probation, district attorney's office, or other designated subunit, is the organization authorized to submit an application on behalf of the eligible applicant.

#### **Beneficiary Eligibility:**

States, local governments, Indian tribal governments, public or private entities.

#### **Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Applicant Information page; a one-page program abstract summarizing the goals and objectives of the grant request; program narrative; letters of support; detailed budget and budget narrative; administrative requirements; and assurances and certifications. See program announcement for more information.

#### **Preapplication Coordination:**

Prospective applicants may view the preapplication requirements by visiting the web site at <http://www.ojp.usdoj.gov/BJA/grant/drugcourts.html>. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

All competitive grant applications must be submitted electronically through the Grant Management System (GMS) at <http://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

#### **Award Procedure:**

An award is granted by the Assistant Attorney General, Office of Justice Programs, and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

#### **Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, for application deadlines.

Telephone: 1-866-859-2687 or by e-mail at [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

#### **Range of Approval/Disapproval Time:**

Approximately 60 days.

#### **Appeals:**

Determined by the Assistant Attorney General, OJP.

#### **Renewals:**

Grants can be extended by submitting a written justification for an extension to the Bureau of Justice Assistance office for review. Extensions are subject to approval by the Bureau of Justice Assistance and renewals by congressional funding.

#### **Formula and Matching Requirements:**

The Federal share of a grant received under this subtitle may not exceed 75 percent of the total cost of an applicant's projected budget. The matching requirement is a 25 percent match provided by the applicant. A portion of the match must be cash. This is required by statute; the term "portion" is not defined.

#### **Length and Time Phasing of Assistance:**

Project duration period will be up to 3 years for Implementation Grants, up to 2 years for Enhancement Grants.

#### **Reports:**

Reports required include: "Fiscal Reports", which consist of quarterly budget expenditure reports, "Progress Reports", which consist of semi-annual program progress reports, and the Drug Court Grantee Data Collection Survey.

#### **Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

#### **Records:**

All grantees are required to establish and maintain accounting systems and financial records in order to account for funds awarded to them.

#### **Account Identification:**

15-0404-0-1-754.

#### **Obligations:**



FY 07 \$9,872,280; FY 08 \$15,200,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Up to \$500,000 for Implementation Grants; and up to \$300,000 for Enhancement grants.

**PROGRAM ACCOMPLISHMENTS:**

The overall purpose of this program is to assist jurisdictions in the development and implementation of new and existing drug courts. Through early court intervention and substance abuse treatment, drug courts help reduce recidivism among these types of offenders. Funds will be made available to support the planning process, conduct implementation, or offer additional support to pre-existing drug court programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Eunice Pierre, Policy Advisor, Bureau of Justice Assistance. Telephone: (202) 616-6500 or (1-866) 859-2687 or E-mail: AskBJA@usdoj.gov.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

16.579, Edward Byrne Memorial Formula Grant Program; 16.580, Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program; 93.959, Block Grants for Prevention and Treatment of Substance Abuse; 16.523, Juvenile Accountability Block Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Please visit web site address for current information.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement.

## 16.586 VIOLENT OFFENDER INCARCERATION AND TRUTH IN SENTENCING INCENTIVE GRANTS

(Prison Grants)

**FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, Title II, Subtitle A, as amended, Public Law 103-322; 42 U.S.C. 13701 et seq.

**OBJECTIVES:**

To provide funds to individual States and States organized as regional compacts to build or expand 1) correctional facilities to increase the bed capacity for the confinement of Part 1 violent offenders; 2) temporary or permanent correctional facilities including facilities on military bases, prison barges and boot camps for the confinement of nonviolent offenders for the purpose of freeing prison space for violent offenders; 3) jails.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used to build or expand permanent or temporary correctional facilities to increase bed space for the confinement of adult and juvenile violent offenders. Up to 15 percent of a State's formula grant may be awarded to counties and other units of local government to construct, develop, expand, modify or improve jails and other correctional facilities. Under exigent circumstances, funds may be used to increase capacity for the confinement of nonviolent juvenile offenders. Beginning with fiscal year 1999 grant funds, ten percent of the award may be used to implement drug testing policies that meet the Attorney General's Guidelines.

**Applicant Eligibility:**

States and States organized in multi-State compacts are eligible to apply. State means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. All awards are made to the State Office. Local units of government must apply directly to the States for grant funds.

**Beneficiary Eligibility:**

State and local correctional agencies.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (standard form 424), including signed assurances that it will comply with statutory and administrative requirements. Applicants must also demonstrate compliance with statutory requirements for the three Tiers of the Violent Offender Incarceration Program and those for Truth In Sentencing to qualify for funding from each allocation. States must also demonstrate an ability to operate facilities built with these funds, recognize the rights of crime victims, and have implemented a program of drug testing and intervention for offenders under

corrections supervision.

**Preapplication Coordination:**

This program is eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs." Applicants should consult the office or official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance.

**Application Procedure:**

Applicants must submit a completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Bureau of Justice Assistance. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. All applications must be submitted electronically through the Office of Justice Programs, Grant Management System at <https://grants.ojp.usdoj.gov>.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. Telephone: (1-866) 859-2687 or E-mail: AskBJA@usdoj.gov.

**Range of Approval/Disapproval Time:**

Applications for Violent Offender Incarceration Tier 1 funds will be approved or denied within 30 days of receipt of a complete application. Applications for Violent Offender Incarceration Tiers 2 and 3 and Truth In Sentencing will generally be approved or denied within 90 days of receipt of a complete application.

**Appeals:**

Formula grant applicants will be notified in writing of reasons for disapproval of their application and will be given an opportunity for reconsideration.

**Renewals:**

Subject to appropriations.

**Formula and Matching Requirements:**

The Federal share of a grant funded project may not exceed 90 percent of the total costs of the project. The 10 percent matching funds must be in the form of a cash match.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus four additional years.

**Reports:**

Recipients are required to submit Individual Project Reports as subawards are made, quarterly Financial Reports, and a semiannual progress report.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Please visit web site for current information at <http://www.ojp.usdoj.gov/BJA/grant/voitis.html>.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, Answers to Frequently Asked Questions, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Contact: James Burch: Telephone: (202) 616-6500 or 1-866-859-2687 or by email at AskBJA@usdoj.gov.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja/grant/voitis.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals under the formula grant awards within the authorized purpose areas will be defined by States.

**16.587 VIOLENCE AGAINST WOMEN DISCRETIONARY GRANTS FOR INDIAN TRIBAL GOVERNMENTS****FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10.

**OBJECTIVES:**

To increase tribal capacity to respond to violent crimes against Indian women, and to develop and strengthen victim services in cases involving violent crimes against Indian women.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (1) develop and enhance effective governmental strategies to curtail violent crimes against and increase the safety of Indian women consistent with tribal law and custom; (2) increase tribal capacity to respond to domestic violence, dating violence, sexual assault, and stalking crimes against Indian women; (3) strengthen tribal justice interventions including tribal law enforcement, prosecution, courts, probation, correctional facilities; (4) enhance services to Indian women victimized by domestic violence, dating violence, sexual assault, and stalking; (5) work in cooperation with the community to develop education and prevention strategies directed toward issues of domestic violence, dating violence, and stalking programs and to address the needs of children exposed to domestic violence; (6) provide programs for supervised visitation and safe visitation exchange of children in situations involving domestic violence, sexual assault, or stalking committed by one parent against the other with appropriate security measures, policies, and procedures to protect the safety of victims and their children; (7) provide transitional housing for victims of domestic violence, dating violence, sexual assault, or stalking, including rental or utilities payments assistance and assistance with related expenses such as security deposits and other costs incidental to relocation to transitional housing, and support services to enable a victim of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community; and (8) provide legal assistance necessary to provide effective aid to victims of domestic violence, dating violence, sexual assault, or stalking who are seeking relief in legal matters arising as a consequence of that abuse or violence, at minimal or no cost to the victims. Applicants must demonstrate their proposal was developed in consultation with a nonprofit, nongovernmental Indian victim services program, including sexual assault and domestic violence victim services providers in the tribal or local community, or a nonprofit tribal domestic violence and sexual assault coalition to the extent that they exist. In the absence of such a demonstration, the applicant may meet the requirement of this subsection through consultation with women in the community to be served.

**Applicant Eligibility:**

Indian tribal governments and authorized designees of tribal governments. The term "tribal government" means-- (A) the governing body of an Indian tribe; or (B) a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

Tribal governments and authorized designees of tribal governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

At least one year. Funds are released on an as needed basis to the grantee.

**Reports:**

Quarterly financial reports are required, as stipulated in the effective edition of the OJP Financial Guide. Grantees shall also file semi-annual performance reports explaining the activities carried out and an assessment of the effectiveness of those activities in achieving the purposes of the program, including the number of persons served and the number of persons seeking services who could not be served, as well as a final performance report.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$31,649,599; FY 08 est \$30,012,240; and FY 09 est \$21,008,568.

**Range and Average of Financial Assistance:**

\$100,000-\$900,000; \$441,356.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 106, Awards: 82; FY 08: Applications: 66, Awards: 65; FY 09: est. Applications: 66, Awards: 46.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice; 800 K Street NW, Suite 920; Washington, DC, 20530; Telephone: (202) 307-6026.

**Web Site Address:**<http://www.ovw.usdoj.gov>**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Training for tribal law enforcement officers and prosecutors; establishment of a coordinated tribal community response to violence against women; creation of a tribal court to handle sexual assault and domestic violence cases; hiring of domestic violence victim advocates; creation of an automated communication system to connect tribal courts, police officers, prosecutors, and victim services providers; provision of transitional housing for victims; education and prevention campaigns; and provision of supervised visitation and safe exchange services.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Violence Against Women and Department of Justice Reauthorization Act of 2005 and program guidelines published annually.

**16.588 VIOLENCE AGAINST WOMEN FORMULA GRANTS****FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994; Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001, 2007-2011, and 2013, 42

U.S.C. 3796gg et seq., as amended; Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162.

**OBJECTIVES:**

To assist States, Indian tribal governments, tribal courts, State and local courts, and units of local government to develop and strengthen effective law enforcement and prosecution strategies to combat violent crimes against women, and develop and strengthen victim services in cases involving crimes against women. The Program encourages the development and implementation of effective, victim-centered law enforcement, prosecution, and court strategies to address violent crimes against women and the development and enhancement of victim services in cases involving violent crimes against women.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose areas: (1) training law enforcement officers, judges, other court personnel, and prosecutors to more effectively identify and respond to violent crimes against women, including the crimes of sexual assault, domestic violence, and dating violence; (2) developing, training, or expanding units of law enforcement officers, judges, other court personnel, and prosecutors specifically targeting violent crimes against women, including the crimes of sexual assault and domestic violence; (3) developing and implementing more effective police, court, and prosecution policies, protocols, orders, and services specifically devoted to preventing, identifying, and responding to violent crimes against women, including the crimes of sexual assault and domestic violence; (4) developing, installing, or expanding data collection and communication systems, including computerized systems, linking police, prosecutors, and courts or for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions for violent crimes against women, including the crimes of sexual assault and domestic violence; (5) developing, enlarging, or strengthening victim services programs, including sexual assault, domestic violence and dating violence programs, developing or improving delivery of victim services to underserved populations, providing specialized domestic violence court advocates in courts where a significant number of protection orders are granted, and increasing reporting and reducing attrition rates for cases involving violent crimes against women, including crimes of sexual assault and domestic violence; (6) developing, enlarging, or strengthening programs addressing stalking; (7) developing, enlarging, or strengthening programs addressing the needs and circumstances of Indian tribes in dealing with violent crimes against women, including the crimes of sexual assault and domestic violence; (8) supporting formal and informal statewide, multidisciplinary efforts, to the extent not supported by State funds, to coordinate the response of State law enforcement agencies, prosecutors, courts, victim services agencies, and other State agencies and departments, to violent crimes against women, including the crimes of sexual assault, domestic violence, and dating violence; (9) training of sexual assault forensic medical personnel examiners in the collection and preservation of evidence, analysis, prevention, and providing expert testimony and treatment of trauma related to sexual assault; (10) developing, enlarging, or strengthening programs to assist law enforcement, prosecutors, courts, and others to address the needs and circumstances of older and disabled women who are victims of domestic violence or sexual assault, including recognizing, investigating, and prosecuting instances of such violence or assault and targeting outreach and support, counseling, and other victim services to such older and disabled individuals; (11) providing assistance to victims of domestic violence and sexual assault in immigration matters; (12) maintaining core victim services and criminal justice initiatives, while supporting complementary new initiatives and emergency services for victims and their families; (13) supporting the placement of special victim assistants (to be known as "Jessica Gonzales Victim Assistants") in local law enforcement agencies to serve as liaisons between victims of domestic violence, dating violence, sexual assault, and stalking and personnel in local law enforcement agencies in order to improve the enforcement of protection orders. Jessica Gonzales Victim Assistants shall have expertise in domestic violence, dating violence, sexual assault, or stalking and may undertake the following activities-- (A) developing, in collaboration with prosecutors, courts, and victim service providers, standardized response policies for local law enforcement agencies, including triage protocols to ensure that dangerous or potentially lethal cases are identified and prioritized; (B) notifying persons seeking enforcement of protection orders as to what responses will be provided by the relevant law enforcement agency; (C) referring persons seeking enforcement of protection orders to supplementary services (such as emergency shelter programs, hotlines, or legal assistance services); and (D) taking other appropriate action to assist or secure the safety of the person seeking enforcement of a protection order; and (14) to provide funding to law enforcement agencies, nonprofit nongovernmental victim services providers, and State, tribal, territorial, and local governments, (which funding stream shall be known as the Crystal Judson Domestic Violence Protocol Program) to promote-- (A) the development and implementation of training for local victim domestic violence service providers, and to fund victim services personnel, to be known as "Crystal Judson Victim Advocates," to

provide supportive services and advocacy for victims of domestic violence committed by law enforcement personnel; (B) the implementation of protocols within law enforcement agencies to ensure consistent and effective responses to the commission of domestic violence by personnel within such agencies (such as the model policy promulgated by the International Association of Chiefs of Police ("Domestic Violence by Police Officers: A Policy of the IACP, Police Response to Violence Against Women Project" July 2003)); (C) the development of such protocols in collaboration with State, tribal, territorial and local victim service providers and domestic violence coalitions. States must allocate a minimum of 25 percent of each year's grant award to each of the following areas: prosecution and law enforcement. In addition, States must allocate a minimum of 30 percent to victim services, a minimum of 5 percent to courts. Within the 30% for victim services, states must allocate 10% for culturally-specific community-based organizations. The remainder of the funds may be spent at the discretion of the state within the statutory purpose areas.

**Applicant Eligibility:**

All States, Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and the District of Columbia, are eligible.

**Beneficiary Eligibility:**

State and local units of government, nonprofit nongovernmental victim services programs, state, local, and tribal courts, and Indian tribal governments.

**Credentials/Documentation:**

Grantees under this program are subject to 4 certification requirements: 1) A State, Indian tribal government, or unit of local government shall not be entitled to funds under this program unless the State, Indian tribal government, or another governmental entity incurs the full out-of-pocket cost of forensic medical examinations for victims of sexual assault. A State or Indian tribal government may use Federal grant funds under this part to pay for forensic medical exams performed by trained examiners for victims of sexual assault, except that such funds may not be used to pay for forensic medical exams by any State, Indian tribal government, or territorial government that requires victims of sexual assault to seek reimbursement for such exams from their insurance carriers. Nothing in this section shall be construed to permit a State, Indian tribal government, or territorial government to require a victim of sexual assault to participate in the criminal justice system or cooperate with law enforcement in order to be provided with a forensic medical exam, reimbursement for charges incurred on account of such an exam, or both. 2) A State shall not be entitled to funds under this program unless it certifies that its laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal or local jurisdiction 3) States must certify that that their judicial administrative policies and practices include notification to domestic violence offenders of the requirements delineated in section 922(g)(8) and (g)(9) of title 18, United States Code, and any applicable related Federal, State, or local laws; or give the Attorney General assurances that their judicial administrative policies and practices will be in compliance with this requirement within the later of the period ending on the date on which the next session of the State legislature ends or January 5, 2008. 4) In order to be eligible for grants under this part, a State, Indian tribal government, territorial government, or unit of local government shall certify that not later than January 5, 2009,, their laws, policies, or practices will ensure that no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of an alleged sex offense as defined under Federal, tribal, State, territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. This would be if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply through the Office of Justice Programs' online Grants Management System (GMS). The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.



**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

120 days after receipt of an application.

**Appeals:**

Contact the Office on Violence Against Women for further information.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Each eligible entity receives a base amount of \$600,000. Remaining funds are divided in an amount that bears the same ratio to the amount of remaining funds as the population of the State bears to the population of all of the States that results from a distribution among the States on the basis of each State's population in relation to the population of all States (not including populations of Indian tribes). The Federal share of these grants may not exceed 75 percent of the total costs of the projects described in the applications. States may satisfy this 25 percent match through in-kind services. All funds designated as match are restricted to the same uses as the Office on Violence Against Women funds and must be expended within the grant period. States and subgrantees may apply for a waiver of the match requirement based on an adequate demonstration of financial need. Match may not be required in subgrants for victim services or tribes.

**Length and Time Phasing of Assistance:**

Funds can be accessed by the State via the Phone Activated Paperless System (PAPRS) on an as needed basis. The State in turn subgrants the money to eligible public and/or private nonprofit programs via drawdowns.

**Reports:**

Quarterly and final financial reports plus annual and end-of-grant program performance reports will be required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. In the progress reports, States must provide a statistical summary of persons served, detailing the nature of victimization and providing data on age, sex, relationship of victim to offender, geographic distribution, race, ethnicity, disability, and the number of persons served in any underserved population. The reports must also explain the activities carried out and provide an assessment of the effectiveness of those activities, including the number of persons served and the numbers of persons seeking services who could not be served. States are responsible for submitting State reports and ensuring that subgrantees submit annual progress reports as well.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete and accurate records on the disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants)FY 07 \$114,783,946; FY 08 est \$114,354,000; and FY 09 est \$80,047,800.

**Range and Average of Financial Assistance:**

\$615,364 to \$10,227,267; \$1,874,656.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 56, Awards: 56; FY 08: Applications: 61, Awards: 61; FY 09: est. Applications: 61, Awards 61.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women Office, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Training and technical assistance for prosecutors, investigators, and law enforcement officers on issues relating to sexual assault and domestic violence; enhancement of services to victims of sexual assault and domestic violence; and creation of investigative and prosecutorial units to handle cases involving violent crimes against women.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications submitted by the Chief Executive Officer of a State, or his or

her designee, will be accepted by the grantor Federal Agency for consideration.

## 16.589 RURAL DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ASSISTANCE PROGRAM

**FEDERAL AGENCY:**

OFFICE OF VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, Section 40295, 42 U.S.C. 13971, as amended; Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act, Title II, Section 203, Public Law 109-162.

**OBJECTIVES:**

(1) To identify, assess, and appropriately respond to child, youth, and adult victims of domestic violence, sexual assault, dating violence, and stalking in rural communities, by encouraging collaboration among-- (A) domestic violence, dating violence, sexual assault, and stalking victim service providers; (B) law enforcement agencies; (C) prosecutors; (D) courts; (E) other criminal justice service providers; (F) human and community service providers; (G) educational institutions; and (H) health care providers; (2) to establish and expand nonprofit, nongovernmental, State, tribal, territorial, and local government victim services in rural communities to child, youth, and adult victims; and (3) to increase the safety and well-being of women and children in rural communities, by- (A) dealing directly and immediately with domestic violence, sexual assault, dating violence, and stalking occurring in rural communities; and (B) creating and implementing strategies to increase awareness and prevent domestic violence, sexual assault, dating violence, and stalking.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding may be used to carry out programs serving rural areas or rural communities that address domestic violence, dating violence, sexual assault, and stalking by implementing, expanding, and establishing cooperative efforts and projects among law enforcement officers, prosecutors, victim advocacy groups, and other related parties to investigate and prosecute incidents of domestic violence, dating violence, sexual assault, and stalking; providing treatment, counseling, advocacy, and other long- and short-term assistance to adult and minor victims of domestic violence, dating violence, sexual assault, and stalking in rural communities, including assistance in immigration matters; and working in cooperation with the community to develop education and prevention strategies directed toward such issues.

**Applicant Eligibility:**

States, Indian tribes, local governments, and nonprofit, public or private entities, including tribal nonprofit organizations, are eligible to carry out programs serving rural areas or rural communities that address domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners and service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking in rural jurisdictions and Indian country.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll free to request a copy at (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities. This program is subject to the provisions of OMB Circular No.A-110 or the Common Rule where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1-888-549-9901.

**Award Procedure:**

Subject to the availability of appropriated funds, NIJ anticipates that it will make an award to each eligible applicant that satisfies the specific application requirements outlined in this announcement (including those concerning allocation of funds, unobligated FY 2005-FY 2006 Backlog Reduction Awards, and permissible expenses), the general requirements for NIJ and OJP grants, and

all other applicable legal requirements. Reasons for rejection: NIJ may reject applications that are incomplete, do not respond to the scope of the solicitation, do not comply with format requirements, or are submitted after the deadline.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

A range of 25-40 percent of funds (depending on the size of appropriations) are set aside for services that meaningfully address sexual assault in rural communities. 75 percent of funds is allocated to eligible entities in rural states. "Rural state" is defined as a state that has a population density of 52 or fewer persons per square mile or a state in which the largest county has fewer than 150,000 people, based on the most recent decennial census. Eighteen States qualify as rural for the purposes of this grant program: Alaska, Arkansas, Arizona, Colorado, Idaho, Kansas, Maine, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Utah, Vermont, and Wyoming. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, and quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports should explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Grants) FY 07 \$33,495,246; FY 08 est \$28,965,535; and FY 09 est \$20,275,875.

**Range and Average of Financial Assistance:**

\$81,000 - \$850,000; \$490,941.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 160, Awards: 64; FY 08: Applications: 244, Awards: 57; FY 09: est. Applications: 244, Awards: 40.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, N.W., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovv.usdoj.gov>

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Partnerships among government agencies, community based organizations, and faith based organizations to address domestic violence, dating violence, sexual assault, and stalking more comprehensively; coordinated community responses to domestic violence, dating violence and child victimization that involve training for criminal justice practitioners and protocol development; and initiatives addressing the needs of diverse populations in rural areas, including bilingual advocacy and assistance in immigration matters.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

## 16.590 GRANTS TO ENCOURAGE ARREST POLICIES AND ENFORCEMENT OF PROTECTION ORDERS

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. 3796hh, as amended; Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 102, Public Law 109-162.

**OBJECTIVES:**

To encourage States, Indian tribal governments, State and local courts (including juvenile courts), tribal courts, and units of local government to treat domestic violence, dating violence, sexual assault, and stalking as serious violations of criminal law.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory program purposes: (1) To implement proarrest programs and policies in police departments, including policies for protection order violations. (2) To develop policies, educational programs, protection order registries, and training in police departments to improve tracking of cases involving domestic violence, dating violence, sexual assault, and stalking. Policies, educational programs, protection order registries, and training described in this paragraph shall incorporate confidentiality, and privacy protections for victims of domestic violence, dating violence, sexual assault, and stalking. (3) To centralize and coordinate police enforcement, prosecution, or judicial responsibility for domestic violence, dating violence, sexual assault, and stalking cases in teams or units of police officers, prosecutors, parole and probation officers, or judges. (4) To coordinate computer tracking systems to ensure communication between police, prosecutors, parole and probation officers, and both criminal and family courts. (5) To strengthen legal advocacy service programs for victims of domestic violence, dating violence, sexual assault, and stalking, including strengthening assistance to such victims in immigration matters. (6) To educate judges in criminal and civil courts (including juvenile courts) about domestic violence, dating violence, sexual assault, and stalking and to improve judicial handling of such cases. (7) To provide technical assistance and computer and other equipment to police departments, prosecutors, courts, and tribal jurisdictions to facilitate the widespread enforcement of protection orders, including interstate enforcement, enforcement between States and tribal jurisdictions, and enforcement between tribal jurisdictions. (8) To develop or strengthen policies and training for police, prosecutors, and the judiciary in recognizing, investigating, and prosecuting instances of domestic violence and sexual assault against older individuals (as defined in section 3002 of this title) and individuals with disabilities (as defined in section 12102(2) of this title). (9) To develop State, tribal, territorial, or local policies, procedures, and protocols for preventing dual arrests and prosecutions in cases of domestic violence, dating violence, sexual assault, and stalking, and to develop effective methods for identifying the pattern and history of abuse that indicates which party is the actual perpetrator of abuse. (10) To plan, develop and establish comprehensive victim service and support centers, such as family justice centers, designed to bring together victim advocates from non-profit, non-governmental victim services organizations, law enforcement officers, prosecutors, probation officers, governmental victim assistants, forensic medical professionals, civil legal attorneys, chaplains, legal advocates, representatives from community-based organizations and other relevant public or private agencies or organizations into one centralized location, in order to improve safety, access to services, and confidentiality for victims and families. Although funds may be used to support the colocation of project partners under this paragraph, funds may not support construction or major renovation expenses or activities that fall outside of the scope of the other statutory purpose areas. (11) To develop and implement policies and training for police, prosecutors, probation and parole officers, and the judiciary in recognizing, investigating, and prosecuting instances of sexual assault, with an emphasis on recognizing the threat to the community for repeat crime perpetration by such individuals. (12) To develop, enhance, and maintain protection order registries. (13) To develop human immunodeficiency virus (HIV) testing programs for sexual assault perpetrators and notification and counseling protocols.

**Applicant Eligibility:**

Grants are available to States, Indian tribal governments, units of local government, and State, tribal, territorial, and local courts.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners, domestic violence, dating violence, sexual assault and stalking victim advocates, and other service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Eligible applicants must: (1) certify that their laws or official policies-- (A) encourage or mandate arrests of domestic violence offenders based on probable

cause that an offense has been committed; and (B) encourage or mandate arrest of domestic violence offenders who violate the terms of a valid and outstanding protection order; (2) demonstrate that their laws, policies, or practices and their training programs discourage dual arrests of offender and victim; (3) certify that their laws, policies, or practices prohibit issuance of mutual restraining orders of protection except in cases where both spouses file a claim and the court makes detailed findings of fact indicating that both spouses acted primarily as aggressors and that neither spouse acted primarily in self-defense; (4) certify that their laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal, or local jurisdiction; and (5) certify that, not later than 3 years after January, 5, 2006, their laws, policies, or practices will ensure that-- (A) no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of a sex offense as defined under Federal, tribal, State, territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense; and (B) the refusal of a victim to submit to an examination described in subparagraph (A) shall not prevent the investigation of the offense. In addition, a State or unit of local government shall not be entitled to 5 percent of the funds allocated under this program unless the State or unit of local government-- (1) certifies that it has a law or regulation that requires-- (A) the State or unit of local government at the request of a victim to administer to a defendant, against whom an information or indictment is presented for a crime in which by force or threat of force the perpetrator compels the victim to engage in sexual activity, testing for the immunodeficiency virus (HIV) not later than 48 hours after the date on which the information or indictment is presented; (B) as soon as practicable notification to the victim, or parent and guardian of the victim, and defendant of the testing results; and (C) follow-up tests for HIV as may be medically appropriate, and that as soon as practicable after each such test the results be made available in accordance with subparagraph (B); or (2) gives the Attorney General assurances that its laws and regulations will be in compliance with requirements of paragraph (1) within the later of -- (A) the period ending on the date on which the next session of the State legislature ends; or (B) 2 years.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of

persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754 .

**Obligations:**

(Grants) FY 07 \$53,319,675; FY 08 est \$43,148,196; and FY 09 est \$30,203,737.

**Range and Average of Financial Assistance:**

\$200,000 to \$1,190,000; \$616,403.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 181, Awards: 96; FY 08: Applications: 170, Awards: 67; FY 09: est. Applications: 170, Awards: 47.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, NW., Washington, DC 20530; Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Community-wide approaches to reduce and prevent domestic violence that actively involve the police department, the prosecutor's office, the courts, and nonprofit, nongovernmental victim services agencies; initiatives within law enforcement to address police officers who batter; the development of computer systems to track domestic violence cases, protection orders, and violations of protection orders; legal advocacy for domestic violence victims; the implementation of pro-arrest or mandatory arrest programs and policies in police departments; and proactive judicial monitoring, sanctions, and intensive supervision to manage offender behavior and ensure victim safety.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

## 16.593 RESIDENTIAL SUBSTANCE ABUSE TREATMENT FOR STATE PRISONERS

(RSAT)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, CORRECTIONS PROGRAM OFFICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Title I, Section 1001, as amended, Public Law 90-351, 42 U.S.C. 3796ff et seq.

**OBJECTIVES:**

To assist States and units of local government develop and implement residential substance abuse treatment programs within State and local correctional facilities in which prisoners are incarcerated for a period of time sufficient to permit substance abuse treatment.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The Residential Substance Abuse Treatment formula grant funds may be used to implement residential substance abuse programs that provide individual and group treatment activities for offenders in residential facilities operated by State and local correctional agencies. These programs must 1) last between 6 and 12 months; 2) be provided in residential treatment facilities set apart from the general correctional population; 3) focus on the substance abuse problems of the inmate; and 4) develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems. Grant funds shall not be used for land acquisition or construction projects.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, and the Northern Mariana Islands are eligible to



apply. The State office may award subgrants to State agencies and units of local government. Applicant States must agree to implement or continue to require urinalysis and/or other proven reliable forms of drug and alcohol testing of individuals assigned to residential substance abuse treatment programs in correctional facilities.

**Beneficiary Eligibility:**

State and local correctional agencies will implement programs to provide treatment to incarcerated offenders.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". Applicants should consult the office or official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance.

**Application Procedure:**

Application Procedure: Immediately after enactment of the appropriations (usually in the first quarter of the fiscal year). BJA notifies the Byrne State Administering Agencies (SAAs) that the program solicitation is available online. The Byrne SAAs then have 60 days in which to submit an application through the online, Internet-based Grants Management System (GMS).

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Consult the Application Kit or contact the Bureau of Justice Assistance in the office of Justice Programs for application deadlines by contacting: Bureau of Justice Assistance, Programs Office, 810 Seventh Street N.W., Washington, DC 20531. Telephone: (202) 514-6638.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Formula grant applicants will be notified in writing of reasons for disapproval of their application and will be given an opportunity for reconsideration.

**Renewals:**

Formula grants will be renewed each year through fiscal year 2000, subject to appropriations.

**Formula and Matching Requirements:**

Grant funds are allocated to the States using the following formula: a) each participating State is allocated a base amount of 0.4 percent of the total funds available for the program; and b) the remaining funds are allocated to each participating State in the ratio its prison population bears to the total prison population of all participating States. The most recent National Prisoner Statistics collected by the Bureau of Justice Statistics will be used to make these allocations. The Federal share of a grant-funded project may not exceed 75 percent of the total costs of the project. The 25 percent matching funds must be in the form of a cash match.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus two additional years.

**Reports:**

Recipients are required to submit Individual Project Reports as subawards are made, quarterly Financial Reports, and an annual Evaluation Report.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$9,872,280; FY 08 \$9,400,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

California received the largest award of \$6,801,978 followed by Texas which received \$6,821,936. The smallest award of \$258,912 went to Northern Mariana Islands.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Timothy Wight, Associate Deputy Director. Telephone: (202) 616-6500.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals to implement State and local residential substance abuse treatment programs for prisoners with formula grant funds will be defined by the States.

## 16.596 CORRECTIONAL GRANT PROGRAM FOR INDIAN TRIBES

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, CORRECTIONS PROGRAMS OFFICE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Section 114, Public Law 104-134; Violent Crime Control and Law Enforcement Act of 1994, Title II, Subtitle A, Public Law 103-322, 105 Stat. 1796, as amended, 42 U.S.C. 13701 et seq.

**OBJECTIVES:**

To assist Indian tribes with the construction of jails on tribal lands for the incarceration of offenders subject to tribal jurisdiction.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Grant Program for Indian Tribes may be used to assist Indian tribes in developing or expanding jail facilities for both adult and juvenile offenders.

**Applicant Eligibility:**

Indian tribes may apply. An Indian tribe is defined as any Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law 103-454, 108 Stat. 4791, and which performs law enforcement functions as determined by the Secretary of the Interior.

**Beneficiary Eligibility:**

Indian tribes may apply. An Indian tribe is defined as any Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law 103-454, 108 Stat. 4791, and which performs law enforcement functions as determined by the Secretary of the Interior.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description of the program, the implementation process, and a timetable for implementation.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Targeted tribes are invited to submit applications for construction of juvenile correctional facilities.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals are subject to appropriation and program priorities.

**Formula and Matching Requirements:**

The Federal share of a grant-funded program may not exceed 90 percent of the total costs of the project.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period of 24 months.

**Reports:**

Semi-annual financial and progress reports are required.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$8,885,052; FY 08 \$8,630,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance Application Kit and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Robert Brown, Senior Policy Advisor. Telephone: (202) 616-6500.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of grants made under the tribal grant program include regional detention centers and tribes on the Bureau of Indian Affairs priority list for new construction.

**CRITERIA FOR SELECTING PROPOSALS:**

Past projects were selected on the basis of need for correctional facility space for tribal youth and demonstrated ability to operate the facilities.

## 16.597 MOTOR VEHICLE THEFT PROTECTION ACT PROGRAM

(Watch Your Car)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, Title XXII, Public Law 103-322, 42 U.S.C 14171 et. seq.

**OBJECTIVES:**

The Motor Vehicle Theft Prevention Act of 1994 (MVTPA) authorizes the Attorney General to develop, in cooperation with the States, a national voluntary motor vehicle theft prevention program. The national "Watch Your Car" program is designed as a cooperative initiative between the States, local governments, and the U.S. Department of Justice, Bureau of Justice Assistance (BJA). It allows owners of motor vehicles to voluntarily display a decal or device on their vehicles to alert police that their vehicle is not normally driven between the hours of 1:00 a.m. and 5:00 a.m. Motorists may also choose to display another decal or device to signify their vehicle is not normally driven across or in the proximity of international land borders or ports.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Federal grant funds may be used for the printing or purchase and distribution of decals, registration and consent forms, public information materials and awareness campaigns, auto glass etching, training programs for law enforcement personnel, registration campaigns, equipment such as audio/visual aids and exhibits, administrative costs, upgrading of computer databases, additional

personnel, travel expenses, and overtime for Watch Your Car activities. No funds shall be used for land acquisition nor may funds be used to supplant State or local funds that would otherwise be made available for such purposes. There is no matching requirement.

**Applicant Eligibility:**

A State may apply on behalf of itself and its respective units of local government. If a State's chief motor vehicle theft prevention activities are currently administered by a local agency rather than a State agency, then the local agency may apply on behalf of itself and the other local jurisdictions. Applications are submitted by the point of contact of the State or unit of local government, in writing, and in accordance with established BJA application guidelines.

**Beneficiary Eligibility:**

Eligible beneficiaries include State agencies, county and municipal police departments, crime prevention organizations, and the general public.

**Credentials/Documentation:**

Applicants should submit the original copy of the Standard Form 424, signed by the project point of contact to the Bureau of Justice Assistance, U.S. Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Applicants should submit a complete line item budget and accompanying detailed budget narrative that explains all costs for which Watch Your Car funding is requested and provides sufficient information to document how costs were derived. Finally, applicants should develop an implementation plan to identify the steps they will take to implement the program along with a schedule for the completion of each step.

**Preapplication Coordination:**

Presently, no program notices will be announced, nor will any awards be made until a programmatic assessment is completed by the National Institute of Justice (NIJ). Applicants also may contact the Department of Justice Response Center in Washington, DC. Telephone: (800) 421-6770 or (202) 307-1480 to obtain a copy. The standard application form as furnished by the Office of Justice Programs (OJP), in accordance with 28, CFR Part 66 (Common Rule), must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application guidelines and forms are available by contacting the Department of Justice Response Center as noted above. This application procedure has been on hold since February 2002.

**Award Procedure:**

An award must be accepted by the applicant agency or institution according to the special conditions of the grant.

**Deadlines:**

Contact the Department of Justice Response Center for application deadlines.

Both the program announcement published in the Federal Register along with the Bureau of Justice Assistance motor vehicle theft prevention program announcement will note the application deadline.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Determined by the Director of the Bureau of Justice Assistance.

**Renewals:**

Awards will be for periods of up to 24 months.

**Formula and Matching Requirements:**

Grants will be made for amounts up to 100 percent of the costs of the program or projects contained in the approved application. There is no cash match required of grant recipients.

**Length and Time Phasing of Assistance:**

Varies, generally one fiscal year.

**Reports:**

"Fiscal Reports", which consist of quarterly budget expenditure reports and "Progress Reports" which consist of semi-annual program progress reports and final financial and progress reports.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

All grantees are required to establish and maintain accounting systems and financial records in order to account for funds awarded to them.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 06 \$ estimate not available; FY 07 \$ estimate not available; and FY 08 estimate not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

16 States were implementing the program. BJA held a conference for grantees on auto theft prevention.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

The Department of Justice Response Center. Telephone: (800) 421-6770 or (202) 307-1480.

**Headquarters Office:**

James Burch, Deputy Director, Bureau of Justice Assistance, 810 Seventh Street, N.W., Department of Justice, Washington, DC 20531. Telephone: (202) 616-6500.

**Web Site Address:**

[www.usdoj.gov/bja](http://www.usdoj.gov/bja).

**RELATED PROGRAMS:**

16.579, Edward Byrne Memorial Formula Grant Program; 16.580, Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program.

**EXAMPLES OF FUNDED PROJECTS:**

During fiscal year 1998, awards were made to Alabama, Connecticut, Massachusetts, Minnesota, North Carolina and the Virgin Islands. During fiscal year 1999, awards were made to Colorado, Delaware, Tennessee, and the State of Washington. In Fiscal Year 2000, funds were provided to Arizona, Colorado, Connecticut, Delaware, Maryland, Massachusetts, Minnesota, New York, Tennessee, Utah, Virgin Islands, Washington, DC, and Washington.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the Watch Your Car Program Announcement.

**16.601 CORRECTIONS-TRAINING AND STAFF DEVELOPMENT**

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF CORRECTIONS, FEDERAL PRISONS SYSTEM, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, as amended; Public Law 93-415, 18 U.S.C. 4351-4353.

**OBJECTIVES:**

To devise and conduct in various geographical locations, seminars, workshops, and training programs for law enforcement officers, judges and judicial personnel, probation and parole personnel, correctional personnel, welfare workers and other personnel, including lay ex-offenders and paraprofessionals, connected with the treatment and rehabilitation of criminal and juvenile offenders. To develop technical training teams to aid in the development of seminars, workshops, and training programs within the several States and with the State and local agencies which work with prisoners, parolees, probationers, and other offenders.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Project Grants (Contracts); Provision of Specialized Services; Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

Provides assistance for upgrading the operation of correctional programs at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**Applicant Eligibility:**

States, general units of local government, as well as public and private agencies, educational institutions, organizations, and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:**

States, general units of local government involved in the development, implementation or operation of correctional programs and services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 cost principles for educational institutions; and OMB Circular No. A-122 cost principles for nonprofit organizations.

**Preapplication Coordination:**

When applying for cooperative agreements, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and OMB Circular No. A-110 (as applicable) must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For cooperative agreements, applicant submits proposal on Standard Form 424 - Federal Assistance. This program is subject to the provisions of OMB Circular Nos. A-102, A-110, A-133, and A-128. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental

Policy Act of 1969.

**Award Procedure:**

A formal application (Standard Form 424-Federal Assistance) is submitted to NIC. When it is determined that the project will be funded, a letter and award package are sent to the award recipient.

**Deadlines:**

Deadlines for applications are given in the announcement of the project in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Appeals may be made to the Director of NIC.

**Renewals:**

Continuation cooperative agreements.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds advanced as required.

**Reports:**

Monthly and quarterly financial reports, quarterly programmatic progress reports, and final evaluation and financial reports.

**Audits:**

Full fiscal and program audits at close of cooperative agreement and on-site inspections as needed throughout the project.

**Records:**

Cooperative agreement recipients must keep complete records on receipt and disposition of federal funds for at least 3 years after the submission of the final financial report.

**Account Identification:**

15-1060-0-1-754.

**Obligations:**

(Cooperative agreements and contracts) FY 07 \$7,219,268; FY 08 est \$6,500,000; and; FY 09 est \$7,200,000.

**Range and Average of Financial Assistance:**

\$1,500 to \$300,000; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Over 63,000 practitioners in adult corrections were provided training through NIC activities (Including Video Conference and E-Learning) during fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Institute of Corrections Annual Program Plan. National Institute of Corrections: Financial Management Guidelines for Grantees. National Institute of Corrections Guideline Manual; Instructions for Applying for Federal Assistance.

**Regional or Local Office:**

For training information, contact Chief, NIC Academy Division, 791 N. Chambers RD, Aurora, CO 80011. Telephone: (303) 365-4400. Toll-Free: (800) 995-6429. Fax: (303) 365-4455. NOTE: All applications are to be sent to the NIC Washington office.

**Headquarters Office:**

National Institute of Corrections, 320 First Street N.W., Room 5007, Washington, DC 20534. Telephone: (202) 307-3106. Toll-Free: (800) 995-6423. Fax: (202) 307-3361.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.602, Corrections\_Research and Evaluation and Policy Formulation; 16.603, Corrections\_Technical Assistance/Clearinghouse.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Training for correctional agency trainers; (2) strategic management training for high-level correctional administrators; (3) management training for managers of community residential centers; institutions; and (4) management training for jail administrators and sheriffs.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relatedness of proposed project to agency's mission, mandates, and program focuses; (2) quality and feasibility of project goals and objectives, design, implementation plan, and evaluation component when applicable; (3) past experience, qualifications, and capability of applicant to perform the proposed project; and (4) appropriateness of cost to perform proposed tasks.

**16.602 CORRECTIONS-RESEARCH AND EVALUATION AND POLICY FORMULATION**

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF CORRECTIONS, FEDERAL PRISONS SYSTEM, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, as amended; Public Law 93-415, 18 U.S.C. 4351-4353.

**OBJECTIVES:**



To conduct, encourage, and coordinate research relating to corrections including the causes, prevention, diagnosis, and treatment of criminal offenders. To conduct evaluation programs which study the effectiveness of new approaches, techniques, systems, programs, and devices employed to improve the corrections system.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Provides assistance for upgrading correctional programs, services, and techniques at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**Applicant Eligibility:**

States, general units of local government, public and private agencies, educational institutions, organizations and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:**

States, general units of local government involved in the development, implementation or operation of correctional programs and services.

**Credentials/Documentation:**

OMB Circular No. A-87 cost principles applicable to grants with State and local governments; OMB Circular No. A-21 cost principles for educational institutions; and OMB Circular No. A-122 cost principles for nonprofit organizations.

**Preapplication Coordination:**

When applying for grants, the standard application forms as furnished by the Federal agency and required by OMB Circular Nos. A-102 (as applicable) must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance. This program is subject to the provisions of OMB Circular Nos. A-102, and A-110, A-128, and A-133. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

A formal application (Standard Form 424 - Federal Assistance) is submitted to NIC. When it is determined that the project will be funded, a letter and award package are sent to the grantee.

**Deadlines:**

Deadlines for applications are given by project in agency's Annual Program Plan document.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Appeals may be made to the Director of NIC.

**Renewals:**

Continuation grant.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds advanced as required.

**Reports:**

Monthly and quarterly financial reports, quarterly programmatic progress reports, and final evaluation and financial reports.

**Audits:**

Full fiscal and program audits at close of grant and on-site inspections as needed throughout the project period.

**Records:**

Grantee must keep complete records on receipt and disposition of federal funds for at least 3 years after the submission of the final financial report.

**Account Identification:**

15-1060-0-1-754.

**Obligations:**

(Cooperative Agreements and Contracts) FY 07 \$3,238,211; FY 08 est \$3,238,000; and FY 09 est \$3,238,000.

**Range and Average of Financial Assistance:**

\$1,500 to \$200,000; \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal year 2007 funds were largely directed to the design and implementation of classification systems at the State and local levels; projects in probation parole and intermediate sanctions; mental health care, Prison Rape Elimination Act (PREA), accelerated management, training, and staff recruitment/retention in prisons; and jail services and programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Institute of Corrections Annual Program Plan. National Institute of Corrections: Financial Management Guidelines for Grantees. National Institute

of Corrections Guideline Manual: Instructions for Applying for Federal Assistance.

**Regional or Local Office:**

Contact Chief, Research and Evaluation Division, 320 First Street NW Room 5007, Washington, DC 20534. Telephone: (202) 307-2598. Toll-free: 800-995-6423. FAX: 303-307-3361. NOTE: All applications are to be sent to the NIC Washington office.

**Headquarters Office:**

National Institute of Corrections, 320 First Street NW., Room 5007, Washington, DC 20534. Telephone: (202) 307- 3106. Toll-free: 800-995-6423. FAX: 202-307-3361. TDD: 202-307-3156.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.601, Corrections\_Training and Staff Development; 16.603, Corrections\_Technical Assistance/Clearinghouse.

**EXAMPLES OF FUNDED PROJECTS:**

Awards have been made: (1) to research and develop an information base on classification systems and methods being used in corrections; (2) to design and implement community corrections options; and (3) to conduct communications audits in State departments of corrections.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relatedness of proposed project to agency's mission, mandates, and program focuses; (2) quality and feasibility of project goals and objectives, design, implementation plan, and evaluation component when applicable; (3) past experience, qualifications, and capability of applicant to perform the proposed project; and (4) appropriateness of cost to perform proposed tasks.

**16.603 CORRECTIONS-TECHNICAL ASSISTANCE/CLEARINGHOUSE**

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF CORRECTIONS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, Public Law 93-415, 18 U.S.C. 4351-4353, as amended.

**OBJECTIVES:**

To encourage and assist Federal, State, and local government programs and services, and programs and services of other public and private agencies, institutions, and organizations in their efforts to develop and implement improved corrections programs. To assist and serve in a consulting capacity to Federal, State, and local courts, departments, and agencies in the development, maintenance, and coordination of programs, facilities, services, training, treatment, and rehabilitation with respect to criminal and juvenile offenders.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Provision of Specialized Services; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Provides assistance for upgrading and operation of correctional facilities, programs, and services at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**Applicant Eligibility:**

States, general units of local government, public and private agencies, educational institutions, organizations, and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:**

States, general units of local government involved in the development, implementation or operation of correctional programs and services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 cost principles for educational institutions; and OMB Circular No. A-122 cost principles for nonprofit organizations.

**Preapplication Coordination:**

When applying for grants, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance. Applications under this program are subject to State Level Review under E.O. 12372 "Intergovernmental Review of Federal programs" which provides for a 30 or 60 day review of proposed Federal action and transmittal of comments through a Single State Point of Contact. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circular Nos. A-102, A-110, A-133. Environmental assessment is required for federally funded projects that are a

major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969.

**Award Procedure:**

A formal application (Standards Form 424 - Federal Assistance) is submitted to NIC. When it is determined that the project will be funded, a letter and award package are sent to the grantee.

**Deadlines:**

Deadlines for applications are given by project in agency's Annual Program Plan Document. Agency requests for technical assistance are accepted throughout the year.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Appeals may be made to the Director of NIC.

**Renewals:**

Continuation grant.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds advanced as required.

**Reports:**

Monthly and quarterly financial reports, quarterly programmatic progress reports, and final evaluation and financial reports.

**Audits:**

Full fiscal and program audits at close of grant and on-site inspections as needed throughout the grant.

**Records:**

Grantee must keep complete records on receipt and disposition of federal funds for at least 3 years after the submission of the final financial report.

**Account Identification:**

15-1060-0-1-754.

**Obligations:**

(Cooperative Agreements and Contracts) FY 07 \$4,095,086; FY 08 est \$4,000,000; and FY 09 est \$4,000,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$100,000; \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, technical assistance was provided in response to 252 requests from State and local correctional agencies in 50 States and the District of Columbia. NIC (Cooperative Agreements and Contracts) are available also to enable correctional agencies to engage technical assistance directly.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Institute of Corrections Annual Program Plan. National Institute of Corrections: Financial Management Guidelines for Grantees. National Institute of Corrections Guideline Manual: Instructions for Applying for Federal Assistance.

**Regional or Local Office:**

For jail-related information, contact Chief NIC Jails Division, 320 First Street NW Room 5007, Washington DC 20534. Telephone: (202)307-5811 Toll-Free (800) 995-6423 FAX: (202)-307-3361 For technical assistance related to staff training, contact Chief NIC Academy Division, 791 N. Chambers RD, Aurora, CO 80011. Telephone: (303) 365-4400. Toll-free: (800)995-6429. FAX: (303) 365-4455. NOTE: All applications are to be sent to the NIC Washington office.

**Headquarters Office:**

Technical Assistance Coordinator, (for Prisons or Community Corrections) National Institute of Corrections, 320 First Street NW., Room 5007 Washington, DC 20534. Telephone: (202)307-3106. Toll-free: 800-995-6423. FAX: (202)307-3361. TDD: (202)307-3156.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.601, Corrections Training and Staff Development; 16.602, Corrections Research and Evaluation and Policy Formulation.

**EXAMPLES OF FUNDED PROJECTS:**

(1) grants to jails to improve jail operations, programs and services; (2) grants to correctional agencies to evaluate offender classification systems; (3) grants to correctional agencies to improve programs and services for female offenders; (4) contracts to individuals to provide specialized assistance to correctional agencies, (5) grants to probation and parole agencies to improve decision making and revocation process; and (6) grants to local jurisdictions to develop a range of community sanctions.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relatedness of proposed project to agency's mission, mandates, and program focuses; (2) quality and feasibility of project goals and objectives, design, implementation plan and evaluation component when applicable; (3) past experience, qualifications, and capability of applicant to perform the proposed project; and (4) appropriateness of cost to perform proposed tasks.

## 16.606 STATE CRIMINAL ALIEN ASSISTANCE PROGRAM

(SCAAP)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Appropriations Act, Public Law 106-113, Division B, Section 1000(a); Immigration and Nationality Act, 8 U.S.C. 1252, Section 242 as Amended; Title II, subtitle C, Section 20301; Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322.

**OBJECTIVES:**

The State Criminal Alien Assistance Program (SCAAP) is a payment program designed to provide federal assistance to states and localities that incur costs for incarcerating undocumented criminal aliens who are being held as a result of state and/or local charges or convictions. BJA administers this program in conjunction with the Department of Homeland Security's (DHS) Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services branches.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

The Department of Justice Reauthorization Act of 2005 (Public Law 109-162, Title XI) included the following requirement regarding the use of SCAAP funds: "Amounts appropriated pursuant to the authorization of appropriations in paragraph (5) that are distributed to a State or political subdivision of a State, including a municipality, may be used only for correctional purposes." Beginning with FY 2007 SCAAP awards, all funds must be used for correctional purposes only. To be eligible for reporting, inmates must have been convicted of a felony or second misdemeanor for violations of state or local law, and housed in the applicant's state or local correctional facility for 4 or more consecutive days during the reporting period. Once a person meets these criteria, all pre-trial and post-conviction time served from July 1, 2005 through June 30, 2006 may be included in the FY 2007 application. Salary information reported in the SCAAP application must reflect the total salaries and wages paid to full and part-time correctional officers and others who meet the SCAAP definition. See the FY 2007 SCAAP Guidelines at [http://www.ojp.usdoj.gov/BJA/grant/2007\\_SCAAP\\_Guidelines.pdf](http://www.ojp.usdoj.gov/BJA/grant/2007_SCAAP_Guidelines.pdf).

**Applicant Eligibility:**

Eligible applicants include States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and localities or local jurisdictions exercising authority with respect to the incarceration of an undocumented criminal alien. This covers state prison facilities (including those housing juveniles convicted as adults of felony offenses or two or more misdemeanors) and local jails, whether operated by counties or cities. Applicants are generally State and units of local government. Note: Only one application is accepted from each separate political division (i.e., State, county, city).

**Beneficiary Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and localities or local jurisdictions.

**Credentials/Documentation:**

Applicants who are seeking funding must complete an electronic application form via the Office of Justice Programs Grant Management System (GMS). The authorized official certifies compliance with all SCAAP requirements, including that: the applicant has been authorized by the Chief Executive Officer of the applicable unit of government; the inmate identifiers required have been submitted to BJA in the proper format(s) for the Department of Homeland Security's (DHS) Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services verification within the prescribed deadlines; all inmates counted by the applicant have been convicted of either a felony or two misdemeanor offenses under the applicant's law; and, only salary costs for corrections officers were included in the Total Salary Costs. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically.

**Preapplication Coordination:**

No formal preapplication coordination is required. While informal preapplication coordination is not required, it is encouraged that applicants coordinate with any facilities for which they have responsibility to detain or incarcerate undocumented criminal aliens. This program is excluded from coverage under E.O. 12372 "Intergovernmental Review of Federal Programs."

**Application Procedure:**

SCAAP applications are administered via the Office of Justice Programs Internet-based Grants Management System. Inmate data, including the proper inmate identifiers, may either be manually key-stroked into the on-line application system, or submitted on-line by electronically attaching the applicable portions of their inmate databases. Awards are announced after the Department of Homeland Security's (DHS) Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services inmate

verification process is done. Technical assistance is available to applicants for preparation of the on-line application process by calling the OJP Grants Management System Hotline at 1-888-549-9901.

**Award Procedure:**

The final payment process requires that all applications and all data be fully processed and verified before any payments are made. Inmate data will be verified by the Department of Homeland Security's (DHS) Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services. They will attempt to match the inmate data records provided to records in its databases to obtain the maximum number of confirmed matches. These matches are expected to include three categories: 1) those positively identified (matched) as qualifying undocumented criminal aliens; 2) those unknowns and 3) those positively identified as non criminal aliens. Applicants will be given credit for a percentage of inmates whose eligibility cannot be determined through positive identification or "match," but have valid foreign countries of birth. Payments will be based on the days of incarceration for the verified number of aliens incarcerated by each applicant. Payments are granted by the Director of the Bureau of Justice Assistance, Office of Justice Programs, Department of Justice. The payment must be accepted on-line and the acceptance will effect a simultaneous assurance of compliance with conditions. Acceptance of the payment online initiates the automatic electronic transfer of funds from OJP to the recipient.

**Deadlines:**

Varies annually. See current solicitation.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

If additional funding for the State Criminal Alien Assistance Program is allocated by Congress, applications can be submitted annually.

**Formula and Matching Requirements:**

This program has no statutory formula. Payments are based on the days of incarceration for the verified number of aliens incarcerated by each applicant and cost considerations which are used to determine relative percentage of total available funding each applicant is eligible to receive.

**Length and Time Phasing of Assistance:**

Payments are made within 90 days of application end date.

**Reports:**

No reports are required under this payment program.

**Audits:**

Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment process. Receipt of SCAAP payments is considered in establishing the requirement for an audit under the Single Audit Act. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, a copy of the inmate records submission, and all other records pertinent to a grant shall be retained for a period of at least three years following the closeout of the grant.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$399,827,340; FY 08 \$410,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

This program has assisted states and localities which have requested assistance in defraying the cost incurred for the imprisonment of undocumented criminal aliens, resulting in more than \$4 billion in SCAAP funds being distributed to over 660 unique jurisdictions in the last 9 years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide and the State Criminal Alien Assistance Program Guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

State Criminal Alien Assistance Program, Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Linda Hammond-Deckard. Telephone: (202) 616-6500 or (1-866) 859-2687.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja/grant/scaap.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards will be made on a pro rata share of the applicants' relative costs of incarceration for its qualifying alien prisoners, based on total days of incarceration for qualifying undocumented criminal aliens and the applicant's per diem salary cost as calculated using the total salary cost and total days of incarceration for all inmates, as submitted by each applicant.

**16.607 BULLETPROOF VEST PARTNERSHIP PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Bulletproof Vest Partnership Grant Act of 1998, Public Law 105-181, June 16, 1998, and Bulletproof Vest Program Act of 2000, Public Law 106-517. Consolidated Appropriations Act, 2008, P.L. 110-161.

**OBJECTIVES:**

To protect the lives of law enforcement officers by helping State, local, and tribal law enforcement agencies provide officers with armored vests.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The program pays up to 50 percent of the total cost of each vest order. Total cost includes the cost of the vests, vest carriers, attachments, inserts, and covers considered integral or essential for its proper care, use, and wearability, shipping, handling, fitting charges, and applicable taxes. The total invoiced price, after all vendor and prompt payment discounts have been deducted, is what the Bureau of Justice Assistance (BJA) uses to determine the Federal match. This program only allows the purchase of body armor that has been tested and found to comply with applicable ballistic and stab standards promulgated by the National Institute of Justice's (NIJ) Standard 0101.03 Ballistic Resistance of Police Body Armor. In FY 2001, this program allowed the purchase of stab-resistant body armor.

**Applicant Eligibility:**

Only chief executives of jurisdictions (or their designees) may apply for funds. Jurisdictions are defined as general purpose units of local government (e.g., cities, towns, townships, boroughs, counties, etc.), Federally-recognized Indian tribes, the 50 State governments, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The chief executive of the jurisdiction registers on-line, submits the jurisdiction application, and requests payment for completed vest orders.

**Beneficiary Eligibility:**

Only law enforcement officers may receive vests through this program. According to the Act, "law enforcement officer" means any officer, agent, or employee of a State, unit of local government, or an Indian tribe authorized by law or by a government agency to engage in or supervise the prevention, detection, or investigation of any violation of criminal law, or authorized by law to supervise sentenced criminal offenders. Eligible officers may be full-time, part-time, paid or volunteer.

**Credentials/Documentation:**

Eligible jurisdictions must be general purpose units of local government, Federally-recognized Indian tribes, the 50 state governments, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The validity of the on-line registration process is verified through independent reviews which may include certification by the banking institutions serving the jurisdiction, the U.S. Census Bureau, and agencies within the U.S. Department of Justice.

**Preapplication Coordination:**

This is an Internet-based program. The jurisdiction is required to complete and submit an on-line registration form, providing information about the jurisdiction's chief executive officer, program contact person, and electronic banking information. The registration process is handled through the program's web site <http://vests.ojp.gov>. For jurisdictions without Internet capability, other means of registration are available. Only those jurisdictions with approved registrations are permitted to make application. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The jurisdiction submits the application to BJA via the Internet web site <http://vests.ojp.gov>. On-line instructions guide the jurisdiction through the application process. Law enforcement agencies or agencies with law enforcement functions which meet the Act's definition, will assist in completing the jurisdiction's on-line application by indicating the types, numbers, and costs of vests they intend to order. For jurisdictions and/or agencies without Internet capability, other means of application are available. Only those jurisdictions that complete and submit applications will be eligible for matching funds from



BJA.

**Award Procedure:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements. Each application is then checked against the availability of funds to cover up to 50 percent of the application's total cost, in keeping with established criteria for program fund allocation. When all checks are complete and the application approved, the jurisdiction is notified through e-mail that the necessary funds have been obligated.

**Deadlines:**

Jurisdictions are permitted to apply only once per Federal fiscal year.

**Range of Approval/Disapproval Time:**

A minimum of 15 working days may be required for complete registration validation, although jurisdictions and law enforcement agencies will have immediate access to certain program components during this validation process. A minimum of 20 working days may be required after the program closes for approval of the jurisdiction's application for funding. A minimum of 25 working days may be required for the electronic transfer of funds from the U.S. Treasury to the jurisdiction's bank account, once the request for funds has been received, reviewed, and approved by the Office of Justice Programs.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The program requires that each applicant jurisdiction be responsible for providing at least 50 percent of the cost of each vest purchased. Tribal governments may use Federal funds to provide this match; all other jurisdictions must use nonfederal match funds. Nonfederal fund sources include State and/or local jurisdiction revenues, private or personal funds, and contributions from insurance or workman's compensation consortiums. Asset forfeiture funds may also be used to meet the jurisdiction's matching requirement. Beginning in FY 2002, changes (Bulletproof Vest Partnership Act of 2000) (Public Law 106-517) gives preference to small jurisdictions (those populations below 100,000) guaranteeing them the full 50 percent match payment before payments are calculated and approved for larger jurisdictions.

**Length and Time Phasing of Assistance:**

Jurisdictions with approved applications must request the federal match no later than September 30th of the fourth federal fiscal year following the end of the federal fiscal year in which their application was approved. In other words, the jurisdiction has four years beyond the year of their application to request payments for vests contained in that application. Payments of the federal match will be made whenever the jurisdiction indicates that at least part of the approved vest order was received and invoiced.

**Reports:**

None.

**Audits:**

Payments and transactions are subject to audits by the General Accounting Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local procurement policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least three years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$26,616,840; FY 08 \$23,970,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

This program approved 5,129 applications from states, territories, municipalities and tribal governments. These applications are expected to result in the purchase of approximately 190,000 vests. BJA experiences over a 4 year period of program operations show that system design, technology and hardware adequately supported the program. The technical support help desk successfully fielded thousands of calls and e-mail inquiries from participants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Final Rule, Federal Register, September 23, 1998 (Volume 63, Number 184), Internet web site <http://vests.ojp.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, 4th floor, 810 7th Street, N.W., Washington, DC,

20531. Contact: Linda Hammond-Deckard, Telephone: (202) 616-6500, Fax: (202) 616-0314, E-mail: [askbja@ojp.usdoj.gov/bja](mailto:askbja@ojp.usdoj.gov/bja). Justice Response Center. Telephone: 1-800-421-6770. Vest Technical Support Help Desk. Telephone: (1-877) 758-3787.

**Web Site Address:**

[www.usdoj.gov/bja](http://www.usdoj.gov/bja) and [vests.ojp.gov](http://vests.ojp.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.608 TRIBAL COURT ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, P.L. 110-161.

**OBJECTIVES:**

To assist tribal governments in the development, enhancement, and continuing operation of tribal judicial systems, including inter-tribal court systems.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Planning grants are designed to help tribal governments without tribal judicial systems develop a strategy and implementation plan. Tribes must establish a development team that will guide the development of partnerships and identify local community priorities for the new court. Implementation/enhancement grants are designed to establish a core structure for a tribal court based upon a formal plan, or enhance continuing tribal court personnel, acquiring additional equipment, enhancing prosecution and indigent defense, and other related activities.

**Applicant Eligibility:**

Federally recognized Indian Tribal governments are eligible to apply for and receive funds under this program. Tribes that received FY 2006 or FY 2007 funding are not eligible to apply for a FY 2008 grant.

**Beneficiary Eligibility:**

Indian Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 C.F.R., Part 225 for State, local and tribal governments.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by the Common Rule, must be used for this program. Awards through this program will be competitive, based upon the extent and urgency of the need of each applicant.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

The program solicitation contains application deadlines.

**Range of Approval/Disapproval Time:**

Normally, 90 days after receipt of applications.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Any further grant awards are dependant on further tribal court funding and a competitive process.

**Formula and Matching Requirements:**

Grant may be made for amounts up to 100 per cent of the costs of the program or projects contained in the approved applications.

**Length and Time Phasing of Assistance:**

Generally, up to 18 months.

**Reports:**

Unless otherwise specified in the award's special conditions, financial reports are due quarterly and progress reports are due semi-annually; in some cases, evaluation reports may be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that

year. Nonfederal entities that expend less than \$500,000 a year in Federal awards as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$7,897,824; FY 08 \$8,630,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

CATEGORY I: PLANNING AND IMPLEMENTING AN INTERTRIBAL COURT SYSTEM FOR SMALLER POPULATIONS. Grant maximum: \$200,000. CATEGORY II: PLANNING AND IMPLEMENTING A SINGLE-TRIBE COURT SYSTEM. Grant maximum: \$200,000. CATEGORY III: ENHANCING OR CONTINUING THE OPERATION OF TRIBAL COURTS: Grant maximum: \$150,000 to \$175,000.

**PROGRAM ACCOMPLISHMENTS:**

Congress appropriated approximately \$7.982 million to continue the tribal court initiative. BJA issued a competitive solicitation announcement calling for potential grantees to submit concept papers. Applications submitted will request funding under one of two categories: (1) planning for development of tribal courts; and (2) the implementation, enhancement, and continuing operation of tribal courts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide and Handbook 4500.2c, Policies and Procedure for the Administration of OJP Grants, are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Robert Brown, Sr. Policy Advisor. Telephone: (202) 616-6500 or (1-866) 859-2687 or E-mail: AskBJA@usdoj.gov.

**Web Site Address:**

www.ojp.usdoj.gov/bja.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 16.609 COMMUNITY PROSECUTION AND PROJECT SAFE NEIGHBORHOODS

(Community Prosecution Program)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title I; 42 U.S.C. 50 et seq.; Crime Control Act of 1990, Public Law 101-647; Appropriations Act of 2001, Public Law 106-553; Appropriations Act of 2002, Public Law 107-77. Appropriations Act of 2003, 2004, 2006.

**OBJECTIVES:**

Project Safe Neighborhoods (PSN) is a nationwide commitment and a comprehensive, strategic approach to reducing gun crime in America by networking existing local programs that target gun crime and providing those programs with additional tools.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Community Prosecution program focuses on problem solving, strategic planning, and working in partnership with the community to prevent crime and violence and improve public safety. The Community Gun Violence Prosecution program allocates resources directly to chief prosecutors across the country to improve the long-term ability of prosecution agencies to more fully address the issue of firearm-related violent crime within their jurisdictions. Project Safe Neighborhoods is a new national strategy designed to remove gun wielding criminals from the streets and local neighborhoods. In addition to hiring new state and local prosecutors, the funds will be available to support investigations, provide training, develop and promote community outreach efforts, and improve

public safety by supporting other gun crime reduction strategies.

**Applicant Eligibility:**

A PSN Task Force has been established in each of the 94 U.S. Attorney Districts. Each task force selects a fiscal agent to apply for this program. Eligible fiscal agents include states, units of local government, educational institutions, faith-based and other community organizations, and private nonprofit organizations.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, Indian Tribal government, prosecutor offices.

**Credentials/Documentation:**

Eligible applicants must be certified by the U.S. Attorney's Office.

**Preapplication Coordination:**

The Project Safe Neighborhoods program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in their respective states for more information on the process the state requires to be followed in applying for assistance.

**Application Procedure:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. The application procedure and time lines will be contained in the program solicitation. Applications must be submitted on-line at the Office of Justice Programs, Grant Management System: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

The Project Safe Neighborhoods program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in their respective states for more information on the process the state requires to be followed in applying for assistance.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, for application deadline. Telephone: 1 (866) 859-2687 or by e-mail: AskBJA@usdoj.gov. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Range of Approval/Disapproval Time:**

120 days after receipt of applications.

**Appeals:**

None.

**Renewals:**

Contingent upon congressional funding.

**Formula and Matching Requirements:**

Grants may be made for amounts up to 100 per cent of the costs of the programs or projects contained in the approved applications. Districts may use up to 10 percent of their award for costs associated with administering the funds.

**Length and Time Phasing of Assistance:**

Varies. 24 to 36 months.

**Reports:**

Unless otherwise specified in the awards special conditions, financial reports are due quarterly and progress reports are due semi-annually. In some cases, evaluation reports may be required.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least three years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$21,000,000; FY 08 \$20,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Prior awards have ranged from approximately \$200,000 to \$1,100,000.

**PROGRAM ACCOMPLISHMENTS:**

See web site for current program updates. Bureau of Justice Assistance:

<http://www.ojp.usdoj.gov/BJA/grant/psn.html>; Project Safe Neighborhoods: <http://www.psn.gov/>.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide and Handbook 4500.2c, Policies and Procedure for the Administration of OJP Grants, are applicable.

#### **Regional or Local Office:**

The Project Safe Neighborhoods program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in their respective states for more information on the process the state requires to be followed in applying for assistance.

#### **Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Contact: Jonathan Faley or Dara Schulman. Telephone: (202) 616-6500 or 1-866-859-2687 or by email at [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

#### **Web Site Address:**

Bureau of Justice Assistance: <http://www.ojp.usdoj.gov/BJA/grant/psn.html>  
Project Safe Neighborhoods: <http://www.psn.gov/>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Project Summaries: <http://www.ojp.usdoj.gov/BJA/grant/04PSNsummary.pdf>.

#### **CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants, criteria for selecting proposals is contained within the individual program solicitations. For non-competitive grants, applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

## **16.610 REGIONAL INFORMATION SHARING SYSTEMS**

(RISS)

#### **FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351; 42 U.S.C. 3796h.

#### **OBJECTIVES:**

To enhance the ability of the state and local criminal justice agencies to identify, target, and remove criminal conspiracies and activities that span jurisdictional boundaries. The first objective of the Regional Information Sharing Systems Program (RISS) is to encourage and facilitate the rapid exchange and sharing of information among federal, state, and local law enforcement agencies pertaining to known or suspected terrorist, or criminal activity. The second objective is to enhance coordination and communication among agencies that are in pursuit of criminal conspiracies determined to be interjurisdictional in nature. In addition, the RISS Program may provide technical and financial resources to member agencies, such as specialized equipment, training, and investigative funds, to augment existing multijurisdictional enforcement resources and operations.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Up to 100 percent of total project grant costs are funded through Federal assistance. Cost-sharing is governed by Appropriation Act requirements. However, projects are encouraged to obtain and utilize additional funds through voluntary contributions, membership fees or dues, fees for service, or other sources from member agencies or governmental units benefiting from project services. Such funds will be considered program income and must be used to augment project operations or to reduce the Federal share of project costs.

#### **Applicant Eligibility:**

Six RISS projects are authorized as eligible to receive funding to provide services to law enforcement agencies throughout the nation. The projects are: The Middle Atlantic Great-Lakes Organized Crime Law Enforcement Center (MAGLOCLLEN), the Mid-States Organized Crime Information Center (MOCIC), the New England State Police Information Network (NESPIN), the Regional Organized Crime Information Center (ROCIC), the Rocky Mountain Information Network (RMIN), and the Western States Information Network (WSIN).

#### **Beneficiary Eligibility:**

State and local criminal justice agencies; Federal, State, and local law enforcement agencies and personnel benefit from this program.

#### **Credentials/Documentation:**

The six RISS projects are required to submit a Federal application for assistance, as well as a detailed program and budget narrative.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in their respective states for more

information on the process the state requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

#### **Application Procedure:**

The standard application forms furnished by the Federal agency and required by the Common Rule, must be used for this program.

#### **Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements.

#### **Deadlines:**

Contact the Bureau of Justice Assistance for application deadlines.

#### **Range of Approval/Disapproval Time:**

About 90 days prior to the expiration of the project's current active grant.

#### **Appeals:**

None.

#### **Renewals:**

A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

#### **Formula and Matching Requirements:**

Projects are awarded 100 percent of the project costs and no match is required.

#### **Length and Time Phasing of Assistance:**

Awards are made for a period of 12 months.

#### **Reports:**

Reporting requirements for grants/projects awarded under the RISS Program are articulated in the OJP Financial Guide, as well as the Funding and Administration Guidelines of the Regional Information Sharing Systems (RISS) Program Guide.

#### **Audits:**

Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

#### **Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

15-0401-0-1-754.

#### **Obligations:**

FY 07 \$39,719,145; FY 08 \$40,000,000; and FY 09 est not available.

#### **Range and Average of Financial Assistance:**

\$25 million to be divided among the six RISS projects. (Note: May want to tie this dollar amount to a specific fiscal year since amount will fluctuate from year-to-year).

#### **PROGRAM ACCOMPLISHMENTS:**

See web site for current information. Regional Information Sharing Systems: <http://www.rissinfo.com/> RISS/ATIX: <http://www.rissinfo.com/rissatix.htm> <http://www.iir.com/riss/>.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of Justice Programs, Office of the Comptroller; BJA's Funding and Administration Guidelines of the Regional Information Sharing Systems Program, and The Criminal Intelligence Systems Operating Policies (28 CFR Part 23).

#### **Regional or Local Office:**

See <http://www.iir.com/riss/> for the six regions.

#### **Headquarters Office:**

Patrick McCreary, Assoc. Deputy Director, Bureau of Justice Assistance, Fourth Floor, 810 Seventh Street, N.W., Washington, DC 20531. Telephone: (202) 616-6500 or the Justice Response Center, (1-800) 421-6770.

#### **Web Site Address:**

Regional Information Sharing Systems: <http://www.rissinfo.com/> RISS/ATIX: <http://www.rissinfo.com/rissatix.htm>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**



None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.611 CLOSED-CIRCUIT TELEVISIONING OF CHILD VICTIMS OF ABUSE**

(CCTV)

**FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Victims of Child Abuse Act, Public Law 90-351, as amended, 42 U.S.C. 3796aa, et seq.

**OBJECTIVES:**

To provide equipment and personnel training for the closed-circuit televising and videotaping of the testimony of children in criminal proceedings for the violation of laws relating to the abuse of children.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Up to 75 percent of total project grant costs may be funded through Federal assistance.

**Applicant Eligibility:**

Limited competition--a state or local unit of government that has in effect a law allowing the closed-circuit televising or video taping of testimony of children in criminal proceedings relating to the abuse of children.

**Beneficiary Eligibility:**

State and local criminal justice agencies; Federal, state, and local law enforcement agencies and personnel; public non-profit organizations, and youth benefit from this program.

**Credentials/Documentation:**

Eligible states and units of local government.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her respective State for more information on the process the state requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must follow the instructions contained in the solicitation for the Closed-Circuit Televising of Testimony of Children Who Are Victims of Abuse Grant Program and submit a fully executed application to the Bureau of Justice Assistance, 810 Seventh Street, NW, Fourth Floor, Washington, DC 20531, Attention: Closed-Circuit TV Program Manager. Applicants should submit an original and two copies of the application, along with an electronic copy of the application on disk in WordPerfect or Word for Windows, to BJA for review. BJA must receive the application at least 90 days prior to the anticipated start date of a new or continuation award.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

The deadline dates vary. Contact BJA for application deadlines.

**Range of Approval/Disapproval Time:**

Applications must be approved no later than 60 days after first received unless the Director of BJA informs the applicant of specific reasons for disapproval.

**Appeals:**

None.

**Renewals:**

A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

**Formula and Matching Requirements:**

Projects are awarded 75 percent of the total project costs. A match of 25 percent is required.

**Length and Time Phasing of Assistance:**

Grantees selected for awards will be funded for a period of 12 months.

**Reports:**

Reporting requirements for grants and projects awarded under this program are articulated in the OJP Financial Guide, as well as in the program solicitation.

**Audits:**

Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local

government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$976,000; FY 08 \$940,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Approximately 10 to 15 grants ranging from a minimum of \$50,000 to a maximum of \$100,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

The American Bar Association (ABA) received an award of \$363,731 to evaluate the CCTV projects to determine the effectiveness and impact of the funded projects in reducing the trauma to child abuse victims during criminal hearings or trials. The ABA organized a two-day evaluation conference to assist grantees in developing individual evaluation plans; provide technical assistance to grantees in developing individual evaluation plans and obtaining the data needed to assess the projects; and, on the preparation of a final report documenting the assessment, best practices, lessons learned, and recommendations to improve the CCTV Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of the Comptroller, Office of Justice Programs; BJA's Program Guide and Application Kit for the Closed-Circuit Televising of Testimony of Children Who Are Victims of Abuse Grant Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: K. Norris, Senior Policy Advisor at telephone: (202) 616-6500 or (1-866) 859-2687. Or by E-mail: AskBJA@usdoj.gov.

**Web Site Address:**

www.usdoj.gov/bja.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Applicants can use grant funds to: purchase videotape and closed-circuit television equipment to remain in courthouses and/or portable equipment to be used by courthouses in other jurisdictions; provide training in videotape and closed-circuit interviewing to law enforcement, prosecutors, and related staff; prepare booklets outlining the legal requirements and procedures involved in the use and operation of videotape and closed-circuit televising; and provide training to appropriate staff in the setup and operation of the equipment.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are contained in the Program Solicitation.

**16.612 NATIONAL WHITE COLLAR CRIME CENTER**

(NWCCC)

**FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351, as amended; 42 U.S.C. 3760.

**OBJECTIVES:**

NW3C is a federally-funded, non-profit corporation, whose mission is to provide a nationwide support system for agencies involved in the prevention, investigation, and prosecution of economic and high-tech crimes and to support and partner with other appropriate entities in addressing homeland security initiatives, as they relate to economic and high-tech crimes. It provides training, technical assistance and/or resources to state, local and tribal law enforcement agencies on how to prevent, combat, investigate and prosecute economic and cyber space crimes. And, provide information to the general public on how to prevent and protect against personal identity theft, fraud (telemarketing, bank card, insurance, etc.) and formally register Internet crime complaints with various authorities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Up to 100 percent of total project grant costs are funded through federal assistance. Cost-sharing is governed by Appropriation Act requirements. However, the project is encouraged to obtain and utilize additional funds, through voluntary contributions, membership fees or dues, fees for service, or other sources, from member agencies or governmental units benefiting from project services. Such funds will be considered program income and must be used to augment project operations or to reduce the federal share of project costs.

**Applicant Eligibility:**

State and local law enforcement authorities.

**Beneficiary Eligibility:**

State and local criminal justice agencies; federal, state, and local law enforcement agencies, as well as regulatory agencies benefit from this program.

**Credentials/Documentation:**

The NWCCC is required to submit a federal application for assistance, as well as a detailed program and budget narrative.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her respective state for more information on the process the state requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Application is submitted electronically through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

The application is due 90 days prior to completion of previous fiscal year funding.

**Range of Approval/Disapproval Time:**

Approximately 90 days prior to the expiration of the project's current active grant.

**Appeals:**

None.

**Renewals:**

A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

**Formula and Matching Requirements:**

Project is awarded 100 percent of the project costs and no match is required.

**Length and Time Phasing of Assistance:**

Awards are made for a period of 12 months.

**Reports:**

Reporting requirements for grants and projects awarded under the NWCCC program are articulated in the OJP Financial Guide.

**Audits:**

Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 06 \$8,885,052; FY 07 est \$8,885,052; and FY 08 est not available.

**Range and Average of Financial Assistance:**

\$7,000,000 to \$10,000,000. (Note: May want to tie this amount to a specific fiscal year since the amount will fluctuate from year-to-year.)

**PROGRAM ACCOMPLISHMENTS:**

This program has significantly enhanced the ability of federal, State and local agencies to identify, investigate, apprehend, and prosecute white collar criminals. Approximately 1300 enforcement personnel were trained in computer crime subjects and the NWCCC hosted its second annual economic crime summit.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of Justice Programs, Office of the Comptroller, and The Criminal Intelligence Systems Operating Policies (28 CFR 23).

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Program Development Division, Fourth Floor, 810 Seventh Street, N.W., Washington, DC 20531. Contact: David Lewis, Telephone: (202) 616-6500 or (1-866) 859-2687 or by E-mail: AskBJA@usdoj.gov.

**Web Site Address:**

National White Collar Crime Center: <http://www.nw3c.org/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.614 STATE AND LOCAL ANTI-TERRORISM TRAINING**

(SLATT)

**FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Anti-Terrorism and Effective Death Penalty Act of 1996, Section 822; Consolidated Appropriations Act of 2008, P.L. 110-161.

**OBJECTIVES:**

To provide delivery of specialized, multi-agency anti-terrorism preparedness training. This training, along with related research, law enforcement intelligence, operational issues development, and technical assistance support activities, is delivered to state and local law enforcement and prosecution authorities. While state and local law enforcement preparation and readiness issues addressed in this project are tailored to interventions in domestic terrorism, major portions of the program's preparedness and operational readiness outcomes are equally applicable to any terrorist threat or incident whether domestically or internationally inspired.

**TYPES OF ASSISTANCE:**

Training; Dissemination of Technical Information; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Grant program funds are intended to: (1) provide state and local law enforcement (including prosecution authorities) a general awareness and working knowledge of domestic terrorist and "political" extremist movements; (2) disseminate information relating to vital elements of law enforcement anti-terrorism preparedness and readiness; (3) provide a general planning orientation to State and local law enforcement pertaining to crisis and consequence management and incident command, including essential elements requisite to conducting criminal investigations and prosecutions of terrorist threats and incidents; and 4) maintain and enhance a domestic terrorism public source database. Standard restrictions as outlined in OJP's Financial Guide apply.

**Applicant Eligibility:**

For-profit (commercial) organizations; nonprofit organizations; faith-based and community organizations; institutions of higher education; and consortiums with significant and demonstrated experience in terror prevention strategies and in delivering training and technical assistance to law enforcement and tribal communities are eligible to apply. For-profit organizations must agree to waive any profit or fees for services. Joint applications from a consortium must identify the primary applicant and co-applicant(s), and letters of support that outline the partners' responsibilities must be provided. Faith-Based and other community organizations consistent with President George W. Bush's Executive Order 13279, dated December 12, 2002, and 28 C.F.R. Part 38. It is DOJ's policy that faith-based and other community organizations that statutorily qualify as eligible applicants under DOJ programs are invited and encouraged to apply for assistance awards to fund eligible grant activities. Faith-based and other community organizations will be considered for awards on the same basis as other eligible applicants and, if they receive assistance awards, will be treated on an equal basis with all other grantees in the administration of such awards. No eligible applicant or grantee will be discriminated for or against on the basis of

its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization. Faith-based organizations receiving DOJ assistance awards retain their independence and do not lose or have to modify their religious identity (e.g., removing religious symbols) to receive assistance awards. DOJ grant funds, however, may not be used to fund any inherently religious activity, such as prayer or worship. Inherently religious activity is permissible, although it cannot occur during an activity funded with DOJ grant funds; rather, such religious activity must be separate in time or place from the DOJ-funded program. Further, participation in such activity by individuals receiving services must be voluntary. Programs funded by DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion.

**Beneficiary Eligibility:**

State and local criminal justice agencies are the primary beneficiaries of this program.

**Credentials/Documentation:**

All applicants are required to submit an application for assistance, as well as a detailed program and budget narrative.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her respective State for more information on the process the State requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

The applicant must follow the instructions pertinent to completing the SF-424, and the financial conditions prescribed in the OJP Financial Guide, and submit a fully executed application to the Bureau of Justice Assistance, 810 7th Street, NW., Fourth Floor, Washington, DC 20531. Complete instructions can be found at [www.grants.gov](http://www.grants.gov). If you experience difficulties at any point during this process, please call the Grants.gov Customer Support Hotline. Telephone: 1-800-518-4726.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

The applicant must submit the application at such time as to enable program continuation without interruption, allowing for a 90-day application processing period, and not later than 90 days prior to the end of the current fiscal year.

**Range of Approval/Disapproval Time:**

Approximately 90 days prior to the expiration of the project's current active grant.

**Appeals:**

None.

**Renewals:**

A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant within 60 days.

**Formula and Matching Requirements:**

The project is awarded at 100 percent of project costs; no match is required.

**Length and Time Phasing of Assistance:**

Awards are made for a period of 12 months.

**Reports:**

Reporting requirements for grants awarded under this program are articulated in the OJP Financial Guide.

**Audits:**

Payments and transactions are subject to audits by the General Accounting Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds must retain all project related documentation for 3 years from the date of the final financial status report unless an audit has been initiated or an unresolved audit finding remains. This is in accordance with Federal retention requirements to ensure the availability of complete information should an audit be conducted.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 \$2,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

One cooperative agreement for up to \$4.75 million will be awarded for a project period of 12 months.

**PROGRAM ACCOMPLISHMENTS:**

The Institute for Intergovernmental Research (IIR) coordinated curriculum development activities, secured appropriate facilities for training delivery, and delivered training through the Center for Task Force Training, SLATT Project. SLATT conducted a total of 50 workshops, training sessions, and focus groups with 7600 line officers and 586 law enforcement executive officers trained.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of Justice Programs, Office of the Comptroller.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Michael Medaris, Senior Policy Advisor. Telephone: (202) 616-6500 or (1-866) 859-2687; or E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

[www.usdoj.gov/bja](http://www.usdoj.gov/bja).

**RELATED PROGRAMS:**

16.006, County and Municipal Agency Domestic Preparedness Equipment Support Program; 97.004, State Domestic Preparedness Equipment Support Program; 16.577, Emergency Federal Law Enforcement Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Anti-terrorist preparedness training, anti-terrorist research, operational issues development, and technical assistance support activities.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.615 PUBLIC SAFETY OFFICERS' EDUCATIONAL ASSISTANCE**

(PSOEA)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Educational Assistance to Dependents of Civilian Federal Law Enforcement Officers Killed or Disabled in the Line of Duty, 42 U.S.C. 3796d.

**OBJECTIVES:**

The PSOEA Program, an expansion of the Federal Law Enforcement Dependents Assistance (FLEDA) Program, provides financial assistance for higher education to the spouses and children of public safety officers killed in line of duty. The PSOEA Program also makes assistance available to spouses and children of public safety officers permanently and totally disabled by catastrophic injuries sustained in the line of duty. Under the PSOEA program, the families of state and local police, fire, and emergency public safety officers are covered for line-of-duty deaths that occurred on or after January 1, 1978. The families of Federal law enforcement officers and firefighters are covered for line of duty deaths occurring on or after October 12, 1984. The effective date for families of permanently and totally disabled Federal law enforcement officers is October 3, 1996. Families of state and local police, fire, and emergency public safety officers are covered for line-of-duty permanent and totally disabling injuries that occurred on or after October 1, 1997. Families of Federal Emergency Management Agency (FEMA) personnel and state, local and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Program funds are intended solely to defray eligible applicants' educational expenses, which may include tuition, fees, room and board, books, supplies, and other expenditures consistent with the educational, professional or vocational objectives of the applicant. Funds are restricted to defray above costs only.

**Applicant Eligibility:**

Dependents who (1) attend a program of education at an eligible institution; or (2) are the spouse and/or surviving children under the age of 27 of Federal, state and local public safety officers, whose deaths or permanent and totally disabling injuries are covered by the Public Safety Officers' Benefits (PSOB) Program (42 U.S.C. 3796 et seq.) are eligible for this program. A public safety officer is a person serving a public agency in an official capacity, with or without compensation, as a law enforcement officer, firefighter or member of a public rescue squad or ambulance crew.

**Beneficiary Eligibility:**

The spouse and surviving children of Federal, state and local public safety officers receive the ultimate benefits from this program. The children may receive benefits for classes taken before their twenty-seventh birthday. There is no age restriction for spouses.

**Credentials/Documentation:**

Documentation needed to apply for assistance includes: the Application for Public Safety Officer's Educational Assistance (42 U.S.C. 3796 d); educational



transcripts; acceptance letters to educational/professional institutions; schedule of classes; verification of full or part-time status; and certification of other forms of educational assistance. Contact the PSOB office. Telephone: (1-888) 744-6513 or E-mail: AskPSOB@usdoj.gov, for full credential/documentation requirements.

**Preapplication Coordination:**

Claimants may initiate a claim by writing or telephoning the PSOEA Program, Benefits Office, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531. Telephone: (1-888) 744-6513 or E-mail: AskPSOB@usdoj.gov. This program is excluded from E.O. 12372 "Intergovernmental Review of Federal Programs."

**Application Procedure:**

The applicant must submit a fully executed application to the PSOEA Program, Benefits Office, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531.

**Award Procedure:**

Upon a finding of eligibility by the Bureau of Justice Assistance, claimants are typically awarded funds in 4 month increments for prospective assistance or more if requesting retroactive reimbursement.

**Deadlines:**

There are no deadlines for applicants to request benefits. Spouses and children of public safety officers (who have been found eligible under the PSOB Program) can, at any time, request retroactive assistance for educational costs. These costs must have been incurred following the officer's death and, for the children, prior to their twenty-seventh birthday. There is no age restriction for officers spouses.

**Range of Approval/Disapproval Time:**

Dependent on sufficiency of claim documentation.

**Appeals:**

Applicants may appeal within 30 days of denial notification. The appeal process consists of a record review by an administration hearing officer.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Assistance is available for 45 months of full-time education or training, or for a proportional period of time for a part-time program. Assistance is typically awarded in 9-month installments to coincide with the length of a school semester.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

15-0403-0-1-754.

**Obligations:**

FY 07 \$4,012,095; FY 08 \$3,980,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

For classes taken since October 1, 2002, the rates of assistance are \$600 per month for full-time students. \$510 for three-quarter-time student. \$340 for half-time students and \$170 for less-than-half-time students. The amount of assistance is subject to change consistent with the current computation of educational assistance allowance set forth in Title IV of the Higher Education Act, Section 3532 of Title 38, U.S.C.

**PROGRAM ACCOMPLISHMENTS:**

PSOEA has developed an E-package. The PSOEA application can be downloaded from the PSOB website at: <http://www.ojp.usdoj.gov/BJA/index.html>, or [http://www.ojp.usdoj.gov/BJA/grant/psob/psob\\_education.html](http://www.ojp.usdoj.gov/BJA/grant/psob/psob_education.html).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Bureau of Justice Assistance's Public Safety Officers' Educational Assistance Program Fact Sheet (August 1999); Federal Register guidelines are available.

**Regional or Local Office:**

None.

**Headquarters Office:**

office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Eric Martin, Benefits Specialist. Telephone: (888) 744-6513 or (202) 616-6500, or E-mail: AskPSOB@usdoj.gov.

**Web Site Address:**

Public Safety Officers' Benefits: [http://www.ojp.usdoj.gov/BJA/grant/psob/psob\\_main.html](http://www.ojp.usdoj.gov/BJA/grant/psob/psob_main.html).

**RELATED PROGRAMS:**

16.571, Public Safety Officers' Benefits Program; 16.575, Crime Victim Assistance; 16.576, Crime Victim Compensation; 16.615, Public Safety Officers' Educational Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.616 INDIAN COUNTRY ALCOHOL AND DRUG PREVENTION**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Department of Justice Appropriations Act of 2001, as enacted by Section 1(a) of the District of Columbia Appropriations Act of 2001, Public Law 106-533, and as amended by Section 1(a)(4) of the Consolidated Appropriations Act of 2001, Public Law 106-553.

**OBJECTIVES:**

To assist tribal governments in the development and implementation of programs to reduce alcohol abuse and crime.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Indian Alcohol and Substance Abuse Program (IASAP) provides funding and technical assistance to federally recognized tribal governments to plan, develop, implement, or enhance tribal justice strategies involving alcohol and crime, as well as substance abuse, as strategies have indicated a correlation between alcohol and substance abuse. No match is required for personnel. However, if a position under IASAP is supported with BJA funds, total costs associated with salary and fringe benefits may not exceed 50 percent of the grant. Funds awarded through this program to the following tribes may not be used for courts or law enforcement officers for a tribe or village, pursuant to Public Law 108-199 S. 112(a)(1): (1) tribes in which fewer than 25 Native members live in the village year round; and (2) tribes that are located within the boundaries of the Fairbanks North Star Borough, the Matanuska Susitna Borough, the Municipality of Anchorage, the Kenai Peninsula Borough, the City and Borough of Juneau, the Sitka Borough, or the Ketchikan Borough.

**Applicant Eligibility:**

Pursuant to 28 U.S.C. Section 524 note, applicants are limited to federally recognized tribal governments, including eligible Alaska Native villages and corporations, and authorized intertribal consortia see 25 U.S.C. Section 450. Intertribal consortia must have and retain written authorization from each member tribe prior to this solicitation's submission deadline and certify the same in the application. Tribes that received funding from the FY 2006 or FY 2007 program ARE NOT ELIGIBLE to apply for a FY 2008 supplemental award.

**Beneficiary Eligibility:**

Federally recognized Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the federal agency and required by the Common Rule, must be used for this program. Awards through this program will be competitive, based upon the extent and the urgency of the need of each applicant.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to the Bureau of Justice Assistance (BJA).

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, for application deadline. Telephone: 1-866-859-2687 or by e-mail at: AskBJA@usdoj.gov.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 90 days of the receipt of a completed application.

**Appeals:**

See 28 CFR Part 28 for standards.

**Renewals:**

Any further grant awards are dependent on further funding and grant performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Generally 18 months, however, they could vary depending on program goals and objectives.

**Reports:**

Unless otherwise specified in the award's special conditions, financial reports are

due quarterly and progress reports are due semi-annually. In some cases, evaluation reports may be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all programs transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$4,936,140; FY 08 \$5,180,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

The program announcement will contain information regarding the range and average level of financial assistance. Additional information will be posted on the BJA website ([www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA)) at a later date.

**PROGRAM ACCOMPLISHMENTS:**

For information on tribal justice strategies and best practices, visit the National Tribal Justice Resource Center's web site at <http://www.tribalresourcecenter.org>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide and Handbook 4500.2C, Policies and Procedures for the Administration of OJP Grants, are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Robert Brown, Senior Policy Advisor, Telephone: (202) 616-3297 or (1-866) 859-2687 or E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

Indian Country Alcohol and Drug Prevention Program:  
<http://www.ojp.usdoj.gov/BJA/grant/indian.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

## 16.710 PUBLIC SAFETY PARTNERSHIP AND COMMUNITY POLICING GRANTS

**FEDERAL AGENCY:**

OFFICE OF COMMUNITY ORIENTED POLICING SERVICES,  
DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. 3796, as amended; Violent Crime Control and Law Enforcement Act of 1994, Title I, Part Q, Public Law 103-322.

**OBJECTIVES:**

To advance the practice of community policing as an effective strategy in communities' efforts to improve public safety. COPS grants support innovative programs that respond directly to the existing and emerging needs of state, local, and tribal law enforcement, to shift law enforcements focus to preventing, rather than solely responding to crime and disorder within their communities; develop state-of-the-art training and technical assistance to enhance law enforcement officers problem- solving and community interaction skills, promote collaboration between law enforcement and community members to develop innovative initiatives to prevent crime, and provide responsive, cost effective service delivery to our grantees to ensure success in advancing community policing strategies within their communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants provide funding to (1) provide state, local, and tribal law enforcement agencies with grants for equipment, technology, officers, and training that enable law enforcement to build and strengthen their community policing infrastructure, and provided technical assistance to ensure that agencies are

properly and effectively implementing the grant funding; (2) provide training, convening conferences, providing publication products, disseminating best practices, promoting law enforcement and community partnerships, and conducting program evaluations.

**Applicant Eligibility:**

States, units of local government, Federally Recognized Indian tribal governments, U.S. territories or possessions (including the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Mariana Islands), other public and private entities, and multi-jurisdictional or regional consortia thereof.

**Beneficiary Eligibility:**

States, units of local government, Federally Recognized Indian tribal governments, U.S. territories or possessions (including the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Mariana Islands), other public and private entities, and multi-jurisdictional or regional consortia thereof.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicant submits application and budget forms as well as other required documentation (including required assurances, certifications, retention information, lobbying, etc.) prescribed by the grantor agency and approved by OMB, as outlined in the Application Kit. Application Kits are available from the grantor agency. At the time of submission, an original and two copies of the application are required with original signatures of duly authorized representatives (usually the Law Enforcement and Government Executive).The COPS Office offers the option of applying for COPS Grants online using the collaborative, multiple-agency E-government initiative Grants.gov. If applicants apply using Grants.gov, the agency is required to complete the mandatory online forms and submit the application through their Authorized Organizational Representative.

**Award Procedure:**

Upon approval by the Director, Office of Community Oriented Policing Services, award notification letters will be sent to grantees. The grant award must be signed by a duly authorized representative and returned to the designated office within 90 days of the award mail date.

**Deadlines:**

Application deadlines vary among grant programs and are noted on grant application materials. Contact the grantor agency for specific application deadlines.

**Range of Approval/Disapproval Time:**

Normally between 4-6 months after receipt of application. Award announcements vary depending on the grant program.

**Appeals:**

See 28 C.F.R. Part 18.

**Renewals:**

COPS grants are made for between 1 and 3 years depending on the program. Renewals and/or extensions may be available under some grant programs and will be considered on a case-by-case basis. If available, extensions should be requested not sooner than 90 days prior to the expiration of the original project period.

**Formula and Matching Requirements:**

Awards can be made for 75 percent of allowable project costs. Innovative grant programs may cover 100 percent of the total project cost, up to a maximum amount as specified in the application, with no local match required. Unless the requirement of a nonfederal share is waived, nonfederal funds must pay the difference. The nonfederal share of hiring grants must increase year-to-year over the grant period.

**Length and Time Phasing of Assistance:**

COPS grants are made for between 1 and 3 years depending on the program. Assistance is released on a reimbursement or limited advance basis.

**Reports:**

Annual programmatic reports and quarterly financial status reports will be required as stipulated in the effective edition of the relevant grant owner's manual distributed by the grantor agency. Other reporting requirements, such as a final progress report and a closeout report may also be required depending on the grant program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, as amended, all grantees that expend Federal financial assistance of \$500,000 or more during the fiscal year shall have an audit made for the year. Grantees receiving less than \$500,000 a year in Federal awards are exempt from Federal audit requirements, but records must be retained and available for review by appropriate officials of the Federal grantor agency.

**Records:**

Financial records, supporting documents, and all other records pertinent to a grant shall be retained for a period of three years following the conclusion of Federal assistance.

**Account Identification:**

15-0406-0-1-754.

**Obligations:**

(Grants) FY 07 \$555,445,730; FY 08 est \$4,000,000(President's Budget Request); and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,775 to \$6,000,000; \$556,579.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, COPS received 1,377 applications. A total of 449 grants were awarded. FY 07 awards included the Tribal Resource Grant Program, Methamphetamine Initiative, Technology Program, Secure our Schools program, and Community Policing Development grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application Kits and current edition of M7100.1, which are available from Headquarters.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Community Oriented Policing Services, 1100 Vermont Avenue, N.W., Washington, DC 20530. Telephone: U.S. Department of Justice Response Center: 1 (800) 421-6770, or (202) 307-1480. Direct applications to: COPS Office, 1100 Vermont Avenue, N.W., Washington, DC 20530. Send to the attention of the control desk for the specific program name.

**Web Site Address:**

<http://usdoj.gov/cops>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Since 1994, funded projects include the hiring of additional officers to engage in community policing under the COPS Phase I, COPS FAST, COPS AHEAD, Distressed Neighborhoods Program, Universal Hiring Program and the COPS in Schools program. Under the COPS MORE grant program awards were made for the acquisition of technology and equipment, the hiring of civilian support resources, and, in the case of MORE '95 only, for the payment of overtime to redeploy in a cost-effective manner, sworn officers to community policing activities. Since 1999, the Tribal Resource Grant Program has provided grants to Federally Recognized Indian tribes to hire additional officers to engage in community policing and to purchase law enforcement equipment and technology. In addition to the above programs, funding for projects that advance community policing, combat the proliferation of methamphetamine, increase the use of interoperable technologies, combat gangs, combat firearms violence, build faith based initiatives, and combat domestic violence have been awarded.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are set forth in the Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322. Additional criteria may be developed by the Office of Community Oriented Policing Services and will be published in the Federal Register and COPS application materials.

**16.726 JUVENILE MENTORING PROGRAM****FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, Section 288, as amended, Public Law 93-415, as amended; Public Law 94-503, 95-115, 96-509, 98-473, 100-690, and 102-586, and Public Law 110-161, 42 U.S.C. 5667c.

**OBJECTIVES:**

This program includes three OJJDP youth mentoring programs for FY 2008: OJJDP FY 2008 Latino Youth Mentoring Program, OJJDP FY 2008 National Mentoring Programs, and OJJDP FY 2008 Strengthening Youth Mentoring Through Community Partnerships, which together seek to make grants available across a wide spectrum of communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

FY 06 Mentoring Initiatives for System Involved Youth Solicitation - mentoring programs and strategies designed to meet the needs of youth involved in the juvenile justice system; re-entry youth; and youth in foster care. FY 07 Support for Mentoring Initiatives - the type of guidance or mentoring support includes assisting the guidance recipient with mentoring recruitment strategies and mentor retention, mentor training, mentor matching, developing and implementing evaluation plans, data collection and analysis, developing action plans and strategic plans, cultural competence, developing mentoring collaboratives and coalitions, and educating community members. The purpose of this program is to support organizations to implement initiatives that will

develop new mentoring approaches or strengthen/expand existing mentoring programs. Examples may include support to address new mentoring approaches in underserved communities such as public housing or Native American reservations or special efforts to recruit underutilized groups, i.e., college students, youth groups, associations and fraternal organizations. This initiative also seeks to promote collaboration among community organizations and agencies committed to supporting mentoring services. Applicants will assess, develop, implement, and pilot mentoring strategies, and are encouraged to incorporate best practices based on research and to consider a variety of mentoring approaches.

**Applicant Eligibility:**

Please see individual solicitations for applicant eligibility.

**Beneficiary Eligibility:**

States, Territories, and public/private nonprofit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E. O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or office designated as the single point of contact in his or her State for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must submit a proposal to the Office of Justice Programs through the Grants Management System (GMS). The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office of Justice Programs, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Published in program announcements, requests for applications.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Informal reconsideration by Administrator for assistance applicants; administrative hearings for assistance award terminations, SCE CFR Pat. 18, 50 FR 28199, July 11, 1985.

**Renewals:**

None.

**Formula and Matching Requirements:**

Grants awarded under this part of the JJDP Act do not require a cash match; except for construction projects, where the match is 50 percent on community-based facilities of 20 beds or less.

**Length and Time Phasing of Assistance:**

Under Title II, Part G of the JJDP Act, awards will be made for three years. Drawdowns are possible under a letter of credit.

**Reports:**

Demonstration Programs Division grantees are required to submit semi-annual progress and quarterly financial reports.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for three years.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

FY 07 \$9,872,280; FY 08 \$70,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Mentoring Initiatives for System Involved Youth - Up to \$1,600,000 was provided to four mentoring partnerships, not to exceed \$400,000 each over a four-year period; \$500,000 for training and technical assistance to support the project sites for a 24-month period; \$500,000 to evaluate the programs and/or strategies implemented by the project sites for a period of 48 months.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2004, no funding was available under this program. In Fiscal Year 2005, OJJDP provided funding to Big Brothers/Big Sisters of America and funded State projects to enhance and expand existing mentoring strategies and/or programs to develop, implement, and pilot test mentoring strategies



and/or programs designed for juvenile justice system involved youth; reentry youth; and youth in foster care. States were required to partner with mentoring organizations and/or other public/private non-profit organizations to develop the mentoring strategies and/or programs targeted for the identified populations and to establish statewide mentoring partnerships. Through this program, States advocated and promoted public policies and legislation that strengthened mentoring for youth involved in the juvenile justice system; youth transitioning from the juvenile justice system to the community; and youth in foster care. Also, States developed statewide systems to track the prevalence of mentoring strategies and/or programs targeted for these youth.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, 810 Seventh Street, N.W., Washington, DC 20531. Telephone: (202) 307-5914.

**Web Site Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are published in the individual program announcement. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy, 28 CFR Part 34.

## 16.727 ENFORCING UNDERAGE DRINKING LAWS PROGRAM

**FEDERAL AGENCY:**

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION,  
OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

The statutory authority for the EUDL Block Grant Program may be found within Section 504 of the Juvenile Justice and Delinquency Prevention Act, 42 U.S.C. 5783. Congress has delegated the authority to administer the EUDL Program to the Office of Juvenile Justice and Delinquency Prevention (OJJDP), in the U. S. Department of Justice's (DOJ's) Office of Justice Programs (OJP) under the Consolidated Appropriations Act, 2008, P.L. 110-161.

**OBJECTIVES:**

The EUDL Program supports and enhances states' and local jurisdictions' efforts to prohibit the sale of alcoholic beverages to minors and the purchase and consumption of alcoholic beverages by minors. (For the purpose of this solicitation, "minors" are defined as individuals under the age of 21.) Activities under the EUDL Program may include: -Statewide task forces of state and local law enforcement and prosecutorial agencies to target establishments suspected of a pattern of violations of state laws governing the sale and consumption of alcohol by minors. -Public advertising programs to educate establishments about statutory prohibitions and sanctions. -Innovative programs to prevent and combat underage drinking.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Enforcing the Underage Drinking Laws (EUDL) Program allocates block grants for every state and the District of Columbia to enforce state laws prohibiting the sale of alcoholic beverages to minors and to prevent the purchase or consumption of alcoholic beverages by minors. From fiscal years (FYs) 1998 to 2008, Congress appropriated \$25 million annually to OJJDP for its EUDL program. In fiscal year 2008, a total of \$25 million will be awarded as block and discretionary grants in the following manner: Funds will be dispersed in the amount of \$350,000 to each State, each Territory, and the District of Columbia in block grants totaling \$19,600,000.00 to support and enhance efforts by States, in cooperation with local jurisdictions, to prohibit the sale of alcoholic beverages to, or consumption of alcoholic beverages by minors. Funds will be dispersed to support discretionary program activities in local jurisdictions, as well as training and technical assistance to all States. To support local discretionary programming activity, funds plan to be competitively awarded to State agencies receiving block grants. The local programs implement the comprehensive approach to curtailing access and consumption of alcoholic beverages by minors, including the enforcement of laws pertaining to underage alcohol purchase, possession, and use. For purposes of this initiative, minors are defined as individuals under 21 years of age. These funds cannot be used to supplant existing programs and activities (Supplanting means to deliberately reduce State or local funds because of the existence of Federal funds).

**Applicant Eligibility:**

To receive a Block Grant, Governors and the Mayor of the District of Columbia designated an agency to serve as the point of contact to apply for, receive, and administer the targeted grant funds. The designated State agencies may apply to receive a Discretionary Grant. Their applications must detail a comprehensive approach to curtailing access and consumption of alcoholic beverages by minors, including the enforcement of underage drinking laws and how that approach will be implemented by State-selected local communities. States are encouraged to link with ongoing public and private efforts (including those of foundations and national organizations). Training and technical assistance were made available through a separate application process.

**Beneficiary Eligibility:**

States are eligible to apply for discretionary funds through a separate application process.

**Credentials/Documentation:**

Each applicant applying for funds must submit a completed application, including signed assurances that it will comply with administrative requirements.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants must submit completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention. Each applicant must detail a comprehensive approach to enforcing underage drinking laws and describe how the Federal funds will be used to contribute to the implementation of that comprehensive approach. States are encouraged to link with ongoing public and private efforts (including law enforcement agencies and those of foundations and national organizations). The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

A letter with copies of the grant award is sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by an authorized official and returned to the Office of Justice Programs. Local units of government will receive Enforcing Underage Drinking Laws funds through the applicant agency subgrant award process.

**Deadlines:**

Contact the State Relations and Assistance Division, OJJDP. Telephone: (202) 307-5924, and the Demonstration Programs Division OJJDP. Telephone: (202) 307-5914, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved within 30 to 45 days of receipt of a complete application.

**Appeals:**

Hearings and appeal procedures will follow 28 CFR Part 18, of the Department of Justice Regulations.

**Renewals:**

Renewals are subject to appropriations.

**Formula and Matching Requirements:**

In fiscal year 2007 a total of \$24,817,385 was appropriated and allocated. These funds were disbursed through assistance awards of \$350,000 to each State and the District of Columbia; discretionary funds in the amount of \$6,640,000. For fiscal year 2008, a total of \$19,600,000.00 will be awarded as block grants in the following manner: Funds will be dispersed in the amount of \$350,000 to each State, each Territory, and the District of Columbia to support and enhance EUDL efforts.

**Length and Time Phasing of Assistance:**

Awards are made for 12 to 36 months.

**Reports:**

Quarterly financial and semiannual progress reports are required.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as described in OJP's Financial Guide, Chapter 19.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, recipients must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

FY 07 \$24,680,700; FY 08 \$25,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The Appropriations Act for the Departments of Commerce, Justice and State, the Judiciary, and related agencies for the fiscal year ending September 30, 2007, and for other purposes (Appropriations Act) appropriated \$25 million to the Office of Juvenile Justice and Delinquency Prevention. Block grants of up to \$360,000, less congressional rescissions, were to be made available to States and the District of Columbia to build the following types of approaches into a state strategy: 1) Statewide task forces of State and local law enforcement and prosecutorial agencies to target establishments suspected of a pattern of violations of State laws governing the sale and consumption of alcohol by minors; 2) public advertising programs to educate establishments about statutory prohibitions and sanctions; and 3) innovative programs to prevent and combat underage drinking. In addition, up to \$6,640,000 was to support discretionary awards and training and technical assistance to support program activity at the State and local levels.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, 810 7th Street, N.W., Washington, DC 20531.

Telephone: (202) 307-5924. For information on the EUDL Block Grant Program, please contact Scott Pestridge, Program Manager with the State Relations and Assistance Division on (202) 514-5655 or via e-mail at scott.pestridge@usdoj.gov. For information on EUDL Discretionary funds or Training and Technical Assistance, please contact Sharie Cantelon, Program Manager for the Demonstration Programs Division on (202) 616-3658 or via e-mail at sharie.cantelon@usdoj.gov.

#### **Web Site Address:**

<http://www.ojjdp.ncjrs.org>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

The Training and Technical Assistance Division has the responsibility for administering training and technical assistance projects to support States and units of local government in addressing the four program purpose areas. In fiscal year 2007, a continuation award was made to Pacific Institute for Research (PIRE), the national technical assistance provider.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Enforcing Underage Drinking Laws Program Guideline of FY 2008, as established by the Office of Juvenile Justice and Delinquency Prevention.

### **16.730 REDUCTION AND PREVENTION OF CHILDREN'S EXPOSURE TO VIOLENCE**

(Safe Start)

#### **FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

Public Law 105-277.

#### **OBJECTIVES:**

To develop an initiative to understand, prevent and reduce the impact of family and community violence on young children by helping communities to expand existing partnerships between service providers (such as law enforcement, mental health, health, early childhood education and others) to create a comprehensive service delivery system. To study the efficacy of these service delivery systems, replicate the most effect systems, and study the scope of the problem of children's exposure to violence in the United States.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Applicant selected to receive Safe Start cooperative agreements may use funds to establish and enhance a broad range of local prevention, intervention and treatment services for young children who have been exposed and are at risk of being exposed to violence; develop effective multi-agency protocols; coordinate services to develop a community-wide system for responding to the needs of children exposed or at risk of exposure to violence; study the efficacy of these systems; and study the scope of the problem of children's exposure to violence in the U.S.

#### **Applicant Eligibility:**

To be eligible for a Safe Start cooperative agreement, applicants must be public agencies (including state agencies, local units of government, and tribal governments) and/or private organizations who agree to waive any profit or fee.

#### **Beneficiary Eligibility:**

Eligible applicants for the Safe Start Demonstration Projects are communities that have formed a strong collaborative group (or shown the ability and commitment to expand coordination with key partners such as courts, law

enforcement, early childhood development and domestic violence agencies, and mental health services) to prevent and address the impact that exposure to violence has on young children. Applicants for the research and evaluation projects are public and private agencies (private, for-profit organizations must agree to waive any profit for fee), organizations, institutions, or individuals that have demonstrated experience in evaluating broad-based community initiatives and whose experience includes the design of studies capable of analyzing process and measuring impact across multiple communities and the development and delivery of evaluation-based training and technical assistance.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, Circular No. A-21 for educational institutions, and Circular No. A-122 for nonprofit organizations.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

OJJDP will determine whether applications for funding be submitted through the Internet using the Office of Justice Programs online Grants Management System (GMS) or through Grants.gov. Applicants are expected to address each concern or requirement in the solicitation as clearly and specifically as possible, giving particular attention to goal and objective statements, methodology and data requirements. A peer review group is established as mandated in Section 262(d)(1)(A) of JJDP Act and applications are rated and ranked in relation to pre-defined selection criteria. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

#### **Award Procedure:**

Cooperative agreements are awarded directly to selected applicants, who are notified of a pending award.

#### **Deadlines:**

Published in the program announcement/solicitation for proposals.

#### **Range of Approval/Disapproval Time:**

From 1 to 6 months.

#### **Appeals:**

None.

#### **Renewals:**

Continuation grant and/or supplemental award.

#### **Formula and Matching Requirements:**

Grants awarded under the Juvenile Justice and Delinquency Prevention Act do not require a cash match; except for construction projects, where the match is 50 percent on community based facilities of 20 beds or less.

#### **Length and Time Phasing of Assistance:**

Awards may be for projects from 12 to 48 months. Specific direction about the length of the projects to be funded is given in the solicitation.

#### **Reports:**

Biannual progress reports, performance measure data submission and quarterly financial reports are required.

#### **Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years after the date of the final report.

#### **Account Identification:**

15-0404-0-1-754 and 15-0405-0-1-754.

#### **Obligations:**

FY 07 \$9,898,000; FY 08 est not available; and FY 09 est not available.

#### **Range and Average of Financial Assistance:**

None.

#### **PROGRAM ACCOMPLISHMENTS:**

OJJDP's Safe Start Initiative, originally funded through a Congressional set aside of \$10 M annually, promotes practice innovation, research, and evaluation to build knowledge in the emerging area of children's exposure to violence. The purpose of the initiative is to prevent and reduce the impact of violence on children (particularly young children) and their families. The initiative currently encompasses both an original Safe Start demonstration project and the Safe Start Promising Approaches pilot project, and includes several evaluation components such as case level outcomes studies, experimental and quasi-experimental evaluation of the pilot project, and development of a first-ever national incidence and prevalence study on children's exposure to violence. Both the demonstration and pilot programs are designed to create evidence-based practice innovation through expanding current partnerships among service providers in key areas

such as early childhood education, health, mental health, child welfare, family support, substance abuse prevention/intervention, domestic violence/crisis intervention, law enforcement, the courts, and legal services. These projects are aimed at enhancing the accessibility, delivery, and quality of services provided young children who have been exposed to violence or who are at high risk for exposure. In addition, other key initiative components include capacity-building work such as training and technical assistance, publications, information dissemination, and public and professional awareness. Through the Safe Start program, more than 15,000 children have been identified and provided with appropriate services in the aftermath of their exposure to violence. Close to 44,000 children serving professionals have been trained to identify and respond appropriately to these child victims in the Safe Start sites. In addition to the 27 communities directly funded to develop new practices to serve these children, national efforts to increase professional knowledge and specialized training to identify these children and get them critical services to ameliorate the impact of trauma from this exposure to violence in their daily lives. The Safe Start program supports the development of a long-range strategic plan for knowledge building in the area of children's exposure to violence. This plan relies on innovation and an evidence base for research, evaluation, practice, and capacity-building in information dissemination and training on children's exposure to violence (CEV).

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Safe Start solicitation/guideline is published in the Federal Register and awards are governed by the OJP Financial Guide, which is available upon request. Reports and studies developed through the OJJDP National Institute are available and can be secured by contacting OJJDP in Washington, DC.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Child Protection Division. Telephone: (202) 616-7323.

#### **Web Site Address:**

<http://www.usdoj.gov>

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2001, nine 5-1/2 year demonstration sites and three 2-year program sites continued and completed strategic planning efforts and OJJDP later made awards to an additional two demonstration sites in tribal communities. The National Center for Children Exposed to Violence continues to provide training and technical assistance to Safe Start communities and serves as a clearinghouse for information about violent traumatization and successful approaches to intervention, while further promoting public and professional awareness of the effects of violence on children. In FY05 OJJDP funded the Safe Start Promising Approaches Pilot Sites (SSPA) as the second phase of the Safe Start Initiative. SSPA is a four-year project that will provide funds to communities to implement evidence-based services for children exposed to violence and their families. The National Study on the Incidence and Prevalence of Children's Exposure to Violence is a five-year two-tiered study that will collect national data on the children's exposure to violence to inform the field about the types of exposure and the intensity, frequency and chronicity of such exposure. These numbers will provide the first robust comprehensive numbers on children's exposure to violence as well as providing a tool for local communities to collect their own local data.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are published in the Federal Register as part of the individual program announcement. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy, 28 CFR Part 34.

## **16.731 TRIBAL YOUTH PROGRAM**

(TYP)

#### **FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act, Public Law 105-277.

#### **OBJECTIVES:**

To support and enhance tribal efforts for comprehensive delinquency prevention, control, and juvenile justice system improvement for Native American youth.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

#### **USES AND USE RESTRICTIONS:**

To reduce, control, and prevent crime both by and against tribal youth; to provide interventions for court-involved tribal youth; to improve tribal juvenile

justice systems; and to provide prevention programs focusing on alcohol and drugs.

#### **Applicant Eligibility:**

Applications are only invited from Federally recognized tribes and Alaskan Native villages, however, tribes and villages may partner with others as applicable. If partnering with others, a Memorandum of Understanding (MOU) should be submitted with the application. Additionally, one tribe must be chosen as the primary agency for funding and reporting purposes. Only tribal governments and tribal organizations that have a tribal resolution sharing the endorsement of the tribal government are eligible to apply. A tribal resolution must be included with the application.

#### **Beneficiary Eligibility:**

All Federally recognized tribes and Alaskan Native villages.

#### **Credentials/Documentation:**

Each applicant must submit a completed application, including signed assurances that it will comply with statutory and administrative requirements.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

OJP requires that applications for funding be submitted through OJP's Grants Management System (GMS). Access the system at <https://grnts.ojp.usdoj.gov>. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

#### **Award Procedure:**

A letter with copies of the grant award are sent to the applicant tribe upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

#### **Deadlines:**

Consult the Application Kit or contact the Demonstration Programs Division, Office of Juvenile Justice and Delinquency Prevention in the Office of Justice Programs for application deadlines. Telephone: (202) 307-5911 or 5914.

#### **Range of Approval/Disapproval Time:**

Applications will generally be approved within 45-60 days of receipt of a complete application.

#### **Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18, of the Department of Justice Regulations.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Awards are made for 36 months.

#### **Reports:**

Quarterly financial and semiannually progress reports are required.

#### **Audits:**

All tribes that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. These audits are due to the Office of the Comptroller and the Federal Audit Clearinghouse no later than thirteen (13) months after the close of each fiscal year during the term of the award (for fiscal years beginning on/after July 1, 1998, audit report packages are due nine (9) months after the close of the fiscal year.

#### **Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

#### **Account Identification:**

15-0405-0-1-754.

#### **Obligations:**

FY 07 \$9,872,280; FY 08 \$14,100,000; and FY 09 est not available.

#### **Range and Average of Financial Assistance:**

None.

#### **PROGRAM ACCOMPLISHMENTS:**

Tribal Youth Program: In fiscal year 2004, OJJDP awarded TYP grants totaling \$108.7 million to 3929 American Indian and Alaskan Native tribal communities to develop programs to prevent and control youth violence and substance abuse. Awards ranged from \$300,000 to \$500,000 and were based on the size of the population the tribe serves. A broad spectrum of geographically diverse tribal communities responded to the TYP solicitation, an indication that OJJDP is achieving its goal of working with tribes and communities of various population sizes and geographic locations. OJJDP also noted a marked increase in the number of applications from Alaska and in the number of first-time applicants for TYP funds, another indication that the Office's outreach efforts are succeeding. Tribal Youth Mental Health Initiative: OJJDP is also supporting a mental health program, which will provide diagnostic and treatment services to tribal youth involved in juvenile justice systems. The four objectives of this program are the same as those of the Tribal Youth Program discussed above, except that each objective must have a specific mental health and juvenile



justice focus. OJJDP awarded grants under this program to nine American Indian and Alaskan Native tribal communities. The grants totaled nearly \$1 million in awards up to \$300,000. Research Projects: OJJDP also supports a number of research and evaluation activities through the Tribal Youth Program. Based on suggestions and feedback from numerous meetings and focus groups with Indian practitioners and researchers, OJJDP established three principles to guide the TYP research and evaluation activities it funds. First, the research should provide practical results that are useful to the parties who are the focus of the research. Second, the projects should include local community members in decision making and in implementing the project. Third, researchers must understand and be sensitive to local customs, traditions, value, and history. OJJDP's TYP research activities, which will provide empirical evidence about juvenile justice and delinquency prevention policies and practice for American Indian and Alaska Native youth.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, 810 7th Street, N.W., Washington, DC 20531. Telephone: (202) 307-5924. Contact: Laura Ansera, Program Manager, State and Tribal Assistance Division. Telephone: (202) 307-5924.

#### **Web Site Address:**

<http://www.ojp.usdoj.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

The Suquamish Tribe, Washington is addressing substance abuse related delinquency among Indian youth through a prevention program targeting young people ages 10 to 21. The program consists of after school activities focusing on teaching youth leadership skills, communication skills, and traditional survival skills. The program includes cultural activities and opportunities for youth to become involved with the community. The goal of the activities and skills building is to improve young people's ability to avoid involvement with drugs and alcohol and delinquent behavior, and to strengthen youth, family, and community interactions. s implementing a graduated sanctions program for youth convicted of underage drinking and curfew violations. The program is administered through the joint effort of the Tribal Court and the Menominee Office of Family Preservation and Support. Juveniles are referred to the program by the Tribal Court. The program seeks to reduce recidivism amongst juveniles that enter the program. The program includes alcohol abuse education classes to teach juveniles about the danger, both physically and spiritually, that alcohol can cause. The program also provides drug and alcohol abuse assessment and treatment along with a community service component. Muscogee (Creek) Nation proposes to establish a Juvenile Delinquency Prevention and Services Program to provide prevention services to impact risk factors for delinquency and improve its juvenile justice system. The Nation's proposed project will promote delinquency prevention by providing intervention and education, resource, and support activities to tribal youth identified as at-risk; provide advocacy to tribal youth entering the state juvenile justice system; and develop and implement juvenile probation services. During the three year project period, the Nation will provide the following: delinquency prevention services, including individual/family needs assessment, service plan development, and individual/family home-based counseling, to at least seventy-five 12-17; advocacy to at least thirty (30) youth under the age of 17 entering the State of Oklahoma juvenile justice system; and probation services, including home visits, community service, and case management, to between 10-15 youth under the age of 17, who are identified as delinquent by the Nation's District Court. The Cheyenne and Arapaho Tribes of Oklahoma intend to develop a program that will reduce the high incidence of violence among the Tribal Youth that reside within the eight county service area through a community-based approach. The project will be developed in order to prevent the widespread use of alcohol and drugs through the use of education awareness, recreational activities, and tradition/cultural activities by developing on-site classes and on-site activities in the four target communities during the summer months for the tribal youth, ages 6 - 17. The other objective of this grant shall be to reduce the high incidence of school truancy, the high percentage rate of dropouts from the local school system through increased awareness of the importance of a formal education from the local school districts. The project will work with the whole family unit by providing a Mentor within the communities that will strive to increase the self-esteem of the Cheyenne and Arapaho students, and to reduce the incidence of child neglect, teen pregnancy, through the use of Parenting Skills Training and Sex Education classes. The Southern Ute Indian Tribe in Colorado is attempting to reduce delinquency and substance abuse among at-risk and court-involved Native American youth. Using FY04 Tribal Youth Program funds, the Southern Ute Tribe is supporting the collaborative efforts of two tribal government departments (the Southern Ute Social Services Division and the Southern Ute Tribal Court) and a tribally affiliated nonprofit (Youth Services Division of

SouthernUteCommunity Action Programs, Inc.) to address juvenile delinquency on multiple fronts. The program, which serves approximately 85 juveniles a year (ages 8 to 17), includes a variety of elements such as an evidence-based parenting program which aims to improve the communication, problem solving, and life skills of at-risk youth and their parents, and a Teen Court which allows Native American youth to participate in the sentencing portion of certain juvenile misdemeanor and felony cases. In addition, the Teen Court is developing its sentencing procedures to use sentencing circles, a process that engages youth in meaningful interactions with defendants and is design d t increase their connection to the community. The Swinomish Indian Tribal Community of Washington is a relatively small rural community, gripped by significant drug and alcohol abuse. Recognizing the importance of stemming the tide of youth substance abuse and delinquent behavior, the Swinomish Tribal Community has established a team of tribal court and social services personnel to plan and implement the Swinomish Youth Wellness Court (SYWC). The focus is to improve the tribal juvenile justice system and provide alcohol and drug abuse prevention programs. The expected target population for the SYWC is youths between the ages of 12 and 17. There are currently 64 tribal members within the target age and 228 members under the age of 18. It is anticipated that the SYWC will provide services to 10 to 15 clients yearly when fully operational.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated and rated by a modified peer review process according to prescribed selection criteria.

### **16.734 SPECIAL DATA COLLECTIONS AND STATISTICAL STUDIES**

(Statistics)

#### **FEDERAL AGENCY:**

BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

#### **AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3731-3735.

#### **OBJECTIVES:**

To produce official national statistics on crime and the administration of justice to be used to guide Federal, State, and local policy-making and improve the quality of and access to information used for decision making.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds are to be used for a variety of activities in support of BJS's statistical programs including: to conduct data collection and processing activities; carry out statistical and methodological research; provide technical assistance to State, local, and tribal governments to develop their capabilities to produce justice statistics; and provide dissemination and clearinghouse services to data users.

#### **Applicant Eligibility:**

The Bureau of Justice Statistics is authorized to award grants and cooperative agreements to State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States and federally recognized Indian Tribal Governments are also eligible to participate in this program.

#### **Beneficiary Eligibility:**

Eligible beneficiaries are State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

#### **Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

#### **Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372. excluded from coverage under E.O. 12372.

#### **Application Procedure:**

The Office of Justice Programs (OJP)now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

#### **Award Procedure:**

Awards are made by OJP and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

Not applicable.

**Renewals:**

Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

There are no statutory requirements for matching funds. requirements for matching funds.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12 months. Assistance is released by "direct disbursement" at the request of the grantee. generally 12 months. Assistance is released by "direct disbursement" at the request of the grantee.

**Reports:**

Reporting requirements include: Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS; and Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for the reporting periods June 30 and December 31. containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS; and Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for the reporting periods June 30 and December 31.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. 133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report. Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) Not separately identified.

**Range and Average of Financial Assistance:**

\$50,000 to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide. Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lisa Price-Grear, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 616-3561. Email: price@ojp.usdoj.gov. Use the same number for FTS. Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 616-3561. Email: price@ojp.usdoj.gov. Use the same number for FTS.

**Web Site Address:**

http://www.ojp.usdoj.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be outlined in the program announcements or solicitations. program announcements or solicitations.

## 16.735 PROTECTING INMATES AND SAFEGUARDING COMMUNITIES DISCRETIONARY GRANT PROGRAM

(Prison Rape Elimination)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Prison Rape Elimination Act of 2003.

**OBJECTIVES:**

To make grants to States and to assist those States in ensuring that budgetary circumstances (such as reduced State and local spending on prisons) do not compromise efforts to protect male and female inmates in adult and juvenile correctional facilities from prison rape as well as safeguarding the communities to which inmates return.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

This program is divided into two parts: Protecting Inmates and Safeguarding Communities. Protecting Inmates focuses on providing funding to State and local agencies for the costs of personnel, training, technical assistance, data collection, and equipment necessary for the proper prevention, investigation, and prosecution of prison rape and the provision of victim service and treatment. Safeguarding Communities focuses on training and technical assistance to states on moderating the growth of prison populations without compromising public safety; developing and utilizing analyses of prison populations and risk assessment instruments to educate State and local governments' understanding of risks to the community of inmate reentry; preparing and updating maps that provide on a community-by-community basis a roster of returning offenders; promoting collaborative efforts with State and local governments to understand and address the risks involved when a large number of inmates reenter a community; and developing policies and programs that reduce spending on prisons by effectively reducing rates of parole and probation revocation without compromising public safety. Grant awards of up to \$1,000,000 will be made, with a grant period not to exceed 24 months.

**Applicant Eligibility:**

Eligible applicants are States which are interested in: (1) protecting inmates by undertaking efforts to more effectively prevent, investigate, and prosecute prison rape incidents and providing the appropriate victim services and treatment, and (2) safeguarding communities through various mediums such as intergovernmental collaboration, assessment, training, and technical assistance. Applicants in varying stages of developing a prison rape initiative are eligible and encouraged to apply. Applicants must coordinate their proposal with other stakeholders in their State to ensure a collaborative response to this solicitation and ensure that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the State shall submit one application which designates which State agency will manage the grant. (Note: The Chief Executive must certify that his/her State has adopted, or will consider adopting, the national prison rape standards.) States are encouraged to make sub-awards to local jurisdictions (e.g., jails, lock-ups, detention centers) for such purposes consistent with this solicitation.

**Beneficiary Eligibility:**

Eligible applicants are States.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes: (1) program goals; (2) implementation process; (3) timetable for implementation; and (4) documentation that includes organizational experience, name of grantee agency or fiscal agent, identification of management structure, letters of support/commitment and/or memoranda of understanding, and description of previous collaboration.

**Preapplication Coordination:**

Applicants must coordinate their proposal with other stakeholders in their State to ensure a collaborative response to this solicitation and ensure that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the State shall submit one application which designates which state agency will manage the grant. (Note: The Chief Executive must certify that his/her state has adopted, or will consider adopting, the national prison rape standards.) States may make sub-awards to local jurisdictions (e.g., jails, lock-ups, detention centers) for such purposes consistent with this solicitation. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit a completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Bureau of Justice Assistance. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Applications must be submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be

signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, for application deadline at (1-866) 859-2687 or E-mail: AskBJA@usdoj.gov.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

24 months.

**Reports:**

Recipients are required to submit Individual Project Reports as sub-awards are made, quarterly Financial Reports, and an annual Evaluation Report.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$17,942,869; FY 08 \$17,860,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Elizabeth Griffith, Assoc. Deputy Director, Telephone: (202) 616-6500.

**Web Site Address:**

Protecting Inmates and Safeguarding Communities:  
<http://www.ojp.usdoj.gov/BJA/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be scored based upon ability to clearly articulate strategy in the following areas: Budget Applicants must provide a budget that is complete, allowable, and cost effective in relation to the activities to be undertaken. Program Narrative Project Abstract Applicants must briefly describe in 200 words or less the project's purpose, goals and objectives, and summarize the activities that will be implemented to achieve the goals and objectives, as well as the infrastructure and collaboration necessary to manage the proposed activities. Problem To Be Addressed -- Applicants must demonstrate an understanding of the problem; discuss historical and current efforts for addressing the problem; provide statistical evidence of the problem; illustrate what the applicant is proposing to do and how the applicant intends to do it; and provide qualitative and quantitative data to evaluate outcomes. Goals and Objectives Applicants must identify the progressive steps to be taken in order to accomplish the goal; identify how the agency's purpose area goal will enhance or expand an existing strategy; and include how achievement of the enhancement of expansion will be measured. Project Design/Strategy Applicants must provide a strategy that discusses the program's concept, identifies the program's target population(s) and target area(s), and explains how this strategy will achieve the project's goals and objectives. Management and Organizational Capability.

**16.736 TRANSITIONAL HOUSING ASSISTANCE FOR VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, STALKING, OR SEXUAL ASSAULT**

(Transitional Housing)

**FEDERAL AGENCY:**

OFFICE ON VIOLENCE AGAINST WOMEN, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended; The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.

**OBJECTIVES:**

To provide transitional housing assistance and related support services to minors, adults, and their dependents who are homeless, or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence, dating violence, sexual assault, or stalking; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are available to provide transitional housing, including funding for the operating expenses of newly developed or existing transitional housing; short term housing assistance, including rental or utilities payment assistance and assistance with related expenses, such as payment of security deposits and other costs incidental to relocation to transitional housing; and support services designed to enable a minor, an adult, or a dependant of such minor or adult, who is fleeing a situation of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community by providing that minor, adult, or dependant, with services, such as transportation, counseling, child care, case management, employment counseling, and other assistance. Participation in the support services must be voluntary. Receipt of the benefits of the housing assistance shall not be conditioned upon the participation of the youth, adults, or dependents in any or all of the support services offered them. Housing assistance is limited to 24 months with a possible extension for an additional 6 months if the client has made a good faith effort to acquire permanent housing and has been unable to acquire permanent housing.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, units of local government, and other organizations, including domestic violence and sexual assault victim service providers, domestic violence and sexual assault coalitions, other nonprofit, nongovernmental organizations, or community-based and culturally specific organizations, that have a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Beneficiaries include minors, adults, and their dependants who are homeless or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**Creditentials/Documentation:**

Applicants must provide assurances that supportive services offered to participants are voluntary and that refusal to receive such services shall not be grounds for termination from the program or eviction from the housing.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the Office on Violence Against Women for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**



Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee.

**Reports:**

Semi-annual progress and quarterly financial reports are required, as stipulated in the effective edition of the Office of Justice Programs Financial Guide. Upon completion of the grant period, grantees shall file a performance report explaining the activities carried out and including an assessment of the effectiveness of those activities in achieving the purposes of the program.

**Audits:**

Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

FY 07 \$12,898,534; FY 08 est \$14,271,762; and FY 09 est \$9,990,223.

**Range and Average of Financial Assistance:**

\$150,000 to \$475,000; \$246,065.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: Applications: 215, Awards: 51; FY 08: Applications: 112, Awards: 58; FY 09: Applications: 112, Awards: 41.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Violence Against Women, Department of Justice, 800 K Street, NW., Washington, DC 20530. Telephone: (202) 307-6026.

**Web Site Address:**

<http://www.ovw.usdoj.gov>

**RELATED PROGRAMS:**

16.588, Violence Against Women Formula Grants; 16.587, Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589, Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590, Grants to Encourage Arrest Policies and Enforcement of Protection Orders.

**EXAMPLES OF FUNDED PROJECTS:**

Examples include rental subsidies for victims or direct provision of housing, counseling, child care, job training and readiness programs, and life skills training programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 16.737 GANG RESISTANCE EDUCATION AND TRAINING

(G.R.E.A.T)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

The Consolidated Appropriations Act 2004, Public Law 108-109.

**OBJECTIVES:**

To help prevent youth crime, violence and gang association while developing a positive relationship among law enforcement, families, and our young people, to create safer communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Law enforcement agencies can only use the funds provided to administer the G.R.E.A.T. Program. This includes providing G.R.E.A.T. training for law enforcement officers and the purchasing of materials and supplies for the implementation and ongoing operation of the program.

**Applicant Eligibility:**

All State, county, tribal and municipal units of general purpose government and law enforcement agencies and other special purpose law enforcement agencies (i.e., independent school districts) in the United States and U.S. Territories.

**Beneficiary Eligibility:**

All State, county, tribal and municipal governments, law enforcement agencies and schools in the United States and U.S. Territories.

**Credentials/Documentation:**

Jurisdiction or agency head must enter into the award agreement with the Office of Justice Programs (OJP).

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted by the Chief Executive Officer of a jurisdiction, or formal designee or law enforcement agency head, via the Internet-based Office of Justice Programs (OJP) Grants Management System (GMS) at [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov). On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about the OJP GMS, call the OJP GMS Hotline. Telephone: 1-888-549-9901; or access the BJA home page at [www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA). For general information about the G.R.E.A.T. Program, contact the U.S. Department of Justice. Telephone: 1-866-859-2687 or by email at [AskGreat@usdoj.gov](mailto:AskGreat@usdoj.gov).

**Award Procedure:**

Awards are issued by the Assistant Attorney General, Office of Justice Programs via the Internet-based Grants Management System (GMS). Grantees will be notified of the availability of the award via e-mail. The award must be accepted by the jurisdiction or agency head, with assurance of compliance with standard and special conditions of the grant award. To accept the award, grantees must print the award document from the GMS. The award must be accepted (signed) by applicant jurisdiction or agency head or his/her official designee and faxed to the Office of the Comptroller Control Desk.

**Deadlines:**

Applications must be received on or before each fiscal year's posted deadline. Application period dates are always posted on the Bureau of Justice Assistance web page at [www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA).

**Range of Approval/Disapproval Time:**

Grant awards and denials are generally made within 90 days of application submission.

**Appeals:**

None.

**Renewals:**

All applicants must apply annually for funds.

**Formula and Matching Requirements:**

The Federal share of a grant-funded project may not exceed 90 percent of the total costs of the project. The 10 percent matching funds must be in the form of a cash match.

**Length and Time Phasing of Assistance:**

Grant awards are issued for 12 or 18 months. Grantees may request extensions, not to exceed 12 additional months.

**Reports:**

Applicants are required to submit a quarterly Financial Status report and semi-annual Categorical Assistance Progress Report.

**Audits:**

Program/project reviews will be conducted by Department of Justice personnel, as needed, to ensure correct usage of funds and compliance with program requirements. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Agencies are required to maintain a system of standardized records for inspection or disclosure.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

FY 07 \$24,680,700; FY 08 \$18,800,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Level I: Up to \$125,000. Agencies implementing the G.R.E.A.T. middle school component or the G.R.E.A.T. middle school component and up to two other components. Level II: Up to \$150,000. Agencies implementing the G.R.E.A.T. middle school component and the three other components or are collaborative efforts between at least three contiguous governmental subdivisions and/or municipal and county agencies (e.g., multiple precincts, county and city governments, school police departments and police/sheriff departments, or police departments and prosecutors or parole offices).

**PROGRAM ACCOMPLISHMENTS:**

As of July 29, 2004, 7,027 officers from 5,485 agencies, representing 50 States, D.C., Puerto Rico, Canada, and military personnel from overseas bases have been trained to present the core curriculum in elementary and middle school classrooms. Almost 3.9 million children have been trained with the G.R.E.A.T. curriculum. For fiscal year 2002, more than 364,000 and in fiscal year 2003 nearly 307,000 children received G.R.E.A.T. certificates for completing the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Funding guidelines and criteria are published annually in the National Federal Register. Information on the program can be obtained by contacting the G.R.E.A.T. Program Headquarters office. A cross-sectional evaluation of the

program can be found in the National Institute of Justice Research in Brief, November 1997 issue, "National Evaluation of G.R.E.A.T." by Finn-Aage Esbensen and D. Wayne Osgood.

**Regional or Local Office:**

The G.R.E.A.T. Program currently has five regional offices that are each run by a local law enforcement agency. The offices and contacts are: Southeast Region, Lieutenant Brett Meade, Orange County Sheriff's Office, 2500 W. Colonial Drive - 2nd Floor., Orlando, Florida 32804. Telephone: (407) 254-7369; Northeast Region, Sergeant Steve Naughton, Philadelphia Police Department, Community Relations Division, 1328 Race Street - 2nd Floor., Philadelphia, Pennsylvania 19107. Telephone: (215) 686-1477; Midwest Region, Lieutenant Raj Ramnarace, La Crosse Police Department, 400 La Crosse Street, La Crosse, Wisconsin 54601. Telephone: (608) 789-8202; Southwest Region, Sergeant Wayne Bensfield, Phoenix Police Department, 620 West Washington Street, Phoenix, Arizona 85003. Telephone: (602) 495-0432; Northwest Region, Sergeant George Weatheroy, Portland Police Bureau, 449 NE Emerson, Portland, Oregon 97211. Telephone: (503) 823-2111.

**Headquarters Office:**

Contact Linda Hammond-Deckard, Bureau of Justice Assistance - Policy Office; 810 Seventh Street, NW; 4th Floor; Washington, DC 20531. Telephone: (202)616-6500 or 1-866-859-2687 or by email at AskGreat@usdoj.gov.

**Web Site Address:**

Bureau of Justice Assistance, GREAT:  
<http://www.ojp.usdoj.gov/BJA/grant/great.html> GREAT On-Line:  
<http://www.great-online.org/> GREAT Officer Training: <http://www.great-online.org/greatofficertraining.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The City of Sylvester, Georgia Police Department will engage 1,000 students in the classroom and provide them with the G.R.E.A.T. core curriculum. The funds will also allow the Sylvester, Georgia Police Department to sponsor a Summer G.R.E.A.T. program for at-risk youth. The City of Flagstaff Police Department will operate its 6th annual G.R.E.A.T. Summer Camp, involving more than 80 youth.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are evaluated on a variety of criteria in order to determine funding, including: the number of children to which the applicant teaches the G.R.E.A.T. Program, other programs applicants have in place that could reinforce the program goals and the applicant's participation in the national administration of the program are all taken into consideration. Additional considerations include community population size, scope of gang-related issues in the community, and applicant's past performance. During each funding period, due consideration will be given to funding new applicants whose applications meet the program criteria.

**16.738 EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 as amended Subpart 1 of such part (42 U.S.C. 3751-3759). Consolidated Appropriations Act, 2008, Public Law 110-161. Public Law 109-162, Title XI, Department of Justice Reauthorization, Subtitle B, Improving the Department of Justice's Grant Programs, Chapter 1, Assisting Law Enforcement and Criminal Justice Agencies, Section 1111. Merger of Byrne Grant Program and Local Law Enforcement Block Grant Program.

**OBJECTIVES:**

To provide States and units of local government with funds to provide additional personnel, equipment, supplies, contractual support, training, technical assistance, and information systems for criminal justice.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Law enforcement programs; prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment programs; and planning, evaluation, and technology improvement programs. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

All States, the District of Columbia, Guam, America Samoa, the Commonwealths of Puerto Rico, the Virgin Islands, and the Northern Mariana Islands. Units of local government are eligible consistent with established guidelines.

**Beneficiary Eligibility:**

States, Territories, and units of local government.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements

specified in the program guidance. Costs will be determined in accordance with 2 CFR, Part 225 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in their State for more information on the process the State requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28CFR, Part 66 must be used with this program.

**Application Procedure:**

Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation as well as the JAG Program Guidance Manual.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Bureau of Justice Assistance. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Applications must be submitted within 90 days of the signing of the Appropriation by the President, or as otherwise specified by the Bureau of Justice Assistance.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance shall not finally disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity to correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18 Code of Federal Regulations.

**Renewals:**

Are subject to annual appropriations.

**Formula and Matching Requirements:**

The JAG formula includes a State allocation consisting of a minimum base allocation with the remaining amount determined on a population and Part 1 violent crime statistics, and a direct allocation to units of local government. Once the State allocation is calculated, 60 percent of the funding is awarded to the State and 40 percent to the eligible units of local government. State allocations also have a required "variable pass through to units of local governments, as calculated by the Bureau of Justice Statistics (BJS) from each State's crime expenditures. There is no match required at the Federal level. However matching is an effective strategy for states and local units of government to expand justice funds and build buy-in for local criminal justice initiatives.

**Length and Time Phasing of Assistance:**

The period of formula grant awards under this program is 4 years.

**Reports:**

Financial and Progress reports are required in accordance with the Office of Justice Programs Financial Guide. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit in accordance with OMB Circular No. A-133, as described in Chapter 19 of the Office of Justice Programs Financial Guide, and as required by award special conditions.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$525,171,000; FY 08 \$170,433,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$10,000 to \$37,000,000.

**PROGRAM ACCOMPLISHMENTS:**

See program web site <http://www.ojp.usdoj.gov/BJA/index.html> or contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide, the Bureau of Justice Assistance Justice Assistance Grant Program Guidance Manual.

**Regional or Local Office:**

Contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, 4th Floor, State Policy Office, 810 Seventh Street N.W., Washington, DC 20531; Eileen Garry Deputy Director, Telephone: (202) 616-6500 or (1-866) 859-2687 or by E-mail:

AskBJA@usdoj.gov.

**Web Site Address:**

<http://www.ojp.usdoj.gov/BJA/>

**RELATED PROGRAMS:**

16.592, Local Law Enforcement Block Grant Program; 16.579: Edward Byrne Memorial Formula Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

## 16.739 NATIONAL PRISON RAPE STATISTICS PROGRAM

**FEDERAL AGENCY:**

BUREAU OF JUSTICE STATISTICS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3732, and Prison Rape Elimination Act, Public Law 108-79.

**OBJECTIVES:**

To collect and analyze data on the incidence of sexual assault among individuals held in Federal and State prisons, local jails, and juvenile facilities as well as former inmates.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to be used for a variety of activities in support of the Implementation of the National Prison Rape Statistics program including: to conduct data collection and processing activities, and carry out statistical and methodological research.

**Applicant Eligibility:**

The Bureau of Justice Statistics is authorized to award grants and cooperative agreements to State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

**Beneficiary Eligibility:**

Eligible beneficiaries are State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

A potential grantee should contact the Headquarters Office, Lisa Price-Grear, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 616-3561 or E-mail: [lisa.price-grear@usdoj.gov](mailto:lisa.price-grear@usdoj.gov). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

None.

**Deadlines:**

Contact the Headquarters Office, Lisa Price-Grear, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 616-3561. E-mail: [lisa.price-grear@usdoj.gov](mailto:lisa.price-grear@usdoj.gov).

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

Hearing by Director.

**Renewals:**

Most awards are for periods of 12 - 18 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12-18 months. Assistance is released by "direct disbursement" at request of grantee.

**Reports:**

Reporting requirements include: Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS; and Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for the reporting periods June 30 and December 31.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for a least three years following the closure of the most recent audit report.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$14,808,420; FY 08 \$2,488,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$1,000,000 to \$3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, BJS continues to work to fully implement the data collection and reporting requirements under the Prison Rape Elimination Act of 2003. Between April and August 2007, BJS completed the first National Inmate Survey (NIS), using Audio Computer-Assisted Self Interview methods, of 146 State and Federal prisons. A total of 23,398 inmates participated in the survey. Survey procedures and questionnaires for the National Survey of Youth in Custody (NSYC) have been tested and results were presented to juvenile administrators and other stakeholders on August 28, 2007. National implementation is expected in June 2008. When fully implemented, the NSYC will include about 15,000 adjudicated youth in a sample of 208 State operated facilities and 48 large non-State facilities. In early 2008 national implementation began of the Former Prisoner Survey (FPS). The survey will include about 16,500 former inmates in a sample of 285 parole offices. BJS has also begun work on the National Prison Rape Surveillance Project, which is a study using medical indicators and medical surveillance methodologies to measure the incidence and prevalence of sexual assault in correctional facilities. Latest data can be found in the BJS reports, Sexual Victimization in State and Federal Prisons as Reported by Inmates, 2007 (NCJ 219414) and Sexual Violence Reported by Correctional Authorities, 2006 (NCJ 218914).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ms. Lisa Price-Grear, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531. Telephone: (202) 616-3561. E-mail: [lisa.price-grear@usdoj.gov](mailto:lisa.price-grear@usdoj.gov). Use the same number for FTS.

**Web Site Address:**

<http://www.ojp.usdoj.gov/bjs>.

**RELATED PROGRAMS:**

16.735, Protecting Inmates and Safeguarding Communities Discretionary Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

National Prisoner Survey of Sexual Assault; National Survey of Sexual Assault Reported by Former Prisoners; National Prison Rape Surveillance Project; National Survey of Youths in Custody.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be outlined in the program announcements or solicitations.

## 16.740 STATEWIDE AUTOMATED VICTIM INFORMATION NOTIFICATION (SAVIN) PROGRAM

(SAVIN)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

The purpose of the SAVIN grant program is to assist States in building, implementing or improving their statewide automated victim notification system, thereby enabling them to provide critical information to victims in near-real time and to build a nationwide information sharing capability.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Technology improvement programs. SAVIN grantees are required to use the National Information Exchange Model (NIEM) ([www.niem.gov](http://www.niem.gov)), follow associated SAVIN implementation guidelines, and adopt the guidelines as part of their SAVIN program planning.

**Applicant Eligibility:**

Qualified agencies of State governments or other agencies authorized by State governments are eligible to apply for grant funds to establish new statewide automated victim notification programs in their States, or to expand the



functionality of existing statewide automated victim notification programs. American Indian Tribes and Alaska Native Tribes and/or Tribal Organizations: All tribal applications must be accompanied by a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal counsel or comparable government body. If the grant will benefit more than one tribal entity, a current authorizing resolution or other enactment of the tribal counsel or comparable government body from each tribal entity must be included. If the grant application is being submitted on behalf of a tribal entity, a letter or similar document authorizing the inclusion of the tribal entity named in the application must be included.

**Beneficiary Eligibility:**

States, Territories and Tribal governments.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements specified in the program guidance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 must be used with this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted to BJA following the criteria set out in this solicitation, as well as in the Office of Justice Programs Financial Guide.

**Award Procedure:**

A letter and copies of the grant award are sent to the applicant agency upon approval by the Assistant Attorney General. One copy of the grant award must be signed by the grantee's authorized official and returned to the Office of Justice Programs.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, for application deadline at (1-866) 859-2687 or by E-mail: AskBJA@usdoj.gov.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance shall not finally disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity to correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18, Code of Federal Regulations.

**Renewals:**

Renewals are subject to annual appropriations.

**Formula and Matching Requirements:**

Congress has mandated that Federal funds provided under the SAVIN program "require a 50 percent match from State, local or private sources." For each Federal dollar awarded, the managing agency must provide \$0.50 towards the planning, implementation, operation and/or assessment of the project from state, local or private sources. Matching contributions may be a cash match, an 'in-kind' match, or a combination of the two. For the purpose of this grant, cash match contributions consist of cash funds contributed to the planning, implementation, operation and/or assessment of the SAVIN project. For the purpose of this grant, in-kind matching contributions consist of indirect expenditures in support of the SAVIN project, including the cost of state/local program staffing, facilities, communication infrastructure, and equipment used in the planning, implementation, operation, management or assessment of the program.

**Length and Time Phasing of Assistance:**

BJA will award funding to deploy and operate the program for 24 months from the date of award.

**Reports:**

Financial and Progress reports are required in accordance with the Office of Justice Programs Financial Guide.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit in accordance with OMB Circular No. A-133, as described in Chapter 19 of the Office of Justice Programs Financial Guide. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$8,885,052; FY 08 \$34,780,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

BJA will determine the number of awards based on available resources, the number of submissions received, criteria set forth in this grant announcement.

**PROGRAM ACCOMPLISHMENTS:**

BJA combined the funding available in FY 2005 (\$7,393,000) and FY 2006 (\$8,965,825) for an open solicitation for applications. BJA selected 16 statewide systems for award, with \$3,372,964 carried over and made available in FY 2007. BJA also established the SAVIN Guidelines and Standards Advisory Committee and published the SAVIN Guidelines and Standards document in October 2006 for planning, managing and operating a successful SAVIN system.

The SAVIN Guidelines and Standards document also includes a set of technology standards to ensure newly developed systems conform to national criminal justice information sharing standards. In FY 2007, the \$8,829,239 in new funding combined with carry-over for a total of \$12,202,203 in available funding. BJA issued a competitive solicitation in FY 2007 and selected 11 new awards and 4 supplemental awards for system enhancements. The FY 2007 awards brought the total number of statewide SAVIN systems to 27. BJA in partnership with the Integrated Justice Information Systems (IJIS) Institute held the first annual SAVIN conference in April, 2007, and brought together two member teams from 42 states to share progress and highlight innovative strategies for system design and implementation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Dever, Policy Advisor, 810 7th Street, N.W., 4th Floor, Washington, DC., 20531; Telephone (202) 616-6500 or (1-866) 859-2687 or by E-mail: AskBJA@usdoj.gov.

**Web Site Address:**

<http://www.ojp.usdoj.gov/BJA/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.741 FORENSIC DNA BACKLOG REDUCTION PROGRAM**

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF JUSTICE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Department of Justice Appropriations Act, 2005, Public Law 108-447, 118 Stat. 2809, 2853, 2865 (2004).

**OBJECTIVES:**

The goal of NIJ's Forensic DNA Backlog Reduction Program for Fiscal Year (FY) 2008 is to assist eligible States and units of local government to reduce forensic DNA case turnaround time, increase the throughput of public DNA laboratories, and reduce DNA forensic casework backlogs. These improvements are critical to preventing future DNA backlogs and to helping the criminal justice system use the full potential of DNA technology.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Expenditures from Forensic DNA Backlog Reduction Program awards may include the following: (1) Salary and benefits of additional laboratory employees: Funds may be used to hire additional full-time or part-time laboratory employees who will be directly engaged in handling, screening, and/or analyzing forensic evidence that may contain DNA, or in validating new DNA analysis technologies. Matching funds are not required. NIJ makes no assurance that funds will be available for this purpose in future award announcements. (2) Overtime for existing laboratory staff: Funds may be used to pay overtime for existing laboratory employees who will be directly engaged in handling, screening, and analyzing forensic evidence that may contain DNA, or in validating new DNA analysis technologies. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/finguide06>. (3) Training: Funds may be used for appropriate training of DNA laboratory personnel. - Existing members of the DNA unit: Appropriate training may include internal or external training, appropriate continuing education/training opportunities, and/or applicable graduate-level coursework that is directly related to the applicant's forensic DNA laboratory operation and is for members of the DNA Unit. (Reasonable travel expenses directly associated with training may be paid in accordance with the provisions of the OJP Financial Guide.) Funds associated with internal or external training, appropriate continuing education/training opportunities, and/or applicable graduate-level coursework for existing members of the DNA Unit (including travel expenses) are limited to no more than 5

percent of the total award. Such funds will be awarded with the intended purpose of aiding existing members of the DNA Unit to meet the continuing educational requirements mandated in DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. - New members of the DNA Unit: States and units of local government that wish to use funds to train new employees to handle, screen or analyze DNA evidence should submit a detailed plan for training these individuals with their proposal. There is no fixed percentage cap on the funds for this purpose. (4) Travel (Limited): Funds may be used for travel to public or private accredited laboratories that will conduct DNA analyses to review procedures and practices prior to initial sample shipment, and to make one additional unannounced site visit. Funds may also be used for travel associated with DNA training as described above. Travel expenses must be reasonable and must comply with the applicable provisions of the OJP Financial Guide. (5) Equipment: Funds may be used for upgrading, replacing, and purchasing laboratory equipment, instrumentation, and computer hardware or software (e.g., LIMS or expert systems) for forensic DNA analyses and data management. (6) Supplies for Validation: Allowable supply expenses include the purchase of laboratory supplies that can be directly attributed to the validation of new DNA analysis technologies. Convicted offender-related evidence collection kits may also be purchased. (7) Supplies for in-house laboratory handling, screening, and analysis of forensic DNA casework samples: Funds may be used for costs associated with in-house laboratory handling, screening, and analysis of forensic DNA casework samples. These costs include supply expenses (to include any supplies necessary for the handling, screening, and analysis of backlogged forensic casework samples in addition to supplies discussed above) directly attributable to forensic DNA casework. (8) Renovation: Funds may be used for renovations to existing DNA laboratory facilities if it can be demonstrated that the purchases will directly and specifically improve the efficiency of the forensic DNA laboratory. Expenses that may be allowable include the purchase or upgrade of benches, cabinets, interior dividing walls, plumbing, HVAC systems, electrical wiring, evidence examination and preparation rooms, evidence storage rooms, drying rooms, walk-in freezers, and extraction or amplification rooms. (9) Consultant and contractor services other than sending forensic DNA casework samples to accredited fee-for-service laboratories for analysis: Funds may be used to hire consultants and/or temporary contract staff to handle, screen, and analyze forensic evidence that may contain DNA or to validate new DNA analysis technologies. Funds may also be used to hire consultants or contractors to assist laboratories with the installation of LIMS or expert systems, or with the implementation of DNA process-improvement measures. (10) Sending forensic DNA casework samples to public or private accredited forensic DNA laboratories for analyses: Funds may be used to send samples to accredited fee-for-service laboratories to conduct DNA analyses. Funds may also be used to enter into agreements with accredited government-owned laboratories to conduct DNA analyses, perform data review, enter eligible forensic DNA profiles into CODIS, and, where applicable, upload to NDIS. If an eligible applicant chooses to send samples to an external accredited forensic DNA laboratory, the applicant will be responsible for ensuring that applicable NDIS Data Acceptance Standards are met for all profiles uploaded to NDIS. Administrative expenses: Up to 3 percent of the Federal portion of a grant awarded under this program may be used for direct and indirect administrative expenses specifically related to grant administration and management.

**Applicant Eligibility:**

Eligible applicants are State and units of local government with existing crime laboratories conducting DNA analysis that are either: (1) Accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., or (2) Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

**Beneficiary Eligibility:**

Eligible applicants are State and units of local government with existing crime laboratories conducting DNA analysis that are either: (1) Accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., or (2) Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

**Credentials/Documentation:**

The applicant must furnish a copy of their current accreditation certificate.

**Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements, the research priorities of the Institute, and application and selection procedures. The standard application form as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Applicants must contact their

State Point of Contact (SPOC) to determine if the program has been selected for review by the State. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The date that the application was sent to the SPOC or the reason such submission is not required must be included in the application. A copy of the application must also be submitted to the State office that administers the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program.

**Application Procedure:**

Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll free to request a copy at (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities. This program is subject to the provisions of OMB Circular No.A-110 or the Common Rule where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at (1-888) 549-9901.

**Award Procedure:**

All applications will be reviewed by the Program Office. All final decisions will be made by the NIJ Director.

**Deadlines:**

There is normally one deadline each year, usually in the Spring. The deadline varies based on when program appropriations is passed into law. Throughout the fiscal year, NIJ releases multiple announcements for research and technology development funding. Program deadline will be included in the announcements on FedGrants at [www.fedgrants.gov](http://www.fedgrants.gov), on NIJ's website at [www.ojp.usdoj.gov/nij/funding.htm](http://www.ojp.usdoj.gov/nij/funding.htm), and on the Office of Justice Programs website at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

**Range of Approval/Disapproval Time:**

Approximately 90 days from application deadline.

**Appeals:**

Hearing by the NIJ Director.

**Renewals:**

None.

**Formula and Matching Requirements:**

Grant funds shall not be used to pay salaries and/or benefits of existing State or local personnel. Applicants, however, may include the cost of hiring new laboratory personnel directly associated with the project.

**Length and Time Phasing of Assistance:**

Awards under this program are issued for a period of 18 months.

**Reports:**

Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project; program reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments. Other reports may be requested.

**Audits:**

In accordance with the provisions of OMB Circular No.A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofits Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$44,249,591; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Forensic DNA Backlog Reduction Program solicitation may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Justice, Department of Justice, 810 7th Street, N.W.,

Washington, DC 20531. Telephone: (202) 307-2942. FTS number is (202) 307-3942. For assistance with the requirements of this solicitation, contact Senior Program Manager: Mark Nelson; Telephone: (202) 616-1960 or Mark.S.Nelson@usdoj.gov, or Program Manager: Minh Nguyen; Telephone: (202) 305-2664 or Minh.Nguyen@usdoj.gov. This application must be submitted through OJP's online Grants Management System (GMS). For technical assistance with submitting the application, call the Grants Management System Customer Support Hotline at (1-888) 514-9901.

**Web Site Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible State and units of local government with existing crime laboratories conducting DNA analysis that are accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., and undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

## **16.742 PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

NATIONAL INSTITUTE OF JUSTICE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561; as amended by Public Law 107-273; as amended by the Justice for All Act of 2004, Public Law 108-405.

**OBJECTIVES:**

To improve the quality and timeliness of forensic science and medical examiner services and/or to eliminate backlogs in the analysis of forensic evidence, including controlled substances, firearms examination, forensic pathology, latent prints, questioned documents, toxicology, and trace evidence for criminal justice purposes.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used to improve the quality and timeliness of forensic science and medical examiner services, including services provided by laboratories operated by States and those operated by units of local government. Among other purposes, funds may be used to eliminate backlogs in the analysis of general forensic evidence, or to train and employ forensic laboratory personnel to eliminate such backlogs. State Administering Agencies and units of local government may apply directly to NIJ for funding. Funds may be used for personnel, computerization, laboratory equipment, supplies, accreditation, education, training, and certification, facilities' a formula, found in the funding announcement, determines the limit to the amount of funding that can be used for facilities, and administration expenses (not to exceed 10 percent). Funds may not be used for expenses other than those listed above.

**Applicant Eligibility:**

Coverdell State Administering Agencies and units of local government may apply directly to NIJ for funding. All applicants for Coverdell grants - whether States or units of local government - must have developed a plan for forensic science laboratories that is designed to improve the quality and timeliness of forensic science or medical examiner services, and must specifically describe the manner in which grant funds will be used to carry out that plan. States are expected to consider the needs of laboratories operated by units of local government as well as those operated by the State. Any forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of a Coverdell grant must use generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies. Each applicant for a Coverdell grant must be able to certify with respect to any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility that will receive any portion of the grant that a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors substantially affecting the integrity of forensic results.

**Beneficiary Eligibility:**

In accordance with the Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561, amended by Public Law 107-273, and the amendments in the Justice for All Act, Public Law 108-405, eligible applicants must be State or local (i.e., county and municipal) governments or combinations thereof. The purpose of this solicitation is to request applications for grants from

State and local (i.e., county and municipal) governments to improve the quality and timeliness of forensic science and medical examiner services and/or to eliminate backlogs in the analysis of forensic evidence, including controlled substances, firearms examination, forensic pathology, latent prints, questioned documents, toxicology, and trace evidence for criminal justice purposes in State and local forensic laboratories.

**Credentials/Documentation:**

The applicant must furnish the following along with the application for a grant: a certification that states there exists a plan for forensic science laboratories that is designed to improve the quality and timeliness of forensic science or medical examiner services; a certification that states each forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of a Coverdell grant uses generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies; a certification that states that a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors substantially affecting the integrity of forensic results, and resumes of key personnel. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements and application and selection procedures. The standard application form as furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Applicants must contact their State Administering Agency to determine if the program has been selected for review by the State. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The date that the application was sent to the State Administering Agency or the reason such submission is not required must be included in the application. A. Base Funds for States: Seventy-five percent of the funds available for Coverdell grants will be allocated among eligible States based on population (State base funds). To be eligible, a State must satisfy the specific application requirements outlined in this announcement and all other general requirements for NIJ and OJP grants. Applications for State base funding must be submitted by the Coverdell State Administering Agency listed on the Office of Justice Programs web site at:

<http://www.ojp.usdoj.gov/state.htm>. B. Competitive Funds for States and Units of Local Government: Twenty-five percent of the available funds will be allocated among States and units of local government through a competitive process. Units of local government that provide forensic science or medical examiner services (whether through a forensic science laboratory, medical examiner's office, or coroner's office) may apply directly to NIJ for competitive funds. Coverdell State Administering Agencies may apply for competitive funds for forensic sciences improvements above and beyond those it can accomplish with its base funds. State applications for competitive funding will only be accepted from Coverdell State Administering Agencies. Other State agencies or departments who wish to apply for competitive funds must coordinate with their respective State Administering Agency.

**Application Procedure:**

Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll-free to request a copy at (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities. This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1 (888) 549-9901.

**Award Procedure:**

Base applications are reviewed by the program office. The NIJ Director makes the final award decision. Competitive applications will be reviewed by a peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this program. The NIJ Director makes the final award decision.

**Deadlines:**

There is normally one deadline each year, usually in the Spring. The deadline varies based on when program appropriations is passed into law. Program deadline will be included in the announcements on FedGrants at [www.fedgrants.gov](http://www.fedgrants.gov), on NIJ's website at [www.ojp.usdoj.gov/nij/funding.htm](http://www.ojp.usdoj.gov/nij/funding.htm), and on the Office of Justice Programs website at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

**Range of Approval/Disapproval Time:**

It generally takes 3 to 6 months after the closing date of the announcement to receive Coverdell funding.

**Appeals:**



Hearing by the NIJ Director.

**Renewals:**

None.

**Formula and Matching Requirements:**

Seventy-five percent of the funds available for Coverdell grants will be allocated among eligible States based on population. Twenty-five percent of the available funds will be allocated among States and units of local government through a competitive process. There are no matching requirements.

**Length and Time Phasing of Assistance:**

In general, NIJ will limit grants under the Coverdell program to a maximum of 12 months.

**Reports:**

Each State and unit of local government that receives funding under the Coverdell program must submit semiannual progress reports and quarterly financial status reports for the life of the award. Fiscal reports consist of quarterly expenditures and budget expenditure reports; the final financial report gives costs and expenditures of the complete project. In addition, Coverdell grantees must submit a final report that must include a summary and assessment of the program carried out with the fiscal year grant funds and must cite the specific improvements in the quality and/or timeliness of forensic science and medical examiner services (including any reduction in forensic analysis backlog) that occurred as a direct result of the grant award. Other reports may be requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter. Each State or local unit of government within the State that receives funding under this program must maintain adequate records relating to the receipt and use of the total grant amount. The Attorney General and the Comptroller General of the United States (or designees thereof) will have access to these records for audit and examination purposes.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$18,263,718; FY 08 \$18,800,000; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal years (2006 and 2007), the Paul Coverdell Forensic Sciences Improvement Grant program provided assistance to State and local crime laboratories and medical examiner/coroner's offices to improve the quality and timeliness of forensic science and medical examiner services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Coverdell grant announcement may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, DC 20531. Telephone: (202) 307-2942. FTS number is (202) 307-2942.

**Web Site Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Arizona Criminal Justice Commission \$207,068 (base), State of Connecticut - \$79,312 (base), Georgia Criminal Justice Coordinating Council - \$275,550 (base), Maryland Governor's Office of Crime Control and Prevention - \$125,430, North Dakota - \$95,318 (formula), State of Texas - \$503,611 (base), Erie County, New York - \$54,510, Town of Fishers Police Department, Indiana - \$13,994, City of Quincy Massachusetts - \$78,783, County of Allegheny Pennsylvania - \$70,000. To obtain information about additional projects funding through this program, potential applicants may contact the National Institute of Justice by addressing correspondence to National Institute of Justice, Office of Science and Technology, 810 7th Street, N.W., Washington, DC, 20531; Telephone: (202) 307-2942.

**CRITERIA FOR SELECTING PROPOSALS:**

Base applications are reviewed by the program office. The NIJ Director makes the final award decision. Competitive applications will be reviewed by a peer

review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this solicitation. The NIJ Director makes the final award decision.

## 16.744 ANTI-GANG INITIATIVE

(Anti-Gang Initiative)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Public Law 110-5, embedded Sections 101-104; Public Law 109-108, 119 Stat. 2290, 2302.

**OBJECTIVES:**

To provide support for new and expanded anti-gang enforcement and prevention activities under the Project Safe Neighborhood Initiative (PSN).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to support anti-gang enforcement and prevention activities as specified in the authorization legislation. Generally, funds may be used to provide additional personnel and equipment for widespread prevention, apprehension, prosecution and adjudication of persons who violate Federal, State, and local laws relating to violent criminal gang activity. Federal funds must be used to supplement existing funds for program activities and cannot replace, or supplant, nonfederal funds that have been appropriated for the same purpose. For additional unallowable costs, please refer to the OJP, Office of the Comptroller's Financial Guide.

**Applicant Eligibility:**

The PSN or gang task force must identify the fiscal agent for the district, which then must be certified by the U.S. Attorney's Office. Eligible fiscal agent applicants include states, units of local government, educational institutions, faith-based and other community organizations, and private nonprofit organizations. Sub-recipient eligibility is determined by the PSN Task Force Selection Subcommittee in each of the 94 USA Districts. Each District's chosen fiscal agent submits the application to BJA.

**Beneficiary Eligibility:**

State and units of local governments.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically.

**Preapplication Coordination:**

Interested parties should contact their local United States Attorney's Office. This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used with this program.

**Application Procedure:**

Applications are submitted to BJA following the criteria set out in the Anti-Gang Initiative Program Guidance.

**Award Procedure:**

None.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, at 1 (866) 859-2687 or by E-mail: at [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov). Website: <http://www.ojp.usdoj.gov/BJA/grant/psn.html>.

**Range of Approval/Disapproval Time:**

Not available.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no match requirement for this grant program. Each USAO District will receive a formula-based award based on the district population and crime problem, including gang crime. Applicants must submit a program narrative, budget detail worksheet, and a U.S. Attorney certification letter identifying the fiscal agent. USAO Districts may use up to 10 percent of their approved award

for costs associated with administering the grant funds.

**Length and Time Phasing of Assistance:**

Each award will be for a period of up to 36 months.

**Reports:**

Grant recipients will be required to submit online quarterly financial (Standard Form 269A) reports and semi-annual progress reports, as required by the OJP financial guide.

**Audits:**

Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment process. Receipt of SCAAP payments is considered in establishing the requirement for an audit under the Single Audit Act. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Grantee must keep complete records on the disposition of funds, and adhere to the Federal Retention Requirements Act.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$45,000,000; FY 08 est not available; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

Each Federal judicial district will be eligible to receive allocation based on a formula that consists of the districts population and crime statistics, including gang crime. FY 2007 Anti-Gang Initiative funding totaled \$49 million. Funding amounts ranged from \$54,987 to \$1,691,216.

**PROGRAM ACCOMPLISHMENTS:**

Please see: <http://www.psn.gov/press/News.aspx?nt=p>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide and H.R. 2862.

**Regional or Local Office:**

Los Angeles, Tampa, Cleveland, Dallas/Ft. Worth, Milwaukee, and the "222 Corridor" Easton to Lancaster, Pennsylvania, near Philadelphia, PA.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, Washington DC 20531. Contact: Jonathan Faley, Division Chief. Telephone: (202) 514-2350 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

Bureau of Justice Assistance: [www.ojp.usdoj.gov/bja](http://www.ojp.usdoj.gov/bja), Project Safe Neighborhood: <http://www.psn.gov/>.

**RELATED PROGRAMS:**

16.609, Community Prosecution and Project Safe Neighborhoods.

**EXAMPLES OF FUNDED PROJECTS:**

Multi-Jurisdictional Drug/Gang Enforcement Task Forces, Community Policing, Training and Technical Assistance Projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.745 CRIMINAL AND JUVENILE JUSTICE AND MENTAL HEALTH COLLABORATION PROGRAM**

(Criminal & Juvenile Justice And Mental Health Collaboration Program)

**FEDERAL AGENCY:**

BUREAU OF JUSTICE ASSISTANCE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Public Law 108-414, Mentally Ill Offender Treatment and Crime Reduction Act.

**OBJECTIVES:**

To increase public safety by facilitating collaboration among the criminal justice, juvenile justice, mental health treatment, and substance abuse systems to increase access to treatment.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding for planning grants can be used to support efforts to develop a comprehensive plan which targets preliminarily qualified offenders to promote public safety and public health. Implementation funding can be used to support the following activities: Mental Health Courts and Diversion/Alternative

Prosecution and Sentencing Programs - Funds may be used to create or expand existing mental health courts or other court-based programs, or diversion and alternative prosecution and sentencing programs (including crisis intervention teams and treatment accountability services). Training - Funds may be used to create or expand programs such as crisis intervention training, which offer specialized training to criminal justice system personnel to identify and respond to the unique needs of people with mental illness or to mental health system personnel to respond to the treatment needs of mentally ill offenders. Service Delivery - Funds may be used to create or expand programs that promote public safety by providing services, including housing. In-Jail and Transitional Services - Funds may be used to create or expand mental health and support programs and services that promote public safety. There are limitations on funding certain activities, including construction funds. See also the OJP financial guide for other funding prohibitions.

**Applicant Eligibility:**

Applicants are limited to States, units of local government, Indian tribes, and tribal organizations. BJA will only accept joint applications; each application must include a mental health agency as well as a unit of government with responsibility for criminal justice activities.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All applications must be submitted electronically via the Office of Justice Programs' Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

All applications will be reviewed the program office. The Assistant Attorney General, Office of Justice Programs, US Department of Justice makes the final award decision.

**Deadlines:**

There is normally one deadline each year, usually in the Spring. The deadline varies based on when program appropriations is passed into law. The Program deadline will be included in the announcements on FedGrants at [www.fedgrants.gov](http://www.fedgrants.gov), on NIJ's website at <http://www.ojp.usdoj.gov/BJA/funding/current-opp.html>, and on the Office of Justice Programs website at <http://www.ojp.usdoj.gov/funding/>.

**Range of Approval/Disapproval Time:**

Approximately 90 days from application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

A minimum 20 percent match is required; federal funding for this project may not exceed 80 percent of the total project costs. Match can include cash and in-kind sources.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project; program reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments. Other reports may be requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofits Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Records and accounts concerning the expenditure of grants funds and grantee contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$4,936,140; FY 08 \$6,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the BJA's plans,

priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

None. New program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Criminal and Juvenile Justice and Mental Health Collaboration Program solicitation may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at <http://www.ojp.usdoj.gov/BJA/funding/index.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Office of Justice Programs, 810 Seventh St, NW., Washington, DC 20531. Telephone: (202) 616-6500 or by email at [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

<http://www.ojp.usdoj.gov/BJA>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are defined specifically in the solicitation, including stating the need for the program, the strategy proposed, management plan and capacity to implement, program assessment, evaluation and sustainment and the budget.

## 16.746 CAPITAL CASE LITIGATION

(CCL)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

42 U.S.C. Section 14163; 42 U.S.C. Section 14163a.

**OBJECTIVES:**

To provide attorneys and judges who litigate death penalty cases, with specialized legal training and technical assistance on death penalty issues in an effort to improve the quality of representation, produce reliable jury verdicts and minimize post conviction litigation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Priority will be given to States that currently enforce their death penalty statutes. Funding under this initiative cannot be used for training on the appellate process. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

Limited to State-based agencies or organizations and units of local government that serve defense counsel, prosecutors and judges; and are located in States that currently enforce their death penalty statutes. American Indian Tribes and Alaska Native Tribes and/or Tribal Organizations: All tribal applications must be accompanied by a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal counsel or comparable government body. If the grant will benefit more than one tribal entity, a current authorizing resolution or other enactment of the tribal counsel or comparable government body from each tribal entity must be included. If the grant application is being submitted on behalf of a tribal entity, a letter or similar document authorizing the inclusion of the tribal entity named in the application must be included.

**Beneficiary Eligibility:**

Defense counsel, prosecutors and judges in the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, and the Northern Mariana Islands that currently enforce their death penalty statutes.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all Federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically.

**Preapplication Coordination:**

No formal preapplication coordination is required. While informal preapplication coordination is not required, it is encouraged that applicants coordinate with any facilities for which they have responsibility to detain or incarcerate undocumented criminal aliens. This program is excluded from coverage under E.O. 12372 "Intergovernmental Review of Federal Programs."

**Application Procedure:**

Applications must be submitted through the online, Internet-based Grants

Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, at (1-866) 859-2687 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov). Website: <http://www.ojp.usdoj.gov/BJA/index.html>. Consult the Application Kit or contact the Bureau of Justice Assistance in the Office of Justice Programs for application deadline.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

None.

**Renewals:**

Subject to congressional appropriation.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date.

**Reports:**

Recipients are required to submit quarterly Financial Reports, and semi-annual Progress Reports. Successful applicants will be required to work with designated national organizations to implement the training at the state level and keep the training current with changing laws.

**Audits:**

Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment process. Receipt of SCAAP payments is considered in establishing the requirement for an audit under the Single Audit Act. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Records In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$987,228; FY 08 \$2,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Applicant can request up to \$50,000.00. The maximum project period is 18 months.

**PROGRAM ACCOMPLISHMENTS:**

In preparation for this initiative, the National Judicial College (NJC), National District Attorneys Association (NDAA), the National Legal Aid and Defenders Association (NLADA) respectively, outlined a strategy defining their constituents' (judges, prosecutors, and defense counsel) need for training and technical assistance. Each group conducted gap analysis, compiled current resources and developed a training curriculum that was piloted at a national level. The developed curriculum has been adapted to include relevant state statutes that will be delivered by State agencies. NDAA conducted pilot trainings in AR and FL; NJC conducted pilot trainings in AR, VA, NC, TX and PA; and NLADA conducted pilot trainings in CA, TX, SC, PA, and IL. The defenders had approximately 34-36 participants per training, the judges had approximately 30 participants per training, and the prosecutors trained 53 students in Florida and 39 in Arkansas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Application Kit and Questions and Answers posted regularly on the OJP website at: <http://www.ojp.usdoj.gov/BJA/>. OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kim Norris, JD., Senior Policy Advisor, Bureau of Justice Assistance, State Policy Office, 810 Seventh Street N.W., Washington, DC 20531. Telephone: (202)616-6500 or (1-866) 859-2687. E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**



<http://www.ojp.usdoj.gov/BJA/grant/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.747 CRIME VICTIMS' RIGHTS ACT**

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, OFFICE FOR VICTIMS OF CRIME,  
DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

42 U.S.C. 10603d(d)(4).

**OBJECTIVES:**

The purpose of the FY 2007 project is to enhance and establish crime victim legal clinics to ensure enforcement of victims' rights. It will also place a social worker/community liaison within each clinic for outreach to victims and other participants in the criminal justice system. The clinics will establish and implement education strategies for participants in the criminal justice system. The agreements will support the enforcement of victims' rights at the federal, state and tribal level. The specific objectives for FY 2008 funding have not been established.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

With the funding provided in FY 07, grantees will establish victim legal clinics that provide direct legal representation to victims of crime in criminal court, as well as support services to those victims. Organizations and agencies can apply for funding to establish one legal clinic or to provide subgrants to multiple organizations that will establish such clinics. Organizations that provide subgrant funding to several legal clinics also will provide the subgrantees with intensive technical assistance. Funding recipients also must provide education and training to criminal justice professionals on victims rights. Specific criteria for FY 08 funding have not been determined.

**Applicant Eligibility:**

Eligible applicants for FY 07 funding are public agencies, colleges and universities, state governments, and private, nonprofit organizations, including faith-based organizations, that can demonstrate capability to carry out all activities required by the funded project. Eligibility for FY 08 funding has not been determined.

**Beneficiary Eligibility:**

The immediate beneficiaries are individual victims of crime, as well as the general public. Because victims' rights will be enforced in criminal court, the rights of future victims of crime are more likely to be recognized in the criminal justice system.

**Credentials/Documentation:**

Applications for this program must be on Standard Form 424 at a time specified by the Office for Victims of Crime, Office Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective addition of OJP Financial Guide; (3) assure that the applicant will comply with all applicable nondiscrimination requirements; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of Federal Laws, (including subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990) regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies in applying for funding under this program.

**Award Procedure:**

This award will be made on a non-competitive basis. The application will be assessed based on established criteria and will be forwarded to the Director of the Office for Victims of Crime. The Assistant Attorney General, Office of Justice Programs has the final approval authority.

**Deadlines:**

Please contact the program office for application deadline.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards under this program are issued for a period of 12-18 months.

**Reports:**

Quarterly financial reports and semi-annual progress reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required.

**Audits:**

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency no later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$1,974,456; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

FY 07 three awards (\$1,600,000; \$184,693; \$185,024).

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Telephone: (202) 307-5983.

**Web Site Address:**

<http://www.udoj.gov/ovc>.

**RELATED PROGRAMS:**

16.582, Crime Victim Assistance/Discretionary Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by the OVC Point-of-Contact for the project, using the following criteria: Problem(s) to be Addressed and Goals and Objectives, Project Design/Implementation Plan, Organizational Capability, Plans for Measuring Progress and Outcomes, and Budget and Budget Narrative. The problem statement must provide a strong rationale for the project and clearly describe how the proposed project will be of value to the victims' field by meeting a stated goal. The goals and objectives must be clearly specified and related directly to the problem statement. The goal(s) should state the overall purpose of what is to be accomplished. If the application is for continuation funding, these new goals and objectives should be addressed within the context of what the project has already accomplished. The program strategy/methodology must include sufficient detail so that the OVC Point-of-Contact or other reviewers can understand what will be accomplished, how it will be accomplished, and who will accomplish it. All proposed tasks should be presented in a way that allows a reviewer to see the logical progression of tasks and to be able to relate the tasks directly to the accomplishment of the project goal(s) and objectives. Projected activities should be realistic and reflect the time, staff, and funding allocated to the project. A clear picture of the contents or components of the product or training is important as well as a detailed plan for packaging and disseminating the product to user groups. Detailed procedures for pilot testing and refining the products should be included if applicable. Applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve the goals and objectives. Organizational capability will be assessed on the basis of (1) the applicant's described management structure, financial capability, and if the application is for continuation funding, the results of current grant efforts; and (2) the applicant's project management plan and documentation of the professional staff member's unique qualifications to perform their assigned tasks. Applicants must describe their plan for measuring project progress and success. All applications must contain a plan for evaluating the accomplishment of project goal(s) and objectives. They must describe how data will be collected to report on the performance measures established for this solicitation, and they must describe how the evaluation data will be gathered, analyzed and the resources that are being committed for this purpose. Finally, the OVC Point-of-Contact will examine the identified project tasks, milestones, and assignment of staff resources within the framework of the proposed budget. They must demonstrate that there is sufficient staff and time to accomplish the proposed tasks in a cost-effective manner. Applicants must show cost effective and efficient use of grant

resources, demonstrating that all grant-related expenses are necessary for project completion. All identified costs should accurately reflect the tasks, staff time, supplies, and travel necessary to accomplish the grant-related work, if applicable.

## **16.748 CONVICTED OFFENDER AND/OR ARRESTEE DNA BACKLOG REDUCTION PROGRAM (IN-HOUSE ANALYSIS AND DATA REVIEW)**

### **FEDERAL AGENCY:**

NATIONAL INSTITUTE OF JUSTICE, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

### **AUTHORIZATION:**

For FY 06, Science, State, Justice, Commerce, and Related Agencies Appropriations Act, 2006, Public Law 109-108. FY 07 authorization as yet undetermined.

### **OBJECTIVES:**

The objective of this program is to accelerate the analysis of convicted offender and/or arrestee DNA samples collected by States pursuant to applicable law for databasing purposes (hereinafter, "DNA database samples"), in order to provide timely Combined DNA Index System (CODIS)- compatible data for all 13 CODIS core STR loci for State and national DNA databases. Funds are to be used by a State's designated existing and accredited DNA database laboratory to reduce the backlog of DNA database samples in one of three ways: a) Through in-house analysis. The DNA database laboratory will determine what its backlog is and can apply for \$35.00 per sample to be analyzed. If the database laboratory lacks funding to ensure timely review of the profiles generated, it may apply for an additional \$5.00 per DNA profile generated in-house for a total of \$40.00 per sample tested in-house. b) Through sending samples to be tested by accredited fee-for-service laboratories. Funding requests for this option are to be calculated in exactly the same fashion as for the in-house testing option above. c) Through data review of sample profiles generated by an accredited fee-for-service laboratory. If the database laboratory lacks funding to ensure timely review of the profiles generated, it may apply for an additional \$5.00 per DNA profile generated. All profiles obtained from DNA database samples with funding provided under this announcement must be entered in the Combined DNA Index System (CODIS) within 90 days of completion of analysis and uploaded to the National DNA Index System (NDIS). Laboratories that receive funds from awards made under this announcement for sample testing and review must track and report the number of DNA database samples analyzed and/or reviewed under this fiscal year (FY) 2008 program and the number of resulting CODIS hits.

### **TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements).

### **USES AND USE RESTRICTIONS:**

All expenditures from DNA Backlog Reduction Program Awards must directly relate to analysis and data review of Convicted Offender and/or Arrestee DNA database samples by the State's designated DNA database laboratory or to data review profiles generated by an accredited-fee for service laboratory from such samples. Types of expenditures from awards under this program for in-house testing may include the following: Overtime - funds may be used for overtime of in-house laboratory staff directly engaged in (a) handling and analyzing DNA database samples, including handling and analyzing quality assurance samples, and (b) data review of profiles generated by an accredited fee-for-service vendor from DNA database samples that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS; Salary and Benefits of Additional Laboratory Employees - funds may be used to hire additional full-time or part-time laboratory employees who will be directly engaged in the handling or analysis of DNA database samples, or the data review of DNA profiles generated from such samples (including profiles generated by accredited fee-for-service vendors); Consultant and Contractor Services for Data Review - Funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service vendor from DNA database samples that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS; Laboratory and Computer Equipment for the DNA database laboratory - funds may be used for upgrading, replacing, and purchasing laboratory equipment, instrumentation, and computer hardware or software (e.g., expert systems and Laboratory Information Management Systems) for use in the DNA database laboratory; Certain Supplies - funds may be used to acquire commercially available PCR kits accepted by NDIS, and other laboratory supplies for analysis of DNA database samples, including analysis of quality assurance samples; Renovations - funds may be used for the renovation of facilities that will directly and specifically improve the effectiveness or efficiency of the DNA database laboratory operation; and Administrative Expenses - up to 3 percent of the Federal portion of the award may be used for administrative and grant management expenses directly related to the performance of the project. Types of expenditures from awards under this program for sending samples out for analysis by an accredited fee-for-service laboratory may include the following: O review of DNA database profiles

generated by an accredited fee-for-service laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>. Contracts. Funds may be used to establish a contract for testing DNA Database samples with an accredited fee-for-service laboratory. Agencies will follow their own procurement procedures for establishing these contracts. Any sole source requests in excess of \$100,000 must be submitted and approved through GMS as required in the OJP Financial Guide. Contracts may only be established under this solicitation with accredited fee-for-service laboratories that are on the GSA Blanket Purchase Agreement list for Convicted Offender DNA Backlog Reduction Program (Outsourcing) used by the OJP Contract Office. Consultant and Contractor Services for Data Review. Funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service laboratory that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS. Consultants or contract laboratory personnel must meet all NDIS requirements for the review of DNA data. Administrative Expenses. Up to 3 percent of the Federal portion of a grant awarded under this program may be used for direct or indirect administrative expenses specifically related to grant administration and management. Types of expenditures from awards under this program for data review of DNA profiles generated by accredited fee-for-service laboratories may include: Overtime for Existing Laboratory Employees. Funds may be used to pay overtime for existing laboratory employees who will be directly engaged in the review of DNA profiles generated by an accredited fee-for-service laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>. Consultant and Contractor Services for Data Review. Funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service laboratory that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS. Consultants or contract laboratory personnel must meet all NDIS requirements for the review of DNA data. Administrative Expenses: Up to 3 percent of the Federal portion of a grant awarded under this program may be used for direct or indirect administrative expenses specifically related to grant administration and management.

### **Applicant Eligibility:**

Eligible applicants are States with a designated existing crime laboratory that conducts analysis of DNA database samples, provided the designated DNA database laboratory meets all of the following requirements: The laboratory is accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community. If the laboratory requests assistance with analysis of samples in-house, then the laboratory must possess sufficient in-house DNA analysis capacity to analyze at least 50 percent of its annual receipt of DNA database samples, or a minimum of 5,000 DNA database samples per month. The laboratory is a participant in the National DNA Index System (NDIS). The laboratory undergoes external audits, not less than once every 2 years, to demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. For purposes of this announcement, the term "State" includes the District of Columbia and the Commonwealth of Puerto Rico. For those States that use a laboratory operated by a unit of local government for analysis of the State's DNA database samples, the application must be submitted by the unit of local government having oversight of the DNA database program.

### **Beneficiary Eligibility:**

Eligible applicants are States with a designated existing crime laboratory that conducts analysis of DNA database samples, provided the designated DNA database laboratory meets all of the following requirements: The laboratory is accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community. If the laboratory requests assistance with analysis of samples in-house, then the laboratory must possess sufficient in-house DNA analysis capacity to analyze at least 50 percent of its annual receipt of DNA database samples, or a minimum of 5,000 DNA database samples per month. The laboratory is a participant in the National DNA Index System (NDIS). The laboratory undergoes external audits, not less than once every 2 years, to demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. For purposes of this announcement, the term "State" includes the District of Columbia and the Commonwealth of Puerto Rico. For those States that use a laboratory operated by a unit of local government for analysis of the State's DNA database samples, the application must be submitted by the unit of local government having oversight of the DNA database program.

### **Credentials/Documentation:**

Applicants must submit a copy of the accreditation certificate of the State's designated DNA database laboratory.

### **Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements, the research priorities of National Institute of Justice (NIJ), and application and selection procedures.

Indicating Environmental Impact Statement: An environmental impact statement may be required for this program, depending upon the purpose for which funding under this program is awarded. Identifying Programs Pertaining to Executive Order 12372, "Intergovernmental Review of Federal Programs": This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

General information is provided in individual program solicitations, which are obtained by accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij), sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; or calling toll free to request a copy at; Telephone: (800) 851-3420. This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1-888-549-9901.

**Award Procedure:**

All applications will be reviewed by the program office. The NIJ Director makes all final decisions.

**Deadlines:**

There is normally one deadline each year, usually in the Spring. The deadline varies based on when program appropriation is passed into law. The Program deadline will be included in the announcements on FedGrants at [www.fedgrants.gov](http://www.fedgrants.gov), on NIJ's website at [www.ojp.usdoj.gov/nij/funding.htm](http://www.ojp.usdoj.gov/nij/funding.htm), and on the Office of Justice Programs website at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

**Range of Approval/Disapproval Time:**

Approximately 90 days from application deadline.

**Appeals:**

Hearing by the NIJ Director.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no State or local match required under this program. However, while funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service vendor, NIJ makes no assurance that funds will be available for this purpose in future award announcements.

**Length and Time Phasing of Assistance:**

Awards under this program are issued for a period of 18 months.

**Reports:**

Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project; program reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments. Other reports may be requested.

**Audits:**

In accordance with the provisions of OMB Circular No.A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofits Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for three years thereafter.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$5,486,756; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Awards are in amounts consistent with the applicant's proposed project and the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal years 2005 through 2007, the Convicted Offender DNA Backlog Reduction Program (In-House Analysis and Data Review) made a total of 45 awards to States with existing crime laboratories that conduct DNA analysis of convicted offender DNA in order to pay for samples to reduce backlogs of convicted offender DNA samples through in-house analysis and data review.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For specific information on eligibility, deadlines, specific uses of funds, application requirements, selection criteria, and all additional requirements, please access the "Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review)" solicitation, which is available

on NIJ's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Justice, Department of Justice, 810 7th Street, NW., Washington, DC 20531. Telephone: (202) 307-2942. FTS: (202) 307-2942. Please contact Mark Nelson; Telephone: (202) 616-1960, E-mail: [Mark.S.Nelson@usdoj.gov](mailto:Mark.S.Nelson@usdoj.gov); or Minh Nguyen, Program Manager; Telephone: (202)305-2664; E-mail: [Minh.Nguyen@usdoj.gov](mailto:Minh.Nguyen@usdoj.gov).

**Web Site Address:**

[www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**RELATED PROGRAMS:**

16.741, Forensic DNA Backlog Reduction Program.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2006, NIJ made awards to all eligible applicants that satisfied the specific application requirements outlined in the funding announcement, the general requirements for NIJ and OJP grants, and all other applicable legal requirements. As a result, States that received such awards accelerated the analysis of convicted offender samples that they collected, law enforcement was provided with critical investigative information in a timely manner, and the convicted offender DNA profiles obtained with funding from this announcement were entered into State and national DNA databases. Specific examples of funded projects include: Alaska Department of Public Safety; Alabama Department of Forensic Science; California Department of Justice; Georgia Bureau of Investigation; Illinois State Police; Kansas Bureau of Investigation; Commonwealth of Kentucky; Missouri State Highway Patrol; North Dakota; New Jersey Department of Law and Public Safety; New York State Police; Oklahoma State Bureau of Investigation; Pennsylvania State Police; Texas Department of Public Safety; Vermont Department of Public Service; Washington State Patrol.

**CRITERIA FOR SELECTING PROPOSALS:**

Subject to the availability of appropriated funds and to any modifications or additional requirements imposed by law, NIJ anticipates that it will make an award to each eligible applicant that satisfies the specific application requirements outlined in this announcement (including those concerning permissible expenses), the general requirements for NIJ and OJP grants, and all other applicable legal requirements. NIJ may also reject applications from applicants with prior awards for convicted offender (and/or arrestee) in-house analysis that remain entirely unobligated as of the posting date of this solicitation.

## 16.749 RADIATION EXPOSURE COMPENSATION PROGRAM

**FEDERAL AGENCY:**

CIVIL DIVISION, DEPARTMENT OF JUSTICE.

**AUTHORIZATION:**

Radiation Exposure Compensation Act, Public Law 101-426, 104 Stat. 920, as amended and codified at 42 U.S.C. Section 2210 (note).

**OBJECTIVES:**

The Radiation Exposure Compensation Act (the Act) offers an apology and monetary compensation to individuals who contracted certain cancers and other serious diseases following exposure to radiation released during above-ground atmospheric nuclear weapons tests or as a result of their employment in the uranium production industry.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

There are five different categories of claimants under the Radiation Exposure Compensation Program (the Program): uranium miners, uranium millers, ore transporters, onsite participants, and downwinders. Uranium miners: Individuals who were exposed to 40 or more working level months of radiation while employed in a uranium mine or who were employed in a uranium mine for at least one year in certain states at any time between January 1, 1942 and December 31, 1971 and who have been diagnosed with a specified compensable disease are eligible for a payment of \$100,000. Uranium millers: Individuals who were employed in a uranium mill for at least one year in certain states at any time between January 1, 1942 and December 31, 1971 and who have been diagnosed with a specified compensable disease are eligible for a payment of \$100,000. Ore transporters: Individuals who were employed in the transport of uranium ore or vanadium-uranium ore from a mine or mill for at least one year in certain states at any time between January 1, 1942 and December 31, 1971 and who have been diagnosed with a specified compensable disease are eligible for a payment of \$100,000. Onsite participants: Individuals who participated onsite in a test involving atmospheric detonation of a nuclear device in certain locations and who have been diagnosed with a specified compensable disease are eligible for a payment of \$75,000. Downwinders: Individuals who were physically present in one of the affected areas downwind of the Nevada Test Site



during a period of atmospheric nuclear testing and who have been diagnosed with a specified compensable disease are eligible for a payment of \$50,000. If an eligible individual dies before filing a claim or receiving payment, an eligible surviving beneficiary may file a claim or receive payment.

**Beneficiary Eligibility:**

There are five different categories of claimants under the Program: uranium miners, uranium millers, ore transporters, onsite participants, and downwinders. Uranium miners: Individuals who were exposed to 40 or more working level months of radiation while employed in a uranium mine or who were employed in a uranium mine for at least one year in certain states at any time between January 1, 1942 and December 31, 1971 and who have been diagnosed with a specified compensable disease are eligible for a payment of \$100,000. Uranium millers: Individuals who were employed in a uranium mill for at least one year in certain states at any time between January 1, 1942 and December 31, 1971 and who have been diagnosed with a specified compensable disease are eligible for a payment of \$100,000. Ore transporters: Individuals who were employed in the transport of uranium ore or vanadium-uranium ore from a mine or mill for at least one year in certain states at any time between January 1, 1942 and December 31, 1971 and who have been diagnosed with a specified compensable disease are eligible for a payment of \$100,000. Onsite participants: Individuals who participated onsite in a test involving atmospheric detonation of a nuclear device in certain locations and who have been diagnosed with a specified compensable disease are eligible for a payment of \$75,000. Downwinders: Individuals who were physically present in one of the affected areas downwind of the Nevada Test Site during a period of atmospheric nuclear testing and who have been diagnosed with a specified compensable disease are eligible for a payment of \$50,000. If an eligible individual dies before filing a claim or receiving payment, an eligible surviving beneficiary may file a claim or receive payment.

**Credentials/Documentation:**

Necessary documentation establishing the eligibility criteria is required when an individual files a claim with the Program.

**Preapplication Coordination:**

this program is excluded from coverage under E.O.12372.

**Application Procedure:**

Individuals seeking to file a claim with the Program must submit an appropriate claim form (Radiation Exposure Compensation Program Claim Form, OMB-approved information collection #1105-0052). These claim forms are available on the internet (<http://www.usdoj.gov/civil/torts/const/reca/index.htm>), by calling the Program (1-800-729-RECP, 1-800-729-7327), by writing to the Program (U.S. Department of Justice Radiation; Exposure Compensation Program; P.O. Box 146; Ben Franklin Station; Washington, D.C. 20044-0146), or by emailing the Program ([civil.reca@usdoj.gov](mailto:civil.reca@usdoj.gov)). Once claims are submitted to the Program, the Assistant Director within the Constitutional and Specialized Torts Staff, Torts Branch, Civil Division, U.S. Department of Justice (the Assistant Director) shall review each claim to determine whether the Acts eligibility criteria have been met. The Assistant Director may also request additional information from the claimant. Ultimately, the Assistant Director shall make a decision approving or denying the claim.

**Award Procedure:**

If the Assistant Director approves the claim, the Program notifies the claiming of approval and authorizes payment by the Departments of Treasury or Labor.

**Deadlines:**

A claim will be barred unless the claim is filed within 22 years after enactment of the Radiation Exposure Compensation Act of Amendments of 2000 (P.L. 106-245), which was enacted on July 10, 2000.

**Range of Approval/Disapproval Time:**

The statute requires that the Department of Justice make a determination on each claim not later than 12 months after the claim is filed.

**Appeals:**

An individual wishing to appeal the decision of the Assistant Director may submit a written appeal to the Program. The Program must receive this written appeal within 60 days of the date of the Decision denying the claim. Upon receipt of an appeal, the Program shall forward the appeal, the Decision, the claim, and all supporting documentation to the Appeals Officer for action on the appeal. The Appeals Officer shall review any appeal and other information forwarded by the Program. Within 90 days after the receipt of an appeal, the Appeals Officer shall issue a Memorandum either affirming or reversing the Assistant Directors Decision or, when appropriate, remanding the claim to the Assistant Director for further action. A Memorandum affirming or reversing the Assistant Directors Decision shall be deemed to be the final action of the Department of Justice on the claim. Once the appeals procedures are completed, an individual may seek judicial review in a district court of the United States.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Benefits are not length-based. Lump-sum payments of \$50,000, \$75,000, or \$100,000 are provided depending upon the category of claimant.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

15-8116-0-7-054.

**Obligations:**

FY 07 \$38,000,000; FY 08 est \$31,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Compensation is determined by statute: Lump-sum payments of \$50,000, \$75,000, or \$100,000 are provided depending upon the category of claimant. When all categories of claimants are combined, in FY 2006, the average award from the Program was \$73,077. When all categories of claimants are combined, in FY 2007, the average award from the Program was \$68,002.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the Program received 1,845 claims and awarded \$154.5 million in compensation to 2,272 individuals. In FY 2008, it is estimated that the Program will receive 1,302 claims and award \$79.3 million in compensation to 1,130 individuals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Claims Under The Radiation Exposure Compensation Act, 28 C.F.R. part 79.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Justice, Radiation Exposure Compensation Program, P.O. Box 146; Ben Franklin Station; Washington, D.C. 20044-0146. Telephone: 1-800-729-RECP (1-800-729-7327). Email: [civil.reca@usdoj.gov](mailto:civil.reca@usdoj.gov).

**Web Site Address:**

<http://www.usdoj.gov/civil/torts/const/reca/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**16.750 SUPPORT FOR ADAM WALSH ACT IMPLEMENTATION GRANT PROGRAM**

( ADAM WALSH ACT)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, SEX OFFENDER SENTENCING, MONITORING, APPREHENDING, REGISTERING AND TRACKING (SMART) OFFICE, DEPARTMENT OF JUSTICE.

**AUTHORIZATION:**

Adam Walsh Child Protection and Safety Act of 2006 (AWA).

**OBJECTIVES:**

To assist State, local, and tribal jurisdictions with developing and/or enhancing programs designed to implement requirements of the Sex Offender Registration and Notification Act (SORNA) under AWA. In summary, SORNA requires: (1) all States, the District of Columbia, the principal U.S. territories, and federally recognized American Indian tribes to maintain a sex offender registry; and (2) sex offenders to register and maintain a current registration in each jurisdiction where the offender resides, is an employee, and is a student. SORNA also sets forth requirements for sex offender registries, to include: specified required information, duration of registration, and in-person verification of sex offender identity as well as participation in the Dru Sjodin National Sex Offender Public Web site.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The Sex Offender Management Assistance grant funds must be used to assist jurisdictions in implementing requirements of the Sex Offender Registration and Notification Act (SORNA), Title I of the Adam Walsh Child Protection and Safety Act of 2006. Funds must be used to implement or enhance sex offender registration and tracking programs in jurisdictions for the purpose of substantial compliance with SORNA.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, the Northern Mariana Islands, units of local government, and Federally recognized American Indian tribes who have elected to carry out the requirements of SORNA. Only applicant jurisdictions that have the intention of substantially implementing the requirements of SORNA are eligible to apply.

**Beneficiary Eligibility:**

State, local and tribal government agencies that have sex offender registry and tracking responsibilities. Collaborative endeavors are permissible which can

include public as well as private organizations.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the activities of the project will assist the jurisdiction in complying with SORNA.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All applications must be submitted electronically at: <http://www.grants.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director. The Assistant Attorney General, Office of Justice Programs has final approval authority. Grantees are notified by E-mail seven to ten days after Congress has been notified. Grantees must print award, have signed by the authorized official and returned to the Office of Justice Programs by facsimile or mail.

**Deadlines:**

See the program solicitation or contact the Department of Justice, Office of Justice Programs, SMART Office, at (202) 514-4689, or by E-mail: [GetSMART@usdoj.gov](mailto:GetSMART@usdoj.gov).

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 180 days of receipt of a completed application.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Awards range from 12 to 18 months, unless otherwise noted.

**Formula and Matching Requirements:**

Grants are discretionary and are awarded based on the merits of the application submitted to the SMART Office. A 25 percent match is required for this grant program, and the funding for this project may not exceed 75 percent. Contributions may be cash, in-kind services, or a combination of both.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period of 12 to 18 months.

**Reports:**

Recipients are required to submit semi-annual Progress Reports and quarterly Financial Reports.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than nine months after the end of the grantee's fiscal year.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least three years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$6,040,000; FY 08 \$18,960,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies. Awards up to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

SMART Office, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531. Telephone: (202) 514-4689.

**Web Site Address:**

<http://www.ojp.usdoj.gov/smart>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

A review panel convened by the SMART Office will evaluate all applications on the basis of the following criteria: (1) the application identifies a problem that is consistent with the purposes of this initiative; (2) the application describes a project that effectively addresses the problem statement; (3) the implementation strategy, time line, and capability of the organization and staff are sound; (4) the application articulates clearly the jurisdiction's goals, outcomes, and objectives and describes the accountability system and performance measures to determine progress towards achieving them; (5) the project demonstrates meaningful attention to the safety of victims and the general public by supporting jurisdiction's efforts to substantially comply with SORNA thus ensuring sex offender registration and tracking; (8) the application identifies specific individuals, or a process to identify individuals, to serve as the Grant Manager/Grant Coordinator, and demonstrates the skills, roles, and involvement of these individuals; and (9) the budget is reasonable as it relates to project activities.

**16.751 EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM**

(Byrne Competitive Program)

**FEDERAL AGENCY:**

DEPARTMENT OF JUSTICE, OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008.

**OBJECTIVES:**

To improve the functioning of the criminal justice system, such as activities pertaining to crime prevention, control, or reduction, or the enforcement of the criminal law, including, but not limited to, police efforts to prevent, control, or reduce crime or to apprehend criminals, including juveniles, activities of courts having criminal jurisdiction, and related agencies (including but not limited to prosecutorial and defender services, juvenile delinquency agencies and pretrial service or release agencies), activities of corrections, probation, or parole authorities and related agencies assisting in the rehabilitation, supervision, and care of criminal offenders, and programs relating to the prevention, control, or reduction of narcotic addiction and juvenile delinquency.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Byrne Competitive Program helps improve the capacity of local criminal justice systems and provides for national support efforts such as training and technical assistance projects to strategically address needs. Funds can be used for national scope replication, expansion, enhancement, training, and/or technical assistance programs.

**Applicant Eligibility:**

Eligible applicants include national, regional, State, or local public and private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, tribal jurisdictions, and units of local government.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, individuals and tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically via [Grants.gov](http://www.grants.gov) ([www.grants.gov](http://www.grants.gov)) or the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Varies for competitive programs. See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. Telephone: (1-866) 859-2687; E-mail: [byrne.discretionary@usdoj.gov](mailto:byrne.discretionary@usdoj.gov).

**Range of Approval/Disapproval Time:**

Varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Grants may be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months.

**Reports:**

Unless otherwise specified in the award's special conditions, financial reports are due quarterly and progress reports are due semi-annually; in some cases, evaluation reports may be required.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 est \$16,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Telephone: (202) 616-6500 or (1-866) 859-2687; E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

[www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Neighborhood Watch; preventing and investigating motor vehicle title fraud and theft; law enforcement gang investigations; community prosecution; problem-solving courts; state and local prosecutor training; offender reentry initiatives; substance abuse and mental health needs of offenders; information sharing within the criminal justice system; and training and technical assistance to prevent crime and drug abuse; enhance local law enforcement, courts, and corrections; and facilitate justice information sharing.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.752 ECONOMIC HIGH-TECH AND CYBER CRIME PREVENTION****FEDERAL AGENCY:**

DEPARTMENT OF JUSTICE, OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008.

**OBJECTIVES:**

To provide a nationwide support system for agencies involved in the prevention, investigation, and prosecution of economic electronic and cyber crimes and to support and partner with other appropriate entities in addressing homeland security initiatives, as they relate to electronic and cyber crimes. It provides training, technical assistance, and/or resources to State, local and tribal law enforcement, prosecutor, and other agencies on how to prevent, combat, investigate and prosecute electronic and cyber crimes.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Economic High-Tech and Cyber Crime Prevention program helps improve the capacity of local criminal justice systems to address electronic and cyber crimes and provides for national support efforts such as training and technical assistance projects to strategically address needs.

**Applicant Eligibility:**

Eligible applicants include national, regional, State, or local public and private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, tribal jurisdictions, and units of local government.

**Beneficiary Eligibility:**

State and local law enforcement agencies, prosecutor, and other criminal justice agencies.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. For State applicants, this program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov)) or the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>). Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Varies for competitive programs. See the program solicitation or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. Telephone: (1-866) 859-2687 or E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Range of Approval/Disapproval Time:**

Varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Grants may be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months.

**Reports:**

Unless otherwise specified in the award's special conditions, financial reports are due quarterly and progress reports are due semi-annually; in some cases, evaluation reports may be required.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA),



Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 \$5,000,000 and FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

This program will enhance the ability of federal, State, and local agencies to identify, prevent, investigate, apprehend, and prosecute electronic and cyber criminals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)), Criminal Intelligence Systems Operating Policies (28 CFR 23), Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Telephone: (202) 616-6500 or (1-866) 859-2687 or E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

[www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

## 16.753 CONGRESSIONALLY RECOMMENDED AWARDS

(Congressionally Recommended)

**FEDERAL AGENCY:**

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To provide leadership and direction in improving the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Congressionally recommended grant funds provide federal financial assistance to public or private agencies and private nonprofit organizations for law enforcement program; prosecution and court program; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement program; programs, planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation).

**Applicant Eligibility:**

State and local government agencies as well as public and private nonprofit organizations and federally recognized Indian Tribal governments are eligible to receive funds including faith-based and community organizations, under this program.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, and tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically via the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Varies. See the program solicitation or guidance letter or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. Telephone: (1-866) 859-2687 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

None.

**Formula and Matching Requirements:**

Grants may be made for amounts up to 100 per centum of the costs of the programs or projects contained in the approved applications.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months.

**Reports:**

Unless otherwise specified in the award's special conditions, financial reports are due quarterly and progress reports are due semi-annually; in some cases, evaluation reports may be required.

**Audits:**

Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the cognizant federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

FY 07 \$0; FY 08 \$187,500,000; FY 09 est not available.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to drug law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531. Contact: Telephone: (202) 616-6500 or (1-866) 859-2687 or by E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**Web Site Address:**

<http://www.ojp.usdoj.gov/bja/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

## 16.754 HAROLD ROGERS PRESCRIPTION DRUG MONITORING PROGRAM

(Harold Rogers PDMP)

### FEDERAL AGENCY:

OFFICE OF JUSTICE PROGRAMS, BUREAU OF JUSTICE ASSISTANCE,  
DEPARTMENT OF JUSTICE

### AUTHORIZATION:

Public Law 110-161, 121 Stat. 1909; Public Law 110-329.

### OBJECTIVES:

To enhance the capacity of regulatory and law enforcement agencies to collect and analyze controlled substance prescription data through a centralized database administered by an authorized State agency.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funding for planning grants can be used to assist in planning for a data collection and analysis system by engaging key stakeholders in the state in the planning process. Funding for implementation grants may be used to plan, establish, and build a data collection and analysis system; develop an infrastructure to support programmatic activities; facilitate the exchange of information and collected prescription data among states; facilitate the establishment of collaborations; develop a training program for system users; produce and disseminate educational materials; and assess the efficiency and effectiveness of the program. Funding for enhancement grants may be used to enhance a data collection and analysis system; develop infrastructure to support programmatic activities; enhance an existing training program; support collaborations with law enforcement and prosecutors; support collaborations with treatment providers and drug courts; facilitate information sharing among states; expand monitoring to Schedules III, IV, and V; and assess the efficiency and effectiveness of the program. Up to 25 percent of enhancement funds can be used towards operating expenses. The remaining funds should be used to enhance the functioning of an existing program.

### Applicant Eligibility:

Applicants are limited to states ("States" includes the 50 states, the District of Columbia, Commonwealth of Puerto Rico, Northern Mariana Islands, U.S. Virgin Islands, Guam, and American Samoa). States are eligible for implementation and enhancement grants if they have in place an enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency. State agencies are eligible for planning grant funds if they do not have enabling statutes or regulations in place.

### Beneficiary Eligibility:

Beneficiaries are limited to states ("States" includes the 50 states, the District of Columbia, Commonwealth of Puerto Rico, Northern Mariana Islands, U.S. Virgin Islands, Guam, and American Samoa). States are eligible for implementation and enhancement grants if they have in place an enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency. State agencies are eligible for planning grant funds if they do not have enabling statutes or regulations in place.

### Credentials/Documentation:

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically.

### Preapplication Coordination:

No formal preapplication coordination is required. While informal preapplication coordination is not required, it is encouraged that applicants coordinate with any facilities for which they have responsibility to detain or incarcerate undocumented criminal aliens. This program is excluded from coverage under E.O. 12372 "Intergovernmental Review of Federal Programs."

### Application Procedure:

Applications must be submitted through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

### Award Procedure:

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination.

### Deadlines:

See the program solicitation, consult the Application Kit, or contact the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, at (1-866) 859-2687 or by e-mail at [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) for application deadline.

### Range of Approval/Disapproval Time:

Applications will generally be approved or denied within 60 days of receipt of a complete application.

### Appeals:

None.

### Renewals:

Subject to congressional appropriation.

### Formula and Matching Requirements:

This program has no statutory formula.

### Length and Time Phasing of Assistance:

Awards are made within 90 days of application end date.

### Reports:

Recipients are required to submit quarterly Financial Reports, and semi-annual Progress Reports. Successful applicants will be required to work with designated national organizations to implement the training at the state level and keep the training current with changing laws.

### Audits:

Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment process. Receipt of SCAAP payments is considered in establishing the requirement for an audit under the Single Audit Act. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

### Records:

Records In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

### Account Identification:

15-0404-0-1-754.

### Obligations:

FY 07 \$7,500,000; FY 08 \$6,600,000; and FY 09 est \$6,600,000.

### Range and Average of Financial Assistance:

For planning grants, applicant can request up to \$50,000. The maximum project period for planning grants is 15 months. For implementation grants, applicant can request up to \$400,000. The maximum project period for implementation grants is 24 months. For enhancement grants, applicant can request up to \$400,000. The maximum project period for enhancement grants is 24 months.

### PROGRAM ACCOMPLISHMENTS:

Since inception of the program in 2002, over 100 grants have been awarded through the Harold Rogers Prescription Drug Monitoring Program to states to support them in their efforts to plan for, implement, or enhance a prescription drug monitoring program. Prior to fiscal year 2002, there were 15 states operating PDMPs. Since the inception of the Harold Rogers Prescription Drug Monitoring Program, this funding opportunity has resulted in 21 states receiving new program grants and 13 states netting planning grants. There are now 26 operating PDMPs and 9 states with legislation in place to establish a program.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Program Application Kit and Questions and Answers posted regularly on the OJP website at: <http://www.ojp.usdoj.gov/BJA/>. The OJP Financial Guide can be viewed at: <http://www.ojp.usdoj.gov/financialguide/>.

### Regional or Local Office:

None.

### Headquarters Office:

Rebecca Rose, Senior Policy Advisor, Bureau of Justice Assistance, State Policy Office, 810 Seventh Street N.W., Washington, DC 20531. Telephone: 202-616-6500 or (1-866) 859-2687. E-mail: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

### Web Site Address:

<http://www.ojp.usdoj.gov/BJA/grant/> or  
<http://www.ojp.usdoj.gov/BJA/grant/prescripdrugs.html>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Please refer to website for funded projects.

### CRITERIA FOR SELECTING PROPOSALS:

See solicitation for selection criteria and required elements.

# DEPARTMENT OF LABOR

## 17.002 LABOR FORCE STATISTICS

### FEDERAL AGENCY:

BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

### AUTHORIZATION:

Public Laws 58-57, 62-426, 71-537, 82-203, 93-203, 93-567, 94-206, 94-311, and 94-369; 29 U.S.C. 1, 2, 2b, 5, 8, 882, 1601.

### OBJECTIVES:

To provide statistical data on labor force activities and to provide data for analyzing the effect of current and long-run economic developments on employment trends.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements); Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Provide data for: (a) employment and unemployment analysis on the current economic status of workers, based on data from households as well as employment, hours and earnings statistics collected from business establishments; (b) labor force studies, yielding information on such characteristics as educational attainment, work experience, earnings and family relationships; (c) occupational employment statistics, including wages available for a wide variety of occupations, by industry, State and metropolitan area; (d) State and local area labor force employment and unemployment data used for labor market analysis, to identify areas of high unemployment and for allocations of funds under various Federal assistance programs; (e) monthly employment and quarterly wage data (Quarterly Census of Employment and Wages (QCEW) program) for the U.S., States, MSAs, counties, and other areas for workers covered by State unemployment insurance programs for administration of the Unemployment Insurance (UI) system, major inputs to BEA's Personal Income Accounts serving as the BLS sample frame and employment benchmark, for improving Census Bureau industry codes and other purposes; (f) Business Employment Dynamics measures of job creation and destruction derived from the QCEW data; (g) monthly potential and quarterly extended mass layoff and plant closing data, including data on offshoring and outsourcing; (h) projections of the labor force, economic growth, industry employment, and occupational employment 10 years into the future; (i) monthly job openings and labor turnover (hires and separations); and (j) measures of the amount of time people spend doing various activities, such as paid work, childcare, volunteering, and socializing. Funds in the form of cooperative agreements are available to State Agencies designated by the Governor, usually State Workforce Agencies (SWA), for employment, hours and earnings; occupational employment statistics; local area labor force and employment; mass layoff statistics; and quarterly census of employment and wages.

### Applicant Eligibility:

SWAs designated under Section 4 of the Wagner-Peyser Act are eligible to apply for cooperative agreement funding to operate the Current Employment Statistics (CES), Local Area Unemployment Statistics (LAUS), Quarterly Census of Employment and Wages (QCEW), Occupational Employment Statistics (OES), and Mass Layoff Statistics (MLS) programs in the States. BLS may select an alternative applicant if a SWA declines to apply for cooperative agreement funding or otherwise substantially fails to meet BLS application and performance requirements. Requests for technical information may be made by the general public.

### Beneficiary Eligibility:

General public may request information from the SWAs and the Bureau of Labor Statistics.

### Credentials/Documentation:

None.

### Preapplication Coordination:

No preapplication is required. Application packages are mailed to each SWA in late spring of each year. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Draft and final applications for cooperative agreement funding are submitted to the appropriate regional office of the Bureau of Labor Statistics according to a schedule of key dates. Requests for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

### Award Procedure:

Upon submission of an acceptable application and after negotiation of specific program deliverables and costs, the Bureau of Labor Statistics awards cooperative agreement funding to the SWA.

### Deadlines:

Cooperative agreements which cover a given Federal fiscal year are executed prior to the beginning of the fiscal year (October 1).

### Range of Approval/Disapproval Time:

Guidelines and application materials are mailed to SWA in mid-May. Initial drafts are required by early July, and final applications by August 31. The

cooperative agreements are executed by mid-September, and become effective October 1.

### Appeals:

None.

### Renewals:

Each fiscal year the Bureau of Labor Statistics enters into new cooperative agreements with appropriate SWAs.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Cooperative agreement funding generally is for a single fiscal year.

### Reports:

LMI Cooperative Agreement reporting requirements are based on the SWAs Cost Accounting System (CAS) reports or their Financial Accounting and Reporting System (FARS) equivalents. CAS report 65, or FARS Report 11, is submitted monthly. CAS reports 61, and 94B, or FARS Report 12A and 17, are submitted quarterly. SWAs choosing not to use the CAS- or FARS- generated reports must submit the LMI Cooperative Statistics Financial Report in lieu of CAS reports 61, 65 and 94B or FARS reports 11, 12A and 17. This report is submitted monthly for data which would appear on CAS report 65 or FARS report 11, and quarterly for CAS reports 61 and 94B, or FARS reports or 12A and 17.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003, published in Federal Register), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Recordkeeping is in accordance with 29 CFR 97, implementing OMB Circular A-102.

### Account Identification:

16-0200-0-1-505.

### Obligations:

(Salaries and Expenses) FY 07 \$246,672,511; FY 08 est \$242,713,000, and FY 09 est \$262,170,000. (Grants) FY 07 \$81,663,861; FY 08 est \$86,998,000; and FY 09 est \$88,463,000.

### Range and Average of Financial Assistance:

The size of each cooperative agreement reflects the staff and non-personal resources required to operate the programs in a State. The range of awards in fiscal year 2007 is from \$49,784 (Guam) to \$7,764,357 (California). The average is \$1,512,294.

### PROGRAM ACCOMPLISHMENTS:

Fiscal year 2007 activities: Labor force survey-approximately 60,000 in monthly sample; employment, hours and earnings survey - about 390,000 establishments in the monthly sample; occupational employment and wage statistics - 400,000 establishments surveyed during the year; State and local area unemployment statistics-monthly publications for approximately 7,200 areas; data from 9.0 million establishments providing monthly employment and quarterly wages of workers covered by State unemployment insurance program; publication of new series on Business Employment Dynamics at the state level of job creation and destruction, expansions, and contractions; monthly and quarterly reporting and publication of mass layoffs and plant closings; work on the 2006-2016 projections and on the 2008-09 editions of the Occupational Outlook Handbook, Career Guide to Industries, and Occupational Projections and Training Data; and monthly publication of measures of job openings and labor turnover, including hires and separations. Release 2006 time use microdata and estimates.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"Employment and Earnings"; "Monthly Labor Review"; "Occupational Employment and Wages"; BLS Handbook of Methods"; "Major Programs of the Bureau of Labor Statistics"; "Publications of the Bureau of Labor Statistics"; "Handbook of Labor Statistics"; "Unemployment in States and Local Areas"; "Geographic Profile of Employment and Unemployment"; and "Employment and Wages"; Charting the Projections, 2006-16; "Occupational Outlook Handbook, 2008-09 Edition (BLS Bulletin number to be assigned)"; "Career Guide to Industries, 2008-09 Edition (BLS Bulletin number to be assigned)"; "Occupational Projections and Training Data, 2006-07 Edition (BLS Bulletin 2602)." Monthly Press Releases: "The Employment Situation"; "Metropolitan Area Employment and Unemployment"; "Regional and State Employment and Unemployment"; "Real Earnings"; "Mass Layoffs"; and "Job Openings and Labor Turnover." Quarterly Press Releases: "County Employment and Wages", Occupational Outlook Quarterly" Business Employment Dynamics", and "Extended Mass Layoffs." Cooperative agreement application instructions, including all applicable regulations, are available from Bureau of



Labor Statistics regional offices free of charge. Annual news releases on families, union membership, veterans' labor force characteristics, foreign born labor force characteristics, and volunteering.

**Regional or Local Office:**

Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Bureau of Labor Statistics, Office of Employment and Unemployment Statistics, Department of Labor, Washington, DC 20212. Contact: John M. Galvin, Telephone: (202) 691-6400.

**Web Site Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

11.001, Census Bureau Data Products; 11.005, Census Special Tabulations and Services; 17.005, Compensation and Working Conditions; 11.025, Measures and Analyses of the U.S. Economy; 17.004, Productivity and Technology Data.

**EXAMPLES OF FUNDED PROJECTS:**

Each State, the Virgin Islands, Puerto Rico, the District of Columbia, and Guam operated LMI Cooperative Agreements.

**CRITERIA FOR SELECTING PROPOSALS:**

Acceptable application and specific program deliverables and cost.

### 17.003 PRICES AND COST OF LIVING DATA

**FEDERAL AGENCY:**

BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Public Laws 62-426, 71-537, and 94-206, 29 U.S.C. 1-2.

**OBJECTIVES:**

To provide statistical data for assisting in the evaluation of consumer, producer, export and import prices and price changes, and consumer expenditures.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Provides for Consumer Price Indexes (CPI) which measure changes in prices of goods and services consumed by all urban households as well as urban wage earners and clerical workers. As the basis for most estimates of changes in the purchasing power of the consumer's dollar, the CPI is a major economic indicator and has widespread use in escalation adjustments in both private and public sectors. Provides for Producer Price Indexes (PPI) which measure average changes in selling prices received by domestic producers for their output and which are widely cited within price escalation clauses of long term sales contracts to protect both parties against inflation. Provides Export and Import Price Indexes to measure the effect of international trade prices on U.S. economy. The Consumer Expenditure (CE) Surveys provide periodic updates to the market basket and the weights used to calculate the CPI. In addition, the CE supplies information on consumers' spending and income by characteristics such as income, age, race, family size, and region.

**Applicant Eligibility:**

Request for information may be made by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for information and assistance may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries and Expenses) FY 07 \$177,796,698; FY 08 est \$177,986,000; and FY 09 est \$198,464,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, the Consumer Price Indexes (CPI), Producer Price Indexes (PPI), International Price Indexes (IPP), and Consumer Expenditure Surveys (CE) continue, as will regular publication of data from these price statistics programs. During 2008, the CPI program will continue publication of the new superlative measure of changes in living costs. The new measure more fully reflects the impact of changes in relative prices on consumers. IPP will have offered its new web-based repricing collection to 95 percent of its respondents by the end of 2008. PPI expanded its coverage of the service sector to include management consulting, blood banks, computer training schools, and industrial machinery equipment and repair. PPI completed a major quality improvement initiative to implement a probability-based methodology for prescription drugs. Coverage in the PPI also expanded with the publication of the new office construction index. In 2008, the CE added questions about the new tax rebate and began collecting the data, revised and tested changes to the upcoming 2009 Interview questionnaire.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Consumer Price Index"; "Producer Price Index"; "Export Price Index"; "Import Price Index"; "Consumer Expenditure Survey," "Monthly Labor Review"; "BLS Handbook of Methods," BLS Bulletin 2490; "Major Programs of the Bureau of Labor Statistics"; "Publications of the Bureau of Labor Statistics."

**Regional or Local Office:**

Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Bureau of Labor Statistics, Office of Prices and Living Conditions, Washington, DC 20212. Telephone: (202) 691-6960. Contact: Michael W. Horrigan.

**Web Site Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

10.950, Agricultural Statistics Reports; 11.025, Measures and Analyses of the U.S. Economy; 17.005, Compensation and Working Conditions.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

### 17.004 PRODUCTIVITY AND TECHNOLOGY DATA

**FEDERAL AGENCY:**

BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Public Laws 54-249, 62-426, 71-537, 76-77, and 94- 206, 29 U.S.C. 1, 29 U.S.C. 2b.

**OBJECTIVES:**

To provide and analyze data on productivity in major sectors of the U.S. economy and specific industries and develop productivity and other measures for selected countries.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Provides for: (a) Productivity measures of output per hour of all persons for the business sector and for major sub-sectors; (b) multifactor productivity indexes (output per unit of combined labor and capital inputs) for private business, private nonfarm business, manufacturing, and major industries, and indexes of output per unit of capital; (c) multifactor productivity measures for selected industries including capital, labor, energy, materials, and purchased business services inputs; (d) industry measures of output per employee-hour, output per employee, unit labor costs, and related data for selected industries; and (e) international comparisons of productivity, labor costs, and the labor force and unemployment.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries and Expenses) FY 07 \$10,995,429; FY 08 est \$10,870,000; and FY 09 est \$11,706,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Quarterly labor productivity and cost measures for major sectors are published regularly. Multifactor productivity measures for major-sectors, and industry labor and multifactor productivity measures are published each year.

International comparisons of productivity, compensation, and unemployment are also ongoing activities of this Office. Approximately 29 reports, studies, and articles were completed in fiscal year 2008, and 3,006 labor productivity and international comparative series were updated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"BLS Handbook of Methods"; "Major Programs Bureau of Labor Statistics"; "BLS Publications on Productivity and Technology"; "Estimating Capital Inputs for Productivity Measurement: An Overview of Concepts and Methods"; "The Impact of Research and Development on Productivity Growth"; "Trends in Multifactor Productivity, 1948-81"; "Labor Composition and U.S. Productivity Growth, 1948-90"; "Monthly Labor Review."

**Regional or Local Office:**

Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Labor, Bureau of Labor Statistics, Office of Productivity and Technology, 2 Massachusetts Avenue, NE., Washington, DC 20212.  
Telephone: (202) 691-5600. Contact: Office of the Associate Commissioner.

**Web Site Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

11.025, Measures and Analyses of the U.S. Economy; 17.006, Employment Projections Data.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.005 COMPENSATION AND WORKING CONDITIONS

**FEDERAL AGENCY:**

BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Public Laws 62-426, 71-537, 91-596 and 94-206, 29 U.S.C. 1-2; 29 U.S.C. 2b; 29 U.S.C. 4; 5 U.S.C. 5305; 29 U.S.C. 651; 29 U.S.C. 673.

**OBJECTIVES:**

To provide timely and relevant data on levels and trends in wages; employee benefits; occupational safety and health; and work stoppages.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

This program provides the following information: (A) trend data on employee wages and compensation; (B) occupational wage data in about 150 localities nationwide and studies of employee benefits plans; (C) national and State data on occupational injuries, illness and fatalities; and (D) information on work stoppages. It also makes available funds in the form of cooperative agreements to State agencies or designated local governments for collection of data on occupational injuries, illnesses, and fatalities. The Occupational Safety and Health Statistics program authorizes funds on a matching basis to States or local governments to assist them in developing and administering programs.

**Applicant Eligibility:**

State agencies or designated local governments are eligible to apply for cooperative agreement funding to share costs in operating statistical programs dealing with occupational safety and health statistics. Request for copies of

published studies and reports may be made by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None for the general public requesting data; OMB Circular No. A-87 requirements apply as well as agency regulations implementing OMB Circulars No. A-102 and No. A-110 requirements, to State and local governments.

**Reapplication Coordination:**

In early summer, BLS begins discussions with existing and potential agencies concerning the next fiscal year's cooperative agreement, and provides them the appropriate application materials. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the catalog. Applications for cooperative agreement funding are submitted to the appropriate regional office of the Bureau of Labor Statistics.

**Award Procedure:**

Upon submission of an acceptable application and after negotiation of specific program deliverables and costs, the Bureau of Labor Statistics awards cooperative agreement funding to the State or local government.

**Deadlines:**

Cooperative agreements which cover a given Federal fiscal year are executed prior to the beginning of the fiscal year (October 1).

**Range of Approval/Disapproval Time:**

The typical process would include guidelines and application material being mailed to State or local government in early summer, with initial drafts required by mid-summer, and final applications due by late summer. Cooperative agreements are executed by early-September and become effective October 1.

**Appeals:**

None.

**Renewals:**

Each fiscal year the Bureau of Labor Statistics enters into new cooperative agreements with appropriate State or local governments.

**Formula and Matching Requirements:**

The Federal share for each State's or local government's statistical program may be up to 50 percent of the State's or local government's total cost.

**Length and Time Phasing of Assistance:**

Cooperative agreement funding generally is for a single fiscal year.

**Reports:**

Cooperative agreements with State or local government specify quarterly financial reports and periodic program reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, in Federal Register June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping is in accordance with 29 CFR 97 (implementing OMB Circulars No. A-102 and No. A-110).

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries and Expenses) FY 07 \$81,595,015; FY 08 est \$82,251,000; and FY 09 est \$86,281,000. (Grants) FY 07 \$5,812,910; FY 08 est \$6,339,000; and FY 09 est \$6,574,000.

**Range and Average of Financial Assistance:**

The size of each cooperative agreement reflects the staff and nonpersonal resources required to operate the program. The range of awards in fiscal year 2007 is from \$4,100 (Idaho) to \$630,900 (California). The average is \$111,787.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the Office of Compensation Levels and Trends within the Office of Compensation and Working Conditions published approximately 138 bulletins, news releases, and articles. Titles of these publications are included in the literature below. The National Compensation Survey (NCS) produces data on wages, salaries, and employee benefits from an integrated survey design. During 2007, the program completed transitioning to new industry and occupational classification systems and began using a new sample and revised definitions of metropolitan areas. The Occupational Safety and Health Statistics program produces data that allow for State publications, and provides tools for the States to conduct research and outreach. In 2007, the program continued to release data earlier in the year and produced nonfatal injury and illness rates for demographic characteristics for the first time. BLS provides establishments the option of responding to the Survey Occupational Injuries and Illnesses via the internet and now collects a significant portion of its annual data using this method.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NCS - Regional Wage Data for each of the nine Census Divisions (web only); National Compensation Survey - National bulletin, National summary, Locality bulletins and summaries; NCS: Employee Benefits in Private Industry - National bulletin, National summary, and News Releases; "Employment Cost Index"; "Employer Costs for Employee Compensation"; Major Work Stoppages - monthly news releases (web only) and annual summary; "Occupational Injuries and Illnesses: Counts, Rates, and Characteristics" (Annually); "Fatal Workplace Injuries: A Collection of Data and Analysis" (Annually); "Workplace Injuries and Illnesses," "Nonfatal Occupational Injuries and Illnesses Requiring Days Away from Work," and "National Census of Fatal Occupational Injuries" (annual news releases); "Major Programs of the Bureau of Labor Statistics"; "Bureau of Labor Statistics Customer Service Guide"; "BLS Handbook of Methods."

**Regional or Local Office:**

Contact the appropriate regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

17.002, Labor Force Statistics; 17.003, Prices and Cost of Living Data.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Acceptable application and specific program deliverables and cost.

## 17.150 EMPLOYEE BENEFITS SECURITY ADMINISTRATION

(EBSA)

**FEDERAL AGENCY:**

EMPLOYEE BENEFITS SECURITY ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Employee Retirement Income Security Act of 1974, as amended, Public Law 93-406, 29 U.S.C. 1001 note.

**OBJECTIVES:**

The primary mission of EBSA is to protect the pension health and other benefits of American workers and their families. EBSA is committed to educating and assisting the 150 million Americans covered by more than 683,000 private retirement plans, 2.5 million health plans, and similar numbers of other welfare benefit plans, as well as, plan sponsors and members of the employee benefits community. EBSA promotes voluntary compliance and facilitates self-regulation, working diligently to provide quality assistance to plan participants and beneficiaries. It is the policy of EBSA to provide the highest quality of service to stakeholders and the regulated community. EBSA carries out its mission by: (1) deterring and correcting violations of ERISA; (2) helping plan officials understand and comply with the legal requirements of ERISA; (3) educating workers on their benefit rights; and, (4) developing policies that encourage the growth of employment-based benefits.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Plan professionals, participants and beneficiaries of employee pension, health care and welfare benefit plans obtain information about the legal requirements for plan administration, plan provisions, financial operations or how to obtain a benefit.

**Applicant Eligibility:**

Plan administrators, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration may obtain assistance in complying with the Act. Interested persons may obtain certain plan documents which are required to be filed by plan administrators.

**Beneficiary Eligibility:**

Plan officials, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the nearest field office of the Employee Benefits Security Administration listed in Appendix IV of the Catalog, EBSA's web site at [www.dol.gov/ebsa](http://www.dol.gov/ebsa) or EBSA's hotline at (1 866) 444-EBSA (3272).

(Participants and beneficiaries should first contact their plan administrator for plan information.)

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1700-0-1-601.

**Obligations:**

(Salaries and Expenses) FY 07 \$134,509; FY 08 \$143,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

EBSA is proactive in its efforts to enhance pension and health benefits security. In this regard, EBSA's customer service staff provides assistance to approximately 150,000 participants, employers and plan administrators each year. The nature of assistance ranges from receiving information brochures, booklets and/or regulations to individualized assistance relative to a specific problem along with information on how the law applies, sometimes resulting in a direct or indirect recovery of an appropriate benefit. As part of its technical assistance program, EBSA conducts educational outreach workshops and participates in additional outreach conferences sponsored by professional organizations. Additionally, through its enforcement program, EBSA actions resulted in monetary recoveries to employee benefit plans of approximately \$1.4 billion in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the final regulations, proposed regulations, and other directives are available from the national office or on EBSA's website at [www.dol.gov/ebsa](http://www.dol.gov/ebsa). Certain audio-visual material also are available for hearing-impaired audiences. EBSA publishes a variety of free publications directed to employers and participants which can be obtained from its website and its publication hotline at (1 866) 444-EBSA (3272).

**Regional or Local Office:**

Persons desiring assistance should contact the nearest Department of Labor, Employee Benefits Security Administration field office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Employee Benefits Security Administration, Department of Labor, 200 Constitution Avenue, NW., Room N5623, Washington, DC 20210. Telephone: (202) 693-8666. Contact Gloria Della.

**Web Site Address:**

<http://www.dol.gov/ebsa>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.201 REGISTERED APPRENTICESHIP AND OTHER TRAINING

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

National Apprenticeship Act of 1937, as amended, Public Law 75-308, 50 Stat. 664, 57 Stat. 518, 29 U.S.C. 50, 50a, 50b.

**OBJECTIVES:**

To stimulate and assist industry in the development, expansion, and improvement of registered apprenticeship and other training programs designed to provide the skilled workers required by U.S. employers, ensure equal employment opportunities in registered apprenticeship and other training programs, and ensure the quality of all new and existing registered apprenticeship programs.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Project Grants.

**USES AND USE RESTRICTIONS:**

Under the Office of Apprenticeship (OA) apprenticeship training programs and



apprentices are registered in 23 States. OA also provides technical assistance and works closely with State Apprenticeship Councils/State Apprenticeship Agencies (SACs/SAAAs) in the remaining 27 States, the District of Columbia, and three territories that register programs and apprentices in accordance with Federal standards. OA provides information on existing and recommended standards of training in registered apprenticeship as well as on other types of industrial skill improvement programs. The wage rates of apprentices in registered programs (Federal and State) are exempt from the prevailing wage requirements of the Davis-Bacon Act and the Service Contract Act. Registered Apprenticeship is the combination of learning on-the-job and related technical and theoretical instruction in a skilled occupation. Registered programs are driven directly by the demands of the labor market. The training is industry-driven, voluntarily sponsored by individual employers, employer associations, and/or by joint employer-employee groups. OA brings these entities together, as appropriate, to formulate registered apprenticeship training programs which meet the federal standards. Various educational institutions and sponsors provide theoretical and related instruction. Special efforts are being made to introduce the apprenticeship concept of training into high-growth industries and occupations. The Advisory Committee on Apprenticeship, representing employers, labor, vocational education, and others with an interest in skill training, advises the Secretary of Labor on apprenticeship and training issues. Special grants are provided to eligible organizations to assist employer and labor unions in placement and retention of women in apprenticeship and nontraditional occupations.

**Applicant Eligibility:**

Employers, a group of employers, or an association of employers, or individual employers with or without in each case the participation of a labor union. For grants: community based organizations, which may be faith based - see announcement of solicitation for grant applications.

**Beneficiary Eligibility:**

Individuals applying for acceptance into an apprenticeship training program must be at least 16 years old and must satisfy the apprenticeship program sponsor that they have sufficient ability, aptitude, and education to master the rudiments of the trade/occupation and to satisfactorily complete the related theoretical instruction required in the program.

**Credentials/Documentation:**

Along with the completed application form, each prospective apprentice may be required by the sponsor to submit a transcript of school subjects and grades, proof of age, an honorable military discharge (if applicable), and a high-school diploma or equivalency certificate (if applicable). References from all previous employers may be required.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Prospective program sponsors must meet with an OA or SAC/SAA field representative, as appropriate, to draw up a set of apprenticeship training program standards. These include the age and educational background of apprentices, and a schedule of the work processes and related theoretical instruction subjects to be covered during the training program. The program will be registered if it meets Federal requirements covering (a) the apprenticeability of the occupation(s) and (b) the suitability of the training standards for providing apprentices with sufficient knowledge to become skilled workers. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Not applicable for advisory services and counseling type of assistance. Procedures for grant projects are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

For grants, specified in the applicable request for proposals, but generally 45 to 60 days from announcement.

**Range of Approval/Disapproval Time:**

For grants, from 45 to 90 days.

**Appeals:**

OA refusal to register programs and OA deregistration of existing programs may be appealed to the Secretary of Labor as provided in Title 29 CFR Part 29. For grants, procedures for each project are specified in the applicable request for

proposals.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

The program sponsor reports new apprentice registrations, suspensions, cancellations, completions, and program status to the OA or SAC/SAA field representative. For grants, quarterly financial and performance reports are normally required. See SGA for further information.

**Audits:**

Not applicable for advisory services and counseling type of assistance. For grants, subject to audits by the Department of Labor or other authorized Government agencies. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Apprenticeship selection records showing compliance with the nondiscrimination requirements set out in 29 CFR Part 30 are required to be kept for 5 years.

**Account Identification:**

16-0172-0-1-504, 16-0174-0-1-504.

**Obligations:**

(Federal salaries and expenses) FY 07 \$21,000,000; FY 08 est \$21,000,000; and FY 09 est \$23,000,000. (Project grants) FY 07 \$1,000,000; FY 08 est \$1,000,000; and FY 09 est \$1,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2006, more than 450,000 apprentices, received training in more than 29,200 registered programs. There were more than 187,521 new apprentices registered. It is estimated that more than 454,500 apprentices will receive training during fiscal year 2007, and more than 459,000 in Fiscal Year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found in 29 CFR 29: "Labor Standards for the Registration of Apprenticeship Programs"; 29 CFR 30: "Equal Employment Opportunity in Apprenticeship and Training".

**Regional or Local Office:**

Regional or Local Office Persons are encouraged to communicate with the Regional Directors of the Office of Apprenticeship (OA), as appropriate. The Regional Directors are the following: Region I (Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, Puerto Rico, Rhode Island, Vermont, Virgin Islands), Mr. Joseph T Hersh, Boston Acting Regional Director, USDOL/ETA/OA, 170S. Independence Mall West, Suite 825 East, Philadelphia, PA 19106-3314, Telephone (215) 861-4830, FAX (215) 861-4833, E-mail: [hersh.joseph@dol.gov](mailto:hersh.joseph@dol.gov); Region II (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia), Mr. Joseph T. Hersh, USDOL/ETA/OA, 170 S. Independence Mall West, Suite 825 East, Philadelphia, PA 19106-3314, Telephone (215) 861-4830, FAX (215) 861-4833, E-mail: [hersh.joseph@dol.gov](mailto:hersh.joseph@dol.gov); Region III (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Mr. Garfield G. Garner, Jr., Atlanta Regional Director, USDOL/ETA/OA, 61 Forsyth Street S.W., Room 6T71 Atlanta, GA 30303-8938, Telephone (404) 302-5478 FAX (404) 302-5479, E-mail: [garner.garfield@dol.gov](mailto:garner.garfield@dol.gov); Region IV (Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming), Mr. Steven D. Opitz), Dallas Regional Director, USDOL/ETA/OA, Federal Building, 525 Griffin Street Room 303, Dallas, TX 75202, Telephone (972) 850-4681, FAX (972) 850-4688, E-Mail: [opitz.steve@dol.gov](mailto:opitz.steve@dol.gov); Region V (Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin), Mr. Terrence Benewich, Chicago Regional Director, USDOL/ETA/OA, 230 South Dearborn Street Room 656 Chicago, IL 60604-1505; Telephone (312) 596-5500, FAX (312) 596-5501, E-Mail: [benewich.terrence@dol.gov](mailto:benewich.terrence@dol.gov); Region VI (Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, Washington), Mr. Michael W. Longueay, San Francisco Regional Director, USDOL/ETA/OA, 90 Seventh St., Suite 17-100, San Francisco, CA 94103-1516, Telephone (415) 625-2230, FAX (415) 625-2235, E-Mail [longueay.michael@dol.gov](mailto:longueay.michael@dol.gov).

**Headquarters Office:**

Office of Apprenticeship (OA), Anthony Swoope, OA Administrator, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Room N-5311, Washington, DC 20210 Telephone: (202) 693-2796 Fax: (202) 693-2808.

**Web Site Address:**

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.260, WIA Dislocated Workers; 17.303, Wage and Hour Standards.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.207 EMPLOYMENT SERVICE/WAGNER-PEYSER FUNDED ACTIVITIES**

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Wagner-Peyser Act of 1933, 48 Stat. 113 as amended, Public Law 105-220; Workforce Investment Act of 1998.

**OBJECTIVES:**

To assist persons to secure employment and workforce information by providing a variety of job search assistance and information services without charge to job seekers and to employers seeking qualified individuals to fill job openings.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

The Wagner-Peyser Act of 1933 established a nationwide system of public employment offices which is known as the Employment Service. Wagner-Peyser was amended by the Workforce Investment Act of 1998 making the Employment Service part of the One- Stop delivery system. The Wagner-Peyser funded activities are an integral part of the One Stop delivery system that provides an integrated array of high-quality services so that workers, job seekers, and businesses can access the services they need under one roof in easy-to-reach locations, with many services also offered through self-service electronic access. These services includes assessment of skill levels, abilities and aptitudes, career guidance when appropriate, job search workshops, and referral to training as appropriate. The services offered to employers, in addition to referral of job seekers to job openings, include matching job requirements with job seeker experience, skills and other attributes, helping with special recruitment needs, assisting employers analyze hard-to-fill job orders, assisting with job restructuring and helping employers deal with layoffs. Additional services may include: 1) a computerized career information system including access to state job bank resources and institutions and organizations that provide training; 2) the development and distribution of state and local workforce information which allows job seekers, employers, and providers and planners of job training and economic development to obtain information pertaining to job opportunities, labor supply, labor market or workforce trends, and the market situation in particular industries. Veterans receive priority referral to jobs as well as special employment services and assistance. In addition, the system provides specialized service to individuals with disabilities, as well as, such groups as Indians and Native Americans, migrant and seasonal farmworkers, ex-offenders, youth, and older workers. These Wagner-Peyser-funded programs involve a Federal-state partnership between the U.S. Department of Labor (DOL), Employment and Training Administration (ETA) and the state workforce agency. The Federal government provides general direction, funding, and oversight. In addition the Federal government partners with states to provide for a number of tools and resources such as development and maintenance of the Occupational Information Network (O\*NET), Analyst Resource Center, and CareerOneStop ([www.careeronestop.org](http://www.careeronestop.org)), a self-service, integrated suite of workforce information Web sites that provide career resources and workforce information to businesses, job seekers, students, and workforce professionals. CareerOneStop includes: 1. Career InfoNet ([www.careerinfonet.org](http://www.careerinfonet.org)) which helps individuals explore their career opportunities to make informed career choices by providing national, state, and local career information and workforce data; 2. America's Service Locator ([www.servicelocator.org](http://www.servicelocator.org)) which connects individuals to employment and training opportunities available at their local One-Stop Career Center and links them to a range of local workforce services; 3. Career Voyages ([www.careervoyages.gov](http://www.careervoyages.gov)) which provides information on in-demand occupations in high-growth industries along with skills and education requirements to advance in a career path toward a brighter future; 4. O\*Net Online (<http://online.onetcenter.org>) is the nation's primary source of occupational skills and competency information, providing comprehensive information on key attributes and characteristics of workers and occupations; 5. Competency Model Clearinghouse ([www.careeronestop.org/CompetencyModel](http://www.careeronestop.org/CompetencyModel)) which provides access to competency models for careers in high-growth industries, giving educators, the workforce system, and businesses a common industry-driven framework for developing curriculum, and increasing awareness of industry skill requirements; 6. KeytoCareerSuccess([www.careeronestop.org/militarytransition](http://www.careeronestop.org/militarytransition)) offers career information and links to services that help veterans and military service members successfully transition to civilian careers; and, 7. Online Coaches

([www.workforcetools.org/online-coach.asp](http://www.workforcetools.org/online-coach.asp)) which provide interactive, step-by-step instructions on using ETA-funded Web-based tools. Under Wagner -Peyser Act Section 7(b), ten percent of the total sums allotted to each state workforce agency shall be reserved for use by the governor to provide performance incentives; services for groups with special needs; and for the extra costs of exemplary models for delivering job services. In addition, a Toll Free Help Lines is funded to provide customer service: 1-877-US2-JOBS or TTY 1-877-889-5627.

**Applicant Eligibility:**

States, the District of Columbia, Virgin Islands, Puerto Rico, and Guam.

**Beneficiary Eligibility:**

All employers seeking workers, persons seeking employment, and associated groups. Priority of service is given to veterans; veterans with disabilities receive preferential treatment over other veterans.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 as codified in 41 CFR 1-15.7 for state and local governments.

**Preapplication Coordination:**

State workforce agencies are provided preliminary planning estimates in January of each year preceding the program year for which funds are allotted. Final planning estimates are issued annually by late March. The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provides detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval (currently Janet Sten), Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Established each year (contact Federal agency for deadline for application submission).

**Range of Approval/Disapproval Time:**

As provided in regulations.

**Appeals:**

As provided in regulations.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Funds are allotted to each state workforce agency in accordance with the formula set forth at Section 6 of the Wagner-Peyser Act (29 U.S.C. 493). The formula is based on each state's share of the civilian labor force and unemployment. The Secretary of Labor is required to set aside up to three percent of the total available funds to assure that each state workforce agency will have sufficient resources to maintain statewide Wagner-Peyser-funded activities, as required under Section 6(b)(4) of the Wagner-Peyser Act. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Formula funds are provided at the beginning of a program year and are available for expenditure during that program year and the succeeding two program years.

**Reports:**

As provided for in regulations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), audits of states, local governments, and nonprofit organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 07 \$729,000,000; FY 08 est \$704,000,000; and FY 09 est \$0 (Project Grants) FY 07 \$107,000,000; FY 08 est \$54,000,000; and FY 09 est \$33,000,000.

**Range and Average of Financial Assistance:**

No established range.

**PROGRAM ACCOMPLISHMENTS:**

Program accomplishments are published annually in the Annual Report. The report may be obtained from the Division of Adult Services, 200 Constitution Ave, N.W., Room C 4512, Washington, DC 20210 or on the Employment and Training Administration Web page at <http://www.doleta.gov>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 - Establishment and Functioning of State Employment Services; Part 662 - Description of the One-Stop System under Title I of the Workforce Investment Act; Part 663 - Adult and Dislocated Worker Activities under Title I of the Workforce Investment Act; Subpart A - Delivery of Adult and Dislocated Worker Services Through the One-Stop Service Delivery System; Part 1001-Services for Veterans.

**Regional or Local Office:**

Contact the nearest office of the local One-Stop Career Center or state workforce agency by checking the local telephone directory or visit the Web site, America's Service Locator at [www.servicelocator.org](http://www.servicelocator.org).

**Headquarters Office:**

Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210. Contact: Christine Ollis, Division Chief, Adult Services, Room C-4510. Telephone: (202) 693-33046.

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

10.768, Business and Industry Loans; 10.766, Community Facilities Loans and Grants; 17.272, Permanent Labor Certification for Foreign Workers; 17.273, Temporary Labor Certification for Foreign Workers; 17.225, Unemployment Insurance; 17.235, Senior Community Service Employment Program; 17.245, Trade Adjustment Assistance; 27.001, Federal Civil Service Employment; 27.002, Federal Employment Assistance for Veterans; 27.003, Federal Student Temporary Employment Program; 27.005, Federal Employment for Individuals With Disabilities; 53.001, Employment Promotion of People with Disabilities; 17.258, WIA Adult Program; 17.259, WIA Youth Activities; 17.260, WIA Dislocated Workers; 17.801, Disabled Veterans' Outreach Program (DVOP); 17.804, Local Veterans' Employment Representative Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.225 UNEMPLOYMENT INSURANCE****FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Social Security Act, as amended, 42 U.S.C. 501-504, 1101-1109; Trade Act of 1974, as amended, Public Law 93-618, 88 Stat. 2024, 19 U.S.C. 2311; Federal Unemployment Tax Act, as amended, 26 U.S.C. 3404 note; Federal Employees and Ex-Service Members, 5 U.S.C. 8501 and 8521; Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, Public Law 100-707, 88 Stat. 153, 42 U.S.C. 5171.

**OBJECTIVES:**

To administer a program of unemployment insurance for eligible workers through Federal and State cooperation; to administer payment of trade adjustment assistance, alternative trade adjustment assistance, disaster unemployment assistance, unemployment compensation for Federal employees and ex-service members.

**TYPES OF ASSISTANCE:**

Formula Grants; Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

The states have the direct responsibility for establishing and operating their own unemployment insurance programs, while the Federal Government finances the cost of administration. State unemployment insurance tax collections are used solely for the payment of benefits. Federal unemployment insurance tax collections are used to finance expenses deemed necessary for proper and efficient administration of the state unemployment insurance laws; to reimburse state funds for one-half the costs of extended benefits paid under the provisions of state laws which conform to the provisions of the Social Security Act and the Federal Unemployment Tax Act; and to make repayable advances to states when needed to pay benefit costs. Funds used for benefit payments may not be used for any program administration costs nor for training, job search, and job relocation payments. Disaster Unemployment Assistance (DUA) is paid out of funds provided by the Federal Emergency Management Agency (FEMA). Benefits for former Federal civilian employees, including postal workers, and former members of the Armed Forces are paid out of the Federal Employees Compensation Account (FECA) in the Unemployment Trust Fund, subject to reimbursement by the former employing agency.

**Applicant Eligibility:**

State workforce agencies, including those in the District of Columbia, Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:**

All workers whose wages are subject to State unemployment insurance laws, Federal civilian employees, ex-service members, trade readjustment allowance for workers who become unemployed or underemployed because of the adverse effect of increased imports or because of shifts in production outside the U.S., and workers whose unemployment is caused by a Presidentially declared disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, are eligible if they are involuntarily unemployed, able to work, available for work, meet the eligibility and qualifying requirements of the state law, and are free from disqualifications. Individual State information on eligibility requirements is available from local One-Stop Career Centers.

**Credentials/Documentation:**

Awards of grants to states are conditioned on the Secretary of Labor's determination that the states' unemployment compensation laws are in conformity with the Social Security Act and the Federal Unemployment Tax Act and that State practices substantially comply with these laws. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Eligible applicants are furnished applications (State Quality Service Plan) by the Employment and Training Administration for this program. States submit the plans to apply for grants to the appropriate regional office of the Employment and Training Administration, based on target performance levels issued to the states through ETA regional offices pursuant to nationally-developed workload estimates. All plans are to be constructed in terms of selected workloads to be undertaken and the resources and numbers of employees needed to accomplish them. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Regional Administrator for Employment and Training issues a preliminary approval for a State within the dollar target provided by the ETA National Office, based on the State plan submitted.

**Deadlines:**

State plans are submitted to the appropriate Regional Office for final approval no later than mid-September.

**Range of Approval/Disapproval Time:**

Approximately 45 days at the Regional Office level.

**Appeals:**

Contact Federal agency.

**Renewals:**

None.

**Formula and Matching Requirements:**

Matching requirements - not applicable. Grants for administration of programs is determined by formula based on State workload projections pursuant to economic assumptions and nationally developed workload estimates.

**Length and Time Phasing of Assistance:**

Annual grants for base operation of programs, plus additional quarterly funding based on actual workloads. Financing of administrative costs is accomplished through Letter of Credit drawdowns needed to meet immediate cash requirements.

**Reports:**

Weekly, monthly, quarterly, and yearly statistical reports of unemployment insurance workloads. Separate quarterly financial status reports are required for grants used for administration of each type of program.

**Audits:**

Subject to audits by the Department of Labor or other authorized Government agencies. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State requirements are to be in conformity with Federal statutes.

**Account Identification:**

20-8042-0-7-999, 16-0326-0-1-999, 16-0179-0-1-999.

**Obligations:**

(Grants) FY 07 \$2,510,000,000; FY 08 est \$2,474,000,000; and FY 09 est \$2,646,000,000 (Benefits) FY 07 \$33,350,000,000; FY 08 est \$35,356,000,000; and FY 09 est \$37,975,000,000.

**Range and Average of Financial Assistance:**

Grants: \$1,900,000 to \$359,000,000. Average: \$45,400,000.

**PROGRAM ACCOMPLISHMENTS:**



State agencies pay unemployment compensation to eligible workers and collect state unemployment taxes from employers. These agencies also pay unemployment benefits and adjustment allowances to eligible former Federal civilian employees (UCFE), ex-service members (UCX), disaster unemployment assistance (DUA), and trade-impacted workers (TRA & ATAA).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Unemployment Insurance For Ex-Service Members;" "Unemployment Insurance For Federal Workers;" "Significant Provisions of State Unemployment Insurance Laws;" "Comparison of State Unemployment Insurance Laws;" and regulations, factsheets, and other program information are available on the Internet at <http://workforcsecurity.doleta.gov/unemploy>.

**Regional or Local Office:**

Local One-Stop center; State Workforce Agency; Employment and Training Administration regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Administrator, Office of Workforce Security, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W. Washington, DC 20210. Telephone: (202) 693-3029. Contact: Cheryl Atkinson.

**Web Site Address:**

<http://workforcsecurity.doleta.gov/>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 57.001, Social Insurance for Railroad Workers; 17.245, Trade Adjustment Assistance; 97.034, Disaster Unemployment Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

See Uses and Use Restrictions Section of the program.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 17.235 SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM

(SCSEP)

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Older Americans Act of 1965, Title V, as amended by Public Law 109-365; (OAA-2006); 120 Stat. 2522, 42 U.S.C. 3001.

**OBJECTIVES:**

To foster individual economic self sufficiency; provide training in meaningful part-time opportunities in community service activities for unemployed low-income persons who are age 55 years of age or older, particularly persons who have poor employment prospects; and to increase the number of older persons who may enjoy the benefits of unsubsidized employment in both the public and private sectors.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Organizations that receive grants use the funds to create and pay for part-time community service training positions for persons age 55 and above whose income is at or below 125 percent of the poverty level. The individuals who are enrolled may be trained in work assignments at local service agencies (e.g., schools, hospitals, day care centers, park systems, etc.). A portion of the funds may be used to provide participants with classroom training and supportive services. No more than 13.5 percent of the Federal share of the costs may be spent for administration. (If justified, a waiver to 15 percent may be provided by the Department of Labor.) Participants may not train in projects involving political activities, sectarian activities, nor may participants displace any employed worker or perform work which impairs existing contracts for service. Each local project is required to coordinate its activities with local Workforce Investment Act projects and One-Stop Career Centers and the State Office of the Aging.

**Applicant Eligibility:**

The following types of organizations are eligible to receive grants: (1) states and U.S. territories; (2) national public and private non-profit institutions/organizations, other than political parties but including faith-based and community organizations; and (3) tribal organizations.

**Beneficiary Eligibility:**

Adults 55 years or older with a family income at or below 125 percent of the Department of Health and Human Services (DHHS) poverty level. Prospective participants must provide documentation relative to age and personal financial status which is required to determine whether the individual is program eligible. With certain exceptions, the Census Bureau's Current Population Survey definition of income governs the determination of SCSEP applicant income eligibility. Section 518 (a)(3)(A)OAA-2006 specifies that any income that is unemployment compensation, a benefit received under title XVI of the Social Security Act; a payment made to or on behalf of veterans or former members of

the Armed forces under the laws administered by the Secretary of Veterans Affairs, or 25 percent of a benefit received under title II of the Social Security Act is excluded from SCSEP income eligibility determinations.

**Credentials/Documentation:**

Applicants must meet the eligibility test under Section 514(c) and the responsibility test under Section 514(d) of the Older Americans Act.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**

National nonprofit organizations are required under Section 502(d) of the Older Americans Act to submit an application to the state agency, in addition to the Department of Labor. The Division of Adult Services in the Employment and Training Administration will provide information concerning proper application, format, and content and furnish standard application forms. Governors may comment on SCSEP grant proposals prior to award and may make recommendations to the Secretary of Labor to improve the distribution of SCSEP services.

**Award Procedure:**

Awards are made directly to eligible applicants by the Employment and Training Administration of the Department of Labor.

**Deadlines:**

Contact the Department of Labor for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately eight weeks.

**Appeals:**

Appeals may be filed according to the regulations at 20 CFR 641.900.

**Renewals:**

Grantees must meet the eligibility and responsibility test each year in order to be funded. In addition, grantees must meet negotiated performance measures described in Section 513(b) of OAA-2006, in administrative guidance, and in an Interim Final Rule on SCSEP Performance Accountability to be published prior to July 1, 2007.

**Formula and Matching Requirements:**

The statutory allocation formula at Section 506 of OAA -2006 provides for the distribution of funds on the basis of a hold-harmless factor, the number of persons aged 55 and over residing in each state and the per capita income (PCI) in each state. The statistical sources used for fund allocation are based on census data. Below the state level, funds are distributed on the basis of persons over the age of 55 at or below 125 percent of the poverty guidelines as determined by the DHHS and Census P-60 Current Population Reports. Grantees must provide or arrange through third parties at least 10 percent of the cost of the project from non-Federal sources. The grantee share of the cost may be contributed in cash or in-kind. This program has Maintenance of Effort requirements described at Section 502(b)(1)(G) of OAA-2006 and 20 CFR 641.844 of the 2004 Final Rule.

**Length and Time Phasing of Assistance:**

Funding is provided annually. The program year runs from July 1 to June 30.

**Reports:**

(1) Quarterly Progress Reports; (2) Quarterly Financial Status Report (FSR); (3) Annual Equitable Distribution Report; and (4) A 4-year strategic State Plan, to be reviewed and updated no less frequently than every two years. The Quarterly Progress Reports are generated by the SCSEP Performance and Results QPR (SPARQ) system located within the Department of Labor. All other reports are submitted electronically by the grantees. For the quarterly FSR, permitted applicant organizational costs will be determined in accordance with OMB Circular Nos. A-87 for state and local governments, and A-122 for nonprofit organizations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of states, local governments, and nonprofit organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normally to be retained by the grant or contract recipient for a three-year period following the completion of the grant or contract. Grantees are required to submit participant data via high-speed Internet access to a DOL-sponsored data collection system.

**Account Identification:**

16-0175-0-1-504.

**Obligations:**

(National program grants) FY 07 \$375,000,000; FY 08 est \$391,000,000; FY 09 est \$273,000,000 (State program grants) FY 07 \$109,000,000; FY 08 est \$131,000,000; and FY 09 est \$77,000,000.

**Range and Average of Financial Assistance:**

Grant awards have ranged from \$86 million to \$330,000.

**PROGRAM ACCOMPLISHMENTS:**

For Program Year (PY) 2006, 60,400 subsidized, part-time training positions were available. Approximately 93,500 people were served in these positions in PY 2006. Approximately 20,000 participants exited the program to begin a job. In a typical program year, approximately 74 grant awards are made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 641; Training and Employment Guidance Letters, Training and Employment Notices, previously issued Older Worker Bulletins that are still in effect and other SCSEP directives.

**Regional or Local Office:**

Region 1, Dana Bourne, Telephone: (617) 788-0122; Region 2, Chantal Watler, Telephone: (215) 861-5224; Region 3, Deborah Bradley, Telephone: (404) 302-5379; Region 4, Marilyn Brandenburg, Telephone: (214) 767-2257; Region 5, Celeste Moerle, Telephone: (312)596-5422; Region 6, Ingrid Nyberg, Telephone: (415) 625-7947.

**Headquarters Office:**

Judith Gilbert, Division of Adult Services, Office of Workforce Investment, Employment and Training Administration, Department of Labor, Room S-4209, 200 Constitution Avenue, N.W., Washington, DC 20210. Telephone: (202) 693-3938. Fax: (202) 693-3817.

**Web Site Address:**

<http://www.doleta.gov/seniors/>.

**RELATED PROGRAMS:**

17.258, WIA Adult Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Employment and Training Administration makes grant awards available to 50 states, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, and Virgin Islands, along with 18 national non-profit organizations.. A variety of organizational arrangements are used to administer the SCSEP projects. Many of the grantees have contractual relationships and agreements with local government and non-profit organizations. In many cases the SCSEP program is operated by the state aging agency and within sub-state areas by area agencies on aging. Some of the national grantee organizations administer the SCSEP local projects directly through their affiliates, while others sub-grant funds to local agencies. Most of the projects operated under the auspices of the SCSEP provide service through host agencies to the community at large or to the elderly community. Some of the activities have included transportation for the elderly, serving the community as librarians, teachers' aides, nutritional aides, etc. The ultimate goal of the program is to place participants into unsubsidized employment and foster economic self-sufficiency.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department annually renews grant agreements. The Department may have an open competition from time to time to select national grantees. National grants were competed in 2003 and 2006. The next competition opportunity, as specified in the authorizing legislation, will be in 2011. When such a competition occurs, a notice will be published in the Federal Register.

## 17.245 TRADE ADJUSTMENT ASSISTANCE

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Trade Act of 1974, Title II, Public Law 93-618, 88 Stat. 1979, 19 U.S.C. 2271-2322, as amended; Omnibus Budget Reconciliation Act of 1981, Title XXV, Public Law 97-35, as amended; Miscellaneous Revenue Act of 1983, Public Law 97-362, as amended; Amendment to the International Coffee Agreement Act of 1980, Public Law 98-120, as amended; Deficit Reduction Act of 1984, Public Law 98-369, as amended, Public Law 99-190; Third Continuing Resolution for Fiscal Year 1986 Funds, as amended; Consolidated Omnibus Budget Reconciliation Act of 1985, Title XIII, Public Law 99-272; Omnibus Trade and Competitiveness Act of 1988, Title I, Public Law 100-418; North American Free Trade Agreement Implementation Act, Title V, Public Law 103-182; Consolidated Appropriations Act of 2000, Public Law 106-113; Trade Act of 2002, Title I-II, Public Law 107-210.

**OBJECTIVES:**

To provide adjustment assistance to qualified workers adversely affected by foreign trade which will assist them to obtain suitable employment.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

State Workforce Agencies (SWAs) serve as agents of the United States for administering the worker adjustment assistance benefit provisions of the Trade Act. SWAs, through the local offices, provide testing, counseling, and job placement services; job search and relocation assistance; training; and payment of weekly trade readjustment allowances (TRA). State unemployment compensation and extended benefits must be exhausted before TRA is paid to eligible claimants. Trade impacted workers are eligible to receive job search and relocation allowances in addition to the costs of training. They may be paid

subsistence and transportation allowances to attend approved training outside the normal commuting distance of a worker's regular place of residence.

**Applicant Eligibility:**

A petition for Trade Adjustment Assistance (TAA) may be filed by a group of adversely affected workers and be signed by at least three workers; alternatively, a petition may be filed by a company official, one-stop operators or one-stop partners, including State employment security agencies or the State dislocated worker unit, union representative, or other authorized representatives, requiring only one signature. After receiving a TAA petition, Division of Trade Adjustment Assistance (DTAA) investigators will establish if the workers' company produces a product and that a required minimum of the workforce has been laid off in the 12 months preceding the date of the petition or is threatened with layoffs (3 workers in groups of fewer than 50, 5 percent of the workforce in groups of 50 or more, or at least 50 workers in groups of 1000 or more). Additionally, DTAA will analyze facts contributing to the workers' layoffs or work reductions in order to determine one of the following sets of conditions have been met: (1) Increased imports contributed importantly to an actual decline in sales or production and to a layoff or threat of a layoff; or (2) There has been a shift in production to certain countries which contributed to a layoff or threat of a layoff; or (3) there has been a shift in production outside of the United States and there has been or is likely to be an increase in the import of like or similar articles; or (4) loss of business as a supplier of component parts, a final assembler, or a finisher where workers were TAA certified and contributed importantly to an actual decline in sales or production, and to a layoff or threat of a layoff. In accordance with the requirement of Section 246 of the Trade Adjustment Assistance Reform Act of 2002, the Secretary implemented on August 6, 2003, the Alternative Trade Adjustment Assistance (ATAA) for Older Workers. A request for ATAA consideration is part of the TAA petition and is filed at the same time the TAA petition is filed. In order for the Department to certify a worker group eligible to apply for the ATAA, the petitioning worker group must be determined eligible to apply for TAA. The criteria that the Department must consider for ATAA certification are: (1) a significant number of workers in the firm must be 50 years of age or older, (2) whether the workers possess skills that are easily transferable in the local area, and (3) the competitive conditions within the workers' industry.

**Beneficiary Eligibility:**

A TAA beneficiary must: (1) be found by the Labor Department to have been adversely affected by increased imports or a shift in production to certain countries, (2) be certified by the Secretary of Labor as eligible to apply for adjustment assistance, and (3) meet the following individual requirements: (a) his or her unemployment or underemployment must have begun on or after the impact date specified in the Secretary's certification as the beginning of the import-impacted unemployment or underemployment; (b) his or her unemployment must begin before the expiration of the two-year period beginning on the date on which the Secretary issued the certification for his or her group or before the termination date, if any, specified in the certification. In addition, to be eligible for weekly trade readjustment allowance (TRA) payments he or she must: (1) have been employed with wages at a minimum of \$30 per week by the import-affected firm for at least 26 of the previous 52 weeks including the week of total layoff (up to seven weeks of employer-authorized leave may be counted as qualifying weeks of employment or up to 26 weeks of disability compensation); and (2) be enrolled in or have completed a TAA approved job training program, unless the determination is made that training is either not feasible or not appropriate, in which case a waiver of the training requirement may be issued. To receive TRA, the claimant must be enrolled in an approved training program within eight weeks of the Secretary's issuance of the certification or within 16 weeks of the worker's most recent qualifying separation, whichever is later.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for TAA under the Trade Act of 1974, as amended, a "Petition for Trade Adjustment Assistance" must be filed directly with the Division of Trade Adjustment Assistance at the address listed below and with the State official or organization designated by the Governor of the State in which the workers' firm or subdivision is located. DTAA and State contact information, as well as petition forms in English and Spanish, are available through the State Workforce Agencies or from the Division of Trade Adjustment Assistance listed below. The Petition forms may also be downloaded from our web-site at:

<http://www.doleta.gov/tradeact>. Filing a petition also constitutes an application for Alternative Trade Adjustment Assistance (ATAA). Petitions must be filed with both the DTAA and the State agency in which the worker group's plant is located. Notice of such filing shall be promptly published in the Federal Register. Within 10 days after publication, the petitioner or any other person found by the Secretary to have a substantial interest may request a hearing and be afforded the opportunity to be present, to present evidence, and to be heard.

**Award Procedure:**

A Certification of Eligibility to apply for worker adjustment assistance and

alternative trade adjustment assistance may be issued by the Secretary of Labor to groups of workers who have been found by the Department of Labor to have met the requirements concerning foreign trade-affected separations from employment. Individual workers covered by the certification can apply to the local office of their State Workforce Agency for individual determinations of eligibility to receive benefits.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

For the TAA program, eligibility investigations begun by the receipt of a valid petition are completed, and a determination issued, within 40 calendar days of the receipt of the petition.

**Appeals:**

There are two courses of appeal, one administrative and the other judicial. Petitioners aggrieved by a final determination by the Secretary may, within 30 days after notice of such determination is published in the Federal Register, file an application for reconsideration with the Director of the Division of Trade Adjustment Assistance. If the determination following reconsideration is negative, they may, within 60 days after notice of the negative determination upon reconsideration, file a petition for review of such determination with the United States Court of International Trade in New York City. Aggrieved petitioners may request judicial appeal without first seeking administrative reconsideration, within 60 days after notice of such determination is published in the Federal Register.

**Renewals:**

None.

**Formula and Matching Requirements:**

Base funding of grants to States for training services uses a formula based on States' previous year allocations, accrued expenditures and participant levels; additional funds may be requested by States based on additional needs above the base funding provided.

**Length and Time Phasing of Assistance:**

Cash trade readjustment allowances (TRA) become payable only after workers have exhausted their entitlement to State unemployment compensation including extended benefits. For TAA certifications on petitions filed on or after November 4, 2002, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 52 additional weeks may be paid to workers while participating in approved training and an additional 26 weeks for workers whose approved training program includes remedial education. Participation in ATAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The ATAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$10,000 for up to two years. The individual must obtain employment within 26 weeks of layoff, earn not more than \$50,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided.

**Reports:**

Quarterly financial reports on grants for administration of TAA/TRA program are required.

**Audits:**

Subject to audits by the U.S. Department of Labor or other authorized Government agencies. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

16-0326-0-1-999.

**Obligations:**

(TAA Training Grants) FY 07 \$260,000,000; FY 08 est \$260,000,000; FY 09 est \$260,000,000.

**Range and Average of Financial Assistance:**

Weekly allowance payments are the same as the amount of weekly State unemployment compensation.

**PROGRAM ACCOMPLISHMENTS:**

From April 1975 through September 2006, the Department of Labor issued certifications in 35,549 cases involving 4,357,803 workers. (These figures are continuously revised to account for actual experience and include both TAA and NAFTA-TAA.)

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations at 29 CFR 90, Certification of Eligibility to Apply for Worker Adjustment Assistance, and 20 CFR 617, Trade Adjustment Assistance for

Workers.

**Regional or Local Office:**

Regional offices of the Employment and Training Administration, Department of Labor listed in Appendix IV, and local offices of affiliated State Employment Security Agencies.

**Headquarters Office:**

Ralph DiBattista, Director, Division of Trade Adjustment Assistance, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Room C-5311, Washington, DC 20210. Telephone: (202) 693-3098.

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.225, Unemployment Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.258 WIA ADULT PROGRAM

(WIA-Adult Program)

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998 (WIA), Title I, Subtitle B, Chapter 5, Public Law 105-220, 20 U.S.C. 9201.

**OBJECTIVES:**

The purpose of this program is to improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and earnings. For cross-cutting goals, the program intends to enhance customer satisfaction for participants and for employers. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The Act specifies that most services for adults will be provided through One Stop Career Centers. The Act authorizes three levels of service, which are available to all jobseekers. "Core" services include outreach, job search, placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to all those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "individual training account" to select an appropriate training program from a qualified training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive funding from the Department are the 50 States, Puerto Rico, the District of Columbia and the outlying areas. Funds are allotted based on a statutory formula. The states in turn allocate funds to local workforce investment boards (approximately 600), by formula.

**Beneficiary Eligibility:**

All adults 18 years and older are eligible for core services. Priority for intensive and training services must be given to recipients of public assistance and other low-income individuals where funds are limited. States and local areas are responsible for establishing procedures for applying the priority requirements.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**



The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidances provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other ETA and non-ETA DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval currently Janet Sten, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Each State shall submit its State Plan on or before the date set by the Assistant Secretary for Employment and Training. Contact headquarters office for an application deadline date.

**Range of Approval/Disapproval Time:**

State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the State Plan is in consistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the State Plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in Section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Contact the Headquarters Office to obtain information on appeal procedures.

**Renewals:**

None.

**Formula and Matching Requirements:**

Adult Activities funds are allocated to states under the formula described in the Act, which includes three factors based on the distribution of unemployed individuals and disadvantaged adults by State.

**Length and Time Phasing of Assistance:**

Formula funds are allotted every year to a State in two portions during a program year and are available for expenditure by the State for that program year and the two succeeding program years.

**Reports:**

Financial and performance reporting requirements as specified by the Secretary in accordance with 20 CFR 667.300.

**Audits:**

Subject to audits by the Department of Labor or other authorized Government agencies. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of states, local governments, and nonprofit organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 07 \$864,000,000; FY 08 est \$850,000,000; and FY 09 est \$712,000,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The Program Year 2005 WIA Adult program served 1,052,611 participants. Of those who exited the program, 134,005 entered employment. The entered employment rate was 77 percent. Program accomplishments are published annually and posted on the Internet at: [http://www.doleta.gov/performance/results/wia\\_national\\_performance.cfm](http://www.doleta.gov/performance/results/wia_national_performance.cfm). A copy of the report may be obtained by writing to: Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000.

**Regional or Local Office:**

Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Workforce Investment, Employment and Training Administration,

Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210. Contact: Christine Ollis, Division Chief, Adult Services, Room S-4209.

Telephone: (202) 693-3046.

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.259, WIA Youth Activities; 17.260, WIA Dislocated Workers.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 17.259 WIA YOUTH ACTIVITIES

(WIA Formula Youth)

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 4, Public Law 105-220, 20 U.S.C. 9201.

**OBJECTIVES:**

To help low income youth, between the ages of 14 and 21, acquire the educational and occupational skills, training, and support needed to achieve academic and employment success and successfully transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Title I of the Act authorizes the new Workforce Investment System and establishes state workforce investment boards with oversight responsibility by the governors for local workforce investment boards; and establishes the process by which eligible providers of training and youth activities are identified. The Act authorizes the use of funds for youth employment and training activities that will provide eligible youth assistance in achieving careers and academic and employment success; ensures ongoing mentoring opportunities; provides opportunities for training; provides continued supportive services; provides incentives for recognition and achievement; and provides opportunities for leadership, development, decision making, citizenship, and community service.

**Applicant Eligibility:**

Under WIA, 50 states, Puerto Rico, the District of Columbia, and the outlying areas are identified as the recipients of youth training activities funds. For a state to be eligible to receive youth funds, the governor of the state will submit to the Secretary for consideration by the Secretary, a single state plan that outlines a 5-year strategy for the statewide workforce investment system.

**Beneficiary Eligibility:**

An eligible youth is an individual who: (1) is 14 to 21 years of age; and (2) is an individual who received an income or is a member of a family that received a total family income that, in relation to family size, does not exceed the higher of (a) the poverty line; or (b) 70 percent of the lower living standard income; and (3) meets one or more of the following criteria: is an individual who is deficient in basic literacy skills; a school dropout; homeless; a runaway; a foster child; pregnant or a parent; an offender; or requires additional assistance to complete their education or secure and hold employment.

**Credentials/Documentation:**

In order to establish a continuing relationship under the Act, the governor and the Secretary of Labor shall sign a governor/Secretary Agreement. This agreement assures that the State will comply with the Workforce Investment Act and the applicable rules and regulations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to follow in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval (currently Janet Sten), Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Each State shall submit its plan on or before the date set by the Assistant Secretary of the Employment and Training Administration. Contact Headquarters Office for an application deadline date.

**Range of Approval/Disapproval Time:**

A State plan submitted to the Secretary will be considered to be approved by the Secretary at the end of the 90-day period beginning on the day the Secretary received the plan, unless the Secretary makes a written determination, during the 90-day period, that the plan is inconsistent with the provisions of Title I.

**Appeals:**

Contact Headquarters Office to obtain information on appeal procedures.

**Renewals:**

None.

**Formula and Matching Requirements:**

Youth activities funds are allotted to states under the formula described in the Act based on the distribution of unemployed individuals and disadvantaged youth by state.

**Length and Time Phasing of Assistance:**

Formula funds allotted to a State each year are available for expenditure by the State for that program year plus two succeeding program years.

**Reports:**

Reporting requirements as specified by the Secretary in accordance with 20 CFR 667.300.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), audits of states, local governments, and nonprofit organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

FY 07 \$929,000,000; FY 08 est. \$861,000,000; and FY 09 est. \$828,000,000.

**Range and Average of Financial Assistance:**

There is no established range; grant awards are based on formula allocation.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR PART 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000. Federal Register: Thursday, February 28, 2002 (Volume 67, Number 403) "Solicitation of Comments on the Reauthorization of the Workforce Investment Act (WIA) and Linkages with the Temporary Assistance for Needy Families (TANF); Notice.

**Regional or Local Office:**

Contact the appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210. Contact: Evan Rosenberg, Division of Youth Services. Telephone: (202) 693-3593. Fax: (202) 693-3532.

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.260 WIA DISLOCATED WORKERS

(WIA-Dislocated Workers)

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Public Law 105-220, 20 U.S.C. 9201.

**OBJECTIVES:**

The purpose of the program is to reemploy dislocated workers, improve the

quality of the workforce, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and extent of recovery of prior earnings. For cross cutting goals, the program intends to enhance customer satisfaction for participants and for employers. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service, which are available to all job seekers. "Core" services include outreach, job search and placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "individual training account" to select an appropriate training program from a qualified training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. National Emergency Grants (NEGs) are used to provide targeted services to workers affected by mass layoffs, natural disasters, Federal government actions, or other specific circumstances. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive formula-based funding from the Department are the 50 states, Puerto Rico, the District of Columbia, and the outlying areas. Funds are allotted based on a statutory formula and states in turn allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor. Applicants for NEGs may be states, outlying areas, local workforce boards, and non-profit and private organizations whose purpose is to provide targeted services to eligible beneficiaries.

**Beneficiary Eligibility:**

Individuals eligible for assistance through the applicants receiving the funds include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who have been dependent on income of another family member, but are no longer supported by that income. NEG Program has National Emergency Grants have identical eligibility to the above and also includes certain military personnel and defense employees. Services through NEGs are targeted on individuals affected by mass layoffs, natural disasters, Federal government actions, and other circumstances specified by the Secretary.

**Credentials/Documentation:**

Formula-funded programs are subject to governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**

The governor submits a single Strategic State Plan in accordance with one of the Planning guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, currently Janet Sten, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210. Application for National Emergency Grant funds is made through a governor's or other authorized applicant's submission of a proposal in accordance with guidelines issued by the Secretary of Labor. Please see [http://www.doleta.gov/neg/apply\\_neg.cfm](http://www.doleta.gov/neg/apply_neg.cfm) for a description.

**Award Procedure:**

Formula Funds: Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing

legislation. NEGs: Submitted applications are reviewed by the Assistant Secretary for the Employment and Training Administration and approved by the Secretary of Labor.

**Deadlines:**

Each state shall submit its State Plan on or before the date set by the Assistant Secretary for Employment and Training. Contact Headquarters Office for an application deadline date.

**Range of Approval/Disapproval Time:**

State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Contact the Headquarters Office listed below to obtain information on appeal procedures.

**Renewals:**

None.

**Formula and Matching Requirements:**

Formula funds are allotted to states under a statutory formula based on the distribution of unemployed individuals by state in three categories of unemployment. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Formula funds are allotted to states under a statutory formula based on the distribution of unemployed individuals by state in three categories of unemployment. There are no matching requirements.

**Reports:**

Financial and performance reporting requirements as specified by the Secretary in accordance with 20 CFR 667.300.

**Audits:**

Subject to audits by the Department of Labor or other authorized Government agencies. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of states, local governments, and non-profit organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 07 \$1,190,000,000; FY 08 est \$1,151,000,000; and FY 09 est \$1,065,000,000 (NEGs) FY 07 \$117,000,000; FY 08 est \$100,000,000; and FY 09 est \$93,000,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Formula program: The WIA Dislocated Worker program served 306,968 participants. Of those who exited the program, 120,433 entered employment. The entered employment rate was 83.2 percent. Program accomplishments are published annually and posted on the Internet at: [http://www.doleta.gov/performance/results/wia\\_national\\_performance.cfm](http://www.doleta.gov/performance/results/wia_national_performance.cfm). A copy of the report may be obtained by writing to: Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210. Contact: Christine Ollis, Division Chief, Adult Services, Office of Workforce Investment, Room S-4209. Telephone: (202) 693-3046.

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258, WIA Adult Program; 17.259, WIA Youth Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Formula funds: not applicable. National Emergency Grants: (1) Louisiana Department of Employment and Training, \$40,700,000, to hire individuals

impacted by Hurricane Katrina in temporary jobs that: (a) worked on projects providing food, clothing, shelter and other humanitarian assistance for disaster victims; (b) provide manpower to help the affected communities with demolition, cleaning, repair, renovation, and reconstruction of damaged or destroyed public structures, facilities and lands located within the disaster areas. (2) Massachusetts Department of Workforce Development, \$2,890,474, for layoffs affecting approximately 1200 workers at Fleet Bank/Bank of America. (3) District of Columbia Department of Employment Services, \$950,000, to respond to the workforce development needs of employers, communities, and workers resulting from scheduled closures and realignments of military installations as a result of the approved actions for Base Realignment and Closing (BRAC) in 2005.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.261 WIA PILOTS, DEMONSTRATIONS, AND RESEARCH PROJECTS**

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle D, Section 171, Public Law 105-220.

**OBJECTIVES:**

Address national employment and training problems through demonstration, pilot projects, and applied research. Employment and training issues and/or workforce development interventions are implemented to aid policymakers and stakeholders in addressing these problems and evaluating program efficiencies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects shall include the provision of direct services to individuals to enhance employment opportunities and an evaluation component and may include (1) building a demand driven workforce investment system; (2) building the capacity of workers to obtain good jobs with good wages; (3) focusing on key segments of the workforce; (4) building a comprehensive workforce system through new regional economic strategic approaches; and (5) evaluating program effectiveness.

**Applicant Eligibility:**

State and local governments, Federal agencies, private non-profit and for-profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Generally limited to the economically disadvantaged and those who are underemployed, unemployed, need to upgrade their skills in order to retain jobs, at-risk youth, and/or to those who evidence barriers to employability.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls, organizational capacity to undertake the project, and qualified key personnel among other credentials described in the particular announcement or solicitation.

**Preapplication Coordination:**

None except as specified in solicitations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants for projects are awarded on a competitive basis, announced in a Solicitation for Grant Applications (SGA) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will address the criteria of the particular announcement or solicitation. The SGA provides all of the necessary information for applying for Federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable SGA. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant.

**Deadlines:**

Specified in the applicable SGA, but generally 45 to 60 days from announcement date.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable SGA.



**Renewals:**

Project extensions available upon approval by the Grant Officer (renewals are not automatic). Requests for extensions or renewals must be submitted in writing.

**Formula and Matching Requirements:**

In certain instances for particular solicitations or groups of awards, matching or leveraging requirements may be imposed because of statutory requirements and/or administrative decisions.

**Length and Time Phasing of Assistance:**

Most projects last one to two years.

**Reports:**

At a minimum, progress and financial reports are required on a quarterly basis as well as a final project report. Additional requirements are included in the SGA or grant package.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003) Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 07 \$26,000,000; FY 08 est \$40,000,000; and FY 09 est \$17,000,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$1.75 million.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, approximately 26 new pilot and demonstration projects or major modifications of existing projects were initiated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of SGAs are published periodically in the Federal Register on the ETA Web site at [www.doleta.gov](http://www.doleta.gov).

**Regional or Local Office:**

Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Grants and Contract Management, Office of Financial and Administrative Management, Employment and Training Administration, Department of Labor, 200 Constitution Ave., N.W., Room N-4716, Washington, DC 20210. Contact: James DeLuca, Telephone: (202) 693-3754, E-mail: [DeLuca.James@dol.gov](mailto:DeLuca.James@dol.gov).

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In PY 2006, ETA maintained oversight and continued support of on-going multi-year studies such as Project Gate, a large scale demonstration testing the impact of micro-enterprise assistance as a workforce development tool. ETA continues large-scale cooperative research efforts with the Departments of Housing and Urban Development (HUD), and Health and Human Services (HHS) addressing the needs of low wage workers. In PY 2006, ETA initiated projects to carry out its goal of building a demand-driven system. These projects support the President's High Growth Job Training Initiative (HGJTI), the Community Board Job Training grants (CBJTG), and the Workforce Innovation in Regional Economic Development (WIRED) initiative. These efforts draw on public-private partnerships. Other new research efforts in FY 2006 focused on existing and emerging target groups such as migrant and seasonal farm workers, people with limited English proficiency, women, ex-offenders reentering their communities through the President's Reentry Initiative (PRI), and workers seeking to start their own businesses. Many of these activities make use of partnerships among federal agencies, state and local agencies, and research institutions. These efforts help to increase the cost effectiveness of projects by making use of administrative data for research and evaluations of ETA programs. Offer training to approximately 100 individuals (30 incumbent workers, 70 new students) that can lead to professional certification and/or an Associate's degree in automotive services; a \$ 900,000 grant to a community college to develop a blended training delivery model accessible to any automotive and collision program across the nation interested in becoming certified by the National Automotive Technicians Education Foundation (NATEF); a \$ 200,000 grant to a not-for-profit organization to offer

resources and hands-on opportunities to build girls' knowledge of and skills in car maintenance; a \$ 300,000 grant to identify and certify more automotive service technicians by translating eight certification exams into Spanish and by having these exams administered throughout the country; a \$ 95,000 grant to an industry association to educate, train, and employ new automotive service technicians through work-based training opportunities, or on-the-job mentor/intern programs; a \$ 1,496,680 grant to a community college to develop curriculum based on a new set of NATEF standards for an entry-level General Service Technician (GST) and train approximately 175 automotive service technicians adapting the new curriculum; a \$ 136,000 grant to a not-for-profit organization to develop a career-lattice model for automotive service technicians and match it to a coaching approach that includes one-on-one mentoring and follow-up mentoring via e-mail; a \$ 250,000 grant to a state workforce investment board to engage the state education system and the biotech business community to enhance youth participation in life sciences; a \$ 5,000,000 grant to a consortium of community colleges to develop a National Center for a Biotechnology Workforce with 5 participating community colleges to identify industry skill needs and to develop skill standards and training for five different biotech sectors: Biotech R&D, Biomufacturing, Agriculture and Food Processing, Bioinformatics and Bioprocessing; a \$ 1,372,250 grant to a not-for-profit industry education foundation to stimulate the life sciences workshop pipeline at the high school level by developing and launching a demo model of the BioCareer Lab in 25 urban and high-need public schools; a \$ 2,510,117 grant to a local workforce investment system to create a clearinghouse for local and national biotechnology labor market and to coordinate student internships (from high-school to post-doctoral levels) and teacher externships for the regional biotechnology community; a \$ 235,500 grant to an industry association with its partners to sustain existing construction career academies in Chattanooga and San Antonio, and will develop additional career academies in eight local communities; a \$ 2,092,343 grant to a not-for-profit organization to launch an outreach campaign to attract women into the construction industry; a \$ 1,400,000 grant to a community college to create a Construction Academy that provides high school students with an array of construction-specific courses and career opportunities in the construction industry; a \$ 2,187,1078 grant to a labor management organization to train and license high school instructors in skill standard certifications so that they can teach and certify students in advanced manufacturing and construction skills; a \$ 4,268,454 grant to an industry association to create a systemic approach to construction industry workforce development that provides a continuum of recruitment, career exploration, education, and training, beginning with middle and high school and continuing through post-secondary education and life-long learning; a \$ 2,000,000 grant to community college to develop a career and education advancement ladder and user-focused curriculum for the land records management and utilities' geospatial technology applications; a \$ 1,000,000 grant to a not-for-profit organization to establish a geospatial technology education and awareness initiative to develop and deliver learning resources like video programming and live web casts, provide professional development services, and integrate geospatial concepts into existing programming and ETA's Career Voyages website; a \$ 187,939 grant to a community college to assess local geospatial workforce needs and use the findings to develop new and innovative curriculum and career ladder workforce development systems for a cross-section of industries; a \$990,125 grant to a training institution to establish a Geospatial Technology education training center to support workforce applications; a \$ 2,599,979 grant to a community college to develop a system of resources that not only addresses workforce development needs, but also promotes growth of existing businesses, especially small and medium business sector, as well as new business development -- all within identified targeted industries.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable SGA.

**17.264 NATIONAL FARMWORKER JOBS PROGRAM****FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998; Title I, Subtitle D, Section 167; Public Law 105-220.

**OBJECTIVES:**

To provide job training and other employability development services and related assistance for those individuals, including their dependents, who are primarily employed in agricultural labor that is characterized by chronic unemployment and underemployment.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

In the National Farmworker Jobs Program (NFJP), eligible seasonal farmworkers and their dependents may be offered core services (including initial assessment, One-Stop Center services, job placement, and eligibility determination) intensive

services developed under a case management system (such as objective assessment, individual employment planning, basic education, allowance payments, dropout assistance, and work experience) training services (such as classroom training that is occupationally specific and on the job training), and related assistance (such as emergency assistance and other supportive services that allow a farmworker to stay employed or continue his or her participation in program activities).

**Applicant Eligibility:**

Public agencies and units of government (State and local); and private non-profit institutions/organizations authorized by their charters or articles of incorporation to operate employment and training programs.

**Beneficiary Eligibility:**

The ultimate beneficiaries are low income individuals and their dependents who have, during any consecutive 12-month period in the 24 months preceding their application for enrollment, been primarily employed in agricultural labor that is characterized by chronic unemployment or under employment due to the seasonal or migratory nature of the work. Individuals must also be legally available for work and males must not have violated the Selective Service Act registration requirement.

**Credentials/Documentation:**

Applicants must be able to demonstrate an understanding of the problems of seasonal farmworkers and the capacity to respond to their needs, a familiarity with the local agricultural industry, and the administrative capacity to administer workforce investment programs, including their capacity to be an effective One Stop system partner.

**Preapplication Coordination:**

The standard preapplication forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the state requires to be followed in applying for assistance if the state has selected the program for review.

**Application Procedure:**

Grants for operating NFJP programs are awarded under a biennial competitive process. Applications are solicited, normally for each state's service area, through a Solicitation for Grant Applications (SGA) announcement published in the Federal Register and on ETA's Web site, [www.doleta.gov](http://www.doleta.gov). Applicants may be required under the solicitation to provide their proposed plan to operate NFJP services in the areas where they propose to operate. A separate program is funded to serve the geographic area of each State, except as follows: more than one applicant may be selected to serve areas within California and some service areas comprise the geography of two adjoining states. (A provision for waiver of competition for a maximum four-year period may be exercised by the Department).

**Award Procedure:**

Competing applications will be rated according to criteria included in the Solicitation for Grant Application. Awards are made directly to eligible applicants by the Employment and Training Administration.

**Deadlines:**

Contact the headquarters for application deadlines.

**Range of Approval/Disapproval Time:**

Thirty to ninety days.

**Appeals:**

Petition for reconsideration of non-selection as a potential grantee may be made to an Administrative Law Judge within 21 days of notification of the Department's decision.

**Renewals:**

Grants may be renewed without further competition for a third and fourth year provided performance for the first two years has been satisfactory.

**Formula and Matching Requirements:**

A formula is used to distribute funding by state service area based on estimates of each state's share of the nation's eligible seasonal farmworkers. The formula relies primarily on data from the Census of Agriculture and the National Agricultural Workers Survey. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Awards initially apply for one or two years, with the option of a subsequent two-year renewal if performance is satisfactory and a national competition is not held.

**Reports:**

Grantee recipients are required to provide quarterly program and financial status reports and quarterly reporting of individual participant information. Program performance is calculated from quarterly reporting of individual participant information.

**Audits:**

Programs are subject to financial and compliance audits conducted by the Office of Inspector General (OIG). In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of states, local governments, and non-profit organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific

audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain complete accounting, personnel, and individual participant records in accordance with OMB Circulars A-102 and A-110. Participant records must support eligibility and the need for services provided.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Grants) FY 07 \$80,000,000; FY 08 est \$80,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Grants may range between \$100,000 and \$7,000,000. The average is not calculated.

**PROGRAM ACCOMPLISHMENTS:**

In Program Year (PY) 2005, an estimated 16,907 farmworkers received job training and supportive services. Of those who were provided intensive and job training services, 81 percent were placed in jobs with an average annual wage gain of \$6,754 above the level earned prior to participation in the NFJP. Under the competition for the PY 2005, beginning July 1, 2005, there were 68 applications from which 53 grants were awarded. (The most recent prior competition was for the PY 2003.)

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 669.

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Adult Services, Office of Workforce Investment, Employment and Training Administration, Department of Labor, Room S-4209, 200 Constitution Avenue, N.W., Washington, DC 20210. Telephone: (202) 693-3046. Fax: (202) 693-3945.

**Web Site Address:**

<http://www.doleta.gov/msfw/>.

**RELATED PROGRAMS:**

17.258, WIA Adult Program.

**EXAMPLES OF FUNDED PROJECTS:**

Projects assist farmworkers to complete educational goals and learn specific job skills in order to acquire the qualifications employers require for occupations offering permanent full-time employment, or to advance into other, more stable agricultural employment. This is accomplished through a case management-driven system that uses customer choice to guide the farmworker customer in the development of a strategy for acquiring the job skills and related education that are needed to qualify for higher-skilled jobs, and consequently the opportunity for earning a better livelihood. Projects also assist farmworkers seeking to remain in farmwork by providing emergency assistance and other supportive services that promote their continued participation in the agricultural workforce.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the Solicitation for Grant Application published in the Federal Register whenever there is a competition for grant awards. (Also, see paragraph 92, above.)

## 17.265 NATIVE AMERICAN EMPLOYMENT AND TRAINING

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle D, Section 166 and Subtitle B, Chapter 2; Public Law 105-220; 112 Stat. 936; 29 U.S.C. 2801 et seq.

**OBJECTIVES:**

To support employment and training activities for Indian, Alaska Native, and Native Hawaiian individuals in order: to develop more fully the academic, occupational, and literacy skills of such individuals; to make such individuals more competitive in the workforce; and to promote the economic and social development of Indian, Alaska Native, and Native Hawaiian communities in accordance with the goals and values of such communities. Supplemental youth funding is also awarded to help low income Native American youth and Native Hawaiian youth, between the ages of 14 and 21, acquire the educational skills, training and the support needed to achieve academic and employment success and successfully transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be utilized for employment and training programs and services, including classroom training, on the job training, training assistance, work experience, youth employment programs, day care, health care, job search, relocation, and transportation allowances designed to assist eligible participants to obtain employment. There are specified restrictions on the amount of grant

funds which can be used for administrative costs. Supplemental youth funds may be utilized to provide employment and training activities that assist youth in achieving academic and employment success. Such activities may include; mentoring, career exploration, work experience, community service, education programs including cultural education, leadership development and supportive services. Funds are restricted to Native American youth and Native Hawaiian youth between the ages of 14 and 21 living on or near reservations and the States of Oklahoma, Hawaii, and Alaska. Administrative costs are limited to 15% but are negotiable up to 20% upon prior agency approval.

**Applicant Eligibility:**

Federally-recognized Indian Tribal Governments, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act, 43 U.S.C. 1602(b)), Hawaiian Native communities meeting the eligibility criteria, and Native American Organizations (public bodies or private nonprofit agencies) selected by the Secretary on a competitive basis. Tribes, bands, and groups may also form consortia in order to qualify for designation as a grantee. An independently eligible grantee shall be a Federally-recognized tribe or other Indian or Native American entity which has: (1) A governing body as defined in 20 CFR 668.200(a); (2) (for new grantees) an identifiable Native American resident population sufficient to generate the funding level(s) outlined at 20 CFR 668.200(a)(3) within its designated service area; and (3) the capability to administer Indian and Native American employment and training programs as outlined at 20 CFR 668.220. Detailed requirements for consortium grantee applicants are set forth at 20 CFR 668.200(b). Supplemental funding is automatically awarded to entities that serve Native American youth and Native Hawaiian youth living on or near reservations, and the States of Oklahoma, Hawaii, and Alaska.

**Beneficiary Eligibility:**

American Indians (members of federally- recognized Indian tribes, bands, and groups); other individuals of Native American descent, such as, but not limited to, the Klamaths in Oregon, Micmac and Maliseet in Maine, the Lumbees in North Carolina and South Carolina; Indians variously described as terminated or landless, Eskimos and Aleuts in Alaska, and Hawaiian Natives. ("Hawaiian Native" means an individual any of whose ancestors were natives prior to 1778 of the area which now comprises the State of Hawaii.) Applicants must also be economically disadvantaged, unemployed, or underemployed. A Native American grantee may in some cases enroll participants who are not economically disadvantaged, unemployed, or underemployed in upgrading and retraining programs. See 20 CFR 668.300(b)(4) and (5). Native American youth between the ages of 14 and 21 who live on or near a reservation or in the States of Oklahoma, Alaska, and Hawaii and are low income, are eligible to receive supplemental youth services.

**Credentials/Documentation:**

An entity requesting to apply for a grant must submit a notification of intent to apply biennially. Consortium applicants must include a formal consortium agreement with attachments specified in 20 CFR 668.200. A Comprehensive Services Plan is to be submitted by the designated grantees. It will include, among other things: (1) a program narrative description; (2) a planning summary; and (3) a brief budget summary. Individuals requesting services through this grant must provide documentation of Native American Descent such and Certificate Degree of Indian Blood (CDIB). Individuals must also provide documentation that they are low income or unemployed, or working part-time but are seeking full-time work or employed in a job that is not commensurate with the individual's demonstrated level of education or skill achievement. Males eligible for Selective Service must provide proof of registration. Youth receiving services under the Supplemental Youth Services Program (SYSP) must be low income and be between the age of 14 and 21.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Employment and Training Administration publishes a Solicitation for Grant Application (SGA) in the Federal Register every two years. The SGA provides the application and award process for interested entities to apply for funding to serve specified geographic areas. The latest SGA was published in the Federal Register on February 13, 2006, and can be found on the Internet at: <http://www.doleta.gov/dinap/cfm/docs/CompetitionWaivers.cfm>. After prospective grantees have filed a notice of intent, and new applicants have additionally provided the information cited in 20 CFR 668.240, designation decisions are made. Subsequently, designated grantees must submit a Comprehensive Services Plan to the Employment and Training Administration, Office of Workforce Investment, Indian and Native American Programs (INAP), Department of Labor. In addition, grantees must describe the administrative, planning, and operational elements needed to implement a WIA Section 166 program. Instructions for completing these documents are issued by the Employment and Training Administration through a Training and Employment Guidance Letter (TEGL).

**Award Procedure:**

Grants will be made directly to eligible grantees for their service areas.

**Deadlines:**

Notices of intent to apply for a grant are due by October 1 of every odd-numbered year. Designation decisions are made by March 1 of the following even-numbered year. Submission of the Comprehensive Services Plan generally occurs in mid-March or April, after designated grantees have been notified of their approximate allocation amount.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Applicants will be notified of approval or disapproval of the Comprehensive Services Plan and if disapproved, given a reasonable time to make adjustments and resubmit the Plan. Final disapproval of an application or plan submitted by a designated grantee will not be made without affording the grantee an opportunity for reconsideration.

**Renewals:**

Grant awards may be renewed annually, while designation as a grantee applies for two years.

**Formula and Matching Requirements:**

This program has no matching requirements. All of WIA Section 166 funds are distributed by formula codified at 20 CFR 668.296 based on the number of unemployed Indians and other Native Americans within the grantee's geographic service area and the number of members of Indian and other Native American households whose income is at or below the poverty level, within the grantee's geographic service area. Supplemental Youth Services funding is similarly distributed to grant recipients based on the number of Native American youth between the ages of 14 and 21 living in poverty on reservation areas or the States of Oklahoma, Alaska, or Hawaii, in the grant recipient's designated service area.

**Length and Time Phasing of Assistance:**

Funds are made available through annual program year grants. The program year runs from July 1 to June 30, except that the Supplemental Youth Services Program runs from April 1 to March 31. Funds obligated for any program year may be expended by each recipient during the program year and the two succeeding program years.

**Reports:**

Grant recipients must submit quarterly financial reports and quarterly participant reports to the Employment and Training Administration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Rev. June 27, 2003) "Audits of states, local governments, and nonprofit organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards in a year will have a single or program specific audit conducted for that year. Nonfederal entities which receive less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records and all other pertinent records shall normally be retained for a period of three years after the grant is closed out. Participant records shall be retained for five years. Records must be retained longer in certain cases, such as when audit findings have not been resolved.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

FY 07 \$69,000,000; FY 08 est \$67,000,000; FY 09 est \$58,000,000.

**Range and Average of Financial Assistance:**

CSP (Adult Program) \$15,071 to \$5,951,298. Average: \$296,660 (PY 06 actual average). SYSP (Youth Program) \$2,415 to \$2,904,164. Average: \$102,228 (PY 06 actual average).

**PROGRAM ACCOMPLISHMENTS:**

In Program Year 2005 (July 1, 2005 - June 30, 2006), the Section 166 Indian and Native American (INA) program assisted 17,115 low income and unemployed Native Americans with occupational skills training, employment related training, and other employment related services. Of the 17,115 individuals that participated in the program, 12,539 participants exited the program after completing training or receiving an employment related service. Of the 12,539 exiters: 7,143 (57.0 percent) were placed in jobs. 10,834 (86.4 percent) recorded a positive exit, meaning that they were placed in jobs, successfully completed their training, or entered a training program (s) not funded by Section 166. On average, individuals who exited with a job increased their hourly wage rate by \$4.80. In addition, 6,103 Native American youth participated in the INA youth program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 65, No. 156, Friday, August 11, 2000, 20 CFR Parts 667 and 668 (20 CFR 652 et al.), Employment and Training Administration, United States Department of Labor.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Indian and Native American Programs, Division of Adult Services, Office of Workforce Investment, Employment and Training Administration, Department



of Labor, Room S-4209, 200 Constitution Avenue, N.W., Washington, DC 20210. Telephone: (202) 693-3046 Fax: (202) 693-3818.

**Web Site Address:**

<http://www.doleta.gov/dinap>

**RELATED PROGRAMS:**

15.108, Indian Employment Assistance; 15.124, Indian Loans\_Economic Development; 17.207, Employment Service/Wagner-Peyser Funded Activities; 93.612, Native American Programs; 17.258, WIA Adult Program.

**EXAMPLES OF FUNDED PROJECTS:**

All funded projects have in common the provision of a comprehensive set of job training services. Examples of these services are training, referral to employment, counseling, work experience, child care, testing, job orientation, and follow up on terminated participants.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the regulations and DINAP administrative instructions issued biennially in the Solicitation for Grant Application published in the Federal Register. In general, designation is based on the regulatory requirements found at 20 CFR 668.210, 668.220, and 668.230, concerning legal status, ability to administer Federal funds, and prior experience and success in providing employment and training services to the client population. In addition, the other requirements for designation found at 20 CFR Part 668, Subpart B, must also be met.

## 17.266 WORK INCENTIVE GRANTS

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Key provisions are included in Sections 121, 134(c), and 189(c)(c) of the Workforce Investment Act (29 U.S.C 2841, 2864 (c), and 2939(c)) and the Wagner-Peyser Act (29 USC 49f). Key regulations governing the Workforce Investment Act (WIA) and Wagner-Peyser Act programs are at 20 CFR Parts 651-652 and 660-671.

**OBJECTIVES:**

The Work Incentive Grants (WIGs) and Disability Program Navigators (DPNs) have been established to increase the labor force participation and career advancement of persons with disabilities by effecting systemic change in the One-Stop Career Centers. These programs support the capacity of the One-Stop Career Center system to achieve integrated, seamless, and comprehensive services for people with disabilities, thereby increasing their employment, retention, and earnings. The competitive WIG Program has been reoriented from a competitive solicitation to the Disability Program Navigator (DPN) cooperative agreement, thereby assuring that the essential goals of the WIGs are achieved in the workforce investment system. The Department of Labor (DOL) and the Social Security Administration (SSA) jointly established a new position, the Disability Program Navigator (DPN), in the DOL's One-Stop Career Centers. The DPN guides the One-Stop Career Center staff in helping people with disabilities access and navigate the various programs that impact upon their ability to gain/retain employment. Complex rules surrounding entitlement programs, along with the fear of losing cash assistance and health benefits, can often discourage people with disabilities from working. Consequently, the DPN initiative was established to better inform beneficiaries and other people with disabilities about the work support programs now available at the DOL-funded One-Stop Career Centers. The major objectives of the DPN initiative are: (1) creating systemic change and transforming the culture of how the One-Stop Career Center system serves customers with disabilities; (2) promoting meaningful and effective access, both physical and programmatic, to the One-Stop Career Center system for all customers, including persons with disabilities; (3) creating attitudinal change about the abilities of people with disabilities to work in a variety of jobs and industries; (4) developing new/ongoing partnerships to achieve comprehensive services to people with disabilities; (5) expanding and enhancing the workforce development system's capacity to serve customers with disabilities and employers through the implementation of effective DPN strategies and practices; and (6) increasing the number of people with disabilities served under the WIA and achieving quality employment outcomes for jobseekers with disabilities through accessing WIA Title I and Wagner-Peyser Programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are used for establishing Disability Program Navigators in One-Stop Career Centers and improving the centers' physical and programmatic access for customers with disabilities. All proposed costs should be necessary and reasonable according to the federal guidelines set forth in the Uniform Administrative Requirements for Grants and Cooperative Agreements to state and local governments, codified at 289 CFR Part 97, and must comply with the applicable OMB cost principles circulars, as identified in 29 CFR 96.27 and 29 CFR 97.22(b). Awardees must comply with the all other applicable administrative standards and national policy provisions (listed in the SGA).

Indirect costs cannot exceed 10 percent of the award. The DOL will negotiate performance goals with successful applicants that will be consistent with the Department's GPRA goals.

**Applicant Eligibility:**

State WIA administering agencies.

**Beneficiary Eligibility:**

Limited to persons with disabilities eligible for employment and training services under the WIA.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This funding opportunity is not subject to Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

Solicitations for cooperative agreements will be published on the ETA Web site: <http://www.doleta.gov/disability/>. All information concerning the proper application, format, content, and applicable forms are contained in the solicitation and published cooperative agreement. The State WIA administrative entity in the states that meets the eligibility criteria will receive a cooperative agreement solicitation requesting a response within 30 days of receipt.

**Award Procedure:**

Awards for cooperative agreements are made directly to successful applicants by the Employment and Training Administration (ETA) of the Department of Labor.

**Deadlines:**

Contact the Employment and Training Administration, Office of Workforce Investment, Division of Adult Services for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 120 days.

**Appeals:**

Contact the Employment and Training Administration, Office of Workforce Investment, Division of Adult Services, to obtain information on appeal procedures.

**Renewals:**

The cooperative agreements may be extended beyond the initial period of award, depending upon the availability of funds, to provide additional support.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The period of performance will be up to approximately 24 months from the date of execution by the Department. The Department may extend the period of performance based on the availability of funds and satisfactory performance. Payment will be made through electronic funds transfer utilizing the computerized Payment Management System (PMS).

**Reports:**

Awardees will be required to submit quarterly financial reports. Additional data or narrative reports may be required. In addition, ETA will continue to evaluate the DPN program consistent with the evaluation process for the first 17 DPN states. This will include a qualitative evaluation for the DPN program, Submission of Workforce Investment Act Standard Record Data (WIASRD), and Wagner-Peyser Act data related to services and outcomes for customers with disabilities may also be required. Awardees must also provide to DOL semi-annual data for the workforce investment areas served by the DPN that includes Wagner-Peyser and WIA Title I data on individuals with disabilities who are participants, entered employment, are retained in employment, and their average earnings compared to the same data for individuals without disabilities., consistent with the requirements that will be in place under the common measures. It is also necessary for all applicants that receive grants to meet performance targets that are consistent with the Department of Labor's Government Performance Results Act (GPRA) goals for the DPN initiative.

**Audits:**

In accordance with the provision of OMB Circular A-133 (Revised June 2003), audits of states, local governments, and nonprofit organizations, nonfederal entities that received financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to maintain records in accordance with 29 CFR 95 and 97. Financial records, supporting documents, statistical records, and all other pertinent records shall normally be retained for a period of three years after the grant is closed out. Participant records shall be retained for five years. Records must be retained longer in certain cases, such as when audit findings have not been resolved.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Project Grants) FY 07 \$30,000,000; FY 08 est \$14,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Forty-five states and the District of Columbia and Puerto Rico have been awarded statewide cooperative agreements under the SGAs to eligible applicants. The cooperative agreement awards will be for a two-year period and will range from \$300,000 to \$2,000,000, depending upon the request of the State applying for the cooperative agreement and its size and population.

**PROGRAM ACCOMPLISHMENTS:**

There has been continued expansion and implementation of disability resource specialists or DPNs in One-Stop Career Centers to assure access to comprehensive, seamless services, and expertise. Currently, there will be approximately 450 Navigators in One-Stop Career Centers in One-Stop Career Centers across the country funded under this initiative as of June 2007. WIASRD data for PY 2005 for workforce investment boards (WIBs) with Navigators show the following outcome data for people with disabilities: 6.90 percent exiters; 80.4 percent employment retention rate; 69.9 entered employment rate; and \$3,256 earnings change. Universal access has been promoted in the One-Stop Career Centers by expanding the availability of assistive technologies, training One-Stop Career Center staff and workforce investment boards on the utilization of assistive technology, reasonable accommodation resources and strategies, disability etiquette, WIA Section 188 non-discrimination regulations, Section 504 of the Vocational Rehabilitation Act, and the Americans with Disabilities Act provisions. Enhanced partnerships have been expanded at the Federal, regional, state, and local levels with both mandated and other WIA partners by coordinating access to services in the One-Stop Career Centers. This included outreach to public and non-profit agencies that serve individuals with disabilities and facilitating coordinated services to this customer group. By including non-WIA mandated partners (e.g., the state Medicaid agencies or the SSA's Ticket to Work implementation) in their efforts, the WIGs/DPNs have demonstrated that expanding the scope of available services through innovative partnerships can have a positive effect on long-term employment outcomes of people with disabilities. A number of DPNs facilitated access to new Medicaid demonstration and waiver projects that are intended to remove health care barriers and facilitate employment for beneficiaries of the SSA. The One-Stop Toolkit (<http://onestoptoolkit.org>) Web site was utilized to share tools and products that grantees have developed for their state and local areas. These include training curriculum, self-assessment accessibility tools, memoranda of understanding with Vocational Rehabilitation or other agencies, mystery shopping protocols, effective strategies, etc. The Webcourse ([www.wiawebsite.org](http://www.wiawebsite.org)) for One-Stop-Career Center staff: "At Your Service: Welcoming Customers with Disabilities" was revised and disseminated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing the WIA are at 20 CFR Parts 651 through 652, 660 through 671 (65 FR 49294, August 11, 2000). The Uniform Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "Common Rule") are applicable. The "Common Rule" is codified at 29 CFR Part 97 (97.22).

**Regional or Local Office:**

Contact the Federal Project Officer (FPO) for the DPN Cooperative Agreements in the appropriate Regional Employment and Training Administrative Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Older Workers and Disability Unit, Division of Adult Services, Office of Workforce Investment Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210, (202) 693-3046; Fax: (202) 693-3818; TTY: (202) 693-2871.

**Web Site Address:**

<http://www.doleta.gov/disability>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities.

**EXAMPLES OF FUNDED PROJECTS:**

The cooperative agreement funds are to establish positions for Disability Program Navigators in the One-Stop Career Centers. These positions facilitate universal access to the One-Stop Career Center for job seekers with disabilities through reaching out to the disability community, assuring the availability of trained and expert staff, and enhancing coordination across programs and services.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the Solicitation for Cooperative Agreement published on ETA's Web site.

**17.267 INCENTIVE GRANTS - WIA SECTION 503**

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR; OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Workforce Investment Act of 1998, Public Law 105-220, Section 503, 20 U.S.C. 9273; Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Perkins Act), Public Law 105-332, 20 U.S.C. 2301 et seq.

**OBJECTIVES:**

To carry out innovative programs consistent with the purposes of Title I of WIA (Workforce Investment Systems), Title II of WIA (Adult Education and Family Literacy Act (AEFLA), 20 U.S.C. 9201 et seq.), the Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Public Law 105-332, 20 U.S.C. 2301 et seq.) or a combination of two or more of these acts.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

States have great flexibility in using these funds and are not limited to conducting only one type of innovative program. However, the use of grant funds must be consistent with WIA Section 503, including the requirement that they be used for innovative programs which further the purposes of WIA Titles I and II and/or the Perkins Act. In addition, grantees must comply with the requirements of whichever program the innovation affects. For example, if the incentive funds will be used for innovations in the delivery of youth activities under WIA Title I, the program must be consistent with WIA Title I provisions applicable to youth activities and the WIA regulations at 20 CFR part 664. States must submit a plan describing the innovative activities to be funded with this grant. States are expected to use funds for services and activities: (1) beyond those provided with regular funds from the three programs, particularly those authorized by one of these programs and another program; (2) which serve the needs of populations intended to be served by one or more of these programs; and (3) targeted to improving the performance of State systems of employment, training, and education. In addition, States are encouraged to plan activities that promote cooperation and collaboration among the agencies administering WIA Title I, AEFLA, and Perkins Act programs.

**Applicant Eligibility:**

States, including Washington, DC, the Virgin Islands, Puerto Rico, and Guam. A listing of States eligible to receive incentive grants for program year 2005 performance will be published in the Federal Register in May 2007. To qualify for a grant, a State must exceed performance levels agreed to by the Secretary of Education, the Secretary of Labor, the Governor, and the State Education Officer, for outcomes in Titles I and II of the Workforce Investment Act (WIA) and the Perkins Act (Public Law 105-332, 20 U.S.C. 2301 et seq.), which include placement after training, retention in employment, and improvement in literacy levels, among other measures.

**Beneficiary Eligibility:**

States, including Washington, DC, the Virgin Islands, Puerto Rico, and Guam.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87.

**Preapplication Coordination:**

The application must include assurances that: The State legislature was consulted with respect to the development of the application; the application was approved by the Governor, the eligible agency for adult education, as defined in WIA Section 203(4) (20 U.S.C. 9202(4)); and the State agency responsible for vocational and technical education programs, as defined in Perkins Act Section 3(9) (20 U.S.C. 2302(9)); and The State and the eligible agency, as appropriate, exceeded the State adjusted levels of performance for WIA Title I, the State adjusted levels of performance for AEFLA, and the performance levels established for Perkins Act programs. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance. ETA will coordinate review of applications with the Department of Education.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Specified in the applicable request for proposals, but generally 45 to 60 days from announcement.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Appeal procedures are at 20 CFR Part 667, Subpart H.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no matching requirements for this program. The formula used for determining the amount of funds available to each eligible State is based on each State's relative share of the combined WIA Title I, AEFLA, and Perkins Act formula grants awarded to that State. The amount each State is eligible to receive is determined by the Departments of Education and the Labor and is based on WIA section 503(c) (20 U.S.C.9273(c)) which provides minimum and maximum award amounts and procedures for proportionate reductions where insufficient appropriations are available.

**Length and Time Phasing of Assistance:**

Funds are awarded on a program year (July to June) basis and are available for expenditure for two years (the year of award and the succeeding year).

**Reports:**

Reporting requirements are specified in the grant document.

**Audits:**

Audits shall be conducted in accordance with 20 CFR 667.200(b).

**Records:**

States are required to maintain adequate records in accordance with DOL uniform administrative requirements in 29 CFR Sections 97.20 and 97.42.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants) FY 07 \$16,000,000; FY 08 est \$10,000,000; FY 09 est \$10,000,000.

**Range and Average of Financial Assistance:**

\$750,000 to \$3,000,000. However, the Secretary has the authority to award grants less than \$750,000 based on the amount of award money available and the number of states eligible.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 666.200 - 666.230; Training and Employment Guidance Letter No. 20-01, change5 to be released in May 2007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210. Contact: Karen Staha, Chief, Division of System Accomplishments and Accountability, Office of Performance and Technology, Room S5206. (202) 693-3031.

**Web Site Address:**

<http://www.doleta.gov/performance>.

**RELATED PROGRAMS:**

17.258, WIA Adult Program; 17.259, WIA Youth Activities; 17.260, WIA Dislocated Workers; 84.002, Adult Education - Basic Grants to States; 84.048, Career and Technical Education -- Basic Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**17.268 H-1B JOB TRAINING GRANTS****FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

American Competitiveness and Workforce Improvement Act of 1998, Section 414 (c), Public Law 105-227.

**OBJECTIVES:**

The H-1B Job Training Grant Program consists of two parts the High Growth Job Training Initiative and the Workforce Innovation in Regional Economic Development (WIRED) Initiative. The President's High Growth Job Training Initiative represents the first step in a series of actions that the Department of Labor's Employment and Training Administration (ETA) has taken to engage business, education and the workforce investment system to work together to develop solutions to the workforce challenges facing high growth industries. By expanding the local workforce system's capacity to be market-driven, responsive to local economic needs, and a contributor to the economic well-being of the community, the Employment and Training Administration is promoting workforce quality, enhanced productivity, and economic competitiveness. The High Growth Job Training Initiative continues to invest in national models and demonstrations of workforce solutions in these sectors designed to achieve the following outcomes: Targeted investment of workforce development resources and support for private and public sector partnerships to ensure the development of workers skills in occupations where industry has identified needs. Increased integration of community and technical college efforts with business and the public workforce system activities to meet the skills training needs of high-growth industries. Increased opportunities for employers to use apprenticeship training as skills development methodology, combining on-the-job training and academics, to ensure a pipeline of skilled workers. Providing workers with paths to career enhancing opportunities in high-growth occupations. The goal of the

WIRED initiative is to expand employment and advancement opportunities for American workers and catalyze the creation of high-skill and high-wage opportunities in the regional economies. The WIRED Initiative focuses on labor market areas that are comprised of multiple jurisdictions within state or across state borders. It supports innovative approaches to workforce development, economic development, and education that go beyond traditional strategies preparing workers to compete and succeed both within the United States and globally. This initiative is designed for regions that have been affected by global trade, are dependent on a single industry or are recovering from natural disasters.

One of the key elements of the WIRED Initiative is a strong regional partnership composed of all the organizations necessary to transform the regional economy, including workforce, civic, business, investor, education, government, entrepreneurial, and philanthropic organizations. WIRED grantees have a unique opportunity to design and implement strategic approaches that will transform their economies and the systems that support those economies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

ETA identified 14 sectors that fit within the following criteria: (1) they are projected to add substantial numbers of new jobs to the economy or affect the growth of other industries; or (2) they are existing or emerging businesses being transformed by technology and innovation requiring new skills sets for workers. The sectors include: Advanced Manufacturing, Aerospace, Automotive, Biotechnology, Construction, Energy, Financial Services, Geospatial Technology, Health Care, Homeland Security, Hospitality, Information Technology, Retail, and Transportation. Funds are to be used to provide job training services and related capacity-building activities that are designed to assist workers in gaining the skills and competencies needed to obtain or upgrade career ladder employment positions in high-growth industries and economic sectors. In order to facilitate these job training services, funds may be used to assist in the development and implementation of model activities such as developing appropriate curricula to build core competencies and train workers, identifying and disseminating career and skill information, and increasing the integration of community and technical college activities with activities of businesses and the public workforce investment system to meet the training needs for high-growth industries and economic sectors.

**Applicant Eligibility:**

In the majority of grants funded under these programs, applicants may be public, private for-profit, and private nonprofit organizations. This includes businesses or business-related nonprofit organizations (such as trade associations), Workforce Investment Boards and One-Stop Career Centers, units of state and local government, economic development agencies, education and training providers including community colleges, and other community and faith-based organizations. However, applicant eligibility may be restricted to one or more applicant classes under particular announcements and solicitations.

**Beneficiary Eligibility:**

Generally, the scope of potential trainees under these programs is very broad. Training may be targeted to a wide variety of populations, including unemployed individuals and incumbent workers.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner.

**Preapplication Coordination:**

None except as specified in solicitations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Specified in the applicable request for proposals, but generally 45 to 60 days from announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.



**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

Some grants are required to provide cash or in-kind matching resources equal to at least fifty percent of the grant funds awarded. Information about match requirements for future grants will be specified in the applicable Solicitations for Grant Applications.

**Length and Time Phasing of Assistance:**

Most projects last one to three years. Payments to grantees are usually made by Letter of Credit draw-down procedures.

**Reports:**

At a minimum, quarterly progress and financial reports and final reports are required. Additional requirements are included in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003) Audits of states, local governments, and nonprofit organizations, nonfederal entities that receive financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for 3 years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

FY 07 \$111,000,000; FY 08 est \$125,000,000; and FY 09 est \$125,000,000.

**Range and Average of Financial Assistance:**

Under the High Growth Job Training Initiative, the majority of grants range from \$750,000 to \$1.5 million. Under the WIRED Initiative, grants are awarded for either \$15 million or \$5 million for three years.

**PROGRAM ACCOMPLISHMENTS:**

As of March 2006, 131 grants worth over \$258 million have been awarded under the High Growth Job Training Initiative. Between July 1, 2005 and March 30, 2006 over \$54 million in H-1B funds have been awarded under the High Growth Job Training Initiative. During 2006, competitions are expected for talent development investments in the advanced manufacturing, construction, and energy under the President's High Growth Job Training Initiative. Under the WIRED Initiative, ETA has awarded \$195 million in grants lasting three years to thirteen regions. An additional competition under the WIRED Initiative was announced in February 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in applicable Solicitation for Grant Applications.

**Regional or Local Office:**

Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Business Relations Group, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., N.W., Room N-4643, Washington, DC 20210. Contact: Mindy Feldbaum. Telephone: (202) 693-3949, E-mail: [businessrelations@dol.gov](mailto:businessrelations@dol.gov).

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.269, Community Based Job Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A \$2 million grant to provide apprenticeship training, short-term training, and skill certification for 3,312 bus mechanics, rail mechanics, rail signal maintainers, elevator/escalator technicians, and equipment maintainers; (2) A \$2,480,852 grant to a state community college system to organize an advanced manufacturing training center organized as a factory rather than as a school, and training over 3600 students; (3) A \$2,305,995 grant to develop and disseminate a two-year Associate of Applied Science Degree in Nuclear Technology program and train at least 160 students to be hired by nuclear power plants and national laboratories; (4) A \$15 million grant to help transform a regional economy that been supported by a high wage automotive industry that is now in decline, by building on the research and development of its universities to create and build new technologies, such as alternative fuels, to encourage new companies and new jobs across the region; and (5) A \$15 million grant to help transform a regional economy whose key manufacturing industries -textiles, apparel,

tobacco, and furniture- have been devastated by globalization and the availability of inexpensive offshore labor by integrating workforce development, education, cluster-focused economic development, and entrepreneurship.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Applications.

**17.269 COMMUNITY BASED JOB TRAINING GRANTS****FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle D, Section 171 (d), Public Law 105-220.

**OBJECTIVES:**

Technology and innovation, globalization, and the aging of America's workforce are continuously changing the nature of work and, indeed, the workplace. Businesses in high-growth, high-demand industries face increasing difficulties in finding workers with the right skills. As a result, community colleges are important training providers for workers needing to develop, retool, refine, and broaden their skills in high-growth, high-demand occupations because of their close connection to local labor markets. Community Based Job Training Grants strengthen the role of community colleges in promoting the U.S. workforce's full potential. Community Based Job Training Grants are awarded through a competitive process to support workforce training for high-growth industries through the national system of community and technical colleges. The primary purpose of these grants is to build the capacity of community colleges to train workers to develop the skills required to succeed in: (i) local industries and occupations that are expected to experience high growth; and (ii) industries where demand for qualified workers is outstripping the supply. These competitive grants build on the High Growth Job Training Initiative, a national model for demand-driven workforce development, implemented by strategic partnerships among the workforce investment system, employers, and community colleges. All grantees engage in a combination of capacity-building and training activities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds must be used for both of the following activities: (1) increasing the capacity of community colleges to provide training in a local high-growth, high-demand industry through activities such as the development of training curricula with local industry, hiring qualified faculty, arranging on-the-job experiences with industry, and using up-to-date equipment; and (2) training new and experienced workers in identified high-growth, high-demand industries, with the aim of employing and/or increasing the retention and earnings of trained workers, while meeting the skill needs of businesses within targeted industries in the context of the regional economy.

**Applicant Eligibility:**

Eligible applicants, under the second Solicitation for Grant Applications (SGA) for Community-Based Job Training Grants, included (1) community colleges, as defined by 20 U.S.C. 2371. 20 U.S.C. 2371 states: The term community college (A) means an institution of higher education as defined in 20 U.S.C. 1001 that provides not less than a two-year program that is acceptable for full credit towards a bachelor's degree; and (B) includes tribally-controlled colleges and universities; (2) community college districts; (3) State community college systems; and (4) One-Stop Career Centers who meet specific criteria. Under the exception to eligible applicants for rural and other educationally underserved areas with no access to community colleges, additional eligible applicants included: Publicly-funded Institutions of Higher Education, as defined in 20 U.S.C. 1001; and Alternate Educational Entities that are governmental or not-for-profit organizations that directly deliver, or broker for delivery, post secondary education opportunities.

**Beneficiary Eligibility:**

Generally, the scope of potential trainees under Community-Based Job Training Grants is very broad. WIA Section 171(d) authorizes demonstration programs to serve dislocated workers, incumbent workers, and new entrants to the workforce. This authorization supports a broad range of training for a variety of populations, including: incumbent workers who need new skills for jobs in demand up the career ladder or because the skill needs for their current job have changed; untapped labor pools such as immigrant workers, individuals with disabilities, veterans, older workers, youth, etc; or entry level workers who need basic skills and/or specific occupational skill training. The identification of targeted and qualified trainees should be part of the larger project planning process undertaken by the required partnership and should relate to the workforce issue that is being addressed by the training.

**Creditentials/Documentation:**

Grantees must demonstrate an adequate organization capacity, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner.

**Preapplication Coordination:**

None except as specified in solicitations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Specified in the applicable Solicitation for Grant Applications, but generally 45 to 60 days from announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

In the first two solicitations, there was not a match requirement. Information about match requirements for future competitions will be specified in the applicable Solicitation for Grant Applications.

**Length and Time Phasing of Assistance:**

Most projects last two to three years. Payments to grantees are usually made by Letter of Credit draw-down procedures.

**Reports:**

At a minimum, quarterly progress and financial reports and final reports are required. Additional requirements are included in the Solicitation for Grant Applications.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003) Audits of States, local governments, and nonprofit organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

FY 07 \$125,000,000; FY 08 est \$125,000,000; and FY 09 est \$125,000,000.

**Range and Average of Financial Assistance:**

\$500,000 to \$2 Million.

**PROGRAM ACCOMPLISHMENTS:**

In October 2005, DOL awarded \$250 million in Community-Based Job Training Grants to 142 community colleges in 45 states. The Department of Labor will conduct a third competition for Community-Based Job Training Grants in late spring 2007. For more information on these grants, please visit the Department of Labor's Web site at <http://www.doleta.gov/business/Community-BasedJobTrainingGrants.cfm>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Applications.

**Regional or Local Office:**

Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Division of Adult Services, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., N.W.,

Room S-4209, Washington, DC 20210. Contact: Maggie Ewell. Telephone: (202) 693-3160, E-mail: [CommunityBased.Grant@dol.gov](mailto:CommunityBased.Grant@dol.gov).

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.268, H-1B Job Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Examples include: (1) A \$2,465,656 grant to a community college to offer students training for new healthcare career opportunities in nursing, surgical technology, radiography, and clinical laboratory technology; (2) A \$1,271,550 grant to a community college to expand entry-level and advanced certified training and procure new equipment and technology to train workers for automotive, diesel, collision repair, and truck driving occupations; (3) A \$2,150,357 grant to a community college consortium to identify technical competencies for advanced manufacturing and alternative energy, prepare modules in response to employer-identified skill and competency gaps, and establish Centers of Expertise or technology training in support of target industries; (4) A \$3,018,928 grant to a community college to design and implement a two-year curriculum to prepare out-of-school youth, Job Corps students, community college students, and incumbent workers as automotive manufacturing technicians; and (5) A \$1,937,112 grant to a One-Stop Career Center and its two community college partners to develop a healthcare career ladder model that will produce new Registered Nurses, Paramedics and Emergency Medical Technicians (EMT).

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Applications.

## 17.270 REINTEGRATION OF EX-OFFENDERS

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle D, Section 171, Public Law 105-220.

**OBJECTIVES:**

This program includes both Prisoner Reentry Initiative (PRI) grants to serve adult returning offenders and Youthful Offender grants aimed at youth involved or at risk of involvement in crime and violence. The objectives of the PRI grants include increasing the employment rate, employment retention rate, and earnings of released prisoners, and decreasing their recidivism. The objectives of the Youthful Offender grants include preventing in-school youth from dropping out of school, increasing the employment rate of out-of-school youth, increasing the reading and math skills of youth, reducing the involvement of youth in crime and violence, and reducing the recidivism rate of youth.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Services under the PRI grants include assistance in finding employment, mentoring, job training, remedial education, and other comprehensive transitional services. Services under the Youthful Offender grants include a wide array of educational, employment, mentoring, case management, and violence reduction efforts.

**Applicant Eligibility:**

Eligible applicants for PRI grants are faith-based and community organizations (FBCOs) that are located in, or have a staff presence in, the urban community being served. Eligible applicants for Youthful Offenders vary depending on the solicitation, but have included community-based organizations, school districts, and juvenile justice agencies.

**Beneficiary Eligibility:**

PRI grants serve individuals, 18 years old and older, who have been convicted as an adult and have been imprisoned for violating a state or federal law, and who have never been committed a sex-related offense. Depending on the solicitation, enrollment may be limited based on whether the presenting offense was violent or whether the individual has previously committed a violent crime. Individuals eligible for Youthful Offender grants vary depending on the solicitation.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls.

**Preapplication Coordination:**

None except as specified in solicitations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance. Please note that competitions

for PRI and Youth Offender grants do not necessarily occur every year, depending on availability of funds and the extent to which existing grants are continuing.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. The general procedure is as follows. A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Specified in the applicable request for proposals, but generally 45 days from announcement.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable request for proposals.

**Renewals:**

Extensions available upon approval; renewals are not automatic.

**Formula and Matching Requirements:**

Matching requirements vary by grant announcement.

**Length and Time Phasing of Assistance:**

The period of performance varies by grant announcement. The possibility of additional years of funding varies by grant announcement. Payments to grantees are usually made by Letter of Credit draw-down procedures.

**Reports:**

Quarterly progress and financial reports and final reports are required. Depending on the solicitation, grantees also may be required to participate in DOL's Management Information System data collection system.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), audits of states, local governments, and nonprofit organizations, non-Federal entities that receive financial assistance of \$500,000 or more in Federal awards must have a single or a program-specific audit conducted for that year.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 07 \$74,000,000; FY 08 est \$73,000,000; FY 09 est \$40,000,000.

**Range and Average of Financial Assistance:**

Initial awards for PRI Grants have ranged from \$130,000 to \$667,000 a year. Initial awards for Youthful Offender grants have recently ranged from \$1 million to \$3.2 million a year.

**PROGRAM ACCOMPLISHMENTS:**

Now in their third year of operation, PRI grants have thus far enrolled 13,881 participants, with 8,778 of these participants finding employment. The recidivism rate for the participants in the program is 15 percent. Youthful Offender grants typically serve about 9,000 individuals each year, and these programs have placed 56 percent of out-of-school participants in jobs, education, or training. The recidivism rate in Youth Offender programs is 12 percent for 14 to 17 year-olds and 11 percent for participants ages 18 and above.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in SGA Announcement.

**Regional or Local Office:**

Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Division of Youth Services, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., N.W., Room N-4511, Washington, DC 20210. Contact for PRI Grants: Jenn Smith. Telephone: (202) 693-3597, E-mail: [Smith.Jenn@dol.gov](mailto:Smith.Jenn@dol.gov). Contact for Youthful Offender Grants: Richard Morris. Telephone: (202)-693-3603, E-mail: [Morris.Richard@dol.gov](mailto:Morris.Richard@dol.gov).

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

PRI Grants: Grants of \$660,000 to community and faith-based organizations to support a project director, three job counselors, one job developer, a mentoring

supervisor, an administrative assistant, tryout jobs for participants, materials and supplies. Youthful Offender Grants: Grants to school districts, community-based organizations, and juvenile justice agencies to start or enhance alternative school serving juvenile offenders.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable request for proposals.

**17.271 WORK OPPORTUNITY TAX CREDIT PROGRAM (WOTC)**

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Small Business Job Protection Act of 1996, as amended, Public Law 104-188; Tax Payer Relief Act of 1997, as amended Public Law 105-34; Working Families Tax Relief Act of 2004, Public Law 108-311; Tax Relief and Health Care Act of 2006, Public Law 109-432; Internal Revenue Code Sections 51 and 51 (A).

**OBJECTIVES:**

The tax credit was designed to help individuals from nine target groups who consistently have faced significant barriers to employment move from economic dependency to self-sufficiency by encouraging businesses in the private sector to hire target group members and be eligible to claim tax credits against the wages paid to the new hires during the first year of employment.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

States are to use these formula grants for: determining eligibility of individuals as members of targeted groups; issuing employer certifications or denials; developing working agreements with partner agencies in the One-Stop Service Delivery system and coordinating efforts to promote WOTC to employers and job seekers and other Workforce Investment Act (WIA) partners. The Federal government provides general direction, funding, and oversight.

**Applicant Eligibility:**

States (not individuals), the District of Columbia, the Virgin Islands, and Puerto Rico.

**Beneficiary Eligibility:**

All employers seeking WOTC target group workers and target group members seeking employment. The members of the different target groups have statutory definitions (per Public Law 109-432 ) with specific eligibility requirements that must be verified by the state workforce agencies before a certification can be issued to an employer or his representatives. Participating employers and their representatives must file their certification requests using IRS Form 8850 and ETA Form 9061 or 9062 within 28 days after the employment-start day of the new hires. This timeliness requirement cannot be waived and must be met before a state can issue a certification for eligible target group members.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 as codified in 41 CFR 1-15.7 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

State workforce agencies (SWAs) must submit an annual grant plan and statement of work to ETA according to the requirements issued in the Guidance for Work Opportunity Tax Credit (WOTC) Allotments and Grant Plan Submission Training Guidance and Employment Letter. SWAs may request extensions through ETA regional offices.

**Award Procedure:**

Review of State Plans occurs at Employment and Training Administration National Office. WOTC grant funds for approved state plans are provided under separate annual funding agreements for each program year with the designated SWA.

**Deadlines:**

Established each year (contact Federal agency for deadline for application submission).

**Range of Approval/Disapproval Time:**

As provided in regulations.

**Appeals:**

As provided in regulations.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Under the WOTC Program, funds are allotted to each SWA by administrative formula based on each state's relative share of: total certifications issued for the WOTC Program in the previous year, civilian labor force, and adult recipients of Temporary Assistance for Needy Families. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Funding is provided throughout the year as appropriated funds become available to meet immediate cash requirements.



**Reports:**

Quarterly financial reports and reports on certifications, workload, and characteristics of certified individuals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of states, local governments, and nonprofit organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required. The Internal Revenue Service requires that the SWAs keep and maintain certification records for four years and denial records for one year in the event of an employer audit by IRS or an employer appeal to the SWAs.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 07 \$17,000,000; FY 08 est \$17,000,000; and FY 09 est \$18,000,000.

**Range and Average of Financial Assistance:**

No established range.

**PROGRAM ACCOMPLISHMENTS:**

Data can be obtained by contacting Carmen Ortiz, WOTC National Coordinator, Office of Workforce Investment, Division of Adult Services, Employment and Training Administration, Department of Labor, 200 Constitution Avenue N.W., Room S-4209, Washington, DC 20210. Telephone: (202) 693-2786.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ETA Handbook No. 408, Third Edition, November 2002. An e-copy can be obtained at: <http://www.ows.doleta.gov/employ/tax.asp>. The report may be obtained from the Division of Adult Services, 200 Constitution Ave, N.W. Room S-4209 Washington, DC 20210 or on the Employment and Training Administration Web page at <http://www.doleta.gov>.

**Regional or Local Office:**

Contact the nearest office of the Regional or state workforce agencies by checking the local telephone directory or obtaining directories of WOTC Regional and State Coordinators at: <http://www.ows.doleta.gov/employ/tax.asp>.

**Headquarters Office:**

Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210. Contact: Christine Ollis, Division Chief, Adult Services, Room S-4209. Telephone: (202) 693-3046.

**Web Site Address:**

<http://www.doleta.gov/business/Incentives/opptax/>.

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program; 93.558, Temporary Assistance for Needy Families; 64.116, Vocational Rehabilitation for Disabled Veterans; 27.002, Federal Employment Assistance for Veterans; 27.003, Federal Student Temporary Employment Program; 27.005, Federal Employment for Individuals With Disabilities; 53.001, Employment Promotion of People with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.272 PERMANENT LABOR CERTIFICATION FOR FOREIGN WORKERS****FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Immigration and Nationality Act of 1952, as amended, Sections 101 (a) (15) H (II), 214 (c) and 212 (a) (5) (A), Public Law 82-414, 66 Stat. 163, 8 U.S.C. 1101 et seq.

**OBJECTIVES:**

To protect the jobs of American workers; ensure the wages and working conditions of U.S. workers will not be adversely affected by the admission of permanent foreign workers; and assist employers by supplementing the work force with needed skills.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Under Section 212 (a)(5)(A) of the Immigration and Nationality Act, foreign workers who seek to immigrate to the United States for employment shall be excluded from admission unless the Secretary of Labor determines and certifies to the Secretary of State and to the Secretary of Homeland Security that there are not sufficient U.S. workers available for the position, and that the employment

of such foreign workers will not adversely affect the wages and working conditions of U.S. workers similarly employed. The certified employer must hire the foreign worker as a full-time employee; there must be a bona fide job opening available to U.S. workers; job requirements must adhere to what is customarily required for the occupation in the U.S. and may not be tailored to the worker's qualifications. In addition, the employer shall document that the job opportunity has been and is being described without unduly restrictive job requirements, unless adequately documented as arising from business necessity. The employer must pay at least the prevailing wage for the occupation in the area of intended employment.

**Applicant Eligibility:**

(1) Any employer who is unable to find qualified U.S. workers to meet his or her needs and seeks to hire a foreign worker to fill a given job vacancy on a permanent basis is eligible to file an application for permanent labor certification with the Department of Labor. (2) An employer who seeks to employ a foreign worker whose category of employment is included in the Department of Labor, Schedule A list of precertified occupations contained in Part 656, Title 20, Code of Federal Regulations is eligible to file an application directly with the appropriate U.S. Citizenship and Immigration Services Office.

**Beneficiary Eligibility:**

Employers and foreign workers.

**Credentials/Documentation:**

Employers seeking labor certification, and thereafter filing an immigration petition to sponsor a foreign worker for employment-based permanent residency, must document that worker's education, experience, and job qualifications to the satisfaction of the U.S. Citizenship and Immigration Services.

**Precertification Coordination:**

Prior to filing the application for permanent employment certification, the employer must request a prevailing wage determination from the State Workforce Agency (SWA) having jurisdiction over the proposed area of intended employment and must attest, in addition to a number of other conditions of employment, to having conducted recruitment prior to filing the application. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Employers must file labor certification applications for permanent employment directly with the appropriate National Processing Center (except for Schedule A occupations). See <http://workforsecurity.doleta.gov/foreign/perm.asp> for additional details.

**Award Procedure:**

If the appropriate National Processing Center approves the application, the application form is "certified" (stamped) by the Certifying Officer and returned to the employer/agent who submitted the application. The labor certification is then filed by the sponsoring employer in support of its immigrant worker petition with USCIS.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From six months to one year.

**Appeals:**

The permanent labor certification program provides for reconsideration by a Certifying Officer of denial of an application, upon the employer's request. Instead of or following a request for reconsideration, requests for administrative review of final determinations (denials of permanent labor certification applications) may be made directly to the Department of Labor's Board of Alien Labor Certification Appeals (BALCA).

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Selected audits are conducted by the Department of Labor.

**Records:**

The employer is required to retain all supporting documentation for five years from the date of filing the Application for Permanent Employment Certification.

**Account Identification:**

16-0172-0-1-504, 16-0180-0-1-504.

**Obligations:**

(Federal salaries and expenses) FY 07 \$50,000,000; FY 08 est \$63,000,000; and FY 09 est \$72,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2006, 112,345 new permanent labor certification applications were received.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

References in the Code of Federal Regulations: For permanent employment-Title

**Regional or Local Office:**

The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Atlanta or Chicago National Processing Center, envelopes should be clearly marked according to the appropriate program type. Atlanta Processing Center Address: Department of Labor, Employment and Training Administration, Harris Tower, 233 Peachtree Street, Suite 410 Atlanta, GA 30303, Telephone: (404) 893-0101 Fax: (404) 893-4642. Chicago Processing Center Address: Department of Labor, Employment and Training Administration, 844 North Rush Street, 12th Floor, Chicago, IL 60611 Telephone: (312) 886-8000 Fax: (312) 886-1688.

**Headquarters Office:**

Administrator, Office of Foreign Labor Certification, Department of Labor, 200 Constitution Avenue, NW, C-4312, Washington, DC 20210. Telephone: (202) 693-3010. Contact: William L. Carlson.

**Web Site Address:**

<http://www.foreignlaborcert.doleta.gov/>

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.273 Temporary Labor Certification for Foreign Workers.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.273 TEMPORARY LABOR CERTIFICATION FOR FOREIGN WORKERS**

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Immigration and Nationality Act of 1952, as amended, Sections 101(a)(15)(H), 212(n), 214(c) and 214(i); Public Law 82-414, 66 Stat. 163, 8 U.S.C. 1101 et seq.; Immigration Act of 1990, Public Law 101-649, 104 Stat. 4978, 8 U.S.C. 1182(n) and 1184; Public Law 102-232, 105 Stat. 1733, 8 U.S.C. 1182 note. Public Law 82-414, 66 Stat. 163, 8 U.S.C. 1101, et seq.; Immigration Reform and Control Act of 1986, Public Law 99-603, 100 Stat. 3359, 8 U.S.C. 1186.

**OBJECTIVES:**

To provide greater protection for U.S. and foreign workers without interfering with an employer's right to obtain temporary foreign workers. Also, to enable agricultural and other employers to obtain foreign workers for temporary or seasonal jobs when domestic workers are not available; to protect domestic workers against unfair competition from foreign workers; and to assure adequate working and living conditions for domestic and foreign workers employed in similar tasks.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Formula Grants.

**USES AND USE RESTRICTIONS:**

The Department of Labor issues labor certifications for temporary employment under several programs: H-1B Specialty (Professional) Worker Program, H-1B1 Specialty Worker Program (professionals from Chile or Singapore working in specialty occupations), E-3 Specialty Worker Program (professionals from Australia working in specialty occupations), H-2A Temporary Labor Certification (Agricultural), H-2B Temporary Labor Certification (Non-Agricultural), and D-1 Crewmember Program. Under Section 101(a)(15)(H)(i)(b) of the Immigration and Nationality Act, nonimmigrant foreign workers cannot be admitted to work in a specialty occupation or as a fashion model unless the Secretary of Labor determines and certifies to the Secretary of Homeland Security the intending employer filed with and had approved by the Secretary an application under section 212(n)(1). The labor condition application requires the employer to attest to compliance with program requirements, including certain working conditions and wages for foreign and U.S. workers. Employers who need workers for temporary agricultural jobs may be certified to use foreign workers after the Secretary of Labor has determined that there are not sufficient domestic workers capable of performing the job duties and that the employment of foreign workers will not adversely affect the wages and working conditions of similarly employed domestic workers. The Secretary of Labor will render only advisory opinions to the Secretary of Homeland Security on applications for foreign worker employment for temporary nonagricultural work under Section 101(a)(15)(H)(ii) of the Act. Certifications will be made only after efforts to recruit domestic workers through the Federal-State employment service system are unsuccessful. Performance of longshore work at U.S. ports by D-1 crewmembers on foreign vessels is generally prohibited with few exemptions. The Department of Labor is responsible for administering two of those exemptions. Employers in these ports are required to file an attestation stating that the use of alien crewmembers to

perform longshore work is the prevailing practice for the activity at that port, there is no strike or lockout at the place of employment, and that notice has been given to U.S. workers or their representatives. Another exception requires that, before using alien crewmen to perform longshore activities in the State of Alaska, the employer will make a bona fide request for and employ U.S. longshore workers who are qualified and available in sufficient numbers from contract stevedoring companies, labor organizations recognized as exclusive bargaining representatives of U.S. longshore workers, and private dock operators. State Workforce Agencies receive grants to perform the following labor certification activities: provide prevailing wage determinations for all non-agricultural labor certification programs; process H-2B temporary non-agricultural labor certification applications; and receive new applications for H-2A temporary agricultural labor certifications, performing prevailing wage and prevailing practice surveys, ensuring housing inspections are conducted and processing job orders.

**Applicant Eligibility:**

H-2A Program: An agricultural employer who anticipates a shortage of U.S. workers needed to perform agricultural labor or services of a temporary or seasonal nature. The employer may be an individual proprietorship, a partnership or a corporation. An association of agricultural producers may file as a sole employer, a joint employer with its members, or as an agent of its members. An authorized agent, whether an individual (e.g., and attorney) or an entity (e.g., an association), may file an application on behalf of an employer. Associations may file master applications on behalf of their members. H-2B Program: The job and the employer's need must be one time, seasonal, peak load or intermittent; the job must be for less than one year; and there must be no qualified and willing U.S. workers available for the job. An employer can file an application for labor certification with the appropriate National Processing Center of the Employment and Training Administration. State Workforce Agencies are federally funded to issue prevailing wage determinations for foreign labor certification programs.

**Beneficiary Eligibility:**

Employers and foreign workers to be employed in specialty occupations or as fashion models or in temporary agricultural or non-agricultural employment.

**Credentials/Documentation:**

In most of these programs, employers sponsoring aliens for employment-based permanent residency file the certification from the Department of Labor as documentation in support of their respective I-140 immigrant worker petitions with the Department of Homeland Security, United States Citizenship and Immigration Services (USCIS). In the H-1B1 and E-3 programs, a USCIS petition is not needed for initial visa issuance, and the alien may use proof of certification in support of the visa application.

**Preapplication Coordination:**

None, this program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Employers contact the appropriate office of the Employment and Training Administration. Also see <http://www.doleta.gov/business/gw/guestwkr/> for additional details on specific programs.

**Award Procedure:**

Certifications are sent to the employer in support of the petition to be filed with the U.S. Citizenship and Immigration Services which makes the final decision whether to grant or deny the admission of foreign workers. Certified copies of accepted attestations for the D-1 Crewmember program are returned to the employer and the USCIS is notified of the filing in writing. Grants: State Workforce Agencies receive funds upon acceptance of their work plans.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From one to seven days. H-1B: From one to seven days. H-2A: Statute requires an initial acceptance by ETA within seven days of filing, and a final determination 30 days prior to the employer's date of need.

**Appeals:**

There is no procedure for appealing Employment and Training Administration determination to accept or reject a Labor Condition Application. Complaints regarding misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor.

**Renewals:**

Treated as filing of new labor condition applications.

**Formula and Matching Requirements:**

Grants to State Workforce Agencies are distributed using a formula based on state workloads.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

The Employment and Training Administration compiles and maintains on a current basis for public examination in Washington, DC, a list of the labor condition applications. Such list is by employer, showing the occupational classification(s), wage rate(s), number of foreign workers sought, period(s) of intended employment, and date(s) of need for each employer's application.

Grants: Quarterly financial reports are required.

**Audits:**

Employer has to make a filed labor condition application and necessary supporting documentation available for public examination at the employer's principal place of business in the United States, or at the place of employment within one working day after the date on which the labor condition application is filed with the Employment and Training Administration. Complaints concerning misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor. The Administrator, Wage and Hour Division, performs the entire Secretary's investigative and enforcement functions under 8 U.S.C. 1182(n) and subparts I and K of 29 C.F.R. Part 504.

**Records:**

Employer shall make the Labor Condition Application (LCA) and necessary supporting documentation available for public examination at the employer's principal place of business in the United States or at the place of employment within one working day after the date on which the LCA is filed with Employment and Training Administration.

**Account Identification:**

16-0172-0-1-504; 16-0179-0-1-999; 16-0180-0-1-504.

**Obligations:**

(Federal salaries and expenses) FY 07 \$9,000,000; FY 08 est \$11,000,000; and FY 09 est \$14,000,000 (Formula grants) FY 07 \$13,000,000; FY 08 est \$13,000,000; and FY 09 est \$18,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, the Office of Foreign Labor Certification issued 385,835 LCA determinations. In the H-2A program, OFLC certified 6,550 employers and 59,112 slots for foreign workers. In the H-2B program, employers requested certification of 247,218 workers (199,734 certified).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found at 20 CFR 655.

**Regional or Local Office:**

Contact the appropriate State Workforce Agency (See Appendix IV) or Employment and Training Administration National Processing Center. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Atlanta or Chicago National Processing Center, or the ETA National Office, envelopes should be clearly marked according to the appropriate program type, i.e. H-1B, H-1B1, E-3, H-2A, H-2B, or D-1. Atlanta Processing Center Address: U.S. Department of Labor, Employment and Training Administration, Harris Tower, 233 Peachtree Street, Suite 410, Atlanta, GA 30303 Phone: (404) 893-0101 FAX: (404) 893-4642. Chicago Processing Center Address: U.S. Department of Labor, Employment and Training Administration, 844 North Rush Street, 12th Floor, Chicago, IL 60611 Phone: (312) 886-8000 FAX: (312) 886-1688.

**Headquarters Office:**

Administrator, Office of Foreign Labor Certification, Department of Labor, 200 Constitution Avenue, N.W., C-4312, Washington, DC 20210. Telephone: (202) 693-3010. Contact: William L. Carlson.

**Web Site Address:**

<http://www.foreignlaborcert.doleta.gov/>

**RELATED PROGRAMS:**

17.272, Permanent Labor Certification for Foreign Workers.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.274 YOUTHBUILD**

**FEDERAL AGENCY:**

EMPLOYMENT AND TRAINING ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act(WIA) of 1998, Title I, Subtitle D, Section 173A, YouthBuild Program, Public Law 109-281,Public Law 105-220, 20 U.S.C. 9201.

**OBJECTIVES:**

Grant funds will be used to provide disadvantaged youth with: the education and employment skills necessary to achieve economic self sufficiency in occupations in high demand and postsecondary education and training opportunities; opportunities for meaningful work and service to their communities; and opportunities to develop employment and leadership skills and a commitment to community development among youth in low-income communities. As part of their programming, YouthBuild grantees will tap the energies and talents of

disadvantaged youth to increase the supply of permanent affordable housing for homeless individuals and low-income families and to assist youth develop the leadership, learning, and high-demand occupational skills needed to succeed in today's global economy.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds must be used for: (1) Education and Workforce Activities, such as: basic skills instruction and remedial education; language instruction educational programs for individuals with limited English proficiency; secondary education services and activities, including tutoring, study skills training, and dropout prevention activities, designed to lead to the attainment of a secondary school diploma, General Education Development (GED) credential, or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities); counseling and assistance in obtaining postsecondary education and required financial aid; alternative secondary school services; work experience and skills training (coordinated, to the maximum extent feasible, with pre-apprenticeship and registered apprenticeship programs) in housing rehabilitation and construction activities; occupational skills training; and other paid and unpaid work experiences, including internships and job shadowing. (2) Counseling services and related activities, such as comprehensive guidance and counseling on drug and alcohol abuse and referral; (3) Youth development activities, such as: community service and peer-centered activities encouraging responsibility and other positive social behaviors, and activities related to youth policy committees that allow YouthBuild participants to engage in local policy and decision-making related to the program. (4) Supportive services and provision of need-based stipends necessary to enable individuals to participate in the program. (5) Supportive services to assist individuals, for a period not to exceed 12 months after the completion of training, in obtaining or retaining employment, or applying for and transitioning to postsecondary education; and job search and assistance. (6) Supervision and training for participants in the rehabilitation or construction of housing, including residential housing for homeless individuals or low-income families, or transitional housing for homeless individuals. (7) Supervision and training for participants in the rehabilitation or construction of community and other public facilities. (8) Payment of a portion of the administrative costs of the grantee. (9) Mentoring of participants by qualified adults (10) Provision of wages, stipends, or benefits to participants in the program. (11) Ongoing training and technical assistance for staff that are related to developing and carrying out the program. (12) Follow-up services. (13) Equipment and/or supplies related to the YouthBuild activities funded through this grant.

**Applicant Eligibility:**

Eligible applicants for these grants are public or private nonprofit agency or organization (including a consortium of such agencies or organizations), including: community-based organizations; faith-based organizations; an entity carrying out activities under this WIA, such as a local workforce investment board or One-Stop Career Center; a community action agency; a State or local housing development agency; an Indian tribe or other agency primarily serving Indians; a community development corporation; a State or local youth service conservation corps; or any other relevant public or private nonprofit entity that provides education or employment training and can meet the required elements of the grant.

**Beneficiary Eligibility:**

An eligible youth is an individual who is (1) between the ages of 16 and 24 on the date of enrollment; and (2) a member of a disadvantaged youth population such as a member of a low-income family, a youth in foster care (including youth aging out of foster care), a youth offender, a youth who is an individual with a disability, a child of an incarcerated parent, or a migrant youth; and (3) a school dropout. Up to (but not more than) 25 percent of the participants in the program may be youth who do not meet the education and disadvantaged criteria above but who are: (1) basic skills deficient, despite attainment of a secondary school diploma, General Education Development (GED) credential, or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities); or (2) have been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity to implement a YouthBuild program. Additionally, grantees must provide evidence of the capacity to track and report performance outcomes.

**Preapplication Coordination:**

None except as specified in solicitations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.



**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Specified in the applicable request for proposals, but generally 45 to 60 days from announcement.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time From 90 to 120 days.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

Cost sharing, matching, or cost participation is not required for eligibility; however, applicants are encouraged to leverage the resources of the partnership whenever possible.

**Length and Time Phasing of Assistance:**

Most projects last 2 to 3 years. Payments to grantees are usually made by Letter of Credit draw-down procedures.

**Reports:**

At a minimum, quarterly progress and financial reports and final reports are required. Additional requirements are included in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003) Audits of states, local governments, and nonprofit organizations, non-federal entities that receive financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants); FY 07 \$0; FY 08 est \$108,000,000; and FY 09 est \$50,000,000.

**Range and Average of Financial Assistance:**

Grant awards will range from \$350,000 - \$550,000 for up to two years (so \$700,000 1.1M). Most grants should average around \$500,000 (1 M over 2 years).

**PROGRAM ACCOMPLISHMENTS:**

This is the first year that the Department of Labor is administering the YouthBuild program so there are no program accomplishments to report.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Applications.

**Regional or Local Office:**

Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Division of Youth Services, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., N.W., Room N-4511 Washington, DC 20210. Contact: Anne Stom. Telephone: (202) 693-3377; E-mail: [youthbuild@dol.gov](mailto:youthbuild@dol.gov).

**Web Site Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

14.243, Opportunities for Youth\_Youthbuild Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Applications.

## 17.301 NON-DISCRIMINATION AND AFFIRMATIVE ACTION BY FEDERAL CONTRACTORS AND FEDERALLY ASSISTED CONSTRUCTION CONTRACTORS

(Office of Federal Contract Compliance Programs (OFCCP))

**FEDERAL AGENCY:**

EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Executive Order 11246, September 24, 1965; Executive Order 11375, October 13, 1967; Executive Order 12086, October 5, 1978; Rehabilitation Act of 1973, Section 503, Public Law 93- 112, as amended; Vietnam Era Veterans' Readjustment Assistance Act of 1974, Public Law 93-508; Veterans Codification Act of 1991, Section 5(a), Public Law 102-83, as amended, 38 U.S.C. 4212; Americans with Disabilities Act of 1990, Title I, Public Law 101-336; Immigration Reform and Control Act of 1986, Public Law 99-603, 8 U.S.C. 1324, 8 U.S.C. 1101 (a) (15)(H)(ii)(a), 8 U.S.C. 1160, 8 U.S.C. 1161, 8 U.S.C. 1184(c), 8 U.S.C. 1186, 8 U.S.C. 1824, 29 U.S.C. 1802, 1813 (a).

**OBJECTIVES:**

To assure non-discrimination and affirmative action in employment by covered Federal contractors, including Federal construction contractors, and federally assisted construction contractors.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Setting policy, monitoring and evaluating the compliance of Federal contractors and federally assisted construction contractors with their obligation to ensure non-discrimination and affirmative action in employment without regard to race, religion, color, sex, or national origin; ensuring non-discrimination and affirmative action in employment for individuals with disabilities and covered veterans, i.e., Vietnam-era and special disabled veterans. (Note: The terms "subcontract" and "subcontractor" are subsumed under the terms "contract" and "contractor", respectively.)

**Applicant Eligibility:**

Complaints against Federal contractors and federally assisted construction contractors which allege employment discrimination on the basis of race, sex, religion or national origin, may be filed with OFCCP. In addition, any employee, former employee, or applicant for employment with a Government contractor who believes he or she has been the subject of discrimination on the basis of disability or covered veteran status may file an individual complaint of discrimination. Program benefits are available to applicants and employees of Federal contractors performing work in the United States; including the District of Columbia, the Commonwealth of Puerto Rico, the Panama Canal Zone, and the possessions of the United States (Virgin Islands, Guam, American Samoa, Trust Territories of the Pacific). Applicants and employees who were recruited in the United States by a Federal contractor to perform work outside of the United States are also covered.

**Beneficiary Eligibility:**

Employees, former employees, or applicants with a Government contractor or federally assisted construction contractor, including construction sub-contractors.

**Credentials/Documentation:**

None for Executive Order or Section 503 regulations; Veterans need DD 214 (discharge); special disabled veterans need evidence of qualifying disability.

**Preapplication Coordination:**

None. This program is excluded from coverage under all OMB Circulars and E.O. 12372.

**Application Procedure:**

Any person seeking information or wishing to file a complaint may contact the nearest Office of Federal Contract Compliance Programs, Employment Standards Administration. Complaints are forwarded to the appropriate OFCCP or EEOC (in the case of non-class type complaints under E.O. 11246) office for processing. Complainants who submit incomplete information will be requested to make additional submittal, and must do so within 60 days of the request.

**Award Procedure:**

Not applicable.

**Deadlines:**

Under the Executive Order and veterans programs, complaints must be filed within 180 days for alleged violations, and within 300 days for Section 503 complaints, unless the time for filing is extended by the Deputy Assistant Secretary for OFCCP for good cause shown.

**Range of Approval/Disapproval Time:**

Under the Executive Order program, complaints must be investigated within 60 days. The Deputy Assistant Secretary for OFCCP may extend this time for good cause shown. Under the veterans and Section 503 programs investigations must be instituted promptly.

**Appeals:**

Under the Executive Order program, findings by OFCCP District and Regional Directors are subject to review by the Deputy Assistant Secretary for OFCCP. In

the Section 503 and veterans programs, complainants may request a review by the Deputy Assistant Secretary for OFCCP within 30 days of notification of a finding of no violation, or where the Director decides not to initiate administrative or legal proceedings against the contractor.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries and Expenses, Labor Department only) FY 07 \$85,622; FY 08 est \$84,060; and FY 09 est \$92,212.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2005, OFCCP completed over 2,734 compliance evaluations, covering more than three million workers. Financial remedies totalling over \$45 million were obtained for minority, female, and disabled workers. (More information is available to the public on the OFCCP web page (<http://www.dol.gov/esa/ofccp/>).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Equal Employment Opportunity, Executive Order 11246 as amended by Executive Orders 11375 and 12086; Regulations 41 CFR Part 60-1, Obligations of Contractors and Subcontractors; 41 CFR Part 60-2, Affirmative Action Programs (Revised Order 4); 41 CFR Part 60-3, Uniform Guidelines on Employee Selection Procedures (1978); 41 CFR Part 60-4, Construction Contractors Affirmative Action Requirements; 41 CFR Part 60-20, Sex Discrimination Guidelines; 41 CFR Part 60-30, Rules of Practice for Administrative Proceedings; 41 CFR Part 60-40, Examination and Copying of OFCCP Documents; 41 CFR Part 60-50, Guidelines on Discrimination Because of Religion or National Origin; 41 CFR Part 60-250, Affirmative Action and Nondiscrimination Obligations of Contractors and Subcontractors regarding special Disabled Veterans and Veterans of the Vietnam Era; 41 CFR Part 60-741, Affirmative Action and Nondiscrimination Obligations of Contractors and Subcontractors regarding Individuals with Disabilities. Questions and Answers on the Federal Executive Agency Uniform Guidelines on Employee Selection Procedures, March 1979, 44 CFR 11996. There is no charge for these materials.

**Regional or Local Office:**

See Appendix IV of the Catalog for addresses and telephone numbers of regional offices of the Office of Federal Contract Compliance Programs, listed under the Employment Standards Administration, Department of Labor.

**Headquarters Office:**

Deputy Assistant Secretary, Office of Federal Contract Compliance Programs, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 693-0101. Contact: Charles E. James, Sr., Deputy Assistant Secretary for Federal Contract Compliance Programs.

**Web Site Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 17.207, Employment Service/Wagner-Peyser Funded Activities; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.302 LONGSHORE AND HARBOR WORKERS' COMPENSATION

**FEDERAL AGENCY:**

OFFICE OF WORKERS' COMPENSATION PROGRAMS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Longshore and Harbor Workers' Compensation Act as extended, Public Laws 92-576, and 98-426; 5 U.S.C. 8171; 33 U.S.C. 901-952; 42 U.S.C. 1651; 42 U.S.C. 1701; 43 U.S.C. 1331.

**OBJECTIVES:**

To provide compensation for disability or death resulting from injury, including

occupational disease, to eligible private employees.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

This program provides income replacement and supplement; schedule awards for the loss of sight or hearing, dismemberment, disfigurement etc., medical expenses (including hospital care); and funeral expenses up to \$3,000. Benefits are paid by private insurance carriers or self-insured employers. Appropriated Federal funds are available in certain cases of permanent total disability, and death.

**Applicant Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Beneficiary Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of nonappropriated fund instrumentalities, employees of private employers engaged in work outside of the United States under contracts with the United States Government, and other as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Credentials/Documentation:**

Necessary documentation is developed when claim is filed by employee/employer or insurance carrier. The claimant may be required to submit to physical examination.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Employee or his or her survivor files written claim for compensation (Form LS-203 or LS-262) to the local district office of the Office of Workers' Compensation Programs (OWCP). Employer may pay benefits voluntarily.

**Award Procedure:**

Authority to adjudicate claims informally under this program rests with the District Director in (OWCP) district offices. Claims unresolved on voluntary basis are referred for formal hearing under the Administrative Procedure Act.

**Deadlines:**

Claim must be filed within one year after (a) the injury or death (2 years if injury is an occupational disease which does not immediately result in death or disability), or (b) the last compensation payment. Time begins to run when prudent person should have been aware of relationship between injury or death and employment. For hearing loss claims, time does not begin to run until an audiogram together with a report showing a hearing loss, is given claimant.

**Range of Approval/Disapproval Time:**

Insurance carrier or self-insured employer must pay compensation after 14 days of having knowledge of an injury causing disability or death, or controvert claim.

**Appeals:**

Application for modification of awards must be filed within 1 year after (a) the last compensation payment, or (b) rejection of a claim by an Administrative Law Judge or District Director Office of Workers' Compensation Programs. Appeal from Administrative Law Judge's decision must be filed within 30 days; Appeals from Benefits Review Board decision must be filed within 60 days.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Injury: The period of total or partial disability with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined in the Act. Employers or their insurance carriers are required to begin compensation within 14 days of (a) knowledge of the injury or death or (b) injured employee's report of loss of wages. Payments are generally disbursed on a bi-weekly basis.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1521-0-1-601.

**Obligations:**

(Benefits and Administration) FY 07 \$149,539; FY 08 est \$150,080; and FY 09 est \$150,833.

**Range and Average of Financial Assistance:**

Disability - 66-2/3 percent of average weekly wage; death benefits 50 percent average wages of deceased to such widow or widower, plus 16-2/3 percent for one or more surviving children with 66-2/3 percent limit. Average benefit unknown. Weekly compensation payments limited to 200 percent of national average weekly wage.

**PROGRAM ACCOMPLISHMENTS:**

The program currently receives on average 20,000 new lost time injury claims per year from longshore and harbor workers, District of Columbia workers in private industry, and specified other workers covered by extensions of the Act, or their survivors. While most cases are paid directly by the injured worker's employer or insurance carrier, the program is responsible for initially adjudicating disputed claims for benefits and ensuring that injured workers and their survivors receive the benefits to which they are entitled in a timely manner.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Longshore and Harbor Workers' Compensation Act, as extended. Copies may be obtained from the Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, Washington, DC 20210.

**Regional or Local Office:**

Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs. See Appendix IV of the Catalog for addresses and areas of jurisdiction listed under Employment Standards Administration.

**Headquarters Office:**

Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, Washington, DC 20210. Telephone: (202) 693-0038. Contact: Michael Niss.

**Web Site Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

57.001, Social Insurance for Railroad Workers.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.303 WAGE AND HOUR STANDARDS**

(Federal Wage-Hour Laws)

**FEDERAL AGENCY:**

EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Fair Labor Standards Act, Public Law 75-718, as amended, 29 U.S.C. 201-219; Walsh-Healey Public Contracts Act, Public Law 74-846, as amended, 41 U.S.C. 35-45; McNamara-O'Hara Service Contract Act of 1965, Public Law 89-286, as amended, 41 U.S.C. 351 et seq.; Davis-Bacon Act, 40 U.S.C. 276a et seq.; Contract Work Hours and Safety Standards Act, 40 U.S.C. 327 et seq.; Copeland Act, 18 U.S.C. 874, as amended; 40 U.S.C. 276C; National Foundation on the Arts and the Humanities Act of 1965, 20 U.S.C. 954(3), as amended; Employee Polygraph Protection Act of 1988, Public Law 100-347, 29 U.S.C. 2001; Immigration and Nationality Act, as amended; Immigration Reform and Control Act of 1986, Public Law 99-603, 8 U.S.C. 1324, 8 U.S.C. 1101(a)(15)(H)(ii)(a), 1160, 1161, 1182(n) 1184(c) and 1186, 1824, 29 U.S.C. 1802, 1813(a); Family and Medical Leave Act of 1993, Public Law 103-3, 107 Stat. 6.

**OBJECTIVES:**

To provide standards protecting wages of working persons by requiring a minimum hourly wage rate and overtime pay, or prevailing hourly wage rates, fringe benefits and overtime pay under the Government Contract Acts. Additional standards apply to child labor, to wage payment standards for professional performers and related or supporting professional employees of productions assisted by grants from the National Endowments for the Arts and Humanities, to curtail employer use of lie detector tests, including polygraph tests, for pre-employment screening or during the course of employment and to enforce contractual obligations regarding wages and other working conditions between certain temporary, alien agricultural workers (H-2A) and their employers, to enforce worker protection provisions applicable to nonimmigrant workers in "specialty occupations" (H-1B) and foreign crew members performing longshore work, and to require private employers with 50 or more employees and all schools and public employers to provide eligible employees up to 12 weeks of unpaid leave, job restoration, and continued employer provided health insurance due to the employee's serious health condition, the

birth of or placement for adoption/foster care of a child or for the care of a child, spouse or parent with a serious health condition.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Federal wage and hour standards apply generally to employees engaged in interstate or foreign commerce or in the production of goods for such commerce or in enterprises so engaged and, in addition, to employees of Federal, State and local governments, hospitals, businesses providing medical or nursing care for residents, schools and preschools. Generally, for covered employment the minimum hourly wage is \$5.15 per hour (effective September 1, 1997) with time and one-half the regular rate of pay required for hours worked over 40 in a workweek. There are special rules applicable to employees of State and local governments, including provisions concerning volunteer work, compensatory time-off, and outside employment. To the extent necessary to prevent curtailment of employment opportunity, certificates authorizing special minimum wage rates are issued for learners, workers with disabilities, full-time students, student workers, and apprentices. In nonagricultural employment, the basic minimum age is 16 years for general employment, 14 for work outside school hours in certain occupations under specified conditions, and 18 in occupations found hazardous by the Secretary. In agricultural employment, the basic minimum age is 16 years during school hours and in occupations found hazardous by the Secretary; otherwise, age 14 for work outside school hours except for 12- and 13-year-olds with written parental consent or on farms where their parents are employed, or under age 12 with written parental consent on a farm not subject to Federal minimum wage or under a limited waiver for local 10- and 11-year-old hand-harvesters of short-season crops under specified conditions. Failure to comply with the child labor provisions of the Fair Labor Standards Act or regulations issued there under may result in an assessment of a civil money penalty not to exceed \$11,000 for each minor involved in violations. Employees of contractors performing on most federally financed or assisted construction projects, or providing services under contract to Federal agencies, are subject to special standards. These special standards require that employees receive no less than the wages and fringe benefits prevailing in the locality as determined by the Secretary of Labor, and that overtime compensation, with few exceptions, be paid for hours worked on such contracts in excess of 40 in a week. The standards apply to performance on direct Federal contracts and also to most construction projects financed in whole or in part by the Federal Government (e.g., projects under the National Housing Act). Under current law, for Federal and federally assisted construction contracts over \$2,000 and Federal service contracts over \$2,500 subject to prevailing wage requirements, contracting agencies must obtain a wage determination issued by the Wage and Hour Division. Also under current law, employees working on Federal contracts in excess of \$10,000 calling for the manufacture or furnishing of supplies are required to be paid not less than the Federal minimum wage and overtime pay for hours worked in excess of 40 a week. Labor standards are set under the Arts and Humanities Act which require the payment of the prevailing minimum compensation as determined by the Secretary of Labor to professional performers or supporting personnel who work on projects or productions assisted by grants from the National Endowments for the Arts and Humanities. The Employee Polygraph Protection Act prohibits most private employers from administering lie detector tests to employees or prospective employees but permits the use of polygraph tests under certain conditions. The H-2A provisions of the Immigration and Nationality Act provide for the enforcement of contractual obligations concerning wages and other working conditions between certain temporary, alien agricultural workers and their employers. Section 203 of the Immigration Act of 1990 places limitations on the performance of Longshore work by alien crew members in U.S. ports; Section 212(n) places limitations on the employment of nonimmigrant workers in H-1B Specialty Occupations. The Family and Medical Leave Act requires a private employer of 50 or more employees and all public employers and schools to grant up to 12 weeks of unpaid leave in a 12-month period to any employee who was employed at least 12 months for 1,250 hours of service during the preceding 12 months, and is employed at a work site where there are 50 employees within 75 miles.

**Applicant Eligibility:**

Any covered employee, unless specifically exempt, is entitled to be paid in accordance with applicable monetary standards in the United States, District of Columbia, Puerto Rico, Virgin Islands, American Samoa, Guam, Wake Island, Johnston Island, and the Outer Continental Shelf Lands defined in the Outer Continental Shelf Lands Act. (Geographic application varies under the respective statutes and eligibility is dependent upon specific statutory language.) For family and medical leave, coverage includes any employer with 50 or more employees but excludes any employer at a worksite with fewer than 50 employees within a 75-mile radius.

**Beneficiary Eligibility:**

Employees.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**



None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting additional information concerning these standards, should contact the nearest office of the Wage and Hour Division, listed in the telephone Directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration. Information should be provided describing the type of business and the nature of the work performed. Unless otherwise authorized, the names of persons making inquiries are kept confidential to the maximum extent possible under existing law. For Federal construction contracts or Federal service contracts subject to prevailing wage requirements, the contracting agency must obtain a wage determination issued by the Wage and Hour Division. The wage determination must be furnished to bidders and made a part of the contract along with certain contract stipulations.

**Award Procedure:**

Not applicable.

**Deadlines:**

For most of the Acts, a 2-year statute of limitations applies to the recovery of back wages; in the case of willful violations, a three-year limitation applies. Any action against an employer for violation of the Employee Polygraph Protection Act must be filed within three years of the alleged violation.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

An appeal process is available where child labor civil money penalties are assessed, where civil money penalties are assessed for minimum wage and overtime violations, and under the Government contracts statutes.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Federal and federally assisted construction contractors must submit information with respect to wages paid to contracting agencies.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries and Expenses) FY 07 \$177,286; FY 08 \$185,092 and FY 09 est \$202,832.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Employment Standards Administration's Wage and Hour Division (WHD) recovered more than \$196 million in back wages in fiscal year 2004. Back wage collections have increased steadily since fiscal year 2001, with record breaking amounts collected in fiscal year 2003. The number of workers receiving back wages has increased by over 33 percent since fiscal year 2001. The average number of cases concluded by WHD investigators in each fiscal year has shown a steady increase from just over 40 cases concluded per investigator in 2001 to 46 in 2004, as WHD increased its enforcement productivity. WHD investigators have also significantly decreased the number of days it takes to conclude a complaint case. The agency concluded some 37,842 compliance actions in fiscal year 2004. WHD assessed nearly \$9 million in civil money penalties this past fiscal year, a slight decrease from the nearly \$10 million assessed in 2003.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications furnished free in limited quantities: "Handy Reference Guide to the Fair Labor Standards Act," "A Guide to the Walsh-Healey Public Contracts Act," "Guide to the Service Contract Act," "A Guide to the Child Labor Provisions of the FLSA" (Nonagricultural and Agricultural Occupations) "Compliance Guide to the Family and Medical Leave Act." Additional technical and nontechnical materials are also available at no cost.

**Regional or Local Office:**

Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting information or publications should contact the nearest office of the Wage and Hour Division, listed in the telephone directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

**Headquarters Office:**

Administrator, Wage and Hour Division, Employment Standards

Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 693-0051.

**Web Site Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

17.201, Registered Apprenticeship and Other Training; 17.203, Labor Certification for Alien Workers; 17.306, Consumer Credit Protection; 17.308, Farm Labor Contractor Registration.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.306 CONSUMER CREDIT PROTECTION**

(Federal Wage Garnishment Law)

**FEDERAL AGENCY:**

EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Consumer Credit Protection Act, Public Law 90-321, 5 U.S.C. 1671-1677, as amended; Public Law 95-30.

**OBJECTIVES:**

To provide restrictions on the amount of an employee's wages or salary which may be garnisheed, and prohibit employers from discharging employees by reason of garnishment for any one indebtedness.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

The general rules for applying the Federal restrictions on garnishment, effective September 1, 1997, are: If an individual's weekly disposable earnings are \$154.50 or less, no amount may be garnisheed; if the weekly disposable earnings are more than \$154.50 but less than \$206.00, only the amount in excess of \$154.50 may be garnisheed; and if the weekly disposable earnings are in excess of \$206.00 or more, 25 percent of disposable earnings may be garnisheed. The Act, as amended, limits court orders for the support of any person to 50 percent of the disposable earnings of an individual supporting another spouse or child and to 60 percent of disposable earnings if not. An additional 5 percent may be garnished for support payments more than 12 weeks in arrears. The order must be issued by a court of competent jurisdiction or in accordance with an administrative procedure, which is established by law, which affords substantial due process, and which is subject to judicial review. The restrictions do not apply under Federal bankruptcy proceedings for wage-earners, nor do they apply to debts due for State or Federal taxes. In addition, garnishments issued under the laws of any State may be exempted from the operation of the Federal law where the Secretary of Labor determines that such laws provide substantially similar restrictions. Under no circumstances may an employee be discharged from employment by reason of garnishment for any one indebtedness, although State laws may provide additional protection.

**Applicant Eligibility:**

Any person whose earnings have been subjected to garnishment is entitled to the protection provided by the Act in the United States, the District of Columbia, Puerto Rico, the Virgin Islands; Outer Continental Shelf lands defined in the Outer Continental Shelf Lands Act (Chapter 345, 67 Stat. 462); American Samoa, Guam, Wake Island; and Johnston Island. Under the law, earnings are defined as compensation paid or payable for personal services, including wages, salary, commissions, bonuses, and including periodic payments pursuant to a pension or retirement program.

**Beneficiary Eligibility:**

Any person whose earnings have been subjected to garnishment.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons seeking advice or assistance concerning the application of the Federal wage garnishment law to specific situations, including persons seeking remedy to an illegal action under the law, should contact the nearest office of the Employment Standards Administration, Wage and Hour Division listed in the telephone directory under United States Government, Labor Department. If no listing is shown for you locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

Unless otherwise authorized, the names of persons making inquiries are kept confidential to the maximum extent possible under existing law.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries and Expenses) Not Separately Identifiable. (Note: Obligations for 17.306 are included in program 17.303.)

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Joint agreements to refer inquiries, complaints and leads have been entered into by the Employment Standards Administration and the Federal Trade Commission.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications furnished free in limited quantities: Pamphlet: The Federal Wage Garnishment Law, Basic Information. Regulations, 29 CFR Part 870, Restriction on Garnishment.

**Regional or Local Office:**

Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting information or publications should contact the nearest Office of the Wage and Hour Division, listed in the telephone directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest district office of the Employment Standards Administration, Wage and Hour Division, listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Administrator, Wage and Hour Division, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 693-0051.

**Web Site Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.307 COAL MINE WORKERS' COMPENSATION

(Black Lung)

**FEDERAL AGENCY:**

OFFICE OF WORKERS' COMPENSATION PROGRAMS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, as amended, Public Laws 91-173, 92-303, 95-239, and 97-119.

**OBJECTIVES:**

To provide benefits to coal miners who have become totally disabled due to coal workers' pneumoconiosis (CWP), and to widows and other surviving dependents of miners who have died of this disease.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to coal miners disabled from coal workers' pneumoconiosis and to widows and other survivors of miners who have died of this disease. There are no restrictions on the use of these benefits by a beneficiary. Medical payments for treatment related to coal workers' pneumoconiosis are available to miners only after January 1, 1974.

**Applicant Eligibility:**

The miner (including some workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled" (as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner

shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply.

**Beneficiary Eligibility:**

Disabled coal miners, widows and other surviving dependents of the deceased.

**Credentials/Documentation:**

Medical tests, at Department of Labor expense, which include an x-ray, pulmonary function study, physical examination, and blood gas tests. Proof of work in or around a coal mine or coal preparation facility. Also proof of death, relationship and dependency required for widows and other survivors applying. Identification of a responsible mine operator is made as specified in regulations published in the Code of Federal Regulations (20 CFR 725).

**Preapplication Coordination:**

Applicants are required to state on the claim form whether a claim for disability benefits due to the same condition has been filed under any State or other Federal workers' compensation law. Benefits received as a result of such a claim could be offset against Federal benefits. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Telephone, write-in, or visit the local Division of Coal Mine Workers' Compensation district or local office listed in Appendix IV of the Catalog.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

A miner must file a claim for benefits within 3 years after a medical determination of total disability due to pneumoconiosis or within 3 years after the date of enactment of Public Law 95-239, whichever comes later, (Black Lung Benefits Reform Act of 1977). There are no time limitations for dependent survivors to file claims.

**Range of Approval/Disapproval Time:**

From 2 months to 8 months for initial findings depending on availability of supporting evidence.

**Appeals:**

Notify Office of Workers' Compensation Programs (OWCP), Employment Standards Administration. The appeal process includes formal hearings, Benefits Review Board consideration, and review by Federal courts, as appropriate.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The period of total disability with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined by the Act unless under a disability as defined in Section 223(d) of the Social Security Act, 42 U.S.C. 423(d). Employers or their insurance carriers are required to begin compensation within 30 days of the initial determination of eligibility. Payments are disbursed on a monthly basis.

**Reports:**

Any change in an eligibility requirement or in a factor affecting the amount of benefits, such as, State workers' compensation awards, or change in status of a dependent, must be reported to the Office of Workers' Compensation Programs when it occurs.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

20-8144-0-7-601.

**Obligations:**

(Benefits) FY 07 \$303,373; FY 08 est \$276,221; and FY 09 est \$250,130.

These are benefit under Part B only Est. Part C Obligations: FY 07 \$224,000, FY 08 203,000, FY 09 183,000.

**Range and Average of Financial Assistance:**

On January 1, 2006, new monthly rates went into effect for Black Lung benefits that included a 2.1 percent increase over the 2005 benefit amounts. The new rates are as follows: Part-B BLACK LUNG MONTHLY BENEFIT RATES (claims approved by the Social Security Administration - payments received around the 3rd of each month) Primary beneficiary.. \$574.00 Primary beneficiary and one dependent.. \$861.00 Primary beneficiary and two dependents ... \$1005.00 Primary beneficiary and three or more dependents.. \$1,149.00 Part-C BLACK LUNG MONTHLY BENEFIT RATES (claims approved by the Department of Labor - payments received around the 15th of each month) Primary beneficiary. \$574.60 Primary beneficiary and one dependent.. \$861.80 Primary beneficiary and two dependents.. \$1,005.50 Primary beneficiary and three or more dependents.. \$1,149.10.

**PROGRAM ACCOMPLISHMENTS:**

Over 102,000 beneficiaries and 18,000 dependents received benefits in 2005. During Fiscal Year 2005, the Black Lung Disability Trust Fund provided over \$292 million in monthly benefits to beneficiaries. DCMWC administered another \$380 million in monthly benefits under Part B. The Trust Fund paid out over \$54 million for the diagnosis and treatment of miners for pneumoconiosis. The Division of Coal Mine Workers Compensation also monitored direct monthly benefits paid to beneficiaries by coal mine operators or their insurance companies.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 410.401 et seq., 718, 722, 725, 726, and 727. Also, Black Lung Amendments of 1981, 30 U.S.C. 901 et seq. "Black Lung Benefits," Fact Sheet No. ESA 91-14.

#### **Regional or Local Office:**

Local Division of Coal Mine Workers' Compensation district offices are listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Division of Coal Mine Workers' Compensation, Office of Workers' Compensation Programs, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 693-0046. Contact: James L. DeMarce, Director.

#### **Web Site Address:**

<http://www.dol.gov/esa/regs/compliance/owcp/bltable.htm>

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

### **17.308 FARM LABOR CONTRACTOR REGISTRATION**

(Crew Leader)

#### **FEDERAL AGENCY:**

EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

#### **AUTHORIZATION:**

Migrant and Seasonal Agricultural Worker Protection Act, Public Law 97-470, as amended, 96 Stat. 2583; 29 U.S.C. 1801-1872.

#### **OBJECTIVES:**

To provide protection in the areas of wages, housing and transportation for migrant and seasonal agricultural workers.

#### **TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Investigation of Complaints.

#### **USES AND USE RESTRICTIONS:**

The program requires the contractor, agricultural employer or agricultural association to keep certain records and to comply with appropriate Federal and State safety and health standards for transportation and housing. It requires that contractors, agricultural employers and agricultural associations transporting migrant or seasonal farmworkers obtain motor vehicle liability insurance or, in some instances, Workers' Compensation Insurance and that they insure the migrant/seasonal agricultural worker and his/her personal property against injury or damage arising out of a transportation accident. Contractors, agricultural employers and agricultural associations must also comply with the applicable regulations of the Department of Transportation, Bureau of Motor Carrier Safety. The Act distinguishes between the traditional farm labor contractor and fixed-situs agricultural employers. It provides important worker protections such as vehicle safety and insurance coverage against both personal liability and property damage while being transported in connection with their employment; housing safety and health; disclosure of wages, hours and working conditions; maintenance of necessary records and furnishing to workers itemized information concerning pay and withholding. It further provides exemptions for both family businesses and small businesses. Any farm labor contractor who, for any money or other valuable consideration paid or promised to be paid, recruits, solicits, hires, employs, furnishes, or transports any migrant or seasonal agricultural worker (excluding members of his/her immediate family) for agricultural employment, must register under the Act, unless qualified for specific exemptions. Agricultural employers and agricultural associations must comply with the worker protection standards, but are not required to register. Persons having knowledge of any practices or omissions which are not in compliance with the requirements of the Act, and persons requesting additional information concerning the Act are encouraged to write, telephone or visit the nearest State employment service office or the nearest Wage and Hour Division Office listed in Appendix IV of the Catalog. Information should be provided describing the type of business activity and the nature of the work performed. The names of persons making inquiries are treated in complete confidence. Users of the services of a farm labor contractor are prohibited from engaging the services of one who is unregistered. Failure to comply with this Act and its regulations may result in criminal prosecution, civil injunctive action, civil money damages and assessment of civil money penalties of up to \$1,000 for

each violation.

#### **Applicant Eligibility:**

Farm labor contractors and their full-time or regular employees who recruit, solicit, hire, employ, furnish or transport migrant or seasonal agricultural workers for any money or other valuable consideration paid or promised to be paid for agricultural employment, must register with the Department of Labor.

#### **Beneficiary Eligibility:**

Migrant and seasonal agricultural workers.

#### **Credentials/Documentation:**

Certificate of Registration or Employee Certificate of Registration.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Farm labor contractors and their full-time or regular employees who recruit, solicit, hire, employ, furnish, or transport migrant or seasonal agricultural workers for any money or other valuable consideration paid or promised to be paid for agricultural employment, should contact the local office of the Employment Service or the nearest district office of the Wage and Hour Division for application forms and assistance.

#### **Award Procedure:**

Not applicable.

#### **Deadlines:**

Farm labor contractor certificates expire twelve months from date of issuance unless earlier suspended or revoked. Farm labor contractor employee renewal certificates expire from twelve to twenty-four months after renewal.

#### **Range of Approval/Disapproval Time:**

Applications for Farm labor contractor employee certificates of registration or farm labor contractor employee certificates of registration are usually processed within 2 to 3 weeks.

#### **Appeals:**

Applicants whose applications have been denied or revoked have 30 days to request a hearing on the decision to refuse to issue, refuse to renew or revoke. Persons who have been assessed civil money penalties have 30 days to request a hearing on the decision to assess.

#### **Renewals:**

Same procedure as making initial application. When application for renewal of a valid certificate is submitted prior to at least 30 days before the expiration date, the applicant may continue to operate under the terms of the existing certificate until a final determination is made on the renewal application.

#### **Formula and Matching Requirements:**

Not applicable.

#### **Length and Time Phasing of Assistance:**

Not applicable.

#### **Reports:**

A registered farm labor contractor is required to keep the Department of Labor informed of his/her permanent address and any change of vehicle which is operated by him/her or caused to be used to transport workers or change of housing for workers if such housing is controlled or owned by him or her.

#### **Audits:**

Not applicable.

#### **Records:**

Any employer subject to the Act is required to keep payroll records.

#### **Account Identification:**

16-0105-0-1-505.

#### **Obligations:**

(Salaries and Expenses) Not Separately Identifiable. (Note: Obligations for 17.308 are included in program 17.303.)

#### **Range and Average of Financial Assistance:**

Not applicable.

#### **PROGRAM ACCOMPLISHMENTS:**

Program emphasis continues to be placed upon registration activities and achieving greater compliance by farm labor contractors with the provisions of the Migrant and Seasonal Agricultural Worker Protection Act. In fiscal year 2004 the agency collected over \$1,194,000 in back wages for approximately 3,700 agricultural workers.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Migrant and Seasonal Agricultural Worker Protection Act. 29 CFR Part 500, contains information about the Act. Fact sheet ESA-13, "Agricultural Workers-- Your Rights Under the Migrant and Seasonal Agricultural Worker Protection Act," is available free of charge in limited quantities.

#### **Regional or Local Office:**

Persons are encouraged to communicate with the State Employment Service Office, or contact the nearest Wage and Hour Division Office listed in the telephone directory under United States Government, Labor Department Employment Standards Administration. If no listing is shown for your locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

#### **Headquarters Office:**

Administrator, Wage and Hour Division, Employment Standards Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 693-0051.



**Web Site Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.303, Wage and Hour Standards.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.309 LABOR ORGANIZATION REPORTS**

(Landrum-Griffin Act)

**FEDERAL AGENCY:**

OFFICE OF LABOR-MANAGEMENT STANDARDS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Labor-Management Reporting and Disclosure Act of 1959, Public Law 86-257, as amended, Public Laws 89-216, 98-473, 99-217, and 100-182, 29 U.S.C. 401.

**OBJECTIVES:**

To provide for the reporting and disclosure of, financial transactions and administrative practices of labor organizations, employers, labor consultants and others required to report under the Landrum-Griffin Act; to provide standards for the election of union officers, trusteeships, fiduciary responsibilities of union officers, and rights of union members.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Provides union members the authority to bring civil action in the district courts of the United States to enforce the rights and protections granted them under the Bill of Rights of Members of Labor Organizations; enables union members and employees whose rights are affected by a collective bargaining contract, to obtain or examine a copy of the agreement; enables union members to secure information on the organization, administrative practices, and financial transactions of their unions and to prevent abuses in these areas and in the administration of trusteeships imposed upon labor organizations; assures union members free and democratic officer elections through enforcement of standards and procedures with respect to such elections, and the removal of officers; and safeguards assets of labor organizations by imposing upon union officials fiduciary responsibility, enforceable in the courts, and by requiring the bonding of persons who handle union funds.

**Applicant Eligibility:**

Officers of unions may obtain assistance in preparing reports or otherwise complying with the Act. Union members or union organizations may request assistance in investigating alleged violations. All reports required to be filed are available for inspection and disclosure to the general public.

**Beneficiary Eligibility:**

Union officers, union members, union organizations. All reports required to be filed are available for inspection and disclosure to the general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Write or call the nearest Department of Labor, Office of Labor-Management Standards field office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Union members may file an election of officers complaint with the Department of Labor within one calendar month after having exhausted internal union remedies or within one calendar month after having invoked internal union remedies without obtaining a final decision within three calendar months after invoking them.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0104-0-1-505.

**Obligations:**

(Salaries and Expenses) FY 07 49,595; FY 08 est \$46,635; and FY 09 est \$60,350.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, OLMS received and processed approximately 42,830 reports, 525 criminal investigations, conducted 619 compliance audits, and supervised 35 union officer elections.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR 401-453. 29 CFR 457-459. The Labor-Management Reporting and Disclosure Act of 1959, as amended, Rights and Responsibilities under the LMRDA; Reports Required under the LMRDA (Spanish edition also available); Bonding Requirements under LMRDA; Trusteeship Requirements under the LMRDA, Electing Union Officers (Spanish edition also available); LMRDA Regulations and Interpretative Bulletins: Election of Officers of Labor Organizations, 29 CFR 452; Standards of Conduct Regulations, 29 CFR 457-459. The above literature is available free of charge in limited quantities from the Headquarters Office listed below or field offices in Appendix IV of the Catalog. Conducting Local Union Officer Elections - a guide for election officials is available for sale by the U.S. Government Printing Office.

**Regional or Local Office:**

Persons desiring assistance should contact the nearest Department of Labor, Office of Labor-Management Standards field office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Labor-Management Standards, Department of Labor, 200 Constitution Avenue, N.W., Washington, DC 20210, Room N-5605. Telephone: (202) 693-0123. For LMRDA assistance, Telephone: (202) 693-0123. For Electronic Forms software technical support, Telephone: (toll-free): (1 866) 487-2365.

**Web Site Address:**

<http://www.dol.gov>. E-mail: [OLMS-Public@dol.gov](mailto:OLMS-Public@dol.gov)

**RELATED PROGRAMS:**

17.150, Employee Benefits Security Administration.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.310 ENERGY EMPLOYEES OCCUPATIONAL ILLNESS COMPENSATION****FEDERAL AGENCY:**

OFFICE OF WORKERS' COMPENSATION PROGRAMS, EMPLOYMENT STANDARDS ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Energy Employees Occupational Illness Compensation Program Act of 2000, as amended; 42 U.S.C. 7384 et seq.

**OBJECTIVES:**

Part B provides lump-sum monetary payments of and medical benefits to covered employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies and certain of its vendors, contractors and subcontractors. Part B also provides lump-sum payments and medical benefits to individuals found eligible by the Department of Justice (DOJ) under section 5 of the Radiation Exposure Compensation Act (RECA) and, where applicable, to their survivors. Part E of the Act provides variable lump-sum payments (based on a worker's permanent impairment and/or years of qualifying wage-loss) and medical benefits for covered DOE contractor employees and, where applicable, provides variable lump-sum payments to survivors of such employees (based on a worker's death due to a covered illness and any years of established wage-loss). Part E also provides these same payments and benefits to uranium miners, millers and ore transporters covered by section 5 of RECA and, where applicable, to survivors of such employees.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

This program provides lump-sum monetary payments to employees and former employees as compensation for occupational illnesses under Part B, and covered illnesses under Part E; medical expenses (including hospital care). Benefits are paid from a mandatory appropriation of Federal funds.

**Applicant Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Beneficiary Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Credentials/Documentation:**

Necessary documentation is developed when claim is filed with the program.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Employee or his or her survivor(s) files written claim for compensation (Form EE-1 or EE-2) with the local district office of the Office of Workers' Compensation Programs (OWCP), or with a Resource Center.

**Award Procedure:**

Authority to issue recommended decisions under this program rests with the District Director in OWCP district offices. Authority to issue final decisions rests with the Final Adjudication Branch.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Request for review of or hearing on a recommended decision must be made within 60 days. Request for reconsideration of a final agency decision must be filed within 30 days of issuance of the final decision. Request to reopen claim after issuance of a final decision may be made at any time, if supported by material evidence.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Benefits are not length-based. Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1523-0-1-053.

**Obligations:**

(Benefits) FY 07 \$898,090; FY 08 est \$965,555; and FY 09 est \$948,487.

**Range and Average of Financial Assistance:**

Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses.

**PROGRAM ACCOMPLISHMENTS:**

The program currently receives on average 20,000 new claims per year from employees (or their survivors) of DOE, its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Claims for Compensation Under the Energy Employees Occupational Illness Compensation Program Act, 20 CFR part 30, are available on the Internet at <http://www.dol.gov>, or from OWCP.

**Regional or Local Office:**

Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs. See Appendix IV of the Catalog for addresses and areas of jurisdiction listed under Employment Standards Administration.

**Headquarters Office:**

Office of Workers' Compensation Programs, Division of Energy Employees Occupational Illness Compensation, Washington, DC 20210. Telephone: (202)693-0081. Contact: Peter Turcic.

**Web Site Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.502 OCCUPATIONAL SAFETY AND HEALTH-SUSAN HARWOOD TRAINING GRANTS**

**FEDERAL AGENCY:**

OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION,  
DEPARTMENT OF LABOR

**AUTHORIZATION:**

Occupational Safety and Health Act, Public Law 91- 596; 29 U.S.C. 670 (c).

**OBJECTIVES:**

To provide occupational safety and health training and education to employees and employers, particularly in the recognition, avoidance and abatement of workplace hazards.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants to nonprofit organizations to provide training or other educational services to employees and/or employers in priority areas designated by OSHA.

**Applicant Eligibility:**

Nonprofit organizations.

**Beneficiary Eligibility:**

Individuals employed in workplaces covered by the OSH Act that receive training and/or educational services under grants.

**Credentials/Documentation:**

Applicants must show nonprofit status.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

Application instructions are distributed by Occupational Safety and Health Administration, Directorate of Training and Education. Completed applications are returned to the Directorate of Training and Education. OMB Circular No. A-110 governs application requirements.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Application deadlines are established annually in a Federal Register Notice that announces the availability of funds for new grants. Contact Headquarters listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From three to five months.

**Appeals:**

None.

**Renewals:**

Grants are awarded for 12 months. Renewals are not usually granted.

**Formula and Matching Requirements:**

Matching is not required.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12 months. Grantees receive funds through the Department of Health and Human Services' Payment Management System.

**Reports:**

Program and fiscal reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Grants) FY 07 \$10,152,000; FY 08 est \$9,939,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

From \$61,000 to \$459,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal year 2007, a total of 55 training and education grants were awarded. Fiscal year 2008, estimate is that 50 training and education grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95 and 96; OMB Circulars A-21 (2 CFR Part 220), A-110 (2 CFR Part 215), and A-122 (2 CFR Part 230).

**Regional or Local Office:**

See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Assistant Secretary, Occupational Safety and Health Administration, Department of Labor, Washington, DC 20210. Telephone: (202) 693-2000. Contact: Cynthia Bencheck, Telephone: (847) 297-4810.

**Web Site Address:**

<http://www.osha.gov>.

**RELATED PROGRAMS:**

17.504, Consultation Agreements; 17.503, Occupational Safety and Health State Program; 17.505, OSHA Data Initiative; 17.602, Mine Health and Safety Education and Training; 93.263, Occupational Safety and Health Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

A labor organization developing a safety and health program for its membership and providing training to key staff from its locals; a safety council providing training and assistance to area small businesses in complying with OSHA standards; a trade association developing training material on a new OSHA Standard and using it to train its membership.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications. They include program, administration and budget categories.

**17.503 OCCUPATIONAL SAFETY AND HEALTH-STATE PROGRAM**

**FEDERAL AGENCY:**

OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION,  
DEPARTMENT OF LABOR

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 23(g), Public Law 91-596, 29 U.S.C. 60 (c).

**OBJECTIVES:**

To fund federally approved comprehensive State occupational safety and health programs that are "at least as effective" as the Federal program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants to States to administer and enforce State programs for occupational safety and health, limited to States having federally approved plans.

**Applicant Eligibility:**

Designated State agencies which have federally approved occupational safety and health plans.

**Beneficiary Eligibility:**

Any employer, worker or their representative from a business engaged in interstate commerce except those under jurisdiction of other Federal agencies.

**Credentials/Documentation:**

State agency responsible for occupational safety and health must show that its program is "at least as effective" as the Federal occupational safety and health program. This is accomplished by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate the program.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

Application instructions are distributed by the Occupational Safety and Health Administration to the approved State plan States through OSHA's Directives System. Completed applications are returned to the National Office through the Regional Offices. OMB Circular No. A-102 governs application requirements.

**Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Annual schedules are established by OSHA's National Grants Office. Contact National Grant Office for deadline schedules.

**Range of Approval/Disapproval Time:**

Two months.

**Appeals:**

None.

**Renewals:**

Grants to States for administering their own safety and health programs that can be renewed indefinitely, provided they continue to meet the "at least as effective" requirements. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

Matching is required. The Federal share may not exceed 50 percent of the total cost to the State.

**Length and Time Phasing of Assistance:**

State program grants are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System.

**Reports:**

Program and fiscal reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations,

nonfederal entities that expend \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Grants) FY 07 \$91,093,000; FY 08 est \$89,502,000; and FY 09 est \$91,093,000.

**Range and Average of Financial Assistance:**

Fiscal year 2007 grants ranged from \$201,000 to \$23,013,900. These awards represent approximately 50 percent of total program cost.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, State inspections totaled 57,380; fiscal year 2008 estimate, 50,900 State enforcement inspections; fiscal year 2009 estimate, 49,000 State enforcement inspections.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 1902, 1903, 1904, 1905, 1908, 1952, 1953, 1954, 1955, 1956, 2200; OMB Circulars A-102 and A-87 (2 CFR Part 225); and 29 CFR Parts 96 and 97.

**Regional or Local Office:**

See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Assistant Secretary, Occupational Safety and Health Administration, Department of Labor, Washington, DC 20210. Contact: Pavlo Oborski. Telephone: (202) 693-1919.

**Web Site Address:**

<http://www.osha.gov>.

**RELATED PROGRAMS:**

17.502, Occupational Safety and Health Susan Harwood Training Grants; 17.504, Consultation Agreements; 17.505, OSHA Data Initiative; 17.600, Mine Health and Safety Grants; 17.601, Mine Health and Safety Counseling and Technical Assistance; 17.602, Mine Health and Safety Education and Training; 93.262, Occupational Safety and Health Program; 93.263, Occupational Safety and Health Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Twenty-six State agencies operate approved State plans by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate their programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants may be awarded only to a State agency, designated by the Governor of a State, which has had its State Plan approved by the Assistant Secretary and which has submitted an application for a grant.

**17.504 CONSULTATION AGREEMENTS**

**FEDERAL AGENCY:**

OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION,  
DEPARTMENT OF LABOR

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 21(d) Public Law 105-197, 29 U.S.C. 651.

**OBJECTIVES:**

To fund consultative workplace safety and health services, targeting smaller employers with more hazardous operations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to provide occupational safety and health consultative services to employers.

**Applicant Eligibility:**

Designated State agencies which have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds as well as State funds as required.

**Beneficiary Eligibility:**

Any private employer operating within a State, with priority given to smaller employers with the more hazardous operations.

**Credentials/Documentation:**

State agency responsible for providing consultative services to employers must meet the minimum requirements of the consultation program set forth in 29 CFR 1908.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**



Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies through OSHA's Regional Offices. Completed applications are returned to OSHA's National Office. OMB Circulars No. A-102 and A-110 govern application requirements.

**Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Annual schedules are established by OSHA's National Grants Office. Contact National Grant Office for deadline schedules.

**Range of Approval/Disapproval Time:**

Two months.

**Appeals:**

None.

**Renewals:**

Funding to States for administering their consultation program can be renewed indefinitely, provided that State consultation projects continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

Matching is required. The Federal share may not exceed 90 percent of the total cost to the recipient.

**Length and Time Phasing of Assistance:**

Consultation Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System.

**Reports:**

A program review and fiscal reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, non-Federal entities that expend \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

FY 07 \$53,357,000; FY 08 est \$52,425,000; and FY 09 est \$54,531,000.

**Range and Average of Financial Assistance:**

Fiscal year 2007 grants ranged from \$199,000 to \$5,161,000. These awards represent approximately 90 percent of total program costs.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, State consultations visits totaled 31,911; fiscal year 2008 estimate is 29,700 State consultation visits; and fiscal year 2009 estimate is 29,050 State consultation visits.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95, 97, and 1908; and OMB Circular Nos. A-21, A-87, A-102 and A-110.

**Regional or Local Office:**

See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Assistant Secretary, Occupational Safety and Health Administration, Department of Labor, Washington, DC 20210. Contact: Pavlo Oborski. Telephone: (202) 693-1919.

**Web Site Address:**

<http://www.osha.gov>.

**RELATED PROGRAMS:**

17.502, Occupational Safety and Health\_Susan Harwood Training Grants; 17.503, Occupational Safety and Health\_State Program; 17.505, OSHA Data Initiative; 17.600, Mine Health and Safety Grants; 17.601, Mine Health and Safety Counseling and Technical Assistance; 17.602, Mine Health and Safety Education and Training; 93.262, Occupational Safety and Health Program; 93.263, Occupational Safety and Health\_Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Fifty State agencies and public Universities operate consultation programs by providing workplace safety and health assistance to employers.

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

## 17.505 OSHA DATA INITIATIVE

**FEDERAL AGENCY:**

OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION,  
DEPARTMENT OF LABOR

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 7(c)(1) Public Law 91-596, 29 U.S.C. 651.

**OBJECTIVES:**

To fund collection of occupational injury and illness data from employers in specified industries nationwide.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to collect occupational injury and illness data from employers in specified industries.

**Applicant Eligibility:**

Designated State agencies that have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds.

**Beneficiary Eligibility:**

Any state agency that is capable of collecting data.

**Credentials/Documentation:**

State agency that is capable of collecting data.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies. Completed applications are returned to OSHA's National Office. OMB Circulars No. A-102 and A-110 govern application requirements.

**Award Procedure:**

Final approval of funding requests is given annually by the Director of Administrative Programs.

**Deadlines:**

Annual schedules are established by OSHA's National Office. Contact National Office for deadline schedules.

**Range of Approval/Disapproval Time:**

One month.

**Appeals:**

None.

**Renewals:**

Funding to States for administering their collection program can be renewed indefinitely, provided that the States continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

Matching is not required.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System.

**Reports:**

A program review and fiscal reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, non federal entities that expend \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

FY 07 \$1,477,000; FY 08 est \$1,321,000; and FY 09 est \$1,321,000.

**Range and Average of Financial Assistance:**

Fiscal year 2007 grants ranged from \$5,750 to \$186,024.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 78,779 employer samples, fiscal year 2008 estimate is 80,000 employer samples, and fiscal year 2009 estimate is 80,000 employer samples.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 96, 97 and 1904, and OMB Circular Nos. A-102 and A-87 (2 CFR Part 225).

**Regional or Local Office:**

See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Assistant Secretary, Occupational Safety and Health Administration, Department of Labor, Washington, DC 20210. Contact: Pavlo Oborski. Telephone: (202) 693-1919.

**Web Site Address:**

<http://www.osha.gov>.

**RELATED PROGRAMS:**

17.502, Occupational Safety and Health\_Susan Harwood Training Grants; 17.503, Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.600, Mine Health and Safety Grants; 17.601, Mine Health and Safety Counseling and Technical Assistance; 17.602, Mine Health and Safety Education and Training; 93.262, Occupational Safety and Health Program; 93.263, Occupational Safety and Health\_Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Thirty State agencies collect occupational injury and illness rates that are used to fill OSHA's basic data needs to target interventions (i.e., inspections, outreach, technical assistance and leveraging programs).

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

**17.600 MINE HEALTH AND SAFETY GRANTS**

**FEDERAL AGENCY:**

MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, as amended, Public Law 95-164, Section 503.

**OBJECTIVES:**

To assist States in providing safety and health training and developing programs to improve mine health and safety conditions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provides grants (1) To assist States in developing and enforcing effective coal or other mine health and safety laws and regulations consistent with the provisions of section 506 of the Federal Mine Safety and Health Act of 1977; (2) to improve State workers' compensation and occupational disease laws and programs related to coal or other mine employment; and (3) to provide Federal-State coordination and cooperation in improving the health and safety conditions in the coal or other mines.

**Applicant Eligibility:**

Any mining State of the United States.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

In addition to items as stated in Grant Solicitation from Mine Safety and Health Administration (MSHA), State official mine inspection or safety agency has or will employ an adequate and competent staff of qualified trainers to provide health and safety training for miners and trained inspectors qualified under the laws of the State to make mine inspections within the State. Costs will be determined in accordance with OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The application will be submitted in an original and two copies to the Assistant Secretary of Labor for Mine Safety and Health. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

Applications are due in May each year.

**Range of Approval/Disapproval Time:**

Within three months.

**Appeals:**

Within 30 days from the final decision date, an appeal may be filed with the U.S. Court of Appeals for the District of Columbia.

**Renewals:**

Renewals may be made on a fiscal year basis, or a portion thereof when necessary, in the same manner as that required for the original request.

**Formula and Matching Requirements:**

A maximum of 80 percent of the amount expended by any mining State for a fiscal year is paid from Federal funds and at least 20 percent are paid by the Applicant State.

**Length and Time Phasing of Assistance:**

Length of assistance is on a fiscal year basis or a portion thereof. Time phasing of assistance is on a cost reimbursable basis, normally quarterly.

**Reports:**

Semi-annual Technical reports as required by MSHA shall be furnished to the Assistant Secretary of Labor for Mine Safety and Health stating work accomplished, benefits derived, project status. Quarterly Financial Reports listing expenditures and amounts obligated are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. On-site audits will be made by representatives of the Secretary of Labor and the Comptroller General of the United States.

**Records:**

Records relating to each grant shall be retained and made available until the expiration of three years after the grantees' last disbursement of such funds. Prescribed guidelines are set forth in attachment C, OMB Circular No. A-102 (revised).

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Grants) FY 07 \$8,204,000; FY 08 est \$8,441,000; and FY 09 est \$8,441,000.

**Range and Average of Financial Assistance:**

From \$9,357 to \$606,088. Average: \$160,000.

**PROGRAM ACCOMPLISHMENTS:**

New and renewal grants for programs in fiscal year 2007 have been made in the following amounts: Alabama - \$193,000; Alaska - \$50,000; Arizona - \$279,000; Arkansas - \$96,000; California - \$327,000; Colorado - \$204,000; Connecticut - \$43,000; Delaware - \$4,000; Florida - \$166,000; Georgia - \$186,000; Idaho - \$89,000; Illinois - \$212,000; Indiana - \$185,000; Iowa - \$112,000; Kansas - \$80,000; Kentucky \$606,000; Louisiana - \$79,000; Maine - \$54,000; Maryland - \$56,000; Massachusetts - \$64,000; Michigan - \$209,000; Minnesota - \$264,000; Mississippi - \$59,000; Missouri - \$201,000; Montana - \$133,000; Nebraska - \$65,000; Nevada - \$227,000; New Hampshire - \$39,000; New Jersey - \$49,000; New Mexico - \$152,000; New York - \$251,000; North Carolina - \$148,000; North Dakota - \$58,000; Ohio - \$261,000; Oklahoma - \$112,000; Oregon - \$103,000; Pennsylvania - \$517,000; Rhode Island - 9,000; South Carolina - \$64,000; South Dakota - \$57,000; Tennessee - \$135,000; Texas - \$415,000; Utah - \$166,000; Vermont - \$69,000; Virginia - \$268,000; Washington - \$144,000; West Virginia - \$545,000; Wisconsin - \$186,000; Wyoming - \$187,000; and Navajo Nation - \$26,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Part 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Secretary of Labor for Mine Safety and Health, Mine Safety and Health Administration, Department of Labor, 1100 Wilson Boulevard, Arlington, VA 22209. Contact: Jeffrey A. Duncan. Telephone: (202) 693-9570 or Linda Davis (303) 231-5954.

**Web Site Address:**

<http://www.msha.gov>.

**RELATED PROGRAMS:**

17.601, Mine Health and Safety Counseling and Technical Assistance; 93.262, Occupational Safety and Health Program; 93.263, Occupational Safety and Health\_Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Responses related to the following proposal criteria enable the applicant to show that the proposed grant is consistent with the purposes of the Act: (a) Programs, policies, and methods to be followed in administering the grant, (b) designation of the State mining agency as the sole agency with authority and responsibility for administering the grant throughout the State, (c) assurances that such agency has an adequate and competent staff of trained and qualified inspectors, (d) use of the grant will extend and improve mine health and safety in the State while providing for no advance notice of an inspection, (e) assurances that grant will supplement not supplant existing State mine health and safety programs, (f) period over which program will be pursued, (g) financial plan, (h) fiscal control and accounting procedures, (i) name and title of person who will direct the program, (j) approximate number of qualified personnel who will work on the program, (k) location or locations where program will be pursued, (l) assurance that matching funds from nonfederal sources will be forthcoming, (m) indication of whether the programs or any part have been or will be submitted to other organizations for the purpose of obtaining a grant, and (n) agreement that the official State mine agency shall make required reports.

## 17.601 MINE HEALTH AND SAFETY COUNSELING AND TECHNICAL ASSISTANCE

### FEDERAL AGENCY:

MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

### AUTHORIZATION:

Federal Mine Safety and Health Amendments Act of 1977, as amended, Public Law 95-164. Public Law 109-236, Mine Improvement and New Emergency Response Act of 2006 (MINER Act).

### OBJECTIVES:

To improve conditions of health and safety in and around coal, metal and nonmetallic mines and mineral facilities through technical advice, special studies, investigations, development of State mine health and safety programs.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling; Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Assistance can be used for establishing or improving State mine health and safety programs. Technical advice and assistance is available to States, organizations, companies, or persons with mine health and safety programs and/or problems.

### Applicant Eligibility:

Any State, organization or person interested in employing healthful and safe mine or mineral industry working conditions can apply.

### Beneficiary Eligibility:

States, organizations, individuals.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

In the form of a letter to the Mine Safety and Health Administration.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

16-1200-0-1-554.

### Obligations:

(Salaries and Expenses) FY 07 \$29,062,000; FY 08 est \$29,476,000; and FY 09 est \$29,117,000.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response.

### REGULATIONS, GUIDELINES, AND LITERATURE:

30 Code of Federal Regulations; Bureau of Mines Information Circulars; Bureau of Mines Reports of Investigations; MSHA Informational Reports.

### Regional or Local Office:

See Appendix IV of the Catalog for a list of the addresses of Mine Safety and Health Administration Field Installations. Information on health and safety programs, inspections, and enforcement should be sought from Coal Mine Safety and Health or Metal and Nonmetal Mine Safety and Health District Offices listed in Appendix IV of the Catalog, or the Headquarters Office. Technical information can be sought from the same sources or from the Technical Support Field Centers.

### Headquarters Office:

Assistant Secretary of Labor for Mine Safety and Health, Mine Safety and Health Administration, Department of Labor, 1100 Wilson Boulevard, Arlington, VA 22209. Contact: Mark E. Skiles. Telephone: (202) 693-9472 or Linda F. Zeiler. Telephone: (202) 693-9478.

### Web Site Address:

<http://www.msha.gov>.

### RELATED PROGRAMS:

17.600, Mine Health and Safety Grants; 17.602, Mine Health and Safety Education and Training; 17.603, Brookwood-Sago Grant.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 17.602 MINE HEALTH AND SAFETY EDUCATION AND TRAINING

### FEDERAL AGENCY:

MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

### AUTHORIZATION:

Federal Mine Safety and Health Amendments Act of 1977, as amended, Public Law 95-164. Public Law 109-236, Mine Improvement and New Emergency Response Act of 2006 (MINER Act).

### OBJECTIVES:

To provide technical training for Federal mine inspectors and representatives of the mining industry.

### TYPES OF ASSISTANCE:

Training.

### USES AND USE RESTRICTIONS:

Provide initial and advanced Mine Safety and Health Training for Federal Mine Inspectors. This Technical training is available to Mine Operators, Miners, States, and labor Organizations. Assistance is also provided in the form of written and audio visual training materials. These materials deal with Mining Safety and Health Technical Materials.

### Applicant Eligibility:

Any mine operator, miner or their agent can request training or training materials.

### Beneficiary Eligibility:

Mine operators, miners or their agent, organizations and individuals.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

By telephone or written request.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

16-1200-0-1-554.

### Obligations:

(Salaries and Expenses) FY 07 \$10,414,000; FY 08 est \$11,000,000; and FY 09 est \$12,000,000.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

Training is provided through approximately 1,516 course days for Federal and other employees and 250 course days for the Mining Industry, as well as distributing approximately 6,990,240 mine safety publications.

### REGULATIONS, GUIDELINES, AND LITERATURE:

None.

### Regional or Local Office:

See Appendix IV of the Catalog for listing of Mine Safety and Health Administration Offices.

### Headquarters Office:

Director Educational Policy and Development, Mine Safety and Health Administration, Department of Labor, 1100 Wilson Boulevard, Arlington, VA



22209. Contacts: Jeffrey A. Duncan, Telephone: (202) 693-9570; Janet R. Bertinuson, Manager of Academy Operations. Telephone: (304) 256-3265.

**Web Site Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

17.600, Mine Health and Safety Grants; 17.603, Brookwood-Sago Grant; 93.263, Occupational Safety and Health Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 17.603 BROOKWOOD-SAGO GRANT

**FEDERAL AGENCY:**

MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Public Law 109-236, Mine Improvement and New Emergency Response Act of 2006 (Miner Act), 30 U.S.C. 965. Brookwood-Sago Mine Safety Grants.

**OBJECTIVES:**

To provide mine safety and health training and education programs for workers and mine operators, to better identify, avoid, and prevent unsafe working conditions in and around mines. To establish and implement education and training programs, or to develop training materials for employers and miners, concerning safety and health topics in mines, as determined appropriate by Mine Safety and Health Administration (MSHA).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provides grants to states, public, and private nonprofit organizations to provide training and other educational programs or develop training materials for employers and miners concerning safety and health topics in priority areas designated by MSHA.

**Applicant Eligibility:**

Any mining State of the United States, nonprofit public and private organizations.

**Beneficiary Eligibility:**

Recipient of the training workers at mines, any organization employing these individuals, and mine operators.

**Credentials/Documentation:**

Any credential or documentation requirements are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application procedures are detailed in each solicitation for grant applications. See the Federal Register for each solicitation for grant applications.

**Award Procedure:**

Competitive grant applications, submitted in response to a solicitation for grant application, will be reviewed by a panel for consistency with the solicitation for grant application requirements, and are subject to availability of funds and performance achievement. Funding decisions are at the discretion of the Assistant Secretary.

**Deadlines:**

Application deadlines are established annually in a Federal Register Notice that announces the availability of funds for new grants. Contact Headquarters listed below for application deadlines.

**Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications.

**Appeals:**

None.

**Renewals:**

Renewals and option year availability is detailed in each solicitation for grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See the Federal Register for solicitation for grant applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for grant applications. See the Federal Register for current solicitations for grant applications.

**Reports:**

All grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All grants require cooperation and sharing of program reports with an independent external evaluator. See the Federal Register for solicitations for grant applications.

**Audits:**

Subject to audits by the Department of Labor or other authorized Government agencies. In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout of final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

FY 07 \$500,000; FY 08 est. \$500,000; and FY 09 est. \$500,000.

**Range and Average of Financial Assistance:**

At a minimum, \$50,000, depending on the project needs as detailed in the solicitation for grant application and availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

New and renewal grants for programs in fiscal year 2007 have been made in the following amounts: Pennsylvania - \$135,000; Indiana - \$50,000; West Virginia - \$50,000; Colorado - \$53,000; Virginia - \$85,000; Utah - \$ 54,000; and the United Mine Worker of America - \$73,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Mine Safety and Health Act of 1977, Public Law 91-173 as amended by Public Law 95-164.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, Director, Educational Policy and Development Department of Labor, Mine Safety and Health Administration, 1100 Wilson Boulevard, Room 2102, Arlington, Virginia 22209-3939. Robert Glatter, Administrative Officer and Outreach Manager Mine Safety and Health Administration Department of Labor, 1100 Wilson Boulevard, Room 2102, Arlington, Virginia 22209-3939. Telephone: (202) 693-9570.

**Web Site Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications.

## 17.604 SAFETY AND HEALTH GRANTS

**FEDERAL AGENCY:**

MINE SAFETY AND HEALTH ADMINISTRATION, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977 (Mine Act), as amended, Public Law 109-236, Mine Improvement and New Emergency Response Act of 2006 (MINER Act) and 30 U.S.C. Section 962 and any other authority.

**OBJECTIVES:**

To provide mine safety and health training and education to miners, mine operators, and other individuals who may work at a mine; and to develop training and other programs (to include research and equipment development) to improve health and safety conditions at mines.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are restricted to the use, services, mine type, or any other priority that MSHA has designated or is mandated by its legislation.

**Applicant Eligibility:**

Any mining State of the United States, non-profit public and private organizations, commercial entity, or the legislatively mandated entity.

**Beneficiary Eligibility:**

Individuals employed in workplaces covered by the Mine Act, as amended by Miner Act that receive training and/or educational services and owners and employers covered by the Mine Act receiving the benefits of the health and safety project under these grants.

**Credentials/Documentation:**

All applicants must produce the required documents for the grant, including any expertise requested. All applicants that are non-profits must show non-profit status. If MSHA issues a solicitation for grant application (SGA), applicants must produce all items as requested in the SGA.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

Application instructions are distributed by MSHA. The standard application forms furnished by the Federal agency and required by the applicable OMB Circular must be used for this program. Completed applications are returned to MSHA as noted in the application.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary. Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

Application deadlines, if established, are announced annually in a Federal Register Notice announcing the availability of funds for new grants. Contact Headquarters listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 5 months.

**Appeals:**

None.

**Renewals:**

Primarily, grants are awarded for 12 months and may be renewed for an additional 12 months. In certain circumstances, MSHA may award grants up to a three-year performance period with a one-year renewal.

**Formula and Matching Requirements:**

Matching is not required.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12 months. Grantees receive funds through the Department of Labor, Mine Safety and Health Administration, Educational Policy and Development.

**Reports:**

Program and fiscal reports are required quarterly.

**Audits:**

OMB Circular No. A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Non-profits Organizations, requires nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards in a year will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Grants) FY 07 est not available; FY 08 \$2,200,000; and FY 09 \$2,200,000.

**Range and Average of Financial Assistance:**

From \$10,000 to, \$2,200,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2008, the estimate is one training and education grant will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 31, 32, 33, 35, 36, 93, 94, 95, 96, 97, 98, and 99; OMB Circulars A-21, A-110 and A-122.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, Director, Educational Policy and Development, Department of Labor, Mine Safety and Health Administration, 1100 Wilson Boulevard, Room 2100 Arlington, VA 22219-3939. Telephone: (202) 693-9572. Robert Glatter, Administrative Officer and Outreach Manager, Mine Safety and Health Administration, Department of Labor, 1100 Wilson Boulevard, Room 2103, Arlington, VA 22219-3939. Telephone: (202) 693-9575. Linda Zeiler, Deputy Director, Technical Support, Department of Labor, Mine Safety and Health Administration, 1100 Wilson Boulevard, Room 2330, Arlington, VA 22219-3939. Telephone: (202) 693-9478. C. Bryan Don, Management Officer, Mine Safety and Health Administration, Department of Labor, 1100 Wilson Boulevard, Room 2365, Arlington, VA 22219-3939. Telephone: (202) 693-9477.

**Web Site Address:**

<http://www.msh.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications, if applicable.

**17.700 WOMEN'S BUREAU**

(Women's Bureau)

**FEDERAL AGENCY:**

WOMEN'S BUREAU, OFFICE OF THE SECRETARY, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Public Law 66-259; 29 U.S.C. 11-16.

**OBJECTIVES:**

To improve the status of wage-earning women, improve their working conditions, increase their efficiency, advance their opportunities for profitable employment, and to provide employers with more alternatives to meet their labor needs. Through its Technology and Strengthening the Family Initiatives, worker shortage, financial security, workplace flexibility, and Corporate Mentoring, the Bureau works to promote an environment that is responsive to the demands and challenges of the 21st Century workforce; it establishes and maintains linkage with national, community and faith-based organizations, business and industry, trade unions, research foundations, academic, and Federal, State, and local government agencies for cooperative projects that address the employment and supportive service needs of women.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Technical information, including program models and advisory services that increase opportunities for women to plan for their economic and retirement security; aid in the development of training and educational programs designed to increase employment and earning opportunities; and support the establishment of programs that encourage a balance between home and work-life through flexible policies and programs.

**Applicant Eligibility:**

Any individual or group located in the United States or its territories.

**Beneficiary Eligibility:**

Individuals (particularly women) and groups.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for information or advice may be made to the appropriate Department of Labor, Women's Bureau regional office listed in Appendix IV of the Catalog, or to the Headquarters Office listed under the Information Contacts section of this program. The Women's Bureau does not provide financial assistance to individuals.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

16-0165-0-1-505.

**Obligations:**

(Salaries and Expenses) FY 07 \$9,574,000; FY 08 est. \$9,666,000, and FY 09 est. \$10,237,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2007, the Women's Bureau continued to support and develop on-going projects and also designed and implemented several major projects in its effort to promote an environment that is responsive to the demands and challenges of the 21st century workforce. These targeted initiatives were designed to enhance opportunities for women under the Department's goals of A Competitive Workforce, A Prepared Workforce, and Strengthened Economic Protections. The following examples are highlights of the Bureau's accomplishments: A COMPETITIVE WORKFORCE -- The Women's Bureau continued its Flex-Options for Women project, which started in January 2004. The project links corporate mentors who have experience in developing flexible workplace policies and procedures with women business owners who want to develop flexible workplace policies and procedures. A PREPARED WORKFORCE -- The Bureau's Working Women in Transition (WWIT) program continued its efforts in support of women who are making a transition in their work lives. Building on the best practices of Better Jobs! projects, WWIT uses the Bureau's unique high-touch and high-tech strategy that

combines online and face-to-face resources. Participants have access to online mentors (e-mentoring), online employment tools, and distance learning opportunities while working with local service providers. A SECURE WORKFORCE -- WiSeUp is a financial education demonstration project targeted to Generation X women ages 22 to 35. The centerpiece of the program is an eight-module curriculum offered online, as well as in a classroom setting in educational institutions and other organizations. In the online program, the curriculum is complemented by an "Ask the Experts" feature, which permits participants to send questions by e-mail to volunteers with financial expertise. Another feature available to participants in both the online and classroom-based versions is a series of monthly one-hour teleconference calls with featured speakers and a question and answer session. The Women's Bureau also continues to host financial security and education events throughout the country. OUTREACH -- Through its National and Regional offices, web page, speaking engagements, and publications, the Women's Bureau continued to provide up-to-date, consistent, and relevant information and resources to employees, employers, and interested constituents on a variety of work-related topics, including job options, training and employment, flexible work schedules, and women's employment-related statistics.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Women's Bureau regularly updates its website to include new as well as on-going programs, projects and initiatives, utilizing user-friendly options to increase visibility for frequently-visited webpages.

#### **Regional or Local Office:**

Contact the nearest Department of Labor, Women's Bureau regional office in Appendix IV of the Catalog listed under the Office of the Secretary.

#### **Headquarters Office:**

Director, Women's Bureau, Office of the Secretary, Department of Labor, Washington, DC 20210. Telephone: (202) 693-6710. Contact: Office of Information and Support Services, Women's Bureau, Room S3305, Office of the Secretary, Department of Labor, Washington, DC 20210. Telephone: (202) 693-6710.

#### **Web Site Address:**

<http://www.dol.gov/wb/>

#### **RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 17.303, Wage and Hour Standards; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## **17.720 DISABILITY EMPLOYMENT POLICY DEVELOPMENT**

#### **FEDERAL AGENCY:**

OFFICE OF DISABILITY EMPLOYMENT POLICY, DEPARTMENT OF LABOR

#### **AUTHORIZATION:**

The Consolidated Appropriations Act, 2001 Section1(a)(1); Public Law 106-554; 29 U.S.C. 557b.

#### **OBJECTIVES:**

The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP develops and fosters implementation of comprehensive and integrated disability employment policies and strategies throughout the workforce development system and with employers. Implementation of these effective policies and practices will increase employment opportunities and the recruitment, retention and promotion of people with disabilities. ODEP's response to low employment rates among people with disabilities is comprehensive and aggressive, and includes securing the active involvement and cooperation among a number of stakeholders, including Federal, State and local government agencies, private and public employers, educational and training institutions, and the disability community.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Uses and use restrictions are detailed in each solicitation for cooperative agreement or grant applications and in each request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current Solicitations for Grant Applications (SGAs) and Requests for Proposals (RFPs).

#### **Applicant Eligibility:**

While individuals are not eligible for ODEP's cooperative agreements and grants, nonprofit and for-profit organizations, State and local government agencies, academic institutions, and other entities are eligible. Eligibility requirements are detailed in each SGA and in RFPs. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Beneficiary Eligibility:**

Beneficiary eligibility is detailed in each solicitation for cooperative agreement

or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Credentials/Documentation:**

See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Preapplication Coordination:**

Coordination requirements are detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application procedures are detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Award Procedure:**

Competitive cooperative agreement and grant applications, submitted in response to a current solicitation for cooperative agreement or grant application, will be reviewed by a Federal panel for fidelity to Federal principles, to ensure adherence to solicitation for cooperative agreement or grant application requirements, and are subject to availability of funds and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Deadlines:**

Deadlines are detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Appeals:**

Appeal information and contact procedures for each solicitation are contained and detailed within the solicitation for cooperative agreement or grant application and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Renewals:**

Renewal and option year availability is detailed in each solicitation for cooperative agreement or grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Formula and Matching Requirements:**

ODEP does not conduct solicitations requiring formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Reports:**

All cooperative agreement and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreement and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **Audits:**

Audits are conducted by the Inspector General, General Accountability Office, or independent public accountants selected by the Department of Labor.

#### **Records:**

None.

#### **Account Identification:**

16-0166-0-1-505.

#### **Obligations:**

(Salaries and expenses) FY 07 \$27,712,000; FY 08 est. \$27,228,000; and FY 09 est. \$12,441,000.

#### **Range and Average of Financial Assistance:**

Previous awards for cooperative agreement, grants and contracts have ranged from approximately \$15,000 to \$3,500,000 per funding year, depending on the project needs as detailed in the solicitation for cooperative agreement or grant application or proposal and availability of funds. Awards have been to nonprofit and for-profit organizations, State and local government agencies, academic institutions, and other entities.

#### **PROGRAM ACCOMPLISHMENTS:**

Documenting the Unemployment Rate of People with Disabilities Multi-year collaborative effort between ODEP and the Bureau of Labor Statistics (BLS) to develop a valid and reliable method of measuring the unemployment rate of people with disabilities. The results will, for the first time, document the actual unemployment rate of people with disabilities. Improving Professional Development of Youth Service Practitioners: ODEP developed the "Knowledge, Skills, and Abilities of Youth Service Practitioners: The Centerpiece of a Successful Workforce Development System," which outlines the knowledge,



skills, and abilities (KSAs) needed by professionals to better connect youth with disabilities to workforce development opportunities. 4,500 members of the National Association of Workforce Development Professionals (NAWDP), an organization created in 1989 with start-up funding from DOL, are now offered a youth credential based on the KSAs. The 900 member organizations at the National Partnership for Juvenile Services used the KSAs to develop their Youth Workforce Development Training Curriculum. Increasing Access to Youth Services for Youth with Disabilities: ODEP drafted the language in the Youth Vision Training and Employment Guidance Letter No. 28-05 (TEGL) and other Employment and Training Administration (ETA) policy guidance that specifically identifies and includes youth with disabilities and their needs with regard to Workforce Investment Act (WIA)-funded programs and services. WIA-funded youth services now explicitly recognize the accommodation needs of youth with disabilities in programs, removing disincentives to serving youth with disabilities, and increasing their access to ETA youth services resources. Improving Transition Plans for Youth with Disabilities: ODEP developed the "Guideposts for Success" (Guideposts), a common language guide of key educational and career development interventions for youth transitioning from high school to post-secondary education and/or employment. Forty-six states are now using the Guideposts to develop better transition improvement plans for thousands of school districts and their students. Maryland and Iowa are using the Guideposts as the basis for developing statewide cooperative agreements with local school districts and evaluating state transition programs, respectively. South Carolina, Indiana, Wisconsin and Texas are using the Guideposts to replicate ODEP's High School/High Tech demonstration programs. Influencing Employer Policies and Practices: Thousands of employers now have updated, valid and credible information on the low cost of workplace accommodations and the increase in overall company productivity that results from providing accommodations for employees with disabilities. Through an Alliance Agreement with the 210,000 member-strong Society for Human Resource Management (SHRM), SHRM has committed to promoting the employment of people with disabilities through jointly developed training, education, outreach, and technical assistance activities. Promoting Workplace Safety and Security for Federal Employees with Disabilities: ODEP led the development of "Preparing the Workplace for Everyone: Accounting for the Needs of People with Disabilities: A Framework of Emergency Preparedness Guidelines for Federal Agencies" (Framework), for all Federal agencies to use to evaluate and strengthen their emergency plans. Thousands of personnel responsible for effective emergency preparedness, including Federal building managers at the national, regional, and field levels through GSA; human resource and disability program managers through OPM; Federal safety and health officials through OSHA; and others are now using the Framework to ensure that the needs of agency employees with disabilities are considered in all aspects of emergency planning. Ensuring Access to One-Stop Career Centers for People with Disabilities: ODEP and the DOL's Employment and Training Administration jointly produced the WIA Section 188 Disability Checklist and ODEP developed "Strategies and Practices for Effectively Serving all One-Stop Customers: A Framework for Systems Change," both of which increase access to One-Stop Career Centers for people with disabilities. Thousands of One-Stop Career Centers in the workforce system now have a way to measure their compliance with Section 188 of the Workforce Investment Act (WIA). The Workforce System now acknowledges people with disabilities as potential entrepreneurs, encouraging the workforce system to make entrepreneurial training opportunities available. Improving the Workforce Investment System's Effectiveness with 'hard to serve' Customers: ODEP developed customized employment policy for the WIA system that set forth successful models of partnership and leveraging of funds and expertise so that 'hard to serve' customers can realize increased employment outcomes. SSI and SSDI; Medicaid; TANF; transition programs under IDEA; and other programs (e.g., mental health agencies, agencies serving persons with mental retardation and developmental disabilities, and independent living programs); and thousands of workforce investment system professionals now use customized employment strategies. Improving Coordination of Employment-Related Transportation Efforts: ODEP collaborated on drafting Executive Order in 2004, which created "United We Ride", comprised of private and public sector partners. Up to \$80 million in new funding has been authorized through the Safe, Accountable, Flexible, and Efficient Transportation Equity Act (SAFETEA-LU) for new resources to assist communities in meeting the mobility needs of people with disabilities seeking employment. Thousands of transportation professionals and service providers now have access to employment-related mobility management models (travel navigators, transportation brokers, and trip planners) to enhance transportation options for workers and job seekers with disabilities.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Office of Disability Employment Policy is located at [www.dol.gov/odep](http://www.dol.gov/odep). Information and resources on disability employment and other disability-related topics can be found at [www.DisabilityInfo.gov](http://www.DisabilityInfo.gov), for which ODEP is the managing partner with 22 Federal Agencies.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of Disability Employment Policy (ODEP), 200 Constitution Avenue, N.W., Room S1303, Washington, DC 20210. Telephone: (202) 693-7880; (202) 693-7881/TTY; (202)693-7888/FAX. E-mail: [infoodep@dol.gov](mailto:infoodep@dol.gov).

#### **Web Site Address:**

[www.dol.gov/odep](http://www.dol.gov/odep).

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Examples of funded technical assistance and research projects that support policy development can be found at [www.dol.gov/odep](http://www.dol.gov/odep).

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are detailed in each solicitation for cooperative agreement or grant application and request for proposal. Criteria always include the availability of ODEP funds, alignment with ODEP's mission to develop national policy to reduce barriers to employment for people with disabilities, provision of data to support performance reporting, and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

## **17.801 DISABLED VETERANS' OUTREACH PROGRAM (DVOP)**

#### **FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

#### **AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4103A; Public Laws 107-288 and 109-461.

#### **OBJECTIVES:**

To provide intensive services to meet the employment needs of disabled and other eligible veterans; and, to provide maximum emphasis in meeting the employment needs of those who are economically or educationally disadvantaged, including homeless veterans and veterans with barriers to employment.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Funds must be used only for salaries and expenses and reasonable support of Disabled Veterans' Outreach Program (DVOP) Specialists who shall be assigned only those duties directly related to meeting the employment needs of eligible veterans according to the provisions of 38 U.S.C. 4103A.

#### **Applicant Eligibility:**

The administrative entity designated by each Governor.

#### **Beneficiary Eligibility:**

Veterans and eligible persons with emphasis on Special Disabled veterans, disabled veterans, economically or educationally disadvantaged veterans, and veterans with other barriers to employment.

#### **Credentials/Documentation:**

Determination of allowable cost shall be made in accordance with cost principles contained in OMB Circular No. A-87.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 (29 CFR Part 97) must be used for this program.

#### **Application Procedure:**

Standard Form 424, Application for Federal Assistance, submitted to the Director for Veterans' Employment and Training (DVET) in each State, as listed in Appendix IV along with program narratives and Fiscal Plans in accordance with instructions in a Solicitation for Grant Application (SGA) or annual modification instructions. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

Awards approved annually by a Department of Labor Grant Officer for the Assistant Secretary for Veterans' Employment and Training (ASVET) are based on reviews and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

#### **Deadlines:**

Application submittal deadlines established by SGA, distributed by ASVET through the Grant Officer for each applicable fiscal year.

#### **Range of Approval/Disapproval Time:**

Ninety days following the submission of an application pending the availability of fiscal year appropriation.

**Appeals:**  
Not applicable.

**Renewals:**  
Not applicable.

**Formula and Matching Requirements:**

Public Law 107-288, signed on November 7, 2002 amended 38 U.S.C. and changed the grants to States for this functional staffing grant to a fiscal formula grant to support staffing. Therefore, there is no longer a formula staff level to be assigned to a State based on the number of veterans registering for employment services. Instead, a new funding distribution formula was developed. The relative allocation of funding to States is developed based on a combination of the ratio of the general unemployment level in each State compared with the unemployment level in all States using Local Area Unemployment Statistics (LAUS) data and the ratio of the number of veterans in the civilian labor force in the State as compared to the number of veterans in the civilian labor force in all states using the Current Population Survey CPS data. This methodology uses data provided by the Bureau of Labor Statistics. No matching is required.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September). States may obligate funds to provide assistance for a fifth fiscal year quarter (until December 31).

**Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans who were provided case management, referred to training and employment, received staff-assisted services and entered employment.

**Audits:**

Not applicable.

**Records:**

Cost accounting and performance records to be maintained in accordance with each grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Grants) FY 07 \$77,403,555; FY 08 \$78,900,000 and FY 09 est not available. Listed below are the estimated obligations by State for FY 08 (amounts in \$thousands; subject to change). AK-\$291; AL-\$911; AR-\$688; AZ-\$1,554; CA-\$10,619; CO-\$1,110; CT-\$932; DC-\$266; DE-\$158; FL-\$4,632; GA-\$2,528; HI-\$122; IA-\$1,253; ID-\$358; IL-\$3,034; IN-\$1,436; KS-\$894; KY-\$811; LA-\$890; MA-\$1,296; MD-\$1,633; ME-\$450; MI-\$2,600; MN-\$1,461; MO-\$1,092; MS-\$627; MT-\$456; NC-\$1,282; ND-\$122; NE-\$305; NH-\$300; NJ-\$2,581; NM-\$402; NV-\$608; NY-\$3,966; OH-\$6,220; OK-\$520; OR-\$1,475; PA-\$3,150; PR-\$172; RI-\$280; SC-\$1,309; SD-\$498; TN-\$1,474; TX-\$5,596; UT-\$983; VA-\$1,701; VI-\$0; VT-\$144; WA-\$1,559; WI-\$1,519; WY-\$242; WY-\$390.

**Range and Average of Financial Assistance:**

Range from \$0 to \$10,718,000 based on awards during FY 07 and FY 08 year to date. Approximate average award based on FY 07 and FY 08: \$1,475,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

In Program Year 2005, (July 1, 2005 - June 30, 2006) 207,545 veterans and other eligible persons served by a DVOP specialist entered employment, for a rate of 62.6 percent; 79.8 percent of those were retained in employment for more than 180 days. During the same period, 24,377 disabled veterans served by a DVOP specialist entered employment, for a rate of 57.3 percent; 78.9 percent of those were retained in employment for more than 180 days. In Program Year 2006, (July 1, 2006 - June 30 2007) 166,439 veterans and other eligible persons served by a DVOP specialist entered employment, for a rate of 62.7 percent; 79.3 percent of those were retained in employment for more than 180 days. During the same period, 19,815 disabled veterans served by a DVOP specialist entered employment, for a rate of 57.5 percent; 78.6 percent of those were retained in employment for more than 180 days.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4103A; 20 CFR 1001.

**Regional or Local Office:**

Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of the Assistant Secretary for Veterans' Employment and Training, Department of Labor, 200 Constitution Avenue, N.W., Room S-1312, Washington, DC 20210. Telephone: (202) 693-4708 Contact: Pamela Langley or (202) 693-4732, Linda Chambers.

**Web Site Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.804, Local Veterans' Employment Representative Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Application.

## 17.802 VETERANS' EMPLOYMENT PROGRAM

(Veterans' Workforce Investment Programs (VWIP))

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Workforce Investment Act of 1998, Section 168 Veterans' Workforce Investment Programs; Public Law 105-220; 29 USC 2913.

**OBJECTIVES:**

To provide services to assist in reintegrating eligible veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing eligible veterans.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Programs supported with these funds shall include: 1) Activities to enhance services provided to eligible veterans by other providers of employment and training services funded by Federal, State, local or tribal governments; 2) activities to provide innovative employment and training services and projects to eligible veterans not currently provided by other public employment and training service providers; and 3) outreach and public information activities to develop and promote maximum job and training or retraining opportunities for eligible veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations and community-based organizations (including faith-based and community organizations) are eligible to compete for these grant funds.

**Beneficiary Eligibility:**

Service-connected disabled veterans, veterans who have significant barriers to employment, veterans who served on active duty in the armed forces during a war or in a campaign or expedition for which a campaign badge has been authorized, and veterans who are recently separated from military service (48 months).

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) and Standard 424, Application for Federal Assistance.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 (29 CFR, Part 97) must be used for this program.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The Office of the Assistant Secretary for Veterans' Employment and Training, in conjunction with the Office of the Assistant Secretary for Administration and Management, is responsible for all funding decisions regarding this competitive grant program.

**Deadlines:**

The specific deadlines for submission of applications for this program are published in the Solicitation for Grant Application Document and the Federal Register. SGAs may be issued periodically for a specific portion of the funds for special emphasis grants.

**Range of Approval/Disapproval Time:**

About 120 days.

**Appeals:**

Within 21 days of the determination denying financial assistance the applicant may request a hearing through the Chief Administrative Law Judge, Department of Labor.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Recommended, not required.

**Length and Time Phasing of Assistance:**

Funding is normally available during a 12-month period (program year). The methods of payment will be with an automatic payment management system.

**Reports:**

Quarterly reporting of outlays, and other financial information using SF-269, Financial Status Report, and quarterly reporting of program activity such as number enrolled, entered employment and retention in employment.

**Audits:**

"In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." For nongovernmental grant recipients, audits shall be performed in accordance with OMB Circular No. A-133.

**Records:**

None.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Grants and Contracts) Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 07 \$7,435,000; PY 08 est \$7,351,000 and PY 09 est not available. PY 2007 (Performance period July 1, 2007 - June 30, 2008) PY 2008 (Performance period July 1, 2008 - June 30, 2009).

**Range and Average of Financial Assistance:**

In PY 2007, twelve competitive grants received 2nd year funding at a total of \$6.7 million and \$300,000 was provided to support the collaborative Chronic Homelessness Initiative between the Department of Labor and the Department of Housing and Urban Development.

**PROGRAM ACCOMPLISHMENTS:**

For PY 2006, there were 2,333 veterans placed into employment out of 3,870 total participants for a rate of 60 percent, the average hourly wage was \$13.08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Information regarding program funding and eligibility can be found on our website at [www.dol.gov/vets](http://www.dol.gov/vets).

**Headquarters Office:**

Office of the Assistant Secretary for Veterans' Employment and Training, 200 Constitution Avenue, N.W., Room S- 1312, Washington, DC 20210.  
Telephone: (202) 693-4708 Contact: Pamela Langley or Contact: Linda Chambers (202) 693-4732.

**Web Site Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.246, Employment and Training Assistance\_Dislocated Workers; 17.248, Employment and Training Evaluation Projects; 17.249, Employment Services and Job Training Pilots\_Demonstrations and Research.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

## 17.803 UNIFORMED SERVICES EMPLOYMENT AND REEMPLOYMENT RIGHTS

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

**AUTHORIZATION:**

38 U.S.C. Chapter 43.

**OBJECTIVES:**

To protect and facilitate the smooth and prompt reemployment of members of the uniformed services (to include National Guard and Reserves) following performance of qualifying service. Also, to prohibit discrimination in employment and acts of reprisal against persons because of their obligation in the uniformed services, filing a claim, seeking assistance concerning an alleged violation, testifying in a proceeding, or otherwise participating in an investigation.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Dissemination of Technical Information; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

To assist persons who perform service in the uniformed services to secure employment or prompt reinstatement with their pre-service employers, and to secure the crediting of all seniority rights and benefits to that employment. To provide information and assistance to employers and to labor organizations and other elements of the community concerned with veterans' employment and reemployment. The Department of Labor - Veterans' Employment and Training Service investigates complaints with the goal of voluntary resolution of veterans' employment and reemployment problems. Unresolved complaints are referred to the Department of Justice or to the Office of Special Counsel upon request for consideration for representation in the Federal District courts or before the Merit Systems Protection Board.

**Applicant Eligibility:**

Persons performing voluntary or involuntary service in the uniformed services

(includes active duty, active duty for training, initial active duty for training, inactive duty training, full time National Guard duty, the period absent from employment while being examined to determine fitness for such, and specified duty or training by intermittent appointees of the National Disaster Medical System) Claimants must conform to all statutory eligibility requirements, including notification, intent, and timeliness of actions. Entitlement terminates upon separation from uniformed service with a bad conduct or dishonorable discharge or upon separation under other than honorable conditions, a "dismissal" or "dropping from the rolls" pursuant to sections 1161(a) and 1161(b) of Title 10, U.S. code.

**Beneficiary Eligibility:**

Persons performing voluntary or involuntary service in the uniformed services (includes active duty, active duty for training, initial active duty for training, inactive duty training, full time National Guard duty, the period absent from employment while being examined to determine fitness for such and specified duty or training by intermittent appointees of the National Disaster Medical System). Claimants must conform to all statutory eligibility requirements, including notification, intent, and timeliness of actions.

**Credentials/Documentation:**

Applicants should be able to provide evidence of pre-service employment, proper notification, length and character of service, and proper request for reinstatement.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the nearest Department of Labor, Veterans' Employment and Training Service (USDOL-VETS) office listed in Appendix IV of the Catalog.

**Award Procedure:**

Not applicable.

**Deadlines:**

There are no deadlines to request assistance from USDOL-VETS. However, time limits exist for individuals to request reinstatement with their pre-service employers.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

The statute authorizes court review for unresolved complaints. Private action is also authorized; contact the nearest USDOL-VETS office listed in Appendix IV of the Catalog for the procedure.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Salaries and Expenses) Not Separately Identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Processed 895 new complaint cases in fiscal year 2004, and closed 1,440 cases, of which 84 percent (1,213) were closed in 90 days or less. In addition to providing technical assistance in response to over 186,600 public inquiries, presentations were given to civic, employer, attorney and military organizations and groups. There are no applications for funds involved in this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Uniformed Services Employment and Reemployment Rights Act (USERRA) of 1994 - Chapter 43 of Title 38, United States Code (USC) is available free of charge from USDOL-VETS offices listed in Appendix IV of the Catalog. The "Veterans' Reemployment Rights Handbook," dated 1988 is available at most public libraries. The Handbook is under revision to reflect changes resulting from the enactment of USERRA. However, the information in the 1988 edition retains general applicability. Regulations have not been developed.

**Regional or Local Office:**

Contact the nearest Department of Labor, Veterans' Employment and Training Service office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Veterans' Employment and Training, Department of Labor, 200 Constitution Avenue, N.W., Room S-1312, Washington, DC 20210. Telephone: (202) 693-4701. Contact: Robert Wilson.

**Web Site Address:**

<http://www.dol.gov/dol/vets>.



**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 27.002, Federal Employment Assistance for Veterans; 64.115, Veterans Information and Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**17.804 LOCAL VETERANS' EMPLOYMENT REPRESENTATIVE PROGRAM**

(LVER PROGRAM)

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4104; Public Laws 107-288 and 109-461.

**OBJECTIVES:**

Conduct outreach to employers including conducting seminars for employers, conducting job search workshops and establishing job search groups; and to facilitate employment, training, and placement services furnished to veterans in a State under the applicable State employment service or One-Stop Career Center delivery systems whose sole purpose is to assist veterans in gaining and retaining employment.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds must be used only for salaries, expenses and reasonable support of Local Veterans' Employment Representatives who shall be assigned only those functions directly related to providing services to veterans according to provisions of 38 U.S.C. 4103 and 4104.

**Applicant Eligibility:**

The designated administrative entity that operates the employment service delivery system within the State.

**Beneficiary Eligibility:**

Veterans and eligible persons.

**Credentials/Documentation:**

Determination of allowable cost shall be made in accordance with cost principles contained in OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 (29 CFR 97) must be used for this program.

**Application Procedure:**

Standard Form 424, Application for Federal Assistance, Jobs for Veterans State grant narrative and financial plans, staff directory, assurances and certifications are submitted to the Director for Veterans' Employment and Training (DVET) in each State, (see Appendix IV of the Catalog) in accordance with Jobs for Veterans Solicitations for Grant Application or annual modification instructions. The standard application forms or acceptable facsimiles to those furnished by the Federal grantor agency and required by OMB Circular A-102 (29 CFR, Part 97) must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards approved annually by Assistant Secretary for Veterans' Employment and Training (ASVET) are based on review and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

**Deadlines:**

Application submittal deadlines established by a Solicitation for Grant Application or Veterans' Program Letter distributed by the ASVET through the Grant Officer for each applicable fiscal year.

**Range of Approval/Disapproval Time:**

Ninety days following submission of an application pending the availability of a Fiscal Year appropriation.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Public Law 107-288, signed on November 7, 2002 amended 38 U.S.C. and changed the grants to States for this functional staffing grant to a fiscal formula grant. Therefore, there is no longer a formula staff level to be assigned to a State based on the number of veterans registering for employment services. Instead, a new funding distribution formula was mandated based upon the ratio of the

number of veterans residing in the State that are seeking employment compared to the total number of veterans seeking employment in the State. Of resultant amounts, States determine the amount attributed to this and other programs funded under the Jobs for Veterans State grants. No matching is required.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September), but provided in quarterly allocations in accordance with approved spending plans. States may continue to obligate Fiscal Year funds until December 31 of each year.

**Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans' who were provided case management, referred to training and employment, received staff-assisted services and entered employment.

**Audits:**

Not applicable.

**Records:**

Cost accounting and performance records to be maintained according to grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Grants) FY 07 \$72,374,083; FY 08 \$71,812,000; and FY 09 est not available. Listed below are the current allocations by State for FY 08 (Amounts in \$thousands; subject to change): AK-\$197; AL-\$1,240; AR-\$796; AZ-\$1,143; CA-\$4,792; CO-\$1,298; CT-\$714; DC-\$224; DE-\$328; FL-\$3,847; GA-\$2,366; HI-\$523; IA-\$212; ID-\$353; IL-\$3,093; IN-\$1,911; KS-\$661; KY-\$1,432; LA-\$1,256; MA-\$1,670; MD-\$1,208; ME-\$373; MI-\$3,297; MN-\$1,195; MO-\$2,389; MS-\$989; MT-\$58; NC-\$3,172; ND-\$356; NE-\$624; NH-\$471; NJ-\$878; NM-\$687; NV-\$476; NY-\$4,348; OH-\$568; OK-\$1,364; OR-\$932; PA-\$3,329; PR-\$262; RI-\$280; SC-\$1,401; SD-\$71; TN-\$1,961; TX-\$6,316; UT-\$10; VA-\$2,209; VI-\$58; VT-\$334; WA-\$2,036; WI-\$1,430; WV-\$506; WY-\$96.

**Range and Average of Financial Assistance:**

Ranges from \$10,000 to \$6,316,000 based on awards during FY 07 and FY 08 year to date. Approximate average during FY 07 and FY 08: \$1,360,246.

**PROGRAM ACCOMPLISHMENTS:**

In Program Year 2005, (July 1, 2005 - June 30, 2006) 216,830 veterans and other eligible persons who were served by LVER staff entered employment, for a rate of 60.9 percent; 79.5 percent of those retained employment for more than 180 days. During the same period, 38,830 recently separated veterans who were served by LVER staff entered employment, for a rate of 63.2 percent; 79.3 percent of those retained employment for more than 180 days. In Program Year 2006, (July 1, 2006 - June 30, 2007) 175,837 veterans and other eligible persons who were served by LVER staff entered employment, for a rate of 62.3 percent; 78.6 percent of those retained employment for more than 180 days. During the same period, 27,440 recently separated veterans who were served by LVER staff entered employment, for a rate of 61.2 percent; 76.6 percent of those retained employment for more than 180 days.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4104; 20 CFR 1001.

**Regional or Local Office:**

Regional Administrators and State Directors for Veterans' Employment and Training Service listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of the Assistant Secretary for Veterans' Employment and Training, Department of Labor, 200 Constitution Avenue, NW, Room S-1312, Washington, DC 20210. Telephone: (202) 693-4708 Contact: Pamela Langley or Contact: Linda Chambers (202) 693-4732.

**Web Site Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.801, Disabled Veterans' Outreach Program (DVOP); 17.807, Transition Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on Solicitation for Grant Application.

**17.805 HOMELESS VETERANS REINTEGRATION PROJECT****FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987; Title II, Part C; Public Law 100-77, as amended; Public Laws 100-628, 101-645, 102-590, 104-275, 105-41; 105-114, and 107-95; 42 U.S.C. 1447-1450; 38 U.S.C., 4111.

**OBJECTIVES:**

To provide services to assist in reintegrating homeless veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing homeless veterans.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects supported with these funds shall provide for employment and training services and support services directly or through linkages with other service providers to assist homeless veterans to reenter the workforce. Outreach is necessary and is to be performed by formerly homeless veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations (including faith-based and community organizations) and for-profit/commercial entities. Potential jurisdictions are metropolitan areas of the largest U.S. cities or Non-Urban areas in need, as announced in the solicitation for grant applications (SGA).

**Beneficiary Eligibility:**

Individuals who are homeless veterans. The term "homeless" or "homeless individual" includes: (1) An individual who lacks a fixed, regular, and adequate night-time residence; and (2) an individual who has a primary night-time residence that is: (a) a supervised publicly or privately operated shelter designed to provide temporary living accommodations including welfare hotels, congregate shelters, and transitional housing for the mentally ill; (b) an institution that provides a temporary institutionalized; or (c) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodations for human beings (Reference: 42 U.S.C. 1302). A "veteran" is an individual who served in the activity military, naval, or air service, and who was discharged or released there from under conditions other than dishonorable. (Reference: 33 U.S.C. 101 (2).)

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) or Standard 424, Application for Federal Assistance.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Standard Form 424, Application for Federal Assistance, and Standard Form 424A, Budget Information shall be submitted, along with the technical proposal and budget narrative as required by the application SGA. This program is subject to the provisions of OMB Circular Nos. A-21, A-87, A-110, A-122, and A-133, 48 CFR 31, 29 CFR 2, 30, 31, 32, 33, 35, 36, 37, 93, 94, 95, 96, 97, 98, and 99.

**Award Procedure:**

The Office of the Assistant Secretary for Administration and Management, and the Assistant Secretary for Veterans' Employment and Training are responsible for all funding decisions regarding this program.

**Deadlines:**

The specific deadlines for submission of applications for this program are published in the SGA. document.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Debriefings of unsuccessful applicants are provided upon request.

**Renewals:**

As noted in the SGA.

**Formula and Matching Requirements:**

No matching is required.

**Length and Time Phasing of Assistance:**

Usually awarded for a full program year (July through June period).

**Reports:**

Quarterly reporting of outlays, and other financial information using SF-269, FinFinancial Status Report, and quarterly reporting of program activity such as number enrolled, entered employment and retention in employment.

**Audits:**

Subject to the provisions of 29 CFR Part 96 Audits of Federally Funded Grants, Contracts, and Agreements.

**Records:**

Financial and performance records to be maintained in accordance with the grant agreement.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

FY 07 \$20,285,412; FY 08 \$23,630,000; FY 09 estimate not available.

**Range and Average of Financial Assistance:**

Average award is \$100,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2005, there were 8,191 homeless veterans who entered employment out of 13,060 total enrollments for an entered employment rate of 63 percent.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of the Assistant Secretary for Veterans' Employment and Training, 200 Constitution Avenue, N.W., Room S-1312, Washington, DC 20210. Telephone: (202) 693-4708. Contact: Pamela Langley.

**Web Site Address:**

<http://www.dol.gov/dol/vets>.

**RELATED PROGRAMS:**

17.801, Disabled Veterans' Outreach Program (DVOP); 17.802, Veterans' Employment Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

## 17.806 VETERAN'S PREFERENCE IN FEDERAL EMPLOYMENT

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Veterans Preference Act of 1944, Public Laws 78-359, 93-508, 94-502, 95-520, 95-454, 97-72, 97-306, 98-543, 99-576, 101-237, 102-16, 102-568, 105-339, and 106-117; 109-163; Executive Order 11521, March 26, 1970.

**OBJECTIVES:**

To provide assistance to preference eligible individuals who believe that their rights under veterans' preference statutes and regulations have been violated. Recognizing their sacrifice, Congress enacted laws to prevent veterans seeking Federal employment from being penalized for their time in military service. Veterans' preference recognizes the economic loss suffered by citizens who have served their country in uniform, restores veterans to a favorable competitive position for Government employment, and acknowledges the larger obligation owed to disabled veterans. Veterans' preference is not so much a reward for being in uniform as it is a way to help make up for the economic loss suffered by those who answered the nation's call to arms. Historically, preference has been reserved by Congress for those who were either disabled or who served in combat areas. Eligible veterans receive many advantages in Federal employment, including preference for initial employment and a higher retention standing in the event of layoffs. However, the veterans' preference laws do not guarantee the veteran a job, nor do they give veterans' preference in internal agency actions such as promotion, transfer, reassignment, and reinstatement. By law, veterans who are disabled or who served on active duty in the Armed Forces during certain specified time periods or in military campaigns are entitled to preference over others in hiring from competitive lists of eligibles and also in retention during reductions-in-force. Preference applies in hiring for virtually all Federal jobs, whether in the competitive or excepted service. In addition to receiving preference in competitive appointments, veterans may be considered for special noncompetitive appointments for which only they are eligible.

**TYPES OF ASSISTANCE:**

Federal Employment.

**USES AND USE RESTRICTIONS:**

To assist persons who perform service in the uniformed services to secure Federal employment and to ensure a higher retention standing in the event of a reduction-in-force. To provide information and assistance to veterans, employers, labor organizations, and other elements of the community concerned with veterans' preference in Federal employment and retention. The Department of Labor - Veterans' Employment and Training Service investigates complaints with the goal of voluntary resolution of veterans' preference problems. Unresolved complaints can be pursued by the complainant veteran to the Merit Systems Protection Board.

**Applicant Eligibility:**

(1) Five-point preference is given to those honorably separated veterans (this means an honorable or general discharge) who served on active duty (not active duty for training) in the Armed Forces: During any war (this means a war declared by Congress, the last of which was World War II); during the period April 28, 1952, through July 1, 1955; for more than 180 consecutive days, any part of which occurred after January 31, 1955, and before October 15, 1976; during the Gulf War period beginning August 2, 1990, and ending January 2, 1992; for more than 180 consecutive days, any part of which occurred during the period beginning on September 11, 2001, and ending on the date prescribed by Presidential proclamation or by law as the last date of Operation Iraqi Freedom; or in a campaign or expedition for which a campaign medal has been authorized, such as El Salvador, Lebanon, Granada, Panama, Southwest Asia, Somalia, and Haiti. Medal holders and Gulf War veterans who originally enlisted after September 7, 1980, or entered on active duty on or after October 14, 1982, without having previously completed 24 months of continuous active duty, must have served continuously for 24 months or the full period called or ordered to active duty. Effective on October 1, 1980, military retirees at or above the rank

of major or equivalent, are not entitled to preference unless they qualify as disabled veterans. Ten-point preference is given to those honorably separated veterans who: (1) Qualify as disabled veterans because they have served on active duty in the Armed Forces at any time and have a present service-connected disability or are receiving compensation, disability retirement benefits, or pension from the military or the Department of Veterans Affairs; or (2) are Purple Heart recipients; the spouse of a veteran unable to work because of a service-connected disability; the unmarried widow of certain deceased veterans; and the mother of a veteran who died in service or who is permanently and totally disabled. When applying for Federal jobs, eligible veterans should claim preference on their application or resume. Applicants claiming 10-point preference must complete form SF- 15, Application for 10-Point Veteran Preference. Veterans who are still in the service may be granted 5 points tentative preference on the basis of information contained in their applications, but they must produce a DD Form 214 prior to appointment to document entitlement to preference. Note: Reservists who are retired from the Reserves but are not receiving retired pay are not considered "retired military" for purposes of veterans' preference. (2) Veterans who have been separated from the armed forces under honorable conditions shortly before completion of 3 years, or completion of 3 years or more of active duty military service are eligible to compete for vacant Federal positions for which the agency making the announcement will accept applications from individuals outside its own workforce under merit promotion procedures. This does not make them preference eligible, but allows access to certain Federal job openings for which they would otherwise not be entitled to apply. (3) Public Law 94-502 authorizes Federal agencies to provide unpaid training or work experience, as a part of the Department of Veterans Affairs vocational rehabilitation for a disabled veteran. Such training may be designed to provide noncompetitive appointment.

**Beneficiary Eligibility:**

Non-disabled veterans, disabled veterans and certain wives or husbands, widows, widowers, and mothers of veterans.

**Credentials/Documentation:**

For veterans' preference, general proof of honorable separation such as discharge certificate or DD Form 214. In addition, for 10-point preference, a letter from the Department of Veterans Affairs or military department certifying existence of service-connected disability. When the 10-point preference is based on the award of a Purple Heart, official documentation of the award is sufficient.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms are available from Service Centers of the Office of Personnel Management and from Federal agency personnel offices. Veterans eligible for noncompetitive appointment should make personal contact with the Federal agency where they would like to be considered for employment. Veterans who believe that they have not been properly accorded their rights have several different avenues of complaint, depending upon the nature of the complaint and the individual's veteran status: The Veterans Employment Opportunities Act of 1998 allows preference and other eligibles to file a complaint with the Department of Labor's Veterans' Employment and Training Service (VETS) when the person believes an agency has violated his or her rights under any statute or regulation relating to veterans' preference. Eligible veterans seeking employment who believe that an agency has not properly accorded them their veterans' preference, or failed to provide special placement consideration noted above, may file a complaint with the local Department of Labor VETS representative (located at State employment service offices). To be eligible to file a complaint a veteran must: Have served on active duty for more than 180 days and have other than a dishonorable discharge; have a service-connected disability; or served on active duty during a period of war, or received a campaign badge or expeditionary medal (e.g., the Southwest Asia Service Medal). The Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) prohibits discrimination in employment, retention, promotion, or any benefit of employment on the basis of a person's service in the uniformed services. Complaints under this law should also be filed with the local Department of Labor VETS representative (located at State employment service offices). Since a willful violation of a provision of law or regulation pertaining to veterans' preference is a Prohibited Personnel Practice, a preference eligible who believes his or her veterans' preference rights have been violated may file a complaint with the local department of Labor VETS representative, as noted above. A disabled veteran who believes he or she has been discriminated against in employment because of his or her disability may file a handicapped discrimination complaint with the offending agency under regulations administered by the Equal Employment Opportunity Commission.

**Award Procedure:**

None.

**Deadlines:**

Under Public Law 95-454, retired members of the armed forces will no longer be considered preference eligible as of October 1, 1980, unless they are disabled veterans or retired below the rank of Major or the equivalent. Under Public Law 97-306, enacted October 14, 1982, a 2-year minimum active duty service condition for those entering military service after September 7, 1980, or the full

period for which called or ordered to active duty, must be met, unless they are disabled veterans.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

Obligations are devoted to Federal Management; and, are not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During Fiscal Year 2004, VETS processed 351 veterans preference cases: 231 cases dealt with the issue of hiring and 10 cases dealt with the issue of reduction in force, 95 percent of these cases were closed within 90 days.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Veterans' Employment Opportunities Act of 1998 is available free of charge from USDOL-VETS offices listed in Appendix IV of the Catalog. The Department of Labor's Office of the Assistant Secretary for Policy and Veterans' Employment and Training Service developed an "expert system" to help veterans receive the preferences to which they are entitled. Two versions of this system are currently available, both of which help the veterans determine the type of preference to which they are entitled, the benefits associated with the preference and the steps necessary to file a complaint due to the failure of a Federal Agency to provide those benefits. To find out whether you qualify for veterans' preference, visit the Department of Labor (DOL). The Internet address for the veterans' preference program is:

<http://www.dol.gov/dol/vets/public/programs/programs/preference/main.htm>  
"Veteran Preference," EL-3 (8/95); "Special Appointing Authorities for Veterans," EL-4 (8/95); "Medical Disqualification of Preference Eligible," EL-8 (8/95); "Job Opportunities for Persons with Disabilities", EL-11 (8/95) (for use by Disabled Veterans); Regulations: 5 CFR 211, 5 CFR 213, 5 CFR 307 and 5 CFR 720.

**Regional or Local Office:**

Contact the nearest Department of Labor, Veterans' Employment and Training Service office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Veterans' Employment and Training, Department of Labor, 200 Constitution Ave., N.W., Room S-1312, Washington, DC 20210. Telephone: (202) 693-4700. Contact: Robert Wilson.

**Web Site Address:**

<http://www.dol.gov/dol/vets/public/programs/programs/preference/main.htm>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 17.207, Employment Service/Wagner-Peyser Funded Activities; 17.803, Uniformed Services Employment and Reemployment Rights; 27.001, Federal Civil Service Employment; 27.005, Federal Employment for Individuals With Disabilities; 64.115, Veterans Information and Assistance; 64.116, Vocational Rehabilitation for Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 17.807 TRANSITION ASSISTANCE PROGRAM

(TAP)

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANCE SECRETARY FOR VETERANS' EMPLOYMENT AND TRAINING, DEPARTMENT OF LABOR

**AUTHORIZATION:**

Defense Reauthorization Act of 1991, Public Law 101-510, 10 U.S.C. 1144.

**OBJECTIVES:**

To provide employment instruction, information and assistance to separating and retiring military personnel and their spouses through domestic and overseas installations and or facilities by offering job search and other related services.



**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

These services are provided through comprehensive workshops at military installations worldwide. TAP Employment Workshops provide service members and spouses with labor market information as they return to the world of civilian employment; resume assistance; and information on available service benefits. TAP Employment Workshops are provided through State Employment Agencies (Local Veterans Employment Representative program---17.804), and through a competitively awarded training and assistance contract.

**Applicant Eligibility:**

State Workforce Agencies designated under Section 4 of the Wagner-Peyser Act, as amended, or entities designed by the Governor. Contractors, as determined by the Department of Labor's Contracting Officer.

**Beneficiary Eligibility:**

Service members within two years of retirement or one year of separation and their spouses.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office of the official designated as single point of contact for more assistance, if the State has selected the program for review.

**Application Procedure:**

Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information Non-Construction Programs, along with a State Plan narrative and a fiscal narrative in accordance with instructions in a Solicitation for Grant Application (SGA) or annual modification instructions. For competitive contracts, as determined by the Department of Labor's Contracting Officer.

**Award Procedure:**

Grant awards are approved by a Department of Labor grant officer annually for the Assistant Secretary for Veterans' Employment and Training based on the recommendations of Regional Administrators and Directors for Veterans' Employment and Training (RAVETs/DVETs). Contract awards are approved approximately annually based on a determination by the Department of Labor's Contracting Officer.

**Deadlines:**

Application submittal deadlines established by a Solicitation for Grant Application or Veterans' Program Letter distributed by the ASVET through the Grant Officer for each applicable fiscal year. Contract deadlines are irregular and depend upon fluctuating demand and the ability of the LVER program to provide TAP Employment Workshops.

**Range of Approval/Disapproval Time:**

Ninety days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Quarterly reporting of TAP participants.

**Audits:**

Not applicable.

**Records:**

Cost accounting and performance records to be maintained in accordance with Veterans' Program Letters.

**Account Identification:**

16-0174-1-0-702.

**Obligations:**

(Grants) FY 07 \$3,030,000; FY 08 est \$3,087,000; and FY 09 est not available. (Contracts) FY 07 \$2,588,155; FY 08 est \$3,335,048; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Funds are used to purchase training manuals and are not contracted out.

**PROGRAM ACCOMPLISHMENTS:**

Participants for FY 07 - 146,942 and FY 08 est. 160,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, Chapter 41.

**Regional or Local Office:**

Contact the Regional administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of this Catalog.

**Headquarters Office:**

Office of the Assistant Secretary for Veterans' Employment and Training, Department of Labor, Room S-1312, Washington, DC.20210. Telephone: (202) 693-4708 Contact: Pamela Langley or (202) 693-4732 Contact: Linda Chambers.

**Web Site Address:**

<http://www.dol.gov/dol/vets>.

**RELATED PROGRAMS:**

17.804, Local Veterans' Employment Representative Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Applications.

# DEPARTMENT OF STATE

## 19.204 FISHERMEN'S GUARANTY FUND

(Section 7)

### FEDERAL AGENCY:

OFFICE OF MARINE CONSERVATION, BUREAU OF OCEANS AND INTERNATIONAL ENVIRONMENTAL AND SCIENTIFIC AFFAIRS, DEPARTMENT OF STATE

### AUTHORIZATION:

Fishermen's Protective Act of 1967, Section 7, Public Law 90-482, as amended, Public Law 92-569, 22 U.S.C. 1971-1977; Public Law 94-265, as amended, Public Law 99-659; Public Law 104-43; Public Law 106-450; Public Law 108-219.

### OBJECTIVES:

To provide for reimbursement of losses incurred as a result of the seizure of a U.S. commercial fishing vessel by a foreign country on the basis of rights or claims in territorial waters or on the high seas, which are not recognized by the United States. Effective November 28, 1990, the United States acknowledges the authority of coastal States to manage highly migratory species, thus reducing the basis for valid claims under the Fishermen's Protective Act.

### TYPES OF ASSISTANCE:

Insurance.

### USES AND USE RESTRICTIONS:

None.

### Applicant Eligibility:

Must be a U.S. citizen and the owner or charterer of a fishing vessel documented as such by the United States. Reimbursement of losses and costs (other than fines, license fees, registration fees and other direct costs which are reimbursable through the Secretary of State) incurred as a result of seizure. The vessel must be documented or certified under the laws of the United States.

### Beneficiary Eligibility:

Must be a U.S. citizen and the owner or charterer of a fishing vessel documented as such by the United States, and must have paid a premium fee, if one is required, for the year in which the seizure occurs.

### Credentials/Documentation:

Proof of documentation of vessel and proof of claim.

### Preapplication Coordination:

Application forms may be obtained by writing or calling: Office of Marine Conservation, Bureau of Oceans and International Environmental and Scientific Affairs, Room 5806, Department of State, Washington, DC 20520-7818. Telephone: (202) 647- 1948. FAX: (202) 736-7350. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Any owner desiring to enter into an agreement with the Secretary of State under the authority of Section 7 of the Act shall make application to the Office Director, Office of Marine Conservation, Bureau of Oceans and International Environmental and Scientific Affairs, Room 5806, Department of State, Washington, DC 20520-7818. The application shall be accompanied by a fee if required, in the amount established by a fee schedule in effect at the time of application. After agreement is executed, no fee paid or portion thereof is returnable. Application for reimbursement of losses will be accepted only from insured owners.

### Award Procedure:

Review and approval will be made by the Assistant Secretary for Oceans and International Environmental and Scientific Affairs, Department of State.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

From 1 to 4 months.

### Appeals:

All determinations under this section are final and are not subject to arbitration or appeal.

### Renewals:

Agreement is renewable upon payment of a premium fee, if required, and completion of current Application for Guaranty Agreement.

### Formula and Matching Requirements:

Losses payable are generally limited to the market value of fish caught before seizure which were spoiled or confiscated, market value of fishing gear or vessel if confiscated, and up to 50 percent of gross income lost as a direct result of such seizures.

### Length and Time Phasing of Assistance:

From effective date of agreement for balance of fiscal year ending on September 30.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

19-5121-0-2-376.

### Obligations:

(Reimbursement of Losses) FY 07 \$500,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2005, no guaranty agreements were executed and no applications for participation in the fund were received. For fiscal year 2006, 10 guaranty agreements are projected.

### REGULATIONS, GUIDELINES, AND LITERATURE:

22 U.S.C 1971-77; 22 CFR 33, as amended.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Office of Marine Conservation, Bureau of Oceans and International Environmental and Scientific Affairs, Room 5806, Department of State, Washington, DC 20520-7818. Contact: Mr. Stetson Tinkham. Telephone: (202) 647-3941. Use the same number for FTS. FAX: (202) 736-7350.

### Web Site Address:

<http://www.state.gov>.

### RELATED PROGRAMS:

19.200, Claims Against Foreign Governments; 19.201, Protection of Ships From Foreign Seizure.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 19.300 PROGRAM FOR STUDY OF EASTERN EUROPE AND THE INDEPENDENT STATES OF THE FORMER SOVIET UNION

(Title VIII)

### FEDERAL AGENCY:

BUREAU OF INTELLIGENCE AND RESEARCH, DEPARTMENT OF STATE

### AUTHORIZATION:

Research and Training for Eastern Europe and the Independent States of the Former Soviet Union Act of 1983, Public Law 90-164, Title VIII, 97 Stat. 1948, as amended by Public Law 103-199.

### OBJECTIVES:

To sustain and strengthen American expertise on the independent states of the former Soviet Union and countries of Southeast Europe, by supporting graduate training; advanced research; public dissemination of research data, methods, and findings; contact and collaboration among Government and private specialists; and firsthand experience of these countries by American specialists, including on site conduct of advanced training and research.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

For grants to nonprofit organizations and institutions of higher education with interest and expertise in conducting research and training programs on the independent states of the former Soviet Union and Southeast Europe. These organizations act as intermediaries for the Federal funds by conducting their own national, open competitions to make awards at the graduate level and above to individual students, scholars or other institutions.

### Applicant Eligibility:

Applicants must be nonprofit organizations or institutions of higher education with an established track record in conducting research and training programs on the independent states of the former Soviet Union and countries of Southeast Europe. These organizations must run national programs of: advanced research; graduate training; language training; public dissemination of research data, methods, and findings; contact and collaboration among Government and private specialists; and/or firsthand experience of the area by U.S. specialists.

### Beneficiary Eligibility:

Graduate students, individual scholars, nonprofit organizations and institutions of higher education active in the study of the Independent States of the former Soviet Union and countries of Southeast Europe.

### Credentials/Documentation:

Applications must include vitae of professional staff.

### Preapplication Coordination:

Applicants may call the program office with specific questions in responding to the call for applications. There is no preapplication form or need for

preapplication conference. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The call for applications is published in the Federal Register. Applications must be prepared and submitted in 20 copies and on diskette in the form of a statement, the narrative part of which should not exceed 20 double-spaced pages. It must be accompanied by a one-page executive summary, a budget, and vitae of professional staff. Applications must be submitted to the program office by the competition deadline.

**Award Procedure:**

An Advisory Committee mandated by the legislation reviews the application and rates it according to its responsiveness to the call in proposing a national, competitive program; the organization's established track record in administering a research and training program; its mechanisms for sharing the cost of the program; how it intends to advertise its program to the broad constituency of scholars; how successfully an organization targets individuals most likely to make a career commitment to the study of the region; etc. The Committee makes funding recommendations to the Deputy Secretary of State for approval.

**Deadlines:**

Contact the program office for application deadline.

**Range of Approval/Disapproval Time:**

About 3 months following the deadline, the Advisory Committee will meet in public to evaluate applications and make funding recommendations. Assuming the program's funding is in place, the Advisory Committee will forward its recommendations to the Deputy Secretary of State who usually will act on them within one or two weeks. All applicants then are notified by mail regarding their funding status.

**Appeals:**

Not applicable.

**Renewals:**

Each competition is open and national; applicants are free to apply as often as they wish.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Grant recipients have about 3 years to spend their awards depending upon the appropriation legislation. Grant recipients draw down on the grant as needed by requesting funds through the State Department's Program Office.

**Reports:**

Grant recipients are required to provide quarterly Program Narrative and Cash Transaction Reports (SF-269) and Technical Performance Reports including a breakdown of expenditures by county and a semi-annual status of obligation reports (SF-270).

**Audits:**

In accordance with the provisions of OMB Circular No. A 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Grant recipients are required to keep standard accounting records for 3 years beyond the life of the grant.

**Account Identification:**

72-1093-0-1-150.

**Obligations:**

FY 07 \$4,200,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grants in fiscal year 2005 ranged from \$100,000 to \$1,107,000. Average of total awards was \$568,750.

**PROGRAM ACCOMPLISHMENTS:**

The fiscal year 2006 competition closed on January 11, 2006. The call for applications for fiscal year 2007 will be published in the Federal Register in November 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Current and past calls for applications, and lists of grant recipients are available from the program office and at the State Department website [www.state.gov/s/inr/grants](http://www.state.gov/s/inr/grants).

**Regional or Local Office:**

None.

**Headquarters Office:**

For program information, contact: Susie Baker, Program Officer, Title VIII Program (Program for the Study of Eastern Europe and the Independent States of the Former Soviet Union), INR/RES, Department of State, Room 2251, 2201 C Street, NW, Washington, DC 20520-6510. Telephone: (202) 736-4572. FAX: (202) 736-4851.

**Web Site Address:**

<http://www.state.gov/s/inr/grants>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Responsiveness to the substantive provisions set forth in the Call for Applications, Part II, Program Information; the professional qualifications of the applicant's key personnel and their experience conducting national competitive award programs of the type the applicant proposes for the study of Eastern Europe and the independent states of the former Soviet Union, and budget, and cost effectiveness.

**19.400 EDUCATIONAL EXCHANGE-GRADUATE STUDENTS**

(Fulbright Program)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To improve and strengthen international relations of the United States by promoting better mutual understanding among the peoples of the world through educational exchanges.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grants are designed to give U.S. students the opportunity to live and study in a foreign country for one academic year with possible renewals or extensions. Grants specify terms and conditions to meet the educational goals proposed by the grantee and approved by the J. William Fulbright Foreign Scholarship Board in making the award. Full grants: round trip transportation, tuition, books, maintenance for one academic year in one country, and health and accident insurance. Travel grants: the grants supplement maintenance and tuition scholarships granted to American students by universities, private donors, and foreign governments, which do not cover the cost of transportation.

**Applicant Eligibility:**

To individuals with the following qualifications: (a) U.S. citizenship at the time of application; (b) with certain exceptions, B.A. degree or its equivalent before the beginning date of the grant; (c) candidates may not hold a doctoral degree at the time of application; (d); preference will usually be given to candidates who have not had extensive recent experience in the country to which they are applying; (e) language proficiency sufficient to communicate with the people of the host country and to carry out the proposed study; (f) language proficiency is especially important for students wishing to undertake projects in the social sciences and the humanities; and (g) good health.

**Beneficiary Eligibility:**

U.S. citizens who are graduate students and who want to live and study in a foreign country for one academic year.

**Credentials/Documentation:**

See Applicant Eligibility.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants who are enrolled in U.S. colleges and universities should contact their Fulbright program advisers on campus. Others should contact the Institute of International Education (IIE): 809 United Nations Plaza, New York, NY 10017 ([www.iie.org](http://www.iie.org)).

**Award Procedure:**

The presidentially appointed J. William Fulbright, Foreign Scholarship Board, makes final selection of grantees.

**Deadlines:**

Competitions normally open on May 1. Enrolled applicants must submit applications to the campus Fulbright program adviser by the date set by him. At-large applicants must normally submit applications to the New York office of IIE by October 25. Note: Travel grants application deadline is October 25.

**Range of Approval/Disapproval Time:**

Variable.

**Appeals:**

None.

**Renewals:**

Extensions possible.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

One academic year.

**Reports:**

Reports by all academic grantees are required at the end of their grants.



**Audits:**

Not applicable.

**Records:**

As prescribed by grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$60,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,500 to \$45,400. Average: \$18,906 in FY 05.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual announcement: Fulbright U.S. Student Program, Grants for Graduate Study, Research, and Teaching, issued by Institute of International Education, 809 United Nations Plaza, New York, NY 10017. Guidelines are also available at [www.fulbrightonline.org](http://www.fulbrightonline.org).

**Regional or Local Office:**

See application procedure.

**Headquarters Office:**

Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**Web Site Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.401, Educational Exchange\_University Lecturers (Professors) and Research Scholars.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 19.401 EDUCATIONAL EXCHANGE-UNIVERSITY LECTURERS (PROFESSORS) AND RESEARCH SCHOLARS

(Fulbright-Hays Program)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To improve and strengthen the international relations of the United States by promoting mutual understanding among the peoples of the world through educational exchanges.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants for professors (university lecturers) and research scholars are for three months to a full academic year. Most are tenable in one country. The lectureships permit the grantees to lecture, usually serving as visiting professors in institutions of higher learning. The research grants offer opportunities for U.S. citizens to undertake postdoctoral research at overseas universities, colleges, and certain research centers and institutes. Grants specify terms and conditions to meet the educational goals proposed by the grantee and approved by the J. William Fulbright Foreign Scholarship Board in making the award. Individual grants generally include round-trip transportation for the grantee, and in some cases for one or two dependents, a maintenance allowance, and an allowance for travel, books and services essential to the assignment. Short-term grants also available. Visit [www.cies.org](http://www.cies.org).

**Applicant Eligibility:**

To individuals with the following qualifications: (1) U.S. citizenship at the time of application. (2) Foreign language proficiency, in some cases, for lecturing in certain countries, and for doing field-based research. (3) For lecturing: college or university teaching experience at the level for which application is made or equivalent professional standing in non-academic fields. (4) For research: a doctoral or terminal degree or, in some fields, recognized professional standing as demonstrated by faculty rank, publications, compositions, exhibition record, concerts, etc. Candidates for a doctorate and persons wishing to undertake other pre-doctoral professional training abroad should write to the Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**Beneficiary Eligibility:**

U.S. citizens who are educational professionals on the post graduate level, or able to lecture or conduct research in professional fields such as law, business, journalism, etc.

**Credentials/Documentation:**

See Applicant Eligibility.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Persons who meet the eligibility requirements and who wish to receive a catalog announcing openings (includes application forms) should contact the Council for International Exchange of Scholars, 3007 Tilden Street, NW, Suite 5L, Washington, DC 20008. Telephone: (202) 686-4000. This material is also available at [www.cies.org](http://www.cies.org). Applicants are encouraged to submit their proposals online. Information may also be obtained from U.S. college and university campus contacts.

**Award Procedure:**

Applications are reviewed by multidisciplinary peer review committees convened by CIES to screen applicants and to recommend candidates. Binational Fulbright Commissions or the Public Affairs Sections of U.S. Embassies abroad, together with prospective host institutions, review CIES-recommended candidates. The presidentially-appointed J. William Fulbright Foreign Scholarship Board makes final selection of grantees.

**Deadlines:**

Subject to change, but generally applications are to be submitted by August 1; May 1, November 1, and February 1 for a small number of specialized positions.

Major deadlines can be waived under very special circumstances such as an inadequate number of sufficiently qualified candidates for specific awards. After deadlines, applicants should contact CIES to determine availability of awards.

**Range of Approval/Disapproval Time:**

Applicants are notified promptly if they are ineligible. Final notification of selection for an opening occurs in 6 to 9 months.

**Appeals:**

Not applicable.

**Renewals:**

Extensions considered where appropriate.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to 1 academic year.

**Reports:**

Reports by all grantees are required at the end of their grant period.

**Audits:**

Under the total audit concept, audits will be made on an organization-wide basis (rather than grant- by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:**

None.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$43,550,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,500 to \$80,000. Average: \$28,000 in FY05.

**PROGRAM ACCOMPLISHMENTS:**

In FY05, approximately 820 grants were awarded in the traditional Fulbright Scholar Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual announcement: Fulbright Scholar Program: Grants for U.S. Faculty and Professionals issued by Council for International Exchange of Scholars, 3007 Tilden Street, NW, Suite 5L, Washington, DC 20008. Guidelines are also available at [www.cies.org](http://www.cies.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Council For International Exchange of Scholars, 3007 Tilden Street, NW., Suite 5M, Washington, DC 20008.

**Web Site Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.400, Educational Exchange\_Graduate Students.

**EXAMPLES OF FUNDED PROJECTS:**

Projects were funded: 1) Secularism, Islam and Nonviolence: Discussing Jihad and Pluralism in a Contemporary Muslim Society (Indonesia); 2) Peace building in Africa: Women as Partners for Peace (Uganda); and 3) Marine Resource Management in Tropical Environments (Nicaragua).

**CRITERIA FOR SELECTING PROPOSALS:**

1) Is proposal feasible and practical. 2) Is proposal responsive to Fulbright priorities of international collaboration and increased mutual understanding. 3) Applicant's professional qualifications and likelihood for effectiveness as a lecturer/researcher abroad. 4) Anticipated contribution of the results of the proposed project to the applicant's field, and plans for their dissemination in the U.S. and abroad upon return.

## 19.402 INTERNATIONAL VISITORS PROGRAM

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451, et seq.

**OBJECTIVES:**

To improve and strengthen the international relations of the United States by promoting mutual understanding among the peoples of the world through professional and educational exchanges.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding for nonprofit organizations to support their work in planning, organizing and directing programs of travel, observation, consultation, study and practical experience for foreign visitors from countries throughout the world selected and assigned by the Department. Programs are intended to bring U.S. embassy selected international visitors into contact with influential Americans and representative organizations and institutions across the United States, with the intention of increasing communication and mutual understanding between the people of the United States and the people of other countries. Recipients are responsible for insuring that programs are balanced, nonpolitical, non-partisan, and representative of the diversity of American political, social, and cultural life.

The Bureau of Educational and Cultural Affairs seeks balance and diversity in terms of itinerary, geography and community-size; the range of opinions to which visitors are exposed; the professional backgrounds of those commenting on the issues; the ethnic, socio-economic and age diversity of the American people; and other factors which may be of particular relevance to the particular subject or particular visitor(s) for whom programming is being arranged.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Credentials/Documentation:**

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Announcements are made in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to Department of State's website: <http://e.usia.gov/education>.

**Award Procedure:**

Final selection of grantees is made by the Assistant Secretary for Educational and Cultural Affairs on recommendation of an Advisory Committee made up of senior Department staff experienced in international exchanges.

**Deadlines:**

As set out in Federal Register announcements.

**Range of Approval/Disapproval Time:**

From 6 weeks to 2 months from deadline.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Cost sharing-requirements set out Federal Register announcement.

**Length and Time Phasing of Assistance:**

As set out in Federal Register announcements.

**Reports:**

Financial and Program Reports are required.

**Audits:**

Audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions.

**Records:**

None.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$11,360,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$137,000 to \$4,690,000. Average: \$1420,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Announcements; requests for proposals listed on website: <http://www.exchanges.state.gov/education>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of State, Bureau of Educational and Cultural Affairs, Office of International Visitors, Community Relations Branch, Room 255, 301 4th Street, SW., Washington, DC 20547. Contact: Nan P. Bell or William Wellman.

Telephone: (202) 452-8624. Email: [bellnpj@state.gov](mailto:bellnpj@state.gov) or [wellmanwm@state.gov](mailto:wellmanwm@state.gov).

**Web Site Address:**

<http://www.exchanges.state.gov/education>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Vary.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of program idea; Program planning; Ability to achieve project objectives; Multiplier effect/impact; Support of diversity; International capacity; Institution's record/ability; Cost-effectiveness; and Cost-Sharing.

**19.403 AMERICAN COUNCIL OF YOUNG POLITICAL LEADERS**

(ACYPL)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To enable emerging political leaders in the U.S. to experience firsthand the political and cultural dynamics of other countries; to offer politically active young people in other countries a similar experience in the United States.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant supports partial costs of travel, insurance, program activities, and orientation. Program alumni participate in arranging programming for visiting delegations.

**Applicant Eligibility:**

Private nonprofit institution/organization. The ACYPL conducts two-way exchanges of young political leaders with many countries. The programs are generally for 2 weeks.

**Beneficiary Eligibility:**

Individuals who participate in the program will benefit.

**Credentials/Documentation:**

American participant nominations are solicited annually from State legislative leaders, governors, political party officials, alumni, ACYPL members/trustees, and co-sponsors. Selection is made by a Delegate Selection Committee with Democratic and Republican co-chairs. Delegates must be aged 25- 40 and generally include State and local elected officials as well as staff and party activists. The objective is political, geographic, ethnic/racial, and gender diversity that reflects the pluralistic nature of American society. Foreign delegates are selected by ACYPL partner organizations in conjunction with American Embassy officers.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The State Department solicits a proposal from ACYPL annually based on the level of appropriated funds available. A portion of the funding may be competed from one year to the next.

**Award Procedure:**

Funding decisions are at the discretion of the Assistant Secretary for Educational and Cultural Affairs and based on the advice of a panel of Bureau reviewers and various State offices. Final technical authority resides with the Grants Division.

**Deadlines:**

The deadline for submission of a proposal is established in the request for proposals or letter of solicitation.

**Range of Approval/Disapproval Time:**

Decisions are generally made within 3 months of the submission of proposals, subject to the availability and timing of funding.

**Appeals:**

None.

**Renewals:**

At the Bureau's discretion, in a given year ACYPL may be invited to submit a

renewal proposal.

**Formula and Matching Requirements:**

ACYPL raises 50 percent of its operating budget from sources other than the government.

**Length and Time Phasing of Assistance:**

The grant is generally awarded for a 12-month period.

**Reports:**

Quarterly program and financial reports are required.

**Audits:**

All ECA grants are subject to OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As prescribed by grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$890,098; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

One grant per year.

**PROGRAM ACCOMPLISHMENTS:**

ACYPL's 2005 program involves 30 country projects involving 270 participants, including exchanges with countries with significant Muslim populations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for grants are distributed in conjunction with the request for proposals/letter of solicitation; OMB Circulars.

**Regional or Local Office:**

American Council of Young Political Leaders, 1612 K Street, NW., Suite 300, Washington, DC 20006. Telephone: (202) 857-0999.

**Headquarters Office:**

Shalita Jones, Youth Programs Division (ECA/PE/C/PY), Office of Citizen Exchanges, Bureau of Educational and Cultural Affairs, 301 4th Street, SW., Washington, DC 20547. Telephone: (202) 203-7507. Fax: (202) 203-7529.

**Web Site Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.415, Professional Exchanges Annual Open Grant.

**EXAMPLES OF FUNDED PROJECTS:**

ACYPL conducts mainly bilateral delegation projects (e.g., US to Indonesia, Moroccans to the US), generally 2 weeks in length.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for judging proposals include quality of the proposed activities and planning, track record, institutional capacity to take on additional work, cost-effectiveness and cost-sharing, attention to diversity goals, value to U.S. foreign policy objectives, and the quality of the evaluation plan.

## 19.408 EDUCATIONAL EXCHANGE-TEACHERS FROM SECONDARY AND POSTSECONDARY LEVELS AND SCHOOL ADMINISTRATORS

(Fulbright Program Teacher and Administrator Program)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To improve and strengthen international relations of the United States by promoting mutual understanding among the peoples of the world through educational exchanges.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Fulbright Teacher Exchange Program (ECA/A/S/X) provides opportunities for teachers, administrators and other school or college faculty to participate in direct exchanges of positions or in non-symmetrical programs for six weeks, a semester or a year. For semester and academic year exchanges, educators usually receive leave with pay and benefits from their respective university/college/school authorities. U.S. educators teach in all fields, including foreign languages. Other programs bring educators from targeted countries and regions to the U.S. on shorter professional development programs under grants administered by U.S. non-profit organizations and universities. Most grants include round trip transportation and health and accident insurance.

**Applicant Eligibility:**

(a) Hold at least a Bachelor's degree; (b) be a U.S. citizen fluent in English at the

time of application; (c) have a current full-time teaching or administrative assignment in the U.S. or one of its territories; (d) be in at least the third year of full-time teaching or administration (teachers applying to the Classics Seminar only need to be in their second full-year; (e) have not participated in a Fulbright Teacher Exchange longer than 8 weeks in the last 2 years (there is no required waiting period for teachers who have participated in exchanges of 8 weeks or less).

**Beneficiary Eligibility:**

U.S. and foreign teachers and administrators who want to live and study in a foreign country for 6 weeks, a semester, or an academic year.

**Credentials/Documentation:**

Documentation of educational qualifications and language proficiency may be required.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

U.S. educators apply through a nation-wide open competition for the Fulbright Program. Seventy Peer Review Committees screen applications and conduct personal interviews. U.S. Embassies, Fulbright Commissions, or counterpart agencies screen and nominate foreign educators. The Office of Global Educational Programs and counterpart staffs abroad arrange the pairing of U.S. and foreign educators and supervise the foreign educators while on assignment. U.S. non-profit organizations, including colleges and universities, apply to the Office for grants to administer shorter-term U.S. based programs for educators from targeted countries or regions.

**Award Procedure:**

Final selection of grantees is made by the Presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Outreach and recruitment efforts are ongoing all year. Applications are available in March. The application is available on the internet: [www.fulbrightexchanges.org](http://www.fulbrightexchanges.org).

**Range of Approval/Disapproval Time:**

Variable.

**Appeals:**

None.

**Renewals:**

Extensions are considered on exceptional occasions.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

From two weeks, to an academic year.

**Reports:**

Reports by all academic grantees are required at the end of their grants.

**Audits:**

Not applicable.

**Records:**

As prescribed by grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$12,390,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,000 to \$27,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The USDA Graduate School issues application booklets for the Fulbright Teacher Exchange Program on behalf of the Office of Global Educational Programs. Contact: Fulbright Teacher Exchange Program, 600 Maryland Avenue, SW., Washington DC 20024. Telephone: (202) 314-3520. Fax: (202) 479-6806. E-mail: [fulbright@grad.usda.gov](mailto:fulbright@grad.usda.gov). Website: [www.fulbrightexchanges.org](http://www.fulbrightexchanges.org) For institutional grants, refer to the Federal Register.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of State, ECA/A/S/X, Fulbright Teacher and Administrator Exchange Branch, SA-44, 301 4th Street SW., Washington DC, 20547. Program Contact: Ruta Chagnon. Telephone: (202) 453-8645. Fax: (202) 453-8890. E-mail: [chagnonrx@state.gov](mailto:chagnonrx@state.gov).

**Web Site Address:**

[www.fulbrightexchanges.org](http://www.fulbrightexchanges.org).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 19.409 ARTS EXCHANGES ON INTERNATIONAL ISSUES



**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended; 22 U.S.C. 2451, et seq.

**OBJECTIVES:**

The Arts Exchanges on International Issues Program is only open to non-profit arts, cultural and educational organizations. The program works with nonprofit organizations to develop cooperative international group projects that introduce American and foreign participants to each other's cultural and artistic life and traditions. Our projects emphasize the relationship between the arts and broader social and diplomacy issues. We seek organizations that have a disciplinary expertise in the arts as well as broad outreach and networking capabilities with American artists.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

International projects in the United States or overseas may involve an international exchange of composers, choreographers, playwrights, theater designers, writers and poets, filmmakers, arts administrators and visual artists. Projects should involve our posts worldwide to carry out activities supportive of the Department of State's mission to increase mutual understanding between the United States and other countries and to promote international cooperation in educational and cultural fields. Ineligible proposals would include those focusing on: sending students, other youth or individual artists overseas, speaking tours, research projects, the exchange of amateurs or semi-professionals, community-level arts presentations or vocational and technical long-term academic study programs.

**Applicant Eligibility:**

Applicants must be public or nonprofit organizations that demonstrate disciplinary expertise in the arts and meet the provisions described in IRS regulation 501 (3). Organizations must have 4 years of experience in exchange to qualify for grants of more than \$60,000.

**Beneficiary Eligibility:**

Individual participants must be professional artists and arts administrators over the age of 25. There is no age limit for participants. Some exchanges require participants to have a minimum level of English language ability.

**Credentials/Documentation:**

Specific criteria for the selection of individual participants is determined by the grantee organization in conjunction with the Department of State program officer.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For open competitions, the request for proposals is published in the Federal Register.

**Award Procedure:**

Funding decisions are at the discretion of the The Department of State's Bureau of Educational And Cultural Affairs and are based on the advice of a panel of Department reviewers and various Department officers. Final technical authority resides with the Bureau's Grants Division.

**Deadlines:**

Deadlines for submission of proposals are established in the request for proposals or letters of solicitation.

**Range of Approval/Disapproval Time:**

Decisions are generally made within 3 months of the submission of proposals, subject to the availability and timing of funding.

**Appeals:**

None.

**Renewals:**

Renewal grants for several of our long-term projects have been awarded in the past, in order to build on existing successful projects.

**Formula and Matching Requirements:**

Usually a 30 percent cost-share is requested from grantee organizations.

**Length and Time Phasing of Assistance:**

Awards range in length from 12 to 36 months.

**Reports:**

Quarterly program and financial reports are required.

**Audits:**

All grants are subject to OMB Circular A-133 audits.

**Records:**

As prescribed by USIA in grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$1,000,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$60,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of State regulations governing exchange visitor (J-1) programs. Guidelines for grants are distributed in conjunction with the request for proposals/letter of solicitation.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Jill Staggs, Creative Arts Exchanges Program, Office of Citizen Exchanges, Bureau of Educational and Cultural Affairs, Department of State, 301 4th Street SW., Washington DC 20547. Telephone: (202) 203-7500.

**Web Site Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Previous grantee organizations and examples of projects are available from the program office.

**CRITERIA FOR SELECTING PROPOSALS:**

Programmatic planning, project objectives and quality; organization's capacity and track record; support for diversity; expertise; cost-effectiveness; project evaluation plan; value to US-partner country relations; cost-sharing; and multiplier effect.

**19.410 EDUCATIONAL EXCHANGE-CONGRESS-BUNDESTAG YOUTH EXCHANGE****FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451, et seq.

**OBJECTIVES:**

Established in 1983 to honor 300 years of German settlements in America. Goals are: To foster interaction between young people from the U.S. and Germany to promote mutual understanding; to foster close ties between Germany and the US.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

CBYX is a reciprocal exchange of U.S. and German young people, three quarters of whom are high school students and one quarter are practical trainees. Annual grants are awarded to American private nonprofit organizations for administering the CBYX American selection process and for placement and monitoring of participating students. The German Government provides grants simultaneously to the German partners of the American organizations. Grants support the costs of travel, insurance, enhancement activities, orientation, selection, and administration.

**Applicant Eligibility:**

Organizations must be incorporated not-for-profit and have 4 years of experience in exchanges to qualify for grants of more than \$60,000. For the grants to place and monitor year program participants, experience conducting academic year high school exchanges is required. Each U.S. organization must have a German partner that meets the German eligibility requirements. The organization providing overall administration and recruitment/selection must have experience administering a national competition.

**Beneficiary Eligibility:**

There are certain selection criteria (e.g., age, language ability, social skills, academic achievement) for American applicants. Similar criteria are applied by the German side in its selection, with the added layer of the recommendation of an individual Bundestag member.

**Credentials/Documentation:**

Applicants for participation in the exchange are required to have proof of citizenship or permanent residency, and proof of academic standing. They fill out application forms and submit to interviews during semi-finalist screening.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An open competition for all components is conducted every 4 years; for placement grants, either an open competition or a limited solicitation is used. For open competitions, the request for proposals is published in the Federal Register.

**Award Procedure:**

Funding decisions are at the discretion of the Assistant Secretary for Educational and Cultural Affairs and are based on the advice of a panel of State reviewers and various offices. Final technical authority resides with the Grants Division.

**Deadlines:**

Deadlines for submission of proposals are established in the request for proposals or letters of solicitation. Most solicitations are offered in the fall with proposals due by the end of the calendar year. The open competition for the 4-year cycle commencing in 2005 was announced on October 3, 2003. The deadline for proposals was November 7, 2003. Organizations were selected for

grant awards beginning FY 2005 and eligible for renewal grants through FY 2008.

**Range of Approval/Disapproval Time:**

Decisions are generally made within 3 months of the submission of proposals, subject to the availability and timing of funding.

**Appeals:**

None.

**Renewals:**

Grantee organizations are eligible for renewal grants in the years between open competitions, providing they maintain a good track record.

**Formula and Matching Requirements:**

Formula and matching requirements: Some cost-sharing is desirable but there is no minimum percentage.

**Length and Time Phasing of Assistance:**

Grants are generally awarded for an 18-month period.

**Reports:**

Quarterly program and financial reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As prescribed by grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$3,256,000; and FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grants for the high school student component are each for 50 U.S. and 50 German students. The young professionals component is for 75 U.S. and 100 German participants. The vocational students component is for 25 participants.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

State regulations governing exchange visitor (J-1) programs for high school students. Guidelines for grants are distributed in conjunction with the request for proposals/letter of solicitation.

**Regional or Local Office:**

The high school component is administered by five nonprofit organizations. The Young Professionals Component is administered by CDS International, 330 Seventh Ave., New York, NY 10001. Telephone: (212) 497-3509. The vocational component is administered by Nacel/Open Door, 3410 Federal Drive, Suite 101, St. Paul, MN 55122. Telephone: (651) 686-0080.

**Headquarters Office:**

Youth Programs Division (ECA/PE/C/PY), Office of Citizen Exchanges, Bureau of Educational and Cultural Affairs, 301 4th Street SW., Washington DC 20547. Contact: Shalita Jones. Telephone: (202)203-7507. Fax: (202) 203-7529.

**Web Site Address:**

<http://usagermanyscholarships.org>.

**RELATED PROGRAMS:**

19.411, Educational Exchange\_NIS Secondary School Initiative.

**EXAMPLES OF FUNDED PROJECTS:**

A list of grantee organizations is available from the State Department program office.

**CRITERIA FOR SELECTING PROPOSALS:**

Programmatic planning, objectives, and quality; organization capacity and track record; support for diversity; cost-effectiveness; project evaluation plan; value to US- partner country relations; multiplier effect.

## 19.415 PROFESSIONAL EXCHANGES-ANNUAL OPEN GRANT

(Office of Citizen Exchanges)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To foster, improve, and strengthen international relations of the United States by promoting mutual understanding among the peoples of the world through educational and professional exchanges.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Office of Citizen Exchanges develops international exchange grant projects

with nonprofit American institutions including voluntary community organizations, professional associations, and universities. The program involves thousands of American and foreign visitors who take part in exchanges at the grassroots level both in the U.S. and overseas. Professional programs are based on competition, substantive rigor and cross-cultural sensitivity. Primary objectives include development of institutional links which live beyond the duration of State Department funding support; creation of consortia, associations and information networks; transfer of useful information overseas; development of internships and extended learning programs; expansion of international awareness and programming among U.S. nonprofit institutions and the introduction of ideas which may contribute to the solution of long-term international problems among others.

**Applicant Eligibility:**

To public and private nonprofit organizations meeting the provisions described in IRS regulation 26CFR 1.501(c).

**Beneficiary Eligibility:**

U.S. citizens and foreign nationals.

**Credentials/Documentation:**

To public and private nonprofit organizations meeting the provisions described in IRS regulation 26CFR 1.501(c).

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This competition is advertised in the Federal Register annually. Interested applicants should read the complete Federal Register announcement before addressing inquiries to the Office of Citizen Exchanges.

**Award Procedure:**

Following a thorough review and independent paneling of all technically eligible proposals, and based on recommendations by various State Department offices, funding decisions are made by the Assistant Secretary for Educational and Cultural Affairs.

**Deadlines:**

Per announcement in Federal Register.

**Range of Approval/Disapproval Time:**

Four months after closing date.

**Appeals:**

None.

**Renewals:**

Extensions considered where appropriate.

**Formula and Matching Requirements:**

All proposals should maximize cost sharing through private sector support, as well as institutional direct funding contributions.

**Length and Time Phasing of Assistance:**

Varies.

**Reports:**

Financial and program reports are required at the end of the grant period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As prescribed by grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$7,050,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Under \$150,000. Organizations with less than 4 years' successful experience in managing international exchange programs are limited to grants of \$60,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual announcement published in the Federal Register.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of State, Office of Citizen Exchanges, Bureau of Educational and Cultural Affairs, 301 4th Street, SW., Room 220, Washington, DC 20547. Telephone: (202) 619-5348. Fax: (202) 619-4350. NEW PHONE AND FAX NUMBERS: Telephone: (202) 453-8181. Fax: (202) 453-8168.

**Web Site Address:**

<http://exchanges.state.gov/education/citizens/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

To comply with goals and objectives outlined in Federal Register announcement and compatibility with office objectives stated previously.

**19.418 EDUCATIONAL EXCHANGE, AMERICAN STUDIES INSTITUTE**

(Study of the U.S. Program-Office of Academic Exchange Programs)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451.

**OBJECTIVES:**

To provide faculty and other professional participants with a deeper understanding of American society, culture and institutions, past and present, in order to improve courses and teaching about the United States abroad. To provide student participants an introduction to American society and values, including principles of leadership, team building and volunteerism.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Through an integrated series of lectures, readings, interactive discussions, research and independent study opportunities, and site visits, the 6-week American Studies Institutes provide participants with a multi-dimensional view of the U.S. Host institutions are responsible for institute design and implementation, and all logistical aspects of the program, including: lodging and subsistence; books and materials; allowances; and transportation.

**Applicant Eligibility:**

Accredited colleges, universities, consortia of colleges and universities, and other not-for-profit academic organizations that have an established reputation in American studies and related disciplines, and that can demonstrate expertise in conducting post-graduate level programs for foreign educators, or undergraduate level programs for foreign students are eligible to apply. Applicant institutions must have a minimum of four years' experience in conducting international exchange programs. Proposals from consortia may be submitted by a member institution with documented authority to represent all members. The project director or one of the key program staff responsible for the academic program must have an advanced degree in American studies or a related discipline.

**Beneficiary Eligibility:**

Participants should be highly-motivated and experienced foreign university faculty, including: teachers; teacher trainers; administrators; department chairs; and, curriculum developers and textbook writers and other professionals with government or NGOs in a position to have an impact. They will have demonstrated an ability and desire to include aspects of American civilization in their teaching and professional work in their home countries. Participants must be nominated by a U.S. Embassy or Consulate, or by a Fulbright Commission.

**Credentials/Documentation:**

See eligibility requirements above.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial proposals are generally solicited through open competition, and only occasionally through sole-source or limited solicitations.

**Award Procedure:**

Proposals are analyzed by the Study of the U.S. Branch, and are reviewed by an impartial panel of senior Department of State officers. Final funding decisions are at the discretion of the Assistant Secretary of State for Public Diplomacy at the U.S. Department of State. Final technical authority rests with the Grants Division of the Office of the Executive Director.

**Deadlines:**

Deadline dates are specified in the requests for proposals (RFP's) or in the letter of solicitation.

**Range of Approval/Disapproval Time:**

Grant decisions are usually complete within three months of the due date of the proposals.

**Appeals:**

Not applicable.

**Renewals:**

Based on host institution performance and demand for the program among the overseas audience, applicants may be asked to submit renewal proposals for up to two years following the initial award.

**Formula and Matching Requirements:**

Cost-sharing is strongly encouraged, although there is no minimum requirement.

**Length and Time Phasing of Assistance:**

Cooperative agreements are usually for periods of 6 to 8 months.

**Reports:**

Interim and final program and budget reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$3,200,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$260,000 to \$385,000. Average: \$322,500.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Calls for proposals, including guidelines, are published in the Federal Register, the Chronicle of Higher Education, and posted on the internet.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of State, ECA/A/E/USS - Study of the U.S. Branch, Attention: (until July 31, 2006) Robert C. Schmidt, Room 314 - State Annex 44, 301 4th Street, SW, Washington, DC, 20547. Telephone: (202) 453-8538. FAX: 202-453-8533. E-mail: schmidtrc@state.gov; (after July 31, 2006) Sheila Casey, Telephone: (202) 453-8536. Fax: (202) 453-8533. E-mail: CaseySD@state.gov.

**Web Site Address:**

<http://exchanges.state.gov/education/amstudy>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

American Studies Institute on National Security at UC/San Diego; American Studies Institute on U.S. Politics and Political Thought at the University of Massachusetts/Amherst; American Studies Institute on the Civilization of the U.S. at New York University.

**CRITERIA FOR SELECTING PROPOSALS:**

Overall quality; program planning; institutional capacity; diversity; experience with foreign educators; evaluation and follow-up; administration and management; and, cost effectiveness.

**19.421 EXCHANGE-ENGLISH LANGUAGE FELLOW PROGRAM**

(English Language Programs)

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

The English Language Fellow Program places American citizens holding advanced degrees in Teaching English as a Foreign Language (TEFL) or Teaching English as a Second Language (TESL) or Applied Linguistics who have teacher training and/or materials development experience and also places graduates with recent TEFL/TESL Master's degrees in all regions of the world at universities, teacher-training institutions, ministries of education, bi-national centers and other related language education institutions for ten-month assignments. The objectives of the program are to enhance English teaching capacity overseas in order to provide foreign teachers and students with communication skills they will need to participate in the global economy, to improve their access to diverse perspectives on a broad variety of issues, and to give them information that will better enable them to understand and convey concepts about American values, democratic representative government, free enterprise, and the rule of law. The Department of State, Bureau of Educational Affairs Exchanges Appropriation funds the program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Individual grants are awarded at two levels: 1) English Language Fellows are teachers who have received their M.A. degrees within the last seven years. They serve as full time teachers of English as a foreign language while gaining international teaching experience. They may teach up to 20 classroom hours of English per a week and also participate in or organize additional activities such as curriculum and materials development and in-service training workshops and seminars. 2) Senior Fellows are experienced TEFL/TESL professionals, preferably with overseas teaching experience, who engage in teacher training



and participate in broad-reaching activities such as designing curricula, organizing and conducting workshops and seminars, conducting program evaluation, needs analysis and teaching English for Specific Purposes (ESP). All applicants for EL Fellow positions have a history of working with international exchanges, strong cross cultural experience and management expertise and are placed in host countries at local ministries of education, universities, teacher training institutions and other ESL educational institutions. Program agency grants, specifying terms and conditions to meet the program goals are recommended by a grant review panel and approved by the Bureau of Educational and Cultural Affairs before award. Individual Fellow grants, administered by the program grantee organization, include basic stipend, round trip transportation, living allowance, medical insurance, miscellaneous and book allowances.

**Applicant Eligibility:**

Individuals with the following qualifications: (1) United States citizenship. (2) Senior Fellows must have a Master's degree or higher in TESL/TEFL, Applied Linguistics or a closely related field and have previous overseas teaching experience. (3) Fellows must have received a Master's degree in TESL/TEFL within the last seven years.

**Beneficiary Eligibility:**

U.S. citizens who are willing to teach for 10 months overseas according to the needs of the overseas host institution as requested by a U.S. embassy.

**Credentials/Documentation:**

Individuals with the following qualifications: (1) U.S. citizenship at the time of application; and (2) M.A. or Ph.D. degree and experience in TESL/TEFL or a closely related field.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Persons who meet the eligibility requirements and who wish to receive information and an application form should contact Georgetown University, Center for Intercultural Education and Development, P.O. Box 579400, Washington, DC 20057-9400. Telephone: (202) 687-6339, elf@georgetown.edu.

**Award Procedure:**

The Bureau of Educational and Cultural Affairs selects the grantee program agency. Overseas embassies and host institutions make final selections of individuals.

**Deadlines:**

Subject to change, but generally applications are to be submitted by April 15. Deadlines can be waived under very special circumstances such as an inadequate number of qualified candidates for specific awards. After deadlines, applicants should contact the Bureau of Educational and Cultural Affairs to determine the availability of awards.

**Range of Approval/Disapproval Time:**

Applicants are notified promptly if they are ineligible. Final notification of selection for an opening occurs in 3 to 5 months.

**Appeals:**

Not applicable.

**Renewals:**

Extensions are granted for an additional year in the same country. Extensions beyond 2 years must be requested and approved by the Bureau of Educational and Cultural Affairs.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Up to 1 academic year.

**Reports:**

Grantee agency provides quarterly statistics and program reports and a final evaluation report by September 30 of the grant year. Individuals provide mid year and final reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in OMB Circular No. A-133.

**Records:**

None.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$6,800,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$55,000 to \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, the English Language Fellow Program awarded 100 individual grants to qualified teachers of TEFL/TESL to teach in 63 countries. In

fiscal year 2006, approximately 112 individual grants will be awarded. This program enables grantees, teachers of English as a foreign/second language, to acquire overseas teaching experience while providing the host institutions with professional expertise in current theories and methods of teaching and learning English as a foreign or second language. Fellows have provided specially designed courses for targeted high level groups such as members of parliaments and their staff, judiciary officials, and leading finance and business officials.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual announcements for recruitment of applicants for the English Language Fellow Program are placed at the annual Teachers of English to Speakers of Other Language Convention's employee clearinghouse service on TESL/TEFL websites/listservs, and by direct mailings to TESL/TEFL professional preparation programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Georgetown University, Center for Intercultural Education and Development, P.O. Box 579400, Washington, DC 20057-9400. Telephone: (202) 687-6339.

**Web Site Address:**

<http://exchanges.state.gov/education/engteaching/fellows.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Fellows teach English language skills/techniques, American culture, English for Specific Purposes (ESP) in fields such as journalism, economics, banking, tourism, business/management, and law, train teachers of English, and develop curriculum. They arrange and conduct conferences, workshops, and seminars, and work with ministries of education and work in communities assisting the local educational institutions to develop and maintain teaching and learning resource centers. They also facilitate the establishment of NGO teachers associations and organizations.

**CRITERIA FOR SELECTING PROPOSALS:**

- 1) The extent to which the proposal is feasible, practical and cost-effective; and
- 2) the extent to which the proposal is responsive to ESL/EFL language priorities and objectives.

**19.423 EXCHANGE-ENGLISH LANGUAGE SPECIALIST/SPEAKER PROGRAM**

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To improve the teaching and learning of English around the globe through short-term (up to 6 weeks) projects. Projects include curriculum evaluation and development, teacher training seminars, textbook development, program evaluation, and English for Specific Purposes (ESP). The program supports U.S.A. Embassy mission goals to improve mutual understanding of U.S. society and its institutions, to promote democratic institution building, and to assist participants to become active citizens of an international civil society.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants awarded to U.S. academics with degrees in Teaching English as a Foreign Language/ Second Language (TEFL/TESL), Applied Linguistics, or a related field. Applicants must have teacher training experience and preferably overseas teaching experience. Grants specify terms and conditions to meet the educational goals proposed by the requesting U.S. Embassy. Individual grants generally include international round-trip coach-class airfare for the grantees, visa, a materials allowance, a \$100 final report payment, and honorarium of U.S. \$200 per day. Expenses in the host country for domestic travel, food, and lodging are covered by the requesting U.S. Embassy in conjunction with the hosting institutions. The Bureau provides medical insurance for the duration of the program.

**Applicant Eligibility:**

Individuals with the following qualifications: (1) U.S. citizenship at the time of application; and (2) M.A. or Ph.D. degree and experience in TESL/TEFL or a closely related field.

**Beneficiary Eligibility:**

U.S. citizens who are willing to conduct workshops, seminars, deliver lectures and provide consultation services in areas related to teaching and learning English as a foreign language for periods up to 6 weeks to meet the needs of the overseas host institution.

**Credentials/Documentation:**

Individuals with the following qualifications: (1) U.S. citizenship at the time of application; and (2) M.A. or Ph.D. degree and experience in TESL/TEFL or a closely related field.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Persons who meet the eligibility requirements and who wish to receive information and be considered for a grant should contact Julia Walters, Programs Officer, Department of State, Bureau of Educational and Cultural Affairs, Office of English Language Programs, 301 4th Street, SW., Washington, DC 20547. Telephone: (303) 205-3636. Fax: 202-401-1250. Email: WaltersJL@state.gov. Web Site address: <http://exchanges.state.gov/education/engteaching/specialists.htm>.

**Award Procedure:**

Final selection and approval of grantees are made by the Bureau of Educational and Cultural Affairs.

**Deadlines:**

Recruitment is continual, depending on requests from U.S. Embassies and their constituent host institutions in the country.

**Range of Approval/Disapproval Time:**

Applicants' information is entered into the data base of English Language Specialists and Speakers who are contacted whenever the needs arise.

**Appeals:**

Not applicable.

**Renewals:**

Specialists are eligible for projects and programs as their skills are needed or requested by U.S. Embassies. Normally, one participant is given only two assignments per academic year.

**Formula and Matching Requirements:**

This program has no statutory formula requirements.

**Length and Time Phasing of Assistance:**

Up to two projects per academic year; each project for a period of 2 to 6 weeks.

**Reports:**

Grantee must provide a trip or project report within 30 days of completion of the program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in OMB Circular No. A-133.

**Records:**

None.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$600,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,500 to \$9,000. Average: \$5,500.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Advertisement at the annual Teachers of English to Speakers of Other Languages, Inc. Conference for recruitment of applicants for the English Language Specialist/Speaker Program. Further information can be found on the Office of English Language Programs website: <http://exchanges.state.gov/education/engteaching/specialists.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Julia Walters, Programs Officer, Department of State, Bureau of Educational and Cultural Affairs, Office of English Language Programs, 301 4th Street, SW., Washington, DC 20547. Telephone: (303) 205-3636. Fax: (202) 401-1250. Email: WaltersJL@state.gov.

**Web Site Address:**

<http://exchanges.state.gov/education/engteaching/specialists.htm>

**RELATED PROGRAMS:**

19421, Exchange English Language Fellow Program.

**EXAMPLES OF FUNDED PROJECTS:**

In the United Arab Emirates and Oman, a specialist delivered plenaries at major conferences in those two countries discussing testing and curriculum design giving recommendations for language instruction improvement within tightly controlled national English language curriculums. In Panama, a specialist performed a needs assessment for the Panamanian Ministry of Education to determine requirements and resources available for teaching English to all Panamanian students ages 4 through 6 grade. In Thailand and Laos, a specialist delivered plenary addresses at the Thai TESOL Convention in Bangkok, Thailand; the Lao TESOL Conference in Vientiane, Laos; and the Post Thai TESOL Convention in Khon Kaen, Thailand.

**CRITERIA FOR SELECTING PROPOSALS:**

1) The credentials of the English Language Specialist or Speaker to meet the requests from U.S. Embassies and their constituent host institutions.

## 19.425 BENJAMIN GILMAN INTERNATIONAL SCHOLARSHIP

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, Public Law 87-256, as amended. The International Academic Opportunity Act of 2000.

**OBJECTIVES:**

To provide financial assistance to U.S. citizen undergraduates to pursue study abroad.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

To promote mutual understanding between the United States and other countries through scholarships for U.S. undergraduates with financial need to study abroad.

**Applicant Eligibility:**

U.S. citizen, enrolled as undergraduates and receiving a Pell Grant.

**Beneficiary Eligibility:**

Student/Trainee.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Scholarships announced by IIE through newsletters, e-mail, websites, and other appropriate means. Applications must be submitted to IIE.

**Award Procedure:**

Selection panel chooses scholarship recipients.

**Deadlines:**

Contact the Headquarters Office listed below.

**Range of Approval/Disapproval Time:**

1 month.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Financial need; Pell grant.

**Length and Time Phasing of Assistance:**

One semester or one academic year.

**Reports:**

Within 30 days of completion of programs.

**Audits:**

Not applicable.

**Records:**

As prescribed by grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$5,000,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Average award: \$4,000.

**PROGRAM ACCOMPLISHMENTS:**

There were 351 scholarships awarded to recipients from all 50 U.S. States, plus Puerto Rico and the District of Columbia, to study abroad in 63 foreign countries in fiscal year 2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

IIE: Ms. Michelle Dass Pickard, Institute of International Education, Southern Regional Office, 515 Post Oak Blvd., Suite 150, Houston, TX 77027-9407 Telephone: (713) 621-6300 ext. 20; Fax: (713) 621-7958; E-mail: mpickard@iie.org Website: <http://www.iie.org/gilman>.

**Headquarters Office:**

Educational Information and Resources (ECA/A/S/A), Educational and Cultural Affairs Bureau, U.S. Dept. of State, SA-44, 301 4th St. SW, Washington DC 20547, Attn: Coleen Gatehouse. Telephone: (202) 453-8887. Fax: (202) 453-8890.

**Web Site Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

U.S. undergraduate students received scholarships for study abroad in 63 countries.

**CRITERIA FOR SELECTING PROPOSALS:**

Demonstrated financial need, intended participation in a credit-bearing study abroad program, plan for individual project upon return to the U.S.

## 19.430 INTERNATIONAL EDUCATION TRAINING AND RESEARCH

### FEDERAL AGENCY:

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

### AUTHORIZATION:

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

### OBJECTIVES:

To foster mutual understanding between the United States and other countries by supporting professional development for international education professionals at U.S. institutions of higher education and by supporting research on international educational exchange.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funding for nonprofit organizations to support training of international education professionals on U.S. campuses and to conduct research on international exchange programs specified by requests for grant proposals published in the Federal Register and on the Bureau of Educational and Cultural Affairs website: <http://exchanges.state.gov/education/rfgps/>.

### Applicant Eligibility:

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

### Beneficiary Eligibility:

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

### Credentials/Documentation:

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Announcements are made in the Federal Register for organizations meeting eligibility requirements. Announcements are posted to Department of State's website: <http://exchanges.state.gov/education/rfgps/>.

### Award Procedure:

Final selection of grantees is made by the Assistant Secretary for Educational and Cultural Affairs on recommendation of an Advisory Committee made up of Department staff experienced in international exchanges.

### Deadlines:

See <http://exchanges.state.gov/education/rfgps/>.

### Range of Approval/Disapproval Time:

Six weeks to three months from deadline.

### Appeals:

None.

### Renewals:

Grants may be renewed for two years after initial competition, following ECA review of program.

### Formula and Matching Requirements:

Formula and Matching Requirements Cost-sharing requirements stated in Federal Register Announcement.

### Length and Time Phasing of Assistance:

As stated in Federal Register announcements.

### Reports:

Financial and Program Reports are required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### Records:

None.

### Account Identification:

19-0201-0-1-154.

### Obligations:

FY 07 \$1,625,000; FY 08 est not available; FY 09 est not reported.

### Range and Average of Financial Assistance:

In FY06, \$190,000 for international educational exchange research; \$535,000 for international education professional training at U.S. institutions of higher education; \$900,000 for student advising training for overseas educational advisers.

### PROGRAM ACCOMPLISHMENTS:

In 2005 DCS/ECA gave grants to NAFSA, IIE and the College Board. NAFSA's Academy for International Education enabled over 400,000 U.S. and international students and scholars, community members, faculty and campus staff to participate in activities that increase international understanding on campuses and in communities across the country. Open Doors, published by the Institute of International Education (IIE), is the only comprehensive information resource on international student mobility. The publication includes statistics on foreign students and scholars in the U.S. and on U.S. students abroad, as well as scholarly analyses of the data and their implication for policy makers. The College Board provided training and professional development opportunities to over 150 overseas educational advisers on topics including the admissions process at U.S. higher education institutions, standardized testing, pre-departure orientation and understanding the student visa process.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not applicable.

### Regional or Local Office:

Regional or Local Office International Education Training: NAFSA: Association of International Educators, 1307 New York Avenue, NW, Eighth Floor, Washington, DC 20005-4701, Attn: Mr. Nick Seamons. Telephone: (202) 737-3699. Fax: (202) 737-3657. E-mail: [NickS@nafsa.org](mailto:NickS@nafsa.org). The College Board, 1233 20th St. NW, Washington, DC 20036-2304, Attn: Carol Blythe. Research: Institute of International Education (IIE), 809 United Nations Plaza, New York, NY 10017; Attn: Hey-Kyung Koh, Assistant Editor. Telephone: (212) 984-5331. E-mail: [HKOH@iie.org](mailto:HKOH@iie.org).

### Headquarters Office:

Headquarters Office Educational Information and Resources (ECA/A/S/A), SA-44, 301 4th St. SW, Washington DC 20547, Attn: Mary Thompson-Jones, Branch Chief. Telephone: (202) 453-8872. FAX: (202) 453-8890.

### Web Site Address:

<http://exchanges.state.gov> <http://www.nafsa.org>; <http://www.iie.org>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Varied.

### CRITERIA FOR SELECTING PROPOSALS:

Quality of program idea; Program planning; Ability to achieve project objectives; Multiplier effect/impact; Support of diversity; International capacity; Institution's record/ability; Cost-effectiveness; and Cost-Sharing.

## 19.431 EDUCATIONAL EXCHANGE-SCHOLAR-IN-RESIDENCE (U.S. INSTITUTIONS OF HIGHER EDUCATION HOST LECTURING FACULTY FROM ABROAD)

### FEDERAL AGENCY:

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

### AUTHORIZATION:

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

### OBJECTIVES:

To improve and strengthen the international relations of the United States by promoting mutual understanding among the people of the world through educational exchanges.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grants enable accredited U.S. institutions of higher education to host a faculty lecturer from abroad for a semester or an academic year. Preference is given to institutions that are traditionally less involved in international exchange programs, including hosting visiting scholars and/or those serving minority audiences. Priority institutions include historically Black colleges and universities, Hispanic serving institutions, tribal colleges and universities, small liberal arts colleges and community colleges. Institutions sometimes propose to formally or informally share the visiting scholar with neighboring institutions or consortia, and consortia applications are welcome. Institutional applications may designate a specific scholar by name or request that U.S. Embassies or binational Fulbright Commissions abroad recruit one for them. The Scholar-in-Residence's primary role is teaching at the undergraduate level. Teaching assignments often focus on global issues, or on courses where a foreign lecturer's services can provide a cross-cultural or international perspective. Subject fields are generally in the social sciences and humanities but may be in a wide range of other fields as well, such as education, law, architecture, urban planning, intercultural studies, geography, religious studies, journalism, women's studies, etc. Institutions requesting scholars from countries with significant Muslim populations in the fields of Islamic history, culture and society broadly defined are particularly encouraged to apply. In addition to teaching courses, scholars give campus-wide lectures, help initiate international programs and contribute to curriculum development. Beyond campus activities, host institutions are



expected to involve the scholar with professional organizations and with community associations, with outreach often including the K-12 education community. Fulbright scholars-in-residence often play an important role in assisting colleges and universities to begin to internationalize curricula by providing a unique addition to academic offerings and activities on campus. They also may offer institutions already engaged in international activities, the opportunity to broaden or deepen their international or world area-specific capacities. Individual grant benefits generally include round-trip transportation for the grantee and in some cases for one dependent, a monthly stipend, a dependents allowance, a settling in allowance, a professional enhancement allowance for books and services and basic accident/sickness insurance. (Note that all Fulbright Scholar-in-Residence funds are paid to the scholar, not to the U.S. host institution.)

**Applicant Eligibility:**

Accredited U.S. institution of higher education.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

U.S. institutions of higher education that wish to receive an application booklet for the Fulbright Scholar-in-Residence Program should contact the Council For International Exchange of Scholars, 3007 Tilden Street, NW, Suite 5M, Washington, DC 20008. Telephone: (202) 686-7866. In many cases this material is also available from U.S. college and university Fulbright campus contacts.

**Award Procedure:**

The U.S. Department of State and the Presidentially-appointed J. William Fulbright Foreign Scholarship Board make final selection of grantees.

**Deadlines:**

Subject to change, but generally applications are to be submitted by mid-October.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time: Applicant institutions are notified promptly if they are ineligible. Applications recommended for funding are notified ten weeks after the application deadline date. Final notification of institutional approval and of scholar placement (recruitment and placement, if necessary) occurs in 5 to 9 months after the application deadline date.

**Appeals:**

Not applicable.

**Renewals:**

Extensions considered where appropriate and when funds are available.

**Formula and Matching Requirements:**

U.S. host institutions are required to provide some type of cost sharing, whether monetary or in-kind.

**Length and Time Phasing of Assistance:**

Up to 1 academic year (10 months).

**Reports:**

Reports by host institutions and by Scholars-in-Residence are required at the end of the grant period.

**Audits:**

Under the total audit concept, audits will be made on an organization-wide basis (rather than grant- by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Records:**

None.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$1,300,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Awards are between \$16,000 and \$40,000 based on grant length, U.S. location and the scholar's number of accompanying dependents. An average grant award is \$27,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, an estimated 36 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual announcement: Fulbright Scholar Program: Guidelines for Scholar-in-Residence Proposals issued by the Council for International Exchange of Scholars, 3007 Tilden Street, NW, Suite 5M, Washington, DC 20008.

**Regional or Local Office:**

None.

**Headquarters Office:**

Council for International Exchange of Scholars, 3007 Tilden Street, NW, Suite 5M, Washington, DC 20008.

**Web Site Address:**

<http://www.cies.org/sir/sir.htm>.

**RELATED PROGRAMS:**

19.401, Educational Exchange\_University Lecturers (Professors) and Research Scholars.

**EXAMPLES OF FUNDED PROJECTS:**

A Historically Black institution in the Mid-Atlantic region hosted a scholar from Nigeria who taught history, philosophy and religion from an Islamic perspective.

Also, he helped develop the college's new concentration in religious and philosophical studies, served as a resource person to faculty and the academic honors program, and gave guest lectures in the local community. Hispanic-serving institution in Texas hosted a scholar from India to help bring an Asian perspective to campus and to internationalize its World History and American History courses. The scholar was engaged in all aspects of university life, from teaching, to curriculum development to student advising. A community college in the Northwest, in order to serve its growing resident immigrant and refugee population, hosted a scholar from Nicaragua. The scholar taught courses and advised in the fields of indigenous peoples, economic development and environment protection, in assisting the college in developing a new Latin American Studies program. A rural, Hispanic-serving community college in the West hosted a scholar from Slovakia, to help internationalize its nursing program. The scholar added a comparative perspective to the college, teaching courses in cultural assessment and intervention, commonalities of nursing, and nursing management, and participated in the colleges' program entitled: "Our National Heritage." A small, private, liberal arts college in New England hosted a Javanese puppet-master, musician and scholar from Indonesia to help support and enhance its growing gamelan music program and the development of its Asian Studies program. The scholar taught beginning gamelan, two courses on shadow puppet theatre (wayang), gave guest lectures, and participated in community outreach in the local schools and museum. Two institutions in New York State jointly hosted a Chinese environmental ecologist. The scholar helped initiate a new environmental science major at one institution, where he taught their undergraduate environmental science courses and contributed to the second institution's Center for Environmental Policy. He also became involved with local environmental organizations. As a consequence of hosting the Fulbrighter, both institutions are seeking a long-term, ongoing relationship in environmental science and policy with the scholar's home university.

**CRITERIA FOR SELECTING PROPOSALS:**

Is the institution within the preferred institutional profile? Does the proposal adequately describe the institution's short-term and long-term international education objectives? Does the proposed scholar adequately meet those goals and objectives? Is the proposed program for the scholar practical and feasible? Is rationale provided for requesting a scholar from a specific country or region? If a particular scholar is requested, does that scholar's qualifications and experience mesh with the institution's goals and the proposed teaching assignment and other duties? Does the proposal include plans for other campus activities? Does the proposal include plans for community involvement and outreach? Does the proposal demonstrate how the scholar's impact will be sustained after the grant is completed? Has the institution provided monetary or in-kind cost sharing?

**19.432 OVERSEAS EDUCATIONAL ADVISING**

**FEDERAL AGENCY:**

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS, DEPARTMENT OF STATE

**AUTHORIZATION:**

Public Law 87-256, as amended, 22 U.S.C. 2451 et seq.

**OBJECTIVES:**

To foster mutual understanding between the United States and other countries by promoting U.S. higher education through a global network of Education USA educational advising/information centers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding for nonprofit organizations to support implementation of overseas educational advising programs, educational advising coordination, and training for educational advisers to ensure that students in specific international locations receive unbiased, ethical, up-to-date information on U.S. higher education. Locations specified by requests for grant proposals published in the Federal Register and on the Bureau of Educational and Cultural Affairs website: <http://exchanges.state.gov/education/rfgps/>.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Credentials/Documentation:**

Not applicable. To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Announcements are made in the Federal Register for organizations meeting eligibility requirements. Announcements are posted to Department of State's website: <http://exchanges.state.gov/education/rfgps/>.

**Award Procedure:**

Final selection of grantees is made by the Assistant Secretary for Educational and Cultural Affairs on recommendation of an Advisory Committee made up of Department staff experienced in international exchanges.

**Deadlines:**

See <http://exchanges.state.gov/education/rfgps/>.

**Range of Approval/Disapproval Time:**

Six weeks to three months from deadline.

**Appeals:**

None.

**Renewals:**

Grants may be renewable for two years after initial competition, following ECA review of program.

**Formula and Matching Requirements:**

Cost-sharing requirements set out in Federal Register announcement.

**Length and Time Phasing of Assistance:**

As set out in Federal Register announcements.

**Reports:**

Financial and Program Reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations, "nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Prescribed in the grant terms.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

FY 07 \$1,775,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$60,000 to \$450,000. Average: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

In 2005, DOS/ECA awarded grants to AMIDEAST, ACIE, IIE, and OSI to provide overseas educational advising, orientation, and information services on opportunities in U.S. education for foreign students and scholars at field offices the Middle East, Eurasia, East Asia and Mexico. Centers received more than 20 million queries in 2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Announcements; requests for proposals listed on website: <http://exchanges.state.gov/education/rfgps/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Educational Information and Resources (ECA/A/S/A), SA-44, 301 4th St. SW, Washington DC 20547, Attn: Mary Thompson-Jones, Branch Chief. Telephone: (202) 453-8872. Fax: (202) 453-8890.

**Web Site Address:**

<http://educationusa.state.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Varied.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of program idea; Program planning; Ability to achieve project objectives; Multiplier effect/impact; Support of diversity; International capacity; Institution's record/ability; Cost-effectiveness; and Cost-Sharing.

**19.500 MIDDLE EAST PARTNERSHIP INITIATIVE (MEPI)**

**FEDERAL AGENCY:**

DEPARTMENT OF STATE

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as Amended.

**OBJECTIVES:**

To support democracy in the Middle East and North Africa by encouraging political, economic & educational reform and the empowerment of women..

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and Cooperative agreements to support political, economic, and educational reform efforts and the empowerment of women in the Middle East and North Africa.. MEPI encourages applications from partnerships or consortia led by local organizations based in the Middle East and North Africa. Awards are designed to benefit principally the non-governmental organizations and citizens of countries in the Middle East and North Africa. Preference will be given to countries in the region with less developed civil societies, and with limited experience in developing and implementing issue based campaigns on economic, democratic, or educational reforms, and advocacy for women's rights, aimed at increasing the number of active stakeholders and building effective local coalitions. MEPI has particular interest in supporting programs that are innovative and that meet needs and opportunities not already addressed by current donor funding, particularly through USAID bilateral agreements. Generally MEPI does not fund bricks and mortar type projects or stand-alone scholarships. Middle East Peace Process projects are generally funded out of the separate Department of State Multilateral Peace Process Account. Development projects in Egypt, Jordan, or Iraq are generally funded by USAID bilateral ESF funds.

**Applicant Eligibility:**

Non-profit, for-profit organizations or state and local governments interested in partnering with the Middle East Partnership Initiative to promote change in the Middle East. Applicants must have an established track record in conducting training programs and promoting reform through development projects.

**Beneficiary Eligibility:**

Country covered by the State Department's Bureau of Near Eastern Affairs, not currently subject to foreign assistance restrictions. Could include: Algeria, Bahrain, Egypt, Iran, Iraq, Israel, Jordan, Kuwait, Lebanon, Libya, Morocco, Oman, Qatar, Saudi Arabia, Syria, Tunisia, UAE, West/Bank Gaza, Yemen.

**Credentials/Documentation:**

CVs of main program staff.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Respond to a general MEPI Standing Program Announcement or specific Request for Application (RFA) posted on [www.grants.gov](http://www.grants.gov) and [www.mepi.state.gov](http://www.mepi.state.gov). SF 424 and full proposal required. Public Diplomacy and Alumni Outreach Plan must be incorporated in proposal.

**Award Procedure:**

A technical review panel reviews proposals and scores them in accordance with published review criteria and determines priority program recommendations for final negotiation on the grant.

**Deadlines:**

As announced on [www.grants.gov](http://www.grants.gov) and [www.mepi.state.gov](http://www.mepi.state.gov).

**Range of Approval/Disapproval Time:**

25 to 180 days.

**Appeals:**

None.

**Renewals:**

Based on program needs and availability of funding.

**Formula and Matching Requirements:**

No requirements, but applications that reflect cost sharing arrangements, especially for programs in the following Gulf countries (Kuwait, Saudi Arabia, Qatar, Bahrain, and UAE) will be viewed more favorably. Cost-sharing arrangements between MEPI and the recipients are negotiated prior to award.

**Length and Time Phasing of Assistance:**

Varies.

**Reports:**

Quarterly Programmatic Reports, including relation of progress to expenditures in the narrative, Financial Reports, and final report including program evaluation. One web-postable success story from program to be posted on [www.mepi.state.gov](http://www.mepi.state.gov).

**Audits:**

As mandated in OMB circular A-133.

**Records:**

Above reports will be retained for three years from the date of submission of the final financial report.

**Account Identification:**

19-1014-0-1-150.

**Obligations:**

FY 07 \$120,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

See specific funding announcement for details.

**PROGRAM ACCOMPLISHMENTS:**

As a Presidential Initiative, the Middle East Partnership Initiative (MEPI) through Economic Support Funds (ESF) and has funded over 350 programs aimed at promoting political, economic, and education reform and women's empowerment in the Middle East and North Africa. Program descriptions can be found on [www.mepi.state.gov](http://www.mepi.state.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for grants and cooperative agreements are distributed in conjunction with the request for applications or program announcements. Extensive background and program information is available on [www.mepi.state.gov](http://www.mepi.state.gov).

**Regional or Local Office:**

MEPI has Regional Offices in Tunis, Tunisia, Abu Dhabi, and UAE.

**Headquarters Office:**

Office of the Middle East Partnership Initiative (MEPI) Department of State Bureau of Near Eastern Affairs 2201 C Street N.W. Rm 5253A Washington D.C. 20520.

**Web Site Address:**

[www.mepi.state.gov](http://www.mepi.state.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See [www.mepi.state.gov](http://www.mepi.state.gov) for a complete listing of MEPI funded programs, including those awarded to non-US based institutions and through pre-existing USAID grant and contract mechanisms and the Bureau of Educational and Cultural Affairs (ECA) and Department of Commerce. Region-wide programs funded include: Middle East Judicial and Legal Reform Forum; Corporate Governance; Creating Child Centered Schools; Open and Pluralistic Media. Country-specific programs including Election Monitoring in Yemen; and Judicial Reform in Oman.

**CRITERIA FOR SELECTING PROPOSALS:**

MEPI is looking for new and innovative proposals to promote political, economic, and education reform and empower women in the Middle East and North Africa. Proposals that include cost-sharing, partnership with local NGOs or governments, a public outreach plan, and an alumni component will be viewed favorably. In addition, proposals should be responsiveness to the substantive provisions set forth in each Program Announcement or Request for Application posted [www.grants.gov](http://www.grants.gov) and [www.mepi.state.gov](http://www.mepi.state.gov).

## 19.510 U.S. REFUGEE ADMISSIONS PROGRAM

**FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEES, AND MIGRATION  
DEPARTMENT OF STATE

**AUTHORIZATION:**

Immigration and Nationality Act, as amended (INA) and the Refugee Migration and Assistance Act, as amended (MRA).

**OBJECTIVES:**

Initial reception and placement program for refugees approved for admission in the United States. Program objectives include: (1) arranging for the refugees, resettlement by ensuring that approved refugees are offered appropriate assistance during their initial resettlement in the United States; (2) providing refugees with basic necessities and core services during their first 90-days of resettlement in the United States; and (3) assisting refugees in achieving economic self-sufficiency through employment as soon as possible after arrival in the United States in coordination with publicly sponsored refugee service and assistance programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

The cooperative agreement allocates partial funds for the identified services based on a fixed per capita of \$850 per refugee resettled in the United States. Allocation of funds are also based on the organization's reported expenses for its headquarters each fiscal year.

**Applicant Eligibility:**

State governments and private non-profit organizations.

**Beneficiary Eligibility:**

Refugees approved under the U.S. Refugee Admissions Program will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O 12372. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Participating organizations respond to the Bureau's request for proposals on an annual basis. All proposals are submitted to the Office of Refugee Admissions within the Bureau. There is prescribed format for proposals, as stated in the request.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on the Director of the Office of Refugee Admissions recommendations for all reception and placement awards and the Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

See the cover letter of the request for proposal for submission deadline.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Formula: Funds are awarded on a reimbursement basis through a per capita and reported expenses. Organizations are expected to contribute private funds to assist with reception and placement services.

**Length and Time Phasing of Assistance:**

Funds are awarded on a fiscal year basis, October 1 through September 30.

**Reports:**

Quarterly financial reports are due sixty days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with a final financial due upon issuance of final indirect cost rates. Program reports are due as set forth in the award document.

**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular No. A-133. Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain a case file for each refugee family unit admitted into the United States.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 \$74,600,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range \$20,000 - \$2,873,029; Average \$1,021,203.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 53,813 refugees were resettled in the United States through nine private non-profit organizations and one State government.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic - U.S. Department of State, Bureau of Population, Refugees, and Migration, Office of Refugee Admissions, SA-1, Suite L505, Washington, DC 20522-0105, Telephone: 202/663-1056. Financial - U.S. Department of State, Bureau of Population, Refugees, and Migration, Office of the Comptroller, SA-1, Suite L505, Washington, DC 20522-0105. Telephone: (202) 663-1022.

**Web Site Address:**

[www.state.gov/g/prm](http://www.state.gov/g/prm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements are made on the basis of a panel review using evaluation criteria specified in the request for proposal.

## 19.511 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR EAST ASIA

**FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEES, AND MIGRATION,  
DEPARTMENT OF STATE

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq.

**OBJECTIVES:**

There are more than 140,000 Burmese refugees in Thailand through UNHCR (protection) and NGOs. NGOs address assistance needs not covered by UNHCR or other international organizations, including public health programs (including gender-based violence prevention), water and sanitation, food, fuel, and clothing, as well as some basic household assistance, such as blankets and mosquito nets. Please note that funding for 2006 is extremely limited.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**



Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration (international organizations submit appeals to the Bureau). NGOs may submit proposals anytime throughout the year to fill a need as it arises, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals by a specific deadline for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Deadlines vary according to the type of proposal being submitted. For new proposals, the deadline is no later than June 30 of the current fiscal year (unless an unforeseen emergency occurs that would necessitate additional funding beyond the stated deadline.) Proposals for follow-on programs are due 90-days before expiration of the current agreement. Proposals tied to specific program guidelines are due per the deadline of the program-issued guidelines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Bureau's funds are intended to partially cover an organization's budget request with remaining funds expected from other resources.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized.

**Reports:**

Quarterly financial reports are due forty-five days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with financial due upon issuance of final indirect cost rates. The Bureau program office may require additional reporting; the organization will be notified of any additional reporting requirements informally.

**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular A-133- Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain files for a three-year period after submission of final financial report.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 est not available; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

For FY 05 under MRA, assistance for East Asia was given to three IOs. One was for \$ 970,000 and two were for just over \$ 8 million. Assistance for two NGOs ranged from \$1,150,000 to \$ 4,544,775 with an average of \$2,847,388.

**PROGRAM ACCOMPLISHMENTS:**

In FY 05 more than \$608million was provided for programs worldwide, by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic: Richard Albright, Office Director, (202) 663- 1063; Larry Bartlett, Deputy Director, (202) 663-1065; Rafael Foley Eileen Kelley, Southeast Asia, (202) 663-3715; Melissa Pitotti, Northeast Asia, (202) 663-1950; U.S. Department of State, Bureau of Population, Refugees, and Migration, SA-1, Suite L505, Washington, DC 20522-0105. Financial: Office of the Comptroller, SA-1, Suite L303, Washington, DC 20522-0105. (202) 663-1022.

**Web Site Address:**

www.state.gov/g/prm.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.517 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR AFRICA**

**FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEES, AND MIGRATION,  
DEPARTMENT OF STATE

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq.

**OBJECTIVES:**

Assistance will contribute to the basic needs of some 3 million refugees and millions more conflict victims spread across the African continent (both Sub-Saharan and North Africa). NGOs are key partners of international organizations in Africa, often in specialized areas such as health care, water, sanitation, food distribution, and education. Funds will be provided directly to NGOs to complement the programs of UNHCR and to bring basic assistance up to international life-sustaining standards of care.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non- governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration (international organizations submit appeals to the Bureau). NGOs may submit proposals any time throughout the year to fill a need as it arises, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals by a specific deadline for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and the Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Deadlines vary according to the type of proposal being submitted. For most proposals, the deadline is no later than June 30 of the current fiscal year (unless

an unforeseen emergency occurs that would necessitate additional funding beyond the stated deadline.) Proposals for follow-on programs are due 90-days before expiration of the current agreement. Proposals tied to specific program guidelines are due per the deadline of the program-issued guidelines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Bureau's funds are intended to partially cover an organization's budget request with remaining funds expected from other resources.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized.

**Reports:**

Quarterly financial reports are due forty-five days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with a final financial due upon issuance of final indirect cost rates. The Bureau program office may require additional reporting; the organization will be notified of any additional reporting requirements informally.

**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular No. A-133- Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain files for a three-year period after submission of final financial report.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 est not available; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

For FY05 under MRA, assistance for Africa was given to six IO's totaling \$196,010,197. Assistance for 15 NGO's ranged from \$99,000 to \$2.2 million, with an average of \$2.1 million.

**PROGRAM ACCOMPLISHMENTS:**

In FY 05, more than \$608 million was provided for programs worldwide by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Of this amount, over \$270 million supported programs in Africa. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic: Margaret McKelvey, Office Director, (202) 663-1027; Mary Lange, Deputy Director, Central/Sahel/North Africa/Southern Africa, (202) 663-1014; Carol-Anne Chang, Coastal West Africa, (202) 663-1031; Amy Wendt, Horn of Africa, (202) 663-1014; Vacant, Great Lakes/Central Africa, (202) 663-1476; Neil Ahlsten, Chad (Sudanese refugees), (202) 663-1029. U.S. Department of State, Bureau of Population, Refugees, and Migration, SA-1, Suite L505, Washington, DC 20522-0105. Financial: U.S. Department of State, Bureau of Population, Refugees, and Migration, Office of the Comptroller, SA-1, Suite L303, Washington, DC 20522-0105, Telephone: 202/663-1022.

**Web Site Address:**

www.state.gov/g/prm.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for

humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

## 19.518 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR WESTERN HEMISPHERE

**FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEES, AND MIGRATION, DEPARTMENT OF STATE

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended, (MRA) and 22 U.S.C. 2601 et seq.

**OBJECTIVES:**

The civil conflict in Colombia continues to be a primary cause of displacement and humanitarian suffering in the Western Hemisphere. For the past several years, the Bureau in conjunction with the Government of Colombia, International Organizations, NGOs, and the international community has sought to address the needs of almost 3 million internally displaced persons (IDPs) inside Colombia, and thousands of refugees outside Colombia. While Colombia represents the most significant humanitarian assistance requirement in the region, ongoing programs of protection and humanitarian law dissemination throughout the hemisphere are needed to maintain capacity for dealing with the needs of refugees and conflict victims now and in the future, particularly in the Caribbean.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration (international organizations submit appeals to the Bureau). NGOs may submit proposals at any time throughout the year to fill a need as it arises, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals by a specific deadline for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and other Bureau Offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Deadlines vary according to the type of proposal being submitted. For new proposals, the deadline is no later than June 30 of the current fiscal year (unless an unforeseen emergency occurs that would necessitate additional funding beyond the stated deadline.) Proposals for follow-on programs are due 90-days before expiration of the current agreement. Proposals tied to specific program guidelines are due per the deadline of the program-issued guidelines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Bureau's funds are intended to partially cover an organization's budget request with remaining funds expected from other resources.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized.

**Reports:**

Quarterly financial reports are due forty-five days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with a final financial due upon issuance of final indirect cost rates. The Bureau program office may require additional reporting; the organization will be notified of any additional reporting requirements informally.

**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular A-133- Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain files for a three-year period after submission of final financial report.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 est not available; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

For FY 05 under MRA, assistance for the Western Hemisphere Andean region was approximately \$25.4 million, with the bulk (\$16.4 million) going to UNHCR and ICRC, our primary international organization partners in the region. Assistance for five NGOs ranged from \$356,500 to \$1,287,858, with an average of \$979,667.

**PROGRAM ACCOMPLISHMENTS:**

In FY 05, more than \$608 million was provided for programs worldwide, by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic: c/o Director, Office of Assistance for Europe, Central Asia and the Americas, Email address: prm-eca@state.gov, Phone: 202/663-1062, FAX: 202/663-1530. U.S. Department of State, Bureau of Population, Refugees, and Migration, SA-1, Suite L505, Washington, DC 20522-0105. Financial: Office of the Comptroller, SA-1, Suite L303, Washington, DC 20522-0105, Telephone: 202/663-1022.

**Web Site Address:**

www.state.gov/prm.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

## 19.519 OVERSEAS REFUGEE ASSISTANCE PROGRAM FOR NEAR EAST AND SOUTH ASIA

**FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEES, AND MIGRATION,  
DEPARTMENT OF STATE

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq.

**OBJECTIVES:**

In the Near East: Return and reintegration assistance of up to two million Iraqi refugees, recent returnees, and internally displaced persons (IDPs) is a high

priority to the Bureau. Programs will support return and reintegration activities for voluntary returnees, as well as assist existing populations in neighboring countries until refugees elect for voluntary return. Programs inside Iraq will also help strengthen local structures so that Iraqi government policies and programs will be responsive to refugees and other victims of conflict. The Bureau supports UN programs that provide some stability in the lives of the 4.3 million Palestinian refugee population in an increasingly difficult environment and contributes to building a climate conducive to a peaceful resolution of regional problems. In South Asia: The Bureau will continue support for the unprecedented, large-scale return and reintegration programs for Afghan refugees and IDPs, although at reduced financial levels. The Bureau will also continue supporting protection and assistance activities for many of the 3.5 million refugees who remain in Pakistan and Iran and who may not repatriate in 2006 due to the security situation, persecution of certain ethnic groups, and Afghanistan's limited capacity to absorb additional returnees. India is host to over 130,000 Tibetan refugees. Congressionally earmarked funds administered by PRM supports the Tibet Fund's assistance of approximately 2,500 new Tibetan refugees who arrive in India each year. PRM's regional contribution to UNHCR also supports protection, care and maintenance for 106,000 Bhutanese refugees in southeastern Nepal.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration (international organizations submit appeals to the Bureau). NGOs may submit proposals any time throughout the year to fill a need as it arises, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals by a specific deadline for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and the Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Deadlines vary according to the type of proposal being submitted. For new proposals, the deadline is no later than June 30 of the current fiscal year (unless an unforeseen emergency occurs that would necessitate additional funding beyond the stated deadline.) Proposals for follow-on programs are due 90-days before expiration of the current agreement. Proposals tied to specific program guidelines are due per the deadline of the program-issued guidelines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Bureau's funds are intended to partially cover an organization's budget request with remaining funds expected from other resources.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized.

**Reports:**

Quarterly financial reports are due forty-five days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with a final financial due upon issuance of final indirect cost rates. The Bureau program office may require additional reporting; the organization will be notified of any additional reporting requirements informally.



**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular A-133- Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain files for a three-year period after submission of final financial report.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 not available; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

For FY 05, assistance for the Near East and South Asia was given to four IO's totaling \$142.8 million. Assistance for 16 NGO's ranged from \$55,481 to \$2 million, with an average of \$938,861.

**PROGRAM ACCOMPLISHMENTS:**

In FY 05, more than \$608 million was provided by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. . Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic: Richard Albright, Office Director, (202) 663-1063; Larry Bartlett, Deputy Director (202) 663-1065; Afghan Team: Dan Kronenfeld, (202) 663-3717 and Martha Amlin, (202) 663-1037; elsewhere in South Asia and Northeast Asia: Melissa Pitotti, (202) 663-1950; Near East/UNRWA: George Aldridge (202) 663-1531; Iraq Team: Bill Lehmborg, (202) 663-3442 and Liana Brooks-Rubin (202) 663-1012; Southeast Asia and Tibet: Eileen Kelley, (202) 663-3715. U.S. Department of State, Bureau of Population, Refugees, and Migration, SA-1, Suite L505, Washington, DC 20522-010. Financial: U.S. Department of State, Bureau of Population, Refugees, and Migration, Office of the Comptroller, SA-1, Suite L505, Washington, DC 20522-0105, Telephone: 202/663-1022.

**Web Site Address:**

www.state.gov/g/prm

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.520 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR EUROPE****FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEEES, AND MIGRATION,  
DEPARTMENT OF STATE

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq.

**OBJECTIVES:**

Funding of organizations that assist refugees and IDPs in Europe and Central Asia will be at a reduced level this year compared to FY05. In the North and South Caucasus the Bureau - in conjunction with International Organizations, NGOs, and the international community -- will continue to provide life-sustaining assistance to the most vulnerable IDPs and refugees produced by the continuing conflict in Chechnya and the frozen conflicts in Georgia, Armenia,

and Azerbaijan. In the Balkans, programs that assist minority IDP returns to Kosovo from Serbia-Montenegro and Macedonia, as well as the local integration of refugees and IDPs in Serbia are the focus of our funding. In Central Asia, the Bureau will continue support for refugees, IDPs, asylum seekers and stateless people.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non- governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration (international organizations submit appeals to the Bureau). NGOs may submit proposals at any time throughout the year to fill a need as it arises, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals by a specific deadline for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Deadlines vary according to the type of proposal being submitted. For new proposals, the deadline is no later than June 30 of the current fiscal year (unless an unforeseen emergency occurs that would necessitate additional funding beyond the stated deadline.) Proposals for follow-on programs are due 90-days before expiration of the current agreement. Proposals tied to specific program guidelines are due per the deadline of the program-issued guidelines.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Bureau's funds are intended to partially cover an organization's budget request with remaining funds expected from other resources.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized.

**Reports:**

Quarterly financial reports are due forty-five days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with a final financial due upon issuance of final indirect cost rates. The Bureau program office may require additional reporting; the organization will be notified of any additional reporting requirements informally.

**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular A-133- Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain files for a three-year period after submission of final financial report.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 \$40,000,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

In FY 05 under MRA, assistance for Europe was given to 6 IO's totaling \$41.1 million. Assistance for 10 NGOs ranged from \$115,264 to \$1,797,419, with an average of \$803,176.

**PROGRAM ACCOMPLISHMENTS:**

In FY05, more than \$608 million was provided for programs worldwide, by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic: PRM c/o Director, Office of Assistance to Europe, Central Asia and the Americas. Email address: prm-eca@state.gov, Phone: 202-663-1062, FAX: 202/663-1530. U.S. Department of State, Bureau of Population, Refugees, and Migration, SA-1, Suite L505, Washington, DC 20522-0105. Financial: U.S. Department of State, Bureau of Population, Refugees, and Migration, Office of the Comptroller, SA-1, Suite L303, Washington, DC 20522-010: Telephone: (202) 663-1022.

**Web Site Address:**

www.state.gov/prm

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.522 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR STRATEGIC GLOBAL PRIORITIES****FEDERAL AGENCY:**

BUREAU OF POPULATION, REFUGEES, AND MIGRATION,  
DEPARTMENT OF STATE

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended; (MRA) and 22 U.S.C. 2601 et seq.

**OBJECTIVES:**

Bureau support under this program includes mostly contributions to the headquarters and global program costs of the United Nations High Commissioner for Refugees (UNHCR), the headquarters budget of the International Committee of the Red Cross (ICRC) and to a smaller extent, the multiregional refugee activities of other international and non-governmental organizations. A particular emphasis of this support is to promote initiatives in areas that are cross-cutting, core global Bureau priorities, such as refugee women, refugee children, prevention and response to gender-based violence (including sexual exploitation), enhancing refugee protection, and health, including HIV/AIDS prevention.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Application Procedure. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application Procedure: Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration (international organizations submit appeals to the Bureau). NGOs may submit proposals at any time throughout the year to fill a need as it arises, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals by a specific deadline for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Deadlines vary according to the type of proposal being submitted. For new proposals, the deadline is no later than June 30 of the current fiscal year (unless an unforeseen emergency occurs that would necessitate additional funding beyond the stated deadline.) Proposals for follow-on programs are due 90-days before expiration of the current agreement. Proposals tied to specific program guidelines are due per the deadline of the program-issued guidelines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Formula: Bureau's funds are intended to partially cover an organization's budget request with remaining funds expected from other resources.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized.

**Reports:**

Quarterly financial reports are due forty-five days after the close of a calendar year quarter. A preliminary final financial report is due 90 days after the expiration of an agreement with a final financial due upon issuance of final indirect cost rates. The Bureau program office may require additional reporting; the organization will be notified of any additional reporting requirements informally.

**Audits:**

The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit must be performed to meet the provisions of OMB Circular A-133- Revised, Audits of States, Local Governments, and Non-Profit Organizations. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The grantee shall maintain files for a three-year period after submission of final financial report.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

FY 07 \$63,000,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

In FY05, assistance for Strategic Global Priorities was given to four IOs totaling \$55.3 million. Assistance for nine NGOs ranged from \$27,375 to \$390,515, with an average of \$382,506.

**PROGRAM ACCOMPLISHMENTS:**

In FY 05, more than \$608 million was provided by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programmatic: Margaret Pollack, Office Director/MCE, (202) 663-1075; Nicole Gaertner, PRM/MCE, Officer for refugee women (including GBV) and refugee children's issues, (202) 663-1481; Tim Fitzgibbons, PRM/MCE, NGO Liaison, (202) 663-1482; Kelly Clements, Acting Office Director/PRP, (202) 663-3954; Nicole Green, Program Officer, Policy Office, (202) 663-3881; Hoa Tran, Program Officer, Policy Office, (202) 663-3104; Bryan Schaaf, Health Officer, Policy Office. Financial - U.S. Department of State, Bureau of Population, Refugees, and Migration, Office of the Comptroller, SA-1, Suite L505, Washington, DC 20522-0105, Telephone: 202/663-1022.

**Web Site Address:**

[www.state.gov/g/prm](http://www.state.gov/g/prm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.



# DEPARTMENT OF TRANSPORTATION

## 20.100 AVIATION EDUCATION

### FEDERAL AGENCY:

FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

Airport and Airway Development Act of 1970, as amended, Section 301, Public Law 94-353, Section 21, 49 U.S.C. 1346a.

### OBJECTIVES:

To promote "Aviation Knowledge through Education"; create a public awareness of the need to promote the development and enhancement of education in aviation; establish a civil aviation information distribution program within each region and center of the Federal Aviation Administration; promote "safety in the skies through aviation education"; create "career awareness" in aviation at the elementary and secondary educational levels; prepare qualified individuals to meet the future need of aviation; stimulate public and private sector initiative in meeting the American and worldwide competitive challenge in science and technology; aid educators by providing aviation information they can readily use in their normal classroom curriculum or in special classroom projects, to improve communication skills, math, science, technology, and computer literacy as it relates to aviation; and help educators identify the learning needs of our society in this rapidly changing technological era.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling.

### USES AND USE RESTRICTIONS:

Encouragement of the development of Civil Aviation Information Distribution programs. EDUCATIONAL SERVICES. This is "aviation in the classroom" and includes all aspects of student, teacher, school, coordination with other national educational programs; INTERNATIONAL, NATIONAL, REGIONAL AND STATE COMMUNITY RELATIONS. Develops and gives support to strengthening the regions, state, and local communities in their ability to perform the tasks and functions of Aviation Education within their respective areas. Includes workshops, conferences, youth programs, teacher education, public education, and other programs, materials, and resource planning support. Liaison with all International, National, Regions, and State aviation and education officials and organizations. INFORMATION SERVICES. Includes electronic websites, data gathering and dissemination, and communications. The Aviation Education Program utilizes all segments of the FAA workforce as catalysts and aviation interest groups' support of education in assuring the availability of qualified human resources and improving public understanding of the economic and social importance of an efficient and safe air transportation system.

### Applicant Eligibility:

Aviation and education administrators, school, college and university officials, officers of civil organizations, and domestic and international governments, aviation industry, and education organizations.

### Beneficiary Eligibility:

Aviation and education administrators, school, college and university officials, officers of civil organizations, and domestic and international governments, aviation industry, and education organizations.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. There are no financial awards or grants available. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications take the form of a written request for Aviation Education materials or counseling to an FAA regional or Headquarters office.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

69-1301-0-1-402.

### Obligations:

(Salaries and expenses) FY 07 \$0; FY 08 est \$0; and FY 09 est not available.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Continued to implement Aviation and Space Education (AVSED) Local Counselor Program (volunteer FAA employees); provided consultant assistance to schools and colleges; continued to establish "Partnerships-in-Education" among industry, education, and government. Priorities established by the AVSED Strategic Plan included creative leadership that commits FAA to become the internationally recognized authority on aviation and space education. This would be both consistent and reinforcing of FAA's mission to maintain America's preeminence in aviation. In addition, creative leadership in education demonstrates FAA's commitment to support the President's initiative of No Child Left Behind. AVSED's plan is the integration of aerospace thematic Science Technology Engineering and Mathematics (STEM) curriculum into education and to expand and create synergistic partnerships that support this inclusion into state education frameworks. FAA's existing base of enthusiastic volunteers, aviation and space education national, regional, and center program managers offer a national network focused upon promoting U.S. aviation. For example, we continue to work with the National Association of State Aviation Officials (NASAO) and the National Coalition for Aviation Education (NCAE) to emphasize and expand outreach linkages. The states have Constitutional authority for education; therefore, State partnerships provide the infrastructure and mechanism for implementing and sustaining federally initiated programs on a national level. Thus, to achieve this goal, FAA must continue to pro-actively increase FAA's internal and external partnerships. Consistent with the National Performance Review, the AVSED plan calls for a refocusing and reengineering of aviation and space education programs. Refocusing permits the FAA to better accomplish its mission to "foster the growth of aviation." Also, declining resources and new technologies makes it imperative that aviation programs be reengineered. Following is the list of aviation and space education programs. (1) Aviation and Space Education web site, [www.faa.gov/education](http://www.faa.gov/education), is an on-line computer-based information service that links the education community and the Federal government to educational information services. The web site provides a complete agency organizational and program profile for university administrators, professors, teachers, students and the general public. Information on aviation and space education programs and resources available from FAA national, regions, and centers, and facilities may be included in the database. Details on aviation and space education initiatives and aviation industry special interest groups are also available. All FAA Aviation and Space Education materials and curriculum are located on the web site and are down loadable for reproduction. (2) FAA Aviation and Space Education Volunteer Counselor Program: FAA will select, provide orientation, and appoint volunteer resource personnel to coordinate with headquarters, region and center aviation and space education program managers to implement FAA aviation and space education programs. FAA volunteers are designed as official Aviation and Space Education Counselors. The Counselors will assist FAA in promoting aviation and space education and fostering a wider knowledge, and better understanding of FAA, the National Airspace System, and civil aviation in America. There has been one counselor workshop conducted in headquarters in 2006 and there are plans to conduct six counselor workshops in regions in 2007. (3) Government-Industry-Education Partnerships: partnerships such as, NASAO, Organization of Black Airline Pilots (OBAP), International Black Aerospace Council (IBAC) and NCAE, increase public awareness and enhancement of the role of aviation, and support aviation and space education programs at all levels of the educational system. These private/public sector or government educationpartnerships are increasingly important as we move towards our goal of increasing STEM educational awareness. Each partnership yields additional resources to support the FAA's aviation and space education program initiatives. In fiscal year 2004, FAA formalized two new partnership: one with Women in Aviation International and one with the Experimental Aircraft Association. In 2005, FAA formed a partnership with Civil Air Patrol.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"FAA order 1250.2A".

### Regional or Local Office:

Contact the Aviation Information Distribution Program person listed in appendix IV.

### Headquarters Office:

Office of the Assistant Administrator for Region and Center Operations, 800 Independence Avenue S.W., Washington, DC 20590. National Headquarter/s Office for the Program Implementation, Office of the Regional Administrator, 12 New England Executive Park, Burlington, MA 01803.

### Web Site Address:

<http://www.faa.gov/education>.

**RELATED PROGRAMS:**

43.001, Aerospace Education Services Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.106 AIRPORT IMPROVEMENT PROGRAM**

(AIP)

**FEDERAL AGENCY:**

FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Public Law 103-272.

**OBJECTIVES:**

To assist sponsors, owners, or operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics.

**TYPES OF ASSISTANCE:**

Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Grants can be made for integrated airport system planning in a specific area; and airport master planning, construction, or rehabilitation at a public-use airport or portion thereof. Authorizing legislation refers to an airport as any area of land or water used or intended to be used for the landing or taking off of aircraft and includes, within the five categories of airports listed below, special types of facilities such as seaplane bases and heliports. The statute further defines airports by categories which include commercial service, primary, cargo service, reliever, and general aviation airports. They are defined as follows: Commercial Service Airports are publicly owned airports that have at least 2,500 passenger boarding each year and receive scheduled passenger service. Passenger boarding refer to revenue passenger boarding on an aircraft in service in air commerce. The definition also includes passengers who continue on an aircraft in international flight that stops at an airport in any of the 50 states for a non traffic purpose. Passenger boarding at airports that receive scheduled passenger service are also referred to as Enplanements. Nonprimary Commercial Service Airports are Commercial Service Airports that have at least 2,500 and no more than 10,000 passenger boarding each year. Primary Airports are Commercial Service Airports that have more than 10,000 passenger boarding each year. These airports are further categorized as Hub Airports, based on the level of passenger boarding. Hub categories for Primary Airports are defined as a percentage of total passenger boarding in the most current calendar year ending before the start of the current fiscal year. The definition and formulae used for designating Primary Airports by Hub Type and Percentage of Annual Passenger Boarding are: Large 1 percent or more; Medium - at least 0.25 percent, but less than 1 percent; Small - at least 0.05 percent, but less than 0.25 percent; and Non hub - more than 10,000, but less than 0.05 percent. Cargo Service Airports are airports that, in addition to any other air transportation services that may be available, are served by aircraft providing air transportation of only cargo with a total annual landed weight of more than 100 million pounds. Reliever Airports are airports designated by the FAA to relieve congestion at a Commercial Service Airport and to provide more general aviation access to the overall community. The remaining airports, while not specifically defined in Title 49 U.S.C., are referred to as General Aviation Airports and comprise the largest single group of airports in the U.S. airport system. Eligible work at airports consists of: (1) airport master plans; (2) airport noise compatibility plans; (3) land acquisition; (4) site preparation; (5) construction, alteration, and rehabilitation of runways, taxiways, aprons, and certain roads within airport boundaries; (6) construction and installation of airfield lighting, navigational aids, and certain offsite work; (7) safety equipment required for certification of airport facility; (8) security equipment required of the sponsor by the Secretary of Transportation by rule or regulation for the safety and security of persons and property on the airport; (9) snow-removal equipment; (10) terminal development; (11) aviation-related weather reporting equipment; (12) equipment to measure runway surface friction; (13) burn area training structures and land for that purpose, on or off airport; (14) agency-approved noise compatibility projects; (15) relocation of air traffic control towers and navigational aids (including radar) if they impede other projects funded under AIP; (16) land, paving, drainage, aircraft deicing equipment and structures for centralized deicing areas; and (17) projects to comply with the Americans with Disabilities Act of 1990, Clean Air Act, and Federal Water Pollution Control. Under limited criteria construction of hangars and automobile parking is eligible. Grants may not be made for the construction of hangars, most automobile parking facilities, buildings not related to the safety of persons on the airport, decorative landscaping or artwork, or routine maintenance and repair. Technical advisory services are also provided. Formula funds are available to primary commercial service airports and to cargo service airports. Discretionary funds may be used at any eligible facility.

**Applicant Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia, are eligible for airport development grants if the airport on which the development is required is listed in the National Plan of Integrated Airport Systems (NPIAS). Certain units of local government may be eligible for grants to implement noise compatibility projects. Private owners of public-use reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service are eligible.

**Beneficiary Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, and other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, The Federated States of Micronesia, and private owners of reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service.

**Credentials/Documentation:**

Sponsors must submit information establishing financial capability and legal authority to accomplish the project and to operate the airport. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. A Preapplication conference is recommended but not required. Consultation and assistance available at FAA Offices. Applications should be reviewed under the provisions of the National Environmental Policy Act of 1969, 83 Stat. 852; and Section 4(f) of the Department of Transportation Act, 49 U.S.C. 1653. An environmental assessment will be needed for some projects. The standard application forms as furnished by the Federal agency and required by 49 CFR 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, must be used for this program.

**Application Procedure:**

Preapplication for Federal Assistance, SF 424, Part I (facesheet) filed with FAA field office, reviewed by the regional office and/or Washington office for program approval, as appropriate. For master plans (may be combined as part of development project), noise compatibility plans, and system plans, SF-424 and Parts II through V of FAA Form 5100-101. Application for Federal Assistance, must be submitted to FAA field offices. Level of approval is dependent on the type of airport and amount of FAA monies requested. No State plan is required. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Upon program approval for development projects, applicant submits project application, SF 424, Part I (facesheet) and remaining parts of FAA Form 5100-100 to FAA field office. Master, noise compatibility, and system plan grant applications are submitted to FAA field offices and upon approval, grant offers are made by FAA field offices. Either the district or regional office prepares Grant Offer, FAA Form 5100-37, for planning and development for execution by FAA applicant.

**Deadlines:**

Primary airport sponsors must notify FAA by January 31 or another date specified in the Federal Register of their intent to apply for funds to which they are entitled under Section 47102 of Title 49, United States Code. A reminder is published annually in the Federal Register. Other sponsors are encouraged to submit early in the fiscal year and to contact the appropriate FAA field office for any local deadlines. Sponsors must formally accept grant offers no later than September 30 for grant funds appropriated in that fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. If the project is challenged on environmental grounds, approval may take longer.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Current Federal government share of allowable costs are as follows. (1) Projects at large and medium hub primary commercial service airports: Airport development, 75 percent; terminal development, 75 percent; noise compatibility program implementation, 80 percent; master planning and noise compatibility planning, 75 percent. (2) Projects at all other public use airports (includes commercial service other than large and medium hub general aviation, reliever, other commercial service, and eligible privately owned airports): Airport development, noise compatibility program implementation, terminal development, airport planning and noise compatibility planning all at 90 percent. Currently through FY 2007, there is a temporary increase to 95 percent for these airports. Entities eligible to sponsor system planning studies include State, local and federally recognized tribal governments, designated metropolitan planning organizations, U.S. Territories and possessions, the Republics of the

Marshall Islands and Palau, and the Federated States of Micronesia. The range of financial or other matching assistance required from nonfederal sources, varies from 10 percent to 25 percent depending on the category of the sponsor, the type of project and the amount of public land in the State.

**Length and Time Phasing of Assistance:**

No set period of time. Assistance is released upon application for reimbursement of expenses or by letter of credit.

**Reports:**

During the project, the sponsor monitors performance to ensure that time schedules are being met. Periodic reports, as required, are forwarded to FAA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in circular No. A-133.

**Records:**

Sponsors' records are required to be made available for inspection by FAA, OIG/DOT and the General Accounting Office. An airport layout plan must be kept up to date and available as long as the grant agreement lasts, ordinarily a period of 20 years. Accounting records reflecting all project costs, books, documents, and records pertinent to grants are to be retained for 3 years after date of submission of final expenditure report.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Grants) FY 07 \$3,401,659,000; FY 08 \$3,310,112,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$4,180 to \$44,059,334. Average: \$1,682,324.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 2,022 grant agreements were executed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Aviation Administration Order and Advisory Circulars (FAA Order 5100.38C, Airport Improvement Program Handbook, and FAA Advisory Circulars in the 150/5100 series).

**Regional or Local Office:**

Persons are encouraged to contact the Federal Aviation Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Aviation Administration, Office of Airport Planning and Programming, Airports Financial Assistance Division, APP-500, 800 Independence Avenue, SW., Washington, DC 20591. Telephone: (202) 267-3831.

**Web Site Address:**

[http://www.faa.gov/airports\\_airtraffic/AIP/](http://www.faa.gov/airports_airtraffic/AIP/).

**RELATED PROGRAMS:**

39.002, Disposal of Federal Surplus Real Property; 39.003, Donation of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:**

Construct new public airports; improve and rehabilitate existing public airports; extend runways at existing public airports; purchase fire fighting, rescue, security, snow removal and noise suppressing equipment; acquire land; and install navigation aids. Planning at individual airports includes demand/capacity analysis, airport noise control and land use compatibility analysis, environmental studies, and system plans for states, regions, and metropolitan areas.

**CRITERIA FOR SELECTING PROPOSALS:**

Only those Airport Improvement Program (AIP) projects considered by the FAA Administrator to be necessary to provide for a safe and efficient airport system and to meet the current and projected growth of civil aeronautics will be considered for selection. The airports at which AIP projects are proposed must be included in the National Plan of Integrated Airports Systems (NPIAS).

## 20.108 AVIATION RESEARCH GRANTS

**FEDERAL AGENCY:**

FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508; Aviation Security Improvement Act of 1990, Federal Aviation Administration Authorization Act, Public Law 103-305.

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements may be used to support research and development projects at colleges, universities and nonprofit institutions in the following areas: (1) Capacity and Air Traffic Control Technology; (2) Communications, Navigation and Surveillance; (3) Aviation Weather; (4) Airports; (5) Aircraft Safety Technology; (6) Human Factors and Aviation Medicine; (7) Environment and Energy; (8) Systems Science and Operations Research; (9) Commercial Space Transportation. Discretionary funds are not currently available. Potential grantees are encouraged to contact FAA Research Technical Program Offices for sponsorship.

**Applicant Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Beneficiary Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Credentials/Documentation:**

Evidence of eligibility and of negotiated indirect rates and audit by cognizant agency.

**Preapplication Coordination:**

Preapplication form not required. Consultation and or assistance is available by calling (609) 485-4781. No preapplication conference needed. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs".

**Application Procedure:**

A solicitation and application kit may be accessed on the internet at <http://www.tc.faa.gov/logistics/grants>, or by writing to the Aviation Research Grants Program, AJP-7550, William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405 or by calling (609) 485-4781.

**Award Procedure:**

Award authority has been delegated to the FAA Grants Officer for the Aviation Research Grants Program, AJP-7550, at the William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Awards will be made throughout the year. Solicitation FAA-06-01 will remain open indefinitely. Any change to this will appear on the internet site mentioned above.

**Deadlines:**

Proposals are accepted throughout the calendar year.

**Range of Approval/Disapproval Time:**

120 Days.

**Appeals:**

Formal protests are not an option, however, a debriefing may be requested.

**Renewals:**

Multi-year grants and cooperative agreements are available; extensions are possible. No-cost extensions available upon application.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements, however, cost-sharing by the grantee is highly encouraged.

**Length and Time Phasing of Assistance:**

Minimum award duration is 6 months. No other time restrictions. Assistance is disbursed monthly. Advances are possible with prior approval from the FAA Grants Officer.

**Reports:**

Technical Reporting Requirements per Subpart C of OMB Circular A-110 and OMB Circular A-102, Paragraph 7. Semi-annual and final technical reports required. Financial reporting requirements as per Subpart C of OMB Circular A-110 and of OMB Circular A-102, Paragraph 7. Final reports are required for closeout. Reporting requirements are spelled out in the terms and conditions of each award document.

**Audits:**

Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA reserves the right to conduct individual audits as needed within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following completion of a grant or cooperative agreement.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Grants) FY 07 \$23,457,466.38; FY 08 \$3,578,211.00; FY 09 est. not available.

**Range and Average of Financial Assistance:**

Proposals received to date have requested from \$15,000 to \$5.0 million with most between \$50,000 and \$250,000. Larger proposals are for multi-year research.

**PROGRAM ACCOMPLISHMENTS:**

Information available at the above internet web site.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-122, A-133, A-110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 95507A. A solicitation and application kit containing the appropriate forms and directions is available.

**Regional or Local Office:**



None.

**Headquarters Office:**

Aviation Research Grants Program, AJP-7550 William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Telephone: (609) 485-4781. Fax: (609) 485-6509.

**Web Site Address:**

<http://www.tc.faa.gov/logistics/grants>.

**RELATED PROGRAMS:**

20.109, Air Transportation Centers of Excellence.

**EXAMPLES OF FUNDED PROJECTS:**

Research and development in Satellite navigation; Aircraft Structural mechanics and materials; De-icing Fluids; Cockpit Human Factors; Aviation Security.

**CRITERIA FOR SELECTING PROPOSALS:**

The FAA has established four criteria which should be met for a proposal to be eligible for funding. These four criteria are: (1) Intrinsic Value; (2) Relevance to the FAA Mission; (3) Technical Soundness of the Proposal; (4) Research Performance Competence.

## 20.109 AIR TRANSPORTATION CENTERS OF EXCELLENCE

(FAA Centers of Excellence)

**FEDERAL AGENCY:**

FEDERAL AVIATION ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101- 508; Catastrophic Failure Prevention Centers of Excellence, Section 9208; Aviation Research Centers of Excellence, Section 9209.

**OBJECTIVES:**

To conduct long term continuing research in specific areas of aviation related technology. Responsibilities of Centers may include but not limited to: the conduct of research concerning catastrophic failure of aircraft; airspace and airport planning and design; airport capacity enhancement techniques; human performance in the air transportation environment; aviation safety and security; the supply of trained air transportation personnel including pilots and mechanics; and other aviation issues pertinent to developing and maintaining a safe and efficient air transportation system, and the interpretation, publication, and dissemination of the results of such research.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Centers of Excellence are established for long term continuing mission critical research in specific areas of technology. Funding may be used for the establishment and operation of the Centers of Excellence and the related training, education and research projects. The FAA determines a need for a Center of Excellence in a specific area of technology and publishes a Notice of Availability of Solicitation in Grants.gov. In response to this announcement, each applicant submits a description of their institutional capabilities, available faculty, facilities and equipment, and additional information as required in the solicitation. Researchers at each Center are expected to maintain a close working relationship with relevant FAA program offices that have responsibility in areas related to their research. Centers conduct semi-annual reviews, and a major symposium at the conclusion of each 3-year phase of research to satisfy Congressional requirements to disseminate results to a broad audience. CONGRESSIONAL RESTRICTIONS: (1) Matching Funds - Federal grants awarded shall be 50 percent of the cost of establishing and operating the Center of Excellence and related research activities. (2) Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 5, 1990. (3) Locations shall be geographically equitable. 4. Contract tasks are awarded on a negotiable cost share basis\*.

**Applicant Eligibility:**

Applicants are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal funds and maintenance of effort. Academic institutions may partner with industry affiliates and other government laboratories.

**Beneficiary Eligibility:**

Recipients are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal grants and maintenance of effort. In conducting research, a Center of Excellence may contract with nonprofit research organizations and other appropriate persons.

**Credentials/Documentation:**

Required documentation is outlined in each solicitation package. After each Notice of Solicitation is published, copies of the Solicitation are available during a Public Meeting and/or from the FAA Centers of Excellence Program Office,

FAA Technical Center, Atlantic City International Airport, NJ 08405. To establish a Center of Excellence, a competitive process is conducted to include a public announcement, publication of a solicitation, a management/fiscal review and technical evaluation. Public Law 101-508 established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of the needs of the region for improved air transportation services and facilities. (2) The demonstrated research and extension resources available to the applicant for carrying out this program. (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long-range and immediate air transportation problems. (4) The extent to which the applicant has an established air transportation program. (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program. (6) The projects which the applicant proposes to carry out under the grant.\* Each proposal must include the following: (a) description of current research projects being conducted in the specified research area, (b) a schedule of anticipated expenses for establishing and operating the Center of Excellence, (c) a plan for meeting the 50 percent nonfederal contribution toward the matching requirements, (d) a statement showing its aggregate expenditures from all other sources for aviation research in its 2 fiscal years preceding November 5, 1990, (e) all data sufficient for the evaluation team to determine the extent to which the applicant is able to satisfy the six selection criteria outlined. Each proposal must contain: 1. a completed Application for Federal Assistance (SF-424 Research and Related); 2. table of contents; 3. a technical statement addressing the problems inherent in the specific topic area(s) and probable solutions; 4. a summary of research results from FAA funding in the past five years; 5. biographical sketches of senior personnel and a list of their principal accomplishments and publications during the past five years; 6. proposed budget for the initial three years including the anticipated costs of managing a new Center of Excellence, and a management plan; 7. current and pending support on all research awards from all sources; 8. available facilities and major items of equipment to be available to conduct research, and that which is necessary to acquire. 9. letters of support from various industry representatives, state and local officials, etc. Other required forms are Disclosure of Lobbying Activities form SF-LLL and certification of Compliance with Civil Rights Act.

**Preadmission Coordination:**

FAA may hold a public information meeting prior to submission of proposals. Questions may be submitted to the FAA Centers of Excellence Program Director, AAR-400, FAA Technical Center, Atlantic City International Airport, NJ 08405. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Colleges and universities may apply after the FAA has published a Notice of Availability of Solicitation for a Center of Excellence in a specific research area on the Grants.gov website. Solicitation and application packages are available from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405.

**Award Procedure:**

Each Air Transportation Center of Excellence is awarded on behalf of the FAA Administrator. The FAA Centers of Excellence Program Director, issues solicitations, receives all proposals, convenes evaluation teams to evaluate eligible institutions for Centers of Excellence awards. Applicants should be prepared to host an onsite inspection of existing research facilities.

**Deadlines:**

Contact the FAA Center of Excellence Program Office for applications and application deadlines. Deadlines will also be published in the Notice of Solicitation.

**Range of Approval/Disapproval Time:**

From the closing date for applications, the FAA requires at least 6 months for evaluation and selection procedures.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Funds - The Federal share shall be 50 percent of the costs of establishing and operating the Center of Excellence and related research activities. Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 1990.

**Length and Time Phasing of Assistance:**

The FAA intends to support a Center of Excellence in three year increments over a maximum of ten years. Each Center will undergo a reassessment every three years. Research is reviewed semi-annually. Budgets and research projects are

negotiated yearly. As a consequence of changing needs, or diminished requirements, the agency reserves the right not to renew support for a Center of Excellence at any time. Funds from program offices and additional appropriations may increase at any time providing the institution can demonstrate matching funds.

**Reports:**

Technical Reporting Requirements per Attachment H of OMB Circular No. A-110 and Attachment I to OMB Circular No. A-102. Financial reporting requirements as per Attachment G of OMB Circular No. A-110 and Attachment H of OMB Circular No. A-102. Semi-annual reports on matching Funds and technical reports, as well as an annual review of the research completed and in progress at each Center of Excellence. The annual review focuses on the relevance, merit and direction of research efforts in the designated area, and negotiation of projects and budget for the next year. A symposium is required by the end of each 3-year period as part of close-out activities and serves to highlight research results and discuss plans for the next 3-year phase. The symposium helps satisfy legislative requirements to disseminate information.

**Audits:**

Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA calls for an audit of each Center every 3 years as a part of close-out activities, and reserves the right to conduct individual audits annually, and as needed, within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following termination of the Center of Excellence.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Grants) FY 07 12,000,000; FY 08 est \$8,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Program started in fiscal year 1992. Grant assistance is expected to be a minimum of \$500,000 per year for each Center, in addition to IDIQ contract awards.

**PROGRAM ACCOMPLISHMENTS:**

(1) Program planning completed; (2) Agency Directive written and currently under revision; (3) A Center was established in 2003 for Aircraft Noise and Aviation Emissions Mitigation; (4) A Center was established in 2004 for Advanced Materials Research; (5) A Center was established in 2004 for Airliner Cabin Environment Research; and (6) The program currently reflects \$300,000,000 in contract awards, grants, and matching funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-133, A-122, A110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 9550. When the FAA is soliciting for a Center of Excellence, a solicitation and application package containing the appropriate forms and directions will be available. A Notice of Solicitation Availability will be announced in Grants.gov.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Patricia Watts, Ph.D., FAA Centers for Excellence Program Director, AAR-400, FAA Technical Center Office of Aviation Research, Atlantic City International Airport, NJ 08405. Telephone: (609) 485-5043. Fax: (609) 485-9430. patricia.watts@faa.gov.

**Web Site Address:**

<http://www.coe.faa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Centers of Excellence in Computational Modeling of Aircraft Structures, Airport Pavement Research, Operations Research, Airworthiness Assurance, General Aviation, Aircraft Noise and Aviation Emissions Mitigation, Advanced Materials, and Airliner Cabin Environment Research.

**CRITERIA FOR SELECTING PROPOSALS:**

Public Law 101-508 has established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of needs of the region for improved air transportation services and facilities; (2) The demonstrated research and extension resources available to the applicant for carrying out this program; (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long-range and immediate air transportation problems; (4) The extent to which the applicant has an established air transportation program; (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program; and (6) The projects which the applicant proposes to carry out under the grant. Public Law 101-508 mandates geographic equity in location and funding of Centers of Excellence: therefore, geographic location may become an additional selection factor during the evaluation process.

## 20.200 HIGHWAY RESEARCH AND DEVELOPMENT PROGRAM

**FEDERAL AGENCY:**

FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C. Section 101 et seq., as amended.

**OBJECTIVES:**

To carry out the highway research and development program as authorized by SAFETEA-LU. To conduct research needed to maintain and grow our vital transportation infrastructure. SAFETEA-LU addresses the many challenges facing our transportation system today challenges such as improving safety, reducing traffic congestion, improving efficiency in freight movement, increasing intermodal connectivity, and protecting the environment as well as laying the groundwork for addressing future challenges. SAFETEA-LU promotes more efficient and effective Federal surface transportation programs by focusing on transportation issues of national significance, while giving State and local transportation decision makers more flexibility for solving transportation problems in their communities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Applicant Eligibility:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Beneficiary Eligibility:**

State (State DOTs) Local Sponsored Organization General Public.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with SAFETEA-LU and the Office of Management and Budget (OMB) cost principles applicable to the recipient/sub-recipient.

**Preapplication Coordination:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, per directions contained in the RFAs, applicants submit applications online via [www.Grants.gov](http://www.Grants.gov) by the due date specified in the RFA.

**Award Procedure:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, FHWA evaluates applications and selects awardee(s).

**Deadlines:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Range of Approval/Disapproval Time:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally 1 to 3 months after application submittal.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Cost sharing requirements for individual projects, as required by SAFETEA-LU, will be designated in the RFA.

**Length and Time Phasing of Assistance:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU.

**Reports:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally quarterly progress reports and annual budget reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards from all sources during the fiscal year must have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in

Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Project records and documents must be retained by the Recipient as specified in 2 CFR Part 15 (Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations) or 49 CFR 18.42 as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

Obligations are reported under Federal-aid Highway program totals.

**Range and Average of Financial Assistance:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**PROGRAM ACCOMPLISHMENTS:**

The two landmark bills that brought surface transportation into the 21st century the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) and the Transportation Equity Act for the 21st Century (TEA-21) shaped the highway program to meet the Nation's changing transportation needs. SAFETEA-LU builds on this firm foundation, supplying the funds and refining the programmatic framework for investments needed to maintain and grow our vital transportation infrastructure.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways", 49 CFR, "Transportation", and 2 CFR, "Grants and Agreements".

**Regional or Local Office:**

State-level division offices of the FHWA (as listed in Appendix IV of the Catalog)

**Headquarters Office:**

Federal Highway Administration, Office of Acquisition Management (HAAM), 1200 New Jersey Avenue, S.E., Washington, DC 20590.

**Web Site Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction.

**EXAMPLES OF FUNDED PROJECTS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**CRITERIA FOR SELECTING PROPOSALS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

## 20.205 HIGHWAY PLANNING AND CONSTRUCTION

(Federal-Aid Highway Program, Federal Lands Highway Program).

**FEDERAL AGENCY:**

FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C. 101 et seq., as amended.

**OBJECTIVES:**

Federal-Aid Highway Program: To assist State transportation agencies in the planning and development of an integrated, interconnected transportation system important to interstate commerce and travel by constructing and rehabilitating the National Highway System (NHS), including the Eisenhower Interstate System; and for transportation improvements to most other public roads; to provide aid for the repair of Federal-aid highways following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. This program also provides for the improvement of roads in Puerto Rico, Guam, the U.S. Virgin Islands, American Samoa, the Northern Mariana Islands, and the Alaska Highway. The Federal Lands Highway Program (FLHP), as an adjunct to the Federal Aid Highway Program, provides assistance to the Federal Land Management Agencies (FLMAs) for Federally owned roads. It provides transportation engineering services for planning, design, construction, and rehabilitation of the highways and bridges providing access to federally owned lands. The Federal Lands Highway organization also provides training, technology, deployment, engineering services, and products to other customers.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Federal-aid highway funds are generally apportioned by statutory formulas to the States. They are generally restricted to roads open to the public and not functionally classified as rural minor collectors or local. Exceptions to this highway functional classification restriction include: planning and research activities; bridge, bicycle and pedestrian, and safety improvements that may be on any public road; transportation enhancement activities; the recreational trails program (see program 20.219); safe routes to school, nonmotorized

transportation, the FLHP, and public transportation improvement. The FLHP is not a grant program. For highway projects, funds may be used for environmental studies, engineering and design services, right-of-way acquisition and relocation assistance, and construction for capital improvement projects classified as new construction, reconstruction, restoration, rehabilitation, and resurfacing, or for functional, geometric, or safety reasons. Funds may also be used for planning; research, development, and technology transfer; intelligent transportation systems projects; roadside beautification; wetland and natural habitat mitigation, traffic management and control improvements; improvements necessary to accommodate other transportation modes, development and establishment of transportation management systems; billboard removal; construction of bicycle facilities and pedestrian walkways; fringe and corridor parking; car pool and van pool projects; transportation enhancements such as scenic and historic highway improvements; and recreational trails. Funds generally cannot be used for routine highway operational activities, such as police patrols, mowing, snow plowing, or maintenance, unless it is preventative maintenance. Also, funds authorized for the NHS, Surface Transportation Program (STP), Congestion Mitigation and Air Quality (CMAQ) Improvement Program, Equity Bonus (BE) program, and some additional programs may be used for mass transportation improvements; CMAQ funds are limited to projects and programs in air quality, non-attainment and maintenance areas for ozone, carbon monoxide, and small particulate matter that reduce transportation related emissions. Eligibility criteria for the programs differ, so program guidance should be consulted. Projects in urban areas of 50,000 or more population must be based on a transportation planning process carried out by a Metropolitan Planning Organization (MPO) in cooperation with the State and transit operators, and the projects must be included in metropolitan transportation plans and improvement programs. Projects in non-metropolitan areas of a State must be consistent with a statewide transportation plan. Projects in both metropolitan and non-metropolitan areas must also be included in a fiscally constrained Statewide Transportation Improvement Program (STIP) developed as part of the required statewide transportation planning process. The FHWA and the Federal Transit Administration (FTA) must approve the STIP jointly.

**Applicant Eligibility:**

By law, the Federal-aid highway program is a federally assisted State program that requires each State to have a suitably equipped and organized transportation department. Therefore, most projects are administered by or through State transportation departments (State DOTs). Projects to be funded under the Federal-aid highway program are generally selected by State DOTs or MPOs, in cooperation with appropriate local officials, as specified in 23 U.S.C. and implementing regulations. Territorial highway projects are funded in the same manner as other Federal aid highway projects, with the territorial transportation agency functioning in a manner similar to a State transportation department. Most FLHP projects are administered by the FHWA Office of Federal Lands Highway and its Divisions or by the various FLMAs. Under the FLHP, projects in the Indian Reservation Road (IRR) Program are selected by Tribal governments and are approved by the Bureau of Indian Affairs (BIA) and the Federal Highway Administration. Due to recent legislation, Tribal governments meeting certain requirements may now administer various IRR projects on behalf of the BIA and FHWA. The Fish and Wildlife Service (FWS) and the National Park Service (NPS) select projects in the Refuge Road and Park Roads and Parkways programs, respectively. For the Forest Highway Program, the Forest Service, the States and the Federal Highway Administration jointly select projects.

**Beneficiary Eligibility:**

State transportation departments, and in some instances, Federal agencies, other State agencies, local agencies, and private, community-based organizations.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with Title 23 and the OMB cost principles applicable to the recipient/sub-recipient.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for most projects under this program, although the level of review varies with the project. Projects under the FLHP have similar requirements; however, an interested applicant would need to contact the designated FLMA or the local FLH Division for more information.

**Application Procedure:**

In general, projects/programs proposed for funding must be included in a fiscally constrained STIP, submitted by the State DOT, and approved jointly by the FHWA and the FTA. In addition, the State DOT may need to submit statements of work or plans, specifications, and estimates for certain proposed projects to the FHWA division office located in each State for approval. The FHWA has an agreement with each State that details the extent to which the State assumes the responsibilities of the FHWA for projects in that State. For projects on the Interstate System costing more than \$1 million, FHWA oversight of design and construction is required. For projects that are on the National Highway System



but not on the Interstate System, the State may assume the responsibilities of the FHWA for oversight of design and construction, unless the State or the FHWA determines that such assumption is not appropriate. For projects that are not on the National Highway System, the State shall assume the responsibilities of the FHWA for oversight of design and construction, unless the State determines that such assumption is not appropriate. For the discretionary portion of public lands highways, State DOTs submit desired projects to the FHWA division office located in each State. Following the appropriate project selection process, a Transportation Improvement Program (TIP) for the Park Roads and Parkways, Forest Highway and Refuge Road programs is developed by one of the Federal Lands Highway Division offices, and forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. For the Indian Reservation Roads program, a TIP is submitted to the FHWA Office of Federal Lands Highway for approval and then forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. Projects under the FLHP are subject to the metropolitan and statewide planning requirements.

**Award Procedure:**

The State DOTs generally decide which projects will be developed within funding levels but the FHWA division office located in each State makes the final decision on the eligibility of specific projects. There are several categories where funding is allocated at the discretion of the Secretary of Transportation and administered by the FHWA. Candidate projects for discretionary allocations are usually solicited before the start of the Federal fiscal year (October 1) and must be submitted by the State DOTs. FHWA approval of a project and execution of a project agreement constitute a commitment to pay the Federal share of the project's allowable costs. Projects administered by the FHWA Office of FLH or the FLMA are subject to procurement processes identified in the Federal Acquisition Regulations. Project awards are subject to the availability of funds.

**Deadlines:**

There are no deadlines for applications for projects using apportioned funds. For discretionary project allocations, applications are usually considered late in the fiscal year before the year for which the funds are available. Allocations to specific projects are generally made early in the fiscal year. Contact Federal agency for deadline date(s). All allocations are made through the State DOT, which is advised of schedules for submission of candidates.

**Range of Approval/Disapproval Time:**

From 1 day to 5 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Most Federal-aid highway funds are distributed by statutory formula. Eligibility requirements for most programs are also determined by legislative criteria. Some categories, including part of the bridge and Interstate Maintenance funds, are distributed on a discretionary basis. The normal maximum Federal share is 90 percent for the EIS projects, and 80 percent for most other projects. The Federal share for some programs may be increased in the case of States with large areas of Federal lands. Some projects, including territorial highway projects, FLHP projects, certain safety improvements, and emergency relief projects require no matching of Federal funds.

**Length and Time Phasing of Assistance:**

Federal-aid highway funds generally become available at the beginning of the fiscal year for which they are authorized and must be obligated within 3 years after the close of that fiscal year. However, some categories of funds are available until expended.

**Reports:**

Except for projects that a state has oversight responsibility for, the FHWA division office in each State monitors and reviews State projects and programs during highway project location, design and construction. After the project is completed State maintenance of the project is reviewed periodically. Certain non-construction activities, such as transportation planning, require periodic progress reports. Similar procedures apply to the FLMA and FLHP projects with the FHWA Office of FLH providing the mandatory stewardship and oversight. A value engineering analysis or other cost-reduction analysis is required for each project on the Federal-aid system with an estimated total cost of \$25,000,000 or more, a bridge project with an estimated total cost of \$20,000,000 or more; and any other project determined to be appropriate. Annual financial plans are required for projects with an estimated total cost of \$100,000,000 or more. In addition, a project management plan must be submitted for projects with an estimated total cost of \$500,000,000 or more.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards from all sources during their fiscal year must have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State or other governmental recipients/ subrecipients as specified in 49 CFR Part 18 or by non-profit recipients/subrecipients as specified in 49 CFR Part 19. For the Federal Lands Highway Program, the Federal Lands Highway Divisions maintain the project records.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Grants) FY 07 \$34,154,000; FY 08 est. \$40,068,000; and FY 09 est. \$37,849,000.

**Range and Average of Financial Assistance:**

From \$100,000 to \$3,505,000,000. Average \$700,000,000.

**PROGRAM ACCOMPLISHMENTS:**

The Federal-aid Highway Program has made significant contributions to the safer operation of the nation's highways, to the better intermodal connectivity of roads to other forms of transportation, and to the improvement of pavement and bridge conditions throughout the country, while helping to safeguard environmental conditions. It has provided funding for a wide range of alternatives to traditional highway construction projects to better serve transportation needs. It has developed and advanced critical new technologies, such as Intelligent Transportation Systems, and shared them with the States. The FLHP works to create the best transportation system in balance with the values of the Federal and tribal lands. The mission of the program is to improve transportation access to and within Federal and tribal lands and provide technical services to the highway community.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways" and 49 CFR, "Transportation", and 2 CFR, Grants and Agreements. <http://www.fhwa.gov>.

**Regional or Local Office:**

State-level division offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or State transportation agencies.

**Headquarters Office:**

For Forest Highways, Indian Reservation Roads, Refuge Roads, and Park Roads and Parkways, contact the Associate Administrator for Federal Lands Highway, Federal Highway Administration, 1200 New Jersey Avenue, Room E61-202, S.E., Washington, DC 20590-0001. Telephone: (202) 366-9494. For all others, contact the Director, Office of Program Administration, Federal Highway Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590-0001. Telephone: (202) 366-0494.

**Web Site Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.215, Highway Training and Education; 20.219, Recreational Trails Program; 20.500, Federal Transit Capital Investment Grants; 20.505, Federal Transit Metropolitan Planning Grants; 20.507, Federal Transit Formula Grants; 20.509, Formula Grants for Other Than Urbanized Areas; 20.600, State and Community Highway Safety; 23.003, Appalachian Development Highway System; 23.008, Appalachian Local Access Roads.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2005, almost \$8 billion was obligated for projects to relieve congestion and improve safety on the National Highway System. Over \$443 million were obligated for Forest Highways, Public Lands Highways, Indian Reservation Roads, Refuge Roads, and Park Roads and Parkways in fiscal year 2007.

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible, most projects must be located on public roads that are not functionally classified as local. The major exceptions are the Highway Bridge Replacement and Rehabilitation Program, which provides assistance for bridges on and off the Federal-Aid highways; highway safety activities; bicycle and pedestrian projects, transportation enhancement activities, the recreational trails program, and planning, research, development, and technology transfer. Proposed projects meeting these and other planning, design, environmental, safety, etc., requirements can be approved on the basis of State and local priorities within the limit of the funds apportioned or allocated to each State.

**20.215 HIGHWAY TRAINING AND EDUCATION**

**FEDERAL AGENCY:**

NATIONAL HIGHWAY INSTITUTE, FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C. Section 101 et seq., as amended.

**OBJECTIVES:**

National Highway Institute (NHI) Training Program: To develop and administer, in cooperation with those in the highway community, educational, training, and technical assistance programs for the Federal Highway Administration, State and local highway agency employees, as well as the

private sector and members of the international organizations. Dwight David Eisenhower Transportation Fellowship Program (DDETFP): To attract qualified students to the field of transportation education and research, and advance transportation workforce development. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): To improve the preparation of students, particularly women and minorities, in science, technology, engineering, and mathematics through curriculum development and other transportation-related activities.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships); Training; Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

States may use funds not to exceed one half of 1 percent of the amount apportioned to each State under Section 104(b)(3) for the surface transportation program for training their employees or employees of local transportation agencies. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities. Courses and study programs may be obtained from universities, other government agencies, the private sector, and/or the National Highway Institute.

**Applicant Eligibility:**

NHI Training Program: Employees of State and local transportation agencies. DDETFP: Some restrictions apply. Undergraduate (juniors and seniors at Minority Institutes of Higher Education (MIHE)) and graduate students matriculating full-time at a U.S. university or college in a transportation-related discipline. GAMTTEP: Local educational agencies and State educational agencies, which may enter into a partnership agreement with institutions of higher education, businesses, or other entities.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Dwight David Eisenhower Transportation Fellowship Program (DDETFP): Students may apply to the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) to compete for three award categories; annually for the Eisenhower Graduate, Grants for Research Fellowships, and Eisenhower Intern Fellowships. The remaining Eisenhower Fellowships are competed at participating MIHEs. These include the Historically Black Colleges and Universities (HBCUs) Hispanic Serving Institutions (HSIs), and Tribal Colleges (TCs) and selected applications are forwarded to the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) for final selection. A new fellowship category, the People with Disabilities (PWD) Eisenhower Fellowship (PWDEF) is currently competed at Gallaudet University, Washington, DC, and the selected application is forwarded to the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) for final selection. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): Vendors may apply through Grants.Gov annually. The application process has not yet been finalized.

**Award Procedure:**

Awards are made annually for the academic year for the Dwight David Eisenhower Transportation Fellowship Program by the Chief, Partnership for Workforce Development and the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) for all categories. Awards for the Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP) will be made on the basis of competitive review by the Director, National Highway Institute and the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI).

**Deadlines:**

NHI Training Program: None. DDETFP Graduate Fellowships and Grants for Research Fellowships: annually by mid-February; DDETFP HBCUs, HSIs, TCs, PWDs: annually by April 1st. Grants for Research Fellowships and Eisenhower Intern Fellowships: Open until filled. GAMTTEP: Varies, but usually March.

**Range of Approval/Disapproval Time:**

NHI Training Program: None. DDETFP: 3 months (applicants acceptance/rejection period).

**Appeals:**

None.

**Renewals:**

NHI Training Program: None. Dwight David Eisenhower Transportation Fellowship Program: as applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

DDETFP on-site assignments, 6 to 12 months with extension upon approval from the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI); Masters degree awards, up to 2 years, not to exceed 3 years, in duration; and PhD Awards, up to 3 years-not to exceed 5 years in

duration; and Bachelors degree, 1 year.

**Reports:**

DDETFP: Final output/product required upon completion of fellowship.

**Audits:**

1997-1998 audit.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

Obligations are reported under Federal-aid Highway program totals.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NHI Training Program: 23 CFR, "Highways." DDETFP: The first guidelines for the DDETFP were issued in August 1992. National guidelines are reissued annually in the program announcement by the National Highway Institute.

**Regional or Local Office:**

State-level (division) offices of the Federal Highway Administration as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Partnership for Workforce Development, Federal Highway Administration, 4600 North Fairfax Drive, Suite 800, Arlington, Virginia 22203-1553. Telephone: (703) 235-0500. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): Program Manager, University and Grants Program, National Highway Institute, Federal Highway Administration, 4600 North Fairfax Drive, Suite 800, Arlington, VA 22203-1553. Telephone: (703) 235-0538.

**Web Site Address:**

<http://www.nhi.fhwa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

DDETFP: Graduate Fellowships, Grants for Research Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal College Fellowships, People with Disabilities Fellowships, and FHWA program-related fellowships.

**CRITERIA FOR SELECTING PROPOSALS:**

Courses conducted fill major agency needs as defined by high priority areas, and are presented within time, staff, and budget constraints. DDETFP fellowships are awarded on competition on the basis of demonstrated merit, including pursuit of transportation related careers, academic credentials, academic recommendations, and study proposal.

## 20.218 NATIONAL MOTOR CARRIER SAFETY

(MCSAP)

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Surface Transportation Assistance Act of 1982, Sections 401-408, Public Law 97-424; Motor Carrier Safety Act of 1991, Public Law 102-240; 49 U.S.C. App. 2301-2307; Transportation Equity Act for the 21st Century, Public Law 105-178.

**OBJECTIVES:**

To reduce the number and severity of accidents and hazardous material incidents involving commercial motor vehicles by substantially increasing the level and effectiveness of enforcement activity and the likelihood that safety defects, driver deficiencies, and unsafe carrier practices will be detected and corrected.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Assistance to States for the implementation of programs for the adoption and uniform enforcement of safety rules, regulations and standards compatible with the Federal Motor Carrier safety regulations and Federal hazardous materials regulations for both interstate and intrastate motor carriers and drivers.

**Applicant Eligibility:**

A qualified State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, or the Commonwealth of the Northern Marianas (a State).

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. Submission of a State Plan addressing the commercial motor carrier and highway hazardous materials safety within the State. Cost will be determined in

accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Scheduled regional pre-planning conferences. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

File with FMCSA Division Office an FMCSA Form MCSAP-1, which includes a certification of eligibility, and the State Commercial Vehicle Safety Plan. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The amount of the basic MCSAP grant to a qualifying State will be determined by the Federal Motor Carrier Safety Administration based on the availability of funds, the eligibility of a State, and the formula set in 49 CFR 350. State will be required to sign a grant agreement.

**Deadlines:**

Application for a grant must be filed with the FMCSA Division Office by August 1 of each year.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

State will be notified in writing of failure to submit a satisfactory State Plan. State will have 30 days to modify and resubmit the plan.

**Renewals:**

Application for a grant must be made annually.

**Formula and Matching Requirements:**

The MCSAP formula is described in 49 CFR 350.323 and is based on the most current approved statistics available. Most funds will be allocated each year among the States according to a formula based on four equally weighted (25 percent) factors: (1) road miles (all highways) as defined by the FHWA; (2) All vehicle miles traveled as defined by the FHWA; (3) Population - annual census estimates as issued by the U. S. Census Bureau; and (4) special fuel consumption (net after reciprocity adjustment) as defined by the FHWA. The Federal share shall not exceed 80 percent of the approved total project amount. The State must maintain the average level of expenditure of the State and its political subdivisions (not including amounts of the Government or State matching funds) for commercial motor vehicle safety programs, for enforcement of commercial motor vehicle size and weight limitations, drug interdiction, and State traffic safety laws and regulations for the 3 full fiscal years beginning after October 1 of the year 5 years prior to the beginning of each Government fiscal year. The State's share is at least 20 percent. The FMCSA shall, upon request, waive the requirement for matching funds to be provided by the Virgin Islands, American Samoa, Guam, or the Commonwealth of the Northern Marianas. Additional funds are allocated under the provisions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users.

**Length and Time Phasing of Assistance:**

Grants are available for up to 1 year. Obligations to a State will remain available for expenditure for the fiscal year in which they were obligated and the next full fiscal year.

**Reports:**

A quarterly Activity Report is to be filed with the FMCSA Division Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, "nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records of all program activities covered in the State's Safety Plan and statistics pertaining to commercial motor vehicle accidents. Such records must be kept for 3 years following the year of funding.

**Account Identification:**

69-8048-0-7-401.

**Obligations:**

FY 07 \$197,000,000; FY 08 est \$202,000,000; FY 09 est not opened.

**Range and Average of Financial Assistance:**

Not less than 0.44 percent or more than 4.94 percent of available funds for basic program grants.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, the program supported approximately 10,000 full and part-time State personnel nationwide who performed approximately 3 million inspections, resulting in increased uniformity in the enforcement of motor vehicle safety regulations throughout the United States and the promotion of commercial vehicle safety. Training was provided for State enforcement personnel through the delivery of commercial vehicle safety courses reaching over 13,000 State personnel nationwide. The program also supported national commercial vehicle safety activities related to inspection process improvements, data collection and analysis, judicial outreach, new entrant safety audits and drug interdiction.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, Guidelines, and Literature: 49 CFR 1.48. 49 CFR 386-399,

Federal Motor Carrier Safety regulations; 49 CFR 100-180, Hazardous Materials Regulations, Government Printing Office, \$14-\$27 per volume.

**Regional or Local Office:**

State-level office of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Motor Carrier Safety Administration, State Programs, MC-ESS, 400 Seventh Street, SW., Washington, DC, 20590. Telephone: (202) 366-9579.

**Web Site Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Roadside driver and vehicle inspections.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory and administrative requirements contained in 49 CFR 350. The State Plan must provide for an effective commercial vehicle safety program.

## 20.219 RECREATIONAL TRAILS PROGRAM

**FEDERAL AGENCY:**

FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C. 104, 206.

**OBJECTIVES:**

To provide funds to the States to develop and maintain recreational trails and trail-related facilities for both nonmotorized and motorized recreational trail uses.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and (8) State administrative costs related to this program (limited to 7 percent of a State's funds). Funds may not be used for: property condemnation; constructing new trails for motorized use on National Forest or Bureau of Land Management lands unless the project is consistent with resource management plans; or facilitating motorized access on otherwise non motorized trails. The USDOT encourages States to enter into contracts and cooperative agreements with qualified youth conservation or service corps to perform construction and maintenance of recreational trails under this program.

**Applicant Eligibility:**

The Governor of each State must designate the State agency or agencies responsible for administering this program. The State must have a State recreational trail advisory committee that represents both motorized and nonmotorized recreational trail users, which shall meet not less than once per fiscal year. The State agency may accept project proposals from private organizations, or from municipal, county, State, or Federal government entities, and other government entities. The projects must satisfy one or more of the permissible uses.

**Beneficiary Eligibility:**

The State agency designated by the Governor.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with applicable cost principles listed in 49 CFR Part 18.22 for the kind of organization receiving the grant or subgrant.

**Preapplication Coordination:**

Some States require preapplication submittals. Trail and trail-related projects must be planned and developed under the laws, policies, and administrative procedures within each State, and be identified in, or further a specific goal of, a recreational trail plan, or a statewide comprehensive outdoor recreation plan required by the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601 et seq.), that is in effect. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The States must submit project proposals to the FHWA division office located in each State for approval. The State may submit individual projects or consolidate similar projects for the purposes of program approval. FHWA approval



constitutes a commitment to pay the Federal share of the project's cost. The State's projects also must be included in State transportation improvement programs and applicable metropolitan transportation improvement programs.

**Award Procedure:**

The State agency or agencies designated by the Governors decide which projects will be developed within funding levels, but the FHWA division office located in each State makes the final decision on the eligibility of specific projects for funding.

**Deadlines:**

There are no Federal deadlines for funding requests. Each State establishes deadlines for projects within that State.

**Range of Approval/Disapproval Time:**

From 5 days to 5 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funds are distributed to the States by statutory formula: 50 percent of the funds are apportioned equally among all States, and 50 percent are apportioned in proportion to the estimated amount of non highway recreational fuel use in each State. In general, the Federal share is determined in accordance with 23 U.S.C. 120(b); generally 80%, with higher Federal shares in States with larger proportions of Federal lands. A Federal agency project sponsor may provide additional Federal funds, provided the total Federal share does not exceed 95 percent. Funds from any other Federal program may be used for the non Federal match if the project also is eligible under the other program. Recreational Trails Program funds may be used to match other Federal funds if the project also is eligible under the other program. States also may allow a programmatic match: if some project sponsors in a State provide more match funds than required, other sponsors in the State may provide less. Some in-kind materials and services may be credited toward the project match. States may allow some pre-approval planning and environmental assessment costs toward the project match.

**Length and Time Phasing of Assistance:**

Funds generally become available at the beginning of the fiscal year for which they are authorized, and must be obligated within 3 years after the close of that fiscal year.

**Reports:**

Generally, the FHWA division office in each State monitors and reviews State projects and programs.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), Audits of State, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 in a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State for 3 years following the final submission for Federal payment in accordance with 49 CFR 18.41.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Grants) Obligations are reported under Federal-aid Highway program totals.

**Range and Average of Financial Assistance:**

Apportionments to the States are based on statutory formula. All 50 States and the District of Columbia are eligible to receive apportionments. For fiscal year 2007 funds ranged from \$727,059 to \$5,555,406; the average was \$1,473,725 (however, some States rescinded funds). For fiscal year 2008 funds ranged from \$776,078 to \$6,037,429, but were subject to rescissions resulting about an 11.5 percent decrease.

**PROGRAM ACCOMPLISHMENTS:**

States selected projects located on Federal, State, local, and private lands for all kinds of recreational trail uses including projects such as: grooming snow trails, maintaining trails, constructing nature trails, constructing urban multiple use trails, developing rail-trails, repairing motorized and non motorized trails, constructing and rehabilitating trail bridges, improving trail access for people with disabilities, developing trailside and trailhead facilities, assessing trails for accessibility and maintenance, improving trail information and signs, and providing trail safety patrols and trail-related training. Many projects use youth conservation or service corps.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, Highways and 49 CFR, Transportation. There are no regulations specifically for this program. Program guidance was completed on April 1, 1999; and is posted at

<http://www.fhwa.dot.gov/environment/rectrails/guidance.htm> along with program updates.

**Regional or Local Office:**

State-level offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or the State agency designated by the Governor to administer this program.

**Headquarters Office:**

Christopher B. Douwes, Office of Planning and Environment (HEPN-50), Federal Highway Administration, 1200 New Jersey Ave S.E., Washington DC 20590. Telephone: (202) 366-5013. Fax: 202-366-3409. E-mail: christopher.douwes@dot.gov.

**Web Site Address:**

<http://www.fhwa.dot.gov/environment/rectrails.html>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction.

**EXAMPLES OF FUNDED PROJECTS:**

Trail projects to develop and maintain recreational trails and trail-related facilities for both non motorized and motorized recreational trail uses. Examples include maintenance and construction of trails for hiking, bicycling, in-line skating, equestrian use, cross-country skiing, snowmobiling, off-road motorcycling, all-terrain vehicle riding, four-wheel driving, or using other off-road motorized vehicles; development and rehabilitation of trailside and trailhead facilities; operation of educational projects and programs to promote safety and environmental protection related to recreational trails; State administrative costs related to this program. Many projects use youth conservation or service corps. See specific project examples at: Award winning projects: <http://www.americantrails.org/awards/CRTawards.html> Project database: <http://www.funoutdoors.info/rtphome.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible, projects must be selected on the basis of State priorities within the limit of the funds apportioned to each State.

## 20.223 TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT (TIFIA) PROGRAM

(TIFIA Credit Program)

**FEDERAL AGENCY:**

FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

23 U.S.C. 601-609; 49 CFR 80.

**OBJECTIVES:**

The TIFIA program's purpose is to finance projects of national or regional significance by filling market gaps and leveraging substantial non-Federal and private co-investment. TIFIA credit assistance is intended to facilitate the financing of projects that would otherwise have been significantly delayed because of funding limitations or difficulties accessing the capital markets. Through TIFIA, the DOT provides Federal credit assistance to eligible highway, transit, rail, and intermodal freight projects, including access to seaports.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Highway, transit, rail, freight facilities, and certain port projects may receive credit assistance through the TIFIA program. The TIFIA statute requires all projects receiving TIFIA assistance to comply with 23 U.S.C. (for highway projects) and chapter 53 of 49 U.S.C. (for transit projects), as applicable. In addition, all projects receiving TIFIA assistance must comply with generally applicable Federal laws and regulations, including title VI of the Civil Rights Act of 1964, the National Environmental Policy Act of 1969, and the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.

**Applicant Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project may apply for TIFIA assistance. Examples of such entities include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

**Beneficiary Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project. Examples include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

**Credentials/Documentation:**

All applicants must demonstrate relevant experience, strong qualifications, a sound project approach, and a project that can demonstrate financial feasibility. Applicants also must meet various Federal standards for participation in a Federal credit program. For example, applicant may not be delinquent or in default on any Federal debts. Such requirements will be specified in the contractual documents between the DOT and each applicant.

**Preapplication Coordination:**

To begin the application process, an applicant should submit to the DOT a Letter of Interest, not to exceed 10 pages. A Letter of Interest template can be found at <http://www.tifia.fhwa.dot.gov/>; it identifies the specific information that must be provided. The DOT requests that applicants submit the Letter of Interest by attaching it via email to [TIFIAcredit@dot.gov](mailto:TIFIAcredit@dot.gov). This letter serves to familiarize the DOT with basic information relating to the project and the applicant. It also permits the DOT and the applicant to ensure that the project meets the basic eligibility requirements for participation. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Upon receiving the DOT's notification that the project meets the basic eligibility criteria, the applicant may submit an application. An application fee, currently \$30,000, must be submitted with the proposal. The application form is available on the TIFIA web site at <http://tifia.fhwa.dot.gov/>.

**Award Procedure:**

Final approval is granted by the Secretary of Transportation.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 60 days. The average time to execute a TIFIA credit agreement from the date of Secretarial approval in FY 2006 was 4.3 months.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The principal amount of the requested credit assistance must not exceed 33 percent of eligible project costs. Applicants should calculate and represent all costs, including both eligible project costs and the credit assistance request, on a cash (year-of-expenditure) basis.

**Length and Time Phasing of Assistance:**

The maximum maturity of all TIFIA credit instruments is 35 years after a project's substantial completion.

**Reports:**

Each credit agreement between the DOT and a borrower will specify the types of on-going documentation required by the DOT and the frequency of such information requests. The credit agreement will also authorize the DOT to commence increased monitoring and reporting, as may be necessary, to ensure the continued credit quality of the project and minimize the government's risk.

**Audits:**

See Index of Current Regulations, Federal Highway Administration.

**Records:**

Documentary evidence that may be requested for each project includes: audited financial statements, updated budget and cash flow projections, audit reports, sources and uses of funds, coverage ratios, project schedules, operating statistics, and management updates (within no more than 180 days following the recipient's fiscal year-end). In addition, the credit agreement obligates the borrower to provide the DOT an annual update to the project's financial plan in accordance with specified requirements. Each borrower will be required to give notice to the DOT of material events, including litigation, which could affect project development or the credit quality of the project.

**Account Identification:**

69-4123-0-3-401; 69-4145-0-3-401; 69-4173-0-3-401.

**Obligations:**

FY 07 \$782,000,000; FY 08 est \$2,391,000,000; FY 09 est not available.

**Range and Average of Financial Assistance:**

Historically, loans have ranged from \$42 million to \$917 million.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2007, as of March 31, 2007, one project loan in the amount of \$516 million has been approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See TIFIA website at <http://tifia.fhwa.dot.gov/> Legislation and Regulations, Program Guidance and application Materials, and Background Reference.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Room 4310, 400 7th Street, S.W., Washington, DC 20590.

**Web Site Address:**

<http://tifia.fhwa.dot.gov/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples include \$917 million loan for the Central Texas Turnpike, \$215 million loan for the Cooper River Bridge, \$600 million loan guarantee for the Washington DC Metro Capital Improvement Program, \$159 million loan for the Staten Island Ferries and Ferry Terminals, \$439 million in two loans for the Miami Intermodal Center.

**CRITERIA FOR SELECTING PROPOSALS:**

The DOT has assigned specific weights to the selection criteria, as follows: National or Regional Significance (20 percent); Private Participation (20 percent); Environment (20 percent); Project Acceleration (12.5 percent); Creditworthiness (12.5 percent); Use of Technology (5 percent); Consumption of Budget Authority (5 percent); Reduced Federal Grant Assistance (5 percent).

**20.231 PERFORMANCE AND REGISTRATION INFORMATION SYSTEMS MANAGEMENT**

(PRISM)

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Congress authorized funding for The Performance and Registration Information Systems Management Program (PRISM) through the Motor Carrier Safety Act of 1991, Public Law 102-240; the Transportation Equity Act for the 21st Century of 1998, Public Law 105-178; and The Flexible, Efficient Transportation Equity Act of 2006, Public Law 109-59.

**OBJECTIVES:**

To identify motor carriers responsible for the safety of commercial motor vehicles and monitor the safety fitness of those motor carriers by linking the vehicle registration process to safety performance monitoring and enforcement. Furthermore, causing the carrier to improve their safety performance through an improvement process, and where necessary, the application of registration sanctions.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Assistance to States for the implementation of the PRISM program, including training, outreach, and the development of system requirements linking motor carrier safety to the States commercial vehicle registration processes. This process allows States to capture the USDOT number of the motor carrier responsible for the safety of each vehicle at the vehicle level during registration.

**Applicant Eligibility:**

A qualified State of the United States and the District of Columbia.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

Submission of a State grant request and PRISM Implementation Plan addressing the program requirements outlined in the PRISM Implementation Guide.

**Preapplication Coordination:**

At the State's request, FMCSA will conduct an initial briefing of the PRISM program for State officials. If a State decides to join PRISM, FMCSA requests they state their intentions to implement the program in a Letter of Intent to FMCSA. A two-day in-depth PRISM training session is then scheduled with the respective State to provide a general overview of the program and a thorough review of the grant requirements included in the PRISM Implementation Guide. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

File with the FMCSA Division Office a Letter of Intent, or a SF 424 Short Form.

The State's PRISM Implementation Plan specifying how the State will meet the program requirements, time frames for completion, and associated costs. A sample Letter of Intent, together with a SF 424 Short and a sample State Implementation Plan are available on the [grants.gov](http://www.grants.gov) website <http://www.grants.gov>.

**Award Procedure:**

The amount of the PRISM grant funding allocated to a qualifying State will be determined by the Federal Motor Carrier Safety Administration based on the assessed needs of the State, the eligibility of the State, and the availability of funds. Once the State's PRISM Implementation Plan has been approved, the grant will be awarded and the State will be required to sign a grant agreement with FMCSA.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

From 21 to 60 days.

**Appeals:**

States will be notified via the Division Administrator of failure to submit a satisfactory PRISM Implementation Plan. States will then be requested to modify and resubmit the plan for approval.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. PRISM grants are 100 percent federally

funded and require no State matching of funds.

**Length and Time Phasing of Assistance:**

Grants are available for up to two years. Obligations to a State will remain available for expenditure during the two-year period specified in the grant agreement and may be extended under special circumstances with FMCSA approval.

**Reports:**

Quarterly activity reports, including a summary of grant expenditures, are required to be filed with the FMCSA Division Office.

**Audits:**

When a State has fully implemented the PRISM Program an Implementation Review is scheduled to ensure that States meet the requirements of the PRISM Program. Items needing modification are identified for corrective action with progress monitored on a bi-annual basis.

**Records:**

Records of all program activities covered in the State's PRISM Implementation Plan and records pertaining to other supporting activities must be kept for 3 years following the year of funding.

**Account Identification:**

69-8048-0-7-401.

**Obligations:**

FY 07 Grants \$5,000,000; Contracts \$1,000,000; FY 08 \$5,000,000; and FY 09 \$5,000,000.

**Range and Average of Financial Assistance:**

Financial assistance averages approximately \$500,000 per State. Funding is determined based upon individual State needs for full implementation of the program.

**PROGRAM ACCOMPLISHMENTS:**

As Of July 1st 2008 46 States plus the District of Columbia have signed grant agreements with the FMCSA to implement the PRISM program, including: AK, AL, AR, AZ, CA, CO, CT, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, ME, MN, MO, MS, MT, NH, NJ, NC, NE, NH, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, and WY. On average it takes approximately 2 to 2 1/2 years for a State to acquire the necessary hardware and software required to build, populate, and maintain the necessary DMV PRISM data files to fully realize the potential of PRISM. Twenty nine States are presently PRISM capable, with four states in the process of implementation and nine states and DC committed to implement the program at their discretion sometime in the future. PRISM states that actively exercise their authority to deny, revoke, and/or suspend a carriers registration include: AL, AR, CT, GA, IA, IN, KY, ME, MN, MO, NC, NE, NH, NM, OH, OK, PA, RI, SC, SD, TN, TX, UT, VT, WA, and WV.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Implementation Guide, Procedures Manual, and System Specifications for the PRISM program may be obtained by contacting PRISMTechnicalSupport@Volpe.dot.gov. Regulations, Guidelines, and Literature: 49 CFR 1.48. 49 CFR 386-399, Federal Motor Carrier Safety regulations; 49 CFR 100-180, Hazardous Materials Regulations, Government Printing Office, \$14-\$27 per volume.

**Regional or Local Office:**

State Division Offices of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Motor Carrier Safety Administration, Office of Enforcement and Compliance, MC-ECE, 1200 New Jersey Ave, S.E., Washington, DC, 20590. Telephone: (202) 366-9699.

**Web Site Address:**

http://www.fmcsa.dot.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

State improvements to data information and registration systems, bar-coding, training and outreach activities.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must submit and receive formal approval of a State PRISM Implementation Plan specifying how the State will meet the program requirements, time frames for completion, and associated costs of the program.

**20.232 COMMERCIAL DRIVER LICENSE STATE PROGRAMS**

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 521, 31136, 31301 et seq., 31502; Section 103, Public Law 106-159, 113 Stat. 1753; Section 214 of Public Law 106-159, 113 Stat. 1766; 49 CFR 1.73. Section 31313 of Public Law 109-59.

**OBJECTIVES:**

To help or prevent truck and bus accidents, fatalities, and injuries by requiring

drivers to have a single commercial motor vehicle license and by disqualifying drivers who operate commercial motor vehicles in an unsafe manner.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to its compliance with section 31311 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU - Public Law 109-59); except that a State that is making good faith efforts toward substantial compliance with the requirements of 31311 and 31313 of SAFETEA-LU may use grants to improve implementation of the State's commercial driver's license program, including expenses for computer hardware and software, publications, testing, personnel, training, fraud prevention, and quality control. The grant may not be used to rent, lease, or buy land or buildings.

**Applicant Eligibility:**

Only those agencies in each State or the District of Columbia that is designated as the primary driver licensing agency responsible for the administration of the CDL program may apply.

**Beneficiary Eligibility:**

States may receive grant funds to comply with the requirements of section 31311 of SAFETEA-LU or if making good faith efforts toward substantial compliance with the requirements of section 31311 and 31313 receive grant funds to improve implementation of the commercial driver's license program.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. States must submit a self assessment of their CDL program and agree to maintain CDL program expenditures at a level at least equal to the average of the past two State fiscal years that ended prior to August 10, 2005. The State is also required to submit a self-assessment of its CDL program that addresses and supports the specific requests indicated in their application for a grant. Costs will be determined in accordance with OMB Circular A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov after approval by the State's FMCSA Division Office.

**Award Procedure:**

The amount of the CDL grant to a qualifying State will be determined by the CDL Division based on the documented needs of the State and the availability of funds. The Federal Register Notice will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDL program in improving highway safety and reducing commercial motor vehicle related fatalities. States will be required to sign a grant agreement.

**Deadlines:**

Grant applications must be approved by the FMCSA Division Administrator in the State and submitted via grants.gov by the date indicated in the Federal Register Notice.

**Range of Approval/Disapproval Time:**

60 to 90 days.

**Appeals:**

States will be notified of a denial of funding of their grant application. If denied funding, a State may revise and resubmit their application within 30 days. FMCSA will consider their revised application and may award a grant based on remaining funds at that time of consideration.

**Renewals:**

A new grant application must be made whenever a new Federal Register Notice is published.

**Formula and Matching Requirements:**

CDL Program Improvement grants are 100 percent federally funded and require no State matching of funds.

**Length and Time Phasing of Assistance:**

Grants are available for up to one year. Obligations to a state remain available until expended.

**Reports:**

Project activity reports and financial status reports (SF-269) must be submitted quarterly to the FMCSA Division office.

**Audits:**

In accordance with OMB Circular A-133, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards must have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Records of all program activities covered in the grant proposal. Such records must be kept for three years following the year of funding.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**



FY 07 \$25,000,000; FY 08 \$25,000,000; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

Fiscal Year 2008 award range: \$46,775 - \$1,604,089; award median: \$409,971.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2003, the program supported six States in connecting to the Social Security Administration's (SSA) on-line and batch verification system. Currently 42 States are using the SSA on-line and batch verification system. With States instituting this check they were able to eliminate one potential means of fraudulently obtaining a Commercial Drivers License. As of fiscal year 2007, the program has helped jurisdictions meet substantial compliance with the Motor Carrier Safety Improvement Act of 1999.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 386-399; 49 CFR 100-180.

**Regional or Local Office:**

State-level office of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Motor Carrier Safety Administration, Office of Safety Programs, CDL Division (MC-ESL), 1200 New Jersey Avenue, S.E., Washington DC 20590. Telephone: (202) 366-3030.

**Web Site Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

20.238, Commercial Drivers License Information System.

**EXAMPLES OF FUNDED PROJECTS:**

Social Security online verification; covert and overt monitoring operations for third party testers and State examiners; automated knowledge tests; conviction automation projects; examiner and third party tester education and training .

**CRITERIA FOR SELECTING PROPOSALS:**

The set of criteria for evaluating proposals is outlined in the Federal Register notice.

## 20.233 BORDER ENFORCEMENT GRANTS

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Feasible, and Efficient Equity Act, 49 U.S.C. Section 31107.

**OBJECTIVES:**

To ensure motor carriers operating commercial vehicles entering the United States from a foreign country are in compliance with commercial vehicle safety standards and regulations, financial responsibility regulations and registration requirements of the United States, and to ensure drivers of those vehicles are qualified and properly licensed to operate the commercial vehicle.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Assistance is provided to entities and States that share a land border country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects.

**Applicant Eligibility:**

Entities and States that share a land border with a foreign country.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Certification by the entity or State that it meets the conditions for grant approval and the State agrees that the total expenditure of amount of the State and its political subdivisions, exclusive of Federal amounts, for carrying out border commercial motor safety programs and related enforcement activities will be maintained at a level at least equal to the average level of that expenditure by the State for the last two fiscal years prior to October 1, 2005.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

File with the Federal Motor Carrier Safety Administration (FMCSA) SF-424 and SF424A forms, a certification that the State meets all eligibility requirements, and a State Border Enforcement Plan.

**Award Procedure:**

The amount of the award to a qualifying applicant will be based on a panel review of all applications, recommendation of the panel, and funding availability. Applicants will be required to sign a grant agreement.

**Deadlines:**

Applications must be filed with a FMCSA Division office in accordance with FMCSA guidance issued through a Federal Register notice.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Applicants will be notified in writing by the Division Administrator if the application is not approved. There is no appeal process.

**Renewals:**

Eligible applicants must submit a new grant application to receive additional funding.

**Formula and Matching Requirements:**

The Federal share of the grant is 100 percent of the expenditures approved in the State's Border Enforcement Plan provided the required maintenance of expenditure amounts are met.

**Length and Time Phasing of Assistance:**

Funds are available for two fiscal years. Amounts not expended at the end of two years will revert to FMCSA for reallocation.

**Reports:**

Quarterly activity reports, and a program evaluation report at the completion of the program, to be filed with the FMCSA Division office.

**Audits:**

In accordance with the provisions of OMB Circular A-133, nonfederal entities that expend financial assistance of \$500,000 or more in any one year shall have a single or program-specific audit conducted for that year. Nonfederal entities that spend less than \$500,000 are exempt from Federal audit requirements except as noted in the OMB circular.

**Records:**

Records of all programs activities covered in the State's Border Enforcement Plan must be kept for three years after the grant is closed.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

FY 07 \$32,000,000; FY 08 est \$32,000,000; FY 09 est not reported.

**Range and Average of Financial Assistance:**

New program, data not yet available.

**PROGRAM ACCOMPLISHMENTS:**

New program, data not yet available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 386-399; 49CFR 100-180; 49 CFR 19. Publications available through the Government Printing Office.

**Regional or Local Office:**

Division Office of FMCSA as listed in Appendix IV of the Catalog.

**Headquarters Office:**

General Motor Carrier Safety Administration, Borders Division, MC-ESB, 400 Seventh Street SW, Washington DC 20590. Telephone: (202) 366-4049.

**Web Site Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

20.217, Motor Carrier Safety; 20.218 National Motor Carrier Safety.

**EXAMPLES OF FUNDED PROJECTS:**

New program, information not yet available.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the requirement contained in the SAFETEA Act. Additionally the State must submit an application including a State Border Enforcement Plan consistent with the national criteria identified the FMCSA.

## 20.234 SAFETY DATA IMPROVEMENT PROGRAM

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 31102.

**OBJECTIVES:**

The objectives are to fund State programs to improve the overall quality of commercial motor vehicle (CMV) data, specifically to increase the timeliness, efficiency, accuracy and completeness of processes and systems related to the collection and analysis of truck and bus crash and inspection data.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Examples of uses for funding include: hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer.

**Applicant Eligibility:**

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the fifty States and the District of Columbia. The State agency must clearly articulate a goal that is related to the quality of State CMV crash and inspection data. Project objectives must be clearly articulated, time-limited, action-oriented, measurable and achievable. Project plans must include performance measures for monitoring the improvement in the quality of State-reported CMV safety data.

**Beneficiary Eligibility:**

Federal, State and local entities are the beneficiary.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Registration with grants.gov may take two to five days before the system will allow access to the grant application package. Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

An evaluation panel will select award recipients based on an overall application score outlined in the application package, the potential for improvement of national Safety data collection and reporting rates, and the total funding available.

**Deadlines:**

Application deadlines are posted to Grants.gov and are included in the application package. Grant awards are contingent upon Congressional approval of Fiscal Year budgets.

**Range of Approval/Disapproval Time:**

If basic eligibility criteria are met and funds are available, discussion with potential grantees continues until the project plan is mutually acceptable.

**Appeals:**

Appeals will be considered upon demonstration that the proposal meets SaDIP grant eligibility criteria and the State Safety Data Quality measures have been addressed.

**Renewals:**

Renewals or request for extensions to the grant period of performance can be made through the FMCSA State Division Offices.

**Formula and Matching Requirements:**

The recipient may request monthly reimbursements of costs incurred in the performance of the grant-funded project, as are allowable under the applicable cost provisions under 49 CFR Part 18. The cost sharing is 20% State contribution and 80% Federal contribution.

**Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 18 months; grant program extensions are allowable and funds are available until expended.

**Reports:**

The recipient shall submit quarterly reports on the 15th of the month following the end of the quarter being reported.

**Audits:**

The recipient is responsible for ensuring that independent audits are conducted in accordance with the existing Federal auditing and reporting standards set forth in OMB Circular A-133. The audit report must be submitted to the FMCSA to support the indirect cost proposal.

**Records:**

The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data. The FMCSA shall have rights pursuant to 49 CFR Part 18 Section 18.34.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

FY 07 \$3,000,000; FY 08 \$3,000,000; and FY 09 \$3,000,000.

**Range and Average of Financial Assistance:**

Range \$5,000 - \$500,000. Average amount of award \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Improve the overall quality of CMV crash and inspection data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4128 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) established the SaDIP grant opportunity. The legislation provides discretionary funding for States to improve the quality of crash and inspection data for large trucks and buses reported by States to FMCSA, as described in 49 U.S.C. Section 31102. The funding is codified in 49 U.S.C. Section 31104.

**Regional or Local Office:**

Refer to the FMCSA Field Office Roster at the FMCSA website for your FMCSA State Division Office (<http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>)

**Headquarters Office:**

Betsy Benkowski, State Safety Data Quality Program Manager; Office of Analysis, Research and Technology-Analysis Division (MC-RRA); FMCSA 1200 New Jersey Avenue, S.E., W68-324, Washington, DC 20590; Telephone: (202) 366-5387.

**Web Site Address:**

E-mail: [betsy.benkowski@dot.gov](mailto:betsy.benkowski@dot.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See "Uses and Use Restrictions" above.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are defined in the evaluation criteria included with the full application package available on Grants.gov; criteria are based on the defined goals and objectives included in, and the feasibility and cost

effectiveness of, the proposed project plan.

## 20.235 COMMERCIAL MOTOR VEHICLE OPERATOR TRAINING GRANTS

(Federal Motor Carrier Safety Administration (FMCSA), Department Of Transportation)

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

To promote the safe operation of commercial motor vehicles (as defined in 49 U.S.C. 31301) through the training of operators and future operators of such vehicles.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Assistance to persons who train operators and future operators of commercial motor vehicles (as defined in 49 U.S.C. 31301) in the safe operation of such vehicles.

**Applicant Eligibility:**

State governments, local governments, and accredited postsecondary educational institutions (public or private) such as colleges, universities, vocational-technical schools and truck driver training schools.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

State government agencies, local government agencies or accredited postsecondary educational institutions recognized by the U.S. Department of Education. The list of accredited postsecondary educational institutions is available on the U.S. Department of Education website at [www.ed.gov](http://www.ed.gov).

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

File application package (SF-424, SF-424A, SF-424B, and project plan) with FMCSA Division office in the State where the applicant is located or electronically through Grants.gov ([www.grants.gov](http://www.grants.gov)), including a detailed project proposal, following procedures in accordance with FMCSA guidance issued through a Federal Register notice.

**Award Procedure:**

The amount of award to a qualified applicant will be at the discretion of FMCSA based upon a panel review of all applications, recommendations of the review panel, and funding availability. Successful applicants will be required to sign a grant agreement with FMCSA.

**Deadlines:**

Applications must be filed with an FMCSA Division office or through Grants.gov in accordance with FMCSA guidance issued through a Federal Register notice.

**Range of Approval/Disapproval Time:**

60-90 days.

**Appeals:**

Applicants will be notified in writing by FMCSA if the application is not approved. There is no appeal process.

**Renewals:**

Eligible applicants must submit a new grant application to receive additional funding.

**Formula and Matching Requirements:**

The Federal share of the grant shall not exceed 80 percent of the approved expenditures in the project plan. A 20 percent matching share by the recipient is required.

**Length and Time Phasing of Assistance:**

Grants are available for the fiscal year in which obligated plus the next full fiscal year. Amounts not expended by the end of this period will revert back to FMCSA for reallocation.

**Reports:**

Quarterly activity reports are required to be filed with the FMCSA Division office in the State where the recipient is located. A program evaluation report is also required to be submitted no later than 90 days after completion of the grant period.

**Audits:**

In accordance with the provisions of revised OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities, including institutions of higher education, that expend \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Records of all program activities, including financial and programmatic records, statistical records and any other records, covered in the approved project plan must be kept for a period of 3 years after the grant is closed.

**Account Identification:**

69-8159-0-7-401.

**Obligations:**

FY 07 \$1,000,000; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

FY 05 \$1,000,000 (single award).

**PROGRAM ACCOMPLISHMENTS:**

New program; no data yet available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 18; 49 CFR 19; 49 CFR 20; 49 CFR 386-399, Federal Motor Carrier Safety Regulations; 49 CFR 100-180, Hazardous Materials Regulations, available through Government Printing Office.

**Regional or Local Office:**

FMCSA Division office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Motor Carrier Safety Administration, State Programs Division, MC-ESS, 400 Seventh Street, SW., Washington, DC, 20590. Telephone: 202-366-9579.

**Web Site Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grant awarded to enhance the State of Florida's commercial motor vehicle operator training program through community vocational education (FY 05).

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant must submit an application including a detailed project plan consistent with criteria identified by the FMCSA. The plan must provide for the effective administration of a commercial motor vehicle operator training program.

## 20.236 THERMAL IMAGING INSPECTION SYSTEM DEMONSTRATION PROJECT

(TIIS Demonstration Project)

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION (FMCSA),  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) Act of 2005, Title V, Subtitle E, Section 5513(a), Public Law 109-59.

**OBJECTIVES:**

The Secretary of Transportation shall carry out a demonstration project that uses a thermal imaging inspection system (TIIS) that leverages state-of-the-art thermal imagery technology, integrated with signature recognition software, providing the capability to identify, in real time, faults and failures in tires, brakes and bearings mounted on commercial motor vehicles.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds under this project shall be used to employ a TIIS in a field environment, along the Interstate, to further assess the system's ability to identify faults in tires, brakes, and bearings mounted on commercial motor vehicles; to establish, through statistical analysis, the probability of failure for each component; and to develop and integrate a predictive tool into the TIIS, which identifies an impending tire, brake, or bearing failure and provides the use a time frame in which this failure may occur. This project shall be conducted at multiple sites including the FMCSA's Roadside Test Lab located at an operational weigh station on Interstate 81 in Eastern Tennessee. The project shall involve the participation of the Tennessee Department of Safety.

**Applicant Eligibility:**

The following entities are eligible to apply for funding under this project: Public nonprofit institution/organizations, Federal agencies and laboratories, Profit organizations, Private nonprofit institutions/organizations, and Other private institutions/organizations. Institutions of higher education are eligible may include public, private, or State colleges and universities. State and local governments are not eligible to apply.

**Beneficiary Eligibility:**

State, Public Nonprofit Institution/Organization, Other Public Institution/organization, Profit Organization, Private Organization, Quasi-Public Nonprofit Organization, Other Private Institution/organization, Education Professional, Student/Trainee, Graduate Student, Scientists/Researcher, Engineer/Architect, Builder/Contractor/Developer, Industrialist/Business Person.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. The Secretary may enter a cooperative agreement with a public or private organization including institutions of higher education that has the most responsive proposal to the objectives of this project. The applicant must submit an application form (SF-424, SF-424A, and SF-424B) and proposal no later than June 30, 2006 to the FMCSA Office of Research and Analysis, Technology Division. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit an application form (SF-424, SF-424A, and SF-424B) via [www.grants.gov](http://www.grants.gov) no later than 30 days after the Federal Register Notice for this project is published. The estimated publishing date for the Federal Register notice is by the end of June, 2006. Applicants must register with [www.grants.gov](http://www.grants.gov) in order to submit grant applications. Applicants are strongly encouraged to register well before the application deadline since this one-time registration process can take several days to complete.

**Award Procedure:**

A grant agreement will be awarded to the most responsive proposal within 60 days after the Federal Register notice for this project is published. The estimated publishing date for the Federal Register notice is by the end of June, 2006.

**Deadlines:**

Proposals are due 30 days after the Federal Register notice for this project is published. The estimated publishing date for the Federal Register notice is by the end of June, 2006. Applicants must register with [www.grants.gov](http://www.grants.gov) in order to submit grant applications. Applicants are strongly encouraged to register well before the application deadline since this one-time registration process can take several days to complete.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

As required by SAFETEA-LU, Section 5513(m), the Federal share of the total cost of activities carried out in accordance with Section 5513(a) shall be 80 percent. The 20 percent match may be in the form of dedicated funding, equipment, or in-kind services for this project.

**Length and Time Phasing of Assistance:**

The funding for this project shall be made available to the recipient on a cost reimbursable basis. The funding for this project, once awarded, is available until fully expended. The period of performance for this project is 24 months from the date of award.

**Reports:**

The recipient shall be required to submit monthly reports documenting project accomplishments, expenditures, performance problems encountered, and planned activities in the next reporting period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or program-specific audit conducted for that year.

**Records:**

The entity that receives funding under this program shall follow the Records requirements of OMB Circular A-110.

**Account Identification:**

69-8048-0-7-401.

**Obligations:**

FY 07 est not reported; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

A single award of \$1,412,044 will be made for this project. This is a new project with no prior history. This is a discretionary grant program. FMCSA anticipates making one award to one recipient. Total available funding is \$1,412,044. Incremental payments will be made at intervals corresponding with performance milestones to be agreed upon by the parties.

**PROGRAM ACCOMPLISHMENTS:**

Expected accomplishments are the demonstration of a thermal imaging inspection system (TIIS) that leverages state-of-the-art thermal imagery technology, integrated with signature recognition software, providing the capability to identify, in real time, faults and failures in tires, brakes and bearings mounted on commercial motor vehicles.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR Parts 18 and 19 OMB Circulars: A-102, A-110, A-87, A-21, A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeff Loftus, Federal Motor Carrier Safety Administration, Office of Research and Analysis, Technology Division (MC-RRT), Telephone: (202) 385-2363, Fax:



(202) 385-2422, jeff.loftus@dot.gov, 400 Virginia Avenue, S.W., Suite 600, Washington, DC 20024. Office hours are from 9:30 AM to 6:00 PM, ET, Monday through Friday, except Federal holidays.

**Web Site Address:**  
www.fmcsa.dot.gov.

**RELATED PROGRAMS:**  
None.

**EXAMPLES OF FUNDED PROJECTS:**  
None.

**CRITERIA FOR SELECTING PROPOSALS:**

Upon receipt, the proposals will be evaluated by FMCSA for potential funding. Selection of a successful applicant will be made based upon the evaluation criteria of: Past Performance, Technical and Management Approach, and Price. Price proposals will be analyzed for reasonableness and completeness to include the period of performance and tasks. This evaluation may include a comparison of the applicant's proposed prices (including the required additional price information) to those of other applicants and to prices paid under the same or similar contracts. A price proposal found to be unrealistically low may reflect a lack of understanding of requirements. The Government may use the price realism analysis as part of its evaluation of technical and management approach and/or its responsibility determination.

## 20.237 SAFETY DATA IMPROVEMENT PROGRAM

(SADIP)

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION (FMCSA)

**AUTHORIZATION:**

49 U.S.C. 31102.

**OBJECTIVES:**

The objectives are to fund State programs to improve the overall quality of commercial motor vehicle (CMV) data, specifically to increase the timeliness, efficiency, accuracy and completeness of processes and systems related to the collection and analysis of truck and bus crash and inspection data.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Examples of uses for funding include: hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer.

**Applicant Eligibility:**

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the fifty States and the District of Columbia. The State agency must clearly articulate a goal that is related to the quality of State CMV crash and inspection data. Project objectives must be clearly articulated, time-limited, action-oriented, measurable and achievable. Project plans must include performance measures for monitoring the improvement in the quality of State-reported CMV safety data.

**Beneficiary Eligibility:**

Federal, State and local entities are the beneficiary.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded From coverage under E.O. 12372.

**Application Procedure:**

Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Registration with grants.gov may take two to five days before the system will allow access to the grant application package. Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

An evaluation panel will select award recipients based on an overall application score outlined in the application package, the potential for improvement of national Safety data collection and reporting rates, and the total funding available. When an account has been established in DOT Delphi accounting system for the grant funds. Notify the FMCSA Division Administrator (or a designee) of the project code associated with the grant. Members of the FMCSA, FHWA, and FAA accounting, legal, and acquisitions departments also will play key roles in the grant management process.

**Deadlines:**

Application deadlines are posted to Grants.gov and are included in the application package. Grant awards are contingent upon Congressional approval of Fiscal Year budgets.

**Range of Approval/Disapproval Time:**

If basic eligibility criteria are met and funds are available, discussion with potential grantees continues until the project plan is mutually acceptable.

**Appeals:**

Appeals will be considered upon demonstration that the proposal meets SADIP grant eligibility criteria and the State Safety Data Quality measures have been addressed.

**Renewals:**

Renewals or request for extensions to the grant period of performance can be made through the FMCSA State Division Offices.

**Formula and Matching Requirements:**

The recipient may request monthly reimbursements of costs incurred in the performance of the grant-funded project, as are allowable under the applicable cost provisions under 49 CFR Part 18. The cost sharing is 20 percent State contribution and 80% Federal contribution.

**Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 18 months; grant program extensions are allowable and funds are available until expended.

**Reports:**

The recipient shall submit quarterly reports on the 15th of the month following the end of the quarter being reported.

**Audits:**

The recipient is responsible for ensuring that independent audits are conducted in accordance with existing Federal auditing and reporting standards set forth in OMB Circular A-133. The audit report must be submitted to the FMCSA to support the indirect cost proposal.

**Records:**

The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data. The FMCSA shall have rights pursuant to 49 CFR Part 18 Section 18.34.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

FY 07 \$3,000,000; FY 08 est \$3,000,000; and FY 09 \$3,000,000.

**Range and Average of Financial Assistance:**

Range \$5,000 - \$500,000; Average award \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Improve the overall quality of CMV crash and inspection data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4128 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) established the SaDIP grant opportunity. The legislation provides discretionary funding for States to improve the quality of crash and inspection data for large trucks and buses reported by States to FMCSA, as described in 49 U.S.C. Section 31102. The funding is codified in 49 U.S.C. Section 31104.

**Regional or Local Office:**

Refer to the FMCSA Field Office Roster at the FMCSA website for your FMCSA State Division Office (<http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>).

**Headquarters Office:**

Betsy Benkowski, State Safety Data Quality Program Manager; Office of Analysis, Research and Technology -Analysis Division (MC-RRA); FMCSA, 1200 New Jersey Avenue, S.E., W68-324, Washington, DC 20590; Telephone: (202) 366-5387.

**Web Site Address:**

E-mail: [betsy.benkowski@dot.gov](mailto:betsy.benkowski@dot.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See "Uses and Use Restrictions" above.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are defined in the evaluation criteria included with the full application package available on Grants.gov; criteria are based on the defined goals and objectives included in, and the feasibility and cost effectiveness of, the proposed project plan.

## 20.238 COMMERCIAL DRIVERS LICENSE INFORMATION SYSTEM

Commercial Drivers License Information System (CDLIS)

**FEDERAL AGENCY:**

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

**AUTHORIZATION:**

49 U.S.C. 521, 31136, 31301 et seq., 31502; Section 103, Public Law 106-159, 113 Stat. 1753; Sec. 214 of Public Law 106-159, 113 Stat. 1766; 49 CFR 1.73. Section 31309 of Public Law 109-59.

**OBJECTIVES:**

To modernization the Commercial Driver's License Information System (CDLIS). Following modernization CDLIS will: (1) comply with applicable Federal information technology security standards; (2) provide for the electronic exchange of all information including the posting of convictions; (3) contain self auditing features to ensure that data is being posted correctly and consistently by

the States; and (4) integrate the commercial driver's license and the medical certificate.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to modernizing its CDLIS to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. A grant to a State may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS of the State to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code.

**Applicant Eligibility:**

A qualified state and the District of Columbia. An organization representing agencies and officials of a State.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Certification by the state that it meets the conditions for grant approval. States will fund future efforts to modernize CDLIS. Costs will be determined in accordance with OMB Circular A-87.

**Preapplication Coordination:**

This program is excluded from coverage E.O. 12372.

**Application Procedure:**

Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov after pre application review by the State's FMCSA Division Office.

**Award Procedure:**

The amount of the CDL Modernization grant to a qualifying state will be determined by the State Programs CDL Division based on the availability of funds and the eligibility of the State. The Grants.gov announcement will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDLIS Modernization program. States will be required to sign a grant agreement.

**Deadlines:**

Grant applications must be filed with the FMCSA Division Office by the date stated on Grants.gov.

**Range of Approval/Disapproval Time:**

60 to 90 days.

**Appeals:**

States will be notified in writing.

**Renewals:**

A new grant application must be made whenever a grant opportunity is published.

**Formula and Matching Requirements:**

A grant under this CFDA may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS.

**Length and Time Phasing of Assistance:**

Grants are available for up to one year. Obligations to a state remain available until expended.

**Reports:**

Quarterly activity reports are to be filed with the FMCSA Division office.

**Audits:**

In accordance with OMB Circular A-133, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards must have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Records of all program activities covered in the grant proposal. Such records must be kept for three years following the year of funding.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

FY 07 \$7,000,000; FY 08 \$8,000,000 and FY 09 \$8,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 386-399; 49 CFR 100-180.

**Regional or Local Office:**

State-level office of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Motor Carrier Safety Administration, State Programs-CDL Division, MC-ESL, 400 Seventh Street S.W., Washington DC 20590. Telephone: (202) 366-2964.

**Web Site Address:**

<http://www.fmcsa.gov>.

**RELATED PROGRAMS:**

20.217, Motor Carrier Safety; 20.218, National Motor Carrier Safety; 20.232,

Commercial Driver License State Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Hardware and software upgrades.

**CRITERIA FOR SELECTING PROPOSALS:**

Compliance with CDLIS Modernization plan. States must be in substantial compliance with the requirements of sections 31309 and 31311 of title 49 of the United States Code.

**20.240 FUEL TAX EVASION-INTERGOVERNMENTAL ENFORCEMENT EFFORT**

(Fuel Tax Evasion-Intergovernmental Enforcement Efforts)

**FEDERAL AGENCY:**

FEDERAL HIGHWAY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C. Section 1101 (a)(21).

**OBJECTIVES:**

To increase intergovernmental activities and enforcement efforts among public agencies to reduce Federal fuel tax evasion. Funds made available shall be used only to expand or enhance intergovernmental efforts to increase motor fuel tax enforcement and payments; to supplement motor fuel tax examinations and criminal investigations; and to increase research and training in the area of Federal fuel tax evasion.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Any funds administered under this program shall be used in accordance with the specifications in OMB Circular A-87, Cost Principles Applicable to State, local and Indian Tribal Governments.

**Applicant Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit all proposals electronically through [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Awards are made annually through fiscal year 2009. An interagency review group will be established to review all proposals after the application deadline. FHWA and IRS will jointly recommend and approve projects for Federal funding for fuel tax evasion intergovernmental enforcement efforts. States selected to receive funding will enter into negotiations with FHWA and be required to enter into a project agreement with FHWA.

**Deadlines:**

Not available at this time.

**Range of Approval/Disapproval Time:**

The approval/disapproval time will take approximately 2 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects will not be funded for a period of more than 2 years.

**Reports:**

Annual reports will be required for each project and will be outlined in the project agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards, will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 in a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

FY 07 \$1,000,000; FY 08 \$1,000,000 and FY 09 \$1,000,000.

**Range and Average of Financial Assistance:**

Minimum: \$10,000 Maximum: \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Manager, Office of Transportation Policy Studies (HPTS), Federal Highway Administration, 400 Seventh St. S.W., Washington, DC 20590-0001, Telephone: (202) 366-9234.

**Web Site Address:**

<http://www.fhwa.dot.gov/policy/otps/fueltax.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are encouraged to submit innovative proposals to reduce fuel tax evasion and increase collaboration and coordination among several public agencies. Priority will be given to proposals that involve more than one public agency.

**20.301 RAILROAD SAFETY**

**FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Department of Transportation Act of 1966, as amended, Public Law 89-670, 49 U.S.C. 1651-1659; Federal Railroad Safety Act of 1970, as amended, Public Law 91-458, as amended, Public Law 93- 90, 45 U.S.C. 421-441.

**OBJECTIVES:**

To reduce railroad-related casualties and accidents.

**TYPES OF ASSISTANCE:**

Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Enforcement of all Federal laws and related regulations designed to promote safety of all railroads including Federal Track Safety Regulations, Safety Appliance and Freight Car Safety Standards, Hazardous Materials Regulations, Employee Hours of Service and Power Brake Rules. Investigation of safety-related complaints and evaluation of petitions requesting waivers from standards, rules, and regulations.

**Applicant Eligibility:**

Anyone concerned with railroad safety.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None required.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact Federal Railroad Administration headquarters, preferably by letter.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

69-0702-0-1-401.

**Obligations:**

(Salaries and Expenses) FY 07 est not available; FY 08 est not available; and FY 09 est not reported. Note: Total salaries and expenses under the appropriation include regulatory functions in addition to investigation of complaints.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In May 2004 FRA completed the coordination and publication of the Secretary's Action Plan for Highway-Rail Crossing Safety and Trespassing Prevention. In addition to FRA, the multifceted Action Plan was created with valuable input from FHWA, FTA and FMCSA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Regional Administrator, 55 Broadway, Room 1077, Cambridge, MA 02142. Telephone: (617) 494-2302. Regional Administrator, International Plaza II, Suite 550, Philadelphia, PA 19113. Telephone: (610) 521-8200. Regional Administrator, 61 Forsyth Street, SW., Suite 16T20, Atlanta Federal Center, Atlanta, GA 30303- 3104. Telephone: (404) 562-3800. Regional Administrator, 111 West Adam Street, Suite 310, Chicago, IL 60606. Telephone: (312) 353-6203. Regional Administrator, 8701 Bedford Euleess Road, Suite 425, Hurst, TX 76053. Telephone: (817) 284-8142. Regional Administrator, 901 Locust Street, Suite 464, Kansas City, MO 64106. Telephone: (816) 329-3840. Regional Administrator, 801 I Street, Suite 466, Sacramento, CA 95814. Telephone: (916) 498-6540. Regional Administrator, 500 E. Broadway, Suite 240, Vancouver, WA, 98660. Telephone: (360)696-7536.

**Headquarters Office:**

Associate Administrator for Safety, Federal Railroad Administration, Mail Stop 25, 1120 Vermont Ave., NW., Washington, DC 20590. Telephone: (202) 493-6304.

**Web Site Address:**

<http://www.fra.gov/o/safety>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Investigation of complaints against railroads for violation of railroad safety rules and regulations.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.303 GRANTS-IN-AID FOR RAILROAD SAFETY-STATE PARTICIPATION**

(State Participation in Railroad Safety)

**FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Federal Railroad Safety Act of 1970, Sections 202, 205-208, as amended, 45 U.S.C. 431, 434-437; Hazardous Materials Transportation Uniform Safety Act of 1990, Section 28; Public Laws 91- 458 and 96-423; 94 Stat. 1812 and 104 Stat. 3244.

**OBJECTIVES:**

To promote safety in all areas of railroad operations; reduce railroad related accidents and casualties; and to reduce damage to property caused by accidents involving any carrier of hazardous materials by providing State participation in the enforcement and promotion of safety practices.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Federal funds, when appropriated, subsidize participating States for necessary personnel, training, equipment, and activities related to enforcement of Federal railroad standards, as called for under the Federal Railroad Safety Act of 1970, as amended. State inspectors are authorized to work in all five safety inspection disciplines. The Federal Railroad Administration (FRA) fully funds comprehensive inspector classroom training for State inspectors meeting eligibility requirements of 49 CFR part 212, State Safety Participation Regulations.

**Applicant Eligibility:**

A State may participate in investigative and surveillance activities in connection with regulations promulgated by FRA under this Act which are applicable to track and rolling equipment, signal and train control, operating practices, and hazmat inspections. The State must provide the Administrator with an annual (or multi-year) certification that the State agency (1) has regulatory jurisdiction, (2) has been furnished a copy of each Federal rail safety regulation, and (3) is conducting investigative and surveillance activities prescribed by the FRA Administrator. State safety personnel must be bona fide state employees. State inspectors must meet minimum Federal qualifications, as well as successfully complete the inspector technical evaluation.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

Annual (or multi-year) certification, as outlined under the Applicant Eligibility section, includes a report showing (1) the safety jurisdiction of the State agency;



(2) an annual work plan developed through coordination with the Regional Safety Director's Office; and (3) other information as the Secretary of Transportation may require. States must provide proof of employee experience qualifications and provide an annual plan of activities.

**Preapplication Coordination:**

It is recommended that interested States contact the Associate Administrator for Safety, Office of Safety Analysis, Federal Railroad Administration, 1120 Vermont Avenue, NW., Washington, DC 20590. Telephone: (202) 493-6300. Consultation and assistance is available from the Federal Railroad Administration (FRA) preparing the application form, furnished by the FRA and required by OMB Circular No. A-102 and FRA regulations (49 CFR 212). This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Completion of the form entitled "State Participation Program" is required for certification under Section 206 of the Act and 49 CFR 212. The information required in this form is specified in 49 CFR 212.105 and 212.107 for the Initial Certification and Report. The form includes provisions for a description of the State's planned program with respect to the investigative and surveillance activities prescribed for each Federal railroad safety rule, regulation, order, or standard for which a certification is submitted, or into which an agreement is entered. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

When Federal appropriations are available to the State Participation Program, the application for payments and approval by the Federal Railroad Administrator requires certification under Section 206, Subsection (a); the report required under Subsection (b); or agreements with noncertifying States as outlined under Subsection (c); and satisfactory assurances to the Administrator that the State agency will provide the remaining costs, of a safety program, as reflected under Subsection (d).

**Deadlines:**

Federal appropriations for the State Participation Program are made on a Federal fiscal year basis for activities to be conducted in the ensuing fiscal year.

**Range of Approval/Disapproval Time:**

Sixty (60) days.

**Appeals:**

Not applicable.

**Renewals:**

Certification required annually when federal appropriations are available to the State Participation Program; agreements with noncertifying states required annually.

**Formula and Matching Requirements:**

When appropriations are available to the State Participation Program, the Secretary of Transportation shall pay up to 50 percent of cost of the personnel, equipment, and activities of a State agency which are reasonably required during the ensuing fiscal year to carry out a safety program under such certification or agreement. No payment may be made unless the State agency making application gives satisfactory assurances to the Secretary of Transportation that the State agency will provide the remaining cost of a safety program and that the aggregate expenditures of State funds exclusive of Federal grants, will be maintained at a level which does not fall below the average level of such expenditures for the last two fiscal years preceding the date of enactment of this title.

**Length and Time Phasing of Assistance:**

Annually, subject to certification and the availability of Federal funds.

**Reports:**

The State agency shall submit a copy of each semiannual expenditure/performance report, and an annual coordination work plan to the Federal Railroad Administration. Participating States shall submit daily inspection reports and violation reports (where applicable).

**Audits:**

The State agency shall maintain a financial management system which is in compliance with the standards listed in 49 CFR Part 18. In addition, the State agency shall permit authorized representatives of the Federal Railroad Administration or other Federal Government agencies to review investigative and surveillance activities and to inspect payrolls, personnel records, invoices, and other relevant data and records pertaining to payment agreements and implementation activities. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27,2003), "Audits of States, Local Governments, and Non- Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients of more than \$300,000 shall submit one copy of the audit report within 30 days after issuance to the Department of Commerce, Bureau of Census, Data Preparation Division, 1201

East 10th Street, Jeffersonville, Indiana 47132, Attn: Single Audit Clearinghouse.

**Records:**

(See Reports and Audits section of the program.) The State agency is authorized to substitute microfilm copies in lieu of original records. The Federal Railroad Administration shall request the State agency to transfer certain records to Federal custody when the FRA determines that the records possess long-term retention value.

**Account Identification:**

69-0706-0-1-401.

**Obligations:**

FY 07 \$1,400,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The Federal share in fiscal year 1988 was estimated at \$2,000 to \$16,000 per State inspector with the average at \$9,000 per State inspector. No Federal funds were available in fiscal years 1989 to 2004.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 04 30 States are participating with 153 inspectors (44 track inspectors, 34 equipment inspectors, 30 operating practices inspectors, 24 signal and train control inspectors, and 22 hazardous materials inspectors). In fiscal year 2004, State rail safety inspectors filed 17,503 reports and recorded 73,021 rail safety defects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Railroad Safety Act of 1970, as amended; the Federal safety standards published there under; and the State Participation Regulations, 49 CFR 212.

**Regional or Local Office:**

Regional Administrator, 55 Broadway, Room 1077, Cambridge, MA 02142. Telephone: (617) 494-2302; Regional Administrator, International Plaza II, Suite 550, Philadelphia, PA 19113. Telephone: (610) 521-8200; Regional Administrator, Suite 16T20, Atlanta Federal Center, 61 Forsyth Street, SW., Atlanta, GA 30303. Telephone: (404) 562-3800; Regional Administrator, 200 West Adams Street, Suite 310, Chicago, IL 60606. Telephone: (312) 353-6203; Regional Administrator, 4100 International Plaza, Suite 450, Fort Worth, TX 76109. Telephone: (817) 862-2200; Regional Administrator, 801 I Street, Suite 466, Sacramento, CA 95814. Telephone: (916) 498-6540; Regional Administrator, DOT Building, 911 Locust Street, Suite 464, Kansas City, MO 64106. Telephone: (816) 426-2497; and Regional Administrator, Murdock Executive Plaza, Suite 650, 703 Broadway, Vancouver, WA 98660. Telephone: (360) 696-7536.

**Headquarters Office:**

Associate Administrator for Safety, Federal Railroad Administration, Mail Stop 25, 1120 Vermont Avenue NW., Washington, DC 20590. Telephone: (202) 493-6300.

**Web Site Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

20.301, Railroad Safety; 20.502, Federal Transit Grants for University Research and Training; 20.900, Transportation\_Consumer Affairs; 33.001, Shipping\_Dispute Resolution and Investigation of Complaints.

**EXAMPLES OF FUNDED PROJECTS:**

When appropriations are available to the State Participation Program, six types of inspection programs are funded - one for track safety standards, one for freight car locomotive safety (motive power and equipment) standards, one for signal and train control standards, one for grade crossing signal system standards, one for operating practices standards and one for a hazardous materials inspection program. States may apply for one program or for all. No Federal funds are available in fiscal year 2003 or are anticipated in fiscal year 2004.

**CRITERIA FOR SELECTING PROPOSALS:**

The application forms for State participation provide the necessary detail for the selection process of State proposals. It is important that the State meet the eligibility requirements and project a comprehensive safety program plan for involvement. Key criteria are listed in the State Participation Regulations, (49 CFR 212), which are integral to the selection and qualifying process.

**20.312 HIGH SPEED GROUND TRANSPORTATION-NEXT GENERATION HIGH SPEED RAIL PROGRAM**

**FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Departments of Transportation and Treasury, and Independent Agencies Appropriations Act of Fiscal Year 2004; Public Law 108-99; Transportation Equity Act for the 21st Century, Public Law 105-178.

**OBJECTIVES:**

To stimulate the implementation of High Speed Passenger Rail Systems.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Projects must show a demonstrable benefit to the research, development, design,

or ultimate operation of incremental High Speed Passenger Rail Systems.

**Applicant Eligibility:**

Any United States private business, educational institution located in the United States, State or local government or public authority, or agency of the Federal government is eligible for assistance relating to Next Generation High Speed Passenger Rail Systems.

**Beneficiary Eligibility:**

No restrictions.

**Credentials/Documentation:**

As specified in program solicitations and Federal Register Notices.

**Preapplication Coordination:**

The FRA will announce specific pre- application coordination activities for each project area in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As specified in NOTICES for specific project areas.

**Award Procedure:**

As specified in notices for specific project areas.

**Deadlines:**

As specified in notices for specific project areas.

**Range of Approval/Disapproval Time:**

Four to 16 weeks after application.

**Appeals:**

To Administrator, Federal Railroad Administration.

**Renewals:**

Grants, cooperative agreements or contracts contemplated in this program are predominantly project-oriented rather than on-going efforts and are therefore non-renewable.

**Formula and Matching Requirements:**

Not applicable to technology development efforts.

**Length and Time Phasing of Assistance:**

As specified in individual project NOTICES.

**Reports:**

A final report detailing the work conducted and the progress accomplished will be required for all projects.

**Audits:**

For projects assisting States, local governments, and nonprofit organizations in accordance with OMB Circular No. A-133. For projects assisting private businesses in accordance with 48 CFR Chapter I Subpart 31.2, Contracts with Commercial organizations. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with requirements of the specific project agreement.

**Account Identification:**

69-0722-0-1-401; 69-9973-0-7-401.

**Obligations:**

FY 07 \$2,529,100; FY 08 est \$960,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$100,000 to \$7,000,000. Average: \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

This program was initiated in fiscal year 1995, and focuses on technology development in (a) High Speed, High Acceleration Fossil-Fueled Locomotives; (b) Advanced Communications Based Train Control Systems; (c) Highway-Rail Grade Crossing Sensor and Warning Systems; and (d) Low Cost, Innovative Technologies. Federal Register Notice was issued on September 8, 1994, requesting applications for a demonstration of High Speed Positive Train Control (HSPTC) on one or more corridors designated under Section 1010 of ISTEA. Awards totaling \$20 million have been made in fiscal 1995 through fiscal year 2001 to the State of Michigan. Awards totaling \$28 million have been made to the State of Illinois. Four Advanced Locomotive Awards totaling \$12.5 million of Federal funding have been made to the State of New York with 50/50 matching provided by the New York State Department of Transportation. A cooperative agreement has produced a 150 mph turbine-powered locomotive with Federal funding totaling \$13 million to Bombardier Transit, Inc. with 50/50 matching by Bombardier. Awards totaling over \$20 million have been made to various contractors and States for technology to mitigate grade crossing hazards. In FY 2003, FRA awarded a \$4 million cooperative agreement to the Florida DOT for a demonstration of Diesel Multiple Unit (DMU) Passenger Rail Cars, which fully comply with all current federal standards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOT Appropriations Act of Fiscal Year 2002, Public Law 107-87. Prospective applications should note that the Department of Transportation and Related Agencies Appropriation Acts and associated congressional report language may have designated applications of program funding. Broad Agency Announcement BAA-2001-02, Funds Availability for Research Projects and Technology Advancements under the NGHSR Program, June 2001.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Railroad Development, 1200 New Jersey Avenue, SE, Washington, DC 20590.

**Web Site Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples are described in the paragraph on program accomplishments.

**CRITERIA FOR SELECTING PROPOSALS:**

For technology development activities: (1) Overall scientific and/or technical merit; (2) Degree to which the overall technical effort will advance U.S. High Speed Passenger Rail Technology; (3) Technical qualifications and demonstrated experience of key personnel proposed to perform technical efforts; (4) Administrative qualifications and demonstrated experience of the proposing organization(s); (5) Reasonableness and realism of proposed costs and fee (if any); and, (6) The degree to which Federal funds are leveraged by private, nonfederal, and/or Federal funds from sources other than this program.

## 20.313 RAILROAD RESEARCH AND DEVELOPMENT

**FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Public Law 103-44, Section 216.

**OBJECTIVES:**

To foster long-range enhancement of the Federal Railroad Administration's program of research in support of rail safety by developing cooperative research relationships between the Administration and university organizations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Projects must show a relationship towards advancing railroad safety. Applicants must demonstrate 5 years of railroad research activity.

**Applicant Eligibility:**

Applicants must be major academic research institutions with backgrounds in the rail transportation arena. A minimum of 5 years of railroad or railroad related research experience is required.

**Beneficiary Eligibility:**

No restrictions.

**Credentials/Documentation:**

As specified in program solicitations and Federal Register Notices.

**Preapplication Coordination:**

The FRA will announce specific pre- application coordination activities for each project area in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As specified periodically in the Federal Register, eligible applicants must submit a Program Application that consists of a University Profile and Proposed Research Projects. The applications are subject to the requirements of OMB Circular A-110. Applications may be obtained from the Office of Research and Development, Mail Stop 20, 1120 Vermont Avenue N.W., Washington, DC 20590. Telephone: (202) 493-6384. Fax: 202-493-1313. Email: [Judy.Pharris@FRA.DOT.gov](mailto:Judy.Pharris@FRA.DOT.gov).

**Award Procedure:**

As specified in Federal Register notices, applicants must first demonstrate satisfactory background and experience to the Office of Research and Development, Federal Railroad Administration. Second, proposed research projects are reviewed to determine those which most closely match the Administration's research objectives. Those applicants with one or more projects satisfying the second step criteria will be rank ordered based on qualifications and probability of success. From this rank ordering, the Administration established a group of selected universities as pre-qualified to perform solicited or approved research projects. Applicants within this group will be invited to enter into cooperative agreements.

**Deadlines:**

As specified in Federal Register notices.

**Range of Approval/Disapproval Time:**

Four to 16 weeks after application.

**Appeals:**

To Administrator, Federal Railroad Administration.

**Renewals:**

Grants contemplated in this program are predominantly project-oriented rather than on-going efforts and are therefore non-renewable.

**Formula and Matching Requirements:**

There are no formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A final report detailing the work conducted and the progress accomplished will be required. Presentations at an annual workshop are expected.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

In accordance with requirements of the specific project agreement.

**Account Identification:**

69-0745-0-1-401.

**Obligations:**

(Grants) FY 07 \$1,097,262; FY 08 est \$1,000,000; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

\$50,000 to \$250,000. Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

New program, not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Magdy El-Sibaie, Office of Research and Development, Federal Railroad Administration, 1200 New Jersey Avenue, S.E., Washington DC 20590.

**Web Site Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

New program, not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In descending order of relative importance: (1) Overall scientific and/technical merit; (2) Degree to which it may improve upon or advance railroad safety; (3) Likelihood for its near term adoption and implementation of possible recommendations; (4) Degree to which the proposed project fits into the Administration's overall research objectives; (5) Reasonableness and realism of the proposed cost, and the availability of funds (to include due consideration for proposed cost-sharing by the applicant).

**20.314 RAILROAD DEVELOPMENT****FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

To provide financial assistance for: planning and developing railroad corridors (including environmental studies), purchasing rail equipment, rail line relocation and improvement projects, construction projects that improve rail lines, enhance service, and add capacity to the national rail system, capital construction, rehabilitation and improvements benefiting train operations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

- (1) The financial assistance may fund, but is not limited to, rehabilitation or construction of railroads, including planning activities and associated studies.
- (2) Specific descriptions are based on the language in the authorizing or appropriating legislation and any associated regulations.

**Applicant Eligibility:**

State governments, Regional and local governments, For-profit organizations, such as railroads.

**Beneficiary Eligibility:**

State governments Regional and local governments For-profit organizations, such as railroads.

**Credentials/Documentation:**

US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>. Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions o Certification Regarding Drug-Free Workplace Requirements o Certification Regarding Lobbying o Assurances-Non-Construction Programs, SF 424E o Certificate of Indirect Costs Assurances - Construction Programs SF-424D.

**Preapplication Coordination:**

None. The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance SF-424 Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>: Certification Regarding Debarment, suspension, and other Responsibility Matters Primary Covered Transactions. o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions. Certification Regarding Drug-Free Workplace Requirements. o Certification Regarding Lobbying. o Assurances Non-Construction Programs, SF 424E Certificate of Indirect Costs. Assurances - Construction Programs SF-424D Statement of Work Budget. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance SF-424 Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>: Certification Regarding Debarment, suspension, and other Responsibility Matters Primary Covered Transactions. o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions. Certification Regarding Drug-Free Workplace Requirements. o Certification Regarding Lobbying. o Assurances Non-Construction Programs, SF 424E Certificate of Indirect Costs. Assurances - Construction Programs SF-424D Statement of Work Budget.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Competitive comparison o applications to determine relative satisfaction of published selection criteria might occur for some grants. following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

On a case-by-case basis as posted for a project on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Formula and matching Requirements: These programs have no statutory formula. Some grantees will be required to provide a match from non-program funds toward the grant budget. This program has MOE requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report.. Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must keep satisfactory records with regard to the use of the property, equipment, and supplies and submit these records to FRA upon request.

**Account Identification:**

21-0730-0-1-401; 21-8083-0-1-401; 21-0715-0-1-401.

**Obligations:**

FY 07 \$3,500,000; FY 08 est \$66,100,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Grants within this program range from \$50,000 to over \$700,000,000. The average financial assistance varies considerably.

**PROGRAM ACCOMPLISHMENTS:**



This program has assisted the rehabilitation and construction of railroad projects and associate studies. Specific grants are provided for in legislation, usually one application is submitted for each grant. Starting in FY 2008, there might be competition for some grants.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59).

#### **Regional or Local Office:**

If necessary to contact a regional office, the contact information will be in a grant agreement.

#### **Headquarters Office:**

Alice Alexander, Office of Railroad Development, 1200 New Jersey Ave S.E., Washington, DC 20005. Telephone: (202) 493-6363. Fax: (202) 493-6330.

#### **Web Site Address:**

[Http://www.fra.dot.gov](http://www.fra.dot.gov).

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Alaska Railroad Access to Joint Tanana Training Complex; Tacoma Rail Mountain Division Track Improvements.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The work and cost estimates are reasonable and are within the scope of the appropriation language. For the grants competed, the selection criteria will be specified in the final regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects.

## **20.315 NATIONAL RAILROAD PASSENGER CORPORATION GRANTS**

(Amtrak Grants)

#### **FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION

#### **AUTHORIZATION:**

49 U.S.C. 24104(a); Annual appropriation laws (for 2008: The Department of Transportation Act, 2008, included as Title I in Division K (the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008) of the Consolidated Appropriations Act of 2008, Public Law No. 110-161).

#### **OBJECTIVES:**

To provide financial assistance to support the operation of and capital investment in intercity passenger rail service in the United States.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

As specified in individual Grant Opportunity announcements, assistance may be used to fund operating expenses, capital investment activities, and/or payment of debt service obligations.

#### **Applicant Eligibility:**

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

#### **Beneficiary Eligibility:**

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

#### **Credentials/Documentation:**

The applicant must submit all documentation required under the terms of the applicable appropriations law.

#### **Preapplication Coordination:**

Preliminary review of project descriptions and budgets with applicant, including assurance of compliance with the National Environmental Policy Act and related laws and orders. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

The applicant must submit the following information: Application for Federal Assistance SF-424; Detail project descriptions and budgets; and all information required under the terms of the applicable appropriations law.

#### **Award Procedure:**

Review of the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law. Review of project budgets and description to ensure the appropriation language requirements are met. Review of project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed by both parties.

#### **Deadlines:**

None, unless otherwise specified in the governing appropriation law.

#### **Range of Approval/Disapproval Time:**

Timing of Approval/Disapproval typically ranges from between 2-6 weeks.

#### **Appeals:**

Not applicable.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Length and time phasing of assistance is dependant on the specific appropriating and/or authorizing law governing the grant opportunity.

#### **Reports:**

The grantee is required to submit the following reports: Monthly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Monthly financial status reports using SF 269 or 269A, Financial Status Report. Monthly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Monthly detailed reports regarding performance against project budgets and schedules, and forecasts of future performance. Final report giving details of the results and benefits of the Grantee's improvement efforts.

#### **Audits:**

Since the eligible applicant has been and will continue to be subject to audits conducted by its own independent auditors, the Department of Transportation's Inspector General, and the General Accounting Office, the FRA does not require the applicant to prepare an additional specific audit for the purposes of the grant agreement. However, the applicant must agree to obtain such audits as may be reasonably required by FRA and to allow the Secretary of Transportation, the FRA and their authorized representatives to conduct such audits as they deem appropriate with respect to the financial assistance provided to the Grantee under the agreement. Closeout does not alter the applicant's audit responsibilities. Audit costs for program administration and management are allowable under the agreement to the extent authorized by OMB Circular A-87, Revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised.

#### **Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

#### **Account Identification:**

For operating assistance grants: 69-0121-0-1-401. For capital investment grants: 69-0125-0-1-401.

#### **Obligations:**

(Grants) FY 07 \$1,293,633,000; FY 08 \$1,325,000,000; and FY 09 \$0.

#### **Range and Average of Financial Assistance:**

Awards under this program range from \$10,000,000 to \$850,000,000, and depend on the amount and breakdown of assistance made available through specific appropriations laws.

#### **PROGRAM ACCOMPLISHMENTS:**

The Amtrak Grants program provides financial assistance to support operation of rail passenger service in 46 states and the District of Columbia. Financial assistance for capital investment provided through this program allows for the recapitalization and improvement of passenger rolling stock, railway infrastructure, and related business systems. The program also provides incentives to improve the cost effectiveness of intercity passenger rail operations and reduce the need for federal operating subsidies.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

Office of Railroad Development, Passenger Programs Division (RDV-13), Federal Railroad Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590.

#### **Web Site Address:**

<http://www.fra.dot.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Funding provided through this program has supported Amtrak's ongoing operation of intercity passenger rail service in the U.S. Funding for capital investments has been used to support the majority of Amtrak's annual capital investment program, including projects such as fire and life safety improvements to the rail tunnels into New York Pennsylvania Station, the return of Northeast Corridor rail infrastructure to a state of good repair through the replacement or rehabilitation of Amtrak-owned infrastructure, and the acquisition, repair, and/or rebuilding of various types of passenger rolling stock.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects must support the stated strategic goals of the applicant organization, align with the priorities identified in authorization or appropriation

statutes, and of the Secretary of Transportation, and be accompanied by detailed scope and budget documentation. Quantitative or qualitative justification of project prioritization must be provided.

## 20.316 RAILROAD REHABILITATION AND IMPROVEMENT FINANCING PROGRAM

(RRIF Loan Program)

### FEDERAL AGENCY:

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 821, et seq.)

### OBJECTIVES:

The RRIF program provides direct loans and loan guarantees to State and local governments, government sponsored authorities, government sponsored corporations, railroads, and joint ventures that include at least one railroad.

### TYPES OF ASSISTANCE:

Direct Loans.

### USES AND USE RESTRICTIONS:

Funds provided by direct loans or loan guarantees under the RRIF Program can be used to: (1) Acquire, improve, or rehabilitate intermodal or rail freight or passenger equipment or facilities, including track, components of track, bridges, yards, buildings and shops (2) Refinance outstanding debt incurred for purposes described in the previous paragraph (3) Develop or establish new intermodal or railroad facilities The maximum loan amount will be based on the remaining available funds under the Program's authorization. The repayment period for direct loans and loan guarantees is up to 25 years. The interest rate on direct loans will be equal to the rate on Treasury securities of a similar term.

### Applicant Eligibility:

Eligible applicants include State and local governments, government-sponsored authorities, government-sponsored corporations, railroads, and joint ventures that include at least one railroad.

### Beneficiary Eligibility:

The beneficiaries of the Program will be the State or local government organizations, railroad, or joint ventures that include a railroad that will receive the financial assistance to permit them to complete the specified projects.

### Credentials/Documentation:

None.

### Preapplication Coordination:

A pre-application meeting may be held if requested by a potential applicant. Procedures for requesting such a meeting are available on the FRA website. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Complete and submit application form available on the FRA website.

### Award Procedure:

FRA will evaluate application and advise applicant of approval or disapproval.

### Deadlines:

There are no application submission deadline dates.

### Range of Approval/Disapproval Time:

Application will be approved or disapproved within 90 days after a complete application is deemed to have been submitted.

### Appeals:

There is no appeal process.

### Renewals:

Disapproved applicants may reapply at any time.

### Formula and Matching Requirements:

This program has no statutory formula. This program has no matching requirements.

### Length and Time Phasing of Assistance:

As a part of the application package, the borrower provides a projected timetable for the completion of the project. The funding will be made available as progress payments to pay directly or reimburse the Borrower for prior payment of allowable costs incurred in connection with the project.

### Reports:

Yearly audited and certified profit and loss statement, balance sheet and statement of cash flows must be submitted for the life of the financial assistance.

During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget.

### Audits:

Audits of project expenditures will be conducted upon completion.

### Records:

None.

### Account Identification:

69-0700-0-1-401.

### Obligations:

FY 07 \$183,500,000; FY 08 est \$123,000,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

Range: Fiscal 2007-\$48.0 million to \$59.0 million. Average: Fiscal 2007-\$53.5 million.

### PROGRAM ACCOMPLISHMENTS:

Since 2002 the program has approved almost \$800 million in direct loans. In the current fiscal year, nine applications have been approved for a total of \$248 million.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Railroad Rehabilitation and Improvement Financing Program, 49 CFR 260.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Office of Freight Programs, Federal Railroad Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington DC 20590 Telephone: (202) 493-6381. Fax: (202) 493-6330.

### Web Site Address:

<http://www.fra.dot.gov/>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Funded projects include track rehabilitation, equipment acquisition, line acquisition, new construction, and debt refinancing.

### CRITERIA FOR SELECTING PROPOSALS:

Initially the criteria are based on the relevance to the programs' objectives and uses. The program provides direct loans and loan guarantees to State and local governments, government-sponsored authorities and corporations, railroads, and joint ventures that include at least one railroad. Eligible projects include: (1) refinancing outstanding debt that was incurred for eligible purposes, (2) developing or establishing new intermodal or railroad facilities, or (3) acquisition, improvement or rehabilitation of intermodal or rail equipment or facilities (including tracks, components of tracks, bridges, yards, buildings and shops.

## 20.317 CAPITAL ASSISTANCE TO STATES - INTERCITY PASSENGER RAIL SERVICE

### FEDERAL AGENCY:

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

Authorized by appropriation for FY 2008 in Division K of Public Law 110-161: Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008. Continuation of this program would be subject to its inclusion, if any, in subsequent- annual appropriation legislation and/or authorizations .

### OBJECTIVES:

To provide financial assistance to fund capital improvements (and related planning activities) necessary to support improved or new intercity passenger rail service.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

The financial assistance may fund capital improvements and directly-related planning activities necessary to achieve tangible improvements to, or institute new, intercity passenger rail service. Examples of capital improvements include (but are not strictly limited to) the purchase of passenger rolling stock, the improvement of existing track to allow for higher maximum speeds, the addition or lengthening of passing tracks to increase capacity, the improvement of interlockings to increase capacity and reliability, and the improvement of signaling systems to increase capacity and maximum speeds, and improve safety. (With respect to planning activities, only proposed planning projects which lead to (1) a programmatic Environmental Impact Statement for the purpose of route selection, and/or (2) a corridor transportation plan prepared in accordance with the methodologies set forth in FRA's publication, entitled "Railroad Corridor Transportation Plans: A Guidance Manual," (see below for citation), will be considered for possible funding, subject to published selection criteria.) Proposed projects must be specifically included in the applicant State's Statewide Transportation Improvement Plan at the time of application.

### Applicant Eligibility:

State departments of transportation (including that of the District of Columbia). Applicant States must include intercity passenger rail service as an integral part of statewide transportation planning as required under section 135 of Title 23, United States Code.

### Beneficiary Eligibility:

The general public, both users and non-users of intercity passenger rail service. State departments of transportation and other public agencies, although private transportation companies may participate through contractual arrangements with

a State department of transportation.

**Credentials/Documentation:**

Department of Transportation, Federal Railroad Administration (FRA) Assurances and Certification forms (<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>) including: (1) Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions; (2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; (3) Certification Regarding Drug-Free Workplace Requirements; (4) Certification Regarding Lobbying, (5) Assurances Non-Construction Programs - SF 424B; and (6) Certificate of Indirect Costs Assurances.

**Preapplication Coordination:**

Prospective applicants may contact FRA prior to submission of applications to inquire about applicant eligibility, the competitive prospects of their proposed project, the National Environmental Policy Act and related legal requirements, and other requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance - SF-424; Detailed Statement of Work; Project justification based on published selection criteria; Detailed Budget, and Department of Transportation, Federal Railroad Administration (FRA) Assurances and Certification forms (<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>) including: 1) Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions; 2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; 3) Certification Regarding Drug-Free Workplace Requirements; 4) Certification Regarding Lobbying, (5) Assurances Non-Construction Programs - SF 424B; and (6) Certificate of Indirect Costs Assurances.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review Statement of Work for technical issues and budget for appropriateness of costs. Competitive comparison of applications to determine relative satisfaction of published selection criteria. Following selection of successful applicants, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Applications may be submitted until the earlier of September 30, 2009, or the date on which all available funds will have been committed under this program. The last-mentioned date will be announced in the Federal Register. Applications submitted by June 30, 2008 will be considered in the first round of awards on the basis of application materials that FRA has received as of that date. Any subsequent rounds of awards will depend on the availability of funds after the first round of awards.

**Range of Approval/Disapproval Time:**

Notification of Approval/Disapproval generally occurs within 8 months of application.

**Appeals:**

To Administrator, Federal Railroad Administration.

**Renewals:**

None.

**Formula and Matching Requirements:**

These programs have no statutory formula. Grantees must provide a minimum 50 percent match from non-program funds toward the grant budget. This program has Maintenance of Effort requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: (1) Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; (2) Quarterly financial status reports using SF 269 or 269A, Financial Status Report; (3) Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report; (4) Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must keep satisfactory records with regard to the use of the property, equipment, and supplies and submit these records to FRA upon request.

**Account Identification:**

27-0716-0-1-401.

**Obligations:**

FY 07 \$0; FY 08 est not available and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program is provided by The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws, the FRA publication entitled, Railroad Corridor Transportation Plans: A Guidance Manual (available at [http://www.fra.dot.gov/Downloads/RRdev/corridor\\_planning.pdf](http://www.fra.dot.gov/Downloads/RRdev/corridor_planning.pdf)), and Federal Register notices announcing the availability of funding pursuant to this program.

**Regional or Local Office:**

If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Peter Schwartz, RDV-11, Office of Railroad Development, 1200 New Jersey Avenue, S.E. Washington, DC 20590, Telephone: (202) 493-6360 Fax: (202) 493-6333).

**Web Site Address:**

<http://www.fra.dot.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All selection criteria will be specified in Federal Register notices announcing the availability of funding pursuant to this program, and shall include, but shall not be limited to, prioritizing criteria defined in relevant law, and criteria intended to ensure the timely completion of funding projects and the full realization of the benefits the projects are intended to generate.

**20.318 MAGLEV PROJECT SELECTION PROGRAM - SAFETEA-LU**

(Maglev Selection Program )

**FEDERAL AGENCY:**

FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) (Public Law 109-59, August 10, 2005), and the SAFETEA-LU Technical Corrections Act (Public Law 110-244, June 6, 2008).

**OBJECTIVES:**

To provide financial assistance for a demonstration magnetic levitation transportation project.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station.

**Applicant Eligibility:**

State governments with existing maglev projects located east of the Mississippi River.

**Beneficiary Eligibility:**

State governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Ensure that National Environmental Policy Act and related legal requirements are fulfilled as needed. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms (<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>); Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered



Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement-of-work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance, or projected compliance, with the National Environmental Policy Act and related laws/orders. Applications will be competitively compared to determine relative satisfaction of published selection criteria. Following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Refer to announcement for further information.

**Range of Approval/Disapproval Time:**

Refer to announcement for further information.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has a 20 percent matching requirement. See the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) (Public Law 109-59, August 10, 2005), and the SAFETEA-LU Technical Corrections Act (Public Law 110-244, June 6, 2008).

**Length and Time Phasing of Assistance:**

The period of performance is up to 60 months.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; Quarterly financial status reports using SF 269 or 269A, Financial Status Report; Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report; and final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

69-8083-0-1-401.

**Obligations:**

FY 08 \$22,500,000; FY 09 \$22,500,000 and FY 10 est not available.

**Range and Average of Financial Assistance:**

TBD.

**PROGRAM ACCOMPLISHMENTS:**

Building on work completed as a result of the funding from the Maglev Deployment Program (as well as other miscellaneous sources of funding), this program will advance the goal of constructing a demonstration maglev project.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The National Environmental Policy Act of 1969 as amended (42 U.S.C. Section 4321 et seq.), and related laws; Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59); SAFETEA-LU Technical Corrections Act (Public Law 110-244); Final Rule on the Magnetic Levitation Transportation Technology Deployment Program (23 CFR Part 322; OMB Circular No. A-87 for State and local governments; OMB Circular No. A-102 grants and cooperative agreements with State and local governments; A-133 for audits. Solicitation guidelines will be made available.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

John Cikota, Office of Railroad Development, 1200 New Jersey Ave S.E., Washington, DC 20590. Telephone: (202) 493-6364; Fax: (202) 493-6330.

**Web Site Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

20.314, Railroad Development.

**EXAMPLES OF FUNDED PROJECTS:**

Funding provided through the Maglev Deployment Program advanced two existing maglev projects that will be eligible for the current funding: (1) the Pittsburgh project; and (2) the Baltimore-Washington project. For both of those projects, preliminary engineering and environmental work has been completed.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the announcement for further information.

**20.500 FEDERAL TRANSIT-CAPITAL INVESTMENT GRANTS**

(Fixed Guideway Modernization Bus and Bus Facility New Starts)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5309.

**OBJECTIVES:**

To assist in financing the acquisition, construction, reconstruction, and improvement of facilities, rolling stock and equipment for use in public transportation service. Funds are currently made available in three categories: Fixed Guideway Modernization formula program; Bus and Bus Facilities discretionary program; and New Starts discretionary program (new fixed guideway systems and extensions of existing systems).

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in financing: capital projects for new fixed guideway systems, and extensions to existing fixed guideway systems, including the acquisition of real property, the initial acquisition of rolling stock for the systems, and the acquisition of rights of way, and relocation, for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering; capital projects, the acquisition, construction, reconstruction and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, including property and improvements needed for an efficient and coordinated mass transportation system, including buses and bus facility equipment; the capital costs of coordinating transit with other transportation; and the introduction of new technology, through innovative and improved transportation; and the introduction of new technology, through innovative and improved products. Consideration may also be given for projects which enhance urban economic development; establish new or enhanced coordination between transit and other transportation; or enhance the effectiveness of a transit project and are related physically or functionally to that transit project. It could also include financing for transit projects planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities; for the development of corridors to support fixed guideway systems, including protecting rights of way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park-and-ride lots, and other nonvehicular capital improvements that the Secretary may decide would result in increased transit usage in the corridor.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project, including safety and security aspects, and maintain facilities and equipment purchased with Federal assistance. Fixed Guideway formula funds are apportioned by formula to urbanized areas over 200,000 population with fixed guideway segments at least one mile long that are over seven years old. Bus and New Starts programs are allocated entirely to projects designated by Congress. Private non-profit organizations are not eligible direct recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation. Public agencies, although private transportation companies may participate through contractual arrangements with public agency grantee.

**Creditentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), in the State transportation improvement program (STIP) and

approved by FTA and FHWA; information must be provided on labor and relocation; environmental impact statement; legal opinion; coordinated regional planning documentation; maintenance certification; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. Federal Register Notice FTA Fiscal Year Apportionments, Allocations, and Program Information, published annually contains the capital investment apportionments. For fiscal year 2008, the publication date was January 28, 2008. For other fiscal years, contact the FTA Regional Office to obtain the publication dates or the FTA website: [www.fta.dot.gov/](http://www.fta.dot.gov/).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment may be required for this program. An environmental impact statement may also be required upon completion of review of the assessment.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18 and FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," October 1, 1998. Applications are made to the regional offices of the Federal Transit Administration listed in Appendix IV of the Catalog.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Funds designated by Congress for New Starts or Bus projects must be obligated within three fiscal years, unless extended by Congress. Fixed Guideway Modernization formula funds must be obligated within four fiscal years.

**Range of Approval/Disapproval Time:**

In FY 2005, FTA obligated Section 5309 Capital Grants in an average of 40 days after submission of a complete application.

**Appeals:**

Not applicable.

**Renewals:**

Funding is made available annually through the appropriation process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Funds for fixed guideway modernization are apportioned by statutory formula to eleven legislatively specified areas, and to other areas that have fixed guideway mileage that is over 7 years old. Funds for bus and bus related improvements and New Starts are allocated on a discretionary basis, and can be allocated on a statutory basis. A grant may be made up to 80 percent of net project cost. Vehicle related equipment required to comply with ADA or Clean Air Act may be funded at 90 percent Federal share.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. The grants may be awarded in one lump sum or in smaller increments as specified by the grantee.

**Reports:**

(1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local Governments and Nonprofit Organizations, nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1134-0-1-401; 69-8350-0-7-401.

**Obligations:**

Capital Investment Grants FY 07 est \$2,089,825,532; FY 08 est \$1,733,343,126; and FY 09 est \$2,012,683,287 not yet available. Formula and Bus Grants FY 07 \$2,638,128,990; FY 08 est \$2,492,631,268; and FY 09 est \$3,274,810,658 not available. Note: Since FY 2006 Fixed Guideway

Modernization and Bus and Bus Facilities have been funded from FTA's Formula and Bus Grants account.

**Range and Average of Financial Assistance:**

Fixed Guideway Modernization In FY 2008 apportionments ranged from \$108,589 to \$439,275,949 with an average of \$25,074,629. Bus and Bus Facilities in FY 2008 earmarks ranged from \$43,472 to \$6,467,000. New Starts in FY 2008 earmarks ranged from \$294,000 to \$210,700,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, \$4.7 billion was obligated under the capital grants for Bus and bus facilities, to replace over-aged buses and expand service; fixed guideway modernization; and New Starts projects in 13 States and the District of Columbia.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the FTA Regional Offices. See FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," October 1, 1998.

**Regional or Local Office:**

See Appendix IV: Agency Regional and Local Office Addresses of the Catalog for a listing of the Federal Transit regional offices.

**Headquarters Office:**

Federal Transit Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. FTA Office of Transit Programs, Henrika Buchanan-Smith (202) 366-2053.

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction; 20.505, Federal Transit Metropolitan Planning Grants; 20.507, Federal Transit Formula Grants; 20.515, State Planning and Research; 20.509, Formula Grants for Other Than Urbanized Areas; 20.513, Capital Assistance Program for Elderly Persons and Persons with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Bus and Bus Facilities: Flint, Michigan, Mass Transportation Authority Rehabilitation/Construction of the downtown Flint Transfer Center New Starts: Portland, Oregon, Tri-County Metropolitan Transportation District Design and construct a 14.7 mile commuter rail line Fixed Guideway Modernization: Ventura County, California, Ventura County Transportation Commission Rehabilitation of rail tracks.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Major, non-recurring capital investments. 2. Congressional designation (Bus and New Starts) 3. Formula allocation (Fixed Guideway Modernization) 4. New Starts projects are subject to extensive rating and evaluation process and must have FTA approval before entering into the Preliminary Engineering and Final Design Phases.

## 20.505 FEDERAL TRANSIT-METROPOLITAN PLANNING GRANTS

(Metropolitan Planning)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5303.

**OBJECTIVES:**

To assist in development of transportation improvement programs, long-range transportation plans, and other technical studies in metropolitan areas.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Activities assisted under this section may include preparation of transportation plans including transportation improvement programs and management systems; studies related to transportation management, operations, capital requirements, and economic feasibility; evaluation of previously funded capital projects; and other related activities in preparation for the construction, acquisition, or improved operation of transportation systems, facilities, and equipment.

**Applicant Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organization to be used in urbanized areas within each State.

**Beneficiary Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organizations to be used in urbanized areas within each State.

**Credentials/Documentation:**

The Federal Register dated January 28, 2008, (FTA Fiscal Year 2008 Apportionments, Allocations and Program Information; Notice), provides in Table 2 the State apportionments. For other fiscal years, contact the FTA Regional Office or access [http://www.fta.dot.gov/funding/grants\\_financing\\_38.html](http://www.fta.dot.gov/funding/grants_financing_38.html).

**Preapplication Coordination:**

Following each decennial Census, each State must submit to FTA for approval a formula, developed in cooperation with affected MPOs, for the distribution of a State's Section 5303 apportionment to MPOs in each urbanized area. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." MPOs should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application for a grant should be addressed to the appropriate Regional Office of the Federal Transit Administration. FTA Circular 8100.1B dated October 25, 1996, Program Guidance and Application Instructions for Metropolitan Planning Grants, provides detailed application information. Available on Internet at: [http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_4123.html](http://www.fta.dot.gov/laws/circulars/leg_reg_4123.html). States may apply through a paperless electronic grant application, review, approval, acceptance, and management process. This program is excluded from coverage under 49 CFR Part 19.

**Award Procedure:**

FTA will approve and release the grant by the end of the quarterly cycle or earlier provided the application is complete.

**Deadlines:**

Grant applications are due in the appropriate FTA Regional Office no later than the first business day of the quarter.

**Range of Approval/Disapproval Time:**

In FY 04, FTA awarded planning grants to the states within an average of 9 days after submission of a complete application.

**Appeals:**

Not applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

The new budget authority for Fiscal Year 2008 Section 5303 appropriation to States for Metropolitan Planning Organizations totals \$88,510,400. A basic allocation of 80 percent of the amount available annually is distributed to the States based on urbanized area population for State distribution. A supplemental allocation of the remaining 20 percent is also provided to the states based on an FTA administrative formula to address planning needs in the larger urbanized areas. A January 28, 2008 Federal Register Notice, FTA Fiscal Year 2008 Apportionments and Allocations, provides a table (Table 2) which contains the final combined State apportionments. The funding ratio for these grants is 80 percent Federal, 20 percent local match of net project costs. In addition, under provisions enacted in SAFETEA-LU, current year funds can be transferred from the Federal Highway Administration to form Consolidated Planning Grants. FTA funds can also be transferred to FHWA to form consolidated Planning Grants.

**Length and Time Phasing of Assistance:**

Funds are available for 3 years following the year for which they were appropriated.

**Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Project sponsor is required to retain intact, for 3 years following submission of the final Financial Status Report pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1137-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$135,959,000; FY 08 est \$73,845,000; and FY 09 est \$99,930,000 not available.

**Range and Average of Financial Assistance:**

\$20,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Since 1992, \$180,000,000 have been obligated for transportation planning activities in metropolitan areas. Multimodal transportation planning studies are emphasized through coordinated funding with other DOT administrations. Refinement of the transit elements of long-range plans and an expansion of short-range planning for improvements to the existing urban transportation system are also emphasized. Capital transportation improvement programs are produced annually/biennially as well as metropolitan transportation plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Fiscal Year 2008 Apportionments, Allocations, and Program Information;

Notice and Fiscal Year 2008 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice, published annually. For fiscal year 2008, the publication date was January 28, 2008. For other fiscal years, contact the FTA Regional Office to obtain the publication date for other fiscal years. FTA website: [www.fta.dot.gov/funding/grants\\_financing\\_93.html](http://www.fta.dot.gov/funding/grants_financing_93.html).

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices and DOT Metropolitan Offices.

**Headquarters Office:**

FTA Office of Planning and Environment (TPE-10), Candace Noonan, (202) 366-1648, Federal Transit Administration, Department of Transportation, 1200 New Jersey Ave. S.E., Washington, DC 20590.

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction; 20.500, Federal Transit\_Capital Investment Grants; 20.507, Federal Transit\_Formula Grants; 20.514, Public Transportation Research; 20.515, State Planning and Research.

**EXAMPLES OF FUNDED PROJECTS:**

The Metropolitan Council of Twin Cities area received planning funds from the State of Minnesota to support the transportation planning process in the Minneapolis-St. Paul urbanized area.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding is allocated to the States for pass through to various Metropolitan Planning Organizations within their jurisdictions.

**20.507 FEDERAL TRANSIT-FORMULA GRANTS**

(Urbanized Area Formula Program)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5307.

**OBJECTIVES:**

To support public transportation services in urbanized areas (cities over 50,000 population).

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for capital projects to finance the planning, acquisition, construction, cost-effective lease, improvement, and maintenance of equipment and facilities for use in transit. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs. Recipients of these grants are required to make information available to the public and to publish a program of projects to afford affected citizens opportunities through public hearings to submit comments on the proposed program and the performance of the recipient.

**Applicant Eligibility:**

Funds will be made available to urbanized areas (as defined by the U.S. Census Bureau) through designated recipients, which must be public entities and have the legal capacity to receive and dispense Federal funds. The Governor, responsible local officials, and publicly owned operators of mass transportation services must jointly select the designated recipient(s) for an urbanized area with a population of 200,000 or more. The Governor or his designee is the designated recipient for an urbanized area with a population of 50,000 to 199,999.

Recipients must submit a program of projects to FTA; submit a program application to FTA; enter into formal agreements with FTA; and certify that public notification has been conducted.

**Beneficiary Eligibility:**

The general public, both users and non-users, and publicly owned operators of public transportation services.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Eligible costs must be in accordance with OMB Circular No. A-87 for State and local governments. A notice is published annually in the Federal Register on FTA's fiscal year apportionments and allocations. The notice contains list of the amount apportioned to each urbanized area. The final apportionment amounts for fiscal year 2008 were published in the January 28, 2008 notice. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting



the appropriate FTA Regional Office to obtain copies or publication dates.

**Preapplication Coordination:**

An environmental impact assessment may be required. In addition, an environmental impact statement may also be required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance under the FTA 49 U.S.C. 5307 program.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18. Applications are to be submitted in the Transportation Electronic Award Management system. (TEAM-Web), which is the FTA electronic grant-making and record keeping system.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Applications may be submitted throughout the fiscal year. Funds are usually available for obligation approximately 10 days after the President signs the appropriation bill for a particular fiscal year.

**Range of Approval/Disapproval Time:**

In FY 07, FTA obligated Urbanized Area formula grants in 26 days (on average) after submission of a complete application.

**Appeals:**

Opportunity for public hearing for interested persons.

**Renewals:**

Funds are apportioned annually to each urbanized area. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Funding is apportioned on the basis of legislative formulas. For urbanized areas with populations 50,000 to 199,999 the formula is based on population and population density, and performance statistics for those areas eligible for funding under the Small Transit Intensive Cities formula. For urbanized areas with populations of 200,000 or more, the formula is based on a combination of bus revenue vehicle miles, bus passenger miles, fixed guideway revenue miles, and fixed guideway route miles as well as population and population density. Also, funding made available to an urbanized under the Growing States and High Density States formula factors (49 USC 5340) are combined with funds apportioned to an area under the Urbanized Area Formula program. The program operates under the statutory formula prescribed in 49 USC 5336. The Federal share is not to exceed 80 percent of the net project cost. The Federal share may be 90 percent for the cost of vehicle-related equipment attributable to compliance with the American with Disabilities Act and the Clear Air Act. The Federal share may also be 90 percent for projects or portions of projects related to bicycles facilities. The Federal share may not exceed 50 percent of the net cost for operating assistance.

**Length and Time Phasing of Assistance:**

Funds apportioned under the Urbanized Area Formula program are available for obligation by the Governor, designated recipient, or authorized grant recipient for a period of 3 years following the close of the fiscal year for which such funds are apportioned. Any amounts remaining unobligated at the end of this period are distributed among all urbanized areas.

**Reports:**

(1) Progress reports. (2) Financial status reports, which must be submitted quarterly for recipients in urbanized areas over 200,000 population; annually for other recipients and states. (3) Construction reports where applicable. (4) Annual report to the National Transit Database (NTD).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$5,540,822,000; FY 08 \$4,230,751,000; and FY 09 \$5,498,651,000.

**Range and Average of Financial Assistance:**

Varies according to local programming of available formula funds and the level of operating expenses incurred.

**PROGRAM ACCOMPLISHMENTS:**

Federal funds have supported the replacement and rehabilitation of the existing

rail fleet and restoration of rail facilities such as stations, track, and yards and shops; helped to increase the percentage of bus and rail maintenance facilities in good or better condition; and contributed significantly to the continuing effort to make the national fixed-route bus system 100 percent lift-or-ramp equipped. In fiscal year 2007 \$5.5 billion was awarded in grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula Grant Application Instructions may be accessed on the FTA website or secured at no charge from the FTA Regional Offices - FTA Circular 9030.1C, "Urbanized Area Formula Program: Grant Application Instructions," October 1, 1998.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

FTA Office of Program Management, Director, Office of Transit Programs, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Scott Faulk, Telephone: (202) 366-2053.

**Web Site Address:**

<http://www.fta.dot.gov/>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction; 20.500, Federal Transit\_Capital Investment Grants; 20.505, Federal Transit\_Metropolitan Planning Grants; 20.509, Formula Grants for Other Than Urbanized Areas.

**EXAMPLES OF FUNDED PROJECTS:**

Grants were awarded to: (1) Kansas City Area Transportation Authority for engineering, design and construction of the Kansas City Union Station Intermodal Facility; (2) Flint, MI Mass Transportation Authority for expansion of existing bus garage and renovation of operations/maintenance facility; (3) Golden Gate Bridge, Highway and Transportation District for 48 replacement buses, one expansion ferry vessel, and operating assistance; (4) Southwest Ohio Regional Transit Authority for Park and Ride lots and right-of-way acquisition; and (5) Southeastern Pennsylvania Transportation for Rail Transit Way Lines, rail station stops/terminals and rail support equipment and facilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must be eligible public transportation projects and meet all formula grant requirements.

**20.509 FORMULA GRANTS FOR OTHER THAN URBANIZED AREAS**

(Nonurbanized Area Formula Program)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5311.

**OBJECTIVES:**

To improve, initiate, or continue public transportation service in nonurbanized areas (rural and small areas under 50,000 population) and to provide technical assistance for rural transportation providers.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Section 5311 funds may be used for eligible capital expenses, project administration, and operating expenses needed to provide efficient and coordinated public transportation service in nonurbanized areas. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services.

**Applicant Eligibility:**

Only designated State agencies and Indian Tribes may apply directly to FTA for grants. Eligible sub-recipients may include State agencies, local public bodies and agencies thereof, nonprofit organizations, Indian tribes, and operators of public transportation services, including intercity bus service, in rural and small urban areas. Private for-profit operators of transit or paratransit services may participate in the program only through contracts with eligible recipients. Private intercity bus operators may participate as subrecipients or through contracts. Urbanized areas, as defined by the Bureau of the Census, are not eligible.

**Beneficiary Eligibility:**

The general public, both users and nonusers, and private and public providers of public transportation in nonurbanized areas.

**Credentials/Documentation:**

The State agency must be designated by the Governor to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. The state and subrecipients must agree to the standard labor protection warranty for the program. Environmental assessments may be required. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible coast must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9040.1F issued April 4, 2007. FTA annually issues a Federal Register Notice of apportionments, allocations and program information. For fiscal year 07, the publication date was March 23, 2007. Prior year notices can be found on the FTA website at [www.fta.dot.gov](http://www.fta.dot.gov) or by contacting the appropriate FTA regional office to obtain copies or publication dates.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible sub-recipients should submit application to the State agency designated by the Governor to administer the program. This agency will evaluate and select eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR, Part 18, apply to the state and governmental bodies, and 49 CFR Part 19 applies to the private non-profit organizations.

**Award Procedure:**

The Federal Transit Administration approves the State's program of projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the state must execute the grant agreement. The state implements grant agreements or other instructions with the subrecipients.

**Deadlines:**

States may submit applications to FTA throughout the fiscal year. Funds are available for obligation for three fiscal years. Local transit operators apply to the state as subrecipients on cycle as prescribed the State agency designated to administer the Section 5311 program.

**Range of Approval/Disapproval Time:**

As prescribed by the State agency designated to administer the Section 5311 program. FTA approves grants on a quarterly release cycle.

**Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

Subrecipients typically receive funding through the designated State agency.

**Formula and Matching Requirements:**

Program funds are apportioned annually to the states according to a statutory formula based on 20 percent of the funds are allocated by the ratio of nonurbanized land area of each State to the nonurbanized land area of all of the States with no State receiving more than five percent of these funds. Eighty percent are allocated by the ratio of nonurbanized population of each State to the nonurbanized population of all of the states. In addition to the funds made available to States under section 5311, approximately 16 percent of the funds authorized for the new section 5340 Growing States and High Density States formula factors will be apportioned to States for use in nonurbanized areas. Rural Transit Assistance Program (RTAP) is funded as a two percent takedown from the amount authorized and appropriated for Section 5311 and can be used for technical assistance, training. Research and related support activities. From the amounts made available for RTAP, up to 15 percent may be used by the Secretary to carry-out projects of national scope with the remaining balance to the states. Funds are allocated annually based on an administrative formula that provides a base amount to each state and allocates the balance according to the nonurbanized area population. The maximum Federal share eligible capital and project administration costs is 80 percent, except for three categories of projects that can be funded at 90 percent share: projects designed specifically to increase the accessibility of public transportation to bicycles and vehicle related equipment required to comply with the ADA or the Clean Air Act. The maximum FTA share for operating assistance is 50 percent of the net operating deficit. Other Federal funds may be used for half of the local match requirement. Income from purchase of service contracts with human service agencies may be used for the entire local share for operating assistance. There is no matching requirement for RTAP or for state administration.

**Length and Time Phasing of Assistance:**

Funds are apportioned annually to the States. Sums apportioned are available for obligation by the State designated agency for a period of 2 years following the close of the fiscal year for which sums are apportioned, and amounts remaining unobligated at the end of such period shall be apportioned among the States for the succeeding fiscal year. States usually fund local recipients on an annual cycle.

**Reports:**

States submit progress reports and Financial Status Reports annually to FTA.

States may require additional reports from recipients.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

FTA: 69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 est \$492,837,736; and FY 08 est \$452,410,960; and FY 09 est \$601,781,050.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Since 1979 assistance has been provided to over 1,300 providers of rural and small urban transportation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9040.1, Nonurbanized Area Formula Program Guidance and Grant Application instructions.

**Regional or Local Office:**

See Appendix IV of the Catalog for the address of Federal Transit Administration Regional Offices. State Designated Agency: The Governor in each State has designated a State agency to administer the Section 5311 program. This should be the first contact point. Regional Offices: A person from each Federal Transit Administration Regional Office is available to answer questions about Federal regulations related to the Nonurbanized Formula Program.

**Headquarters Office:**

Federal Transit Administration, Office of Program Management, Office of Capital and Formula Assistance, 1200 New Jersey Avenue, SE., Washington, DC 20590. Lorna Wilson Telephone: (202) 366-0893.

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500, Federal Transit\_Capital Investment Grants; 20.507, Federal Transit\_Formula Grants; 20.513, Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.516, Job Access\_Reverse Commute; 20.521, New Freedom Program.

**EXAMPLES OF FUNDED PROJECTS:**

A typical local recipient of Section 5311 operates a fleet of about six vans or small buses in demand responsive and fixed route service. Section 5311 provides replacement vehicles and covers about a quarter of the average \$316,000 annual operating budget. The State receives Federal funds for a statewide program of projects.

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency in its procedures or State management plan.

**20.513 CAPITAL ASSISTANCE PROGRAM FOR ELDERLY PERSONS AND PERSONS WITH DISABILITIES**

(Elderly and Persons with Disabilities Program)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5310.

**OBJECTIVES:**

To provide financial assistance in meeting the transportation needs of elderly persons and persons with disabilities where public transportation services are unavailable, insufficient or inappropriate. The Section 5310 program is designed to supplement FTA's other capital assistance programs by funding transportation projects for elderly persons and persons with disabilities in all areas - urbanized, small urban, and rural.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Section 5310 funding may be used for eligible capital expenses needed to provide efficient and coordinated specialized transportation service for elderly persons and persons with disabilities. Projects must provide for the maximum feasible coordination of transportation services assisted under this section with transportation assisted by other Federal sources and must provide for the

maximum feasible participation of private-for-profit operators.

**Applicant Eligibility:**

Only designated states may apply for FTA grants. Eligible sub-recipients include private nonprofit organizations, public bodies approved by the State to coordinate services for elderly persons and persons with disabilities and public bodies which certify to the governor that no nonprofit corporations or associations are readily available in an area to provide the service.

**Beneficiary Eligibility:**

Elderly persons and persons with disabilities.

**Credentials/Documentation:**

The State must be designated by the Governor to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible costs must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9070.1E. FTA annually issues a Federal Register Notice of apportionments, allocations, and program information. For fiscal year 06, the publication date was November 30, 2005. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional office to obtain copies or publication dates.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

Local agencies should submit application to the State agency designated by the Governor to administer the program. This agency will evaluate, select and approve eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR Part 18 apply to the State and governmental bodies and 49 CFR Part 19 applies to private nonprofit organizations.

**Award Procedure:**

The Federal Transit Administration approves the State's Program of Projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the State must execute the grant agreement. The State implements grant agreements or other instruments with the subrecipients.

**Deadlines:**

States may submit applications to FTA throughout the fiscal year. Funds are available for obligation for three years, which includes the year funds are apportioned plus two additional years. Local agencies apply to the state as subrecipients on a cycle prescribed by the state agency designed to administer the Section 5310 program.

**Range of Approval/Disapproval Time:**

Each state has its own cycle for subrecipients. In FY 05, FTA obligated Section 5310 formula grants to the States in an average of 4 days after submission of a complete application.

**Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

As determined by the designated State agency.

**Formula and Matching Requirements:**

Funds for this program are allocated among the States by a formula which is based on the population of elderly persons and persons with disabilities in each State according to the latest U.S. Census population figures. Grants may be made for 80 percent of the eligible project costs. SAFETEA-LU allows states eligible for the sliding scale match under FHWA programs to use that match ratio for section 5310 capital projects. Funds provided under other Federal programs (other than those of the Department of Transportation, with the exception of the Federal Lands Highway Program established by section 204 of Title 23 U.S.C.) may be used as match for capital funds provided under section 5310.

**Length and Time Phasing of Assistance:**

Section 5310 program funds are available to the States for three years, which includes the fiscal year in which they were allocated plus two additional years. Unobligated Section 5310 funds may be transferred to the Section 5311 or Section 5307 programs within the last 90 days of the fiscal year. Any funds not obligated or transferred by the end of the period of availability will be redistributed to all the States by formula in the succeeding fiscal year.

**Reports:**

As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal

awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final financial report, all contract documents, financial records, and supporting documents with the following qualification: If any litigation, claim or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$157,781,000; FY 08 est \$117,242,000; and FY 09 est \$153,805,000.

**Range and Average of Financial Assistance:**

Statewide: For FY 2006, \$62,456 - \$11,687,113.

**PROGRAM ACCOMPLISHMENTS:**

This special program of assistance was begun in fiscal year 1975, when \$20 million was distributed to more than 1,000 private nonprofit organizations to purchase vehicles to transport the elderly and persons with disabilities. Today, nearly 4,000 local subrecipients receive funding, and continuation of this program has enabled thousands of elderly persons and persons with disabilities to achieve greater mobility and independence.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9070.1E, The Elderly and Persons with Disabilities Program Guidance and Application Instructions, dated October 1, 1998.

**Regional or Local Office:**

See Appendix IV of the Catalog for the address of Federal Transit Administration's Regional Offices. State- Designated Agency: The Governor in each State has designated a State agency to administer the Section 5310 program.

**Headquarters Office:**

Federal Transit Administration, Office of Program Management, Office of Resource Management and State Programs, 1200 New Jersey Avenue S.E., East Building-Fourth Floor, Washington, DC 20590. Telephone: (202) 493-0175. David Schneider, Program Specialist.

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500, Federal Transit Capital Investment Grants.

**EXAMPLES OF FUNDED PROJECTS:**

A typical project provided \$1 million to a State that used the funds to purchase 35 accessible vehicles for 30 local subrecipients throughout the State.

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency.

## 20.514 PUBLIC TRANSPORTATION RESEARCH

(National Research Programs)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5314(a).

**OBJECTIVES:**

The Federal Transit Administration's research program seeks to deliver solutions that improve public transportation. Its primary goals are to increase transit ridership, improve safety and emergency preparedness, improve capital operating efficiencies, protect the environment and promote energy independence, and provide transit research leadership. To accomplish this, FTA funds research on mobility management, transit operational efficiency, safety and emergency preparedness, transit capacity building, energy independence and environmental protection, infrastructure and equipment protection and innovation, and strategic research program planning.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Dissemination of Technical Information; Training.

**USES AND USE RESTRICTIONS:**

This program includes several types of projects, including research, development, demonstration and training projects (49 U.S.C., Section 5312), and human resource programs (49 U.S.C., Section 5322).

**Applicant Eligibility:**

Grants and cooperative agreements: Public bodies, nonprofit institutions, State and local agencies, universities, and legally constituted public agencies and operators of public transportation services, and private for-profit organizations.

**Beneficiary Eligibility:**

State and local governments, transit agencies, private organizations, profit organizations, nonprofit organizations, and universities.

**Credentials/Documentation:**



Grants and cooperative agreements: Initial proposal should include project objectives, background, and project description, including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance with labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for universities, A-122 for private nonprofit organizations, and the Federal Acquisition Regulations for private for profit organizations. Contracts are awarded in response to specific requests for proposal.

**Preapplication Coordination:**

Although applications for research, development and demonstration projects may be submitted at any time, potential applicants are encouraged to communicate with FTA before submitting formal applications. The initial contact may be by telephone, by submitting a written outline, or by personally meeting with appropriate FTA Headquarters staff. This preliminary contact will serve to: (1) establish a base for communication between FTA and the applicants; (2) determine the applicant's eligibility; (3) eliminate any proposal which have little or no chance for Federal funding before applicants incur expenditures involved in proposal preparation; and (4) determine funding available and conformance to FTA policy and program objectives. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in their State for more information on the process the State requires in applying for assistance if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by 49 CFR Part 18 or 49 CFR Part 19 must be used for this program.

**Application Procedure:**

Potential applicants should follow instructions found in FTA Circular 6100.1C, "Transit Research and Technology Programs: Application and Program Management Guidelines." This Circular may be found at the FTA web site at [www.fta.dot.gov](http://www.fta.dot.gov). This program is subject to the provisions of 49 CFR Part 18 for State and local governments and 49 CFR Part 19 for universities and private nonprofit organizations.

**Award Procedure:**

The Administrator, Federal Transit Administration, makes the final decision to approve a project. An FTA grant or cooperative agreement award obligating Federal funds is reflected in a grant agreement or cooperative agreement. To access funds, the recipient must execute the grant agreement or cooperative agreement.

**Deadlines:**

No fixed or standard deadlines for research, development, and demonstration projects.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Research, development, and demonstration projects: FTA encourages cost-sharing by performing organizations to the extent feasible and equitable. Cost-sharing is not a prerequisite to funding. However, it is actively considered in the evaluation of proposals. The amount of such sharing is determined by mutual agreement between FTA and the recipient. More weight is given to programs with a greater local share and proposals with cash contributions than to in-kind contributions.

**Length and Time Phasing of Assistance:**

Varies with the complexity of the project.

**Reports:**

(1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Grant recipients shall retain records for 3 years following submission of a final expenditure report, pending resolution of audit findings, all project contracts documents, financial records, and supporting records.

**Account Identification:**

69-1137-0-1-401.

**Obligations:**

(Transit Planning and Research Grants and Contracts) FY 07 est \$34,414,761; FY 08 est \$39,990,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

(1) FTA initiated the Bus Rapid Transit Demonstration Program integrating vehicle technology, Intelligent Transportation Systems (ITS), coordinated services, traffic engineering enhancements, and innovative urban design. Seventeen cities have formed a BRT consortium to share ideas and experience in implementing BRT. (2) The Advanced Technology Transit Bus (ATTB) test vehicle was successfully developed and tested. This revolutionary low-floor, light-weight, easily accessible bus features low-emission propulsion. (3) FTA, working with an industry committee (natural gas suppliers and transit operators) produced a detailed technical guideline document defining basic safety requirements for fueling facilities, vehicles, bus garages and storage areas. (4) Four-quadrant gates linked to a vehicle detection system are being demonstrated on a commuter-rail highway grade crossing in the Boston area to prevent motorists from attempting to drive around closed crossing gates. (5) Project ACTION (Accessible Community Transportation in Our Nation) has implemented accessible transportation initiatives, made national presentations on accessible transportation and distributed thousands of copies of "how-to" publications. (6) The JobLinks program provided Welfare-to-Work pilot demonstrations, evaluations and technical assistance that were instrumental in designing the Job Access and Reverse Commute Program enacted in TEA-21. (7) In collaboration with the Federal Highway Administration, FTA published a 3-volume guidance manual on developing and implementing Transportation Demand Management (TDM) measures and developed and tested a pilot training course on TDM. (8) FTA prepared and disseminated descriptions of FTA Research and Technology programs and projects and annotated bibliographies of recent technical reports related to transit; these are available on the FTA Research and Technology website: <http://www.fta.dot.gov>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fiscal Year 2008 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice, published October 1, 2008. For other fiscal years, contact the FTA Office of Research Demonstration and Innovation to obtain the publication dates. FTA website [www.fta.dot.gov](http://www.fta.dot.gov). Other information will be made available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Associate Administrator for Research, Demonstration and Innovation (TRI-1), Federal Transit Administration, Department of Transportation, 1200 New Jersey Ave. S.E., Washington, DC 20590. Telephone: (202) 366-4052. Bruce Robinson, Office of Research, Demonstration and Innovation, (202) 366-4209.

**Web Site Address:**

<http://www.fta.dot.gov/research>.

**RELATED PROGRAMS:**

20.500, Federal Transit\_Capital Investment Grants; 20.507, Federal Transit\_Formula Grants; 20.515, State Planning and Research.

**EXAMPLES OF FUNDED PROJECTS:**

Nearly all projects funded in recent years were at the direction of the Congress under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), or annual appropriations acts. Most projects funded in recent years were at the direction of the Congress under annual appropriation actions. Projects funded during FY 2008 included: (1) Transit safety and Security Statistics; (2) Transit Safety and Security Training; (3) Rail safety research (4) Fuel Cell Research; (5) Hybrid Electric Vehicle research; (6) Rail Capacity Improvement Research and (7) Mobility Services for All Americans Research.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must support the FTA Strategic Plan, available on the FTA Home Page of the Internet at <http://www.fta.dot.gov>. If a preliminary proposal is judged to meet program and funding availability, FTA will invite formal proposal submission or cooperative agreement application. Criteria for preliminary approval include: (1) compatibility with FTA Strategic Plan and Strategic Research Plan; (2) availability of funding; (3) potential for impact on the state-of-the-art from the viewpoint of innovation in transit technology, services and operations; (4) technical feasibility and potential for successful introduction into use in the transit industry; (5) background, experience, and demonstrated capabilities of the applicant; (6) partnerships with public and private organizations; (7) non-FTA funding match; and (8) other pertinent matters, such as geographic distribution of projects and questions of environmental and labor impact.

**20.515 STATE PLANNING AND RESEARCH**

(State Planning and Research Program)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5304.

**OBJECTIVES:**

To assist in the development of cost effective multimodal transportation improvement programs which include the planning, engineering, and designing of Federal Transit projects, and other technical studies in a program for a unified and officially coordinated Statewide Transportation system.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

This is a consolidated program which is apportioned to the States under 49 U.S.C., Chapter 53 which includes such activities as planning, technical studies and assistance, innovative demonstrations, management training, and cooperative research. In addition, a State may authorize a portion of these funds to be used to supplement and administer Metropolitan Planning funds allocated by the State to its urbanized areas, as the State deems appropriate.

**Applicant Eligibility:**

Apportionments are made to the States.

**Beneficiary Eligibility:**

Apportionments are made to the States.

**Credentials/Documentation:**

Federal Register Notice, "FTA Fiscal Year 2008 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2008, the publication date was January 28, 2008. For other fiscal years, contact the FTA Regional Office or refer to the FTA web site to obtain the publication dates. The FTA website is: [www.fta.dot.gov/funding/grants\\_financing\\_38.html.htm](http://www.fta.dot.gov/funding/grants_financing_38.html.htm).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." A sub-recipient should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

FTA Circular 8200.1 dated December 27, 2001, Program Guidance and Application Instructions for State Planning and Research Program Grants" provides detailed application information. It is available at [www.fta.dot.gov/laws/circulars/leg\\_reg\\_4124.html](http://www.fta.dot.gov/laws/circulars/leg_reg_4124.html).

**Award Procedure:**

If the application is complete, FTA will approve and release the grant.

**Deadlines:**

Applications may be submitted throughout the fiscal year.

**Range of Approval/Disapproval Time:**

If completed applications are submitted to FTA no later than the first business day of the quarter, FTA will then award grants no later than the last business day of the quarter. In FY 04, FTA awarded State Planning and Research Program grants in an average of 9 days of submission of a complete application.

**Appeals:**

Not applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

The matching requirements vary. Funds obligated for State or metropolitan planning are granted as an 80 percent Federal, 20 percent local ratio. In addition, current year funds can be transferred from the Federal Highway Administration to form State Consolidated Planning Grants.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project sponsor is required to retain intact, for 3 years following submission of the final financial status report pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1137-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$19,991,000; FY 08 est \$15,467,000; and est FY 09 \$20,875,000.

**Range and Average of Financial Assistance:**

\$45,000 to \$1,000,000 plus per State based on a statutory formula.

**PROGRAM ACCOMPLISHMENTS:**

Block grant funds to States for projects they identify to accomplish statewide planning and research.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notice, "FTA Fiscal Year 2008 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2008, the publication date was January 28, 2008. For other fiscal years, contact the FTA Regional Office or consult the FTA web site to obtain the publication dates. The FTA website is: [http://www.fta.dot.gov/funding/grants\\_financing\\_38.html](http://www.fta.dot.gov/funding/grants_financing_38.html).

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

FTA Office of Planning and Environment (TPE-10), Candace Noonan, Telephone: (202) 366-1648, Federal Transit Administration, Department of Transportation, 1200 New Jersey Ave., S.E., Washington, DC 20590.

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction; 20.500, Federal Transit\_Capital Investment Grants; 20.502, Federal Transit Grants for University Research and Training; 20.507, Federal Transit\_Formula Grants; 20.505, Federal Transit\_Metropolitan Planning Grants; 20.514, Public Transportation Research.

**EXAMPLES OF FUNDED PROJECTS:**

California did a study of performance measures for small and rural transit.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 20.516 JOB ACCESS-REVERSE COMMUTE

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient & Transportation Equity Act: A Legacy for users (SAFETEA-LU), Title 49, Chapter 53, Section 5316, 49 U.S.C 5317.

**OBJECTIVES:**

To provide grants to local governments, nonprofit organizations, and designated recipients of Federal transit funding to develop transportation services to connect welfare recipients and low-income persons to employment and support services. Job Access grants will be to finance planning, capital and operating cost of projects. The Reverse Commute grants will assist in funding the costs associated with adding reverse commute bus, train, carpool or service from urban areas, urban, rural and other suburban locations to suburban work places.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The funds are to be used for delivery of services as well as to administer, plan and provide technical assistance for projects.

**Applicant Eligibility:**

State and local government agencies, nonprofit agencies, and transit providers.

**Beneficiary Eligibility:**

Low income individuals; individuals traveling to suburban work places.

**Credentials/Documentation:**

The applications submitted were derived from a locally developed, coordinated public transit-human services transportation plan and developed through a process that included representatives of public, private and nonprofit transportation and human services providers and participation by the public.

**Preapplication Coordination:**

Applicants must coordinate with the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served, and other stakeholders. The program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the area's recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate FTA regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for JARC funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

The JARC Program is a formula program. This information is published in the Annual Apportionment Federal Register. Funds are normally available for three years. Applications can be submitted throughout the year.

**Range of Approval/Disapproval Time:**

In the past Fiscal years, FTA approved JARC grants on an average of 42 days following submission of a complete application.

**Appeals:**

Not applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

An 80 percent cost share for capital projects, and a 50 percent match for operating projects is required. Certain other Federal funds may be used for this match, such as the Department of Health and Human Services temporary assistance to needy families, the Department of Labor Welfare-to-work, and the Federal Highway's State Planning and Research funds. Sixty percent funding shall be distributed among designated recipients in urbanized areas with a population of 200,000 or more in the ratio that the number of eligible low-income individuals and welfare recipients in each such urbanized area bears to the number of eligible low-income individuals and welfare recipients in all such urbanized areas. Twenty percent of the funds shall be distributed among the States in the ratio that the number of eligible low-income individuals and welfare recipients in urbanized areas with a population of less than 200,000 in each State bears to the number of eligible low-income individuals and welfare recipients in urbanized areas with a population of less than 200,000 in all States. Twenty percent of the funds shall be distributed among the States in the ratio that the number of eligible low-income individuals and welfare recipients in other than urbanized areas in each State bears to the number of eligible low-income individuals and welfare recipients in other than urbanized areas in all States.

**Length and Time Phasing of Assistance:**

Generally 1 year. Can be up to 4 years.

**Reports:**

(1) Progress reports; (2) Financial status reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1125-0-1-401; 69-8350-0-7-401.

**Obligations:**

FY 07 \$59,714,258; FY 08 est \$238,961,230; and FY 09 est \$283,102,480.

**Range and Average of Financial Assistance:**

\$23,550 to \$1,500,000. Average: \$356,000.

**PROGRAM ACCOMPLISHMENTS:**

Job Access and reverse Commute services in 45 States and the District of Columbia have been funded through more than 450 grants and grant amendments. JARC services in Fiscal Year 2006 provided access to approximately 43.4 million jobs, including 21.2 million low-wage jobs and provided approximately 22.9 million one-way trips.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9050.1, Job Access and Reverse Commute Program Guidelines and Application Instructions, updated May 1, 2007.

**Regional or Local Office:**

See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Office of Program Management, Federal Transit Administration, Department of Transportation, 1200 New Jersey Avenue, SE, East Building-Fourth Floor Washington, DC 20590. Telephone: (202) 366- 2053 . David Schneider telephone (202)493-0175..

**Web Site Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3550.html](http://www.fta.dot.gov/funding/grants/grants_financing_3550.html)

**RELATED PROGRAMS:**

20.505; 20.507; 20.509; 20.513; 20.515.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded include Extended service hours, new demand, responsive service, fixed route extensions, emergency childcare transportation, guaranteed ride home programs, additional bus lines; mobility management projects.

**CRITERIA FOR SELECTING PROPOSALS:**

49 U.S.C. 5316(f) of SAFETEA-LU states factors that must be fair and equitable. Proposals must also meet legal and administrative requirements, available on the FTA web site at <http://www.fta.dot.gov>.

**20.518 CAPITAL AND TRAINING ASSISTANCE PROGRAM FOR OVER-THE-ROAD BUS ACCESSIBILITY**

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

The program is authorized under Section 3038 of the Transportation Equity Act for the 21st Century (TEA-21), Public Law 105-85 as amended by the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-059, August 10, 2005.

**OBJECTIVES:**

To make funds available to private operators of over-the-road buses to finance the incremental capital and training costs of complying with requirements of the Department of Transportation's Over-the-Road Bus Accessibility regulation, "Transportation for Individuals with Disabilities" (49 CFR Part 37, Subpart H).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Program funds may be used to finance the incremental capital and training costs of complying with DOT's Over-the-Road Bus Accessibility regulation. Capital projects eligible for funding include adding wheelchair lifts and other accessibility components to new vehicle purchases, and purchasing lifts to retrofit existing vehicles. Eligible training costs include training in proper operation and maintenance of equipment, boarding assistance, and securement, handling and storage of mobility devices, and sensitivity training.

**Applicant Eligibility:**

Private operators of over-the-road buses that provide intercity fixed route bus service, and other providers, including operators of over-the-road buses of local fixed-route service, commuter service, and charter or tour service.

**Beneficiary Eligibility:**

Persons with disabilities.

**Credentials/Documentation:**

Costs are determined in accordance with program guidance in an annual Federal Register Notice soliciting applications.

**Preapplication Coordination:**

None required. The program is not covered by E.O. 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

FTA conducts a national solicitation for applications annually. Grant awards will be made on a competitive basis. Applications may be submitted through Grants.Gov. Paper applications are also accepted. An original and two copies must be submitted to the appropriate FTA Regional Office. The over-the-road bus operators should submit their applications to the office in the region in which its headquarters is located. The application should provide information on all items for which the applicant is requesting funding. Applications for FY 07/08 funding were due on November 13, 2007. A solicitation was issued in FY 07 for FY 07/08 funding.

**Award Procedure:**

The announcement of awards is published in a Federal Register Notice. Successful applicants file a grant application with FTA. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

As prescribed in the annual Federal Register Notice soliciting applications. The deadline for FY 07/08 applications was November 13, 2007. Following competitive selection, successful applicants may apply for grant funding throughout the fiscal year.

**Range of Approval/Disapproval Time:**

Project selections are announced approximately six months following the application deadline for competitive consideration.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Federal funds will be provided for up to 90 percent of the eligible costs.

**Length and Time Phasing of Assistance:**

Funds are available for obligation to grantees for 3 fiscal years. Any funds not obligated by FTA by the end of this period will be added to the succeeding year's program allocation.

**Reports:**

Final progress report and Financial Status Report upon closing the grant, and annual reports for grants remaining open the end of each Federal fiscal year. Documentation is required for payment.



**Audits:**

As requested by FTA.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$6,856,849; FY 08 est \$10,908,290; and FY 09 est \$13,358,290.

**Range and Average of Financial Assistance:**

\$20,000 to \$ 180,000. Average: \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

During FY 06, 91 companies were provided funding to make 212 vehicles wheelchair accessible and provide training.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notices, published annually. Current guidance contained in Federal Register Notice dated February 2, 2006, "Over-the-Road Bus Accessibility Program Grants".

**Regional or Local Office:**

See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Federal Transit Administration, Office of Program Management, Office of Transit Programs, 1200 New Jersey Avenue, S.E., Washington DC 20590. Blenda Younger, Program Manager. Telephone: (202) 366-2053.

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Operators of intercity fixed-route services received \$29,460 for the incremental capital cost of making vehicles wheelchair accessible, and \$1,800 for training as required by the American Disability Act.

**CRITERIA FOR SELECTING PROPOSALS:**

Current guidance contained in Federal Register Notice dated February 2, 2006, "Over-the-Road Bus Accessibility Program Grants".

## 20.519 CLEAN FUELS

(Clean Fuels)

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C 5308.

**OBJECTIVES:**

To assist in financing the acquisition of clean fuel buses and related facilities for agencies providing public transportation and operating in an urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Eligible projects include the purchase or lease of clean fuel buses, the construction or lease of clean fuel buses or electrical recharging facilities and related equipment for such buses, and construction or improvement of public transportation facilities to accommodate clean fuel buses. A clean fuel bus is a passenger vehicle used to provide public transportation that is powered by compressed natural gas, liquefied natural gas, biodiesel fuels, batteries, alcohol-based fuels, hybrid electric systems, fuel cells, clean diesel (to the extent allowed by law), or another low or zero emissions technology. Buses that employ lightweight composite primary structure may also be eligible.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Applicant must also operate in an urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide. If the urbanized area is less than 200,000 in population, the State in which the area is located will act as the recipient.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor

agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances.

**Preapplication Coordination:**

Pursuant to the National Environmental Policy Act (NEPA), an environmental impact assessment and/or environmental impact statement may be required. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed in applying for assistance under this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Applications may be submitted throughout the fiscal year. Funds are available for obligation for three fiscal years including the year of appropriation.

**Range of Approval/Disapproval Time:**

It is a goal of the Federal Transit Administration to obligate grants within an average of 36 days of the submission of a complete grant application.

**Appeals:**

None. Award recipients are chosen by Congress during the appropriations process.

**Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Funding is apportioned on a discretionary basis. The Federal share is not to exceed 80 percent of the net project cost. The Federal share may be 90 percent for the cost of vehicle-related equipment or facilities attributable to compliance with the American with Disabilities Act and the Clear Air Act.

**Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement.

**Reports:**

(1) Progress reports, (2) Financial status reports, (3) construction reports where applicable.

**Audits:**

Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$15,920,000; FY 08 est \$46,538,470; and FY 09 est \$60,663,470 not available.

**Range and Average of Financial Assistance:**

\$160,000 - \$5,250,000. Average \$1,112,000.

**PROGRAM ACCOMPLISHMENTS:**

The program has provided funding for clean fuel projects as directed by Congress.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See list of region contacts listed in Appendix IV.

**Headquarters Office:**

Department of Transportation, Federal Transit Administration-Office of Program Management, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202)366-2053 Contact: Kimberly Sledge, E-mail: [kimberly.sledge@fta.dot.gov](mailto:kimberly.sledge@fta.dot.gov).

**Web Site Address:**

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects receiving funding under the program include the replacement of existing diesel buses with hybrid diesel-electric and other alternative fuel buses, as well as the construction of facilities to support vehicles utilizing clean fuel technology.

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation.

**20.521 NEW FREEDOM PROGRAM**

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Efficient, Flexible Transportation Equity Act: A legacy for Users (SAFETEA-LU), Title 49, Chapter 53, Section 5317; 49 U.S.C. 5317.

**OBJECTIVES:**

To provide grants to recipients for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et. Seq.) that assists individuals with disabilities with transportation, including transportation to and from jobs and employment support services.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To be eligible, a project must either be a new public transportation service or a public transportation alternative beyond those required by the ADA and the project must assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services. Capital and operating expenses for projects that meet the purpose of the statute are eligible to be funded. The recipient may use up to 10 percent of apportioned funds for administration, planning, and technical assistance.

**Applicant Eligibility:**

An eligible recipient is defined as a recipient to be designated by the Governor of the State in consultation with local officials and local public transportation providers in urbanized areas above 200,000 in population. In urbanized areas between 50,000 and 200,000 in population and nonurbanized (rural) areas, the State is the eligible recipient. Public agencies, nonprofit agencies, public transportation providers, private transportation providers, and human services transportation providers are eligible to be subrecipients under the New Freedom program.

**Beneficiary Eligibility:**

Individuals with Disabilities.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in the local coordinated public transit human service transportation plan, an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances.

**Preapplication Coordination:**

Pursuant to Section 102 (2) (C) of the National Environmental Policy Act of 1969 (Public Law 91-190), 42 U.S.C. 4332 (2) (c), Executive Order 11514 (34 FR 4247) of March 4, 1970, an environmental impact assessment and/or environmental impact statement may be required for construction projects. Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served and stakeholders. The program is covered under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed in applying for assistance under this program.

**Application Procedure:**

The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the areas recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate Federal Transit Administration, FTA, regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for New Freedom funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

**Award Procedure:**

An FTA New Freedom grant is awarded and funds are obligated in an electronic

grant agreement. The recipient must execute the grant agreement, and access FTA's electronic funds management system; the funds management system allows the grantee to drawdown funds after invoices are received. The grantee directs funds to subrecipients.

**Deadlines:**

Available formula funds are published in the Annual Apportionment Federal Register. Funds are available for obligation for three fiscal years including the year of appropriation.

**Range of Approval/Disapproval Time:**

It is a goal of the Federal Transit Administration to obligate grants within 36 days of the submission of a complete grant application.

**Appeals:**

Not applicable.

**Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Funding is apportioned on a formula basis. 60 percent of funds are apportioned for areas of 200,000 or more in population in the ratio that the number of individuals with disabilities in each such urbanized area bears to the number of individuals with disabilities in all such areas; 20 percent is apportioned among the states in the ratio that the number of individuals with disabilities in urbanized areas with a population of less than 200,000 in each State bears to the number of individuals with disabilities in areas with a population of less than 200,000 in all States; 20 percent is apportioned among the states in the ratio that the number of individuals with disabilities in other than urbanized areas of each State bears to the number of individuals with disabilities in other than urbanized areas in all States. 49 U.S.C. 5317 (c) (1)(A-C). The population factor used in the formula consists of the number of disabled individuals, over the age of five, in each area divided by the total population of disabled individuals over the age of five in all areas in the corresponding population category. The population factor is multiplied by the total funding available by category to determine an area's allocation. The Federal share is not to exceed 80 percent of the net project cost for capital expenses, or 50 percent of net operating costs of the projects for operating assistance. The Federal share may be 90 percent for the cost of vehicle-related equipment attributable to compliance with the American with Disabilities Act and the Clear Air Act. Up to 10 percent of a recipient's New Freedom allocation may be used for planning, administration, and technical assistance. Funds used for these purposes may be funded at 100 percent federal share.

**Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. Funds are awarded using an electronic financial management system as funds are expended and invoices received.

**Reports:**

(1) Annual Progress reports, (2) Annual Financial status reports, (3) construction reports where applicable, and (4) Annual report to the National Transit Database (NTD).

**Audits:**

Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Grants) FY 07 \$9,323,016; FY 08 \$139,230,000; and FY 09 \$164,161,310 est not available.

**Range and Average of Financial Assistance:**

Project funding varies based on competitive selection process at State or urbanized area level. Urbanized area apportionments range from \$45 K to \$5.7 M. State apportionments for small urbanized areas range from \$35 K to \$1.6 M and for rural areas from \$48K to \$1 M.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(1) Federal Transit Administration Transit Program Changes, Authorized Funding Levels and Implementation of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, 70 Federal Register 71950, 71968 (November 30, 2005). (2) FTA Circular 9045.1, New Freedom Program Guidelines and Application Instructions, enacted May 1, 2008.

**Regional or Local Office:**

Region 1, Transportation Systems Center, Kendall Square, 55 Broadway, Suite

920 Cambridge, MA 02142-1093. Telephone: (617) 494-2055 Region 2, One Bowling Green, Room 429, New York, NY 10004-1415. Telephone: (212) 668-2170, Region 3, 1760 Market Street, Suite 500, Philadelphia, PA 19103-4124. Telephone: (215) 656-7100, Region 4, Atlanta Federal Center, Suite 17T50, 61 Forsyth St., S.W. Atlanta, GA 30303. Telephone: (404) 562-3500, Region 5, 200 West Adams Street, Suite 320, Chicago, IL 60606. Telephone: (312) 353-2789, Region 6, 819 Taylor Street, Room 8A36, Fort Worth, TX 76102. Telephone: (817) 978-0550, Region 7, 901 Locust Ste. 404, Kansas City, MO 64106. Telephone: (816) 329-3920, Region 8, 12300 West Dakota Ave. Suite 310 Lakewood, CO 80228-2583. Telephone: (720) 963-3300 Region 9, 201 Mission Street, Room 2210 San Francisco, CA 94105-1839. Telephone: (415) 744-3133 Region 10, Jackson Federal Building, 915 Second Avenue, Suite 3142, Seattle, WA 98174-1002. Telephone: (206) 220-7954 LOWER MANHATTAN RECOVERY OFFICE (LMRO), 1 Bowling Green, Room 436 New York, NY, 10004. Telephone: (212) 668-1770.

**Headquarters Office:**

Office of Program Management Federal Transit Administration Department of Transportation 1200 New Jersey Avenue S.E., East Building-Fourth Floor, Washington, DC 20590 Contact: David Schneider, Telephone: (202) 493-0175.

**Web Site Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3549.html](http://www.fta.dot.gov/funding/grants/grants_financing_3549.html)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Enhancing ADA complementary paratransit services beyond the ADA; (2) New Feeder services; (3) Making accessibility improvements to transit and intermodal stations not designated as key stations; (4) travel training; (5) volunteer driver and aide programs; (6) Accessible taxi, ridesharing, or vanpooling programs (7) mobility management.

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation, recipients must conduct a competition to determine which projects should be funded.

## 20.522 ALTERNATIVES ANALYSIS

**FEDERAL AGENCY:**

FEDERAL TRANSIT ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5339.

**OBJECTIVES:**

To assist in financing the evaluation of all reasonable modal and multimodal alternatives and general alignment options for identified transportation needs in a particular, broadly defined travel corridor.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in conducting alternatives analyses as part of the early planning for capital projects for new fixed guideway systems and extensions to existing fixed guideway systems.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Private non-profit organizations are not directly eligible recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation and public agencies. Private consultants may participate through contractual arrangements with a public agency grantee.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's Unified Planning Work Program (UPWP) and approved by FTA and FHWA. Applicant must complete certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement may be required for this program. An environmental impact statement may also be required upon completion of the review.

**Application Procedure:**

Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the

availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Applications may be submitted throughout the fiscal year. Funds are available for obligation for three fiscal years including the year of appropriation.

**Range of Approval/Disapproval Time:**

FTA awards more than 80 percent of grants within 60 days of receipt of a completed application, with an average processing time of 36 days or less.

**Appeals:**

Not applicable.

**Renewals:**

Funding is made available annually, FY 2006-2009, through the appropriations process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Funds for Alternatives Analysis projects are allocated based on statutory or discretionary basis. A grant may be made up to 80 percent of total project cost.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. The grants may be awarded in one lump sum or in smaller increments as specified by the grantee.

**Reports:**

(1) Progress reports; (2) Financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local Governments and Nonprofit Organizations; nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

FY 07 \$15,745,000; FY 08 est \$32,798,330; and FY 09 est \$39,202,780.

**Range and Average of Financial Assistance:**

In FY 2006 Congressional designations range from \$300,000 to \$2,500,000 with an average of \$138,889.

**PROGRAM ACCOMPLISHMENTS:**

The program will support alternatives analysis for over 18 new fixed guideway transit systems, ultimately resulting in more effective decision making at the local level and to support future Federal investment in major capital projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See list of regional office contacts located in Appendix IV.

**Headquarters Office:**

Department of Transportation, Federal Transit Administration, Office of Program Management, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202)366-2053 Contact: Kimberly Sledge, E-mail: [kimberly.sledge@fta.dot.gov](mailto:kimberly.sledge@fta.dot.gov).

**Web Site Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction; 20.500, Federal Transit\_Capital Investment Grants; 20.505, Federal Transit\_Metropolitan Planning Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded include studies conducted as part of the transportation planning process to include an assessment of a wide range of public transportation alternatives designed to address a transportation problem in a corridor or subarea.

**CRITERIA FOR SELECTING PROPOSALS:**

Major, non-recurring capital investment Congressional designation.

## 20.600 STATE AND COMMUNITY HIGHWAY SAFETY



**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, 23 U.S.C. 401 et seq.

**OBJECTIVES:**

To provide a coordinated national highway safety program to reduce traffic crashes, deaths, injuries, and property damage.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used for problems identified within the nine national priority program areas of Alcohol and other Drug Countermeasures, Police Traffic Services, Occupant Protection, Traffic Records, Emergency Medical Services, Motorcycle Safety, Pedestrian/Bicycle Safety, Speed Control and Roadway Safety. Other program areas identified by a State as constituting a highway safety problem in that State, e.g., pupil transportation safety programs, may be eligible for Federal funding, as encompassing a major highway safety problem in the State and for which effective countermeasures have been identified. The law provides that at least 40 percent of these Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State.

**Applicant Eligibility:**

States, federally recognized Indian tribes, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, and the Virgin Islands.

**Beneficiary Eligibility:**

Political subdivisions, through the State Highway Safety Agencies.

**Credentials/Documentation:**

Performance plan approved by the agency is required and Highway Safety plan, certification statement, and Program Cost Summary. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State Plan due date is September 1 for the formula grant program.

**Preapplication Coordination:**

NHTSA Regional Administrators and FHWA Division Administrators review each State's Performance Plan and Highway Safety Plan. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is exempt from the standard application forms required by the Governmentwide Common Grant Rule for State, Local, and Indian Tribal Governments. Assistance from NHTSA and FHWA is continuously available to participants in this program.

**Application Procedure:**

Submission of Highway Safety Plan covering State and community highway safety activities for the year to NHTSA regional offices.

**Award Procedure:**

Awards are made by NHTSA Regional Administrators.

**Deadlines:**

Highway Safety Plans must be submitted by September 1 each year.

**Range of Approval/Disapproval Time:**

Two months.

**Appeals:**

Appeals of decisions by NHTSA Regional Administrators are to the NHTSA Associate Administrator for Regional Operations and Program Delivery.

**Renewals:**

Each year, States submit Performance Plans and Highway Safety Plans as part of continuing formula grant program.

**Formula and Matching Requirements:**

75 percent apportioned on total resident population; 25 percent apportioned against public road mileage in States. Federal share shall not exceed 80 percent or applicable sliding scale.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of funds method. Funds placed under obligation are available until expended.

**Reports:**

States are required to submit annual program reports to the Federal Highway Administration and to the National Highway Traffic Safety Administration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. Nonfederal entities that expend less than \$500,000 within the State's fiscal year shall have an audit made in accordance with Circular No. A-133, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

**Account Identification:**

69-8020-0-7-401; 69-8019-0-7-401.

**Obligations:**

(Formula Grants)FY 07 \$219,870,000; FY 08 est \$225,000,000; and FY 09 est. \$235,000,000.

**Range and Average of Financial Assistance:**

\$549,000 to \$21,000,000. Average: \$3,200,000.

**PROGRAM ACCOMPLISHMENTS:**

The federally assisted State and Community Highway Safety programs have contributed to reducing and, subsequently, leveling out the sharp rise in traffic deaths in the period from 1966 to 2006. The fatality rate per hundred million passenger miles has been reduced from 5.5 in 1966 to 1.12 in 2006. This has been achieved in spite of more cars, more drivers, and more miles traveled on our Nation's highways.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Chapter II, State and Community Highway Safety Grant Program; Manual on Uniform Traffic Control Devices; Handbook of Highway Safety Design and Operating Practice, available from Government Printing Office, Washington, DC 20402.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

**Headquarters Office:**

Marlene Markison, Associate Administrator for Regional Operations and Program Delivery, National Highway Traffic Safety Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-2121. Byron Dover, Transportation Specialist, Safety Technology Division, Office of Highway Safety, Federal Highway Administration, Washington, DC 20590. Telephone: (202) 366-2161 (use the same number for FTS).

**Web Site Address:**

<http://www.nhtsa.whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

20.205, Highway Planning and Construction.

**EXAMPLES OF FUNDED PROJECTS:**

Selective traffic enforcement programs, both at the State and local level - Funds were used for equipment (police vehicles, communications, speed detection devices, breath testing devices, etc.), training of police personnel, and overtime salaries. Upgrading of Emergency Medical Services (EMS) at the local level: Funds were used for training of emergency medical personnel improved ambulance medical equipment, survey of EMS needs, and salaries for statewide EMS coordinators. Programs to reduce alcohol-related crashes: Funds were used for studies to identify the magnitude of the problem, personnel services (police, investigators, and court personnel), equipment (breath testing devices, radar equipment), and training of involved personnel to detect the drinking driver and to use testing equipment. Traffic records system improvement projects: Funds were used for survey of needs and requirements, system designs, system implementation, ADP equipment and supplies, traffic records, personnel, and training. Occupant Protection programs: Funds were used to develop and distribute public information and education materials relating to the use of safety belts and infant/child safety seats, and the implementation of infant/child safety seat loaner programs. Networks of public and private agencies and groups were developed and assisted regarding programs to increase awareness of the benefits of occupant protection, and to increase overall use. Activities that directly support the identification of highway hazards and the scheduling and implementation of roadway improvements (construction, operational or otherwise) to improve their safety: Funds were used for personal services, training and equipment to establish accident data systems; conduct engineering studies and analyses of high accident locations; conduct workshops in street design and capacity and work zone safety; inventory skid resistance of pavement surfaces; and provide traffic engineering assistance to local jurisdictions.

**CRITERIA FOR SELECTING PROPOSALS:**

The Federal/State relationship for the highway safety grant program is a partnership. Each State is given flexibility in the administration of its own highway safety program. Federal funds are obligated in support of a highway safety program based on problems identified by the State. States have latitude in determining projects upon which they spend their Federal monies.

**20.601 ALCOHOL TRAFFIC SAFETY AND DRUNK DRIVING PREVENTION INCENTIVE GRANTS****FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Section 2007, Public Law 109-59, as amended, 23 U.S.C. 410.

**OBJECTIVES:**

To encourage States to adopt effective programs to reduce crashes resulting from persons driving while under the influence of alcohol and other controlled

substances.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement effective programs to reduce drunk and drugged driving, in compliance with established criteria.

**Applicant Eligibility:**

States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. States are provided with two alternative means to qualify for a Section 410 grant. Under the first alternative, States may qualify as a low fatality rate State if they have an alcohol-related fatality rate of 0.5 or less per 100 million vehicle miles traveled (VMT). Under the second alternative, States may qualify as a programmatic State if they demonstrate that they meet three of eight grant criteria for fiscal year 2006, four of eight grant criteria for fiscal year 2007, and five of eight grant criteria for fiscal years 2008 and 2009. Qualifying under both alternatives would not entitle the State to receive additional grant funds. SAFETEA-LU directs that States with low alcohol-related fatality rates, based on the agency's Fatality Analysis Reporting System (FARS), be awarded grants without the need to satisfy any of these programmatic criteria. There is also an additional Section 410 grant available to assist the 10 States with the highest impaired driving related fatalities as determined by the most recent FARS data.

**Beneficiary Eligibility:**

State Highway Safety Agency.

**Credentials/Documentation:**

State submits certification and application that it meets eligibility requirements; after being informed by the National Highway Traffic Safety Administration (NHTSA) that it is eligible for a grant, State submits to the agency a plan that describes the programs the State will implement using the funds.

**Preapplication Coordination:**

Low fatality rate States: Prior to the start of the application period (on or about June 1 of that fiscal year), the agency will inform States that qualify for a grant based on low fatality rates. These States will not be required to submit an application demonstrating compliance with the programmatic requirements. They will, however, be required to submit information that identifies how the grant funds will be used in accordance with the requirements of SAFETEA-LU. If the agency experiences a delay in making fatality rate information available, all States should prepare and submit information demonstrating compliance with the required number of programmatic criteria. A State should not assume qualification for Section 410 funding as a low fatality rate State until the information is made available by the agency. Programmatic states: To qualify for a Section 410 grant in FY 2006 based on programmatic criteria, SAFETEA-LU requires a State to demonstrate compliance with three of the following eight criteria: A high visibility impaired driving enforcement program; a prosecution and adjudication outreach program; a BAC testing program; a high-risk drivers program; an alcohol rehabilitation or DWI court program; an underage drinking prevention program; an administrative driver's license suspension or revocation system; and a self-sustaining impaired driving prevention program. States will be required to meet four of eight criteria to qualify in FY 2007 and five of eight criteria to qualify in each subsequent fiscal year. High Fatality Rate States: Any State that is determined to have one of the ten highest fatality rates will be eligible for a separate grant under Section 410. The agency will calculate the alcohol fatality rate per 100 million vehicle miles traveled (VMT) for each State using the most recent final FARS data available prior to the date of the grant. A qualifying high fatality rate State would be required to submit a plan that details expenditures for the funding provided. NHTSA Regional Administrator coordinates qualification process with Office of Injury Control Operations and Resources. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

State submits certification and application that it meets eligibility requirements; after being informed that it is eligible for a grant, State submits to the agency a plan that describes the programs the State will implement using the funds.

**Award Procedure:**

The State submits information that reflects its eligibility for the award based on the criteria for which it is applying. NHTSA staff review the information to determine the eligibility of the State. If the State is deemed eligible to receive an award, it will be notified by the Region and will also receive an official letter of award from the NHTSA Administrator. The release of grant funds shall be subject to the availability of funds for that fiscal year.

**Deadlines:**

Applications would be required to be submitted to the agency no later than August 1 of the fiscal year in which the States are applying for grant funds.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

States are eligible for up to 4 years under the 410 program. Certification and plan must be approved each year.

**Formula and Matching Requirements:**

Authorizes \$515 million for Fiscal Years 2006-2009. No more than 15 percent of Section 410 funding in a fiscal year shall be made available for High Fatality Rate Grants. High Fatality Rate Grants will be allocated to States that qualify on the basis of the Section 402 apportionment, except that no State may receive more than 30 percent of the funds available for this subsection. After a deduction for High Fatality Rate Grants, available Section 410 funds will be allocated to States that qualify under the Low Fatality Rate or Programmatic Criteria on the basis of the Section 402 apportionment. The Federal share of programs funded under this section shall not exceed 75 percent in the first and second years in which a State receives a grant, and 50 percent in the third and fourth years in which a State receives a grant. The Secretary may transfer any amounts remaining available under Sections 405, 408, and 410 to the amounts made available under any other of these programs to ensure, to the maximum extent possible, that each State receives the maximum incentive funding for which it is eligible. This program has MOE requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Reports:**

Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Incentive Grants) FY 07 \$124,500,000; FY 08 est \$131,000,000; and FY 09 est \$139,000,000.

**Range and Average of Financial Assistance:**

\$258,000 to \$9,770,407.

**PROGRAM ACCOMPLISHMENTS:**

Implementation of impaired driving activities found in the Programmatic Criteria section, as well as costs for high visibility enforcement; the costs of training and equipment for law enforcement; the costs of advertising and educational campaigns that publicize checkpoints, increase law enforcement efforts and target impaired drivers under 34 years of age; the costs of a State impaired operator information system, and the costs of vehicle or license plate impoundment. In FY 2007, 50 states and Puerto Rico received grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Part 1313.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

**Headquarters Office:**

Marlene Markison, Associate Administrator for Regional Operations and Program Delivery, National Highway Traffic Safety Administration, 1200 New Jersey Avenue, SE, Washington, DC 20590. Telephone: (202) 366-2121.

**Web Site Address:**

www.nhtsa.dot.gov

**RELATED PROGRAMS:**

20.600, State and Community Highway Safety.

**EXAMPLES OF FUNDED PROJECTS:**

Driving while intoxicated (DWI) prevention programs with special emphasis on law enforcement of drunk driving laws and public awareness, advertising and education about such laws; police training in a variety of drunk and impaired driving issues; and the procurement of technology and equipment, including video equipment, and passive alcohol sensors.

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet criteria established by statute and regulation including, for example, prompt license suspension for drunk driving, mandatory sentencing for repeat drunk driving offenders and self-sustaining drunk driving prevention programs.

**20.602 OCCUPANT PROTECTION**

**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Part 1345, Section 2004, Public Law 109-59, as amended, 23 U.S.C. 402.

**OBJECTIVES:**

To encourage States to adopt effective programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement and enforce occupant protection programs, in compliance with established criteria.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, Virgin Islands, and the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification and application that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds.

**Preapplication Coordination:**

NHTSA Regional Administrator coordinates qualification process with the Office of Injury Control Operations and Resources. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Certifications, signed by the Governor's Representative for Highway Safety, are due no later than February 15 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a State must submit the certification required by Federal Register, Vol. 7, No. 218, Monday, November 14, 2006, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 405 grant. The letter also describes the amount of the grant award.

**Deadlines:**

Application proposals and certifications are due by February 15 of each year.

**Range of Approval/Disapproval Time:**

Program plan and funds should be obligated within 30 days of receipt of award letter.

**Appeals:**

Not applicable.

**Renewals:**

States are eligible for up to 6 years under this program. They must be certified and a plan must be submitted each year.

**Formula and Matching Requirements:**

Under the 405 program, basic grant funding is up to 100 percent of their Section 402 apportionment for FY 2003. The Federal share shall not exceed 75 percent in the first and second years, 50 percent in the third and fourth years, and 25 percent in the fifth and subsequent years.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended.

**Reports:**

Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are

exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

Grants FY 07 \$25,000,000; est FY 08 \$25,000,000; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

FY 07 Range: \$79,937 - \$2,989,991.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 36 States, DC, Puerto Rico and 2 Territories received Section 405 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Part 1345, Section 2004, Public Law 109-59, as amended, 23 U.S.C. 402.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Judy Hammond, Office of Traffic Injury Control, Office of Regional Operations and Program Delivery (NTI-200), NHTSA, 1200 New Jersey Avenue, S.E., Washington, DC, 20590, by telephone at (202) 366-2121 or by e-mail at judy.hammond@dot.gov.

**Web Site Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funds can only be used to implement and enforce occupant protection programs.

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet 4 out of 6 criteria established by statute and regulation including safety belt use law for all passengers, primary safety belt use law, minimum fine or penalty points, statewide special traffic enforcement programs, child passenger protection education program, and child passenger protection law.

## 20.605 SAFETY INCENTIVES TO PREVENT OPERATION OF MOTOR VEHICLES BY INTOXICATED PERSONS

**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Highway Safety Act of 1998, as amended, 23 U.S.C. 163.

**OBJECTIVES:**

To encourage States to establish an 0.08 percent blood alcohol concentration as the legal limit for drunk driving.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement effective programs to reduce drunk and drugged driving, in compliance with established criteria.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, Virgin Islands, and the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification and application that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds.

**Preapplication Coordination:**

NHTSA Regional Administrator coordinates qualification process with the Office of Injury Control Operations and Resources. Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The State submits certification and application that it meets eligibility requirements. After being informed that it is eligible, the State submits to the agency a plan that describes the program it will implement using the funds.



**Award Procedure:**

Awards will be made by the NHTSA Regional Administrator.

**Deadlines:**

Application proposals must be submitted by July 15 of each year.

**Range of Approval/Disapproval Time:**

The Program plan should be submitted by September 1 if eligibility has been approved.

**Appeals:**

Not applicable.

**Renewals:**

States are eligible for funding for up to 7 years under this program. Certifications and plans must be approved each year.

**Formula and Matching Requirements:**

Under the 163 program, funds are apportioned among all eligible States according to the Section 402 formula. The Federal share is 100 percent.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended.

**Reports:**

The Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000,000 to \$4,000,000. Average: \$1,850,000.

**PROGRAM ACCOMPLISHMENTS:**

Initial grant projects still active; information not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1309, 1313.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Marlene Markison, Associate Administrator for Injury Control Operations and Resources, National Highway Traffic Safety Administration, Department of Transportation, Washington, DC 20590. Telephone: (202) 366-2121.

**Web Site Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Driving while intoxicated (DWI) prevention programs with special emphasis on law enforcement of drunk driving laws and public education about such laws; purchase of breath testing devices and the training of law enforcement personnel in their proper use; and overtime pay for police personnel doing selective traffic enforcement programs related to alcohol and drug impaired driving.

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet criteria established by statute and regulation including, for example, an 0.08 percent blood alcohol concentration law.

**20.607 ALCOHOL OPEN CONTAINER REQUIREMENTS****FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Highway Safety Act of 1998, as amended, 23 U.S.C 154.

**OBJECTIVES:**

To encourage States to enact and enforce an alcohol open container law.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving

under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing a Repeat Intoxicated Driver Law, then a State meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds.

**Preapplication Coordination:**

None. This program is excluded From coverage under E.O. 12372.

**Application Procedure:**

NHTSA Regional Administrators coordinate the qualification process with the Office of Injury Control Operations and Resources. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs.

**Award Procedure:**

Once the State provides the agency with a split letter to NHTSA, the State will be given access to the transfer and can obligate the funds.

**Deadlines:**

States must have a compliant law by September 30 of each year.

**Range of Approval/Disapproval Time:**

Applicant should receive a response from the agency, between 30 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

States are eligible for the penalty for up to four years.

**Formula and Matching Requirements:**

If a State has not enacted or is not enforcing an alcohol open container law by September 30 of each fiscal year, it will receive a transfer in the amount of three-percent of the funds apportioned to the State under Section 402.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local governments, and Nonprofit Organizations, nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt for Federal audit requirements for that year. For direct procurement contracts, audit will be conducted in accordance with the Federal Acquisition Regulation.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Grants)FY 07 \$92,971,359; FY 08 and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$2,500,000 to \$16,281,000. Average: \$6,400,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 11 States and Puerto Rico received Section 154 transfer funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

For program issues, Tami Levitas, Office of Regional Operations and Program Delivery (NTI-200), NHTSA, 1200 New Jersey Avenue, S.E., Washington, DC 20590, by telephone at (202) 366-2121 or by E-mail at [tami.levitas@dot.gov](mailto:tami.levitas@dot.gov). For legal issues, Roland Baumann, Office of Chief Counsel, NCC-113, NHTSA, 1200 New Jersey Avenue, SE, Washington, DC 20590, by telephone at (202) 366-1834 or by E-mail at [roland.baumann@dot.gov](mailto:roland.baumann@dot.gov).

**Web Site Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 20.608 MINIMUM PENALTIES FOR REPEAT OFFENDERS FOR DRIVING WHILE INTOXICATED

### FEDERAL AGENCY:

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

Highway Safety Act of 1998 as amended, 23 U.S.C. 164.

### OBJECTIVES:

To encourage States to enact and enforce Repeat Intoxicated Offender laws.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A state may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program.

### Applicant Eligibility:

States, the District of Columbia, and Puerto Rico.

### Beneficiary Eligibility:

State Highway Safety agencies.

### Credentials/Documentation:

If a State has not enacted and is not enforcing a Repeat Intoxicated Driver Law, then a state meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the state will implement using the funds.

### Preapplication Coordination:

NHTSA Regional Administrators coordinate the qualification process with the Office of Injury Control Operations and Resources. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs.

### Application Procedure:

If a state has not enacted and is not enforcing a Repeat Intoxicated driver Law, then a state meets eligibility requirements. After being informed that it is eligible, the state submits to the agency a plan that describes the program it will implement using the funds.

### Award Procedure:

Awards will be made by the NHTSA Regional Administrator.

### Deadlines:

States must have a compliant law by September 30 each year.

### Range of Approval/Disapproval Time:

Applicant should receive a response from the agency between 30 to 90 days.

### Appeals:

Not applicable.

### Renewals:

States are eligible for funding for the penalty for up to four years.

### Formula and Matching Requirements:

If a State has not enacted or is not enforcing a repeat intoxicated offender law by September 30 of each fiscal year, it will receive a transfer in the amount of three-percent of the funds apportioned to the State under section 402.

### Length and Time Phasing of Assistance:

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended.

### Reports:

Annual report required under the section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

### Audits:

In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local governments, and Nonprofit Organizations, nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt for Federal audit requirements for that year. For direct procurement contracts, audit will be conducted in accordance with the Federal Acquisition Regulation.

### Records:

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

### Account Identification:

69-8020-0-7-401.

### Obligations:

(Grants) FY 07 \$124,501,824; FY 08 and FY 09 est not available.

### Range and Average of Financial Assistance:

\$2,299,000 to \$47,500,000. Average: \$7,000,000.

### PROGRAM ACCOMPLISHMENTS:

In FY 2007, 11 States and Puerto Rico received Section 164 transfer funds.

### REGULATIONS, GUIDELINES, AND LITERATURE:

23 CFR 1270.

### Regional or Local Office:

See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

### Headquarters Office:

Marlene Markison, Associate Administrator for Regional Operations and Program Delivery, National Highway Traffic Safety Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington DC 20590.  
Telephone: (202) 366-2121.

### Web Site Address:

<http://www.nhtsa/whatsup/fedassist/index.html>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 20.609 SAFETY BELT PERFORMANCE GRANTS

(Section 406)

### FEDERAL AGENCY:

STATE TRAFFIC SAFETY INFORMATION SYSTEM IMPROVEMENT GRANTS, DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406, Public Law, as amended, 23 U.S.C. 408.

### OBJECTIVES:

Increase safety belt use by encouraging States to enact and enforce primary safety belt laws. A primary safety belt law permits law enforcement officers to stop and cite motorists for failing to wear safety belts without requiring that some other motor vehicle violation first be observed.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

A state may use grant funds for any safety purpose under Title 23 or for any project that corrects or improves a hazardous roadway location or feature or proactively addresses highway safety problems. However, at least \$1 million of amounts received by States must be obligated for behavioral highway safety activities.

### Applicant Eligibility:

The 50 States, District of Columbia, Puerto Rico, American Samoa, the Commonwealth of the Northern Mariana Islands, Guam and the Virgin Islands are eligible to apply for a grant.

### Beneficiary Eligibility:

State Highway Safety Agencies.

### Credentials/Documentation:

States that apply as either New Primary Law States or Pre-2003 Primary Law States must submit a certification that their primary safety belt law is in effect and is being enforced, and must also provide a citation where a copy of the law may be obtained for review. States that apply as Safety Belt Performance States must submit the result of a statewide safety belt observational survey for each of the two calendar years preceding the fiscal year of the grant application, along with certifications that the surveys were conducted in conformance with NHTSA's Uniform Criteria for State Observational Surveys of Seat Belt Use (23 CFR Part 1340).

### Preapplication Coordination:

Program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

A State is eligible for a grant if it did not have a conforming primary safety belt law for all passenger motor vehicles in effect on or before December 31, 2002, and either: Enacts for the first time after December 31, 2002, and has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles (States meeting this criterion are called New Primary Law States); or, After December 31, 2005, has a State safety belt use rate of 85 percent or more for each of the 2 consecutive calendar years immediately preceding the fiscal year of the grant (States meeting this criterion are called Safety Belt Performance States). A State that meets either of the above two criteria will receive a one-time grant equal to 475 percent of the State's apportionment under Section 402 for fiscal year 2003. If a State does not meet either of the above two criteria, and if funds remain after grants have been awarded to all States that do meet either of the two criteria by July 1 each year, the State will qualify for a one-time grant equal to 200 percent of its apportionment under Section 402 for fiscal year 2003 if it has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles that was in effect before January 1, 2003 (States in this category are called Pre-2003 Primary Law States). States that are applying as

either New Primary Law States or Pre-2003 Primary Law States must submit the required certification and citation (see Credentials / Documentation above) by July 1 of the year of the grant application. States applying as Safety Belt Performance States must submit the survey result and related certification for each of the two consecutive calendar years preceding the year of the grant application by March 1 of the calendar year immediately following the year in which the survey was conducted.

**Award Procedure:**

NHTSA will review the information contained in each State's application for compliance with Section 406 and notify qualifying States in writing of grant awards.

**Deadlines:**

States applying as either New Primary Law States or Pre-2003 Primary Law States must submit the required certification and citation by July 1 of the year of the grant application. States applying as Safety Belt Performance States must submit the safety belt survey result and related certification by March 1 of the year immediately following the year in which the survey was conducted.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable. These are one-time grants.

**Formula and Matching Requirements:**

The Federal share payable for grants under Section 406 is 100 percent. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's Section 406 program for behavioral highway safety activities.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

FY 07 \$124,500,000; FY 08 est 124,500,000; and FY 09 est 124,500,000.  
Note: SAFETEA-LU authorizes \$124.5 million for each of the three fiscal years from FY 07 to FY 09.

**Range and Average of Financial Assistance:**

FY 07 - FY 09 Range: \$300,000 - \$35,000,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 18 States, District of Columbia, Puerto Rico and 4 territories received Section 406 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

For program issues, Tami Levitas, Office of Regional Operations and Program Delivery, (NTI-200), NHTSA, 1200 New Jersey Avenue, S.E., Washington, D.C., 20590, by telephone at (202) 366-2121 or by E-mail at [tami.levitas@dot.gov](mailto:tami.levitas@dot.gov).

**Web Site Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Behavioral highway safety activities to which Section 406 funds are likely to be applied include but are not limited to highly visible enforcement of impaired driving and safety belt violations; paid and earned media campaigns to support

stepped up enforcement mobilizations and crackdowns; motorcycle rider education; pedestrian safety; speed management; DWI courts; and, technical training of traffic law enforcement officers, prosecutors and state highway safety officials.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications from States attempting to qualify as New Primary Law States or Pre-2003 Primary Law States will be reviewed to determine if the State is enforcing a primary safety belt use law that applies to all passenger motor vehicles. Applications from States attempting to qualify as Safety Belt Performance States will be reviewed to determine if the State's safety belt use rate was at or above 85% during each of the two consecutive calendar years immediately preceding the year of the grant application. To qualify for a first-year grant, a State must demonstrate that it has an established multi-disciplinary highway safety data and traffic records coordinating committee; a developed multi-year safety data and traffic records strategic plan, approved by the coordinating committee and containing performance-based measures; certify that the State has adopted and is using the model data elements determined by the Secretary to be useful, or certify that grant funds will be used toward adopting and using the most elements practicable. To qualify for a subsequent-year grant, a State must certify that an assessment or audit of the State traffic records system has been conducted or updated within the preceding 5 years; certify that the coordinating committee continues to operate and supports the multi-year plan; specify how the grant funds and any other funds of the State will support the multi-year strategic plan; demonstrate measurable progress toward achieving the goals and objectives identified in the multi-year plan; and submit a report, showing measurable progress in the implementation of the multi-year plan. The 50 States, District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and Indian tribes through the Bureau of Indian Affairs are eligible to apply for a grant.

**20.610 STATE TRAFFIC SAFETY INFORMATION SYSTEM IMPROVEMENT GRANTS**

(Section 408)

**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA),  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406, 23 U.S.C. 408.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to improve the timeliness, accuracy, completeness, uniformity, integration and accessibility of State data; to evaluate the effectiveness of efforts to make such improvements; to link these State data systems, including traffic records, with other data systems within the State; and to improve the compatibility of the State data systems with national data systems and data systems of other States to enhance the ability to observe and analyze national trends in crash occurrences, rates, outcomes, and circumstances.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A State may use grant funds only to implement data improvement programs.

**Applicant Eligibility:**

To qualify for a first-year grant, a State must demonstrate that it has an established multi-disciplinary highway safety data and traffic records coordinating committee; a developed multi-year safety data and traffic records strategic plan, approved by the coordinating committee and containing performance-based measures; certify that the State has adopted and is using the model data elements determined by the Secretary to be useful, or certify that grant funds will be used toward adopting and using the most elements practicable. To qualify for a subsequent-year grant, a State must certify that an assessment or audit of the State traffic records system has been conducted or updated within the preceding 5 years; certify that the coordinating committee continues to operate and supports the multi-year plan; specify how the grant funds and any other funds of the State will support the multi-year strategic plan; demonstrate measurable progress toward achieving the goals and objectives identified in the multi-year plan; and submit a report, showing measurable progress in the implementation of the multi-year plan. The 50 States, District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and Indian tribes through the Bureau of Indian Affairs are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

A State would submit information unique to each criterion for which it chooses to demonstrate compliance. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the



state will implement using these funds.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

To apply for a first fiscal year grant, a State must submit the certification required by Appendix 1, signed by the Governor's Representative for Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year. To apply for a successive fiscal year grant, a State must submit the certification required by Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with section 408 and notify qualifying States in writing of grant awards. SAFETEA-LU provides that the amount of each first fiscal year grant shall be the higher of \$300,000 or an amount determined by multiplying the amount appropriated to carry out the section 408 Program for that fiscal year by the ratio that the funds appropriated to the State under Section 402 for FY 2003 bears to the funds apportioned to all eligible States under Section 402 for FY 2003. Each State that qualifies for a successive fiscal year shall be eligible to receive the higher of \$500,000 or an amount determined by multiplying the amount appropriated to carry out the Section 408 Program for that fiscal year by the ratio that the funds apportioned to all eligible States under Section 402 for FY 2003.

**Deadlines:**

States must submit their certifications by June 15 (each year).

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

States are eligible for this grant for up to four years.

**Formula and Matching Requirements:**

SAFETEA-LU provides that the amount of each first fiscal year grant shall be the higher of \$300,000 or an amount determined by multiplying the amount appropriated to carry out the Section 408 Program for that fiscal year by the ratio that the funds appropriated to the State under Section 402 for FY 2003 bears to the funds apportioned to all eligible States under Section 402 for FY 2003. Each States that qualifies for a successive fiscal year shall be eligible to receive the higher of \$500,000 or an amount determined by multiplying the amount appropriated to carry out the Section 408 Program for that fiscal year by the ratio that the funds apportioned the State under Section 402 for FY 2003.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Reports:**

The Annual Report required under Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as Stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-0605-0-1-401.

**Obligations:**

(Grants) FY 07 \$34,500,000; FY 08 est \$34,500,000; and FY 09 est \$34,500,000.

**Range and Average of Financial Assistance:**

FY 07-FY 09 Range: \$300,000 - \$2,255,376.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 49 States, the District of Columbia and 4 Territories received Section 408 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

For program issues, Jack Oates, Office of Regional Operations and Program Delivery, NHTSA, 1200 New Jersey Avenue, SE, Washington, DC 20590, by telephone at (202) 366-2121 or by E-mail at jack.oates@dot.gov. For legal issues, Dana Sade, Office of Chief Counsel, NCC-113, NHTSA, 1200 New Jersey Avenue, SE, Washington, DC 20590, by telephone (202) 366-1834 or by E-mail at dana.sade@dot.gov.

**Web Site Address:**

http://webster.nhtsa.dot.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The State Traffic Safety Information System Improvement Grants provide funding to improvement of State data systems, the evaluation of efforts to make improvements, link State data systems, including traffic records with other data systems that contain medical, roadway, and economic data; and improve the compatibility and interoperability of the States data systems with national traffic safety data systems and data systems of other States and enhance NHTSA's ability to observe and analyze national trends in crash occurrence, rates, and circumstances.

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the section 408 by demonstrating that it has an established Traffic Records Coordinating Committee (TRCC), a multi-year safety data and traffic records strategic plan approved by the TRCC, certify that the State has adopted and is using the Model Minimum Uniform Crash Criteria (MMUCC) or certify that it will use grant funds toward adopting and using the most elements practicable. To qualify in subsequent years, a State must certify that an assessment or audit of the State traffic records system has been conducted in the past five years, certify that the TRCC continues to support and operate the multi-year plan and submit a report showing measurable progress in the implementation of the multi-year plan.

## 20.611 INCENTIVE GRANT PROGRAM TO PROHIBIT RACIAL PROFILING

(Section 1906)

**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA),  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Pub. L.109-59, as amended, 23 U.S.C. 402.

**OBJECTIVES:**

Encourage States to enact and enforce laws that prohibit the use of racial profiling in the enforcement of traffic laws on Federal-aid highways, and to maintain and allow public inspection of statistics on motor vehicle stops.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to enact and enforce laws to prohibit racial profiling, in compliance with the following established criteria. Law States may use Section 1906 grant funds for: collecting and maintaining data on traffic stops; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. Assurances States may use Section 1906 grant funds for: funding activities to prohibit racial profiling in the enforcement of State laws regulating the use of Federal-aid highways; collecting, maintaining and providing public access to traffic stop data; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

**Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, Guam American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review

of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All certifications must be submitted by July 1. To apply for grant funds in a fiscal year, a Law State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 1 and an Assurances State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Deadlines:**

Applications must be received by the appropriate NHTSA Regional Office on or before July 1 of the fiscal year for which a State seeks a grant.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Certifications must be submitted each year; however, a State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

**Formula and Matching Requirements:**

As stated in the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Pub. L. 109-59, as amended, 23 U.S.C. 402; States qualifying for a grant will receive an amount determined by multiplying the amount available for awards under the Section 1906 Program in a fiscal year by the ratio that the funds apportioned to the State under Section 402 for that fiscal year bears to the funds apportioned to all eligible States under Section 402 for that fiscal year, up to a maximum award of 5 percent of the amount made available to carry out Section 1906 in that fiscal year. The Federal share of programs funded under this section shall not exceed 80 percent.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Grants) FY 07 \$8,613,632; FY 08 est \$7,500,000; and FY 09 \$7,500,000.

**Range and Average of Financial Assistance:**

FY 07 Average award \$538,352.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 16 States received Section 1906 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Pub. L. 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

For program issues, Tamara Webster, Office of Regional Operations and

Program Delivery (NTI- 200), NHTSA, 1200 New Jersey Avenue, S.E., Washington, DC 20590, by telephone at (202) 366-0543 or by E-mail at tamara.webster@dot.gov. For legal issues, Dana Sade, Office of Chief Counsel, NCC-113, NHTSA, 1200 New Jersey Avenue, S.E., Washington, DC 20590, by telephone at (202) 366-1834 or by email at dana.sade@nhtsa.dot.gov.

**Web Site Address:**

http://webster.nhtsa.dot.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Incentive Grant Program to Prohibit Racial Profiling provides funding for the following projects: collecting, maintaining and providing public access to traffic stop data; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers.

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 1906 Program in one of two ways: (a) by enacting and enforcing a law that prohibits the use of racial profiling in the enforcement of State laws regulating the use of Federal-aid highways and maintaining and allowing public inspection of statistical information on the race and ethnicity of the driver and any passengers for each such motor vehicle stop made by a law enforcement officer on a Federal-aid highway (a Law State); or (b) by providing satisfactory assurances to the Secretary that the State is undertaking activities to prohibit racial profiling and to maintain and provide public access to data on the race and ethnicity of the driver and passengers for each motor vehicle stop made by a law enforcement officer on a Federal-aid highway (an Assurances State).

## 20.612 INCENTIVE GRANT PROGRAM TO INCREASE MOTORCYCLIST SAFETY

(Section 2010)

**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to reduce the number of single and multi-vehicle crashes involving motorcyclists.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

As specified in SAFETEA-LU, a State may use section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists. The State may sub-allocate funds to non-profit organizations incorporated in the State.

**Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

Eligibility for the section 2010 grants is based on 6 specified grant criteria. To qualify for a section 2010 grant for the first fiscal year the State seeks to qualify, it must demonstrate compliance with at least 1 of the 6 grant criteria. To qualify for a section 2010 grant for the second and subsequent fiscal years that it seeks to qualify, a State must demonstrate compliance with at least 2 of the 6 grant criteria. A State would submit information unique to each criterion for which it chooses to demonstrate compliance.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

To apply for grant funds in a fiscal year, a State must submit a completed application to the appropriate NHTSA Regional Administrator by the due date. NHTSA will review each State's application for compliance with section 2010 and notify qualifying States in writing of grant awards. Upon initial review of

the application, the proposed procedures would allow NHTSA to request additional information from the State prior to making a determination of award in order to clarify compliance with the statutory criteria and grant application procedures. SAFETEA-LU specifies that the amount of a grant made to a State for a fiscal year under this grant program may not be less than \$100,000 and may not exceed 25 percent of the amount apportioned to the State for fiscal year 2003 under section 402 of title 23, United States Code. However, the release of the full grant amounts under section 2010 is subject to the availability of funding for each fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with section 2010 and notify qualifying States in writing of grant awards. Once the State is notified, it will submit to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Deadlines:**

Applications must be received by the appropriate NHTSA Regional Office on or before August 1 of the fiscal year for which a State seeks a grant.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Certifications must be submitted each year showing that changes have not been made to any information related to the criterion or criteria previously satisfied. A State may certify each subsequent year of the grant program.

**Formula and Matching Requirements:**

As stated in the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Pub. L. 109-59, States qualifying for a grant will receive at least \$100,000 and may not exceed 25 percent of the amount apportioned to the State for fiscal year 2003 under section 402 of title 23, United States Code. The Federal share of programs funded under this section will be 100 percent.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

FY 07 \$6,000,000; FY 08 \$6,000,000; and FY 09 est \$7,000,000.

**Range and Average of Financial Assistance:**

FY 07 Range: \$100,000 - \$365,542; Average: \$120,193.

**PROGRAM ACCOMPLISHMENTS:**

IN FY 2007, 47 States and Puerto Rico received Section 2010 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59. Regulations are forthcoming and will be published in the 23 CFR Part 1350.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

For program issues, Tami Levitas, Office of Regional Operations and Program Delivery (NTI-200), NHTSA, 1200 New Jersey Avenue, S.E., Washington, DC, 20590, by telephone at (202) 366-2121 or by E-mail at tami.levitas@dot.gov.

**Web Site Address:**

<http://webster.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

As specified in SAFETEA-LU, a State may use section 2010 grants to fund motorcycle rider training and motorcyclists awareness.

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 2010 by satisfying one or more of six criteria. States must satisfy one criterion in the first year and two criteria in the subsequent years. In sum, the criteria are: (1) offering effective motorcycle rider training courses, (2) developing an effective motorcyclists awareness program, (3) showing a reduction in of fatalities and crashes involving motorcycles, (4) implementing an impaired driving program, (5) showing a reduction of fatalities and accidents involving impaired motorcyclists, and/or (6) showing that all fees collected from motorcyclists are used for motorcyclists safety training and motorcycle awareness. A State must submit documents unique to each criterion the State wishes to qualify showing how the State demonstrates compliance with the criterion. The Notice of Proposed Rulemaking will be published April 2006. There will be a 30 day comment period. The Final Rule is scheduled to be published in June 2006.

**20.613 CHILD SAFETY AND CHILD BOOSTER SEATS INCENTIVE GRANTS**

(Section 2011)

**FEDERAL AGENCY:**

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, as amended, 23 U.S.C. 402.

**OBJECTIVES:**

To encourage States to enact and enforce a child restraint law that requires children up to 65 pounds and under 8 years of age to be properly restrained in a child restraint, unless they are 4' 9" tall.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families. The remaining amounts can be used to carry out child safety seat and child restraint program, including the following: enforcement of child restraint laws; training child passenger safety professionals, police officers, fire and emergency medical personnel, educators and parents concerning child safety seats and child restraints; and educating the public concerning the proper use and installation of child safety seats and child restraints.

**Applicant Eligibility:**

The grant program is available to the 50 States, the District of Columbia and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States submit certifications that it meets eligibility requirements no later than July 1 of each fiscal year.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Certifications, signed by the Governor's Representative for Highway Safety, are due no later than July 1 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a New or Changed Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 1 and an Unchanged Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 2011 grant. The letter also describes the amount of the grant award.

**Deadlines:**



Certifications must be received by the appropriate NHTSA Regional Administrator no later than July 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Applicants should receive a response from the agency between 30 to 90 days of receipt of certification whether their child passenger safety laws meet the Section 2011 criteria.

**Appeals:**

Not applicable.

**Renewals:**

Certifications must be submitted each year no later than July 1 of that fiscal year.

**Formula and Matching Requirements:**

As stated in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Pub. L. 109-59, as amended 23 U.S.C. 402; States qualifying for a grant will receive an amount that shall not exceed 25 percent of the amount apportioned to the State for FY 2003 under 23 U.S.C. 402. The release of grant funds shall be subject to the availability of funding for that fiscal year. As required by SAFETEA-LU, in the first 3 fiscal years, it shall be reimbursed for up to 75 percent of the costs of the programs and activities authorized by Section 2011 (d) of SAFETEA-LU, and in the fourth fiscal year for which a State receives a grant, it shall be reimbursed for up to 50 percent of the costs of programs and activities authorized by Section 2011 (d) of SAFETEA-LU.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering the eligible costs incurred. All participants have converted to the Electronic Transfer of Funds method.

**Reports:**

The Annual Report required under the Section 402 State and community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State and local Governments, and Nonprofit Organizations, nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years, following submission of a final expenditure report and other project deliverables, all product contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

FY 07 \$6,000,000; FY 08 est \$6,000,000; and FY 09 est \$7,000,000.

**Range and Average of Financial Assistance:**

FY 07 Range: \$143,709 - \$763,390; Average: \$366,069.

**PROGRAM ACCOMPLISHMENTS:**

The grant shall be used to fund programs for purchasing and distributing child safety seats and restraints to low-income families. The remaining amounts shall be used to carry out child safety seat and child restraint programs including the following: enforcement of child restraint laws, training child passenger safety professionals, police officers, fire and emergency medical personnel, educators and parents concerning child safety seats and child restraints and educating the public concerning the proper use and installation of child safety seats and child restraints. In FY 2007, 13 States and the District of Columbia received Section 2011 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Pub. L. 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006.

**Regional or Local Office:**

See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

For program issues, Judy Hammond, Office of Regional Operations and Program Delivery (NTI-200), NHTSA, 1200 New Jersey Avenue, SE, Washington, DC, 20590, by phone at (202) 366-2121 or by e-mail at judy.hammond@dot.gov. For legal issues, David Bonelli, Office of Chief Counsel, NCC-113, NHTSA, 1200 New Jersey Avenue, SE, Washington, DC 20590, by phone at (202) 366-1834 or by e-mail at david.bonelli@dot.gov.

**Web Site Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Section 2011 allows States to use up to 50 percent of their grant funds in a fiscal year for the purchase of child safety seats for low income families; enforcement of child restraint laws, training of professionals, law enforcement, fire and rescue personnel in child passenger safety; and for educating the public on the importance of properly restraining children in an age, weight and height appropriate restraint device.

**CRITERIA FOR SELECTING PROPOSALS:**

A certification from the Governor's Representative that the State is enforcing a child restraint law that conforms to the criteria established in Section 2011.

**20.614 NATIONAL HIGHWAY TRANSPORTATION SAFETY ADMINISTRATION (NHTSA) DISCRETIONARY SAFETY GRANTS**

(Highway Safety Research And Development)

**FEDERAL AGENCY:**

DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, 23 U.S.C. Chapter 4, Public Law 103-272, 49 U.S.C. Chapter 327.

**OBJECTIVES:**

To provide funds to conduct research and development on transportation safety and related issues.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements can only be used for those projects identified in DOT's Annual Appropriation Legislation.

**Applicant Eligibility:**

Grantee application eligibility will be developed on an individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; U.S. Territory or Possession; Private Non-Profit Institution/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and Local governments, A-21 for Educational Institutions, A-122 for Non-Profit and For-Profit Organizations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application shall be submitted to the grantee via grants.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

**Award Procedure:**

The application package shall be returned via grants.gov. Award will be made by NHTSA Office of Acquisition Management personnel.

**Deadlines:**

None. The deadlines shall be established in each grant or cooperative agreement application package.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the NHTSA Office of Acquisition Management for approval.

**Formula and Matching Requirements:**

This program is not a statutory formula.

**Length and Time Phasing of Assistance:**

The length is specific to each grant or cooperative agreement. The funds can be released in a lump sum, but normally the grantees are reimbursed for funds expended.

**Reports:**

Quarterly progress and expenditures reports are required. The final report is due at the end of the grant or cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local Governments, and Nonprofit Organizations, nonfederal entities (including universities) that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from federal audit requirements for that year, with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with federal Acquisition Regulations.

**Records:**

Records are due in accordance with the terms and conditions of each grants or cooperative agreement. Records will be retained in accordance with provisions of OMB Circular No. A-110 for Institutions of Higher Education, Other Nonprofit Organizations, and Commercial Organizations and in accordance with 15 CFR Part 24 for State and Local Governments.

**Account Identification:**

69-0650-0-1-401.

**Obligations:**

FY 07 \$40,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The average amount changes depending on the DOT's annual appropriation legislation.

**PROGRAM ACCOMPLISHMENTS:**

To be determined on individual grant or cooperative agreement basis.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Highway Safety Act of 1966, as amended (23 U.S.C. Chapter 4) or Public Law 103-272, 49 U.S.C. Chapter 327, formerly the Motor Vehicle Information and Cost Savings Act.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Lloyd S. Blackwell, US Department of Transportation/NHTSA, Office of Acquisition Management, 400 7th Street, SW, Room 5301, Washington, DC 20590. Telephone: (202) 366-9564, (202) 366-9555 (fax).

**Web Site Address:**

lloyd.blackwell@dot.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Study Underlying Risk Assessment Iowa Click It or Ticket Next Generation Virginia Click It or Ticket Next Generation EMS System Planning and Development The Biomechanical Response of Human Surrogates to Impact.

**CRIERIA FOR SELECTING PROPOSALS:**

Grantee criteria for selecting proposals will be developed on an individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**20.700 PIPELINE SAFETY PROGRAM BASE GRANTS****FEDERAL AGENCY:**

PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Natural Gas Pipeline Safety Act of 1968, Public Law 90-481, 49 U.S.C. 1971, as amended; Public Law 92-401, 86 Stat. 616; Public Law 93-403, 88 Stat. 802; Public Law 94-477, 90 Stat. 2073; Pipeline Safety Act of 1979, Title I and Title II, Public Law 96-129, 93 Stat. 989; Pipeline Safety Reauthorization Act of 1988, Public Law 100- 561; Pipeline Safety Act of 1992, Public Law 102-508; 49 U.S.C. 601; Public Law 103-272; Accountable Pipeline Safety and Partnership Act of 1996, Public Law 104-304.

**OBJECTIVES:**

To develop and maintain State natural gas, liquefied natural gas, and hazardous liquid pipeline safety programs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Eligible programs will cover such areas as inspection and testing of gas pipelines as well as related travel, training, and research. Funds must be expended for personnel, equipment, and activities reasonably required for the pipeline safety program.

**Applicant Eligibility:**

The Department provides Federal matching funds, up to 50 percent to any State agency with a certificate under Section 60105 of Title 49, United States Code, an agreement under Section 60106 of Title 49, United States Code, or to any State acting as a DOT agent on interstate pipelines. State must agree that the aggregate expenditures of State funds, exclusive of Federal funds, on the pipeline program for the calendar year to which the Federal funds apply are/not less than the average level of such expenditures on the program for the last 2 fiscal years preceding enactment of the Pipeline Safety Acts.

**Beneficiary Eligibility:**

State agency.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and "Procedural Guide for the Pipeline Safety Grant Program." Application (plan) due date is September 30.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the

State has selected the program for review.

**Application Procedure:**

Each State submits with its annual application a summary of estimated program costs by calendar year covering the State gas and/or hazardous liquid pipeline safety activities to the Pipeline and Hazardous Materials Safety Administration, DOT. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are made by the Pipeline and Harardous Materials Safety Administration, DOT, Washington, DC.

**Deadlines:**

Applications are submitted by September 30 for the next calendar year. A later date for filing applications is established if appropriations are not available by September 30.

**Range of Approval/Disapproval Time:**

From 60 to 90 days from date of receipt.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. The Federal Pipeline Safety Law authorizes Federal reimbursement of up to 50 percent of a State's expenditure during the year for personnel, equipment, and activities reasonably required by the State agency for the conduct of its pipeline safety program. The Law further stipulates that the State expenditures in any given year, without Federal assistance, cannot be less than the average amount expended by the State for gas pipeline safety during fiscal years 1967 and 1968 and for the last 2 fiscal years preceding the date of enactment of the Pipeline Safety Acts. The State agency must also agree to provide the remaining cost of the safety program(s). Within these limitations, the available funds are allocated by a method designed to reflect the degree to which a State has met certain goals established. The allocation is determined by assigning point values to the States for having achieved certain levels of program participation, dividing this point score by the sum of the States' point scores, and multiplying this ratio by the amount available for the distribution. PHMSA distributed the remaining funds according to certain criteria designed to seek improvements in State programs. The criteria used by PHMSA were the extent of intrastate jurisdiction, inspector qualifications, recommended number of inspection person-days, State adoption of applicable Federal regulations, and other relevant criteria. In 2006, the Federal allocations represented 42 percent of the estimated State requests in the natural gas program (range: 37 to 43 percent) and the Federal allocations represented 42 percent of the estimated State requests in the hazardous liquid program (range: 34 to 43 percent).

**Length and Time Phasing of Assistance:**

Expenditures made by a State during the calendar year are eligible for Federal reimbursement. States receiving Federal assistance submit claims for reimbursement in July for the Federal share of the cost of actual expenditures between January 1 and June 30 of the year, and in January for Federal share of the cost of actual expenditures between July and December 31 of the year.

**Reports:**

Annual activity reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the program shall be retained for a period of not less than 3 years from the date of submission of fund expenditure report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Grants) FY 07 \$19,518,000; FY 08 est \$20,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$1,511 to \$1,396,400.

**PROGRAM ACCOMPLISHMENTS:**

Forty-nine State agencies requested and received allocations for fiscal year 2001 for gas and/or liquid grant funds. No eligible State applicant was rejected. State agencies are increasing their knowledge and activities to help operators in their State in operating and maintaining safe pipeline systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, Pipeline Safety Program, Oklahoma City, Oklahoma 73125. "Procedural Guide for the Pipeline Safety Grant Program." "Guidelines for States Participating in the Pipeline Safety Program." "Guidance Manual for Operators of Small Gas

Systems."

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of Pipeline and Harardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Pipeline and Harardous Materials Safety Administration, Department of Transportation, 400 Seventh Street, SW., Washington, DC 20590. Contact: Tom Fortner. Telephone: (202) 366-4595.

**Web Site Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

State Pipeline Safety Program.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible State utility regulatory agencies are considered for funding to the limit of available grant money.

## 20.701 UNIVERSITY TRANSPORTATION CENTERS PROGRAM

**FEDERAL AGENCY:**

RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5338, 5505, and 5506.

**OBJECTIVES:**

To provide grants to nonprofit institutions of higher learning for the purpose of establishing and operating university transportation centers that conduct research, education, and technology transfer programs addressing regional and national transportation issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The University Transportation Centers will address surface transportation problems and issues and will seek solutions to both long-range and immediate transportation problems. See below for information about grant matching requirements.

**Applicant Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Beneficiary Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets program mission and goals; proposed management of the center; detailed delineation of organization, staff, faculty, and budget.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Two competitive selections for new grants will be held during 2006 for 1) one grant in each of ten standard Federal regions of the U.S. and 2) ten other grants with no locational restrictions. Applications will consist of standard Federal grant application and related forms and a proposal prepared to specifications that the agency will provide.

**Award Procedure:**

Applications will be reviewed by a Departmental panel. Selection will be made by the RITA Administrator.

**Deadlines:**

Competition is anticipated for spring/summer 2010, if the program is reauthorized in new legislation passed in 2009.

**Range of Approval/Disapproval Time:**

Approximately six weeks.

**Appeals:**

Not applicable.

**Renewals:**

Competitive grants are for a four-year period; noncompetitive grants are for periods stated in the authorizing legislation. Grants are renewable each year upon satisfactory completion of prior-year work.

**Formula and Matching Requirements:**

The Federal share of a grant shall be 50 percent of the costs of establishing and operating the university transportation center.

**Length and Time Phasing of Assistance:**

Three, four, or five years as designated in the authorizing legislation.

**Reports:**

Semi-annual and annual progress and financial reports; final technical report at the end of each research project.

**Audits:**

Consistent with OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401; 69-8083-0-7-401.

**Obligations:**

FY 07 \$76,700,000; FY 08 \$76,700,000; and FY 09 \$76,700,000.

**Range and Average of Financial Assistance:**

Between \$300,000 and \$3,500,000 per center per fiscal year depending upon language in authorizing legislation.

**PROGRAM ACCOMPLISHMENTS:**

The University Transportation Centers Program began in fiscal year 1988. Each center is extensively involved in research directly related to regional and national transportation issues. The centers also educate hundreds of students each year and built partnerships with state and local government as well as industry.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Posted on the University Transportation Centers Program website at <http://utc.dot.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Research and Innovative Technology Administration; Office of Innovation, Research, and Education (RDT-30); Department of Transportation; 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (800) 853-1351.

**Web Site Address:**

<http://utc.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See Agency website.

**CRITERIA FOR SELECTING PROPOSALS:**

Resources available to conduct work of center; leadership in transportation; established transportation programs in prior years; ability to disseminate results (full text found in authorizing legislation at 49 U.S.C. 5506).

## 20.703 INTERAGENCY HAZARDOUS MATERIALS PUBLIC SECTOR TRAINING AND PLANNING GRANTS

(Hazardous Materials Emergency Preparedness Training and Planning Grants, (HMEP))

**FEDERAL AGENCY:**

PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Federal Hazardous Materials Transportation Act, 49 U.S.C. 5105 et seq.

**OBJECTIVES:**

To increase State, local, territorial and Native American tribal effectiveness to safely and efficiently handle hazardous materials accidents and incidents; enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA); and encourage a comprehensive approach to emergency planning and training by incorporating response to transportation standards.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grant program will be used to increase the emphasis on transportation in ongoing efforts and to improve the capability of communities to plan for and respond to the full range of potential risks posed by accidents and incidents involving hazardous materials. The grants have two principal uses: First, to assist States, Territories and Native American Tribes in developing, improving and implementing emergency response plans under EPCRA; including the determination of flow patterns of hazardous materials within a State, between States and Native American lands; determining the need for regional hazardous materials response teams. Second, to stimulate support for training of Public Sector employees to respond to accidents and incidents involving hazardous materials.

**Applicant Eligibility:**

States, U. S. Territories and Federally recognized Native American Tribes may apply for either or both planning and training grants. The Governor or Official of each eligible applicant has been asked to designate an agency responsible for managing the program. DOT will work with the designated organization.

**Beneficiary Eligibility:**

All segments of the U.S. including Territories and Native American tribal populations that are involved with management of or possible exposure to



hazardous materials are benefited. Specifically Federal, State, and local responsibilities are assisted through the HMTA grant program. Students and trainees in emergency response and local emergency planning activities are program beneficiaries since grant funds will be used to benefit local programs.

**Credentials/Documentation:**

Applicants must certify that they meet or exceed a nonfederal maintenance of effort level equivalent to the average of aggregate nonfederal applicant expenditures for the preceding 2 years. They must also certify that the State, Territory or Native American Tribe is complying with sections 301 and 303 of EPCRA. Those States, Territories or Native American Tribes must agree to make at least 75 percent of the Federal planning funds awarded available to Local Emergency Planning Committees (LEPCs) for developing, improving, or implementing emergency plans, and 75 percent of the benefit of training funds available to local emergency responders.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact his or her, State, Territory or Native American Tribe for more information on the process required to follow in applying for assistance.

**Application Procedure:**

Applicants are to complete and submit an original and 1 copy of Standard Form 424. The application must follow guidance provided in the HMEP Application Kit that was transmitted to the Governor's designated agency in each State, Territory or Native American Tribe. The kit may be obtained from the HMEP Grants Manager. Completed applications are to be sent to HMEP Grants Manager, Research and Special Programs Administration, 400 Seventh Street, SW., DHM-64, Washington, DC 20590. Funded applications will be subject to the Public Sector Planning and Training Grants Program regulation 49 Code of Federal Regulations (CFR), part 110, and 49 CFR, part 18, the A-102 based regulation, which governs all DOT grant programs.

**Award Procedure:**

The decision to fund will be made by the HMEP Grants Manager after considering internal review.

**Deadlines:**

The deadline for submitting applications is July 1 for States, Territories, and Native American Tribes. Grant awards will be made in September.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

None.

**Renewals:**

The statement of work will normally call for 6 years of project activities within shorter budget periods (usually 1 year). Each budget period after the first award will be funded subject to availability of funds and satisfactory progress as determined by review of continuation application proposals.

**Formula and Matching Requirements:**

This program has no statutory formula for distribution of funds among applicants. However, nonfederal cost sharing of at least 20 percent of total project costs is required under provisions of HMEP, Section 117A(d). This program has maintenance of effort requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

The length of project periods may extend from time of initial award through fiscal year 2010; however phased accomplishments or budget periods will limit the time frame for the funds awarded. Payments will generally be reimbursable, paid based on submission of a Request For Advance or Reimbursement Form 270 using DOT automated clearinghouse electronic transfer procedures.

**Reports:**

Requirements are specifically indicated in the award document and may vary from project to project. All applications for continuation grants must be supported by progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records of technical and financial accomplishments must be maintained for 3 years after submission of an acceptable final Financial Status Report, or until any unresolved audit issues are resolved.

**Account Identification:**

69-5282-0-2-407.

**Obligations:**

FY 07 \$12,800,000; FY 08 est \$26,800,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$4,000 to \$968,000. Average: \$180,281.

**PROGRAM ACCOMPLISHMENTS:**

Since the beginning of the grant program, all States and territories and 41 Indian tribes have received over \$72 million in assistance. The HMEP program has set aside 3 percent of planning and training funds to support Federally recognized Native American tribes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 Code of Federal Regulations, Part 110, Hazardous Materials Public Sector Training and Planning Grants; 49 Code of Federal Regulations, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and Indian tribes. A grant application kit is available from DOT that includes all guidance, regulatory and administrative requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Charles Rogoff, HMEP Grants Manager, Department of Transportation, Pipeline and Harardous Materials Administration, 400 Seventh Street, S.W., PMH-64, Washington, DC 20590. Telephone: (202) 366-0001.

**Web Site Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Hazardous Materials Awareness, Technician and Specialist training, LEPC planning preparation, hazards analyses studies, commodity flow studies, and needs assessment for regional response teams and number of response personnel needing to be trained.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable for grants to States and Territories. Grants made from the set aside for Native American Tribes will be in accordance with the following selection criteria: (1) Potential Benefit (30 points); (2) Priority Need (40 points); (3) Number of Public Sector Employees Trained (20 points); (4) Long Term Benefit to Tribe (10 points); (5) Past Performance (10 points).

**20.704 RITA HYDROGEN**

(SAFTEA-LU Hydrogen R&D)

**FEDERAL AGENCY:**

RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION,  
DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

23 U.S.C. 502, Section 5513.

**OBJECTIVES:**

To Provide research grants to nonprofit institutions of higher learning for the purpose of conducting transportation related research, education, and technology transfer programs concerning national transportation issues in the areas of propulsion technology and alternative fuels.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in 23 U.S.C. 502 SEC. 5513. The Department's role will be to manage the grants, coordinate with the grantees to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated by 23 U.S.C. 502 SEC. 5513.

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of this grant shall be 20 percent of the funds received by the

grantee.

**Length and Time Phasing of Assistance:**

4 years, as designated in 23 U.S.C. 502 SEC. 5513.

**Reports:**

Quarterly progress reports, annual project reports, and a final technical report at the end of each research project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-113 (Revised June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single of a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-113.

**Records:**

Receipt is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

(Grants) FY 07 \$1,322,807; FY 08 \$1,750,188; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

Totals Range Between \$370,000 to \$580,000 per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Research and Innovative Technology Administration, Office of Research Development and Technology (RDT) Department of Transportation, 1200 New Jersey Avenue, S.E., E33-302, Washington, DC 20590 (202) 366-5459.

**Web Site Address:**

<http://www.hydrogen.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 20.720 STATE DAMAGE PREVENTION PROGRAM GRANTS

(SDPP Grants)

**FEDERAL AGENCY:**

PIPELINE AND HAZARDOUS MATERIAL SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

PIPES Act Section 2(b), which added Section 60134 to the Pipeline Safety Law (49 U.S.C.).

**OBJECTIVES:**

To improve State Damage prevention programs, which are intended to protect underground facilities from excavation damage.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Personnel, equipment, and activities that are needed by the State authority to enhance damage prevention programs. Grant funds may not be used for lobbying or in direct support of litigation.

**Applicant Eligibility:**

Any State (including U.S. Territory or possessions) authority designated by the Governor is eligible to apply for a grant as long an agency within the State (including U.S. Territory or possessions) has an annual Section 60105 (49 U.S.C.) certification or Section 60106 (49 U.S.C.) agreement in effect with PHMSA. If a State (including U.S. Territory or possessions) does not have a certification or agreement with PHMSA, then no State (including U.S. Territory or possessions) authority can receive a grant.

**Beneficiary Eligibility:**

State Government, U.S. Territory and possessions would receive the ultimate benefit from this program.

**Credentials/Documentation:**

A written application describing the current status of the State Damage Prevention Program and plans for improvements.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Through the website at [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Panel of stakeholders will review and score applications. Grants will be awarded to applicants with the highest score until the available funds are exhausted.

**Deadlines:**

Applications due two months after opportunity is posted to [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Sixty days after application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

There is a restriction on the time permitted to spend the money awarded. It must be spent within the calendar year of the grant.

**Reports:**

Status report is due six months after the start date of the grant, and a final report within 30 days of the end of the grant period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipient must maintain: (a) documentation supporting the cost incurred under the grant, and (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

FY 07 \$0; FY 08 est \$1,500,000 and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$0 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety, Pipeline and Hazardous Material Safety Administration, Department of Transportation, 1200 New Jersey Avenue, SE East Building, 2nd Floor, Washington, DC 205901, Telephone: (202) 366-4595 Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pipelines and Hazardous Materials Safety Administration, Department of Transportation, East Building, Room E-22-103, 1200 New Jersey Avenue, S.E., Washington, DC 20590, (202) 366-6942, Attn: Max Kieba; E-mail: [max.kieba@dot.gov](mailto:max.kieba@dot.gov).

**Web Site Address:**

<http://www.phmsa.dot.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible state agencies are considered for funding based on their statewide damage prevention program (or a detailed plan to develop a program within 4 years) that implements the 9 elements of an effective damage prevention program identified in Section 2(b) of the PIPES Act (Pipeline Safety Laws 49 U.S.C. Section 60134).

## 20.721 PHMSA PIPELINE SAFETY PROGRAM ONE CALL GRANT

**FEDERAL AGENCY:**

PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Federal Hazardous Materials Transportation Act, 49 U.S.C. 5105 et seq.

**OBJECTIVES:**

To provide funding to State agencies in promoting damage prevention, including changes with their State underground damage prevention laws, related compliance activities, training and public education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Eligible programs will cover such areas as compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics, compliance/noncompliance statistics, One-call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for locators, development and/or distribution of promotional items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center promotional items.

**Applicant Eligibility:**

This optional grant is only open for states that have a certification or agreement with US DOT Pipeline and Hazardous Materials Safety Administration (PHMSA) to do pipeline safety inspections. State agencies who participate in the pipeline safety program are eligible to apply for One Call grant funding on an annual basis. This optional grant program has a maximum amount request of \$50,000 per state and supports initiatives to further promote efforts specifically for damage prevention, including one-call legislation, related compliance activities, training and public education.

**Beneficiary Eligibility:**

State agency.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular Number A-87 for State and local governments, and "One Call Application Instructions". Application (plan) is opened on October 15 and due November 15.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Each State submits a detailed description of the proposed project activity in one or more of the three priority categories available with requested costs on how the money would be spent and why. The maximum amount requested per state is limited to \$50,000. The application will be specific regarding what the funding would buy, and what otherwise unmet need the funding would help resolve. If the proposed activity was previously submitted and approved, the applicant will be required to provide a description of results from previous action of the activity.

**Award Procedure:**

Awards are made by the DOT, Pipeline and Hazardous Materials Safety Administration, Washington, DC.

**Deadlines:**

Applications are submitted by November 15 for the next calendar year. A later date for filing applications is established if appropriations are not available by November 15.

**Range of Approval/Disapproval Time:**

From 60 to 90 days of receipt.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The maximum amount requested per state is limited to \$50,000. A state can not request grant funds to implement proposed legislation - the legislation must have already been passed. Additional instructions and guidelines for applying to this opportunity will be given to the earmarked applicant group when the opportunity approaches its availability. The grant allocation is determined by reviewing the total amounts in priority one, two and three projects and distributing funds across all projects based on the total grant amount.

**Length and Time Phasing of Assistance:**

Expenditures must be used during the calendar year when the grant is awarded. Funds not used will be deducted from the State agencies Pipeline Safety Program End-Year reimbursement request.

**Reports:**

Annual activity report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

All records relating to the projects shall be retained for a period of not less than 3 years from the date of submission of fund expenditure report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

FY 07 \$1,021,000; FY 08 est \$1,043,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,666 to \$35,400.

**PROGRAM ACCOMPLISHMENTS:**

Thirty-seven State agencies requested \$1,695,592 and received allocations for fiscal year 2007 for the optional one call grant fund in the amount of \$1,021,000. No eligible State applicant was rejected. State agencies are awarded grants funds to help educate the public and contractors about the prevention of damage to all underground facilities. This awareness program and other similar projects assisted in reducing accidents and damages from occurring on natural gas and liquid pipeline systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, PHMSA Training and Qualification, Oklahoma City, Oklahoma 73125. "Guidelines for States Participating in the Pipeline Safety Program."

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of Pipeline and Hazardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Department of Transportation, Pipeline and Hazardous Materials Safety Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Contact: State Program Director. Telephone: (202) 366-4595.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Compliance Enforcement and Monitoring, One Call Membership Initiatives for Operators, Implementation of One Call Laws and Regulations, Excavator and Public Awareness, Public Service Announcements, Equipment to support on-going enforcement program.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible State utility regulatory agencies are considered for funding to the limit of available grant money. The maximum amount requested per state is limited to \$50,000.

## 20.760 UNIVERSITY TRANSPORTATION CENTERS

(University Transportation Centers)

**FEDERAL AGENCY:**

RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5338, 5505, and 5506.

**OBJECTIVES:**

To provide grants to nonprofit institutions of higher learning for the purpose of establishing and operating university transportation centers that conduct research, education, and technology transfer programs addressing regional and national transportation issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The University Transportation Centers will address surface transportation problems and issues and will seek solutions to both long-range and immediate transportation problems. See below for information about grant matching requirements.

**Applicant Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Beneficiary Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets program mission and goals; proposed management of the center; detailed delineation of organization, staff, faculty, and budget.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Two competitive selections for new grants will be held during 2006 for 1) one grant in each of ten standard Federal regions of the U.S. and 2) ten other grants with no locational restrictions. Applications will consist of standard Federal grant application and related forms and a proposal prepared to specifications that the agency will provide.

**Award Procedure:**



Applications will be reviewed by a Departmental panel. Selection will be made by the RITA Administrator.

**Deadlines:**

Not available at this time.

**Range of Approval/Disapproval Time:**

Six weeks.

**Appeals:**

Not applicable.

**Renewals:**

Competitive grants are for a three-year period; noncompetitive grants are for periods stated in the authorizing legislation. Grants are renewable each year upon satisfactory completion of prior-year work.

**Formula and Matching Requirements:**

The Federal share of a grant shall be 50 percent of the costs of establishing and operating the university transportation center.

**Length and Time Phasing of Assistance:**

Three, four, or five years as designated in the authorizing legislation.

**Reports:**

Semi-annual and annual progress and financial reports; final technical report at the end of each research project.

**Audits:**

Consistent with OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401; 69-8083-0-7-401.

**Obligations:**

FY 07 \$76,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Between \$300,000 and \$3,500,000 per center per fiscal year depending upon language in authorizing legislation.

**PROGRAM ACCOMPLISHMENTS:**

The University Transportation Centers Program began in fiscal year 1988. Each center is extensively involved in research directly related to regional and national transportation issues. The centers also educate hundreds of students each year and built partnerships with state and local government as well as industry.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Posted on the University Transportation Centers Program website at <http://utc.dot.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Research and Innovative Technology Administration; Office of Innovation, Research, and Education (RDT-30); Department of Transportation; 400 Seventh Street, SW., Room 2440; Washington, DC 20590. Telephone: (202) 366-4434.

**Web Site Address:**

<http://utc.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See Agency website.

**CRITERIA FOR SELECTING PROPOSALS:**

Resources available to conduct work of center; leadership in transportation; established transportation programs in prior years; ability to disseminate results (full text found in authorizing legislation at 49 U.S.C. 5506).

## 20.761 BIOBASED TRANSPORTATION RESEARCH

(Biobased R&D)

**FEDERAL AGENCY:**

DEPARTMENT OF TRANSPORTATION, RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION

**AUTHORIZATION:**

SAFTEA- LU, Public Law 109-59, Aug. 10, 2005, 119 Stat. 1781, Subtitle B, Title V section 5101 (m).

**OBJECTIVES:**

Carry out biobased research of national importance at the National Biodiesel Board and at research centers identified in section 9011 of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8109).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781) Subtitle B Title V Section 5101 (m) The Department's role will be to manage the grants, coordinate with the grantees to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA- LU , Public Law 109-59, August 10, 2005 119 Stat. 1781, Subtitle B Title V Section 5101 (m).

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular nos A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Deadlines:**

Not available at this time.

**Range of Approval/Disapproval Time:**

Fifteen working days from receipt of proposal.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of this grant shall be 50% of the funds received by the grantee.

**Length and Time Phasing of Assistance:**

Four years as designated in: SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1781) Subtitle B Title V Section 5101 (m).

**Reports:**

Quarterly progress reports, annual project reports, and a final technical report at the end of each research project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-113) Revised June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single of a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-113.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

FY 07 \$12,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$12,500,000/year.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59), enacted in 2005, Section 5201(m).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Research and Innovative Technology Administration, Research Development and Technology (RDT), Department of Transportation, 400 Seventh Street, SW., Room 2438, Washington, DC 20590 (202) 366-4999.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 20.762 RESEARCH GRANTS

**FEDERAL AGENCY:**

RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

49 U.S.C. 5513.

**OBJECTIVES:**

A. Grant Award to Cold Region and Rural Transportation Research, Maintenance, and Operations, Western Montana Transportation Institute; B. Grant Award to Rural Transportation Research Initiative Upper Great Plains Transportation Institute, North Dakota State University; C. Grant Award to Appalachian Regional Commission.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A. The Research Grant will be used to develop a research facility in Lewiston, Montana for basic and applied research and testing on surface transportation issues facing rural and cold regions. B. The Research Grant will be used to carry out the Rural Transportation Research Initiative. C. The Research Grant will be used to conduct a feasibility study for the creation of a system of inland ports and distribution centers in Appalachia.

**Applicant Eligibility:**

Legislated grants in SAFTEA-LU Section 5513(d),(g) and (i).

**Beneficiary Eligibility:**

Public Institutions of Higher Learning, Partnerships between Federal and State agencies.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets the grant mission and goals; proposed management of the research; detail delineation of organization, staff, and budget.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

It is recommended that applicants use the procedures prescribed in grants.gov to facilitate an electronic application process. This will allow applicants the opportunity to submit all required forms, along with the necessary technical and cost proposals as prescribed in the relevant Opportunity description.

**Award Procedure:**

The department staff will review the application for the program.

**Deadlines:**

See award procedures.

**Range of Approval/Disapproval Time:**

See award procedures.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of the grant shall be 80 percent of the costs of the activities carried out by the program.

**Length and Time Phasing of Assistance:**

A. Four years ? FY 2006 through FY 2009. B. Four years ? FY 2006 through FY 2009. C. One year FY 2006.

**Reports:**

As specified in the application proposal.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As specified in the application proposal.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

FY 07 \$1,000,000; FY 08 est \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Between \$300,000 to \$707,000 per center.

**PROGRAM ACCOMPLISHMENTS:**

Each transportation center is extensively involved in innovative research in areas of transportation. This research aims to advance the theoretical and the practical nature of applications in transportation planning, logistics, engineering, and operations within all modes of transportation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Research and Innovative Technology Administration, RD&T, Office of Intermodalism, 400 Seventh Street, SW, Room 2420, Washington, DC 20590.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.763 RESEARCH AND INNOVATIVE TECHNOLOGY (RIT) HYDROGEN ALTERNATIVE FUEL LIFE CYCLE**

(RIT H2 Life Cycle)

**FEDERAL AGENCY:**

RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

SAFTEA- LU Public Law 109-9, August 10, 2005 119, Stat. 178, Subtitle B, Title 1, Section 1702 4591.

**OBJECTIVES:**

Conduct research evaluating Hydrogen and Alternative Fuel Life Cycle.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-9, August 10, 2005 119 Stat. 1781, Subtitle B. Title 1, Section 1702 4591. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA- LU Public Law 109-59, August 10, 2005, 119 Stat. 1781, Subtitle B, Title 1 Section 1702 459.

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

No new grants will be awarded during the Program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the Program's remaining authorization (through 2009).

**Deadlines:**

Not available at this time.

**Range of Approval/Disapproval Time:**

15 Working Days from receipt of proposal.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of this grant shall be 20 percent of the funds received by the grantee.

**Length and Time Phasing of Assistance:**

See SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781) Subtitle B, Title 1 section 1702 4591.

**Reports:**

Quarterly progress reports, annual project reports, and a final technical report at the end of each research project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-113 (Revised June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single of a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-113.

**Records:**

Receipt is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1730-0-1-407.

**Obligations:**

FY 07 \$1,000,000; FY 08 \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000,000 / year.

**PROGRAM ACCOMPLISHMENTS:**

This is a new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781, Subtitle B, Title 1 Section 1702 4591.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Research and Innovative Technology Administration, Research Development and Technology (RDT), Department of Transportation, 400 Seventh Street, S.W., Room 2438, Washington, DC 20590 (202) 366-4999.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable, directed grant.

**20.764 HYDROGEN STORAGE RESEARCH AND DEVELOPMENT**

(RIT H2 Life Cycle)

**FEDERAL AGENCY:**

RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1406) number 3891.

**OBJECTIVES:**

To conduct research to develop hydrogen storage technologies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat. 1406) number 3891. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1406.) number 3891.

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Deadlines:**

Not available at this time.

**Range of Approval/Disapproval Time:**

15 working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

The Federal share of this grant shall be 20 percent of the funds received by the grantee.

**Length and Time Phasing of Assistance:**

SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat 1406. number 3891.

**Reports:**

Quarterly progress reports, annual project reports, and a final technical report at the end of each research project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-113 (Revised June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in

Federal awards will have a single program-specific audit conducted for that year.

Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-113.

**Records:**

Receipt is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1730-0-1-407.

**Obligations:**

FY 07 \$41,200,000; FY 08 est \$400,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$400,000/year (FY 07 represents FY 05 through FY 07).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None Available.

**Regional or Local Office:**

Not Applicable.

**Headquarters Office:**

Research and Innovative Technology Administration, Research Development and Technology (RDT); U.S. Department of Transportation, 400 Seventh Street, SW., Rm 2438, Washington, DC 20590. Telephone: (202) 366-4999.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**20.802 FEDERAL SHIP FINANCING GUARANTEES**

(Title XI)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

46 U.S.C. Ch. 537.

**OBJECTIVES:**

To provide competitive financing through the issuance of guarantees of debt issued for the purpose of financing or refinancing the construction, reconstruction or reconditioning of vessels built in United States shipyards and guarantee obligations for advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States to stimulate commercial ship construction for domestic and export sales, encourage shipyard modernization, and support increased productivity.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Guarantees are available to aid in financing of: (1) advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States, and (2) vessels (including eligible export vessels) which are designed for research or for commercial use (a) in coastwise or intercostal trade; (b) on the Great Lakes or on bays, sounds, rivers, harbors, or inland lakes of the United States; (c) in foreign trade; (d) as an ocean thermal energy conversion facility or plantship; (e) as floating drydocks, or (f) with respect to an eligible export vessel, in world-wide trade. Any vessel of not less than 5 net tons, (other than a towboat, barge, scow, lighter, car float, canal boat or tank vessel of less than 25 gross tons) is eligible.

**Applicant Eligibility:**

An individual with the ability, experience, financial resources, and other qualifications necessary for the adequate operation and maintenance of a vessel or an eligible shipyard.

**Beneficiary Eligibility:**

U.S. and foreign shipowners, or eligible U.S. shipyards.

**Credentials/Documentation:**

Financial history, economic feasibility of project, operating history, citizenship of applicant. This program is excluded from coverage design and specification information under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal preapplication meeting is recommended. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application Form MA-163 must be filed with the Office of Shipyards and Marine Financing, Maritime Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB



**Award Procedure:**

Final approval granted by the Maritime Administrator.

**Deadlines:**

No guarantee will be entered into later than 1 year after the delivery of a new vessel or shipbuilding technology, except for refinancing to provide funds for additional vessel construction or to refinance existing obligations issued for the purposes contained in Title XI.

**Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 60 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Act provides a limitation of 87 1/2 percent of the amount of "Actual Cost" which can be guaranteed. The remaining costs are to be provided by the applicant.

**Length and Time Phasing of Assistance:**

Assistance provided as ship/shipbuilding technology is constructed and/or throughout life of ship/shipbuilding technology, but in any case not to exceed 25 years from vessel delivery or economic life of the assets being financed.

**Reports:**

Financial reports as per contract. Annual reports regarding citizenship, no default certificates, vessel requirements.

**Audits:**

See "Index of Current Regulations," Maritime Administration.

**Records:**

Financial reports as per contract. Annual reports regarding citizenship, no default certificates, vessel requirements.

**Account Identification:**

69-1752-0-3-403.

**Obligations:**

(New loan guarantee commitments and administrative expenses) FY 07 \$4,085,000; FY 08 \$8,408,000; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

Historically projects have ranged from less than \$1 million to several hundred million. (Average is not entered, because it would not be typical of the breadth of the program.)

**PROGRAM ACCOMPLISHMENTS:**

No applications were approved in fiscal year 2007. As of March 31, 2008, no applications have been approved in fiscal year 2008. There are no applications pending.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 298. Booklet entitled, "Federal Ship Financing Program."

**Regional or Local Office:**

See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator for Business and Workforce Development, Maritime Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-5737.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

11.415, Fisheries Finance Program; 20.808, Capital Construction Fund.

**EXAMPLES OF FUNDED PROJECTS:**

In the past approvals were granted to aid in the construction of: tankers, cargos, LNGs, Bulk/OBOs, integrated tug/barge units, drill rigs, drill service vessels, ocean tugs and barges, river tugs and barges, shipboard lighters, passenger vessels, ferries, and miscellaneous vessels and advanced and modern shipbuilding technology.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects which involve the construction, reconstruction or reconditioning of vessels in the United States and advanced and modern shipbuilding technology for a general shipyard facility are eligible for Title XI financing. In order to receive approval, applicants must possess the necessary ability, experience, financial resources and other qualifications. The financial resources necessary for the project are determined by the project's costs and the financial position and resources available to the applicant. Additionally, all projects must be determined to be economically feasible before approval can be granted. Applications are generally processed with a view towards accommodating the time frame of each and every applicant.

**20.803 MARITIME WAR RISK INSURANCE**

(Title XII, MMA, 1936)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Merchant Marine Act of 1936, Title XII, as amended, Public Law 81-763, 46 U.S.C. 1281-1294; Public Law 104-106.

**OBJECTIVES:**

To provide war risk insurance whenever it appears to the Secretary of Transportation that adequate insurance for waterborne commerce cannot be obtained on reasonable terms and conditions from licensed insurance companies in the United States.

**TYPES OF ASSISTANCE:**

Insurance.

**USES AND USE RESTRICTIONS:**

Insurance binders or policies on certain vessels in operation or under construction are provided for nominal cost in peacetime.

**Applicant Eligibility:**

All U.S. flag vessels, and certain foreign flag vessels meeting specific criteria as determined by the Maritime Administrator.

**Beneficiary Eligibility:**

Vessel owners, their crews, and certain designated beneficiaries of deceased crew members.

**Credentials/Documentation:**

Applications, vessel data, unqualified contract of commitment, and other supporting data as required by 46 CFR Part 308.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Complete and proper filing of applications, supporting documents, and payment of appropriate binding fees or promises as specified in 46 CFR Part 308.

**Award Procedure:**

Binders issued only to those applicants that qualify.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 5 to 15 working days.

**Appeals:**

Not applicable.

**Renewals:**

This program has been extended until December 31, 2010.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Indeterminate; depends on war situation and posture of the country.

**Reports:**

Not applicable in peacetime.

**Audits:**

Not applicable in peacetime.

**Records:**

Not applicable in peacetime.

**Account Identification:**

69-4302-0-3-403.

**Obligations:**

Obligations (Contractual fees and underwriting agents' fees) FY 07 \$50,000; FY 08 \$60,000; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

Applicable only in designated combat areas, subject to terms of the binder.

**PROGRAM ACCOMPLISHMENTS:**

As of March 1, 2008, 299 war risk binders have been issued to U.S. citizen-owned and foreign-flag registry and their crews. Insurance effected under these binders cannot be obtained commercially during wartime.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Regulations are set forth under 46 CFR 308 (as published under authority of Public Law 101-115) and 309 as amended from time to time in the Federal Register.

**Regional or Local Office:**

American War Risk Agency, 30 Broad Street 7th floor, New York, NY 10004 Telephone: (212) 405-2814.

**Headquarters Office:**

Director, Office of Insurance and Shipping Analysis, Maritime Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-2400.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.806 STATE MARITIME SCHOOLS**

**FEDERAL AGENCY:**

**AUTHORIZATION:**

Public Law 96-453.

**OBJECTIVES:**

To train future merchant marine officers in State Maritime Schools.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:**

Operation and maintenance of State Maritime Schools; maintenance and repair of training vessels loaned by Federal Government; student incentive payments to selected cadets.

**Applicant Eligibility:**

States. Limited to one academy in any one State.

**Beneficiary Eligibility:**

Students, meeting eligibility requirements.

**Credentials/Documentation:**

Formal application from State Governor setting forth evidence of establishment of school; State appropriation for the school; suitable curriculum and facilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Letter from a State Governor to the Secretary of Transportation or the Maritime Administrator. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Need for training must be established. The final award is approved by the Maritime Administrator.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Federal/State contracts for assistance automatically extended year by year unless cancelled.

**Formula and Matching Requirements:**

Annual assistance payment of \$297,000 to regional academies if matched by State appropriations and if out-of-State students are enrolled. Federal assistance consists of (1) lump-sum annual assistance payment to schools, (2) loan of vessel and payment for its maintenance, and (3) student incentive payments. States are required to show that their annual funding for the school at least matches the Federal lump sum assistance payment.

**Length and Time Phasing of Assistance:**

Annual payments to the schools are given on a lump-sum basis.

**Reports:**

Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Pertaining to each school, its officers, faculty and students, the vessel and crew, and the shore base are required to be kept for the period of employment/enrollment, plus 6 years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Program Level) FY 07 \$11,099,000; FY 08 \$13,181,000; and FY 09 \$0.

**Range and Average of Financial Assistance:**

Annual assistance payment of \$315,000 to each regional school, provided State matches funds and admits eligible out-of-State students. An allowance of \$4,000 per academic year, not to exceed 4 years, paid to selected students in good standing in the Student Incentive Payment Program.

**PROGRAM ACCOMPLISHMENTS:**

A total of 515 licensed mariners graduated from the State maritime schools in 2007. Forty-eight cadets who received student incentive payments graduated as Merchant Marine officers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310A; Standard college catalogs are available from the schools listed below.

**Regional or Local Office:**

(a) Federal Government: none; (b) standard information for prospective students:

Maine Maritime Academy, Castine, ME 04421; Massachusetts Maritime Academy, Buzzards Bay, MA 02532; State University of New York Maritime College, Fort Schuyler, NY 10465; Texas Maritime Academy, Galveston, TX 77550; California Maritime Academy, Vallejo, CA 94591; Great Lakes Maritime Academy, Traverse City, MI 49684.

**Headquarters Office:**

Associate Administrator for Business and Workforce Development, Maritime Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-5737.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support; 20.807, U.S. Merchant Marine Academy.

**EXAMPLES OF FUNDED PROJECTS:**

See USES AND USE RESTRICTIONS section of this program.

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.807 U.S. MERCHANT MARINE ACADEMY**

(Kings Point)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Public Law 96-453.

**OBJECTIVES:**

To educate and train merchant marine officers.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

This program is a federally operated maritime academy providing education, training, subsistence, books, quarters, uniforms, medical care, and program travel to its U.S. citizen students without cost. Appropriations restricted to the above and the operation and maintenance of the school. International student costs subject to legislation.

**Applicant Eligibility:**

High school graduates who are U.S. citizens and international students in accordance with legislation. In general, criteria are similar to those generally used for college admission.

**Beneficiary Eligibility:**

High school graduates who are U.S. citizens and eligible international students.

**Credentials/Documentation:**

Usual documents for college admission and a comprehensive physical examination.

**Preapplication Coordination:**

U.S. citizens desiring appointment to the school apply to Senators or Congresspersons for nomination. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Nominating officials submit nominations to school's Office of Admission. Selection is competitive by merit.

**Award Procedure:**

Appointment approved by the Maritime Administrator.

**Deadlines:**

Nominations must be submitted by January 31 of the year preceding that in which admission is desired. Applications must be submitted by March 1 of the year in which admission is desired.

**Range of Approval/Disapproval Time:**

From 3 to 8 months.

**Appeals:**

To the school.

**Renewals:**

Applicants not accepted may reapply the following year.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Students are furnished with all required uniforms and textbooks during their 4 years at the Academy.

**Reports:**

At the request of the Maritime Administration.

**Audits:**

Not applicable.

**Records:**

Copies will be furnished at the request of the Maritime Administration. Those pertaining to its officers, faculty, staff and midshipmen shall be kept for the period of enrollment plus eight years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Program Level) FY 07 \$61,925,000 (result of reprogramming); FY 08

\$62,747,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Allowance prescribed for all personnel for uniforms and textbooks. During the sea year a midshipman will earn \$700 per month from his or her steamship company employer.

**PROGRAM ACCOMPLISHMENTS:**

A total of 207 merchant marine officers graduated in June 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310C; Standard college catalogs and brochures.

**Regional or Local Office:**

See Maritime Administration Field Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator for Business and Workforce Development, Maritime Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202)366-5737.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support.

**EXAMPLES OF FUNDED PROJECTS:**

See USES AND USE RESTRICTIONS section of this program.

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

## 20.808 CAPITAL CONSTRUCTION FUND

(CCF)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 607, as amended; Public Law 91-469, 84 Stat. 1018.

**OBJECTIVES:**

To provide for replacement vessels, additional vessels or reconstructed vessels, built and documented under the laws of the United States for operation in the United States foreign, Great Lakes or noncontiguous domestic trades.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The capital construction fund program is a program created by the Merchant Marine Act of 1970 to help rejuvenate the American Merchant Marine. The assistance provided is not through payment of appropriated funds, but rather allows the fund holder to defer a portion of tax monies that would otherwise be paid to the U.S. Government during the tax year. The extension of tax deferral privileges encourages the accomplishment of the program objective by allowing the fund holder to accumulate and use otherwise taxable earnings for the purposes of acquiring, constructing or reconstructing vessels built and documented in the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade and in the fisheries.

**Applicant Eligibility:**

An applicant must be a U.S. citizen, own or lease one or more eligible vessels, have a program for the acquisition, construction or reconstruction of a qualified vessel and demonstrate the financial capabilities to accomplish the program.

**Beneficiary Eligibility:**

U.S. citizen.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in the Applicant Eligibility section of this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Ship Financing. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

See Federal Register Notice (46 CFR Part 390, Appendix I) dated January 29, 1976. Persons seeking to enter into a Capital Construction Fund Agreement may make application by letter to the headquarters office shown below. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Office of Shipyards and Marine Financing reviews the application to determine the citizenship of the applicant, whether the applicant owns or leases one or more eligible vessels, has an acceptable program for the acquisition, construction or reconstruction of a qualified vessel and has the financial capability to accomplish the program. Approved by the Associate Administrator for Business and Workforce Development.

**Deadlines:**

Applicant must execute a Capital Construction Fund Agreement prior to final due date for filing of Federal tax return to receive tax deferral for a given tax year.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Each agreement provides for a minimum deposit over a 3-year period to insure that the party is making a sufficient commitment to continue the agreement.

**Length and Time Phasing of Assistance:**

Depends upon the individual program agreed to between the Maritime Administration and the applicant.

**Reports:**

Annual reports specified in the agreement and the rules and regulations.

**Audits:**

All financial records are subject to audit by the Internal Revenue Service and/or the Maritime Administration, Department of Transportation.

**Records:**

See Reports.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Salaries and expenses) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Applicant receives tax benefits for depositing assets in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

As of March, 2008, there were a total of 160 active individual and consolidated Capital Construction Fund Agreements, with reported cumulative deposits since program inception in excess of \$4.2 billion to accomplish construction and acquisition programs. Thus far in calendar year 2008, 2 applications have been approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Capital Construction Fund Agreement; Parts 390 and 391, Title 46, CFR; Part 3, Title 26, CFR.

**Regional or Local Office:**

See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator for Business and Workforce Development, Office of Shipyards and Marine Financing, Maritime Administration, 1200 New Jersey Avenue, S.E., Department of Transportation, Washington DC 20590. Telephone: (202) 366-5737.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

20.802, Federal Ship Financing Guarantees; 20.812, Construction Reserve Fund.

**EXAMPLES OF FUNDED PROJECTS:**

The types of projects funded through the CCF are the acquisition, construction, and reconstruction of qualified agreement vessels such as tugs, barges, break bulk cargo vessels, LNG carriers, tankers, etc. In addition, these vessels must be documented under the laws of the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade. The definition of noncontiguous domestic trade includes trade between fixed drilling and production platforms located on the Outer Continental Shelf of the United States at a distance more than three miles from shore and the U.S. mainland.

**CRITERIA FOR SELECTING PROPOSALS:**

See Award Procedure section of this program.

## 20.810 SUPPLEMENTARY TRAINING

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Merchant Marine Act of 1936, Title XIII, as amended, Public Law 91-469, 46 U.S.C. 1119 et seq.

**OBJECTIVES:**

To train seafarers in shipboard fire fighting, and other such essential subjects related to safety and operations where this training is not or cannot be provided by the industry directly. Maritime defense and intermodal freight transportation courses are also included in this category.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Licensed and unlicensed U.S. seafarers in U.S. maritime industry are instructed on a fee-paid basis in safety and marine operation subjects.

**Applicant Eligibility:**

Qualified U.S. merchant seafarers, operators of inland waterway, offshore drilling, and mining vessels; maritime academy students; and personnel of the National Oceanic and Atmospheric Administration, U.S. Coast Guard, U.S. Naval Reserve, U.S. Army Corps of Engineers, qualified representatives of



marine industry, State and local governments.

**Beneficiary Eligibility:**

Qualified U.S. merchant seafarers, operators of inland waterway, offshore drilling, and mining vessels; maritime academy students; and personnel of the National Oceanic and Atmospheric Administration, U.S. Coast Guard, U.S. Naval Reserve, U.S. Army Corps of Engineers, U.S. Transportation Command qualified representatives of marine industry, State and local governments.

**Credentials/Documentation:**

Merchant mariner's document issued to U.S. citizens by the U.S. Coast Guard.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Seafarers contact applicable Maritime Administration registrar at the agency's enrollment offices.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Nonfinancial - training provided on a fee basis.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Form MA-823 Training Course Application, written examinations, practical tests sheets and classroom attendance records are retained for five years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Program Level) FY 07 \$67,000; FY 08 \$75,000; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 212 seafarers completed fire fighting training.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

See Maritime Administration Field Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator for Business and Workforce Development, Maritime Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-5737.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 20.812 CONSTRUCTION RESERVE FUND

(CRF)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 511, as amended, Public Law 74-835, 46 U.S.C. 1161.

**OBJECTIVES:**

To promote the construction, reconstruction, reconditioning, or acquisition of merchant vessels built and documented under the laws of the United States for purposes of national defense and the development of U.S. commerce.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The Construction Reserve Fund (CRF), authorized under Section 511 of the Act, is a financial assistance program which provides tax deferral benefits to U.S. flag operators. The CRF permits the fundholder to deposit gains attributable to the sale of or indemnification for loss of vessels and to defer tax on such gains provided the gains are to be reinvested in vessels. Also the CRF allows the

accumulation of earnings from operations of vessels documented in the U.S., or the earnings from the investment of the Fund. The ability to accumulate funds and the tax deferral provision have enabled fundholders to construct or reconstruct in the United States and documented under the laws of the United States larger, better-equipped vessels, reduce mortgage debt on the vessels and construct a greater number of vessels than would be possible without the program.

**Applicant Eligibility:**

A Construction Reserve Fund (CRF) may be established by any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S., or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual may establish a CRF.

**Beneficiary Eligibility:**

Any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S. or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in Applicant Eligibility section of this program. The program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Shipyards and Marine Financing. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

See Federal Register Notice (46 CFR 287.4). Persons seeking to establish a Construction Reserve Fund may make application by letter to the headquarters office shown below. This program is excluded from coverage under OMB Circular No. A-102 and A-110.

**Award Procedure:**

Review of the application by the Office of Shipyards and Marine Financing to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**Deadlines:**

Applicant must execute a Construction Reserve Fund (CRF) within 60 days after the receipt of the proceeds of the sale or indemnification for loss of a vessel. Tentative authorization to establish the CRF and deposit the proceeds may be granted by the Maritime Administration.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Within 3 years from the date of any deposit in the Construction Reserve Fund, such deposits must be obligated under a contract for the construction or acquisition of a new vessel or vessels. Also deposits into the CRF must be made within 60 days after receipt by the taxpayer of amounts representing proceeds of the sale or indemnification for loss of a vessel.

**Length and Time Phasing of Assistance:**

Depends on each individual program agreed upon between the Maritime Administration and the applicant.

**Reports:**

None.

**Audits:**

None.

**Records:**

See Reports section of this program.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Salaries and expenses) FY 07 \$0; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Defer tax on gains by depositing the gains attributable to the sale of or indemnification for loss of vessels in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

As of March 2008, there were 26 construction reserve fund contracts with deposits totaling approximately \$100,000,000 for the construction, reconstruction and acquisition of the proposed programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Part 287, Title 46 CFR; Order and Form of Resolution which outlines details pertaining to the establishment and maintenance of the Construction Reserve Fund.

**Regional or Local Office:**

See Maritime Administration Regional Offices listed in Appendix IV of the

Catalog.

**Headquarters Office:**

Associate Administrator for Business and Workforce Development, Office of Shipyards and Marine Financing, Maritime Administration, 1200 New Jersey Avenue, SE, Department of Transportation, Washington, DC 20590. Telephone: (202) 366-5737.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

20.802, Federal Ship Financing Guarantees; 20.808, Capital Construction Fund.

**EXAMPLES OF FUNDED PROJECTS:**

Vessels such as coastwise tankers, ocean tugs, chemical barges, and crewboats are particular programs that have been or will be constructed, reconstructed or acquired through the Construction Reserve Fund. These vessels must be constructed in the United States and documented under the laws of the United States. If the vessel is less than 12 knots speed and 2,000 gross tons, it must be determined as useful to the United States in case of war or national emergency.

**CRITERIA FOR SELECTING PROPOSALS:**

Review of the application by the Office of Shipyards and Marine Financing to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

## 20.813 MARITIME SECURITY FLEET PROGRAM

(Maritime Security Program)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

The Maritime Security Act of 2003, Public Law 108-136.

**OBJECTIVES:**

To maintain a U.S.-flag merchant fleet crewed by U.S. mariners to serve both the commercial and national security needs of the United States.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Vessel's Operations restricted to U.S. foreign trade.

**Applicant Eligibility:**

U.S. citizens and operators of U.S. flag vessels .

**Beneficiary Eligibility:**

Ownership and operation of vessels and facilities useful to the United States in time of war or national emergency.

**Credentials/Documentation:**

Ownership of U.S. documented vessels.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Solicitation for applications in the Federal Register.

**Award Procedure:**

Office of Sealift Support and the Department of Defense review applications against criteria established in the Maritime Security Act of 2003.

**Deadlines:**

As published in application solicitation.

**Range of Approval/Disapproval Time:**

90 Days from closing of application.

**Appeals:**

Decisions concerning administration of the Maritime Security Program will be referred to the Maritime Administrator.

**Renewals:**

Program is based on 1-year contracts renewable each year subject to funding not to extend past fiscal year 2015.

**Formula and Matching Requirements:**

Program provides for payment of up to \$2.6 million per vessel per year for FY 2006-2008, \$2.9 million for FY 2009-2011, and \$3.1 million for FY 2012-2015.

**Length and Time Phasing of Assistance:**

One year contracts, renewable yearly, payable in monthly installments.

**Reports:**

Vouchers on a monthly basis.

**Audits:**

Maritime Security Program subject to both internal and external audit. These audits will be made by the Office of the Inspector General (DOT) in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:**

Vouchers on a monthly basis.

**Account Identification:**

69-1711-0-1-054.

**Obligations:**

(Direct payments) FY 07 \$154,440,000; FY 08 \$156,000,000; and FY 09 \$0.

**Range and Average of Financial Assistance:**

\$2.6 million per vessel per year (FY 2006-2008). \$2.9 million per vessel per year (FY 2009-2011). \$3.1 million per vessel per year (FY 2012-2015).

**PROGRAM ACCOMPLISHMENTS:**

As of January 1, 2007, 60 ships were enrolled in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 296.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Office of Sealift Support, Maritime Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-2323.

**Web Site Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Maritime Security Program payments are paid to vessels operating in U.S. foreign commerce. Vessels include containerships and Roll-on/Roll-off vessels(RO/RO), tankers and heavy lift ships will be eligible in FY 2008-2015.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Vessel is required to maintain U.S.-flag presence in foreign commerce and/or necessary for meeting military sealift requirements; (2) Applicant possesses operational expertise and intermodal assets useful to the United States in meeting its sealift requirements; (3) Maritime Security Program participants are required to commit sealift and intermodal capacity to the Emergency Preparedness Program (EPP), approved by the Secretary of Defense (SECDEF).

## 20.814 ASSISTANCE TO SMALL SHIPYARDS

(Small Shipyard Grants)

**FEDERAL AGENCY:**

MARITIME ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Section 3506 of Public Law 109-163.

**OBJECTIVES:**

To award grants for capital improvements and related infrastructure improvements at qualified shipyards that will facilitate the efficiency, cost effectiveness, and quality of domestic ship construction for commercial and Federal Government use.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

For capital and related infrastructure improvements. Cannot be used for physical facility construction or land acquisition unless specifically approved by Administrator as consistent with capital and infrastructure improvements. Federal funds cannot exceed 75 percent of project cost unless (1) cost is less than \$26,075, or (2) determination is made that project merits support and requires additional assistance.

**Applicant Eligibility:**

Either a shipyard or a State or local government on behalf of a shipyard can apply. The shipyard must be one in a single geographical location, located in or near a maritime community, that (1) is a small business concern within the meaning of section 3 of the Small Business Act (15 U.S.C. 632); and (2) does not have more than 600 production employees. Other factors taken into account when grants are awarded will be (a) the economic circumstances and conditions of the maritime community near to which a shipyard is located; and (B) the local, State and regional economy in which such community is located.

**Beneficiary Eligibility:**

Shipyard.

**Credentials/Documentation:**

As required by application.

**Preapplication Coordination:**

This program is excluded from coverage under E.O.12372.

**Application Procedure:**

SF-424 application form must be filed with the Maritime Administration. There are specific agency instructions for additional information which should be provided as an addendum to Form SF-424. These instructions were published in the Federal Register on January 10, 2008, in Vol.73, No. 7, pp.1912-1913. Applicants can go to [www.grants.gov](http://www.grants.gov) to apply.

**Award Procedure:**

Awards will be made by the Maritime Administrator in such amounts and under such conditions as he determines.

**Deadlines:**

Applications must be received by the Maritime Administration no later than 5:00 PM EST on February 25, 2008.

**Range of Approval/Disapproval Time:**

No later than April 24, 2008.

**Appeals:**

None.

**Renewals:**  
None.

**Formula and Matching Requirements:**  
Section 3506 of the National Defense Authorization Act for Fiscal year 2006 (Public Law 109-163) provides that no more than 75 percent of a project' costs may be paid from Federal funds unless the cost is no greater than \$26,075 or the Administrator determines otherwise.

**Length and Time Phasing of Assistance:**  
To be individually determined based on project.

**Reports:**  
There will be Progress Reports, Annual Reports, and/or Status Reports depending on the nature of the project and the period of time it is expected to take.

**Audits:**  
Nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**  
Recipient is required to retain intact, for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**  
69-1750-0-1-403.

**Obligations:**  
FY 07 \$0; FY 08 \$0; and FY 09 est \$10,000,000.

**Range and Average of Financial Assistance:**  
Awards can be in any amount up to \$10,000,000 (if matching requirement is waived).

**PROGRAM ACCOMPLISHMENTS:**  
FY 07 - 0. In FY 08, it is anticipated that 15 applications will be received and 10 awards will be granted. FY 09 - 0.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
Federal Register publication on January 10, 2008 in Vol.73, No.7, pp.1912-1913. Implementing legislation: Section 3506 of the National Defense Authorization Act for Fiscal Year 2006 (Public Law 109-163) and section entitled "Assistance to Small Shipyards" in Consolidated Appropriations Act, 2008.

**Regional or Local Office:**  
None.

**Headquarters Office:**  
Associate Administrator for Business and Workforce Development, Room W21-318, Maritime Administration, 1200 New Jersey Ave., S.E., Washington, DC 20590; Telephone: (202) 366-5737; E-mail: jean.mckeever@dot.gov; Fax: (202) 366-6988.

**Web Site Address:**  
None.

**RELATED PROGRAMS:**  
None.

**EXAMPLES OF FUNDED PROJECTS:**  
None.

**CRITERIA FOR SELECTING PROPOSALS:**  
(1) How well the project will facilitate the efficiency, cost-effectiveness, and quality of domestic ship construction for commercial and Federal Government use, and (2) the economic factors set forth in section 081 above.

## 20.815 FIREBOAT CONSTRUCTION

**FEDERAL AGENCY:**  
US DEPARTMENT OF TRANSPORTATION, MARITIME ADMINISTRATION

**AUTHORIZATION:**  
P.L. 108-7 (HJRes 2) Portland Safety Enhancement, Maine and the Economy in Government Act (31 U.S.C. 1535)

**OBJECTIVES:**  
The purpose of this grant is for Construction of a Fireboat/Harbor Patrol Vessel for the Portland Fire Department, Portland Maine. The purchase of a new fireboat will be used to serve the Portland Fire Department (PFD) in protecting Portland Harbor and surrounding waters.

**TYPES OF ASSISTANCE:**  
Project Grant

**USES AND USE RESTRICTIONS:**  
The grant can only be used for those projects identified in DOT's Annual Appropriation Legislation.

**Applicant Eligibility:**  
This grant is mandated by Congress in DOT's Annual Appropriation Legislation. Therefore, only those organizations specifically identified in the appropriation legislation can apply.

**Beneficiary Eligibility:**

State and Local Governments and for profit organizations.

**Credentials/Documentation:**  
Proposal submitted with statement of work and estimated budget. Costs will be determined in accordance with OMB Circular A-87 for State and Local Governments, and A-122 for Non-Profit and For Profit-Organizations.

**Preadmission Coordination:**  
This program is excluded from coverage under E.O.12372.

**Application Procedure:**  
Not Applicable.

**Award Procedure:**  
The award will be made by Acquisition Services personnel.

**Deadlines:**  
None.

**Range of Approval/Disapproval Time:**  
Not Applicable.

**Appeals:**  
None.

**Renewals:**  
Renewals and/or extensions may be available. Requests must be submitted to the Acquisition Services office for approval.

**Formula and Matching Requirements:**  
This program has no statutory formula.

**Length and Time Phasing of Assistance:**  
This grant will be a period of sixteen months from date of award. The funds will be reimbursed for costs incurred.

**Reports:**  
Annual Audit Reports ; An annual A-133 audit relating to the use of Grant Funds shall be completed within 120 days after the end of each City of Portland, Maine Fire Department fiscal year. Status Reports ; Written reports shall display the type of report, the period covered by the report, the name and the Grant Number. Quarterly Status Reports - The City of Portland, Maine Fire Department shall submit a quarterly status report, using Standard Form 269, to keep the Government informed of the City of Portland, Maine Fire Department activity during the reporting period, accomplishments/progress made, planned activities for the next period, and a list of any supplies and/or equipment purchased during the reporting period. In addition, the report shall include an explanation for any deviation from the projected budget and timeline, and shall also contain, at a minimum, the following: (1) a statement as to whether the City of Portland, Maine Fire Department has used the Grant Funds consistent with the terms contemplated in the grant Agreement; (2) if applicable, a description of the budgeted activities not procured by the City of Portland, Maine Fire Department (3) if applicable, the rationale for the City of Portland, Maine Fire Department failure to procure the budgeted activities.

**Audits:**  
Audits shall be in accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), ; Audits of States, Local Governments, and Non-Profit Organizations, ; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that extend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**  
Records will be retained in accordance with 15 CFR Part 24 for State and Local governments.

**Account Identification:**  
69-X064-1-1-710.

**Obligations:**  
FY 07 \$0; FY 08 est \$993,500; and FY 09 est \$993,500.

**Range and Average of Financial Assistance:**  
\$993,500.00.

**PROGRAM ACCOMPLISHMENTS:**  
The City of Portland, Maine to replace their 48-year-old fireboat, with a new aluminum Fireboat/Harbor Patrol vessel. The vessel will protect the Port of Portland, which harbors one of the nations; largest oil ports. It will also serve as the Fire Rescue vessel for the city of Portland, the islands of Cisco Bay, and will assist the City's Mutual Aid partners. This is the only fireboat in Portland Harbor.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
None.

**Regional or Local Office:**  
N/A.

**Headquarters Office:**  
1200 New Jersey Avenue, SE, Washington, DC 20590.

**Web Site Address:**  
www.MARAD.gov

**RELATED PROGRAMS:**  
None.

**EXAMPLES OF FUNDED PROJECTS:**  
None.

**CRITERIA FOR SELECTING PROPOSALS:**  
Congressional Earmark Recipients.



## 20.900 TRANSPORTATION-CONSUMER AFFAIRS

### FEDERAL AGENCY:

OFFICE OF THE SECRETARY, DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

Federal Aviation Act of 1958, as amended, Section 1002(a), 49 U.S.C. 1301; Sections 204, 302.200, and 384.7, Public Laws 85-726, 95-504 and 98-443.

### OBJECTIVES:

To improve service provided to the public by U.S. and foreign air carriers.

### TYPES OF ASSISTANCE:

Investigation of Complaints.

### USES AND USE RESTRICTIONS:

The Aviation Consumer Protection Division provides assistance and information to consumers, including air travelers with disabilities, trying to resolve complaints against airlines, travel agents, and air tour operators. The Division also investigates alleged violations of airline passengers' civil rights and provides information about specific air travel service problems such as lost baggage, oversold flights, scheduling problems and overcharges, and may refer people to local Small Claims courts if informal mediation efforts fail.

### Applicant Eligibility:

All users of air transportation.

### Beneficiary Eligibility:

All users of air transportation.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The Division requests that complainants first contact the airline in an attempt to resolve the complaint. If that is unsuccessful, they can call or email the Division or send a letter stating pertinent facts about the incident that caused the complaint as well as copies (never originals) of tickets or baggage tags, if these documents help to explain the nature of the problem. Please include with your letter of complaint a daytime telephone number.

### Award Procedure:

None.

### Deadlines:

None, but complaint should be filed as soon as possible after the problem occurs.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

69-0102-0-1-407.

### Obligations:

(Salaries and expenses) FY 07 \$1,644,823; FY 08 est \$2,046,430; and FY 09 est not reported.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

For calendar year 2007 the total number of consumer complaints, information requests, opinions and compliments received totaled 16,072.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Copies of the pamphlet "Fly-Rights, A Guide to Air Travel in the U.S." are available from the Consumer Information Center-6A, P.O. Box 100, Pueblo, CO 81002. Enclose check or money order payable to Superintendent of Documents in the amount of \$1.75 per copy with a 25 percent discount on orders of 100 copies or more. Copies of the "Air Travel Consumer Report" issued monthly and "Plane Talk", a series of air travel fact sheets, are available free of charge by writing to the headquarters office listed. These publications can also be found on the Department of Transportation's world wide web site at: <http://airconsumer.ost.dot.gov>.

### Regional or Local Office:

Alaska Aviation Statistics Field Office, Department of Transportation, 801 B Street Room 506, Anchorage, AK 99501-23657. Telephone: (907) 271-5147.

### Headquarters Office:

Aviation Consumer Protection Division, C-75 (Norman Strickman), Room W96-432, Department of Transportation, 1200 New Jersey Ave., S.E., Washington,

DC 20590. Telephone: (202) 366-5957. Consumer Complaints (Airline Service), (202) 366-2220; TTY (202) 366-0511. Toll Free Hotline for Airline Disability-Related Problems: (1-800) 778-4838 (voice); (1-800) 455-9880 (TTY)

### Web Site Address:

<http://airconsumer.ost.dot.gov>

### RELATED PROGRAMS:

33.001, Shipping Dispute Resolution and Investigation of Complaints.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 20.901 PAYMENTS FOR ESSENTIAL AIR SERVICES

### FEDERAL AGENCY:

OFFICE OF THE SECRETARY, DEPARTMENT OF TRANSPORTATION

### AUTHORIZATION:

49 U.S.C. 41731 - 41742.

### OBJECTIVES:

To assure that air transportation is provided to eligible communities by subsidizing air carriers when necessary to provide service.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

When necessary subsidy payments are made to air carriers providing air services at certain points. Subsidy is paid to cover the carrier's prospective operating loss, plus a profit element.

### Applicant Eligibility:

Air carrier must be found fit and be selected by the Department to perform the subsidized service.

### Beneficiary Eligibility:

Air carriers and eligible local communities.

### Credentials/Documentation:

Financial statements and detailed operating statistics.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

In accordance with 14 CFR, Part 271, and specific Department requests in docketed cases.

### Award Procedure:

Evaluation of applications according to factors established in 49 U.S.C. 41731, et seq., and any Department-established factors.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

From 2 to 4 months.

### Appeals:

In accordance with 14 CFR, Part 302.14.

### Renewals:

If selected air carrier is willing to renew, renewal may be by show-cause procedures under Part 302 of the Department's regulations; otherwise, application procedures are repeated.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

In accordance with Department evaluation and determination of demonstrated need.

### Reports:

None.

### Audits:

Air carriers are subject to audits of financial and operational fitness, of major contested claims of compensation for continued service, and of monthly billings to the Department for subsidy.

### Records:

Air carriers must retain all books, records and other source and summary documentation for 7 years to support subsidy claims.

### Account Identification:

69-8304-0-7-402.

### Obligations:

(Direct payments) FY 07 \$50,000,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

For continental United States: \$247,122 to \$1,733,997 annually per point; \$636,161 annually per point average.

### PROGRAM ACCOMPLISHMENTS:

Essential air service has been maintained with subsidy support at approximately 154 communities affected by airline deregulation.

### REGULATIONS, GUIDELINES, AND LITERATURE:

49 U.S.C. 41731, et seq.; 14 CFR, Parts 204, 271, 323, 325, 398.

### Regional or Local Office:

None.

**Headquarters Office:**

Director, Office of Aviation Analysis, X-50, Department of Transportation, 400 Seventh Street, SW., Washington, DC 20590. Telephone: (202) 366-5903 Use the same number for FTS.

**Web Site Address:**

<http://ostpxweb.dot.gov/aviation/index.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Great Lakes Aviation-Essential Air Service to Alliance, Chadron, Kearney, and McCook, Nebraska. (2) Big Sky Airlines-Essential Air Service to Glasgow, Glendive, Havre, Lewistown, Miles City, Sidney, and Wolf Point, Montana. (3) Alaska Airlines-Essential Air Service to Cordova, Gustavus, Petersburg, Wrangell, and Yakutat, Alaska.

**CRITERIA FOR SELECTING PROPOSALS:**

Established by statute and by precedent in individual docketed cases.

**20.904 BONDING ASSISTANCE PROGRAM****FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Public Law 97-449, 49 U.S.C. 332.

**OBJECTIVES:**

To enhance and further the opportunity for Small and Disadvantaged Business Enterprises (SDBEs) to obtain bid, performance and payment bonds for transportation-related contracts emanating from the DOT, its grantees, recipients, their contractors and subcontractors.

**TYPES OF ASSISTANCE:**

Insurance.

**USES AND USE RESTRICTIONS:**

The bonds are issued in support of transportation-related contracts. Transportation-related means a contract for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the Nation's modes of transportation with any public or commercial provider of transportation or any Federal, State or local transportation agency.

**Applicant Eligibility:**

The recipient of a bond must be a certified DBE, minority-owned business enterprise or women-owned business enterprise. These certifications must be performed by an agency using DOT guidelines, 49 CFR Part 26. All firms certified by the Small Business Administration as 8(a) companies are eligible to participate in the DOT Bonding program.

**Beneficiary Eligibility:**

Certified minority, women-owned and disadvantaged business enterprises.

**Credentials/Documentation:**

Application and supplemental information, including a certification letter from the recipient agency(s), using DOT guidelines 49 CFR Part 26.

**Preapplication Coordination:**

Information and consultation is available from the Office of Small and Disadvantaged Business Utilization (OSDBU), Telephone: (202) 366-1169. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Completed applications should be submitted to Pilot Bonding Program Agents for underwriting and bonds are issued by one of DOT's Participating Sureties. Applicants may obtain a copy of the application and a list for the Pilot Bonding Agents on the OSDBU internet site at: <http://osdbuweb.dot.gov> or by contacting OSDBU.

**Award Procedure:**

All bonds are approved and issued directly to the DBE by the Sureties.

**Deadlines:**

Based upon bid or contract documents.

**Range of Approval/Disapproval Time:**

Bonds are issued on-site by local agents as representatives of the Sureties.

**Appeals:**

Not applicable.

**Renewals:**

Bonds are issued on a project by project basis.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Guarantees run to termination of bond (usually 1 year after completion of contract).

**Reports:**

Monthly, internal OSDBU reports; Reports to the Secretary of Transportation on all bond approvals.

**Audits:**

DOT has the right to audit its accounts with the Participating Sureties.

**Records:**

OSDBU and the surety agents maintain records of current applicant files, such as approvals. Bond approvals will be maintained by the participating sureties, with a copy provided to DOT.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Average dollar amount of bonds issued is \$330,000.

**PROGRAM ACCOMPLISHMENTS:**

During the last 3 fiscal years, an average of 70 performance and payment bonds were issued annually, averaging a total of \$15 million a year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C.332.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Small and Disadvantaged Business Utilization, S-40, Office of the Secretary, Department of Transportation, 400 Seventh Street, SW., Washington, DC 20590. Contact: Bonding Manager. Telephone: (800) 532-1169 or (202) 366-2852. Website: <http://osdbuweb.dot.gov>.

**Web Site Address:**

<http://osdbuweb.dot.gov>.

**RELATED PROGRAMS:**

59.006, 8(a) Business Development Program; 59.016, Surety Bond Guarantees; 59.043, Women's Business Ownership Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.905 DISADVANTAGED BUSINESS ENTERPRISES-SHORT TERM LENDING PROGRAM**

(Short Term Lending Program)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Public Law 97-449, 49 U.S.C. 332.

**OBJECTIVES:**

To advance the opportunities for small, minority-owned disadvantaged businesses, including women and service-disabled veteran owned businesses and Disadvantaged Business Enterprises (DBE) (to obtain accounts receivable financing for the performance of eligible transportation-related contracts originating from the Department of Transportation (DOT), its grantees, recipients, their contractors and subcontractors.

**TYPES OF ASSISTANCE:**

Loan Guarantees/Grants.

**USES AND USE RESTRICTIONS:**

The line of credit is for account receivable financing to support the work being performed on eligible transportation related contracts. The line of credit cannot be used for equipment purchase or other long term uses; contract mobilization; refinancing of existing debt; payment of taxes; or distribution to stock holders.

**Applicant Eligibility:**

The recipient of a line of credit must be a certified DBE, or certified small business, including; 8(a); Small Disadvantaged Business (SDB); HUBZONE; Women-Owned Small Business (WOSB); and Service-Disabled Veteran-Owned Business (SDVOB). For DBE's, this certification must be performed under DOT guidelines, 49 CFR Part 26. The applicant must be in business for 2-3 years. This program is not for start-up businesses. There must be an existing transportation-related contract(s). Transportation-related contract is a contract for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the Nation's modes of transportation with any public or commercial provider of transportation or any Federal, State or local transportation agency.

**Beneficiary Eligibility:**

Small Business/Small Business Person.

**Credentials/Documentation:**

STLP application dated and signed; 3 years of business financial statements and taxes; 3 years of personal income taxes and current personal financial statement; current work-in-progress; cash flow projection to cover the length of the term of the loan (one year); current DBE or SBA certification; business formation information; company history; resume of key management; business and trade reference letters; and a copy of the signed transportation related contract(s).

**Preapplication Coordination:**

Information and consultation is available at <http://osdbuweb.dot.gov/financial/index.cfm> or by calling DOT's Office of Small and Disadvantaged Business Utilization (OSDBU). Applicants may also request technical assistance from the nearest Small Business Transportation Resource Center (SBTRC) <http://osdbuweb.dot.gov/regional/all.cfm> or the nearest SBA's Small Business Development Development Center ([www.sba.gov](http://www.sba.gov)). Telephone: (800) 532-1169, (202) 366-5577 or (202) 366-2852. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted directly to one several Participating Leaders (PLs). Applicant may obtain a copy of the application and identify the bank servicing their region from the OSDDBU internet site at <http://osdbuweb.dot.gov>.

**Award Procedure:**

All lines of credit are approved through separate decisions by the Participating Lender (PL) and by DOT. Lines of credit are serviced by approving PL.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

OSDBU staff will review the application for completeness. This review can be within 5 business days. Once it has been determined that the application is ready to be submitted to the PL, the applicant will submit to the PL a \$150.00 application fee along with the complete application. Decisions are made within 30 to 60 days from the time the complete application is submitted to the PL.

**Appeals:**

Not applicable.

**Renewals:**

Applicant may apply for renewal of line of credits as long as they remain eligible (certification is current and they have a current transportation related contract). Renewals and increases in the line of credit are possible. The maximum length in the program is 5 years.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Lines of credit is for one year term with the possibility of renewal for four additional years based upon continued eligibility.

**Reports:**

Not applicable.

**Audits:**

DOT has the right to audit its accounts with the banks.

**Records:**

OSDBU maintains records of all applicant files, such as approvals, pending review, loan readiness, denials, etc. All line of credit approvals will be maintained for 7 years and non-approvals will be maintained for 3 years.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

(Loans) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

The maximum line of credit is \$750,000, and there is no minimum amount.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C. 332.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Small and Disadvantaged Business Utilization, S-40, Office of the Secretary, Department of Transportation, 1200 New Jersey Avenue, S.E. Suite W56-497 Washington, DC 20590. Telephone: (202) 366-5577; toll free (800) 532-1169.

**Web Site Address:**

<http://www.osdbuweb.dot.gov>.

**RELATED PROGRAMS:**

59.006, 8(a) Business Development Program; 59.043, Women's Business Ownership Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 20.910 ASSISTANCE TO SMALL AND DISADVANTAGED BUSINESSES

(OSDBU's Small Business Transportation Resource Centers)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF TRANSPORTATION AUTHORIZATION:

The Department of Transportation (DOT), Office of Small and Disadvantaged Business Utilization (OSDBU) was established in accordance with Public Law 95-507, an amendment to the Small Business Act and the Small Business Investment Act of 1958. OSDBU is responsible for the implementation and execution of the USDOT activities on behalf of small businesses in accordance with Sections 8, 15 and 31 of the Small Business Act (SBA), as amended. The OSDBU also administers the provisions of Title 49 of the United States code, Section 332, the Minority Resource Center (MRC) which includes the duties of advocacy, outreach and financial services on behalf of small and disadvantaged businesses and those certified under CFR 49 Parts 23 and or 26 as

Disadvantaged Business Enterprises (DBE).

**OBJECTIVES:**

To enter into successful partnerships between OSDBU and chambers of commerce, community-based organizations, colleges and universities, community colleges, or trade associations, to establish regional Small Business Transportation Resource Centers (SBTRCs) to provide business assessment, technical assistance, technical assistance referrals, business training, and the dissemination of information regarding DOT and DOT funded contracting opportunities, as well as OSDBU services to the Disadvantaged Business Enterprise (DBE) and Small Business (SB) community in their regions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Regional SBTRCs work with OSDBU's Financial Assistance Division and STLP participating lenders to organize seminars and workshops on this accounts receivable financial access program that is available to eligible DBEs and small businesses. The seminars and workshops cover the entire STLP process, from completion of STLP loan application and preparation of the loan package to approval and loan management.

**Applicant Eligibility:**

Established 501 C(6) tax-exempt Chambers of Commerce, Trade Associations and 501 C(3) nonprofit organization, community colleges, minority educational institutions, tribal colleges and universities that have the documented experience and capacity necessary to successfully operate and administer a coordinated, Small Business Transportation Resource Center (SBTRC) within their regions.

**Beneficiary Eligibility:**

For the purpose of this program, the term small businesses refers to: 8 (a), small disadvantaged business (SDB), disadvantaged business enterprises (DBE), women-owned small business (WOB), HubZone, service-disabled veteran-owned business, and veteran owned small business.

**Credentials/Documentation:**

Must be an established 501 C(3) or 501 C(6) tax exempt organization and provide documentation as verification. No application will be accepted without proof of tax exempt status. Have at least one year of documented and continuous experience prior to the date of application in providing advocacy, outreach, and technical assistance to small businesses within the region in which proposed services will be provided. Have an office physically located within the proposed city in the designated headquarters state in the region for which applicant is submitting the proposal, that is readily accessible to the public.

**Preapplication Coordination:**

Consultation and assistance is available from the Office of Small and Disadvantaged Business Utilization (OSDBU). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must be registered by using <http://www.grants.gov/>. Applications must be submitted electronically to OSDBU through <http://www.grants.gov/>.

**Award Procedure:**

Applications will be reviewed by a selection panel and selection will be made based upon the evaluation criteria included in the announcement. The Department of Transportation, Office of Small and Disadvantaged Business Utilization will award the Cooperative Agreements.

**Deadlines:**

No new awards are contemplated for FY 08 and FY 09.

**Range of Approval/Disapproval Time:**

Notification of awards will be made by April 16, 2007.

**Appeals:**

Not applicable.

**Renewals:**

Optional.

**Formula and Matching Requirements:**

Selected SBTRC partners will be expected to provide a designated SBTRC space, administrative support, and all other general and administrative expenses. Submitted proposals must contain an alternative funding source with which the SBTRC will fund the general and administrative costs. Proposals containing alternative funding sources in excess of general and administrative costs to directly fund additional services to the small business transportation community will receive favorable consideration.

**Length and Time Phasing of Assistance:**

Awards are generally made for a minimum of 12 months. Extensions over a longer period are possible, contingent upon the needs of the OSDBU. This is a cost reimbursable agreement subsequent to expenses incurred, and disbursements are made on a monthly basis, subject to activities successfully performed and approved by OSDBU.

**Reports:**

Implementation Plan and Monthly Reports; Implementation Plans are due within 7 days of the effective date of the Cooperative Agreement. Monthly Reports are due on the 5th day of each subsequent month.

**Audits:**

DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and conduct audits in the offices of the



recipient, all documents, papers, books and records, relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of not less than 3 years, except, if any litigation, dispute, exception, or audit is commenced, the records and other materials shall be retained until the litigation, dispute, exception, or audit is judicially or administratively made final.

**Account Identification:**

69-0119-0-1-407.

**Obligations:**

(Cooperative Agreements)FY 07 \$0; FY 08 \$1,352,547,000; FY 09 \$1,352,547,000.

**Range and Average of Financial Assistance:**

Average, \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Program activities have resulted in accomplishments in the following areas: No. hours Counseling small businesses - 2,110.80 hours; No. Marketing Events attended - 198; No. Businesses Served - 1,410; No. STLP Workshops held - 8.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOT Code of Federal Regulations Parts 26 and 23 as Disadvantaged Business Enterprises; Public Law 95-507; Section 8,15, and 31 of the Small Business Act as amended; OMB Circular A-110.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Director, Office of Small and Disadvantaged Business Utilization, S-40, Office of the Secretary, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone (202) 366-1930; toll-free (800) 532-1169; Fax: (202) 366-7228.

**Web Site Address:**

<http://www.osdbu.dot.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a numerical point scale using the following factors: Approach and Strategy; Linkages; Organizational Capability; Staff Capabilities and Experience; and Cost.

## 20.930 PAYMENTS FOR SMALL COMMUNITY AIR SERVICE DEVELOPMENT

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF TRANSPORTATION

**AUTHORIZATION:**

Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR-21), 49 U.S.C. 41743, Public Law 106-181; Vision 100-Century in Aviation Reauthorization Act, Public Law 108-176.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants for specified use, provided on a reimbursable basis. Grant funds can be used to cover a variety of expenses depending on the approved project. For example, funds can be expended for marketing, advertising or promotional activities, new studies designed to measure air service deficiencies, or to measure traffic loss or diversion to other communities; employment or use of consulting firms, universities, public relations firms, and new, dedicated air service development staff on a long term basis. In addition, grant funds may also be used for financial incentives, including subsidy or revenue guarantees to cover the air carrier's prospective operating loss, or to ground service providers in providing access to air transportation services.

**Applicant Eligibility:**

For calendar year 1997, the airport serving the community or consortium was not larger than a small hub airport, and had insufficient air carrier service; or unreasonably high air fares. Eligible communities/airports are those within the United States and its territories and possessions.

**Beneficiary Eligibility:**

Eligible local communities or consortia of communities, local airports serving those communities, and air carriers.

**Credentials/Documentation:**

Communities must apply for the grant program by submitting a project proposal with required data to justify its proposal in accordance with the Department-issued Request for Proposals.

**Preapplication Coordination:**

None. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

A request for proposals (RFP) soliciting applications from eligible communities is issued each year. The RFP can be accessed on the internet through

<http://www.grants.gov> Additionally, the solicitation is published in the Federal Register and served on the Council of Mayors, the National League of Cities, the National Governors Association, the National Association of State Aviation Officials, the Association of County Executives, the American Association of Airport Executives (AAAE), and the Airports Council International-North America (ACI).

**Award Procedure:**

Applications will be evaluated according to factors established in the RFP and under the guidance of the Vision 100-Century in Aviation Reauthorization Act, P.L. 108-176.

**Deadlines:**

The deadline for filing of proposals is established and specified for each fiscal year in the FRP and can vary from year to year. However, the Department generally provides grant applicants a minimum of 60 days to submit an application.

**Range of Approval/Disapproval Time:**

Can vary from year to year. However, the target is to award grants within 120 days from the established application deadline.

**Appeals:**

None.

**Renewals:**

Application procedures are repeated each year. However, grant recipients are precluded by statute from seeking additional grants in support of the same project.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. However, cost sharing by the grant applicant is highly encouraged and can accord the grant applicant priority consideration under certain circumstances set forth in the statute.

**Length and Time Phasing of Assistance:**

The period of time for awards will vary with the complexity of the project. Minimum grant duration is one year. The statute limits use of grant funds for air carrier subsidy to a maximum period of three years. The same limitation applies to other forms of ongoing support for air carrier programs. Financial assistance is provided on a reimbursable basis; cash advances will not be made. Funds obligated remain available until expended.

**Reports:**

Quarterly progress and emplacement reports, and a final report is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local governments, and Nonprofit Organizations, nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt for Federal audit Requirements for that year. For direct procurement contracts, audit will be conducted in accordance with the Federal Acquisition Regulation.

**Records:**

The grant recipient is expected to retain all documents Relevant to the grant award for a period of seven years from completion of the project.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Grants) FY 07 \$8,875,678 \$; FY 08 est. \$10,000,000; and FY 09 est. \$10,000,000.

**Range and Average of Financial Assistance:**

Range: 2007, \$50,000 to \$1.0 million. Average: \$345,000.

**PROGRAM ACCOMPLISHMENTS:**

Because most grant awards span a period of between two and four years, very few projects have reached the end of the grant terms. Of the 30 communities that sought new or expanded air service and have filed final reports as of September 30, 2005, 28 have experienced increased enplanements following the implementation of their respective grants. 25 of the 30 communities reported reduced passenger leakage to other airports. 16 of the 30 communities experienced a reduction in air fares. Furthermore, 26 of the 30 communities received improved air service in the form of increased frequencies, larger aircraft, or additional air carriers. Of these 26 airports, 19 continue to benefit from the improved service following the conclusion of the grant funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41743, et. Seq.; 14 CFR 302.12 (Rule 12); 49 CFR 1.56a(f), 49 CFR 18.36; Public Law 106-181; Public Law 106-176; Public Law 108-199.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aloha Ley, Acting Associate Director, Small Community Air Service Development Program, Office of Aviation Analysis, X-50, Department of Transportation, 1200 New Jersey Ave., W86-310, Washington, DC 20590. Telephone: (202) 366-2347. Fax: (202) 366-7638.

**Web Site Address:**

<http://ostpxweb.dot.gov/aviation/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**20.931 TRANSPORTATION PLANNING, RESEARCH AND EDUCATION**

(Transportation Planning, Research and Development)

**FEDERAL AGENCY:**

DEPARTMENT OF TRANSPORTATION, OFFICE OF THE SECRETARY

**AUTHORIZATION:**

Department of Transportation's FY 2006 Appropriation Bill (Conference Report HR 109-307)

**OBJECTIVES:**

To provide funds to conduct research and development on transportation and transportation inter-modal systems and related issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grants can only be used for those projects identified in DOT's Annual Appropriation Legislation.

**Applicant Eligibility:**

These grants are mandated by Congress in DOT's Annual Appropriation Legislation. Therefore, only those organizations specifically identified in the appropriation legislation can apply.

**Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; US Territory or Possession; Private Non-Profit Institutions/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and Local Governments, A-21 for Educational Institutions and A-122 for Non-Profit and For-Profit Organizations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application shall be submitted to the grantee via grants.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

**Award Procedure:**

The application package shall be returned via grants.gov. Award will be made by Acquisition Services personnel.

**Deadlines:**

None. The deadlines, if any, shall be established in each grant application package.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the Acquisition Services office for approval.

**Formula and Matching Requirements:**

This program has no statutory Formula.

**Length and Time Phasing of Assistance:**

The length is specific to each grant. The funds can be released in a lump sum, but normally the grantees are reimbursed for funds expended.

**Reports:**

Quarterly progress and expenditure reports are required. The final report is due at the end of the grant or cooperative agreement.

**Audits:**

Audits shall be in accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Reports are due in accordance with the terms and conditions of each grant. Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and commercial organizations and in accordance with 15 CFR Part 24 for State and local governments.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

FY 07 \$3,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The average may change depending on the DOT's Annual Appropriation Legislation.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006, 10 new grants were awarded for Transportation Planning, Research and Education on Infrastructure, Environment, and Inter-modal Transportation Systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Transportation's FY 2006 Appropriation Bill (Conference Report HR 109-307).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Cynthia Blackmon, US Department of Transportation/OST, Acquisition Services, 400 7th Street, SW, Room 5106, Washington, DC 20590, (202) 366-4968, (202) 366-9848 (fax).

**Web Site Address:**

Cyndy.blackmon@dot.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Evaluation of Shipper Requirement and Rail Services; Infrastructure and Transportation Support; Agriculture Transportation Pilot Project; Eastern Seaboard Intermodal Transportation Study; Research & Equipment of Coastal & Environmental Engineering Related to Coastal Highways & Bridges.

**CRITERIA FOR SELECTING PROPOSALS:**

Grantees are mandated in the DOT Annual Appropriation Legislation.

# DEPARTMENT OF THE TREASURY

## 21.003 TAXPAYER SERVICE

### FEDERAL AGENCY:

INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

### AUTHORIZATION:

Internal Revenue Code, as amended, 26 U.S.C. 7801.

### OBJECTIVES:

To assist taxpayers and taxpayer organizations in locating services and Federal tax information established by the Federal tax system.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling.

### USES AND USE RESTRICTIONS:

The Internal Revenue Service (IRS) produces and provides publications, forms and other tax material and information to help taxpayers meet their tax responsibilities. Taxpayers can call the toll-free phone service at (800) 829-1040 for general inquiries. Taxpayers are encouraged to visit the IRS website at [www.irs.gov](http://www.irs.gov) where they can find all this information and can download forms and publications with a keystroke. The Business and Specialty Tax Line at (800) 829-4933 is available Monday thru Friday, 7 a.m. until 10 p.m. local time (with the exception of Alaska and Hawaii, which are on Pacific Time). The days and hours of operation may expand during the filing season, January through April 15, for general and specialized tax lines. The TeleTax system at (800) 829-4477, available 24 hours a day, 7 days a week, provides recorded tax information on more than 150 subjects to taxpayers who have touchtone telephones. For a directory of topics, taxpayers should listen to topic #123. The Refund Hotline (800) 829-1954 is also available Monday thru Friday, 7 a.m. until 10 p.m. local time (with the exception of Alaska and Hawaii, which are on Pacific Time). However, taxpayers can check their refunds on-line at [www.irs.gov](http://www.irs.gov), "Where's My Refund". The site is easy, quick and secure. Educational workshops for new small businesses and self employed persons are available on-line at the IRS website at [www.irs.gov/businesses/small/index.html](http://www.irs.gov/businesses/small/index.html) and provide guidance on tax-related responsibilities. The IRS also partners with the tax professional community. The IRS holds annual nationwide Tax Forums, provides an electronic newsletter called "e-news for Tax Professionals," regularly updates the Tax Professionals page on the IRS website, and organizes Tax Practitioner Institutes. Information on these programs can be found on the website. IRS Taxpayer Assistance Centers (TAC) in 50 states and Puerto Rico provide face-to-face help for account, tax law, and need based return preparation services. Visit [www.irs.gov/local/contacts/index.html](http://www.irs.gov/local/contacts/index.html) for TAC locations, services and hours of operation. elease, revenue ruling, revenue procedure, notice or announcement of other guidance. The IRS also partners with the tax professional community. The IRS holds annual nationwide Tax Forums, provides an electronic newsletter called "e-news for Tax Professionals," regularly updates the Tax Professionals page on the IRS website, and organizes Tax Practitioner Institutes. Information on these programs can be found on the website.

### Applicant Eligibility:

Any individual or group interested in the tax system or have questions about his/her tax return(s).

### Beneficiary Eligibility:

Taxpayers.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

None.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

20-0912-0-1-803.

### Obligations:

(Salary and expenses) FY 07 \$564,665,658; FY 08 est \$706,172,667; and FY 09 est \$582,401,587 (Note: This data includes the following areas: Media and Publications, Stakeholder Partnerships, Education and Communication, and Field Assistance).

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Approximately 30 million additional contacts per year are achieved through partnership programs.

### REGULATIONS, GUIDELINES, AND LITERATURE:

IRS regulations, guidelines and literature are available at [www.irs.gov](http://www.irs.gov).

### Regional or Local Office:

Field Assistance: Jane Brough, Wage & Investment, Customer Assistance, Relationships and Education, Field Assistance, 401 West Peachtree Street NW, Atlanta, GA 30308. Phone: (404) 338-8994. Tax Law Interpretation and Published Guidance: Frances Royal, Media and Publications, Customer Assistance, Relationships and Education, 1111 Constitution Avenue, Washington, DC 20224-0001. Phone: (202) 927-9568. Stakeholder Partnerships, Education & Communication: Mikki Betker, Customer Assistance Relationships and Education, 401 West Peachtree Street, NW, Atlanta, GA 30308. Phone: (404) 338-8893. Electronic/Correspondence Assistance: Bart Jones, Customer Accounts Services (CAS), 401 West Peachtree Street NW, Atlanta, GA 30308. Phone: (404) 338-8892. Area or Local Office: Taxpayer Assistance Centers (TAC) are a one-stop resource for face-to-face tax help. Visit [www.irs.gov](http://www.irs.gov) for local office locations, services and hours of operation. Forms and Publication telephone orders, operated Monday thru Friday, 7 a.m. until 10 p.m. local time (with exception of Alaska and Hawaii, which are Pacific Time): (800) 829-3676. National Taxpayer Advocate's Help Line, in service Monday thru Friday 7 a.m. until 10 p.m. local time (with exception of Alaska and Hawaii, which are Pacific Time) at (877) 777-4778. Telephone Device for the Deaf (TDD), operational Monday thru Friday, 7 a.m. until 10 p.m. local time (with exception of Alaska and Hawaii, which are Pacific Time) at (800) 829-4059.

### Headquarters Office:

Headquarters Office: Office of the Commissioner, Department of the Treasury, Internal Revenue Service, Room 3000IR, 1111 Constitution Ave., NW., Washington, DC 20224.

### Web Site Address:

<http://www.irs.gov>.

### RELATED PROGRAMS:

21.004, Exchange of Federal Tax Information With State Tax Agencies.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 21.004 EXCHANGE OF FEDERAL TAX INFORMATION WITH STATE TAX AGENCIES

(Agreement on Coordination of Tax Administration)

### FEDERAL AGENCY:

INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

### AUTHORIZATION:

Internal Revenue Code, as amended, 26 U.S.C. 6103(d).

### OBJECTIVES:

To increase tax revenues and taxpayer compliance, and to reduce duplicate resource expenditures.

### TYPES OF ASSISTANCE:

Provision of Specialized Services.

### USES AND USE RESTRICTIONS:

State tax agencies may use the tax data provided for justified tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431.

### Applicant Eligibility:

Any agency responsible for tax administration within any of the 50 States, the District of Columbia, certain U.S. Territories, and municipalities with populations in excess of 250,000 that impose taxes on income or wages and with which the Commissioner of Internal Revenue has entered into a disclosure agreement with safeguard and confidentiality protections.

### Beneficiary Eligibility:

State Governments, U.S. Territories, Municipal Governments.

### Credentials/Documentation:

Agency head must enter into Agreement with the Commissioner of IRS regarding disclosure.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.



**Application Procedure:**

There are a variety of application procedures depending on the circumstances. For the Governmental Liaison Data Exchange Program which includes recurring aggregate data extracts, applicants complete an Annual Registration Form. For specialty programs such as ATAT and EOAD/Fedstar, applicants sign a Memorandum of Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office, in their area jurisdictions. Addresses can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula nor matching requirement.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Agency Officials are required to submit a Safeguard Procedures Report 45 days prior to receipt of Federal tax data, and an annual Safeguard Activity Report. 6103 Accounting Report for the Joint Committee on Taxation is an annual report filed by IRS to show the number of disclosures made on an annual basis.

**Audits:**

On-site Safeguard Reviews will be conducted by IRS personnel every three years to ensure confidentiality and security of Federal tax data. On-site Need and Use Reviews are conducted tri-annually, in conjunction with the Safeguard Review, by IRS personnel to confirm that agencies receiving Federal Tax Information have a need for the data, and to ensure the agencies are using the data for tax administration purposes.

**Records:**

Agencies are required to maintain a system of standardized records of requests for inspection or disclosure.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Support and Services) FY 07 est not available; FY 08 est not available; and FY 09 est not available. (Note: In 1994, IRS decided to waive the fees charged to State and local agencies. These agencies can obtain tax data extract information through various IRS disclosure offices for free).

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, American Samoa, Guam, Puerto Rico, the Virgin Islands, New York City, Louisville, St. Louis, Cincinnati, Cleveland, Toledo, Philadelphia, Pittsburgh, Detroit, Kansas City, Columbus, the city of Lexington-Fayette Urban County Government, Regional Income Tax Authority (RITA), Ohio Central Collection Agency (CCA), and Jefferson County Government.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- Internal Revenue Manual 11.3.32, Disclosure of Official Information, Disclosure to States for Tax Administration Purposes, found at <http://www.irs.gov/irm/part11/ch03s34.html> - Publication 1075, Tax Information Security Guidelines, found at <http://www.irs.gov/pub/irs-pdf/p1075.pdf>.

**Regional or Local Office:**

Disclosure Officer, in all area jurisdictions, found at <http://www.irs.gov/foia/article/0,,id=120681,00.html>.

**Headquarters Office:**

Director, Governmental Liaison and Disclosure, complete addresses can be found in local directories, Internal Revenue Service, Room 2010, 1111 Constitution Ave., NW., Washington, DC 20224. Telephone: (202) 622-6200. Use the same number for FTS. Office of Safeguards Internal Revenue Service (OS/MA/PR/S), 1111 Constitution Ave., NW, IR-3619, Washington, DC 20224. E-mail: [SafeguardReports@irs.gov](mailto:SafeguardReports@irs.gov).

**Web Site Address:**

<http://www.irs.gov/businesses/small/article/0,,id=177651,00.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Individual Tax Models used by State tax agencies in determining their rate structure; Individual/Business Master File Tax Data Extracts; Individual/Business Returns Transaction File Extracts; Information Returns Master File Extracts.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**21.006 TAX COUNSELING FOR THE ELDERLY****FEDERAL AGENCY:**

INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY AUTHORIZATION:

Revenue Act of 1978, Section 163, Public Law 95- 600, 92 Stat. 2810.

**OBJECTIVES:**

To authorize the Internal Revenue Service to enter into agreements with private or public nonprofit agencies or organizations; to establish a network of trained volunteers to provide free income tax information and return preparation assistance to elderly taxpayers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding may be used for reimbursing volunteers for their out-of-pocket expenses including transportation, meals, and other expenses incurred by them in providing tax counseling assistance at locations convenient to the taxpayers.

**Applicant Eligibility:**

Tax Counseling for the Elderly sponsors must be private or public nonprofit organizations with experience in coordinating volunteer programs. Federal, State, and local governmental agencies and organizations are not eligible to sponsor a program.

**Beneficiary Eligibility:**

Elderly taxpayers, 60 years or older.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each Tax Counseling for the Elderly applicant must complete a Tax Counseling for the Elderly application package. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

IRS reviews applications and selects Tax Counseling for the Elderly Program sponsors based on their evaluative score and prior performance (if returning sponsor).

**Deadlines:**

Applications are generally available in June and due to IRS 60 days after the date the program is announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Applicants whose proposals are accepted will generally be notified of award decisions by October 1st or as soon as Congress has appropriated TCE funds. The IRS will advise those who were not selected or did not qualify based on their application package.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Cooperative Agreements expire on September 30 of each year unless an earlier date is set in the Cooperative Agreement.

**Reports:**

Form 8654, Tax Counseling for the Elderly Quarterly/Final Program Report is required to be submitted to the IRS quarterly.

**Audits:**

Audit requirements applicable to grant sponsors are described in OMB Circular A-133, 62 FR 35278-35302 (June 30, 1997). If you expend less than \$500,000 a year in total Federal awards, no audit requirements are applicable. If you expend \$500,000 or more a year in Federal awards, you must provide IRS with a copy of your Single Audit Report. You must arrange for an audit by an independent auditor in accordance with the Government Auditing Standards developed by the Comptroller General of the United States.

**Records:**

Organizations must maintain records on expenses volunteers incur and for which they are reimbursed.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

FY 07 \$3,950,000; FY 08 \$4,004,000; and FY 09 est \$3,950,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Last year, nearly 60 sponsors shared \$3.95 million and assisted nearly 1.5 million taxpayers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published each year in the Federal Register (June 1st).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tax Counseling for the Elderly, Internal Revenue Service, 401 West Peachtree Street NE, Atlanta, GA 30308. Attention: Elizabeth Blair; Telephone: (404) 338-8424.

**Web Site Address:**<http://www.irs.gov>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Quality of Programs and Services for age 60 and over (i.e., qualifications of employees, time devoted to the program, employee/volunteer training, publicity, hours of operation, site location convenient to target elderly taxpayers 60 years and above and ensure elderly taxpayers are given priority services). The maximum number of points will be awarded to an organization whose programs focus/serve elderly taxpayers. (30 points); (2) Geographic coverage and extent of coverage for age 60 and over (i.e., the number of proposed assistance sites, number of volunteers, number of Federal income tax returns to be prepared and e-filed for elderly taxpayers, and other assistance to be provided) (20 points); (3) Electronic Filing services for age 60 and over (i.e., the proposed number of Federal income tax returns to be prepared and electronically filed for elderly taxpayers). Returning sponsors prior year e-file volume will be reviewed and the maximum number of points will be awarded for organizations that exceed 50 percent e-file for senior taxpayers. (20 points); (4) Prior experience in Federal Tax Return Counseling and Tax Preparation (10 points); (5) Quality of Cooperative Agreement Administration and Internal Accounting Procedures (i.e., experience in providing volunteer service and services to the elderly, organizational structure, experience in managing federal grant programs, reasonableness of proposed budget (70 percent of grants funds should be used for reimbursement expenses and 30 percent should be used for administrative expenses) and qualifications of the TCE management staff) (10 points); and (6) Past performance of a returning sponsor (10 points).

**21.008 LOW-INCOME TAXPAYER CLINICS****FEDERAL AGENCY:**

INTERNAL REVENUE SERVICE, DEPARTMENT OF THE TREASURY

**AUTHORIZATION:**

Internal Revenue Code, as amended, 26 U.S.C. 7526.

**OBJECTIVES:**

To provide matching grants to organizations providing: (1) Representation of low income taxpayers in controversies with the Internal Revenue Service (IRS), or (2) programs to inform individuals for whom English is a second language about their taxpayer rights and responsibilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Awards under this program are issued to provide financial assistance that enhances the awardee's ability to represent low-income taxpayers in controversies with the Internal Revenue Service (IRS) or inform individuals for whom English is a second language of their taxpayer rights and responsibilities. Each awardee is required to enter into an assistance agreement that requires the awardee to comply with performance goals and abide by other terms and conditions pertinent to assistance received under this program.

**Applicant Eligibility:**

Qualifying organizations that represent low income taxpayers involved in controversies with the IRS and organizations that provide education and outreach on the taxpayer rights and responsibilities of U.S. taxpayers to individuals who speak English as a second language. IRC Section 7526 requires clinics to provide services for free or for no more than a nominal fee. The term "clinic" includes, but is not limited to, a clinical program at an accredited law, business, or accounting school in which students represent low income taxpayers in controversies with the IRS, and an organization described in IRC Section 501(c) and exempt from tax under IRC Section 501(a) that either directly represents taxpayers or refers taxpayers to qualified representatives.

**Beneficiary Eligibility:**

Low-income taxpayers with incomes which do not exceed 250 percent of the Federal Poverty Guidelines published annually by the Department of Health and Human Services, or taxpayers for whom English is a second language.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each Low-Income Taxpayer Clinic applicant must complete a Low-Income Taxpayer Clinic Application Package. See IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines, which you may

obtain by calling (1-800) TAX-FORM (1-800) 829-3676) or by visiting [www.irs.gov](http://www.irs.gov). This program is subject to the provisions of OMB Circular No. A-110. Access [www.irs.gov](http://www.irs.gov) or call (1-800) TAX-FORM (1-800) 829-3676) to obtain a copy of Publication 3319.

**Award Procedure:**

The IRS reviews applications and selects grant recipients.

**Deadlines:**

An annual notice of funds availability, published in the Federal Register, announces deadline dates for submission of applications. Deadline dates are generally 60 days subsequent to the notice publication date.

**Range of Approval/Disapproval Time:**

Grantees are generally selected 120 days after the application submission deadline.

**Appeals:**

None.

**Renewals:**

A multi-year award may be issued up to 3 years maximum.

**Formula and Matching Requirements:**

All awards of financial assistance shall be matched by the recipient on a dollar-for-dollar basis. In general, funds from sources other than from other Federal government sources cannot be counted as matching funds.

**Length and Time Phasing of Assistance:**

Generally, an award may be issued up to 3 years maximum.

**Reports:**

Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year.

**Audits:**

Costs incurred are subject to audits throughout the award period subject to the award terms and conditions. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Award recipients are required to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of OMB Circular No. A-110.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

FY 07 \$8,000,000; FY 08 \$9,000,000; and FY 09 est \$8,000,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In calendar year 2006, 150 organizations received funding, representing all 50 states, the District of Columbia, and Puerto Rico. In calendar year 2007, 153 organizations received funding, representing 49 states, the District of Columbia, Puerto Rico, and Guam. A supplemental application period was announced for the 2007 calendar year to recruit a clinic in Colorado, resulting in an additional two organizations receiving funding in Colorado, bringing the total to 155 organizations. In each of these years, LITCs provided needed assistance to low income taxpayers that otherwise might not have received assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Low Income Taxpayer Clinic Program Application Package (IRS Publication 3319).

**Regional or Local Office:**

None.

**Headquarters Office:**

Internal Revenue Service, Taxpayer Advocate Service, Attn: Shawn Collins, Grants Administration Manager, 1111 Constitution Ave., N.W., Room 1034, Washington, DC 20224.

**Web Site Address:**<http://www.irs.gov/advocate> E-mail: [LITCProgramOffice@irs.gov](mailto:LITCProgramOffice@irs.gov).**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) Number of taxpayers who will be served by the clinic, including the number of taxpayers in the area for whom English is a second language; (2) Existence of other low-income taxpayer clinics serving the same population; (3) Quality of the program offered by the clinic, including the qualifications of the clinic's administrators and representatives as well as the clinic's record in providing service to low-income taxpayers; (4) Alternative funding sources available to the clinic; and (5) Other factors deemed appropriate under this program.

## 21.020 COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS PROGRAM

(CDFI)

### FEDERAL AGENCY:

COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS FUND,  
DEPARTMENT OF TREASURY.

### AUTHORIZATION:

Public Law 103-325, 12 U.S.C. 4701 et. seq.

### OBJECTIVES:

Through Financial Assistance (FA) awards, the CDFI Fund invests in CDFIs that demonstrate that they have the financial and managerial capacity to: provide affordable and appropriate financial products and services that positively impact their communities; be viable financial institutions; and use and leverage CDFI Fund dollars effectively. Through Technical Assistance (TA) awards, the CDFI Fund provides grants to build the internal capacity of start-up and existing CDFIs by acquiring prescribed types of products or services including technology (usually efficiency enhancing technology such as computers and loan management software), staff training, consulting services to acquire needed skills or services (such as a market analysis or lending policies and procedures), or staff time to conduct discrete, capacity-building activities (such as website development).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Awards under this program are issued to provide financial and/or technical assistance that enhance the awardee's ability to make loans or development investments and to provide development services that will promote economic revitalization and community development. Each awardee is required to enter into an assistance agreement that requires the awardee to comply with performance goals and abide by other terms and conditions pertinent to assistance received under this program. No awards may be issued to Federal Government agencies, departments or instrumentalities. No awards may be issued to any State or local government or any agency or instrumentality thereof.

### Applicant Eligibility:

Private nonprofit institutions/organizations, other private institutions/organizations, profit organizations. Only Community Development Financial Institutions or entities that provide information necessary for the awarding agency to certify the applicant organization as a Community Development Financial Institution or is seeking to become a CDFI, are eligible to apply for this program.

### Beneficiary Eligibility:

Private nonprofit institutions/organizations, other private institutions/organizations, profit organizations. Awards to eligible applicants under this program provide financial and/or technical assistance in order to enhance their ability to make loans and development investments and provide development services that benefit a designated investment area(s), targeted population(s), or both.

### Credentials/Documentation:

An applicant shall provide information necessary to establish that it is, or will be, a Community Development Financial Institution.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

### Application Procedure:

Each applicant must complete a Community Development Financial Institutions application package which includes the submission of a Comprehensive Business Plan.

### Award Procedure:

Applications are reviewed and awardees are selected by the Community Development Financial Institutions Fund.

### Deadlines:

Annual notice of funds availability, published in the Federal Register, announces deadline dates for submission of applications. Deadline dates generally range from 30 to 90 days subsequent to the notice publication date.

### Range of Approval/Disapproval Time:

Generally, approximately 6 months from submission of application.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

All awards of financial assistance shall be matched by the recipient on a one dollar to one dollar basis using funds from sources other than the Federal government. Also matching funds must be at least comparable in form (e.g., equity investments, deposits, credit union shares, loans or grants).

### Length and Time Phasing of Assistance:

Generally, awards may be issued up to a 3 year maximum. Disbursement of funds may be provided in a lump sum or over the life of the award depending on

the terms and conditions established at time of award issuance.

### Reports:

The type and schedule of reports is specified in the Notice of Funding Availability and in the agreement governing the award.

### Audits:

See the Notice of Funding Availability.

### Records:

Award recipients are expected to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of OMB Circular No. A-110.

### Account Identification:

20-1881-0-1-451.

### Obligations:

(Grants) FY 07 \$27,386,573; FY 08 est \$55,250,000; and FY 09 est \$55,250,000.

### Range and Average of Financial Assistance:

(FY 2007 data) \$45,045 to \$960,000; \$396,906.

### PROGRAM ACCOMPLISHMENTS:

For FY 2007, 69 awards were made for the FA and TA CDFI program.

### REGULATIONS, GUIDELINES, AND LITERATURE:

12 CFR Part 1805, Notice of Funding Availability. Community Development Financial Institutions Program Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Program Office Contact: Ms. Ruth Jaure, Program Manager, Community Development Financial Institution Fund, 601 13th Street, NW., Suite 200 South, Washington, DC 20005. Telephone: (202) 622-9156, Fax: (202) 622-7754.

Awards Office Contact: Ms. Ayisa Crowe, Awards Manager, Community Development Financial Institution Fund, 601 13th Street, NW., Suite 200 South, Washington, DC 20005. Telephone: (202) 622-8691, Fax (202) 622-6453.

### Web Site Address:

<http://www.cdfifund.gov>.

### RELATED PROGRAMS:

21.021, Bank Enterprise Award Program.

### EXAMPLES OF FUNDED PROJECTS:

One award of \$1,500,000, along with required matching funds, was issued to retain and expand manufacturing companies and other businesses that employ low-income resident of a city empowerment zone. Another award, with matching funds, is providing funding so that loans can be originated to assist in working to restore or establish small business development and affordable housing opportunities in targeted population areas.

### CRITERIA FOR SELECTING PROPOSALS:

Evaluation factors include: (1) Financial strength and organizational capacity of applicant organization, (2) External resources or matching fund commitment/ability to obtain commitments, (3) Community Impact (The community need for award and activities to be executed), (4) Community Partnerships (Ability to carry out activities and work effectively), and (5) Other factors deemed appropriate under this program and published in the notice of funds availability.

## 21.021 BANK ENTERPRISE AWARD PROGRAM

(Bank Enterprise Award Program (BEA))

### FEDERAL AGENCY:

DEPARTMENT OF TREASURY, UNDER SECRETARY FOR DOMESTIC FINANCE, COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS FUND.

### AUTHORIZATION:

Public Law 103-325, 12 U.S.C. 1834a; 12 U.S.C. 4713.

### OBJECTIVES:

To encourage insured depository institutions to increase their level of community development activities in the form of loans, investments, services and technical assistance within distressed communities and to provide assistance to Community Development Financial Institutions through grants, equity investments, loans, deposits and other forms of financial and technical assistance. The program rewards participating insured depository institutions for increasing their activities in economically distressed communities and investing in community development financial institutions.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Under this program, awards are issued to selected applicants that: (1) Invest in or otherwise support Community Development Financial Institutions; (2) Increase lending and investment activities within Distressed Communities; and/or (3) Increase the provision of certain services and technical assistance within Distressed Communities. An award is based upon a percentage of the increase in qualifying activities that are carried out by the applicant between an established Baseline Period and Assessment Period. This information is announced in the annual notice of funds availability published in the Federal Register. No award



under this program will be issued if the applicant has: an application pending under the Community Development Financial Institutions (CDFI) Program, received assistance under the CDFI Program within the preceding 12-month period, or ever received assistance under the CDFI Program for the same activities for which it is seeking a Bank Enterprise Award. Only banks or savings associations the deposits of which are insured by the Federal Deposit Insurance Corporation may apply for an award under this program.

**Applicant Eligibility:**

Profit Organization and Other Private Institution/Organization in the form of insured depository institutions.

**Beneficiary Eligibility:**

Profit Organization and Other Private Institution/Organization in the form of an insured depository institutions.

**Credentials/Documentation:**

An applicant must provide Federal Deposit Insurance Corporation certificate number.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedure:**

Each applicant must complete a Bank Enterprise Award Application package.

**Award Procedure:**

Applications are reviewed and grant awardees are selected by the Community Development Financial Institutions Fund.

**Deadlines:**

The annual Notice of Funds Availability published in the Federal Register announces deadline dates for submission of applications for this program. Deadline dates generally range from 30 to 90 days subsequent to the notice publication.

**Range of Approval/Disapproval Time:**

Generally, 6 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are issued on a percentage basis for selected and approved activity increases under this program.

**Reports:**

The schedule of reports is arranged during the pre-award negotiation stage.

**Audits:**

Costs incurred for awards issued as part of this program are subject to audit in accordance with the award terms and conditions.

**Records:**

Award recipients must maintain records to substantiate all award costs incurred and to assure that all performance measures are met. Records will be retained in accordance with the provisions of 12 CFR Part 1806 and OMB Circular No. A-110.

**Account Identification:**

20-1881-0-1-451.

**Obligations:**

(Grants) FY 07 \$11,167,711; FY 08 est \$20,000,000; and FY 09 est \$20,000,000.

**Range and Average of Financial Assistance:**

\$6,000 to \$500,000; \$218,971.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, 51 awards were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1806, Revised Interim Rule, published in the February 4, 2003 issue of the Federal Register. Bank Enterprise Award Program Application Package.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Office Contact: Ms. Ruth Jaure, Program Manager, Community Development Financial Institutions Fund, 601 13th Street, N.W., Suite 200 South, Washington, DC, 20005. Telephone: (202) 622-9156, Fax: (202) 622-7754. Awards Office Contact: Ms. Ayisa Crowe, Awards Manager, Community Development Financial Institutions Fund, 601 13th Street, N.W., Suite 200 South, Washington, DC, 20005. Telephone: (202) 622-8691, Fax: (202) 622-6453.

**Web Site Address:**

www.cdfifund.gov.

**RELATED PROGRAMS:**

21.020, Community Development Financial Institutions Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Bank Enterprise Award recipients issued more than \$58 million in new loans to finance multi-family housing in distressed communities around the nation. In addition, recipients made available nearly \$83 million for new loans,

investments, financial services and technical assistance in economically distressed communities.

**CRITERIA FOR SELECTING PROPOSALS:**

Award recipients are selected based upon a priority ranking of qualified activities. Qualified activities include, in order of importance, the following: (1) Community Development Financial Institution Related Activities; and, (2) Development and Service Activities.

# APPALACHIAN REGIONAL COMMISSION

## 23.001 APPALACHIAN REGIONAL DEVELOPMENT (SEE INDIVIDUAL APPALACHIAN PROGRAMS)

(Appalachian Program)

### FEDERAL AGENCY:

APPALACHIAN REGIONAL COMMISSION

### AUTHORIZATION:

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704; Appalachian Regional Development Act Amendments of 2002, Public Law 107-149.

### OBJECTIVES:

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Appalachian funds enable the States and local areas to develop networks of facilities and services. Individual programs following this description illustrate the types of investments that can be made. In considering programs and projects to be given assistance under this Act, and in establishing a priority ranking of the requests for assistance presented to the Commission (ARC), the ARC follows procedures insuring consideration of the following factors: (1) The relationship of the project or class of projects to overall regional development and the reduction of economic distress; (2) the population and area to be served including the relative per capita income and the unemployment rates in the area; (3) the relative financial resources available to the State or political subdivision or instrumentalities thereof which seek to undertake the project; (4) the importance of the project or class of projects in relation to other activities which may compete for the same funds; (5) the prospects that the project for which assistance is sought will improve the opportunities for sustained employment, income growth, or socioeconomic development of the area; and (6) the degree and manner of private sector involvement. No financial assistance can be used to assist establishments relocating from one area to another. Each State is required to file a State Appalachian development plan, appraising prospects for development in its Appalachian area and relating to them a strategic program for which Appalachian funding is requested in that year. Once an application is submitted for the individual projects and given final approval, the grant is administered either by the basic Federal agency involved in that type of program or directly by the ARC. The counties (including any political subdivision located within such area) in which investment under the Appalachian Act (40 U.S.C. 14102) can be made are: in Alabama, the counties of Bibb, Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, DeKalb, Elmore, Etowah, Fayette, Franklin, Hale, Jackson, Jefferson, Lamar, Lauderdale, Lawrence, Limestone, Macon, Madison, Marion, Marshall, Morgan, Pickens, Randolph, Saint Clair, Shelby, Talladega, Tallapoosa, Tuscaloosa, Walker, and Winston; in Georgia, the counties of Banks, Barrow, Bartow, Carroll, Catoosa, Chattooga, Cherokee, Dade, Dawson, Douglas, Elbert, Fannin, Floyd, Forsyth, Franklin, Gilmer, Gordon, Gwinnet, Habersham, Hall, Haralson, Hart, Heard, Jackson, Lumpkin, Madison, Murray, Paulding, Pickens, Polk, Rabun, Stephens, Towns, Union, Walker, White, and Whitfield; in Kentucky, the counties of Adair, Bath, Bell, Boyd, Breathitt, Carter, Casey, Clark, Clay, Clinton, Cumberland, Edmonson, Elliott, Estill, Fleming, Floyd, Garrard, Green, Greenup, Harlan, Hart, Jackson, Johnson, Knott, Knox, Laurel, Lawrence, Lee, Leslie, Letcher, Lewis, Lincoln, McCreary, Madison, Magoffin, Martin, Menifee, Monroe, Montgomery, Morgan, Owsley, Perry, Pike, Powell, Pulaski, Rockcastle, Rowan, Russell, Wayne, Whitley, and Wolfe; in Maryland, the counties of Allegany, Garrett, and Washington; in Mississippi, the counties of Alcorn, Benton, Calhoun, Chickasaw, Choctaw, Clay, Itawamba, Kemper, Lee, Lowndes, Marshall, Montgomery, Monroe, Noxubee, Oktibbeha, Panola, Pontotoc, Prentiss, Tippah, Tishomingo, Union, Webster, Winston, and Yalobusha; in New York, the counties of Allegany, Broome, Cattaraugus, Chautauq, Chemung, Chenango, Cortland, Delaware, Otsego, Schoharie, Schuyler, Steuben, Tioga, and Tompkins; in North Carolina, the counties of Alexander, Alleghany, Ashe, Avery, Buncombe, Burke, Caldwell, Cherokee,

Clay, Davie, Forsyth, Graham, Haywood, Henderson, Jackson, McDowell, Macon, Madison, Mitchell, Polk, Rutherford, Stokes, Surry, Swain, Transylvania, Watauga, Wilkes, Yadkin, and Yancey; in Ohio, the counties of Adams, Athens, Belmont, Brown, Carroll, Clermont, Columbiana, Coshocton, Gallia, Guernsey, Harrison, Highland, Hocking, Holmes, Jackson, Jefferson, Lawrence, Meigs, Monroe, Morgan, Muskingum, Noble, Perry, Pike, Ross, Scioto, Tuscarawas, Vinton, and Washington; in Pennsylvania, the counties of Allegheny, Armstrong, Beaver, Bedford, Blair, Bradford, Butler, Cambria, Cameron, Carbon, Centre, Clarion, Clearfield, Clinton, Columbia, Crawford, Elk, Erie, Fayette, Forest, Fulton, Greene, Huntingdon, Indiana, Jefferson, Juniata, Lackawanna, Lawrence, Luzerne, Lycoming, McKean, Mercer, Mifflin, Monroe, Montour, Northumberland, Perry, Pike, Potter, Schuylkill, Snyder, Somerset, Sullivan, Susquehanna, Tioga, Union, Venango, Warren, Washington, Wayne, Westmoreland, and Wyoming; in South Carolina, the counties of Anderson, Cherokee, Greenville, Oconee, Pickens, and Spartanburg; in Tennessee, the counties of Anderson, Bledsoe, Blount, Bradley, Campbell, Cannon, Carter, Claiborne, Clay, Cocke, Coffee, Cumberland, De Kalb, Fentress, Franklin, Grainger, Greene, Grundy, Hamblen, Hamilton, Hancock, Hawkins, Jackson, Jefferson, Johnson, Knox, Loudon, McMinn, Macon, Marion, Meigs, Monroe, Morgan, Overton, Pickett, Polk, Putman, Rhea, Roane, Scott, Sequatchie, Sevier, Smith, Sullivan, Unicoi, Union, Van Buren, Warren, Washington, and White; in Virginia, the counties of Alleghany, Bath, Bland, Botetourt, Buchanan, Carroll, Craig, Dickenson, Floyd, Giles, Grayson, Highland, Lee, Montgomery, Pulaski, Rockbridge, Russell, Scott, Smyth, Tazewell, Washington, Wise, and Wythe; all the counties of West Virginia.

### Applicant Eligibility:

States, and through the States, public bodies and private nonprofit organizations.

All proposed projects must meet the requirements of the State Appalachian plan and the annual State strategy statement, both of which must be approved annually by the Commission.

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

(See individual Appalachian program descriptions.)

### Preapplication Coordination:

General Nature and Administration of Appalachian Regional Development Program. The Appalachian Regional Development program is a joint Federal-State partnership for the development of the Appalachian region. Responsibility for the development of plans and programs authorized under the Act is vested in the ARC, composed of the 13 State Governors (who may appoint alternates) and a Federal Co-Chairman. General policies and procedures, and the allocation of Appalachian funds among the various programs and States are established by the ARC. Application for assistance may only be made through a State member of the ARC. The State Alternate's Offices are the coordinators for the Governors for Appalachian investments. Preapplication conferences can determine within a few weeks if the project conforms to the State Appalachian Development Plan. The appropriate local development district director should be the first contact. The State Alternate's Offices will provide guidance on specific problems and technical assistance in the preparation of applications. (See individual Appalachian program descriptions.) This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications for individual projects must be submitted through and with the approval of the State Alternate to the Appalachian Regional Commission (listed in the appendix). (See individual Appalachian program description.)

### Award Procedure:

Upon receipt of project applications approved by the State, the Federal Co-Chairman determines that the project satisfies all requirements for assistance under the Act and approves the application. If a basic Federal agency will administer the project, it is then notified and will disburse funds when appropriate. The ARC notifies Congressional offices and the office of the Governor of grant awards. (See individual Appalachian program descriptions.)

### Deadlines:

(See individual Appalachian Program descriptions.)

### Range of Approval/Disapproval Time:

(See individual Appalachian program descriptions.)

### Appeals:

There are no appeal procedures as such, project review allows for full and free interchange with applicants.

### Renewals:

Generally renewals are not applicable except for administrative expenses, including technical services, of local development districts (23.009).

### Formula and Matching Requirements:

See individual Appalachian program descriptions. This program has maintenance of effort (MOE) requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

Not applicable except for operating assistance beyond start-up and the first year of operation.

**Reports:**

Reporting and performance monitoring as required by the basic Federal agency or ARC for those programs directly administered by the Commission. The Commission requires semi-annual reports of local development districts and technical assistance grants and annual reports on housing grants. (See individual Appalachian program descriptions.)

**Audits:**

Audits are required by the basic Federal agency and the Commission. In accordance with the provisions of OMB Circular No. A-133 (revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records generally are required by the basic Federal agency, but see local development districts (23.009).

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

FY 06 \$ not separately identifiable. FY 07 \$ not separately identifiable. FY 08 \$ estimate not available. (Obligations under individual ARC programs).

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

See individual Appalachian programs for output information.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution);  
"Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a Journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Inquiries and proposals for projects should be submitted to the Appalachian State office designated by the Governor. See address appendix. Address other inquiries to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, NW., Washington, DC 20009. Telephone: (202) 884-7700. Use the same number for FTS.

**Web Site Address:**

<http://www.arc.gov>.

**RELATED PROGRAMS:**

11.300, Investments for Public Works and Economic Development Facilities;  
11.307, Economic Adjustment Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.002 APPALACHIAN AREA DEVELOPMENT**

(Supplemental and Direct Grants)

**FEDERAL AGENCY:**

APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704; Appalachian Regional Development Act Amendments of 2002, Public Law 107-149.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grants may be used for providing supplemental funds under Federal grant-in-aid programs. To be eligible for special basic grants, projects must be of high priority in the State's Appalachian development plan and be either of critical importance to a phased investment and development program for a multicounty area, or of unusual economic benefit to such area. Refer to "General Provisions for Area Development Program" of the Appalachian Regional Commission Code for additional use restrictions.

**Applicant Eligibility:**

States, their subdivisions and instrumentalities and private nonprofit agencies.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Any finding, report, certification, or documentation required to be submitted to the head of the department, agency, or instrumentality of the Federal Government responsible for the administration of the basic Federal grant-in-aid program shall be accepted by the Federal Co-chairman with respect to a supplemental grant for any project under such program. Projects must conform to the ARC Code, the ARD Act, the State Appalachian Plan and annual State Strategy Statement. The Appalachian State Development Plan and the annual State Strategy Statement must be submitted by the Governors and approved by the Commission. Costs will be determined in accordance with OMB Circular applicable to the grantee.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for Appalachian investments. Preapplication conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development plan. The State Alternate's Office will provide guidance on specific problems and technical assistance in preparation of applications. An environmental impact statement may be required for this program, depending on the basic Federal grant-in-aid program being assisted. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application must be submitted and approved by the State member of the ARC. All proposed projects must conform to the State Strategy Statement submitted annually prior to the Fall Commission meeting. Guidelines and forms for funding Appalachian development projects are available from the local development district director and the State Alternate's Office. A letter of transmittal signed by the State member and an executed ARC Form 1 is required with the submission.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-Chairman determines that the project satisfies all Federal requirements. If a basic Federal agency will administer the project it is then notified and will disburse the grant funds when appropriate. The ARC notifies Congressional Offices and the Office of the Governor of grant awards.

**Deadlines:**

Proposed projects are submitted by the States and must be submitted according to deadlines set by each State.

**Range of Approval/Disapproval Time:**

From 30 to 60 days after the receipt of the application at the Commission.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Generally grants are limited to 50% of project costs. For projects in counties designated as economically distressed, this limit can be raised to 80%. For projects in counties designated as competitive (those that are approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms. If otherwise eligible for funding, projects involving construction assistance for housing under the Appalachian Regional Development Act (ARDA) (40 U.S.C. 14503) cannot exceed 10% of total project costs regardless of location. Health operations continuation projects under ARDA (40 U.S.C. 14502) are limited to 75% of project costs after the second year of operations, even in distressed counties. The ARC Code and "Appalachian Regional Commission Project Guidelines" furnish details.

**Length and Time Phasing of Assistance:**

Assistance is provided until completion; funds are transferred to the basic Federal agency and disbursed as appropriate. ARC reserves the right to withdraw grants for projects not under contract within 18 months of approval.

**Reports:**

Reporting and performance monitoring as required by the basic Federal agency or the Commission, as appropriate.

**Audits:**

Audits as required by the basic Federal agency and the Commission. In



accordance with the Single Audit Act Amendments of 1996, Public Law 104-156. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

FY 07 \$58,917,132; FY 08 est \$73,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1 to \$1,782,000; \$38,102.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 493 projects were approved. The States concentrated efforts on meeting a variety of pressing needs in the Region including projects for water and sewer systems, industrial parks, entrepreneurship, training, vocational education, leadership, export promotion, health care, child development, revolving loans, and business incubators, in conjunction with private sector commitments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a journal devoted to the special problems of regional development; Performance and Accountability Report, no charge.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20009. Telephone: (202) 884- 7700. Use the same number for FTS.

**Web Site Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

84.048, Career and Technical Education -- Basic Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

### 23.003 APPALACHIAN DEVELOPMENT HIGHWAY SYSTEM

(Appalachian Corridors)

**FEDERAL AGENCY:**

APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4, as amended, 40 U.S.C. 14501.

**OBJECTIVES:**

To provide a highway system which, in conjunction with other federally-aided highways, will open up areas with development potential within Appalachia where commerce and communication have been inhibited by lack of adequate access.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grants may be used for preliminary engineering, right-of-way, and construction of highways meeting the objectives stated above. Total highway construction may not exceed 3,090 miles for the 13-State system. The highways must be accepted and maintained as a Federal-aid highway. Refer to general use restrictions stated in the Appalachian Regional Development program (23.001).

**Applicant Eligibility:**

State governments only are eligible for development highways within their Appalachian portions.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Segments must be approved by the ARC and projects must be processed in

accordance with State Highway department and Federal Highway Administration procedures.

**Preapplication Coordination:**

An environmental impact statement is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The State highway department coordinates with the Federal Highway Administration, Department of Transportation (DOT), as in the case of federally aided highway construction. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The ARC has established a corridor system. The Appalachian State office designated by the State Member submits an application for construction within this system to the Commission for consideration. ARC must concur in detailed highway locations and construction centerlines. Upon such approval, State highway departments may submit plans to implement projects to the State-level office of Federal Highway Administration. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian Highway Plan, the Federal Co-chairman notifies FHWA of centerline approval after determining that the project satisfies all Federal requirements. The Department of Transportation is then notified, administers the grants and disburses the funds.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Usually within 60 days after the receipt of the application at the Commission.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funding for work on the Appalachian Development Highway System is allowed at 80%, wherever the project is located. The ARC Code and ARC Project Guidelines furnish details.

**Length and Time Phasing of Assistance:**

Assistance is provided as required.

**Reports:**

The Federal Highway Administration provides the ARC with periodic reports on the progress and status of projects. Each participating State makes fiscal year reports to the Commission of its allocations expected to be obligated during the fiscal year with the following information concerning each project to be funded: highway corridor segment description, project number, type of work, and estimated cost.

**Audits:**

The Federal Highway Administration, DOT, supervises audits for the Commission. In accordance with the provisions of OMB Circular No. A-133 (revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and time of record maintenance as required by the Federal Highway Administration, DOT.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

FY 07 \$423,820,097; FY 08 est \$470,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Ranges and averages vary with type of use. Allocations are within predetermined system of highways. Funding is provided from the Highway Trust Fund authorized in SAFETEA-LU.

**PROGRAM ACCOMPLISHMENTS:**

At the end of fiscal year 2007, 2,655 miles were fully completed or under construction and open to traffic. This represents 86 percent of the total mileage authorized for the system.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The ARC Code (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" a journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.)

Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Ave., NW., Washington, DC 20009.  
Telephone: (202) 884-7700. Use the same number for FTS.

**Web Site Address:**  
<http://www.arc.gov>

**RELATED PROGRAMS:**  
20.205, Highway Planning and Construction.

**EXAMPLES OF FUNDED PROJECTS:**  
See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:**  
See APPLICATION AND AWARD PROCESS.

### **23.009 APPALACHIAN LOCAL DEVELOPMENT DISTRICT ASSISTANCE**

(LDD)

**FEDERAL AGENCY:**  
APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:**  
Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended, 40 U.S.C. 14101-14704; Appalachian Regional Development Act Amendments of 2002, Public Law 107-149.

**OBJECTIVES:**  
To provide planning and development resources in multicounty areas; to help develop the technical competence essential to sound development assistance; and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:**  
Project Grants.

**USES AND USE RESTRICTIONS:**  
For administrative expenses, including technical services of certified local development districts; in addition to the uses and use restrictions detailed in the Appalachian Development Program (23.001), the local development district may use grant funds for the purchase of real estate and vehicles; and for space improvement and construction only with the express approval of ARC. Funds may be used only in the performance of grantees program and in accord with the budget, and amendments thereto, as approved by the Commission.

**Applicant Eligibility:**  
Multicounty organizations certified by the State.

**Beneficiary Eligibility:**  
Multicounty organizations.

**Credentials/Documentation:**  
Certificate by the Governor. State Appalachian Plan and Strategy Statement must describe the procedures for the participation of local development districts in the Appalachian development planning process. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**  
The State Alternate's Office is the coordinator for the Governor for Appalachian investments. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**  
Applications must be submitted and approved by the State Member of ARC. All proposed projects must meet the requirements of the State Appalachian Plan and Strategy Statement. Strategy statements are submitted to the Commission for approval annually prior to the Fall Commission meeting. A letter of transmittal signed by the State Member and Standard Form 424 are required.

**Award Procedure:**  
Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-chairman determines that the project satisfies all Federal requirements.

**Deadlines:**  
Those imposed by each State and the general requirement of the Commission.

**Range of Approval/Disapproval Time:**  
Usually within 45 days after the receipt of the application at the Commission.

**Appeals:**  
None.

**Renewals:**  
Renewals and amended applications follow the same procedures as the original application.

**Formula and Matching Requirements:**  
Administrative grants may be funded at 50%, wherever the local development district is located, except that a state may request that ARC participation be increased to as much as 75 percent for a local development district that includes a distressed county or counties within its service area. The ARC Code and ARC Project Guidelines furnish details.

**Length and Time Phasing of Assistance:**  
Assistance is provided annually for 12 months.

**Reports:**  
Annual progress and financial reports in a form and manner prescribed by the Commission.

**Audits:**  
The Commission, the Federal Co-chairman of the Commission, and the Comptroller General of the United States shall have access for the purpose of audit and examination. In accordance with the provisions of OMB Circular No. A-133 (revised, June 27, 2003), "Audit of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**  
The grantee shall keep records for not less than 3 years which fully disclose the purpose, amount and disposition of ARC funds and other contributions.

**Account Identification:**  
46-0200-0-1-452.

**Obligations:**  
FY 07 \$6,134,562; FY 08 est \$7,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**  
\$224 to \$189,200; \$28,944.

**PROGRAM ACCOMPLISHMENTS:**  
There were 72 planning districts aided in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
"The Appalachian Regional Commission Code" (limited distribution); "ARC Travel Regulations;" "ARC Section 302A Guidelines" and "Audit Guide for Grants Made Under Section 302(A)(1) of the Appalachian Regional Development Act of 1965, as amended", and applicable OMB Circulars.

**Regional or Local Office:**  
Refer to Appendix IV of the Catalog.

**Headquarters Office:**  
Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20009.  
Telephone: (202) 884-7700. Use the same number for FTS.

**Web Site Address:**  
<http://www.arc.gov>

**RELATED PROGRAMS:**  
11.303, Economic Development Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**  
See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:**  
See APPLICATION AND AWARD PROCESS.

### **23.011 APPALACHIAN RESEARCH, TECHNICAL ASSISTANCE, AND DEMONSTRATION PROJECTS**

(State Research)

**FEDERAL AGENCY:**  
APPALACHIAN REGIONAL COMMISSION

**AUTHORIZATION:**  
Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended; 40 U.S.C. 14101-14704; Appalachian Regional Development Act Amendments of 2002, Public Law 107-149.

**OBJECTIVES:**  
To expand the knowledge of the region to the fullest extent possible by means of research (including investigations, studies, technical assistance and demonstration projects) in order to assist the Commission in accomplishing the objectives of the Act, and implementation of the ARC strategic plan.

**TYPES OF ASSISTANCE:**  
Project Grants.

**USES AND USE RESTRICTIONS:**  
To research or demonstrate the feasibility of plans and programs for concerted economic and community development. Priority will be given to technical assistance related to job creation projects. Project activities can include investigations, research, studies, evaluations, and assessments of needs, potentials, or attainments of the people of the region, technical assistance, training programs, demonstrations and the construction of necessary facilities incident to such activities. All developments resulting from such research, and demonstration projects must be made freely available to the general public. Existing research by other agencies is to be utilized as much as possible. Research projects are also subject to the uses and use restrictions described under the Appalachian Regional Development program (23.001).

**Applicant Eligibility:**  
Qualified candidates with subject matter experience who respond to Commission issued requests for proposals that are advertised on the Appalachian Regional Commission website ([www.arc.gov](http://www.arc.gov)).

**Beneficiary Eligibility:**

States and local public bodies.

**Credentials/Documentation:**

Projects must conform to the Appalachian Regional Commission Strategic Plan. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The Appalachian Regional Commission reviews and prioritizes research and evaluation projects necessary to further the goals of the agency's strategic plan. The Executive Director approves individual projects. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Candidates with subject matter expertise can respond to publicly advertised requests for proposals. Requests for proposals are located on the ARC website: [www.arc.gov](http://www.arc.gov). The Commission, comprised of the Federal Co-Chair and the 13 State governors, review and prioritize research projects to be completed each year. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon determination that the approved project is eligible within a Commission approved Appalachian Strategic Plan, the Federal Co-chairman and Executive Director determines that the project satisfies all Federal requirements.

**Deadlines:**

None, except those imposed by each State and the general requirement of the Commission.

**Range of Approval/Disapproval Time:**

From 36 to 60 days after the receipt of the application at the Commission.

**Appeals:**

None.

**Renewals:**

Yes, processed in the same manner as the original application.

**Formula and Matching Requirements:**

A limited amount of discretionary authority is made available to the Commission under (40 U.S.C. 14321) of the Appalachian Regional Development Act. Annually the Commission allocates this authority to the Co-Chairmen's Committee and among the Appalachian States. The authority can be used to raise the statutory limits on ARC funding in projects implementing special regional initiatives approved by the Commission. It can also be used, with the approval of the Co-Chairmen's Committee, in cases of emergency economic distress. This discretionary authority, however, cannot be used to eliminate the funding restrictions on projects in competitive and attainment counties.

**Length and Time Phasing of Assistance:**

Usually 12 months. Assistance is provided as required.

**Reports:**

A member of the Commission staff is designated as project coordinator to maintain liaison with the contractor, and monitor and evaluate progress and performance under the contract.

**Audits:**

As required by the Commission, in accordance with the Single Audit Act Amendments of 1996, Public Law 104-156. In accordance with the provisions of OMB Circular No. A-133 (revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by the terms of the contract.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

FY 07 \$763,536; and FY 08 est \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$6 to \$239,706; \$13,234.

**PROGRAM ACCOMPLISHMENTS:**

The fiscal year 2006 program included initial or continued support of the following topics: Assessment of the National and State Energy Policy Trends; Appalachian Regional Energy Blueprint Research Brief; Non-Renewable Energy Innovation, Research to Support the Appalachian Energy Initiative; Assessment of Energy Efficiency and Renewable Energy in Appalachia: Policy and Potential; Economic Development Potential of Conventional and Potential Alternative Sources in Appalachian Counties; An Evaluation of the Outcomes of the ARC-Oak Ridge National Laboratory Summer Math/Science/Technology Institutes; Initial Design Study for Impact Assessment of Completing the ADHS; An Assessment of Economic Base of Distressed and Transitional Counties in the Appalachian Region; Assessment of Access to Capital and Credit in the Appalachian Region; An Examination of Regional Performance and Gaps in Lending, Bank Services and Development Finance; A Program Evaluation of ARC's Infrastructure and Public Works Projects; An Analysis of the College-going and Perseverance Rates in Appalachia; Continuity and Change in

Appalachia: An Analysis of Long Form Decennial Census Data for Trends in Family Income, Inequality, Earnings and Skill Levels, and Consumption Measures of Quality of Life; Assessment of Socioeconomic Correlates of Health Disparities in the Appalachian Region; Assessment of the Role of Highway Investments on Economic Growth in Appalachia, 1969-2000: Update and Extension of Twin County Growth Study.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); "Appalachia" a journal devoted to the special problems of regional development (no charge); Research Program Prospectus (limited distribution) Performance and Accountability Report.

**Regional or Local Office:**

Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog). Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Avenue, N.W., Washington, DC 20009. Telephone: (202) 884-7700. Use the same number for FTS.

**Web Site Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See USES AND USE RESTRICTIONS.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.



# OFFICE OF PERSONNEL MANAGEMENT

## 27.001 FEDERAL CIVIL SERVICE EMPLOYMENT

### FEDERAL AGENCY:

OFFICE OF PERSONNEL MANAGEMENT

### AUTHORIZATION:

Civil Service Reform Act of 1978, Public Law 95- 454; Reorganization Plan No. 2, 1978.

### OBJECTIVES:

To fill U.S. Government job vacancies with the best qualified applicants available.

### TYPES OF ASSISTANCE:

Federal Employment.

### USES AND USE RESTRICTIONS:

Positions with Federal agencies are filled without discrimination with regard to race, religion, sex, politics, age or any other nonmerit factor. In most cases, applicants qualify through a competitive examination. Requirements are set in relation to the duties to be performed. Veterans receive preference as provided by law.

### ELIGIBILITY REQUIREMENTS:

#### Applicant Eligibility:

Any United States citizen, age 18 or older, (in certain cases, citizens age 16 may apply. There are special programs to help place individuals with physical disabilities, mental retardation, those who have been mentally restored, and the disadvantaged.

#### Beneficiary Eligibility:

U.S. Citizens, age 18 (and, in certain cases, age 16) or older.

#### Credentials/Documentation:

Dependent upon prerequisite requirements for each position.

#### APPLICATION AND AWARD PROCESS:

#### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

Application forms are available as indicated in the specific vacancy announcement.

#### Award Procedure:

None.

#### Deadlines:

Provided in the specific vacancy announcement.

#### Range of Approval/Disapproval Time:

From 1 to 8 weeks.

#### Appeals:

An applicant may request reconsideration of his or her rating, whether eligible or ineligible, from the examining office that assigned the rating.

#### Renewals:

If a continuing list of applicants is maintained, eligible ratings may normally be extended, upon request, beyond the initial eligibility period.

#### ASSISTANCE CONSIDERATIONS:

#### Formula and Matching Requirements:

Not applicable.

#### Length and Time Phasing of Assistance:

Not applicable.

#### POST ASSISTANCE REQUIREMENTS:

#### Reports:

Not applicable.

#### Audits:

Not applicable.

#### Records:

Not applicable.

#### FINANCIAL INFORMATION:

#### Account Identification:

24-0100-0-1-805.

#### Obligations:

(Salaries and Expenses) Obligations devoted to administration, not spending identifiable.

#### Range and Average of Financial Assistance:

Not applicable.

#### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2001, a total of 10,211,636 inquiries were answered.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

Information about open examinations and Job Vacancy Announcements are available from sources listed below under "Headquarters Office."

#### INFORMATION CONTACTS:

#### Regional or Local Office:

None. Contacts made directly to personnel offices of Federal agencies of interest or through national job information sources listed below under "Headquarters Office."

#### Headquarters Office:

Federal employment information is available nationwide from the following sources: USA JOBS - OPM's Web site: [www.usajobs.opm.gov](http://www.usajobs.opm.gov); Federal Job Opportunities Board (FJOB): (912) 757- 3100; Touch Screen Computer Kiosks: Located in OPM offices and Federal buildings throughout the country. Job information is also available by telephone on the USA JOBS Telephone Listing System: Atlanta, GA, (404) 331-4315; Chicago, IL, (312) 353-6192; Dayton, OH, (937) 225-2720; Denver, CO, (303) 969-7050; Detroit, MI, (313) 226-6950; Honolulu, HI, (808) 541-2791; Huntsville, AL, (205) 837-0894; Kansas City, MO, (816) 426-5702; Norfolk, VA, (757) 441-3355; Philadelphia, PA, (215) 597-7440; Raleigh, NC, (919) 790-2822; San Antonio, TX, (210) 805-2402; San Francisco, CA, (415) 744-5627; Seattle, WA, (206) 553-0888; Twin Cities, MN, (612) 725-3430; Washington, DC, (202) 606-2700; Nationwide, (912) 757-3000; and TDD Service, (912) 744-2299.

#### Web Site Address:

<http://www.opm.gov>.

#### RELATED PROGRAMS:

17.207, Employment Service/Wagner-Peyser Funded Activities; 27.002, Federal Employment Assistance for Veterans; 27.003, Federal Student Temporary Employment Program; 27.005, Federal Employment for Individuals With Disabilities.

#### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

#### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 27.002 FEDERAL EMPLOYMENT ASSISTANCE FOR VETERANS

### FEDERAL AGENCY:

OFFICE OF PERSONNEL MANAGEMENT

### AUTHORIZATION:

Veterans Preference Act of 1944, Public Laws 78- 359, 93-508, 94-502, 95-520, 95-454, 97-72, 97-306, 98-543, 99-576, 101- 237, 102-16 and 102-568; Executive Order 11521, March 26, 1970.

### OBJECTIVES:

To provide assistance to veterans in obtaining Federal employment.

### TYPES OF ASSISTANCE:

Federal Employment.

### USES AND USE RESTRICTIONS:

Veterans may obtain employment information from the U.S. Office of Personnel Management (OPM) offices. (1) Disabled veterans and certain wives or husbands, widows or widowers, and mothers of veterans receive 10 points added to earned eligible ratings in Civil Service examinations. (2) Veterans separated from the armed forces under honorable conditions before October 15, 1976, receive 5 points. As of October 15, 1976, 5 point veterans' preference is awarded to veterans with campaign and expeditionary medals or who served on active duty during the period beginning August 2, 1990, and ending January 2, 1992. (3) Under the Veterans Readjustment Appointment (VRA) Program, excepted appointments of eligible Vietnam-era veterans and post-Vietnam-era veterans may be made by agencies to positions in the competitive service up to grade GS-11 in accordance with regulations issued by OPM. Veterans must meet minimum qualification requirements for the positions. Written tests, if required, may be waived for veterans readjustment appointees by an agency. Eligible veterans must have served more than 180 days active duty and have other than a dishonorable discharge from military service. (4) Under the special appointing authority for 30 percent or more disabled veterans, veterans with service-connected disability ratings of 30 percent or more may be appointed noncompetitively to any grade level in the competitive service. (5) OPM became responsible for planning, implementing and monitoring the Disabled Veterans Affirmative Action Program (DVAAP) in the Federal service on October 1, 1982. Agencies must have current DVAAP plans for the employment and advancement and retention of disabled veterans.

### ELIGIBILITY REQUIREMENTS:

#### Applicant Eligibility:

(1) Five-point preference is given to veterans separated under honorable conditions, and who served on active duty in the armed forces of the United States during certain periods of time or have a campaign or expeditionary medal. Ten-point preference is given to disabled veterans and certain wives or husbands, widows or widowers, and mothers of veterans. (2) Certain veterans who served in the armed forces after the period August 5, 1964, are eligible for a veterans readjustment appointment. (3) Public Law 94-502 authorizes Federal agencies to provide unpaid training or work experience, as a part of the

Department of Veterans Affairs vocational rehabilitation for a disabled veteran. Such training may be designed to provide noncompetitive appointment.

**Beneficiary Eligibility:**

Non-disabled veterans, disabled veterans and certain wives or husbands, widows, widowers, and mothers of veterans.

**Credentials/Documentation:**

For veterans preference, general proof of honorable separation such as discharge certificate or DD Form 214. In addition, for 10-point preference, a letter from the Department of Veterans Affairs or military department certifying existence of service-connected disability. When the 10-point preference is based on the award of a Purple Heart, official documentation of the award is sufficient.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By application forms available from Service Centers of the Office of Personnel Management and from Federal agency personnel offices. Veterans eligible for the noncompetitive appointment mentioned above should make personal contact with the Federal agency where they would like to be considered for employment.

**Award Procedure:**

None.

**Deadlines:**

Under Public Law 95-454, retired members of the armed forces will no longer be considered preference eligible as of October 1, 1980, unless they are disabled veterans or retired below the rank of Major or the equivalent. Under Public Law 97-306, enacted October 14, 1982, a 2-year minimum active duty service condition for those entering military service after September 7, 1980, or the full period for which called or ordered to active duty, must be met, unless they are disabled veterans.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:**

24-0100-0-1-805.

**Obligations:**

(Salaries and expenses) Obligations are devoted to administration, and are not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

As of September 30, 2001, 480,464 received assistance, veterans or 26.9 percent of the non-Postal Federal work force, excluding Army and Air Force National Guards. Disabled veterans totaled 81,131 or 16.9 percent of these veterans. There were 11,059 veterans' readjustment appointments in the Federal work force. Data are not yet available for fiscal year 2002.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Veteran Preference," EL-3 (8/95); "Special Appointing Authorities for Veterans," EL-4 (8/95); "Medical Disqualification of Preference Eligibles," EL-8 (8/95); "Job Opportunities for Persons with Disabilities", EL-11 (8/95) (for use by Disabled Veterans); Regulations: 5 CFR 211, 5 CFR 213, 5 CFR 307 and 5 CFR 720.

**INFORMATION CONTACTS:**

**Regional or Local Office:**

For further information contact the National Office shown below under the Headquarters Office listing.

**Headquarters Office:**

For information on Disabled Veterans Affirmative Action Programs, contact: Office of Diversity, Employment Service, U.S. Office of Personnel Management, 1900 E Street, NW., Room 2445, Washington, DC 20415. Telephone: (202) 606-1059. Contact: Armando Rodriguez. For information on Veterans'

Preference and Special Hiring Authorities for Veterans, contact: Office of Staffing Reinvention, Employment Service, U.S. Office of Personnel Management, Room 6500, 1900 E Street, NW., Washington, DC 20415. Telephone: (202) 606-0830. Contact: Pat Paige.

**Web Site Address:**

http://www.opm.gov.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 17.803, Uniformed Services Employment and Reemployment Rights; 27.001, Federal Civil Service Employment; 27.005, Federal Employment for Individuals With Disabilities; 64.115, Veterans Information and Assistance; 64.116, Vocational Rehabilitation for Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**27.003 FEDERAL STUDENT TEMPORARY EMPLOYMENT PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:**

5 U.S.C. 1101.

**OBJECTIVES:**

To give students an opportunity for part-time temporary employment with Federal agencies in order to allow them to continue their education without interruptions caused by financial pressures.

**TYPES OF ASSISTANCE:**

Federal Employment.

**USES AND USE RESTRICTIONS:**

Students enrolled at least half-time at accredited secondary, vocational, or technical schools, or at institutions of higher learning through the graduate level, are permitted to work during the school year while attending school and while on official school breaks. Appointments not-to exceed year may be made at any time during the course of the year.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:**

Students: Must be accepted for, or enrolled in, an accredited secondary, vocational, or technical school or institution of higher learning.

**Beneficiary Eligibility:**

Students.

**Credentials/Documentation:**

None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Students submit application for employment and proof of school enrollment directly to employing Federal agencies.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:**

Funded by accounts of numerous participating Federal agencies.

**Obligations:**

Program policy is coordinated by OPM, but carried out by numerous Federal agencies. Obligations are devoted to administration and are not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2001, approximately 32,000 youths participated in the program. It is projected that the program will experience increases in fiscal year 2001 due to Federal budget reductions and rightsizing activities affecting permanent full-time positions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

5 CFR 213.3202(a).

**INFORMATION CONTACTS:**

**Regional or Local Office:**

Information is available directly from the personnel offices of Federal agencies of interest.

**Headquarters Office:**

For Policy issues only--Staffing Reinvention Office, Employment Service Office of Personnel Management, 1900 E Street, NW., Washington, DC 20415.

Telephone: (202) 606-0830. Contact: Mike Mahoney.

**Web Site Address:**

<http://www.opm.gov>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 27.001, Federal Civil Service Employment.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 27.005 FEDERAL EMPLOYMENT FOR INDIVIDUALS WITH DISABILITIES

(Selective Placement Program)

**FEDERAL AGENCY:**

OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:**

Rehabilitation Act of 1973, Public Law 93-112, as amended; Public Laws 93-508, 93-516, 95-454, 95-602, 96-923, and 102-16.

**OBJECTIVES:**

To encourage Federal agencies to provide assistance to persons with disabilities, including disabled veterans, in obtaining and retaining Federal employment, with or without reasonable accommodations including readers, interpreters, and other personal assistants.

**TYPES OF ASSISTANCE:**

Federal Employment.

**USES AND USE RESTRICTIONS:**

The Federal government provides employment opportunities to persons with physical, cognitive, or mental disabilities in positions for which they qualify. The Selective Placement Program is concerned with providing avenues for agencies to develop methodologies related to recruitment referral, placement, advancement, and the retention of Federal employees with disabilities. The program has strong relationships with State vocational rehabilitation agencies, Department of Veterans Affairs facilities, and other public and private agencies concerned with rehabilitation and placement of persons with disabilities.

**Applicant Eligibility:**

Persons who qualify under the definition of being "disabled" under title 29, Rehabilitation Act of 1973, as amended. The coverage applies to applicants and Federal employees with disabilities.

**Beneficiary Eligibility:**

Persons with physical, cognitive, or mental disabilities.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Persons with disabilities, disabled veterans, or vocational rehabilitation counselors working on their behalf, should contact the Selective Placement Coordinator in Federal agencies where they want to work for more information and eligibility requirements.

**Award Procedure:**

None.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

24-0100-0-1-805.

**Obligations:**

(Salaries and Expenses) Not separately identifiable. Policy guidance and program coordination are provided by OPM, but carried out by individual Federal agencies. Summary obligation data are not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

As of September 2001, there were 127,076 Federal employees with targeted and non-targeted disabilities in non- postal Federal Executive Branch agencies. In fiscal year 2002, there were 11,847 full time permanent (FTP) hires of persons with disabilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

5 CFR 213.

**Regional or Local Office:**

Information may be obtained from the Personnel Office in Federal agencies of interest.

**Headquarters Office:**

Diversity Office, Employment Service, Office of Personnel Management, 1900 E Street, NW., Room 2445, Washington, DC 20415. Telephone: (202) 606-1059. Contact: Armando E. Rodriguez, Director.

**Web Site Address:**

<http://www.opm.gov>.

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities; 27.001, Federal Civil Service Employment; 27.002, Federal Employment Assistance for Veterans; 53.001, Employment Promotion of People with Disabilities; 84.128, Rehabilitation Services Service Projects; 93.613, President's Committee for People with Intellectual Disabilities (PCPID).

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 27.006 FEDERAL SUMMER EMPLOYMENT

(Summer Jobs in Federal Agencies)

**FEDERAL AGENCY:**

OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:**

Civil Service Reform Act of 1978, Public Law 95- 454.

**OBJECTIVES:**

To provide summer employment primarily for college students and high school students.

**TYPES OF ASSISTANCE:**

Federal Employment.

**USES AND USE RESTRICTIONS:**

Most Federal agencies employ individuals during summer vacation periods. The jobs may be clerical, crafts and trades, administrative or subprofessional related to career interests. Employees are paid at the regular Federal pay rate for the position.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:**

Any U.S. citizen may apply. The minimum age requirement is 16 years at time of appointment. Summer jobs are filled through agency staffing plans.

**Beneficiary Eligibility:**

U.S. Citizens, 16 years old at time of appointment.

**Credentials/Documentation:**

Not applicable.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and instructions are available at individual Federal agency personnel offices.

**Award Procedure:**



None.

**Deadlines:**

Applicants apply directly to agencies. Deadlines vary by agency and job location.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:**

Funded by accounts of numerous participating Federal agencies.

**Obligations:**

Program is coordinated by OPM, but is carried out by numerous Federal agencies. Obligations devoted to administration are not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Data are not yet available for fiscal years 2001 and 2002.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about open examinations and/or Job Vacancy Announcements are available from sources listed below under "Headquarters Office."

**INFORMATION CONTACTS:**

**Regional or Local Office:**

Information may be obtained from Federal agency personnel offices or through the National Job Information sources listed in paragraph #152 below.

**Headquarters Office:**

Federal employment information is available nationwide from the following sources: USAJOBS - OPM's Web site: [www.usajobs.opm.gov](http://www.usajobs.opm.gov); Federal Job Opportunities Board (FJOB): Telephone: (912) 757-3100; Touch Screen Computer Kiosks: Located in OPM offices and Federal buildings throughout the country. USAJOBS by Telephone Listing System: Atlanta, GA, (404) 331-4315; Chicago, IL, (312) 353-6192; Dayton, OH, (937) 225-2720; Denver, CO, (303) 969-7050; Detroit, MI, (313) 226-6950; Honolulu, HI, (808) 541-2791; Huntsville, AL, (205) 837-0894; Kansas City, MO, (816) 426-5702; Norfolk, VA, (757) 441-3355; Philadelphia, PA, (215) 597-7440; Raleigh, NC, (919) 790-2822; San Antonio, TX, (210) 805-2402; San Francisco, CA, (415) 744-5627; Seattle, WA, (206) 553-0888; Twin Cities, MN, (612) 725-3430; Washington, DC, (202) 606-2700; Nationwide, (912) 757-3000; and TDD Service, (912) 744-2299.

**Web Site Address:**

<http://www.opm.gov>.

**RELATED PROGRAMS:**

27.001, Federal Civil Service Employment; 27.003, Federal Student Temporary Employment Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**27.011 INTERGOVERNMENTAL PERSONNEL ACT (IPA) MOBILITY PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:**

Intergovernmental Personnel Act of 1970, as amended, Public Law 91-648, 5 U.S.C. 3371-3376; Indian Self-Determination and Education Assistance Act, Section 105, Public Law 93-638, 25 U.S.C. 450; Executive Order 11589, April 1, 1971.

**OBJECTIVES:**

To facilitate Federal-State-local cooperation and to aid in solving problems and delivering improved services at all government levels through the sharing of professional, administrative, and technical expertise.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Permits the temporary assignment of personnel back and forth between Federal agencies, State and local governments, Indian tribes or tribal organizations, institutions of higher education and other eligible organizations. Assignments are for specific work beneficial to both the State, local government, Indian tribe, or other eligible organizations and the Federal agency concerned. An assignment agreement may not exceed 2 years but can be extended for 2 additional years. Cost sharing is negotiable. The employee, after receiving full information about the proposed assignment and his benefits under the various options, must also agree to the assignment before the agreement can be implemented. An employee of a Federal agency must serve in the Civil Service upon the completion of his or her assignment for a period equal to that of the assignment. Should the Federal employee fail to fulfill this requirement (except for good and sufficient reason as determined by the head of the Federal agency from which assigned), the Federal employee shall be liable to the United States for all expenses (excluding salary and benefits) of the assignment.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:**

Federal agencies, State, local and Indian tribal governments, and institutions of higher education are generally eligible. Other organizations, which includes: (1) A national, regional, Statewide, areawide, or metropolitan organization representing member State or local governments; (2) an association of State or local public officials; or (3) a nonprofit organization which has as one of its principal functions the offering of professional advisory, research, educational, or development services, or related services to governments or universities concerned with public management, must have their eligibility certified by the Office of Personnel Management before they will be eligible to enter into an assignment agreement with a Federal agency.

**Beneficiary Eligibility:**

Federal agencies, State, local and Indian tribal governments, and institutions of higher education are generally eligible. Other organizations, which includes: (1) A national, regional, Statewide, areawide, or metropolitan organization representing member State or local governments; (2) an association of State or local public officials; or (3) a nonprofit organization which has as one of its principal functions the offering of professional advisory, research, educational, or development services, or related services to governments or universities concerned with public management.

**Credentials/Documentation:**

Intergovernmental assignments will be undertaken on the basis of a joint agreement between a State or local government, Indian tribe or tribal organization or institution of higher learning, or other eligible organization, the Federal agency and the employee. Each assignment will be implemented by a written agreement between the Federal agency, the State or local government, Indian tribe or tribal organization, educational institution, or other eligible organization and the employee to be assigned, to assure full understanding of the rights, responsibilities, conditions, and duration of the assignment.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

The nature and conditions of the assignment, including fiscal obligations and employee benefits, are subject to agreement between the participating organizations and the employee, within the provisions of the IPA. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A proposal for assignment may be initiated either by the State or local government, institution of higher education, Indian tribe or other eligible organization which must then obtain the agreement of the Federal agency; alternatively the request may be originated by the Federal agency which must then obtain the agreement of the State or local jurisdiction, or Indian tribe, institution of higher education, or other eligible organization.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Assignments may be extended for up to an additional 2 years when the need and value of the extension can be agreed upon by the three parties involved.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Original assignments not to exceed 2 years, with extensions for an additional 2

years. Assignments cannot exceed 48 months.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:**

24-0100-0-1-805.

**Obligations:**

Program oversight is provided by OPM. Federal agencies develop the Intergovernmental Personnel Act agreement. Obligations are devoted to administration and are not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

There are approximately 1,400 mobility assignments each fiscal year. All States, Puerto Rico, the Virgin Islands, American Samoa, Guam, the Northern Mariana Islands, the District of Columbia, 519 local governments, 512 universities, 106 Indian tribal governments, and 161 other organizations have had mobility assignments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information may be obtained from the offices listed under Information Contacts section of the program.

**INFORMATION CONTACTS:**

**Regional or Local Office:**

Contact the nearest Office of Personnel Management Service Center listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Merit Systems Oversight and Effectiveness Office of Personnel Management, 1900 E Street, NW., Room 7463, Washington, DC 20415-001. Telephone: (202) 606-1181. Contact: Tony Ryan.

**Web Site Address:**

<http://www.opm.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**27.013 PRESIDENTIAL MANAGEMENT INTERN PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF PERSONNEL MANAGEMENT

**AUTHORIZATION:**

Executive Order 12008, August 25, 1977; Executive Order 12364, May 24, 1982; Executive Order 12645, July 12, 1988.

**OBJECTIVES:**

To attract to the Federal service graduate students of exceptional potential who are receiving advanced degrees in a variety of academic disciplines and who have a clear interest in and a commitment to a career in the analysis and management of Public Policies and Programs.

**TYPES OF ASSISTANCE:**

Federal Employment; Training; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Interns employed by Federal agencies can rotate to other branches of the Federal Government and/or to State and local governments for temporary assignments during their 2-year internships. Internships can be extended for a third year, however, this is the exception rather than the rule.

**Applicant Eligibility:**

State and local governments and organizations eligible to participate in the IPA mobility program are eligible to host Presidential Management interns on rotational assignments.

**Beneficiary Eligibility:**

State and local governments and organizations.

**Credentials/Documentation:**

Written agreement with the employing Federal Department or agency to hire or host an intern.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter to intern's Federal agency outlining duties and responsibilities and eligibility requirements of interns for rotational assignments.

**Award Procedure:**

Rotational work assignments must be negotiated between the participating government and the Federal agency.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Rotational assignments generally do not exceed 4 months in length but may be negotiated.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Mobility assignment agreement forms are required for all temporary intergovernmental assignments.

**Account Identification:**

24-4571-0-4-805.

**Obligations:**

(Salaries and Expenses) Not separately identifiable. OPM accepts reimbursement from participating agencies through a revolving fund for certain program costs. Employing agencies pay salaries, benefits and other program costs directly.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Each year Presidential Management Intern nominations are submitted by Deans of graduate level programs to the Office of Personnel Management (OPM). The nomination deadline is in October and finalists are notified in March. Interns are eligible for conversion to the competitive service after the 2-year internship. Interns are currently working for more than 54 departments and agencies. In fiscal year 2001, approximately 350 PMI's were hired (out of maximum of 400) by Federal agencies. More than 1,500 applications were received.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PMI Program Information and Application Package; further information may be obtained from the offices listed under Information Contacts section of the program.

**Regional or Local Office:**

Students may obtain information from their college career guidance office, via telephone by contacting the Career America Connection at (912) 757-3000 or via internet at [WWW.opm.gov](http://WWW.opm.gov), under Presidential Manager Intern Program.

**Headquarters Office:**

U.S. Office of Personnel Management, Philadelphia Service Center, Presidential Management Intern Program, Federal Building, 600 Arch Street, Philadelphia, PA 19106. Telephone: (215) 597-7136 or (215) 597-1920.

**Web Site Address:**

<http://www.opm.gov>.

**RELATED PROGRAMS:**

27.011, Intergovernmental Personnel Act (IPA) Mobility Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

# COMMISSION ON CIVIL RIGHTS

## 29.001 CLEARINGHOUSE SERVICES, CIVIL RIGHTS DISCRIMINATION COMPLAINTS

### FEDERAL AGENCY:

COMMISSION ON CIVIL RIGHTS

### AUTHORIZATION:

Civil Rights Commission Reauthorization Act of 1991, Public Law 102-167, 42 U.S.C. 1975 et seq.

### OBJECTIVES:

- (1) To serve as a national clearinghouse for information to the public in respect to discrimination or denials of equal protection of the Laws because of race, color, religion, sex, age, disability or national origin; to hold public hearings and collect and study information on discrimination or denials of equal protection;
- (2) To receive and refer complaints alleging denial of civil rights because of the aforementioned factors; to receive, investigate, and refer complaints alleging denial of voting rights.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

- (1) The Commission on Civil Rights (CCR) conducts research and uses publications, liaison with private and public groups, the media, and a variety of other techniques to provide civil rights information to the above groups and to those who have responsibilities to comply with Federal civil rights laws and policies, those who implement these laws and policies, and the general public; and (2) the CCR receives and refers complaints alleging denial of equal protection of the laws to the appropriate Federal agencies.

### Applicant Eligibility:

Anyone can seek information; no criteria must be satisfied.

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

Complaint should contain a clear statement of the facts on which it is based.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Direct request to the Commission.

### Award Procedure:

Not applicable.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

95-1900-0-1-751.

### Obligations:

(Salaries and Expenses) FY 07 \$8,740,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2001, the Commission processed approximately 6,000 complaints and completed 8 publications. In both fiscal years 2002 and 2003, the Commission estimates the processing of approximately 10,000 complaints, and completion of 12 publications.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Catalog of Publications of Commission on Civil Rights, no charge. Commission on Civil Rights Brochure, no charge. All publications of the Commission are available from the Publications Office, Commission on Civil Rights, Washington, DC 20425.

### Regional or Local Office:

Western Regional Office: Philip Montez, 3660 Wilshire Boulevard, Suite 810, Los Angeles, CA 90010. Telephone: (213) 894-3437, TDD (213) 894-3435.  
Eastern Regional Office: Ki-Taek Chun, 624 Ninth Street, NW., Suite 500, Washington, DC 20425. Telephone: (202) 376-7533, TDD (202) 376-8116.

Central Regional Office: Melvin Jenkins, Gateway Tower II, 400 State Avenue, Suite 908, Kansas City, Kansas 66101-2406. Telephone: (913) 551-1400, TDD (913) 551-1414. Rocky Mountain Regional Office: John F. Dulles III, 1700 Broadway, Suite 710, Denver, CO 80290. Telephone: (303) 866-1040, TDD (303) 866-1049. Southern Regional Office: Bobby Doctor, 61 Forsyth Street, SW. Suite 1840T, Atlanta, GA, 30303. Telephone: (404) 562-7000, TDD (404) 562-7004. Midwestern Regional Office: Constance Davis, 55 West Monroe Street, Suite 410, Chicago, IL 60603. Telephone: (312) 353-8311, TDD (312) 353-8362.

### Headquarters Office:

Commission on Civil Rights, 624 Ninth Street NW., Washington, DC 20425. Telephone: (202) 376-8177. TDD (202) 376-8116. Complaints: (202) 376-8582 or Toll Free 1-800-552-6843 or Regional Office listed above.

### Web Site Address:

<http://www.opm.gov>.

### RELATED PROGRAMS:

14.400, Equal Opportunity in Housing; 16.100, Desegregation of Public Education; 16.101, Equal Employment Opportunity; 16.103, Fair Housing and Equal Credit Opportunity; 16.104, Protection of Voting Rights; 16.105, Civil Rights of Institutionalized Persons; 16.200, Community Relations Service; 17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards; 17.700, Women's Bureau; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 93.001, Civil Rights and Privacy Rule Compliance Activities.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.



# EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

## 30.001 EMPLOYMENT DISCRIMINATION-TITLE VII OF THE CIVIL RIGHTS ACT OF 1964

### FEDERAL AGENCY:

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

### AUTHORIZATION:

Civil Rights Act of 1964, Title VII, as amended, Public Laws 88-352 and 92-261, 42 U.S.C. 2000e; Civil Rights Act of 1991, Public Law 102-166.

### OBJECTIVES:

To provide for education, technical assistance and enforcement of the Federal prohibition against employment discrimination in the private and public sector based on race, color, religion, sex and national origin.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling; Investigation of Complaints.

### USES AND USE RESTRICTIONS:

Individuals are protected from discrimination on the basis of race, color, religion, sex and national origin by employers with 15 or more employees, by Federal, state, and local governments, by employment agencies, and by labor organizations. Charges of discriminatory employment practices by or on behalf of an individual or group of individuals claiming to be aggrieved are received. Mediation of the dispute may be offered. If mediation is not used or is not successful, investigations ensue. If reasonable cause is not found, the Commission issues a right to sue letter. If reasonable cause is found, the charge is conciliated. If conciliation proves to be unsuccessful and the employer is not a State or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter. If conciliation fails on a charge against a State or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter.

### Applicant Eligibility:

Any aggrieved individual, or any individual, labor union, association, legal representative, or organization filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title VII, as amended, has been committed by an employer with 15 or more employees, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining. Prohibits employment discrimination on the bases of race, color, national origin, religion and sex.

### Beneficiary Eligibility:

Applicants, current employees, and former employees of the named respondent(s) in a charge who have been subjected to unlawful employment practices.

### Credentials/Documentation:

An allegation of unlawful employment practice(s) may be made in person or by mail. An allegation must be in writing, signed, and notarized (only when necessary to meet State and local requirements) or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate field office of the EEOC.

### Award Procedure:

A charge is sufficient when the Commission receives from the person making the charge a written statement sufficiently precise to identify the parties and to describe generally the action or practices complained of.

### Deadlines:

Individuals with complaints or desiring to bring their own suit under Title VII must file a charge of discrimination alleging discrimination with the EEOC within 180 days of the alleged unlawful practice (or within 300 days if there is a State or local agency with its own discrimination law and authority to grant relief). When EEOC completes its investigation without obtaining relief for persons covered by a charge, covered persons will be given written notice of their right to sue. Persons can also request a notice of right to sue before EEOC finishes its investigation after the charge has been on file 180 days. When a right to sue is issued on request, EEOC usually stops investigating. Suit must be brought within 90 days of receipt of the notice of right to sue.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

45-0100-0-1-751.

### Obligations:

(Salaries and expenses) Note: Includes obligations for programs 30.008 and 30.010. FY 07 \$331,228,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2005, received 45,846 charges to process and resolved 46,885 which monetarily benefited 11,548 persons in the sum of \$145,976,264. In fiscal year 2005 for all statutes which EEOC has legislative responsibility to enforce, EEOC filed 417 suits and resolved 370 suits with a benefit sum of \$107,730,067 in monetary relief which benefited more than thousands of victims of employment discrimination. The filed and resolved suits included direct, intervention, administrative settlement enforcement and preliminary relief. In fiscal year 2005, filed 31 appellate briefs, including 27 as amicus curiae filed in the courts of appeal and Supreme Court. In fiscal year 2005, EEOC filed 297 lawsuits on the merits raising Title VII issues either as a sole statute or concurrent with other statutes and resolved 242 merit suits with a direct monetary benefit of \$101,311,816. Projected data are unavailable for fiscal year 2006. (Litigation and systemic data are for programs 30.001, 30.008, 30.010 and 30.011 combined.)

### REGULATIONS, GUIDELINES, AND LITERATURE:

Publications are furnished free in limited quantities. Procedural Regulations and Guidelines, 29 CFR Part 1601; Guidelines on Discrimination because Of Sex, 29 CFR Part 1604; Guidelines on Discrimination because of Religion, 29 CFR Part 1605; Guidelines on Discrimination because of National Origin, 29 CFR Part 1606. Enforcement Guidance: Vicarious Employer Liability for Unlawful Harassment by Supervisors; Enforcement Guidance: Compensatory and Punitive Damages Available under Section 102 of the Civil Rights Act of 1991; Enforcement Guidance: Application of EEO Laws to Contingent Workers Placed by Temporary Employment Agencies and Other Staffing Firms; Enforcement Guidance: Vicarious Employer Liability for Unlawful Harassment by Supervisors; Compliance Manual Section: "Retaliation;" Compliance Manual Section: "Compensation Discrimination;" Compliance Manual Section: "Threshold Issues;" Compliance Manual Section: "Employee Benefits" as revised, August 20, 2001; Compliance Manual Section: "National Origin Discrimination;" Questions and Answers: Definition of Job Applicant for Internet and Related Electronic Technologies; Questions and Answers about workplace Rights of Muslims, Arabs, South Asians and Sikhs under EEO Laws; Questions and Answers about employer Responsibilities concerning the employment of Muslims, Arabs, South Asians, and Sikhs. Commission Decision on Coverage of Contraception. Fact Sheets: National Origin Discrimination; Religious Discrimination; Race/Color Discrimination; Sexual Harassment Discrimination; Employment Discrimination based on Religion, Ethnicity, or country of Origin. Contact: Publications Distribution Center.(1-800) 669-3362 (Voice) or (1-800) 800-3302 (TTY). EEOC Web Site: <http://www.eeoc.gov>; EEOC, 1801 L Street, N.W., Washington, DC 20507.

### Regional or Local Office:

Any EEOC office listed in Appendix IV of the Catalog.

### Headquarters Office:

Contact: Communications Staff, Office of Communications and Legislative Affairs, Equal Employment Opportunity Commission, 1801 L Street, N.W., Washington, DC 20507. Telephone: (202) 663-4900 (Voice) or (202) 663-4494 (TTY).

### Web Site Address:

<http://www.eeoc.gov>.

### RELATED PROGRAMS:

16.101, Equal Employment Opportunity; 16.200, Community Relations Service; 17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards; 17.700, Women's Bureau; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.008, Employment Discrimination Age Discrimination in Employment; 30.010, Employment Discrimination Equal Pay Act ; 30.011, Employment Discrimination Title I of The Americans with Disabilities Act; 93.001, Civil Rights and Privacy Rule

Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**30.002 EMPLOYMENT DISCRIMINATION-STATE AND LOCAL FAIR EMPLOYMENT PRACTICES AGENCY CONTRACTS**

**FEDERAL AGENCY:**

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VII, as amended, Public Laws 88-352 and 92-261, 42 U.S.C. 2000e; Age Discrimination in Employment Act of 1967, Public Law 90-202, as amended; Public Law 93-259, 88 Stat. 75; Public Law 95-256, 92 Stat. 189; Public Law 99-592, 100 Stat. 3342, Public Law 101-433, 104 Stat. 978; Reorganization Plan No. 1, 1978, 29 U.S.C. 621 et seq; Civil Rights Act of 1991, Public Law 102-166; Americans with Disabilities Act, Public Law 101-336.

**OBJECTIVES:**

To assist EEOC in the enforcement of Title VII of the Civil Rights Act of 1964, as amended, the Age Discrimination in Employment Act of 1967 and the Americans with Disabilities Act of 1990 by investigating and resolving charges of employment discrimination based on race, color, religion, sex, national origin, age, and/or disability.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Contracts are made with official State and local Fair Employment Practices Agencies based on the resolution of individual charges of employment discrimination filed concurrently with those agencies and the EEOC and for the identification, investigation, conciliation and elimination of unlawful employment practices.

**Applicant Eligibility:**

Official State and local government agencies charged with the administration and enforcement of State and/or local fair employment practices law, where there exists an appropriate law (State or local) authorizing the agency to grant or seek relief from unlawful employment practices. Eligible applicants must be designated by EEOC as Fair Employment Practices Agencies. Local agencies requesting a contract for the first time are subject to additional considerations.

**Beneficiary Eligibility:**

Employees, potential employees and former employees covered by Title VII of the Civil Rights Act of 1964 as amended, the Age Discrimination in Employment Act of 1967, and/or the Americans with Disabilities Act of 1990.

**Credentials/Documentation:**

Funding must be determined by negotiation with the applicant and approval by the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

EEOC District Director will provide guidance. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Application must be made to the EEOC District Office which will review it and make a recommendation to the Office of Field Programs, EEOC Headquarters. This program is excluded from coverage under OMB Circular Numbers A-102 and A-110.

**Award Procedure:**

Recommendation made to EEOC Commissioners. Decision made by final vote of the EEOC Commissioners.

**Deadlines:**

Contact Office of Field Programs, EEOC Headquarters for deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Not applicable.

**Renewals:**

By negotiation and vote of the Commission.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Cycles of one year to three years. Paid by a combination of advance vouchers and for actual services.

**Reports:**

Periodic program reports as required by contract.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that

year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As required by the contract.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Contracts) FY 07 est \$28,000,000; and FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$6,500 to \$2,354,000.

**PROGRAM ACCOMPLISHMENTS:**

Ninety-six agencies are projected to receive contracts to resolve more than 47,000 discrimination charges in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Request for Application and Proposals for EEOC Funding of Programs Under Title VII, Section 709(b), Public Law 88-352.

**Regional or Local Office:**

EEOC District office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Contact Michael J. Dougherty, Director, State and Local Programs, Office of Field Programs, Equal Employment Opportunity Commission, 1801 L Street NW., Room 8030, Washington, DC 20507. Telephone: (202) 663-4801.

**Web Site Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.008, Employment Discrimination Age Discrimination in Employment; 30.009, Employment Discrimination Project Contracts Indian Tribes; 30.011, Employment Discrimination Title I of The Americans with Disabilities Act; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Charge resolution contracts are funded for the receipt and resolution of individual charges of employment discrimination.

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for charge resolution contracts are submitted by designated official State and local government agencies to EEOC District offices in their geographic area. EEOC District Offices then submit recommendations based on information provided by the agencies, as well as past performance, if applicable, to EEOC Headquarters. Selection is based on meeting the provisions of current Contracting Principles promulgated by the Commission.

**30.005 EMPLOYMENT DISCRIMINATION-PRIVATE BAR PROGRAM**

**FEDERAL AGENCY:**

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VII, as amended, Public Laws 88-352 and 92-261, 42 U.S.C. 2000e 4(g) (1) (3); Civil Rights Act of 1991, Public Law 102-166; Age Discrimination in Employment Act of 1967, Public Law 90-202, as amended; Public Law 93-259, 88 Stat. 75; Public Law 95-256, 92 Stat. 189; Public Law 99-592, 100 Stat. 3342, Public Law 101-433, 104 Stat. 978; Reorganization Plan No. 1, 1978, 29 U.S.C. 621 et seq; Civil Rights Act of 1991, Public Law 102-166; Equal Pay Act of 1963, Public Law 88-38, as amended; Fair Labor Standards Act Amendment of 1974; Fair Labor Standards Act Amendment of 1977; Reorganization Plan No 1, 1978, 29 U.S.C. 206; Americans with Disabilities Act, Titles I & V, as amended, Public Law 101-336, 42 U.S.C. 12101-12117; 12202-12213; Rehabilitation Act of 1973, as amended, 29 U.S.C. 501,505.

**OBJECTIVES:**

(a) To assist individuals who have filed a charge with the Commission, or on whose behalf a charge has been filed, in contacting members of the private bar; (b) to provide technical assistance to aggrieved individuals and their attorneys in Title VII, Equal Pay, Age Discrimination in Employment and Americans with Disabilities Act cases; to establish the attorney referral mechanism; and (d) to coordinate the strategies of the private bar with those of the Commission.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Upon request, provide assistance to individuals in locating lawyers who are prepared to litigate Title VII, Americans with Disabilities Act, Equal Pay Act and Age Discrimination in Employment Act issues.

**ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf

a charge has been filed.

**Beneficiary Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Credentials/Documentation:**

None.

**APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for assistance may be made in writing or orally to nearest EEOC District Office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**POST ASSISTANCE REQUIREMENTS:**

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**FINANCIAL INFORMATION:**

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries and expenses) FY 04 not separately identifiable; FY 05 est not separately identifiable; and FY 06 est not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Data not available for fiscal years, 2004, 2005 and 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EEOC Compliance Manual, Section 81 - Private Bar Referral Program.

**INFORMATION CONTACTS:**

**Regional or Local Office:**

EEOC District Offices (see Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Contact Jerome Scanlan, Office of General Counsel, Equal Employment Opportunity Commission, 1801 L Street, NW., Washington, DC 20507. Telephone: (202) 663-4702.

**Web Site Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.008, Employment Discrimination Age Discrimination in Employment; 30.010, Employment Discrimination Equal Pay Act; 30.011, Employment Discrimination Title I of The Americans with Disabilities Act.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**30.008 EMPLOYMENT DISCRIMINATION-AGE DISCRIMINATION IN EMPLOYMENT**

**FEDERAL AGENCY:**

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:**

Age Discrimination in Employment Act of 1967, Public Law 90-202, as amended; Public Law 93-259, 88 Stat. 75; Public Law 95-256, 92 Stat. 189; Public Law 99-592, 100 Stat. 3342, Public Law 101-433, 104 Stat. 978;

Reorganization Plan No. 1, 1978, 29 U.S.C. 621 et seq; Civil Rights Act of 1991, Public Law 102-166.

**OBJECTIVES:**

To prohibit age discrimination in hiring, advancement in employment, terms and conditions, and other employment practices, promote the employment of older workers based on ability rather than age, and help employers and employees find ways to meet problems arising from the impact of age on employment.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Individuals 40 years of age and older are protected from age discrimination by private employers who have 20 or more employees, by Federal and local governments, by employment agencies and by labor organizations. It is unlawful for employers, employment agencies, or labor organizations to use advertisements indicating any preference, limitation, specification, or discrimination based on age. Exceptions to the Act's provisions are provided where age is a bona fide occupational qualification, the differentiation is based on reasonable factors other than age or if an otherwise prohibited practice is in observance of the terms of a bona fide seniority system or employee benefit plan (except that no such seniority system or employee benefit plan shall excuse the failure to hire, or require or permit the involuntary retirement of any individual).

Exemptions are provided for the mandatory retirement of bona fide executive and high policy making employees 65 years of age and older who are entitled to at least \$44,000 a year from a retirement plan. Some maximum hiring ages and mandatory retirement are permitted for police and firefighters. The EEOC may establish such reasonable exemptions as it may find necessary and proper in the public interest. Charges of discriminatory employment practices by or on behalf of an individual or group of individuals claiming to be aggrieved are received. Mediation of the dispute may be offered. If mediation is not used or is not successful, investigations ensue and if reasonable cause is found, the charge is conciliated. If conciliation proves to be unsuccessful the Commission may bring a civil action against respondent(s) named in the charge.

**Applicant Eligibility:**

Individuals age 40 and over who believe that they have been discriminated against because of age or who believe that such discrimination is occurring against others 40 and over.

**Beneficiary Eligibility:**

Individuals age 40 and over.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A charge may be filed by any aggrieved individual or by any organization, i.e. labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate field office of the EEOC. (The names of persons making inquiries are held in confidence if requested.)

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written statement sufficiently precise to identify the parties and to describe generally the action or practices complained of.

**Deadlines:**

Individuals who wish to assert their rights under the Age Act must file a charge with the Commission or its designated agent within 180 days of the alleged discriminatory action (or in a case where the alleged discrimination occurs in a State which has its own age discrimination law, within 300 days of the alleged discriminatory action, or 30 days after receipt of notice of termination of State proceedings, whichever is earlier). A civil action may be commenced at any time 60 days after a charge has been filed with the EEOC. When EEOC completes its investigation without obtaining relief for persons covered by a charge, covered persons will be given written notice of their right to sue. A civil action may be brought within 90 days after the date of the receipt of such notice.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.



**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, received 13,776 charges and resolved 14,076 which monetarily benefited 2,218 persons in the sum of \$77,680,803. In fiscal year 2005 EEOC filed 43 lawsuits on the merits raising ADEA issues either as a sole statute or concurrent with other statutes and resolved 38 merit suits with a direct monetary benefit of \$2,020,065. Projected data unavailable for fiscal years 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are furnished free in limited quantities. The Age Discrimination in Employment Act of 1967; 29 CFR Part 1625, ADEA Interpretative Regulations, 29 CFR Part 1626, ADEA Procedural Regulations; and 29 CFR Part 1627 Record keeping Regulations; Enforcement Guidance on O'Connor v. Consolidated Coin Caterers Corp.; Compliance Manual Section: "Threshold Issues;" Compliance Manual Section: "Retaliation;" Compliance Manual Section: "Compensation Discrimination;" Compliance Manual Section: "Employee Benefits" as revised, August 20, 2001. Fact Sheet: Age Discrimination. Contact: Publications Distribution Center, 1-800-669-3362 (Voice) and 1-800-800-3302(TTY). Web Site <http://www.eeoc.gov>; EEOC, 1801 L Street, NW., Washington, DC 20507.

**Regional or Local Office:**

Persons should contact the nearest office of EEOC listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Communications and Legislative Affairs, Communications Staff, Equal Employment Opportunity Commission 1801 L Street, NW., Washington, DC 20507. Telephone: 202-663-4900. (Voice) or 202-663-4494 (TTY).

**Web Site Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 16.200, Community Relations Service; 17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards; 17.700, Women's Bureau; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.010, Employment Discrimination Equal Pay Act; 30.011, Employment Discrimination Title I of The Americans with Disabilities Act; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**30.009 EMPLOYMENT DISCRIMINATION PROJECT CONTRACTS-INDIAN TRIBES****FEDERAL AGENCY:**

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VII, as amended; Public Laws 88-352 and 92-261, 42 U.S.C. 2000e 4(g)(3); Civil Rights Act of 1991, Public Law 102-166.

**OBJECTIVES:**

To insure the protection of the employment rights of Indians working on or near reservations.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Contractors selected must have an enforceable tribal ordinance, signed by the tribal chairman, protecting Indian employment rights and establishing a Tribal Employment Rights Office (TERO). Tribe must also have a TERO with a sitting director.

**Applicant Eligibility:**

Must be a Federally registered, land based American Indian Tribe that has a tribal employment rights office established under an ordinance passed by the tribal council. The office must have a sitting director.

**Beneficiary Eligibility:**

American Indians employed or seeking employment on or near reservations.

**Credentials/Documentation:**

Funding must be approved by the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Application must be made to the EEOC District Office which will review it and make a recommendation to the Office of Field Programs, EEOC Headquarters.

This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Recommendation made to EEOC Commissioners. Decision made by final vote of the Commissioners.

**Deadlines:**

Contact Office of Field Programs, EEOC Headquarters, for deadline.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Not applicable.

**Renewals:**

Dependent upon performance under previous contract.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

One fiscal year.

**Reports:**

Quarterly reports are addressed to the State and Local Programs, Office of Field Programs, through the EEOC District Office which administers the contract. Charges, interviews and settlement agreements must be submitted to the EEOC District Office.

**Audits:**

Audits are conducted by the EEOC Office of Inspector General as appropriate.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Contracts) Not separately identifiable.

**Range and Average of Financial Assistance:**

\$26,000 to each tribe.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, EEOC contracted with 63 TEROs. EEOC expects to contract with 64 TEROs in fiscal years 2006 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

The EEOC District Office listed in Appendix IV of the catalog which has jurisdiction over inquirer's geographic location.

**Headquarters Office:**

Michael J. Dougherty, Director, State and Local Programs, Office of Field Programs, Equal Employment Opportunity Commission, 1801 L Street NW., Room 8030, Washington, DC 20507. Telephone: (202) 663-4944.

**Web Site Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.011, Employment Discrimination Title I of The Americans with Disabilities Act; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Tribal Employment Rights Offices are funded under contracts to assist EEOC in its enforcement efforts and to facilitate the employment rights of Indians working or seeking work on or near reservations.

**CRITERIA FOR SELECTING PROPOSALS:**

Qualification criteria adopted by the Commission are made available on an annual basis to TEROs interested in the program.

**30.010 EMPLOYMENT DISCRIMINATION EQUAL PAY ACT****FEDERAL AGENCY:**

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:**

Equal Pay Act of 1963, Public Law 88-38, as amended; Fair Labor Standards Act Amendment of 1974; Fair Labor Standards Act Amendment of 1977; Reorganization Plan No. 1, 1978, 29 U.S.C. 206(d).

**OBJECTIVES:**

To prohibit sex discrimination in the payment of wages to men and women performing equal work in the same establishment. The jobs need not be identical, but they must be substantially equal.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Employers engaged in commerce or in the production of goods for commerce (i.e. subject to The Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 201, et seq.), including the Federal Government, and State and local governments, are prohibited from paying sex-based wage differentials to men and women performing equal work in the same establishment. Labor

organizations representing employees of a covered employer are prohibited from causing or attempting to cause employers to violate the Act. Exceptions are permitted only where payment is made pursuant to a seniority system, a merit system, a system that measures earnings by quantity or quality of production, or a differential based on any other factor other than sex. The Commission may investigate allegations of violations of the Act and may initiate and conduct litigation.

**Applicant Eligibility:**

An employee on behalf of herself or himself and other employees similarly situated who believes s/he has been paid in violation of the Equal Pay Act in any State of the United States, the District of Columbia, or any territory or possession of the United States.

**Beneficiary Eligibility:**

Individuals covered by the Fair Labor Standards Act of 1938, as amended.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A charge may be filed either orally or in writing to the appropriate field office of the EEOC listed in Appendix IV of the Catalog. (The names of persons filing complaints are held in confidence.)

**Award Procedure:**

Not applicable.

**Deadlines:**

A 2-year statute of limitations applies to the recovery of any amounts owing to a person as a result of violation of this Act (may be extended to 3 years in cases of willful violations). There is no agency notification requirement for individuals desiring to bring their own suit under the Equal Pay Act.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, received 774 complaints and resolved 889 monetarily benefitting 161 people in the sum of \$3,072,871. In fiscal year 2005, EEOC filed 13 lawsuits on the merits raising EPA issues either as a sole statute or concurrent with other statutes and resolved no EPA merits suits with EPA as the sole statute but resolved 17 suits with EPA concurrent with other statutes with monetary benefits of \$2,328,000. Projected data unavailable for fiscal years 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are furnished free in limited quantities. 29 CFR Part 1620, Equal Pay Act Interpretive Regulations and 29 CFR Part 1621, Equal Pay Act Procedural Regulations; Compliance Manual Section: "Threshold Issues;" Compliance Manual Section: "Retaliation;" Compliance Manual Section: "Compensation Discrimination;" Compliance Manual Section: "Employee Benefits" as revised, August 20, 2001. Contact: Publications Distribution Center, 1-800-669-3362 (Voice) and 1-800-800-3302 (TTY). Web Site [www.eeoc.gov](http://www.eeoc.gov); EEOC, 1801 L Street, NW, Washington, DC 20507.

**Regional or Local Office:**

Persons should contact the nearest office of EEOC listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Communications and Legislative Affairs, Communications Staff, Equal Employment Opportunity Commission, 1801 L Street, NW., Washington, DC 20507. Telephone: (202) 663-4900 (Voice) or (202) 663-4494 (TTY).

**Web Site Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 16.200, Community Relations Service; 17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards;

17.700, Women's Bureau; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.008, Employment Discrimination Age Discrimination in Employment; 30.011, Employment Discrimination Title I of The Americans with Disabilities Act; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**30.011 EMPLOYMENT DISCRIMINATION-TITLE I OF THE AMERICANS WITH DISABILITIES ACT**

**FEDERAL AGENCY:**

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

**AUTHORIZATION:**

Americans with Disabilities Act, Titles I & V, as amended, Public Law 101-336, 42 U.S.C. 12101-12117; 12201-12213; Rehabilitation Act of 1973, as amended, 29 U.S.C. 501, 505.

**OBJECTIVES:**

To provide for enforcement of the Federal prohibition against employment discrimination by private employers and local governments against qualified individuals with disabilities.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Investigation of Complaints.

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of disability by employers with 15 or more employees, by Federal, state, and local governments, by employment agencies, and by labor organizations. Charges of discriminatory employment practices by or on behalf of an individual or group of individuals claiming to be aggrieved are received. Mediation of the dispute may be offered. If mediation is not used or is not successful, investigations ensue. If reasonable cause is not found, the Commission issues a right to sue letter. If reasonable cause is found, the charge is conciliated. If conciliation proves to be unsuccessful and the employer is not a State or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter. If conciliation fails on a charge against a State or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, or any labor union, association, legal representative, or organization filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title I of the ADA has been committed by an employer with 15 or more employees, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining.

**Beneficiary Eligibility:**

Applicants, current employees, and former employees of the named respondents in a charge who have been subjected to unlawful employment practices.

**Credentials/Documentation:**

An allegation of unlawful employment practice(s) may be made in person or by mail. An allegation must be in writing, signed, and notarized (only when necessary to meet State and local requirements) or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate field office of the EEOC.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written statement sufficiently precise to identify the parties and to describe generally the action or practices complained of.

**Deadlines:**

Individuals who wish to assert their rights under the ADA must file a charge of discrimination with the EEOC within 180 days of the alleged unlawful practice (or within 300 days if there is a State or local agency in a State with its own discrimination law). When EEOC completes its investigation without obtaining relief for persons covered by a charge, covered persons will be given written notice of their right to sue. Persons can also ask for a notice of right to sue before EEOC finishes its investigation. When a right to sue is issued on request, EEOC usually stops investigating. Suit must be brought within 90 days of

receipt of the notice of right to sue letter.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries and Expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, received 14,922 charges and resolved 15,357 which monetarily benefited 2,352 persons in the sum of \$44,843,117. In fiscal year 2005, EEOC filed 42 merit lawsuits raising ADA issues either as a sole statute or concurrent with other statutes and resolved 38 merit suits with direct monetary benefit of \$2,484,400. Projected data unavailable for fiscal year 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are furnished free in limited quantities. Title I of the Americans with Disabilities Act; Procedural Regulations, 29 CFR Part 1601; Substantive Regulations, 29 CFR Part 1630 and Appendix to Part 1630-Interpretive Guidance on Title I of the Americans with Disabilities Act; Recordkeeping and Reporting Regulations, 29 CFR Part 1602; Coordination Regulations with the Department of Justice, 29 CFR Part 1640; Coordination Regulations with the Department of Labor, 29 CFR Part 1641. Interim Enforcement Guidance: Application of the Americans with Disabilities Act of 1990 to Disability-based Distinctions in Employer-Provided Health Insurance; Enforcement Guidance: Pre-employment Disability-Related Questions and Medical Examinations; Enforcement Guidance: Workers' Compensation and the ADA; EEOC Enforcement Guidance on The Americans with Disabilities Act and Psychiatric Disabilities; Enforcement Guidance on The Effect of Representations Made in Applications for Benefits on the Determination of Whether a Person is a "Qualified Individual with a Disability" under the Americans with Disability Act of 1990 (ADA); Enforcement Guidance on Disability-Related Inquiries and Medical Examinations of Employees under the ADA. Enforcement Guidance: Application of the ADA to Contingent Workers Placed by Temporary Agencies and Other Staffing Firms; Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation; Policy Guidance on Executive Order 13145: To prohibit Discrimination in Federal Employment Based on Genetic Information (July 26, 2000); Enforcement Guidance: Handling ADA Charges against State Government Respondents After Board of Trustees of the University of Alabama vs. Garrett (May 23, 2001); Enforcement Guidance: Reasonable Accommodation and Undue Hardship Under the Americans with Disabilities Act (revised Oct. 17, 2002); Instructions for Field Offices Analyzing ADA Charges After Supreme Court Decisions Addressing "Disability" and "Qualified"; Questions and Answers on the ADA; Your Responsibilities as an Employer Under the ADA; Your Employment Rights as an Individual with a Disability; ADA Title I Technical Assistance Manual; Fact Sheet on Disability and Service Retirement Plans Under the ADA; Fact Sheet: The Family and Medical Leave Act, The Americans with Disabilities Act, and Title VII of the Civil Rights Act of 1964. Compliance Manual Section: "Definition of the Term Disability;" Compliance Manual Section: "Threshold Issues;" Compliance Manual Section: "Retaliation;" Compliance Manual Section: "Compensation Discrimination;" Compliance Manual Section: "Employee Benefits" as revised, August 20, 2001. The Americans with Disabilities Act: A Primer for Small Business. Fact Sheet on Work At Home/Telework as a Reasonable Accommodation; Fact Sheet on Obtaining and Using Employee Medical Information as Part of Emergency Evacuation Procedure; Questions and Answers About Blindness and Vision Impairments in the Workplace and the Americans with Disabilities Act; Question and Answers About the Association Provision of the Americans with Disabilities Act; Questions and Answers About Diabetes in the Workplace and the Americans with Disabilities Act; Questions and Answers About Epilepsy in the Workplace and the Americans with Disabilities Act; Questions and Answers About Persons with Intellectual Disabilities in the Workplace and the Americans with Disabilities Act; Questions and Answers About Cancer in the Workplace and the Americans with Disabilities Act. Contact: Publications Distribution Center 1-800-669-3362

(Voice) or 1-800-669-6820 (TTY), or Web Site at <http://www.eeoc.gov>. EEOC, 1801 L Street, NW, Washington, DC 20507.

**Regional or Local Office:**

Any EEOC Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Communications and Legislative Affairs, Communications Staff, Equal Employment Opportunity Commission, 1801 L Street, NW., Washington, DC 20507. Telephone: (202) 663-4900. (Voice) or (202) 663-4494 (TTY).

**Web Site Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101, Equal Employment Opportunity; 16.200, Community Relations Service; 17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards; 17.700, Women's Bureau; 29.001, Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002, Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.008, Employment Discrimination Age Discrimination in Employment; 30.010, Employment Discrimination Equal Pay Act; 93.001, Civil Rights and Privacy Rule Compliance Activities.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.



# FEDERAL COMMUNICATIONS COMMISSION

## 32.001 COMMUNICATIONS INFORMATION AND ASSISTANCE AND INVESTIGATION OF COMPLAINTS

### FEDERAL AGENCY:

FEDERAL COMMUNICATIONS COMMISSION

### AUTHORIZATION:

Communications Act of 1934, as amended, 47 U.S.C. 1, 2, 303, 307-310, 312.

### OBJECTIVES:

To increase public knowledge of communications function and participation in Federal Communications Commission (FCC) proceedings. To help maintain efficient and responsible systems of public communications by stimulating participation in FCC activities and through investigation of complaints.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information; Investigation of Complaints.

### USES AND USE RESTRICTIONS:

Field offices handle complaints from the public concerning such issues as interference to radio services. Matters such as the quality and rates of telephone and telegraph services should be directed to the Enforcement Division, Common Carrier Bureau, FCC, Washington, DC 20554. Matters such as equal time for political candidates and fairness in presentation of issues should be directed to Fairness and Political Broadcasting Branch, Mass Media Bureau, FCC, Washington, DC 20554. The Commission provides information and education services through its Office of Public Affairs, Public Service Division, 1919 M Street NW., Washington, DC 20554.

### ELIGIBILITY REQUIREMENTS:

#### Applicant Eligibility:

Anyone may seek information from, or file a complaint with the FCC.

#### Beneficiary Eligibility:

General public.

#### Credentials/Documentation:

None.

### APPLICATION AND AWARD PROCESS:

#### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

Contact the FCC Public Service Division or the appropriate field office listed under Information Contacts below. Upon request, the FCC will furnish specific information regarding its licensing and regulatory procedures.

#### Award Procedure:

Not applicable.

#### Deadlines:

None.

#### Range of Approval/Disapproval Time:

Not applicable.

#### Appeals:

Not applicable.

#### Renewals:

Not applicable.

### ASSISTANCE CONSIDERATIONS:

#### Formula and Matching Requirements:

Not applicable.

#### Length and Time Phasing of Assistance:

Not applicable.

### POST ASSISTANCE REQUIREMENTS:

#### Reports:

Not applicable.

#### Audits:

Not applicable.

#### Records:

Not applicable.

### FINANCIAL INFORMATION:

#### Account Identification:

27-0100-0-1-376.

#### Obligations:

Not separately identifiable.

#### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2001, approximately 23,070 broadcast and cable complaints, and 3,098 comments and requests for information were received; approximately 32,264 common carrier complaints, inquiries and comments were received; approximately 30,000 interference complaints were handled.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"FCC in Brief;" "Mass Media Services;" "Common Carrier Services;" "How

Rules are Made;" "Glossary of Communication Terms;" "FCC Information Seekers Guide;" FCC Annual Report. For listing of other information bulletins and fact sheets, contact the Public Service Division.

### INFORMATION CONTACTS:

#### Regional or Local Office:

Regional Directors: Quincy, MA: 1 Batterymarch Park, Quincy, MA 02169-7495; Chicago, IL: 1550 Northwest Highway, Room 306 (Park Ridge, IL 60068-1460); Kansas City, MO: Room 320, 8800 East 63rd St., 64133-4895; Hayward, CA: 3777 Depot Road, Room 420, 94545-1914; District Offices: Anchorage, AK: 6721 West Raspberry Rd., 99502-1896; Duluth, GA: 3575 Koger Blvd., Koger Center-Gwinnett, Room 320, 30136-4958; Quincy, MA: 1 Batterymarch Park, Quincy, MA 02169-7495; Buffalo, NY: 1307 Federal Bldg., 111 West Huron St., 14202-2398; Chicago, IL: Park Ridge Office Center, Room 306, 1550 Northwest Highway, Park Ridge, IL 60068-1460; Dallas, TX: 9330 LBJ Freeway-Room 1170, 75243-3429; Denver, CO: 165 So. Union Blvd, Suite 860, Lakewood, CO 80228-2213; Detroit, MI: 24897 Hathaway St., Farmington Hills, MI 48335-1552; Honolulu, HI: P.O. Box 1030, WaiPahu, HI 96797-1030; Houston, TX: 1225 North Loop West, Rm. 900, 77008-1775; Kansas City, MO: Room 320, 8800 East 63rd St., 64133-4895; Cerritos, CA: Cerritos Corp. Tower, 18000 Studebaker Rd., Room 660, 90701-3684; Miami, FL: 8390 NW., 53rd St., Rochester Bldg., Room 310, 33166-4668; New Orleans, LA: 800 W. Commerce Rd., Room 505, 70123-3333; New York, NY: 201 Vatic St., 10014-4870; Norfolk, VA: 1200 Communications Circle, (Virginia Beach, VA) 23455-3725; Longhorn, PA: (Philadelphia Office): One Oxford Valley Office Bldg., 2300 East Lincoln Highway, Room 404, 19047-1859; Portland, OR: 1782 Federal Office Bldg., 1220 SW. Third Ave., 97204-2898; Maplewood, MN: 2025 Slogan Place, Suite 31, Maplewood MN 55117-2058; San Diego, CA: 4542 Refiner St., Room 370, 92111-2216; San Francisco, CA: 3777 Depot Rd., Room 420 Hayward, CA 94545-1914; Hat Rye, PR: (San Juan Field Office): Room 747 U.S. Federal Building, 00918-1731; Seattle, WA: 11410 NE 122nd Way, Suite 312, Kirkland, WA 98034-6927; Tampa, FL: Room 1215, 2203 N. Lois Ave., 33607-2356.

#### Headquarters Office:

Public Service Division, Federal Communications Commission, Room 244, 1919 M St. NW., Washington, DC 20554. Telephone: FEES (202) 418-0220; CAB (202) 418-0190. See FCC entry in Appendix IV of the Catalog for names and phone numbers of engineers-in-charge of individual field offices.

#### Web Site Address:

<http://www.fcc.gov>.

#### RELATED PROGRAMS:

None.

#### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

#### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

# FEDERAL MARITIME COMMISSION

## 33.001 SHIPPING-DISPUTE RESOLUTION AND INVESTIGATION OF COMPLAINTS

### FEDERAL AGENCY:

FEDERAL MARITIME COMMISSION

### AUTHORIZATION:

Shipping Act of 1984, as amended, 46 U.S.C. app. 1710. Administrative Dispute Resolution Act, of 1996, 5 U.S.C. 571, et seq.

### OBJECTIVES:

To provide assistance to those engaged in international ocean shipping, including those making household goods shipments. Assistance may include helping locate missing cargo and helping resolve issues with respect to costs or service. To provide a forum for settling disputes between or among carriers, shippers, and ocean transportation intermediaries through the use of various means of alternative dispute resolution. To provide information to passengers seeking reimbursement of payments when dealing with cruise line issues.

### TYPES OF ASSISTANCE:

Investigation of Complaints.

### USES AND USE RESTRICTIONS:

The Commission considers informal complaints and assists in the development of voluntary settlements. The Commission also accepts allegations regarding unlawful rates or practices and may award reparations for an injury resulting from a violation.

### Applicant Eligibility:

Any person may file a complaint alleging a violation of the Shipping Act of 1984 and make seek reparation for any injury resulting from the violation.

### Beneficiary Eligibility:

Anyone/General public.

### Credentials/Documentation:

A complaint alleging specific violations of the Shipping Act of 1984 or Commission regulations should be supported by facts sustaining such allegations. For canceled cruises, passengers need to document payments and provide identifying passenger and/or voyage information.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Informal complaints or requests for the mediation or other alternative dispute resolution (ADR) procedures may be submitted to the Commission in an e-mail to [complaints@fmc.gov](mailto:complaints@fmc.gov). To the extent available, all complaints other than cruise complaints should include the following information: Bill of lading/dock receipts/arrival notices/invoices; Description of cargo; Origin; Port of origin (may be the same as origin); Destination; Port of destination (may be the same as destination); Date of shipment or sailing; Name of individual(s) filing complaint (if you are representing a complainant, what is your name and your relationship to the complainant); Company name of complainant(s); Contact information for complainant(s) (and/or representative(s)) include telephone, fax, address including zip code, and email; Name of shipping company or party against whom the complaint is being filed; Contact information for that company or party, (including name(s) of responsible individuals, telephone and fax numbers, address including zip code and email); Description of issue. Include as much information as you believe we will need when we contact the other party(s) to the complaint. Desired solution. Explain what you would like to see accomplished - getting cargo released, negotiating a monetary solution, etc. Cruise complaints should include the following information: Ticket/passenger invoice; Date of sailing; Length and nature of cruise; Port of origin; Port of destination; Did you purchase transportation from your home to the port of origin from the cruise line? Did you purchase transportation from the port of destination to your home from the cruise line? People and companies involved; Description of Issue; A formal complaint, as well as a complaint requesting informal (small claims) adjudication may be submitted pursuant to Section 11 of the Shipping Act of 1984 to the Secretary, Federal Maritime Commission. (See the Commission's Rules of Practice and Procedure at 46 CFR Part 502). Questions regarding these procedures may be directed to the Office of the Secretary, at (202) 523-5725, Fax: (202) 523-0014 or E-mail: [Secretary@fmc.gov](mailto:Secretary@fmc.gov). The Federal Maritime Commission is located at: 800 North Capitol Street, N.W., Washington, DC 20573. Visit our website at [www.fmc.gov](http://www.fmc.gov).

### Award Procedure:

None.

### Deadlines:

There is a 3 year statute of limitations for complaints filed under the Shipping Act of 1984.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

None.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

65-0100-0-1-403.

### Obligations:

(Salaries and Expenses) FY 07 est \$1,198,000; FY 08 est \$1,245,000; and FY 09 \$1,295,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2007, the Commission responded to more than 1,509 informal inquiries and complaints. Of those, 509 informal complaints required informal resolution services under the ombuds function. These included 218 complaints about cruise issues, 136 household goods matters, and 155 other matters affecting cargo shipments. In addition, a small number of claims cases and formal complaints were received.

### REGULATIONS, GUIDELINES, AND LITERATURE:

None.

### Regional or Local Office:

Area Representatives: South Florida: Andrew Margolis and Eric Mintz, Federal Maritime Commission, P. O. Box 813609, Hollywood, FL 33081-3609.

Telephone: (954) 963-5362. Fax: (954) 963-5630. E-mail:

[ANDREW@fmc.gov](mailto:ANDREW@fmc.gov) [ERICO@fmc.gov](mailto:ERICO@fmc.gov). Seattle: Michael A. Moneck, c/o

U.S. Customs Service, #7 South Nevada Street, Suite 100, Seattle, WA 98134.

Telephone: (206) 553-0221. Fax: (206) 553-0222. E-mail:

[MICHAELM@fmc.gov](mailto:MICHAELM@fmc.gov). New Orleans: Alvin N. Kellogg, P.O. Box 7806,

Metairie, LA 70010-7806. Telephone: (504) 589-6662. Fax: (504) 589-6663. E-mail:

[ALVINK@fmc.gov](mailto:ALVINK@fmc.gov). Los Angeles: Oliver E. Clark, P.O. Box 230, 839 S.

Beacon Street #320, San Pedro, CA 90733-0230. Telephone: (310) 514-4905.

Fax: (310) 514-3931. E-mail: [OLIVERC@fmc.gov](mailto:OLIVERC@fmc.gov). New York: Emanuel J.

Mingione, Joseph A. Castellano, Bldg. # 75, Room 205-B, JFK Intl Airport,

Jamaica, NY 11430. Telephone: 718-553-2228, Fax: 718-553-2229 E-Mail:

[EMANUELM@fmc.gov](mailto:EMANUELM@fmc.gov); [JCastellano@fmc.gov](mailto:JCastellano@fmc.gov).

### Headquarters Office:

Office of Consumer Affairs and Dispute Resolution Services; Federal Maritime Commission; 800 North Capitol Street, N.W., Washington, DC 20573;

Telephone: (202) 523-5807. Fax: (202) 275-0059. E-mail:

[COMPLAINTS@fmc.gov](mailto:COMPLAINTS@fmc.gov).

### Web Site Address:

None.

### RELATED PROGRAMS:

20.900, Transportation\_Consumer Affairs; 36.001, Fair Competition Counseling and Investigation of Complaints.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

# FEDERAL MEDIATION AND CONCILIATION SERVICE

## 34.001 LABOR MEDIATION AND CONCILIATION

### FEDERAL AGENCY:

FEDERAL MEDIATION AND CONCILIATION SERVICE

### AUTHORIZATION:

Labor-Management Relations Act of 1947, as amended, Title II, Public Law 80-101, 29 U.S.C. 172; Federal Labor Management Relations Statute, Public Law 95-454, 5 U.S.C. 7119; Administrative Dispute Resolution Act, Public Law 101-552, 5 U.S.C. 5571-588; Negotiated Rulemaking Act of 1990, Public Law 101-648, 5 U.S.C. 561- 570.

### OBJECTIVES:

To prevent or minimize work stoppages caused by disputes between labor and management in industries affecting the free flow of commerce; to provide mediation assistance in Federal labor disputes; to provide training and dispute resolution services to Federal agencies.

### TYPES OF ASSISTANCE:

Provision of Specialized Services; Advisory Services and Counseling.

### USES AND USE RESTRICTIONS:

Actual services include: (a) Providing mediation assistance to employers and labor organizations having collective bargaining contract disputes; (b) providing assistance to companies and their unions in the prevention of disputes by seeking to improve their day-to-day relationships and creating a better degree of understanding and cooperation; (c) providing assistance to companies and labor organizations in the selection of impartial arbitrators to hear and decide disputes under collective bargaining agreements. The agency is involved in special notice and mediation procedures designed to minimize work stoppages in contract disputes at all private health care institutions throughout the nation. The agency has no jurisdiction in railroad and airlines industries. The agency assists in dispute resolution involving Federal employees and agencies. The agency assists in dispute resolutions involving employees of state and local governments where other mediation services are unavailable and where Federal Mediation and Conciliation Service assistance is requested. The agency also provides mediators to hear complaints by individuals alleging age discrimination in federally funded programs. The agency provides mediators to train, mediate, and facilitate administrative disputes involving federal agencies. The agency also assists in the facilitation and mediation of negotiation and rulemaking for federal agencies, in response to requests by the agencies for assistance.

### Applicant Eligibility:

Employers and labor organizations involved in industries affecting interstate commerce. Public sector and federal sector employers and labor organizations.

### Beneficiary Eligibility:

Employers involved in industries affecting interstate commerce and related labor organizations.

### Credentials/Documentation:

Contact the federal agency.

### Preapplication Coordination:

Advance notice prior to expiration of existing contract or reopening thereof, as required by 29 U.S.C. 158 (d) and (g). This program is excluded from coverage under E.O. 12372.

### Application Procedure:

FMCS Form F-7 (Notice) may be filed electronically at [www.fmcs.gov](http://www.fmcs.gov) or mailed to: Notice Processing Unit, The Federal Mediation and Conciliation Service, 2100 K Street NW, Washington, DC 20427. Telephone (202) 606-5499 Fax: (202) 606-4253.

### Award Procedure:

Not applicable.

### Deadlines:

As required by 29 U.S.C. 158(d) and (g), and 5 U.S.C. Section 7119. Contact the federal agency for more information.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

93-0100-0-1-505.

### Obligations:

(Salaries and Expenses) FY 07 \$42,848,824; FY 08 \$43,800,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In FY 06, there were 15,072 collective bargaining mediation cases assigned in the private sector; in FY 07, 14,663; in FY 08, 15,270 (est). In FY 06, there were 1,632 grievance mediation cases assigned in the private sector; in FY 07, 1,788; in FY 08, 1,700 (est). In FY 06, there were 2,445 relationship development and training programs provided in the private sector; in FY 07, 2,548; and in FY 08, 2,390 (est). In FY 06, there were 1,022 cases of employment mediation; in FY 07, 1,060; in FY 08, 1,150 (est). In FY 06, there were 16,854 arbitration panels submitted to disputing parties. In FY 07, 16,264; and in FY 08, 16,500 (est).

### REGULATIONS, GUIDELINES, AND LITERATURE:

29 CFR 1400. "Annual Report" and "Labor-Management Committees: Planning for Progress."

### Regional or Local Office:

Interested persons may contact the appropriate regional office of Federal Mediation and Conciliation Service listed in Appendix IV of the Catalog.

### Headquarters Office:

Federal Mediation and Conciliation Service, 2100 K Street N.W., Washington, DC 20427. Contact: John E. Arnold, Director, Office of Public Affairs. Telephone: (202) 606-8100.

### Web Site Address:

<http://www.fmcs.gov>.

### RELATED PROGRAMS:

46.001, Labor-Management Relations.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.



# FEDERAL TRADE COMMISSION

## 36.001 FAIR COMPETITION COUNSELING AND INVESTIGATION OF COMPLAINTS

### FEDERAL AGENCY:

FEDERAL TRADE COMMISSION

### AUTHORIZATION:

Federal Trade Commission Act, 15 U.S.C. 41-58, as amended; Clayton Act, 15 U.S.C. 12-27, as amended; Hart-Scott-Rodino Antitrust Improvements Act of 1976, 15 U.S.C. 18a, as amended; Energy Policy and Conservation Act, 42 U.S.C. 6201-6422, as amended; Lanham Trade-Mark Act, 15 U.S.C. 1051-1127, as amended; Packers and Stockyards Act, 7 U.S.C. 181-229, as amended; Muhammed Ali Boxing Reform Act, 15 U.S.C. 6301-6313; Fairness to Contact Lens Consumers Act, 15 U.S.C. 7601-7610; Energy Policy Act of 2005, Public Law No. 109-58, 119 Stat. 594; Energy Independence and Security Act of 2007, Public Law No. 110-140; 121 Stat. 1492; Webb-Pomerene Act, 15 U.S.C. 61-66, as amended; Deepwater Port Act of 1974, 33 U.S.C. 1501-1524; Defense Production Act of 1950, 50 U.S.C. App. 2061-2169, as amended; Outer Continental Shelf Lands Act Amendments of 1978, 43 USC 1337; Conservation Service Reform Act of 1986, codified in scattered sections of 42 U.S.C. 8201 et seq.; Deep Seabed Minerals Act, 30 U.S.C. 1401-1473, as amended; National Cooperative Research and Production Act of 1993, 15 U.S.C. 4301-4306; International Antitrust Enforcement Assistance Act of 1994, 15 U.S.C. 46, 57b-1, 1311, 1312, 6201, 6201 note, 6202-6212; Interstate Commerce Commission Termination Act of 1995, codified in scattered sections of the U.S. Code, particularly 49 U.S.C. Sections 10101-11917; Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law No. 108-173, 117 Stat. 2066, codified in relevant part at 42 U.S.C. 1395w-101 note (Section 110), 21 U.S.C. 355 note (Sections 1111-1118), 21 U.S.C. 355(j)5 (Section 1102)); Consolidated Appropriations Act, 2004, amending the Magnuson-Stevens Fishery Conservation and Management Act, Public Law No. 108-199, codified in relevant part at 16 U.S.C. 1862; Standards Development Organization Act of 2004, 15 U.S.C. 4301-4306; Pandemic and All-Hazards Preparedness Act, Public Law No. 109-417, 120 Stat. 2831; Postal Accountability and Enhancement Act, Public Law No. 109-435, 120 Stat. 3198; Wool Products Labeling Act, 15 U.S.C. 68-68j, as amended; Fur Products Labeling Act, 15 U.S.C. 69-69j; Textile Products Identification Act, 15 U.S.C. 70-70k, as amended; Federal Cigarette Labeling and Advertising Act of 1966, 15 U.S.C. 1331-1340, as amended; Fair Packaging and Labeling Act, 15 U.S.C. 1451-1461; Truth in Lending Act, 15 U.S.C. 1601-1667f, as amended; Fair Credit Billing Act, 15 U.S.C. 1666-1666j; Fair Credit Reporting Act, 15 U.S.C. 1681-1681u, as amended; Fair Credit and Charge Card Disclosure Act, codified in scattered sections of US Code, particularly 15 U.S.C. 1637 (c)-(g); Equal Credit Opportunity Act, 15 U.S.C. 1691-1691f; Fair Debt Collection Practices Act, 15 U.S.C. 1692-1692o, as amended; Electronic Fund Transfer Act, 15 U.S.C. 1693-1693f; Consumer Leasing Act, 15 U.S.C. 1667-1667f, as amended; Magnuson Moss Warranty-Federal Trade Commission Improvements Act, 15 U.S.C. 2301-2312; Hobby Protection Act, 15 U.S.C. 2101-2106; Petroleum Marketing Practices Act, 15 U.S.C. 2801-2841; Postal Reorganization Act of 1970, 39 U.S.C. 3009(a); Comprehensive Smokeless Tobacco Health Education Act of 1986, 15 U.S.C. 4401-4408; Federal Deposit Insurance Corporation Improvement Act of 1991, 12 U.S.C. 1831t, as amended; Dolphin Protection Consumer Information Act, 16 U.S.C. 1385, as amended; Energy Policy Act of 1992, codified in scattered sections of the US Code, particularly 42 U.S.C. 6201 et seq.; Telephone Disclosure and Dispute Resolution Act of 1992, codified in relevant part at 15 U.S.C. 5701 et seq.; Telemarketing and Consumer Fraud and Abuse Prevention Act, 15 U.S.C. 6101-6108; Violent Crime Control and Law Enforcement Act of 1994, Public Law. No. 103-322, Section 320993, 108 Stat. 1796; Telecommunication Act of 1996, Public Law No. 104-104, Section 701(b)(1), 110 Stat. 56; Home Equity Loan Consumer Protection Act, codified in scattered sections of the U.S. Code, particularly 15 U.S.C. 1637 and 1647; HomeOwnership and Equity Protection Act, 15 U.S.C. 1639; Credit Repair Organization Act, 15 U.S.C. 1679-1679j; The Children's Online Privacy Protection Act, 15 U.S.C. 6501-6506; Identity Theft Assumption and Deterrence Act of 1998, 18 U.S.C. 1028 note; Gramm-Leach-Bliley Act, 15 U.S.C. 6801-6809 and 6821-6827, as amended; College Scholarship Fraud Prevention Act of 2000, 20 U.S.C. 1092d; Crimes Against Charitable Americans Act of 2001, section 1011 of the USA Patriot Act, Public Law No. 107-56, codified in relevant part at 15 U.S.C. 6201, 6106; Do-Not-Call Implementation Act, 15 U.S.C. 6101 note; Do-Not-Call Registry Act of 2003, 15 U.S.C. 6102 note; Fair and Accurate Credit Transactions Act of 2003, codified as amendments to the Fair Credit Reporting Act, 15 U.S.C. 1681-1681x; Controlling the Assault of Non-Solicited Pornography and Marketing Act of 2003, 15 U.S.C. 7701-7713; Sports Agent Responsibility and Trust Act, 15 U.S.C. 7801-7807; Bankruptcy Abuse Prevention and Consumer Protection Act of 2005, Public Law No. 109-8, 119 Stat. 23; U.S. Safe Web Act, Public Law No. 109-455, codified to the FTC Act, 15 U.S.C. 41 et seq.; Unlawful Internet Gambling Enforcement Act, 31 U.S.C. 5361 et seq.; Sober Truth on Preventing

Underage Drinking Act, Public Law No. 109-422, 120 Stat. 2890.

### OBJECTIVES:

To prevent business practices that are anticompetitive or deceptive or unfair to consumers; to enhance informed consumer choice and public understanding of the competitive process; and to accomplish these missions without unduly burdening legitimate business activity.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling; Investigation of Complaints.

### USES AND USE RESTRICTIONS:

To prevent consumer fraud and deception, anticompetitive mergers, and unfair and other anticompetitive business practices in the marketplace.

### Applicant Eligibility:

Assistance is available to the general public.

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

Complaints must contain facsimiles of questioned advertising, labeling or other practice, or a summary of any oral misrepresentation involved, together with name and address of the alleged offender.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Send complaint to FTC. Questionable local practices should be referred to State or local authorities.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

29-0100-0-1-376.

### Obligations:

(Salaries and Expenses) FY 07 \$220,230,800; FY 08 est \$243,864,000; and FY 09 est \$256,200,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Investigations initiated (formal): Fiscal year 2007 516; 2008 est. 429; and 2009 est. 472; Investigations completed or closed: Fiscal year 2007 614; 2008 est. 309; and 2009 est. 340; Orders to cease and desist issued: Fiscal year 2007 31; 2008 est. 20; and 2009 est. 23; Trade regulation rules and guides promulgated or amended: Fiscal year 2007 6; 2008 est. 5; and 2009 est. 5.

### REGULATIONS, GUIDELINES, AND LITERATURE:

A list of publications is available by writing the Federal Trade Commission, 600 Pennsylvania Ave., N.W., Washington, DC 20580. Publications are available in local Depository Libraries or by using our Web Site Address: <http://www.ftc.gov/>.

### Regional or Local Office:

Persons are encouraged to communicate with the local FTC Regional Director: 10877 Wilshire Blvd., Suite 700, Los Angeles, CA 90024. Telephone: (310) 824-4343; Use the same number for FTS; 901 Market Street, Suite 570, San Francisco, CA 94103. Telephone: (415) 848-5100; Use the same number for FTS; 225 Peachtree Street, N.E., Suite 1500, Atlanta, GA 30303. Telephone: (404) 656-1390; Use the same number for FTS; 55 East Monroe Street, Suite 1860, Chicago, IL 60603-5713. Telephone: (312) 960-5634; Use the same number for FTS; One Bowling Green, Suite 318, New York, NY 10004. Telephone: (212) 607-2829; Use the same number for FTS; Eaton Center, Suite 200, 1111 Superior Avenue, Cleveland, OH 44114-2507. Telephone: (216) 263-3455; Use the same number for FTS; 1999 Bryan Street, Suite 2150, Dallas, TX 75201. Telephone: (214) 979-9350; Use the same number for FTS; 915 Second Avenue, Suite 2896, Seattle, WA 98174. Telephone: (206) 220-6350; Use the same number for FTS.

### Headquarters Office:

Consumer Protection Matters: Director, Bureau of Consumer Protection, Telephone: (202) 326-3240. Restraint of Trade Matters: Director, Bureau of Competition, Telephone: (202) 326-3175. Both are in the Federal Trade Commission Building, 600 Pennsylvania Avenue, N.W., Washington, DC 20580.

**Web Site Address:**

<http://www.ftc.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

10.155, Marketing Agreements and Orders; 10.800, Livestock, Meat and Poultry Market Supervision; 39.009, Federal Consumer Information Center; 58.001, Securities--Investigation of Complaints and SEC Information; 59.009, Procurement Assistance to Small Businesses.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

# GENERAL SERVICES ADMINISTRATION

## 39.002 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY

### FEDERAL AGENCY:

GENERAL SERVICES ADMINISTRATION

### AUTHORIZATION:

Federal Property and Administrative Services Act of 1949, Section 203, as amended, 63 Stat. 385, 40 U.S.C. 484; Surplus Property Act of 1944, Section 13(g), as amended, 50 U.S.C. 1622(g); Public Law 80-537, as amended, 62 Stat. 240, 16 U.S.C. 667b-d; Section 218, Public Law 91-646, 84 Stat. 1902, 42 U.S.C. 4638; Stewart B. McKinney Homeless Assistance Act of 1987, Title V, as amended, 42 U.S.C. 11411, Public Laws 100-77, 100-628, and 101-645.

### OBJECTIVES:

To dispose of surplus real property by lease, permits, sale, exchange, or donation.

### TYPES OF ASSISTANCE:

Sale, Exchange, or Donation of Property and Goods.

### USES AND USE RESTRICTIONS:

Surplus real and related personal property may be conveyed for: public park or recreation use and public health or educational purposes at discounts up to 100 percent; public airport purposes, wildlife conservation, correctional facility, replacement housing and for historic monument purposes without monetary consideration; and for general public purposes without restrictions at a negotiated price of not less than the estimated fair market value of the property. Properties are made available for discount conveyance where the public purposes to be served reflect the highest and best use of the property. Properties determined suitable by the Department of Housing and Urban Development may be made available by permit, lease, or deed for homeless assistance use. Restrictions: Surplus real property conveyed for public park or recreation use, historic monument, public airport use, correctional facility use and wildlife conservation use must be used for the purposes so conveyed in perpetuity. Property conveyed for health (including homeless) or education use must be used for those purposes for a period of not less than 30 years. Properties made available for homeless use by lease or permit must be used for that purpose for a period of not less than one year, unless the provider requests a shorter term. Surplus real property which is not deeded to public bodies or made available for homeless purposes is generally offered for sale to the public on a competitive bid basis.

### Applicant Eligibility:

State and local government agencies are eligible to apply for surplus real property for park, recreation, correctional facility, historic monument, public airport, health, educational, homeless, replacement housing, and general public purposes. Eligibility for property for wildlife conservation use, other than for migratory birds, is limited to the States. Tax-supported and nonprofit medical and educational institutions which have been held exempt from taxation under 501(c)(3) of the Internal Revenue Code are also eligible to apply for property for health, educational and homeless use.

### Beneficiary Eligibility:

General public may apply.

### Credentials/Documentation:

The applicant must submit a proposed program of use of the property and evidence of its ability to finance the program.

### Preapplication Coordination:

Applicants for property coordinate with other Federal agencies as follows: health and homeless use--Department of Health and Human Services; education--Department of Education; public airport purposes--Federal Aviation Administration; park or recreational and historic monument use--National Park Service, Department of the Interior; wildlife conservation--Fish and Wildlife Service, Department of the Interior; correctional facility use--Office of Justice Programs, Department of Justice; replacement housing--any Federal agency having a requirement for property involving housing for displaced persons in connection with a Federal or federally assisted project. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications for health and homeless assistance use are submitted to the Department of Health and Human Services (HHS) which requests assignment of the property from GSA; applications for educational use are submitted to the Department of Education which requests assignment of the property from GSA; applications for park and recreation use are submitted to the National Park Service, Department of the Interior which requests assignment of the property from GSA, applications for correctional use are submitted to the Office of Justice Programs, Department of Justice. Applications for other uses are submitted to GSA, which then obtains the recommendation of the Federal agency which sponsors the use program.

### Award Procedure:

When possible, awards are made through the participating agency. Other awards are made to State or local units of government by the Administrator of

GSA.

### Deadlines:

Advice of interest must be submitted within 20 days from date notice of availability of the property was released. Reasonable time thereafter is allowed for the filing of applications.

### Range of Approval/Disapproval Time:

From 1 to 3 months.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

The Federal agencies sponsoring the use programs are responsible for enforcing compliance with the restrictions, except that GSA is responsible for compliance with respect to conveyances for wildlife conservation and correctional facility use.

### Audits:

The Federal agencies sponsoring the use program and GSA are responsible for audits.

### Records:

None.

### Account Identification:

47-0110-0-1-804.

### Obligations:

(Salaries and expenses) FY 07 Actual \$21,748,000; FY 08 est \$49,481,000; and FY 09 est \$42,259,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

The Disposal Program activity was as follows: Actual for fiscal year 2007 sales, donations and other discounts 378 properties having an actual value of \$251.2 million; estimate for fiscal year 2008: Sales, donations and other discounts 343 properties having an estimated value of \$337 million; fiscal year 2009 estimates: Sales, donations, and other discounts 333 properties having an estimated value of \$317 million.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"Disposal of Surplus Real Property" - no charge; 41 CFR 101-47, Utilization and Disposal of Real Property, "U.S. Real Property Sales List," - no charge.

### Regional or Local Office:

Director, Office of Property Disposal, General Services Administration. Applicant's initial contact should be at the regional level. See the Office of Property Disposal for each Region listed in Appendix IV of the Catalog.

### Headquarters Office:

Assistant Deputy Commissioner, Office of Real Property Disposal, Public Building Service, General Services Administration, Washington, DC 20405. Telephone: (202) 501-0084.

### Web Site Address:

<http://propertydisposal.gsa.gov/property>.

### RELATED PROGRAMS:

15.916, Outdoor Recreation\_Acquisition, Development and Planning; 39.003, Donation of Federal Surplus Personal Property.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 39.003 DONATION OF FEDERAL SURPLUS PERSONAL PROPERTY

(Donation Program)

### FEDERAL AGENCY:

GENERAL SERVICES ADMINISTRATION

### AUTHORIZATION:

Older Americans Act of 1965, 40 U.S.C. 549; Section 213, as amended, Section 502, Public Law 100-77; E.O. 12999, April 17, 1996, Public Law 105-50.

### OBJECTIVES:

To donate Federal personal property no longer required for Federal use to public agencies and qualifying nonprofit entities in order to reduce the cost of State and local government.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Surplus items are used by State and local public agencies for carrying out or



promoting one or more public purposes, such as conservation, parks and recreation, education, public health, public safety, economic development and programs for older individuals; by certain nonprofit, tax-exempt activities for public health or educational purposes, including research for such purposes, and for use in programs for older individuals; or by public airports for airport development, operation or maintenance. Federal restrictions require that, at a minimum, all surplus property be placed into use by the donee within 1 year of acquisition and be used at least for 1 year thereafter. Other restrictions, terms and conditions are imposed by GSA and the agencies determining eligibility (shown under Applicant Eligibility, section below) for items with original acquisition value above \$5,000 and for certain commodities, such as vehicles and aircraft.

**Applicant Eligibility:**

(a) State participation is contingent upon the acceptance by the General Services Administration (GSA) of a State plan of operation as being in conformance with Public Law 107-217. This State plan must establish a State agency which is responsible for the distribution of Federal surplus personal property to eligible recipients within the State on a fair and equitable basis. Eligible donee categories for the distribution of property through the State Agencies for Surplus Property are defined as: (1) Public agencies which include any (i) State or department, agency, or instrumentality thereof; (ii) political subdivision of the State, including any unit of local government or economic development district, or any department, agency or instrumentality thereof; (iii) instrumentality created by compact or other agreement between State or political subdivisions; (iv) multijurisdictional sub-State district established by or pursuant to State law; and (v) Indian tribe, band, group, pueblo, or community located on a State reservation. Eligibility for public agencies is determined by the State Agency for Surplus Property. (2) Nonprofit, tax-exempt activities such as schools, colleges, universities, public libraries, schools for the mentally challenged or physically challenged, educational radio or TV stations, child care centers, museums, medical institutions, hospitals, clinics, health centers, drug abuse treatment centers, providers of assistance to the homeless, providers of assistance to the impoverished and programs for older individuals. (b) Service educational activities as determined by the Deputy Under Secretary of Defense (L/SCI). (c) Public airports. Eligibility is determined by the Federal Aviation Administration.

**Beneficiary Eligibility:**

State and local public agencies; nonprofit educational or public health institutions or organizations, including providers of assistance to the homeless; nonprofit and public programs for the elderly; educational activities of special interest to the armed services; and public airports.

**Credentials/Documentation:**

Contact appropriate State or Federal agency shown under Applicant Eligibility section of this program.

**Preapplication Coordination:**

(1) Public agencies, nonprofit educational and public health applicants, providers of assistance to the homeless, providers of assistance to the impoverished and programs for the elderly coordinate with the State Agency for Surplus Property. (2) Service Educational Activity schools and national organizations coordinate with their sponsoring military service or national headquarters. (3) Public airports coordinate with the regional Airports District Office of the Federal Aviation Administration. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact appropriate agency shown under Preapplication Coordination section of this program.

**Award Procedure:**

Upon determination of eligibility, applicant maintains contact with the appropriate agency shown under Preapplication Coordination section of this program.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Applicants participating through State agencies for surplus property may appeal a determination of ineligibility through the State agency for review by GSA.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Prescribed by agencies shown under Applicant Eligibility section of this program.

**Audits:**

Prescribed by agencies shown under Applicant Eligibility section of this program.

**Records:**

Prescribed by agencies shown under Applicant Eligibility section of this

program.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

FY 07 est \$11,507,000; FY 08 est \$12,645,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, property with an acquisition cost of \$473 million was donated. In fiscal year 2008, property with an acquisition cost of \$380 million was donated. In fiscal year 2009, the estimate is \$430 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 102-37, "Donation of Surplus Personal Property," available for purchase from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Pamphlet, "The Federal Surplus Personal Property Donation Program," available from General Services Administration at no charge.

**Regional or Local Office:**

Initial contacts (except Service Educational Activities) should be at regional or local level. See Appendix IV of the Catalog for addresses of GSA Federal Acquisition Service Regional Property Division serving the geographical area of interest. Individual units of Service Educational Activities national organizations such as Boy Scout or Girl Scout troops, Boys and Girls Clubs, etc., should contact their regional or national headquarters; Service Educational Activity Schools should contact their sponsoring military service.

**Headquarters Office:**

Director, Office of Personal Property Management, Office of General Supplies and Services, Federal Acquisition Service, General Services Administration, Washington, DC 20406. Telephone: (703) 605-5610. Information concerning the designation of Service Educational Activities can be obtained from the Deputy Under Secretary of Defense, (L/MDM) Production and Logistics, The Pentagon, Washington, DC, 20301.

**Web Site Address:**

<http://www.gsa.gov/property>

**RELATED PROGRAMS:**

12.700, Donations/Loans of Obsolete DOD Property; 39.002, Disposal of Federal Surplus Real Property; 39.007, Sale of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**39.007 SALE OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Sales Program)

**FEDERAL AGENCY:**

GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:**

Public Law 81-152, 63 Stat. 377, 40 U.S.C. 541 et. seq.

**OBJECTIVES:**

To sell personal property no longer needed by the Government in an expeditious, economical and efficient manner and to obtain the maximum net return from sales. General Services Administration conducts the sale of personal property for most of the civil agencies; the Department of Defense handles the sale of its own surplus property.

**USES AND USE RESTRICTIONS:**

This program provides individuals, business concerns, and other organizations with the opportunity to enter competitive bids for purchase of a wide variety of personal property whenever it is determined surplus to the needs of the Federal Government and available for sale. Included are vehicles, aircraft, hardware, electronic and medical equipment, furniture, office supplies and equipment, exotic gifts and collectables, and many other items. This program has been expanded offering assets available to the general public via online capabilities. GSA Auctions ([www.gsauctions.gov](http://www.gsauctions.gov)) provides the general public with an Internet website to bid electronically on a wide variety of federal personal property. The website allows GSA to offer assets located across the country to any interested buyer, regardless of location. GSA Auctions provides item descriptions and pictures of items available for sale. Successful bidders can also make payments online. Normally, there are no use restrictions on property purchased from the Government.

**Applicant Eligibility:**

Competitive bid sales are open to the general public, however bidders must be at least 18 years of age. Individuals cannot successfully register to bid on items without providing a TIN. A TIN is defined as an individual's Social Security Number (SSN) or business entity's Employer Identification Number (PIN).

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

A credit card is required for all registered users in our online community. Credit card validation assists in the prevention of fraudulent bidding activity and ensures that bidders are prepared to accept responsibility for their bidding activity and all submitted bids are valid. This card number is recorded but will not be automatically charged if a bidder is the successful bidder of an item. For security reasons and to prevent fraudulent bidding activities, all registered bidders are subject to billing address verification. No P.O. Box address will be accepted unless accompanied by a street address. By entering the credit card information, you are attesting you are an authorized user of the card. It is required that the bidder creates and secures their username and password.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Interested individuals may participate in GSA sales of Federal personal property by visiting the GSA Auctions website at [www.gsaauctions.gov](http://www.gsaauctions.gov), or may visit [www.surplussales.fss.gov](http://www.surplussales.fss.gov) for information on sales not conducted on the internet.

Also, information is available at the Federal Asset Sales website at [www.govsales.gov](http://www.govsales.gov).

**Award Procedure:**

Property is awarded to that responsible bidder whose bid, conforming to the invitation, is most advantageous to the Government, price and other factors considered. For internet sales, the successful bidders will be notified by email and must make payment within 2 business days from the date & time the award email notification was sent. Bid results from other sale types may be furnished by U.S. mail notification, via telephone, fax, or at [www.surplussales.fss.gov](http://www.surplussales.fss.gov). It is the bidder's responsibility to follow-up on the status of his/her bid and to ensure that his/her email address and all registration data are kept accurate and up-to-date.

**Deadlines:**

None. Bids must be submitted by the time and date indicated in the sales offering.

**Range of Approval/Disapproval Time:**

It is the policy of GSA Auctions to monitor bids and other activity to ensure the proper use of our site. The Government reserves the right to reject any and all bids. Bids can be rejected for any reason, especially those containing inaccurate, incomplete or None. It is the policy of GSA Auctions to monitor bids and other activity to ensure the proper use of our site. The Government reserves the right to reject any and all bids. Bids can be rejected for any reason, especially those containing inaccurate, incomplete or unverifiable information, or information which is deemed to have been given in bad faith. Indebted bidders will be ineligible for contract awards. Bidders will not be able to bid on items specified on GSA Auctions until all debts have been cleared, and will not be awarded items when participating in other methods of sale, such as sealed bid or fixed price.

**Appeals:**

Disputes, claims and/or refunds request are not a frequent issues at GSA. Contracts resulting from the sale of any offer, and particularly GSA Auctions are subject to the Contract Disputes Act of 1978 (41 U.S.C. 601-613). A claim or request for refund must be substantiated in writing to the Contracting Officer for issues regarding mis-described property, missing property and voluntary defaults.

**Renewals:**

If at any time, a participants information changes, it is their responsibility to update the appropriate information with GSA and in GSA Auctions.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

47-4530-0-4-804.

**Obligations:**

(Salaries and expenses) FY 07 \$16,129,000; FY 08 \$23,999,000; and FY 09 \$24,476,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, gross proceeds from sales were \$76.9 million. In fiscal year 2007, gross proceeds from sales were \$169.5 million. In fiscal year 2008, the estimate is \$131 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 101-45, Sale, Abandonment, or Destruction of Personal Property. FMR 102-38, Sale of Personal Property. FMR 102-39, Replacement of Personal Property Pursuant to the Exchange/Sale Authority. Pamphlet "For Public Sale! Used Federal Government Personal Property."

**Regional or Local Office:**

Federal Supply Service, General Services Administration, (select address from Appendix IV of the Catalog for the GSA Federal Acquisition Services, Office of Personal Property Management Sales Program Division which serves the geographical area of interest); or Defense Reutilization and Marketing Service (for Department of Defense surplus property), National Sales Office, 74 Washington Ave. North, Battle Creek, MI 49017-3092. Internet: <http://www.gsa.gov>.

**Headquarters Office:**

GSA Federal Acquisition Service, Office of Personal Property Management, Sales Program Division, 2200 Crystal Drive, Crystal Plaza 4, Suite 703, Arlington, VA 22202 or Defense Reutilization and Marketing Service (for Department of Defense surplus property), National Sales Office, 74 Washington Ave, North, Battle Creek, MI 49017-3092. Headquarters Office: Director, Office of Personal Property Management, Office of General Supplies and Services, Federal Acquisition Service, General Services Administration, Washington, DC 20406. Telephone: (703) 605-5610.

**Web Site Address:**

<http://www.gsa.gov> ; [www.gsaauctions.gov](http://www.gsaauctions.gov); and [www.govsales.gov](http://www.govsales.gov).

**RELATED PROGRAMS:**

12.700, Donations/Loans of Obsolete DOD Property; 20.805, Ship Sales; 39.003, Donation of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**39.009 FEDERAL CITIZEN INFORMATION CENTER**

**FEDERAL AGENCY:**

GENERAL SERVICES ADMINISTRATION

**AUTHORIZATION:**

Executive Order 11566, October 26, 1970; Public Law 95-491, 40 U.S.C. 751.

**OBJECTIVES:**

To provide citizens direct access to information about and from their government through an array of information channels including USA.gov and other targeted websites, the National Contact Center, and print materials distributed through Pueblo, Colorado. Also provides agencies government-wide with easy and cost-effective access to contact center services through the USA Contact. Also provides guidance and support to web and contact center managers across the government through Web Manager University and through the organization and management of interagency steering committees.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Maintains a nationwide toll-free contact center to respond to telephone and e-mail inquiries from the general public regarding Federal programs or activities. Maintains several websites including USA.gov, [pueblo.gsa.gov](http://pueblo.gsa.gov) kids.gov, and [consumeraction.gov](http://consumeraction.gov). USA.gov is the official Internet portal to all U.S. government information and services. It is the most comprehensive place available online for U.S. government information and services, including federal grants and loans. The Pueblo site provides access to the full text of hundreds of the most helpful and popular federal documents and links to thousands of useful federal and private sector sites. Provides a quarterly catalog of selected government and private sector publications of consumer interest in English. Publishes the Consumer Action Handbook, which helps the public find the best source for solving consumer problems.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For responses to questions about the Federal government, call the Federal Citizen Information Center at 1 (800) FED INFO (333-4636) from 8:00 a.m. to 8:00 p.m. eastern time, Monday through Friday, except Federal holidays. Recorded responses to the most popular topics are always available. For access to federal government information online or to e-mail an inquiry about government services, visit USA.gov. For printed materials, visit [www.pueblo.gsa.gov](http://www.pueblo.gsa.gov) to read or order publications online, or call 1-888-8-PUEBLO (878-3256), or write to the Federal Citizen Information Center, Pueblo, CO 81009. To subscribe to free e-mail newsletters, visit USA.gov or to subscribe to the free quarterly Catalog, visit [www.pueblo.gsa.gov](http://www.pueblo.gsa.gov).

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.  
**Appeals:**  
None.  
**Renewals:**  
None.  
**Formula and Matching Requirements:**  
None.  
**Length and Time Phasing of Assistance:**  
None.  
**Reports:**  
None.  
**Audits:**  
None.  
**Records:**  
None.  
**Account Identification:**  
47-4549-0-3-376.

**Obligations:**  
(Salaries and expenses) FY 07 \$14,789,000; FY 08 \$17,328,000; and FY 09 est \$36,558,000 for FCIC. (Note: In addition to these amounts, other Federal agencies and private sector entities pay the cost of reimbursing the Government Printing Office for distribution of free consumer publications from Pueblo, Colorado and for providing contact center services. These costs are as follows: FY 07 \$13,890,000; FY 08 est \$10,167,000 ; and FY 09 est \$10,450,000. Public Law 98-63 established a revolving fund for the Consumer Information Center (CIC). Under this fund, FCIC activities are financed from the following: Annual appropriations from the general funds of the Treasury, reimbursements from agencies for distribution of publications and contact center services, user fees collected from the public, gifts to defray the cost of printing, publishing, and distributing informational and educational materials and any other income incident to FCIC activities. All are available as authorized in appropriation acts without regard to fiscal year limitations.)

**Range and Average of Financial Assistance:**  
None.

**PROGRAM ACCOMPLISHMENTS:**  
During fiscal year 2007, the Federal Citizen Information Center had more than 222 million citizen touchpoints through a variety of channels including USA.gov and other websites, the National Contact Center program, distribution of printed materials through Pueblo, CO, as well as e-mail and web chat inquiries and subscription mailings. In support of these efforts, FCIC prepared and distributed 4 editions of the Consumer Information Catalog, maintained and enhanced the websites, produced and distributed a new edition of the Consumer Action Handbook along with the first Spanish language edition, prepared and distributed news releases and public service announcements to broadcast and print outlets, continued to distribute consumer publications nationwide, and continued to respond to citizen inquiries through a toll-free contact center and e-mail from the public directed to USA.gov.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
With a few exceptions, services and printed materials obtained through the Federal Citizen Information Center are free to the public. Some government publications listed in the Catalog are offered for sale at prices indicated and there is a user fee of \$2.00 per total order when ordering free publications through the Catalog via telephone or mail.

**Regional or Local Office:**  
None.

**Headquarters Office:**  
Director, Federal Citizen Information Center, General Services Administration, 1800 F Street, NW (XCC) Washington, DC 20405. Telephone: (202)501-1794.

**Web Site Address:**  
USA.gov; Pueblo.gsa.gov; ConsumerAction.gov; Kids.gov; USAServices.gov; gobiernoUSA.gov; consumidor.gov.

**RELATED PROGRAMS:**  
40.002, Government Publications Sales and Distribution.

**EXAMPLES OF FUNDED PROJECTS:**  
None.

**CRITERIA FOR SELECTING PROPOSALS:**  
None.

## 39.012 PUBLIC BUILDINGS SERVICE

**FEDERAL AGENCY:**  
GENERAL SERVICES ADMINISTRATION, PUBLIC BUILDINGS SERVICE

**AUTHORIZATION:**  
Public Law 110-161, Consolidated Appropriations Act, 2008; Division D-Financial Services and General Government Appropriations Act, 2008; Title V, General Services Administration.

**OBJECTIVES:**  
To cultivate innovative regional coordination, design, and planning practices for accommodating federal offices in the Washington region over the next half-century. Decisions about the form, nature, and location of federal work will have a tremendous influence on the long-term social, economic, environmental,

and cultural health of the region. Developing an urban planning vision for how to locate and develop federal work places will require close collaboration with both public and private stakeholders. The federal government seeks to encourage this effective regional coordination and plan intelligently, guided by mutual regional concerns such as sustainability, energy consumption, transportation infrastructure, security, new technologies, including those that facilitate telework opportunities, as well as the changing regional economics of land, housing, and workforce issues. In order to promote a guiding vision for the future of federal work in the Washington region, the General Services Administration's (GSA) Public Building Service (PBS) will award competitive grants in the range of \$50,000 to \$500,000 for coordination, planning, and research efforts that explore fundamental questions related to the form, location, and design of federal offices over the next 10 to 50 years in the National Capital Region. The maximum aggregate value of the grants is \$500,000. Regarding the above, the government may choose to fund multiple proposals that take very different approaches to these issues, if such proposals meet the government's interests.

### **TYPES OF ASSISTANCE:**

Provision of Specialized Services.

### **USES AND USE RESTRICTIONS:**

Through this competitive grant opportunity, GSA seeks to facilitate the research and coordination efforts that would help regional stakeholders better understand how long-term federal facility needs may be met in concert with long range regional transportation, housing, employment, telework opportunities, sustainability, and socio-economic goals and trends; the range of risks and opportunities affecting federal facility siting and development decisions; and the long-range planning and coordination needed to meet related regional challenges. The envisioned grants may be for the purposes of directly assisting in the coordination of long-term federal workplace siting decisions with regional stakeholders; providing the research needed to better inform such coordination; or a combination of the above purposes. GSA is not soliciting positions on policy issues pending before Congress, the executive branch, or other domestic bodies and will not fund grant proposals of a partisan political nature. However, projects that lead to policy recommendations for governments, international organizations, or nongovernmental organizations are welcome and indeed encouraged, although such recommendations will be those of the grantee and not GSA.

### **Applicant Eligibility:**

Institutions of higher education, nonprofit organizations, commercial organizations, State or local governments, or individuals with experience in the analysis or coordination of the planning issues described above. Joint ventures between any of these types of entities are welcome.

### **Beneficiary Eligibility:**

Institutions of higher education, nonprofit organizations, commercial organizations, State or local governments, or individuals with experience in the analysis or coordination of the planning issues described above.

### **Credentials/Documentation:**

Applicants who wish to be considered for these competitive grants must submit a grant proposal that includes an executive summary describing the proposed work; an SF-424 Facesheet, as referenced in OMB Circulars A-102 and A-110, a description of proposed work, detailed explanation of your funding request in a SF-424a, as referenced in Circulars A-102 and A-110; a description of the grantee's prior experience; and three references outside of the requesting entity who the government may contact as a reference for the entity's past performance.

### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

Grant proposals will be evaluated by a panel consisting of GSA officials and GSA Design Excellence Peers, who are nationally recognized private sector experts in the field of urban planning and design. Successful grantees will be notified by July 31, 2008.

### **Award Procedure:**

Grant funds will be issued upon the selection of grantees, as described in the Application Procedure. Upon approval of the Assistant Commissioner for the Office of Budget and Financial Management and the Deputy Commissioner and Commissioner of the Public Buildings Service.

### **Deadlines:**

Not applicable.

### **Range of Approval/Disapproval Time:**

Applications must be received by 5pm on June 20, 2008. Grants will be announced by July 31, 2008.

### **Appeals:**

None.

### **Renewals:**

None.

### **Formula and Matching Requirements:**

None.

### **Length and Time Phasing of Assistance:**

None.

### **Reports:**



Deliver as promised in Grantee proposal.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

47-4542-0-4-804.

**Obligations:**

FY 07 \$0; FY 08 \$500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Frank Giblin, 1800 F Street, N.W., Washington, DC 20405. Telephone: (202) 501-1856.

**Web Site Address:**

[www.gsa.gov](http://www.gsa.gov) .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

GSA will give preference to those proposals that it believes would best promote the purpose stated in Public Law 110-161 to encourage better understanding and coordination among State and local governments, the commercial sector, and other major stakeholders in the region about federal facilities siting decisions and long term regional needs and trends, as described above. Additionally, important factors for consideration of the grant proposals will include assessment of the following: The potential for effective use by relevant stakeholders, including the federal and regional governments, the private sector, and other key regional decision makers; the potential to advance regional understanding or coordination in a new or creative way; the ability of the requesting organization to deliver their proposed work effort; how the proposed grant funding would be leveraged by other investments or efforts, to maximize its effect; and how the proposed work supports GSA's mission and goals of leveraging the buying power of the federal government to acquire best value for taxpayers and our federal customers to deliver superior workplaces. Finally, GSA will consider the totality of submitted proposals and award grants based, in part, on how the collective body of work proposed by all the grantees would best advance the goals expressed in this grant opportunity.

# GOVERNMENT PRINTING OFFICE

## 40.001 DEPOSITORY LIBRARIES FOR GOVERNMENT PUBLICATIONS

### FEDERAL AGENCY:

GOVERNMENT PRINTING OFFICE

### AUTHORIZATION:

44 U.S.C. 1901-1915.

### OBJECTIVES:

To provide a class of libraries in the United States and its possessions known as depository libraries, in which tangible and electronic U.S. Government information products are made available by the Superintendent of Documents for use by the public.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

The purpose of this program is to make U.S. Government information products available for reference in local areas. As of March 2006, there were 1,266 Depository Libraries. There are no restrictions on the use of U.S. Government information products in depository libraries other than the general rules and regulations of the individual libraries. Public access is guaranteed by law. Depository publications remain the property of the U.S. Government.

### Applicant Eligibility:

Depository libraries are designated by members of Congress, with two Representative designations provided for in each congressional district and four Senatorial designations provided for in each State at large. By law, all State libraries, highest State appellate court libraries, libraries of land grant colleges, and law school libraries are also eligible to be designated depositories.

### Beneficiary Eligibility:

Services are available to the general public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Not applicable.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

04-0201-0-1-808.

### Obligations:

FY 07 est 43,000,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Through this program, selected U.S. Government information products are made available to Federal depository libraries for use by the general public. During fiscal year 2005, over 5.3 million copies of approx. 10,301 titles in paper, microfiche and CD ROM were distributed to depository libraries. Additionally, the Federal Depository Library Program Electronic Collection (FDLP/EC) provided no fee access to approx. 301,633 online titles located on the GPO Access servers and by linking to agency web resources. The online resources of the FDLP/EC are available via the Web at: <http://www.access.gpo.gov>.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The "Federal Depository Library Directory" describes the depository library system and contains a list of the libraries currently designated. It is available without charge and revised annually. An online version of the directory is available at: [http://www.access.gpo.gov/su\\_docs/fdlp/tools/direct.html](http://www.access.gpo.gov/su_docs/fdlp/tools/direct.html). This directory is also available free from the Federal Bulletin Board (202) 512-1387; telnet to: [fedbbs.access.gpo.gov](ftp://fedbbs.access.gpo.gov); or FTP to: <ftp://fedbbs.access.gpo.gov>; and web: <http://fedbbs.access.gpo.gov>.

### Regional or Local Office:

The libraries are listed in the program literature. As of March 2006, there were 1,266 libraries located in the United States and its possessions.

### Headquarters Office:

U.S. Government Printing Office, Information Dissemination Department (Superintendent of Documents), 732 North Capitol Street, NW., Washington, DC 20402. Contact: U.S. Government Printing Office, Judy Russell, Superintendent of Documents, 732 North Capitol Street, NW., Washington, DC 20402. Telephone: (202) 512-1114. The Gpo Contact Center: Hours: 7:00 a.m. to 8:00 p.m. EST Monday through Friday (except Federal Holidays) Toll-Free: 1-866-512-1800 DC Area: 202-512-1800 E-Mail: [ContractCenter@gpo.gov](mailto:ContractCenter@gpo.gov) Online: [www.gpoaccess.gov/help](http://www.gpoaccess.gov/help) Fax: 202-512-2104.

### Web Site Address:

[http://www.access.gpo.gov/su\\_docs/fdlp/libpro.html](http://www.access.gpo.gov/su_docs/fdlp/libpro.html).

### RELATED PROGRAMS:

11.650, National Technical Information Service; 40.002, Government Publications Sales and Distribution.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 40.002 GOVERNMENT PUBLICATIONS SALES AND DISTRIBUTION

(The Government Bookstore)

### FEDERAL AGENCY:

GOVERNMENT PRINTING OFFICE

### AUTHORIZATION:

44 U.S.C. 17.

### OBJECTIVES:

To make U.S. Government publications available for purchase.

### TYPES OF ASSISTANCE:

Sale, Exchange, or Donation of Property and Goods; Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

The United States Government Printing Office, Information Dissemination Department (Superintendent of Documents), is an authorized sales agent for information published by the various departments and agencies of the Federal Government. Approximately 5,860 titles covering nearly every field of interest are available for purchase at nominal prices. If purchasers order 100 copies or more of one publication to be mailed to a single address, they will receive a 25 percent discount. Bookdealers, regardless of the quantity purchased, will be allowed a 25 percent discount when the publications, pamphlets, periodicals or subscription services are mailed, delivered, or forwarded to the dealer's normal place of business. No discounts are allowed when the publication, pamphlet, periodical, or subscription service is mailed to a third party (unless in quantities of 100 or more), or on those periodicals and subscription services which fall into a special pricing category as noted in, "U.S. Government Subscriptions" which is described below. Generally speaking, there are no restrictions on reprinting or quoting from U.S. Government Publications, as the code of laws of the United States provides that they cannot be copyrighted. However, Government publications occasionally contain copyrighted material which was used with permission of the copyright owner, and publication in a Government document does not authorize any use or appropriation of such copyright material without the consent of the owner. As the Government Printing Office serves merely as a printing and distribution agency for Government publications and has no jurisdiction over their content or subject matter, it is suggested that the originating department or agency or its successor be consulted prior to reprinting or quoting from any given publication. In those instances in which permission to reprint material from Government publications is granted, customary credit should be given to the Government Department which prepared the material. By law, every publication printed through the GPO, whether it is designated for sale or not, must be cataloged and indexed. The "Monthly Catalog of United States Government Publications" is produced to fulfill this obligation. The approximately 5,860 titles sold by the Superintendent of Documents include about 358 subscription services. These subscription items are listed in the Superintendent of Documents, "U. S. Government Subscriptions," <http://bookstore.gpo.gov/collections/subscriptions/index.jsp> which is revised quarterly. All titles sold by GPO are listed in maybe browsed by subject at <http://bookstore.gpo.gov>. The Sales Product Catalog list the entire inventory. The Sales Product Catalog is on the Internet at: <http://bookstore.gpo.gov>.

### Applicant Eligibility:

The services of the Superintendent of Documents are available to all interested parties and there are no eligibility requirements.

### Beneficiary Eligibility:

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

04-4505-0-4-808.

**Obligations:**

(Revolving Fund) FY 07 est to available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

GPO's Sales Program provides the public an opportunity to purchase copies of tangible Government publications. In fiscal year 2005, GPO sold over 2 million tangible products and processed over 186,000 orders.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

GPO's U.S. Government Online Bookstore, <http://bookstore.gpo.gov>, includes a searchable Sales Product Catalog, along with a Search by Topic function that provides access to approximately 160 subject-specific publications lists, a number of special collections of new and noteworthy publications in many fields, and other sales information. The Catalog of U.S. Government Publication, <http://www.gpoaccess.gov/cgp/ondex.html>, provides an index to both print and electronic publications created by Federal agencies. When available, links are provided to the full text of these publications. Additionally, the Locate Libraries feature enables users to find libraries by state or area code that can make print publications available for their use. Coverage is January 1994- April 2005.

**Regional or Local Office:**

Orders may be submitted to the Government Printing Office via the Internet, phone, fax, postal mail, or e-mail. Internet: <http://bookstore.gpo.gov> Phone: DC Metro Area: (202) 512-1800 Toll-Free: (866) 512-1800, Monday through Friday, 7:00 am - 9:00pm EST Fax: (202) 512-2104 Mail: Superintendent of Documents P.O. Box 371954, Pittsburgh, PA 15250-7954 E-Mail: [Contactcenter@gpo.gov](mailto:Contactcenter@gpo.gov). When ordering, always include stock number, unit of issue, quantity, and price (if available). If the items is a subscription service, include the list ID as well.

**Headquarters Office:**

Mail orders and inquiries should be addressed to: United States Government Printing Office, Superintendent of Documents, 732 N. Capitol Street, Washington, DC 20402. Contact: Order Desk. Telephone: (toll free) (866) 512-1800 or DC area (202) 512-1800. Fax: (202) 512-2104, E Mail: [orders@gpo.gov](mailto:orders@gpo.gov) or [gpo@custhelp.com](mailto:gpo@custhelp.com) .

**Web Site Address:**

<http://bookstore.gpo.gov> .

**RELATED PROGRAMS:**

11.650, National Technical Information Service; 39.009, Federal Citizen Information Center; 40.001, Depository Libraries for Government Publications; 42.005, Library of Congress Publications; 43.002, Technology Transfer.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.



# LIBRARY OF CONGRESS

## 42.001 BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED

### FEDERAL AGENCY:

LIBRARY OF CONGRESS

### AUTHORIZATION:

Public Laws 71-787, 87-765, and 89-522, 2 U.S.C. 135a, 135a-1, 135b.

### OBJECTIVES:

To provide library service to the blind and physically handicapped residents of the United States and its Territories, and to American citizens living abroad.

### TYPES OF ASSISTANCE:

Use of Property, Facilities, and Equipment.

### USES AND USE RESTRICTIONS:

The program provides books on cassette, disc, in Braille, and talking book and recorded cassette machines. There are 57 regional libraries and 75 subregional libraries in the United States with access to approximately 423,000 titles in recorded and braille formats and more than 22,000 music scores, textbooks, and instructional materials in braille, large type and recorded formats worldwide.

### Applicant Eligibility:

An applicant must provide a certificate of his inability to read or manipulate standard printed material from a competent authority, defined in cases of blindness, visual disability, or physical limitations, as doctors of medicine, doctors of osteopathy, ophthalmologists, optometrists, registered nurses, therapists, professional staff of hospitals, institutions, and public or welfare agencies. In the absence of any of these, certification may be made by professional librarians or by any person whose competence under specific circumstances is acceptable to the Library of Congress. In the case of reading disability from organic dysfunction, competent authority is defined as doctors of medicine and doctors of osteopathy who may consult with colleagues in associated disciplines.

### Beneficiary Eligibility:

Blind and physically handicapped residents of the United States and its Territories, and American citizens living abroad will benefit.

### Credentials/Documentation:

An applicant must provide a certificate of his inability to read or manipulate standard printed material from a competent authority, defined in cases of blindness, visual disability, or physical limitations, as doctors of medicine, doctors of osteopathy, ophthalmologists, optometrists, registered nurses, therapists, professional staff of hospitals, institutions and public or welfare agencies. In the absence of any of these, certification may be made by professional librarians or by any person whose competence under specific circumstances is acceptable to the Library of Congress. In the case of reading disability from organic dysfunction, competent authority is defined as doctors of medicine and doctors of osteopathy who may consult with colleagues in associated disciplines. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Application Procedure: Applications can be made to the National Library Service for the Blind and Physically Handicapped in Washington, DC, or the 57 regional libraries, or 75 subregional libraries. This program is excluded from coverage under OMB Circular No. A 110.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

03-0141-0-1-503.

### Obligations:

Obligations: (20 percent salaries and expenses; 80 percent equipment and

support) FY 07 \$38,039,736; FY 08 est \$75,623,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

PROGRAM ACCOMPLISHMENTS: In FY 06, 811,015 blind and physically handicapped readers were served by regional and subregional libraries throughout the United States with a collection of 423,000 titles in recorded and braille formats. Circulation of volumes and containers was 26,296,198. Actual readership: FY 06, 793,891. Estimated readership: FY 07, 793,891; and FY 08, 811,015. Actual circulation: FY 06, 24,677,023. Estimated circulation: FY 07, 24,677,023; and FY 08, 26,296,198.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"Reading is for Everyone." Application form, list of regional and subregional libraries, 36 CFR (Chapter VII).

### Regional or Local Office:

Regional or Local Office: Fifty seven regional and 75 subregional libraries in the United States. Each State has an agency distributing talking book machines. Local public libraries have information available. Otherwise contact the headquarters office listed in this program.

### Headquarters Office:

Frank Kurt Cylke, Director, National Library Service for the Blind and Physically Handicapped, Library of Congress, 1291 Taylor Street, NW., Washington DC 20542. Telephone: (202) 707-5100. E-mail: nls@loc.gov.

### Web Site Address:

<http://www.loc.gov/nls>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 42.002 COPYRIGHT SERVICE

### FEDERAL AGENCY:

LIBRARY OF CONGRESS

### AUTHORIZATION:

Public Law 102-307, 17 U.S.C. 101-710, as amended.

### OBJECTIVES:

OBJECTIVES: To administer the U.S. copyright law, to examine and decide the acceptability of all applications, deposit copies, and other materials presented for registration of original and renewal copyright claims; and preregistration of certain unpublished works; to process deposits submitted in compliance with the mandatory deposit provision of the copyright law; to record and publish facts of copyright and certain bibliographic data pertaining to each registered work; to furnish information to the public about the procedures for making registration and the practices of the Office; to record transfers of copyright ownership or other documents pertaining to a copyright; to provide reports on copyright facts found in the records of the Copyright Office; to provide certified copies of office records; and to promulgate copyright regulations. To examine cable system and satellite carrier statements of account and collect compulsory license royalties for distribution to copyright owners; to examine quarterly and annual statements of account and receive royalties on behalf of copyright owners pursuant to the statutory obligation provided for the manufacture and distribution of digital audio recording equipment and media; to examine and record documents relating to compulsory and statutory licenses and obligations and to assist the Copyright Royalty Board and review the legal underpinnings of its decisions.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

USES AND USE RESTRICTIONS: Anyone may request information about the copyright law, the Copyright Office regulations, the method of securing copyright, and procedures for registering claims and recording documents. This information is free of charge. Reports on copyright facts found in the records of the Copyright Office may be obtained for a statutory search fee of \$150 an hour or fraction thereof; however, any member of the public may use, without charge, the Copyright Card Catalog and the online catalog of registrations made since 1978 in the Copyright Office. The Office has established a single statutory fee for registration of claims to copyright for most categories of work with the exception of group registration of serials and daily newspapers, which have separate fee schedules. Fees provided by law for registration of claims to copyright are \$45 (\$35 for online submissions starting in FY 2008) for most categories with the exception of group registration of serials and daily newspapers, which have separate fee schedules. There are also separate schedules of statutory fees for recordation of transfers of copyright ownership, certified copies of records, etc. The latest fee information can be obtained by contacting the Copyright Office or checking the Copyright Office Website at

www.copyright.gov.

**Applicant Eligibility:**

Information is supplied to anyone on request. Registration may be made by creators of the work, their assignees, or their exclusive licensees, and others designated by law, or by their agents.

**Beneficiary Eligibility:**

Information supplied to anyone, on request. Registration may be made by authors, their assignees, or their exclusive licensees, and others designated by law, or by their agents.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Walk-in service or written requests for information. Applications for registration are on forms provided by the Copyright Office. Application forms are also available on the Copyright Office Forms Hotline at (202) 707-9100 24 hours a day, and at the Copyright Office Website at www.copyright.gov.

**Award Procedure:**

Not applicable.

**Deadlines:**

The owner of a copyright or the right of first publication in a work published in the United States has a legal obligation to deposit in the Copyright Office two complete copies or phonorecords for the use of the Library of Congress. Copyright registration under the 1976 Copyright Act is generally voluntary, although copyright owners are required to register their claim in order to obtain certain legal remedies; registration can be made at any time during the copyright term; however, prompt registration is advisable to preserve the ability to obtain statutory damages and attorney's fees for copyright infringement. Cable systems, satellite carriers, importers, and manufacturers of digital audio recording products have deadlines for filing statements of account and royalty fees.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Request for Reconsideration: Denials of registration may be appealed to the Registration and Recordation Program by letter. A second appeal, also by letter, may be made to a Review Board.

**Renewals:**

Renewals: The copyright law was amended to extend automatically the term of copyrights secured between January 1, 1964, and December 31, 1977, to a further term of 47 years and made renewal optional. The term of copyright in works published or copyrighted between January 1, 1964, and December 31, 1977, is 95 years. There is no need to make the renewal filing in order to extend the original 28 year copyright term to the full 95 years. However, some benefits accrue to making a renewal registration. Note: It is no longer possible to do a renewal during the 24th year. The filing fee for renewals is \$75. This fee applies to all renewal applications filed on or after July 1, 2007. For more information, contact the Renewals Section at (202) 707 8180.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

03-0102-0-1-376.

**Obligations:**

Obligations: (82 percent salaries and expenses; 12 percent materials) FY 06 \$51,676,000; FY 07 \$48,650,670; FY 08 est \$51,562,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, it made 525,146 registrations. The estimated registrations for FY 08 are 510,000. In FY 07, the Office recorded 11,534 documents relating to copyrights. The Office estimates 12,000 document recordings in FY 08. In FY 07, the value of such transfers was more than \$45 million. The value of transferred material for FY 08 is estimated at \$45 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applications, copies of regulations, and printed informational circulars are available from the Copyright Office at the mailing address given below.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Register of Copyrights, Copyright Office, James Madison Memorial Building, Library of Congress, Washington, DC. Telephone: (202) 707-3000. Mailing

address: Library of Congress, Copyright Office, 101 Independence Ave., S.E., Washington, DC 20559-6000.

**Web Site Address:**

http://www.copyright.gov.

**RELATED PROGRAMS:**

11.900, Patent and Trademark Technical Information Dissemination.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**42.008 SEMICONDUCTOR CHIP PROTECTION SERVICE**

**FEDERAL AGENCY:**

LIBRARY OF CONGRESS

**AUTHORIZATION:**

Public Law 98-620, 98 Stat. 3347 (1984) (as amended)

**OBJECTIVES:**

To administer the Semiconductor Chip Protection Act of 1984; to examine and decide the acceptability of all application and identifying material for registration of the claim of protection; to establish by regulation the fees for filing of applications and for other services provided by the Copyright Office; to record and publish legal facts or data pertaining to each registered work; to furnish information to the public about the procedures for applying for registration and the practices of the Office; to record documents of transfer or other documents pertaining to mask works.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

USES AND USE RESTRICTIONS: Anyone may request information about the Semiconductor Chip Protection Act, the Copyright Office regulations, the method of securing registration and the procedures for registering claims of protection and recording documents. This information is free of charge. Reports on facts found in the records of the Copyright Office may be obtained for a statutory fee of \$150 an hour. However, any member of the public may (without charge) use the catalog records in the Copyright Office. The records are available via the Copyright Office website. The fee set by regulation for registration of claims of protection is \$95. There are also separate schedules of regulatory fees for recordation of transfers of ownership and certified copies of record. The latest fee information can be obtained by contacting the Copyright Office or checking the Copyright Office Website at www.copyright.gov.

**Applicant Eligibility:**

Information is supplied on request to anyone. Registration may be made by the agent of a qualified mask work, as designated by law, or the duly authorized agent of such owner.

**Beneficiary Eligibility:**

Information is supplied to anyone on request. Owners of qualified mask works as designated by law will benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Walk-in service or written requests for information. Applications for registration are made on forms MW provided by the office. Application forms are available on the Copyright Office Website at http://www.copyright.gov. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

Applications for registration of a claim of protection must be made within 2 years after the date in which the work was first commercially exploited anywhere in the world.

**Range of Approval/Disapproval Time:**

If the Copyright Office fails to act upon the application within four months of its receipt, the Office is deemed to have refused to register the application. However, an applicant has the right to initiate an infringement suit in court before registration is made, provided that notice of the action is served on the Register of Copyrights.

**Appeals:**

Requests for Reconsideration: Refusal of the Register of Copyrights to issue a certificate of registration may be brought for review in an appropriate United States district court not later than sixty days after the refusal. Informal administrative reconsideration of a refusal to register may be requested by letter to the Registration and Recordation Program.

**Renewals:**

None. The duration of protection is a single ten year term terminating at the end of the tenth calendar year.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

03-0102-0-1-376.

**Obligations:**

(Salaries and Expenses) FY 07 \$0; FY 08 \$0; and FY 09 est not reported. Note: The cost of the semiconductor chip protection service has been absorbed by the Copyright Office under the appropriation for copyright services. (Fees collected are returned to the U.S. Treasury to offset the costs of the program.)

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, the Office made 284 mask work registrations. The Office estimates 250 such registrations for FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applications, copies of regulations, and printed informational circulars are available from the Copyright Office at the mailing address given below.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Register of Copyrights, Copyright Office, James Madison Memorial Building, Library of Congress, Washington, DC. Telephone: (202) 707-1497. Mailing Address: Library of Congress, Copyright Office, 101 Independence Ave. S.E., Washington, DC 20559-6000.

**Web Site Address:**

<http://www.copyright.gov>.

**RELATED PROGRAMS:**

42.002, Copyright Service; 11.900, Patent and Trademark Technical Information Dissemination.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**42.009 VESSEL HULL DESIGN PROTECTION SERVICE****FEDERAL AGENCY:**

LIBRARY OF CONGRESS

**AUTHORIZATION:**

Public Law 105-304, 112 Stat. 2860 (1998), as amended.

**OBJECTIVES:**

To administer the Vessel Hull Design Protection Act of 1998; to examine and decide the acceptability of all applications and identifying material for registration of claims of protection; to establish by regulation the fees for filing of applications and for other services provided by the Copyright Office; to record and publish legal facts or data pertaining to each registered work; to furnish information to the public about the procedures for applying for registration and the practices of the Office; to record documents of transfer or other documents pertaining to vessel hull designs.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Anyone may request information about the Vessel Hull Design Protection Act, the Copyright Office regulations, the method of securing registration and the procedures for registering claims of protection and recording documents. This information is free of charge. Reports on facts found in the records of the Copyright Office may be obtained for a statutory fee of \$150 an hour. However, any member of the public may (without charge) use the catalog records in the Copyright Office. The fee set by regulation for registration of a claim of protection to one design is \$200. There are also separate schedules of regulatory fees for additional deposit copies, recordation of distinctive identification of an owner, special handling of a registration application, recordation of transfers of ownership and certified copies of record. The latest fee information can be obtained by contacting the Copyright Office or checking the Copyright Office Website at [www.copyright.gov](http://www.copyright.gov).

**Applicant Eligibility:**

Information is supplied on request to anyone. Registration may be made by the owner of a qualified vessel hull design, as designated by law, or the duly authorized agent of such owner.

**Beneficiary Eligibility:**

Information is supplied to anyone on request. Owners of qualified vessel hull designs as designated by law will benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Walk-in service or written requests for information. Applications for registration are made on form D-VH provided by the Office. Application forms are available on the Copyright Office Website at <http://www.copyright.gov>. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

Applications for registration of a claim of protection must be made within 2 years after the date in which the vessel hull design was first made public anywhere in the world.

**Range of Approval/Disapproval Time:**

There is no time period prescribed by law within which the Copyright Office must accept or reject an application for registration of a vessel hull design.

**Appeals:**

If the Register of Copyrights refuses to issue a certificate of registration of a vessel hull design, the applicant may, upon written request, seek reconsideration within three months after the date on which the notice of refusal is sent. Final refusal of the Register of Copyrights to issue a certificate of registration may be brought for review in an appropriate United States district court.

**Renewals:**

None. The duration of protection is a single ten-year term terminating at the end of the tenth calendar year.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

03-0102-0-1-376.

**Obligations:**

(Salaries and Expenses) FY 07 \$0; FY 08 \$0; and FY 09 est not reported. Note: The cost of the vessel hull design protection service has been absorbed by the Copyright Office under the appropriation for copyright services. (Fees collected are returned to the U.S. Treasury to offset the costs of the program.)

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, the Office made 26 vessel hull design registrations. The Office estimates 30 such registrations for FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applications, copies of regulations, and printed informational circulars are available from the Copyright Office at the mailing address given below.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Register of Copyrights, Copyright Office, James Madison Memorial Building, Library of Congress, Washington, DC. Telephone: (202) 707-1497. Mailing Address: Library of Congress, Copyright Office, 101 Independence Ave. SE., Washington, DC 20559-6000.

**Web Site Address:**

<http://www.copyright.gov>.

**RELATED PROGRAMS:**

42.002, Copyright Service; 42.008, Semiconductor Chip Protection Service; 11.900, Patent and Trademark Technical Information Dissemination.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.



# NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

## 43.001 AEROSPACE EDUCATION SERVICES PROGRAM

(Spacemobile)

### FEDERAL AGENCY:

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### AUTHORIZATION:

National Aeronautics and Space Act of 1958, Section 203(a) (3), as amended, Public Law 85-568, 42 U.S.C. 2473.

### OBJECTIVES:

NASA's Aerospace Education Services Program (AESP) is a specialized group of educators using NASA's unique assets to support local, state, regional and national mathematics, science, and technology education systemic change efforts through collaboration of internal and external stakeholders in high-impact activities. This well-trained, well-informed and well-equipped workforce uses the NASA Mission and Vision to support increased instruction in mathematics, science, and technology content, enhance pedagogical skills, and address equity issues.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

AESP provides in-service and preservice workshops for K-12 teachers to initiate dramatic and enduring education systemic change that directly impacts teaching and learning science, mathematics, and technology in existing classrooms. AESP Specialists support and complement teacher training by visiting in individual classrooms to model and assist teachers in implementing the strategies demonstrated in teacher workshops. Programs cannot be used where there are commercial overtones, for promotional purposes, or where admission is charged.

### Applicant Eligibility:

Schools, teacher training institutions, colleges, universities, civic groups, museums and planetaria.

### Beneficiary Eligibility:

Schools, teacher training institutions, colleges, universities, civic groups, museums and planetaria.

### Credentials/Documentation:

None.

### Preapplication Coordination:

Not necessary, but may be helpful to contact Educational Programs office at any NASA Field Center or headquarters or the science supervisor of the respective State department of education. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Letter request to NASA Field Centers listed below.

### Award Procedure:

Not applicable.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Approximately 3 or 4 weeks.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Participants are requested to provide feedback about the program and its results through the NASA Education Evaluation and Information System (NEEIS) or by written evaluations.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

80-0114-0-1-999.

### Obligations:

(Salaries and Expenses) FY 07 est \$6,340,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

During Fiscal Year 2005, NASA Aerospace Education Services Project (AESP) visited 1,609 schools in all 50 states and two U.S. territories. Aerospace education specialists taught 1,258 workshops for a total of 18,747 educators and presented 4,913 assembly programs and classroom visits for a total of 244,371 students. In addition, programs for the informal and local communities emphasizing parents (or caregivers) totalled 112 programs with an audience of

296,696.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"NASA Aerospace Education Services Program," free of charge.

### Regional or Local Office:

Contact education officer at nearest NASA Field Center: Ames Research Center, Moffett Field, CA 94035; Dryden Flight Research Center, Edwards, CA 93523; Goddard Space Flight Center, Greenbelt, MD 20771; John F. Kennedy Space Center, Kennedy Space Center, FL 32899; Langley Research Center, Langley Station, Hampton, VA 23365; Glenn Research Center, 21000 Brookpark Road, Cleveland, OH 44135; Johnson Space Center, Houston, TX, 77058; Marshall Space Flight Center, Huntsville, AL 35812; Stennis Space Center, Stennis Space Center, MS 39529.

### Headquarters Office:

Office of Education, NASA Headquarters, Washington, DC 20546. Telephone: (202) 358-1110. Initial contact should be at NASA Field Center.

### Web Site Address:

<http://www.nasa.gov>.

### RELATED PROGRAMS:

20.100, Aviation Education; 43.002, Technology Transfer.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 43.002 TECHNOLOGY TRANSFER

### FEDERAL AGENCY:

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

### AUTHORIZATION:

National Aeronautics and Space Act of 1958, Section 203(a) (3), as amended, Public Law 85-568, 42 U.S.C. 2473.

### OBJECTIVES:

To insure that technologies resulting from Government-sponsored civilian aerospace research and development are made available to the widest extent practicable and appropriate for the Nation's benefit.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Discoveries, innovations, inventions, and improvements developed throughout the aeronautics and space program are brought to the attention of private industry, academic institutions, and Federal, State and local government organizations in several ways. These technologies can be accessed with NASA's TechTracS data system via the Internet. NASA Tech Briefs is a monthly periodical with an industrial readership of approximately 500,000 containing articles which describe such innovations. Subscription is currently free to qualified engineers, scientists and business people in U.S. industry and to technology transfer agents. NASA technology transfer offices at NASA field centers work with public sector organizations, medical institutions, industry associations and others to identify problems of national scope and significance suitable for joint-sponsored NASA/industry applications engineering projects. The objective of such projects is to apply or otherwise adapt existing aerospace technology to meet identified non-aerospace needs in the public and private sectors of the Nation's economy.

### Applicant Eligibility:

Engineers and managers of domestic enterprises, professionals, and others involved in technology transfer are entitled to free subscriptions to NASA Tech Briefs. Technical information search and retrieval services beyond that available via the Internet (<http://www.nasatech.com>), and NASA-owned computer programs/documentation are available to domestic organizations on a free or paying basis. Technology Transfer products are available to those who can demonstrate a national public need and would be served by applying NASA technology.

### Beneficiary Eligibility:

U.S. industry will benefit.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

None required. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

None.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

80-0114-0-1-999.

**Obligations:**

FY 07 \$24,200,000; FY 08 est \$31,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

The NASA Innovative Partnerships Program has helped many industrial, educational, and government organizations develop new products, increase productivity, reduce costs, and improve the quality of life for US citizens. Typically, the IP Program provides user access to aerospace technology in support of technical problem solving. For example, sensor technology, microelectronics and telemetry systems have been adapted and applied in the development of a range of biomedical implantable devices to control or otherwise administer corrective treatment of diseases or bodily functions or ailments, such as diabetes or intractable pain. Many industrial uses of aerospace technology have occurred, including: wireless infrared communications systems; manufacturing scheduling enhancements; structural analysis of industrial products and systems, and a host of materials applications in new and improved products. NASA computer programs are routinely adapted and used by hundreds of U.S. companies annually, with substantial savings in software development costs. During the past year, over 200,000 individuals and firms were given access to new ideas and improvements from NASA resulting in new products and processes. Over 27,000 technical innovations from the space program have been published and are now available for use by American industry by subscribing to NASA Tech Briefs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Internet access at <http://nctn.hq.nasa.gov>; and "NASA Tech Briefs"

<http://www.nasatech.com>.

**Regional or Local Office:**

Persons are encouraged to contact the Innovative Partnership Program Office at a NASA Field Center: Ames Research Center, Mail Stop 202A-3, Moffett Field, CA 94035-1000, Telephone: (650) 604-1754; Goddard Space Flight Center, Mail Stop 504, Greenbelt, MD 20771-0001, Telephone: (301) 286-5810; Dryden Flight Research Center, Mail Stop 4839, P.O. Box 273, Edwards, CA 93523-0273, Telephone: (661) 276-3872; NASA Management Office-Jet Propulsion Laboratory, Mail Stop 301-350, 4800 Oak Grove Drive, Pasadena, CA 91109-8099, Telephone: (818) 354-3821; Kennedy Space Center; Mail Stop: KT-A2, Kennedy Space Center, FL 32899-0001, Telephone: (321) 861-7158; Langley Research Center, Mail Stop 218, 11 Langley Blvd. Hampton, VA 23681-0001, Telephone: (757) 864-4015; Glenn Research Center, Mail Stop 3-7, 21000 Brookpark Road, Cleveland, OH 44135, Telephone: (216) 433-2802; Johnson Space Center, Mail Stop AF2, 2101 NASA Road 1, Houston, TX 77058-3696, Telephone: (281) 483-8051; Marshall Space Flight Center, Mail Stop CD30, Marshall Space Flight Center, AL 35812, Telephone: (256) 544-7604; Stennis Space Center, Innovative Partnerships Program, Bldg. 3226, Mail Stop EA41, Stennis Space Center, MS 39529-600, Telephone: (601) 688-1660. NASA Headquarters, Innovative Partnerships Program Office, Washington, DC 20546-0001, Telephone: (202) 358-2560. Persons or organizations desiring comprehensive technical information service should contact the National Technology Transfer Center (NTTC), Wheeling Jesuit University, 316 Washington Avenue, Wheeling, WV 26003, Telephone: (800) 678-6882.

**Headquarters Office:**

Innovative Partnerships Program, NASA Headquarters, Washington, DC 20546-0001. Telephone: (202) 358-2560.

**Web Site Address:**

<http://www.nctn.hq.nasa.gov>.

**RELATED PROGRAMS:**

11.650, National Technical Information Service; 40.002, Government Publications Sales and Distribution; 43.001, Aerospace Education Services Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

# NATIONAL CREDIT UNION ADMINISTRATION

## 44.001 CREDIT UNION CHARTER, EXAMINATION, SUPERVISION, AND INSURANCE

### FEDERAL AGENCY:

NATIONAL CREDIT UNION ADMINISTRATION

### AUTHORIZATION:

Federal Credit Union Act, as amended, 12 U.S.C. 1751 et seq.

### OBJECTIVES:

To offer to groups that have a common bond the opportunity to establish and operate their own credit unions.

### TYPES OF ASSISTANCE:

Insurance; Provision of Specialized Services; Advisory Services and Counseling.

### USES AND USE RESTRICTIONS:

Staff will explain Federal credit union chartering requirements to any interested group, will help with the preparation of the charter application, will assist a newly chartered credit union to begin operation, and will assist credit unions and their members in consumer matters. Grant of a Federal charter will provide \$100,000 depositor insurance on individual accounts and \$250,000 on Retirement accounts. State-chartered credit unions are eligible to apply for depositor insurance in accordance with applicable State laws.

### Applicant Eligibility:

Based on a combination of interest by group, economic feasibility, and other factors. However, as a general guideline, associations, employee groups, and communities with 500 or more potential members may qualify for a Federal credit union charter, if economic feasibility can be shown.

### Beneficiary Eligibility:

Public nonprofit institutions and organizations, individuals and families and private nonprofit institutions and organizations.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Made in the form of a request to the Chairman, National Credit Union Administration (NCUA). Requests are submitted through regional offices.

### Award Procedure:

The organization certificate, if approved by the NCUA, shall constitute the charter of the Federal credit union and will be mailed to the key official.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Once the necessary investigations are completed, the processing will take approximately two weeks.

### Appeals:

The NCUA board delegates authority to its regional directors to approve Federal credit union charters. If disapproved by the regional director, group seeking charter may appeal to the NCUA Board.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

25-4056-0-3-373; 25-4468-0-3-373.

### Obligations:

(Federal credit union program is supported by fees and insurance premiums). FY 07 \$268,000,000; FY 08 est \$274,000,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

All Federal credit unions have depositor insurance. As of December 31, 2006, 3,173 natural person State credit unions were federally insured. At year end 2006, 5,189 natural person Federal credit unions were in operation. Federal credit union and State credit unions were serving 85.7 million members. Federal credit unions' assets were \$394.2 billion, loans outstanding were \$270.5 billion, and members' savings were \$333.9 billion. There were 6 new Federal credit union charters granted in 2006.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Credit Union Information Package available upon request. Some Information Packages are at no charge and others require a fee. A complete list of literature and charges can be obtained through the Office of Public and Congressional

Affairs (703) 518-6330.

### Regional or Local Office:

9 Washington Square, Washington Avenue Extension, Albany, NY 12205. Telephone: (518) 862-7400; Suite 4206, 1775 Duke Street, Alexandria, VA 22314-3437. Telephone: (703) 519-6400; Suite 1600, 7000 Central Parkway, Atlanta, GA 30328. Telephone: (678) 443-3000; 4807 Spicewood Springs Road, Suite 5200, Austin, TX 78759-8490. Telephone: (512) 342-5600; 1230 West Washington Street, Suite 301, Tempe, AZ 85281. Telephone: (602)302-6000. Asset Management Assistance Center, 4807 Spicewood Springs Road, Suite 5100, Austin, TX 78759-8490. Telephone: (512) 231-7900.

### Headquarters Office:

Chairman, NCUA Board, National Credit Union Administration, 1775 Duke Street, Alexandria, VA 22314-3428. Telephone: (703) 518-6300.

### Web Site Address:

<http://www.ncua.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 44.002 COMMUNITY DEVELOPMENT REVOLVING LOAN FUND PROGRAM FOR CREDIT UNIONS

(CDCU)

### FEDERAL AGENCY:

NATIONAL CREDIT UNION ADMINISTRATION

### AUTHORIZATION:

Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623, 633, and 681, Public Law 97-35, 95 Stat. 494, 498 and 518, 42 U.S.C. 9812, 9822 and 9910; Public Law 98-63, 97 Stat. 331; Public Laws 99-609, 101-144, 103-325, and 109-115.

### OBJECTIVES:

To support low-income credit unions in their efforts to: (1) Stimulate economic development activities which result in increased income, ownership, and employment opportunities for low-income residents; and (2) provide basic financial and related services to residents of their communities.

### TYPES OF ASSISTANCE:

Direct Loans.

### USES AND USE RESTRICTIONS:

In order to meet the objectives of the Community Development Revolving Loan Program for Credit Unions, an applicant low-income credit union approved for participation must provide a variety of financial and related services designed to meet the particular needs of the low-income community served. Federal funds loaned under the Revolving Loan Program may be used for services that include activities aimed towards: (1) Supporting and stimulating economic development and revitalization efforts aimed at benefiting the community it serves. Recipients are encouraged to use funds available through the Revolving Loan Program to serve as a catalyst to attract and stimulate the investment of capital from other private and public sources to promote economic development activities within the community; (2) providing member services such as financial counseling; and (3) increasing the membership and the capitalization base such as: (a) membership drives; (b) campaigns to encourage members to increase their share deposits through systematic savings, utilizing such methods as payroll deductions allotments; and (c) businesses and other organizations serving the community to maintain share deposits or contribute financially in other ways to projects supported by the credit union. Loans up to \$300,000, will be made to credit unions. All loans must be repaid to the Community Development Revolving Loan Fund for Credit Unions within the shortest time compatible with sound business practice and with the objectives of the program, but in no case will the term exceed 5 years. Loans made under this program shall bear interest at a rate of not less than 1 or greater than 3 percent per annum. Semi-annual interest and principal payments are required by the Revolving Loan Program.

### Applicant Eligibility:

All State and federally chartered credit unions with a low-income designation are eligible. This program is for established, financially sound low-income credit unions that wish to increase member services in their communities. Credit unions in the territories and the possessions are eligible to apply.

### Beneficiary Eligibility:

A credit union wishing to participate must serve a field of membership which is comprised primarily of low-income individuals. The credit union's field of membership should correspond geographically to the designated program area described in its application and may include employees who regularly work in the area, businesses located within the area, and the residents of the area. In particular cases, the community served may include a number of contiguous



neighborhoods constituting a target area. A target area is defined as that area designated by the Economic Development Administration or another Federal agency or by a State or local government agency for special assistance to low-income residents such as special impact areas or enterprise zones.

**Credentials/Documentation:**

The Community Development Revolving Loan Fund Program for Credit Unions requires low-income credit unions to provide evidence of chartering from the appropriate Regional Office of the National Credit Union Administration or a State credit union regulatory agency. The board of directors will prepare a Community Needs Plan (Plan) and submit it with its loan application. The Plan will contain a list of needed community services that the credit union will provide. The board of directors will provide a status report on the Plan's objectives to the credit union members once a year either at the annual meeting or in a written report sent to all members. The Plan's yearly status report will also be submitted to NCUA annually. This Program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for loans competitively awarded in response to a program announcement are to be addressed to: National Credit Union Administration, Community Development Revolving Loan Program for Credit Unions, 1775 Duke Street, Alexandria, VA 22314- 3428. Applicants are urged to inform and to coordinate with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This Program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

NCUA will notify applicant credit unions as to whether they have qualified for a loan under the Revolving Loan Program.

**Deadlines:**

Notices of availability of funds will be published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Any applicant whose qualification is denied may appeal that decision to the NCUA Board.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Revolving Loan Program has no statutory formula. Loans made available under the program must be matched by the participating credit union. Any loan monies matched by member share deposits will be credited as a two-for-one match. Non- member deposits are a dollar-for-dollar match.

**Length and Time Phasing of Assistance:**

Financial assistance made available in this program will be in the form of a loan which is to be deposited in the credit union as either a non-member deposit or as a note payable and must be repaid to the Revolving Loan Program at a rate of not less than 1 or greater than 3 percent per annum. The term of the loans will not exceed 5 years from the date of award of the loan. Funds will be released directly to the credit union by NCUA, Community Development Revolving Loan Program for Credit Unions.

**Reports:**

Loan recipients must submit a copy of the Credit Union's Community Needs Plan with their application, annual audit report of the Supervisory Committee, quarterly, semi-annual or other financial, business or program reports as required by NCUA and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives.

**Audits:**

The recipient credit union must submit to NCUA annually the Supervisory Committee's audit report and the annual State or Federal examiner's report within 30 days of issuance.

**Records:**

Loan recipients are required to keep all financial, business and program reports necessary for program review and audit to ensure that funds have been expended in accordance with the regulations, loan agreement and terms and conditions of the Revolving Loan Program.

**Account Identification:**

25-4472-0-3-373.

**Obligations:**

FY 07 \$7,300,000; FY 08 est \$2,500,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$5,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

\$2.9 million in new loans were made in fiscal year 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CDRL Program, Federal Register, Volume 52 No. 179, September 16, 1987 (12 CFR 705) and Volume 54 No. 240, December 15, 1989.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Tawana James, Community Development Revolving Loan Fund Program for Credit Unions, National Credit Union Administration, 1775 Duke Street, Alexandria, VA 22314-3428. Telephone: (703) 518-6610.

**Web Site Address:**

<http://www.ncua.gov>.

**RELATED PROGRAMS:**

44.001, Credit Union Charter, Examination, Supervision, and Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Community Development Revolving Loan Fund Program will use the following to base its consideration for awards on the following priorities: (1) Purpose; (2) Financial Factors and (3) Non-Financial Factors as listed in the application for funds.

# NATIONAL ENDOWMENT FOR THE ARTS

## 45.024 PROMOTION OF THE ARTS-GRANTS TO ORGANIZATIONS AND INDIVIDUALS

### FEDERAL AGENCY:

NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

### AUTHORIZATION:

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

### OBJECTIVES:

To support excellence in the arts, both new and established; bring the arts to all Americans; and provide leadership in arts education.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grants support projects that include opportunities for artists to create, refine, perform, and exhibit their work; the presentation of artistic works of all cultures and periods; the preservation of significant works of art and cultural traditions; opportunities for arts organizations and artists to expand and diversify their audiences; opportunities for individuals to experience and participate in a wide range of art forms and activities; opportunities to enhance the effectiveness of arts organizations and artists; the strengthening of communities through the arts; the recognition of artists for their contributions to our nation's cultural heritage; nationally distributed television and radio programs on the arts; the acquisition by children and youth of knowledge, skills, and understanding of the arts consistent with national or state arts education standards; partnerships with other federal agencies to carry out quality projects or initiatives of mutual interest; activities, carried out in partnership with foundations or other government agencies, which provide increased opportunities for international cultural exchange; activities that acquaint foreign artists and cultural officials with the best of American culture; a limited number of leadership projects intended to advance the arts significantly and demonstrate national or field-wide importance; and national initiative projects and activities of outstanding artistic quality that benefit Americans in communities throughout the country. Consult the current funding opportunities, guidelines, or program announcements for the area of interest for complete information.

### Applicant Eligibility:

Tax-exempt organizations meeting the following conditions may apply: (1) No part of any earnings may benefit a private stockholder or individual, and (2) donations to the organization are allowable as charitable deductions under Section 170(c) of the Internal Revenue Code. Examples of eligible organizations are arts institutions, arts service organizations, local arts agencies, official units of state and local governments, federally recognized tribal communities and Indian tribes. Generally, an organization may submit only one application for a single project under one of the category deadlines; must have a three-year history of programming prior to the application deadline; and must have submitted acceptable final reports by the due date for all Arts Endowment grants previously received. Individuals must be U.S. citizens or permanent residents and, according to 20 U.S.C. 954 (c), must demonstrate exceptional talent. Currently, the only individuals eligible to apply directly are published creative writers. Master artists in the folk & traditional arts and in jazz are eligible for honorary fellowships awarded on the basis of nominations. See respective funding opportunities, guidelines, or program announcements for further information.

### Beneficiary Eligibility:

Nonprofit organizations, state and local governments, local arts agencies, local education agencies (school districts), federally recognized tribal communities and Indian tribes, literary artists, and master artists in the folk & traditional arts and in jazz. Through activities and services supported, beneficiaries include artists and the general public.

### Credentials/Documentation:

For institutions of higher education, allowable costs will be determined according to OMB Circular No. A-21; for other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-122. For local and state governments, costs will be determined in accordance with OMB Circular No. A-87. Awards to individuals: Literature fellowship applicants must be published writers. Nominators of candidates for NEA Jazz Masters Fellowships or NEA National Heritage Fellowships must document the candidate's contribution to the art form. See respective funding opportunities, guidelines, or program announcements for additional requirements.

### Preapplication Coordination:

Applicants should consult current funding opportunities, guidelines, or program announcements for the funding area under which they intend to apply. This program is excluded from coverage under E.O.12372, "Intergovernmental Review of Federal Programs."

### Application Procedure:

Applicants must obtain current Arts Endowment funding opportunities,

guidelines, or program announcements (available at [www.arts.gov](http://www.arts.gov)). Applicants must adhere to instructions, and should submit their applications through [Grants.gov](http://Grants.gov). As applicable, this program is subject to provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" and OMB Circular No. A-102, "Grants and Cooperative Agreements with State and Local Governments."

### Award Procedure:

Applications generally receive three independent levels of review. First, they are reviewed by independent, national panels of artists and other arts experts. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards.

### Deadlines:

See the Arts Endowment Web site at [www.arts.gov](http://www.arts.gov) for information about application deadlines.

### Range of Approval/Disapproval Time:

Dependent on meetings of the National Council on the Arts.

### Appeals:

Information on requests for reconsideration may be obtained from the headquarters office.

### Renewals:

None.

### Formula and Matching Requirements:

Awards to organizations generally must be matched at least 1:1 with nonfederal funds. Awards to individuals do not require a match.

### Length and Time Phasing of Assistance:

Length of assistance period and timing of funds disbursement will vary according to project or grant category. Many grants cover a period of support of up to two years. Generally, requests for payment to cover immediate allowable project expenses may be submitted at any time during the period of support.

### Reports:

Progress reports are required for all grants and must be submitted at the time the cumulative amount of grant funds requested exceeds two-thirds of the grant amount. Final reports are required for all grants within 90 days after the end of the grant period. No reports are required from recipients of NEA Jazz Masters Fellowships or NEA National Heritage Fellowships.

### Audits:

Awards to organizations: All awardees must comply with audit requirements mandated by OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations." Nonprofit institutions expending \$500,000 or more a year in Federal awards shall have an audit made in accordance with A-133's provisions. State and local governments expending \$500,000 or more in Federal awards within the State's fiscal year shall have an audit made for that year in accordance with A-133's provisions. Awards to individuals: No audits required.

### Records:

Award-related records must be retained by grantee for three years following submission of the final financial status report.

### Account Identification:

59-0100-0-1-503.

### Obligations:

(Grants) FY 07 \$60,384,000; FY 08 est \$71,762,000; and FY 09 est \$60,979,000. (All figures include funds for the Challenge America: Reaching Every Community and American Masterpieces initiatives.)

### Range and Average of Financial Assistance:

Fiscal year 2008: Most grants range from \$5,000 to \$100,000. Grants of \$100,000 or more are made only in rare instances, and only for projects that the Arts Endowment determines demonstrate exceptional national or regional significance and impact. In the past few years, well over half of the agency's grants have been for amounts less than \$25,000.

### PROGRAM ACCOMPLISHMENTS:

As a result of projects supported in FY 2007: an estimated 70 million people across the nation, including 6.5 million youth, are being provided access to the arts exclusive of broadcasting; 3,700 different communities are benefitting from direct Arts Endowment support; 34,000 concerts, performances, and readings and 4,000 exhibitions in the visual and media arts are occurring; 10,000 artist residencies are taking place in schools and other locations; and thousands of artists and teachers/administrators are participating in agency-supported projects. FY 07: 5,169 applications, 2,158 grants; FY 08 est: 5,300 applications, 2,250 grants; FY 09 est: 5,200 applications, 2,200 grants.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Visit the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for funding opportunities, guidelines, or program announcements.

### Regional or Local Office:

None.

### Headquarters Office:

National Endowment for the Arts, 1100 Pennsylvania Avenue, NW., Washington, DC 20506-0001. Telephone: (202) 682-5400. Individuals who are deaf or hard of hearing should call: (202) 682-5496 (Voice/T.T.Y.). Individuals unable to use conventional print may access funding opportunities, guidelines, or program announcements on the Web site or contact the Arts Endowment's Office for AccessAbility (202) 682-5532 for help.

**Web Site Address:**

www.arts.gov.

**RELATED PROGRAMS:**

45.025, Promotion of the Arts Partnership Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

Grant listings are posted at www.arts.gov. Examples include: (1) the creation and performance of a dance theater work; (2) an after-school artist residency program; (3) a creative writing fellowship in poetry; (4) an initiative that spotlights jazz masters; (5) a program that brings mayors together with design professionals to enhance the livability of communities; (6) a festival featuring American choral music including new work; (7) the publication of a museum exhibition catalogue; (8) an initiative that provides citizens within a community the opportunity to read and discuss a single book; (9) a nationwide tour of Shakespeare plays including performances, workshops, symposia, and school programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Primary criteria by which all applications are assessed are artistic excellence and artistic merit. For additional criteria, consult respective funding opportunities, guidelines, or program announcements.

## **45.025 PROMOTION OF THE ARTS-PARTNERSHIP AGREEMENTS**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE ARTS, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To develop and maintain partnerships with the state and jurisdictional arts agencies (SAAs) and their regional organizations (RAOs) to advance the mission of the National Endowment for the Arts.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

SAA Partnership Agreements support four components: 1) the state arts plan for priorities identified at the state level (including activity for Poetry Out Loud); 2) elements of the state plan that address arts education; 3) elements of the state plan that foster the arts in underserved communities; and 4) projects that strengthen a state or region's infrastructure of support for the folk & traditional arts. RAO Partnership Agreements offer support for: 1) a regional arts plan; 2) touring intended to give all Americans access to excellent, live performing arts; and 3) projects that strengthen a region's infrastructure of support for the folk & traditional arts. (State and regional activities addressing the Arts Endowment's Challenge America and American Masterpieces initiatives are now included in the components noted above.) Limited Partnership funds also are available for national services provided by membership organizations of SAAs and RAOs. Arts Endowment Partnership Agreement funds must be used to supplement and not to supplant non-Federal funds.

**Applicant Eligibility:**

Agencies officially designated as the state arts agency by its state government in each of the 50 States and six special U.S. jurisdictions; regional arts organizations representing state arts agencies; and organizations providing support services to state and regional arts agencies at a national level.

**Beneficiary Eligibility:**

The official arts agencies of the 50 states and six U.S. jurisdictions, regional arts organizations, and organizations providing support services to SAAs and RAOs at the national level. Through activities and services supported, beneficiaries include local arts agencies, nonprofit organizations, artists, and the general public.

**Credentials/Documentation:**

The State Partnership Agreement requires that the agency be legally designated as the official State arts agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Where applicable, applications from State government agencies for Partnership Agreements must be reviewed under the State's intergovernmental review process, if one has been established, per E.O.12372, "Intergovernmental Review of Federal Programs." The Regional Partnership Agreement stipulates that the regional organization must be authorized by two or more state arts agencies to apply for funds on their behalf.

**Preapplication Coordination:**

Applicants should consult the Partnership Agreements guidelines (available at www.arts.gov). This program is eligible for coverage under E.O.12372,

"Intergovernmental Review of Federal Programs." If the program has been selected for review in an applicant's state, the applicant should consult the state office or official designated as the single point of contact for more information.

**Application Procedure:**

Applicants must obtain current Partnership Agreements guidelines and adhere to instructions. This program is covered under OMB Circular Nos. A-102 (State agencies) and A-110 (regional organizations).

**Award Procedure:**

Applications receive three independent levels of review. First, they are reviewed by an independent, national panel of individuals with expertise in the arts and the state and regional arts agency field. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards. Partnership Agreements receive panel review on a three-year cycle -- one-third of the states are reviewed each year -- with funding subject to annual recommendation and approval by the Council and the Chairman.

**Deadlines:**

The Partnership Agreements deadline is generally in October. See the Arts Endowment's Web site at www.arts.gov for the specific date.

**Range of Approval/Disapproval Time:**

Dependent on meetings of the National Council on the Arts.

**Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

**Renewals:**

The Arts Endowment uses staggered, multi-year review for Partnership Agreements. Funding is subject to annual review and approval.

**Formula and Matching Requirements:**

Formula and competitive grants must be matched at least 1:1 with non-federal funds. The Congress has stipulated that no less than 40 percent of all grantmaking funds appropriated for the Arts Endowment be reserved for grants to SAAs and RAOs. It also has directed that support for program activity in underserved rural and inner-city communities within each state be established as a funding priority. Formula: State Partnership Agreement awards: 1) Of the SAA-RAO reserve, at least \$200,000 will be allotted to each SAA with an approved state plan. Up to a quarter of any funds remaining in this reserve will be apportioned in line with Arts Endowment policy. Any funds still remaining will be divided equally among the 52 SAAs serving populations over 200,000. Funds available for the Poetry Out Loud initiative will be allotted equally among SAAs in the 50 states and participating jurisdictions. 2) Funds available to SAAs for arts education first will be apportioned by formula among SAAs with plans meeting relevant review criteria; funds will not exceed \$50,000 per state. The remaining arts education funds will be awarded competitively among SAAs with the strongest plans and accomplishments according to the review criteria. The annual maximum awarded to any one SAA for arts education is \$100,000. 3) Underserved funds to be administered through Partnership Agreements first will be apportioned by formula among SAAs with plans that meet the review criteria, with remaining funds awarded on the basis of competition to those SAAs with the strongest plans and accomplishments in relation to the review criteria. 4) Funds for Folk & Traditional Arts Infrastructure support will be awarded competitively among SAAs that request such funds and have the strongest plans and accomplishments in relation to the review criteria. Funding to any one SAA will range from \$10,000 to \$50,000. Formula: Regional Partnership Agreement awards: 1) Funds available will be distributed in equal base amounts per regional organization and shares per state. 2) For the NEA Regional Performing Arts Touring program, funds will be allotted based on fixed historic amounts, equal shares per region, and regional population. 3) Funds for Folk & Traditional Arts Infrastructure support will be awarded competitively among RAOs that request such funds and have the strongest plans and accomplishments in relation to the review criteria. Funding to any one RAO will range from \$10,000 to \$50,000. National services funding is derived from the portion of the agency's appropriation for the SAAs and RAOs.

**Length and Time Phasing of Assistance:**

Each award is for the full fiscal year or as designated. Generally, requests for payment to cover immediate allowable project expenses may be received at any time. FY 2009 grants support activities scheduled to begin on or after July 1, 2009.

**Reports:**

Progress reports are required for all grants and must be submitted at the time the cumulative amount of grant funds requested exceeds two-thirds of the grant amount. Final reports are required within 90 days after the end of the grant period.

**Audits:**

Applicant and grantee-initiated audits: In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State governments expending \$500,000 or more in federal awards within the state's fiscal year shall have an audit made for that year. Recipients other than State governments must comply with audit requirements for nonprofit institutions mandated by A-133. Nonprofit institutions expending



\$500,000 or more in federal awards shall have an audit made in accordance with A-133's provisions.

**Records:**

Grant-related records to be retained by grantee for three years following submission of a final financial status report.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Grants) FY 07 est \$40,328,000; FY 08 est \$47,842,000; and FY 09 est \$40,653,000. (All figures include Basic Plan support and Underserved funding. FY 07 figures also include funding for the Challenge America: Reaching Every Community and American Masterpieces initiatives).

**Range and Average of Financial Assistance:**

FY 2008: The range of SAA awards was \$281,300 to \$1,125,700, averaging \$739,851. The range of RAO awards was \$1,047,200 to \$1,606,000, averaging \$1,338,433.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, the Arts Endowment made 64 Partnership awards. SAAs use their state and federal funds to support more than 28,000 arts projects in more than 5,500 communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Partnership Agreements guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

State and Regional Director, National Endowment for the Arts, 1100 Pennsylvania Avenue, NW., Washington, DC 20506-0001. Telephone: (202) 682-5429. Individuals who are deaf or hard of hearing should call: (202) 682-5496 (Voice/T.T.Y.). Individuals unable to use conventional print may access guidelines on the Web site or contact the Arts Endowment's Office for Access Ability (202) 682-5532 for help.

**Web Site Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024, Promotion of the Arts Grants to Organizations and Individuals.

**EXAMPLES OF FUNDED PROJECTS:**

Grant listings and links to SAAs and RAOs are posted at [www.arts.gov](http://www.arts.gov). Partnership Agreements with SAAs support arts education activities; fostering of arts in underserved communities; and grant, service, or administrative programs. Partnership Agreements with RAOs support arts presenting and touring, and grant, service, or administrative programs.

**CRITERIA FOR SELECTING PROPOSALS:**

SAAs: Quality of process by which plan was developed; quality of plan; quality of implementation; and quality of work with underserved communities. RAOs: Quality of partnerships with member SAAs; identification of needs and opportunities through inclusive planning; evaluation of accomplishments; quality of plan; program decision-making criteria that take artistic excellence and merit into account; cost-effective operation; development of substantial, diversified non-federal support for programming; extension of resources and effectiveness through partnerships and other means. For additional criteria, consult the Partnership Agreements guidelines.

## 45.129 PROMOTION OF THE HUMANITIES-FEDERAL/STATE PARTNERSHIP

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To promote local, statewide, and regional humanities programming through annual grants to humanities councils in each of the 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Northern Mariana Islands, Guam, and American Samoa. The 56 councils conduct humanities projects and grant programs for local nonprofit organizations, institutions, and groups, and occasionally for individuals. Under the provisions of 20 U.S.C. 956(f)(8), only one entity in each State may receive assistance from NEH as the State humanities council.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used to fund local, statewide, and regional humanities projects, subject to guidelines determined by each State humanities council.

**Applicant Eligibility:**

Nonprofit citizen councils in the several States and territories which conform to the requirements of 20 U.S.C. 956(f). If the State matches a certain percentage of the Federal grant and meets other legislated requirements, the Governor may

designate the existing Council as a State agency. The resulting agency becomes an eligible applicant.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government general; minority organizations; other specialized groups; and quasi-public nonprofit institutions which apply directly to the State Humanities Council.

**Credentials/Documentation:**

Submission of an annual compliance plan and a self-assessment every five years from the council. Compliance requirements are outlined in 20 U.S.C. 956(f). Costs will be determined in accordance with OMB Circular No. A-122 as amended for nonprofit organizations. Currently, the 56 councils are excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Filing of a compliance plan is required from all councils annually and a self-assessment every five years. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Compliance plans are reviewed by Federal/State Partnership staff. Self-assessments are reviewed by teams of visiting scholars and other professionals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

June 1 for annual compliance plans. Timetable for submission of self-assessment material is flexible.

**Range of Approval/Disapproval Time:**

Variable: Six months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

As established by the Congressional funding formula, each State council receives \$200,000 of the definite funds appropriated to Federal/State Partnership. Of the remaining funds, 44 percent is divided equally among the States which have a population of 200,000 or more, 22 percent is allocated to each council on the basis of population, and 34 percent is awarded at the discretion of the Chairman of the agency. Total matching of the grant on a one-to-one basis is required. Source: 20 U.S.C. 956 (f)(4).

**Length and Time Phasing of Assistance:**

Thirty-six months. Funds must be expended during the grant period. Funds are released as required.

**Reports:**

Compliance plans are required annually. Cash report and an expenditure report are required quarterly. Final expenditure reports are due within 90 days after completion or termination of project support by NEH.

**Audits:**

For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133, "Audits of Institutions of Higher Education and Other Nonprofit Organizations." In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Grants) FY 07 \$38,818,257; FY 08 est \$31,215,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range of assistance was \$238,600 to \$1,644,700; average \$686,270.

**PROGRAM ACCOMPLISHMENTS:**

A singular achievement of Federal/State Partnership has been the establishment, in all 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, the Northern Marianas, American Samoa, and Guam of 56 continuing nonprofit organizations which have succeeded at serving as the link between the humanities and the interests and concerns of the States' citizens. In the last year, councils supported thousands of programs that reached millions of Americans. Councils are continuing to design and sponsor programs and produce materials that reach new audiences. In 2005 reports indicate that 48 councils sponsored K-12 teacher projects for a total of 158,182 participants; 42 councils sponsored literacy programs that drew 340,049 participants; 1,168,705 participated in

reading and discussion programs; 5,598,165 participated in local history projects; 1,169,748 attended scholar-led seminars, conferences, and lectures; and 340,794 people attended Chautauqua type performances. Council-funded exhibitions attracted approximately ten million visitors, while council-funded media projects attracted 200 million viewers. Finally, some 534,073 students participated in council-funded projects.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Information about the National Endowment for the Humanities and program guidelines are available online at <http://www.neh.gov/> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign). Addresses and phone numbers for the 56 State humanities councils are available from Federal/State Partnership, NEH, Room 603, Washington, DC 20506, and from the NEH web site, <http://www.neh.gov>.

#### **Regional or Local Office:**

Located in each State. Addresses available from National Endowment for the Humanities.

#### **Headquarters Office:**

Federal/State Partnership, National Endowment for the Humanities, Room 603, Washington, DC 20506. Telephone: (202) 606-8254. Fax: (202) 606-8365. E-Mail: [fedstate@neh.gov](mailto:fedstate@neh.gov). Use the same telephone number for FTS.

#### **Web Site Address:**

<http://www.neh.gov>.

#### **RELATED PROGRAMS:**

45.168, Promotion of the Humanities\_We the People; 45.164, Promotion of the Humanities\_Public Programs.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each State council sets its own guidelines and criteria for assessing proposals, which are widely disseminated within the State. The criteria for State council funding from NEH are established in the National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. Section 950, 956, and by the NEH Federal/State Partnership.

## **45.130 PROMOTION OF THE HUMANITIES-CHALLENGE GRANTS**

#### **FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

#### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

#### **OBJECTIVES:**

To support educational and cultural institutions and organizations in order to increase their financial stability and to sustain or improve the quality of humanities programs, services, or resources. Normally, institutions requesting their first NEH challenge grant must raise at least three dollars in new donations from nonfederal sources to receive each Federal dollar. Institutions requesting subsequent challenge grants must raise at least four dollars for each Federal dollar. A special category of challenge grants, called We the People, is designed to help institutions and organizations secure long-term improvements in humanities activities that explore significant themes and events in American history and culture, with special attention to advancing knowledge of the nation's founding principles.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Funds may be applied to a variety of institutional needs which an applicant has demonstrated serve both the humanities and the institution's long-term objectives. The major purpose of a Challenge Grant is to help institutions and organizations attain or sustain a high level of quality in humanities programs or activities by building long-term capital resources. The most common expenditure of grant and matching funds is the creation or augmentation of endowments. Also possible are direct expenditures such as library acquisitions, technological enhancement, construction and renovation, and other costs clearly attributable to improvements in humanities programs and activities. Funds may not be used directly for general operating support or undergraduate scholarships and prizes or for projects eligible for support from other NEH programs.

#### **Applicant Eligibility:**

Any public or private U.S. nonprofit institution or organization working wholly or in part within the humanities may apply, including the following: two-year and four-year colleges; universities; museums; historical societies; research libraries; public libraries; advanced study centers; media organizations; university presses; professional societies; or State humanities councils. State and local governments and U.S. Territories are eligible to apply on their own behalf or on behalf of nonprofit institutions, associations or organizations within their

jurisdictions. Individuals and public and private elementary and secondary schools or school districts are not eligible to apply.

#### **Beneficiary Eligibility:**

All applicant organizations and institutions and all users of their humanities resources, programs, or activities.

#### **Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

None required, but preliminary discussion with Endowment staff and the submission of a draft application at least six weeks before the deadline are strongly encouraged. The standard application forms as furnished by the Endowment and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

#### **Application Procedure:**

Applications to NEH must be submitted via [Grants.gov](http://Grants.gov). Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

#### **Award Procedure:**

Applications are reviewed by administrators of humanities institutions, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

#### **Deadlines:**

May 1 for all challenge grants except We the People Challenge Grants in United States History, Institutions and Culture, which have a February 1 deadline. Deadlines are receipt deadlines. Write or call the NEH Office of Challenge Grants.

#### **Range of Approval/Disapproval Time:**

Seven months (approximately 210 days) after deadline.

#### **Appeals:**

None, but applicants may request written reasons for rejection and reapply with a revised proposal.

#### **Renewals:**

Eligibility to apply for a subsequent award begins in the fourth year after the close of the previous challenge grant. Eligibility to apply for a subsequent We the People challenge grant begins in the second year.

#### **Formula and Matching Requirements:**

All challenge grant funds are matching funds. First-time grantees must raise three nonfederal dollars for every federal dollar offered; subsequent awards require four nonfederal dollars for every federal dollar offered. All We the People challenge grants, and all Digital Humanities challenge grants require three nonfederal dollars for every Federal dollar offered.

#### **Length and Time Phasing of Assistance:**

From one to five years. Funds must be expended during the grant period. Funds expended include funds deposited into an income earning account. Federal funds up to the amount offered in any year are released as matching amounts are certified to the Endowment and minimum annual matching requirements are met.

#### **Reports:**

Narrative progress reports are required biennially; reports on nonfederal contributions raised and sources of giving are required annually. Final narrative and financial reports are due within 90 days after the grant ending date.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

#### **Records:**

To be retained by the grantee for three years from the date of submission of the final narrative and financial reports. Records include financial documentation on all matching gifts and on all expenditures of Federal and matching funds.

#### **Account Identification:**

59-0200-0-1-503.

#### **Obligations:**

FY 07 \$10,273,705\*; FY 08 est \$9,331,000; and FY 09 est \$7,082,000.

\*Includes additional funding provided by We the People. See 45.168

PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

#### **Range and Average of Financial Assistance:**

Applicants may request up to \$1,000,000 in Federal funds over four years. In fiscal year 2007, the largest award offered was \$1,000,000, the smallest was \$200,000; and the average award was approximately \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 113 applications were received and 20 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Challenge Grants, Room 420, National Endowment for the Humanities, Washington, DC 20506. (202) 606- 8309. Use the same number for FTS.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.168, Promotion of the Humanities We the People.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A community college will use its \$500,000 challenge grant to endow a humanities institute in partnership with a major museum. (2) A liberal arts college will use its \$625,000 We the People challenge grant to restore an historic house as a residence for research fellows and an endowment for fellowships to study the Founding Era and its legacy. (3) A public library will use its \$500,000 challenge grant to restore and enhance technology in its historic building. (4) A museum will use its \$575,000 challenge grant as the cornerstone of a larger fund-raising campaign for an endowment to support a new regional art center. (5) A professional humanities association is using its \$246,000 challenge grant to endow staff positions in humanities educational programming.

**CRITERIA FOR SELECTING PROPOSALS:**

To reach decisions about funding, all reviewers of Challenge Grants applications are asked to evaluate the existing and potential quality of an applicant's programs in the humanities, its needs, management, and fund-raising capability. In light of the goals of the Challenge Grants Program, reviewers assess each application in accordance with the following criteria: (1) The significance of existing and planned humanities activities. (2) The appropriateness of institutional resources and plans. (3) The impact of challenge grant funds. (4) The feasibility of fund raising. Applicants for second or subsequent awards must describe and assess the effects of their prior awards.

**45.149 PROMOTION OF THE HUMANITIES-DIVISION OF PRESERVATION AND ACCESS****FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To fund projects that will promote preserving, creating, and providing intellectual access to resources held in libraries, museums, archives, historical organizations, and other collections that are important for research, education, and public programming in the humanities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants support: the digitization, arrangement, description, and preservation of archival collections, still and moving images, and recorded sound collections; the documentation of collections of art and material culture; projects to produce research tools and reference works such as databases and electronic archives, bibliographies, dictionaries, and encyclopedias; professional training in preservation administration and in the care of collections; the stabilization of humanities collections; the work of regional preservation services; general preservation assessments and special consultations for smaller cultural institutions; research and development projects to develop technical standards, best practices, and tools for preserving and creating access to humanities collections; projects to document endangered languages; and a national program for the digitization of historic U.S. newspapers. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private

nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for commercial and nonprofit organizations.

**Preapplication Coordination:**

Before submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal and, in some programs, read draft applications. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via [Grants.gov](http://www.grants.gov). Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are evaluated by scholars in the humanities, museum curators, professionals with expert knowledge of preservation and access methodologies and administrators of libraries, archives, and museums. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

March 18 for Advancing Knowledge applications; May 14 for Preservation Assistance Grants for Smaller Institutions applications; July 1 for Education and Training applications and for Research and Development applications; July 15 for Humanities Collections and Resources applications; September 15 for Documenting Endangered Language applications; October 1 for Stabilizing Humanities Collections applications; and November 4, for National Digital Newspaper Program applications. Write to the Division of Preservation and Access for specific information.

**Range of Approval/Disapproval Time:**

Approximately 7 months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

**Formula and Matching Requirements:**

Cost sharing consists of the cash contributions made to the project by the applicant, third parties and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Cost sharing is not required. NEH, however, is rarely able to support the full costs of projects approved for funding. Consult the individual program guidelines for more information.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds must be expended during the grant period. Funds are released as required.

**Reports:**

Progress reports are required semiannually or annually. Cash reports are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

FY 07 \$23,905,060\*; FY 08 est \$18,380,000; and FY 09 est \$13,861,000.

\*Includes additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**



FY 07 from \$5,000 to \$650,000; average \$325,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 417 applications were received and 183 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants.html> or upon request from National Endowment for the Humanities, Washington, DC 20506. It is also available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Division of Preservation and Access, National Endowment for the Humanities, Room 411, Washington, DC 20506. Telephone: (202) 606-8570. Use the same number for FTS. Fax: (202) 606-8639. E-mail: [PRESERVATION@NEH.GOV](mailto:PRESERVATION@NEH.GOV).

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164, Promotion of the Humanities Public Programs.

**EXAMPLES OF FUNDED PROJECTS:**

(1) an award to a university to digitize 100,000 pages of historic state newspapers; (2) an award to a historic house museum to install climate control and fire suppression systems to preserve material culture, library and archival collections; (3) an award to a university to train hundreds of humanities scholars and graduate students in digital text coding; (4) an award to a state university to develop and test best practices for preserving analog sound recordings by converting them into digital form; (5) an award to a historical society to hire a consultant to conduct a preservation assessment and develop a long-range preservation plan for the society's library, archival, and material culture collections; (6) an award to a university to compile a digital reference work on the changes in the boundaries, names, and organization of every U.S. county from 1619 to 2000; (7) an award to a university and public library to explore best practices for monitoring and evaluating environmental storage conditions in cultural repositories.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the significance and potential impact of the project, either for creating, preserving, and establishing intellectual access to important humanities resources or for improving the infrastructure for preservation and access activities in the country's academic and cultural institutions; the soundness of the project's methodology, including its adherence to accepted professional and technical standards or practice; the viability, efficiency, and productivity of the project's plan of work; the professional training and experience of the project's staff in relation to the activity for which support is requested; and the appropriateness of the project's budget. Preference is given to projects that provide free, online access to digital materials produced with grant funds.

**45.160 PROMOTION OF THE HUMANITIES-FELLOWSHIPS AND STIPENDS**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

Fellowships and Summer Stipends provide support for scholars to undertake full-time independent research and writing in the humanities. Grants are available for 6 to 12-month fellowships and 2 months of summer study. Faculty Research Awards strengthen research and teaching at Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment. Teaching Development Fellowships strengthen teaching at undergraduate institutions through research fellowships of 3 to 5 months.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

Fellowships and Summer Stipends: Projects may contribute to scholarly knowledge or to the general public's understanding of the humanities. The proposed study or research may be completed during the grant period or it may be part of a longer project. Faculty Research Awards assist full-time faculty members as they engage in advanced research in the humanities. These awards are restricted to Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment, as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021, and to faculty members at these institutions. Teaching Development Fellowships support research designed to strengthen undergraduate teaching. Applications for planning institutional curricula, for educational research projects, for the creation or performance of works of art, and that lack

humanities content or methodology are not eligible.

**Applicant Eligibility:**

All applicants must be U.S. citizens, native residents of U.S. jurisdictions, foreign nationals who have been legal residents in the U.S. or its jurisdictions for at least the three years immediately preceding the application deadline. Fellowships: Faculty members at colleges and universities, individuals affiliated with other institutions, independent scholars, and others who work in the humanities are eligible. Applicants need not have advanced degrees, but they must have completed their formal academic training. Active candidates for degrees and persons seeking support for work leading to degrees are not eligible. Summer Stipends: University and college faculty members must be nominated by their academic institutions. Faculty members with terminating appointments, independent scholars, and nonfaculty college and university staff members are exempt from nomination and may apply directly. Faculty Research Awards are offered to full-time faculty members at Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment, as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021. Teaching Development Fellowships: Full-time faculty members at colleges and universities.

**Beneficiary Eligibility:**

Fellowships and Stipends: College and university faculty and staff, individuals affiliated with institutions other than colleges and universities, and scholars and writers working independently. Faculty Research Awards: faculty members at Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment. Teaching Development Fellowships: College and university faculty.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular Nos. A-102 and E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via [Grants.gov](http://www.grants.gov). Fellowships, Summer Stipends, and Teaching Development Fellowships application materials are available online at <http://www.neh.gov> and from the headquarters office. This program is excluded from coverage under OMB Circular No. A-110. For Faculty Research Awards: NEH application instructions are available online (<http://www.neh.gov>) or upon request to the Research division. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

Fellowships: Annual receipt deadline of May 1, for projects beginning after January 1 of the following year. Summer Stipends: annual receipt deadline of October 1, for projects beginning after May 1 of the following year. Faculty Research Awards: Annual receipt deadline of May 1 for projects beginning after January 1 of the following year. Teaching Development Fellowships: Annual receipt deadline of October 1 for projects beginning as early as the following June 1.

**Range of Approval/Disapproval Time:**

Five to seven months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Source: Program Guidelines. Contact: See Headquarters Office below.

**Length and Time Phasing of Assistance:**

Fellowships are held from 6 to 12 months, with payment in quarterly installments. Summer Stipends are held for 2 consecutive months, with stipends disbursed in one payment. Faculty Research Awards may support activities over 2 years.

**Reports:**

A final report is required within 90 days after the end of the tenure period describing the results of the work done during the period of the award.

**Audits:**

Subject to audit by Endowment auditors or their representatives.

**Records:**

Not applicable.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

FY 07 \$6,796,000\*; FY 08 est \$5,338,000; and FY 09 est \$5,338,000. \*Includes additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Fellowships, Faculty Research Awards, and Teaching Development Fellowships:

An award of \$4,200 per month for a grant period of from 3 to 12 months.

Summer Stipends: All awards are \$6,000 for a grant period of 8 weeks.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 2,289 applications were received and 240 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Fellowship, Faculty Research Award, and Summer Stipends guidelines are available online at

<http://www.neh.gov/grants/grantsbydivision.html#research>. For assistance, contact the National Endowment for the Humanities, 1100 Pennsylvania Ave., NW., Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Research Programs, National Endowment for the Humanities, Room 318, 1100 Pennsylvania Ave., N.W., Washington, DC 20506. Telephone: (202) 606-8200. Use the same number for FTS.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.161, Promotion of the Humanities Research.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Fellowships: America's Soviet Experts in the Cold War; (2) Summer Stipends: Cultural Institutions of the Transatlantic World, 1930-1970; (3) Faculty Research Awards: An Environmental History of China; (4) Teaching Development Fellowships: Research for the improvement of a course on the Western tradition in literary studies.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fellowships, Summer Stipends, and Faculty Research Awards: The intellectual significance of the proposed project, including its value to scholars and general audiences in the humanities; the quality or promise of quality of the applicant's work as an interpreter of the humanities; the quality of the conception, definition, organization, and description of the project and the applicant's clarity of expression; the feasibility of the proposed plan of work, including, when appropriate, the soundness of the dissemination and access plans; and, the likelihood that the applicant will complete the project. For Teaching Development Fellowships: The project's intellectual significance, including its value for undergraduate teaching; the quality of the applicant's intellectual work as preparation for undertaking the proposed research; the quality of the conception, definition, organization, and description of the research project and the applicant's clarity of expression; and the feasibility of the proposed plan of work and the likelihood that the applicant will complete the project.

**45.161 PROMOTION OF THE HUMANITIES-RESEARCH**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To strengthen the intellectual foundations of the humanities through the collaboration of scholars and the support of post-doctoral fellowship programs at independent research institutions and at digital humanities centers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Collaborative Research and Scholarly Editions grants support up to three years of research. Awards support direct costs, including salaries, travel, supplies, and appropriate research assistance and consultation. Grants also support fellowships offered through independent research centers and institutions and through digital humanities centers.

**Applicant Eligibility:**

For Collaborative Research and Scholarly Editions, institutions of higher education, nonprofit professional associations, scholarly societies, and other nonprofit organizations in the United States may apply, as may eligible individuals (U.S. citizens and foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application). For support of fellowship programs, U.S. independent research centers, scholarly societies, and international research organizations with existing fellowship programs may apply. For digital humanities fellowships, digital humanities centers affiliated with either American institutions of higher education or U.S. nonprofit organizations or institutions with IRS 501 (C) (3) tax exempt status may apply. Individual scholar eligibility is the same as described above.

**Beneficiary Eligibility:**

U.S. citizens and residents, State and local governments, sponsored organizations, public and private nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian tribal governments, Native American organizations, U.S. territories; non-governmental-general; minority organizations, other specialized groups; and quasi-public nonprofit institutions benefit.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-122 for nonprofit organizations and OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal, and review draft proposals. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by e-mail attachment to: [odh@neh.gov](mailto:odh@neh.gov) This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via Grants.gov. NEH application instructions are available online (<http://www.neh.gov/grants/grants.html>) or upon request to the Division of Research Programs. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals outside the agency. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

October 16 and April 2 for Digital Humanities Start-Up Grant applications; April 9 for Institutes for Advanced Topics in the Digital Humanities applications; and July 15 for NEH/DOE Humanities High Performance Computing Program applications. E-Mail the Office of Digital Humanities for specific information.

**Range of Approval/Disapproval Time:**

For Collaborative Research, Scholarly Editions and fellowship programs offered through independent research centers and international research organizations, approximately seven months. For Fellowships at Digital Humanities Centers, approximately six months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Renewal applications are eligible; they are evaluated in competition with new applications.

**Formula and Matching Requirements:**

Cost sharing consists of the cash contributions made to the project by the applicant, third parties and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Cost sharing is not required. NEH, however, is rarely able to support the full costs of projects approved for funding. Consult the individual program guidelines for more information.

**Length and Time Phasing of Assistance:**

Up to 36 months for Collaborative Research, Scholarly Editions, and Fellowship Programs at Independent Research Institutions. Funds are released as required and must be expended during the grant period. For Fellowships at Digital Humanities Centers, six to twelve months.

**Reports:**

For Collaborative Research, Scholarly Editions, and Fellowship Programs at Independent Research Institutions: Progress reports are required at least annually, no more frequently than quarterly. Cash reports are required quarterly. Final progress and expenditure reports are due within 90 days after completion or termination of project support by NEH. For Fellowships at Digital Humanities Centers: Cash reports are required quarterly. A final performance report from the center that incorporates a report by the visiting fellow is required. Final performance and financial status reports are due within 90 days after the completion date of the award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and

Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

FY 07 \$8,969,769\*; FY 08 est \$7,371,000; and FY 09 est \$7,371,000. \*Includes additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 07 from \$17,000 to \$450,000; \$190,000 average.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 206 applications were received; 45 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Division of Research Programs, Room 318, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 606-8200.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149, Promotion of the Humanities\_Division of Preservation and Access;  
45.160, Promotion of the Humanities Fellowships and Stipends.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A grant was awarded to a university for the preparation of a translation of two plays by Miguel de Cervantes. (2) A grant was made to a university to support a conference looking at the connections between the Atlantic and Indian Ocean worlds in the early modern period. (3) A grant was made to a college to support the creation of a critical text of a portion of Homer's Iliad, together with detailed commentary and essays about the text. (4) A grant was made to a university to support archaeological investigation of the creation, character, and decline of the ancient Maya kingdom of El Zotz, near ancient Tikal, in present-day Guatemala. (5) A grant was made to a university to support the preparation of an edition of the papers of Benjamin Franklin. (6) A grant was made to a university for the preparation of a critical edition of the poetry of British Romantic poet Percy Bysshe Shelley. (7) A grant was made to support research opportunities at an independent research center in San Marino, California. (8) A grant was made to support research opportunities at an Americans overseas research center in Munich, Germany.

**CRITERIA FOR SELECTING PROPOSALS:**

For Collaborative Research, the principal criteria considered by evaluators are: (1) Intellectual significance of the project, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes in the humanities; and the significance of the material on which the project is based. (2) Pertinence of the research questions being posed, the appropriateness of research methods, translation approaches, or conference design; the appropriateness of the technology employed in the project; the feasibility of the work plan; in the case of translation projects, the quality of samples, e.g., their content, accuracy, readability, and the clarity and helpfulness of annotations; and the appropriateness of the field work to be undertaken, the archival or source materials to be studied, and the research site. (3) Qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) Soundness of the dissemination and access plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, microform, digital format, or a combination of media; and in the case of archaeology projects, the likelihood that the project will produce an interpretive study. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) Potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results. For Scholarly Editions, the principal criteria considered by evaluators are: (1) The intellectual significance of the proposed work, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes or issues in the humanities; and the significance of the material on which the project is based. (2) The appropriateness of the research methods, critical apparatus, and editorial policies; the appropriateness of selection criteria; the thoroughness and feasibility of the work plan; the quality of the samples, e.g., their content and

accuracy; and the clarity and helpfulness of annotation. (3) The qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) The soundness of the dissemination and access plans, including benefit to the audience identified in the proposal; the strength of the case for producing print volumes, microform, electronic format, or a combination of media; and the appropriateness of the technology to be used. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) The potential for success, including the likelihood that the proposed project will be successfully completed within the projected time frame; when appropriate, the edition's previous record of success; and the reasonableness of the budget in relation to its likely results. For Fellowship Programs at Independent Research Institutions, the principal criteria considered by evaluators are: (1) How important to the advancement of the humanities is the fellowship program for which funding is requested? (2) Are fellows likely to pursue their research more successfully because of the research collections, facilities, services, and other resources provided by the applicant institution? In the case of centers with residential programs, does the application provide evidence that the fellows' projects benefit significantly from the location of the center and the intellectual exchange among the fellows? (3) How strong is the institution's previous record in offering fellowships? Have former fellows been productive? Have the scholarly contributions resulting from their FPRI fellowships been of value to scholars and general audiences in the humanities? (4) Is the fellowship selection process, including the choosing of selection committee members, expert and objective? (5) Does the application make a persuasive case for the amount of NEH support requested for fellowships? (6) How effective is the publicity for the competition for fellowships? (7) How effective is the administration of the fellowship program? Is the institution's research misconduct policy adequate? (8) Are there ways in which the fellowship program could be improved? For Fellowships at Digital Humanities Centers, the principal criteria considered by evaluators are: (1) The intellectual significance of the project, including its value to scholars and general audiences in the humanities. (2) The quality or promise of quality of the visiting fellow's work in the digital humanities. (3) The appropriateness of the proposed collaboration between fellow and center, including the quality of resources provided by the center, the anticipated intellectual contribution of the fellow to the center, and the potential benefit to the fellow. (4) The feasibility of the proposed work plan, including the sustainability of the project beyond the grant period. (5) The accessibility and interoperability of the final product. All other considerations being equal, preference will be given to projects that provide free online access to digital materials produced with grant funds.

## **45.162 PROMOTION OF THE HUMANITIES-TEACHING AND LEARNING RESOURCES AND CURRICULUM DEVELOPMENT**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

Humanities Initiatives at Presidentially Designated Institutions--Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities--strengthen humanities teaching and learning at these institutions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Humanities Initiatives at Presidentially Designated Institutions provide funds for faculty study programs, institutional planning, and the acquisition of library and advanced technology resources that can assist institutions in enhancing humanities opportunities for their students and their communities, typically through strengthening the capacity of faculty to engage student or community beneficiaries in substantive study of the humanities. Humanities Initiatives for Faculty awards are restricted to Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities, as designated by the White House offices charged with the implementation of Executive Orders 12876, 12900, 13021, and to faculty members at these institutions. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported.

**Applicant Eligibility:**

Humanities Initiatives at Presidentially Designated Colleges and Universities offer Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities, as designated by the White House offices charged with the implementation of Executive Orders 12876, 12900, 13021.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private



nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for entities of State and local government, OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

Informal inquiry with the headquarters office, followed by submission of a preliminary draft is encouraged. Endowment staff should be sent preliminary applications at least six weeks in advance of final application deadline for eligibility review. The standard application forms as furnished by the Endowment and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via Grants.gov. Guidelines are available online (<http://www.neh.gov>) or upon request to the headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by panels of scholars, teachers, and educational administrators at all academic levels and by other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice of the National Council on the Humanities.

**Deadlines:**

Materials and Curriculum Development Grants: October 1, 2008 for projects beginning after April 1 of the following year. January 16, 2009 for Humanities Initiatives for Faculty, for projects beginning after June 1, 2009.

**Range of Approval/Disapproval Time:**

Approximately 4-6 months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Applications for renewal must compete against new applications. Applications for renewal must demonstrate a record of success and the potential to serve new audiences.

**Formula and Matching Requirements:**

This program has no statutory formula. Source: Program Guidelines. Contact: See Headquarters Office below.

**Length and Time Phasing of Assistance:**

Funds must be expended during the grant period. Funds are released as required. Grants are available for projects for a maximum of 3 years.

**Reports:**

Progress reports are required at least annually. Cash reports on project expenditures are required quarterly. Final progress and expenditure reports are due within 90 days after completion or termination of project support by NEH.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

FY 07 \$2,223,567\*; FY 08 est \$2,520,000; and FY 09 est \$2,520,000. \*Includes additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Humanities Initiatives at Presidentially Designated Colleges and Universities do not exceed \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 08, 140 applications were received and 23 grants were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. The publication entitled "National Endowment for the Humanities Grant Programs, 2000-2001" is available upon request from the National Endowment for the Humanities, Washington, DC 20506. It is also available online at <http://www.neh.gov>. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues

annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Humanities Initiatives at Presidentially Designated Colleges and Universities, National Endowment for the Humanities, Room 302, Washington, DC 20506. Telephone: (202) 606-8463. Use the same number for FTS.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.163, Promotion of the Humanities\_Professional Development; 45.129, Promotion of the Humanities\_Federal/State Partnership; 45.130, Promotion of the Humanities\_Challenge Grants; 45.149, Promotion of the Humanities\_Division of Preservation and Access; 45.160, Promotion of the Humanities\_Fellowships and Stipends; 45.161, Promotion of the Humanities\_Research; 45.164, Promotion of the Humanities\_Public Programs.

**EXAMPLES OF FUNDED PROJECTS:**

(1) An Historically Black University received a month-long summer program of study of Homer, Dante, Marie de France, Christine de Pizan, and Shakespeare for six to eight faculty members from the institution and others nearby; (2) A Tribal College received an award to support a year-long series of workshops for its faculty that would explore seminal works in Native American literature, including Louise Erdrich's Love Medicine, N. Scott Momaday's House Made of Dawn, James Welch's The Indian Lawyer. (3) A College with a High Hispanic Enrollment received an award to conduct a year-long faculty development seminar series in the field of law and literature, including the study of such works as Sophocles' Antigone, Dickens' Great Expectations, Kafka's The Trial, and Shakespeare's Measure for Measure.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are read and evaluated on whether the intellectual quality of the project is excellent; whether the project is well designed; and whether the project will have significant results. See the program guidelines for detailed criteria. For Humanities Initiatives at Presidentially Designated Colleges and Universities, projects will be selected for funding on the basis of the quality of planned activities and the potential of these activities to strengthen the humanities capacity of the institution; the ability of the institution to carry out the proposed plan; the qualifications of project leaders and consultants; and the cogency of the plan to evaluate the outcomes of the project.

## 45.163 PROMOTION OF THE HUMANITIES-PROFESSIONAL DEVELOPMENT

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

Seminars and Institutes promote better teaching and research in the humanities through faculty development. Landmarks of American History and Culture, part of the NEH We the People initiative, promote better pre-collegiate and community college teaching of American history and culture through intensive, rigorous faculty and staff development workshops at historical sites, colonial settlements, battlefields, artists' and writers' homes--while enabling the participants to gain experience in conveying the importance of historical places and enhancing their teaching materials. The Picturing America School Collaboration Projects grant opportunity was designed to help teachers and librarians whose schools display images of great works of art included in Picturing America (and that help to tell America's story) to form connections with courses in the core curriculum.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants support Summer Seminars and Institutes, Landmarks of American History and Culture Workshops, Picturing America School Collaboration Projects. Awards support direct costs, including salaries, participant stipends, selection costs, travel, and supplies. Projects should engage participants in deepening the knowledge of the subjects they teach and strengthen their capacity to engage students in substantive study of the humanities. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported.

**Applicant Eligibility:**

Distinguished scholar/teachers in the humanities may apply through a sponsoring institution to direct a seminar or institute for college teachers or school teachers. For Landmarks in American History and Culture, the following may apply: State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments;

Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions. For Picturing America School Collaboration Project, the following may apply: Sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions.

**Beneficiary Eligibility:**

Primarily K-12 or college teachers, depending on the particular project--as well as their colleagues and students.

**Credentials/Documentation:**

For educational institutions, costs will be determined in accordance with OMB Circular No. A-21 and Circular No. A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal inquiry is encouraged for prospective directors. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via Grants.gov. Proposal instructions are available on line (<http://www.neh.gov>) or from the headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

March 2, 2009, to direct a seminar or institute during the summer of the following year. March 2, 2009, to participate in a seminar or institute held during the summer of the same year. March 16, 2009, to direct a Landmarks of American History Workshop project during the summer of the following year; March 16, to participate in a Landmarks of American History and Culture workshop held during the summer of the same year. October 1, 2008, for Picturing America School Collaboration projects beginning after April 1, 2009.

**Range of Approval/Disapproval Time:**

Approximately four to five months; six weeks for participants in Seminars and Institutes, Landmarks of American History and Culture Workshops, and Picturing America School Collaboration Projects.

**Appeals:**

None, but director/applicant may request a critique of the proposal and reapply.

**Renewals:**

Applications for renewal must demonstrate a record of success and the potential to serve new audiences. These applications compete against new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Source: Program Guidelines. Contact: See Headquarters Office below.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funds must be expended during the grant period. Funds are released as required.

**Reports:**

Cash reports are due quarterly. A final narrative report and a final expenditures report are required within 90 days after completion or termination of the grant period. In addition, reports are required from the scholars participating in the seminar assessing the value of the seminar for their professional development.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

FY 07 \$14,359,170\*; and FY 08 est \$10,081,000; and FY 09 est \$10,081,000.

\*Includes additional funding provided by We the People. See 45.168

PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 221 applications were received and 79 awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Headquarters Office: Professional Development, Division of Education Programs, National Endowment for the Humanities, Washington, DC 20506. Telephone: (202) 606-8463. Use the same numbers for FTS.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Poetry as a Form of Life, Life as a Form of Poetry (summer seminar for school teachers); (2) Narrative Theory: Rhetoric and Ethics in Fiction and Nonfiction (summer seminar for college teachers); (3) Houses of Mortals and Gods: Latin Literature in Context (summer institute for school teachers); (4) Bharata Darshan: The Past and the Present in the Study of India's History and Culture (summer institute for college teachers); (5) Two one-week school teacher workshops, held at Mount Vernon, for 100 school teachers, on George Washington and the genesis of the United States Constitution (Landmarks of American History and Culture); (6) Two one-week workshops for fifty community college faculty to focus on the region surrounding Concord, Massachusetts, as a center of Transcendentalism and social reform in the nineteenth century (Landmarks of American History and Culture); (7) A major metropolitan library received an award to conduct two-day Picturing America conferences on the theme "Art and the American Revolution" for two groups of forty K-6 educators each; the library's educational staff and visiting scholars will collaborate in using selections from Picturing America and poems, biographies, and other literature for young readers as a stimulus to discuss themes in American history and American life, as well as to develop art appreciation skills (Picturing America School Collaboration Projects).

**CRITERIA FOR SELECTING PROPOSALS:**

In evaluating proposals, the following criteria apply: (1) Intellectual quality and significance; (2) Impact; (3) Feasibility. Applicants to Workshops, Seminars and Institutes selected to receive stipends are those who can derive the greatest benefit from participation in and who can make the greatest contribution to the program.

**45.164 PROMOTION OF THE HUMANITIES-PUBLIC PROGRAMS**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To provide opportunities for the American public to explore human history and culture through humanities programs in museums, historical organizations, libraries, community centers, and other gathering places, as well as on public television and radio and other digital media.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are made to support planning, scripting, development, production, and implementation costs.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions may apply.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and

OMB Circular No. A-122 for nonprofit organizations apply.

**Preapplication Coordination:**

Applicants are strongly encouraged, but not required, to submit to the program a preliminary draft for response by program staff at least four weeks in advance of the application deadline. The standard application forms as furnished by the Federal agency and required by OMB Circular No. 102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via Grants.gov. Application forms and guidelines are available online (<http://www.neh.gov/grants/grants.html>) and upon request from the headquarters office. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

August 27, 2008 and January 21, 2009 for planning and implementation for Interpreting America's Historic Places, America's Historical and Cultural Organizations, and America's Media Makers.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Renewals may be granted and are processed as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Source: Program Guidelines. Contact: See Headquarters Office below.

**Length and Time Phasing of Assistance:**

Varies, but usually 6 months to 2 years. Funds must be obligated during the grant period.

**Reports:**

Progress reports are required at least annually but no more frequently than quarterly. Cash reports are required quarterly. Final progress and expenditure reports are due within 90 days after completion or termination of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Grants) FY 07 \$13,847,063\*; FY 08 est \$12,709,000; and FY 09 est \$12,709,000. \* Includes additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 06 from \$10,000 to \$800,000; \$122,000.

**PROGRAM ACCOMPLISHMENTS:**

fiscal year 06,672 applications and 225 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> or by request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Division of Public Programs, National Endowment for the Humanities, Room 426, Washington, DC 20506. Telephone: (202) 606-8269 Use the same number for FTS.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129, Promotion of the Humanities\_Federal/State Partnership; 45.168, Promotion of the Humanities\_We the People.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A nonprofit organization received a grant for a national film viewing and discussion program in libraries on the history and interpretation of jazz. (2) A public television station received a grant for a four-hour television documentary exploring the life and times of Andrew Jackson. (3) A museum received a grant for an exhibition and guided tours at the cottage that Abraham Lincoln used as a seasonal retreat from 1862 to 1864. (4) A community college received a grant for a website, conference, guided tours, and lecture series exploring the Civil War in the interior Mid-Atlantic region.

**CRITERIA FOR SELECTING PROPOSALS:**

A successful application will demonstrate national significance or impact, outreach to groups of Americans not often engaged in public humanities projects, collaboration among cultural institutions and organizations as well as other similar or different groups, and use of a broad spectrum of the most effective formats, technologies, and venues for lifelong learning in the humanities. Although every proposal will not be expected to meet all of the criteria outlined above, the Division will give priority to applications that further these objectives. As part of the We the People initiative, the division currently has two special initiatives: Family and Youth Programs in American History and America's Historic Places. See program guidelines for details.

**45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

AUTHORIZATION: To support scholarly, educational, preservation, and public projects that explore significant events and themes in our nation's history and culture and that advance knowledge of the principles that define America.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

For We the People Bookshelf: Libraries launch community programs based on readings on important themes such as courage and freedom. For We the People Picturing America: Libraries are required to encourage the use of the posters by teachers in the classroom, keep the posters on continual exhibit in classrooms or public locations in the school. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Applicant Eligibility:**

As part of its We the People initiative, NEH is collaborating with the American Library Association to distribute the We the People Bookshelf, a program to encourage young people to read and understand great literature while exploring themes in American history. Applications are accepted from all public libraries, including systems and branches, and school libraries (K-12), including public, private, parochial, or charter schools, in the United States and its territories. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively. NEH is collaborating with the American Library Association to present a new program called We the People Picturing America. This program introduces young people to some of America's art treasures and is designed to promote the teaching, study, and understanding of American history and culture in K-12 schools.

**Beneficiary Eligibility:**

For We the People Picturing America, applications will be accepted from all K-12 public, private, parochial, and charter schools and home school consortia in the United States and its territories. School and public libraries are invited to apply to receive the We the People Bookshelf, which consists of fifteen thematically related books and supplemental materials to help with publicity and the organization of public programs. For Landmarks of American History: Workshops for School Teachers Workshops and Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal, and review draft proposals. These comments are not part of the formal review process and have



no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by e-mail attachment to: odh@neh.gov This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications to NEH must be submitted via Grants.gov. We the People Bookshelf and We the People Picturing America: printed application materials are available by calling (202)606-8446, sending an e-mail to info@neh.gov, or writing to NEH, Office of Public Affairs, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, program guidelines are available through the NEH Division of Education Programs; and for We the People Challenge Grants in United States History, Institutions and Culture, the NEH Office of Challenge Grants.

**Award Procedure:**

We The People Bookshelf and We the People Picturing America: Each application is assessed by staff at NEH in collaboration with the staff of the American Library Association. Evaluators may take geographical and demographic distribution into consideration when selecting participating libraries. The Chairman of the National Endowment for the Humanities makes the final decision.

**Deadlines:**

October 16 and April 2 for Digital Humanities Start-Up Grant applications; April 9 for Institutes for Advanced Topics in the Digital Humanities applications; and July 15 for NEH/DOE Humanities High Performance Computing Program applications. E-Mail the Office of Digital Humanities for specific information.

**Range of Approval/Disapproval Time:**

Approximately four - seven months.

**Appeals:**

We The People Bookshelf and We the People Picturing America: None. For other We the People grants, applicant may request written reasons for rejection and reapply with revised proposal to a subsequent application deadline.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Contact NEH Office of Challenge Grants for information on matching requirements for We the People Challenge Grants in United States History, Institutions and Culture.

**Length and Time Phasing of Assistance:**

Full-time or part-time activities for periods ranging from eighteen to thirty-six months.

**Reports:**

We The People Bookshelf and We the People Picturing America: Not applicable. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Audits:**

We The People Bookshelf and We the People Picturing America: Not applicable. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Records:**

We The People Bookshelf and We the People Picturing America: Not applicable. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Grants) FY 07 Not separately identifiable.; FY 08 est \$1,969,000; and FY 09 est \$2,000,000.

**Range and Average of Financial Assistance:**

We the People Bookshelf winners receive fifteen books and promotional materials, including bookplates, bookmarks, and posters. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**PROGRAM ACCOMPLISHMENTS:**

For We The People Bookshelf and We the People Picturing America, contact the

Division of Public Programs. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, contact the Division of Education Programs and the Office of Challenge Grants respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. We the People Bookshelf and We the People Picturing America: application materials are available by calling (202)606-8446, sending an E-mail to info@neh.gov, or writing to NEH, Office of Public Affairs, 1100 Pennsylvania Avenue, NW., Washington, DC 20506. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Public Information, National Endowment for the Humanities, Room 402, Washington, DC 20506. Telephone: (202) 606-8400. Office of Challenge Grants, National Endowment for the Humanities, Room 420, Washington, DC 20506. (202) 606-8309. Division of Education Programs, National Endowment for the Humanities, Room 302, Washington, DC 20506. (202)606-8463. Questions about the We the People Bookshelf can be answered by the American Library Association staff at (1 800)545-2433, ext. 5045 and publicprograms@ala.org or by NEH staff at (202) 606-8589 and info@neh.gov. Hearing-impaired applicants can contact NEH via TDD at (1 866) 372-2930.

**Web Site Address:**

http://www.neh.gov.

**RELATED PROGRAMS:**

45.129, Promotion of the Humanities\_Federal/State Partnership; 45.130, Promotion of the Humanities\_Challenge Grants; 45.149, Promotion of the Humanities\_Division of Preservation and Access; 45.162, Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development; 45.164, Promotion of the Humanities\_Public Programs.

**EXAMPLES OF FUNDED PROJECTS:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**CRITERIA FOR SELECTING PROPOSALS:**

We The People Bookshelf applications are evaluated according to the following criteria: Are the proposed programs well conceived, and do they have broad community appeal? Do the proposed programs explore the theme of courage? Will the proposed programs engage young readers? Does the library provide a long-term plan for promoting ongoing interest in the Bookshelf? For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**45.169 PROMOTION OF THE HUMANITIES-OFFICE OF DIGITAL HUMANITIES**

**FEDERAL AGENCY:**

NATIONAL ENDOWMENT FOR THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To support projects that utilize or study the impact of digital technology, including those that deploy digital technologies and methods to enhance our understanding of a topic or issue; those that study the impact of digital technology on the humanities--exploring the ways in which it changes how we read, write, think, and learn; and those that digitize important materials thereby increasing the public's ability to search and access humanities information.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Digital Humanities Start-Up Grants support the planning or initial stages of digital humanities initiatives in all areas of the humanities, including research that brings new digital approaches to the study of the humanities or that examines the implications for humanities scholarship on the use of emerging technologies; new digital modes of publication facilitating the dissemination of humanities scholarship in advanced academic as well as informal or formal educational settings at all academic levels; exploration of digital methods or approaches to preserve, archive, and make accessible traditional (i.e., analogue) and "new media" resources in the humanities; planning new digital tools for preserving, making accessible and analyzing humanities data; and programs addressing the innovative use of emerging digital technologies in formal and

informal educational settings, including public forums such as museums, libraries, historic sites, and broadcast media, and K-12 schools and post-secondary institutions. Digital Humanities Start-Up Grants support full-time or part-time activities for periods up to eighteen months. Support is available for various combinations of scholars, consultants, and research assistants; project-related travel; and technical support and services. Up to 20% of the total grant may also be used for the acquisition of computing hardware and software. All grantees are expected to communicate the results of their work to appropriate scholarly and public audiences. In order to facilitate dissemination and the maximum usage of the projects that are ultimately developed through the Digital Humanities Start-Up Grants, applicants are strongly encouraged to base their projects on open source and fully accessible software.

**Applicant Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

**Beneficiary Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply.

**Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal, and review draft proposals. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by E-mail attachment (DHI@neh.gov), Fax: (202) 606-8216, or overnight mail (Digital Humanities Start-Up Grants, c/o OIRM, Room 203, 1100 Pennsylvania Avenue N.W. Washington, DC 20506. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for this program must be submitted via Grants.Gov. Before using Grants.gov for the first time, each organization must register with the Web site to create an institutional profile.

**Award Procedure:**

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. The Endowment's staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applicants will be notified by mail within five months after the submission of the application.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Source: Program Guidelines. Contact: See Headquarters Office below.

**Length and Time Phasing of Assistance:**

Digital Humanities Start-Up Grants support full-time or part-time activities for periods up to eighteen months.

**Reports:**

Final performance reports will be required. A Federal Cash Transactions Report will be due within 30 days of the end of each calendar quarter. A final Financial Status Report will be due within 90 days after the completion date of the award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental recipients, audits are to be carried

out in accordance with the provisions set forth in OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations Uniform Administrative Requirements" and with OMB Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

Not separately identifiable.

**Range and Average of Financial Assistance:**

Digital Humanities Start-Up Grants can comprise up to \$30,000 in outright funds. The use of federal matching funds is encouraged.

**PROGRAM ACCOMPLISHMENTS:**

New program; not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> or by request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Public Information, National Endowment for the Humanities, Room 402, Washington, DC 20506. Telephone: (202) 606-8400.

**Web Site Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149, Promotion of the Humanities Division of Preservation and Access.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluators apply the following criteria: (1) intellectual significance of the long-term project, including its potential to enhance research, teaching, and learning in the humanities; the likelihood that it will stimulate new research or approaches to the humanities or use new digital technologies to communicate humanities scholarship to broad audiences; its relationship to larger themes in the humanities; and the significance of the material on which the project is based; (2) quality of the specific start-up activities that will be funded through the grant as an initial step leading to the fulfillment of the long-term project goals; the appropriateness of the proposed methods; the appropriateness of the technology employed in the project; the feasibility of the work plan; (3) qualifications, expertise, and levels of commitment of the project director and key project staff or contributors; (4) promise of quality, usefulness to the targeted audience, and/or impact on scholarship of the long-term project; soundness of the dissemination plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, microform, digital format, or a combination of media; (5) quality of the assessment and evaluation of the start-up activities, and the potential contribution of this evaluation to the realization of the long-term goals; and (6) potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results.

## 45.201 ARTS AND ARTIFACTS INDEMNITY

**FEDERAL AGENCY:**

FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Laws 89-209, and 94-158, 20 U.S.C. 971 et seq.

**OBJECTIVES:**

To provide for indemnification against loss or damage for eligible art works, artifacts, and objects (1) when borrowed from abroad for exhibition in the U.S.; (2) when borrowed from the U.S. for exhibition abroad, preferably when there is an exchange exhibition from a foreign country; and (3) when borrowed from the U.S. for exhibition in the U.S. as part of exhibitions from abroad which include foreign-owned objects.

**TYPES OF ASSISTANCE:**

Insurance.

**USES AND USE RESTRICTIONS:**

Certificates of Indemnity will be issued for the following items insuring them against loss or damage: (1) Works of art, including tapestries, paintings, sculpture, folk art, graphics, and craft arts; (2) manuscripts, rare documents,

books, and other printed or published materials; (3) other artifacts or objects; and (4) photographs, motion pictures, or audio and video tape. Items must be of educational, cultural, historical or scientific value; and their exhibition must be certified by the Department of State to be in the national interest. Restrictions: No indemnity agreement for a single exhibition shall exceed \$1.2 billion. Deductible amounts are on a sliding scale based on the value of certificate, as follows: \$15,000 deductible for exhibitions of up to \$2 million in value; \$25,000 for valuation of \$2 million to \$10 million; \$50,000 for valuation of \$10 million to \$125 million; \$100,000 for valuation of \$125 million to \$200 million; \$200,000 for valuation of \$200 million to \$300 million; \$300,000 for valuation of \$300 million to \$400 million; \$400,000 for valuation of \$400 million to \$500 million; and \$500,000 for valuation above \$500 million. The total amount of indemnities that can be outstanding at any one time is \$10 billion.

**Applicant Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions may apply.

**Beneficiary Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions will benefit. Audiences of indemnified exhibitions will also benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Assistance is available from the Indemnity Administrator, National Endowment for the Arts, Washington, DC 20506-0001. This program is excluded from coverage under OMB Circular No. A-102; it is also excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants should obtain guidelines and application instructions from the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Federal Council on the Arts and the Humanities makes final decisions on all awards based on recommendations from consulting panels of professionals in the field.

**Deadlines:**

April 1 and October 1 of each year.

**Range of Approval/Disapproval Time:**

Dependent on meetings of the Federal Council on the Arts and the Humanities; approximately three months.

**Appeals:**

None.

**Renewals:**

Requests for extensions and renewals must compete against new applications.

**Formula and Matching Requirements:**

Coverage does not include the first \$15,000 to \$500,000 based on the deductible formula for the value of an exhibition. The applicant must assume the deductible for the exhibition.

**Length and Time Phasing of Assistance:**

The time of assistance varies.

**Reports:**

Reports of loss or damage at termination of exhibit.

**Audits:**

Final audits may be made at the discretion of the Federal Council on the Arts and the Humanities for up to three years after the termination of the indemnity time period.

**Records:**

Applicants are responsible for complete packing, shipping, security and condition reports on all indemnified items.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Claim payments) FY 07 \$0; FY 08 \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Thirty-nine certificates of indemnity were issued in fiscal year 2007 for 39 exhibitions. It is estimated that 45 certificates of indemnity will be issued in fiscal year 2008 for 45 exhibitions. It is anticipated that 50 certificates of indemnity will be issued in fiscal year 2009 for 50 exhibitions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Indemnity Administrator, National Endowment for the Arts, Washington, DC 20506-0001. Contact: Alice M. Whelihan. Telephone: (202) 682-5574.

**Web Site Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Current indemnified exhibitions are listed on the Web site, [www.arts.gov](http://www.arts.gov).

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Indemnity Administrator.

**45.301 MUSEUMS FOR AMERICA**

**FEDERAL AGENCY:**

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION OF THE ARTS, AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To support projects and activities that strengthen museums as active resources for lifelong learning and as important institutions in the establishment of livable communities.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds can be used for ongoing museum programs, exhibitions, or activities, research, institutional planning, collections management, purchase of equipment or services, or other activities that support the efforts of museums to upgrade and integrate new technologies into their overall institutional effectiveness.

**Applicant Eligibility:**

All types of museums, large and small, are eligible for funding. Eligible museums include aquariums, arboretums and botanical gardens, art museums, general museums, historic houses and sites, history museums, nature centers, natural history and anthropology museums, planetariums, science and technology centers, specialized museums, youth museums, and zoological parks. Federally operated and for-profit museums may not apply for funds. An eligible applicant must be: (1) either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code; (2) located in one of the 50 states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and (3) a museum that, using a professional staff, (i) is organized on a permanent basis for essentially educational or aesthetic purposes, (ii) owns or uses tangible objects, either animate or inanimate, (iii) cares for these objects, and (iv) exhibits these objects to the general public on a regular basis through facilities which it owns or operates. An organization uses a professional staff if it employs at least one professional staff member, or the full-time equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution. An organization "exhibits objects to the general public" if such exhibition is a primary purpose of the institution. Further, an organization that exhibits objects to the general public for at least 120 days a year shall be deemed to exhibit objects to the general public on a regular basis. An organization that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public. Please note that an organization which does not have as a primary purpose the exhibition of objects to the general public, but which can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that it otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines. A museum located within a parent organization that is a state or local government or multipurpose nonprofit entity, such as a municipality, university, historical society, foundation, or cultural center, may apply on its own behalf if the museum: (1) is able to independently fulfill all the eligibility requirements listed above, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization. Prospective applicants that cannot fulfill all of these requirements should contact IMLS to discuss their eligibility before applying. IMLS may require additional supporting documentation from the applicant to determine the museum's autonomy. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative. A parent organization that controls multiple museums that are not autonomous but are otherwise eligible may submit only one application per grant program; the application may be submitted by the parent organization on behalf of one or more of the eligible museums.

**Beneficiary Eligibility:**

Public and private nonprofit museums.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and



other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by the agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As part of the president's E-government initiative, the federal government developed Grants.gov, a single Web site for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

**Award Procedure:**

Proposals are reviewed by field and/or panel reviewers, staff, and the director.

**Deadlines:**

November 1.

**Range of Approval/Disapproval Time:**

Approximately nine months.

**Appeals:**

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

**Renewals:**

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

**Formula and Matching Requirements:**

Awards will not exceed \$150,000 and must be matched one-to-one, but may include in-kind contributions.

**Length and Time Phasing of Assistance:**

Projects generally may be carried out for a period of up to 24 months from the start date, but up to 36 months with strong justification.

**Reports:**

The Institute of Museum and Library Services requires interim and final financial and performance reports from Museums for America grant recipients.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant and contract recipients will be required to maintain standard financial statements and project records.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$17,400,000; FY 08 est \$16,852,000; and FY 09 est \$22,165,000.

**Range and Average of Financial Assistance:**

Between \$5,000 and \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07, the Museums for America grant program made 158 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS Web site at <http://www.imls.gov> for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, NW, Ninth Floor, Washington, DC 20036-5802. Contacts: Sandra Narva, Telephone: (202) 653-4634, E-mail: [snarva@imls.gov](mailto:snarva@imls.gov). Stephen Schwartzman, Telephone: (202) 653-4641, E-mail: [sschwartzman@imls.gov](mailto:sschwartzman@imls.gov).

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.302, Museum Assessment Program; 45.303, Conservation Project Support; 45.304, Conservation Assessment Program; 45.307, 21st Century Museum Professionals; 45.308, Native American/Native Hawaiian Museum Services Program; 45.309, Museum Grants for African American History and Culture; 45.312, National Leadership Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Museums for America grants support projects and activities that strengthen museums as active resources for lifelong learning and as key players in the establishment of livable communities.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines. Criteria include but are not limited to: evidence the project or activities fit into and further the institution's strategic plan and mission; extent to which the project is of sufficient scope to enhance or expand institutional capacity in order to carry out strategic goals; evidence the project

proposes efficient, effective, and reasonable approaches to accomplish clear goals and objectives; evidence that the applicant will effectively complete the project activities through the deployment and management of resources, including money, facilities, equipment, and supplies; evidence of sound financial management, coupled with an appropriate and cost-efficient budget; evidence that the museum's audience(s) will be better served by the successful completion of this project, and evidence of the beneficial impact the project activities will have on the institution, its staff, and its audience(s). qualifications and how they will be able to accomplish the necessary tasks for the project, especially if they are current museum staff with other duties. If hiring new personnel, describe the position in detail and the qualifications of appropriate candidates. If the project includes digitization of museum collections, complete Specifications for Projects Involving Digitization on pages 5.8, 5.9. Review Criteria: Evidence that the project personnel are qualified to accomplish project goals and activities. Extent to which personnel can commit adequate time to manage and implement the project activities. Extent to which personnel demonstrate appropriate experience and expertise in the specific area the project addresses. If project includes digitization, evidence that appropriate procedures will be followed.

## 45.302 MUSEUM ASSESSMENT PROGRAM

(MAP)

**FEDERAL AGENCY:**

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To help museums assess their strengths and weaknesses, and to plan for the future. The Museum Assessment Program is supported through a cooperative agreement between the Institute of Museum and Library Services and the American Association of Museums.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The program provides technical assistance for four kinds of assessments: (1) collections management, (2) governance, (3) institutional, and (4) public dimension. Collections management assessment supports a review of collections use, planning, and policies and procedures in the context of overall museum operations. Governance assessment supports an examination of the roles, responsibilities, and performance of governing authorities and advisory boards. The assessment improves the ability of the museum's governing authority to fulfill its stewardship responsibilities and contribute to the success of the organization. Institutional assessment supports an overview of the management and operations of the entire museum and helps the museum set priorities, prepare for strategic planning, and operate more efficiently, thereby improving its services to the community and increasing its base of support. Public dimension assessment supports an evaluation of the way in which the museum serves its community and audiences through exhibits, programs, and other services, and communicates with its audience through public relations, planning, and evaluation.

**Applicant Eligibility:**

A museum located in the 50 states of the United States, the Commonwealth of Puerto Rico, American Samoa, the Virgin Islands, the Northern Mariana Islands, the Trust Territories of the Pacific Islands, Guam, the Republic of the Marshall Islands, The Federated States of Micronesia, and the Republic of Palau, or the District of Columbia may apply for a grant under this Act. A public or private nonprofit organization, such as a municipality, college, or university which is responsible for the operation of a museum, if necessary, may apply on behalf of the museum. A museum operated by a department or agency of the Federal government is not eligible to apply. Under the IMLS definition, a museum is a public or private nonprofit institution which is organized on a permanent basis for essentially educational or aesthetic purposes and which, using a professional staff: (1) Owns or uses tangible objects, whether animate or inanimate; (2) cares for these objects; and (3) exhibits them to the general public on a regular basis. A museum must have at least one staff member, paid or unpaid, who devotes his or her time primarily to the acquisition, care or exhibition of objects. The definition makes clear that the term "museum" includes aquariums and zoological parks; botanical gardens and arboretums; nature centers; art, history, (including historic buildings and sites), natural history, children's, general and specialized museums, science and technology centers and planetariums.

**Beneficiary Eligibility:**

Public and private nonprofit museums benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by the American Association of Museums must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To participate in the Museum Assessment Program, a museum must contact the American Association of Museums (AAM), 1575 Eye Street, NW, Suite 400, Washington, DC 20005. Telephone: (202) 289-9118. E-mail: map@aam-us.org.

**Award Procedure:**

Proposals for participation are reviewed by the American Association of Museums.

**Deadlines:**

February 15.

**Range of Approval/Disapproval Time:**

Five months.

**Appeals:**

Appeals may be made in writing to the director of the American Association of Museums.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

MAP is funded by the Institute of Museum and Library Services. MAP museums share a percentage of the cost of the assessment.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Participants submit a final report to the American Association of Museums.

**Audits:**

Audits not required for application.

**Records:**

Grant and contract recipients will be required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$442,000; FY 08 \$434,278; FY 09 est \$471,000.

**Range and Average of Financial Assistance:**

In FY 07, 111 museums participated in MAP. Grants were awarded in the following areas: collections management (26), governance (11), public dimension (27), and institutional assessment (47).

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 111 museums participated in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS Web site at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Christopher J. Reich, Senior Program Officer; Telephone: (202) 653-4685; E-mail: creich@imls.gov.

**Web Site Address:**

[www.imls.gov](http://www.imls.gov); [www.aam-us.org](http://www.aam-us.org).

**RELATED PROGRAMS:**

45.301, Museums for America; 45.303, Conservation Project Support; 45.304, Conservation Assessment Program; 45.312, National Leadership Grants; 15.904, Historic Preservation Fund Grants-In-Aid; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

The Museum Assessment Program funds all types of museums, including historic house museums, science and technology centers, botanical gardens, and art museums.

**CRITERIA FOR SELECTING PROPOSALS:**

To participate in MAP, a museum must contact the American Association of Museums, 1575 Eye Street, N.W., Suite 400, Washington, DC 20005. Telephone: (202) 289-9118. E-mail: map@aam-us.org.

**45.303 CONSERVATION PROJECT SUPPORT****FEDERAL AGENCY:**

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To help museums identify conservation needs and priorities and perform activities to ensure the safekeeping of their collections.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Conservation Project Support grants help museums develop a logical,

institution-wide approach to caring for their collections. Collections may be in one of four categories: (1) nonliving, (2) natural history, (3) living plants, or (4) living animals. Grants are available for four broad types of conservation activities: (1) surveys (general, detailed condition, or environmental), (2) training, (3) treatment, and (4) environmental improvements. An institution may submit one application each fiscal year. Applications must demonstrate that the primary goal of the project is conservation care and not collection management or maintenance.

**Applicant Eligibility:**

All types of museums, large and small, are eligible for funding. Eligible museums include aquariums, arboretums and botanical gardens, art museums, general museums, historic houses and sites, history museums, nature centers, natural history and anthropology museums, planetariums, science and technology centers, specialized museums, youth museums, and zoological parks. Federally operated and for-profit museums may not apply for funds. An eligible applicant must be: (1) either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code; (2) located in one of the 50 states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and (3) a museum that, using a professional staff, (i) is organized on a permanent basis for essentially educational or aesthetic purposes, (ii) owns or uses tangible objects, either animate or inanimate, (iii) cares for these objects, and (iv) exhibits these objects to the general public on a regular basis through facilities which it owns or operates. An organization uses a professional staff if it employs at least one professional staff member, or the fulltime equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution. An organization "exhibits objects to the general public" if such exhibition is a primary purpose of the institution. Further, an organization that exhibits objects to the general public for at least 120 days a year shall be deemed to exhibit objects to the general public on a regular basis. An organization that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public. Please note that an organization which does not have as a primary purpose the exhibition of objects to the general public, but which can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that it otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines. A museum located within a parent organization that is a state or local government or multipurpose nonprofit entity, such as a municipality, university, historical society, foundation, or a cultural center, may apply on its own behalf, if the museum: (1) is able to independently fulfill all the eligibility requirements listed above, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization. Prospective applicants that cannot fulfill all of these requirements should contact IMLS to discuss their eligibility before applying. The IMLS may require additional supporting documentation from the applicant to determine the museum's autonomy. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative. A parent organization that controls multiple museums that are not autonomous but are otherwise eligible may submit only one application per grant program; the application may be submitted by the parent organization on behalf of one or more of the eligible museums.

**Beneficiary Eligibility:**

Public and private nonprofit museums benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments. OMB Circular No. A-21 for educational institutions and other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by the federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As part of the president's E-government initiative, the federal government developed Grants.gov, a single website for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

**Award Procedure:**

Proposals are reviewed by field reviewers, panels of experts, and the director to determine the grants awarded to eligible applicants.

**Deadlines:**

October 1.

**Range of Approval/Disapproval Time:**

Approximately seven months.

**Appeals:**

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

**Renewals:**

IMLS may extend particular grants at the discretion of the director.

**Formula and Matching Requirements:**

Grants will not exceed \$150,000. Grants require a 1:1 match on the total request.

**Length and Time Phasing of Assistance:**

Projects may be carried out for a period of up to 24 months, though 36 months may be approved with strong justification.

**Reports:**

The Institute of Museum and Library Services requires interim and final reports.

**Audits:**

Audits not required for application.

**Records:**

Grant recipients will be required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$2,772,000; FY 08 \$2,724,000; FY 09 est \$3,801,000.

**Range and Average of Financial Assistance:**

In fiscal year 2008, awards ranged from \$8,900 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, 34 grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS Web site at <http://www.imls.gov> for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Christine Henry, Telephone: (202) 653-4674, E-mail: [chenry@imls.gov](mailto:chenry@imls.gov).

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.301, Museums for America; 45.302, Museum Assessment Program; 45.304, Conservation Assessment Program; 45.312, National Leadership Grants; 15.904, Historic Preservation Fund Grants-In-Aid; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

Conservation Project Support grants are for general conditions/surveys of museum collections and environments, staff conservation training, treatment of collections, and improving existing environmental conditions to better care for living plant and animal collections.

**CRITERIA FOR SELECTING PROPOSALS:**

Museums must document that the project is the museum's highest priority for collections care. See program guidelines.

## 45.304 CONSERVATION ASSESSMENT PROGRAM

(CAP)

**FEDERAL AGENCY:**

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To support the efforts of museums to conserve the nation's historic, scientific, and cultural heritage. The Conservation Assessment Program (CAP) is supported through a cooperative agreement between the Institute of Museum and Library Services and Heritage Preservation, Inc.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

CAP funds an overall assessment of the conditions of a museum's environment and collections to identify conservation needs and priorities.

**Applicant Eligibility:**

A museum located in the 50 states of the United States, the Commonwealth of Puerto Rico, American Samoa, the Virgin Islands, the Northern Mariana Islands, the Trust Territories of the Pacific Islands, Guam, the Republic of the Marshall Islands, The Federated States of Micronesia, and the Republic of Palau, or the District of Columbia may apply for a grant under this Act. A public or private nonprofit organization, such as a municipality, college, or university which is

responsible for the operation of a museum, if necessary, may apply on behalf of the museum. A museum operated by a department or agency of the Federal government is not eligible to apply. Under the IMLS definition, a museum is a public or private nonprofit institution which is organized on a permanent basis for essentially educational or aesthetic purposes and which, using a professional staff: (1) Owns or uses tangible objects, whether animate or inanimate; (2) cares for these objects; and (3) exhibits them to the general public on a regular basis. A museum must have at least one staff member, paid or unpaid, who devotes his or her time primarily to the acquisition, care or exhibition of objects. The definition makes clear that the term "museum" includes aquariums and zoological parks; botanical gardens and arboretums; nature centers; art, history, (including historic buildings and sites), natural history, children's, general and specialized museums, science and technology centers and planetariums.

**Beneficiary Eligibility:**

Public and private nonprofit museums benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by Heritage Preservation, Inc. must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To participate in CAP, a museum must contact Heritage Preservation, Inc., 1012 14th Street, N.W., Suite 1200, Washington, DC 20005. Telephone: (202) 233-0800. Fax: (202) 233-0807.

**Award Procedure:**

Proposals for participation are reviewed by Heritage Preservation, Inc.

**Deadlines:**

December 1.

**Range of Approval/Disapproval Time:**

Five months.

**Appeals:**

Appeals may be made in writing to the director of Heritage Preservation, Inc.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

45 CFR 1180. CAP is funded by the Institute of Museum and Library Services. CAP museums share a percentage of the cost of the assessment.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Participants submit a final report to Heritage Preservation, Inc.

**Audits:**

Audits not required for application.

**Records:**

Grant and contract recipients will be required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$807,000; FY 08 \$793,000; and FY 09 est \$814,000.

**Range and Average of Financial Assistance:**

In FY 08, 101 museums participated in the program.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 101 museums participated in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS Web site at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Christine Henry, Telephone: (202) 653-4674, E-mail: [chenry@imls.gov](mailto:chenry@imls.gov).

**Web Site Address:**

[www.imls.gov](http://www.imls.gov); [www.heritagepreservation.org/](http://www.heritagepreservation.org/).

**RELATED PROGRAMS:**

45.301, Museums for America; 45.302, Museum Assessment Program; 45.303, Conservation Project Support; 45.312, National Leadership Grants; 15.904, Historic Preservation Fund Grants-In-Aid; 15.914, National Register of Historic Places; 15.915, Technical Preservation Services.

**EXAMPLES OF FUNDED PROJECTS:**

CAP is appropriate for small to medium-sized museums. All types of museums, including historic houses, botanical gardens, anthropology museums, ethnic museums, and zoos are eligible to participate in CAP.

**CRITERIA FOR SELECTING PROPOSALS:**

To participate in CAP, a museum must contact Heritage Preservation, Inc., 1012 14th Street, N.W., Suite 1200, Washington, DC 20005. Telephone: (202) 233-0800. Fax: (202) 233-0807.



## 45.307 21ST CENTURY MUSEUM PROFESSIONALS

### FEDERAL AGENCY:

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

### AUTHORIZATION:

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

### OBJECTIVES:

To support projects that address the preparation of museum professionals for the future by updating and expanding their knowledge and skills.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

The program supports a range of activities, including professional training in all areas of museum operations and leadership development. Examples of activities may include development and implementation of classes, seminars, or workshops; resources and activities to support the development of museum leaders; organizational support for the development of internship and fellowship programs; support for the enhancement of preprofessional training programs; collection, assessment, or development of information that leads to better museum operations; dissemination of information to museum professionals; and activities that increase or strengthen the use of contemporary technology tools. Grants under the 21st Century Museum Professionals program are intended to affect multiple museums by reaching broad groups of museum professionals throughout a city, county, state, region, or the nation, and increase their capacity to serve their audiences. Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, collection acquisition, fundraising costs, or pre-grant costs.

### Applicant Eligibility:

An eligible applicant must (1) be either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code; (2) be located in one of the 50 states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and (3) qualify as one of the following three types of organizations: (i) a museum that, using a professional staff, is organized on a permanent basis for essentially educational or aesthetic purposes; owns or uses tangible objects, either animate or inanimate; cares for these objects; and/or exhibits these objects to the general public on a regular basis through facilities which it owns or operates (an institution uses a professional staff if it employs at least one professional staff member, or the full-time equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution. An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. An institution that exhibits objects to the general public for at least 120 days a year is deemed to exhibit objects to the general public on a regular basis. An institution that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public. An institution that does not have as a primary purpose the exhibition of objects to the general public, but that can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines); (ii) an organization or association that engages in activities designed to advance the well-being of museums and the museum profession; or (iii) an institution of higher education, including public and nonprofit universities. A museum located within a parent organization that is a state or local government or multipurpose nonprofit entity, such as a municipality, university, historical society, foundation, or a cultural center, may apply on its own behalf if the museum: (1) is able to independently fulfill all the eligibility requirements listed above, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization. Prospective applicants that cannot fulfill all of these requirements should contact IMLS to discuss their eligibility before applying. IMLS may require additional supporting documentation from the applicant to determine the museum's autonomy. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative. A parent organization that controls multiple museums that are not autonomous but are otherwise eligible may submit only one application per grant program; the application may be submitted by the parent organization on behalf of one or more of the eligible museums.

### Beneficiary Eligibility:

All types of museums.

### Credentials/Documentation:

Cost will be determined in accordance with OMB Circular No. A-87 for state and local governments. Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations and OMB Circular No. A-21 for educational institutions.

### Preapplication Coordination:

The standard application forms as furnished by the federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

As part of the president's E-government initiative, the federal government developed Grants.gov, a single Web site for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

### Award Procedure:

Proposals are reviewed by field and/or panel reviewers, staff, and the director.

### Deadlines:

March 15.

### Range of Approval/Disapproval Time:

Six months.

### Appeals:

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

### Renewals:

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

### Formula and Matching Requirements:

Awards will not exceed \$500,000 and must be matched by a one-to-one applicant cost share. Applicant cost share may include in-kind contributions.

### Length and Time Phasing of Assistance:

Projects may be carried out for a period of up to 36 months from the project start date.

### Reports:

Grant recipients are required to submit semi-annual performance reports every six months during the grant period, and an annual financial report. Final performance and financial reports are also required at the end of the grant period.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grant recipients will be required to maintain standard financial statements and project records.

### Account Identification:

59-0300-0-1-503.

### Obligations:

(Grants) FY 07 \$2,074,017; FY 08 \$965,000; FY 09 est \$2,141,000.

### Range and Average of Financial Assistance:

In FY 07, the average grant was \$207,402, and the range was \$29,848 to \$423,214.

### PROGRAM ACCOMPLISHMENTS:

The program funded 10 projects in FY 07.

### REGULATIONS, GUIDELINES, AND LITERATURE:

See the IMLS Web site at [www.imls.gov](http://www.imls.gov) for the latest program data.

### Regional or Local Office:

None.

### Headquarters Office:

Institute of Museum and Library Services, 1800 M Street, NW, Ninth Floor, Washington, DC 20036-5802. Contact: Christopher J. Reich, Telephone: (202) 653-4685, E-Mail: [creich@imls.gov](mailto:creich@imls.gov).

### Web Site Address:

<http://www.imls.gov>.

### RELATED PROGRAMS:

45.301, Museums for America; 45.302, Museum Assessment Program; 45.312, National Leadership Grants.

### EXAMPLES OF FUNDED PROJECTS:

The 21st Century Museum Professionals grant program funds projects that address the preparation of museum professionals for the future by updating and expanding their knowledge and skills.

### CRITERIA FOR SELECTING PROPOSALS:

See program guidelines.

## 45.308 NATIVE AMERICAN/NATIVE HAWAIIAN MUSEUM SERVICES PROGRAM

### FEDERAL AGENCY:

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

### AUTHORIZATION:

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

### OBJECTIVES:

To enable Indian tribes and Alaska Native villages and corporations and nonprofit organizations that primarily serve and represent Native Hawaiians to benefit their communities and audiences through strengthened museum services in the areas of programming, professional development, and enhancement of museum services.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grants are intended to support activities of Indian tribes and Alaska Native villages and corporations and nonprofit organizations that primarily serve and represent Native Hawaiians in museums and museum-related organizations, such as cultural centers. The grant program will support services and activities in the following areas: (1) programming: services and activities that support the educational mission of museums and museum-related organizations; (2) professional development: education or training that builds skills, knowledge, or other professional capacity for individuals who provide or manage museum services activities. These persons may be paid or volunteer and may be involved with museum services either currently or in the future; (3) enhancement of museum services: support for activities that enable and improve museum services.

### Applicant Eligibility:

Eligible applicants are Indian tribes, Alaska Native villages and corporations, and organizations that primarily serve and represent Native Hawaiians. Museums are not eligible to apply for this grant program. However, they may partner with eligible applicants on projects. Entities such as libraries, schools, tribal colleges, and departments of education are not eligible applicants, although they may be involved in the administration of this program and their staff may serve as project directors, in partnership with an eligible applicant. For the purposes of funding under this program, "The term 'Indian tribe' means any tribe, band, nation, or other organized group or community, including any Alaska native village, regional corporation, or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. Section 1601 et seq.), that is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians" (definition taken from the Library Services and Technology Act). Eligible entities are listed on the Bureau of Indian Affairs Web site ([www.doi.gov/bureau-indian-affairs.html](http://www.doi.gov/bureau-indian-affairs.html)), except for the recognized Alaska Native villages, regional corporations, and village corporations (Alaskan entities should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above). Under this program, "organizations that primarily serve and represent Native Hawaiians--that is, any not-for-profit organization that primarily serves and represents Native Hawaiians, as the term is defined in 20 U.S.C. Section 7517--are also eligible for funding. The term "Native Hawaiian" means any person who is a citizen of the United States and a descendant of the aboriginal people who, before 1778, occupied and exercised sovereignty in the area that is now the state of Hawaii, as evidenced by genealogical records, Kapuna (elders) or Kamaaina (long-term community residents) verification, or certified birth records.

### Beneficiary Eligibility:

Indian tribes, nonprofit organizations.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

### Preapplication Coordination:

The standard application forms as furnished by the Institute of Museum and Library Services and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

As part of the president's E-government initiative, the federal government developed Grants.gov, a single Web site for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

### Award Procedure:

Proposals are reviewed by field and/or panel reviewers, staff, and the director.

### Deadlines:

April 1.

### Range of Approval/Disapproval Time:

Approximately five months.

### Appeals:

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

### Renewals:

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

### Formula and Matching Requirements:

The minimum grant is \$5,000, and awards will not exceed \$50,000. There are no matching requirements.

### Length and Time Phasing of Assistance:

Projects may be carried out for a period of up to 24 months from the project start date.

### Reports:

The Institute of Museum and Library Services requires interim and final financial and narrative performance reports.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grant and contract recipients will be required to maintain standard financial statements and project records.

### Account Identification:

59-0300-0-1-503.

### Obligations:

(Grants) FY 07 \$1,007,740; FY 08 \$895,000; FY 09 est \$945,000.

### Range and Average of Financial Assistance:

In FY 07, awards ranged between \$13,793 and \$50,000.

### PROGRAM ACCOMPLISHMENTS:

In FY 07, the program awarded 23 grants.

### REGULATIONS, GUIDELINES, AND LITERATURE:

See the IMLS Web site at [www.imls.gov](http://www.imls.gov) for the latest program data.

### Regional or Local Office:

None.

### Headquarters Office:

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Sandra Narva, Telephone: (202) 653-4634, E-mail: [snarva@imls.gov](mailto:snarva@imls.gov).

### Web Site Address:

<http://www.imls.gov>.

### RELATED PROGRAMS:

45.301, Museums for America; 45.302, Museum Assessment Program; 45.303, Conservation Project Support; 45.304, Conservation Assessment Program; 45.307, 21st Century Museum Professionals; 45.311, Native American and Native Hawaiian Library Services.

### EXAMPLES OF FUNDED PROJECTS:

The Native American/Native Hawaiian Museum Services Program supports projects that strengthen museum services for Native Americans and Native Hawaiians by enhancing museum programming and services, and professional development for museum staff.

### CRITERIA FOR SELECTING PROPOSALS:

See program guidelines.

## 45.309 MUSEUM GRANTS FOR AFRICAN AMERICAN HISTORY AND CULTURE

### FEDERAL AGENCY:

OFFICE OF MUSEUM SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

### AUTHORIZATION:

Museum and Library Services Act, 20 U.S.C. 9101 et seq.

### OBJECTIVES:

Museum Grants for African American History and Culture are intended to build professional capacity in the African American museum community. The goals of the program are to develop and strengthen knowledge, skills, and other expertise of current staff at African American museums; to attract and retain professionals with the skills needed to strengthen African American museums; and to attract new staff to African American museum practice and provide them with the expertise they need to sustain them in the museum field.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grant funds may be used to support a wide range of museum activities, including staff exchange, mentoring, education, or training, or other strategies

that increase the skills needed to improve African American museum services; attendance at museum conferences and other professional meetings; enrollment in courses or workshops; technical assistance or consultation with museum or business professionals from outside the institution; and organizational support for the development and implementation of internship and fellowship programs (awards are not made to individuals). IMLS grant funds may be used only for costs directly related to the project, such as costs for salaries for museum personnel, project supplies and materials, membership fees, telecommunication services and equipment, and other fees or expenses associated with the project. Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, collection acquisition, fundraising costs, or pre-grant costs.

**Applicant Eligibility:**

An applicant must: be either a unit of state or local government, or a private not-for-profit organization that has tax-exempt status under the Internal Revenue Code; be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the U.S. Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and qualify as one of the following three types of organizations: (1) a museum whose primary purpose, as reflected in its mission, is African American life, art, history, and/or culture, encompassing the period of slavery, the era of Reconstruction, the Harlem Renaissance, the civil rights movement, and other periods of the African American Diaspora; (2) a museum service organization or association whose primary purpose, as reflected in its mission, is to support museums identified above; or (3) historically black colleges and universities as defined by the Higher Education Act of 1965, as amended, 20 U.S.C. Section 1061, and pursuant to Executive Order 13256, dated February 12, 2002. A museum located within a parent organization that is a state or local government or multipurpose not-for-profit entity, such as a municipality, university, historical society, foundation, or cultural center, may apply on its own behalf if the museum (1) is able to independently fulfill all the eligibility requirements listed heretofore, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make the application on its own. When any of criteria 2 through 4 cannot be met, a museum may apply through its parent organization, and the parent organization may submit a single application for one or more of its museums.

**Beneficiary Eligibility:**

Public and private nonprofit museums.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by the agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As part of the president's E-government initiative, the federal government developed Grants.gov, a single Web site for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

**Award Procedure:**

Proposals are reviewed by field and/or panel reviewers, staff, and the director.

**Deadlines:**

January 15.

**Range of Approval/Disapproval Time:**

Six months.

**Appeals:**

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

**Renewals:**

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

**Formula and Matching Requirements:**

Awards will not exceed \$150,000 and must be matched by a one-to-one applicant cost share. Applicant cost share may include in-kind contributions.

**Length and Time Phasing of Assistance:**

Projects may be carried out for a period of up to 24 months from the project start date.

**Reports:**

Grant recipients are required to submit semi-annual performance reports every six months during the grant period, and an annual financial report. Final performance and financial reports are also required at the end of the grant period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$880,028; FY 08 est \$827,000; FY 09 est \$1,350,000.

**Range and Average of Financial Assistance:**

Grants range from \$5,000 to \$150,000. In FY 07, the average grant was \$88,003, and the range was from \$35,865 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

The program funded 10 projects in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS Web site at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Christopher J. Reich, Telephone: (202) 653-4685, E-mail: [creich@imls.gov](mailto:creich@imls.gov).

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.301, Museums for America; 45.302, Museum Assessment Program; 45.303, Conservation Project Support; 45.304, Conservation Assessment Program; 45.307, 21st Century Museum Professionals; 45.312, National Leadership Grants.

**EXAMPLES OF FUNDED PROJECTS:**

The Museum Grants for African American History and Culture program funds projects that build professional capacity in African American museums.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines.

## 45.310 GRANTS TO STATES

**FEDERAL AGENCY:**

OFFICE OF LIBRARY SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To promote improvement in library services in all types of libraries to better serve the people of the United States. To facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry. And to encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To make grants to state library administrative agencies which shall expend funds, either directly or through subgrants, for: (1) expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages; (2) developing library services that provide all users access to information through local, state, regional, national, and international electronic networks; (3) providing electronic and other linkages between and among all types of libraries; (4) developing public and private partnerships with other agencies and community-based organizations; (5) targeting library services to help increase access and ability to use information resources for persons of diverse geographic, cultural, and socioeconomic backgrounds; persons with disabilities; and persons with limited functional literacy or information skills; and (6) targeting library and information services to help increase access and ability to use information resources for persons who have difficulty using a library and for underserved urban and rural communities, including children from birth through age 17 from families with incomes below the poverty line.

**Applicant Eligibility:**

State library administrative agencies (from the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau) that have authority to administer federal funds and have financial resources sufficient to match the federal funding requirement may apply.



**Beneficiary Eligibility:**

Users of libraries and information services will benefit.

**Credentials/Documentation:**

A state five-year plan is the program application.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult IMLS or the official designated as the single point of contact in the state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**

To qualify for grants, states must submit a five-year plan as defined in Section 205 of the Act, for approval by the director of IMLS. The plan is submitted directly to the Institute of Museum and Library Services, Office of Library Services, Grants to States Program, 1800 M Street, NW, Ninth Floor, Washington, DC 20036-5802.

**Award Procedure:**

Grants are awarded to state library administrative agencies.

**Deadlines:**

Contact the program contact listed in the Headquarters section below.

**Range of Approval/Disapproval Time:**

A time has not been specified.

**Appeals:**

If IMLS determines that the state plan does not meet the requirements of the Museum and Library Services Act of 2003, the director shall notify the state. During this process, the state has the opportunity for a hearing.

**Renewals:**

A new State plan is required every five years; the next one is due June 30, 2012.

**Formula and Matching Requirements:**

The amount a State receives under this program consists of a minimum allotment set by Congress (20 USCS 9131(b)) plus an additional amount based on the most current published population estimates available the first day of the federal fiscal year from the Bureau of the Census. The federal share is 66 percent and the state matching requirement is 34 percent.

**Length and Time Phasing of Assistance:**

All funds are awarded to each state on approval of its five-year plan. Funds must be expended by the end of the federal fiscal year following the year of allotment as noted in grant award documentation.

**Reports:**

IMLS requires annual financial and narrative reports from each state library administrative agency. Each state library administrative agency must independently evaluate and report to IMLS regarding the activities assisted during this program before the end of the state five-year plan.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In 45 CFR 1183.42 (a) and (b), federal regulations state that records must be kept for three years after the grantee (i.e., the state library administrative agency) submits the last expenditure report for that period. (For the Grants to States program, "period" means the five-year period covered by a five-year plan.)

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$163,746,000; FY 08 \$160,885,357; FY 09 est \$171,500,000.

**Range and Average of Financial Assistance:**

The formula determining the assistance is based on population.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2008, the Grants to States program made 59 awards totaling \$160,885,357.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS website at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, Office of Library Services, Grants to States Program, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Telephone: (202) 653-4678.

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.311, Native American and Native Hawaiian Library Services; 45.312, National Leadership Grants; 45.313, Laura Bush 21st Century Librarian Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Grants to States program funded library programs and services that promote

access to learning and information resources in all types of libraries for individuals of all ages.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**45.311 NATIVE AMERICAN AND NATIVE HAWAIIAN LIBRARY SERVICES****FEDERAL AGENCY:**

OFFICE OF LIBRARY SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To support Indian tribes, Alaska Native villages and corporations, and organizations that serve and represent Native Hawaiians in providing library services to their communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Native American Library Services Basic Grants are available to Indian tribes and Alaska Native villages and corporations to support existing library operations and to maintain core library services. The Education/Assessment Option is supplemental to the Basic Grant and provides funding for library staff to attend library-related continuing education courses and training workshops on- or offsite; for library staff to attend or give presentations at conferences related to library services, and to hire a consultant for an onsite professional library assessment. Native American Library Services Enhancement Grants and Native Hawaiian Library Services grants are available to Indian tribes and Alaska Native villages and corporations and organizations serving and representing Native Hawaiians to enhance existing library services or implement new library services, particularly as they relate to the goals of the Library Services and Technology Act listed here: to expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages; to develop library services that provide all users with access to information through local, state, regional, national, and international electronic networks; to provide electronic and other linkages between and among all types of libraries; to develop public and private partnerships with other agencies and community-based organizations; to target library services to help increase access and ability to use information resources for individuals of diverse geographic, cultural, and socioeconomic backgrounds, individuals with disabilities, and individuals with limited functional literacy or information skills; and to target library and information services to help increase access and ability to use information resources for persons having difficulty using a library and for underserved urban and rural communities, including children from birth to age 17 from families with incomes below the poverty line (as defined by the Office of Management and Budget).

**Applicant Eligibility:**

Federally recognized Indian tribes, Alaska Native villages and corporations, and organizations primarily serving and representing Native Hawaiians may apply.

**Beneficiary Eligibility:**

Indian tribes, Alaska Native villages and corporations, and organizations that serve and represent Native Hawaiians benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments and federally recognized Indian tribal governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Institute of Museum and Library Services and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As part of the president's E-government initiative, the federal government developed Grants.gov, a single website for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

**Award Procedure:**

Competitive proposals are reviewed by field and/or panel reviewers, staff, and the director.

**Deadlines:**

Native American Library Services Basic Grants and Native American Library Services Basic Grants with Education/Assessment Option: March 1. Native American Library Services Enhancement Grants: May 1. Native Hawaiian Library Services grants: May 15.

**Range of Approval/Disapproval Time:**

Three to four months.

**Appeals:**

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

**Renewals:**

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

**Formula and Matching Requirements:**

No matching funds required.

**Length and Time Phasing of Assistance:**

Native American Library Services Basic Grants, Basic Grants with Education/Assessment Option, and Native Hawaiian Library Services grants are for one year. Native American Library Services Enhancement Grants may run for a period of up to 24 months from the project start date.

**Reports:**

The Institute of Museum and Library Services requires final financial and narrative reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients will be required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$3,638,000; FY 08 \$3,574,000; FY 09 est \$3,717,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, the Native American Library Services grant program awarded a total of 251 grants. The Native Hawaiian Library Services grant program awarded one grant.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS website at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Alison Freese, Telephone: (202) 653-4665, E-mail: [afreese@imls.gov](mailto:afreese@imls.gov).

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.310, Grants to States; 45.312, National Leadership Grants; 45.313, Laura Bush 21st Century Librarian Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Native American Library Services Basic Grant supports existing library operations and maintains core library services. The Education/Assessment Option is supplemental to the Basic Grant and provides funding for library staff to attend library-related continuing education courses and training workshops on- or offsite, to attend or give presentations at conferences related to library services, and to hire a consultant for an onsite professional library assessment. Native American Library Services Enhancement Grants support projects to enhance existing library services or implement new library services to better serve the needs of Indian tribal communities and Alaska Native villages and corporations. Native Hawaiian Library Services grants support enhancement and expansion of existing library services to the Native Hawaiian population.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines.

**45.312 NATIONAL LEADERSHIP GRANTS****FEDERAL AGENCY:**

INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To enhance the quality of library and museum services nationwide and to provide coordination between libraries and museums.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The Institute restored the research component to its Library-Museum Community Collaboration category. Collaboration grants provide opportunities for libraries and museums to partner with each other and with a host of other community organizations, including public broadcasters, schools, universities,

cultural and performing arts organizations, and health and social service providers. A partnership of at least one eligible library entity and one eligible museum entity is required. This category supports projects that address community civic and educational needs; increase the organizations' capacity to serve as effective venues and resources for learning; use technology in innovative ways to serve audiences more effectively; conduct collaborative research; or advance knowledge and best practices through collaborative digital projects. The Building Digital Resources category, renamed Advancing Digital Resources, supports the creation, use, preservation, and presentation of significant digital resources as well as the development of tools to manage digital assets incorporating new technologies or new technology practice. Projects should enhance learning and innovation by ensuring that the digital assets promote individual and community access to museum and library resources. This category encourages explorations of all types of digital resources, from use of resources on the Web to digital content through video, audio, or television. IMLS will support projects that digitize, preserve, and aggregate digital content from libraries, museums, and/or archives on a large-scale, statewide, or thematic basis; develop and disseminate new tools to enable libraries and museums to effectively manage, preserve, present, and/or use digital resources; increase community access to institutional resources through innovative approaches and/or improved practice; increase community access to institutional resources by improving practice in use, dissemination, and support of existing technology-based tools; develop or advance participation in museum and/or library communities using social technologies in new ways; or develop new approaches or tools for digital curation. The Research and Demonstration category has been split into two separate categories. Research grants support projects that have the potential to improve museum and library practice, resource use, programs, and services. Both basic and applied research projects are encouraged. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how the data will be gathered and analyzed, and how the results will be evaluated and disseminated. Additionally, methodologies must be replicable and results valid and predictable. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real-world environment, but must be carried out through investigative methodology. Results of research must be generalizable and of broad benefit to the library or museum field. Research conducted by a collaboration between a library and a museum should be submitted under the Library-Museum Collaboration Grants category. This category supports projects that evaluate the impact of library or museum services; investigates how learning takes place in museums and libraries and how use of library and/or museum resources enhances learning; investigates how to improve the quality, effectiveness, or efficiency of library or museum management, programs, or services; investigates ways to enhance the archiving, preservation, management, discovery, and use of digital assets and resources; or investigates or conducts research to add new knowledge or make improvements on the conservation and preservation of collections. Demonstration projects use available knowledge to address key needs and challenges facing libraries and museums, transforming that knowledge into formal practice. Projects applying under this category should produce a replicable model usable by other institutions for improving practice. The new category supports projects that: demonstrate and/or test new practices in museum and/or library operations; demonstrate how museums and/or libraries serve their communities by fostering public value, and how they implement systemic changes in the field; establish and/or test standards and tools for innovative learning; or demonstrate and/or test an expansion of preservation or conservation practices. Across all categories, IMLS particularly encourages projects that meet community needs through innovative collaborations between museums and libraries and with other organizations as appropriate. Partnerships between libraries and museums are particularly encouraged under this program. In addition, collaborative planning grants of \$40,000 are available to enable project teams from more than one institution to work together to plan a collaborative project in any of the four categories. The lead applicant must be an eligible library or museum entity. Applicants in this category are expected to have a basic framework (concept, team, work plan) that has the potential for national leadership. The planning grant will support the activities required to develop the idea fully. Planning grants should result in such products as plans, prototypes, or proofs of concept, which could lead to a National Leadership Grant implementation project. Applicants must have at least one formal partner. Applicants may submit a planning grant application under any of the National Leadership Grant categories listed above. Funds may support the full range of planning activities, including salaries, consultant fees, travel, convenings, services, and materials and supplies. The receipt of a collaborative planning grant neither guarantees nor implies continued support beyond the completion of the planning grant.

**Applicant Eligibility:**

**LIBRARIES:** All types of libraries, except federal and for-profit libraries, may apply. Eligible libraries include public, school, academic, special, private (not-for-profit), archives, library agencies, library consortia, and library associations. Also eligible are research libraries and archives that give the public access to

services and materials suitable for scholarly research not otherwise available and that are not part of a university or college. Digital libraries that make library materials publicly available and provide services including selection, organization, description, reference, and preservation under the supervision of at least one permanent professional staff librarian are eligible to apply. Institutions of higher education, including public and not-for-profit universities and colleges, also are eligible. An academic unit, such as a graduate school of library and information science, may apply as part of an institution of higher education. Library applicants may apply individually or as partners. MUSEUMS: All types of museums, large and small, are eligible for funding. Eligible museums include aquariums, arboretums and botanical gardens, art museums, youth museums, general museums, historic houses and sites, history museums, nature centers, natural history and anthropology museums, planetariums, science and technology centers, specialized museums, and zoological parks. Federally operated and for-profit museums may not apply for IMLS funds.

**Beneficiary Eligibility:**

Libraries, archives, and museums will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments. OMB Circular No. A-21 for educational institutions and other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by the Institute of Museum and Library Services and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As part of the president's E-government initiative, the federal government developed Grants.gov, a single Web site for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

**Award Procedure:**

Proposals are reviewed by field and/or panel reviewers, staff, and the director.

**Deadlines:**

February 1.

**Range of Approval/Disapproval Time:**

Approximately eight months.

**Appeals:**

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

**Renewals:**

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

**Formula and Matching Requirements:**

Projects requesting \$250,000 or more must be matched one-to-one. This requirement is waived for research projects. Cost sharing of at least one-third is encouraged for projects requesting less than \$250,000 and for research projects. Demonstration projects are subject to nonresearch matching provisions.

**Length and Time Phasing of Assistance:**

Projects may be carried out for a period of up to 36 months from the project start date.

**Reports:**

The Institute of Museum and Library Services requires interim and final financial and narrative reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will be required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$20,295,000; FY 08 est \$19,941,000; FY 09 est \$20,925,000.

**Range and Average of Financial Assistance:**

Between \$50,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07, the National Leadership Grants program for libraries made 27 awards, including 6 planning grants, and the program for museums made 19 awards, including 4 planning grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS Web site at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, NW, Ninth Floor, Washington, DC 20036-5802. Library contacts: Rachel Frick, Senior Program Officer (Advancing Digital Resources, Research, Demonstration, Collaborative Planning Grants), Telephone: (202) 653-4667, E-mail: [rfrick@imls.gov](mailto:rfrick@imls.gov); Susan Malbin (Library-Museum Community Collaboration Grants, Collaborative Planning Grants), Telephone: (202) 653-4768, E-mail: [smalbin@imls.gov](mailto:smalbin@imls.gov). Museum contact: Dan Lukash, Telephone: (202) 653-4644, E-mail: [dlukash@imls.gov](mailto:dlukash@imls.gov).

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.301, Museums for America; 45.303, Conservation Project Support; 45.307, 21st Century Museum Professionals; 45.310, Grants to States; 45.311, Native American and Native Hawaiian Library Services; 45.313, Laura Bush 21st Century Librarian Program.

**EXAMPLES OF FUNDED PROJECTS:**

National Leadership Grants enable libraries and museums to help all individuals attain the knowledge, skills, attitudes, behaviors, and resources that enhance their engagement in community, work, family, and society. Projects should enable libraries and museums to address current problems in creative ways, develop and test innovative solutions, and expand the boundaries within which cultural heritage institutions operate. The results of these projects will help equip tomorrow's libraries and museums to better meet the needs of a Nation of Learners. Successful proposals will show evidence that they will have national impact and generate results--whether new tools, research, models, services, practices, or alliances--that can be widely adapted or replicated to extend the benefit of federal support. Proposals will reflect an understanding of current issues and needs, showing the potential for far-reaching impact throughout the museum and library communities. Projects will provide creative solutions to issues of national importance and provide leadership for other organizations.

**CRITERIA FOR SELECTING PROPOSALS:**

See guidelines.

**45.313 LAURA BUSH 21ST CENTURY LIBRARIAN PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF LIBRARY SERVICES, INSTITUTE OF MUSEUM AND LIBRARY SERVICES, NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

**AUTHORIZATION:**

Museum and Library Services Act, codified at 20 U.S.C. Section 9101 et seq.

**OBJECTIVES:**

To support projects to develop faculty and library leaders, to recruit and educate the next generation of librarians, to conduct research, to attract high school and college students to consider careers in libraries, to build institutional capacity in graduate schools of library and information science, and to assist in the professional development of librarians and library staff.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Categories of funding are: (1) doctoral programs, (2) master's programs, (3) research, (4) preprofessional programs, (5) programs to build institutional capacity, and (6) continuing education.

**Applicant Eligibility:**

All types of libraries, except federal and for-profit libraries, may apply. Eligible libraries include public, school, academic, special, private (not-for-profit), archives, library agencies, library consortia, and library associations. In addition, research libraries that give the public access to services and materials suitable for scholarly research not otherwise available to the public and that are not part of a university or college are eligible. Institutions of higher education, including public and not-for-profit universities and colleges, also are eligible. Graduate schools of library and information science may apply as part of an institution of higher education. See program guidelines for specific eligibility criteria.

**Beneficiary Eligibility:**

Libraries and institutions of higher education will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and other nonprofit organizations also applies.

**Preapplication Coordination:**

The standard application forms as furnished by the Institute of Museum and Library Services and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As part of the president's E-government initiative, the federal government developed Grants.gov, a single website for organizations to electronically find and apply for competitive grant opportunities from all 26 of the federal grant-



making agencies. Beginning with the 2008 grant cycle, the Institute required all applicants to apply online through Grants.gov. Applicants who are unable to use Grants.gov should contact an IMLS program officer. The Institute no longer accepts mailed paper applications. For more information on the process of applying through Grants.gov, visit [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

**Award Procedure:**

Proposals are reviewed by field and/or panel reviewers, staff, and the director.

**Deadlines:**

December 15.

**Range of Approval/Disapproval Time:**

Seven months.

**Appeals:**

Appeals may be made in writing to the director of the Institute of Museum and Library Services.

**Renewals:**

The Institute of Museum and Library Services may extend particular grants at the discretion of the director.

**Formula and Matching Requirements:**

Projects are required to match one half of the project costs minus funds for student support. The matching requirement is waived for research projects only.

**Length and Time Phasing of Assistance:**

Projects may be carried out for a period of up to 36 months from the project start date. Doctoral program projects may be carried out for a period of up to 48 months.

**Reports:**

The Institute of Museum and Library Services requires interim and final financial and narrative reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will be required to maintain standard financial statements.

**Account Identification:**

59-0300-0-1-503.

**Obligations:**

(Grants) FY 07 \$23,760,000; FY 08 \$23,345,000; FY 09 est \$26,500,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07, the Laura Bush 21st Century Librarian Program funded 43 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the IMLS website at [www.imls.gov](http://www.imls.gov) for the latest program data.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Museum and Library Services, 1800 M Street, N.W., Ninth Floor, Washington, DC 20036-5802. Contact: Kevin Cherry, Telephone: (202) 653-4662, E-mail: [kcherry@imls.gov](mailto:kcherry@imls.gov).

**Web Site Address:**

<http://www.imls.gov>.

**RELATED PROGRAMS:**

45.310, Grants to States; 45.311, Native American and Native Hawaiian Library Services; 45.312, National Leadership Grants.

**EXAMPLES OF FUNDED PROJECTS:**

The Laura Bush 21st Century Librarian Program helps increase the number of students enrolled in schools of library science at the master's and doctoral levels as well as fund continuing education opportunities.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines.

# NATIONAL LABOR RELATIONS BOARD

## 46.001 LABOR-MANAGEMENT RELATIONS

(NLRB)

### FEDERAL AGENCY:

NATIONAL LABOR RELATIONS BOARD

### AUTHORIZATION:

Labor-Management Relations Act of 1947, as amended, Public Law 86-257, 29 U.S.C. 141 et seq.; Public Law 91-375, 39 U.S.C. 1201-1209; Public Law 93-95, 29 U.S.C. 186; Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183; Public Law 96-245, 29 U.S.C. 161 (4); Public Law 96-593; Public Law 97-375, 29 U.S.C. 153(c).

### OBJECTIVES:

To avoid or substantially minimize industrial strife affecting interstate commerce by providing orderly and peaceful procedures to protect the rights of employers, employees, labor organizations, and the general public, and to prevent unlawful interference with these rights.

### TYPES OF ASSISTANCE:

Provision of Specialized Services; Investigation of Complaints.

### USES AND USE RESTRICTIONS:

(1) Determines and implements, through secret-ballot elections, the free democratic choice by employees as to whether they wish to be represented by a union in dealing with their employer and, if so, by which union; and (2) prevents and remedies unlawful acts, called unfair labor practices, by either employers or unions or both. NLRB may seek injunctive relief where a labor dispute results in violence, disruption of employment, or disruption of business relations, potentially in violation of the Labor Management Relations Act. The NLRB does not initiate actions or investigations on its own volition. NLRB processes start only when a covered individual, organization, or employer files an unfair labor practice charge or a petition for an election.

### Applicant Eligibility:

Any covered employer, employee, labor organization, or other person who believes a violation of the Labor Management Relations Act has occurred, or who desires the Board to determine whether a labor organization is to be the choice of employees for purposes of representation, may receive information or assistance. The Act limits the term "employee" to exclude: agricultural laborers; domestic workers; individuals employed by spouse or parent; independent contractors; supervisors (as defined by the Act) and individuals employed by an employer subject to the Railway Labor Act or employed by any person who is not an employer as defined by the Act. The United States Government, State governments, political subdivisions of U.S. and State governments, government corporations (except the U.S. Postal Service), Federal Reserve Banks and employers subject to the Railway Labor Act are ineligible employers.

### Beneficiary Eligibility:

The covered employer, employee, or the labor organization will benefit.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Charges of unfair labor practices and petitions for determination of representatives are the two principal forms for the purpose of initiating agency action. Such charges and petitions shall be in writing and signed, and shall be sworn to and filed with the Regional Director for the region in which the unfair labor practice allegedly has occurred or in which the proposed or actual bargaining unit exists.

### Award Procedure:

Not applicable.

### Deadlines:

A party alleging a violation of the Labor Management Relations Act must file its charge within 6 months after incident has occurred. If the filing of a charge was prevented by service with the Armed Forces, the 6-month limitation is computed from the day of discharge. Deadlines for filing representation petitions vary with the type of petition filed and the representation status of employees sought to be represented. Those wishing to file representation petitions with the agency should contact the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Charges: If the Regional Director refuses to issue an unfair labor practice complaint, an appeal may be filed with the General Counsel in Washington, DC, within 10 days. Petitions: If the Regional Director dismisses the representation petition, an appeal may be filed with the Board in Washington, DC, within 10 days.

### Renewals:

None.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

63-0100-0-1-505.

### Obligations:

(Salaries and Expenses) FY 07 \$249,888,000 (includes \$.099 million in reimbursables); FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2005, the actual case intake was 29,879 and, for fiscal year 2006, the estimated intake is 31,000.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"Basic Guide to the National Labor Relations Act" (s/n 031-000-00352-1) \$4.75 (available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402). "Your Government Conducts an Election for You on the Job," also in Spanish, is available from NLRB Headquarters Office. These publications are available on the NLRB Web Site.

### Regional or Local Office:

Contact should be made directly with the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

### Headquarters Office:

Division of Information, National Labor Relations Board, 1099 14th Street, NW., Washington, DC 20570. Telephone: (202) 273-1991.

### Web Site Address:

<http://www.nlr.gov>.

### RELATED PROGRAMS:

17.504, Consultation Agreements; 17.600, Mine Health and Safety Grants; 30.001, Employment Discrimination Title VII of the Civil Rights Act of 1964; 34.001, Labor Mediation and Conciliation.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

# NATIONAL SCIENCE FOUNDATION

## 47.041 ENGINEERING GRANTS

(ENG)

### FEDERAL AGENCY:

NATIONAL SCIENCE FOUNDATION

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

### OBJECTIVES:

NSF's Directorate for Engineering (ENG) seeks to improve the quality of life and the economic strength of the Nation by fostering innovation, creativity, and excellence in engineering education and research. Specifically, ENG enables the Nation's long-term capacity to perform by: (1) Investing in the creation of new engineering knowledge and the development of human capital within disciplines and at their interfaces; (2) making critical investments to enable an intelligent, agile and adaptable physical infrastructure for engineering education and research; (3) improving the quality and effectiveness of engineering education and research through the integration of and systemic reform of these processes; and (4) enabling knowledge transfer connections among diverse constituencies and communities. Areas of research include: tissue engineering; metabolic pathway engineering; bioinformatics; protein drug processing, fluid flow; combustion; heat transfer; fuel cells; sensors; integrated modeling of the behavior of materials and structures; civil infrastructure; structures and mechanical systems; engineering in geologic materials; reducing risks of natural and technological hazards; enterprise-level integration technologies; innovative design strategies; manufacturing processes and materials; production systems; microelectronic, nanoelectronic, micromagnetic, photonic, and electromechanical devices and their integration into circuits and microsystems; design and analysis of systems and the convergence of control, communications and computation; Engineering Research Groups; Engineering Research Centers; Industry/University Cooperative Research Centers; Engineering Education; Human Resources Development; cross cutting activities and special studies and analyses. Support is also provided for undergraduate student research, graduate research fellowships, research equipment and instrumentation, Small Business Innovation Research (SBIR), and Grant Opportunities for Academic Liaison with Industry (GOALI). ENG also provides support for Foundation-wide programs including the Faculty Early Career Development (CAREER) program and the Integrative Graduate Education and Research Training (IGERT) Program, and Small Business Technology Transfer Program (STTR).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds may be used for paying costs to conduct research, such as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. This program does not provide support for inventions, product development, marketing, pilot plant efforts, technical assistance, or research requiring security classifications.

### Applicant Eligibility:

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

### Beneficiary Eligibility:

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### Credentials/Documentation:

The proposal must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

None required for unsolicited proposals, but preliminary discussions with relevant National Science Foundation program officer, by telephone or mail, is encouraged if specific program information is needed. Special proposal competitions may specify preliminary proposal requirements. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Proposals must be submitted electronically via FastLane to the Engineering Programs and should follow the general instructions and guidelines in the NSF "Grant Proposal Guide." Research proposals for support under the Small Business Innovation Research (SBIR) program must be submitted in response to an annual solicitation. All proposals are acknowledged. These programs are subject to the provisions of OMB Circular No. A-110.

### Award Procedure:

NSF staff members review and evaluate all proposals with the assistance and advice of scientists and engineers who are specialists in the field covered by the proposal, of prospective users of research results when appropriate, and of specialists in other Federal agencies when appropriate.

### Deadlines:

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates. See the Directorate's web pages for deadlines for unsolicited research proposals (<http://www.nsf.gov/dir/index.jsp?org=ENG>). Proposers should contact the program officer listed under the Information Contacts section of this program for dates on specific programs.

### Range of Approval/Disapproval Time:

Approximately 3 to 7 months.

### Appeals:

The Principal Investigator may request, in writing, that the Foundation reconsider its action in declining any proposal, renewal, or continuing grant proposal.

### Renewals:

NSF awards the following types of grants: 1) Standard Grants, in which NSF agrees to support a specified level of effort for a specified period of time, with no statement of NSF intent to provide additional future support. Proposals for renewal of a Standard Grant compete with all other pending proposals. 2) Continuing Grants, in which NSF agrees to support a specified level of effort for a specified period of time, with a statement of intent to provide additional support for the project, provided funds are available and the results achieved warrant further support. Funding is normally in one-year increments. Some awards are made as cooperative agreements when substantial NSF involvement is required during the project performance period. Renewals are not allowed for the Small Business Innovation Research (SBIR) program.

### Formula and Matching Requirements:

The Grant Proposal Guide (GPG)(Chapter II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost-sharing. The Small Business Innovation Research (SBIR) program is a phased project program. Phase I is a feasibility study up to 6 months. Phase II is the principal research program for up to 24 months.

### Length and Time Phasing of Assistance:

Normally 6 months to 3 years, occasionally longer.

### Reports:

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the award was made. Records are subject to inspection during the life of the award and for 3 years thereafter.

### Account Identification:

49-0100-0-1-251.

### Obligations:

(Grants and Contracts) FY 07 \$629,990,000; FY 08 est \$636,870,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$5,000 to \$4,000,000; \$120,000.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2006, 9,427 proposals were received and 1,737 awards were made. In fiscal year 2007, 9,575 proposals were received and 1,958 awards were made, and in fiscal year 2008 approximately 9,890 proposals will be received and about 1,978 awards will be made.

### REGULATIONS, GUIDELINES, AND LITERATURE:

45 CFR Chapter VI; 48 CFR Chapter 25; "NSF Guide to Programs, fiscal year 2004," NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?nsf04009>); and "Grant Proposal Guide," (<http://www.nsf.gov/cgi-bin/getpub?nsf0423>); selected solicitations include "Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs Phase I Solicitation," NSF 06-553; "Faculty Early Career Development (CAREER)," NSF 05-579; "Grant



Opportunities for Academic Liaison with Industry (GOALI)," NSF 98-142; "Major Research Instrumentation (MRI)," NSF 05-515. For descriptions of ENG funding opportunities, please check the NSF Directorate for Engineering web site. The URL address is: <http://www.eng.nsf.gov/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

For information and publications: Dr. Donald Senich, Program Director, Grant Opportunities for Academic Liaison with Industry, Directorate for Engineering, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230. Telephone: (703) 292-7082. E-mail: [dsenich@nsf.gov](mailto:dsenich@nsf.gov), NSF World Wide Web site, URL: <http://www.nsf.gov/>. For general inquiries: [enginfo@nsf.gov](mailto:enginfo@nsf.gov).

**Web Site Address:**

<http://www.eng.nsf.gov/>.

**RELATED PROGRAMS:**

11.609, Measurement and Engineering Research and Standards; 15.807, Earthquake Hazards Reduction Program; 47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.079, International Science and Engineering (OISE); 81.049, Office of Science Financial Assistance Program; 84.133, National Institute on Disability and Rehabilitation Research.

**EXAMPLES OF FUNDED PROJECTS:**

1) Cell-Based Sensors that link Nanotechnology with Microfluidics. (2) Nanostructural Engineering of Complex Functional Particles. (3) Network for Earthquake Engineering Simulation (NEES). (4) Rapid Fabrication of Non-Assembly Mechanisms with Embedded Components. (5) Development of Biosensors for Rapid Screening. (6) Health Monitoring of Critical Civil Infrastructure for Safety and Security. (7) Liquid Logic-The 3rd Wave in Electronics. (8) Internally Mounted Engines for Aircraft of the Future. (9) Particle Laden Tubeless Siphon With Applications to Homeland Defense. (10) MEMS Tuners for Multi-band High Efficiency Wireless Transmitters. (11) Nanotube-Based Electronic Pressure Sensor. (12) SBIR Research: Development of a Novel Sensing Material for Waterborne Pathogens.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board's approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and

education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.049 MATHEMATICAL AND PHYSICAL SCIENCES

(MPS)

**FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To promote the progress of the mathematical and physical sciences and thereby strengthen the Nation's scientific enterprise; to increase the store of scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: astronomical sciences, chemistry, materials research, mathematical sciences, physics, as well as support for symposia and conferences. Basic research in multidisciplinary areas related to these disciplines is especially encouraged. Support is also provided for state-of-the-art user facilities in astronomy, physics, and many areas of materials science; science and technology centers; institutes; undergraduate student research; faculty enhancement; curriculum development; instrumentation; laboratory improvement; and for research opportunities for women, minority, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies, such as salaries and wages, permanent equipment, expendable materials and supplies, travel, participant support; publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By electronic submission via FastLane or Grants.gov of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publication, "Grant Proposal Guide," and "Guide to Programs Fiscal Year 2004" NSF 04-009. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

NSF staff members review and evaluate all proposals generally with the assistance and advice of other qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted on the basis of merit to the extent permitted by available funds. States will be notified of Federal assistance awards through the Federal Assistance Awards Data System (FAADS).

**Deadlines:**

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide,

Section I.F. for a further description of these types of due dates. Links to MPS funding opportunities and relevant deadlines or submission windows can be found at: [http://www.nsf.gov/funding/pgm\\_list.jsp?org=MPS](http://www.nsf.gov/funding/pgm_list.jsp?org=MPS).

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

The principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

**Renewals:**

Proposals for renewals, containing the same type of information as the original proposal, should be submitted at least 6 months before the expiration date of the award. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

Some equipment programs have cost-sharing. Cost-sharing is not required for awards made solely for symposia, conferences and workshops, publication, education and training, facilities, or travel. The Grant Proposal Guide (GPG) (Chapter II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost-sharing.

**Length and Time Phasing of Assistance:**

Normally 3 to 5 years.

**Reports:**

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Grants) FY 07 \$1,150,730,000; FY 08 est \$1,167,310,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$10,000 to \$45,000,000; \$130,100.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 7,316 proposals were received and 2,361 awards were made. In fiscal year 2008, approximately 7,680 proposals is expected to be received and 2,400 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25; 45 CFR Chapter VI; "NSF Guide to Programs, fiscal year 2004," NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?nsf04009>); and "Grant Proposal Guide," (<http://www.nsf.gov/cgi-bin/getpub?nsf0423>).

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Director, Mathematical and Physical Sciences, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230. Telephone: (703) 292-8801. NSF World Wide Web site URL: <http://www.nsf.gov/>.

**Web Site Address:**

<http://www.nsf.gov/dir/index.jsp?org=MPS>.

**RELATED PROGRAMS:**

47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.070, Computer and Information Science and Engineering; 47.041, Engineering Grants; 47.050, Geosciences; 47.078, Polar Programs; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure.

**EXAMPLES OF FUNDED PROJECTS:**

1) Arizona, "Characterization of Nanoparticle-Linked Biomolecule Assemblies for Advanced Bioelectronic Detection;" 2) Montana, "Growth and Physical Properties Measurements of Novel Condensed Matter Materials;" 3) California, "Large-Scale Phenomena in Models of Statistical Mechanics;" 4) New York, "Spatiotemporal Control of Cardiac Electrical Dynamics;" and 5) Pennsylvania, "Empirical Tests of Galactic Black Hole Growth."

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF

will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board's approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.050 GEOSCIENCES**

(GEO)

**FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the integrated Earth system through the support of basic research in the atmospheric, earth and ocean sciences. Major objectives include the discovery of new knowledge of the atmosphere from the sun to the Earth's surface over the entire spectrum of physical and chemical phenomena; a better understanding of the physical, chemical, and biological character of the Earth and the processes that govern its evolution; and increased insight into the world's oceans, their composition, structure, behavior, and tectonics. Support is also provided for science and technology centers, undergraduate Student research, facility enhancement, instrumentation, and laboratory equipment; and for research opportunities for women, minority, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment and supplies, computer services, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None required, but preliminary discussions with the relevant National Science Foundation program officer are encouraged, particularly for projects requiring logistic or facility support or involving coordination with other projects and programs. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By electronic submission via FastLane of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publication, "Grant Proposal Guide," and "Guide to Programs Fiscal Year 2004," NSF 04-009. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

NSF staff members review and evaluate all proposals, usually with the assistance and advice of other qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Awards are made based on merit and program relevance to the extent permitted by available funds. States will be notified of Federal assistance awards through the Federal Assistance Awards Data System (FAADS).

**Deadlines:**

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The Principal Investigator whose proposal for support has been declined may request, in writing, and receive from the cognizant program officer the reasons for declination. The applicant may also obtain verbatim copies of reviews of his/her proposals, though not the names of reviewers. If not satisfied, the Principal Investigator may request the NSF Assistant Director for Geosciences to reconsider the procedural aspects of the declination action. Request for reconsideration must be received within 90 days of the declination letter.

**Renewals:**

Standard grants may be renewed once by amendment of the original grant. Proposals for renewal should be submitted 6 months prior to the expiration of the original grant and should contain the same type of information as the original proposal plus a summary of progress to date, a proposed budget for the ensuing period, and a statement of expenditures to date and existing commitments that will require expenditure of residual funds from the original grant after the requested renewal date. Renewals compete with other proposals for available funds.

**Formula and Matching Requirements:**

The Grant Proposal Guide (GPG)(Chapter II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost-sharing.

**Length and Time Phasing of Assistance:**

Normally 1 to 5 years.

**Reports:**

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Grants) FY 07 \$745,850,000; FY 08 est \$752,660,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000 to \$60,000,000; \$147,857.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 4,373 proposals were received and 1,347 awards were made, and in fiscal year 2008 approximately 4,500 proposals are expected to be received and approximately 1,400 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25; 45 CFR Chapter VI; "Guide to Programs, fiscal year 2004," NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?nsf04009>); "Grant Proposal Guide," (<http://www.nsf.gov/cgi-bin/getpub?nsf0423>). In addition, information is made available on the World Wide Web at <http://www.nsf.gov/> and <http://www.geo.nsf.gov/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Science Foundation; 4201 Wilson Blvd., Arlington, VA 22230. Atmospheric Sciences: Dr. Jarvis Moyers, Telephone: (703) 292-8520; Fax: (703) 292-9022; Earth Sciences: Dr. Arthur Goldstein Telephone: (703) 292-8550; Fax: (703) 292-9025; Ocean Sciences: Dr. Julie Morris, Telephone: (703) 292-8580; Fax (703) 292-9085.

**Web Site Address:**

NSF World Wide Web site URL: <http://nsf.gov/>. Geosciences World Wide Web site URL: <http://www.geo.nsf.gov/>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support; 11.430, Undersea Research; 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.070, Computer and Information Science and Engineering; 47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.078, Polar Programs; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure.

**EXAMPLES OF FUNDED PROJECTS:**

Atmospheric Sciences: Research on meteorology, climate, paleoclimate, chemistry and physics of the lower and upper atmosphere; and solar-terrestrial relationships. Earth Sciences: Research on structure, composition, history, and the physical, chemical, and biological processes affecting the Earth. Ocean Sciences: Research on physical, chemical, geological, and biological processes in the ocean.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which



he/she is qualified to make judgements. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.070 COMPUTER AND INFORMATION SCIENCE AND ENGINEERING

(CISE)

### FEDERAL AGENCY:

NATIONAL SCIENCE FOUNDATION

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

### OBJECTIVES:

To support investigator-initiated research in all areas of computer science and engineering and related fields and contribute to the education and training of future generations of computing professionals, ensuring a supply of qualified technical personnel commensurate with national needs.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds may be used to pay costs of conducting research, and obtaining access to advanced computing and networking capabilities, salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. Funds may not be used for purposes other than those specified in the proposal.

### Applicant Eligibility:

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

### Beneficiary Eligibility:

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### Credentials/Documentation:

The proposal must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for educational institutions and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

None required, except in specific cases, but preliminary discussions with relevant National Science Foundation program officers, by email, telephone or mail, are encouraged. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Proposals must be submitted electronically via FastLane to the Computer and Information Science and Engineering Directorate and should follow the general instructions and guidelines in the "Grant Proposal Guide." All proposals are acknowledged. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-102.

### Award Procedure:

NSF staff members review and evaluate all proposals, with the advice and assistance of scientists and engineers who are specialists in the field covered by the proposal, of prospective users of research results when appropriate, and of specialists in other Federal agencies.

### Deadlines:

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates. The Directorate website lists funding opportunities at: <http://www.cise.nsf.gov/>.

### Range of Approval/Disapproval Time:

Approximately 6 months or less, except in special instances.

### Appeals:

The Principal Investigator may request, in writing, that the National Science Foundation reconsider its action in declining any proposal application, renewal application, or continuing application.

### Renewals:

Proposals for renewal of NSF grants compete with all other pending proposals.

### Formula and Matching Requirements:

The Grant Proposal Guide (GPG) (Chapter II) and the Grant Policy Manual (Sec. 330) provide information on the general NSF policy on cost-sharing.

### Length and Time Phasing of Assistance:

Normally 6 months to 3 years; occasionally longer.

### Reports:

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program officer at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which each grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

### Account Identification:

49-0100-0-1-251.

### Obligations:

(Grants) FY 07 \$526,680,000; FY 08 est \$534,530,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$2,000 to \$19,000,000; \$136,000.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2007, 5,745 proposals were received and 1,633 awards were made. In fiscal year 2008, we estimate approximately 7,400 proposals will be received and approximately 1,635 awards will be made.

### REGULATIONS, GUIDELINES, AND LITERATURE:

48 CFR Chapter 25: 45 CFR Chapter VI; "NSF Guide to Programs, fiscal year 2004," NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?nsf04009>); and "Grant Proposal Guide," (<http://www.nsf.gov/cgi-bin/getpub?nsf0423>).

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Assistant Director, Computer and Information Science and Engineering, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230. Telephone: (703) 292-8900. NSF World Wide Web site URL: <http://www.cise.nsf.gov/>.

### Web Site Address:

<http://www.cise.nsf.gov/>.

### RELATED PROGRAMS:

47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Geosciences; 47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.078, Polar Programs; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure.

### EXAMPLES OF FUNDED PROJECTS:

(1) Cooperative Steady-Hand Augmentation of Human Skill in Micromanipulation Tasks: The primary focus of this research is on development of a cooperatively controlled 'steady hand' robot for microsurgery and other fine manipulation tasks, research exploring and extending the steady hand paradigm, and application of the system for prototypical microsurgical tasks in areas such as ophthalmology and otology. Researchers at John Hopkins University have

conceived of and begun prototyping a new class of highly dexterous robotic devices suitable for minimally-invasive microsurgical procedures in the throat and airways, as well as for other precise, multi-handed tasks in confined spaces. The mechanical architecture of these robots consists of a snake-like unit and a modular detachable parallel unit that attaches at the tip of the snake-like unit. The snake-like unit uses a novel design utilizing multiple continuous backbones for its actuation. The parallel manipulation unit uses flexible links to accurately manipulate the payload in a small workspace and eliminates the need for small mechanical joints. All these features support the down-size scalability of these designs to diameters smaller than 5 mm - a critical dimension beyond which standard designs of snake-like units and parallel robots for payload manipulation becomes extremely expensive and mechanically complicated. These smaller diameters are needed for many surgical applications. (2) ITR: Learning-Centered Design Methodology: Meeting the Nation's Need for Computational Tools for K-12 Science Education (Engineering Scaffolded Work Environments): The University of Michigan's Center for Highly-Interactive Computing in Education (HI-CE) has designed, classroom-tested, and has freely-distributed a suite of educational applications for handheld computers through ITR funding. They have recorded over 100,000 downloads of this software over the past two years. Of the 12 educational applications ranked by eSchool News, nine were produced under ITR funding at HI-CE. In effect, HI-CE software enables educators to take handheld computers designed for business and repurpose them for use in K-12. Under supplemental Research Experiences for Teachers (RET) funding, HI-CE investigators have worked with over a dozen K-12 teachers across the country to develop curricular materials that provide science and math teachers with concrete ways in which to use HI-CE's software on handheld computers. The group has produced two International Society for Technology in Education (ISTE) published books with two more books in press for 2004. Moreover, HI-CE software is used in the curricular examples in many books published for K-12 about handheld computers. From basic research to commercialization, with nationwide, free distribution in between, this effort has demonstrated how a University-based project can "fill the pipeline" with cutting-edge, provocative technology. (3) Cardiovascular Informatics: Sudden heart attacks remain the leading cause of death in the US. Since the majority of sudden cardiac deaths occur in people with no prior symptoms, there is an urgent need for computational tools to assist in screening for the conditions that underlie these cardiac events. Researchers at the University of Houston are developing advanced computer vision technology for a variety of applications, including assisting with the diagnosis of coronary heart disease. Patients who already present risk factors undergo an intravascular ultrasound procedure that is capable of analyzing in detail any plaques present in coronary blood vessels. In particular, those plaques that are considered vulnerable (i.e., likely to rupture and cause a heart attack) have been found to encourage the growth of new microvessels in their vicinity. These microvessels are small vessels and are generally difficult to detect. However, using the contrast-enhanced intravascular ultrasound acquisition technique developed by researchers at the University of Houston, evidence of their presence can be detected. (4) Recovery Oriented Computing: The time required to restart a system after failure continues to be a major concern for systems that must be continuously available. Safety-critical systems are particularly affected by a lengthy interval for recovery and restart. In an innovative NSF CAREER research project, Armando Fox, Assistant Professor, Stanford University, earned recognition as one of Scientific American magazine's 50 outstanding young scientists for 2003. Dr. Fox has generalized a concept of "recovery through rebooting" to "micro-reboot" individual components of existing applications, significantly improving their availability with no application changes and no a priori knowledge of application structure. Dr. Fox successfully demonstrated that a technique called "statistical-anomaly based failure detection" finds and localizes faults in these applications. While traditional techniques typically leave systems in unpredictable states, this research pursues a new design philosophy called Crash-Only Software. A crash-only system or component can be safely and predictably crashed at any time using mechanisms orthogonal to the component itself, allowing rebooting to be safely used as a recovery mechanism from many fault types. The ultimate goal is self-managing systems technology for future reliable distributed systems. (5) Data Mining for Detecting Network Intrusions: Novel data mining based anomaly detection techniques developed under NSF support have been incorporated in the Minnesota Intrusion Detection System (MINDS) that help cybersecurity analysts detect intrusions and other undesirable activity in real life networks. MINDS is being used at the Army Research Laboratory (ARL) Center for Intrusion Monitoring and Protection (CLMP) and at the University of Minnesota to successfully detect novel intrusions, policy violations, and insider abuse that cannot be identified by widely used signature-based tools such as Snort. MINDS allows cybersecurity experts to quickly analyze massive amounts of network traffic, as they only need to evaluate the most anomalous connections identified by the system. Further summarization of these anomalous connections using association pattern analysis helps in understanding the nature of cyber attacks, as well as in creating new signatures for use in intrusion detection systems. The underlying techniques have applicability in many areas beyond

cybersecurity, such as financial and health care fraud detection. 6) New System Up and Running: Nearly half of PSC's brand new XT3 "Red Storm" system, more than 1,000 processors mustering roughly five teraflops of capability, was installed and humming in PSC's machine room in time to bring in 2005. This is the first installed system of the Cray, Inc. XT3 product line, which Cray announced in October 2004. The XT3 architecture is based on the "Red Storm" system developed at the Sandia National Laboratories. The PSC system will soon provide 10 teraflops of capability for NSF science and engineering research and education. Applications already running on the new system include storm forecasting, earthquake modeling, quantum chromodynamics, cosmology and numerical relativity. A quantum materials science application, LSMS, shows per-processor performance on the XT3 more than twice that of LeMieux. PSC's existing terascale computer system. Other application areas expected to benefit significantly from the PSC XT3 system include molecular dynamics modeling of complex biological systems, modeling of cellular microphysiology, fluid dynamics and turbulence, blood flow, climate modeling, and network simulation and modeling.

#### CRITERIA FOR SELECTING PROPOSALS:

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### 47.074 BIOLOGICAL SCIENCES

(BIO)

**FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To promote the progress of the biological sciences and thereby strengthen the Nation's scientific enterprise; to increase scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: molecular and cellular biosciences, integrative organismal biology; environmental biology; biological infrastructure; and plant genome research. Support is also provided for the purchase of multi-user scientific equipment and instrument development, and for research workshops, symposia, and conferences. In addition, awards are made to improve the quality of doctoral dissertations in environmental biology and integrative organismal biology; for postdoctoral fellowships in biological informatics and postdoctoral fellowships to minority scientists in all areas of research supported by the biological sciences.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment, expendable materials and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By electronic submission via FastLane of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publications, "Grant Proposal Guide." This program is subject to the provisions of coverage under OMB Circular No. A-102.

**Award Procedure:**

NSF staff members review and evaluate all proposals generally with the assistance and advice of other qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Proposals are accepted in order of merit to the extent permitted by available funds. States will be notified of Federal assistance awards through the Federal Assistance Awards Data System (FAADS).

**Deadlines:**

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

**Range of Approval/Disapproval Time:**

6 months.

**Appeals:**

The principal investigator may request, in writing, that the Foundation reconsider its action in declining any application.

**Renewals:**

Proposals for renewal, containing the same type of information as the original proposal, should be submitted 6 to 9 months before funding from the current award is expected to be exhausted, renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

Cost-sharing is not required for awards made solely for symposia, conferences and workshops, publication, education and training, or travel. The Grant Proposal Guide (GPG) (Chapter II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost sharing.

**Length and Time Phasing of Assistance:**

Up to 5 years.

**Reports:**

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to insure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Grants) FY 07 \$608,540,000; FY 08 est \$612,020,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,000 to \$12,389,000; \$184,040.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 6,726 proposals were received and 1,303 awards were made.

In fiscal year 2008, approximately 7,000 proposals are expected to be received and 1,250 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25; 45 CFR Chapter VI; "Grant Proposal Guide,"

(<http://www.nsf.gov/cgi-bin/getpub?nsf0423>).

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Director, Biological Sciences, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230. Telephone: (703)292-8400. NSF World Wide Web site URL: <http://www.nsf.gov/>.

**Web Site Address:**

<http://www.nsf.gov/bio/>.

**RELATED PROGRAMS:**

10.206, Grants for Agricultural Research Competitive Research Grants; 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.070, Computer and Information Science and Engineering; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure; 93.281, Mental Health Research Career/Scientist Development Awards.

**EXAMPLES OF FUNDED PROJECTS:**

1) BioLit: Open Source Tools for Integrating Biological Literature and Databases. (2) Potential for the Recovery of Biogeochemical Function in Degraded Stream Ecosystems. (3) Evolution of Cavefish Eye Degeneration. (4) Sequencing the Maize Genome. (5) The Energy Landscapes of Protein Folding and Function: Connecting Theory and Experiments. (6) The Emergence of Life: From Geochemistry to the Genetic Code.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include



considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.075 SOCIAL, BEHAVIORAL, AND ECONOMIC SCIENCES

(SBE)

### FEDERAL AGENCY:

NATIONAL SCIENCE FOUNDATION

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C 1861 et seq.

### OBJECTIVES:

To contribute to the scientific strength and welfare of the Nation through the promotion of basic research and education in the social, behavioral and economic sciences and through monitoring and understanding the resources invested in science and engineering in the United States. Supported activities include research and education in the following disciplines: Anthropological and geographic sciences; cognitive, psychological and language sciences; economics, decision risk and management sciences; sociology, political sciences; innovation and organizational change, measurement methods and statistics, law and social science and science and society. Other SBE grants build infrastructure, and develop methods, support science and technology centers, including climate change and science of learning centers, and fund research workshops, symposia, and conferences. Educational activities include awards to improve the quality of doctoral dissertations in the behavioral and social sciences; grants for graduate traineeships and postdoctoral fellowships; and grants to promote K-12 education in the SBE sciences. Support is also provided for junior faculty and mid-career development opportunities, undergraduate student research, and for research opportunities for women, minorities, and the differentially abled. The Directorate also funds science studies; studies of scientists and engineers, R&D funding and expenditures, and educational attainment in science, mathematics and engineering.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Programs in social, behavioral and economic sciences and in science resources statistics provide funds that may be used for paying costs necessary to conduct research or studies, such as salaries and wages, equipment and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for the supervision of grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the research activities, as well as for submitting progress and final reports on research activities. Grants are made on a competitive basis. Funds must be used for purposes specified in the proposal.

### Applicant Eligibility:

Public and private colleges and universities; Non-profit, non-academic

organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

### Beneficiary Eligibility:

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### Credentials/Documentation:

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

For some competitions, a preliminary proposal may be required. If applicable, the program solicitation will provide specific information. For all programs it is suggested that an initial inquiry be made before a proposal is submitted to determine whether a potential project qualifies for NSF support. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Project support requires the submission of a formal proposal, signed electronically by an official authorized to commit the institution or organization in financial affairs, fully documenting the planned activity and proposed amount of award. Guidelines are contained in publications, "Grant Proposal Guide," and "2004 Guide to Programs," NSF 04-009. This program is subject to the provisions of OMB Circular No. A-110.

### Award Procedure:

NSF staff members review and evaluate all proposals. To assist them, they usually obtain the advice of scientists and engineers who are specialists in the field covered by the proposal. Proposals are supported on the basis of merit to the extent permitted by available funds.

### Deadlines:

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

### Range of Approval/Disapproval Time:

The normal duration is from 5 to 9 months with most decisions being made within six months.

### Appeals:

The project director or principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal, renewal, or continuing grant proposal.

### Renewals:

Proposals for renewal of awards, containing the same type of information as the original proposal, should be submitted 6 to 9 months before the expiration of the original award. Renewals are treated in competition with pending proposals.

### Formula and Matching Requirements:

Cost sharing is normally not required. The Grant Proposal Guide (GPG)(Sec. II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost-sharing.

### Length and Time Phasing of Assistance:

Up to 5 years.

### Reports:

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. For travel grants, a travel report is required. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are expected to maintain separate records for each award to ensure that funds are used for the general purpose for which the award was made. Records are subject to inspection during the life of the award and for 3 years thereafter.

### Account Identification:

49-0100-0-1-251.

### Obligations:

(Grants) FY 07 \$214,540,000; FY 08 est \$215,130,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$1,100 to \$4,980,000; \$85,395.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 4,284 competitive proposals were received and 1,143 awards were made, and in fiscal year 2008 approximately 4,250 competitive proposals are expected to be received and about 1,148 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25; 45 CFR Chapter VI; "2004 Guide to Programs," NSF 04-009 ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=nsf04009](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf04009)); and "Grant Proposal Guide," ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=nsf0423&org=NSF](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf0423&org=NSF)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Directorate for Social, Behavioral and Economic Sciences, National Science Foundation, 4201 Wilson Blvd., Suite 905, Arlington, VA 22230. Telephone: (703) 292-8700. Division of Science Resources Statistics, National Science Foundation, 4201 Wilson Blvd., Suite 965, Arlington, VA 22230. Telephone: (703) 292-8780. <http://www.nsf.gov/sbe/srs>. Division of Social and Economic Sciences, National Science Foundation, 4201 Wilson Blvd., Suite 995, Arlington, VA 22230. Telephone: (703) 292-8760. <http://www.nsf.gov/sbe/ses>. Division of Behavioral and Cognitive Sciences, National Science Foundation, 4201 Wilson Blvd., Suite 995, Arlington, VA 22230. Telephone: (703) 292-8740. <http://www.nsf.gov/sbe/bcs>.

**Web Site Address:**

<http://www.nsf.gov> .

**RELATED PROGRAMS:**

47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.070, Computer and Information Science and Engineering; 47.074, Biological Sciences; 47.050, Geosciences; 47.076, Education and Human Resources; 47.078, Polar Programs; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure.

**EXAMPLES OF FUNDED PROJECTS:**

Topics of recently funded research include: brain activity associated with truth and deception; the influence of fear on perceptions and decision making; network modeling; rebuilding from disasters; and the effects of terrorist assaults and natural disasters on people removed from physical harm but emotionally engaged with those who have directly suffered. With major support from the SBE-managed Human and Social Dynamics priority area and SBE's core programs, NSF recently announced new Small Grants for Exploratory Research (SGER) awards to study the impact of Hurricane Katrina on people and social systems in the hard-hit Gulf Coast region. SGER awards are limited in size and support exploratory, high-risk research and have proven to be especially well-suited for rapid-response situations in which the need for timely response is crucial in order to capture time-sensitive and perishable data. SBE previously used SGERs effectively to field research teams in the aftermath of both the September 11th terrorist attacks and the 2004 Indian Ocean tsunami. Other recently funded projects investigate the human dimensions of ecological issues such as climate change and the social and ethical issues that surround advances in nanotechnology. SBE also provides statistical data for critical analyses of the role of foreign citizens in the U.S. science and engineering workforce. In addition, SBE awards foster the development of new information technology systems and software, the sharing of data within and across disciplines, the development of new social research infrastructures, and education at all levels in the SBE sciences.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of two merit review criteria: Intellectual Merit and Broader Impacts (see Grant Proposal Guide (GPG) chapter III.A). In some instances NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. Chapter II of the GPG specifies that Principal Investigators must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. While proposers must respond to both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which they are qualified to make judgments. Below are considerations that help define the two merit review criteria. These considerations are suggestions; not all will apply to any given proposal. (1) What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To

what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? (2) What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? Additionally, in making funding decisions NSF will also give careful consideration to integrating research and education, and integrating diversity into NSF programs. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. This supports these institutions in their efforts to provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports and enriches research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.076 EDUCATION AND HUMAN RESOURCES

(EHR)

**FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C 1861 et seq.

**OBJECTIVES:**

To provide leadership and ensure the vitality of the Nation's science, technology, engineering and mathematics (STEM) education enterprise. The Education and Human Resources (EHR) component of the National Science Foundation sponsors programs that support the development of models and strategies for providing all students with access to high-quality STEM education. The portfolio of EHR programs in STEM education is comprised of efforts spanning pre-K to 12 (with special emphasis on projects that join institutions of higher education with K-12 education units), undergraduate, graduate and post-doctoral levels, as well as informal education and life-long learning. Long-term goals include: Supporting infrastructure (especially broad-based collaborative partnerships) that will enable development of high-quality educational experiences for all students; ensuring that our educational pathways yield an adequately educated and diverse corps of individuals for both the highly technical workplace and the professional STEM community; developing a cadre of professionally educated and well-trained teachers and faculty; and providing the research necessary to inform educational practice. The strength of EHR programming resides in its ability to integrate research and education, combining the expertise of the research and education communities. Its programs include support for STEM workforce development; educational materials, including use of learning technologies, effective in increasing student achievement; research on learning and teaching that informs education practice; strategies for developing deep content knowledge and teaching skills for K-12 teachers; and informal science education. The EHR activity also sponsors projects under the Experimental Program to Stimulate Competitive Research (EPSCoR) program, which builds the capacity of participating states to compete successfully for Federal research funding. EHR programs are subject to continuous improvements based on program reviews, evaluation, dissemination of best practices, and educational research.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs necessary to conduct research, educational activities or studies, including salaries and expenses, permanent equipment, expendable materials and supplies, travel, publication costs, and other direct and indirect costs. Some programs provide funds for undergraduate scholarships managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution. Funds may not be used for purposes other than those specified in the award. Graduate

fellowships provide for stipends and allowances to be paid to the awardee through his/her institution; a fixed cost-of-education allowance is paid directly to the institution.

**Applicant Eligibility:**

Graduate students, public and private colleges (2-year and 4-year) and universities, State and local education agencies, tribal entities, nonprofit and private organizations, professional societies, science academies and centers, science museums and zoological parks, other informal science education institutions, research laboratories, and other institutions with an educational mission may apply.

**Beneficiary Eligibility:**

Elementary, secondary and undergraduate science, technology, engineering, and mathematics teachers and faculty; preK-12, undergraduate and graduate students; public and private colleges (2-year and 4-year) and universities; State and local educational agencies; tribal entities, nonprofit and private organizations; professional societies; science academies and centers; science museums and zoological parks; other informal science education institutions, research laboratories, and other institutions with an educational mission.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular No. A-21 for colleges and universities, No. A-87 for State and local governments, and No. A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average.

**Preapplication Coordination:**

In selected areas, discussion with NSF program staff is strongly recommended and/or submission of a preliminary proposal is required before submitting formal proposals. Other areas are eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." A proposer should consult the office or official designated as the single point of contact in his or her state for more information on the process that the state requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**

By electronic submission via FastLane of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the "Grant Proposal Guide."

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board. In most cases reviews are undertaken with the advice of scientists, engineers, educators and other appropriate persons who are specialists in the fields covered by the proposals. External reviewers, who are conversant with the fields covered by the applications, review and evaluate all graduate fellowship applications. NSF makes awards on a competitive basis.

**Deadlines:**

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

**Range of Approval/Disapproval Time:**

NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing within 90 days of a declination or return, that the Foundation reconsider its action in declining or returning any proposal or application.

**Renewals:**

Contact NSF program staff for specific renewal policies and procedures.

**Formula and Matching Requirements:**

Programs vary with regard to the required level of institutional contribution or cost-sharing; requirements are provided in program announcements and solicitations. The Grant Proposal Guide (GPG)(Chapter II) and the Grant Policy Manual (Sec. 330) provide additional information.

**Length and Time Phasing of Assistance:**

Up to 5 years. For NSF Graduate Fellowships, up to 3 years of support. Assistance is disbursed to the institution for monthly stipend allotment to the fellow.

**Reports:**

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements

may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter. Special record keeping requirements apply to fellowships.

**Account Identification:**

49-0106-0-1-251.

**Obligations:**

(Grants) (Excludes H-1B Nonimmigrant Petitioner Fees, EPSCoR) FY 07 \$695,650,000; FY 08 est \$725,600,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,000 to \$15,000,000; \$255,472.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 4,249 proposals were received, and 904 awards were made. In fiscal year 2008, it is anticipated that approximately 4,550 proposals will be received and about 910 awards will be made. In addition, H-1B Nonimmigrant Petitioner scholarship activity made 133 awards to institutions in fiscal year 2006, resulting in over 9,700 scholarship opportunities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Chapter VI; 48 CFR Chapter 25; "2004 NSF Guide to Programs," NSF 04-009 (<http://www.nsf.gov/pubsys/ods/getpub.cfm?gp>); "Grant Proposal Guide," (<http://www.nsf.gov/pubsys/ods/getpub.cfm?gpg>).

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Director, Education and Human Resources, National Science Foundation, 4201 Wilson Blvd., Room 805 Arlington, VA 22230. Telephone: (703) 292-8600. NSF World Wide Web site URL: <http://www.nsf.gov/dir/index.jsp?org=EHR>.

**Web Site Address:**

<http://www.nsf.gov/dir/index.jsp?org=EHR>.

**RELATED PROGRAMS:**

47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure; 84.120, Minority Science and Engineering Improvement; 84.168, Eisenhower Professional Development\_Federal Activities; 84.186, Safe and Drug-Free Schools and Communities\_State Grants; 84.203, Star Schools.

**EXAMPLES OF FUNDED PROJECTS:**

1) In a study conducted under a grant to the Educational Testing Service supported by EHR's Research on Learning and Education (ROLE) program, researchers and educators have successfully demonstrated a computer-based learning system for mathematics that can accommodate both visually impaired and sighted students. The system uses text enlargement on normal displays for low vision students, a Talking Tactile Tablet for blind students, and normal displays for fully sighted students. In addition, the system develops a model for each student's understanding of mathematical concepts, and then uses those models to provide problem-solving advice to students regardless of their visually acuity. The student models have been validated in a pilot test of 50 students, and the system is now being tested with over 300 blind, visually impaired, and fully sighted students. 2) Funded by EHR's Information Technology Experiences for Students and Teachers (ITEST) program, an innovative effort to demonstrate its capabilities is being developed by the Center for Embedded Networked Sensing Education (CENSEi) at the University of California-Los Angeles. CENSEi's web-supported curricular materials allow middle school students to explore scientific data collected from embedded sensor networks deployed in Southern California ecosystems. CENSEi draws on the expertise of education researchers, natural scientists, information scientists, and teachers to overcome the challenges students face in using scientifically rich data. Their efforts investigate how a data rich sensor environment can become a learning environment with an appropriate interface and supports for student inquiry. CENSEi capitalizes on NSF's investment in the Center for Embedded Network Sensing, a Science and Technology Center. 3) EHR's Informal Science Education (ISE) program supports Peep and the Big Wide World (PEEP), a daily, half-hour television series with accompanying web and outreach activities for 3- to 5-year-olds. PEEP gives wings to the innovative idea of teaching science to preschoolers. Airing on TLC and the Discovery Kids Channel, the TV series is tied for the top-rated program for children 2-5 in the weekday morning time block. The series is also reaching parents, providing them with information on how to extend their children's science learning in everyday situations. And PEEP is impacting the field of informal science education, as well, by giving preschool educators resources and training in how to nurture young children's science learning. PEEP is achieving this impact in part through



its community of collaborators. Partners include educational organizations (e.g., 4-H, the National Education Association, Parents as Teachers), libraries (American Library Association), museums (via the Boston Children's Museum), and promotional media outlets. 4) The NSF Graduate Teaching Fellowships in K-12 Education (GK-12) program supports graduate students in STEM fields while providing them an opportunity to serve as resources in K-12 schools. Graduate Fellows at the University of Colorado Boulder taught engineering to more than 1,600 girls and boys through its integrated teaching and learning program. In the Denver School of Science and Technology, a high needs school, GK-12 Fellows initiated an engineering technical elective course. During fall 2005 engineering lessons were developed on several topics, including weather, biomes, dams, states of matter, the human body and natural disasters. 5) With a grant from the Integrative Graduate Education and Research Traineeships (IGERT) program, IGERT students at the University of Alaska, Fairbanks, are assessing the sustainability of high-latitude regions, and working to discover how to reduce the vulnerability of these regions to both ecological and social change. One of the students contributed to the polar chapter of the UNESCO-sponsored Millennium Assessment, which is investigating the impacts of global change on human well-being. Four students worked with Native village councils or with the Alaska Native Science Commission to develop plans to assess changes in the subsistence resource base for Native Alaskans. 6) In December 2005, the National Science Digital Library (NSDL), in partnership with the Digital Library for Earth System Education (DLESE), offered free online professional development workshops to K-12 science and math teachers in hurricane-impacted schools, as well as to those teaching hurricane-displaced students. The workshops provided practical ideas for finding and using digital library resources, with a particular emphasis on strategies that are easy to implement in storm-stressed classrooms and in distance learning courses being offered to displaced students. 7) The state of North Carolina has experienced an increase in new STEM graduates as a result of EHR's Louis Stokes Alliances for Minority Participation (LSAMP) program. Led by North Carolina A&T State University, the NC-LSAMP is a partnership of eight North Carolina colleges and universities. The project increases the quantity and quality of underrepresented minority students receiving bachelor's degrees in STEM disciplines. The newly instituted "Bridge to the Doctorate" initiative is in high gear supporting graduate students in a broad range of science and engineering disciplines. 8) Improving teacher quality in mathematics and science education, K-12, is a key goal of the Math and Science Partnership (MSP) program. Graduates of the Florida Atlantic University Teacher Institute, for example, will receive a master's degree that includes a newly developed strand for middle school mathematics teaching. MSP Summer Institutes respond to the differentiated needs of the teachers they serve. In its work with inservice teachers in central Appalachia, the Appalachian Mathematics and Science Partnership (AMSP), a Comprehensive Partnership, reports significant gains with teachers in the project's innovative 2005 summer Algebra Institutes. 9) Building on an earlier NSF-supported project at the Indiana University of Pennsylvania (which was funded by NSF's Course, Curriculum, and Laboratory Improvement (CCLI) program), educators at the University of Wisconsin, Eau Claire, have developed the Computational Laboratory for Information and Computer Security, or CLICS. Funded by NSF's Federal Cyber Service: Scholarship for Service (SFS) program, CLICS is a two day "cyber-war exercise" that gives undergraduate students hands-on experience with the issues, strategies, and tools involved in computer security and information assurance. The Cyber-war exercises involve students in real-world, team-based efforts to harden their systems, detect intrusions and respond in real time - without threatening the wider campus network. 10) With funding from EHR's Centers of Research Excellence in Science and Technology (CREST) the Florida International University CREST Center has created TerraFly (<http://terrafly.fiu.edu>), a Web-enabled system developed to aid in the visualization of spatial imagery, the first step toward building geospatial skills. The system allows Web surfers to "fly" over the Earth's surface and explore spatial data such as aerial photography, satellite imagery, street maps, and locale information. The web site is designed for users of all levels, from grade school to university researchers. Unlike other geographic information systems, TerraFly runs via standard Web browsers, with no need to download software or data prior to visualization. This ease of use and accessibility is evidenced by the most recent user statistics that report over 10,000 hits a day. 11) The Experimental Program to Stimulate Competitive Research (EPSCoR) is funding the Quarked project which creates an entertaining multimedia experience about quarks aimed at children ages 7-12, but accessible to all ages. The educational goals of the project are to introduce quarks and the people who work with them into the common language of kids; investigate how young people are introduced to and grasp the scientific world of the unseen and abstract; and to demystify subatomic physics, while changing the perception that science is difficult and inaccessible. Developments include a half-hour animated TV series, an interactive web site ([www.quarked.org](http://www.quarked.org)), museum programs, and educational outreach activities. 12) With support from NSF's Robert Noyce Scholarship Program, Drexel University recruits science, engineering, and mathematics majors who are committed to teaching

mathematics and science in the School District of Philadelphia. The program provides strong teacher preparation addressing content knowledge, pedagogical knowledge, learner knowledge and technology integration. Mentoring and induction activities provide support to the new teachers. To broaden the exposure of students to teaching, the Noyce Seminar Series provides a venue for Noyce Scholars to interact with teacher leaders, teacher scientists, and experts who are leaders in pedagogy, science and mathematics teaching or scientists with a penchant for teaching.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens - women and men, underrepresented minorities, and persons with disabilities --is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.078 POLAR PROGRAMS**

(OPP)

#### **FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

#### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

#### **OBJECTIVES:**

To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the polar regions. To encourage and support basic research in the Arctic and Antarctic

focused on the solid earth, glacial and sea ice, terrestrial ecosystems, the oceans, the atmosphere and beyond. Major objectives include understanding of the natural phenomena and processes in the Antarctic and Arctic regions and their role in global systems. To provide postdoctoral fellowships for the development and training of new investigators in polar regions research with goals to support innovative research in emerging areas, encourage interdisciplinary research, foster activities that create broader impacts for science and society, and to increase the participation of underrepresented groups. Support is also provided for science and technology centers, undergraduate student research, facility enhancement, instrumentation, and laboratory equipment; and for research opportunities for women, minority, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment and supplies, computer services, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None required, but preliminary discussions with the relevant National Science Foundation program officer are encouraged, particularly for projects requiring logistic or facility support or involving coordination with other projects and programs. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

By electronic submission via FastLane of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publication, "Grant Proposal Guide," and "Guide to Programs Fiscal Year 2004," NSF 04-009. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

NSF staff members review and evaluate all proposals usually with the assistance and advice of other qualified scientists, and other appropriate persons, who are specialists in the field covered by the proposal. Awards are made in order of merit and program relevance to the extent permitted by available funds. States will be notified of Federal assistance awards through the Federal Assistance Awards Data System (FAADS).

**Deadlines:**

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

The Principal Investigator whose proposal for support has been declined may request, in writing, and receive from the cognizant program officer the reasons for declination. The proposer may also obtain verbatim copies of reviews of his/her proposals, though not the names of reviewers. If not satisfied, the Principal Investigator may request that the Foundation reconsider the procedural aspects of the declination action. Request for reconsideration must be received within 90 days of the declination letter.

**Renewals:**

Standard grants may be renewed once by amendment of the original grant, provided the cumulative duration does not exceed 5 years. Proposals for renewal should be submitted 6 months prior to the expiration of the original grant and should contain the same type of information as the original proposal plus a summary of progress to date, a proposed budget for the ensuing period, and a statement of expenditures to date and existing commitments that will require expenditure of residual funds from the original grant after the requested renewal date. Renewals compete with other proposals for available funds.

**Formula and Matching Requirements:**

Cost-sharing is not required for awards made solely for symposia, conferences and workshops, publication, education and training, facilities, equipment, ship

operations, or travel. The Grant Proposal Guide (GPG) (Chapter II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost-sharing.

**Length and Time Phasing of Assistance:**

Normally 1 to 3 years.

**Reports:**

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit a final project report. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

49-0100-0-1-251; 49-0551-0-1-251; 49-0100-0-1-054.

**Obligations:**

(Grants) FY 07 \$145,920,000; FY 08 est \$151,200,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000 to \$5,000,000; \$180,500.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 1,202 proposals were received and 372 awards were made.

In fiscal year 2008, it is anticipated that approximately 1,230 proposals will be received and approximately 396 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25; 45 CFR Chapter VI; "Guide to Programs, Fiscal Year 2004," NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?nsf04009>); and "Grant Proposal Guide," (<http://www.nsf.gov/pub?nsf0423>); "Arctic Research Program Opportunities," NSF 05-618 (no charge); "Antarctic Research," NSF 06-549 available from: Forms and Publications, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Science Foundation; 4201 Wilson Blvd., Arlington, VA 22230. Arctic Sciences: Dr. Michael Van Woert, Acting; Telephone: (703) 292-8029; Fax: (703) 292-9082; Antarctic Sciences: Dr. Scott Borg; Telephone: (703) 292-8033; Fax: (703) 292-9079; Polar Research Support: Mr. Erick Chiang; Telephone: (703) 292-8032; Fax: (703) 292-9080; Environment, Safety and Health: Dr. Michael Montopoli; Telephone: (703) 292-8031; Fax: (703) 292-9079. NSF World Wide Web site URL: <http://www.nsf.gov>.

**Web Site Address:**

<http://www.nsf.gov/od/opp/>.

**RELATED PROGRAMS:**

11.417, Sea Grant Support; 11.430, Undersea Research; 47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Geosciences; 47.070, Computer and Information Science and Engineering; 47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure.

**EXAMPLES OF FUNDED PROJECTS:**

Polar Sciences: Investigations of atmospheric, earth, biological and ocean sciences, glaciology in the Arctic and the Antarctic, and of social sciences in the Arctic.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project

Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens, women and men, under represented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.079 INTERNATIONAL SCIENCE AND ENGINEERING (OISE)

(International)

### FEDERAL AGENCY:

NATIONAL SCIENCE FOUNDATION

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

### OBJECTIVES:

To enable the U.S. research community to maintain its excellence in science, engineering, and leadership within the global scientific community by strengthening international partnerships that foster the advancement of scientific discovery and thereby contribute to the continued scientific strength and welfare of the Nation; to promote research excellence through international collaboration; to develop a diverse, globally engaged U.S. science and engineering workforce by providing U.S. students and junior faculty with international research and education experience. The research supported is basic in character. The program includes support of international research and education projects that are innovative and catalytic. OISE programs are designed to complement and enhance the Foundation's research and education portfolio and to overcome barriers involved in international collaboration. Grants are made in all the disciplinary fields supported by NSF. Support is provided for international collaborative research; research workshops and planning visits; activities that will develop the next generation of U.S. scientists and engineers such as graduate traineeships, postdoctoral fellowships, special opportunities for junior faculty for research support, and dissertation enhancements; and for U.S. Government support to key multilateral organizations to enable U.S. scientists to participate in such global efforts. Support is also provided for undergraduate student international research and education experiences, and for research opportunities for women, minorities, and disabled scientists and engineers.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

International cooperative scientific activities provide funds for U.S. scientists and engineers to carry out studies abroad, to conduct research, to engage in joint research projects with foreign counterpart organizations, and to support international workshops focused on well-defined scientific opportunities in the United States and abroad; travel must be on U.S. flag carriers. In some programs, support is provided by paying costs necessary to conduct research, such as salaries, equipment, supplies, travel, publications, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the research activities. Grants are made on a competitive basis. For all programs, funds may not be used for purposes other than those specified in the proposal.

### Applicant Eligibility:

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

### Beneficiary Eligibility:

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### Credentials/Documentation:

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

For some international bilateral research programs, proposals may be developed between the two scientists for submission to the implementing agencies in both countries at the same time. Proposals must be cooperative in nature and be approved by implementing agencies in both countries. For other programs a preliminary proposal may be required. If applicable, the program solicitation will provide specific information. For all programs it is suggested that an initial inquiry be made before a proposal is submitted to determine whether a potential project qualifies for NSF support. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

For project support, submission of a formal proposal, signed electronically by an official authorized to commit the institution or organization in financial affairs, fully documenting the planned activity and proposed amount of award. Guidelines are contained in publications, "Grant Proposal Guide," and "FY 2004 Guide to Programs," NSF 04-009. This program is subject to the provisions of OMB Circular No. A-110.

### Award Procedure:

NSF staff members review and evaluate all proposals. To assist them, they usually obtain the advice of scientists and engineers who are specialists in the field covered by the proposal. Proposals are supported on the basis of merit to the extent permitted by available funds.

### Deadlines:

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

### Range of Approval/Disapproval Time:

The normal duration is from 5 to 9 months.

### Appeals:

The project director or principal investigator may request, in writing, that the Foundation reconsider its action in declining any proposal, renewal, or continuing grant proposal.

### Renewals:

Proposals for renewal of awards, containing the same type of information as the original proposal, should be submitted 6 to 9 months before the expiration of the original award. Renewals are treated in competition with pending proposals.

### Formula and Matching Requirements:

For some international cooperative research projects, funds may be contributed from both countries. In these cases, each country assumes responsibility for support of its own participation in the project within its own territory. Cost-sharing does not apply to any international program. The Grant Proposal Guide (GPG)(Sec. II) and the Grant Policy Manual (Sec. 330) provide additional information on the general NSF policy on cost-sharing.

### Length and Time Phasing of Assistance:

Up to 5 years.

### Reports:

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant program office at least 90 days before the end of the current budget period. Within 90 days after the



expiration of a grant, the PI is required to submit a final project report. For travel grants, a travel report is required. Quarterly Federal Cash Transaction Reports are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each award to ensure that funds are used for the general purpose for which the award was made. Records are subject to inspection during the life of the award and for 3 years thereafter.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Grants) FY 07 \$40,360,000; FY 08 est \$41,340,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$500 to \$2,000,000; \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006, 713 competitive proposals were received and 320 awards were made. In FY 2007, 778 proposals were received and 355 awards were made. In FY 2008 approximately 875 competitive proposals are expected to be received and about 350 awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25; 45 CFR Chapter VI; "2004 Guide to Programs," NSF 04-009 ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=nsf04009](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf04009)); and "Grant Proposal Guide,"

([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=nsf0423&org=NSF](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf0423&org=NSF)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of International Science and Engineering, National Science Foundation, 4201 Wilson Blvd., Suite 935, Arlington, VA 22230. Telephone: (703) 292-8710. <http://www.nsf.gov/div/index.jsp?org=OISE>.

**Web Site Address:**

<http://www.nsf.gov>.

**RELATED PROGRAMS:**

47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.070, Computer and Information Science and Engineering; 47.074, Biological Sciences; 47.050, Geosciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.078, Polar Programs; 47.080, Office of Cyberinfrastructure.

**EXAMPLES OF FUNDED PROJECTS:**

"The Consortium of the Americas for Interdisciplinary Sciences: Present-day Kinematics and Dynamics of the Eastern Mediterranean and Caucasus;" "US-Africa Planning Visit: Collaborations in Cultural Astronomy;" "NSF East Asia Summer Institutes for US Graduate Students;" "US-Africa Planning Visit: Undergraduate Engineering Research in Ghana and Kenya"; US-France (INRIA) Cooperative Research: Symbolic and Numerical Methods for Geometric Modeling.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include

considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society? NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.080 OFFICE OF CYBERINFRASTRUCTURE**

(OCI)

**FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To coordinate and support the acquisition, development and provision of state-of-the-art cyberinfrastructure resources, tools and services essential to the conduct of frontier 21st century science and engineering research and education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to pay costs of conducting research, product development, resources, tools and services, as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

The proposal must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for educational institutions and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None required, except in specific cases, but preliminary discussions with relevant National Science Foundation program officers, by telephone or mail, are encouraged. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals being submitted to the Office of Cyberinfrastructure should follow the general instructions and guidelines in the "Grant Proposal Guide." All proposals are acknowledged. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

NSF staff members review and evaluate all proposals, with the advice and

assistance of scientists and engineers who are specialists in the field covered by the proposal, of prospective users of research results when appropriate, and of specialists in other Federal agencies.

**Deadlines:**

Many NSF programs accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for a further description of these types of due dates.

**Range of Approval/Disapproval Time:**

Approximately six months or less, except in special instances.

**Appeals:**

The Principal Investigator may request, in writing, that the National Science Foundation reconsider its action in declining any proposal, renewal, or continuing grant proposal.

**Renewals:**

Proposals for renewal of NSF grants compete with all other pending proposals.

**Formula and Matching Requirements:**

The Grant Proposal Guide (GPG, Chapter II) and the Grant Policy Manual (Sec. 330) provide information on the general NSF policy on cost-sharing.

**Length and Time Phasing of Assistance:**

Normally 6 months to 3 years; occasionally longer.

**Reports:**

For multi-year grants (including both standard and continuing grants), the PI must submit an annual progress report to the cognizant program officer at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit final project report. Quarterly Cash Transaction Report are required. Other reporting requirements may be imposed via the grant instrument.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audit of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which each grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

Obligations: (Grants) FY 07 \$182,420,000; FY 08 est \$185,330,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$10,000 to \$20,000,000; \$339,956.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 130 proposals were received and 42 awards made. In fiscal year 2007, 307 proposals were received and 70 awards were made. In fiscal year 2008, approximately 320 proposals are expected to be received 71 awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter 25: 45 CFR Chapter VI; NSF Guide to Programs, fiscal year 2004, NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?nsf04009>); and "Grant Proposal Guide," (<http://www.nsf.gov/cgi-bin/getpub?nsf0423>). NSF World Wide Web site URL: <http://www.nsf.gov/oci/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Director, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230. Telephone: (703) 292-8970.

**Web Site Address:**

<http://www.nsf.gov/oci/>.

**RELATED PROGRAMS:**

47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Geosciences; 47.070 Computer and Information Science and Engineering; 47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.078, Polar Programs; 47.079, International Science and Engineering (OISE).

**EXAMPLES OF FUNDED PROJECTS:**

1) The OptIPuter: Essentially, the OptIPuter is a "virtual" parallel computer in which the individual "processors" are widely distributed clusters; the "backplane" is provided by IP delivered over multiple dedicated lambdas (each 1-10 Gbps); and, the "mass storage systems" are large distributed scientific data repositories, fed by scientific instruments as OptIPuter peripheral devices, operated in near real-time. Furthermore, collaboration will be a defining OptIPuter characteristic; goals include implementing a next-generation Access Grid with optical multicast, enabling tiled stereo HDTV screens of reality-matching visual resolution. The OptIPuter is an embodiment of the vision of the "hollowing out of the computer" prophesized in the mid-1990s. The old

"computer-in-a-box" is being blown up and scattered across the Net. The OptIPuter's fundamental inventions include software and middleware abstractions to deliver unique capabilities in a lambda-rich world, a world in which endpoint-delivered bandwidth is greater than individual computers can saturate. The OptIPuter project explores a new architecture for the distributed information infrastructure (which NSF terms infrastructure) required by a number of this decade's science and engineering shared facilities. The project is driven by a close collaboration with leaders of two of these community systems, NSF's EarthScope and NIH's Biomedical Imaging Research Network (BIRN) - both of which are beginning to produce an accelerating flood of data which will be stored in distributed federated data repositories. One characteristic blocking such science is that the individual data objects (a 3D brain image or a terrain dataset) are large (Gigabytes) compared to what can be interactively manipulated or visualized over today's networks. What these scientists require are ultra-high-speed predictable "clear-channel" networks linking PC clusters, storage and visualization systems, enabling collaborating scientists to explore interactively massive amounts of previously uncorrelated data. An important opportunity exists over the next few years to develop a radical new architecture for this needed scientific infrastructure. 2) Engaging People in Cyberinfrastructure (EPIC): TeacherTECH program reached 540 K-12 educators from February 2005 to December 2005 through monthly and summer workshops in science, technology, engineering and math. These educator participants represented all of San Diego County, from urban to rural, from the tip of San Diego County all the way to the border with Mexico. Seventy educators were reached last year. Workshops include TeacherTECH Technology Tools workshops, TeacherTECH Advanced Technology Tools workshops, TeacherTECH Science Series and a TeacherTECH Math Series. Many of the TeacherTECH Science Series workshop presentations are archived on our TeacherTECH site (<http://education.sdsu.edu/teachertech>) for viewing by teachers across the nation.

Ten thousand people have visited the new TeacherTECH website since its inception in May 2005. The site includes standards-based curriculum submitted by TeacherTECH participants, science lectures, scientific visualizations, notes, resources and much more. Our community partners and educators alike have praised our site. 3) Tornadoogenesis within a simulated supercell storm: Using the Advanced Regional Prediction System model and supercomputing facilities a realistic supercell storm is simulated and successfully reproduced vorticity and other features of the most-intense tornado ever simulated. The use of a uniform resolution grid large enough to contain the entire parent storm is a first, and eliminates the uncertainties of artificial human control associated with nested grid simulations or simulations using horizontally stretched grids. The peak wind speed, reaching 120 meters per second, places the tornado within the F5 intensity scale of Fujita. Atmospheric data from this simulation will be used to develop algorithms for a new system of cell-phone tower based Doppler radar, called CASA (Center for Collaborative Adaptive Sensing of the Atmosphere), projected to reduce tornado false-alarm forecasts from the current 75 percent to 25 percent. 4) The Pacific Rim Application and Grid Middleware Assembly (PRAGMA): An intensive international effort involving researcher from more than ten institutions to improve grid-based application, collaboration, discourse and exchange of scientific personnel among Pacific Rim institutions. It builds on an initial series of workshops that focused on assessing the state of grid-based infrastructure, evaluated a collection of scientific applications and provided a recurring venue to nurture sustainable collaborations across the Pacific Rim. The original award provided funds to host the first workshop and allow both computing infrastructure specialists and applications scientists to attend follow on workshops. This ongoing effort created the initial impetus to move forward in both building long long-term international collaborations and creating a venue for applications scientists to effectively understand and use grid-based systems. 5) Keeping Condor Flight Worthy: This proposal outlines an effort to sustain the Condor High Throughput Computing Software (Condor) by the Condor Project at the University of Wisconsin-Madison (UW). The activities proposed are categorized into four areas of work: Support, Release, Enhance, and Use. "Support" activities aid users with installation, configuration, and usage through ticket-tracked email. Support also includes outreach work in the scientific computing community. This outreach work includes hosting an annual international Condor workshop, participating in online forums dedicated to Condor and distributed computing, writing articles and book chapters on using Condor, and delivering invited tutorials at workshops and conferences. "Support" functions serve mainly to deliver new versions of the Condor software. Support also includes maintenance - ongoing bug fixing, support for new operating system releases and new versions of dependent software packages, and updates to documentation. "Enhance" activities will generate basic improvements to the Condor software, such as enhancements in scalability and reliability, new capabilities on Win32, and the incorporation of recent advances in distributed computing technology. "Use" activities leverages the Grid Laboratory of Wisconsin (GLOW) project. GLOW is a multi disciplinary team of researchers across the University of Wisconsin campus that develops, implements, tests and deploys grid-enabled capabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1997 (NSB 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued Important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This Important Notice reinforces the importance of addressing both criteria in the preparation and review of all proposals submitted to NSF. NSF continues to strengthen its internal processes to ensure that both of the merit review criteria are addressed when making funding decisions. In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposal preparation and processing guidelines will more clearly articulate the importance of broader impacts to NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposal Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## **47.081 OFFICE OF EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH**

020 (EPSCoR)

### **FEDERAL AGENCY:**

NATIONAL SCIENCE FOUNDATION

### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

### **OBJECTIVES:**

As an investment strategy, Co-funding enables members of the research communities within EPSCoR jurisdictions not only to improve their ability to compete for National Science Foundation (NSF) program funds, but also to increase their active participation and visibility as members of the national scientific research and education enterprise. To assist those jurisdictions that has historically received lesser amounts of academic research and development funding. The NSF EPSCoR Office established the Co-funding Initiative in FY 1998 to accelerate the movement of more researchers and institutions from EPSCoR jurisdictions into the mainstream of NSF support, and thereby contribute to the NSF EPSCoR concept of a Trajectory for Sustainable Scientific

Success.

### **TYPES OF ASSISTANCE:**

Project Grants.

### **USES AND USE RESTRICTIONS:**

Funds may be used to pay the costs of conducting research, product development, resources, tools and services, as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs.

### **Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

### **Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### **Credentials/Documentation:**

The proposal must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for educational institutions and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

None required, except in specific cases, but preliminary discussions with relevant National Science Foundation program officers, by telephone or mail, are encouraged. This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

By electronic submission via FastLane of a formal proposal describing the research or study to be undertaken. Guidelines are contained in publication, "Grant Proposal Guide," and "Guide to Programs Fiscal Year 2004," NSF 04-009. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from the coverage under OMB Circular No. A-102.

### **Award Procedure:**

NSF staff members review and evaluate all proposals, with the advice and assistance of scientists and engineers who are specialists in the field covered by the proposal, of prospective users of research results when appropriate, and of specialists in other Federal agencies.

### **Deadlines:**

Many NSF program accept proposals at any time. Other programs, however, establish due dates for submission of proposals. NSF utilizes Target Dates, Deadline Dates, and Submission Windows. Consult the Grant Proposal Guide, Section I.F. for further description of these types of due dates.

### **Range of Approval/Disapproval Time:**

From 90 to 180 days.

### **Appeals:**

The Principal Investigator whose proposal for support has been declined may request, in writing, that the National Science Foundation reconsider its action in declining any proposal, renewal, or continuing grant proposal.

### **Renewals:**

Proposals for renewals, containing the same type of information as the original proposal, should be submitted at least 6 months before the expiration date of the award. Renewals are treated in competition with all other pending proposals.

### **Formula and Matching Requirements:**

The Grant Proposal Guide (GPA, Chapter II) and the Grant Policy Manual (Section 330) provide information on the general NSF policy on cost-sharing.

### **Length and Time Phasing of Assistance:**

Normally 6 months to 3 years; occasionally longer.

### **Reports:**

For multi-year grants (including both standard and continuing grants), the PI must submit an annual progress report to the cognizant program officer at least 90 days before the end of the current budget period. Within 90 days after the expiration of a grant, the PI is required to submit final project report. Quarterly cash Transaction Report are required. Other reporting requirements may be imposed via the grant instrument.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audit of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the general purpose for which each grant was made. Records are subject to inspection during the life of the grant and for 3 years thereafter.

### **Account Identification:**

49-0100-0-1-251.

### **Obligations:**

FY 07 \$102,110,000; FY 08 est \$111,100,000; and FY 09 est not available.



**Range and Average of Financial Assistance:**

\$99,472 to \$9,200,000; \$5,918,265.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 14 proposals were received and 11 awards made. In fiscal year 2007, 18 proposals received and 18 awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CFR Chapter 25; 45 CFR Chapter VI; NSF Guide to Programs, fiscal year 2004, NSF 04-009 (<http://www.nsf.gov/cgi-bin/getpub?/nsf04009>); and Grant Proposal Guide, (<http://www.nsf.gov/cgi-bin/getpub?/nsf0423>). NSF World Wide Web site URL: <http://www.nsf.gov/oci/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Director, National Science Foundation, 4201 Wilson Blvd., Arlington, VA 22230. Telephone: (703)292-8970.

**Web Site Address:**

<http://www.nsf.gov/oia>.

**RELATED PROGRAMS:**

47.041, Engineering Grants; 47.049, Mathematical and Physical Sciences; 47.050, Geosciences; 47.070, Computer and Information Science and Engineering; 47.074, Biological Sciences; 47.075, Social, Behavioral, and Economic Sciences; 47.076, Education and Human Resources; 47.078, Polar Programs; 47.079, International Science and Engineering (OISE); 47.080, Office of Cyberinfrastructure.

**EXAMPLES OF FUNDED PROJECTS:**

(1) With support from NSF's Experimental Program to Stimulate Competitive Research (EPSCoR), the SUNRISE research group of the University of North Dakota has developed an oilseed-based biojet fuel for aviation turbines and diesel engines that withstands cold temperatures and is more stable than traditional biodiesel fuels. The SUNRISE team is developing the technology to reduce the oil extraction cost specifically for biojet fuel application so that it is more cost effective than other fuels. SUNRISE also incorporates the research into chemistry and chemical engineering courses at the university, and educates the state's agricultural and financial communities and political leaders about biofuels and their potential economic impact. (2) The University of Puerto Rico and the Center for Hierarchical Manufacturing at the University of Massachusetts, Amherst made a scientific and technological breakthrough that enables the direct integration of diamond nanoparticles into electronic components for widespread applications. These applications include protective coating for medical implants, environmental sensors, optical components exposed to harsh environments, and improved electrodes for electrical uses. The Diamond Nanotechnology Project was sponsored by NSF through EPSCoR. The University of Puerto Rico recently submitted to the U.S. Patent and Trademark Office a disclosure document for this development entitled, "Method to Synthesize Diamond on Polymers, Semiconductors, and Other Temperature-Sensitive Materials." (OIA/EPSCoR).

**CRITERIA FOR SELECTING PROPOSALS:**

The National Science Board approved revised criteria for evaluating proposals at its meeting on March 28, 1977 (NSF 97-72). All NSF proposals are evaluated through use of the two merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities. On July 8, 2002, the NSF Director issued important Notice 127, Implementation of new Grant Proposal Guide Requirements Related to the Broader Impacts Criterion. This important Notice reinforces the importance of addressing both criteria in the preparation and review of all merit review criteria are addressed when making funding decisions.

In an effort to increase compliance with these requirements, the January 2002 issuance of the GPG incorporated revised proposal preparation guidelines relating to the development of the Project Summary and Project Description. Chapter II of the GPG specifies that Principal Investigators (PIs) must address both merit review criteria in separate statements within the one-page Project Summary. This chapter also reiterates that broader impacts resulting from the proposed project must be addressed in the Project Description and described as an integral part of the narrative. Effective October 1, 2002, NSF will return without review proposals that do not separately address both merit review criteria within the Project Summary. It is believed that these changes to NSF proposals preparation and processing guidelines will more clearly articulate the importance of broader impacts of NSF-funded projects. The two National Science Board approved merit review criteria are listed below (see the Grant Proposals Guide Chapter III.A for further information). The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposal being considered and for which he/she is qualified to make judgments. What is the intellectual merit of the proposed activity? How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original

concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources? What are the broader impacts of the proposed activity? How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society NSF staff will give careful consideration to the following in making funding decisions: Integration of Research and Education. One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities. Broadening opportunities and enabling the participation of all citizens, women and men, underrepresented minorities, and persons with disabilities is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

# RAILROAD RETIREMENT BOARD

## 57.001 SOCIAL INSURANCE FOR RAILROAD WORKERS

### FEDERAL AGENCY:

RAILROAD RETIREMENT BOARD

### AUTHORIZATION:

Social Security Act of 1935, as amended, Public Law 74-271, 49 Stat. 620, 42 U.S.C. 7, Subchapter 2; Railroad Unemployment Insurance Act, as amended, Public Law 75-722, 52 Stat. 1094, 45 U.S.C. 351-367; Railroad Retirement Act of 1974, as amended, Public Law 93-445, 88 Stat. 1305, 45 U.S.C. 231-231u.

### OBJECTIVES:

To pay rail social security, rail industry pensions, Federal windfall benefits, supplemental annuities, permanent and occupational disability, and sickness and unemployment benefits to workers and their families.

### TYPES OF ASSISTANCE:

Direct Payments with Unrestricted Use.

### USES AND USE RESTRICTIONS:

Under the provisions of the Railroad Retirement Act and the Railroad Unemployment Insurance Act, benefits are provided for: (1) workers who retire because of age or disability; including supplemental annuities for long-service employees; (2) eligible spouses and divorced spouses of retired employees; (3) surviving widows, widowers, divorced spouses, children, and dependent parents of deceased employees; (4) unemployed workers; and (5) workers who are sick or injured. In addition, the Railroad Retirement Board participates in the administration of the Federal medical health insurance program for the aged and the disabled, which covers railroad retirement beneficiaries on the same basis as other eligible persons.

### Applicant Eligibility:

Under the Railroad Retirement Act, for employee, spouse and survivor benefits the employee must have had 10 or more years of railroad service or, for annuities beginning January 2002 or later, 5 years of railroad service rendered after 1995. For survivors to be eligible for benefits, the employee must also have been insured at death. Under the Railroad Unemployment Insurance Act, an employee must have earned at least \$2,875.00 in railroad wages in calendar year 2005, \$2,987.50 in calendar year 2006, and \$3,075.00 in calendar year 2007 (counting no more than \$1150 in any month in calendar year 2005, \$1,195 in calendar year 2006 and \$1,230 in calendar year 2007) and, if a new employee, must have worked for a railroad at least 5 months in a calendar (base) year to be a qualified employee in the applicable benefit year.

### Beneficiary Eligibility:

Individuals, families, pension recipients.

### Credentials/Documentation:

Proof of age for retirement benefits; proof of marriage for spouse's or survivor's benefits; medical evidence for disability or sickness benefits; registration for proof of unemployment; proof of relationship; proof of military service; and other proofs as required by law.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Application for retirement, disability, survivor, unemployment or sickness benefits should be made to any office of the Railroad Retirement Board.

### Award Procedure:

The Office of Programs makes awards under the Railroad Retirement Act and the Railroad Unemployment Insurance Act.

### Deadlines:

Benefits not payable earlier than specified period prior to application, varying with type of benefits; insurance lump-sum death payments application deadline is two years after employee's death. Applicants may contact any Railroad Retirement Board Office to obtain information relative to a specific type of benefit administered under the Railroad Retirement Act or the Railroad Unemployment Insurance Act.

### Range of Approval/Disapproval Time:

Varies depending upon complexity of claim.

### Appeals:

Initial appeals are made to the Bureau of Hearings and Appeals. Subsequent appeals from initial determinations may be made to the Board and ultimately to the U.S. Court of Appeals.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Various conditions explained on the benefit application certification form as affecting eligibility, e.g., earnings, marriage, divorce, recovery from disability, return to employer service, should be reported.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

60-8011-0-7-601; 60-8010-0-7-601; 60-8051-0-7-603; 60-0111-0-1-601; 60-0113-0-1-601.

### Obligations:

(Benefit Payments) FY 07 \$9,907,000,000; FY 08 est \$10,178,000,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

(1) Employee age annuities-monthly maximum \$3,713.00, average \$1,789.00; (2) employee disability-monthly maximum \$3,676.00, average \$1,920.00; (3) employee supplemental annuities-monthly maximum \$70.00, average \$42.00; (4) spouse benefits-monthly maximum \$1,773.00, average \$678.00; (5) widows and widowers monthly maximum \$3,666.00, average \$1116.00; (6) widowed mothers and fathers monthly maximum \$3,187.00, average \$1,423.00; (7) children-monthly maximum \$2,107.00, average \$823.00; (8) unemployment and sickness-weekly maximum for benefit year 2007 to 2008 \$295.00, expected average \$295.00.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2006, benefits were paid to an estimated 643,000 retirees and their families, survivors of deceased railroad workers, and unemployed or sick railroad workers. Under the provisions of the Railroad Retirement Act, in fiscal year 2006, there were 35,617 applications for benefits and 33,993 awards made. Under the provisions of the Railroad Unemployment Insurance Act, in benefit year 2005 to 2006, there were 37,840 applications for benefits and 27,568 beneficiaries paid.

### REGULATIONS, GUIDELINES, AND LITERATURE:

A series of free leaflets is available from Public Affairs, Railroad Retirement Board.

### Regional or Local Office:

Colorado: Louis E. Austin, 1999 Broadway, Suite 3300 Box 7, Denver, CO 80202-5737, Telephone: (303) 844-0800; Georgia: Patricia Lawson, 401 W. Peachtree St., Suite 1703, Atlanta, GA 30308-3519, Telephone: (404) 331-2691; Pennsylvania: Richard D. Baird, Nix Federal Building, 900 Market Street, Suite 304, Philadelphia, PA 19107-4228. Telephone: (215) 597-2647.

### Headquarters Office:

Public Affairs, Railroad Retirement Board, 844 North Rush Street, Chicago, IL 60611-2092. Telephone: (312) 751-4777, Contact: Anita Rogers.

### Web Site Address:

<http://www.rrb.gov>.

### RELATED PROGRAMS:

17.225, Unemployment Insurance; 17.302, Longshore and Harbor Workers' Compensation; 93.773, Medicare\_Hospital Insurance; 93.774, Medicare\_Supplementary Medical Insurance; 96.001, Social Security\_Disability Insurance; 96.002, Social Security\_Retirement Insurance; 96.003, Social Security\_Special Benefits for Persons Aged 72 and Over; 96.004, Social Security\_Survivors Insurance.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

# SECURITIES AND EXCHANGE COMMISSION

## 58.001 SECURITIES-INVESTIGATION OF COMPLAINTS AND SEC INFORMATION

(Complaints and Inquiries)

### FEDERAL AGENCY:

SECURITIES AND EXCHANGE COMMISSION

### AUTHORIZATION:

Securities Act of 1933, Public Law 73-22, 15 U.S.C. 77a et seq.; Securities Exchange Act of 1934, Public Law 73-291, 15 U.S.C. 78a to 78j, as amended, Public Laws 92-29 and 94-29; Public Utility Holding Company Act of 1935, Public Law 74-333, 15 U.S.C. 79 to 79z-6; Trust Indenture Act of 1939, Public Law 76-253, 15 U.S.C. 77aaa to 77bbbb; Investment Company Act of 1940, Public Law 76-768, 15 U.S.C. 80a-1 to 80a-52; Investment Advisers Act of 1940, 15 U.S.C. 80b-1 to 80b-21; National Bankruptcy Act, Chapter X, Public Law 75-696, 11 U.S.C. 501-676; Securities Investor Protection Act of 1970, Public Law 91-598, 15 U.S.C. 78aaa, as amended, Public Law 95-283.

### OBJECTIVES:

To serve investors who complain about investment fraud or the mishandling of their investments by securities professionals. To respond to a wide range of investor inquiries, produce and distribute educational materials, and organize investor education events. To advise the SEC and its staff about problems frequently encountered by investors and possible solutions. To represent the interests of individual investors in connection with SEC rule-making proceedings.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information; Investigation of Complaints.

### USES AND USE RESTRICTIONS:

Investor complaints provide an important source of information about possible securities laws violations and can assist the SEC in its law enforcement and regulatory functions. Investors who believe that possible securities laws violations have occurred should advise the SEC so that it may take appropriate regulatory action. However, the SEC is not a collection agency. It does not advise investors whether particular transactions about which they may have complained violate the federal securities laws, nor does it seek recovery on behalf of investors through court action or otherwise. These laws do provide important remedies to investors, and investors should consider seeking the advice of an attorney as to any recourse available to them if they believe they have been defrauded.

### Applicant Eligibility:

Anyone may seek information from or file a complaint with the SEC.

### Beneficiary Eligibility:

The SEC's actions are designed to protect not only those who seek its help directly, but also all other similarly situated investors and the general public. Moreover, the SEC's public files contain financial and other information about several thousand companies, broker-dealers, investment companies, investment advisers, transfer agents, and banks. Members of the public may examine such material at the SEC's headquarters office in Washington, DC, or they may order copies of the material by contacting the SEC at: Public Reference Branch, Mail Stop 1-2, 450 Fifth Street, NW., Washington, DC 20549. Telephone: (202) 942-8090. Fax: (202) 628-9001. Email: [publicinfo@sec.gov](mailto:publicinfo@sec.gov). The SEC also maintains a web site on the internet at [www.sec.gov](http://www.sec.gov) where the public can read or download public files on public companies whose securities are registered with the SEC, educational information, and investor alerts. Also, investors who believe they have been defrauded, or believe that another party has violated the federal securities laws are urged to present their complaint and/or information to the SEC for use in its enforcement and regulatory activities. SEC public actions do not necessarily result in any monetary benefits to investors. However, aggrieved investors may find the information the SEC discloses in its actions helpful in any private action they may bring to recover their losses.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Contact the Office of Investor Education and Assistance in Washington, DC, or any regional office Investor Assistance Specialist.

### Award Procedure:

Not applicable.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

50-0100-0-1-376.

### Obligations:

(Salaries and expenses) FY 07 \$875,456,000; FY 08 est \$906,000,000; and FY 09 est 913,000,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Investor Assistance Specialists at headquarters and in our regional and district offices handled a total of 76,221 complaints, questions, and other investor contacts during fiscal year 2005.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The SEC publishes and distributes free brochures that describe in plain English how the securities industry works, how to invest wisely and avoid fraud, and where to turn for help. Our print (hard-copy) brochures include "Ask Questions," "Invest Wisely: An Introduction to Mutual Funds," "Variable Annuities: What You Should Know," "Certificates of Deposit: Tips for Investors," "Microcap Stock: A Guide for Investors," "Internet Fraud," and "Get the Facts on Saving and Investing." All of these publications and many others also are available for free on the SEC's website at [www.sec.gov/investor/pubs.shtml](http://www.sec.gov/investor/pubs.shtml). To order a hard-copy brochure, investors should call our toll-free publications line at (1-800) 732-0330, or send a written request to the SEC's Publications Unit, 100 F Street, N.E., Washington, DC 20549.

### Regional or Local Office:

Regional Offices: Joseph Connolly, Steven Sanchez, and Donna Smith, 3World Financial Center, Room 4300, New York, NY 10281, (212) 336-1100; Doreen K. Mosaphir, Suite 1800, 801 Brickell Avenue, Miami, FL 33131, (305) 982-6300; Pailine Zelkin, Suite 900, 175 West Jackson Blvd., Chicago, IL 60604, (312) 353-7390; Rhonda Erickson and Lucille V. Casias, Suite 4800, 1801 California Street, Suite 1500, Denver, CO 80202-2648, (303) 844-1000; and Joanne Morris, S. Junai Lewis, and Joanne Morris, 11th Floor, 5670 Wilshire Boulevard, Los Angeles, CA 90036-3648, (213) 965-3998. District Offices: Celia Moore, 33 Arch Street, 23rd Floor, Boston, MA 02110-1424, (617) 573-8900; Michale Novakovic and Nancy Carrieri, The Mellon Independence Center, 701 Market Street, Philadelphia, PA 19106-1532, (215) 597-3100; Vellamaray Graham, Suite 1000, 3475 Lenox Road, N.E., Atlanta, GA 30326-1232, (404) 842-7600; Barbara Ray, Suite 800, 801 Cherry Street, Fort Worth, TX 76102, (817) 978-6465; 15 W. South Temple Street, Suite 1800, Salt Lake City, UT 84101, (801) 524-5796; and Cheryl M. Lawson and Susan Lee, Suite 2600, 44 Montgomery Street, San Francisco, CA 94104, (415) 705-2500.

### Headquarters Office:

Office of Investor Education and Assistance, Securities and Exchange Commission, 100 F Street, N.E., Washington, DC 20549-0213. Telephone: (202) 551-6551; Facsimile: (202) 772-9295. The public may submit questions and complaints electronically using our online question and complaint forms at <http://www.sec.gov/complaint.shtml>.

### Web Site Address:

<http://www.sec.gov>.

### RELATED PROGRAMS:

36.001, Fair Competition Counseling and Investigation of Complaints.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.



# SMALL BUSINESS ADMINISTRATION

## 59.006 8(A) BUSINESS DEVELOPMENT PROGRAM

(Section 8(a) Program)

### FEDERAL AGENCY:

SMALL BUSINESS ADMINISTRATION

### AUTHORIZATION:

Small Business Act of 1953, as amended, Section 8(a), 15 U.S.C. 634(b)(6), 636(j), 637(a) and (d); Public Laws 95-507 and 99-661, Section 1207; Public Laws 100-656 and 101-37.

### OBJECTIVES:

To foster business ownership by individuals who are both socially and economically disadvantaged; and to promote the competitive viability of such firms by providing business development assistance including, but not limited to, management and technical assistance, access to capital and other forms of financial assistance, business training and counseling, and access to sole source and limited competition Federal contract opportunities, to help the firms to achieve competitive viability.

### TYPES OF ASSISTANCE:

Provision of Specialized Services.

### USES AND USE RESTRICTIONS:

This program utilizes authority provided to SBA under Section 7(j) and 8(a) of the Small Business Act to enter into procurement contracts with other Federal agencies and to subcontract the performance of these contracts to eligible program participants, and to provide access to capital and other forms of financial assistance, and to provide business training and counseling.

### Applicant Eligibility:

Firms applying for 8(a) program participation must meet certain requirements which include, but are not limited to: (a) Status as a small business; (b) at least 51 percent unconditional ownership, control and management of the business by an American citizen(s) determined by SBA to be socially and economically disadvantaged, or by an economically disadvantaged Indian Tribe, Alaska Native Corporation, or Native Hawaiian Organization; and (c) demonstrated potential for success; and (d) possess good character. Absent evidence to the contrary, the following individuals are presumed to be socially disadvantaged: African Americans, Hispanic Americans, Native Americans, Asian Pacific Americans and Subcontinent Asian Americans. Individuals who are not members of the named groups may establish their social disadvantage on the basis of a preponderance of evidence of personal disadvantage stemming from color, national origin, gender, physical handicap, long-term residence in an environment isolated from the American society, or other similar cause beyond the individual's control. Economic disadvantage must be demonstrated on a case-by-case basis.

### Beneficiary Eligibility:

Socially and economically disadvantaged individuals and small businesses owned and operated by such individuals; economically disadvantaged Indian tribes including Alaskan Native Corporations and economically disadvantaged Native Hawaiian organizations.

### Credentials/Documentation:

Documentation to establish that all program eligibility criteria are met.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Electronic application to SBA offices through SBA's webpage at [www.sba.gov](http://www.sba.gov). Detailed instructions, and if necessary, assistance in completing application is available at SBA District offices and on SBA's home page at <http://www.sba.gov>.

### Award Procedure:

Applicant is notified of program participation approval or decline by a letter from the SBA headquarters office. Broad range of business development assistance, including procurement, and access to capital and other forms of financial assistance and business training and counseling is provided to approved program participants.

### Deadlines:

Applications for program participation are accepted on an ongoing basis.

### Range of Approval/Disapproval Time:

Approximately 90 days.

### Appeals:

Within 45 days of the date of decline letter, applicant has right to request that the decision be reconsidered. For applications declined solely on the basis of negative finding with regard to social disadvantage, economic disadvantage, ownership or control of business by socially or economically disadvantaged individuals, the applicant within 45 days of the date of the decline letter or reaffirmation of decline, has a right to appeal the decision to the SBA's Office of Hearing and Appeals.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Maximum of 9 years.

### Reports:

Annual business financial statements; annual business plan update; annual personal financial statements for each disadvantaged owner; annual certification of continuing compliance with program eligibility criteria; records of all payments, compensation and distributions made by the participant firm to each of its owners or to any person or entity affiliated with such owners; and other reports deemed necessary by SBA.

### Audits:

Program participation audits as needed to evaluate progress. Contract audits as and when required by Federal Acquisition Regulations.

### Records:

Standard business/accounting records.

### Account Identification:

73-0100-0-1-376.

### Obligations:

FY 07 \$41,191,000; FY 08 est \$44,550,000; and FY 09 \$48,320,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2001, 32,091 contract actions valued at approximately \$6.59 billion were awarded to companies participating in the program.

### REGULATIONS, GUIDELINES, AND LITERATURE:

SBA Rules and Regulations, 13 CFR Section 124, SOP 80-05-02.

### Regional or Local Office:

Initial contact should be made with the field offices listed in Appendix IV of the Catalog.

### Headquarters Office:

Associate Administrator for 8(a) Business Development, Small Business Administration, 409 Third Street, S.W., Washington, DC 20416.

### Web Site Address:

<http://www.sba.gov>.

### RELATED PROGRAMS:

11.800, Minority Business Enterprise Centers; 59.007, 7(j) Technical Assistance; 59.009, Procurement Assistance to Small Businesses; 59.011, Small Business Investment Companies.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 59.007 7(J) TECHNICAL ASSISTANCE

### FEDERAL AGENCY:

SMALL BUSINESS ADMINISTRATION

### AUTHORIZATION:

Small Business Act of 1953, as amended, Section 7(j), Public Law 85-536, as amended.

### OBJECTIVES:

The purpose of the program is to provide Business Development Assistance for Socially and Economically Disadvantaged Businesses. SBA performs this mission by entering into grants, cooperative agreements and contracts with qualified service providers who have the capability to provide business development assistance to eligible businesses and individuals under Sections 7(i), 7(j) and 8(a) of the Small Business Act.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements or Contracts).

### USES AND USE RESTRICTIONS:

Financial assistance under this Section may be given for projects that respond to requirements as outlined in each respective program solicitation announcement, or for an unsolicited proposal that could provide valuable business development assistance for 8(a) and other socially and economically disadvantaged small businesses and individuals. Types of business development assistance may include: Accounting and marketing services, proposal/bid preparation workshops, feasibility studies, marketing/presentation analyses and advertising expertise, loan packaging, industry specific technical assistance and other specialized management training and technical services. The program funds can also be used to establish and strengthen business service agencies, including trade associations and cooperatives. The 7(j) program funds are not available to finance or purchase a business nor are they available to use as expansion capital for an existing business.

### Applicant Eligibility:

Educational institutions, public or private organizations and businesses, individuals, State and local governments, Indian tribes and lending and financial institutions and sureties that have the capability to provide the required business development assistance.

**Beneficiary Eligibility:**

8(a) program certified firms, small disadvantaged businesses, businesses operating in areas of low-income or high-unemployment, and firms owned by low-income individuals.

**Credentials/Documentation:**

As specified in the individual "Request for Application Proposals." Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB circular No. A-21 for educational institutions.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application proposal forwarded to District Office Director for appropriate geographic area. (See Appendix IV under Small Business Administration for a listing of field Offices.) The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program by State and local governments. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Decisions on acceptance are made by the Office of Procurement and Grants Management based upon recommendations of the Assistant Administrator for Management and Technical Assistance, Office of Business Development. The Grants Management Officer notifies successful applicants by Notice of Award.

**Deadlines:**

As announced within individual "Request for Application Proposals."

**Range of Approval/Disapproval Time:**

Variable.

**Appeals:**

None.

**Renewals:**

Contact the Federal agency.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made for a maximum of 1 year with options as stated in the individual announcements. Disbursements are made within a few days of receipt of all required documents along with the request for disbursement. Disbursements are made in partial payments based on work successfully performed.

**Reports:**

Program and fiscal reports, as described in each award. A final report is also due within 30 days after completion of agreement.

**Audits:**

Pre-award accounting system survey. Final audit by a certified or licensed public accountant. Other audits are required by SBA. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Appropriate records as needed for above requirements.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Administration: FY 07 \$3,340,000; FY 08 \$4,670,000; and FY 09 \$3,756,000.

**Range and Average of Financial Assistance:**

Amount subject to negotiation commensurate with management and technical assistance to be provided.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2001, 14 cooperative agreements and 3 contracts were awarded thereby providing management and technical assistance to approximately 3,000 7(j) eligible clients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact sheet upon request.

**Regional or Local Office:**

SBA District Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator for Management and Technical Assistance, Office of Business Development, 409 3rd Street, S.W., Washington, DC 20416.  
Telephone: (202) 205-7343.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

As described in each announcement.

**59.008 DISASTER ASSISTANCE LOANS**

(7(b) Loans (DL))

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, Section 7(b)(1), as amended, Public Law 85-536, 15 U.S.C. 636(B)(1); Disaster Relief Act of 1970, Sections 231, 234, 235 and 237, Public Law 91-606, 42 U.S.C. 4401; Public Laws 93-24, 94-305, 95-89, 96-302, 97-35, 98-166, 98-270, 99-272, 99-349, 100-590, 102-27, 102-395, and 103-75.

**OBJECTIVES:**

To provide loans to the victims of declared disasters for uninsured or otherwise uncompensated physical damage.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Loans made to homeowners, renters, businesses of all sizes, and nonprofit organizations to repair or replace damaged or destroyed real property and/or personal property to its pre-disaster condition. Credit elsewhere test required for all applicants to determine interest rate. Loans to homeowners/tenants are made for up to 30 years. Limit of \$200,000 for repair/replacement of real property; \$40,000 for repair/replacement of personal property. The loan limit may be increased by 20 percent to provide protective measures from damages caused by physical disasters. The interest rate for homeowners/tenants who have credit available elsewhere is determined by a formula based on the cost of money to the U.S. Government, but not to exceed 8 percent. The interest rate for homeowners/tenants who do not have credit available elsewhere is one-half of the formula rate, but not to exceed 4 percent. Loans to business may not exceed \$1,500,000. For businesses determined to be able to obtain credit elsewhere, the interest rate is based on a statutory formula, but not to exceed 8 percent, with maturities not to exceed 3 years. For nonprofit organizations determined to be able to obtain credit elsewhere, the interest rate is based on a statutory formula, with maturities not to exceed 30 years. For businesses and nonprofit organizations determined to be unable to obtain credit elsewhere, the interest rate may not exceed 4 percent, with maturities up to 30 years. Under certain circumstances, homeowners and businesses may be eligible for refinancing of existing liens. There are statutory restrictions on the use of funds for voluntary relocation. In the case of a Major Source of Employment, the \$1,500,000 limitation on disaster business loans may be waived. Provisions of Flood Disaster Protection Act of 1973 and the National Flood Insurance Reform Act of 1994 apply. Collateral is required on loans greater than \$10,000.

**Applicant Eligibility:**

Eligible applicants must have suffered physical property loss as a result of a disaster which occurred in an area declared by the President or SBA. They must also demonstrate an ability and willingness to repay the loan. Individuals, business concerns, charitable and nonprofit organizations are eligible to apply for assistance.

**Beneficiary Eligibility:**

Individuals, business concerns, charitable and nonprofit organizations. Agricultural enterprises are ineligible.

**Credentials/Documentation:**

A signed loan application, financial information, and a signed IRS Form 8821 to enable SBA to obtain tax return information from IRS for the three years prior to the disaster (one year for homeowners and renters). Complete copies of Federal Tax returns for the past three years for business applicants. Financial information on principals and affiliates for business applicants.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Whenever feasible, interviews are held with disaster victims and the program is explained. Assistance on filing of application is provided.

**Application Procedure:**

Application is made on a standard form for either a home or business loan and filed by mail or with the nearest SBA Disaster office.

**Award Procedure:**

Applicant is notified of approval by authorization letter from SBA.

**Deadlines:**

Eligibility to file terminates 60 days from the date of the disaster declaration, unless extended by SBA.

**Range of Approval/Disapproval Time:**

Generally, from 7 to 21 days depending on complexity of case and availability of resources.

**Appeals:**

Reconsideration of a declined application can be requested within 6 months of the initial decline, and appealed within 30 days from the reconsideration decline.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Funds must be disbursed within six months of authorization of the loan, unless extended.

**Reports:**

All borrowers must maintain records on how loan proceeds are used for 3 years after last disbursement.

**Audits:**

Not applicable.

**Records:**

Complete financial records must be maintained by business borrower.

**Account Identification:**

73-1152-0-1-453.

**Obligations:**

Administration - FY 07 \$323,853,000; FY 08 \$230,982,000; and FY 09 \$191,776,000. Loan Program - FY 07 \$1,663,000,000; FY 08 \$959,000,000; and FY 09 \$1,061,000,000. Loan Subsidies: FY 07 \$290,000,000; FY 08 \$155,800,000; and FY 09 \$158,300,000.

**Range and Average of Financial Assistance:**

Direct home loans up to a \$240,000 limit plus \$200,000 additional in some special cases to refinance existing liens and \$48,000 additional for protective measures. Direct business loans up to \$1,500,000 with additional amounts available for major employment. In fiscal year 2004, average loans were: \$25,097 (Home); \$75,313 (Business).

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2004, 25,024 loans were made for \$883,490,400.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Part 123; "Disaster Loans for Homes and Personal Property," DA-1: "Physical Disaster Business Loans," DA-2.

**Regional or Local Office:**

For reference to the Disaster Area Office, see Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

Office of Disaster Assistance, Small Business Administration, 409 3rd Street, S.W., Washington, DC 20416. Program Contact: Herbert Mitchell. Telephone: (202) 205-6734. E-Mail: [disaster.assistance@sba.gov](mailto:disaster.assistance@sba.gov).

**Web Site Address:**

<http://www.sba.gov/DISASTER>.

**RELATED PROGRAMS:**

10.404, Emergency Loans; 59.002, Economic Injury Disaster Loans; 97.022, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 59.009 PROCUREMENT ASSISTANCE TO SMALL BUSINESSES

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, Sections 2, 8, 9, and 15, Public Law 85-536, as amended, 15 U.S.C. 631, 637, 698 and 640; Economic Opportunity Act of 1964, Sections 401, 402, 406 and 407, Public Law 88-452, as amended, 42 U.S.C. 2901, 2902, 2906b, and 2906c; Section 501, Public Law 95-89; Section 502, 15 U.S.C. 644; Public Law 95-507, Section 221; Public Laws 98-577, 98-369, 100-590, 100-656, 101-515, 101-574, 103-355, 103-403, 106-50, 106-554, and 108-183.

**OBJECTIVES:**

To assist small business in obtaining a "fair" share of contracts and subcontracts for Federal government supplies and services and a "fair" share of property sold by the government.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Assistance includes: (1) Application of small business set-asides (restriction of bidding/award to small business only) to increase the Federal procurement and disposal requirements awarded to small business; (2) consultation with procuring activities on structuring of procurement and sales planning to optimize small business participation; (3) review and analysis of small firms capacity, credit, integrity, perseverance, and tenacity when challenged by contracting officers and certifying competence of such firms to perform as prime contractors, as appropriate, and monitoring performance of certificate of competency holders throughout contract life; (4) review of subcontracting plans and programs of large prime contractors to determine the extent that they are providing subcontracting opportunities to small, veteran-owned, service-disabled veteran-owned, HUBZone, small disadvantaged, and women-owned small businesses; (5) consultation and advice for small firms requesting assistance on government procurement or property sales matters; (6) assistance in specific contract administration problems; (7) determination of small business eligibility for SBA's procurement and financial programs; (8) advocate breakout of items

from sole source for procurement through full and open competition in order to achieve savings; (9) review small business program at Federal procuring activities to evaluate effect on small business participation and recommend changes; and (10) management of the Central Contractor Registration's Dynamic Small Business Search, a nationwide Internet database of information on small business, a marketing tool for small firms and a "link" to procurement opportunities.

**Applicant Eligibility:**

Existing and potential small businesses are eligible to apply. A small business is a business entity organized for profit, with a place of business located in the United States and which makes a significant contribution to the U.S. economy through payment of taxes and/or use of American Products, materials and/or labor. Generally, an employee based size standard not in excess of 500 employees is used for manufacturers for wholesalers, average employment not in excess of 500 is used; for general construction, a revenue based size standard not over \$28,500,000 is used; for specialty trade construction, revenues not over \$12,000,000 is used; for retail and services contracts, revenues not over \$6,000,000 is used; and for agricultural enterprises, gross annual sales not over \$750,000 is used.

**Beneficiary Eligibility:**

Existing and potential small businesses will benefit.

**Credentials/Documentation:**

Self-certification of documentation is sufficient for representation as a small business, women-owned small business, veteran-owned small business and service-disabled veteran-owned small business. SBA certification is required for status as a HUBZone small business, 8(a) small business, and Small Disadvantaged Business.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Forms to obtain necessary assistance are provided by SBA field offices.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The range is about 15 days for certificate of competency; no approval is required on other programs.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

There is no time restriction for small businesses.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Administrative Expenses: FY 07 \$28,148,000; FY 08 \$32,924,000; and FY 09 \$31,784,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2004, \$11.2 billion in government prime contracts was set-aside for procurement limited to small businesses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 13, Code of Federal Regulations, Part 125; "Government Contracting Programs;" Government Contracting home page on the Internet at <http://www.sba.gov/gc> and information from SBA offices. (See listing of field offices in Appendix IV of the Catalog.)

**Regional or Local Office:**

Initial contact should be made with the field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator for Government Contracting, Small Business Administration, 409 3rd Street, S.W., Washington, DC 20416. Telephone: (202) 205-6460.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

17.301, Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303, Wage and Hour Standards; 36.001, Fair Competition Counseling and Investigation of Complaints; 39.001, Business Services; 43.002, Technology Transfer; 59.006, 8(a) Business



Development Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**59.011 SMALL BUSINESS INVESTMENT COMPANIES**

(SBIC; SSBIC)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Investment Act of 1958, as amended, Public Law 85-699, 15 U.S.C. 681 et seq.

**OBJECTIVES:**

To establish privately owned and managed investment companies, which are licensed and regulated by the U.S. Small Business Administration; to provide equity capital and long term loan funds to small businesses; and to provide advisory services to small businesses.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

The investment companies provide management and financial assistance on a continuing basis to eligible small business concerns. Financial assistance is provided by making long-term loans to these small concerns, and/or by the purchase of debt or equity type securities issued by these firms. Emphasis is on providing assistance to the pioneering, innovating-type concerns developing new products, processes, and markets. Specialized investment companies organized/licensed under former Section 301(d) of the authorizing statute (SSBICs) must restrict eligibility of small concerns financed by such investment companies to those owned and operated by individuals whose participation in the free enterprise system has been hampered by social or economic disadvantages. Debentures and participating securities are issued by the SBIC and guaranteed by SBA for a term not to exceed ten years. All investment companies generally may not self-deal, finance "big business," or invest over 20 percent (30 percent for SSBICs) of private capital in any single small concern.

**Applicant Eligibility:**

Any chartered small business investment company having private capital of not less than \$3,000,000 (for those choosing to not receive leverage from SBA) or \$5 million (for those receiving leverage from SBA), having qualified management, and giving evidence of sound operation, and establishing the need for SBIC financing in the geographic area in which the applicant proposes to operate.

**Beneficiary Eligibility:**

Individual businesses (single proprietorship, partnership or corporation) which satisfy the established criteria of a small business. SSBICs beneficiary must also be a business owned and operated by socially or economically disadvantaged individuals.

**Credentials/Documentation:**

An investment company must be chartered as a corporation, limited partnership (with individuals, corporation, partnership, or limited liability company as general partner), or limited liability company. Determination is made as to need in area, general business reputation and character of proposed owners and management and probability of successful operations. All loans to, or investments in, small concerns shall be of such sound value as reasonable to assure repayment.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Request information and appropriate forms from SBA's Investment Division. Complete application requirements and submit with required application fee to SBA's Investment Division.

**Award Procedure:**

Applicant is notified by issuance of a license from the Investment Division of the Small Business Administration.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Average of 180 days.

**Appeals:**

Proponents may reapply at any time.

**Renewals:**

None.

**Formula and Matching Requirements:**

An SBIC or an SSBIC in good standing, with a demonstrated need for funds, may receive leverage based on its private capital. An SBIC or SSBIC may receive leverage of as much as 300 percent of its private funds. The maximum amount of leverage varies according to the SBIC's private capital. The maximum amount of leverage is currently \$130,600,000. This amount is

adjusted annually for increases in the Consumer Price Index. To obtain leverage, SBICs issue their debentures or participating securities which are guaranteed by SBA. Pools of the SBA-guaranteed debentures or participating securities are formed, and SBA-guaranteed participation certificates, representing an undivided interest in the pools, are sold to investors through a public offering. Under current procedures, regular SBIC debentures have a term of 10 years, and they provide for semi-annual interest payments and a lump-sum principal payment at maturity. Debentures may be prepaid with a penalty during the first five years of their term or without penalty thereafter. The debenture rate is determined by market conditions at the time of the sale. As with debentures, the rate on participating securities is based on the 10-year Treasury-yield curve. However, the participating security provides for payment of dividends or interest and profit participation to SBA only when an SBIC has earnings, as defined by regulation. A unique feature of the participating securities is that SBA shares in the profits of the SBIC.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Financial report (annual); program financing reports; any other report furnished to stockholders.

**Audits:**

Annual audit by a certified public accountant and periodic examinations by SBA personnel.

**Records:**

Current financial records, minutes of meetings of stockholders, general partners, directors, executive committees, and time spent and charges made for management consulting services performed must be maintained for 6 years.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

SBIC Debenture Guarantees: FY 07 \$707,470,000; FY 08 \$3,000,000,000; and FY 09 \$3,000,000,000. Administrative Expenses: FY 07 \$4,382,000; FY 08 5,195,000; and FY 09 \$5,377,000.

**Range and Average of Financial Assistance:**

SBIC and SSBIC Leverage: \$50,000 to \$130,600,000. Average: \$19,300,000.

**PROGRAM ACCOMPLISHMENTS:**

As of September 2007, the SBA portfolio of active companies was composed of 369 SBICs with capital resources of \$18.6 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Chapter I, Part 107.

**Regional or Local Office:**

None.

**Headquarters Office:**

Associate Administrator for Investment, Investment Division, Small Business Administration, 409 Third Street, S.W., Washington, DC 20416. Telephone: (202) 205-6510. Use the same number for FTS.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

59.006, 8(a) Business Development Program; 59.037 Small Business Development Centers; 59.043 Women's Business Ownership Assistance; 59.044 Veterans Business Development; 59.052 Native American Outreach.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**59.012 7(A) LOAN GUARANTEES**

(Regular Business Loans 7(a) Loans)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, Section 7(a), as amended, Public Law 97-35.

**OBJECTIVES:**

To provide guaranteed loans from lenders to small businesses which are unable to obtain financing in the private credit marketplace, but can demonstrate an ability to repay loans if granted, in a timely manner. Guaranteed loans are made available to for profit small businesses. The SBA's 7(a) lending authority includes: (1) regular 7(a) (2) the Low Documentation Loan Program (Low Doc); (3) SBAExpress Program; (4) the Cap Line Program (5) PLP and (6) International Trade.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans (including Immediate Participation Loans).

**USES AND USE RESTRICTIONS:**

To construct, expand, or convert facilities; to purchase building equipment or materials; and for working capital. Excludes gambling establishments, nonprofit enterprises, speculators in property, lending or investment enterprises, and financing of real property held for investment; also excludes funds to indiscriminately relocate the business. Funds must not otherwise be available on

reasonable terms, nor used to pay off a loan to an unsecured creditor who is in a position to sustain loss.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Small businesses that meet the size and eligibility standards.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are filed by the participating lender to an SBA processing center (85 percent). Fifteen percent are processed by an SBA district office.

**Award Procedure:**

Applicant is notified by authorization letter from the District SBA Office, or participating bank.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From one to ten days from date of application acceptance, depending on type of loan and type of lender program.

**Appeals:**

If a reconsideration is requested within six months after decline or withdrawal, no new application is required.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Periodic financial statement.

**Audits:**

When necessary, on a case-by-case basis.

**Records:**

Adequate accounting system.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

Loan Guarantees: FY 07 \$13,517,000,000; FY 08 \$17,500,000,000; FY 09 \$17,500,000,000. Administration: FY 07 \$41,822,000; FY 08 \$43,942,000; and FY 09 \$48,027,000.

**Range and Average of Financial Assistance:**

Guarantee Loans: Up to \$2,000,000. Average loan size was \$143,492 in FY 2007.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 99,607 loans were approved for \$14.3 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"SBA Business Loans from the SBA," OPC-6.

**Regional or Local Office:**

Initial contact should be with the District Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Financial Assistance, Small Business Administration, 409 Third Street, SW., Washington, DC 20416. Telephone: (202) 205-7562.

**Web Site Address:**

<http://www.sba.gov/financing>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 59.016 SURETY BOND GUARANTEES

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Investment Act of 1958, Title IV, Part B, Sections 410 and 411, as amended, 15 U.S.C. 687 b and c, 15 U.S.C. 694 a and b, Inspector General Act of 1978, 5 U.S.C. Appendix I, Public Law 108-447.

**OBJECTIVES:**

To guarantee surety bonds issued by commercial surety companies for small businesses unable to obtain a bond without an SBA guarantee. The guarantees range between 70 and 90% and cover losses and expenses incurred by a participating surety should the small business default on the contract.

**TYPES OF ASSISTANCE:**

Insurance (Guaranteed Surety Bonds).

**USES AND USE RESTRICTIONS:**

Contracts not exceeding \$2 million, where a surety bond is required but not

obtainable privately without an SBA guarantee. Guarantee is for bid, payment, and performance bonds (and ancillary bonds incidental to the performance of a specific contract). It is provided directly to the surety for a particular contract. Under the Prior Approval program, sureties must apply to SBA for each guarantee. Sureties in the Preferred Bond Program are empowered to issue, service, and monitor bonds without prior SBA approval.

**Applicant Eligibility:**

Guarantees are limited to those surety companies holding certificates of authority from the Secretary of the Treasury as an acceptable surety for bonds on Federal contracts. Specific criteria apply to the Prior Approval and PSB Sureties.

**Beneficiary Eligibility:**

For Federal contracts, a small business is eligible for the surety bond program if it qualifies as a small business under Code of Federal Regulations Subpart 121, Size Eligibility Provisions and Standards. For State, local, and commercial contracts, a small business is eligible if its average annual revenues do not exceed \$6.5 million.

**Credentials/Documentation:**

Application and supplement information.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A small business must apply directly to a surety agent who represents a participating surety company. The application includes background, credit, and financial information. Under the Prior Approval Program, the surety company deals directly with the SBA Area Office concerning the bond guarantee. Headquarters, Area and District SBA Offices serve as contact points for program information purposes.

**Award Procedure:**

Under the Prior Approval Program, SBA notifies the surety company of SBA's approval of the guarantee and furnishes the surety with written authorization. Surety company (or agent/broker) notifies the bond applicant and issues the bond. Preferred sureties issue bonds guaranteed by SBA without SBA's prior approval. Prior approval and PSB sureties remit 26 percent of the premium they charge small businesses to SBA. Small businesses pay SBA a fee of .729% of the contract price.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The goal for completing the review of a bond guarantee application is 3 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Guarantee runs to termination of bond (usually completion of contract).

**Reports:**

Monthly Internal SBA Reports.

**Audits:**

SBA has the right to audit its accounts with any participating surety. Each participating PSB surety must be audited every three years.

**Records:**

SBA Headquarters maintains records on contractors in default and/or claim status (including recoveries on paid claims) as furnished by sureties. SBA Headquarters and each SBA Area Office have information about participating small businesses for its assigned geographic area.

**Account Identification:**

73-4156-0-3-376.

**Obligations:**

Guarantee Program: FY 07 \$547,000,000; FY 08 \$1,000,000,000; and FY 09 \$1,000,000,000. Subsidies: FY 07 \$2,824,000; FY 08 \$3,000,000; and FY 09 \$2,000,000. Administration: FY 07 \$6,926,000; FY 08 \$7,553,000; and FY 09 \$8,094,000.

**Range and Average of Financial Assistance:**

Size range of contracts awarded and bonded, \$475 to 2,000,000; Average Contract: \$325,000; Average Guarantee: \$325,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2004, 5,809 bid bond applications were approved and 1,617 final bond guarantees were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR 115.

**Regional or Local Office:**

Applicants must contact a local agent or broker of surety bonds. General program particulars may be obtained from SBA Area Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Surety Guarantees, Small Business Administration, 409 3rd Street, S.W., Washington, DC 20416. Contact: Johnnie Albertson. Telephone: (202) 205-6540.

**Web Site Address:**

<http://www.sba.gov/osg>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**59.026 SERVICE CORPS OF RETIRED EXECUTIVES**

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, as amended, Public Law 95-510, 15 U.S.C. 637.

**OBJECTIVES:**

To use the management experience of retired and active business management professionals to counsel and train potential and existing small business owners. All client counseling information is confidential.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Training.

**USES AND USE RESTRICTIONS:**

SCORE members volunteer their small business counseling and mentoring services to the public free of charge. Small business training workshops are offered for a low fee. SCORE is a resource partner with the Small Business Administration and works with the agency to serve aspiring and existing small business owners. A small business owner interested in getting help from SCORE should contact the local chapter, the SBA District Office, or SCORE's website, [www.score.org](http://www.score.org). The SCORE national office and the Small Business Administration's field offices can make referrals. Counseling is also available from the SCORE web site at [www.score.org](http://www.score.org). SCORE volunteers are reimbursed for out-of-pocket expenses and do not accept compensation for counseling.

**Applicant Eligibility:**

All existing and potential small business owners are eligible. The business must be independently owned and operated, and not dominant in its field, and must conform to SBA size standards.

**Beneficiary Eligibility:**

Small business people benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Personal or written application (SBA Form 641, Request for Counseling).

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length varies as appropriate.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Grants: FY 07 \$4,936,000; FY 08 \$4,950,000; and FY 09 \$4,950,000.  
Administrative Expenses: FY 07 \$4,863,000; FY 08 \$5,080,000; FY 09 \$5,272,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Since SCORE was established in 1964, it has helped 7 million people start or grow their small business. SCORE links volunteer business professionals, who have management expertise, with the owners/managers of small businesses and community organizations in need of management counseling. There are approximately 11,500 SCORE volunteers serving in all 50 States and U.S. possessions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Act, SOP 60-10-2A, SCORE Operating Manual, Counselor's Professional Development Program Annual Report and Brochures.

**Regional or Local Office:**

The initial contact can be made directly with SCORE chapters, with SBA District Office, or with the SCORE website at [www.score.org](http://www.score.org). See Appendix IV of the Catalog.

**Headquarters Office:**

National SCORE Association Office, 1175 Herndon Parkway, Suite 900 Herndon, VA 20170. Telephone: (202) 205-6762.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**59.037 SMALL BUSINESS DEVELOPMENT CENTERS**

(SBDC)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, Section 21, as amended, Public Laws 96-302, 98-395 and 105-135.

**OBJECTIVES:**

To provide management counseling, training, and technical assistance to the small business community through Small Business Development Centers (SBDCs).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Funds restricted to the use of assisting small businesses.

**Applicant Eligibility:**

SBA is authorized to make grants (including contracts and cooperative agreements) to any public or private institution of higher education, including but not limited to any land-grant college or university, any college or school of business, engineering, commerce, or agriculture, community college or junior college. SBA is also authorized to renew the funding of other entities currently funded as SBDCs providing SBA affirmatively determines that such applicants have their own budget and will primarily utilize institutions of higher education to provide the services to the small business community.

**Beneficiary Eligibility:**

Current and potential Small business persons.

**Credentials/Documentation:**

Documentation must include approval and support of the proposal from the State government for state hosted SBDCs. Documentation should also include, but not be limited to: (a) Endorsement of the proposal by State officials; (b) endorsement of the proposal by the university hierarchy; and (c) a statement of commitment by the agencies and organizations listed as resources in the proposal.

**Preapplication Coordination:**

Submission of proposal (including State endorsement) to the Central Office of SBA through [www.grants.gov](http://www.grants.gov). The standard application forms as furnished by the Small Business Administration and required by the Code of Federal Regulations Chapter 13, Part 143 (13 CFR 143) must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All eligible entities within a State interested in establishing an SBDC should coordinate with each other in order to develop a proposal for a statewide SBDC service plan. This program is subject to the provisions of 13 CFR 143 (for State and local governments) and A-110 for institutions of higher education and nonprofit organizations. The proposal should be submitted to the local SBA District Office, listed in Appendix IV of the Catalog.

**Award Procedure:**

Central Office of SBA executes cooperative agreements to approved applicants.

**Deadlines:**

Refer to the SBDC Program Announcement located at [www.sba.gov/sbdc](http://www.sba.gov/sbdc).

**Range of Approval/Disapproval Time:**

Varies with individual proposals.

**Appeals:**

Varies with individual proposals.

**Renewals:**

This program is on-going and is renewed annually subject to availability of funds. SBDCs are required to update their proposal and submit a current year budget.



**Formula and Matching Requirements:**

The SBA will provide funds, the amount being determined on a pro-rata share of of approximately \$89,000,000 based on the population to be served by the SBDC as compared to the total population in the United States, with no State receiving less than \$500,000, or whichever is greater. The entity generally is required to provide nonfederal funds of at least a 1:1 match, although additional funds may also be contributed by nonfederal sources. At least 50 percent of matching funds must be in cash; the balance may be made up of in-kind contributions and indirect costs. Occasionally legislation will not require matching funds.

**Length and Time Phasing of Assistance:**

Cooperative agreements are usually limited to 1 year. Payments are made by cost reimbursement or in advance as specified in the Notice of Award.

**Reports:**

Quarterly or semi-annual reports to the local SBA office no later than 30 days following the end of the required time period. A final report is due 90 days after the end of the cooperative agreement year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The SBDC shall maintain detailed, complete, and accurate client activity records of a sufficiency to reflect clearly the nature and variety of the SBDC service provided. Financial records must be maintained until 3 years after the completion of the grant project or submission of the final report, whichever is later.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Grants: FY 07 \$88,973,000; FY 08 \$97,120,000; and FY 09 \$87,120,000. Administration: FY 07 \$12,268,000; FY 08 \$13,348,000; and FY 09 \$14,480,000.

**Range and Average of Financial Assistance:**

From \$500,000 to \$5,927,231. Average: \$1,298,246.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2004, SBDCs reported that they counseled 279,905 individuals and provided 27,371 training sessions to 445,894 people.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBDC Program Announcement, SBDC Policy Guidelines, SBDC Handbook for SBA Project Officers.

**Regional or Local Office:**

For addresses of the field offices, see Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

Small Business Administration, Office of Small Business Development Center, 409 Third Street, S.W., 6th Floor, Washington, DC 20416. Telephone: (202) 205-6766 Fax: (202) 205-7727.

**Web Site Address:**

<http://www.sba.gov/sbdc>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Ability to match funds (2) Ability to provide technical assistance, training, counseling, and specialized services to the small business community, and (3) State approval.

**59.041 504 CERTIFIED DEVELOPMENT LOANS**

(504 Loans)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Investment Act of 1958, as amended, Title V, Section 504 and 505, Public Law 85-699, 15 U.S.C. 696; Public Law 100-590.

**OBJECTIVES:**

To assist small business concerns by providing long-term, fixed-rate financing for fixed assets through the sale of debentures to private investors.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Loans are to assist small businesses in the acquisition of land and buildings; the construction, expansion, renovation or modernization of buildings; or the acquisition and/or installation of machinery and equipment. Loans may have

either a 10 or 20-year term.

**Applicant Eligibility:**

Certified Development Companies (CDCs) package, close, and service these SBA-guaranteed loans to small businesses. A CDC must be incorporated under general State corporation statute, on a nonprofit basis, for the purpose of promoting economic growth in a particular area.

**Beneficiary Eligibility:**

Small businesses must be independently owned and operated for profit. More specific criteria defining a small business are established by the Small Business Administration. Refer to 59.012 for general eligibility requirements. Size standards can be those of 59.012 or not-to-exceed \$6 million net worth and \$2 million net profit (averaged over 2 years).

**Credentials/Documentation:**

To become a Certified Development Company (CDC), the applicant should include the following information: (1) Name and address of applicant; (2) type of CDC, State or local; (3) area of operation; (4) list of members or stockholders with address, occupation and telephone number; (5) list of officers and directors; (6) SBA Form 1081 on all officers, directors, and staff; (7) certified statement that no member or stockholder controls more than 10 percent of the voting control; (8) resume' on each officer and director; (9) the name of each individual who provides the CDC with the professional staff capability; (10) if contracted out, a copy of the contract is required to be submitted to SBA; (11) proof of compliance of representatives from the following groups; local government, private sector lending institution, community organization and business concern; (12) an organization chart and operating plan; (13) a flow chart on the CDC (evaluating, packaging, processing, closing and servicing functions); (14) address and description of the place of business, telephone number and financial statement; (15) the CDC's charter and certified by-laws; (16) articles certified by the State; and (17) a resolution of the Board of Directors certified by a corporate officer in which a company resolves to become a CDC, naming the person who is authorized to execute all documents.

**Preapplication Coordination:**

Approval by a Certified Development Company. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Loan applications must be made on SBA Form 1244 and requirements set forth thereon must be fully complied with by the Certified Development Company and the small business being assisted.

**Award Procedure:**

CDC is notified in writing by the SBA Office. CDC notifies applicant.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Within 10 working days after formal acceptance of application.

**Appeals:**

Requests for reconsideration of a declined loan will be granted at any time within 6 months from the date of decline, providing that reasonable evidence is submitted to substantially overcome the stated reasons for decline.

**Renewals:**

None.

**Formula and Matching Requirements:**

Generally at least 10 percent of the project cost must be injected by the small business concern and 50 percent of the project cost must be provided by a private lender.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Annual financial, management and operating reports from the Certified Development Company.

**Audits:**

Small Business Administration has the right to conduct an audit of the books of the Certified Development Company and the small business concern at its discretion.

**Records:**

During the term of the loan, both the Certified Development Company and the small business concern assisted must maintain financial records and information adequately reflecting all transactions and results of operations.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

Guarantees: FY 07 \$6,282,000,000; FY 08 \$7,500,000,000; FY 09 \$7,500,000,000. Administration: FY 07 \$16,028,000; FY 08 \$16,521,000 and FY 09 \$18,041,000.

**Range and Average of Financial Assistance:**

Up to \$1,000,000. FY 2007 average loan size was \$591,785. Up to \$1.5 million reg. 504; 2) 504 meets public policy \$2.0 million; 3) small manufacturers \$4.0 million.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 10,668 loans were approved through the 504 Development Company Program for a total gross amount of \$6.31 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Rules and Regulation, Section 120.800 and 120.900; Certified Development Company Program - Program Guide.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of the Small Business Administration offices.

**Headquarters Office:**

Director, Office of Financial Assistance, Small Business Administration, 409 3rd Street S.W., Washington, DC 20416. Telephone: (202) 205-7562.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**59.043 WOMEN'S BUSINESS OWNERSHIP ASSISTANCE****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act, 2(h) and 29, 15 U.S.C. 631(h) and 656 (as amended).

**OBJECTIVES:**

To fund private, nonprofit organizations to assist, through training and counseling, small business concerns owned and controlled by women, and to remove, in so far as possible, the discriminatory barriers that are encountered by women in accessing capital and promoting their businesses.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

To establish women's business centers (WBCs) for the benefit of small business concerns owned and controlled by women. The services provided by the women's business centers must include financial, management, procurement and marketing assistance to start-up or established concerns, as well as mentoring and Internet services. Annual awards are issued through a 5-year term to successful applicants. Also, previously funded centers that have completed an award cycle may compete to receive additional funding through a 5-year term under the 4-year pilot program established under the Women's Business Center Sustainability Act of 1999 (and as extended by Congress for fiscal years 2004, 2005 and 2006).

**Applicant Eligibility:**

Private, nonprofit organizations having experience in effectively training and counseling business women. Public educational institutions and State and local governments are not eligible.

**Beneficiary Eligibility:**

Women entrepreneurs starting their own business or expanding their existing business.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are accepted in accordance with and up to the date specified in the annual program announcement as posted at [www.grants.gov](http://www.grants.gov) and [www.onlinewbc.gov](http://www.onlinewbc.gov). The applicant must complete the Application for Federal Assistance (Standard Forms 424, 424A and 424B) and submit a written proposal addressing all of the selection criteria stated in the program announcement. The applicant must submit applications/proposals electronically through [www.grants.gov](http://www.grants.gov) (free training on electronic filing is available on the site) by the application closing date.

**Award Procedure:**

Proposals of eligible applicants are evaluated by a review panel. Candidates for sustainability awards also undergo a site review. The SBA/Office of Procurement and Grants Management issues an award to each approved applicant.

**Deadlines:**

Applications/proposals must be submitted by the date indicated in the Program Announcement.

**Range of Approval/Disapproval Time:**

Within 120 days from filing deadline.

**Appeals:**

None.

**Renewals:**

Continued annual option awards are issued to successful award recipients through a five-year term without recompetition.

**Formula and Matching Requirements:**

The recipient organization must obtain contributions from non-Federal sources to match the Federal award. Up to one-half of the non-Federal matching assistance may be in the form of in-kind contributions; the remainder must be in

cash. The match requirement for recipients through the 5-year term are as follows: one non-Federal dollar for each two Federal dollars in the first and second years; and one non-Federal dollar for each Federal dollar in the third, fourth and fifth years. The match requirements for sustainability awards are: one non-Federal dollar for each Federal dollar each year through the 5-year term. The Administration may disburse up to 25 percent of each year's Federal share awarded to a recipient organization after notice of the award has been issued and before the non-Federal matching funds are obtained.

**Length and Time Phasing of Assistance:**

Initial and option year awards are issued annually, without recompetition, through the five-year grant term to compliant centers.

**Reports:**

The recipient must submit quarterly performance reports during the term of the project. These performance reports consist of two sections: data and narrative. The data section of the performance reports provides statistical information. The narrative section of the performance reports includes a comparison of actual accomplishments to the estimated milestones established for the reporting period, reasons milestones were not met, and a plan of action to address issues; and information relating to actual financial expenditures. All reports are electronically transmitted.

**Audits:**

The recipient must have an outside accountant certify the conditions of the WBC's financial management system as part of SBA's final Programmatic and Financial Examination. Also, the award recipient must comply with audit requirements as prescribed in OMB Circular No. A-133, as applicable.

**Records:**

The awardee shall maintain and submit detailed, complete and accurate client activity records to reflect clearly the nature and variety of services provided. Financial records must be kept until three years after the completion and submission of the final report.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Grants: FY 07 \$12,340,000; FY 08 \$13,000,000; FY 09 \$11,880,000.

Administration: FY 07 \$8,092,000; FY 08 \$8,848,000; FY 09 \$9,721,000.

**Range and Average of Financial Assistance:**

From \$75,000 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, training and counseling will be offered at approximately 100 centers across the nation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-110, A-122, A-21, A-133.

**Regional or Local Office:**

Women's business ownership representatives in each SBA district office. See Appendix IV of the Catalog for a listing of the Small Business Administration district and regional offices.

**Headquarters Office:**

Small Business Administration, Office of Women's Business Ownership, 409 Third Street, S.W., Washington, DC 20416. Telephone: (202) 205-6673. Use the same number for FTS. Contact: Sally Murrell.

**Web Site Address:**

<http://www.sba.gov/onlinewbc>.

**RELATED PROGRAMS:**

59.005, Internet-Based Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

A typical project funded is the Women's Economic Self Sufficiency Team in Albuquerque, NM. The project provides in-depth and quality training and counseling to women entrepreneurs at numerous locations throughout New Mexico.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in each solicitation for proposals, but including: B. EVALUATION CRITERIA FOR WBC APPLICANT TECHNICAL PROPOSAL 1. List of Evaluation Criteria a. Applicant Experience and Internal Organizational Structure. (20 Points) b. Ability of Applicant to Reach a Representative Number of Women Who Are Both Socially and Economically Disadvantaged. (10 Points) c. Needs Assessment of Target Location. (10 Points) d. Services and Activities the Applicant Plans to Offer to Start-up and Existing Small Businesses Owned or Controlled by Women; and the Applicant's Ability to Assist Clients in Addressing Sustainability and Growth Issues. (30 Points) e. Plans for Coordination with SBA and other Community and Small Business Organizations. (10 Points) f. Financial Ability (20 Points) g. Geographic Location. (10 points).

**59.044 VETERANS BUSINESS DEVELOPMENT**

(VBOP)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, Sections 8(b)(1)(A) and (B), 15 U.S.C. 637(B)(17).

**OBJECTIVES:**

To provide long term training, counseling, and mentoring to benefit small business concerns and potential small business concerns owned and controlled by eligible veterans. Eligible veterans means (A) A veteran who is entitled to compensation (or who but for the receipt of military retired pay would be entitled to compensation) under laws administered by the Secretary, (B) a person who was discharged or released from active duty because of a service-connected disability, (C) a veteran as defined in Section 101 (2) of Title 38, United States Code, or (D) a member of a reserve component of the armed forces of the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

To establish Veteran Business Outreach Centers (VBOC) for the benefit of small business concerns and potential small business concerns owned and controlled by eligible veterans.

**Applicant Eligibility:**

An eligible applicant for the VBOC Program is a responsible educational institution, private business, veterans' nonprofit community-based organization, and Federal, State and local departments and agencies for the establishment and implementation of outreach programs for veterans and service disabled veterans.

**Beneficiary Eligibility:**

First beneficiaries are eligible veterans and former POWs who seek to start and manage a small business; second beneficiaries are all others.

**Credentials/Documentation:**

Credentials and documentation can be found on the annual program announcement.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants will submit proposals based on a request for proposal (RFP). The RFP may request that the applicant apply for a grant or contract. This will be made clear at the time of the RFP is issued. Instructions for applying will be contained in the RFP document.

**Award Procedure:**

The proposal will be subject to an independent panel review. The elements of the panel review will include a review of a technical and cost proposals, each under a separate cover. The technical proposal will consist of four sections: (1) Programmatic concept, (2) understanding the problem or need, (3) coordination of resources, and (4) organizational qualifications. The cost proposal will be evaluated based on reasonableness of cost and compliance with OMB Circulars A-110 or A-112. Additionally the cost proposal must contain (1) a comprehensive development plan, (2) budget preparation, and (3) expenditures for fundraising activities may not be charged as a cost item and demonstration of adequate community based resources to achieve matching formula for nonfederal funds.

**Deadlines:**

Designated on the RFP.

**Range of Approval/Disapproval Time:**

Usually within 30 to 90 days after closing date of the RFP.

**Appeals:**

In accordance with FAR Part 33 if a contract; or not applicable if a grant.

**Renewals:**

Subject to the exercise of option years.

**Formula and Matching Requirements:**

The applicant must be capable of meeting the non-SBA matching requirements. The applicant must provide letters of commitment from other sources to certify the ability to match SBA contributions. The applicant who becomes a recipient/contractor must be prepared to report receipt of such contributions no later than the end of each program year.

**Length and Time Phasing of Assistance:**

Usually not to exceed 12 months for the basic effort and four option years. Funds are made available on a cost reimbursement basis.

**Reports:**

Quarterly performance and financial reports to the SBA Central Office no later than 30 days following the end of the quarter. A final report is due 90 days after the completion of the project year.

**Audits:**

When necessary, on a case-by-case basis.

**Records:**

The recipient should be prepared to maintain detailed, complete, and accurate client activity records of a sufficiency to reflect clearly the nature and variety of the services provided. Financial records must be maintained until 3 years after the completion of the grant project or submission of the final report, whichever is later. The recipient should be prepared to participate in the development of a program-wide intranet system.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Grants: FY 07 \$741,000; FY 08 \$743,000; and FY 09 \$743,000.

Administration: FY 07 \$3,440,000; FY 08 \$4,007,000; and FY 09 \$4,720,000.

**Range and Average of Financial Assistance:**

From \$75 to \$1,500 per client.

**PROGRAM ACCOMPLISHMENTS:**

Success stories must be published on the program-wide intranet system and/or shared with the SBA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Federal agency for more information.

**Regional or Local Office:**

For addresses of the SBA field offices, see Appendix IV of the Catalog under Small Business Administration.

**Headquarters Office:**

Associate Administrator, Office of Veterans Business Development, Small Business Administration, Fifth Floor, 409 Third Street, S.W., Washington DC 20416. Telephone: (202) 205-6773. Contact: Ramona Peyton.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

59.005, Internet-Based Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The technical proposal will consist of four sections: (1) Programmatic concept, (2) understanding the problem or need, (3) coordination of resources, and (4) organizational qualifications. The cost proposal will be evaluated based on reasonableness of cost and compliance with OMB Circulars A-110 or A-112. Additionally the cost proposal must contain (1) a comprehensive development plan, (2) budget preparation, and (3) expenditures for fundraising activities may not be charged as a cost item and demonstration of adequate community based resources to achieve matching formula for nonfederal funds.

## 59.046 MICROLOAN PROGRAM

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Public Law 102-140, Public Law 102-302, Public Law 102-366 and Public Law 105-135.

**OBJECTIVES:**

To assist women, low-income, and minority entrepreneurs, business owners, and other individuals possessing the capability to operate successful business concerns and to assist small business concerns in those areas suffering from a lack of credit due to economic downturns. Under the Program, the Small Business Administration (SBA) will make loans or provide guaranties to private, non-profit, and quasi-governmental organizations (intermediary lenders) that will use the loan funds to make short-term, fixed interest rate microloans in amounts up to \$35,000 to start-up, newly established, and growing small business concerns. These microloans are to be used exclusively for working capital, inventory, supplies, furniture, fixtures, machinery, and/or equipment. In addition, the SBA will make grants to participating intermediary lenders to provide marketing, management, and technical assistance to prospective borrowers and borrowers receiving microloans. In addition, the SBA will make grants to non-profit organizations, which are not intermediary lenders, to provide marketing, management, and technical assistance to low-income individuals seeking private sector financing for their businesses. Under the Program, SBA will also provide training for intermediary lenders and non-lenders participating in the Program.

**TYPES OF ASSISTANCE:**

Formula Grants; Direct Loans.

**USES AND USE RESTRICTIONS:**

Loans to intermediaries with terms and restrictions as provided in Public Laws 102-140, 102-366 and 105-135 and subsequent regulations as published in the Federal Register.

**Applicant Eligibility:**

An applicant is considered eligible to apply if it meets the definition of an intermediary lender as published in program materials, 13 CFR, and PL 102-140, and meets published minimum experience and capability requirements.

**Beneficiary Eligibility:**

Small businesses, minority entrepreneurs, nonprofit entities, business owners, women and low-income, and other individuals possessing the capability to operate successful business concerns.

**Credentials/Documentation:**

An entity may apply to SBA to become an Intermediary lender. A small business may apply to an intermediary for a microloan. Small business seeking funding must: (1) Meet SBA size standard requirements as defined in Chapter 13 of the U.S. Code of Federal Regulations; (2) meet type of business requirements as published by SBA; and (3) meet lending requirements of local intermediary lenders.

**Preapplication Coordination:**



None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Microloan Borrowers: Apply directly to intermediary lenders. Intermediary Lenders: Apply to the SBA Office of Financial Assistance prior to deadlines and according to established procedures.

**Award Procedure:**

Intermediaries are notified by SBA. Microborrowers are notified by the intermediaries.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Loan applicants can expect an answer from the SBA approved intermediary lender within 15 days from the date of application acceptance.

**Appeals:**

Decisions on the part of the SBA are final. SBA will not become involved in appeals by microborrowers to intermediary lenders except in the case of suspected violation of Federal regulations.

**Renewals:**

Based on performance.

**Formula and Matching Requirements:**

No statutory formula in current CFR.

**Length and Time Phasing of Assistance:**

The maximum life of a loan to an intermediary lender is 10 years. Grants are based on the outstanding balance of the loan amount.

**Reports:**

Reports will be required of the intermediary on a quarterly basis and at the time of each Microloan closing.

**Audits:**

Required annually.

**Records:**

Systems sufficient to generate accurate and acceptable reports.

**Account Identification:**

(Loans) 73-1154-0-1-376.

**Obligations:**

Loan Guarantees: FY 07 \$19,000,000; FY 08 \$21,000,000; and FY 09 \$25,000,000. Subsidies: FY 07 \$2,000,000; FY 08 \$2,200,000; and FY 09 \$0. Grants: FY 07 \$12,800,000; FY 08 \$15,000,000; and FY 09 \$0. Administration: FY 07 \$1,775,000; FY 08 \$1,867,000; and FY 09 \$1,996,000.

**Range and Average of Financial Assistance:**

Information is not available at this time.

**PROGRAM ACCOMPLISHMENTS:**

Microloan Funds became available to end users in August 1992. Since that time, over \$267 million have been loaned to microborrowers. The average amount of microloan is about \$13,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the SBA Office of Financial Assistance, Microenterprise Development Branch, 409 3rd Street S.W., Mail Code 7881, Washington, DC 20416.

**Regional or Local Office:**

SBA District Offices.

**Headquarters Office:**

Small Business Administration, Office of Financial Assistance, Microenterprise Development Branch, 409 Third Street S.W., Eighth Floor, Washington, DC 20416. Mail Code 7881. Telephone: (202) 205-6490.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Organization in Mid-South operating in thirty-two counties in the State, all but one classified as rural. Established in 1987, this organization has approved numerous microloans and provided the much needed technical assistance to small businesses and entrepreneurs. (2) Urban organization founded in 1976, established a loan pool in 1982. Through a program of financial assistance and other aid to business concerns, including small businesses, that are not able to obtain funds from conventional commercial sources, the organization has been able to assist in the relief of poverty, lessening of neighborhood tensions and assist in combating community deterioration in certain economically depressed areas. (3) Rural organization founded in 1976, has provided services that have included economic development, planning, grant writing and administration, small business incubator operations, business counseling services and loans to small businesses. Approximately 12.4 percent of the service population is below poverty level.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated individually. Each is rated on its own merits or, in the case of an affiliated group, on the merits of each of the organizational parts that make up the whole. Qualitative and quantitative information regarding the applicant is reviewed. Criteria include but may not be limited to: (1) Organizational qualifications; (2) Knowledge of the local economy; (3) Lending experience and lending operations; (4) Current and proposed technical assistance program; (5) Current and Proposed Microloan Operation; (6) Availability and probability of matching contributions; (7) Information

submitted in the grant package.

**59.049 SMALL DISADVANTAGED BUSINESSES**

(OSDBC&E)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, as amended, Section 7(b)(2), Public Law 85-536, 15 U.S.C. 636(b); Public Law 95-507.

**OBJECTIVES:**

To ensure compliance with the constitutional standards established by the Supreme Court in Adarand Contractors, Inc vs. Pena, relative to Federal action programs that use racial or ethnic criteria as a basis for decision making.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

The Small Disadvantaged Business (SDB) program is a procurement tool designed to assist the government in finding firms capable of providing needed services, while at the same time, helping to address the traditional exclusion firms owned by disadvantaged individuals from contracting opportunities. Participation in the SDB program and the benefits are restricted to those firms who have satisfied the eligibility requirements and have been certified by the Small Business Administration as an SDB.

**Applicant Eligibility:**

Eligible applicant must be: A small business concern as defined in SBA rules and regulations; firms must be at least 51 percent unconditionally owned and controlled by one or more U.S. citizens who are socially and economically disadvantaged as defined by 13 CFR 124.105, 124.109, 124.110, and 124.111.

**Beneficiary Eligibility:**

Socially and economically disadvantaged individuals and small businesses owned and operated by such individuals; economically disadvantaged Indian tribes including Alaskan Native Corporations and economically disadvantaged Native Hawaiian organizations.

**Credentials/Documentation:**

Documentation to establish that all program eligibility criteria are met.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Electronic application through SBA's webpage at [www.sba.gov](http://www.sba.gov).

**Award Procedure:**

Applicant is notified of a decision by letter from the Office of Small Disadvantaged Business Certification and Eligibility.

**Deadlines:**

Applications accepted on an ongoing basis.

**Range of Approval/Disapproval Time:**

Approximately 75 days. The majority are completed within 45 days.

**Appeals:**

Requests for reconsideration of a declined application may be made within 45 days from the date of service of the decline letter.

**Renewals:**

SDB Certification lasts, generally, for a three (3) year period. Firms may reapply after their initial certification has expired.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Three years renewable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Completed applications must be maintained.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Administrative Costs: FY 07 \$1,235,000; FY 08 \$1,294,000; FY 09 \$1,459,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2004, nearly 1000 new certifications were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Part 124 8(a) Business Development; 124 Subpart B, Eligibility Certification and Protests Relating to Small Disadvantaged Business Programs.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Small Disadvantaged Business Certification and Eligibility, Small Business Administration, 409 3rd Street, S.W., Washington, DC 20416. E-Mail address: [www.sba.gov/sdb](http://www.sba.gov/sdb).

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**59.050 PRIME TECHNICAL ASSISTANCE**

(PRIME)

**FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Riegle Community Development and Regulatory Improvement Act of 1994, 15 U.S.C. 6901 et seq., as amended; Gramm-Leach -Bliley Act, Title VIII, Public Law 106-102.

**OBJECTIVES:**

To increase the number of microenterprises and to enhance the management capability of microentrepreneurs to provide training and technical assistance at little or no cost to microentrepreneur and/or microenterprises to assist in starting, expanding and/or growing their business; to provide training and capacity building services to enhance existing MDOs and expand the universe of MDOs that provide microenterprise development training programs and services; and to fund research and development of best practices for training and technical assistance consistent with the PRIME Act.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The recipients of the services provided by the grantees are those persons/businesses who satisfy the eligibility criteria as defined in the Act.

**Applicant Eligibility:**

Grant recipients shall be non-profit microenterprise development or program (or a collaborative thereof) that has a demonstrated record of delivering microenterprise services to disadvantaged entrepreneurs, an intermediary, a microenterprise development organization or program that is accountable to a local community, working in conjunction with a State or local government or Indian tribe, or an Indian tribe acting on its' own, if the tribe can certify that no private organization or program referred to in this paragraph exists within its' jurisdiction.

**Beneficiary Eligibility:**

Disadvantaged entrepreneurs, microenterprises, and microenterprise development organizations as defined in the Act.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Subject to the availability of funds, SBA will issue a Notice of Funds Availability (NOFA) soliciting responses from qualified organizations for the services to be provided under the Act.

**Award Procedure:**

Successful offerors will be notified of a decision by letter from the Office of Financial Assistance.

**Deadlines:**

The deadlines for applications will be stated in the NOFA.

**Range of Approval/Disapproval Time:**

Sixty to 90 days.

**Appeals:**

None.

**Renewals:**

The period of performance for grants awarded under the Act is for one year with four twelve month options exercised at the discretion of the government.

**Formula and Matching Requirements:**

Grant recipients are expected to provide a 50 percent match which may come from fees, nonfederal grants, loan sources, and in-kind resources.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Grant recipients are required to provide performance and financial reports.

**Audits:**

SBA reserves the right to perform pre- and post award audits. Grant recipients are required to provide audited financial statements on an annual basis.

**Records:**

Grant recipients are required to collect and maintain data on recipients of technical assistance which shall be included in the grant recipient's performance reports.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

Grants: FY 07 \$1,835,000; FY 08 \$3,000,000; and FY 09 \$0. Administration: FY 07 \$28,000; FY 08 \$28,000; and FY 09 \$0.

**Range and Average of Financial Assistance:**

Seventy-five percent of the funds appropriated shall be used for training and technical assistance of microentrepreneurs with no one organization receiving a single grant in excess of ten percent of the total funds appropriated for training and technical assistance, 15 percent of the total appropriated funds shall be directed to training and capacity building services to existing MDOs, and the remaining funds may be used for the research and development of best practices and other activities as the Administrator determines are consistent with the purposes of the Act.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations are available in 13 CFR.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Financial Assistance Small Administration, 409 3rd Street, S.W., Washington, DC 20416. Program Contact: George Dale, Telephone: (202) 205-6515. [www.sba.gov/financing/sbaloan/microloans.html](http://www.sba.gov/financing/sbaloan/microloans.html).

**Web Site Address:**

<http://www.sba.gov/inv>.

**RELATED PROGRAMS:**

59.006, 8(a) Business Development Program; 59.037 Small Business Development Centers; 59.043 Women's Business Ownership Assistance; 59.044 Veterans Business Development; 59.052 Native American Outreach.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Past performance, approach, personnel, and cost.

**59.051 NEW MARKETS VENTURE CAPITAL PROGRAM****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Investment Act of 1958, as amended, Title III, Part B, Sections 351-368; 15 U.S.C. 689 - 689q.

**OBJECTIVES:**

To promote economic development and the creation of wealth and job opportunities in low-income geographic areas and among individuals living in such areas, through developmental venture capital investments in smaller enterprises located in such areas.

**TYPES OF ASSISTANCE:**

Project Grants; Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

Recipients are SBA approved New Markets Venture Capital Companies (NMVCCs) that use funds from debentures guaranteed by SBA to make equity capital investments in smaller enterprises located in low-income geographic areas. Recipients use OA grant funds to provide management and technical assistance to smaller enterprises in which they intend or make such investments. Recipients must not use grant funds for their own general and administrative expenses. Term of guaranteed debenture is up to 10 years, with no payments required in years 1 to 5, interest only payments due semi- annually in years 6 to 10, and a balloon repayment of principal due at maturity. Cost is approximately 100 basis points over comparable U.S. Treasury Securities. Prepayment is allowed without penalty after year 1.

**Applicant Eligibility:**

No new funding will be requested for this program.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

SBA will request financial information including, but not limited to, financial statements, economic impact and community development information, and portfolio financing reports and valuations. SBA will require both annual and quarterly reports.

**Audits:**

SBA will require an annual financial report performed by an independent public accountant and an annual examination performed by SBA's internal examiners.

**Records:**

Appropriate records as needed for requirements of 111 and 112.

**Account Identification:**

Guarantees (Loans) 73-1154-0-1-376; Operational Assistance grants (Grants) 73-0100-0-1-376.

**Obligations:**

Administrative: FY 07 \$210,000; FY 08 \$242,000; FY 09 \$251,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Part 108.

**Regional or Local Office:**

None.

**Headquarters Office:**

SBA, Investment Division, New Markets Venture Capital Program, 409 3rd Street, N.W., Suite 6300, Washington, DC 20416. Telephone: (202) 205-6510.

**Web Site Address:**

<http://www.sba.gov/INV/NMVC> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Equity venture capital finance experience, community development finance experience, Federal grant administration experience and technical assistance experience.

**59.052 NATIVE AMERICAN OUTREACH****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act, as amended; Public Law 108-447; Consolidated Appropriations Act, 2005.

**OBJECTIVES:**

To fund economic development projects that will provide small business opportunities and empower American Indians, Native Alaskans and Native Hawaiian entrepreneurs located in disadvantaged and under-served Indian reservations and tribal areas within the U.S.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

The projects must have the ability to provide increased entrepreneurial development opportunities for Native Americans, serve as effective models to address the issue of access to SBA information and resources, and have the potential to become best practices for implementation by other entities around the country. Program initiatives must assist small businesses in tribal areas on the basis of need, realizing that not all Native American tribes, particularly those in remote areas experiencing severe economic hardship, may be aware of this and other SBA programs. Projects must also include a strong outreach component to ensure that underserved Native American tribes have the opportunity to participate in the program.

**Applicant Eligibility:**

Organizations must have experience in effectively training, counseling, developing and measuring small business development in Indian Country.

**Beneficiary Eligibility:**

Native American entrepreneurs who are starting their own business or expanding their existing business.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals are accepted per an annual Request for Proposal advertised in the Federal Register.

**Award Procedure:**

On a project by project basis, proposals of eligible applicants are evaluated by a review panel. The SBA/Office of Procurement and Grants Management issues an award to each approved applicant.

**Deadlines:**

Applications/proposals must be submitted by the date indicated in the Request for Proposal.

**Range of Approval/Disapproval Time:**

Within 120 days from filing deadline.

**Appeals:**

Not applicable.

**Renewals:**

On a case by case need basis, as determined by the contracting officer and the program office.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The performance period varies based upon the accepted proposals.

**Reports:**

Monthly performance and financial reports are due by the middle of the month subsequent to the accomplishment of work. Content of the performance reports varies dependent upon the nature of the work and as stipulated in the Request for Proposal and resulting contract. Funded projects may be subject to follow-up impact analysis as determined by the program office.

**Audits:**

Not applicable.

**Records:**

The awardee shall maintain and submit detailed, complete and accurate client activity records to reflect clearly the nature and variety of services provided. Financial records must be kept until 3 years after the completion and submission of the final report.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

FY 07 \$1,415,000; FY 08 \$1,637,000; FY 09 \$1,685,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Small Business Administration for more information. OMB Circulars A-110, A-122, A-21, A-133.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Small Business Administration, Office of Native American Affairs, 409 Third Street, S.W., Washington, DC 20416. Contact the Office of Native American Affairs.

**Web Site Address:**

<http://www.sba.gov/naa/>.

**RELATED PROGRAMS:**

59.026, Service Corps of Retired Executives; 59.037, Small Business Development Centers.

**EXAMPLES OF FUNDED PROJECTS:**

Typical projects include, but not limited to: small business development incubator activities; small business training; marketing outreach to Indian Country and business development services for specialized projects such as reforestation, etc.

**CRITERIA FOR SELECTING PROPOSALS:**

Established on a project by project basis to include, but not limited to: viability and feasibility, performance history, etc.

**59.053 OMBUDSMAN AND REGULATORY FAIRNESS BOARDS****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Regulatory Enforcement Fairness Act of 1996, Public Law 104-121, (March 29, 1996); 5 U.S.C. 601 note; H.R. 3136.

**OBJECTIVES:**

To serve the small business community by receiving comments from small businesses, small non-profit organizations or small government entities (representing less than 50,000 people) regarding unfair and/or excessive actions by Federal Agencies or Agency employees conducting compliance or enforcement activities.

**TYPES OF ASSISTANCE:**

Investigation of Complaints (Compliance Reviews).

**USES AND USE RESTRICTIONS:**

Received comments may be confidential or not and be discussed with appropriate Federal Agency personnel to seek a timely response to an excessive and/or unfair Federal regulatory issue. Hold Hearings throughout the U.S. to receive testimony and commentary from small entities about unfair and/or excessive Federal regulatory enforcement actions. Comments are also received online, by fax, mail or personal delivery.



**Applicant Eligibility:**

Small businesses, small nonprofit organizations or small government entities (representing less than 50,000 people).

**Beneficiary Eligibility:**

The Ombudsman's actions are designed to assist not only those who seek direct assistance but all other similarly situated small entities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit SBA Form 1993.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

As needed.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Based upon substantiated comments received from small business concerns and the Boards, annually report to Congress and affected Federal Agencies evaluating the enforcement activities of Agency personnel, including a rating of the responsiveness to small business of the various regional and program offices of each agency.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

FY 07 \$1,257,000; FY 08 \$1,404,000; and FY 09 \$1,527,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Presented in each annual report to Congress.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.sba.gov/ombudsman>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Nicholas N. Owens, National Ombudsman, Office of the National Ombudsman, 409 Third Street, S.W., Washington, DC 20416.

**Web Site Address:**

<http://www.sba.gov/ombudsman>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**59.054 7(A)EXPORT LOAN GUARANTEES****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act of 1953, Section 7(a), as amended, Public Laws 97-35, 85-536, Section 2(b).

**OBJECTIVES:**

To aid and assist small-business to increase their ability to compete in international markets by enhancing their ability to export; facilitating technology transfers; enhancing their ability to complete effectively and efficiently against imports; increasing the access of small businesses to long-term capital for the purchase of new plant and equipment used in the production of goods and services involved in international trade; disseminate information concerning, State, Federal, and private programs and initiatives to enhance the ability of small businesses to compete in international Markets; and ensure that the interests of small businesses are adequately represented in bilateral and multilateral negotiations.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

To construct, expand, or convert facilities; to purchase building equipment or

materials; inventory and for export working capital.

**Applicant Eligibility:**

A small business is eligible, which is independently owned and operated and not dominant in its field. They also need to meet the SBA size standards.

**Beneficiary Eligibility:**

Small businesses, including those owned by low-income and handicapped individuals located in high unemployment areas.

**Credentials/Documentation:**

Statement of personal history, personal financial statement, company financial statements, summary of collateral and a resume. Loan must be of such sound value or so secured as to reasonably assure repayment.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are filed by the participating lender in the field office serving the territory in which the applicant's business is located. Where the participating lender is in another territory, applications may be accepted and processed by the field office serving that territory, provided there is mutual agreement between the two field offices involved.

**Award Procedure:**

Applicant is notified by authorization letter.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 1 to 10 days from date of application acceptance, depending on type of loan and type of lender program.

**Appeals:**

If a reconsideration is requested within 6 months after decline or withdrawal, no new application is required.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Periodic financial statements.

**Audits:**

When necessary on a case-by-case basis.

**Records:**

Adequate accounting system.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

Administrative Costs: FY 07 \$5,258,000; FY 08 5,988,000; and FY 09 \$6,430,000.

**Range and Average of Financial Assistance:**

OIT has three guaranty loan programs: The Export Working Capital Program.

This programs guarantees export loans for us to 90 percent of the loan; The Export Express Loan Program guarantees loans for up to 85 percent of the loan; and the International Trade Loan program guarantees the loan for up to 75 percent of the loan.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Business Loans from the SBA.

**Regional or Local Office:**

For reference to the U.S. Export Assistance Centers, see Service Centers in Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

Director, Office of International Trade, 409 3rd., S.W., Washington, DC 20416 (202) 205-6720.

**Web Site Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

59.006, 8(a) Business Development Program; 59.037, Small Business Development Centers; 59.043, Women's Business Ownership Assistance; 59.044, Veterans Business Development; 59.052, Native American Outreach.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**59.055 HUBZONE PROGRAM****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

The HUBZone Act of 1997, the HUBZones in Native America Act of 2000 and the Small Business Administration Authorization and Manufacturing Assistance Act of 2004, and program regulations. 13 CFR 126.100.

**OBJECTIVES:**

The purpose of the HUBZone program is to provide federal contracting assistance for qualified SBCs located in historically underutilized business Zones in an effort to increase employment opportunities, investment, and economic development in such areas.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

The HUBZone Program stimulates capital investment, creation of jobs, and economic development in distressed rural and urban communities by providing Federal contracting preferences to firms certified by SBA as 'qualified' HUBZone small businesses.

**Applicant Eligibility:**

To be eligible to participate in the program, a firm must (1) be a small business (as defined by SBA Size Standards), (2) be owned and controlled at least 51 percent by one or more U.S. citizens, a Community Development Corporation, an agricultural cooperative or an Indian tribe, (3) be located (principal office) in a HUBZone, and (4) certify that least 35 percent of its employees are residents of a HUBZone.

**Beneficiary Eligibility:**

The HUBZone Program is precisely targeted to provide contract opportunities - revenue sources - to firms located in approximately 11,600 metropolitan census tracts, 1,400 non-metropolitan counties, Indian Lands, and 150 areas affected by base closures and realignments.

**Credentials/Documentation:**

Application for HUBZone status is accomplished on-line.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are made on-line via the Intranet at [www.sba.gov/hubzone](http://www.sba.gov/hubzone).

**Award Procedure:**

Applicant is notified of program participation approval electronically within 30 days of receipt of a completed application.

**Deadlines:**

Applications for program participation are accepted on an on-going basis.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

On-line re-certification every three years.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

FY 07 \$6,767,000; FY 08 \$7,499,000; FY 09 \$8,150,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

HUBZone small businesses certified annually: FY 2001 = 2,145; FY 2002 = 2,796; FY 2003 = 2,338; FY 2004 = 2,294. Program examinations completed: FY 2004 = 505. Contract awards goal accomplishment: FY 2001 = 0.72 percent; FY 2002 = 0.71 percent; FY 2003 = 1.24. HUBZone small businesses certified annually: FY 2001 = 2,145; FY 2002 = 2,796; FY 2003 = 2,338; FY 2004 = 2,294. Program examinations completed: FY 2004 = 505. Contract awards goal accomplishment: FY 2001 = 0.72 percent; FY 2002 = 0.71 percent; FY 2003 = 1.24.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The HUBZone Act of 1997, the HUBZones in Native America Act of 2000, and the Small Business Administration Authorization and Manufacturing Assistance Act of 2004, and program regulations. 13 CFR Part 126. See the HUBZone website: [www.sba.gov/hubzone](http://www.sba.gov/hubzone).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Associate Administrator for HUBZone Program, Small Business Administration, 409 Third Street, S.W., Washington, DC 20416.

**Web Site Address:**

<http://www.sba.gov/hubzone>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**59.070 DRUG-FREE WORKPLACE PROGRAM****FEDERAL AGENCY:**

SMALL BUSINESS ADMINISTRATION

**AUTHORIZATION:**

Small Business Act, Section 21(c)(3)(T) and Section 27 (15 U.S.C. Sections 648(c)(3)(T) and 654) (Title IX of Public Law 105-277, Public Law 108-447).

**OBJECTIVES:**

This Program permits the Small Business Administration (SBA) to make grants to eligible intermediaries to assist small businesses financially and technically in establishing DFWP programs. That statute also amended the Small Business Act (15 U.S.C. Section 631 et seq.) to require recipients of Small Business Development Center (SBDC) grants to provide information and assistance to small businesses with respect to establishing DFWP programs and authorized SBA to provide additional funding to SBDCs for that purpose.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds restricted to the use of assisting small businesses.

**Applicant Eligibility:**

A current small business owner.

**Beneficiary Eligibility:**

Small businesses, including those owned by low-income and handicapped individuals located in high unemployment areas.

**Credentials/Documentation:**

Statement of, company financial statements, resumes and job descriptions, organizational chart, technical proposal, milestones and letters of intended partnerships/collaborative efforts.

**Preapplication Coordination:**

Submission of proposal to the central Office of SBA through [www.grants.gov](http://www.grants.gov). The standard application forms as furnished by the SBA must be used for this program. The eligible intermediary should coordinate with potential resources. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are filed by the eligible intermediary through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applicant receives an executed cooperative agreement.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Range from 30 to 60 days.

**Appeals:**

Varies with individual proposals.

**Renewals:**

This program is for a period of two years with one two-year option period and is subject to availability of funds. After the four years, the grantees must reapply.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Cooperative agreements run for a period of two years with one two-year option period.

**Reports:**

Quarterly narrative and financial reports are required to be submitted to the SBA Central Office no later than 30 days following the end of the required time period. A final report is due 90 days after the end of the cooperative agreement year.

**Audits:**

None.

**Records:**

Adequate accounting system.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

Administration: FY 07 \$91,000; FY 08 \$96,000; and FY 09 \$108,000 Grants: FY 07 \$758,000; FY 08 \$990,000; and FY 09 \$990,000.

**Range and Average of Financial Assistance:**

From \$100,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the grantees assisted 453 small businesses in implementing full or partial drug free workplace programs. The grantees educated 2,731 small businesses on the benefits of a drug free workplace program. Additionally, the grantees financially assisted 1,506 small businesses and technically assisted 1,745 small businesses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DFWP Program Announcement, Small Business Act, Section 21(c)(3)(T) and Section 27 (15 U.S.C. Sections 648(c)(3)(T) and 654) (Title IX of Public Law 105-277, Public Law 108-447).

**Regional or Local Office:**

For addresses of the field offices, see Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

Associate Administrator, Office of Small Business Development Centers, 409 3rd, S.W., Washington, DC 20416. Telephone: (202) 205-6766; Fax: (202) 205-7727.

**Web Site Address:**

<http://www.sba.gov/sbdc>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are as posted in the program announcement.



# DEPARTMENT OF VETERANS AFFAIRS

## 64.005 GRANTS TO STATES FOR CONSTRUCTION OF STATE HOME FACILITIES

(State Home Construction)

### FEDERAL AGENCY:

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

### AUTHORIZATION:

Public Laws 88-450, 89-311, 90-432, 91-178, 93-82, 94-581, 95-62, 96-151, 96-330, 97-251, 97-295, 98-528, 99-166, 99-576, and 100-322, 38 U.S.C. 8131-8137.

### OBJECTIVES:

To assist States to acquire or construct State home facilities for furnishing domiciliary or nursing home care to veterans, and to expand, remodel, or alter existing buildings for furnishing domiciliary, nursing home, or hospital care to veterans in State homes.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grant funds must be used for: The construction of new domiciliary or nursing home buildings or acquisition of such facilities; the expansion, remodeling, or alteration of existing buildings for the provision of domiciliary, nursing home, or hospital care in State homes, and the provision of initial equipment for any such buildings. All new domiciliary buildings must be constructed according to nursing home care standards for convertibility. Construction cost means the amount found by the Secretary to be necessary for a construction project, including architect fees, but excluding land acquisition costs.

### Applicant Eligibility:

Any State may apply after assuring that the assisted facility will be owned by the State; and will be used primarily for veterans.

### Beneficiary Eligibility:

Veterans meeting VA and State admission criteria.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### Preapplication Coordination:

(1) The standard application forms as furnished by the Federal agency and required by Title 38, CFR Part 43, "Uniform Administrative Requirements" must be used for this program. (2) The initial application forms are Standard Form 424, 424C, and 424D, Initial Application for Federal Assistance, with attachments. (3) Consultation or assistance is available from Headquarters Office personnel to aid in the preparation of initial application. (4) An informal initial application conference is usually not needed; however, notification by telephone of intent to submit an initial application is recommended. (5) An environmental assessment is required for this program if outside construction exceeds 75,000 gross square feet to determine whether an environmental impact statement is necessary. (6) This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

The standard application forms as furnished by the Federal agency and required by Title 38, CFR Part 43, "Uniform Administrative Requirements" must be used for this program. (Standard Form 424, Application for Federal Assistance for Construction Programs, with attachments.) This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Formal approval of the award of the assistance grant to the State is made by the Secretary of Veterans Affairs with program administered by Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group.

### Deadlines:

Initial application is due by April 15 for all projects. State assurance of matching funds is due by August 15 to receive priority group one status.

### Range of Approval/Disapproval Time:

From 30 to 60 workdays after receipt of bid tabulations, revised budget page based on bid, and signed Memorandum of Agreement.

### Appeals:

No application will be disapproved without the opportunity of a hearing.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

38 U.S.C. 8135 (D)(2). Federal participation provides up to 65 percent of total project cost, with the State providing the remainder.

### Length and Time Phasing of Assistance:

Accounts are canceled five years after appropriation expires. Appropriations received in fiscal year 1994 or later do not expire. Reimbursement payments are

made to the State based on Federal share of cost incurred.

### Reports:

Required in accordance with 38 CFR 59.124. Approved Final VA Grant Inspection and equipment list, if applicable, required prior to final payment.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Records should be maintained for the period established by Memorandum of Agreement (7 to 20 years depending upon the amount of the grant). If any claim or audit is started before the expiration of this time period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

### Account Identification:

36-0181-0-1-703.

### Obligations:

(Obligations) FY 07 \$73,515,000; FY 08 est \$174,588,000; and FY 09 est \$86,650,000.

### Range and Average of Financial Assistance:

\$22,866 to \$14,312,110; \$2,531,505.

### PROGRAM ACCOMPLISHMENTS:

In FY 2007 committed to 23 projects valued at \$172 million. Twenty-two of the 23 projects were designated life safety. On 9/27/07, Secretary Nicholson approved the priority List of Pending State Home Construction Grant Applications for FY 2008. The Priority List is used as the basis for awarding grants during that fiscal year. There are a total of 185 projects on the FY 2008 Priority List and are currently valued at \$978,308,000. The first 100 projects had certified 35 percent state matching funds and are ranked in priority group 1. The current value of the 100 priority group 1 projects is \$542,151,000. The remaining 85 projects will be considered for priority group 1 status once the state provides the required certification of 35 percent state matching funds.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Title 38 Code of Federal Regulations 59, Grants to States for Construction of State Home Facilities.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group (114), Department of Veterans Affairs, Central Office, Washington, DC 20420. Telephone: (202) 273-8536.

### Web Site Address:

<http://www.va.gov>.

### RELATED PROGRAMS:

64.014, Veterans State Domiciliary Care; 64.015, Veterans State Nursing Home Care; 64.016, Veterans State Hospital Care.

### EXAMPLES OF FUNDED PROJECTS:

(1) Constructed new 200 bed State home nursing home replacement building; (2) Constructed new 168 bed State nursing home; (3) Remodeled existing State home nursing home building; (4) Remodeled existing State home domiciliary building; and (5) Remodeled existing State home hospital building to meet Americans With Disabilities Act requirements.

### CRITERIA FOR SELECTING PROPOSALS:

As required by Title 38, U.S.C. Section 5035, all applications are reviewed and accorded priority in the following order: (1) adequate State financial support (matching funds); (2) construction/renovations to remedy life/safety issues; (3) states without state nursing homes constructed or acquired under Title 38 U.S.C. 8131-8137; (4) states with great need for new beds; (5) renovations not listed in (2); (6) states with significant need for new beds; (7) states with limited need for new beds; and (8) other criteria determined appropriate and published in regulations (38 CFR 59).

## 64.007 BLIND REHABILITATION CENTERS

(Blind Center)

### FEDERAL AGENCY:

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

### AUTHORIZATION:

38 U.S.C. 101(2), 1705, 1710, and 5303A.

### OBJECTIVES:

To provide personal and social adjustment programs and medical or health-related services for eligible blinded veterans at selected VA Medical Centers

maintaining blind rehabilitation centers.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

To assist in the rehabilitation of blinded veterans.

**Applicant Eligibility:**

Any visually impaired or blind veteran who meets the following requirements: Must have enlisted in the armed forces before September 7, 1980. Veterans who enlisted in the armed forces after September 7, 1980, or entered on active duty after October 16, 1981, must have 24 continuous months of active duty service or completed the full period of time for which the individual was called or ordered to active duty. In either case the individual must have been discharged or released from active duty under conditions other than dishonorable. Must be enrolled in the VA health care system or have: A VA service-connected rating of 50 percent or greater, an adjudicated service-connected disability, or; been recently discharged from the military (within the past 12 months) for a disability the military determined was incurred or aggravated in the line of duty. When approved, the VA and at the Department of Defense request, active duty personnel may be transferred to a Blind Center.

**Beneficiary Eligibility:**

All blinded veterans.

**Credentials/Documentation:**

Military discharge papers.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application may be made by completing a VA Form 10-10, "Application for Health Benefits." Applications may be made: (1) In person at any VA health care facility; (2) through any veterans organization's representative; (3) by mailing the 10-10 to the nearest VA health care facility or (4) contacting the Visual Impairment Service Team (VIST) Coordinator at a VA facility.

**Award Procedure:**

VA ward physician determines, with recourse to Hospital Director.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Immediately.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Following admission, veterans are provided specialized inpatient rehabilitation in a VA Blind Rehabilitation Center plus any necessary medical or health related services. The time that a veteran spends in a Blind Rehabilitation Center is individual to each veteran. Normally the stay is three to five weeks, but will vary.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 07 \$71,818,000; FY 08 est \$86,507,000; and FY 09 est \$92,494,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 2,118 veterans received the intensive inpatient rehabilitation program for severely disabled blind and visually impaired patients nationally at the 10 Blind Rehabilitation Centers. Blind Rehabilitation Service deployed the national BR v.5.0 database to enhance patient referral and streamline clinical data management; additional functionality enhancements are underway. Mechanisms for tracking OEF/OIF service personnel have been developed and deployed. Sixty-eight OEF/OIF veterans and active duty personnel have been provided intensive rehabilitation for severe disability in the centers; some patients have received multiple episodes of care, resulting in a total of 81 inpatient stays at the centers. Blind Rehabilitation Centers have developed and deployed new assessments and interventions for visual consequences of traumatic brain injury following a joint VHA/DoD conference providing current practices and innovative research ongoing in this area.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Federal Benefits for Veterans and Dependents," VA Fact Sheet 80-991-1, \$5.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Fax orders (202) 512-2250. Mail Requests to P.O. Box 371954, Pittsburgh, PA 15250-7954. Coordinated Services for

Blinded Veterans, IB 11-59 (Revised), available from Director, Blind Rehabilitation Service (117B), Department of Veterans Affairs, Central Office, Washington, DC 20420.

**Regional or Local Office:**

Initial contact should be made at the nearest VA Medical Center or outpatient clinic listed in Appendix IV under the Veterans Health Administration.

**Headquarters Office:**

Blind Rehabilitation Service (117B), Patient Care Services, Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-7317.

**Web Site Address:**

<http://www.va.gov/blindrehab>

**RELATED PROGRAMS:**

64.009, Veterans Medical Care Benefits; 64.011, Veterans Dental Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.008 VETERANS DOMICILIARY CARE**

DOMICILIARY RESIDENTIAL REHABILITATION AND TREATMENT PROGRAM (DRRTP)

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 89-358, 94-581, and 100-322, Section 136, 38 U.S.C. 601 and 610; Executive Order 5398, July 21, 1930. Title 38 USC 1710, 1746-1748.

**OBJECTIVES:**

To provide the least intensive level of inpatient care for ambulatory veterans disabled by age or illness who are not in need of more acute hospitalization and who do not need the skilled nursing services provided in nursing homes. To rehabilitate the veteran in anticipation of his/her return to the community in a self-sustaining and independent or semi-independent living situation, or to assist the veteran to reach his/her optimal level of functioning in a protective environment.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

VA and State Home Domiciliary care provides necessary inpatient medical care and physical, social and psychological support services in a therapeutic environment. It also includes a program to prepare veterans who have the potential to function more independently to return to community living.

**Applicant Eligibility:**

Veterans who meet VA eligibility requirements for VA healthcare. Veterans of the various military services who were discharged for a disability or are in receipt of disability compensation and suffering from a permanent disability, have no adequate means of support, are incapacitated from earning a living and meet certain other requirements. Veterans with nonservice-connected disabilities that incapacitate them from earning a living, but which are not so severe as to require hospitalization, are also eligible if they are unable to defray the expense of domiciliary care and if they meet certain other requirements for care in a domiciliary. An income limitation criterion is applied to all applicants.

**Beneficiary Eligibility:**

Veterans meeting the above requirements.

**Credentials/Documentation:**

Military discharge papers (DD214).

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit Application for Medical Benefits, VA Form 10-10, to nearest VA medical facility.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 07 \$379,248,000; FY 08 est \$468,169,000; and FY 09 est \$526,816,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 27,560 patients were provided care in this program with an average daily census of 8,246. In fiscal years 2008 and 2009, it is estimated that 26,962 and 26,520 patients, respectively, will be provided care with an average daily census of 8,157 in 2008 and 8,072 in 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-5, Part IV "Domiciliary Program, Extended Care"; VA IS-1 Fact Sheet "Federal Benefits for Veterans and Dependents," available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**Regional or Local Office:**

See Appendix IV, of the Catalog under Veterans Health Administration for Veterans Hospital Facilities.

**Headquarters Office:**

Chief Consultant, Office of Mental Health Services, Department of Veterans Affairs (116), Washington, DC 20420. VA Director, Residential Rehabilitation and Treatment Services. Telephone: (202) 273-8443 or 8446.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.014, Veterans State Domiciliary Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.009 VETERANS MEDICAL CARE BENEFITS

(Hospitalization and Medical Services)

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 102(2), 1705, 1710, and 5303A.

**OBJECTIVES:**

To provide outpatient medical services, hospital care, medicines and supplies to eligible veterans in receipt of VA health care.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Hospital care includes: (1) Medical services rendered in the course of the hospitalization of any eligible veteran; (2) for certain eligible veterans, an established rate of travel, currently 11 cents a mile with a deductible imposed; (3) when medically indicated, payment for specialized modes of transportation, such as by ambulance, of any veteran with a service-connected disability or receiving, or eligible to receive, VA pension, or whose income does not exceed the applicable maximum annual VA pension rate; (4) such mental health services, consultations, professional counseling, and training of an eligible veteran or members of the immediate family as may be necessary or appropriate to the effective treatment and rehabilitation of the veteran; and (5) medical services rendered an eligible dependent of a veteran totally and permanently disabled from a service-connected disability or the widow, widower or child of a veteran who died as a result of a service-connected disability, or who at the time of death had total disability permanent in nature, resulting from a service-connected disability, or who is the surviving spouse or child of a person who died while on active duty and is not eligible for Civilian Health and Medical program of the Uniform Service (CHAMPUS), Medicare, or under the Civilian Health and Medical program, Veterans Affairs (CHAMPVA). Outpatient medical services includes examination, treatment, certain home health services, podiatric, optometric, dental, supportive medical services and surgical services are provided to veterans in VA facilities or under fee basis hometown care programs when properly authorized. Persian Gulf veterans and veterans of the Panama, Grenada, and Lebanon hostilities, in VA operated outreach centers, on contract, or in a VA facility. Sexual trauma counseling may be provided to a woman veteran which resulted from a physical assault of sexual nature, battery of a sexual nature, or sexual harassment which occurred while serving on active duty.

**Applicant Eligibility:**

Must have enlisted in the armed forces before September 7, 1980. Veterans who enlisted in the armed forces after September 7, 1980, or entered on active duty

after October 16, 1981, must have 24 continuous months of active duty service or completed the full period of time for which the individual was called or ordered to active duty. In either case the individual must have been discharged or released from active duty under conditions other than dishonorable. Must be enrolled in the VA health care system or have: A VA service-connected rating of 50 percent or greater, an adjudicated service-connected disability; or been recently discharged from the military (within the past 12 months) for a disability the military determined was incurred or aggravated in the line of duty. When approved by the VA and at the Department of Defense request, active duty personnel may be transferred to/from a military hospital to a VA health care facility.

**Beneficiary Eligibility:**

Dental care may be provided for those veterans: (1) Who have a service-connected compensable dental disability or condition; (2) who have a service-connected, non-compensable dental condition or disability and were former prisoners of war; (3) who have a service-connected, non-compensable condition or disability resulting from combat wounds or service trauma; (4) who were held prisoner of war for a period of not less than 90 days; (5) who have a service-connected disability rated as total; (6) who have been found in need of training authorized under 38 U.S.C. Chapter 31; (7) who have a dental condition which is having a direct and material detrimental effect upon a service-connected condition; (8) who have service-connected, non-compensable disability and who apply for treatment of such condition within 90 days following discharge or release for active duty during the Persian Gulf War, 90 days (treatment under this latter authority is limited to one-time correction of the service-connected dental condition); and (9) those receiving outpatient or scheduled for inpatient care may receive dental care if the dental condition is clinically determined to be complicating a medical condition currently under treatment.

**Credentials/Documentation:**

A copy of DD Form 214 or proof of active military service and discharge, as applicable verification of: (a) establishment of service-connected disability; (b) service during World War I; (c) military retirement; (d) letter of authorization; (e) receipt of increased pension or additional compensation or allowance based on the need of regular aid and attendance or by reason of being permanently housebound, or who but for the receipt of military retired pay would be otherwise eligible; or (f) when applicable, family household income and asset information.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application may be made by completing VA Form 10-10EZ, "Application for Health Benefits." Application may be made: (1) In person at any VA health care facility; (2) through any veteran's service organization's representative; or (3) by mailing the 10-10EZ to the nearest VA health care facility.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

The same day if the applicant applies in person; generally within 15 days if by mail.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 07 \$35,232,474,000; FY 08 est \$40,478,018,000; and FY 09 est \$41,448,363,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, visits totaled 62,936,000 which included 6,177,000 for contract visits and 1,055,000 for readjustment counseling. In fiscal year 2007, 811,388 patients received inpatient hospital treatment. In fiscal year 2008, total outpatient visits are estimated at 64,856,000, including 6,604,000 for contract visits and 1,113,000 for readjustment counseling. It is estimated that 827,808 patients will receive inpatient hospital treatment in fiscal year 2008. In fiscal year 2009, total outpatient visits are estimated at 70,457,000 including



7,211,000 for contract visits and 1,222,000 for readjustment counseling. It is estimated that 843,438 inpatients will be treated in fiscal year 2009 in VA, State and contract inpatient facilities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 17.42, 17.43, 17.43(b), 17.46; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-99-1, \$5.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20420. Fax orders to (202) 512-2250. Telephone orders (202) 512-1800 or mail requests to: Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954.

**Regional or Local Office:**

Contact the nearest VA Medical Center. (See Appendix IV of the Catalog for the list of addresses of VA facilities under Veterans Health Administration.)

**Headquarters Office:**

Director, Health Administration Services (10C3), Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 273-8302 or 273-8303.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.007, Blind Rehabilitation Centers; 64.008, Veterans Domiciliary Care; 64.010, Veterans Nursing Home Care; 64.011, Veterans Dental Care; 64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances; 64.019, Veterans Rehabilitation\_Alcohol and Drug Dependence; 64.022, Veterans Home Based Primary Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.010 VETERANS NURSING HOME CARE

(Nursing Home Care)

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 88-450, 89-311, 89-358, 91-500, 93-82, 94-581, 96-22, 97-37, 97-72, and 97-452, 38 U.S.C. 610 and 5010.

**OBJECTIVES:**

To accommodate eligible veterans who are not acutely ill and not in need of hospital care, but who require skilled nursing care, related medical services, supportive personal care, and individual adjustment services (including social, diversional, recreational and spiritual activities and opportunities) in a homelike atmosphere.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Veterans in need of care in a VA, State Home, or Contract Nursing Home Care Unit may be admitted or transferred according to the following priorities: (1) Any veteran who has a service-connected disability for any disability; (2) Any veteran whose discharge or release from the active military, naval, or air service was for a disability incurred or aggravated in line of duty for any disability; (3) Any veteran who, but for a suspension pursuant to 38 U.S.C. 1151 (or both suspension and the receipt of retired pay), would be entitled to disability compensation, but only to the extent that such veteran's continuing eligibility for such care is provided for the judgment or settlement described in such section, for any disability; (4) Any veteran who is a former prisoner of war, for any disability; (5) Any veteran who served in Vietnam during the Vietnam era and who may have been exposed to Agent Orange or other toxic substance and who, during such service needs care for a condition possibly related to such exposure, and to veterans who were exposed while on active duty to ionizing radiation from nuclear testing or participation in the American occupation of Hiroshima and Nagasaki following World War II and who are in need of care for a condition possibly related to such exposure; (6) Any veteran of World War I, for any disability; and (7) Any nonservice-connected veteran who is: (a) in receipt of VA pension, or who is unable to defray the expenses of necessary care as determined by the Category A threshold amounts; or (b) eligible for VA hospital care, who exceeds the income threshold amounts if the veteran agrees to pay the applicable co payments for the care rendered by the VA.

**Applicant Eligibility:**

The need for placement in a nursing home is based upon medical and nursing care considerations. The eligible veteran should require skilled nursing supervision, observation and care by an interdisciplinary team, and/or rehabilitative programs and supportive health services found only in a hospital based nursing home program.

**Beneficiary Eligibility:**

There are two categories of veteran eligibility (Mandatory and Discretionary) for VA hospital care. VA shall provide hospital care to veterans within the Mandatory Category and is permitted to furnish care on a resource-available basis to veterans in the Discretionary Category. The Mandatory Category

consists of all veterans including those nonservice-connected disabled with annual incomes below \$22,064 for a single veteran and below \$26,480 for a veteran with one dependent plus \$1,476 for each additional dependent. Nonservice-connected veterans with incomes above the established threshold for mandatory care are in the Discretionary Category. They may be treated by the VA on a resource-available basis if they agree to pay a copayment.

**Credentials/Documentation:**

Military discharge papers.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit Application for Medical Benefits, VA Form 10-10, to nearest VA medical facility. A medical determination as to need for nursing home care will be made by a VA physician.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

No limit.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 08 \$3,518,428,000; FY 08 est \$3,895,145,000; and FY 09 est \$4,003,488,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 91,096 patients were treated with an average daily census of 34,579. The projected corresponding levels for fiscal year 2008 are 92,144 patients treated and 34,633 average daily census. For fiscal year 2009, the levels are 93,002 patients treated and 34,970 average daily census.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1, Part I, Chapter 12, "Nursing Home Care"; VA Manual M-5, Part II, Chapter 2; VA IS-1 Fact Sheet, Federal Benefits for Veterans and Dependents, available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Hospital Facilities listed under Veterans Health Administration.

**Headquarters Office:**

Chief Consultant, Geriatrics and Extended Strategic Health Group (114), Department of Veterans Affairs, Washington, DC 20420. VA Nursing Home Care Program Chief. Telephone: (202) 273-8540.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.015, Veterans State Nursing Home Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.011 VETERANS DENTAL CARE

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1712.

**OBJECTIVES:**

To provide dental services.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Must have enlisted in the armed forces before September 7, 1980. Veterans who enlisted in the armed forces after September 7, 1980 or entered on active duty after October 16, 1981, must have 24 continuous months of active duty service or completed the full period of time for which the individual was called or ordered to active duty.

**Beneficiary Eligibility:**

Dental care may be provided for those veterans (1) who have a service-connected compensable dental disability or condition; (2) who have a service-connected, non-compensable dental condition or disability and were former prisoners of war; (3) who have a service-connected, non-compensable condition or disability resulting from combat wounds or service trauma; (4) who were held as a prisoner of war for a period of not less than 90 days; (5) who have a service-connected disability rated as total; (6) who have been found in need of training authorized under 38 U.S.C. Chapter 31; (7) who have a dental condition which is having a direct and material detrimental effect upon a service-connected condition; (8) who have service-connected, non-compensable disability and who apply for treatment of such condition within 90 days following discharge or release from active duty of not less than 180 days, or in the case of a veteran who served on active duty during the Persian Gulf War, 90 days (treatment under this latter authority is limited to one-time correction of the service-connected dental condition); and (9) those receiving outpatient or scheduled for inpatient care may receive dental care if the dental condition is clinically determined to be complicating a medical condition currently under treatment.

**Credentials/Documentation:**

Copy of military discharge, and as applicable verification of: (a) establishment of service-connected disability; (b) service during World War I; (c) military retirement; (d) letter of authorization; or (e) receipt of increased pension or additional compensation or allowance based on the need of regular aid and attendance or by reason of being permanently housebound, or those who, but for the receipt of military retired pay, would be otherwise eligible, and as applicable, family income and expense information.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application may be made: (1) personally at a VA medical center, outpatient clinics or regional offices with outpatient clinics; (2) through any veteran's service organization representative; or (3) by mailing VA form 10-10EZ, Application for Health Benefits, to the nearest VA health care facility.

**Award Procedure:**

Not applicable.

**Deadlines:**

Application for dental treatment for service-connected non-compensable condition or disability shown to have been in existence at time of discharge or release from service must be made within 90 days after discharge from active duty.

**Range of Approval/Disapproval Time:**

The same day if applicant applies in person; generally within 10 days if applicant applies by mail.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

No limit.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 07 \$418,671,000; FY 08 est \$451,490,000; and FY 09 est \$485,454,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, there were 3,180,876 dental procedures; The fiscal year 2007 and 2008 estimates are 3,475,395 and 3,620,884 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 17.45a, 17.60(a) - (i), 17.60 (d) - (f) and 17.123(a) - (g). "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-99-1, \$5.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402, or Fax (202) 512-2250. Mail requests to P.O. Box 371954, Pittsburgh, PA 15250-7954.

**Regional or Local Office:**

Any VA Medical Center. See Appendix IV of the Catalog for listing under Veterans Health Services and Research Administration.

**Headquarters Office:**

VA Central Office: Headquarters Health Administration Service (10C3), Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 273-8303 or 8302.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.007, Blind Rehabilitation Centers; 64.009, Veterans Medical Care Benefits; 64.010, Veterans Nursing Home Care; 64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances; 64.019, Veterans Rehabilitation\_Alcohol and Drug Dependence; 64.022, Veterans Home Based Primary Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.012 VETERANS PRESCRIPTION SERVICE**

(Medicine For Veterans)

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 91-500, 93-82, 94-581, and 101-508; 38 U.S.C. 612.

**OBJECTIVES:**

To provide eligible veterans and certain dependents and survivors of veterans with prescription drugs and expendable medical supplies from VA pharmacies upon presentation of prescription(s) from a VA provider or VA authorized provider.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Veterans receiving Veterans Outpatient Care (64.011) can receive prescription drugs and expendable medical supplies prescribed by a VA provider or VA authorized provider. These prescriptions will be dispensed by VA Pharmacies either directly to veterans or mailed upon request. In territories where there are no VA pharmacies, payment for prescribed drugs is provided for certain eligible veterans on a reimbursable basis. Contact the Health Administration Center, Denver, CO, at 1-800-733-8387 for information. Widows and dependent children may be eligible for reimbursement for medications through the ChampVA program. Contact the Health Administration Center, Denver, Co for information. Use Restrictions: Limited to drugs prescribed by VA physicians, dentists, podiatrists or other VA provider or authorized VA provider based on the VA National Formulary System. Veterans receiving medications on an outpatient basis from VA facilities, for the treatment of a nonservice-connected disability or condition, are required to make a co-payment of \$2.00 for each 30-day or less supply of medication. Veterans receiving medications for the treatment of a service-connected condition and veterans rated 50 percent or more service-connected are exempt from the co-payment requirement for medications. Prescriptions are not filled for alcoholic beverages or dietary supplements used for weight control. Nonservice-connected Veterans living abroad are ineligible for program benefits. However, service-connected veterans may be eligible for reimbursement for medications. Contact the Health Administration Center, Denver, CO, at 1-800-733-8387 for information.

**Applicant Eligibility:**

Veterans receiving outpatient care (see Veterans Outpatient Care 64.011); service connected veterans and World War I veterans if they are authorized non-VA care (Fee Basis) are eligible for prescriptions. Also, veterans in receipt of aid and attendance or housebound benefits are eligible for prescriptions. Veterans whose pension payments have been discontinued because their annual income exceeds the applicable maximum limitations may continue to be eligible for prescription drugs and expendable medical supplies until their income exceeds the maximum limitation by more than \$1,000.

**Beneficiary Eligibility:**

Veterans receiving outpatient care (see Veterans Outpatient Care 64.011); service connected veterans and World War I veterans if they are authorized non-VA care (Fee Basis) are eligible for prescriptions. Also, veterans in receipt of aid and attendance or housebound benefits are eligible for prescriptions. Veterans whose pension payments have been discontinued because their annual income exceeds the applicable maximum limitations may continue to be eligible for prescription drugs and expendable medical supplies until their income exceeds the maximum limitation by more than \$1,000.

**Credentials/Documentation:**

Eligible veterans must furnish prescriptions(s) from a VA physician, dentist, podiatrist, or VA authorized provider. Only veteran patients in receipt of aid and attendance or housebound benefits may furnish prescriptions from any licensed physician, dentist, or podiatrist.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Veterans should follow the application process for Veterans Outpatient Care (64.011). Once veterans are accepted for outpatient care the eligibility information is shared with the pharmacy computer system, veterans may then present prescriptions to a VA Pharmacy.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 07 \$4,324,952,000; FY 08 est \$4,688,246,000; and FY 09 est \$5,100,409,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Data unavailable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Pamphlet 80-99-1, 38 CFR 17.60; "Federal Benefits for Veterans and Dependents", \$5.00, available from Superintendent of Documents, Government Printing Office, Washington, DC 20402.

**Regional or Local Office:**

Initial contact should be made with the nearest Veterans Hospital Facility listed in Appendix IV of the Catalog under Veterans Health Administration.

**Headquarters Office:**

Chief Consultant, Pharmacy Benefits Management, Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 273-8429.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.011, Veterans Dental Care; 93.774, Medicare\_Supplementary Medical Insurance; 93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.013 VETERANS PROSTHETIC APPLIANCES

(Prosthetics Services)

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1162, 38 U.S.C. 1701, 38 U.S.C. 1710, 38 U.S.C. 1712, 38 U.S.C. 1713, 38 U.S.C. 1714, 38 U.S.C. 1717, 38 U.S.C. 1719, 38 U.S.C. 1723, 38 U.S.C. 1724, 38 U.S.C. 3104, 38 U.S.C. 3901, 38 U.S.C. 3902, 38 U.S.C. 3903, and 38 U.S.C. 8123.

**OBJECTIVES:**

To provide, through purchase and/or fabrication, prosthetic and related appliances, equipment and services to eligible veterans so that they may live and work as productive citizens.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Funds may be used for case management of the eligible veteran by administrative control, purchasing and/or fabrication and repair of prosthetic appliances and equipment. Appliances and services are provided only for the use and benefit of the disabled veteran to whom they are furnished. The program also includes the replacement and repair of appliances and training in the use of artificial limbs, artificial eyes, wheelchairs, aids for blind, hearing aids, braces, orthopedic shoes, eyeglasses, crutches and canes, medical equipment, surgical

and dental implants, medical supplies, and automobile adaptive equipment.

**Applicant Eligibility:**

Any disabled veteran or authorized representative on his behalf meeting the criteria below may apply for prosthetic appliances or services. VA may not furnish sensory-neural aids, e.g., eye glasses, hearing aids, etc., other than in accordance with guidelines established by the Secretary.

**Beneficiary Eligibility:**

Veterans eligible for prosthetic services are service-connected veterans seeking care for a service-connected disability; veterans with compensable service-connected disabilities generally rated 10 percent or more; former prisoners of war, veterans discharged or released from active military service for a disability that was incurred or aggravated in the line of duty, and veterans who are in receipt of Section 1151 benefits; veterans who are in receipt of increased pension based on a need of regular aid and attendance or by reason of being permanently housebound; veterans who have annual income and net worth below the "means test" threshold; all other veterans who are not required to pay a copayment for their care, i.e., veterans of the Mexican border period and World War I, compensated zero (0) percent service-connected veterans who are receiving statutory awards, veterans exposed to a toxic substance, radiation or environmental hazard (limited to certain disabilities); and veterans who must pay a copayment for their care. Ineligible veterans are nonservice-connected veterans residing or sojourning in foreign lands.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible veteran may request prosthetic services through their primary care provider when reporting in person to any VA Medical Center as well as by correspondence, telephone, or authorized community physician prescription.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

All prosthetic requests require an initial action within five working days. Custom fabrication or design may increase the time before an item/service can be delivered.

**Appeals:**

A veteran who is administratively refused prosthetics services by a local VA health care facility may appeal to the Board of Veterans Appeals. Determinations of the Veterans Health Administration involving the need or nature of medical treatment as distinguished from legal or basic eligibility for medical services, are not appealable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

For veterans in receipt of special monthly compensation or increased pension based on the need for regular aid and attendance, assistance is maintained for as long as eligibility continues (usually for life). Veterans are entitled to receive prosthetic services for as long as they are receiving VA treatment.

**Reports:**

None.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Value and Repair of Prosthetic Appliances, Home Oxygen, and Home Respiratory Therapy Supplies) FY 07 \$1,236,275,000; FY 08 est \$1,320,834,000; and FY 09 est \$1,454,528,000.

**Range and Average of Financial Assistance:**

\$10 to \$25,000. Average: \$118.

**PROGRAM ACCOMPLISHMENTS:**

The program provided 5,700,000 prosthetic item/services in the form of prosthetic appliances, sensory aids, medical equipment, medical supplies, surgical and dental implants, therapeutic devices and repair services during fiscal year 2005. The Veterans Health Care Eligibility Reform Act of 1996 significantly impacted the number of prosthetic item/services provided.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 17.150, 17.151, 17.152, 17.153, 17.154, 17.155, 17.156, 17.157, 17.158, 17.159.

**Regional or Local Office:**

Initial contact should be made with the Prosthetic Representatives in 124 VA field stations, any VA outpatient clinic, CBOC or any veterans' service organization representative. See Appendix IV of the Catalog for the address of the nearest Veterans Hospital Facility.



**Headquarters Office:**

CHIEF Prosthetics and Clinical Logistics Officer (10f), Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 254-0440. Fax: (202) 254-0470.

**Web Site Address:**

<http://vaww1.va.gov/prosthetics/>

**RELATED PROGRAMS:**

64.009, Veterans Medical Care Benefits; 64.011, Veterans Dental Care; 64.100, Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces; 64.116, Vocational Rehabilitation for Disabled Veterans; 93.774, Medicare\_Supplementary Medical Insurance; 93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.014 VETERANS STATE DOMICILIARY CARE****FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Act of August 27, 1888, as amended, Public Laws 66-126, 76-250, 78-202, 80-531, 81-823, 83-613, 86-625, 88-450, 90-432, 93-82, 94-417, 94-581, 96-151, 97-251, 98-160, and 100-322, 38 U.S.C. 1741-1743.

**OBJECTIVES:**

To provide financial assistance to States furnishing domiciliary care to eligible veterans in State Veterans' Homes which meet the standards prescribed by the Secretary of Veterans Affairs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The assistance provided is for domiciliary care; The provision of shelter, sustenance, and incidental medical care on an ambulatory self-care basis to assist eligible veterans, disabled by age or illness to attain physical, mental, and social well-being through rehabilitative programs.

**Applicant Eligibility:**

Applicant is any State which operates a designated facility to furnish domiciliary care primarily for veterans.

**Beneficiary Eligibility:**

Veterans eligible for care in a VA facility needing domiciliary care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; (b) has a nonservice-connected disability and states under oath his inability to defray the expenses of necessary care; (c) was discharged or released from active military, naval and air service for a disability incurred or aggravated in line of duty; or (d) is in receipt of, or but for the receipt of, retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter of application from State addressed to Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group (114), Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420.

**Award Procedure:**

Recognition by Secretary of Veterans Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 1741.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

38 U.S.C. 1741. For each veteran provided domiciliary care, formula payments to the State are \$33.01 per diem, or one-half the cost of care, whichever is less.

**Length and Time Phasing of Assistance:**

There is no length limitation; grant payments are made monthly or quarterly to the State.

**Reports:**

Monthly reports and quarterly statements of Federal aid claimed are filed by the State with VA field station having jurisdiction over the State Home.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Grants) FY 07 \$45,034,000; FY 08 est \$49,339,000; and FY 09 est \$51,190,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$3,600,000. Average: \$427,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the average daily census was 3,890 and is projected to be 3,892 and 3,894 in FY 2008 and FY 2009 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1, Part I, Chapter 3, "State Veterans' Homes," and VA Manual M-5, Part VIII, Chapters 1 through 5.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Hospital Facilities.

**Headquarters Office:**

Assistant Chief Medical Director for Geriatrics and Extended Care Service (114B), Department of Veterans Affairs, Washington, DC 20420. Chief, State Home Per Diem Program. Telephone: (202) 461-6771.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.008, Veterans Domiciliary Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.015 VETERANS STATE NURSING HOME CARE****FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 88-450, 90-432, 93-82, 94-417, 94-581, 96-151, 97-251, 98-160, and 100-322, 38 U.S.C. 1741-1743.

**OBJECTIVES:**

To provide financial assistance to States furnishing nursing home care to eligible veterans in State Veterans' Homes which meet the standards prescribed by the Secretary of Veterans Affairs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The assistance provided is for nursing home care: the accommodation of convalescents or other persons who are not acutely ill and not in need of hospital care or domiciliary care but who require skilled nursing care and related medical services.

**Applicant Eligibility:**

Applicant is any State which operates a designated facility to furnish nursing home care primarily for veterans.

**Beneficiary Eligibility:**

A veteran eligible for care in a VA facility needing nursing home care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; (b) has a nonservice-connected disability and states under oath his inability to defray the expenses of necessary nursing home care; (c) was discharged or released from active military, naval and air services for a disability incurred or aggravated in line of duty; or (d) is in receipt of, or but for the receipt of retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter of application from State addressed to Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group (114) Department of Veterans Affairs, 810 Vermont Avenue, NW., Washington, DC 20420.

**Award Procedure:**

Recognition by Secretary of Veteran Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 1741.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

38 U.S.C. 1741. For each veteran provided nursing home care, formula payments to the State are \$71.42 per diem, or one-half the cost of care, whichever is less.

**Length and Time Phasing of Assistance:**

There is no length limitation; grant payments are made monthly or quarterly to the State.

**Reports:**

Monthly reports and quarterly statements of Federal aid claims are filed by the State with VA field station of jurisdiction.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Grants) FY 07 \$451,644,000; FY 08 est \$501,046,000; and FY 09 est \$524,739,000,000.

**Range and Average of Financial Assistance:**

\$267,590 to \$11,448,271. Average: \$5,857,931.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the average daily census was 18,087 and is projected to be 18,268 and 18,451 in FY 2008 and FY 2009 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1, Part I, Chapter 3, "State Veterans' Homes," and M-5, Part VIII, Chapters 1 through 5.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Hospital Facilities.

**Headquarters Office:**

Chief Consultant, Geriatrics and Extended Care Service(114), Department of Veteran's Affairs, Washington, DC 20420. Chief, State Home Per Diem Program. Telephone: (202) 461-6771.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.010, Veterans Nursing Home Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.016 VETERANS STATE HOSPITAL CARE****FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 76-250, 78-202, 80-531, 81-823, 83-613, 86-625, 88-450, 90-432, 91-178, 94-417, 94-581, 96-151, 97-271, 98-160, and 100-322, 38 U.S.C. 1741-1743.

**OBJECTIVES:**

To provide financial assistance to States furnishing hospital care to eligible veterans in State veterans' homes which meet the standards prescribed by the Secretary of Veterans Affairs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The assistance provided is for hospital care: The provision of diagnosis and treatment for in-patients with medical, surgical, or psychiatric conditions who generally require the continuous services of a physician with attendant diagnostic, therapeutic, and rehabilitative services.

**Applicant Eligibility:**

Applicant is any State which operates a designated facility to furnish hospital care primarily for veterans.

**Beneficiary Eligibility:**

A veteran eligible for care in a VA facility needing hospital care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; (b) has a nonservice-connected disability and States under oath his inability to defray the expenses of necessary care; (c) was

discharged or released from active military, naval and air service for a disability incurred or aggravated in line of duty; or (d) is in receipt of, or but for the receipt of retirement pay, would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter of application from State addressed to Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group (114), Department of Veterans Affairs, 810 Vermont Avenue, NW., Washington, DC 20420.

**Award Procedure:**

Recognition by Secretary of Veterans Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 1741.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

38 U.S.C. 1741. For each veteran provided hospital care, formula payments to the State are \$71.42 per diem, or one-half the cost of care, whichever is less.

**Length and Time Phasing of Assistance:**

There is no length limitation; grant payments are made monthly or quarterly to the State.

**Reports:**

Monthly reports and quarterly statements of Federal aid claimed are filed by the State with VA field station of jurisdiction.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Grants) FY 07 \$6,565,000; FY 08 est \$3,346,000; and FY 09 est \$3,414,000.

**Range and Average of Financial Assistance:**

\$2,022 to \$3,217,481. Average: \$1,609,752.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the average daily census was 124 and is projected to be 122 in FY 2008 and 120 in FY 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1, Part I, Chapter 3, "State Veterans' Home", and Chapter 3 and M-5, Part VIII, Chapters 1 through 5.

**Regional or Local Office:**

See Appendix IV for Veterans Hospital Facilities.

**Headquarters Office:**

Chief Consultant, Geriatrics and Extended Care Service (114), Department of Veterans Affairs, Washington, DC 20420. Chief, State Home Per Diem Program. Telephone: (202) 461-6771.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.009, Veterans Medical Care Benefits.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.018 SHARING SPECIALIZED MEDICAL RESOURCES**

(Sharing Contracts (Exchange of Use or Mutual Use))

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 89-785, 91-496, 93-82, 96-151, 101-366 and 103-210; 38 U.S.C. 8151-8153.

**OBJECTIVES:**

To receive and share the most advanced medical techniques; to secure the use of healthcare resources which otherwise might not be feasibly available to the VA and to provide services to the community through resources which are not being utilized to their maximum effectiveness within the VA. (These medical resources are underutilized resources in the sense that they are unique in the medical community or can have maximum utilization only through mutual use.)

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

To provide for the exchange of or mutual use of specialized medical resources when such an agreement will obviate the need for a similar resource to be provided in a VA facility, or for the mutual use, or exchange of use, of specialized medical resources in a VA facility which have been justified on the basis of veterans' care, but which are not utilized to their maximum effective capacity. Such agreements must be made with health care facilities including hospitals, medical schools, clinics, research centers, and blood and organ banks. VA may also enter into sharing agreements with State Veterans Homes for the purpose of sharing health care resources which include inpatient and outpatient care, rehabilitation services, and other health care support services.

**Applicant Eligibility:**

(For sharing of medical resources) Health care facilities including medical schools, hospitals, clinics, research centers and blood and organ banks. ("Hospitals" include any Federal, State, local, or other public or private hospital.)

**Beneficiary Eligibility:**

Patients of VA medical facilities or patients of health care facilities including hospitals, medical schools, clinics, research centers and blood and organ banks.

**Credentials/Documentation:**

Written authorization from the VA (or other party to the agreement or contract, as provided) by the terms of the agreement or contract.

**Preapplication Coordination:**

Negotiated between VA and the applicant. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Competitive sharing agreements greater than \$1.5 million and non-competitive contracts greater than \$500,000 must be approved by the Director, Sharing and Purchasing Office (175), Department of Veterans Affairs, Washington, DC, prior to contract execution. Proposed contracts less than these thresholds may be negotiated and awarded without prior VA Central Office reviewed approval.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Sharing contracts may include the exercise of four one-year, pre-priced options beyond the first year of the contract.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Annually as required by Title 38 U.S.C. 8153(e).

**Audits:**

As required by contract terms.

**Records:**

Maintain records in accordance with the contract or agreements which will facilitate an effective audit.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Services Purchased and Provided) FY 07 services purchased \$888,215,000 and services provided \$36,859,000; FY 08 est services purchased \$1,051,927,000 and services provided \$37,466,000; and FY 09 est services purchased \$1,245,814,000 and services provided \$38,044,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

There were over 4,816 contracts for resources purchased and provided in fiscal year 2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 17.210; VA Manual M-I, Part I, Chapter 34, Section II; VA Acquisition Regulations VAAR 815.7.

**Regional or Local Office:**

Contact nearest VA Facility listed in Appendix IV of the Catalog under Veterans Health Administration.

**Headquarters Office:**

Director, Sharing and Purchasing Office (175), Veterans Health Administration,

Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420. Telephone: (202) 273-8406.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.019 VETERANS REHABILITATION-ALCOHOL AND DRUG DEPENDENCE**

(Substance Abuse Treatment Program, Mental Health and Behavioral Sciences Service)

**FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 17.

**OBJECTIVES:**

To provide medical, social, vocational and rehabilitation therapies to eligible alcohol and drug dependent veterans.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The Substance Abuse Treatment programs are located in VA medical centers and clinics. The programs offer various modalities of treatment including: detoxification, substance abuse rehabilitation (education; individual, group and family therapies; drug free modalities; relapse prevention; continuing care and other treatments), psychiatric treatment and psychotropic medication, social services, opioid substitution therapy and vocational rehabilitation. In the case of opioid substitution therapy, the VA is bound by the regulations for minimum standards established by the Food and Drug Administration and Drug Enforcement Administration.

**Applicant Eligibility:**

Any veteran who requires treatment for substance abuse is eligible if meeting the following conditions: (1) has served in the active military, naval or air service; and (2) was discharged or released under conditions other than dishonorable; and (3) meets the general eligibility requirements as defined in program 64.009.

**Beneficiary Eligibility:**

Veterans meeting the criteria listed in the Applicant Eligibility section of this program.

**Credentials/Documentation:**

Discharge certificate.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Apply personally to any VA medical center, outpatient clinic, or regional office; through any veterans service organization representative; or by mailing VA Form 10-10 (Application for Medical Benefits) to nearest medical center.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The same day if the applicant applies in person; generally within 7 days if by mail.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Salaries and Expenses) FY 07 \$436,748,000; FY 08 est \$497,580,000; and FY 09 est \$583,074,000.

**Range and Average of Financial Assistance:**

Not applicable.



**PROGRAM ACCOMPLISHMENTS:**

During 2007, over 338,000 veterans were provided substance abuse treatment services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Contact the nearest VA medical center, outpatient clinic, domiciliary, or Veterans Regional Office. (See Appendix IV of the Catalog for the list of addresses under Veterans Health Administration).

**Headquarters Office:**

Director, Associate Chief Consultant, Addictive Disorders (116B), Department of Veterans Affairs, 810 Vermont Ave., Washington, DC 20420. Telephone: (202) 461-7352.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.009, Veterans Medical Care Benefits; 64.011, Veterans Dental Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.022 VETERANS HOME BASED PRIMARY CARE****FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 93-82, 94-581, 96-151, and 99-166, 38 U.S.C. 1717.

**OBJECTIVES:**

To provide primary health care in the home, through a VA interdisciplinary team, to homebound and often bedridden eligible veterans whose caregivers are capable and willing to assist in their care.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Veterans are admitted to home based primary care.

**Applicant Eligibility:**

The eligible veteran must require intermittent skilled nursing care and related medical services for a time-limited or a protracted period. Medical determination as to need for home health services will be made by a VA Medical Center physician. The veteran must meet the eligibility requirements as defined in program 64.009.

**Beneficiary Eligibility:**

Veterans meeting the criteria listed in the Applicant Eligibility section of this program.

**Credentials/Documentation:**

Military discharge papers indicating veteran served on active duty, meeting appropriate requirements within applicable laws.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Medical determination as to need for home health services will be made by a VA Medical Center physician or VA authorized private health care physician.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

No limit.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Services) FY 07 \$173,506,000; FY 08 est \$185,631,000; and FY 09 est \$263,868,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the average daily census was 13,222 and is projected to be 14,146 in FY 2008 and 20,108 in FY 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1 Part 1, Chapter 30, Section II, "Hospital Based Home Care."

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group (114), Department of Veterans Affairs, Washington, DC 20420. Home Based Primary Care Program Coordinator, Telephone: (202) 273-6488/8540.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.011, Veterans Dental Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.024 VA HOMELESS PROVIDERS GRANT AND PER DIEM PROGRAM****FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Homeless Veterans Comprehensive Service Programs Act of 1992, Sections 3 and 4, Public Law 102-590; 38 U.S.C. 7721 note; Public Law 104-110.

**OBJECTIVES:**

To assist public and nonprofit private entities in establishing new programs and service centers to furnish supportive services and supportive housing for homeless veterans through grants that may be used to acquire, renovate or alter facilities, and to provide per diem payments, or in-kind assistance in lieu of per diem payments, to eligible entities which established programs after November 10, 1992 that provide supportive services and supportive housing for homeless veterans. (Note: The number of vans was limited to 20 for the life of this grant. This Van Restriction has not been lifted.)

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Homeless Veterans Comprehensive Service Programs Act of 1992 (Public Law 102-590) established the VA Homeless Providers Grant and Per Diem Program. The Act authorizes VA to assist public or non-profit private entities with partial funding for "bricks and mortar" to create supportive housing or services centers or to purchase vans for outreach and transportation. The Act also authorizes VA to partially fund operating expenses for these facilities through per diem payments.

**Applicant Eligibility:**

Applicants eligible for grants include public and nonprofit private entities with the capacity to effectively administer a grant; which demonstrate that adequate financial support will be available to carry out the project; and which agree to and demonstrate capacity to meet the applicable criteria and requirements of the grant program. Applicants eligible for per diem payments include public or nonprofit private entities who are either grant recipients, or who are eligible to receive a grant. Programs eligible for coverage under per diem payments must have been established after November 10, 1992.

**Beneficiary Eligibility:**

Veterans, meaning a person who served in the active military, naval or air service, and who was discharged or released there from under conditions other than dishonorable.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

Application documents include a Standard Form 424, 424C and 424D, as well as VA Form 10-0361. Once per year if funds are available for the program, VA will publish in the Federal Register a notice of fund availability, soliciting applications for the grant program and information on applications for requesting eligibility to receive per diem payments. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application forms required by 38 CFR 17.700, "VA Homeless Providers Grant and Per Diem Program," and furnished by the Federal agency must be used for the program.

**Award Procedure:**

Formal approval of the award of assistance is made by the Secretary of Veterans Affairs; the program is administered by Mental Health Strategic Healthcare Group.

**Deadlines:**

Deadlines for program applications are established in the notice of fund availability.

**Range of Approval/Disapproval Time:**

For grant applicants, from 30 to 60 work days after receipt of items in the Second Submission section of the grant application package, including documentation on acquisition, rehabilitation and new construction; match and feasibility; matching funds; supportive services; and operating budget. For recognition by VA as eligible to receive per diem payments, 30 to 60 days after formal recognition is approved, pending availability of funds.

**Appeals:**

If an application would have been selected but for a procedural error committed by VA, VA will select that application for potential funding when sufficient funds become available, if there is no material change in the information that resulted in its selection. A new application will not be required for this purpose.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Refer to 38 CFR 17.706. Federal participation provides up to 65 percent of total project cost, with the grant recipient providing the remainder. Once funds are obligated for a grant project, VA will not increase the amount obligated.

**Length and Time Phasing of Assistance:**

For the grant program, appropriation expires at the end of each fiscal year. Length of time limitations for the per diem programs are not established, however, per diem is contingent on availability of VA program funds. Reimbursement payments are made to the recipient based on the Federal share of costs incurred.

**Reports:**

Required in accordance with 38 CFR 17.700.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Three categories of records should be maintained by VA and the contractor: (a) contractor fiscal records; (b) contractor treatment records; and (c) VA record summaries of treatment provided. Contractor fiscal records should be maintained by the contractor until they are certified by the General Accounting Office, as guided by Records Control Schedule 10-1. Contractor treatment records should be maintained by the contractor for a period of three years after the date of last patient activity before being disposed of by the contractor. Contractor summaries and related records will be maintained by the appropriate VA health care facility until three years after the last episode of care, then they will be filed with VA's Consolidated Health Records for each veteran patient. Consolidated Health Records are retained by the VA facility for 75 years from the last episode of care.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Grants & Per Diem) FY 07 \$81,187,000; FY 08 est \$107,180,000; and FY 09 est \$122,000,000.

**Range and Average of Financial Assistance:**

\$12,610 to \$541,000.

**PROGRAM ACCOMPLISHMENTS:**

During the first five rounds of funding, more than 400 applications were received, requesting approximately \$200 million to acquire, renovate, or construct supportive housing or service center facilities for homeless veterans or to purchase vans for outreach and transportation. Total VA funding for these projects was over \$26 million. When these projects are completed, approximately 2,500 new community-based beds will be available for homeless veterans. Additionally, under this funding, 14 homeless veterans service centers will be established; 20 vans have been purchased by entities to conduct outreach or provide transportation for homeless veterans; and five mobile service center units will provide medical care and/or counseling services for homeless veterans with limited access to treatment. Most programs have been awarded grants for acquiring and renovating facilities. A small number of programs have been awarded a grant for new construction of buildings or acquiring already renovated facilities. Twenty programs were awarded grants to purchase vans for outreach and transportation. The majority of grant funding for housing will create transitional housing for homeless veterans. Of this transitional housing or in addition to it, supportive housing beds will be created for special populations including homeless elderly veterans, female veterans, veterans experiencing mental health or substance abuse problems, and homeless terminally ill veterans. In addition to housing, the funding will also create service centers that provide linkages with other community resources, job training, and/or emergency services in an effort to engage the homeless veteran in more longer term support.

The projects funded to purchase vans will be using the vehicles for expanding outreach efforts and providing transportation for homeless veterans to VA and community services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38 Code of Federal Regulations 17.700 - 17.731, VA Homeless Providers Grant and Per Diem Program.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Manager, VA Homeless Providers Grant and Per Diem Program, Mental Health Strategic Healthcare Group (116E), Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420. Telephone: (202) 273-8966. (This is not a toll-free number.) Toll-free (1 877) 322-0334. Contacts: Victor Harris - Telephone: (202) 273-8443. Roger Casey - Telephone: (1 877) 322-0334.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

As required by 38 CFR 17.700, applications are reviewed, rated and ranked in priority order. Selection criteria include: (a) Quality of the project. (b) Targeting to persons on street and in shelters. (c) Ability of the applicant to develop and operate a project. (d) Need for the type of project proposed in the area to be served. (e) Innovative quality of the proposal. (f) Leveraging. (g) Cost effectiveness. (h) Coordination with other programs.

**64.026 VETERANS STATE ADULT DAY HEALTH CARE****FEDERAL AGENCY:**

VETERANS HEALTH ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Law 106-117, Section 101.

**OBJECTIVES:**

To provide a community-based program designed to meet the needs of adults with impairments through individual plans of care. This type of structured, comprehensive, nonresidential program provides a variety of health, social, and related support services in a protective setting. By supporting families and caregivers, an adult day services program enables the person to live in the community. An adult day services program assesses the needs of the persons served and offers services to meet those needs. The persons served attend on a planned basis. Nothing in this generic description of adult day services may be construed to modify the specific services or eligibility requirements referenced in the definition of adult day care and adult day health.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Adult day health is a supervised daytime program providing skilled nursing and rehabilitative therapy services in addition to core services outlined in Public Law 106-117 Section 101. (1) Adult day health services are only appropriate for adults with medical or disabling conditions that require the intervention or services of a registered nurse or licensed rehabilitative therapist acting under the supervision of the client's physician. (2) The adult day health center must offer and provide on site the following services: (a) All core services under PL 106-117 Section 101; (b) Skilled nursing services other than routine health monitoring with nurse consultation; (c) At least one of the following skilled therapy services: physical therapy, occupational therapy, or speech-language pathology or audiology, as those services are defined under PL 106-117 Section 101 respectively; and (d) Psychological or counseling services, including assessing for psycho-social therapy need, dementia, abuse or neglect, and alcohol or drug abuse; making appropriate referrals; and providing brief, intermittent supportive counseling. (a) The following personal care services as defined in PL 106-117 Section 101, "personal care services," or its successor: (i) Ambulation; (ii) Body care; (iii) Eating; (iv) Positioning; (v) Self-medication; (vi) Transfer; (vii) Toileting; (viii) Personal hygiene at a level that ensures client safety and comfort while in attendance at the program; and (ix) Bathing at a level that ensures client safety and comfort while in attendance at the program. (b) Social services on a consultation basis, which may include: (i) Referrals to other providers for services not within the scope of Medicaid reimbursed adult day care services; (ii) Caregiver support and education; or (iii) Assistance with coping skills. (c) Routine health monitoring with consultation from a registered nurse that a consulting nurse acting within the scope of practice can provide with or without a physician's order. Examples include: (i) Obtaining baseline and routine monitoring information on a client's health status, such as vital signs, weight, and dietary needs; (ii) General health education such as providing information about nutrition, illnesses, and preventive care; (iii) Communicating changes in the client's health status to the client's caregiver; (iv) Annual and as

needed updating of the client's medical record; (v) Assistance as needed with coordination of health services provided outside of the adult day care program. (d) General therapeutic activities that an unlicensed person can provide or that a licensed person can provide with or without a physician's order. These services are planned and provided as an integral part of the client's plan of care and are based on the client's abilities, interests and goals. Examples include: (i) Recreational activities; (ii) Diversionary activities; (iii) Relaxation therapy; (iv) Cognitive stimulation; (v) Group range of motion or conditioning exercises. (e) General health education that an unlicensed person can provide or that a licensed person can provide with or without a physician's order, including but not limited to topics such as: (i) Nutrition; (ii) Stress management; (iii) Disease management skills; (iv) Preventive care. (f) A nutritional meal and snacks provided each four-hour period at regular times comparable to normal meal times, including modified diet if needed and within the scope of the program, as provided under Public Law 106-117 Section 101; (g) Supervision and/or protection for clients who require supervision or protection for their safety; (h) Assistance with arranging transportation to and from the program; and (i) First aid and provisions for obtaining or providing care in an emergency.

**Applicant Eligibility:**

52.50 Eligible veterans. A veteran is an eligible veteran under this part if VA determines that the veteran meets the definition of a veteran in 38 U.S.C. 101, is not barred from receiving this VA care under 38 U.S.C. 5303, 5303A, needs adult day health care, and is within one of the following Categories listed below: Public Law 106-117 Section 101, Adult Day Health-Eligibility. (a) Veterans with service-connected disabilities; (b) Veterans who are former prisoners of war; (c) Veterans who were discharged or released from active military service for a disability incurred or aggravated in the line of duty; (d) Veterans who receive disability compensation under 38 U.S.C. 1151; (e) Veterans whose entitlement to disability compensation is suspended because of the receipt of retired pay; (f) Veterans whose entitlement to disability compensation is suspended pursuant to 38 U.S.C. 1151, but only to the extent that such veterans continuing eligibility for adult day health care is provided for in the judgment or settlement described in 38 U.S.C. 1151; (g) Veterans who VA determines are unable to defray the expenses of necessary care as specified under 38 U.S.C. 1722(a); (h) Veterans of the Mexican Border period or of World War I; (i) Veterans solely seeking care for a disorder associated with exposure to a toxic substance or radiation or for a disorder associated with service in the Southwest Asia theater of operations during the Gulf War, as provided in 38 U.S.C. 1710(e); (j) Veterans who agree to pay to the United States the applicable co-payment determined under 38 U.S.C. 1710(f) and 1710(g), if they seek VA (Department of Veterans Affairs) hospital, nursing home, or outpatient care. (Authority: 38 U.S.C. 101, 501, 1741, 1743).

**Beneficiary Eligibility:**

A veteran eligible for care in a VA facility needing adult day health care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; (b) has a non-service connected disability and sates under oath his inability to defray the expenses of necessary adult day health care; (c) was discharged or related from active military, naval and air services for a disability incurred or aggravated in the line of duty; or (d) is in receipt of, or but for the receipt of retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter of application from State addressed to the Chief Consultant, Geriatrics and Extended Care (114) Department of Veterans Affairs, 810 Vermont Avenue, N.W. Washington DC 20420.

**Award Procedure:**

Recognition by the Secretary of Veterans Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 1741.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

38 U.S.C. 1741. For each veteran provided adult day health care, formula payments to the State are \$64.13 per diem, or one-half the cost of care, whichever is less.

**Length and Time Phasing of Assistance:**

There is no length limitation; grant payments are made monthly to the state.

**Reports:**

Monthly reports and quarterly statements of Federal aid claims are filed by the State with VA field station of jurisdiction.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003). "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$400,000 a year in Federal awards are exempt from Federal audit requirement for that year, except as noted in Circular No. A-133."

**Records:**

Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Grants) FY 07 \$362,000; FY 08 est \$380,000; and FY 09 est \$399,000.

**Range and Average of Financial Assistance:**

\$22,686 to \$165,077; average \$93,882.

**PROGRAM ACCOMPLISHMENTS:**

The State Home ADHC program was able to provide outpatient adult day healthcare to 20 participants in FY 2007 and is estimated to provide for 21 and 22 participants in FY 2008 and FY 2009, respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1, Part I, Chapter 3, State Veterans Homes, and M-5, Part VIII.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Hospital Facilities.

**Headquarters Office:**

Chief Consultant, Geriatrics and Extended Care Service (114), Department of Veterans Affairs, Washington DC 20420. Chief, State Home Per Diem Program. Telephone: (202) 461-6771.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.010, Veterans Nursing Home Care.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.100 AUTOMOBILES AND ADAPTIVE EQUIPMENT FOR CERTAIN DISABLED VETERANS AND MEMBERS OF THE ARMED FORCES

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 39.

**OBJECTIVES:**

To provide financial assistance to certain disabled servicepersons and veterans toward the purchase price of an automobile or other conveyance and an additional amount for adaptive equipment deemed necessary to insure the eligible person will be able to operate or make use of the automobile or other conveyance. To provide adaptive equipment only for certain other disabled veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Assistance toward purchase of an automobile or other conveyance is a one-time payment only. Necessary adaptive equipment may be furnished, repaired, replaced, or reinstalled on a conveyance which may be purchased with assistance or any other conveyance subsequently or previously acquired. Adaptive equipment will be provided for no more than two conveyances during any four-year period unless one of those two vehicles becomes unavailable to the veteran.

**Applicant Eligibility:**

Veterans with honorable service and servicepersons on active duty having a service-connected disability due to loss or permanent loss of use of one or both feet, one or both hands, or a permanent impairment of vision of both eyes to a prescribed degree. For adaptive equipment only, eligibility also exists if there is service-connected ankylosis of one or both knees or one or both hips. Servicepersons on active duty also qualify under the same criteria as veterans.

**Beneficiary Eligibility:**

Disabled servicepersons and veterans.

**Credentials/Documentation:**

DD Form 214, "Certificate of Release or Discharge from Active Duty".

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-4502) may be obtained from any VA Office or Regional Office (see Appendix IV of the Catalog) and submitted to the Regional Office. Applications are also available on-line at <http://www.va.gov/vaforms/>.



**Award Procedure:**

Awards are authorized at the Regional Office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not available.

**Appeals:**

Available. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments) FY 07 \$53,443,000; FY 08 est \$57,300,000; and FY 09 est \$61,600,000.

**Range and Average of Financial Assistance:**

No statutory maximum for adaptive equipment; \$11,000 maximum for automobiles and other conveyances.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 1,371 vehicles were purchased; estimate for fiscal years 2008 and 2009 is 1,371 vehicles each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.808. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.013, Veterans Prosthetic Appliances.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.101 BURIAL EXPENSES ALLOWANCE FOR VETERANS****FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 2301, 2302, 2303, 2306, 2307, 2308.

**OBJECTIVES:**

To provide a monetary allowance not to exceed \$300 toward the plot or interment expense for certain veterans not buried in a national cemetery. Up to \$300 as a burial allowance is payable toward the burial expense of certain veterans. If death is the result of a service-connected disability, payments can be made to reimburse burial and funeral expenses not to exceed \$2,000 or that amount authorized under 5 U.S.C. 8134(a) whichever is greater. In addition to the statutory burial allowance, the cost of transporting the veterans' remains from place of death to site of burial is paid by VA if death occurs in a VA facility. The cost of transporting the remains from place of death to the national cemetery in which space is available nearest the veteran's last place of residence may also be paid if death was due to service-connected disability, or at the time of death the veteran was in receipt of or entitled to receive disability compensation, and burial is in a national cemetery. A headstone or marker may be authorized. Also, an American flag to drape the casket of a veteran may be provided.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

The person who bore the veteran's burial expense or the Funeral Director, if unpaid, is eligible for reimbursement of the burial expense. The next of kin, friend or associate of the deceased veteran is eligible for the flag.

**Beneficiary Eligibility:**

Bearer of veteran's burial expense or Funeral Director if unpaid.

**Credentials/Documentation:**

Burial and plot allowances are payable for a veteran whose discharge was under other than dishonorable conditions and who meet the following criteria: the deceased veteran was discharged or released from active duty for a disability incurred or aggravated in line of duty; or at the time of death the veteran was entitled to compensation or pension, or the deceased veteran was indigent or the deceased veteran was properly hospitalized at VA expense. In lieu of plot and burial allowances, the service-connected allowance is payable toward the burial expenses of a deceased veteran who died of a service-connected cause. Each wartime veteran, and each peacetime veteran who served at least one enlistment or was discharged or released from active duty because of a disability incurred or aggravated in line of duty is entitled to a flag to drape the casket.

**Preamplification Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-530) may be obtained from any VA office or regional office (see Appendix IV of the Catalog) and submitted to the regional office for burial benefits. Headstones and markers must be applied for on VA Form 40-1330 in accordance with the "General Information Sheet" and instructions attached to the application and submit it to the Department of Veterans Affairs. Applications are also available on-line at <http://www.va.gov/vaforms/>.

**Award Procedure:**

Awards are authorized at the regional office except for headstones and markers.

**Deadlines:**

Application for the burial allowance must be filed within two years of the veteran's burial. Public Law 110-157 effectively exempts state cemeteries from any time limits for submitting a claim for reimbursed plot or interment costs for unclaimed remains only, effective retroactively for interments or inurnments occurring on or after October 1, 2006. There is no deadline on receipt of the flag.

**Range of Approval/Disapproval Time:**

Approximately 79 percent completed in 90 days or less.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0155-0-1-701.

**Obligations:**

(Direct Payments) FY 07 \$168,875,000; FY 08 est \$212,428,000; and FY 09 est \$192,598,000.

**Range and Average of Financial Assistance:**

Up to \$300 for plot or interment expenses. Up to \$300 for burial allowance if death is not service-connected. Up to \$2,000 if death is service-connected. Transportation charges may be covered in certain cases.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 67,219 burial allowances and 500,000 burial flags were given. FY 2008 estimates are 82,111 burial allowances and 500,000 burial flags. FY 2009 estimates are 84,038 burial allowances and 500,000 burial flags.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.1600-3.1611. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-6-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.105, Pension to Veterans Surviving Spouses, and Children; 64.201, National Cemeteries; 64.202, Procurement of Headstones and Markers and/or Presidential Memorial Certificates.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

## CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

### 64.103 LIFE INSURANCE FOR VETERANS

(GI Insurance)

#### FEDERAL AGENCY:

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

#### AUTHORIZATION:

War Risk Insurance Act, as amended, Public Law 65-90; World War Veterans Act, Public Law 68-242, as amended; National Service Life Insurance Act, Public Law 76-801, as amended; Servicemen's Indemnity and Insurance Act, Public Law 82-23; Public Law 88-664; Public Law 92-95, as amended; Servicemembers' Group Life Insurance, Public Law 89-214, Public Law 105-368; as amended; Family Servicemembers' Group Life Insurance, Public Law 107-14; Traumatic Servicemembers' Group Life Insurance, Public Law 109-13; Public Law 109-80; Veterans Group Life Insurance, Public Law 93-289; Public Law 105-368; 38 U.S.C. 1903, 1922, 1923, 1925, 1941, 2106 and Subchapter III.

#### OBJECTIVES:

To provide life insurance protection for veterans of World War I, World War II, Korean conflict, Vietnam conflict, Gulf era conflicts and service-disabled veterans separated from active duty on or after April 25, 1951, and to provide mortgage protection life insurance for those disabled veterans who are given a VA grant to secure specially adapted housing under Chapter 21, Title 38, U.S.C.

Also to provide life insurance protection for current members of the uniformed services with coverage on their lives and the lives of their spouses and children.

#### TYPES OF ASSISTANCE:

Direct Loans.

#### USES AND USE RESTRICTIONS:

Life insurance settlement upon death of insured; or the insured may personally surrender a permanent plan policy for cash; or the insured may be granted a loan up to 94 percent of the cash surrender value of a permanent plan policy. Interest on United States Government Life Insurance (WWI) policy loans is charged at the rate of 5 percent per annum. Interest is charged at a variable rate which may change annually for National Service Life (WWII), Veterans Special Life (Korean conflict), Service-Disabled Veterans (Korean Conflict and Continuing) and Veterans Reopened Insurance policies. The variable rate equals the yield on the Ten-Year Constant Maturities Index for U.S. Treasury Securities for the month of June of each year rounded down to the next whole percentage. This loan rate is effective from the first day of October of each year and will not exceed 12 percent or be lower than 5 percent per annum. Dividends are paid on United States Government Life (WWI), National Service Life (WWII), Veterans Special Life (Korean Conflict), and Veterans Reopened Insurance. Dividends are not paid on Service-Disabled Veterans Insurance (Korean Conflict and continuing), or the Veterans Mortgage Life Insurance. The face amount of the policy, less any indebtedness on the policy, is payable to the designated beneficiary upon the insured's death under a regular life policy, and only to the mortgage holder under Veterans Mortgage Life Insurance coverage. In Servicemembers' Group Life Insurance, life insurance settlement upon death of insured, insured's spouse or insured's dependent children and the Accelerated Benefits Option can be used on both the member's own coverage and coverage of the member's spouse. In Veterans' Group Life Insurance, life insurance settlement upon death of the insured.

#### Applicant Eligibility:

All of the programs are closed for new issues except Service-Disabled Veterans Insurance, Veterans Mortgage Life Insurance, Service members' Group Life Insurance and Veterans Group Life Insurance. A veteran discharged from active military duty, on or after April 25, 1951, who has been granted a service connection for a new disability, and who, if not for the disability would be otherwise insurable in accordance with the established standards of good health, applies for such coverage within 2 years from the date of notice of the VA service-connected rating, may be issued Service-Disabled Veterans Insurance. (The time period in which to apply is limited to one year from the date of notice of the VA service-connected rating if the notice was provided before September 1, 1991.) A veteran insured under Service-Disabled Veterans Insurance who qualifies for waiver of premiums, who is under age 65 and who applies within one year from date of notice from VA that he/she qualifies for waiver of premiums, may be issued Supplemental Service-Disabled Veterans Insurance coverage. A veteran who has been given a VA grant for specially adapted housing will be sent notice that he/she is automatically insured for mortgage protection unless he/she elects in writing not to be so insured, or fails to respond within 60 days after a final request for information on which premium can be based is mailed to him/her. Service members are automatically covered for the maximum coverage amount of life insurance on themselves and a spouse, unless the member declines or reduces the coverage in writing. Service members are also automatically covered by Servicemembers' Traumatic Injury Protection (TSGLI), which provides automatic traumatic injury coverage to all service

members under SGLI. TSGLI provides for payment between \$25,000 and \$100,000 (depending on the type of injury) to SGLI members who sustain a traumatic injury that results in certain severe losses. Coverage of children is on "dependent" children and no premium is paid. Veterans are eligible to convert their Service members' Group Life Insurance in an amount up to the coverage held on their date of discharge. If a veteran is totally disabled at time of discharge, the veteran is eligible for a one-year disability extension of their Service members' Group Life Insurance and the conversion to Veterans' Group Life Insurance.

#### Beneficiary Eligibility:

The veteran may apply for either type of insurance. However, if the veteran is mentally incompetent, a VA recognized fiduciary may apply on his/her behalf for Service-Disabled Veterans Insurance. Service-Disabled Veterans Insurance may also be granted under certain conditions to mentally incompetent veterans who were otherwise eligible for such insurance, but due to their incompetency, died without filing an application.

#### Credentials/Documentation:

The veteran may apply for either type of insurance. However, if the veteran is mentally incompetent, a VA recognized fiduciary may apply on his/her behalf for Service-Disabled Veterans Insurance. Service-Disabled Veterans Insurance may also be granted under certain conditions to mentally incompetent veterans who were otherwise eligible for such insurance, but due to their incompetency, died without filing an application.

#### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

None.

#### Award Procedure:

None. This program is excluded from coverage under E.O. 12372.

#### Deadlines:

Upon receipt of VA's notice of eligibility for Service-Disabled Veterans Insurance, a veteran may apply by submitting the application on VA Form 29-4364. Upon receipt of notice from VA that he/she qualifies for waiver of premiums, an individual insured under Service-Disabled Veterans Insurance may apply for additional supplemental coverage by submitting an application on VA Form 29-0190. He/she may be guided by VA Pamphlet 29-9 in selecting the type of policy. The form and pamphlet may be obtained from the nearest VA office (listed in Appendix IV of the Catalog) and submitted to the Philadelphia VA Regional Office and Insurance Center, P.O. Box 7208, Philadelphia, PA 19101. A veteran eligible for Veterans Mortgage Life Insurance need only submit information and documentation to the Philadelphia VA Regional Office and Insurance Center, P.O. Box 7208, Philadelphia, PA 19101. For Veterans' Group Life Insurance, veterans must make application on SGLV 8283. Veterans must apply for the Disability Extension of Service members' Group Life Insurance on SGLV 8715. These applications are sent to OSGLI, P.O. Box 41618, Philadelphia, PA 19176. For a TSGLI payment, the member must use the TSGLI Certification form, GL.2005.261 to apply for TSGLI benefits. The TSGLI certification form has three parts. Part A must be completed by the service member, the appointed guardian, or the attorney-in-fact and Part B must be completed by the attending medical professional. The form must then be submitted to the member's branch of service TSGLI certifying official for completion of Part C. Names and addresses of the TSGLI certifying officials for each branch of service can be found in the TSGLI Procedures Guide on the Department of Veteran's Affairs Insurance website. Once this determination is made, the certifying official will forward the certification form to OSGLI.

#### Range of Approval/Disapproval Time:

Service-Disabled Veterans Insurance is issued by the Philadelphia Regional Office and Insurance Center to any veteran meeting the requirements listed under Applicant Eligibility above. Veterans Mortgage Life Insurance is automatically issued to all veterans receiving a grant for specially adapted housing. Veterans' Group Life Insurance and Disability Extension of Service members' Group Life Insurance are issued by the Office of Service members' Group Life Insurance to any veteran meeting the requirements listed under the Applicant Eligibility above.

#### Appeals:

Generally within 2 years following the date of notice of VA's service-connected rating for Service-Disabled Insurance (the time period in which to apply is limited to one year from the date of notice of the VA Service-Connected rating if the notice was provided before September 1, 1991.) Check with local VA office for exceptions. For Service-Disabled Veterans Insurance supplemental coverage, the time period in which to apply is one year from the date of VA's notice that the veteran qualifies for waiver of premiums. For Veterans Mortgage Life Insurance the veteran must apply before age 70. For Veterans' Group Life Insurance, the veteran has 120 days from discharge to convert with no requirement of good health. A veteran has another year in which conversion can be done, but good health required. For the Disability Extension of Servicemembers' Group Life Insurance, the veteran must make application within the two-year period for which the extension would be granted. There are currently no time limits for TSGLI claims.

#### Renewals:

From 1 to 3 months upon application for Service-Disabled Veterans Insurance after VA's notice of the service-connected rating. The time frame for approval/disapproval after an application for Supplemental Service Disabled Veterans Insurance coverage is received in VA is 1 month. Mortgage Protection Life Insurance is effective immediately upon approval of a specially adapted housing grant. The time frame for approval/disapproval after an application for Veterans' Group Life Insurance or Disability Extension of Servicemembers' Group Life Insurance is received by the Office of Servicemembers' Group Life Insurance is 2 to 4 weeks.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-8150-0-7-701; 36-8132-0-7-701; 36-8455-0-8-701; 36-4012-0-3-701; 36-4010-0-3-701; 36-0120-0-1-701.

**Obligations:**

(Death claims, disability claims, mature endowments, cash surrenders, dividends, interest paid on dividend credits and deposits, payments to VA's General Operating Expenses appropriation for administrative expenses, policy liens established.) FY 07 \$3,149,116; FY 08 est \$3,117,896; FY 09 est \$2,599,540.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

For all States, contact the Department of Veterans Affairs, P.O. Box 42954, Philadelphia, PA 19101. This office should also be contacted about Mortgage Protection Life Insurance, Servicemembers' Group Life Insurance and Veterans' Group Life Insurance.

**Headquarters Office:**

Department of Veterans Affairs Regional Office and Insurance Center, P.O. Box 42954, Philadelphia, PA 19101. For all States and Mortgage Protection Life Insurance call (1-800) 669-8477.

**Web Site Address:**

<http://www.insurance.va.gov>.

**RELATED PROGRAMS:**

64.105, Pension to Veterans Surviving Spouses, and Children; 64.106, Specially Adapted Housing for Disabled Veterans; 64.109, Veterans Compensation for Service-Connected Disability; 96.001, Social Security\_Disability Insurance; 96.004, Social Security\_Survivors Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 64.104 PENSION FOR NON-SERVICE-CONNECTED DISABILITY FOR VETERANS

(Pension)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1511, 1512, 1521.

**OBJECTIVES:**

To assist wartime veterans in need whose non-service-connected disabilities are permanent and total preventing them from following a substantially gainful occupation.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Those veterans who have had 90 days or more of honorable active war-time service in the Armed Forces or if less than 90 days wartime service were released or discharged from such service because of a service-connected disability, who are permanently and totally disabled for reasons not necessarily due to service. Income restrictions are prescribed. Pension is not payable to those whose estates are so large that it is reasonable they use the estate for maintenance. Veterans discharged on or after October 16, 1981, must have served for 2 years or the

length to which called, if less than 2 years, or have a service-connected disability (38 U.S.C.5303(A)).

**Beneficiary Eligibility:**

Disabled veterans.

**Credentials/Documentation:**

Military discharge certificate showing the separation from service was under other than dishonorable conditions. The veteran must have a permanent and total disability preventing a substantially gainful occupation. His or her income and net worth must be limited as prescribed by statute.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-526) may be obtained from a local or regional VA Office (see Appendix IV of the Catalog) and submitted to the Regional Office. Veterans may also apply on-line a [www.va.gov](http://www.va.gov).

**Award Procedure:**

Awards are authorized at the regional office.

**Deadlines:**

None. Entitlement is established from the date of receipt of the application, or the date the veteran became permanently and totally disabled, if disability prevents the veteran from applying for 30 days or more and if the application is received within 1 year of the date of disablement.

**Range of Approval/Disapproval Time:**

Approximately 87 percent completed in 180 days or less.

**Appeals:**

Available. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

The veteran must promptly report any change in his or her income, net worth or dependency status. Additionally, income verification requests are sent to the veteran periodically.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments) FY 07 \$2,834,696,000; FY 08 est \$2,972,505,000; and FY 09 est \$3,053,154,000.

**Range and Average of Financial Assistance:**

Payments are \$11,181 annually, reduced by countable income for a veteran without dependents (\$18,654 if in need of aid and attendance and \$13,664 if housebound) and \$14,643 for a veteran with one dependent (\$22,113 if in need of aid and attendance and \$17,126 if housebound) plus \$1,909 for each additional dependent. Also, an additional \$2,538 is added if a veteran is of the WWI or Mexican Border Period. These payments apply for the Improved Law Program.

**PROGRAM ACCOMPLISHMENTS:**

During FY 07, 325,378 veterans received pensions. Estimates for subsequent years are: FY 08, 322,066 and FY 09, 318,786.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.3. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-79054. The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

96.005, Special Benefits for Disabled Coal Miners.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.105 PENSION TO VETERANS SURVIVING SPOUSES, AND CHILDREN

(Death Pension)



**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1541, 1542, 1543.

**OBJECTIVES:**

To assist needy surviving spouses, and children of deceased war-time veterans whose deaths were not due to service.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Unmarried surviving spouses and children of deceased veterans who had at least 90 days of honorable active war-time service or, if less than 90 days during war-time, were discharged for a service-connected disability. Veterans discharged on or after October 16, 1981, must have served for two years or the length to which called to active duty, if less than two years, or have a service-connected disability (38 U.S.C. 5303(A)). Income restrictions are prescribed. A child must be unmarried and under 18, between 18 and 23 if in school, or disabled before 18 and continuously incapable of self-support. Pension is not payable to those whose estates are so large that it is reasonable they use the estate for maintenance.

**Beneficiary Eligibility:**

Needy surviving spouses and children of deceased war-time veterans.

**Credentials/Documentation:**

Military discharge certificate, marriage certificate, and birth certificate(s). Income and net worth must be limited as prescribed by statute.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-534) may be obtained from any VA office or regional office (see Appendix IV of the Catalog) and submitted to the regional office. Applications are also available on-line at <http://www.va.gov/vaforms/>.

**Award Procedure:**

Awards are authorized by the Regional Office.

**Deadlines:**

Effective December 2004, entitlement may be established from the first day of the month in which the veteran died if the application is received within one year of the death; otherwise, entitlement is established from the date of receipt of the claim.

**Range of Approval/Disapproval Time:**

Approximately 72 percent completed in 180 days or less.

**Appeals:**

Available. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

A surviving spouse, or child must promptly report a change in marital status and income. Additionally, a change in schooling for a child over 18 but under 23 must be reported. Eligibility verification requests are sent periodically.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments) FY 07 \$828,121,000; FY 08 est \$896,414,000; and FY 09 est \$952,792,000.

**Range and Average of Financial Assistance:**

\$7,498 annually, reduced by countable income for a spouse without children (\$11,985 if in need of aid and attendance and \$9,164 if housebound) and \$9,815 for a surviving spouse with one child (\$14,298 if in need of aid and attendance and \$11,478 if housebound) plus \$1,909 for each additional child. These rates were effective December 1, 2007 for Improved Law Pensions.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 198,047 survivors cases received pension. The figures for subsequent periods are: FY 08, an estimated 200,317 cases; and FY 09, an estimated 198,949 cases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.3. "Federal Benefits for Veterans and Dependents," Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number: 051-000-00-233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field

offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.101, Burial Expenses Allowance for Veterans; 64.103, Life Insurance for Veterans; 96.004, Social Security\_Survivors Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.106 SPECIALLY ADAPTED HOUSING FOR DISABLED VETERANS**

(Paraplegic Housing)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 80-702, 96-385, 105-178, and 109-233; 38 U.S.C. 2101-2106.

**OBJECTIVES:**

To help certain severely disabled veterans acquire a home which is suitably adapted to meet the special needs of their disabilities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

a. The Specially Adapted Housing (SAH) program provides 50 percent of the cost to the veteran of the adapted house, land, and allowable expenses, not to exceed a maximum grant of \$50,000. The money may be used to help (1) construct a suitable home on suitable land either already owned or to be acquired by the veteran, or (2) remodel an existing home if it can be suitably adapted, or (3) acquire a suitably adapted home or reduce the outstanding mortgage on a suitably adapted home already owned by the veteran. In computing the amount of the grant, the costs may include incidental expenses such as connections to public facilities and customary fees for the services of an attorney, architect, loan closing, etc. There are restrictions on the use of a grant; if a loan is necessary to supplement the grant, monthly loan payments and the cost of maintaining the property must bear a proper relation to the veteran's present and anticipated income. The housing unit must also be suitable for the veteran's special needs, and the veteran must acquire acceptable title to the property. b. The Special Housing Adaptations (SHA) program provides the actual cost to the veteran of certain adaptations and/or equipment, not to exceed a maximum grant of \$10,000. The home to be adapted must be owned by the veteran or by a member of the veteran's family, and the veteran must intend to continue residing there. c. The Temporary Residence Adaptations (TRA) program provides adaptation assistance to veterans who are residing, but do not intend to permanently reside, in the a residence owned by a family member. If a veteran is otherwise eligible for SAH, the assistance is limited to \$14,000. If a veteran is otherwise eligible for SHA, the assistance is limited to \$2,000. d. SAH and SHA grants may be used up to three times, as long as the aggregate grant amount does not exceed the statutory dollar limitation. TRA grants may only be used once (and count as a grant usage for purposes of the limit of three), and the amount of assistance provided will be subtracted from the veteran's available statutory maximum.

**Applicant Eligibility:**

For a SAH grant, veterans are eligible if they are entitled to compensation under chapter 11 for a permanent, total, and service-connected disability due to: (1) loss or loss of use of both lower extremities, such as to preclude locomotion without the aid of braces, canes, crutches, or a wheelchair; (2) blindness in both eyes, having only light perception, plus loss or loss of use of one lower extremity; (3) loss or loss of use of one lower extremity, together with residuals of organic disease or injury, or the loss or loss of use of one upper extremity, which so affect the functions of balance or propulsion as to preclude locomotion without the aid of braces, crutches, canes, or a wheelchair; or (4) loss or loss of use, of both upper extremities such as to preclude use of the arms at or above the elbows. It must be medically feasible for the veteran to reside in the particular home involved. For a SHA grant, veterans are eligible if they are entitled to compensation under chapter 11 for a permanent and total service-connected disability that (1) is due to blindness in both eyes with 5/200 visual acuity or less, or (2) includes the anatomical loss or loss of use of both hands.

**Beneficiary Eligibility:**

Permanently and totally disabled veterans.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Initial application for determination of basic eligibility may be made on VA Form 26-4555 to the VA regional office holding the veteran's claim folder. After eligibility is determined, a VA employee will personally assist the veteran throughout subsequent processing, including advice on a suitable house plan and lot, adaptive features, location of a qualified architect and builder, and submission of the documents necessary for final grant approval.

**Award Procedure:**

The VA Regional Office releases the grant proceeds after conditions of the contract and grant approval are fulfilled.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Initial interview completed within 40 days of determination of eligibility. Grant approval timeline varies and is dependent upon veteran's desires to move forward with securing contractors and drafting construction plans.

**Appeals:**

Denial of eligibility is appealable through the Board of Veterans' Appeals. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

For a SAH grant, VA provides 50 percent of the cost to the veteran of the housing unit, land, fixtures and allowable expenses, not to exceed a maximum grant of \$50,000. For a SHA grant, VA provides the lesser of (1) the actual cost of adaptations, or (2) \$10,000.

**Length and Time Phasing of Assistance:**

Usually, if a veteran already owns a suitable house, the grant is released in lump sum. In remodeling and construction cases, the grant is released by specified construction completion phases approved by VA.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments) FY 07 \$27,764,000; FY 08 est \$35,910,000; and FY 09 est \$35,910,000.

**Range and Average of Financial Assistance:**

SAH: For the housing unit, land, fixtures, and allowable expenses, up to \$50,000. SHA: For adaptations to the veteran's residence, up to \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 805 grants were made to disabled veterans. In both FY 08 and FY 09, 811 expected to be made to disabled veterans. Output for FY 08 is expected to be 620.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.809, 36.4400-36.4411, and title 38, United State Code, chapter 21; "Questions and Answers on Specially Adapted Housing for Veterans," VA Pamphlet 26-69-1, no charge; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is 051-000-00233-4. "Handbook for Design, Specially Adapted Housing," VA Pamphlet 26-13, available to eligible veterans.

**Regional or Local Office:**

Applicants should communicate with the nearest VA Regional Office. Case development and assistance will be provided by the VA office with jurisdiction over the location of the property involved. See Appendix IV of the Catalog for addresses of these offices listed under Department of Veterans Affairs. Information may be obtained from the nearest Regional Office by calling toll free 1-800- 827-1000.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9500.

**Web Site Address:**

<http://www.homeloans.va.gov/SAH> .

**RELATED PROGRAMS:**

64.103, Life Insurance for Veterans; 64.114, Veterans Housing\_Guaranteed and Insured Loans; 64.118, Veterans Housing\_Direct Loans for Certain Disabled Veterans; 64.119, Veterans Housing\_Manufactured Home Loans.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 64.109 VETERANS COMPENSATION FOR SERVICE-CONNECTED DISABILITY

(Compensation)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1110, 1131.

**OBJECTIVES:**

To compensate veterans for disabilities incurred or aggravated during military service according to the average impairment in earning capacity such disability would cause in civilian occupations.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Persons who have suffered disabilities resulting from service in the Armed Forces of the United States. The disability must have been incurred or aggravated by service in the line of duty. Separation from service must have been under other than dishonorable conditions for the period in which the disability was incurred or aggravated.

**Beneficiary Eligibility:**

Disabled veterans.

**Credentials/Documentation:**

DD Form 214, "Certificate of Release or Discharge from Active Duty".

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-526) may be obtained from any VA office or regional office (see Appendix IV of the Catalog) and submitted to the regional office. An application may be completed on-line at [www.va.gov](http://www.va.gov).

**Award Procedure:**

Awards are authorized at the regional office.

**Deadlines:**

None, but it must be filed within one year after separation from service in order for entitlement to be established from the day following discharge; otherwise, entitlement is established only from the date of receipt of the claim.

**Range of Approval/Disapproval Time:**

Approximately 55 percent completed in 180 days or less.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

The veteran must submit to an examination at the request of the Department of Veterans Affairs when necessary to evaluate the present extent of the disabilities. Failure to appear for such examination may result in suspension of benefits.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments) FY 07 \$29,091,160,000; FY 08 est \$32,456,880,000; and FY 09 est \$34,689,066,000.

**Range and Average of Financial Assistance:**

Basic rates of compensation range from \$117 for a 10 percent degree of disability to a maximum of \$7,232 a month for specified very severe disabilities.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 2,789,490 disabled veterans received compensation. FY 08 estimate, 2,899,829 veterans; and FY 09 estimate, 3,014,841 veterans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.4; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.103, Life Insurance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.110 VETERANS DEPENDENCY AND INDEMNITY COMPENSATION FOR SERVICE-CONNECTED DEATH**

(DIC and Death Compensation)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1121, 1141, 1310, 1311, 1312, 1313, 1314, 1315, 1316, 1318.

**OBJECTIVES:**

To compensate surviving spouses, children and parents for the death of any veteran who died because of a service-connected disability, or while in the active military, naval or air service.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Death Compensation is payable to an unmarried surviving spouse, unmarried children and dependent parent or parents of the deceased veteran who must have died before January 1, 1957, because of a service-connected disability. For deaths on or after January 1, 1957, Dependency and Indemnity Compensation (DIC) is payable. Effective January 2005, surviving spouses who receive DIC and have one or more children under age 18 will receive \$250 a month in addition to their current rate. This increased rate applies only to months "occurring" during the two-year period beginning on the date entitlement to DIC began. It ceases on the first month beginning after the expiration of the two-year period or the month in which all of the surviving spouse's children have attained the age of 18, or are removed from the award, whichever is earlier.

**Beneficiary Eligibility:**

Surviving spouses, children and parents of deceased veterans.

**Credentials/Documentation:**

Death certificate, marriage certificate, birth certificate(s), and military discharge certificate.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-534 for surviving spouses, and or children; 21-535 for parents) may be obtained from any VA office or regional office (see Appendix IV of the Catalog) and submitted to the regional office. Applications are also available on-line at <http://www.va.gov/vaforms/>.

**Award Procedure:**

Awards are authorized at the regional office.

**Deadlines:**

None, but entitlement is established from the first day of the month in which the veteran's death occurred if the claim is received within 1 year after the date of death; otherwise, entitlement is established from the date of receipt of the claim.

**Range of Approval/Disapproval Time:**

Approximately 77 percent completed in 180 days or less.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Any change in the marital status of a surviving spouse, child, or parent must be reported promptly. Also, a change in school attendance of children over 18 must be reported. Parents must report changes in income promptly. Parents are sent an eligibility verification report to review continued eligibility and changes of rates based on changes of income.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments) FY 07 \$4,547,883,000; FY 08 est 4,751,938,000; and FY 09 est \$4,974,508,000.

**Range and Average of Financial Assistance:**

Monthly rates of DIC range from \$462 for one child when no spouse is entitled;

from \$1,091 to \$2,328 for a surviving spouse, with \$271 additional if the surviving spouse is in need of aid and attendance, or \$128 if housebound. A surviving spouse is also entitled to an additional \$271 monthly for each child under age 18. Monthly rates for parents range from \$5 to \$537 depending upon income and whether single or married. An additional \$291 is payable if the parent is in need of aid and attendance. Monthly Death Compensation ranges from \$87 for a surviving spouse to \$121 for a widow or widower with one child; plus \$29 for each additional child. An additional allowance of \$79 if widow, widower or dependent parent is in need of aid and attendance. Assistance for a dependent parent is \$75 for one alone and \$80 for two.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 332,837 cases of survivors were receiving benefits. Estimates for subsequent periods are: fiscal year 2008, 336,824 and fiscal year 2009, 341,502.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.4(C) and 3.5; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954 Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.114, Veterans Housing\_Guaranteed and Insured Loans; 64.117, Survivors and Dependents Educational Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.114 VETERANS HOUSING-GUARANTEED AND INSURED LOANS**

(VA Home Loans)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Law 109-461, 38 U.S.C. 3710.

**OBJECTIVES:**

To assist veterans, certain service personnel, and certain unmarried surviving spouses of veterans, in obtaining credit for the purchase, construction or improvement of homes on more liberal terms than are generally available to non-veterans.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

VA may guarantee or insure home loans made to eligible applicants for any of the following purposes: (a) buy or build a home; (b) simultaneously purchase and improve a home; (c) repair, alter or improve a home; (d) improve a home through installation of a solar heating and/or cooling system, or other energy conservation improvements; (e) buy a one-family residential unit in an approved condominium housing project; (f) refinance a mortgage or other lien on a house owned by the applicant; (g) refinance an existing VA loan to reduce the interest rate (h) purchase a manufactured home to be permanently affixed to a lot that is already owned by the applicant; (i) purchase a manufactured home and a lot to which the home will be permanently affixed; (j) refinance at a lower interest rate an existing VA-guaranteed loan which is secured by a manufactured home permanently affixed to a lot owned by the applicant; (k) refinance an existing loan that was made for the purchase of, and that is secured by, a manufactured home that is permanently affixed to a lot and to purchase the lot to which the manufactured home is affixed; (l) purchase a unit in a cooperative development. Restrictions on guaranteed financing are that: (a) the borrower must own and occupy, as his or her home, the housing unit securing the loan; (b) for refinancing loans to reduce the interest on an existing VA loan previous occupancy is acceptable; (c) the nature and condition of the unit must be suitable for dwelling; (d) maximum loan amount may not exceed the property value established by VA; (e) for cash-out refinancing loans, except for specified situations where the loan limit may preclude lien satisfaction the loan may be no more than 90 percent of the property value as established by VA and the borrower must own and occupy the property; (f) the terms of repayment must bear a proper relationship to the applicant's present and anticipated income and expenses; (g) the applicant must be a satisfactory credit risk; (h) if the loan involves a permanently sited manufactured home, then that home must be



classified and taxed as real property.

**Applicant Eligibility:**

(a) Veterans who served on active duty on or after September 16, 1940, and were discharged or released under conditions other than dishonorable. Veterans who served any time during World War II, the Korean Conflict, the Vietnam-era, or the Persian Gulf War must have served on active duty 90 days or more; veterans with peacetime service only must have served a minimum of 181 days continuous active duty. All veterans separated from enlisted service which began after September 7, 1980, or service as an officer which began after October 16, 1981, must also have served at least 24 months of continuous active duty or the full period for which the person was called or ordered to active duty. Veterans of such recent service may qualify with less service time if they have a compensable service-connected disability or were discharged after at least 181 days (90 days during Persian Gulf War), under the authority of 10 U.S.C. 1171 or 1173; or (b) any veteran in the above classes with less service but discharged with a service-connected disability; (c) individuals may also be eligible if they were released from active duty due to an involuntary reduction in force, certain medical conditions, or in some instances, for the convenience of the Government; (d) unmarried surviving spouses of otherwise eligible veterans who died in service or whose deaths were attributable to service-connected disabilities Note: A surviving spouse who remarries on or after attaining age 57, may be eligible for the home loan benefit. However, a surviving spouse who remarried before December 16, 2003, must have applied no later than December 15, 2004 to establish home loan eligibility. VA must deny applications from surviving spouses who remarried before December 16, 2003; (e) service personnel who have served at least 181 days on continuous active duty status (90 days until the ending date for the Persian Gulf War has been set); (f) spouses of members of the Armed Forces serving on active duty, who are listed as missing in action, or as prisoners of war and who have been so listed 90 days or more; (g) members of the Selected Reserve who are not otherwise eligible for home loan benefits and who have completed a total of six (6) years in the Selected Reserves, followed by an honorable discharge, placement on the retired list, or continued service. Individuals who completed less than 6 years may be eligible if discharged for a service connected disability. Applicants must have sufficient present and prospective income to meet loan repayment terms and have a satisfactory credit record.

**Beneficiary Eligibility:**

Veterans, service personnel, and unmarried surviving spouses of veterans.

**Credentials/Documentation:**

Evidence of the veteran's entitlement for loan benefits and qualification for the loan purpose, documentation on the loan transaction, and characteristics of the property proposed to secure the loan.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants can apply for a Certificate of Eligibility by mail through the VA Eligibility Center or ask their lender to apply through the WebLGY Eligibility program. Application for guaranty is also made by the lender through VA's WebLGY program or by mail through the appropriate VA Regional Loan Center.

**Award Procedure:**

Evidence of guaranty will be issued to the lender either electronically (if application was made online) or by the appropriate VA Regional Loan Center.

**Deadlines:**

The pilot program for cooperative housing units will end on December 22, 2011. Contact the Headquarters Office listed below for deadline information.

**Range of Approval/Disapproval Time:**

Certificates of Eligibility are usually issued within 10 days after receipt of application via mail. Many Certificates of Eligibility can be issued in 'real time' through the WebLGY system. Issuance of guaranty can be obtained, in most cases, immediately through WebLGY. Applications for guaranty received via mail are usually issued within 10 days of receipt.

**Appeals:**

Denial of eligibility is appealable through Board of Veterans' Appeals. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

None.

**Formula and Matching Requirements:**

The lender is guaranteed against loss at a rate of up to 50 percent for loans of \$45,000 or less; for loans of more than \$45,000 and not more than \$56,250, \$22,500 is guaranteed; for loans of more than \$56,250 and not more than \$144,000, the guaranty is the lesser of \$36,000 or 40 percent of the loan; for loans of more than \$144,000 made for the purchase or construction of a home, the lesser of an amount equal to 25 percent of the Freddie Mac conforming loan limit for a single family residence or 25 percent is guaranteed. To refinance the outstanding balance of an existing VA guaranteed home loan to a lower interest rate, the minimum guaranty is 25 percent.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

As a condition of continued guaranty or insurance coverage, the holder of the loan must notify the guaranteeing or insuring VA office of the borrower's default on installment payments or other contract terms, and of any substantive change in the terms of the contract or the security. Reporting time limitations are specified in VA regulations.

**Audits:**

VA has the right to audit loan accounting records until expiration of the guaranty or insurance.

**Records:**

Until VA ceases to be liable as the guarantor or insurer of a loan, the lender or loan holder must maintain adequate records on the amount and dates of payments received and disbursements made on guaranteed or insured loans.

**Account Identification:**

36-4129-0-3-704.

**Obligations:**

(Closed Loans Guaranteed) FY 07 \$24,186,118,000; FY 08 est \$34,761,311,000; and FY 09 est \$35,816,558,000.

**Range and Average of Financial Assistance:**

The guaranty is 50 percent for loans of \$45,000 or less; and for loans greater than \$45,000 and not more than \$56,250, \$22,500 is guaranteed. For loans of more than \$56,250 up to \$144,000, the guaranty is \$36,000 or 40 percent, whichever is less. For loans greater than \$144,000 for the purchase or construction of a home or a condominium unit, the lesser of an amount equal to 25 percent of the Freddie Mac conforming loan limit for a single family residence or 25 percent of the loan is guaranteed. To refinance the outstanding balance of an existing VA guaranteed home loan to a lower interest rate, the minimum guaranty is 25 percent.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, VA guaranteed \$24.2 billion in loans to finance the purchase or refinance of 129,261 conventionally constructed homes and condominium units. In FY 08, VA guaranteed \$34.8 billion in loans to purchase or refinance 180,000 and for FY 09 it is estimated that VA will guarantee \$35.8 billion in loans to purchase or refinance 180,000 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 36.4300-4375, 36.4390-36.4393, and 36.4800-36.4893; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "VA-Guaranteed Home Loans For Veterans," VA Pamphlet 26-; "Pointers For the Veteran Homeowner," VA Pamphlet 26-4; "To the Homebuying Veteran," VA Pamphlet 26-6; "Lenders Handbook, Guaranteed and Insured Loans," VA Pamphlet 26-7.

**Regional or Local Office:**

Loan applications are processed completely by the Veterans Benefits Administration Regional Loan Centers for their respective geographic area jurisdictions. Initial contact should be made with the appropriate office listed in Appendix IV of the Catalog under Veterans Benefits Administration.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9500.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

15.124, Indian Loans\_Economic Development; 64.102, Compensation for Service-Connected Deaths for Veterans' Dependents; 64.106, Specially Adapted Housing for Disabled Veterans; 64.118, Veterans Housing\_Direct Loans for Certain Disabled Veterans; 64.119, Veterans Housing\_Manufactured Home Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.115 VETERANS INFORMATION AND ASSISTANCE

(Veterans Services)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 512, 314, 315, 316, 701, 7721, 7722, 7723, 7724.

**OBJECTIVES:**

To provide all necessary information and assistance to potential claimants and other interested parties about veterans benefits and to provide locations within each State where this assistance can be obtained.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

Department of Veterans Affairs personnel provide information and assistance on

all benefits legislated by the Congress for veterans of the active military, naval or air service of this country (to include the Public Health Service, the National Oceanic and Atmospheric Administration, and certain World War II Merchant Marines). These include compensation, pension, loan guaranty, vocational rehabilitation and employment, and education, insurance, hospitalization, domiciliary care, outpatient medical and dental treatment, automobiles and specially adapted houses for disabled veterans, burial and survivor's benefits. They help the veteran and dependents file claims, secure supporting evidence and, on request, represent the claimant to the VA adjudicative or medical authorities. Special outreach emphasis is placed on specific target populations. These include the aged, the ill, former prisoners of war, women veterans, recently separated veterans, survivors of service members killed on active duty, and the homeless. Service includes providing information and personal service on matters which affect veterans, but are under the jurisdiction of other Federal, State, county or local agencies.

**Applicant Eligibility:**

Generally, veterans, their dependents and beneficiaries, their representatives or other interested parties.

**Beneficiary Eligibility:**

Eligibility for the benefits is controlled by specific legislation, but the assistance is available to all.

**Credentials/Documentation:**

None for assistance, although various proofs are needed for the benefits.

**Preapplication Coordination:**

All recently discharged or separated veterans are furnished a package of informational materials on the full range of veterans benefits. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Phone, write or visit the nearest VA regional office, Center or VA Office listed in Appendix IV of the Catalog.

**Award Procedure:**

Veterans and dependents are provided with necessary applications for benefits and are assisted in the preparation of the applications, which are then forwarded to the appropriate units within VA for development.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Personnel provide assistance with development of appeals for basic benefits.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

Not identified separately.

**Obligations:**

(Salaries and Expenses) Not Separately Identifiable. (NOTE: The responsibility for assistance and funds has been spread to the five direct programs to facilitate GPRA implementation.)

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

More than 21 million contacts are completed annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "A Summary of VA Benefits," VA Pamphlet 21-00-1; VA Benefits for Survivors, VA Pamphlet 21-03-1; and on-line at [www.va.gov](http://www.va.gov).

**Regional or Local Office:**

Application and contact should be made with the Veterans Benefits Administration field offices as shown in Appendix IV of the Catalog under Veterans Benefits Administration.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

17.803, Uniformed Services Employment and Reemployment Rights; 27.002, Federal Employment Assistance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.116 VOCATIONAL REHABILITATION FOR DISABLED VETERANS**

(Vocational Rehabilitation)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Veterans' Rehabilitation and Education Amendments of 1980, Public Laws 96-466, 101-237, 101-508, 102-16, 102-83, 102-568, 104-275, 38 U.S.C. 3102.

**OBJECTIVES:**

To provide all services and assistance necessary to enable service-disabled veterans and service persons hospitalized or receiving outpatient medical care services or treatment for a service-connected disability pending discharge to get and keep a suitable job. When employment is not reasonably feasible, the program can provide the needed services and assistance to help the individual achieve maximum independence in daily living.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Direct Payments for Specified Use; Direct Loans; Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

The program offers the services and assistance necessary for an individual to increase their level of independence in daily living, or obtain and retain suitable employment. This is employment that matches the individual's aptitudes, interests, and abilities and does not worsen the individual's disabilities. An individual may reach an employment goal directly by receiving job seeking and job placement services. If direct placement is not possible, the program provides education or training to qualify the individual for employment. If the individual requires education or training, the program provides for direct payment to service providers for the entire cost of tuition, books, fees, supplies, and other services. As part or all of a rehabilitation program, individuals may receive services and training designed to help them increase their level of independence in their homes and communities. Counseling services are provided to the individual throughout his or her participation in the program. In addition to disability compensation, the veteran receives a monthly subsistence allowance when participating in training at least half-time. Advances of up to \$1,041.48 may be made to veterans to meet unexpected financial difficulties. These advances do not bear interest and are repaid out of future VA benefit payments. Although no set repayment period is established, the monthly rate of repayment may not generally be less than 10 percent. In general, a new advance may not be made until a previous advance has been fully repaid. Usually, the training phase of the rehabilitation program may not exceed the equivalent of 48 months of full-time benefits nor may training be provided more than 12 years after the individual becomes eligible to apply for the program. Following training, or sometimes as the whole of a rehabilitation program, the veteran may also receive up to 18 months of counseling, job placement and post-placement services. The veteran may receive an employment adjustment allowance equal to 2 months of subsistence during this period of services, but only if employability was achieved as a result of services received in a program which included training. Veterans who meet certain requirements may receive assistance to become self-employed.

**Applicant Eligibility:**

Veterans of World War II and later service with a service-connected disability or disabilities rated at least 20 percent compensable and certain service-disabled servicepersons pending discharge or release from service if VA determines the servicepersons will likely receive at least a 20 percent rating and they need vocational rehabilitation because of an employment handicap. Veterans with a 10 percent service-connected disability may be eligible if they first applied for vocational rehabilitation prior to November 1, 1990, and they have an employment handicap. In addition, veterans with compensable ratings of 10 percent may also be eligible if they are found to have a serious employment handicap.

**Beneficiary Eligibility:**

Veterans of World War II and later service with a service-connected disability or disabilities rated at least 20 percent compensable and certain service-disabled servicepersons pending discharge or release from service if VA determines the servicepersons will likely receive at least a 20 percent rating and they need vocational rehabilitation because of an employment handicap. Veterans with compensable ratings of 10 percent may also be eligible if they are found to have a serious employment handicap.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Obtain an application (VA Form 28-1900) from any VA office or regional office (see Appendix IV of the Catalog) and submit it to the nearest VA regional office. Applications can also be filed on line at <http://vabenefits.vba.va.gov/vonapp/main.asp>.

**Award Procedure:**

Awards are authorized at the regional office for direct distribution to beneficiaries.

**Deadlines:**

Generally, vocational rehabilitation must be accomplished within a basic 12-year period of eligibility. The 12-year period of eligibility begins with the date of discharge, notification of establishment of service-connected disability meeting the eligibility requirements, or change in character of discharge, whichever is later.

**Range of Approval/Disapproval Time:**

Average is 57.8 days.

**Appeals:**

Available through special board. Average time to process an appeal is 622 days. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Under certain limited circumstances, a veteran's eligibility period can extend beyond 12 years and entitlement to training and subsistence can be longer than 48 months.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

The veteran's progress is monitored throughout the rehabilitation program to assure that goals and objectives of the veteran's rehabilitation plan are carried out. The plan extends throughout the veteran's rehabilitation program to include, when applicable, the securing of and adjusting to employment.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702; 36-4114-0-3-702; 36-4112-0-3-702.

**Obligations:**

(Direct Payments) FY 07 \$575,043,000; FY 08 est \$615,462,000; and FY 09 est \$659,591,000; (Loan Advances) FY 07 \$2,403,000; FY 08 est \$3,287,000; and FY 09 est \$3,180,000.

**Range and Average of Financial Assistance:**

Full cost of tuition, books, fees, supplies and rehabilitation services. Monthly 2007 full-time allowances for veterans participating in training range from \$520.74 for a single veteran to \$761.18 for a veteran with two dependents, plus \$55.49 for each dependent in excess of two. Non-interest bearing loans of up to \$1,041.48 and a work-study allowance not to exceed the higher of 25 times the Federal or State minimum hourly wage times the number of weeks in the enrollment.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 90,671 participated in vocational rehabilitation; 3,173 of these received loans. Estimates for subsequent periods are: FY 08, 92,858 participants and 4,239 loans, and FY 09, 94,947 participants and 4,021 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.40-21.47; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "Vocational Rehabilitation - Your Key to an Independent Future," VA Pamphlet 28-82-1, free, available from any VA regional office, and "Vocational Rehabilitation and Employment Program Quick Series", LUXART COMMUNICATIONS - GSA contract: GS-02F-0276P, [www.quickseries.com/mil](http://www.quickseries.com/mil), Telephone: (1 800) 361-4653.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Veterans Benefits Administration, Vocational Rehabilitation and Employment Service (28), Washington, DC 20420. Telephone: (202) 461-9600.

**Web Site Address:**

<http://www.va.gov>. <http://www.vetsuccess.gov>

**RELATED PROGRAMS:**

27.002, Federal Employment Assistance for Veterans; 53.001, Employment Promotion of People with Disabilities; 64.013, Veterans Prosthetic Appliances; 84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Direct payment for specified use; payments are made directly to the providers of

goods or services for program participants; payments include tuition, fees, books, supplies, tutoring, professional services, and medical care if not available in a VA facility; advances are made to program participants to meet unexpected financial obligations which might hinder continued program progress.

## 64.117 SURVIVORS AND DEPENDENTS EDUCATIONAL ASSISTANCE

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 86-236, 89-358, 90-631, 92-540, 93-508, 94-502, 95-202, 96-466, 98-460, 101-237, 101-508, 102-127, 102-568, 103-446, 104-275, 105-114, 105-206, 106-117, 106-419, 107-103, 107-330, 108-183, and 108-454; 38 U.S.C., chapter 35.

**OBJECTIVES:**

To provide educational opportunities to the dependents of certain disabled and deceased veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Participants may pursue: (1) courses at colleges and universities leading to associate, bachelor or graduate degrees (including courses taken via accredited independent study, provided those courses lead to a standard college degree or a certificate that reflects educational attainment offered by an institution of higher learning); (2) courses leading to a certificate or diploma from colleges or universities or from business, technical or vocational schools; (3) apprenticeship or on-the-job training programs; (4) correspondence courses, but only for spouses and surviving spouses; (5) state-approved teacher certification programs; (6) preparatory courses for tests necessary for admission to a college or graduate school; (7) reimbursement for licensing and certification tests approved for veterans; (8) reimbursement for national exams for admission to college or for college credit; (9) courses leading to a high school diploma or equivalent. A special restorative training benefit is available for both children and spouses who need to overcome or lessen the effects of a physical or mental disability so that they will be able to pursue a program of education. A specialized vocational training program is available for those who are not in need of special restorative training but require specialized vocational training because of a mental or physical handicap.

**Applicant Eligibility:**

Spouses, surviving spouses, and children (including stepchild or adopted child) between age 18 and 26 of veterans who died from service-connected disabilities, of living veterans whose service-connected disabilities are considered permanently and totally disabling, of those who died from any cause while such service-connected disabilities were in existence, of servicepersons who have been listed for a total of more than 90 days as currently missing in action, or as currently prisoners of war, a service member who VA determines has a service connected permanent and total disability and at the time of VA's determination is a member of the Armed Forces who is hospitalized or receiving outpatient medical care, services, or treatment; and is likely to be discharged or released from service for this service-connected disability. Children under the age of 18 may be eligible under special circumstances.

**Beneficiary Eligibility:**

See Applicant Eligibility.

**Credentials/Documentation:**

Military discharge certificate, death certificate or official document verifying POW status or MIA status, marriage certificate, and birth certificate(s).

**Preapplication Coordination:**

None. This program is excluded from coverage E.O. 12372.

**Application Procedure:**

An application, VA Form 22-5490 for a child, spouse or surviving spouse may be obtained from any VA Regional Office and submitted to the appropriate VA Regional Processing Office.

**Award Procedure:**

Awards are authorized at the regional processing office.

**Deadlines:**

None, but the period of eligibility for a spouse generally extends no later than the 10 years from the date the veteran was notified of the service-connected permanent and total disability, or from the date the serviceperson was listed for a total of more than 90 days as currently missing in action or listed as a prisoner of war. The period of eligibility for a surviving spouse generally extends no later than 10 years from the date VA notifies the surviving spouse that the death was service-connected and no later than 20 years for the surviving spouse of a veteran who dies while on active duty. The period of eligibility for a child generally extends to the 26th birthday, subject to certain exceptions.

**Range of Approval/Disapproval Time:**

At least 95.25 percent of applications are processed within 90 days or less in 2006 and 96.98 percent in 2007.

**Appeals:**



Appeals are available through a special board; response time is 109.0 days in 2006 and 112.4 days in 2007.

**Renewals:**

Generally, eligibility for a child terminates at age 26. In some instances, it may be extended. For example, in the case of service in the Armed Forces, eligibility will end 8 years after the first discharge or release from service but in no event beyond age 31.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Monthly certification of enrollment and pursuit for courses not leading to a college degree must be executed by the beneficiary. For college students, verification of pursuit is required near the end of the enrollment period.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments) FY 07 \$423,335,000; FY 08 est \$450,646,000; and FY 09 est \$478,067,000.

**Range and Average of Financial Assistance:**

Per month, institutional training: full time, \$881; three-quarters time, \$661; half-time, \$439. Benefits may be paid for up to a maximum of 45 months. Tutorial assistance up to a maximum of \$1,200. Work-Study Allowance: Payment based on the higher of the Federal minimum wage or the State minimum wage where work is performed.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, there were 77,436 students trained. Estimates for subsequent periods are: fiscal year 2008, 80,409 students, and fiscal year 2009, 82,728 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.3001 - 21.3344; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954 or from the online government bookstore at [www.bookstore.gpo.gov](http://www.bookstore.gpo.gov). The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Central Office, Washington, DC 20420.  
Telephone: (202) 461-9800.

**Web Site Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

27.002, Federal Employment Assistance for Veterans; 64.102, Compensation for Service-Connected Deaths for Veterans' Dependents; 64.105, Pension to Veterans Surviving Spouses, and Children; 64.110, Veterans Dependency and Indemnity Compensation for Service-Connected Death; 84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.063, Federal Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.118 VETERANS HOUSING-DIRECT LOANS FOR CERTAIN DISABLED VETERANS

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 3711.

**OBJECTIVES:**

To provide veterans who are eligible for a Specially Adapted Housing grant with loan directly from the VA in certain circumstances.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

VA may make loans up to \$33,000 to eligible applicants if (a) the veteran is eligible for a VA Specially Adapted Housing grant, and (b) a loan is necessary to supplement the grant, and (c) home loans from a private lender are not available in the area where the property involved is located.

**Applicant Eligibility:**

Veterans who served on active duty on or after September 16, 1940 and are

eligible for a Specially Adapted Housing grant.

**Beneficiary Eligibility:**

Permanently and totally disabled veterans.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The veteran should apply to the VA regional office having jurisdiction over the property location. No specific initial application form is prescribed. The VA office will respond directly to the veteran.

**Award Procedure:**

The VA office coordinates loan disbursement with payout of the related Specially Adapted Housing grant. Loan closing is conducted through a loan closing agent assigned by the VA office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 20 to 60 days.

**Appeals:**

Denial of eligibility is appealable through Board of Veterans' Appeals. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Loan proceeds may be disbursed in one lump sum when an existing suitable housing unit is involved or in phases in construction cases.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-4127-0-3-704.

**Obligations:**

(Guaranteed Loans) FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Up to \$33,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal years 2007 and 2008, no direct loans were made in conjunction with Specially Adapted Housing grants. In fiscal year 2009, no loans are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Questions and Answers on Specially Adapted Housing for Veterans," VA Pamphlet 26-69-1, no charge; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is 051-000-00233-4. "Handbook For Design, Specially Adapted Housing," VA Pamphlet 26-13, available to eligible veterans only.

**Regional or Local Office:**

See Department of Veterans Affairs field office listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9511.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.106, Specially Adapted Housing for Disabled Veterans; 64.114, Veterans Housing\_Guaranteed and Insured Loans; 64.119, Veterans Housing\_Manufactured Home Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.119 VETERANS HOUSING-MANUFACTURED HOME LOANS

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 3712.

**OBJECTIVES:**

To assist veterans, servicepersons, and certain unmarried surviving spouses of veterans in obtaining credit for the purchase of a manufactured home on more liberal terms than are available to non-veterans.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

VA may guarantee a lender against loss on a loan made to an eligible applicant to buy a new or used manufactured home and/or to buy or improve a lot for placement of a manufactured home, or to refinance an existing VA guaranteed or insured loan previously obtained on the same manufactured home and/or lot which the veteran or the veteran's surviving spouse (if such surviving spouse was an obligor under such existing loan) owns and occupies, to obtain a lower rate of interest; or to refinance an existing manufactured home loan to acquire a lot on which such manufactured home is or will be placed. Restrictions on guaranteed VA manufactured home loans are: (a) the terms of repayment must bear a proper relationship to applicant's present and anticipated income and expenses and the applicant must be a satisfactory credit risk; (b) the applicant must certify that he or she intends to occupy the property as his or her home; previous occupancy is acceptable for loans to refinance existing VA-guaranteed loans to a lower interest rate; (c) the manufactured home must contain living facilities for year round occupancy; (d) used manufactured homes must meet construction and acceptability standards. There are limitations on the term of a loan, depending on the purpose. The maximum term is 20 years and 32 days for a single-wide manufactured home or a combination single-wide manufactured home and lot, 23 years and 32 days for a double-wide manufactured home, 25 years and 32 days for a double-wide unit and lot, and 15 years and 32 days for a lot only on which a manufactured home already owned by the applicant will be placed. The loan amount may not exceed an amount equal to 95 percent of the purchase price of the property securing the loan.

**Applicant Eligibility:**

(a) Veterans who served on active duty on or after September 16, 1940, and were discharged or released under conditions other than dishonorable. Veterans who served any time during World War II, the Korean Conflict, the Vietnam-era, or the Persian Gulf War must have served on active duty 90 days or more; veterans with peacetime service only must have served a minimum of 181 days continuous active duty. All veterans separated from enlisted service which began after September 7, 1980, or service as an officer which began after October 16, 1981, must also have served at least 24 months of continuous active duty or the full period for which the person was called or ordered to active duty. Veterans of such recent service may qualify with less service time if they have a compensable service-connected disability or were discharged after at least 181 days (90 days during Persian Gulf War) under the authority of 10 U.S.C. 1171 or 1173; (b) any veteran in the above classes with less service but discharged with a service-connected disability; (c) individuals may also be eligible if they were released from active duty due to an involuntary reduction in force, certain medical conditions, or in some instances, for the convenience of the Government; (d) unmarried surviving spouses of otherwise eligible veterans who died in service or whose deaths were attributable to service-connected disabilities; (e) service personnel who have served at least 181 days on continuous active duty status (90 days until the ending date for the Persian Gulf War has been set); (f) the spouse of any member of the Armed Forces serving on active duty who is listed as missing in action, or as a prisoner of war, and has been so listed for a total of more than 90 days; (g) members of the Selected Reserve who are not otherwise eligible for home loan benefits and who have completed a total of six (6) years in the Selected Reserves, followed by an honorable discharge, placement on the retired list, or continued service. Individuals who completed less than 6 years may be eligible if discharged for a service-connected disability. Eligibility for Selected Reservists expires September 30, 2009. Applicants must have sufficient present and prospective income to meet loan repayment terms and have a satisfactory credit record.

**Beneficiary Eligibility:**

Veterans, servicepersons, and certain unmarried surviving spouses of veterans.

**Credentials/Documentation:**

Evidence of the veteran's service or certificate of eligibility for loan benefits issued by the Department of Veterans Affairs. Loan applications submitted by lenders must be accompanied by verification of income of the applicant and a credit report.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible veterans should: (a) obtain a Certificate of Eligibility from the VA Eligibility Center, (b) present it with the housing proposal to a private lender willing to make the loan. Application for guaranty is made by the lender to the VA Regional Loan Center having jurisdiction over the locality in which the manufactured home is to be placed.

**Award Procedure:**

The processing VA office will issue the lender evidence of its guaranty after requirements are met and proceeds are disbursed.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From one to five days after receipt of loan application in VA.

**Appeals:**

Denial of eligibility is appealable through Board of Veterans' Appeals. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

None.

**Formula and Matching Requirements:**

The guaranty is \$20,000 or 40 percent of the loan amount, whichever is less.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

As a condition of continued guaranty coverage, the holder of the loan must notify the guaranteeing VA office of the borrower's default on installment payments or other contract terms, and of any substantive changes in the terms of the contract or the guaranty. Reporting time limitations are specified in VA regulations.

**Audits:**

VA has the right to audit loan accounting records until expiration of the guaranty.

**Records:**

Until VA ceases to be liable as the guarantor of a loan, the lender or loan holder must maintain adequate records on the amount and dates of payments received and disbursements made on guaranteed loans.

**Account Identification:**

36-4129-0-3-704.

**Obligations:**

(Guaranteed Loans) FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The guaranty is \$20,000 or 40 percent of the loan amount, whichever is less.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 and 2008, no manufactured home loans were guaranteed. In fiscal year 2009, no loans are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 36.4200; VA Pamphlet 26-71-1, "Questions and Answers on Manufactured Home Loans to Veterans."

**Regional or Local Office:**

See Veterans Benefits Administration field office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9511.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

14.110, Manufactured Home Loan Insurance\_ Financing Purchase of Manufactured Homes as Principal Residences of Borrowers; 14.127, Mortgage Insurance\_Manufactured Home Parks; 64.106, Specially Adapted Housing for Disabled Veterans; 64.114, Veterans Housing\_Guaranteed and Insured Loans; 64.118, Veterans Housing\_Direct Loans for Certain Disabled Veterans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.120 POST-VIETNAM ERA VETERANS' EDUCATIONAL ASSISTANCE**

(Voluntary-Contributory Matching Program)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Laws 94-502, 99-576, 100-689, 101-237, 102- 16, 102-127, 102-484, 102-568, 103-446, 104-275, 105-114, 105-368; 106- 117, 106-419, 107-103; 38 U.S.C. 3221.

**OBJECTIVES:**

To provide educational assistance to persons entering the Armed Forces after December 31, 1976, and before July 1, 1985; to assist persons in obtaining an education they might otherwise not be able to afford; and to promote and assist the all volunteer military program of the United States by attracting qualified persons to serve in the Armed Forces.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Participants may pursue: (1) courses at colleges and universities leading to associate, bachelor or graduate degrees (including courses taken via accredited independent study, provided those courses lead to a standard college degree or a certificate that reflects educational attainment offered by an institution of higher learning); (2) courses leading to a certificate or diploma from colleges or universities or from business, technical or vocational schools; (3) apprenticeship

or on-the-job training programs for individuals not on active duty; (4) correspondence courses, under certain conditions; (5) flight training, if the individual holds a private pilot license and meets the medical requirements upon beginning the training program; (6) state-approved teacher certification programs; (7) preparatory courses for tests necessary for admission to a college or graduate school; (8) reimbursement for licensing and certification tests approved for veterans; (9) entrepreneurship training; (10) reimbursement for national exams for admission to college or for college credit.

**Applicant Eligibility:**

The participant must have entered on active duty on or after January 1, 1977, and before July 1, 1985, and either served on active duty for more than 180 continuous days receiving an other than dishonorable discharge, or have been discharged after January, 1, 1977 because of a service-connected disability. Also eligible are participants who serve for more than 180 days and who continue on active duty and have completed their first period of obligated service (or 6 years of active duty, whichever comes first). Participants must also have satisfactorily contributed to the program. (Satisfactory contribution consists of monthly deduction of \$25 to \$100 from military pay, up to a maximum of \$2,700, for deposit in a special training fund.) Participants may make lump-sum contributions. No individuals on active duty in the Armed Forces may initially begin contributing to this program after March 31, 1987.

**Beneficiary Eligibility:**

Post-Vietnam era veterans.

**Credentials/Documentation:**

Military discharge certificate, certification of enrollment by educational institution in approved courses leading to an educational, professional or vocational objective and such other certifications as may be developed by VA and the Department of Defense.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application form (VA Form 22-1990) may be obtained from any VA office or regional office and submitted to the appropriate VA regional processing office.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Generally, eligibility ceases at the end of 10 years from the date of the participant's last discharge or release from qualifying active duty after January 1, 1977. Participants may use their entitlement at any time during this 10-year period and are not required to use it in consecutive months. The basic 10-year period may be extended for those veterans who were prevented from beginning or completing their chosen program of education because they were held by a foreign government or power or because of a physical or mental disability not the result of their own willful misconduct. The 10-year period can also be extended for those who reenter active duty for 90 days or more after becoming eligible.

**Range of Approval/Disapproval Time:**

At least 84.76 percent of applications are processed within 90 days or less in 2006 and 99.59 percent in 2007.

**Appeals:**

Appeals are available through a special board; response time is 109.0 days in 2006 and 112.4 days in 2007.

**Renewals:**

None.

**Formula and Matching Requirements:**

Contributions to the program will be accumulated from service persons electing to participate in the program; the Department of Defense (DOD) matches the service person's contributions at a rate of \$2 for each \$1 contributed by the participant. In some cases, additional contributions may be made by DOD.

**Length and Time Phasing of Assistance:**

Available within ten years of first date of discharge or release from service or until the amount of money in the special fund, converted to months of entitlement (to a maximum of 36) is exhausted. Assistance checks generally to be released on a monthly basis.

**Reports:**

The educational allowance will not be paid if the participant does not pursue his or her course in accordance with established policies and regulations of the educational institution he or she attends, and is not making satisfactory progress as required by law and VA Regulations. Certification by the educational institution as to the participant's enrollment must be made for each period for which assistance is sought. Certifications for course enrollment and pursuit not leading to a standard college degree must be made monthly by the participant; for courses leading to a standard college degree, periodic verifications of pursuit are required.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-8133-0-7-702.

**Obligations:**

(Direct Payments) FY 07 \$2,256,000; FY 08 est \$2,256,000; and FY 09 est \$2,172,000.

**Range and Average of Financial Assistance:**

Up to a maximum of \$8,100 of basic benefits. Work study allowances: Payment based on the higher of the Federal minimum wage or the State minimum wage where work is performed. Tutorial assistance up to a maximum of \$1,200.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, there were 439 students trained; estimates for fiscal year 2008 and fiscal year 2009 are 550 and 550 students, respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.5001 - 21.5270 "Federal Benefits For Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954 or from the online government bookstore at [www.bookstore.gpo.gov](http://www.bookstore.gpo.gov).

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration Field Offices.

**Headquarters Office:**

Department of Veterans Affairs, Central Office, Washington, DC 20420.  
Telephone: (202) 461-9800.

**Web Site Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

64.124, All-Volunteer Force Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.063, Federal Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.124 ALL-VOLUNTEER FORCE EDUCATIONAL ASSISTANCE

(Montgomery GI-Bill Active Duty (MGIB) - Chapter 30)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Title 38 U.S.C., Chapter 30. Also known as the Montgomery GI Bill (MGIB).

**OBJECTIVES:**

To help servicepersons readjust to civilian life after their separation from military service. Assist in the recruitment and retention of highly qualified personnel in the active and reserve components in the Armed Forces by providing education benefits.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

The following types of programs may be approved for training under the Montgomery GI Bill: (1) courses at colleges and universities leading to associate, bachelor or graduate degrees (including courses taken via accredited independent study, provided those courses lead to a standard college degree or a certificate that reflects educational attainment offered by an institution of higher learning); (2) courses leading to a certificate or diploma from business, technical or vocational schools; (3) apprenticeship or on-the-job training programs for individuals not on active duty; (4) correspondence courses; (5) flight training, if veteran holds a private pilot license and meets the medical requirements upon beginning the training program; (6) state-approved teacher certification programs; (7) preparatory courses for tests necessary for admission to a college or graduate school; (8) reimbursement for licensing and certification tests approved for veterans; (9) entrepreneurship training; (10) reimbursement for national exams for admission to college or for college credit.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on the newest MGIB program changes go to the VA web-site address listed below. A high school diploma or equivalency certificate is always required for eligibility to the MGIB as is an honorable discharge from the qualifying period of service unless the individual is currently on active duty. (1) Individuals initially entering military service on or after July 1, 1985 may be eligible unless they specifically elect not to participate in the MGIB program. Service members can use the MGIB benefit after completing two continuous years of service. Veterans whose initial obligation was 3 years or more may use the MGIB benefit after completing three continuous years of active duty, or less time if discharged early for an acceptable reason. Veterans whose initial obligation was less than 3 years may use the MGIB benefits after serving two years of active duty, or less time if discharged early for an acceptable reason or if



they sign up for 4 years in the Selected Reserve. Any period of active duty may be used to meet these requirements, but generally, periods of active duty cannot be combined. (2) Individuals who were eligible for the Old (Vietnam-Era) GI Bill benefits as of December 31, 1989, and served on continuous active duty for 3 years after June 30, 1985, may be eligible for the MGIB. (3) Persons involuntarily separated from the military for certain reasons may be eligible for the MGIB. Likewise, persons who received voluntary separation incentives may be eligible for the MGIB. (4) Persons who converted from VEAP (Veterans Educational Assistance Program) to the MGIB during open seasons from October 9, 1996 to October 8, 1997, or from November 1, 2000 to October 3, 2001, may be eligible for the MGIB. Likewise, certain persons serving full-time under title 32 in the National Guard during the period from July 1, 1985 to November 28, 1989 and who elected the MGIB during the open season from October 9, 1996 through July 8, 1997, may be eligible for the MGIB. In addition, in very limited circumstances, dependents of a veteran or service member may be eligible for the MGIB if the veteran or service member transferred entitlement to those dependents.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Military discharge certificate (DD 214) sometimes required; enrollment certification by institution offering training required in most cases.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 22-1990) may be obtained from any VA Regional Office or from the web site [www.GIBILL.va.gov](http://www.GIBILL.va.gov) and submitted to the appropriate VA Regional Processing Office.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Veterans have 10 years after release from service to complete their education. The basic 10-year period may be extended for those veterans who were prevented from beginning or completing their chosen program of education because they were held by a foreign government or power or because of a physical or mental disability not the result of their own willful misconduct. Persons who reenter active duty for 90 days or more receive a new 10-year period upon completion of such service.

**Range of Approval/Disapproval Time:**

At least 90.83 percent of applications were processed within 90 days or less in fiscal year 2006 and 99.47 percent in fiscal year 2007.

**Appeals:**

Appeals are available through a special board; average response time is 109.0 days in 2006 and 112.4 days in 2007.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Veterans receive monthly payments in most instances. Service members generally receive lump sum payments for each enrollment period. Accelerated payments (one-time payments) equal to 60% of the cost of the course are available for certain high cost, high tech courses leading to employment in high tech industries. Advance payment of the first 2 months of benefits for an enrollment period may be available. Payments for correspondence school training are issued quarterly.

**Reports:**

The educational allowance will not be paid if participants do not pursue their courses in accordance with established policies and regulations of the educational institution they attend, and are not making satisfactory progress as required by law and VA regulations. Students must verify their pursuit at institutions of higher learning and for courses not leading to a standard college degree on a monthly basis. Attendance for OJT/apprenticeship training also must be certified monthly. Students certify lessons completed under correspondence training on a quarterly basis.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments) FY 07 \$1,991,078,000; FY 08 est \$2,164,929,000; and FY 09 est \$2,209,673,000.

**Range and Average of Financial Assistance:**

Currently, the full-time monthly benefit can range from \$873 to over \$2,000 depending on the length of the service obligation, military incentives, military career field, branch of service and voluntary contributions. In most cases, benefits last for 36 (48 months when combined with other VA education benefits) calendar months of full-time training. The work-study allowance is

limited to the higher of the Federal minimum wage, or the State minimum wage where work is performed. Tutorial assistance can be up to a maximum of \$1,200.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, there were 343,751 students trained; the student estimate for fiscal year 2008 and 2009 are 348,153 and 351,927 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.7000 - 21.7320. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 0051-000-00233-4.

**Regional or Local Office:**

1-888-GIBILL-1.

**Headquarters Office:**

Department of Veterans Affairs, Central Office, Washington, DC 20420.  
Telephone: (202) 461-9800.

**Web Site Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

64.120, Post-Vietnam Era Veterans' Educational Assistance; 64.123, Vocational Training for Certain Veterans Receiving VA Pension.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.125 VOCATIONAL AND EDUCATIONAL COUNSELING FOR SERVICEMEMBERS AND VETERANS

(Chapter 36 Counseling)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Veterans Education and Employment Programs Amendments, Public Law 102-16, 38 U.S.C. 3697A.

**OBJECTIVES:**

To offer vocational and educational counseling to servicemembers within 180 days of their projected discharge or release from active duty and to veterans within one year from the date of their discharge or release from active duty. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30-All-Volunteer Force Educational Assistance Program; Chapter 32-Post-Vietnam Era Veterans' Educational Assistance; Chapter 35-Survivors' and Dependents' Educational Assistance; Chapter 1606-Educational Assistance for Members of the Selective Service; Chapter 1607-Reserve Educational Assistance Program; and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs(Chapters).

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling.

**USES AND USE RESTRICTIONS:**

The program provides the counseling services necessary to enable the service member or veteran to select educational and vocational objectives. The program also assists the veteran to identify the means through which these objectives will be achieved. Counseling may also be provided to aid the veteran to cope with personal problems which might interfere with the successful achievement of the educational and vocational objectives. As part of vocational counseling, the program can help the individual to develop an employment plan. This plan directs the individual to make the best use of his or her existing aptitudes and abilities to obtain employment. These services are provided by professionally qualified counseling psychologists, who are either VA staff members or under contract to VA. To apply for and receive this benefit, servicemembers must be within 180 days of projected discharge or release from active duty. Veterans must apply for and receive this benefit within 1 year from the date of discharge or release or release from active duty. For servicemembers, the projected discharge or release from active duty must be under conditions other than dishonorable. For veterans, the discharge or release from active duty must have been under conditions other than dishonorable. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30 - All-Volunteer Force Educational Assistance Program; Chapter 32 - Post-Vietnam Era Veterans' Educational Assistance; Chapter 35 - Survivors' and Dependents' Educational Assistance; Chapter 1606 - Educational Assistance for Members of the Selective Service; Chapter 1607 - Reserve Educational Assistance Program and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs (Chapters).

**Applicant Eligibility:**

Service members must be within 180 days of projected discharge or release from active duty. Veterans must be within 1 year from the date of discharge or release from active duty. For servicemembers, the projected discharge or release from

active duty must be under conditions other than dishonorable. For veterans, the discharge or release from active duty must have been under conditions other than dishonorable. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30 - All-Volunteer Force Educational Assistance Program; Chapter 32 - Post-Vietnam Era Veterans' Educational Assistance; Chapter 35 - Survivors' and Dependents' Educational Assistance; Chapter 1606 - Educational Assistance for Members of the Selective Service; Chapter 1607 - Reserve Educational Assistance Program and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs (Chapters).

**Beneficiary Eligibility:**

Service members must be within 180 days of projected discharge or release from active duty. Veterans must be within 1 year from the date of discharge or release from active duty. For servicemembers, the projected discharge or release from active duty must be under conditions other than dishonorable. For veterans, the discharge or release from active duty must have been under conditions other than dishonorable. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30 - All-Volunteer Force Educational Assistance Program; Chapter 32 - Post-Vietnam Era Veterans' Educational Assistance; Chapter 35 - Survivors' and Dependents' Educational Assistance; Chapter 1606 - Educational Assistance for Members of the Selective Service; Chapter 1607 - Reserve Educational Assistance Program and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs (Chapters).

**Credentials/Documentation:**

Servicemembers must present proof that they are within 180 of projected discharge or release from active duty. Examples of this proof are a copy of the enlistment contract and a brief written statement from the individual's commander. Veterans must present proof they are within 1 year of discharge or release from active duty under conditions other than dishonorable. An example of this proof is a copy of the individual's DD Form 214. Current beneficiaries of VA educational assistance and those eligible for educational assistance must indicate this eligibility or receipt of benefits and have it confirmed at the VA regional or local office.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Obtain VA Form 28-8832, Application for Counseling, from any VA office or regional office. Complete and submit this form to the nearest regional office. A written statement from an individual requesting vocational and educational counseling is also sufficient. With the application form or written statement, submit proof of prior or pending discharge or release from active duty if VA has not already received this evidence or indicate eligibility for, or current receipt of, VA educational assistance.

**Award Procedure:**

The regional office will notify qualified Individual.

**Deadlines:**

Qualified individuals may not receive counseling benefits earlier than 180 days before projected discharge or release from active duty or more than 1 year after discharge or release from active duty.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Available through special board. Average time to process an appeal is 622 days. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Expenditures under this program are monitored. Specific comprehensive procedures exist for reviewing the quality of services provided and staff time involved in service delivery. Contract expenditures require recordkeeping of the services provided and the funds expended.

**Records:**

Not applicable.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Contract Services Payments) FY 07 \$4,745,274; FY 08 est \$6,000,000; and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Vocational and educational counseling. Included service members and veterans

who received these services under Public Law 102-16, who are not separately identifiable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.4100; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "VA Counseling Can Help You," the VA pamphlet portion of VA Form 28-8821, Application for Counseling, free, is available from any VA office or regional office.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Veterans Benefits Administration, Vocational Rehabilitation and Employment Service (28), Washington, DC 20420. Telephone: (202) 461-9600.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.116, Vocational Rehabilitation for Disabled Veterans; 64.120, Post-Vietnam Era Veterans' Educational Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contract counseling psychologists are selected on the basis of (1) their academic credentials and experience in vocational and educational counseling, (2) their location in relation to the geographic dispersion of available clients for referral, and (3) costs of the services to be provided.

## 64.126 NATIVE AMERICAN VETERAN DIRECT LOAN PROGRAM

(VA Native American Veterans Housing Loan Program)

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Public Law 102-547 and 109-233, 38 U.S.C. 3761-3764.

**OBJECTIVES:**

To provide direct loans to certain veterans who are, or whose spouses are, Native Americans for the purchase or construction of homes on trust lands.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

VA may make home loans to eligible applicants for any of the following purposes: (1) Buy or build a home; (2) simultaneously purchase and improve a home; (3) repair, alter or improve a home; (4) purchase a manufactured home to be permanently affixed to a lot that is already held in leasehold by the applicant; or (5) to refinance an existing VA loan to lower the interest rate. Restrictions on direct loans under this program are that: (a) the borrower must have a leasehold or fee interest and occupy, as his or her home, the housing unit securing the loan; (b) the nature and condition of the unit must be suitable for dwelling; (c) the terms of repayment must bear a proper relationship to the applicant's present and anticipated income and expenses; (d) the applicant must be a satisfactory credit risk; (e) the applicant must be a Native American; and (f) the property on which the home is located must be federal trust property.

**Applicant Eligibility:**

Veterans who are, or whose spouses are, recognized by a Federally Recognized Tribal Government as a Native American and who: (a) Served on active duty on or after September 16, 1940, and were discharged or released under conditions other than dishonorable. If service was any time during World War II, the Korean Conflict, the Vietnam-era, or the Persian Gulf War, then the Native American Veteran must have served on active duty for 90 days or more; peacetime service only must have served a minimum of 181 days continuous active duty. If separated from enlisted service which began after September 7, 1980, or service as an officer which began after October 16, 1981, a veteran must also have served at least 24 months of continuous active duty or the full period for which called or ordered to active duty. Veterans of such recent service may qualify with less service time if they have a compensable service-connected disability or were discharged after at least 181 days, under the authority of 10 U.S.C 1171 or 1173. (b) Any veteran in the above classes with less service but discharged with a service-connected disability. (c) If acknowledged as a Native American by a Federally Recognized Tribal Government, unmarried surviving spouses of otherwise eligible veterans who died in service or whose deaths were attributable to service-connected disabilities and spouses of members of the Armed Forces serving on active duty, who are listed as missing in action, or as prisoners of war and who have been so listed 90 days or more. (d) Members of the Selected Reservists who are, or whose spouses are, recognized by a Federally Recognized Tribal Government as Native Americans and who are not otherwise

eligible for home loan benefits and who have completed a total of 6 years in the Selected Reserves followed by an honorable discharge, placement on the retired list, or continued service.

**Beneficiary Eligibility:**

Native Americans who are veterans, veterans who are married to a Native American, service personnel, and certain unmarried surviving spouses of veterans.

**Credentials/Documentation:**

Evidence of the veteran's entitlement for loan benefits and qualifications for the loan purpose, documentation on the loan transaction and characteristics of the leasehold interest in the property proposed to secure the loan. Evidence also that the Federally Recognized Tribal Government which manages the trust land on which the home is or will be located recognizes the veteran, or the veteran's spouse, as a Native American.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each participating tribe must first enter into a Memorandum of Understanding with VA. Eligible veterans should obtain a Certificate of Eligibility from the VA Eligibility Center and obtain an acknowledgment of Native American status from his or her tribal council or Native American organizational body. This evidence should be presented to the nearest VA office with an application for a loan.

**Award Procedure:**

The VA Regional Loan Center will determine that application requirements are met, determine that the veteran is eligible for the loan and that the purposes for the loan meet the requirements of law and disburse the loan proceeds.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Within 10 days after VA's receipt of a loan application.

**Appeals:**

Denial of eligibility is appealable through Board of Veterans' Appeals. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

None.

**Formula and Matching Requirements:**

The limit on NADL loans is the same as the Federal Home Loan Mortgage Corporation (also known as "Freddie Mac") single family conventional conforming loan limit. That limit is currently \$417,000 for loans in the 48 contiguous states and \$625,500 for loans in Alaska, Hawaii, Guam, and the U.S. Virgin Islands. Increases in these loan limits will be published annually.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

Until the loan is paid in full the tribal organization must maintain adequate records on the terms of the leaseholds on the properties on which the homes are located.

**Account Identification:**

36-4130-0-3-704.

**Obligations:**

(Loans) FY 07 \$7,701,000; FY 08 est \$12,428,000; FY 09 est \$12,676,000.

**Range and Average of Financial Assistance:**

Loans will be limited to \$417,000 in the 48 contiguous states and \$625,500 in Alaska, Hawaii, Guam, and the U.S. Virgin Islands.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, the volume was 38 loans totaling \$7,701,000. In FY 08, the volume is 60 loans totaling \$12,428,000. In FY 09, 60 loans are expected totaling \$12,676,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 36.4501 and 36.4527. VA Pamphlet 26-93-1, VA Direct Home Loan for Native American Veterans Living on Trust Lands. VA Pamphlet 80-00-1, Federal Benefits for Veterans and Dependents, S/N 051-000-00233-4, at \$5.00 each, available from the Government Printing Office, P.O. Box 371954, Pittsburgh, PA 15250-7954.

**Regional or Local Office:**

Loan applications are processed completely by the Veterans Benefits Administration field offices for their respective geographic area jurisdiction. Initial contact should be made with the appropriate office listed in Appendix IV of the Catalog under Veterans Benefits Administration.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9529.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

15.124, Indian Loans\_Economic Development; 64.102, Compensation for Service-Connected Deaths for Veterans' Dependents; 64.106, Specially Adapted Housing for Disabled Veterans; 64.114, Veterans Housing\_Guaranteed and Insured Loans; 64.118, Veterans Housing\_Direct Loans for Certain Disabled Veterans; 64.119, Veterans Housing\_Manufactured Home Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.127 MONTHLY ALLOWANCE FOR CHILDREN OF VIETNAM VETERANS BORN WITH SPINA BIFIDA**

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1805.

**OBJECTIVES:**

To provide financial assistance to certain children born with spina bifida who are children of individuals who served in the Republic of Vietnam during the Vietnam era.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Those children born with spina bifida, except spina bifida occulta, who are natural children of individuals who served in Vietnam, regardless of age or marital status, conceived after the date on which the individual first served in the Republic of Vietnam during the period beginning on January 9, 1962, and ending on May 7, 1975, without regard to the characterization of the individual's service.

**Beneficiary Eligibility:**

Children born with spina bifida.

**Credentials/Documentation:**

Birth certificate and military discharge certificate. Child must be born with spina bifida and be the natural child of an individual who served in the Republic of Vietnam between January 2, 1962 through May 2, 1975.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (VA Form 21-0304) may be obtained from a local or regional office (see Appendix IV of the Catalog), and submitted to the regional office. Applications are also available on-line at <http://www.va.gov/vaforms/>.

**Award Procedure:**

Awards are authorized at the regional office.

**Deadlines:**

None. Entitlement is established from the date of receipt of the application, but not before October 1, 1997.

**Range of Approval/Disapproval Time:**

Approximately 57 percent completed in 90 days or less.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments) FY 07 \$18,254,000; FY 08 est \$18,706,000; and FY 09 est \$19,207,000.

**Range and Average of Financial Assistance:**

Payments are \$270, \$930, or \$1,586 monthly based on the degree of disability of the child.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 1,163 children received benefits. The estimates for fiscal years 2008 and 2009 are 1,165 and 1,167 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.814. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954,



Pittsburgh, PA 15250-7954. The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9700.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.128 VOCATIONAL TRAINING AND REHABILITATION FOR VIETNAM VETERANS' CHILDREN WITH SPINA BIFIDA OR OTHER COVERED BIRTH DEFECTS

**FEDERAL AGENCY:**

VETERANS BENEFITS ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

38 U.S.C. 1804, as amended, Subchapter III Sec. 1821.

**OBJECTIVES:**

To provide vocational training and rehabilitation to certain children born with spina bifida or other covered birth defects who are children of Vietnam veterans and some Korean veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Program must lead to a vocational goal that it is feasible for the child to achieve. The child should be able to achieve the vocational goal within 24 months of services and assistance, although an extension of up to 24 months is possible under certain conditions.

**Applicant Eligibility:**

A child born with spina bifida or other covered birth defects, except spina bifida occulta, who is the natural child of a Vietnam veteran and some Korean veterans, regardless of the age or marital status of the child, conceived after the date on which the veteran first served in the Republic of Vietnam during the Vietnam era and in particular areas near the DMZ in the Korean conflict. VA must also determine that it is feasible for the child to achieve a vocational goal.

**Beneficiary Eligibility:**

Children born with spina bifida.

**Credentials/Documentation:**

Birth certificate and military discharge certificate are required. The child must be born with spina bifida and be the natural child of a Vietnam veteran and some Korean veterans.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application may be submitted to the Regional Office. There is no prescribed form, but the applicant must provide the child's full name, VA claim number, address, the veteran parent's name, and VA claim number. The letter must clearly identify the benefit sought or use VA Form 21-0304.

**Award Procedure:**

Awards are authorized at the Regional Office.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not available at this time.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification. Average time to process an appeal is 622 days.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Payments to providers for training and rehabilitation services and assistance.

**PROGRAM ACCOMPLISHMENTS:**

Cases: In fiscal year 2007, there were 0 new cases. It is estimated that in fiscal year 2008 and 2009 there will be 0 new cases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.814. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4.

**Regional or Local Office:**

See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Washington, DC 20420. Telephone: (202) 461-9600.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 64.201 NATIONAL CEMETERIES

**FEDERAL AGENCY:**

NATIONAL CEMETERY ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

National Cemeteries Act of 1973; Public Laws 93- 43, 101-508, 102-86, 102-568, 103-240, and 103-446; 38 U.S.C. 2306, 2402, 2403 2404, and 5303A.

**OBJECTIVES:**

To provide burial space, headstones and markers, and perpetual care for veterans and members of the Armed Forces of the United States whose service terminated other than dishonorably, and for Reservists and National Guard members having 20 years qualifying service for the purpose of receiving retired pay and certain eligible dependents.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Interment or memorialization in a national cemetery is for eligible veterans; members of the Armed Forces of the United States; Reservists and National Guard members with 20 years of qualifying service, who are entitled to retired pay or would be entitled, if at least 60 years of age, under Chapter 67, Title 10, United States Code; and other persons and dependents meeting eligibility requirements under law.

**Applicant Eligibility:**

Applicant may be the next of kin, a friend of the decedent or a public assistance officer.

**Beneficiary Eligibility:**

Eligible Veterans, members of the Armed Forces of the United States (Army, Navy, Air Force, Marine Corps, and Coast Guard) who die on active duty; members of the Reserve or the Army and Air National Guard who die while performing active duty for training; Reservists and National Guard members having 20 years of qualifying service for the purpose of receiving retired pay or are eligible for retired pay but are under 60 years of age; the spouse of an eligible veteran member of the Armed forces or individual receiving retired pay (including a 20-year Reservist or National Guard member); the spouse of a member of the Armed Forces of the United States lost or buried at sea or officially determined to be permanently absent in a status of missing or missing in action; minor children and certain unmarried adult children of an eligible veteran or member of the Armed forces, or individual receiving retired pay (including a 20-year Reservist and National Guard member) are eligible for interment. Enlisted personnel who entered military duty after September 7, 1980, and officers commissioned after October 16, 1981, must have served a minimum of 24 months or the full period for which called or ordered to active duty to be eligible for interment. Citizens of the United States who served in the Armed Forces of any government allied with the United States during any war, who were citizens of the U.S. at time of entry and are citizens of the U.S. at time of death; Certain Commissioned Officers of the Public Health Service and the National Oceanic and Atmospheric Administration are also eligible. Groups determined to have active duty service are eligible for all VA benefits under the provisions of Section 401, Public Law 95-202. Reservists who are activated under Presidential Order under title 10, may also be eligible. National Guard Members called to Federal active duty may also be eligible. Other persons who meet eligibility requirements under law may be eligible for burial.

**Credentials/Documentation:**

Present documentation of qualifying military service to Cemetery staff at the

time the request for interment is made. National Cemetery Administration personnel will assist in verifying entitlement if documentation is not available. In addition, for a memorial headstone or marker, an affidavit attesting to the disposition of the remains is required.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The person in charge of funeral arrangements (next of kin or funeral director) should communicate with the staff of the national cemetery in which interment or memorialization is desired, and furnish the name and official documentation of military service of the veteran on whose service the burial is predicated. If documentation is not available, as much of the following data as is available should be provided: Branch of service; rank; service number; social security number; VA claim number; date and place of entry into and separation from last period of active service; date and place of birth; and, date of death. This program is excluded from coverage under OMB Circular No. A-110. Application for a memorial headstone or marker must be submitted on VA Form 40-1330, "Application for Standard Government Headstone or Marker for Installation in a Private or State Veterans' Cemetery", unless placement is in a national cemetery. Memorial headstones or markers for national cemetery placement are ordered by cemetery staff.

**Award Procedure:**

Scheduling of a time and date for a committal service in a national cemetery will be made by the Cemetery staff upon verification of eligibility.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

36-0129-0-1-705.

**Obligations:**

(Salaries and Expenses) FY 07 \$155,003,000; FY 08 est \$193,852,000; and FY 09 est \$175,373,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Interments in fiscal year 2007 totaled 101,185. Estimate of interments for fiscal year 2008 is 102,500, and for fiscal year 2009, 111,000. There are 125 operating national cemeteries under the jurisdiction of the Department of Veterans Affairs. Of this number, 65 have space available for casketed and cremated remains; 21 have space available for the casketed interment of eligible family members of those already interred at the cemetery, and for cremated remains; and 39 have space available only for the interment of eligible family members of those already interred.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following brochures are available at the Washington Office and other VA offices at no charge: "Interments in Department of Veterans Affairs (VA) National Cemeteries" (VA-NCA IS -1) and "National Cemetery Administration" brochure. Gravesite locator maps, and informational leaflets are available for many of the national cemeteries, as well as information kiosks at certain national cemeteries.

**Regional or Local Office:**

Memorial Service Network Offices are located at: 5000 Wissahickon Avenue, Philadelphia, PA 19144; 1700 Clairmont Road, 4th Floor, Decatur, GA 30033-4032; P.O. Box 25126, Denver, CO 80225; 575 North Pennsylvania St., Indianapolis, IN 46204; 1301 Clay St., 1230 North, Oakland, CA 94612-5209. See Appendix IV of the Catalog for contacts and telephone numbers of Memorial Service Network Offices in the National Cemetery Administration under Department of Veterans Affairs.

**Headquarters Office:**

Director, Office of Field Programs (41A), National Cemetery Administration, Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC

20420. Contact: Mr. Steve Muro. Telephone: (202) 461-6249.

**Web Site Address:**

http://www.va.gov.

**RELATED PROGRAMS:**

64.101, Burial Expenses Allowance for Veterans; 64.202, Procurement of Headstones and Markers and/or Presidential Memorial Certificates.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.202 PROCUREMENT OF HEADSTONES AND MARKERS AND/OR PRESIDENTIAL MEMORIAL CERTIFICATES**

**FEDERAL AGENCY:**

NATIONAL CEMETERY ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

National Cemeteries Act of 1973; 38 U.S.C. 2306, 2403 and 2404(a)(b)(c); Veterans' Disability Compensation and Survivors' Benefits Act of 1978, Section 303(b); Public Laws 93-43, 95-479, 95-476, 102-547, 107-103, and 107-330; 38 U.S.C. 313(a), 38 U.S.C. 112.

**OBJECTIVES:**

To furnish lasting memorials for the graves of veterans and eligible family members throughout the world and honor the service of the veteran through Presidential Memorial Certificates.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Headstones and Markers: For eligible veterans only who are buried in a private cemetery and who died before September 11, 2001, government-furnished headstones and markers may be furnished only for the unmarked graves. For eligible veterans only who are buried in a private cemetery and who die on or after September 11, 2001, government-furnished headstones and markers are furnished for the grave regardless if it is already marked with a privately purchased headstone. For the unmarked grave of eligible veterans and eligible family members buried in a VA national cemetery, a Department of Interior national cemetery, a State Veterans Cemetery operating under a grant through the State Cemetery Grants Program, Arlington National Cemetery, or a Military/Post cemetery. A memorial headstone or marker may be furnished for a veteran when the remains are non-recoverable. The memorial headstone or marker must be placed in a recognized cemetery. A memorial headstone or marker may also be furnished for the eligible spouse of the veteran if placement of the memorial headstone or marker is in a national or state cemetery. Benefits include: procurement of Government headstones, markers, and niche covers; authorized inscription; costs of shipment to destination; installation and maintenance costs in national, state and military/post cemeteries; and, replacements when headstones, markers, and niche covers are severely damaged, when inscriptions are incorrect, or when inscriptions have become illegible. Presidential Memorial Certificates: Provided to family members and friends of the honorably discharged veteran to honor the memory of the veteran. Additional certificates may also be requested and provided. Benefits include: procurement of a gold embossed paper certificate inscribed with the veteran's name that bears the President's signature; and mailed to family members and/or friends of the veteran.

**Applicant Eligibility:**

When burial or memorialization is in a private cemetery, the applicant is normally the next of kin. In the absence of relatives, the applicant need not be a member of the deceased's family. The applicant's signature on VA Form 40-1330, "Application for Standard Government Headstone or Marker for Installation in a Private or State Veterans Cemetery," certifies all information on the application is correct, and the type of headstone or marker requested is permitted by the cemetery on the grave of the veteran, or for memorialization in an appropriate area of the cemetery. If a burial or memorialization plot is in a national cemetery, State veterans cemetery, or a military/post cemetery, the Cemetery Director orders the headstone or marker, after completion of the interment in the cemetery, or upon need for replacement.

**Beneficiary Eligibility:**

Any deceased veteran of wartime or peacetime service who was discharged under conditions other than dishonorable. Service after September 7, 1980 for enlisted personnel and October 16, 1981 for commissioned officers, must be for a minimum of 24 consecutive months or the period for which ordered to be completed under special circumstances; for example, death on active duty, or any active duty during the Persian Gulf War qualifies for this benefit. In addition, members of the Reserve and the Army and Air National Guard who die while performing, or as a result of performing, active duty for training or are entitled to retirement pay subsequent to October 27, 1992; all persons, including Reservists and National Guard members having 20 years of qualifying service for the purpose of receiving retired pay or are eligible for retired pay, but are under 60 years of age; Commissioned officers of the Public Health Service and

the National Oceanic and Atmospheric Administration; Merchant Mariners and certain other categories of individuals who participated in wartime activities whose service has been classified as active duty by the Secretary of the Air Force in accordance with Public Law 95-202 may also be eligible. Spouses and certain other dependents of those eligible for a headstone or marker and buried in a national, State or military/post cemetery are also eligible.

**Credentials/Documentation:**

Copy of the veteran's Report of Separation (DD 214) or equivalent, or other official military documents that detail the character of military service. In addition, for a memorial headstone or marker a statement attesting to the disposition of the remains is required.

**Preapplication Coordination:**

If the headstone or marker is to be placed in a nonfederal cemetery, the approval of the cemetery operator must be secured. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicant must complete VA Form 40-1330, Application for Standard Government Headstone or Marker, in accordance with the General Information and instructions attached to the application and submit it to the Department of Veterans Affairs. Submission to the VA is preferred by toll free fax at 1-800-455-7143. It may also be mailed to: Director, Memorial Programs Service (41A1), Department of Veterans Affairs, 5109 Russell Road, Quantico, VA 22134-3903. Detailed instructions for submitting the application can be referenced at the official website for the National Cemetery Administration at [www.cem.va.gov](http://www.cem.va.gov). Applications are also available at this website, or they can be obtained at any VA Regional Office, State and County Veterans Service Office, and most funeral homes. Xerographic copies with original signatures of applicant, consignee and cemetery officials are acceptable. Letters requesting Presidential Memorial Certificates may be mailed to Memorial Programs Service (41A1C), Department of Veterans Affairs, 5109 Russell Road, Quantico, VA 22134-3903. Requests for PMC's may also be made by telephone to (202) 565-4259.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0155-0-1-701 (Benefits); 36-0129-0-1-705 (Salaries and Expenses).

**Obligations:**

(Benefits) FY 07 \$41,846,000; FY 08 est \$44,200,000; and FY 09 est \$44,800,000. (Salaries and Expenses) FY 07 \$5,228,000; FY 08 est \$5,431,000; and FY 09 est \$5,586,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 359,530 applications were processed for standard government headstones and markers. It is estimated that the total applications processed will be 347,300 in FY 08, and 344,700 in FY 09. Procurement of headstones, markers, and inscriptions on existing niche covers and headstones in FY 07 was 334,257 and estimates are 346,315 in FY 08, and 343,702 in FY 09. In FY 07, 423,143 Presidential Memorial Certificates were issued. It is estimated that 391,700 will be issued in FY 08, and 388,700 in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Application for Standard Government Headstone or Marker" (VA Form 40-1330), contains instructions for completing the form, and illustrations of the different types and styles of headstones, markers, and niche covers available. It is available at Department of Veterans Affairs Regional Offices at no charge. Presidential Memorial Certificates may be requested through Department of Veterans Affairs Regional Offices and national cemeteries.

**Regional or Local Office:**

Memorial Programs Service (MPS) Processing Sites: MPS Processing Sites are located at: Ft. Leavenworth National Cemetery, 395 Biddle Boulevard, Ft. Leavenworth, KS 66027-2307. Toll free telephone: (1-888) 460-9709, Fax: (913) 758-1839. Nashville Processing Site, 220 Athens Way, Suite 102, Nashville, TN 37228-1346. Toll free telephone: (1-888) 367-1330, Fax: (615)

736-2026. Lebanon VA Medical Center, 1700 South Lincoln Avenue, Building #27, Lebanon, PA 17042. Toll free telephone: (1-888) 574-9107, Fax: (717) 270-9428.

**Headquarters Office:**

Director, Memorial Programs Service (41A1), National Cemetery Administration, Department of Veterans Affairs, 5109 Russell Road, Quantico, VA 22134-3903. Contact: Lindee L. Lenox. Telephone (202) 501-3100. Program Support Unit; issues relating to headstone and marker: Contractor's telephone number: (202) 501-3027. Applicant Assistance; shipment tracer information; problems with shipments arriving C.O.D.; eligibility matters; inscription matters; and, problems relating to quality of headstones and markers telephone: (1-800) 697-6947. For questions concerning Presidential Memorial Certificates telephone: (202) 565-4259.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.101, Burial Expenses Allowance for Veterans.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**64.203 STATE CEMETERY GRANTS**

**FEDERAL AGENCY:**

NATIONAL CEMETERY ADMINISTRATION, DEPARTMENT OF VETERANS AFFAIRS

**AUTHORIZATION:**

Veterans Housing Benefits Act of 1978, Section 202, Public Laws 95-476, 98-223, 100-687, 103-446, and 105-368; 38 U.S.C. 2408.

**OBJECTIVES:**

To assist States in the establishment, expansion, and improvement of veterans' cemeteries.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Monetary assistance is provided under this program to construct, expand, improve or operate State veterans' cemeteries. Cemeteries must be State-owned and operated solely for the interment of eligible veterans and their dependents and/or spouses. Construction cost means the amount found necessary to convert a tract of land to an operational cemetery.

**Applicant Eligibility:**

Any State may apply.

**Beneficiary Eligibility:**

The cemetery must be used solely for the interment of veterans, their wives, husbands, surviving spouses, minor children, and unmarried adult children who were physically or mentally disabled and incapable of self support: section 38 CFR Part 38.620.

**Credentials/Documentation:**

Costs will be determined in accordance with revised OMB Circular No. A-87 for State Governments, dated May 4, 1995, and further amended August 29, 1997.

**Preapplication Coordination:**

Consultation or assistance is available from VA Central Office personnel (State Cemetery Grants Service) to aid in the preparation of an application. The standard application forms as furnished by VA and required by OMB Circular No. A-102 must be used for this program (Standard Form 424, "Application for Federal Assistance," with attachments). An environmental assessment is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Submit Standard Form 424, "Application for Federal Assistance for Construction Programs," with attachments, to the Director, State Cemetery Grants Service (401C), Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Formal notification of the award to the State is made by the Under Secretary for Memorial Affairs, National Cemetery Administration.

**Deadlines:**

A deadline of July 1 is established for the filing of applications in the year prior to the fiscal year in which funding is requested.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

No application shall be disapproved until the applicant has been afforded an opportunity for a hearing.

**Renewals:**

Not applicable.



**Formula and Matching Requirements:**

The amount of the Federal contribution to a State is up to 100 percent of the cost of establishing, improving or expanding State Veterans Cemeteries. In the case of establishment grants, the cost of operating equipment may also be included. Land value is not included as an allowable cost for reimbursement under the grant.

**Length and Time Phasing of Assistance:**

Funds are provided by electronic transfer of funds and must be used within 3 years.

**Reports:**

Outlay Report and Request for Reimbursement for Construction Programs, and Performance Reports are accomplished in accord with 38 CFR Part 43.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records and all other records pertinent to a grant shall be retained for a period of three years. If any claim or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

36-0183-0-1-705.

**Obligations:**

(Grants) FY 07 \$45,888,000; FY 08 est \$39,838,000; and FY 09 est \$32,000,000.

**Range and Average of Financial Assistance:**

\$4,305 to \$10,965,487. Average: \$1,915,488.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2008 the State Cemetery Grants Service has received requests totaling \$198,497,229. The State Cemetery Grants Service estimates approximately five to ten applications to establish, expand, or improve State veterans cemeteries in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Regulations 38 CFR Parts 39 and 43, State Cemetery Grant Program and "Federal Assistance for Establishment, Expansion, and Improvement of State Veterans' Cemeteries (State Cemetery Grants Program)" (VA Pamphlet 40-96).

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, State Cemetery Grants Service, (41E), National Cemetery Administration, Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420. Contact: Mr. Frank K. Salvas, Jr. Telephone: (202) 565-4804. Fax: (202) 565-6141.

**Web Site Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.101, Burial Expenses Allowance for Veterans; 64.201, National Cemeteries; 64.202, Procurement of Headstones and Markers and/or Presidential Memorial Certificates.

**EXAMPLES OF FUNDED PROJECTS:**

- 1) Construction necessary to convert a tract of land to an operational cemetery;
- 2) construction of main entrance, roads, committal service shelter, administration/maintenance building, storm drainage system and irrigation; and
- 3) the expansion of cemetery acreage or building a columbarium.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are prioritized and ranked with other projects in the order received. The priority system consists of four groups or categories. Examples: The extent to which States have adequate funds to initiate and complete the design process required for approval for the grant program, and the extent to which a project involves additional gravesites necessary to keep the cemetery open.

# ENVIRONMENTAL PROTECTION AGENCY

## 66.001 AIR POLLUTION CONTROL PROGRAM SUPPORT

### FEDERAL AGENCY:

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Clean Air Act of 1990, Section 105, as amended; Public Law 101-549.

### OBJECTIVES:

Section 105 program are to assist State, Tribal, Municipal, Intermunicipal, and Interstate agencies in planning, developing, establishing, improving, and maintaining adequate programs for the continuing prevention and control of air pollution and/or in the implementation of national primary and secondary air quality standards. Funding Priority - Fiscal Year 2008: A major portion of continuing program funds are being devoted by recipients to attain the National Ambient Air Quality Standards (NAAQS) for 8-hour ozone and fine particulates (PM<sub>2.5</sub>). This continues to be a multi-year, multi-pollutant effort and reflects the fact that the NAAQS may be periodically revised. Funded activities include the development and submission of re-designation requests including maintenance plans for non-attainment areas meeting the NAAQS, as appropriate. Recipients are also required to review the annual air quality reports for criteria air pollutants and take appropriate actions dealing with any areas that are newly discovered to be violating the NAAQS. For attainment of the 8-hour ozone standard, section 105 grants will continue to support the shift of State, Local and Tribal work to implementation of control plans including updates of control strategies. Plans for attainment include strategies such as regulation of stationary sources, mobile source emissions testing and trip reduction measures, transportation conformity, participation in the NOx/CAIR interstate emissions trading program, and other innovative approaches including early ozone reduction programs and voluntary measures at the local level. States were to have submitted their 1997 PM<sub>2.5</sub> state implementation plans (SIPs) by April 5, 2008 that included the following elements: attainment demonstration, emission inventory, reasonably available control technology and control measures, a reasonable further progress plan, and contingency measures. Recipients were to have recommended designation status by December 2007 for areas not attaining the new (2006) 24-hour PM<sub>2.5</sub> standard. Recipients may also be working with local areas to support innovative, voluntary, early action initiatives such as the 8-hour Ozone Flex. States with Early Action Compact Areas (EACs) which had designation deferrals and were determined not to meet attainment by 12/31/2007 under the EAC program were to have begun working on non-attainment area SIPs. For the other criteria pollutants (i.e., CO, SO<sub>2</sub>, PM<sub>10</sub>, Pb) funds continue to assist States, Tribes and Local agencies in: maintaining compliance with existing standards; or in implementing strategies to reduce these pollutants, review data for their designation to attainment, and assist in developing attainment plans, as necessary. Funds are also being used by State, Local and Tribal governments to bolster their individual roles in regional efforts to reduce visibility-impairing regional haze. Regional haze SIPs were to have been submitted by December 17, 2007. EPA and its partners continue to devote significant grant resources to ambient air monitoring as restructuring of the overall national ambient air monitoring network continues. Reassessment is occurring in light recent revisions in the national ambient air quality standards, monitoring regulations, and the continuing needs of State, local and tribal governments. Monitors are operated for NAAQS pollutants, PM<sub>2.5</sub> speciation, and PAMS according to monitoring regulations, approved monitoring plans, and/or grant agreements including quality assurance provisions. Recipients quality-assure, submit and certify air quality data on a regular basis. Recipients were also to have begun or continued a 5-year-cycle network assessment (required by the amended national monitoring rule) and complete it by July 1, 2010. Funds for air toxics purposes are provided to: expand existing air toxics monitoring networks operated by State, Tribal and Local agencies in order to better characterize air toxics risks and assess the effectiveness of control strategies; update and review HAP emission inventory and test and review new NEI process and EIS components and provide feedback to EPA; help State and other agencies implement maximum achievable control technology (MACT) standards and other air toxics standards affecting the emissions of specific categories of sources (e.g., Section 112, 111(d) and 129); and help carry out national, regional and community-based initiatives that focus on the identification and reduction of residual, multi-media and cumulative air toxics risks. Additional priorities include implementation of air toxics reduction programs through technology-based and delegated residual risk standards. For FY 08-09, Section 105 funds support agency-specific air pollution prevention and control activities in the form of direct grants to recipients and associated program support to help EPA address three major priorities in air pollution control: (a) attain and maintain national ambient air quality standards for criteria pollutants (ozone, particulate matter, visibility; carbon monoxide, lead, sulfur dioxide and nitrogen dioxide) which endanger human health (particularly sensitive populations) and the environment; (b) eliminate unacceptable risks of cancer and other health

problems from air toxics emissions; and (c) reduce the destructive effects of acid rain deposition on land and water systems formed by ambient nitrates and sulfates. Funds also address air pollution concerns that are multi-pollutant, cross-media, interstate, or trans-boundary in nature. Funds for acid deposition enable States to conduct analyses of the impacts of acid rain on land and water bodies, assess the effectiveness of control strategies, and monitor the market-based acid rain trading program emissions from electric utilities. Funding Priority - Fiscal Year 2009: By nature, much of the work occurring in FY 2008 will continue into FY 2009. However, several new developments will alter the priorities for the program across the country in FY 2009 - the response to the new NAAQS in ozone and PM<sub>2.5</sub>, and the shift of the PM<sub>2.5</sub> ambient monitoring program from Section 103 (100 percent federal funding) to Section 105 authority (recipient cost shared). Recipients will continue to review air quality reports and take appropriate actions dealing with new violating attainment areas with any of the NAAQS; submit re-designation requests including maintenance plans for areas with clean air quality data as appropriate; work with local area stakeholders to support innovative, voluntary, early action initiatives such as the 8-hour Ozone Flex; continue to implement 8-hr ozone SIPs; and submit any outstanding ozone SIP elements (including prior commitments). However, recipients will also begin preparing recommendations on designations for the potential revised ozone NAAQS. For PM<sub>2.5</sub>, in addition to implementing their PM<sub>2.5</sub> SIP for 1997 NAAQS, recipients will begin SIP planning for 2006 PM<sub>2.5</sub> NAAQS and coordinate with EPA regarding recommendations and comments for 2006 PM<sub>2.5</sub> NAAQS designations. Some states will work with local agencies to implement woodstove change-out programs in areas where change-outs could significantly reduce ambient particle concentrations. Areas may also explore feasibility of changing out existing outdoor wood-fired boilers to significantly reduce PM<sub>2.5</sub> concentrations. For both ozone and PM<sub>2.5</sub>, recipients will continue to implement their NOX requirements under the Clean Air Interstate Rule (CAIR). As in FY 2008, for ambient monitoring all state/local primary quality assurance organizations operate monitors and submit NAAQS pollutant data, PAMS, and QA data to AQS directly or indirectly through another organization according to schedule in 40 CFR Part 58. Data must also meet quality assurance requirements. These organizations will also submit their required annual (monitoring) network plans by July 1 unless another schedule has been approved. They must also certify their 2008 NAAQS pollutant data in AQS and provide supporting documentation by July 1, 2009 (State/local only, unless tribal work plan requirement). Additionally monitoring organizations will report real time ozone and PM<sub>2.5</sub> data to AirNOW for cities required to report the AQI (State/local only); will continue the 5-year-cycle network assessment required by July 1, 2010; (State/local only, unless tribal work plan requirement), and include final NCore siting plan in Annual Monitoring Network Plan due July 1, 2009. Air quality reporting, including particle pollution forecasting, will be expanded to additional cities. For regional haze, States and other stakeholders will continue to work with EPA on issues related to submitted regional haze SIPs and will continue to implement Best Available Retrofit Technology (BART) requirements. As in FY 2008, funds for air toxics purposes are provided to: expand existing air toxics monitoring networks operated by State, Tribal and Local agencies in order to better characterize air toxics risks and assess the effectiveness of control strategies. Recipients will collect data for the integrated 2008 hazardous air pollutant (HAP) emissions inventory; implement delegated or approved section 112, 111(d) and 129 standards, as appropriate, for major sources and area sources; implement delegated residual risk standards; and work with communities to develop and implement voluntary air toxics programs that address outdoor, indoor, and mobile sources with emphasis on areas with potential environmental justice concerns. For FY 2009, the President has again proposed that the PM<sub>2.5</sub> air monitoring program be moved under Section 105 authority. PM<sub>2.5</sub> Fine Particulate Monitoring. State and local air pollution control agencies are working with EPA to operate a national fine particulate (PM<sub>2.5</sub>) monitoring network to accurately assess and characterize the nature and extent of fine particulates (PM<sub>2.5</sub>) across the country. This assessment is necessary to determine the air quality status of an area in relation to the national PM<sub>2.5</sub> ambient air quality standard. At least three years of quality-assured data are required in order to determine an area's attainment status. The air quality status of an area will determine the nature and complexity of its attainment plan, its associated control strategies, and its implementation schedule. The immediate goals of this multi-year program are: appropriate spatial characterization of PM<sub>2.5</sub> NAAQS; public reporting of PM<sub>2.5</sub> in the Air Quality Index; characterization of PM<sub>2.5</sub> chemical speciation data for long term trends; development and accountability of emission control programs and tracking of regional haze, and limited support of health studies; implementation of NCore CO, SO<sub>2</sub>, NO<sub>2</sub>/NOy trace-level monitoring to support characterization of PM precursors; assessment of PM<sub>2.5</sub> data quality; and procurement and testing of PM<sub>2.5</sub> filters. Grant funds are used to provide support to eligible State and local air agencies for continued operation of high value federal reference method (FRM) and speciation monitoring sites; additional investments in PM<sub>2.5</sub>

continuous monitoring and associated data management systems for timely reporting of high quality data; and continued investments in precursor gas analyzers, data analyses, and quality assurance activities that will support better understanding of particle formation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs specifically incurred in the conduct of a State/Local/Tribal Air Pollution Control Program in accordance with the purposes enumerated in the approved application. These include personnel costs, supplies, equipment, training of personnel, travel, and other necessary expenditures during the approved project period. Funds may not be used for construction of facilities, nor for expenses incurred other than during each approved award period. Grant funds may not be used to subsidize the costs of Title V operating permit programs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Municipal, Intermunicipal, State, Federally Recognized Indian Tribe, or Interstate or Intertribal with legal responsibility for appropriate air pollution planning, development, establishment, implementation, and maintenance of Clean Air Act air pollution control activities, including management of grant support for those activities, provided such organization furnishes funds for the current year that are equal to or in excess of its recurrent expenditures for the previous year for its approved section 105 air pollution program. The determination of expenditures is subject to decisions based on provisions of the Clean Air Act and applicable grant regulations. This program is available to each State, territory and possession of the U.S., including the District of Columbia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities (local governments), Intermunicipalities, States, Federally Recognized Indian Tribes, and Interstate and Intertribal agencies.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control; evidence of the availability of nonfederal matching funds; assurance that federal funds do not supplant available recipient funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan; and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 31 of the Federal Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Discussion with the applicable EPA Regional Office is advised for air program grant applications. The standard application forms as furnished by the Environmental Protection Agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to the State's review. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Branch. Application must meet the requirements of the grant regulations and will be reviewed to determine merit and relevancy of the proposed project. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Procedures for awards are outlined in General Grant Regulations 40 CFR Part 31. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Clean Air Act does not prescribe a specific statutory funding formula but does direct that the factors of population, the extent and severity of the air pollution problem, and financial need, be considered in the allocation of available resources by the Agency. The current allocation approach is currently under review for updating by the Agency. EPA is undertaking the review in consultation with eligible recipients. State, Interstate, and Local programs may receive up to 60 percent Federal funding for the total approved program costs. The amount of Federal share of grant costs should be determined by reference to the criteria set forth in Section 105 of the Clean Air Act and in 40 CFR 35.145, 40 CFR 35.146, and 40 CFR 147. Not more than 10 percent of the funds available shall be granted for air pollution control programs in any one State. Not less than one-half of one percent of the funds are to be made available as a minimum to a State (overall) for application. However, award of these levels of funds will be made only if the agencies within the State meet the requirements of the Act and grant regulations. For Indian Tribes establishing eligibility pursuant to Section 35.573, the Regional Administrator may provide financial assistance in an amount up to 95 percent of the approved costs of planning, developing, establishing, or improving an air pollution control program, and up to 95 percent of the approved costs of maintaining that program. After 2 years from the date of each Tribe's initial grant award, the Regional Administrator will reduce the maximum federal share to 90 percent, as long as the Regional Administrator determines that the Tribes meet certain economic indicators that would provide an objective assessment of the tribe's ability to increase its share.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Grant and administrative reporting requirements are also identified in the Grant Regulations Part 30 and Part 32. Programmatic reporting requirements are outlined in Part 31 and in the applicable national program manager annual guidance. Requirements for the evaluation of recipient performance are discussed in 40 CFR 35.115.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$154,747,260; FY 08 \$165,700,000; FY 09 \$175,730,000 (estimated and includes \$25.5M for PM2.5 air monitoring. Note: The President's Budget request proposes to fund the PM 2.5 Air Monitoring grant program under Section 105, but Congress has proposed to continue funding the program under Section 103.

**Range and Average of Financial Assistance:**

In FY 2008 - From approximately \$64,000 to \$6,850,000 per recipient; average approximately \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 110 applications were received from State, Local and Tribal agencies to help support their continuing air quality programs were funded. This same level is expected to be received and funded in FY 2009. These programs plan and implement measures to improve, protect, monitor and



report air quality in their communities. The plans integrate state and local measures with federal measures - including advances in environmental technologies (e.g., cleaner fuels, vehicle and industrial technology), in addressing and reducing air pollution and in meeting National Ambient Air Quality Standards (NAAQS). The NAAQS are regularly reassessed to assure that public health and welfare is being adequately protected. The most recent designations for ozone occurred in 2004 and 89 of the original 126 ozone areas are now meeting that NAAQS based on data collected during 2004-2006. Thirteen of the 14 Early Action Compact areas will have been designated attainment by April 15, 2008. For PM, the Agency designated 86 areas, with a total population of 35.8 million people, as nonattainment for PM10 in 1992 and 46 of those areas remain in nonattainment. In 4/05, EPA designated 39 areas as nonattainment for the PM2.5 based on air quality data collected during 2001-2003. Some PM2.5 design values in designated nonattainment areas are improving slightly, especially in the western U.S. violated the annual and not the 24-hour NAAQS. As the new standards for ozone and PM2.5 take affect, updates on in designations and progress in air quality status will be provided. States have achieved widespread attainment of standards for several of the criteria pollutants: CO, SO2, NO2 and Lead. Specifically: for carbon monoxide EPA originally designated 78 areas, affecting 69.8 million people, as nonattainment for CO in 1992 with 3 nonattainment areas, affecting 719 thousand people remaining. For sulfur dioxide (SO2), EPA designated 54 areas, with a total population of 9.8 million people, as nonattainment for SO2 in 1992 with 10 nonattainment areas remaining affecting a total population of 1.1 million. All 10 areas have monitoring data measuring attainment of the SO2 NAAQS. For nitrogen Dioxide (NO2), there are no designated NO2 nonattainment areas and all areas continue to meet the NAAQS. For lead (Pb), EPA designated 13 areas, with a total population of 1.8 million people as nonattainment for Pb in 1992 and 2 nonattainment areas remain. There are no new areas violating the current lead NAAQS. The lead NAAQS is currently being examined for revision.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Air Pollution Control Program Grants, EPA, 40 CFR Part 35 (revised January 9, 2001); Interim Rule published January 4, 1995 (FR V.60 No.2, pp.366-372); General Grant Regulations and Procedures, EPA, 40 CFR Part 31.

#### **Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

For program information: William Houck, National Air Grant Coordinator, State/local (202) 564-1234, Fax: (202) 564-1352, [houck.william@epa.gov](mailto:houck.william@epa.gov); and Darryl Harmon, Tribal Air Coordinator (202) 564-7416, Fax: (202) 564-1352, [harmon.darryl@epa.gov](mailto:harmon.darryl@epa.gov); Office of Air and Radiation, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Mail Code 6102A.

#### **Web Site Address:**

<http://www.epa.gov/air/>.

#### **RELATED PROGRAMS:**

66.600, Environmental Protection Consolidated Grants for the Insular Areas - Program Support.

#### **EXAMPLES OF FUNDED PROJECTS:**

Continuing program grants are provided to State, Local and Tribal air pollution control agencies for the purpose of operating programs that plan and implement activities to achieve ambient air quality standards. These programs cover: planning for attainment of updated national air quality standards including fine particulates and ozone; state implementation plan development; ambient monitoring; emission inventories; air and emissions modeling; source permitting; certain compliance and enforcement activities; public outreach and education activities; development and implementation of air quality regulations; implementation of market-based, early action (ozone) compacts and other innovative air pollution reduction strategies; technical training; risk and data analyses; information management; and program evaluation, progress reporting and other program operation and maintenance activities.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The criteria for awarding air pollution control program assistance grants are provided in the 1990 Clean Air Act, Section 105, and set forth in State and local assistance grant regulations (40 CFR 35). Some of the criteria considered for award include the following: 1) No grant may be awarded unless the program contained in the grant application meets the requirements of Section 35.140 (program purposes and associated regulations) and has been approved by the Regional Administrator. Sections 35.104 and 35.107 describe what an agency needs to do to prepare an adequate application. This usually includes the use of annual program and grant guidance from EPA and is generally done in consultation with the EPA Regional Office. 2) No grant may be awarded until the Regional Administrator has consulted with the official designated by the Governor(s) of the State(s) affected by such award pursuant to Section 105(b) of the Clean Air Act. Such consultation should consider the role of the applicant in the enforcement of any applicable implementation plan and confirm that the applicant's program will be generally compatible with the objectives of the applicable implementation plan. 3) The requirements of this Section shall not apply to Indian Tribes that have established eligibility pursuant to Section

35.573 and intertribal agencies made up of such Tribes. 4) No grant may be awarded unless the Regional Administrator has determined that the agency has adequate air pollution control authority and necessary regulations to implement such authority. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## **66.032 STATE INDOOR RADON GRANTS**

(SIRG)

#### **FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, INDOOR ENVIRONMENTS DIVISION, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Indoor Radon Abatement Act, Section 306, 15 U.S.C. 2661; Toxic Substances Control Act, Title I, Section 10(a).

#### **OBJECTIVES:**

The Indoor Radon Abatement Act (IRAA), Section 306, and the Toxic Substances Control Act (TSCA), Section 10(a), authorizes EPA to assist States and Federally Recognized Indian Tribes in the development and implementation of programs for the assessment and mitigation of radon related health risks. Funding Priority - Fiscal Year 2008: In FY 2008 this program aims to: (1) maintain, enhance and improve the effectiveness of existing state and federally recognized indian tribal radon programs; (2) increase the number of homes and schools tested and mitigated; (3) increase the number of builders voluntarily including radon-reducing features in new homes; (4) increase the number of state and local jurisdictions adopting radon-reducing features in residential building codes; (5) focus activities under (2), (3) and (4) in high radon potential areas; (6) encourage radon disclosure, testing and mitigation in residential property transfers; and (7) encourage grant recipients to be more strategic in their risk reduction efforts, e.g., by improving their results reporting and sharing and replicating best practices.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

The following activities are eligible for funding under SIRG: radon surveys, public information and educational materials, radon control programs, purchase of radon measurement equipment or devices, purchase and maintenance of analytic equipment, training, program overhead and administration, data storage and management, mitigation demonstrations, and toll-free hotlines. Funding for these eligible activities may be used to develop State radon response programs. States may, at the Governor's direction, provide assistance to local governments for public information and educational materials, radon control programs and training. RESTRICTIONS: The statute places the following restrictions on the use of Federal funds: 1) SIRG recipients must perform satisfactorily in the preceding budget period to be eligible to receive additional funding; 2) State expenditures for measurement equipment/devices and mitigation demonstrations cannot exceed 50 percent of the grant amount in a budget period; 3) State expenditures for general overhead and program administration cannot exceed 25 percent in a budget period; and 4) SIRG applicants may use grant funds for financial assistance to persons only to the extent that such assistance is related to demonstration projects or the purchase and analysis of radon measurement devices.

#### **Applicant Eligibility:**

Eligible entities include States (including District of Columbia (DC)), Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, Federally recognized Indian Tribes and Tribal consortia, or any other U.S. Territory or possession. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. The Agency may also limit eligibility to compete to a number or subset of eligible applicants from a particular regional or geographical area (e.g. tribes). EPA may limit competition to a sovereign nation when TSCA 10(a) is the grant authority.

#### **Beneficiary Eligibility:**

State agencies; local, municipal, district, or area wide governments and organizations; U.S. territories or possessions, Federally Recognized Indian Tribes, colleges, universities, multi-state agencies, nonprofit organizations, low-income individuals, homeowners, and the general public.

#### **Credentials/Documentation:**

An applicant's application must: (1) describe the seriousness and extent of radon exposure; (2) identify the lead State agency with primary responsibility for the radon program that will receive the grant, with a description of the lead agency's role and responsibilities, and those of any other State agencies, and any municipal, district or area wide organizations involved in the radon program; (3) submit a work plan describing the activities and programs to be funded; (4) provide a budget specifying the Federal and applicant share of the funding for each work plan element. First time applicants must have a 3-year work plan outlining long range program goals and objectives, the tasks necessary to

achieve them, the resource requirements including anticipated SIRG applicant funding levels and the desired Federal funding level. Costs are determined in accordance with OMB Circular A-87, "Cost Principles for State, Local and Tribal Governments."

**Preapplication Coordination:**

Application assistance is available through Regional radon coordinators and their Regional grants specialist counterparts. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description (TSCA 10(a) only), EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Visit [www.epa.gov/iaq/wherelyoulive.html](http://www.epa.gov/iaq/wherelyoulive.html) for state specific information on the state radon programs and how to contact them.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency and the appropriate EPA Regional Office listed in Appendix IV of the Catalog, or through the Grants and Interagency Agreements Management Division, 3903F, Washington, DC 20460. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Completed deadlines are set by the appropriate Regional Office. Contact the Regional Office for application deadlines. Visit [www.epa.gov/iaq/wherelyoulive.html](http://www.epa.gov/iaq/wherelyoulive.html) for details.

**Range of Approval/Disapproval Time:**

About 90 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable for 40 CFR or TSCA 10(a).

**Formula and Matching Requirements:**

This program has no statutory formula. EPA may provide States with up to 60 percent of allowable costs of approved SIRG Program activities. TSCA Section 306 requires a progressive match for States and Tribes in the first, second and third year of participation in the SIRG program. (25 percent, 40 percent, and 50 percent respectively). However, in FY 2005 Congress changed the recipient match requirement to be a minimum of 40 percent for participants with three or more years in the program. Under TSCA 10(a) authority, Federally Recognized Indian Tribes are not required to provide a cost share match, but competition is required.

**Length and Time Phasing of Assistance:**

Under TSCA Section 306, EPA normally funds grants and cooperative agreements for a period of 12-36 months. EPA negotiates project periods appropriate to the specific project, and encourages 3 year grant periods. However, EPA project periods are limited to a maximum of 5 years. Grants and cooperative agreements are fully funded or incrementally (partially) funded. Successful applicants under a competitive funding announcement are notified via U.S. mail or electronic mail.

**Reports:**

Required reports from grant recipients include: performance reports, no more often than quarterly; Financial Status Reports, (Standard Form 269); Federal Cash Transactions Reports (for grants paid by letter of credit); and if applicable, Request for Advance or Reimbursement (Standard Form 270). To monitor the performance of each grant recipient, the EPA Project Officer and other Agency personnel may conduct mid-year (or more frequent) site visits to inspect program activities first hand.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government.

Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$7,439,000; FY 08 \$7,948,000; and FY 09 est \$7,948,000.

**Range and Average of Financial Assistance:**

Federal funding can range from \$15,000 to a maximum of about \$700,000 per State applicant and \$10,000 to \$80,000 per Tribal applicant. The average Federal funding per applicant is \$150,000 for States and \$30,000 per Tribe. Minimum awards are \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY07, SIRG awarded 44 assistance agreements (39 states, 5 tribes) totaling \$7,432,000. An estimated 213,000 additional homes included radon-reducing features in calendar 2006 (latest data; 139,000 new homes and 74,500 existing homes). Much of this progress resulted from the work of coalitions in partnership with local governments, national and local nonprofit organizations, and other leaders. The SIRG program continues to stress the importance of achieving and measuring results in the number of homes, schools, and other buildings tested and mitigated for radon; in the number of homes built with radon-reducing features through real estate disclosure and property transfers. Recipients are now required to include the results measures template in their work plans. Projects that yield results are preferred over those with inconclusive results.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA regulations that govern State activities under the SIRG Program are contained in the following Parts of 40 CFR: (1) Part 4, "Implementation of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1980"; (2) Part 7, "Nondiscrimination in Programs Receiving Federal Assistance from the Environmental Protection Agency"; (3) Part 29, "Intergovernmental Review of Environmental Protection Agency Programs and Activities"; (4) Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"; (5) Part 32, "Debarment and Suspension under EPA Assistance Programs", and (6) Part 35; "State and Local Assistance". Applicable OMB Circulars include (1) Circular A- 87, "Cost Principles for State and Local Governments," and (2) Circular A-102, "Uniform Requirements for Assistance to State and Local Governments". Other materials applicable to SIRG include: (1) Administrative Guidance for the State Indoor Radon Grants Program under Section 306, Indoor Radon Abatement Act (January 2005); (2) Indoor Radon and Radon Decay Product Measurement Device Protocols (EPA 402-R-92-004); (3) Protocols for Radon and Radon Decay Products Measurements in Homes EPA 420-R-93-003; and (4) Guidance for the Indian Radon Pilot Projects (March 1991). Visit <http://www.epa.gov/radon/sirgprogram.html> for more information.

**Regional or Local Office:**

For questions of a programmatic/technical nature, contact the appropriate Regional Radon Office representative listed in Appendix IV of the Catalog. The individual Regional radon SIRG project officers can be found at <http://www.epa.gov/radon/sirgprogram.html>.

**Headquarters Office:**

For program information, contact: Philip Jalbert, Office of Radiation and Indoor Air, Environmental Protection Agency, 1310 L Street, NW., Mail Code 6609J, Washington, DC 20005. Phone: (202) 343-9431; fax (202) 343-2393; e-mail: [jalbert.philip@epa.gov](mailto:jalbert.philip@epa.gov).

**Web Site Address:**

[www.epa.gov/radon/sirgprogram.html](http://www.epa.gov/radon/sirgprogram.html)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The State and Tribal Indoor Radon Grant (SIRG) program has awarded grants to States and Tribes to: (1) establish effective radon programs among states, territories, and federally recognized Indian tribes; (2) increase the number of homes, schools, and other buildings tested and mitigated from radon; (3) implement radon resistant construction standards in high risk areas; (4) encourage radon testing and disclosure in connection with real estate transfers; and (5) promote environmental justice through programs and outreach efforts

directed at low-income and/or culturally-diverse populations. The Agency encourages recipients to partner with other public health and environmental organizations to increase program effectiveness.

**CRITERIA FOR SELECTING PROPOSALS:**

The EPA will base its review of SIRG applications on whether they reflect the program's goals and promote integrity in States' use of grant funds. Pursuant to TSCA Section 306(e), if State applications exceed the funds appropriated for award in a fiscal year, EPA will prioritize State activities based on the following criteria: (1) the seriousness and extent of the radon contamination problem to be addressed; (2) the potential for the activity or project to bring about reduction in radon levels; (3) the potential for the development of innovative radon assessment techniques, mitigation measures as approved by the Administrator, or program management approaches which may be of use to other States; (4) the potential for the activity to implement EPA's model radon-resistant building standards; (5) the potential for the development of radon programs in high-risk areas; and (6) the potential for the activity to improve the effectiveness and viability of the State program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Under the TSCA 10(a) authority, Tribes are authorized to receive grants for demonstration projects. However, under this authority, SIRG funding is awarded competitively. EPA may establish additional criteria related to demonstration activities or other aspects of the SIRG program. All other requirements of the SIRG program are applicable to the States and Tribes unless otherwise stated in TSCA 306 or TSCA 10(a).

**66.033 OZONE TRANSPORT COMMISSION**

**FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act of 1990, Sections 106 and 111, as amended; Public Law 101-549, 42 U.S.C. 1406.

**OBJECTIVES:**

To develop or recommend air quality implementation plans for air quality control regions designated pursuant to Section 106 (interstate pollution) or Section 111 (interstate ozone pollution) of the Clean Air Act of 1990. Funding Priority-Fiscal Year 2008: The Ozone Transport Commission (OTC) will continue to provide a forum for the states within the Ozone Transport Region (New England and Middle Atlantic states) to develop and adopt air quality implementation plans for reducing ozone pollution pursuant to Section 106 of Section 111 of the Clean Air Act of 1990.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance funds may be used for costs specifically incurred in the conduct of interstate pollution projects in accordance with the purposes enumerated in the approved application. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

An agency or commission designated by the Governors of the affected States, which is capable of recommending to those Governors' plans for implementation of national primary and secondary ambient air quality standards and which includes representation from the States and the appropriate political subdivisions within the affected air quality control region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities, intermunicipalities, States, interstate agencies or commissions, and Federally recognized Indian tribes.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control; evidence of the availability of nonfederal matching funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 30 of the Federal Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local governments.

**Preapplication Coordination:**

Discussions of informal meetings with the Headquarters Program Office concerning program preparation are advisable. The standard application forms as furnished by the Federal Agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

Requests for application forms and completed applications should be submitted to the appropriate EPA Office (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Applications are due 60 days prior to the beginning of the budget period.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

Upon initial designation by the Governors of the affected States, pursuant to Sections 106 or 111 of the Clean Air Act of 1990, the Administrator is authorized to pay for up to 2 years, and up to 100 percent of the air quality planning program costs of an designated commission or interstate agency. After the initial 2-year period, the Administrator is authorized to make grants to such agency or such commission in amounts up to 3/5 of its air quality management plan costs. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0200-0-1-304.

**Obligations:**

FY 07 \$639,000; FY 08 \$635,000; and FY 09 est \$635,000.

**Range and Average of Financial Assistance:**

There is only one cooperative agreement awarded under this program. The cooperative agreement will range from \$600.00 to \$650,000/fiscal year with an average award of \$635,000.

**PROGRAM ACCOMPLISHMENTS:**

The Ozone Transport Commission provides policy guidance to its member states



and the District of Columbia on actions needed to reduce ozone pollution within the ozone transport region. They provide air pollution assessment, technical support and forums through which their member states can harmonize their pollution reduction strategies. This is accomplished through the development of multi-state agreements such as the NOx emissions reductions, the Clean Energy Initiative, education and outreach efforts and similar activities. OTC also participates in national forums such as the Clean Air Act advisory Committee and the Air Quality Management workgroup representing its member states. This CFDA issues one grant annually in response to the Clean Air Act Amendments to establish an Ozone Transport Commission which perform the activities stated herein annually. In FY 2007, one grant was awarded for \$639,000 and one grant in FY 2008 was awarded for \$635,000.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

#### **Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

#### **Headquarters Office:**

Office of Air and Radiation, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code 6102A, Washington, DC 20460.  
Program Contact: Pat Childers at [childers.pat@epa.gov](mailto:childers.pat@epa.gov), Telephone: (202) 564-1082, Fax: (202) 564-1352.

#### **Web Site Address:**

<http://www.otcair.org/>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Operation of the Ozone Transport Commission for the past 15 years.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## **66.034 SURVEYS, STUDIES, RESEARCH, INVESTIGATIONS, DEMONSTRATIONS, AND SPECIAL PURPOSE ACTIVITIES RELATING TO THE CLEAN AIR ACT**

#### **FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Clean Air Act of 1963, Section 103, as amended, Public Law 95-95, 42 U.S.C. 7401 et seq.; National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C. 4332.

#### **OBJECTIVES:**

To support Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose assistance relating to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution to include such topics as air quality, acid deposition, climate change, global programs, indoor environments, radiation, mobile source technology and community-driven approaches to transportation and emissions reduction. Funding Priority - Fiscal Year 2008: (1) Indoor Environments. This activity will support surveys, studies, research, and/or investigations or demonstrations, performed by concerned, national, non-profit organizations that lead to effective outreach strategies to educate key audiences about indoor air pollutants and their associated health risks, and convince them to adopt effective mitigation and control strategies. Currently, the Program focuses on several critical aspects of indoor air quality that pose significant risks to public health, and in particular, to children and to other disproportionately impacted segments of society. These include: reducing the exposure of children and others with asthma to indoor triggers that worsen their condition; promoting the adoption of operation and maintenance practices in schools throughout the nation to reduce the harmful effects of poor indoor air quality on the health of students and staff; promoting voluntary radon testing by homeowners to identify elevated levels and fix them when they are found, as well as working with homebuilders to incorporate radon resistant construction features into new homes; and encouraging adult smokers to protect their children from the adverse health effects of environmental exposure to secondhand smoke by making a conscious decision to smoke outside and keep their homes and cars smokefree. (2) Radiation. This activity currently manages a national environmental radiation monitoring program, is prepared for and responds to incidents involving nuclear or radiological material, oversees the safe disposal of radioactive waste, maintains two laboratories that allow for radiological sampling and analyses, and provides standards for protecting human health and the environment from radioactive material. Activities could include performance testing and evaluation, analytical procedures, radiation laboratory equipment. This demonstration pilot activity supports and enhances state radiological laboratory capability and capacity to reduce the gap in capability to analyze

environmental samples following a significant national radiological incident. Key activities include audits and proficiency testing, provision of radiological instrumentation, supplies, training, and limited facilities upgrades. (3) Community-Scale Air Toxics Ambient Monitoring (CSATAM). The CSATAM Grant Program results in discrete two-year projects designed to assist state, local and tribal communities in identifying and profiling air toxics sources, characterizing the degree and extent of local air toxics problems, and tracking progress of air toxics reduction activities in specific local areas without reliance on often uncertain estimates of emissions and air dispersion models. Further, these grants typically allow the recipient state, local, and tribal air pollution control agencies to establish or enhance hazardous air pollutant monitoring networks, thus providing long term capability to investigate and assess specific local air quality scenarios of concern. Note that from year to year, this program may establish categories of projects and funding targets within those categories. (4) Mobile Sources Technologies. Grants will encompass studies and investigations utilizing state-of-the-art experimental techniques in advanced engine development technology, including hydraulic hybrid drivetrains, to optimize fuel economy, reduce exhaust emissions (including PM and NOx), and improve performance. Additional grants will support studies identifying barriers to technological innovation, analyzing innovative strategies for overcoming these barriers, and encouraging the development and adoption of new vehicle and fuel technologies for the control of emissions. (5) Heavy Duty Truck Fuel Consumption and Emissions Reductions. This program will study and analyze fuel consumption and emissions reductions associated with the use of innovative technologies for heavy duty diesel trucks. Studies and evaluations will involve truck fleets that operate under varying conditions, so as to evaluate the effectiveness of the various technologies. (6) National Internet-based On-Board Diagnostic (OBD) Information Exchange. This program will support activities that maintain, update, and improve the Internet-based information clearinghouse to facilitate the accurate and timely exchange of technical information related to on-board diagnostic (OBD) between state inspection/maintenance programs, the automotive industry, and the general public. (7) Climate Change. This is a voluntary program that supports activities relating to improving economic, technical and programmatic understanding of climate change. The Climate Change Division supports projects relating to technical, outreach, and education about climate change impacts, mitigation and adaptation options so that the private and public sectors may more effectively and comprehensively address their climate goals. The Climate Change Division supports projects that break down market barriers that limit investment in technologies that reduce methane and non-CO2 greenhouse gases; projects that address the technical issues surrounding sequestration and carbon storage; projects that address collection and analyses of economic data relating to climate change; and programs such as Methane to Markets that support climate technology transfer in developing and transition countries. (8) Climate Protection Partnerships. This is a voluntary government/industry partnership program designed to capitalize on the opportunities that consumers, businesses, and organizations have for making sound investments in efficient equipment, policies, and practices. During FY 2008, the Global Climate Change program managed a number of efforts to remove barriers in the marketplace and to deploy technology faster in the residential, commercial, and industrial sectors of the economy. Our programs work by overcoming widely acknowledged barriers to energy efficiency: lack of clear, reliable information on technology opportunities; lack of awareness of energy efficient products and services; lack of financing options to turn lifecycle energy savings into initial cost savings for consumers; low incentives to manufacturers for efficiency research and development. In addition, our Global Climate Change programs provided technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Eligibility for projects awarded or competed exclusively with State and Tribal Assistance Grant (STAG) funds is limited to air pollution control agencies, as defined in section 302(b) of the Clean Air Act that are also eligible to receive grants under section 105 of the Clean Air Act, and/or federally

recognized tribes. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

None, unless applications are submitted in response to calls for proposals or requests for applications which include deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for Surveys, Studies, Research, and Investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. Such notification is contingent upon information contained in the resulting solicitation.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in

Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304. Resulting awards are funded using the following accounts: Environmental Program & Management (EPM), Science & Technology (S&T), and State & Tribal Air Grants (STAG).

**Obligations:**

FY 07 \$45,783,177; FY 08 \$18,001,650; and FY 09 est \$21,305,000.

**Range and Average of Financial Assistance:**

EPA generally award grants ranging in value from \$5,000 to \$750,000 per fiscal year. The average value of each grant is \$150,000 per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Data Not Available. This CFDA is utilized by EPA Headquarters and the regions. Specific program accomplishments are unavailable. Prospective applicants may contact the individual listed in "Headquarters Office," below for more information. Conference is devoted to the sharing of information about current and ongoing research into alternatives to methyl bromide for the agricultural sector, for both pre-plant and post-harvest uses. Conference proceedings are available at <http://www.mbao.org>. The 2004 conference took place in Orlando, Florida, and had about 400 attendees. MBAO is jointly sponsored in cooperation with EPA, the Department of Agriculture, and the Crop Protection Coalition.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, Research, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460. For program information contact: Office of Air and Radiation, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460, Mail Code: 6102A. Courtney Hyde, Telephone: (202) 564-1227, [hyde.courtney@epa.gov](mailto:hyde.courtney@epa.gov), Fax: (202) 564-1327.

**Web Site Address:**

<http://www.epa.gov/air/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects are: (1) Conducting training courses for environmental health professionals on indoor air quality topics including asthma triggers, schools, radon, indoor air quality in large buildings, and community outreach; (2) Climate change tribal impacts, communications, and outreach; (3) Activities that advance methane recovery and use as a clean energy source; (4) Integrated assessment of multiple greenhouse gases, climate impacts, and pollution; (5) National Education Association Health Information Network; (6) Implementation of energy-efficient standards and labeling programs in developing countries; (7) Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; (8) Projects that involve regional outreach and education benefits of renewable energy, encouraging state and local governments to make green power purchases; and (9) Demonstrating the effectiveness and viability of retrofit technologies in reducing harmful air emissions from existing diesel highway, heavy-duty vehicles and to achieve actual local emission reductions.

**CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed Surveys, Studies, Research, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.035 COMMUNITY ACTION FOR A RENEWED ENVIRONMENT (CARE) PROGRAM**

(CARE)

**FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3) as amended; Clean Water Act, Section 104(b)(3), as amended; Solid Waste Disposal Act, Section 8001, as amended; Toxics Substances Control Act, Section 10, as supplemented by Public Law 106-74 (1999); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20 (a), as supplemented by Public Law 106-74 (1999); Marine Protection, Research, and Sanctuaries Act, Section 203, as amended; and National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To support analyses, studies, evaluations, surveys, investigations, conferences, demonstrations and special purpose projects which empower communities to reduce risks from exposures to toxic pollutants in the air, in the water, and on the land through collaborative action at the local level. Funding Priority - Fiscal Year 2008: The CARE program aims to: (1) Reduce exposures to toxic pollutants through collaborative action at the local level; (2) Help communities gain an understanding of all potential sources of exposure to toxic pollutants; (3) Work with communities to set priorities for risk reduction activities; and, (4) Create self sustaining, community based partnerships that will continue to improve the local environment. The following program strategies will be used: (1) Provide information and a variety of tools to help communities understand and assess toxic risks; (2) Collaborate with community stakeholder groups to prioritize plans for risk reduction; (3) Mobilize local resources and utilize EPA voluntary programs to implement risk reduction activities; (4) Link EPA programs together to efficiently support communities; (5) Create a positive environment that encourages all members of the community including businesses and colleges and universities to join the collaborative partnership; (6) Facilitate networking among CARE communities to share experiences and lessons learned; and, (7) Build long term community capacity to continue improving the local environment.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Cooperative Agreements are available to support recipients' allowable direct costs incident to approved surveys, analyses, studies, evaluations, conferences, investigations, demonstrations and special purpose projects plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Local, Public non-profit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate. Proposals to renew or supplement existing projects are eligible to compete. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local, Public nonprofit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the

announcement of the competitive funding opportunity. Competition will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process.

**Formula and Matching Requirements:**

CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

EPA normally funds cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements and most CARE awards will be for 18 to 36 months. EPA limits project periods to 5 years. Any resulting cooperative agreement awards will normally be awarded on a quarterly basis. Applicants will be notified of an award in accordance with the information specified in any resulting solicitation.

**Reports:**

EPA includes reporting requirements for cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofit and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in cooperative agreements available to personnel authorized to examine EPA recipients cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.



**Account Identification:**

68-0108-0-1-304, Environmental Program Management (EPM).

**Obligations:**

FY 07 \$1,900,000; FY 08 \$3,400,000; and FY 09 est \$2,400,000.

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Cooperative agreements awarded based on Level I agreements will range from \$75,000 to \$100,000 with an average Level I award of \$90,000. Level II agreements will range from \$150,000 to \$300,000 with an average Level II award of \$275,000.

**PROGRAM ACCOMPLISHMENTS:**

The CARE program is a relatively new initiative. It uses two sets of cooperative agreements. In the smaller Level I agreements, the community, working with EPA, creates a collaborative problem solving group made up of the various stakeholders in the community. That group assesses the community's toxic exposure problems and begins to identify potential solutions. In the larger Level II agreements, the community, working with EPA selects and funds projects that reduce risk and improve the environment in the community. In FY07 we received 30 applications and funded 22 projects, including two of the FY 05 Level I projects who successfully completed their project and competed for and received a Level II grant. CARE communities have implemented a variety of EPA Partnership Programs and reduced citizen's exposure to toxics including lead, diesel emissions, mercury and environmental tobacco smoke. The communities have also reduced emissions of green house gases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions and FAR Part 31 for profit makers.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. For Program Information contact: Larry Weinstock, (202) 564-9226 weinstock.larry@epa.gov, Fax: (202) 564-7739.

**Web Site Address:**

<http://www.epa.gov/care/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

CARE is a unique community-based, community-driven, multimedia demonstration program designed to help communities understand and reduce risks due to toxic and environmental pollutants from all sources. Projects funded under the CARE program include: (1) the development of an assessment of toxins and pollution sources used to educate residents about their impact on local health and the environment; (2) assisting owners of homes with lead-based paint in obtaining remediation funds and development of a neighborhood toxic education program; (3) the study of all potential local sources of toxic risk in order to develop a long-term voluntary toxics management system to reduce the generation of toxic pollutants; (4) the creation of a Community Partnership that is a multi-stakeholder group - that includes industries, communities, small business owners - to conduct a community capacity building program to identify the concerns of the communities and to discuss how to address them; and (5) a collaborative project with community agencies to address the negative environmental and public health impact that small automotive repair and body shops have on their employees and neighbors, while avoiding putting shops out of business by regulatory enforcement.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives and; for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.036 CLEAN SCHOOL BUS USA**

(CSBUSA)

**FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

FY 2006 Interior, Environment and Related Agencies Appropriations Act, H.R. 2361, Energy Policy Act of 2005.

**OBJECTIVES:**

To support projects relating to necessary upgrades to diesel school bus fleets. CSBUSA is a national initiative to minimize children's exposure to diesel exhaust by reducing pollution from school buses. The program has three key elements: (1) reduce school bus idling; (2) retrofit 1991-2006 model year buses with devices that reduce pollution, and (3) replace pre-1990 buses with new, clean-technology buses. Projects categorized under this CFDA are now funded under CFDA 66.039 and/or CFDA 66.040. Funding Priority - Fiscal Year 2008: Projects categorized under this CFDA are now funded under CFDA 66.039 and/or CFDA 66.040.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to necessary upgrades to diesel school bus fleets plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:

<http://geodata.epa.gov>.

**Applicant Eligibility:**

Local and Federally Recognized Indian Tribal Governments, local and state governments, school districts, non-profit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local, Anyone/General Public.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. EPA awards grants and cooperative agreements supporting the mission of the Office of Air and Radiation, based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog or downloaded from <http://www.epa.gov/ogd/forms/forms.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will administratively evaluate each application to determine the adequacy of the application in relation to EPA's general grant regulations. EPA's Office of Air and Radiation and/or the 10 EPA regions will evaluate applications to determine the merit and relevance of proposed projects. Applications/proposals will also be reviewed in accordance with the terms, conditions and criteria in the solicitation/announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

As stated in the Request for Applicants.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal

Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. All projects will be fully funded.

**Formula and Matching Requirements:**

This program does not have a statutory formula. The match required for this program is set at a minimum of 5%.

**Length and Time Phasing of Assistance:**

Projects categorized under this CFDA are now funded under CFDA 66.039 and/or CFDA 66.040.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$6,900,000; FY 08 \$0; and FY 09 \$0. Projects categorized under this CFDA are now funded under CFDA 66.039 and/or CFDA 66.040.

**Range and Average of Financial Assistance:**

There is no minimum or maximum amount of assistance. The general range of the amount of assistance is \$200,000 - \$400,000. The average is \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, EPA awarded 45 grants for an estimated \$6,900,000. Projects categorized under this CFDA are now funded under CFDA 66.039 and/or CFDA 66.040.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Clean School Bus USA grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and Part 31).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller of the Clean School Bus USA program.

**Headquarters Office:**

For program information, Contact: Jennifer Keller, Ariel Rios Building, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, DC 20460. Telephone: (202) 343-9541; Fax: (202) 343-2804; E-mail: keller.jennifer@epa.gov.

**Web Site Address:**

<http://www.epa.gov/cleanschoolbus>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects chosen in the Clean School Bus assistance agreement competition include both the retrofitting of newer school buses and the purchase of new buses to replace some of the very oldest in the nation's fleet. Examples of funded projects include: a new hybrid-electric school bus; use of diesel oxidation catalysts and biodiesel blended fuel (B20) for buses in three counties; retrofitting of 11 school buses with advanced emission control technology to eliminate particulate matter and volatile organic compounds which contribute to poor air quality; school bus retrofit project to reduce diesel emissions generated by school buses used by special-needs children; and the installation of diesel particulate filters or diesel oxidation catalysts and crankcase emission control systems on school buses initiating the use of ultra low sulfur diesel fuel early and in the interim support using biodiesel.

**CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed Clean School Bus USA projects for funding based on criteria specified in the solicitation, and the likelihood of success, as well as factors such as relevancy to EPA's mission, and technical merit. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.037 INTERNSHIPS, TRAINING AND WORKSHOPS FOR THE OFFICE OF AIR AND RADIATION**

**FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3), as amended 42 U.S.C. 7403; National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C. 4332.

**OBJECTIVES:**

To provide, Internships, Training, Workshops, and Technical Monitoring in support of the Clean Air Act. These activities aim to: (1) support the development of career-oriented personnel qualified to work in occupations involving environmental protection and air pollution abatement and control; (2) provide technical training for State, local, territorial, and Indian Tribal environmental control agencies; (3) enhance the capability of state and local agencies responsible for environmental pollution control or other agencies with similar pollution control responsibilities; (4) provide educational renewal for career oriented personnel to achieve additional knowledge through academic professional training; (5) provide both undergraduate and graduate students in science, engineering, and other relevant fields with education and training opportunities to enhance their understanding of air quality-related topics; and, 6) to increase the quality and number of people into the environmental control field. Funding Priority - Fiscal Year 2008: This program will continue to provide training to tribes in all aspects of air quality, develop workshops in air quality based on identified needs, and provide technical support to ensure adequate information is provided to actually support programs and use knowledge developed in training workshops. In FY 2008, this program will also support education and training for undergraduate and graduate students interested in acquiring science, engineering, and other knowledge necessary to help address air quality and other environmental issues affecting communities along the US-Mexico Border.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved projects for internships, training and workshops related to environmental issues plus allowable indirect costs, in accordance with established EPA policies and regulations. This requirement does not involve geospatial information.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the Federally Recognized Indian Tribal Government, District of Columbia and possessions of the U.S., international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424, Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog or downloaded from <http://www.epa.gov/ogd/forms/forms.htm>. Applicants must submit their requests for training assistance on EPA Standard Form 424 and the fellowship assistance on EPA Standard Form 5770-2. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

As stated in the Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the deadline for the Request for Applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. All projects will be fully funded.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

If the grant is not fully funded at time of award, EPA normally funds grants on a 12-month incremental basis. Each grant is limited to a three (3) year duration.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304. Awards funded using the following accounts: Environmental Program and Management (EPM), and State and Tribal Air Grants (STAG).

**Obligations:**

FY 07 \$0; FY 08 \$109,000; and FY 09 est \$126,000.

**Range and Average of Financial Assistance:**

EPA generally awards grants ranging in value from \$50,000 to \$500,000 per fiscal year. The average amount is \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

There are no program accomplishment to report at this time. This is a new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training grants are subject to EPA's General Grant Regulations 40 CFR Part 30 and Part 31; 40 CFR Part 45; and EPA Annual Program Guidance provided to State and Local agencies.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For Program Information, contact: Linda Zarow, Office of Air and Radiation, Ariel Rios North Building, 1200 Pennsylvania Avenue, N.W., Mail Code 6101A, Washington, DC 20460; Telephone: (202) 564-7431; E-mail: [zarow.linda@epa.gov](mailto:zarow.linda@epa.gov).

**Web Site Address:**

[www.epa.gov/air](http://www.epa.gov/air).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

No examples of funded projects are available at this time. This is a new program.

## **66.038 TRAINING, INVESTIGATIONS, AND SPECIAL PURPOSE ACTIVITIES OF FEDERALLY-RECOGNIZED INDIAN TRIBES CONSISTENT WITH THE CLEAN AIR ACT (CAA), TRIBAL SOVEREIGNTY AND THE PROTECTION AND MANAGEMENT OF AIR QUALITY**

**FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act of 1963, Section 103, as amended, Public Law 95-95, 42 U.S.C. 7403.

**OBJECTIVES:**

To support Federally-recognized Indian Tribes' efforts to understand, assess and characterize air quality, and design methods and plans to protect and improve air quality on tribal lands through surveys, studies, research, training, investigations, and special purpose activities. To ensure tribes have appropriate levels of support and opportunity to understand their air quality and take proactive measures to preserve, restore and protect air quality for their reservations and other lands over which they have jurisdiction through tribal program implementation, CAA implementation, radiation protection, mobile source controls, and voluntary programs to address outdoor and indoor air and other concerns. To ensure that all tribes have the tools they need to understand and participate in local, regional and national issues, regulatory and policy developments, and to protect their air quality from activities off the reservation that may affect or impact them. To improve the ability of tribes to understand, define, design and participate in activities that affect their air quality. Funding Priority-Fiscal Year 2008: EPA and Tribes, in partnership, will protect public health, the environment, and unique Tribal air resources, consistent with the CAA, its Amendments, and EPA's trust responsibilities. This program will ensure Tribes have appropriate levels of support and opportunity to understand their own air quality and take proactive measures to preserve, restore, and protect air quality for their reservations and other lands over which they have jurisdiction through CAA implementation, radiation protection, mobile source controls, and voluntary programs to address indoor and outdoor air and other concerns. Activities will ensure that all Tribes have the tools they need to understand and participate in local, regional, and national issues and to protect their air quality from changes off reservation that may impact them. Key activities include: (1) Training and Program Development - this area includes technical, administrative, and policy related training conducted in-person, on-line, and/or by any remote technological method supporting the enhancement of skills that contribute to development of tribal air quality management activities; (2) Assessment and Monitoring - activities related to assessment may include short or long term efforts to define, design, understand, and assess in a qualitative or quantitative manner (such as through an emission or source inventory) the impacts of air pollutants to human health, the environment, and items of cultural importance. Monitoring includes numerous activities that gather data about the state of the environment and measuring the concentrations and potential effects of criteria and/or toxic air pollutants; (3) Developing capacity or a plan for eligibility under the Tribal Authority Rule - developing capacity includes activities that increase the experience and expertise of tribes to understand and assess air quality, including technical, administrative, policy, regulatory, education and outreach, communication skills, training, and building contacts, networks and experience. Capacity includes carrying-out these programs and activities, interacting with the national air program and providing input, guidance, and perspective to efforts to develop policies, regulations, and guidance at the local, regional, and national level including reading, report writing, grant writing and reporting, budgeting, public speaking, developing presentations, preparing comments, editing documents, operating and maintaining equipment, and participating in meetings. Developing a plan for eligibility under the Tribal Authority Rule (TAR) includes report reading and writing, grant writing and reporting, budgeting, public speaking, presentation development, comment preparation, document editing, equipment operation and maintenance, and meeting participation; (4) Delegation or Ongoing Capability Development - This activity includes developing technical, administrative, and management skills, knowledge, and abilities through experience, training, and education to enable activities such as



reading and interpreting federal regulations, operating equipment, preparing and presenting technical information and reports, interacting with tribal communities and governments, federal bureaucrats and bureaucracy, providing outreach and education, public speaking, conducting public hearings, collecting and analyzing data, developing plans and innovative approaches to pollution control in a culturally sensitive manner; and (5) Tribal Implementation Plan development - tribes may conduct all aspects of air quality management at an advanced level, including data analysis, analyzing, interpreting and commenting on administrative and regulatory requirements and activities at local, state, regional and national levels, developing advanced technical, policy and planning document preparation, and tribal government representation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipient's allowable direct costs incident to approved Tribal air resources activities that will protect public health and the environment, plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to Federally-recognized Indian Tribes and Intertribal Consortia, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally-recognized Indian Tribes and Intertribal Consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

As stated in the Request for Applications (RFA) or Request for Proposals (RFP).

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for Training, Investigations, and Special Purpose. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and

cooperative agreements are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. Such notification is contingent upon information contained in the resulting solicitation.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations found at 40 CFR Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients are subject to the retention and access requirements for records under 40 CFR Part 31.42. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grant and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304. Resulting awards are funded using the following accounts: Environmental Program & Management (EPM), Science & Technology (S&T), and State & Tribal Air Grants (STAG).

**Obligations:**

FY 07 \$0; FY 08 \$9,589,688; FY 09 est \$9,590,000.

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance; the maximum is \$7,750,000. The general range of the amount of assistance is \$25,000 to \$500,000. The average is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training, Investigations, and Special Purpose grants and cooperative agreements are subject to EPA General Grant Regulations 40 CFR Part 31. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreement Management Division, 3903R, Washington, DC 20460. For program information contact: Darrel Harmon, Telephone: (202) 564-7416, E-mail: [harmon.darrel@epa.gov](mailto:harmon.darrel@epa.gov), Fax: (202) 501-1153.

**Web Site Address:**

<http://www.epa.gov/air/tribal>.

**RELATED PROGRAMS:**

66.001, Air Pollution Control Program Support; 66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals are selected for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Tribal Governments and inter-tribal consortia are exempted from competition under EPA Order 5700.5A1.

**66.039 NATIONAL CLEAN DIESEL FUNDING ASSISTANCE PROGRAM**

(DERA National Program)

**FEDERAL AGENCY:**

**AUTHORIZATION:**

FY 2008 Interior, Environment and Related Agencies Appropriations Act, H.R. 2764; The Energy Policy Act of 2005, Public Law 109-58.

**OBJECTIVES:**

Sections 792 of the Energy Policy Act of 2005 authorize EPA to award grants and low-cost revolving loans to eligible entities to fund the costs of a retrofit technology that significantly reduces emissions through development and implementation of a certified engine configuration, verified technology, or emerging technology for buses (including school buses), medium-duty or heavy-duty trucks, marine engines, locomotives, or nonroad engines or vehicles used in construction, handling of cargo (including at port or airport), agriculture, mining, or energy production. In addition, eligible entities may also use funds awarded for programs or projects to reduce long-duration idling using verified technology involving a vehicle or equipment described above, or the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. The objective of the assistance under this program is to achieve significant reductions in diesel emissions in terms of tons of pollution produced and reductions in diesel emissions exposure, particularly from fleets operating in areas designated by the Administrator as poor air quality areas. Funding Priority-Fiscal Year 2008: This program aims to work aggressively to reduce the pollution emitted from diesel engines across the country through the implementation of varied control strategies and aggressive involvement of national, state, and local partners. Priority shall be given to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; Include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Will maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; Conserve diesel fuel; and Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and Cooperative agreements are available to support recipient's allowable costs incident to supporting projects to reduce emissions from diesel engines, plus allowable indirect costs, in accordance with established EPA policies and regulations. No grant or loan provided under this program shall be used to fund the costs of emissions reductions that are mandated under Federal, State or local law. Voluntary or elective emission reduction measures shall not be considered "mandated", regardless of whether the reductions are included in the State implementation plan of a State. Distribution of Funds: 1) not less than 50 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the benefit of public fleets; 2) not less than 90 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for projects using a certified engine configuration; or a verified technology. 3) not more than 10 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the development and commercialization of emerging technologies.

**Applicant Eligibility:**

A regional, State, local or tribal agency with jurisdiction over transportation or air quality; and a nonprofit organization or institution that represents or provides pollution reduction or educational services to persons or organizations that own or operate diesel fleets; or has, as its principal purpose, the promotion of transportation or air quality are eligible for assistance under this program. City, county, or municipal agencies, school districts, and metropolitan planning organizations (MPOs) that have jurisdiction over transportation or air quality are all eligible entities under this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225, for State and local governments and Indian Tribes, OMB Circular No. A-21, found at 2 CFR 220, for educational institutions, and OMB Circular No. A-122, found at 2 CFR 230, for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment

to carry out projects.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

By law Section 792 includes application requirements. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the Request for Applications or Request for Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Permitted. Generally, EPA incrementally funds cooperative agreements.

Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The grants and cooperative agreements funded under the National Clean Diesel Funding Assistance Program will have up to a five-year project period. FY 2008 is the first year of funding for this Program.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Part 30 and 40 CFR Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$0; FY 08 \$34,400,000; and FY 09 est \$35,000,000.

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Smaller grants typically range from \$100,000 - \$300,000 with an average award of \$125,000. Larger grants typically range from \$500,000 - \$2 million with an average award of \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Diesel Emissions Reduction program grants and cooperative agreements are subject to EPA's general grant regulations (40 CFR Part 30 and Part 31).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

**Headquarters Office:**

For program information, contact: Jennifer Keller, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, DC 20460; Telephone: (202) 343-9541; Fax: (202) 343-2803; E-mail: keller.jennifer@epa.gov.

**Web Site Address:**

<http://www.epa.gov/cleandiesel>.

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.306, Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program; 66.039, National Clean Diesel Funding Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Projects that may be eligible include a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Eligible vehicles, engines and equipment may include: buses (including school buses); medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: (i) construction; (ii) handling or cargo (including at a port or airport); (iii) agriculture; (iv) mining; or v) energy production (including stationary engines such as generators or pumps).

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.040 STATE CLEAN DIESEL GRANT PROGRAM**

(DERA State Program)

**FEDERAL AGENCY:**

OFFICE OF AIR AND RADIATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

FY 2008 Interior, Environment and Related Agencies Appropriations Act, H.R. 2764; The Energy Policy Act of 2005, Public Law 109-58.

**OBJECTIVES:**

Section 793 of the Energy Policy Act of 2005 authorizes EPA to award assistance agreements to States to develop and implement such grant and low-cost revolving loan programs in the State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions. Funding Priority-Fiscal Year 2008: To the extent practicable, States receiving assistance under this program shall give priority to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; Include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; Conserve diesel fuel; and Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support the development and implementation of such grant and low-cost revolving loan programs in a State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions. A grant or loan funded by the State using funds from the DERA State Program may be used for a project relating to a certified engine configuration or a verified technology. Funds received under Subtitle G of the Energy Policy Act

(Diesel Emissions Reduction) may not be used to pay a matching share under this program. Funds may be used for projects involving EPA-verified and/or California Air Resources Board (CARB) -listed diesel emissions reduction technologies and/or EPA certified engines, or emerging diesel emissions reduction technologies or strategies.

**Applicant Eligibility:**

Assistance under this program is available to the 50 States.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs for State governments will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) website, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the Federal Register Notice of Availability of Funds for this program.

**Deadlines:**

Deadlines will be specified in the Federal Register Notice of Availability of Funds for this program.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Permitted. Generally, EPA incrementally funds cooperative agreements.

Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process as outlined in the Federal Register Notice of Availability of Funds.

**Formula and Matching Requirements:**

This program has a statutory allocation formula (Subtitle G - Diesel Emissions Reduction, Section 793(c)(2)). There is no match requirement for this program. However, there is an incentive match provision (Subtitle G - Diesel Emissions Reduction, Section 793(c)(3)).

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements funded under this program may have up to a seven-year project period. Applicants will be notified of an award in accordance with the information specified in the Federal Register Notice of Availability of Funds.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting



entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$0; FY 08 \$14,800,000; and FY 09 est \$15,000,000.

**Range and Average of Financial Assistance:**

There is no minimum or maximum amount of assistance. The range is estimated from \$300,000 to \$3,000,000 with an average award of \$300,000, depending on the number of States participating.

**PROGRAM ACCOMPLISHMENTS:**

There are no program accomplishments to report at this time. This is a new program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

State Clean Diesel Grant Program grants and cooperative agreements are subject to EPA's general grant regulations (40 CFR Part 31). Guidelines for applying for funds under this program will be published in the Federal Register.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

**Headquarters Office:**

For program information, contact: Jennifer Keller, US Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, DC. 20460; Telephone: (202) 343-9541; Fax: (202) 343-2803; E-mail: keller.jennifer@epa.gov.

**Web Site Address:**

<http://www.epa.gov/cleandiesel>.

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act.

**EXAMPLES OF FUNDED PROJECTS:**

States may use funds under this program to develop and implement grant and loan programs that are designed to achieve significant reductions in diesel emissions and are appropriate to meet State needs and goals relating to the reduction of diesel emissions. State grant and loan programs may fund projects relating to a certified engine configuration or a verified technology for vehicles, engines and equipment, including: buses; medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production. Projects under the State's grant program may include, but are not limited to, a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for awards under this CFDA description will be described in the Federal Register Notice of Availability of Funds.

## 66.110 HEALTHY COMMUNITIES GRANT PROGRAM

(Healthy Communities)

**FEDERAL AGENCY:**

REGION I, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act, Section 103; Clean Water Act, Section 104(b)(3); Safe Drinking Water Act of 1974, Section 1442(a)(b)(c); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; National Environmental Education Act, Section 6; Pollution Prevention Act, Section 6605; Solid Waste Disposal Act, Section 8001; Resource Conservation and Recovery Act of 1976, as amended; Toxic Substances Control Act, Section 10, as amended; and Indian Environmental General Assistance Program Act.

**OBJECTIVES:**

Grants are awarded to support projects that meet two criteria: (1) They must be located in and directly benefit one or more Target Investment Areas (Environmental Justice Areas of Potential Concern, Places with High Risks from Toxic Air Pollution, Sensitive Populations, and/or Urban Areas); and (2) They must achieve measurable environmental and public health results in one or more of the Target Program Areas (generally defined in the annual competitive funding announcement). Funds for all projects should support activities to restore or revitalize the environment, provide education, outreach, training, organize, or conduct community planning activities in the Target Program Areas. The Regional Office will only accept submissions for projects that affect the States, Tribes, and Territories within the six New England States: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and

Vermont. Projects that are National in scope are not eligible for funding under this Regional Program. Funding Priority - Fiscal Year 2008: Asthma: Projects that increase the number of people with asthma who take actions to reduce their exposure to environmental triggers (improved self-management of asthma). Projects should identify, disseminate and promote the use of existing or innovative education and outreach products and services with proven effectiveness. Projects can target geographic areas and various settings (e.g., communities, schools, homes/housing, etc.) and address indoor air quality issues. Healthy homes approaches should include interventions to reduce environmental triggers such as integrated pest management and reduction of indoor air pollutants (e.g. particulate matter, dust, mold, environmental tobacco smoke, etc.). Applicants are encouraged to integrate environmental trigger avoidance into comprehensive asthma management programs, as recommended by the National Asthma Education Prevention Program (NAEPP) <http://www.nhlbi.nih.gov/about/naepp/>. Applicants are further encouraged to integrate comprehensive asthma management programs into holistic "Healthy Homes" approaches to environmental diseases as well as partnerships with managed care organizations and health care payers to incorporate the environmental aspects of asthma into provider referral and reimbursement systems. While it is appropriate to place environmental trigger avoidance into the broader context of medical management in EPA-funded activities, where non-environmental asthma management (e.g., medical management) activities are proposed, applicants must be prepared to document alternative funding sources for such activities. Capacity Building on Environmental and Public Health Issues: Projects that increase regional, state, tribal, community, and neighborhood access to information, dialogue, collection and use of data (e.g., GIS mapping, risk evaluation, risk mitigation, collecting emissions data, etc.), and/or improve methods of risk characterization; organize and sponsor community training events, or other forums that increase citizen involvement in understanding or addressing environmental and public health issues (topics may include, but are not limited to: environmental justice, indoor/ambient air quality, lead, asthma, pesticides, transportation, urban rivers/wetlands, water quality, open/green space, and/or energy); build new or strengthen existing coalitions to address schools, States, or regional programs and one or more other environmental and public health issue(s) are encouraged. Research projects, surveys, trainings and/or studies that address tribal compliance assistance, tribal compliance monitoring, and/or tribal enforcement issues associated with waste management, schools and public water systems on federally recognized tribal lands in New England are also encouraged. Clean Energy: Projects that promote clean energy, through energy efficiency measures that reduce energy consumption, or through the generation of energy from renewable resources, including solar, wind, biomass, and geothermal sources are priorities for EPA. Priority sectors for energy efficiency and renewables include municipalities, schools, and colleges and universities. Municipal projects should focus on reducing energy consumption within municipal buildings, including offices, schools and wastewater treatment plants. In general, these projects should focus on more efficient use of energy, and water, as well as the potential use of renewable energy to supply electricity or heat to a facility in place of power provided by the local utility. Proposed projects in this Target Program Area require a 5% match. Please see Section III B, Matching for additional information. Healthy Indoor/Outdoor Environments: Projects that focus on reducing and/or preventing childhood lead poisoning, reducing asthma triggers, promoting integrated pest management; reducing childhood exposure to one or more toxins (PCBs, dioxin, mercury, lead, pesticides, etc.) and promoting comprehensive healthy homes and other indoor environments are encouraged. Projects that reduce indoor or ambient air toxics in a city, community or county, including those to create and implement risk management plans, conduct risk screening, build technical training capacity to help reduce community exposure to indoor and/or outdoor air toxics are also encouraged under this category. Healthy Schools: Projects that train K-12 school teams to implement EPA's Indoor Air Quality Tools for Schools program (<http://www.epa.gov/iaq/schools/tooklit.html>) through state-wide, regional, or local workshops; develop or support a systems approach to improving environmental conditions in schools including customization and implementation of EPA's Healthy School Environments Assessment Tool (Healthy SEAT); train K-12 school teams to address asthma triggers, deploy integrated pest management techniques particularly in urban areas and/or tribal schools ([www.epa.gov/iaq/schools/asthma/](http://www.epa.gov/iaq/schools/asthma/)); or efforts which combine several project areas described in this grant solicitation are encouraged. For more information on creating healthy school environments, please visit [www.epa.gov/schools](http://www.epa.gov/schools). Pollution Prevention and Recycling: Projects that prevent pollution at the source of production through toxic use reduction and the more efficient use of materials, energy, water, and natural resources; and projects that reduce environmental impacts by promoting recycling, composting, waste minimization, beneficial reuse, market development, and sustainable purchasing practices. Priority sectors for pollution prevention and recycling include K-12 schools, hospitals and healthcare facilities, marinas, and colleges and universities. K-12 schools projects should focus on more efficient use of energy, water, reduction of waste generation and/or natural resources including

recycling, composting, and/or chemical management ([www.epa.gov/sc3](http://www.epa.gov/sc3)). Smart Growth: Projects that encourage compact, mixed-use, transit-oriented, pedestrian-friendly development in urban areas. Smart growth can improve air quality by replacing some motor vehicle trips with walking, biking, and other clean forms of transportation, reducing exposure to airborne pollutants and risk of respiratory illnesses. Smart growth also can improve water quality by reducing impervious surfaces and preserving green spaces both of which can reduce exposure to waterborne pollutants. Examples of smart growth projects include community involvement in development and redevelopment projects; environmentally-sound reuse of vacant lots; improved transportation choices, including transit, pedestrian, and bicycle facilities; and projects that improve public health through improvements to the built environment. Urban Natural Resources and Open/Green Space: Projects that train and educate the general public on ways to identify, prevent and/or reduce or eliminate toxic substances and contamination on vacant lots and open/green space; train and educate the general public or other community stakeholders on ways to increase community access to urban rivers and other urban natural resources if such access is related to the causes, effects, extent, reduction, prevention and/or elimination of pollution; train and educate groups of urban community stakeholders on methods to identify, reduce, prevent or eliminate exposures to pollution in soil, air or water; train groups, community/neighborhood stakeholders, and/or residents in holistic and comprehensive approaches for promoting pollution prevention efforts in a sustainable manner that improves, protects and/or enhances the ecological health of urban natural resources. Water Quality Monitoring or Analyses: Projects that focus on determining the quality of a particular water body or watershed, identifying water quality problem(s), and/or determining the cause of pollution through water quality monitoring and/or analyses of water bodies. Projects should involve community groups, educational institutions, watershed groups and/or other organizations. Projects can provide and/or support educational opportunities for students, interns or citizens to learn more about science, biology and water quality monitoring. Projects focusing on urban and/or environmental justice areas are encouraged. Other Topics and Issues: On an annual basis, the competitive announcement may identify additional funding priorities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is available to State, Local, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, Federally Recognized Indian Tribal Governments, K-12 schools or school districts; and non-profit organizations (e.g. grassroots and/or community-based organizations). Funding will be considered for a college or university to support a project with substantial community involvement. Private businesses, federal agencies, and individuals are not eligible to be grant recipients; however, they are encouraged to work in partnership with eligible applicants on projects. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within their Region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Local, Federally Recognized Indian Tribal Governments, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, anyone/general public.

**Credentials/Documentation:**

Tribes may be asked to demonstrate that they are federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Non-profit applicants are not required to have a formal Internal Revenue Service (IRS) nonprofit designation, such as 501(c)(3) or 501(c)(4); however they must present their letter of incorporation or other documentation demonstrating their non-profit or not-for-profit status. This requirement does not apply to public agencies or Federally Recognized Indian Tribes. Failure to enclose the letter of incorporation or other documentation demonstrating non-profit or not-for-profit status will render full proposal submissions incomplete and they will not be reviewed. Applicants who have an IRS 501(c)(4) designation are not eligible for grants if they engage in lobbying, no matter what the source of funding for the lobbying activities. For-profit enterprises are not eligible to receive sub-grants from eligible recipients, although they may receive contracts, subject to EPA's regulations on procurement under assistance agreements, 40 CFR 30.40 (for non-governmental recipients) and 40 CFR 31.36 (for governments).

**Preapplication Coordination:**

For competitive awards, a one page summary format is provided in the

competitive announcement. Applicants invited to submit a full proposal are required to submit the SF 424, 424A, 424B, and the pre-award compliance report. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Interested applicants should review information on the Internet at: <http://www.epa.gov/eco/uep/hcgp.html>. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The Healthy Communities Grant Program has a two step process for evaluating competitive applications which is described in the annual Request for Initial Proposals. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the Region I Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines for competitive awards will be specified in the annual competitive funding announcement.

**Range of Approval/Disapproval Time:**

Applicants will be notified within 60 days of receipt of submission for funding.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

All competitive grant awards should be prepared and submitted as new projects, which will be evaluated based on criteria specified in annual competitive funding announcement. Renewals or extensions of existing projects may be available.

**Formula and Matching Requirements:**

The grant program generally allows a match of up to 5 percent of the total budget but it is not required. Any exceptions will be identified in the competitive funding announcement. Award recipients can use contributions from entities other than themselves as a match. However, other Federal money cannot be used as the match for this grant program. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (e.g., prohibition of land acquisition with grant funds) also apply to the matching funds. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Assistance agreements are normally funded on a 12 (annual) or 24 month basis, at the discretion of the applicant. There is no restriction placed on the time permitted to spend the money awarded as long as the money is spent within the budget and project periods of the award specified in the workplan and the budget worksheet in the SF 424.

**Reports:**

EPA includes reporting requirements for cooperative agreements in the terms and conditions of the agreements. Cooperative agreements require quarterly and final progress and expenditure reports; program evaluations and other reports as detailed by the specific terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$592,410; FY 08 est not available; and FY 09 est not available. The Healthy Communities Grant Program combines resources across contributing regional and national programs and varies annually.

**Range and Average of Financial Assistance:**

\$10,789 to \$35,000/fiscal year; \$29,621/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

All projects funded through the Healthy Communities Program reduce environmental risks, and protect and improve human health and the quality of life to create healthy communities and ecosystems. Specific outputs, services and results vary based on each project and Target Program Area(s) identified. Overall program accomplishments include, but are not limited to: reduction in childhood lead poisoning, increased education and outreach related to environment and public health issues, reduction in asthma emergency room visits, increased water quality data and information on urban rivers and wetlands, and increased number of school teams trained or provided technical assistance. In 2007, 91 initial submissions were received and of those, 57 applicants were invited to submit a full proposal. Fifty-four applicants submitted full proposals and of those, 20 awards were granted in fiscal year 2007. It is anticipated that 10-20 awards will be granted in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements awarded under the Healthy Communities Grant Program are subject to EPA's General Grant Regulations, and Procedures (40 CFR Parts 30 and 40 CFR Parts 31). Costs will be determined on accordance with OMB Circular A-87 for State and Local governments and Indian Tribes, OMB Circular A-21 for educational institutions and OMB Circular A-122 for nonprofit institutions.

**Regional or Local Office:**

Sandra Brownell, EPA Region I, 1 Congress Street, CPT, Suite 1100, Boston, MA 02114. Telephone: (617) 918-1797. Toll Free: (888) 372-7341. TTY: (617) 918-2028. Fax: (617) 918-0797. E-Mail: Brownell.Sandra@epa.gov.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.epa.gov/region01/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include such activities as: (1) Assisting school teams to reduce the prevalence of asthma triggers in urban school districts; (2) Conducting an education and outreach campaign in low-income diverse urban neighborhoods on vehicle idling, asthma, and ambient air quality; (3) Identifying neighborhood environmental and/or public health concerns to local residents and developing strategies to measurably improve the local environment and/or public health; (4) Developing an integrated pest management program which focuses on reducing pesticide exposures for elderly populations; and (5) Developing and implementing a volunteer water monitoring program to measure and track the water quality of a water body or watershed in a community. There are many other types of eligible projects. This grant program is designed to allow applicants the flexibility to propose a project that fits community needs and funding priorities. Additional examples of funded projects can be found at <http://www.epa.gov/ne/eco/uep/hcgp.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.111 REGIONAL ENVIRONMENTAL PRIORITY PROJECTS****FEDERAL AGENCY:**

REGION 7, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10.

**OBJECTIVES:**

To support investigations, experiments, training, demonstrations, surveys, studies, and special purpose assistance to protect public health and prevent, reduce, and eliminate pollution in Iowa, Kansas, Missouri, and Nebraska.

Projects may be single media or multimedia which support the regional environmental priorities. Single media grants support pollution prevention efforts for individual environmental law statutes. Multimedia grants are assistance agreements that are awarded citing two or more environmental law statutes, appropriation legislation, or applicable legislative history as the statutory authority. Funding Priority 2008 - Funded projects will focus on the regional environmental priorities and include unique, geographically-based projects that support the Agency's ability to protect human health and the environment. These projects may address places, sectors, or innovative projects, and focus on prevention, agriculture, climate change and energy, and/or collaborative efforts to protect human health and the environment and achieve environmental results. These projects may also demonstrate state, local, and/or other stakeholder participation; identify opportunities for leveraging other sources of funding; or support smart growth planning in communities. Smart growth projects are those focused on improving the quality of life in communities by integrating the tenets of ecology, equity and management by citizens.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved investigations, experiments, training, demonstrations, surveys, studies, and special purpose assistance plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. "Geospatial Information" includes: Information that identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. This information may be derived from, among other things, GPS, remote sensing, mapping, charting, and surveying technologies, or statistical data.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia; public and private universities and colleges; hospitals; laboratories; other public or private nonprofit institutions; for-profit groups; and individuals which submit applications proposing projects with significant technical merit and relevance to EPA's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. If an applicant submits an unsolicited proposal it will be reviewed and evaluated in accordance with Agency policy and procedures. For more information regarding the procedures for submitting unsolicited proposals, applicants may contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**



EPA requires eligible applicants to submit Standard Form 424, Application for Federal Assistance. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants Administration Office, 901 N. 5th Street, Kansas City, Kansas 66101. Detailed information and assistance, including Standard Form 424 are available at <http://www.epa.gov/region07/economics/index.htm>. For competitive awards, Requests for Initial Proposals, Requests for Proposals, or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. While applicants may submit unsolicited proposals, such proposals are funded only under very limited circumstances and in accordance with Agency procedures. Unsolicited proposals will be reviewed and evaluated based on criteria including but not limited to (i) the extent the proposal is unique or innovative, (ii) whether the proposal was independently originated and developed by the applicant, (iii) and the extent the proposal supports regional priorities and/or efforts to protect the environment and public health.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals. Unsolicited proposals may be submitted at any time.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for investigations, experiments, training, demonstrations, surveys, studies, and special purpose assistance. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual) and will be paid electronically utilizing automated funds transfer. The total approved project period may not exceed 5 years for competitive awards.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304 and 68-0103-0-1-304.

**Obligations:**

Funds awarded for: FY 07 \$392,100; FY 08 \$114,900 and FY 09, \$100,000.

**Range and Average of Financial Assistance:**

In fiscal year 2007, projects funded from Regional Geographic Initiative and Environmental Priority Program funding ranged from a low of \$14,900 to a high of \$100,000, with an average of \$57,450 per project. No project have been funded thus far for FY 08.

**PROGRAM ACCOMPLISHMENTS:**

In recent years, Regional Geographic Initiative and Environmental Priority Program funding has primarily supported work on water quality issues involving small communities to ensure community systems provide water that meets all applicable health-based drinking water standards through effective treatment and source water protection; nitrate levels are reduced and community awareness is increased to prevent water pollution. Funding has been provided for air quality issues including reduction of truck congestion, idling and safety concerns caused by the large number of grain trucks in Cedar Rapids, Iowa. Funding supported the Blue Skyways Collaboratives work for Cargill and other area industries to provide alternatives to truck idling in a main area of downtown Cedar Rapids. On-farm assistance has also been provided to address energy efficiency and air pollution reductions in the central plains and to fund and support an Environmental Finance Center to assist small communities, businesses and organizations with the environmental protection and regulatory compliance activity funding challenges. Thirteen applications have been received with funding provided to nine projects (FY 07 3 proposals were funded and FY 08 6 proposals have been funded).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Investigations, experiments, training, demonstrations, surveys, studies, and special purpose grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the EPA Region 7 located at 901 N. 5th Street, Kansas City, KS 66101, Wendy Lubbe, Telephone: (913) 551-7551; Fax: (913) 551-9551, E-mail: [lubbe.wendy@epa.gov](mailto:lubbe.wendy@epa.gov).

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://www.epa.gov/region07/economics/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of Projects funded include: Study to evaluate best management practices for removal of atrazine from agricultural run-off in the amount of \$95,023; Watershed Council and Technical Assistance project for Watershed management in the amount of \$99,841; Satellite Environmental Finance Center to assist small communities, businesses, and organizations with development of environmental protection activities in the amount of \$100,000; Mercury Thermometer Exchange project in the amount of \$10,000; Blue Skyways project to develop green energy templates for schools in the amount of \$30,000; Watershed, Wetland and Stream Corridor Restoration projects in the amount of \$15,000; Long Term Control Plan review project for 2 cities with combined storm sewer overflows in the amount of \$12,349; Environmental Finance Center to assist small communities, businesses, and organizations with the environmental protection and regulatory compliance activities funding challenges in the amount of \$100,000.

**CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.112 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING, DEMONSTRATIONS, AND SPECIAL PURPOSE GRANTS FOR REGIONAL GEOGRAPHIC INITIATIVES

(Region 8 Regional Priorities Grant Program)

**FEDERAL AGENCY:**

REGION 8, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation and Liability Act, Section 311; National Environmental Policy Act, Section 102(2)(F) for international awards.

**OBJECTIVES:**

Regional Geographic Initiatives (RGI) is a unique funding source that supports Regional strategic priorities and environmental risks that are not addressed wholly or in part by existing national environmental programs. Funding Priority - Fiscal Year 2008: To support (Region 8 states only) surveys, studies, training, demonstrations, and/or investigations, and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste,

toxic substances, and pesticides; identify, develop, and demonstrate necessary pollution control techniques; to prevent, reduce, and eliminate pollution; to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; to support training demonstrations or educational outreach that leads to effective outreach strategies to educate key/targeted audiences associated with specific public health and environmental risks; projects that addresses places, sectors, or innovative projects; and/or are based on a regional, state, tribal or other strategic plan; and/or address multi-media environmental issues; and/or demonstrate state, local or other stakeholder participation; and/or identify opportunities for leveraging other sources of funding. Funding Priority - Fiscal Year 2009: To support (Region 8 states only) surveys, studies, training, demonstrations, and/or investigations, and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and pesticides; identify, develop, and demonstrate necessary pollution control techniques; to prevent, reduce, and eliminate pollution; to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; to support training demonstrations or educational outreach that leads to effective outreach strategies to educate key/targeted audiences associated with specific public health and environmental risks; projects that addresses places, sectors, or innovative projects; and/or are based on a regional, state, tribal or other strategic plan; and/or address multi-media environmental issues; and/or demonstrate state, local or other stakeholder participation; and/or identify opportunities for leveraging other sources of funding.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Only submissions for project to be performed within the States, Tribes, and/or Territories of Region 8 will be considered. Projects that are national in scope are not eligible for funding under this CFDA.

**Applicant Eligibility:**

Assistance under this program is generally available to State agencies, territories, the District of Columbia, Indian Tribes, and possessions of the US. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private non profit institutions. Nonprofit organizations described in Section 501(c)(4) of other Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants need not be located within the boundaries of the EPA Region 8 office to be eligible to apply for funding but must propose a project that affects the States, Tribes, and Territories within Region 8.

**Beneficiary Eligibility:**

State agencies and local governments, US territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field and necessary equipment to carry out projects. Applicants may be requested to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted through the appropriate EPA Regional Office

listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the competitive funding announcement will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and policies, and to a technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

For competitive awards, deadlines will be specified in the competitive announcement.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for investigations, experiments, training, demonstrations, surveys, studies and special purpose assistance. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreement are normally funded on a 12-month basis (annual) and will be paid electronically utilizing automated funds transfer. The total approved project period may not exceed 5 years for competitive awards.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations Part 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$376,740; FY 08 \$0; and FY 09 est \$376,740.

**Range and Average of Financial Assistance:**

Range of award \$25,000 to \$100,000/fiscal year. Average award in fiscal year 2007 - \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007 this program awarded 6 grants. Awards ranged from \$25,000 to \$107,000. To date, accomplishments include: Garfield County - Amt:

\$107,000 Garfield County met with EPA to tour some of the areas in Garfield County where oil and gas development is occurring. Garfield County began a literature search and review of existing data on emissions associated with oil and gas development activities. They developed a QAPP which includes the methodology for identifying monitor locations, number and types of stations and what they will be monitoring. Garfield County Environmental Health created and launched a new website to serve as a means to report project data to the general public. They have received interest from 2 additional oil and operators, to participate in the project. All of the sampling equipment has been received which is needed to perform the air monitoring portion of the project. They are working with the oil and gas operators to begin a sampling schedule and anticipate completion of this in the summer. Groundwork is being laid with the Special Projects Coordinator, project collaborators and industry to determine the best approach to presenting their findings, making recommendations and creating the Citizens Guide to Air Quality. Lake Helena Watershed Riparian Ag Project - \$48,583. Preliminary monitoring has occurred, landowner outreach efforts have been initiated, scoping for the constructed wetland technology was completed, constructed wetland installed, effectiveness monitoring has been initiated, and other BMP installation has begun. Anticipated results of this project include: the implementation of reasonable land, soil, and water-conservation practices or BMPs on agricultural land that will incrementally improve riparian and in-stream physical, chemical, and biological health within the watershed. Physical measurements of implemented project BMPs will be reported and estimates of pollutant loading reductions will be calculated. Muddy Creek - \$83,950 - One mile riparian fencing installed on tributary to Muddy Creek. Scheduled to install fencing along three more miles of Muddy Creek this fall. Bank work to reduce erosion along two miles of Muddy Creek. Scheduled to place more barbs later this summer as soon as flows go down. Roll of matting laid on 100 feet of sloped bank. Matting will be placed in conjunction with this summer stream work when flows go down. GID has acquired bids for pumps and is working on finalizing electrical hookup for pumps. Electric company will install line to pump site later this summer and pipe and pumps will be installed this fall. USGS and MSU continues to monitor flows and water quality on Muddy Creek and Sun River. One USGS gauge was discontinued on Muddy Creek due to need to monitor more flows on tributaries so additional gauges were installed by MSU. Continue monitoring this fall by USGS and MSU. Report will be compiled this winter from data acquired this summer. SRWG continues to monitor project progress and report monthly to partners. Continue with monthly updates to partners.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Investigations, experiments, training, demonstrations, surveys, studies and special purpose grants and cooperative agreements are subject to EPA's General grant Regulations (40 CFR Part 30 and 40 CFR Part 31.)

#### **Regional or Local Office:**

EPA encourages potential applicants to communicate with EPA, Region 8 located at 1595 Wynkoop Street, Denver, CO 80202, Cynthia Gonzales, Telephone: (303) 312-6569, Fax: (303) 312-6339, and E-mail: gonzales.cynthia@epa.gov.

#### **Headquarters Office:**

Not applicable.

#### **Web Site Address:**

<http://www.epa.gov/regional/rgi.htm>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Please NOTE: The focus of the funds available under this CFDA change from funding year to funding year. Applicants are encouraged to review the Region 8 solicitation to determine the focus for the current fiscal year. Examples of project funded under this CFDA: Get into the Zone, Clean Air Zone Montana - outreach and education to promote the program, with program partners, toolkits purchased, program staff developed webpage; Big Hole Watershed Feedlot Restoration - designed and installed feedlot BMPs, Schindler feedlot restoration project completed - removal and abandonment of a streamside feedlot on the mainstem Big Hole River and construction of a new, state-of-the-art winter livestock feeding facility on higher ground; Improving Capacity for Montana Watershed Efforts - completion of the Watershed Symposium, Dec, 2006 and completed watershed coordinators annual meeting/training, Sept. 2007; Campaign to Reduce Exposure to Environmental Tobacco Smoke: Don't Smoke with Kids in the Car - information has been distributed to the public via radio, television and print media; Sun River Watershed Water Quality Restoration Plan Implementation - Sediment loads will be reduced by 2,500 tons; 100 rock barbs on highly erosive banks will reduce sediments loads annually by over 15,000 tons to Muddy Creek and Sun River; end result will be another 4-miles of stream meeting all Water Quality Restoration Plan conditions.

#### **CRITERIA FOR SELECTING PROPOSALS:**

None.

## **66.113 REGION 3 ENVIRONMENTAL PRIORITY PROJECTS**

#### **FEDERAL AGENCY:**

REGION 3, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10.

#### **OBJECTIVES:**

Assistance agreements awarded under this program must support, surveys, studies, investigations, training, demonstrations and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, or pesticides: (a) to identify, develop, and demonstrate necessary pollution control techniques; (b) to prevent, reduce, and eliminate pollution; (c) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (d) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues. Awards under this program must be performed within the Region III area of Delaware, Maryland, Pennsylvania, Virginia, West Virginia and/or District of Columbia. Funding Priority - Fiscal Year 2008. Funding will be used to support projects that address places, sectors, or innovative projects; and/or are based on Regional, state, tribal or other strategic plan; and/or addresses stakeholder participation; and/or identify opportunities for leveraging other sources of funding.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Assistance awards in the form of grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, training, demonstrations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Assistance under this program is generally available to state and local governments and the District of Columbia. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions (Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.) For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions within Region III's geographical area.

#### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Region III representatives may ask applicants or principal investigators to provide curriculum vitae and relevant publications.

#### **Preapplication Coordination:**

EPA, Region 3 awards grants and cooperative agreements supporting surveys, studies, investigations, training, demonstrations and special purpose assistance under this program description in response to an EPA competitive solicitation. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA Region 3 requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Region 3, 1650 Arch



Streets, Philadelphia, PA 19103, Grants and Audit Management Branch (3PM70) Additional information on the EPA assistance package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. For competitive awards the funding announcement will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the competitive funding announcement.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for surveys, studies, and investigations, training, demonstrations and special purpose assistance. The approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to Region 3 priorities, and the availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis. However, EPA Region III can negotiate the project period with each applicant based on project requirements. The total approved project period may not exceed 2 years for competitive awards. Grants and cooperative agreements will be paid utilizing automated funds transfer. Grants and cooperative agreements may be partially or fully funded. This determination is made by the EPA.

**Reports:**

In addition to the general reporting requirements under 40 CFR, EPA includes specific reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$411,625; FY 08 est \$250,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Range - \$25,000 to \$150,000 per grant. Average of Financial Assistance is \$100,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008 Region 3 had at least eight awards ranging from \$10,000 to \$125,000 each. It is anticipated that FY 2009 funding will be used to support

Region 3 strategic initiatives.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

EPA, Region 3 located at 1650 Arch Street, Philadelphia, PA 19103, Barbara L. Latsios, telephone 215-814-5384, FAX (215) 814-5261, email: [Latsios.barbara@epa.gov](mailto:Latsios.barbara@epa.gov).

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://www.epa.gov/region03/grants/index.htm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In the past, Region III funded grants to eligible recipients to educate migrant farm workers on indoor air quality and asthma and ways to minimize indoor air pollutants, address childhood lead poisoning in urban areas and prevention techniques, restore and maintain water quality in Region 3 streams and waterbodies, develop an inventory of abandoned mines in Region 3 states in order to prioritize remediation activities and preserve land and drinking water by acquiring easements in riparian areas.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.115 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING, DEMONSTRATIONS, AND SPECIAL PURPOSE GRANTS FOR EPA REGION 10 REGIONAL GEOGRAPHIC INITIATIVE

**FEDERAL AGENCY:**

REGION 10, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10.

**OBJECTIVES:**

To support investigations, experiments, training, demonstrations, surveys, studies, research and special purpose assistance to protect public health and prevent, reduce, and eliminate pollution in Alaska, Idaho, Oregon, and/or Washington. Funding Priority - Fiscal Year 2008: This program is not being funded in 2008.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved investigations, experiments, training, demonstrations, surveys, studies, research and special purpose assistance plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. The Regional Office will accept submissions only for projects to be performed in States, Tribal Lands, and Territories within Alaska, Idaho, Oregon and/or Washington. Projects that are national in scope are not eligible for funding under this CFDA.

**Applicant Eligibility:**

Subject to any restrictions in the authorizing statutes, assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia; public and private universities and colleges; hospitals; laboratories; local governments; and other public or private nonprofit institutions. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting investigations, experiments, training, demonstrations, surveys, studies, research and special purpose projects, considering relevance and likelihood of success of proposed projects and other appropriate criteria. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants Administration Office, 1200 6th Avenue, Suite 900, Seattle, WA 98101. Detailed information and assistance, including an application kit, required forms, and a check list, are available at: <http://www.epa.gov/region07/economics/index.htm>. For competitive awards, the competitive funding announcement will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the competitive funding announcement.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for investigations, experiments, training, demonstrations, surveys, studies, research and special purpose assistance. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual) and will be paid electronically utilizing automated funds transfer. The total approved project period may not exceed 5 years for competitive awards.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

Estimated funds available will vary based on regional allocation. The funding level for FY 07 was \$350,000; FY 08 was \$0; and FY 09 will be determined in the EPA appropriations bill.

**Range and Average of Financial Assistance:**

The range of awards for 2007 was \$50,000 to \$100,000 and the average was \$87,500.

**PROGRAM ACCOMPLISHMENTS:**

Regional Geographic Initiative (RGI) funding supports EPA Region 10's ability to protect human health and the environment. RGI projects have enabled recipients to identify environmental concerns at the local level that are best addressed using innovative, collaborative approaches that further both local and regional environmental objectives. In FY 07 4 awards were made out of 43 applications received (9 percent).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Investigations, experiments, training, demonstrations, surveys, studies, research, and special purpose grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the EPA Region 10 located at 1200 6th Avenue, Suite 900, Seattle, WA 98101, Daniel Steinborn, Telephone: (206) 553-2728, Fax: (206) 553-6984, E-mail: [Steinborn.daniel@epa.gov](mailto:Steinborn.daniel@epa.gov).

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://yosemite.epa.gov/R10/HOMEPAGE.NSF/webpage/Grants>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

These three projects (of 9 total) were funded in 2006: 1- Neighborhood Air Pollution Assessment; 2- Implementation of Biological Weed Control in Western Washington; 3- Smart Growth in a High Growth, Small Community. These three projects (out of 4 total) were funded in 2007: 1- Reducing Alaska's Carbon Footprint through Utility-Scale Wind Energy Development, Business Energy Efficiency and Public Engagement; 2- Pacific Northwest Carbon Neutral Building Initiative; 3- Maximizing the Environmental and Energy Benefits from Washington State's Renewable Energy Tax Credit.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the announcement of the competitive funding opportunity. EPA selects proposed projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success and other relevant factors.

**66.116 REGIONAL GEOGRAPHIC INITIATIVE/ENVIRONMENTAL PRIORITY PROJECTS**

**FEDERAL AGENCY:**

REGION VI, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10.

**OBJECTIVES:**

To support investigations, surveys, studies, and special purpose assistance to protect public health and prevent, reduce, and eliminate pollution within the

Region VI area of Arkansas, Louisiana, New Mexico, Oklahoma and Texas. Funding Priority - In Fiscal Year 2008 the RGI program did not receive any funding. Funding Priority - Fiscal Year 2009 include support surveys, studies and investigations associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and pesticides: (1) to identify, develop and demonstrate necessary pollution control techniques; (2) to prevent, reduce and eliminate pollution; (3) to support environmental education; and (4) to promote collaboration with states to reduce environmental hazards that may affect health and the environment.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance awards in the form of grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, training, demonstrations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. "Geospatial Information" includes: Information that identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. This information may be derived from, among other things, GPS, remote sensing, mapping, charting, and surveying technologies, or statistical data.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the United States. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible for funding.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field and necessary equipment to carry out projects. Applicants may be requested to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

EPA Region VI awards grants and cooperative agreements to support surveys, studies, investigations, training, demonstrations and special purpose projects under this program description. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. For competitive awards, the competitive announcement will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the competitive announcement.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also

be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for surveys, studies, investigations, training, demonstrations and special purpose assistance. The approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to Region VI priorities, and the availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis. The total approved project period may not exceed 2 years for competitive awards. Grants and cooperative agreements will be paid electronically utilizing automated funds transfer.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial and equipment reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$557,000; FY 08 \$0; and est FY 09 \$300,000. Estimated funds available will vary based on regional allocation.

**Range and Average of Financial Assistance:**

Range of assistance: \$10,000 to \$75,000; average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Region VI funded grants to eligible recipients for unique, geographically-based projects that support the Agency's ability to protect human health and the environment and further regional strategic initiatives. FY 2007 (\$557,000) projects included: Development of On-line Toll for Redevelopers, Pesticide Risks E-filing, Joint Compliance Assistance Storm Water Training; Roads as Pollution Controls, Blue Skyways Collaborative, Alternative method for Asbestos Demolition, Beyond Translation, Environmental Health Education Outreach, and Dallas Urban Heat Island/Stormwater Mitigation. Due to the lack of funding for the RGI program in FY 2008, no projects will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations" and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular No. A-21 for educational institutions; and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with EPA, Region VI located at 1445 Ross Avenue, Suite 1200, Dallas, TX 75202-2733, Margie Floyd, Telephone: (214) 665-8461, Fax: (214) 665-7284, and E-mail: [floyd.margie@epa.gov](mailto:floyd.margie@epa.gov).

**Headquarters Office:**

Not applicable.



**Web Site Address:**

<http://www.epa.gov/docs/earth1r6///gandf/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of On-line Toll for Redevelopers, Pesticide Risks E-filing, Joint Compliance Assistance Storm Water Training; Roads as Pollution Controls, Blue Skyways Collaborative, Alternative method for Asbestos Demolition, Beyond Translation, Environmental Health Education Outreach, and Dallas Urban Heat Island/Stormwater Mitigation.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.117 REGION 9 MULTI-MEDIA AND GEOGRAPHIC PRIORITY PROJECTS**

(R9 RGI and EPP grants)

**FEDERAL AGENCY:**

REGION 9, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Statutory authority includes but is not limited to: Clean Air Act, Section 103; Clean Water Act, Section 104; Safe Drinking Water Act, Sections 1442; Solid Waste Disposal Act, Section 8001; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Toxic Substances Control Act, Section 10; Pollution Prevention Act, Section 6605; Resource Conservation and Recovery Act, Section 8001; Comprehensive Environmental Response, Compensation, and Liability Act, Sections 104 and 311; Marine Protection, Research, and Sanctuaries Act, Section 203; National Environmental Education Act, Section 6.

**OBJECTIVES:**

To fund projects, including surveys, studies, investigations, demonstrations, training, and outreach, that address more than one medium or vector of human health or ecological risk and that seek to (1) prevent, reduce, and eliminate pollution; (2) identify, develop, and demonstrate pollution control techniques and technology; (3) evaluate the economic, social, and environmental effects of alternative mechanisms and strategies; and (4) promote coordination and collaboration between and among federal, State, and local governmental and non-governmental organizations. Projects will address regional environmental and geographic priorities, possibly including air basins and watersheds, economic sectors such as agriculture, critical ecosystems, and sensitive populations. Projects may demonstrate innovative methods and involve stakeholder collaboration, leveraged funding, or socially equitable and ecologically sensitive land-use and transportation planning ("smart growth"). Projects funded under this program must be carried out within the area of EPA's Region 9, comprised of the states and tribal lands of Arizona, California, Hawaii, or Nevada, and of the Pacific islands associated with the United States. Multi-media assistance agreements cite two or more environmental statutes, appropriations legislation, or applicable legislative history as statutory authority. Multi-media priorities for FY 2007 include agriculture in the Central Valley, Pacific Island infrastructure, and information management support. Funding Priority - Fiscal Year 2008: The Regional Administrator and Deputy Regional Administrator, with advice from the Senior Management Team, determine regional multi-media and geographic priorities. Multi-media priorities for grant funding in FY 2008 include: climate change, environmental justice, infrastructure and capacity-building for the Pacific islands, and agriculture issues in the San Joaquin Valley of California.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance awards, in the form of grants and cooperative agreements, to fund recipients' allowable direct costs plus allowable indirect costs, in accordance with established EPA policies and regulations, may be available for projects that use a whole-systems approach to address multi-media human health and ecological risks. Project activities may include surveys, studies, investigations, demonstrations, training, education, limited research, outreach, and/or special-purpose activities. However, the Region will not fund research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information and computer information system applications, tools, and hardware used to generate, maintain, or distribute such information. "Geospatial information" identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, and may be derived from technologies such as geographic positioning systems (GPS), remote sensing, mapping, charting, and surveying, and from statistical data. Further information regarding geospatial information is available from the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Funding is available only for projects conducted within the geographic boundaries of EPA's Region 9, which includes states and tribal lands of Arizona, California, Hawaii, Nevada, Navajo Nations land in New Mexico, and the

Pacific islands associated with the United States. Interstate, State, tribal, intrastate, and local government agencies, districts, and councils; and public and private universities and colleges, hospitals, laboratories, and research facilities; and public or private non-governmental, nonprofit institutions are eligible to apply, unless restricted by the authorizing statutes. Nonprofit organizations must have documentation of nonprofit status from the Internal Revenue Service or their state of incorporation, except that nonprofit organizations as defined in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying as defined in Section 3 of the Lobbying Disclosure Act 1995 or superseding legislation are ineligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Interstate, State, tribal, intrastate, and local government agencies, districts, and councils; public and private universities and colleges, hospitals, laboratories, and research facilities; and public or private non-governmental, nonprofit institutions are eligible to apply, unless restricted by the authorizing statutes.

**Credentials/Documentation:**

EPA may require applicants and principle investigators to demonstrate appropriate background, academic training, experience in the field, and necessary equipment to carry out projects, and to provide curriculum vitae and relevant publications. EPA may require nonprofit organizations to provide documentation of nonprofit status accorded by the Internal Revenue Service or their state of incorporation.

**Preapplication Coordination:**

Potential applicants should direct preapplication communications to the Office of the Regional Administrator (ORA-1), Region 9, Environmental Protection Agency. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

For competitive awards, the competitive funding announcement will provide specific application procedures. Prospective applicants must submit requests for application packages through the EPA Regional Office listed in Appendix IV of the Catalog. This program requires applicants to use standard application forms furnished by the Agency and required by OMB Circular No. A-102 and A-110, including Standard Form 424 for final applications. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive funding opportunities, the competitive funding announcement will specify application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days from receipt of final application, through selection and notification, and development and approval of work plan, to award of funds.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA can fund grants and cooperative agreements for surveys, studies, investigations, demonstrations, training, education, limited research, outreach, and/or special-purpose activities incrementally. Approval of incremental funding depends on satisfactory project progress as well as continued relevance of the project and availability of funds. The application procedure is identical to applying for a new grant, with the same funds source, selection criteria, and review procedure.

**Formula and Matching Requirements:**

This program has no statutory formula for funds distribution and no requirement for matching funds, unless specifically stated in a request for proposals.

**Length and Time Phasing of Assistance:**

Assistance agreements generally fund projects for one or two years, with a maximum project period of five years. Funds are issued electronically through

automated funds transfer.

**Reports:**

EPA may include reporting requirements in the terms and conditions of the assistance agreements, which may require quarterly, interim, and final performance reports, and financial, equipment, and inventory reports.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must demonstrate financial management capability, keep financial records including documentation for entries on accounting and for any changes in grant requirements, and make records available to personnel authorized to examine assistance recipients' records. Recipients must maintain all records for a minimum of three years from the date of submission of the final report and until all questions regarding the assistance agreement, such as those arising from audits, are resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$124,000; FY 08 \$463,000; and FY 09 \$200,000.

**Range and Average of Financial Assistance:**

Projects funded from Regional Geographic Initiative and Environmental Priority Program funding have ranged from a low of \$1,500 to a high of \$160,000, with an average of approximately \$60,000 per project.

**PROGRAM ACCOMPLISHMENTS:**

In recent years, Regional Geographic Initiative and Environmental Priority Program funding has primarily supported work on diesel emission reduction under the West Coast Collaborative process and on dairy manure treatment through the San Joaquin Valley Dairy Manure Collaborative. The West Coast Collaborative has funded projects to address diesel emissions in eight sectors including agriculture, fuels, freight movement, and fleet operations, concentrating on the San Joaquin Valley and the major ports in Region 9. The Dairy Manure Collaborative has produced and distributed information on treatment technologies, funding opportunities, and geographic distribution of dairy manure through publications, conferences and maps. Each EPA Region has now replicated the West Coast Collaborative process, and entities associated with the Dairy Manure Collaborative have constructed 200 pilot treatment plants with \$21 million from outside sources. In FY 2007 and FY 2008, 24 applications resulted in 9 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance agreements under this program are subject to EPA's General Grant Regulations, 40 CFR Part 30 and 40 CFR Part 31.

**Regional or Local Office:**

Lynn Kuo, Special Assistant, Office of the Regional Administrator, Region 9, Environmental Protection Agency, 75 Hawthorne Street (ORA-1), San Francisco, CA 94105; Telephone: (415) 972-3501, Fax: (415) 947-3588, E-mail: Kuo.Lynn@epa.gov.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.epa.gov/region09/funding/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

This CFDA number was established in FY 2007. Previously, grant funding for this purpose was listed under CFDA number 66.606, Surveys, Studies, Investigations, and Special Purpose Grants. Multi-media grants under 66.606 often addressed environmental affects of agriculture. The report, "USEPA Regional Geographic Initiative: Agricultural Sustainability Projects in California's San Joaquin Valley, 2001-2005," (<http://www.epa.gov/docs/region09/ag/docs/rgi-report-for-r9-ag-program-july-2006.pdf>) describes these projects. Regional priority funding has supported conferences, world-wide web content development, and geographic information systems work. Multi-media issues addressed including food safety, Pacific island environmental issues, ocean issues, land use and transportation issues, and more.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.119 WEST COAST ESTUARIES INITIATIVE**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act for Fiscal Year 2008, Public Law 110-161

**OBJECTIVES:**

The West Coast Estuaries Initiative is a focused effort that evolved from the Environmental Protection Agency's Targeted Watersheds Grants Program. The initiative is designed to promote and support the protection and restoration of high value coastal aquatic resources in geographic areas that are subject to the pressures of population and economic growth through comprehensive watershed protection and management practices at the local level. The projects receiving assistance will support the EPA's goals for Region 10's coastal watersheds from Alaska to Oregon's southern border. These goals include: (1) clean and safe water through the protection of water quality and (2) healthy communities and ecosystems through the restoration and protection of ecosystems. Funding Priority 4, Fiscal Year 2009: EPA Region 10 recognizes the impact of growth and development on the health of the region's coastal watersheds and the diverse marine flora and fauna that they support. Extensive research shows that where development is located, how much development occurs and what practices are used when developing greatly affect the chemical, physical and biological integrity of marine and fresh waters. For Federal Fiscal Year 2009, the Region expects to offer assistance in watersheds west of the Cascade Mountain divide from the southern border of Oregon to the northern border of Washington, including those watersheds entering the Columbia River below Bonneville Dam. Additionally, in Alaska, the Region expects to offer assistance in three watersheds draining into the northern portion of Cook Inlet. These watersheds are the Lower Susitna, Matanuska and Anchorage Borough watersheds. Local and tribal governments are faced with implementing multiple planning processes and mandates. Watershed planning decisions regarding where protection and restoration occurs, how much protection and restoration is necessary, and what practices ensure effectiveness are frequently the focus of watershed plans. Often missing from these processes is an effort to connect watershed-based decisions with land development techniques and storm water controls. Linking protection and restoration decisions with future land use decisions can prevent pollution and greatly enhance the potential to maintain the region's coastal resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust watershed programs. Some need to improve the scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a plan. Therefore, a wide range of activities will be eligible including, but not limited to, activities that: (1) Enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes. (2) Implement watershed protection by enhancing local planning processes under the state's Coastal Zone Management Program through the development of watershed land use designations, development standards and other regulations or incentive programs that protect and restore coastal watersheds. (3) Refine and implement watershed land use plans based on watershed models predicting hydrological impacts of alternative future land cover conditions, development scenarios and resulting aquatic resource conditions. (4) Develop and carry out laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low impact development in sensitive basins, land acquisition or transfer of development rights approaches and techniques. More details on the restrictions for this program will be provided in the request for proposals which will be published on the Region 10 web site. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Certain projects or activities are ineligible for West Coast Estuaries funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and required activities under Phase I and II Stormwater permits will not be funded. Activities implementing the non-regulatory component of TMDLs are eligible (e.g., the elements of a watershed plan that address non-point source pollution).

**Applicant Eligibility:**

Federally recognized Indian Tribal governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are eligible to apply. Local governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are also eligible to apply. Also eligible to apply are special purpose districts including, but not limited to, irrigation districts, conservation district and water & sewer districts located within the coastal watersheds west of the Cascade Mountain divide of

Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam. Similar entities in three specific coastal watersheds in Alaska will also be eligible to apply. Those watersheds are the Lower Susitna, Matanuska and Anchorage Borough watersheds. State agencies, institutions of higher education and nongovernmental entities are not eligible to receive a direct award under this announcement. However, they are encouraged to work as collaborators (subrecipients or subcontractors) with eligible applicants. Federal agencies are ineligible for subaward or subcontract work under this announcement. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their respective applications and proposals. The EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of a proposal and requests for clarification about the request for proposals. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants will be required to submit a formal grant application. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants Administration Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the Region 10 office of the EPA for information on applications deadlines.

**Range of Approval/Disapproval Time:**

The region expects that its review of the applications received will be completed within 120 to 150 days following the deadline for the submission of applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula requirement. Under the Targeted Watershed Grants program, of which this initiative is a component, it is the Agency's policy to require applicants to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. §31.24 or 40 C.F.R. §30.23, as applicable). Tribes may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose an undue economic hardship on the Tribe.

**Length and Time Phasing of Assistance:**

The term of the cooperative agreement will be determined at the time the financial assistance is awarded.

**Reports:**

Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Other specific reporting

requirements will be defined in the Assistance Agreement based on the statement of work described in the application.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 2007 obligations: \$2,500. The total expected awards (obligations) of Federal Fiscal Year 2008 funds is expected to be about \$2.8 million. These obligations would be made in Federal Fiscal Year 2009.

**Range and Average of Financial Assistance:**

Individual awards are expected to range in size from \$400,000 to \$600,000. If the EPA receives proposals for seven (7) approvable projects, the mean award size would be \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

The first awards within the Puget Sound Estuary for the Targeted Watershed Grants program were made in Federal Fiscal Year 2008. No progress reports from these assisted projects were available, yet, at the time that this CFDA listing was being written.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal governments and special purpose districts, the procedures and requirements should be in conformance with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

**Regional or Local Office:**

Daniel Steinborn, Puget Sound Estuary Program Financial Assistance Manager  
Ecosystems and Community Health Unit U.S. Environmental Protection Agency, Region 10 1200 Sixth Avenue, Suite 900, ETPA-086 Seattle, WA 98101 (206) 553-2728 1-800 424-4EPA, extension 3-2728 e-mail: [steinborn.daniel@epa.gov](mailto:steinborn.daniel@epa.gov)

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://yosemite.epa.gov/r10/water.nsf/Office+of+Water/WEI08RFP>

**RELATED PROGRAMS:**

CFDA 66.439 - Targeted Watersheds Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP). Projects will be selected based on a competitive process which may include factors such as relevancy to the EPA's mission, technical merit, the geographic diversity represented by the array of possible projects and the likelihood of success. In making the final funding decisions, the Approving Official may also consider national and regional programmatic priorities, the Region 10 strategy and the balance of funds available. The actual selection criteria to be used will be identified in the RFP.

**66.202 CONGRESSIONALLY MANDATED PROJECTS**

(CONGRESSIONAL EARMARKS)

**FEDERAL AGENCY:**

ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Annual Department of the Interior, Environment, and related Agencies Appropriations Act; Clean Air Act; Clean Water Act; Safe Drinking Water Act; Marine Protection, Research, and Sanctuaries Act; Toxic Substances Control



Act; Federal Insecticide, Fungicide, and Rodenticide Act; Pollution Prevention Act of 1990; Solid Waste Disposal Act - Resource Conservation and Recovery Act; Comprehensive Environmental Response, Compensation and Liability Act; Superfund Amendments and Reauthorization Act; Emergency Planning and Right to Know Act; Oil Pollution Act; National Environmental Policy Act; Indian Environmental General Assistance Program Act; and National Environmental Education Act. NEPA Section 102(2)(F) for all existing and new grants done internationally.

**OBJECTIVES:**

To implement Congressionally directed projects or programs for special purposes identified in EPA's annual appropriations act or Conference Report. These assistance agreements support surveys, studies and investigations; research and demonstrations; and special projects which are not requested by EPA in their annual budget to Congress. They are sometimes identified for specifically designated organizations. The projects may be associated with: (1) various environmental requirements (e.g. wastewater treatment, drinking water treatment); (2) identifying, developing, and/or demonstrating necessary pollution control technologies and techniques to prevent, reduce, and eliminate pollution; and/or (3) evaluating the economic and social consequences of alternative strategies, technologies, or mechanisms for use by those in economic, social, governmental, and environmental management positions. Funding priorities are to award these assistance agreements to the designated organizations as quickly as possible within statutory and regulatory requirements.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support specific purposes or perform specific actions by Congressionally designated recipients. Allowable direct and indirect costs are included, in accordance with established Assistance agreement awards under this program may involve or relate to geospatial information. "Geospatial Information" includes: Information that identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. This information may be derived from, among other things, GPS, remote sensing, mapping, charting, and surveying technologies, or statistical data. EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Examples of recipients that may receive assistance under this program include interstate, intrastate, state, local, public nonprofit institutions/organizations, other public institutions/organizations, international organizations, Federally Recognized Indian Tribal Governments, U.S. territories or possessions, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, Native American Organizations, and public/private institutions of higher education. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Interstate, intrastate, state, local, public nonprofit institutions/organizations, other public institutions/organizations, Federally Recognized Indian Tribal Governments, U.S. territories or possessions, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, Native American Organizations, and public/private institutions of higher education.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out specific Congressionally designated projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for

certain grant opportunities under this CFDA.

**Award Procedure:**

Although this program is generally not subject to EPA's Policy on Competition for Assistance Agreements, EPA will administratively evaluate each application to determine (a) the adequacy of the proposed project to meet the specified purpose of the Congressionally mandated project and (b) if EPA has existing authority to expend appropriated funds for the mandated project. EPA's program offices will evaluate applications and applicants to determine the merit and relevance of proposed projects. EPA's R&D Office conducts a peer review of all applications by outside experts. EPA will also review the application in relation to EPA's general grant regulations. Any competed projects are subject to EPA's policy on Competition for Assistance Agreements. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters (or regional office, as appropriate) for application deadlines. Application forms must be submitted according to dates established by the individual EPA Headquarters or Regional Office.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new application which will be reviewed in the same manner as the original application. EPA may incrementally fund grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress and availability of funds.

**Formula and Matching Requirements:**

Recipients must match Federal funds as required by EPA's appropriation acts, authorizing statutes, regulations, program guidance, or as negotiated and agreed to between the applicant and the program office. This program has no statutory formula for distribution, however, matching requirements are defined in each appropriations act.

**Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award. The length and time phasing of the assistance will be determined by the duration of the availability of appropriated funds.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require annual, quarterly, and/or interim and final progress reports, final results, expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations - 40 CFR Part 30 and 40 CFR Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits, remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 68-0107-0-1-304; 68-0108-0-1-304.

**Obligations:**

FY 07 \$0; FY 08 \$202,246,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Range: \$79,000 to \$18,704,000 per project; Average: \$665,283.

**PROGRAM ACCOMPLISHMENTS:**

EPA has many Congressionally designated mandated projects and programs

appropriated each year. To award assistance agreements for these specially Congressionally designated projects and programs, EPA works with the designated organizations to help them develop and submit grant applications to EPA. EPA then reviews each grant application to ensure the work proposed is an authorized activity for EPA and comports with the guidance provided by Congress. Then EPA assures that the organization meets EPA's grant and financial management requirements to administer the grant. Examples of the 304 specially designated Congressional projects and programs in FY 2008 include funding to the San Joaquin CA Valley Air Pollution Control District to complete their Central California Ozone Study, funding to the Puget Sound 2020 Action Committee for development of their future environmental agenda; funding to Metro North Georgia Water Planning District for their drinking water and wastewater improvement project; funding to the City of Baltimore for improvements to their sanitary and combined sewer systems; and funding to Brockton, MA for improvements to their wastewater treatment system.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional mandated earmarks are subject to EPA's General Grant Regulations -40 CFR Part 30 and 40 CFR Part 31.

#### **Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate Headquarters program contact listed below.

#### **Headquarters Office:**

For program information, contact the following designated Program Office official: Office of Air and Radiation - Katherine Moore, (202) 564-1514, Katherine Moore@epa.gov; Office of Water - Kimberley Roy, (202) 564-4633; Kimberley Roy-Davis@epa.gov; Office of Wastewater Management - Barry Benroth, (202) 564-0672; Barry Benroth@epa.gov; Office of Ground Water and Drinking Water - Deborah McCray, (202) 564-3843 ; Deborah Mccray@epa.gov; Office of Prevention, Pesticides and Toxic Substances - Elaine Lyon-Johnson, (202) 564-0547; Elaine Lyon-Johnson@epa.gov; Office of Solid Waste and Emergency Response - Elisia Kanipe, (202) 566-1893; Elisia Kanipe@epa.gov; Office of Enforcement and Compliance Assurance - Joseph Hall, (202) 564-2271; Joseph Hall@epa.gov; Office of Research and Development - Mark Thomas, (202) 564-4763; Mark Thomas or Alice Sabatini, (202) 564-1023; Alice Sabatini@epa.gov; Office of Environmental Information - Chad Littleton, (202) 564-6064; Chad Littleton@epa.gov; Office of International Affairs - Teresa Ruppe, (202) 564-6619; Teresa Ruppe@epa.gov; Office of the Administrator - Frank Rusincovitch, (202) 564-0418; Frank Rusincovitch@epa.gov and; Office of the Inspector General - Ed Maddox, (202) 564-2648; E-mail: Ed Maddox@epa.gov; may be reached by mail at the following common address and fax number: EPA Headquarters 1200 Pennsylvania Avenue, N.W., Washington, DC 20460, (202) 564-1838 (Fax)

#### **Web Site Address:**

<http://www.epa.gov/ocfo/budget/index.htm>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Congressional mandated projects/programs vary, for example below are listed a small sample of such projects/programs. Waste to Energy project in Stamford, Connecticut; Bacteria detection program in Mohawk Valley, New York Water Authority; Restoration of Lake Pontchartrain Basin by the Lake Pontchartrain Foundation; Poultry science project at Stephen F. Austin State University; Water treatment facility in the City of Alamosa, Colorado; Perchlorate treatment program in the City of Pasadena, California; Drinking water and wastewater facilities planning and construction projects, U.S. - Mexico Border Program.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Addresses the specific purpose designated by the Congressional earmark in EPA's annual Appropriations Act or annual Appropriation Committee Report and other relevant legislative history and is consistent with EPA's authorities to support or conduct the Congressionally specified action. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. All Congressionally mandated earmarks must meet the following criteria: (a) address the specified Congressionally directed support or action described in the annual Appropriations Act or Appropriations Conference Report; (b) have the work statement for the proposed assistance agreement clearly relate to current statutory authorities and the strategic priorities for the Agency; and (c) have an approved workplan and processed assistance agreement before the appropriated funds expire.

## **66.203 ENVIRONMENTAL FINANCE CENTER GRANTS**

(EFC Grant Program)

#### **FEDERAL AGENCY:**

OFFICE OF THE CHIEF FINANCIAL OFFICER, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Clean Water Act, Section 104.(b)(3), as amended; Safe Drinking Water Act, Section 1442(b)(3) and Section 1420(g), as amended; Solid Waste Disposal Act,

Section 8001(a); Clean Air Act, Section 103(b)(3); Toxics Substances Control Act, Section 10, as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Marine Protection, Research and Sanctuaries Act, Section 203.

#### **OBJECTIVES:**

The Environmental Finance Center Grant Program provides funding to support Environmental Finance Centers (EFCs) that provide multi-media environmental finance expertise and outreach to the regulated communities. The EFCs work with States, local governments and the private sector to address the growing costs of environmental protection. The EFCs provide finance-related training, education, and analytical studies to help these regulated parties develop solutions to the difficult "how-to-pay" issues associated with meeting environmental standards. The EFCs educate state and local governments and businesses on lowering environmental costs, increasing environmental investments, improving financial capacity, encouraging full cost pricing, and identifying and evaluating environmental financing options. A central goal of the EFCs is to create sustainable systems. Sustainable systems have the financial, technical, and institutional resources and capabilities to operate in compliance with environmental requirements and in conformance with accepted environmental practices over the long term. EFCs focus on helping these smaller parties find ways to obtain financing for their environmental protection responsibilities. Funding Priority  $\zeta$  Fiscal Year 2008: providing education, technical assistance, and analytic support to state and local officials to: (1) build capacity of state and local governments to develop and support sustainable water systems; (2) provide computer-based financial outreach tools to communities (particularly small ones) to help them more effectively manage watersheds and water systems; (3) support cleaner/greener businesses through source reduction, pollution prevention, and energy conservation; (4) promote environmentally sustainable redevelopment efforts by state and local governments; and (5) assist state and local government in integrating environmental protection in growth management and land use planning. Funding Priority  $\zeta$  Fiscal Year 2009: providing education, technical assistance, and analytic support to state and local officials and businesses on: (1) environmentally sustainable growth management and land use planning; (2) financing wetlands programs and protection; (3) water and wastewater utility sustainability, energy efficiency and capital planning; (4) financing source reduction, pollution prevention and energy conservation, and encouraging green business products and services; and (5) promoting innovative air pollution reduction financing efforts.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to recipients to support their allowable direct costs incident to approved environmental financial technical assistance and outreach work plus allowable indirect costs, in accordance with established EPA policies and regulations. EPA provides incremental funding for these grants or cooperative agreements on an annual basis. As part of EPA's substantial involvement, the appropriate EPA regional and/or headquarters office reviews and approves each annual project phase consistent with the scope of work for the grant or cooperative agreement. As provided in 2 CFR Part 220, recipients of grants or cooperative agreements under this program may not charge fundraising costs to their grants or cooperative agreements. Funding for research under this program does not include research within the purview of EPA's Office of Research and Development. Under this program, EPA does not fund research, training, and technical assistance to facilitate the inventory of brownfields sites, site assessments, remediation of brownfields sites, community involvement, and site preparation. These activities are covered by the EPA grant program established at CFDA 66.814.

#### **Applicant Eligibility:**

Assistance under this program is available to public and private non-profit universities and colleges and to nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

States, tribes, local governments, businesses and community organizations and the general public are the beneficiaries of this program.

#### **Credentials/Documentation:**

Applicants must demonstrate that they meet eligibility requirements. In addition, EPA may request applicants to demonstrate that they have the appropriate background, academic training, experience in the field, and necessary staff and equipment to carry out the project work. The Agency may also ask principal analysts named in applicants' proposals to provide curriculum vitae and other documentation of relevant experience.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their Single Point of Contact is, the applicant may call the appropriate EPA regional contact listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at (202) 564-5325.

**Application Procedure:**

EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or to the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines for competitive awards will be specified in the competitive announcement.

**Range of Approval/Disapproval Time:**

Approximately 120 to 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Annually subject to the budget and project periods specified in the awards.

**Formula and Matching Requirements:**

This program does not have a statutory or regulatory formula or matching requirement. The Agency may, as a matter of policy, require cost sharing when such a requirement is specified in the announcement of the competitive funding opportunity.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. The project period for the grants or cooperative agreements may range up to seven years. EPA will provide incremental funding for the cooperative agreements each fiscal year (on a 12-month basis) over the duration of the grants or cooperative agreements.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Organizations awarded EFC grants will be required to submit quarterly or semi annual progress reports to the Project Officer for the duration of the grant period. Final reports must be submitted to the Project Officer upon completion of the project. The Project Officers will determine if additional reports are appropriate and necessary.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) apply. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those brought up in an audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$2,000,000; FY 08 \$2,000,000; FY 09 est \$2,000,000.

**Range and Average of Financial Assistance:**

Approximately \$222,000 per award per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

EPA made nine non-competitive awards to the existing Environmental Finance Centers in FY 2008 and expects to make nine non-competitive awards to the existing Centers in FY 2009. In FY 2010, EPA plans to open the program up to competition. Environmental Finance Centers are innovative, neutral and multi-disciplinary technical assistance and outreach agents with proven track records of working at the local, state, regional and national levels. They have specialized expertise in finance, information technology transfer, and all environmental media. They have developed numerous successful partnerships and connections with regulated parties, regulators, other technical assistance providers, and non-profit organizations throughout the U.S. and beyond. The EFCs have developed many innovative financing/outreach tools and training courses, and have implemented successful projects in 48 states in all ten EPA regions. The EFCs have pioneered the development and use of charrettes (intensive workshops) with local governments to discover what is needed to pay for environmental services. To date, EFCs have held 32 charrettes in 11 States. The charrettes bring together local officials with finance, planning, and other technical expertise to discuss financing difficulties experienced by the communities. Each charrette seeks to create pertinent, realistic and achievable solutions to the finance challenge. From the charrettes, on-line case studies have been developed to help other communities facing similar challenges. EFCs assist tribal water systems in improving public health protection. EFCs also focus on developing and testing a variety of methods by which water system viability can be determined and maintained.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education"). Costs for educational institutions will be determined in accordance with 2 CFR Part 220 (OMB Circular No. A-21). Information pertinent to the EFC program can be found at [www.epa.gov/efinpage/efcn.htm](http://www.epa.gov/efinpage/efcn.htm). Written materials on the program can be obtained by calling the EFC National Coordinator at (202) 564-5001.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grants applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. For program information, contact: Vera Hannigan, Telephone: (202) 564-5001; Fax: (202) 564-2587; [hannigan.vera@epa.gov](mailto:hannigan.vera@epa.gov).

**Web Site Address:**

<http://www.epa.gov/efinpage>.

**RELATED PROGRAMS:**

66.814, Brownfields Research, Training and Technical Assistance Grants and Cooperative Agreements Program; 66.611, Environmental Policy and Innovation Grants Program.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 07 and FY 08, EPA funded nine university-based Environmental Finance Centers (EFCs) located across the nation in eight EPA Regions. Each participating university operated an EFC that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses).

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the announcement of the competitive funding opportunity.

**66.305 COMPLIANCE ASSISTANCE SUPPORT FOR SERVICES TO THE REGULATED COMMUNITY AND OTHER ASSISTANCE PROVIDERS**

(Compliance Assistance Centers)

**FEDERAL AGENCY:**

OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act of 1972, as amended, Section 104, Public Law 92-500, 33 U.S.C.A. 1254; Clean Air Act of 1970, as amended, Section 103, Public Law 91-604, 42 U.S.C.A. 7403; Resource Conservation and Recovery Act of 1976, as amended, Section 8001, Public Law 94-580 42 U.S.C.A. 6981.

**OBJECTIVES:**

To provide financial assistance to private nonprofit institutions, universities, and public agencies to develop projects to improve environmental compliance within



an identified industrial/government sector or environmental topic. In FY 2008, the funds are supporting web-based compliance assistance tools utilizing industry and commercial communication channels to deliver the assistance tools.

Funding Priority - Fiscal Year 2008: An estimated \$780,000 will be used to support the Centers Programs. With this investment, the EPA plans to continue supporting 12 Centers and to expand and improve the Compliance Assistance Center Platform (Platform). Platform activities will include (1) improving or expanding Platform tools and services; (2) supporting Platform-based Centers; and (3) developing and coordinating state regulatory compliance assistance material.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used to develop and communicate environmental compliance information applicable to the specific industrial/government sector or topic for which financial assistance is provided. It is expected that common communications channels used by the industry/government would be used to quickly distribute information to the targeted audience. EPA funding must be used only for activities specified in the approved scope of work; discretionary funding will not be provided.

**Applicant Eligibility:**

Applicants must be nonprofit organizations as that term is defined in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note. Colleges, universities, and community colleges are eligible to apply. EPA will also accept applications from state, tribal and local governments. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, for certain funding opportunities under this CFDA, applicants may have to demonstrate how they meet the following factors for threshold eligibility purposes: That they have an indirect cost rate that has been approved or is pending approval by a federal agency or has a cost allocation system that meets the requirements in the applicable OMB Circular; That they have had a previous working relationship(s) with experts and national organizations devoted to the relevant industrial, commercial or governmental sector, or intends to partner with an organization with such expertise; An understanding of the environmental needs of the relevant industrial, commercial or governmental sector through past activities, or intends to partner with an organization with such expertise; That they, or a partnering organization, has familiarity with applicable federal, State and local environmental regulations and experience in developing tools (e.g., training, plain-language guides, fact-sheets, Agency contact locators, etc.) to improve the audiences' understanding of their regulatory obligations; Previous experience (or intends to partner with an organization with experience) in developing and maintaining web-based services.

**Beneficiary Eligibility:**

The primary beneficiaries are small businesses, local governments and colleges/universities that are being serviced by the grantees. Other beneficiaries include State, local, general public, and the regulated business community.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, experience in the field, organizational capacity and necessary equipment to carry out projects.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals. Please contact Headquarters for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, cooperative agreements will be awarded for a five year project period. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities.

**Formula and Matching Requirements:**

EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. Applicants will be advised of other matching requirements, if any, in Requests for Applications or Requests for Initial Proposals. Although EPA may not require matching funds, applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they would commit to manage a Compliance Assistance Center. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$1,280,240; FY 08 \$780,000; and FY 09 \$0.

**Range and Average of Financial Assistance:**

\$35,000/year - \$140,000/year. An approximate average of the financial assistance awards that was made in the past and current fiscal years is \$65,000.

**PROGRAM ACCOMPLISHMENTS:**

Center site visit activity for FY 2007 increased 4 percent from FY 2006. In FY 2007, the Centers Websites were visited 1,958,000 times by their target audiences and the public, and experienced over 6.5 million requests for web pages and compliance assistance documents. Center survey respondents expressed a high degree of satisfaction with Center services: (1) 83 percent of the regulated community strongly agreed or agreed that the Centers helped them understand regulations that apply to a sector, local government, or federal facility (2)81% of the regulated entity respondents took one or more actions as a result of Center use. Actions ranged from contacting a regulatory agency, changing a process or practice to conducting a self audit; (3)73 percent of the assistance provider community respondents took one or more actions as a result of Center use. Actions included: providing fact sheets or compliance guides; helping clients identify pollution prevention opportunities; and helping clients change processes or practices; (4) 53 percent of the regulated community

## 66.306 ENVIRONMENTAL JUSTICE COLLABORATIVE PROBLEM-SOLVING COOPERATIVE AGREEMENT PROGRAM

(EJCPS)

**FEDERAL AGENCY:**  
OFFICE OF ENVIRONMENTAL JUSTICE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**  
Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(b)(3); Solid Waste Disposal Act, Section 8001(a); Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Marine Protection, Research, and Sanctuaries Act, Section 203.

**OBJECTIVES:**  
The program's mission/objective is to award cooperative agreements to eligible non-profit organizations in order for those organizations to develop projects which demonstrate the utility of the Environmental Justice Collaborative Problem-Solving Model. Funding Priority - Fiscal Year 2008: None.

**TYPES OF ASSISTANCE:**  
Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**  
Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

**Applicant Eligibility:**  
For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. An eligible applicant MUST BE: (1) a 501(c)(3) nonprofit organization as designated by the Internal Revenue Service OR a nonprofit organization, recognized by the State, territory, commonwealth, or tribe in which it is located, which addresses local environmental and public health issues; AND (2) located within the same State, territory, commonwealth, or tribe that the proposed project will be located. The following entities are INELIGIBLE: colleges and universities; hospitals; State and local governments and federally-recognized Indian tribal governments; quasi-governmental entities (e.g., water districts, utilities)\*; national-, multi-state-, or state-wide- organizations with chapters; and nonprofit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995. In addition, an eligible applicant must be able to demonstrate that it has worked directly with, or provided services to, the affected community. An "affected community," for the purposes of this assistance agreement program, is a community that is disproportionately impacted by environmental harms and risks and has a local environmental and/or public health issue that is identified in the proposal. \*Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.

**Beneficiary Eligibility:**  
Nonprofit Community Groups as described in "Applicant Eligibility," above.

**Credentials/Documentation:**  
Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**  
Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**  
Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

respondents and 46% of the assistance provider community respondents indicated an environmental improvement from actions taken as a result of using a Center. The EPA funded 12 Centers and Center Services under 10 cooperative agreements in FY 2007 and FY 2008. Each Center addresses real world issues in language that speaks to the regulated entities. Through internet Websites, telephone assistance lines, fax-back systems, and e-mail discussion groups, the Centers are helping businesses, local governments, and federal facilities understand and comply with federal environmental requirements and save money through pollution prevention techniques. In FY 2008, EPA awarded funding for the development of a Center for the food processing industry.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Compliance Assistance Centers are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for non-profit institutions, and FAR Part 31 for profit makers. Additional information pertinent to the Centers program can be found at [www.assistancecenters.net](http://www.assistancecenters.net). Centers brochures and/or fact-sheets can be obtained by calling the EPA Compliance Assistance Centers Team Leader at (202) 564-7076.

**Regional or Local Office:**  
Not applicable.

### Headquarters Office:

Tracy Back, Compliance Assistance Centers Team Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-7076, Fax: (202) 564-0037, email: [back.tracy@epa.gov](mailto:back.tracy@epa.gov). Hans Scheifele, Transportation Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Hans Scheifele, Printed Wiring Board Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Hans Scheifele, Chemical Manufacturing Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Kenneth Harmon, Local Government Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-7049, Fax: (202) 564-0037, email: [harmon.kenneth@epa.gov](mailto:harmon.kenneth@epa.gov). Kenneth Harmon, Education Sector Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-7049, Fax: (202) 564-0037, email: [harmon.kenneth@epa.gov](mailto:harmon.kenneth@epa.gov). Hans Scheifele, Metal Finishing Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Hans Scheifele, Paints & Coatings Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Hans Scheifele, Printing Industry Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Hans Scheifele, Automotive Recycling Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). Hans Scheifele, Construction Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-1459, Fax: (202) 564-0009, email: [scheifele.hans@epa.gov](mailto:scheifele.hans@epa.gov). John Mason, US/Mexico Border Environmental Issues Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-7036, Fax: (202) 564-0037, [mason.john@epa.gov](mailto:mason.john@epa.gov). Tracy Back, Platform Development Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-7076, Fax: (202) 564-0037, [back.tracy@epa.gov](mailto:back.tracy@epa.gov). Joanne Berman, Food Processign Center Lead, 1200 Pennsylvania Ave., NW, Washington, DC 20460, Tele: (202) 564-7064, Fax: (202) 564-0037, [berman.joanne@epa.gov](mailto:berman.joanne@epa.gov).

**Web Site Address:**  
<http://epa.gov/compliance/>.

**RELATED PROGRAMS:**  
None.

### EXAMPLES OF FUNDED PROJECTS:

Past projects include the development of sector-specific websites providing a wide range of compliance assistance tools and resources. Tools developed include web sites, toll-free telephone assistance services, e-mail discussion groups, other interactive technologies, video/workbooks, satellite training, compliance audit checklists and guidebooks, and compliance fact sheets assistance in implementing pollution prevention activities. The existing Center websites can be accessed at [www.assistancecenters.net](http://www.assistancecenters.net) or [www.epa.gov/compliance/assistance/centers/index.html](http://www.epa.gov/compliance/assistance/centers/index.html).

### CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for training, research, surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

All cooperative agreements will be awarded for a 3 year project period. Activities must be completed within the project timeframe, and all cooperative agreements will be fully funded at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$1,000,000; FY 08 \$0; and FY 09 \$0.

**Range and Average of Financial Assistance:**

All individual awards are \$100,000 each.

**PROGRAM ACCOMPLISHMENTS:**

42 applications were received and 10 awards were granted in fiscal year 2007. No grants were made in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 30.

**Regional or Local Office:**

Not Applicable.

**Headquarters Office:**

Environmental Protection Agency, Grants and Interagency Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460. For program information contact: Office of Environmental Justice, Sheila Lewis, 1200 Pennsylvania Avenue, N.W., Mail Code 2201A, Washington DC 20460. Telephone: (202) 564-0152. Fax: (202) 501-1107. E-mail: lewis.sheila@epa.gov.

**Web Site Address:**

[www.epa.gov/compliance/environmentaljustice/grants/ej-cps-grants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej-cps-grants.html)

**RELATED PROGRAMS:**

66.950, Environmental Education and Training Program; 66.951, Environmental Education Grants; 66.604, Environmental Justice Small Grant Program; 66.307,

Environmental Justice Training and Fellowship Assistance; 66.308, Environmental Justice Research Assistance; 66.309, Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Working with partners to identify and characterize the environmental and public health issues associated with straight pipe sewage and acid mine drainage, educating community residents about the environmental and health effects from these impacts, and working to develop and implement the strategies necessary to successfully address these issues. (2) Engaging communities in the cleanup and improvement of vacant lots into green spaces and sustain their upkeep through a recycling program to help reduce pollutants that contribute to communities' high asthma rates. This collaboration is expected to improve Philadelphia's recycling rate and air quality. (3) Developing a collaborative process that encourages measures for the installation of safe water and sewer services, the clean up of toxic substance sites, and the improvement of air quality in the area's low-income communities and other comparable communities that do not have access to basic amenities. Grassroots training will assist residents in working collaboratively with local, State, and federal government officials. (4) Working with partners to incorporate environmental and health considerations, and to involve disadvantaged communities into the decision-making process of the city's Master Plan for housing redevelopment and revitalization. The project also encourages use of natural, non-toxic cleaning products and practices to reduce exposure to lead paint and decrease the incidence of asthma. (5) Creating an Environmental Council with partners to conduct air sampling tests in schools, apartments, and community locations to determine the extent of indoor and outdoor air pollution in the community. The Council will help the community educate itself about asthma, asthma triggers and allergens, and what can be done to minimize or eliminate indoor air asthma triggers.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.309 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE ACTIVITIES RELATING TO ENVIRONMENTAL JUSTICE**

(EJSS)

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL JUSTICE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(c)(3); Solid Waste Disposal Act, Section 8001(a); Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Marine Protection, Research, and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), Section 311(c).

**OBJECTIVES:**

The program's mission/objective is to provide funding in support of surveys, studies and investigations, and special purpose assistance programs as they relate to environmental and/or public health issues, with a particular emphasis on environmental justice. Funding Priority - Fiscal Year 2008: There are no funding priorities anticipated for FY 2008. Funding Priority-Fiscal Year 2009. Activities that support surveys, studies and investigations, and special purpose assistance for the award of grants and cooperative agreements that address environmental justice concerns. EPA defines "environmental justice" as the fair treatment and meaningful involvement of all people regardless of race, color, national origin or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. Meaningful involvement means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected. Assistance agreements may be associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and/or pesticides.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information



may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, intertribal consortia, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions which submit applications proposing projects concerning environmental justice issues with significant technical merit and relevance to EPA's mission. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual). Most of OEJ awarded grants and cooperative agreements have project periods ranging from one year to five years, and generally, grants and cooperative agreements are fully funded at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part

30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-8145-0-7-304; 68-0107-0-1-304; 68-0103-0-1-304.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 \$40,000.

**Range and Average of Financial Assistance:**

\$20,000 to \$150,000/fiscal year; \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

No awards were made in FY 07 and FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Kwabena Kyei-Aboagye (617) 918-1609, [Kyei-Aboagye.Kwabena@epa.gov](mailto:Kyei-Aboagye.Kwabena@epa.gov), USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Secondary Contact: Sires Rivers (617) 918-1343, [rivers.sires@epa.gov](mailto:rivers.sires@epa.gov). Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, [wesley.terry@epa.gov](mailto:wesley.terry@epa.gov), USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, [frazier.tasha@epa.gov](mailto:frazier.tasha@epa.gov). Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, [harris.reggie@epa.gov](mailto:harris.reggie@epa.gov), USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Elvie Barlow (404) 562-9650, [barlow.elvie@epa.gov](mailto:barlow.elvie@epa.gov), USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, [mclendon.ella@epa.gov](mailto:mclendon.ella@epa.gov). Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, [millard.margaret@epa.gov](mailto:millard.margaret@epa.gov), USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, [quinones.shirley@epa.gov](mailto:quinones.shirley@epa.gov), USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Secondary Contact: Nelda Perez (214) 665-2209, [perez.nelda@epa.gov](mailto:perez.nelda@epa.gov). Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, [moses.althea@epa.gov](mailto:moses.althea@epa.gov), USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101. Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, [reish.nancy@epa.gov](mailto:reish.nancy@epa.gov), USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556, [belille.jean@epa.gov](mailto:belille.jean@epa.gov). Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Karen Henry (415) 972-3844, [henry.karen@epa.gov](mailto:henry.karen@epa.gov), USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Running Grass (206) 553-2899, [grass.running@epa.gov](mailto:grass.running@epa.gov), USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

**Headquarters Office:**

Environmental Protection Agency, Grants and Interagency Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460. For program information contact: Office of Environmental Justice, Sheila Lewis, 1200 Pennsylvania Avenue, N.W., Mail Code 2201A, Washington DC 20460. Telephone: (202)564-0152. Fax: (202) 501-1107. E-mail: [lewis.sheila@epa.gov](mailto:lewis.sheila@epa.gov).

**Web Site Address:**

<http://www.epa.gov/compliance/environmentaljustice/index.html>.

**RELATED PROGRAMS:**

66.305, Compliance Assistance Support for Services to the Regulated

Community and Other Assistance Providers; 66.604, Environmental Justice Small Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include: (1) A project to form collaborative partnerships with impacted and traditionally excluded community residents, organizations, regulatory agencies, and academic institutions to identify, prioritize, and develop plans to address environmental problems and perceived health impacts resulting from Hurricanes Rita and Katrina. The grantee will include residents on an Environmental Justice Steering Committee to ensure meaningful community involvement in the development and implementation of environmental laws, regulations, and policies related to Hurricanes Rita and Katrina. (2) A project to educate the public, particularly economically-disadvantaged households, affected by Hurricanes Katrina and Rita by providing them hands-on-training related to energy conservation and health benefits for the citizens directly impacted by the local environmental and/or public health issues stemming from the hurricanes. (3) A project designed to protect the health of those who are doing the physical labor of gutting the flood damaged houses in the greater New Orleans area after Hurricanes Katrina and Rita. The project will interrupt the pathways of exposure to mold and other hazardous substances found in the homes and buildings which are being reclaimed by providing workers with protective gear and education materials.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.310 CAPACITY BUILDING GRANTS AND COOPERATIVE AGREEMENTS FOR COMPLIANCE ASSURANCE AND ENFORCEMENT ACTIVITIES IN INDIAN COUNTRY AND OTHER TRIBAL AREAS**

**FEDERAL AGENCY:**

OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; National Environmental Policy Act, Section 102(2)(F) (for international awards); and Indian Environmental General Assistance Program Act.

**OBJECTIVES:**

Providing financial resources to build and improve the compliance assurance and enforcement capacity of federally-recognized Indian tribal governments (tribes), inter-tribal consortia, or tribal organizations by providing financial resources and to improve compliance with environmental laws. As required by statute, such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training, and fellowships to the extent authorized under the federal environmental laws listed above. This Catalog of Federal Domestic Assistance (CFDA) number covers EPA's Environmental Program Management (EPM) resources targeted for compliance assurance and enforcement in Indian country and other tribal areas, including those in Alaska. Funding Priority - Fiscal Year 2008: Building tribal compliance assurance and enforcement capacity to support activities related to the National Indian Country Enforcement and Compliance Assurance Priority (Indian Country Priority) is the funding priority for fiscal year 2008. To that end, these funds are targeted to address compliance assistance, compliance monitoring, and enforcement issues associated with waste management, schools, and public water systems. Activity examples include: funding the training of tribal compliance monitoring inspectors and conducting compliance monitoring inspections; demonstrating solid waste management techniques and operation and/or maintenance of public water systems and schools; training of personnel involved in the operation and/or maintenance of public water systems, schools, and solid waste operations; improving understanding of the potential hazards associated with school laboratory chemicals; hiring "circuit riders" to provide compliance assistance to tribal public water systems, solid waste programs, and schools; creating tribal environmental codes with enforcement components; creating administrative procedures to facilitate regulatory compliance and enforcement; and developing data systems and assessments to better understand the number of regulated entities in Indian country and their compliance status. OECA's tribal funds should be used to support activities directly related to the Indian Country Priority. creating tribal environmental codes with enforcement components; creating administrative procedures to facilitate regulatory compliance and enforcement; and developing data systems and assessments to better understand the number of regulated entities in Indian country and their compliance status. OECA's tribal funds should be used to support activities directly related to the Indian Country Priority.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funding is for fixed or known periods associated with specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants. OECA identifies special focus areas each funding cycle (annually). Previous years have included calls for proposals focusing on conducting sanitary surveys at tribal public water systems, compliance assistance to tribal solid waste programs, and innovative enforcement and compliance assurance projects, including performance measurement, data quality, and public access to information. Consistent with existing statutory authority, the funds are used to support compliance assistance, compliance monitoring, and enforcement activities.

**Applicant Eligibility:**

Tribal Organizations, Inter-tribal Consortia, Federal, and State Organizations, Colleges and Universities, and non-for-profit organizations; eligible applicants must also have enforcement and compliance assurance responsibilities in Indian country and/or other tribal areas or provide support for enforcement and compliance assurance projects in Indian country and/or other tribal areas. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to: (1) tribes and intertribal consortia located in the Region where a project is going to be performed; and/or (2) applicants that have access to Indian country or other tribal areas.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments; Inter-tribal Consortia and Tribal Organizations; Federal, State, and Multi-jurisdictional State Organizations; colleges and universities; and non-for-profit organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

The solicitation or other announcement of availability of funds provides the complete schedule for application due dates.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. e resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in one lump sum. Projects may span multiple years. There is no restriction on the time permitted to spend the money awarded, although money must be spent prior to expiration associated with the specified federal fiscal year.

**Reports:**

Semi-annual reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted to the Project Officer upon completion of the project. The EPA Project Officer will determine whether additional reports are appropriate and necessary.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in

Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$1,445,000; FY 08 \$1,095,000; and FY 09 \$300,000.

**Range and Average of Financial Assistance:**

\$3000 to \$100,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, EPA funded multiple activities in Indian country. For example, EPA funded compliance assistance activities (training and demonstration) designed to improve understanding of how schools and public water systems can operate in compliance with applicable federal environmental laws. Similarly, EPA funded compliance assistance activities (training and demonstration) designed to improve understanding of how tribes can effectively manage solid waste. In addition, EPA funded circuit riders who provide on-site compliance and technical assistance to tribes. The funded circuit riders provided on-site assistance to the owners and operators of public water systems and the managers and staff engaged in the collection, handling, and disposal of solid and household hazardous waste. EPA-funded drinking water circuit riders provided training and assistance related to drinking water system operation, monitoring, data collection, and reporting. Solid waste circuit riders helped with waste assessments and waste investigations. EPA funds were also used for public service announcements and printed educational documents. EPA also funded the drafting of environmental codes associated with drinking water, solid waste, and regulations impacting schools and other environmental situations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable EPA Uniform Administrative Requirements covered in the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (40 CFR Part 30), February 15, 1996; Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (including Indian and Tribal Governments) (40 CFR Part 31), March 11, 1988; and State and Local Assistance: Provides program-specific requirements for State, tribal, and local grants (40 CFR Part 35, Subparts A and B), October 12, 1982.

**Regional or Local Office:**

For EPA Region 1 contact Kristi Rea at (617) 918-1595 or [rea.kristi@epa.gov](mailto:rea.kristi@epa.gov); for EPA Region 2 contact Rebecca Jamison at (212) 637-3949 or [jamison.rebecca@epa.gov](mailto:jamison.rebecca@epa.gov); for EPA Region 4 contact Serdar Ertap at (404) 562-9683 or [ertrap.serdar@epa.gov](mailto:ertrap.serdar@epa.gov); for EPA Region 5 contact Andrew Anderson at (312) 353-9681 or [anderson.andrew@epa.gov](mailto:anderson.andrew@epa.gov); for EPA Region 6 contact Connie Overbay at (214) 665-7274 or [overbay.connie@epa.gov](mailto:overbay.connie@epa.gov); for EPA Region 7 Wolfgang Brandner contact at (913) 551-7381 or [brandner.wolfgang@epa.gov](mailto:brandner.wolfgang@epa.gov); for EPA Region 8 contact Liz Rogers at (303) 312-6974 or [rogers.liz@epa.gov](mailto:rogers.liz@epa.gov); for EPA Region 9 contact Angela Baranco at (415) 947-4262 or [baranco.angela@epa.gov](mailto:baranco.angela@epa.gov), and for EPA Region 10 contact Donald Dossett at (206) 553-8257 or [dossett.donald@epa.gov](mailto:dossett.donald@epa.gov).

**Headquarters Office:**

Contact Jonathan Binder, The Office of Compliance, Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-2516, Fax: (202) 564-7083, and E-mail: [binder.jonathan@epa.gov](mailto:binder.jonathan@epa.gov).

**Web Site Address:**

<http://www.epa.gov/compliance/state/grants/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 2005 and 2006, EPA funded solid waste and drinking water system circuit riders to provide compliance and technical assistance to tribes in the area of solid waste management. Circuit riders conduct on-site visits at multiple facilities and provide detailed information and training to tribes, tribal environmental professionals, and facility operators on how to ensure compliance and improve environmental performance. In addition, EPA funded training and conferences for tribal environmental professionals, including how to effectively conduct compliance monitoring inspections under federal and tribal environmental laws, to facilitate the development of compliance assurance and enforcement programs. EPA funded the development of tribal environmental codes, including the creation of solid waste management plans designed to ensure the proper handling and disposal of solid waste. Finally, EPA funded tribal data collection and analysis efforts designed to assess the compliance status of regulated facilities and develop tribal plans to respond to the identified

compliance issues.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.312 STATE ENVIRONMENTAL JUSTICE COOPERATIVE AGREEMENT PROGRAM**

(EJCA)

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL JUSTICE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(b)(3); Solid Waste Disposal Act, Section 8001(a); Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Marine Protection, Research, and Sanctuaries Act, Section 203.

**OBJECTIVES:**

To provide funding to State governments to support their efforts to understand, promote and integrate approaches and activities that result in meaningful and measurable environmental and/or public health improvements in communities disproportionately exposed to environmental harms and risks. The goals of this program include, but are not limited to, the following: Achieve significant measurable environmental and/or public health results; Build broad, robust, results-oriented partnerships, particularly with community organizations within the affected area(s); Demonstrate a connection to EPA Regional EJ Action Plans and the State's participation in the design and implementation of EPA EJ Action Plan activities; and Implement a strategy to integrate EJ considerations pertinent to the project within the programs, policies, and activities of the appropriate State agency or agencies. Funding Priority Fiscal Year 2009: To provide funding to State governments to support their efforts to understand, promote and integrate approaches and activities that result in meaningful and measurable environmental and/or public health improvements in communities disproportionately exposed to environmental harms and risks. To support of activities which are robust, results oriented, collaborative partnerships, and which can be linked to Regional EJ Action Plan activities. By linking to the Government Performance Results Act (GPRA) strategic plans and goals, the Agency's EJ Action Plans are using various activities to address goals which will lead to measurable environmental and public health outcomes.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The EJCA Program seeks projects fostering activities such as the following: Public awareness programs addressing child lead poisoning and asthma in impacted minority or low-income communities. This type of initiative could entail blood testing and research activities about effective ways of outreaching and educating the public about causes and prevention of (lead poisoning and asthma); follow-up for further lead testing and effectiveness determinations of preventive efforts; Performance of community assessments and risk reduction projects to develop tools that could be used quickly for assessing air quality problems in a community; Projects to address multiple health threats posed by chemical and biological related industries/organizations located close to communities living in state public housing projects; Creation of communication networks and partnerships for sharing information and/or conducting focus groups studies on EJ related issues, between advocacy groups, local communities and state environmental agencies; Development of survey and response plans for targeted area; Establishment of collaborative and coordinated efforts, process or procedures between state agencies and ongoing projects at local levels to maximize use of local resources and reduce duplication of efforts. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

**Applicant Eligibility:**

State agencies, the District of Columbia, and multi-jurisdictional State organizations and public universities and colleges. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies, U.S. territories and commonwealths, the District of Columbia, and state universities and colleges. The following entities are INELIGIBLE: private colleges and universities; City, township, county government and their entities; Federally recognized Native America Tribal governments; State designate Native American Tribal governments.



**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 Cost Principles for State, Local and Indian Tribal Governments and OMB Circular No. A-102 for Grants and Cooperative Agreements with State and Local Governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for training, research, surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

All cooperative agreements will be awarded for a 3 year project period. Activities must be completed within the project timeframe, and all cooperative agreements will be fully funded at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133. 40 CFR Part 31- Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 40 CFR Part 35 - State and Local Assistance.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY07 \$0; FY08 \$0; FY09 \$800,000.

**Range and Average of Financial Assistance:**

All individual awards are \$160,000 each.

**PROGRAM ACCOMPLISHMENTS:**

No content available. This is a new federal assistance program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to and Local Governments (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Environmental Protection Agency, Grants and Interagency Management Division, 1200 Pennsylvania Avenue, NW., Mail Code 3903R, Washington, DC 20460. For program information contact: Office of Environmental Justice, Sheila Lewis, 1200 Pennsylvania Avenue, NW, Mail Code 2201A, Washington DC 20460. Phone: (202)564-0152. Fax: 202-501-1107. Email: [lewis.sheila@epa.gov](mailto:lewis.sheila@epa.gov).

**Web Site Address:**

<http://www.epa.gov/compliance/environmentaljustice/grants/>.

**RELATED PROGRAMS:**

66.604 Environmental Justice Small Grants Program; 66.309, Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.418 CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, as amended, Sections 101(e), 109(b), 201 through 205, 207, 208(d), 210 through 212, 215 through 219, 304(d)(3), 313, 319, 320, 501, 502, 511, and 516(b), Public Law 92-500; Clean Water Act, Public Laws 95-217, 96-483, 97-117, 100-4, and 101-144.

**OBJECTIVES:**

To assist and serve as an incentive in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. From fiscal year (FY) 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program. Funding Priority - Fiscal Year 2008: Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office. Funding Priority - Fiscal Year 2009: Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For construction of municipal wastewater treatment works including privately owned individual treatment systems, if a municipality applies on behalf of a number of such systems. Such works may serve all or portions of individual communities, metropolitan areas, or regions. A project may include, but may not be limited to, treatment of industrial wastes. The grantee must require pretreatment of any industrial wastes which would otherwise be detrimental to efficient operation and maintenance, or the grantee must prevent the entry of such waste into the treatment plant. The grantee must have or initiate an acceptable system of user charges. From FY 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Any state, local, intrastate agency, or interstate agency, or Federally-Recognized Indian tribal government, having jurisdiction over waste disposal. At present, new funding for the construction grants program exists only in American Samoa,

Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia because these territories were exempt by the U.S. Congress from establishing a State Revolving Fund (SRF). Grants are awarded to only these territories from the SRF funds, which are received as Title II grants. Funding requests for construction of wastewater treatment facilities are now to be made to the SRF representative of the State in which the construction is proposed.

**Beneficiary Eligibility:**

Anyone/General Public. Anyone to be served by a wastewater treatment works assisted by this program.

**Credentials/Documentation:**

(1) Certified copy of authorization and assurances from the applicant's governing body. Authorization must be current, and must designate by name and title the individual who will represent the applicant; (2) current description of the project; (3) statement explaining exact nature of local, State, and any other Federal funds which may be used to finance the project; (4) applicant assurance (which is acceptable to the Regional Administrator) that any necessary discharge permit has been or will be obtained in accordance with Section 401, of Public Law 92-500, as amended; (5) conformance with requirements set forth in 40 CFR Part 35; Subpart I. Application may be made for grant assistance for building and erection of the treatment works with an allowance for planning and design costs at the time that the grant for construction is made. Costs will be determined in accordance with OMB Circular No. A-87, "Costs Principles for State, Local, and Indian Tribal Governments."

**Preapplication Coordination:**

This is an existing program which is winding down as the funding is now being provided under State Revolving Fund Program for construction of wastewater treatment facilities. An environmental assessment is required for this program, which may require the development of an environmental impact statement by EPA. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be submitted through the State water pollution control agency to the appropriate EPA Regional Office. The standard application forms as furnished by the Federal agency must be used for this program. EPA requires final applications to be made on the Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Projects considered for award must be approved by the State water pollution control agency and also certified by such agency as to priority over any other eligible projects. Award is made following such certification and approval by a Regional Office of EPA. Funds authorized by the Congress are allotted to the States in accordance with The Clean Water Act, as amended. Grant awards within individual States are limited by the funds which have been allotted to such States.

**Deadlines:**

Contact the appropriate Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 45 days, for EPA Regional Office action after certification by delegated State.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program operates under Section 202 of the Clean Water Act. This program has no statutory formula. The Federal grant may be for up to 55 percent for grants awarded after September 30, 1984 or for 75 percent of eligible project costs for grant assistance awarded before October 1, 1984. The States may lower these percentages with the concurrence of the Regional Administrator pursuant to Section 202(a)(1) of the Clean Water Act as amended by Public Law 100-4. For innovative or alternative treatment processes and techniques referred to in section 201(g)(5) the funding shall be 20 per centum greater than the above approved percentage, but in no event greater than 85 per centum of the cost of construction of the project being funded with the grant. The grantee must assure that they will provide funds for all remaining costs. Some States assist grantees in providing all or part of the non-Federal share. The American Samoa, Guam, Northern Marianas Islands, and Virgin Islands will receive the funds allocated up to 100 percent of the cost of construction.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. Grant payments are based on work completed, equipment delivered, or sometimes off-site manufacturing or services rendered. Final grant payment is made after construction is completed and satisfactory final inspection and performance evaluation are carried out.

**Reports:**

Annual inspection by the State agency for compliance with permit requirements including a written report concerning operation and maintenance of waste treatment facility, and certification one year after beginning operation that the works are meeting project performance standards.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years after project closeout, and if questions still remain, such as those raised in a court appeal, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

Title II obligations available for construction grants to District of Columbia, American Samoa, Guam, Northern Marianas Islands, and the Virgin Islands were: FY 07 \$7,994,000; FY 08 \$5,083,000; and FY 09 est. \$7,000,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$15,000,000/fiscal year; \$7,550,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, four grants were awarded for a total amount of \$5.5 million. In FY 2008, four grants totaling approximately \$8.5 million are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for Construction of Treatment Works, Environmental Protection Agency (40 CFR Part 35, Subpart E (and Subpart I, applicable to grants awarded after May 12, 1982); General Grant Regulations and Procedures, EPA (40 CFR Part 31); "Construction Grants 1985 (Guidelines for applicants and grantees)"; and Construction Grants Handbook of Procedures (Guidelines for Project Officers)." For these and other publications, please contact EPA's Office of Wastewater Management, Municipal Support Division, MC-4204M, 1200 Pennsylvania Ave., NW, Washington, DC 20460.

**Regional or Local Office:**

Information regarding appropriate waste treatment requirements and State and Federal assistance may be obtained from the State water pollution control agency. Individuals may also communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Also, contact your State agency concerning possible assistance under a State revolving fund (Title VI) of the 1987 Amendments of the Clean Water Act.

**Headquarters Office:**

Kellie Kubena, Acting Branch Chief, Municipal Assistance Branch, MC-4204M, Municipal Support Division, Office of Wastewater Management, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 566-0448, Fax: (202) 501-2396, E-mail: [kubena.kellie@epa.gov](mailto:kubena.kellie@epa.gov).

**Web Site Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>.

**RELATED PROGRAMS:**

66.458, Capitalization Grants for Clean Water State Revolving Funds.

**EXAMPLES OF FUNDED PROJECTS:**

New and expanded wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correction of combined sewer overflows (CSO) projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office.

## 66.419 WATER POLLUTION CONTROL STATE, INTERSTATE, AND TRIBAL PROGRAM SUPPORT

(106 Grants)

### FEDERAL AGENCY:

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Clean Water Act (CWA), Section 106, as amended, Public Law 95-217, 33 U.S.C. 1251 et seq.

### OBJECTIVES:

To assist States (including territories, the District of Columbia, and Indian Tribes qualified under CWA Section 518(e)), and interstate agencies in establishing and maintaining adequate measures for prevention and control of surface and ground water pollution from both point and nonpoint sources. Funding Priority - Fiscal Year 2008: States and Tribes will continue to focus on fulfilling their basic responsibilities under the CWA and, based upon a shared understanding with EPA of the environmental progress expected, will identify program activities that will best support attaining targeted environmental improvements. State priority efforts will include: (1) adoption of new comprehensive monitoring strategies and the development of statistically-valid monitoring networks to target activities and determine water quality status and trends; (2) support of cost-effective water quality management decisions (including total maximum daily loads (TMDLs) and watershed plans designed to meet water quality standards); and (3) implementing concentrated animal feeding operations (CAFOS) and storm water permitting programs. States and Tribes will work toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States will support EPA in implementing the "Permitting for Environmental Results Strategy (PERS)," including: (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations. States will also conduct source water protection actions to protect both ground water and surface waters used for drinking water. Tribes will continue to conduct watershed assessments and will maintain and improve their capacity to implement water quality programs through monitoring, assessments, planning, and standards development. Funding Priority - Fiscal Year 2009: States and Tribes will continue to focus on fulfilling their basic responsibilities under the CWA and, based upon a shared understanding with EPA of the environmental progress expected, will identify program activities that will best support attaining targeted environmental improvements. State priority efforts will include: (1) adoption of new comprehensive monitoring strategies and the development of statistically-valid monitoring networks to target activities and determine water quality status and trends; (2) support of cost-effective water quality management decisions (including total maximum daily loads (TMDLs) and watershed plans designed to meet water quality standards); and (3) implementing concentrated animal feeding operations (CAFOS) and storm water permitting programs. States and Tribes will work toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States will support EPA in implementing the "Permitting for Environmental Results Strategy (PERS)," including: (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations. States will also conduct source water protection actions to protect both ground water and surface waters used for drinking water. Tribes will continue to conduct watershed assessments and will maintain and improve their capacity to implement water quality programs through monitoring, assessments, planning, and standards development.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Water pollution control grants are intended to provide continuing support for the prevention and abatement of surface and ground water pollution from point and nonpoint sources. Continuing and recurrent water quality management program activities funded include water quality planning and standards; monitoring and assessments; inspections and enforcement; permitting; training; advice and assistance to local agencies; and public information. Funds cannot be used for construction, operation, or maintenance of waste treatment plants, nor can they be used for costs financed by other Federal grants. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### Applicant Eligibility:

Eligible entities include State and interstate water pollution control agencies as defined in the Federal Water Pollution Control Act, and Indian tribes qualified under CWA Section 518(e). Agencies making application for funds must annually submit their pollution-control program to the appropriate EPA Regional Administrator for approval. Requirements of the program are based on Section 106 of the Act, and 40 CFR Parts 31, 35, and 130. For certain competitive

funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

State and interstate water pollution control agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act (CWA).

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments. State and interstate agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act must show compliance with 40 CFR 35, Subpart A and Subpart B.

### Preapplication Coordination:

Informal meetings are held between regional office, State, territorial, and Indian tribe applicant agencies concerning program preparation. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. The grant agreement must adequately reflect the priorities identified in the State/EPA Agreement. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

The grants application must be submitted to the appropriate EPA Regional Office, Grants Administration Branch (see Appendix IV of the Catalog). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

Applications are reviewed by the appropriate EPA Regional Office and if approved, are signed by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Application forms must be submitted according to dates established by the Regional Administrator. Contact the Regional Office for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 30 days.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

None.

### Formula and Matching Requirements:

The regulation that implements the formula can be found at CFR 35.162. As stated in the Clean Water Act, appropriated funds are allotted among the State and Interstate Water Pollution Control Agencies on the basis of the extent of the pollution problems in the respective States. The six components in the revised Section 106 State allotment formula selected to reflect the extent of the water pollution control problems in the United States are: (1) surface water area; (2) ground water use; (3) water quality impairment; (4) point sources; (5) non-point sources; and (6) population of urbanized areas. The set-aside for Interstate Water Pollution Control Agencies is 2.6 percent of the total State monies appropriated under Section 106. The interstate allotment formula consists of two parts: (1) a funding floor, and (2) a variable portion. To receive a Section 106 Water Pollution Control grant, a State or interstate agency must expend annually for recurrent Section 106 program expenditures an amount of non-federal funds at least equal to expenditures during the fiscal year ending June 30, 1971. A portion of the annual Section 106 appropriation is set-aside for eligible Indian Tribes qualified under CWA Section 518(e), and an allocation formula is used to distribute these funds to the EPA Regions. The Tribal allocation formula



consists of both a base portion (which is currently equal to \$65,000 times the total number of Tribes with Treatment as a State (TAS) approval for Section 106 grants in each EPA Region), plus a weighted variable portion. The variable portion is based upon the total tribal water area (50 percent), land area (25 percent), and reservation population (25 percent) in each EPA Region. Tribal work plan costs include the costs of planning, developing, establishing, improving, and maintaining a water pollution control program. The Regional Administrator may provide up to 95 percent of the approved work plan costs for Tribes or intertribal consortia establishing a Section 106 water pollution control program. The Regional Administrator may increase the maximum Federal share if the tribe or intertribal consortium can demonstrate in writing to the satisfaction of the Regional Administrator that fiscal circumstances within the Tribe or within each Tribe that is a member of an intertribal consortium are constrained to such an extent that fulfilling the 5 percent match requirement would impose undue hardship. Since 2005, additional funds have been allocated for the purposes of strengthening State and Territorial water quality monitoring programs.

**Length and Time Phasing of Assistance:**

One year; payments are approved quarterly and disbursed monthly.

**Reports:**

Annual expenditure reports; semiannual program evaluations; revised budget following reallocation of funds; and other reports as Grant Agreement requires.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$211,210,800; FY 08 est. 218,206,000; and FY 09 est. \$221,664,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$11,215,000/fiscal year; \$5,610,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

In each fiscal year, grants are awarded to encourage and support the conduct of Water Pollution Control programs by the 50 States, 6 Territories, the District of Columbia, 6 Interstate Commissions, and Indian Tribes qualifying under CWA Section 518(e). In FY 07, 180 grant awards were made. FY 07 funds were used to continue to support State and Tribes' efforts to fulfill their basic responsibilities under the CWA and identify program activities that best support attaining targeted environmental improvements. Accomplishments included: the adoption of new comprehensive monitoring strategies and the development of statistically-valid monitoring networks to target activities and determine water quality status and trends; the support of cost-effective water quality management decisions (including total maximum daily loads (TMDLs)) and the development of watershed plans designed to meeting water quality standards; and the implementation of concentrated animal feeding operations (CAFOS) and storm water permitting programs. EPA, States, interstates, and Tribes continue to work together to define tailored strategies that align programs to deliver results on a watershed basis. At a minimum, these Regional watershed based strategies give priority to: (1) fostering the development of watershed plans under State nonpoint source programs; (2) assuring that high priority permits are current; (3) tracking permitting for environmental results program integrity follow-up actions; (4) developing TMDLs for impaired waters; and (5) organizing restoration plans on a waterbody basis. In FY 08, an anticipated 180-200 grant awards will be made. FY 08 funds will continue these efforts, and States and Tribes will work toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States will also conduct source water protection actions to protect both ground water and surface waters used for drinking water.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 31); Handbook of Procedures, State and Interstate Program Grants; Environmental Protection Agency, State and Local Assistance Programs, Grants for Water Quality Planning, Management and Implementation (40 CFR Part 130 and 40 CFR Part 35 Subpart A and B); Office of Water National Program

Guidance for FY 2005.

**Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robyn Delehanty, Section 106 State and Interstate Program Coordinator, Office of Wastewater Management (4201M), Environmental Protection Agency, EPA East Building, 1201 Constitution Avenue, N.W. Washington, DC 20460. Telephone: (202) 564-3880; Fax: (202) 501-2399; E-mail: delehanty.robyn@epa.gov.

**Web Site Address:**

<http://www.epa.gov/owm/cwfinance/pollutioncontrol.htm>.

**RELATED PROGRAMS:**

66.454, Water Quality Management Planning; 66.600, Environmental Protection Consolidated Grants for the Insular Areas - Program Support.

**EXAMPLES OF FUNDED PROJECTS:**

Grants are made to States, interstate agencies, and tribes qualified under CWA Section 518(e), for the administration of State and tribal programs for the prevention, reduction, and control of water pollution. Activities funded include administration of State and tribal water quality planning programs; water quality standards programs; water quality monitoring and assessments; National Pollutant Discharge and Elimination System (NPDES) permitting programs; compliance and enforcement programs, and ground water protection programs. More specifically, adoption and implementation of new comprehensive monitoring strategies, as stated in the March 2003 Elements of a State Water Monitoring and Assessment Guidance, and the development of statistically valid monitoring networks to help target activities and determine water quality status and trends; enhancement of the quality and timeliness of state/tribal water quality standards triennial reviews so that standards are based on sound science and EPA guidance; adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury into state water quality standards; effective management of the permit program through State participation in implementing EPA's "Permitting for Environmental Results Strategy (PERS)," focusing on (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations; implementation of program enhancements identified in the FY 2004 comprehensive assessment of NPDES program integrity; and State storm water and concentrated animal feeding operations (CAFO) permitting programs, wet weather issues and combined sewer overflows (CSOs).

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Section 106 funds are awarded to State, territory, interstate, and Indian tribal agencies in accordance with overall water quality management needs, the requirements of programs covered by these agreements, and EPA Program guidance.

**66.424 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS - SECTION 1442 OF THE SAFE DRINKING WATER ACT**

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Safe Drinking Water Act (SDWA), Section 1442, as amended; Public Law 104-182; National Environmental Policy Act (NEPA), Section 102(2)(F).

**OBJECTIVES:**

(1) To support surveys, studies, investigations, demonstrations, and training associated with source water and drinking water; (2) To develop and expand capabilities of programs to carry out the purposes of the Safe Drinking Water Act (SDWA). Funding Priority - Fiscal Year 2008: Funding priorities include providing assistance for the following: (1) research on the occurrence of contaminants in drinking water; (2) source water protection and treatment methods; measures to protect water quality in the distribution system and at the tap; (3) tribal source water protection program support; tribal operator certification program support; (4) tribal capacity development program support; and (5) assistance to tribes in administration of the Drinking Water Infrastructure Grants to identify health effects associated with drinking water contaminants. Funding priorities also include providing assistance for the following training and technical assistance activities: (1) training personnel who manage or operate public water systems; (2) training personnel for occupations involving the public health aspects of providing safe drinking water; (3) training to develop and expand the capabilities of states and municipalities to carry out the SDWA; and (4) technical assistance to enable small public water systems to meet the requirements of SDWA. Funding Priority - Fiscal Year 2009: Funding priorities include providing assistance for the following: (1) research on the occurrence of contaminants in drinking water; (2) source water protection and treatment methods; measures to protect water quality in the distribution system and at the tap; (3) tribal source water protection program support; tribal operator certification program support; (4) tribal capacity development program support;

and (5) assistance to tribes in administration of the Drinking Water Infrastructure Grants to identify health effects associated with drinking water contaminants. Funding priorities also include providing assistance for the following training and technical assistance activities: (1) training personnel who manage or operate public water systems; (2) training personnel for occupations involving the public health aspects of providing safe drinking water; (3) training to develop and expand the capabilities of states and municipalities to carry out the SDWA; and (4) technical assistance to enable small public water systems to meet the requirements of SDWA.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds will support research, investigations, studies, demonstrations, and training associated with source water and drinking water. Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110.

**Application Procedure:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the announcement for the competitive funding opportunity.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304; EPM and S&T.

**Obligations:**

FY 07 \$1,383,418; FY 08 \$9,098,778; and FY 09 est. \$1,000,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$600,000/fiscal year; \$120,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. Competitive announcements typically include the number of anticipated awards. Seven grants were awarded in FY 07 and four grants were awarded in FY 08 in support of drinking water and source water initiatives associated with developing and expanding capabilities of programs to carry out the purposes of the SDWA. In FY 09, it is anticipated that additional support for drinking water and source water initiatives will be provided.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Training grants and cooperative agreements are subject to EPA's Regulations for Training Assistance (40 CFR Part 45).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, Mailcode (3903R), Washington, DC 20460. For program information contact: Office of Ground Water and Drinking Water, Joe

A. Jackson, Telephone: (202) 564-3817; Fax: (202) 564-3754; E-mail: jackson.joe-a@epa.gov. Immediate Office - Kimberley Davis, Telephone: (202) 564-4633; Fax: (202) 564-0348; E-mail: roy-davis.kimberley@epa.gov.

**Web Site Address:**

<http://www.epa.gov/safewater>.

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.716, Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies; 66.510, Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610, Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator.

**EXAMPLES OF FUNDED PROJECTS:**

Assisting states in effective implementation of SDWA requirements; assistance to states in ground water protection and conservation; developing utility planning tools; capacity development support; and source water protection through prevention.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

## 66.432 STATE PUBLIC WATER SYSTEM SUPERVISION

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Public Health Service Act, as amended; Safe Drinking Water Act of 1974, Public Law 93-523, as amended; Public Law 95-190; Public Law 96-16; Public Law 96-502; Safe Drinking Water Act Amendments of 1986; Safe Drinking Water Act Amendments of 1996, Public Law 104-182.

**OBJECTIVES:**

The objective of these grants is to provide financial assistance to eligible States and Tribes (those that have Primary Enforcement Responsibility for the Public Water System Supervision Program, or are developing such a program), for the conduct of their Public Water Systems Supervision (PWSS) Program. In cases where a State or a Tribe do not have, or are not developing, a Primary Enforcement Responsibility program, EPA is authorized to use funds that would have otherwise been made available to the State or the Tribe to assist it in direct implementation of the PWSS program. The fundamental goal of the PWSS Program, and the grants, is to ensure that water systems comply with the National Primary Drinking Water Regulations listed in 40 CFR 141 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr141\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr141_02.html)). States, territories, and Indian Tribes that receive PWSS grants are to use them to ensure that drinking water systems, of all types, and of all sizes: (1) that are currently in compliance with the drinking water regulations, remain in compliance, (2) that are not currently in compliance, achieve compliance, and (3) are preparing to comply with any new drinking water regulation that will be taking effect in FY 06. Funding Priority - Fiscal Year 2008: The priority for the PWSS grants is to ensure that the population served by community water systems will receive drinking water that meets all applicable health-based drinking water standards. The primary components of a State or Tribal PWSS program are: the adoption of State drinking water regulations as stringent as the Federal regulations; the development and maintenance of an inventory of public water systems throughout the State; the development and maintenance of a database housing compliance information on public water systems; the conduct of sanitary surveys on the public water systems; the review of public water system plans and specifications; the provision of technical assistance to system managers and operators; a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; the certification of laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and the conduct of an enforcement program to ensure that the public water systems comply with all of the requirements. Funding Priority - Fiscal Year 2009: The priority for the PWSS grants is to ensure that the population served by community water systems will receive drinking water that meets all applicable health-based drinking water standards. The primary components of a State or Tribal PWSS program are: the adoption of State drinking water regulations as stringent as the Federal regulations; the development and maintenance of an inventory of public water systems throughout the State; the development and maintenance of a database housing compliance information on public water systems; the conduct of sanitary surveys on the public water systems; the review of public water system plans and specifications; the provision of technical assistance to system managers and operators; a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; the certification of laboratories that are

allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and the conduct of an enforcement program to ensure that the public water systems comply with all of the requirements.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The funds are to be used to develop and implement a public water system supervision program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Eligibility is limited to the governments of the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have either assumed primary enforcement responsibility for the PWSS Program or that want to develop a program that will allow them to seek delegation for a PWSS Program. EPA may also use funds allotted for a State or Tribal program, if the State or Tribe does not have, or is not developing, primary enforcement responsibility. Eligibility is also limited to a single agency within each State, Territory, or Tribe - an agency that has been designated by the jurisdiction's Governor or Chief Executive Officer. Primary Enforcement Responsibility for the Public Water System Supervision Program is provided for in 40 CFR 142 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr142\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr142_02.html)).

**Beneficiary Eligibility:**

The beneficiaries are the agencies within the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have been designated by the jurisdiction's Governor or Chief Executive Officer as being responsible for the supervision of water supplies within the State, Territory, or Tribe.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Tribal Governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The grant application, including a Program Plan, must be submitted to the appropriate EPA Regional Administrator. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

The grant application and Program Plan are reviewed by the appropriate EPA Regional Office, and if approved, are signed by the Regional Administrator, who then awards the funds to the recipient.

**Deadlines:**

Applications must be submitted 60 days before the beginning of the agreed upon budget period.

**Range of Approval/Disapproval Time:**

Maximum of 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR Parts 30.63 or 40 CFR Part 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

State allotments are computed through use of a formula, as prescribed in Public Law 93-523 Section 1443 (a)(3) and (a)(4), 40 CFR 35.172. Funds appropriated each year are allotted on the basis of: (a) State, Territory, or Tribal population (20 percent) as contained in the most currently available (published) U.S. Census Bureau data; (b) State, Territory, or Tribal geographical area (10 percent) as contained in the most currently available (published) U.S. Census Bureau data; (c) the number of active community and non-transient non-community water systems being regulated by the State, Territory, or Tribe that are on record



in EPA's data system (56 percent); and (d) the number of active transient non-community water systems being regulated by the State, Territory, or Tribe that are on record in EPA's data system (14 percent). All States, the District of Columbia, and Puerto Rico are eligible for a minimum of \$334,500 (which is equal to 1 percent of the FY 1989 PWSS Program appropriation). The American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands are eligible for a minimum of \$111,500 (which is equal to 1/3 percent of the FY 1989 PWSS Program appropriation). Up to seven percent of the amount appropriated for the PWSS Program is set-aside to support Public Water System Supervision programs on Indian lands (including grants to Tribes) in accordance with EPA Grant Regulations. The formula factors of population and land area are statutory. The other factors, and all of the weightings, are Agency imposed. Federal assistance is limited to 75 percent of total, eligible program costs.

**Length and Time Phasing of Assistance:**

Annual grants. There is no restriction placed upon the time permitted to spend the award. Awards are released through letters of credit or reimbursement.

**Reports:**

Annual onsite evaluation, and final financial and progress reports, are required, as set forth in the grant agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$75,277,707; FY 08 est. \$97,554,000; and FY 09 est. \$97,595,000.

**Range and Average of Financial Assistance:**

\$123,000 to \$6,055,900/fiscal year; \$1,642,027/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

During FY 07 and FY 08, 30 States, one territory, and four Indian Tribe were awarded primacy or primacy development grants under the PWSS Program. Similar award statistics are anticipated for FY 08. The majority of the grant funds were used for State, territorial, or Tribal governmental salaries to allow the governments to: develop and maintain State drinking water regulations; develop and maintain an inventory of public water systems throughout the State; develop and maintain a database housing compliance information on public water systems; conduct sanitary surveys on the public water systems; review public water system plans and specifications to ensure systems meet State design standards; provide technical assistance and training to water system managers and operators to ensure they are knowledgeable of the State requirements and best treatment and operation practices; conduct a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; inspect and certify laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and conduct an enforcement program to ensure that the public water systems comply with all of the requirements. States, territories, and Tribes also use the grant funds to upgrade and maintain the data systems that are used to store and track information on public water systems. In FY 09, grants will continue to focus on supporting projects to achieve the objective of protecting human health by reducing exposure to contaminants in drinking water, including protecting source waters.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Assistance for Continuing Environmental Programs (40 CFR 35, Subpart A); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Renee Morris, Office of Ground Water and Drinking Water (4606M), Office of Water, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 564-8037; Fax: (202) 564-3755; E-mail: morris.renee@epa.gov; Alternate: Will Bowman, Office of Ground Water and Drinking Water (4604M), Office of Water, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 564-3782; Fax: (202) 564-3755; E-mail: bowman.will@epa.gov.

**Web Site Address:**

<http://www.epa.gov/safewater/pws/pwsgrant.html>.

**RELATED PROGRAMS:**

66.433, State Underground Water Source Protection; 66.468, Capitalization Grants for Drinking Water State Revolving Funds.

**EXAMPLES OF FUNDED PROJECTS:**

Funding has been awarded to each of the 49 States, five territories, and one Indian Tribe that has primary enforcement responsibility for the PWSS Program. The grants were used by these governments, primarily for governmental salaries to: develop State drinking water regulations, inventory drinking water systems, manage information on public water systems, ensure public participation regarding drinking water systems, provide technical assistance to public water systems, and enforce drinking water quality standards.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for the adoption and enforcement of drinking water regulations which are no less stringent than the national primary drinking regulations. (2) Designation of a State agency to receive the grant and be responsible for conducting the public water system supervision program. (3) Compliance with requirements of 40 CFR 30 and 40 CFR 35.

**66.433 STATE UNDERGROUND WATER SOURCE PROTECTION**

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Safe Drinking Water Act of 1974, Public Law 93-523, as amended; Public Law 96-63, Public Law 96-502, as amended; Safe Drinking Water Act Amendments of 1986, Public Law 99-339; Safe Drinking Water Act Amendments of 1996, Public Law 104-182, 42 U.S.C. 300.

**OBJECTIVES:**

To foster development and implementation of underground injection control (UIC) programs under the Safe Drinking Water Act (SDWA). The objective of the grant program is to provide financial assistance, to eligible States and Tribes, for the implementation of their UIC Program. The fundamental goal of the program, and the grants, is to ensure that underground sources of drinking water are protected from endangering injection activities. Funding Priority - Fiscal Year 2008: The program will fund the major components of State UIC programs which include: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection well activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Funding Priority - Fiscal Year 2009: The program will fund the major components of State UIC programs which include: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection well activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The funds are to be used to develop and implement an underground injection control program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States and Indian Tribes that qualify as Programs that have delegated primary Enforcement Authority pursuant to SDWA amendments of 1986.

**Beneficiary Eligibility:**

States and Indian Tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Applications are subject to State and area wide clearinghouses review pursuant to procedures in the proposed 40 CFR Part 19. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The grant application must be submitted to the appropriate EPA Regional Administrator. This program is excluded from coverage under OMB Circular

No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

State program plans should be submitted to the appropriate Regional Administrator by the deadline specified (typically June or July). Contact the regional office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program operates under a formula which uses criteria set forth in the SDWA, Section 1443(b)(4). Except for Indian Tribes, Federal assistance is limited to 75 percent of eligible costs, not to exceed the State allotment. The statistical factors used for allocation include: (1) population of State, based on the most recent Census Bureau data; (2) State land area, based on the most recent Census Bureau data; and (3) injection practices by State, based on data reported by States and maintained by EPA as of the most recent fiscal year prior to allocation development. For Indian Tribes, Federal assistance is limited to 90 percent of eligible costs.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award.

**Reports:**

Annual onsite evaluation (or, if travel funds do not permit, annual phone interview or self-assessment); final financial and progress report as set forth in the grant agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents which support entries on accounting records and substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report, or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$10,838,000; FY 08 \$10,727,000; and FY 09 est. \$10,676,000.

**Range and Average of Financial Assistance:**

\$34,000 to \$958,000/fiscal year; \$176,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. In FY 07 and FY 08, 43 States, Territories, and Tribes had primacy for 36 full and seven partial programs. The grant funds are used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for State Underground Water Source Protection Programs (40 CFR 35); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ann Codrington, Prevention Branch, Drinking Water Protection Division, Office of Ground Water and Drinking Water, Office of Water, (4606M) Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Telephone: (202) 564-4688; Fax: (202) 564-3756; E-mail: [codrington.ann@epa.gov](mailto:codrington.ann@epa.gov).

**Web Site Address:**

<http://www.epa.gov/OGWDW/Safewater/UIC.html>

**RELATED PROGRAMS:**

66.432, State Public Water System Supervision.

**EXAMPLES OF FUNDED PROJECTS:**

Grant funds are used by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, identification of aquifers, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for an enforceable underground injection control program; (2) compliance with requirements of 40 CFR 30 and 35, and Executive Order No. 12367 (Revised); (3) designation of a State agency to receive the grant and be responsible for coordinating the underground water source protection program; and (4) evidence that Federal grant funds will not supplant the State's nonfederal funding committed to underground water source protection efforts. For Indian Tribes: (1) demonstration of Tribal adequacy; and (2) demonstration of the tribe's intent, adequate legal authority, and resources to implement specific program elements outlined in 40 CFR 144, 145, 146, and 148.

**66.436 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS AND COOPERATIVE AGREEMENTS - SECTION 104(B)(3) OF THE CLEAN WATER ACT**

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), as amended; Public law 95-217, 33 U.S.C. 1251 et seq; National Environmental Policy Act (NEPA), Section 102(2)(F).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Funding Priority - Fiscal Year 2008: Funding priorities include, but are not limited to, water quality improvement, watersheds management, aquatic ecosystem restoration, pollutant trading, fish contamination and consumption, nonpoint source management, wetlands protection, coastal and estuarine management, treatment technologies, water efficiency, and environmental management systems. Funding Priority - Fiscal Year 2009: Funding priorities include, but are not limited to, water quality improvement, watersheds management, aquatic ecosystem restoration, pollutant trading, fish contamination and consumption, nonpoint source management, wetlands protection, coastal and estuarine management, treatment technologies, water efficiency, and environmental management systems.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; intertribal consortia; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program

Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies, and investigations based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines will be specified in the competitive announcement.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each

year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304; EPM and S&T.

**Obligations:**

FY 07 \$23,584,634; FY 08 \$1,178,402; and FY 09 est. \$15,000,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$3,552,460/fiscal year; \$1,781,230/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 07 and FY 08, EPA funded 194 projects that supported water quality improvement, watershed management, aquatic ecosystem restoration, fish contamination and consumption, nonpoint source management, wetlands protection, coastal and estuarine management, treatment technologies, and environmental management systems. In FY 09, EPA will continue support projects to protect and improve water quality on a watershed basis.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, investigations, demonstrations, and training grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460. For program information contact: Office of Wetlands, Oceans and Watersheds, Connie Cahanap, Telephone: (202) 566-1382; Fax: (202) 566-1147; E-mail: [cahanap.concepcion@epa.gov](mailto:cahanap.concepcion@epa.gov). Office of Groundwater and Drinking Water, Joe Jackson, Telephone: (202) 564-3817; Fax: (202) 564-3754; E-mail: [jackson.joe-a@epa.gov](mailto:jackson.joe-a@epa.gov); Office of Wastewater Management, Barry Benroth, Telephone: (202) 564-0672; Fax: (202) 501-2397; E-mail: [benroth.barry@epa.gov](mailto:benroth.barry@epa.gov). Office of Science and Technology, Agnes Ortiz, Telephone: (202) 566-1303; Fax: (202) 566-0441; E-mail: [ortiz.agnes@epa.gov](mailto:ortiz.agnes@epa.gov). Immediate Office, Kimberley Davis, Telephone: (202) 564-4633; Fax: (202) 564-0348; E-mail: [roy-davis.kimberley@epa.gov](mailto:roy-davis.kimberley@epa.gov) or Tracey Miller, Telephone: (202) 564-0783; Fax: (202) 564-0348; E-mail: [miller.tracey@epa.gov](mailto:miller.tracey@epa.gov).

**Web Site Address:**

[www.epa.gov/ow](http://www.epa.gov/ow).

**RELATED PROGRAMS:**

66.424, Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act.

**EXAMPLES OF FUNDED PROJECTS:**

Development of innovative watershed education tools, development of water quality standards, development of wetland protection and restoration guides for local communities, national demonstration project for watershed management, and environmental management systems.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

## 66.437 LONG ISLAND SOUND PROGRAM

**FEDERAL AGENCY:**



**AUTHORIZATION:**

Clean Water Act, Section 119(d).

**OBJECTIVES:**

To (1) implement the Long Island Sound Study (LISS) Comprehensive Conservation and Management Plan (CCMP) and (2) assist the states of Connecticut and New York, and other public or nonprofit entities in conducting research, experiments, investigations, training, demonstration, surveys, or studies related to reducing pollution and improving the quality of the environment to sustain living resources in Long Island Sound. Funding Priority - Fiscal Year 2008: EPA's funding priority is to award grants that support the Long Island Sound Study (LISS) National Estuary Program. Section 119(d) of the Clean Water Act as amended by the Long Island Sound Restoration Act of 2000, Public Law 106-457 authorizes the Administrator to award grants to eligible entities to implement the LISS Comprehensive Conservation and Management Plan (CCMP), with special emphasis on implementation, research and planning, enforcement, and citizen involvement and education projects. The LISS management conference, with participants from state, interstate and regional environmental agencies, local governments and other public or nonprofit private agencies, research institutions and individuals, develops programs to protect and restore Long Island Sound. The LISS program characterizes the problems in the estuary, determines relationships between pollutant loading and impacts on living resources, maintains a comprehensive plan recommending solutions to priority problems, and implements actions addressing priority problem areas. Activities in FY 08 will focus on six areas identified in the plan as requiring special attention, including: the impact of hypoxia on aquatic life, effects of toxic contamination, pathogen contamination and floatable debris pollution on the living resources and environment of the Sound, the impact of habitat degradation on the health of living resources, land use and development policies and their effect on the ecology, and scientific research in support of these areas as appropriate. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award grants that support the Long Island Sound Study (LISS) National Estuary Program. Section 119(d) of the Clean Water Act as amended by the Long Island Sound Restoration Act of 2000, Public Law 106-457 authorizes the Administrator to award grants to eligible entities to implement the LISS Comprehensive Conservation and Management Plan (CCMP), with special emphasis on implementation, research and planning, enforcement, and citizen involvement and education projects. The LISS management conference, with participants from state, interstate and regional environmental agencies, local governments and other public or nonprofit private agencies, research institutions and individuals, develops programs to protect and restore Long Island Sound. The LISS program characterizes the problems in the estuary, determines relationships between pollutant loading and impacts on living resources, maintains a comprehensive plan recommending solutions to priority problems, and implements actions addressing priority problem areas. Activities in FY 09 will focus on six areas identified in the plan as requiring special attention, including: the impact of hypoxia on aquatic life, effects of toxic contamination, pathogen contamination and floatable debris pollution on the living resources and environment of the Sound, the impact of habitat degradation on the health of living resources, land use and development policies and their effect on the ecology, and scientific research in support of these areas as appropriate.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to implement elements of the LISS CCMP. Special emphasis shall be given to CCMP implementation projects, research and planning, enforcement, and citizen involvement and education projects. The Administrator may give priority to a distressed community as defined in 33 USC 1269(e)(1). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and other public or nonprofit private agencies, institutions, and organizations are eligible. Private profit-making entities, and individuals, are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program generally benefits State, interstate, and regional water pollution control agencies and other public or nonprofit private agencies, institutions, and organizations. The general public and Long Island Sound user groups such as swimmers, beach goers, sport and commercial fishermen, boaters, and shellfishes, benefit from the results of the program through cleaner water, restored and protected habitat, and preserved and enhanced ecosystems.

**Credentials/Documentation:**

Nonprofit private agencies, institutions and organizations may be required to provide documentation of their organizational status upon application.

**Preapplication Coordination:**

The EPA Long Island Sound Office (LISO) issues annual guidance on the form and content of pre-proposals. All pre-proposals or work statements should be consistent with LISO's guidance. Consultation or technical assistance may be available upon request from the LISO to aid applicants in preparing their pre-proposal. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement or environmental impact assessment is not required for this program.

**Application Procedure:**

The LISS management conference annually releases a request for pre-proposals in the Fall through the LISO. Pre-proposals are due to the LISO generally by early January or as specified in guidance. The LISS management committee reviews pre-proposals in late January to identify areas of concern and to request additional information or clarification on proposals through the LISO. The LISO coordinates review of pre-proposals among the several LISS technical work groups and teams to ensure consistency with program goals and objectives as outlined in the CCMP and other priorities as directed by the management committee. If necessary, applicants are contacted by the LISO to provide the additional information or clarification. The LISO coordinates review of the revised proposals and develops funding recommendations for the management committee's consideration in April. The management committee makes final recommendations on funding pre-proposals at that time, or as otherwise specified. Applicants are advised of the status of their request by the LISO within 30 days of the management committee's final decisions. Successful applicants are required to submit formal grant applications using the standard federal grant application forms. The deadline for submitting applications may vary by EPA Region, but is generally July 1. Applications not received by the deadline are not further considered for funding. Unallocated funds are carried over or otherwise used to further the purposes of this program at the discretion of the management committee. Federal grant application forms may be obtained on the EPA website, <http://www.epa.gov/ogd/AppKit/index.htm> or requested from either the EPA Region I or II grants management office as follows: for Connecticut, EPA Region I, Grants Management Office, One Congress Street, Suite 1100, Boston, MA 02111; for New York, EPA Region II, Grants and Contracts Management Branch, 290 Broadway, New York, NY 10007-1866. The standard federal grant application forms as required by OMB Circular No. A-102 must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The completed grant application should be submitted to the appropriate EPA Regional grants management office, with a copy to the LISO to assist with processing.

**Award Procedure:**

Each federal assistance application and final work plan will be evaluated by the LISO to determine the adequacy of the application under LISS priorities and objectives, including technical merit and relevance of the project to the implementation of the CCMP and for consistency with the pre-application proposal. Each federal assistance award application will also be subject to an administrative review by the EPA Region I or II grants management office as appropriate. Funds are awarded by the EPA Region I or II Administrator as appropriate. Grantees will receive a final assistance award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the GMO as specified in the EPA award document. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline specified in the assistance award document may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Requests For Proposals (RFPs) may be announced for several different themes in support of Long Island Sound Study Program's goals at different times during the year. Contact the EPA LISO for specific annual application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on pre-proposals is provided approximately 120 days after deadline for pre-proposal submission. Final grantees are notified of approval approximately 90 days after the submission of the application for federal assistance.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula (33 U.S.C. 1269(d)(3)). Federal costs for citizen involvement and education grants shall not exceed 95 percent of the costs of such work; for all other grants and cooperative agreements, federal costs shall not exceed 50 percent of the research, studies, or work. EPA has determined that annual matching requirements for LISS grant awards shall be met in the aggregate for all funds awarded as specified in the approved annual work plan.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a one-year period corresponding to the federal fiscal year, October-September. Awards may be made for longer periods upon justification and with the approval of EPA. Awards may be made by advance or reimbursement at the discretion of EPA.

**Reports:**

Semi-annual and final progress reports; program evaluation and other reports (such as equipment and invention reports, MBE/WBE reports, Financial Status Report) as required by the specific terms of the assistance agreement. Financial Status Reports on the standard federal form must be submitted.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0103-0-1-304; EPM and STAG.

**Obligations:**

(Grants; Cooperative Agreements) FY 07 \$1,362,800; FY 08 \$4,122,000; and FY 09 est. \$467,000.

**Range and Average of Financial Assistance:**

\$20,000 to \$500,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

The Long Island Sound Office (LISO) holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the announcement issued. The announcement includes the number of anticipated awards. In FY 07, the program reduced point source nitrogen loadings to Long Island Sound from baseline level of 211,724 lbs/day to 153,932 lbs/day and reduced the areal extent of the hypoxic event in Long Island Sound from 20 year average of 203 square miles to 162 square miles; restored or protected 197 acres of coastal habitat; reopened 22 river miles to anadromous fish passage. FY 2008 accomplishments will not be available until October 2008. Three two-year competitive awards were made in FY 07 totaling \$400,000 and averaging \$66,666 per year. In FY 08 six awards were made totaling \$4,489,134 averaging \$748,189.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

LISS grants and cooperative agreements are subject to EPA's General Grant Regulations, 40 CFR Part 35, 40 CFR Part 30, or 40 CFR Part 31; annual EPA Office of Water National Estuaries Program guidance; the LISS CCMP, and Long Island Sound 2003 or successor Agreement.

**Regional or Local Office:**

USEPA Long Island Sound Office, Government Center, 888 Washington Boulevard, Suite 6-5, Stamford, Connecticut 06904; Telephone: (203) 977-1541; Fax: (203) 977-1546. Attention: Mark Tedesco. E-mail: [tedesco.mark@epa.gov](mailto:tedesco.mark@epa.gov).

**Headquarters Office:**

EPA Office of Water; Office of Wetlands, Oceans and Watersheds; Oceans and Coastal Protection Division; EPA West, 1301 Pennsylvania Avenue, N.W., Washington, DC 20004. Contact: Darrell Brown, Telephone: (202) 566-1256; Fax: (202) 566-1334; E-mail: [brown.darrell@epa.gov](mailto:brown.darrell@epa.gov).

**Web Site Address:**

<http://www.epa.gov/region01/eco/lis>.

**RELATED PROGRAMS:**

10.904, Watershed Protection and Flood Prevention; 10.906, Watershed Surveys and Planning; 10.914, Wildlife Habitat Incentive Program; 11.419, Coastal Zone Management Administration Awards; 11.420, Coastal Zone Management Estuarine Research Reserves; 15.608, Fish and Wildlife Management Assistance; 15.611, Wildlife Restoration; 15.614, Coastal Wetlands Planning, Protection and Restoration Act; 15.615, Cooperative Endangered Species Conservation Fund; 15.616, Clean Vessel Act; 15.630, Coastal Program; 66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning; 66.456, National Estuary Program; 66.460, Nonpoint Source Implementation Grants; 66.463, Water Quality Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

Grants and cooperative agreements awarded to states and local governments, colleges, universities, interstate agencies and nonprofit organizations are for nonpoint source implementation, scientific research, water quality monitoring and modeling, public education and outreach, living resources management, habitat restoration and program support. Examples are listed as follows: (1) Hypoxia: sustain and accelerate efforts to meet the LISS nutrient reduction goals in the nitrogen Total Maximum Daily Load to attain water quality conditions necessary to support the living resources of the Sound; (2) Habitat Restoration: restore and protect living resources, their habitats and ecological relationships; (3) Water Quality Monitoring: collect water quality samples at monitoring stations in Long Island Sound and interpret data on Long Island Sound and embayments. (4) Communication/Outreach: Provide communication, outreach and education components of the LISS partnership; (5) Modeling: develop, calibrate, and manage the application of linked airshed-watershed-estuarine hydrodynamic-water quality-living resources models to support the LISS for understanding the nutrient and sediment affects in the Long Island Sound estuary system and (6) Research: investigate causes and effects of eutrophication on water quality and living marine resources; study factors affecting abundance and distribution of submerged aquatic vegetation, food web dynamics, and tidal wetland loss.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.439 TARGETED WATERSHEDS GRANTS**

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Consolidated Appropriations 2005, Public Law 108-447; Dept. of Interior, Environmental and Related Agencies Appropriations Act, 2006, Public Law 109-54. Revised Continuing Appropriations Resolution 2007, H.J. Res. 20 Public Law 110-5.

**OBJECTIVES:**

To support innovative, community-based watershed approaches aimed at preventing, reducing, or eliminating water pollution. The Targeted Watersheds Grant Program provides resources in the form of grants or cooperative agreements to support watershed organizations in their efforts to expand and improve existing water protection measures. In separate competitive announcements funds are awarded to assist watershed partnerships comprised of State, Tribal, local, and interstate agencies, and public or nonprofit organizations in developing, implementing, and demonstrating: 1) on-the-ground projects to improve or maintain water quality; and 2) organizational and technical capacity building projects to prime organizations to be in a position to implement on-the-ground watershed projects. Funding Priority - Fiscal Year 2008: To build upon the existing activities of watershed organizations to support innovative, wide-reaching plans to restore, preserve, or protect the nation's waters. The cornerstone of the implementation portion of the program is diverse partnerships that are ready to implement projects to improve water quality and produce tangible, measurable, environmental results in a short time frame. Approximately \$4 million will be set aside to focus on trading projects in the Mississippi River Basin that will potentially reduce the size and duration of the hypoxic zone in the Northern Gulf of Mexico. Finally, approximately \$10 million will be set aside for the Western Estuaries Initiative that will support projects that conserve, restore and protect water quality, habitat and environment of western coastal waters, estuaries, surrounding basins, bays and near shore waters through comprehensive approaches to water quality management.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are used to support both on-the-ground and educational activities relating to the prevention, reduction, and elimination of water pollution. Funds are awarded to eligible entities that best meet the selection criteria described in the Request for Proposals. Successful candidates will have a thorough knowledge of their watershed, have a watershed management plan in place, propose a specific project to address identified problems or barriers to water quality, demonstrate broad-based support from a number of public and private entities, and have a

demonstrated record of managing watershed project(s). Eligible activities should be able to show tangible outputs and outcomes within a relatively short time period of two to five years. For implementation grants, candidates must also have a specific water quality monitoring and evaluation plan demonstrating measurable environmental outputs and outcomes, and a strong peer and/or public outreach and education component. EPA has chosen to declare certain projects or activities ineligible for funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and Phase II Stormwater projects will not be funded. Activities implementing the non-regulatory component of TMDLs (e.g., the elements of a watershed plan that address non-point source pollution), however, are eligible. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States, local governments, public and private nonprofit institutions/organizations, federally recognized Indian tribal governments, U.S. territories or possessions, and interstate agencies are eligible. For-profit commercial entities and all federal agencies are ineligible. Nonprofit organizations described in Section 501 (c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants will be required to submit a formal grant application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Prospective grantees may contact the EPA Regional or Headquarters Office for information and to confirm deadlines. Information on deadlines may also be found at <http://www.epa.gov/twg>.

**Range of Approval/Disapproval Time:**

Regional or Headquarters review will typically be completed within approximately 120 - 150 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Applicants are required to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match

requirements (40 CFR 31.24 or 40 CFR 30.23). Tribes and tribal watershed groups may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose undue economic hardship.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award.

**Reports:**

Progress report requirements will be a part of each assistance agreement. Headquarters issued agreements will normally require quarterly and annual reports. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included, as will any specific requirements included in the assistance agreement. Regionally issued agreements will have reporting requirements specific to each region.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$4,000,000; FY 08 \$10,000,000; and FY 09 est. \$0; National Targeted Watersheds Grants Program: FY 08 est. \$0; Water Quality Trading: FY 07 est. \$4,000,000; Western Estuaries Initiative: FY 08 est. \$10,000,000.

**Range and Average of Financial Assistance:**

Water Quality Trading: \$100,000 to \$200,000/fiscal year; \$130,000 (Priority I); \$400,000 to \$1,000,000/fiscal year; \$600,000 (Priority II); Western Estuaries Initiative: \$250,000 to \$625,000/fiscal year; \$437,500/fiscal year (Region 10); \$500,000 to \$1,000,000/fiscal year; \$750,000/fiscal year (Region 9).

**PROGRAM ACCOMPLISHMENTS:**

The Targeted Watersheds Grant program builds on the successes of existing partnerships that are ready to implement actions to protect critical watersheds. In FY 06 and FY 07, EPA received over 130 nominations nation-wide for proposals (i.e., those outside the Chesapeake Bay watershed), and selected 15 watershed organizations and/or coalitions to make on-the-ground improvements to water quality. In its first four years, a total of 62 grants for restoration or protection activities and 11 cooperative agreements for capacity building activities have been awarded. In the next few years, EPA will see environmental results such as the return of native fish species, clearer lakes, and increased recreational opportunities. In FY 08, EPA is issuing a competitive announcement for trading projects located within the six Mississippi River Sub-basins to support market-based water quality programs that will potentially reduce the size and duration of the hypoxic zone in the Northern Gulf of Mexico. In FY 08, EPA is issuing competitive announcements for watershed projects as part of the Western Estuaries Initiative to support projects that conserve, restore and protect the water quality, habitat and environment of coastal waters, estuaries, surrounding basins, bays and near shore waters through comprehensive approaches to water quality management.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Regional or Local Office:**

Contact the appropriate EPA Regional Office listed below. Region I: Connecticut, Maine, Massachusetts, Rhode Island, Vermont, New Hampshire; Contact: Rob Adler or Gerry Potamis, Telephones: (617) 918-1396 and (617) 918-1651; E-mails: [adler.robert@epa.gov](mailto:adler.robert@epa.gov) and [potamis.gerald@epa.gov](mailto:potamis.gerald@epa.gov)



respectively. Region II: New Jersey, New York, Puerto Rico, U.S. Virgin Islands; Contact: Cyndy Kopitsky, Telephone: (212) 637-3844; E-mail: kopitsky.cyndy@epa.gov. Region III: Delaware, Maryland, Pennsylvania, Virginia, West Virginia, Washington, DC; Contact: Ralph Spagnolo, Telephone: (215) 814-2718; E-mail: spagnolo.ralph@epa.gov. Region IV: Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Kentucky, Tennessee; Contact: William L. Cox, Telephone: (404) 562-9351; E-mail: cox.williaml@epa.gov. Region V: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin; Contact: Paul Thomas, telephone (312) 886-7742; E-mail: thomas.paul@epa.gov. Region VI: Louisiana, Texas, Oklahoma, Arkansas, New Mexico; Contact: Brad Lamb, Telephone: (214) 665-6683; E-mail lamb.brad@epa.gov. Region VII: Iowa, Kansas, Missouri, Nebraska; Contact: Jaci Ferguson, Telephone: (417) 575-8028; E-mail: ferguson.jaci@epa.gov. Region VIII: Colorado, Montana, North Dakota, South Dakota, Utah; Contact: Eric Steinhaus, Telephone: (303) 312-6837, E-mail: steinhaus.eric@epa.gov. Region IX: Arizona, California, Hawaii, Nevada, American Samoa, Mariana Islands, Guam; Contact: Sam Ziegler, Telephone: (415)972-3399; E-mail: ziegler.sam@epa.gov. Region X: Alaska, Idaho, Oregon, Washington; Contact: Bevin Reid, Telephone (206) 553-1566; E-mail: reid.bevin@epa.gov.

**Headquarters Office:**

Erin Collard, Office of Wetlands, Oceans, and Watersheds, EPA, Room 7136G, EPA West, 1200 Pennsylvania Avenue N.W., Washington DC, 20460. Telephone: (202) 566-2655. Fax: (202) 566-1326. E-mail: Collard.Erin@epa.gov.

**Web Site Address:**

<http://www.epa.gov/twg>.

**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning.

**EXAMPLES OF FUNDED PROJECTS:**

Grants and cooperative agreements have been awarded to watershed organizations for watershed restoration and protection projects, such as implementing agricultural best practices, conducting streambank restoration, establishing pollutant credits, and demonstrating innovative nutrient management schemes. All proposals that have been funded are available at <http://www.epa.gov/twg>.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.454 WATER QUALITY MANAGEMENT PLANNING

(205(j)(2))

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Sections 205(j) and 604(b), as amended, Public Law 97-117; Water Quality Act of 1987, Public Law 100-4.

**OBJECTIVES:**

To assist States (including territories and the District of Columbia), Regional Public Comprehensive Planning Organizations (RPCPOs), and Interstate Organizations (IOs) in carrying out water quality management (WQM) planning. Funding Priority - Fiscal Year 2008: Funds were allotted by State in accordance with Section 604(b) of the Clean Water Act. Grant funds are used to determine the nature and extent of point and nonpoint source pollution and to develop management plans to solve them. States are encouraged to give priority to watershed restoration planning. EPA is requesting States to emphasize a watershed approach in developing their State workplans. This will complement the Agency's overall watershed effort as stated in the Agency's Strategic Plan. Funding Priority - Fiscal Year 2009: Funds are allotted by State in accordance with Section 604(b) of the Clean Water Act. Grant funds are used to determine the nature and extent of point and non-point source pollution and to develop water quality management plans to solve them. States are encouraged to give priority to watershed restoration planning. EPA is requesting States to emphasize a watershed approach in EPA is requesting States to emphasize a watershed approach in developing their State workplans. This will complement the Agency's overall watershed effort as stated in the Agency's Strategic Plan.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Section 604(b) funds are awarded under Section 205(j)(2) to State water quality management agencies to carry out WQM planning. Pursuant to Section 205(j)(3) of the CWA, as amended, States are required to allocate at least 40 percent of funds awarded under 205(j)(2) to eligible RPCPOs and IOs. EPA may approve a State's request to pass through less than 40 percent if, after consultation with its RPCPOs and IOs, the Governor determines that pass through of at least 40 percent will not: (1) result in significant participation by RPCPOs and IOs in WQM planning; and (2) significantly assist in development and implementation of the state's WQM plan. Assistance agreement awards under this program may

involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State Water Quality Management Agencies.

**Beneficiary Eligibility:**

State Water Quality Management Agencies.

**Credentials/Documentation:**

Compliance with 40 CFR 31. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Neither environmental impact statements nor environmental impact assessments are required for activities funded under Section 205(j) and 604(b) since these funds are used for water quality planning and not implementation.

**Application Procedure:**

The grant application must be submitted to the appropriate EPA Regional Administrator's Office. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Grant application forms must be submitted according to dates established by the Regional Administrators. Contact the appropriate EPA Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Each fiscal year, the Administrator shall reserve under Section 604(b) of the CWA for each State an amount not to exceed one percent of the amount allotted and available for obligation for construction grants or \$100,000, whichever is greater, for the purposes of making grants to the States to carry out water quality management planning. Under Section 205(j)(3), at least 40 percent of a State's annual award under 205(j)(2) must be allocated to eligible RPCPOs and IOs, unless EPA approves a lesser amount. The program has no matching requirements.

**Length and Time Phasing of Assistance:**

As determined in accordance with Section 604 (c)(1) of the Clean Water Act (CWA). Sums allotted to a State under this section for a fiscal year shall be available for obligation by the State during the fiscal year for which sums are authorized and during the following fiscal year.

**Reports:**

Annual expenditure reports are required.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records kept for 3

years from date of submission of the annual financial status report. If questions remain, records retained until matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 11,080,000; FY 08 \$8,607,444; and FY 09 est. \$7,665,955.

**Range and Average of Financial Assistance:**

\$100,000 to \$1,500,000/fiscal year; \$800,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Section 604(b) funding provides the financial source for States and territories to pursue water quality planning under Section 205(j) of the Clean Water Act. Accomplishes under this funding program are not quantifiable, but, are used to provide a planned framework for watershed restoration and other water-related implementation activities. In FY 08, 57 State and territorial grants were awarded to support water quality planning activities. Outputs included consistency reviews of NPDES Permits, development of Watershed Management plans, river planning projects and Total Maximum Daily Loads (TMDL) plans. Similar types of planning activities are anticipated for FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA General Grant Regulations and Procedures, 40 CFR Part 31 and 40 CFR Part 35, Subpart A.

**Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Don Kunkoski, Assessment and Watershed Protection Division (4503T), Office of Water, EPA, 1200 Pennsylvania Avenue, NW., Washington, DC 20460. Telephone: (301) 694-7329; Fax: (202) 566-1545; E-mail: kunkoski.don@epa.gov.

**Web Site Address:**

<http://www.epa.gov/ow/owow.htm>.

**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support.

**EXAMPLES OF FUNDED PROJECTS:**

Grants are allocated to States for pesticide/ toxic control studies, watershed management plans, basin groundwater management quality standards, urban stormwater management plans, mine water quality management studies, and the development of waste load allocations/total maximum daily loads. Regional Comprehensive Planning Organizations (RCPOs) conduct consistency reviews of NPDES Permits, facility plans, and construction operating permits.

**CRITERIA FOR SELECTING PROPOSALS:**

Funds are awarded to State agencies in accordance with Section 205(j) of the Clean Water Act and EPA program guidance.

## 66.456 NATIONAL ESTUARY PROGRAM

(NEP)

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Title III, Section 320, as amended, Public Law 94-117 and Public Law 106-457, 33 U.S.C. 466 et seq.

**OBJECTIVES:**

The National Estuary Program (NEP) objective is to protect and restore estuaries and estuarine watersheds designated by the EPA Administrator as estuaries of national significance. Each NEP characterizes the priority problems in its estuary and surrounding watershed, develops a Comprehensive Conservation and Management Plan listing and describing actions to address those problems, identifies lead entities to carry out each action, and implements the actions.

Actions include: restoration of habitat, direct support for TMDL plan implementation, reducing stormwater and other non-point source impacts, and implementing nutrient reduction strategies. Funding Priority - Fiscal Year 2008: EPA's funding priority is to award assistance agreements that support the 28 National Estuary Programs' implementation of their Comprehensive Conservation and Management Plans (CCMPs) to protect and restore estuarine resources. EPA will provide focused support for priority problems identified by NEP management conferences, including problems of nutrient over-enrichment and hypoxic conditions; habitat loss/degradation; stormwater, climate change, toxics, pathogens, and aquatic invasive species impacts; and the need for increased sustainable and green infrastructure best management practices. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award assistance agreements that support the 28 National Estuary Programs' implementation of their Comprehensive Conservation and Management Plans (CCMPs) to protect and restore estuarine resources. EPA will provide focused support for priority problems identified by NEP management conferences, including problems of nutrient over-enrichment and hypoxic conditions; habitat loss/degradation; stormwater, climate change, and aquatic invasive species impacts; toxics and pathogen impacts; need for outreach and education about priority problems facing the 28 estuaries and their associated watersheds; and the need for increased sustainable and green infrastructure best management

practices.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Section 320 authorizes issuance of assistance agreements used to meet Section 320 requirements to develop and implement CCMPs. Annual workplans, which address priority actions in the CCMPs, lay out projects to be undertaken during the fiscal year. They are developed and approved by each management conference. Twenty-eight estuaries have been designated as estuaries of national significance, including: Long Island Sound, Puget Sound, Buzzards Bay, Narragansett Bay, New York-New Jersey Harbor, Delaware Bay, Delaware Inland Bays, Sarasota Bay, Galveston Bay, Santa Monica Bay, Albemarle-Pamlico Sounds, San Francisco Estuary, Casco Bay, Massachusetts Bays, Indian River Lagoon, Tampa Bay, Peconic Bay, San Juan Bay, Coastal Bend Bays, Tillamook Bay, the Barataria-Terrebonne Estuarine Complex, New Hampshire Estuaries, Barnegat Bay, Maryland Coastal Bays, Charlotte Harbor, Mobile Bay, Morro Bay, and Columbia River Estuary. NEPs carry out such tasks as: (1) identifying research needs and conducting research as needed to obtain new data to address priority problems; (2) monitoring estuarine conditions to detect changes in water quality; and (3) promoting public input into NEP decision-making and management processes. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance agreements are issued only to those estuaries designated by the Administrator. The Administrator is authorized to make grants to State, interstate, and regional water pollution control agencies and entities; State coastal zone management agencies; interstate agencies; and other public and private nonprofit agencies, institutions, organizations, and individuals (Section 320(g)(1)). Profit making organizations are not eligible for grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

Preapplication assistance may be obtained from the appropriate EPA Regional Office. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. All work plans should be developed in response to the priority tasks identified in the management conference annual work plan. Work plans should also be developed in response to negotiated schedules for commitments to meet the purpose of a management conference outlined in the Act for the estuary. Each work plan will be considered by the appropriate management conference and the EPA Regional program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The completed application, including the final proposal approved by the estuary management committee, should be submitted to the appropriate Regional program office for processing. This program is subject to the provisions of OMB circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application is reviewed by EPA Regional Offices to determine the adequacy of the application under grant regulations and National Estuary Program objectives, including technical merit and relevance of the project. Awards are issued by the EPA Regional Offices after approval by the appropriate Division Director. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the



terms, conditions, and criteria as stated in the announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Complete applications must reach the appropriate Regional program office no later than June 1 to be considered for fiscal year funding. Earlier schedules may be established by estuary program management or organizations. Such information is available from the Regional program office contact listed in Appendix IV of the Catalog.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of the individual estuary management organization. Contact the appropriate EPA Regional office for guidance.

**Formula and Matching Requirements:**

This program has no statutory formula. Public Law 106-457, which amended Section 320(g) of the Water Quality Act of 1987, limits the amount of grants to 75 percent of the aggregate CCMP development project costs for each estuary program and to 50 percent of the aggregate CCMP implementation project costs for each estuary program, and requires that the nonfederal share be provided from nonfederal sources. The nonfederal share can be contributed by any of the participants in the management conference. Contact the appropriate management conference program office or EPA Regional Office for more information.

**Length and Time Phasing of Assistance:**

Assistance agreements are typically funded on a 12-month basis (yearly). Project period may cover up to 36 months, with continuations possible for certain types of projects. Payments will be on a letter of credit or advance basis.

**Reports:**

Quarterly interim and final progress and expenditure reports; program evaluations; and other reports as required by the specific terms of the Agreement. Financial Status Reports must be submitted for each project at the end of each fiscal year.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; EPM.

**Obligations:**

FY 07 \$12,257,200; FY 08 \$16,162,000; and FY 09 est. \$7,222,000.

**Range and Average of Financial Assistance:**

For FY 07, each of the 28 NEPs received base funding in the amount of \$418,000; For FY08, each of the NEPs received base funding in the amount of \$591,750.

**PROGRAM ACCOMPLISHMENTS:**

Maintaining high-quality habitat is one way of ensuring the health of the nation's estuaries. Since 2000, the NEPs and their partners have protected and restored over 1,100,000 acres of habitat within the 28 NEP estuarine watersheds. The acreage protected and restored by the NEPs and their partners enhances the 28 NEP estuaries' capacity to support healthy populations of wildlife and marine organisms, including many commercially-valuable fisheries. That acreage also enhances the 28 estuarine watersheds' capacity to support the economic, environmental, and aesthetic functions on which coastal populations depend for their livelihood. In FY 07, the NEPs and their partners protected and restored over 102,000 acres of estuarine habitat within their estuarine watersheds. In FY 08, grants will continue to support CCMP implementation, providing support for NEP efforts targeting priority problems like nutrient over-enrichment; stormwater, climate change and aquatic invasive species impacts; habitat

loss/degradation; and need for sustainable and green infrastructure.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR 30 and 40 CFR 31). Federal Register, Vol. 59, 61124, November 29, 1994, Technical Amendment Financial Assistance Requirements for the National Estuary Program (40 CFR Part 35). Saving Bays and Estuaries, a Primer for Establishing and Managing Estuary Projects, EPA/503/8-89-001, is available from the Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds (4504T) EPA, 1200 Pennsylvania Ave., NW., Washington, DC 20460. Forms and instructions for filing are included in an application kit available from the Grants and Interagency Agreements Management Division(3903R), Office of Grants and Debarment, EPA, 1200 Pennsylvania Ave., N.W., Washington, DC. 20460.

**Regional or Local Office:**

Office of Ecosystem Protection, EPA, Region I, 1 Congress Street, Boston, MA 02114-2023; Telephone: (617) 918-1511. Division of Environmental Planning and Protection, EPA, Region II, 290 Broadway, New York, NY 10007-1866; Telephone: (212) 637-3724. Water Protection Division, EPA, Region III, 1650 Arch Street, Philadelphia, PA 191103-2029; Telephone: (215) 814-2989. Water Management Division, EPA, Region IV, 61 Forsyth St., S.W., Atlanta, GA 30303; Telephone: 404) 562-9345. Water Quality Protection Division, EPA, Region VI, 1445 Ross Ave., Dallas, TX 75202-2733; Telephone: (214) 665-7101. Water Division, EPA, Region IX, 75 Hawthorne Street, San Francisco, CA 94105; Telephone: (415) 744-1860. Office of Ecosystems, Tribal, and Public Affairs; and Office of Water and Watersheds, EPA Region X, 1200 Sixth Ave., Seattle, WA 98101; Telephone: (206) 553-4181.

**Headquarters Office:**

Darrell Brown, Chief, Coastal Management Branch, Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds (4504T), EPA, Washington, DC 20460. Telephone: (202) 566-1256; Fax: (202) 566-1336; E-mail: brown.darrell@epa.gov.

**Web Site Address:**

<http://www.epa.gov/owow/estuaries/>.

**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning; 66.458, Capitalization Grants for Clean Water State Revolving Funds; 66.461, Regional Wetland Program Development Grants; 66.463, Water Quality Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

Assistance agreements awarded to States, interstate agencies, academic institutions and other nonprofit organizations to: (1) conduct water quality monitoring and assessment, (2) protect and restore habitat, (3) develop and implement climate change adaptation strategies, (4)conduct applied research on problems like habitat loss and seasonal algal blooms,(5) implement public education and outreach programs, (6) revise CCMPs to reflect new priorities, (7)develop annual action plans, design and maintain CCMP implementation tracking and reporting systems, and (8)evaluate and report on CCMP implementation progress and environmental results.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the announcement of the competitive funding opportunity. Grants are awarded to the NEPs that satisfy the requirements outlined in the application procedure section.

**66.458 CAPITALIZATION GRANTS FOR CLEAN WATER STATE REVOLVING FUNDS**

(CW State Revolving Fund)

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act (CWA), as amended, Public Law 95-217; Water Quality Act of 1987, Sections 601 through 607, 205(m), Public Law 100-4.

**OBJECTIVES:**

To create State Revolving Funds (SRFs) through a program of capitalization grants to States which will provide a long term source of State financing for construction of wastewater treatment facilities and implementation of other water quality management activities (see CFDA 66.418). Funding Priority - Fiscal Year 2008: Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary comprehensive conservation and management plan under Section 320. The capitalization grant is deposited in the State's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Up to 4 percent of the grant amounts may be used by the States for the cost of administering the SRF. States determine priorities for funding within their State in accordance with the CWA. The program supports the Agency's strategic goal of ensuring Clean and



Safe Water. Funding Priority - Fiscal Year 2009: Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary comprehensive conservation and management plan under Section 320. The capitalization grant is deposited in the State's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Up to 4 percent of the grant amounts may be used by the States for the cost of administering the SRF. States determine priorities for funding within their State in accordance with the CWA. The program supports the Agency's strategic goal of ensuring Clean and Safe Water.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary conservation and management plan under Section 320. The capitalization grant is deposited in the state's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Assistance may be provided to persons for implementing nonpoint source and estuary management activities provided for in State Plans developed under Sections 319 and 320. Up to 4 percent of the grant amounts may be used by the states for the cost of administering the SRF. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States and Puerto Rico are eligible to receive capitalization grants under Title VI. The District of Columbia, territories, possessions of the U.S., and Indian tribes are eligible to receive grants from Title VI for the construction of municipal wastewater facilities. (see CFDA 66.418)

**Beneficiary Eligibility:**

For loans and other financial assistance (but not grants) for wastewater treatment facilities: local communities, intermunicipal, State, interstate agencies, and Indian tribes. For nonpoint source management programs and estuary activities in approved State Nonpoint Source Management Programs and Comprehensive Conservation and Management Plans: the public agencies listed above, individuals, and programs.

**Credentials/Documentation:**

To receive a capitalization grant, a State shall enter into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the 10 specifications set forth in Section 602(b) of the CWA. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments" applies to State grantees.

**Preapplication Coordination:**

An applicant (State) should seek preapplication assistance from the appropriate EPA Regional Office. The State is required to prepare and provide for public comment a plan identifying the intended uses of the funds in the SRF (an intended use plan) and how those uses support the goals of the SRF. The plan is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent state assistance for wastewater facilities. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**

The standard application for EPA non-construction grant assistance (SF424-A and B) is submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The State must certify in its application that it has the legal, managerial, technical, and operational capabilities to administer the SRF program competently and that it will comply with Federal anti-discrimination laws and other applicable Federal statutes. Regulation 40 CFR Part 31 applies to the State. Establishment of the SRF is a prerequisite for a grant award.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office and, if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA.

**Deadlines:**

Applications should be submitted to the appropriate Regional Office no later than July 3 of the year following the year of appropriation to allow sufficient time for review and processing prior to the September 30 reallocation deadline.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For those portions of the State program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed or an operating agreement approved by the region.

**Formula and Matching Requirements:**

The Regional Administrator may award capitalization grants from funds appropriated for this purpose. Allotments to the States are determined by a table of decimal fractions ("formula") in Section 205(c)(3) of the CWA. The required State match is 20 percent of the amount of each Federal grant payment.

**Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. The State must agree to enter into binding commitments with recipients to provide financial assistance from the SRF in an amount equal to 120 percent of each quarterly grant payment. The State is also required to agree to expend all funds in the SRF in an expeditious and timely manner.

**Reports:**

Beginning the first fiscal year after receiving payments, the State shall provide an annual report to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the fiscal year in which the payments were received). The annual report shall describe how the State has met the goals and objectives for the preceding fiscal year, as identified in its intended use plan, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the SRF.

**Audits:**

A State must, at a minimum, comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. State-conducted audits may be performed in conjunction with the Single Audit Act. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As part of the annual review conducted by the agency to assess the State's performance against activities identified in the intended use plan and annual report, and to determine compliance with the terms of the capitalization grant agreement, the State or loan recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the CWA.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$1,017,073,535; FY 08 est. \$689,070,000; and FY 09 est. \$555,000,000.

**Range and Average of Financial Assistance:**

\$6,500,000 to \$147,000,000/fiscal year; \$26,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Each year, 51 grants are awarded to states and Puerto Rico. The program funds an estimated 10 to 20 percent of the nation's annual wastewater capital projects. The program has provided over \$63 billion in cumulative assistance since 1988. Assistance has included funding to prevent polluted runoff, upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment to reduce pollutant loads, and improve water quality on a watershed basis. In FY 07, the program provided \$5.3 billion in assistance. This included \$2.0 billion for secondary treatment to reduce pollutant loads, \$889 million to upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment, and \$243 million to prevent polluted runoff. Similar types of activities are anticipated for FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program guidance was issued January 28, 1988. A State Revolving Fund Management Manual was distributed in November, 1988. Regulations include 40 CFR Part 31 and SRF regulations 40 CFR Part 35, Subpart K which were issued in March 1990.

**Regional or Local Office:**

EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Sheila Platt, State Revolving Fund Branch, Municipal Support Division,

(4204M), Office of Wastewater Management, Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 564-0686; Fax: (202) 501-2403; E-mail: [platt.sheila@epa.gov](mailto:platt.sheila@epa.gov).

**Web Site Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

State revolving loan fund; wastewater projects involving advanced treatment, secondary treatment, infiltration/inflow correction, replacement/upgrade of pipe and equipment and expansion of existing wastewater treatment plants; nonpoint source and estuary protection projects (for example, septic system rehabilitation, leaking underground storage tank removal, contaminated soil removal, agricultural BMPs, conservation easements, wetlands protection/rehabilitation, and prevention of agricultural runoff).

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

## 66.460 NONPOINT SOURCE IMPLEMENTATION GRANTS

(319 Program)

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Title III, Section 319(h).

**OBJECTIVES:**

To assist States, the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands (hereinafter referred to as States), and qualified Indian Tribes and intertribal consortia in implementing EPA-approved Section 319 nonpoint source management programs. Funding Priority - Fiscal Year 2008: EPA's funding priority is to award grants that promote the development and implementation of watershed-based plans, focusing on watersheds with water quality impairments caused by nonpoint sources, which result in improved water quality in impaired waters. These watershed plans are a mechanism to coordinate monitoring and planning on a watershed basis and will build a foundation for effective implementation actions using federal and other funding. Nonpoint Source implementation projects include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, a variety of other structural and non-structural practices, watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award grants that promote the development and implementation of watershed-based plans, focusing on watersheds with water quality impairments caused by nonpoint sources, which result in improved water quality in impaired waters. These watershed plans are a mechanism to coordinate monitoring and planning on a watershed basis and will build a foundation for effective implementation actions using federal and other funding. Nonpoint Source implementation projects include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, a variety of other structural and non-structural practices, watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are provided to eligible applicants to carry out nonpoint source projects and programs pursuant to Section 319 of the Clean Water Act as amended by the Water Quality Act of 1987. Requirements under Section 319(h) include: nonfederal matching funds of at least 40 percent of project cost (match is an overall grant requirement in a few cases, the match requirement for an individual project may be waived. In-kind services may be used as match); maintenance of effort; grants may be used for financial assistance to individual persons in the case of demonstration projects only; annual reporting; and EPA determinations of adequate recipient progress before additional funding. Currently applicable EPA guidelines issued on October 23, 2003, identify the basic process and restrictions for funding. These guidelines are available on the Web at: <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States and qualified Indian Tribes and intertribal consortia. Grants to States are awarded by formula. The State allotment is awarded to a single agency in each State designated by the chief executive as the lead nonpoint source agency. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with its work program, which is approved by EPA. Eligible Tribes are allocated a base allotment by formula; the remaining Tribal portion of the

319(h) appropriation is competed among qualified Indian Tribes and intertribal consortia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments; interstate and intrastate agencies; federally recognized Indian tribal governments; intertribal consortia; the following U.S. territory or possessions: the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands; public and private nonprofit organizations and institutions. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with a work program which is approved by EPA.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments" apply.

**Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office, listed in Appendix IV of the Catalog, is recommended. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant application by States must be submitted to the appropriate EPA Regional Office (refer to Appendix IV of the Catalog for a list of Regional Offices). Grant applications by subgrantees within a State (after EPA has made a grant award to the State) must be submitted to the State agency that administers Section 319 grants. The list of State nonpoint source contacts for subgrantees is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications must be submitted by the State to the appropriate EPA Regional Office to determine the overall adequacy of the application to meet the statutory objectives. Funds are awarded to States by formula. Award procedure by States to subgrantees varies by State. The list of State nonpoint source contacts is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Eligible Tribes get a base grant; Tribes compete for the rest of the Tribal portion of the total 319(h) appropriation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

State grant applications must be submitted according to the dates established by the EPA Regional Offices. Consult the appropriate EPA Regional Office for details. Subgrantee deadlines for applications to state agencies varies by state.

**Range of Approval/Disapproval Time:**

EPA generally awards grants to States within 60 days after the application is submitted.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Nonfederal match of at least 40 percent of project or program costs is required except for grants to Indian Tribes, where following demonstration of financial hardship, the nonfederal match may be reduced to as low as 10 percent of project or program costs. States must also meet maintenance of effort requirements contained in statute. EPA awards grants to all eligible States and Tribes which apply for funding based on an allocation formula that the Agency developed. The allocation formula is described in current operational grant guidelines published in a Federal Register notice (68 FR 75776) issued on October 23, 2003. The guidelines can be found at

<http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>.

**Length and Time Phasing of Assistance:**

As determined in accordance with Section 319 (h).

**Reports:**

Annual expenditure reports are requested. Progress reports are generally required at least semi-annually.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be kept for three years from date of submission of the annual financial status report. If questions remain, records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$199,300,000; FY 08 \$200,857,000; and FY 09 est. \$184,540,000.

**Range and Average of Financial Assistance:**

States/Territories: \$521,100 to 10,302,300 (FY 08); \$3,443,900 (FY 08). Indian Tribes: base grants \$30,000 to 50,000; competitive grants up to \$150,000 (FY 08). Ranges vary year-to-year based on size of appropriation (and also varies depending on number of applicants for grants to Indian Tribes or intertribal consortia).

**PROGRAM ACCOMPLISHMENTS:**

Grants have been awarded annually to all States and selected Tribes. Grant funds were used by States and Tribes to implement portions of their NPS management programs. In FY 07 and FY 08, 56 grant awards were made to States and Territories. Additional information regarding selected projects is available in Section 319 Success Stories, available online at <http://www.epa.gov/owow/nps/Success319/>. An estimate of load reductions resulting from CWA Section 319(h) funded projects from the time period February 2007 - February 2008 is as follows: nitrogen: 19,079,455 pounds; phosphorus: 7,482,668 pounds; sediment: 3,949,938 tons. These load reduction totals are mostly from FY 07 grant funded projects. Data for FY 08 funded projects is not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Current operational grant guidelines are Nonpoint Source Program and Grants Guidelines for States and Territories (Oct. 23, 2003). The guidelines can be found at <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>.

**Regional or Local Office:**

Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog. A list of specific EPA Regional nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/contacts.html>. The list of specific EPA Tribal nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/tribal>.

**Headquarters Office:**

Andrea Matzke, Nonpoint Source Control Branch, Assessment and Watershed Protection Division, Office of Wetlands, Oceans and Watersheds, (4503T), EPA, Ariel Rios Building, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Telephone: (202) 566-1150; Fax: (202) 566-1545; E-mail: [matzke.andrea@epa.gov](mailto:matzke.andrea@epa.gov).

**Web Site Address:**

<http://www.epa.gov/owow/nps>.

**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support.

**EXAMPLES OF FUNDED PROJECTS:**

Nonpoint Source implementation projects funded include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, urban runoff, and a variety of other structural and non-structural practices; watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Funds are awarded to States in accordance with Section 319 (h). For selection processes within individual States, contact the appropriate State NPS coordinators. A list of these coordinators is available at: <http://www.epa.gov/owow/nps/contacts.html>.

## 66.461 REGIONAL WETLAND PROGRAM DEVELOPMENT GRANTS

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), as amended, Public Law 92-500, 33 U.S.C. 1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs. Funding Priority - Fiscal Year 2008: Under the Regional Wetland Program Development Grant (WPDG) Competition, EPA has identified the following two national program priority areas for improving State/Tribe/local governments (S/T/LGs) ability to protect and restore their wetlands: (1) Regulation (Enhancing Wetlands Protection), with an emphasis on increasing the effectiveness of compensatory mitigation and refining the protection of vulnerable waters (this includes promoting a number of different approaches for S/T/LGs to use in the development of wetlands protection measures); and (2) Monitoring and Assessment, with an emphasis on probabilistic wetland condition surveys and wetland mapping, and an overall goal of building the capacity of States/Tribes to report on the condition and quantity of their wetlands. Regions may add additional Region specific priorities or clarify the two national program priorities. Funding Priority - Fiscal Year 2009: Under the Regional Wetland Program Development Grant (WPDG) Competition, EPA has identified the following two national program priority areas for improving State/Tribe/local governments (S/T/LGs) ability to protect and restore their wetlands: (1) Regulation (Enhancing Wetlands Protection), with an emphasis on increasing the effectiveness of compensatory mitigation and refining the protection of vulnerable waters (this includes promoting a number of different approaches for S/T/LGs to use in the development of wetlands protection measures); and (2) Monitoring and Assessment, with an emphasis on probabilistic wetland condition surveys and wetland mapping, and an overall goal of building the capacity of States/Tribes to report on the condition and quantity of their wetlands. Regions may add additional Region specific priorities or clarify the two national program priorities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

These grants are intended to encourage comprehensive wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and local governments to effectively protect wetland and riparian resources. Projects funded under this program support the initial development of a wetlands protection, restoration, or management program or support enhancement/refinement of an existing program. Interstate agency and intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. The Regional Office will accept submissions only for projects that affect the States, Tribes, and Territories within their Region. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Additional uses and restrictions on funds will be described in detail in the competitive announcements. Projects that are national in scope are not eligible for funding under this Regional program but may be eligible for funding under EPA's National Wetland Program Development Grants program (CFDA 66.462). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States, Tribes, local government agencies, interstate agencies, and intertribal consortia are eligible to apply to the Regions. Past recipients include, but are not limited to, wetland regulatory agencies, water quality agencies (Section 401 water quality certification), planning offices, wild and scenic rivers agencies, departments of transportation, fish and wildlife or natural resources agencies, agriculture departments, forestry agencies, coastal zone management agencies, park and recreation agencies, non-point source or storm water agencies, and city or county and other S/T/LG governmental agencies that conduct wetland-related activities. In order to be eligible for WPDG funds, Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia that meet the requirements of 40 CFR Part 35.504 are eligible for direct funding. Intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or



local government. Universities that are agencies of State government are eligible to receive funds through these competitions. Universities must include documentation showing that they are chartered as a part of State government in their proposal. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within the Region.

**Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration and/or management programs, or programs related to or complement wetlands protection programs.

**Credentials/Documentation:**

Tribes may be asked to demonstrate that they are Federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Universities must include documentation showing that they are chartered as a part of State government in their proposal.

**Preapplication Coordination:**

Each EPA Regional Office will set up its own competitive process for awarding WPDGs. Interested applicants should review information on the WPDG at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Each EPA Regional Office will establish a process for awarding WPDGs. Regional Offices will accept applications only for projects selected through the competitive process that affect the States, Tribes, and Territories within their Region. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Applicants can also receive a copy of the current announcement by calling the EPA Regional Coordinator. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the grant is awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the EPA Regional office for information and to confirm deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. The applicant must provide a minimum of 25 percent of the total cost of the work plan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project costs divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or a Total project cost of \$100,000 for the three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c).) Please contact your EPA Regional contact

person listed in Section VII if you have any questions about calculating the match requirement. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirement with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award.

**Reports:**

At a minimum annual interim and final progress and expenditure reports and at a maximum quarterly interim and final progress and expenditure reports; program evaluations; and other reports as required by the specific terms of the agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$9,300,000; FY 08 \$15,829,000; and FY 09 est. \$15,800,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000/fiscal year; \$253,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Each of the ten EPA Regional Offices issues a competitive announcement based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements include the number of anticipated awards. In FY 07, approximately 5 to 20 proposal were received by each Region under the ten Regional competitive announcements with approximately 3 to 11 cooperative agreements or grants to be awarded under each Regional competitive announcements. No awards were made non-competitively in FY 07. In FY 07, projects were funded to support activities such as development of plans and management tools for protection of wetland resources; advancing the science and technical tools for evaluating, protecting, and restoring wetland health; facilitating development of watershed stakeholder partnerships; and improving public access to and education about wetlands information. Until this date, no awards were made non-competitively in FY 08. In FY08, competitions and awards are yet to be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30, 31 and 35.610 through 35.615); OMB Circulars A-87 and A-122, as applicable.

**Regional or Local Office:**

Region 1 - CT, ME, MA, NH, RI, VT: Jeanne Voorhees. US EPA Region 1, 1 Congress Street, MC CSP, Suite 100, Boston, MA, 02114. Phone: 617-918-1686. [voorhees.jeanne@epa.gov](mailto:voorhees.jeanne@epa.gov). Region 2 - NJ, NY, PR, VI: Kathleen Drake. US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. [drake.kathleen@epa.gov](mailto:drake.kathleen@epa.gov). Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano. US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. [provenzano.anita@epa.gov](mailto:provenzano.anita@epa.gov). Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson. US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393. [jackson.morgan@epa.gov](mailto:jackson.morgan@epa.gov). Region 5 - IL, IN, MI, MN, OH, WI: Cathy Garra. US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-886-0241. [garra.catherine@epa.gov](mailto:garra.catherine@epa.gov). Region 6 - AR, LA, NM, OK, TX: Mariama Dover. US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-6778. [dover.mariama@epa.gov](mailto:dover.mariama@epa.gov). Region 7 - IA, KS, MO, NE: Mandy Whitsitt. US EPA Region 7, 901 North Fifth Street, Kansas City, KS, 66101. Phone: 913-551-7311. [whitsitt.mandy@epa.gov](mailto:whitsitt.mandy@epa.gov). Region 8 - CO, MT, ND, SD, UT, WY: Brent Truskowski. US EPA Region 8,

999 18th Street, Suite 300, Denver, CO, 80202. Phone: 303-312-6235.  
truskowski.brent@epa.gov. Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne  
Marr, US EPA Region 9, 75 Hawthorne Street, San Francisco, CA 94105.  
Phone: 415-972-3468. marr.suzanne@epa.gov. Region 10 - AK, ID, OR, WA:  
David Kulman, US EPA Region 10, 1200 Sixth Avenue, Seattle, WA, 98101.  
Phone: 206-553-6219. kulman.david@epa.gov.

**Headquarters Office:**

Myra Price, EPA Wetlands Division, 1200 Pennsylvania Avenue, N.W., MC  
(4502T), Washington, DC 20460. Telephone: (202) 566-1225; Fax: (202) 566-  
1349; E-mail: price.myra@epa.gov.

**Web Site Address:**

<http://www.epa.gov/owow/wetlands/initiative/#financial/>.

**RELATED PROGRAMS:**

66.462, National Wetland Program Development Grants and Five-Star  
Restoration Training Grant; 66.479, Wetland Program Grants - State/Tribal  
Environmental Outcome Wetland Demonstration Program; 66.419, Water  
Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water  
Quality Management Planning; 66.456, National Estuary Program; 66.458,  
Capitalization Grants for Clean Water State Revolving Funds.

**EXAMPLES OF FUNDED PROJECTS:**

The WPDG database provides project information for grants funded through this  
program since it began in 1990. <http://yosemite.epa.gov/water/grant.nsf>.  
Examples of funded projects include: wetland and stream mitigation studies;  
development of wetland or watershed conservation plans; wetland management  
training workshops; developing a monitoring and assessment program;  
development of wetland monitoring and assessment methods and programs;  
training for State/Tribal/local government staff in monitoring techniques or  
wetland science such as delineation; wetland mapping to build 404 permit  
enforcement programs, wetland inventory and classification projects to  
determine restoration sites; and database development to track 404 permit action  
and compliance.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA  
description will be described in the competitive announcement.

## **66.462 NATIONAL WETLAND PROGRAM DEVELOPMENT GRANTS AND FIVE-STAR RESTORATION TRAINING GRANT**

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), as amended, Public Law 92-500, 33 U.S.C.  
1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and  
interstate/intertribal entities in building programs which protect, manage, and  
restore wetlands. The primary focus of the grants is to build state and tribal  
wetland programs. A secondary focus is to build local (e.g., county or municipal)  
programs. Funding Priority - Fiscal Year 2008: For the National WPDGs: EPA  
has identified the following three of the five core elements of a comprehensive  
wetland program: 1) Regulation; 2) Monitoring, Assessment, and Mapping; and  
3) Restoration as National Priorities for this competition. Further explanation of  
all of the core areas can be found at the following Web address:  
<http://www.epa.gov/owow/wetlands/initiative/fy02elements.html>. The Wetlands  
Program Development Grants (WPDG) program strives to develop  
State/Tribal/local government programs that will incorporate each of these  
elements. For the Five Star Restoration Training Grant: EPA is soliciting  
proposals from eligible applicants to: 1) prepare and advertise a Request for  
Proposals (RFP), establish review criteria for evaluating subgrantee proposals,  
select subgrantees, and make subgrants to support environmental training  
through voluntary, community/watershed-based wetland restoration projects that  
provide ecological and socioeconomic benefits to the surrounding communities  
and their citizens; 2) oversee and monitor subgrantees for completion of the  
restoration training projects; 3) provide technical support to subgrantees through  
peer-to-peer outreach to broaden participation in restoration training projects,  
and 4) qualitatively and quantitatively measure and report on the environmental  
results of the restoration training projects accomplished through the subgrants.  
Funding Priority - Fiscal Year 2009: For the National WPDGs: EPA has  
identified the following three of the five core elements of a comprehensive  
wetland program: 1) Regulation; 2) Monitoring, Assessment, and Mapping; and  
3) Restoration as National Priorities for this competition. Further explanation of  
all of the core areas can be found at the following Web address:  
<http://www.epa.gov/owow/wetlands/initiative/fy02elements.html>. The Wetlands  
Program Development Grants (WPDG) program strives to develop  
State/Tribal/local government programs that will incorporate each of these  
elements. For the Five Star Restoration Training Grant: EPA is soliciting  
proposals from eligible applicants to: 1) prepare and advertise a Request for  
Proposals (RFP), establish review criteria for evaluating subgrantee proposals,

select subgrantees, and make subgrants to support environmental training  
through voluntary, community/watershed-based wetland restoration projects that  
provide ecological and socioeconomic benefits to the surrounding communities  
and their citizens; 2) oversee and monitor subgrantees for completion of the  
restoration training projects; 3) provide technical support to subgrantees through  
peer-to-peer outreach to broaden participation in restoration training projects,  
and 4) qualitatively and quantitatively measure and report on the environmental  
results of the restoration training projects accomplished through the subgrants.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The National WPDGs are intended to encourage comprehensive, national  
wetlands program development by promoting the coordination and acceleration  
of research, investigations, experiments, training, demonstrations, surveys, and  
studies relating to the causes, effects, extent, prevention, reduction, and  
elimination of water pollution. Projects build the capacity of States, Tribes, and  
local governments programs to effectively protect wetland and riparian  
resources. Activities must help S/T/LGs develop and refine wetland programs.  
Projects funded under this program support the initial development of a national  
wetlands protection, restoration or management program, or support  
enhancement/refinement of an existing national program. Projects must be  
broad in scope and encompass more than one State and/or Tribe and cannot be  
limited to activities that affect such entities in only one EPA region. For  
example, projects and tasks can involve advancing science or collecting and  
making available through publications and other appropriate means, such as  
training on how information about how various wetland programs across the  
nation protect, manage, and restore their wetland resources and about initiatives  
to improve S/T/LG wetland programs. Projects that are local or encompass only  
one EPA Region in scope are not eligible for funding under this program but  
may be eligible for funding under EPA's Regional Wetland Program  
Development Grants program (CFDA 66.461). Funds cannot be used for the  
purchase of land or conservation easements. Funds cannot be used for  
implementation of individual mitigation projects, mitigation banks, or in-lieu-  
fee mitigation programs. Assistance agreement awards under this program may  
involve or relate to geospatial information. Further information regarding  
geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>. EPA's Five Star Restoration Training Grant is anticipated  
to fund one cooperative agreement to an organization to manage the Five Star  
Restoration Training Grant subaward process that will award subgrants to  
achieve environmental training through voluntary, community/watershed-based  
wetland restoration projects. Projects funded under the subgrant process must  
be limited to activities that conduct or promote the coordination and acceleration  
of training relating to the causes, effects, extent, prevention, reduction, and  
elimination of water pollution. Other activities under section 104(b)(3) will not  
be considered for funding. Funds cannot be used for the purchase of land or  
conservation easements. Funds cannot be used for implementation of individual  
mitigation projects, mitigation banks, or in-lieu-fee mitigation programs.  
Wetland restoration training projects cannot include wetlands constructed for the  
purposes of treating wastewater or stormwater only. The assistance agreement  
award under this program may involve or relate to geospatial information.  
Further information regarding geospatial information may be obtained by  
viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Nonprofit, non-governmental organizations, Interstate agencies, and Intertribal  
consortia which are capable of undertaking activities that advance wetland  
programs on a national basis are eligible to compete in this program. The term  
"interstate agency" is defined in CWA Section 502 as "an agency of two or more  
States established by or pursuant to an agreement or compact approved by the  
Congress, or any other agency of two or more States, having substantial powers  
or duties pertaining to the control of pollution as determined and approved by  
the Administrator." Intertribal consortia must meet the requirements of 40 CFR  
Part 35.504. For certain competitive funding opportunities under this CFDA  
description, the Agency may limit eligibility to compete to a number or subset of  
eligible applicants consistent with the Agency's Assistance Agreement  
Competition Policy.

**Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands  
protection, restoration, and/or management programs or programs related to or  
complement wetlands protection programs.

**Credentials/Documentation:**

Non-profit applicants may be asked to provide documentation that they meet the  
definition of a non-profit organization in OMB Circular A-122. Interstate  
organizations may be asked to provide a citation to the statutory authority, which  
establishes their status. Intertribal consortia may be asked to provide  
documentation that they meet the requirements of 40 CFR Part 35.504.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required  
by OMB Circular A-102, must be used for this program. Regarding pre-  
application/pre-proposal assistance with respect to competitive funding  
opportunities under this program description, EPA will generally specify the

nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

The EPA Headquarters (HQ) Office will conduct the competitive process for awarding National Wetland Program Development Grants. Interested applicants should review information on the National Wetland Program Development Grants at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. The EPA Headquarters (HQ) Office will conduct the competitive process for awarding the Five-Star Restoration Training Grant. Interested applicants should review information on the Five-Star Restoration Training Grant at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. All applicants will be notified by the HQ Office on whether or not the applicant has been selected for funding. The notification is not an authorization to begin performance. The Grant Award document signed by the appropriate grant official in the EPA HQ Office is the authorizing document. Applicants selected for funding must submit a final workplan and grant application forms. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to HQ. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the HQ contact for information and to confirm deadlines.

#### **Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

This program has no statutory formula. The applicant must provide a minimum of 25 percent of the total cost of the workplan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project amount (in dollars) divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or has a total project cost of \$100,000 for a three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c)). States and Tribes can provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirements with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement workplan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds.

#### **Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. The EPA Five Star Restoration Training Grant will be no more than four years in length. Awards under the Five Star Restoration Training Grant Program are made as a single large award with multiple smaller sub-awards.

#### **Reports:**

Quarterly interim, final progress, and expenditure reports; program evaluations; and other reports as required by the specific terms of the Agreement.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the

Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304, STAG.

#### **Obligations:**

National Wetlands Program Development Grants: FY 07 \$500,000; FY 08 \$600,000; and FY 09 est. \$700,000; Five-Star Restoration Training Grant: FY 08 est. \$1,200,000.

#### **Range and Average of Financial Assistance:**

National Wetlands Program Development Grants: \$25,000 to \$225,000/fiscal year; \$100,000/fiscal year; Five-Star Restoration Training Grant: \$1,200,000 every four years; \$1,200,000/ every four years.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 07, 29 proposals were received in response to the National Wetlands Program Development Grants competitive announcement released June 25, 2007 and approximately five (5) grants were awarded to pilot the addition of a restoration data layer to the National Wetlands Inventory for two states; provide information on vulnerable waters to local governments; build the capacity to strengthen and expand state/partner wetland programs; provide support toward training on natural resource enterprise development for non-industrial private landowners to promote wetland restoration, and to assess the current practices of avoidance and minimization practices across the country. The FY08 competitive process is still ongoing. In FY 08, EPA issued a competitive announcement for the Five-Star Restoration Training Grant to award one cooperative agreement for \$1,200,000 to organize and manage the Five Star Restoration Training Grant subaward process that will undertake projects that achieve environmental training through voluntary, community/watershed-based wetland restoration projects.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, 40 CFR Parts 30 and 31, 40 CFR 35.610, OMB Circular A-122, or OMB Circular A-87, as applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Myra Price, US EPA Wetlands Division, 1200 Pennsylvania Avenue, NW, MC (4502T), Washington, DC 20460. Phone: (202) 566-1225; FAX: (202) 566-1349; e-mail: [price.myra@epa.gov](mailto:price.myra@epa.gov).

#### **Web Site Address:**

<http://www.epa.gov/owow/wetlands/>

#### **RELATED PROGRAMS:**

66.461, Regional Wetland Program Development Grants; 66.479, Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program; 66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning; 66.456, National Estuary Program; 66.458, Capitalization Grants for Clean Water State Revolving Funds.

#### **EXAMPLES OF FUNDED PROJECTS:**

The Wetland Program Development Grant database will provide project information for the National Wetland Program Development Grants (<http://yosemite.epa.gov/water/grant.nsf>). Examples of funded projects include: wetland and stream mitigation studies; development of market-based wetland protection tools; wetland management training workshops; development of wetland modeling tools; studies on the functions and values of wetland ecosystems; planning and holding national meetings on CWA Section 404 mitigation issues; and development of education information on wetlands for state/tribal/local government officials and/or the public. For the cooperative agreement to be awarded under the Five-Star Restoration Training Grant, EPA anticipates funding to organize and manage the Five Star Restoration Training Grant subaward process that will bring together citizen groups, corporations, youth conservation corps, students, landowners, and government agencies to undertake projects that achieve environmental training through voluntary, community/watershed-based wetland restoration projects.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA



description will be described in the competitive announcement.

## 66.463 WATER QUALITY COOPERATIVE AGREEMENTS

### FEDERAL AGENCY:

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Clean Water Act, Section 104(b)(3), Public Law 92- 500, as amended, 33 U.S.C. 1254(b)(3).

### OBJECTIVES:

To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution through both permitted and non-permitted areas. Funding Priority - Fiscal Year 2008: Funding priorities include, but are not limited to: watershed approaches for solutions to wet weather activities (i.e., combined sewer overflow, sanitary sewer overflows, storm water discharge, and animal feeding operations); pretreatment and biosolids (sludge) program activities, decentralized systems; and alternative ways to enhance or measure the effectiveness of point source programs. Trading, water efficiency, asset management, and sustainable infrastructure are also areas of consideration. No appropriation authority was provided for FY 2006 or FY 2007. However the above funding priorities will be used if unobligated carryover funds are available in FY 2008. Any awards made with carryover funds will be in accordance with the Agency's competition policy. Funding Priority - Fiscal Year 2009: Funding priorities include, but are not limited to: watershed approaches for solutions to wet weather activities (i.e., combined sewer overflow, sanitary sewer overflows, storm water discharge, and animal feeding operations); pretreatment and biosolids (sludge) program activities, decentralized systems; and alternative ways to enhance or measure the effectiveness of point source programs. Trading, water efficiency, asset management, and sustainable infrastructure are also areas of consideration. No appropriation authority was provided for FY 2006 or later. However the above funding priorities will be used if unobligated carryover funds are available in FY 2009. Any awards made with carryover funds will be in accordance with the Agency's competition policy.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

These grants are intended to encourage efforts to improve water quality by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects must attain tangible results. EPA may award grants to fund internships for high school students to work at wastewater treatment plants under the Youth and the Environment sub-program in EPA Regions 1, 2, 3, 5, 6, 7, 8, 9 and 10. In the case of Regional competitions, eligible projects may be limited in geographic scope to benefit the citizens of States, Tribes, or Territories within those Regions. Other specific uses of funds will be described in Requests for Proposals for this program. EPA will not award grants to fund ongoing State, Tribal, or local program activities, construction, or to purchase land. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### Applicant Eligibility:

State water pollution control agencies, interstate agencies, Tribes, colleges and universities, individuals, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

Individuals and organizations affected by water pollution, including State Water Pollution Control Agencies, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations.

### Credentials/Documentation:

Nonprofit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia must meet the requirements of 40 CFR Part 35.504.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Competition procedures vary by Region and Headquarters Office. EPA will generally publish a Request for Proposals (RFP), evaluate the proposals under the criteria contained in the RFP, and requests that selected applicants submit a full application. RFPs are synopsisized at [www.fedgrants.gov](http://www.fedgrants.gov), and may be posted on Agency websites or in the Federal Register. All competitions will be conducted in accordance with EPA policy for competing assistance agreements. For Headquarters competitions, applicants submit a proposal, and EPA evaluates and scores the proposals and invites selected applicants to submit a formal application. Regional procedures may vary, in accordance with the terms of Regional Request for Proposals. Application forms and completed applications may be requested from and submitted to the appropriate EPA Headquarters or Regional Office. The standard Federal application forms must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Specific deadlines are established by the terms of the Request for Proposals.

### Range of Approval/Disapproval Time:

Regional or Headquarters review will normally be done within approximately 60 days following the deadline for submissions.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

The terms of the assistance shall be determined at the time of award.

### Reports:

Progress report requirements will be a part of each assistance agreement. Headquarters issued agreements will normally require quarterly and annual reports. A schedule showing interim milestones and the outputs and outcomes that will be completed by the end of the project period will also be included, as will any specific requirements included in the assistance agreement.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### Records:

Record keeping requirements are specified 40 CFR Parts 30 or 31 as applicable. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

### Account Identification:

68-0103-0-1-304; STAG.

### Obligations:

FY 07 \$1,258,100; FY 08 \$500,000; and FY 09 \$0.

### Range and Average of Financial Assistance:

Projects typically range from \$15,000 to \$270,000/fiscal year. The average grant awarded by Headquarters is approximately \$62,000/fiscal year. The average Regional award is approximately \$86,000/fiscal year.

### PROGRAM ACCOMPLISHMENTS:

There were a total of eight awards in FY 2007, and two awards pending for FY 08 to develop methods for utilities to use to quantify environmental benefits and costs, to develop a tool to help communities apply the principles and best practices of asset management to maintain, upgrade, and operate physical assets cost-effectively while protecting public health and safety. Funding was also provided to develop nutrient management plans that will eliminate or reduce the

quantity of polluted runoff from the land application of animal residuals.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments, and Indian tribal governments, the procedures and requirements shall be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies," OMB Circular Nos. A-87 "Cost Principles for State and Local Governments," and A-102 "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures shall be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and OMB Circular Nos. A-122 for Non-Profit Organizations and A-21 for Educational Institutions.

#### **Regional or Local Office:**

Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog for information on the grants administration process or the Regional WQCA Coordinator shown at <http://epa.gov/owm/mab/indian/104coord.htm>.

#### **Headquarters Office:**

Barron Benroth, Office of Wastewater Management (4201M), EPA, Room 7126, EPA East, 1200 Pennsylvania Avenue N.W., Washington DC, 20460.

Telephone: (202) 564-0672; Fax: (202) 501-2399; E-mail:

[Benroth.Barry@epa.gov](mailto:Benroth.Barry@epa.gov).

#### **Web Site Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

#### **RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning.

#### **EXAMPLES OF FUNDED PROJECTS:**

Development of software tool for preparation of industrial stormwater pollution prevention plan; calculating utility avoided cost and environmental values of urban water efficiency programs; characterizing the quality of effluent and other contributory sources during peak wet weather events; Concentrated Animal Feeding Operations producer outreach and development of a system for improved poultry manure management; and nonpoint source pollution reduction through water quality trading.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## **66.466 CHESAPEAKE BAY PROGRAM**

#### **FEDERAL AGENCY:**

OFFICE OF WATER, CHESAPEAKE BAY PROGRAM OFFICE (CBPO), REGION III, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Clean Water Act, Section 117.

#### **OBJECTIVES:**

To expand and strengthen cooperative efforts to restore and protect the Chesapeake Bay. EPA's funding priority is to achieve the goals and commitments established in the Chesapeake 2000 agreement. As a means to achieve the goals and commitments of the historic 1983 Chesapeake Bay Agreement to the current Chesapeake 2000 Agreement, assistance agreements are awarded to: Nonprofit organizations, State and local governments, colleges, universities, and interstate agencies. The type of projects that are awarded range from monitoring of bay toxins to environmental education. Funding Priority - Fiscal Year 2008: The five overarching commitments laid out in the Chesapeake 2000 agreement define the funding priorities for the Chesapeake Bay Program. These commitments are: (1) Restore, enhance, and protect the finfish, shellfish, and other living resources; their habitats; and ecological relationships to sustain all fisheries and provide for a balanced ecosystem; (2) Preserve, protect, and restore those habitats and natural areas that are vital to the survival and diversity of the living resources of the Bay and its rivers; (3) Achieve and maintain the water quality necessary to support the aquatic living resources of the Bay and its tributaries and to protect human health; (4) Develop, promote, and achieve sound land use practices which protect and restore watershed resources and water quality; maintain reduced pollutant loadings for the Bay and its tributaries; and restore and preserve aquatic living resources; and (5) Promote individual stewardship and assist individuals, community-based organizations, businesses, local governments, and schools to undertake initiatives to achieve the goals and commitments of this agreement. Funding Priority - Fiscal Year 2009: The five overarching commitments laid out in the Chesapeake 2000 agreement define the funding priorities for the Chesapeake Bay Program. These commitments are: (1) Restore, enhance, and protect the finfish, shellfish, and other living resources; their habitats; and ecological relationships to sustain all fisheries and provide for a balanced ecosystem; (2) Preserve, protect, and restore those habitats and natural areas that are vital to the survival and diversity of the living resources of the Bay and its rivers; (3) Achieve and maintain the water quality necessary to support the aquatic living resources of the Bay and its tributaries and to protect human health; (4) Develop, promote, and achieve sound land use practices

which protect and restore watershed resources and water quality; maintain reduced pollutant loadings for the Bay and its tributaries; and restore and preserve aquatic living resources; and (5) Promote individual stewardship and assist individuals, community-based organizations, businesses, local governments, and schools to undertake initiatives to achieve the goals and commitments of this agreement.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Section 117 authorizes the Agency to award grants or cooperative agreements to: (1) Nonprofit organizations, State and local governments, colleges, universities, and interstate agencies as authorized under and in accordance with Section 117(d)(1), to implement the goals of the Chesapeake Bay Agreement, such as activities to support living resources, vital habitat, water quality, sound land use protection, restoration, and stewardship community engagement. State agencies applying for grants under Section 117(d)(1) must commit to a cost share ranging from 5 percent to 50 percent, as determined at the sole discretion of EPA. This determination will be made on a grant-by-grant basis and EPA will promptly inform the applicant of the selected cost share requirement. All other applicants applying for grants under Section 117 must commit to a cost share of 5 percent of the total project costs; (2) signatory jurisdictions of the Chesapeake Bay Agreement for purposes of implementing the management mechanisms established under the Chesapeake Bay Agreement and for the purpose of monitoring the Chesapeake Bay ecosystem, as authorized under and in accordance with Section 117(e). This section requires a non-federal matching funds of at least fifty percent. The Small Watershed Grants Program provides small grants to organizations working on a local level to protect and improve watersheds in the Chesapeake Bay basin while building citizen based resource stewardship, as authorized and in accordance with Section 117(g)(2). This section requires a non-federal matching funds of 25 percent. The purpose of the Small Watershed Grants Program is to address the water quality and living resource needs of the Chesapeake Bay ecosystem. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Under section 117(d)(1), funds are available for technical assistance and assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e), funds are available for implementation and monitoring grants to signatory jurisdictions; and under section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Under section 117(d)(1), funds are available for technical assistance and assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e), funds are available for implementation and monitoring grants to signatory jurisdictions; and under Section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region.

#### **Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31, and with Program Grant Guidance to matching funds. Costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal Governments, OMB Circular No. A-122 for nonprofit organizations, and OMB Circular No. A-21 for educational institutions.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is recommended and should be obtained from the EPA Region III Grants Management Office. All proposals or work statements should be consistent with CBPO's Grant Guidance. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

RFPs will be announced to request initial proposals to implement specific outcomes that will further goals of the Chesapeake 2000 Agreement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant

opportunities under this CFDA. Interested parties who would like to receive a copy of issued RFPs and be added to the Environmental Protection Agency's CBPO RFP database should submit their name, address, phone number, and e-mail address (optional) to Veronica Kuczynski at [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov). Mailing address is Environmental Protection Agency, CBPO, Grants Office, 410 Severn Ave., Suite 109, Annapolis, MD 21403. EPA will only accept addresses provided in writing (e-mail or letter); no phone calls. Interested parties applying for a grant under the Small Watershed Grants Program should submit their name and address to the National Fish and Wildlife Foundation 1120 Connecticut Avenue, NW, Suite 900, Washington, DC 20026, for purpose of establishing a database to receive RFPs. National Fish and Wildlife Foundation will list the RFP on their website: [www.NFWF.org](http://www.NFWF.org). Application kits may be requested from EPA CBPO, 410 Severn Avenue, Suite 109, Annapolis, MD 21403. The completed application, including the final proposal, should be submitted to EPA Region III Grants Management Office, 1650 Arch Street, Philadelphia, Pennsylvania 19103 with a copy to CBPO in Annapolis for processing. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Proposals are received when an Request for Proposal (RFP) is issued, usually in the spring/summer time frame. CBPO will post the RFP on its website <http://www.epa.gov/region03/Chesapeake/grants.htm>. Application deadlines will be provided in the RFP.

**Range of Approval/Disapproval Time:**

Approximately 7 months after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula. Under Section 117 (e), State agencies applying for implementation and monitoring grants must identify 50 percent cost share of total project costs (equal match/dollar for dollar). State agencies applying for grants under Section 117 (d)(1), must commit to a cost share ranging from 5 percent to 50 percent as determined at the sole discretion of EPA. This determination will be made on a grant-by-grant basis and EPA will promptly inform the applicant of the selected cost share requirement. All other applicants applying for grants under Section 117 must commit to a cost share of 5 percent of the total project costs. Applicants applying for Small Watershed Grants Program under Section 117(g)(2) must commit to a cost share of 25 percent of the total project cost. State and local governments receiving assistance under any of the provisions of Section 117 must comply with 40 CFR 31.24 and all other applicants must comply with 40 CFR 30.23. In addition to the cost share requirement, applicants must adhere to the requirement in the Clean Water Act, Section 117 - "Administrative Costs." This section requires a 10 percent cap for administrative costs. The cost of salaries and fringe benefits incurred in administering the grant cannot exceed 10 percent of the Federal grant amount.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis. The term of the grant shall be determined at the time of grant award.

**Reports:**

Quarterly, semi-annual, and final progress and expenditure reports; program evaluation; and other reports as required by the specific terms of the Agreement and EPA Order 5700.7, Environmental Results under EPA Assistance Agreements. Financial Status Reports must be submitted.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to

personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; EPM.

**Obligations:**

FY 07 \$14,154,594; FY 08 \$24,844,000; and FY 09 \$29,001,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$7,800,000/fiscal year; \$3,902,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

In FYs 07 and 08, CBPO issued two RFPs. CBPO received 4 proposals and two awards are pending to date. FY 07 and 08 activities included: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigate the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; Chesapeake Bay modeling, GIS and data analyses support, WQ data analysis/integration support, and nonpoint and point source data management/analysis. In FY 07, CBPO issued one RFP for Submerged Aquatic Vegetation (SAV) Annual Aerial Survey. CBPO received one proposal and one award is pending. In FY 08, CBPO issued one RFP for the Development and Implementation of a Chesapeake Bay Innovative Nutrient and Sediment Reduction Program CBPO received three proposals and one award is pending.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chesapeake Bay Program Office's Annual Grant Guidance and general regulations (40 CFR Parts 30 and 31) for assistance programs available from EPA.

**Regional or Local Office:**

Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 109, Annapolis, MD 21403. Telephone: (410) 267-5743; Fax: (410) 267-5777; E-mail: [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov).

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.epa.gov/region03/chesapeake>.

**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning; 66.460, Nonpoint Source Implementation Grants; 66.439 Targeted Watersheds Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Grants and cooperative agreements awarded to States and local governments, colleges, universities interstate agencies, and nonprofit organizations are for nonpoint source implementation, water quality monitoring, education and outreach, living resources and habitat restoration, and program support. Examples of funded projects include: (1) enhanced storm water monitoring; (2) communications, outreach, and public education efforts; (3) computer modeling of different population levels of menhaden for multi-species management and potential impact on water quality; (4) nonpoint source pollution programs; and (5) Chesapeake Bay point source data management.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.467 WASTEWATER OPERATOR TRAINING GRANT PROGRAM (TECHNICAL ASSISTANCE)**

(Wastewater O&M Onsite Technical Assistance Grants)

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Federal Water Pollution Control Act, Section 104(g)(1), as amended, 33 U.S.C. 1251 et seq.

**OBJECTIVES:**

To substantially enhance the proficiency of personnel engaged in the operations and maintenance of treatment works and related activities by financing pilot programs. Funding Priority - Fiscal Year(FY) 2008: No funds were appropriated in FY 2008. Available FY 2007 grant funds will primarily be used for on-site technical assistance to address the unique performance limiting conditions of the plants. Classroom training may also be provided, on a limited basis when cost effective, to improve the skills of wastewater treatment plant operator. Funding Priority - Fiscal Year 2009: Grant funds, if available, will primarily be used for on-site technical assistance to address the unique performance limiting conditions of the plants. Classroom training may also be provided, on a limited



basis when cost effective, to improve the skills of wastewater treatment plant operator.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations.

**Applicant Eligibility:**

State agencies or the designated organizations of the States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Marianas, America Samoa, the Trust Territories, and Native American Indian Tribes. Additionally, institutions of higher education and "not for profit institutions" may also apply for funding if acting as a designated organization of the State.

**Beneficiary Eligibility:**

State, Tribal, and local governments and publicly owned treatment works. Activities which contribute to Operation and Maintenance (O&M) improvements at publicly owned treatment works, including pollution prevention activities, may be funded. Legislative history supports using appropriations for onsite O&M technical assistance to the small sized publicly owned treatment work (POTWs) of less than 5 million gallons per day (MGD) of wastewater flow, since many of these POTWs are exhibiting performance problems and do not have readily available consultant's technical assistance like those of the larger POTWs.

**Credentials/Documentation:**

Costs will be determined in accordance with applicable OMB Circular No. A-87, Cost Principles for State and local governments. Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Tribes may be asked to demonstrate that they are Federally recognized.

**Preapplication Coordination:**

The standard EPA application assistance forms must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-102 Uniform Administration Requirements for Grant-in-Aid to State and Local Government. Request for application forms and completed applications must be submitted to the applicable Regional or Headquarters Grants Administration office. Applications must meet the requirements of the grant regulations and must be reviewed and approved by the appropriate Regional or Headquarters' waste management program office prior to approval by the Grants office. The review must include an administrative and technical evaluation to determine adequacy, merit, and relevance of the proposal. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

An application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Historically, annual fiscal year funds have been appropriated by Congress, and are generally available in January to the Headquarters wastewater management program office so that the program office can fund applicants before the end of the fiscal year. Applicants should ensure that its application and reviews meet this funding deadline. Contact the appropriate Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 90 days after the grant application is received by EPA.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Generally 25 percent in kind service/goods or matching funds is required; however, this provision may be waived in certain cases.

**Length and Time Phasing of Assistance:**

Grants may be awarded for a project period not to exceed 3 years. The term of the grant shall be determined at the time of grant award.

**Reports:**

Quarterly progress and final reports, annual expenditure reports, and other reports as specified by the Assistance Agreement must be provided to the appropriate Regional or Headquarters wastewater management program office. Headquarters receives semi-annual status reports, and an annual data submission of the program's progress for the current fiscal year, from all Regional Offices.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$1828,100; FY 08 \$0; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

A State receives approximately \$30,000/fiscal year to provide funds to onsite technical assistance providers. The range and average of financial assistance provided is: \$12,000 to \$40,000/fiscal year; \$25,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 46 states and state environmental training centers receive grants to provide on-site technical assistance to needy small POTWs (capacity less than 5 MGD) to assist them in achieving or maintaining compliance, or improving plant performance. There are over 15,000 POTWs in the nation of which about 14,000 have capacity less than 5 MGD. In 2007, with a funding level of \$1.182 million, 586 small wastewater treatment facilities received technical assistance which resulted in the prevention of more than four million pounds of pollutants from entering into the nation's surface waters. Results for 2008 are not currently available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for technical assistance should review 40 CFR Part 30, the General Grant Regulations and Procedures, and the annual guidance produced by the Headquarters wastewater program office.

**Regional or Local Office:**

See EPA Regional Offices listed in Appendix IV of the Catalog or online for additional information.

**Headquarters Office:**

Kellie Kubena, Acting Branch Chief, Municipal Assistance Branch (4204-M), Office of Wastewater Management, EPA East, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Telephone: (202) 566-0448; Fax: (202) 501-2396; E-mail: [kubena.kellie@epa.gov](mailto:kubena.kellie@epa.gov).

**Web Site Address:**

<http://www.epa.gov/owm/mab/smcomm/104g/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include: diagnostic and energy/water use evaluations at small POTWs; POTW-State technical assistance plans, agreements, and schedules for achieving improvements; technical assistance to communities on plant operations, maintenance, laboratory management, solids handling and disposal, facility management, financial management, pollution prevention, energy saving, and water use; follow-up visits to monitor improvements; and on-site performance summaries.

**CRITERIA FOR SELECTING PROPOSALS:**

On-site wastewater O&M technical applications managed by the Regions are evaluated based on the Headquarters wastewater program office's annual guidance, as well as EPA's grants management-related guidance. Other pilot program proposals, with similar objectives, will be considered by the Regional and Headquarters wastewater program offices based on the merits of the proposal, and prior designation by the applicable State agency(s) to receive these funds. Project objectives and requirements for applicants for other pilot project funding will be negotiated on a case-by-case basis.

## 66.468 CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS

(Drinking Water State Revolving Fund)

**FEDERAL AGENCY:**

OFFICE OF GROUND WATER AND DRINKING WATER,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Safe Drinking Water Act (SDWA) Amendments of 1996, Section 130, Public Law 104-182.

**OBJECTIVES:**

Grants are made to States and Puerto Rico to capitalize their Drinking Water State Revolving Funds (DWSRFs) which will provide a long-term source of financing for the costs of drinking water infrastructure. Grants are also made to the District of Columbia, U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam), and Indian Tribes. Funding Priority - Fiscal Year 2008: The funding priority established by the SDWA are for infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements, protect public health, and assist systems with economic need. A State may use a portion of the grant funds for programs that emphasize preventing contamination problems through source water protection and enhancing water system management. States and EPA Regions determine priorities for funding in accordance with SDWA. The program supports the Agency's strategic goal of ensuring clean and safe water. Funding Priority - Fiscal Year 2009: The funding priority established by the SDWA are for infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements, protect public health, and assist systems with economic need. A State may use a portion of the grant funds for programs that emphasize preventing contamination problems through source water protection and enhancing water system management. States and EPA Regions determine priorities for funding in accordance with SDWA. The program supports the Agency's strategic goal of ensuring clean and safe water.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Capitalization grants are made available to each State and Puerto Rico for the purpose of establishing a DWSRF for providing assistance to drinking water systems for infrastructure improvements. The capitalization grant is deposited in the State's DWSRF, and is used to provide loans and other types of financial assistance to eligible public water systems. A State may elect to use up to 31% of the capitalization grant for other eligible activities, including 4% for administration of the program. States may also elect to transfer up to one-third of the DWSRF capitalization grant to the Clean Water State Revolving Fund (CWSRF) or an equivalent amount from the CWSRF to the DWSRF program. Grants are also made available to Federally Recognized Indian Tribal Governments, U.S Territories, and the District of Columbia. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States, the District of Columbia, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), and Federally Recognized Indian Tribal Governments are eligible for grants from the program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), Federally Recognized Indian Tribal Governments, local, and intrastate.

**Credentials/Documentation:**

To receive a grant, an applicant enters into an agreement with the EPA Regional Administrator which shall include, but are not limited to, the requirements set forth in Section 130 of the SDWA. Recipients must follow OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments."

**Preapplication Coordination:**

States are required to prepare and provide for public comment on a plan identifying the intended uses (Intended Use Plan, or IUP) of the funds in the DWSRF and how those uses support the goals of the DWSRF. The IUP is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent State assistance for drinking water systems. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate

Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Grants for Tribes, U.S. Territories, and the District of Columbia are selected based on funding priorities established by EPA Regional Offices. States must certify that they have the legal authority to receive a capitalization grant and that they have the legal authority to operate the program. States must provide assurance in their applications that they have the legal, managerial, technical and operational capabilities to administer the DWSRF program competently and that they will comply with all applicable Federal cross-cutting authorities and Federal statutes. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Applications should be submitted to the appropriate Regional Office no later than June 30 of the year following the year of appropriation to allow sufficient time for review and processing prior to the September 30 reallocation deadline.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For those portions of the applicant's program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed.

**Formula and Matching Requirements:**

The funds available for allotment to State DWSRF programs are those funds appropriated by Congress under the Safe Drinking Water Act (SDWA 1452; 40 CFR 35.3540-35.3585). EPA allots funds to each State based on the State's proportional share of total eligible needs reported for the most recent Drinking Water Infrastructure Needs Survey (which is conducted every four years). The minimum proportional share that each State can receive is 1% of total funds available to States. EPA reserves up to 0.33 percent of the funds available for allotment to the States to provide grants to the U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam). The SDWA also requires the Administrator to reserve 1 percent of the funds available for allotment to the States to provide grants to the District of Columbia. The SDWA also allows EPA to reserve funds for national set-asides that include: up to 1.5 percent of the national appropriation for grants to Indian Tribes, and funding for health effects studies, small system technical assistance, and monitoring of unregulated contaminants. The required State match is 20 percent of the amount of the capitalization made to the State. States must also provide a match or demonstrate a credit for state funded eligible activities to receive Federal funds for certain program support activities. For additional information go to <http://www.epa.gov/safewater/dwsrf/allotments/index.html>.

**Length and Time Phasing of Assistance:**

Funds are available for obligation during the fiscal year in which they are allotted and during the following year. The term of the grant shall be determined at the time of award. States must agree to enter into binding commitments with loan recipients to provide financial assistance from the DWSRF in an amount equal to the sum of Federal assistance, less amounts used by the State for eligible set-aside purposes, and the State match. States are also required to agree to commit and expend all funds in the DWSRF as efficiently as possible, and in a timely manner.

**Reports:**

States shall provide biennial reports to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the second fiscal year during which the payments were received). The biennial report shall describe how the State has met the goals and objectives for the preceding two fiscal years as identified in its intended use plans for those periods, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the DWSRF. For grants to Tribes and U.S. Territories, procedures for accounting, auditing, evaluating, and reviewing any program for activities in whole or in part shall be governed by regulations at 40 CFR Parts 31 and 35, "Environmental Program Grants for Tribes," with reports as required by the specific terms of the agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133. States must comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. The audit of the fund to be prepared by the State or an independent auditor must be in accordance with the standards of the Government Accountability Office (known as the Generally Accepted Government Auditing Standards). To the extent that the set-asides are used for project purposes that must be repaid, or are directly related to the DWSRF (e.g., administration) or are revolving funds themselves, they must be part of an audited opinion(s). The audits must provide an auditor's opinion on the DWSRF financial statements, a report on internal controls and a report on compliance with laws and regulations. Those set-aside funds that are not loaned out may be audited in conjunction with audits conducted under the Single Audit Act, as described in OMB Circular No. A-133 and OMB's Compliance Supplement for Single Audits of State and Local Governments.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved. As part of the annual review conducted by the Agency to assess a State's performance against activities identified in the intended use plan and biennial report, and to determine compliance with the terms of the capitalization grant agreement, the State or assistance recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the SDWA.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$788,194,200; FY 08 \$829,029,000; and FY 09 est. \$838,167,000.

**Range and Average of Financial Assistance:**

States: \$8,146,000 to \$66,424,000/fiscal year; \$16,105,000/fiscal year. Tribes: \$4,000 to \$1,600,000/fiscal year; \$320,000/fiscal year. Territories: \$249,200 to \$8,229,300/fiscal year; \$2,189,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

All 50 States and Puerto Rico have established and are implementing DWSRF programs through receipt of a capitalization grant. In FY 07, States made 578 loans to systems for a total of \$1.6 billion dollars to conduct infrastructure improvement projects. Of the total number of loans, 72 percent went to small water systems that serve 10,000 persons or fewer. States also used funds to prevent drinking water contamination through source water protection and enhanced system management. In FY 07 and in FY 08, four awards were made to Territories and 38 awards were made to Tribes to conduct infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements. In FY 09, States, Tribes, and Territories will continue to receive funding to support infrastructure improvement projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31) and Drinking Water State Revolving Funds (40 CFR Part 35, Subpart L). Additional program information, including contact information for State program managers, is available online at <http://www.epa.gov/safewater/dwsrf.html>.

**Regional or Local Office:**

See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Peter Shanaghan, Infrastructure Branch (4606M), Drinking Water Protection Division, Office of Groundwater and Drinking Water, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Telephone: (202) 564-3848; Fax: (202) 564-1836; E-mail: [shanaghan.peter@epa.gov](mailto:shanaghan.peter@epa.gov).

**Web Site Address:**

<http://www.epa.gov/safewater/dwsrf.html>.

**RELATED PROGRAMS:**

66.458, Capitalization Grants for Clean Water State Revolving Funds.

**EXAMPLES OF FUNDED PROJECTS:**

Drinking water projects addressing treatment, storage, source, transmission, distribution and consolidation. Some examples of projects include: construction of an ultra-violet treatment facility; construction of pumping stations; upgrades of

water treatment plant; line replacement; and new wells to replace wells that have been contaminated.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.469 GREAT LAKES PROGRAM****FEDERAL AGENCY:**

OFFICE OF WATER, GREAT LAKES NATIONAL PROGRAM OFFICE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Sections 104 and 118, 33 U.S.C.1254; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To restore and maintain the chemical, physical, and biological integrity of the Great Lakes Basin Ecosystem. The Great Lakes National Program Office (GLNPO), in concert with EPA Regions 2, 3, and 5, leads a consortium of programs, agencies, and public and private institutions in attaining specific objectives and actions that will reduce contaminants, restore habitat, and protect the living resources of the basin. EPA and its partners will use the Great Lakes Regional Collaboration's strategy as a guide in activities supporting the Great Lakes Water Quality Agreement goal of restoring the chemical, physical, and biological integrity of the waters of the Great Lakes Basin Ecosystem. See <http://www.glnpo.us/strategy.html>. Funding Priority - Fiscal Year 2008: (1) Remediation of contaminated sediments, including (a) sediment assessments; (b) evaluations of remedial alternatives; and (c) source identification/source control. (2) Pollution prevention, reduction, or elimination with an emphasis on substances which are persistent and toxic, especially those which bioaccumulate, in the Great Lakes basin. (3) Habitat (Ecological) Protection and Restoration, including demonstration of practices and tools for protecting and restoring aquatic, terrestrial, and wetland ecosystems. (4) Invasive (non-indigenous) aquatic and terrestrial species in the Great Lakes Basin, with an emphasis on prevention. (5) Strategic or emerging issues of basin-wide importance, including projects which: address assessment, causes, and/or effects of chemical or biological pollutants not in the regulatory mainstream; cut across or overlap two or more of the foregoing areas; support conferences regarding the Great Lakes Water Quality Agreement; address issues pursuant to the Great Lakes Executive Order or the Regional Collaboration; or address some other unanticipated area. (6) Lakewide Management Plan and Remedial Action Plan implementation and development, including de-listing of Areas of Concern and Beneficial Use Impairments. (7) Environmental protections related to Lake St. Clair. (8) Strategic Human Health issues. (9) Various aspects of Great Lakes monitoring including fish contaminants, atmospheric deposition, biology, and open water toxics. (10) Projects addressing contaminated sediments in Areas of Concern pursuant to the Great Lakes Legacy Act. Under the Legacy Act, EPA typically funds large projects in Areas of Concern using Project Agreements (not grants) and requiring a minimum 35 percent non-federal match. Funding Priority - Fiscal Year 2009: (1) Remediation of contaminated sediments, including (a) sediment assessments; (b) evaluations of remedial alternatives; and (c) source identification/source control. (2) Pollution prevention, reduction, or elimination with an emphasis on substances which are persistent and toxic, especially those which bioaccumulate, in the Great Lakes basin. (3) Habitat (Ecological) Protection and Restoration, including demonstration of practices and tools for protecting and restoring aquatic, terrestrial, and wetland ecosystems. (4) Invasive (non-indigenous) aquatic and terrestrial species in the Great Lakes Basin, with an emphasis on prevention. (5) Strategic or emerging issues of basin-wide importance, including projects which: address assessment, causes, and/or effects of chemical or biological pollutants not in the regulatory mainstream; cut across or overlap two or more of the foregoing areas; support conferences regarding the Great Lakes Water Quality Agreement; address issues pursuant to the Great Lakes Executive Order or the Regional Collaboration; or address some other unanticipated area. (6) Lakewide Management Plan and Remedial Action Plan implementation and development, including de-listing of Areas of Concern and Beneficial Use Impairments. (7) Environmental protection related to Lake St. Clair. (8) Strategic Human Health issues. (9) Various aspects of Great Lakes monitoring including fishcontaminants, atmospheric deposition, biology, and open water toxics. (10) Projects addressing contaminated sediments in Areas of Concern pursuant to the Great Lakes Legacy Act. Under the Legacy Act, EPA typically funds large projects in Areas of Concern using Project Agreements (not grants) and requiring a minimum 35 percent nonfederal match.

**TYPES OF ASSISTANCE:**

Project Grants; Use of Property, Facilities, and Equipment; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Section 104(b)(3) of the Clean Water Act, 33 U.S.C. Section 1254(b)(3), authorizes the awarding of assistance for programs established under the Clean Water Act. The Great Lakes National Program Manager is delegated authority to award assistance (for research, investigations, experiments, training,



demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of pollution) affecting the Great Lakes Basin and/or in support of the U.S.-Canada Great Lakes Water Quality Agreement. Such activities include surveillance and monitoring of Great Lakes water quality and land use activities. Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved activities plus allowable indirect costs, in accordance with established EPA policies and regulations. Quality System Documentation is required for projects involving measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Section 118 (c)(12) authorizes contaminated sediment remediation in Areas of Concern pursuant to eligible projects under the Great Lakes Legacy Act; however, these will be done through project cooperation agreements, rather than assistance. Eligibility and other requirements for Legacy Act projects is being developed. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State water pollution control agencies, interstate agencies, other public or nonprofit private agencies, institutions, and organizations for the purposes stated in Section 104 (a)(1) of the Clean Water Act, 33 U.S.C. Section 1254(a)(1). "For profit" organizations are not eligible. Colleges and universities which are subject to 40 CFR 30 or 31 are eligible. Since other federal agencies are public agencies or institutions, they are generally eligible to compete and would receive an interagency agreement if selected for an award. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, interstate agencies, public and private nonprofit organizations, institutions, and Indian tribes are eligible; "for profit" organizations are not. Colleges and universities which are subject to 40 CFR 30 or 31 are eligible.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments," OMB Circular No. A-21 "Cost Principles for Educational Institutions," and of OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" apply.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is available. Requests for Initial Proposals and Proposals will be accessible on the Internet from GLNPO's home page (<http://www.epa.gov/glnpo/>) and an announcement will be mailed to organizations which have registered with GLNPO. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

As specified in applicable requests for proposals. Application kits may be requested from USEPA - GLNPO (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604-3590. Application Packages should be submitted to the same address. Standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Proposals are evaluated by EPA reviewers to determine the adequacy of the application under Great Lakes objectives, including technical merit, relevance of the project, environmental outcomes, and cost. Administrative review is done by the Regional Assistance Branch. Funds are awarded by the Great Lakes National Program Office or Region 2, 3, or 5, as applicable. GLNPO assistance is approved by the GLNPO Director and awarded by the Great Lakes National Program Manager. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Schedules are established in Requests for Proposals or Applications and published on the program's web site. A general funding guidance is expected to be issued annually, with proposals due two months later. Specific Requests for Proposals or Applications may be issued throughout the year.

**Range of Approval/Disapproval Time:**

Approximately 60 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Great Lakes National Program Office for information.

**Formula and Matching Requirements:**

This program has no statutory formula. Leveraging, including an applicant's match percentage, will be considered as part of the project selection process for grants and cooperative agreements; however, the program does not expect to require any minimum match requirement. Any such requirement will be specified in the individual Request for Proposals. A minimum 35 percent matching requirement will apply to Legacy Act projects (Section 103 of the Great Lakes Legacy Act of 2002).

**Length and Time Phasing of Assistance:**

Generally 1-2 years; however, some incremental awards are made up to 5 years. The term of the grant shall be determined at the time of grant award.

**Reports:**

Quarterly or semi-annual, interim, and final progress and financial status reports; program evaluation and other reports (such as equipment and invention reports) as required by the specific terms of the Agreement. Financial Status Reports must be submitted.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; EPM.

**Obligations:**

Grants and Cooperative Agreements - FY 07 \$7,165,148; FY 08 est. \$6,200,000; and FY 09 est. \$6,200,000; Project Agreements - FY 07 \$30,000,000 allocated; \$9,218,370 used, \$20,781,630 expected to be used. FY 08 est. \$34,356,000; and FY 09 est. \$35,000,000.

**Range and Average of Financial Assistance:**

Grants and Cooperative Agreements: \$4,000 to \$575,000/fiscal year; \$110,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

The Great Lakes National Program Office (GLNPO) holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement typically includes the number of anticipated awards. EPA's Great Lakes Program has been leading Federal, State, Tribal, local, and industry Great Lakes protection and restoration efforts. Accomplishments include: atmospheric deposition monitoring and open lake monitoring in each Great Lake for toxicant and nutrient loadings and concentrations (using EPA's research vessels); trend and baseline data to support and target remedial efforts and measure environmental progress; publishing results from monitoring the Lake Michigan air, water, sediments, and biota through the Lake Michigan Mass Balance Study; study of Lake Erie "dead zone;" facilitating access to Great Lakes information; contaminated sediment assessments and remediation demonstrations to assist clean-up in Great Lakes Areas of Concern; protection and restoration of important Great Lakes habitats; promoting toxics reduction through the Great Lakes Binational Toxics Strategy; advancing prevention and control of invasive species; and development and implementation of Lakewide Management Plans (LaMPs) and Remedial Action Plans (RAPs). In FY 07, GLNPO announced proposal processes in the priority areas of: Habitat Protection and Restoration (38 submitted totaling \$2.7 million, 22 projects selected totaling \$1.1 million in federal funds); Emerging or Strategic Issues (Disappearing Diporeia - 9 submitted, 2 selected totaling \$200 thousand); and Contaminated Sediments (Legacy Act projects - projects still being developed). In addition, in FY 07 GLNPO completed a general Great

Lakes solicitation through a "funding guidance" addressing various Great Lakes priorities which was announced in FY06 (82 proposals submitted, 32 selected totaling \$5.17M). Non-competitive grants were awarded for contaminated sediments, LaMPs, and RAPs. An FY 08 request for applications for Pollution Prevention and Toxics Reduction (pharmaceuticals and electronic waste) resulted in 28 submittals totaling almost \$600,000 and 17 selections totaling \$350,000. In FY 08, proposal or application processes have been announced and are still under way for: Habitat Protection and Restoration; LaMP/RAP priorities; and Monitoring. Non-competitive grants will also be awarded for LaMPs and RAPs. In FY 09, GLNPO expects to issue competitive requests for proposals or projects in areas supporting the Great Lakes Regional Collaboration Strategy, including the priority areas of: Pollution Prevention and Toxics Reduction; Contaminated sediments; Habitat Protection and Restoration; Emerging or Strategic Issues (including Invasive Species); LaMP and RAP priorities; and Monitoring. GLNPO also will issue non-competitive grants to States and Tribes for LaMP and RAP activities. Additional information is available from links at <http://www.epa.gov/grtlakes/fund/glf.html>.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Requests for proposals, examples, and other Great Lakes funding information is available from <http://www.epa.gov/glnpo/fund/>. General regulations for EPA assistance programs are contained in 40 CFR Parts 30 through 47.

#### **Regional or Local Office:**

Mike Russ, EPA, Great Lakes National Program Office (G-17J), 77 West Jackson Boulevard, Chicago, IL 60604-3590. Telephone: (312) 886-4013; Fax: (312) 353-2018; E-mail: [russ.michael@epa.gov](mailto:russ.michael@epa.gov).

#### **Headquarters Office:**

Contact the Regional Office listed above.

#### **Web Site Address:**

<http://www.epa.gov/glnpo/fund/>

#### **RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454, Water Quality Management Planning; 66.460, Nonpoint Source Implementation Grants; 66.500, Environmental Protection\_Consolidated Research.

#### **EXAMPLES OF FUNDED PROJECTS:**

Grants and cooperative agreements awarded to States, local governments, and nonprofit organizations for contaminated sediment assessment and remediation, pollution prevention and reduction, ecological (habitat) protection and restoration, invasive species, indicator development, strategic and emerging issues, assessment pursuant to the Lake Michigan Mass Balance Study, contaminant monitoring of Lake and tributary waters and biota, and information management projects. Individual project summaries are available from <http://www.epa.gov/glnpo/fund/>.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Proposals are approved by EPA according to technical merit and relevance to the Great Lakes Water Quality Agreement, Section 118 of the Clean Water Act, and the criteria established in the applicable request for proposals.

## **66.471 STATE GRANTS TO REIMBURSE OPERATORS OF SMALL WATER SYSTEMS FOR TRAINING AND CERTIFICATION COSTS**

(Operator Certification Expense Reimbursement Grants)

#### **FEDERAL AGENCY:**

OFFICE OF GROUND WATER AND DRINKING WATER,  
ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Safe Drinking Water Act (SDWA) Amendments of 1996, Section 301, Public Law 104-182.

#### **OBJECTIVES:**

This grant program was established as a one-time grant to states and U.S. territories to train and certify small drinking water system operators. Funding Priority - Fiscal Year 2008: EPA's funding priority has been to provide funds to states to reimburse the costs of training, including an appropriate per diem for unsalaried operators, and certification for persons operating community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are required to undergo training pursuant to EPA's operator certification guidelines. All 50 states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds. Funding Priority - Fiscal Year 2009: EPA's funding priority has been to provide funds to states to reimburse the costs of training, including an appropriate per diem for unsalaried operators, and certification for persons operating community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are required to undergo training pursuant to EPA's operator certification guidelines.

All 50 states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Grants may be used by states to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification needed to meet EPA guidelines. Unsalaries operators may also be reimbursed for per diem costs. States are allowed to use a portion of their grant to administer the program. If a state has reimbursed all such costs, the state may, after notice to the Administrator of EPA, use any remaining funds from the grant for any of the other purposes authorized for Drinking Water State Revolving Fund (DWSRF) capitalization grants under section 1452 of the 1996 SDWA Amendments (CFDA 66.468).

#### **Applicant Eligibility:**

States, Puerto Rico, and U.S. Territories are eligible to receive grants.

#### **Beneficiary Eligibility:**

States and U.S. Territories are the primary beneficiaries. States and U.S. Territories use funds awarded to them to provide reimbursement to operators of community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are publicly- or privately-owned. Indian tribes and Alaska Native Villages may be eligible to receive funding through state programs if they are subject to state operator certification program requirements.

#### **Credentials/Documentation:**

To receive a grant, a State or territory enters into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the requirements set forth in Section 1419(d) of the 1996 SDWA Amendments. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments" applies to state grantees.

#### **Preapplication Coordination:**

An applicant (State and U.S. territory) should seek preapplication assistance from the appropriate EPA Regional Office as listed in Appendix IV of the Catalog. An environmental impact statement is not required prior to grant award. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

The standard application for EPA non-construction grant assistance (EPA Form SF-424) is submitted to the appropriate Regional Office. The state must receive EPA approval of its operator certification program before it can apply for and receive a grant. The state must provide the assurance in its application that it will comply with all applicable Federal cross-cutting authorities and Federal statutes. EPA grant regulations (40 CFR Part 31) apply to states receiving grants. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority (Delegation of Authority 9-68) from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof.

#### **Deadlines:**

Funding is no longer available for reimbursement to states for certification and training cost for drinking water operators of small water systems serving populations of 3,300 or less.

#### **Range of Approval/Disapproval Time:**

Approval time averages 45 days.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

The Regional Administrator may award expense reimbursement grants from funds appropriated for this purpose. Allotments to the States and U.S. territories are based on a formula, approved by the Assistant Administrator for Water, that allocates the funds based on several factors, including the number of operators of small systems within a State. The allocation methodology was published in the Federal Register on April 18, 2001 (66 FR 19939). There are no matching requirements on the initial grant award. However, if a state reimburses all eligible costs and chooses to use the remaining funds for purposes eligible under the DWSRF program (CFDA 66.468), it will be required to provide a 20 percent match on the remaining amount. The allotment of funds to the States is determined by a formula that reflects the costs to train and certify operators of system serving 3,300 persons or fewer in each state.

#### **Length and Time Phasing of Assistance:**

During the two year reimbursement period, 54 awards were made to states for reimbursement of certification and training cost for drinking water operators of small water systems serving populations of 3,300 or less.

#### **Reports:**

Grantees will be required to submit an annual performance report in accordance with EPA general grant regulations.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$0; FY 08 \$0 and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

\$14,420 to \$9,642,860; avg. \$4,828,640.

**PROGRAM ACCOMPLISHMENTS:**

All states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program to date. In FY 07, awarded funds were used to reimburse operators of community and non-transient non-community water systems serving 3,300 persons or fewer for the costs of certification (initial certification fees, certification renewal fees, exam fees) and training (training course fees and materials). In FY 08, awarded funds were used to reimburse operators for certification and training costs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for assistance should review 40 CFR Part 31, the General Grant Regulations and Procedures and guidance produced by the Headquarters drinking water program office.

**Regional or Local Office:**

See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Jenny Bielanski, Protection Branch (4606M), Drinking Water Protection Division, Office of Groundwater and Drinking Water, U.S. Environmental Protection Agency, Washington, DC 20460. Telephone: (202) 564-3836; FAX: (202) 564-3755. E-mail: bielanski.jenny@epa.gov.

**Web Site Address:**

<http://www.epa.gov/safewater/opcert/opcert.htm>.

**RELATED PROGRAMS:**

66.468, Capitalization Grants for Drinking Water State Revolving Funds.

**EXAMPLES OF FUNDED PROJECTS:**

All States, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program. Funds for this grants program are used to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification. Examples of eligible reimbursement costs include: initial certification fees, certification renewal fees, examination fees, costs of training courses, and mileage reimbursements.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

## 66.472 BEACH MONITORING AND NOTIFICATION PROGRAM IMPLEMENTATION GRANTS

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 406, as amended; Beaches Environmental Assessment and Coastal Health Act of 2000, Public Law 106-284.

**OBJECTIVES:**

To assist Coastal and Great Lakes States, territories, and Indian Tribes eligible under Section 518(e) of the Clean Water Act, as amended, in developing and implementing programs for monitoring and notification for coastal recreation waters adjacent to beaches or similar points of access that are used by the public. Funding Priority - Fiscal Year 2008: EPA's funding priority is to award grants to those applicants whose proposals clearly demonstrate a State's, Tribe's, or local government's ability to monitor recreational waters; notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award grants to those applicants whose proposals clearly

demonstrate a State's, Tribe's, or local government's ability to monitor recreational waters; notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

These grants are intended to support the initial development and implementation of recreational water monitoring and notification programs or support enhancement of an existing program. Grant funds can be used for operational support or implementation of recreational water monitoring and notification programs. EPA encourages grantees to use Implementation Grant funds to test various approaches for meeting BEACH Act program requirements. For development grants, programs must clearly demonstrate an increase in a State's, Tribe's, or local government's ability to monitor recreational waters and notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public. To be eligible for implementation grants, programs must also demonstrate that they meet the program performance criteria listed in the National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Coastal and Great Lakes States, territories (the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands), and Tribes eligible under Section 518(e) of the Clean Water Act, as amended. The Administrator may make a grant to a local government under this subsection for implementation of a monitoring and notification program only if, after the one-year period beginning on the date of publication of performance criteria under Section 406 (a)(1), the Administrator determines that the State is not implementing a program that meets the requirements of Section 406(a)(1), regardless of whether the State has received a grant under Section 406(a)(1). Interstate agencies and intertribal consortia are not eligible for Beach grants.

**Beneficiary Eligibility:**

States, U.S. territories, Federally recognized Indian Tribal Governments, environmental and public health agencies, and local governments involved in implementing monitoring and notification programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Tribal, and local governments. Recipients must show compliance with 40 CFR Part 31.

**Preapplication Coordination:**

Preapplication coordination with appropriate EPA Regional Office is encouraged. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Requests for application forms should be made to the appropriate EPA Regional Grants Management Office identified in Appendix IV of the Catalog. Completed applications should be sent to the appropriate Regional or Headquarters Contact. All proposals or work statements should be developed in response to the criteria identified in CRITERIA FOR SELECTING PROPOSALS. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and EPA Headquarters Office, and if approved, is awarded by the Regional Administrator.

**Deadlines:**

The deadline to submit a complete application is 45 days from the date of the program announcement in the Federal Register. Please contact the Headquarters Contact for more information.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of complete application.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval by the appropriate EPA Regional or Headquarters Contact. Please contact the appropriate EPA Regional or Headquarters Contact for guidance.

**Formula and Matching Requirements:**

EPA awards grants to all eligible States and territories who apply for funding based on an allocation formula that the Agency developed for allocating BEACH Act grant funds in 2002. The allocation formula uses three factors that are



readily available and verifiable: (1) Beach season length, (2) beach miles, and (3) beach use. The grants allocation formula sums three parts. The first part is a base amount for all States and Territories that varies with the length of the beach season. The second part distributes 50 percent of the total remaining funds based on the ratio of shoreline miles in a State or territory to the total length of shoreline miles. The third part distributes the remaining 50 percent based on the ratio of coastal population in a State or territory to the total coastal population.

This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Beach grants are normally funded on a 12-month basis (yearly). However, EPA may negotiate the project period, grant continuations, and grant amendments with each applicant based on project requirements.

**Reports:**

Semi-annual or annual reports, as required by the specific terms of the Agreement. Financial Status Reports must be submitted for each project at the end of each fiscal year.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$10,573,400; FY 08 \$9,746,000; and FY 09 est. \$9,900,000.

**Range and Average of Financial Assistance:**

\$150,000 to \$528,200/fiscal year; \$280,100/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

All 35 states and territories that qualify for the BEACH Act Grant program were awarded grants in FY 07. In FY 08, EPA awarded grants to all 35 coastal and Great Lakes states and territories, and eligible tribes that qualified for the BEACH Act Grant program. Program benefits from funding in FY 07 and FY 08 include: development and implementation of recreational water quality monitoring protocol (sampling design, indicator organism); decreasing swimmer exposure by improving communication outreach and education to public on swimming advisories; establishing more efficient and timely management decision process for posting swimming advisories; and constructing databases to provide government and public access to data and information.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island) Matt Liebman, EPA Region 1, One Congress St. Ste. 1110 - CWQ, Boston, MA 02114-2023; Telephone: (617) 918-1626; Fax: (617) 918-1505; E-mail: liebman.matt@epa.gov; Region II (New Jersey, New York, Puerto Rico, U.S. Virgin Islands) Helen Grebe, EPA Region 2, 2890 Woodbridge Ave. MS220, Edison, NJ 08837-3679; Telephone: (732) 321-6797; Fax: (732) 321-6616; E-mail: grebe.helen@epa.gov; Region III (Delaware, Maryland, Pennsylvania, Virginia) Nancy Grundahl, USEPA Region 3, 1650 Arch Street 3ES10, Philadelphia, PA 19103-2029; Telephone: (215) 814-2729; Fax: (215) 814-2318; E-mail: grundahl.nancy@epa.gov; Region IV (Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina) Joel Hansel, EPA Region 4, 61 Forsyth St. 15th Floor, Atlanta, GA 30303-3415; Telephone: (404) 562-9274; Fax: (404) 562-9224; E-mail: hansel.joel@epa.gov; Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin) Holly Wirick, EPA Region 5, 77 West Jackson Blvd. WT-16J, Chicago, IL 60604-3507; Telephone: (312) 353-6704; Fax: (312) 886-0168; E-mail: wirick.holiday@epa.gov; Region VI (Louisiana, Texas) Mike Schaub, EPA Region 6, 1445 Ross Ave. 6WQ-EW, Dallas, TX 75202-2733; Telephone: (214) 665-7314; Fax: (214) 665-6689; E-mail: schaub.mike@epa.gov; Region IX (American Samoa, Commonwealth of the Northern Mariana Islands, California, Guam, Hawaii) Terry Fleming, EPA Region 9, 75 Hawthorne St. Wtr-2, San Francisco, CA 94105; Telephone: (415) 744-1939; Fax: (415) 744-1078; E-mail: fleming.terrence@epa.gov; Region X (Alaska, Oregon, Washington); Rob Pedersen, EPA Region 10, 120 Sixth Ave. OW-134, Seattle, WA 98101; Telephone: (206) 553-1646; Fax: (206) 553-0165;

E-mail: pedersen.rob@epa.gov.

**Headquarters Office:**

Richard Healy EPA, 1200 Pennsylvania Ave. N.W., (4305T), Washington DC 20460; Telephone: (202) 566-0405; Fax: (202) 566-0409; E-mail: healy.richard@epa.gov.

**Web Site Address:**

http://www.epa.gov/waterscience/beaches

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development and implementation of beach monitoring programs; development of databases and websites; purchase of lab equipment for water quality monitoring; construction and posting of signs on beaches; and purchase of vehicles for monitoring.

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible for program implementation grants, applicants must meet program performance criteria outlined in National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004). The performance criteria set forth implementation grant requirements for monitoring and assessing recreation waters and promptly notifying the public of exceedances of water quality for pathogens. As a condition of receipt of a program Implementation Grant under Section 406(b) of the Clean Water Act, a State or local government program for monitoring and notification under this section shall identify: (1) lists of coastal recreation waters in the State, including coastal recreation waters adjacent to beaches or similar points of access that are used by the public; (2) in the case of a State program for monitoring and notification, the process by which the State may delegate to local governments responsibility for implementing the monitoring and notification program; (3) the frequency and location of monitoring and assessment of coastal recreation waters based on: (a) the periods of recreational use of the waters; (b) the nature and extent of use during certain periods; (c) the proximity of the waters to known point sources and nonpoint sources of pollution; and (d) any effect of storm events on the waters; (4)(a) the methods to be used for detecting levels of pathogens and pathogen indicators that are harmful to human health; and (b) the assessment procedures for identifying short-term increases in pathogens and pathogen indicators that are harmful to human health in coastal recreation waters (including increases in relation to storm events); (5) measures for prompt communication of the occurrence, nature, location, pollutants involved, and extent of any exceeding of, or likelihood of exceeding, applicable water quality standards for pathogens and pathogen indicators to: (a) the Administrator, in such form as the Administrator determines to be appropriate; and (b) a designated official of a local government having jurisdiction over land adjoining the coastal recreation waters for which the failure to meet applicable standards is identified; (6) measures for the posting of signs at beaches or similar points of access, or functionally equivalent communication measures that are sufficient to give notice to the public that the coastal recreation waters are not meeting or are not expected to meet applicable water quality standards for pathogens and pathogen indicators; and (7) measures that inform the public of the potential risks associated with water contact activities in the coastal recreation waters that do not meet applicable water quality standards.

**66.473 DIRECT IMPLEMENTATION TRIBAL COOPERATIVE AGREEMENTS**

(DITCA)

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Consolidated Appropriations Act, 2006, Public Law 109-54 (2006).

**OBJECTIVES:**

Direct Implementation Tribal Cooperative Agreements (DITCAs) enable EPA to award cooperative agreements to federally recognized Indian tribes and eligible intertribal consortia to help carry out the Agency's function to implement directly, Federal environmental programs required or authorized by law in the absence of an acceptable tribal program, notwithstanding the Federal Grant and Cooperative Agreement Act. DITCAs are an increasingly important avenue for EPA and the tribes to realize meaningful environmental protection in Indian Country. DITCAs enable EPA to partner with tribes help fulfill EPA's direct implementation authorities, yield environmental results, and assist the Agency in meeting its Strategic Plan goals and targets. DITCAs also provide tribes with the flexibility and opportunity by allowing tribes, through a workplan with EPA and under federal authority, to choose aspects of a program that address their tribal environmental needs and priorities, to determine the scope and pace of tribal involvement, and to build tribal capacity to implement environmental programs. Funding Priority - Fiscal Year 2008: The program provides another avenue for tribes and EPA to partner in implementing meaningful environmental protection in Indian Country. DITCAs provide tribes with the flexibility and opportunity to develop staff capacity to manage environmental programs, to address specific tribal environmental needs and priorities that are within EPA's authority for

direct implementation, and to determine the scope and pace of tribal involvement. EPA retains final decision-making authority and ultimate responsibility for the environmental programs including all regulatory activities. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: 1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or 2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Because DITCAs can address a wide range of activities, and the need for implementation of these activities in Indian Country is great, the funding priority is for any eligible activity that addresses a tribal environmental need or priority, and yields meaningful environmental results for the tribe and the Agency. Funding Priority - Fiscal Year 2009: The program provides another avenue for tribes and EPA to partner in implementing meaningful environmental protection in Indian Country. DITCAs provide tribes with the flexibility and opportunity to develop staff capacity to manage environmental programs, to address specific tribal environmental needs and priorities that are within EPA's authority for direct implementation, and to determine the scope and pace of tribal involvement. EPA retains final decision-making authority and ultimate responsibility for the environmental programs including all regulatory activities. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: (1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or (2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Because DITCAs can address a wide range of activities, and the need for implementation of these activities in Indian Country is great, the funding priority is for any eligible activity that addresses a tribal environmental need or priority, and yields meaningful environmental results for the tribe and the Agency.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

DITCAs assist Tribes in helping EPA directly implement Federal environmental programs required or authorized by law in the absence of an acceptable Tribal program, and may only be awarded to Tribes to assist the Administrator in directly implementing Federal environmental programs for Indian Tribes required or authorized by law. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: (1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or (2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. There are several limitations on DITCA awards. Among them are: (1) The statutory authority for DITCA is found in appropriations acts. In the event the appropriation authority is extended by continuing resolution(s), the DITCA authority will also be extended. (2) The project period of the DITCA may extend beyond the period of the appropriations act under which it was created, but all funds must be awarded prior to the expiration of the appropriations act authorizing the DITCA. (3) DITCA funded personnel may not perform inherently Federal functions. (4) EPA personnel can provide assistance to DITCA representatives based on the written DITCA work plan which may include daily direction. EPA cannot treat DITCA representatives as EPA employees by participating in hiring, disciplining, or firing decisions. (5) DITCA funded personnel cannot operate vehicles which are either owned or leased by the Federal government. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

DITCAs may be awarded to: (1) Federally Recognized Indian Tribal Government, and (2) intertribal consortia consistent with applicable provisions. In order for an intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 CFR Part 35. See Notice of Guidance Issuance: Direct Implementation Tribal Cooperative Agreements (DITCAs) Guidance, 70 Federal Register 1440 (2005). For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Government and intertribal consortia consistent with applicable provisions.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments" apply. In order for intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 CFR Part 35. For additional information see also the Notice of Guidance Issuance, 70 Federal Register 1440 (2005).

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preapplication must be submitted to EPA for review. Successful applicants will be contacted by EPA and will be required to submit "Application for Federal Assistance," SF 424; "Budget Information: Non-Construction Programs," SF 424A, "Assurances-Non-Construction Programs, Certification Regarding Debarment, Suspension and Other Responsibility Matters," SF 424B; "Certification Regarding Lobbying;" "Pre-Award Compliance Review," EPA 4700-4; and other required forms to complete the application process. Eligible applicants should contact the appropriate Regional Office Contact identified in Appendix IV of the Catalog of information regarding preapplications. The forms are available at: <http://www.epa.gov/ogd/AppKit/application.htm>. Completed applications should be submitted to the appropriate Regional Office Contact identified in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will review each application to determine the adequacy of the application in relation to EPA's grant regulations (40 CFR Part 31) and applicable program regulations and guidance. If the application is approved, EPA will award a cooperative agreement up to the reasonable and necessary cost of the approved work plan. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Applications are generally approved and cooperative agreements awarded within 60 to 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Cooperative agreement amounts awarded will be determined based on the total amount available for awards and the amounts requested by Tribes and Intertribal Consortia. This program has no matching requirements. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

EPA normally awards cooperative agreements for periods of 12 to 36 months. The term of the grant shall be determined at the time of award.

**Reports:**

EPA and Tribes will negotiate the frequency and content of performance and financial status reports. Performance reports shall be required at least annually, but not more frequently than quarterly (see 40 CFR Part 31.40 and 31.41).

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual Financial Status Report (SF-269). If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.



**Account Identification:**

68-0108-0-1-304; EPM, STAG.

**Obligations:**

FY 07 \$604,024; FY 08 est \$700,000; and FY 09 est \$700,000.

**Range and Average of Financial Assistance:**

EPA expects cooperative agreement amounts to range between \$10,000 and \$100,000/fiscal year; \$55,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Each EPA Regional Office works with their tribal partners to develop cooperative agreements. The number of DITCAs awarded on an annual basis depends on the amount of available funding from Program Offices. In FY 07, 9 new DITCAs were awarded and 8 DITCAs were continued with additional funding. The increase in the number and funding of DITCAs is partially attributable to an initiative by EPA's American Indian Environmental Office (AIEO) to provide up to \$200,000 per year in matching funds from FY 06 to FY 08 for eligible DITCAs with initial funding commitments from sponsoring offices. Under this matching initiative, DITCAs were awarded in FY 07 and FY 08 for the following activities: Establishing a tribal pesticide circuit rider program in a region to undertake core field program and enforcement activities in the pesticide program, such as inspections, training, compliance assistance across many tribes in that region, where a lack of such programs and authorities currently exists. Developing the capacity of Region 10 tribes to implement, educate, and support activities relating to air quality compliance assistance, education and public outreach, and pollution source inspection activities on their reservations, relating to any applicable tribal rules, as well as Region 10's Federal Air Rules for Reservations in ID, WA, and OR (FARR) and Title V. Assisting EPA in implementing the federal Lead-Based Paint Program under Toxic Substances Control Act (TSCA) on reservations in an EPA region. Specific tasks include lead-based paint abatement, renovation and remodeling and the sale and leasing of Pre-1978 housing occurring throughout Indian Country in that region. Assisting EPA in the implementation of activities in support of Public Water System Supervision (PWSS) drinking water activities in Indian Country. Conducting and completing inventories of Class V wells at two reservations under EPA's Underground Injection Control (UIC) Program. Class V UIC wells are the type of well most commonly found in Indian Country, and include shallow disposal systems such as dry wells, septic systems, and leach fields. The inventories require regulated facilities to comply with certain requirements to protect underground sources of drinking water.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency and applicable EPA guidance. DITCA guidance is available at <http://www.epa.gov/indian/pdfs/ditca-guidance-2004.pdf>.

**Regional or Local Office:**

EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/region.htm>;  
George Frantz, Regional Indian Program Manager EPA Region 1 (CSP), 1 Congress Street, Suite 1100, Boston, MA 02114-2023 Telephone: (617) 918-1883/Fax: (617) 918-1505/[frantz.george@epa.gov](mailto:frantz.george@epa.gov); Christine Yost, Regional Indian Program Coordinator, EPA Region 2, 290 Broadway, New York, New York 10007-1866, Telephone: (212) 637-3564/Fax (212) 637-3772/[yost.christine@epa.gov](mailto:yost.christine@epa.gov); W. J. (Bill) Patton, Tribal Relations Program Coordinator, EPA Region 4, Atlanta Federal Center, 61 Forsyth Street, Atlanta, GA 30303, Telephone: (404) 562-8632/Fax: (404) 562-9961/[patton.bill@epa.gov](mailto:patton.bill@epa.gov); Luke Jones, Director, Indian Environmental Office, USEPA Region 5, 77 W. Jackson Boulevard, Chicago, IL 60604-3507, Telephone: (312) 353-2087/Fax: (312) 353-9533/[Jones.luke@epa.gov](mailto:Jones.luke@epa.gov); Jonathan Hook, Director, Office of Environmental Justice and Tribal Affairs, EPA Region 6, 1445 Ross Ave., Dallas, TX 75202, [hook.jonathan@epa.gov](mailto:hook.jonathan@epa.gov); Wolfgang Brandner, Region 7 Tribal Program Coordinator, EPA Region 7, PLMG/POIS, 901 N. 5th Street, Kansas City, KS 66101, Telephone: (913) 551-7381/Fax: (913) 551-7053/[brandner.wolfgang@epa.gov](mailto:brandner.wolfgang@epa.gov); Connally Mears, Tribal Assistance Program Director, USEPA Region 8 (8P-TA), 999 18th St. Suite 300, Denver, CO 80202-2466, Telephone: (303) 312-6343/Fax: (303) 312-6116/[mears.connally@epa.gov](mailto:mears.connally@epa.gov); Clancy Tenley, Tribal Program Manager, EPA Region 9 (CMD-3), 75 Hawthorne Street, San Francisco, CA 94105, Telephone: (415) 972-3785/Fax: (415) 947-3562/[tenley.clancy@epa.gov](mailto:tenley.clancy@epa.gov); Mary Beth Clark, Senior Tribal Policy Advisor, EPA Region 10, 1200 Sixth Ave. RA-140, Seattle, WA 98101, Telephone: (206) 553-6358/Fax: (206) 553-1809.

**Headquarters Office:**

Glen Langlois, Grants and Interagency Agreements Management Division, EPA, Ariel Rios Building, 1200 Pennsylvania Ave., N.W., MC (3903R), Washington, DC 20460. Telephone: (202) 564-5084; Fax: (202) 565-2467; E-mail: [langlois.glen@epa.gov](mailto:langlois.glen@epa.gov); Jose Aguto, American Indian Environmental Office (4104 M), EPA, Ariel Rios Building, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-0289; Fax: (202) 564-0298; E-mail: [aguto.jose@epa.gov](mailto:aguto.jose@epa.gov).

**Web Site Address:**

<http://www.epa.gov/indian/index.htm>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: (1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or (2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Examples of DITCA activities include: water quality standards promulgation and review; implementation of the National Pollutant Discharge Elimination System permit program under the Clean Water Act; implementation plan development and the Title V permit program under the Clean Air Act; implementation of the Public Water System Supervision program and the Underground Injection Control program under the Safe Drinking Water Act; implementation of the Underground Storage Tank program and the Subtitle C permit program under the Resource Conservation and Recovery Act; certification and training program for pesticide applicators under the Federal Insecticide, Fungicide, and Rodenticide Act; inventory of underground storage tanks; and creation and implementation of a smoke management plan under the Clean Air Act.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Cooperative agreements may be awarded to Tribes which submit applications consistent with EPA regulations and guidance. Potential applicants should work with Regional contacts listed as "Information Contacts" identified in Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program.

**66.474 WATER PROTECTION GRANTS TO THE STATES****FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442, as amended; Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act, 2002, Public Law 107-117; Consolidated Appropriations Resolution of 2003, Public Law 108-7; Consolidated Appropriations Resolution of 2004, Public Law 108-199.

**OBJECTIVES:**

To assist States, Territories, and possessions of the United States with critical water infrastructure protection. Funding Priority - Fiscal Year 2008: EPA's funding priority is to provide grant assistance to the States, Territories, and possessions of the United States to support technical assistance, training, and communication activities on critical water infrastructure protection efforts that include work with drinking water systems as well as with Federal, State, and local agencies. States, Territories, and possessions of the United States will be able to continue their efforts to coordinate critical water infrastructure protection activities with other homeland security responsibilities. Grant awards support Goal 2, "Clean and Safe Water," of EPA's 2006-2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness; communicating vision, mission, and goals of the sector specific plan and the key features of an active and effective security program; helping to ensure security best practices for small systems; promoting outreach and education at small systems; promoting mutual aid compacts development; supporting the development of system redundancy, a national laboratory system and disaster mitigation plans; and developing and overseeing emergency response and recovery plans, including those related to pandemic flu concerns. Funding Priority - Fiscal Year 2009: EPA's funding priority is to provide grant assistance to the States, Territories, and possessions of the United States to support technical assistance, training, and communication activities on critical water infrastructure protection efforts that include work with drinking water systems as well as with Federal, State, and local agencies. States, Territories, and possessions of the United States will be able to continue their efforts to coordinate critical water infrastructure protection activities with other homeland security responsibilities. Grant awards support Goal 2, "Clean and Safe Water," of EPA's 2006-2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness; communicating vision, mission, and goals of the sector specific plan and the key features of an active and effective security program; helping to ensure security best practices for small systems; promoting outreach and education at small systems; promoting mutual aid compacts development; supporting the development of system redundancy, a national laboratory system and disaster mitigation plans; and developing and overseeing emergency response and recovery plans, including those related to pandemic flu concerns.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funded activities include providing: (1) technical assistance, training, or distribution of tools that would lead to satisfactory vulnerability assessments of



drinking water systems; (2) technical assistance, training, or distribution of tools that would lead to drinking water systems creating, amending or updating emergency response plans to meet new requirements or security threats; (3) assistance to improve communications with or between drinking water systems and other agencies or organizations involved with security or emergency response; and (4) other activities focusing on training to enhance security and improving the readiness of individuals and groups involved in first response at drinking water systems. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is available to States, Tribes, Territories, and possessions of the United States.

**Beneficiary Eligibility:**

Water programs of States, Territories, and possessions of the United States.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87.

**Preapplication Coordination:**

Pre-application assistance is recommended and should be obtained from the Grants Management Office of the pertinent EPA Regional Office listed in Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms, furnished by EPA and required by OMB Circular No. A-102, must be used for this program. Requests for application kits may be directed to the Grants Management Office of the applicable EPA Regional Office listed in Appendix IV of the Catalog. Kits may also be obtained online at <http://www.epa.gov/ogd/AppKit/application.htm>. The completed application, including the final proposal, should be submitted to the appropriate EPA Regional Grants Management Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Application forms must be submitted according to dates established by the individual EPA Regional Offices. Contact the individual EPA Regional Offices for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

As was the case in FY 02 through FY 07, for FY 08 a modification of the basic PWSS formula was chosen to allocate the funds, with each State, the District of Columbia, and Puerto Rico receiving a minimum of \$50,000 and each Territory at least \$16,700. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

The project/budget period on these grants may exceed one year. The term of the grant shall be determined at the time of grant award.

**Reports:**

Recipients must submit the reports required in 40 CFR 31 and in accordance with Regional post-award monitoring plans.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$3,730,200; FY 08 \$4,873,000; and FY 09 est \$4,950,000.

**Range and Average of Financial Assistance:**

Funds are awarded by each Regional Office. The range of financial assistance available to States varies according to program and fiscal year. Contact the Grants Management Office of the pertinent EPA Regional Office, listed in Appendix IV of the Catalog, to determine the amount for which applicants are eligible. The range and average of financial assistance provided is: FY 07 - \$16,700 to \$299,900/fiscal year; \$158,300/fiscal year; FY 08 - \$16,700 to \$294,900/fiscal year; \$155,800/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 and FY 08, awards were made to 50 states, the District of Columbia, and 5 Territories. In FY 07 and FY 08, States and Territories developed materials (i.e., documents, training manuals, etc.) focused on improving security and emergency response, ensuring the quality of drinking water vulnerability assessments, and associated security enhancements. Additionally, States and Territories conducted a number of trainings, workshops, and/or conferences to improve infrastructure protection, increase preparedness, promote mutual aid compacts and/or provide information to drinking water utilities. Outcomes included changed management and operation of drinking water utilities based on training, current vulnerability assessments of the utilities, establishment of mutual aid compacts, and improved emergency response coordination and communications. In FY 09, States and Territories will continue to provide similar security activities to achieve the overall outcome of improving critical water infrastructure protection with an emphasis on smaller systems, mutual aid compacts between systems and states, and better understanding and application of an active and effective security system.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, General Regulation for Assistance Programs; EPA Annual Program Guidance provided to States.

**Regional or Local Office:**

Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For general information on the program, contact Nancy Muzzy, Water Security Division, EPA, (Mail Code 140), 26 W. Martin Luther King Drive, Cincinnati, OH 45268. Telephone: (513) 569-7864; Fax: (513) 569-7191; E-mail: [muzzy.nancy@epa.gov](mailto:muzzy.nancy@epa.gov). For specific information on the program, contact the appropriate Regional Office.

**Web Site Address:**

<http://cfpub.epa.gov/safewater/watersecurity/financeassist.cfm>.

**RELATED PROGRAMS:**

66.432, State Public Water System Supervision.

**EXAMPLES OF FUNDED PROJECTS:**

EPA has supported the following types of drinking water security activities: (1) improving communications to drinking water systems by updating drinking water system contact information and utilizing a mass faxing system; (2) providing onsite assistance for small drinking water systems on security issues; (3) developing and mailing security information kits to drinking water systems; (4) maintaining a duty officer program and toll free number to enable operators to reach state drinking water agency after hours; (5) assisting in the formation of neighborhood watch programs to increase citizen awareness of drinking water security; (6) developing guidance for water utilities to use alternative water supplies; (7) incorporating security considerations into state design standards and State Revolving Fund (SRF) criteria; (8) creating websites to provide easy access to state drinking water security information; (9) designing and conducting on-line training, videos, and materials for the law enforcement community to outline water utility security basics; (10) conducting emergency response exercises and drills; (11) creating ready-to-go complete sampling kits to eliminate delays in obtaining bottles and preparing expedited sampling and transport protocols in preparation for emergency water supply collection needs; (12) assisting in preparation of state plans to implement measures for safe drinking water under emergency circumstances; and (13) facilitating mutual aid compacts in instances of emergency need, between states and water systems.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are approved by EPA according to technical merit and relevance, and availability of funds.

**66.475 GULF OF MEXICO PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF WATER, GULF OF MEXICO PROGRAM OFFICE (GMPO), REGION IV, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), 33 U.S.C. 1254.

**OBJECTIVES:**

(1) To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating

innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution; and (2) To expand and strengthen cooperative efforts to restore and protect the health and productivity of the Gulf of Mexico in ways consistent with the economic well-being of the region. Funding Priority - Fiscal Year 2008: Projects that improve the health of the Gulf of Mexico by addressing improved water quality and public health with an emphasis on healthy beaches and shellfish beds, priority coastal wetland and habitat protection/recovery, more effective coastal environment education, improved habitat identification/characterization data and decision support systems, and strategic nutrient reductions. Projects must actively involve stakeholders and focus on short-term support and implementation of the actions and activities in the Gulf of Mexico Alliance Governors' Action Plan for Healthy and Resilient Coasts. Funding Priority - Fiscal Year 2009: Projects that improve the health of the Gulf of Mexico by addressing improved water quality and public health with an emphasis on healthy beaches and shellfish beds, priority coastal wetland and habitat protection/recovery, more effective coastal environment education, improved habitat identification/characterization data and decision support systems, and strategic nutrient reductions. Projects must actively involve stakeholders and focus on short-term support and implementation of the actions and activities in the Gulf of Mexico Alliance Governors' Action Plan for Healthy and Resilient Coasts.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Section 104 (b)(3) of the Clean Water Act, 33 U.S.C. Section 1254 (b)(3) authorizes the awarding of assistance for programs established under the Clean Water Act. Assistance will be targeted to States, Tribes, interstate agencies, and other public or nonprofit organizations that commit to specific activities. Eligible activities should be of a relatively short time frame (6 months to 3 years) and all projects should achieve and demonstrate results. Assistance agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, research, and demonstrations plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Funds are available to State and local governments, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, interstate agencies, Tribes, colleges and universities, individuals, and other public or nonprofit organizations.

**Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31 and with Program Funding Guidance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-122 for nonprofit organizations, and OMB No. A-21 for educational institutions.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants should follow the proposal format and instructions provided in the Funding Announcement. The proposal should be transmitted electronically to the email address and by the date and time published in the Funding Announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

All Proposals must be received on or before the closing date and time published in Section IV of the funding announcement. Proposals received after the published closing date and time will be returned to the sender without further consideration.

**Range of Approval/Disapproval Time:**

Approximately 90-120 days following the application deadline as addressed in

the competitive funding announcement.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Gulf of Mexico Program Office for information.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award.

**Reports:**

Quarterly progress and financial status report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs/outcomes or results that will be completed by the end of the project period will also be included, as will any specific requirements included in the assistance agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; EPM.

**Obligations:**

FY 07 \$2,258,800; FY 08 \$3,325,000; and FY 09 est. \$2,092,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$333,000/fiscal year; \$147,592/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 41 proposals were received in response to a competition to support projects to accomplish short-term actions toward implementation of the 11 actions and 73 activities in the Gulf of Mexico Alliance Governors' Action Plan for Healthy and Resilient Coasts, and 13 assistance agreements were awarded. Accomplishments include: development of a Public Awareness Campaign for the Gulf of Mexico; implementation of the Coastal and Marine Ecological Classification Standard in the Gulf of Mexico to support development of the Priority Habitat Information System; implementation of a Spatial Catalog to Characterize and Identify Habitats in the Gulf of Mexico; Enhancing Local Capacity to Reach Underserved and Underrepresented Populations; validation and testing of Microbial Source Tracking Methodologies; coordination of Water Quality Monitoring across the Gulf of Mexico; a Gulf of Mexico Ocean Literacy Project; and a Binational HAB Risk Assessment and Communications Partnership. In FY 08, 31 proposals were received in response to a competition to continue support for projects to accomplish implementation of the Gulf of Mexico Alliance Governors' Action Plan. It is estimated that approximately 12-15 assistance agreements will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For assistance agreements with States, local governments, and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For assistance agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Regional or Local Office:**

Contact the EPA Region 4 Office listed in Appendix IV of the Catalog for information on the grants administration process. Local Office: EPA/Gulf of Mexico Program Office, Mail Code EPA/GMPO, Stennis Space Center, MS 39529, Attention: Esther Coblentz. Telephone: (228) 688-1281. Fax: (228) 688-2709. E-Mail: [coblentz.esther@epa.gov](mailto:coblentz.esther@epa.gov).

**Headquarters Office:**

None.

**Web Site Address:**<http://www.epa.gov/gmpo/>.**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.463, Water Quality Cooperative Agreements; 66.606, Surveys, Studies, Investigations and Special Purpose Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Water quality modeling support, wetlands resource management baseline, harmful algal bloom information exchange, seagrass restoration, nutrient control/monitoring of eutrophication, stormwater biofilter demonstration, marshland upwelling system, point source locations, wastewater treatment feasibility study, nutrient modeling, waterbird rookery management, outreach and communications strategy targeted at high-risk consumers of shellfish, invasive species education exhibit, inventory of marine science research, assessment of introduction of nonindigenous aquatic species from ballast water, septic tank maintenance, response plan for harmful algal blooms, assessment of groundwater discharge and sewage impacts, reducing onsite sewage treatment system impacts, nutrient flux from sediments, monitoring and assessment of stormwater diversion, assessment status of invasive species, bacterial source tracking, smart growth planning, wetland inventory, acute pollution event response plan, synoptic survey of total mercury in recreational finfish, ecological assessment and calibration of water quality, mercury levels in harvested fishes, remote sensing of harmful algal blooms, shoreline protection, hydrological modifications impact study.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Projects will be selected based on the criteria and ranking factors established in the GMPO Competitive Funding Announcement.

## 66.478 WATER SECURITY TRAINING AND TECHNICAL ASSISTANCE AND WATER SECURITY INITIATIVE CONTAMINATION WARNING SYSTEM PILOTS

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Safe Drinking Water Act, Sections 1433 and 1434, as added by The Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Title IV, Public Law 107-188; Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act of 2002, Public Law 107-117.

**OBJECTIVES:**

The objective of these grant programs are (1) for financial assistance that is awarded under SDWA Section 1433, to improve water infrastructure security through both training and technical assistance for water utilities and (2) for cooperative agreements that are awarded under SDWA Section 1434, to address the risk of intentional contamination of drinking water distribution systems. Funding Priority - Fiscal Year 2008: For Section 1433 financial assistance for Fiscal Year 2008, EPA's funding priority is to provide assistance to eligible non-profit organizations that provide training, technical support or other assistance to water utilities. Specifically, EPA is seeking to utilize the ability of non-profit organizations to provide water security technical support and training. For Section 1434 cooperative agreements for Fiscal Year 2008, EPA's funding priority is to provide assistance to community water systems for drinking water contamination warning system pilot projects. Financial assistance awarded under both of these programs support Goal 2, Clean and Safe Water, of EPA's 2006 - 2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness. Funding Priority - Fiscal Year 2009: For Section 1433 financial assistance for Fiscal Year 2009, EPA's funding priority is to provide assistance to eligible nonprofit organizations that provide training, technical support or other assistance to water utilities. Specifically, EPA is seeking to utilize the ability of nonprofit organizations to provide water security technical support and training. For Section 1434 cooperative agreements for Fiscal Year 2009, EPA's funding priority is to provide assistance to community water systems for drinking water contamination warning system pilot projects. Financial assistance awarded under both of these programs support Goal 2, Clean and Safe Water, of EPA's 2006 - 2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funded activities for financial assistance awarded under Section 1433 of the SDWA include: (1) training to gain competence and expertise in the process of developing or completing vulnerability assessments; (2) training to gain competence and expertise in the process of developing, amending, or updating

emergency response plans; (3) training to gain competence and expertise in various security enhancements; and (4) providing competent training and technical assistance in the aforementioned areas to help states, tribes, and local authorities in their water infrastructure security efforts. Funded activities for cooperative agreements awarded under Section 1434 of the SDWA may include: (1) demonstration of contamination and warning system monitoring and surveillance components; (2) contamination warning system consequence management plan; and (3) evaluation and transfer of results. Specific uses and restrictions on funds will be described in detail in the competitive announcements for each program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Financial assistance awarded under Section 1433 of the SDWA is available to public nonprofit institutions/organizations and private nonprofit institution/organizations, capable of providing training, technical support and/or assistance to drinking water systems. Cooperative agreements awarded under Section 1434 of the SDWA will be limited to local governments or institutions (either public or private nonprofit organizations) that operate community water systems (as defined in 40 CFR Section 141.2). Note that 501(c)(4) nonprofit organizations that lobby are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

For financial assistance awarded under both Sections 1433 and 1434 of the SDWA, the beneficiaries are the drinking water systems, the water programs of the State or Tribe, and the public which will benefit from these programs through safer and more secure drinking water.

**Credentials/Documentation:**

EPA may request that applicants demonstrate their eligibility.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372. Section 1434 cooperative agreements are a new grant program that has not been included in the agency's list of programs subject to Intergovernmental review. However, EPA recommends that applicants for these cooperative agreements should consult the office or official designated as the single point of contact in its State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program also does not require an environmental impact statement or assessment.

**Application Procedure:**

Applicants must submit an "Application for Federal Assistance," SF 424, "Budget Information: Non-Construction Programs," SF 424A, "Assurances: Non-Construction Programs," SF 424B, "Certification Regarding Debarment, Suspension and Other Responsibility Matters," "Certification Regarding Lobbying," "Pre-Award Compliance Review Report," EPA 4700-4, and other required forms to complete the application process. Application kits should be requested from the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, Mail Code 3903R, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including an application kit, required forms, and a check list, may also be found at <http://www.epa.gov/ogd/AppKit/index.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Applications should be submitted in accordance with the procedures stated in the competitive announcement.

**Award Procedure:**

Applications are reviewed by EPA, where subsequent grant awards are made to successful applicants. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

EPA will consider all grant proposals/applications received on or before the due date stipulated in the announcement of a competitive funding opportunity.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days after deadline for application submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."



Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Any continuation of funding will be described in the terms of the assistance agreement.

**Formula and Matching Requirements:**

Matching requirements, if any, will be described in the competitive announcement. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award.

**Reports:**

A final financial status report is due at the end of the grant period. Terms/Conditions will be negotiated in the final grant award that will outline the procedures that grant recipients must follow to demonstrate to EPA that the project(s) performed under this grant program were satisfactorily completed.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304; 68-0108-0-1-304.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 \$0 for financial assistance awarded under Section 1433 of the SDWA; For cooperative agreements awarded under Section 1434 of the SDWA, FY 07 \$0; FY 08 \$20,119,149; and FY 09 est. \$19,000,000 depending on funding available.

**Range and Average of Financial Assistance:**

For financial assistance awarded under Section 1433 of the SDWA, no funding was provided in FY 07 and FY 08, and none is anticipated for FY 09; For cooperative agreements awarded under Section 1434 of the SDWA, the range was estimated as \$3,000,000 to \$12,000,000 per agreement. For Fiscal Year 08 the actual range was a low of \$8,119,150 and a high of \$11,999,999 for an average of \$10,059,574. Estimate for FY 09 is a low and high of \$9,500,000 for an average of \$9,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Competitions are held at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 07, for Section 1433 awards, no competitive announcements were issued and no new awards were made. Grantees with existing awards continued to provide direct technical assistance to drinking water systems nationwide for the completion of vulnerability assessments and emergency response plans. The immediate outcome was that drinking water systems were able to address federal requirements for the completion and submission of vulnerability assessments and the creation or revision of emergency response plans. The long-term outcome is that drinking water systems have improved their security through an analysis of their vulnerabilities and preparation to address these vulnerabilities. Currently for FY 08, EPA has no funds available; however, should funding become available, projects that will improve the security of drinking water systems will be the focus of the awards. For Section 1434 awards, this is a new financial assistance pilot program. In FY 07, EPA issued a competitive announcement (for FY 07 and FY 08 funds) to award up to four cooperative agreements to support drinking water contamination warning system demonstration pilots. These pilots will be part of the Agency's Water Security Initiative, which seeks to develop a warning system that achieves timely detection of and appropriate response to drinking water contamination incidents. It is anticipated that the pilots will include specified monitoring and surveillance components, a consequence management plan, and an evaluation plan. The anticipated outcome is that these pilots will generate information that allows community water systems nationally to practice effective techniques to detect and respond to possible contamination events. Drinking water consumers will experience a reduction in risk associated with drinking water contamination and improved water quality. In FY 08, cooperative agreements were awarded to two pilots with the expectation that the project will demonstrate and review the

effectiveness of drinking water contamination warning systems for community water systems, through reviewing multiple monitoring and surveillance components designed to provide timely detection of contamination in the drinking water distribution systems. In FY 2009 (using FY 08 and FY 09 funds) the Agency anticipates awarding the final two cooperative agreements for the pilot systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe Drinking Water Act, Sections 1433 and 1434; "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations," 40 CFR Part 30, and "Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments," 40 CFR Part 31.

**Regional or Local Office:**

Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For general information only on the Section 1433 program, contact Nancy Muzzy at EPA; Water Security Division, Mail Code 140; 26 W. Martin Luther King Drive; Cincinnati, OH 45268; Telephone: (513) 569-7864. Fax: (513) 569-7191. E-mail: muzzy.nancy@epa.gov. For general information only on the Section 1434 program, contact Dan Schmelling at EPA; Water Security Division, Mail Code 4608T; 1200 Pennsylvania Ave., N.W.; Washington, DC 20460; Telephone: (202) 564-5281; Fax: 202-566-0055. E-mail: Schmelling.dan@epa.gov.

**Web Site Address:**

<http://cfpub.epa.gov/safewater/watersecurity.cfm>.

**RELATED PROGRAMS:**

66.474, Water Protection Grants to the States.

**EXAMPLES OF FUNDED PROJECTS:**

EPA has supported the following types of projects under financial assistance awarded under Section 1433 of the SDWA: 1. A private non-profit organization obtains training for approximately 120 of its members to become security trainers who will assist state and local agencies with drinking water security; 2. A private non-profit organization obtains training on the use of vulnerability assessment software and provides additional training for non-profit groups and state, tribal, and local agencies; 3. A private non-profit organization provides security training on the completion of vulnerability assessments and emergency response plans to drinking water systems serving populations between 50,000-100,000 people; 4. A private non-profit organization provides follow-up technical support to drinking water systems serving populations between 50,000-100,000 people on the completion of vulnerability assessments and emergency response plans; and 5. A private non-profit organization provides direct technical assistance to drinking water systems nationwide serving populations between 3,300 and 10,000 people for the completion of vulnerability assessments and emergency response plans. For cooperative agreements to be awarded under Section 1434 of the SDWA, EPA anticipates funding contamination warning system demonstration pilots (i.e., designing, installing, and operating) that will include monitoring and surveillance components of the Water Security design, a consequence management plan, and an evaluation plan.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.479 WETLAND PROGRAM GRANTS - STATE/TRIBAL ENVIRONMENTAL OUTCOME WETLAND DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY  
**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), as amended, Public Law 92-500, 33 U.S.C. 1254(b)(3).

**OBJECTIVES:**

To assist State and Tribal government agencies protect, manage, and restore wetlands. Funding Priority - Fiscal Year 2008: This one-time pilot program funded FY 05 through FY07 funded assistance agreements for demonstration projects that proposed to demonstrate the extent to which the implementation of wetland programs (both regulatory and nonregulatory) resulted in positive environmental outcomes, in particular no net loss, net gain, and protection of vulnerable wetlands. The work plans contained at a minimum three basic elements: establishment of baseline data, implementation of wetland programs, and documentation of the environmental outcomes of the implementation of the wetland programs. This program was designed to be a one-time pilot effort; as a result, EPA does not plan on funding any new projects. Funding Priority - Fiscal Year 2009: This one-time pilot program, funded FY 05 through FY07, provided grants for states and tribes to implement regulatory and nonregulatory activities to assess whether financial assistance for wetland program implementation yields positive environmental outcomes. Grantees annually report the

programmatic and environmental outcomes resulting from their grants. This program represents a one-time pilot effort; EPA does not plan on funding any new projects.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

State/Tribal Environmental Outcome Wetland Demonstration Grants provide eligible applicants an opportunity to conduct projects that promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. This pilot program will demonstrate that supporting the implementation of State and Tribal wetland programs will have positive environmental results and will support the no net loss/net gain of wetland acreage goal and support increased involvement of State and Tribal protection of vulnerable waters. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States and Tribal wetland agencies are eligible for the State/Tribal Environmental Outcome Wetland Demonstration Program competition pilot. Local agencies and non-for-profits are not eligible for participation. Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and tribal governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complementing wetlands protection programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Tribal, and local governments.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information is available on the EPA website at: <http://www.epa.gov/owow/wetlands/grantpilot/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The EPA Headquarters (HQ) Office established criteria against which State and Tribal wetland programs were evaluated and ranked. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines were posted on the following EPA website (<http://www.epa.gov/owow/wetlands/grantpilot/>). You can contact the EPA Regional or Headquarters Office for information and to confirm deadlines. For general information contact the EPA Wetlands Helpline at: (800) 832-7828.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 120 days of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. State and Tribal government agencies must provide a minimum of 25 percent of each award's total project costs in accordance with 40 CFR 31.24, 35.385, and 35.615. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). 40 CFR 35.536(c) (the Environmental Program Grants for Tribes Regulation), States that "the required

cost share shall be five percent of the allowable cost of the work plan budget for that program" if the Tribal applicant puts the funds into a PPG. Tribal applicants can submit budgets with a 5 percent match if the Tribe is going to put the funds into a PPG. The following term and condition will be included in the assistance agreement awarded to the Tribe: If the Wetlands Program Grant Funds are not or could not be included in a PPG, then the Tribe must provide a 25 percent match. The match requirement can be met with contributions from entities other than the award recipient. Other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. However, Indian tribes can use funds provided under the Indian Self-Determination and Education Act (25 U.S.C. Section 450 et seq.) to provide the required matching funds to the extent authorized by that Act and implementing regulations. Matching funds are considered grant funds. They may be used for the reasonable and necessary expenses of carrying out the work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the use of matching funds.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award.

**Reports:**

Quarterly interim and final progress and expenditure reports; program evaluations; and other reports as required by the specific terms of the Agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$6,157,723; FY 08 est. \$0 and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

\$200,000 to \$300,000/fiscal year; \$250,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Funding is for projects designed to investigate and demonstrate whether wetland program implementation results in positive environmental and programmatic outcomes. In FY 05, EPA received 51 proposals in response to the competitive announcement released November 05, 2004. EPA awarded 26 one-time pilot grants to 22 states and one tribe. Projects include: activities to track no net loss of wetland acres in the 404 regulatory program and net gain in wetland acres and functions; monitoring and assessment; compliance inspections and enforcement of state regulatory programs; state permit reviews; inventory and mapping of wetland resources; compensatory mitigation; and development of rules, policies, and procedures to restore and protect vulnerable wetlands. At the end of each year of funding, projects report the outcomes resulting from activities funded by the pilot grants. To date, pilot grant recipients have submitted two annual reports; they will submit the third and final report in January 2009. The following represents a sample of results reported to date; these numbers will increase when the pilot projects are complete: -Restoration: 3 grantees have restored 183 wetland acres and 1,542 stream feet; - Inventory and Mapping: 8 grantees have inventoried or mapped 6.7 million acres of wetland resources and surrounding lands; -Data Systems: Because of updated and reconfigured data tracking systems, 44 more programs, agencies, and organizations in 9 states are using wetland data systems; - Monitoring and Assessment: 5 grantees have monitored and/or assessed almost 724,000 wetland acres; and - Regulation: 8 grantees have adopted and implemented 3 new rules and 12 policies or procedures to better protect wetlands resources through State programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations, and Procedures (40 CFR Parts 31 and 35).

**Regional or Local Office:**

Region 1 - CT, ME, MA, NH, RI, VT: Jeanne Voorhees. US EPA Region 1, 1 Congress Street, MC CSP, Suite 1100, Boston, MA, 02114. Telephone: (617) 918-1686. [voorhees.jeanne@epa.gov](mailto:voorhees.jeanne@epa.gov). Region 2 - NJ, NY, PR, VI: Kathleen Drake, EPA Region 2, 290 Broadway, NY, NY, 10007. Telephone: (212) 637-3817. [drake.kathleen@epa.gov](mailto:drake.kathleen@epa.gov). Region 3 - DE, MD, PA, VA, WV, DC: Anita

Provenzano, EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Telephone: 215-814-5180. provenzano.anita@epa.gov. Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson and Rhonda Evans, EPA Region 4, 61 Forsyth Street, S.W., Atlanta, GA, 30303. Telephone: (404) 562-9393 (M. Jackson); (404) 562-9369 (R. Evans). jackson.morgan@epa.gov; evans.rhonda@epa.gov. Region 5 - IL, IN, MI, MN, OH, WI: Sue Elston, EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Telephone: (312) 886-6115. elston.sue@epa.gov. Region 6 - AR, LA, NM, OK, TX: Mariama Dover, EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Telephone: (214) 665-6778. dover.mariama@epa.gov. Region 8 - CO, MT, ND, SD, UT, WY: Toney Ott, EPA Region 8, 1595 Wynkoop Street, 8EPR-EP, Denver, CO, 80202. Telephone: (303) 312-6909. ott.toney@epa.gov. Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne Marr and Paul Jones, EPA Region 9, 75 Hawthorne Street, WTR-3, San Francisco, CA 94105. Telephone: (415) 972-3468 (S. Marr); (415) 972-3470 (P. Jones). marr.suzanne@epa.gov; jones.paul@epa.gov. Region 10 - AK, ID, OR, WA: Yvonne Vallette, EPA Region 10, Oregon Operations Office, 811 S.W. 6th Ave, 3rd Floor, OOO, Portland, OR, 97204. Telephone: (503) 326-2716. vallette.yvonne@epa.gov.

**Headquarters Office:**

Katherine Antos, EPA Wetlands Division, 1200 Pennsylvania Avenue, N.W., MC (4502T), Washington, DC 20460. Telephone: (202) 566-0620; Fax: (202) 566-1349; E-mail: antos.katherine@epa.gov.

**Web Site Address:**

<http://www.epa.gov/owow/wetlands/grantpilot/>.

**RELATED PROGRAMS:**

66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.454, Water Quality Management Planning; 66.456, National Estuary Program; 66.458, Capitalization Grants for Clean Water State Revolving Funds; 66.461, Regional Wetland Program Development Grants.

**EXAMPLES OF FUNDED PROJECTS:**

This is a one-time pilot grant program. Examples of funded projects include: monitoring/assessment for vernal wetlands, enforcement activities, state permit review, mapping, program assessments, compensatory mitigation assessment and tracking, and protection of vulnerable wetlands.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Decisions of which States and Tribes will receive funding under this pilot will be determined by how the State or Tribe's program rank using established criteria and factors. These criteria will be published on the HQ Office's website ([www.epa.gov/owow/wetlands/grantpilot/](http://www.epa.gov/owow/wetlands/grantpilot/)). States and Tribes will be evaluated and ranked according to these criteria and factors. Funding under this pilot program will be provided to the States and Tribes that rank the highest.

## 66.480 ASSESSMENT AND WATERSHED PROTECTION PROGRAM GRANTS

(AWPPG)

**FEDERAL AGENCY:**

OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. The two main goals of the Assessment and Watershed Protection Program Grants (AWPPGs) include supporting a watershed approach to better address water quality problems in the U.S. and building the capacity of all levels of government to develop and implement effective, comprehensive programs for watershed protection, restoration, and management. Funding Priority - Fiscal Year 2008: Funding under this program area includes: Watershed/Total Maximum Daily Load (TMDL) Program - (1) Assessment and TMDL Workshops; (2) Impaired Waters Recovery and Results Analysis; (3) Tools and Products Training for the Watershed Approach; and (4) Tools, Incentives and Trainings that Foster Financing of Water Quality, Habitat Restoration/Protection on a Watershed Scale. Nonpoint Source Program - (1) National Conference and Outreach Program to Promote Clean Lakes.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements.

**Applicant Eligibility:**

Assistance under this program is available to States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Costs will be determined in accordance with OMB Circular no. A-21 for educational institutions, OMB Circular Nos. A-122 for nonprofit organizations, and A-87 for State and local governments.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, investigations, experiments, training, demonstrations, surveys, and studies and based on competitive applications submitted in response to EPA solicitations. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular Nos. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Ave., NW, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines will be specified in the announcement of the competitive funding opportunity.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly,



interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; EPM.

**Obligations:**

FY 07 \$1,100,000; FY 08 \$500,000; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

\$10,000 to \$100,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07 funds, approximately 130 proposals were received, of which 18 were funded. Awards ranged from \$15,000 to \$200,000. Project outputs for FY 07 included workshops on innovative assessment and modeling techniques, training handbook(s) on low impact development practices, case studies on agricultural drainage practices, and volunteer monitoring newsletters. For FY 08, it is anticipated that five to eight awards may be made under a Request for Proposals. Specifically, EPA is soliciting proposals from eligible applicants under two National Priorities: (1) Watershed/Total Maximum Daily Load (TMDL) National Priority and (2) Nonpoint Source National Priority.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. For program information contact: Diane Edwards, EPA Office of Wetlands, Oceans and Watersheds, 1200 Pennsylvania Ave., NW (MC 4501T), Washington, DC 20460, Telephone: (202) 566-1254; Fax: (202) 566-1147; E-mail: edwards.diane@epa.gov, or Tim Icke, EPA Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, 1200 Pennsylvania Ave., N.W. (MC 4501T), Washington, DC 20460. Telephone: (202) 566-1211; Fax: (202) 566-1333; E-mail: icke.tim@epa.gov.

**Web Site Address:**

<http://www.epa.gov/owow/funding.html>.

**RELATED PROGRAMS:**

66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act.

**EXAMPLES OF FUNDED PROJECTS:**

EPA awards grants to support the following types of watershed planning activities: workshops on innovative TMDL assessment; workshops on innovative TMDL modeling techniques; training handbook(s) on low impact development; demonstration studies on new techniques to control agricultural drainage; production of volunteer monitoring newsletter(s).

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.481 LAKE CHAMPLAIN BASIN PROGRAM**

(Lake Champlain Program)

**FEDERAL AGENCY:**

REGION 1 AND REGION 2, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Section 120 of the Clean Water Act (CWA), as amended by Public Law 107-303.

**OBJECTIVES:**

To implement the Lake Champlain Basin Management Plan Opportunities for Action: An Evolving Plan for the Future of the Lake Champlain Basin, and to assist the states of New York and Vermont in protecting and preserving the Lake Champlain ecosystem. Funding Priority - Fiscal Year 2008: Efforts in Lake Champlain will continue to support the successful interstate, interagency, and international partnership undertaking the implementation of "Opportunities for Action," a plan designed to address various threats to the Lake's water quality, including phosphorus loadings, invasive species, and toxic substances. Grants under this program shall be made for assisting research, surveys, studies, modeling, technical, field, restoration, education, outreach, and other supporting work necessary for the development and implementation of the Lake Champlain Basin Management Plan. Funding priorities include phosphorus control, environmental education and outreach, and support for cultural and recreational resources. Funding Priority - Fiscal Year 2009: Efforts in Lake Champlain will continue to support the successful interstate, interagency, and international partnership undertaking the implementation of "Opportunities for Action," a plan designed to address various threats to the Lake's water quality, including phosphorus loadings, invasive species, and toxic substances. Grants under this program shall be made for assisting research, surveys, studies, modeling, technical, field, restoration, education, outreach, and other supporting work necessary for the development and implementation of the Lake Champlain Basin Management Plan. Funding priorities include phosphorus control, environmental education and outreach, and support for cultural and recreational resources.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

As described in Section 120 of the CWA, funds may be used to implement elements of the Lake Champlain Basin Management Plan, Opportunities for Action. Projects outside of the Lake Champlain Basin are not eligible for funding under this program. Grant awards must be made in consultation with the Lake Champlain Basin Program Steering Committee, and must support activities consistent with the goals of Opportunities for Action. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and public or nonprofit agencies, institutions, and organizations are eligible to receive grants from EPA through this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program generally benefits State environmental, health, and agriculture agencies; interstate water pollution control agencies; public nonprofit institutions and organizations; sponsored organizations; Federal agencies; local agencies; intrastate agencies; public and private nonprofit institutions and organizations; private organizations; small businesses; and quasi-public nonprofit institutions.

**Credentials/Documentation:**

Nonprofit private agencies, institutions, and organizations may be required to provide documentation of their organizational status upon application.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. A pre-application form is not required. Informal pre-application discussions or conferences with the Lake Champlain Basin Program Steering Committee, and EPA Regions 1 and 2 are required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The Lake Champlain Basin Program Steering Committee, in conjunction with EPA Regions 1 and 2, develops the annual budget and task list. This budget and task list is then divided between the States of Vermont and New York and the New England Interstate Water Pollution Control Commission. From this information, these three organizations then prepare grant applications and workplans for submittal to EPA Region 2 or Region 1. The standards application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications

to be made on Standard Form 424. Application kits should be requested from the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Detailed information and assistance, including and application kit, required forms, and a checklist may also be found at: <http://www.epa.gov/ogd/AppKit/>. Applications must be submitted to the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Each federal assistance application and final work plan will be evaluated by EPA Region 1 or Region 2 to determine the adequacy of the application under the established EPA grants program requirements and guidelines, including, but not limited to, the requirements set forth in 40 CFR Parts 30 and 31. Technical merit and the relevance of the project to the priorities and objectives established in Opportunities for Action will also be considered. Each application will also be subject to an administrative review by the EPA Region 1 or 2 grants management office as appropriate to determine whether all administrative requirements have been met. The workplan is submitted to the EPA Region 1 and 2 Regional Administrators for approval prior to the award of any assistance agreement. Once a Regional Office approves the annual workplan, funds are awarded by the EPA Region 1 or 2 Regional Administrator as appropriate. Grantees will receive an award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the grants management office within 30 days. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Deadlines for annual funding for the Lake Champlain Basin Program will vary from year to year, but will generally be in late winter or early spring. Please contact the EPA officials listed in the "Regional or Local Office" section below for further information.

#### **Range of Approval/Disapproval Time:**

Notification of action on proposals varies depending on the timing of funds release to the EPA Regional Offices from Headquarters. Interval from submission to notification may vary from two months to eight months.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

No cost extensions and amendments may be available subject to the approval of EPA. Approval of subsequent funding is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

#### **Formula and Matching Requirements:**

This program has a statutory matching requirement; see CWA section 120 (f)(3). For all assistance (grants and cooperative agreements) agreements made under this program, federal costs shall not exceed 75 percent of the total cost of the agreement. This program has no statutory funding formula.

#### **Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a multi-year period at the discretion of EPA. Start dates for assistance agreements are variable and are established at the discretion of EPA. Generally however, it is intended that start dates closely follow award dates of the assistance agreement. Awards are fully funded, recipients draw down funding as cost are incurred, typically monthly.

#### **Reports:**

Quarterly, interim, and final progress and/or financial status reports; program evaluation and other reports (such as equipment and invention reports) as required by the specific terms of the Agreement. Financial Status Reports on the standard federal form must be submitted. MBE/WBE quarterly reports are also required. Quality Management Plans and Quality Assistance Project Plans may also be required.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those that arose as a result of an audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304; EPM.

#### **Obligations:**

FY 07 \$997,000; FY 08 \$2,707,000 and FY 09 \$934,000.

#### **Range and Average of Financial Assistance:**

\$75,000 to \$1,199,300/fiscal year; \$637,000/fiscal year.

#### **PROGRAM ACCOMPLISHMENTS:**

Since 1991, EPA's funding of the Lake Champlain Basin Program has led protection and restoration of the Lake Champlain basin through coordination with federal, provincial, state, and municipal agencies and local citizens. The main program goals, as laid out in the Lake Champlain Management Plan Opportunities for Action, are as follows: reducing phosphorus inputs to Lake Champlain; decreasing toxic contamination; minimizing the risks to humans from water-related health hazards; and controlling the introduction, spread, and impact of nonnative nuisance species. EPA works with the Lake Champlain Basin Program Steering Committee to determine funding priorities and distributes funds accordingly. The following four entities receive funding on an annual basis: New England Interstate Water Pollution Control Commission (NEIWPCC), Vermont Department of Environmental Conservation, the New York Department of Environmental Conservation, and the Lake Champlain Science Center. They may choose to compete all or part of the funds. Competitive announcements typically include the number of anticipated awards. In FY 07, funds were used to support protection and restoration of the Lake Champlain Basin. Specific examples of accomplishments in FY 07 include: Developed 17 new wayside interpretive exhibits, three new bikeways guides, and one new water trail guide; awarded 11 new local subgrants to watershed organizations; obtained and processed 3,836 water chemistry samples as part of a long-term water quality monitoring program; trained teachers and educated students through 26 classroom visits and field days; provided information about Lake Champlain to 14,000 resource room visitors; serviced 31,000 website visits; developed 12 new resource room exhibits; prepared 12,000 brochures on using lawn fertilizer without phosphorus; distributed 127,315 newspaper inserts about Lake Champlain restoration successes and challenges; and hired four seasonal boat stewards to reduce the spread of invasive species. In FY08, a key expected accomplishment includes creation and distribution of a "State of the Lake" report detailing current water quality and other ecosystem conditions. Further accomplishments planned include: conducting water quality monitoring programs; a boat inspection and education program to reduce the spread of invasive species, extensive watershed mapping to better plan for BMP installation, removal of invasive water chestnuts, and other tasks.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Lake Champlain program grants and cooperative agreements are subject to EPA's general grant regulations, 40 CFR Part 30 or 40 CFR Part 31. All assistance agreements must support the goals and objectives of the Lake Champlain Management Plan, Opportunities for Action. A copy of this document is available on request from the Lake Champlain Basin Program, 54 West Shore Road, Grand Isle, VT 05458, Phone 802-372-3213 and is also available online at <http://www.lcbp.org>.

#### **Regional or Local Office:**

Erik Beck, EPA New England, 1 Congress Street, Suite 1100-CWN, Boston, MA 02114-2023. Telephone: (617) 918-1606; Fax: (617) 918-0606; E-mail: [beck.erik@epa.gov](mailto:beck.erik@epa.gov). Mario Paula, EPA Region 2, 290 Broadway, 24th Floor, New York, NY 10007-1866. Telephone: (212) 637-3819; Fax: (212) 637-3889; E-mail: [paula.mario@epa.gov](mailto:paula.mario@epa.gov).

#### **Headquarters Office:**

None. Contact one of the regional offices listed above.

#### **Web Site Address:**

<http://www.epa.gov/NE/eco/lakechamplain/index.html>.

#### **RELATED PROGRAMS:**

12.100, Aquatic Plant Control; 66.419, Water Pollution Control State, Interstate, and Tribal Program Support; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454, Water Quality Management Planning; 66.460, Nonpoint Source Implementation Grants; 66.463, Water Quality Cooperative Agreements.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. The Steering Committee recommends projects to EPA for funding based on the technical merit of the proposal and its relevance to the Lake Champlain Basin Management Plan. EPA approves applications after Steering Committee recommendation based on the technical merit of the application and its relevance to the Lake Champlain Basin Management Plan.

## 66.508 SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM

(SEE)

### FEDERAL AGENCY:

OFFICE OF ADMINISTRATION AND RESOURCES MANAGEMENT,  
ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C. 4368a.

### OBJECTIVES:

To use the talents of Americans 55 years of age or older to provide technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship. Funding Priority - Fiscal Year 2008: The Environmental Programs Assistance Act of 1984 (Public Law 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the EPA in support of its projects ranging from inspections of schools for asbestos, to support for a Headquarters staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Annual funding priorities are not established at the SEE program level. Rather, Senior Resource Officials from the participating 65 program offices establish priorities requiring SEE program support.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control."

### Applicant Eligibility:

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

### Beneficiary Eligibility:

Federal, State, and local environmental agencies and individuals 55 years old or older.

### Credentials/Documentation:

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Director, SEE Program, Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Customer Services Support Center (3605A), Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. Basic steps of the application procedure are outlined in the application package containing the application forms.

### Award Procedure:

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations, and to program objectives.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

None.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Assistance covers a period of one to three years and is awarded in increments during that period.

### Reports:

Recipients must furnish quarterly reports on expenditures by cooperative agreement.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### Records:

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

### Account Identification:

68-0108-0-1-304.

### Obligations:

(Grants) FY 07 \$53,057,698; FY 08 est. \$53,000,000; and FY 09 est. \$53,000,000.

### Range and Average of Financial Assistance:

New awards and amendments: \$1,100 to \$2,500,000 for FY 2007, Average \$274,910; \$35,000 to \$672,500 for FY 2008, Average \$227,015 to date; Estimated \$12,100 to 12,116,244, FY 2009 Average \$277,659.

### PROGRAM ACCOMPLISHMENTS:

In Fiscal Year 2007, 193 cooperative agreements/amendments were awarded. To date, in Fiscal Year 2008, 337 cooperative agreements/amendments were awarded.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

### Regional or Local Office:

Susan Street, Director SEE Program, (3605A) Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-0410, Fax: (202) 564-0735; E-mail: street.susan@epa.gov.

### Headquarters Office:

Susan Street, Director SEE Program, Office of Administration and Resources Management, Office of Human Resources, Customer Service Support Center (3605A), Environmental Protection Agency, 1200 Pennsylvania Ave, N.W., Washington, DC 20460. Telephone: (202) 564-0410 Fax: (202) 564-0735; E-mail: street.susan@epa.gov. Web Site: <http://epa.gov/epahrist/see/brochure>.

### Web Site Address:

<http://epa.gov/epahrist/see/brochure>.

### RELATED PROGRAMS:

66.518, State Senior Environmental Employment Program.

### EXAMPLES OF FUNDED PROJECTS:

Provide funding to eligible Grantee organizations to provide senior citizens who conduct national non-agricultural pesticide surveys, monitor for asbestos compliance in schools, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and work on other general administrative and clerical tasks.

### CRITERIA FOR SELECTING PROPOSALS:

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).



## 66.509 SCIENCE TO ACHIEVE RESULTS (STAR) RESEARCH PROGRAM

### FEDERAL AGENCY:

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103, 42 U.S.C. 7403; Clean Water Act, Section 104, 33 U.S.C.; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Safe Drinking Water Act, Section 1442, 42 U.S.C. 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C. 136r; Toxic Substances Control Act, Section 10, 15 U.S.C. 2609.

### OBJECTIVES:

(1) To support research to determine the environmental and human health effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) support research to explore and develop strategies and mechanisms for those in the social, governmental, and environmental arenas to use in environmental management decisions. Funding Priority - Fiscal Year 2008: The STAR Program will fund the highest quality academic research in the following priority areas: (1) Air Quality: Health Effects of Near-Roadway Exposures to Air Pollution; Dynamic Air Quality Management. (2) Human Health: Children's Environmental Health and Disease Prevention Research (with NIEHS); Exposure Assessment: Research for Understanding and Assessing Human Exposure in Longitudinal Studies; Community-based Cumulative Risk Assessment Research; Research for Outcomes and Accountability: Development of Novel Environmental Health Outcome Indicators. (3) Ecosystem Protection/Water Quality: Enhancing Ecosystem Services from Agricultural Lands: Developing Tools for Quantification and Decision Support; Forecasting from Wetland Condition Indicators to Ecosystem Services; Ecology and Oceanography of Harmful Algal Blooms. (4) Global Change: Consequences of Global Change for Water Quality; Global Change and Impact on Allergic Disease; Adaptation, Mitigation Impacts, and Air Quality Planning in a Changing Global Environment; Potential Environmental Impacts from the Geologic Sequestration of Carbon Dioxide. (5) Drinking Water: Innovative and Integrative Approaches for Advancing Public Health Protection Through Water Infrastructure Sustainability. (6) Endocrine Disruptors/Biotechnology/Computational Toxicology: Exploratory Investigations in Food Allergy (R21) through NIH-NIAID. (7) Nanotechnology: Nanotechnology Research Grants: Investigating Environmental Effects of Manufactured Nanomaterials: a Joint Research Solicitation - EPA, NSF & DOE; Center for the Environmental Implications of Nanotechnology (CEIN) through NSF. In addition to the solicitations identified above, other solicitations may be announced in the coming year. Please check the NCER website: <http://www.epa.gov/ncer> for an updated listing of all solicitations. search Grants: Investigating Environmental Effects of Manufactured Nanomaterials: a Joint Research Solicitation - EPA, NSF and DOE. In addition to the solicitations identified above, other solicitations may be announced in the coming year. Please check the NCER website: <http://www.epa.gov/ncer> for an updated listing of all solicitations.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

The National Center for Environmental Research (NCER) generally does not accept unsolicited proposals for the STAR program. All STAR awards are made in response to competitive requests for applications (RFAs) or requests for initial proposals (RFIPs). Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### Applicant Eligibility:

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Public nonprofit institutions/organizations (includes public institutions of higher education and hospitals) and private nonprofit institutions/organizations (includes private institutions of higher education and hospitals) located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; and U.S. territories or possessions are eligible to apply. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its

grant from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism. Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or augment their Agency's appropriations in other ways through grants made by this program. Not-for-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Profit-making firms are not eligible to receive grants from EPA under this program. See RFAs at: <http://www.epa.gov/ncer> for additional information pertaining to eligibility requirements.

### Beneficiary Eligibility:

Public nonprofit institutions/organizations and private nonprofit institutions/organizations located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

### Credentials/Documentation:

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Competitive RFAs or RFIPs for grants/cooperative agreements are announced widely through the Internet, university and scientific organizations, among other mechanisms. Applicants must propose EPA mission relevant research based on excellent science as determined through peer review by experts drawn from the national and international scientific community. Other more specialized scientific areas may be solicited via joint RFAs with other Federal agencies. The STAR program may fund research centers that focus on long-term, multi-disciplinary research. For regular mail, completed paper applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F, Funding Opportunity; Number: (include appropriate number as shown in the solicitation; 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: Environmental Protection Agency Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation; 1025 F Street, N.W., (Room 3500), Washington, DC 20004, Telephone: (202) 233-0686. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact the Lead Principal Investigator/Contact Principal Investigator to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

### Deadlines:

As shown in the specific solicitations, which are accessible through the

EPA/ORD/NCER website at <http://www.epa.gov/ncer>.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants are normally funded for a minimum of 2 years. Total approved project period may not exceed 5 years. Grants are generally fully funded or incrementally funded (on a yearly basis).

**Reports:**

A grant recipient must agree to provide annual progress reports, with associated summaries for posting on NCER's web site, and a final report with an executive summary for web posting. A grant recipient must agree to provide copies of any peer reviewed journal article(s) resulting from the research during the project period. The recipient also agrees to provide expenditure and invention reports as appropriate.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$61,300,000; FY 08 est \$52,500,000; and FY 09 est \$55,300,000.

**Range and Average of Financial Assistance:**

New awards range from \$185,000 to \$5,000,000 total per grant and average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Applications received for the STAR Program - FY 07: 537; FY 08: 177. New awards for the STAR Program - FY 07: 79; FY 08: 28. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

To obtain further information via the Internet for the STAR program, click on "Grants and Funding" at <http://www.epa.gov/ncer>. Funding opportunities will be posted as available. Eligibility questions should be forwarded to William Stelz: 1025 F Street, N.W., Washington, DC 20004; Telephone: (202) 343-9802; Fax: (202) 233-0680; E-mail: [stelz.william@epa.gov](mailto:stelz.william@epa.gov).

**Web Site Address:**

<http://www.epa.gov/ncer>.

**RELATED PROGRAMS:**

66.511, Office of Research and Development Consolidated Research/Training/Fellowships.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Develop a direct health indicator of pediatric asthma morbidity resulting from exposure to ambient air pollutants using an epidemiological approach that merges existing datasets and incorporates population susceptibility and exposure patterns. (2) Evaluate the secondary organic aerosol forming potential of classes of volatile organic compounds (VOCs). (3) Investigate the effect of climate change, expressed as drought induced stressors, on key ecological processes and functions within tidal salt marshes and ecosystem services that are derived from these processes and functions. (4) Concentrate and detect waterborne pathogens at low levels by a series of complementary and non-destructive techniques. (5) Characterize the spatial variability of coarse particles from natural and anthropogenic sources and examine their associations with cardiovascular and respiratory disease. See Web Page (<http://www.epa.gov/ncer>) for additional information on previously funded grants under the STAR program.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

**66.510 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF RESEARCH AND DEVELOPMENT**

**FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Sections 103, as amended, Public Law 95-95, 42 U.S.C. 7401 et seq.; Clean Water Act, Section 104, as amended, Public Law 95-217, 33 U.S.C. 1251 et seq.; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Resource Conservation and Recovery Act of 1976, as amended, Public Law 94-580, 42 U.S.C. 6981 et seq.; Safe Drinking Water Act, Section 1442, as amended, Public Law 93- 523; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C. Sections 136r and 136 u; Public Laws 94-140 and 95-396, 7 U.S.C. 136 et seq.; Toxic Substances Control Act, Section 10, as amended, Public Law 94-469, 15 U.S.C. 2601 et seq.; Marine Protection, Research, and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation, and Liability Act of 1980 Section 311.

**OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels. Funding Priority - Fiscal Year 2008: FY 2008 Priorities include conducting air pollutants research, risk assessment, water quality research, drinking water research, research to improve human health (including children's) research related to Homeland Security. Surveys, studies, and investigations to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides will also be funded under this category. This funding priority also provides support for conferences relating to the areas above.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

**Credentials/Documentation:**

The Agency may request that applicants demonstrate they have appropriate background, academic training experience in the field, and the necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may ask principal investigators for information documenting past performance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Competitive RFAs (requests for applications) for grants in these areas are announced widely through the Federal Register, Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.510 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters office for application deadlines or review the RFAs for specific deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$4,300,000; FY 08 est \$6,700,000; and FY 09 est \$6,700,000.

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$5,000 to \$500,000 and average \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

An estimated 50 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years is not available. Summary results of the research are available on <http://www.epa.gov/researchaccomplishments/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31). "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis and "EPA and the Academic Community, Solicitation for Grant Proposals."

**Regional or Local Office:**

Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

For administrative questions on grant applications and procedures, contact Mark J. Thomas, at the following address: Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-4763, Fax: (202) 565-2903, E-mail: [Thomas.Mark@epa.gov](mailto:Thomas.Mark@epa.gov).

**Web Site Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>.

**RELATED PROGRAMS:**

66.509, Science To Achieve Results (STAR) Research Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) To investigate methods to manage large floodplain rivers in ways that achieve multiple, sustained benefits by restoring hydrogeomorphic river channel processes in carefully selected locations. (2) This assistance agreement will support a meeting to foster collaborative research among researchers in different States on the effects of ozone on plants, and to find ways to reach out to the public to inform them of the results of this research. (3) This project, through distribution of Pollution Prevention and linked life cycle cost accounting tools, will enable small and medium size businesses located in greater New England to reduce their emission of toxic substances, which will in turn lead to reduced environmental health risks. (4) The goals of this project are to develop and apply a methodology for benchmarking curricula in sustainability engineering and to identify individuals active in sustainability engineering education. The information collected in this project will be available as a resource for faculty at institutions of higher education to enhance the engineering curricula with lessons focused on the environmental impacts associated with the design of products, processes, or systems. (5) This grant studies environmental sustainability issues concerning the need to balance the use of water to meet both human and environmental demands. Funding will support a decision support system (DDS) that will integrate scientific models of ecological water



flow needs, water demand management, and water supply planning into a decision-oriented optimization framework that promotes preventive approaches.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. A proposal is judged for (A) scientific merit in terms of quality and originality of the proposed work, the qualifications of the investigator(s), the adequacy of the quality assurance plan, the responsiveness of the proposed needs identified in the RFA, the appropriateness of the proposed budget, and the probability that the project will accomplish stated objectives, and (B) program interest in terms of the need for the proposed work and a balanced ORD research portfolio. See the Web page for specific criteria.

### **66.511 OFFICE OF RESEARCH AND DEVELOPMENT CONSOLIDATED RESEARCH/TRAINING/FELLOWSHIPS**

#### **FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Sections 103 and 104, as amended, Public Law 95-95, 42 U.S.C. 7401 et seq.; Clean Water Act, Section 104, as amended, Public Law 95-217, 33 U.S.C. 1251 et seq.; Solid Waste Disposal Act, Section 8001, as amended; Resource Conservation and Recovery Act of 1976, as amended, Public Law 94-580, 42 U.S.C. 6901 et seq.; Safe Drinking Water Act, Section 1442, as amended, Public Law 93-523; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C. Sections 136f and 136g; Public Laws 94-140 and 95-396, 7 U.S.C. 136 et seq.; Toxic Substances Control Act, Section 10, as amended, Public Law 94-469, 15 U.S.C. 2601 et seq.; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 311, Public Law 95-510, as amended, Public Law 99-499; Marine Protection, Research, and Sanctuaries Act, Section 203.

#### **OBJECTIVES:**

The Office of Research and Development (ORD) supports research and development to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) perform risk assessments to characterize the potential adverse health effects of human exposures to environmental hazards, and (4) the facilitation of training and fellowships in these areas. Investigator initiated grants/cooperative agreements may be funded in broad areas such as environmental chemistry and physics, environmental engineering; and health and ecological effects of pollution. The ORD conducts leading-edge research to provide a solid underpinning of science and technology for the Agency. Applied research builds our understanding of how to protect and enhance the relationship between humans and the ecosystems of earth. ORD conducts a comprehensive research program to protect air, water, land, and human health and ecosystems, to improve environmental compliance and stewardship, and to conduct and promote coordination and acceleration of training for individuals relating the protection and enhancement of the relationship between humans and the ecosystems of earth as well as to improve environmental compliance and stewardship. Funding Priority - Fiscal Year 2008: 1. Clean air research investigates risks associated with exposure to hazardous air pollutants (HAPs) and criteria pollutants, such as particulate matter (PM). Our goal is to work with other Federal and state agencies, major universities and institutions, and the private sector to develop a better understanding of the causes and effects of air pollution, and provide the scientific underpinnings to improve air quality in the U.S. 2. ORD provides the science needed to ensure drinking water is safe and to restore and maintain oceans, watersheds, and aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife. Our water research program provides the science needed for effectively implementing the Safe Drinking Water Act (SDWA) and Amendments and the Clean Water Act (CWA). 3. Preserving land quality and remediating contaminated land is another of ORD's major goals. Left uncontrolled, hazardous and non-hazardous wastes on land can migrate to the air, ground water, and surface water, contaminating drinking water supplies, and threatening healthy ecosystems in urban, rural, and suburban areas. Efforts to preserve and restore land are supported through contaminated sediments and groundwater research. 4. ORD also continues to better understand environmental risks and develop tools and management options for improving environmental conditions. To promote healthy communities and ecosystems, EPA brings together a variety of programs, including human health research, endocrine disruptors research, computational toxicology research, global change research, pesticides and toxic substances research, and research on homeland security, as well as promoting and facilitating training in these areas to stimulate interest among students in careers involving environmental research and to provide hands-on experience. 5. Finally, ORD EPA has developed and evaluated tools and technologies to monitor, prevent, control, and clean up pollution throughout

its history. Since the Pollution Prevention Act of 1990, the Agency has increasingly focused on preventative and sustainable approaches to health and environmental problems. EPA's efforts in this area support research specifically designed to address the issue of advancing sustainability goals - EPA's Science and Technology for Sustainability (STS) program. Our goal is to work with other Federal and state agencies, major universities and institutions, and the private sector to develop a better understanding of the causes and effects of air pollution, and provide the scientific underpinnings to improve air quality in the U.S. 2. ORD provides the science needed to ensure drinking water is safe and to restore and maintain oceans, watersheds, and aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife. Our water research program provides the science needed for effectively implementing the Safe Drinking Water Act (SDWA) and Amendments and the Clean Water Act (CWA). 3. Preserving land quality and remediating contaminated land is another of ORD's major goals. Left uncontrolled, hazardous and non-hazardous wastes on land can migrate to the air, ground water, and surface water, contaminating drinking water supplies, and threatening healthy ecosystems in urban, rural, and suburban areas. Efforts to preserve and restore land are supported through contaminated sediments and groundwater research. 4. ORD also continues to better understand environmental risks and develop tools and management options for improving environmental conditions. To promote healthy communities and ecosystems, EPA brings together a variety of programs, including human health research, endocrine disruptors research, computational toxicology research, global change research, pesticides and toxic substances research, and research on homeland security, as well as promoting and facilitating training in these areas to stimulate interest among students in careers involving environmental research and to provide hands-on experience. 5. Finally, ORD EPA has developed and evaluated tools and technologies to monitor, prevent, control, and clean up pollution throughout its history. Since the Pollution Prevention Act of 1990, the Agency has increasingly focused on preventative and sustainable approaches to health and environmental problems. EPA's efforts in this area support research specifically designed to address the issue of advancing sustainability goals - EPA's Science and Technology for Sustainability (STS) program.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability.

#### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Competitive RFAs (requests for applications) for grants in these areas are

announced widely through the Federal Register, Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.510 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Please refer to Appendix IV for the complete mailing address(es) for the Grants Management Office(s). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters office for application deadlines or review the RFAs for specific deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$33,200,000; FY 08 est \$33,600,000; and FY 09 est \$31,000,000.

**Range and Average of Financial Assistance:**

Awards range for new grants/cooperative agreements from \$75,000 to \$950,000, and average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

An estimated 125 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years is not available. Summary results of the research are available on <http://www.epa.gov/research/accomplishments>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40). "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis and "EPA and the Academic Community, Solicitation for Grant Proposals."

**Regional or Local Office:**

Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

For administrative questions on grant applications and procedures, contact Mark J. Thomas, at the following address: Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-4763; Fax: (202) 565-2903. E-mail: Thomas.Mark @epa.gov.

**Web Site Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>.

**RELATED PROGRAMS:**

66.510, Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development.

**EXAMPLES OF FUNDED PROJECTS:**

1) To improve understanding of the relationship between complex mixtures of environmental air pollutants and human health through the creation and analysis of a database developed by conducting identically designed laboratory studies of a small number of highly complex atmospheres having overlapping, but different, compositions. 2) To address critical questions concerning health risks, toxic metal transformations and pathways, sampling and measurement of toxic metal emissions, predictive modeling, and related toxic metal control technologies. 3) To conduct research and development on hazardous substance waste minimization alternative treatment technologies, and techniques to enhance applications of technologies and technology transfer. 4) This research will (1) evaluate the efficacy of alternative management strategies for the control of insects, nematodes, and weeds that reduce the use of pesticides; (2) characterize the environmental fate of nitrogen and synthetic pesticides using current and alternative pest management strategies; and (3) develop decision aid models that allow utilization of precise control strategies for weeds, insects and diseases that are environmentally safe. 5) To develop a predictive map of ground level ozone concentrations in the Washington/Baltimore non-attainment area by incorporating landscape characteristics and other remote sensing data into existing predictive models for ozone impacted urban areas. 6) To provide the scientific information, understanding, analyses and methods and protocols needed by states and local governments and various regulatory and management agencies to effectively protect the aquatic and terrestrial environment, the EPA seeks to establish a long term Training Cooperative Partnership with a leading research and teaching institution capable of managing an environmental training program. The purpose of this agreement is to stimulate interest among students in careers involving environmental research and to provide hands-on experience.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. A proposal is judged for (A) scientific merit in terms of quality and originality of the proposed work, the qualifications of the investigator(s), the adequacy of the quality assurance plan, the responsiveness of the proposed research to needs identified in the RFA, the appropriateness of the proposed budget, and the probability that the project will accomplish stated objectives, and (B) program interest in terms of the need for the proposed research and a balanced ORD research portfolio. See the Web page for specific criteria.

**66.512 REGIONAL ENVIRONMENTAL MONITORING AND ASSESSMENT PROGRAM (REMAP) RESEARCH PROJECTS**

**FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104, as amended.

**OBJECTIVES:**

The Regional Environmental Monitoring and Assessment Program (REMAP) is

a partnership between the EPA Regional Offices and the Office of Research and Development (ORD) Environmental Monitoring and Assessment Program (EMAP), with the primary goal to build state and tribal capacity for using statistically valid monitoring data for reporting on the condition of their aquatic resources. The goals for REMAP are to transfer EMAP's latest scientific techniques for ecological monitoring to EPA Regions, States, Tribes and local decision makers. ORD works with the EPA Regional Offices to support projects meeting EMAP criteria and that are of importance to needs within the Regions. EMAP support for these projects includes: contributing to development of the scientific design of projects; assistance with the selection and evaluation of appropriate indicators and methods for measurement; application of information management approaches; analysis and interpretation of data; and providing a source of funding. EPA funds projects in each of its 10 Regions. Projects are normally funded for up to 2 years, but longer projects are occasionally supported. Annual announcements reflect priority needs in those Regions where funding will be allocated for new projects. The primary objectives of the solicited research are to provide States and Tribes with methods and approaches for incorporating statistically valid ecological monitoring data into their environmental decision-making process. Project goals are to be consistent with EMAP's probabilistic approach ([www.epa.gov/emap](http://www.epa.gov/emap)) to answer questions about ecological conditions at regional and local levels. Information produced from projects is to be transferable to Regional, State and Tribal water quality monitoring programs and regulatory agencies. Research proposals must address one or more of the following monitoring needs for State and tribal aquatic (headwater streams, lakes, near shore coastal areas, wetlands, wadeable streams or large rivers) resources: State and Tribal monitoring needs for water quality reporting (CWA Section 305b). Information needed for identifying impaired waters (CWA Section 303d). Using probability information to identify the effectiveness of restoration/remediation efforts. Advancing the science of biological reference condition for establishing biocriteria. Improved tools and approaches for the assessment of aquatic ecosystems. Funding Priority - Fiscal Year 2008: At this time, it is not anticipated that there will be a new funding opportunity for 2008. Funding Priority-Fiscal Year 2009. It is anticipated that there will be a new funding opportunity for 2009. Priorities will be identified in a later update to this CFDA. Detailed background information is provided in the 2006 solicitation. Proposals for probabilistic assessments of headwater streams, lakes, near shore coastal areas, wetlands, wadable streams or large rivers that answer questions of State and Tribal importance in Regions 3, 4, 6 and 7 will be considered. However, selection criteria will be weighted towards the above 5 priority areas. Funding Priority - Fiscal Year 2007: For the FY 07 solicitation, funding will be available for projects in EPA Regions 2, 5, 8, 9, and 10. Funding priorities for these Regions will be identified and described in the annual announcement.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Information produced from projects is to be transferable to US EPA Regions, and State and Tribal water quality monitoring programs and regulatory agencies.

Data from research results may also be incorporated into larger scale objectives within ORD's EMAP research program. Research projects usually result in geospatial information. In compliance with Executive Order 12906, REMAP data is made available for use throughout all levels of government, the private and non-profit sectors, and the academic community. The goal of this infrastructure is to reduce duplication of effort among agencies, improve quality and reduce costs related to geographic information, to make geographic data more accessible to the public, to increase the benefits of using available data, and to establish key partnerships with states, counties, cities, tribal nations, academia and the private sector to increase data availability. Awards are made in response to announced requests for applications. Funds are awarded via cooperative agreements for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institution, in accordance with the established policies and regulations of EPA. No construction costs are allowed in this agreement. Foreign travel is not allowed unless specifically agreed upon. No large capital equipment items, such as vehicles or boats, will be allowed for purchase under these agreements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Entities that are eligible to receive federal assistance under the Clean Water Act which includes the States, their territories and possessions, local governments and federally recognized U.S. Tribal Nations (40 CFR part 31); institutions of higher education, hospitals, and other non-profit organizations (40 CFR part 30). Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122. Nonprofit applicants that are recommended for funding will be subject to pre-award administrative capability reviews consistent with Sections 8.b, 8.c, and 9.d of EPA Order

5700.8. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities, as defined in Section 3 of the Lobbying Disclosure Act of 1995, are not eligible to apply. Universities and educational institutions must be subject to OMB Circular A-21.

#### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

#### **Credentials/Documentation:**

Applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. Organizations can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or through <http://www.dnb.com>. Applicants are required to submit an Application for Federal assistance and Budget Information (SF-424 AND SF-424A), Assurances for Non-Construction Programs (SF-424B), Certificate regarding lobbying, EPA forms 5700-54 and 4700-4, A project and budget narrative including documents of Environmental Results Past Performance and Programmatic Capability. Other pertinent documentation may be required. A complete description and instructions for application submission will be provided in the funding announcement.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Electronic application must be made through <http://www.grants.gov/> using the application package available at that web site for electronic submissions. Complete application information is provided in the annual RFA. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

The deadline for applications will be stated in the Requests for Applications and will not be less than 45 days from the date that it is posted on [grants.gov](http://grants.gov).

#### **Range of Approval/Disapproval Time:**

Approximately 60 days for the application to be approved or disapproved.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

Not applicable.

#### **Length and Time Phasing of Assistance:**

Projects periods and funding is normally on a 2 year basis. Longer projects are occasional supported. Expected project and funding periods will vary between funding priorities and will be identified in the annual funding announcement.

EPA reserves the right to fully, incrementally or partially fund a project.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in



Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records, and substantiate changes in grants available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Award recipients must agree to make methods, models, and data resulting from this agreement accessible to the public and to EPA. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions remain, such as those raised as a result of an audit, following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$2,210,173; FY 08 est. \$767,500; FY 09 est. \$900,000. FY 08 Funding was placed on awards made in response to FY 07 Funding Priorities.

**Range and Average of Financial Assistance:**

The average financial assistance for 2006 awards on new projects was \$409,000 with a range of \$192,000 to \$575,000. The financial assistance for awards resulting from the 2007 RFA competition are pending and are expected to be funded in FY 2008.

**PROGRAM ACCOMPLISHMENTS:**

The REMAP program has made significant advances and contributions in the development of monitoring and assessment tools and protocols. The technical support and collaborative expertise with ORD has enabled regions to integrate these scientific advances into stakeholder programs. With this assistance and partnership the regions have been able to provide the agency with defensible credible data on environmental condition in a more cost effective and timely manner. REMAP emphasizes that project designs employ the EMAP probabilistic approach. This allows for a statistically-valid and defensible framework to report on the condition of resources which is consistent with EPA's long term goal 1 "Developing statistically-valid and defensible frameworks to assess status and trends of ecosystem condition at national scales". In 2007, 12 eligible applications were received and 4 projects were funded. In FY 2008 no RFA was issued and thus no new applications were received or funded. FY 2008 obligations were placed against those projects approved and funded initially in FY 2007. Current awards, projects, progress reports and any outputs are available on REMAP's home page ([www.epa.gov/emap/remap](http://www.epa.gov/emap/remap)). Currently resulted in the posting of fish consumption health advisories across the region. A current project in New England will enable researchers to revisit the distribution of mercury contamination and thus be able to provide trend information. Probability-based Monitoring Within Nebraska's Rotating Basin Assessment: EPA Region 7, EPA-ORD, and the Nebraska Department of Environmental Quality initiated a REMAP effort in 1997 that is still ongoing today. The State of Nebraska realized it had an assessment problem because it was negatively biasing its sampling results by targeting a large portion of its monitoring resources to waters with suspected problems. Because of this targeted monitoring, it was impossible for the State to make an unbiased assessment of the status and/or trends of its stream resources for the State's bi-annual water quality ("305b") assessment report. To solve this problem, the State decided that a new monitoring approach was needed and in 1997 began to use a "EMAP-type" probability based sampling design within its rotating basin assessment framework. By employing both the probability-based design and its associated data analyses methods, the state is able to produce unbiased estimates of its stream resources with a known level of confidence. Current projects, progress reports and any outputs are available on REMAP's home page([www.epa.gov/emap/remap](http://www.epa.gov/emap/remap)).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA's General Grant Regulations, 40 CFR Part 31; EPA's Interim Regulations, Research and Demonstration Grants, 40 CFR Part 40. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes and OMB Circular No. A-21 for educational institutions.

**Regional or Local Office:**

Individuals are encouraged to communicate with the appropriate ORD or Regional Office listed on REMAP's website at [www.epa.gov/emap/remap](http://www.epa.gov/emap/remap), and listed in the RFA for this program.

**Headquarters Office:**

For technical information on grant applications and procedures, contact Jo Thompson, at the following address: Environmental Protection Agency, Mid-Continent Ecology Division, 6201 Congdon Boulevard, Duluth, MN 55804. Commercial Telephone: (218) 529-5198, Fax: (218) 529-5015. Government E-mail: [Thompson.jo@epa.gov](mailto:Thompson.jo@epa.gov). For administrative questions contact Larry Hodgson, Telephone: (740)-654-2346, Government E-mail: [Hodgson.Larry@epa.gov](mailto:Hodgson.Larry@epa.gov).

**Web Site Address:**

<http://www.epa.gov/emap/remap/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Designing and Implementing a Program to Evaluate New England's Lakes and Ponds: Currently, there is not a statistically-valid design in place to perform a comprehensive and unbiased assessment of New England lakes and ponds. This study is addressing that need in order to meet 305b reporting requirements and provide information on status and trends of these ecosystems. (2) Validation and Sensitivity Analysis for Rapid Wetland Assessment using Comprehensive Wetland Assessment Data: This project is addressing the need for methods to assess and report on the ecological condition of wetlands in the State of Delaware. (3) A Biological Assessment of the Large Rivers of the Upper Mississippi and Ohio River Basins in Region 5: There is currently no statistically valid method to assess large rivers. This study is developing calibrated biological assessment tools and designing a systematic and standardized approach for the assessment of these large river systems. (4) Developing rigorous assessments for large Pacific Northwest rivers. The purpose of this project is to document the feasibility, logistics, and costs to states of using EMAP indicators and designs to assess the ecological condition, major stressors, and likely human disturbances of entire main-stem rivers in the Pacific Northwest in Region 10. (5) Development of Benthic Indicators for Nearshore Coastal Waters of New Jersey. This study is Developing of an indicator of ecosystem health for the benthic community in the estuarine and nearshore waters of New Jersey in Region 2.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria. Generally, the proposals will be judged for (A) Extent to which projects addresses Regional priority areas identified in the announcement, partnerships and transferability of project results to Regional, State and Tribal stakeholders, and consistency with REMAP objectives and EPA's strategic goals; and (B) Technical issues including the identification of plan for tracking outputs and environmental outcomes and evaluating the applicant's past performance in reporting on outputs and outcomes. Specific criteria and weight of criteria are listed in the annual announcement.

**66.513 GREATER RESEARCH OPPORTUNITIES (GRO) FELLOWSHIPS FOR UNDERGRADUATE/GRADUATE ENVIRONMENTAL STUDY**

**FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103, 42 U.S.C. 7403; Clean Water Act, Section 104, 33 U.S.C.; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Safe Drinking Water Act, Section 1442, 42 U.S.C. 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C. 136r; Toxic Substances Control Act, Section 10, 15 U.S.C. 2609.

**OBJECTIVES:**

The National Center for Environmental Research (NCER) offers graduate and undergraduate fellowships to students in environmentally related fields of study. This program is intended to strengthen the environmental research capacity of institutions of higher education that receive limited funding to build such capacity. Funding Priority - Fiscal Year 2008: The Greater Research Opportunities Fellowship Program will support graduate fellowships in the following areas: Environmental Engineering (limited to pollution prevention; includes sustainability); Environmental Engineering (limited to treatment and remediation); Atmospheric Sciences; Environmental Chemistry and Environmental Materials Science; Hydrogeology; Economics (includes market incentives and health and ecosystem valuation); Environmental Decision-Making Research (limited to projects in community-based participatory research, intervention strategies, environmental behavior modification, environmental education, and environmental justice); Urban/Regional Planning and Geography (includes GIS, demography); Microbiology; Molecular Biology (includes genomics, proteomics, toxicodynamics, toxicology, and bioinformatics); Public Health Sciences (includes environmental epidemiology, biostatistics, and health physics); Human Health Risk Assessment; Aquatic Systems Ecology focusing on freshwater endpoints; Coastal and Estuarine Processes (limited to pollution research such as harmful algal blooms); Terrestrial Systems Ecology (limited to soils and plants that can serve as a medium for contaminant transport); Terrestrial Systems Ecology (work should relate to pollutant effects on animals and/or habitat). All projects must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control. The Greater Research Opportunities Fellowship Program will support undergraduate fellowships in the following

areas: Natural and Life Sciences; Environmental Science; Engineering; Social Sciences; Physical Sciences; Mathematics and Computer Science; and Economics. describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control. The Greater Research Opportunities Fellowship Program will support undergraduate fellowships in the following areas: Natural and Life Sciences; Environmental Science; Engineering; Social Sciences; Physical Sciences; Mathematics and Computer Science; and Economics.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Fellowship awards are made in response to competitive solicitations. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Graduate Fellowships: Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the United States or its territories or possessions, or be lawfully admitted to the United States for permanent residence. Resident aliens must include their green card number in their pre-application. Resident aliens must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security. Applicants attending fully accredited four year U.S. institutions of higher education are eligible to apply. These schools must be among those that are not highly funded for development of environmental research capacity. For the purposes of this CFDA, EPA considers such institutions to be those listed in the National Science Foundation's publication, "Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY 2004," Table 11. Institutions identified as receiving \$35 million or less in annual federal research and development funding, as designated in column 2 of Table 11, are eligible. These data can be found at:

<http://www.nsf.gov/statistics/nsf07316/pdf/tab11.pdf>. Table 11 is a broad representation of institutions, and includes schools that also receive more than \$35 million annually in Federal research assistance. Applicants attending eligible institutions with substantial minority enrollment are particularly encouraged to apply. Examples of such schools are those that the U.S. Department of Education lists as "Accredited Postsecondary Minority Institutions" consistent with Executive Orders 13125 (Increasing Participation of Asian Americans and Pacific Islanders), 13230 (Educational Excellence for Hispanic Americans), 13256 (Historically Black Colleges and Universities), and 13270 (Tribal Colleges and Universities), which encourage building of the capacity of minority serving institutions to provide high quality education. Note however, that not all of these schools receive less than \$35 million annually in Federal Research and Development expenditures. For specific information regarding Federal funding to minority-serving institutions, see The Extent of Federal S&E Funding to Minority-Serving Institutions, at <http://www.nsf.gov/statistics/infbrief/nsf04325/nsf04325.pdf>. Applicants who are in a graduate program at the time of application and meet either of the following two criteria as of October 23, 2007 ARE NOT eligible to receive a fellowship: (1) have completed more than one year in your current master's program; or (2) have completed more than four years in your current doctoral program. However, applicants enrolled in a master's program who intend to pursue a doctoral degree beginning in the fall of 2008 may apply for a doctoral fellowship. Acceptance of this fellowship does not necessarily preclude acceptance of another scholarship, fellowship, traineeship, or grant aid. However, this fellowship does preclude receiving other federal fellowships. Employees of the U.S. government may apply, but must be able to prove separation from Federal service before accepting this fellowship. Undergraduate Fellowships: Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the U.S. or its territories or possessions, or be lawfully admitted to the United States for permanent residence. Resident aliens must include their green card number in their pre-application. Resident aliens must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security. Applicants attending fully accredited four year U.S. institutions of higher education are eligible to apply. These schools must be among those that are not highly funded for development of environmental research capacity. For the purposes of this solicitation, EPA considers such institutions to be those listed in the National Science Foundation's publication "Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY 2004," Table 11. Institutions identified as receiving \$35 million or less in annual

federal research and development funding as designated in column 2 of Table 11, are eligible. These data can be found at: <http://www.nsf.gov/statistics/nsf07316/pdf/tab11.pdf>. Table 11 is a broad representation of institutions, and includes schools that also receive more than \$35 million annually in Federal research assistance. Applicants attending eligible institutions with substantial minority enrollment are particularly encouraged to apply. Examples of such schools are those that the U.S. Department of Education lists as "Accredited Postsecondary Minority Institutions" consistent with Executive Orders 13125 (Increasing Participation of Asian Americans and Pacific Islanders), 13230 (Educational Excellence for Hispanic Americans), 13256 (Historically Black Colleges and Universities), and 13270 (Tribal Colleges and Universities), which encourage building of the capacity of minority serving institutions to provide high quality education. Note however, that not all of these schools receive less than \$35 million annually in Federal Research and Development expenditures. For specific information regarding Federal funding to minority-serving institutions, see The Extent of Federal S&E Funding to Minority-Serving Institutions, at <http://www.nsf.gov/statistics/infbrief/nsf04325/nsf04325.pdf>. Regarding students who are attending community college, note that only those that are either four-year baccalaureate-granting institutions with degree programs in one or more eligible academic fields, or two year institutions that grant associate degrees and participate in Articulation Agreements with four-year institutions, are eligible to participate in this fellowship program. An Articulation Agreement is a signed contract between a community or technical college and a four-year college or university that guarantees that a student who earns an associate degree at a participating two-year institution can transfer all of the general education core credits to the four-year institution toward the completion of baccalaureate degree requirements. Students must be pursuing a bachelor's degree in an environmentally related field of specialization. Students must have two academic years remaining as of Fall 2008 before receiving a bachelor's degree. Students must have at least a "B" average overall. Acceptance of this fellowship does not necessarily preclude acceptance of another scholarship, fellowship, traineeship, or grant aid. However, this fellowship does preclude receiving other federal fellowships. The term of the undergraduate fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years. Employees of the U.S. government must be able to prove separation from Federal service before accepting this fellowship. a bachelor's degree may be supported for a maximum of two years. Employees of the U.S. government must be able to prove separation from Federal service before accepting this fellowship. See solicitations at <http://www.epa.gov/ncer> for additional information pertaining to eligibility requirements.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee; and Graduate Student.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCEER invites pre-applications for graduate and undergraduate fellowships in academic disciplines relating to environmental research including engineering, public health, and ecological sciences. A pre-application provides the information needed for the review of its merit. Following the merit review, top rated applicants will be required to submit a brief formal application. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For regular mail, completed paper pre-applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F); Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. For express mail and couriers, completed paper pre-applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation); 1025 F Street, N.W., (Room 3500), Washington, DC 20004, Telephone: (202) 233-0686. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

As shown in the specific solicitations, which are accessible through the EPA/ORD/NCER website at <http://www.epa.gov/ncer>.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

For undergraduate fellowships, the term of the fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years. The term of the graduate fellowship is also negotiated with the student and customarily covers a period of 9 to 12 months for each fellowship year. Students seeking a master's degree may be supported for a maximum of two years. Students seeking doctoral degrees may receive support for a maximum of three years, available over a four-year period. If selected to receive a fellowship, you will be contacted no later than seven months after the close of the solicitation and should subsequently receive your official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division.

**Reports:**

EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Agreements may require annual reports, final progress reports, expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$1,520,700; FY 08 est \$1,529,000; and FY 09 est \$2,066,000.

**Range and Average of Financial Assistance:**

Graduate- A maximum of \$74,000 will be provided for master's fellows (two years) and up to \$111,000 (three years) for doctoral fellows. Awards range from \$55,000 to \$111,000 total per fellowship and average \$33,386 per year. Undergraduate- The fellowship provides up to \$17,000 per year of academic support and \$7,500 for internship support for a combined total of up to \$41,500 over the life of the fellowship. Awards range from \$30,000 to \$41,500 total per fellowship and average \$35,000 total.

**PROGRAM ACCOMPLISHMENTS:**

Applications received for the Greater Research Opportunities Fellowship Program (Graduate)- FY 07: 107; FY 08: 116. New awards for the Greater Research Opportunities Fellowship Program (Graduate)- FY 07: 14. Applications received for the Greater Research Opportunities Fellowship Program (Undergraduate)- FY 07: 28; FY 08: 41. New awards for the Greater Research Opportunities Fellowship Program (Undergraduate)- FY 07: 15. Abstracts of awards and summary results of the research are available on the NCER homepage: <http://www.epa.gov/ncer>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

**Regional or Local Office:**

Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

To obtain further information via the Internet for the Greater Research Opportunities Fellowship Program, click on "Fellowships" at <http://www.epa.gov/ncer>. For additional information pertaining to graduate fellowships, please contact: Stephanie Willett; Telephone: (202) 343-9737; Fax: (202) 233-0680; 1025 F Street, N.W., Washington, DC 20004; E-mail: [willett.stephanie@epa.gov](mailto:willett.stephanie@epa.gov). E-mail inquiries are preferred. For additional information pertaining to undergraduate fellowships, please contact: Georgette Boddie; Telephone: (202) 343-9741; Fax: (202) 233-0680; E-mail: [boddie.georgette@epa.gov](mailto:boddie.georgette@epa.gov); 1025 F Street, N.W., Washington, DC 20004. E-mail inquiries are preferred.

**Web Site Address:**

<http://www.epa.gov/ncer>.

**RELATED PROGRAMS:**

66.514, Science To Achieve Results (STAR) Fellowship Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Examine acute and chronic effects of propanil and its metabolites on T cell function and activation. Propanil is a widely used herbicide with over 7 million pounds applied per year and its effects on T cell immune function have not been established. (2) Utilize an approach called chemical toxicity distributions (CTDs) to assess the sensitivity of common indicators of endocrine toxicity. (3) Test whether the incidence of gastrointestinal disease in bathers in recreational marine waters of Puerto Rico is associated with exposure to microbiological contaminants. (4) Determine whether the degree of urbanization affects communities of aquatic organisms and how environmental factors related to urbanization (land cover, water quality, aquatic habitat) mechanistically relate to aquatic community composition. (5) Evaluate the biogeochemical processes in the proximity of plant roots that can support degradation of chlorinated ethenes in the shallow subsurface environment of a constructed wetland. See Web Page (<http://www.epa.gov/ncer>) for information on previously funded projects under the Greater Research Opportunities Fellowship Program.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

**66.514 SCIENCE TO ACHIEVE RESULTS (STAR) FELLOWSHIP PROGRAM****FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103, 42 U.S.C. 7403; Clean Water Act, Section 104, 33 U.S.C.; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Safe Drinking Water Act, Section 1442, 42 U.S.C. 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C. 136r; Toxic Substances Control Act, Section 10, 15 U.S.C. 2609.

**OBJECTIVES:**

The National Center for Environmental Research (NCER), as part of its Science to Achieve Results (STAR) program, offers graduate fellowships for master's and doctoral level students in environmentally related fields of study. The purpose of the fellowship program is to encourage promising students to obtain advanced degrees and pursue careers in environmentally related fields. This goal is consistent with the mission of EPA, which is to provide leadership in the nation's environmental science, research, education, assessment, restoration, and preservation efforts. This program will benefit both the public and private sectors which will need a steady stream of well-trained environmental specialists if society is to meet the environmental challenges of the future. These fellowships are intended to help defray costs associated with advanced environmentally-oriented study leading to a master's or doctoral degree. Funding Priority - Fiscal Year 2008: The STAR Fellowship Program will support graduate fellowships in the following areas: Environmental Engineering (limited to pollution prevention; includes sustainability); Environmental Engineering (limited to treatment and remediation); Atmospheric Sciences; Environmental Chemistry and Environmental Materials Science; Hydrogeology; Economics (includes market incentives and health and ecosystem valuation); Environmental Decision-Making Research (limited to projects in community-based participatory research, intervention strategies, environmental behavior modification, environmental education, and environmental justice); Urban/Regional Planning and Geography (includes GIS, demography); Microbiology; Molecular Biology (includes genomics, proteomics,



toxicodynamics, toxicology, and bioinformatics); Public Health Sciences (includes environmental epidemiology, biostatistics, and health physics); Human Health Risk Assessment; Aquatic Systems Ecology focusing on freshwater endpoints; Coastal and Estuarine Processes (limited to pollution research such as harmful algal blooms); Terrestrial Systems Ecology (limited to soils and plants that can serve as a medium for contaminant transport); Terrestrial Systems Ecology (work should relate to pollutant effects on animals and/or habitat). All projects must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control. 1 and Estuarine Processes (limited to pollution research such as harmful algal blooms); Terrestrial Systems Ecology (limited to soils and plants that can serve as a medium for contaminant transport); Terrestrial Systems Ecology (work should relate to pollutant effects on animals and/or habitat). All projects must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All STAR fellowship awards are made in response to a competitive solicitation. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the United States or its territories or possessions, or be lawfully admitted to the United States for permanent residence. Resident aliens must include their green card number in their pre-application. Resident alien applicants must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security. Applicants do not need to be enrolled in or formally accepted in a full-time graduate program at the time they apply for a fellowship, but proof of enrollment or acceptance must be produced prior to the award of the fellowship. Applicants must be pursuing a master's or doctoral degree in an environmental field of specialization. Applicants who are in a graduate program at the time of application and meet either of the following two criteria as of October 23, 2007 ARE NOT eligible to receive a fellowship: 1) have completed more than one year in your current master's program; or 2) have completed more than four years in your current doctoral program. However, applicants enrolled in a master's program who intend to pursue a doctoral degree beginning in the fall of 2008 may apply for a doctoral fellowship. Acceptance of this fellowship does not necessarily preclude acceptance of another scholarship, fellowship, traineeship, or grant aid. However, this fellowship does preclude receiving other federal fellowships. Employees of the U.S. government may apply, but must be able to prove separation from Federal service before accepting this fellowship.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee; and Graduate Student.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCEER invites pre-applications for graduate fellowships in academic disciplines relating to environmental research including engineering, public health, and ecological sciences. A pre-application provides the information needed for the review of its merit. Following the merit review, top rated applicants will be required to submit a brief formal application. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For regular mail, completed paper pre-applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. For express mail and couriers, completed paper pre-applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1025 F Street, N.W., (Room 3500), Washington, DC 20004, Phone: (202) 233-0686. Specific details on the application process is

described in the solicitation which is located at: <http://www.epa.gov/ncer>.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

As shown in the solicitation, which is accessible through the EPA/ORD/NCER website at <http://www.epa.gov/ncer>.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The term of a graduate fellowship is negotiated with students and customarily covers a period of 9 to 12 months for each fellowship year. Students seeking a master's degree may be supported for a maximum of two years. Students seeking doctoral degrees may receive support for a maximum of three years, available over a period of four years. If selected to receive a fellowship, you will be contacted no later than seven months after the close of the solicitation and should subsequently receive your official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division.

**Reports:**

EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Agreements may require annual reports, final progress reports, expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$9,100,000; FY 08 est. \$7,200,000; and FY 09 est. \$5,875,000.

**Range and Average of Financial Assistance:**

A maximum of \$74,000 will be provided for master's fellows (two years) and up to \$111,000 (three years) for doctoral fellows. Awards range from \$55,000 to \$111,000 total per fellowship and average \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Applications received for the STAR Fellowship Program - FY 07: 989; FY 08: 878. New Awards for the STAR Fellowship Program - FY 07: 68. Abstracts of awards and summary results of the research are available on the NCEER homepage: <http://www.epa.gov/ncer>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

**Regional or Local Office:**

Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed in the solicitation. The solicitation is located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

To obtain further information via the Internet for the STAR Fellowship Program, click on "Fellowships" at <http://www.epa.gov/ncer>. Further information, if needed, may also be obtained from Stephanie Willett; Telephone: (202) 343-9737; fax: (202) 233-0680; E-mail: [willett.stephanie@epa.gov](mailto:willett.stephanie@epa.gov); 1025 F Street, N.W. Washington, DC 20004. E-Mail inquiries are preferred.

**Web Site Address:**

<http://www.epa.gov/ncer>.

**RELATED PROGRAMS:**

66.513, Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Study how cropping patterns on local and regional scales affect insect outbreaks in agriculture. The research will combine field studies and environmental modeling to anticipate insecticide usage where cropping patterns are changing. (2) Investigate the ecological outcomes of discharging wastewater effluent into streams with varying hydrologic regimes and analyze the policy frameworks driving this current practice. (3) Develop wastewater testing and treatment methods for the detection and removal of pharmaceuticals from wastewater. (4) Examine the link between extreme temperatures and elevated ozone pollution as a cause of increased risk of death. (5) Study the impacts of different urban land use types on mercury pollution in stormwater runoff. See Web Page (<http://www.epa.gov/ncer>) for additional information on previously funded projects under the STAR Fellowship Program.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for this RFA.

**66.515 GREATER RESEARCH OPPORTUNITIES (GRO) RESEARCH PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103, 42 U.S.C. 7403; Clean Water Act, Section 104, 33 U.S.C.; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Safe Drinking Water Act, Section 1442, 42 U.S.C. 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C. 136r; Toxic Substances Control Act, Section 10, 15 U.S.C. 2609.

**OBJECTIVES:**

EPA's National Center for Environmental Research (NCER) is interested in stimulating and nurturing environmental research and educational opportunities at educational institutions that are not highly funded for development of environmental research capacity. Increased resources not only will enable such institutions to better serve their student populations, but also use the strategic positions in their communities to provide critical information and to develop and implement risk communication strategies. Funding Priority - Fiscal Year 2008: At this time, it is not anticipated that there will be a new funding opportunity for FY 2008.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Awards are made in response to an announced competitive request for applications (RFA). Funds awarded via grant agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Fully accredited four year U.S. institutions of higher education are eligible to apply. These schools must be among those that are not highly funded for development of environmental research capacity. For the purposes of this CFDA, EPA considers such institutions to be those listed in the National Science Foundation's publication, "Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY 2004," Table 11. Institutions identified as receiving \$35 million or less in annual federal research and development funding, as designated in column 2 of Table 11, are eligible. These data can be found at:

<http://www.nsf.gov/statistics/nsf07316/pdf/tab11.pdf>. Table 11 is a broad representation of institutions, and includes schools that also receive more than \$35 million annually in Federal research assistance. Letter of Institute GRO Eligibility: Applicants must submit a letter stating that their institution is GRO eligible. Data to be used in determining eligibility can be accessed at <http://www.nsf.gov/statistics/nsf07316/pdf/tab11.pdf>. Multiply the figure in the second column by 1000. Then submit a statement according to the following guidelines: "According to the National Science Foundation's report Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: Fiscal Year 2004, Table 11, column two, this institution received \$xx (place amount from Table 11, column 2 here) million in Federal Research and Development expenditures in fiscal year 2004. Since this is \$35 million or less, this institution is GRO eligible." The full NSF report is available at <http://www.nsf.gov/statistics/nsf07316/pdf/nsf07316.pdf>. EPA will verify institution eligibility prior to scientific review. Proposals submitted by ineligible institutions will be rejected. Eligible institutions with substantial minority enrollment are particularly encouraged to apply. Examples of such schools are those that the Department of Education lists as "Accredited Postsecondary Minority Institutions" consistent with Executive Orders 13125 (Increasing Participation of Asian Americans and Pacific Islanders), 13230 (Educational Excellence for Hispanic Americans), 13256 (Historically Black Colleges and Universities), and 13270 (Tribal Colleges and Universities), which encourage building of the capacity of minority serving institutions to provide high quality education. Note however, that not all of these schools receive less than \$35 million annually in Federal Research and Development expenditures. See "The Extent of Federal S&E Funding to Minority-Serving Institutions", at <http://www.nsf.gov/statistics/infbrief/nsf04325/>. Eligible nonprofit organizations include research institutes, corporations or foundations that are part of a fully accredited four year U.S. institution of higher education that receive \$35 million or less in annual federal research and development funding, as designated in column 2 of Table 11 (see <http://www.nsf.gov/statistics/nsf07316/pdf/tab11.pdf>). However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible to apply. National laboratories funded by federal agencies (Federally-funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the principal investigator but may not direct projects on behalf of the applicant organization or principal investigator. The principal investigator's institution, organization or governance may provide funds through a grant from EPA to a FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism. Federal agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or in other ways augment their agency's appropriations through grants made by this program. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program. The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector. Examples are purchase of satellite data, census data tapes, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included. See RFA at: <http://www.epa.gov/ncer> for additional information pertaining to eligibility requirements.

**Beneficiary Eligibility:**

Public Nonprofit Institutions/Organizations, Private Nonprofit Institutions/Organizations, Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

**Credentials/Documentation:**

EPA may request that principal investigators document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may ask principal investigators for information documenting past performance.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as

furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

For regular mail, completed paper applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1025 F Street, NW (Room 3500), Washington, DC 20004, Phone: (202) 233-0686. Specific details on the application process is described in the solicitation which is located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

As shown in the solicitation, which is accessible through the EPA/ORD/NCER Web site at <http://www.epa.gov/ncer>.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants are normally funded for a minimum of 2 years. Total approved project period may not exceed 5 years. Grants are generally fully funded or incrementally funded (on a yearly basis).

**Reports:**

A grant recipient must agree to provide annual progress reports, with associated summaries for posting on NCER's web site, and a final report with an executive summary for web posting. A grant recipient must agree to provide copies of any peer reviewed journal article(s) resulting from the research during the project period. The recipient also agrees to provide expenditure and invention reports as appropriate.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 are applicable. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel

authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$1,152,700; FY 08 est \$1,152,700; and FY 09 est. \$0. FY 08 funding was placed on awards made in response to FY 07 funding priorities.

**Range and Average of Financial Assistance:**

New awards range from \$300,000 to \$400,000 total per grant and average \$335,000.

**PROGRAM ACCOMPLISHMENTS:**

Applications received for the Greater Research Opportunities (GRO): Research Program- FY 07: 5; FY 08: 0. New awards for the Greater Research Opportunities (GRO): Research Program- FY 07: 3. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the EPA/ORD/NCER homepage: <http://www.epa.gov/ncer>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30) and Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40).

**Regional or Local Office:**

Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed in the solicitation. The solicitation may be found at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

To obtain further information via the Internet for the Greater Research Opportunities (GRO) Research Program, click on "Grants & Funding" at <http://www.epa.gov/ncer>. RFAs will be posted as available. Further information, if needed, may also be obtained from Nora Savage; Telephone: (202) 343-9858; Fax: 202-233-0680; E-mail: [savage.nora@epa.gov](mailto:savage.nora@epa.gov); 1025 F Street, N.W. Washington, DC 20004. E-mail inquiries are preferred.

**Web Site Address:**

<http://www.epa.gov/ncer>.

**RELATED PROGRAMS:**

66.509, Science To Achieve Results (STAR) Research Program; 66.511, Office of Research and Development Consolidated Research/Training/Fellowships.

**EXAMPLES OF FUNDED PROJECTS:**

1. Develop nanofiber chitosan membranes using an electro-spinning process with the capacity to treat aqueous and gaseous environments. 2. Support the development of fluorescent detectors for a common seafood poison- saxitoxin. 3. Demonstrate the feasibility of using an internally-cooled machining tool that can perform at the same level as a conventional externally-cooled machine tool and thus eliminate the use of metalworking fluids. 4. Develop the technology, commercial applications, and life cycle assessments for high-performance microcellular (nano-) composites that use sustainable biobased materials via an environmentally benign manufacturing process. 5. Develop unit operations for the leather processing industry based on the use of liquid carbon dioxide. See Web Page (<http://www.epa.gov/ncer>) for additional information on previously funded grants.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for this RFA.

**66.516 P3 AWARD: NATIONAL STUDENT DESIGN COMPETITION FOR SUSTAINABILITY**

**FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103, 42 U.S.C. 7403; Clean Water Act, Section 104, 33 U.S.C.; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Safe Drinking Water Act, Section 1442, 42 U.S.C. 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C. 136r; Toxic Substances Control Act, Section 10, 15 U.S.C. 2609.

**OBJECTIVES:**

EPA offers this competition to respond to the technical needs of the developed and developing world in moving towards the goal of sustainability. P3 highlights people, prosperity, and the planet - the three pillars of sustainability - as the next step beyond P2 or pollution prevention. The P3 Award program is a partnership between the public and private sectors to progress toward sustainability by achieving the mutual goals of economic prosperity, protection of the natural systems of the planet, and providing a higher quality of life for its people. Funding Priority - Fiscal Year 2008: The United States Environmental Protection Agency (EPA) invites submissions to the P3 Award: A National



Student Design Competition for Sustainability. The P3 competition will provide grants to teams of college students to research, develop, and design solutions to challenges to sustainability. The Phase I competition is designed to provide flexibility for creativity, allowing interdisciplinary teams of students to: (1) define a technical challenge to sustainability; (2) discuss the relationship of the challenge to people, prosperity, and the planet; and (3) develop a design approach to address the challenge. Challenges from a wide range of categories will be considered. These include: agriculture (e.g., irrigation practices, reduction or elimination of pesticides); materials and chemicals (e.g., materials conservation; renewable, bio-based feedstocks; inherently benign materials and chemicals through green engineering and green chemistry, biotechnology; recovery and reuse of materials through product, process, or system design); energy (e.g., reduction in air emissions through innovative strategies for energy production and energy distribution; energy conservation; inherently benign energy through green chemistry, green engineering, biotechnology); information technology (e.g., delivery of and access to environmental performance, technical, educational, or public health information related to environmental decision making); water (e.g., water quality, quantity, conservation, availability, and access); built environment (e.g., environmental benefits through innovative green buildings, transportation and mobility strategies, and smart growth as it results in reduced vehicle miles traveled or reduces storm water runoff). Winners of Phase I will be eligible for Phase II awards. Phase II awards will be made for further development and demonstration of the designs created by Phase I winners. Phase II will begin in the Spring when the student teams and their faculty advisor (the Principal Investigator on the grant) will be invited to submit their completed Phase I design to compete for the P3 Award. reduction in air emissions through innovative strategies for energy production and energy distribution; energy conservation; inherently benign energy through green chemistry, green engineering, biotechnology); information technology (e.g., delivery of and access to environmental performance, technical, educational, or public health information related to environmental decision making); water (e.g., water quality, quantity, conservation, availability, and access); built environment (e.g., environmental benefits through innovative green buildings, transportation and mobility strategies, and smart growth as it results in reduced vehicle miles traveled or reduces storm water runoff). Winners of Phase I will be eligible for Phase II awards. Phase II awards will be made for further development and demonstration of the designs created by Phase I winners. Phase II will begin in the Spring when the student teams and their faculty advisor (the Principal Investigator on the grant) will be invited to submit their completed Phase I design to compete for the P3 Award.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Awards are made in response to an announced competitive request for applications (RFA). Funds awarded via grant agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Public nonprofit institutions/organizations (limited to degree-granting public institutions of higher education) and private nonprofit institutions/organizations (limited to degree-granting private institutions of higher education) located in the U.S. are eligible to apply to be the recipient of a grant to support teams of undergraduate and/or graduate students. The students on the teams supported by the institution receiving the grant must be enrolled in the college, university, or post-secondary educational institution they will be representing at the time the proposal is submitted. Institutions are allowed to submit more than one proposal where each proposal represents a unique design concept and student team. For the purposes of grant administration, the team's faculty advisor will be designated the principal investigator throughout the P3 Award grant and competition process. In addition to the principal investigator, each team selected for award will also be asked to provide contact information for a student lead. Universities and educational institutions must be subject to OMB Circular A-21. Profit-making firms are not eligible to receive grants from the EPA under this program. Eligible nonprofit organizations include research institutes, corporations, or foundations that are part of a U.S. degree-granting institution of higher education. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible to apply. Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers) may not apply. Interdisciplinary teams, including representatives from multiple

engineering departments and/or departments of chemistry, architecture, industrial design, business, economics, policy, social science, and others, are strongly encouraged to submit an application through their institution. Collaboration with colleges and universities outside the United States is permitted, but only U.S. institutions will be eligible for awards. Up to 40% of the total grant may be sub-contracted to another educational institution (domestic or foreign) as described in instructions for submitting to this RFA. If foreign work is performed, in the process of funding the grant, EPA's Office of Research and Development is required to obtain clearance from EPA's Office of International Activities and the U.S. Department of State. See RFA at: <http://es.epa.gov/ncer/p3/> for additional information pertaining to eligibility requirements.

#### **Beneficiary Eligibility:**

Public Nonprofit Institutions/Organizations, Private Nonprofit Institutions/Organizations, Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

#### **Credentials/Documentation:**

EPA may request that students document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask principal investigators for information documenting past performance.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circular No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

For regular mail, completed paper applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1025 F Street, N.W., (Room 3500), Washington, DC 20004, Telephone: (202) 233-0686. This program is subject to the provisions of OMB Circular No. A-110. Specific details on the application process is described in the solicitation which is located at: <http://es.epa.gov/ncer/p3/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division.

#### **Deadlines:**

As shown in the solicitation, which is accessible through the EPA/ORD/NCER P3 Web site at <http://es.epa.gov/ncer/p3/>.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

P3 Awards will be fully funded. Project period for Phase I will normally not exceed 1 year. Project period for Phase II will normally not exceed 2 years.

**Reports:**

Phase I Report, Phase II report, expenditure, equipment and invention reports as appropriate.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 are applicable. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$1,067,000; FY 08 est. \$1,077,000; FY 09 est. \$1,095,000.

**Range and Average of Financial Assistance:**

Phase I Awards range from \$7,000 to \$10,000. Average awards total \$9,800. Phase II Awards range from \$35,000 to \$75,000. Average awards total \$69,000.

**PROGRAM ACCOMPLISHMENTS:**

Applications received for the P3 Phase I Award- FY 07: 116; FY 08: 110. New awards for the P3 Phase I Award: FY 07: 58. Applications received for the P3 Phase II Award- FY 07: 42; FY 08: 56. New awards for the P3 Phase II Award: FY 07: 6. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage: <http://es.epa.gov/ncer/p3/past/index.html>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30) and Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40).

**Regional or Local Office:**

Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the solicitation. The solicitation may be found at: <http://es.epa.gov/ncer/p3>.

**Headquarters Office:**

To obtain further information via the Internet for the P3 Award, click on "P3" at <http://www.epa.gov/ncer>. Further information, if needed, may also be obtained from Cynthia Nolt-Helms; phone: 202-343-9693; fax: 202-233-0680; e-mail: [nolt-helms.cynthia@epa.gov](mailto:nolt-helms.cynthia@epa.gov); 1025 F Street, N.W. Washington, DC 20004. E-mail inquiries are preferred.

**Web Site Address:**

<http://www.epa.gov/ncer>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Propose a unique approach to blend green and animal wastes into a product that will be a nutrient-rich soil amendment and/or fuel source. This product represents a new approach toward waste use that combines two problem wastes to form a usable product. (2) Develop a novel solid acid catalyst (NSAC) for the esterification of fatty acids to remove them from feedstocks that would be utilized in biodiesel production. The removal of these fatty acids would make the processing of waste oil feedstock less difficult, helping minimize the costliness of biofuels. (3) A novel scrubber will be designed for the selective capture of trace elements such as mercury, selenium, and arsenic from the flue gases of coal combustion. The novel sorbent material will prevent trace element contamination in flue gas desulfurization (FGD) byproducts and thereby permit safer handling and recycling of the products, making coal combustion more sustainable. (4) Use virgin plant oils, animal fats and waste cooking oil as sustainable resources that can reduce the use of petroleum derived fuels. (5) Design and demonstrate a sustainable point-of-use water treatment facility consisting of biosand filtration and UV sterilization systems. See Web Page (<http://es.epa.gov/ncer/p3/past/index.html>) for additional information on previously funded grants.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement. See the Web page (<http://es.epa.gov/ncer/p3>) for additional information on the evaluative criteria for this RFA.

**66.517 REGIONAL APPLIED RESEARCH EFFORTS (RARE)**

**FEDERAL AGENCY:**

OFFICE OF RESEARCH AND DEVELOPMENT, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Sections 103 and 104, as amended, Public Law 95-95, 42 U.S.C. 7401 et seq.; Clean Water Act, Section 104, as amended, Public Law 95-217, 33 U.S.C. 1251 et seq.; Solid Waste Disposal Act, Section 8001, as amended; Resource Conservation and Recovery Act of 1976, as amended, Public Law 94-580, 42 U.S.C. 6981 et seq.; Safe Drinking Water Act, Section 1442, as amended, Public Law 93-523; Federal Insecticide, Fungicide, and Rodenticide Act, Sections 20 and 23, as amended, Public Law 92-516, 7 U.S.C. 136r and 136 u; Public Laws 94-140 and 95-396, 7 U.S.C. 136 et seq.; Toxic Substances Control Act, Section 10, as amended, Public Law 94-469, 15 U.S.C. 2601 et seq.; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311, Public Law 95-510, as amended, Public Law 99-499; Marine Protection, Research, and Sanctuaries Act, Section 203.

**OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels. Funding Priority - Fiscal Year 2008: FY 2008 Priorities include conducting high priority air pollutants research, ecological risk assessment, water quality, watersheds and drinking water research, research to improve human health (including children's) risk assessment, pollution prevention and new technologies/Economic and Social Science research. Support surveys, studies and investigations and special purpose assistance actions to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; and identify, develop, and demonstrate and effective pollution control techniques will all be funded under this category. Funding Priority - Fiscal Year 2009: FY 2009 Priorities include conducting high priority air pollutants research, ecological risk assessment, water quality, watersheds and drinking water research, research to improve human health (including children's) risk assessment, pollution prevention and new technologies/Economic and Social Science research. Support surveys, studies and investigations and special purpose assistance actions to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; and identify, develop, and demonstrate and effective pollution control techniques will all be funded under this category.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Scientists/Researchers, Hospitals, and Individuals.

**Credentials/Documentation:**

None.

**Reapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When, applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review

of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate laboratory, center or office within ORD specified in the announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the appropriate laboratory, center or office within ORD for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals and extensions are available under the discretion of the appropriate Regional Science Liaison (RSL) to ORD.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

FY 07 \$823,265; FY 08 est. \$511,000; and FY 09 est. \$600,000.

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$50,000 to \$200,000 and average. \$125,000.

**PROGRAM ACCOMPLISHMENTS:**

Eight grants/cooperative agreements were made in FY 2007. An estimated six grant/cooperative agreements will be made in FY 2008. An estimated eight grant/cooperative agreements will be made in FY 2009. Contact the Regional Science Liaison of the specific region for the results of the research.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31). "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis and "EPA and the Academic Community, Solicitation for Grant Proposals."

**Regional or Local Office:**

Individuals are encouraged to communicate with the appropriate EPA Regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For administrative questions on grant applications and procedures, contact Mark J. Thomas, at the following address: Environmental Protection Agency, 1200 Pennsylvania Ave. Washington, DC 20460. Telephone: (202) 564-4763, Fax: (202)565-2903. E-mail: [Thomas.Mark@epa.gov](mailto:Thomas.Mark@epa.gov).

**Web Site Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm> .

**RELATED PROGRAMS:**

66.510, Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development.

**EXAMPLES OF FUNDED PROJECTS:**

(1) This project will consist in evaluating commercially available, rapid, economical immunoassays for detection of PCBs in caulking and ventilation system dust. A quantitative PCB immunoassay developed by ORD's Human Exposure and Atmospheric Sciences Division will also be evaluated. Assays performing favorably would be further tested in buildings testing positive for PCBs in caulk to assess whether ventilation dust can be correlated with air sampling methodologies. (2) This project will include conducting a side-by-side comparison between an integrated network approach and the conventional horizontal Flow Gravel Pre-filtration/Slow Sand Filtration approach and examine behavior and costs associated with such water filtration technologies in natural watershed conditions. The project could contribute to finding a solution to the problem of filtration for small rural communities who receive water from surface sources in a tropical climate. The goal would be to reduce their risks for waterborne diseases and help them comply with the Surface Water Treatment Rule (SWTR). (3) This project is intended to help MS4s develop, select and implement a storm water management plan that effectively addresses TMDL requirements and achieves water quality improvement. The project relies upon existing watershed improvement initiatives and will simply augment what is already being accomplished at the project site in order to better enable EPA to demonstrate environmental results. Due to the great length of time anticipated to achieve TMDL WLAs and water quality standards, interim measures or indices may be used in order to detect improvement in the first two years of the project. This project will ultimately incorporate outreach to MS4s and States to educate them about methods and techniques that can be employed to reach TMDL goals and water quality standards. (4) The use of infrared technology for the discovery of hydrocarbon leaks along pipeline routes has been used for many years. EPA has partnered with LDEQ to test this proven technology to discern if it can determine the amount of leaking organic vapors from the barges and railcars traversing along the Mississippi River industrial corridor. With the use of the HAWK surveying instrumentation from a helicopter flying low over the pipelines, barges and railcars, and tying that information into LDEQ's existing GIS databases, we hope to be able to immediately identify the leakers and have them repaired. This information will also be invaluable in determining if the existing regulations are sufficient to protect the environment and the public from unauthorized releases of hazardous chemicals. (5) This project will focus on (a) reviewing available databases and literature to compare species assemblages and invasion histories across Pacific estuaries relative to shipping patterns; (b) determining patterns of genetic diversity across invasive populations of Smooth Cordgrass and European Green Crab sampled from California, Oregon, and/or Washington to determine whether populations originated from San Francisco Bay; and (c) developing molecular genetic screening tools to determine whether European Green Crabs and Chinese mitten crabs are being carried in ballast originating from San Francisco Bay.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**66.518 STATE SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM**

(SSEE)

**FEDERAL AGENCY:**

OFFICE OF ADMINISTRATION AND RESOURCES MANAGEMENT,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C. 4368a.

**OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to State environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and



Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship. Funding Priority - Fiscal Year 2008: The Environmental Programs Assistance Act of 1984 (Public Law 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for coverage of all types of SEE program positions from professional to clerical. Annual funding priorities are established by EPA program officials and the participating state program office requiring SEE Program support.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State and local environmental agencies for projects of pollution prevention, abatement, and control."

**Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

**Beneficiary Eligibility:**

State environmental agencies and individuals 55 years old or older.

**Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Director SEE Program, Office of Human Resources, Customer Services Support Center (3605A), Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. Basic steps of the application process are outlined in the application package.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations and to program objectives.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period.

**Reports:**

Recipients must furnish quarterly reports on expenditures by cooperative agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted

in OMB Circular No. A-133.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Grants) FY 07 \$270,000; FY 08 \$350,000; and FY 09 est. \$58,000.

**Range and Average of Financial Assistance:**

New awards and amendments: FY 2008 Range \$35,000 - \$672,000; Average \$260,000.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, two cooperative agreements were continued. In Fiscal Year 2008, two cooperative agreements will continue to be administered.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

Susan Street, Director SEE Program (3661A), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, 1200 Pennsylvania Ave., N.W., Washington DC 20460. Telephone: (202) 564-0410 Fax: (202) 564-0735; E-mail: street.susan@epa.gov.

**Headquarters Office:**

Susan Street, Director SEE Program (3661A), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, 1200 Pennsylvania Ave., N.W., Washington DC 20460. Telephone: (202) 564-0410 Fax: (202) 564-0735; E-mail: street.susan@epa.gov.

**Web Site Address:**

<http://epa.gov/epahrist/see/brochure> .

**RELATED PROGRAMS:**

66.508, Senior Environmental Employment Program.

**EXAMPLES OF FUNDED PROJECTS:**

Focus is on State level programs. Similar programs conducted at the Federal level provided to senior citizens to do national non-agricultural pesticide surveys, monitor for asbestos compliance in schools, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and general administrative and clerical tasks.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

## 66.600 ENVIRONMENTAL PROTECTION CONSOLIDATED GRANTS FOR THE INSULAR AREAS - PROGRAM SUPPORT

(Consolidated Program Support Grants)

**FEDERAL AGENCY:**

REGION 9, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

EPA grant programs eligible for consolidation include but are not limited to programs authorized under: Clean Water Act, Sections 104(b)(3), 106, 205(g), 205(j)(2), and 319(h); Safe Drinking Water Act, Sections 1443(a) and 1443(b); Solid Waste Disposal Act, 42 U.S.C. 6908a ; Federal Insecticide, Fungicide, and Rodenticide Act, Sections 23(a)(1) and 23(a)(2); Toxic Substances Control Act, Sections 28(a), 404(g), and 306; Pollution Prevention Act, Section 6605; NEPA 102(2)(f). Consolidated grants to Insular areas under these programs are authorized by the Omnibus Territories Act are applicable: 48 U.S.C 1469a et seq.

**OBJECTIVES:**

The consolidated program support grant is an alternative assistance delivery mechanism which allows an Insular Territory responsible for continuing pollution control programs to develop an integrated approach to pollution control. An agency eligible for assistance for two or more pollution control programs may consolidate its assistance requests into a single application and receive a single consolidated award in an effort to reduce administrative and application costs. The consolidated grants program does not represent funding in addition to grants provided under individual authorities, but merely represents the amount of consolidation taking place within the Agency's total grant appropriations. Funding Priority - Fiscal Year 2008: To provide technical and

managerial support in relation to our consolidated environmental program grants for the protection of public health and welfare in the Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands (hereinafter referred to as "Insular Areas.") Funding priorities for the fiscal year include: (1) Clean and Safe Water: (a) Safe Drinking Water - To provide on-site technical assistance, training, funding towards building capacity at water utilities and environmental protection agencies, and addressing funding shortages for drinking water infrastructure improvements. We will work with DOI's Office of Insular Affairs and other federal agencies to explore ways of addressing the growing gap between available federal funding and the capital needs for sound infrastructure (b) Clean Water - To provide on-site technical assistance, training, funding, capacity building to utilities and environmental agencies for construction of wastewater treatment facilities; to assist government agencies in the development of surveillance, monitoring, and enforcement programs for streams, lakes, marine water, marine sediment, and coral reef protection through our comprehensive Watershed Management program that protects human health and the environment. (2) Preserve Land: To provide on-site technical assistance, training, and information exchange with other governments and international agencies to establish a regional recycling program that would reduce waste and the need for landfill area and eliminate possible incineration; to continue to inspections and establish training to prevent petroleum releases by working with environmental agencies, utilities, and Department of Defense by instituting comprehensive training, inspection, and on scene coordination concerning emergency responses. (3) Health Communities and Ecosystems: Reduce chemical and biological risks - To provide on-site technical assistance, training, capacity building, funding to eliminate the exposure to hazardous and nonhazardous chemicals, toxic waste, and pesticides for the protection of public health and the environment. Assist government with the removal and remediation of toxic and pesticide wastes; eliminate the illegal importation and improper use of pesticides; promote sustainable development; provide an information exchange and partnership for the utilization of international treaties regarding the transport and disposal of hazardous materials and waste. (4) Compliance and Environmental Stewardship: To provide on-site technical assistance, training, capacity building, and funding to continue to establish and develop key partnerships with territorial government agencies and federal agencies for enforcement issues concerning land based pollution, illegal toxic releases, and protection of the marine environment. As a result of EPA's continuing leadership and on-site assistance, the territorial governments look to EPA as a leader for all issues concerning environmental management and protection.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are awarded to Insular Area agencies under the above referenced authorities to provide technical and managerial support in relation to continuing environmental program grants that serve to protect the public health and welfare of the Insular Areas.

**Applicant Eligibility:**

The Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands are eligible to receive and administer funds for more than one environmental program. For certain competitive funding opportunities under this description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The Territories of Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication communications should be directed to the appropriate EPA Regional office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and 40 CFR 31.10 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the Regional office or official designated as the single point of contact for their Insular Area for more information on the process the Insular Area needs to follow when applying for assistance.

**Application Procedure:**

U.S. Insular area agencies will be notified to submit grant application packages identifying required forms including a work plan. The application package should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

U.S. Insular area agencies will be notified of Federal assistance awards through the appropriate EPA Regional Office. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement.

Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the appropriate EPA Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts". Disputes relating to matters other than competitive selection of recipients will be resolved under 40 CFR 30.63 and 40 CFR 31.70.

**Renewals:**

None.

**Formula and Matching Requirements:**

Matching requirements may be waived by the Agency pursuant to the Omnibus Territories Act.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for a 1-year or longer period. The Automated Standard Application for Payments (ASAP) is the preferred payment method.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly and final performance reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments - 40 CFR Part 31. Additionally, progress reporting by the Insular Area agency and performance monitoring by EPA will be the minimum necessary for sound program management. Reporting requirements may vary with each Insular Area agency depending upon the specific agency's demonstrated management abilities. A financial status report is required within 90 days of the end of the budget period.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

All records including documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If any litigation, claim or audit is started before the end of the 3-year period, the records must be retained until the litigations, claims or audit findings have been resolved.

**Account Identification:**

68-0108-0-1-304; 68-0103-0-1-304; 20-8145-0-7-304; 20-8153-0-7-304.

**Obligations:**

Grants obligated for American Samoa, Commonwealth of the Northern Mariana Islands, and Guam were the following: FY 07 \$8,459,838; and FY 08 \$6,603,700; FY 09 est. \$8,500,000.

**Range and Average of Financial Assistance:**

In general, financial assistance has increased annually depending on program funding that is consolidated into the grant. Financial assistance has generally ranged from \$2,000,000 to \$4,000,000/territory/fiscal year. The total estimated average is \$8,500,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Island environmental agencies have significantly bolstered water, air, RCRA, superfund, and pesticides programs through the consolidated grants. The grants have allowed island governments to focus on environmental results without being overly burdened by administering multiple smaller grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 40 CFR Part 35, Subpart A, Environmental Program Grants; EPA annual Program Guidance.

**Regional or Local Office:**

EPA Region 2 Contact: Victor M. Trinidad, Chief, Environmental Management Branch, EPA Region 2, Caribbean Environmental Protection Division, Centro Europa Building, Suite 417, 1492 Ponce de Leon Avenue, San Juan, Puerto Rico 00907-4127; Telephone: (787) 977-5870; Fax: (787) 729-7747; EPA Region 9 Contacts: Guam: Alba Espitia, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San

Francisco, CA 94105; Telephone: (415) 972-3667; Fax: (415) 947-3556; E-mail: [espitia.alba@epa.gov](mailto:espitia.alba@epa.gov); CNMI and American Samoa: Renee Chan, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San Francisco, CA 94105; Telephone: (415) 972-3675; Fax: 415-947-3556; E-mail: [chan.renee@epa.gov](mailto:chan.renee@epa.gov).

**Headquarters Office:**

See the "Information Contacts" listed for the specific programs referred to in the "Uses and Use Restrictions" section.

**Web Site Address:**

<http://www.epa.gov/region9/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects have been funded which combined as few as two to several eligible programs. Environmental program grants are awarded annually to Insular Area agencies which consolidate a number of different program funds. In FY04 a grant was awarded to a territorial utility agency which consolidated grant funds to support a water resources master plan project.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be approved if: (1) funds are available; (2) if the application satisfies the requirements of 40 CFR Parts 31 and 35 and applicable statutes; and (3) if the proposed work program is feasible and compatible with the program priorities in EPA annual guidance. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.604 ENVIRONMENTAL JUSTICE SMALL GRANT PROGRAM

(EJSG)

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL JUSTICE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(b)(3); Solid Waste Disposal Act, Section 8001(a); Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Marine Protection, Research, and Sanctuaries Act, Section 203.

**OBJECTIVES:**

The primary purposes of proposed projects should be to develop a comprehensive understanding of environmental and public health issues, identify ways to address these issues at the local level, and educate and empower the community. The long-term goals of the program are to help build the capacity of the affected community and create self-sustaining, community-based partnerships that will continue to improve local environments in the future. Funding Priority - Fiscal Year 2008: To provide financial assistance to eligible non-profit organizations. The purposes of proposed projects should be to educate the community, develop a comprehensive understanding of environmental and/or public health issues, and identify ways to address these issues at the local level and create and develop collaborative partnerships. The long-term goals of the EJSG Program are to help build the capacity of the affected community and create self-sustaining, community-based partnerships that will continue to improve local environments in the future.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, and investigations plus allowable direct costs in accordance with established EPA policies and procedures. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:

<http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).ble for use in lobbying or underwriting legal actions, including the preparation of court testimony and hiring of expert witnesses. Assistance agreement awards under this program may involve or relate to geospatial information.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. An eligible applicant MUST BE: (1) a 501(c)(3) nonprofit organization as designated by the Internal Revenue Service; (2) a nonprofit organization, recognized by the state, territory, commonwealth, or tribe in which it is located; (3) a city, township, county government; OR (4) a Native American tribal

government (Federally recognized)(AND)(5) located within the same state, territory, commonwealth, or tribe that the proposed project will be located. In addition, an eligible applicant must be able to demonstrate that it has worked directly with, or provided services to, the affected community. An "affected community" for the purposes of this assistance agreement program, is a community that is disproportionately impacted by environmental harms and risks and has a local environmental and public health issue that is identified in the proposal. The following entities are INELIGIBLE: colleges and universities; hospitals; state governments; quasi-governmental entities (e.g., water districts, utilities)\*; national, multi-state, or state-wide organizations with chapters; and nonprofit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995. Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency, but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.

**Beneficiary Eligibility:**

Nonprofit organizations and local government organizations as described in "Applicant Eligibility," above.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations and OMB Circular A-102 for local governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Office of Environmental Justice, Mail Code 2201A, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified under Information Contacts. Detailed information and assistance including an application may also be found at <http://www.epa.gov/compliance/environmentaljustice/grants/index.html>. For grant awards, Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the Request for Application.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for training, research, surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. bility of funds.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**



The project grant will be awarded for a 1 year project period. Activities must be completed within the timeframe of the project's budget period and all grants will be fully funded at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports and financial reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the Financial Status Report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

FY 07 \$1,000,000; FY 08 \$800,000; and FY 09 \$0.

#### **Range and Average of Financial Assistance:**

\$20,000 to \$50,000/fiscal year; FY 08 average \$20,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 74 applications were received and 20 grants were awarded. At the end of these projects, OEJ anticipates the following accomplishments, outputs, results achieved and services rendered from the diverse group of projects: in-home trainings on Integrated Pest Management, which focus on using safer pest elimination methods and reducing the number of pesticides used in the homes; indoor air quality management programs to improve the indoor air quality of the schools in Chicago, IL; and an analysis of the numerous environmental and public health issues that confront the Hyde Park community in Richmond, GA and potential remedies to resolve these issues. It is anticipated that approximately 150 applications will be received in fiscal year 2008 and 40 awards will be granted.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 30.

#### **Regional or Local Office:**

Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Kwabena Kyei-Aboagye (617) 918-1609, Kyei-Aboagye.Kwabena@epa.gov, USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Secondary Contact: Sires Rivers (617) 918-1343, rivers.sires@epa.gov. Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, wesley.terry@epa.gov, USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, frazier.tasha@epa.gov. Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, harris.reggie@epa.gov, USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Elvie Barlow (404) 562-9650, barlow.elvie@epa.gov, USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, mclendon.ella@epa.gov. Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, millard.margaret@epa.gov, USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, quinones.shirley@epa.gov, USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Secondary Contact: Nelda Perez (214) 665-2209, perez.nelda@epa.gov. Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, mosess.althea@epa.gov, USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101. Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, reish.nancy@epa.gov, USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556 belille.jean@epa.gov. Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Karen Henry (415) 972-3844,

henry.karen@epa.gov, USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Running Grass (206) 553-2899, grass.running@epa.gov, USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

#### **Headquarters Office:**

Environmental Protection Agency, Office of Environmental Justice, 1200 Pennsylvania Avenue, N.W., Mail Code 2201A Washington, DC 20460. For program information contact: Sheila Lewis, Office of Environmental Justice, (2201A), Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-0152. Fax: (202) 501-1107. E-mail: lewis.sheila@epa.gov. Or call toll free (1-800) 962-6215.

#### **Web Site Address:**

<http://www.epa.gov/compliance/environmentaljustice/grants/>.

#### **RELATED PROGRAMS:**

66.306, Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program; 66.309, Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) Training of two environmental youth organizations to identify and categorize contamination levels at key sites along the creek using available site histories and local knowledge. Based on the type and level of contamination, the groups will research and identify best practices for remediation of those sites as well as determine possible liability issues. Students will research policy barriers preventing the transfer of control over the identified sites to partners wishing to create public open space on the site. (2) Development of a health communication model which will provide information about ways to prevent exposure and reduce risk from the harm associated with the organic, chemical and heavy metal compounds/ substances found in fish and seafood from an Estuary System. The goals of the research will be to gather the necessary cultural data to: (1) increase awareness of fish contamination and prevention measures; (2) isolate data gaps in the information about the complex socio-cultural environment of fish consumption among the resident population; (3) develop a collaborative relationship between public health researchers, community advocates, and health care professionals serving the affected communities, and (4) acquire the information needed to foster behavior changes among the vulnerable populations at risk from potential exposure(s); (5) Creation of a one-hour documentary and two 20-minute documentaries on the environmental concerns associated with three copper mines including the history of the mines and the combined work of citizens and the EPA to clean up the mines; (6) Construction of a safe, affordable off-ground garden structure and share its designs and curriculum with local educators and community members wanting safe alternatives to deal with environmental and public health issues at the site.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## **66.605 PERFORMANCE PARTNERSHIP GRANTS**

(PPGs)

#### **FEDERAL AGENCY:**

OFFICE OF CONGRESSIONAL AND INTERGOVERNMENTAL RELATIONS, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134; Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1998, Public Law 105-65.

#### **OBJECTIVES:**

Improving EPA's partnership with the states and tribes is critical to accelerating environmental outcomes. Performance Partnership Grants (PPGs) are the cornerstone of the National Environmental Performance Partnership System (NEPPS)- EPA's strategy to strengthen partnerships and build a results-based management system. PPGs are innovative grant delivery tools that allow states and tribes to combine up to 20 eligible program grants into a single grant with a single budget. PPGs can reduce administrative transaction costs, provide the flexibility to direct resources toward the highest priority environmental problems, and support cross-media approaches and initiatives. EPA's overarching goal is to optimize the leveraging power of PPGs to strategically focus on the joint priorities of EPA, states and Tribes. PPGs do not include any funding in addition to the state and tribal assistance grants provided under other statutory authorities. Funding Priority - Fiscal Year 2008: The Agency's ongoing goals for the PPG program are to: (1) strengthen partnerships between EPA, the state, tribes, and interstate agencies through joint planning and priority setting to more effectively deploy resources; (2) provide states, tribes, and interstate agencies with the flexibility to direct resources where they are needed most to address environmental and public health priorities; (3) link program activities more effectively with environmental and public health goals and environmental outcomes; (4) foster implementation of innovative approaches such as pollution prevention, ecosystem management, and community-based environmental protection strategies; and (5) provide savings by streamlining

administrative requirements. To help advance these goals, the Agency has initiated a Maximizing PPGs initiative for FY 2008. EPA and state leaders will identify specific issues the initiative might address, the benefits the PPGs already offer, and possible new incentives that would make PPGs more attractive to states. We hope states representing a range of current PPG usage will participate and explore ways they can get more value from their PPGs, and that states not now combining their grants in PPGs will consider doing so as part of this effort. The Maximizing PPGs initiative puts an unprecedented spotlight on PPGs and presents a unique opportunity for states interested in trying new approaches. EPA's top leadership has made a firm commitment to ensuring the success of this effort. Through this initiative, EPA will work with volunteer states to: Address real or perceived barriers to PPGs that are within EPA's purview; Promptly elevate and carefully consider policy issues and, wherever possible, resolve them in favor of providing flexibility; Test ways to accommodate multi-media projects and alternative priorities and approaches in accountability and management systems; Create "safe havens" if needed to test promising new approaches; Develop other incentives to make PPGs more valuable to states; and use the lessons learned to inform EPA's policy decisions, make adjustments as needed to management and accountability systems, and develop practical "how-to" information that will help other states in the future.

Funding Priority - Fiscal Year 2009: The Agency's ongoing goals for the PPG program are to: (1) strengthen partnerships between EPA, the state, tribes, and interstate agencies through joint planning and priority setting to more effectively deploy resources; (2) provide states, tribes, and interstate agencies with the flexibility to direct resources where they are needed most to address environmental and public health priorities; (3) link program activities more effectively with environmental and public health goals and environmental outcomes; (4) foster implementation of innovative approaches such as pollution prevention, ecosystem management, and community-based environmental protection strategies; and (5) providesavingsbystreamliningadministrative requirements. To help advance these goals, the Agency will continue its Maximizing PPGs initiative for FY 2009. EPA and state leaders will identify specific issues the initiative might address, the benefits the PPGs already offer, and possible new incentives that would make PPGs more attractive to states. We hope states representing a range of current PPG usage will participate and explore ways they can get more value from their PPGs, and that states not now combining their grants in PPGs will consider doing so as part of this effort. The Maximizing PPGs initiative puts an unprecedented spotlight on PPGs and presents a unique opportunity for states interested in trying new approaches. EPA's top leadership has made a firm commitment to ensuring the success of this effort. Through this initiative, EPA will work with volunteer states to: Address real or perceived barriers to PPGs that are within EPA's purview; Promptly elevate and carefully consider policy issues and, wherever possible, resolve them in favor of providing flexibility; Test ways to accommodate multi-media projects and alternative priorities and approaches in accountability and management systems; Create "safe havens" if needed to test promising new approaches; Develop other incentives to make PPGs more valuable to states; and use the lessons learned to inform EPA's policy decisions, make adjustments as needed to management and accountability systems, and develop practical "how-to" information that will help other states in the future.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

PPGs are a type of modified block grant, where recipients may combine funds from categorical grants to accomplish their joint and several purposes, so long as recipients meet program requirements for each categorical grant combined into the PPG. The 20 categorical grants eligible for PPGs are a mixture of continuing program grants and competitive project grants. Eligible recipients can combine two or more of the following 20 categorical grants programs identified in EPA's FY 2007 state and Tribal Assistance Grants (STAG) appropriation into a PPG: (1) Air Pollution Control (Clean Air Act (CAA) Section 105); (2) Water Pollution Control (Clean Water Act (CWA) Section 106); (3) Nonpoint Source Management (CWA Section 319); (4) Water Quality Cooperative Agreements (CWA Section 104(b)(3)); (5) Wetlands Program Development (CWA Section 104(b)(3)); (6) Public Water System Supervision (Safe Drinking Water Act (SDWA) Sections 1443(a) and 1451(a)(3)); (7) Underground Water Source Protection (SDWA Section 1443(b)); (8) Hazardous Waste Management (Solid Waste Disposal Act, Section 3011(a)); (9) Underground Storage Tank (Solid Waste Disposal Act, Section 2007(f)(2)); (10) Radon Assessment and Mitigation (Toxic Substances Control Act (TSCA) Section 306); (11) Lead-based Paint Activities (TSCA Section 404(g)); (12) Toxic Substances compliance monitoring (TSCA Section 28); (13) Pollution Prevention Incentives for states (Pollution Prevention Act (PPA) Section 6605); (14) Pesticide Cooperative Enforcement (Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) Section 23(a)(1)); (15) Pesticides and program implementation (FIFRA Section 23(a)(1)); (16) Pesticide Applicator Certification and Training (FIFRA Section 23(a)(2)); (17) Environmental Information Network Exchange Grants (Consolidated Appropriations Resolution for the Departments of Veterans

Affairs, Housing and Urban Development, and Independent Agencies of 2003, Public Law 108-7; Consolidated Appropriations Act of 2004, Public Law 108-199); (18) Brownfields state and Tribal Response Program Grants (Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), Section 128(a), as amended; Public Law 107-118; Small Business Liability Relief and Brownfields Revitalization Act); (19) Capacity Building Grants and Cooperative Agreements for states and Tribes (CWA, Section 104; FIFRA, Section 20; CAA, Section 103; Solid Waste Disposal Act, Section 8001; SDWA, Section 1442; TSCA, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; CERCLA, Section 311; National Environmental Policy Act (NEPA), Section 102(2)(F) (for international awards); and the Indian Environmental General Assistance Program Act); and (20) General Assistance Grants to Indian Tribes (Indian Environmental General Assistance Program Act of 1992) - only eligible tribes can propose to include these funds in a PPG application. Recipients may use PPGs to fund activities that are within the cumulative eligibilities of the 20 categorical grants programs listed above for which they are eligible. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

All states, interstate agencies, U.S. territories, and federally recognized Indian tribes eligible to receive more than one of the 20 categorical grants program referred to in "Uses and Use Restrictions" above are eligible to apply for PPGs. Any duly authorized state or tribal entity that currently receives or is eligible to receive EPA categorical program grants may request a PPG for the funds it administers. This may include agencies other than environmental agencies (for example, agricultural and health agencies), where authorized by state or tribal law. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, U.S. territories, federally recognized Indian tribal governments, and interstate agencies.

**Credentials/Documentation:**

All recipients are agencies of State, local, tribal, or territorial governments. All documentation requirements for recipients are presented at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 40 CFR Part 35, "State and Local Assistance."

**Preapplication Coordination:**

Applicants interested in pursuing PPGs should coordinate with their appropriate EPA Regional Office to develop a PPG through joint negotiations. (See Appendix IV of the Catalog.) Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Requests for applications should be made to the appropriate EPA Regional Grants Management Office. Applicants will negotiate the content of their PPG with their EPA Regional Office and submit an application for the PPG based on these negotiations. Applicants for PPGs must submit an "Application for Federal Assistance: State and Local Non-Construction Programs," (Standard Form 424), including the required supporting documents. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office, and if approved, awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. After the applicant is chosen for the competitive award, the applicant will work with the EPA regional office to add those competitive grant funds to the PPG. The workplan and supporting documentation that were the basis of the competitive award also will be added to the PPG.

**Deadlines:**

Applications are due 60 days prior to the beginning of the budget period.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**



Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Major portions of the PPGs are by statutory formula. The allocation for a PPG consists of the cumulative allocations for the categorical grants included in the PPG. Recipients should calculate a single, composite minimum cost share (based on the match or maintenance of effort requirements of the categorical grants included in the PPG) for each of their PPGs. To calculate the minimum cost share for a PPG, start with the amount of Federal dollars from each program (source of funds) going into the PPG. The minimum required cost share for each portion is determined by identifying the cost share requirements of the relevant categorical grant program (based on the source of funds). The minimum recipient cost share for the PPG is the sum of the minimum cost shares of the contributed categorical grants. Tribal governments and intertribal consortia may be eligible for match requirement waivers based on demonstrated hardship. The determination of eligibility will be completed by the Regional Administrator and will be based on socio-economic criteria.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined during pre-application negotiations and at the time of the award. Applicants may choose to submit annual or multi-year work plans and project periods. Budget periods will be for 12 months with the applicant having the flexibility to select, in consultation with the Regional Administrator, the specific start and end date for the budget period. Grant awards are made after review and approval of the application. Grantees are reimbursed for actual expenses based on submissions in financial status reports.

**Reports:**

Applicants must provide reports and conduct joint evaluations in accordance with 40 CFR Part 31 and 40 CFR Part 35, Subparts A and B.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$372,688,500; FY 08 est. \$392,000,000; and FY 09 est \$411,000,000.

**Range and Average of Financial Assistance:**

There is no low-end limit for PPG awards to tribes. EPA may make awards as small as two programs and thousands of dollars to tribes. EPA may award PPGs that combine up to 19 categorical grants to states. PPGs for larger states exceed \$10 million. In FY 2007, state PPGs generally contained six or seven categorical grants, with award amounts averaging around \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

PPGs have allowed states to take advantage of administrative and program efficiencies and innovations to achieve greater environmental and program results. States and tribes have used PPGs to address critical emergencies and unplanned events (for example, responses to hurricanes Rita and Katrina). They have used PPG flexibility to overcome periodic budget needs or high program demands in specific programs. States and tribes have used PPGs to implement multi-program initiatives and innovations that impact many environmental programs. They also have taken advantage of streamlined administrative procedures to make grant processes more efficient. PPGs have allowed tribes to develop and implement environmental programs in situations where it would have been more difficult using categorical grants. Agencies may request to receive their categorical grant funds in a PPG. Nearly all PPG applicants receive a grant, since they generally fund ongoing environmental programs. The total number of PPGs in effect FY 2007 was 172, including 43 to state environmental agencies; 24 to state agricultural agencies; and 105 to tribal agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 35 Subparts A and B; 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Regional or Local Office:**

See Appendix IV of the Catalog for EPA Regional Office contacts.

**Headquarters Office:**

States - Michael Osinski, Program Manager, National Environmental Performance Partnership System, (202) 564-3792; Fax: (202) 501-1545; E-mail: osinski.michael@epa.gov. Tribes - Office of Water, American Indian Environmental Office; Carol Jorgenson, Director; (202) 564-0303; Fax: (202) 564-0298; E-mail: jorgenson.carol@epa.gov. States - Office of the Administrator, Office of Congressional and Intergovernmental Relations, Mail Code: 1301A, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Tribes - Office of Water, Mail Code: 4104M, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460.

**Web Site Address:**

<http://www.epa.gov/ocir>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Performance Partnership Grant combines funds from ten categorical grant programs to implement the Commonwealth's major operating environmental programs for clean air, clean water, drinking water, hazardous waste, and many others; (2) Grant taps funding from media programs combined in the PPG to fund pollution prevention activities; (3) Performance Partnership Grant combines funds from three pesticides programs to improve state implementation; (4) Grant combines four grants to develop and implement a variety of environmental programs; and (5) Grant negotiates with the regional office to use unexpended prior year funds for special projects to meet state priorities.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must meet selection criteria for the categorical grants to be combined in the PPG. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.608 ENVIRONMENTAL INFORMATION EXCHANGE NETWORK GRANT PROGRAM AND RELATED ASSISTANCE**

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL INFORMATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Authorization for program implementation cooperative agreements with states and tribes, under the Exchange Network Grant Program, is provided in the State and Tribal Assistance Grant (STAG) appropriation, contained in EPA's annual appropriation Acts. Authorization for multi-media assistance agreements for training, studies, research, demonstrations and similar activities that facilitate state and tribal participation in the Exchange Network and are funded by EPA's Environmental Programs and Management (EPM) account (not the STAG account) is provided by the following statutes: Clean Water Act, Section 104(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Comprehensive Environmental Response, Compensation, and Liability Act, Section 104, as amended; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; and National Environmental Policy Act, Section 102(2)(F) for international awards.

**OBJECTIVES:**

EPA and its State, territorial, and tribal partners are building a nationwide Environmental Information Exchange Network. The Exchange Network is an Internet and standards-based information network that facilitates electronic reporting and the exchange and integration of environmental data and information from many different sources. The Exchange Network makes it easier for EPA and its partners to obtain the timely and accurate information needed when making decisions concerning the natural environment and related human health issues. The Exchange Network Grant Program provides financial assistance to states, territories, federally recognized Indian tribes, and intertribal consortia of federally recognized tribes to support the development of information technology and information management (IT/IM) infrastructure and capabilities needed to participate in the Exchange Network; the development of dataflows using the Exchange Network, including geospatial dataflows; planning, mentoring, and training activities; and a challenge group of activities that advance the development and use of the Exchange Network. Exchange Network Grants also provide strategic program support for the Exchange Network through non-competitive awards to State- and tribal-supporting co-regulator/co-implementor organizations. Funding Priority - Fiscal Year 2008: Projects supported by the FY 2008 Exchange Network grant program and funded through EPA's STAG appropriation must address one or more of the



following priorities: developing or upgrading IT/IM capabilities and tools to participate in the Exchange Network; developing the capabilities to exchange environmental, human health, or related data flows using the Exchange Network, and developing related data analysis and integration tools; planning and implementing collaborative, innovative projects that use the Exchange Network to help address the business needs of government agencies at all levels; providing mentoring and training to other Exchange Network partners; providing outreach, communications, technical assistance, and other support to states that are participating in, or may wish to participate in, the Exchange Network; and providing support for state participation in the Network Operations Board and related workgroups. FY 2008 Exchange Network-related awards that focus on expanding tribal participation in the Exchange Network and are funded through EPA's EPM account must address the following priorities: providing programmatic support to federally recognized Indian tribes and intertribal consortia of federally recognized tribes that are participating in or may wish to participate in the Exchange Network; providing outreach, communications, training/mentoring, and technical assistance to tribes to increase their knowledge about the Exchange Network, enhance their IM/IT capabilities, and encourage their development of Exchange Network nodes and dataflows; providing support for tribal participation in the Exchange Network governance structure; and providing periodic reports to the Exchange Network management organization on the status of tribal participation in the Exchange Network. FY 2008 Exchange Network-related awards that focus on enhancing state participation in the state/EPA information management governance structure and are funded through EPA's EPM account must address the following priorities: providing support for state participation in the state/EPA Information Management Work Group, which addresses overarching information management issues; and providing support for state participation in the Exchange Network Leadership Council, which is responsible for developing the strategic direction and overall policies for the Exchange Network. Funding Priority - Fiscal Year 2008: Projects supported by the FY 2008 Exchange Network Grant Program, which are funded through EPA's STAG account, must address at least one of the following priorities: developing or upgrading IM/IT capabilities and tools to participate in the Exchange Network; developing the capabilities to exchange environmental, human health, or related data flows using the Exchange Network, and developing related data analysis and integration tools; planning and implementing collaborative, innovative projects that use the Exchange Network to help address the business needs of government agencies at all levels; providing mentoring and training to other Exchange Network partners; providing outreach, communications, technical assistance, and other support to states that are participating in, or may wish to participate in, the Exchange Network; and providing support for state participation in the Network Operations Board and related workgroups. Other FY 2008 Exchange Network-related awards that focus on providing support to all tribes - not just those that are currently participating in the Exchange Network - and that are funded through EPA's EPM account must address the following priorities: providing programmatic support to federally recognized Indian tribes and intertribal consortia of federally recognized tribes that are participating in or may wish to participate in the Exchange Network; providing outreach, communications, training/mentoring, and technical assistance to tribes to increase their knowledge about the Exchange Network, enhance their IM/IT capabilities, and encourage their development of Exchange Network nodes and dataflows; providing support for tribal participation in the Exchange Network governance structure; and providing periodic reports to the Exchange Network management organization on the status of tribal participation in the Exchange Network. Other FY 2008 Exchange Network-related awards that focus on enhancing state participation in the state/EPA information management governance structure and that are funded through EPA's EPM account must address the following priorities: providing support for State participation in the State/EPA Information Management Work Group, which addresses overarching information management issues; and providing support for State participation in the Exchange Network Leadership Council, which is responsible for developing the strategic direction and overall policies for the Exchange Network.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Funding is available for direct costs associated with carrying out grant-supported projects and for allocations of allowable indirect costs, in accordance with established EPA policies. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Eligible applicants for the Exchange Network Grant Program include states, the District of Columbia, U.S. territories (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands), federally recognized Indian tribes, and intertribal consortia of federally recognized tribes. Intertribal consortium are eligible to apply for assistance from the Exchange Network Grant Program by meeting the following criteria: (a) the majority of the consortium members are federally recognized

Indian tribes; (b) all consortium federally recognized tribal members have authorized the consortium to apply for and receive assistance (if awarded) from the Exchange Network Grant Program; and (c) the intertribal consortium has adequate accounting controls to manage awarded funds while ensuring that only federally recognized tribal members will benefit directly from the award. Regional air pollution control districts may apply for assistance if they are legally considered to be agencies or instrumentalities of the state under applicable State laws. The following entities are not eligible to apply for funding from the competitive Exchange Network Grant Program: state/territorial/tribal universities; city, town, county, or regional governments; nonprofit organizations, including organizations that represent the interests of co-regulators/co-implementors in executing environmental programs. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In addition to issuing competitive awards to states/territories/tribes and intertribal consortia, EPA may use a portion of the Exchange Network Grant Program funds to issue one or more non-competitive awards for associated program support to a co-regulator/co-implementor organization. A co-regulator/co-implementor organization is one that represents the interests of governmental units (for example, state or regional governments) in executing a national or regional environmental program. The membership of such a national or regional organization is composed of officials of the co-regulator or co-implementor entities (for example, state environmental commissioners). Eligible applicants for non-competitive awards that relate to the Exchange Network and are funded through EPA's EPM account include non-profit organizations that are co-regulator/co-implementor organizations.

#### **Beneficiary Eligibility:**

Federal, state, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting requirements; and the public.

#### **Credentials/Documentation:**

Costs will be evaluated in accordance with OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments," or OMB Circular No. A-122, "Cost Principles for Non-Profit Organizations," as appropriate.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Please contact Marla Sheppard ((202) 564-5954) for questions involving Intergovernmental Review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

#### **Application Procedure:**

Applicants for the FY 2009 Exchange Network Grant Program must submit application packages to EPA by November 19, 2008. Applicants have the option to submit application packages in hard copy through the Postal Service or an overnight mail or courier delivery service. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Electronic applications submitted through Grants.gov have to be received no later than 11:59 pm Eastern Time on November 19, 2008. EPA will not review or fund any applications that are postmarked or received by Grants.gov after (November 19, 2008, or any applications that are received from ineligible applicants. The application package included the following materials: Overview of Application Package 1. Cover letter that outlines the following information: A. Contact information for the Project Lead B. Number of copies of the application (one original plus two copies) C. One sentence description of the project's goal D. Data exchanges (and data standards) for which the applicant is requesting funding E. Any additional partner on the grant F. The amount of funds requested G. Coordination efforts between the IM/IT and Environmental/Health Programs H. Signature of executive level official; 2. A list of no more than five (5) Federally or non-Federally funded assistance agreements performed in the last three (3) years of similar size and scope to the current proposal; 3. Project Narrative - Work Plan, including a Quality Assurance Narrative Statement (Work Plans must address the Evaluation Results (Section I-1) and Evaluation Criteria (Section V) in the work plan; 4. Budget Narrative and Detailed Itemized Budget; 5. Copy of applicant organization's Negotiated Indirect Cost Rate Agreement, if indirect costs are included in the budget or a copy of the submitted application to the cognizant fiduciary agency; and 6. Resume(s) of the Project Manager(s) or Project Lead(s). Inter-tribal consortia applying for the Exchange Network Grant Program must include written documentation in the application package that demonstrates the following: A formal partnership exists among the Indian tribal governments that are members of the inter-tribal consortium, and the majority of the members and federally recognized Indian tribes; and the consortium's Federally recognized tribal members have authorized the consortium to apply for and receive assistance (if awarded) from the Exchange Network Grant Program. Please note that after a potential grantee is notified of their selection for a recommendation

for an award, additional documents will be needed to complete the funding package. Annual solicitation notices outline the format and page limitations for the work plan and provide more detailed application instructions. EPA will not review work plan pages in excess of the stipulated page limitation. If the proposal is funded, the recipients would be required to submit a separate, tailored Quality Assurance Project Plan based on guidance in the applicable solicitation notice. EPA plans to post the solicitation notice for the FY 2009 Exchange Network Grant Program on the Web site in September 2008 (<http://www.epa.gov/exchangenetwork/grants>). Please see the solicitation notice for complete application instructions.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA will evaluate the project proposal based on how well and clearly the applicant has articulated project outputs, outcomes and environmental results, and whether they are tied to the intermediate outcomes as defined in Section I of this Solicitation Notice (i.e., burden reduction, cost savings, improved quality of data, etc.). EPA will also evaluate the applicant's work plan for tracking and measuring their progress towards achieving the expected outputs, outcomes, and environmental results of the project proposal.

**Deadlines:**

Applications for the FY 2009 Exchange Network Grant must be postmarked on or before November 19, 2008, or received electronically within Grants.gov at or before 11:59 PM Eastern Standard Time on November 19, 2008.

**Range of Approval/Disapproval Time:**

Applicants whose applications are denied for funding will be notified approximately five months after the application deadline. Applicants whose applications are recommended for funding will be notified, initially to request additional documentation to finalize the application, and, later, when the assistance agreements are issued and mailed by EPA's Grants and Interagency Agreements Management Division, which is expected to be approximately eight to nine months after the application deadline.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Assistance will be provided through grants and cooperative agreements. EPA may provide support in the form of direct funding and/or in-kind assistance, in lieu of direct funding. EPA plans to issue awards for applications that are recommended for funding approximately seven months after the application deadline. The standard period of performance for projects funded by the Exchange Network Grant Program is two years. EPA may consider requests from award recipients for project/budget period extensions; and if deemed appropriate by EPA, the Grants and Interagency Agreements Management Division may issue amendments extending the project/budget periods.

**Reports:**

Award recipients must submit semi-annual progress reports and a final project report that covers the entire project period. The semi-annual progress reports must be submitted within one month of the end of each semi-annual reporting period. The reporting periods are from October through March and April through September of each fiscal year. Award recipients must submit the final project report and a final Financial Status Report (Standard Form 269) to EPA within 90 days after the end of the project/budget period.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all accounting records that substantiate the charges to each grant, must be maintained and accessible to personnel authorized to examine EPA grant accounts. If certain financial records are part of an audit investigation, then they must be retained until the matter under investigation has

been completely resolved. Award recipients must retain complete records documenting their projects for a period of seven years after the close-out of the agreement. Such records include, but are not limited to, financial records, technical reports, periodic performance progress reports, project management files, correspondence with other project partners, and correspondence with EPA. Final products and deliverables that result from the project are considered to be permanent records and should be retained indefinitely.

**Account Identification:**

STAG Account: 68-0103-0-1-304; EPM Account: 68-0108-0-1-304.

**Obligations:**

STAG Account: FY 07 \$14,708,146; FY 08 \$14,700,000; and FY 09 est \$11,000,000. EPM Account: FY 07 \$597,000; FY 08 \$520,000; and FY 09 est \$500,000. EPA will set aside approximately ten percent of appropriated funding for tribal assistance agreements to further facilitate expanded tribal participation in the Exchange Network.

**Range and Average of Financial Assistance:**

STAG Account: Award amounts will range from \$75,000 to \$500,000 for the entire two-year project period. The average award amount will be \$300,000 for the entire two-year project period. EPM Account: The average award amount will be \$250,000 for the entire two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

FY 2009 will be the eighth year of the Exchange Network Grant program. As of 2008 EPA provided an estimated total of \$135,000,000 for State/territorial/tribal awards and associated program support awards through the Exchange Network Grant program. EPA's FY 2009 appropriations requests include an additional \$11.0 million for the Exchange Network Grant program. In previous fiscal years, EPA received applications and made awards to state/territorial/tribal entities and associated program support awards as follows: FY 2007, 77 applications, 57 awards. FY 2008, 70 applications, 55 awards (estimated). As of early November 2007, all states, the District of Columbia, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, the U.S. Virgin Islands, and more than 50 tribes have received awards and been involved in the development of the Exchange Network. As of April 2008, the Exchange Network Grant Program had contributed to the development of 50 State, one territorial and 8 Tribal Exchange Network nodes. A number of additional nodes are currently under development. EPA and its partners are currently using or planning to use the Exchange Network to exchange data that relate to the following: Beaches (beaches water quality and closure data), Air Facility System (AFS), Air Quality System (AQS), Arsenic and Radon, Asbestos, Biodiversity Data Exchange, Drinking Water Laboratory Results, electronic Discharge Monitoring Reports (e-DMR), Facility Registry System (FRS), Geospatial, Institutional Controls Tracking System (ICTS), Integrated Compliance Information System/National Pollutant Discharge Elimination System (ICIS-NPDES), Methamphetamine, National Emissions Inventory (NEI), National Pollution Prevention (P2) Results System, Resource Conservation and Recovery Act Information System (RCRA Info), Safe Drinking Water Information System (SDWIS), Source Water Protection (SWP), Toxics Release Inventory System (TRIS), Underground Injection Control (UIC), and Water Quality Monitoring.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Exchange Network Grant Program assistance agreements issued to state, territorial, and tribal governments are governed by EPA's regulations at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." The assistance agreements issued to nonprofit organizations (i.e., co-regulator/co-implementor organizations) for associated program support for the Exchange Network Grant Program or other Exchange Network activities are governed by EPA's regulations at 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations." General information and guidance documents regarding the Exchange Network are available at <http://www.epa.gov/exchangenetwork>. Information about the Exchange Network Grant Program and previously funded activities is available at <http://www.epa.gov/exchangenetwork/grants>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Jonathan Jacobson, Chief, Information Exchange Partnership Branch, Office of Information Collection, Office of Environmental Information, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Mail Code (2823-T), Washington, DC 20460; Telephone: (202) 566-1984; Fax: (202) 566-1684; E-mail: [Jacobson.jonathan@epa.gov](mailto:Jacobson.jonathan@epa.gov). Edward Mixon, Exchange Network Project Manager, Office of Information Collection, Office of Environmental Information, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Mail Code (2823-T), Washington, DC 20460; Telephone: (202) 566-2142; Fax: (202) 566-1624; E-mail: [Mixon.Edward@epa.gov](mailto:Mixon.Edward@epa.gov).

**Web Site Address:**

<http://www.epa.gov/oei>.

**RELATED PROGRAMS:**

66.608, Environmental Information Exchange Network Grant Program and Related Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of some projects funded by the Exchange Network Grant Program are described below: A State environmental agency is using grant funds to advance the use of the State's Exchange Network node and to promote the efficient and effective use of data to improve environmental conditions across the state. In particular, the state EPA is using the Exchange Network to exchange data associated with the Facility Registry System (FRS), the National Emissions Inventory (NEI), and the Integrated Compliance Information System - National Pollutant Discharge Elimination System (ICIS-NPDES). A State's Office of Technology is using federal assistance to enhance the use of watershed modeling in the state's environmental decision-making. In addition to the Office of Technology, project partners include the State's Department for Environmental Protection, the Office of Geographic Information, the Open GIS Consortium, and the Geological Survey. The project involves developing a web-based watershed modeling information portal to provide timely watershed modeling data to support state environmental decision-making. Project partners will also work toward making the watershed modeling data available to other Exchange Network partners through the state's Exchange Network node, which is currently under development. A state's Department of the Environment is continuing to develop an Exchange Network node to facilitate the exchange of information from the state's Enterprise Environmental Management System (EEMS) with EPA and other Exchange Network partners. The primary purpose of the project is to advance the electronic exchange of data with EPA. The project focuses on submitting data associated with the Resource Conservation and Recovery Act Information System (RCRAInfo) and ICIS-NPDES from MDE's node to EPA's node on the Central Data Exchange. A State Department of Environmental Protection is working in partnership with other regional state and watershed partners to use the Exchange Network to share data on Best Management Practices (BMP) for addressing non-point source pollution. This effort involves developing and registering XML schema for exchanging BMP data. The watershed office receives BMP data from jurisdictions that participate in the program and then enters the data in a regional watershed module and various presentation tools for regional use. Four State environmental agencies collaborated to develop an application that would provide a range of critical information to field personnel responding to emergencies such as flooding at facilities that store toxic chemicals or an explosion at a chemical plant. By using the Exchange Network technology, the project team created the Heartland Emergency Response Exchange which can reach across organizational lines to retrieve integrated environmental and natural resource data from agencies in partner states. Emergency planners can quickly identify potential dangers posed by chemical inventories or hazardous waste storage. In minutes, response teams can assess threats to drinking water infrastructure or other environmental interests. One of the key features of this system is its ability to visualize the data using popular web-based mapping applications such as Google Earth or Microsoft Virtual Earth. In short, better information will offer opportunities for more comprehensive planning and more informed responses.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria for the FY 2008 Exchange Network Grant program was described in the FY 2008 solicitation notice. The quantitative evaluation criteria included such factors as expected project outputs/outcomes, the feasibility and approach of the work plan, the relevance and significance of the proposed project to the Exchange Network, the adequacy of resources and key personnel, and past performance. EPA may also consider various qualitative criteria when determining which applications to recommend for funding. Examples of such qualitative criteria may include, but are not limited to, factors such as achieving a balance among projects, distributing funds among different states/territories/tribes, and having EPA programmatic support for the project. Applications for non-competitive awards to co-regulator/co-implementor organizations, funded by the Exchange Network Grant program through EPA's STAG appropriation, will be evaluated based on the ability of the applicant to provide the following: outreach, communications, technical assistance, and other support to states/tribes that are participating in, or may wish to participate in, the Exchange Network; and support for state/territorial/tribal participation in the Network Operations Board and related workgroups. Applications for non-competitive awards to a co-regulator/co-implementor organization, funded through EPA's EPM appropriation, will be evaluated based on the applicant's ability to implement the types of activities described in the Objectives section of this description.

### **66.609 PROTECTION OF CHILDREN AND OLDER ADULTS (ELDERLY) FROM ENVIRONMENTAL HEALTH RISKS**

(Children's Environmental Health and the Aging Initiative)

#### **FEDERAL AGENCY:**

CHILD AND AGING HEALTH PROTECTION DIVISION, OFFICE OF CHILDREN'S HEALTH PROTECTION AND ENVIRONMENTAL EDUCATION, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Marine Protection, Research, and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311; and National Environmental Policy Act, Section 102(2)(F) for international awards.

#### **OBJECTIVES:**

To support efforts by organizations; educational institutions; and/or State, local, and tribal governmental agencies to establish or enhance their ability to take actions that will reduce environmental risks to the health of children or the aging (elderly) population. Funding Priority - Fiscal Year 2008: Support efforts to: (1) Create healthy school environments; (2) Build state, local, and tribal government capacity to address environmental health risks to children and older adults; (3) Educate health practitioners on environmental risks to children; (4) Implement a National Agenda for the Environment and the Aging to protect the health of older persons, prepare for an aging society, and encourage civic engagement among older adults; (5) Protect children and older adults from environmental hazards in local communities through civic engagement, demonstration projects, and other community capacity building activities; (6) Conduct environmental health tracking as it relates to older persons at the state level; (7) Protect children and older adults internationally from environmental health risks; (8) Demonstrate how smart growth activities can promote healthy communities for older adults and children; (9) Reduce environmental risks to children and older adults through intergenerational activities; (10) Educate women of childbearing age and their health care providers about preventing and reducing environmental health risks; (11) reduce environmental health disparities; (12) Educate older adults to be environmental leaders in their community and train other elders to be leaders and educate children and older adults about the importance of environmental stewardship and health.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States or state agencies, territories, the District of Columbia, American Indian Tribes (federally recognized), and possessions of the U.S. It is also available to public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and 501(c)(3) organizations. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, American Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and organizations.

#### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. The Child and Aging Health Protection Division within the Office of Children's Health Protection and Environmental Education may ask applicants or principal investigators to provide curriculum vitae and relevant publications.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in



applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines for competitive awards will be specified in the announcement of the competitive funding opportunity.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Child and Aging Health Protection Division's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching funds requirements may be established in program guidance or in the terms of competitive solicitations.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, the Child and Aging Health Protection Division of the Office of Children's Health Protection and Environmental Education can negotiate the project period with each applicant based on project requirements. EPA limits project periods to five (5) years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by EPA.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports. Reporting requirements are also identified in EPA's grants regulations at 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient

must maintain all records for a period of three years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$897,420; FY 08 est \$600,000; and FY 09 estimate \$250,000.

**Range and Average of Financial Assistance:**

Range - \$10,000 to \$150,000 per grant. Average - \$100,000 per grant (2 year grants)

**PROGRAM ACCOMPLISHMENTS:**

Developed tools for organizations to work across generations to protect children's health from environmental risks; supported international effort to develop children's environmental health indicators; increased the capacity of health care providers to identify, prevent and manage environmentally-related illnesses in children in United States and around the world; increased state capacity to measure environmentally-related illnesses in older adults; increased state, local and tribal capacity to address environmental toxicants that can affect the health of older adults; developed multicultural leaders in the field of environment and aging; and successfully piloted environmental intergenerational projects in urban and rural settings (including projects that taught youth and elders about acid mine drainage and water quality monitoring; organic farming, solar energy and agribusiness; indoor air quality including mold and toxic cleaning products; e-cycling business; integrated pest management and the growth and migration of monarch butterflies). Data on the number and ratio of applications for FY 07: Building Capacity to Address Environmental Health Issues During Pregnancy - 40+ applications received, 4 awards made and 1 award pending.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally recognized tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Child and Aging Health Protection Division, Office of Children's Health Protection and Environmental Education; EPA, Mail Code: 1107A; 1200 Pennsylvania Avenue, N.W., Washington, DC 20460. Fax: (202) 564-2733. Children's Health, Elizabeth Blackburn, Telephone: (202) 564-2192; E-mail: [blackburn.elizabeth@epa.gov](mailto:blackburn.elizabeth@epa.gov). Aging Initiative (or health of older adults), Kathy Sykes, Telephone: (202) 564-3651; E-mail: [sykes.kathy@epa.gov](mailto:sykes.kathy@epa.gov).

**Web Site Address:**

<http://www.epa.gov/children>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

State environmental and health agency process to develop an action agenda to reduce environmental triggers of childhood asthma and education of health care providers on environmental risks to children. Develop training tools to educate older Americans about environmental hazards in their communities. Training, innovation, outreach, and educational projects to protect the health of older adults and the environment. Public education materials to inform older persons about environmental hazards that affect health and the environment. Increase capacity of state legislators to deal effectively with children's environmental health issues at the state level. Build health professional capacity to address pediatric environmental health issues. Increase intergenerational cooperation to improve environmental health in urban and rural communities. Support the ability of schools to manage chemicals in a safe and effective manner. Demonstration projects to dispose of unwanted medications in a prudent manner. Build capacity with women of childbearing age and health professionals to address environmental health issues during pregnancy.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

## 66.610 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF THE ADMINISTRATOR

### FEDERAL AGENCY:

OFFICE OF THE ADMINISTRATOR, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Marine Protection, Research, and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311; National Environmental Policy Act, Section 102(2)(F), for international awards.

### OBJECTIVES:

(1) To support surveys, studies, investigations, and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) to identify, develop, and demonstrate necessary pollution control techniques; (3) to prevent, reduce, and eliminate pollution; (4) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (5) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues. Funding Priority - Fiscal Year 2008: Priorities include support for environmental health information and analysis to state legislatures; support to build state capacity to reduce environmental hazards that may affect health and the environment; support of environmental education training; support to promote and enhance state collaboration by focusing on communication and the sharing of environmental information among states; support to detail environmental outcome oriented indicators, measures, and goals that promote innovative environmental protection; and support to increase efficiency in the state environmental protection programs that results in cost-effective, sustainable environmental protection. Funding Priority - Fiscal Year 2009: Priorities continue to include support for environmental health information and analysis to state legislatures; support to build state capacity to reduce environmental hazards that may affect health and the environment; support of environmental education training; support to promote and enhance state collaboration by focusing on communication and the sharing of environmental information among states; support to detail environmental outcome oriented indicators, measures, and goals that promote innovative environmental protection; and support to increase efficiency in the state environmental protection programs that results in cost-effective, sustainable environmental protection.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### Applicant Eligibility:

Assistance under this program is generally available to State agencies, territories, the District of Columbia, Indian Tribes, and possessions of the U.S. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

State agencies and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

### Credentials/Documentation:

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Office of

the Administrator may ask applicants or principal investigators to provide curriculum vitae and relevant publications.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive award, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Deadlines for competitive awards will be specified in Request for Applications or Request for Initial Proposals.

### Range of Approval/Disapproval Time:

Approximately 180 days.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Office of the Administrator's program priorities, and the availability of funds.

### Formula and Matching Requirements:

This program has no statutory formula. EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost-sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching fund requirements may be established in program guidance or in the terms of competitive solicitations.

### Length and Time Phasing of Assistance:

EPA normally funds grants and cooperative agreements on a 12-month basis. However, the Office of the Administrator can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by the EPA.

### Reports:

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

FY 07 \$472,992; FY 08 est. \$500,000; and FY 09 est. \$500,000.

**Range and Average of Financial Assistance:**

Range - \$500 to \$500,000 per grant. Average amount of award - approximately \$150,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

The Agency anticipates making one new award under this CFDA in Fiscal Year 2008. Although there were no new applications received and no new awards made during Fiscal Year 2007, the program accomplishments of ongoing grants were: (1) "Building of state capacity to improve results based management" -- The grant recipient developed 15 pilot projects to help States refine and expand their strategic planning efforts to focus on lessons learned with an eye towards better integration of multi-media approaches that achieve quantifiable environmental outcomes. Some states focused their pilots on the development of state priorities, multi-state priorities, and/or joint planning with EPA, while others worked on the alignment of State, regional and national planning processes. Information and experiences from the pilots will be used to evaluate progress and identify additional improvements. These pilots are ongoing. (2) Mercury Abatement helped States to educate and engage key public and private sector leaders on the actions taken to reduce and manage mercury in the environment. Grantee developed and published a mercury compendium of State Mercury Activities and worked with States and EPA to implement a partnership to reduce mercury in the environment. Developed and published an information document on "Mercury Product Labeling." Also helped develop a National Voluntary Mercury Switch Removal Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

None.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Ave., N.W., Washington, DC 20460. For program information contact: Matthew Peters, Office of the Administrator, E-mail: Peters.Matthew@epamail.epa.gov; Telephone: (202) 564-0222; Fax: (202) 501-1534.

**Web Site Address:**

<http://www.epa.gov/adminweb/>.

**RELATED PROGRAMS:**

66.611, Environmental Policy and Innovation Grants; 66.609, Protection of Children and Older Adults (Elderly) from Environmental Health Risks.

**EXAMPLES OF FUNDED PROJECTS:**

EPA has funded projects that: (1) Strengthen State Capacity to Reduce and Manage Mercury in the Environment; (2) build State capacity to improve results-based environmental management and help States share information on best practices; (3) support State efforts to deliver comprehensive environmental compliance assistance to small local governments; (4) assist State efforts to more accurately manage expenditures for water quality programs; (5) To utilize a broad scope of work to include research, studies, demonstrations, training and professional development in order to promote active state involvement in the coordination of Federal/State efforts to reduce and eliminate pollution.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive

proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

## 66.611 ENVIRONMENTAL POLICY AND INNOVATION GRANTS

**FEDERAL AGENCY:**

OFFICE OF THE ADMINISTRATOR, OFFICE OF POLICY, ECONOMICS AND INNOVATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act, Section 103; Clean Water Act, Section 104; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1441; Toxics Substances Control Act, Section 10; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 104(k)(6) and 311, as amended; and National Environmental Policy Act (NEPA), Section 102(2)(F)

**OBJECTIVES:**

(1) To support analyses, studies, evaluations, workshops, conferences, and demonstration projects that lead to reduced pollutants generated and conservation of natural resources; (2) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects on the benefits, costs, and impacts of environmental programs; and (3) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects of incentive-based and voluntary environmental management strategies and mechanisms; and (4) to support research to explore and develop strategies and mechanisms for those in the economic, social, governmental, and environmental arenas to use in environmental management decisions. Funding Priority - Fiscal Year 2008: Pending budget decisions, the funding priorities for this program may include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmentally preferable approaches to development. In the area of economic research, pending budget decisions, there will be a solicitation focused on economic workshops and an economic research solicitation which may focus on methods to improve capacity to measure economic value of health and ecological benefits. The latter will be supported under the Economics and Decision Sciences Program that prior to FY 2008 had been administered by EPA's Office of Research and Development, National Center for Environmental Research. Effective in FY 2008, responsibility and resources for this program were transferred within EPA to the Office of Policy, Economics and Innovation. Funding Priority - Fiscal Year 2009: Pending budget decisions, the funding priorities for this program may include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmentally preferable approaches to development. In the area of economic research, pending budget decisions, there will be one or two solicitations focused on (1) methods to improve capacity to measure economic value of health and ecological benefits, or (2) use of market-based approaches to accomplish environmental management objectives. These solicitations will be supported under the Economics and Decision Sciences Program that prior to FY 2008 had been administered by EPA's Office of Research and Development, National Center for Environmental Research. Effective in FY 2008, responsibility and resources for this program were transferred within EPA to the Office of Policy, Economics and Innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Innovation plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:

<http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia, public and



private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its grant from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism. Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or augment their Agency's appropriations in other ways through grants made by this program.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For competitions administered as part of the Economic and Decision Sciences program, it is planned for OPEI to adhere to the policies and procedures followed previously by ORD, NCER when their office was responsible for administering the program. The details of this process are to be settled upon during FY2008 in conjunction with the transfer of personnel and resources associated with the EDS program as they move from ORD to OPEI.

**Deadlines:**

Deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days for most competitive solicitations. For competitive solicitations administered under the Economic and Decision Sciences program, the time to notification is approximately 240 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for Environmental Policy and Innovation. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula. CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally or fully funded. This determination will be made by the EPA.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

OBLIGATIONS: For awards directed at smart growth issues, the following distributions and projections are - FY 07 total awarded through new awards and incremental funding: \$618,500; FY 08 total expected to be awarded through new awards and incremental funding: \$922,000; FY 09 projected new awards and incremental funding: \$958,000. For awards directed at economic analysis and research topics, including funding provided under the Economic and Decision Sciences program, the following distributions and projections are - FY 07 total awarded through new awards and incremental funding: \$2,179,000 (majority of funds supporting Economic and Decision Sciences program, in response to solicitations initiated when program managed by ORD, NCER during FY 2006-2007). FY 08 total expected to be awarded through new awards and incremental funding: \$1,200,000 (of which \$600,000 supporting Economics and Decision Sciences program). FY 09 projected new awards and incremental funding: \$1,500,000 (of which \$1,000,000 supporting Economics and Decision Sciences program)

**Range and Average of Financial Assistance:**

For awards related to smart growth, the range is from \$30,000 to \$250,000, with an average of \$90,000. For awards in the area of economics - related to Workshops: range is \$20,000 - \$200,000, with an average award of \$75,000. Related to Research: range is \$50,000-\$1,000,000, with an average of \$300,000. There were no earmarks included in FY 2007 or FY 2008. Do not anticipate any earmarks in FY 2009.

**PROGRAM ACCOMPLISHMENTS:**

Through managed competitions awarded in FY 05, assistance agreements were awarded to organizations to support the Agency's Smart Growth Program. Although there were no competitions in FY 06, examples of activities funded through incremental funding include development of guidelines for green, dense urban redevelopment, identification of barriers to smart growth and development of options to eliminate them, support for smart growth visioning and recognition programs, and co-sponsorship of a smart growth conference. In FY 07, examples of funded activities include identification of barriers to smart growth and development of options to eliminate them, support for smart growth visioning and recognition programs, and co-sponsorship of a smart growth conference. The ratio of applications received to those awarded is about 10:1 for the smart growth program. As in past years, grants supporting workshops and conferences related to economic research and analysis are expected to be awarded in FY 2008. The FY 2008 solicitation for workshops is expected to receive 20-30 applications, of which it is expected that 8-10 will be awarded funds in FY2008.

The Economics and Decision Sciences research program in FY2007 completed selection of awards for two solicitations "Market Mechanisms and Incentives: Case Studies and Experimental Testbeds for New Environmental Trading Programs (2006)" totaling awards of \$1,336,000 and "Methodological Advances in Benefit Transfer Methods (2006)" totaling awards of \$592,000. There were three grants awarded for each of the two solicitations. The ratio of applications received to those awarded in the area of economic analysis and research is about 4:1. The research supported by this program helps to strengthen the quality and completeness of the scientific information used in preparing economic analyses. The program works to fill gaps in the quantification of the costs and benefits associated with environmental regulations and policies. As an example, one grant recipient listed the following accomplishments associated with a series of economic workshops funded under this program: For the 2007 Workshop, 324 researchers were invited, and 106 participated. We will continue to obtain feedback on the program and workshop in our effort to improve quality. We will also track the papers afterwards to gauge their success in publication. We have some data on successful progress toward publication of papers that were presented at prior workshops for years 2005 and 2006. Eleven papers were presented each year. Any given paper can easily take more than two years to get published, even if it is revised for the very first journal to which it was submitted. Of the eleven papers from the summer of 2006, three are already forthcoming or published in peer reviewed journals. In addition, three are being revised for resubmission. Of eleven papers presented at the 2005 Workshop, one is being revised for resubmission, and nine are forthcoming or published.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code: 3903R, Washington, DC 20460. For program information contact Pamela Stirling; Telephone: (202) 566-0949; Fax: (202) 566-3001; E-mail: [stirling.pamela@epa.gov](mailto:stirling.pamela@epa.gov).

**Web Site Address:**

<http://www.epa.gov/opei>.

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.813, Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants; 66.940, Environmental Policy and State Innovation Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Under 66.611, EPA has funded projects such as reviewing a city's municipal code; identifying barriers to smart growth and developing options to eliminate the specific barriers; integrating redevelopment solutions for brownfields for a particular State; sponsoring economic policy or economic methodology development workshops and conferences; supporting applied dissertations in environmental economics; and supporting high priority environmental economic research topics. Details on economic projects funded under prior solicitations can be found at the webaddress:

<http://yosemite.epa.gov/ee/epa/eed.nsf/Webpages/Grants.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive

proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

## **66.612 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING DEMONSTRATIONS AND EDUCATIONAL OUTREACH RELATED TO ENVIRONMENTAL INFORMATION AND THE RELEASE OF TOXIC CHEMICALS**

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL INFORMATION, OFFICE OF INFORMATION ANALYSIS AND ACCESS, TOXICS RELEASE INVENTORY PROGRAM DIVISION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10.

**OBJECTIVES:**

To provide funding in support of surveys, studies, investigations, training/demonstrations, educational outreach and special purpose assistance as they relate to environmental information and the release of toxic chemicals. The purpose of this program is to educate the public on the how to obtain access to and effectively use environmental information, including information about toxic chemical releases and other waste management activities. Through this grant program EPA intends to enhance the public understanding of environmental information generally and the potential risks and hazards of releases of toxic chemicals to their communities as they relate to facilities covered under the Toxic Release Inventory Program; support efforts to assist State, tribal and local governments improve management of environmental information; identify priorities and opportunities for the public and state, tribal and local governments to work with industry to reduce toxic chemical disposal or other releases and potential risks associated with them; and establish reduction targets and measure progress toward reduction goals. Funding Priority - Fiscal Year 2008: Topics include, but are not limited to the following: promotion of pollution prevention and the public's right to know about chemical risks, evaluation of chemicals to safeguard all Americans, including children and other vulnerable members of the population, as well as, our most threatened species and ecosystems from environmental harm. Types of activities include but not limited to the following: Capacity Building - identifying and developing relationships with key audiences for Toxics Release Inventory (TRI) information to ensure more effective presentation, dissemination, understanding, and better use of TRI data and information; Education and Outreach - creating a forum for all interested stakeholders to stay up to date on the latest TRI regulatory developments, electronic reporting advances, and new data access and analytical tools, as well as providing opportunities for all interested TRI stakeholders and data users to exchange information and expertise regarding the use of TRI data; and Community Issues - developing a clearinghouse where all interested stakeholders can access information about the TRI program and realize how the information and resources can support their individual program goals and objectives. Funding Priority - Fiscal Year 2009 (optional): Topics include, but are not limited to the following: promotion of pollution prevention and the public's right to know about chemical risks, evaluation of chemicals to safeguard all Americans, including children and other vulnerable members of the population, as well as, our most threatened species and ecosystems from environmental harm. Types of activities include but not limited to the following: Capacity Building - identifying and developing relationships with key audiences for TRI information to ensure more effective presentation, dissemination, understanding, and better use of TRI data and information; Education and Outreach - creating a forum for all interested stakeholders to stay up to date on the latest TRI regulatory developments, electronic reporting advances, and new data access and analytical tools, as well as providing opportunities for all interested TRI stakeholders and data users to exchange information and expertise regarding the use of TRI data; and Community Issues - developing a clearinghouse where all interested stakeholders can access information about the TRI program and realize how the information and resources can support their individual program goals and objectives.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of

Research and Development. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Applicant Eligibility:**

Assistance under this program is generally available to states, the District of Columbia, US territories (for example, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the US Virgin Islands), federally recognized Indian tribes, intertribal consortia of federally recognized tribes, public and private colleges and universities, and other public or private nonprofit organizations. Nonprofit organizations exempt from taxation under Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible for financial assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting requirements; and the public.

**Credentials/Documentation:**

Applicants must demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA will ask applicants or principle investigators to provide curricula vitae and relevant publications. EPA may ask for documentation of nonprofit status.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies and investigations, demonstrations, educational outreach and special purpose projects that consider the relevance to EPA's mission and the likelihood of the success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The standards application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including and application kit, required forms, and a check list may also be found at <http://www.epa.gov/ogd/AppKit/>. For competitive awards, the competitive announcement will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the competitive announcement.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$0; FY 08 \$225,000; and FY 09 est. \$200,000.

**Range and Average of Financial Assistance:**

Estimated \$15,000 to \$350,000 with an average of \$200,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined on accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Research and demonstration projects are subject to 40 CFR Part 40. Training grants are subject to 40 CFR Part 45.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in [http://www.epa.gov/tri/contacts\\_regional.htm](http://www.epa.gov/tri/contacts_regional.htm) or in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. For program information contact: Peggy Bagnoli, Telephone: (202) 566-1230, E-Mail: [Bagnoli.Peggy@epa.gov](mailto:Bagnoli.Peggy@epa.gov), Fax: (202) 566-0727.

**Web Site Address:**

<http://www.epa.gov/oei>.

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424, Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510, Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development.

**EXAMPLES OF FUNDED PROJECTS:**

We currently have one cooperative agreement - with ECOS to "support TRI Capacity Building, Education and Outreach efforts, and development of a Clearinghouse. This is the only project under this CFDA and it is a five year project period not to exceed \$1,000,000. This CFDA was originated in September 2007 and approved in November 2007.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. EPA selects proposed Surveys, Studies, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or



group of projects, the solicitation will identify specific criteria.

## **66.700 CONSOLIDATED PESTICIDE ENFORCEMENT COOPERATIVE AGREEMENTS**

### **FEDERAL AGENCY:**

OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE,  
ENVIRONMENTAL PROTECTION AGENCY

### **AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, as Amended, Public Law 92-516, as amended; Public Laws 94-140 and 95-396, 7 U.S.C. 136 et seq.

### **OBJECTIVES:**

To (a) Assist States, territories and possessions of the U.S., including the District of Columbia and Indian Tribes, in developing and maintaining comprehensive pesticide programs that address all aspects of pesticide enforcement, and special pesticide initiatives; (b) sponsor cooperative surveillance, monitoring and analytical procedures; and (c) encourage regulatory activities within the States. Funding Priority: State, Territorial, and Tribal agencies participating in this cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities. Funding Priority -- Fiscal Year 2008. Two specific compliance monitoring and enforcement activities have been identified as major priorities for this program: the pesticide workers' protection program and pesticides used to protect public health. Other typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls and warning notices. Funding Priority -- Fiscal Year 2009. Two specific compliance monitoring and enforcement activities have been identified as major priorities for this program: the pesticide workers' protection program and pesticides used to protect public health. Other typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices.

### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

### **USES AND USE RESTRICTIONS:**

Available for costs specifically incurred in purchasing inspectional supplies and equipment; reimbursing State travel and per diem expenses associated with the performance of grant outputs; purchasing essential laboratory equipment and supplies; paying salaries for personnel performing inspectional, analytical and/or managerial functions related to grant activities, and for administrative costs associated with the performance of grant outputs. There are no specific restrictions on the use of this assistance.

### **Applicant Eligibility:**

State agencies having pesticide compliance program responsibilities in each State, territory and possession of the U.S., including the District of Columbia, and Indian Tribes.

### **Beneficiary Eligibility:**

States, Federally Recognized Indian Tribal Governments, U.S. Territories and the District of Columbia.

### **Credentials/Documentation:**

The application must supply evidence of legal authority to conduct pesticide compliance activities contemplated under the grant and a workable program officially adopted for the agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### **Preapplication Coordination:**

Discussions or informal meetings with Regional program offices concerning program preparation are advisable. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

Requests for application form and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). The enforcement program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance Awards through the Federal Assistance Awards Data

System (FAADS). Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Deadlines:**

Applications are due 60 days prior to the beginning of the budget period, normally August 1.

### **Range of Approval/Disapproval Time:**

About 60 days.

### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### **Renewals:**

Applicants must reapply.

### **Formula and Matching Requirements:**

Not applicable.

### **Length and Time Phasing of Assistance:**

Projects are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement.

### **Reports:**

As requested in the Annual Program Guidance for inclusion in the grant award; quarterly with mid-year and year-end evaluations.

### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### **Records:**

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

### **Account Identification:**

68-0103-0-1-304.

### **Obligations:**

FY 07 \$19,063,600; FY 08 \$ 18,419,000; and FY 09 18,711,000.

### **Range and Average of Financial Assistance:**

Enforcement/States: \$31,100(territory) to \$676,400; \$264,000.

### **PROGRAM ACCOMPLISHMENTS:**

The Consolidated Pesticide Enforcement Cooperative Agreements are continuing environmental program grants. In fiscal years 2007 and 2008, 85 applications for pesticide enforcement grants were received and 85 grants awarded. Agencies participating in the Federal cooperative agreement program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices. The States will also develop implementation plans for special pesticide initiatives. States will be responsible for dissemination of information and materials related to these pesticide initiatives. States, Territories, and Tribes that are participating in the pesticide enforcement cooperative agreements program conducted 99,750 compliance monitoring inspections in FY 2007. These inspections were conducted at agricultural establishments, pesticide producers and retailers, ports of entry, at pesticide applicators, as well as at other site where pesticides were distributed, sold, or used. As a result of these inspections, 18,015 enforcement actions were initiated in FY 2007 (civil and criminal actions, license suspensions or revocation, warning letters.). For FY 2008, the number of inspections is expected to be between 90,000 and 105,000.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982.

### **Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

### **Headquarters Office:**

Al Havinga, Office Of Compliance, Office of Enforcement and Compliance Assurance (2225A), EPA, Washington, DC 20460. Telephone: (202) 564-4147. Fax: 202-564-0085. E-mail: [havinga.al@epa.gov](mailto:havinga.al@epa.gov).

**Web Site Address:**

<http://www.epa.gov/compliance>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

State agencies participating in the Federal/State cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities as well as special pesticide initiatives activities. Typical program activities, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, inspections and investigations at ports of entry to assess compliance with import and export requirements, and initiation of appropriate enforcement action when violations are detected, including civil and criminal prosecution, stop sale orders, seizures, recalls and notices. The special pesticide initiatives are new projects, which include the development of State management plans for the protection of groundwater and endangered species from pesticides and development of worker protection programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to the following criteria: (1) Need: The need for the development, improvement and/or maintenance of a comprehensive pesticides enforcement program within the State that includes enforcement, new initiative programs, and programs that address existing environmental problems, potential problems, and/or existing exposed populations related to the use of pesticides. (2) State Pesticide Activity: The relative amount of pesticide production, formulation and use in a State, and the potential risk to human health and the environment from pesticide misuse or abuse. (3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the comprehensive pesticide program. (4) Effectiveness of program: The past level and effectiveness of the State pesticide program. (5) level of activity as indicated by such factors as numbers of farms and numbers of applicators. (6) Magnitude of effort needed to accomplish expected outputs and products; and (7) Ability to accomplish output goals.

**66.701 TOXIC SUBSTANCES COMPLIANCE MONITORING COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Toxic Substances Control Act (TSCA), as amended, Section 28, and 404(g)  
Public Law 102-550, 15 U.S.C. 2601 et seq.

**OBJECTIVES:**

To (1) assist States, territories and possessions of the U.S. including the District of Columbia, the commonwealth of Puerto Rico, and Indian Tribes in developing and maintaining compliance monitoring programs to prevent or eliminate unreasonable risks to health or the environment associated with chemical substances or mixtures within the States, specifically asbestos, PCBs, and lead-based paint; (2) encourage regulatory activities within the States to establish their own programs for lead-based paint and asbestos (waiver programs); and (3) for asbestos waiver state programs and lead-based paint programs fund enforcement activities. EPA provides funding for cooperative compliance monitoring grants to States and Tribes under TSCA to conduct inspections to ensure compliance with the PCB regulations, the asbestos in schools requirements (inspections at charter schools, public schools, private schools and religious schools), the Model Accreditation Plan (MAP), and TSCA Asbestos Worker Protection Standards, and to conduct lead-based paint activities. Authorized States also conduct enforcement for the lead-based program. States that have obtained an EPA waiver from the asbestos regulation (Subpart E of Part 763) also have enforcement responsibilities. Funding Priority - Fiscal Year 2008: For the Fiscal Year 2008 TSCA asbestos grant programs, asbestos waiver states have higher funding priority. For the TSCA PCB, Lead and asbestos programs compliance monitoring activities are a funding priority, specifically ensuring uniform coverage of regulated community. The activities in priority order are tracking and responding to tips, complaints, and situations involving non-compliance. In addition, funding to ensure that state inspectors who conduct inspections using EPA credentials meet the minimum training standards will also be a priority. The standards are found in the September 30, 2004 "Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA." It is a priority for states to conduct inspections and respond to tips and complaints (including taking enforcement action where appropriate). Special attention should be given to tips alleging asbestos contamination at schools. Any person may file a complaint with the Administrator or with the Governor of the State in which the school building is located with respect to asbestos-containing material in a school building. Inspections should address charter schools, public

schools, private schools and religious schools. Inspections may be conducted for the Model Accreditation Plan (MAP), and the TSCA Asbestos Worker Protection Standards. In non-waiver states with grants, the regions will follow-up on violations referred by the states, and develop appropriate enforcement responses. States must forward to the regional office inspection reports from inspections conducted with EPA credentials for appropriate follow-up. Where applicable, the regions should encourage states to apply for the "waiver" program. The PCB program is part of the Agency's Persistent Bioaccumulative Toxics (PBT) program. Due to their persistence, PCBs present major environmental/public health problems, especially when they reach food or water. Priorities for PCBs should be determined based on EPA's National Program Guidance, Regional priorities, and State priorities. Also for PCBs, EPA headquarters encourages the purchase and use of tablet personal computers with EPA developed template to automate the PCB inspection process and funding for travel related with training in the use of the table and PCB template. States with authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements. States with

authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements. Funding priorities in FY 2008, assuming the same funding provided in FY 2007, will be: (1) existing programs to ensure their continuance provided they continue to meet certain standards, ensuring inspection coverage of regulated community; (2) activities leading to waiver status for asbestos programs; (3) training activities as necessary for meeting training requirements necessary for obtaining/continuing EPA credentials in those programs which require the use of EPA credentials (the PCB compliance monitoring programs and asbestos programs in non-waiver states); (4) new programs that provide inspection activity where there is an identified need; and (5) activities that further the use of new technology for conducting field inspections, e.g., use of personal computer Tablets to improve the efficiency of inspections, including travel and training. States with authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements. Funding priorities in FY2009: Assuming the same funding provided in FY 2008, will be: (1) existing compliance monitoring programs to ensure their continuance provided they meet certain standards, specifically ensuring uniform inspection coverage of regulated community; (2) activities leading to waiver status for asbestos programs; (3) training activities as necessary for meeting training requirements necessary for obtaining/continuing EPA credentials in those programs which require the use of EPA credentials (the PCB compliance monitoring programs and asbestos programs in non-waiver states); (4) new programs that provide inspection activity where there is an identified need; and (5) activities that further the use of new technology for conducting field inspections, e.g., use of personal computer Tablets and PCB template to improve the efficiency of inspections. States with authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement and their continuance with the training and certification, and work practice standards requirements. here is an identified need; and (6) activities that further the use of new technology for conducting field inspections, e.g., use of personal computer Tablets to improve the efficiency of inspections. States with authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grant funds are available for costs specifically incurred by States, tribes, and tribal consortiums in developing, enhancing and maintaining comprehensive compliance monitoring/enforcement programs under TSCA, including PCBs, asbestos, and lead-based paint. Funded activities may include inspector training, inspection supplies, and laboratory costs, including personnel and equipment; reimbursement for salaries, travel, training, and per diem expenses for inspectors, analysts, and program managers; and other functions related to grant activities. For those programs where inspections are conducted using EPA credentials, prior to conducting inspections under the Grant, the State/Tribe must have an authorization agreement and the inspectors must complete the minimum inspector training, including health and safety training, and conduct inspections according to the September 2004 Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA. They must also have a signed authorization agreement with EPA.

**Applicant Eligibility:**

In order to be eligible to apply for STAG TSCA Compliance Monitoring Agreements State Agencies and Indian Tribes should have toxic substance compliance responsibilities and have the authority to enter into these cooperative agreements. For Lead, State Agencies, Indian Tribes, and tribal consortiums that have toxic substance compliance responsibilities, who have the authority to enter into these cooperative agreements, and who have their own lead laws in place are eligible to apply for assistance under STAG TSCA Compliance Monitoring Grants.

**Beneficiary Eligibility:**

States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, Indian Tribes and Intertribal Consortia, and any territory or possession of the United States.

**Credentials/Documentation:**

The applicant must supply evidence of legal authority to conduct toxic substance compliance program activities contemplated under the grant and a workable program officially adopted for the agency. Costs will be determined in accordance with OMB Circular No.A-87 for State and local governments.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program office concerning program preparation are advisable. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No.A-110.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance awards through the Federal Assistance Awards Data System (FAADS). "Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA."

**Deadlines:**

Applications are due 60 days prior to the beginning of the budget period, normally August 1.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

Under TSCA Section 28, no grant may exceed 75 percent of the establishment and operation costs of such a program during the period for which the grant is made. Thus, recipients must contribute 25% of the total costs for activities conducted under Section 28 of TSCA (i.e., the PCB and Asbestos grants). There are no cost-sharing or matching fund requirements for lead-based paint enforcement grants under Section 404(g). There is no statutory formula aside from the required 25 percent contribution of the States for the PCB and asbestos grants.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipients must request the initial advance payment on the form SF 270, Request for Advance or Reimbursement.

**Reports:**

As required in the Annual Program Guidance for inclusion in the grant award, grantees must submit mid-year and year-end evaluations. For inspections conducted using credentials issued by EPA to the state or tribal employee, the inspection report must be submitted to the regional office for review pursuant to the authorization agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records

must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$5,710,300; FY 08 \$5,019,000; and FY 09 \$5,099,000.

**Range and Average of Financial Assistance:**

\$18,900 to \$236,000/year; \$90,000/year.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-three Asbestos, nine PCB, and thirty six Lead State cooperative agreements were awarded in FY 07 and FY 08. A similar number are expected to be awarded in FY 09. Agencies participating in the Federal enforcement cooperative agreement program receive funds to support and enhance toxic substance compliance monitoring/enforcement activities. Two additional states, Missouri and North Dakota, purchased and will use PC Tablets and the PCB Template to conduct PCB inspections. Typical program activities for asbestos include compliance inspections at facilities regulated under TSCA, and initiation of appropriate enforcement action waiver states or referral to EPA for case review and appropriate enforcement action when violations are detected. Based on regional data, 1043 compliance monitoring inspections were conducted in FY 07 and 1008 compliance monitoring inspections will be conducted by the end of FY 08 (per Regional and state commitments). These numbers include the non-waiver states. Typical program activities for PCB include compliance inspections at facilities regulated under TSCA and initiation of appropriate enforcement action or referral to EPA for case review and appropriate enforcement action when violations are detected. Based on regional data, 302 compliance monitoring inspections were conducted in FY 07, 351 compliance monitoring inspections will be conducted by the end of FY 08, and a similar number of inspections will be conducted in FY 09 if funding levels are the same. Typical program activities for Lead include compliance inspections at facilities regulated under TSCA and, initiation of appropriate enforcement action waiver states or referral to EPA for case review and appropriate enforcement action when violations are detected. Based on the data inputted into the National Compliance Data Base (NCDB) system and regional data, 171 compliance monitoring inspections were conducted in FY 07 and a similar number of compliance monitoring inspections is anticipated in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For PCB and asbestos program information: Phyllis Flaherty, Chief, National Compliance Monitoring Policy Branch, Compliance Assessment and Media Programs Division, Office of Enforcement and Compliance Assurance, (2223A), U.S. EPA, 1200 Pennsylvania Ave. N.W., Washington, DC 20460; Telephone: (202) 564-4131; Fax: (202)-564-0050; E-mail: [Flaherty.Phyllis@epa.gov](mailto:Flaherty.Phyllis@epa.gov). For Lead-based paint program information: John Mason, Sector Analysis and Implementation Branch, Compliance Assistance and Sector Programs Division, Office of Enforcement and Compliance Assurance (2224A), EPA, 1200 Pennsylvania Ave. N.W., Washington, DC 20460; Telephone: (202) 564-7037; Fax: (202) 564-0009; E-mail: [Mason.John@epa.gov](mailto:Mason.John@epa.gov).

**Web Site Address:**

<http://www.epa.gov/compliance/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

State agencies participating in the Federal/State enforcement cooperative agreement program receive funds to support and enhance compliance monitoring (inspection) and enforcement activities, as appropriate for the specific program. Examples of program activities that may be funded include development of State enabling legislation for enforcement, inspections/investigations to evaluate compliance, follow-up inspections, initiation of appropriate enforcement action when violations are detected, equipment for inspections, development of compliance monitoring strategies/targeting approaches, development of software or e-forms capable of automating inspection data collection activities in the field, and training/workshops. In addition, EPA is encouraging states/tribes to purchase Personal Portable Computers, i.e., Tablet PCs, that are compatible for use with PCB inspection software developed by EPA for conducting inspections and writing inspection reports. The National Compliance Monitoring Branch (NCMPB) developed a PCB Inspection Template to make inspections more efficient and consistent by allowing the inspector to use handwriting recognition software to collect data electronically. The software prints EPA notification forms; collects inspection data for opening and closing conferences, records



reviews, and walkthroughs; makes available necessary reference materials; and assists in inspection report writing. For Template software and training in the use of the Tablet PCs and PCB Template, state/tribes may request the PCB software and training on its use through their regional project officer. It is anticipated software for asbestos inspections will be available in the near future. Once developed, states are encouraged to purchase Tablet PCs compatible with the software developed and to use the Tablets to conduct the inspection and prepare the inspection report.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to criteria including the following: (1) Need: The need for the development, improvement, and/or maintenance of a comprehensive compliance monitoring/enforcement program within the State; (2) Level of Activity: The amount of regulated chemicals and facilities, and the potential risk to human health and the environment; (3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the compliance program; and (4) Effectiveness of program: The past level and effectiveness of the State regulatory program, number of inspections conducted by state and number of trained inspectors that have completed the minimum training set forth in the September 30, 2004 "Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA."

### **66.707 TSCA TITLE IV STATE LEAD GRANTS CERTIFICATION OF LEAD-BASED PAINT PROFESSIONALS**

(State Lead Certification Grants)

#### **FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES,  
ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Toxic Substances Control Act, as amended, Section 404(g).

#### **OBJECTIVES:**

The goal of EPA's lead-based paint program is to eliminate childhood lead poisoning by 2010. The program is comprised of four strategies designed to achieve the following goals: (1) Establish standards to define where lead hazards are present in paint, dust and soil; (2) Give the public information about lead hazards and steps to protect themselves; (3) Ensure that information about known lead-based paint hazards is disclosed to individuals buying or renting pre-1978 housing, and that owners and occupants of pre-1978 housing are provided information on lead-based paint hazards before renovation activities take place; (4) Establish lead-safe work practice standards and require lead-based paint professionals to be trained and certified. The objective of this grant program is to assist States, Tribes, and Territories in developing and carrying out authorized programs that: (a) certify contractors engaged in lead-based paint activities and accredit lead-based paint activities training programs; (b) certify contractors engaged in renovation, repair and painting activities that disturb painted surfaces in most target housing; and/or(c) require distribution of lead-hazard information prior to renovation (pre-renovation education program. Funding Priority - Fiscal Year 2008: The priority for FY 2008 is to continue to provide assistance to authorized State, Tribal and Territorial lead-based paint activities training and certification programs and pre-renovation education programs. If appropriate, the Agency will use grant funding to provide assistance to a State, Tribal or Territorial program that is looking to develop an authorized Renovation, Repair and Painting Program. Funding Priority - Fiscal Year 09: The priority for FY 09 is to continue to provide assistance to authorized State, Tribal and Territorial lead-based paint activities training and certification programs and pre-renovation education programs. If appropriate, the Agency will use grant funding to provide assistance to a State, Tribal or Territorial program that is looking to develop an authorized Renovation, Repair and Painting Program.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to authorization under TSCA Title IV. Supported activities must contribute or lead to the attainment or maintenance of authorization pursuant to TSCA Title IV. Funds cannot be used for general program activities not related to the attainment or maintenance of authorized programs.

#### **Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, and any other territory or possession of the United States may receive assistance under Section 404(g) of TSCA. Federally recognized Indian governing bodies are also eligible to apply for and receive assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit

eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State governments, Federally Recognized Indian governing bodies, U.S. Territories and possessions.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

#### **Preapplication Coordination:**

Discussions or informal meetings with the appropriate EPA Regional Office concerning program preparation are advisable. The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office. The following forms and certifications must be included in all final grant applications: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information - Non-Construction Programs); Standard Form 424B (Assurances -- Non-Construction Programs); Certification Regarding Lobbying and SF LLL, if applicable; Certification Regarding Debarment and Suspension; EPA Form 4700-4 (Compliance Review Report Form); and Quality Assurance Narrative Statement, if applicable. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the appropriate EPA Regional Office for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Applicant must reapply for grant funding each fiscal year.

#### **Formula and Matching Requirements:**

Not applicable.

#### **Length and Time Phasing of Assistance:**

Cooperative agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis.

#### **Reports:**

As requested in the annual program guidance for inclusion in the award; usually quarterly with mid-year and year-end evaluations.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

#### **Account Identification:**

**Obligations:**

FY 07 \$22,472,953; FY 08 \$13,564,000, and FY 09 est. \$13,564,000.

**Range and Average of Financial Assistance:**

\$16,000 to \$350,000; average of \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

As of November 2007 39 States, 3 Tribes, Puerto Rico, and DC have received EPA approval to administer a lead-based paint activities training and certification program and 2 States have received authorization to administer and enforce a pre-renovation education program. Award data for FY 2008 is not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

Contact the Regional Lead Contact Person in the appropriate EPA regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For program information: Michelle Price, National Program Chemicals Division (7404T), Office of Pollution Prevention and Toxics, Environmental Protection Agency, 1200 Pennsylvania Ave. N.W., Washington, DC 20460. Telephone: (202) 566-0744; Fax: (202) 566-0471; E-mail: price.michelle@epa.gov.

**Web Site Address:**

<http://www.epa.gov/lead/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Over the past twelve years, EPA has provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint activities training and certification rule (40 CFR Part 745, Subpart L). The following is a list of previously funded activities: (a) core lead-based paint activities and enforcement capacity development; (b) developing the appropriate infrastructure to administer and enforce a lead-based paint activities program successfully; (c) overseeing the conduct of contractors engaged in lead-based paint activities; (d) overseeing and controlling training program activities; (e) ensuring compliance with requirements for post-abatement clearance sampling; (f) monitoring compliance with the work practice standards of regulations for the conduct of abatement; (g) implementing lead-based paint compliance assistance; (h) implementing the lead-based paint activities sampling techniques; and (i) implementing lead-based paint activities tracking tips and complaints efforts.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection for competitive awards under this CFDA description will be described in the competitive announcement.

**66.708 POLLUTION PREVENTION GRANTS PROGRAM**

(P2 Grant Program)

**FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Pollution Prevention Act of 1990, Section 6605, Public Law 101-508.

**OBJECTIVES:**

The Pollution Prevention (P2) Grant Program and the Pollution Prevention Information Network (PPIN) Grant Program are supported by the Pollution Prevention Act of 1990 to provide pollution prevention technical assistance to businesses. Under these grant programs, EPA supports projects that utilize pollution prevention techniques to reduce and/or eliminate pollution from air, water and/or land. Funding Priority - Fiscal Year 2008: To help business and industry incorporate pollution prevention techniques into their day-to-day business operations as a way to reduce and/or eliminate harmful pollutants that may enter the air, water or land. For purposes of these grant programs, pollution prevention refers to practices that reduce or eliminate the creation of pollutants through increased efficiency in the use of raw materials, energy, water or other resources, and/or protection of natural resources through conservation. EPA achieves these priorities by awarding grants and cooperative agreements to States, Federally-recognized Tribes, Inter-Tribal Consortia's and colleges and universities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds awarded under the P2 and PPIN Grant Programs support innovative activities that promote preventive approaches to environmental performance and address the transfer of potentially harmful pollutants across all environmental

media: air, land, and water. These two grant programs support the establishment and expansion of State and Tribal pollution prevention programs and address various sectors of concern such as industrial toxics, agriculture, energy, transportation, etc. Specifically, the P2 Grant Program is intended to build and support State and Tribal pollution prevention approaches and methodologies. The P2 Grant Program is focused on institutionalizing multimedia pollution prevention as an environmental management priority, establishing prevention goals, providing direct technical assistance to businesses, conducting outreach, and collecting and analyzing data. Under the PPIN Grant Program, EPA supports projects that help to coordinate work among technical assistance providers in order to minimize duplication of effort in information collection and synthesis, dissemination and training for the promotion of pollution prevention technologies. The P2 and PPIN grant programs will not support projects which focus on recycling, waste removal or any activity which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which is not integral to and necessary for the production of a product or essential to providing a service. For more information, refer to PPA Section 6603 and 40 CFR Sections 35.343 and 35.662.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In accordance with the Pollution Prevention Act of 1990, eligible applicants for purposes of funding under these grant programs include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, and territory or possession of the United States, any agency or instrumentality of a State including State universities, and all Federally recognized-tribes. For convenience, the term "State" in this notice refers to all eligible applicants. Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible.

**Beneficiary Eligibility:**

State applicants are encouraged to establish partnerships with business and other environmental assistance providers to deliver seamless pollution prevention assistance. The most successful applications will be those that make the most efficient use of government funding. In many cases, this has been accomplished through partnerships. As a result, those who are eligible can provide pollution prevention benefits to the following entities: any State, interstate, and local agency/organization/university, Federally Recognized Indian Tribes, public nonprofit organizations/institutions, profit organizations, businesses, private organizations, and quasi public nonprofit organizations.

**Credentials/Documentation:**

In cases where applicants are not clear, by given name, the applicant must provide proof that the applicant is indeed a State or interstate agency/organization.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their Single Point of Contact is, they may call the appropriate EPA regional coordinator listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure.

**Application Procedure:**

Requests for information should be made to EPA Headquarters or the appropriate EPA Regional Office listed in the Appendix of the Catalog. Under the P2 grants program, completed applications must be submitted to the appropriate Regional Pollution Prevention Program office in order to be considered for an award. Under the PPIN grants program, completed applications must be submitted to EPA Headquarters in order to be considered for an award. Applications must meet the requirements of the grant regulations and will be reviewed to determine relevancy of the proposed project. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

P2 Grant program - grant proposals were due to the applicable regional office on April 16, 2008. PPIN Grant program - grant proposals were due to headquarters

on March 17, 2008.

**Range of Approval/Disapproval Time:**

About 120 to 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

The statutory formula for P2 and PPIN grants is authorized by the Pollution Prevention Act of 1990. Organizations receiving grant funds through the P2 and PPIN Grant Programs are required to match Federal funds by at least 50 percent. For example, the Federal government will provide half of the total allowable cost of the project, and the State will provide the other half. A grant request for \$100,000 would support a total allowable project cost of \$200,000, with the State providing \$100,000. State contributions may include: dollars, in kind goods and services, and/or third party contributions. With concern to P2 Grants only: If a Tribe or Intertribal Consortium is selected for an award, and the Tribe includes the funds from a performance partnership grant (PPG) awarded under 40 CFR Part 35, Subpart B, the required Tribal match for the Pollution Prevention portion of the PPG will be reduced to 5% of the allowable Pollution Prevention project cost for the first two years of the PPG grant. After the first two years in which a Tribe or Intertribal Consortium receives a Performance Partnership Grant, the Regional Administrator must determine through objective assessment whether the Tribe or the members of an Intertribal Consortium meet socioeconomic indicators that demonstrate the ability of the Tribe or the Intertribal Consortium to provide a cost share greater than five percent.

**Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 3 years. Funds are released by a letter of credit.

**Reports:**

Organizations that are awarded grants will be required to submit quarterly or semi annual progress reports, during the life of the project, to the EPA Project Officer. Each report will summarize funds expended, tasks accomplished, and results achieved to date. A summary final report will also be required at the end of the project period. This final report should include a discussion of the prospects for continuation, further development of the pollution prevention effort, project evaluation and future direction.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Grants) FY 07 \$4,773,975; FY 08 \$4,863,000; and FY 09 est. \$4,940,000.

**Range and Average of Financial Assistance:**

Range in FY 2008: \$20,000 - \$140,000; Average in FY 2008: \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY '07, EPA awarded 46 P2 Grants totaling \$3,954,541. P2 Grants were issued to State institutions to develop projects to provide pollution prevention technical assistance. In FY '07, EPA awarded 8 PPIN Grants totaling \$819,434. PPIN Grants were issued to State institutions to strengthen the efficiency and effectiveness of retrieving electronic pollution prevention information and/or resources nationwide. In FY '08, EPA plans to award between 40 - 50 P2 Grants totaling \$4,043,000. P2 Grants are made available to State institutions and Federally-recognized tribes to develop projects to provide pollution prevention technical assistance. In FY '08, EPA plans to award 7 PPIN Grants totaling \$820,000. PPIN Grants will be issued to State institutions to strengthen the efficiency and effectiveness of retrieving electronic pollution prevention information and/or resources nationwide. EPA anticipates similar

accomplishments under both programs in FY '09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), 1 Congress Street, Suite 1100 - Room 2203, Mail Code: SPP, Boston, MA 02114-2023; Contact: Robert Guillemain, phone: (617) 918-1814; fax: (617) 918-1810 email: guillemain.robert@epa.gov. U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB, 290 Broadway 25th Floor, New York, NY 10007-1866, Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov. U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3E100, 1650 Arch Street, Philadelphia, PA 19103-2029, Contact: Evelyn Velazquez, phone: (215) 814-5412; fax: (215) 814-3274, email: velazquez.evelyn@epa.gov. U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W. Atlanta, GA 30303, Contact: Pamela Swingle, phone: (404) 562-8482; fax: (404) 562-9066, email: swingle.pamela@epa.gov. U.S. EPA Region (IL, IN, MI, MN, OH, WI), Mail Code, DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contacts: Phil Kaplan, phone: (312) 866-4669; fax: (312) 353-4788, email: kaplan.phil@epa.gov. U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202, David Bond, phone: (214) 665-6431; fax: (214) 665-7446, email: bond.david@epa.gov. U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSPP, 901 N. 5th Street, Kansas City, KS 66101, Contacts: Chilton (Chet) McLaughlin, phone: (913) 551-7666; fax: (913) 551-7065, email: mclaughlin.chilton@epa.gov. U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300, Denver, CO 80202-2466, Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044, email: walters.linda@epa.gov. U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code WST-7, 75 Hawthorne Street, San Francisco, CA 94105, Contacts: Jessica Counts, phone: 415-972-3288; email: counts.jessica@epa.gov. John Katz, phone: (415) 972-3283; email: katz.john@epa.gov, fax: (415) 947-3530. U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: 01-085, 1200 Sixth Ave. Seattle, WA 98101, Contacts: Carolyn Gangmark, phone: (206) 553-4072; email: gangmark.carolyn@epa.gov. Robert Drake, phone: (206) 553-4803; email: drake.robert@epa.gov, fax: (206) 553-8338.

**Headquarters Office:**

Office of Pollution Prevention and Toxics, Pollution Prevention Division, Environmental Protection Agency, 1200 Pennsylvania, Ave., N.W., (MC 7409-M), Washington, DC 20460. Contact: Michele Amhaz, Telephone: (202) 564 8857; Fax: (202) 564-8899; E-mail: amhaz.michele@epa.gov.

**Web Site Address:**

<http://www.epa.gov/p2/pubs/grants/index.htm> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following text provides examples of P2 Grants that were funded in FY 07: EPA funding: \$83,000. Recipient will provide technical assistance to small businesses and State agencies to reduce the use of toxic materials and conserve energy. Proposed projects include a "green" procurement program for State agencies, self-certification programs for the auto-body and stormwater sectors that include pollution prevention, a "green" certification program for the lodging industry, and a "Governor's Carbon Challenge" that provides energy conservation audits and recommendations. EPA funding: \$92,669. Recipient will incorporate sustainability into businesses by utilizing the P3 (Partners in Pollution Prevention) Program, which is an intern program where students are trained in pollution prevention and then assigned to businesses to help them identify pollution prevention opportunities. EPA funding: \$43,500. Recipient will encourage businesses to change operating procedures to ensure that polluting chemicals, including many toxic materials are reduced or eliminated from the manufacturing process. EPA funding: \$79,000. Recipient will assist businesses and municipalities reduce pollution and conserve energy by providing pollution prevention technical assistances. Proposed projects include a Green Hospitals Program, a State business environmental partnership, workshops for conditionally exempt generators, small business energy audits and recognizing area businesses that have demonstrated environmental excellence in preventing pollution. EPA funding: \$113,942. Recipient will train college students to perform pollution prevention assessments at hospitality businesses under the supervision of a State county pollution prevention office. A separator program at various clinics in Albuquerque, and Participate in national and regional P2 roundtables, organizing the 2006 International Conference on Environmental and Human Health.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.



## 66.709 MULTI-MEDIA CAPACITY BUILDING GRANTS FOR STATES AND TRIBES

### FEDERAL AGENCY:

OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE,  
ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; National Environmental Policy Act, Section 102(2)(F) (for international awards); Indian Environmental General Assistance Program Act.

### OBJECTIVES:

The general objectives of this program are to build and improve the capacity of States, multijurisdictional State organizations and federally recognized tribes by providing assistance agreements to foster environmental enforcement and compliance assurance activities and to improve compliance with environmental laws. Such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training and fellowships to the extent authorized under the Acts listed above. These funds cannot be used for implementation of compliance monitoring and enforcement programs. Funding Priority - Fiscal Year 2008: The Office of Compliance (OC), within EPA's Office of Enforcement and Compliance Assurance (OECA) will be soliciting proposals and partial grant applications for states and tribes to strengthen their ability to address environmental and public health threats, while furthering the art and science of environmental compliance. For FY 2008, EPA is soliciting pre-proposals for the following focus areas: (1) Permit Compliance System (PCS) Modernization and ICIS-NPDES, (2) Tribal Compliance Assurance Training and Workshops, (3) Air Facility System (AFS), (4) Development of a State-to-State New Source Review and Prevention of Significant Deterioration (NSR/PSD) Mentoring Program and Permit and Enforcement Training Support, (5) State Environmental Compliance and Enforcement Training, and (6) Demonstration of Better Use of Technology in Compliance Monitoring Activities. Funding Priority - Fiscal Year 2009: The Office of Compliance (OC), within EPA's Office of Enforcement and Compliance Assurance (OECA) will be soliciting proposals and partial grant applications for states and tribes to strengthen their ability to address environmental and public health threats, while furthering the art and science of environmental compliance. In previous years, areas of emphasis have been: (1) tribal and state inspection training, (2) program planning and performance measurement, (3) outcome measurement, (4) public access, (5) data management, and (6) permit compliance system modernization.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

The Office of Enforcement and Compliance Assurance identifies special focus areas each funding cycle (annually). Work under grants and agreements must address those focus areas. Previous years have included calls for proposals for innovative enforcement and compliance assurance projects including training, performance measurement, data quality, and public access to information.

### Applicant Eligibility:

State agencies, U.S. territories, the District of Columbia, federally recognized Indian Tribes and Intertribal Consortia, and multi-jurisdictional State organizations and associations of environmental regulatory professionals, with enforcement and compliance assurance responsibilities or responsibilities that support enforcement and compliance assurance including but not limited to data management or research. In addition, public universities and colleges with expertise in compliance assurance and enforcement issues, including compliance assistance and training to tribal environmental professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

State agencies, U.S. territories, the District of Columbia, federally recognized tribes, and local governments.

### Credentials/Documentation:

None.

### Preapplication Coordination:

The Office of Enforcement and Compliance Assurance typically requests proposals and partial grant applications (424 and 424A) from applicants detailing the substantive information asked for in the solicitation. Initial decisions are made based on headquarters and regional review of the proposals. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

The standard application forms as furnished by the Federal Agency and required by the OMB Circular No. A-102 must be used for this program. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to partially fund proposals/applications by funding discrete activities, portions, or phases of proposed projects. If EPA decides to partially fund a proposal/application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal/application, or portion thereof, was evaluated and selected for award, and that maintains the integrity of the competition and selection process.

### Deadlines:

The solicitation (announcement of availability of funds) provides the complete schedule for application due dates.

### Range of Approval/Disapproval Time:

About 90 days from the date of submission of the final proposal.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

None.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Assistance is normally provided in one lump sum to the applicant for projects spanning 2 to 3 years. There is no restriction on the time permitted to spend the money awarded, although it is recommended that the money be spent within 5 years of receipt.

### Reports:

Semi-annual reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted upon completion of the project. Final reports must contain interim outcomes and/or final outcomes achieved as a result of the funding. A format for these reports is usually provided in the solicitation.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### Records:

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

### Account Identification:

68-0103-0-1-304.

### Obligations:

FY 07 \$1,360,900; FY 08 \$1,209,000 and FY 09 \$1,828,000. The actual obligations towards assistance agreements for a given fiscal year may be higher due to carryover from previous fiscal years.

### Range and Average of Financial Assistance:

The range for the smallest and largest awards in the past fiscal year is \$45,000 to \$250,000. The average amount of financial assistance over the past and current fiscal years is \$156,000.

**PROGRAM ACCOMPLISHMENTS:**

The solicitation in fiscal year 2007 resulted in 8 projects being selected for funding from a total of 17 proposals (47%). The FY2008 solicitation is currently open therefore no selections or awards have been made yet. Previous years have included calls for proposals for innovative enforcement and compliance assurance capacity building projects including inspector training, performance measurement, data quality, public access to information, data management, and performance measurement/program planning. The Office of Enforcement and Compliance Assurance has posted the previous and current grant project results and outcomes on their OECA website at

<http://www.epa.gov/compliance/state/grants/stag/index.html>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to and Local Governments (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ginger Gotliffe, (202) 564-7072, Fax: (202) 564-0034. The Office of Compliance, Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave., N.W., Washington, DC 20460. E-mail: [gotliffe.ginger@epa.gov](mailto:gotliffe.ginger@epa.gov).

**Web Site Address:**

<http://www.epa.gov/compliance/state/grants/stag/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Feasibility study on migration of state/tribal data from the legacy Permit Compliance System (PCS) system to the new modernized Integrated Compliance Information System-National Pollutant Discharge Elimination System, (ICIS-NPDES) (e.g., conversion of General Permit data currently in legacy PCS to correspond with the General Permit data requirements of the modernized system). (2) Improved tribal access to on-site compliance assistance and compliance monitoring services and/or improved tribal capacity for compliance monitoring and enforcement. (3) Establish a training program to support the creation of an inspection force for regulated underground storage tank facilities (UST), and design and implement a continuing education module for UST inspectors. (4) Development of a sector-specific model for outcome-based performance measures. (5) Provide technical assistance, including training, to build capacity to provide compliance assistance to Municipal Separate Storm Sewer Systems (MS4) program. Development of MS4 demonstration projects that show how states will build capacity to operate and maintain a high quality MS4 program.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.714 PESTICIDE ENVIRONMENTAL STEWARDSHIP REGIONAL GRANTS

(PESP Regional Grants)

**FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Research and Monitoring, as amended.

**OBJECTIVES:**

To provide risk reduction from the use of pesticides in agricultural and non-agricultural settings in the United States. The objective is to provide risk reduction from the use of pesticides in agricultural and non-agricultural settings in the United States. This program is competed and the grants are awarded by EPA's Regional grant offices. Funding Priority - Fiscal Year 2008: The Pesticide Environmental Stewardship Program (PESP) Regional Grants - projects to provide risk reduction from the use of pesticides in agricultural and non-agricultural settings in the U.S. Types of activities: pesticide risk reduction, pesticide pollution prevention, Integrated Pest Management (IPM) implementation, and children's health issues related to pesticides.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used to fund projects that further the goals of the Pesticide Environmental Stewardship Program (PESP). The type of projects that will be considered include research, monitoring, demonstration, and related activities. Projects must address the risk reduction goals of PESP, pesticide pollution prevention or Integrated Pest Management (IPM), or children's health issues related to pesticides. There are no discretionary funds available to fund projects.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the

Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible applicants include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any Territory or Possession of the United States, any agency or instrumentality of a State including State Universities, and all Federally recognized Native American Tribes. Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible. The organizations excluded from applying directly are encouraged to work with eligible applicants in developing proposals that include them as participants in the projects.

**Beneficiary Eligibility:**

Any State, U.S. Territory/Possession, Native American Organization, or other entities working in conjunction with these eligible applicants.

**Credentials/Documentation:**

Application should present a well thought out work plan with established infrastructure to execute the work plan. Key officials should have and document appropriate work experience or education to effectively carry out the proposed work plan or research. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Grants are awarded on the basis of merit. The call for proposals is announced on the Office of Pesticide Programs' website and by other established mechanisms early in the fiscal year. The proposal format is specified in the call. Proposals not using the published format will not be considered. National criteria are established in the call and the Regional Offices may add additional criteria that may tailor the project proposals to specific environmental projects within the Region. Once the grant process is announced nationally, interested applicants are urged to contact the appropriate EPA Regional Office for detailed instructions. Proposals are submitted to an EPA Regional Office. All proposals received are rated using the published criteria and compete for funding against all acceptable proposals received. Consultation or assistance in filling out a project proposal is available from any of the EPA Regional Offices either by phone, mail, fax or electronic mail. This program is excluded from coverage under E.O. 12372. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

Successful applicants will be notified and invited to complete and sign a Standard Form 424, (an application form) which will be supplied upon notification. Questions about this form will be answered by the Regional representative who contacts the applicant. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Varies from year to year. The call for proposals is published during the first or second quarter of the fiscal year and project proposals are due 60 days after publication (generally late in the second quarter). Contact your regional office for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Grants are awarded for a project period not to exceed 2 years. Funds are released by a letter of credit.

**Reports:**

Organizations that are awarded grant/cooperative agreement funds will be required to submit at least annual progress reports, during the life of the project, to the EPA Project Officer. Each report will summarize funds expended, tasks accomplished, and results achieved to date. A summary final report will also be required at the end of the project period. This final report should include a discussion of the prospects of continuation, further development of the effort, project evaluation and future direction.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-2-1-304 - STAG.

**Obligations:**

(Grants) The following funding was dedicated to these projects: FY 07 \$502,600; FY 08 \$497,200; and FY 09 est. \$497,200 (based on FY 09 President's Budget)

**Range and Average of Financial Assistance:**

\$20,000 to \$50,500. Average: \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, and 2008, an announcement was posted to include both FY's 2007 (carryover) and 2008 funding. 48 proposals were received. 22 awards were made (two per Region) to Tribal or State entities to conduct research and/or demonstration projects that promoted Integrated Pest Management (IPM) or other practices that reduce the risks associated with the use of pesticide products.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32 and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No. NTIS UB/031.

**Regional or Local Office:**

The applicant may contact the appropriate EPA Regional PESP Coordinator to obtain clarification and guidance. EPA Regional PESP Coordinators are: Region I (Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, Vermont), Andrea Szylyvian, 1 Congress St Ste 1100 (CPT), Boston, MA 02114-2023. Telephone: (617) 918-1198, szylyvian.andrea@epa.gov. Region II (New York, New Jersey, Puerto Rico, Virgin Islands), Audry Moore, Raritan Depot, 2890 Woodbridge Ave (MS-500), Edison, NJ 08837-3679. Telephone: (732) 906-6809, moore.audry@epa.gov. Region III (Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia), John Butler, 1650 Arch St (3WC32), Philadelphia, PA 19103-2029. Telephone: (215) 814-2127, butler.john@epa.gov. Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Patricia Livingston, 61 Forsyth St SW, Atlanta, GA 30303-8960. Telephone: (404) 562-9171, livingston.patricia@epa.gov. Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin), Heather Anhalt, 77 W Jackson Blvd (DT-8J), Chicago, IL 60604-3507. Telephone: (312) 886-3572, anhalt.heather@epa.gov. Region VI (Arkansas, Louisiana, New Mexico, Oklahoma, Texas), Eugene Thilsted, 1445 Ross Ave Ste 1200 (6PD-P), Dallas, TX 75202-2733. Telephone: (214) 665-2782, thilsted.eugene@epa.gov. Region VII (Iowa, Kansas, Missouri, Nebraska), Heather Duncan, 901 N Fifth St. (WWPDPEST), Kansas City, KS 66101. Telephone: (913) 551-7640, duncan.heather@epa.gov. Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming), Jaslyn Dobrahner, 999 18th St Ste 300 (8P-P3T), Denver, CO 80202-2466. Telephone: (303) 312-6252, dobrahner.jaslyn@epa.gov. Region IX (Arizona, California, Hawaii, Nevada, American Samoa, Guam), Karen Heisler, 75 Hawthorne St (CMD-1), San Francisco, CA 94105, Telephone: (415) 947-4240, heisler.karen@epa.gov. Region X (Alaska, Idaho, Oregon, Washington), Sandra Halstead, WSU-IAREC, 24106 N. Bunn Road, Prosser, WA 99350. Telephone: (509) 786-9225, halstead.sandra@epa.gov.

**Headquarters Office:**

For program information contact Frank Ellis, of the Pesticide Environmental Stewardship Program, Biopesticides and Pollution Prevention Division (7511-P), Office of Pesticide Programs, Environmental Protection Agency, 1200 Pennsylvania Ave. N.W., Washington, DC 20460, Telephone: (703) 308-8107 or (1-800) 972-7717, E-mail: ellis.frank@epa.gov, Fax: (703) 308-7026.

**Web Site Address:**

[http://www.epa.gov/pepp/regional\\_grants.htm](http://www.epa.gov/pepp/regional_grants.htm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Integrated Pest Management (IPM) education programs; (2) research on safer methods for controlling agricultural pests including non-chemical control methods; (3) urban IPM projects; (4) implementation of IPM in schools; and (5) pesticide risk reduction utilizing decision-support systems.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.715 LEAD EDUCATIONAL OUTREACH AND BASELINE ASSESSMENT OF TRIBAL CHILDREN'S EXPOSURE AND RISKS ASSOCIATED WITH LEAD

(Tribal Lead Grants)

**FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Toxic Substances Control Act, as amended, Title 10.

**OBJECTIVES:**

The Tribal Lead Grant Program for outreach and education is supported by EPA's goal to reduce childhood lead poisoning. The grant projects should support this goal by providing lead poisoning prevention education and blood-lead screening of Tribal children. Funding Priority-Fiscal Year 2008: To support Tribal lead outreach and baseline assessment activities to identify children's risks to lead hazards.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to blood-lead screening of tribal children and outreach efforts to educate Indian families about the dangers of exposure to lead-based paint hazards among children.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible recipients are Federally recognized Indian Tribes or Tribal consortiums (an association or partnership with one or more Federally recognized Indian Tribes) only.

**Beneficiary Eligibility:**

Federally recognized Indian Tribes.

**Credentials/Documentation:**

Tribal consortiums must submit letters of interest and support from Tribal Chair that is being represented in the proposal.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Such applications must also include standard forms as listed in the grants.gov instructions. Proposals may also be submitted to EPA via regular or overnight mail. Proposals must address all elements in the evaluation criteria listed in the Request for Proposals. Proposals submitted by mail are not required to include any standard forms as in the grants.gov submittals.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines will be specified in the Request for Proposals. Contact the EPA Headquarters for deadline information.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for proposal submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.



**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Projects are expected to be completed within 2 years from award of grant.

Assistance is awarded in lump sum amounts.

**Reports:**

Quarterly reports are due at the end of each quarter. A financial status report is due at the end of the grant period.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$970,668; FY 08 est \$500,000; and FY 09 est \$500,000.

**Range and Average of Financial Assistance:**

The overall range for outreach awards in FY 07 was between \$40,837 and \$79,896.64. The average outreach award was \$70,060.73 in FY 07. The overall range for baseline assessment awards in FY 07 was between \$50,000 and \$50,000.15. The average baseline assessment award in FY 07 was \$50,000.03.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, 40 grants were received and 11 grants were awarded. In Fiscal Year 2008 and 2009, 30 grants are anticipated to be received and 8 grants are estimated to be awarded. Anticipated accomplishments include testing Native American children and homes for lead and development and/or distribution of lead awareness materials to the Native American communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

For general information: Darlene Watford, National Program Chemicals Division, Office of Pollution Prevention and Toxics (7404T), Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 566-0516; Fax: (202) 566-0469; E-mail: watford.darlene@epa.gov.

**Web Site Address:**

<http://www.epa.gov/lead/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include the development of a customized lead poisoning prevention brochure and poster for Native Americans, development of a series of lead poisoning prevention coloring books sheets with Native American themes, setting up a blood-lead testing booth during a Little League baseball sign-up session, arranging in-home lead inspections, and blood-lead testing at a Head Start facility.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.716 RESEARCH, DEVELOPMENT, MONITORING, PUBLIC EDUCATION, TRAINING, DEMONSTRATIONS, AND STUDIES

**FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES,  
ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), Section 20; Toxic Substances Control Act, Section 10, as supplemented by Public Law 106-74; Public Law 105-174, which granted EPA permanent authority to use STAG funds to award grants (other than PPGs) to entities eligible to receive grants under the Agency's organic statutes; and NEPA Section 102(2)(F).

**OBJECTIVES:**

Grants are awarded to support Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies assistance relating to the protection of public health and the environment from pesticides and potential risk from toxic chemicals. Funding Priority - Fiscal Year 2008: Topics include, but are not limited to, promotion of pollution prevention and the public's right to know about chemical risks, evaluation of pesticides and chemicals to safeguard all Americans, including children and other vulnerable members of the population, as well as, our most threatened species and ecosystems from environmental harm and emerging issues like biotechnology, endocrine disruptors and lead poisoning prevention. Projects for toxic chemical risk reduction include existing chemical data development and dissemination; risk assessment, peer consultation, and data utilization, training in use of EPA chemical risk screening tool; promotion and training in development use of safer chemicals, processes and technologies; reduction in use of toxic chemicals; targeted education and outreach aimed at reducing childhood lead poisoning. OPP: projects for safer use of pesticides, including worker protection, certification and training of pesticide applicators, protection of endangered species, tribal pesticide programs, integrated pest management; environmental stewardship, Pesticide Registration Renewal Act (PRIA 2) Partnership grants; and Pesticide Regulatory Education Program (PREP). Types of activities: developed and implemented programs to reduce pesticide risks; developed pesticide drift mitigation education program; analysis and development of pilot pesticide safety programs and materials; Water Quality and Pesticide Management Planning for Federal Recognized Tribes; Tribal Pesticide Program Council (TPPC); national Train-the-Trainer program to educate farmworkers on how to reduce risks from pesticides; develop and distribute innovative materials for integrating the National pesticide Competency for Medical & Nursing Education into curricular of medical and nursing programs; continue the National Pesticide Information Center (NPIC); and continue the National Pesticide Medical Monitoring Program (NPMMP) - provide clinical toxicology information and laboratory service; PRIA partnership grants; and PREP education program for states and tribes.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development.

**Applicant Eligibility:**

Assistance under this program is generally available to States, U.S. territories or possession, federally recognized Indian tribal governments and Native American Organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, local governments, and individuals and international entities. For profit organizations are not eligible. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to a subset of eligible applicants and/or to tribes, Alaska native villages, and intertribal consortia located in the Region where a project is going to be performed. For Tribal funding opportunities to be funded with the State and Tribal Grant (STAG) appropriation, eligibility will be limited to Tribes, Alaska native villages, and intertribal consortia to support the Office of Pesticide Programs Tribal Program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Also, for certain competitive opportunities offices may limit eligibility to tribes in a region.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, federally recognized Indian tribal governments and Native American Organizations, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, general public, and other Non-Governmental Organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, 2 CFR Part 225 for State and local governments and Indian Tribes, OMB Circular No. A-21, 2 CFR Part 220 for educational institutions, and OMB Circular No. A-122, 2 CFR Part 230 for nonprofit institutions. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may

ask applicants or principle investigators to provide curriculum vitae and relevant publications. Non-profits required to demonstrate nonprofit status.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, development, monitoring, public education, training, demonstrations, and studies based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For this reason, we recommend that potential applicants discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. See Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including and application kit, required forms, and a check list may also be found at: <http://www.epa.gov/ogd/AppKit/>. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals. Contact your HQ or Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for research, development, monitoring, public education, training, demonstrations and studies. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Funds are released by a letter of credit.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0103-2-1-304.

**Obligations:**

OPP - FY 07 \$3,817,100; FY 08 est. \$5,249,300; and FY 09 est. \$5,249,300. OPP's obligations for each FY includes, Regional Tribal STAG funds. OPPT - FY 07 \$1,021,727; FY 08 \$300,000; FY 09 est. \$300,000.

**Range and Average of Financial Assistance:**

\$1,000 to \$1,500,000. Average: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

The Office of Pesticide Programs (OPP) made 6 awards in 2007 and 11 awards in 2008 to conduct projects to protect human health and the environment. The Office of Pollution Prevention and Toxics (OPPT) made one award in FY 2007 and six awards in FY 2008 for P2 information network, Pollution Prevention roundtable, mercury in hospital and lead-based paint programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research, development, monitoring, public education, training, demonstrations and studies grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for non-profit institutions.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. For program information contact: Office of Prevention, Pesticides, and Toxic Substances Immediate Office Lenee' Morina-Dickerson (202) 564-5304, [morina.lenee@epa.gov](mailto:morina.lenee@epa.gov), Fax: (202) 564-0550; Office of Pollution Prevention and Toxics - Sharon Clark (202) 564- 3810, [clark.sharon@epa.gov](mailto:clark.sharon@epa.gov), Fax: (202) 564-0575, Darlene Williams (202) 564-7031, [williams.darlene@epa.gov](mailto:williams.darlene@epa.gov), Fax: (202) 564-8251; Office of Pesticide Programs - Cathy Stewart (703) 305-7711, [Stewart.Cathy@EPA.gov](mailto:Stewart.Cathy@EPA.gov), Fax: (702) 305-5512; and Office of Science Coordination Policy - Inza Graves (202) 564-8430, [Graves.Inza@EPA.gov](mailto:Graves.Inza@EPA.gov), Fax: (202) 564-8452.

**Web Site Address:**

<http://www.epa.gov/oppts.html> .

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424, Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510, Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610, Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator.

**EXAMPLES OF FUNDED PROJECTS:**

The Office of Pesticide Programs funded the following projects: developed and implemented programs to reduce pesticide risks; developed an education/outreach program targeted at aerial applicators to reduce pesticide drift incidents; commercialization of pesticides reducing biotechnologies; analysis and development of pilot pesticide safety programs and materials; Developed an integrative modeling framework for use in assessing the benefits and costs of pesticide use; Water Quality and Pesticide Management Planning for Federally Recognized Tribes; Formed a council that works to strengthen tribal pesticide programs; Provide a toll-free number that serves the US, Puerto Rico, and the

Virgin Islands seeking impartial information about pesticides; Provide clinical toxicology information and laboratory services regarding pesticides; Pesticide Regulatory Education Program (PREP) Education Program for States and Tribes; and Pesticide Registration Renewal Act (PRIA 2) Partnership Grants. The Office of Pollution Prevention and Toxics funded the following: Increased scientific and technical support for Children's Environmental Health Network; researched and developed methods of microbial identification; education materials development and outreach for green engineering in chemical curriculum; development of computational methods for visualization of taxonomic relationships; and public outreach and education for green chemistry and the evaluation of chemicals to safeguard vulnerable populations.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.717 SOURCE REDUCTION ASSISTANCE**

#### **FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES,  
ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Clean Air Act, Section 103 (b), as amended; Clean Water Act, Section 104 (b) (3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (b) (3) (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; Toxic Substances Control Act, Section 10, as amended; Executive Order 13148 - Greening the Government Through Leadership in Environmental Management, April 21, 2000; Executive Order 13101- Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition, September 14, 1998; and Executive Order 12873 Federal Acquisition, Recycling and Waste Prevention, October 20, 1993.

#### **OBJECTIVES:**

The goal of the Source Reduction Assistance (SRA) Grant Program is to provide grants that will support pollution prevention/source reduction and/or resource conservation activities. For purposes of this grant program, pollution prevention is defined as any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy, water, or other resources, or protection of natural resources by conservation activities. EPA is interested in funding projects which assist in reducing hazardous substances, pollutants, or contaminants entering waste streams or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal. Grant activities may involve, but are not limited to the following: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training, or inventory control. Funding Priority - Fiscal Year 2008: To support source reduction, pollution prevention and resource conservation activities that comply with the statutory authorities of the Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended. Please Note: Projects must consist of activities within the statutory terms of these EPA grant authorities. The statutes authorize grants for the following activities: "research, investigations, experiments, training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing awareness. Applicants should emphasize in their grant proposal's this "learning" concept, as opposed to "fixing" an environmental problem using a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the proposal must be eligible under one or more of the statutory authorities. erring of information or advancing awareness. Applicants should emphasize in their grant proposal's this "learning" concept, as opposed to "fixing" an environmental problem using a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the proposal must be eligible under one or more of the statutory authorities. The term pollution prevention/source reduction, for purposes of the SRA grant program, refers to any practice that reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal; and reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants. The term "resource conservation," for purposes of the Source Reduction Assistance notice, is defined as preventing pollution, promoting reuse of materials, reducing the use of toxic chemicals, and/or conserving energy and materials.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

EPA is interested in supporting pollution prevention, source reduction and resource conservation projects that will provide an overall benefit to the environment by preventing pollutants at the source. Source reduction projects can include but are not limited to: 1) improving facility and institutional operations that reduce pollutant use and exposure, 2) reformulating and procuring products to reduce toxic constituents, 3) providing direct technical assistance to businesses and other organizations, 4) encouraging green product design and manufacturing, 5) conducting outreach, 6) collecting and analyzing data, and 7) integrating pollution prevention concepts into state, regional and tribal environmental multimedia programs. Grant activities must be consistent with the grant guidelines of the statutory authorities listed for this program. The statutory authorities are listed in this CFDA announcement and in the SRA grant solicitation. The statutes authorize grants for the following activities: "research, investigations, experiments, training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing the state of knowledge. Grant proposals should emphasize this "learning" concept, as opposed to "fixing" an environmental problem via a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the proposal must be eligible under one or more of the statutory authorities listed.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Assistance under this program is available to the fifty States, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, Federally-recognized tribal governments, non-profits other than institutions of higher education private institutions of higher education, and community-based grassroots organizations. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

#### **Beneficiary Eligibility:**

Any State, Federally-recognized Tribal government, Intertribal Consortia, college/university, non-profit organization, local government or independent school district.

#### **Creditentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A 87 for State and local governments and federally recognized tribal governments, OMB Circular No. A 21 for educational institutions, OMB Circular No. A 122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Standard grant forms are required, as provided by the EPA and must be used for this program. Forms may be obtained via the Internet by visiting: <http://www.epa.gov/ogd/AppKit/application.htm>. Please consult the Source Reduction Assistance program notice, posted to EPA's Pollution Prevention Grant web site at <http://www.epa.gov/oppt/p2home/grants/index.htm> for more information. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their Single Point of Contact is, they should contact the appropriate EPA Regional Pollution Prevention Program office listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure.

#### **Application Procedure:**

This CFDA program description is designed to benefit national and regional source reduction, pollution prevention, and resource conservation activities. Grant proposals must meet the requirements outlined in the national and regional Source Reduction Assistance solicitation notices. EPA will conduct the grant



competition by posting a Request for Proposals (RFP) on-line. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Source Reduction Assistance grants and cooperative agreements are subject to the availability of funds. EPA will issue awards contingent upon the criteria specified in this CFDA program description and within the corresponding solicitations. EPA reserves the right to reject any or all proposals and issue no awards. Procedures for awards are outlined in the General Grant Regulation 40 CFR Part 30.

**Deadlines:**

Grant proposals are due to the applicable regional office by June 9, 2008. Headquarters will not conduct a grant competition in FY '08.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program does not have a statutory formula. However, EPA requires a minimum 5% match of the total allowable project cost. For example, the Federal government will provide 95% of the total allowable cost of the project and the recipient will provide the remaining 5%. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project.

**Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 2 years. Funds are released by a letter of credit.

**Reports:**

Uniform reporting requirements for institutions of higher education and other non-profit organizations. The recipient and the Grant Project Officer will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR Part 30, Subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see sections 30.51 through 30.53). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Grant Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Grant Project Officer and the recipient will negotiate a resolution. The recipient may request a review of the Grant Project Officer's decision under the dispute resolution process under (40 CFR 30.63). Uniform reporting requirement for state, local and tribal governments. The recipient and the Grant Project Officer will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR 31, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see sections 31.40 through 30.42). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Grant Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Grant Project Officer and the recipient will negotiate a resolution that addresses the issues. If issues cannot be resolved through negotiation, the Grant Project Officer may take appropriate action (see sections 31.43 through 31.44.) The recipient may request a review of the Grant Project Officer's decision under the dispute resolution process under 40 CFR, Part 31, subpart F.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government.

Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304 and 68-0103-0-1-304.

**Obligations:**

FY 07 \$1,249,076; FY 08 est. \$1,600,000; and FY 09: est. \$1,600,000. The FY '07 grant totals provided above represent those of seven of EPA's ten Regional P2 Program Offices (i.e., Regions 1, 2, 3, 5, 6, 7, and 8). The FY 08 grant total provided above represents an estimate of the total anticipated funding available. As of this posting, EPA has not yet issued award funding.

**Range and Average of Financial Assistance:**

Range - FY 07: \$10,000 - \$74,000. Average - FY 07: \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, EPA's Regional P2 Program offices received approximately 80 proposals and issued approximately 31 awards to support pollution prevention/source reduction/resource conservation activities. EPA anticipates similar results in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," are available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), 1 Congress Street, Suite 1100 - Room 2203, Mail Code: SPP, Boston, MA 02114-2023; Contact: Robert Guillemin, phone: (617) 918-1814; fax: (617) 918-1810 email: guillemin.robert@epa.gov. U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB, 290 Broadway 25th Floor, New York, NY 10007-1866, Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov. U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3E100, 1650 Arch Street, Philadelphia, PA 19103-2029, Contact: Evelyn Velazquez, phone: (215) 814-5412; fax: (215) 814-3274, email: velazquez.evelyn@epa.gov. U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W. Atlanta, GA 30303, Contact: Pamela Swingle, phone: (404) 562-8482; fax: (404) 562-9066, email: swingle.pamela@epa.gov. U.S. EPA Region (IL, IN, MI, MN, OH, WI), Mail Code, DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contacts: Phil Kaplan, phone: (312) 866-4669; fax: (312) 353-4788, email: kaplan.phil@epa.gov. U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202, David Bond, phone: (214) 665-6431; fax: (214) 665-7446, email: bond.david@epa.gov. U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSPP, 901 N. 5th Street, Kansas City, KS 66101, Contacts: Chilton (Chet) McLaughlin, phone: (913) 551-7666; fax: (913) 551-7065, email: mclaughlin.chilton@epa.gov. U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-PT, 999 18th Street, Suite 300, Denver, CO 80202-2466, Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044, email: walters.linda@epa.gov. U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code WST-7, 75 Hawthorne Street, San Francisco, CA 94105, Contacts: Jessica Counts, phone: 415-972-3288; email: counts.jessica@epa.gov. John Katz, phone: (415) 972-3283; email: katz.john@epa.gov, fax: (415) 947-3530. U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: 01-085, 1200 Sixth Ave., Seattle, WA 98101, Contacts: Carolyn Gangmark, phone: (206) 553-4072; email: gangmark.carolyn@epa.gov. Robert Drake, phone: (206) 553-4803; email: drake.robert@epa.gov, fax: (206) 553-8338.

**Headquarters Office:**

Michele Amhaz, Office of Pollution Prevention and Toxics, Pollution Prevention Division, Environmental Protection Agency, 1200 Pennsylvania, Ave., N.W., (7409-M), Washington, DC 20460. Telephone: (202) 564-8857; Fax: (202) 564-8899; E-mail: amhaz.michele@epa.gov.

**Web Site Address:**

<http://www.epa.gov/oppt/p2home/grants/index.htm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following text provides examples of SRA awards funded in FY '07: EPA

Funding: \$40,000. The recipient will provide technical assistance on less-toxic cleaning practices to K-12 schools in Connecticut, Maine, Massachusetts, New Hampshire and Vermont. EPA Funding: \$84,860. The recipient will work to increase methane recovery from natural gas production and reduce fugitive emissions in the states of West Virginia and Virginia. EPA Funding: \$42,553. The recipient will develop a P2 student internship program to assist businesses implement P2 projects. EPA Funding: \$39,804. The recipient will document, calculate and publicly recognize the environmental benefits of reducing the use of fertilizers and pesticides. EPA Funding: \$51,782. The recipient will provide P2 technical assistance to manufactures in Minnesota. EPA Funding: \$30,000. The recipient will provide technical assistance to high schools to produce biodiesel to be used in school vehicles.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The exact evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. rest to states, regions and/or Federally-recognized Tribal governments. Proposals should implement or support a source reduction/pollution prevention project that will provide an overall benefit to the environment by preventing the generation of pollutants at the source, as well as, provide a method to characterize the actual or potential environmental effects of the activity. In addition, state, regional and tribal proposals must demonstrate that projects will promote pollution prevention by addressing an environmental medium (i.e., air, water, and land) and promote sustainable business/facility/institutional practices by addressing state, regional, and/or tribal environmental concerns. Please review the Source Reduction Assistance solicitation notice to EPA's Pollution Prevention Grant web page at <http://www.epa.gov/opp/p2home/grants/index.htm> for further instruction.

## **66.718 NATIONAL COMMUNITY-BASED LEAD OUTREACH AND TRAINING GRANT PROGRAM**

#### **FEDERAL AGENCY:**

OFFICE OF PREVENTION, PESTICIDES, AND TOXIC SUBSTANCES, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

The statutory authority for this action is Section 10 of the Toxic Substances Control Act (TSCA), as supplemented by Public Law No. 106-74 and Public Law 105-174 which granted EPA permanent authority to use STAG funds to award grants (other than PPGs) to entities eligible to receive grants under the Agency's organic statutes.

#### **OBJECTIVES:**

This lead outreach grant program is supported by EPA's goal to reduce childhood lead poisoning. The projects support this goal by providing lead poisoning outreach to low income communities. Funding Priority-Fiscal Year 2008: To support lead outreach activities to identify children's risks to lead hazards.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to outreach efforts to educate communities about the dangers of children's exposure to lead hazards.

#### **Applicant Eligibility:**

Eligible recipients include national organizations, local governments, community-based organizations, nonprofit organizations, faith-based organizations, community action agencies, institutions of higher learning, school groups, trainers, and environmental consultants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Local, Public Nonprofit Institution/Organization, Health Professional, Education Professional, Builder/Contractor/Developer, Homeowner, Land/Property Owner, Preschool, Low Income.

#### **Credentials/Documentation:**

Not applicable.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The following forms must be provided if proposal is submitted via [grants.gov](http://www.grants.gov): Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information - Non-Construction Programs). No forms are required to be provided if submitting via mail to the EPA Headquarters contact.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Deadline specified in the Request for Proposals. Contact EPA Headquarters for deadline information.

#### **Range of Approval/Disapproval Time:**

About 90 days after the deadline for the proposal.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Not applicable.

#### **Length and Time Phasing of Assistance:**

Projects are expected to be completed within 1 year. Funds are drawn down.

#### **Reports:**

Quarterly reports are due at the end of each quarter. Financial status reports are due at the end of the grant period.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

FY 07 \$3,100,000; FY 08 est. \$2,000,000; and FY 09 est. \$2,000,000.

#### **Range and Average of Financial Assistance:**

For FY 07: Lowest Award: \$76,925; Highest Award: \$250,000; Average Award: \$207,802. Applicants may be awarded up to \$250,000.

#### **PROGRAM ACCOMPLISHMENTS:**

A total of 80 proposals were received and 15 awards were granted to the top 15 applicants in fiscal year 2007. For Fiscal Years 2008 and 2009, it is anticipated that \$2 million will be obligated for this program each year. A total of 50-80 proposals are expected to be received and 6-8 grants are expected to be awarded in Fiscal Years 2008 and 2009.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

#### **Regional or Local Office:**

See EPA Regional Offices listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Darlene Watford, National Program Chemical Division (7404T), Office of Pollution Prevention and Toxics (OPPT), Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460-0001; Telephone: (202) 566-0516; Fax: (202) 566-0469; E-mail: [watford.darlene@epa.gov](mailto:watford.darlene@epa.gov).

#### **Web Site Address:**

<http://www.epa.gov/lead>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Examples of funded grants: (1) Lead outreach and training will be delivered to an economically disadvantaged urban neighborhood that has been heavily impacted by lead poisoning. Formal training and seminars, door-to-door home visits, and community events will be provided. (2) Four low income communities will receive lead awareness, training and infrastructure

development. Lead safe work practices will be taught to painters and remodelers. Lead awareness will be offered to tenants, homeowners, and service delivery networks. (3) Three counties will provide outreach materials to educate rental property owners, public health and code officials, realtors, landlords, and others in low in communities. Training will be offered to rental property owners, public health and code officials, realtors, landlords on lead-safe work practices. An extensive curriculum on training as well as a model guidebook for local housing lead poisoning prevention ordinances will be developed. (4) Specialized outreach will be conducted in border communities. Lead safe work practices training will be provided to workers. Realtors will receive outreach on lead-related laws and regulations and local requirements. Specialized training will be provided to local youth and paint apprenticeship programs. (5) Approximately 280 contractors will attend a one-day joint EPA/HUD Lead Safety for Remodeling, Repair and Painting course in rural communities. Media outreach on lead poisoning and lead-safe work practices will be provided to more than 4000 consumers and do-it-yourselfers in rural communities at risk for lead poisoning. More than 50 extension service agents and program specialists will be trained at national conferences.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.801 HAZARDOUS WASTE MANAGEMENT STATE PROGRAM SUPPORT**

#### **FEDERAL AGENCY:**

OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE,  
ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Solid Waste Disposal Act, Sections 3011 (a) and (c); Public Law 94-580; 42 U.S.C. 6901 et seq.

#### **OBJECTIVES:**

To assist State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous wastes. Funding Priority - Fiscal Year 2008: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste. Funding Priority - Fiscal Year 2009: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste.

#### **TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Under Section 3011, funds may be used for development and implementation of authorized State hazardous waste programs.

#### **Applicant Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act are eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's competition policy.

#### **Beneficiary Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A 87 for State and local governments. State work plan is to be sent to the appropriate EPA Regional Office by the date 60 days before the beginning of the budget period (typically by August 1 of each year, if the budget period is the Federal fiscal year).

#### **Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Requests for application forms and completed applications must be submitted to

the appropriate EPA Regional Grants Administration Office. The hazardous waste management staff of the appropriate EPA Regional Office (listed in the address appendix of the Catalog) is available to assist in preparation of the application. This program is excluded from coverage under OMB Circular No. A 110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review applications, proposals or submissions in accordance with the terms, conditions, and criteria in the solicitation/announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

For States, application with approvable work program should be submitted by the date 60 days before the beginning of the budget period (usually by August 1) for grants to be awarded the following budget year. (Applicant may choose budget period, e.g., State or Federal fiscal year, subject to Regional Administrator's approval).

#### **Range of Approval/Disapproval Time:**

For applicants under Section 3011, 60 days.

#### **Appeals:**

As described in 40 CFR Part 31, Subpart F. Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

For applicants under Section 3011, grants and cooperative agreements are renewed annually, provided all requirements are met.

#### **Formula and Matching Requirements:**

This program operates under a formula. Statistical factors used for allocation include: (1) State population, as determined by the most recent Census; (2) number of hazardous waste management facilities in States, based on studies conducted by EPA, Office Of Solid Waste; (3) number of Large Quantity Generators (LQGs), based on studies conducted by EPA, Office of Solid Waste; and (4) the number of facilities requiring corrective action, based on studies conducted by EPA, Office of Solid Waste. By law, all States and trust territories are eligible for funding. The formula is based on each State's population (17 percent); (LQG) number of facilities proceeding amount of waste produced (16 percent); number of hazardous waste management facilities (52 percent); and the number of facilities requiring corrective action (15 percent). Matching Requirement: Maximum Federal share of approved costs is 75 percent; State must provide at least 25 percent of approved costs. (Regional Administrators will determine each State allotment.)

#### **Length and Time Phasing of Assistance:**

Grants are normally funded on a 12 month basis (Federal or State fiscal year).

The total project period varies according to program requirements. Assistance is awarded by advance payment method.

#### **Reports:**

Interim and final progress reports, expenditures and equipment reports.

#### **Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts in an institution. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

FY 07 \$101,944,000; FY 08 \$101,429,000; and FY 09 \$103,036,000.

#### **Range and Average of Financial Assistance:**

Most fiscal years range \$250,000 to \$8,500,000; average: \$1,960,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal years 2007 and 2008, States continued to develop and implement programs providing cradle to grave control of hazardous wastes (under Section 3011).



## REGULATIONS, GUIDELINES, AND LITERATURE:

General Grant Regulations and Procedures, Environmental Protection Agency, 40 CFR Part 31; State and Local Assistance, EPA, 40 CFR Part 35; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

### Regional or Local Office:

State agencies are encouraged to communicate with the appropriate EPA Regional Administrator listed in Appendix IV of the Catalog.

### Headquarters Office:

For information concerning preapplication coordination and application procedures, contact Grants and Interagency Agreements Management Division (3903R), Environmental Protection Agency, Washington, DC 20460. For State program information on Section 3011 of RCRA, contact Wayne Roepe, Office of Solid Waste, (5303W), EPA, Washington, DC 20460. Telephone: (703) 308-8630, Fax: (703) 308-8609, E-mail: roepe.wayne@epa.gov.

### Web Site Address:

<http://www.epa.gov/epaoswer/osw/>.

### RELATED PROGRAMS:

66.500, Environmental Protection Consolidated Research; 66.600, Environmental Protection Consolidated Grants for the Insular Areas - Program Support.

### EXAMPLES OF FUNDED PROJECTS:

State projects to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Section 3006). Specific types of activities conducted by states include (1) issuance of hazardous waste management permits, (2) oversight of corrective action at hazardous waste management facilities, (3) inspections of hazardous waste management facilities, (4) inspections of hazardous waste generators, and (5) waste minimization activities.

### CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.802 SUPERFUND STATE, POLITICAL SUBDIVISION, AND INDIAN TRIBE SITE-SPECIFIC COOPERATIVE AGREEMENTS

### FEDERAL AGENCY:

OFFICE OF SUPERFUND REMEDIATION AND TECHNOLOGY INNOVATION, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 104(d), as amended; 42 U.S.C. 9604(d) et seq.

### OBJECTIVES:

To (1) conduct site characterization activities at potential or confirmed hazardous waste sites; (2) undertake response planning and implementation actions at sites on the National Priorities List (NPL) to clean up the hazardous waste sites that are found to pose hazards to human health; and (3) effectively implement the statutory requirements of CERCLA 121(f) which mandates substantial and meaningful State involvement. Funding Priority - Fiscal Year 2008: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups. Funding Priority - Fiscal Year 2009: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Funding may be used to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct

settlement negotiations; (7) take enforcement actions against PRPs; and, (8) oversee PRP cleanups. Funding may not be used to conduct tasks or activities not authorized by CERCLA. Funds may not be used for non-site-specific Core Program activities (see 66.809). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### Applicant Eligibility:

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

### Beneficiary Eligibility:

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

### Credentials/Documentation:

Costs will be determined in accordance with 40 CFR 35, Subpart O and OMB Circular No. A 87, "Cost Principles for State, Local, and Indian Tribal Governments," and other supporting documentation provided by the Agency.

### Preapplication Coordination:

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Consultation and preapplication conference(s) are recommended. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

EPA regional Superfund program offices will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless redelegated to the Regional Division Director.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Approximately ninety (90) days.

### Appeals:

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Extensions are available but not guaranteed. The original cooperative agreement is amended by using EPA Standard Form 424 and submitting it to the Regional Administrator.

### Formula and Matching Requirements:

None required for pre NPL activities or for remedial planning at any site if the site was privately owned and operated at the time of disposal of hazardous wastes. Matching Requirements: 10 percent State, 90 percent Federal, for remedial action if the site is privately owned and operated at the time of disposal of hazardous wastes. Minimum 50 percent State, 50 percent Federal, of all response costs if the site was State/locally operated at time of any disposal of hazardous waste (Note: percentage may vary). CERCLA section 104(c)(3). Tribal governments are not required to share in the costs of Superfund actions. This program has no statutory formula.

### Length and Time Phasing of Assistance:

Funds awarded for duration of project, subject to time constraints imposed by EPA. Money is released on a draw down or a letter of credit basis.

### Reports:

Progress reports, notification of significant developments, property inventory reports, procurement reports, financial reports, and final reports are required pursuant to 40 CFR 35, Subpart O.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### Records:

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten year period, whichever is later.

**Account Identification:**  
20-8145-0-7-304.

**Obligations:**  
FY 07 \$50,000,000; FY 08 est. \$50,000,000; and FY 09 est. \$50,000,000.

**Range and Average of Financial Assistance:**  
\$30 thousand to \$12.8 million; average amount \$380 thousand.

**PROGRAM ACCOMPLISHMENTS:**  
In fiscal year 2007 and 2008, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
40 CFR 30; 40 CFR 31; 40 CFR 35, Subpart O; 25 CFR 20; and Program Guidance Documents.

**Regional or Local Office:**  
Regional Administrators: See Appendix IV of the Catalog.

**Headquarters Office:**  
Angelo Carasea, State, Tribe and Site Identification Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology Innovation, Office of Solid Waste and Emergency Response, Mail Code 5204P, EPA, Washington, DC 20460. Telephone: (703)603-8828. E-mail: carasea.angelo@epa.gov. Fax: (703) 603-9104.

**Web Site Address:**  
<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**  
66.809, Superfund State and Indian Tribe Core Program Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**  
Preliminary Assessments/Site Inspections; Remedial Investigation; Feasibility Study; Remedial Design; Remedial Action (i.e., clean up); PRP searches; RI/FS negotiations; RD/RA Negotiations; PRP oversight; Non Time Critical Removal Actions; State participation in federal lead projects.

**CRITERIA FOR SELECTING PROPOSALS:**  
For fund-lead remedial action, the site must appear on the National Priorities List of the National Oil and Hazardous Substances Contingency Plan (NCP) (40 CFR 300). Removal actions require a planning period of six months or more. Each project is examined and selected on a case-by-case basis based upon site ranking, availability of matching funds from the State, availability of Trust funds, receipt of application and other criteria as determined by EPA.

## 66.804 STATE AND TRIBAL UNDERGROUND STORAGE TANKS PROGRAM

(UST Prevention Program)

**FEDERAL AGENCY:**  
OFFICE OF UNDERGROUND STORAGE TANKS, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**  
Solid Waste Disposal Act (SWDA) of 1976, as amended; Superfund Reauthorization Amendments of 1986, Subtitle I, Section 2007(f); Section 9011 and other applicable provisions of Subtitle I of the SWDA as amended for States and Territories Energy Policy Act of 2005; 42 U.S.C. 6916(f)(2); Energy Policy Act of 2005, Title XV, Ethanol And Motor Fuels, Subtitle B, Sections 1521 - 1533, Public Law 109-58, 42 U.S.C. 15801; Public Law 105-276.

**OBJECTIVES:**  
To assist States, Territories, Federally-recognized Indian Tribes and Intertribal Consortia that meet the requirements at 40 CFR 35.504, in the development and implementation of underground storage tank (UST) programs and for leak prevention, compliance and other activities authorized by the Energy Policy Act

(EPA) of 2005 and EPA's annual appropriations acts. Funding Priority - Fiscal Year 2008: High priority tasks include providing financial assistance: (1) to states and Tribes in implementing the UST program; (2) to states to help them meet their new responsibilities authorized under the Energy Policy Act (EPA) (e.g., conducting more frequent inspections, prohibiting delivery to noncompliant tanks, and requiring either secondary containment for tank systems or financial responsibility for manufacturers and installers); (3) to Tribes to conduct on-site inspections in Indian Country every three years in accordance with EPA requirements; (4) to states and Tribes to encourage owners and operators to properly operate and maintain their USTs; (5) to states and Tribes to ensure owners and operators routinely and correctly monitor all regulated tanks and piping in accordance with the regulations; and (6) to states to develop State programs with sufficient authority and enforcement capabilities to operate in lieu of the Federal program. LUST prevention funds may be used by States for inspections and other release prevention and compliance assurance activities for federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to release prevention. Priority will be given to providing funds to enable the States to meet their responsibilities under Title XV, Subtitle B of the Energy Policy Act of 2005. States that have entered into cooperative agreements with EPA must have the authority to inspect and take other compliance and related enforcement actions to prevent releases from USTs. The Agency provides financial assistance to Tribes to develop and implement programs to manage USTs.

**TYPES OF ASSISTANCE:**  
Formula Grants.

**USES AND USE RESTRICTIONS:**  
States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under cooperative agreements for leak prevention, as described in the Section 54 Funding Priority. Unlike State and Tribal Assistance Grant funding under Section 2007(f) of the Solid Waste Disposal Act (SWDA), the LUST prevention funding under Section 9011 and other applicable provisions of Subtitle I of the SWDA is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA may award combined STAG funded UST grants authorized by Section 2007(f) with LUST prevention cooperative agreements authorized by Subtitle I if the combined agreement is not included in a PPG. Grants are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Funds awarded under this program may be used by states and Tribes for the following types of activities: (1) Encouraging owners and operators to properly operate and maintain their USTs. (2) Ensuring owners and operators routinely and correctly monitor all regulated tanks and piping in accordance with the regulations. (3) Developing State programs with sufficient authority and enforcement capabilities to operate in lieu of the Federal program. (4) Conducting more frequent inspections (including those in Indian Country). (5) Prohibiting delivery to noncompliance tanks. (6) Requiring either secondary containment for new tank systems or financial responsibility for manufacturers and installers. These grants may also be used for EPA to help States, who request it, and for the Agency, to obtain SEE enrollees through a SEE grant to work on the State's underground storage tanks and to support direct UST implementation programs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. "Geospatial Information" includes: information that identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. This information may be derived from, among other things, GPS, remote sensing, mapping, charting, and surveying technologies, or statistical data.

**Applicant Eligibility:**  
LUST Prevention cooperative agreements are only available to States and Territories. Additionally, these cooperative agreements are only available to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia." UST grants authorized by Section 2007(f) of the SWDA are only available to States and Territories, as well as federally-recognized Tribes and Intertribal Consortia that meet the requirements at 40 CFR 35.504. These grants may also be used for EPA to help States, who request it, to obtain SEE enrollees through a SEE grant to work on the State's underground storage tanks and to support direct UST implementation programs.

**Beneficiary Eligibility:**  
States, Territories, Tribes and Intertribal Consortia.

**Credentials/Documentation:**  
States and Territories must either submit certification indicating the State or Territory meets the applicable Energy Policy Act provisions, or submit documentation describing the State or Territory's efforts to meet the requirements, in accordance with EPA's Energy Policy Act grant guidelines ([http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm)). The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and

federally-recognized Tribes and Intertribal Consortia.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Tribes and Intertribal Consortia are not required to follow intergovernmental review procedures.

**Application Procedure:**

States and Tribes apply for funds through EPA regional offices. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. EPA may award combined or separate cooperative agreements/grants for leak prevention.

**Award Procedure:**

These funds are awarded non-competitively. Applications will be subjected to administrative evaluation to determine the adequacy of application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. A cooperative agreement or grant must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. EPA awards the cooperative agreement or grant to states through a previously established allocation process, issued under national guidance rather than through competition (see 40 CFR 35.332 and EPA Order 5700.5, Section 6(c)(1)).

**Deadlines:**

Proposals generally must be received prior to May 15 for funding in the applicable fiscal year.

**Range of Approval/Disapproval Time:**

Generally, from 3 to 4 months.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/OUST/regions/index.htm>.

**Formula and Matching Requirements:**

The UST Solid Waste Disposal Act 2007(f) grant program has no statutory formula or matching requirement. However, there is a 25 percent matching requirement (cost share) for States under 40 CFR 35.335. State matches (cost shares) may include in-kind contributions. There is no matching (cost share) requirement for grants to Tribes or Intertribal Consortia under Public Law 105-276. Under 40 CFR 35,332 and 40 CFR 35.732, EPA regions allocate funds to states and tribes based on their programmatic needs and applicable EPA guidance. Factors include the number of active federally regulated underground storage tanks. Each fiscal year through FY 2006 states generally received approximately \$187,000 each and the territories received approximately \$80,000 each. Tribes receive lower amounts based on need and the number of underground storage tanks. LUST prevention funding is awarded under Section 9011 and other applicable provisions of Subtitle I of the Solid Waste Disposal Act subject to an allocation process developed by the Agency. The Agency distributes funds based on the number of federally-regulated USTs in a State and other indicators of State needs. States will provide a 25 percent match (cost share) for cooperative agreements awarded under Section 9011 and other applicable provisions of Subtitle I. If EPA awards a State a combined UST grant and a LUST prevention cooperative agreement, the 25 percent cost share will apply to total project costs for the combined agreement. There is no matching requirement (cost share) for LUST prevention cooperative agreements for Tribes or Intertribal Consortia awarded pursuant to annual appropriation acts.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award by the specific EPA Regional Office. Grants are generally awarded on either single-year or two-year basis.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA Regional Offices may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Federal Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are

applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 20-8153-0-7-304.

**Obligations:**

FY 07 \$30,717,000; FY 08 est. \$2,500,000; and FY 09 est. \$22,800,000. LUST Prevention: FY 08 est. \$31,000,000.

**Range and Average of Financial Assistance:**

Range for States and Territories: For Fiscal Year 07, Core Funding Range: States received approximately \$288,000 and Territories received approximately \$123,000; Energy Policy Act Funding Range: between \$304,000 and \$1,555,000. In FY 2007, there was no average for the Energy Policy Act funding as it was based on states' general needs. For all Fiscal Years, Range for Tribes and Intertribal Consortia: between \$20,000 and \$150,000; Average: \$62,000. In FY 2008, STAG financial assistance is based on states' needs. LUST Prevention: FY 08 is the first year for the LUST prevention funding, Range for States and Territories: (1) Core Funding: \$123,000 to \$288,000; Average: \$288,000/Fiscal Year 08; (2) Energy Policy Act Funding: \$76,000 to \$1,776,000. In FY 2008, there is no average for the Energy Policy Act funding as it is based on states' general needs. For FY08, Range for Tribes and Intertribal Consortia: \$3,000 - \$440,000; Average: \$144,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2007, 49 states, six territories and approximately 10 Indian Tribes submitted assistance agreement applications and were awarded assistance agreements. In FY 07, results achieved were measured by the annual percent increase (+1 percent) of UST facilities that were in significant operational compliance with both release detection and release prevention (spill, overflow, and corrosion protection requirements). At the end of FY 2007, EPA did meet its goal of a one percent increase of UST facilities in operational compliance with both release detection and release prevention (spill, overflow, and corrosion protection) requirements. In FY 2007, EPA met and exceeded its goal of reducing the number of confirmed UST releases nationally to less than 10,000. FY 2008 is the first year LUST funds are available for release prevention purposes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30 or 31, as applicable), State and Local Assistance (40 CFR Part 35.330 et. seq. for States and 40 CFR 35.730 et. seq. for Tribes and Intertribal Consortia). Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional UST Program Manager for documents.

**Regional or Local Office:**

For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers (see <http://www.epa.gov/OUST/regions/index.htm>).

**Headquarters Office:**

<http://www.epa.gov/OUST/oustcont.htm>; Fax: (703) 603-0175; E-mail: [deport.lynn@epa.gov](mailto:deport.lynn@epa.gov).

**Web Site Address:**

<http://www.epa.gov/OUST/cmplaste/index.htm>.

**RELATED PROGRAMS:**

66.805, Leaking Underground Storage Tank Trust Fund Program.

**EXAMPLES OF FUNDED PROJECTS:**

State and/or Tribal Governments' Grants funded projects include functions necessary for the development and/or implementation of a State or Indian underground storage tank (UST) program. Those functions that may be accepted for funding include the development and/or implementation of enforcement and inspection programs, outreach, and training related to the underground storage tanks program. Specific examples of funded projects in FY 2007 were: (1) Corrosion testing and training for field inspectors; (2) Red Tag Enforcement Tools for states to obtain UST compliance from owners/operators; (3) Web-based training for UST owners/operators; (4) Photograph records of USTs in large states, such as Montana; and (5) Third-party inspection programs to more efficiently conduct compliance inspections at UST facilities. These grants may also be used for EPA to help states, who request it, to obtain SEE enrollees through a SEE grant to work on the state's underground storage tanks (UST) and to support direct UST implementation programs. This is a new authority for use of LUST funds for prevention. Specific examples of funded projects will be: inspections, enforcement, development of regulations and other program infrastructure.

**CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section 101. This program allocates funding to



tribes non-competitively based on need and the number of federally regulated underground storage tank systems. Funding provided to states for release prevention must be expended in accordance with grant guidelines EPA issued to implement the Title XV, Subtitle B of the Energy Policy Act of 2005, [http://www.epa.gov/swerst1/fedlaws/publ\\_109-058.pdf](http://www.epa.gov/swerst1/fedlaws/publ_109-058.pdf)).

## 66.805 LEAKING UNDERGROUND STORAGE TANK TRUST FUND PROGRAM

### FEDERAL AGENCY:

OFFICE OF UNDERGROUND STORAGE TANKS, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Solid Waste Disposal Act of 1976 (SWDA), as amended, Section 9003(h), Public Law 105-276; Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, Public Law 109-234.

### OBJECTIVES:

To support State (including Territories that are included in the definition of "State" in the Solid Waste Disposal Act) and Tribal corrective action programs that address releases from underground storage tanks. Funding Priority - Fiscal Year 2008: Program funds from the Leaking Underground Storage Tanks (LUST) Trust are used to provide resources to States and Tribes for their underground storage tank (UST) programs. Corrective Action: Eighty percent of the funds appropriated to the Agency for corrective action must be distributed to the states under cooperative agreements. Program funds are to be used to provide resources for the oversight and corrective action for petroleum releases from federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to such corrective action. States that have entered into cooperative agreements with EPA have the authority to respond to petroleum releases from USTs using Leaking Underground Storage Tanks (LUST) Trust funds where owners and operators are unknown, unwilling or unable to take corrective actions themselves, and in certain other circumstances. States may also oversee responsible party cleanups. When the LUST Trust Fund is used, tank owners/operators are liable to the State for costs incurred and are subject to cost recovery actions. LUST Trust funds provide assistance to the States and Tribal governments in developing and implementing corrective action programs. LUST Trust Funds will not be used to implement any provision of the Energy Policy Act (EPA Act) of 2005, Title XV, Subtitle B, that is not also a leaking underground storage tank activity authorized by Section 205 of the Superfund Reauthorization Amendments.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under cooperative agreements for corrective action, as described in the Section 54 Funding Priority. This financial assistance program is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA will award cooperative agreements for corrective action activities. Corrective Action: The applicable provisions in OSWER Directive 9650.10A, "LUST Trust Fund Cooperative Agreement Guidelines" apply to states receiving funds under this program. See <http://www.epa.gov/swerst1/directiv/d965010a.htm>. FY 2006 Emergency Supplemental funding for the 2005 Gulf of Mexico Hurricanes was available only for Louisiana, Mississippi and Alabama (Texas and Florida declined the funding) for activities that were related to the consequences of hurricanes, such as addressing the most immediate underground storage tank needs in areas affected by the 2005 Gulf of Mexico hurricanes, including site assessments of leaking underground storage tanks to identify problems and initiate appropriate corrective action. See the Office of Underground Storage Tanks Program Guidance for FY 2006 Gulf of Mexico Hurricane Supplemental Funding for Cooperative Agreements Awarded under the Leaking Underground Storage Tank Trust Fund Program.

### Applicant Eligibility:

Cooperative agreements are only available to States and Territories that have UST programs. Additionally, these cooperative agreements are only available to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia."

### Beneficiary Eligibility:

States, Territories, Tribes and Intertribal Consortia and the communities and industries affected by leaks from underground storage tanks.

### Credentials/Documentation:

The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally-recognized Tribes and Intertribal Consortia. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Tribes and Intertribal Consortia are not required to follow intergovernmental review procedures.

### Application Procedure:

States and Tribes apply for funds through EPA regional offices under this CFDA.

### Award Procedure:

These funds are awarded non-competitively. Applications will be subjected to administrative evaluation to determine the adequacy of application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. A cooperative agreement must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. These grants are non-discretionary. EPA awards the cooperative agreement to states through a previously established allocation process, issued under national guidance rather than through competition. For the Emergency Supplemental funding for the 2005 Gulf of Mexico Hurricanes, EPA used a separate allocation process to distribute the funds to Louisiana, Mississippi and Alabama. See EPA Order 5700.5, Section 6(c)(1).

### Deadlines:

Proposals generally must be received prior to May 15 for funding in the applicable fiscal year.

### Range of Approval/Disapproval Time:

From 3 to 4 months.

### Appeals:

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Contact the appropriate Regional Office. See <http://www.epa.gov/OUST/regions/index.htm>.

### Formula and Matching Requirements:

Corrective Action: LUST corrective action funding awarded under Section 9003(h)(7) of the Solid Waste Disposal Act is subject to an allocation process developed by the Agency. By guidance, the Agency has established a process for allocating funds to states under Section 9003(h)(7) based on the cumulative numbers of confirmed UST releases, cleanups initiated, cleanups completed, the percentage of the population using groundwater for drinking water, and the number of states with approved UST programs. This program allocates funding to Tribes and Intertribal Consortia non-competitively based on their programmatic needs and national guidance. States must provide a 10 percent cost share for cooperative agreements awarded under Section 9003(h)(7). There is no matching requirement for corrective action cooperative agreements for Tribes or Intertribal Consortia awarded pursuant to Public Law 105-276. Cooperative agreements EPA awards under Emergency Supplemental Appropriations Act to Address Hurricanes in the Gulf of Mexico and Pandemic Influenza, 2006, Section 402 of the H. Con. Res. 95 (109th Congress) (the Gulf of Mexico Hurricanes Supplemental) and the Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, 2006, H.R. 4939 (Public Law 109-234) (the Gulf of Mexico 2nd Hurricanes Supplemental) to Louisiana, Mississippi and Alabama were subject to a separate allocation formula for EPA Regions 4 and 6. Activities related to the consequences of hurricanes included addressing the most immediate underground storage tank needs in areas affected by the 2005 Gulf of Mexico hurricanes, such as site assessments of leaking underground storage tanks to identify problems and initiate appropriate corrective action. See the Office of Underground Storage Tanks Program Guidance for FY 2006 Gulf of Mexico Hurricane Supplemental Funding for Cooperative Agreements Awarded under the Leaking Underground Storage Tank Trust Fund Program.

### Length and Time Phasing of Assistance:

The terms of the grant shall be determined at the time of the grant award by the specific EPA Regional Office. For the Gulf of Mexico 1st Hurricanes Supplemental, grants were awarded on either single-year or two-year bases. The Gulf of Mexico 2nd Hurricanes Supplemental is for "necessary expenses related to the consequences of Hurricane Katrina and other hurricanes of the 2005 season." Congress intended for these funds "to remain available (for award) until September 30, 2007."

### Reports:

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA Regional Offices may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. For the Emergency Supplemental funding for the 2005 Gulf of Mexico Hurricanes cooperative agreements, Louisiana, Mississippi and Alabama shall provide EPA with specific storm-damage related information, as specified in the terms and conditions of the agreements.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government.

Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

20-8153-0-7-304.

**Obligations:**

FY 07 \$57,661,000; FY 08 est. \$62,207,000 and FY 09 est. \$58,207,000.

**Range and Average of Financial Assistance:**

For the LUST corrective action funding, in FY 07, and FY08, Range for Territories and States: \$43,000 - \$3,400,000; Territory Average \$45,000; State Average: \$910,000. Range for Tribes and Intertribal Consortia: \$22,000 - \$140,000; Average: \$48,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2007, 49 States, six territories and approximately 10 Indian Tribes submitted assistance agreement applications and the same number of awards were granted in FY 2007. In FY 2007, EPA met and exceeded its FY 2007 national goal of 13,000 LUST cleanups completed. States, Territories, Tribes and Intertribal Consortia completed 13,862 LUST cleanups completed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31; Guidelines: Leaking Underground Storage Tanks Trust Fund. Cooperative Agreement Guidelines. Office of Underground Storage Tanks Program Guidance for FY 2006 Gulf of Mexico Hurricane Supplemental Funding for Cooperative Agreements Awarded under the Leaking Underground Storage Tank Trust Fund Program. Energy Policy Act of 2005 Grant Guidelines, <http://www.epa.gov/swerust1/index.htm>. Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional LUST Program Manager for documents.

**Regional or Local Office:**

See Appendix IV Of the Catalog for list of Underground Storage Tanks Regional Program Manager addresses.

**Headquarters Office:**

<http://www.epa.gov/OUST/oustcont.htm>; Fax: (703) 603-0175; E-mail: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov).

**Web Site Address:**

<http://www.epa.gov/OUST/cat/index.htm>.

**RELATED PROGRAMS:**

66.804, State and Tribal Underground Storage Tanks Program.

**EXAMPLES OF FUNDED PROJECTS:**

Corrective Action: Specific examples of funded projects are: (1) Review of site characterization reports; (2) Review of corrective action plans; (3) Conduct enforcement actions; (4) Provide assistance to Tribes to help develop and implement the LUST program; and (5) Conduct cleanups and provide oversight of responsible party cleanups.

**CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section 101, under a separate system for supplemental funding for damage caused by the 2005 Gulf of Mexico Hurricanes. Guidelines for LUST cooperative agreements for corrective action are found in OSWER Directive 9650-10A, and at OUST's website <http://www.epa.gov/swerust1/directiv/d965010a.htm>.

**66.806 SUPERFUND TECHNICAL ASSISTANCE GRANTS (TAG) FOR COMMUNITY GROUPS AT NATIONAL PRIORITY LIST (NPL) SITES**

(TAG)

**FEDERAL AGENCY:**

OFFICE OF SUPERFUND REMEDIATION AND TECHNOLOGY INNOVATION, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 117(e), Public Law 96-510; Superfund

Amendments and Reauthorization Act of 1986, as amended, Public Law 99-499, 42 U.S.C. 9617.

**OBJECTIVES:**

The statutory authority for this project is CERCLA 117(e) as amended by 42 U.S.C. 9617(e); it authorizes Technical Assistance Grants to be awarded to groups of individuals affected by or threatened by a release at a Superfund site so that they can obtain independent technical assistance to interpret site-related documents and share this information to the rest of the community. The objective of each TAG is to procure an independent technical advisor(s) to review and inform the community on EPA documents related to cleaning up the Superfund site that is affecting them. The goal of each TAG is that the technical advisor's information aids the community in the preparation of public comments and assists the community to more meaningfully participate in the cleanup decision-making process. Funding Priority - Fiscal Year 2008: Only one grant is available per site, at any time. EPA does not prioritize among eligible sites. All TAG applications are given equal priority as long as the site and group are eligible. The applicant group must meet minimum administrative and management capability requirements by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management. In addition, all applications must address: plans for using a technical advisor's services, plans and ability to inform other members of the community, and the group's membership (representative of the different individuals/groups affected by the site). Funding must be used to provide resources so that community groups can obtain technical assistance to better understand technical issues related to the cleanup of the Superfund site affecting them and to provide comments on technical, cleanup-related documents.

Technical issues for which groups obtain technical assistance may include: the nature of the environmental and public health hazards at the site; the various stages of health and environmental investigations; cleanup and operation and maintenance activities for a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All or most of the Federal funds must be used, at sites listed on the National Priorities List (NPL) or proposed for listing under the National Contingency Plan (NCP) where a response action has begun under CERCLA, to procure a technical advisor(s) to help in understanding the nature of the environmental and public health hazards at the site, the various stages of health and environmental investigations and activities, cleanup, and operation and maintenance of a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal. Limitations: (a) Federal funds cannot be used to develop new primary data, such as conducting independent testing and monitoring activities at a site. (b) Under CERCLA, as amended, grant funds cannot be used for lawsuits or other legal actions, or attorney fees for services connected to any legal action or that could result in a relationship to which attorney/client privileges applies. (c) Grant funds cannot be applied towards a technical advisor's time spent assisting an attorney in preparing a legal action or preparing and serving as an expert witness at any legal proceedings. (d) Grant funds cannot be used for any activities or expenditures for recipient group members' travel. (e) Grant funds cannot be used for political activity and lobbying. (f) Grant funds cannot be used for generation of new health data through biomedical testing (for example, blood or urine testing), clinical evaluations, health studies, surveillance, registries, and/or public health investigations. (g) Grant funds cannot be used for activities that are unallowable under the cost principles stated in Office of Management and Budget (OMB) Circular No. A-122. (h) Grant funds cannot be used for tuition or other training expenses for recipient group's members. (i) Grant funds cannot be used to reopen or challenge final EPA decisions.

**Applicant Eligibility:**

A technical assistance grant (TAG) is available to any qualified group of individuals which: may be "affected" by a release or threatened release at any facility listed on the NPL or proposed for listing under the NCP where a "response action" under CERCLA has begun; meets minimum administrative and management capability requirements found in 40 CFR 30.12 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management; and incorporates as a nonprofit for the specific purpose of the representing "affected" individuals at the site. "Affected" means subject to actual or potential health, economic or environmental threat. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represents a PRP; (b) The group is affiliated with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above;

or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045.

**Beneficiary Eligibility:**

This program will benefit groups of individuals affected by Superfund hazardous waste sites. This may include homeowners, land/property owners, as well as any other individuals in the general public who live near a site or are otherwise affected by a site.

**Credentials/Documentation:**

At the time of the award, a recipient must either be incorporated or demonstrate that they have taken all necessary and appropriate actions to do so. Recipients must show proof of incorporation no later than the time of the group's first request for reimbursement for costs incurred. This program is excluded from coverage under OMB Circular No. A-87. This program is subject to the provisions of OMB Circular No. A-122.

**Preapplication Coordination:**

(1) Groups wishing to apply for a TAG must first submit to EPA a letter of intent (LOI). Groups interested in applying for a TAG are encouraged to contact their regional TAG coordinator(s), listed in Appendix IV of the Catalog. (2) If site work is already underway or scheduled to begin, EPA will publish a notice in the local newspaper to formally notify other interested parties that they may contact the first group that sent the LOI to form a coalition or they may submit a separate LOI. (3) Competing groups are encouraged to consolidate and submit a single application. (4) Prior to submitting their application to EPA (or concurrently), the applicant must submit the application package for their State's intergovernmental review process. This intergovernmental review may take up to 60 days. This program is excluded from coverage under OMB Circular No. A-102. This program is subject to the provisions of OMB Circular No. A-110. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. For more information regarding the procedures for submitting a LOI or for application assistance, contact the TAG coordinator(s) for your region (in Appendix IV of the Catalog) or the individuals listed under "Information Contacts."

**Application Procedure:**

An applicant for a TAG must submit the following materials in accordance with 40 CFR 35.4125 of the Final Rule: (1) An original EPA Form 424, Application for Federal Assistance. The application must have the original signature of the project manager. (2) A budget showing the proposed expenditure of funds, how the funds and other resources, including the required 20 percent match, will be used to complete the project, and how the budget figures were derived. (3) A scope of work which states how the group will organize, use procured personnel, and share and disseminate information to the larger affected community. In addition, the scope of work must explain project milestones and how the group's board of directors, technical advisors(s) and "project manager" will interact with each other. (4) Assurances, certifications and other preaward paperwork as 40 CFR part 30 requires. Currently, opportunities under this CFDA are not available and electronic submissions are not accepted through www.grants.gov.

**Award Procedure:**

(1) A TAG review team in the EPA Regional Office to which the application is submitted reviews the application and sends a letter containing written comments telling the applicant what, if any, changes need to be made to the application to make it complete. (2) An applicant group has 90 days from the date of the EPA letter to make the changes to their application and resubmit it to EPA. If the changes are not submitted within the 90-day period, the application will be returned unprocessed. (3) EPA determines the applicant's eligibility under 40 CFR 35.4020 and considers whether and how successfully the group meets three equally weighted criteria in 40 CFR 35.4155 (see "Criteria for Selecting Proposals," below). When multiple groups apply, EPA will rank each applicant relative to other applicants using the three equally weighted criteria. (4) If an applicant is not going to be awarded a TAG, the EPA will send a letter of rejection to the applicant. (5) If an application is approved for an award, a grant agreement document (EPA Form 5700-20A) is signed by the EPA award official. This document becomes an offer from EPA to the applicant. Award offers are mailed to the recipient five working days after the award official signs the agreement. (6) The applicant must sign and return the agreement to EPA within three weeks of the date the agreement is postmarked or request an extension. EPA will review applications in accordance to terms, conditions and criteria in the TAG regulations and EPA's policy for competing assistance agreements.

**Deadlines:**

There are no fixed deadlines until EPA receives a LOI from an interested group, for a site listed on the NPL or is proposed for listing on the NPL where a response action is underway. Once a LOI is received, EPA will publish a newspaper announcement saying an LOI has been received for a TAG at a specific site; other interested applicants have 30 days from the date of the announcement to submit their own LOIs or to join the original group in applying for a TAG. After this initial 30-day period, the groups who submitted LOIs have 30 days to submit a completed application to EPA.

**Range of Approval/Disapproval Time:**

From 4 to 9 weeks.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. Before a group obtains judicial review of the dispute, they must have requested the Regional Administrator to review the dispute decision official's determination under 40 CFR 31.70(c), and if the group still has a dispute, they must request the Assistant Administrator for the Office of Solid Waste and Emergency Response to review the Regional Administrator's decision under 40 CFR 31.70(h).

**Renewals:**

Grant waiver requests are made at the end of the budget period and are based on the requirements of 40 CFR 35.4065, which lists criteria which must be met.

**Formula and Matching Requirements:**

As directed by statute (Section 117(e) of CERCLA, as amended by 42 USC 9617(e)) there may be only one grant per site, there is a \$50,000 award limit unless waived, and recipient must contribute a 20 percent match (including in-kind contributions).

**Length and Time Phasing of Assistance:**

A grant may be available from the time a site is proposed for listing under the NCP (with a response action underway) until the site is delisted from the NPL - this time span varies based on the complexity of the site cleanup; a group may submit an LOI to apply for a TAG at any eligible site at any point in the site cleanup. For each award, the grant period is determined by the time needed to complete the scope of work stated in the grant application and through negotiations with EPA (this is generally a period of three years or greater). Grants under this CFDA are reimbursement-based; a grantee may draw down funds to cover grant-related expenses they have incurred (such as a technical advisor's invoice for services/expenses).

**Reports:**

(1) Progress reports. Each recipient shall submit quarterly progress reports to EPA for the technical assistance grant project 45 days after the end of each calendar quarter. Progress reports shall fully describe in chart or narrative format the progress achieved in relationship to the approved schedule, budget, and the technical assistance grant project milestones. Special problems encountered must be explained. (2) Financial status report. Each recipient shall submit to EPA a financial status report annually, within 90 days of the anniversary date of the start of the TAG project. These reports shall include the status of project's funds through identification of project transactions and within 90 days after the end of the TAG funding period. (3) Final report. Each recipient shall submit to EPA the final report within 90 days after the end of the project. The report shall describe project goals and objectives, activities undertaken to achieve goals and objectives, difficulties encountered, technical advisors' work products and funds spent. (4) Requests for Reimbursement or Federal Cash Transactions Reports. Depending on the method of payment, each recipient shall submit periodic requests for reimbursement as funds are needed, or shall submit to EPA a federal cash transaction report semiannually, within 15 working days following the end of the semiannual period which ends June 30 and December 31 of each year. These reports shall include the amount of funds advanced to the TAG recipient or electronically transferred to the TAG recipient's bank account, and a description of how the funds were spent. (5) Minority-Owned Business Enterprise/Women-Owned Enterprise (MBE/WBE) Utilization. Each recipient shall submit to EPA a MBE/WBE Utilization report annually, even if no contracts have been signed. Each recipient is required to disclose whether they have contracted with a MBE/WBE in the past Federal fiscal year, the value of the contract, if any, and the percentage of the total project dollars on MBE/WBEs. (6) Each recipient shall comply with any reporting requirements in the terms and conditions of the "grant agreement". (7) Each recipient shall comply with any reporting and record keeping requirements in OMB Circular A-122 and 40 CFR Part 30.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

(1) Each recipient shall keep complete financial records accurately showing how the Federal funds were used and the match, whether it is in the form of cash or in-kind assistance. (2) Each recipient shall comply with any reporting and record keeping requirements of OMB Circular A-122 and 40 CFR Part 30. (3) Each recipient must keep TAG financial records for ten years from the date of the final Financial Status Report, or until any audit, litigation, cost recovery, and/or disputes initiated before the end of the ten-year retention period are settled,



whichever is longer. At the ten-year mark, the TAG financial records may be disposed of after first getting written approval to do so from the EPA. Alternately, a recipient may choose to submit financial records to the EPA for safekeeping when the final Financial Status Report is submitted. (4) Each recipient must send to EPA a copy of each final written product prepared by their technical advisor as part of the TAG. EPA will send the final written products to the local Superfund site information repository(ies) where all site-related documents are available to the public.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Includes initial awards and additional funds) FY 07 \$926,952; FY 08 est \$600,000 (\$50,000 awarded as of 5/1/2008); and FY 09 est \$500,000.

**Range and Average of Financial Assistance:**

Initial awards for assistance agreements awarded under this CFDA number will not exceed \$50,000. After the initial award, additional funding may be awarded based on the criteria detailed under 40 CFR 35.4065, and subject to the availability of funds. The average additional award is \$40,000 (per agreement). Since 1988, 307 TAGs have been awarded. Of these, 114 grantees were awarded \$50,000 or less; 160 grantees have received awards with a cumulative value between \$51,000 and \$150,000; 33 grantees have received awards with a cumulative value ranging between \$151,000 and \$250,000; and 9 grantees have received awards whose cumulative value totals of more than \$250,000. The cumulative award value includes the initial award and any supplemental funding awards over the life of the agreement.

**PROGRAM ACCOMPLISHMENTS:**

Since the program began on March 24, 1988, 307 awards have been issued by EPA, totaling more than \$25,900,000 in TAG awards (including new awards, additional funds, waivers and deviation). In most cases, EPA receives only one application for a site and in most cases an award is made. In FY 07 ten new grants were awarded (\$375,000) and 12 established grantees were awarded additional funds (\$552,000). As of May 1, 2008, one new grant has been awarded (\$25,000) and one established grantee was awarded additional funds (\$25,000) for FY 08: it is anticipated that five more new awards (\$250,000) and five more existing grantees will be awarded supplemental funding (\$250,000) by the end of FY 08. The grant includes an outreach component wherein the grantee helps to educate the broader community on issues related to the site cleanup. Under this grant, grantees have developed community newsletters, developed web sites, conducted community meetings to help other community members better understand technical information related to the site cleanup and to better respond to site-related technical documents during public comment periods. Technical comments provided to EPA under this grant assist EPA in meeting Superfund strategic targets of identifying and controlling unacceptable human exposures from site contamination; monitoring and controlling migration of contaminated ground water; and identifying a final remedy suitable for stated reuse (under Goal 3.2.2 of EPA's Strategic Plan).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31; 40 CFR Part 30; 40 CFR Part 35.( Subpart M); and TAG Program Guidance Documents.

**Regional or Local Office:**

Questions may be directed to the EPA Regional Office serving a particular state. All TAG paperwork should be submitted directly to the EPA Regional Office. A list of the Regions and their States, plus the name(s) and telephone number(s) for the Regional TAG contact, is presented below and can be found in Appendix IV of the CFDA. U.S. EPA, Region I (CT, MA, NH, RI, ME) - Robert Shewack, Mail Code: HBS, U.S. EPA Region I, Office of Site Remediation and Restoration, One Congress Street, Boston, MA 02114-2023, (617) 918-1428 (Robert), (617) 918-1347 (Art), Toll Free: (1-888) 372-7341, (617) 918-1291 Fax; U.S. EPA, Region II (NY, NH, PR, VI) - Frank Barone, Mail Code: 2 OPM-GCMB, U.S. EPA Region II, Grants & Contracts Management Branch, Office of Policy and Management, 290 Broadway, 27th Floor, New York, NY 10007-1866, (212) 637- 3379, (212) 637-3518 Fax; U.S. EPA, Region III (DC, DE, MD, PA, VA, WV) - Amelia Libertz, Mail Code: (3HS52), U.S. EPA Region III, 1650 Arch Street, Philadelphia, PA 19103, (215) 814-5522, Toll Free: (1-800) 553-2509, (215) 814-3015 Fax; U.S. EPA, Region IV (AL, FL, GA, KY, MS, NC, SC, TN) - Denise Bland, Jackie Dendy, Rhonda Foucher, Paula Walraven, Carol Jackson, Mail Code: WDCSB, U.S. EPA Region IV, Waste Management Division, Program Services Branch, Atlanta Federal Center, 61 Forsyth Street, Atlanta, GA 30303, (404) 562-8880 (Denise), (404) 562-8876 (Jackie), (404) 562-8867 (Rhonda), (404) 562-8858 (Paula), (404) 562-8856 (Carol), Toll Free: (1-800) 564-7577, (404) 562-8842 Fax; U.S. EPA, Region V (IL, IN, MI, NM, OH, WI) - Susan Pastor (TAG Coordinator), Mail Code: P-19J, U.S. EPA Region V, Office of Public Affairs, Community Involvement Section, 77 W. Jackson Blvd., Chicago, IL 60604-3507, (312) 353-1325, Toll Free: (1-800) 621-8431, (312) 353-1155 Fax; Glynis Landers (TAG Project Officer), Mail Code: SM-5J, U.S. EPA Region, 77 W. Jackson Blvd., Chicago, IL 60604-3507, (312) 886-1816, (312) 886- Fax; U.S. EPA, Region VI (AR, LA, NM, OK, TX) - Beverly Negri, Zana Halliday, Mail Code: 6SF-TS, U.S. EPA Region VI, Tower at Fountain Place, 1445 Ross Avenue, Suite 1200, Dallas, TX 75202-2733, (214) 665-8157 (David), (214) 665-8363 (Zana), Toll Free: (1-800) 533-

3508, (214) 655-6660 Fax; U.S. EPA, Region VII (IA, KS, MO, NE) - Hattie Thomas, Mail Code: PBAF, U.S. EPA Region VII, Office of External Programs, 901 North 5th Street, Kansas City, KS 66101, (913) 551-7762, Toll Free: (1-800) 223-0425, (913) 551-7066 Fax; U.S. EPA, Region VIII (CO, MT, ND, SD, UT, WY) - Linda Armer; Mail Code: 8EPR-PS, U.S. EPA Region VIII, Office of Communications & Public Involvement, 1595 Wynkoop Street, Denver, CO 80202-1129, (303) 312-6696, Toll Free: (1-800) 227-8917, (303) 312-6065 Fax; U.S. EPA, Region IX (AZ, CA, HI, NV) - Jackie Lane, Mail Code: SFD-3, U.S. EPA Region IX, Office of Community Involvement, 75 Hawthorne Street, San Francisco, CA 94105, (415) 972-3236, Toll Free: (1-800) 231-3075, (415) 947-3528 Fax; U.S. EPA, Region X (AK, ID, OR, WA) - Sally Hanft, Mail Code: ECO-O86, U.S. EPA Region X, Ecosystem and Community Health Unit, 1200 6th Avenue, Seattle, WA 98101, (206) 553-1207 (Sally), Toll Free: (1-800) 424-4372, (206) 553-2955 Fax.

**Headquarters Office:**

Freya Margand; Community Involvement and Outreach Branch, Office of Superfund Remediation and Technology Innovation, Mail code: 5204P), Environmental Protection Agency; Ariel Rios Bldg., 1200 Pennsylvania Ave.; N.W., Washington, DC 20460. Telephone: (703) 603-8889. Fax: (703) 603-9102. E-mail: margand.freya@epa.gov Center web site address: <http://www.epa.gov/superfund/community/>.

**Web Site Address:**

<http://www.epa.gov/superfund>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A TAG allows a group to procure independent technical advisors to help in interpreting and commenting on site-related information and decisions. Examples of how a technical advisor can help a group include, but are not limited to: (a) Reviewing preliminary site assessment/site investigation data; (b) Participating in public meetings to help interpret information about site conditions, proposed remedies, and the implementation of a remedy; (c) Visiting the site vicinity periodically during cleanup, if possible, to observe progress and provide technical updates to the group; (d) Interpreting information related to redevelopment; and (e) Evaluating future land use options based on land use assumptions found in the remedial investigation/feasibility study.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description are described in the programmatic regulations (40 CFR Part 35) as follow. In selecting a proposal: 1) EPA will determine if a group meets the following eligibility criteria: (a) The community group is a group of people who may be "affected" by a release or a threatened release at any facility listed on the NPL or proposed for listing under the NCP where a response action is underway; and (b) The group meets the minimum administrative and management capability requirements found in 40 CFR 30.21 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to managing the TAG. 2) EPA will also determine if there are factors which make the group ineligible. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represent a PRP; (b) The group is "affiliated" with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045. 3) Once EPA determines if eligibility requirements have been met, the Agency considers whether and how successfully a group meets the following, equally weighted, criteria: (a) Representation of groups and individuals affected by the site; (b) The group's plans to use the services of a technical advisor throughout the Superfund response action; and (c) The group's ability and plan to inform others in the community of the information provided by the technical advisor. 4) Additionally, a group must incorporate as a nonprofit for the purpose of participating in decision making at the Superfund site for which the TAG was granted (for exception see 40 CFR 35.4045). Applicant groups should consult the Superfund TAG Handbooks, "Applying for a Grant" and "The Application Forms with Instructions," for detailed instructions on applying for a TAG.

**66.808 SOLID WASTE MANAGEMENT ASSISTANCE GRANTS**

**FEDERAL AGENCY:**

OFFICE OF SOLID WASTE, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001, as amended; Resource Conservation and Recovery Act of 1976, as amended; Public Law 94-580, 42 U.S.C. 6901 et seq. Amending laws for SWDA and RCRA: Public Law 98-616, Public Law 99-339, Public Law 99-499.

**OBJECTIVES:**

To promote use of integrated solid waste management systems to solve solid

waste generation and management problems at the local, regional and national levels. Funding Priority - Fiscal Year 2008: Partnerships - Establishing and developing partnerships with states, local governments and other non profit organizations to assist them in advancing their waste management programs, including recycling and reduction of wastes, appropriate management of wastes that are generated, and developing integrated waste management plans. Education and Outreach - Developing and providing education, training, and outreach materials to educate and inform Americans about waste's impact on resource and energy use and pollution. Fostering a better understanding of the environmental ramifications of collective actions including how individual purchasing and manufacturing decisions are connected to the environment and to enable Americans to make better choices resulting in increased recycling, less waste and greater energy savings.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Available for the allowable direct cost expenditures incident to program performance plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policies. Projects can include the following types of activities: training, surveys, education materials and programs, studies, and demonstrations; assistance to such projects shall not include any element of construction, or any acquisition of land or interest in land, or any subsidy for the price of recovered resources. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands), local, Tribal, interstate, and intrastate government agencies and instrumentalities; and nonprofit organizations that are not 501(c)(4) organizations that lobby, including nonprofit educational institutions and nonprofit hospitals. Individuals and for-profit organizations are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, EPA may limit competition under this CFDA to Tribes and Inter-Tribal Consortia.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, the public, and interstate agencies.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular No. A-87. Nonprofits need to provide proof of their status.

**Preapplication Coordination:**

Discussion with EPA Headquarters or the appropriate EPA Regional Office is advisable. (See Appendix IV of the Catalog for list of Regional Contacts). This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

The standard application form as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Requests for application forms and submission of completed applications should be directed to EPA Grants and Interagency Agreements Management Division (3903R), Washington, DC 20460, or the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This program is subject to the provisions of OMB Circulars No. A 110 and No. A102. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and program evaluation criteria to determine the merit and relevance of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Varies from region to region. Contact appropriate Regional Office for details.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted, which will be reviewed in the same manner as a new application.

**Formula and Matching Requirements:**

This program does not have a statutory formula for distributing funds or statutory cost share requirement. As a matter of policy, EPA requires a minimum 5 percent cost share when the Agency funds grantees for more than one year. This requirement does not apply to the first year's funding. The Agency may waive the requirement in subsequent years on a case by case basis.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 month basis (yearly). The total approved project period is generally no longer than 3 years.

**Reports:**

Quarterly interim and final progress, expenditure, equipment and invention reports.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised during the three year project period as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-999.

**Obligations:**

FY 07 \$2,700,601; FY 08 \$3,000,000; and FY 09 est \$3,000,000.

**Range and Average of Financial Assistance:**

(Fiscal year 2007) \$4,000 to \$940,000; \$67,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 45 projects were awarded. The estimate of projects for fiscal year 2008 is about the same. Quantifiable data on the number and ratio of past applications not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Parts 30, 31 and 33); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161, on a subscription basis.

**Regional or Local Office:**

Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

For information concerning grant applications and procedures, contact the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903F, Washington, DC 20460. Telephone: (202) 260-9266. For general information on Solid Waste Management Assistance grants, please contact Nick Vizzone, at EPA/OSWER/OSW/CIRMD Mail Code 5305W, Washington, DC 20460. Telephone: (703) 308-8460. Fax: (703) 308-7904. E-mail: [vizzone.nick@epa.gov](mailto:vizzone.nick@epa.gov).

**Web Site Address:**

<http://www.epa.gov/epaoswer/osw>.

**RELATED PROGRAMS:**

66.500, Environmental Protection Consolidated Research.

**EXAMPLES OF FUNDED PROJECTS:**

- (1) Conference to provide a national forum for tribal governments to disseminate environmental program training and to interact with federal partners;
- (2) Conduct outreach to state purchasers, educate them about the guidelines established in January 2002, and encourage them to formally adopt product stewardship purchasing criteria into their state purchasing contracts for carpet;
- (3) Challenge the electronics industry to design products that meet new, peer reviewed design principles and recycling strategies;
- (4) Develop and implement a mercury containing lamp recycling outreach program;
- (5) Increase public



awareness of mercury containing lamp recycling and access to resource information; (6) Foster information sharing among State regulatory programs with varying regulatory approaches and experiences and in differing stages of maturity.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.809 SUPERFUND STATE AND INDIAN TRIBE CORE PROGRAM COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

OFFICE OF SUPERFUND REMEDIATION AND TECHNOLOGY  
INNOVATION, OFFICE OF SOLID WASTE AND EMERGENCY  
RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 104(d), as amended, 42 U.S.C. 9604(d) et seq.

**OBJECTIVES:**

To effectively implement the statutory requirements of CERCLA Section 121(f) for State involvement. To provide funds to conduct CERCLA activities which are not assignable to specific sites, but support a recipient's site-specific response program. Funding Priority - Fiscal Year 2008: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction. Funding Priority - Fiscal Year 2009: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Core Program Cooperative Agreements are offered to ensure that each State, or Federally Recognized Indian Tribe or intertribal consortia can substantially participate in CERCLA response actions. Recipients negotiate with EPA Regions to receive funding for a variety of activities that include: (1) Procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and (5) activities that support EPA/Recipient interaction. Recipients with Regional approval may receive awards for multi year budget and project periods at the Region's discretion. Funding for the entire project may be made as a lump sum or incrementally over time. Recipients must demonstrate progress towards the goals stated in the Core Program Cooperative Agreement in order to be eligible for continued funding. Only one Core Program Cooperative Agreement will be awarded to each eligible State or Tribe or intertribal consortia through the Single Point of Contact. Funds must be used for non-site-specific activities as described above.

**Applicant Eligibility:**

States, Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments and intertribal consortia.

**Beneficiary Eligibility:**

States, Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments and intertribal consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with 40 CFR Part 35 Subpart O and OMB Circular No. A 87, "Cost Principles for State, Local, and Indian Tribal Governments," and other supporting documentation required by the Agency.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Consultation and pre-application conference are recommended. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices review the applications for cooperative agreements. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless re-delegated to the Regional Division Director.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Approximately ninety (90) days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applications for additional funding need to include only the revised pages from EPA Form 424.

**Formula and Matching Requirements:**

As required by 40 CFR Part 35 Subpart O, State recipients of Core Program Cooperative Agreements must provide a 10 percent cost share of the total project cost on all awards. This match may be made from either direct, non-federal funds, non reimbursed fund, or with in kind contributions. CERCLA credits earned at other Superfund sites cannot be used to meet the 10 percent match. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Assistance is awarded as a lump sum, or may be incrementally funded. Recipients with Regional approval may receive cooperative agreement awards for multi year budget and project periods at the Region's discretion. Continued funding of tasks in subsequent years is based on an evaluation of demonstrated progress towards the goals in the Core Program Cooperative Agreement Statement of Work.

**Reports:**

The recipients must submit progress reports no more frequently than quarterly, but at a minimum annually. The recipients must submit financial status reports annually, and a final report.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten-year period, whichever is later.

**Account Identification:**

68-8145-0-1-304.

**Obligations:**

(Core Cooperative Agreements) FY 07 \$8,800,000; FY 08 est. \$8,000,000, FY 09 est. \$8,000,000.

**Range and Average of Financial Assistance:**

\$26,000 to \$571,000; average award amount: \$232,000.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2007, the types of activities that are permitted to be funded include: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control. In Fiscal Year 2008, the types of activities that are permitted to be funded include: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31, 40 CFR Part 35, Subpart O, Program Guidance Documents.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Angelo Carasea, State, Tribe and Site Identification Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology



Innovation, Mail Code 5204P, EPA, Washington, DC 20460. Telephone: (703) 603-8828. E-mail: carasea.angelo@epa.gov. Fax: (703)603-8828.

**Web Site Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.802, Superfund State, Political Subdivision, and Indian Tribe Site\_Specific Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

Administrative and program development, accounting systems development, legal authorities and enforcement support, hiring and training of State response staff, procedures for emergency response actions.

**CRITERIA FOR SELECTING PROPOSALS:**

For Core Program Cooperative Agreements, recipients must demonstrate a need for non-site specific funds to support activities not covered by other site-specific awards. Each project is examined and selected on a case-by-case basis based upon availability of funds, receipt of application, and other criteria as determined by EPA.

**66.810 CHEMICAL EMERGENCY PREPAREDNESS AND PREVENTION (CEPP) TECHNICAL ASSISTANCE GRANTS PROGRAM**

(CAA 112 and SARA Title III State Grants Program)

**FEDERAL AGENCY:**

OFFICE OF EMERGENCY MANAGEMENT, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act Section 103 (b)(3) and Section 112 (l)(4); Toxic Substances Control Act, Sections 10(a), and 28(a), Public Law 94-469, 15 U.S.C. 2601 et seq.

**OBJECTIVES:**

To provide financial assistance to States, Local agencies, and Indian Tribes for chemical accident prevention activities that relate to the Risk Management Program under the Clean Air Act Section 112(r). To provide financial assistance to Tribes for chemical emergency planning, and community right-to-know programs which are established to prevent or eliminate unreasonable risk to the health and environment of communities within the State. Funding Priority - Fiscal Year 2008: (1)Capacity Building: Increase capacity at the State, Tribe, or local level to implement and enforce the Chemical Accident Prevention provisions of the Clean Air Act Section 112(r) and to integrate chemical accident prevention activities; chemical emergency planning efforts, and community right-to-know programs. (2) Community Issues: Development of model technical assistance materials for use by States/Tribes or Local Emergency Planning Committees (LEPCs) to evaluate potential chemical risks to their communities and to take appropriate prevention and preparedness steps to protect the community. (3) Partnerships: Strengthening partnerships among States/Tribes and Local Emergency Planning Committees (LEPCs), industry, emergency responders, and the general public to foster collaboration and build credibility for chemical prevention and preparedness activities. Funding Priority - Fiscal Year 2009: (1)Capacity Building: Increase capacity at the State, Tribe, or local level to implement and enforce the Chemical Accident Prevention provisions of the Clean Air Act Section 112(r) and to integrate chemical accident prevention activities; chemical emergency planning efforts, and community right-to-know programs. (2) Community Issues: Development of model technical assistance materials for use by States/Tribes or Local Emergency Planning Committees (LEPCs) to evaluate potential chemical risks to their communities and to take appropriate prevention and preparedness steps to protect the community. (3) Partnerships: Strengthening partnerships among States/Tribes and Local Emergency Planning Committees (LEPCs), industry, emergency responders, and the general public to foster collaboration and build credibility for chemical prevention and preparedness activities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Innovative Technical Assistance Grants are offered to improve the ability of States, Tribes and local communities to protect public health and safety and involve the development of technical assistance or similar materials that could be used directly or adapted by other States/Tribes or Local Emergency Planning Committees (LEPCs). Projects which address implementing the Risk Management Program under the Clean Air Act Section 112(r) are especially of interest. The grant money may not supplant State or Tribal funds already being spent. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States, Local agencies District of Columbia, Puerto Rico, U.S. Virgin Island, Northern Mariana Islands, and Federally Recognized Indian Tribes. For certain

competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, Tribes, Local Emergency Planning Committees, and local emergency responders.

**Credentials/Documentation:**

OMB Circular No. A-87 is required for this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should contact the CEPP Regional contact listed below to determine if grants are available in a specific Region. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

States, Local agencies, and Indian Tribes must submit the original completed application package and one copy to the appropriate EPA Regional Office. The Regional office will review the application package to ensure completeness. States must comply with all applicable requirements. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Grant applications will undergo the following review process: EPA Regional Office staff will evaluate each application and, based on the criteria established will select proposal(s) for funding. EPA Regional offices will be awarding the grants. The review process will concentrate on choosing the best project concepts. Once the grant is awarded to the State Emergency Response Commission (SERC), Tribal Emergency Response Commission (TERC), directly to the local agencies such as the Local Emergency Planning Committee (LEPC), or other State agency with SERC coordination as appropriate, the recipient will be notified by phone or email. EPA will monitor the work in progress and provide project guidance and oversight to the State, Local agencies, and Tribes.

**Deadlines:**

Contact the Regional Office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. There is a 25 percent match requirement for assistance agreements awarded to States under the Toxic Substances Control Act, Section 28.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 to 24 month basis. Total approved project period should not exceed 2 years for a particular project. A call for letters of intent and applications will be advertised annually via the Regions notifying States, Local agencies, and Tribes. Recipients will be notified by phone call or email that their proposal will be funded. The grants may be awarded in a lump sum.

**Reports:**

Reports will be required on a quarterly basis to describe applicant's progress.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant recipient accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

EPM 68-0108-0-1-304.

**Obligations:**

FY 07 \$100,000; FY 08 est. \$90,000; and FY 09 est. \$90,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$75,000; an average of approximately \$50,000 for a one year award.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 4 grant applications were received and 2 awards were made to a State and to a Tribe for chemical accident prevention and preparedness. The State will focus on compliance assistance site visits to RMP facilities and maintain tracking database. The tribe will preform an inventory of facilities and hazardous chemicals, identify and document location of materials and facilities, and design and implement outreach programs to focus on safe storage and use of chemicals. For FY 2008, it is anticipated that no more than 2 grants will be awarded for conducting and promoting activities associated with the Clean Air Act program in the area of Chemical Accident Prevention, Preparedness and Response. Activities may include RMP facility inspections, data analysis community safety outreach, and hazardous materials exercises. For FY 2008, we anticipate 3 to 4 applications. These grants are in support of Goal 4: Healthy Communities and Ecosystems, and the outcomes for these projects are defined and include Chemical Organism and Pesticide Risk reduction at facilities. For FY 2009, again we estimate 2 awards and 3 - 4 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Government (40 CFR Part 31).

**Regional or Local Office:**

Any inquiries, contact the CEPP Coordinators as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Sherry Fielding, Grant Program Manager, OSWER/OEM/POCD (5104A), EPA HQ, Ariel Rios Building, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-6174, Fax: (202) 564-8211 fielding.sherry@epa.gov.

**Web Site Address:**

<http://www.epa.gov/emergencies>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Development of a comprehensive implementation and enforcement strategy for an accidental release prevention program which includes how the 112(r) program will be integrated with other State and Local programs; Development of Legislative authority, regulations, and/or documentation needed for approval of a 112(r) program for State or Local accident prevention for all sources or for some sources; Educational Videos: Each video describes to the viewer where the specific hazardous substance may be found in the community and potential business types that would and would not need to comply; Hazardous Vulnerability Analysis Plan: Describes the geographic area of the Tribe, the potential hazards facing the Tribe, and the emergency response capabilities/services available; Educational or Outreach materials that promotes 112(r) program integration with other State and Local programs .

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.812 HAZARDOUS WASTE MANAGEMENT GRANT PROGRAM FOR TRIBES

**FEDERAL AGENCY:**

OFFICE OF SOLID WASTE, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriation Act, Public Law 105-276; 112 Stat. 2461, 2499 (1998).

**OBJECTIVES:**

The purpose of the Hazardous Waste Management Grant Program for Tribes is to provide financial assistance to Tribal governments and Tribal Consortia for

the development and implementation of hazardous waste programs; for building capacity to improve and maintain regulatory compliance; and for developing solutions to address hazardous waste impacting Tribal lands. Funding Priority - Fiscal Year 2008: Develop and implement hazardous waste management programs that improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. Build capacity to improve and maintain regulatory compliance and develop solutions to address hazardous waste mismanagement impacting Tribal lands. Development and institutionalization of hazardous waste program capacity for Tribal governments and the communities they serve. Funding Priority - Fiscal Year 2009: Develop and implement hazardous waste management programs that improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. Build capacity to improve and maintain regulatory compliance and develop solutions to address hazardous waste mismanagement impacting Tribal lands. Development and institutionalization of hazardous waste program capacity for Tribal governments and the communities they serve.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

This grant program will support projects designed to develop and implement hazardous waste management programs. These programs must improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. All hazardous waste management activities that address the Resource Conservation and Recovery Act (RCRA) Subtitle C "cradle to grave" approach are eligible. Each of the following hazardous waste management program activities are considered central to a "cradle to grave" program: Hazardous Waste Identification; Hazardous Waste Generator Siting, Monitoring, & Compliance (Large Quantity, Small Quantity, and Conditionally Exempt Small Quantity Generators); Hazardous Waste Minimization, Recycling, Used Oil, and Universal Wastes; Hazardous Waste Transportation; Treatment, Storage, and Disposal Facility Siting, Permitting, Monitoring, Corrective Action, & Enforcement; Land Disposal Restrictions; Combustion. Assistance will be provided under this program only for activities which EPA determines are appropriate to carry out the purposes of RCRA. Assistance under this program does not include any element of municipal solid waste management, chemical emergency planning and preparedness or superfund program cleanup.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) an Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Government.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular No.A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should consult the designated Regional Tribal hazardous waste program coordinator. It is strongly suggested that potential applicants consult with the designated Regional point of contact. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The annual competitive announcement outlines specific procedures for submitting proposals. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the Regional Tribal Hazardous Waste Program Coordinator for specific application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress on previously awarded grant must be demonstrated.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award. Grants may be awarded in a lump sum.

**Reports:**

Annual Regional Review. Grantees must provide financial and performance activity reports according to the terms negotiated with the Regional program. Copies of the reports should also be sent to the EPA Office of Solid Waste headquarters representative.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records and accounts must be maintained to reflect the operations of the project. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$288,000; FY 08 \$305,000; and FY 09 est. \$305,000. In addition, OSW may supplement these funds with Environmental Program Management extramural funds.

**Range and Average of Financial Assistance:**

Range = \$18,00 to \$100,000; Average = \$56,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, OSW distributed funds to Tribes and Inter-Tribal Consortia in support of activities that facilitate the development of comprehensive management programs to properly identify, manage, or dispose of hazardous waste; build capacity to improve and maintain regulatory compliance; and identify and/or implement solutions that will address hazardous waste mismanagement. In FY 2007, OSW received 25 proposals. To assist Tribes through the FY 2007 Hazardous Waste Management Grant Program, \$288,000 in STAG funding and \$30,000 in EPM (supplemental funding) for a total of \$318,000 was distributed to Regions 2, 7, 9, and 10. A total of 5 awards were made through these Regions. In FY 2008, it is anticipated that 4 new awards will be made through the Hazardous Waste Management Grant Program for Tribes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30), "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA. Contact designated Regional program coordinator for other documents, including the "Hazardous Waste Management Grant Program for Tribes: Guidance for Applicants."

**Regional or Local Office:**

Designated Regional Tribal Hazardous Waste Management Program Contacts: Region, Address, Name, E-mail Address, Phone, Fax. Region I, U.S. EPA, 1 Congress Street, Boston, MA 02114-2023, Chuck Franks, Franks.Chuck@epa.gov, (617) 918-1554, (617) 918-1505. Region II, U.S. EPA, 290 Broadway, 22nd Floor, New York, NY 10007-1886, Lorraine Graves, Graves.Lorraine@epa.gov, (212) 637-4099, (212) 637-4437. Region IV, U.S. EPA, Atlanta Federal Center, 61 Forsyth Street, Atlanta, GA 30303, Davy Simonson, Simonson.Davy@epa.gov, (404) 562-8457, (404) 562-8439. Region V, U.S. EPA, 77 W. Jackson Blvd, Chicago, IL 60604, Margaret Millard, Millard.Margaret@epa.gov, (312) 353-1440, (312) 353-6519. Region VI, U.S.

EPA, 1445 Ross Avenue, Dallas, TX 75202-2733, Nick Stone (Technical), Stone.Nick@epa.gov, ChesTeena Hullum (Grants), Hullum.ChesTeena@epa.gov, (214) 665-7226, (214) 665-7216, (214) 665-7263, (214) 665-6762. Region VII, U.S. EPA, 901 N. 5th Street, Kansas City, KS 66101, Gayle Hubert, Hubert.Gayle@epa.gov, (913) 551-7439, (913) 551-9669. Region VIII, U.S. EPA, 1595 Wynkoop Street, Mail Code: 8P-HW, Denver, CO 80202-1129, Susanna Trujillo, Trujillo.Susanna@epa.gov, (303) 312-7008, (303) 312-6341. Region IX, U.S. EPA, 75 Hawthorne Street, Mail Code: WST-7, San Francisco, CA 94105, Heather White, White.Heather@epa.gov, (415) 972-3384, (415) 947-3530. Region X, U.S. EPA, 1200 6th Avenue, Seattle, WA 98101, Maria Tartaglia, Tartaglia.Maria@epa.gov, (206) 553-1128, (206) 553-8509.

**Headquarters Office:**

Denise Roy, Office of Solid Waste, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., (5303P) Washington, DC 20460. Telephone: (703) 308 8458. E-Mail: Roy.Denise@epa.gov.

**Web Site Address:**

<http://www.epa.gov/tribalmw/>.

**RELATED PROGRAMS:**

66.473, Direct Implementation Tribal Cooperative Agreements; 66.605, Performance Partnership Grants; 66.701, Toxic Substances Compliance Monitoring Cooperative Agreements; 66.708, Pollution Prevention Grants Program; 66.709, Multi-Media Capacity Building Grants for States and Tribes; 66.711, Environmental Justice through Pollution Prevention Grants; 66.801, Hazardous Waste Management State Program Support; 66.808, Solid Waste Management Assistance Grants; 66.810, Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program; 66.926, Indian Environmental General Assistance Program (GAP).

**EXAMPLES OF FUNDED PROJECTS:**

The following activities are suggestive and do not limit the range of activities considered eligible under this grant program. These activities are eligible when they are performed in support of developing and implementing a tribal program to manage hazardous waste: Develop and implement codes, regulations, and ordinances, policies, and/or guidance to regulate hazardous waste management activities and facilities, such as generators, transporters, and treatment, storage and disposal facilities. Develop and implement hazardous waste program enforcement policies and procedures to ensure regulatory compliance, including monitoring and inspection schemes. Develop legal and administrative infrastructure adequate to implement and maintain regulatory and/or non-regulatory hazardous waste management programs. Includes support for Tribal Emergency Response Committees (TERC). Identify and assess hazardous waste generation and ongoing management of concern to the community, including: inventory active and inactive dump/disposal sites and assess contamination potential; characterize hazardous waste stream, including illegal dump-sites; and identify sensitive sites with potential or actual impacts on water bodies, soil, air, cultural/historic resources, threatened or endangered species, etc. Develop and implement tribal integrated hazardous waste management plans (including, but not limited to, source reduction/recycling, household hazardous waste collection programs, pesticide container collection, ). Implement used oil collection/re-use and other programs to reduce the mismanagement of hazardous waste in the community. Implement household hazardous waste collection events or programs that provide sustainable or long-term solutions for disposal of household hazardous waste for the community. Develop outreach/education documents and other resource materials to plan and conduct hazardous waste management seminars for tribal leaders, community members, business and civic organizations, etc. Establish qualifications for environmental management personnel relative to the tribe's needs and plan for program implementation. Establish a communications plan for hazardous waste management program activities. Identify multi-jurisdictional opportunities for hazardous waste management, including feasibility for intergovernmental (Tribal, Federal, State, local) cooperative efforts.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.813 ALTERNATIVE OR INNOVATIVE TREATMENT TECHNOLOGY RESEARCH, DEMONSTRATION, TRAINING, AND HAZARDOUS SUBSTANCE RESEARCH GRANTS****FEDERAL AGENCY:**

OFFICE OF SUPERFUND REMEDIATION AND TECHNOLOGY INNOVATION, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Sections 311(b) and (c), as amended, Public Laws 95-510, and 99-499, 42 U.S.C. 9660.

**OBJECTIVES:**



To support grants and cooperative agreements for (1) a program of research, evaluation, testing, development, and demonstration of alternative or innovative treatment technologies which may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment; (2) a technology transfer program including the development, collection, evaluation, coordination, and dissemination of information relating to the utilization of alternative or innovative treatment technologies for response actions; (3) a program of training and evaluation of training needs in the procedures for the handling and removal of hazardous substances for employees who handle hazardous substances and training in the management of facilities at which hazardous substances are located and in the evaluation of the hazards to human health presented by such facilities for State and local health and environmental agency personnel, and (4) a program of research with respect to the detection, assessment, and evaluation of the effects on and risks to human health of hazardous substances and detection of hazardous substances in the environment. Funding Priority - Fiscal Year 2008: Assistance to (1) support The State Coalition For The Remediation of Drycleaners; (2) to conduct research with respect to the detection, assessment, and evaluation of the effects on, and risks to, human health from hazardous substances and detection of hazardous substances in the environment, as related to states and territories; (3) to increase the county officials' capacity to identify, assess, finance, revitalize and manage over time contaminated or potentially contaminated properties; (4) to host technical conferences and trainings for non federal personnel on innovative and alternative treatment technologies; and, (5) to support interstate teams that evaluate innovative and alternative treatment and characterization technologies for hazardous site remediation. Funding Priority - Fiscal year 2009: 1)To support the Removal Action Focus Group with research on resources, capabilities and successes of State removal and environmental emergency response programs to participate in Superfund large-scale emergencies. 2)To produce information that States will use to improve and enhance the practices relative to the assessment, remediation, and long-term stewardship activities conducted at Superfund sites. 3)The recipient will host technical conferences and training events for non federal personnel on innovative and alternative treatment technologies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Types of discrete projects may include: land use controls research; health effects in construction workers; studies of above ground storage tank inspection practices; remediation technologies and strategies; and support for State forums to share information on research on hazardous substances waste remediation. Funding awarded for research under CERCLA 311(c) does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. In some instances, EPA will consider applications from profit makers, proposing projects with significant technical merit and relevance to EPA's Office of Solid Waste and Emergency Response. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, industry, and other public and private institutions and individuals.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Applicants considering submitting proposals are advised to discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. When making competitive awards, EPA will specify the nature

of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For information contacts, see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants Administration Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

For competitive awards, deadlines will be specified in the Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

For non-competitive awards: Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. For competitive awards: Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

EPA's Appropriation Act requires that applicants submitting unsolicited research grant and cooperative agreement proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA 311(b)(3) requires that EPA, "to the maximum extent possible", enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements in a lump sum on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. The Office of Congressional Liaison is notified of the award. They in turn notify the appropriate House and Senate members that the assistance agreement has been awarded. This notification period lasts 5. After the 5 Day Congressional notification period, the original award document will be sent to the recipient. A copy of the award document will be sent to the Project Officer and the Las Vegas Financial Management Center or the Regions Financial Management Office.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General,

other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. EPA may require that for profit recipients follow 40 CFR Part 30. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

20-8145-0-7-304.

**Obligations:**

FY 07 \$1,711,400; FY 08 \$315,190; and FY 09 est. \$2,000,000.

**Range and Average of Financial Assistance:**

For each fiscal year it is \$20,000 - \$450,000, Average \$320,000.

**PROGRAM ACCOMPLISHMENTS:**

Technical conferences and training events for nonfederal personnel on innovative and alternative treatment technologies; to conduct research with respect to the detection, assessment, and evaluation of the effects on, and risks to, human health from hazardous substances and detection of hazardous substances in the environment, as related to states and territories; and, to increase the county official's capacity to identify, assess, finance, revitalize and manage over time contaminated or potentially contaminated properties. In FY 07 there were five awards, and in FY 08 three.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Alternative or innovative treatment technology and hazardous substance research grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants Administration Division, 3903R, Washington, DC 20460. For program information contact: Barbara McDonough, Contracts Management Branch, Resources Management Division Office of Superfund Remediation and Technology Innovation, USEPA (5202-P), 1200 Pennsylvania Ave., N.W., Washington, DC 20460. E-mail: mcdonough.barbara@epa.gov, Telephone: (703) 603-9042, Fax: (703) 603-9133.

**Web Site Address:**

<http://www.epa.gov/superfund/index.htm>.

**RELATED PROGRAMS:**

66.808, Solid Waste Management Assistance Grants; 66.814, Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements; 66.815, Brownfield Job Training Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

Land use controls research; estimating soil ingestion in construction workers; study of state and territorial above ground storage tank inspection practices; State support for forums to discuss and share experiences on remediation technologies and strategies; and support for State forums to share information on research on waste remediation.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.814 BROWNFIELDS TRAINING, RESEARCH, AND TECHNICAL ASSISTANCE GRANTS AND COOPERATIVE AGREEMENTS

**FEDERAL AGENCY:**

OFFICE OF BROWNFIELDS AND LAND REVITALIZATION, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Sections 101(39) and 104(k)(6), as amended, 42 U.S.C. 9604(k)(6).

**OBJECTIVES:**

CERCLA 104(k)(6) provides EPA with authority for a program of training, research, and technical assistance to individuals and organizations to facilitate the inventory of brownfields properties, assessments, cleanup of brownfields properties, community involvement, or site preparation. Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. Funding Priority - Fiscal Year 2008: EPA may solicit proposals for training, research, and technical assistance and will incrementally fund projects with satisfactory project progress selected in previous 104(k)(6) training, research, and technical assistance competition. The Agency gives preference to the ten statutory ranking criteria, as applicable, found at CERCLA 104(k)(5)(C) (see CRITERIA FOR SELECTING PROPOSALS, below) when evaluating applications for research, training and technical assistance funding. EPA, in addition to the statutory criteria, also evaluates applicants based on their ability to manage grants and other policy based factors intended to promote effective stewardship of Federal funds. Annual Funding Priorities: By statute, 25% of the funding for CERCLA 104(k), must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. No more than 15 percent of the funding appropriated for CERCLA 104(k) grants may be used to fund training, research, and technical assistance grants authorized by CERCLA 104(k)(6). EPA expects to support brownfields training, research, and technical assistance related to the following categories: (1) community involvement, (2) health impacts of brownfields sites, (3) science and technology relating to brownfields assessment, remediation, and site preparation, (4) integrated approaches to brownfields cleanup and redevelopment, (5) economics of brownfields cleanup and redevelopment, (6) results analysis, and (7) state, local and tribal government brownfields programs. For certain competitive funding opportunities, the Agency may limit eligibility to a particular subset of eligible applicants. The amount of financial assistance will vary, with the funding amount expected to be between \$50,000 and \$300,000 per grant. Competitive funding opportunities, the Agency may limit eligibility to a particular subset of eligible applicants. The amount of financial assistance will vary, with the funding amount expected to be between \$50,000 and \$300,000 per grant.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites.

**Applicant Eligibility:**

A general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations are also eligible for training, research, and technical assistance grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note. Under this definition, colleges, universities, and community colleges are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency

may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Tribal - an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community, and local governments, communities with Brownfields sites and their residents, community groups, universities and colleges, industry, and other public and private institutions and individuals.

**Credentials/Documentation:**

EPA may request that applicants document their non-profit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out projects. EPA may ask applicants for research projects to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. See Appendix 1 for additional information regarding SPOC's. If there is no single point of contact for the state, or the state has not selected this program for review, applicants must contact directly affected state area-wide regional and local entities prior to award. (See 40 CFR 29.7(b)).

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This is a competitive grant program. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA is required by statute to conduct this assistance program competitively. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines will be specified in Request for Applications or Request for Initial Proposals. Contact: Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, DC 20460, David Lloyd, Director. Telephone: (202) 566-2777.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. Incremental funding is subject to review and approval by the Office of Brownfields and Land Revitalization, Office of Solid Waste and Emergency Response. The funded grants and cooperative agreements are not eligible for renewal.

**Formula and Matching Requirements:**

For training, research and technical assistance grants, EPA will not require that applicants include a match or cost share unless required by the terms of a competitive announcement. Even if EPA decides not to require matching funds, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12-month basis.

However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods for training, research and technical assistance grants to 5 years.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$2,669,376; FY 08 est. \$3,000,000; and FY 09 est. \$3,000,000.

**Range and Average of Financial Assistance:**

(FY 07) \$94,701 to \$625,000; Average \$190,669.71. The performance period for these grants ranges from two to five years.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, EPA solicited proposals for training, research, and technical assistance focused on tribal issues, particularly providing assistance to tribal communities with abandoned drug labs. EPA selected a proposal for funding with an award of \$100,000 per year for up to 3 years. In FY 07, EPA provided incremental funding to projects awarded in previous years. The ongoing grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by State, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents assisting communities with brownfields projects. In FY 08, EPA solicited proposals for training, research, and technical assistance to support geographically based technical assistance centers. EPA selected four proposals with an award of \$200,000 per year for up to 5 years each. In FY 08, EPA solicited proposals for training, research, and technical assistance focused on protecting health and the environment, sustainable development, and equitable development. EPA anticipates selecting 5-10 proposals with an award of up to \$300,000 per year for up to 5 years each. In FY 08, EPA provided incremental funding to projects awarded in previous years. The ongoing grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by State, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents assisting communities with brownfields projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Brownfields training, research, and technical assistance grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. EPA will provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means. EPA will provide assistance regarding clarification of the grant proposal guidelines. Potential applicants may submit written requests to OBCR for clarification. Significant clarifications to the guidelines will be posted on the brownfields website <http://www.epa.gov/brownfields>. This is the only form of pre-application assistance available. EPA will not meet with applicants to discuss draft proposals or provide informal comments on proposals.

**Regional or Local Office:**

None.

**Headquarters Office:**

For program information contact: Office of Brownfields and Land



Revitalization, OSWER, EPA, Washington, DC 20460, David Lloyd, Director.  
Telephone: (202) 566-2777; Fax: (202) 566-1476; E-mail:  
lloyd.davidr@epa.gov.

**Web Site Address:**  
<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.815, Brownfield Job Training Cooperative Agreements; 66.817, State and Tribal Response Program Grants; 66.818, Brownfields Assessment and Cleanup Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

EPA has funded cooperative agreements for a variety of training, research, and technical assistance activities including: introductory training for communities new to brownfields activities; a brownfields resource guide for rural and small communities; research into brownfields-related job creation and job training; technical assistance linking brownfields redevelopment to improved health care access; case studies on state program best practices; reports on the use of insurance in brownfields projects; and national conference calls providing training and technical assistance to brownfields communities.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.815 BROWNFIELD JOB TRAINING COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

OFFICE OF BROWNFIELDS AND LAND REVITALIZATION, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, 42 U.S.C. 9604(k)(6), Sections 101(39) and 104(k)(6).

**OBJECTIVES:**

To recruit, train, and place unemployed and under-employed residents of brownfields-impacted communities, and by doing so, providing individuals of these communities with the skills needed to obtain sustainable employment in brownfields redevelopment and environmental related careers. By doing so, the Brownfields Job Training Program promotes the facilitation of assessment, remediation, or preparation of brownfield sites. A brownfield site is "real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant," as defined in Section 101(39) of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended (CERCLA, or Superfund). The law further defines the term "brownfield site" to include a site that "is contaminated by a controlled substance...; is contaminated by petroleum or a petroleum product excluded from the definition of 'hazardous substance'...; or is mine-scarred land." Funding Priority - Fiscal Year 2008: EPA expects to solicit proposals on an annual basis. Greater weight will be given to those applicants that exhibit comprehensive plans to leverage funding to develop an integrated job training program, those who demonstrate experience in providing job training and other job training services, and applicants who meet the ranking criteria outlined in Section "Criteria For Selecting Proposals" of this CFDA. Annual Funding Priorities: No more than 15 percent of the funding appropriated for CERCLA 104(k) grants may be used to fund research, training and technical assistance grants authorized by CERCLA 104(k)(6). By statute, 25 percent of the funding appropriated for CERCLA 104(k) grants must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to the ten statutory ranking criteria found at CERCLA 104(k)(5)(C) when evaluating applications for funding. Funding Priority - Fiscal Year 2009: EPA expects to solicit proposals on an annual basis. Greater weight will be given to those applicants who meet the ranking criteria outlined in "Criteria For Selecting Proposals" of this CFDA including those who demonstrate experience in providing job training recruitment and placement services and environmental remediation knowledge, community involvement and employer partnerships, an ability to leverage nongovernmental funding, prior experience in managing and reporting upon federal grants, a demonstration of community need and environmental justice issues, and performance measurement strategies. Annual Funding Priorities: No more than 15 percent of the funding appropriated for CERCLA 104(k) grants may be used to fund research, training and technical assistance grants authorized by CERCLA 104(k)(6). By statute, 25 percent of the funding appropriated for CERCLA 104(k) grants must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to the ten statutory ranking criteria found at CERCLA 104(k)(5)(C) when evaluating applications for funding.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. However, for brownfields job training grants, individuals are not eligible to apply. (See "Eligibility Requirements"). Grants and cooperative agreements are available to eligible entities throughout the United States. However, eligible applicants must propose to serve a community that currently receives, or has received, financial assistance for brownfields assessment, revolving loan fund, cleanup, State or tribal site-specific response program work, and/or targeted brownfield assessment grants. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grant or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites.

**Applicant Eligibility:**

Proposals will be accepted from either eligible governmental entities as defined in CERCLA Section 104(k)(1) or eligible nonprofit organizations as defined in Public Law 106-107, the Federal Financial Assistance Management Improvement Act. Eligible governmental entities include a general purpose local unit of government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of government; a governmental entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; an Indian Tribe (other than in Alaska), or an Alaskan Native Regional Corporation and an Alaska Native Village Corporation as those terms are defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601 and following); and the Metlakatla Indian Community. Intertribal consortia, except consortia comprised of ineligible Alaskan tribes, are eligible to apply as well. Eligible nonprofit organizations include any corporation, trust, association, cooperative, or other organization that is operated mainly for scientific, educational, service, charitable, or similar purpose in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operation of the organization. Workforce Investment Boards that meet these criteria may be eligible nonprofit organizations. Public and nonprofit private educational institutions are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For-profit or proprietary training organizations or trade schools are not eligible to apply. Evidence of current nonprofit status under Federal, state or tribal law must be provided at the time the proposal is submitted. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants that received a Brownfields Job Training grant from EPA in Fiscal Year 2008 (announced March 2008) are not eligible to apply in FY 09. A list of brownfields job training grants awarded in Fiscal Year 2008 can be found on the Brownfields Website, <http://www.epa.gov/brownfields/pilot.htm#previous>. However, applicants who received a brownfields job training grant in or before FY 07 are eligible to apply for this competition. Applicants must also demonstrate that their proposed project will not duplicate other federally-funded job training programs in their target area. For example, applicants must demonstrate that the proposed training project does not duplicate National Institute of Environmental Health Sciences hazardous waste worker training programs in their target community. If an applicant is listed as a recipient of an NIEHS job training grant, the applicant must demonstrate how services under this proposed project will complement but not duplicate existing federal job training activities in the target community and area. All applicants must also include OSHA 29 CFR 1910.120 40-hour Hazardous Waste Operations and Emergency Response (HAZWOPER) training as part of their proposed training curriculums. All curriculums must include this training and be provided to all individuals entering training. Please visit the following website for more details: <http://www.osha.gov/pls/oshaweb/>.

**Beneficiary Eligibility:**

Job training grants will provide environmental job training and help individuals of brownfields neighborhoods take advantage of job opportunities created as a result of the assessment and cleanup of brownfields properties. In addition, this program benefits industry by increasing the supply of skilled labor for firms that engage in environmental assessment and cleanup.

**Credentials/Documentation:**

EPA requires that applicants document their nonprofit status at the time of

application. The Agency may also request that applicants demonstrate that they have appropriate background, academic training, experience in fields, and necessary equipment to carry out training projects.

**Preapplication Coordination:**

This is a competitive grant program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" in Section 7 of the Application Guidelines for Brownfields Job Training Grants. This program is excluded from coverage under E.O. 12372. (See EPA's Federal Register Notice from November 26, 1986, to exempt hazardous waste training programs from intergovernmental review.)

**Application Procedure:**

By statute, EPA must award Brownfields Job Training grants competitively. EPA will specify application procedures in Requests for Initial Proposals or Request for Applications. As stipulated in the Requests for Applications, successful grant applicants must provide, in addition to the SF 424, a Dun and Bradstreet Data Universal Numbering System (DUNS) number, which is now required when applying for federal grants or cooperative agreements on or after October 1, 2003. For more information go to: <http://www.grants.gov>. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Final approval of applications for job training grants and supporting documentation is made by EPA. Award of grant funds are made by EPA Regional Award Officials.

**Deadlines:**

Proposal deadlines for selection of job training grant projects are announced in Requests for Initial Proposals and/or Requests for Applications. The FY 09 Request for Applications is anticipated to be issued in June 2008 and the closing date will follow approximately 45-60 days following the issuing date.

**Range of Approval/Disapproval Time:**

For job training grants, the range of approval/disapproval time will be approximately ninety days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities and availability of funds. Renewals and extensions of funding are not available.

**Formula and Matching Requirements:**

For the Brownfields Job Training Grant, EPA does not require that applicants include a match or cost share. However, evidence of leveraged funds is encouraged. Furthermore, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance. EPA may take these commitments into account in ranking proposals. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The performance period for job training grant funds is generally two years. Brownfield grant cooperative agreements may be amended to provide additional funding and additional time for grant recipients demonstrating significant success in brownfields training and redevelopment efforts depending upon the availability of funding. Proposal funding is not guaranteed at any stage of the proposal process until the Cooperative Agreement, including workplan, is completed and the final award is made. All awards are made in a lump sum.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the

Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$2,342,813; FY 08 \$2,597,050; and FY 09 est \$2,500,000.

**Range and Average of Financial Assistance:**

(FY 07) \$171,250 to \$200,000; average \$195,234. (FY 08) \$197,051 to \$200,000; average \$199,773. For job training grants, an eligible entity may apply up to \$200,000. The performance period for these grants is generally 2 years.

**PROGRAM ACCOMPLISHMENTS:**

To date, EPA has funded 131 brownfields job training grants totaling approximately \$25 million. In FY 07, EPA received thirty-eight proposals and awarded twelve new cooperative agreements. In FY 08, EPA received 38 proposals and awarded thirteen new cooperative agreements. It is anticipated that 12 to 13 cooperative agreements will be awarded for FY 09. As of spring 2008, more than 4,200 people had completed training; and more than 2,700 obtained employment in the environmental field with an average starting hourly wage of \$13.97.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For job training grants, costs must be in accordance with OMB Circulars Nos. A-87 (State, tribal and local governments), A-21 (universities) and A-122 (nonprofit organizations), depending on the recipient. Recipients must comply with 40 CFR Part 30 for universities and nonprofit organizations, and Part 31 for states, tribes, and local governments. In addition, recipients must comply with applicable provisions of EPA training grant regulations at 40 CFR Part 45. EPA will also provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means.

**Regional or Local Office:**

EPA Regional Offices are listed in Section 7 in the Application Guidelines for Brownfields Job Training Grants.

**Headquarters Office:**

For program information contact: Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, DC 20460, Joseph Bruss, Telephone: (202) 566-2772, Fax: (202) 566-1476, E-mail: [bruss.joseph@epa.gov](mailto:bruss.joseph@epa.gov).

**Web Site Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.814, Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements; 66.817, State and Tribal Response Program Grants; 66.818, Brownfields Assessment and Cleanup Cooperative Agreements.

**EXAMPLES OF FUNDED PROJECTS:**

In Fiscal Years 2007 and 2008, the EPA Brownfields Program awarded cooperative agreements to a variety of eligible entities and nonprofit organizations to provide local residents with the skills needed to gain employment in careers related to the assessment and cleanup of brownfields sites. These cooperative agreements included training and instruction in a variety of subjects, including: OSHA health and safety training, HAZWOPER and HAZMAT certification, lead and asbestos abatement, forklift operations, phytoremediation, mold remediation, site assessment, sampling, field investigation, instrumentation, and treatment technologies. Furthermore, these cooperative agreements provided brownfields job training programs the funds needed to perform recruitment and community outreach to residents in low-income and minority neighborhoods impacted by brownfields sites.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.816 HEADQUARTERS AND REGIONAL UNDERGROUND STORAGE TANKS PROGRAM

### FEDERAL AGENCY:

OFFICE OF UNDERGROUND STORAGE TANKS, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

### AUTHORIZATION:

Solid Waste Disposal Act of 1976, Section 8001(a) and (b) as amended by the Hazardous and Solid Waste Amendments of 1984 (Public Law 98-616); the Safe Drinking Water Act Amendments of 1986 (Public Law 99-339); and the Superfund Amendments and Reauthorization Act of 1986 (Public Law 99-499), 42 U.S.C. 6991; Resource Conservation and Recovery Act of 1976.

### OBJECTIVES:

To support activities that promote the prevention, compliance, and identification of underground storage tanks, and to support activities that promote corrective action, enforcement and management of releases from underground storage tank systems. Funding Priority - Fiscal Year 2008: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal communication, assistance and training on UST/LUST program implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. Funding Priority - Fiscal Year 2009: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal communication, assistance and training on UST/LUST program implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Use Restrictions are that funds awarded under Section 8001(a) and (b) of RCRA must be used for projects that may include the following types of activities: educational materials, surveys, training, studies, demonstrations, investigations, special projects and the development or use of methods to improve UST systems management and performance to reduce the actual and potential risks to human health and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>."

### Applicant Eligibility:

These assistance agreements are only available to public authorities (State, interstate, intrastate, agencies designated by States or Territorial Governors to receive UST notifications, federally-recognized Tribes and Intertribal Consortia, and local), public agencies and institutions; private non-profit organizations and agencies that meet the requirements of Section 8001(a) and (b) of the Solid Waste Disposal Act. Profit-making organizations and the general public are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

State and local governments, territories and possessions, interstate agencies, Tribes, Intertribal Consortia, members of the regulated community and residents in areas impacted by federally regulated underground storage tanks.

### Credentials/Documentation:

EPA may request that applicants document their nonprofit status.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Non-competitive proposals generally must be received prior to May 15 for funding in applicable fiscal year. For competitive awards, deadlines will be specified in the Requests for Initial Proposals or the Requests for Applications.

### Range of Approval/Disapproval Time:

Approximately 180 days.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

### Formula and Matching Requirements:

The program has no statutory formula. Cost sharing is not required, unless noted in request for applications or initial proposals. Unsolicited applications for research funding may require cost sharing under the general provisions of EPA's Appropriations legislation.

### Length and Time Phasing of Assistance:

The length and time phasing of the assistance agreement shall be determined prior to the award. Assistance agreements are awarded either as non-competitive or competitive, subject to EPA Order 5700.5A1. Assistance agreements are awarded on a single-year basis, three-year basis, or five-year basis. The funding is quarterly to the recipient according to the recipient's accounting requests, e.g., quarterly, monthly, etc.

### Reports:

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

### Audits:

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

### Records:

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

### Account Identification:

EPM 68-0108-0-1-304; LUST 20-8153-0-7-304.

### Obligations:

EPM: FY 07 \$267,794; FY 08 est. \$746,000; and FY 09 est. \$750,000; LUST: FY 07 \$600,000; FY 08 est. \$947,000; and FY 09 est. \$700,000.

### Range and Average of Financial Assistance:

FY 07 Range \$268,000 - \$600,000/year; Average \$434,000/year. FY 08 Estimated Range \$200,000 - \$750,000/year; Average \$475,000/year. FY 09 Estimated Range \$200,000 - \$750,000/year; Average \$475,000/year.

### PROGRAM ACCOMPLISHMENTS:

For the two non-competitive FY 07 assistance agreements awarded, program outcomes included assisting the states in ensuring fewer confirmed UST releases and completing LUST cleanups. For the three FY 08 assistance agreements already awarded, two of which were awarded competitively, one was awarded



non-competitively, and two non-competitive assistance agreements yet to be awarded, program outcomes will include assisting the states in ensuring fewer confirmed UST releases and completing LUST cleanups.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30, 31, and 34); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA, on a subscription basis. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for State and local governments and Indian Tribes, and OMB Circular No. A-122 for nonprofit institutions.

#### **Regional or Local Office:**

For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers, see <http://www.epa.gov/OUST/regions/index.htm>.

#### **Headquarters Office:**

Lynn DePont, 1200 Pennsylvania Avenue, N.W., Mail Code 5401P, Washington, DC 20460, Telephone: (703) 603-7148, Fax: (703) 603-0175; E-mail: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov).

#### **Web Site Address:**

<http://www.epa.gov/OUST/>.

#### **RELATED PROGRAMS:**

66.804, State and Tribal Underground Storage Tanks Program; 66.805, Leaking Underground Storage Tank Trust Fund Program.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) Training Support: (A) Provide underground storage tanks (UST) and leaking underground storage tanks training activities for states and tribes, e.g., the Annual Tanks Conference, and training opportunities for states and tribes on effective implementation strategies and the tools utilized among the states with regulatory programs underway, program initiatives, compliance with UST systems, and UST releases. (B) Provide cross-media assistance in sponsoring workshops to states for source water issues, and coordinate activities directly with states and tribes related to groundwater and source water impacts resultant from underground storage tanks. (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems. (3) State/Federal Partnerships: Provide technical assistance and forums for information exchanges to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. (4) Studies: Gather information and provide a summary on technical issues, e.g., study on the impact of using on-site measurement technologies for site assessment and contaminant conceptualization at petroleum release sites. (5) Disseminate Technical Information to states, tribes and Intertribal Consortia on UST/LUST program implementation.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## **66.817 STATE AND TRIBAL RESPONSE PROGRAM GRANTS**

#### **FEDERAL AGENCY:**

OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE,  
ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 128(a), as amended, Public Law 107-118; Small Business Liability Relief and Brownfields Revitalization Act.

#### **OBJECTIVES:**

EPA's CERCLA Section 128(a) grant program funds activities that establish or enhance state and tribal response program capacity, capitalize revolving loan funds (RLFs), and support insurance mechanisms. The goals of this funding are to provide financial support for elements of an effective state or tribal response program as specified in CERCLA Section 128 and to ensure that states and tribes maintain a public record of sites included in their programs. Funding Priority - Fiscal Year 2008: In FY 2008, funding will be prioritized as follows: (1) Funding for program development activities to establish or enhance the four elements of a state or tribal response program and to enable states and tribes to comply with the public record requirement, including activities related to institutional controls. (States and tribes that have established one or more of the four elements will not be prejudiced in funding distributions if their work plan includes activities that enhance the four elements. States with Voluntary Cleanup Program Memorandum of Agreement will not be prejudiced in funding distributions if their work plan does not include tasks related to establishing or enhancing the four elements.) (2) Funding for program development activities to enhance the response program or the cleanup capacity of a state or tribal response program. (3) Funding for site-specific activities at eligible brownfields sites. (4) Funding for environmental insurance mechanisms. (5) Funding to capitalize brownfields cleanup RLFs.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

States and tribes can use Section 128 funding to (1) establish or enhance four statutory elements of a response program, as per CERCLA Section 128(a)(2), (2) capitalize a Revolving Loan Fund program for brownfields cleanup, pursuant to CERCLA Section 104(k)(3), (3) purchase environmental insurance or develop a risk sharing pool, an indemnity pool, or insurance mechanism to provide financing for response actions under their programs, and (4) maintain and update, at least annually, a public record of sites, pursuant to CERCLA Section 128(b), that includes the name and location of sites at which response actions have been completed during the previous year and the name and location of sites at which response actions are planned to be addressed in the next year; (5) conduct limited site-specific activities; "Establish" includes activities necessary to build the foundation for the four elements of a state or tribal response program or may also include activities that keep their program at a level that meets the four elements. "Enhance" is related to activities that add to or improve a state or tribal response program or increase the number of sites at which response actions are conducted under a state or tribal response program. States and tribes may use Section 128(a) funds for activities that establish and enhance their response programs, even if their response programs address petroleum-contamination. Restrictions apply to site-specific activities, such as assessment and cleanup. Assessments and cleanups must be conducted at eligible brownfields sites, as defined in CERCLA Section 101(39).

#### **Applicant Eligibility:**

States (as defined in CERCLA Section 101(27)) and tribes (as defined in CERCLA Section 101(36)) are eligible for funding under Section 128(a). To be eligible to receive funding under CERCLA Section 128(a), a state or tribe must demonstrate that its response program includes, or is taking reasonable steps to include, the four elements of a response program. States or tribes that are parties to voluntary response program memoranda of agreement (MOAs) are automatically eligible for Section 128(a) funding. Additionally, states and tribes, including those with MOAs, must maintain and make available to the public a record of sites at which response actions have been completed in the previous year and are planned to be addressed in the upcoming year in order to qualify for Section 128(a) funding.

#### **Beneficiary Eligibility:**

Beneficiaries include individuals living in recipient states', territories', and tribes' jurisdiction.

#### **Credentials/Documentation:**

States and tribes must provide documentation that they have met or are making reasonable progress towards meeting the four statutory elements, or have a Voluntary Cleanup Program Memorandum of Agreement with EPA, and have established and are maintaining the public record. States and tribes must define their "Section 128(a) response program", and may designate a component of the state or tribe that will be EPA's primary point of contact for negotiations on their proposed work plan.

#### **Preapplication Coordination:**

Annually, states and tribes will work with the EPA regional offices to develop their work plans and funding requests for the upcoming year. Each cooperative agreement must have an annual budget period tied to an annual work plan. Annual funding guidance provides the requirements for submitting requests. No specific forms are required. Informal assistance is available through regional offices. States are subject to requirements under E.O. 12372, "Intergovernmental Review of Federal Programs" as implemented in 40 CFR Part 29. Tribes are exempt. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

States and tribes submit requests to EPA regional offices for funding on an annual basis by submitting a proposed work plan. Annual funding guidance provides the information that should be submitted to the regional office. Once initial requests are submitted, EPA headquarters consolidates requests and provides a final allocation based on factors provided in the funding guidance. No specific form is required for submission of request. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

EPA regional offices will negotiate and enter into a single cooperative agreement with interested states or tribes. States and tribes may distribute these funds among the appropriate state and tribal agencies to meet their specific needs within their state or tribal agency structures. At least annually, the regional offices must verify that a public record as described above exists for each of the state or tribal response programs that are receiving funding.

#### **Deadlines:**

EPA will accept requests for funding from December 1, 2007 through January 31, 2008.

#### **Range of Approval/Disapproval Time:**

120 days from completed negotiation of cooperative agreement.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Each State and tribal cooperative agreement will be evaluated on an annual basis to ensure that the requirements to receive funding are being met. If funding is not used, it may be carried over into the next budget period.

**Formula and Matching Requirements:**

States and tribes are not required to provide matching funds for grants awarded under Section 128(a). However, if the state or tribe uses Section 128(a) funds to capitalize a Brownfields RLF under CERCLA 104(k)(3), a 20% cost share is required on the amount of Section 128(a) funds used to capitalize an RLF. This program has no statutory formula, but does take into account use of prior years' funding in determining future awards.

**Length and Time Phasing of Assistance:**

EPA regions will evaluate cooperative agreements annually to ensure that requirements to receive funding are being met. EPA regional offices will determine the project period for each cooperative agreement. These may be for multiple years depending on the regional office's grants policies. Each cooperative agreement must have an annual budget period tied to an annual work plan. Funds are awarded on an annual basis and may be drawn down according to regional financial processes.

**Reports:**

States and tribes will provide progress reports under 40 CFR 31.40, in accordance with terms and conditions of the cooperative agreement negotiated with EPA regional offices. As a minimum, state or tribal progress reports must include both a narrative discussion and performance data relating to the state's or tribe's accomplishments with Section 128(a) funding. Depending upon the activities included in the state's or tribe's scope of work, an EPA regional office may request that a progress report include other elements as described in the Grant Funding Guidance for State and Tribal Response Programs. The regional offices may also request other information be added to the progress reports, as appropriate, to properly document activities described by the cooperative agreement work plan.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

In addition to the statutory public record requirement, states and tribes must comply with record keeping requirements of 40 CFR Part 31 and any applicable requirements under state and tribal laws. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions remain following the three-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

FY 07 \$49,300,000; FY 08 \$49,800,000; and FY 09 est. \$49,300,000.

**Range and Average of Financial Assistance:**

Most fiscal years range from \$50,000 to \$1,500,000; average approximately \$500,000. For FY 08, funding request are limited to a maximum of \$1,500,000 per State or tribe.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 109 requests for funding were received. In FY 08, 110 requests for funding were received. In FY 07, 104 states and tribes were able to establish and enhance their response programs as a result of funding support from this program. In FY 08, 107 states and tribes were able to establish and enhance their response programs as a result of funding support from this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31; OMB Circular A-87 applies to the program. EPA anticipates that it will annually publish national Grant Funding Guidance for State and Tribal Response Programs. Fiscal Year 2008 guidance may be found at [www.epa.gov/brownfields](http://www.epa.gov/brownfields).

**Regional or Local Office:**

EPA Regional State and Tribal Response Program Coordinators: Region 1: Diane Kelley, Phone: (617) 918-1424, Fax: (617) 918-1291, [kelly.diane@epa.gov](mailto:kelly.diane@epa.gov); Region 2: Ramon Torres, Phone: (212) 637-4309, Fax: (212) 637-4360, [dandrea.larry@epa.gov](mailto:dandrea.larry@epa.gov); Region 3: Tom Stolle, Phone: (215) 814-3129, Fax: (215)814-5518, [stolle.tom@epa.gov](mailto:stolle.tom@epa.gov); Region 4: Rosemary

Patton, Phone: (404) 562-8866, Fax: (404) 562-8628, [patton.rosemary@epa.gov](mailto:patton.rosemary@epa.gov); Region 5: Joseph Dufficy, Phone: 312-886-1960, Fax: (312) 886-7190, [dufficy.joseph@epa.gov](mailto:dufficy.joseph@epa.gov); Region 6: Monica Smith, Phone: (214)-665-6780, Fax: (214) 665-6660, [smith.monica@epa.gov](mailto:smith.monica@epa.gov); Region 7: Susan Klein, Phone: (913) 551-7786, Fax: (913) 551-8688, [klein.susan@epa.gov](mailto:klein.susan@epa.gov); Region 8: Daniel Heffernan, Phone: (303) 312-7074, Fax: (303) 312-6955, [russo.rebecca@epa.gov](mailto:russo.rebecca@epa.gov); Region 9: Carolyn Douglas, Phone: 415-972-3092, Fax: (415) 947-3528, [douglas.carolyn@epa.gov](mailto:douglas.carolyn@epa.gov); Region 10: Susan Morales, Phone: (206) 553-7299, Fax: (206) 553-0124, [morales.susan@epa.gov](mailto:morales.susan@epa.gov).

**Headquarters Office:**

David R. Lloyd, Director, Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, DC 20460. Telephone: (202) 566-2777. E-mail: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov). Fax: (202) 566-2757.

**Web Site Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Program development activities to establish the four elements of a state or tribal response program, including conducting an inventory of brownfields sites; developing or enhancing oversight and enforcement mechanisms; establishing mechanisms to approve cleanup plans; and providing opportunities and resources for public involvement. Establishing and maintaining a public record of sites, including making information available on the Internet and maintaining and monitoring institutional controls; capitalizing an RLF for brownfields cleanup; purchasing environmental insurance; developing legislation, regulations, procedures, and guidance that would establish or enhance the administrative and legal structure of their response programs; and undertaking site specific related activities, such as conducting assessments at selected brownfields sites and auditing completed site cleanups in states that administer a licensed site professional program.

**CRITERIA FOR SELECTING PROPOSALS:**

EPA will not fund this program through competitive grant solicitations. Section 128(a) funds will be allocated to eligible states and tribes in accordance with the national Grant Funding Guidance for State and Tribal Response Programs.

**66.818 BROWNFIELDS ASSESSMENT AND CLEANUP COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

OFFICE OF BROWNFIELDS AND LAND REVITALIZATION, OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

The Small Business Liability Relief and Brownfields Revitalization Act of 2002, (Pub. L.No. 107-118, 115 stat. 2356, "the Brownfields Law") Sections 101(39) and 104(k) of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended by, 42 U.S.C. 9601(39) and 42 U.S.C.9604(k).

**OBJECTIVES:**

Brownfields sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. The objectives of the brownfield assessment, revolving loan fund and cleanup cooperative agreements (project grants) are to provide funding: (1) to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites; (2) to capitalize a revolving loan fund (RLF) and provide subgrants to carry out cleanup activities at brownfield sites; and (3) to carry out cleanup activities at brownfield sites that are owned by the grant recipient. Funding Priority - Fiscal Year 2008: By statute, 25 percent of the funding for this program must be used for characterization, assessment, and cleanup of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to statutory ranking criteria found at CERCLA 104(k)(5)(C) (see CRITERIA FOR SELECTING PROPOSALS) when evaluating applications for funding.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

For site specific projects, the site must meet the definition of a brownfields site found at CERCLA 101(39). As part of the application process, EPA provides guidance to assist grant applicants in determining whether sites meet this definition. (1) The brownfields grants may be used to address sites contaminated by petroleum and hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum). (2) Brownfields assessment grant funds may be used to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites. (3) An RLF project grant recipient must use at least 60 percent of the awarded funds to capitalize and implement a revolving loan fund; an RLF project grant recipient may use no more than 40 percent of the awarded funds for cleanup subgrants and may not subgrant to itself. Revolving loan fund project grants generally are used to provide no-interest or low-interest loans for

brownfields cleanups. (4) An RLF project grant recipient may use its funds to award subgrants to other eligible entities, including nonprofit organizations, for brownfields cleanups on sites owned by the subgrantee; (5) Brownfields cleanup grant funds must be used to carry out cleanup activities at brownfield sites that are owned by the grant recipient. (6) Costs incurred under CERCLA 104(k) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites. All grants under 66.818 are awarded on a discretionary basis. For information on statutory limits on the amount of funding, see Range and Average of Financial Assistance, below. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Eligibility for Assessment, Revolving Loan Fund, and Cleanup Grants: a general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations that own the property are also eligible for cleanup grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 (Note: Under this definition, colleges, universities, and community colleges are eligible to apply.) However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply for direct funding from EPA. However, for profit organizations may apply for loans made by eligible entities with RLF capitalization grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Generally, those eligible entities identified above will benefit from the brownfields grant actions. Specifically, individuals and commercial organizations in brownfields grant communities will benefit from brownfields assessment, cleanup, and revitalization funding. New strategies for promoting environmental cleanup lessons from these grants will provide a growing base of information and knowledge for other communities across the country seeking partnerships with stakeholders to coordinate issues related to brownfields and leverage additional opportunities for redevelopment.

**Credentials/Documentation:**

EPA may require that nonprofit organizations or eligible entities other than states, tribes, or general purpose units of local government provide documentation of eligibility. EPA may also require that applicants provide site specific information to determine whether a site qualifies as a Brownfields site under CERCLA 101(39).

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify application procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify award procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. For competitive awards, EPA

will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

EPA guidelines for Requests for Proposals or Requests for Applications will specify application deadlines. Alternately, contact the headquarters or individual regional office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Recipients of RLF grants may apply for additional funding on a non-competitive basis during any year after the first year the recipient receives an RLF grant. To seek additional funding, RLF grant recipients should contact their EPA Regional Office. In awarding this additional funding the Agency will consider: (I) the number of sites and number of communities that are addressed by the revolving loan fund; (II) the demand for funding by eligible entities that have not previously received an RLF grant; (III) the demonstrated ability of the eligible entity to use the revolving loan fund to enhance remediation and provide funds on a continuing basis; and (IV) Other similar factors, including the availability of funds and the recipient's performance history. Recipients of assessment and cleanup grants generally do not receive additional funding on a non-competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable for brownfield assessment grants. Under CERCLA 104(k)(9)(B)(iii) revolving loan fund and cleanup grants require a 20 percent cost share, which may be in the form of a contribution of money, labor, material, or services, and must be for eligible and allowable costs. An RLF or cleanup grant applicant may request a waiver of the 20 percent cost share requirement based on financial hardship.

**Length and Time Phasing of Assistance:**

The performance period for brownfields assessment and cleanup grant funds is three years. The performance period for brownfields revolving loan fund grants is generally five years. Grants are generally announced nationally and awarded by EPA Regional Offices. The Regional Offices work with the applicants to negotiate a workplan and award the cooperative agreement.

**Reports:**

Quarterly progress reports, property profiles, notification of significant development, property inventory reports, procurement reports, a final report and financial reports may be required if authorized by 40 CFR Parts 30 and 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Record Retention Requirements of 40 CFR Part 30 (non-profits and universities) and 40 CFR Part 31 (governmental units) are applicable, depending upon the identity of the recipient and the program funded.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

In FY 2007, EPA announced 294 grants totaling \$70.7 million. These included 189 assessment grants, 92 cleanup grants, and 13 Revolving Loan Fund (RLF) grants. In FY 2008, EPA announced the selection of 314 grants totaling over \$74 million. These include 194 assessment grants, 108 cleanup grants, and 12 revolving loan fund grants and FY 09 est not available.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: (1) For assessment grants, an eligible entity may apply for up to \$200,000 to address sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$200,000 to address sites contaminated by petroleum; most applicants receive this amount. Applicants may request a waiver of the \$200,000 limit up to \$350,000 for sites contaminated by hazardous substances, pollutants, or contaminants (including



hazardous substances co-mingled with petroleum) and up to \$350,000 to address sites contaminated by petroleum. Waiver requests must be based on the anticipated level of contamination, size, or ownership status of the site. These limits are mandatory under CERCLA 104(k)(4)(A). (2) For revolving loan fund grants, an eligible entity may apply for up to \$1,000,000 for an initial RLF grant. This limit is mandatory under CERCLA 104(k)(4)(A). In addition, coalitions of eligible entities may apply together under one recipient for up to \$1,000,000 per eligible entity. (3) For cleanup grants, an eligible entity may apply for up to \$200,000 per site. The \$200,000 per site limit is mandatory under CERCLA 104(k)(3)(A). Approximate average financial assistance is \$200,000 for cleanup grants, \$200,000 for assessment grants and \$1 million per entity for revolving loan fund grants.

#### **PROGRAM ACCOMPLISHMENTS:**

This grant program replaced CFDA 66.811 in FY2003. EPA's brownfields assistance has led to more than \$11.3 billion in public and private investment in cleanup and redevelopment, helped create more than 48,000 jobs, and resulted in the assessment of more than 11,000 properties and the cleanup of more than 200 properties. In Fiscal Year 2007, EPA announced 294 grants, totaling \$70.7 million. These included: (a) 189 assessment grants totaling \$36.8 million, to assess and plan for eventual cleanup at one or more brownfield sites; (b) 92 cleanup grants totaling \$17.9 million, for recipients to clean up brownfield sites they own; and (c) 13 revolving loan fund grants totaling \$16 million, which communities use to make low interest loans for the cleanup of brownfield sites. In Fiscal Year 2008, EPA announced 314 grants, totaling over \$74 million. These included: (a) 194 assessment grants totaling \$38.7 million to assess and plan for cleanup at one or more brownfield sites; (b) 108 cleanup grants totaling \$19.6 million for recipients to clean up brownfield sites they own; and (c) 12 revolving loan fund grants totaling \$15.7 million that communities can use to make low interest loans for the cleanup of brownfield sites.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For brownfields assessment, revolving loan fund, and cleanup grants, costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments or A-122 for nonprofit organizations, and OMB Circular A-21 for universities. Recipients must comply with 40 CFR Part 30 (nonprofit organizations) or 40 CFR Part 31 (governmental entities). The Agency will periodically publish guidance for brownfields grant proposals.

#### **Regional or Local Office:**

**Regional Brownfields Coordinators:** EPA Region 1, New England, Diane Kelley, One Congress Street (HBT), Boston, MA 02114-2023, Phone: (617) 918-1424, Fax (617) 918-1291, Kelley.Diane@epa.gov; EPA Region 2, Ramon Torres, 290 Broadway, 18th Floor, New York, NY 10007, Phone: (212) 637-4309, Fax: (212) 637-4360, torres.ramon@epa.gov; EPA Region 3, Tom Stolle, 1650 Arch Street, Philadelphia, Pennsylvania 19103, Phone: (215) 814-3129, Fax: (215) 814-5518, stolle.tom@epa.gov; EPA Region 4, Mike Norman, Sam Nunn Atlanta Federal Center, 61 Forsyth Street, Waste Management Division, Brownfields/State Support Section, Atlanta, GA 30303, Phone: (404) 562-8792, Fax: (404) 562-8628, norman.michael@epa.gov; EPA Region 5, Deborah Orr, 77 West Jackson Boulevard, Chicago, Illinois 60604-3507, Phone: (312) 886-7576, Fax: (312) 886-7190, orr.deborah@epa.gov; EPA Region 6, Monica Chapa Smith, First Interstate Bank Tower at Fountain Place, 1445 Ross Avenue, Suite 1200 (6SF-PB), Dallas, Texas 75202-2733, Phone: (214) 665-6780, Fax: (214) 665-6660, smith.monica@epa.gov; EPA Region 7, Susan Klein, 901 N. 5th Street, Kansas City, Kansas 66101, Phone: (913) 551-7786, Fax: (913) 551-8688, klein.susan@epa.gov; EPA Region 8, Dan Heffernan, 1595 Wynkoop Street (EPR-B), Denver, Colorado 80202-1129, Phone: (303) 312-7074, Fax: (303) 312-6067, heffernan.daniel@epa.gov; EPA Region 9, Debbie Schechter, 75 Hawthorne Street, SFD 1-1, San Francisco, California 94105, Phone: (415) 972-3093, Fax: (415) 947-3520, schechter.debbie@epa.gov; EPA Region 10, Susan Morales, 1200 Sixth Avenue, Seattle, Washington 98101, Phone: (206) 553-7299, Fax: (206) 553-0124, morales.susan@epa.gov.

#### **Headquarters Office:**

David Lloyd, Director, Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, DC 20460, Telephone: (202) 566-2777, Fax: (202) 566-1476, Email: Lloyd.DavidR@epa.gov. Staff contact, Becky Brooks (202) 566-2762, E-mail: Brooks.Becky@epa.gov.

#### **Web Site Address:**

<http://www.epa.gov/brownfields>.

#### **RELATED PROGRAMS:**

66.814, Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements; 66.817, State and Tribal Response Program Grants; 66.815, Brownfield Job Training Cooperative Agreements.

#### **EXAMPLES OF FUNDED PROJECTS:**

This competitive grant program provides funding for three different kinds of grants: assessment grants, revolving loan fund grants, and cleanup grants. Assessment grants provide funding for a grant recipient to inventory, characterize, assess, and conduct cleanup and redevelopment planning and community involvement related to brownfield sites. Revolving Loan Fund grants provide funding for a grant recipient to capitalize a revolving loan fund and to provide subgrants to carry out cleanup activities at brownfield sites. Cleanup grants provide funding for a grant recipient to carry out cleanup activities at

brownfield sites. Below are some examples of projects that were selected for funding in the past: In Fiscal Year 2004, EPA provided a brownfields assessment grant totalling \$200,000 in hazardous substances funding. Hazardous substances grant funds will be used to assess mine-scarred properties in 4,000 acres of a watershed, in order to prioritize properties for public acquisition and cleanup. Funds will be used for Phase I site assessments, Phase II site assessments on three to five high-priority sites, community outreach, environmental liability analysis, and GIS mapping. One significant mine will be assessed for possible acquisition, cleanup, and reuse as a historic mining museum and visitor center. In Fiscal Year 2004, EPA provided a brownfields assessment grant totalling \$200,000 in petroleum funding. Petroleum grant funds will be used to identify and assess petroleum-contaminated sites and underground storage tanks. Grant funds will also be used to perform approximately four Phase I assessments and to develop redevelopment plans. In Fiscal Year 2003, EPA provided a brownfields revolving loan fund grant, which included \$700,000 in hazardous substances funding and \$300,000 in petroleum funding. The grant will be used to capitalize a revolving loan fund from which the recipient will provide loans and subgrants to conduct cleanup activities. The recipient's jurisdiction contains over 3,600 brownfields. They will use a community-based process to select sites. Sites throughout the county contaminated by hazardous substances and petroleum will be considered. In Fiscal Year 2004, EPA selected an Indian Community for a brownfields cleanup grant totalling \$200,000 in petroleum funding. The grant will be used to clean up petroleum contamination from leaking underground storage tanks. Plans for site redevelopment include a Diabetes Education and Resource Center. In Fiscal Year 2004, EPA provided a brownfields assessment grant totalling \$200,000 in hazardous substances funding. Grant funds will be used to complete an assessment of hazardous substances co-mingled with petroleum contamination at a 39-acre sawmill adjacent to the recipient city's central business district. Funds also will be used for community involvement and development of a cleanup plan.

#### **CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Selection criteria will be outlined in the proposal guidelines and will be based on a system that includes the following ten statutory ranking criteria: (i) The extent to which a grant will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse, of an area in which one or more brownfield sites are located. (ii) The potential of the proposed project or the development plan for an area in which one or more brownfield sites are located to stimulate economic development of the area on completion of the cleanup. (iii) The extent to which a grant would address or facilitate the identification and reduction of threats to human health and the environment, including threats in areas in which there is a greater-than-normal incidence of diseases or conditions (including cancer, asthma, or birth defects) that may be associated with exposure to hazardous substances, pollutants, or contaminants. (iv) The extent to which a grant would facilitate the use or reuse of existing infrastructure. (v) The extent to which a grant would facilitate the creation of, preservation of, or addition to a park, a greenway, undeveloped property, recreational property, or other property used for nonprofit purposes. (vi) The extent to which a grant would meet the needs of a community that has an inability to draw on other sources of funding for environmental remediation and subsequent redevelopment of the area in which a brownfield site is located because of the small population or low income of the community. (vii) The extent to which the applicant is eligible for funding from other sources. (viii) The extent to which a grant will further the fair distribution of funding between urban and nonurban areas. (ix) The extent to which the grant provides for involvement of the local community in the process of making decisions relating to cleanup and future use of a brownfield site. (x) The extent to which a grant would address or facilitate the identification and reduction of threats to the health or welfare of children, pregnant women, minority or low-income communities, or other sensitive populations. In addition, applicants will be required to demonstrate that site specific activities are carried out at sites that meet the definition of a Brownfields site at CERCLA 101(39).

## **66.926 INDIAN ENVIRONMENTAL GENERAL ASSISTANCE PROGRAM (GAP)**

(GAP for Tribes)

#### **FEDERAL AGENCY:**

AMERICAN INDIAN ENVIRONMENTAL OFFICE, OFFICE OF WATER, ENVIRONMENTAL PROTECTION AGENCY

#### **AUTHORIZATION:**

Indian Environmental General Assistance Program Act of 1992; Public Law 102-497, Section 11, 42 U.S.C. 4368b, as amended; Public Law 103-155.

#### **OBJECTIVES:**

To provide general assistance program (GAP) grants to Indian tribal governments and intertribal consortia to build capacity to administer

environmental regulatory programs on Indian lands, and provide technical assistance from EPA to Indian tribal governments and intertribal consortia in the development of multimedia programs to address environmental issues on Indian lands. Funding Priority - Fiscal Year 2008: Funding is for the purposes of planning, developing, and establishing the administrative, technical, legal, enforcement, communications, and environmental education and outreach structure of a tribal environmental program. In FY 08, the goal is to provide funding and technical assistance so that approximately 500 or 90 percent of federally-recognized tribal governments and intertribal consortia have at least one person working in their community to build a strong, sustainable environment for the future. The vital work performed includes locally assessing the status of a tribe's environmental condition, utilizing available federal information, building an environmental program tailored to the tribe's needs, developing environmental education programs, developing solid waste management plans, assisting in the building of tribal environmental capacity, and alerting EPA to serious conditions involving immediate public health and ecological health. Funding Priority - Fiscal Year 2009: Funding is for the purposes of planning, developing, and establishing the administrative, technical, legal, enforcement, communications, and environmental education and outreach structure of a tribal environmental program. In FY 08, the goal is to provide funding and technical assistance so that approximately 500 or 90 percent of federally-recognized tribal governments and intertribal consortia have at least one person working in their community to build a strong, sustainable environment for the future. The vital work performed includes locally assessing the status of a tribe's environmental condition, utilizing available federal information, building an environmental program tailored to the tribe's needs, developing environmental education programs, developing solid waste management plans, assisting in the building of tribal environmental capacity, and alerting EPA to serious conditions involving immediate public health and ecological health.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Activities eligible for funding under this program are those for planning, developing, and establishing capability to implement environmental protection programs including development of solid and hazardous waste programs. General assistance agreements offer the opportunity for a tribe to develop an integrated environmental program, develop the capability to manage specific programs and establish a core program for environmental protection. These assistance agreements provide the opportunity for the tribes to define and develop administrative and legal infrastructures; to conduct assessments, monitoring, planning, and other actions; and to undertake additional activities within a simplified administrative framework. The primary purpose of these assistance agreements is to support the development of elements of a core environmental program, such as: providing for tribal capacity-building to assure an environmental presence for identifying programs and projects, including developing proposals for environmental program grants and managing environmental work; fostering compliance with Federal environmental statutes by developing appropriate tribal environmental programs, ordinances, and services; and establishing a communications capability to work with Federal, State, local and other tribal environmental officials. Restrictions: The principal focus of this program is on the development of general tribal environmental capability. Assistance will be provided under this program only for activities which the agency determines are appropriate to carry out the purposes of the Act. No single grant awarded under this program may be for an amount exceeding ten percent of the total annual funds appropriated under Section (h) of the Act. As with many of EPA's grants to States and Tribes, GAP grants may now be combined with one or more other EPA grants into a Performance Partnership Grant for administrative savings and, with EPA concurrence, programmatic flexibility. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) An Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A intertribal consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. An intertribal consortium is eligible to receive a GAP grant if the consortium demonstrates that: (1) A majority of its members meets the eligibility requirements for GAP grants; (2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and (3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect. An

intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and eligible Intertribal Consortia.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must use the "Application for Federal Assistance: State and Local Non-Construction Programs" (Standard Form 424). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are reviewed by the appropriate Regional Office and, if approved, financial assistance is awarded by the Regional Administrator or his/her delegated official. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the Regional Office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress must be demonstrated. Renewals are subject to approval of EPA. Contact the EPA Regional contact identified in Appendix IV of the Catalog for additional information.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Award amount remains available until expended in accordance with the term of the award. The term of an award may exceed one year, but may not exceed four years. The term of the grant shall be determined at the time of the grant award.

**Reports:**

Procedures for accounting, auditing, evaluating, and reviewing any program for activities in whole or in part for general assistance grant under this section shall be governed by regulations at 40 CFR Parts 31 and 35, "Environmental Program Grants for Tribes," with reports as required by the specific terms of the agreement.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in



Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; STAG.

**Obligations:**

FY 07 \$56,654,000 FY 08 \$55,586,970; and FY 09 est. \$57,925,000.

**Range and Average of Financial Assistance:**

The minimum award for the first year of the grant is \$75,000/fiscal year, max. \$400,000/fiscal year; avg. \$110,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Awarded activities in FY 07 approximately 350 awards, and FY 08 approximately 100 awards, enable over 450 tribal governments and intertribal consortia to continue to develop and expand their environmental management programs. EPA has implemented a new work plan reporting system to assist in tracking progress and accomplishments. In FY 08, GAP funding was available to allow up to 90 percent of the 572 eligible Tribes and Intertribal Consortia to continue the work initiated in FY 07 and prior years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 102-497, Section 11, 42 U.S.C.4368(b), as amended by Public Law 103-155, November 24, 1993. The Agency published a notice for the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes at <http://www.epa.gov/indian/tgrant.htm>.

**Regional or Local Office:**

Applicants are encouraged to communicate with their Regional Indian Program Coordinator listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rodges Ankrah, American Indian Environmental Office (4104 M) Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-0280; Fax: (202) 564-0298; E-mail: [ankrah.rodges@epa.gov](mailto:ankrah.rodges@epa.gov).

**Web Site Address:**

<http://www.epa.gov/indian/tgrant.htm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Purpose: The general assistance program is intended to provide general assistance grants for planning, developing, and establishing the capability to implement programs administered by EPA in Indian country. Examples of past funded projects include: establishment of a water quality assessment program; an environmental assessment inventory; establishment of an environmental code; establishment of a multi-media program to address water quality, air quality, safe drinking water, solid waste, hazardous waste and pesticides; establishment of a management plan with emphasis on wastewater sludge reclamation and tire recovery; and establishment of a program to address underground storage tanks, SARA Title III, and radon.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Proposals are approved by the individual EPA Regional offices according to the applicant's ability to achieve objectives outlined in Public Law 102-497, Section 11, the interim final regulation for programs implementation in the Federal Register on December 2, 1993, 40 CFR Part 35, Indian Tribes; and the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes. Proposals should contain schedules for progress reports that will contribute towards development of environmental management capacity building; provide for an on-going coordination and problem resolution; and show an adequate ability to meet the proposed objectives, record keeping, and reporting requirements.

## 66.931 INTERNATIONAL FINANCIAL ASSISTANCE PROJECTS SPONSORED BY THE OFFICE OF INTERNATIONAL AFFAIRS

**FEDERAL AGENCY:**

OFFICE OF INTERNATIONAL AFFAIRS, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Water Act, Section 104, as amended; Public Law 95-217,33 U.S.C. 1251 et seq.; Solid Waste Disposal Act, as amended, Section 8001; Clean Air Act, Section 103, as amended; Public Law 95-95; 42 U.S.C. 7401 et seq.; Toxic Substances Control Act, Section 10, as amended; Public Law 94-469; 15 U.S.C.

2601 et seq.; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Public Laws 92-516; Public Laws 94-140 and 95-396, 7; U.S.C. 136 et seq.; Safe Drinking Water Act, Section 1442(a) and (c), as amended; Public Law 93-523; National Environmental Policy Act, Section 102 (f); and Marine Protection, Research and Sanctuaries Act of 1972, Section 203.

**OBJECTIVES:**

To protect human health and the environment while advancing U.S. national interests through international environmental collaboration. This mission is supported by four strategic objectives: (1) Reduce Transboundary Pollution; (2) Advance U.S. Interests Abroad; (3) Promote Good Environmental Governance; and (4) Ensure Effective Management. Funding Priority - Fiscal Year 2008: Clean Air: (a) International Capacity Building (more people cleaner air)- To provide technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally; (2) Clean and Safe Water: (a) International Capacity Building (water safe to drink) - To provide technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally.; (3) Healthy Communities and Ecosystems: (a) International Capacity Building (reduce chemical and biological risks) - To provide technical assistance, training information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally; (b) persistent organic pollutants (POPs) Implementation (reduce exposure to toxic pesticides and reduce chemical and biological risk)- To address toxics, including POPs and selected metals that circulate in the environment at global and regional scales, by working with other countries to control the production or phase-out from the use of such chemicals; (c) Environment and Trade (sustain community health) - Initiative relating to trade, investment, undertaken bilaterally or in connection with the World Trade Organization (WTO), World Bank, European Union (EU), or Asia-Pacific Economic Cooperation Forum (APEC); (d) U.S. Mexico Border (sustain and restore community health, and preserve the ecological systems that support them) - The program is implemented in partnership with the ten Border States, U.S. Tribal government and the government of Mexico with its corresponding states and tribes. It addresses the Agency's major themes of clean air, clean water, and clean land. order (sustain and restore community health, and preserve the ecological systems that support them) - The program is implemented in partnership with the ten Border States, U.S. Tribal government and the government of Mexico with its corresponding states and tribes. It addresses the Agency's major themes of clean air, clean water, and clean land.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Discretionary funds are available for the awards under this program. Grants and cooperative agreements are available to support recipients' allowable direct cost expenditures incident to approved project plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policy, 40 CFR parts 30 and 31. Funding awarded for international research under these projects does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of International Affairs' mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, territories, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions.

**Credentials/Documentation:**

Office of International Affairs (OIA) may require applicants to submit documentation of non-profit status. OIA may request applicants to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OIA may also ask applicants or principal investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information



on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Under EPA Order No. 5700.5, Policy for Competition in Assistance Agreements (9/12/02), Assistance awards to Foreign Governments and to United Nations agencies and similar International Organizations, such as the Organization of American States and Organization for Economic Cooperation and Development (OECD) may be exempted from competition at the discretion of OIA. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, OIA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to OIA's priorities, and availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of

submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$4,300,000; FY 08 est. \$3,700,000 and FY 09 est. \$3,700,000.

**Range and Average of Financial Assistance:**

Range: \$15,000 - \$325,000; Average: FY 2007 \$45,000 and FY 2008 \$50,000 est.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 OIA received an estimated 8 applications and awarded 3 new grants. In FY 08 it's anticipated that OIA will receive about 16 applications and award 6 new grants. Some examples of OIA accomplishments: OIA funded several international cooperative/grant projects during FY 07 and FY 08, for the protection of human health and the environment with the following titles and objectives: (1) "Mobile Source Air Pollution" - By 2011, eliminate the use of lead in gasoline in the remaining countries benefiting over 700 million people in developing countries and economies in transition. (2) "Global Persistent Organic Pollutants" - By 2011, place into safe storage 4,600 tons of obsolete and prohibited pesticides stockpiles and prohibited PCB-containing liquids impacting the Arctic. (3) "Arctic Contaminants Action Program" - "Indigenous Peoples Community Action Initiative" - Estimated up to 6 Million drums with toxic and hazardous waste scattered throughout tundra and coastal line - The objective is to train local populations to collect the drums, destroy the contents and recycle the drums. Training has been completed for 40 resident-volunteers. (4) "Global Mercury" - By 2011, reduce mercury consumption and releases by 30.5 tons from chlor-alkali plants, artisanal gold mining, and coal combustion at pilot demonstration sites in China, Brazil, India, Mexico, Russia and West Africa.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular 110. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

1200 Pennsylvania Ave., N.W., Washington, DC 20460. For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. For program information contact: Office of International Affairs at this web site address: <http://www.epa.gov/oia/> or contact by E-mail, Iris Zeigler, [zeigler.iris@epa.gov](mailto:zeigler.iris@epa.gov); Telephone: (202) 564-6614; Fax: (202) 565-2408; Teresa Ruppe, [ruppe.teresa@epa.gov](mailto:ruppe.teresa@epa.gov); Telephone: (202) 564-6619; Fax: (202) 565-2408; and Cherie Barry, [barry.cherie@epa.gov](mailto:barry.cherie@epa.gov); Telephone: (202) 564-1139; Fax: (202) 565-2408.

**Web Site Address:**

<http://www.epa.gov/oia/> .

**RELATED PROGRAMS:**

66.469, Great Lakes Program; 66.609, Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.808, Solid Waste Management Assistance Grants; 66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of OIA awarded international projects were to assist in: (1) "Managing Pollution from POPs and Other Toxic Substances in China"; (2) "Reduction of Risks from Obsolete Pesticide Stockpiles"; (3) "Mercury Emissions Monitoring and Management for Waste Incinerators"; (4) "Support for Partnership for Clean Fuels and Vehicles"; (5) "Program on Empowerment of Rural Communities of Alaska (USA) and Kamchatkat (Russia) in Environmental Health Control".

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.940 ENVIRONMENTAL POLICY AND STATE INNOVATION GRANTS**

(State Innovation Grants)

**FEDERAL AGENCY:**

OFFICE OF POLICY, ECONOMICS AND INNOVATION, OFFICE OF THE ADMINISTRATOR, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

Clean Air Act, Section 103, as amended; Clean Water Act, Section 104 as amended; Solid Waste Disposal Act, Section 8001 of as amended; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10 as amended; Federal, Insecticide, Fungicide and Rodenticide Act, Section 20 as amended;

Resource Conservation and Recovery Act, Section 8001; Comprehensive Environmental, Response, Compensation and Liability Act, Sections 104(k)(6) 311 as amended.

**OBJECTIVES:**

(1) To support analyses, studies, evaluations, and conferences that lead to improved environmental compliance, reduction in pollutants generated or released to the environment, and conservation of natural resources; (2) To promote comprehensive, cross-media approaches to environmental protection; (3) To encourage and promote stewardship programs that reflect "beyond compliance" behaviors and offer incentives or rewards for superior environmental performance; (4) To encourage and promote change that is "systems-oriented" and enables better results (e.g., environmental, efficiency, and/or cost savings) from a program, process, or sector-wide innovation; and (5) To incorporate outcome measurement and evaluation essential to transferability of the innovation. Funding Priority-Fiscal Year 2008: EPA's National Center for Environmental Innovation (NCEI) has completed its solicitation and competition for FY 2008, and is currently developing plans for one or more solicitations in FY 2009. The 2008 competition was targeted to address the first priority for this program. At least one competition addressing the first priority area is anticipated in FY 2009 and one or more additional solicitations addressing the other two priority areas are possible. Funding under this competition (Part 1) will support states striving to create performance-oriented regulatory systems that allow flexible strategies to achieve measurable results, environmental stewardship in all parts of society that support sustainable development and pollution prevention, and a culture of creative environmental problem solving that has a high capacity for collaborative, results-driven work and the organizational systems to support it. Depending upon the availability of funding, NCEI may also initiate additional competitions to address the second (Part 2) and third (Part 3) priority areas of this program. Part 2 would be intended to provide independent evaluation of State projects funded previous under this competition for the principal benefit of the states to help them in assessing the applicability of innovations tested in projects funded previously under this competition, or supported otherwise by EPA's collaboration focused at informing other states and American Indian Tribes with delegated authority for environmental programs about the feasibility and practicality of implementing similar innovations. The principal beneficiaries of these evaluations will be States and Tribes that are assessing the applicability of an environmental innovation tested by another state, for their own use. Part 3 would provide assistance for the development of a center to provide technical assistance to the states and tribes for the transfer of policy innovation. To fulfill this role, the center would also support the state and tribal environmental agencies by convening meetings for the purpose of exchanging information on state experience with testing and measuring the results or benefits of innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Innovation plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under Part 1 of this program is available to principal environmental regulatory agencies for States, territories, and possessions of the U.S., including the District of Columbia. EPA may make a separate competition available under Part 1 of this program to federally-certified Native American Tribes. Assistance under Parts 2 or 3 of this program is available to not-for-profit institutions, foundations and institutes to provide independent evaluation of projects or classes of projects that will be of use to other States and Tribes in implementing innovations; or, to provide assistance to states testing policy innovation and for the transfer among the states and tribes of information useful for the implementation of innovations. EPA would issue separate solicitations for Part 1, Part 2, and Part 3 of this program. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Under Part 1 of this announcement, State and local governments, U.S. territories and possessions. In a separate solicitation that could be issued under Part 1, Federally-certified Native American Tribes. For Parts 2 and 3, non profit institutions, foundations and institutes may apply.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program and those forms are available on the EPA web site ([http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm)). EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. For information on the current or prior solicitations, please see the EPA State Innovation Grants website at <http://www.epa.gov/innovation/stategrants>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Deadlines will be specified in Request for Applications or Request for Initial Proposals.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for Environmental Policy and Innovation. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Most projects have been of a 1-3 year duration. For purposes of this program, EPA limits the project periods to no more than 4 years.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each

year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$1,611,000; FY 08 \$885,000; and FY 09 est. \$1,000,000. Assistance agreements under this CFDA generally take the form of Cooperative Agreements and rarely Grants.

**Range and Average of Financial Assistance:**

\$50,000 to \$350,000 per grant. The average for awards is approximately \$225,000 for a 1-4 year assistance agreement.

**PROGRAM ACCOMPLISHMENTS:**

In the FY 2007 competition, the Agency receive 17 pre-proposals for a total of \$3.8M. Seven projects were selected totaling \$1,611M in funding. In the FY 2008 competition, the Agency received 12 pre-proposals totaling over \$3M. Three projects were selected totaling \$0.885M in funding. Since the beginning of the State Innovation Grant Program, 35 awards have been made (the 3 selections made in the 2008 competition have awards pending at the date of this announcement). The 38 projects cover the following areas: 19 Environmental Results Program (ERP) projects, 11 Environmental Management Systems (EMS) and other permitting integration approach projects, 2 watershed permitting projects, 1 project for a streamlined and enhanced permitting through application of innovative information technology (IT) Systems, 1 project for integrated regional air quality management across state and regional boundaries, and 8 Performance Track (PT) projects. Please note that several of these projects incorporate multiple elements (e.g., projects that are both ERP and EMS, or projects that are both ERP and Performance Track)so, this breakdown of projects identifies projects that appear in multiple categories. Eight of the initial projects from the FY 2002 and 2004 solicitations are now complete. These state agencies have submitted their final project reports. For additional information, including access to the Program's 2008 progress report executive summary, see: <http://www.epa.gov/innovation/stategrants>. The results of these assistance agreements will enable the Agency to meet performance measures noted in the Agency Strategic Plan.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and State Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). State governments costs will be determined in accordance with OMB Circular No. A-87.

**Regional or Local Office:**

EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

For information on grant applications and procedures, contact: Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For program information contact Pamela Stirling; Phone: (202) 566-0949; FAX: (202) 566-3001; e-mail: [stirling.pamela@epa.gov](mailto:stirling.pamela@epa.gov).

**Web Site Address:**

<http://www.epa.gov/innovation/stategrants>.

**RELATED PROGRAMS:**

66.034, Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436, Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.813, Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants; 66.611, Environmental Policy and Innovation Grants.

**EXAMPLES OF FUNDED PROJECTS:**

This is the third year for this CFDA entry. Under this announcement and previous announcements under 66.611, Environmental Policy and Innovation Grants, EPA funded projects such as the "Implementation of a Voluntary Automotive Body and Automotive Repair Environmental Results Program." This project supported a state undertaking an automotive body and automotive

repair Environmental Results Program (ERP) to administer targeted multi-media assistance to auto body and auto repair facilities, to implement a self-certification program, and to measure the compliance results. Another example of a project funded is the "Auto Salvage Environmental Results Program: Improved Compliance and Performance through Innovation." This project supported a state applying the ERP program to the auto salvage sector. The three part program included: (1) facility certification; (2) statistically-based performance measurement; and (3) on-site compliance, pollution prevention, and technical assistance. A third example of a project funded is the "Retail Gasoline Sector Environmental Results Project," which enabled a state to apply the ERP model to the retail gasoline sales sector as well as to other facilities regulated by the state's Underground Storage Tank program. Other examples of funded projects include: (a) the development of a voluntary Community EMS model under their Comprehensive Local Environmental Action Network (CLEAN) to encourage comprehensive environmental planning and continuous improvement; (b) the development of a watershed-based permitting program to address integrated management of water quality in a Basin impacted by coal-bed methane (CBM) extraction; (c) the implementation of an Environmental Leadership Program; A Vertical Start-up Model with Multi-State Applicability - designed to expand development of the state environmental leadership program, develop partnerships with other States in the Region and on the State borders to develop membership criteria and support for common business sectors, and work to align previously separate leadership projects such as OSHA's Voluntary Partnership Program, Energy Star, Green Buildings, and Smart Growth; and (d) the encouragement of Superior Environmental Performance Through Management Systems, Recognition, and Rewards. This program establishes a State-based Environmental Leadership Program that will complement (through a MOU/PPA) their participation in the National Performance Track Program. Planned project tasks include: building a "virtual EMS" tutorial through the college/university system; "greening the supply chain" mentoring projects; and implementing Performance Track incentives for applicable member facilities. New projects are testing the use of the Environmental Results Program across several business sectors applied at improving stormwater management, and applying Environmental Management Systems in permitting to improving compliance and environmental performance in the dairy AFO sector.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.950 ENVIRONMENTAL EDUCATION AND TRAINING PROGRAM**

(EETP; Training Program)

**FEDERAL AGENCY:**

ENVIRONMENTAL EDUCATION DIVISION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Education Act; Section 5, Public Law 101-619.

**OBJECTIVES:**

To train educational professionals in the development and delivery of environmental education programs. As required by Public Law 101-619, funds are provided to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals. Funding Priority-Fiscal Year 2008: EPA awards only cooperative agreements to a university, non-profit organization, or a consortia to operate the program on a multi-year basis. The training and support must be provided for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials. The training program to be operated from October 1, 2005 through September 30, 2010 must provide training and support for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials. Funding Priority-Fiscal Year 2009: EPA awards only cooperative agreements to a university, nonprofit organization, or a consortia to operate the program on a multi-year basis. The training and support must be provided for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training,



promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials. The training program to be operated from October 1, 2005 through September 30, 2010 must provide training and support for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds shall be used to establish an education and training program which shall include, at a minimum: (1) classroom training in environmental education and studies including environmental sciences and theory, educational methods and practices, environmental career or occupational education, and topical environmental issues and problems; (2) demonstrations of the design and conduct of environmental field studies and assessments; (3) development of environmental education programs and curricula, including programs and curricula to meet the needs of diverse ethnic and cultural groups; (4) sponsorship and management of international exchanges of teachers and other educational professionals between the United States, Canada, and Mexico involved in environmental programs and issues; (5) maintenance or support of a library of environmental education materials, information, literature, and technologies, with electronic as well as hard copy accessibility; (6) evaluation and dissemination of environmental education materials, training methods, and related programs; (7) sponsorship of conferences, seminars, and related forums for the advancement and development of environmental education and training curricula and materials, including international conferences, seminars, and forums; (8) supporting effective partnerships, networks, and the use of distant learning technologies; and (9) such other activities as the Administrator determines to be consistent with the policies of the Act. No funds made available for this program shall be used for the acquisition of real property (including buildings) or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is available to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Office of Environmental Education may ask applicants or principal investigators to provide curriculum vitae and relevant publications.

**Preapplication Coordination:**

A solicitation notice is issued for this program once every five years. The notice identifies the application process. This program is excluded from coverage under E.O. 12372. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

The next solicitation notice which describes the application procedure for this program will be issued in the Federal Register in 2010. The last solicitation notice was issued March 18, 2005. The solicitation process for this program is conducted every five years. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

This program is subject to the provisions of OMB Circular No. A- 110. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

The deadline for submitting proposals for this program will be specified in the next solicitation notice in 2010.

**Range of Approval/Disapproval Time:**

The next award will not be made until 2010.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Environmental Education Division's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

**Length and Time Phasing of Assistance:**

The training program consists of an initial one year budget and project period subject to annual supplemental funding agreements for up to five years.

**Reports:**

The grantee must submit bi-annual and final progress reports.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$837,000; FY 08 \$2,209,000; FY 09 est \$17,000,000.

**Range and Average of Financial Assistance:**

This is a 5-year program, one recipient is selected every 5 years. The project is funded on an annual basis and the amount of the annual funding depends on Congressional appropriation. The range and average financial assistance for the full 5-year project period is approximately \$8.5 million.

**PROGRAM ACCOMPLISHMENTS:**

(1) Trained over 80,000 teachers and other education professionals in scientifically-sound and pedagogically-effective environmental education; (2) published a series of national environmental education guidelines for: environmental education materials, what students need to know about the environment to become environmentally literate, what educators need to know to teach effectively about the environment, and what constitutes effective non-formal programs; (3) provided leadership and strategic planning training and support to more than 25 states to ensure coordinated and effective statewide environmental education programs; (4) supported state environmental education certification efforts in four states; (5) developed three university accredited on-line environmental education courses that introduce educators to environmental education, teach educators how to evaluate environmental education programs, and help EE programs reach culturally diverse audiences; and (6) developed and maintained a state-of-the-art Internet site to enable educators to access quality information and resources about environmental education. More information on program accomplishments is available at <http://www.eetap.org>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 30, 31, 32, 33, 45, 47; program guidance; Federal Register (Invitation for Pre-proposal, July 2, 1991); Public Law 101-619.

**Regional or Local Office:**

Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kathleen MacKinnon, Environmental Education Specialist, Environmental Education Division, (1704A), Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, DC 20460. Telephone: (202) 564-0454. Fax: (202) 564-2754. E-mail: mackinnon.kathleen@epa.gov.

**Web Site Address:**

<http://www.epa.gov/enviroed>.

**RELATED PROGRAMS:**

66.951, Environmental Education Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Environmental education activities such as training for in-service and pre-service educators; promotion of the national environmental education guidelines; support for state capacity building; the development of a materials review process; support for accreditation efforts at universities; support for state educator certification programs; and support for internet access to information and materials. More information is available at <http://www.ectap.org>.

**CRITERIA FOR SELECTING PROPOSALS:**

Priorities for selecting proposals are listed in Section 5 of Public Law 101-619, National Environmental Education Act. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.951 ENVIRONMENTAL EDUCATION GRANTS

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL EDUCATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Education Act, Section 6; Public Law 101-619.

**OBJECTIVES:**

To support projects to design, demonstrate, or disseminate practices, methods, or techniques related to environmental education and teacher training. As required by Public Law 101-619, this grant program provides financial support for environmental education projects implemented by schools, universities, state and local government environmental and educational agencies, tribal education agencies, and nonprofit 501 (c)(3) organizations. Funding Priority - Fiscal Year 2008: All grant projects must address one of the following educational priorities: (1) Capacity Building: Increasing capacity to develop and deliver coordinated environmental education programs across a state or across multiple states. Steps include developing effective leaders and organizations which create strategic plans to implement and link environmental education programs to promote long term programs and to decrease fragmentation of effort and duplication across programs; (2) Education Reform: Utilizing environmental education as a catalyst to advance state or local education reform goals; (3) Community Stewardship: Designing and implementing model projects to educate the public about environmental issues in their communities through state and local government and community based organizations or through print, film, broadcast, or other media; (4) Health: Educating teachers, students, community leaders, or the public about human-health threats from environmental pollution, especially as it affects children, and how to minimize human exposure to preserve good health; (5) Teaching Skills: Providing professional development for teachers, faculty, or non-formal educators about environmental issues and content, such as sustainability, to improve environmental education skills; or (6) Career Development: Educating students in formal or non-formal settings about environmental issues to encourage environmental careers. Funding Priority - Fiscal Year 2009: It is anticipated that the 2009 funding priorities will be very similar, if not the same as the previous priorities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds shall be used to establish an education program which shall include, at a minimum: (1) design, demonstration, or dissemination of environmental curricula and materials on specific topics for which there are no existing materials; (2) design and demonstration of field methods, practices, and techniques, including review of environmental and ecological conditions and analysis of environmental and pollution problems; (3) projects to understand and evaluate a specific environmental issue or a specific environmental problem; (4) provision of training or related education for teachers, faculty, or related personnel in a specific geographic area or region; and (5) design and demonstration of projects to foster international cooperation in addressing environmental issues and problems involving the United States and Canada or Mexico. Priority will be given to those projects which will develop: (a) a new or significantly improved environmental education practice, method, or technique; (b) an environmental education method which may have wide application; (c) an environmental education method which addresses skills or scientific fields identified as a priority in the report developed by the National Environmental Education Advisory Council; and (d) an environmental education project which addresses an environmental issue which, in the judgment of the Administrator, is of a high priority. More specific priorities are listed above under Objectives and are specified in the annual Solicitation Notice. Restrictions: No funds made available for this program shall be used for technical training of environmental

management professionals; for advocacy or lobbying; for acquisition of real property (including buildings); or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to local education agencies, colleges and universities, state education and environmental agencies, nonprofit organizations described in Section 501(c)(3) of the Internal Revenue Service, and noncommercial educational broadcasting entities as defined and licensed by the Federal Communications Commission. Applicant organizations must be located in the United States or territories and the majority of the educational activities must take place in the United States, Canada, or Mexico. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants must demonstrate that they have appropriate background, academic training, and experience in the field, and may be asked to demonstrate the necessary equipment or facilities to carry out the project.

**Preapplication Coordination:**

The annual solicitation notice for proposals and grant writing tips are available on the Agency's website listed below. This program is excluded from coverage under E.O. 12372. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

**Application Procedure:**

Applicants are accepted on an annual grant cycle and are due at the deadline stated below. Applicants submit an application package in the format required in the annual Solicitation Notice. Applicants submit an application package to their respective EPA Regional Grants Management Offices for grants requesting \$50,000 or less in Federal funds; and to the EPA Headquarters for larger grants. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. However, where possible it is preferable to submit applications and attachments on paper via mail or delivery services.

**Award Procedure:**

Applications for a Federal share of \$50,000 or less are to be submitted to and evaluated by the respective EPA Regional Offices. Applications for a larger Federal dollar amount are to be submitted to and evaluated by the Office of Environmental Education, (1704A), 1200 Pennsylvania Ave., N.W., Washington, DC 20460. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. All awards are competed through the annual announcement and no proposals are awarded non-competitively.

**Deadlines:**

The grant application funding for the 2009 grant cycle is uncertain because Congress will determine if there will or will not be an appropriation for this grant program. If there is an appropriation for these grants, it is anticipated that the application deadline will be in December of 2008. Applications are evaluated and scored by internal EPA and external peer reviewers during the winter months and grants are awarded in the summer months.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Grants proposals are evaluated annually on a competitive basis. Therefore, applicants should not plan for renewals.

**Formula and Matching Requirements:**

In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-federal

share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

**Length and Time Phasing of Assistance:**

The majority of the grants are completed in a one-year project period which is the preferred length of time. However, some flexibility up to two year project periods is possible depending upon the nature and complexity of the project. Activities must be completed within the time frame of the budget period. Concurrent grants to the same organization during the second year are not allowed. Grants may be incrementally or fully funded. This determination is made by the EPA.

**Reports:**

Recipients of grants are expected to submit progress reports on at least a semi-annual basis. Final reports and two copies of all grants products are due within 90 days of the close of the budget period.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$1,340,000; FY 08 \$3,400,000; and FY 09 est. \$3,300,000 (subject to Congressional appropriation)

**Range and Average of Financial Assistance:**

Range \$7,000 to \$125,000 per grant. Average financial assistance: Regional grants \$12,000 to \$15,000 per grant and Headquarters \$90,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Each year, Headquarters awards approximately 10 grants and the ten EPA Regional Offices award 10 to 15 each for a total of about 135 grants nationwide. In a typical annual grant cycle, these Environmental Education Grants educate approximately 6,000 teachers, 20,000 students, and 12,000 members of the general public. In Fiscal Year 2006, EPA Headquarters awarded 10 grants from a pool of 105 grant applications; and the ten EPA Regional Offices awarded almost 135 grants from a pool of over 850 grant applications. In 2007 less funding was available and less than half that number of grants were awarded. In 2008, the issuance of grants repeated the typical grant pattern as stated above for 2006. For the 2009 grant cycle, assuming Congress makes an appropriation for this program, it is anticipated that the ratio of applications to awards will follow past patterns and approximately 10 percent of the headquarters applications and 30 percent of the regional office proposals will be funded. This grant program is expected to reach a target audience of about 6,000 teachers, 20,000 students and 12,000 members of the public in the next fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 7, 12, 30, 31, 32 Subpart F, 33, 47; Public Law 101-619, and the Office of Environmental Education 2008 Grant Program Solicitation Notice to be issued in the fall of 2007.

**Regional or Local Office:**

Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog and on the website [www.epa.gov/enviroed/grants](http://www.epa.gov/enviroed/grants).

**Headquarters Office:**

Diane Berger, Environmental Education Grant Program, (1704A), Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., Washington, DC 20460. Telephone: (202) 564-0451. E-mail: [berger.diane@epa.gov](mailto:berger.diane@epa.gov). Fax: (202) 564-2753.

**Web Site Address:**

<http://www.epa.gov/enviroed>.

**RELATED PROGRAMS:**

66.950, Environmental Education and Training Program.

**EXAMPLES OF FUNDED PROJECTS:**

Workshops to train high school teachers about the integration of environmental issues, such as water conservation and habitat preservation, into their lesson plans; development of a cross-disciplinary graduate school course of study for pre-service teachers; development of field trips supported by an Internet-based science curriculum for students in grades 6 through 12 that raises awareness of

environmental and health hazards posed by fine particle pollution; building state capacity for environmental education; and establishment of a four State committee to organize and implement a regional environmental education strategic plan that supports State education reform goals. Also see the Office of Environmental Education website at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed) for a complete list with descriptions by State.

**CRITERIA FOR SELECTING PROPOSALS:**

Basis and priorities for selecting proposals are listed in Section 6 of Public Law 101-619, National Environmental Education Act, and in the annual Solicitation Notice which can be accessed at [www.epa.gov/enviroed](http://www.epa.gov/enviroed) on the internet. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.952 NATIONAL NETWORK FOR ENVIRONMENTAL MANAGEMENT STUDIES FELLOWSHIP PROGRAM**

(NNEMS Fellowship Program)

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL EDUCATION, ENVIRONMENTAL PROTECTION AGENCY

**AUTHORIZATION:**

National Environmental Education Act, Section 7; Public Law 101-619; Clean Air Act, as amended, Section 103(b)(5), (Section 42 of the United States Code (U.S.C.) 7403(b)(5)); Clean Water Act, as amended, Section 104(b)(5) and (g)(3)(B), (33 U.S.C. 1254(b)(5) and (g)(3)(B)); Safe Drinking Water Act, as amended, Section 1442, (42 U.S.C. 300j-1); Solid Waste Disposal Act, as amended, Section 8001 (42 U.S.C. 6981); Toxic Substances Control Act, as amended, Section 10 (15 U.S.C. 2609); Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Section 20 (7 U.S.C. 136r); Comprehensive Environmental Response, Compensation, and Liability Act, Section 311 (42 U.S.C. 9660).

**OBJECTIVES:**

To provide students an opportunity to participate in a research project that is directly related to their field of study. To foster a growing interest among higher education students in environmental careers. To help defray the costs associated with the pursuit of academic programs related to the field of environmental protection, such as pollution control, science, engineering, technology, social science, and specialty areas. Funding Priority - Fiscal Year 2008: Includes research projects in the following categories: (1) Environmental Policy, Regulation, and Law, (2) Environmental Management and Administration, (3) Environmental Science, (4) Public Relations and Communication, and (5) Computer Programming and Development. Funding Priority -Fiscal Year 2009: It is anticipated that the funding priorities will remain the same in the next annual cycle.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds are to provide resources to allow for training and research fellowships relating to environmental issues. No matching funds are required.

**Applicant Eligibility:**

Applicant Eligibility: A NNEMS Fellowship is available to any associate, undergraduate, graduate, or advanced student who meets the general criteria listed below, as well as those identified for associate, undergraduate, graduate and advanced students. At a minimum, all applicants must be: 1) A citizen of the United States, its territories or possessions, or lawfully admitted to the United States for permanent residency. 2) Enrolled for academic credit at a college or university, or distance-learning institution accredited by a regional or national accrediting organization recognized by the United States Department of Education or the Council for Higher Education Accreditation. Associate and Undergraduate Students: Students attending 2- or 4-year institutions or distance learning institutions must meet the following requirements: 1) 3.0 cumulative grade point average (GPA) based on a scale of 4.0 at the time that the application is due. 2) Completion of at least four courses related to the field of environmental studies. Graduate and Advanced Students: Students enrolled in graduate or doctoral programs must meet the following requirements: 1) Currently enrolled in a graduate or Ph.D. program or can provide proof of acceptance and enrollment to a graduate or Ph.D. program at the time of fellowship award. 2) Completion of at least one semester of graduate or Ph.D. work, or at least four undergraduate courses related to the field of environmental studies. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Students.

**Credentials/Documentation:**

Students are required to submit an official transcript from each 2- or 4-year college or university, or distance learning institution attended. A student must submit verification of acceptance and/or enrollment in a graduate or Ph.D.



program if the applicant is a graduating senior.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Students who are interested in applying for a NNEMS fellowship must submit four complete application packages (one original and three copies) that include: (1) A completed NNEMS application, (2) SF 424, (3) A resume, (4) A completed NNEMS reference form, (5) A completed NNEMS Disclosure and Waiver Statement, (6) Verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior, and (7) An official transcript for each 2-or 4-year college or university, or distance learning institution attended. Official transcripts should be opened and photocopied as three copies. NNEMS application forms can be obtained on our web site at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed). Applicants must submit their completed application package to: NNEMS Fellowship Program, Tetra Tech EM Inc., 1881 Campus Commons Drive, Suite 200, Reston, VA 20191. Students selected for a NNEMS Fellowship must fill out a Fellowship Application (EPA Form 5770-2), a Fellowship Facilities and Commitment Statement (5770-3), and a NNEMS Fellowship Application. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Completed application packages are generally due in late January. The exact date is specified annually in the catalog that lists the fellowship projects available for the current year. That catalog is available at [www.epa.gov/enviroed](http://www.epa.gov/enviroed) and on many college campuses where reference documents for financial opportunities are located.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Grants are solicited through competitions and are not renewed.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

NNEMS Fellowships are awarded for three months full-time and up to three years part-time. Students receive payment in the form of a stipend typically paid in equal monthly payments throughout the duration of the fellowship period.

**Reports:**

Reporting requirements will be stated in the Terms and Conditions of the official grant award documents. Recipients must submit original final reports to both the EPA Project Officer and to the Office of Environmental Education NNEMS Coordinator. The final report should be submitted on the last day of the fellowship. Unless directed otherwise by the EPA Project Officer, the final report should summarize the specific project undertaken by the student and the project results.

**Audits:**

Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Pursuant to 40 CFR Part 46- Fellowships, Subpart E-46.230, Closeout Procedures: NNEMS Fellows must retain all records related to the fellowship for 3 years following the completion date identified on the Completion of Studies Notice. The EPA, the Inspector General, and the Comptroller General of the United States, and any duly authorized representatives have the right of timely

and unrestricted access to a student's documents, papers, or other records related to a fellowship in order to make audits, examinations, excerpts, transcripts, and copies of such documents. The rights of access in this paragraph are not limited to the required retention period but shall last as long as those records are retained.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

FY 07 \$221,335; FY 08 \$217,859; and FY 09 est \$235,000.

**Range and Average of Financial Assistance:**

Recipients of NNEMS fellowships receive a grant award in the form of a stipend, based on the student's level of education and the duration and location of the project. Grant awards range from approximately \$7,400.00 to \$12,600.00 per award for a 3-month, full-time period. The average award is for approximately \$10,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Each year, the NNEMS program offers approximately 20 to 25 research projects, developed and sponsored by EPA Headquarters in Washington, DC and in EPA's 10 regional offices and laboratories throughout the EPA has awarded nearly 1,400 fellowships under the NNEMS program since its inception in 1986. Each year, EPA announces the available projects offered by EPA offices and students from colleges and universities nationwide make application to do the research or other environmental studies and tasks that are educational and promote environmental careers. In 2007, 138 applications were received and 16 applicants were awarded a NNEMS fellowship of which the average stipend amount was about \$14,000. In 2008, 142 applications were received and 18 applicants were awarded a NNEMS fellowship with the average amount of the stipend being about \$13,000. In 2009 EPA anticipates approximately 20 applicants will be awarded a fellowship, with \$235,000.00 as the estimated total amount of awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 46-Fellowships and 40 CFR Part 30-General Regulations for Assistance Programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

For additional information on the NNEMS program, please contact: Michael Baker, Office of Environmental Education (MC1704A), Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Washington DC 20460. Telephone: (202) 564-0443. Fax: (202) 564-2754. E-mail: [baker.michael@epa.gov](mailto:baker.michael@epa.gov).

**Web Site Address:**

<http://www.epa.gov/enviroed/>.

**RELATED PROGRAMS:**

66.509, Science To Achieve Results (STAR) Research Program.

**EXAMPLES OF FUNDED PROJECTS:**

NNEMS fellows are placed in EPA Headquarters and Regional offices and laboratories nationwide. They work on a variety of EPA developed research projects and environmental topics relating to the following five categories: Environmental Policy, Regulation, and Law; Environmental Management and Administration; Environmental Science; Public Relations and Communications; and Computer Programming and Development. Examples of projects offered by the NNEMS fellowship program relating to the above categories are as follows: 1) Environmental Policy, Regulation and Law: Fellowships offered in this category may provide students an opportunity to review and evaluate existing policies and regulations, or perhaps conduct research related to the development of new policies. A recently funded project involved a student researching and assessing a variety of air pollution control strategies designed to reduce particulate matter and ozone in order to reach the nation's air quality goals. 2) Environmental Management and Administration: The fellowships offered in this category may focus on environmental management goals. A recently funded project involved a student conducting research to identify contaminated superfund sites that have the potential for beneficial reuse. 3) Environmental Science: Research projects in this category typically include direct participation in field studies and laboratory research. A recently funded project involved a student researching, compiling, and analyzing information on laboratory and field research and demonstration projects using bioremediation to address dense non-aqueous phase liquid contamination at hazardous waste sites. 4) Public Relations and Communications: These types of projects may include the review and analysis of public response to EPA policies and regulations, as well as general public opinion of environmental issues. These projects may also include assisting with the development of communication tools. A recently funded project involved researching and analyzing environmental information of interest to the public, researching and recommending information to include in press releases, and gaining knowledge and experience in how the Agency prepares for special press events. 5) Computer Programming and Development: These research projects may include the development of computer software, the development and querying of databases, or the design of programming functions required in laboratory work. A past funded project involved researching and collecting specific data about children's health, risks of exposure, and possible

sources, incorporating this information into a children's health database, and conducting analysis using a variety of spatial tools. Analysis procedures investigated the impacts of environmental pollution on children's health and identified where children are at the greatest risk. For a complete listing of NNEMS 2008 project descriptions, see: <http://www.epa.gov/enviroed/NNEMS>.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

# NATIONAL GALLERY OF ART

## 68.001 NATIONAL GALLERY OF ART EXTENSION SERVICE

### FEDERAL AGENCY:

NATIONAL GALLERY OF ART

### AUTHORIZATION:

20 U.S.C. 71-75.

### OBJECTIVES:

To provide educational material (slide programs, teaching packets, videocassettes, videodiscs, CD-ROMs, and DVDs) on the Gallery's collections and exhibitions, free of charge, except for return mailing, to individuals, schools, colleges, and libraries across the Nation.

### TYPES OF ASSISTANCE:

Use of Property, Facilities, and Equipment.

### USES AND USE RESTRICTIONS:

Audio-visual materials for the use in art education programs and humanities curricula.

### Applicant Eligibility:

Schools, colleges, libraries, clubs, museums, community organizations, individuals, and non-commercial educational television stations.

### Beneficiary Eligibility:

Public and private nonprofit institutions and organizations.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Write to the headquarters office for list of available materials; order forms provided. Catalogue listings also available on NGA website:  
<http://www.nga.gov/education/classroom/loanfinder>.

### Award Procedure:

None.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

Data on use of materials.

### Audits:

None.

### Records:

None.

### Account Identification:

33-0200-0-1-503.

### Obligations:

(Salaries and Expenses) FY 07 \$480,150; FY 08 est \$450,000; and FY 09 est \$515,000.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2007, audiovisual art education materials relating to the Nation's collection of paintings and sculptures and to the Gallery's special exhibitions were shown to a diverse number of audiences across the country 121,174 times.

In fiscal years 2008 and 2009, the number of showings and audiences are estimated to remain in this range. The use of these resource materials in the educational community and for continuing and lifelong learning will remain high. In fiscal year 2007, Extension Programs on the Gallery's collections and exhibitions were seen by a reported 24,360,693 persons.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Catalogue of available programs. Entries are also listed on the Gallery web site  
<http://www.nga.gov/resources/index.shtm>.

### Regional or Local Office:

None.

### Headquarters Office:

Department of Education Resources, National Gallery of Art, Washington, DC 20565. Telephone: (202) 737-4215. Contact: Department Office, Telephone: (202) 842-6273 (FTS 8-737-6600). E-mail: [EdResources@nga.gov](mailto:EdResources@nga.gov).

### Web Site Address:

<http://www.nga.gov/education/classroom/loanfinder/>

### RELATED PROGRAMS:

89.003, National Historical Publications and Records Grants.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.



# OVERSEAS PRIVATE INVESTMENT CORPORATION

## 70.002 FOREIGN INVESTMENT FINANCING

### FEDERAL AGENCY:

OVERSEAS PRIVATE INVESTMENT CORPORATION

### AUTHORIZATION:

Foreign Assistance Act of 1969, Title IV, Section 234(b) and 234(c), Public Law 91-175, 22 U.S.C. 2191, et seq.

### OBJECTIVES:

To provide financing for projects sponsored by private U.S. businesses in developing countries and emerging economies throughout the world, thereby assisting development goals and improving U.S. competitiveness, creating American jobs and increasing United States exports.

### TYPES OF ASSISTANCE:

Guaranteed/Insured Loans.

### USES AND USE RESTRICTIONS:

To provide financing for investments in developing countries in projects that contribute to the economic and social development of the host country and have a positive impact on the U.S. economy. OPIC screens out projects that might have a negative effect on U.S. employment or the host country's development or the environment, or would contribute to the violation of internationally recognized worker rights. Direct loans can only be made to private sector projects in which there is significant involvement by an U.S. small business.

### Applicant Eligibility:

Guaranteed investor must be citizen of the United States, a corporation, partnership, or other association created under the laws of the United States or any State or territory, and more than 50 percent beneficially owned by U.S. Citizens; a foreign corporation at least 95 percent owned by such entities; or a 100 percent United States-owned foreign entity. Direct loans are reserved for projects sponsored by or significantly involving United States small businesses or cooperatives. Applicants also must meet OPIC's credit underwriting criteria.

### Beneficiary Eligibility:

Project must have significant participation by a United States sponsor, generally in the form of at least 25 percent equity ownership. OPIC does not support projects that will result in the loss of U.S. jobs, that would contribute to the violation of internationally recognized worker rights or involve illicit payments. OPIC only supports projects that contribute to the economic and social development of the host country.

### Credentials/Documentation:

OPIC Finance Application; Financial statements; OPIC sponsor disclosure report; other applicable information on operations of U.S. investor, and project business plan. A bilateral agreement between the United States and the host country government must be in place before OPIC can provide loan guarantees in a country. In some cases, special foreign government approval is required before financing can be provided.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Application for Financing is required.

### Award Procedure:

OPIC conducts extensive due diligence and project analysis. Project must be approved internally and meets OPIC's credit, policy and legal criteria. Loan guaranty is issued directly to the lender by OPIC, in conjunction with OPIC entering into financing documentation with the borrower, U.S. sponsor and other parties. Direct loan is made directly to the project company.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Variable, depending on status and complexity of the project.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Significant equity investment in the project company by qualified U.S. sponsor.

### Length and Time Phasing of Assistance:

Variable, depending on characteristics of the project. OPIC financing is usually in the range of 5-15 years.

### Reports:

Projects submit quarterly and annual reports on operations and capital spending, and such other reports as OPIC may call for.

### Audits:

OPIC representatives monitor projects closely and may visit project and interview management. Financial statements generally in accordance with the United States generally accepted accounting practices must be submitted for OPIC monitoring.

### Records:

Certain accounting records, drawdowns of all funds, and other information must be available during term of financing and beyond.

### Account Identification:

71-4030-0-3-151; 71-0100-0-1-151; 71-4075-0-3-151; 71-4074-0-3-151; 71-4184-0-3-151.

### Obligations:

(Total Loan Commitments) FY 07 \$1,950,000,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$100,000 to \$320,000,000; small business loans, \$100,000 to \$46,300,000; \$7,143,245; non-small business loans, \$1,350,000 to \$250,000,000; \$45,641,379.

### PROGRAM ACCOMPLISHMENTS:

Since 1971, OPIC, a self-sustaining agency, has supported more than \$164 billion in U.S. investment overseas that will generate over \$69 billion in U.S. exports and support more than 264,000 American jobs. Additionally, OPIC has benefited the more than 150 countries in which it has operated or is currently operating, supporting sustainable development and international trade while solidifying free markets.

### REGULATIONS, GUIDELINES, AND LITERATURE:

"OPIC Program Handbook," free. Web site address is <http://www.opic.gov>.

### Regional or Local Office:

None.

### Headquarters Office:

Information Officer Overseas Private Investment Corporation 1100 New York Ave., NW, Washington, DC 20527 Telephone: (202) 336-8799. For program information by electronic mail: [info@opic.gov](mailto:info@opic.gov).

### Web Site Address:

<http://www.opic.gov>.

### RELATED PROGRAMS:

70.003, Foreign Investment Insurance.

### EXAMPLES OF FUNDED PROJECTS:

Examples of financed projects include cellular telephone networks, retail petroleum projects, electric power generation projects, small business transactions, and manufacturing and agricultural ventures.

### CRITERIA FOR SELECTING PROPOSALS:

See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

## 70.003 FOREIGN INVESTMENT INSURANCE

(Political Risk Insurance)

### FEDERAL AGENCY:

OVERSEAS PRIVATE INVESTMENT CORPORATION

### AUTHORIZATION:

Foreign Assistance Act of 1969, Title IV, Section 234(a), Public Law 91-175, 22 U.S.C. 2191, et seq.

### OBJECTIVES:

To insure investments of eligible U.S. investors in developing countries and emerging markets, against the political risks of inconvertibility, expropriation, and political violence. Special programs include insuring (1) contractors and exporters against arbitrary drawings of letters of credit posted as bid, performance or advance payment guaranties, (2) petroleum exploration, development and production (3) leasing operations, and (4) debt financials, including securities.

### TYPES OF ASSISTANCE:

Insurance.

### USES AND USE RESTRICTIONS:

To encourage private U.S. investment in developing countries and emerging economies by protecting against certain political risks. Investments may be eligible for insurance if they benefit the social and economic development of the host country. OPIC will not support projects that could result in the loss of U.S. jobs, adversely affect the U.S. economy, have a negative impact on the host country's development or environment, or contribute to violations of internationally recognized worker rights.

### Applicant Eligibility:

Citizen of the United States; a corporation, partnership, or other association created under the laws of the United States or any State or territory, of which more than 50 percent is beneficially owned by U.S. citizens; a foreign corporation at least 95 percent owned by such entities; or any other 100 percent U.S.-owned foreign entity.

### Beneficiary Eligibility:

OPIC does not support projects that will result in the loss of U.S. jobs, that have a negative impact on the host country's economy or environment, or contribute to violations of internationally recognized worker rights. OPIC only supports projects that contribute to the economic and social development of the host country.

### Credentials/Documentation:

A bilateral agreement between the United States and the host country government must be in place before OPIC can provide insurance for a given

country. Additionally, special project approval by the foreign government is required in some countries before insurance can be provided.

**Preapplication Coordination:**

Registration letter. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The insurance program has a two-step application process. Investors must first register their projects with OPIC before making an irrevocable commitment to invest. Once the details of the investment have been established, an application for insurance coverage is filed. OPIC charges a retainer fee after the submission of an application for insurance in order to proceed with review of the project.

Registration and application forms are available on request from the Insurance Applications Officer, Overseas Private Investment Corporation, 1100 New York Avenue, NW., Washington, DC 20527, or on OPIC's website: [www.opic.gov](http://www.opic.gov).

**Award Procedure:**

Insurance is issued directly to the applicant by OPIC, or through a broker if the investor so chooses.

**Deadlines:**

Registration must be made prior to making an irrevocable commitment to invest. The registration remains active at OPIC for 2 years.

**Range of Approval/Disapproval Time:**

Will vary depending on size and complexity of project.

**Appeals:**

Not applicable.

**Renewals:**

OPIC insurance contracts can be offered at fixed rates for up to 20 years. Investor has the opportunity to change insurance elections annually or semi-annually. Policies are non-cancelable by OPIC, provided that investor is paying premiums and is not in material breach of the contract.

**Formula and Matching Requirements:**

Not applicable. In most cases, insured must retain at least 10 percent of the risk as self-insurance.

**Length and Time Phasing of Assistance:**

Maximum insurance term is 20 years for equity investment; for loans, the term of the loan; for contracts, the term of the contract.

**Reports:**

Annual or semi-annual election of current coverage, annual or semi-annual payment of premiums, and such information as may be requested by OPIC to monitor the project or to make a determination in the case of a claim for compensation.

**Audits:**

Not applicable.

**Records:**

When claim for compensation is pending and after such payment is made, the investor has a duty to cooperate with OPIC in supplying all information requested pertaining to the claim. These responsibilities are clearly spelled out in each insurance contract.

**Account Identification:**

71-4184-0-3-151.

**Obligations:**

(Insurance Issued) (Aggregate Maximum Insured Amount) FY 07 \$1,200,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Up to \$250,000,000; \$12,244,695.

**PROGRAM ACCOMPLISHMENTS:**

Since 1971, OPIC, a self-sustaining agency, has supported more than \$164 billion in U.S. investment overseas that will generate \$69 billion in U.S. exports and support more than 264,000 American jobs. Additionally, OPIC has benefited the more than 150 countries in which it has operated or is currently operating, supporting sustainable development and international trade while solidifying free markets.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"OPIC Program Handbook," free.

**Regional or Local Office:**

None.

**Headquarters Office:**

Information Officer Overseas Private Investment Corporation 1100 New York Ave., NW. Washington, DC 20527. Telephone: (202) 336-8799. For program information by electronic mail: [info@opic.gov](mailto:info@opic.gov).

**Web Site Address:**

<http://www.opic.gov>.

**RELATED PROGRAMS:**

70.002, Foreign Investment Financing.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of insured projects include: private power generation, mining, petroleum, telecommunications, commercial bank, oil and gas processing equipment, construction, food processing, equipment leasing, etc.

**CRITERIA FOR SELECTING PROPOSALS:**

See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

# NUCLEAR REGULATORY COMMISSION

## 77.006 U. S. NUCLEAR REGULATORY COMMISSION NUCLEAR EDUCATION GRANT PROGRAM

**FEDERAL AGENCY:**

NUCLEAR REGULATORY COMMISSION

**AUTHORIZATION:**

Energy Policy Act of 2005, Section 651,c,1, Public Law 109-58.

**OBJECTIVES:**

To provide assistance to colleges and universities in support of courses, studies, training, curricula, and disciplines relevant to nuclear safety, security, environmental protection, or any other field that the Commission determines to be critical to its regulatory mission.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Financial support in whole or part may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, and related activities. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of improving or supporting curricula that does not necessarily duplicate work already in process or contemplated by NRC, is not already known to NRC, or has previously unrecognized merit.

**Applicant Eligibility:**

Applicants can be U.S. public and private institutions of higher education.

**Beneficiary Eligibility:**

U.S. public and private institutions of higher education will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments.

**Preapplication Coordination:**

Letters of Intent are required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals should be submitted as specified in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Proposals will be screened for relevance and then reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the review panel via the U. S. Nuclear Regulatory Commission Office of Human Resources Training Division, and the selected proposals will be forwarded to the U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts, for grant development and award.

**Deadlines:**

Deadlines are stated in the solicitations.

**Range of Approval/Disapproval Time:**

Approximately 90-180 days.

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the U.S. Nuclear Regulatory Commission Office of Human Resources Training Division.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The schedule of NRC payments is arranged at the time of award.

**Reports:**

The following reports are required: Progress Reports, Financial Status Reports, and Final Report. These requirements are also specified in the solicitation.

**Audits:**

Costs incurred are subject to audit throughout the grant period and/or before the final payment, with the extent and frequency of audit depending on the size of the grant and on the particular grant provisions.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

FY 07 est \$4,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$200,000 to \$4,700,000.

**PROGRAM ACCOMPLISHMENTS:**

The assistance supported helps to provide assistance to colleges and universities to support courses, studies, training, curricula and disciplines relevant to nuclear safety, security and environmental protection.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Nuclear Regulatory Commission, Two White Flint North, 11545 Rockville Pike, Rockville, MD 20852. Mail Stop T-7-I-2, Washington, DC 20555-0001.

Telephone: (301) 415-7856.

**Web Site Address:**

[www.nrc.gov](http://www.nrc.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected products and results, evaluation, and dissemination plans. The capability to perform the project to the degree to which the project will strengthen its teaching or research capacity. Qualifications of the applicant's personnel. The total budget adequately supports the project and is effective.

## 77.007 U.S. NUCLEAR REGULATORY COMMISSION MINORITY SERVING INSTITUTIONS PROGRAM (MSIP)

**FEDERAL AGENCY:**

NUCLEAR REGULATORY COMMISSION

**AUTHORIZATION:**

Energy Policy Act of 2005, Sections 651,c,4 and 622, Public Law 109-58; Executive Orders 13256, 13270 and 13230.

**OBJECTIVES:**

To fund minority serving programs and activities, projects, symposiums, and training for the exchange and transfer of knowledge and skills relevant to nuclear safety, security, environmental protection, or any other fields the Commission deems critical to its mission. To provide assistance for minority serving programs and activities to include, but not limited to, mentoring, leadership development, training, instruction, developmental learning, research and development, program evaluation, and technical assistance. To provide assistance to include direct institutional subsides, facilities and equipment acquisition, internships, fellowships, scholarships, and tuition and housing assistance.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as salaries, stipends, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training and related activities. Restrictions on use of funds depend on grant provisions, the nature of assistance provided, and the purpose(s) for which the programs and activities were funded to achieve.

**Applicant Eligibility:**

Minority Serving Institutions and organizations that provide services to Minority Serving Institutions and their students and faculty.

**Beneficiary Eligibility:**

U.S. public and private Minority Serving Institutions and their students and faculty will benefit.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Letters of Intent are required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals should be submitted as specified in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Proposals will be screened for relevance, and, where required, reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the review panel via U.S. Nuclear Regulatory Commission Office of Small Business and Civil Rights (SBCR), and the selected proposals will be forwarded to U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts for development and award.

**Deadlines:**

Deadlines are stated in the solicitations.

**Range of Approval/Disapproval Time:**

Approximately 90-180 days.

**Appeals:**

None.

**Renewals:**



Proposals for renewal are subject to review and acceptance by the Nuclear Regulatory Commission Office of Small Business and Civil Rights.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The schedule of NRC payments is arranged at the time of award.

**Reports:**

Upon receipt of an award, the following reports are required: Progress Reports, Financial Status Reports, Final Report and Compliance Reports as required by applicable civil rights statutes and regulations. These requirements will be specified in the solicitation, and as a condition of funding.

**Audits:**

Costs incurred are subject to audit throughout the grant/cooperative agreement period and/or before final payment, with the extent and frequency of audit depending on the size and nature of the grant/cooperative agreement and on the particular grant/cooperative agreement provisions.

**Records:**

Recipient is expected to maintain accurate auditable records to substantiate total cost incurred under the grant/cooperative agreement.

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

FY 07 \$900,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Undetermined.

**PROGRAM ACCOMPLISHMENTS:**

The assistance provided helps to establish partnership programs, stimulate renewed academic interest, strengthen the educational infrastructure and educate and train the next generation nuclear workforce.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Nuclear Regulatory Commission, Two White Flint North, 11545 Rockville Pike, Rockville, MD 20852. Mailing Address: U.S. Nuclear Regulatory Commission, Mail Stop T-7-1-2, Washington, DC 20555-001. MSIP Contact Telephone: (301) 415-7380.

**Web Site Address:**

www.nrc.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected products and results, evaluation and dissemination plans. The capability to perform the project. Qualifications of applicant's personnel. The total budget adequately supports the project and is effective.

## 77.008 U.S. NUCLEAR REGULATORY COMMISSION SCHOLARSHIP AND FELLOWSHIP PROGRAM

**FEDERAL AGENCY:**

NUCLEAR REGULATORY COMMISSION

**AUTHORIZATION:**

Energy Policy Act of 2005 (Section 243).

**OBJECTIVES:**

This Scholarship and Fellowship program allows students to pursue an education in science, engineering, or another field of study that the Commission determines is in a critical skill area related to its regulatory mission. Recipients need to be enrolled in a professional degree or graduate program offered by a four year institution of higher education in the United States. Recipients of scholarships and fellowships must commit to employment by the Commission.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program provides funding to four year institutions of higher education to provide scholarships, fellowships and stipends to develop a cadre of nuclear professionals. Funds are managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution. Funds may not be used for purposes other than those specified in the award. Fellowships, Scholarship and stipends to be paid to the awardee directly through his/her institution. Recipients are required to enter in an agreement for employment with the NRC for a period equal to the level of support received.

**Applicant Eligibility:**

Applicants must be four year U.S. public and private institutions of higher education.

**Beneficiary Eligibility:**

Undergraduate and graduate students. Four year public and private institutions of higher education.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular No. A-21 for colleges and universities.

Applicants for scholarship and fellowship support must show evidence of ability such as academic records, and grade point average.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals should be submitted as specified in the funding opportunity announcement posted at www.grants.gov.

**Award Procedure:**

Applications are processed by the assigned staff and approved by the Commission based on a set of criteria established by the NRC.

**Deadlines:**

Deadlines are stated in the solicitations.

**Range of Approval/Disapproval Time:**

Approximately 90-180 days.

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the U.S. Nuclear Regulatory Commission office of Human Resources Training Division.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The schedule of NRC payments is arranged at the time of award.

**Reports:**

The schedule of reports is arranged at the time of negotiation.

**Audits:**

The extent and frequency of audits depend on the size of the grant and the particular grant provisions.

**Records:**

Awardee is expected to maintain auditable records to substantiate total costs incurred under the agreement.

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

FY 07 \$400,000; FY 08 \$400,000; and FY 09 est not reported. Funds are subject to annual appropriations.

**Range and Average of Financial Assistance:**

\$50,000.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that approximately 8-10 awards will be made resulting in approximately 40-50 fellowships and or scholarships.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

U.S. Nuclear Regulatory Commission, One White Flint North, 11555 Rockville Pike, Rockville, Maryland 20852 and Two White Flint North, 11545 Rockville Pike, Rockville, Maryland 20852. Mailing Address: U.S. Nuclear Regulatory Commission Washington, D.C. 20555-0001. Telephone (301) 415-7000.

**Web Site Address:**

www.nrc.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable. New authority.

**CRITERIA FOR SELECTING PROPOSALS:**

Capacity and ability of the institution to effectively conduct the program. Number and quality of students that will be served by the program. Justification for number of students served and amount of stipend and scholarship support. Quality and feasibility of recruitment and marketing strategies. Quality of technical programs for scholarship/fellowship programs. Type of student support, i.e. mentoring or advisor assistance Feasibility and completeness of an evaluation plan that will measure the effectiveness of the scholarship/fellowship program Institutional support for the program and the extent to which the institution is committed to making the program an organizational focus. Plans for sustainability. Additional merit review considerations apply.

# COMMODITY FUTURES TRADING COMMISSION

## 78.004 COMMODITY FUTURES REPARATIONS CLAIMS

### FEDERAL AGENCY:

COMMODITY FUTURES TRADING COMMISSION

### AUTHORIZATION:

Commodity Exchange Act, as amended; Commodity Futures Trading Commission Act, Public Law 93-463; Futures Trading Act of 1978, Public Law 95-405; Futures Trading Act of 1982, Public Law 97- 444; Futures Trading Act of 1986, Public Law 99-641; Futures Trading Practices Act of 1992, Public Law 102-546; Commodity Futures Modernization Act of 2000, Public Law 106-554.

### OBJECTIVES:

To respond to customer complaints and inquiries and to provide a forum for hearing and ruling on reparations complaints against registrants regarding monetary damages resulting from violation of the Commodity Exchange Act or regulations.

### TYPES OF ASSISTANCE:

Investigation of Complaints.

### USES AND USE RESTRICTIONS:

Customer complaints are an important source of information about possible violations and assist the Commodity Futures Trading Commission in its enforcement and regulatory functions. Persons who believe they may have been cheated or defrauded in their trading transactions should advise the Commission so that it may take appropriate action. The Commission also provides a customer reparations forum where monetary awards may be directed to any person who can prove damage received as a result of violation of the Commodity Exchange Act in dealing with persons or companies registered with the Commission. Information on future trading is also available to the general public upon request.

### Applicant Eligibility:

Market users and the general public can submit customer complaints or inquiries. Reparations complaints may be received from market users stating a claim for damages as a result of violations of the Commodity Exchange Act or regulation thereunder by a person or firm registered under the Act.

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

Reparations complaints must be proved by the complainant and must meet requirements for filing specified by Commission regulations.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Customer complaints and inquiries may be made by letter or telephone, to the Office of Proceedings-Complaints Section. Reparations complaints must be written verified statements as specified by Commission regulations and must be submitted to the Washington, DC office of the Commission.

### Award Procedure:

Not applicable.

### Deadlines:

Reparations claims must be filed within 2 years after the cause of action accrues.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Under certain circumstances appeals may be filed.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

95-1400-0-1-376.

### Obligations:

(Salaries and Expenses) FY 07 \$70,400,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

None.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Commodity Exchange Act as amended 7 U.S.C. - Regulations under the Commodity Exchange Act (CFR Title 17, Chapter 1), Reparations Literature (no charge).

### Regional or Local Office:

See address Appendix IV of the Catalog.

### Headquarters Office:

Office of the Executive Director, Office of Proceedings, Commodity Futures Trading Commission, 3 Lafayette Center, 1155 21st Street, NW., Washington, DC 20581. Telephone: (202) 418-5250.

### Web Site Address:

<http://www.cftc.gov> .

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

# DEPARTMENT OF ENERGY

## 81.003 GRANTING OF PATENT LICENSES

(DOE Patents Available for Licensing)

### FEDERAL AGENCY:

OFFICE OF GENERAL COUNSEL, DEPARTMENT OF ENERGY

### AUTHORIZATION:

Public Law 96-517, 35 U.S.C. 207, 208, 209; Atomic Energy Act of 1954, Sections 156 and 161(g), as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2186 and 2201; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

### OBJECTIVES:

To encourage widespread utilization of inventions covered by DOE owned patents.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Nonexclusive, revocable licenses are granted by Department of Energy (DOE) to responsible applicants with plans for development and/or marketing on approximately 1,500 DOE owned United State patents. Exclusive and partially exclusive licenses may also be granted. Similar licenses on approximately 200 DOE owned foreign patents may be accorded to United State citizens and corporations, and to others under terms and conditions which depend upon particular facts. Licenses for use or sale in the United State may normally be granted only to licensees that agree to manufacture in the United State Copies of U.S. patents may be obtained from the United State Patent and Trademark Office, Department of Commerce, Washington, DC 20231, for a modest fee.

### Applicant Eligibility:

Individuals, firms, or corporations with satisfactory plans and intentions to commercialize the invention may apply.

### Beneficiary Eligibility:

Individuals, firms, and corporations will benefit.

### Credentials/Documentation:

Satisfactory plans for development and/or marketing of the invention. In the case of corporations, the State of incorporation. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

### Application Procedure:

By letter to the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE, Washington, DC 20585, identifying the patent by its number, together with information as to: (1) The nature and type of the applicant's business; (2) the purpose for which the license is desired together with documentation as to the applicant's plan for development and/or marketing of the invention to achieve that purpose; (3) the geographical areas in which the applicant will practice the invention; (4) the applicant's willingness to render periodic reports on the use of the licensed subject matter; (5) the applicant's status as a small business firm, minority business, or other; and (6) remittance of a \$25 processing fee for each license requested. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Patent licenses are issued by the Office of the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Normally three months for nonexclusive licenses; somewhat longer for exclusive licenses.

### Appeals:

Applicants denied a license and revoked licensees have the right to appeal in accordance with 10 CFR 781 by filing notice of appeal within 30 days. Appeals board is designated upon filing of notice of appeal.

### Renewals:

Licenses may be renewed upon reapplication, contingent on satisfactory performance.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

Annual reports are required to be submitted as to the extent of utilization and royalties due, if applicable.

### Audits:

If license is royalty bearing, DOE has the right to inspect the books of account as necessary to determine accuracy of statement.

### Records:

None except where the specific license provides for payment of royalty.

### Account Identification:

89-0228-0-1-276.

### Obligations:

(Salaries) FY 07 \$0; FY 08 est \$0 and FY 09 est \$0.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

2 licenses were granted in FY 2007; 8 (estimates) are expected to be granted in FY 2008 and 8 (estimates) are expected to be granted in FY 2009.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Licensing of government owned inventions (37 CFR 404). 10 CFR 781, DOE Patent Licensing Regulations; "DOE Invention Licensing Program" describes the program and is available at <http://www.osti.gov/gencoun/>.

### Regional or Local Office:

None.

### Headquarters Office:

John T. Lucas, Office of the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE, Washington, DC 20585. Telephone: (202) 586-2802.

### Web Site Address:

<http://www.doe.gov>.

### RELATED PROGRAMS:

11.900, Patent and Trademark Technical Information Dissemination.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Nonexclusive licenses - satisfactory plan for development and/or marketing of the invention. Exclusive licenses in addition, a determination in accordance with 35 U.S.C. 209(c) that exclusivity is reasonable and necessary for commercialization.

## 81.022 USED ENERGY-RELATED LABORATORY EQUIPMENT GRANTS

(Used Equipment Grants)

### FEDERAL AGENCY:

OFFICE OF SCIENCE, DEPARTMENT OF ENERGY

### AUTHORIZATION:

Atomic Energy Act of 1954, Section 31(a) and (b), as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

### OBJECTIVES:

To assist United States institutions of higher education in equipping their science and engineering laboratories for energy-related research and/or instructional purposes.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Used energy-related laboratory equipment is granted to nonprofit educational institutions of higher learning for use in energy-oriented research or instructional programs in the life, physical, and environmental sciences and engineering.

### Applicant Eligibility:

Nonprofit educational institutions of higher learning, such as universities, colleges, junior colleges, hospitals, and technical institutes or museums located in the United States and interested in establishing or upgrading energy oriented educational and research programs in the life, physical, and environmental sciences and engineering may apply.

### Beneficiary Eligibility:

Nonprofit institutions of higher education benefit.

### Credentials/Documentation:

Institutions complete the on-line application. This application includes: (1) Identification of institution and school and/or department where equipment would be used; (2) the objectives to be met through use of the equipment; (3) a detailed listing of the equipment requested; (4) a brief description of energy-oriented course offerings and numbers of graduate and undergraduate students enrolled; (5) data on qualifications of faculty members to make effective use of the equipment; (6) reference to any prior grant for equipment (financial or otherwise) to the same or to a related department; (7) the name and title of the person preparing the application. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Representatives of eligible institutions should contact Department of Energy (DOE) Used Energy-Related Laboratory Equipment (ERLE) web site located at <http://erle.osti.gov/erle>. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.



**Application Procedure:**

The guideline and application are on the website. The application will be automatically submitted to the appropriate DOE field office via electronic mail. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Award is on basis of first-received, first-qualified proposal.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 30 days.

**Appeals:**

A written appeal must be submitted within 15 days after a freeze is placed on an item.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses.

**Audits:**

Audits are performed on a selective basis.

**Records:**

None.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

The number of awards depends on the amount and type of equipment excised during the year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The "Energy-Related Laboratory Equipment (ERLE) Guidelines" are available via the Internet at <http://erle.osti.gov/erle>.

**Regional or Local Office:**

For DOE Operations Offices, see the "List Equipment." On "List Equipment" enter the item control number and hit "submit." This will bring up the individual to contact at the site where the specific piece of equipment is located.

**Headquarters Office:**

Office of Science, U.S. Department of Energy, 1000 Independence Avenue, SW., Washington, DC 20585. Telephone: (202) 586-7231.

**Web Site Address:**

<http://erle.osti.gov/erle>.

**RELATED PROGRAMS:**

39.003, Donation of Federal Surplus Personal Property.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**81.036 INVENTIONS AND INNOVATIONS**

(I&I)

**FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Federal Nonnuclear Energy Research and Development Act of 1974, Section 14, Public Law 93-577, 88 Stat. 1894, 42 U.S.C. 5913; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To encourage the development and commercialization of energy-saving inventions by providing financial and technical assistance to projects that have a potential for significant energy savings and future commercialization markets through a competitive solicitation process.

**TYPES OF ASSISTANCE:**

Project Grants; Advisory Services and Counseling; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The assistance provides financial assistance for research and development of innovative, energy-saving ideas and invention. Inventions and Innovations support energy efficiency and renewable energy technology development in focus areas that align with the Office of Energy Efficiency and Renewable Energy programs. Further Program information can be found at <http://www.eere.energy.gov/inventions>.

**Applicant Eligibility:**

Individuals that are U.S. citizens, either native-born or naturalized, small businesses that are U.S. owned as defined in 10 CFR 600.501.

**Beneficiary Eligibility:**

Individual inventors and small businesses will benefit.

**Credentials/Documentation:**

This Program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This Program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

Only proposals prepared in response to the requirements contained in the annual competitive solicitation will be accepted. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>.

**Award Procedure:**

Awards range from \$50,000 in the early-stage of development to \$250,000 for technologies approaching the point of prototype. Proposals will be reviewed, evaluated, and selected for grant awards by a panel of knowledgeable program and technical personnel. In addition to financial assistance, this Program offers technical guidance and commercialization support to successful applicants.

**Deadlines:**

Deadlines are identified in the solicitation.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Unsuccessful applicants are entitled to a debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

None.

**Formula and Matching Requirements:**

Cost-sharing is not required, but highly encouraged. Level of cost-share is one of the programmatic selection considerations used by the selection official.

**Length and Time Phasing of Assistance:**

Award project periods range from 1 to 2 years.

**Reports:**

Quarterly project and financial status reports are required. A final report is required at the end of the contract period. A 10-year tracking and follow-up reporting mechanism may be required.

**Audits:**

DOE may perform closing audits.

**Records:**

Access to process implementation and efficiency data must be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0203-0-1-270.

**Obligations:**

FY 07 \$2,753,990; FY 08 est \$144,893; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Awards range from \$50,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Since the start of the Inventions and Innovation Program in 1977 more than five hundred inventions have received financial support from DOE, with nearly 25 percent reaching the marketplace.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: DOE Financial Assistance Regulations 10 CFR 600. Guidelines and Literature: at <http://www.eere.energy.gov/inventions>.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Office of Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Avenue, SW., Washington, DC 20585. Telephone: (877) 337-3463.

**Web Site Address:**

<http://www.eere.energy.gov/inventions/> and <http://www1.eere.energy.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects may be accessed at <http://www.eere.energy.gov/inventions> under the I&I Funded Projects section.

**CRITERIA FOR SELECTING PROPOSALS:**

Uniqueness, technical feasibility, marketability, energy relationship (including energy savings).

**81.041 STATE ENERGY PROGRAM****FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Energy Policy and Conservation Act, Title III, Sections 361-366, Part C, Public Law 94-163, 42 U.S.C. 6321-6326; Department of Energy Organization Act of 1977, as amended, Title VI, Section 621, Public Law 95-91, 42 U.S.C. 7101; National Energy Conservation Policy Act of 1978, Public Law 95-619, Public Law 101-440; Balanced Budget Down Payment Act II of 1996, Public Law 104-134.

**OBJECTIVES:**

Provide leadership to maximize the benefits of energy efficiency and renewable energy through communications and outreach activities, technology deployment, and accessing new partnerships and resources across the geographic panorama of the United States and its territories.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants are to be used by States in the development, implementation, or modification of State plans submitted to and approved by DOE. To be eligible for Federal assistance, each State plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163; and may also include a wide range of optional activities. Funds cannot be used for the purchase of land, buildings or any interest therein; construction of buildings or structures; research, development or demonstration of non-commercially available technology; or subsidies of public transportation, fares, utility rate demonstrations or State tax credits for energy conservation.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The ultimate potential beneficiaries will be the people affected by the plan each State develops. This is anticipated to be the State's population.

**Credentials/Documentation:**

Only one application from each State; compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

States submit applications and plans (or amendment to plans) in response to 10 CFR 420. The Department of Energy will select a number of States to pilot the application process through the Grants.gov system in 2006. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>.

**Award Procedure:**

Grants will be awarded incorporating State proposals.

**Deadlines:**

Deadlines are identified in the solicitation.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

As designated in 10 CFR 420.

**Renewals:**

Renewals are subject review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Grant allocations for State Energy Program appropriations up to \$25.5 million is based on a formula reflecting and incorporating the historical allocation of funding for the two major Programs the State Energy Conservation Program and the Institutional Conservation Program, allocation of funding for appropriations in excess of \$25.5 million is based on the following factors: 33 1/3 percent divided equally among states; 33 1/3 percent divided on the basis of the population of the participating states; and 33 1/3 percent divided on the basis of the energy consumption of the participating States.

**Length and Time Phasing of Assistance:**

Funds awarded annually subject to Congressional appropriation, with no restriction on spending period. Funds released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE.

**Reports:**

Standard 10 CFR 600 reporting and auditing requirements and DOE specific reports cleared with OMB must be submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-102. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0215-0-1-270.

**Obligations:**

FY 07 \$45,381,613; FY 08 est \$47,000,000; and FY 09 est \$49,000,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fifty-six States and territories participate in the development and implementation of their State plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 420.

**Regional or Local Office:**

See Appendix IV of the Catalog for DOE Regional Offices.

**Headquarters Office:**

Office of Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Avenue, SW., Washington, DC 20585. Telephone: (877) 337-3463.

**Web Site Address:**

[http://www.eere.energy.gov/state\\_energy\\_program/](http://www.eere.energy.gov/state_energy_program/) and  
<http://www1.eere.energy.gov>.

**RELATED PROGRAMS:**

81.042, Weatherization Assistance for Low-Income Persons.

**EXAMPLES OF FUNDED PROJECTS:**

Grants are used by States in the development, implementation, or modification of State plans submitted to and approved by DOE.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State energy conservation plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163, and may also contain a wide range of optional activities.

**81.042 WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS****FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Energy Conservation and Production Act, Title IV, Part A, Public Law 94-385, 42 U.S.C. 6851-6872; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Energy Conservation Policy Act of 1978, Title II, Part 2, Public Law 95-619, 92 Stat. 3206; Energy Security Act of 1980, Title V, Subtitle E, Public Law 96-294; Human Services Reauthorization Act of 1984, Public Law 98-558, 98 Stat. 2888; State Energy Efficiency Programs Improvement Act of 1990, Public Law 101-440.

**OBJECTIVES:**

To improve home energy efficiency for low-income families through the most cost-effective measures possible.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Improvement of the thermal efficiency of dwellings by the installation of weatherization materials such as attic insulation, caulking, weather-stripping, furnace efficiency modifications, certain mechanical measures to heating and cooling systems, and replacement furnaces, boilers, and air-conditioners. States may average expenditures per dwelling unit for materials, program support and labor costs not to exceed \$2,500 adjusted annually for inflation. Up to 10 percent of each grant may be spent by a State and its subgrantees for administrative expenses (a State may not use more than 5 percent of the total State grant for such purposes).

**Applicant Eligibility:**

States, including the District of Columbia, and in certain instances, Native American tribal organizations. In the event a State does not apply, a unit of general purpose local government, or community action agencies and/or other nonprofit agencies within that State becomes eligible to apply.

**Beneficiary Eligibility:**

All low-income households are eligible to receive weatherization assistance. A low-income household is one whose combined income falls at or below 125 percent of the poverty level determined by the Office of Management and Budget's poverty income guidelines or the basis on which Federal, State, or local cash assistance payments have been made. A State may also elect to make all homes eligible under the HHS Low-income Home Energy Assistance Program (LIHEAP) eligible for weatherization assistance and may use either 150 percent

of poverty or 60 percent of State median income.

**Credentials/Documentation:**

The Department of Energy (DOE) requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Guidelines available from DOE offices. Governors or their designated agencies must apply for grants to the appropriate DOE office and submit State Plans and applications pursuant to E.O. 12372, "Intergovernmental Review of Federal Programs." Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

No preapplication form is required by the DOE. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

For applications from states, it is expected that Grants.gov will be utilized from FY 2006 forward. The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site: <http://www.grants.gov/> Applicants for sub-awards from the states should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Award Procedure:**

Grant applications will be reviewed by DOE office staff. Grant procedures will be accomplished in accordance with Federal government regulations. Notification of grant awards will be made by the DOE Office Director serving the applicant State.

**Deadlines:**

State applications must be received within 60 days from the date the State receives notification of eligibility to apply for funding.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

If an application is disapproved, the DOE office Director shall issue a written notice which will be sent to the applicant by registered mail. A public hearing will be held no later than 15 days after receipt of such notice. The DOE office Director will issue a final determination not later than 5 working days after the public hearing. In the event of an adverse final determination by the DOE office Director, the applicant may file a written appeal to the Secretary not later than 10 working days after receipt of the DOE office Director's determination. The Secretary will have 21 working days to consider the appeal and if no action is taken the decision of the DOE office Director will stand.

**Renewals:**

Financial assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

The statistical factors used for fund allocation are: (1) Heating degree days and the source is "State Level Heating and Cooling Degree Days," over a 30-year period (1951 to 1980), NOAA; (2) cooling degree days and the source is "State Level Heating and Cooling Degree Days" over a 30-year period (1951 to 1980), NOAA; (3) the number of low-income owner occupied dwelling units and the source is 1990 Decennial Census, from the Bureau of the Census; (4) number of low-income renter occupied dwelling units and the source is the 1990 Decennial Census from the Bureau of the Census; (5) the percentage of total residential heating used for space heating and the source is the "1987 Residential Energy Consumption Survey" published by DOE, Energy Information Administration; and (6) the percentage of total residential energy used for space cooling and the source is the "1987 Residential Energy Consumption Survey" published by DOE, Energy Information Administration. The statistical factor used for eligibility is the dwelling units occupied by families with incomes at or below 125 percent or if the State elects, 150 percent or 60 percent of State median income as defined under the HHS LIHEAP Program of the "OMB Poverty Guidelines."

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA, and ESA.

**Reports:**

Quarterly program and financial reports. Annual monitoring, leveraging, training, and technical assistance reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

Will be required in accordance with 10 CFR 600.

**Account Identification:**

89-0215-0-1-999.

**Obligations:**

FY 07 \$204,356,661; FY 08 est \$122,090,951; and FY 09 est \$150,000,000.

**Range and Average of Financial Assistance:**

The average State grant is \$2,744 per household.

**PROGRAM ACCOMPLISHMENTS:**

Over 5.5 million homes have been weatherized with DOE funds since 1976.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Weatherization Assistance guidelines published June 1, 1977. Amendments to guidelines published January 2, 1979, August 29, 1979, February 27, 1980, June 1, 1981, March 1, 1982, January 27, 1984, January 4, 1985, December 5, 1985, March 4 1993, June 5, 1995, and December 8, 2000.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Ave., SW, Washington, DC 20585. Telephone: (877) 337-3463.

**Web Site Address:**

<http://www.eere.energy.gov/weatherization/> and <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

81.041, State Energy Program.

**EXAMPLES OF FUNDED PROJECTS:**

State funded local action agencies install energy conservation measures in the homes of low-income persons.

**CRITERIA FOR SELECTING PROPOSALS:**

DOE requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Guidelines available from DOE Regional Offices.

**81.049 OFFICE OF SCIENCE FINANCIAL ASSISTANCE PROGRAM**

(Basic Energy Sciences; High Energy Physics; Nuclear Physics; Fusion Energy Sciences; Biological and Environmental Research; Advanced Scientific Computing Research, and Workforce Development for Teachers and Students)

**FEDERAL AGENCY:**

OFFICE OF SCIENCE, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To provide financial support for fundamental research in the basic sciences and advanced technology concepts and assessments in fields related to energy.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, and services required for conducting research, related activities, and advanced technology projects or assessments. Restrictions on use of funds depend on grant provisions.

**Applicant Eligibility:**

Colleges and universities, nonprofit organizations, for-profit commercial organizations, State and local governments, and unaffiliated individuals.

**Beneficiary Eligibility:**

Colleges and universities, nonprofit organizations, for-profit commercial organizations, State and local governments, and unaffiliated individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education; OMB Circular No. A-122 for nonprofit organizations; and OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Informal communication addressed to the appropriate Headquarters Office listed below is desirable before preparing a detailed formal application. This program is excluded from requirements under E.O. 12372.

**Application Procedure:**

The application forms must be downloaded from the specific funding opportunity announcement at the Grants.gov web site: <http://www.grants.gov>.

**Award Procedure:**



Decisions to approve are made by a Headquarters program official. A DOE procurement office is then authorized to negotiate and prepare an appropriate award document.

**Deadlines:**

Applications may be submitted at any time while a solicitation is open. Specific grant solicitation notices contain due dates.

**Range of Approval/Disapproval Time:**

Normally, 6 months from receipt of grant application. Maximum, 12 months.

**Appeals:**

None.

**Renewals:**

Applications for renewal are subject to review and acceptance by the headquarters Office of Science program offices. For ongoing grant projects, renewal applications must be submitted six months prior to the grant's project period expiration date.

**Formula and Matching Requirements:**

Usually, cost sharing is encouraged but not required. In some cases, however, cost sharing may be required by specific grant solicitation notices.

**Length and Time Phasing of Assistance:**

Generally, grants are approved for three-year project periods and funded one year at a time. Depending upon specific circumstances, grant project periods may range from one year to five years, at the discretion of the program office.

**Reports:**

Typically for research projects, grantees are required to submit an annual progress report and a final report at the end of the project. The schedule of reports is arranged at the time of the negotiation.

**Audits:**

Costs incurred are subject to audit throughout the grant period and/or before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular grant provisions.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0224-0-1-271; 89-0222-0-1-251.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$830,000,000; FY 08 \$830,000,000; and FY 09 est \$830,000,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$2,000,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Office of Science research programs, which complement DOE's applied missions in energy resources, environmental quality, and national security, have been at the forefront of modern scientific advances and have expanded the frontiers of basic scientific knowledge. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research projects. Student support on basic science research projects has helped to train the future scientific talent in DOE supported science areas such as materials science, chemistry, mathematics, general life sciences, geosciences, genetics, radiation biology, ecology, nuclear medicine, and high energy and nuclear physics. Nobel prizes, Fermi awards, and Lawrence awards have been awarded to DOE supported researchers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 605; 10 CFR 600; Application Guide for the Office of Science Financial Assistance Program.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Martin R. Rubinstein, Office of Grants and Contracts Support, Office of Science, Department of Energy, 19901 Germantown Road, Germantown, MD 20874-1290. Telephone: (301) 903-5212.

**Web Site Address:**

<http://www.science.doe.gov/production/grants/grants.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Results and accomplishments of basic research performed under these programs are reported in open scientific literature.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific and/or technical merit of the project; appropriateness of the proposed method or approach; competency of the applicant's personnel and the adequacy of proposed resources; and reasonableness and appropriateness of the proposed budget.

**81.057 UNIVERSITY COAL RESEARCH**

**FEDERAL AGENCY:**

OFFICE OF FOSSIL ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Public Law 83-703; Energy

Reorganization Act of 1974, Public Law 93-438; Research and Marketing Act of 1946, as amended, Public Law 85-934; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93- 577; Department of Interior and Related Agencies Appropriations for 1980, Public Law 96-126; Department of Interior and Related Agencies Appropriations for 2004, Public Law 108-108.

**OBJECTIVES:**

To improve scientific and technical understanding of the chemistry and physics involved in the conversion and utilization of coal. The primary objective is to fund long-term, high-risk, meritorious fundamental research for the advancement of science related to all Fossil Energy's coal-related programs. Through an annual solicitation, applications are sought with the potential to overcome barriers in technology development and accelerate the identification of solutions for energy and environmental problems. Solicited research should contemplate nearly total carbon closure by the year 2015 along with substantial increases in energy conversion efficiency for utilizing our nation's abundant coal resources.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Work must be related to program objectives.

**Applicant Eligibility:**

U.S. colleges and universities may apply.

**Beneficiary Eligibility:**

U.S. colleges and universities will benefit. The principal investigator must be a teaching professor and the grant must support at least one student enrolled at the college/university.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of 10 CFR 600. Proposals should be submitted through <http://www.grants.gov>.

**Award Procedure:**

Proposals reviewed by qualified experts in accordance with the factors listed in 10 CFR Chapter II, Part 600 with specific emphasis on the scientific and technical merit of the proposed research and the factors listed in the formal solicitation for proposals.

**Deadlines:**

Deadlines are stated in solicitations issued annually. Currently, solicitations are issued between April and July with proposals due 6 weeks later. Interested parties should check the NETL Webpage at <http://www.netl.doe.gov> or [www.grants.gov](http://www.grants.gov) for announcements on solicitation release.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Limited university/industrial collaboration is encouraged but not required for applications submitted by one or two institutions. For larger size grants that require industrial participation a minimum of 25% cost sharing is required in these University/Industry partnership applications. Details are described in the solicitation. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Varies, but it is no longer than 36 months. Usually funded by the Electronic Transfer System.

**Reports:**

Reports are currently required on a quarterly basis on progress and expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 110, in conjunction with OMB Circular No. A-21, "Cost Principles for Education Institutions".

**Records:**

Retention of records will be required pursuant to guidelines set forth in 10 CFR 600.

**Account Identification:**

89-0213-0-1-271.

**Obligations:**

(Grants) FY 07 \$2,755,000; FY 08 \$2,376,000; and FY 09 est \$2,413,000.

**Range and Average of Financial Assistance:**

Funding varies; however, projected fund in the future could range from \$200,000 to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, eight applications were received and two awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A formal competitive solicitation for proposals was issued in April, 2008 for the fiscal year 2009 program.

**Regional or Local Office:**

Project Office - National Energy Technology Laboratory, P.O. Box 10940, Pittsburgh, PA 15236. Contact: Ms. Paula Flenory, Telephone (412) 386-4781.

**Headquarters Office:**

Office of Advanced Research, Assistant Secretary of Fossil Energy, Washington, DC 20585. Contact: Fred Glaser. Telephone: (301) 903-2786.

**Web Site Address:**

<http://www.netl.doe.gov/technologies/coalpower/advresearch/>.

**RELATED PROGRAMS:**

81.089, Fossil Energy Research and Development.

**EXAMPLES OF FUNDED PROJECTS:**

In 2008, within the board area of Enabling Advanced Modeling and Simulation for Fuel-Flexible Combustors, projects were awarded in two the subtopic areas that follows: 1) Quantify Current Prediction Capability for Flashback and Lean Blowout, and Identify The Sensitivity to Physical Sub-Models and 2) Conduct Numeric Investigations of Boundary Condition Effects On CFD Simulations of Thermo-Acoustic Instabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Emphasis is on the scientific and technical merit of the proposed research and the factors listed as generic goals in the formal solicitation for proposals.

## 81.064 OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION

(OSTI)

**FEDERAL AGENCY:**

OFFICE OF SCIENCE, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

42 U.S.C. 7151 (A); 42 U.S.C. 7112 (5).

**OBJECTIVES:**

To advance science and sustain technological creativity by making R&D findings available and useful to the Department of Energy (DOE) researchers and the American people. To collect, preserve, disseminate, and leverage the scientific and technical information (STI) resources of DOE in order to provide access to national and global STI for use by DOE, the scientific research community, academia, US industry, and the public to expand the knowledge base of science and technology. To acquire domestic and international information of interest to DOE and the scientific community through partnerships with U.S. agencies and over 120 countries and international organizations.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The Scientific and Technical Information (STI) produced through DOE and its predecessor agencies includes information from the broad range of science disciplines of interest to the Energy Department mission. OSTI is the sole source of specialized collections containing results of closed-out DOE research and development projects. OSTI provides information services to DOE and DOE contractor organizations and makes Energy Department information publicly available through a suite of OSTI Web tools and services. Most information services are provided electronically through databases and full-text compilations at no cost. Some collections result from partnerships with other national and international governmental agencies.

**Applicant Eligibility:**

State and local governments and universities that are DOE contractors are provided electronic access to Energy Department information in specific areas of concern. Energy information exchange agreements may be made with non-DOE affiliates, universities and other organizations involved in energy-related research. Public access to R&D documents is also available through the National Technical Information Service (NTIS) and the Government Printing Office (GPO).

**Beneficiary Eligibility:**

DOE federal employees and contractors are primary beneficiaries of DOE STI collections in their specific areas of concern. Although most Web-based collections are available to the general public through official government outlets, limited-access databases contain information restricted by international exchange agreements or other access restrictions.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

By written or telephone inquiry to the information contacts shown below. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

89-0230-0-1-270.

**Obligations:**

(Salaries and Expenses); FY 07 \$8,600,000; FY 08 est \$8,700,000 and FY 09 est \$8,900,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In 2007, OSTI developed and launched the DOE Science Accelerator (<http://www.ScienceAccelerator.gov>) which searches across key DOE databases with one query. The Energy Citations Database (<http://www.osti.gov/energycitations>) contains over 2.2 million references to research results. Over 1.5 million full-text reports of research results reside in a centralized repository, and harvested citations link to thousands more at DOE and DOE contractor sites. The Information Bridge: DOE Scientific and Technical Information (full-text DOE research and development reports, (<http://www.osti.gov/bridge>) contains more than 170,000 full-text reports. The E-print Network: Research Communications for Scientists and Engineers (<http://www.osti.gov/eprints>) provides full-text searching of more than 5 million e-prints from scientific Web sites and databases. Also included is a searchable compendium of over 3,000 scientific societies. A relevancy tool was added in FY 04 to rank search results. DOE Research and Development (R&D) Project Summaries (<http://www.osti.gov/rdprojects>) contains information on approximately 30,000 active DOE-sponsored research projects. Energy Files (<http://www.osti.gov/energyfiles>), a virtual library of information and resources pertaining to energy science and technology, provides single- query searching across more than 500 information resources. Science Conference Proceedings (<http://www.osti.gov/scienceconferences>) provides access to science and technology conference papers and proceedings from a number of authoritative sites whose areas of interest in the physical sciences and technology intersect with those of DOE. DOepatents (<http://www.osti.gov/doepatents>) is DOE's central collection of patent information, and demonstrates the Department's considerable contribution to scientific progress from the 1940s to the present. The Energy Science and Technology Software Center searches and distributes federally funded scientific and technical software developed by the national laboratories, other facilities and DOE contractors. Science.gov (<http://www.science.gov>), the USA.gov portal for science information, provides integrated searching of and access to government-sponsored research results and science information with a single query. Search enhancements, including relevancy ranking, have been implemented, along with a user-customized Alert Service to deliver relevant information about the most current science developments to desktops each Monday. OSTI hosts and provides deep Web search capability to Science.gov, a collaboration of 17 information organizations from 13 R&D federal agencies. The deep Web search allows a user to search government databases, regardless of which agency has the data or how that data is stored. In 2007, OSTI developed WorldWideScience.org, a global science gateway to over 200 million pages of science information from science portals residing on every inhabited continent. Science.gov is the U.S. contribution to WorldWideScience.org. FY 07 data show more than 74 million user transactions for Web products maintained on OSTI servers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OSTI announces and makes available research and development reports and current awareness publications which are available on the World Wide Web via the OSTI Home Page at <http://www.osti.gov>. Policy and practices related to DOE's Scientific and Technical Information Program are available at <http://www.osti.gov/stip>.

**Regional or Local Office:**

None.

**Headquarters Office:**

DOE Office of Science, Office of Scientific and Technical Information, Office of Program Integration, 1 Science.gov Way, Oak Ridge, TN 37831. Contact: Sharon Jordan, Assistant Director, Program Integration (865) 576-1194, [jordans@osti.gov](mailto:jordans@osti.gov).

**Web Site Address:**

<http://www.osti.gov>

**RELATED PROGRAMS:**

11.650, National Technical Information Service; 40.001, Depository Libraries for Government Publications.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**81.065 NUCLEAR WASTE DISPOSAL SITING**

(Consultation and Cooperation Financial Assistance)

**FEDERAL AGENCY:**

CIVILIAN RADIOACTIVE WASTE MANAGEMENT, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Nuclear Waste Policy Act (NWP), Sections 116, 118, 219, 302, Public Law 97-425; Nuclear Waste Policy Amendments Act of 1987, Public Law 100-159.

**OBJECTIVES:**

To provide for the development of repositories for the disposal of high-level radioactive waste and spent nuclear fuel; to establish a program of research, development, and demonstration regarding the disposal of high-level radioactive waste and spent nuclear fuel; and for other purposes.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial and technical assistance is provided by Direct Payments for Specified Uses or Project Grants (cooperative agreements) to review potential economic, social, public health and safety, and environmental impacts; develop requests for impact and mitigation assistance; engage in any monitoring, testing, or evaluation activities; provide information to the public; and request information and make comments, recommendations. Any salary or travel expense that would ordinarily be incurred by such State, political subdivision of such State, or an Indian tribe may not be considered eligible for funding under this program.

**Applicant Eligibility:**

The State of Nevada, affected units of local government, and affected Indian tribes in which DOE is conducting, or interested in conducting, nuclear waste disposal activities. Those units of local government which are contiguous to the situs unit of local government may be designated as affected, at the discretion of the Secretary, and would then be eligible for financial assistance. Designation of a unit of local government or tribe as an 'Affected Unit of Local Government' or 'Affected Tribe' is done pursuant to the NWP.

**Beneficiary Eligibility:**

States, affected units of local government and affected American Indian tribes will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

A letter of inquiry describing the proposed work and eligibility of the proposer to do the work under a project grant (cooperative agreement) is desirable before preparation of a detailed formal proposal. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372. Neither an environmental assessment nor an environmental impact statement is required.

**Application Procedure:**

Applicant may omit the letter of inquiry and submit a proposal instead. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The proposal may be forwarded for internal and external review and then, if approved, to a DOE procurement office for grant development.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Normally 3 to 6 months for Project Grants (cooperative agreements).

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to both internal and external evaluation.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. However, cost-sharing may be appropriate under certain conditions as set forth in DOE financial assistance rules (10 CFR Part 600) governing cost-sharing.

**Length and Time Phasing of Assistance:**

The schedule of DOE payment is arranged at the time of grant negotiations. Length and time phasing of assistance will vary with DOE program phase and activity.

**Reports:**

The schedule of reports is arranged at the time of grant negotiations.

**Audits:**

Annual appropriation language provides, in the heading "Nuclear Waste Disposal", that notwithstanding the provisions of chapters 65 and 75 of title 31, United States Code, the Department shall have no monitoring, auditing or other oversight rights or responsibilities over amounts provided to affected units of local government in this or any previous year under this heading.

**Records:**

Grantee is expected to maintain auditable records to substantiate the total costs incurred under the agreement or contract.

**Account Identification:**

89-5227-0-2-271.

**Obligations:**

FY 07 \$29,000,000; FY 08 est \$29,000,000; and FY 09 est \$29,000,000.

**Range and Average of Financial Assistance:**

\$40,000 to \$5,000,000 depending on program phase.

**PROGRAM ACCOMPLISHMENTS:**

The following groups received grants (short titles are provided): Clark County (Emergency Response Planning System and Advanced Transportation Technologies); Inyo County (Death Valley Regional Groundwater Monitoring Program); National Academy of Science (NAS)(Transportation of Radioactive Waste); National Association of Regulatory Utility Commissioners (NARUC)(Support review and activities with DOE/OCRWM); National Conference of State Legislatures (NCSL)(Collection & Distribution of Nuclear Waste & Spent Fuel Policy information to State Legislatures); Nye County (Early Warning Drilling Program); Nye County (Independent assessment of the Yucca Mountain Trans. issues and concerns. Unique to the Destination County); University & Community College System of Nevada (UCCSN) (Scientific and Engineering Activities); and Western Interstate Energy Board (WIEB) (Regional Coordination and analysis of the OCRWM Transportation Program).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Guidelines for Implementing Financial Assistance Programs under Section 116 and 118 of the Nuclear Waste Policy Act of 1982, as amended.

**Regional or Local Office:**

Tanya N. Montgomery, Office of Civilian Radioactive Waste Management, Office of External Affairs, Las Vegas, NV 89134. Telephone: (702) 794-5449.

**Headquarters Office:**

None.

**Web Site Address:**

<http://ocrwm.doe.gov>.

**RELATED PROGRAMS:**

81.049, Office of Science Financial Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Review of key site characterization documents; State of Nevada information office developing technical capability to review DOE actions as part of consultation and cooperation process; socioeconomic environmental, hydrogeological, geological, and transportation assessments.

**CRITERIA FOR SELECTING PROPOSALS:**

Statutory Eligibility.

**81.079 REGIONAL BIOMASS ENERGY PROGRAMS****FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy and Water Development Appropriations Act, Public Law 99-500.

**OBJECTIVES:**

Help meet the President's goal of significantly increasing America's use of fuels, chemicals, materials, and power made from domestic biomass on a sustainable basis. This is a Congressionally-directed project. Funding is not available to the general public.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer any of several biomass energy technologies to the scientific and industrial communities. For regional programs, such technologies will be appropriate for the needs and resources of particular regions of the United States.

**Applicant Eligibility:**

Profit organizations; private nonprofit institutions/organizations; intrastate, interstate, State and local government agencies, and universities may apply.

**Beneficiary Eligibility:**

Profit organizations; private nonprofit institutions/organizations; intrastate, interstate, State and local government agencies, universities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.



**Application Procedure:**

This is a Congressionally-directed program. Financial assistance application forms can be downloaded from <http://www.grants.gov>.

**Award Procedure:**

Varies.

**Deadlines:**

Varies.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability for funds.

**Formula and Matching Requirements:**

This program has no statutory formula, but cost sharing is encouraged and is a factor in the award decision process.

**Length and Time Phasing of Assistance:**

Varies.

**Reports:**

Quarterly progress and expenditure reports. Final report at conclusion.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

FY 07 \$395,000; FY 08 est \$75,131; and FY 09 est \$90,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

The development of biomass energy technologies have been advanced on a regional basis.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To determine how to submit an application and find out about other government procurement rules and regulations, please visit the Office of Energy Efficiency and Renewable Energy Project Management Center website at <https://www.eere-pmc.energy.gov>.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Office of Biomass Program, EE-2E, Office of Energy Efficiency and Renewable Energy, Department of Energy, 1000 Independence Ave., SW, Washington, DC 20585. Telephone: (202) 586-8798.

**Web Site Address:**

<http://www.eere.energy.gov> and <http://www1.eere.energy.gov>.

**RELATED PROGRAMS:**

81.087, Renewable Energy Research and Development.

**EXAMPLES OF FUNDED PROJECTS:**

Northeast, Northwest, Southeast, Great Lakes, and Western Regional Biomass Energy Programs received funding.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a Congressionally-directed program. Minimal funding is available to the general public. Merit of the proposal is determined by: (1) Technical relevance to program objectives; (2) potential contribution of the feedstock or conversion process to the energy needs of the region; (3) environmental and employment considerations; and (4) amount of cost-sharing by recipient.

**81.086 CONSERVATION RESEARCH AND DEVELOPMENT**

(Conservation)

**FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Laws 95-911 and 97-377; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577.

**OBJECTIVES:**

To conduct a balanced, long-term research effort in Buildings Technologies, Industrial Technologies, Freedom Car and Transportation Technologies and Hydrogen, Fuel Cells and Infrastructure Technologies. Grants will be offered on a competitive basis to develop and transfer various energy conservation

technologies to the nonfederal sector.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance may be used in the form of cooperative agreements, or grants to nonprofit institutions and organizations to develop and transfer energy conservation technologies to the scientific and industrial communities, States, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Renewable Energy Technology program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Deadlines are identified in the solicitation.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants may be modified or extended.

**Formula and Matching Requirements:**

This program has no statutory formula, but cost sharing is encouraged.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 2 years.

**Reports:**

Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0215-0-1-999; 89-0224-0-1-271; 89-0125-0-1-272.

**Obligations:**

FY 07 \$71,883,456; FY 08 est \$35,000,000 and FY 09 est \$39,000,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Numerous awards for ongoing research and development projects are made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Building Technologies (EE-2J); Office of Industrial Technologies (EE-2F); Freedom Car and Transportation Technologies (EE-2G) and Hydrogen, Fuel Cells and Infrastructure Technologies (EE-2H), Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Ave., SW, Washington, DC, 20585. Telephone: EE-2J - (202) 586-8038; EE-2F - (202)

586-5264; EE-2G - (202) 586-2198; EE-2H - (202) 586-2480.

**Web Site Address:**

<http://www.eere.energy.gov/> and <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants have been awarded to perform: (1) Research on high performance heat pumps; (2) research on thermally efficient commercial buildings; (3) research on vehicle technologies and systems (4) research on high temperature materials; and (5) research on industrial separation processes.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

## 81.087 RENEWABLE ENERGY RESEARCH AND DEVELOPMENT

(Renewable Energy)

**FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, Public Law 95-238, Section 207; Public Law 101-218.

**OBJECTIVES:**

To conduct balanced research and development efforts in the following energy technologies: solar, biomass, hydrogen, fuel cells and infrastructure, wind and hydropower, hydrogen, and geothermal. Grants will be offered to develop and transfer to the nonfederal sector various renewable energy technologies on a competitive basis.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, and local agencies and universities may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, State and local agencies and universities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Renewable Energy Technology program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Deadlines are identified in the solicitation.

**Range of Approval/Disapproval Time:**

From 60 to 180 days.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula, but cost-sharing is encouraged.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 1 year.

**Reports:**

Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

FY 07 \$226,168,574; FY 08 est \$120,073,230 and FY 09 est \$235,000,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Under the State Cooperative Reservoir Analysis Program, a broad range of research, technical, and resource studies were carried out.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations(10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Solar Energy Technologies (EE-2A); Office of Wind and Hydropower (EE-2B); Geothermal Technologies (EE-2C) and Biomass (EE-2E), Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Ave., SW, Washington, DC, 20585. Telephone: EE-2A - (202) 586-7055; EE-2B - (202) 586-7950; EE-2C - (202) 586-6054; EE-2E - (202) 586-8798.

**Web Site Address:**

<http://www.eere.doe.gov> and <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

81.079, Regional Biomass Energy Programs.

**EXAMPLES OF FUNDED PROJECTS:**

American Institute of Architects Foundation-Determination of solar building technology research and development needs.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation laws, reports, and as otherwise specified in specific solicitation document(s).

## 81.089 FOSSIL ENERGY RESEARCH AND DEVELOPMENT

**FEDERAL AGENCY:**

OFFICE OF FOSSIL ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Public Law 95-91 DOE Organization Act of 1977, as amended by Public Law 109-58 Energy Policy Act 2005. Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-557; Energy Policy and Conservation Act, Public Law 94163.

**OBJECTIVES:**

The mission of the Fossil Energy (FE) Research and Development program is to promote the development and use of environmentally and economically superior technologies for supply, conversion, delivery, utilization and reliability constraints of producing and using fossil fuels. These activities will involve cooperation with industry, DOE Laboratories, universities and States. Success in this mission will benefit the Nation through lower energy costs, reduced environmental impact, increased technology exports, and reduced dependence on insecure energy sources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

States, local governments, universities, governmental entities, consortia, nonprofit institutions, commercial corporations, joint Federal/Industry corporations, U.S. Territories, and individuals are eligible to apply.

**Beneficiary Eligibility:**

Federal, State, local governments, universities, consortia, nonprofit institutions, commercial corporations, joint Federal/Industry corporations, and individuals will benefit.

**Credentials/Documentation:**

Prior successful research and development experience in the fossil energy field and related areas.

**Preapplication Coordination:**

For competitive announcements, the applicant should follow the procedures listed in the specific funding opportunity announcement posted on the

Grants.gov web-site. In the case of Unsolicited Proposals, DOE encourages potential submitters to consult with program personnel before an extensive effort is expended in preparing a detailed proposal. For construction under demonstration projects, an environmental impact statement/assessment is required in accordance with the National Environmental Policy Act (NEPA). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site: <http://www.grants.gov>. Unsolicited Proposals (USP) should be submitted in accordance with the instructions posted at the following web site: <http://www.netl.doe.gov/business/usp/USPGuide.pdf>. This program is subject to the provisions of 10 CFR 600 and FAR 15.6.

**Award Procedure:**

DOE solicitations sets forth award procedures. Unsolicited proposals will be evaluated by DOE personnel assigned to the specific area with peer reviews as required. This program is excluded from coverage under E.O. 12372.

**Deadlines:**

None for USP. For others the deadline is stated in the financial assistance opportunity announcement (FOA) posted at <http://www.grants.gov>.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Awards may be amended or extended as required.

**Formula and Matching Requirements:**

Varies with each grant/cooperative agreement.

**Length and Time Phasing of Assistance:**

The time period for a grant or cooperative agreement is dependent upon the individual project submitted.

**Reports:**

Quarterly progress and financial reports are required. The final scientific/technical report is due within 90 calendar days after the grant or cooperative agreement project period ends.

**Audits:**

Possible project audit, overhead rate audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by grant/assistance award document.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$470,065,442; FY 08 est \$400,976,553; and FY 09 est \$568,130,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$10,000,000/Average: \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 869 financial assistance actions were processed including new awards and amendments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Assistance Regulations, 10 CFR 600; Federal Acquisition Regulation 15.6, Unsolicited Proposals; Guide to Unsolicited Proposals: <http://www.netl.doe.gov/business/usp/unsol.html>.

**Regional or Local Office:**

National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. For Unsolicited Proposals, E-mail John Augustine at [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov).

**Headquarters Office:**

Department of Energy, Fossil Energy Program, Maria Jones, 1000 Independence Avenue, S.W., Mail Stop FE-3, Washington, D.C. Contact: Telephone: (202) 586-1890 or [Maria.Jones@hq.doe.gov](mailto:Maria.Jones@hq.doe.gov).

**Web Site Address:**

<http://www.netl.doe.gov> and <http://www.fossil.energy.gov>.

**RELATED PROGRAMS:**

81.057, University Coal Research.

**EXAMPLES OF FUNDED PROJECTS:**

Membrane Process to Sequester CO2 From Power Plant Flue Gas; Demonstration of Mer-Cure Technology for Enhanced Mercury Control; Investigation of Hydrogen Fueled Internal Combustion Engine; Promote Increase Use of U.S. Clean Coal and Energy Technologies Collaboration and Transfer; Critical Energy Issues in the Asia-Pacific, Middle East and Other Regions; and Clean Energy Collaboration to Further Global Energy Security and Emissions Reduction.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

## 81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL MANAGEMENT (EM), DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703; Energy Reorganization Act of 1974, Public Law 93-438; Department of Energy Organization Act of 1977, as amended; Public Law 96-573; Uranium Mill Tailings Radiation Control Act of 1978; Low-Level Radioactive Waste Policy Act, Public Law 99-240; Low-Level Radioactive Waste Policy Amendments Act, Public Law 96-368; Hazardous Materials Transportation Uniform Safety Act of 1990, Public Law 101-615.

**OBJECTIVES:**

In an effort to more directly support opportunities identified in the Office of Environmental Management (EM) cleanup acceleration initiatives, the Office of Processing will be "projectizing" its Technology Development and Deployment Program. This represents a transition from the current approach, which is to develop technologies that are alternatives to existing site baseline technologies, to provide short-term technical assistance, and to provide support for near-term closure needs. The projectized approach will address the technology needs being identified by the EM sites, enabling them to accelerate their cleanup schedules, treat orphaned wastes, and provide technical foundations for the sites' End States visions. The Technology Development and Deployment Project is focused on a limited number of critical, high-risk and high-payback activities where step improvements can be gained. By realigning the project in this manner, the Department is ensuring that the activities support EMs primary goal of accelerating risk reduction and environmental cleanup. The highest priority needs requiring technical solutions fall into five major areas: High-Level Waste, Groundwater and Soils, Decontamination and Decommissioning (D&D), Spent Nuclear Fuel, and Transuranic Waste.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

Public, quasi-public, private industry, individuals, groups, educational institutions, organizations, and nonprofit organizations may apply including State or local level governments, federally recognized Indian tribal governments, and institutions in U.S. Territories and possessions may apply. Determinations are made by DOE Headquarters, the field, or both.

**Beneficiary Eligibility:**

States, affected Indian tribes, regional organizations, (including U.S. Territories) local governments, and the public will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Cost will also be determined in accordance with OMB Circular No. A-21 for institutions of higher education or as otherwise defined in the financial assistance instrument.

**Preapplication Coordination:**

These determinations will be made by DOE Headquarters, or assisted by the field as appropriate. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

After informal communication with DOE Headquarters Office, a formal proposal by the organization interested in doing the work must be submitted through an appropriate official of the corporate entity, organization, or institution. This program is subject to the provisions of OMB Circular No. A-110. Financial assistance requests will be reviewed pursuant to the Office of Environmental Management Merit Review System (May 5, 1991) and the DOE Financial Assistance Manual, as amended. Note that in fiscal years 2008 and beyond the vast majority of awards will be made in response to competitive procurement and financial assistance solicitations. There will be little to no funding available for unsolicited proposals.

**Award Procedure:**

Award decisions are made by DOE Headquarters throughout the fiscal year.

**Deadlines:**

Whatever is stated in the program announcements; unsolicited proposals may be submitted at any time. Proposals received after April 1, of any year, may be held up to 1 year and may be supported from the next fiscal year funding, if available.

**Range of Approval/Disapproval Time:**

The approximate approval/disapproval time is from 2 months to 1 year.



**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by DOE Headquarters, the field, or both.

**Formula and Matching Requirements:**

There are no specific cost-sharing requirements for financial assistance. It may be appropriate under certain conditions to invoke the appropriate provisions for cost-sharing as set forth in DOE procurement regulations governing cost-sharing or other guidelines. Certain financial assistance requests leading to transfers of technology and/or requiring protection of intellectual property rights may wish to provide cost-sharing as part of its organization's commitments and capabilities.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of an award is 5 years.

**Reports:**

The schedule for reports are arranged at the time of negotiations. Applicants will typically submit a quarterly and an annual report as specified in the grant award, although in certain instances more frequent reporting may be required.

**Audits:**

Costs incurred are subject to audit throughout the contract or grant period and before final close-out. The extent and frequency of audits depend on the size of the contract/grant and the specific contract/grant provisions. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant or cooperative agreement.

**Account Identification:**

89-0240-0-1-053; 89-0242-0-1-053.

**Obligations:**

FY 07 \$13,000,000; FY 08 est \$18,000,000; and FY 09 est \$13,000,000.

**Range and Average of Financial Assistance:**

From \$200,000 to \$7,000,000 per year. Funding may be provided at a higher value for financial cost assistance leading to tangible products.

**PROGRAM ACCOMPLISHMENTS:**

Technology Development and Deployment activities for Environmental Management strive to ensure the health and safety of the public and environment by decreasing worker exposure, reducing overall risk, reducing cleanup costs, and shortening cleanup schedules, through the development and use of new technologies, and novel applications of existing technologies. Project accomplishments include the development and deployment of technologies relating to high-level waste characterization, processing, and disposition; decontamination and decommissioning (D&D); instrumentation and monitors; robotics; groundwater and soil remediation; and university curriculum development. These accomplishments represent significant advances in obtaining these goals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature associated with OPTED requirements, objectives and goals: RCRA, CERCLA, NEPA, CAA, CQA, TSCA; Federal Register notices; "Guide for the Submission of Unsolicited Proposals" available at <http://www.netl.doe.gov/business/usp/index.html>; "Doing Business with the Department of Energy;" "Environmental Restoration and Waste Management Merit Review System."

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Waste Processing, Office of Environmental Management, DOE, Washington, DC 20585.

**Web Site Address:**

<http://www.em.doe.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative Agreements: (1) develop a remote instrumentation system capable of providing quantitative estimates of the amount, chemical composition, and location of residual waste; (2) conduct basic and applied research in robotics and subsidence concerns; (3) develop new grout formulations that will minimize waste canisters, shipments, and costs; (4) develop conceptual model for mercury bio-availability in soil and water; and (5) develop prototype design for tank inspection tool. Grants: (1) develop alternatives for retrieval, processing, and disposition of high-level salt waste; and (2) develop alternative D&D technologies for solving multiple material handling and size reduction tasks; (3)

develop mercury remediation strategies; (4) develop methods to enhance phytoremediation of metals and radionuclides in soil; and (5) develop innovative separations technologies for waste treatment.

**CRITERIA FOR SELECTING PROPOSALS:**

Work must be beneficial to the overall accomplishment of the program objectives and consistent with the criteria of the EM Merit Review System (i.e., technically meritorious, qualified principal investigators, adequate facilities for conduct of the work, past experience and performance history).

**81.105 NATIONAL INDUSTRIAL COMPETITIVENESS THROUGH ENERGY, ENVIRONMENT, AND ECONOMICS**

(NICE3)

**FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Policy Act of 1992, as amended, Public Law 102-486.

**OBJECTIVES:**

This program is in close-out. Financial assistance will not be provided in the future.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Both state and local governments benefited from these grants. Commercial firms with expertise in waste reduction and pollution prevention, large and small businesses, and others in the business of preventing pollution and energy conserving technologies also benefited.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This Program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

**Application Procedure:**

NICE3 is in close-out mode. There is no appropriation for grant project funding.

**Award Procedure:**

None.

**Deadlines:**

This program is in close-out. Financial assistance will not be provided in the future.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Unsuccessful applicants from the competitive solicitation were entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

None.

**Formula and Matching Requirements:**

Federal funds were awarded to States and industry applicants that can match DOE Federal funds at 50 percent. DOE field offices made the grant awards and served as grant managers. DOE support offices worked with State energy and environmental offices to actively seek out State developmental energy, and industry organizations that might be interested in this Program.

**Length and Time Phasing of Assistance:**

Projects covered a period of up to 3 years with release of funding subject to work progress. Access to process implementation and efficiency data is to be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Reports:**

Quarterly project and financial status reports are required. A final report is required at the end of the contract period. A 10-year tracking and follow-up reporting mechanism may be required.

**Audits:**

DOE may perform closing audits.

**Records:**

Access to process implementation and efficiency data must be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0215-0-1-250.

**Obligations:**

FY 07 \$1,633,941; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

NICE3 met its original goals to save energy, improve the environment, and provide an economic boost to U.S. industry. NICE3 originated in 1991 as a U.S. Department of Energy (DOE) and Environmental Protection Agency (EPA) joint initiative to promote Global competitiveness of U.S. industries through the development and commercialization of energy-efficient goods, produced with state-of-the-art energy-efficient production technologies and practices. It has resulted in the commercialization of 32 technologies of which 27 are still on the market today. These commercial technologies have resulted in a cumulative U.S. energy savings of 34.5 trillion Btu. In 2000 the 27 NICE3 technologies still in the marketplace saved 10.6 trillion Btu.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See appendix IV of Catalog.

**Headquarters Office:**

Office of Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Avenue, SW., Washington, DC 20585. Telephone: (877) 337-3463.

**Web Site Address:**

<http://www.eere.energy.gov>; <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 81.106 TRANSPORT OF TRANSURANIC WASTES TO THE WASTE ISOLATION PILOT PLANT: STATES AND TRIBAL CONCERNS, PROPOSED SOLUTIONS

**FEDERAL AGENCY:**

OFFICE OF ENVIRONMENTAL MANAGEMENT, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

National Security and Military Application of Nuclear Energy Authorization Act, Public Law 96-164; Waste Isolation Pilot Plant Land Withdrawal Act, Public Law 102-579, as amended.

**OBJECTIVES:**

To enlist cooperation among the Tribal and the Southern, Western, Northeast, and Midwest state governments along the Waste Isolation Pilot Plant (WIPP) shipping corridors in developing plans and procedures for the safe and uneventful transportation of transuranic waste from current temporary storage facilities to the WIPP.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The participating States, tribes, and the DOE will work to develop, coordinate, and implement activities in accident prevention, emergency preparedness, and public information programs to help ensure the safe transportation of transuranic waste to the WIPP site and safe disposal operations. Financial assistance is provided to support cooperation among the tribes, the Southern, Western, Northeastern, and Midwestern states along the WIPP shipping corridors, in developing plans and procedures for the safe uneventful transportation of transuranic waste from current temporary storage facilities to WIPP. Restrictions on the use of these funds depend on the specific collaborative agreement. Applicants must meet the guidelines established by DOE.

**Applicant Eligibility:**

Eligibility is restricted by action of the Western Governors' Association, Southern States Energy Board, the State of New Mexico, Council of State Governments (midwest and eastern regions), and tribal governments along WIPP transportation routes. DOE administers agreements with 10 southern State governments, two Midwest state governments, and two northeast state governments. The Western Governors' Association is the negotiating body for 12 western states on the WIPP transportation route. Each tribal government on the WIPP transportation route elected to represent themselves. Participation in this program is restricted to the above list of organizations and to the 8 affected tribal governments.

**Beneficiary Eligibility:**

Benefits from this program will go to DOE and the State and tribal governments located on the WIPP disposal phase shipping corridor.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Agreements are noncompetitive among Department of Energy (DOE), the Western Governors' Association, Southern states, tribal governments, and the State of New Mexico. No other organizations may participate in this program. This program is excluded from coverage under E.O. 12372. Midwest and

Northeast states are funded by WIPP through an Agreement between these regions and the DOE Environmental Management Consolidated Business Center (EMCBC).

**Application Procedure:**

After informal communication, a formal proposal by the applicants is submitted to the DOE Carlsbad Field Office. Note: All eligible parties are participating in the program and applications from others will not be accepted.

**Award Procedure:**

Decisions are made by DOE Carlsbad Field Office. Award documents are then prepared.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Schedule for DOE payments will be established during negotiations.

**Reports:**

A reporting schedule will be established during negotiations.

**Audits:**

Audits will be conducted to ensure that funding is properly used. Audits will be performed at appropriate intervals depending on the duration of the project.

**Records:**

The grantee is expected to maintain records to fulfill auditing needs.

**Account Identification:**

89-0242-0-1-053.

**Obligations:**

(Cooperative Agreements) FY 07 \$5,631,556; FY 08 \$3,610,000; and FY 09 \$6,569,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$2,015,000.

**PROGRAM ACCOMPLISHMENTS:**

Funds were awarded to program participants for emergency training, equipment, and public information to support the shipment of transuranic waste to WIPP. As new transportation corridors are scheduled to open, the affected States and Indian Tribes will be funded accordingly.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Rules and 10 CFR 600 applies.

**Regional or Local Office:**

Department of Energy, Carlsbad Field Office, P.O. Box 3090, Carlsbad, NM 88221-3090. Contact: Bill Mackie, Institutional Affairs Manager, Telephone: (575) 234-7335.

**Headquarters Office:**

Office of Environmental Management, Federal Disposition Options, Department of Energy, Washington, DC 20585. Contact: Mary Bisesi., Telephone: (301) 903-7416.

**Web Site Address:**

<http://www.em.doe.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Details on funded projects for transportation and emergency response planning activities are contained in State and tribal work plans submitted to the Carlsbad Field Office.

**CRITERIA FOR SELECTING PROPOSALS:**

The awards are restricted to the entities listed in the "Applicant Eligibility" portion of this program listing. Eligibility is restricted by action of the Western Governors' Association, Southern States Energy Board, the State of New Mexico, and tribal governments along WIPP transportation routes. DOE administers agreements with 10 southern State governments, two mid-west State governments, and zero northeast state governments (at the current time). The Western Governors' Association is the negotiating body for 12 western states on the WIPP transportation route. Each tribal government on the WIPP transportation route elected to represent themselves. Participation in this program is restricted to the above list of organizations and to the 8 affected tribal governments.

## 81.108 EPIDEMIOLOGY AND OTHER HEALTH STUDIES FINANCIAL ASSISTANCE PROGRAM

**FEDERAL AGENCY:**

OFFICE OF HEALTH, SAFETY AND SECURITY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section

107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To provide financial support for research, education, conferences, communication, and other activities relating to the health of Department of Energy workers, as well as other populations potentially exposed to health hazards associated with energy production, transmission, and use.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Restrictions on use of funds depend on award provisions. Support is provided for work in such areas as the health experience of DOE and DOE contractor workers; health experience of populations living near DOE facilities; health experience of workers exposed to toxic substances; use of biomarkers to recognize exposure to toxic substances; conduct of epidemiologic and other health studies relating to energy production, transmission, and use (including electromagnetic fields) in the United States and abroad; compilation, documentation, management, use, and analysis of data for the DOE Comprehensive Epidemiologic Data Resource; and other systems or activities enhancing these areas, as well as other program areas as may be described by notice published in the Federal Register.

**Applicant Eligibility:**

Colleges and universities, businesses, and nonprofit institutions may apply.

**Beneficiary Eligibility:**

Colleges and universities, businesses, and nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Informal communication is encouraged before preparing a formal application. This program is generally not subject to the intergovernmental review requirements of E.O. 12372 as implemented by 10 CFR 1005. However, certain applications for financial assistance awards may require this review. Such applications, including those from governmental or nongovernmental entities that involve research, development, or demonstration activities are subject to the provisions of the Executive Order and 10 CFR Part 1005 when such activities: (1) Have a unique geographic focus and are directly relevant to the governmental responsibilities of a State or local government within the geographic area; (2) necessitate preparation of an Environmental Impact Statement under NEPA; or (3) are to be initiated at a particular site or location and require unusual measures to limit the possibility of adverse exposure or hazard to the general public. Entities planning to submit such applications should coordinate with the information contact listed below for further information.

**Application Procedure:**

A formal application by the principal investigator interested in doing the work is required. If submitted on behalf of an institution, the application should be sent through the appropriate administrative official. In the case of any competitive solicitations issued under this program, the application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site at <http://www.grants.gov/>.

**Award Procedure:**

Decisions to approve are made by the Headquarters Program Director. DOE procurement offices are then instructed to negotiate and prepare an appropriate award document.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Normally 6 months.

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Headquarters Office.

**Formula and Matching Requirements:**

Matching is not required.

**Length and Time Phasing of Assistance:**

The schedule of DOE payments is arranged at the time of award.

**Reports:**

The schedule of reports is arranged at the time of the negotiation.

**Audits:**

Costs incurred are subject to audit throughout the award period and before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular award provisions. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend

financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is expected to maintain records required to audit or otherwise substantiate costs incurred under the grant.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 07 \$21,000,000; FY 08 \$17,500,000; and FY 09 est \$17,500,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$5,000,000; \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Results and accomplishments of basic research and training performed under these programs are reported in open scientific literature. The research and training supported by these awards will help train future scientific talent in epidemiology and other health-related areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 602. Guidelines and current program announcements are included in application kits. See also doing business website located at [www.pr.doe.gov/](http://www.pr.doe.gov/).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Ron Barnes, Office of Business Operations, DOE, Mail Stop HS-1.21/GTN, Germantown, MD 20874-1290. Telephone: (301) 903-1244.

**Web Site Address:**

<http://www.hss.energy.gov/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Several cooperative agreements were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108.

**CRITERIA FOR SELECTING PROPOSALS:**

The scientific and technical merit of the proposed research, appropriateness of the proposed method or approach, competency of research personnel and adequacy of proposed resources, reasonableness and appropriateness of the proposed budget, and other appropriate factors set forth in a Notice of Availability or in a specific solicitation.

## 81.112 STEWARDSHIP SCIENCE GRANT PROGRAM

(Defense Science)

**FEDERAL AGENCY:**

NATIONAL NUCLEAR SECURITY ADMINISTRATION, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

(1) To grow the U.S. scientific community through university involvement in areas of fundamental science and technology relevant to stockpile stewardship; (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) to train scientists in specific areas of long-term research relevant to stockpile stewardship; (4) to increase the availability of unique experimental facilities sited at NNSA's laboratories to the academic community, particularly for collaborations in areas of relevance to stockpile stewardship; and (5) to develop and maintain a long-term recruiting pipeline to NNSA's laboratories by increasing the visibility of NNSA's Defense Program's scientific activities to the U.S. faculty and student communities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for basic and applied research in the field of physical science in support of the DOE stockpile stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring an idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is



not already known to DOE, or has previously unrecognized merit.

**Applicant Eligibility:**

New applicants can be U.S. public and private institutions of higher education.

**Beneficiary Eligibility:**

U.S. public and private institutions of higher education will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Proposals should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov/>.

**Award Procedure:**

Proposals will be screened for stewardship relevance and then reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the Office of Research and Development for National Security Science and Technology, Defense Science Division, Defense Programs, NNSA, and selected proposals will be forwarded to the NNSA Albuquerque Service Center for grant development and award.

**Deadlines:**

Deadlines are stated in the solicitations.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Office of Research and Development for National Security Science and Technology, Defense Science Division.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The schedule of NNSA payments is arranged at the time of award.

**Reports:**

As specified in the "DOE Federal Assistance Reporting Checklist (DOE F 4600.2)," to be issued to the recipient upon receipt of an award the following reports are required: progress report, special reports, financial status reports (FSR SF 269), and final report. These requirements are also specified in the solicitation.

**Audits:**

Costs incurred are subject to audit throughout the grant period and/or before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular grant provisions.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0240-0-1-053.

**Obligations:**

(Grants): FY 07 \$23,440,299; FY 08 \$25,272,875; and FY 09 est \$29,369,125.

**Range and Average of Financial Assistance:**

\$100,000 to \$3,000,000; \$380,000.

**PROGRAM ACCOMPLISHMENTS:**

The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and will assist in training future scientific talent in these areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Chris Deeney, Director, Defense Science Division, NA-121.1/Forrestal, 1000 Independence Avenue, Washington, DC 20585. Telephone: (202) 586-7416. Fax: (202) 586-8005.

**Web Site Address:**

<http://www.nnsa.energy.gov/dsup>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

"Center for the Study of Pulsed-Power Driven High Energy Density Plasmas"; "Electron Interactions in Actinides and Related Systems under Extreme Conditions"; "Dense Plasma Studies with Ultra-Bright Soft X-Ray Probes"; and "Measurement of Neutron-Induced Reaction Cross-Sections."

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope; (2) Scientific/technical merit of the project, including innovativeness and originality; (3) Expected impact on the area of technical scope addressed; (4) Consistency with the objective of this academic alliances program to focus on advanced experimental investigations;

(5) Qualifications of the Applicant's personnel and adequacy of proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) For projects currently receiving funding under this program, the quality and scientific impact of recent results and accomplishments; (8) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex. Generally, a higher degree of interaction both quantitatively and qualitatively is considered desirable; (9) Leverage provided by cost sharing with other funding sources.

## 81.113 DEFENSE NUCLEAR NONPROLIFERATION RESEARCH

**FEDERAL AGENCY:**

NUCLEAR SECURITY ADMINISTRATION, DEPARTMENT OF ENERGY AUTHORIZATION:

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189, 103 Stat. 1684, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; Public Law 106-65; National Defense Authorization Act of 2000.

**OBJECTIVES:**

To conduct basic and applied research and development that enhances U.S. national security and reduces the global danger from the proliferation of weapons of mass destruction and special nuclear materials through needs-driven research and development. The emphasis is on developing the requisite technologies to detect and deter nuclear proliferation and to meet U.S. nuclear detonation detection goals. Research focuses on advanced detection systems and concepts to support current and future USG policies.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, supplies, equipment, travel, publication costs, services required for conducting nonproliferation research and development to reduce the global danger from the proliferation of weapons of mass destruction. Construction or related costs are not allowed under these project grants. All work must comply with export control regulations.

**Applicant Eligibility:**

Universities (public and private), institutions of higher education with postdoctoral programs, and nonprofit non-government organizations (public and private) whose activities benefit the general public through results which are available to the National Nuclear Security Administration (NNSA), other U.S. government agencies, and universities and institutions of higher learning may apply.

**Beneficiary Eligibility:**

The NNSA, other U.S. government agencies, universities and institutions of higher learning will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher learning. Non-government organizations will have nonprofit status certified by the IRS.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The NNSA Service Center in Albuquerque, New Mexico issues Broad Agency Announcements (BAAs) under which formal applications may be submitted by a scientist or principal investigator who will conduct or lead the research team. The BAAs will be posted to DOE's IIPS system which can be accessed at: <http://e-center.doe.gov>.

**Award Procedure:**

Evaluations will be conducted by technical staff assigned to the Office of Nonproliferation Research and Development or at the DOE national laboratories. Final decisions for approval are made by the cognizant program director. DOE/NNSA Procurement is then instructed to negotiate and prepare the grant award documents. Program management responsibilities may be delegated as a whole or in part to the NNSA Service Center or NNSA Site Offices.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The range is from 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Grants will be modified and extended as required. Renewals are subject to an annual review by the Headquarters and/or NNSA Service Center.

**Formula and Matching Requirements:**

There is no mandatory cost-sharing requirement.

**Length and Time Phasing of Assistance:**

The grant period is for up to 3 years depending upon available appropriations. The schedule of payments is arranged at the time of award.

**Reports:**

Quarterly Progress status reports and an end of project report are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0243-0-1-053.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$12,210,324; FY 08 est \$11,500,000; and FY 09 est \$11,500,000.

**Range and Average of Financial Assistance:**

The typical range is from \$100,000 to \$250,000 per year; however, some grants may be greater.

**PROGRAM ACCOMPLISHMENTS:**

The results and accomplishments from basic and applied research and development performed under these grants are reported in the open scientific literature. University research may be integrated with ongoing research and development programs at the DOE national laboratories which will facilitate access to and use of special facilities and equipment. The objective of these grants is to advance the state of knowledge on science and technology. The final product may lead to improved or new commercial products to ensure availability to the U.S. arms control and nonproliferation community. It is expected that less than 20 grants will be awarded per year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Paul Morrison, Office of Nonproliferation Research and Development (NA-22), Office of Defense Nuclear Nonproliferation, NNSA, Department of Energy, Washington, DC 20585. Telephone: (202) 586-5751.

**Web Site Address:**

<http://www.nnsa.doe.gov/na-20>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants have been awarded to conduct research on: (1) Hyperspectral data analysis techniques (2) improved materials and methods for gamma-ray and neutron detection (3) and (4) seismic research to improve detection, location, and discrimination of nuclear detonations.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined on the following criteria: 1) Potential impact and relevance of proposed work; 2) technical merit; 3) qualifications of the proposed investigators; 2) quality of the proposed research plan, and 3) proposed schedule, budget and available resources.

**81.114 UNIVERSITY REACTOR INFRASTRUCTURE AND EDUCATION SUPPORT****FEDERAL AGENCY:**

OFFICE OF NUCLEAR ENERGY, SCIENCE AND TECHNOLOGY,  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 32, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To provide financial support for research design, equipment upgrades, student support, analysis, and assessments in science and technology in fields related to nuclear energy.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

In support of nuclear energy related research and development, equipment upgrades, and student support, financial support, in whole or in part, may be provided for: salaries, materials, supplies, equipment, travel, publication costs, supporting costs required for technical activities, market analyses, financing

plans, and other activities necessary to achieve the objective.

**Applicant Eligibility:**

Any individual, partnership, corporation, association, joint venture, institution of higher education, or nonprofit organization may apply. Certain programs under this CFDA have specific eligibility requirements related to university nuclear engineering degree programs or operating university research reactor.

**Beneficiary Eligibility:**

Any individual, partnership, corporation, association, joint venture, institution of higher education, or nonprofit organization will benefit. Certain programs under this CFDA have specific eligibility requirements related to university nuclear engineering degree programs or operating university research reactor.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Informal communication addressed to the appropriate Headquarters Office listed below is desirable before preparing a detailed formal proposal. This program is excluded from coverage under E.O. 12372. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

A detailed formal proposal by the organization interested in doing the work must be submitted. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are processed by the assigned staff and approved by the Program Director.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

The range is 12 months.

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Headquarters Office.

**Formula and Matching Requirements:**

There are no formal requirements; cost-sharing is encouraged. Under the Matching Grants program, eligible universities must provide documentation of a match equal to that provided by DOE.

**Length and Time Phasing of Assistance:**

The period of performance is determined through negotiation.

**Reports:**

The schedule of reports is arranged at the time of negotiation.

**Audits:**

Costs incurred are subject to audit throughout the period and/or before final payment. The extend and frequency of audit depend on the size of the grant and the particular grant provisions.

**Records:**

Awardee is expected to maintain auditable records to substantiate total costs incurred under the agreement.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$12,131,633; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Approximately \$50K-\$300K per award, with a maximum of \$12,000,000 for awards involving multiple institutions (approximately seven).

**PROGRAM ACCOMPLISHMENTS:**

Grants have been awarded to individuals pursuing a graduate or undergraduate degree in nuclear engineering and nuclear science related areas; departments for instrumentation upgrades and nuclear energy-related research; and university research reactors for maintenance, operation and student outreach.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Energy Regulation 10 CFR 600 apply.

**Regional or Local Office:**

Idaho Operations Office. Contact: Nancy Elizondo, Program Manager.  
Telephone: (208) 526-4169.

**Headquarters Office:**

Office of Nuclear Energy, Germantown Building, 1000 Independence Avenue, SW., Washington, DC 20585-1290. Office of the Deputy Assistant Secretary for Nuclear Power Development (NE- 3), Contact: Suibel Schuppner. Telephone: (301) 903-1652.

**Web Site Address:**

<http://nuclear.energy.gov/universityPrograms/neUniversity2c.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants have been awarded for university research reactors, fuel conversion,

reactor sharing, matching programs, fellowships and scholarships to nuclear engineering students, nuclear engineering education research, radiochemistry, and recruitment activities.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Technical merit of the proposal, appropriateness of the proposal method or approach, relevance to nuclear energy research and development, potential contribution to knowledge, and the background and experience of applicants are considered.

### **81.117 ENERGY EFFICIENCY AND RENEWABLE ENERGY INFORMATION DISSEMINATION, OUTREACH, TRAINING AND TECHNICAL ANALYSIS/ASSISTANCE**

#### **FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

#### **AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, 42 U.S.C. 712, Energy Reorganization Act of 1974, 42 U.S.C. 5813(6)(7)(8); Energy Policy Act 1992 42 U.S.C. 13231.

#### **OBJECTIVES:**

The Department of Energy (DOE) seeks to provide financial assistance for information dissemination, outreach, training and related technical analysis/assistance which will: (1) stimulate increased energy efficiency in transportation, buildings, industry and the Federal sector and encourage increased use of renewable and alternative energy; and (2) accelerate the adoption of new technologies to increase energy efficiency and the use of renewable and alternative energy through the competitive solicitation of applications.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives as described in a single competitive solicitation or multiple competitive solicitations. The solicitation(s) will provide funding in various program areas within the Office of Energy Efficiency and Renewable Energy: Solar, Wind and Hydropower, Geothermal, Biomass, Industrial Technologies, FreedomCAR, Building Technologies, Weatherization and Intergovernmental, Federal Energy Management Program, and the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy. Restrictions on use of funds depend on the provisions of the specific project agreement.

#### **Applicant Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities may apply. DOE Laboratories are not eligible.

#### **Beneficiary Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities benefit.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>. A separate application must be submitted for each DOE Energy Efficiency and Renewable Energy (EERE) Program Area of Interest.

#### **Award Procedure:**

All applications which pass an initial review will receive an objective merit review. Objective Merit Review Committees will evaluate applications based on the evaluation criteria set forth in the competitive solicitation. After the Merit Review Committee has completed its evaluations, an EERE Office Director or other Program Official will evaluate the applications against program policy factors set forth in the competitive solicitation. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

#### **Deadlines:**

Deadlines are identified in the solicitation.

#### **Range of Approval/Disapproval Time:**

From 4 to 6 months.

#### **Appeals:**

None.

#### **Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

#### **Formula and Matching Requirements:**

Cost sharing is a mandatory factor for award in some EERE Program Areas of Interest. For those Program Areas of Interest where cost sharing is not a mandatory factor, cost-sharing is encouraged and will be considered in the selection process.

#### **Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of awards varies among the Program Areas of Interest and ranges from 6 months to 5 years.

#### **Reports:**

The schedule for reports are arranged at the time of negotiations. Applicants will typically submit a semi-annual report, as specified in the award.

#### **Audits:**

Costs incurred are subject to audit throughout the grant period and before final close-out. The extent and frequency of audits depends on the size of the award and the specific award provisions. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant.

#### **Account Identification:**

89-0224-0-1-271; 89-0215-0-1-272.

#### **Obligations:**

FY 07 \$30,170,137; FY 08 est \$1,598,000; and FY 09 est \$3,000,000.

#### **Range and Average of Financial Assistance:**

Varies.

#### **PROGRAM ACCOMPLISHMENTS:**

Over 300 awards have been executed to date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov/>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://management.energy.gov/policy\\_guidance.htm](http://management.energy.gov/policy_guidance.htm).

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

Office of Business Administration, EE-3A, Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC. Contact: Polly Perando via e-mail at [polly.perando@ee.doe.gov](mailto:polly.perando@ee.doe.gov).

#### **Web Site Address:**

<http://www.eere.energy.gov/>; <http://www1.eere.energy.gov/>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Projects that are scheduled to be funded: Information dissemination, public outreach, and related technical analysis activities involving specific renewable technologies; training to promote the use of alternative fuel vehicles; information dissemination, technical analysis, and outreach activities designed to facilitate the adoption of energy efficiency and renewable energy in residential and commercial buildings and communities; and technical assistance to spur increased energy efficiency and renewable energy in developing countries.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review recommendation, program policy factors, the amount of funds available, provisions of appropriation law and reports and as otherwise specified in the solicitation document.

### **81.119 STATE ENERGY PROGRAM SPECIAL PROJECTS**

#### **FEDERAL AGENCY:**

OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY,  
DEPARTMENT OF ENERGY

#### **AUTHORIZATION:**

Energy Policy and Conservation Act, Title III, Sections 361-366, Part C, Public Law 94-163, 42 U.S.C. 6321-6326; Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Energy Conservation Policy Act of 1978, Public Law 95-619, Public Law 101-440, Balanced Budget Down Payment Act II of 1996, Public Law 104-134.

#### **OBJECTIVES:**

To allow States to submit proposals to implement specific Department of Energy (DOE) Office of Energy Efficiency and Renewable Energy deployment activities and initiatives as Special Projects under the State Energy Program. States will compete for funding to implement activities relating to a number of programmatic areas such as building codes and standards, alternative fuels,



industrial efficiency, building efficiency, and solar and renewable technologies.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, and supplies, equipment, travel, publication costs, and services required for implementing the activities described in the application.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands may apply.

**Beneficiary Eligibility:**

States and their project partners will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with 10 CFR 600 for State and local Governments.

**Preapplication Coordination:**

No preapplication form is required by the DOE. This program is not eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." Consultation and assistance will be available from the DOE in the preparation of the application. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site: at <http://www.grants.gov>. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact within the State for more information on the process the State requires to be followed in applying for assistance.

**Award Procedure:**

Evaluations will be conducted by staff of the Office of Energy Efficiency and Renewable Energy end-use sectors participating in the annual solicitation. Final decisions to approve are made by Assistant Secretary Office of Energy Efficiency and Renewable Energy. DOE Field Offices are then instructed to negotiate and prepare the grant award documents.

**Deadlines:**

Deadlines are identified in the solicitation.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Cost-sharing, if required, is specified by each program sector participating in the solicitation and is included as part of the solicitation.

**Length and Time Phasing of Assistance:**

Vary.

**Reports:**

Quantity reports are required while work is in progress. An end of project report is also required.

**Audits:**

Costs will be verified and subject to audit according to standard government practice and in accordance with OMB Circular Nos. A-102 and A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0215-0-1-270.

**Obligations:**

FY 07 \$7,951,906; FY 08 est \$5,000,000; and FY 09 est \$7,000,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Multiple grants will be awarded annually. Successful projects will assist in the increased deployment of energy efficiency and renewable energy technologies and practices.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program requirements issued in Federal Register prior to actual invitation and solicitation to the States.

**Regional or Local Office:**

See Appendix IV of the Catalog for DOE Regional Offices.

**Headquarters Office:**

Office of Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, U.S. Department of Energy, 1000 Independence Avenue, SW., Washington, DC 20585. Telephone: (877) 337-3463.

**Web Site Address:**

[http://www.eere.energy.gov/state\\_energy\\_program/](http://www.eere.energy.gov/state_energy_program/) and <http://www1.eere.energy.gov>.

**RELATED PROGRAMS:**

81.041, State Energy Program.

**EXAMPLES OF FUNDED PROJECTS:**

Grants have been awarded to develop energy efficient building codes, deploy solar and renewable technologies, promote the use of alternative fuels, promote industrial, and building efficiency.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined by the criteria announced in the annual solicitation.

**81.121 NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION**

(NE RD&D)

**FEDERAL AGENCY:**

OFFICE OF NUCLEAR ENERGY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 32, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051 Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817, Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101. Section 31 of the Atomic Energy Act, 42 USC 2051.

**OBJECTIVES:**

Provide financial assistance to address key issues affecting the worldwide use of nuclear energy through the research, development, and demonstration of science and technology fields related to nuclear energy and its underlying sciences.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial assistance, in whole or in part, may be provided for the following in support of nuclear energy related research, development and demonstration activities: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical activities, market analyses, financing plans and other activities necessary to achieve the objective. Restrictions on use of funds depend on solicitation and award provisions. Notices published in the Federal Register define research, development, and demonstration areas that the Department intends to support such as: advanced reactors, proliferation resistant fuel and reactor concepts, nuclear fuel and fuel cycles, advanced instrumentation, controls, simulation, modeling and analyses, nuclear waste management, construction, manufacturing and fabrication technologies, and related fundamental nuclear science areas in materials, reactor physics, chemistry and thermal hydraulics and fluid dynamics. Notices published in the Federal Register define development or demonstration projects and study areas activities that the Department intends to support such as: advanced designs, technologies or techniques, new regulatory or licensing requirements, and economic analyses.

**Applicant Eligibility:**

Federal, State, local governments, universities, consortia, nonprofit institutions, commercial corporations, and individuals may apply.

**Beneficiary Eligibility:**

Any individual, partnership, corporation, association, joint venture, institution of higher education, or nonprofit organization will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-122 for non-profit organizations.

**Preapplication Coordination:**

The standard application forms as furnished by DOE and required by 10 CFR 600 must be used to apply for financial assistance, as further specified in competitive solicitation(s). The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site at <http://www.grants.gov/>. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

DOE solicitations set forth award procedures. Applications will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation. Evaluations will be coordinated by a Merit Review Chair and conducted by a review board. This responsibility will be performed by the Office of Nuclear Energy or delegated to a DOE Operations Office. Final decisions will be made by the approved Program

Officer or the delegated Source Selection Official.

**Award Procedure:**

Not applicable.

**Deadlines:**

As stated in each solicitation.

**Range of Approval/Disapproval Time:**

Normally 6 to 9 months.

**Appeals:**

None.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Program Director or Source Selection Official.

**Formula and Matching Requirements:**

Cost-sharing requirements may vary and will be specified in competitive solicitations. Where there are no formal requirements, cost-sharing is encouraged.

**Length and Time Phasing of Assistance:**

The period of performance and schedule of DOE payments is arranged at the time of award.

**Reports:**

The schedule of reports is arranged at the time of negotiation.

**Audits:**

Costs incurred are subject to audit throughout the period and/or before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular award provisions. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133. Any for-profit recipient that expends \$500,000 or more in a year under Federal awards must have an audit made for that year by an independent auditor, in accordance with paragraph (b) of this section. If a recipient is currently performing under a Federal award that requires an audit by its Federal cognizant agency, that auditor must perform the independent audit. The audit generally should be made a part of the regularly scheduled, annual audit of the recipient's financial statements. However, it may be more economical in some cases to have Federal awards separately audited, and a recipient may elect to do so, unless that option is precluded by award terms and conditions or by Federal laws or regulations applicable to the program(s) under which the awards were made.

**Records:**

Award recipient is expected to maintain auditable records to substantiate total costs incurred under the agreement and as required by the financial assistance award.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

Grants (Cooperative Agreements) FY 07 \$143,074,820; FY 08 est \$125,000,000; and FY 09 est \$150,000,000.

**Range and Average of Financial Assistance:**

The general range of annual funding for a grant or cooperative agreement to a single organization is, \$100,000 to \$500,000, with an approximate average of \$350,000. Grants or cooperative agreements involving multiple research participants or large projects can be funded at higher annual amounts.

**PROGRAM ACCOMPLISHMENTS:**

Results and accomplishments have been made in nuclear energy research and development under these programs and are reported to the greater nuclear community in open scientific literature and at related nuclear conferences.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NE Federal Register notices; NE Solicitations; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, which may be accessed through the DOE Office of Procurement and Assistance Management webpage at:

[http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm).

**Regional or Local Office:**

Idaho Operations Office, 1955 Fremont Avenue, Idaho Falls, ID 83415. Nuclear Programs Support Division, Contact: Kenny Osborne, Telephone: (208) 526-0805.

**Headquarters Office:**

Office of Nuclear Energy, Germantown Building, 1000 Independence Avenue, SW., Washington, DC 20585-1290. Office of the Deputy Assistant Secretary for Nuclear Power Development (NE- 3), Contact: Suibel Schuppner. Telephone: (301) 903-1652.

**Web Site Address:**

<http://www.nuclear.gov>.

**RELATED PROGRAMS:**

81.114, University Reactor Infrastructure and Education Support.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of projects funded with financial assistance can be found on the DOE

Office of Nuclear Energy Web Site under the program of interest.

**CRITERIA FOR SELECTING PROPOSALS:**

Each proposal will be evaluated based on an objective merit review in accordance with the requirement of "DOE Financial Assistance Regulations" (10 CFR 600) and the evaluation criteria set forth in the competitive solicitations.

These criteria will include: appropriateness of the proposal method or approach, competency of research personnel and adequacy of proposed resources, reasonableness and appropriateness of the proposed budget, and other appropriate factors.

**81.122 ELECTRICITY DELIVERY AND ENERGY RELIABILITY, RESEARCH, DEVELOPMENT AND ANALYSIS**

**FEDERAL AGENCY:**

OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY, DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Tax Act of 1978, Public Law 95-618; Energy Security Act of 1980, Public Law 96-294; Superconductivity and Competitiveness Act of 1988, Public Law 100-697; Energy Policy Act of 1992 (EPACT), Public Law 102-486; Energy Policy Act of 2005 (EPACT), Public Law 109-58.

**OBJECTIVES:**

Through research, development, demonstration, technology transfer, and education and outreach activities, modernize and expand America's electric delivery system to ensure a more reliable and robust electricity supply, and enhance economic and national security. Develop cost-effective technology that enhances the reliability, efficiency, and resiliency of the electric grid, while enabling the effective utilization of emerging generation and demand-side management technologies and practices. Assure the security of the nation's energy infrastructure through research and programs to assess the critical functions of the nation's energy infrastructure and reduce its vulnerability, and to develop an effective emergency response system to protect and restore its capabilities in case of disruption or attack.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance may be used in the form of cost-shared cooperative agreements or grants to nonprofit and profit institutions and organizations to develop and transfer technologies or information developed through analysis and research to utilities, energy companies, energy regulators, state and local governments and other stakeholders.

**Applicant Eligibility:**

All types of domestic entities are eligible to apply, such as profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments. Not eligible are Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by DOE and required by 10 CFR Part 600 must be used to apply for financial assistance, as further specified in competitive solicitation(s). The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web site: <http://www.grants.gov/>.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by the Office of Electricity Delivery and Energy Reliability personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Operations Offices and technical experts. Final decisions will be made by the Assistant Secretary, Office of Electricity Delivery and Energy Reliability.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants and cooperative agreements may be modified or extended.

**Formula and Matching Requirements:**

As Specified under Section 988 of the Energy Policy Act of 2005, with exceptions, a minimum of 20% cost share is required for research and development. A minimum of 50% is required for demonstration. Higher cost share may be requested.

**Length and Time Phasing of Assistance:**

Assistance is available for up to five years, as specified in the solicitation.

**Reports:**

As specified in the grant or cooperative agreement. Typically these reports consist of quarterly progress and expenditure reports and a final report at the conclusion of the grant or cooperative agreement time period.

**Audits:**

"Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0224-0-1-999.

**Obligations:**

(Project Grants, Cooperative Agreements); FY 07 \$14,454,137; FY 08 \$20,938,266; and FY 09 est \$20,000,000.

**Range and Average of Financial Assistance:**

Individual awards in FY 07 ranged from \$84,975 to \$12,806,881 with the average award at \$4,430,000. FY 08 new awards have just been made.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006 projects were solicited in the area of High Temperature Superconductivity (HTS) and five awards were made in FY 2007. Two of the research projects will help increase reliability and efficiency of HTS power delivery cables, and the remaining three projects will place an emphasis on HTS fault current limiters. These projects are in progress, and many will complete their first phases in mid-2009. In FY 2007 projects were solicited in the area of Visualization and Controls and Renewable and Distributed Systems Integration (RDSI). Five awards were made at the end of the fiscal year for Visualization and Controls to develop and integrate technologically-advanced controls and cyber-security devices into our electric grid and energy infrastructure. In FY 2008 nine cooperative agreements were competitively selected to increase efficiency in the nation's electricity grid under the Renewable and Distributed Systems Integration.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: Office of Electricity Delivery and Reliability homepage, at <http://www.oe.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm).

**Regional or Local Office:**

Chicago Operations Office: <http://www.ch.doe.gov>. National Energy Technology Laboratory: <http://www.netl.doe.gov>.

**Headquarters Office:**

Office of Electricity Delivery and Energy Reliability, 202-586-1411, <http://www.oe.energy.gov> under Contact Us for e-mail addresses.

**Web Site Address:**

<http://www.oe.energy.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 2007 projects were awarded for research that will advance the development and application of High Temperature Superconductors, which have the potential to alleviate congestion on an electricity grid that is experiencing increased demand from consumers (<http://www.energy.gov/news/5180.htm>). Projects awarded in FY 2007 for Visualization and Controls aim to protect our Nation's energy infrastructure from cyber attacks and seek to modernize our electricity grid (<http://www.energy.gov/news/5643.htm>). Projects awarded in FY 2008 under Renewable and Distributed Systems Integration include research and development activities to improve the security of controls systems for energy delivery and increase the use of distributed generation during peak load periods (<http://www.energy.gov/news/6170.htm>).

**CRITERIA FOR SELECTING PROPOSALS:**

Selection is based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

## 81.123 NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) MINORITY SERVING INSTITUTIONS (MSI) PROGRAM

(NNSA)

**FEDERAL AGENCY:**

NATIONAL NUCLEAR SECURITY ADMINISTRATION

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189; 103 Stat. 1684, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Nuclear Security Administration Act, Public Law 106-65, as amended; Consolidated Appropriations Act, 2005, Public Law 108-447; Energy and Water Development Appropriations Act, 2006, Public Law 109-103; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5, as amended; Executive Order 13230, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 12, 2001, as amended; Executive Order 13256, White House Initiative on Historically Black Colleges and Universities, February 12, 2002, as amended; Executive Order 13270, Tribal Colleges and Universities, July 3, 2002, as amended.

**OBJECTIVES:**

The program's primary focus is to engage minority serving institutions (MSIs) in NNSA mission activities, collaborative research projects throughout the NNSA complex, and future workforce development.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, stipends, materials and supplies, equipment, travel, publication and training costs, and services required for conducting research, training, and related activities. Funding is provided for the purpose of exploring an idea that does not duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Restrictions on the use of funds depend on grant provisions.

**Applicant Eligibility:**

Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs) and non-profit institutions servicing HBCUs, HSIs and TCUs.

**Beneficiary Eligibility:**

The general public, scientists, researchers, student/trainee, graduate students, institutions of higher learning, NNSA, and other US government agencies will benefit. Middle and high school will also benefit due to the institutions of higher learning's programs supported by NNSA.

**Credentials/Documentation:**

Documentation for indirect cost rates and any other documentation required by OMB Circular A-21 must be provided.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and instructions are available upon request from the Associate Administrator for Management and Administration Office; phone: (202) 586-6174.

**Award Procedure:**

NNSA technical staff conduct evaluations in accordance with the Code of Federal Regulations (CFR) Part 2. If the proposal meets the pre-established CFR criteria, then a grant is awarded.

**Deadlines:**

Deadlines are established by the Associate Administrator for Management and Administration Office.

**Range of Approval/Disapproval Time:**

The range is from 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Grants will be modified or extended as required. Renewals are subject to an annual review by the NNSA Headquarters and/or Operations' program offices.

**Formula and Matching Requirements:**

This program has no statutory formula or matching funds requirement.

**Length and Time Phasing of Assistance:**

The grant period ranges from 1 to 5 years depending upon available appropriations. Expenditure of funds is allowed during the budget period specified in the grant document. The payment type and schedule are arranged at the time of award. Funding is provided to the grantee on a reimbursable basis.

**Reports:**

The DOE Federal Assistance Reporting Checklist (DOE F 4600.2) is incorporated into the grant document at the time of award. This checklist specifies the programmatic and financial reports that are required as well as the timeframe for report submission.

**Audits:**

Costs incurred are subject to audit throughout the grant period and/or before



final payment in accordance with grant provisions and OMB Circular-133.

**Records:**

The grantee is required to maintain auditable records in accordance with CFR Part 2 Subpart 215.53.

**Account Identification:**

89-0299-0-1-050.

**Obligations:**

FY 07 \$36,357,377; FY 08 est \$25,000,000; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

The awards range from \$100,000 to \$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Minority institutions' faculty and students are 1) conducting valuable research in support of the NNSA mission requirements, 2) collaborating with Lawrence Livermore National Laboratory on research projects, 3) educating students to become nuclear engineers, 4) participating in summer internships around the NNSA complex and 5) forming collaborative partnerships among the participating institutions and other majority of institutions of higher education. From FY 05 to present, NNSA has awarded 43 financial assistance awards to 25 Minority Serving Institutions (MSIs) totaling over \$72,000,000 (includes \$25M to be awarded by 9/30/08).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CFR Part 2 and Part 6 and OMB Circular A-21.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Associate Administrator for Management and Administration (NA-60), National Nuclear Security Administration (NNSA), US Department of Energy (DOE), 1000 Independence Avenue, SW, Washington, DC 20585; Telephone: 202-586-6174.

**Web Site Address:**

<http://www.nnsa.doe.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process is based on the following criteria: 1) Potential impact and relevance of proposed work; 2) technical merit; 3) qualifications of the proposed investigators; 4) quality of the proposed research plan; 5) proposed schedule, budget and available resources.

**81.124 PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM**

(Office of Advanced Simulation and Computing) (ASC)

**FEDERAL AGENCY:**

NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA),  
DEPARTMENT OF ENERGY

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

(1) To foster the science of building integrated, multi-scale, and multi-physics codes with the primary focus on code validation and verification to help advance the newly emergent predictive science in academia; (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) and to train scientists in specific areas of long-term research relevant to DOE stockpile stewardship.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for applied research in the field of computational science in support of the DOE NNSA Stockpile Stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring a research idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit.

**Applicant Eligibility:**

U.S. Public and Private Education Institutions with Ph.D. granting programs can apply.

**Beneficiary Eligibility:**

U.S. Public and Private Education Institutions with Ph.D. granting programs can apply.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov>.

**Award Procedure:**

Proposals will be screened for ASC programmatic relevance and then reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the ASC office, Defense Programs, NNSA, and selected proposals will be forwarded to the NNSA Service Center in Albuquerque, NM, for grant development and award.

**Deadlines:**

Deadlines are stated in the solicitations.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Applications for renewal are subject to review and acceptance by the Office of Advanced Simulation and Computing.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The schedule of NNSA payments is arranged at the time of award.

**Reports:**

As specified in the "DOE Federal Assistance Reporting Checklist (DOE F 4600.2)" to be issued to the recipient upon receipt of an award, the following reports are required: progress report, special reports, financial status reports (FSR SF 269), and final report. These requirements are also specified in the solicitation.

**Audits:**

Costs incurred are subject to audit throughout the grant period and/or before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular grant provisions.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0240-0-1-053.

**Obligations:**

Project Grants (Cooperative Agreements): FY 07 not available; FY 08 est \$7,500,000; and FY 09 est \$15,500,000.

**Range and Average of Financial Assistance:**

\$1.6M-\$3.4M per PSAAP Center per Fiscal Year.

**PROGRAM ACCOMPLISHMENTS:**

This is a new program. The funded R&D activity will help to increase U.S. efforts in computational science relevant to DOE stockpile stewardship and will assist in training future scientific talent in these areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thuc T. Hoang, Office of Advanced Simulation and Computing, NA-114/Forrestal, 1000 Independence Avenue, Washington, DC 20585. Telephone: (202) 586-7050. Fax: (202) 586-0405.

**Web Site Address:**

<http://www.sandia.gov/NNSA/ASC/univ/psaap.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope called forth in the call for application; (2) Scientific/technical merit of the project; (3) Expected impact on the proposed area of research activity; (4) Consistency with the objective of this academic alliances program to focus on advanced computational science investigations; (5) Qualifications of the Applicant's personnel and adequacy of proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex; (8) Leverage provided by cost sharing by applicant and with other funding sources.

## 81.126 FEDERAL LOAN GUARANTEES FOR INNOVATIVE ENERGY TECHNOLOGIES

### FEDERAL AGENCY:

LOAN GUARANTEE PROGRAM OFFICE, DEPARTMENT OF ENERGY

### AUTHORIZATION:

Energy Policy Act of 2005, Public Law 109-58, 119 Stat. 1117-1122, Title XVII, 42 U.S.C. 15801, August 8, 2005.

### OBJECTIVES:

To encourage, through the use of Federal loan guarantees, early commercial use in the United States of new or significantly improved technologies in energy projects that; 1) avoid, reduce, or sequester air pollutants or anthropogenic emissions of greenhouse gases; and (2) employ new or significantly improved technologies as compared to commercial technologies in service in the United States at the time the guarantee is issued. (42 U.S.C. 16513(a)).

### TYPES OF ASSISTANCE:

Guaranteed/Insured Loans.

### USES AND USE RESTRICTIONS:

The assistance provides Federal loan guarantees for commercial technologies that avoid, reduce, or sequester air pollutants or anthropogenic emissions of greenhouse gases; and employ new or significantly improved technologies as compared to commercial technologies in service in the United States at the time the guarantee is issued and which provide a reasonable assurance of repayment. Further Program information may be found at <http://www.lgprogram.energy.gov>.

### Applicant Eligibility:

Any corporation, company, partnership, association, society, trust, joint venture, joint stock company, or governmental nonfederal entity, that has the authority to enter into, and is seeking, a loan guarantee for a loan or other debt obligation of an Eligible Project.

### Beneficiary Eligibility:

Small businesses, profit organizations, quasi-public nonprofits, public institutions and interstate, intrastate, State and local governments will benefit from the loan guarantee program.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Application procedures for a Department of Energy Title XVII loan guarantee are unique to each solicitation issued by the Department. Potential applicants should only apply for a loan guarantee under the specific funding opportunity announcement posted on the Federal Government website at <http://www.fedconnect.net>. For additional information, see final regulations, 10 CFR Part 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, published on October 23, 2007.

### Award Procedure:

Award Procedures are identified in the individual solicitations.

### Deadlines:

Deadlines are identified in the solicitation.

### Range of Approval/Disapproval Time:

The Range of approval/disapproval times are identified in individual solicitations.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

Except for division C of Public Law 108-324, the Secretary shall make guarantees under this or any other Act for projects on such terms and conditions as the Secretary determines, after consultation with the Secretary of the Treasury. This program has no statutory formula. This is a "self-pay" program. Applicants will pay the subsidy costs as determined by the credit subsidy calculation. Also, fees will be charged to recover DOE's administrative costs in managing the Loan Guarantee Program. A fee schedule will be determined. No guarantee shall be made unless: (1) an appropriation for the cost has been made; or (2) the Secretary has received from the borrower a payment in full for the cost of the obligation and deposited the payment into the Treasury. (42 U.S.C. 16512.)

### Length and Time Phasing of Assistance:

The term of an obligation shall require full repayment of principle and interest on the Guaranteed Obligations and other project debt over a period of up to the lesser of 30 years or 90 percent of the projected useful life of the project's major physical assets as calculated in accordance with generally accepted accounting principles and practices.

### Reports:

None.

### Audits:

Costs incurred are subject to audit throughout the guarantee period and before final close-out. The extent and frequency of audits depend on the size of the guarantee and the specific guarantee provisions.

### Records:

A recipient of a guarantee shall keep such records and other pertinent documents as the Secretary shall prescribe by regulation, including such records as the Secretary may require to facilitate an effective audit. The Secretary and the Comptroller General of the United States, or their duly authorized representatives, shall have access, for the purpose of audit, to the records and other pertinent documents.

### Account Identification:

89-0228-0-0-662.

### Obligations:

(Federal Loan Guarantee Authority) FY 07: 4,000,000,000; FY 08: \$38,000,000,500; and FY 09 est not available.

### Range and Average of Financial Assistance:

The value of the loan guarantee will be determined on a project by project basis.

### PROGRAM ACCOMPLISHMENTS:

Final regulations have been published for the Loan Guarantee Program in the Federal Register: 10 CFR Part 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, October 23, 2007. Sixteen project sponsors, who submitted preapplications, have been invited to submit full applications for loan guarantees.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The following list represents an overview of regulations, guidelines, and literature associated with the loan guarantee program. Solicitation Number: DE-PS01-06LG00001, - Loan Guarantee Solicitation Announcement, - Federal Loan Guarantees for Projects that Employ Innovative Technologies in Support of the Advanced Energy Initiative, Available at:

<http://www.lgprogram.energy.gov/Solicitationfinal.pdf> Guidelines for Proposals Submitted in Response to the first Solicitation under Title XVII of the Energy Policy Act of 2005, Available at:

<http://www.lgprogram.energy.gov/FinalGuidelines.pdf>. - Final Regulations - Final regulations were published in the Federal Register, 10 CFR 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, on October 23, 2007.

### Regional or Local Office:

None.

### Headquarters Office:

Loan Guarantee Program Office, U.S. Department of Energy, 1000 Independence Ave, SW, Washington, DC 20585; [lgprogram@hq.doe.gov](mailto:lgprogram@hq.doe.gov). Telephone: (202) 586-8336.

### Web Site Address:

<http://www.lgprogram.energy.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Projects that may be eligible for a loan guarantee include: Renewable energy systems including wind, photovoltaics, biomass and hydropower projects; Advanced fossil energy technology including gasification, integrated gasification combined cycle, industrial gasification, petroleum coke gasification and coal to oil liquefaction projects; Efficient end use technologies; Hydrogen fuel cell technology for residential, industrial, or transportation applications; Advanced nuclear energy facilities; Carbon capture and sequestration practices and technologies, including agricultural and forestry practices that store and sequester carbon; Efficient electrical generation, transmission, and distribution technologies; Efficient end-use energy technologies; Production facilities for fuel efficient vehicles, including hybrid and advanced diesel vehicles; Pollution control equipment; and Refineries, meaning facilities at which crude oil is refined into gasoline.

### CRITERIA FOR SELECTING PROPOSALS:

Refer to solicitation and guidelines for the criteria to be utilized.

# DEPARTMENT OF EDUCATION

## 84.002 ADULT EDUCATION - BASIC GRANTS TO STATES

### FEDERAL AGENCY:

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Adult Education and Family Literacy Act; 20 U.S.C. 1209 et seq.

### OBJECTIVES:

To fund local programs of adult education and literacy services, including workplace literacy services, family literacy services, and English literacy and civics education programs. Participation in these programs is limited to adults and out-of-school youths aged 16 and older.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

The Act lists specific performance measures by which States are assessed. These include: demonstrated improvements in literacy skill levels in reading, writing, and speaking in the English language, numeracy, problem-solving, English language acquisition and other literacy skills; placement, retention, or completion of postsecondary education, training, unsubsidized employment, or career advancement; receipt of a high school diploma or its equivalent; other objective, quantifiable measures, as identified by the State agency. Not more than 12.5 percent of the State allotment may be used for State leadership activities, including professional development; 82.5 percent of the State allotment shall be used to support local programs and corrections education and other institutionalized individuals. Not more than 8.25 percent of the State allotment may be used for correctional education and other institutionalized individuals; not more than 5 percent (or \$65,000, whichever is greater) of the State allotment may be used for State administrative costs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

### Applicant Eligibility:

Formula grants are made to designated eligible State agencies. State agencies shall provide direct and equitable access to: Local educational agencies, public or private nonprofit agencies, community-based organizations of demonstrated effectiveness; institutions of higher education, volunteer literacy organizations of demonstrated effectiveness; libraries, public housing authorities; nonprofit institutions not described above that have the ability to provide literacy services to adults and families, and consortia of the entities described above.

### Beneficiary Eligibility:

Out-of-school adults who are 16 years of age and older, who are not enrolled or required to be enrolled in secondary school under State law, and who lack sufficient mastery of basic educational skills to enable them to function effectively in society or do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education, or are unable to speak, read, or write the English language.

### Credentials/Documentation:

A 5-year State plan as provided for in Section 224 of the Adult Education and Family Literacy Act, Education Department General Administrative Regulations, 34 CFR 74, 76, 77, 79, 80, 81, 82, 85, and 86. The State plan shall include a certification from a State official that all provisions and amendments thereto are consistent with the Act. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### Preapplication Coordination:

The Director of Adult Education and Literacy will provide guidance on specific problems and technical assistance in the preparation of State Plans. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Each eligible educational agency must submit to the Secretary of Education a 5-year State plan that sets forth the manner and procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

The Department approves the 5-year State plan and any amendment thereto and makes allocations to the State.

### Deadlines:

July 1.

### Range of Approval/Disapproval Time:

Approximately 30 days.

### Appeals:

States are afforded an opportunity for hearings.

### Renewals:

None.

### Formula and Matching Requirements:

\$100,000 initial allotment to Guam, American Samoa, Northern Mariana Islands, U.S. Virgin Islands, Micronesia, Marshall Islands, and Palau. Allotments reserved for Marshall Islands, Micronesia and Palau are awarded competitively pursuant to recommendations by the Pacific Region Educational Laboratory to Guam, American Samoa, Northern Mariana Islands, Marshall Islands, Micronesia, or Palau. No funds may be provided to Marshall Islands, Micronesia, and Palau as of fiscal year 2002. States and the District of Columbia and Puerto Rico receive a initial allotment of \$250,000. The remainder is allotted to all eligible agencies on the basis of the ratio of adults age 16 and older who are not enrolled or required to be enrolled in secondary school under State law. No agency may receive less than 90 percent of its allotment for the preceding fiscal year. The data source is a special tabulation by the Bureau of the Census. To receive a grant, States, the District of Columbia, and Puerto Rico must provide a nonfederal contribution in an amount equal to 25 percent of the total amount of funds expended for adult education and literacy activities in the State. To receive a grant, eligible outlying agencies must provide a nonfederal contribution in an amount equal to 12 percent of the total amount of funds expended for adult education and literacy activities. This program has maintenance of effort (MOE) requirements.

### Length and Time Phasing of Assistance:

Funds must be expended within 27 months of their date of availability. States draw funds as needed under the Electronic Transfer System.

### Reports:

Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

### Account Identification:

91-0400-0-1-501.

### Obligations:

(Grants) FY 07 \$563,975,000; FY 08 est \$544,122,000; and FY 09 est \$554,122,000.

### Range and Average of Financial Assistance:

Average: \$10,440,129; Range: \$891,681 - \$78,009,256.

### PROGRAM ACCOMPLISHMENTS:

There were approximately 2.8 million participants in fiscal year 2005.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Adult Education General Provisions and State-Administered Basic Grant Program.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Department of Education, OVAE Division of Adult Education and Literacy 400 Maryland Ave., S.W., Washington, DC 20202-7100. Contact: Joyce Campbell. E-mail: joyce.campbell@ed.gov. Telephone: (202) 205-5698.

### Web Site Address:

<http://www.ed.gov/fund/grant/find//AdultEd/f-ogrant.html>.

### RELATED PROGRAMS:

97.010, Citizenship Education and Training; 84.191, Adult Education\_National Leadership Activities; 84.255, Literacy Programs for Prisoners.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 84.004 CIVIL RIGHTS TRAINING AND ADVISORY SERVICES

### FEDERAL AGENCY:

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Civil Rights Act of 1964, Title IV, as amended.

### OBJECTIVES:

To provide technical assistance and training services to school districts to cope with educational problems occasioned by race, gender, and national origin desegregation.



**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds support Equity Assistance Centers to provide technical assistance and training, upon request, in the areas of race, sex, and national origin to public school districts and other responsible governmental agencies to promote equitable education opportunities. The centers work in the areas of civil rights, equity, and school reform. This assistance helps schools and communities ensure that equitable education opportunities are available and accessible for all children.

**Applicant Eligibility:**

Any private, nonprofit organization or any public agency may apply.

**Beneficiary Eligibility:**

Educational personnel and elementary and secondary students in local school districts benefit.

**Credentials/Documentation:**

Submission of a proposal for one or more of the sections of Title IV, Civil Rights Act of 1964. More detailed information may be found in the regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-122 for nonprofit organizations also applies.

**Preapplication Coordination:**

Applicants may contact the Department of Education. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Final recommendations are made following advice from a panel of peer reviewers.

**Deadlines:**

Published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 Days.

**Appeals:**

None.

**Renewals:**

Equity assistance centers receive three-year awards if they meet the criteria for annual continuation in the regulations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds are appropriated on an annual basis.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and ED General Administrative Regulations for Direct Project Grant and Contract Programs, 34 CFR 74, 75.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of 500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than 500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$7,113,000; FY 08 est \$6,989,000; and FY 09 est \$6,989,000.

**Range and Average of Financial Assistance:**

The average fiscal year 2007 continuation award was \$718,506.

**PROGRAM ACCOMPLISHMENTS:**

Awards were made to ten equity assistance centers in FY 05. Each center is responsible for providing technical assistance on the basis of race, gender, and national origin. New awards will be made in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 270, 271, and 272 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

School Support and Technology Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact:

Sandra Brown. Telephone: (202) 260-2638. E-mail: Sandra.brown@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/equitycenters/index.html> or  
<http://www.ed.gov/about/contacts/gen/othersites/equity.html>

**RELATED PROGRAMS:**

84.165, Magnet Schools Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Equity assistance centers provide training and technical assistance to public school districts in the States in their geographical service area. Typical activities include the dissemination of general information on such topics as successful educational practices and legal requirements related to non-discrimination on the basis of race, gender, and national origin in educational programs; training designed to develop educators' skills in specific areas, such as the identification of race and sex bias in instructional materials; and technical assistance in the identification and selection of appropriate educational programs to meet the needs of limited English speaking students. In all instances, the assistance provided is at the request of the local educational agency.

**CRITERIA FOR SELECTING PROPOSALS:**

New equity assistance center applications are evaluated on the basis of selection criteria, in Section 272.30(a)-(g), addressing mission and strategy, organizational capability, plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, and adequacy of resources. The highest ranking application for each geographical service area is selected for an award.

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS**

(FSEOG)

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 3, 20 U.S.C. 1070b-1070b-3.

**OBJECTIVES:**

To provide eligible undergraduate postsecondary students with demonstrated financial need with grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Grants are for undergraduate study, and range from \$100 to \$4,000 per academic year. However, if reasonable study abroad costs exceed the cost of attendance at the home institution, the amount of the grant may exceed the \$4,000 maximum by as much as \$400. A student is eligible to receive a FSEOG for the period of time needed to complete the first undergraduate baccalaureate course of study being pursued by that student. If it awards grants to students in that year an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000, expended plus 4 percent of expenditures greater than \$2,750,000 but less than \$5,500,000, plus 3 percent of expenditures in excess of \$5,500,000.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation (see listing of ED Regional Offices in Appendix IV). Students should contact the institution(s) they attend or wish to attend. This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Participating institutions submit the Fiscal Operations Report/Application to Participate in Federal Student Financial Aid Programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Federal Student Aid office. New institutions submit only the application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The Federal Student Aid office determines final awards and notifies participating institutions.

**Deadlines:**

Specified on the application (usually October 1). Contact the program office for additional information.

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1, and final award notifications sent by April 1.

**Appeals:**

None.

**Renewals:**

There are annual renewals.

**Formula and Matching Requirements:**

Funds are allocated to institutions on the basis of the institution's base guarantee and pro rata share and then on demonstrated need for funding. Institutions award funds to students on the basis of financial need as determined by the Federal Needs Analysis Methodology specified in statute. This program requires institutional matching funds. The Federal share may not exceed 75 percent unless waived based on objective criteria established in regulations.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (ED 646-1) is submitted by each institution at the close of each award year (June 30).

**Audits:**

Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits are performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to the activities of a given fiscal year must be retained for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Grants) FY 07 \$770,933,000; FY 08 est \$757,465,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The estimated average award to students was approximately \$764.

**PROGRAM ACCOMPLISHMENTS:**

Institutions will award \$958,816,000 in aid to 1,254,995 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 676, Student Guide fact sheet, no charge; Student Financial Aid Handbook, no charge; Notification to Members of Congress, list of grantees, published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

Students should contact the educational institution(s) they attend or plan to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Office of Federal Student Aid, Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202-5446. Federal Student Aid Information Center Telephone: 1-800-4FED-AID (800-433-3243).

**Web Site Address:**

<http://ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.031, Higher Education Institutional Aid; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.038, Federal Perkins Loan Program; Federal Capital Contributions; 84.042, TRIO Student Support Services; 84.044, TRIO Talent Search; 84.047, TRIO Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES

(Title I Basic, Concentration, Targeted and Education Finance Incentive Grants)

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part A, 20 U.S.C. 6301 et seq.

**OBJECTIVES:**

To help local education agencies (LEAs) and schools improve the teaching and learning of children failing, or most at-risk of failing, to meet challenging State academic standards.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Use of funds varies, depending on whether a school is operating a schoolwide program under Section 1114 of Title I or a targeted assistance program under Section 1115. A school with at least a 40 percent poverty rate may choose to operate a schoolwide program under Section 1114 that allows Title I funds to be combined with other Federal, State, and local funds to upgrade the school's overall instructional program. All other participating schools must operate targeted assistance programs, which provide extra instruction to those children failing, or most at risk of failing, to meet challenging State academic standards. Targeted assistance programs must ensure that Title I services supplement, not supplant the regular education programs normally provided by State and local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) and the Secretary of the Interior. Local educational agencies (LEAs) and Indian tribal schools are subgrantees.

**Beneficiary Eligibility:**

Children who are failing, or most at risk of failing, to meet challenging State academic standards.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

SEAs apply for funds as part of Title I, Part A, State plans submitted to the Department of Education in accordance with Section 1111 of ESEA or as part of a consolidated State plan submitted under Section 9302 of ESEA. The plan remains in effect for the duration of the State's participation in Title I, Part A, but must be updated to reflect substantive changes. Participating LEA's must file an approved plan with their SEAs.

**Award Procedure:**

The Department of Education (ED) makes grants through SEAs to LEAs using statutory formulas based primarily on Census Bureau estimates of the number of children from low-income families in each LEA.

**Deadlines:**

Deadlines are established by each SEA.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

If an LEA's plan is disapproved by the SEA it may appeal to the SEA and then to the Department of Education under Section 432 of the General Education Provision Act (GEPA).

**Renewals:**

None.

**Formula and Matching Requirements:**

The statute includes four separate formulas for allocating Title I Grants to LEAs. Under the statute, Basic and Concentration Grants are funded at the 2001 appropriation level. Basic Grants are allocated to almost all local educational agencies based on each State's per-pupil expenditure for education and the number of school-aged children from low-income families. Concentration Grants are allocated to LEAs having more than 6,500 children from low-income families or a poverty rate of more than 15 percent. In addition, funds appropriated in excess of the fiscal year 2001 level are to be distributed as Targeted Grants, which make higher payments to LEAs with higher numbers or percentages of poor children. The law also includes a separately authorized Education Finance Incentive Grants formula, which incorporates factors designed to measure a State's commitment to provide sufficient education funding, as well as how equitably that funding is distributed across districts. Allocations from all four formulas are combined into a single award to eligible LEAs. Within LEAs, funds are targeted to schools with the greatest percentages of poor children. The Bureau of Indian Affairs, Outlying Areas, and the Pacific Regional Education Laboratory also receive funding.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure.

**Reports:**

States submit annual performance reports.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act, and the Education Department General Administrative Regulations, States must maintain certain program records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 est \$12,838,123,000; FY 08 est \$13,898,875,000; and FY 09 est \$14,304,901,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$31.2 million to \$1.7 billion; the average award is \$264.6 million.

**PROGRAM ACCOMPLISHMENTS:**

More than 51,000 schools receive services. Over 15.8 million children a year are affected by Title I services in all 50 SEAs, DC, Puerto Rico, and the outlying areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For Title I guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202-6132. Contact: Susan Wilhelm E-mail: susan.wilhelm@ed.gov Telephone: (202) 260-0826.

**Web Site Address:**

<http://www.ed.gov/programs/titleiparta/index.html>.

**RELATED PROGRAMS:**

84.011, Migrant Education\_State Grant Program; 84.013, Title I Program for Neglected and Delinquent Children.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.011 MIGRANT EDUCATION-STATE GRANT PROGRAM

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part C, as amended. 20 U.S.C. 6391 et seq.

**OBJECTIVES:**

To assist States to ensure that migratory children have the opportunity to meet the same challenging State content and performance standards that all children are expected to meet.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Program funds are used to support high quality and comprehensive educational programs that address the needs of migratory children. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies or consortia of State educational agencies and other appropriate entities may apply.

**Beneficiary Eligibility:**

Children, ages 0 through 21, of migratory agricultural workers or of migratory fishers, including children (i.e. persons under age 21) who are workers themselves and the spouses of such workers, who have moved across school district lines during the past 36 months to obtain temporary or seasonal employment in agriculture, fishing, or related food processing activities.

**Credentials/Documentation:**

States are responsible for ensuring that information documenting a child's eligibility is recorded on a certificate of eligibility.

**Preapplication Coordination:**

The State educational agency works closely with local educational agencies, IHEs, and public and nonprofit private agencies that serve migratory children. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information

on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

State educational agencies submit applications to the Department of Education that meet the requirements of the Elementary and Secondary Education Act and applicable regulations.

**Award Procedure:**

The Department of Education notifies an approved State educational agency of its award.

**Deadlines:**

Announced annually.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

None.

**Renewals:**

None. Applications can be submitted by State educational agencies for a multi-year period. However, the application must be updated to reflect significant changes. Funds are awarded on an annual basis.

**Formula and Matching Requirements:**

Funds are allocated through a statutory formula based on each State's per pupil expenditure and the number of eligible full-time and part-time equivalent migrant students aged three through twenty-one residing within the State. In determining the full-time and part-time equivalent number of migratory children who are in a State during the summer months, the Secretary adjusts the number to take into account the special needs of those children for summer and/or intersession programs and the additional costs of operating such programs during the summer. Beginning in 2003, each State will receive at least 100 percent of its fiscal year 2002 allocation and any amount in excess of that appropriation will be distributed by the formula included above.

**Length and Time Phasing of Assistance:**

Twelve months. Unspent funds may be carried over into the next fiscal year.

**Reports:**

Each SEA receiving funds is required to submit an annual performance report that provides information on the number of children identified as eligible for the program, characteristics of children served the services provided, and staff.

**Audits:**

In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain program records must be maintained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$376,524,000; FY 08 est \$369,771,000; and FY 09 est \$399,771,000.

**Range and Average of Financial Assistance:**

Average State award was \$7,382,000 in fiscal year 2006. The awards ranged from \$82,000 to \$130,152,000.

**PROGRAM ACCOMPLISHMENTS:**

For the 2005 school year, approximately 737,700 full-time equivalent students received services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For more information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-6135. Contact: Sam Harris. E-mail: sam.harris@ed.gov. Telephone: (202) 260-1334 or (800) 872-5327.

**Web Site Address:**

<http://www.ed.gov/programs/mep/index.html>.

**RELATED PROGRAMS:**

84.141, Migrant Education\_High School Equivalency Program; 84.144, Migrant Education\_Coordination Program; 84.149, Migrant Education\_College Assistance Migrant Program; 84.213, Even Start\_State Educational Agencies; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

Program funds are used to establish or improve programs to meet the special educational needs of migratory children in such areas as academic instruction; remedial and compensatory instruction; bilingual and multicultural instruction;



vocational instruction and career education services; special guidance, counseling, and testing services; health services; and preschool services.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**84.013 TITLE I PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN**

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act; Title I, Part D, Subpart 1.

**OBJECTIVES:**

To help provide education continuity for children and youth in State-run institutions for juveniles and in adult correctional institutions, so that these youth can make successful transitions to school or employment once they are released from State institutions.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are used for educational or educationally related services. State juvenile institutions are eligible to use funds for institutionwide programs that integrate activities with other Federal, State, and local education programs in the institution. In facilities not operating institutionwide programs, services must be used to supplement, not supplant, those normally provided with State funds. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs). State agencies responsible for providing free public education for those children in institutions who are neglected or delinquent, responsible for children who are enrolled in education programs in adult correctional facilities, and responsible for those children in community day programs who are neglected or delinquent may apply to their state education agencies for subgrants.

**Beneficiary Eligibility:**

Children in a State institution for neglected or delinquent children, or in an adult correctional institution, or a community day school operated by a State agency.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A SEA may apply for State Agency Neglected and Delinquent funds as (1) part of its Title I, Part D, State plan submitted to ED under Section 1414 of ESEA or (2) as part of a consolidated State plan under Section 14302 of ESEA. To receive funds State agencies must apply to the SEA and provide information and assurance required in Section 1414 of ESEA.

**Award Procedure:**

The Department of Education's Office of Elementary and Secondary Education awards grants to State educational agencies, that in turn, award subgrants to the State agencies that have submitted applications.

**Deadlines:**

Established by the SEAs.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

None.

**Renewals:**

Although State plans are effective for the duration of Title I's authorization, SEAs are required to update plans to reflect changes. State agencies must update their applications annually to receive funds.

**Formula and Matching Requirements:**

Funds are allocated through a formula based on the number of children in State-operated institutions and per-pupil education expenditures for the State. Each State's allocation is generated by child counts in State institutions that provide at least 20 hours of instruction from nonfederal funds; adult correctional institutions must provide 15 hours a week.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to the State for an additional fiscal year for obligation and expenditure.

**Reports:**

Each State agency conducting a Part D program is required to evaluate the program's impact on students served at least once every three years.

**Audits:**

In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that

receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$49,797,000; FY 08 \$48,927,000; and FY 09 est \$51,927.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$88,313 to \$3,240,075; the average award is expected to be \$917,382.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 1104 institutions are expected to participate, in 50 States and the District of Columbia and Puerto Rico.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Student Achievement and School Accountability Programs 400 Maryland Ave., S.W., Rm. 3W214, FB-6 Washington DC 20202-6132. Contact: Gary Rutkin. E-mail: gary.rutkin@ed.gov. Telephone: (202) 260-4412.

**Web Site Address:**

<http://www.ed.gov/programs/titleipartd/index.html>.

**RELATED PROGRAMS:**

84.010, Title I Grants to Local Educational Agencies; 84.011, Migrant Education State Grant Program; 93.645, Child Welfare Services\_State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Funds generally provide supplemental instruction in core academic subjects, such as reading and mathematics. In addition, funds support counseling, tutoring, and projects to facilitate the transition of children from State institutions back to locally operated schools.

**CRITERIA FOR SELECTING PROPOSALS:**

State agencies are eligible to receive assistance if they are providing free public education for children who are (1) in institutions for neglected or delinquent children; (2) attending community day programs for neglected or delinquent children; or (3) in adult correctional institutions.

**84.015 NATIONAL RESOURCE CENTERS PROGRAM FOR FOREIGN LANGUAGE AND AREA STUDIES OR FOREIGN LANGUAGE AND INTERNATIONAL STUDIES PROGRAM AND FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part A, Section 602, as amended.

**OBJECTIVES:**

Centers: To promote instruction in those modern foreign languages and area and international studies that are critical to national needs by supporting the establishment, strengthening and operation of such programs at colleges and universities. Centers may focus on undergraduate training only or may be comprehensive, including undergraduate, graduate, and professional training components. Fellowships: To meet the needs of the United States for experts in modern foreign languages combined with area studies and world affairs by supporting fellowships for graduate study at institutions for higher education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Centers: Funds may be used for instructional costs of language and area and international studies programs, administration, lectures, conferences, library resources and staff, outreach, and travel. Fellowships: Funds may be used for academic year and summer fellowships to institutions of higher education (IHEs) in order to assist graduate students in acquiring foreign language and either area or international studies competencies.

**Applicant Eligibility:**

Centers: Accredited American colleges and universities may apply. Applying institutions provide evidence of existing resources and institutional commitment to language and area and international studies through a curriculum that provides instruction dealing with a particular world area and its languages, with comparative world area studies, or with the international aspects of professional

or other fields of study. Fellowships: Accredited U.S. institutions of higher education offering comprehensive graduate area or international studies programs combined with language study are eligible to apply for allocations of fellowships.

**Beneficiary Eligibility:**

Centers: Accredited American colleges and universities will benefit. Fellowships: Graduate students enrolled in funded centers and programs will benefit. Student candidates must be U.S. citizens or nationals or permanent residents training in area or international studies and in modern foreign languages programs that have or are developing performance-based language instruction. Training must be undertaken through an institution that has an allocation of Foreign Language and Area Studies (FLAS) Fellowships.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible institutions may submit proposals for the funding of centers only, fellowships only, or both when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of proposals are available from the Advanced Training and Research Team of the International Education and Programs Service (IEPS). This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Centers: Final recommendations are made to the Secretary following evaluations from panels of experts that evaluate applications according to published selection criteria. Fellowships: The student should contact his/her sponsoring institution for information concerning application forms, deadlines, and related matters. Institutional proposals are approved or disapproved by the Secretary, following the same procedures as for Center applications.

**Deadlines:**

Will be announced in the Federal Register and are usually in November of the year preceding the grant period. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

About 120 days.

**Appeals:**

None.

**Renewals:**

Higher education institutions receiving funds for three year phased program support must submit annual performance reports for the second and third year for continuation of such support. Students seeking fellowships apply to their institutions for each summer or academic year award period. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Centers: Grants are awarded for 12-month budget periods, subject to renewals of 1 or 2 years. Payments are made as stipulated in the grant. Renewals are subject to the availability of funds. Fellowships: Academic year second summer fellowships payments to student recipients are made by the institutions on a competitive basis. If summer fellowships are issued, they will be for a summer session in which the equivalent of an academic year's foreign language study is completed. Payments are made by the grantee institution.

**Reports:**

Centers: All programs must provide performance reports upon completion of each year's budget period and a final report of project accomplishments at the end of the grant. Financial reports are also required. Fellowships: Performance reports from fellowship award recipients at the end of each award period. Institutional final reports (awards lists) and financial reports are required annually.

**Audits:**

Centers: All fiscal records will be subject to audit by the Education Department at any time within 3 years after expiration of the grants. Fellowships: Fiscal records of institutions administering fellowship funds will be subject to audit by the Department at any time within 5 years after the close of the fiscal year in which grant funds are all spent.

**Records:**

All records supporting claims under grant or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of completion of Federal financial audit, whichever is later. Fellowships: All records bearing on the receipt and expenditure of funds under the program must be available for inspection by the Department: (1) For 3 years after the fiscal year in which grant funds are spent, (2) until audit or for 5 years after grant, or (3) until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) Centers: FY 07 \$28,812,463; FY 08 est \$29,634,500 and FY 09 est \$29,040,000. Fellowships: FY 07 \$29,359,000; FY 08 est \$29,934,000 and FY 09 est \$29,995,000.

**Range and Average of Financial Assistance:**

Centers: For FY 2008, the range of awards for Centers is expected to be \$175,000 to \$270,000; the average award is expected to be \$237,000. For FY 2008, the range of Fellowship awards is expected to be \$94,000; the average award is expected to be \$242,000.

**PROGRAM ACCOMPLISHMENTS:**

Centers and Fellowships: In fiscal year 2008, 125 National Resource Centers are expected to be funded at institutions of higher education and 125 Foreign Language and Area Studies Fellowship grants are expected to be awarded to institutions of higher education.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 656, and 657, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Services, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5331. Contact: (Centers) Carla White E-mail: carla.white@ed.gov. Telephone: (202) 502-7631; Cheryl Gibbs Telephone: 202-502-7630. E-mail: cheryl.gibbs@ed.gov. Telephone: (202) 502-7634. Contact (Fellowships) Peter Baker; E-mail: peter.baker@ed.gov. Telephone: (202) 219-7060.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsnrc/>; or  
<http://www.ed.gov/programs/iegpsflas/>.

**RELATED PROGRAMS:**

84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.220, Centers for International Business Education; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

The University of Washington/East Asia Studies Center offers training programs in East Asian languages and in a wide variety of disciplines at both the undergraduate and graduate levels and in professional schools. The Center for Advanced Study of International Development and the Women and International Development programs at Michigan State University offer courses and activities focused on development studies in the new era of globalization. University of Wisconsin/Latin American Studies Center offers courses in languages and in many disciplines at the undergraduate level in all participating campuses. The Madison and Milwaukee campuses offer extensive graduate and some professional training programs in Latin American studies as well.

**CRITERIA FOR SELECTING PROPOSALS:**

34 CFR 655, 656, and 657 apply to the Centers and Fellowships Programs. Selection criteria for evaluating applications and selecting centers are listed in the Title VI, International Education Program Regulations in 34 CFR 655.31, 656.21 or 656.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register 656.21 or 656.22. Part 657.21 gives the criteria for selection of institutional awards for fellowship allocations. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

## **84.016 UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE PROGRAMS**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part A, Section 604, as amended.

**OBJECTIVES:**

The Undergraduate International Studies and Foreign Language Program issues awards to institutions of higher education and public and nonprofit private agencies and organizations. The purpose of the awards is to: (1) Assist institutions of higher education to plan, develop, and carry out a program to strengthen and improve undergraduate instruction in international studies and foreign languages; and (2) assist associations and organizations to develop projects that will make an especially significant contribution to strengthening and improving undergraduate instruction in international studies and foreign languages.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Each program assisted with federal funds must primarily enhance the

international academic program of the institution. Eligible activities may include but are not limited to: development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and its corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and preprofessional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations.

**Beneficiary Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

When funds are available for the support of new programs, announcements are issued in the Federal Register. Application forms and guidelines for submission of proposals are available from the Undergraduate International Studies and Foreign Language Program. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants in accordance with the published criteria.

**Deadlines:**

A closing date generally appears in Federal Register in August. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

None.

**Renewals:**

Institutions of higher education and associations and organizations currently receiving funds for two or three year phased program support must submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

The non-Federal share of the cost of the programs assisted may be provided in cash from the private sector corporations or foundations in an amount equal to one-third of the total cost of the programs or may be provided as an in-cash or in-kind contribution from institutional and noninstitutional funds, including State and private sector corporation or foundation contributions, equal to one-half of the total cost of the programs assisted herein. The Secretary may waive or reduce the matching requirement for institutions that are eligible to receive assistance under part A or B of Title III or under Title V of the Higher Education Act of 1965, as amended.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods, subject to renewals of one or two years. Payments are made as stipulated in the grant. Renewals are subjects to the availability of funds.

**Reports:**

All programs must provide final reports upon completion of the program.

**Audits:**

All fiscal records will be subject to audit any time within three years after expiration of the grant.

**Records:**

All records supporting claims under a grant or relating to the accountability for awarded funds must be available upon request: (1) For three years after close of the fiscal year in which contract was liquidated; or (2) until the grantee is notified of completion of Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$4,300,000; FY 08 \$4,296,000; and FY 09 est \$4,311,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards for a single institution is expected to be

\$50,000 to \$90,000; the average award is expected to be \$75,000. For FY 2008, the range of awards for consortia/organizations/associations is \$80,000 to \$140,000; the average award is expected to be \$110,000.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-five new grants and 30 continuation grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 658, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5331. Contact: Christine Corey. Telephone: (202) 502-7629. Email: Christine.corey@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsugisf/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.018, Overseas Programs - Special Bilateral Projects; 84.019, Overseas Programs - Faculty Research Abroad; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

The Consortium for Inter-Institutional Collaboration in African and Latin-American Studies, situated at Michigan State University, is characterized by a series of on-campus and in-country intensive language and area studies institutes, organized through cooperation with 20 or more Historically Black Colleges and Universities (HBCU), 12 liberal arts colleges in the Great Lakes Colleges Association (GLCA), and several institutions in the Associated Colleges of the Midwest (ACM). Wayne State University will develop an interdisciplinary program in Eastern Europe, representing a collaborative effort between the School of Business, the Department of German and Slavic Studies and Wayne State University.

**CRITERIA FOR SELECTING PROPOSALS:**

In addition to evaluation on the basis of criteria found in the Education Division General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, and 78 the Secretary will further evaluate applications for Federal support for international studies programs in accordance with the criteria published in 34 CFR 655, 658, and 45 CFR 86872.

## 84.017 INTERNATIONAL RESEARCH AND STUDIES

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part A, Section 605, as amended.

**OBJECTIVES:**

To improve foreign language, area, and other international studies training through support of research, studies, experimentation, development of specialized instructional materials, and the publication of specialized materials developed as a result of research conducted under this program.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The program supports research and studies that may include but are not limited to: (1) Studies and surveys to determine needs for increased or improved instruction in foreign language, area studies, or other international fields including the demand for foreign language, area, and other international specialists in government, education, and the private sector; (2) studies and surveys to assess the utilization of graduates of programs supported under this title by governmental, educational, and private sector organizations and other studies assessing the outcomes and effectiveness of programs so supported; (3) comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education; (4) research on more effective methods of providing instruction and achieving competency in foreign languages; (5) the development and publication of specialized materials for use in foreign language, area studies, and other international fields, or for training foreign language, area and other international specialists; (6) the application of performance tests and standards across all areas of foreign language instruction and classroom use, and (7) other research or materials development projects that further the purposes of the International Education Programs authorized by Part A of Title VI of the HEA. Funds awarded under this program may not be used for the training of students and teachers.

**Applicant Eligibility:**

Public and private agencies, organizations, institutions, and individuals may



apply.

**Beneficiary Eligibility:**

Public and private agencies, organizations, institutions, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formal applications should be prepared in response to announcements of mandatory program requirements and closing dates in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by Department of Education specialists and review panels of scholars.

**Deadlines:**

Will be announced in the Federal Register and are normally in October/November of the year preceding the grant period. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

From six to seven months.

**Appeals:**

None.

**Renewals:**

Projects conducted under a grant may be phased, with the phases following the first phase subject to renewal on a non-competitive basis. Renewals of grants, which were not included in the original negotiations, will be considered in competition with all other new applications and are dependent on the submission of reports that demonstrate that substantial progress has been made.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Depends on project, but is generally from 12 to 36 months. Phasing of projects is determined during the negotiation process.

**Reports:**

A final report or subject data as established through negotiation. Interim progress reports and a financial report are required.

**Audits:**

All fiscal records will be subject to audit by the Department at any time within three years after expiration of the contract or grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For three years after close of the fiscal year of grant expiration or (2) until the grantee is notified of completion of the Federal audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$5,822,840; FY 08 \$4,288,000; and FY 09 est \$6,837,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$50,000 to \$200,000; the average award is expected to be \$114,000.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2008, 14 new awards and 32 continuation awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655, 660, and the Education Department General Administrative Regulations. Contact the program office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5331. Contact: Ed McDermott. Telephone: (202) 502-7636. E-mail: Ed.mcdermott@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsirs/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.018, Overseas Programs - Special Bilateral Projects; 84.019, Overseas Programs - Faculty Research Abroad; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

"HEA Title VI, Part A, Section 606: An Assessment Study"; "National Proficiency Tests in Ukrainian and Croatian"; "Teaching about the Americas: An Electronic Curriculum"; "Instructional Materials on China and Japan"; "Proficiency-based Business Arabic"; "A CD-ROM-based Video in Japanese Language and Culture"; "Middle East Curriculum and Dissemination Project"; "Teaching Materials for Russian Language Instruction at the Secondary Schools Level"; "Africa: Media and Education Project"; "Survey of Foreign Language Entrance and Degree Requirements in U.S. Colleges and Universities." International Law - Video Course and Learner's Guide, Hausa Language and Culture Video Project, The Muslim Middle East: Curriculum Development and Dissemination Project.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals is stated in 34 CFR 655.31, 660.31, 660.32, and 660.33. The Secretary will evaluate applications in accordance with the published criteria. An applicant may receive as many as five or ten points or as few as zero points under each criterion. (20 U.S.C. 1121-1127, 3063- 3065.)

**84.018 OVERSEAS PROGRAMS-SPECIAL BILATERAL PROJECTS**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, Section 102(b)(6), as amended, Public Law 87-256.

**OBJECTIVES:**

To increase mutual understanding and knowledge between the people of the United States and those in other countries by offering qualified U.S. educators opportunities to participate in short-term study seminars abroad on topics in the social sciences and the humanities.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Program funds provide round-trip economy airfare, room and board, tuition and fees for seminars. Actual locations may vary from year-to-year. No dependents are to accompany awardees participating in seminars.

**Applicant Eligibility:**

(1) Applicants must be U.S. citizens or have permanent resident status; (2) must hold a bachelor's degree; (3) must have at least 3 years full-time in teaching, administering or supervising in the humanities, the social sciences or social studies subjects; (4) applicants must be currently employed full-time in teaching, administering or supervising in the aforementioned areas; (5) applicants also must meet any language requirements if applicable (see the application booklet for details). If selected, awardees must furnish evidence of good health and emotional maturity.

**Beneficiary Eligibility:**

(1) Undergraduate faculty members of four year colleges/universities and 2-year community colleges in the fields of the humanities and social sciences; (2) supervisors and secondary (grades 9 through 12) and elementary and junior high school (grades K through 8) teachers of social studies and humanities; and (3) curriculum development specialists, administrators of local and State education agencies who have direct responsibility for developing curriculum in the subject areas encompassed by the social sciences and the humanities.

**Credentials/Documentation:**

Applicants' basic data; education and professional preparation; present and previous employment; specific statement of objectives; plans to utilize the knowledge and experience gained from the seminar; involvement in educational/professional/civic groups, associations/organizations; personal traits; honors/awards/publications, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

International Education Graduate Programs Service, Department of Education, publishes an annual announcement of opportunities and conducts open competition to select participants. Binational commissions or foundations or other appropriate agencies receive funding to conduct the seminars. The standard application forms as furnished by the Federal agency and as required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible applicants may submit applications for a position in one of the seminars when the announcement of a new competition is made through journals, newsletters, educational associations, individuals, etc. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Recommendations are made to the Secretary of Education following advice from a panel of consultants. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Generally in late October of the year preceding the award to attend a seminar overseas.

**Range of Approval/Disapproval Time:**

Applicants notified in mid March of selection for seminars.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

From 4 to 6 weeks.

**Reports:**

Individual curriculum projects and program evaluations from participants are submitted.

**Audits:**

None.

**Records:**

Retained for one year.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$2,670,325; FY 08 \$2,149,000; and FY 09 est \$2,420,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$70,000 to \$313,000; the average award is expected to be \$317,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, approximately 144 participants were enrolled in nine projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. Program announcements and related information are available from the Program Officer for International Education, Department of Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5331. Contact Gail Holdren, E-mail: gale.holdren@ed.gov, Telephone: (202) 502-7691.

**Web Site Address:**

<http://www.ed.gov/programs/iegpssap/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.019, Overseas Programs - Faculty Research Abroad; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

Seminars have been conducted in Chile, China, Egypt, Hungary, Poland, Malaysia, Mexico, and Zimbabwe. Annual language training programs are offered in Japan for teachers of Japanese.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.019 OVERSEAS PROGRAMS - FACULTY RESEARCH ABROAD**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To help universities and colleges strengthen their language and area studies programs by enabling faculty members to conduct research abroad in order to improve their skills in languages and their knowledge of the cultures on which their academic interests focus.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Generally, awards will not be available for projects focusing primarily on Western Europe or on countries where the United States has no diplomatic representation. This program funds fellowships through institutions of higher education to faculty members who propose to conduct research abroad in modern foreign languages and area studies to improve their skill in languages and knowledge of the culture of the people of these countries. Funds support: travel expenses to and from the residence of the fellow and the country or

countries of research, a maintenance stipend for the fellow related to his or her academic year salary, and an allowance for research-related expenses overseas such as books and photocopying, tuition, affiliation fees, local travel, and other incidental expenses. Fellowships are adjusted for duplicating support.

**Applicant Eligibility:**

Institutions of higher education may apply.

**Beneficiary Eligibility:**

Those benefiting will: (1a) Be a citizen or national of the United States; (1b) be a permanent resident of the United States; or (1c) provide evidence from the Immigration and Naturalization Service that he or she is in the United States for other than a temporary purpose with the intention of becoming a citizen or permanent resident; (2) be employed by an institution of higher education; (3) have been engaged in teaching relevant to his or her foreign language or area specialization for the 2 years immediately preceding the date of the award; (4a) have proposed research relevant to a modern foreign language or area specialization that cannot be conducted in the United States, or for which a foreign country or region provides superior research facilities; (4b) contribute to the development or improvement of the study of modern foreign languages or area studies in those fields needed for a full understanding of the area, regions, or countries in which the modern foreign languages are commonly used; (4c) not be doing dissertation research for a Ph.D.; and (5) possess adequate skills in the language or languages necessary to successfully carry out the project.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Eligible institutions will be responsible for accepting, screening, and forwarding through the Department of Education's Application Control Center to the International Education Programs Service (IEPS) those individual applications that meet the institution's technical and academic criteria and the program's eligibility requirements. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Faculty members may address requests for general information to the Advanced Training and Research Team, International Education Programs Service. Completed applications should be submitted directly to the faculty members employing institution, which will forward them to the Application Control Center. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The IEPS will make the initial selection and recommendation of fellowship recipients with the advice of a panel of academic specialists in modern foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. The selections are subject to review and final approval by the J. William Fulbright Foreign Scholarship Board. The grant covering successful scholars is made to the institutions which employ the faculty members.

**Deadlines:**

Generally the last week in October or the first week in November of the year preceding the year of research. Exact date is announced in the Federal Register. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

Approximately 200 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

From 3 to 12 months.

**Reports:**

Award recipient: final program report submitted through the grantee institution no later than 90 days after the termination date of the award. Institution: fiscal year report.

**Audits:**

Fiscal records of institutions subject to the Department audit at any time within 5 years after close of the fiscal year in which expenditures are made.

**Records:**

Records bearing on receipt and expenditure of grant funds must be made available for the Department inspection: (1) For 3 years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for 5 years following end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$1,395,000; FY 08 est \$1,600,000; and FY 09 est \$1,395,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$20,000 to \$100,000; the

average award is expected to be \$70,000.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-three new grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 663, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Advanced Training and Research Team, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202-5331. Contact: Cynthia Dudzinski. E-mail: [cynthia.dudzinski@ed.gov](mailto:cynthia.dudzinski@ed.gov). Telephone: (202) 502-7589.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsfra/>.

**RELATED PROGRAMS:**

19.400, Educational Exchange Graduate Students; 19.401, Educational Exchange University Lecturers (Professors) and Research Scholars; 84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.018, Overseas Programs Special Bilateral Projects; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

The Effects of the Zimbabwe Revolution on the Southern African Regional System; Refugee Integration and Repatriation in Eastern Sudan; Women in Politics in Ecuador; Health Problems and the Accessibility and Utilization of Health Care in Guanacaste, Costa Rica; Worker Cooperatives in Japan and Culture of Cooperation; Technology and Nationalism in Late Colonial Netherlands East Indies; Proficiency-Based Business Arabic; Nations, Nationalism and Ethnicity: The Sri Lankan Model and its Transformations; Race, Ethnicity, Social Class and Power in the Hispanic Caribbean: The Historical Development and Contemporary Expression of Relations; The Americans in Prague: A History of US-Czechoslovak Relations, 1918-1993; Central and East European Countries and the European Union: Admission, Terms, Impacts; Turkey's Encounter with Nationalism and Modernity's Race, Class, and Gender in Black Political Movements in South Africa, 1925- 1960: A Biography of Jose Mpama.

**CRITERIA FOR SELECTING PROPOSALS:**

The following selection criteria for this program are from 34 CFR 663.21 and are as follows: The maximum score for all of the criteria, including the competitive preference priority is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers (1) the statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) the relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline (10 points); (3) the preliminary research already completed or plans for research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) the justification for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) the applicant's plans to share the results of the research in progress with scholars and officials of the host country or countries and the American scholarly community (10 points); and (6) the objectives of the project regarding the sponsoring institution's plans for developing or strengthening, or both, curricula in modern foreign languages and area studies (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) the overall strength of the applicant's academic record (teaching, research, contributions, professional association activities (10 points); (2) the applicant's excellence as a teacher or researcher, or both, in his or her area or areas of specialization (10 points); (3) the applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) the applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's previous overseas experience, or documentation provided by the sponsoring institution, or both (5 points). Subject to change. Contact program officer for further information.

**84.021 OVERSEAS PROGRAMS - GROUP PROJECTS ABROAD**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Public Law 87-256; Section 102(b)(6).

**OBJECTIVES:**

To contribute to the development and improvement of the study of modern foreign languages and area studies in the United States by providing opportunities for teachers, faculty, and upperclassmen and/or graduate students to study, travel, and research in foreign countries.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The grant does not provide funds for project-related expenses within the United States. The grant funds may be used in the country of study for the following: maintenance stipend; round-trip international travel; project-related local travel; artifacts; books and other teaching materials; rent for instructional facilities; and clerical and professional services.

**Applicant Eligibility:**

Institutions of higher education, State departments of education, private nonprofit educational organizations, and a consortium of institutions, departments, and organizations.

**Beneficiary Eligibility:**

A participant must be: a citizen, or permanent resident of the United States, faculty member and teachers at all levels; a graduate or upperclassman who plans a teaching career in modern foreign languages or area studies.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An institution or organization interested in the program should plan and propose a group project that would significantly improve its program in foreign language and area studies. Specific guidelines for preparation of proposals as published in the Federal Register are available upon request from the International Education Programs Service (IEPS). The institution or organization must give assurance that the individuals it nominates to undertake the projects are appropriately qualified. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

With the advice of a panel of academic consultants and an assessment of the feasibility and suitability of each proposal by U.S. Embassies and Binational Commissions in the proposed countries of study, the IEPS will make initial selections, and preliminary recommendations of grant recipients to the Secretary. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Generally, in late October or of the year preceding the year of overseas activity.

**Range of Approval/Disapproval Time:**

About 120 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

For short-term seminar, curriculum development, and group research or study projects ranging from 5 weeks, generally, to 12 months; up to 48 months for advanced intensive language training projects.

**Reports:**

Terminal program reports and financial reports from the grantee.

**Audits:**

All fiscal records subject to audit at any time within five years after close of the fiscal year in which expenditures are made.

**Records:**

Documents bearing on receipt and expenditure of grant funds must be made available for inspection by the Department: (1) For three years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for five years following the end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$3,877,534; FY 08 est \$4,613,000; and FY 09 est \$4,327,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$50,000 to \$375,000; the average award is expected to be \$105,000.

**PROGRAM ACCOMPLISHMENTS:**



Projects have had an effect on the curriculum through new and expanded courses and faculty training in the use of new materials. In fiscal year 2008, 44 new grants are expected to be awarded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 664, and the Education Department General Administrative Regulations.

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5331. Contact: Michelle Guilfoil. E-mail: michelle.guilfoil@ed.gov. Telephone: (202) 502-7525.

#### **Web Site Address:**

<http://www.ed.gov/programs/iegpsgpa/>

#### **RELATED PROGRAMS:**

19.400, Educational Exchange\_Graduate Students; 19.401, Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.018, Overseas Programs\_Special Bilateral Projects; 84.019, Overseas Programs - Faculty Research Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.229, Language Resource Centers.

#### **EXAMPLES OF FUNDED PROJECTS:**

A School-University Collaborative Project for Curriculum Development About the People's Republic of China: Choosing Modernization; Seminar on Cultural Diversity and Development in Malaysia and Singapore - A curriculum development program for 15 Andrew and other college faculty and pre-college teachers in Georgia; Seminar on Mexican Perspective of the North American Free Trade Agreement; Russia: In search of Democracy and Economic Reform A Curriculum Development Team Project; The Walls Come Tumbling Down: A 5-week travel-study seminar for 14 Maryland community college faculty to study the Polish people, country, and culture; and a 5-week seminar for consortia faculty on Post-Revolutionary Prospects in Ethiopia and Eritrea. In addition nine advanced foreign language programs in Egypt, China, the Philippines, India, Nigeria, Indonesia, Japan, Russia, and Tanzania involving the instruction of Arabic, Chinese, Filipino, Hindi, Marathi, Bengoli, Hausa, Yoruba, Indonesian, Japanese, Russian, and Kiswahili.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 664.31 and are as follows: (a) Plan of operation (20 points), (b) quality of key personnel (10 points), (c) budget and cost effectiveness (10 points), (d) evaluation plan (20 points), (e) adequacy of resources (5 points), (f) potential impact of the project on the development of the study of modern foreign languages and area studies in American education (15 points), (g) relevance to the institution's educational goals and its relationship to its program development in modern foreign languages and area studies (5 points), (h) the extent to which direct experience abroad is necessary to achieve the project's objectives and the effectiveness with which relevant host country resources will be utilized (10 points), and (i) the extent to which the proposed project addresses the competitive preference priorities (10 points). Subject to change. Contact program officer for further information.

### **84.022 OVERSEAS PROGRAMS - DOCTORAL DISSERTATION RESEARCH ABROAD**

#### **FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

#### **OBJECTIVES:**

To provide opportunities for graduate students to engage in full-time dissertation research abroad in modern foreign language and area studies with the exception of Western Europe. This program is designed to develop research knowledge and capability in world areas not widely included in American curricula.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

#### **USES AND USE RESTRICTIONS:**

Funds will be available to enable doctoral candidates to complete field research for their dissertations. Generally awards will not be available for projects focusing primarily on Western Europe or countries where the United States has no diplomatic representation. Financial provisions include basic stipend computed on the cost-of-living in the country where research is to be conducted; cost of round trip jet economy air fare for award recipient only; baggage allowance, if justified; dependents allowance for accompanying dependents based on cost-of-living in host country; project allowance to be utilized for the purchase of expendable materials, services, and supplies, tuition payments to foreign institutions, and local travel expenditures; funds to secure health and

accident insurance.

#### **Applicant Eligibility:**

Institutions of higher education may apply.

#### **Beneficiary Eligibility:**

Candidate for Doctoral Dissertation Research Abroad Fellowship must: (1a) Be a citizen or national of the United States; (1b) be a permanent resident of the United States; or (1c) provide evidence from the Immigration and Naturalization Service that he or she is in the United States for other than a temporary purpose with the intention of becoming a citizen or permanent resident; (2) be a graduate student in good standing at an institution of higher education who, when the fellowship period begins, has been admitted to candidacy in a doctoral degree program in modern foreign languages and area studies at that institution; (3) plan a teaching career in the United States upon graduation; (4) possess adequate skills in the foreign language(s) necessary to carry out the dissertation research project.

#### **Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

The graduate dean of a college or university or his or her representative will be responsible for accepting, screening, and forwarding through the Department of Education's Application Control Center to the Advanced Training and Research Team those individual applications which meet the institution's technical and academic criteria and the program's eligibility requirements. Candidates for dissertation research fellowships apply directly to the institutions at which they are enrolled in a Ph.D. program, not to the Department of Education. This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

#### **Application Procedure:**

Institutions should request application materials from the Advanced Training and Research Team. Students should address requests for application forms to the office of the graduate dean or his or her representative at the graduate schools at which they are enrolled in a Ph.D. program. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

The Advanced Training and Research Team will make initial selection and recommendation of fellowship recipients with the advice of a panel of specialists in foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. Selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board. The grant covering successful graduate students is made to the applicant, i.e., institutions of higher education.

#### **Deadlines:**

Generally, the last week in October or first week in November of the year preceding the year of research. Exact date is announced in the Federal Register.

#### **Range of Approval/Disapproval Time:**

About 200 days.

#### **Appeals:**

Not applicable.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Awards are made for at least 6 but not more than 12 months.

#### **Reports:**

Fellows: Terminal reports through the grantee institution no later than 90 days after the termination date of the award. Institutions: fiscal reports.

#### **Audits:**

Fiscal records of institutions subject to Education Department audit at any time within 5 years after close of the fiscal year in which expenditures are made.

#### **Records:**

Records bearing on receipt and expenditure of funds to be made available for inspection by the Department for 3 years after close of fiscal year in which expenditures are made if departmental audit has occurred by that time, until audit or for five years following the end of the budget period in which the grant expired (whichever is later) or until resolution of any outstanding audit questions.

#### **Account Identification:**

91-0201-0-1-502.

#### **Obligations:**

(Grants) FY 07 \$4,444,896; FY 08 est \$4,666,000; and FY 09 est \$4,721,000.

#### **Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$15,000 to \$60,000 for fellowships; the average fellowship is expected to be \$29,330.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 2008, 150 new fellowships are expected to be awarded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations published in 34 CFR 662, and in the Education Department General Administrative Regulations.

#### **Regional or Local Office:**

Not applicable.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5331. Contact: Sara Starke. E-mail: Sara.Starke@ed.gov. Telephone: (202) 502-7688.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsddrap/>.

**RELATED PROGRAMS:**

19.400, Educational Exchange Graduate Students; 19.401, Educational Exchange University Lecturers (Professors) and Research Scholars; 84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.018, Overseas Programs Special Bilateral Projects; 84.019, Overseas Programs - Faculty Research Abroad; 84.021, Overseas Programs - Group Projects Abroad; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

Imagined Democracies, Nocturnal Communities: The Production of Political Space in Cote d'Ivoire; Strategies for Survival: Women, Power, and HIV Risk in Uganda; Spirit Possession in Northern Brazil; The Exus of Umbanda Forest Conservation and Common Property Management in Oaxaca, Mexico; Continuity and Change: Cooperatives in Contemporary Rural China; Strangers in their Homeland: The Ethnic Adaptation of Japanese-Brazilian Return Migrants and the Japanese Sociopolitical Response Towards Co-management; Conservation, Indigenous Communities and the Philippine State Disease; Social Change and Gender Among the Huli of Papua New Guinea; Language and Identity in Ukraine: The Politics of Interaction Propaganda vs. "Stalinization" of the Soviet Press, 1922-1930; Commemoration of Nation and Class in Two Palestinian Villages; Educating Ethnicity: Cypriot Conflict and the Revision of History; Education and Youth Culture in Kerala, South India, Trekking Tourism, Traditionalism and Development in a Nepali Village; Women's Political NGOs in the Emerging Democracy of Ghana; and Community Building among Indonesian Transmigrants: The Challenges of Ecological Sustainability and Social Harmony.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 662.21 and are listed in the following paragraphs. The maximum score for all of the criteria, including the competitive preference priority, is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers: (1) the statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) the relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline (10 points); (3) the preliminary research already completed in the United States and overseas or plans for such research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) the justification for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) the applicant's plans to share the results of the research in progress and a copy of the dissertation with scholars and officials of the host country or countries (10 points); and (6) the guidance and supervision of the dissertation advisor or committee at all stages of the project, including guidance in developing the project, understanding research conditions abroad, and acquainting the applicant with research in the field (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) the overall strength of the applicant's graduate academic record (10 points); (2) the extent to which the applicant's academic record demonstrates strength in area studies relevant to the proposed project (10 points); (3) the applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) the applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's references or previous overseas experience, or both (5 points). Subject to change. Contact program officer for further information.

**84.027 SPECIAL EDUCATION-GRANTS TO STATES****FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part B, Sections 611-618, as amended, 20 U.S.C. 1411-1418.

**OBJECTIVES:**

To provide grants to States to assist them in providing a free appropriate public education to all children with disabilities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are used by State and local educational agencies, in accordance with the IDEA, to help provide the special education and related services needed to make a free appropriate public education available to all eligible children and, in some cases, early intervening services.

**Applicant Eligibility:**

State educational agencies in the 50 States, District of Columbia, Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Guam and Virgin Islands, the Department of the Interior, and freely associated States. Local educational agencies apply to their State educational agency for subgrants.

**Beneficiary Eligibility:**

Children with disabilities will benefit.

**Credentials/Documentation:**

The designated plan review agencies must be given an opportunity to review the State's policies and procedures. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

States must meet the conditions of Section 612 of the Individuals with Disabilities Education Act. Public hearings must be held prior to a State's adoption of policies and procedures to comply with that section. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the State establishes eligibility for funds under Section 612 of Part B of the IDEA. Local education agencies establish eligibility by meeting local application eligibility requirements of Section 613 of Part B of the IDEA.

**Award Procedure:**

Once the State application has been approved, a grant award is forwarded to the State department of education. Notification of the award is made to Chief State School Officer.

**Deadlines:**

The submission date for State applications is April 1 to expedite funding, but plans or amendments are accepted throughout the fiscal year.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department must give a State educational agency an opportunity for a hearing before taking any action involving the proposed disapproval of a State plan and the withholding of payments. If a State disagrees with a final action, it may, within 60 days after notice of such action, file a petition for review of that action with the U.S. Circuit Court of Appeals. A State may also engage in a hearing with the Department if the State disagrees with the action taken regarding a request for a waiver of the Part B supplementing and supplanting requirements.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funds are awarded based on a statutory formula. In general, subject to minimum and maximum funding requirements, if the funds available to States increase from one year to the next, each of the states first received what it received in 1999. Eighty-five percent of the remaining funds are distributed based on the relative number of children with disabilities in the age range for which States mandate services; 15 percent of the remaining funds are distributed based on the relative numbers of those children living in poverty. If the amount available to these entities decreases from one year to the next, each entity receives what it did in 1999. Remaining funds are distributed in proportion to the increased these entities received between 1999 and the present year. Most of the funds must be distributed to local education agencies directly serving children. States may retain the remaining funds for state-level activities including administration of, support of, and direct services to children with disabilities. There are non-supplanting and excess cost requirements. Contact the program office for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. States and local education agencies have an additional 12-month period to obligate funds they receive.

**Reports:**

Annual data report and performance reports are submitted to the Department of Education from the State departments of education.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), Audits of States, Local Governments, and NonProfit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$10,782,961,000; FY 08 est \$10,947,511,571; and FY 09 est \$11,284,511,000. (Includes \$15,000,000 in each year for funding CFDA 373.)

**Range and Average of Financial Assistance:**

For 2008, the range of awards to States, the District of Columbia, and Puerto Rico, is \$929,040 to \$1,165,972,611.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 6.8 million children with disabilities are expected to be served by this program for 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR 300.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Assistant Secretary for Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Ruth Ryder. E-mail: Ruth.Ryder@ed.gov Telephone: (202) 245-7629.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osep/index.html>.

**RELATED PROGRAMS:**

84.173, Special Education\_Preschool Grants; 84.181, Special Education-Grants for Infants and Families; 84.323, Special Education - State Personnel Development; 84.324, Research in Special Education; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328, Special Education\_Parent Information Centers; 84.329, Special Education\_Studies and Evaluations; 84.373, Special Education\_Technical Assistance on State Data Collection.

**EXAMPLES OF FUNDED PROJECTS:**

Federal funds are combined with State and local funds to provide free appropriate public education to children with disabilities. This includes special education and related services. Funds are used for salaries of teachers and other personnel, education materials, related services--such as special transportation or occupational therapy that allow children with disabilities to access education services--and other education-related needs.

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding based upon applications approved under IDEA, Section 612.

## 84.031 HIGHER EDUCATION-INSTITUTIONAL AID

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title III and Title V, as amended. Higher Education Act of 1965, Title IV, Part J, Section 499A, as amended by section 802 of the College Cost Reduction and Access Act (CCRAA) of 2007.

**OBJECTIVES:**

To help eligible colleges and universities to strengthen their management and fiscal operations and to assist such institutions to plan, develop, or implement activities including endowment building that promise to strengthen the academic quality of their institutions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary); Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Eligible institutions may apply under Part A or B of Title III. Part A includes Strengthening Institutions Program (SIP), the American Indian Tribally Controlled Colleges and Universities (TCCUs), and Alaska Native and Native Hawaiian serving (ANNH) institutions. Part B includes the Historically Black Colleges and Universities (HBCUs) program and the Historically Black Graduate Institutions (HBGI) program . Part A provides funds to eligible institutions to plan, develop, and implement activities for development of faculty, funds, and administrative management, and improvement of academic programs, acquisition of equipment for use in strengthening academic programs and institutional management, and joint use of facilities such as libraries,

laboratories, and student services. Part B provides funds to undergraduate HBCUs and graduate HBGI. Funds may be used for purchase, rental, or lease of scientific equipment; construction, maintenance, renovation, improvement in classroom, library and other instructional facilities; support of faculty exchanges and fellowships; academic instruction in disciplines in which Blacks are underrepresented, purchase of library books, periodicals, and other educational materials; tutoring, counseling, and student services; funds and administrative management; acquisition of equipment for use in funds management; endowment funds; and joint use of facilities. Title V Developing Hispanic Serving Institutions (HSIs) program provides funds to eligible HSIs for activities such as: faculty development; funds and administrative management; development and improvement of academic programs; endowment funds; curriculum development; scientific or laboratory equipment for teaching; renovation of instructional facilities; joint use of facilities; academic tutoring; counseling programs; and student support services. The CCRAA authorizes funds for Hispanic Serving Institutions STEM and Articulation Programs to support the kinds of activities being supported under the existing Title V program, except that priority is given for applications that propose to increase the number of Hispanic and other low income students attaining degrees in fields of science, technology, engineering, and mathematics (STEM) and to applications that propose to develop model transfer and articulation agreements between the 2-year and 4-year HSIs in such fields. Funds provided for Title III and Title V may not be used for activities other than those in an approved application, activities that are inconsistent with any applicable State plan of higher education or State plan for desegregation, a school or department of divinity or any religious worship or sectarian activity; general operating and maintenance expenses; indirect costs; or supplanting of other funds available to the institution. These programs are subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

An institution of higher education that qualifies as eligible using criteria as specified in the regulations. Under Part A, specific and basic requirements as stated in the program regulations must be met. Eligible applicants include institutions that have: (1) A low average per FTE educational and general expenditure; (2) a substantial percentage of students having Pell Grants or other Federal need-based financial aid. However, a waiver of the low educational and general expenditure requirement and the needy student enrollment requirement may be granted to institutions meeting the criteria specified in the existing regulations. Under Part B HBCUs, certain historically Black institutions that were established prior to 1964, whose principal mission was, and is, the education of Black Americans are eligible. A listing of those institutions is published in program regulations; these HBCUs are also eligible under the Endowment Challenge Grant Program. Institutions eligible for HBGI program grants are specified in Title III Section 326(e)(1) of the HEA. Under the Title V HSIs program, an HSI is defined as an institution that has an enrollment of undergraduate full-time equivalent students that is at least 25 percent.

**Beneficiary Eligibility:**

Applicant institutions of higher education, including those in the territories and possessions that meet statutory eligibility requirements will benefit.

**Credentials/Documentation:**

Institutions must document that they are accredited a nationally recognized accrediting agency or that they are making satisfactory progress toward such accreditation. A 4-year institution must have authority to award a bachelor's degree. A 2-year institution must offer a program acceptable for full credit towards a bachelor's degree, or a two year program in engineering, mathematics, or the physical or biological sciences designed to prepare the student to work as a technician at a semiprofessional level. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications for funding are available from the program office. Application deadlines are published in the Federal Register.

**Award Procedure:**

Title III Part A applications and Title V Developing HSIs program applications are evaluated by external reviewers who are experts in postsecondary education. The Department makes final awards based primarily on the scores assigned to the applications by the external reviewers and the recommendations submitted by the staff of Institutional Development and Undergraduate Education Service, Office of Postsecondary Education.

**Deadlines:**

Deadline dates for each program are published in the Federal Register for both eligibility and project grants.



**Range of Approval/Disapproval Time:**

About six months.

**Appeals:**

None.

**Renewals:**

Under the Strengthening Institutions Program, priority is given to applicants who are not already receiving a grant. Institutions that received a 5-year development grant are not eligible to receive an additional grant until 2 years after the date on which the 5-year terminates. After fulfilling the wait-out requirement, institutions applying for another grant under the Strengthening Institutions Programs must reapply for eligibility.

**Formula and Matching Requirements:**

Under the Strengthening Institutions Program, Tribally Controlled Colleges and Universities, Historically Black Colleges and Universities, and Hispanic Serving Institutions, institutions of higher education may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. Under the HBGLs program, eligible institutions that have project grants over \$1,000,000 must match the entire Federal share on a dollar-for-dollar basis.

**Length and Time Phasing of Assistance:**

Under the Strengthening Institutions Program, TCCUs, ANNH, and HSIs, planning grants are for a period of up to 1 year, development grants are for a period of 5 years.

**Reports:**

As required by the Special Grant Terms and Conditions.

**Audits:**

Subject to a Federal audit any time during the term of the grant and within a period of 3 years after the termination of Federal support.

**Records:**

Must be retained for 5 years after the end of the fiscal year during which the expenditures were made or until the grantee is notified that the records are no longer needed.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 SIP \$79,534,620; TCCUs \$23,569,920; TCCUs (CCRAA) \$0; ANNH \$11,785,000; ANNH (CCRAA) \$0; HBCUs \$238,095,000; HBCUs (CCRAA) \$0; HBGLs \$57,915,000; HSIs \$94,914,270; HSIs STEM \$0; FY 08 est SIP \$78,145,523; TCCUs \$23,158,232; TCCUs (CCRAA) \$30,000,000; ANNH \$11,579,116; ANNH (CCRAA) \$15,000,000; HBCUs \$238,094,530; HBCUs (CCRAA) \$85,000,000; HBGLs \$56,903,225; HSIs \$93,255,852; HSIs STEM \$100,000,000; and FY 09 est SIP \$78,145,523; TCCUs \$0; TCCUs (CCRAA) \$30,000,000; ANNH \$0; ANNH (CCRAA) \$15,000,000; HBCUs \$153,095,000; HBCUs (CCRAA) \$85,000,000; HBGLs \$56,903,225; HSIs \$74,442,000; HSIs STEM \$100,000,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average varies greatly by competition. Under the HBCU Program, grants may not be less than \$500,000 and range according to formula allotments.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 800 grants are expected to be made in fiscal year 2008 in the Title III, Title V, and CCRAA minority serving institutions programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 607, 608, 609, 628, the Education Department General Administrative Regulations, and the College Cost Reduction and Access Act (P.L. 110-84).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, 1990 K St., N.W. Washington, DC 20006-8500. Contact: James Laws Telephone: 202-502-7719. E-mail: james.laws@ed.gov.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/ope/idues>.

**RELATED PROGRAMS:**

84.033, Federal Work-Study Program.

**EXAMPLES OF FUNDED PROJECTS:**

The Education Department awarded grants: (1) To develop a management information system at the applicant institution; (2) to develop curriculum; (3) to develop management capabilities among administrators; (4) to develop computer-assisted instruction; and (5) to develop funds management procedures.

**CRITERIA FOR SELECTING PROPOSALS:**

(a) Under Title III, Title V and CCRAA programs, the Department appoints review panels to provide comments and recommend ratings for the applications. The reviewers numerically rate each application assigned and provide the Secretary with comments on each. Criteria are published in the Federal Register along with the point value for each criterion. (b) Under HBCUs and HBGLs, funds are allocated based on a statute-driven formula. To be eligible to receive a grant under the Strengthening HBCUs program, an institution must be designated by the Secretary of Education as a Historically Black College or

University. HBGLs receiving discretionary grants are specified in the program statute.

**84.032 FEDERAL FAMILY EDUCATION LOANS****FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part B, as amended.

**OBJECTIVES:**

To encourage lenders such as banks, credit unions, savings and loan associations, pension funds, insurance companies, and schools to make loans to vocational, undergraduate, and graduate students enrolled at eligible postsecondary institutions to help pay for educational expenses. The loans are insured by a State or private nonprofit guaranty agency and reinsured by the Federal government.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans.

**USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford Loans begins six months after the student ceases to carry at least one-half the normal full-time academic workload. Repayment of principal and interest on PLUS Loans generally begins within 60 days of disbursement of the last installment, repayment of a consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferrals and forbearance of payment may be granted for certain authorized periods.

**Applicant Eligibility:**

Under the Federal Stafford Loan Program, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school may apply. An otherwise eligible student is eligible for loans during a single 12-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Federal PLUS Loan program, parents may borrow for dependent students, and beginning July 1, 2006, graduate students may borrow to support their own education. Under the Federal Unsubsidized Stafford Loan program, graduate or professional students, and independent undergraduate students may apply; under certain circumstances, a dependent undergraduate student may apply for an Federal Unsubsidized Stafford Loan. Students who are enrolled at an eligible institution on at least a half time basis in a program that is required by a State for elementary or secondary teacher certification are also eligible for Federal Family Education Loan Program (FFEL) aid (Stafford, Unsubsidized Stafford and PLUS). Under the Federal Consolidation Loan program, a borrower may have his or her Stafford, Unsubsidized Stafford, PLUS, Perkins (formerly NDSL), and Health Professions Student loans consolidated, provided that the borrower is in a grace period or repayment status on all loans being consolidated, or is a delinquent or defaulted borrower who will reenter repayment through consolidation, and does not have another application for a consolidation loan pending. Only U.S., citizens or nationals may receive a loan to attend eligible foreign postsecondary schools. A student presently enrolled at a participating institution must maintain satisfactory academic progress in the course of study he/she is pursuing. Also, the borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a statement of registration compliance (Selective Service). To receive a subsidized Stafford Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest and special allowance benefits. Unsubsidized Federal Stafford, PLUS, or Consolidation loans are non-need based programs. A Stafford Loan applicant who is an undergraduate student who attends a school that participates in the Pell Grant program must receive a determination of his or her Pell Grant eligibility or ineligibility before the school may certify an application for a loan. If the applicant is determined to be eligible for a Pell Grant, the applicant must apply for a Pell Grant for the enrollment period before the institution may certify an application for a FFEL loan. An Unsubsidized Stafford Loan applicant must also receive a determination of need for a loan under the Stafford Loan program and, if eligible, must apply for a Stafford Loan prior to the school's certification of the Unsubsidized Stafford Loan application.

**Beneficiary Eligibility:**

Generally, for the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, professional, or vocational student at a participating postsecondary school benefits. If a student is enrolled in a non-degree/noncertificate course of study, the student may be eligible for Stafford or Unsubsidized Stafford loans for one consecutive twelve-month period, if the school determines that the course of study is necessary in order for the student to enroll in a program leading to a

degree or certificate. A student enrolled on at least a half-time basis in a program required by a State for a professional credential or certificate for employment as a teacher in an elementary or secondary school located in that State is eligible to receive aid under the Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs. Consolidation Loan borrowers need not be enrolled in any school to be eligible.

**Credentials/Documentation:**

For the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs, the student will need certification of eligibility from the school, and may be required to supply documentation to verify the accuracy of data used in the Stafford Loan need analysis. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Information regarding application procedures may be obtained from lenders, schools, the Department of Education, States, or guaranty agencies. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs are obtained from a participating lender, guaranty agency, or school. Consolidation Loan applications are obtained from lenders. The borrower completes his or her portion of a Stafford, Unsubsidized Stafford, or PLUS loan application and submits it to the school. The school must certify the student meets eligibility requirements for the loan, including a certification that the student is enrolled, or accepted for enrollment as at least a half-time student, and that the student is making satisfactory progress. The school must also certify the type and amount of loan the student is eligible to receive. The lender then completes its portion of the application and forwards it to the guarantor for commitment. In some States, the guarantor issues the notice of guarantee prior to sending the application to the lender. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

If the lender agrees to make the loan, the application is forwarded to the guarantor for insurance. The lender disburses the proceeds of a Stafford, Unsubsidized Stafford, or PLUS loan to the school or, if the student is attending a foreign school, directly to the borrower. Consolidation Loan proceeds are disbursed directly to the holders of the loans selected for consolidation. In most cases, a loan must be disbursed in more than one installment over the length of the period of enrollment for which the loan was intended, based on a disbursement schedule provided to the lender by the school on behalf of the borrower. This multiple disbursement requirement does not apply to Consolidation Loans. The borrower is required to pay an insurance premium of one percent of the principal amount of a subsidized Stafford Loan, Unsubsidized Stafford Loan, or PLUS Loan. The charging of the insurance premium and the amount is determined by the guarantor. In addition, for a Stafford, Unsubsidized Stafford, or PLUS loan, the borrower is required to pay a three percent "origination fee" (on loans disbursed on or after July 1, 1994) which is used to help defray program costs. All of these fees are normally deducted proportionately from each disbursement of the loan proceeds. Under the Higher Education Reconciliation Act, these fees would be reduced to 2 percent on July 1, 2006; 1.5 percent on July 1, 2007; 1 percent on July 1, 2008; and 0.5 percent on July 1, 2009. The fees would be eliminated as of July 1, 2010.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The College Cost Reduction and access Act (CCRAA) of 2007 authorized phased reductions to the interest rates for Subsidized Stafford loans borrowed by undergraduates with the rate cut in half to 3.4 percent on July 1, 2011. Repayment generally is made over a period of 10 years for Federal Stafford, and PLUS Loans, excluding periods of authorized deferment and forbearance, but extended repayment plans are available. The repayment period for a Consolidation Loan depends on the amount of the loan and may be up to 30 years, exclusive of periods of authorized deferment and forbearance. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option.

**Reports:**

Lenders submit quarterly reports of loans outstanding in order to receive interest benefits and special allowance payments. Guaranty agencies submit reports in

order to receive reinsurance and administrative payments. Additional operational reports are required for specific purposes.

**Audits:**

Lenders, schools (except foreign schools), and guaranty agencies are subject to examination and program review by the Department of Education. Generally, program reviews are performed on a fiscal year basis. Participating schools must have an independent audit of all Stafford Loan Program transactions at least annually. Guaranty agencies must have independent financial and compliance audits annually. Guaranty agencies must conduct annual reviews of the ten largest loan volume lenders in their areas as well as schools with default rates above 20 percent that do not have a default management plan approved by the Secretary.

**Records:**

Lenders must maintain records to support and identify loan transactions, interest billings, and/or special allowance. Guaranty agencies must maintain complete records to support and identify their activities. Federal regulations specify administrative and fiscal records required to be maintained by schools.

**Account Identification:**

91-4251-0-1-502.

**Obligations:**

Aid available (Loan volume net of consolidations) FY 07 \$51,320,000,000; FY 08 est \$56,242,000,000; and FY 09 est \$59,308,000,000. FFEL Consolidation volume: FY 07 \$46,941,000,000; FY 08 est \$33,940,000,000; and FY 09 est \$38,863,000,000.

**Range and Average of Financial Assistance:**

Varies depending on the type of loan.

**PROGRAM ACCOMPLISHMENTS:**

Over 13.1 million loans were made in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 682.

**Regional or Local Office:**

See list of Regional Offices listed in Appendix IV of the Catalog. Each State with an operating guaranty agency maintains an office in its respective State. A list of guaranty agency addresses is available from the address below.

**Headquarters Office:**

Office of Postsecondary Education, Department of Education, Washington, DC 20202. Telephone: (800) 433-3243.

**Web Site Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.033, Federal Work-Study Program; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.033 FEDERAL WORK-STUDY PROGRAM**

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part C; 42 U.S.C. 2751-2756a.

**OBJECTIVES:**

To provide part-time employment to eligible postsecondary students to help meet educational expenses and encourage students receiving program assistance to participate in community service activities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

++The Federal share of compensation paid to students does not exceed 75 percent for work on campus, or work in a public agency or private nonprofit organization, unless waived by the Secretary. The Federal share of compensation paid to students does not exceed 50 percent for jobs with a private-for-profit organization. No more than 25 percent of an institution's work-study allocation may be used for private-for-profit organizations. If it provides FWS employment to its students in that year, an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000 of its program expenditures, plus up to 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000 plus up to 3 percent of expenditures in excess of \$5,500,000. Effective with the 1994-95 award year, an institution is required to use at least 5 percent of its total FWS allocation to pay the Federal share of wages to students employed in community service jobs unless it receives a waiver.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation. See listing of ED Regional Offices in Appendix IV of the Catalog. Students should contact the institution(s) they attend or plan to attend. This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Participating institutions submit a Fiscal Operations Report/Application to Participate in Federal Student Financial Aid programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Office of Federal Student Aide. Assistance. New institutions submit only the application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The Office of Student Financial Aid determines final awards and notifies participating institutions.

**Deadlines:**

Specified on the application (usually October 1).

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1 and final award notifications sent by April 1.

**Appeals:**

None.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Under the funding formula, funds are distributed to institutions, first, on the basis of the institution's base guarantee plus the pro rata share received during the 1999-2000 award year under the FWS Program and, then, on the basis of the aggregate need of the eligible students in attendance. Employers of FWS recipients must contribute 25 percent of the funding, (except in the case of private, for-profit organizations, which must match 50 percent) and in the case of established criteria for which the matching requirement is waived.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30).

**Audits:**

Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to activities of a given fiscal year must be retained for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Federal share) FY 07 \$980,354,000; FY 08 est \$980,492,000; and FY 09 est \$980,492,000.

**Range and Average of Financial Assistance:**

The average award was \$1,478.

**PROGRAM ACCOMPLISHMENTS:**

Institutions will award \$1,171,395 to about 792,554 recipients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 675. Notification to Members of Congress, list of grantees, published annually or as required, no charge; Student Guide, no charge; Student Financial Aid Handbook, no charge; Federal Needs Analysis Methodology, no charge; Verification Handbook, no charge; Training Materials, no charge.

**Regional or Local Office:**

Students should contact the educational institution(s) they attend or plan to

attend. Public and private nonprofit organizations should contact grantee educational institutions in their own State or multi-State areas. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5446. Contact: Federal Student Aid Information Center Telephone: Call 1-800-4FED-AID (800-433-3243).

**Web Site Address:**

http://ifap@ed.gov.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.031, Higher Education Institutional Aid; 84.032, Federal Family Education Loans; 84.038, Federal Perkins Loan Program Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.037 PERKINS LOAN CANCELLATIONS

**FEDERAL AGENCY:**

FEDERAL STUDENT AID (FSA), DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part E, as amended, Public Law 103-208, 20 U.S.C. 421-429.

**OBJECTIVES:**

To reimburse institutions for their share of loans canceled for Perkins Loan recipients who become teachers or who perform full-time active military service in the U.S. Armed Forces, and to restore to institutional revolving funds the full amounts of Direct and Federal Perkins Loans canceled for certain types of teaching service, Head Start service, military service in areas of hostility, law enforcement or corrections officer service, service as a nurse or medical technician, service to certain types of high risk children, and (for Federal Perkins Loans only) volunteer service.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

None for reimbursements but restorations may be used only for loan fund purposes.

**Applicant Eligibility:**

Higher education institutions (public, other nonprofit, postsecondary vocational and proprietary) meeting the eligibility requirements may apply.

**Beneficiary Eligibility:**

For Federal Perkins and National Direct Loan borrowers with loans made on or after July 23, 1992, and for Federal Perkins National Direct and Defense loan borrowers with an outstanding balance as of October 7, 1998, on loans made before 7/23/92. Loan cancellation is available for service as a full-time teacher in a designated elementary or secondary school having a high enrollment of children from low-income families; as a full-time staff member in a Head Start Program; as a member of the Armed Forces (in an area of hostilities); as a volunteer in the Peace Corps or ACTION programs as a full-time law enforcement officer or corrections officer serving local, State, or Federal agencies; as a full-time special education teacher, including teachers of infants, toddlers, children, or youth with disabilities in a public or other nonprofit elementary or secondary school system, or as a full-time qualified professional provider of early intervention services in a public or other nonprofit program under public supervision; as a full-time teacher of mathematics, science, foreign languages, bilingual education, or any other field of expertise that is determined by the State education agency to have a shortage of qualified teachers; as a full-time nurse or medical technician; or as a full-time employee of a public or private nonprofit child or family service agency that is providing or supervising the provision of services to high risk children and their families from low-income communities. Cancellation provisions are different for loans made before July 23, 1992.

**Credentials/Documentation:**

Cancellation certificates require documenting public service. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

In case of loans canceled under provisions of the National Defense Education Act, the institution receives funds from the Department of Education equal to



the institutional contribution of the amounts canceled; for loans canceled pursuant to Title IV, Part E, of the Higher Education Act, the institution receives funds from the Department of Education to restore the full amount canceled. No application form is required. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Reimbursements are made annually upon acceptance of the institution's Fiscal Operations Report.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Reimbursements are made upon acceptance of the Fiscal Operations Reports.

**Appeals:**

None.

**Renewals:**

Not applicable. Payments are based on entitlement.

**Formula and Matching Requirements:**

Under the National Defense Education Act, as amended, payments are based on ratio of institutional matching monies to total loan amount. The payment replaces institutional funds (not less than one-tenth of loan) which were canceled for teaching and/or military service. For loans canceled pursuant to the Higher Education Act, the full amount canceled for teaching, Head Start, military, volunteer, law enforcement or corrections officer, nurse or medical technician, and child or family service agency is restored to the fund at the institution.

**Length and Time Phasing of Assistance:**

Reimbursement takes place upon acceptance of an annual fiscal operations report.

**Reports:**

A fiscal operations report is submitted by each institution at the close of each award year (June 30).

**Audits:**

Periodic audits of loan cancellation at participating institutions will be made in conformance with rules applicable to the Federal Perkins Loan Program.

**Records:**

Records pertaining to the eligibility and repayment history of each loan recipient must be retained by the institutions for three years after the final repayment or cancellation occurs or until the loan is assigned. An institution must keep other records for a period of three years following the institution's submission of its fiscal operations report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Direct payments) FY 07 \$65,471,000; FY 08 est \$64,327,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Not currently available.

**PROGRAM ACCOMPLISHMENTS:**

Not currently available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 674; Student Guide, no charge; Student Financial Aid Handbook, no charge; notification to Members of Congress, list of grantees published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

Regional Administrator for Student Financial Assistance in the appropriate Regional Office. See Appendix IV of the Catalog.

**Headquarters Office:**

Federal Student Aid Office, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5347. Telephone: (800) 433-3243.

**Web Site Address:**

<http://ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.031, Higher Education Institutional Aid; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.042, TRIO Student Support Services; 84.044, TRIO Talent Search; 84.047, TRIO Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.038 FEDERAL PERKINS LOAN PROGRAM-FEDERAL CAPITAL CONTRIBUTIONS

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part E, as amended, Public Law 103-394, 20 U.S.C. 1087aa-1087hh.

**OBJECTIVES:**

To provide low interest loans to eligible postsecondary students with demonstrated financial need to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Institutions use funds to make loans to needy, eligible students for meeting educational expenses. The maximum annual loan amount limit for an eligible student attending an institution is \$6,000 for a graduate or professional student or \$4,000 for undergraduates. The maximum aggregate loan amount for an eligible student attending an institution is \$40,000 for a graduate or professional student, including loans borrowed as an undergraduate student, or \$20,000 for a student who has successfully completed 2 years of a program of undergraduate study and \$8,000 for any other student. For a program of study abroad that has reasonable costs in excess of the home costs, the annual and aggregate limits may be exceeded by 20 percent. An institution is entitled to an administrative cost allowance for an award year if it advances funds to students in that year under the Federal Perkins Loans Program, in an amount equal to five percent of the first \$2,750,000 in expenditures, plus 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000, plus 3 percent for expenditures in excess of \$5,500,000.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students in an eligible program, are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation. See listing of ED Regional Offices in Appendix IV. Students should contact the institution(s) they attend or plan to attend. This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Participating institutions submit a Fiscal Operations Report/Application to Participate in Federal Student Financial Aid Programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Office Federal Student Aid. New institutions submit only the application form. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

The Office Federal Student Aid determines final awards and notifies participating institutions.

**Deadlines:**

Specified on the application (usually around October 1).

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1 and final award notification sent by April 1.

**Appeals:**

None.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Funds are allocated to institutions on the basis of the institution's guarantee allocations and demonstrated need for funding. Institutions award funds to students on the basis of financial need as determined by the Federal Needs Analysis Methodology specified in statute. The institutional capital contribution (ICC) for institutions is one-third of the FCC (or 25 percent of the combined FCC and ICC).

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (ED Form 646-1) is submitted by each institution at the close of each award year of operation (June 30).

**Audits:**

Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the

Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

Except for loan records and records of expenditures questioned in audits or Departmental program reviews, an institution must keep records for an award year for three years after submitting its Fiscal Operations Report for an award year, or until final resolution of an applicable audit or program review, whichever is later. An institution must keep loan repayment records for at least 3 years from the date of satisfaction of the loan or assignment of the loan to the United States, or it is canceled.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Federal capital contribution) FY 07 \$0; FY 08 est \$0; and FY 09 \$0.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 674; Student Guide, no charge; Student Financial Aid Handbook, no charge; notification to Members of Congress, list of grantees published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

Students should contact the educational institution(s) they attend or plan to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in appropriate ED Regional Office. See Appendix IV of the Catalog.

**Headquarters Office:**

Office Federal Student Aid, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5446. Telephone: (800) 433-3243.

**Web Site Address:**

<http://ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.040 IMPACT AID-FACILITIES MAINTENANCE

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title VIII, Section 8008, as amended.

**OBJECTIVES:**

To maintain school facilities owned by the Department of Education and operated by local educational agencies (LEAs), and to transfer those facilities to the LEAs, where appropriate.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To maintain federally owned school facilities and restore or improve them where appropriate to enable an LEA to accept ownership. The Department directly oversees construction projects, unless the LEA has agreed to accept transfer of the facility, in which case funds may be provided to the LEA to complete the project after the transfer. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

LEAs that operate school facilities owned by the Department of Education.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Contact the Program Office for information. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

There is no application form for Section 8008 grants. Contact the program office for information.

**Award Procedure:**

The Department of Education makes final decisions to fund projects.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Approved construction projects may be revised during construction, subject to appropriate approvals.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length and terms of an award will be established prior to the award.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and Education Department General Administrative Regulations (EDGAR) for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with OMB Circular No. A-102 (Attachment C) and Education Department General Administrative Regulations, for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Grants) FY 07 \$4,950,000; FY 08 est \$4,864,000; and FY 09 est \$4,864,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Emergency repairs are made to schools with funds from this program. Some facilities are improved to the extent that LEAs accept ownership.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published at 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Impact Aid Programs 400 Maryland Ave., S.W., Rm. 3E105, FB-6 Washington DC 20202-6244. Contact: Catherine Schagh. E-mail: [impact.aid@ed.gov](mailto:impact.aid@ed.gov) Telephone: (202) 260-3858.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/oese/impactaid/index.html>.

**RELATED PROGRAMS:**

84.041, Impact Aid.

**EXAMPLES OF FUNDED PROJECTS:**

Additions of classrooms to existing buildings. Repairs of schools to provide access for the disabled and to ensure the safety of building users. Construction of a new school to replace three outdated facilities on a military base.

**CRITERIA FOR SELECTING PROPOSALS:**

Emergency repairs are funded as needed. Priority for more extensive projects is given to LEAs that agree to accept transfer of the school facility.

## 84.041 IMPACT AID

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title VIII, as amended.

**OBJECTIVES:**

To provide financial assistance to local educational agencies (LEAs) where affected by Federal activities, i.e., where the tax base of a district is reduced through the Federal acquisition of real property (Section 8002, ESEA) and; where the presence of certain children living on Federal property places a financial burden on the LEAs that educate them (Sections 8003 and 8007(b), ESEA).

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Most assistance becomes part of the general operating fund of the LEAs. Districts usually deposit the Federal payment in the general operating funds

account in accordance with State laws, together with all State and local funds available for current operating expenses and use this combined account to finance the school program in the district. Special additional payments made to LEAs related to enrollments of federally connected children with disabilities must be used for programs and projects designed to meet the special educational and related needs of these children. Payments for construction may be used for construction and renovation, debt service, or other capital fund activities. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Local educational agencies that provide free public elementary or secondary education may apply. Under Section 8002, generally, assistance is provided to districts where an aggregate of 10 percent or more of the assessed valuation of all real property in the school district as of the time(s) of acquisition) has been acquired by the Federal Government since 1938 and the district is not being substantially compensated by revenue from activities on the eligible Federal property. Under Section 8003, assistance is provided to districts where at least three percent or 400 of the total number of eligible federally connected children in average daily attendance (ADA) live on Federal property including Indian lands and/or have a parent who works on Federal property or is on active duty in the uniformed services. Under Section 8007(b), LEAs that enroll a high proportion (at least 40 percent) of federally connected children, have little or no funding capacity, or one "heavily impacted" districts may be eligible for a competitive construction award.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

Applications are submitted to the Secretary of Education and a copy is sent to the State educational agency (SEA). A local educational agency may secure advice and an application form (ED Form 4019) from its SEA. Applications must show the membership of federally connected children on the survey date chosen by the school district within the period prescribed by the Secretary.

**Award Procedure:**

Funds are generally made available, or when an appropriation is made.

**Deadlines:**

Contact the Program Office for deadlines.

**Range of Approval/Disapproval Time:**

Contact the Program Office for this information.

**Appeals:**

An administrative law hearing is available for any LEA or State adversely affected by any action of the Secretary. The hearing must be requested under the time frame included under the program regulations.

**Renewals:**

None.

**Formula and Matching Requirements:**

Under Section 8002, payments are determined under statutory a formula that consider the assessed valuation of the property acquired by the Federal government and the LEA's local tax rate for current expenditures. Under Section 8003, payments are determined under a statutory formula that considers the average daily attendance of federally connected students for the previous year, the per pupil expenditure average from the third preceding year, the weight in the statute attached to certain categories of federally connected students, the total current expenditures of the LEA, and the total membership of the LEA. Under Section 8007(b), payments are awarded on a competitive basis to certain eligible LEAs that receive Impact Aid.

**Length and Time Phasing of Assistance:**

Payments are made annually to eligible LEAs.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The program staff conducts mail-in or on-site reviews to verify application data and collect additional required information.

**Records:**

In accordance with the General Education Provision Act and program regulations, an LEA generally must retain records supporting its payment amount for 3 years after the last payment for a fiscal year.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Grants) FY 07 \$1,223,503,000; FY 08 est \$1,235,853,000; and FY 09 est \$1,235,853,000.

**Range and Average of Financial Assistance:**

For 2008, the range of awards is expected to be \$500 - \$6,000,000 for Section 8002, \$100 - \$46,000,000 for Section 803, and \$40,000 - \$3,000,000 for Section 8007(b); the average award is expected to be \$291,856 for Section 8002, \$884,000 for Section 8003, or \$1,170,000 for Section 8007(b).

**PROGRAM ACCOMPLISHMENTS:**

For 2008, grants on behalf of an estimated 955,000 children were awarded to approximately 1,244 LEAs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are included in 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Impact Aid Programs 400 Maryland Ave., S.W., Washington DC 20202-6244. Contact: Catherine Schagh; E-mail: impact.aid@ed.gov. Telephone: (202) 260-3858.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/oeese/impactaid/index.html>.

**RELATED PROGRAMS:**

84.040, Impact Aid Facilities Maintenance.

**EXAMPLES OF FUNDED PROJECTS:**

Under Section 8002 and 8003, formula payments are generally deposited in eligible LEA, general fund accounts and are used for basic operating costs within the LEA, including teacher salaries, utilities, books, and supplies. For Section 8007(b), the most recent competitive construction grant were awarded in the Summer of 2006. Funds were used by LEAs to replace failing alarm systems, install waste water treatment facilities, repair lighting, electrical and air exchange systems, repair roofs, floors, and windows, and other emergency repairs.

**CRITERIA FOR SELECTING PROPOSALS:**

Payments are computed on the basis of the statutory formula. Payments are prorated if appropriations are insufficient.

## 84.042 TRIO-STUDENT SUPPORT SERVICES

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1, Section 402D, as amended, 20 U.S.C. 1070a-14.

**OBJECTIVES:**

To provide supportive services to disadvantaged college students to enhance their potential for successfully completing the postsecondary education program in which they are enrolled and increase their transfer rates from 2-year to 4-year institutions. To foster an institutional climate supportive of the success of disadvantaged college students.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to provide eligible project participants personal and academic counseling, career guidance, instruction, mentoring, and tutoring and to facilitate the entrance of project participants into 4-year programs of study or graduate and professional programs. Projects may provide exposure to cultural events and academic activities not usually available to disadvantaged students. Projects may also provide services that are specially designed for students of limited English proficiency. A grantee may use the project to provide services to students enrolled or accepted for enrollment during the next enrollment period at the institution. Funds may also be used for grant awards to students under certain conditions.

**Applicant Eligibility:**

Institutions of higher education and combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

Low-income, first generation college students or disabled students who are enrolled or accepted for enrollment at the institution which is the recipient of the grant and who are in need of academic support in order to successfully pursue a program of postsecondary education. At least two-thirds of the project participants must be disabled or must be low-income individuals who are first generation college students. The remaining participants must be disabled, low-income individuals, or first generation college students. One-third of the disabled participants must be low-income. Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General



Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State Plan is required. Requests for program applications should be made to the Office of Federal TRIO Programs, College and University Support Team. This program is subject to the provisions of EDGAR.

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 646.21 and 646.22. Grants are awarded through the Federal TRIO Programs office.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Continuation awards for four or five years are approved on an annual basis; subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Four or five year projects, annual awards. Continuation awards are subject to the availability of funds.

**Reports:**

Performance reports are submitted on an annual basis.

**Audits:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.702 and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$271,566,777; FY 08 est. \$281,000,000; and FY 09 est. \$282,275,000.

**Range and Average of Financial Assistance:**

The estimated average award in 2008 is \$297,400. The minimum grant award is \$220,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

The program supported 949 projects serving nearly 200,000 students in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, 34 CFR 646 and Education Department General Administrative Regulations (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Federal TRIO Programs, 400 Maryland Ave. S.W., Washington, DC 20202-5249. Contact: Deborah Walsh, Telephone: (202) 502-7694. E-mail: trio@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/triostudsupp/>.

**RELATED PROGRAMS:**

84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.066, TRIO\_Educational Opportunity Centers; 84.103, TRIO Staff Training Program; 84.217, TRIO\_McNair Post-Baccalaureate Achievement.

**EXAMPLES OF FUNDED PROJECTS:**

Projects at colleges, universities, and community and junior colleges provide support (counseling, tutoring, instruction, and other special services) for low-income, first-generation college students and for disabled students. Some projects also provide supportive services especially designed for students of limited English proficiency.

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of 34 CFR 75.253. For new awards, applicants will be selected under this part on the basis of the criteria set forth in 34 CFR 646.21. Contact the program office for additional information.

## 84.044 TRIO-TALENT SEARCH

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF

## EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 2, Sections 402B, as amended, 20 U.S.C. 1070a-12.

**OBJECTIVES:**

To identify disadvantaged youths with potential for postsecondary education; to encourage them in continuing in and graduating from secondary school and in enrolling in programs of postsecondary education; to publicize the availability of student financial aid; and to increase the number of secondary and postsecondary school dropouts who reenter an educational program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions and agencies to identify disadvantaged youths with potential for postsecondary education, encourage them to complete secondary school and undertake postsecondary educational training, and publicize existing forms of student aid. Projects may also provide tutorial services for youths being encouraged to undertake or reenter programs of postsecondary education. A grantee may not use the project as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education, public and private agencies and organizations, a combination of the above and, in exceptional cases, secondary schools may apply.

**Beneficiary Eligibility:**

Individuals residing in the target area or attending a target school who have potential for education at the postsecondary level and who can benefit from one or more of the services provided by the project. Two-thirds must be low-income individuals who are also potential first generation college students. Project participants must be between 11 and 27 years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Federal TRIO Programs. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 643.21 and 34 CFR 643.22. Grantees will be selected on the basis of satisfactory proposals and availability of funds.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

About 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Continuation awards are approved for up to 5 years on an annual basis, subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Four or five-year projects, annual awards. Continuations are subject to the availability of funds.

**Reports:**

Performance reports are required on an annual basis.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR (75.702, 74.61.)

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$142,884,182; FY 08 est \$142,900,000; and FY 09 est \$142,884,000.

**Range and Average of Financial Assistance:**

The average 2008 award is expected to be approximately \$303,000. The minimum grant award is \$220,000.

**PROGRAM ACCOMPLISHMENTS:**

The program supported 471 projects serving approximately 364,000 students in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and 34 CFR 643.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202- 5249.  
Contact: Loretta Brown, E-mail: trio@ed.gov; Telephone: (202) 502-7539.

**Web Site Address:**

<http://www.ed.gov/programs/trioalent/>.

**RELATED PROGRAMS:**

84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.103, TRIO Staff Training Program; 84.217, TRIO\_McNair Post-Baccalaureate Achievement.

**EXAMPLES OF FUNDED PROJECTS:**

Projects operated by institutions of higher education and public and private agencies and organizations to provide low-income, potential first generation college students with information on existing forms of financial aid. Encourage qualified students to return to or continue in and graduate from secondary school and enroll in programs of postsecondary education.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, applicants will be selected on the basis of the criteria set forth in 34 CFR 643.21.

**84.047 TRIO-UPWARD BOUND****FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 2, Sections 402C, as amended, 20 U.S.C. 1070a-13.

**OBJECTIVES:**

To generate skills and motivation necessary for success in education beyond high school among low-income and potential first-generation college students and veterans. The goal of the program is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary educational programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to eligible grantees to provide academic instructional programs, personal and academic counseling, career guidance and special instruction to prepare project participants for careers in which persons from disadvantaged backgrounds are particularly underrepresented, tutoring, and exposure to cultural events and academic programs not usually available to disadvantaged youths. Funds are used to support a residential summer program and academic year program, and to pay stipends to students, not to exceed \$40 a month during the academic year and \$60 a month during the summer. A grantee may not use the project as part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education, public or private not-for-profit agencies, a combination of the above, and in exceptional cases, secondary schools may apply.

**Beneficiary Eligibility:**

Low-income individuals and potential first generation college students who have a need for academic support in order to successfully pursue a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first generation college students. The remaining participants must be either low-income individuals or potential first generation college students. Required low-income criteria are stated in application materials. Except for veterans, who can be served regardless of age, project participants must be between 13 and 19 years old and have completed the eighth grade but have not entered the twelfth grade (exceptions allowed).

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from

coverage under OMB Circular No. A-102.

**Application Procedure:**

Develop a proposal in accordance with regulations, application and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers who are not employees of the Federal Government evaluate new proposals on the basis of the selection criteria specified in 34 CFR 645.31 and 34 CFR 645.32. Grantees will be selected on the basis of rank order of total scores and availability of funds.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Continuation awards for up to five years approved on an annual basis; subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Four or five year projects; annual awards. Continuations are subject to the availability of appropriations.

**Reports:**

Performance reports are submitted on an annual basis.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.702, 74.61.

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$314,169,000; FY 08 est \$358,449,000; and FY 09 est \$358,181,000.

**Range and Average of Financial Assistance:**

In fiscal year 2008, the average expected awards is \$318,000. The minimum grant award is \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In 2008, the program will support 1,127 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 645.

**Regional or Local Office:**

Department of Education regional offices. See Appendix IV in the Catalog.

**Headquarters Office:**

Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5249. Contact: Gaby Watts, E-mail: trio@ed.gov; Telephone: (202) 502-7545.

**Web Site Address:**

<http://www.ed.gov/programs/triouppbound/>.

**RELATED PROGRAMS:**

84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.103, TRIO Staff Training Program; 84.217, TRIO\_McNair Post-Baccalaureate Achievement.

**EXAMPLES OF FUNDED PROJECTS:**

Grants to colleges, universities and other institutions to generate skills and motivation necessary for low-income, potential first generation college students to be successful in postsecondary institutions. Regular Upward Bound projects provide high school students with both summer and academic year services. Veterans Upward Bound projects provide short-term services, designed to prepare eligible veterans for acceptance into a postsecondary program. Upward Bound Math and Science Regional Centers provide high school students with summer academic services for interested math and science students.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, applicants will be selected on the basis of the criteria set forth in 34 CFR 645.31.

**84.048 CAREER AND TECHNICAL EDUCATION -- BASIC GRANTS TO STATES****FEDERAL AGENCY:**

OFFICE OF ASSISTANT SECRETARY FOR VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Carl D. Perkins Career Technical Education Act of 2006, Title I.

**OBJECTIVES:**

To develop more fully the academic, career, and technical skills of secondary and postsecondary students who elect to enroll in career and technical education programs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Each State may keep up to 5 percent of its award for state administration and up to 10 percent of its award to fund leadership activities (and from that amount, it must reserve an amount equivalent to 1 percent of its award to assist individuals in state institutions and between \$60,000 and \$150,000 to fund services to prepare individuals for non-traditional fields). Each State must distribute at least 85 percent of its award to local agencies to fund secondary and postsecondary institutions that provide career and technical education services, from which the state may choose to award an amount equivalent to 10% of its award to make awards to local agencies in rural areas, areas with high percentages of career and technical education students, and areas with high numbers of career and technical education students. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to States. Eligible recipients for subgrants are local educational agencies and postsecondary institutions.

**Beneficiary Eligibility:**

A wide range of individuals pursuing vocational education and training will benefit.

**Credentials/Documentation:**

The establishment of a State Board for Vocational Education is required. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

A 5-year State plan for Vocational Education must be prepared with the active participation of the State Council. State plans are subject to public hearings. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

States submit 5-year State plans for vocational education to the Department of Education. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Department of Education approves the 5-year State plan and makes allocations to the States.

**Deadlines:**

States should contact the Program Office for deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 30 to 120 days.

**Appeals:**

A State board which is dissatisfied with the final action of the Assistant Secretary in disapproving a State Plan is afforded reasonable notice and opportunity for a hearing.

**Renewals:**

None.

**Formula and Matching Requirements:**

The funding formula is based on State per-capita income and population in three age cohorts (15-19, 20-24, and 25-65). The formula provides for a minimum State allocation of at least 0.5 percent of the total, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder would flow to the other States. In addition, the Pacific territories receive 0.13 percent of the total appropriated for State Grants to operate the same kinds of career and technical education programs as the States. Also, 1.25 percent of the total appropriation for State Grants is set aside for grants to federally recognized Indian tribes and tribal organizations, and 0.25 percent is set aside for competitive grants to organizations that primarily serve and represent Hawaiian Natives. The Bureau of the Census supplies the population data; the Department of Labor supplies the per-capita income data. Matching. Section 102 of the Perkins Act requires 50/50 matching for State administration. No match is required for American Samoa, the Northern Mariana Islands, the Virgin Islands, Guam, or the Republic of Palau. Section

311(b) of the Perkins Act describes maintenance of effort requirements.

**Length and Time Phasing of Assistance:**

Funds must be expended within 27 months after their first date of availability. States draw funds as needed under the Electronic Funds Transfer System.

**Reports:**

Annual financial report, performance report, and Office for Civil Rights Annual Compliance Report must be submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with section 443 of the General Education Provisions Act, as amended by the Improving America's Schools Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants and Contracts) FY 07 \$1,162,294,000; FY 08 est \$1,141,988; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For FY 2008, awards range from \$613,000 to \$128,504,000; the average award is approximately \$21,547,000.

**PROGRAM ACCOMPLISHMENTS:**

Grants are made to the States and Outlying Areas to support career and technical education programs at the secondary, postsecondary, and adult levels. In school year 2004-05 over 14.8 million students enrolled in secondary and postsecondary career and technical education programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Regulations, Title 34 CFR 400 and 403; EDGAR 74, 76 (except 76.103), 77, 79, 80, 81, 82, and 85; OCR Guidelines for Vocational Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OVAE Division of High School, Postsecondary and Career Education, 400 Maryland Ave., S.W., Washington, DC 20202-7241. Contact: Sharon Lee Miller. E-mail: sharon.miller@ed.gov. Telephone: (202) 245-7846.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/cte/index.html>.

**RELATED PROGRAMS:**

17.201, Registered Apprenticeship and Other Training; 17.246, Employment and Training Assistance\_Dislocated Workers; 17.249, Employment Services and Job Training Pilots\_Demonstrations and Research; 23.002, Appalachian Area Development; 84.002, Adult Education - Basic Grants to States; 84.051, Career and Technical Education -- National Programs; 84.101, Career and Technical Education - Indian Set-aside; 84.243, Tech-Prep Education; 84.245, Tribally Controlled Postsecondary Career and Technical Institutions.

**EXAMPLES OF FUNDED PROJECTS:**

Local recipients must operate a career and technical education program that: Strengthen the academic, career, and technical skills of students participating in vocational and technical education programs, achieved by integrating core academic subjects into career and technical education programs through a coherent sequence of courses; provide students with strong experience in and understanding of all aspects of an industry; develop, improve, or expand the use of technology in career and technical education; provide professional development programs to teachers, counselors, and administrators; develop and implement evaluations of the career and technical education programs carried out with funds under the Perkins Act, including an assessment of how the needs of special populations are being met; initiate, improve, expand, and modernize quality career and technical education programs; provide services and activities that are of sufficient size, scope, and quality to be effective; and link secondary career and technical education, including Tech-Prep programs, with postsecondary career and technical education programs.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.051 CAREER AND TECHNICAL EDUCATION -- NATIONAL PROGRAMS****FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 114, as amended.



**OBJECTIVES:**

To provide support research, development, demonstration, dissemination, evaluation, and assessment activities aimed at improving the quality and effectiveness of career and technical education.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Awards may be made only for activities designed to improve the practice of career and technical education. Announcements for grants are made in the Federal Register. Contract competitions are announced in the Commerce Business Daily.

**Applicant Eligibility:**

Eligible applicants include universities or a consortium of universities and a public or private nonprofit organization.

**Beneficiary Eligibility:**

Education professionals as well as the general public will benefit.

**Credentials/Documentation:**

Legal signature by a designated official on the grant application or contract proposal. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular A-110 for institutions of higher education, hospitals and other nonprofit organizations.

**Preapplication Coordination:**

The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372. Application notices are published in the Federal Register.

**Application Procedure:**

Applications for grants must be prepared in accordance with the regulations in 34 CFR Part 75. A proposal for a contract must be prepared in accordance with program announcements in the Commerce Business Daily. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed in accordance with regulations applicable to the Carl D. Perkins Career and Technical Education Act of 2006 found in 34 CFR Part 75 and with requirements published in the Federal Register.

**Deadlines:**

A request for applications is published in the Federal Register. Requests for Proposals (RFPs) are released at various times throughout the fiscal year. A synopsis of each procurement request will appear in the Commerce Business Daily. This also contains information about where copies of the RFP can be obtained.

**Range of Approval/Disapproval Time:**

The Range is approximately 90 to 120 days.

**Appeals:**

For grants, not applicable; for contracts, as specified in Federal Procurement Regulations, 41 CFR 1, 2, 407, and 408.

**Renewals:**

Awards are made annually, for a maximum award period of 5 years. Renewals subject to the availability of appropriations and are contingent on recipient performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants or contract are awarded annually with a maximum award period of 5 years. Renewals are subject to the availability of appropriations and contingent on recipient performance.

**Reports:**

Specific reporting requirements are contained in the Request for Proposal and contract document. Reporting requirements for grants are required in the regulations for Carl D. Perkins Career and Technical Education Act of 2006 for 34 Part 75.

**Audits:**

Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of contract and grants.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants and Contracts) FY 07 \$10,000,000; FY 08 est \$7,860,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Program funds support the National Career and Technical Education Research Center, the National Assessment of Career Technical Education, and other career and technical education dissemination activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 34 CFR 401 and 411-413.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OVAE Policy, Research and Evaluation Staff 400 Maryland Ave., S.W., Washington, DC 20202-7242. Contact: Ricardo Hernandez. Telephone: (202) 245-7818. Internet: Ricardo.Hernandez@ed.gov.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/ovae/index.html> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded Projects include activities that help States align their career and technical education accountability systems with the provisions of the Perkins legislation, showcase and replicate successful community college programs, and support a National Research Center for Career and Technical Education and a National Assessment of Career and Technical Education.

**CRITERIA FOR SELECTING PROPOSALS:**

See 34 CFR Part 75 for selection criteria. However, each request for proposal contains weighted evaluation criteria which are unique to the particular requirements of the individual procurement.

**84.060 INDIAN EDUCATION-GRANTS TO LOCAL EDUCATIONAL AGENCIES****FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VII, Part A, Subpart 1, 20 U.S.C. 7421-7429, 7491-7492.

**OBJECTIVES:**

To address the unique education and culturally related academic needs of Indian students, including preschool children, so that these students can achieve to the same challenging state performance standards expected of all students. This program is the Department's principal vehicle for addressing the particular needs of Indian children.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants supplement the regular school program, helping Indian children sharpen their academic skills, assisting students in becoming proficient in the core content areas, and providing students an opportunity to participate in enrichment programs that would otherwise be unavailable. Funds support such activities as after-school programs, tutoring, and dropout prevention. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) that enroll at least 10 Indian children or in which Indians constitute at least 25 percent of the total enrollment. These requirements do not apply to LEAs serving Indian children in Alaska, California, and Oklahoma or located on, or in proximity to, an Indian reservation. Schools that receive funding from the DOI Bureau of Indian Education (BIE) under Section 1130 of the Education Amendments of 1978, 25 U.S.C. 2001, are deemed to be eligible to participate in this program.

**Beneficiary Eligibility:**

Eligible Indian children enrolled in eligible local educational agencies, and BIE-funded schools.

**Credentials/Documentation:**

The applicant must certify the number of eligible Indian children enrolled. The grant award is computed based on this information. An applicant must also assure that it has carried out a number of other required activities, including: holding a public hearing, establishing an Indian parent committee, and making arrangements for an evaluation of the effectiveness of the project. No grant will be made unless the applicant has the written approval of the applicant's Indian parent committee. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The LEA annually submits to the Department of Education an application describing its proposed project. Application forms are available from the headquarters office. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are issued annually directly to the LEA. Awards are made to all applicants that meet the applicable requirements of the Act and that have designed a project that the Secretary of Education determines will substantially increase the educational opportunities of the Indian children served by the applicant.

**Deadlines:**

Deadlines are established annually. Notice of closing date is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 160 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Department calculates the amount of a grant that an LEA receives by multiplying the number of Indian children enrolled in the LEA's schools by the average per-pupil expenditure for the State in which the applicant is located, or 80 percent of the national average per pupil expenditure, whichever is greater. In setting the actual amount of a grant, an applicant's formula amount is adjusted on the basis of available appropriations. In order for an LEA to receive a grant, the appropriate State educational agency (SEA) must certify that the combined fiscal effort of that LEA and the State with respect to the provision of free public education by that LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort for that purpose for the second preceding fiscal year. If an LEA does not meet this requirement and the Secretary does not grant a waiver for unusual circumstances, the LEA's grant award is reduced in the proportion by which the LEA failed to meet the combined fiscal effort requirement. Bureau of Indian Education are exempt from the combined fiscal effort requirement. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months and funds must be spent or obligated within the project period. Payments are made by direct deposit upon request by LEAs.

**Reports:**

Financial and performance reports are due within 90 days of the termination of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained three years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Grants) FY 07 \$95,331,000; FY 08 est \$96,613,000; and FY 09 est \$96,613,000.

**Range and Average of Financial Assistance:**

Awards range from \$4,000 to \$2,073,333.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, awards were made to approximately 1,112 LEAs, 74 BIE grant/contract schools, and 51 BIE operated schools. The projects that were funded served approximately 474,445 Indian students in elementary and secondary schools. The average per student payment was \$204.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 78, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Indian Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Cathie Carothers. E-mail: cathie.carothers@ed.gov. Telephone: (202) 260-1683.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/oese/oie/programs.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Instruction in reading and mathematics; counseling and guidance; native language and cultural education instruction; early childhood and family programs emphasizing school readiness; and school-to-work transition programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR; contact the program office for additional information.

**84.063 FEDERAL PELL GRANT PROGRAM**

(Pell Grants)

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 1, as amended.

**OBJECTIVES:**

To provide eligible undergraduate postsecondary students who have demonstrated financial need with grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen or eligible noncitizen who has been accepted for enrollment in, and is making satisfactory academic progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education, (such as colleges, universities, vocational-technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance, except those enrolled in an eligible program leading to a professional certification in teaching. Applicants must demonstrate need according to Part F of the Higher Education Act of 1965, as amended.

**Applicant Eligibility:**

Undergraduate students and students pursuing a teaching certificate enrolled as regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. The applicants must be U.S. citizens or eligible noncitizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program offered.

**Beneficiary Eligibility:**

Undergraduate students and students pursuing a teaching certificate that are U.S. citizens or eligible noncitizens and meet financial need criteria. Students must be: regular students in an eligible program and enrolled in institutions of higher education, making satisfactory academic progress. Incarcerated students, except those incarcerated in local penal facilities, are ineligible. Students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The U.S. Department of Education calculates the student's financial eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the Federal Pell Grant, using a payment schedule developed by the Department of Education that determines the amount of the award based on the student's expected family contribution, cost of attendance, and enrollment status.

**Deadlines:**

Contact the program office for deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application which contains preprinted student data and requires students only to update certain information. However, eligibility is still annually determined.

**Formula and Matching Requirements:**

Federal Pell Grant eligibility determinations are based on Part F of the HEA, as amended. This national need analysis formula determines financial eligibility for Federal Pell grants and other Federal student aid and is applied uniformly to all applicants. This formula determines a student's "expected family contribution" (EFC). The fundamental elements of this need analysis formula are the parents' and/or the student's income and assets (excluding home), the family's household size, and the number of family members attending postsecondary institutions. The EFC is determined as the sum of: (1) A percentage assessment of net income (remaining income after subtracting allowances for basic living expenses) and (2) a percentage assessment of net assets, other than a home, (remaining assets after subtracting an asset protection allowance).

**Length and Time Phasing of Assistance:**

Students are currently limited to one Federal Pell Grant during any award year (July 1 through June 30). There is no funding for students to receive a second Federal Pell Grant during a single award year. Funds for one Federal Pell Grant are usually disbursed at least twice during an award year. Students may only receive a Federal Pell Grant until they have received a bachelor's degree.

**Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students.

**Audits:**

Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each Federal Pell Grant recipient and all fiscal management records must be maintained by the institutions for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Grants) FY 07 \$13,660,771,000; FY 08 est \$16,256,000,000; and FY 09 est \$18,941,059,000.

**Range and Average of Financial Assistance:**

For FY 2008, grants will range from \$400 to \$4,731; the average grant is expected to be about \$2,945.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 5,600,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Pell Grant Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965 as amended. Regulations governing administration of the Pell Grant Program are found in 34 CFR 600, 668, and 690. The Student Guide; Free Application for Federal Student Aid (no charge); "The Expected Family Contribution Formula"; "The Student Financial Aid Handbook."

**Regional or Local Office:**

Federal Student Aid Information Center. Telephone: (1-800) 433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (800) 433-3243.

**Web Site Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.037, Perkins Loan Cancellations; 84.038, Federal Perkins Loan Program Federal Capital Contributions; 84.042, TRIO Student Support Services; 84.044, TRIO Talent Search; 84.047, TRIO Upward Bound; 84.066, TRIO Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965, as amended.

**84.066 TRIO-EDUCATIONAL OPPORTUNITY CENTERS**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1, Section 402F, as amended, 20 U.S.C. 1070a-16.

**OBJECTIVES:**

To provide information on financial and academic assistance available for

qualified adults desiring to pursue a program of postsecondary education and to assist them in applying for admission to institutions of postsecondary education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions of higher education or agencies for establishment and operation of centers to collect and disseminate information concerning financial aid and academic programs available to participants seeking to pursue postsecondary education and to assist participants in preparing admission and financial aid applications. Centers may also provide tutoring and counseling for project participants who are not enrolled in an Upward Bound or a Student Support Services project. A grantee may not use the center as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education, public and private not-for-profit agencies and organizations, a combination of the above and, in exceptional cases, secondary schools may apply.

**Beneficiary Eligibility:**

Persons residing in the target area who need one or more of the services provided by the project in order to pursue a program of postsecondary education and who desire to pursue or who are pursuing a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first-generation college students. Project participants must be at least nineteen years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected non-Federal field readers evaluate new proposals based on the selection criteria established in program regulations 34 CFR 644.21 and 34 CFR 644.22. Grantees will be selected on the basis of satisfactory proposals and availability of funds. Grants are awarded through Federal TRIO Programs office.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Continuation awards for up to five years approved annually. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

For or five-year projects, annual awards. Renewals are subject to the availability of funds.

**Reports:**

Performance reports are required on an annual basis.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.702 and 74.61.

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$47,006,891; FY 08 est \$47,100,000; and FY 09 est \$47,057,000.

**Range and Average of Financial Assistance:**

The estimated average 2008 award is \$377,000. The minimum grant award is \$220,000.

**PROGRAM ACCOMPLISHMENTS:**

The program support 125 projects serving approximately 196,000 students in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulation 34 CFR 644.



**Regional or Local Office:**

None.

**Headquarters Office:**

Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Contact: Margaret Wingfield, E-mail: ope.trio@ed.gov; Telephone (202) 502-7547.

**Web Site Address:**

<http://www.ed.gov/programs/trioec/>.

**RELATED PROGRAMS:**

84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.103, TRIO Staff Training Program; 84.217, TRIO\_McNair Post-Baccalaureate Achievement.

**EXAMPLES OF FUNDED PROJECTS:**

Projects to universities and agencies to collect and disseminate information on financial and other assistance available to low-income, first-generation college-bound persons seeking to pursue postsecondary education and to assist participants in preparing admission and financial aid applications. Some centers also provide tutoring and counseling for project participants that are not enrolled in an Upward Bound or Student Support Services project. Centers are funded in metropolitan, urban, and rural areas. Applicants define target area to be served.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards the Selection Criteria in 34 CFR 644.21 are considered. Contact the program office for additional information.

**84.069 LEVERAGING EDUCATIONAL ASSISTANCE PARTNERSHIP**

(LEAP-formerly SSIG)

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 4, as amended, 20 U.S.C. 1070c-1070c-4.

**OBJECTIVES:**

To provide grants to the States for use in programs of financial assistance to eligible postsecondary students.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To make grants of up to \$5,000 for full-time (reduced for less than full-time) attendance to students with substantial financial need who are enrolled at postsecondary institutions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at 202-708-7770.

**Applicant Eligibility:**

The agency responsible for administering each State's need-based scholarship/grant program. U.S. Territories are also eligible to apply.

**Beneficiary Eligibility:**

Postsecondary education students with substantial financial need will benefit.

**Credentials/Documentation:**

A State application reviewed and approved annually by the Secretary of Education qualifies the State for student award funds. States pay administrative costs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For technical assistance for States regarding the State application, refer to ED Form 1288. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The designated State student scholarship or grant assistance agency in each State annually applies for State allotments/reallotments of funds; refer to ED Form 1288. Eligible students annually apply to their State of residence for a grant under this program, if the State has received an allotment. Student applicants must follow the application procedures as directed by each State and must demonstrate substantial financial need to receive a grant. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Federal Student Aid office awards grants to State student scholarship or grant assistance agencies for making grants or providing work-study financial assistance to students.

**Deadlines:**

Application forms are mailed annually to eligible State agencies at least a month before the closing date which is published annually in the Federal Register. Students must submit an application according to deadlines established by the participating States.

**Range of Approval/Disapproval Time:**

From 30 to 45 days.

**Appeals:**

Appeals of final disapprovals can be made to the Secretary and may be subject to judicial review.

**Renewals:**

New State applications are required annually.

**Formula and Matching Requirements:**

Each State receives an allotment and possibly a reallocation of funds based upon the number of students it deems eligible to participate in the program relative to the total number of such students in all States; no State receives less than its fiscal year 1979 allotment (Section 415B(a)(1), HEA). Maintenance of effort (MOE) requirements provide that annual State-appropriated expenditures in the program must not be less than the average for the previous three fiscal years (Section 415C(b)(8), HEA). States match Federal funds on at least their MOE level, but not less than a one-to-one basis, out of resources appropriated by the State which represent additional State grant expenditures over an established base year, defined as the second year before the State entered the LEAP Program (Section 415C(b)(6), HEA).

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating States for one award year at a time following the year of application.

**Reports:**

Annual fiscal performance report (ED Form 1288-1) and other reports as required by the Secretary.

**Audits:**

Records are examined by State or Federal auditors.

**Records:**

States must maintain records sufficient to identify student grants awarded in compliance with the program statute and requirements concerning the expenditure of Federal funds and matching State appropriated funds. Records must be retained for three years or until completion of Department audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Grants) FY 07 \$64,987,000; FY 08 est \$63,852,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Maximum grant is \$5,000; average grant is \$1,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 692 (Program Regulations) reissued July 14, 1981, amended December 1, 1986, November 27, 1987, and January 28, 1994. Directory of State Agency Official Contacts (current).

**Regional or Local Office:**

Program description and a List of State student scholarship or assistance agencies available in the Education Department regional offices. Program is administered from the Department's headquarters.

**Headquarters Office:**

Office Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5447. Telephone: (800) 433-3243.

**Web Site Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.063, Federal Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.083 WOMEN'S EDUCATIONAL EQUITY ACT PROGRAM****FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title V, Part D, Subpart 21. 20 U.S.C. 7231-7238.

**OBJECTIVES:**

(1) To promote gender equity in education in the United States; (2) to promote equity in education for women and girls who suffer from multiple forms of discrimination based on sex, race, ethnic origin, limited-English proficiency, disability, or age; and (3) to provide financial assistance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

The Department may award two types of grants: (1) Implementation grants for gender equity programs in schools, and (2) research and development grants to develop model equity programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Through a nationwide competition, public agencies, private nonprofit agencies, institutions, organizations, student groups community groups, and individuals may apply.

**Beneficiary Eligibility:**

Public agencies, private nonprofit agencies, institutions, organizations, student groups, community groups, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-110 for nonprofits.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State selected the program for review.

**Application Procedure:**

The Department publishes grant application forms and instructions in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications and proposals are reviewed by a panel of experts in women's programs that represent various geographical areas, racial and ethnic groups, and levels of education. Final decisions on grants are made by the Department on the basis of the selection criteria published in the regulations and statutory considerations, and to the extent feasible, on the basis of geographical distributions. The Department may give special consideration to applications submitted by applicants that have not received assistance under this part.

**Deadlines:**

Established for grants each year by notice published in the Federal Register. Established for contracts in solicitation announcements in the Commerce Business Daily.

**Range of Approval/Disapproval Time:**

Approximately four months from receipt of applications.

**Appeals:**

None.

**Renewals:**

The project period for a WEEA award may not exceed four years. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to four years, subject to the availability of funds.

**Reports:**

As part of the continuation funding process, grantees must submit annual performance reports. The program office will establish a due date. A final performance report must also be submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, as amended by the Improving America's Schools Act, grantees must maintain records for three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$1,879,000; FY 08 est \$1,846,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For fiscal year 2007 the average award was \$197,077. Range: \$59,028 - \$247,500.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, the Department made 15 implementation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Educational Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OII Improvement Programs, 400 Maryland Avenue, S.W., Rm 4W242, Washington, DC 20202. Contact: Beverly A. Farrar; E-mail: beverly.a.farrar@ed.gov. Telephone: (202) 205-3145.

**Web Site Address:**

<http://www.ed.gov/programs/equity/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded by this program have been used for: Training for teachers and other school personnel to encourage gender equity in the classroom; Evaluating programs designed to advance gender equity; School-to-work transition programs; Guidance and counseling activities to increase opportunities for women in technologically demanding workplaces; and, Developing strategies to assist local educational agencies in evaluating, disseminating, and replicating gender-equity programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are outlined in the Education Department General Administrative Regulations. Contact the program office for more information.

**84.101 CAREER AND TECHNICAL EDUCATION - INDIAN SET-ASIDE**

**FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title I, Section 116(b), Public Law 109-270, 20 U.S.C. 2326(b).

**OBJECTIVES:**

To make grants to or enter into contracts with Indian tribes, tribal organizations and Alaska Native entities to plan, conduct, and administer programs or portions of programs authorized by and consistent with the Carl D. Perkins Career and Technical Education Act of 2006.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Indians and Alaskan Natives. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Indian tribes, tribal organizations, and Alaska Native entities are eligible for assistance under this program.

**Beneficiary Eligibility:**

Federally recognized Indian tribes, tribal organizations, and Alaskan Natives.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Local and Indian Tribal Governments and OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. Application notices are published in the Federal Register. Applications must be prepared and submitted in accordance with program announcements which are published in the Federal Register.

**Award Procedure:**

Application are approved using the selection criteria found in 34 CFR 75.200.

**Deadlines:**

Notice of application deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

After receiving written notice that the Department of Education will not award a grant, the eligible applicant, has 30 calendar days to request, in writing, a hearing to review the Department's decision.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to 5 years.

**Reports:**

Specific reporting requirements are contained in the regulations and award documents.

**Audits:**

An audit must be conducted annually and should be a part of the recipients financial management and internal control.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants and Contracts) FY 07 \$14,769,000; FY 08 est \$14,511,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$300,000 to \$600,000; the average award is expected to be \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Thirty projects were funded in 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74,75,77,80,81,82,84,85,86,97,98 and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, DC 20202-7242.  
Contact: Linda Mayo. E-mail: linda.mayo@ed.gov. Telephone: (202) 205-9353.

**Web Site Address:**

<http://www.ed.gov/programs/cteivp/index.html>.

**RELATED PROGRAMS:**

84.048, Career and Technical Education -- Basic Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

The Mississippi Band of Choctaw Indians is conducting a 2-year program for tribal manufacturing, nursing, child development, electrical and carpentry technology and hotel/restaurant management. The project is housed and operated out of Choctaw Vocational Center, Philadelphia, Mississippi. The Salish Kootenai College is conducting a 2-year program in building trades, secretarial science, computer science, and forest technology. The College also conducts a State licensed associate degree nursing program. The project is located at Polson, Montana.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria are utilized in reviewing applications. A segment or segments of an application should address each criterion. Points are awarded to the extent that evidence in the application satisfies each criterion: (a) Need for the project; (b) significance; (c) quality of the project design; (d) quality of project services; (e) quality of personnel services; (f) adequacy of resources; (g) quality of the management plan; and (h) quality of the project evaluation.

### 84.103 TRIO STAFF TRAINING PROGRAM

(TRIO Staff training)

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1, Section 402G, as amended, 20 U.S.C. 1070a-18.

**OBJECTIVES:**

To provide training for staff and leadership personnel employed in, or preparing for employment in, projects funded under the Federal TRIO Programs (program numbers 84.042, 84.044, 84.047, 84.066, and 84.217.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible grantees to provide training for project directors and staff of funded Federal TRIO Programs projects. The grants may provide support for conferences, seminars, internships, workshops, and the publication of manuals designed to improve the operation of Federal TRIO Programs projects.

**Applicant Eligibility:**

Institutions of higher education, public and nonprofit private agencies and organizations may apply.

**Beneficiary Eligibility:**

Leadership personnel, full-time and part-time staff members of projects under the Federal TRIO Programs, and individuals preparing for employment as staff or leadership personnel in projects under the Federal TRIO Special Programs will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Develop a proposal in accordance with program regulations, applications, and timetables issued by the Department of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Program, College and University Support Team. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 642.31 and 34 CFR 642.32.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Continuation awards of one year is approved on an annual basis, subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

One or two year-projects, annual awards.

**Reports:**

Performance reports are submitted on an annual basis.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR and 34 CFR 75.702, 74.61.)

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$3,331,000; FY 08 est \$4,250,000; and FY 09 est \$4,250,000.

**Range and Average of Financial Assistance:**

The estimated average FY 2008 award is \$425,000. The estimated range of awards is \$350,000 to \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

The program anticipates supporting 9 to 13 awards in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 642.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Trio Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Jane Wrenn; E-mail: trio@ed.gov. Telephone: (202) 502-7614.

**Web Site Address:**

<http://www.ed.gov/programs/triotrain/>.

**RELATED PROGRAMS:**

84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.066, TRIO\_Educational Opportunity Centers; 84.217, TRIO\_McNair Post-Baccalaureate Achievement.

**EXAMPLES OF FUNDED PROJECTS:**

Training has been offered in the following areas: (1) Student financial aid; (2) general project management for new directors; (3) legislative and regulatory requirements for the operation of Federal TRIO programs; (4) design and operation of model programs for projects funded under the Federal TRIO programs; (5) retention and graduation strategies; (6) counseling; (7) reporting student and project performance; and (8) coordinating project activities with other available resources and activities.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department will select applicants to be funded for new awards under this part on the basis of criteria set forth in 34 CFR 642.31. Final program regulations were published in CFR Chapter VI(7-1-95).

### 84.116 FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION

(FIPSE)

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION



**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII Part B, Public Law 105-277, 20 U.S.C. 1135-1135a-3.

**OBJECTIVES:**

To provide assistance for innovative programs that improve access to and the quality of postsecondary education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Fund provides project grants for activities sponsored by institutions and agencies that develop and demonstrate more effective approaches to the postsecondary teaching and learning. Each year, the Department establishes funding competitions and priorities. Funded projects are action-oriented, focusing on improvements in practice rather than support for basic research.

**Applicant Eligibility:**

Eligible applicants include a full range of providers of postsecondary educational services including but not limited to: 2 and 4-year colleges and universities, community organizations, libraries, museums, consortia, student groups, and local government agencies.

**Beneficiary Eligibility:**

Postsecondary educational institutions and their students will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Applications, consultation and assistance are available from the Fund staff. Application materials and further information is also available on the WEB. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In any fiscal year in which funds are available for new awards. The Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Proposals are reviewed by field readers, by staff, by the Board of the Fund, by the Fund Director, and by appropriate Department officials. State Postsecondary Education Commissions must be given an opportunity to comment on projects funded in their States.

**Deadlines:**

Deadlines are published in the Federal Register or may be obtained by contacting the program office.

**Range of Approval/Disapproval Time:**

From 4 to 8 months.

**Appeals:**

None.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

The Fund suggests that some institutional funds be included as part of program support, but this is not required by current legislation or regulation.

**Length and Time Phasing of Assistance:**

The Fund will support multi-year projects; grants are awarded on a 1-to 4-year basis. Funds are released as required. Renewals are subject to the availability of appropriations.

**Reports:**

The Fund require periodic progress evaluation reports from grant recipients, as well as a final report upon termination of funding. Reporting requirements are found in EDGAR.

**Audits:**

Awardees must comply with standard Education Department audit requirements.

**Records:**

Grant recipients are required to maintain standard financial records.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$21,988,890; FY 08 est \$120,333,397; and FY 09 est \$37,433,000.

**Range and Average of Financial Assistance:**

In FY 08, the average FIPSE comprehensive program grant was \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, the Fund awarded approximately 68 comprehensive program grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are contained in 34 CFR 630. In addition, the Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, and 85 also apply. The official Application Notice is published each year in the Federal Register. The Fund also published "Lessons Learned," a compilation of FIPSE projects. Contact the program office for more

information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, Department of Education, Washington, DC 20202-5175. Contact: Cassandra Courtney; E-mail: cassandra.courtney@ed.gov. Telephone: (202) 502-7506.

**Web Site Address:**

<http://www.ed.gov/programs/fipsecomp/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Improved undergraduate liberal arts curriculum; (2) improved undergraduate teaching; (3) improved graduate education; (4) improved access for Blacks, Hispanics, and other minorities; (5) cooperation between colleges and businesses; (6) teacher education; (7) uses of technology; and (8) improved study abroad programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Grantees are selected based on the project's significance in improving postsecondary education; feasibility; and appropriateness.

**84.120 MINORITY SCIENCE AND ENGINEERING IMPROVEMENT**

(MSEIP)

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title III, Part E, Subpart 1, as amended.

**OBJECTIVES:**

To (1) Effect long-range improvement in science and engineering education at predominantly minority institutions and (2) increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The program funds are generally used to implement design projects, institutional projects, and cooperative projects. The program also supports special projects designed to provide or improve support to accredited nonprofit colleges, universities, and professional scientific organizations for a broad range of activities that address specific barriers that eliminate or reduce the entry of minorities into science and technology fields. Grant funds may be used for paying costs necessary for improving and maintaining high quality science and engineering education programs in minority postsecondary institutions, including salaries and wages, equipment and instructional materials and supplies, travel related to the project activities, faculty development, and other direct and indirect costs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Private and public nonprofit accredited institutions of higher education that award baccalaureate degrees; and are minority institutions; public or private nonprofit institutions of higher education that award associate degrees, and are minority institutions that have a curriculum that includes science or engineering subjects; and enters into a partnership with public or private nonprofit institutions of higher education that award baccalaureate degrees in science or engineering. Applications may also be submitted by nonprofit science-oriented organizations, professional scientific societies, and institutions of higher education that award baccalaureate degrees, that provide a needed service to a group of minority institutions; or provide in-service training for project directors, scientists, and engineers from minority institutions; or consortia of organizations, that provide needed services to one or more minority institutions, the membership of which may include: institutions of higher education which have a curriculum in science and engineering; institutions of higher education that have graduate or professional programs in science or engineering; research laboratories of, or under contract with the Department of Energy; private organizations that have science and engineering facilities; or quasi-governmental entities that have a significant scientific or engineering mission.

**Beneficiary Eligibility:**

Private or public accredited 4-year institutions of higher education whose total enrollments are predominantly (50 percent or more) American Indian; Alaskan Native; Black (not of Hispanic origin); Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin); Pacific Islander; or any combination of these or other ethnic minorities who are underrepresented in science and engineering. Also, 2- year private or public accredited minority (see

description of minority above) institutions that have curricula in science or engineering and have formed a partnership with a 4-year institution.

**Credentials/Documentation:**

Institutions must provide the information necessary to establish their eligibility for participation in MSEIP. The data on enrollment furnished to the Office for Civil Rights to satisfy requirements for the "Fall Enrollment and Compliance Report of Institutions of Higher Education" are acceptable. Applications must be signed by the project director(s), the relevant department head(s), and by an authorized organizational official. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

By submission of a formal application describing the planned project and proposed amount of the grant. See 34 CFR 637 and the specific program guidelines. Application forms are provided by MSEIP. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Panels of outside experts with knowledge of the fields covered by the application review all applications. Grants awards are recommended to the Secretary by the program office, in the order of merit.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None.

**Renewals:**

Awards may be renewed for up to 2 years, renewals subject to the availability of appropriations.

**Formula and Matching Requirements:**

The program suggests that some institutional contribution be included as part of program support. However, by law, this program has no matching requirements.

**Length and Time Phasing of Assistance:**

One to three years. Funds are awarded annually and disbursed as required.

Renewals are subject to the availability of appropriations.

**Reports:**

The program requires interim performance reports from directors of projects having duration of more than one year at the end of each budget year's activities.

A substantive performance and financial report is required within 90 days upon completion of the project for all funded projects.

**Audits:**

Compliance with standard Department of Education requirements.

**Records:**

Grantees are required to maintain standard programmatic and financial records. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$8,730,820; FY 08 \$8,577,487; and FY 09 est \$8,577,487.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$25,000 to \$300,000; the average award is expected to be \$127,500.

**PROGRAM ACCOMPLISHMENTS:**

For FY 2008, approximately 23 new awards and 50 continuation awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 637 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Postsecondary Education, Institutional Development and Undergraduate Education Service, Department of Education, Washington, DC 20202. Contact: Bernadette Hence. E-mail Address: bernadette.hence@ed.gov. Telephone: 202-219-7038.

**Web Site Address:**

<http://www.ed.gov/programs/idesmsi/>.

**RELATED PROGRAMS:**

84.031, Higher Education Institutional Aid; 84.116, Fund for the Improvement of Postsecondary Education.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A project is providing state-of-the-art training to minority students in field and laboratory studies dealing with water quality, and educating students on the benefits of using an interdisciplinary approach to solving environmental

problems. (2) A project has a summer science program designed to improve access of pre-college (8th and 9th grade) minority students to careers in science and engineering. Integrated, hands-on curriculum in biology, physical science, mathematics, and computer technology is offered. (3) A project is a consortium of five minority serving community colleges across the nation and two engineering schools whose purpose is to share resources and strategies in order to increase the number of bilingual engineers and strengthen the educational pipeline from pre-college through engineering school. (4) One project is to establish a computer laboratory in science and mathematics.

**CRITERIA FOR SELECTING PROPOSALS:**

Decisions are based primarily on the scientific and educational merits of described activities and conformance with the objectives of the program. Priority is given to applicants which have not previously received funding from the Minority Science Improvement Program and to previous grantees with a proven record of success, as well as to proposals that contribute to achieving balance among projects with respect to geographic region, academic discipline and project type.

**84.126 REHABILITATION SERVICES-VOCATIONAL REHABILITATION GRANTS TO STATES**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Parts A and B, Sections 100-111.

**OBJECTIVES:**

To assist States in operating comprehensive, coordinated, effective, efficient and accountable programs of vocational rehabilitation; to assess, plan, develop, and provide vocational rehabilitation services for individuals with disabilities, consistent with their strengths, resources, priorities, concerns, abilities, and capabilities so they may prepare for and engage in competitive employment.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal and State funds are used to cover the costs of providing vocational rehabilitation services which include: assessment, counseling, vocational and other training, job placement, reader services for the blind, interpreter services for the deaf, medical and related services and prosthetic and orthotic devices, rehabilitation technology, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, and other goods and services necessary for an individual with a disability to achieve an employment outcome. Services are provided to families of disabled individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided vocational rehabilitation services. Funds can also be used to provide Vocational Rehabilitation services for the benefit of groups of individuals with disabilities including the construction and establishment of community programs.

**Applicant Eligibility:**

State agencies in all States (including territories/possessions) designated as the sole State agency to administer the vocational rehabilitation program may apply.

**Beneficiary Eligibility:**

Eligibility for vocational rehabilitation services is based on the presence of a physical and/or mental impairment, which for such an individual constitutes or results in a substantial impediment to employment, and the need for vocational rehabilitation services that may be expected to benefit the individual in terms of an employment outcome.

**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

State Vocational Rehabilitation agencies are required to submit a State Plan describing the manner in which they will administer the VR and Supported Employment programs in their States. The State is not required to submit any policies, procedures or descriptions related to its State Plan that have been previously approved and demonstrate that the State currently meets the requirements of the Act. However, State agencies are required to annually update and submit State Plan attachments related to: (1) the comprehensive system of personnel development; State assessments, estimates, goals and priorities, and reports of progress; (2) innovation and expansion activities, and (3) a description of the State's plans with respect to the distribution of State Supported Employment Title VI, Part B funds.

**Award Procedure:**

Notice of annual allotment to the State; grant award notices and funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Changes to the State Plan and annual updates must be submitted to the Rehabilitation Services Administration (RSA) by July 1 of each year. The State Plan must be approved before the State agency can receive its annual allotment of funds.

**Range of Approval/Disapproval Time:**

If a State plan is disapproved, and after reasonable effort has been made to resolve a dispute, the State agency may request a hearing. If dissatisfied with the hearing officer's initial decision, the State agency may seek the Secretary's review of the decision.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

None.

**Formula and Matching Requirements:**

Under the Rehabilitation Act of 1973, as amended, Title I, Part A, Section 110, Federal funds are distributed (78.7 percent Federal and 21.3 percent State) based on population weighted by per capita income. Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for an additional year if the matching requirement is met in the year of the appropriation. The statistical factors for fund allocation are: 1) The per capita income 3-year average by State and the source is the Survey of Current Business, Bureau of Economic Analysis; 2) the U.S. total population and State population and the source is the Population Estimates Annual, Bureau of the Census; Bureau of Labor Statistics. Statistical factors used for eligibility do not apply to this program. This program has a maintenance of effort (MOE) requirement. The MOE level is based on the amount of State expenditures for the Federal fiscal year two years earlier. See funding agency for further details.

**Length and Time Phasing of Assistance:**

Notice of annual allotment to the State; grant awards are issued biannually (1st and 4th quarter) with funds released through the Electronic Transfer System.

**Reports:**

Annual and quarterly progress reports; annual budget and case service reports; quarterly financial reports.

**Audits:**

Conducted by ED Office of Inspector General and by site visits of regional staff. Both are periodic but no set schedule. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case service records for individual consumers. Financial and programmatic records for a prescribed period of three years (34 CFR 80.42).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$2,802,716,000; FY 08 est \$2,839,151,000; and FY 09 est \$2,839,151,000.

**Range and Average of Financial Assistance:**

In FY 2008, the range of awards is expected to be \$928,801 to \$275,593,209.

**PROGRAM ACCOMPLISHMENTS:**

As a group, persons who achieve employment as a result of vocational rehabilitation services each year show notable gains in their ability to function in economic terms, regardless of their employment status when they apply for services. In fiscal year 2007, approximately 981,050 persons received services. Approximately 59.6 percent of those individuals who exited the program after receiving services achieved an employment outcome.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Vocational Rehabilitation Regulations (34 CFR 361). Vocational Rehabilitation Manual. Rehabilitation Services Policy Directives and Technical Assistance Circulars.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: Carol Dobak E-mail: Carol.Dobak@ed.gov. Telephone: (202) 245-7325.

**Web Site Address:**

<http://www.ed.gov/programs/rsabvrs/index.html>.

**RELATED PROGRAMS:**

53.001, Employment Promotion of People with Disabilities; 64.007, Blind Rehabilitation Centers; 64.013, Veterans Prosthetic Appliances; 64.116, Vocational Rehabilitation for Disabled Veterans; 84.160, Training Interpreters

for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161, Rehabilitation Services\_Client Assistance Program; 84.169, Independent Living\_State Grants; 84.187, Supported Employment Services for Individuals with Significant Disabilities; 84.234, Projects with Industry; 84.235, Rehabilitation Services Demonstration and Training Programs; 84.250, Rehabilitation Services\_American Indians with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.128 REHABILITATION SERVICES-SERVICE PROJECTS**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Sections 304 and 305, 29 U.S.C. 775 and 777b.

**OBJECTIVES:**

To provide discretionary grant funds to State vocational rehabilitation agencies and public nonprofit organizations for special projects and demonstrations which hold promise of expanding and otherwise improving services to individuals with disabilities over and above those provided by the Basic Support Program administered by States.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Migrant and seasonal farm workers and recreational programs. Grants support vocational rehabilitation services to migrant and seasonal farm workers and projects that establish and operate recreation programs for individuals with disabilities.

**Applicant Eligibility:**

Recreational projects are awarded to States, public agencies and nonprofit organizations. Grants cannot be made directly to individuals. Migrant and seasonal farm worker projects are funded by grants to a State designated agency (including territories/possessions) and to nonprofit and local agencies in collaboration with the State agencies.

**Beneficiary Eligibility:**

Individuals with disabilities and individuals with significant disabilities as defined in Sections 7(9)(A)(B) and 7(20)(A), respectively, of the Rehabilitation Act of 1973, as amended.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

Applications should be submitted to the Department of Education, Application Control Center, 600 Independence Ave., S.W., Washington, DC 20202-4725, or in certain cases to the appropriate RSA Regional Commissioner, OSERS. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is subject to the provisions of OMB Circular No.A-110.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS for new projects.

**Deadlines:**

Contact the headquarters or regional offices for application deadlines. Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days.

**Appeals:**

None.

**Renewals:**

Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance. Renewals are available only through a new application process.

**Formula and Matching Requirements:**

Generally matching is required; the Migratory Worker program requires 10 percent matching. The Federal share of the costs of the Recreation program shall be 100 percent for the first year, 75 percent for the second year, and 50 percent



for the third year with corresponding matching requirements for the second and third years.

**Length and Time Phasing of Assistance:**

Project support may be available for up to three to five years depending upon satisfactory performance and availability of funds. Funds are granted on a 12-month basis.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No.A-133.

**Records:**

Fiscal records must be maintained for the periods of time specified in the grant award.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

FY 07 est \$2,279,000 (migrant and seasonal farm workers) \$2,518,000 (recreational); FY 08 est \$2,239,000 (migrant and seasonal farm workers) \$2,474,000 (recreational) and FY 09 est \$0.

**Range and Average of Financial Assistance:**

None; they vary by program.

**PROGRAM ACCOMPLISHMENTS:**

There were 33 recreational projects and 11 migrant and seasonal farm workers projects in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 369. Specific guidelines and literature may be obtained from the RSA headquarters offices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, DC 20202-2647. Contact: Sonja Turner E-mail: sonja.turner@ed.gov. Telephone: (202) 245-7557 (migrant and seasonal farmworkers program); or Ed Hofler. E-mail: ed.hofler@ed.gov. Telephone: (202) 245-7377 (recreational program).

**Web Site Address:**

<http://www.ed.gov/programs/rsamigrant/index.html>; or  
<http://www.ed.gov/programs/rsarecreation/index.html>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

An outreach effort to identify and provide necessary vocational rehabilitation services for migrant and seasonal farm workers with disabilities. Assist persons with significant disabilities returning to the community to achieve the optimal vocational adjustment of which they are capable. Provide recreational services to individuals with disabilities a priority to integrate these individuals into regular recreation programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Grants for migrant and seasonal farmworker projects are made to a designated State agency and to nonprofit and local agencies working in collaboration with the State agencies. Applications for discretionary grants are subjected to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program regulations 34 CFR75.210.

**84.129 REHABILITATION LONG-TERM TRAINING**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302, 29 U.S.C. 774.

**OBJECTIVES:**

To support projects to provide academic training in areas of personnel shortages identified by the Secretary to increase the number of personnel trained in providing vocational rehabilitation services to individuals with disabilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational and independent living rehabilitation of individuals with disabilities, such as rehabilitation counseling, independent living, rehabilitation medicine, physical

and occupational therapy, prosthetics-orthotics, speech-language, pathology and audiology, rehabilitation of individuals who are blind and individuals who are deaf, and rehabilitation technology. A grantee must use at least 75 percent of the total award for scholarships.

**Applicant Eligibility:**

Institutions of Higher Education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals preparing for employment in the field of rehabilitation of individuals with disabilities.

**Credentials/Documentation:**

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

New applications are made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725. Attn: 84.129. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel consists of nonfederal consultants with experience and training in the related field.

**Deadlines:**

Deadlines are published in the Federal Register; contact the program office for application deadlines and other information.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

None.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

The Federal share may not be more than 90 percent of the total cost of a project under this program.

**Length and Time Phasing of Assistance:**

Projects are generally supported for a maximum of 5 years; with budget periods of 12 months. Renewals are subject to the availability of funds.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper records must be maintained for a period of time equal to the time required to fulfill the obligations of each grantee to determine whether a scholar has met the work-or-repay provision in 34 CFR 386.34, or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$19,267,000; FY 08 est \$19,524,000; and FY 09 \$19,549,000.

**Range and Average of Financial Assistance:**

\$70,000 to \$100,000. Average: \$100,000 in FY 08.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 1505 awards are supported annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 386.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Rehabilitation Services Administration, Office of Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-2649. Contact: Ruth Brannon. Telephone: (202) 245-7278.

**Web Site Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Residency scholarships in physical medicine and rehabilitation; (2) graduate scholarships in rehabilitation counseling; (3) graduate scholarships in rehabilitation administration; and (4) undergraduate scholarships in rehabilitation service.

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the purpose of the content and the training project to the administratively established mission of the public rehabilitation program and the objectives of the Rehabilitation Services Administration. The methodology to be employed in implementing the project and its feasibility for the achievement of the established educational objectives. The existence of a working relationship with the State vocational rehabilitation agency and other agencies and rehabilitation facilities providing vocational rehabilitation services. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 386.

**84.132 CENTERS FOR INDEPENDENT LIVING****FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part C, 29 U.S.C. 796f-796f-6.

**OBJECTIVES:**

To provide independent living services to individuals with significant disabilities to assist them to function more independently in family and community settings, by developing and supporting a statewide network of centers for independent living.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Federal funds are used for the establishment and operation of centers for independent living which offer a combination of services. Services must include independent living core services which mean information and referral services, training in independent living skills, peer counseling, individual and systems advocacy, and as appropriate, a combination of any other independent living services specified in Title II of the Rehabilitation Act. Each center must have a governing board composed of a majority of persons with significant disabilities. The majority of the staff and individuals in decision making positions must be individuals with disabilities. Not less than 1.8 percent and not more than two percent of Federal funds appropriated for the program must be reserved to provide training and technical assistance under contracts with entities experienced in the operation of centers for independent living.

**Applicant Eligibility:**

The principal eligible applicants are the private nonprofit agencies that received funding directly or through subgrants or contracts under the Centers for Independent Living program in fiscal year 1992. If funds remain available after all principal eligible applicants have been funded, other centers for independent living (as defined in Section 702 of the Rehabilitation Act) and State agencies may receive funding based on satisfactory applications (including territories and outlying areas).

**Beneficiary Eligibility:**

Individuals with significant physical, mental, cognitive, or sensory impairments whose ability to function independently in the family or community or whose ability to obtain, maintain, or advance in employment is substantially limited. Eligibility shall not be based on the presence of any one or more specific significant disabilities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110.

Applications for new awards from eligible agencies should be submitted to the Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-4725, unless otherwise directed in the Federal Register Announcement.

**Award Procedure:**

New awards are made on approval of the Commissioner of Rehabilitation Services Administration, and the Assistant Secretary of OSERS, based on the findings of Federal and nonfederal reviews of applications to ensure the applicants satisfactorily demonstrate that they have met the standards and assurances described in Section 725 (b) and (c) the Rehabilitation Act.

**Deadlines:**

Contact headquarters office for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Projects may be continued based on a self-evaluation report activities, and accomplishments as described in the Center's self-evaluation and annual report requirements under Section 725 (c)(8) of the Act, submittal of a continuation application, and the availability of funds. Renewals are available through the regular continuation application process. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Existing projects are approved on an annual basis with funding on a twelve month basis. New projects are funded for five years with funding approved on a 12-month basis. Renewals are subject to the availability of funds.

**Reports:**

Annual and fiscal progress reports and self-evaluations (A-F Reports) must be submitted as prescribed by Section 725 (c)(8) of the Rehabilitation Act, and grant award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Fiscal records must be maintained for 3 years after the grant ends and the final financial report is submitted or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$74,638,000; FY 08 est \$73,334,000; and FY 09 \$73,334,000.

**Range and Average of Financial Assistance:**

Range: \$785,000 to \$7,350,000. Average: \$1,381,000 in FY 2007.

**PROGRAM ACCOMPLISHMENTS:**

Grants supported the operation of approximately 340 centers in FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Regulations at 34 CFR 364 and 366.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Veronica Hogan. E-mail: [veronica.hogan@ed.gov](mailto:veronica.hogan@ed.gov). Telephone: (202) 245-7378.

**Web Site Address:**

<http://www.ed.gov/programs/cil/index.html>.

**RELATED PROGRAMS:**

84.169, Independent Living\_State Grants; 84.177, Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind.

**EXAMPLES OF FUNDED PROJECTS:**

Provided services vary from one center to another. Centers provide a combination of services, including: information and referral; independent living skills training; individual and systems advocacy; counseling services; housing; rehabilitation technology; mobility training; life skills training; interpreter and reader services; personal assistance services; accessible transportation; supported living; therapeutic treatment; provision of prostheses and other devices; and other services described in Section 7 (30)(B) of the Rehabilitation Act.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program include extent of need for the project, past performance, satisfaction of the standards and assurances set forth in Section 725, quality of key personnel, budget and cost-effectiveness, evaluation plan, plan of operation, and involvement of individuals with significant disabilities. Criteria for evaluating applications are published in program regulations at 34 CFR 366.

## 84.133 NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH

### FEDERAL AGENCY:

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Rehabilitation Act of 1973, Title II.

### OBJECTIVES:

To support and coordinate research and its utilization to improve the lives of people of all ages with physical and mental disabilities, especially persons with severe disabilities, through: (1) identifying and eliminating causes and consequences of disability; (2) maximizing the health, physical, and emotional status of persons with disabilities and their functional ability, self-sufficiency, self-development and personal autonomy; (3) preventing or minimizing personal and family, physical, mental, social, educational, vocational, and economic effects of disability; and (4) reducing and eliminating physical, social, educational, vocational, and environmental barriers to permit access to services and assistance and to use their abilities in daily life.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements or Contracts).

### USES AND USE RESTRICTIONS:

Grants, cooperative agreements, and contracts are awarded for research, demonstration, dissemination/utilization projects of national significance, and career training projects. All applications must meet standards of excellence in research and evaluation design. Fellowships support individual investigators in pursuing research in rehabilitation.

### Applicant Eligibility:

States, public, private, or nonprofit agencies and organizations, institutions of higher education, and Indian tribes and tribal organizations are eligible for research projects and specialized research activities related to the rehabilitation of individuals with disabilities; fellowships may be awarded to individuals.

### Beneficiary Eligibility:

Individuals with disabilities may benefit directly or indirectly from research and other activities conducted by grantees, such as technical assistance and dissemination.

### Credentials/Documentation:

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves their acceptance or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Nonprofit organizations must show proof of such status.

### Preapplication Coordination:

The NIDRR long-range research plan serves as the basis for program announcements that are published in the Federal Register and Requests for Proposals that are published in the Commerce Business Daily. The standard application forms as furnished by the Federal agency or published in the Federal Register and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

This program is subject to the provisions of OMB Circular No. A-110.

### Award Procedure:

Official notice of approved applications is made through issuance of a Notice of Grant Award or an official letter of fellowship award. Grants and fellowships are awarded by the Secretary, Department of Education.

### Deadlines:

Grant application deadlines are established by individual notices inviting applications. Contract deadlines are established in individual Requests for Proposals. Announcements are published throughout the year.

### Range of Approval/Disapproval Time:

Ranges from 30 to 120 days. Generally, solicited grants, fellowships, and contracts will be acted upon within 120 days.

### Appeals:

No formal appeal procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants will be sent copies of the reviewers' comments appraising their applications.

### Renewals:

Grantees must submit annual progress reports in order to receive continuation funding. Renewals are subject to the availability of funds.

### Formula and Matching Requirements:

Grantees funded under Sections 204(a) and 202(k) of the Rehabilitation Act, as amended, are required to share in the cost of projects. The amount of cost-sharing is negotiable. Cost-sharing for other grantees is at the Secretary's option.

### Length and Time Phasing of Assistance:

Funds are awarded in 12 month budget periods. Support beyond the first 12 month budget period is contingent upon evidence that the grantee has made substantial progress toward achieving the objectives and outcomes for a project, and availability of funds. Awards may be made for a maximum of five years.

### Reports:

Annual reports of progress and annual expenditures are required on all projects.

Comprehensive final reports are due 90 days after the end of the project.

### Audits:

All fiscal transactions identifiable to Federal financial assistance are subject to audit by ED Audit Agency.

### Records:

Proper accounting records, identifiable by grant or contract number including all receipts and expenditures, must be maintained for three years. Subsequent to audit, they must be maintained until all questions are resolved.

### Account Identification:

91-0301-0-1-506.

### Obligations:

(Grants and Contracts) FY 07 \$106,705,000; FY 08 est \$105,741,000; and FY 09 est \$105,741,000.

### Range and Average of Financial Assistance:

Not applicable because the range and average varies greatly by competition.

### PROGRAM ACCOMPLISHMENTS:

None.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Grant administrative policies for programs and fellowships may be obtained from the program office. NIDRR program regulations are contained in 34 CFR 350-359.

### Regional or Local Office:

Contact Headquarters Office.

### Headquarters Office:

Department of Education, OSERS National Institute on Disability and Rehabilitation Research 400 Maryland Ave., S.W., Washington, DC 20202-2500. Donna Nagle. E-mail Address: donna.nagle@ed.gov. Telephone: (202) 245-7462.

### Web Site Address:

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

### RELATED PROGRAMS:

64.007, Blind Rehabilitation Centers; 84.129, Rehabilitation Long-Term Training; 84.224, Assistive Technology.

### EXAMPLES OF FUNDED PROJECTS:

(1) Research and Training Centers with emphasis on vocational rehabilitation, medical rehabilitation, rehabilitation of persons with mental retardation, deafness rehabilitation, rehabilitation of persons with mental illness, and rehabilitation of those with severe visual disabilities; (2) Rehabilitation Engineering Centers with the application of engineering advances as applied to rehabilitation of persons with physical disabilities; special activities in prosthetics, orthotics, and rehabilitation aids and devices for various handicapping conditions; (3) specific research and demonstration projects concerned with medical, psychosocial, sensory, psychiatric, and vocational rehabilitation; (4) research utilization and dissemination of research findings; (5) field initiated projects in rehabilitation research; (6) innovation grants for conferences, testing of devices and curriculum development; (7) grants for advanced training in research related to disability; and (8) grants for projects to facilitate implementation of the Americans with Disabilities Act.

### CRITERIA FOR SELECTING PROPOSALS:

Objectives of projects and programs must be in consonance with and should contribute to achievement of the goals and objectives of the Institute. Adequate facilities must be available or planned to carry out the specific project or program. Personnel must be trained and qualified to carry out the proposed programs, and staffing patterns must be appropriate. Demonstrations of adequate plans and procedures for ensuring the relevance to current needs in rehabilitation and the potential for project results must be effectively utilized. Commitment of available resources on the part of the applicant and evidence that the applicant has knowledge of rehabilitation issues as well as knowledge of past and present related research activities. A statement showing that the estimated cost to the government is reasonable in relation to anticipated project results. Demonstrate the ability and capacity to achieve stated goals. Demonstrate, coordinate and cooperate with regional programs, State agency programs, and private rehabilitation facilities. Specific weighted selection criteria are contained in program regulations. For fellowships, criteria are specified in program regulations, 34 CFR 356. These criteria include the education and experience of the individual and the quality of the fellowship proposal.

## 84.141 MIGRANT EDUCATION-HIGH SCHOOL EQUIVALENCY PROGRAM

(HEP)

### FEDERAL AGENCY:

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Higher Education Act of 1965, Title IV, Part A, Subpart 5, Section 418A, 20 U.S.C. 1070d-2.

### OBJECTIVES:

To assist students who are engaged, or whose parents are engaged, in migrant



and other seasonal farm work to obtain the equivalent of a secondary school diploma and subsequently to gain employment or be placed in an institution of higher education or other postsecondary education or training.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Project funds may be used to recruit and provide academic and support services (including counseling, health services, stipends, and placement) to migrant students to obtain the equivalent of a secondary school diploma and to subsequently gain employment or be placed in an institution of higher education or other postsecondary education or training.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

Persons who are engaged or whose parents are engaged in migrant and other seasonal farmwork or who have participated or have been eligible to participate in the Title I, MEP. Eligible beneficiaries are 16 and older or beyond the age of compulsory school attendance, and lacking a high school diploma.

**Credentials/Documentation:**

To be eligible to participate in HEP: the applicant or their parents must: (1) Have worked a minimum of 75 days during the past 24 months in migrant on seasonal farmwork, or have been eligible to participate or have participated within the past 2 years in Title I, Migrant Education Program; (2) not have earned a secondary school diploma or its equivalent; (3) not be currently enrolled in an elementary or secondary school; (4) be 16 years of age or older, or above the age of compulsory school attendance in the State where the project is located; and (5) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application forms are available from the Department of Education. An applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. Applications are reviewed and evaluated by a panel for selection of possible funding.

**Award Procedure:**

The Department of Education notifies a successful applicant of its award. Actual negotiation and awarding of grants is done by the Department of Education's Office of Migrant Education staff.

**Deadlines:**

Contact the Department of Education for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

None.

**Renewals:**

Grants are awarded for up to 5 years. Renewals are subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months. Funds are awarded for 12-month budget periods. Renewals are subject to the availability of funds and recipient performance.

**Reports:**

Annual continuation applications showing satisfactory performance are required each year and a final performance report is required 90 days after completion of a project.

**Audits:**

In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$18,550,000; FY 08 est \$18,226,000; and FY 09 est \$18,226,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$310,000 to \$475,000; the average award is expected to be \$417,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, the program will serve approximately 7,400 students in 44 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 79, 82, 85, 86, and 206.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Room 3E227, Washington, DC 20202. Contact: David De Soto. E-mail: david.de.soto@ed.gov Telephone: (202) 260-8103. Toll-Free Telephone: (800) 872-5327.

**Web Site Address:**

<http://www.ed.gov/programs/hep/index.html>.

**RELATED PROGRAMS:**

84.002, Adult Education - Basic Grants to States; 84.047, TRIO Upward Bound; 84.144, Migrant Education Coordination Program; 84.149, Migrant Education College Assistance Migrant Program; 84.213, Even Start State Educational Agencies; 84.214, Even Start Migrant Education; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers.

**EXAMPLES OF FUNDED PROJECTS:**

Project funds are used for recruitment, instruction designed to help participants pass an examination and obtain a high school equivalency certificate, counseling, health services, housing for on-campus residential programs, exposure to academic programs, cultural events, and other activities not usually available to migrant youth, and appropriate in-service training activities for project staff members.

**CRITERIA FOR SELECTING PROPOSALS:**

Migrant Education High School Equivalency Program regulations (34 CFR 206) include the following criteria for selecting proposals, as follows: need for project (15 points); quality of project design (20 points); quality of management plan (20 points); quality of project services (15 points); quality of project personnel (10 points); adequacy of resources (10 points); project evaluation (10 points); and prior experience (15 points).

## 84.144 MIGRANT EDUCATION-COORDINATION PROGRAM

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part C, Sec. 1308. 20 U.S.C 6398.

**OBJECTIVES:**

To encourage the interstate and intrastate coordination of migrant education including consortium arrangements in order to reduce the administrative costs of state educational agencies (SEAs) receiving Title I Migrant Education Program funds under 84.011.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are used to: (A) Support activities to improve interstate and intrastate coordination of migrant education by State and local educational agencies; and (B) provide incentive grants to SEAs that participate in an approved consortium under the program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

State educational agencies, local educational agencies, institutions of higher education and other public or nonprofit private entities may apply for funds to improve interstate and intrastate coordination of migrant education (specific eligibility varies by activity). SEAs participating in MEP consortium may apply for incentive grant awards.

**Beneficiary Eligibility:**

Migratory children of migratory agricultural workers or migratory fishers benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program does not use a preapplication form. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

An applicant should consult the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for funding selection.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department of Education's Office of Migrant Education staff. The Department's Contracts Service negotiates contracts.

**Deadlines:**

Deadlines are announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Interstate and intrastate coordination grants have no statutory formula or matching requirements. Consortium incentive grants are awarded by formula, based on the amount of MEP funds an SEA is able to redirect from administrative activities into direct services to migrant children as a result of participating in a consortium.

**Length and Time Phasing of Assistance:**

Grants and contracts for interstate and intrastate coordination activities may be awarded for not more than five years, subject to the availability of funds. Consortium incentive grants are annual awards made for a 12-month period.

**Reports:**

Annual performance reports are required from SEAs participating in consortium incentive grants and from other grant recipients. Reports for activities funded through contracts depend on the specific terms of the contract.

**Audits:**

In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, grantees must maintain certain project records for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$10,000,000; FY 08 est \$10,000,000; and FY 09 est \$12,500,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards for incentive grants is expected to be \$60,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 23 consortium incentive grants were awarded in FY 2006. Consortium Incentive Grants fund high-quality consortia to improve the intrastate and interstate coordination of migrant education programs by addressing any of eight key needs of migratory children who have their education interrupted. FY 2006 recipients implemented activities designed to improve the proper and timely identification and proficiency of migratory children. In addition, development of the Migrant Student Information Exchange (MSIX) was completed in 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 75, 76, and 80.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., FOB6, Room 3E331, Washington, DC 20202. Contact: Lori Ahmady. Telephone: (202) 260-1391.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/oese/ome/index.html>.

**RELATED PROGRAMS:**

84.011, Migrant Education\_State Grant Program; 84.141, Migrant Education\_High School Equivalency Program; 84.149, Migrant Education\_College Assistance Migrant Program; 84.213, Even Start\_State Educational Agencies; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

Funded programs include: (1) Consortium Incentive Grants, which support multistate consortia for improving coordination in seven areas of need (e.g., improving the identification and recruitment of eligible migrant children; using scientifically based research to improve school readiness; improving reading and math proficiency; decreasing the dropout rate; improving high school completion rates; strengthening the involvement of parents; and expanding access to innovative technologies), and separately by contract (2) the Migrant Education Hotline, a toll-free number (800) 234-8848 that migrant farmworkers and their families can call to obtain migrant education program services and for referrals to supportive services; (3) the Migrant Education Coordination Support Center, a logistical support contract to organize and implement effective meetings in support of national interstate coordination initiatives; and (4) the Migrant Student Information Exchange (MSIX) System, a records transfer system to facilitate the transfer of health and academic records of migrant children across states.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for interstate/intrastate coordination grants are consistent with 34 CFR 75. Incentive grant awards are made under a formula established in a Notice of Final Criteria published April 8, 1996, in the Federal Register at FR 15670.

**84.145 FEDERAL REAL PROPERTY ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF THE DEPUTY UNDER SECRETARY FOR HUMAN RESOURCES AND ADMINISTRATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, Section 203(k), as amended, Public Law 81-152, 63 Stat. 377, 40 U.S.C. 484(k); Department of Education Organization Act of 1979, Public Law 96-88, 93 Stat. 668, 20 U.S.C. 3401 et seq.

**OBJECTIVES:**

To convey surplus Federal Real Property for educational purposes at fair market value.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Must be used for education purposes including but not limited to higher education, elementary and secondary education, libraries, central administrative facilities, educational television and radio, rehabilitation and training, vocational education and research, correctional education centers.

**Applicant Eligibility:**

Those groups, organizations, entities, or institutions providing educational programs including: States; their political subdivisions and instrumentalities; and tax supported organizations or private nonprofit institutions held exempt from taxation under Section 501(C)(3) of the Internal Revenue Code of 1954 may apply.

**Beneficiary Eligibility:**

Program participants receiving educational opportunities will benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All potentially eligible entities are notified of the availability of property including State and local officials or any known educational entity authorized to operate within the general geographical area. Upon receipt of a notice of intent to file an application, a preapplication conference is possible. This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program.

**Application Procedure:**

Application guides and deadlines for filing applications are provided on a case by case basis. All applicants must demonstrate the legal, financial, and technical ability to conduct the educational programs proposed. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Written notification with follow-up issuance of formal transfer of title.

**Deadlines:**

Twenty days from notice of availability to express interest in acquiring the property; 25 days from close of the expression of interest period to develop and submit applications.

**Range of Approval/Disapproval Time:**

Thirty to 90 days for tentative decisions, after receipt of the application, and 90 to 360 days to the formal transfer of a title.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Recipient must cover all expenses for improvement, renovation, repair, maintenance, and operation of the program and facilities.

**Length and Time Phasing of Assistance:**

Up to 30 years. The fair market value (FMV) of the property is amortized over a period of time established based on the type of property acquired. Public benefit discount of the FMV is granted when public educational programs are being conducted.

**Reports:**

An annual written report of activities by the recipient.

**Audits:**

On-site audits are conducted during the period of restriction to assure operation as specified in the application and deed of transfer.

**Records:**

None.

**Account Identification:**

91-0800-0-1-503.

**Obligations:**

Funds are not separately identifiable.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Current active cases number about 800 with approximately ten transfers per year. Historically, the program has transferred over 2,000 parcels of various sizes with an acquisition value of \$1.17 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 34 CFR 12; Pamphlet: How to Acquire Surplus Federal Real Property for Educational Purposes; Guidelines: Application outline and preparation assistance can be obtained at the zone office level.

**Regional or Local Office:**

See Appendix IV of the Catalog for a list of regional offices.

**Headquarters Office:**

Federal Real Property Assistance Program, Office of the Administrator for Management Services, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Contact: David Hakola. Telephone: (202) 401-0500.

**Web Site Address:**

<http://www.ed.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Type of surplus facilities available range from improved or unimproved land in rural and urban settings (e.g., former Nike missile sites to total military bases such as former Air Force stations).

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution and its program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, not met needs, integrated research, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

**84.149 MIGRANT EDUCATION-COLLEGE ASSISTANCE  
MIGRANT PROGRAM**

(CAMP)

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 5, Section 418A, 20 U.S.C. 1070d-2.

**OBJECTIVES:**

To assist students that are engaged, or whose parents are engaged in migrant and other seasonal farmwork, and are enrolled or are admitted for enrollment on a full-time basis in the first academic year at an institution of higher education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Project funds may be used to provide supportive and instructional services, including tutoring and counseling services and assistance in obtaining student

financial aid (including stipends, tuition, and room and board) to first-year college students, assist those students in obtaining financial aid for their remaining undergraduate years, and provide follow-up services, such as monitoring and reporting students first year and subsequent year academic progress, and referrals to counseling services, academic assistance or financial aid.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

First-year college students that are engaged, or whose parents are engaged, in migrant and other seasonal farmwork or who have participated or been eligible to participate in the Title I, Migrant Education Program.

**Credentials/Documentation:**

To be eligible to participate in a CAMP project, the applicant must: (1) be enrolled or admitted for enrollment as a full-time student at a participating institution of higher education; (2) not be beyond the first academic year of a program of study at the institution of higher education, as determined under the standards of the institution; and (3) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to complete an academic program of study at the institution of higher education.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application forms are available from the Department of Education. An applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for possible selection for funding.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department of Education's Office of Migrant Education staff.

**Deadlines:**

Contact the Department of Education for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

None.

**Renewals:**

Grants are awarded for 5 years, subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months; funds are awarded for a 12-month budget period. Renewals are subject to the availability of funds and recipient performance.

**Reports:**

Annual continuation applications showing satisfactory performance are required each year, and a final performance report is required 90 days after project ends.

**Audits:**

In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate. If such entities are excluded, audits of these entities shall be made in accordance with statutory requirements and the provisions of 34 CFR 74.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for five years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$15,377,000; FY 08 est \$15,108,000; and FY 09 est \$15,108,000.

**Range and Average of Financial Assistance:**

The estimated average Federal contribution per student for FY 2008 is \$7,914. For FY 2008 the range of awards is expected to be \$200,000 to \$425,000; the average is expected to be \$410,000.



**PROGRAM ACCOMPLISHMENTS:**

In FY 2008 the program will serve approximately 1,943 students in 38 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 206.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: David De Soto. E-mail: david.de.soto@ed.gov. Telephone: (202) 260-8103; Toll-Free Telephone: (800) 872-5327.

**Web Site Address:**

<http://www.ed.gov/programs/camp/index.html>.

**RELATED PROGRAMS:**

84.011, Migrant Education\_State Grant Program; 84.042, TRIO\_Student Support Services; 84.047, TRIO\_Upward Bound; 84.141, Migrant Education\_High School Equivalency Program; 84.144, Migrant Education\_Coordination Program; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers.

**EXAMPLES OF FUNDED PROJECTS:**

Project funds are used to recruit potential participants and to provide services to students in such areas as: tutoring; academic, career, and personal counseling; health services; housing support; exposure to academic programs, cultural events, and other activities not usually available to migrant youth; and appropriate in-service training activities for project staff members.

**CRITERIA FOR SELECTING PROPOSALS:**

Program regulations (34 CFR 206) include the criteria for selecting proposals, as follows: Need for Project (15 points); quality of project design (20 points); quality of management plan (20 points); quality of project services (15 points); quality of project personnel (10 points); adequacy of resources (10 points); evaluation (10 points); prior experience (15 points).

**84.153 BUSINESS AND INTERNATIONAL EDUCATION PROJECTS****FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part B, Section 613, as amended.

**OBJECTIVES:**

To promote innovation and improvement in international business education curricula at institutions of higher education (IHEs) and promote linkages between IHEs and the business community.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Institutions eligible for discretionary grant funding must enter into an agreement with a business enterprise, trade organization or association engaged in international economic activity, or a combination or consortium of the named entities. Eligible activities include but are not limited to: Improving the business and international education curriculum of institutions to serve the needs of the business community, including the development of new programs for mid-career or part-time students; Developing programs to inform the public of increasing international economic interdependence and the role of U.S. businesses within the international economic system; Internationalizing curricula at the junior and community college level and at undergraduate and graduate schools of business; Developing area studies and interdisciplinary international programs; Establishing export education programs; Conducting research and developing specialized teaching materials appropriate to business-oriented students; Establishing student and faculty fellowships and internships or other training or research opportunities; Creating opportunities for business and professional faculty to strengthen international skills; Developing research programs on issues of common interest to IHEs and private sector organizations and associations engaged in or promoting international economic activity; Establishing internships overseas to enable foreign language students to develop their foreign language skills and knowledge of foreign cultures and societies; Establishing links overseas with IHEs and organizations that contribute to the education objectives of this program; and Establishing summer institutes in international business, foreign areas, and other international studies designed to carry out the purposes of this program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Accredited institutions of higher education may apply. Institutions must enhance their own international academic programs and provide appropriate services to the business community to expand U.S. exports abroad.

**Beneficiary Eligibility:**

Students and faculty at accredited institutions will benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the International Education Graduate Program Service. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants, developed according to procedures in regulations.

**Deadlines:**

Deadline for transmittal of proposals is announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

Project period may last up to 24 months. Applicants submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

The Federal share for each fiscal year shall not exceed 50 percent of the cost of each project.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12 or 24 month period. Renewals are subject to the availability of appropriations.

**Reports:**

Institutions must provide final reports upon completion of the program. Financial reports are also required.

**Audits:**

None.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request: (1) For three years after close of the fiscal year in which the grant was closed out; or (2) until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

FY 07 \$4,340,000; FY 08 \$4,141,000; and FY 09 est \$4,350,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$50,000 to \$110,000; the average award is \$82,000.

**PROGRAM ACCOMPLISHMENTS:**

Twenty-three new grants and 26 continuation grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 661, Education Department General Administrative Regulations. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5331. Contact: Tanyelle Richardson. Telephone: (202) 502-7626. E-mail: tanyelle.richardson@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsbie/>.

**RELATED PROGRAMS:**

84.220, Centers for International Business Education.

**EXAMPLES OF FUNDED PROJECTS:**

Projects to improve the teaching of international business and support linkages between institutions of higher education and the business community engaged in international commerce. Howard Community College's International Business and Education Center developed a one-stop shopping International Trade Assistance Center (ITAC) which promotes economic development in Howard County and the State of Maryland with Title VI funding. ITAC provides services to businesses in all phases of exporting. Furthermore, ITAC has partnered with several public entities, including Maryland's International Division, World Trade Center Institute and Howard County's Economic Development Authority and others. These partnerships enable ITAC to serve businesses and promote their capacity to sell its goods and services outside the United States. Moreover, the International Business and Educational Center

(IBEC) has launched major initiatives to internationalize both credit and non-credit courses at Howard Community College. These initiatives include international faculty exchanges. The first-hand experience enables faculty to enrich both the curriculum and the student awareness of international business issues. Purdue University's School of Agriculture trained twenty undergraduate students in agribusiness, Russian language and area studies. The students studied Russian language, area studies, agriculture and business practices in both Indiana and Novgorod, Russia. Each student collected and compiled market research for Indiana businesses and were involved in several trade workshops in Indiana to increase the capacity of Indiana agribusiness to conduct trade activities in Russia.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively under the selection criteria which includes: 35 CFR 661.31 and (a) Neef for the project (25 points); (b) plan of operation (20 points); (c) qualifications of the key personnel (10 points); (d) budget and cost effectiveness (15 points); (e) evaluation plan (25 points); and (f) adequacy of resources (5 points).

### **84.160 TRAINING INTERPRETERS FOR INDIVIDUALS WHO ARE DEAF AND INDIVIDUALS WHO ARE DEAF-BLIND**

#### **FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302(f), 29 U.S.C. 774 (d).

#### **OBJECTIVES:**

To support projects that increase the numbers and improve the skills of manual, oral, and cued speech interpreters providing services to individuals who are deaf and individuals who are deaf-blind.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants are awarded to eligible grantees to provide training for manual, tactile, oral and cued speech interpreters. This training may include classroom instruction, workshops, seminars, and field placement. Curriculum may include specialty areas such as interpreting in legal, medical, or rehabilitation settings or for deaf-blind, speech-impaired or developmentally disabled persons.

#### **Applicant Eligibility:**

Public or private nonprofit agencies and organizations, including institutions of higher education are eligible for assistance.

#### **Beneficiary Eligibility:**

Individuals preparing for employment as interpreters for individuals who are deaf and individuals who are deaf-blind who are presently serving as interpreters and wish to maintain or raise the level of their skills, and the persons who will receive the services of interpreters are beneficiaries of this program.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions applies.

#### **Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State; for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Application is made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725. This program is subject to the provisions of OMB Circular No. A-110.

#### **Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will include one or more nonfederal consultants with experience and training with interpreting for individuals who are deaf and individuals who are deaf-blind.

#### **Deadlines:**

Contact the headquarters office for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 120 to 160 days.

#### **Appeals:**

None.

#### **Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

#### **Formula and Matching Requirements:**

Grantees are required to share in the cost of projects with a portion subject to individual negotiations.

#### **Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, with budget periods of 12 months.

#### **Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

#### **Audits:**

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Proper records must be maintained for three years subsequent to audit or until all audit questions are resolved.

#### **Account Identification:**

91-0301-0-1-506.

#### **Obligations:**

(Grants and Contracts) FY 07 \$2,093,000; FY 08 est \$2,084,000; and FY 09 \$2,084,000.

#### **Range and Average of Financial Assistance:**

Project grants range from \$120,000 to \$160,000 in FY 08.

#### **PROGRAM ACCOMPLISHMENTS:**

Six awards were made in FY 07.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Training of Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind Regulations (34 CFR 385); (34 CFR 396); the Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, DC 20202-2736. Contact: Ruth Brannon, E-mail Address: ruth.brannon@ed.gov. Telephone: (202) 245-7278.

#### **Web Site Address:**

<http://www.ed.gov/students/college/aid/rehab/catinter.html>.

#### **RELATED PROGRAMS:**

84.129, Rehabilitation Long-Term Training.

#### **EXAMPLES OF FUNDED PROJECTS:**

The program supports regional interpreter training projects to provide training to interpreters. The national interpreter training projects are also supported to address the training of interpreters via distance education and the training of interpreter educators and mentors.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the project to the stated objectives of the interpreter training program. The number of trainees expected to be involved; demonstrated capacity or potential for providing interpreter training, the past record of existing training programs; and the geographical area expected to be served.

### **84.161 REHABILITATION SERVICES-CLIENT ASSISTANCE PROGRAM**

(CAP)

#### **FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title I, Part B, Section 112, 29 U.S.C. 732.

#### **OBJECTIVES:**

(1) To provide assistance in informing and advising clients and client applicants of available benefits under the Rehabilitation Act; (2) to assist and advocate for clients and client applicants in their relationships with projects, programs and services provided under this Act, including assistance and advocacy in pursuing legal, administrative and other appropriate remedies; (3) to provide information on available services under the Act and Title I of the Americans with Disabilities Act to any individual with disabilities in the State.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used for services to help clients and applicants understand the rehabilitation services available under the Rehabilitation Act, and to provide information to individuals with disabilities in the State. No class action suits are allowed.

**Applicant Eligibility:**

States and Territories (through the Governor) are eligible for awards. The Governor shall designate a public or private agency to conduct the State's program.

**Beneficiary Eligibility:**

Clients and client applicants receiving services or interested in seeking assistance under the Rehabilitation Act of 1973, as amended, will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency with approval of OMB under the Paperwork Reduction Act of 1980. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The Governor submits assurances that meet the requirements established under the Rehabilitation Act, as amended, and Federal regulations. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Notice of annual allotment to States, quarterly grant award notices and funds are withdrawn under the Electronic Transfer System or by Treasury check.

**Deadlines:**

Contact the headquarters office, RSA, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges (34 CFR 81).

**Renewals:**

None.

**Formula and Matching Requirements:**

In accordance with the Act Federal funds are distributed on the basis of the relative population of each State, except no State shall receive less than \$50,000, Territories \$30,000. When total funds available for this program exceed \$7,500,000, the minimum allotment is \$100,000 for States and \$45,000 for Territories. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Formula grants.

**Reports:**

Annual progress reports, expenditure reports, and quarterly cash reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Information on clients and client applicants served as cases should be maintained.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$11,782,000; FY 08 est \$11,576,000; and FY 09 est \$11,576,000.

**Range and Average of Financial Assistance:**

The awards ranged from \$119,554 to \$1,210,950 in FY 07.

**PROGRAM ACCOMPLISHMENTS:**

An estimated 56,800 clients were served in FY 07. The majority (or more than three-fourths) of individuals served were persons with disabilities who requested routine information or referral services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Client Assistance Program Regulations (34 CFR 370).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, DC 20202-2500 Contact: James Billy. E-mail: james.billy@ed.gov. Telephone: (202) 245-7273.

**Web Site Address:**

<http://www.ed.gov/programs/rsacap/index.html>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States;

84.128, Rehabilitation Services\_Service Projects; 84.132, Centers for Independent Living; 84.160, Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.177, Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.187, Supported Employment Services for Individuals with Significant Disabilities; 84.234, Projects with Industry; 84.240, Program of Protection and Advocacy of Individual Rights.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.165 MAGNET SCHOOLS ASSISTANCE

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title V, Part C, as amended, 20 U.S.C. 7231-7231j.

**OBJECTIVES:**

To provide grants to eligible local educational agencies (LEAs) or consortia of LEAs for use in magnet schools that are part of approved desegregation plans and that are designed to bring together students from different social, economic, racial, and ethnic backgrounds.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for planning and promotional activities directly related to the development, expansion, continuation, or enhancement of academic programs offered at magnet schools; for purchasing books, materials, equipment; and for paying or subsidizing the salaries of teachers and instructional staff in magnet schools. Funds may not be used for transportation or activities that do not augment academic improvement. No more than 50 percent of the funds an applicant receives in the first year of a grant may be used for planning. No more than 15 percent of the funds received for the second year may be used for planning, and no more than 10 percent in the third year. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEA) or consortia of LEAs that are implementing court-ordered or federally approved voluntary desegregation plans that include magnet schools are eligible to apply.

**Beneficiary Eligibility:**

Local educational agencies and participating students will benefit.

**Credentials/Documentation:**

Applicants must submit a copy of the desegregation plan they are implementing, or will implement, if assistance is made available. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application notices are published in the Federal Register and applications must be sent to the Education Department on or before the closing date. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Recommendations for the approval of applications are made by the program staff on the basis of published criteria, statutory priorities, State comments received under the E.O. 12372 process, and with the advice and assistance of a panel of reviewers. In addition, no application may be approved unless the Assistant Secretary for Civil Rights determines that all required assurance will be met.

**Deadlines:**

The closing date for the Magnet Schools Assistance Program is published in the Federal Register.

**Range of Approval/Disapproval Time:**

The range is anticipated to be 90 to 120 days from the closing date.

**Appeals:**

None.

**Renewals:**

The project period for a Magnet School award may not exceed 36 months. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the



availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length of grants will be up to 36 months, subject to the availability of funds.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. The program office will establish a due date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofits Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Section 443 of the General Education Provisions Act, as amended by the Improving America's Schools Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$106,693,000; FY 08 est \$104,829,000; and FY 09 est \$104,829,000.

**Range and Average of Financial Assistance:**

The range of awards is approximately \$350,000 - \$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Forty-one new awards were made in FY 2007. The next grant competition will be held in FY 2010, subject to the availability of funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information on regulations (34 CFR 280).

**Regional or Local Office:**

None.

**Headquarters Office:**

Magnet Schools Assistance Program, School Improvement Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202-6140. Contact: Steve Brockhouse. Telephone: (202) 260-2476. Internet: Steve.Brockhouse@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/magnet/index.html> .

**RELATED PROGRAMS:**

84.004, Civil Rights Training and Advisory Services.

**EXAMPLES OF FUNDED PROJECTS:**

The following are examples of the types of projects that have been funded: (1) Implementation of science and math magnet projects; (2) projects to support performing arts magnet programs at the elementary and secondary level; and (3) projects to support Montessori programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality criteria are used to evaluate the applicant's plan of operation; personnel; project design; budget and resources; evaluation plan; and commitment and capacity. Competitive priority is given to applicants that demonstrate the greatest need for assistance; that carry out new or significantly revised magnet schools; that select students to attend magnet schools through methods such as lottery, rather than academic examination; that implement innovative educational approaches consistent with approved State and local system reform plans; and that draw on comprehensive community involvement plans. For funds appropriated for the program in excess of \$75 million, competitive priority is given to those applicants that did not receive funds under the program in the last fiscal year of the previous funding cycle.

## 84.169 INDEPENDENT LIVING-STATE GRANTS

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part B, 29 U.S.C. 796a-796e-3.

**OBJECTIVES:**

To assist States in maximizing the leadership, empowerment, independence, and productivity of individuals with disabilities, and the integration and full inclusion of individuals with disabilities into the mainstream American society, by providing financial assistance for providing, expanding, and improving the provision of independent living services.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds received under this Part may be used to support the operation of the Statewide Independent Living Councils (SILC), States may also use funds received under this Part for one or more of the following purposes: to provide independent living services to individuals with significant disabilities; to

demonstrate ways to expand and improve independent living services; to support the operations of centers for independent living; to increase the capacities of public or nonprofit agencies and organizations and other entities to develop comprehensive approaches or systems for providing independent living services; to conduct studies and analyses, gather information, develop model policies and procedures, and present information, approaches, strategies, findings, conclusions, and recommendations to Federal, State, and local policymakers in order to enhance independent living services for individuals with disabilities; to train individuals with disabilities and individuals providing services to individuals with disabilities and other persons regarding the independent living philosophy; and to provide outreach to populations that are unserved or underserved by programs under this title, including minority groups and urban and rural populations.

**Applicant Eligibility:**

State agencies (including Territories) designated as the State unit to administer the State's independent living rehabilitation services program may apply.

**Beneficiary Eligibility:**

Individuals with significant physical, mental, cognitive, or sensory impairments.

**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. The match for this program may be in-kind. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

In order to be eligible for an allocation under this program, States must submit a State plan for independent living rehabilitation services (meeting requirements established under the Rehabilitation Act of 1973, as amended) no later than July 1, of the year preceding the year for which the plan is submitted. Beginning in fiscal year 1996, State applicants must submit a 3-year State plan. This plan must be submitted not later than July 1, of the year preceding the first year of the forth coming 3-year period. The plan is updated whenever necessary to reflect a material change in the administration of the plan. The State may choose to submit a consolidated 3-year rehabilitation plan that includes independent living rehabilitation services and either vocational rehabilitation services or both the State's rehabilitation plans and the State's plan for services for persons with developmental disabilities developed under the Developmental Disabilities Act. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

A notice of annual allotment to the State is issued. Initial distributions are subject to reallocation at the end of the fiscal year. States receive annual grant award notices and funds may be withdrawn under the Electronic Transfer System.

**Deadlines:**

Three-year State plans for independent living rehabilitation services are submitted for approval no later than July 1, of the third year of each 3-year cycle.

**Range of Approval/Disapproval Time:**

The range has not been specified.

**Appeals:**

After reasonable effort has been made to resolve the questions involved, the State may appeal to the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Awards are made on an annual basis and may be renewed for up to two additional years, for a total of three years under an approved State Plan for Independent Living.

**Formula and Matching Requirements:**

Federal funds are distributed based on the percentage each State's population constitutes of the total population of the United States. The source is the Population Estimates Annual, Bureau of the Census. The Federal share for any fiscal year is one State dollar for every Federal dollar. The State contribution may be cash or in-kind.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR 76). Performance reports are required annually.

**Audits:**

The Education Department periodically conducts audits and site visits of designated State unit programs funded under Part B. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 30, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities

that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$22,588,000; FY 08 est \$22,193,000; and FY 09 est \$22,193,000.

**Range and Average of Financial Assistance:**

The average award was \$428,000 in FY 2007.

**PROGRAM ACCOMPLISHMENTS:**

Funds were awarded to 78 designated State units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Independent Living Regulations 34 CFR 364 and 365.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Special Education and Rehabilitative Services, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Thomas Kelley. E-mail: thomas.kelley@ed.gov. Telephone: (202) 245-7404.

**Web Site Address:**

<http://www.ed.gov/programs/rsailstate/index.html>.

**RELATED PROGRAMS:**

84.132, Centers for Independent Living; 84.177, Rehabilitation Services Independent Living Services for Older Individuals Who are Blind.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

An approved State plan is a condition for receipt of funds under Title VII, Part B of the Rehabilitation Act.

## 84.170 JAVITS FELLOWSHIPS

**FEDERAL AGENCY:**

OFFICE FOR POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VII, Part A, Subpart 1, as amended, 20 U.S.C. 1134-1134d.

**OBJECTIVES:**

To provide fellowships for graduate study in the arts, humanities, and social sciences to individuals of superior ability selected on the basis of demonstrated achievement, financial need, and exceptional promise. Fellowships are awarded to students intending to pursue a doctoral degree and may be awarded to students pursuing a master's degree in those fields in which the master's degree is commonly accepted as the terminal degree.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

A recipient is entitled to use the fellowship in a graduate program at any accredited institution of higher education in which the recipient may decide to enroll. For each fellowship awarded, the institution receives an institutional allowance determined in accordance with the statutory formula in Section 703 of the Higher Education Act of 1965, as amended. The student receives a stipend set at the level of support based on that provided by the National Science Foundation graduate fellowships. No stipend may exceed the Fellow's demonstrated level of need according to measurements of need set forth in Part F of Title IV of the Higher Education Act. An individual receives payments only during the periods that he or she maintains satisfactory progress in his or her program of study and devotes essentially full time to study or research in the field in which the fellowship was awarded.

**Applicant Eligibility:**

Eligibility is limited to U.S. citizens or nationals, permanent residents of the United States, and citizens of any one of the Freely Associated States. Applicants must be enrolled or eligible to be enrolled in a graduate program in an approved field of study at an accredited institution of higher education. A minimum of sixty percent of these new fellowships shall be awarded to applicants in the humanities, twenty percent to applicants in the social sciences, and twenty percent to applicants in the arts.

**Beneficiary Eligibility:**

Citizens and nationals of the United States, permanent residents of the United States, and citizens of any one of the Freely Associated States.

**Credentials/Documentation:**

Regulations were published in the Federal Register on January 19, 1998. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted in accordance with the notice of closing date published in the Federal Register. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Education Department will make awards in accordance with the criteria established by the Javits Fellowship Board. Contact the program office for additional information.

**Deadlines:**

Published in the Federal Register. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

Requests for continuation of support are made on an annual basis by the institution at which the fellow is pursuing graduate study, but may not exceed 48 months. Continuation awards are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length of the grant is one year, but renewable for up to a total of 48 months, subject to the availability of appropriations.

**Reports:**

Certification from an appropriate official at an institution of higher education approved by the Secretary, stating that the fellow is making satisfactory progress and has devoted essentially full time to study or research in the field in which the fellowship was awarded.

**Audits:**

Fiscal records of institutions administering funds are subject to audit by the Education Department at any time within 5 years after the close of the fiscal year in which expenditures are liquidated.

**Records:**

All records bearing on the receipt and expenditure of funds under this program must be available for inspection by the Education Department. Records must be held for three years after the fiscal year in which expenditures are liquidated, or five years after the grant, or until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$9,699,030; FY 08 est \$9,529,558; and FY 09 est \$9,844,000.

**Range and Average of Financial Assistance:**

In FY 08, the fellowship stipend awards averaged \$30,000. The new institutional allowance covering tuition and fees was \$13,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 220 fellowships were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Javits Fellowship Program regulations are found at 34 CFR 650. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education and Graduate Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Contact: Carmen Gordon. E-mail Address: Carmen.Gordon@ed.gov. Telephone: (202) 219-7138.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsjavits/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Fellowships are made in the following areas: arts, humanities, and social sciences.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Fellowship Board. Fellowship applications are evaluated based on scholarly achievements, including Graduate Record Examination (GRE) scores on the general test only if applying in the humanities, social sciences, multi- or interdisciplinary fields of art history or creative writing; awards; honors; narratives describing personal goals; and three letters of recommendation.

## 84.173 SPECIAL EDUCATION-PRESCHOOL GRANTS

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part B, Section 619, as amended, 20 U.S.C. 1419.

**OBJECTIVES:**

To provide grants to States to assist them to make available special education and related services for children with disabilities ages 3 through 5 years, and at a State's discretion, to 2 year old children with disabilities who will reach age three during the school year.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are used by State education agencies: (1) to provide a free appropriate public education (FAPE) to preschool children with disabilities ages 3 through 5, and at the State's discretion, to 2-year old children with disabilities who will reach age 3 during the next school year; (2) to administer section 619; and (3) for support services, direct services, activities to meet the State's performance goals, to supplement other funds used for a Statewide coordinated service system designed to improve results for children and families, to provide early intervention services in accordance with Part C to children ages 3 through 5 who would otherwise be eligible under the Preschool Grants program, and to continue service coordination or case management for families who receive services under Part C.

**Applicant Eligibility:**

State education agencies in the 50 States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

Children aged 3 through 5 with disabilities, and (at the State's option) 2-year old children that will reach age 3 during the school year, that require special education and related services will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

There is no separate application required for this program. States are eligible to receive Preschool Grant funds if the State education agency establishes eligibility under section 612 of the IDEA and if the State makes free appropriate public education available to all children ages 3 through 5 with disabilities. This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the Secretary has approved the application and statement of assurances for that State as provided under Section 612 of Part B of the IDEA and if the State makes a free appropriate public education available to all children ages 3 through 5 year with disabilities residing in the State. Local education agencies establish eligibility for Preschool Grant funds by meeting local application requirements in section 613 of Part B of the IDEA. A single application is required for programs funded under Part B of the IDEA, including this program.

**Award Procedure:**

Once the State application is approved, a grant award representing the total preschool grant amount for that fiscal year is forwarded to the State's department of education. A State must serve all 3 through 5- year old children with disabilities if the State wants to continue participating in this program, as well as to receive funds for children ages 3 through 5 served under the Grants to States program.

**Deadlines:**

To expedite funding, the submission date is set for April 1. However, applications or amendments are accepted throughout the period of availability of Federal funds (15 months following July 1st of the fiscal year).

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department shall not take any final action until the State is provided reasonable notice and an opportunity to submit written objections and opportunity for a hearing.

**Renewals:**

None.

**Formula and Matching Requirements:**

Preschool Grants are awarded to States based on a statutory formula. A State first receives the amount it received under this program in federal fiscal year 1997. If the appropriation for this program in any subsequent fiscal year exceeds the amount for the preceding fiscal year, 85 percent of the excess appropriation over the fiscal year 1997 appropriation is awarded to States based on their relative populations of children aged 3 through 5, and 15 percent of the excess appropriation is awarded based on the State's relative population of all children aged 3 through 5 living in poverty. The formula also provides several floors and ceilings regarding the amount a State can receive in a year. The Act

also specifies how funds are allocated when the appropriation is less the amount provided in the prior fiscal year.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. State and local education agencies have an additional 12-month period to obligate their funds.

**Reports:**

Annual State Performance Plans (SPPs) and Annual Performance Reports (APRs) are submitted to the Department of Education from the State department of education, including information required by section 618 of the IDEA.

**Audits:**

In accordance with the provisions of OMB Circular No A-133 (Revised, June 27, 2003), audits of States, local governments, and non-profit organization, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$380,751,000; FY 08 est \$374,099,280; and FY 09 est \$374,099,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$240,249 to \$37,840,710; the average award is expected to be \$7,194,217.

**PROGRAM ACCOMPLISHMENTS:**

All State agencies, Puerto Rico, and the District of Columbia received funding under this program. In FY 2008, 728,700 children with disabilities ages 3 through 5 are expected to be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations were published in the Federal Register on August 14, 2006 at 34 CFR 300, to implement the Individuals with Disabilities Education Improvement Act of 2004. Also, a notice of proposed rulemaking was published on May 13, 2008 proposing additional amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Nancy Treusch, E-mail: nancy.treusch@ed.gov. Telephone (202) 245-7553.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/programs.html>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.181, Special Education-Grants for Infants and Families.

**EXAMPLES OF FUNDED PROJECTS:**

Federal funds are combined with State and local funds to provide a free appropriate public education to children with disabilities. This includes special education and related services. Funds are used for salaries of teachers and other personnel, educational materials, related services -- such as speech or occupational therapy -- and other education-related needs.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants eligible to participate in the program qualify for funding based upon a approved application under section 612 of the Individuals with Disabilities Education Act and that they provide a free appropriate public education to all children with disabilities ages three through five. The criteria for approving an application appear in the regulations implementing Part B of the Individuals with Disabilities Education Act.

**84.177 REHABILITATION SERVICES-INDEPENDENT LIVING SERVICES FOR OLDER INDIVIDUALS WHO ARE BLIND**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 2, 29 U.S.C. 796j-7961.

**OBJECTIVES:**

To provide independent living services to individuals aged 55 or older who are blind, whose severe visual impairments make competitive employment extremely difficult to obtain, but for whom independent living goals are feasible.

**TYPES OF ASSISTANCE:**



Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal funds are used to improve or expand independent living services. Among the services provided are those to help correct or modify visual disabilities, provide eyeglasses and other visual aids, provide services and equipment to enhance mobility and self-care, provide training in Braille and other services to help older individuals who are blind adjust to blindness, provide teaching services in daily living activities, and other supportive services that enable individuals to live more independently. Funds can also be used to improve public understanding of the problems faced by visual older individuals who are blind.

**Applicant Eligibility:**

Any State agency (including territories/possessions designated by the State as the State agency) authorized to provide rehabilitation services to blind individuals may apply.

**Beneficiary Eligibility:**

Individuals aged 55 or older whose severe visual impairments make gainful employment extremely difficult to obtain but for whom independent living goals are feasible and beneficial.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Any application for a grant must contain assurances that the designated State unit will seek to incorporate any new methods and approaches relating to services for older individuals who are blind into the State plan for Independent Living Services. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS, based on a review of findings of Federal and nonfederal reviewers.

**Deadlines:**

Contact the headquarters office for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards are made on an annual basis. Projects may be continued for up to 4 additional years based on annual review of accomplishments, submittal of a continuation application, and the availability of funds. Renewals are available only through the new application process.

**Formula and Matching Requirements:**

Cost-sharing of \$1 for each \$9 of Federal grant funding is required.

**Length and Time Phasing of Assistance:**

Projects in fiscal year are generally approved for a period of up to five years with funding approved on a 12 month basis. Renewals are subject to availability of appropriations.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$32,895,000; FY 08 est \$32,320,000; and FY 09 est \$32,320,000.

**Range and Average of Financial Assistance:**

The average State award was \$623,000 in FY 07.

**PROGRAM ACCOMPLISHMENTS:**

Funding was received by 56 projects in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 752 of the Rehabilitation Act, as amended, and 34 CFR 367, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS 400 Maryland Ave., S.W., Rm. 5057, PCP, Washington, DC 20202. Contact: Thomas Kelley. E-mail: thomas.kelley@ed.gov. Telephone: (202) 245-7404.

**Web Site Address:**

<http://www.ed.gov/programs/rsailob/index.html> .

**RELATED PROGRAMS:**

84.132, Centers for Independent Living; 84.169, Independent Living\_State Grants; 84.240.

**EXAMPLES OF FUNDED PROJECTS:**

Projects have extended services to subgroups of the older blind population that are vulnerable to premature or unnecessary institutionalization as well as to older deaf-blind persons. These projects provide services in both rural and urban areas and about half of the grantees make subgrants to community nonprofit agencies to deliver services. In addition to in-home and/or facility-based service provisions, mobile units and community minicenters are available near the residences of persons being served. All projects provide comprehensive independent living services.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program are extent of need for the project, plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, adequacy of resources, service comprehensiveness, and likelihood of sustaining program. Criteria for selecting projects are published in program regulation at 34 CFR 367.

**84.181 SPECIAL EDUCATION-GRANTS FOR INFANTS AND FAMILIES**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part C, as amended, 20 U.S.C. 1431-1444.

**OBJECTIVES:**

To provide grants to States to assist them to implement and maintain a Statewide, comprehensive, coordinated, multidisciplinary, interagency system to make available early intervention services to infants and toddlers with disabilities and their families.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are used to assist States in implementing and maintaining their Statewide systems of early intervention services. Funding may also be used to provide direct services for eligible infants and toddlers with disabilities aged birth through 2 and their families that are not otherwise provided by other public or private sources, to expand and improve services for infants and toddlers with disabilities that are otherwise available and to provide a free appropriate public education, in accordance with Part B of IDEA, to children with disabilities from their third birthday to the beginning of the following school year. States also have the discretion to provide services to infants and toddlers who are at risk of having substantial developmental delays if they do not receive appropriate early intervention services. The Individuals with Disabilities Education Improvement Act of 2004 amended IDEA to allow states, at their discretion, to continue to serve children with disabilities under this program beyond age 2 until the children enter or are eligible to enter kindergarten or elementary school, if the children are otherwise eligible for services under the Preschool Grants Program (84.173), and previously received services under this program.

**Applicant Eligibility:**

The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Secretary of the Interior and the following jurisdictions: Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Infants and toddlers with disabilities aged birth through 2 and their families will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, or Indian tribal governments. No State or jurisdiction may receive a grant unless the Secretary has approved the application and statement of assurances for that State.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required

by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Specific application procedures are provided in the application form for the program. This program is excluded from coverage under OMB Circular No. A-110. The State lead agency, the applicants for this program, are designated by the Governor.

**Award Procedure:**

Once the State application is approved, a grant award representing the total State allocation is forwarded to the State lead agency.

**Deadlines:**

To expedite funding, the submission date for applications is set for April 1. However, applications or amendments are accepted throughout the period of availability of Federal funds (15 months following July 1st of the fiscal year).

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department may not disapprove such an application unless the Department determines, after notice and opportunity for a hearing, that the application, including the statement of assurances, fails to comply with the requirements of Section 637.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Awards are based on each applicants proportionate share of children, aged birth through two years, in the general population, based on the most recent satisfactory data available from the United States Bureau of the Census. No State receive less than 0.5 percent of the funds available for all States. The Department of Interior receives 1.25 percent of the amount available to States. The Outlying Areas receive up to 1 percent of the funds appropriated.

**Length and Time Phasing of Assistance:**

Grants are issued each year. The Federal obligation period is a 15-month period from July 1 through September 30 of the following fiscal year. State and local education agencies have an additional 12-month period to obligate their funds.

**Reports:**

An annual report to the Governor and to the Secretary by the State Interagency Coordinating Council on the status of early intervention programs operated within the State as required under Section 641(e)(1)(D) of the Act, and other information that the Secretary may require, including information required under Section 618 of the Act. Annual State Performance Plans and Annual Performance Reports are submitted to the Department of Education by the lead agency on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its contractors must retain records related to grant funds and compliance for a period of 5-years.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$436,400,000; FY 08 est \$435,653,802; and FY 09 est \$435,654,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$2,135,000 to \$53,978,000; the average award is expected to be \$8,213,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 313,600 infants and toddlers with disabilities are expected to be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations were published in the Federal Register on June 1, 1998, at CFR Part 303. A notice of proposed rulemaking was published on May 9, 2007, to implement Part C of the Individuals with Disabilities Education Improvement Act of 2004.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Ruth Ryder, E-mail: ruth.ryder@ed.gov. Telephone: (202) 202-245-7629.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/programs.html>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

Funds are used to implement and maintain statewide systems of early intervention services, provide direct services that are not otherwise provided by other public or private sources, and to expand or improve services that are otherwise available.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants eligible to participate in the program qualify based on an approved application under Part C of the IDEA.

**84.184 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES-NATIONAL PROGRAMS**

**FEDERAL AGENCY:**

OFFICE OF SAFE AND DRUG-FREE SCHOOLS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title IV, Part A, Subpart 2, as amended, Sections 4121, 4122, 4129, and 4130, 20 U.S.C. 7131, 7132, 7139, and 7140.

**OBJECTIVES:**

To enhance the Nation's efforts to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students at all educational levels; and to support mentoring programs for at-risk children.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects funded under this program support alcohol abuse reduction, mentoring drug and violence prevention and education, and school emergency preparedness activities. The Secretary may fund applications that address specific priorities and requirements published in the Federal Register. Maintenance of effort provisions apply to local educational agencies (LEAs); an LEA may receive a grant only if its State educational agency finds that either the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year. All grantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

Public and private organizations, and individuals.

**Beneficiary Eligibility:**

Higher education institutions, State educational agencies (SEAs), Local educational agencies (LEAs), and nonprofits will benefit, as will students, teachers, and parents.

**Credentials/Documentation:**

Contact the headquarters for credential/documentation requirements.

**Preapplication Coordination:**

Preapplications are not required under this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive peer review of applications, the Department of Education makes the final decision on the approval and funding of applications.

**Deadlines:**

Deadlines are published in the Federal Register; contact the headquarters office for application deadlines and instructions.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove an application is five months following the application deadline date.

**Appeals:**

None.

**Renewals:**

Contingent upon the availability of funding and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements.

**Length and Time Phasing of Assistance:**

Grants will be made for a period of 12 to 48 months. Renewals are subject to the availability of funds.

**Reports:**

Specified reporting requirements are included in the grant, cooperative

agreement or contract document.

**Audits:**

Audit requirements are found in Part 74 of EDGAR.

**Records:**

As required by EDGAR, 34 CFR 75.730-734.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Grants) FY 07 \$230,929,000; FY 08 est \$218,632,000; and FY 09 est \$181,963,000.

**Range and Average of Financial Assistance:**

Not available -- varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 the Department made 655 new or continuation grant awards to local educational agencies, institutions of higher education, and private organizations. In FY 2008, approximately 647 awards are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in the Department of Education's General Administrative Regulations (34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 299).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Safe and Drug-Free Schools, Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202-6123. Contact: William Modzeleski. E-mail: William.Modzeleski@ed.gov. Telephone: (202) 260-3954.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osdfs/programs.html#state>.

**RELATED PROGRAMS:**

84.186, Safe and Drug-Free Schools and Communities\_State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Projects that develop and implement a "Safe Schools/Healthy Students" model designed to comprehensively address multiple factors that predispose youth to drug use and violence. Project that support local educational agencies and higher education institutions in improving and refining their emergency management plans. Projects to reduce alcohol use by high school students. Mentoring programs for children who are at risk of educational failure, dropping out of school, or involvement in criminal or delinquent activities, or who lack strong role models. Projects that develop, improve, expand, or enhance the collection of data related to youth drug use and violence, and develop and implement processes to ensure that high-quality data are used to inform policy, assess needs, select interventions, and assess success of drug and violence prevention activities funded under the SDFSCA State Grants Program. Drug and violence prevention programs for college students.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Need for the project; (2) significance; (3) quality of project design; (4) adequacy of resources; (5) quality of the management plan; and (6) quality of project evaluation.

## 84.185 BYRD HONORS SCHOLARSHIPS

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 6, as amended, 20 U.S.C. 1070d-31-1070d-41.

**OBJECTIVES:**

To provide scholarships to support postsecondary education to outstanding high school seniors who show promise of continued academic achievement in an effort to recognize and promote student excellence and achievement.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Scholarships of \$1,500 are awarded to support a maximum of 4 years of study at any eligible institution of higher education.

**Applicant Eligibility:**

The State educational agencies (SEA), which supervise public elementary and secondary schools in the States, are responsible for administering the program. For the purposes of this program, the States include the fifty States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, Guam, and Palau.

**Beneficiary Eligibility:**

A student must meet residency and citizenship requirements, be a graduate of a public or private secondary school or have been accepted for enrollment at an institution of higher education, have demonstrated outstanding academic achievement, and show promise of continued academic achievement to be eligible to receive a scholarship.

**Credentials/Documentation:**

To receive allotments for scholarships, a State must submit a participation agreement to the Department of Education as required by Section 419E of the

program statute. A State is not required to provide further application information for funding unless the State wants to modify an approved agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Annual allotments are provided through grant awards to the State educational agencies for making scholarships to qualifying students. Students apply to their State of legal residence for a scholarship under this program. Student applicants must follow the application procedures as directed by each State. Each participating State awards scholarships to eligible students in accordance with selection procedures developed by the State.

**Deadlines:**

Grant awards to States for scholarships are made in time for the States to make scholarship payments before the end of the secondary school academic year. Students must submit an application according to the deadlines established by each participating State.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

To be eligible for allotments for any year, States must enter into an agreement with the Department of Education in accordance with Section 419E of the program statute and the program requirements for the year as published in the Federal Register by the Secretary. To be eligible for renewal of scholarships, students must continue to meet residency and citizenship requirements, be enrolled as a full-time student, and maintain satisfactory academic progress. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Each participating State is allotted funds based on the ratio of the State's population ages five through seventeen years to the population ages five through seventeen in all participating States, except that no State shall receive less than 10 scholarships of \$1,500 each.

**Length and Time Phasing of Assistance:**

Awards may be made for up to four years. Renewals are subject to the availability of appropriations.

**Reports:**

An annual performance report of the expenditure of Scholarship funds and other reports as required by the Secretary.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 5 years after the activity for which the funds were awarded or until completion of the Department Audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$40,590,000; FY 08 est \$40,283,730; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 08, scholarships to individuals were \$1,500.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, all 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, Guam, Palau, the Federated States of Micronesia, and the Republic of the Marshall Islands are eligible to participate in this program. In FY 08, approximately 27,000 students received \$1,500 in scholarships.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 654 (Program Regulations) published in the Federal Register on August 11, 1993, fact sheet, program description, and Directory of State Agency Official Contacts (current). Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Higher Education Programs, 400 Maryland Avenue, S.W., Washington, DC 20024-5251. Contact: Darryl Davis. E-mail: darryl.davis@ed.gov. Telephone: (202) 502-7657.

**Web Site Address:**

<http://www.ed.gov/programs/idadesbyrd/>.

**RELATED PROGRAMS:**

None.



**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.186 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES-STATE GRANTS****FEDERAL AGENCY:**

OFFICE OF SAFE AND DRUG-FREE SCHOOLS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title IV, Part A, Subpart 1, as amended. 20 U.S.C. 7111-7117.

**OBJECTIVES:**

To offer a disciplined environment conducive to learning, by preventing violence in and around schools and strengthen programs that prevent the illegal use of alcohol, tobacco, and drugs, involve parents, and are coordinated with related Federal, State, and community efforts and resources.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Drug prevention programs must convey a clear and consistent message that the illegal use of alcohol and other drugs is wrong and harmful. Generally, funds under the program may not be used for construction, medical services, or drug treatment or rehabilitation. This program is subject to maintenance of effort requirements. In addition, grantees and subgrantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

State Departments of Education; State Governors; State educational agencies (SEAs), Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern, Mariana Islands may apply. Organizations primarily serving and representing Native Hawaiians for the benefit of Native Hawaiians may also apply under a designated grant competition.

**Beneficiary Eligibility:**

Governors' offices, SEAs, LEAs, Insular Areas, Tribal governments, and other public and private nonprofit organizations (including parent groups, community action agencies, and other community-based organizations); American Indians and Native Hawaiians; and students and teachers in public and private schools in each State.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information or the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Each State must submit to the Department of Education an application covering a 5-year period which is amended as needed.

**Award Procedure:**

Applications from States are reviewed for compliance with the statute. If it is determined that the application meets the statutory requirements, the Assistant Deputy Secretary awards the State its allotment. For Native Hawaiians program, peer reviewers recommend grantees based on the quality of applications submitted.

**Deadlines:**

Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove a State's application is approximately sixty days. For Native Hawaiians Program, approximately sixty days are needed to review and award grants after receipt of application.

**Appeals:**

Not applicable.

**Renewals:**

State applications are amended as needed. Awards are generally made effective July 1 of each calendar year. For Native Hawaiians Program, continuation grants are negotiated at the time of initial award.

**Formula and Matching Requirements:**

The statutory formula used to determine each State's allotment is authorized by Title IV, Part A, Subpart 1, Elementary and Secondary Education Act, as amended (ESEA). This program has maintenance of effort requirements; see funding agency for further details. From the total appropriation, 1 percent or \$4.75 million (whichever is greater) is reserved for the Outlying Areas, 1 percent or \$4.75 million (whichever is greater) is reserved for the Bureau of Indian Affairs for programs for Indian youth, and 0.2 percent is reserved for programs for Native Hawaiians. The Department allocates the remaining funds by formula to States, half on the basis of school-aged population and half on the basis of

State shares of ESEA Title I Concentration Grants funding for the previous year, provided that no State receives less than the greater of: (1) one-half of 1 percent of the total, or (2) the amount it received under the program in fiscal year 2001. Of each State's allocation, the Governor may elect to administer up to 20 percent of the funds; the remainder is administered by the State educational agency. The SEA must subgrant at least 93 percent to LEAs. LEA allocations are based 60 percent on ESEA Title I Concentration Grant funding for the preceding year and 40 percent on enrollment.

**Length and Time Phasing of Assistance:**

Generally, State awards are made from July 1 of one year to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. Grantees draw down funds electronically as needed.

**Reports:**

A report on the programs funded by the State, is required by Section 4117 of the Act. Financial and performance reports are required in accordance with 34 CFR 76.720, 80.40, and 80.41. For Native Hawaiians programs, financial and performance reports are required in accordance with 34 CFR 74.51, 74.52, and 75.720.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 34 CFR 76.730, grantees must maintain appropriate records related to grant funds, compliance, and project performance for three years after the completion of activity for which the grant or subgrant funds were used that are sufficient to establish fiscal accountability and to facilitate an effective audit. For Native Hawaiians program, records retention and access requirements are in accordance with 34 CFR 74.53 and 75.730-732.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Grants) FY 07 \$346,500,000; FY 08 est \$294,759,000; and FY 09 est \$100,000,000.

**Range and Average of Financial Assistance:**

Awards ranged from \$1,423,000 to \$35,162,000; \$5,473,000 (FY 08).

**PROGRAM ACCOMPLISHMENTS:**

Awards have been made for programs that help create safe and drug-free learning environments for children to all 50 States, the outlying areas, and the BIA, and to Native Hawaiian organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grants program is governed by the Statute, EDGAR (34 CFR 76, 77, 79, 80, 81, 82, and 85) and non-regulatory guidance. In addition, 34 CFR 98 and 99 apply to this program. The administration of the Native Hawaiians program is governed by the Statute and EDGAR (34 CFR 74, 75, and 77).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, S.W., Room 3E314, Washington, DC 20202-6123. Contact: Paul Kesner, Telephone: (202) 205-8134. E-mail: paul.kesner@ed.gov.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osdfs/programs.html#state>.

**RELATED PROGRAMS:**

84.184, Safe and Drug-Free Schools and Communities\_National Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Drug and violence prevention activities such as developing instructional materials; professional development programs for school personnel; community service projects; conflict resolution, peer mediation, mentoring, and character education; establishing safe zones of passage for students to and from school; acquiring and installing metal detectors; hiring security personnel; student instruction; parent education and involvement; student assistance programs, including counseling, identification, and referral services; and strengthening readiness and emergency management planning efforts.

**CRITERIA FOR SELECTING PROPOSALS:**

States receive formula grants based upon the submission of an approvable application. For Native Hawaiians program direct grant awards are made through a peer review process where applications are selected based on quality.

**84.187 SUPPORTED EMPLOYMENT SERVICES FOR INDIVIDUALS WITH SIGNIFICANT DISABILITIES**

(Supported Employment State Grants)

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VI, Part B.

**OBJECTIVES:**

To provide grants for time limited services leading to supported employment for individuals with the most severe disabilities to enable such individuals to achieve the employment outcome of supported employment.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal funds are used to: (1) complement services under Title I of this Act; (2) provide skilled job trainers who accompany the worker for intensive on-the-job training; (3) provide systematic training; (4) provide job development; (5) provide follow-up services; (6) provide regular observation or supervision at training sites; and (7) provide other services needed to support an individual in employment. Funds may not be used to provide the required extended services once an individual transitions from the time limited services provided under VI-C.

**Applicant Eligibility:**

State vocational rehabilitation agencies (including territories and possessions) designated in the State plan to administer the Vocational Rehabilitation Program.

**Beneficiary Eligibility:**

Individuals with the most severe disabilities whose ability or potential to engage in a training program leading to supported employment has been determined by evaluating rehabilitation potential. In addition, individuals must need extended services in order to perform competitive work and have the ability to work in a supported employment setting.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

Each State agency must submit a State plan supplement as part of the State plan under Title I of the Rehabilitation Act. Vocational rehabilitation agencies submit the State Plan and supplement to RSA. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Notice of annual allotment to the State, annual grant award notice, and funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

A State plan supplement to the State plan for vocational rehabilitation services is submitted to the RSA for approval by July 1 of each year.

**Range of Approval/Disapproval Time:**

State plans must be approved within 90 days of being submitted to RSA.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Federal funds are distributed based on the U.S. total populations and State population and the source is the Population Estimates Annual, Bureau of the Census. No State shall receive less than \$300,000 or one-third of one percent of the sums made available for the fiscal year, whichever is greater. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Notice of annual allotments to the State, annual grant awards are made and funds are withdrawn under the Electronic Transfer System.

**Reports:**

Annual and quarterly progress reports and annual budget and quarterly financial status reports (Standard Form 269) are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records on individual consumers, fiscal records for a prescribed period for audit purposes and retention of records for three years are required.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$29,700,000; FY 08 est \$29,181,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 2008, formula grant awards ranged from \$36,476 to \$2,996,357.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Supported Employment Services for Individuals with the most Significant Disabilities (34 CFR 363).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: Carol Dobak, E-mail: carol.dobak@ed.gov. Telephone: (202) 245-7325.

**Web Site Address:**

<http://www.ed.gov/programs/rsasupemp/index.html>.

**RELATED PROGRAMS:**

53.001, Employment Promotion of People with Disabilities; 64.007, Blind Rehabilitation Centers; 64.013, Veterans Prosthetic Appliances; 64.116, Vocational Rehabilitation for Disabled Veterans; 84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128, Rehabilitation Services\_Service Projects; 84.132, Centers for Independent Living; 84.160, Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161, Rehabilitation Services\_Client Assistance Program; 84.169, Independent Living\_State Grants; 84.177, Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable (Catalog users should contact the State Vocational Rehabilitation agency for criteria).

**84.191 ADULT EDUCATION-NATIONAL LEADERSHIP ACTIVITIES****FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Adult Education and Family Literacy Act, Section 243, as amended, Public Law 105-220, 20 U.S.C. 1213-1213d.

**OBJECTIVES:**

To support applied research, development, demonstration, dissemination, evaluation, and related activities that contribute to the improvement and expansion of adult basic education nationally.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

To support projects for the improvement and expansion of adult basic education nationwide. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Postsecondary education institutions, public or private agencies or organizations, or consortia of these institutions, agencies, or organizations are eligible.

**Beneficiary Eligibility:**

Basic education and literacy programs for adults seeking to obtain an education at the primary or secondary levels will benefit through national evaluation, leadership and/or technical assistance efforts.

**Credentials/Documentation:**

Legal signature by a designated official on the application or proposal. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed when applying for a competitive grant.

**Application Procedure:**

Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines which are published in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Proposals or applications are reviewed in accordance with regulations for the Adult Education Act. After negotiation, a notification for award is sent to the successful recipient.

**Deadlines:**

Requests for proposals for contract competitions are published in the Commerce Business Daily. Grant proposals deadlines are published in the Federal Register. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funding will usually cover a 12 to 18-month period.

**Reports:**

Financial status and performance reports required by the Education Department General Administrative Regulations, 34 CFR 75.720. Specific reporting requirements are contained in the award document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonprofit organizations shall have an audit made in accordance with OMB Circular No. A-110.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

FY 07 \$9,005,000; FY 08 est \$6,878,000; and FY 09 est \$14,000,000.

**Range and Average of Financial Assistance:**

Varies considerably by project.

**PROGRAM ACCOMPLISHMENTS:**

Projects supported by this program will generate reports of use to practitioners, researchers, and policy makers and will provide technical assistance to adult education programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are found in 34 CFR 460 and 34 CFR 75.730-75.734.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

U.S. Department of Education, OVAE Division of Adult Education and Literacy 400 Maryland Ave., S.W., Washington, DC 20202-7240. Contact: Christopher Coro, E-mail: christopher.coro@ed.gov. Telephone: (202) 245-7717.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>.

**RELATED PROGRAMS:**

84.002, Adult Education - Basic Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

Funds have been provided for: (1) Evaluations of "what works" for adult basic education and English as a second language programs; (2) conducting an evaluation of Section 353 State set-aside program; (3) conducting an evaluation of the AEFLA set-aside for corrections education; and (4) an evaluation of a distance learning initiative, Crossroads Cafe.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications should address each criterion: (1) Plan of operation; (2) quality of key personnel; (3) budget and cost-effectiveness; (4) evaluation plan; (5) adequacy of resources; (6) national need; and (7) adequacy of resources. Contact the program office for additional information.

**84.196 EDUCATION FOR HOMELESS CHILDREN AND YOUTH****FEDERAL AGENCY:**

OFFICE ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B.

**OBJECTIVES:**

To ensure that all homeless children and youth have equal access to the same free, appropriate public education available to other children, the Education for Homeless Children and Youth program provides assistance to States, Outlying Areas, and the Bureau of Indian Education (BIE) to: (1) establish or designate an Office of Coordinator of Education of Homeless Children and Youths; (2) develop and carry out a State plan for the education of homeless children; and (3) make subgrants to local educational agencies to support the education of those children.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

SEAs and LEAs may use funds for a wide variety of activities that facilitate the educational success of homeless children and youth. Such activities include: tutoring summer enrichment programs, the provision of school supplies, and professional development designed to heighten educators' understanding of and sensitivity to the needs of homeless children and youth. Services provided with these funds cannot replace the regular academic program and must expand upon or improve services provided as part of the regular academic program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Departments of Education in the 50 States, the District of Columbia, Puerto Rico, the Outlying Areas, and schools serving Indian students that are funded by the Secretary of the Interior may apply. Only LEAs are eligible for State subgrants.

**Beneficiary Eligibility:**

Homeless children and youth in elementary and secondary schools (and homeless preschool children and the parents of homeless children) of the applicant agency will benefit.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication forms are not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

A State that desires to receive a grant under this program may submit to the Department either an individual State plan or an ESEA consolidated State plan.

**Award Procedure:**

Grant awards to the State educational agencies will be issued when applications are approved.

**Deadlines:**

Deadlines will be published in the Federal Register.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Biennial updates of State plans are required.

**Formula and Matching Requirements:**

Each State educational agency receives an amount that bears the same ratio to the amount appropriated for this program as the amount allocated under Section 1122 of the Elementary and Secondary Education Act bears to the total allocations made under Section 1122. States shall not receive less than \$150,000, 0.25 percent of the total, or the amount of the State's fiscal year 2001 award.

**Length and Time Phasing of Assistance:**

Assistance is provided for one fiscal year. Sums appropriated in each fiscal year shall remain available for the succeeding fiscal year.

**Reports:**

States must report an estimate of the number of homeless children and youth in the State and the number being served by this program. They must also report on the nature and extent of problems relative to access of homeless children and youth to public preschool, elementary, and secondary schools and the difficulties in identifying the special needs of such children.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted



in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$61,871,000; FY 08 est \$64,067,000; and FY 09 est \$64,067,000.

**Range and Average of Financial Assistance:**

The average State award was \$1,208,000; the range was \$160,000 to \$7,619,000.

**PROGRAM ACCOMPLISHMENTS:**

Grants have been awarded to 50 States, Puerto Rico, the District of Columbia, the Virgin Islands, American Samoa, Guam, Palau, the Northern Marianas, and the DOI Bureau of Indian Education. The Department continues to monitor States and the outlying areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for The Education for Homeless Children and Youth program may be obtained through the office of Elementary and Secondary Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-6132. Contact: John McLaughlin; E-mail: john.mclaughlin@ed.gov. Telephone: (202) 401-0962.

**Web Site Address:**

<http://www.ed.gov/programs/homeless/index.html>.

**RELATED PROGRAMS:**

10.550, Food Donation; 10.553, School Breakfast Program; 10.555, National School Lunch Program; 10.556, Special Milk Program for Children; 84.010, Title I Grants to Local Educational Agencies; 84.011, Migrant Education State Grant Program; 84.013, Title I Program for Neglected and Delinquent Children.

**EXAMPLES OF FUNDED PROJECTS:**

McKinney-Vento subgrants are made available by SEAs to LEAs on a competitive basis. LEAs must provide an application that describes the needs of homeless students in the school district, including the number of homeless students, the types of services available, and how the LEA will use subgrant funds to serve these students. Typically, subgrants are used for after-school tutoring, purchasing necessary supplies like backpacks, hygiene packs, etc., as well as offsetting the costs of transportation for homeless students wishing to remain in the school last attended prior to becoming homeless.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. LEA grants are awarded by States on the basis of need.

**84.200 GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VII, Part A, Subpart 2, as amended, Public Law 102-325, 20 U.S.C. 1135-1135ee.

**OBJECTIVES:**

To provide fellowships through graduate academic departments, programs, and units of institutions of higher education to graduate students of superior ability who demonstrate financial need for the purpose of sustaining and enhancing the capacity for teaching and research in academic areas of national need, as designated by the Secretary.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Awards made to institutions under this part shall be used exclusively to provide direct fellowship aid that will include need-based stipends, based on the support level of National Science Foundation fellowships and an institutional allowance for each individual awarded a fellowship to be adjusted annually in accordance with the Department of Labor's Consumer Price Index. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Accredited institutions of higher education may apply or submit joint proposals involving a nondegree granting institution having formal arrangements for support of doctoral dissertation research.

**Beneficiary Eligibility:**

Graduate students receiving fellowships must demonstrate financial need, have excellent academic records, plan to pursue the highest degree in the field, and be a U.S. citizen or a National, or a permanent resident of the U.S., or intend to

become a U.S. citizen, be a permanent resident of the Trust Territory of the Pacific Islands, or a citizen of any one of the Freely Associated States.

**Credentials/Documentation:**

A properly formatted application must be filed with the Secretary. This program is excluded from coverage under OMB Circular No. A-87.

**Preamplification Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Instructions and forms concerning application procedures will be mailed to eligible institutions of higher education following publication of the Notice Inviting Application funding criteria in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Panels of experts from outside the Government will appraise all applications. The program office will recommend funding to the Secretary, who will make the final decisions.

**Deadlines:**

Contact the program office for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately three months.

**Appeals:**

None.

**Renewals:**

Noncompeting continuation applications must be given funding preference subject to the availability of funds.

**Formula and Matching Requirements:**

A grantee must match the award by 25 percent. Federal funds and matching funds must be used for stipends, tuition fees, and other educational costs of students.

**Length and Time Phasing of Assistance:**

The length of the award is three years, subject to yearly appropriations. However students may receive support for up to five years.

**Reports:**

Annual fiscal and performance reports are required.

**Audits:**

Audits are performed as required by regulations.

**Records:**

None.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$30,067,290; FY 08 est \$29,541,730; and FY 09 \$32,517,000.

**Range and Average of Financial Assistance:**

In FY 08, the average continuation grant was \$169,000; the average continuation fellowship was \$43,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 178 grants were awarded; 702 fellowships were provided.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations were published in the Federal Register on December 16, 1993. The application package including forms and regulations will be mailed to eligible institutions and other interested parties. Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education and Graduate Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5247. Contact: Gary Thomas. E-mail: ope.gaann.program@ed.gov. Telephone: (202) 502-7767.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsgaann/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Awards are made to institutions of higher education to be used exclusively to provide fellowship aid to assist graduate students in designated academic areas of national need.

**CRITERIA FOR SELECTING PROPOSALS:**

This program will use the selection criteria contained in program regulations made available in the application package. Contact the program office for additional information.

**84.203 STAR SCHOOLS**

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF

## EDUCATION

### **AUTHORIZATION:**

Elementary and Secondary Education Act, Title V, Part D, Subpart 7.

### **OBJECTIVES:**

To encourage improved instruction in mathematics, science, and foreign languages as well as other subjects, such as vocational education. To serve underserved populations, including the disadvantaged, limited-English proficient, and individuals with disabilities. Grants are made to develop and support educational and instructional programming, and to provide technical assistance in the use of such instructional programming.

### **TYPES OF ASSISTANCE:**

Project Grants.

### **USES AND USE RESTRICTIONS:**

Eligible telecommunications partnerships must be organized on a statewide or multi-state basis. Partnerships must assure that a significant portion of the facilities and equipment, technical assistance and programming for which assistance is sought will be made available to elementary and secondary schools of local education agencies that have a high percentage of children counted for purposes of Part A of Title I of the Elementary Secondary Education Act. Priority is given to those partnerships that provide services to meet the needs of traditionally underserved populations, individuals traditionally excluded from careers in mathematics and science because of discrimination or economically disadvantaged backgrounds, areas with scarce resources, and areas with limited access to courses in mathematics, science and foreign languages. Funds through this grant may not supplant funds otherwise available for these purposes. Not less than 25 percent of the funds appropriated during any fiscal year shall be used for the cost of instructional programming. Not less than 50 percent of the funds appropriated during any fiscal year shall be used for the cost of facilities, equipment, teacher training or retraining, technical assistance or programming for school districts which are eligible to receive assistance under Part A of Title I. No grant may exceed \$10,000,000 in any single fiscal year. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

### **Applicant Eligibility:**

Eligible telecommunications partnerships must be organized on a statewide or multistate basis. Two types of partnerships are eligible: (1) A public agency or corporation established for the purpose of developing and operating telecommunications networks to enhance educational opportunities provided by educational institutions, teacher training centers, and other entities, provided that the agency or corporation represents the interests of elementary and secondary schools eligible to participate under Title 1 of the Elementary and Secondary Education Act of 1965; or (2) a partnership that will provide telecommunications services and includes three or more of the following entities, at least one of which shall be State or local educational agency: (a) A local educational agency, that serves a significant number of elementary and secondary schools that are eligible for assistance under Part A, of Title 1 or elementary and secondary schools operated or funded for Indian children by the Department of the Interior; (b) A State educational agency; (c) adult and family education programs; (d) an institution of higher education or a State higher education agency; (e) a teacher training center or academy; (f) a public or private entity with experience and expertise in the planning and operation of a telecommunications network, including entities involved in telecommunications through satellite, cable, telephone, or computer; or a public broadcasting entity with such experience; or (g) a public or private elementary or secondary school.

### **Beneficiary Eligibility:**

Elementary and secondary school students and teachers.

### **Credentials/Documentation:**

None.

### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

### **Application Procedure:**

Described in the application notice published in the Federal Register. Contact the headquarters office listed below for application packages containing the application notice and application assurance forms.

### **Award Procedure:**

The selection of applications is competitive, based on staff and nonfederal review using selection criteria contained in the Education Department General Administrative Regulations (EDGAR) at 34 CFR 74.210 and the application notice published in the Federal Register.

### **Deadlines:**

Announced in the application notice published in the Federal Register. Contact the headquarters office listed below for further information.

### **Range of Approval/Disapproval Time:**

Approximately 120 days following the application deadline.

### **Appeals:**

None.

### **Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

### **Formula and Matching Requirements:**

The Federal share for the first and second fiscal years shall be 75 percent; for the third and fourth years 60 percent; and for the fifth year 50 percent. All resources must be used to supplement and not supplant resources otherwise available for the purposes of the grant. Other regulations in 34 CFR 74, Subpart G (cost-sharing or matching), apply. The Secretary of Education will consider requests to reduce or waive matching requirements if financial hardship is demonstrated.

### **Length and Time Phasing of Assistance:**

Following a competitively selected award of up to twelve months, awards may be made for up to four subsequent years; subject to the availability of funds.

### **Reports:**

As required by the Education Department General Administrative Relations (EDGAR) for direct grant programs (see 34 CFR 75). Generally, annual performance and financial reports are required.

### **Audits:**

See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirement of OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance and performance must be maintained for a period of five years after completion.

### **Account Identification:**

91-0204-0-1-501.

### **Obligations:**

(Grants) FY 07 \$11,513,000; FY 08 est \$0; and FY 09 est \$0.

### **Range and Average of Financial Assistance:**

For FY 2007, the range of awards was from \$420,000 to \$2,980,864; the average award was \$1,877,148.

### **PROGRAM ACCOMPLISHMENTS:**

In FY 2007, six continuation awards were granted.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 78, 79, 80, 81, 82, 85, and 86.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Department of Education, Office of Innovation and Improvement, Technology in Education Programs, 400 Maryland Ave., S.W., Rm. 4W219, FB-6, Washington, DC 20208-5900. Contact: Brian Lekander. E-mail: Brian.lekander@ed.gov. Telephone: (202) 205-5633.

### **Web Site Address:**

<http://www.ed.gov/programs/starschools/index.html>.

### **RELATED PROGRAMS:**

None.

### **EXAMPLES OF FUNDED PROJECTS:**

In FY 2005, the most recent year that new awards were made in this program, the Department funded a grant to the University of Oklahoma's K-20 Center for Educational and Community Renewal to: (1) develop an interactive educational game that will allow students to experience a wide array of real-world challenges that require a combination of team collaboration and the constant use of a series of process and content standards; and (2) introduce teachers to a form of professional development, Lesson Study, that promotes a cross-curricular team to collaboratively plan, teach, observe, and reflect on student engagement and interaction during the research lesson.

### **CRITERIA FOR SELECTING PROPOSALS:**

Contained in EDGAR (34 CFR 75.210). Contact the program office for more information.

## **84.206 JAVITS GIFTED AND TALENTED STUDENTS EDUCATION GRANT PROGRAM**

### **FEDERAL AGENCY:**

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 6, 115 Stat. 1826; 20 U.S.C. 7253.

**OBJECTIVES:**

To provide financial assistance to State and local educational agencies, institutions of higher education, and other public and private agencies and organizations, to stimulate research, development, training, and similar activities designed to build a nationwide capability in elementary and secondary schools to meet the special educational needs of gifted and talented students. To supplement the use of State and local funds for the education of gifted and talented students.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for: (1) The professional development of personnel involved in the education of gifted and talented students, including training in equitable teaching methods; (2) the establishment or identification of exemplary programs serving gifted and talented students, including those for identifying and educating students who might not be served by a traditional program; (3) implementing innovative learning strategies; (4) encouraging the adaptation of model gifted and talented programs for use by all students; (5) strengthening the capability of State educational agencies to provide leadership and assistance to local entities in the planning, operation, and improvement of programs; and (6) research, technical assistance, and information dissemination.

**Applicant Eligibility:**

State and local education agencies, institutions of higher education, other public and private agencies and organizations (including Indian tribes and organizations as defined by the Indian Self-Determination and Education Assistance Act and Native Hawaiian organizations) may apply.

**Beneficiary Eligibility:**

State and local education agencies, institutions of higher education, other public and private agencies, organizations, teachers and students benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for private nonprofit organizations are applicable.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Described in an application notice published in the Federal Register. Contact the headquarters office listed below for application packages containing the announcement, application, and other forms.

**Award Procedure:**

The selection is competitive, based on staff and nonfederal review according to the selection criteria contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements.

**Deadlines:**

Will be announced in an application notice published in the Federal Register. Contact the headquarters office for further information.

**Range of Approval/Disapproval Time:**

Approximately two to four months from the closing date.

**Appeals:**

None.

**Renewals:**

Awards are made annually. Following an initial, competitively selected award of up to 12 months, 2-4 additional 1-year non-competing continuation awards may be made, for a total maximum term of 3-5 years; subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually. Following an initial, competitively selected award of up to 12 months, two to four additional 1-year non-competing continuation awards may be made for a total of 3 - 5 years; subject to the availability of funds.

**Reports:**

Annual progress and financial reports as required by the Education Department General Administrative Regulations (EDGAR) 34 CFR 75 unless otherwise required in the award document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that

year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, for direct grant program. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-1000-0-1-503.

**Obligations:**

(Grants) FY 07 \$7,596,000; FY 08 est \$7,463,000; and FY 09 \$0.

**Range and Average of Financial Assistance:**

In FY 2008, the average new award is expected to be \$441,000 and the average continuation award is expected to be \$500,000. The range of new awards in FY 2008 is expected to be \$300,000 to \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

The National Center for Research and Development in the Education of Gifted and Talented Children and Youth continued to receive funding. In addition, in FY 2008, 6 new grants and 6 continuation grants are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education's General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 78, 79, and 80.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE, Jacob K. Javits Gifted and Talented Students Education 400 Maryland Ave., S.W., Washington, DC 20202. Contact: Patricia Johnson, E-mail: patricia.johnson@ed.gov. Telephone: (202) 260-7813.

**Web Site Address:**

<http://www.ed.gov/programs/javits/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In 2005, the program began funding a joint effort of the Iowa Department of Education and the University of Iowa's Belin-Blank Center for Gifted Education to address gifted and talented students who have learning difficulties. Also in 2005, the program began funding the Fremont County School District, in Arapaho, WY, in collaboration with the Arapahoe Native American tribe to assist students in developing achievement methods and provide interventions that specifically target self-regulatory processes and artistic creative expression.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for the approval of proposals under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application notice published in the Federal Register.

## 84.213 EVEN START-STATE EDUCATIONAL AGENCIES

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended; Title I, Part B, Subpart 3. 20 U.S.C. 6362.

**OBJECTIVES:**

To help break the cycle of poverty and illiteracy and improve the educational opportunities of low-income families, by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Subgrants are used for activities such as recruitment and screening of children and parents, design of programs, instruction of children and parents, support services, staff training, evaluation, and coordination with other programs. Funds may not be used for indirect costs.

**Applicant Eligibility:**

State educational agencies (SEAs). The subgrantees are partnerships of a local educational agency (LEA) and a nonprofit community-based organization, a public agency other than an LEA, an institution of higher education or other public or private nonprofit organizations. Any of the latter, with demonstrated quality, may apply in collaboration with a LEA.

**Beneficiary Eligibility:**

Parents eligible for participation under the Adult Education Act and their children aged birth through seven. Families must be in need of Even Start services, as indicated by a low income level and low level of adult literacy or English language proficiency, or other need-related indicators.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**



None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

State educational agencies submit State plans to the Department of Education in accordance with requirements in the Elementary and Secondary Education Act and guidance by the Department.

**Award Procedure:**

The Department of Education awards grants to SEAs based on their relative shares of ESEA Title I, Part A funds. SEAs award subgrants giving priority to proposals that target areas designated as empowerment zones or enterprise communities or that propose to serve families in other high-poverty areas.

**Deadlines:**

Deadlines for subgrantees are set by each SEA.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

None.

**Renewals:**

Federal formula funds are awarded to SEAs annually. Subgrants are for up to four years with annual renewals subject to approval of the SEA and the availability of funds. After the subgrant ends, an applicant may reapply for a new subgrant, but may not receive funds for longer than eight years.

**Formula and Matching Requirements:**

The Federal share of the cost of a subgrant project is not more than 90 percent in the first year, 80 percent in the second year, 70 percent in the third year, 60 percent in the fourth year, and 50 percent in any subsequent year. Federal funds are distributed to SEAs based on their relative shares of Title I, Part A of ESEA.

**Length and Time Phasing of Assistance:**

Formula grants to SEAs are awarded on July 1. Funds are available for obligation and expenditure for a total of 27 months. Subgrants may not exceed 4 years in duration.

**Reports:**

Annual performance reports are required.

**Audits:**

In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain project records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$82,282,760; FY 08 est \$66,454,399; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The estimated range of award is \$305,690 - \$7,213,753. The estimated average is \$1,175,732.

**PROGRAM ACCOMPLISHMENTS:**

An estimated 330 projects will be funded by States in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76 (except for 76.600-76.677), 77, 80-82, and 85; Education Department General Administrative Regulations (EDGAR). For more information, contact the program office.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, OESE Student Achievement and School Accountability 400 Maryland Ave., S.W., Washington DC 20202-6132.  
Contact: Patricia McKee, E-mail: patricia.mckee@ed.gov. Telephone: (202) 260-0991.

**Web Site Address:**

<http://www.ed.gov/programs/evenstartformula/index.html>.

**RELATED PROGRAMS:**

84.002, Adult Education - Basic Grants to States; 84.010, Title I Grants to Local Educational Agencies; 84.011, Migrant Education\_State Grant Program; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

Projects have included Project Even Start SPARK Plus in Accomack County, Virginia, jointly operated by the Accomack County Public Schools and Eastern Shore Community College. This project is designed to improve the literacy levels of disadvantaged families through the provision of adult education, parenting education, interactive literacy activities, and early childhood education for children ages 4-8. Time is provided for separate early childhood and adult instruction, as well as joint family learning experiences. While the adults are working toward career and education goals, the children are engaged in uses a research-based curriculum. Parent-Child activities are hands-on activities delivered through Eastern Shore College's acclaimed "Shore People Advancing

Readiness for Knowledge," also known as SPARKS.

**CRITERIA FOR SELECTING PROPOSALS:**

SEAs apply their own criteria to select subgrantees most likely to succeed in meeting the purpose of Even Start and in effectively implementing the program elements in Section 1205 and the requirements in Section 1208(a)(1) and (2), Part B, Title I of ESEA. SEAs must give priority to projects that target services to the neediest families or to projects that are located in areas designated as Empowerment Zones or Enterprise Communities under Public Law 103.66.

**84.214 EVEN START-MIGRANT EDUCATION**

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part B, 20 U.S.C. 6362 et seq.

**OBJECTIVES:**

To improve the educational opportunities of migrant families through family literacy programs that integrate early childhood education, adult literacy or adult basic education, and parenting education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds are used for activities such as recruitment and screening of children and parents, design of programs, instruction for children and parents, staff training, support services, evaluation, and coordination with other programs.

**Applicant Eligibility:**

Any entity may apply. The Secretary specifically invites application from State educational agencies (SEAs) that administer migrant programs; local educational agencies (LEAs) that have a high percentage of migrant students; and nonprofit community-based organizations that work with migrant families.

**Beneficiary Eligibility:**

Parents who are migratory agricultural workers or fishers and their children, from birth through age 7. Parents must also be eligible for participation under the Adult Education Act or be within the State's compulsory school attendance age range.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

Application forms are available from the Department of Education, Office of Migrant Education. Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the application package. The applications are reviewed and evaluated by a panel.

**Award Procedure:**

A panel appointed by the Secretary reviews each State educational agency's application for the financial information required and evaluates the application on the basis of selection criteria published in the Federal Register. The Secretary makes awards based on applicant scores and migrant streams.

**Deadlines:**

Deadlines are published in the Federal Register. Contact the Department of Education for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

None.

**Renewals:**

Grants are awarded for four years, with annual renewals subject to satisfactory performance reports and the availability of funds.

**Formula and Matching Requirements:**

There is no statutory formula. The Federal share of the cost of a project is not more than 90 percent in the first year, 80 percent in the second, 70 percent in the third, and 60 percent in the fourth and final year.

**Length and Time Phasing of Assistance:**

Grants may be made for up to 48 months. Funds are awarded for a 12-month period from October 1 to September 30 of the following year. Renewals are subject to the availability of appropriations.

**Reports:**

Annual performance report is required.

**Audits:**

In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that

receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provision Act and the Education Department General Administration Regulations, certain project records must be maintained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$2,378,483; FY 08 \$1,903,632; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 10 projects are currently operating.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Office of Migrant Education 400 Maryland Ave., S.W., Rm. 3E313, FB-6 Washington DC 20202-6134. Contact: DonnaMarie Marlow. E-mail: donnamarie.marlow@ed.gov. Telephone: (202) 205-9533.

**Web Site Address:**

<http://www.ed.gov/programs/mep/index.html>.

**RELATED PROGRAMS:**

84.011, Migrant Education\_State Grant Program; 84.141, Migrant Education\_High School Equivalency Program; 84.149, Migrant Education\_College Assistance Migrant Program; 84.213, Even Start\_State Educational Agencies; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

The Illinois Migrant Council, Chicago, IL implements the Harvesting Opportunities for Literacy and Achievement (HOLA) Migrant Education Even Start (MEES) Project. HOLA MEES provides year-round services for families whose homes are located in the Rio Grande Valley of Texas and Guanajuato, Mexico as well as in Illinois, where they travel to perform seasonal agricultural work. Collaborating partners include four Illinois LEAs (Cobden, Kankakee, Rantoul, and Mendota), the Illinois Migrant Education Program, Illinois Department of Human Services, Illinois Migrant and Seasonal Head Start Program, Illinois State Board of Education, Community Health Partnership of Illinois, LEA partners across project sites in Illinois and Texas, as well as cooperating with the Ministry of Education in Mexico and its community education sites. The project works with 55 - 65 families that participate in all Even Start educational components (ESL/ABE-GED, ECE, Interactive Literacy Activities, and Parenting Education) throughout the cycle of their migratory agricultural work.

**CRITERIA FOR SELECTING PROPOSALS:**

Likelihood of success in meeting the purpose of the authorizing statute; extent of need for the project; plan of operation; quality of key personnel; budget and cost-effectiveness; evaluation plan; and adequacy of resources.

**84.215 FUND FOR THE IMPROVEMENT OF EDUCATION**

(FIE)

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT; OFFICE OF SAFE AND DRUG-FREE SCHOOLS; OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), Title V, Part D, as amended; ESEA, Title II, Part C, subpart 4 and the American History and Civics Education Act of 2004.

**OBJECTIVES:**

To conduct nationally significant programs to improve the quality of education, assist all students to meet challenging State content standards, and contribute to the achievement of elementary and secondary students.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to support a wide range of projects under the FIE general authority for programs, and additional specific program authorities. Competitions are announced in the Federal Register. Specific limitations and restrictions for each competition are provided in the Federal Register notice.

**Applicant Eligibility:**

State educational agencies, local educational agencies, institutions of higher

education, public and private organizations and institutions may apply.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Described in application notices published annually in the Federal Register. Contact the headquarters offices listed below for application packages containing the announcement, application, and assurance forms and for further information about the specific programs.

**Award Procedure:**

Awards are competitively selected following review by nonfederal experts in accordance with Subpart D of Part 75 of the Education Department General Administrative Regulations (EDGAR).

**Deadlines:**

Announced in notices published in the Federal Register. Contact the appropriate headquarters office for further information.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in the meeting of the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually. Following an initial, competitively selected award, additional non-competing continuation awards may be made. The possible length of the project is announced in the application notice in the Federal Register. Renewals are subject to the availability of appropriations.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required.

**Audits:**

See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0204-0-1-501; 91-0203-0-1-501; 91-0400-0-1-501.

**Obligations:**

(Grants) FY 07 \$379,199,000; FY 08 est \$486,065,000; and FY 09 est \$102,300,000.

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Varies by program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. OMB Circulars A-21, A-87, A-110, A-112, and A-113.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Innovation and Improvement (OII), 400 Maryland Avenue S.W., Washington, DC 20202. Contact: Pat Knight, E-mail: margo.anderson@ed.gov. Telephone: (202) 205-4746. Office of Safe and Drug-Free Schools, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-6123. Contact: William Modzeleski, E-mail: william.modzeleski@ed.gov. Telephone: (202) 260-3954. Office of Elementary and Secondary Education, 400 Maryland Avenue S.W., Washington, DC 20202. Contact: Braden Goetz, E-mail: braden.goetz@ed.gov. Telephone: (202) 260-0982.

**Web Site Address:**

<http://www.ed.gov/programs/find/cfda/index.html?src=In>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The programs funded in FY 2009 were: FIE Programs of National Significance (OII, CFDA 84.215K and U), Elementary and Secondary School Counseling (OSDFS, CFDA 84.215E), Character Education (OSDFS, CFDA 84.215S and V, Smaller Learning Communities (OESE, CFDA 84.215L), Physical Education Program (OSDFS, CFDA 84.215F), Education Through Cultural and Historical Organizations (OII, CFDA 84.215Y), Excellence in Economic Education (OII, CFDA 84.215B), Foundations for Learning Grants (OSDFS, CFDA 84.215H), Mental Health Integration in Schools (OSDFS, CFDA 84.215M), Academies for American History and Civics (OII, CFDA 84.215A and D) and Teaching American History (OII, CFDA 84.215X).

**CRITERIA FOR SELECTING PROPOSALS:**

The selection for these programs are contained in Section 75.200 of the Education Department General Administrative Regulations (EDGAR). The specific criteria to be used for particular grant competitions are announced in the application package or application notice in the Federal Register.

**84.217 TRIO-MCNAIR POST-BACCALAUREATE ACHIEVEMENT**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1 Section 402E, as amended, 106 Stat. 448, 20 U.S.C. 1070a-15.

**OBJECTIVES:**

To provide grants for institutions of higher education to prepare participants for doctoral studies through involvement in research and other scholarly activities. Participants are from disadvantaged backgrounds and have demonstrated strong academic potential. Institutions work closely with participants as they complete their undergraduate requirements. Institutions encourage participants to enroll in graduate programs and then track their progress through to the successful completion of advanced degrees. The goal is to increase the attainment of Ph.D. degrees by students from underrepresented segments of society.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used by the participating institution to provide eligible participants with services such as: opportunities for research and other scholarly activities; summer internships; seminars; tutoring; academic counseling; securing admission and financial assistance for graduate study; mentoring and exposure to cultural events. At least two-thirds of the project participants must be low-income individuals who are first-generation college students. The remaining participants must be from a group that is underrepresented in graduate education.

**Applicant Eligibility:**

Institutions of higher education or combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

Low-income first generation college students or students from groups underrepresented in graduate education that are enrolled in a degree program at an eligible institution of higher education will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations and the program regulations, Section 647 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Develop a proposal in accordance with legislation, regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for applications should be made to the Federal TRIO Program. This program is subject to the provisions of the Education Department General Administrative Regulations.

**Award Procedure:**

Nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in the program regulations, 647.21. Grants are awarded by the Federal TRIO Programs office.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Continuation awards for up to five years are approved on an annual basis, subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Four to 5-year projects, subject to the availability of funds.

**Reports:**

Performance reports are submitted on an annual basis.

**Audits:**

In accordance with Education Department General Administrative Regulations, 34 CFR 61, 74, 75, and 702.

**Records:**

In accordance with the Education Department General Administrative Regulations, 34 CFR 75, 730, 75.731, and 75.732 and 647.32 of the program regulations.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$45,604,173; FY 08 est \$43,900,000; and FY 09 est \$43,636,000.

**Range and Average of Financial Assistance:**

In FY 2008, the average project award is expected to be approximately \$240,000. The minimum grant award is \$220,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008 the program supports 181 projects serving nearly 5,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 647 and Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Federal TRIO Programs, Office of Postsecondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5249. Contact: Virginia Pinkney. E-mail: [trio@ed.gov](mailto:trio@ed.gov); Telephone: (202) 502-7735.

**Web Site Address:**

<http://www.ed.gov/programs/triomcnair/>.

**RELATED PROGRAMS:**

84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.066, TRIO\_Educational Opportunity Centers; 84.103, TRIO Staff Training Program.

**EXAMPLES OF FUNDED PROJECTS:**

Projects ensuring that eligible students are provided opportunities for research or other scholarly activities which effectively prepare them for doctoral study, including summer internships and seminars, have been developed. Also, projects which provide tutoring, academic counseling, and activities designed to assist eligible participants in the project in securing admission to and financial assistance for enrollment in graduate programs have been established.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria that were set forth in 647.21 of the program regulations. Final program regulations were published on August 25, 1994. Contact the program office for additional information.

**84.220 CENTERS FOR INTERNATIONAL BUSINESS EDUCATION**

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part B, Section 612, as amended.

**OBJECTIVES:**

To provide a comprehensive university approach to improve the teaching of international business by bringing together faculty from numerous disciplines and to engage in research to promote the international competitiveness of U.S. business.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The centers funded will: be national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution or institutions in which a center is located; serve as regional resources to local



businesses by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education located within their respective regions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Accredited public and nonprofit private institutions of higher education, or combinations of such institutions, that establish a center advisory council before the date Federal assistance is received may apply. This council will conduct extensive planning concerning the scope of the center's activities and the design of its program prior to establishing the center.

**Beneficiary Eligibility:**

Students and faculty of accredited institutions of higher education will benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the Center for International Education. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants developed according to procedures defined by the Education Department General Administrative Regulations.

**Deadlines:**

Deadlines for transmitting proposals are announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

None.

**Renewals:**

Project period may last up to 48 months. Applicants submit performance reports for continuation funding according to instructions published by the Department. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

The Federal share of the cost of centers is: (a) Not more than 90 percent for the first year in which Federal funds are furnished; (b) not more than 70 percent for the second year; and (c) not more than 50 percent for the third year and succeeding years. The nonfederal share for planning, establishing and operating the center may be provided by in-cash or in-kind assistance.

**Length and Time Phasing of Assistance:**

Grants are awarded for a up to 48 month period, subject to the availability of funds.

**Reports:**

Institutions must provide final reports upon completion of the program. Financial reports are also required.

**Audits:**

None.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request for three years after close of the fiscal year in which the grant was closed out or until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$10,650,000; FY 08 \$10,960,000; and FY 09 est \$10,669,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$330,000 to \$370,000; the average award is \$354,000.

**PROGRAM ACCOMPLISHMENTS:**

Thirty-one continuation grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, and 85 (Education Department General Administrative Regulations).

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-5331. Contact: Susanna C. Easton. Telephone: (202) 502-7628. E-Mail: Susanna.easton@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/iegpscibe/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.153, Business and International Education Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Projects that support linkages among international business education, foreign language, and area studies programs at institutions of higher education perform research on issues to improve U.S. competitiveness and provide assistance to the business community on matters of international commerce. San Diego State University (SDSU) developed a very successful interdisciplinary international business undergraduate degree program. The SDSU CIBER enhanced this program through implementing the following activities: dual, transnational undergraduate degrees with Mexico, France, and Canada, developed internships, both abroad and domestic, developed business courses taught in target languages, enhanced study abroad programs, and developed courses in area studies. The CIBER also provides business training for liberal arts faculty as well as language training for the business community. The breadth and depth of the SDSU CIBER collaborative activities guarantee timely and wide dissemination of its programs and research. The University of Texas at Austin (UT-Austin) CIBER initiated several activities to globalize business education and research. UT-Austin CIBER developed comprehensive exchange academic programs in Latin America, created double degree programs, within UT- Austin and with a foreign university, created an MBA/MA degree in collaboration with the National Resource Centers on the UT-Austin campus. The Export Video Series for the business community created an International Trade Analysis Program and conducted several academic outreach programs for other institutions of higher education. UT-Austin CIBER collaborative activities demonstrates how the CIBER acts as a national and regional resource.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively under selection criteria that includes: EDGAR (34 CFR 75.209 and 75.210) and (a) meeting the purpose of the authorizing statute (20 points), (b) significance (18 points), (c) quality of the project design (10 points), (d) quality of the management plan (10 points), (e) quality of project personnel (10 points), (f) quality of project services (2 points), (g) adequacy of resources (10 points), and (h) quality of the project evaluation (20 points).

## 84.224 ASSISTIVE TECHNOLOGY

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Assistive Technology Act of 1998, as amended, Public Law 105-394.

**OBJECTIVES:**

To provide States with financial assistance that supports programs designed to maximize the ability of individuals of all ages with disabilities and their family members, guardians, advocates, and authorized representatives to obtain assistive technology devices and assistive technology services.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Discretionary); Project Grants (Contracts); Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Grants are awarded to carry out the functions authorized under the Act. States may provide assistance to Statewide community-based organizations or directly to individuals with disabilities of all ages. Technical assistance contracts support States and other entities. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

States, including the District of Columbia, Puerto Rico, and outlying areas may apply. Applicants are designated by Governors.

**Beneficiary Eligibility:**

Individuals with disabilities, States, and community-based organizations providing services to individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions also applies.

**Preapplication Coordination:**

This program is excluded from coverage under OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110. Unless otherwise directed in the Federal Register Announcement, applications should be submitted to the Department of Education, Application Control Center, 400 Maryland Avenue, SW., Washington, DC 20202.

**Award Procedure:**

State plans are reviewed by Department of Education staff.

**Deadlines:**

Contact the Headquarters Office for further information.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Annual formula grants.

**Reports:**

Annual progress reports, expenditure reports, and quarterly cash reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping requirements and regulations are included in the statute.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$26,111,000; FY 08 est \$25,655,000; and FY 09 est \$25,655,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

All States and outlying areas participate in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: Rob Groenendaal. Telephone: 202-245-7393. E-mail Address: rob.groenendaal@ed.gov.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services Vocational Rehabilitation Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

The Assistive Technology State grants supports state efforts to improve the provision of assistive technology to individuals with disabilities of all ages through comprehensive, statewide programs that are consumer responsive. The purpose of these programs is to make assistive technology devices and services more available and accessible to individuals with disabilities and their families.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the regulations. Contact the Program Office for more information.

**84.229 LANGUAGE RESOURCE CENTERS****FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act, Title VI, Part A, Section 603, as amended.

**OBJECTIVES:**

To improve the Nation's capacity to teach and learn foreign languages effectively by supporting the establishment, strengthening, and operation of language resource centers at institutions of higher education.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Funds may be used to carry out activities to improve the teaching and learning of foreign languages. These activities may include: (a) The conduct and dissemination of research on new and improved methods for teaching foreign languages, including the use of advanced educational technology; (b) the development and dissemination of new materials for teaching foreign languages

to reflect the results of research on effective teaching strategies; (c) the development, application and dissemination of performance testing that is appropriate for use in an educational setting to be used as a standard measurement of skill levels in foreign language; (d) the training of teachers in the administration and interpretation of foreign language performance tests, the use of effective teaching strategies and the use of new technologies; (e) the publication of instructional materials in the less commonly taught foreign languages; and (f) the widespread dissemination of research results, teaching materials, and improved pedagogical strategies to the postsecondary education community. Equipment costs may not exceed 15 percent of the grant total.

**Applicant Eligibility:**

Accredited American institutions of higher education or combinations of such institutions may apply.

**Beneficiary Eligibility:**

Institutions of higher education or combinations of such institutions and individuals will benefit.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Eligible institutions may submit applications for funding when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of applications are available from the Advanced Training and Research Team. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Official deadline will be announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

None.

**Renewals:**

Higher education institutions selected to receive funds for the four year phased program may submit annual performance reports for the continuation of support. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to a 48-month period. Continuation awards are subject to the submission of satisfactory progress reports and are subject to the availability of funds.

**Reports:**

Funded centers must provide final reports upon completion of the 48 month program.

**Audits:**

All fiscal records will be subject to audit by the Department of Education at any time within three years after expiration of the grants.

**Records:**

All records supporting claims under grants or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of the completion of the Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$4,893,816; FY 08 est \$4,875,000; and FY 09 est \$5,950,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$300,000 to \$400,000; the average award is expected to be \$353,000.

**PROGRAM ACCOMPLISHMENTS:**

Fifteen continuation grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 669, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5331. Contact: G. Edward McDermott, E-mail: ed.mcdermott@ed.gov. Telephone: (202) 502-7636.

**Web Site Address:**

<http://www.ed.gov/programs/iegpplrc/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign

Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.018, Overseas Programs - Special Bilateral Projects; 84.019, Overseas Programs - Faculty Research Abroad; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.153, Business and International Education Programs; 84.220, Centers for International Business Education.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) The Georgetown University/Center for Applied Linguistics, George Washington University National Capital Foreign Language Resource Center, is continuing its research and training activities, building upon achievements made during the last funding cycle. The School of Languages and Linguistics at Georgetown serves as a field site for some research activities, as do local school systems in Maryland and Virginia. The Center is training teachers in the administration and interpretation of foreign language performance tests; training teachers in foreign language teaching and learning strategies; training teachers in the use of technology in foreign language teaching; conducting foreign language learning strategy research; and developing foreign language tests. (2) San Diego State University's Language Acquisition Resource Center (LARC) is building upon the foundation laid in the first cycle of Federal funding by continuing research and development in the areas of language testing, strategies for teaching and learning languages, and advanced uses of technology. LARC has shifted its focus during the second funding cycle to the development and implementation of a national training model that incorporates previous research and development. The training is designed to impact language instruction in K-12 and postsecondary institutions. During this cycle, LARC is: Developing a national model of language teacher training; conducting research, development and training in alternative language testing; developing and training educators in effective strategies for teaching and learning languages; and training educators in strategies for integrating technology into language curricula. (3) The University of Hawaii is also building on the existing structure and accomplishments of the currently funded Center. Although the Center focuses particularly on languages of Asia and the Pacific in its training, curriculum, and research activities, it also includes German, Russian, and other European languages in its efforts. The Center is organized around six component areas: pedagogy and psycholinguistics; sociolinguistics and cross-cultural pragmatics; materials and methods development; language testing; technology and telecommunications; and resource provision for foreign language researchers. Projects at the Center are carried out by a project team and generally cut across areas of emphasis, including several of the components listed above. The following types of programs are currently underway: National Foreign Language Fellows; A program of National Foreign Language Interns; Dissemination of materials and research results, including print, video/audio, and electronic media; A series of summer institutes in teacher training and materials preparation; and Research and materials development projects.

#### **CRITERIA FOR SELECTING PROPOSALS:**

34 CFR 655.31(a)-(e), 669.21 and 669.22 apply to the Language Resource Centers Program. Contact the program office for additional information.

### **84.234 PROJECTS WITH INDUSTRY**

(PWI)

#### **FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Rehabilitation Act of 1973, Title VI, Part A.

#### **OBJECTIVES:**

To create and expand job and career opportunities for individuals with disabilities in the competitive labor market by partnering with private industry to provide job training and placement, and career advancement services.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds may be used to support projects to prepare persons with disabilities for employment in the competitive labor market. Any industrial, business, or commercial enterprise; labor union employer; community rehabilitation program provider; trade association; Indian tribe or tribal organization; designated State unit; or other agency or organization with the capacity to create and expand job opportunities for individuals with disabilities.

#### **Applicant Eligibility:**

Projects with Industry grants are awarded to employers, labor unions, profit making and nonprofit organizations, institutions, and State vocational rehabilitation agencies. Grants cannot be made directly to individuals. Only applicants that propose to serve a geographic area that is currently unserved or underserved by the PWI program can receive new awards under this program.

#### **Beneficiary Eligibility:**

An individual is eligible for services under this program if the individual to be served is an individual with a disability or an individual with a significant

disability, as defined in Sections 7 (20)(A) and 7(21)(A), respectively, of the Rehabilitation Act of 1973, as amended. In making this determination, the State vocational rehabilitation unit shall rely on the determination made by the recipient of the grant under which the services are provided, to the extent that the determination is appropriate, available, and consistent with the requirements of the Act.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. Cost will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations.

#### **Preapplication Coordination:**

This program is subject to the provisions of OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Applications should be submitted to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202. The standard application kit as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Department of Education No. 80-0013 must also be submitted.

#### **Award Procedure:**

Awards are made on approval of the Commissioner, RSA, and the Assistant Secretary, OSERS, for new projects, and the Commissioner, RSA, for continuation projects.

#### **Deadlines:**

Contact the program manager at the headquarters office for application deadlines.

#### **Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

#### **Appeals:**

None.

#### **Renewals:**

Projects with multi-year project periods may be continued based on annual review of accomplishments, compliance indicators and availability of adequate funds. Renewals are available only through the continuation application process.

#### **Formula and Matching Requirements:**

The Federal share may not exceed 80 percent of total project cost.

#### **Length and Time Phasing of Assistance:**

Project support may be available up to 60 months.

#### **Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 76). Annual financial reports, compliance indicator data and reports of progress must be submitted as required by the grant award terms and conditions.

#### **Audits:**

Audits must be conducted on a continuing basis or at scheduled intervals. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant fund, compliance, and performance must be maintained for a period of five years after completion.

#### **Account Identification:**

91-0301-0-1-506.

#### **Obligations:**

(Grants) FY 07 \$17,293,000; FY 08 est \$19,197,000; and FY 09 est \$0.

#### **Range and Average of Financial Assistance:**

In fiscal year 2008, the estimated range of awards is \$250,000 to \$350,000, with an average award of \$300,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, an estimated 63 projects will be funded. In FY 2007, PWI projects placed over 5,000 individuals with disabilities in competitive employment.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR 369 and 379 apply.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**



Department of Education, OSERS 400 Maryland Ave., S.W., Washington, DC 20202-2740. Contact: Kerrie Clark. Telephone: (202) 245-7281. E-mail: kerrie.clark@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/rsapwi/index.html>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States;  
84.235, Rehabilitation Services Demonstration and Training Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded in the past include: projects focusing on the training and placement of older individuals with disabilities; projects to train and place individuals with disabilities in specific industries (e.g., the electronics industry); projects to promote the school-to-work transition of youth with disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and Department regulations 34 CFR 369 and 379.

## 84.235 REHABILITATION SERVICES DEMONSTRATION AND TRAINING PROGRAMS

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 303(b)-(d). 20 U.S.C. 777a and 797a.

**OBJECTIVES:**

To provide financial assistance to projects and demonstrations for expanding and improving the provision of rehabilitation and other services authorized under the Act or that further the purposes of the Act, including related research and evaluation activities.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Authorized activities under this program include carrying out special demonstrations for expanding and improving the provision of rehabilitation and other services authorized under this Act and that further the purposes of the Act. Projects may include demonstrations to increase client choice; technical assistance; systems change; special studies and evaluations; demonstrations of service delivery; model demonstrations; transition services; supportive employment; services to underserved populations and/or unserved or underserved areas; services to low-incidence disabilities; transportation; and other projects designated by the Secretary. Other authorized programs include Parent Information and Training and Braille training projects.

**Applicant Eligibility:**

Eligible applicants are States and public or nonprofit organizations. Grants cannot be made directly to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local Governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is subject to the provisions of OMB Circular No. A-102. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications should be submitted to the Department of Education, Application Control Center. Attention: (CFDA 84-235), 400 Maryland Avenue, S.W., Washington, DC 20202. The standard application kit as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. ED No. 80-0013 must also be submitted.

**Award Procedure:**

Awards are made on approval of the Commissioner, RSA and the Assistant Secretary, OSERS, for new projects and the Commissioner, RSA, for continuation projects.

**Deadlines:**

Contact the headquarters office, RSA, for application deadlines. Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

**Appeals:**

None.

**Renewals:**

Projects with multi-year periods may be continued based on annual review of accomplishments and availability of adequate funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months. Renewals are subject to the availability of funds.

**Reports:**

As required by the Education Department General Administrative Regulations (34 CFR 75). Annual performance reports are required.

**Audits:**

See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local government are subject to the requirements in the Single Audit Act and the ED regulations.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$8,756,000; FY 08 est \$10,151,000; and FY 09 \$8,826,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average varies greatly by competition.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 25 projects were funded in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) The Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR 373 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: Ruth Brannon, E-mail: ruth.brannon@ed.gov. Telephone: (202) 245-7278.

**Web Site Address:**

<http://www.ed.gov/offices/OSERS/RSA/Programs/Discretionary/demotrain.html>

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States;  
84.128, Rehabilitation Services\_Service Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects have included: projects to increase client choice; projects providing services to people with severe mental illness; projects servicing low-functioning adults that are deaf or hard of hearing disorders; projects to provide services to individuals with disabilities, and projects to provide services to youths with disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are published in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and department regulations (34 CFR 369).

## 84.240 PROGRAM OF PROTECTION AND ADVOCACY OF INDIVIDUAL RIGHTS

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended Title V, Section 509, 29 U.S.C. 796g; 42 U.S.C. 10801 et seq.

**OBJECTIVES:**

To provide grants for States to support systems for protection and advocacy for the rights of individuals with disabilities who are ineligible for advocacy services from the other protection and advocacy programs or whose problems fall outside the scope of services available from the Client Assistance Program (CAP). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569.

For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at 202-708-7770.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal funds are used to support a system in each State to protect the legal and human rights of individuals with disabilities who need services that are beyond the scope of the Client Assistance Program (CAP) under Section 112 of the Rehabilitation Act of 1973 (the Act) and are ineligible for the protection and advocacy programs under Part C of the Developmental Disabilities Assistance and Bill of Rights Act (DDA) and the Protection and Advocacy for Individuals with Mental Illness Act of 1986 (PAIMI) or who need services that are not available from CAP, DDA, or PAIMI.

**Applicant Eligibility:**

Only designated protection and advocacy agencies in each State and Territory may apply. The Governor designates the protection and advocacy agency.

**Beneficiary Eligibility:**

Individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected this program for review.

**Application Procedure:**

Any application for a grant must contain assurances that the eligible protection and advocacy system will: (1) have in effect a system to protect and advocate for the rights of eligible individuals with disabilities; (2) have the same general authorities as outlined in Part C of the DDA Act; (3) have the authority to pursue legal, administrative, and other appropriate remedies to ensure the protection of the rights of individuals with disabilities; (4) provide information and referral services to individuals with disabilities in the State; (5) develop a priorities and objectives statement each year; (6) seek public comment about their proposed priorities and objectives statement; (7) establish a grievance procedure for clients and prospective clients of the eligible protection and advocacy system; (8) use the funds available for this program to supplement nonfederal funds that would otherwise be available for this purpose; and (9) utilize, to the maximum extent possible, mediation and other alternative dispute resolution procedures before resorting to formal administrative or legal remedies.

**Award Procedure:**

Once the applications have been approved, awards are made on the basis of the relative population of each State. The minimum allotment is \$100,000 for States and \$50,000 for Territories.

**Deadlines:**

Contact the headquarters office, RSA, for application deadlines.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Annual formula grants.

**Reports:**

A report describing the types of services and activities being undertaken by programs funded under the program, the total number of individuals served, the types of disabilities represented by such individuals, and the types of issues being addressed on behalf of such individuals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Final records must be maintained for 3 years after the grant ends or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$16,489,000; FY 08 est \$16,201,000; and FY 09 est \$16,201,000.

**Range and Average of Financial Assistance:**

The range of awards is approximately \$160,311 - \$1,663,983 in FY 08.

**PROGRAM ACCOMPLISHMENTS:**

About 71,300 individuals were served during FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations were published at 34 CFR 381.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: James Billy, E-mail: james.billy@ed.gov. Telephone: (202) 245-7273.

**Web Site Address:**

<http://www.ed.gov/programs/rsapair/index.html>.

**RELATED PROGRAMS:**

84.161, Rehabilitation Services Client Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Eligible systems have pursued legal, administrative, and other appropriate remedies or approaches to protect and advocate for the rights of individuals with disabilities. Protection and advocacy systems may be housed in public or private entities.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.243 TECH-PREP EDUCATION**

**FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title II, Public Law 109-270, 20 U.S.C. 2373.

**OBJECTIVES:**

This program provides assistance to states to award grants to consortia of local agencies and postsecondary education institutions for the development and operation of programs consisting of the last two years of secondary education and at least two years of postsecondary education, designed to provide Tech Prep education to the student leading to an associate degree or a two-year certificate. The program also is designed to strengthen links between secondary and postsecondary schools.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

States must award program funds to consortia of local agencies and postsecondary education institutions. Consortia must implement tech-prep programs that have seven elements: (1) an articulation agreement between secondary and postsecondary consortium participants; (2) a two-plus-two or a four-plus-two (only four- or six-year programs are authorized) design with a common core of proficiency in math, science, communication, and technology; (3) a specifically developed Tech Prep curriculum; (4) joint in-service training of secondary and postsecondary teachers to implement the Tech Prep curriculum effectively; (5) training of counselors to recruit students and to ensure program completion and appropriate employment; (6) equal access for special populations to the full range of Tech Prep programs; and (7) preparatory services. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Costs Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to State agencies. Eligible recipients for subgrants are consortia of local educational agencies, intermediate education agencies or area vocational education schools serving secondary school students, or secondary schools funded by the Bureau of Indian Affairs; and nonprofit and proprietary institutions of higher education which offer a 2-year associate degree program, and which are qualified as institutions of higher education pursuant to Section 481(a) of the Higher Education Act of 1965, including institutions receiving assistance under the Tribally Controlled Community College Assistance Act of 1978, or a two-year apprenticeship program that follows secondary instruction, if such institutions are not subject to a default management plan required by the Secretary of Education.

**Beneficiary Eligibility:**

Individuals desiring to participate in a combined secondary/postsecondary program leading to a postsecondary degree or 2-year certificate with technical preparation in at least one field of engineering, applied science, mechanical, industrial, or practical art or trade, or agriculture, health, or business.

**Credentials/Documentation:**

The establishment of a State Board for vocational education, and a State occupational information coordinating committee is required. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

A 5-year State plan for vocational education must be prepared with active participation of the State Council on Vocational Education. Annual revisions may be submitted as necessary. State plans are subject to public hearings. This

program is eligible for cover under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circular No. A-102.

**Application Procedure:**

A State board submits its application along with a 5-year State plan for career and technical education to the Secretary of Education. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Department of Education approve the 5-year State plan and make allocations to the States.

**Deadlines:**

States should contact the Program Office for deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 30 to 120 days.

**Appeals:**

A State board that is dissatisfied with the final action of the Assistant Secretary in disapproving a State plan is afforded reasonable notice and opportunity for a hearing.

**Renewals:**

None.

**Formula and Matching Requirements:**

The funding formula is based on State per-capita income and population in three age cohorts (15-19, 20-24, and 25-65). The formula provides for a minimum State allocation of at least 0.5 percent of the total, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder would flow to the other States. In addition, the Pacific territories receive 0.13 percent of the total appropriated for State Grants to operate the same kinds of career and technical education programs as the States. Also, 1.25 percent of the total appropriation for State Grants is set aside for grants to federally recognized Indian tribes and tribal organizations, and 0.25 percent is set aside for competitive grants to organizations that primarily serve and represent Hawaiian Natives. The Bureau of the Census supplies the population data; the Department of Labor supplies the per capita income data.

**Length and Time Phasing of Assistance:**

Funds must be expended within 27 months after the first date of availability. States draw funds as needed under the electronic transfer system.

**Reports:**

An annual financial report, performance report, and Office for Civil Rights Annual Compliance Report must be submitted. A quarterly Federal Cash Transaction Report is required under the electronic transfer system.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants and Contracts) FY 07 \$104,753,000; FY 08 est \$102,923,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The range of State grants was \$56,154 to \$11,260,243.

**PROGRAM ACCOMPLISHMENTS:**

There are Tech Prep Consortia in all 50 States, DC, Puerto Rico and the Virgin Islands. In school year 204-05, approximately 2.3 million students were enrolled in Tech Prep programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and regulations, Title 34 CFR 400 and 406; EDGAR, Parts 74, 76, 77, 79, 80, 81, 82, 85, and 86; OCR guidelines for vocational education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, DC 20202-7241.

Contact: Sharon Lee Miller. E-mail: sharon.miller@ed.gov. Telephone: (202) 245-7846.

**Web Site Address:**

http://www.ed.gov/about/offices/list/ovae/pi/cte/tphome.html.

**RELATED PROGRAMS:**

84.048, Career and Technical Education -- Basic Grants to States; 84.051, Career and Technical Education -- National Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Some projects promote a rigorous high school curriculum in order to prepare participants for the postsecondary portion of the program.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.245 TRIBALLY CONTROLLED POSTSECONDARY CAREER AND TECHNICAL INSTITUTIONS**

**FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 117, Public Law 109-270, 20 U.S.C. 2327.

**OBJECTIVES:**

To make grants to tribally controlled postsecondary vocational and technical institutions to provide career and technical education services and basic support for the education and training of Indian students.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to train teachers, purchase equipment, provide instructional services, and provide institutional support. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under CFD 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group 202-708-7770.

**Applicant Eligibility:**

A tribally controlled postsecondary career and technical institution that: (1) Is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or Indian tribes; (2) offers a technical degree or certificate granting program; (3) is governed by a board of directors or trustees, a majority of whom are Indians; (4) demonstrates adherence to stated goals, a philosophy, or a plan of operation, that fosters individual Indian economic and self-sufficient opportunity, including programs that are appropriate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations; (5) has been in operation for at least 3 years; (6) holds accreditation with or is a candidate for accreditation by a nationally recognized accrediting authority for postsecondary vocational and technical education; (7) enrolls the full-time equivalent of not less than 100 students, of whom a majority are Indians; and (8) receives no funds under the Tribally Controlled College or University Act of 1978 or the Navajo Community College Act.

**Beneficiary Eligibility:**

American Indians and Native Alaskans will benefit.

**Credentials/Documentation:**

Legal signature by a designated official on the application is required. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. Application notices are published in the Federal Register.

**Application Procedure:**

Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines as published in the Federal Register.

**Award Procedure:**

Applications are reviewed in accordance with regulations in 34 CFR Part 75.

**Deadlines:**

Notice of application deadlines are published in the Federal Register. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The total project period may not exceed five years.



**Reports:**

Financial status and performance reports as required by the Department of Education General Administrative Regulations, 34 CFR 75.720 must be maintained. Specific reporting requirements are contained in the award document.

**Audits:**

Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of grants.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$7,366,000; FY 08 est \$7,546,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 08, awards ranged from \$2,879,000 to \$4,483,000.

**PROGRAM ACCOMPLISHMENTS:**

Two awards were made in FY 06. The recipients served the full time equivalent of 2,300 Indian students in school year 2006-07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, DC 20202-7242; Contact: Lois Davis. E-mail: Lois.davis@ed.gov. Telephone: (202) 245-7784.

**Web Site Address:**

<http://www.ed.gov/programs/tcpvi/index.html>.

**RELATED PROGRAMS:**

84.048, Career and Technical Education -- Basic Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

Navajo Technical College, Crownpoint, New Mexico, and United Tribes Technical College, Bismarck, North Dakota, have received grants. Funds have been used by grantees to train teachers; to purchase equipment; to provide instructional services, child care, and other family support services; to provide student stipends; and to provide institutional support.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are published in the Federal Register.

**84.246 REHABILITATION SHORT-TERM TRAINING****FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302, 29 U.S.C. 774.

**OBJECTIVES:**

To support special seminars, institutes, workshops, and other short-term courses in technical matters relating to the delivery of vocational, medical, social, and psychological services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational and independent living rehabilitation of individuals with disabilities, such as rehabilitation disciplines and program areas supported under the Rehabilitation Training program. Conferences and meetings where training is not the primary focus may not be supported under this program.

**Applicant Eligibility:**

State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

**Beneficiary Eligibility:**

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit. Projects under this program are designed to provide short-term training and technical instruction in areas of special significance to the delivery of vocational, medical, social, and psychological rehabilitation services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected

the program for review.

**Application Procedure:**

New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.246. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by panels of field readers. Each panel includes two or more nonfederal members with experience and training in the proposed area of training.

**Deadlines:**

Deadlines are published in the Federal Register; contact the program office for application deadlines and other information.

**Range of Approval/Disapproval Time:**

The range is from 120 to 160 days.

**Appeals:**

None.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine adequate performance.

**Formula and Matching Requirements:**

A grantee must contribute to the cost of a project under this program in an amount that satisfies the Secretary. The part of the costs to be borne by the grantee is determined by the Secretary at the time of the award.

**Length and Time Phasing of Assistance:**

Projects are generally supported for one to five years. Funds are granted on a twelve month basis. Renewals are subject to the availability of funds.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award terms and conditions.

**Audits:**

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$750,000; FY 08 est \$750,000; and FY 09 est \$750,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$250,000 in FY 07.

**PROGRAM ACCOMPLISHMENTS:**

Funds have been used to conduct training activities for personnel of Client Assistance programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 34 CFR 390.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rehabilitation Services Administration, Office of Special Education and Rehabilitative Services, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-2649. Contact: Ruth Brannon. E-mail: ruth.brannon@ed.gov. Telephone: (202) 245-7278.

**Web Site Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.129, Rehabilitation Long-Term Training.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects have provided curriculum materials and training for Client Assistance programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of key personnel, plan of operation, budget and cost-effectiveness, adequacy of resources, evidence of need, relevance to the State/Federal rehabilitation service program, and nature and scope of training program content are included in the selection criteria.

**84.250 REHABILITATION SERVICES-AMERICAN INDIANS WITH DISABILITIES****FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Part C.

**OBJECTIVES:**

To provide vocational rehabilitation services to American Indians with disabilities that reside on Federal or State reservations in order to prepare them for suitable employment.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects provide financial assistance for the establishment and operation of tribal vocational rehabilitation service projects for American Indians with disabilities residing on reservations.

**Applicant Eligibility:**

Governing bodies of Indian tribes or consortia of those governing bodies on Federal and State reservations may apply.

**Beneficiary Eligibility:**

American Indians with disabilities residing on or near a Federal or State reservation (including Native Alaskans) and meet the definition of an individual with a disability in Section 7 (8) (A) of the Rehabilitation Act.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:**

Applications should be submitted to the Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS, for new projects and the Commissioner of Rehabilitation Services for continuation projects.

**Deadlines:**

Contact headquarters or regional offices for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Projects with multi-year project periods may be continued based on an annual review of accomplishments and availability of adequate funds.

**Formula and Matching Requirements:**

Projects generally require ten percent matching in cash or in-kind.

**Length and Time Phasing of Assistance:**

Project support is available for up to 5 years.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records are for individual clients. Fiscal records are prescribed for audit purposes. Retention of records are required for three years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$33,444,000; FY 08 est \$34,892,000; and FY 09 est \$34,892,000.

**Range and Average of Financial Assistance:**

In FY 2008, the range of awards is expected to be \$280,000 to \$1,959,086, with an average award of about \$467,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, about 1,500 American Indians with disabilities achieved an employment outcome.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR 75, 77, 80, 81, 82, and 85. Vocational Rehabilitation Service Projects for American Indians with Disabilities regulations 34 CFR 371.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: Alfreda Reeves,

E-mail: [alfreda.reeves@ed.gov](mailto:alfreda.reeves@ed.gov). Telephone: (202) 245-7485.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

Projects provide a range of vocational rehabilitation service comparable to those provided by the State Vocational Rehabilitation Services program, such as counseling, vocational training, mental and physical restoration and job placement. Projects have demonstrated improvements in the provision of services by implementing management systems, data collection models, and the utilization of service codes comparable to those by State rehabilitation agencies.

**CRITERIA FOR SELECTING PROPOSALS:**

The availability of funds is published in the Federal Register. Applications for discretionary grants are subject to peer review procedures by Federal and nonfederal experts that lead to recommendations for approval or disapproval. Criteria include plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, adequacy of resources, and evidence of need. These criteria are published in the program regulations at 34 CFR 371.

**84.256 FREELY ASSOCIATED STATES-EDUCATION GRANT PROGRAM****FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part A, Section 1121 (a), (b) and (c), 20 U.S.C. 6331.

**OBJECTIVES:**

To support activities consistent with the purposes of the Elementary and Secondary Education Act, including teacher training, curriculum development, instructional materials or general school improvement and school reform, and direct educational services..

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for activities consistent with the purposes of the Elementary and Secondary Education Act.

**Applicant Eligibility:**

Local educational agencies (LEA) in the Republic of Palau and in the outlying areas (American Samoa, Guam, the commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Beneficiary Eligibility:**

Local educational agencies in the Republic of Palau and in the outlying areas (American Samoa, Guam, the commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Provided by the Pacific Resources for Education and Learning (PREL). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Section 1121 of Title I requires that the Department reserve up to \$5 million from Title I Grants to LEA funds each fiscal year for competitive grants to local educational agencies in the outlying areas (American Samoa, Guam, the commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands), and the Republic of Palau. Of this amount, the Secretary may reserve 5 percent to pay the administrative costs of the Pacific Resources for Education and Learning (PREL) regarding activities assisted under this program. PREL conducts the award competition and makes recommendations to the Secretary regarding the award of grants.

**Award Procedure:**

Applications for continuations are submitted to the Department of Education, Office of Elementary and Secondary Education, School Support and Technology Programs, Washington, DC. PREL conducts the competition for grants and submits recommendations of applications for funding to the Secretary of Education. The Secretary awards grants taking into consideration the recommendations of PREL.

**Deadlines:**

Determined according to grant competition schedule. Contact the program office for information.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

None.

**Renewals:**

Continuation awards of 12 months each may be made for a total of 36 months. Continuations are contingent upon evidence of satisfactory progress toward goals and objectives and subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to 36 months with annual continuations. Renewals are subject to the availability of funds.

**Reports:**

Annual performance reports are required.

**Audits:**

The Single Audit Act applies.

**Records:**

Records must be maintained as necessary for audit and for three years after the program ends.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$3,817,913; FY 08 est \$3,811,099; and FY 09 est \$3,811,099.

**Range and Average of Financial Assistance:**

For 2008, awards are expected to range between \$250,000 and \$1,126,000.

**PROGRAM ACCOMPLISHMENTS:**

Five awards are made annually.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information, contact the program office.

**Regional or Local Office:**

Contact the PREL office.

**Headquarters Office:**

U.S. Department of Education, OESE School Support and Technology Programs 400 Maryland Ave., S.W., Rm. 3E245, FB-6 Washington DC 20202-6140 Contact: Valerie Rogers E-mail Address valerie.rogers@ed.gov. Telephone (202) 260-2543.

**Web Site Address:**

<http://www.ed.gov/programs/tfasegp/index.html> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Overall school improvements and reform, and other activities such as preschool programs, staff development academics, and programs to improve teaching and learning in core academic subjects, including mathematics, science, foreign languages, and other subjects.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed in accordance with criteria in the application package.

**84.257 NATIONAL INSTITUTE FOR LITERACY**

(NIL)

**FEDERAL AGENCY:**

NATIONAL INSTITUTE FOR LITERACY, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Adult Education and Family Literacy Act, Section 242.

**OBJECTIVES:**

To provide national leadership regarding literacy; to coordinate literacy services and policy; and to serve as a national resource for adult education and literacy programs through dissemination.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Contracts); Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

Projects cannot duplicate activities being performed by the Secretary of Education. This program is governed by an interagency group made up of the Secretaries of Education, Health and Human Services, and Labor.

**Applicant Eligibility:**

Public and private nonprofit institutions may apply.

**Beneficiary Eligibility:**

State literacy resource centers, individuals, universities, and education organizations benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application procedures are set forth in the announcements in the Federal Register or FebBizops.

**Award Procedure:**

Announcements are made in the Federal Register or the Commerce Business Daily. Contact the headquarters office for details.

**Deadlines:**

Dates are published in the Federal Register. Contact the headquarters office for particular project deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 60-90 days.

**Appeals:**

Appeals can be made directly to the Director of the National Institute for

Literacy.

**Renewals:**

If funding is available, renewals are possible for multi-year grants.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length of grants vary depending upon the type of project.

**Reports:**

Reporting requirements are included in grant documents. Contact the program office for additional information.

**Audits:**

Audits as required by EDGAR.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants and Contracts) FY 07 \$3,989,000; FY 08 est \$3,906,000; and FY 09 \$3,906,000.

**Range and Average of Financial Assistance:**

Varies considerable depending on the project.

**PROGRAM ACCOMPLISHMENTS:**

The Institute has created the Literacy Information and Communications System (LINCS), on information and communication network on the Internet that provides information on effective literacy practices.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Acquisition Regulations and EDGAR apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute for Literacy, 1775 I Street, N.W., Washington, DC 20006. Contact: Director, NIL. Telephone: (202) 233-2025. E-mail address: [www.nifl.gov](http://www.nifl.gov).

**Web Site Address:**

<http://www.nifl.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Institute has funded development of research-based publications on adult reading instruction: Applying Research in Reading Instruction for Adults: First Steps for Teachers and Teaching Adults to Read: A Summary of Scientifically Based Research Principles. It has contributed \$10 million to a national research program to build understanding of how adults learn to read and how to teach reading to adults effectively. Through a national survey, the Institute is exploring the relationships between adult literacy policies and student outcomes to learn more about the contributions policy can make. It also has convened regional summits on health literacy and a national summit on strengthening instruction and improving performance management in community literacy initiatives. The Institute is working with nationally recognized experts and stakeholders to plan new initiatives to fill gaps in knowledge and services in the areas of adult English language acquisition, adult literacy, workforce basic skills development, and education and employment outcomes for youth with learning disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

For specific criteria on individual grants, the Institute should be contacted.

**84.258 EVEN START-INDIAN TRIBES AND TRIBAL ORGANIZATIONS****FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended; Title I, Part B, Subpart 3, 20 U.S.C. 6381-6381k.

**OBJECTIVES:**

To help break the cycle of poverty and illiteracy and improve the educational opportunities of low-income families through family literacy programs that integrate early childhood education, adult basic education, and parenting education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds are used for activities such as recruitment and screening of children and parents, design of programs, instruction for children and parents, staff training, support services, evaluation, and coordination with other programs. Indirect costs are not an allowable project cost unless a waiver is obtained from the Secretary of Education.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations as defined in the



Indian Self-Determination and Education Assistance Act, Section 4, may apply.

**Beneficiary Eligibility:**

Parents eligible for participation under the Adult Education Act, and their children from birth to seven years old will benefit. Families must be in need of Even Start Services, as indicated by a low income level and a low level of adult literacy or English language proficiency, or other need-related indicators.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications from Federally recognized Indian tribes and tribal organizations must be submitted in accordance with the regulations, instructions, and forms included in the grant application package.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department's Grant and Contracts Service in cooperation with program staff.

**Deadlines:**

Deadlines are announced in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants are for up to 4 years with annual renewals subject to the approval of the Department of Education and the availability of funds. Applicants may reapply at the end of the grant period, but may not receive funds for more than 8 years.

**Formula and Matching Requirements:**

The Federal share of the cost of a subgrant project is not more than 90 percent in the first year, 80 percent in the second year, 70 percent in the third year, 60 percent in the fourth year, and 50 percent in any subsequent year.

**Length and Time Phasing of Assistance:**

Grants may not exceed four years.

**Reports:**

Annual performance reports are required.

**Audits:**

In accordance with the Education Department General Administration Regulations in 34 CFR 80, State and local Governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80. For this purpose, the term "State" includes any Indian tribe.

**Records:**

In accordance with the Education Department General Administrative Regulations (EDGAR), certain project records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$1,189,241; FY 08 est \$951,816; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Grants range from \$100,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

An estimated 5 grants will be funded in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 75, 77, 80, 82, and 85. For more information contact the program office.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, Office of Elementary and Secondary Education, 400 Maryland Avenue, SW., Washington, DC 20202-6132. Contact: Patricia McKee. E-mail Address patricia.mckee@ed.gov Telephone: (202) 260-0991.

**Web Site Address:**

<http://www.ed.gov/programs/evenstartindian/index.html>

**RELATED PROGRAMS:**

84.002, Adult Education - Basic Grants to States; 84.010, Title I Grants to Local Educational Agencies; 84.011, Migrant Education State Grant Program; 84.213, Even Start State Educational Agencies; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

Tribal Projects include the grant to San Pasqual of Mission Indians in Valley Center, California. This project is based on economic self-sufficiency and promoting healthy families including scientifically based resources and parent support. The comprehensive program integrates literacy, academics, culture, parenting and self-sufficiency through the four Even Start components.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria in the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.209 and 75.210 are used to evaluate applications.

## 84.259 NATIVE HAWAIIAN CAREER AND TECHNICAL EDUCATION

**FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title I, Section 116(b)(h), Public Law 109-270, 20 U.S.C. 2326(h).

**OBJECTIVES:**

To make grants to organizations primarily serving and representing Native Hawaiians for programs or portions of programs authorized by, and consistent with, the Carl D. Perkins Career and Technical Education Act.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Native Hawaiians. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Any organization primarily serving and representing Native Hawaiians and recognized by the Governor of Hawaii may apply.

**Beneficiary Eligibility:**

Native Hawaiians will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 applies in the case of university grantees and OMB Circular No. A-122 applies to nonprofit grantees.

**Preapplication Coordination:**

The standard application form as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. Application notices are published in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be prepared and submitted in accordance with program announcements which are published in the Federal Register. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Secretary of Education approves the application using the selection criteria in 34 CFR Part 75 and in the Federal Register notice, and after negotiation is completed, the Department of Education Grants Officer sends the Notification of Grant Award to the recipient.

**Deadlines:**

Notice of application deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

None.

**Renewals:**

Awards are made for 1 year and may be renewed for one additional year, subject to acceptable performance reports and the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The total project period may not exceed 2 years. Renewals are subject to the availability of funds and grantee performance.

**Reports:**

Specific reporting requirements are contained in the grant award documents.

**Audits:**

Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Grants) FY 07 \$2,954,000; FY 08 est \$2,902,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be between \$250,000 to \$500,000; the average will be approximately \$295,600.

**PROGRAM ACCOMPLISHMENTS:**

Native Hawaiian access to high-quality, state-of-the-art career education has improved with the initiation of several entrepreneurship projects (forestry trade, mushroom growing, aquaculture, small business management) related to the changing Hawaiian economy, environmentally-focused projects, and assistance with guidance, counseling and education supplies for collegiate Native Hawaiians.

## REGULATIONS, GUIDELINES, AND LITERATURE:

34 CFR Part 75.

### Regional or Local Office:

None.

### Headquarters Office:

Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, DC 20202-7242.  
Contact: Nancy Essey. E-mail: nancy.essey@ed.gov. Telephone: (202) 245-7789.

### Web Site Address:

<http://www.ed.gov/programs/ctenhvep/index.html>.

### RELATED PROGRAMS:

84.048, Career and Technical Education -- Basic Grants to States.

### EXAMPLES OF FUNDED PROJECTS:

In the past, program funds have supported a forestry and wood trades project on the island of Hawaii, an aquaculture (fish growing in ancient, reclaimed ponds) project on the Island of Molokai, a small business ownership project for adults and a mushroom growing project in a high school on the Island of Oahu, community college guidance and counseling throughout the Islands, and an entrepreneurship project for learning disabled and emotionally challenged teenagers have been funded with one grant awarded to ALU LIKE, Inc.

### CRITERIA FOR SELECTING PROPOSALS:

The following criteria are used in reviewing applications. A segment or segments of an application should address each criterion. Points are awarded to the extent that evidence in the application satisfies each criterion: (A) Program design; (B) management plan; (C) key personnel; (D) evaluation plan; and (E) budget and cost-effectiveness.

## 84.263 REHABILITATION TRAINING-EXPERIMENTAL AND INNOVATIVE TRAINING

### FEDERAL AGENCY:

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Rehabilitation Act of 1973, as amended, Title III, Section 302, 29 U.S.C. 774.

### OBJECTIVES:

This program is designed to: (a) Develop new types of training programs for rehabilitation personnel and to demonstrate the effectiveness of these new types of training programs for rehabilitation personnel in providing rehabilitation services to individuals with disabilities; and (b) develop new and improved methods of training rehabilitation personnel so that there may be a more effective delivery of rehabilitation services by State and other rehabilitation agencies.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Training grants are provided in fields directly related to the vocational and independent living rehabilitation of individuals with disabilities.

### Applicant Eligibility:

State vocational rehabilitation agencies, including Territories and other public or nonprofit agencies and organizations (including institutions of higher education) may apply.

### Beneficiary Eligibility:

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit.

### Credentials/Documentation:

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

### Preapplication Coordination:

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.263. This program is subject to the provisions of OMB Circular No. A-110.

### Award Procedure:

New and continuation grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel will include nonfederal consultants with experience and training in the proposed area of training.

### Deadlines:

Deadlines are published in the Federal Register or you may contact the program office for application deadlines.

### Range of Approval/Disapproval Time:

From 120 to 160 days.

### Appeals:

None.

### Renewals:

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

### Formula and Matching Requirements:

Grantees are required to share in the costs of projects with the proportion subject to individual negotiation.

### Length and Time Phasing of Assistance:

Projects may generally be supported for a maximum of 5 years. Funds are granted on a 12-month basis. Renewals are subject to the availability of funds.

### Reports:

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

### Audits:

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Proper records must be maintained as required by the Education Department General Administrative Regulations (EDGAR) or until all audit questions are resolved.

### Account Identification:

91-0301-0-1-506.

### Obligations:

(Grants and Contracts) FY 07 \$0; FY 08 est \$500,000; and FY 09 est \$500,000.

### Range and Average of Financial Assistance:

Average \$125,000 in FY 08.

### PROGRAM ACCOMPLISHMENTS:

A wide variety of strategies to develop new and improved methods of training rehabilitation personnel to support the effective delivery of rehabilitation services are being funded. Curriculum development efforts address adaptive technology training, computer-based learning, use of natural supports at the work site, and interdisciplinary instruction for dentistry professionals on rehabilitation and the needs of individuals with disabilities.

## REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations can be found in 34 CFR 385 and 387.

### Regional or Local Office:

None.

### Headquarters Office:

Rehabilitation Services Administration, Office of Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202-2649. Contact: Ruth Brannon. E-mail: ruth.brannon@ed.gov. Telephone: (202) 245-7278.

### Web Site Address:

<http://www.ed.gov/offices/OSERS/RSA>.

### RELATED PROGRAMS:

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States.

### EXAMPLES OF FUNDED PROJECTS:

(1) An innovative model for rehabilitation engineering technology training; (2) a competency-based individualized training project using interactive videodisc technology training; and (3) a computer-based training program for rehabilitation professionals in the areas of head injury rehabilitation and supported employment.

### CRITERIA FOR SELECTING PROPOSALS:

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects are in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 387.

## 84.264 REHABILITATION TRAINING-CONTINUING EDUCATION

### FEDERAL AGENCY:

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Rehabilitation Act of 1973, Title III, Section 302, as amended, 29 U.S.C. 774.

### OBJECTIVES:

To support training centers that serve either a Federal region or another geographical area and provide for a broad integrated sequence of training activities that focus on meeting recurrent and common training needs of employed rehabilitation personnel throughout a multi-State geographical area.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of continuing education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

Institutions of higher education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attn: 84.264. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel will include nonfederal consultants with experience and training in the proposed area of training.

**Deadlines:**

Deadlines are published in the Federal Register. Contact the program office for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

None.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

Grantees are required to share in the cost of projects with the proportion subject to individual negotiation.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, 12-month budget periods. Renewals are subject to the availability of funds.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper records must be maintained as required by the Education Department General Administrative Regulations (EDGAR) or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$10,071,000; FY 08 est \$8,090,000; and FY 09 est \$8,090,000.

**Range and Average of Financial Assistance:**

Competition in FY 08 ranges from \$711,000 to \$969,000 for each 12 month period.

**PROGRAM ACCOMPLISHMENTS:**

Training by the projects addressed rehabilitation staff training needs in human resource development, independent living rehabilitation, management of rehabilitation facilities, and supported employment.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 389.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rehabilitation Services Administration, Office of Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-2649. Contact: Ruth Brannon, Telephone: (202) 245-7278.

**Web Site Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

RCEPs provide training for State agency staff and for the staffs of related public and private nonprofit rehabilitation agencies.

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects in the application notice are considered. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 389.

## 84.265 REHABILITATION TRAINING-STATE VOCATIONAL REHABILITATION UNIT IN-SERVICE TRAINING

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302(g)(3), 29 U.S.C. 774.

**OBJECTIVES:**

This program is designed to support special projects for training State vocational rehabilitation unit personnel in program areas essential to the effective management of the unit's program of vocational rehabilitation services or in skill areas that enable staff personnel to improve their abilities to provide vocational rehabilitation services to individuals with disabilities. Projects are designed to: (1) address recruitment and retention of qualified rehabilitation professionals; (2) provide for successful planning; (3) provide for leadership development and capacity building; and (4) provide training on the Rehabilitation Act of 1973, as amended.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Training grants may only be made to agencies designated to administer the State vocational rehabilitation program. Fifteen percent of the funds appropriated for the Rehabilitation Services Administration Training program must be allocated for In-Service Training.

**Applicant Eligibility:**

State vocational rehabilitation agencies, including territories, may apply.

**Beneficiary Eligibility:**

Individuals employed by designated State rehabilitation agencies will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

New applications are made to the Department of Education, Application Control center, 400 Maryland Avenue, S.W., Washington, DC 20200-4725. Attn: 84.265. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel will include nonfederal consultants with experience and training in the proposed area of training.

**Deadlines:**



Deadlines are published in the Federal Register; contact the program office for application deadlines and other information.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

None.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

Grantees are required to share ten percent of the cost of projects.

**Length and Time Phasing of Assistance:**

Projects may generally be supported for a maximum of 5 years, with 12-month budget periods. Renewals are subject to the availability of funds.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$5,766,000; FY 08 est \$5,766,000; FY 09 est \$5,766,000.

**Range and Average of Financial Assistance:**

\$18,883 to \$301,553 for basic awards; \$20,881 to \$109,784 for quality awards in FY 08.

**PROGRAM ACCOMPLISHMENTS:**

State vocational rehabilitation agencies employ more than 25,000 individuals. It is estimated that more than 13,000 individuals participated in one or more activities sponsored under the State VR Unit In-Service Training Program in FY 07. Agencies reported that special emphasis was given to training staff on human resource development and on providing rehabilitation services to underserved populations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rehabilitation Services Administration, Office of Special Education and Rehabilitative Services, Department of Education, Washington, DC 20202-2649. Contact: Ruth Brannon, Telephone: (202) 245-7278.

**Web Site Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126, Rehabilitation Services\_Vocational Rehabilitation Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program is considered. Priorities for certain projects are stated in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 388.

## 84.268 FEDERAL DIRECT STUDENT LOANS

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part D, as amended.

**OBJECTIVES:**

To provide loan capital directly from the Federal government (rather than through private lenders) to vocational, undergraduate, and graduate postsecondary school students and their parents.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford loans begins six months after the student ceases to carry at least

one-half the normal full-time academic workload. Repayment of principal and interest on PLUS loans generally begins within 60 days of disbursement of the last installment, repayment of a consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferments and forbearance of payment may be granted for certain authorized periods.

**Applicant Eligibility:**

The applicant must be a U.S. citizen, national, or person in the United States for other than a temporary purpose. A student borrower must be enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school. An otherwise eligible student is eligible for loans during a single twelve-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Direct PLUS program, parents may borrow for dependent students. Also, graduate and professional students are eligible to borrow PLUS Loans. Direct Unsubsidized and PLUS loans are non-need based programs. In order to receive a Direct Subsidized Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest. A student that is presently enrolled at a participating institution must be maintaining satisfactory academic progress in the course of study that they are pursuing. The borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a Statement of Registration compliance (Selective Service). Borrowers that are unable to obtain consolidation loans from lenders under FFEL or who are unable to obtain a consolidation loan with income sensitive repayment terms acceptable to the borrower from a lender, shall be eligible for a Direct Consolidation Loan. Married couples may consolidate eligible loans.

**Beneficiary Eligibility:**

Vocational, undergraduate, and graduate postsecondary school students and their parents.

**Credentials/Documentation:**

The borrower will need certification of eligibility from the school and may be required to supply documentation to verify the accuracy of data used in the Direct Subsidized loan need analysis.

**Preapplication Coordination:**

Information regarding application procedures may be obtained from the school and the Department of Education. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for the Direct Subsidized and Unsubsidized loans are obtained from the school. Direct consolidation loan applications are obtained from the Department of Education. To obtain a Direct Subsidized or Unsubsidized loan, a student shall complete and submit a Free Application for Federal Student Aid (FAFSA). All applications (with the exception of PLUS) for Direct Loans are processed by the Central Processor System (CPS) in the initial step to determine a student's Title IV eligibility. Schools will receive official output from CPS. With the school will be able to assemble a financial aid award package. A school participating in the Direct Loan program may award Direct Loans as part of the financial aid package. If a Direct Loan is not included in the aid package, a student may contact the school to request loan information.

**Award Procedure:**

Schools participate in the Direct Loan program either by originating loans or by using an alternative originator to originate loans. The school must certify the borrower's eligibility to receive the funds. To obtain a Direct PLUS Loan, the parent shall complete an application and authorize a credit check. If the parent does not have an adverse credit history the loan maybe disbursed. Schools may disburse funds by crediting them directly to the student's account at the school, issuing a check or cash, or by initiating an electronic fund transfer.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The interest rate on new Stafford and Unsubsidized Stafford Loans starting July 1, 2006 is fixed at 6.8 percent. The College Cost Reduction and Access Act (CCRAA) of 2007 authorized phased reductions to the interest rates for Subsidized Stafford loans borrowed by undergraduates with the rate cut in half to 3.4 percent on July 1, 2011. There are four repayment plans that are available for Direct Loan borrowers: (1) A standard repayment plan with a fixed monthly payment amount over a period of up to 10 years; (2) an extended repayment plan with a fixed

monthly payment amount paid over a period of 12 to 30 years, depending on the amount owed; (3) a graduated repayment plan with a monthly payment that will increase generally every 2 years. The repayment period varies from 12 to 30 years, depending on the amount owed; and (4) except for Direct PLUS Loan borrowers, an income contingent repayment (ICR) plan with a monthly payment that is adjusted annually based on the income of the borrower and paid over an extended period of time not to exceed 25 years. Any unpaid balance remaining after 25 years in the ICR plan is forgiven by the Secretary of Education. However, under current IRS rules, the amount written off is considered taxable income to the borrower in the year it is written off. A legislative change removing this taxable treatment has been sought. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option. CCRAA also created a new loan forgiveness program for Direct Loan borrowers who work in public service during a 10-year period while they are repaying their loans. If these borrowers during repayment have an outstanding loan balance after 10 years of working in public service, the Federal Government will forgive the remaining balance on behalf of the borrower. Public service may include a variety of public disciplines such as education, health, law, military service and public safety.

**Reports:**

The Department will produce a variety of management information system accounting, and financial management reports. Schools must submit all reports required by 34 CFR 685 and 34 CFR 668.

**Audits:**

Schools are subject to examination and program review by the Department of Education. Program reviews are performed on a fiscal year basis.

**Records:**

Schools must maintain proper administrative and fiscal procedures and all necessary records as set forth in the regulations in 34 CFR 685 and 34 CFR 668. Schools must keep all records involved in any loan, claim, or expenditure questioned by a Federal audit until resolution of any audit questions. In addition to records required by 34 CFR 668, for each Direct Loan received under 34 CFR 685 by or on behalf of this student, a school shall maintain a copy of the loan application and data electronically submitted to the Secretary.

**Account Identification:**

91-0243-0-1-502.

**Obligations:**

(Loan volume, net of consolidations) FY 07 \$13,022,000,000; FY 08 est \$14,103,000,000; and FY 09 est \$14,867,000,000. DL Consolidation volume: FY 07 \$3,484,000,000; FY 08 est \$4,116,000,000; and FY 09 est \$4,426,000,000.

**Range and Average of Financial Assistance:**

Varies depending on the type of loan.

**PROGRAM ACCOMPLISHMENTS:**

In 2007, over 2.9 million loans had been made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Student Loan Reform Act of 1993, Public Law 103-66, 34 CFR 685.

**Regional or Local Office:**

See the list of Regional Offices listed in Appendix 5 of the FFEL Catalog.

**Headquarters Office:**

Federal Direct Loans, Office of Postsecondary Education, Department of Education, Washington, DC 20202. Telephone: (800) 433-3243.

**Web Site Address:**

<http://www.ifap.ed.gov/>.

**RELATED PROGRAMS:**

64.117, Survivors and Dependents Educational Assistance; 84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.069, Leveraging Educational Assistance Partnership.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.269 INSTITUTE FOR INTERNATIONAL PUBLIC POLICY

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part C, as amended.

**OBJECTIVES:**

To establish an institute for international public policy. This institute shall conduct a program to significantly increase the numbers of African Americans

and other under represented minorities in the international service, including private international voluntary organizations and the foreign service of the United States.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds may be used to support: (1) a sophomore-year summer policy institute; (2) a junior-year abroad program; (3) a junior-year summer policy institute; (4) internships--junior year, senior year, and postbaccalaureate; (5) a senior language institute; (6) a master's degree program in international affairs; and (7) institutional grants to strengthen undergraduate international affairs programs at selected campuses.

**Applicant Eligibility:**

A consortium consisting of one or more of the following entities: An institution eligible for assistance under Part B of Title III of the Higher Education Act of 1965, as amended; an institution of higher education that serves substantial numbers of African Americans or other underrepresented minority students and an institution of higher education with programs in training foreign service professionals.

**Beneficiary Eligibility:**

Institutions of higher education and minority students will benefit.

**Credentials/Documentation:**

None. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Technical assistance in preparing applications is available from the agency information contact listed below. An informal preapplication conference with the agency information contact is recommended. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible consortia may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the International Studies Team of the International Education and Graduate Programs Service (IEGPS).

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Deadlines will be announced in the Federal Register.

**Range of Approval/Disapproval Time:**

The range is approximately 90 days.

**Appeals:**

There are no appeals.

**Renewals:**

The project period may last up to 60 months. Applicants must receive annual approval for renewals.

**Formula and Matching Requirements:**

The Federal share for each fiscal year shall not exceed 50 percent of the cost of each project.

**Length and Time Phasing of Assistance:**

A grant is awarded for a 60 month period; subject to the availability of funds.

**Reports:**

The Institute shall annually prepare a report on the activities of the Institute and shall submit it to the Secretary of Education and the Secretary of State.

**Audits:**

All fiscal records will be subject to audit by the Department of Education at any time within 3 years after expiration of the grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For 3 years after the close of the fiscal year that the grant expired; or (2) until grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$1,599,840; FY 08 \$1,670,301; and FY 09 est \$1,670,301.

**Range and Average of Financial Assistance:**

One award is made for the entire amount available.

**PROGRAM ACCOMPLISHMENTS:**

One award was made in fiscal year 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington DC

20202-5331. Contact: Tanyelle Richardson. E-mail: tanyelle.richardson@ed.gov Telephone: (202) 502-7626.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsiiip/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.018, Overseas Programs -Special Bilateral Projects; 84.019, Overseas Programs - Faculty Research Abroad; 84.021, Overseas Programs - Group Projects Abroad; 84.022, Overseas Programs - Doctoral Dissertation Research Abroad; 84.153, Business and International Education Projects; 84.220, Centers for International Business Education; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

Included among the activities implemented by the grantee are: (1) a sophomore-year summer policy institute; (2) a junior-year abroad program; (3) a junior-year summer policy institute; (4) internships--junior year, senior year, and postbaccalaureate; (5) a senior language institute; (6) a master's degree program in international affairs; and (7) institutional grants to strengthen undergraduate international affairs programs at selected campuses.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection Criteria: The selection criteria are from 34 CFR sections 655.31, 669.20, 669.21, and 669.22 and are as follows--Plan of operation (15 points); Quality of key personnel (10 points); Adequacy of resources (5 points); Need and potential impact (20 points); Likelihood of achieving results (10 points); Description of final form of result (10 points); Evaluation plan (20 points); Budget and cost-effectiveness (10 points); and Priorities (20 points). Criteria are subject to change. Contact program office for further information.

## 84.274 AMERICAN OVERSEAS RESEARCH CENTERS

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act, Title VI, Part A, Section 609, as amended.

**OBJECTIVES:**

To enable American overseas research centers, that are consortia of higher education institutions, to promote postgraduate research, exchanges, and area studies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including the cost of faculty and staff stipends and salaries; faculty, staff, and student travel; the operation and maintenance of overseas facilities; the cost of teaching and research materials; the cost of bringing visiting scholars and faculty to a center to teach or to conduct research; the cost of organizing and managing conferences; and the cost of publishing and disseminating materials for the scholarly and general public.

**Applicant Eligibility:**

The Secretary shall only award grants to centers that: (1) Receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code.

**Beneficiary Eligibility:**

Consortia of institutions of higher education that (1) Receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Eligible centers may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the program.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Deadlines will be announced in the Federal Register.

**Range of Approval/Disapproval Time:**

The range is approximately 90 days.

**Appeals:**

None.

**Renewals:**

Centers selected to receive funds for the four year program must submit performance reports for continuation of support. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods for a total project period of up to 48 months.

**Reports:**

Funded projects must provide reports within 90 days of termination of each of the three twelve month grant periods and a final report within 90 days of termination of the last twelve month grant period.

**Audits:**

All fiscal records will be subject to audit by the Department of Education any time within three years after expiration of the grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For three years after the close of the fiscal year that the grant expired; or (2) until the grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$1,000,000; FY 08 \$1,200,000; and FY 09 est \$1,000,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$84,000 to \$129,000; the average award is expected to be \$109,000.

**PROGRAM ACCOMPLISHMENTS:**

Eleven continuation grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is governed by the authorizing legislation and the Education Department General Administrative Regulations, 34 CFR 74 through 77, 79 through 82, 85, and 86. Application guidelines will be announced in the Federal Register. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-5331. Contact: Cheryl Gibbs, E-mail: Cheryl.Gibbs@ed.gov, Telephone: (202) 502-7634.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsaorc/>.

**RELATED PROGRAMS:**

84.015, National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016, Undergraduate International Studies and Foreign Language Programs; 84.017, International Research and Studies; 84.019, Overseas Programs - Faculty Research Abroad; 84.022, Overseas Programs -Doctoral Dissertation Research Abroad; 84.153, Business and International Education Projects; 84.220, Centers for International Business Education; 84.229, Language Resource Centers.

**EXAMPLES OF FUNDED PROJECTS:**

American Institute of Indian Studies (AIIS), founded in 1961, serves American scholars overseas, as a base for research and a liaison with scholars and research targets in India. Specific activities funded include library expansion, overseas director and staff salaries as well as operations and communications. American Research Institute in Turkey (ARIT) directly supports programs of fellowship for research and for language study in Turkey for American researchers and graduate students. Its programs, services, and facilities are available to all U.S. scholars at its Centers in Istanbul and Ankara. Specific activities funded include administrator and librarian salaries and overseas operations. American Center of Oriental Research ACOR serves American scholars of archaeology providing fellowship and publication programs, coordinating American archaeological work and interest in Jordan, and undertaking cooperative efforts on behalf of the Jordanian and American scholarly communities. Specific activities funded include administrative salaries, library acquisitions, and overseas operations.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection Criteria: The selection criteria for this program are from 34 CFR 75.209 (a) and 75.210, and are as follows--Meets the purposes of the authorizing statute (20 points); Need for project (15 points); Significance (10 points); Quality of the project design (15 points); Quality of project services (10 points); Quality of project personnel (10 points); Adequacy of resources (10 points); and Quality of the project evaluation (10 points). Additional information regarding these



criteria is in the application package for this competition. Criteria subject to change. Contact program office for further information.

## 84.275 REHABILITATION TRAINING-GENERAL TRAINING

### FEDERAL AGENCY:

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Rehabilitation Act of 1973, as amended, Title III, Section 302, 29 U.S.C. 774.

### OBJECTIVES:

To ensure that skilled personnel are available to provide rehabilitation services to individuals with disabilities through: (1) Vocational, medical, social, and psychological rehabilitation programs; (2) supported employment programs; and (3) independent living client assistance programs. To support projects that: (1) Maintain and upgrade basic skills and knowledge of personnel employed; and (2) increase the numbers of qualified personnel trained in providing rehabilitation services.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Training grants are limited to support of education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

### Applicant Eligibility:

State vocational rehabilitation agencies, and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

### Beneficiary Eligibility:

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and with OMB Circular No. A-21 for educational institutions.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications must be prepared and submitted in accordance with the notice published in the Federal Register. Contact the program office for more information. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circular No. A-110.

### Award Procedure:

Applications are reviewed by panels of field readers. Each panel will generally include two or more nonfederal members with experience and training in the proposed area of training.

### Deadlines:

Deadlines will be published in the Federal Register; contact the program office for application deadlines and information.

### Range of Approval/Disapproval Time:

The range of approval/disapproval time is approximately 120 to 160 days following the application deadline.

### Appeals:

None.

### Renewals:

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Projects generally may be supported for 1 to 5 years; with 12-month budget period. Renewals are subject to the availability of funds.

### Reports:

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

### Audits:

Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities

that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

As required by Education Department General Administrative Regulations (EDGAR).

### Account Identification:

91-0301-0-1-506.

### Obligations:

(Grants and Contracts) FY 07 \$300,000; FY 08 est \$300,000; and FY 09 est \$300,000.

### Range and Average of Financial Assistance:

None because only one award is supported.

### PROGRAM ACCOMPLISHMENTS:

Clearinghouse of rehabilitation training materials.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations can be found in 34 CFR 385.

### Regional or Local Office:

None.

### Headquarters Office:

Rehabilitation Services Administration, Office of Special Education and Rehabilitation Services, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Contact: Ruth Brannon. Telephone: (202) 245-7278.

### Web Site Address:

<http://www.ed.gov/offices/OSERS/RSA>.

### RELATED PROGRAMS:

84.129, Rehabilitation Long-Term Training.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Criteria are included in application notices. Contact the Program Office for this information.

## 84.282 CHARTER SCHOOLS

### FEDERAL AGENCY:

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Elementary and Secondary Education Act of 1965, as amended, Title V Part B, Subpart 1. 20 U.S.C. 8061-8067.

### OBJECTIVES:

The program supports the planning, development, and initial implementation of charter schools and the dissemination of information on charter schools. Charter schools provide enhanced parental choice and are exempt from many statutory and regulatory requirements. In exchange for this increased flexibility, charter schools establish plans to improve student academic achievement and to stimulate the creativity and commitment of teachers, parents, and the public.

### TYPES OF ASSISTANCE:

Project Grants (Discretionary).

### USES AND USE RESTRICTIONS:

Each State educational agency (SEA) receiving a grant should award subgrants to one or more eligible applicants in their State, enabling them to plan and implement a charter school. Each eligible applicant, other than an SEA, receiving funds from the Secretary or an SEA shall use the funds to plan and implement a charter school. Grantees receive up to 3 years of assistance, of which they may not use more than 18 months for planning and program design and not more than 2 years for the initial implementation of a charter school. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202)708-7770.

### Applicant Eligibility:

State educational agencies (SEAs) with specific statutes authorizing charter schools are eligible. If an eligible SEA elects not to participate in this program or does not have an approved application, authorized public chartering agencies participating in partnerships with charter school developers may apply, directly to the Secretary.

### Beneficiary Eligibility:

School administrators, teachers, and students and their parents are beneficiaries.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Contact the program office for application information. Application notices are published in the Federal Register.

### Award Procedure:

Contact the program office for this information.

### Deadlines:

Deadlines are published in the Federal Register.

### Range of Approval/Disapproval Time:

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 3 years, subject to the availability of funds.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. The programs office will establish a due date. Final performance reports must be submitted within 90 days after the end of the grant award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$214,783,000; FY 08 est \$211,031,000; and FY 09 est \$236,031,000. Note: The FY 2008 appropriation permits the Secretary to use, from the amount appropriated for the Charter School Program grants, up to \$21,031,000 for the State Charter School Facilities Incentive Grants program and Credit Enhancement for Charter School Facilities Program. From the \$211,031,000 available, the Department will use approximately \$190,000,000 for the Charter School Program grants (including national activities), \$12,731,000 for Charter School Facilities Incentive Grants program, and \$8,300,000 for the Credit Enhancement for Charter Schools Facilities program.

**Range and Average of Financial Assistance:**

Range of New Awards: \$1,690,000 - \$16,850,000 for SEAs; \$10,000 - \$15,000 (non-SEAs).

**PROGRAM ACCOMPLISHMENTS:**

Grants will support approximately 1,200 schools.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Education, OII Parental Options and Information 400 Maryland Ave., SW., 400 Maryland Ave., S.W., Washington, DC 20202. Contact: Dean Kern. E-mail: dean.kern@ed.gov. Telephone: (202) 260-1882.

**Web Site Address:**

<http://www.ed.gov/programs/charter/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects focus on: increasing the number of high-quality charter schools; improving student achievement in math and reading; strengthening the fiscal management and operations of charter schools; and promoting awareness of charter schools.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in program statute. Contact the program office for more information.

**84.283 COMPREHENSIVE CENTERS****FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Education Technical Assistance Act of 2002, Section 203.

**OBJECTIVES:**

This program supports 21 comprehensive centers that provide training and technical assistance, and professional development in reading, mathematics, and technology, particularly to school districts and schools that fail to meet their state's definition of adequate yearly progress (AYP). By statute, the Department is required to establish at least one center in each of the 10 geographic regions served by the Department's regional education laboratories.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Comprehensive Centers consist of 21 centers, including 16 regional centers and 5 content centers. Grantees are required to develop five-year plans for carrying out authorized activities that address state and regional needs. The 16 regional centers provide services primarily to State educational agencies to enable them to assist school districts, regional education agencies, and schools, especially low-performing schools. Each regional center provides training and technical assistance in: the implementation and administration of programs authorized under the Elementary and Secondary Education Act and the use of scientifically valid teaching methods and assessment tools in mathematics, science, reading and language arts. The 5 content centers focus on specific areas, with one center in each of five areas: accountability, instruction, teacher quality, innovation and improvement, and high schools. These centers supply much of the research-based information and products in the specific area that regional centers use when working with states.

**Applicant Eligibility:**

Research organizations, institutions, agencies, institutions of higher education (IHEs), or partnerships among such entities, or individuals that have the expertise to provide training to States, school districts, and schools may apply.

**Beneficiary Eligibility:**

Agencies supporting or providing elementary and secondary education will benefit, including state and local educational agencies, schools, Indian tribes, community-based organizations, and other recipients of funds under ESEA.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive review of applications, the Department makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards are made for up to five years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants may be awarded for up to five years subject to the availability of funds and performance by the grantee.

**Reports:**

Specified reporting requirements are included in the grant or cooperative agreement document.

**Audits:**

As required by EDGAR, 34 CFR 74.

**Records:**

Records must be kept for three years after the completion of the activity that grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$56,257,000; FY 08 est \$57,114,000; and FY 09 est \$57,114,000.

**Range and Average of Financial Assistance:**

For fiscal year 2007, the average award was \$2,678,893. Range \$860,000 - \$6,039,909.

**PROGRAM ACCOMPLISHMENTS:**

Awards were made to 21 centers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in The Department of Education's General Administrative Regulations (34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE, School Support and Technology Programs, 400 Maryland Ave. S.W., Washington DC 20202-6140. Contact: Fran Walter. E-mail: fran.walter@ed.gov. Telephone: (202) 205-9198.

**Web Site Address:**

<http://www.ed.gov/programs/newccp/index.html>.

**RELATED PROGRAMS:**

84.004, Civil Rights Training and Advisory Services; 84.168, Eisenhower

**EXAMPLES OF FUNDED PROJECTS:**

One comprehensive regional assistance center has set as its goal the implementation of a system of sustained and comprehensive support that improves teaching and learning in schools in the region, resulting in high academic achievement for all students, particularly those at risk of educational failure. The center provides support and professional development and assistance to schools; operates a coordinated system of technical assistance with partners at the local, State and national levels; and provides technical assistance and research-based information supported by technology. In working with client educational agencies, the center uses awareness of the need for change, greater responsibility for student achievement, requirements of recent legislation and the promise of technology as openings to help move clients from token or tentative reform measures to more comprehensive ones. Consistent with statutory priorities, the center concentrates on assisting school-wide programs and those who serve children from high-poverty schools.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Meeting the purpose of the authorizing statute; (2) extent of need for the center; (3) plan of operation; (4) quality of key personnel; (5) budget and cost-effectiveness; (6) evaluation plan; and (7) adequacy of resources.

**84.286 READY TO TEACH**

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title V, Part D, Subpart 8.

**OBJECTIVES:**

To carry out a national telecommunications-based program to improve teaching, and prepare students to achieve challenging academic standards, in core curriculum areas. The Ready to Teach program also supports digital educational programming grants that enable eligible entities to develop, produce, and distribute educational and instructional video programming.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Not more than five percent of the amount received under the grant may be used for administrative costs.

**Applicant Eligibility:**

A local public telecommunications entity or partnership of such entities, as defined in section 397(12) of the Communications Act of 1934, that is able to demonstrate a capacity for the development and distribution of educational instructional television programming of high quality.

**Beneficiary Eligibility:**

Elementary and secondary students, and school teachers who provide instruction in core curriculum areas (in the United States).

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application forms and instructions are available from the program office. Application deadlines and other information for applicants are published in the Federal Register.

**Award Procedure:**

Awards are competitively selected following review by nonfederal experts and by the program staff. The Assistant Secretary for the Office of Educational Research and Improvement approves the selection.

**Deadlines:**

Application deadlines and other information for applicants are published in the Federal Register.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 days following the application deadline.

**Appeals:**

None.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

Digital educational programming grants amended under ESEA Sec. 5484, require a match of not less than 100 percent from federal applicants. Grants awarded under ESEA Sec. 5481, to carry out a national telecommunications-based program have no formula or matching regulations. Such matching funds may include funds provided for the transition to digital broadcasting, as well as in-kind contributions.

**Length and Time Phasing of Assistance:**

Following a competitively selected 12-month award, up to two additional years may be awarded. Renewals are subject to the availability of appropriations.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required.

**Audits:**

See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-128 (see 34 CFR 80).

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$10,890,000; FY 08 est \$10,700,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For FY 2008, the range is \$4.2 million to \$6.5 million; the average award is \$5.35 million.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, two continuation awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OII Technology in Education Programs, 400 Maryland Ave. S.W., Washington, DC 20202. Contact: Sharon Harris, Telephone: (202) 205-5880. E-mail: sharon.harris@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/readyteach/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 2005, the most recent year that new awards were made in this program, the Department funded a grant to Alabama Public Television and the Alabama State Department of Education to lead a multi-state collaborative effort to provide online staff development programs for educators. Eight state departments of education and their public broadcast station partners have joined together in this partnership to address the need for accessible professional development opportunities. Partners in the Alabama Public Television e-Learning for Educators project include the following States: Alabama, Delaware, Kentucky, Mississippi, Missouri, New Hampshire, Pennsylvania, and West Virginia. Boston College, Education Development Corporation (EDC) and Southern Regional Education Board (SREB) are providing technical assistance, consultation, and evaluation. Alabama Public Television is administering the grant.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department uses the selection criteria contained in the Education Department General Administrative Regulations (EDGAR) to evaluate applications to this program.

**84.287 TWENTY-FIRST CENTURY COMMUNITY LEARNING CENTERS**

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title IV, Part B.

**OBJECTIVES:**

To create community learning centers that provide academic enrichment opportunities for children, particularly students who attend high-poverty and low-performing schools. The program is intended to help students meet state and local student standards in core academic subjects, such as reading and math; offers students a broad array of enrichment activities that should complement their regular academic programs; and offers literacy and other educational services to the families of participating children.



**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Projects funded under this program must be for the purpose of meeting the needs of the residents of rural and inner city communities, through the creation or expansion of community learning centers. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State Departments of Education are eligible for funds under this program.

**Beneficiary Eligibility:**

Residents of all ages within the communities served by the learning centers will benefit, with a focus on school-aged children.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

States must apply for funds either through a program-specific application or by including the program in a consolidated State plan authorized under Title IX of the ESEA. Contact the headquarters office listed below for more information.

**Award Procedure:**

None.

**Deadlines:**

Deadlines will be announced in application notices published in the Federal Register. Contact the headquarters office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

The approval time is approximately two to four months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funds are allocated to States in proportion to each state's share of funds in the previous fiscal year under Part A of Title I of the ESEA, except that no state may receive less than 0.5 of 1 percent of the amount available to states.

**Length and Time Phasing of Assistance:**

Awards are made annually.

**Reports:**

Annual progress and financial reports as required by EDGAR.

**Audits:**

In accordance with the EDGAR, Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

As required by the provisions in EDGAR for direct grant programs. Records related to grant funds, compliance, and performance must be maintained for a period of five years after completion, subject to the exceptions listed in EDGAR 34 CFR 74.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$981,166,230; FY 08 \$1,081,166,187; and FY 09 est \$800,000,000.

**Range and Average of Financial Assistance:**

In 2008, the estimated range of awards is \$286,421 - \$131,999,576.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 753,000 students attended 21st CCLC programs for 30 days or more during the 2006-07 school year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE 21st-Century Community Learning Centers 400 Maryland Ave., S.W., Washington, DC 20202-6100. Contact: Peter Eldridge, E-mail: peter.eldridge@ed.gov. Telephone: (202) 260-2514.

**Web Site Address:**

<http://www.ed.gov/programs/21stcclc/index.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The program aims to support local communities in providing students, particularly students who attend schools that have been identified as in need of improvement, under Title I, with after-school care and academic enrichment that reinforces classroom learning.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals under this program include the extent of need for the project, quality of project design, management plan, project and evaluation plan, and adequacy of the resources. (See 34 CFR 75.210 for details.)

**84.293 FOREIGN LANGUAGE ASSISTANCE****FEDERAL AGENCY:**

OFFICE OF ENGLISH LANGUAGE ACQUISITION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 9. 20 U.S.C. 7259 - 7259(b).

**OBJECTIVES:**

To support innovative model programs of foreign language study in public elementary and secondary schools.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Projects must be designed to support innovative model programs of foreign language study in elementary and secondary schools. Projects must show the promise of being continued beyond the grant period. Not less than three-fourths of the appropriation must be used for elementary level projects. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564- 76.569. For assistance call the Office of the Chief Financial Officer/ Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

State and local educational agencies may apply.

**Beneficiary Eligibility:**

Elementary and secondary school children benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

To participate, an organization must have on file with the Secretary of Education, by the designated deadline, an application that complies with the statutory requirements. Contact the program office for specific application information.

**Award Procedure:**

Applications are approved for awards by the Director, English Language Acquisition, Language Enhancement, and Academic Achievement For Limited English Proficient Students based on evaluations and recommendations of outside experts and an administrative review of the applications.

**Deadlines:**

Deadline will be announced in application notice published in the Federal Register. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

Approximately 90-120 days.

**Appeals:**

None.

**Renewals:**

Renewals are based on an annual review of the performance data and the availability of funds.

**Formula and Matching Requirements:**

The Federal share of the program may not exceed 50 percent of the project cost.

**Length and Time Phasing of Assistance:**

Awards are made for 3 years.

**Reports:**

Financial status and performance reports, as required by EDGAR, 34 CFR 75.720. Specific reporting requirements are contained in the grant documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain appropriate records related to grant funds, as

required by EDGAR.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$23,780,000; FY 08 est \$25,655,000; and FY 09 est \$25,655,000.

**Range and Average of Financial Assistance:**

The range of awards was \$46,435 - \$300,000. FY 07 \$172,865 average.

**PROGRAM ACCOMPLISHMENTS:**

The program made 50 new awards to local educational agencies in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No specific regulations have been developed. EDGAR, 34 CFR 75, 77, 80, 81, 85, 86, 97, 98, 99, and 299.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OELA 400 Maryland Ave., S.W., Washington, DC 20202. Contact: Rebecca Richey. E-mail: Rebecca.richey@ed.gov Telephone: (202) 245-7133.

**Web Site Address:**

<http://www.ed.gov/programs/flap/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The program supports foreign language instruction in elementary schools, immersion programs, curriculum development, professional development, and distance learning. One school district is designing a new plan for dual language immersion that will improve the program and serve as a model for other districts.

The new plan will outline how administrators, teachers, university researchers, students, and parents can collaborate to increase student academic success and English and Spanish language proficiency while developing an appreciation for multiculturalism. The new plan will address all significant gaps and needs in the current immersion program, offering improvements that are based on state and national standards, research on language acquisition, best practices of instruction, and rigorous evaluation.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include: need for the project, significance, and quality of project design. The FY 08 competition includes an absolute priority for projects to establish or expand articulated programs of study in foreign language learning that exclusively teach one or more critical languages. Critical languages are defined as languages critical to United States national security and include Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.

## 84.295 READY-TO-LEARN TELEVISION

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education, Title II, Part D, Subpart3.

**OBJECTIVES:**

To facilitate student academic achievement by developing educational programming, with accompanying educational support materials, for preschool and early elementary school children and their families.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Administrative costs are limited by the authorizing statute. Entities receiving a grant, contract, or cooperative agreement from the Secretary may not use more than five percent of the amounts received for the normal and customary expenses of administering the grant.

**Applicant Eligibility:**

To be eligible to receive a grant, contract, or cooperative agreement under Subsection (a) an entity shall be a public telecommunications entity that can demonstrate a capacity to: (1) develop and disseminate educational and instructional television programming nationwide; (2) contract with the producers of children's television programming; (3) negotiate such contracts in a manner that returns an appropriate share of ancillary income from sales of program-related products; and (4) localize programming and materials to meet specific State and local needs.

**Beneficiary Eligibility:**

Programming is to be made widely available, with support materials as appropriate, to young children, their parents, child care workers, and Head Start providers.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or the official designated as the single point of contact in his or her State for more

information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

This procedure is described in the application notice published annually in the Federal Register. Contact the headquarters office listed below for application packages containing the announcement, application, and forms.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Evaluation of Applications for Grants and Cooperative Agreements (34 CFR 700).

**Deadlines:**

Application deadlines and other information for applicants are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately two months.

**Appeals:**

None.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtaining approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Following an initial award of 12 months, four additional 1-year, non-competing continuation awards may be made, for a total term of 5 years. Renewals are subject to the availability of funds.

**Reports:**

The recipient must submit an annual report. At a minimum, the report must describe the program activities including: (1) Programming that has been developed directly or indirectly and the target population of the programs developed; (2) supporting materials that have been developed to accompany the programming and the method by which materials are distributed to consumers and users of the programming; (3) the means by which programming developed under this Section has been distributed, including the distinct learning technologies that have been utilized to make programming available and the geographic distribution achieved through such technologies; and (4) the initiatives undertaken to develop public or private partnerships to secure nonfederal support to develop and distribute the broadcasting of educational and instructional programming.

**Audits:**

See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and ED regulations implementing OMB Circular No. A-133 (see 34 CFR 80). In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$24,255,000; FY 08 est \$23,831,000; and FY 09 est \$23,831,000.

**Range and Average of Financial Assistance:**

In FY 2008, the range of awards is expected to be \$400 to \$11.2 million; the average award is expected to be \$8,084,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, three continuation awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations 34 CFR, 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OII Technology in Education Programs 400 Maryland Ave., Washington, DC 20202. Contact: Joe Caliguro. E-mail: joseph.caliguro@ed.gov Telephone: (202) 205-5449.

**Web Site Address:**

<http://www.ed.gov/programs/rtltv/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Under the current Ready to Learn 5-year awards, which began in fiscal year 2005, WTTW-Channel 11 (Chicago public television) and the Corporation for Public Broadcasting (CPB) received awards to develop, produce, and distribute age-appropriate educational programming and curricula that utilize scientifically based reading research for children ages 2 through 8 years old, along with their parents and caregivers. WTTW-Channel 11 will develop four new literacy-based children's series, including Word World, Everyday Alphabet, and R U There. CPB is also developing several new literacy-based children's programs, including Super Why, the New Electric Company, and Martha Speaks. In addition to these new series, CPB will also support additional episodes of current series, such as Sesame Street and Between the Lions.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application package or the application notice in the Federal Register.

**84.298 STATE GRANTS FOR INNOVATIVE PROGRAMS****FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title V, Part A.

**OBJECTIVES:**

To assist State and local educational agencies in the reform of elementary and secondary education.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funding may be used for the following purposes: to support local education reform efforts; to provide funding to enable state educational agencies and local educational agencies to implement promising educational reform programs and school improvement programs that rely on scientifically based research; to provide a continuing source of innovation and educational improvement, including support programs that provide library services and instructional and media materials; to meet the educational needs of all students, including at-risk youths; and to develop and implement education programs to improve school, student, and teacher performance, including professional development activities and class-size reduction programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

All States including the District of Columbia, Puerto Rico, and the Outlying areas are eligible to apply.

**Beneficiary Eligibility:**

Public and private elementary and secondary students in each State benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

An application that complies with the statutory requirements and approval of the State formula for distribution of funds to LEAs must be submitted every 3 years and updated annually if necessary.

**Award Procedure:**

Grant awards are issued after July 1 of each year if requirements are met. SEAs will issue grant awards to LEAs for the school year beginning subsequent to the award to the State.

**Deadlines:**

Applications and the formula for distribution must be submitted sufficiently in advance of July 1 to permit review and approval. All application amendments or changes to the formula must be on file to reflect any changes.

**Range of Approval/Disapproval Time:**

The Department allocates funds to any State with an approved application.

**Appeals:**

See 34 CFR 80.

**Renewals:**

None.

**Formula and Matching Requirements:**

The Department is authorized to reserve up to one percent of the funds for the Outlying areas. The balance is allotted to SEAs based on the State's relative share of the Nation's school-aged population. The SEA is authorized to reserve up to 15 percent of the funds for State administration and technical assistance, of which not more than 15 percent may be used for administrative expenses. The balance of the funds the State receives is distributed to the LEAs on the basis of the formula developed by the State and approved by the Department.

**Length and Time Phasing of Assistance:**

From July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. Grantees draw down funds electronically as needed.

**Reports:**

In accordance with the provisions of EDGAR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

SEAs and LEAs are required to keep such records as may be required for Federal audit, monitoring, and program evaluation.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$99,000,000; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable - no funding in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The requirements of the statute and the Education Department General Administrative Regulations apply to this program. The Secretary has developed non-regulatory guidance to assist program personnel in the implementation and administration of projects assisted under this program. This guidance can be obtained from the Program Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE, School Support and Technology Programs, 400 Maryland Ave., S.W., Washington, DC 20202-6140. Contact: Lynette Kee  
E-mail: [lynette.kee@ed.gov](mailto:lynette.kee@ed.gov). Telephone: (202) 260-2540.

**Web Site Address:**

<http://www.ed.gov/programs/innovative/index.html> or  
<http://www.ed.gov/policy/elsec/leg/esea02/pg57.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable - no funding in FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.304 CIVIC EDUCATION - COOPERATIVE EDUCATION EXCHANGE PROGRAM****FEDERAL AGENCY:**

OFFICE OF SAFE AND DRUG-FREE SCHOOLS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education, Title II, Part C, Subpart 3.

**OBJECTIVES:**

(1) To make available to educators from eligible countries exemplary curricula and teacher training programs in civics, government, and economics education, developed in the United States; (2) to assist eligible countries in the adaptation, implementation, and institutionalization of such programs; (3) to create and implement civics, government, and economic education programs for students that draw upon the experiences of participating eligible countries; (4) to provide a means for the exchange of ideas and experiences in civics, government, and economic education among political, educational, governmental, and private sector leaders of participating eligible countries; and (5) to provide support for—(a) independent research and evaluation to determine the effects of educational programs on students' development of the knowledge, skills, and traits of character essential for the preservation and improvement of constitutional democracy; and (b) effective participation in, and the preservation and improvement of, an efficient market economy.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**



Of the funds available for this program, by statute, 37.5 percent must be used for a grant or contract with the Center for Civic Education and 37.5 percent must be used for a grant or contract for the National Council on Economic Education. The remaining 25 percent of the funds are for one to three competitive grants to eligible entities described below. Countries eligible to participate, in addition to the United States, include Central European countries, Eastern European countries, Lithuania, Latvia, Estonia, the independent states of the former Soviet Union as defined in Section 3 of the FREEDOM Support Act (22 U.S.C. 5801), the Republic of Ireland, the province of Northern Ireland in the United Kingdom, and any developing country (as such term is defined in section 209(d) of the Education for the Deaf Act) if the Secretary of Education, with the concurrence of the Secretary of State, determines that such developing country has a democratic form of government.

**Applicant Eligibility:**

By statute, the Center for Civic Education and the National Council on Economic Education each receive program funds through a grant or contract. In addition, a competition is held for organizations experienced in the development of curricula and programs in civics and government education and economic education for students in elementary schools and secondary schools in countries other than the United States.

**Beneficiary Eligibility:**

Educational leaders in the areas of civics and government education, and economic education, including teachers, curriculum and teacher training specialists, and scholars in relevant disciplines.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Contact the Headquarters Office listed below for application packages containing the announcement, application, and assurance forms.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff annually, in accordance with EDGAR and 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The Assistant Secretary for Educational Research and Improvement approves the selection of applications.

**Deadlines:**

Application deadlines and other information for applicants are published as a notice in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made for twelve months. One award is made to the Center for Civic Education and one award to the National Council on Economic Education. One to three awards are competitively selected.

**Reports:**

As required by the Education Department General Administrative Regulations for direct grants (34 CFR 75). A final performance report is due ninety days after termination of the grant.

**Audits:**

See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-128 (see 34 CFR 80).

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Grants) FY 07 \$12,072,000; FY 08 est \$11,861,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Not applicable because the range and average vary greatly by competition.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, five continuation awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, 86,

and 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSDFS, 400 Maryland Ave, S.W., Washington, DC 20202. Contact: Rita Foy Moss E-mail: rita.foy.moss@ed.gov. Telephone (202) 205-8061.

**Web Site Address:**

<http://www.ed.gov/programs/coopedexchange/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Sage Colleges received an award to administer the Civic Mosaic, and exchange program that will help prepare young people in the United States and Russia to be more responsible citizens. Through this program 12 American regions will be paired with 12 Russian regions, and each region will exchange 2 teachers (exchange fellows) annually. Exchange fellows will engage in joint research projects, seminars, present research at international conferences, and develop lesson plans and classroom resources. The Center for Civic Education will administer Civitas Latin America, an exchange program that will: 1) assist Latin American educators in creating, adapting, implementing, and institutionalizing civic education programs in their own countries; 2) create and implement civic education programs for students in the United States that will help them better understand the history and experiences of emerging and advanced democracies in Latin America; and 3) facilitate the exchange of ideas related to civic education between educational, governmental, and private sector leaders in the United States and Latin America.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application package or the application notice in the Federal Register.

## 84.305 EDUCATION RESEARCH, DEVELOPMENT AND DISSEMINATION

**FEDERAL AGENCY:**

INSTITUTE OF EDUCATION SCIENCES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Title I, Parts A, B and D, Secs. 133 and 172, 20 U.S.C. 9533, 9562.

**OBJECTIVES:**

To support the development and distribution of scientifically valid research, evaluation, and data collection that support learning and improve academic achievement.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Grants will support basic and applied research, development, dissemination, evaluations, and demonstrations in education.

**Applicant Eligibility:**

State education agencies, local education agencies, institutions of higher education, public and private agencies and organizations, institutions, and individuals or a consortium thereof may apply.

**Beneficiary Eligibility:**

Institutions and individuals involved with education will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Standard Form 424, "Application for Federal Assistance," an application narrative, and required certifications must be submitted by the deadline specified in the Federal Register.

**Award Procedure:**

Applications are reviewed by panels of field readers in accordance with 34 CFR 700, "Evaluation of Applications for Grants and Cooperative Agreements."

**Deadlines:**

Contact the Program Office for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 90 to 120 days following the application deadline.

**Appeals:**

None.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years. Funds are granted on a 12 month basis. All grantee obligations shall be liquidated within 90 days following the end of the award period. Payments may be made according to a predetermined schedule or by way of reimbursement.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

All expenditures by State and local governments will be audited by the grantee or at the grantee's direction with reasonable frequency, usually once a year but not less than once every 2 years. Other recipients must also have audits conducted at least once every 2 years. The Secretary of Education, the Assistant Secretary, IES, and the Comptroller General of the United States, or any of their duly authorized representatives shall have access for the purpose of audit and examinations, to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Grants) FY 07 \$162,552,000; FY 08 est \$159,696,000; and FY 09 est \$167,196,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

The Institute collaborates with other universities and research organizations and works with public schools.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Institute of Education Sciences, Department of Education, 555 New Jersey Ave. N.W., Washington, DC 20202. Telephone: (202) 219-2079.

**Web Site Address:**

<http://ies.ed.gov/ncer>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application package or the application notice in the Federal Register.

**84.310 PARENTAL INFORMATION AND RESOURCE CENTERS**

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act; Title V, Part D, Subpart 16.

**OBJECTIVES:**

To provide grants to nonprofit organizations and nonprofit organizations in consortia with local education agencies (LEAs) to assist them in establishing parental information and resource centers. These centers strive to: (1) assist parents in helping their children to meet State and local standards; (2) obtain information about the range of programs, services, and resources available nationally and locally for parents and school personnel who work with parents; (3) help parents use the technology applied in their children's education; (4) plan, implement, and fund activities for parents that coordinate the education of their children with other programs that serve their children and families; and (5) coordinate and integrate early childhood programs with school-age programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Each grantee receiving funds under this program must use at least 50 percent of the funds provided to serve areas with high concentrations of low-income families in order to serve parents that are severely educationally or economically disadvantaged. At least 30 percent of the funds must also be used to establish,

expand, or operate a Parents As Teachers Program or a Home Instruction Program for Preschool youngsters. Other requirements include the establishment of a special advisory committee and design requirements. Grantees must serve both urban and rural areas. For funding in subsequent years, grantees must demonstrate that a portion of the services provided under this project is supported through nonfederal contributions.

**Applicant Eligibility:**

Nonprofit organizations and nonprofit organizations in consortia with LEAs may apply.

**Beneficiary Eligibility:**

Preschool and school-aged children and their parents will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be prepared and submitted in accordance with the notice published in the Federal Register. Contact the program office for more information.

**Award Procedure:**

Applications are reviewed by panels of field readers. Points are awarded according to the selection criteria for discretionary grants contained in the Education Department General Administrative Regulations (EDGAR). Applications are ranked based on the number of points awarded and are selected for funding based on their rank order and geographic location in order to satisfy statutory provisions. Grants are distributed, to the greatest extent possible, to all geographic regions of the country.

**Deadlines:**

Contact the program office for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 through 90 days following the application deadline.

**Appeals:**

None.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

Grantees are required to contribute, from nonfederal sources, a portion of the services provided under the project after the first year.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 4 years. Funds are granted on a 12-month basis. Renewals are subject to the availability of appropriations.

**Reports:**

Annual progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

In accordance with the Education Department General Administration Regulations (EDGAR), 34 CFR 74, nonprofit organizations are subject to the audit requirements in OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations." In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by the Education Department General Administrative Regulations.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$39,600,000; FY 08 \$38,908,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$406,294 to \$943,386; the average award is expected to be \$608,197.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 62 awards are expected to be in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR). For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Department of Education, OII Parental Options and Information 400 Maryland Ave., S.W., Rm. 3E209, FB-6 Washington DC 20202. Contact:

Steven L. Brockhouse. Telephone: 202-260-2476. E-mail Address: steve.brockhouse@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/pirc/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Centers typically use funds to: (1) coordinate with existing programs that support parents in understanding state and local standards and measures of student and school academic achievement; (2) develop resource materials and provide information about high-quality family involvement programs to families, schools, school districts, and others through conferences, workshops, and dissemination of materials; and (3) support a variety of promising models of family involvement programs such as the Parents as Teachers (PAT), the Home Instruction Program for Preschool Youngsters (HIPPI), and other early childhood parenting programs. Projects generally include a focus on serving parents of low-income, minority, and limited English proficient children enrolled in elementary and secondary schools.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program. For more information contact the Program Office.

## 84.315 CAPACITY BUILDING FOR TRADITIONALLY UNDERSERVED POPULATIONS

(Capacity Building)

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Section 21, 29 U.S.C. 718b.

**OBJECTIVES:**

To enhance the capacity and increase the participation of historically Black colleges and universities, Hispanic serving institutions of higher education, and other institutions of higher education where minority enrollment is at least 50 percent, in competitions for grants, contracts, and cooperative agreements under the Rehabilitation Act, as amended.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are limited to: awards to minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act; awards to minority entities and Indian tribes to conduct research, training, technical assistance, or related activities, to improve services provided under the Rehabilitation Act, especially services provided to individuals from minority backgrounds; and awards to eligible entities to provide outreach and technical assistance to minority entities and Indian tribes to promote their participation in activities funded under the Rehabilitation Act.

**Applicant Eligibility:**

States and public and nonprofit agencies and organizations may apply.

**Beneficiary Eligibility:**

Historically Black colleges and universities; (2) Hispanics serving institutions of higher education; (3) Indian tribal colleges and universities (4) other institutions of higher education whose minority student enrollment is at least 50 percent; and (5) Indian Tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions.

**Preapplication Coordination:**

The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be prepared and submitted in accordance with the notice published in the Federal Register. Contact the program office for more information.

**Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will generally include two or more nonfederal consultants with experience and training in the proposed area of training. Each panel will include a person with a disability and an individual from a minority background.

**Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office

for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 150 days following the application deadline.

**Appeals:**

None.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years, with budget periods so 12-months. Renewals are subject to the availability of appropriations.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award's terms and conditions.

**Audits:**

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$2,291,000; FY 08 est \$2,900,000; and FY 09 est \$2,802,000.

**Range and Average of Financial Assistance:**

The range of awards is \$225,000 - \$250,000 in FY 2007.

**PROGRAM ACCOMPLISHMENTS:**

Some program accomplishments include the following: (1) Extensive training on the Rehabilitation Act of 1973, as amended, the Americans With Disabilities Act, and other key disability legislation; (2) the establishment of State-wide consortia of public agencies and organizations to better coordinate the delivery of vocational rehabilitation and other related services to persons with disabilities from minority backgrounds; (3) sponsoring and co-sponsoring of national and regional conferences of rehabilitation providers such as the Consortia of Administrators for Native American Rehabilitation (CANAR) and others; (4) establishment of rehabilitation training programs at colleges and universities; (5) increase in the number of applications and funding of projects from minority institutions of higher education; (6) implementation of national satellite broadcasts to discuss rehabilitation with participants from institutions of higher education, rehabilitation State agencies, independent living centers, supported employment programs and other agencies and organizations involved in the administration of rehabilitation programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, DC 20202-2649. Contact: Ellen Chesley. E-mail: ellen.chesley@ed.gov. Telephone: (202) 245-7300.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects have supported training, technical assistance, and related activities provided by minority institutions of higher education and Indian tribes and to improve services provided under the Rehabilitation Act, especially services provided to individuals with disabilities from minority backgrounds.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program.

## 84.318 EDUCATION TECHNOLOGY STATE GRANTS

(Enhancing Education through Technology Program)



**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title II, Part D, Subparts 1 and 2.

**OBJECTIVES:**

To provide grants to State educational agencies (SEAs) on a formula basis to (a) improve student academic achievement through the use of technology in schools; (b) assist all students in becoming technologically literate by the end of eighth grade; and (c) encourage the effective integration of technology with teacher training and curriculum development to establish successful research-based instructional methods.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

At least 95 percent of awards to SEAs must be used to make subgrants to LEAs. Half of the subgrant funds (the 95 percent) must be used for formula awards to eligible local educational agencies (LEAs) that receive funds under Title I, Part A. The remaining one-half provides competitive awards to eligible local entities (see beneficiary eligibility). In the U.S. Department of Education fiscal year (FY) 2006 appropriations bill, Congress also included language overriding this statutory provision and included language that provides SEAs with the flexibility to reserve up to 100 percent of their allocations for competitive awards to eligible entities. These provisions continue to apply under the FY 2008 appropriation. Each LEA and eligible entity receiving funds under this program must use at least 25 percent of its funds to provide professional development; the remaining funds must be used carry out other activities consistent with the purposes of the program and the district's local technology plan. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564- 76.569. For assistance call the Office of the Chief Financial Officer/ Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEA).

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Applications are distributed to the Chief State School Officer for all eligible SEAs. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States have two options for applying for funds under this program. Option 1: An SEA may submit an individual program application that includes a new or updated statewide long-range strategic educational technology plan that considers the educational technology needs of LEAs in the State, and an application that addresses the following topics: (1) strategies for improving academic achievement; (2) goals using advanced technology to improve student academic achievement, aligned with challenging State standards; (3) steps to increase accessibility to technology; (4) accountability measures; (5) innovative instruction delivery strategies; (6) an assurance that financial resources provided under the Educational Technology program will supplement, and not supplant, State and local funds; (7) professional and curricular development; (8) a description of how the SEA will provide technical assistance to applicants seeking Ed Tech funds; (9) a description of technology resources and systems that the State will provide; (10) strategies for financing technology; (11) strategies for parental involvement; (12) competitive grant process description; (13) integration of technology with curricula and instruction; (14) teacher incentives; and (14) a description of how public and private entities will participate in the implementation and support of the plan. Option 2: States may apply for funds through a consolidated application, as provided for in ESEA Sec. 9301. Through a consolidated application, a State will not submit all of the information required for individual Educational Technology applications, but will submit only "descriptions, information, assurances, . . . and other materials that are absolutely necessary for the consideration of the consolidated State plan or consolidated State application" (ESEA Section 9302(b)(3)). The specific information that an SEA must include in a consolidated application that incorporates the Educational Technology program was detailed in the consolidated State application documents the Department published in the Federal Register.

**Award Procedure:**

None.

**Deadlines:**

Contact the program office for information on deadlines.

**Range of Approval/Disapproval Time:**

120 days from receipt of application.

**Appeals:**

The Secretary shall not disapprove a State technology plan or State application, before offering the State an opportunity to revise the plan and a hearing. (See 34

CFR 76.202.)

**Renewals:**

SEAs shall annually report to the Secretary regarding progress in meeting State goals and plans. Items such as: (1) a proposal of State activities for the succeeding year; (2) a summary of the progress of LEAs in meeting local goals; and (3) a plan to increase student learning are required. Renewals are subject to the availability of resources.

**Formula and Matching Requirements:**

Funds are allocated to States proportionate to their share under Part A of Title I of ESEA but with a minimum allocation to any State of one-half of one percent of the amount appropriated.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR part 76). Financial and performance reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-Administered programs (34 CFR part 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of five years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$272,250,000; FY 08 est \$267,494,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

State awards range from the minimum \$1,294,000 to \$30,544,000.

**PROGRAM ACCOMPLISHMENTS:**

This program is designed to improve student academic achievement through the use of technology in elementary and secondary schools. It is also designed to assist every student - regardless of race, ethnicity, income, geographical location, or disability - in becoming technologically literate by the end of eighth grade. The program will facilitate the effective integration of technology resources and systems with professional development and curriculum development, resulting in research-based instructional methods that can be widely replicated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., FB6, Room 3E307, Washington, DC 20202. Contact: Enid Marshall. E-mail: enid.marshall@ed.gov. Telephone: (202) 708-9499.

**Web Site Address:**

<http://www.ed.gov/programs/edtech/index.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Local activities supported by these grants include continuing professional development programs and public-private partnerships focused on the integration of technology in schools. Activities also include: the use of new or existing technologies to improve academic achievement; the acquisition of curricula that integrate technology and are designed to meet challenging State academic standards; the use of technology to increase parental involvement in schools and the use of technology to collect, manage, and analyze data to enhance teaching and school improvement efforts.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.323 SPECIAL EDUCATION - STATE PERSONNEL DEVELOPMENT****FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part D, Subpart 1.

**OBJECTIVES:**

To assist State educational agencies in reforming and improving their systems for personnel preparation and professional development of individuals providing early intervention, educational and transition services, to improve results for

children with disabilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds must be used to address the objectives of the program.

**Applicant Eligibility:**

State educational agencies.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Office of Special Education and Rehabilitative Services and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:**

Applications are peer and made on approval of the Assistant Secretary, OSERS.

**Deadlines:**

Deadlines are published in application notices in the Federal Register and may be accessed through the Department of Education website at <http://www.ed.gov>.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to 5 years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations.

**Reports:**

Progress reports are made on an annual basis. Final reports are made at the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its grant, as stated in award terms and conditions.

**Account Identification:**

91-0300-0-1-500.

**Obligations:**

(Grants) FY 07 \$50,146,000; FY 08 est \$22,598,000; and FY 09 est \$48,000,000.

**Range and Average of Financial Assistance:**

In fiscal year 2007, awards ranged from \$500,000 to \$2,200,000 with an average award of about \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 47 projects received funding under this program in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Rm 4019 PCP, Washington, DC 20202-2600. Contact: Larry Wexler. E-mail: [larry.wexler@ed.gov](mailto:larry.wexler@ed.gov); Telephone: (202) 245-7571.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.181, Special Education-Grants for Infants and Families; 84.324, Research in Special Education; 84.325, Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328, Special Education\_Parent Information Centers; 84.329, Special Education\_Studies and Evaluations; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and

Results for Children with Disabilities; 84.373, Special Education\_Technical Assistance on State Data Collection.

**EXAMPLES OF FUNDED PROJECTS:**

The Department awarded new grants in fiscal years 2006 and 2007 to applicants that proposed projects to prepare teachers, para-professionals, administrators, related services personnel, and principals to deliver scientifically based instruction or evidence-based instructional practices; and to recruit and retain highly qualified teachers who are prepared to deliver scientifically based instruction or evidence-based instruction in order to improve results for children with disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

## 84.324 RESEARCH IN SPECIAL EDUCATION

**FEDERAL AGENCY:**

INSTITUTE OF EDUCATION SCIENCES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Part E, 20 U.S.C. 9567.

**OBJECTIVES:**

To support scientifically rigorous research contributing to the solution of specific early intervention and education problems associated with children with disabilities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds may be used for the production of new knowledge, integration of research and practice, and improving professional knowledge related to the objectives of the program.

**Applicant Eligibility:**

A State educational agency, a local educational agency, an institution of higher education, any other public agency, a private non-profit organization, an outlying area, an Indian tribe or tribal organization (as defined under section 4 of the Indian Self-Determination and Education Assistance Act), and a for-profit organization, if the Department finds it appropriate in light of the purposes of a particular competition for a grant, contract, or cooperative agreement. The Department may limit the entities eligible for an award to categories of these eligible entities. The Republic of the Marshall Islands and the Federated States of Micronesia are also eligible through September 30, 2023. The Republic of Palau is eligible through September 30, 2007.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is not covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Standard Form 424, "Application for Federal Assistance," an application narrative, and required certificates must be submitted by the date specified in the Federal Register.

**Award Procedure:**

Applications will be reviewed by panels of field readers in accordance with 34 CFR 700, "Evaluation of Applications for Grants and Cooperative Agreements.

**Deadlines:**

Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

Not applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals are subject to the availability of appropriations.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

In accordance with the provision of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Grants) FY 07 \$71,840,000; FY 08 est \$70,585,000; and FY 09 est \$70,585,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and number varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR 34 CFR 74, 77, 80, 81, 82, 84, 85, 86 (Part 86 applies only to IHEs), 97, 98, and 99. In addition 34 CFR 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Institute of Education Science, National Center for Special Education Research, Office of the Commissioner, 400 Maryland Ave, S.W., Washington, DC 20202-2500. Contact: David Malouf; E-mail: david.malouf@ed.gov; Telephone: (202) 219-1309 or Kristen Lauer; E-mail: kristen.lauer@ed.gov; Telephone: (202) 219-0377.

**Web Site Address:**

<http://ies.ed.gov/ncser>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.325, Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328, Special Education\_Parent Information Centers; 84.329, Special Education\_Studies and Evaluations.

**EXAMPLES OF FUNDED PROJECTS:**

Projects address such topics as providing access to the general curriculum for children with severe cognitive disabilities, pre-literacy skills for young children with visual impairments and early childhood mental health. Additionally several research institutes and centers receive support as do field-initiated research.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

## **84.325 SPECIAL EDUCATION - PERSONNEL DEVELOPMENT TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act, Part D, Subpart 2, Section 662.

**OBJECTIVES:**

(1) To help address State-identified needs for qualified personnel in special education, related services, early intervention, and regular education, to work with children with disabilities; and (2) ensure that those personnel have the skills and knowledge that are needed to serve children with disabilities and that such skills and knowledge are derived from practices determined to be successful through research and experience.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds must be used to prepare personnel to serve children with both low and high-incidence disabilities, leadership personnel, and for special projects. Awards are made only to eligible applicants that meet State and professionally recognized standards for the preparation of special education and related services personnel, if the purpose of the project is to assist personnel in obtaining degrees.

**Applicant Eligibility:**

State educational agencies, local education agencies, public charter schools that are LEAs under State law, institutions of higher education, other public agencies, private nonprofit organizations, outlying areas, Indian tribes or tribal

organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities are the primary beneficiaries under this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by and required by OMB Circular No. A-102 must be used for this program. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by a panel of experts.

**Deadlines:**

Deadlines are published in application notices in the Federal Register or you may contact the Headquarters Office for application deadlines. Application notices may also be accessed through the Department of Education Web site at <http://www.ed.gov>.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, subject to the availability of appropriations.

**Formula and Matching Requirements:**

A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award, as stated in grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$89,720,000; FY 08 est \$88,153,000; and FY 09 est \$88,153,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average varies greatly by competition.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, approximately 400 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 304.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave, S.W., Washington, DC 20202-2500 Contact: Bonnie Jones. E-mail: [bonnie.jones@ed.gov](mailto:bonnie.jones@ed.gov). Telephone: (202) 245-7395.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323, Special Education - State Personnel Development; 84.324, Research in Special Education; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328, Special Education\_Parent Information Centers; 84.329, Special Education\_Studies and Evaluations.

**EXAMPLES OF FUNDED PROJECTS:**

Program funds support projects in a variety of areas, including training grants for: leadership personnel; personnel to serve infants, toddlers, and pre-school



age children with disabilities; personnel to serve school age children with low incidence disabilities; personnel to serve school age children with high incidence disabilities; and personnel to provide related services, speech/language services, and adapted physical education to infants, toddlers, children, and youth with disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.326 SPECIAL EDUCATION-TECHNICAL ASSISTANCE AND DISSEMINATION TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part D, Subpart 2, Section 663, as amended, 20 U.S.C. 1463.

**OBJECTIVES:**

To promote academic achievement and improve results for children with disabilities by supporting technical assistance, supporting model demonstration projects, dissemination useful information, and implementing activities that are supported by scientifically based research.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished and required by OMB Circular No. A-102 must be used for this program. The program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by a panel of experts.

**Deadlines:**

Deadlines are published in application notices in the Federal Register, and may be accessed through the Department of Education Website at <http://www.ed.gov>.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of appropriations.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award

as stated in grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$48,903,000; FY 08 est \$48,049,664; and FY 09 est \$48,049,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 91 new and continuation awards are expected to be made for 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., S.W., Rm 4098 PCP, Washington, DC 20202-2600. Contact: Debra Price-Ellingstad, E-mail: [debra.price-ellingstad@ed.gov](mailto:debra.price-ellingstad@ed.gov). Telephone: (202) (202) 245-7481.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.181, Special Education-Grants for Infants and Families; 84.323, Special Education - State Personnel Development; 84.324, Research in Special Education; 84.325, Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328, Special Education\_Parent Information Centers; 84.329, Special Education\_Studies and Evaluations; 84.373, Special Education\_Technical Assistance on State Data Collection.

**EXAMPLES OF FUNDED PROJECTS:**

The National Dissemination Center for Children with Disabilities, the National Clearinghouse on Deaf-Blindness, the Federal Resource Center for Special Education, Regional Resource Centers, the Center for Positive Behavioral Interventions and Supports, and Center on Achieving Results in Education for Children with Disabilities have been supported by this program.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.327 SPECIAL EDUCATION-TECHNOLOGY AND MEDIA SERVICES FOR INDIVIDUALS WITH DISABILITIES**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part D, Subpart 3, Section 674, as amended, 20 U.S.C. 1474.

**OBJECTIVES:**

To (1) improve results for children with disabilities promoting: the development, demonstration and use of technology; (2) support educational media service activities designed to be of educational value in the classroom setting to children with disabilities; and (3) provide support for captioning and video description that is appropriate for use in the classroom setting.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by and required by OMB Circular

No. A-102 must be used for this program. The program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by a panel of experts.

**Deadlines:**

Deadlines are published in application notices in the Federal Register and may be accessed through the Department of Education Website at <http://www.ed.gov>.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$38,428,000; FY 08 est \$39,301,200; and FY 09 est \$30,949,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 70 new and continuation awards are expected to be made for 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Rm 4098 PCP, Washington, DC 20202-2600. Contact: Jane Hauser. E-mail: [jane.hauser@ed.gov](mailto:jane.hauser@ed.gov) Telephone: (202) 245-7373.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.181, Special Education-Grants for Infants and Families; 84.323, Special Education - State Personnel Development; 84.324, Research in Special Education; 84.325, Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.328, Special Education\_Parent Information Centers; 84.329, Special Education\_Studies and Evaluations; 84.373, Special Education\_Technical Assistance on State Data Collection.

**EXAMPLES OF FUNDED PROJECTS:**

This program supports technology research, development, and dissemination. Media activities, such as providing closed-captioning for television and accessible textbooks for students with disabilities, are also supported.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 24 CFR Part 75.210.

**84.328 SPECIAL EDUCATION-PARENT INFORMATION CENTERS**

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Part D, Subpart 3, Sections 671-673, as amended, 20 U.S.C. 1471-1473.

**OBJECTIVES:**

To ensure that parents of children with disabilities receive training and information to help improve results for their children.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Parent organizations, as defined in Section 671(a)(2) of the Individuals with Disabilities Education Act are eligible for parent center awards under IDEA sections 671 and 672. For section 672 funding, these parent centers must meet additional conditions set forth in section 672. For IDEA section 673 State educational agencies (SEAs) local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished and required by OMB Circular No. A-102 must be used for this program. The program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by a panel of experts.

**Deadlines:**

Deadlines are published in application notices in the Federal Register and may be accessed through the Department of Education Website at <http://www.ed.gov>.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of funds.

**Reports:**

Progress reports shall be made on annual basis. Final reports shall be made at the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Grants) FY 07 \$25,704,000; FY 08 est \$26,528,310; and FY 09 est \$26,528,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 110 new and continuation awards are expected to be made for 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Rm 4065 PCP, Washington, DC 20202-2600. Contact: Lisa Gorove, Telephone: (202) 245-7357. E-mail: lisa.gorove@ed.gov.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.181, Special Education-Grants for Infants and Families; 84.323, Special Education - State Personnel Development; 84.324, Research in Special Education; 84.325, Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.329, Special Education\_Studies and Evaluations; 84.373, Special Education\_Technical Assistance on State Data Collection.

**EXAMPLES OF FUNDED PROJECTS:**

Parent information centers covering large States or large areas in States, and community resource centers.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

## 84.329 SPECIAL EDUCATION-STUDIES AND EVALUATIONS

**FEDERAL AGENCY:**

INSTITUTE OF EDUCATION SCIENCES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Section 664, as amended, 20 U.S.C. 1464.

**OBJECTIVES:**

To assess the progress in implementing the Individuals with Disabilities Education Act, including State and local efforts to provide (1) Free appropriate public education to children with disabilities; and (2) early intervention services to infants and toddlers with disabilities who would be at risk of having substantial developmental delays if early intervention services were not provided.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

A State educational agency, a local educational agency, an institution of higher education, any other public agency, a private non-profit organization, an outlying area, an Indian tribe or tribal organization (as defined under section 4 of the Indian Self-Determination and Education Assistance Act), and a for-profit organization, if the Secretary finds it appropriate in light of the purposes of a particular competition for a grant, contract, or cooperative agreement. The Department may limit the entities eligible for an award to categories of these eligible entities.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities, and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernment Review of Federal programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished and required by OMB Circular No. A-102 must be used for this program. The program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications will be reviewed by a panel of experts.

**Deadlines:**

Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash balance reports will be required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Grants) FY 07 \$9,900,000; FY 08 est \$9,460,000; and FY 09 est \$9,460,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and number varies by topic.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: David Malouf, E-mail: david.malouf@ed.gov Telephone: (202) 219-1309.

**Web Site Address:**

<http://ies.ed.gov/ncee>

**RELATED PROGRAMS:**

84.027, Special Education\_Grants to States; 84.173, Special Education\_Preschool Grants; 84.184, Safe and Drug-Free Schools and Communities\_National Programs; 84.324, Research in Special Education; 84.325, Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326, Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327, Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328, Special Education\_Parent Information Centers.

**EXAMPLES OF FUNDED PROJECTS:**

The studies supported by this program include the National Study of Alternate Achievement Standards and the National Assessment of Special Education.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

## 84.330 ADVANCED PLACEMENT PROGRAM (ADVANCED PLACEMENT TEST FEE; ADVANCED PLACEMENT INCENTIVE PROGRAM GRANTS)

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part G.

**OBJECTIVES:**

Award grants to States support State and local efforts to increase access to advanced placement classes and tests for low-income students and to cover part or all of the cost of test fees for low-income students enrolled in advanced placement courses.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

The Advanced Placement Incentive Grants program provides grants to eligible entities to enable them to increase the participation of low-income students in both pre-advanced placement and advanced placement courses and tests. The Advanced Placement Test Fee program provides awards to enable States to cover all or part of the cost of test fees for low-income students who are enrolled in advanced placement classes. The ESEA requires the Secretary to give priority to funding the Advanced Placement Test Fee program, with remaining funds allocated to Advanced Placement Incentive Grants.

**Applicant Eligibility:**



Local educational agencies, nonprofit organizations, and State educational agencies may apply for AP Incentive grants. State educational agencies may apply for the AP Test Fee program.

**Beneficiary Eligibility:**

Low-income high school students who (1) are enrolled in an advanced placement class; and (2) plan to take an advanced placement test.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State selected the program for review.

**Application Procedure:**

Secure grant application forms and instructions from the Federal Register. Prepare and address submission according to published directions. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by Education Department staff. Final decisions on grants are made by the Secretary on the basis of statutory considerations.

**Deadlines:**

Established for grants each year by notice published in the Federal Register.

**Range of Approval/Disapproval Time:**

Up to 120 days of receipt of applications.

**Appeals:**

None.

**Renewals:**

Awards are made annually based on an applicant's eligibility and contingent on the availability of funds and project performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made for one year for the AP Test Fee program, and for up to 3 years for the AP Incentive Grant program.

**Reports:**

A final report must be submitted. Reporting requirements are included in the final grant documents. Grantees also may be subject to national evaluation performed by the Department of Education.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are to be maintained as indicated in the grant or contract award document.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$37,026,000; FY 08 est \$43,539,834 and FY 09 est \$70,000,000.

**Range and Average of Financial Assistance:**

Average new AP Test Fee award in 2008: \$266,830. Average API continuation award in 2008: \$571,776.

**PROGRAM ACCOMPLISHMENTS:**

In 2007, 47 States participated in the AP Test Fee program; and 46 AP Incentive grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 75, 77, 79, 80, 81, 82, 85, 86, and 99. Contact the Program Office for this information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Washington, DC 20202-6140 Contact: Ivonne Jaime, E-mail: ivonne.jaime@ed.gov, Telephone: (202) 260-1519.

**Web Site Address:**

<http://www.ed.gov/programs/apfee/index.html>,  
<http://www.ed.gov/programs/apincent/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Awards support activities to increase the participation of low-income students in both pre-advanced placement and advanced placement courses. Grants support teacher training, distance learning, and training for "vertical teams" or teachers

from different grade levels in a given subject. Grants also help procure books and supplies and support other activities directly related to expanding access to, and participation in, advanced placement courses and tests for low-income students.

**CRITERIA FOR SELECTING PROPOSALS:**

To receive funds under the AP Test Fee program, an SEA must submit information to the Department describing the Advanced Placement test fees the State will pay on behalf of individual students along with assurances that (1) the requested funds will supplement and not supplant existing fee payment efforts; (2) there will be a method by which low-income individuals will be identified and that funds will be used to serve this population; and (3) there will be a description of the applicant's plan to disseminate information on the availability of test fee payments to eligible individuals through secondary school teachers and guidance counselors. To receive an AP Incentive grant, eligible entities must expand access for low-income individuals to advanced placement programs. Eligible activities include teacher training, development of pre-advanced placement courses, coordination and articulation between grade levels to prepare students for academic achievement in AP or IB courses, books and supplies, and participation in online AP or IB course. In awarding grants, the Secretary gives priority to applications that: (1) demonstrate a pervasive need for access to AP incentive programs; (2) provide for the involvement of business and community organizations in the activities to be assisted; (3) assure the availability of matching funds from State, local, or other sources; (4) demonstrate a focus on developing or expanding AP programs and participation in the core academic areas of English, mathematics, and science; (5) demonstrate an intent to carry out activities that target LEAs serving schools with a high concentration of low-income students, or schools with a high concentration of low-income students; and (6) in the case of applications submitted by LEAs, assure that the LEA serves schools with a high concentration of low-income students; or (7) demonstrates an intent to carry out activities to increase the availability of, and participation in, on-line AP courses.

**84.331 GRANTS TO STATES FOR INCARCERATED YOUTH OFFENDERS**

**FEDERAL AGENCY:**

OFFICE OF VOCATIONAL AND ADULT EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act Amendments of 1998, Title VIII, Part D.

**OBJECTIVES:**

To assist and encourage incarcerated youths to acquire functional literacy, life, and job skills through the pursuit of postsecondary education certificates, associate in arts degrees, and bachelor of arts degrees.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds can be used to provide grants to designated State Correctional Education Agencies to: (1) Assist and encourage incarcerated youths to acquire functional literacy, life and job skills, through the pursuit of a postsecondary education certificate, or an associates or bachelors degree; and (2) provide employment counseling and other related services that start during the period of incarceration and continue through pre-release and while on parole or during release.

**Applicant Eligibility:**

The State Correctional Education Agency, as designated by the Governor of any of the 50 States, the Commonwealth of Puerto Rico, District of Columbia, Guam, American Samoa, the Virgin Islands, and the Northern Mariana Islands, may apply.

**Beneficiary Eligibility:**

Individuals who are: (1) incarcerated in a State prison, including a pre-release facility or an alternative program such as boot camp; (2) eligible to be released or paroled within 5 years; (4) 25 years of age or younger; and who (5) have obtained a secondary school diploma or its equivalent.

**Credentials/Documentation:**

A State plan is required. The State plan must include a certification for a State official that all provisions and amendments thereto are consistent with the Act.

**Preapplication Coordination:**

The Director of the Office of Correctional Education will provide guidance on specific issues and technical assistance in the preparation of State Plans. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each designated State Correctional Education Agency must submit to the Secretary of Education a State plan, which sets forth the procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Secretary approves the State Plan and any amendment thereto and makes allocations to the State.

**Deadlines:**

Deadlines are published in the Federal Register. Contact the program office for additional information.

**Range of Approval/Disapproval Time:**

Range is approximately 4 weeks from the date of application receipt.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

From the amount appropriated, the Secretary allots to each State an amount that bears the same relationship to the amount appropriated as the total number of eligible students in each State bears to the total number of eligible students in all States. There is no matching requirement.

**Length and Time Phasing of Assistance:**

Awards are made for a 12-month period. Funds must be expended within 24 months of their date of availability.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, as amended by the Improving America's Schools Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

FY 07 \$22,770,000; FY 08 \$22,372,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 2008, the range of awards is expected to be \$30,593 to \$2,533,691; the average is expected to be \$447,444.

**PROGRAM ACCOMPLISHMENTS:**

50 grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The provisions of Title VIII, Part D of the Higher Education Act, the requirements of the General Education Provisions Act (GEPA), and the Education Department General Administrative Regulations (EDGAR), Parts 67, 77, 79, 80, 81, 82, 85, and, 86 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OVAE 400 Maryland Ave., S.W., Washington, DC 20202-7242 Contact: John Linton. E-mail: john.linton@ed.gov. Telephone: (202) 219-1743.

**Web Site Address:**

<http://www.ed.gov/programs/transitiontraining/index.html>

**RELATED PROGRAMS:**

84.002, Adult Education - Basic Grants to States; 84.048, Career and Technical Education -- Basic Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

The Maryland Department of Education received a grant to develop a postsecondary liberal arts and vocational training program. The educational programming offered is a mix of various postsecondary occupational training programs, non-traditional careers training for women, and a standard liberal arts curriculum. Services will be provided in the boot camp, the women's institution and two medium security prisons.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 84.332 COMPREHENSIVE SCHOOL REFORM DEMONSTRATION

(CSR)

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part F.

**OBJECTIVES:**

The Comprehensive School Reform (CSR) program provides schools with funding to develop or adopt, and implement, comprehensive school reforms, grounded in scientifically based research and effective practices, that will help

enable children in participating schools to meet challenging State standards. These reforms must be structured to address 11 critical elements included in the Elementary and Secondary Education Act of 1965 (ESEA). The elements establish, among other things, that each participating school must base its proposed reforms on a comprehensive design that employs innovative strategies and methods based on reliable research and practice, aligns reforms with the school's regular program and a school needs assessment, and uses high-quality external technical support and assistance from entities with experience and expertise in schoolwide reform and improvement.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

All participating schools must use program funds to adopt and implement a comprehensive school reform program that: (1) employs proven methods and strategies based on scientifically-based research; (2) integrates a comprehensive design with aligned components; (3) provides high-quality professional development for teachers and staff; (4) includes measurable goals and benchmarks for student achievement; (5) is supported within the school by teachers, administrators, and staff; (6) provides support for teachers, administrators, and staff; (7) provides for meaningful parent and community involvement in planning, implementing, and evaluating school improvement activities; (8) uses high-quality external technical support and assistance from an external partner with experience and expertise in schoolwide reform and improvement; (9) plans for the evaluation of strategies for the implementation of school reforms and for student results achieved annually; (10) identifies resources to support and sustain the school's comprehensive reform effort; and (11) has been found to significantly improve the academic achievement of students or demonstrates strong evidence that it will improve the academic achievement of students. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs). The subgrantees are local education agencies (LEAs) applying to their SEAs in collaboration with eligible schools within the LEAs.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, and public schools.

**Credentials/Documentation:**

Applications should demonstrate the existence of a State-wide plan for supporting research-based comprehensive school reform that describes the process and selection criteria by which competitive subgrants will be made; how the SEA will ensure that only high-quality comprehensive school reform programs are funded; how the SEA will provide information and assistance to school districts and schools; and how the SEA will evaluate results achieved in schools districts receiving assistance.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

The Department allocates funds to any State with an approved application.

**Award Procedure:**

The Department awards grants to States by formula. States then award grants to LEAs.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Grants are awarded to SEAs annually. Subgrants are for up to three years with annual renewals subject to the approval of the SEA and availability of funds.

**Formula and Matching Requirements:**

Funds are available under Title I - Demonstrations of Innovative Practices Program. Then funds are appropriated for formula grants. Title I funds are allocated to SEAs based on Title I basic grant formula. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Funds awarded to SEAs must be obligated not later than September 30, 2001.

**Reports:**

No annual reports are required as part of this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for 5 years.

**Account Identification:**

91-0900-2-1-501.

**Obligations:**

(Grants) FY 07 \$2,352,000; FY 08 est \$1,605,000; and FY 09 est \$0. Beginning in FY 06, funds no longer supported State grants. Funds have supported only the final years of the program's Quality Initiatives Grants and the Clearinghouse contract.

**Range and Average of Financial Assistance:**

Funds support the Clearinghouse in 2008 - \$1,605,000.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable - 2008 funds support the final year of the contract for the CSR Clearinghouse.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 76, regarding the program application package for SEAs. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Comprehensive School Reform Demonstration Program, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Braden Goetz. E-mail: braden.goetz@ed.gov. Telephone: (202) 260-0982.

**Web Site Address:**

<http://www.ed.gov/programs/compreform/index.html>

**RELATED PROGRAMS:**

84.010, Title I Grants to Local Educational Agencies; 84.215, Fund for the Improvement of Education; 84.276, Goals 2000 \_State and Local Education Systemic Improvement Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable - FY 2008 funds support the final year of the CSR Clearinghouse contract.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are contained in EDGAR. Contact the program office for additional information.

## 84.333 DEMONSTRATION PROJECTS TO ENSURE STUDENTS WITH DISABILITIES RECEIVE A HIGHER EDUCATION

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act, Title VII, Part D, as amended, 20 U.S.C. 1140-1140d.

**OBJECTIVES:**

To support model demonstration projects to provide technical assistance or professional development for faculty in higher education, to provide students with disabilities a quality postsecondary education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Awards may be used to support innovative, effective, and efficient teaching methods and other strategies to enhance the skills and abilities of postsecondary faculty and administrators in working with disabled students. Activities include, but are not limited to: in-service training; professional development; customized and general technical assistance workshops; summer institutes; distance learning; training in the use of assistive and educational technology; and research related to postsecondary students with disabilities.

**Applicant Eligibility:**

Institutions of higher education.

**Beneficiary Eligibility:**

Faculty and administration in postsecondary education and students with disabilities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies will be mailed upon request. This

program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and individuals having expertise in effective training strategies, knowledge of the needs of postsecondary students with disability and learning characteristics of students with disabilities and programs for students with disabilities in postsecondary education.

**Deadlines:**

The deadline date is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

None.

**Renewals:**

Grants may last for up to 3 years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are to be made for 3 years, subject to the availability of appropriations.

**Reports:**

A final performance report is required. Reporting requirements are specified in the grant award documents.

**Audits:**

In accordance with provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$6,874,560; FY 08 est \$6,754,894; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 08, the average award was \$292,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, twenty-three grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 75, published in the Federal Register on March 6, 1997.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, 400 Maryland Ave., S.W., Washington, DC 20202-5131. Contact: Shedita Alston. E-mail: shedita.alston@ed.gov Telephone: (202)502-7808.

**Web Site Address:**

<http://www.ed.gov/programs/disabilities/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information on criteria for individual competitors.

## 84.334 GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS

(GEAR-UP)

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act, Title IV, Part A, Subpart 2, Chapter 2, 20 U.S.C. 1070a-21-1070a-28.

**OBJECTIVES:**

Supports eligible entities in providing or maintaining a guarantee to eligible low-income students who obtain a secondary diploma (or its recognized equivalent), of the financial assistance necessary to permit the students to attend an institution of higher education; and supports eligible entities in providing additional counseling, mentoring, academic support, outreach, and supportive services to elementary and middle schools, and secondary school students who are at risk of dropping out of school; and information to students and their parents about the advantages of obtaining a postsecondary education and the college financing options for the students and their parents.



**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

There are two components of GEAR-UP: Early Intervention and Scholarship Components. Under the Early Intervention component awards may be used to allow States and partnership of entities such as community-based organizations, schools, institutions of higher education, public and private agencies, nonprofit and philanthropic organizations, and businesses to provide early intervention activities such as comprehensive mentoring, counseling, outreach, and supportive services programs to eligible students beginning no later than seventh grade through grade twelve. Under the Scholarship Component awards may be used for the purpose of awarding Federal grant assistance to a student who is less than 22 years old at the time of first scholarship; receives a secondary school diploma or its recognized equivalent on or after January 1, 1993; is enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education and who participated in the early intervention component or in a TRIO program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76-569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

A State, or a partnership consisting of one or more local education agencies acting on behalf of one or more elementary schools or secondary schools; and the secondary schools that students from the schools (elementary/secondary) would normally attend; one or more degree granting institutions of higher education; and at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, parent groups, and/or nonprofit organizations. States are required to conduct both components.

**Beneficiary Eligibility:**

Low-income students and students in high-poverty schools.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies are available on the web page and will also be mailed upon request. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, State, and local education agencies having expertise in elementary, secondary, and higher education are designated to review applications.

**Deadlines:**

The deadline date is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

None.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has a statutory nonfederal matching requirement of not less than 50 percent of the program cost. States are required to match at 50 percent of the grant. The Secretary may, by regulation, modify the percentage match for partnerships. The nonfederal contribution may be in cash or in-kind.

**Length and Time Phasing of Assistance:**

Grants are made for up to 5 years, subject to the availability of funds.

**Reports:**

A biennial evaluation report is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the awards.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$303,423,120; FY 08 est \$303,422,950; and FY 09 est \$303,423,000.

**Range and Average of Financial Assistance:**

In FY 08, the average State grant was \$3,460,000. The average new partnership grant was \$951,000; the average continuation partnership grant was \$1,216,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 40 State grants were awarded and 152 partnership grants were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 694. Contact the program office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, GEAR-UP, 400 Maryland Avenue, S.W., Washington, DC 20202-5131. Contact: James Davis or Sylvia Ross E-mail: gearup@ed.gov. Telephone (202) 502-7676.

**Web Site Address:**

<http://www.ed.gov/programs/gearup/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

GEAR UP provides five-year grants to states and partnerships to provide services at high-poverty middle and high schools. GEAR UP grantees serve an entire cohort of students beginning no later than the seventh grade and follow the cohort through high school. GEAR UP funds are also used to provide college scholarships to low-income students.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR). Contact the Program Office for more information.

**84.335 CHILD CARE ACCESS MEANS PARENTS IN SCHOOL****FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act, Title IV, Part A, Subpart 7, as amended.

**OBJECTIVES:**

To support the participation of low-income parents in postsecondary education through the provision of campus-based child care services.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Awards shall be used to support or establish child care programs serving low-income students enrolled in college. Funds may be used to provide for before or after school services to the extent necessary to allow students to pursue a postsecondary career. No funds from grants can be used for construction other than minor renovations to meet State or local health or safety needs.

**Applicant Eligibility:**

An institution of higher education is eligible to apply if the total amount of all Federal Pell Grant Funds awarded to students enrolled at the institution of higher education for the preceding fiscal year equals or exceeds \$350,000.

**Beneficiary Eligibility:**

Benefiting are low-income students enrolled in postsecondary programs.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies will be mailed upon request. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and child care providers having expertise in child care service are designated to review application.

**Deadlines:**

The deadline date is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

None.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

The grant amount awarded to an institution shall not exceed one percent of the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year.

**Length and Time Phasing of Assistance:**

Grants shall be awarded for a period of 4 years, subject to the availability of funds.

**Reports:**

Reports are required 18 months and 36 months after receiving the first grant payment.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$15,810,300; FY 08 \$15,463,735; and FY 09 est \$15,463,735.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$10,000 to \$300,000; the average award is expected to be \$91,375.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 170 awards are expected to be made in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Higher Education Programs, 400 Maryland Avenue, S.W., Washington, DC 20202-5131. Contact: Dorothy Marshall. E-mail: dorothea.marshall@ed.gov. Telephone: (202) 502-7634.

**Web Site Address:**

<http://www.ed.gov/programs/campisp/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funds are used to support or establish campus-based child care programs primarily serving the needs of low-income students enrolled in institutions of higher education. Grants may be used for before- and after-school services. In addition, grants may be used to serve the child care needs of the community served by the institution.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will be selected from those in the Education Department General Administrative Regulations (EDGAR). Contact the Program Office for more information.

## 84.336 TEACHER QUALITY ENHANCEMENT GRANTS

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title II, Part A, Public Law 105-244.

**OBJECTIVES:**

To improve student achievement; improve the quality of the current and future teaching force by improving the preparation of prospective teachers and enhancing professional development activities; hold institutions of higher education accountable for preparing teachers who have the necessary teaching skills and are highly competent in the academic content areas in which the teachers plan to teach; train pre-service teachers in the effective uses of technology in the classroom; and recruit highly qualified individuals, including individuals from other occupations, into the teaching force.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Awards may be used to reform teacher preparation programs, reform

certification and licensure requirements, provide alternatives to traditional preparation for teaching, create alternative routes to State certification, develop and implement effective mechanisms for recruitment, pay, and removal of teachers, address the problem of social promotion, and to recruit teachers.

**Applicant Eligibility:**

States and partnerships that consist of at least one institution of higher education with a teacher preparation program, one school of arts and sciences, and one high-need local educational agency. A high-need local educational agency; is an agency that serves an elementary school or secondary school located in an area containing: (1) A high percentage of individuals or families with incomes below the poverty line, (2) a high percentage of secondary teachers not teaching in the content area that they were trained to teach, or (3) a high teacher turnover rate. An accredited institution of higher education, with a teacher training program must demonstrate the following: (A) A graduate from the teacher training program exhibits strong performance on State-determined qualifying assessments for new teachers through demonstrating that 80 percent or more of the graduates of the program intending to enter the field of teaching have passed all of the applicable State qualification assessments for new teachers including an assessment of each prospective teacher's subject matter knowledge in the content area or areas in which the teacher intends to teach; (B) be ranked among the highest-performing teacher preparation programs in the State as determined by the State; (C) the teacher training program requires all the students of the program to participate in intensive clinical experience that meets high academic standards in the case of secondary candidates to successfully complete an academic major in the subject area in which the candidate intends to teach; (D) competence through a high level of performance in relevant content area; (F) successful completion of an academic major in the arts and sciences in the case of elementary school candidates, or (G) competence through a high level of performance in core academic subjects areas. (Note: Entities that may constitute a partnership are specifically listed in the Law.)

**Beneficiary Eligibility:**

Benefiting are students and school communities in high-need schools and school districts.

**Credentials/Documentation:**

None.

**Reapplication Coordination:**

This program is eligible under Executive Order 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact their State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, State and local educational agencies with expertise in teacher education are designated to review applications.

**Deadlines:**

The deadline date is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applicants.

**Appeals:**

None.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has statutory requirements as follows: State applicants are required to match 50 percent of the grant. Partnership applicants are required to match at 25 percent the first year of the grants, 35 percent in the second year of grant, and 50 percent in the third through fifth years of the grant.

**Length and Time Phasing of Assistance:**

Grants may be awarded for up to 3 years for State applicants and for up to five years for partnership applicants, subject to the availability of funds.

**Reports:**

A final performance report is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal Audit requirements for that year, except as noted in circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for five years after

termination of the awards.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$59,896,960; FY 08 est \$33,662,460; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 2008, the average continuation award: for partnership grants \$1,124,000, and for teacher recruitment grants \$800,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 58 awards were made -- 49 partnerships, and 9 teacher recruitment grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Teacher Quality Programs, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Kathy Price. E-mail: kathy.price@ed.gov. Telephone: (202) 502-7878.

**Web Site Address:**

<http://www.ed.gov/programs/heatqp/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funds are used to carry out reforms in the way teachers are recruited and prepared with a view toward developing improved clinical experiences; adopting reforms in licensing and certification requirements; developing improved recruitment and hiring procedures for new teachers; and conducting professional development in the use of technology to improve education.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for this information.

## 84.337 INTERNATIONAL EDUCATION-TECHNOLOGICAL INNOVATION AND COOPERATION FOR FOREIGN INFORMATION ACCESS

**FEDERAL AGENCY:**

OFFICE OF THE ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION, HIGHER EDUCATION PROGRAMS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title VI, Part A, Section 606, as amended.

**OBJECTIVES:**

Grants are awarded to institutions of higher education, public or nonprofit private libraries, or consortia of such institutions or libraries, to develop innovative techniques or programs using new electronic technologies to collect, organize, and preserve, and widely disseminate information on world regions and countries other than the United States that address our Nation's teaching and research needs in international education and foreign languages.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Awards may be used to support projects that facilitate access to or preserve foreign information resources in print or electronic forms; develop new means of immediate, full-text document delivery for information and scholarship from abroad; develop new means of shared electronic access to international data; support collaborative projects of indexing, cataloging, and other means of bibliographic access for scholars to important research materials published or distributed outside the United States; develop methods for the wide dissemination of resources written in non-Roman language alphabets; assist teacher of less commonly taught languages in acquiring, via electronic and other means, materials suitable for classroom use; and promote collaborative technology based projects in foreign languages, area studies, and international studies among grant recipients under this title.

**Applicant Eligibility:**

Institutions of higher education, and public or nonprofit private libraries or consortia of such institutions or libraries.

**Beneficiary Eligibility:**

Institutions of higher education, and public or nonprofit private libraries or consortia of such institutions or libraries.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In any fiscal year in which funds are available for new awards, the Department

of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and libraries having expertise in the utilization of technology for accessing and disseminating information on world regions other than the United States that address one nation's teaching and research needs in international education and foreign languages.

**Deadlines:**

The deadline date is published in the Federal Register.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applications.

**Appeals:**

None.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula to determine the amount of a grant. The grantee is required to contribute to the project of an amount from nonfederal sources equal to at least 33 1/3 percent the amount of the grants. The nonfederal contribution may be in cash or in-kind.

**Length and Time Phasing of Assistance:**

Grants may be made on a multi-year basis.

**Reports:**

A final performance report is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for four years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$1,700,000; FY 08 \$1,700,000; and FY 09 est \$1,700,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$100,000 to \$200,000; the average award is expected to be \$170,000.

**PROGRAM ACCOMPLISHMENTS:**

Ten continuation grants are expected to be awarded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, International Education Programs Service, 400 Maryland Avenue, S.W., Washington, DC 20202-5331. Contact: Susanna Easton. E-mail: susanna.easton@ed.gov. Telephone: (202) 502-7628.

**Web Site Address:**

<http://www.ed.gov/programs/iegpsticfia/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Meeting the purpose of the authorizing statute (20 points); (2) need for project (10 points); (3) significance (12 points); (4) quality of the project design (12 points); (5) quality of project personnel (8 points); (6) quality of project services (6 points); (7) adequacy of resources (12 points); (8) quality of the management plan (10 points); and (9) quality of the project evaluation (10 points).

## 84.343 ASSISTIVE TECHNOLOGY-STATE GRANTS FOR PROTECTION AND ADVOCACY

**FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Assistive Technology Act of 1998, Title I, Section 5, Public Law 105-394.

**OBJECTIVES:**



To support protection and advocacy services through the systems established to provide protection and advocacy services under the Developmental Disabilities Assistance and Bill of Rights Act for the purpose of assisting the acquisition, utilization, or maintenance of assistive technology or assistive technology services for individuals with disabilities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to support protection and advocacy services related to assistive technology services and devices. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 75-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Designated protection and advocacy agencies in States and outlying areas only.

**Beneficiary Eligibility:**

Persons with disabilities who may benefit from assistive technology services and devices.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is covered under E.O. 12372, "Intergovernmental Review of Programs." An applicant should consult the office or official designated as point of contact in his or her State to be followed in applying for assistance has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Office of Special Education and Rehabilitative Services, Rehabilitation Services Administration and required by OMB Circular No. A-102. Contact the Program Office for more information.

**Award Procedure:**

Applications are reviewed by Department of Education staff.

**Deadlines:**

Contact the program office for deadline information.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

The State may appeal to the Office of Administrative Law/Judges (34 CFR 81).

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Annual formula grants.

**Reports:**

Annual progress reports, expenditure reports, and quarterly cash reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall mail accounts, records, and other evidence pertaining to all costs incurred, review other applicable credits acquired under this grant.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Grants) FY 07 \$4,341,000; and FY 08 est \$4,265,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The range of awards was approximately \$50,000 - \$415,188 in FY 07.

**PROGRAM ACCOMPLISHMENTS:**

The Department made 56 grant awards in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for this information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, DC 20202-2500. Contact: Fred Isbister. E-mail Address: fred.isbister@ed.gov. Telephone: (202) 245-7385.

**Web Site Address:**

<http://www.ed.gov/programs/rsapair/awards.html>

**RELATED PROGRAMS:**

84.240, Program of Protection and Advocacy of Individual Rights.

**EXAMPLES OF FUNDED PROJECTS:**

Projects support information, advocacy and representation, training, technical assistance, and general guidance for protection and advocacy entities to increase access to and provision of assistive technology devices and services. The

emphasis is on consumer advocacy and capacity building through protection and advocacy agencies in the States.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

## 84.345 UNDERGROUND RAILROAD EDUCATIONAL AND CULTURAL PROGRAM

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Amendments of 1998; Title VIII, Part H, Public Law 105-244.

**OBJECTIVES:**

To provide grants to nonprofit education organizations that are established to research, display, interpret and collect artifacts relating to the history of the underground railroad.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

In accordance with eligibility requirements. Organizations receiving funds must: demonstrate substantial private support through a public-private partnership; create an endowment that provides for the operations of the facility; and establish a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad.

**Applicant Eligibility:**

An application submitted for funding under this program must include: (1) The name, address, and web site address, if any, of the nonprofit educational institution seeking to participate, and the name, title, mailing and e-mail address, and telephone number of a contact person for the institution. (2) A description of the facility that will be used to house the artifacts related to the history of the Underground Railroad and to make the interpretive efforts available to institutions of higher education that award a baccalaureate or graduate degree. (3) A description of the substantial private support for the facility through the implementation of a public private partnership between a State or local public entity and a private entity. for the support of the facility as required in section 841 (b) (2) of the Higher Education Amendments of 1998. An agreement documenting the commitment of the private entity to provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of the State or local public entity. (4) An explanation of the proposed contribution of the State or local public entity and documentation showing that not more than 20 percent of the matching funds will be provided by the Federal government. (5) A description of how the endowment will be created to fund any and all shortfalls in the costs of the on-going operations of the facility and expected sources of these funds. (6) A statement as to whether the applicant institution intends to establish a network of satellite centers throughout the United States to help disseminate information regarding the underground railroad. If the applicants institution does intend to establish a network, documentation showing how the satellite centers will raise 80 percent of the funds required from nonfederal public and private sources. (7) A detailed description of how the applicant intends to electronically link the facility with other local and regional facilities that have collections and programs which interpret the history of the underground railroad, including a listing of the facilities the applicant intends to include.

**Beneficiary Eligibility:**

Nonprofit educational organizations that are established to research, display, interpret and collect artifacts relating to the history of the underground railroad.

**Credentials/Documentation:**

Nonprofit certification including a description of the purpose for which the organization was established.

**Preapplication Coordination:**

Contact the program office for application information. This program is eligible for coverage under E.O. 12372. "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All applications should clearly designate a contact person, telephone number, and the e-mail address of the contact person. Applicants should submit the original application. Copies are not necessary. Applications must be postmarked on or before June 30.

**Award Procedure:**

None.

**Deadlines:**

Deadlines will be published in the Federal Register; contact the Program Office for more information.

**Range of Approval/Disapproval Time:**

One month.

**Appeals:**

None.

**Renewals:**

Dependent upon the availability of appropriations.

**Formula and Matching Requirements:**

An agreement documenting the commitment of the private entity to provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of the State or local public entity is required. An explanation of the proposed contribution of the State or local public entity and documentation showing that not more than 20 percent of the matching funds will be provided by the Federal government is also required.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

For each fiscal year for which the organization receives funding under this section, a report must be submitted to the Secretary of Education that contains a description of the programs and activities supported by the funding, the audited financial statement of the organization for the preceding fiscal year, and a plan for the programs and activities to be supported. The Secretary may require an evaluation of the programs and activities supported by the funding.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Grants) FY 07 \$1,980,000; FY 08 \$1,945,410; and FY 09 est \$1,945,410.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$500,000 to \$1,000,000; the average award is expected to be \$973,000.

**PROGRAM ACCOMPLISHMENTS:**

Two awards are expected to be made in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Claire Cornell. E-mail: [claire.cornell@ed.gov](mailto:claire.cornell@ed.gov); Telephone: (202) 502-7609.

**Web Site Address:**

<http://www.ed.gov/programs/ugroundrr/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

National Underground Railroad Freedom Center (FC) (XE 'NATIONAL UNDERGROUND RAILROAD FREEDOM CENTER'("F"))(Cincinnati, Ohio) - The 2007 grant award will be used to further and support the FC's mission to reveal stories about the Underground Railroad and freedom's heroes, past and present, challenging and inspiring everyone to take courageous steps for freedom today. The grant will implement a robust schedule of special speakers, events, programs, community forums, and changing exhibits. FC exhibits consist of six permanent experiences and two changing galleries. Grant funds will also be used to manage the Center's highly-visited Web site, which serves an important role in itself to inform and educate our virtual visitors. Grant funds will also be used toward services specifically for FC's annual base of 50,000 visiting school children coming from cities all across the country. entitled "Revolution!" which continues the efforts of our landmark exhibitions "Slavery in New York" (2005) and "New York Divided: Slavery and the Civil War" (2006) to examine the "contagion of freedom" that buttressed the Underground Railroad. The project shows how revolutions in America, France, and Haiti uniquely defined notions of freedom, equality, and human rights, and in fact played a key role in the abolition of slavery in the United States by serving as a foundation for the rhetoric and activism of abolitionists such as Frederick Douglass, William Lloyd Garrison, David Walker, David Ruggles, Henry Highland Garnet, James McCune Smith, and many other key figures in the Underground Railroad. A comprehensive exhibition Web site with links to likeminded institutions, as well as a traveling version of the show, will extend the life of the exhibition and reach an enormous and diverse local, national, and international audience.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.349 EARLY CHILDHOOD EDUCATOR PROFESSIONAL DEVELOPMENT**

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part A, Subpart 5, section 2151 (e).

**OBJECTIVES:**

To promote school readiness and improved learning outcomes of young children by providing high-quality professional development programs to improve the knowledge and skills of early childhood educators and caregivers who work in early childhood programs located in high-poverty communities and who serve primarily children from low-income families. This professional development must primarily provide training that will improve early childhood pedagogy and will further children's language and literacy skills to prevent them from encountering reading difficulties when they enter school.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grant recipients, must, for example, use funds for reasonable costs needed to provide high-quality, research-based professional development opportunities for early childhood educators working in urban and rural communities with high concentrations of young children living in poverty, enrolled in programs such as: Title I preschools, Head Start, Even Start Family Literacy programs, and publicly funded or subsidized child care. The indirect cost rate is limited to the maximum of eight percent or the amount permitted by its negotiated indirect cost rate agreement, whichever is less.

**Applicant Eligibility:**

Institutions of higher education, State agencies for higher education, local educational agencies, State educational agencies, and other public and private agencies, organizations, and institutions such as child care consortiums and Head Start programs. Specifically, partnerships of: (a) a professional development provider; (b) public agencies, Head Start agencies, or private organizations; and (c), if feasible, an entity with experience in training early childhood educators about identifying and preventing behavioral problems or with experience in working with children who are victims of abuse.

**Beneficiary Eligibility:**

Early childhood educators who work in early childhood programs located in urban or rural high-poverty communities and who primarily serve children from low-income families.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the absolute priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Group Application Certification (if applicable); Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit one original and two copies of their application.

**Award Procedure:**

The Department of Education notifies applicants of award results. Contact the Program Office for more information.

**Deadlines:**

Deadlines will be published in the Federal Register. You may also contact the Program Office for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

None.

**Renewals:**

Applicants may apply for a project period of up to four years. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects are funded for a period of up to four years. Renewals are subject to the availability of appropriations.

**Reports:**

Progress reports must be submitted at the end of each budget period in order to receive continuation awards. Performance reports must be submitted at the end of the grant period.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act (GEPA) and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$14,549,000; FY 08 \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

The average award was \$3,366,746.

**PROGRAM ACCOMPLISHMENTS:**

4 awards were made in 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Early Childhood Educator Professional Development 400 Maryland Ave., S.W., Washington, DC 20202-6132. Contact: Rosemary Fennell, E-mail: [ecprofdev@ed.gov](mailto:ecprofdev@ed.gov). Telephone: (202) 260-0792.

**Web Site Address:**

<http://www.ed.gov/programs/eceducator/index.html>.

**RELATED PROGRAMS:**

84.010, Title I Grants to Local Educational Agencies; 84.359, Early Reading First; 84.213, Even Start\_State Educational Agencies; 84.281, Eisenhower Professional Development State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

These professional development programs are partnerships between Institutions of Higher Education and providers of early childhood education that provide research-based training that will improve early childhood pedagogy and will further children's language and literacy skills to prevent them from encountering reading difficulties when they enter school.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications.

## 84.350 TRANSITION TO TEACHING

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act; Title II, Part C, Subpart 1, Chapter B.

**OBJECTIVES:**

To recruit and retrain highly qualified midcareer professionals (including highly qualified paraprofessionals) and recent graduates of institutions of higher education, as teachers in high-need schools, including recruiting teachers through alternative routes to teacher certification; and to encourage the development and expansion of alternative routes to certification under state-approved programs that enable individuals to be eligible for teacher certification within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual or other factors in lieu of traditional course work in the field of education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To develop a program to recruit, select, screen, train and place individuals (mid-career individuals and qualified recent college graduates) to become licensed and successful teachers in high-need areas to help reduce the teacher shortage in local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies; high-need local educational agencies; for profit and

nonprofit organizations with proven records of effectively recruiting and retaining highly qualified teachers, in partnerships with high-need local educational agencies or State educational agencies; institutions of higher education, in partnerships with high-need local educational agencies or State educational agencies; regional consortia of State educational agencies; and consortia of high-need local educational agencies.

**Beneficiary Eligibility:**

Mid-career professionals from various fields who possess strong subject-matter skills to become teachers; recent college graduates with baccalaureate degrees in the academic subjects that the individuals will teach; LEA's with critical teacher shortages, particularly in the fields of mathematics, science, foreign languages, bilingual education, reading, and special education.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicant must submit the following by the designated deadline: (1) The applicant must provide a written narrative which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. This Section must be limited to no more than 50 double-spaced pages. (2) Required forms to be submitted with the application include SF-424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness. Applications are reviewed and scored by a panel of experts. Applications are ranked according to score by funding category; i.e., national, State, or local applicant. A funding slate is prepared and the highest funded applications are recommended for funding. Successful and unsuccessful applicants are notified of outcome. Grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office for more information.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Part 86 - Subpart E of the Education Department General Administrative Regulations (EDGAR) outlines procedures governing appeals of decisions by a designated Department official to demand the repayment of Federal financial assistance or terminate the eligibility of an institution of higher education, State educational agency or local educational agency.

**Renewals:**

Applicants may apply for a project period of up to 3 years. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects may be funded for a period of 36 months. Renewals are subject to the availability of appropriations.

**Reports:**

Performance reports are due 90 days after expiration or termination of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$44,484,000; FY 08 \$43,707,000; and FY 09 est \$43,707.

**Range and Average of Financial Assistance:**

In FY 2008, the range of awards is expected to be \$98,852 to \$3,074,773; the average award is expected to be \$426,324.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 102 continuation awards are expected in FY 2008.



**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines were published in the Federal Register in April 2001.  
Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OII Teacher Quality Programs 400 Maryland Ave.,  
S.W., Washington, DC 20202-6100; Contact: Thelma Leenhouts, E-mail  
Address [thelma.leenhouts@ed.gov](mailto:thelma.leenhouts@ed.gov); Telephone (202) 260-0223.

**Web Site Address:**

<http://www.ed.gov/programs/transitionteach/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Florida Department of Education has received grants under this program in 2002 and 2006, to recruit, train, and place mid-career professionals, including highly-qualified paraprofessionals, and recent college graduates in teaching positions through partnerships with several high-need school districts. The 2002 cohort has placed 487 out of 679 participants, and the 2006 cohort has placed all of its 37 participants, as teachers at record in high-need schools in high-need districts.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are contained in the Education Department General Administrative Regulations (EDGAR) 34 CFR 75.210. Contact the program office for more information.

**84.351 ARTS IN EDUCATION****FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title V, Part D, Subpart 15.

**OBJECTIVES:**

To provide competitive grants that support the integration of the arts into the elementary and secondary school curriculum, with particular focus on improving the academic achievement of low-income students.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Grants are awarded on a competitive basis to support the following types of activities: (1)research on arts education; (2)development and dissemination of model school-based arts education programs; (3)development of model State arts education assessments based on State academic achievement standards; (4)development of curriculum frameworks in the arts; (5)development of model professional development programs in the arts for teachers and administrators; (6)support collaborative activities with Federal agencies or institutions involved in arts education, arts educators, and organizations representing the arts; and (7)support of model programs to integrate arts education into the regular elementary and secondary school curriculum. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

State educational agencies; local educational agencies; institutions of higher education; museums and other cultural institutions; and any other public or private agencies, institutions, or organizations.

**Beneficiary Eligibility:**

Arts educators and administrators, preservice and inservice programs for teachers.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the official or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The applicant must submit the following by the designated deadline: Written narrative addressing the selection criteria and application content; readers read and evaluate how well an applicant has addressed the criteria; all required forms: SF 242; A,B,C,D of Form 525; Assurances Non-Construction programs; Certification Regarding Lobbying, Debarment and Suspension; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tiered Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness;

applications are reviewed and scored by a panel of experts; and applications are ranked according to raw scores. A funding slate is prepared and the highest ranked applications are recommended for funding. Successful and unsuccessful applicants are notified of the outcome, and grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Deadlines are published in the Federal Register; contact the Program Office for more information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 10 120 days following the application deadline.

**Appeals:**

Part 86, Subpart E, of the Education Department General Administrative Regulations (EDGAR) outlines procedures governing appeals of decisions by a designated Department official to demand the repayment of Federal financial assistance or terminate the eligibility of an Institution of Higher Education, State educational agency or local educational agency.

**Renewals:**

Applicants may apply for a project period of up to three years. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants under Subpart A may be awarded for up to 36 months; grants under Subpart B may be awarded for up to 60 months. Continuation awards are subject to the availability of funds and substantial progress by the grantee.

**Reports:**

Performance Reports are due within six to ten months of the initial award date; these reports are used to determine whether the grantee has made substantial progress toward meeting the project objectives and should or should not receive continuation funding.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised June 27, 2003), "Audits of States, Local Governments, and Non-profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$35,277,000; FY 08 est \$37,533,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Range of new awards: \$100,000 to \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 85 new and continuation awards were made in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education General Administrative Regulations (EDGAR).  
Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: (Model Development and Dissemination Grants)-Diane Austin, E-mail: [diane.austin@ed.gov](mailto:diane.austin@ed.gov). Telephone (202)260-1280; (Professional Development for Arts Educators Grants)-Isadora Binder, E-mail: [isadora.binder@ed.gov](mailto:isadora.binder@ed.gov). Telephone: (202) 260-3778.

**Web Site Address:**

<http://www.ed.gov/programs/artsed/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Model Development and Dissemination Grants Program, supports the development, documentation, evaluation and dissemination of innovative models that seek to integrate and strengthen arts instruction in elementary and middle schools and improve students; academic in the arts. The Professional Development for Arts Educators grants achievement, support the development of model professional development programs for music, dance, drama, and visual arts educators.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the Education Department General Administrative Regulations (EDGAR) 34 CFR 75.210.

## 84.354 CREDIT ENHANCEMENT FOR CHARTER SCHOOL FACILITIES

### FEDERAL AGENCY:

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Elementary and Secondary Education Act of 1965, as amended, Title V, Part B, Subpart 2.

### OBJECTIVES:

To provide grants to eligible entities to leverage funds through credit enhancement initiatives in order to assist charter schools in using private-sector capital to acquire, construct, renovate, or lease academic facilities.

### TYPES OF ASSISTANCE:

Project Grants (Discretionary).

### USES AND USE RESTRICTIONS:

Grant recipients shall deposit the funds received under this program (other than funds used for administrative costs) in a reserve account established and maintained by the entity for this purpose. Amounts deposited in such an account shall be used by the entity to help charter schools access private-sector capital for acquiring, renovating, or constructing facilities. Reserve accounts must be used for one or more of the following purposes: (1)Guaranteeing, insuring, and reinsuring bonds, notes, evidences of debt, loans, and interests therein; (2)Guaranteeing and insuring leases of personal and real property; (3)Facilitating financing by identifying potential lending sources and encouraging private lending and other similar activities that directly promote lending to, or are conducted for the benefit of, charter schools; and (4)Facilitating the issuance of bonds by charter schools or by public entities for the benefit of charter schools. This may be accomplished by providing technical, administrative, and other appropriate assistance, including the recruitment of bond counsel, underwriters, and potential investors and the consolidation of multiple charter school projects within a single bond issue.

### Applicant Eligibility:

A public entity, such as a State or local government entity, a private nonprofit entity, or a consortium of such entities may apply.

### Beneficiary Eligibility:

Public charter schools as defined in Section 10310, ESEA.

### Credentials/Documentation:

Not applicable.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures. "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Award Procedure:

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards and negotiates and awards grants. Contact the program office for more information.

### Deadlines:

Contact the program office for application deadlines and information.

### Range of Approval/Disapproval Time:

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

### Appeals:

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

### Renewals:

Continuation awards are subject to the availability of appropriations.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

FY 2008, funds under this program are available for the Department of Education to obligate by September 30, 2008. Once these funds are obligated, they must be expended from the Federal account by September 30, 2013. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose.

### Reports:

Each eligible entity receiving a grant under this program annually shall submit to

the Secretary a report of its operations and activities. Each such annual report shall include-- (1) a copy of the most recent financial statements, and any accompanying opinion on such statements, prepared by the independent public accountant reviewing the financial records of the eligible entity; (2) a copy of any report made on an audit of the financial records of the eligible entity that was conducted during the reporting period; (3) an evaluation by the eligible entity of the effectiveness of its use of the Federal funds in leveraging private funds; (4) a listing and description of the charter schools served during the reporting period; (5) a description of the activities carried out by the eligible entity to assist charter schools; and (6) a description of the characteristics of lenders and other financial institutions participating in the activities undertaken by the eligible entity during the reporting period.

### Audits:

The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

### Records:

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

### Account Identification:

91-0204-0-1-501.

### Obligations:

(Grants) FY 07 \$36,611,000; FY 08 est \$0; and FY 09 est \$36,611,000. The Department will use \$8,300,000 from the FY 2008 appropriation for Charter School grants for the Credit Enhancement for Charter School Facilities.

### Range and Average of Financial Assistance:

Estimated award: \$8,300,000.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2008, one new award was made.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

### Regional or Local Office:

None.

### Headquarters Office:

Department of Education, OII Parental Options and Information, 400 Maryland Ave., S.W., Rm. 3C140, FB-6 Washington, DC 20202-6140. Contact Jim Houser, E-mail: jim.houser@ed.gov. Telephone: (202) 401-0307.

### Web Site Address:

<http://www.ed.gov/programs/charterfacilities/index.html> .

### RELATED PROGRAMS:

84.282, Charter Schools.

### EXAMPLES OF FUNDED PROJECTS:

With a focus on leveraging funds for charter school facilities, projects guarantee and insure debt to finance charter school facilities; guarantee and insure leases for property; facilitate charter schools facilities financing by identifying potential lending services; and establish temporary charter school facilities that new charter schools can use until they are able to acquire their own facility.

### CRITERIA FOR SELECTING PROPOSALS:

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. For additional information contact the program office.

## 84.356 ALASKA NATIVE EDUCATIONAL PROGRAMS

### FEDERAL AGENCY:

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Elementary and Secondary Education Act (ESEA), as amended, Title VII, Part C.

### OBJECTIVES:

To support projects that recognize and address the unique educational needs of Alaska Native students and to support supplemental education programs to benefit Alaska Natives.

### TYPES OF ASSISTANCE:

Project Grants (Discretionary).

### USES AND USE RESTRICTIONS:

Allowable activities include, but are not limited to: the development of curricula and education programs that address the educational needs of Alaska Native students; the development and operation of student enrichment programs in science and mathematics; professional development activities for educators; activities carried out through Even Start programs and Head Start programs; family literacy services; and dropout prevention programs. An eligible entity may use not more than 10 percent of the funds received under this subpart for the administrative costs of carrying out its responsibilities under this Subpart.

### Applicant Eligibility:

Alaska Native organizations, education entities with experience in developing or operating Alaska Native programs or programs of instruction conducted in Alaska Native languages, cultural and community-based organizations with

experience in developing or operating programs to benefit Alaska Natives, and consortia of organizations may apply. A State educational agency (SEA) or local educational agency (LEA) may apply as part of a consortium involving an Alaska Native organization. The consortia may include other eligible applicants.

**Beneficiary Eligibility:**

Alaska Natives as defined in Public Law 103-382.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The Program Office notifies successful applicants of awards and negotiates and awards grants. Contact the Program Office for more information.

**Deadlines:**

Contact the Program Office for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30, of the fiscal year for which they are appropriated. Once these funds are obligated, they must be expended from the Federal account by September 30, of the subsequent fiscal year. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. Continuation awards are subject to the availability of appropriations.

**Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Secretary a report of its operations and activities. Each annual report shall include: (1) An executive summary; (2) a project status; (3) budget information; and (4) supplemental information.

**Audits:**

In accordance with the provisions of OMB Circular No A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$33,907,000; FY 08 est \$33,315,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Range of new awards: \$105,000 - \$1,052,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, 14 new awards and 38 continuation awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Department of Education, OESE School Improvement Programs 400 Maryland Ave., S.W., Washington, DC 20202-6140. Contact: Alexis Fisher. Telephone: (202) 401-0281. E-mail: alexis.fisher@ed.gov.

**Web Site Address:**

<http://www.ed.gov/programs/alaskanative/index.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Early childhood and family programs emphasizing school readiness; enrichment programs in reading, math, and science; native language and cultural education instruction; and school-to-work transition programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

## 84.357 READING FIRST STATE GRANTS

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part B, Subpart 1.

**OBJECTIVES:**

To ensure that every student can read at grade level or above by the end of third grade. The Reading First program provides assistance to States and districts in establishing reading programs for students in kindergarten through third grade that are based on scientifically based reading research. Reading First also focuses on teacher development and ensuring that all teachers, including special education teachers, have the tools they need to effectively help their students learn to read. The program provides assistance to States and districts in preparing teachers to identify specific reading barriers facing their students.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Each State educational agency (SEA) receiving a grant shall use the funds to establish reading programs that are based on scientifically based reading research. This program is subject to non-supplanting requirements and grantees must use a restricted indirect cost rate that is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at 202-708-7770.

**Applicant Eligibility:**

State Education Agencies from the 50 States, Puerto Rico, the District of Columbia, the DOI Bureau of Indian Education, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Kindergarten through third-grade students, their teachers, and their parents are benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

In their Reading First State grant applications, States describe their plans to provide competitive subgrants to targeted schools and districts and to use significant State leadership funds in order to improve reading instruction and student achievement. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Office of Elementary and Secondary Education, a complete application that addresses the purposes of the program and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction Programs (SF-422B); Certification regarding Lobbying, Debarment, Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80- 0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA), and Section 9306 of the Elementary and Secondary Education Act (Other General Assurances). Applications should also include a Cover Page (SF-424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

Grant applications are reviewed by outside, expert panels. The expert panels recommend to the Secretary of Education those applications that meet the standards of the review criteria. Based on the panels' recommendations, the Department makes the grant awards. The Department of Education will notify successful applicants of their awards. Contact the Program Office for more information.

**Deadlines:**

Deadlines are published in the Federal Register.



**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Continuation funding depends upon future program appropriations and demonstrated substantial progress toward meeting the grant's goals and objectives.

**Formula and Matching Requirements:**

The Department awards grants through a formula based on the State's share of children aged 5-17 whose families have incomes below the poverty line, after first reserving 1/2 of 1 percent for the Outlying Areas and 1/2 of 1 percent for Bureau of Indian Education schools.

**Length and Time Phasing of Assistance:**

A Reading First grant to a State educational agency is awarded for up to 6 years, subject to sufficient appropriations and submission and review of progress reports.

**Reports:**

Grantees must submit performance reports annually. The program office establishes a due date. Final performance reports must be submitted within 90 days after the end of the grant award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expand financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$1,029,234,000; FY 08 est \$393,012,000; and FY 09 est \$1,000,000,000.

**Range and Average of Financial Assistance:**

For FY 2008, the estimated range of awards to SEAs is \$935,641 to \$48,953,409 with an average award of \$7,197,242.

**PROGRAM ACCOMPLISHMENTS:**

Grants support Reading First programs in all 50 States, the District of Columbia, Puerto Rico, Bureau of Indian Education schools, and the outlying areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 76, 77, 79, 80, 82, 85, 97, 98, 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reading First Program, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-6100. Contact: Joseph Conaty. E-mail: Joseph.conaty@ed.gov. Telephone: (202) 401-0113.

**Web Site Address:**

<http://www.ed.gov/programs/readingfirst/index.html>.

**RELATED PROGRAMS:**

84.359, Early Reading First.

**EXAMPLES OF FUNDED PROJECTS:**

Funds support increased professional development to ensure that all teachers have the skills they need to teach reading effectively. The program also supports the use of screening and diagnostic tools and classroom-based instructional reading assessments to measure how well students are reading and to monitor their progress.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the Program Office for more information.

**84.358 RURAL EDUCATION****FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title VI, Part B.

**OBJECTIVES:**

To provide financial assistance to rural districts to carry out activities to help improve the quality of teaching and learning in their schools.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grantees under the Small, Rural School Achievement Program component may use program funds to carry out activities authorized under: Title I-Part A (Grants to LEAs); Title II- Part A (Improving Teacher Quality State Grants); Title II-Part D (Educational Technology State Grants); Title III (Language Instruction for Limited English Proficient and Immigrant Students); Title IV-Part A (Safe and Drug-Free Schools and Communities State Grants); Title IV-Part B (21st Century Community Learning Centers); and Title V-Part A (State Grants for Innovative Programs). Grantees under the Rural and Low- Income School Program component may use program funds for: teacher recruitment and retention; teacher professional development; educational technology; parental involvement activities; activities authorized under ESEA Title IV-Part A (Safe and Drug-Free Schools and Communities); and activities authorized under ESEA Title I-Part A (Grants to LEAs); and activities authorized under ESEA Title III (Language Instruction for Limited English Proficient and Immigrant Students). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 75-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

For the Small, Rural School Achievement Program eligible recipients are local educational agencies (LEAs) in which (1) the total number of students in average daily attendance at all of the schools served by the LEA is less than 600 or where each school in the LEA is located in a county with a total population density of less than 10 persons per square mile; and (2) all of the schools served by the LEA are designated as rural under the U.S. Department of Education's National Center for Education Statistics (NCES) using the NCES school locale methodology in place at the time of NCLB's enactment or the LEA is located in an area of the State defined as a rural by a State governmental agency. For the Rural and Low-Income School Program eligible recipients are State educational agencies. States then must distribute funds to local educational agencies (LEAs) through a formula or competitive basis. An LEA is eligible to receive a grant under this program only if (1) it is not eligible for funds under the Small, Rural School Achievement Program; (2) at least 20% of the school children ages 5-17 in the LEA come from families with incomes below the poverty line; and (3) all of the schools served by the LEA are designated with a School Locale Code of 6, 7 or 8 under the Department of Education's National Center for Education Statistics (NCES) locator system using the NCES school locale methodology in place at the time of NCLB's enactment. If an SEA chooses not to participate in the program, the Secretary uses the State's allocation to make direct grants to eligible LEAs in the State.

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers in rural schools will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For the Small, Rural School Achievement Program component, the Department considers the application requirement to be met though, if the LEA submitted an application in any prior year and has drawn down payments LEAs annually submit applications to the Department of Education. The Department considers the application requirement to be met through, if the LEA submitted an application in any prior year and has drawn down payments from the Department's Grant Administration and payment system in subsequent years. Application forms are available from the headquarters office. For the Program component, an SEA must submit an application that includes specific, measurable goals and objectives for the activities to be carried out through the grant. If an SEA does not participate in the program, eligible LEAs in the State may submit an application directly to the Department.

**Award Procedure:**

For the Small, Rural School Achievement Program component, awards are issued annually directly to eligible LEAs on a formula basis. Awards are made to all that apply and meet the applicable requirements of the Act. Contact the program office for more information. For the Rural and Low-Income School Program component, awards are issued annually to SEAs, which make subgrants to LEAs. Awards are made to all SEAs that apply and meet the applicable requirements of the Act. If an SEA does not participate, awards are issued to eligible LEAs in the State either competitively or by formula.

**Deadlines:**

Application submissions deadlines are established annually and published in the Federal Register.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

For the Small, Rural School Achievement Program component, LEA allocations are based on a statutory formula which weighs ADA numbers and the LEA's prior year's allocations under ESEA Title II-subpart 2, Title II-section 2412(a)(2)(A), Title IV- section 4114, and Title V-Part A. Contact the program office for more specific information. For the Rural and Low-Income School Program component, SEA allocations are based on the ADA numbers of eligible LEA recipients. SEAs may make subgrants through formula or by competition.

**Length and Time Phasing of Assistance:**

Grants are awarded for one year.

**Reports:**

Annual financial and performance reports are due within 90 days of the termination of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained three years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$168,918,000; FY 08 est \$171,854,000; and FY 09 est \$171,854.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards for the Small Rural School Achievement program is expected to be \$38 to \$60,000; the average award is expected to be \$20,740. The range of awards for the Rural and Low Income School program is expected to be \$21,436 to \$7,642,838; the average is expected to be \$68,907.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 4,080 LEAs are expected to receive Small, rural school achievement grants and 1,247 LEAs are expected to receive Rural and low-income schools grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, 97, 98 and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Eric Schulz, E-mail: reap@ed.gov. Telephone: (202) 260-7349.

**Web Site Address:**

<http://www.ed.gov/programs/reapsrsa/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Rural districts receive grants, either directly or through State educational agencies, to assist them in meeting their State's definition of adequate yearly progress.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information.

## 84.359 EARLY READING FIRST

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 as amended, Title I, Part B, Subpart 2.

**OBJECTIVES:**

To support local efforts to enhance the early language, literacy, and prereading development of preschool age children, particularly those from low-income families, through instructional strategies and professional development based on scientifically based reading research. Early Reading First programs must have a high-quality oral language and print-rich environment, and must monitor children's progress toward language, literacy, and cognitive goals using screening reading assessments and other appropriate measures.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Program funds support projects designed to help early childhood centers improve their programs by creating centers of excellence that provide preschool-age children with language and cognitive skills, and an early reading foundation. Funds must be used to: enhance children's language, cognitive, and early reading skills through professional development for teachers; provide early language and reading development and instructional materials as developed from

scientifically based reading research; provide preschool-age children with cognitive learning opportunities in high-quality language and literature-rich environments; use screening assessments to effectively identify preschool children who may be at risk for reading failure; and improve existing early childhood programs by integrating scientifically based reading research into all aspects of the program (including instructional materials, teaching strategies, curricula, parent engagement, and professional development).

**Applicant Eligibility:**

The following are eligible to apply for an Early Reading First grant: (1) One or more local educational agencies that are eligible to receive a Reading First State grant subgrant; (2) One or more public or private organizations of agencies, acting on behalf of one or more programs that serve preschool age children (such as a Head Start program, a child care program, an Even Start Family literacy program, a lab school at a university), located in a community that is eligible for a Reading First grant; (3) One or more local educational agencies described in (1), in collaboration with one or more organizations or agencies described in (2).

**Beneficiary Eligibility:**

Early childhood staff and children in early childhood programs will benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Eligible applicants who wish to receive an Early Reading First grant must submit a pre-application of no more than ten pages which addresses four criteria: the program's vision, program plan, continuity of services, and how they will measure the program's success. The pre-application must also include an estimated budget. Further information on preparing the pre-application can be found in the Federal Register and the Application package. Only those submissions rated highly in this competitive peer review process and deemed to have the potential to become successful projects will be invited to submit full Early Reading First applications. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Those applicants who are invited to submit a full application must prepare and submit them in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF-424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiations and awarding of grants is done by the Department's Grants and Contracts Service, in cooperation with the program staff. Contact the program office for more information.

**Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

None.

**Renewals:**

Applicants may apply for a project period of up to six years. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects are funded for a period of up to six years. Renewals are subject to the availability of appropriations.

**Reports:**

Progress reports must be submitted at the end of each budget period in order to receive continuation awards. Performance reports must be submitted at the end of the grant period.

**Audits:**

In accordance with the Education Department General Administrative

Regulations (EDGAR) in 34 CFR 80. State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Grants) FY 07 \$117,666,280; FY 08 \$112,548,812; and FY 09 est \$112,549,000.

**Range and Average of Financial Assistance:**

The average award was \$3,593,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 17,881 children and 2,283 teachers were served by this program in 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Early Reading First Program 400 Maryland Ave., S.W., Washington, DC 20202 Contact: Rebecca Marek, E-mail: rebecca.marek@ed.gov. Telephone: (202) 260-0968 or Pilla Parker, E-mail: pilla.parker@ed.gov. Telephone (202) 260-3710.

**Web Site Address:**

<http://www.ed.gov/programs/earlyreading/index.html>.

**RELATED PROGRAMS:**

84.349, Early Childhood Educator Professional Development; 84.213, Even Start State Educational Agencies; 84.357, Reading First State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Grants are designed to help early childhood centers improve their programs by creating centers of excellence that provide young children with language and cognitive skills, and an early reading foundation.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the Federal Register notice. For further information, contact the program office.

## 84.360 SCHOOL DROPOUT PREVENTION PROGRAM

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended; Title I, Part H.

**OBJECTIVES:**

To support effective, sustainable and coordinated dropout prevention and reentry programs in high schools with annual dropout rates that exceed their state average annual dropout rate. Middle schools that have students who continue on to these high schools are also supported.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Grant recipients must implement proven strategies for reducing the number of students who drop out before completing secondary school and for assisting youth to reenter school after they have dropped out. These strategies may include: (1) identify students at risk of dropping out; (2) providing at-risk students with services designed to prevent them from dropping out; (3) identifying and encouraging youth who already have dropped out to reenter school; and (4) implementing other comprehensive approach. Specifically authorized activities include: professional development; reduction in pupil-teacher ratios; counseling and mentoring for at-risk students; and implementing comprehensive school reform models.

**Applicant Eligibility:**

State educational agencies (SEAs) and local educational agencies (LEAs) serving communities with dropout rates above the State's average annual dropout rate are eligible to apply for funding.

**Beneficiary Eligibility:**

School administrators, teachers, students, and parents are beneficiaries.

**Credentials/Documentation:**

Information to support annual dropout rate calculations.

**Preapplication Coordination:**

None. This program is eligible for coverage under E.O. 12372.

"Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying

for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, and includes all required assurances and signatures. Required assurances and certifications include: Group Application Certification (if applicable); Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80- 0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to the selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiations and awarding of grants is done by the Department's Grants and Contracts Service, in cooperation with the program staff. Contact the program office for more information.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately 8-12 weeks.

**Appeals:**

None.

**Renewals:**

Continuation funding is dependent upon future program appropriations, and demonstrated substantial progress toward meeting their goals and objectives.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than three years. Continuation awards are dependent on the availability of funding.

**Reports:**

Grantees must submit performance reports annually. The program office will establish a due date. Final performance reports must be submitted within 90 days after the end of the grant award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est. \$0; and FY 09 est. \$0.

**Range and Average of Financial Assistance:**

In 2006, the average award was \$2,400,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 2 grants were made with fiscal year 2006 funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE, 400 Maryland Ave., S.W., Washington, DC 20202-6200. Contact: Theda Zawaiza; E-mail: theda.zawaiza@ed.gov. Telephone: (202)205-3783.

**Web Site Address:**

<http://www.ed.gov/programs/dropout/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Arizona Department of Education (ADE) collaborates with reservation-based public school districts; tribal leaders, you and community members; colleges and state and tribal social service and behavioral health agencies to develop and implement a culturally appropriate dropout prevention model program for two school districts with among the highest dropout rates in the



State. Key strategies include: (a) Native American community involvement in program development; (b) establishment of a Native American Dropout Prevention Workgroup within ADE; (c) Native American youth leadership development with a Popular Opinion Leader model; (d) establishment of teams to encourage school attendance; (e) intensive tutoring to increase AIMS test scores; (f) mentoring of re-entered students by Tribal employees; (g) culturally competent training for teachers in engaging Native American youth; (h) social marketing promoting education through tribal media and tribal sporting events; and (i) behavioral health, substance abuse prevention, teen parent support groups, and other supports for staying in school. The Texas School Dropout Prevention and Reentry Program has four major objectives: (1) to expand current personal graduation plans by replicating comprehensive modes; (2) to increase partnerships between high schools and other organizations to leverage dropout prevention and reentry resources; (3) to develop statewide capacity for implementing specific intervention strategies; and (4) to evaluate the effectiveness of State's school dropout prevention program and inform state dropout prevention policy. Offering a comprehensive set of support services through partnerships with government and community-based organizations may allow schools to address more effectively the academic and social pressures shown to influence dropping out.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the program office for more information.

### **84.361 VOLUNTARY PUBLIC SCHOOL CHOICE**

#### **FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Elementary and Secondary Education Act, as amended; Title V, Part B, Subpart 3; 20 U.S.C. 7225-7225g.

#### **OBJECTIVES:**

To support efforts to establish or expand intradistrict, interdistrict, and open enrollment public school choice programs to provide parents, particularly parents whose children attend low-performing public schools, with expanded education options and with greater choice for their children's education.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

#### **USES AND USE RESTRICTIONS:**

An eligible entity that receives a grant under this subpart may use the grant funds for: (1) planning or designing a program (for not more than 1 year); (2) the cost of making tuition transfer payments to public elementary schools or secondary schools to which students transfer under the program; (3) the cost of capacity-enhancing activities that enable high-demand public elementary schools or secondary schools to accommodate transfer requests under the program; (4) the cost of carrying out public education campaigns to inform students and parents about the program; and (5) other costs reasonably necessary to implement the program. An eligible entity that receives a grant under this subpart may not use the grant funds for school construction. The eligible entity may use not more than 5 percent of the funds made available through the grant for any fiscal year for administrative expenses.

#### **Applicant Eligibility:**

State educational agencies (SEAs); local educational agencies (LEAs); or a partnership of either 1(a) one or more SEAs; (b) one or more LEAs or other public, for-profit, or nonprofit entities; and 2(a) one or more LEAs and (b) one or more public, for-profit, or nonprofit entities may apply.

#### **Beneficiary Eligibility:**

Public school students.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

Not applicable. This program is eligible for coverage under E.O. 12372. "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

#### **Award Procedure:**

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards, negotiates final budgets, and awards grants. Contact the program office for more information.

#### **Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office for application deadlines and information.

#### **Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

#### **Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

#### **Renewals:**

Continuation awards are subject to the availability of appropriations.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Awards may be made for up to five years. Continuation awards are subject to the availability of appropriations.

#### **Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Secretary a report of its operations and activities.

#### **Audits:**

The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

#### **Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

#### **Account Identification:**

91-0204-0-1-501.

#### **Obligations:**

(Grants) FY 07 \$26,278,000; FY 08 est \$25,819,000; and FY 09 est \$25,819,000.

#### **Range and Average of Financial Assistance:**

The average award in fiscal year 2007 was \$1,844,000. Range of new awards: \$95,600 - \$2,700,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fourteen new awards were made in fiscal year 2007.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Department of Education, OII Parental Options and Information 400 Maryland Ave., S.W., Washington DC 20202-6140. Contact: Iris Lane, E-mail: iris.lane@ed.gov Telephone (202) 260-1999.

#### **Web Site Address:**

<http://www.ed.gov/programs/choice/index.html>.

#### **RELATED PROGRAMS:**

84.282, Charter Schools.

#### **EXAMPLES OF FUNDED PROJECTS:**

Grant funds support: planning and implementation costs associated with new programs; tuition transfer payments to public schools that students choose to attend; and efforts to strengthen the capacity and quality of schools to meet the demand for choice and provide equitable access to such programs.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications.

### **84.362 NATIVE HAWAIIAN EDUCATION**

#### **FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title VII, Part B.

#### **OBJECTIVES:**

To develop innovative educational programs to assist Native Hawaiians and to supplement and expand programs and authorities in the area of education.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

#### **USES AND USE RESTRICTIONS:**

Program funds may be used to carry a variety of authorized activities including, but not limited to: early education and care programs, family-based education centers, beginning reading and literacy programs, activities to address the needs of gifted and talented Native Hawaiian students, professional development for educators, and activities to enable Native Hawaiian students to enter and complete postsecondary education programs.

#### **Applicant Eligibility:**

Eligible applicants include: Native Hawaiian educational organizations and community-based organizations; public and private nonprofit organizations, agencies, and institutions with experience in developing or operating Native Hawaiian programs or programs of instruction in the Native Hawaiian language; or consortia of the organizations, agencies, and institutions described above.

**Beneficiary Eligibility:**

Native Hawaiian children and adults.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful applicants of awards and negotiates and awards grants. Contact the program office for more information.

**Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

None.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made for a period of up to five years, continuation awards are based on the availability of appropriations.

**Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Department a report of its operations and activities. Each such annual report shall include: (1) executive summary; (2) project status; (3) budget information; and (4) supplemental information.

**Audits:**

The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$33,907,000; FY 08 est \$33,315,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Average New Award: \$421,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 23 new awards and 32 continuation awards were made in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Rm. 3W215, FB-6, Washington, DC 20202-6140. Contact: Joanne Osborne, E-mail: joanee.osborne@ed.gov. Telephone: (202) 260-1265.

**Web Site Address:**

<http://www.ed.gov/programs/nathawaiian/index.html>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Early education programs; family-based education centers; beginning reading and literacy programs; activities to address the education and cultural needs of Native Hawaiian students; special education programs; professional development for Native Hawaiian educators; and activities to enable Native Hawaiian students to enter and complete postsecondary education programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.363 SCHOOL LEADERSHIP****FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act; Title II, Part B, Subpart 5, Section 2151(b).

**OBJECTIVES:**

To provide support to eligible entities in the development of innovative programs that recruit, train and mentor principals and assistant principals.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Grantees under this program may use funds for the following purposes: (1) providing financial incentives to aspiring new principals; (2) providing stipends to principals who mentor new principals; (3) carrying out professional development programs in instructional leadership and management; and (4) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

**Applicant Eligibility:**

Eligible entities include: (1) high-need local educational agencies; (2) consortia of high-need local educational agencies; and (3) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.

**Beneficiary Eligibility:**

Local education agencies, school administrators, teachers, students and their parents are beneficiaries.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is covered from coverage under E.O. 12372.

**Award Procedure:**

Applications must be prepared and submitted in accordance with the regulations, instructions, forms and deadlines published in the Federal Register. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Negotiation and awarding of grants will be completed by the Department of Education's, School Improvement Programs staff.

**Deadlines:**

The closing date for the School Leadership Program is published in the Federal Register. Contact the program office for additional information.

**Range of Approval/Disapproval Time:**

The range is anticipated to be 90 to 120 days from the closing date.

**Appeals:**

None.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds are awarded for a 12-month period. Renewals are subject to the availability of appropriations.

**Reports:**

Annual progress and financial reports are required in accordance with the Education Department General Administrative Regulations. Final performance reports must be submitted within 90 days following the end of the grant award period.

**Audits:**

In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$14,731,000; FY 08 \$14,474,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

In FY 2008, the range of awards is expected to be \$250,000 to \$750,000; the

average award is expected to be \$548,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2008, approximately 26 new awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OII Teacher Quality Programs 400 Maryland Ave., S.W., Washington, DC 20202-6140 Contact: Beatriz Ceja E-mail: beatriz.ceja@ed.gov. Telephone: (202) 205-5009.

**Web Site Address:**

<http://www.ed.gov/programs/leadership/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Hawaii Department of Education in partnership with the University of Hawaii, received a grant to review and revise screening criteria, core curricula, performance assessments, develop an early leadership training program for teacher leaders, and redesign a training program for entry-level school administrators that emphasis practical, technical knowledge and skills.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

## 84.364 LITERACY THROUGH SCHOOL LIBRARIES

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part B, Subpart 4.

**OBJECTIVES:**

To provide students with increased access to up-to-date school library materials, a well-equipped technologically advanced school library media center, and well-trained, professionally certified school library media specialists to improve literacy skills and achievement of students.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

A recipient local educational agency (LEA) receiving a grant may use program funds to: acquire school library media resources; acquire and use technology that can help to develop the information retrieval and critical thinking skills of students; facilitate Internet links and other resource-sharing networks; provide professional development and collaborative activities for school library media specialists; and provide students with access to school libraries during non-school hours. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) with a child poverty rate of at least 20 percent are eligible.

**Beneficiary Eligibility:**

School library media center specialists, teachers, students, parents and the community are beneficiaries.

**Credentials/Documentation:**

Information to document the need for and impact of school library improvement.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the absolute priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Group Application Certification (if applicable); Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80- 0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point

of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Applications are reviewed and ranked by a panel of outside readers. The Department of Education notifies successful applicants of awards and negotiates the final award documents.

**Deadlines:**

Deadlines are published in the Federal Register.

**Range of Approval/Disapproval Time:**

Generally 60 to 120 days after the deadline for applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 12 months.

**Reports:**

Grantees must submit a final performance reports within 90 days after the end of the grant award period documenting how the funds were used and the how school library media centers were improved.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0900-2-1-501.

**Obligations:**

(Grants) FY 07 \$19,485,000; FY 08 est \$19,145,000; and FY 09 est \$19,145,000.

**Range and Average of Financial Assistance:**

Approximately 60 awards were made; the average award was \$310,000; the range was \$138,000 to \$507,000.

**PROGRAM ACCOMPLISHMENTS:**

2008: Approximately 60 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland, Ave. S.W., Washington, DC 20202-6100. Contact: Irene B. Harwarth, E-mail: irene.harwarth@ed.gov Telephone: (202) 401-3751.

**Web Site Address:**

<http://www.ed.gov/programs/lsl/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Enhancing Libraries in Rural South Dakota, administered by the Mid Central Educational Cooperative, serves ten rural schools in South Dakota. All ten schools are adding high-quality contemporary titles to their library collections for grades K-12. Three of the most rural schools purchased research and content-oriented software, and six of the schools are using the funds to develop the literacy skills in children grades K-3. Seven of the schools are requesting to use up to one-third of the grant for expanding library hours to be open before and after school and on Saturdays. Consistent with the competitive priority, all grant activities have been tied to district school improvement plans. The Chicago Public School District's "Improving Literacy through School Libraries: The ABC's of Library Literacy Programming" demonstration project is seeking to improve student literacy in ten urban elementary schools. Serving 4,729 students, the program targets 1,099 first and second graders. The program's objectives are as follows: expanding intellectual access to the library by adding up-to-date library media resources including technologically advanced, networked resources, as well as expanding physical access to the library by increasing the amount of time students in lower grades can spend in the library. The program also focuses on providing professional development designed to assist librarians in learning how to more effectively enhance student reading achievement, and furthering collaboration among the librarians, Lead Literacy



Teachers, and classroom teachers through the use of a successful collaboration model.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the program office for more information.

### **84.365 ENGLISH LANGUAGE ACQUISITION GRANTS**

#### **FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

#### **AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title III, Part A, Sections 3101-3129.

#### **OBJECTIVES:**

To ensure that limited English proficient children (LEP) and youth, including immigrant children and youth, attain English proficiency and meet the same challenging State academic content and student academic achievement standards as all children and youth are expected to meet; to provide assistance to Native American, Native Hawaiian, Native American Pacific Islander, and Alaska Native children with certain modifications relative to the unique status of native American language under Federal Law.

#### **TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

#### **USES AND USE RESTRICTIONS:**

The Department makes awards to States using a formula based on their numbers of limited English proficient (LEP) children and immigrant children. States must use at least 95 percent of their allotments to award local educational agencies sub-grants to assist limited English proficient students learn English and meet challenging State academic content and student achievement standards and to provide immigrant students enhanced instructional opportunities. States may reserve up to 5 percent of their allotments for administrative costs and technical assistance to sub-grantees. The Department awards funds to Outlying Areas for such activities in developing instructional programs for LEP students by hiring tutors, conducting professional development for paraprofessionals, training teachers, hiring teachers for "new-comer" programs, and purchasing and developing materials to be used in the classroom for the instruction of LEP students. Grants for Native American projects are used to increase English proficiency and student academic achievement for LEP students and provide high-quality professional development training for teachers and support personnel. Training must improve teacher instruction and assessment capabilities, and enhance their ability to understand and use curricula, assessment measures, and instructional strategies for LEP students. Training must also be based upon scientifically based research and be of sufficient intensity and duration to have a positive and lasting impact. Funds may also be used for identifying, acquiring, and upgrading curricula, instructional materials, educational software, and assessment procedures. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

#### **Applicant Eligibility:**

States and outlying areas with approved State plans are eligible to receive funds.

For the project grant component, eligibility is limited to a tribally sanctioned educational authority, or an elementary or secondary school that is operated or funded by the Bureau of Indian Affairs or a nonprofit, Native Hawaiian or Native American Pacific Islander language organization.

#### **Beneficiary Eligibility:**

Children with limited English proficiency benefit.

#### **Credentials/Documentation:**

Not applicable.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

States apply for grants by submitting a plan to the Department that describes the process they will use in making sub-grants, holding sub-grantees accountable for making adequate yearly progress for LEP students, and establishing standards and objectives for raising the level of English proficiency in alignment with State academic content and student academic achievement standards. The Department uses a peer review process in approving State plans. Outlying area applicants must decide if they will apply under the Consolidated Application Process for outlying areas through which they may combine various funds. An application must be developed in which the proposal addresses the purpose of the grant, priorities, goals and objectives, activities, evaluation, needs, and a budget indicating how the funds will be used. Eligible entities applying for funding under the Native American and Alaska Native Children in School Program submit a competitive discretionary grant that describes: the programs and activities that will be developed, implemented and administered; how the funds will be used to meet all the annual measurable achievement objectives; and other criteria included in the application notice and program statute.

#### **Award Procedure:**

The Department allocates funds to any State or outlying area with an approved plan. States must expend at least 95 percent of their Title III allotments to award subgrants to local educational agencies and other eligible entities to meet the educational needs of LEP and immigrant children and youth. The project grant applications for Native American institutions are approved for awards by the Director, Office of English Language Acquisition, Language Enhancement, and Academic Achievement based on evaluations and recommendations from outside experts and an administrative review of the applications.

#### **Deadlines:**

Deadlines will be announced in the application notice published in the Federal Register. Contact the Program Office for more information.

#### **Range of Approval/Disapproval Time:**

Approximately 120 days.

#### **Appeals:**

In programs administered by the Department, Section 432 of the General Education Provisions Act provides local educational agencies with a right of appeal in disagreements between State and local educational agencies, including disagreements over funding decisions. Where a local educational agency alleges that the denial of funding is "a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program," it may, within 30 days, request a hearing from the State educational agency. Once the hearing is held and the State educational agency issues its written ruling, the local educational agency may appeal a negative ruling to the Secretary.

#### **Renewals:**

Not applicable for Formula Grants. For the Project Grant component, renewals are based on an annual review of the performance data and the availability of funds.

#### **Formula and Matching Requirements:**

State grants will be issued on a formula basis based on the count of LEP students and the count of immigrant children. Eighty percent of the funds are allocated based on the State's portion of the LEP count as compared to the total LEP count for all States, and twenty percent are allocated based on the state's portion of the immigrant children count as compared to the count for all States. Outlying area grants are issued on a formula basis based on the number of LEP students in the particular outlying area as compared to the LEP count for all of the outlying areas. The amount of Native American institutions discretionary grants based is based on budget request.

#### **Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance Funds under the State Formula Grant and the Outlying Area Grant programs are 1-year grants; the discretionary grants under the Native American program are for up to 5 years, subject to the availability of appropriations.

#### **Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Specific for formula grants: States prepare and submit reports every second year on the programs and activities carried out by the SEA and the effectiveness of such programs and activities in improving the education of children who are limited English proficient. Local educational agencies that receive sub-grants from SEAs must provide States with an evaluation every second year. The evaluation must include: A description of the programs and activities conducted; a description of the progress made by children in learning English and meeting challenging State academic content and achievement standards; the number and percentage of children in the programs attaining English proficiency by the end of each year; and a description of the progress made by children in meeting State academic content and student achievement standards for each of the 2 years after such children are no longer receiving services.

#### **Audits:**

All grantees are subject to the provision of the Single Audit Act.

#### **Records:**

All grantees must maintain and complete records as provided in EDGAR.

#### **Account Identification:**

91-1300-0-1-501.

#### **Obligations:**

(Grants) FY 07 \$617,177,000; FY 08 est \$649,869,000; and FY 09 est \$673,900,000.

#### **Range and Average of Financial Assistance:**

For formula grants the range was \$500,000 to \$169,057,667. FY 07 average \$11,868,785.

#### **PROGRAM ACCOMPLISHMENTS:**

Grants are made to all state education agencies annually.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 76. For more information contact the Program Office.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of English Language Acquisition, 400 Maryland Avenue S.W., Washington, DC 20202-6510. Contact: Harpreet Sandhu E-mail: harpreet.sandhu@ed.gov. Telephone (202)-245-7149.

#### **Web Site Address:**

<http://www.ed.gov/programs/sfgp/nrgcomp.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Schools use the funds to implement language instruction educational programs designed to help LEP students achieve these standards. Approaches and methodologies used must be based on scientifically based research. LEAs may develop and implement new language instruction programs and expand or enhance existing programs. LEAs also may implement schoolwide programs within individual schools or implement systemwide programs to restructure, reform, or upgrade all programs, activities, or operations related to the education of their LEP students.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.366 MATHEMATICS AND SCIENCE PARTNERSHIPS

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title II, Part B.

**OBJECTIVES:**

To improve the academic achievement of students in mathematics and science by encouraging states, IHEs, LEAs, and elementary and secondary schools to participate in programs that: improve and upgrade the status and stature of mathematics and science teaching by encouraging IHEs to improve mathematics and science teacher education; focus on the education of mathematics and science teachers as a career-long process; bring mathematics and science teachers together with scientists, mathematicians, and engineers to improve their teaching skills; and develop more rigorous mathematics and science curricula that are aligned with state and local academic achievement standards expected for postsecondary study in engineering, mathematics, and science.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program supports State and local efforts to improve students' academic achievement in mathematics and science by promoting strong teaching skills for elementary and secondary school teachers, including by integrating teaching methods based on scientifically based research and technology into the curriculum. Grantees may also use program funds to develop more rigorous mathematics and science curricula that are aligned with challenging State and local content standards; establish distance learning programs for mathematics and science teachers; and recruit individuals with mathematics, science, and engineering majors into teaching profession through the use of signing and performance incentives, stipends, and scholarships. Professional development can include summer workshops, or institutes and programs that bring mathematics and science teachers into contact with working scientists, mathematicians, and engineers in order to expand teachers' subject-matter knowledge.

**Applicant Eligibility:**

The Department awards 3-year grants directly to partnerships on a competitive basis when the appropriation for the program is less than \$100 million. If the appropriation reaches or exceeds \$100 million, as has been the case since fiscal year 2003, the Department provides grants to States by formula based on the number of children aged 5 to 17 who are from families with incomes below the poverty line; States then award the funds competitively to partnerships. Eligible partnerships must include the State educational agency (if the Department is awarding the grants directly to partnerships); an engineering, mathematics, or science department of an institution of higher education (IHE); and a high-need local educational agency (LEA). In addition, partnerships may include another engineering, mathematics, science, or teacher training department of an IHE; additional LEAs, public charter schools, public or private elementary or secondary schools; a business; or a nonprofit or for-profit organization of demonstrated effectiveness in improving the quality of mathematics and science teachers.

**Beneficiary Eligibility:**

University staff, school administrators, teachers, students, parents and the community.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Eligible partnerships submit an application directly to the Department when the program's appropriation is less than \$100 million. Partnerships submit an application to the State if the appropriation is \$100 million or greater.

**Award Procedure:**

The Department awards grants to States by formula. States then award grants to eligible partnerships.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than three years. Renewals are subject to the availability of funds.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) of State-administered programs (34 CFR Part 76).

**Audits:**

The State will correct deficiencies in program operations that are identified through audits, monitoring, or evaluation. In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$300,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$300,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

Records must be maintained for three years. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$182,160,000; FY 08 est \$178,978,000; and FY 09 est \$178,978,000.

**Range and Average of Financial Assistance:**

The range of awards was \$890,000 - \$21,906,000; the average award was \$3,180,000.

**PROGRAM ACCOMPLISHMENTS:**

Grants supported programs in all States in FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other information, contact the Program Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Academic Improvement and Teacher Quality Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, DC 20202-6254. Contact: Pat O'Connell Johnson, E-mail: [patricia.johnson@ed.gov](mailto:patricia.johnson@ed.gov). Telephone: (202) 260-7813.

**Web Site Address:**

<http://www.ed.gov/programs/mathsci/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Vermont Mathematics Partnership is a partnership of the University of Vermont, numerous school districts, and the Vermont Mathematics Initiative--a state organization that supports improvements in mathematics learning. MSP funds support an 80-hour (6 graduate credit) course of content-rich professional development for elementary and middle school teachers taught by math professors over the summer. This professional development is followed up with mentoring and intensive support by highly trained practitioners who have received a masters degree in mathematics. These mentors assist the teachers transfer their knowledge into their classroom practice. In 2006-07 67 teachers were enrolled.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the Program Office for more information.

## 84.367 IMPROVING TEACHER QUALITY STATE GRANTS

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title II, Part A.

**OBJECTIVES:**

To provide grants to State Educational Agencies (SEAs) on a formula basis to increase student academic achievement through strategies such as improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom and highly qualified principals and assistant principals

in schools and hold local educational agencies and schools accountable for improvements in student academic achievement.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

At least 95 percent of awards to SEAs must be used to make subgrants to LEAs for the following purposes: to assist schools in effectively recruiting and retaining highly qualified teachers; to afford to LEAs the means of recruiting, hiring, and retaining teachers; to make available professional development activities that address subject matter knowledge; and other activities as set forth in Section 2123. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

States with approved ESEA Consolidated State Plans.

**Beneficiary Eligibility:**

Elementary and secondary schools, principals, students, parents, pupil services personnel and teachers will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An SEA is eligible for funding if it submits an application that includes statewide activities based on scientifically based research and an explanation of why the activities will improve student academic achievement. The plan must: (1) assure compliance by LEA; (2) assure that the activities are aligned with challenging State academic content, student academic achievement standards, State assessments and State and local curricula; and (3) describe the use of the funds to improve the quality of the State's teachers and principals. The State Education Agency for Higher Education makes grants, on a competitive basis, to eligible partnerships to carry out as activities listed above.

**Award Procedure:**

The Department allocates funds to any State whose application the Secretary has "deemed approved" under conditions set forth in Section 2112 (c).

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

The procedure of an appeal is described in ESEA section: 2112 (c), (d), and (e). Contact the program office for more information.

**Renewals:**

None.

**Formula and Matching Requirements:**

Improving Teacher Quality State Grants funds are distributed by formula. Each State receives the amount of funds that it received from the antecedent Eisenhower Professional Development State Grants and Class Size Reduction programs in fiscal year 2001. Remaining funds are then allocated to States by formula based 35 percent on States' relative share of the population aged 5 to 17 and 65 percent on States' relative share of poor children aged 5 to 17, with each State receiving at least one-half of 1 percent of these remaining funds.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) of State-administered programs (34 CFR part 76). Generally, SEAs are subject to the reporting requirements contained in Title IX of the ESEA, Consolidated State Performance Report Section 9303 (b).

**Audits:**

The State will correct deficiencies in program operations that are identified through audits, monitoring, or evaluation. In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$300,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$300,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

The State will maintain such records, provide such information to the Secretary, and afford such access to the records as the Secretary may find necessary to carry out the Secretary's duties. In accordance with the General Education Provisions Act, and the Education Department General Administrative Regulations, States must maintain certain program records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$2,887,439,000; FY 08 est \$2,935,248,000; and FY 09 est \$2,835,248,000.

**Range and Average of Financial Assistance:**

The average award for FY 08 was \$55,603,000. The range was \$13,987 to \$133,937,000.

**PROGRAM ACCOMPLISHMENTS:**

Awards are made to the State educational agency in every State, and the Department is currently conducting the second round of monitoring in every State.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Academic Improvement and Teacher Quality Programs, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202, Elizabeth Witt, E-mail: elizabeth.witt@ed.gov. Telephone: (202) 260-5585.

**Web Site Address:**

<http://www.ed.gov/programs/teacherqual/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Philadelphia public schools received about \$21 million in Title II, Part A funds in FY 2006. They spent about \$12.5 million on salaries for 126 teachers paid for the purpose of class size reduction and about \$7 million on various professional development projects to improve the skills of teachers and principals in the district; a portion of these professional development funds went to providing equitable services to teachers in private schools located in the LEA. The district spent the remaining program funds for administrative purposes and on indirect costs.

**CRITERIA FOR SELECTING PROPOSALS:**

After consultation with the governor, an SEA submits a consolidated application and is not required to submit separate applications. The Secretary shall require only descriptions, information, assurances (including assurances of compliance with applicable provisions regarding participation by private school children and teachers), and other materials that are absolutely necessary for the consideration of a consolidated State application. Contact the Program Office for additional information.

**84.369 GRANTS FOR STATE ASSESSMENTS AND RELATED ACTIVITIES**

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VI, Part A, Subpart I.

**OBJECTIVES:**

(1) To support the development of the additional State assessments and standards required by Section 1111(b) of the Elementary and Secondary Education Act, as amended (ESEA); (2) if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local education agencies are held accountable for results.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

State educational agencies must use these funds to carry out the responsibilities described in Section 6111 of the ESEA. Funds may be used to support the development of the additional State assessments and standards required by Section 1111(b) of the Elementary and Secondary Education Act, as amended (ESEA); or if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local education agencies are held accountable for results.

**Applicant Eligibility:**

State educational agencies with either: (1) An approved consolidated application that includes application for funds under Section 6111 or (2) an approved Title I Part A application that includes application for funds under Section 6111.

**Beneficiary Eligibility:**

States and local educational agencies.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States applying for Title I, Part A, funds under the consolidated application



procedure must initiate Section 6111 on their list of "ESEA Programs included in the consolidated application" and must respond adequately to the single question asking them to identify how they will use Section 6111 funds. States applying for Title I, Part A, funds under an individual program application procedure must initiate Section 6111 on their cover sheet for this application and must respond adequately to the single question asking them to identify how they will use Section 6111 funds.

**Award Procedure:**

The Department will allocate funds to any State whose State application submission demonstrates that funds will be used for covered activities and that costs associated with those activities are reasonable.

**Deadlines:**

Contact the program office for deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

If the Department disapproves a State's application for funds authorized by Section 6111, the State has the right to a hearing in accordance with Section 76.202 of the Education Department General Administrative Regulations (EDGAR).

**Renewals:**

States with approved applications will automatically receive grant awards for any year for which there is an appropriation for the program.

**Formula and Matching Requirements:**

Under the funding formula, one-half of 1 percent of the appropriation is reserved for the DOI Bureau of Indian Education and one-half of 1 percent goes to the Outlying Areas. From the remaining funds, each State receives \$3 million and then a share of any remaining funds based on its proportion of students ages 5 through 17.

**Length and Time Phasing of Assistance:**

Awards of funds are available for obligation for a maximum of 27 months. They become available to the Department on July 1, and are awarded to States on or about that date. They remain available for obligation under the initial period of availability for 15 months (until September 30, of the following fiscal year). Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months. Funds for succeeding fiscal years, if appropriated, will follow a similar timeline.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR).

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

All grantees must maintain and complete records in accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Grants) FY 07 \$407,563,000; FY 08 est \$408,732,000; and FY 09 est \$408,732,000.

**Range and Average of Financial Assistance:**

For FY 2008, the range of awards is expected to be \$3,355,000 to \$33,417; the average award is expected to be \$7,615,000.

**PROGRAM ACCOMPLISHMENTS:**

In 2007, 51 out of 52 State educational agencies had implemented reading/language arts and mathematics assessments that align with the State's academic content standards for all students in grades three through eight and in high school, and 5 had implemented science assessments that align with the State's academic content standards for all students in each grade span (grades 3 through 5, 6 through 8, and high school).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 76, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. 34 CFR Parts 200 and 300.

Nonregulatory guidance is available at <http://www.ed.gov/admins/lead/account/saa.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Student Achievement and School Accountability Programs, 400 Maryland Avenue, S.W., Washington, DC 20202-6132. Contact: Zollie Stevenson, E-mail: [zollie.stevenson@ed.gov](mailto:zollie.stevenson@ed.gov). Telephone: (202)260-1824.

**RELATED PROGRAMS:**

84.010, Title I Grants to Local Educational Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

Projects include development or subsequent implementation of standards-based state academic assessments in reading or language arts, mathematics, and science as required by the authorizing statute.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable; awards through a formula to the States.

**84.370 DC SCHOOL CHOICE INCENTIVE PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF INNOVATION AND IMPROVEMENT, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

DC School Choice Incentive Act of 2003, (Title III of Division C of the Consolidated Appropriations Act, 2004).

**OBJECTIVES:**

To provide low-income parents residing in the District of Columbia (District) with expanded options for the education of their children. This program is part of a broader school improvement effort in the District that is funded on the belief that all education sectors (public schools, public charter schools, and nonpublic schools) can offer quality education experiences for the District's students, economically disadvantaged have the least access to such experiences.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

One or more grants are awarded on a competitive basis to eligible applicants to establish a scholarship program to provide eligible students with expanded school choice options. Students who are residents of the District and who come from households whose income does not exceed 185 percent of the poverty line are eligible to apply for scholarships from a grantee under this program. These scholarships may be used to pay the tuition and fees and transportation expenses, if any, to enable students to attend the participating District non-public elementary or secondary school of their choice.

**Applicant Eligibility:**

An educational entity of the District of Columbia Government; a nonprofit organization; or a consortium of nonprofit organizations.

**Beneficiary Eligibility:**

To receive an award under this program, an applicant must ensure that a majority of the members of its voting board or governing organization are residents of the District of Columbia. The Secretary gives priority to applications from eligible entities that will most effectively provide students and families with the widest range of educational options; to applications from eligible entities that will most effectively target resources to students and families who lack the financial resources to take advantage of available educational options; and to applications from eligible entities that will most effectively give priority to eligible students who, in the school year preceding the school year in which the student would use the scholarship, attend an elementary or secondary school identified for improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6316).

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

**Application Procedure:**

Applicant must submit the following by the designated deadline: (1)The applicant must provide a written narrative, which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. This Section must be limited to no more than 50 double-spaced pages. (2)Required forms to be submitted with the application include SF424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions. (3)Applicants for grants under this program are required to submit applications electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. Specific instructions for submitting applications electronically are included in the application notice.

**Award Procedure:**

Applications are reviewed by the Department for eligibility and completeness. Applications are reviewed and scored by a panel of experts. A funding slate is prepared and the highest ranked applications are recommended for funding. Successful and unsuccessful applicants are notified of outcome. Grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office

for more information.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Not applicable.

**Renewals:**

Applicants may apply for a project period of up to 60 months. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 60 months. Renewals are subject to the availability of appropriations.

**Reports:**

Annual performance are required for each budget period. Specific due dates are determined by the Department and forwarded to applicants accordingly. Final performance reports are due 90 days after expiration or termination of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of three years.

**Account Identification:**

20-1817-0-1-501 .

**Obligations:**

(Project Grants) FY 07 \$13,860,000; FY 08 est \$14,800,000; and FY 09 est \$18,000,000.

**Range and Average of Financial Assistance:**

Average Continuation award: \$12,594,200.

**PROGRAM ACCOMPLISHMENTS:**

One continuation award was made in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Closing Date Notice will be published in the Federal Register. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Innovation and Improvement, 400 Maryland Avenue, S.W., Washington, DC 20202-5961. Contact: Michelle Armstrong, E-mail: michelle.armstrong@ed.gov; Telephone: (202) 205-1729.

**Web Site Address:**

<http://www.ed.gov/programs/dcchoice/index.html> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Washington Scholarship Fund, the grantee under the program, has established the Opportunity Scholarship Programs (OSP) to provide eligible students with expanded school choice options. These scholarships of up to \$7,500 per student per school year enable students from low-income families to attend a participating nonpublic District elementary or secondary school of their choice.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are contained in the closing date notice.

## 84.371 STRIVING READERS

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION.

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended; Title I, Part E, Section 1502.

**OBJECTIVES:**

To raise student achievement by improving the reading skills of middle and high school students who are reading below grade level. Striving Readers supports the implementation and evaluation of research-based reading interventions for struggling middle and high school readers in Title I-eligible schools at risk of not meeting or not meeting annual yearly progress requirements under the ESEA and/or that have significant percentages or numbers of students reading below grade level.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described

in their approved applications. Striving Reader programs include supplemental literacy intervention strategies targeted to students who are reading significantly below grade level; cross-disciplinary strategies for improving student literacy that may include professional development for subject matter teachers and use of research-based reading strategies in classrooms across subject areas; and a strong experimental evaluation component. Grant recipients, must, for example, use funds for reasonable costs needed to implement a supplemental literacy intervention, which may include additional staff time for extra periods of instruction, age-appropriate reading materials for struggling adolescent readers, assessment instruments, professional development opportunities for staff focused on literacy, and evaluation. Funds must be used in Title I-eligible public schools serving grades 6-12 with significant numbers of students reading below grade level.

**Applicant Eligibility:**

The following are eligible to apply for a Striving Readers grant: (1) One or more local educational agencies (LEAs) that receive Title I funds and have one or more high schools or middle schools with significant numbers of students reading below grade level and are at risk of not meeting or are not meeting Title I annual yearly progress requirements; (2) Intermediate service agencies on behalf of one or more local educational agencies that receive Title I funds and have one or more high schools or middle schools with significant numbers of students reading below grade level and are at risk of not meeting or are not meeting Title I annual yearly progress requirements; or (3) Partnerships that may include public or private institutions of higher education, eligible nonprofit or for-profit organizations (or consortia of such institutions or organizations), and LEAs that have one or more high schools or middle schools with significant numbers of students reading below grade level and are at risk of not meeting or are not meeting Title I adequate yearly progress requirements.

**Beneficiary Eligibility:**

Adolescent students (in grades 6-12) who are reading below grade level. LEAs that have one or more high schools or middle schools with significant numbers of students reading below grade level or that are at risk of not meeting or are not meeting Title I adequate yearly progress requirements.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Eligible applicants that wish to receive a Striving Readers grant must submit a pre-application of no more than ten pages that addresses four criteria: the supplemental literacy intervention targeted to students who are reading significantly below grade level; a description of the cross disciplinary plan for improving student literacy, and the experimental evaluation design (including identification and qualifications of the researchers who will carry out the evaluation). The pre-application must also include an estimated budget. Only those submissions rated highly in this competitive peer review process and deemed to have the potential to become successful projects are invited to submit full Striving Readers applications. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Those applicants that are invited to submit a full application must prepare and submit one in accordance with the notice that will be published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Contact the Office of Elementary and Secondary Education at [StrivingReaders@ed.gov](mailto:StrivingReaders@ed.gov) for more information.

**Deadlines:**

Deadlines will be published in the Federal Register. Contact the program office for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

None.

**Renewals:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of appropriations and satisfactory progress.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects are funded for a period of up to five years. Renewals are subject to the availability of appropriations and satisfactory progress.

**Reports:**

Semi-annual progress reports must be submitted during each budget period in order to receive continuation awards. Final performance reports and a final evaluation report must be submitted after the end of the grant period.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80. State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

FY 07 \$31,870,000; FY 08 \$35,371,080; and FY 09 est \$100,000,000.

**Range and Average of Financial Assistance:**

The average continuation award in 2007 was \$3,952,500.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 8 awards were made. In the first year of its implementation, the 2006-07 school year, the program served over 36,000 secondary school students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Room 3C118, Washington DC 20202. Contact: Marcia J. Kingman, E-mail: [marcia.kingman@ed.gov](mailto:marcia.kingman@ed.gov); Telephone: (202) 401-0003.

**Web Site Address:**

<http://www.ed.gov/programs/strivingreaders/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The program provides funds mainly to local school districts to implement and evaluate reading intervention programs for secondary school students who currently read below grade level.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the federal register notice. For additional information e-mail [StrivingReaders@ed.gov](mailto:StrivingReaders@ed.gov).

## 84.372 STATEWIDE DATA SYSTEMS

**FEDERAL AGENCY:**

INSTITUTE OF EDUCATION SCIENCES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Educational Technical Assistance Act of 2002, Title II, Public Law 107-79, Section 208, 20 U.S.C. 9607.

**OBJECTIVES:**

These grants are intended to enable State educational agencies to design, develop, and implement statewide, longitudinal data systems to efficiently and accurately manage, analyze, disaggregate, and use individual student data, consistent with the Elementary and Secondary Education Act of 1965.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may support salaries, travel, equipment, and supplies as required to carry out the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the development of data systems. Grant funds shall be used to supplement and not supplant other State or local funds used for developing State data systems.

**Applicant Eligibility:**

State educational agencies.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, non-profit and for-profit

organizations, and individuals involved with education will benefit.

**Credentials/Documentation:**

Applicants for these data systems projects must present a plan and furnish evidence that the scientific competence, facilities, equipment, and supplies are appropriate to carry out the project. Applicants must ensure technical quality; provide for the generation of accurate data, and the timely use of such data needed by State and local educational agencies both to comply with the Elementary and Secondary Education Act of 1965 and to facilitate research to improve student academic achievement and close achievement gaps; and, meet voluntary standards and guidelines for linking individual student data.

**Preapplication Coordination:**

This program is excluded coverage under E.O. 12372.

**Application Procedure:**

Applications must include: ED Form 424, "Application for Federal Assistance" and ED 524, "Budget Information Non-Construction Programs." Specific application and submission procedures, as well as additional information about the specific contents, page limits, and page formatting of applications, are provided in the individual Request for Applications found under "Funding Opportunities" at the Institute of Education Sciences web site: <http://www.ed.gov/programs/edresearch/applicant.html>.

**Award Procedure:**

All accepted applications competing for grants are reviewed for technical merit by panels of peer reviewers. Official notice of an approved application is made through issuance of a Notice of Grant Award.

**Deadlines:**

See the Institute's web site (<http://www.ed.gov/programs/edresearch/applicant.html>) or contact the Program Office for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately four to six months following the application deadline.

**Appeals:**

None.

**Renewals:**

Recipients of multi-year grants must submit an annual performance report for each year funding has been approved. A review of the annual performance report is used to determine whether substantial progress has been made toward meeting the project objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for one to three years. All grantee obligations shall be liquidated within 90 days following the end of the project period. Payments may be made according to a predetermined schedule or by way of reimbursement. Renewals are subject to the availability of appropriations.

**Reports:**

Financial reports and program reports must be submitted as required by grant award terms and conditions.

**Audits:**

All expenditures by state governments will be audited by the grantee or at the grantee's direction with reasonable frequency, usually once a year but not less than once every two years. The Secretary of Education, the Director of the Institute, and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and examinations, to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for three years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, three years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

FY 07 \$24,552,000; FY 08 est \$48,293,000; and FY 09 est \$100,000,000.

**Range and Average of Financial Assistance:**

Estimated range of new 2009 awards: \$2,000,000 to \$4,000,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Varies by year and competition.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 77, 80, 81, 82, 84, 85, 86 (part 86 applies only to institutions of higher education), 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230. For more information, see specific Request for Applications available on Institute website <http://www.ed.gov/programs/edresearch/applicant.html>.



**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, IES, National Center for Education Statistics 400 Maryland Ave. S.W., Washington, DC 20202. Contact: Kashka Kubzdela, E-mail: kashka.kubzdela@ed.gov; Telephone: (202) 502-7411.

**Web Site Address:**

<http://www.ed.gov/programs/slds/index.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://www.ed.gov/programs/edresearch/applicant.htm>.

**84.373 SPECIAL EDUCATION-TECHNICAL ASSISTANCE ON STATE DATA COLLECTION****FEDERAL AGENCY:**

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Individuals with Disabilities Education Improvement Act, Part B, Sections 611(c) and 616(i), as amended. U.S.C. 1411 and U.S.C. 1416.

**OBJECTIVES:**

To provide technical assistance, where needed, to improve the capacity of States to meet the data collection requirements of the IDEA.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Public and private agencies and organizations, including for profit and non-profit agencies and organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities, and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The standard application forms as furnished by the Department and required by OMB Circular No. A-102 must be used for this program. The program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed by a panel of experts.

**Deadlines:**

Deadlines are published in application notices in the Federal Register, and may be accessed through the Department's Website at <http://www.ed.gov>.

**Range of Approval/Disapproval Time:**

90-120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals subject to the availability of appropriations.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the grant award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to

all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

FY 07 \$14,015,000,000; FY 08 est \$15,000,000; and FY 09 est \$15,000,000.

**Range and Average of Financial Assistance:**

Not applicable because the range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

About 25 new and continuation awards are expected to be made from 2008 funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Research to Practice, Office of Special Education and Rehabilitative Services, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202-2600. Contact: Larry Wexler. E-mail: [larry.wexler@ed.gov](mailto:larry.wexler@ed.gov). Telephone: (202) 245-7571.

**Web Site Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027, Special Education Grants to States; 84.173, Special Education Preschool Grants; 84.181, Special Education-Grants for Infants and Families; 84.323, Special Education - State Personnel Development; 84.324, Research in Special Education, 84.326, Special Education-Technical Assistance to Improve Services and Results for Children with Disabilities; 84.327, Special Education Technology and Media Services for Individuals with Disabilities; 84.328, Special Education Parent Information Centers, 84.329, Special Education-Studies and Evaluations.

**EXAMPLES OF FUNDED PROJECTS:**

Projects to help States develop modified achievement standards for children with disabilities and projects to help States develop alternate assessments for children with disabilities.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.374 TEACHER INCENTIVE FUND**

( TIF)

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title V, Part D, Subpart 1.

**OBJECTIVES:**

To support programs that develop and implement performance-based teacher and principal compensation systems in high-need schools that must include gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year, among other factors. The compensation systems may also provide educators with incentives to take on additional responsibilities and leadership roles.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grantees may use the funds to develop and implement performance based compensation systems, including incentives to take on individual responsibilities and leadership roles.

**Applicant Eligibility:**

Eligible applicants are local educational agencies (LEAs), including charter schools that are LEAs in their State, State educational agencies (SEAs), or partnerships of (1) an LEA, an SEA, or both, and (2) at least one non-profit organization. The fiscal agent must be the SEA or LEA.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, non-profit organizations, and students, teachers and/or principals benefit from the program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded coverage under E.O. 12372.

**Application Procedure:**

Applications must prepare and submit applications in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority (if applicable) included in the application

notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non- Construction programs (SF 422B); Certification regarding Lobbying, Disbarment; Suspension and other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-00013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF 424); the required Budget Form (ED Form 524); an itemized budget and other budget information; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) original and (2) copies of the application.

**Award Procedure:**

If an applicant is successful, the Department of Education notifies the applicant's U.S. Representative and U.S. Senators and will send the successful applicant a Grant Award Notification (GAN). The Department of Education may also notify the successful applicant informally.

**Deadlines:**

Contact the Office of Elementary and Secondary Education at TIF@ed.gov for application deadlines and information.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

None.

**Renewals:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of funds and a grantee's satisfactory progress.

**Formula and Matching Requirements:**

Each applicant must demonstrate a significant investment in, and ensure the sustainability of, its project by committing to pay for an increasing share of the project, for each year of the grant, with State, local, or other non- Federal funds. The applicant will annually increase its share of the project. In the final year of the grant, the grantee must ensure that at least 75 percent of the compensation costs are not paid by the grant.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of funds and a grantee's satisfactory progress.

**Reports:**

Annual performance reports must be submitted during each yearly budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period.

**Audits:**

In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80 and OMB Circular A-133, Nonfederal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part.

**Records:**

In accordance with the General Education Provisions Act and The Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Grants) FY 07 \$200,000; FY 08 est \$97,270,000; and FY 09 est \$102,730,000.

**Range and Average of Financial Assistance:**

Estimated range of awards: \$239,000 to \$10,366,000. Average award is \$3,305,000.

**PROGRAM ACCOMPLISHMENTS:**

The Department oversees 34 grants awarded in 2006, provides technical assistance to grantees, and has begun an evaluation of the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 81, 82, 84, 85, 97, 98, and 99. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202. Contact: April Lee, E-mail: april.lee@ed.gov; Telephone: (202) 401-2266.

**Web Site Address:**

http://www.ed.gov/programs/teacherincentive.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Among the grants awarded in 2006 were the following: \$34 million over 5 years to the South Carolina Department of Education, which has been working with the Teacher Advancement Program (TAP) to implement a performance-based compensation system to address problems with recruitment and retention in 23

high-need schools in 6 districts. The project has the potential to affect more than 60,000 children and 5,000 teachers and principals. Strategies include higher and varied teacher bonuses, the introduction of principal and assistant principal bonuses, raising the value-added percentage in performance pay from 50 percent to 60 percent, and using tests to give K-3 teachers an individual value-added score. \$6.8 million to the Eagle County (CO) School District, which, in the 5 years before receiving the grant, had already invested over \$4.5 million (not including performance awards) to implement a performance-based compensation system for teachers and principals. The TIF grant is allowing the district to expand the program and improve the quality of Master and Mentor teachers through increased salary augmentations and training. The project affects 13 high-need schools. \$1.1 million over 5 years to the Edward W. Brooke Charter School, a charter school for students in kindergarten through grade 8 in Boston, Massachusetts. The school is using its grant to offer teachers and principals annual bonuses tied to student performance during the previous academic school year. The compensation plan also offers differentiated base salaries for teachers who have proven expertise in high-need subject areas, such as mathematics and science. In addition, the school also will use TIF funds as a retention tool by awarding incentives only to teachers who commit to returning to the school the following year.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the Federal Register notice. Contact the program office for more information.

**84.375 ACADEMIC COMPETITIVENESS GRANTS**

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 1, Section 401A, as amended.

**OBJECTIVES:**

To provide eligible first and second-year full-time undergraduates who have completed a rigorous course of study in high school with need-based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen who has been accepted for enrollment in, and is making satisfactory progress at an eligible institution of higher education. Eligible schools may be public or private non-profit institutions of higher education (such as colleges, universities, vocational technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance. Recipients must demonstrate need according to Part F of the Higher Education Act of 1965, as amended, and must be eligible for a Federal Pell Grant.

**Applicant Eligibility:**

Undergraduate students enrolled as full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Applicants must be U.S. citizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program of study offered.

**Beneficiary Eligibility:**

First- and second- year undergraduate students who are U.S. citizens and are eligible to receive a Federal Pell Grant. Students must be full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. A first-year undergraduate must also be a first-time undergraduate, enrolled or accepted for enrollment in a 2- or 4-year degree-granting institution, and have completed, after January 1, 2006, a rigorous secondary school program. A second-year undergraduate at such an institution must have completed such a rigorous program after January 1, 2005, and have obtained a cumulative grade-point-average (GPA) of at least 3.0 in the first academic year as an undergraduate. In addition, students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1950, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

This program is exempted from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The U. S. Department

of Education calculates the student's eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the Academic Competitiveness Grants, using a payment schedule developed by the Department of Education that determines the amount of the award based on the amount of available funding and the estimated number of recipients.

**Deadlines:**

Contact the program office for deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application that contains preprinted student data and requires students only to update certain information.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Students are limited to one Academic Competitiveness Grant during any award year (July 1 through June 30). Funds for these grants are usually disbursed at least twice during an award year. Students may only receive an Academic Competitiveness Grant until they have received a bachelor's degree.

**Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as furnish any other reports the Secretary requires. No reports are required of students.

**Audits:**

Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each Academic Competitiveness Grant recipient and all fiscal management records must be maintained by the institution for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0205-0-1-502.

**Obligations:**

(Grants) FY 07 \$350,000,000; FY 08 est \$440,000,000; and FY 09 est \$643,000,000.

**Range and Average of Financial Assistance:**

Grants are up to \$750 for first-year students and up to \$1,300 for second-year students. In combination with other Federal student aid, awards may not exceed a student's cost of education; in addition, award levels may be reduced if available funding is insufficient to support estimated program costs. Average award: est \$787.

**PROGRAM ACCOMPLISHMENTS:**

This program was created by the Higher Education Reconciliation Act of 2006; it began operation on July 1, 2006. The Department of Education estimates that awards will support 559,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program was created by the Higher Education Reconciliation Act of 2006; it began operation on July 1, 2006. Contact the program office for more information.

**Regional or Local Office:**

Federal Student Aid Information Center. Telephone: (800) 433-3243. Regional Director, Federal Student Aid, the Director of Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (800) 433-2343.

**Web Site Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.037, Perkins Loan Cancellations; 84.038, Federal Perkins Loan Program; Federal Capital Contributions; 84.042, TRIO Student Support Services; 84.044, TRIO Talent Search; 84.047, TRIO Upward Bound; 84.063, Federal Pell Grant Program;

84.066, TRIO Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership; 84.376, National Science and Mathematics Access to Retain Talent (SMART) Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**84.376 NATIONAL SCIENCE AND MATHEMATICS ACCESS TO RETAIN TALENT (SMART) GRANTS**

(SMART Grants)

**FEDERAL AGENCY:**

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 1, Section 401A, as amended.

**OBJECTIVES:**

To provide eligible third- and fourth-year full-time undergraduates who major in certain designated technical fields or foreign languages with need-based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen who has been accepted for enrollment in, and is making satisfactory progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education (such as colleges, universities, vocational technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance. Recipients must demonstrate need according to Part F of the Higher Education Act of 1965, as amended, and must be eligible for a Federal Pell Grant.

**Applicant Eligibility:**

Undergraduate students enrolled as full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Applicants must be U.S. citizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program of study offered.

**Beneficiary Eligibility:**

Third- and fourth-year undergraduate students who are U.S. citizens and are eligible to receive a Federal Pell Grant. Students must be full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Students are required to pursue a major in physical, life, or computer sciences, mathematics, technology, engineering or a critical foreign language, and obtain a cumulative GPA of at least 3.0 in the coursework required for the major being pursued. In addition, students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

This program is exempted from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the SMART Grants, using a payment schedule developed by the Department of Education that determines the amount of the award based on the amount of available funding and the estimated number of recipients.

**Deadlines:**

Contact the program office for deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an



applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application that contains preprinted student data and requires students only to update certain information.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Students are limited to one SMART Grant during any award year (July 1 through June 30). Funds for these grants are usually disbursed at least twice during an award year. Students may only receive a SMART Grant until they have received a bachelor's degree.

**Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as furnish any other reports the Department requires. No reports are required of students.

**Audits:**

Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each SMART Grant recipient and all fiscal management records must be maintained by the institution for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0205-0-1-502.

**Obligations:**

(Grants) FY 07 \$230,000,000; FY 08 est \$260,000,000; and FY 09 est \$270,000,000.

**Range and Average of Financial Assistance:**

Grants are up to \$4,000 for third- and fourth-year students. In combination with other Federal student aid, awards may not exceed a student's cost of education; in addition, award levels may be reduced if available funding is insufficient to support estimated program costs. Average award: est \$3,291.

**PROGRAM ACCOMPLISHMENTS:**

This program was created by the Higher Education Reconciliation Act of 2006; it began operation on July 1, 2006. The Department of Education estimates that awards will support 79,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program was created by the Higher Education Reconciliation Act of 2006; it began operation on July 1, 2006. Contact the program office for more information.

**Regional or Local Office:**

Federal Student Aid Information Center. Telephone: (1-800) 433-3243. Regional Director, Federal Student Aid, the Director of Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (800) 433-2343.

**Web Site Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.037, Perkins Loan Cancellations; 84.038, Federal Perkins Loan Program; Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership; 84.375, Academic Competitiveness Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 84.377 SCHOOL IMPROVEMENT GRANTS

**FEDERAL AGENCY:**

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Section 1003(g) of the Elementary and Secondary Education Act (ESEA), as amended (Public Law 107-110)(115 Stat. 1442, 20 U.S.C. 6303(g)).

**OBJECTIVES:**

To strengthen the capacity of States to carry out their program improvement responsibilities required under Sections 1116 and 1117 of Title I of the ESEA by (1) building State capacity to provide leadership in implementing effective

school improvement strategies for local educational agencies (LEAs) and schools that have been identified for improvement, are in corrective action, and are in the restructuring process and (2) providing resources to LEAs to support school improvement activities, including the development and implementation of effective restructuring plans.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A State educational agency (SEA) must allocate at least 95 percent of the amount of the funds it receives directly to LEAs for schools that have been identified for improvement, corrective action, or restructuring to carry out activities under Section 1116(b). An SEA may retain up to 5 percent of the grant amount received for administration, evaluation, and technical assistance expenses. At the LEA level, these funds may be used for any reasonable costs associated with carrying out school improvement, corrective action, or restructuring activities described in Section 1116(b).

**Applicant Eligibility:**

State Educational Agencies with approved State plan amendments are eligible to receive funds.

**Beneficiary Eligibility:**

To be eligible to receive Title I School Improvement funds, an LEA must have one or more schools identified for school improvement, corrective action, or restructuring under Section 1116(b) of Title I.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Pursuant to Section 76.140 of the Education Department General Administrative Regulations, the Department is requiring States to amend their State plans in order to receive Title I accountability funds. The amendment may be brief (less than 10 pages) and must describe: (1) the criteria the State will use to determine which LEAs, among those eligible, will receive funds; (2) the criteria the State will use to determine how much each LEA will receive; and (3) the criteria the State will use to ensure that the funds awarded to LEAs will be used to address one or more short-term outcome measures to improve student academic achievement.

**Award Procedure:**

The Department will allocate funds to any State whose submission demonstrates that the criteria the State uses to determine which LEA will receive funds and how much clearly serve the purpose of carrying out Section 1003(g) of Title I.

**Deadlines:**

The Department is in the process of establishing specific guidelines and deadlines for States to use in applying for School Improvement Grants.

**Range of Approval/Disapproval Time:**

The Department will ensure that amended State plans will be reviewed in sufficient time to ensure that fiscal year 2007 funds for School Improvement Grants are awarded prior to September 30, 2008.

**Appeals:**

In programs administered by the Department, Section 432 of the General Education Provisions Act provides LEAs with a right of appeal when there are disagreements between State and local educational agencies, including disagreements over funding decisions. Where an LEA alleges that the denial of funding is a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program, it may, within 30 days, request a hearing from the SEA. Once the hearing is held and the SEA issues its written ruling, the LEA may appeal a negative ruling to the Secretary.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Title I School Improvement funds are available for obligation by local educational agencies for a maximum of 27 months after funds become available on July 1. Funds become available to the Department on July 1, and will be allocated to States on or after that date. They remain available for obligation by LEA under the initial period of availability for 15 months. Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR).

**Audits:**

All grantees are subject to the provision of the Single Audit Act.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

FY 07 \$125,000,000; FY 08 est. \$500,000,000; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

The Department will allocate Title I School Improvement funds among States in the same proportion as funds are allocated among the States under Title I, Part A, Part C, and Part D, subpart 1. The SEA determines the amount of funds allocated to school districts.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department is in the process of issuing guidance and instructions for States to use in applying for these funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary Rutkin, Office of Elementary and Secondary Education/Compensatory Education Programs, Department of Education, 400 Maryland Avenue, S.W., 3W214, Washington, DC 20202-6132. Contact: Gary Rutkin. E-mail: Gary.rutkin@ed.gov. Telephone: (202) 260-4412.

**Web Site Address:**

<http://www.ed.gov/oese>.

**RELATED PROGRAMS:**

84.010, Title I Grants to Local Educational Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable; the Department awards funds to States through a formula.

## 84.378 COLLEGE ACCESS CHALLENGE GRANT PROGRAM

(CACGP)

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, HIGHER EDUCATION PROGRAMS, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

Title VII, Part E of Higher Education Act of 1965, as amended, 20 U.S.C. Section 1141.

**OBJECTIVES:**

To foster partnerships among federal, State and local government entities and philanthropic organizations through matching challenge grants aimed at increasing the number of underrepresented students who enter and remain in postsecondary education.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

States or philanthropic organizations (if a State does not meet program requirements) use funds to implement services and activities needed to achieve the goals and objectives of the program. The services and activities authorized in the statute include: providing information to students and families on postsecondary education planning, benefits, opportunities, financing options and career preparation; assisting students in completing FAFSA; engaging outreach activities; offering professional development for middle and secondary guidance counselors and college SFA and admissions administrators; providing need based grant aid; repaying student loans or lower interest rates; and offering tutoring/mentoring services, and other support services. A grantee may use not more than 6 percent of the total amount of the sum of the federal share provided and nonfederal share required for administrative purposes.

**Applicant Eligibility:**

An eligible applicant is the State agency with jurisdiction over higher education, or another agency designated by the Governor of the State. The Secretary may award funds to philanthropic organizations in cases where the State fails to meet program requirements.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented students and families.

**Credentials/Documentation:**

States or philanthropic organizations (if a State does not meet program requirements) must submit an application containing a description of the capacity to administer grant activities and services, a plan for using grant funds to meet the requirements and special efforts to benefit underrepresented students, and how the nonfederal share will be provided, and the structure the state has in place to administer the activities and services. The governor of a state must designate in writing which State agency is authorized to administer the grant. A letter from the governor (on letterhead, signed and dated) must be included in the application.

**Preapplication Coordination:**

The program is eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs." An applicant should consult with the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Each State must submit an application covering a 2-year period to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. An allotment is awarded to States or philanthropic organizations if the Assistant Secretary determines the application meets necessary requirements.

**Deadlines:**

Contact the headquarters office for deadlines.

**Range of Approval/Disapproval Time:**

The estimated range of time need to approve/disapprove an application is usually three months after the deadline for submission.

**Appeals:**

None.

**Renewals:**

State applications are amended as needed. Awards are generally made around June 30 of each year.

**Formula and Matching Requirements:**

Funds are awarded on a formula basis to States (or philanthropic organizations if a State does not meet program requirements). Allotments are based on the relative number of persons between the ages of 5 and 17 and 15 and 44 living below the poverty line with no State receiving less than a half of one percent of the funds appropriated for a fiscal year. Poverty status data for participating States will be obtained from the Census Bureau. The minimum allotment for each State for a fiscal year cannot be an amount that is less than 0.5 percent of the total amount appropriated for the program. The statute requires a nonfederal matching contribution of not less than 1/3 of the costs of the project activities and services. This may be provided through in-kind and/or cash contributions.

**Length and Time Phasing of Assistance:**

Grants are made for up to two years, subject to the availability of funds.

**Reports:**

States or philanthropic organizations (if a State does not meet program requirements) administering the grant must submit an annual performance report. The report must include: each activity or service that was provided to students and families over the course of the year; the cost of providing each activity or service; and the total contributions from private organizations included as nonfederal share for the fiscal year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

FY 07 \$0; FY 08 est. \$66,000,000 and FY 09 est. not available.

**Range and Average of Financial Assistance:**

This is a new program. Data on range and average is not yet available.

**PROGRAM ACCOMPLISHMENTS:**

This is a new program; no accomplishments are available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grant program is governed by the statute and EDGAR (34 CFR 76, 77, 79, 80, 81, 82 and 85).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, College Access Challenge Grant Program, 400 Maryland Avenue, S.W., Washington, DC 20202. Contact: Karmon Simms-Coates, Telephone: (202) 502-7807.

**Web Site Address:**

<http://www.ed.gov/programs/cacg/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

There are no examples of projects that were funded based upon a grant competition since this is a new program.

**CRITERIA FOR SELECTING PROPOSALS:**

State will receive funding based on the submission of an approvable application.

The application must present a viable plan to achieve goals and objectives and also comply with statutory and regulatory requirements.

## 84.379 TEACHER EDUCATION ASSISTANCE FOR COLLEGE AND HIGHER EDUCATION GRANTS (TEACH GRANTS)

### FEDERAL AGENCY:

FEDERAL STUDENT AID, DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Higher Education Act of 1965, Title IV, Part A, Subpart 9, as amended.

### OBJECTIVES:

To provide annual grants of up to \$4,000 to eligible undergraduate and graduate students who agree to teach specified high-need subjects at schools serving primarily disadvantaged populations for four years within eight years of graduation. For students who do not fulfill their service requirements, grants convert to Direct Unsubsidized Stafford Loans with interest accrued from the date of award.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

See institutional and student eligibility requirements listed below.

### Applicant Eligibility:

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

### Beneficiary Eligibility:

This program was created by the College Cost Reduction and Access Act of 2007, Public Law 110-84; it will begin operation on July 1, 2008. Students must have a grade-point-average (GPA) comparable to a 3.25 on a scale of zero to 4.0, except that, if the student is in the first year of undergraduate education, the grade point average is determined based on the student's cumulative secondary school grade point average. A student applying for a grant to obtain a graduate degree must be a teacher or a retiree from another occupation with expertise in a field in which there is a shortage of teachers; grants for graduate education may also be obtained by a student who is or was a teacher who is pursuing high-quality alternative certification. In addition, students must sign an agreement to serve under which they agree to serve as a full-time teacher for not less than four years within eight years of completing the course of study for which they received a TEACH Grant. Service must be performed at a school serving a primarily disadvantaged population and must be in one of the following fields: mathematics, science, a foreign language, bilingual education, special education, as a reading specialist, or in another field documented as high-need. Students must also agree to provide evidence of qualifying employment upon completion of each year of service. Failure to complete these service requirements results in the student's TEACH Grants being treated as Federal Direct Unsubsidized Stafford Loans, with interest accrued from the date of award. Students must also sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

### Credentials/Documentation:

This program is exempted from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372. This program is excluded from coverage under OMB Circular No. A-102.

### Application Procedure:

Students must complete a FAFSA, complete an agreement to serve and submit it to the Department of Education. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Institutions act as disbursing agents for the Department of Education. The institution that the student attends disburses the TEACH Grants based on the enrollment status of the student.

### Deadlines:

Contact the program office for deadlines.

### Range of Approval/Disapproval Time:

Approximately 2 to 4 weeks.

### Appeals:

To be determined in regulation.

### Renewals:

Students who have applied in the previous award year must continue to meet all eligibility requirements and reaffirm their intention to fulfill the service requirements before obtaining subsequent grants.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Students are limited to one TEACH Grant during an academic year. Funds for these grants will likely be disbursed at least twice during an academic year.

### Reports:

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as furnish any other reports the Secretary requires. Students must affirm each year that they intend to fulfill their service requirements and submit a certification for each year of required service.

### Audits:

Annual audits will be made.

### Records:

All records pertaining to the eligibility of each TEACH Grant recipient and all fiscal management records must be maintained by the institution for a period of three years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

### Account Identification:

91-0206-0-1-502.

### Obligations:

FY 07 \$0; FY 08 est \$86,000,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

Grants are up to a maximum of \$4,000, and are reduced in proportion to the degree to which a student is in attendance less than full-time. In combination with other Federal student aid, awards may not exceed a student's cost of education. Average award: est \$2,774 in FY 2008.

### PROGRAM ACCOMPLISHMENTS:

This program was created by the College Cost Reduction and Access Act of 2007; it will begin operation on July 1, 2008. The Department of Education estimates that FY 2008 funding will support awards to 31,000 students.

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program was created by the College Cost Reduction and Access Act of 2007; it will begin operation on July 1, 2008. Regulations and guidance are under development.

### Regional or Local Office:

Federal Student Aid Information Center. Telephone: (800) 433-3243. Regional Director, Federal Student Aid, the Director of Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

### Headquarters Office:

Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202. Telephone: (800) 433-2343.

### Web Site Address:

<http://www.ifap.ed.gov>.

### RELATED PROGRAMS:

84.063, Federal Pell Grant Program; 84.007, Federal Supplemental Educational Opportunity Grants; 84.032, Federal Family Education Loans; 84.033, Federal Work-Study Program; 84.037, Perkins Loan Cancellations; 84.038, Federal Perkins Loan Program; Federal Capital Contributions; 84.042, TRIO\_Student Support Services; 84.044, TRIO\_Talent Search; 84.047, TRIO\_Upward Bound; 84.063, Federal Pell Grant Program; 84.066, TRIO\_Educational Opportunity Centers; 84.069, Leveraging Educational Assistance Partnership; 84.375, Academic Competitiveness Grants; 84.376, National Science and Mathematics Access to Retain Talent (SMART) Grants.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 84.380 SPECIAL EDUCATION -- OLYMPIC EDUCATION PROGRAMS

### FEDERAL AGENCY:

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES,  
DEPARTMENT OF EDUCATION

### AUTHORIZATION:

Special Olympic Sports and Empowerment Act, Section 3(a), 42 U.S.C. 15001.

### OBJECTIVES:

This program promotes the expansion of Special Olympics and the design and implementation of Special Olympics education programs.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements or Contracts).

### USES AND USE RESTRICTIONS:

Funds must be used to support the objectives of the program.

### Applicant Eligibility:

Special Olympics is the only eligible recipients of funds.

### Beneficiary Eligibility:

Individuals with intellectual disabilities.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is not covered under E.O. 12372, "Intergovernmental Review of Federal Programs".

### Application Procedure:

Special Olympics shall submit on application at such time, in such manner, and containing such information as the Department may require.

### Award Procedure:



Applications will be reviewed by the Department.

**Deadlines:**

Deadlines will be announced by the Department.

**Range of Approval/Disapproval Time:**

Range is from 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award depending on the availability of appropriations.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to 5 years subject to availability of appropriations.

**Reports:**

Progress reports must be submitted on an annual basis. Final reports must be submitted at the end of the award period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, "nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal Audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in the grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

FY 07 \$0; FY 08 est \$11,790,360 and FY 09 est \$0.

**Range and Average of Financial Assistance:**

All appropriated funds must be awarded to Special Olympics.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, OSERS, Office of Special Education Programs, 400 Maryland Ave., S.W., Room 4103-PCP, Washington, DC 20202-2600. Contact Ingrid Oxaal. E-mail: [ingrid.oxaal@ed.gov](mailto:ingrid.oxaal@ed.gov); Telephone: (202) 245-7471.

**Web Site Address:**

[www.ed.gov/about/overview/budget/budget08/08action.pdf](http://www.ed.gov/about/overview/budget/budget08/08action.pdf).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**84.381 BACCALAUREATE DEGREES IN SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS, AND CRITICAL FOREIGN LANGUAGES AND MASTER'S DEGREES IN SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS, AND CRITICAL FOREIGN LANGUAGES**

(BD-STEM-CFL MD-STEM-CFL )

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION

**AUTHORIZATION:**

America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science Act, 2007, Sections 6113 and 6114.

**OBJECTIVES:**

To award grants to develop and implement programs that provide courses of study in science, technology, engineering, mathematics or critical foreign languages that are integrated with teacher education and lead to a baccalaureate or master's degree with concurrent teacher certification in one of the specified fields.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

To plan, develop, and carry out allowable activities that will increase the number of teachers receiving baccalaureate or master's degrees and being certified in the areas of science, technology, engineering, mathematics and critical foreign

languages.

**Applicant Eligibility:**

An institution of higher education that receives a grant on behalf of a department of science, technology, engineering, mathematics, or a critical foreign language, or on behalf of a department or school with a competency-based degree program (in science, technology, engineering, mathematics, or a critical foreign language) that includes teacher certification.

**Beneficiary Eligibility:**

An institution of higher education that receives a grant on behalf of a department of science, technology, engineering, mathematics, or a critical foreign language, or on behalf of a department or school with a competency-based degree program (in science, technology, engineering, mathematics, or a critical foreign language) that includes teacher certification.

**Credentials/Documentation:**

Potential grantees must electronically submit an application responding to the selection criteria for the program adhering to specific formatting requirements. Applicants must describe in detail how the grant will be administered as well as how the grant activities will produce highly qualified teachers in the specified content areas.

**Preapplication Coordination:**

The program is eligible for coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs." An applicant should consult with the office or official designated as the single point of contact in his/her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review.

**Application Procedure:**

Each institution must submit an application covering up to five years of program implementation.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. Awards will be made in rank order to those institutions scored highest by a panel of reviewers.

**Deadlines:**

Deadlines will be determined and published in a Federal Register Notice as well as in the application booklet.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 60 days of the competition.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Matching requirement 50 percent for each year of the grant.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Grantees are required to submit an annual performance report on or about May 15 of each fiscal year so that the Department may determine whether substantial progress was made and a continuation award is warranted. A final report is required upon termination of funding.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 23, 2003), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

FY 07 \$0; FY 08 est \$1,965,060; and FY 09 \$0.

**Range and Average of Financial Assistance:**

\$225,000 per year in FY 2008.

**PROGRAM ACCOMPLISHMENTS:**

These are new programs; data on program accomplishments are not yet available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Title VI of the America COMPETES Act governs the administration of the discretionary grant program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Higher Education Programs, Teacher and Student Development Services Program, 1990 K Street

N.W., Washington, DC 20006. Contact: Kathy Price, Telephone: (202) 502-7774.

**Web Site Address:**

[www.ed.gov/programs/tct](http://www.ed.gov/programs/tct) .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria can be found in EDGAR CFR Part 75.210.

## 84.382 STRENGTHENING MINORITY-SERVING INSTITUTIONS

**FEDERAL AGENCY:**

OFFICE OF POSTSECONDARY EDUCATION, HIGHER EDUCATION PROGRAMS, DEPARTMENT OF EDUCATION.

**AUTHORIZATION:**

Title IV, Part J, Section 499A of the Higher Education Act of 1965, as amended by section 802 of the College Cost Reduction and Access Act (CCRAA) of 2007.

**OBJECTIVES:**

To strengthen Predominantly Black Institutions (PBI); Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI); and Native American-Serving Non-tribal Institutions (NASNTI) that propose to carry out activities to improve and expand such institution's capacity to serve minority students.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Applicants under the PBI program may use funds to carry out programs in science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males. Applicants under the AANAPISI and NASNTI programs may use funds to assist such institutions with planning, developing, undertaking and carrying out activities to improve and expand the institution's capacity to serve Asian American and Native American Pacific Islanders and Native Americans. More specifically, AANAPISI grantees may use funds to carry out activities described in section 311(c). NASNTI grantees may use funds for the purchase, rental, or lease of scientific laboratory equipment for educational purposes, including instructional and research purposes; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials, funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; and academic tutoring and counseling programs and student support services. Uses of funds under each program are restricted to the allowable activities described under the CCRAA.

**Applicant Eligibility:**

At the time of application, PBIs must have an enrollment of undergraduate students that is at least 40 percent Black American students. AANAPISI and NASNTI applicants must have, at the time of application, an enrollment of undergraduate students not less than 10 percent Asian American and Native American Pacific Islanders and Native Americans, respectively.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented; low-income; first-generation; minority; undergraduate students.

**Credentials/Documentation:**

Institutions of Higher Education must submit an application responding to the established selection criteria. Applicants must describe in detail, the need for the project and how the proposed activities will address the goals and objectives of the program.

**Preapplication Coordination:**

This program is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

**Application Procedure:**

Each applicant must submit an application covering a period not to exceed 24-months to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. A discretionary grant is awarded to institutions of higher education if they score within funding range and contingent upon funds being available.

**Deadlines:**

Please refer to the Federal Register Notice or the application booklet for

deadlines.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 30 days of the end of the competition.

**Appeals:**

None.

**Renewals:**

Discretionary grant applications are amended as needed. Awards are generally made around June 30 of each year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are made for up to 24 months, subject to the availability of funds.

**Reports:**

Institutions of higher education administering these grants must submit an annual performance report at the completion of the each 12-month cycle. IHEs are also required to submit final reports ninety (90) days after the end of the grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

FY 07 \$0; FY 08 est \$25,000,000; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

PBI, \$600,000 per year; AANAPISI \$1,000,000 to \$1,500,000 per year; NASNTI \$1,000,000 to \$1,500,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

No accomplishments are available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of discretionary grant programs is governed by the College Cost Reduction and Access Act (CCRAA) of 2007 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Education, Office of Postsecondary Education, Institutional Development and Undergraduate Education Service, 1990 K Street, N.W., 6TH Floor, Washington, DC 20006. Contact: James E. Laws, Jr., Telephone: (202) 502-7777.

**Web Site Address:**

<http://www.ed.gov/programs/pbi/> for the Predominantly Black Institutions Program <http://www.ed.gov/programs/aanapicraa/> for the Asian American and Native American Pacific Islander-Serving Institutions Program <http://www.ed.gov/programs/nasnticraa/> for the Native American-Serving Non-Tribal Institutions Program.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria can be found in EDGAR 34 CFR Part 75.210.

# HARRY S TRUMAN SCHOLARSHIP FOUNDATION

## 85.001 HARRY S TRUMAN SCHOLARSHIP PROGRAM

### FEDERAL AGENCY:

HARRY S. TRUMAN SCHOLARSHIP FOUNDATION

### AUTHORIZATION:

Harry S Truman Memorial Scholarship Act, Public Law 93-642, 88 Stat. 2276-2280, 20 U.S.C. 2001-2013.

### OBJECTIVES:

To honor former President Harry S Truman through the operation of an education scholarship program, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers in public service.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

Assistance is intended for the use of Scholars only.

### Applicant Eligibility:

Undergraduate junior level students at four year colleges and universities who are properly nominated by accredited colleges or universities recognized by the Department of Education.

### Beneficiary Eligibility:

U.S. citizens or nationals, college juniors.

### Credentials/Documentation:

Enrolled, matriculated in a degree program at an accredited U.S. college; Pursuing a bachelor's degree as a full-time student during the forthcoming academic year; ranked in the upper quarter of her or his class; U.S. citizen or national; selected field of study that will permit admission to a graduate or professional program allowing better preparation for a career in public service.

### Preapplication Coordination:

Each July the chief executive officers of all accredited U.S. colleges and universities are invited to appoint a Truman Scholarship Faculty Representative to manage the selection and nomination of up to four students for the forthcoming year's Truman Scholarships. The standard online nomination forms with instructions will be available on the Foundation's website (<http://www.truman.gov>) in September to the designated faculty representatives of all such institutions whose presidents or chancellors inform the Foundation of their intent to participate. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The faculty representative of an institution is the key person in the Truman Scholarship selection process and serves as liaison between her or his institution and the Foundation. The faculty representative is responsible for publicizing the Truman Scholarship on campus, soliciting recommendations on students with significant potential for leadership in public service from members of the faculty, conducting a competition on campus in order to determine the candidates best qualified to be nominated by the institution, helping prepare the nominees for the competition, and insuring that the institution's official nomination or nominations are forwarded to the Truman Scholarship Review Committee by the stated deadline. The following information, on the official nominating materials, must be included with each Scholarship nomination be submitted online and include: 1. The nomination and supporting information for the Harry S Truman Scholarship Program must include a certification that the student is a candidate for a Truman Scholarship; a statement that the student plans to pursue a career in public service; a list of the student's public service activities such as those associated with government agencies, community groups, and political campaigns; a list of leadership positions the student has held during high school and during the first two and one-half years of undergraduate study; a statement of interest in a career in public service that specifies how the student's educational plans will provide preparation for that career; and a statement that the student is willing to participate in a week long seminar sponsored by the Foundation. 2. It must also contain an essay of 500 words written by the student that analyzes a public policy issue chosen by the student; transcripts of the student's college grades; and four letters of recommendation. One letter must be from the Truman Faculty Representative; one of the letters must be written by a faculty member in the student's field of study; one by another person who can discuss the student's leadership potential and abilities, and, the fourth letter from a person who can discuss the student's commitment to public service.

### Award Procedure:

1. Initial evaluation: Students nominated for consideration as Harry S Truman Scholars will be evaluated on the basis of: a. the extent to which the student has shown an outstanding potential for leadership in public service, b. the extent of participation in community and public service activities, c. the appropriateness of the candidate's intended plan of study to prepare him/her for a career in public service, d. the student's academic performance. 2. Interviews: Finalists selected as a result of the initial evaluation of the credentials of all nominees are interviewed by Regional Review Panels, composed primarily of prominent public officials and previous recipients of Truman Scholarships. Each Review

Panel will recommend from among the qualified applicants one person from each State or district for appointment by the Board of Trustees as a Truman Scholar, plus up to two additional persons for Scholarships at large from each region. The Review Panels will concentrate their evaluation on the nominees' demonstrated interest in the public service, their relative potential for leadership in government, their analytical abilities, their commitment to careers in public service, and the quality of their submitted materials. Among the characteristics they will assess in making this judgment are the following: analytic ability, communication skills, integrity, self-confidence, sensitivity to others, ability to explain with clarity a complex situation, a demonstrated interest in public service, and a commitment to future public service. 3. Final Selection: From among the candidates recommended by the Review Panels, the Board of Trustees will name up to 75 winners of Harry S Truman Scholarships.

### Deadlines:

All materials must be submitted by the student's faculty representative via the online application system. Please visit <http://www.truman.gov> for application procedure and application deadline.

### Range of Approval/Disapproval Time:

1. February, each year - Scholarship nominees are evaluated and Finalists selected. 2. February- March, each year - Truman Scholarship Finalists are interviewed. 3. April, each year - The Truman Scholars are selected by the Board of Trustees of the Harry S Truman Scholarship Foundation.

### Appeals:

None.

### Renewals:

1. It is the intent of the Foundation to renew Scholarship awards made to college juniors for a period not to exceed three academic years of their graduate study program, in accordance with the regulations established by its Board of Trustees, and subject to an annual review for compliance with these requirements. 2. The Foundation may terminate a Scholarship: a. when a student has not maintained, satisfactory proficiency, or b. when the student is no longer enrolled in a program preparing her or him specifically for public service as specified by the Foundation. 3. A Scholar may seek postponement of her or his award because of ill health or other mitigating circumstances, upon application to the Executive Secretary.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

To be eligible to receive payments, a Truman Scholar must submit in writing: 1. an acceptance of the Scholarship award, 2. An annual report, and 3. at the beginning of each academic year, a statement of eligible expenses certified by the authorized financial officer of the enrolling institution, including those of tuition, fees, books, and room and board, an additional certification regarding the Scholar's academic program, an annual report, and other certifications as required by law or regulation. The number of payments to be made via Treasury check during the academic year will correspond to the number of semesters, trimesters, or quarters in the institution's academic year and the amount of funds to be provided, the total not to exceed \$30,000.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

95-8296-0-7-502.

### Obligations:

(Grants) FY 07 \$2,000,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

\$2,000 to \$15,000; \$12,000.

### PROGRAM ACCOMPLISHMENTS:

Since the Program's inception, 2405 (of a total of approximately 22,100 nominees) college students studying for careers in public service have received scholarship assistance. The first classes of Truman Scholars are progressing well toward their goals of preparation for public service by gaining acceptance to high quality postgraduate programs, by pursuing Foundation-assisted or self-initiated internship opportunities, and by securing positions in government at the Federal, State, and local levels.

### REGULATIONS, GUIDELINES, AND LITERATURE:

45 CFR 1801.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Louis Blair, Executive Secretary, 712 Jackson Place, NW., Washington, DC 20006. Telephone: (202) 395-4831. Use the same number for FTS.

### Web Site Address:

<http://www.truman.gov>.

### RELATED PROGRAMS:



None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**85.100 CHRISTOPHER COLUMBUS FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Public Law 102-281, Title IV, 106 Stat. 139-145, 20 U.S.C. 5701-5708.

**OBJECTIVES:**

To encourage and support research, study, and labor designed to produce new discoveries in all fields of endeavor for the benefit of mankind.

**TYPES OF ASSISTANCE:**

Project Grants; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Assistance is intended for the advancement of programs and individuals that pursue new discoveries.

**Applicant Eligibility:**

United States citizens may apply.

**Beneficiary Eligibility:**

United States citizens will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

In order to fulfill its mission, the Foundation has developed Frontiers of Discovery programs. WORK IN PROGRESS - The Work in Progress program is accomplished through two separate programs. 1) Homeland Security Award - A single \$25,000 award will be presented to an American individual/company that is making measurable and constructive contributions related to basic and/or advanced research in the area of homeland security which will result in a significant and positive benefit to society. The Award will be sponsored by the public-private partnership of the Foundation and presented by AgustaWestland North America, one of the world's largest helicopter manufacturers. The mission of the Award is to promote and encourage "cutting edge" innovation in the vast arena of homeland security including but not limited to preventing, detecting or responding to threats from biological, radiological, nuclear, chemical and explosive attacks; border and transportation security; emergency responses to natural and man-made disasters; and cyber security and information sharing. All nominations are received online at: [www.ccolumbusfoundationawards.org](http://www.ccolumbusfoundationawards.org). 2) Life Sciences Awards - In partnership with the U.S. Chamber of Commerce, the Christopher Columbus Fellowship Foundation will present four monetary awards as follows: one \$25,000 award to an adult scientist or researcher; one \$10,000 award to a current secondary school education; and \$5,000 awards to two current secondary school students in biology and chemistry who are judged to exemplify excellence in life sciences. The new Life Sciences Awards are designed to encourage and promote "cutting edge" innovation in the field of life sciences. The awards will provide incentive for continuing the research. All nominations are received online at: [www.ccolumbusfoundationawards.org](http://www.ccolumbusfoundationawards.org). DISCOVER THE FUTURE - The Future program is accomplished through two separate programs. 1) Christopher Columbus Awards - The Christopher Columbus Awards program is a national competition which asks sixth through eighth grade students to identify a problem in their community and then solve it using the scientific method. The program is designed to foster curiosity, creativity and critical thinking skills in youth with diverse backgrounds, interests and abilities. The students work in teams of three or four. The teams' entries are reviewed by a regional panel of judges who select 30 semi-finalist teams. The Finalist judging selects eight finalist teams to compete in the National finals. The National judging is held at Walt Disney World (R) Resorts, Orlando, FL. In addition, the finalists attend the Christopher Columbus Academy, a custom-designed program that takes the students through a one-of-a-kind educational experience. One of the teams wins the \$25,000 Columbus Foundation Community Grant to take back to their community to make their idea a reality. The program is managed by MMS Education, 105 Terry Drive, Newtown, PA 18940, Attn: Stephanie Hallman. Visit: [www.christophercolumbusawards.com](http://www.christophercolumbusawards.com). This program is excluded from coverage under E.O. 12372. 2) \$10,000 Freida J. Riley Teacher Award - The purpose of the Freida J. Riley Teacher Award is to identify and reward an American teacher who "has overcome tremendous adversity or made an enormous sacrifice in order to positively impact students." The award is open to any certified classroom teacher who is presently teaching full-time (grades K-12), in an accredited U.S. public, private, or charter school. The award will be presented to a teacher who is working with a physical disability, is dealing with an especially challenging educational environment, or has performed a heroic act for his/her students. The award will not be given posthumously. The program is managed by the Christopher Columbus Fellowship Foundation, 110 Genesee Street, Suite 390, Auburn, NY 13021.

Visit: <http://www.columbusfdn.org/freidajriley/default.asp>.

**Application Procedure:**

"WORK IN PROGRESS" 1) Homeland Security Award - The winner of the Homeland Security Award must be an American individual/company that is making measurable and constructive contributions related to basic and/or advanced research in the area of homeland security which will result in a significant and positive benefit to society. All nominations are received online at [www.ccolumbusfoundationawards.org](http://www.ccolumbusfoundationawards.org). Innovations in all homeland security areas will be accepted. The deadline is May 23, 2008. 2) Life Sciences Awards - The four winners must be U.S. citizens and be permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. All nominations are received online at [www.ccolumbusfoundationawards.org](http://www.ccolumbusfoundationawards.org). DISCOVER THE FUTURE - Christopher Columbus Awards - Entries will be accepted from teams of three or four students in grades six to eight from all 50 States, territories and possessions. All team entries must consist of a Christopher Columbus Awards Entry form (signed by the team members and the coach), a team-written section and the visual component. To enter, mail an original and two copies of the teams' community solution to: Christopher Columbus Awards, 105 Terry Drive, Suite 120, Newtown, PA 18940. Visit [www.christophercolumbusawards.com](http://www.christophercolumbusawards.com). The deadline for entries is March 17, 2008. Freida J. Riley Teacher Award - The Freida J. Riley Teacher Award is limited to any certified classroom teacher who is presently teaching full-time (grades K-12), in an accredited U.S. public, private, or charter school. The award will be presented to a teacher "working with a physical disability, dealing with an especially challenging educational environment, or who has performed a heroic act for his/her students." The award will not be given posthumously. The deadline for entries is February 4, 2008. Application information is available from the Christopher Columbus Fellowship Foundation, 110 Genesee Street, Suite 390, Auburn, NY 13021. Visit: <http://www.columbusfdn.org/freidajriley/default.asp>.

**Award Procedure:**

WORK IN PROGRESS - Homeland Security Award - All entries are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation and a national Evaluation Committee. The Board of Trustees and AgustaWestland ultimately select the winner. The Award will be presented in Washington, D.C. on September 11, 2008. Life Sciences Award - All entries are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation and a national Evaluation Committee. The Board of Trustees and the U.S. Chamber of Commerce ultimately select the winner. The Award will be presented in Washington, D.C. on a date in June 9, 2008. DISCOVER THE FUTURE - The Christopher Columbus Awards have three judging phases. The finals and the Christopher Columbus Academy are held at the Walt Disney World Resorts, Orlando, FL from June 16 - June 20, 2008. Freida J. Riley Teacher Award - Applications are evaluated by a panel of national judges. The Board of Trustees selects the winner. The award will be presented on May 1, 2008 in Bridgeport, West Virginia.

**Deadlines:**

Contact the Christopher Columbus Fellowship Foundation for deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

76-8187-0-7-502.

**Obligations:**

(Grants) FY 07 \$484,909; FY 08 est \$290,000; and FY 09 est \$300,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

In 2007, the \$25,000 Homeland Security Award was presented to Douglas L. McMakin, Staff Engineer in the Applied Physics Group at Pacific Northwest National Laboratory, operated by Battelle for the U.S. Department of Energy, Richland, WA for the development of the first-of-its-kind personnel security system that safely detects non-metallic and metallic objects, including explosives that might be worn by a suicide bomber. The system provides a safe, fast and effective alternative to metal detectors, X-ray machines and pat-down searches at security checkpoints. As Project Manager and Technical Lead at the Radar

Imaging Laboratory, where he has worked since 1987, Mr. McMakin and his team developed and tested innovative real-time microwave and millimeter-wave holographic-imaging systems for airport personnel screening for the U.S. Federal Aviation Administration (now the TSA) and body-measurements for biometrics and clothing applications using various planar and cylindrical imaging techniques. Mr. McMakin was very active in the commercialization of these technologies with two licensed partners L-3/SAFEVIEW (www.safeviewinc.com) and Intellifit (www.intellifit.com). In 2007, the \$25,000 Columbus Foundation Community Grant went to a team of students from West Branch Middle School, West Branch, IA, for their Unrecognized Hazard: Used Oil Filters project. Concerned about the environmental hazards caused by used oil filters being disposed of in household trash and ultimately landfills, the students developed a public awareness campaign to educate the community about this environmental hazard. The Frank Annunzio Chairman's Award, named for the Foundation's Founder, the Honorable Frank Annunzio, went to the Saltwater Marshals team from Ripley's Aquarium, Myrtle Beach, SC, for their solution to an alternative energy problem. The team developed a tidal mill using the ocean's tides to generate energy and an environmental education program to address the problem of disappearing salt marshes and the need for alternative energy sources. Team members each received a \$1,000 U.S. Savings Bond. A \$5,000 donation is presented to a non-profit organization of their choice to help implement their project. The 2007 Freida J. Riley Teacher Award was presented to Joanne B. Tindall, Teaching Principal at the W.F. Tallman School, Nashville Transition Center, for the Tennessee Department of Children's Services, Nashville, TN. Doctors told Joanne's parents that she would most likely be mentally retarded, would never walk or talk, and should possibly be institutionalized due to her premature birth and diagnosis of cerebral palsy at age two. Defying the doctors' dire predictions, Joanne quickly learned to walk and talk and has worked hard to remain ambulatory. Far exceeding the school system's expectations, she was quickly mainstreamed from self-contained special education classrooms into inclusion classrooms not only by graduating from high school as a National Honor Society student, but graduating as a member of Phi Beta Kappa from Tennessee Technological University with a teaching degree in special education, followed by a Master's Degree in Administration and Supervision. Building on the lessons learned through her own experiences as a disabled student, Joanne was determined to become a teacher and make a difference in her students' lives. She has dedicated her career to working with students with all types of special needs. After teaching for a few years, she began working as a crisis hotline phone counselor on weekends at a mental health center. This soon led to teaching GED classes to adult clients in the alcohol drug treatment facility and then the lead teacher and principal position of the adolescent day-treatment program. This eventually led to her current position as a teaching principal in a State-operated juvenile justice facility, where many of her students have earned regular diplomas, GEDs, or special education diplomas in this very difficult teaching and learning environment.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith M. Shellenberger, Executive Director, 110 Genesee Street, Suite 390, Auburn, New York 13021. Telephone: (315) 258-0090. Fax: (315) 258-0093.

**Web Site Address:**

<http://www.columbusfdn.org>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 85.200 BARRY M. GOLDWATER SCHOLARSHIP PROGRAM

**FEDERAL AGENCY:**

BARRY M. GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION

**AUTHORIZATION:**

Public Law 99-661, 20 U.S.C. 4701-4711.

**OBJECTIVES:**

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

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Assistance is intended solely for the use of scholars.

**Applicant Eligibility:**

Undergraduate sophomore and junior level students, at two and four year

colleges and universities accredited by the Department of Education, may be nominated by the institution's Goldwater Faculty Representative.

**Beneficiary Eligibility:**

U.S. citizens or nationals, resident aliens (must provide additional documentation), college sophomores and juniors will benefit.

**Credentials/Documentation:**

Applicants must be enrolled, matriculated in a degree program at an accredited U.S. college, pursuing a Bachelor's degree as a full-time student during the forthcoming academic year, maintaining a "B" average, ranked in the upper fourth of his or her class, be a U.S. citizen, national or resident alien (resident aliens must include a letter of the nominee's intent to become a U.S. citizen and a photocopy of the Alien Registration Card) and have selected a field of study that will permit admission to a graduate or professional program in preparation for a career in mathematics, the natural sciences, or engineering.

**Preapplication Coordination:**

Each August the chief executive officer from all 2 and 4-year colleges and universities is invited to appoint a Goldwater Scholarship Faculty Representative to manage the selection and nomination of up to four (two for two year schools) students for the forthcoming year's Goldwater Scholarship competition. In September, the standard nomination forms will be provided to the designated faculty representatives of all institutions whose President or Chancellor has advised the Foundation of their intent to participate in the competition. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The faculty representative of an institution is the key person in the Goldwater selection process and serves as liaison between his or her institution and the Foundation. The faculty representative is responsible for publicizing the Goldwater Scholarship on campus, soliciting recommendations on outstanding students with proven capability and potential in the fields of mathematics, science and engineering from members of the faculty, and conducting a competition on campus in order to determine the best qualified nominees from the institution. The faculty representative assists the nominees in the preparation of the nomination package and ensures that they are accurate, complete, and forwarded to the Goldwater Scholarship Review Panel by the stated deadline for the competition. The following information must be included on the official nomination materials with each scholarship nomination: 1. An institution nomination form signed by the faculty representative stating that the nominee meets the qualifications for the scholarship. 2. Biographical data and educational background information regarding past and future academic plans and career goals must be submitted. 3. A 600 word essay by the nominee discussing a significant issue or problem in his or her field of study of interest must be submitted. 4. Three independent letters of evaluation from faculty members or others qualified to assess the nominee's performance and potential for a career in the nominee's chosen field of study must be submitted. 5. All transcripts from secondary schools and colleges attended must be submitted.

**Award Procedure:**

Each nominee will be evaluated by an independent review panel of academicians and college administrators from colleges and universities throughout the United States. In awarding scholarships, the Foundation Board of Trustees will consider the nominee's field of study and career objectives and the extent to which that individual has the commitment and potential to make a significant contribution to his or her chosen field of study. It is expected that students selected as scholars will pursue advanced degrees. Final selection of candidates is recommended by the independent review panel. The Board of Trustees will name up to 300 Goldwater Scholars.

**Deadlines:**

February 2 is the deadline for receipt of nomination materials. All materials must be submitted by the student's faculty representative. Nominations from individuals other than the faculty representative will not be considered.

**Range of Approval/Disapproval Time:**

February, of each year scholarship nominees are evaluated by Independent Review Panel and ranked by relative merit. March of each year a Review Panel's results are presented to Board of Trustees. On April 1 of each year, Goldwater Board of Trustees announces the winners of the Goldwater Scholarships for the forthcoming academic year.

**Appeals:**

None.

**Renewals:**

It is the intent of the Foundation to support junior- level scholarships for a maximum of 2 academic years and senior-level scholarships for a maximum of 1 academic year. Renewal for junior- level awards will be in accordance with the regulations established by the Foundation Board of Trustees and will be subject to an annual review by an authorized official of the institution. The scholar must be a full- time student and taking a course of study, training, or other educational activities to prepare for a career in mathematics, the natural sciences, or engineering. The scholar must not be engaged in gainful employment that interferes with the scholar's studies. The scholar must be in good academic standing. The scholar may seek postponement of his or her award because of ill health or other mitigating circumstances, upon application to the President.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

To be eligible to receive payments, a Goldwater Scholar must submit in writing:

(1) An acceptance of the scholarship award, (2) an EFT form for payment by direct deposit and (3) at the beginning of each academic year one payment request form outlining the costs of tuition, fees, books, room and board, additional expenses and any other scholarships the student is receiving for that academic year. This form must be certified by a financial aid official and an academic official certifying that the student is in good academic standing. Two payments via treasury EFT will be made to the scholar's account during the academic year in an amount equal to half of the amount for which the scholar qualifies on the payment request, not to exceed \$7,500 per academic year.

**Reports:**

Each Goldwater Scholar is required to send a report each June for four years following graduation outlining his or her progress toward his or her career goals. They must also provide a current address when changes occur.

**Audits:**

Not required.

**Records:**

Not required.

**Account Identification:**

95-8281-0-7-502.

**Obligations:**

(Grants) FY 07 \$300,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$0 to \$7,500; \$6,650.

**PROGRAM ACCOMPLISHMENTS:**

The Foundation, in its fifteen year history, has selected a total of 3,962 Goldwater Scholars. The vast majority are currently pursuing the Ph.D., while most of the members of the last two classes are still at the undergraduate level. As a matter of interest, 50 Goldwater Scholars have been selected as Rhodes Scholars and 57 have received The Marshall Award. Numerous Goldwater Scholars have received other highly prestigious postgraduate fellowships including the Churchill, Truman Fulbright, Hughes, Hertz, National Science Foundation and many others.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 2600.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Gerald J. Smith, President, 6225 Brandon Avenue, Suite 315, Springfield, VA 22150-2519. Telephone: (703) 756-6012. Fax (703) 756-6015. E-Mail: goldh2o@erols.com .

**Web Site Address:**

<http://www.act.org/goldwater> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**85.300 WOODROW WILSON CENTER FELLOWSHIPS IN THE HUMANITIES AND SOCIAL SCIENCES****FEDERAL AGENCY:**

THE WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS

**AUTHORIZATION:**

Woodrow Wilson Memorial Act of 1968, Public Law 90-637, 82 Stat. 1356; 82 Stat. 1357, 20 U.S.C. 80c-80j.

**OBJECTIVES:**

The Woodrow Wilson International Center for Scholars was established by Congress to symbolize and strengthen "the fruitful relationship between the world of learning and the world of public affairs." It aims, in a strictly nonpartisan fashion, to foster scholarship and to promote the exchange of views between scholars and decision makers. The Center sponsors research, meetings, and publications on history, economics, politics, international relations, the environment, and many other areas. Fellows from around the world are brought to Washington, DC, to encourage discourse among disciplines and professions. The Center enriches the quality of knowledge and debate in the nation's capital and throughout the world.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is intended for the use of scholars only. In order to foster a true community of scholars, the Woodrow Wilson Center prefers its fellows to be in residence for the entire U.S. academic year from September through May. A few fellowships are available for shorter periods with a minimum of 4 months.

**Applicant Eligibility:**

Individuals from any country are welcome to apply. Men and women with outstanding capabilities and experience from a wide variety of backgrounds (including government, the corporate world, and the professions, as well as academia) are eligible for appointment. Successful fellowship applicants submit outstanding proposals in a broad range of the social sciences and humanities on national and or international issues--topics and scholarship that relate to key public policy challenges or provide the historical and/or cultural framework to illumine policy issues of contemporary importance. Proposals that represent essentially advocacy are not eligible. The Center normally does not consider projects that represent essentially the rewriting of doctoral dissertations; the editing of papers and documents; the preparation of textbooks or miscellaneous papers and reviews; anthologies, memoirs or translations.

**Beneficiary Eligibility:**

Citizens from all countries will benefit.

**Credentials/Documentation:**

For academic participants, eligibility is limited to the postdoctoral level, and normally it is expected that academic candidates will have demonstrated their scholarly development by publication beyond the Ph.D. dissertation. For other applicants, an equivalent degree of professional achievement is expected. An applicant working on a degree at the time of application (even if it is to be completed prior to the proposed fellowship year) is not eligible. All applicants should have a very good command of spoken English, since the Center is designed to encourage the exchange of ideas among its fellows.

**Preapplication Coordination:**

There is no official preapplication process. Individuals who have questions about their eligibility or the focus of their proposed research should contact the Scholar Selection and Services Office. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications may be obtained from the Scholar Selection and Services Office and may be downloaded from [www.wilsoncenter.org](http://www.wilsoncenter.org). A complete application must include the following: 1. a completed two-page fellowship application form; 2. a list of the applicant's publications (not to exceed three pages); 3. two letters of references sent directly to the Center by the application deadline; 4. a project proposal not to exceed five single-spaced pages, and 5. a completed financial information form (included with the application form).

**Award Procedure:**

Applications are evaluated by peer review panels.

**Deadlines:**

The Center holds one round of competitive selection per year. The annual application deadline is October 1.

**Range of Approval/Disapproval Time:**

Decisions on appointments are announced by early April.

**Appeals:**

There is no official appeals process.

**Renewals:**

There is no official renewal process.

**Formula and Matching Requirements:**

The Woodrow Wilson Center seeks to follow the principle of no gain/no loss in terms of a fellow's previous year's salary. However, limited funds make it essential for most applicants to seek supplementary sources of funding: sabbatical support, other fellowships, or foundation grants. Each fellow is assigned a furnished office available every day around the clock. The Center's main offices are located in the heart of Washington, DC. Professional librarians provide access to the Library of Congress, university and special libraries in the area, and other research facilities. Windows-based personal computers or manuscript-typing services are available, and each fellow is offered a part-time research assistant. Publishing services are available through the Woodrow Wilson Center Press, which co-publishes with Cambridge University Press, the Johns Hopkins University Press, Indiana University Press, and the Stanford University Press.

**Length and Time Phasing of Assistance:**

Stipends cover the length of the residential fellowship.

**Reports:**

Fellows are asked to provide the Wilson Center with two copies of any publications that result from research undertaken during the fellowship period.

**Audits:**

None.

**Records:**

None required.

**Account Identification:**

33-0400-0-1-503.

**Obligations:**

(Grants) FY 07 \$1,405,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

In 2006-2007, the fellowship stipend, which included travel expenses for Fellows, their spouses, and their dependent children, ranged from \$7,000 to \$85,000. The Center also covered 3/4 of the cost of health insurance for scholars and their accompanying families who elected to take the insurance offered.

**PROGRAM ACCOMPLISHMENTS:**



The Wilson Center has hosted hundreds of scholars working in fields spanning the humanities and the social sciences. Some distinguished scholars of recent years have included Bruce Ackerman, Anatoli Dobrynin, John Lewis Gaddis, Juan Williams, and Gordon Wood. Books written by Fellows at the Center have included David Levering Lewis' *W. W. Dubois, Biography of a Race, 1868-1919*, and Thomas Friedman's *From Beirut to Jerusalem*.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual reports, current Fellows' listing, and application forms are available.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Woodrow Wilson International Center for Scholars, One Woodrow Wilson Plaza, 1300 Pennsylvania Avenue, NW, Washington, DC 20004. Contact: Scholar Selection and Services Office. Telephone: (202) 691-4000. E-mail: fellowships@wilsoncenter.org.

#### **Web Site Address:**

<http://www.wilsoncenter.org>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Listed below are some of the 23 fellows chosen for the academic year 2006-2007: 1) Adams, Gordon. Professor of the Practice of International Affairs, Elliott School of International Affairs, George Washington University. "Buying National Security: Transforming the U.S. Resource Planning Process"; 2) Bilgin, Pinar. Assistant Professor of International Relations, Bilkent University, Turkey. "Globalization and Security in the Developing World: The Case of Turkey"; 3) Connelly, Matthew. Associate Professor of History, Columbia University. "The Problem of Prevision"; 4) Dettke, Dieter. Executive Director, Washington Office, Friedrich Ebert Foundation. "In Search of Normalcy: Germany's Defense and Security Policy Between Realpolitik and the Civilian Power Paradigm."

#### **CRITERIA FOR SELECTING PROPOSALS:**

1) The significance of the proposed research (the importance and originality of the project); 2) the quality of the proposal in definition, organization, clarity, and scope; 3) the capabilities and achievements of the applicant (the likelihood that the applicant will accomplish the proposed project); 4) the relevance of the project to contemporary policy issues. The Center devotes special attention to the exploration of three prominent themes: governance; the U.S. role in the world and issues of partnership and leadership; key long-term future challenges confronting the United States and the world. Projects should involve fresh, critical research, both in terms of the overall field and of the author's previously published work. The Center welcomes projects that transcend narrow specialties and do not represent essentially technical, methodological issues of interest only within a specific academic discipline. Above all, projects should have relevance to the world of public policy, and fellows should want, and be prepared, to interact with policymakers in Washington and with Wilson Center staff who are working on similar issues.

## **85.400 MORRIS K. UDALL SCHOLARSHIP PROGRAM**

#### **FEDERAL AGENCY:**

THE MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION

#### **AUTHORIZATION:**

Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992, Public Law 102-259, 106 Stat. 78, 20 U.S.C. 5601-5609.

#### **OBJECTIVES:**

To honor former Arizona Congressman Morris K. Udall through the operation of internship, scholarship, and fellowship programs, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers related to the environment and to Native Americans and Alaska Natives who intend to pursue careers in health care and tribal public policy. Assistance is intended for the use of scholars only.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

#### **USES AND USE RESTRICTIONS:**

Assistance is intended for the use of scholars only.

#### **Applicant Eligibility:**

(1) College sophomores or juniors in the current academic year having outstanding potential and intending to pursue careers in the environment; and (2) Native American and Alaska Native students who are college sophomores or juniors in the current academic year and have outstanding potential and intend to pursue careers in health care or tribal public policy may apply. Students must be properly nominated by accredited colleges or universities recognized by the Department of Education.

#### **Beneficiary Eligibility:**

U.S. citizens or nationals, college sophomores, or juniors will benefit.

#### **Credentials/Documentation:**

Applicants must be a matriculated sophomore or junior pursuing a degree at an

accredited institution of higher education at the time of nomination.

"Sophomore" is defined as a student planning two more years of full-time undergraduate study beginning the next academic year. Students in two-year colleges planning to transfer to a baccalaureate program at another institution may be nominated. "Junior" is defined as a student who plans one more year of full-time under-graduate study beginning the next academic year. Student must have a college grade-point average of at least "B" (or the equivalent). Students must be a United States citizen or a permanent resident alien.

#### **Preadmission Coordination:**

Each August, the presidents of two and four year institutions are invited to appoint a Udall Scholarship faculty representative to manage the selection and nomination of up to six students for the forthcoming year's Udall Scholarships. The standard nomination forms with instructions will be provided to the designated faculty representatives of all such institutions whose presidents or chancellors inform the Foundation of their intent to participate. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

The faculty representative of an institution is the key person in the Udall Scholarship selection process and serves as liaison between his/her institution and the Foundation. The faculty representative is responsible for publicizing the Udall Scholarships on campus, soliciting recommendations of students with significant commitment to the environment and outstanding Native American and Alaska Native students that demonstrate a commitment to pursue a career related to health care or tribal public policy from members of the faculty; establishing the process to select the best qualified candidates to be nominated; helping nominees prepare for the competition; and ensuring that the institutions' nominations are complete and are forwarded to the Udall Scholarship Review Committee by the stated deadline. The following information on the official nominating materials, must be included with each scholarship nomination: (1) Institutional Nomination Form that verifies the nominee's eligibility and formally transmits the nomination to the Review Committee. This document must be completed and signed by the faculty representative or the nomination cannot be considered; (2) Nominee Information Form that affirms the nominee's wish to be considered for the scholarship; provides biographical information about the nominee's background, interests and plans, and provides a statement about the nominee's intent to enter an eligible career and specifies how the student's educational plans will provide preparation for that career; (3) nominee's essay of 800 words or less analyzing a speech or piece of legislation of Congressman Udall's and how it relates to the nominee's interests and career goals; (4) three Independent Evaluation of Nominee forms. The nominee must secure letters of recommendation from a current or recent faculty member that can discuss the nominee's potential for a career in the environment, health care, or tribal public policy; a current or recent faculty member in the nominee's field of study; and another individual that can attest to the nominee's potential; and (5) transcript of the nominee's college grades.

#### **Award Procedure:**

The Morris K. Udall Foundation will select individuals from the academic and professional community to serve as the Udall Review Committee. The Morris K. Udall Foundation staff will initially verify the contents of the nomination packets for completeness and then assemble the information for review by the Committee, that will meet at a designated location for one weekend to review and select 80 scholars and 50 honorable mention recipients. Students will be evaluated on the basis of: (a) Outstanding leadership capabilities, (b) academic excellence, (c) the appropriateness of student's plan of study to prepare for a career in the environment, health care, or tribal public policy, and (d) dedication to the values exemplified by Morris K. Udall during his career, i.e., civility, integrity, and consensus. The Review Committee has sole discretion in the selection of the 80 scholars.

#### **Deadlines:**

March 4 of each year for all nominations to be received.

#### **Range of Approval/Disapproval Time:**

March 4, of each year for receipt of nominations; March of each year for selection of scholars by Udall Review Committee; April of each year for announcement of Udall scholars.

#### **Appeals:**

None.

#### **Renewals:**

Sophomore recipients of Morris K. Udall Scholarships may apply for another scholarship by going through the application process described above.

#### **Formula and Matching Requirements:**

Not applicable.

#### **Length and Time Phasing of Assistance:**

To be eligible to receive payments, a Udall scholar must matriculate full-time and remain in good academic standing. Scholar's institution must confirm in writing the cost of attendance and that the Scholar is enrolled full-time and in good academic standing. The Foundation will send each institution a form containing the student's name and social security number. This form will be completed and returned to the Foundation at least 30 days prior to the beginning of the fall semester. The Foundation will review forms for completeness of information and appropriate signatures from school officials. Scholars are

required to submit a payment request form containing information regarding living expenses and additional costs that may be covered. Scholars may receive up to \$5,000 at the beginning of the fall semester or may receive a partial payment in the fall semester and another at the beginning of the spring semester.

**Reports:**

Not required.

**Audits:**

Not required.

**Records:**

Not applicable.

**Account Identification:**

95-0900-0-1-502.

**Obligations:**

(Grants) FY 07 \$400,000; FY 08 est \$400,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$5,000.

**PROGRAM ACCOMPLISHMENTS:**

As of fiscal year 2007, 914 scholarships were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None. Informational bulletins are available upon request.

**Regional or Local Office:**

Contact: Christopher L. Helms, Executive Director, 130 S. Scott Avenue, Tucson, AZ 85701. Telephone: (520) 901-8500. FAX (520) 670-5530; or Melissa Millage, Program Manager. Telephone: (520) 901-8562. FAX (520) 670-5530.

**Headquarters Office:**

Contact: Christopher L. Helms, Executive Director, 130 S. Scott Avenue, Tucson, AZ 85701. Telephone: (520) 901-8500. FAX (520) 670-5530; or Melissa Millage, Program Manager. Telephone: (520) 901-8562. FAX (520) 670-5530.

**Web Site Address:**

<http://www.udall.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**85.401 MORRIS K. UDALL FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

THE MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION

**AUTHORIZATION:**

Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992, Public Law 102-259, 106 Stat. 78, 20 U.S.C. 5601-5609.

**OBJECTIVES:**

To honor former Arizona Congressman Morris K. Udall through the operation of internship, scholarship, and fellowship programs, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers related to the environment and to Native Americans and Alaska Natives who intend to pursue careers in health care and tribal public policy.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

Assistance is intended for the use of Fellows only.

**Applicant Eligibility:**

Applicants must be full-time candidates about to enter the final year of writing their dissertation in the area of environmental public policy and environmental conflict resolution and anticipate receiving their doctoral degree at the end of the fellowship year. The competition is open to United States citizens and permanent residents of the United States.

**Beneficiary Eligibility:**

United States citizens and permanent residents of the United States.

**Credentials/Documentation:**

Applicants must have completed all course work, passed all preliminary exams and had the dissertation research proposal or plan approved. Dissertation fellowships are open to scholars in the area of environmental public policy and environmental conflict resolution. Applicants must be full-time candidates in the final year of writing their dissertation and anticipate receiving their degree at the end of the fellowship year. Applicants attending any accredited institution of higher education in the United States will be eligible to apply.

**Preapplication Coordination:**

Each September, the Udall Foundation will distribute the program announcement to advertise the Udall Dissertation Fellowship Program. This mailing will be sent to deans and directors of 600 graduate schools and departments throughout the United States. The program announcement will include a telephone number, website, and mailing address for students to

download an application or call to request an application. Application forms will be sent directly to the doctoral student who will be responsible for completing the material and returning them to the Udall Foundation by February 3. This program has been excluded from E.O. 12372.

**Application Procedure:**

The following items constitute a complete application package and must be submitted in a single packet: (1) Application Form, (2) narrative autobiography not to exceed 500 words, including a statement of career plans and goals and should discuss any special circumstances that have affected the chronology of the applicant's career and the achievement of his/her goals, (3) curriculum Vitae listing all published books, papers and reports of investigations (date, publisher, and page number), (4) statement of project, (5) transcripts, (6) three letters of recommendations, (7) Institutional Certification Form certifying the completion of all required course work and qualifying examinations for the doctorate and approval of dissertation research prospectus signed by an appropriate graduate school official, and (8) Office Record Card.

**Award Procedure:**

The Morris K. Udall Foundation will select three individuals from the academic and professional community to serve as the Udall Review Committee. The Foundation will initially verify the contents of the nomination packets for completeness and then assemble the information for review by the selection committee. The selection criteria includes (1) Quality of project design, (2) originality of project, (3) scholarly significance of project to the discipline, (4) feasibility of project and proposed schedule, (5) qualifications of applicant, (6) potential of applicant to make a significant contribution to the field, and (7) applicant's commitment to environmental public policy and conflict resolution. The Selection Committee will recommend two Fellows and two Alternates.

**Deadlines:**

February 21, for all applications.

**Range of Approval/Disapproval Time:**

February 21, of each year for receipt of applications; March of each year for selection of Fellows by Udall Selection Committee; April of each year for announcement of Udall Fellows.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

A Udall Dissertation Fellow is expected to pursue his/her project full-time during the fellowship year, July 1 - June 30. No partial fellowships are awarded. Acceptance of any concurrent funds must have prior approval from the Foundation. Any major changes in plans for the fellowship year must have prior written approval from the Foundation. The Foundation must be notified promptly of any change in the status of an application resulting from acceptance of another award. Stipend checks are made payable to fellows, not to institutions. Dissertation Fellowships fund living and educational expenses for a period of twelve months while a fellow pursues full-time writing of the dissertation. Fellowships do not fund; research assistants, laboratory supplies and equipment, purchase of computer equipment, publication costs, travel to professional meetings, conferences or seminars, tuition for additional course work, repayment of loans or other personal obligations (fellowships are not retroactive), tuition for a dependent's education. The first stipend payment will be deposited by July 1 and the second January 15.

**Reports:**

Not required.

**Audits:**

Not required.

**Records:**

Not applicable.

**Account Identification:**

95-0900-0-1-502.

**Obligations:**

(Grants) FY 07 \$48,000; FY 08 est \$48,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Average is \$24,000.

**PROGRAM ACCOMPLISHMENTS:**

As of fiscal year 2007, 24 fellowships were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None. Information bulletins are available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Contact: Christopher L. Helms, Executive Director, 130 S. Scott Ave., Tucson, AZ 85701. Telephone: (520) 901-8500. FAX (520) 670-5530; or Jane Curlin, Senior Program Manager. Telephone: (520) 901-8565. FAX (520) 670-5530.

**Web Site Address:**

<http://www.udall.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**85.402 MORRIS K. UDALL NATIVE AMERICAN CONGRESSIONAL INTERNSHIP PROGRAM****FEDERAL AGENCY:**

THE MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION

**AUTHORIZATION:**

Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992, Public Law 102-259, 106 Stat. 78, 20 U.S.C. 5601.

**OBJECTIVES:**

To honor former Arizona Congressman Morris K. Udall through the operation of internship, scholarship and fellowship programs, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers related to the environment and to Native Americans and Alaska Natives who intend to pursue careers in health care and tribal public policy.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Assistance is intended for the use of interns only. Interns will be provided with airfare to and from Washington, DC; lodging in central DC; per diem to cover meals, transportation and incidentals. A \$1,200 stipend at the conclusion of the internship is given.

**Applicant Eligibility:**

Applicants must be a member of a recognized tribe or an Alaskan native; be a matriculated junior, senior, graduate student or law student in a college or university; have a minimum 3.2 GPA; and have an interest in tribal government and policy.

**Beneficiary Eligibility:**

U.S. citizens, U.S. permanent residents, Alaska Natives, and enrolled members of a recognized tribe will benefit.

**Credentials/Documentation:**

Applicants must be a matriculated junior, senior, law student or graduate student pursuing a degree or graduating from an accredited institution of higher education at the time of nomination.

**Preapplication Coordination:**

In September, the Udall Foundation will distribute the program announcement/application to announce the Native American Congressional Internship Program. The program announcement will include a telephone number, website and mailing address for students to request an application. A mailing will be sent to approximately 1,500 individuals as follows: (1) Deans and Directors of U.S. Graduate Schools; (2) Deans of U.S. Law Schools; (3) Directors of Native American Studies Departments at U.S. Institutions; (4) Tribal Councils; and (5) Native American Organizations and Associations. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must include a completed Internship Application Form, an 800 word essay analyzing a piece of legislation sponsored by Congressman Udall that relates to the applicant's interests and career goals, and provide three references, one from a leader in his/her tribe, one from a faculty member in the applicant's field of study, and another individual that can attest to the applicant's potential, and a resume. The application packet must be returned by January 31.

**Award Procedure:**

The Morris K. Udall Foundation will select four or five Native Americans from the academic and professional community to serve as the Udall Review Committee. The Udall Foundation will initially verify the contents of the applications packets for completeness and then assemble the information for review by the committee. Applicants will be evaluated on the basis of: (1) Outstanding leadership capabilities, (2) academic excellence, (3) commitment to a career in tribal public policy, and (4) dedication to the values exemplified by Morris K. Udall during his career, i.e., civility, integrity and consensus. The Review Committee has sole discretion in the selection of the interns.

**Deadlines:**

Nominations must be received by January 31 of each year.

**Range of Approval/Disapproval Time:**

January 31 of each year for receipt of applications; February of each year for selection of interns by Udall Review Committee; and April of each year for announcement of Udall interns.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Native American interns will be provided with airline tickets and an advance of funds prior to their arrival in Washington. Interns will receive a check every other week for living expenses. Airline tickets and lodging will be prepaid by the Udall Foundation. A \$1,200 stipend will be presented to each intern at the end of the internship program.

**Reports:**

Not required.

**Audits:**

Not required.

**Records:**

Not applicable.

**Account Identification:**

95-0900-0-1-502.

**Obligations:**

(Grants) FY 07 \$170,000, and FY 08 est \$170,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,160 to \$3,685.

**PROGRAM ACCOMPLISHMENTS:**

One hundred thirty-eight (10-week) internships have been completed in various Congressional offices and the White House as of fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Informational bulletins are available upon request.

**Regional or Local Office:**

130 S. Scott Avenue, Tucson, AZ 85701. Contact: Colin Ben, Program Manager, Telephone: (520) 901-8568. FAX (520) 670-5530.

**Headquarters Office:**

130 S. Scott Avenue, Tucson, AZ 85701. Contact: Colin Ben, Program Manager, Telephone: (520) 901-8568. FAX (520) 670-5530.

**Web Site Address:**

<http://www.udall.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**85.500 JAMES MADISON MEMORIAL FELLOWSHIP PROGRAM**

(James Madison Foundation)

**FEDERAL AGENCY:**

JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION

**AUTHORIZATION:**

James Madison Memorial Fellowship Act, Public Law 99-591, 100 Stat. 3341-76, 20 U.S.C. 4501-4517.

**OBJECTIVES:**

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

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

For future and current secondary school teachers of American history, American government, or social studies of grades seven through twelve.

**Applicant Eligibility:**

College seniors and college graduates without teaching experience (Junior Fellow) and experienced secondary school teachers of grades seven through twelve (Senior Fellows) may apply.

**Beneficiary Eligibility:**

U.S. Citizens or U.S. Nationals will benefit.

**Credentials/Documentation:**

A Senior Fellow must be a full-time teacher of American history, American government, or social studies in grades seven through twelve and be under contract or prospective contract to teach full time as a secondary school teacher of the same subjects. A Junior Fellow must possess a bachelor's degree or plan to receive a bachelor's degree no later than August 31 of the year in which he or she is applying. An applicant must have a demonstrated record of commitment to civic responsibilities and to professional and collegial activities; qualify for admission with graduate standing at an accredited university that offers a qualifying Master's degree program (a Master of Arts in history or political science, a Master of Arts in teaching, in history, or in social studies, a related Master's degree in education that permits a concentration in history, government, social studies or political science) which allows at least twelve semester hours or their equivalent of study of the origins, principles, and development of the U.S. Constitution and its comparison with the histories of other forms of government (six of these required twelve semester hours of constitutional study may be earned at the Foundation's required four-week Summer Institute on the



Constitution); and be committed to teaching American history, American government, or social studies full time in grades seven through twelve after the receipt of a Master's degree for a period of not less than one year for each full academic year of study for which assistance is received under a fellowship, preferably in the State of the Fellow's legal residence at the time of the fellowship award.

**Preapplication Coordination:**

Application materials may be requested by individuals who meet the eligibility requirements stated above. Completed applications must be received by March 1. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Individuals wishing to apply for fellowships must request application materials from the Foundation. Applications must include: (a) Supporting information which affirms an applicant's wish to be considered for a fellowship; information about the applicant's background, interests, goals, academic record, and an explanation of the applicant's educational plans and how those plans will lead to or enhance a career as a teacher; (b) an essay of up to 600 words that explains the importance of study of the Constitution: 1) To young students; 2) to the applicant's career aspirations and his or her contribution to public service; and 3) to citizenship generally in a constitutional republic; (c) the applicant's proposed course of graduate study including the specific degree sought and the courses to be taken that leads to a Master's degree; and (d) three evaluations that attest to the applicant's academic achievements and intellectual strengths and to his or her potential or proven ability as a secondary school teacher.

**Award Procedure:**

An independent Fellow Selection Committee will evaluate all valid applications and recommend the most outstanding applicant or applicants from each State for James Madison Fellowships. Applicants compete only against other applicants from the State of their legal residence. Applicants are evaluated on their: (a) Demonstrated commitment to a career in teaching American history, American government, or social studies at the secondary level; (b) demonstrated intent to pursue a program of graduate study that emphasizes the Constitution and offers classroom instruction in that subject; (c) demonstrated devotion to civic responsibility; (d) demonstrated capacity for graduate study, as well as proven potential performance as classroom teachers (for Junior Fellowship applicants) or proven outstanding performance as classroom teachers (for Senior Fellowship applicants); and (e) proposed courses of graduate study, especially the nature and extent of their subject content components and their relationship to the enhancement of the applicants' teaching and professional activity. In this regard, a content degree such as one in history or political science may enhance an application versus a MED or a MAT. Candidates recommended for fellowships by the Fellow Selection Committee will be named James Madison Fellows. The selection procedure will ensure that at least one James Madison Fellow (junior or senior) is selected from each State in which there are at least two resident applicants who meet the minimum criteria of eligibility and are judged to merit an award.

**Deadlines:**

February 15, each year for request of application materials; March 1, each year for receipt of applications for the James Madison Fellowship competition.

**Range of Approval/Disapproval Time:**

April, each year the Fellow Selection Committee meets to recommend to the Foundation the appointment of Fellows; April, each year the James Madison Fellows are named by the James Madison Memorial Fellowship Foundation (applicants are notified of selection results); May, each year the names of new James Madison Fellows are publicly announced.

**Appeals:**

None.

**Renewals:**

Top contenders and applicants who were not awarded a fellowship are encouraged to submit a fresh application for the current year's competition. Top contenders may elect to sign a Resubmission Agreement authorizing their original application to be placed before the current year's Fellow Selection Committee for consideration for a fellowship award. A Fellowship Application Update Form is also provided if an applicant chooses to include such information.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

It is the intent of the Foundation to renew Junior Fellowships annually for a period not to exceed 2 calendar years and to renew Senior Fellowships annually for a period not to exceed five calendar years, or until a Fellow has completed the minimum number of credits required for the Master's degree, whichever comes first. Renewal will be in accordance with regulations established by the Foundation, subject to an annual review and certification by authorized officials of the university at which a Fellow is registered that the Fellow (if a Junior Fellow) is not engaged in gainful employment that interferes with the Fellow's studies and that the Fellow is making satisfactory progress toward the degree and is in good academic standing. In some cases, Junior Fellows may be permitted to study part-time and Senior Fellows to study full-time. The Foundation may suspend or terminate a fellowship when it obtains evidence that a Fellow is not

making satisfactory progress toward the degree or is not in compliance with fellowship requirements.

**Reports:**

Each Fellow must complete the graduate degree study for which fellowship payments have been advanced and provide evidence of the receipt of a qualifying Master's degree within the amount of time indicated above. This study must include participation in an annual Summer Institute on the Constitution. After receiving the Master's degree, each Fellow must teach American history, American government, or social studies in grades seven through twelve for no less than 1 year for each full academic year of study under a fellowship. A Professional Teaching Obligation form is required for annual verification of professional status as a secondary level school teacher.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

95-8282-0-7-502.

**Obligations:**

(Fellowships) FY 07 \$1,091,000; FY 08 est \$1,125,000; and FY 09 est \$1,175,000.

**Range and Average of Financial Assistance:**

Payments are made only for the actual costs of tuition, required fees, books, shared room, and board for the pursuit of qualifying degrees. The maximum amount of each award is \$24,000, pro-rated over the period of study. In no case shall the award exceed \$12,000 for one academic year of study. Normally, Fellows receive less than these maximum amounts. Payments are made only for the minimum number of credits required for the award of the degree for which a Fellow is registered and for no more.

**PROGRAM ACCOMPLISHMENTS:**

Since 1992, the year of the Madison Foundation's inaugural national competition, more than 800 Fellowship Awards have been made to prospective and existing secondary school teachers. There are currently 93 active Junior Fellows (prospective and Senior Fellows teachers) and 271 active Senior Fellows (existing teachers) from the fifteen classes of Fellows.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 2400.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Madison Memorial Fellowship Foundation. Contact: Mr. Steve Weiss, Director of Administration and Finance, 2000 K Street, NW., Suite 303, Washington, DC 20006. Telephone: (202) 653-8700. FAX (202) 653-6045. E-mail: sweiss@jamesmadison.com.

**Web Site Address:**

http://www.jamesmadison.com.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**85.601 SMITHSONIAN INSTITUTION FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

SMITHSONIAN INSTITUTION

**AUTHORIZATION:**

Smithsonian's Office of Fellowships, administered under the charter of the Institution, 20 U.S.C. Section 41 et seq.

**OBJECTIVES:**

Fellowships are offered by the Smithsonian Institution to provide opportunities for graduate students, predoctoral students, and postdoctoral and senior investigators to conduct research in association with members of the Smithsonian professional research staff, and to utilize the resources of the Institution.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

The Smithsonian Institution offers fellowships and internships for research and study in fields that are actively pursued by the museums and research organizations of the Institution. At present these fields are: Animal behavior, ecology, and environmental science, including an emphasis on the tropics; Anthropology, including archaeology; Astrophysics and astronomy; Earth sciences and paleobiology; Evolutionary and systematic biology; History of science and technology; History of art, especially American, contemporary African, and Asian art, twentieth-century American crafts, and decorative arts; Social and cultural history of the United States; Folklife.

**Applicant Eligibility:**

Postdoctoral Fellowships are offered to scholars who have held the degree or equivalent for less than seven years. Senior Fellowships are offered to scholars who have held the degree or equivalent for seven years or more. Applicants must submit a detailed proposal including a justification for conducting research in residence at the Institution. Predoctoral Fellowships are offered to doctoral candidates who have completed preliminary course work and examinations. The applicant must submit a detailed proposal including a justification for conducting the research in-residence at the Institution. Graduate Student Fellowships are offered to students formally enrolled in a graduate program of study, who have completed at least one semester, and not yet have been advanced to candidacy if in a Ph.D. Program. Graduate students or postdoctoral researcher conducting research in the fields pursued by the Smithsonian, from any country, are welcome to apply.

**Beneficiary Eligibility:**

Citizens from all countries will benefit.

**Credentials/Documentation:**

Transcripts (or other materials when transcripts are not issued) from all appropriate institutions are required, except for senior fellowship applications. Applicants for graduate student fellowships must submit undergraduate and graduate transcripts. Applicants for predoctoral and postdoctoral fellowships need only submit graduate transcripts. Unofficial photocopies are acceptable. If transcripts or other materials are not in English the applicant should provide translations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To obtain application materials please go to [www.si.edu/research+study](http://www.si.edu/research+study). Applicants must submit 6 complete copies including - completed cover sheets, research proposal, curriculum vitae, transcripts, and two letters of reference.

**Award Procedure:**

Applications are evaluated and fellows are selected, by scholars in appropriate fields, on the basis of the proposal's merit, the applicant's ability to carry out the proposed research and study, the likelihood that the research could be completed in the requested time, and the extent to which the Smithsonian, through its research staff members and resources, could contribute to the proposed research. The number of appointments made each year is determined by the availability of funds for the program. The Smithsonian Fellowship Program does not discriminate on grounds of race, creed, sex, age, marital status, condition of handicap, or national origin of any applicant. For more information, lists of past recipients and/or applications go to [www.si.edu/research+study](http://www.si.edu/research+study).

**Deadlines:**

January 15 postmark annually.

**Range of Approval/Disapproval Time:**

Notification after April 15th.

**Appeals:**

None.

**Renewals:**

None. However, applicants may reapply.

**Formula and Matching Requirements:**

Financial support, in addition to a Smithsonian fellowship, for such purposes as research travel and equipment may be received from other sources provided that no special demands are made upon the fellow's time. Permission to receive additional stipend support must be requested in writing from the Office of Fellowships.

**Length and Time Phasing of Assistance:**

10 week to one year.

**Reports:**

Fellows will be required to submit a final report to the Office of Fellowships.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

33-0100-0-1-503.

**Obligations:**

(Research Fellowships) FY 07 \$1,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Stipend levels range from \$4,500 to \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To receive applications or more information contact: Office of Fellowships, Smithsonian Institution, [www.si.edu/research+study](http://www.si.edu/research+study) [siofg@si.edu](mailto:siofg@si.edu), 202.275.0655. For the mailing address, see below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Fellowships, Smithsonian Institution, Victor Building, Suite 9300, MRC 902, PO Box 37012, Washington DC 20013-7012.

**Web Site Address:**

[www.si.edu/research+study](http://www.si.edu/research+study)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Past recipients can be found at [www.si.edu/research+study](http://www.si.edu/research+study).

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated and fellows are selected, by scholars in appropriate fields, on the basis of the proposal's merit, the applicant's ability to carry out the proposed research and study, the likelihood that the research could be completed in the requested time, and the extent to which the Smithsonian, through its research staff members and resources, could contribute to the proposed research. The number of appointments made each year is determined by the availability of funds for the program.

# PENSION BENEFIT GUARANTY CORPORATION

## 86.001 PENSION PLAN TERMINATION INSURANCE

(ERISA)

### FEDERAL AGENCY:

PENSION BENEFIT GUARANTY CORPORATION

### AUTHORIZATION:

Employee Retirement Income Security Act of 1974 (ERISA), Title IV (Plan Termination Insurance), Public Law 93-406, as amended; Public Law 96-364; Multi-employer Pension Plan Amendments Act of 1980; Public Law 99-272; Single-Employer Pension Plan Amendments Act of 1986; Pension Protection Act of 1987, Public Law 100-203; Omnibus Budget Reconciliation Act of 1989, Public Law 101-239; Retirement Protection Act of 1994, Public Law 103-465; Job Creation and Worker Assistance Act of 2002; Pension Funding Equity Act of 2004.

### OBJECTIVES:

To encourage the continuation and maintenance of voluntary private pension plans for the benefit of their participants, to provide for the timely and uninterrupted payment of pension benefits to participants and beneficiaries in plans covered by the PBGC, and to maintain premiums charged by the PBGC at the lowest level consistent with carrying out its obligations.

### TYPES OF ASSISTANCE:

Insurance.

### USES AND USE RESTRICTIONS:

Insurance coverage is mandatory for most private, defined benefit pension plans.

A single-employer plan may terminate in a standard termination only if it has sufficient assets to provide all benefits, and in a voluntary distress termination only if the employer sponsoring the plan can satisfy specified distress criteria. Upon a voluntary distress termination or a termination initiated by the PBGC, the PBGC guarantees payment of nonforfeitable benefits under the terms of the plan within limits specified in the law. The guaranteed basic benefits payable to a participant or beneficiary under a covered single-employer plan may not exceed the actuarial value at the time of termination of a monthly benefit in the form of a life annuity commencing at age 65 equal to the lesser of: (1) A \$750 adjusted annually to reflect changes in the Social Security contribution and benefit base since 1974, or (2) a participant's high consecutive five-year average monthly gross income. When covered plans or amendments to them are less than 5 years old at termination, benefits are guaranteed on a graduated basis. Benefits of persons defined as "substantial owners" are guaranteed on a 30-year graduated basis, subject to certain additional limits in the case of increased benefits due to plan amendment. For multi-employer plans there is a program of reorganization for plans with funding problems. The PBGC is required to extend financial assistance to insolvent multi-employer plans in order that they may be able to meet plan obligations for guaranteed benefits. Insurance coverage is mandatory for any plan that is an employee pension plan benefit established or maintained by: (1) An employer engaged in or affecting commerce; (2) an employee organization engaged in or affecting commerce; or (3) both, if certain requirements relating to the Internal Revenue Code are met. However, insurance coverage does not extend to any plan that is: (1) an individual account plan; (2) established and maintained for Federal, State or local government employees; (3) a church plan, unless the plan has made an election under 26 U.S.C. 410(d) and has notified PBGC of such election; (4) a plan that has not provided for employer contributions after September 2, 1974; (5) unfunded and maintained by an employer primarily to provide deferred compensation for a select group of management or highly compensated employees; (6) established and maintained outside of the U.S. primarily for the benefit of non-resident aliens; (7) maintained by an employer solely for the purpose of providing benefits for certain employees in excess of the limitations on contributions and benefits imposed by the Internal Revenue Code; (8) established and maintained exclusively for substantial owners; (9) that of an international organization that is exempt from taxation; (10) maintained solely for the purpose of complying with applicable workmen's compensation laws or unemployment compensation or disability insurance laws; or (11) established and maintained by a professional service employer that has not at any time since September 2, 1974, had more than 25 active participants.

### Applicant Eligibility:

Private businesses and organizations that maintain defined benefit plans and participants (and beneficiaries) in such plans.

### Beneficiary Eligibility:

All participants (and their beneficiaries) in covered single-employer pension plans may be potentially eligible for plan termination insurance payments. All covered multi-employer plans may be eligible for financial assistance needed to ensure payment of guaranteed benefits.

### Credentials/Documentation:

In support of a termination notice, information relating to plan asset sufficiency must be furnished by the plan administrator of a single-employer plan. Information relating to financial operations of the employer must also be

furnished for a distress termination.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

As soon as practicable after complying with certain statutory notice requirements, a plan administrator who intends to terminate a covered single-employer plan must submit to the PBGC either a standard termination notice or a distress termination notice depending on the type of termination sought. Applications relating to a standard or distress termination should be sent to PBGC, Processing and Technical Assistance Branch, 1200 K Street, N.W., Suite 930, Washington, DC 20005-4026. Applications for multi-employer plan matters should be made in accordance with applicable PBGC regulations and other published guidelines.

### Award Procedure:

The PBGC determines whether the assets of a covered single-employer plan that has notified the PBGC of its intent to terminate in a distress termination, or against which the PBGC has initiated termination proceedings, are sufficient to pay guaranteed benefits. If plan assets are found to be insufficient or the PBGC is unable to determine asset sufficiency, the PBGC will normally have itself named as trustee to administer the plan. The PBGC pays guaranteed benefits. The PBGC also pays other benefits funded by plan assets or recoveries from employers.

### Deadlines:

An annual premium must be paid for each covered plan generally no later than 9 1/2 months into the plan year, e.g., annual premiums are due October 15th for calendar-year plans (Form 1 or Form 1-EZ). Plans with 500 or more participants (for the prior year) generally must also file an estimated premium with the PBGC (for the current year) by the last day of the second full calendar month following the close of the prior plan year (Form 1-ES). Premiums must be paid through the plan year in which all plan benefits are distributed in a standard termination or a trustee is appointed under ERISA Section 4042. For further information or copies of forms contact: PBGC, Collection and Compliance Division, Suite 670, 1200 K Street, NW., Washington, DC 20005-4026, Telephone (202) 326-4042 or 1-800-736-2444. Standard Termination: Notice of Intent to Terminate (NOIT). The plan administrator of a single-employer plan must issue a notice of intent to terminate the plan, by hand, mail, or electronic means reasonably calculated to ensure actual receipt, to each individual plan participant, beneficiary of a deceased participant, and union representing plan participants (but not to the PBGC) at least 60 days and no more than 90 days in advance of the proposed termination date. PBGC Notice: No later than 180 days after the proposed termination date the administrator must file with the PBGC a notice including, among other items, an enrolled actuary's certification that plan assets will be sufficient to provide all benefit liabilities as of the date of final distribution, with the underlying total asset and benefit values (Form 500). Notice of Plan Benefits: No later than the date the PBGC Notice is filed, the plan administrator must have provided information to each plan participant and beneficiary in plain language about his or her benefit, including the amount of that person's benefit, the form of benefit valued, and the factors (such as age, length of service, and actuarial assumptions) used in calculating the benefit. The plan administrator must also notify each plan participant and beneficiary of the identity of the insurer or insurers from whom the plan administrator intends to purchase annuities no later than 45 days before the date of distribution. Asset Distribution: The PBGC has 60 days after receipt of the PBGC Notice to determine whether the plan termination complies with the requirements for a standard termination. If the PBGC does not issue a Notice of Noncompliance and plan assets are sufficient to provide all benefit liabilities, the plan administrator may distribute the plan assets. The distribution must generally be completed within 180 days after the expiration of the 60-day review period and be done in accordance with plan provisions and PBGC regulations. If the plan administrator requests an IRS determination letter on or before the date of filing Form 500 with PBGC, the asset distribution deadline is extended to 120 days after the plan receives a favorable IRS determination letter. Within 30 days after final distribution of plan assets, the plan administrator must file with the PBGC a notice certifying that assets have been distributed as required (Form 501). However, PBGC will assess a penalty for a late filing only if it is filed more than 90 days after assets have been distributed. A terminating plan that is unable to locate an individual after a diligent search must either purchase an annuity for the individual and send annuity provider information to the PBGC or send the PBGC funds to pay for the individual's benefit (Schedule MP). Distress Termination Notice Requirements: The notice requirements for a distress termination differ from those for a standard termination in several ways: the 60-day to 90-day advance NOIT must be provided to the PBGC as well as to plan participants and other affected parties; the PBGC Notice (Form 601) must include information to demonstrate that each contribution sponsor and each member of the sponsor's controlled group meet at least one of the distress tests (liquidation, reorganization, business continuation, or unreasonable pension costs due to a declining workforce) as of



the proposed termination date. A plan administrator must provide Notice of Plan Benefits to plan participants and beneficiaries in a distress termination only if the plan has sufficient assets to provide at least guaranteed benefits.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Any person aggrieved by an initial determination made by the PBGC which is covered by the appeals procedures may file an appeal. An appeal or a request for an extension of time to appeal should be submitted to the Appeals Board, Pension Benefit Guaranty Corporation, 1200 K Street, Suite 480, NW, Washington, DC 20005-4026. In addition, the PBGC has the authority to review informally, upon request, determinations that are not covered by the appeals procedures when it determines that it would be appropriate to do so.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Not applicable, except as noted in USES AND USE RESTRICTIONS section of this program.

**Reports:**

An annual report (Form 5500 series) must be filed by the plan administrator with the Department of Labor no later than the last day of the seventh month after the close of the prior plan year, subject to extensions. Certain events that may indicate serious problems relating to a plan also must be reported to the PBGC, normally within 30 days after the plan administrator or contributing sponsor learns of them. Such reportable events include failure to meet minimum funding standards; bankruptcy, insolvency or similar settlements; liquidation or dissolution; or transactions involving a change of employer. In the case of certain privately held companies, the PBGC must be given 30 days advance notice of certain corporate or plan events. Controlled groups that have more than \$50 million in unfunded vested benefits are required to provide plan actuarial and company financial information to the PBGC annually. Certain plans are required to provide participants annually with plan underfunding information, and to certify in the premium filing to the PBGC that they have provided the information.

**Audits:**

The PBGC determines whether the assets of a covered single-employer plan (that has either notified the Corporation of its intent to terminate in a distress termination, or against which the Corporation has initiated termination proceedings) are sufficient to pay plan benefit liabilities. Title IV imposes liability on an employer that terminates an insufficient single-employer plan for the amount of unfunded benefit liabilities. The PBGC also audits a statistically significant number of single-employer plans terminated in a standard termination to ensure that assets were distributed in full satisfaction of all benefit liabilities. In addition, the PBGC audits premium filings.

**Records:**

Records to support or validate premium payments must be kept for 6 years from the premium due date. In addition, records maintenance requirements for pension plans are specified by the Pension and Welfare Benefits Administration, Department of Labor.

**Account Identification:**

16-4204-0-3-601.

**Obligations:**

(Benefit payments) FY 07 est \$4,797,000,000; FY 08 est \$4,500,000,000; and FY 09 est not reported. (Financial Assistance to Multiemployer Plans) FY 07 \$93,000,000; FY 08 est \$106,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Monthly benefit range per retiree of PBGC's guarantee for plans terminating in 2006, in the single employer program: \$10 to the maximum guarantee from PBGC funds of \$3,971.59.

**PROGRAM ACCOMPLISHMENTS:**

The PBGC administers and insurance program guaranteeing certain pension benefits to 44.1 million participants in 30,300 private defined benefit pension plans. In FY 2005, there were 682,820 participants in pay status and 510,000 others eligible to receive benefits in the future.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 29 CFR, Chapter 40; PBGC Form 1-ES Package; PBGC Form 1 Package (includes Form 1-EZ); PBGC Form 500 Package; Schedule MP Package; PBGC Form 600 Package; PBGC Form 200; PBGC Form 10; PBGC Form 10-Advance; PBGC's Home Page on the World Wide Web at <http://www.pbgc.gov>.

**Regional or Local Office:**

Individuals may contact PBGC through any Department of Labor, Pension Welfare Benefits Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Pension Benefit Guaranty Corporation, 1200 K Street, N.W., Washington, DC 20005-4026. Telephone: (202) 326-4000.

**Web Site Address:**

<http://www.pbgc.gov> .

**RELATED PROGRAMS:**

17.150, Employee Benefits Security Administration.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

# ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

## 88.001 ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

(Access Board)

### FEDERAL AGENCY:

ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

### AUTHORIZATION:

Rehabilitation Act of 1973, Sections 502 and 508, as amended, 29 U.S.C. 792 and 794(d); Architectural Barriers Act of 1968, as amended, 42 U.S.C. 4151 et seq.; Americans with Disabilities Act of 1990, 42 U.S.C. 12101 et seq.; and Telecommunications Act of 1996, 47 U.S.C. 255.

### OBJECTIVES:

To enforce Federal laws requiring accessibility for persons with disabilities in certain federally funded buildings and facilities throughout the Nation; set guidelines and requirements for accessibility standards prescribed by Federal agencies. Provide technical assistance and training on its design guidelines and standards to organizations, agencies, and individuals; and to conduct research to determine appropriate specifications for accessibility.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

Technical information and assistance on creating a barrier free environment is available to Federal, State and local government agencies and to private organizations and individuals.

### Applicant Eligibility:

Requests for information may be made by the general public as well as all agencies of Federal, State, and local government.

### Beneficiary Eligibility:

General public, all levels of government, and private organizations will benefit.

### Credentials/Documentation:

This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Requests for information and assistance should be sent to the Office of Technical and Information Services, Architectural and Transportation Barriers Compliance Board, Suite 1000, 1331 F Street, NW, Washington, DC 20004-1111. Telephone: (202) 272-0080 (voice); (202) 272-0082 (TTY); FAX: (202) 272-0081; Web Site: [www.access-board.gov](http://www.access-board.gov); E-mail: [ta@access-board.gov](mailto:ta@access-board.gov); Technical Assistance: (800) 872-2253 (voice), (800) 993-2822 (TTY). This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Not applicable.

### Deadlines:

Not applicable.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

95-3200-0-1-751.

### Obligations:

(Salaries and expenses) FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Key missions of the Board include: Developing and maintaining accessibility guidelines for the built environment, transit vehicles, telecommunications equipment, and standards for electronic and information technology; providing technical assistance and training on these guidelines and standards; and enforcing design standards for federally funded facilities covered by the Architectural Barriers Act. The Board develops and updates its accessibility guidelines and standards through a process common to most Federal regulations

that invites public comment through publication in the Federal Register. About 30 publications are available from the Board, including copies of all its guidelines and standards and related guidance material, such as technical bulletins and brochures. The Board also funds and coordinates research to develop information necessary for producing guidelines or technical assistance materials.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Guidelines and standards available from the Board include the Americans with Disabilities Act Accessibility Guidelines (ADAAG), the Uniform Federal Accessibility Standards (UFAS), Telecommunications Act Accessibility Guidelines, and Electronic and Information Technology Accessibility Standards. General literature and various guidance material, such as technical bulletins and brochures, are available too.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Director, Office of Technical and Information Services, Architectural and Transportation Barriers Compliance Board, Suite 1000, 1331 F Street, NW., Washington, DC 20004-1111. Telephone: (202) 272-0080 (voice), (202) 272-0082 (TTY); FAX: (202) 272-0081; e-mail: [info@access-board.gov](mailto:info@access-board.gov). Technical Assistance: (800) 872-2253 (voice), (800) 993-2822 (TTY).

### Web Site Address:

<http://www.access-board.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

# NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

## 89.001 NATIONAL ARCHIVES REFERENCE SERVICES- HISTORICAL RESEARCH

### FEDERAL AGENCY:

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### AUTHORIZATION:

Public Law 90-621, 82 Stat.1238; National Archives and Records Administration Act of 1984, Public Law 98-497, 98 Stat. 2280.

### OBJECTIVES:

Objectives: To provide professional reference service to members of the general public and employees of the Federal government who are conducting research in Federal records or in historical materials in Presidential Libraries; provide the general public with research assistance in gaining access to and use of the records of the Federal government; provide advice and information to the public through conferences, workshops and other outreach activities on the availability and use of Federal records in the NARA's custody and, preparing for publication and dissemination articles of a scholarly nature for historical journals and technical publications.

### TYPES OF ASSISTANCE:

Use of Property, Facilities, and Equipment; Advisory Services and Counseling; Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

The assistance provided by NARA is designed to assist the public in obtaining access to information contained in records which are in the custody of the National Archives. Restrictions on the use of accessioned records in the National Archives of the United States are divided into two categories: general restrictions and specific restrictions. General restrictions apply to all records regardless of origin and apply to types of information or classes of records exempt from disclosure under the Freedom of Information Act, for example, national security information. Specific restrictions are specified by the transferring agency or donor and apply only to records in a particular record group or a portion of that record group. All restrictions are included in 36 CFR 1256. Access to records in the records center operations within NARA's regional records services facilities; in the National Personnel Records Center; and in the Washington National Records Center is controlled by the agency which created the records.

### Applicant Eligibility:

Anyone (general public).

### Beneficiary Eligibility:

Anyone (general public).

### Credentials/Documentation:

Photographic identification.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

To see records in person, NARA Form 14003, Researcher Application, is required. To obtain information or copies by mail, contact the depository; if a form is required, applicant will be notified. The use of publications, such as microfilm publications of the U.S. Census, does not require the completion of a Researcher Application. Microfilm publications are available in regional facilities in self-service reference rooms. Request for civilian and military personnel records should be addressed to the National Personnel Records Center.

Requests for court records should be addressed to the appropriate regional records services facility. Requests for records held in records center operations of the NARA regional records services facility and in the Washington National Records Center should be addressed directly to the agency having legal custody.

### Award Procedure:

Not applicable.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Not applicable.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Not applicable.

### Audits:

Not applicable.

### Records:

Not applicable.

### Account Identification:

88-0300-0-1-804.

### Obligations:

(Salaries and expenses) FY 07 \$47,780,197; (Records Services-Washington, DC, \$25,940,000; Presidential Libraries, \$2,949,857; Regional Records Services, \$18,890,340); FY 08 est \$52,185,895; (Records Services-Washington, DC, \$28,402,000; Presidential Libraries, \$3,645,000; Regional Records Services, \$20,138,895); and FY 09 est \$53,906,365.; (Records Services-Washington, DC, \$28,524,000; Presidential Libraries, \$3,751,000; Regional Records Services, \$21,631,365).

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

During fiscal year 2007, the National Archives provided a total of 1,327,131 reference responses from the following sources: Records Services-Washington, DC, provided 86,056; Regional Records Services provided 1,203,109; and Presidential Libraries provided 37,966. National Archives provided 519,625 reference items to researchers for fiscal year 2007: Records Services-Washington, DC, provided 400,106; Regional Records Services provided 48,915; and Presidential Libraries provided 70,604. It is estimated that for each of the fiscal years 2008 and 2009, the National Archives will provide 1,338,056 reference responses (Records Services-Washington, DC, 79,958; Regional Records Services 1,220,894; and Presidential Libraries 37,204); and 508,456 items to researchers (Records Services-Washington, DC, 372,156; Regional Records Services 66,670; and Presidential Libraries 69,630).

### REGULATIONS, GUIDELINES, AND LITERATURE:

36 CFR Chapter XII, Subchapter C. Over 200 printed publications are available as listed in General Information Leaflet No. 3, "Select List of Publications of the National Archives and Records Administration," available without charge from the Publication Services (NEPS), National Archives and Records Administration, Washington, DC 20408.

### Regional or Local Office:

See Appendix IV of the Catalog for a list of addresses.

### Headquarters Office:

Office of Records Services-Washington, DC., National Archives and Records Administration, College Park, MD 20740-6001. Telephone: (301) 837-3110. Regional records services facilities: Office of Regional Records Services, National Archives and Records Administration, College Park, MD 20740-6001. Telephone: (301) 837-1982. Office of Presidential Libraries, National Archives and Records Administration, College Park, MD 20740-6001. Telephone: (301) 837-3250.

### Web Site Address:

<http://www.archives.gov>.

### RELATED PROGRAMS:

42.006, Library of Congress\_Library Services; 42.007, Reference Services in Science, Technology and Business; 89.003, National Historical Publications and Records Grants.

### EXAMPLES OF FUNDED PROJECTS:

Not applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 89.003 NATIONAL HISTORICAL PUBLICATIONS AND RECORDS GRANTS

### FEDERAL AGENCY:

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### AUTHORIZATION:

Public Law 90-620, 82 Stat. 1238; Public Law 92-546, 86 Stat. 1155; Public Law 93-536, 88 Stat. 1734; Public Law 96-98, 93 Stat. 731; National Archives and Records Administration Act of 1984, Public Law 98-497, 98 Stat. 2280; Public Law 98-189, 97 Stat. 1323; Public Law 100-365, 102 Stat. 823; Public Law 103-262, 108 Stat. 706; Public Law 104-274, 110 Stat. 3321; 44 U.S.C. 2501-2506; Public Law 106- 410, 114 Stat.1788; Public Law 108-383,118 Stat. 2218.

### OBJECTIVES:

To undertake a wide-range of activities related to the preservation, publication, and use of documentary sources relating to the history of the United States.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds may be used for projects to strengthen the nation's archival infrastructure through collaboration with the States; to provide leadership in preserving and making accessible important documentary sources in electronic form; to improve the knowledge, performance, and professional skills of those who work with historical records; for the preservation, arrangement and description of records of historical interest; and for the publication in book, microform or electronic editions of papers and documents of national historical significance, especially in completing editions of papers on America's founding era.



**Applicant Eligibility:**

State and local governments, U.S. territorial agencies, federally and State recognized Indian tribes (see 44 U.S.C. 2504), educational and other nonprofit institutions (e.g., universities, colleges, libraries, historical societies, museums, university presses, archives, etc.) and individuals.

**Beneficiary Eligibility:**

State and local governments, U.S. territorial agencies, federally and State recognized Indian tribes, educational and other nonprofit institutions, and individuals.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Go to [www.grants.gov](http://www.grants.gov) or [www.archives.gov/grants](http://www.archives.gov/grants) to request information from headquarters office. This program is subject to the provisions of OMB Circular No. A-110 for institutions of higher education, hospitals, and other nonprofit institutions (36 CFR 1210). Applications from State and local governments are subject to the provisions of the common rule for State and local grant administration, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," dated (36 CFR 1207). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:**

Applications are reviewed by state historical records advisory boards, subject area specialists and other appropriate individuals. Grant awards are recommended by the National Historical Publications and Records Commission at biennial meetings. Grants are formally made by the Archivist of the United States to the applicant institution or individual by letter.

**Deadlines:**

Available at [www.grants.gov](http://www.grants.gov) or [www.archives.gov/grants](http://www.archives.gov/grants) or contact the National Historical Publications and Records Commission headquarters office.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Applications may be revised and resubmitted in accordance with established procedures.

**Renewals:**

Procedures for the renewal of applications are the same as the original application procedure process.

**Formula and Matching Requirements:**

Subject to consideration, depending on the project.

**Length and Time Phasing of Assistance:**

Varies depending on scope of project.

**Reports:**

Financial status reports and narrative progress reports are required for all grants. Standard Form 269, Financial Status Report, shall be used for all financial reports; which are due 30 days after the end of each 12-month period. Narrative reports are due 30 days after the end of each 6-month period. Final reports are due within 90 days after the expiration or termination of the grant period. Grants with a duration of six months or less require a final report only.

**Audits:**

In accordance with the provisions of OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," non-Federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are generally exempt from Federal audit requirements for that year, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

**Records:**

The grantee institution maintains records which fully disclose the amount and disposition of granted funds, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit.

**Account Identification:**

88-0301-0-1-804.

**Obligations:**

(Grants) FY 07 \$5,706,000; FY 08 est \$7,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$5,000 to \$750,000; \$85,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 146 grant applications were reviewed and 88 grants were awarded. In fiscal year 2008, it is estimated that 150 grant applications will be reviewed and 100 grants will be awarded. In fiscal year 2009, it is estimated that 0 grant applications will be reviewed and 0 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant application announcements. 36 CFR 1206-1212.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Archives and Records Administration, National Historical Publications and Records Commission, National Archives Building, Washington, DC 20408. Telephone: (202) 357- 5010 Fax (202) 357-5914. E-mail [nhprc@nara.gov](mailto:nhprc@nara.gov).

**Web Site Address:**

<http://www.archives.gov/grants>.

**RELATED PROGRAMS:**

45.149, Promotion of the Humanities\_Division of Preservation and Access.

**EXAMPLES OF FUNDED PROJECTS:**

1) Documentary editing projects to publish the papers of Thomas Jefferson, Ulysses S. Grant, Martin Luther King, Jr., and other figures important in United States history; 2) a project to conduct applied electronic records management research; 3) a project to develop a national database of historical records information in the Research Libraries Information Network (RLIN); 4) a project to put a museum's collection of photographic images on videodisc using direct-to-disc recording equipment and to hold a workshop for museum, library, and archives personnel to demonstrate the system; 5) a project to develop a county's archives and records management program.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines at [www.archives.gov/grants](http://www.archives.gov/grants).

**89.005 COOPERATIVE AGREEMENTS TO SUPPORT THE PROGRAMS OF THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)****FEDERAL AGENCY:**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**AUTHORIZATION:**

Public Law 108-383, 118 Stat. 2218; 44 U.S.C. 2119.

**OBJECTIVES:**

To undertake a wide-range of activities for the public purpose of carrying out the programs of the National Archives and Records Administration.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative agreements are entered into to support various activities for the public purpose of carrying out the programs of the National Archives and Records Administration.

**Applicant Eligibility:**

State and local governments, other public entities, educational institutions, or private nonprofit organizations (including foundations or institutes organized to support the National Archives and Records Administration or the Presidential archival depositories operated by it).

**Beneficiary Eligibility:**

State and local governments, other public entities, educational institutions, or private nonprofit organizations (including foundations or institutes organized to support the National Archives and Records Administration or the Presidential archival depositories operated by it).

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is exempt from coverage under E.O. 12372.

**Application Procedure:**

Submit proposal for a cooperative agreement to the Policy and Planning Staff, National Archives and Records Administration, 8601 Adelphi Road, Room 4100, College Park, MD 20740; Telephone: (301) 837-1850.

**Award Procedure:**

The Policy and Planning Staff review and consider all proposals consistent with the statutory authority and NARA policy. Proposals are then presented to the Senior Staff with a recommendation by the Policy and Planning Staff. The Archivist and the Senior Staff make the final decision with respect to all proposals.

**Deadlines:**

Proposals are accepted on an on-going basis.

**Range of Approval/Disapproval Time:**

Proposals are typically reviewed and decided upon within a few weeks, although actual time frames may vary.

**Appeals:**

None.

**Renewals:**

Procedures for renewals are the same as the original proposal process.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are entered into on an annual basis. The phasing of assistance depends upon the particular project.

**Reports:**

The type of required reporting will depend on the particular project. However, typically, financial status reports and narrative progress reports will be required on a routine basis.

**Audits:**

In accordance with the provisions of OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," non-Federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are generally exempt from Federal audit requirements for that year, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

**Records:**

The nonfederal entity maintains records which fully disclose the amount and disposition of funds transferred pursuant to a cooperative agreement, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit.

**Account Identification:**

88-0300-0-1-804.

**Obligations:**

FY 07 \$35,000; FY 08 \$20,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Up to \$25,000 per cooperative agreement, with a cap of \$75,000 per year; \$18,333 average.

**PROGRAM ACCOMPLISHMENTS:**

Two cooperative agreements were entered into in FY 07 and one cooperative agreement was entered into in FY 08. It is estimated that one cooperative agreement will be entered into in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Policy and Planning Staff, National Archives and Records Administration, 8601 Adelphi Road, Room 4100, College Park, MD 20740; Telephone: (301) 837-1850.

**Web Site Address:**

<http://www.archives.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A project to assist in the broadcast of a Constitution Day program; support of the National History Day outreach and teacher training programs; a project to develop 'vital records and disaster preparedness, advocacy and training materials which will facilitate the development of statewide emergency response plans intended to cover public and private archival collections, as well as state and local government records of long term value.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must support the public purpose of carrying out programs of the National Archives and Records Administration.

# DENALI COMMISSION

## 90.100 DENALI COMMISSION PROGRAM

### FEDERAL AGENCY:

DENALI COMMISSION

### AUTHORIZATION:

The Denali Commission Act, October 21, 1998, Public Law 105-227, 42 U.S.C. 3121.

### OBJECTIVES:

The Denali Commission is an Innovative Federal and State partnership designed to provide critical utilities and infrastructure throughout Alaska, particularly in distressed communities.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Infrastructure or utility needs benefiting Alaskans.

### Applicant Eligibility:

Awards are available to State and local governments, private, public, profit, nonprofit organizations and institutions or individuals eligible in Alaska.

### Beneficiary Eligibility:

General public, particularly distressed communities.

### Credentials/Documentation:

Locally prepared comprehensive development plans that are regionally supported.

### Preapplication Coordination:

Informal preapplication conference recommended. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Letter request coupled with comprehensive community based and approved development plans.

### Award Procedure:

Resolutions through Commissioners.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Six months from receipt of letter application.

### Appeals:

Negotiated on a case by case basis.

### Renewals:

Negotiated at periodic Commission meetings.

### Formula and Matching Requirements:

Encouraged but not mandatory.

### Length and Time Phasing of Assistance:

Determined during project evaluation.

### Reports:

Monthly and/or quarterly, based on negotiated terms and conditions.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 23, 2003), "Audits of States, Local Governments, and Non-Profit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than 500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Determined at the time of award, consistent with Federal and State of Alaska guidelines.

### Account Identification:

95-1200-0-1-452; 95-8056-0-7-452.

### Obligations:

FY 07 \$111,000,000; FY 08 est \$106,000,000; and FY 09 est not reported.

### Range and Average of Financial Assistance:

From \$200,000 to \$10,000,000. Average: \$5,000,000.

### PROGRAM ACCOMPLISHMENTS:

Created a cost-sharing partnership to respond to the immediate and critical threat to human health and the environment presented by non-code compliant, often leaking, bulk fuel storage facilities.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Information is available on the website of <http://www.denali.gov>.

### Regional or Local Office:

None.

### Headquarters Office:

Denali Commission, 510 L Street, Suite 410, Anchorage, AK 99501.  
Telephone: (907) 271-1414.

### Web Site Address:

<http://www.denali.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

(1) Bulk Fuel Tank Storage- Consolidation at isolated site to prevent

catastrophic failure of leaking facilities; (2) hydroelectric generation at remote coastal community; (3) regional electric intertie serving economically distressed communities not on national grid; (4) water supply to community owned and operated fish processing facility; and (5) statewide planning and construction of health care infrastructure.

### CRITERIA FOR SELECTING PROPOSALS:

Projects are judged based on consistency with locally developed and regionally supported infrastructure development plans, long term sustainability, relative impacts on reducing unemployment, raising the standards of living, reducing the cost of utilities, and cost-sharing by others.

## 90.200 DELTA REGIONAL DEVELOPMENT

(Delta Program)

### FEDERAL AGENCY:

DELTA REGIONAL AUTHORITY

### AUTHORIZATION:

Departments Of Labor, Health And Human Services, And Education, And Related Agencies Appropriations Act, 2001, 2000) as amended by H.R. 2646; The Farm Security And Rural Investment Act of 2002 (2002 Farm Bill).

### OBJECTIVES:

The Delta Regional Authority (DRA) is a federal-state partnership serving a 240-county/parish area in an eight-state region. Led by a Federal Co-Chairman and the governors of each participating state, the DRA is designed to remedy severe and chronic economic distress by stimulating economic development and fostering partnerships that will have a positive impact on the region's economy. Help economically distressed communities to leverage other federal and state programs which are focused on basic infrastructure development, transportation improvements, business development, and job training services.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

In considering programs and projects to be provided assistance under the Act, and in establishing a priority of the requests for assistance provided by the Authority, the Authority shall follow procedures to ensure, to the maximum extent practicable, consideration of the following: (1) the relationship of the project or class of projects to overall regional development; (2) the per capita income and poverty and unemployment rates in an area; (3) the financial resources available to the applicants for assistance seeking to carry out the project, with emphasis on ensuring that projects are adequately financed to maximize the probability of successful economic development; (4) the importance of the project or class of projects in relation to other projects or classes of projects that may be in competition for the same funds; (5) the prospects that the project for which assistance is sought will improve, on a continuing rather than temporary basis, the opportunities for employment, the average level of income, or the economic development of the area served by the project; and (6) the extent to which the project design provides for detailed outcome measurements by which grant expenditures and the result of the expenditures may be evaluated. Each State is required to file a State Delta development plan, appraising prospects for development in its Delta area and relating to them a strategic program for which Delta funding is requested in that year. Once an application is submitted for individual projects and given final approval the grant is administered either by the Federal agency involved in that type of program, a local development district, or directly by DRA. The counties (including any political subdivision located within such area) in which investment under the Delta Act can be made are: Alabama, the counties of Barbour, Bullock, Butler, Choctaw, Clarke, Conecuh, Dallas, Escambia, Greene, Hale, Lowndes, Macon, Marengo, Monroe, Perry, Pickens, Russell, Sumter, Washington, Wilcox; in Arkansas the counties of Arkansas, Ashley, Baxter, Bradley, Calhoun, Chicot, Clay, Cleveland, Craighead, Crittenden, Cross, Dallas, Desha, Drew, Fulton, Grant, Greene, Independence, Izard, Jackson, Jefferson, Lawrence, Lee, Lincoln, Lonoke, Marion, Mississippi, Monroe, Ouachita, Phillips, Poinsett, Prairie, Pulaski, Randolph, Searcy, Sharp, St. Francis, Stone, Union, Van Buren, White, Woodruff; in Illinois the counties of Alexander, Franklin, Gallatin, Hamilton, Hardin, Jackson, Johnson, Massac, Perry, Pope, Pulaski, Randolph, Saline, Union, White, Williamson; in Kentucky the counties of Ballard, Caldwell, Calloway, Carlisle, Christian, Crittenden, Fulton, Graves, Henderson, Hickman, Hopkins, Livingston, Lyon, Marshall, McCracken, McLean, Muhlenberg, Todd, Trigg, Union, Webster; in Louisiana the counties of Acadia, Allen, Ascension, Assumption, Avoyelles, Caldwell, Catahoula, Concordia, East Baton Rouge, East Carroll, East Feliciana, Evangeline, Franklin, Grant, Iberia, Iberville, Jackson, Jefferson, La Salle, Lafourche, Lincoln, Livingston, Madison, Morehouse, Natchitoches, Orleans, Ouachita, Plaquemines, Pointe Coupee, Rapides, Richland, St. Bernard, St. Charles, St. Helena, St. James, St. John The Baptist, St. Landry, St. Martin, Tangipahoa, Tensas, Union, Washington, West Baton Rouge, West Carroll,



West Feliciana, Winn; in Missouri the counties of Bollinger, Butler, Cape Girardeau, Carter, Crawford, Dent, Douglas, Dunkin, Howell, Iron, Madison, Mississippi, New Madrid, Oregon, Ozark, Pemiscot, Perry, Phelps, Reynolds, Ripley, Scott, Shannon, St. Francois, Ste. Genevieve, Stoddard, Texas, Washington, Wayne, Wright; in Mississippi the counties of Adams, Amite, Attala, Benton, Bolivar, Carroll, Claiborne, Coahoma, Copiah, Covington, De Soto, Franklin, Grenada, Hinds, Holmes, Humphreys, Issaquena, Jefferson, Jefferson Davis, Lafayette, Lawrence, Leflore, Lincoln, Madison, Marion, Marshall, Montgomery, Panola, Pike, Quitman, Rankin, Sharkey, Simpson, Sunflower, Tallahatchie, Tate, Tippah, Tunica, Union, Walthall, Warren, Washington, Wilkinson, Yalobusha, Yazoo; in Tennessee the counties of Benton, Carroll, Chester, Crockett, Decatur, Dyer, Fayette, Gibson, Hardeman, Hardin, Haywood, Henderson, Henry, Lake, Lauderdale, Madison, McNairy, Obion, Shelby, Tipton, Weakley.

#### **ELIGIBILITY REQUIREMENTS:**

##### **Applicant Eligibility:**

The Authority may approve grants to States and public and nonprofit entities. All proposed projects must meet the clarification notes as part of the pre-application and the requirements of the State Delta plan which must be approved annually by the Authority.

##### **Beneficiary Eligibility:**

General public.

##### **Credentials/Documentation:**

Not applicable.

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

##### **Preapplication Coordination:**

Local Development Districts will publicize, educate and assist applicants with the pre-application phase. (See individual Delta Program descriptions). This program is excluded from coverage under E.O. 12372.

##### **Application Procedure:**

Each State's Governor will select his projects for DRA yearly Federal Grant funding from the Federal Co-Chairman's list of eligible pre-applications within the context of his own Authority-approved State plan and priorities. (See individual Delta program descriptions).

##### **Award Procedure:**

Upon receipt of project application approved and certified by the State DRA determines that the project satisfies all requirements for assistance under the ACT and holds a Board vote for approval. The DRA notifies Congressional offices and the office of the Governor of grant awards.

##### **Deadlines:**

Per the approved current fiscal year grant program timeline.

##### **Range of Approval/Disapproval Time:**

Per the approved current fiscal year grant program timeline.

##### **Appeals:**

There is an appeal process for the pre-application process. (See Delta direct grant program description) There are no appeal procedures as such, project review allows for full and free interchange with applicants selected for full applications.

##### **Renewals:**

Generally renewals are not applicable except for administrative expenses, including technical services, of local development districts.

#### **ASSISTANCE CONSIDERATIONS:**

##### **Formula and Matching Requirements:**

Refer to 90.201.

##### **Length and Time Phasing of Assistance:**

Project assistance is provided until completion.

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

##### **Reports:**

Reporting and performance as required by the Federal agency or DRA for those programs directly administered by the Authority, as appropriate. The Authority requires semi-annual reports of local development districts.

##### **Audits:**

Audits as required by the Federal agency and the Authority. In accordance with the provisions of OMB Circular No. A-133 (revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organizational-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

#### **FINANCIAL INFORMATION:**

#### **Account Identification:**

95-0750-0-1-452.

#### **Obligations:**

Reported under individual DRA programs.

#### **Range and Average of Financial Assistance:**

Not applicable.

#### **PROGRAM ACCOMPLISHMENTS:**

Not applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Delta Regional Authority Code (limited distribution), The Communique an online journal devoted to the special problems and accomplishments of regional development. Annual Report.

#### **INFORMATION CONTACTS:**

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Inquiries and proposals for projects should be submitted first to The Local Development District. (See DRA website for listing.) Other inquiries may be addressed to: Executive Director, Delta Regional Authority, 236 Sharkey Avenue, Suite 400, Clarksdale, MS 38614.

##### **Web Site Address:**

<http://www.dra.gov>.

##### **RELATED PROGRAMS:**

90.201, Delta Area Economic Development; 90.202, Delta Local Development District Assistance.

##### **EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## **90.201 DELTA AREA ECONOMIC DEVELOPMENT**

(Supplemental and Direct Grants)

##### **FEDERAL AGENCY:**

DELTA REGIONAL AUTHORITY

##### **AUTHORIZATION:**

Departments Of Labor, Health And Human Services, And Education, And Related Agencies Appropriations Act, 2001, as amended by H.R. 2646; The Farm Security And Rural Investment Act of 2002 (2002 Farm Bill).

##### **OBJECTIVES:**

Delta Regional Authority's mission is to be an advocate for and partner with the people of the Delta to create opportunities for self-sustaining economic development and improved quality of life. This program focuses on activities which support DRA's mission. Specific program goal are: (1) to develop the transportation infrastructure of the region for the purpose of facilitating economic development in the region (except that grants for this purpose may only be made to state and local government); (2) to assist the region in obtaining the job training, employment related education, and business development (with an emphasis of entrepreneurship) that are needed to build and maintain strong local economies; (3) to provide assistance to severely distressed and underdeveloped areas that lack financial resources for improving basic public services; (4) to provide assistance to severely distressed and underdeveloped areas that lack financial resources for equipping industrial parks and related facilities; and (5) to otherwise achieve the purpose of the Act. Grants are made either directly by the Authority or grants may supplement other Federal grants.

##### **TYPES OF ASSISTANCE:**

Project Grants.

##### **USES AND USE RESTRICTIONS:**

The grants may be used for providing supplemental funds under Federal grant-in-aid programs. To be eligible for special basic grants, projects must be of high priority in the State's Delta development plan and be within the clarification guidelines of the clarification notes which are part of the pre-application used to determine eligibility. The Authority must prioritize use of federal funds in the following order, with 75% of appropriated funds used in distressed counties and transportation and basic public infrastructure projects receiving at least 50% of the appropriated funds: (1) Basic public infrastructure in distressed counties and isolated areas of distress; (2) Transportation infrastructure for the purpose of facilitating economic development, (3) Business development with emphasis on entrepreneurship; (4) Job training or employment-related education, with emphasis on use of existing public educational institutions located in the region.

##### **Applicant Eligibility:**

State, their subdivisions and instrumentalities and private nonprofit agencies.

##### **Beneficiary Eligibility:**

General public.

##### **Credentials/Documentation:**

The governor of each Delta state shall submit a State Delta Development Plan within 10 months after taking office, and must be approved by the board. Prior to December 15 of each year, the Governor of each state shall submit a Strategy Statement and Investment Program describing the state's program for achieving

the goals and objectives contained in its state Development Plan, and must be approved by the board.

**Preapplication Coordination:**

Local Development Districts will be the front-line facilitators, within their districts, to publicize, educate and provide technical assistance for the DRA yearly Federal Grant Program's pre-application process. Specifically, each LDD will begin publicizing the DRA Federal Grant Program through their hosting of public-information forums plus all other means appropriate to their respective client bases. Each LDD will be the principal contact for the provision of technical and pre-application assistance to the pre-applicants in its area throughout this period, from announcement to pre-application deadline. The LDD's receive and review pre-applications for completeness, then forward the pre-applications to DRA at pre-application deadline. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Upon completion of his eligibility determinations, the Federal Co-Chairman will forward that list to each participating state member, and he will also notify the pre-applicants and the Administering Agencies. With the singular independence as prescribed by the Delta Regional Authority Act of 2000, as amended, each Governor will select his projects for funding, and will do so within the context of his own Authority-approved state plan and priorities. When the Governors have selected their projects, these selections basically become pre-certified for DRA funding, needing now an application (business plan) sufficient to satisfy the Authority and the (if needed) Administering Agency that the project will work as described and be able to comply with all appropriate Federal regulations. Using the DRA Federal Grant Uniform Grant Application Form, which will include the Administering Agency's required checklists and documents; the Federal Co-Chairman will invite a full application from each participating states lists of eligible and pre-certified projects. Upon receiving each application for their state, each participating Governor shall evaluate and certify each application conforming to the State Strategy Statement and Investment Program. The Governors will then forward their lists of evaluated and certified applications to the Federal Co-Chairman. Each application will be voted on and approved by the participating state members and the Federal Co-Chairman, together, the Delta Regional Authority.

**Award Procedure:**

Once projects are approved, the administration of each project will proceed in accordance with the Memorandum of Agreement between DRA and the appropriate Administering Agencies. The DRA notifies Congressional Offices and the Office of the Governor of grant awards.

**Deadlines:**

A timeline is posted on the DRA web site for each fiscal grant cycle covering pre-application to grant awards.

**Range of Approval/Disapproval Time:**

From 60 to 80 days after receipt of the full application by the Authority.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Generally grants are limited to 50% of project costs. For projects in counties designated as economically distressed, this limit can be raised to 90%.

**Length and Time Phasing of Assistance:**

Assistance is provided until project completion; funds are transferred to the basic Federal agency and disbursed as appropriate. DRA reserves the right to withdraw grants for projects not under contract within 18 months of approval.

**Reports:**

Reporting and performance monitoring as required by the DRA or the basic Federal agency, as appropriate.

**Audits:**

Audits as required by the Federal agency and the Authority. In accordance with the Single Audit Act Amendments of 1996, Public Law 104-156. In accordance with provisions on OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organizational-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Account Identification:**

95-0750-0-1-452.

**Obligations:**

(Grants) FY 07 \$8,015,805; FY 08 \$7,789,000; and FY 09 est \$8,000,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 49 projects were approved. Because of the reduced funding the States concentrated efforts on meeting economic development needs in the Region through committed projects. Targeted projects were for water and sewer systems for industrial parks, with committed tenants to locate, and municipalities facing impending sanctions; workforce training through schools of higher education to upgrade job skills with committed company participation; and business development through business incubator creation with committed tenants. Projected performance from applications indicates; that 3,622 families will be helped by water projects, 774 jobs will be created, 1079 jobs will be retained and 70 people will be trained.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Delta Regional Authority Code (limited distribution); Delta Regional Annual Report; The Communique an online journal devoted to the special problems and accomplishments of regional development.

**Regional or Local Office:**

None.

**Headquarters Office:**

Inquiries and proposals for projects should be submitted first to The Local Development District. (See DRA website for listing.) Other inquiries may be addressed to: Executive Director, Delta Regional Authority, 236 Sharkey Avenue, Suite 400, Clarksdale, MS 38614. Telephone: (662) 624-8600.

**Web Site Address:**

<http://www.dra.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Targeted projects were for water and sewer systems for industrial parks, with committed tenants to locate, and municipalities facing impending sanctions; workforce training through schools of higher education to upgrade job skills with committed company participation; and business development through business incubator creation with committed tenants.

**CRITERIA FOR SELECTING PROPOSALS:**

Only through the approved current grant year Timeline and Process.

**90.202 DELTA LOCAL DEVELOPMENT DISTRICT ASSISTANCE**

(LDD)

**FEDERAL AGENCY:**

DELTA REGIONAL AUTHORITY

**AUTHORIZATION:**

Conference Report On H.R. 4577, Departments Of Labor, Health And Human Services, And Education, And Related Agencies Appropriations Act, 2001; (House Of Representatives - December 15, 2000) as amended by H.R. 2646; The Farm Security And Rural Investment Act of 2002 (2002 Farm Bill).

**OBJECTIVES:**

To provide planning and development resources in multicounty areas; to help develop the technical competence essential to sound development assistance; and to meet the objectives stated under the program entitled Delta Regional Development (90.200).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

For administrative expenses, including technical services of certified local development districts; in addition to the uses and use restrictions detailed in the Delta Development Program (90.200). Funds may be used only in the performance of grantees program and in accord with the budget, and agreements thereto, as approved by the Authority.

**Applicant Eligibility:**

Multicounty organizations certified by the State.

**Beneficiary Eligibility:**

Multicounty organizations.

**Credentials/Documentation:**

Certificate by the Governor. State Delta Plan and Strategy Statement must describe the procedures for the participation of local development districts in the Delta development planning process. Costs will be determined in accordance with OMB Circular No. A-87, for State and local governments.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for the Governor for Delta investments. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program beginning FY 2006. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted and approved by the State Member of DRA. All proposed projects must meet the requirements of the State Delta Plan and Strategy Statement and Investment Program submitted annually before December 15. A letter of transmittal signed by the State Member and Standard Forms 424 are required.

**Award Procedure:**

Upon determination that the State approved project is eligible within an Authority approved Delta State Development Plan and Strategy Statement and Investment Program, The Federal Co-Chairman determines that the project satisfies all Federal requirements.

**Deadlines:**

Those imposed by each State and the general requirements of the Authority; that is, proposed projects shall be included in each of the State's approved project funding program which is submitted annually before December 15, and grant applications should be submitted to the Authority 90 days prior to the beginning of the grant period (beginning of the calendar year).

**Range of Approval/Disapproval Time:**

Usually within 30 days after receipt of the application at the Authority.

**Appeals:**

None.

**Renewals:**

Renewals and amended applications follow the same procedures as the original application.

**Formula and Matching Requirements:**

Administrative grants may be funded at 50 percent, wherever the local development district is located.

**Length and Time Phasing of Assistance:**

Assistance is provided for 12 months.

**Reports:**

Semiannual and financial report in a form and manner prescribed by the Authority.

**Audits:**

The Authority, The Federal Co-Chairman of the Authority, and the Comptroller General of the United States shall have access for the purpose of audit and examination. In accordance with provisions of OMB Circular No. A-133 (Revised, June 24, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall keep records for not less than 3 years which fully disclose the purpose, amount and disposition of DRA funds and other contributions.

**Account Identification:**

95-0750-0-1-452.

**Obligations:**

FY 07 \$396,000; FY 08 \$396,000; and FY 09 est \$396,000.

**Range and Average of Financial Assistance:**

\$5,090 to \$19,800: \$9209.

**PROGRAM ACCOMPLISHMENTS:**

There were 44 planning districts aided in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Delta Regional Authority Code (limited distribution); Delta Regional Authority Annual Report; The Communique an online journal devoted to the special problems and accomplishments of regional development.

**Regional or Local Office:**

None.

**Headquarters Office:**

Inquiries and proposals for projects should be submitted first to Delta State office designated by the Governor. Other inquiries may be addressed to: Executive Director, Delta Regional Authority, 236 Sharkey Avenue, Suite 400, Clarksdale, MS 38614. Telephone (662) 624-8600.

**Web Site Address:**

<http://www.dra.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Use and Use Restrictions, Credentials/Documentation, and Application Procedure.

**90.300 JAPAN-US FRIENDSHIP COMMISSION GRANTS****FEDERAL AGENCY:**

JAPAN-US FRIENDSHIP COMMISSION

**AUTHORIZATION:**

Public Law 94-118.

**OBJECTIVES:**

to promote educational, intellectual, artistic and cultural exchange and research between Japan and the United States.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Not applicable.

**Applicant Eligibility:**

Public and state-controlled institutions of higher education; non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; private institutions of higher education.

**Beneficiary Eligibility:**

Public and state-controlled institutions of higher education; non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; private institutions of higher education.

**Credentials/Documentation:**

Copy of 501(c)(3) or other non-profit status.

**Preapplication Coordination:**

Consultation with agency recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of proposal conforming to JUSFC guidelines.

**Award Procedure:**

Grants typically made before beginning of project activity.

**Deadlines:**

March 1 or August 1 (or next business day when these fall on a weekend) annually.

**Range of Approval/Disapproval Time:**

Approximately six weeks between submission of proposal and decision.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

High expectation of matching funds from outside sources.

**Length and Time Phasing of Assistance:**

Typically six months to eighteen months.

**Reports:**

Final program and financial reports due within 90 days of completion date of grant.

**Audits:**

Not required. This program is excluded from coverage under E.O. 12372.

**Records:**

Must be kept by grantee for a three-year period.

**Account Identification:**

89-1191-0-1-300.

**Obligations:**

FY 07 \$2,655,000; FY 08 est \$2,655,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Summary found in Inter-Agency Working Group Annual Report.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

1201 15th Street NW, Ste. 330, Washington, DC 20005.

**Web Site Address:**

[www.jusfc.gov](http://www.jusfc.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**90.400 HELP AMERICA VOTE COLLEGE PROGRAM****FEDERAL AGENCY:**

ELECTION ASSISTANCE COMMISSION

**AUTHORIZATION:**

Help America Vote Act of 2002, Sections 501-503, Public Law 107-252, 42 U.S.C. 15521-23.

**OBJECTIVES:**

The purpose of this program is: (1) to encourage students enrolled at institutions of higher education (including community colleges), to assist state and local governments in the administration of elections by serving as nonpartisan poll workers or assistants; (2) to encourage college students to become cognizant of the elections process and civic educations, and to assist in the smooth administration of elections in their community; and (3) to encourage state and local governments to use the services of the students participating in the Help America Vote College Program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To assist States and local jurisdictions in carrying out efficient, fair, and free elections through the recruitment and training of college and university students to serve as poll workers on Election Day. Applicants are cautioned that the



ceiling for individual awards is \$35,000. Applications exceeding the \$35,000 threshold will be considered non-responsive and will not be eligible for funding under this announcement, unless the application represents a joint program. Pre-award costs are not allowable charges to this program. Construction is not an allowable activity or expenditure under this program. The purpose of this program is to focus on election administration. Therefore, voter registration and Get-Out-The-Vote (GOTV) efforts are not allowable activities under this program.

**Applicant Eligibility:**

The following are eligible to apply for the Help America Vote College Program: (1) State controlled institutions of higher education; (2) private institutions of higher education; (3) community colleges; (4) non-partisan student organizations; and (5) non-profit organizations, other than institutions of higher education (including faith-based, community-based, and tribal organizations).

**Beneficiary Eligibility:**

College and University Students, election officials.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

The standard application form, Standard Form 424 must be used for this program. Forms are available on the website, <http://www.acf.hhs.gov/programs/add/announce.htm>. Other documents that are requested: (1) Narrative Statement (must not exceed 20 pages); (2) Application for Federal Assistance (SF 424, REV 4-92); (3) Budget Information--Non-Construction Programs (SF 424A, REV 4-92); (4) Budget justification for Section B-Budget Categories; (5) Assurances--Non-Construction Programs (Standard Form 424B, REV 4-92); (6) Proof of non-profit status (if applicable); (7) Certification Regarding Lobbying; and a letter from the applicant's local election official certifying cooperation with organization. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit applications electronically through Grants.gov. The application for Federal Assistance, Standard Form 424, is to be submitted as well. Specified instructions are published in the Federal Register, at <http://www.eac.gov>, and at <http://www.grants.gov>.

**Award Procedure:**

Written notification with follow-up issuance of funds.

**Deadlines:**

As specified in announcement or application instructions.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Generally none. Awards are made until December 31, 2008. In limited instances, the EAC may approve the extension of remaining funds (in furtherance of the goals of the Program), in which case the funds may be used until June 30, 2009.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Narrative Reports are due 30 days after the close of the grant period. Financial reports are due 30 days after the close of the grant period. To obtain grant funds, grantees will be required to submit SF 270, Request for Advance or Reimbursement.

**Audits:**

May be conducted in accordance with Federal audit provisions as well as the appropriate OMB circulars (See Grant Proposals Application).

**Records:**

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

**Account Identification:**

95-1650-0-1-808.

**Obligations:**

FY 07 est not available; FY 08 est \$750,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$35,000 per project and budget period.

**PROGRAM ACCOMPLISHMENTS:**

In 2004, the Help America Vote College Pollworker Program provided assistance to 15 colleges, universities and nonprofit groups to get students to serve as pollworkers on election day. Because of the Program in 2004, the Elections Director in Baltimore, Maryland said "For the first time, we do not have a need for pollworkers in Baltimore, thanks to the the College Program..."

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Help America Vote Act of 2002; Grant Administrative Requirements; OMB Circulars A-21 and A-122; grant agreement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Juliana Milhofer or Edgardo Corte's Help America Vote College Program,

Election Assistance Commission, 1225 New York Avenue, N.W., Suite 1100, Washington, DC 20005, [HAVACollegeProgram@eac.gov](mailto:HAVACollegeProgram@eac.gov), Telephone: (202) 566-3100.

**Web Site Address:**

[www.eac.gov](http://www.eac.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See 2004 and 2006 grantees at: [http://www.eac.gov/coll\\_poll\\_grantee.asp](http://www.eac.gov/coll_poll_grantee.asp).

**CRITERIA FOR SELECTING PROPOSALS:**

Please see Request for Application.

## 90.401 HELP AMERICA VOTE ACT REQUIREMENTS PAYMENTS

**FEDERAL AGENCY:**

ELECTION ASSISTANCE COMMISSION (EAC).

**AUTHORIZATION:**

Help America Vote Act of 2002 (HAVA), Title II, Subtitle D, Part 1, Sections 251-258, Public Law 107-252, 42 U.S.C. 15401-15408.

**OBJECTIVES:**

HAVA Section 251 authorizes requirements payments to assist States (including the District of Columbia and U.S. Territories) in meeting the Uniform and Nondiscriminatory Election Technology and Administration Requirements in Title III of the Act (voting systems standards, provisional voting and voting information requirements, computerized statewide voter registration list requirements and requirements for voters who register by mail) and, under certain circumstances, for other activities to improve the administration of Federal elections.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

HAVA Section 251(b) provides that these funds are to be used only to meet the requirements of HAVA Title III, except that States may use the payments to carry out other activities to improve the administration of elections for Federal office if the State certifies to EAC that: (1) the State has implemented the requirements of Title III; or (2) the amount to be expended with respect to such other activities does not exceed an amount equal to the minimum requirements payment amount applicable to the State. Section 251(c) also explains that a State may use a requirements payment: (1) as a reimbursement for costs incurred in obtaining voting equipment which meets the requirements of section 301 (voting systems standards) if the State obtains the equipment after the regularly scheduled general election for Federal office held in November 2000, not withstanding the Act's maintenance of effort requirements; and (2) for any costs for voting equipment which meets the requirements of section 301 that were incurred pursuant to a multi-year contract on or after January 1, 2001, except that the amount that the State is otherwise required to contribute under the maintenance of effort requirements must be increased by the amount of the payment made with respect to such multiyear contract. Funds are available until expended.

**Applicant Eligibility:**

Section 253(d) provides that States may not file a statement of certification to receive a requirements payments until the expiration of a 45-day period (or, in the case of a fiscal year other than the first fiscal year for which a requirements payment is made to the State, a 30-day period) that begins on the date the EAC publishes the State plan in the Federal Register. State, or designee, in consultation with the chief State election official, to file with EAC a statement certifying that the State is in compliance with the conditions set forth in Section 253(b). The State may meet this certification requirement by filing the following statement: hereby certifies that it is in compliance with the requirements referred to in To receive funds for a fiscal year, HAVA Section 253 requires the chief executive officer of the State, or designee, in consultation with the chief State election official, to file with EAC a statement certifying that the State is in compliance with the conditions set forth in Section 253(b). For the purpose of this requirement, the chief State election official is the individual designated by the State under section 10 of the National Voter Registration Act of 1993 (42 U.S.C. 1973gg-8) to be responsible for coordination of the States responsibilities under such Act. Section 253(b) requires the State to: have filed with EAC a State plan covering the fiscal year that the State certifies: contained each of the elements required to be in the State plan, according to HAVA Section 254, including how the State will establish a State Election Fund in accordance with Section 254(b); was developed in accordance with Section 255, which describes the process of using a committee of appropriate individuals, including the chief election officials of the two most populous jurisdictions, other local election officials, stake holders (including representatives of groups of individuals with disabilities), and other citizens to develop the plan; and met the 30-day public notice and comment requirements of Section 256. have filed with the EAC a plan for the implementation of the uniform, non-discriminatory administrative complaint procedures required under Section 402 (or has included such a plan in the State plan), and have such procedures in place. If the

State did not include such an implementation plan in the State plan, the Federal Register publication and the committee development requirements of Sections 255(b) and 256 apply to the implementation plan in the same manner as they apply to the State plan. be in compliance with each of the following federal laws:

The Voting Rights Act of 1965; The Voting Accessibility for the Elderly and Handicapped Act; The Uniformed and Overseas Citizens Absentee Voting Act; The National Voter Registration Act of 1993; The Americans with Disabilities Act of 1990; and The Rehabilitation Act of 1973. to the extent that any portion of the requirements payment is used for activities other than meeting the requirements of title III, have provided that: the State's proposed uses of the requirements payment are not inconsistent with the requirements of title III; and the use of the funds under this paragraph is consistent with the requirements of Section 251(b); have appropriated funds for carrying out the activities for which the requirements payment is made in an amount equal to 5 percent of the total amount to be spent for such activities (taking into account the requirements payment and the amount spent by the State) and, in the case of a State that uses a requirements payment as a reimbursement for voting equipment under Section 251(c)(2), an additional amount equal to the amount of such reimbursement.

**Beneficiary Eligibility:**

Fifty States, the District of Columbia, American Samoa, Guam, Puerto Rico, and the U.S. Virgin Islands.

**Credentials/Documentation:**

Qualifying jurisdictions must follow the procedures set forth in the Help America Vote Act, 42 U.S.C. 15401 et. seq., entitled Requirements Payments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

HAVA Section 253 requires the chief executive officer of the section 253(b) of the Help America Vote Act of 2002. (with the blank to be filled in with the name of the State involved). In addition, the General Services Administration (GSA), which disburses the Title II requirements payments to States on behalf of EAC, requests that a representative from each State contact Sharon Pugh (Sharon.Pugh@GSA.gov) or Brad Farris (Brad.Farris@GSA.gov) on (816) 823-3108 to provide information on State contact points, including name, telephone number, address and email address. GSA then contacts the State representatives to obtain banking information required for an Electronic Funds Transfer (EFT).

**Award Procedure:**

Based upon the certification statement filed by the State, EAC notifies GSA that a State is due receipt of its Title II payment for a particular fiscal year (i.e., either FY 2003 funds, FY 2004 funds, or both). GSA disburses the Title II funds for a particular fiscal year to the account specified by the State, and notifies the State and EAC of the disbursement in writing, specifying the amounts disbursed by fiscal year. EAC provides separate notification to States specifying the amount to be disbursed by GSA. All funds are disbursed via EFT.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

GSA, on the behalf of EAC, calculates the amount of funding that each State receives under the guidelines specified in HAVA Section 252 and provisions in related Federal appropriations legislation. The sum of the funds allocated as a result of these steps is equal to the total amount appropriated for the fiscal year, less any federal rescission (\$830 million in FY03; \$1,489,360,620 in FY04; est. \$0 in FY05). Section 253(b)(5) requires the State to have appropriated funds for carrying out the activities for which the requirements payment is made in an amount equal to 5 percent of the total amount to be spent for such activities (taking into account the requirements payment and the amount spent by the State) and, in the case of a State that uses a requirements payment as a reimbursement for voting equipment under Section 251(c)(2), an additional amount equal to the amount of such reimbursement.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

HAVA Section 258 requires States receiving these funds to submit a report to EAC on the activities conducted with the funds provided during the Federal fiscal year, which runs from October 1 through September 30 of each year. This report must include: (1) a list of expenditures made with respect to each category of activities described for the use of funds; (2) the number and type of articles of voting equipment obtained with the funds; and (3) an analysis and description of the activities funded to meet HAVA requirements and how such activities conform to the submitted State plan. This report is due no later than six months after the end of each fiscal year. States should submit Standard Form 269 as part of this report. This form may be found at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

**Audits:**

HAVA Title IX, Section 902, authorizes EAC to audit or examine books, documents, papers and records of any recipient that are deemed pertinent to the payment; stipulates that the provision applies to all recipients of payments under the Act; requires that all funds provided under the Act are subject to mandatory audit by the Comptroller General at least once during the lifetime of the program, with the same access to records as EAC; and requires that, if the Comptroller General determines that an excess payment has been made or the recipient is not in compliance, the recipient must pay the office that made the payment an amount that reflects the excess payment or the proportion representing noncompliance.

**Records:**

HAVA Title IX, Section 902, requires recipients of payments under the Act to keep records consistent with sound accounting principles to facilitate an effective audit and stipulates that the provision applies to all recipients of payments under the Act.

**Account Identification:**

95-1650-0-1-808.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Part 1 of Subtitle D of Title II (Sections 251-258) and Title III of Public Law 107-252, the Help America Vote Act of 2002, Sections 301-305, and Sections 902 and 906. EAC has determined that the following Office of Management and Budget guidelines apply: A-87 - Cost Principles for State, Local and Indian Tribal Governments (Cost Principles); A-102 - Grants and Cooperative Agreements with State and Local Governments (Administrative Requirements); Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (Common Rule, Administrative Requirements, 53 FR 8087, March 11, 1988); and A-133 Audits of States, Local Governments, and Non-Profit Organizations (Single Audits, Audit Requirements). These guidelines may be found at <http://www.whitehouse.gov/omb/circulars/index.html>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Election Assistance Commission, 1225 New York Avenue, N.W., Suite 1100, Washington, DC 20005, Telephone: (1-866) 747-1471 (toll free) or (202) 566-3100.

**Web Site Address:**

[www.eac.gov](http://www.eac.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**90.402 HELP AMERICA VOTE MOCK ELECTION PROGRAM**

**FEDERAL AGENCY:**

ELECTION ASSISTANCE COMMISSION

**AUTHORIZATION:**

Omnibus Appropriations Act for Fiscal Year (FY) 2008 (Public Law 110-161).

**OBJECTIVES:**

To promote voter participation and education in American elections through a program of simulated Federal elections that permits participation by students enrolled in a secondary education program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Primarily, funds must be used by eligible grantees to operate or supplement a program of simulated Federal elections at least 5 days before the actual general Federal election that permits participation by secondary education students. Additional supporting activities are also allowed as detailed in the Request for Application. Construction is not an allowable activity or expenditure. Indirect costs are not an allowable expenditure. Voter registration and Get-Out-The-Vote (GOTV) efforts are not allowable activities.

**Applicant Eligibility:**

State election offices and non-profit organizations (including faith-based, community-based, and tribal organizations). Applicants must demonstrate prior experience operating a program of simulated elections aimed at students enrolled in a secondary education program.

**Beneficiary Eligibility:**

Students in secondary education programs.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

The standard application form, Standard Form 424 must be used for this program. Forms are available on Grants.gov. Other documents that are requested: --Project description/narrative (must not exceed 10 pages); --Budget Information--Non-Construction Programs (SF 424A, Rev 4-92); --Budget justification for Section B--Budget Categories; --Assurances--Non-Construction Programs (Standard Form 424B, Rev 4-92); --Statement attesting to the non-partisanship of the program; --Certification regarding lobbying; --Proof of nonprofit status (if applicable) --Letter from state board of education (or equivalent) demonstrating a commitment to partnering with organization; and --Letter from State and local election officials demonstrating support for conducting the Mock Election Program. This program is excluded coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit applications electronically through Grants.gov. Specified instructions as published in the Federal Register, at Grants.gov, and on the Election Assistance Commission (EAC) website.

**Award Procedure:**

Written notification with follow-up issuance of funds.

**Deadlines:**

Contact the program contact listed in the Headquarters Office section below.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Awards are generally made until December 31, 2008.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Narrative Reports: Due 30 days after close of grant period. Financial Reports: An SF 269 must be submitted on August 30, 2008 for the period ending July 30, 2008 and 30 days after the close of the grant period. Other Reports: To obtain grant funds, grantees will be required to submit an SF 270, Request for Advance or Reimbursement.

**Audits:**

Will be conducted in accordance with Federal audit provisions.

**Records:**

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

**Account Identification:**

95-1650-0-1-808.

**Obligations:**

FY 07 est not available; FY 08 \$200,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

No less than \$10,000; 1-35 awards. Anticipated average amount: \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Omnibus Appropriations Act for Fiscal Year (FY) 2008; Grant Administrative Requirements; OMB Circulars A-122 and A-87 (as applicable to applicants); grant agreement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Julie Ruder or Edgardo Cortes, Help America Vote Mock Election Program, Election Assistance Commission, 1225 New York Avenue, N.W., Suite 1100, Washington, DC 20005, mockelections@eac.gov, Telephone: (202) 566-3100.

**Web Site Address:**

www.eac.gov.

**RELATED PROGRAMS:**

90.400, Help America Vote College Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Please see Request for Application.

## 90.500 INTERNATIONAL BROADCASTING INDEPENDENT GRANTEE ORGANIZATIONS

**FEDERAL AGENCY:**

BROADCASTING BOARD OF GOVERNORS

**AUTHORIZATION:**

Public Law 97-258 (31 U.S.C. Section 6300 et seq) and 22 U.S.C. Section 6204(a)(5)

**OBJECTIVES:**

To promote freedom and democracy and enhance understanding through multimedia communication of accurate, objective, and balanced news, information, and other programming about America and the world to audiences

overseas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding supports the operations of the grantee organizations. The annual appropriation process provides funds and restrictions on fund usage would be identified in the appropriation and authorization law.

**Applicant Eligibility:**

Grants are currently only available to three existing nonprofit organizations, Radio Free Europe/Radio Liberty, Radio Free Asia, and Middle East Broadcasting Networks as identified in authorizing or appropriations language. Grants are not available to State or local governments or the general public.

**Beneficiary Eligibility:**

Direct beneficiaries of these grants are three nonprofit entities based and incorporated in the United States. The grants allow these three United States-based entities to provide an objective and balanced alternative source of news, opinion, and information related to the U.S. and U.S. policy to overseas populations. Secondary beneficiaries of these grants are overseas listeners who benefit from an alternative news source that provides objective information.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The grantees submit resource requirements to the BBG for inclusion in the development of the BBG budget estimates. The BBG consolidates this data into the BBG budget submission to OMB and Congress. Upon Congressional approval of the current year appropriation, the grantees submit an annual financial plan described in Reports section.

**Award Procedure:**

At the beginning of the fiscal year, the BBG and the grantee sign an annual grant agreement which thereby grants funds for the planning and operating expenses related to international broadcasting for each grantee. BBG and the grantees also sign grant amendments prepared throughout the fiscal year.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

The three organizations currently receiving grants may continue to receive funding through the annual appropriation process for each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Funding is available to grantees in monthly payments based on an approved financial plan and subject to the receipt by BBG of a payment request.

**Reports:**

Each grantee must prepare an annual financial plan to be approved by the BBG. Grantees are required to submit OMB Standard Forms 269 and 272 by the 20th day of each month except for the final month of the fiscal year, which shall be the 30th day of the month. Grantees must also submit program accomplishments providing quantitative and qualitative measures of success. Examples of such measures include, but are not limited to numbers of listeners/viewers, languages served, hours of broadcasting, etc.

**Audits:**

The Grantees are required to undergo an annual audit. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year.

**Records:**

All reports described above and business documents such as bid solicitations, evidence of shipment for commodities procured in the United States and procurement and service contracts, shall be maintained for a period of 3 years from the date of the initial submission in a manner that will permit verification of the grantee's compliance with its representations, warranties, and obligations contained in this agreement. If any litigation, claim or audit is started before the expiration of the 3-year period, the records shall be retained until all open matters have been resolved.

**Account Identification:**

95-0206-0-1-154; 95-0204-0-1-154.

**Obligations:**

FY 07 \$200,228,000; FY 08 est \$207,552,000; and FY 09 est \$232,785,000.

**Range and Average of Financial Assistance:**

Range: FY 07 \$31,537 to \$93,190. Average: \$66,743. Range: FY 08 \$34,167 to 93,451. Average: \$69,184.

**PROGRAM ACCOMPLISHMENTS:**

Each of the three grantee organizations serves a unique geographic region. Their accomplishments in each region are described below: Radio Free Europe/Radio



Liberty (RFE/RL): As of December 2007, RFE/RL broadcasts in 28 languages to Central, Eastern, and Southeastern Europe; Russia; the Caucasus; Central Asia; Iraq; Iran; and Afghanistan. Eighteen of RFE/RL's broadcast languages almost two-thirds of the total are directed to countries or regions where the majority populations are Muslim. Each week, RFE/RL broadcasts more than 1,000 hours of radio programming and four hours of television from its operations center in Prague and from its bureaus. During fiscal year 2007, RFE/RL's 19 Internet websites reached a monthly average of over 1.3 million unique visitors, logged nearly 1.7 million requests to listen to radio content online, and garnered an average of 20 million page views each month reflecting increases of 13 percent, 18 percent, and 21 percent respectively over the previous year. RFE/RL's proximity to its broadcast regions facilitates production of relevant, locally-oriented programming in a cost-efficient manner. As of December 2007, RFE/RL programs were available on 261 local AM, FM, UKV, and TV affiliates across its broadcast region. RFE/RL is increasing delivery of its information products on television, the Internet, and other emerging media in order to attract new audiences and to reach closed and semi-closed societies. Radio Free Asia (RFA) broadcasts in nine languages and four dialects to China (including Tibet and the Xinjiang Region of Western China), Burma, Cambodia, Laos, North Korea, and Vietnam, providing unbiased news to Asian countries that do not tolerate a free press, and filling the news gap created by State-controlled media. Through its network of reporters across Asia and its eight bureaus/offices, RFA frequently leads the world in breaking news and continues to cover stories not reported by other media. Middle East Broadcasting Network (MBN) is a multimedia broadcasting organization that currently operates three 24/7 Arabic-language news and information television channels Alhurra, Alhurra-Iraq, and Alhurra Europe - as well as Radio Sawa, which broadcasts 24/7 on seven programming streams in the Middle East. MBN broadcasts from its headquarters in Springfield, Virginia, with a bureau in Baghdad, production capability in Dubai and Beirut, and correspondents in more than 25 countries in the Middle East and around the world. MBN reaches an estimated 35 million people each week and provides the United States a direct and undistorted line of communication with the Arabic-speaking population of the Middle East. In addition, news updates are broadcast twice an hour to provide regular news coverage 18 hours of the day. Alhurra-Iraq carries some programs aired on the regional Alhurrachannel, but concentrates on targeted news and current affairs programs for Iraqi viewers as they move into a new era and rebuild their country. Alhurra Europe provides the most popular news and information programs of Alhurra and Alhurra-Iraq. Radio Sawa broadcasts reliable and objective news via newscasts at 15 and 45 minutes past each hour, totaling over 325 live, updated newscasts per week on each of its seven broadcasting streams targeted to the sub-regions of the Middle East. Daily 30-minute news magazines provide listeners with in-depth reporting and news analysis. Radio Sawa can be heard throughout the Middle East through FM and medium wave (AM) transmission on seven streams including: Iraq (FM and AM); Jordan and the West Bank (FM); the Gulf (FM and AM); Egypt and the Levant (AM); Morocco (FM); Sudan and Yemen (FM and AM); and Lebanon and Syria (FM). Listeners can also hear Radio Sawa live on the Internet by going to its website and clicking on any of the streams.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Broadcasting Board of Governors, 330 Independence Ave S.W., Suite 3360,  
Washington DC 20237.

**Web Site Address:**

[www.bbg.gov](http://www.bbg.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Radio Free Europe/Radio Liberty, Radio Free Asia, and Middle East Broadcasting Networks are the only projects that have received grant funding. All three organizations conduct broadcasting operations in targeted geographic regions.

**CRITERIA FOR SELECTING PROPOSALS:**

The BBG does not solicit or evaluate proposals from the public.

# UNITED STATES INSTITUTE OF PEACE

## 91.001 UNSOLICITED GRANT PROGRAM

### FEDERAL AGENCY:

UNITED STATES INSTITUTE OF PEACE

### AUTHORIZATION:

United States Institute of Peace Act; Department of Defense Authorization Act of 1985, Title XVII, Public Law 98-525, 98 Stat. 2492, 2649, 22 U.S.C. 4601, Section 1701.

### OBJECTIVES:

The Institute supports research, education, training and dialogue programs in the United States and abroad on international peace and conflict resolution.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funding is available for any project that falls within the Institute's broad mandate of international conflict resolution. Unsolicited grants are offered across a broad range of relevant disciplines, skills, and approaches. Topic areas of interest to the Institute include, but are not restricted to, the origins of conflict, the role played by religious, ethnic, economic, political, social, and environmental factors in generating or accelerating conflict within, between, or among states; international conflict management; diplomacy; negotiation theory; Track Two (unofficial) diplomacy; methods of third-party dispute settlement; international law; international organizations and collective security; deterrence and balance of power; arms control; psychological theories about international conflict; the role of nonviolence and nonviolent sanctions; moral and ethical thought about conflict and conflict management; the role of peacekeeping, humanitarian intervention, and postconflict peace building; and theories about relationships among political institutions, human rights, and conflict. Priority is accorded to projects that have practical applications and that may be useful for policymakers.

### Applicant Eligibility:

The Institute may provide grant support to nonprofit organizations, public institutions, and individuals both U.S. and foreign including the following: civil society organizations; institutions of secondary, postsecondary, and community education; public and private education, training, or research institutions; libraries; and public departments and agencies (including U.S. state and territorial departments of education and commerce). Government officials, whether U.S. or foreign, are not eligible to receive Institute funds. Other U.S. government employees should contact the Grant Program staff prior to submission of an application to determine their eligibility.

### Beneficiary Eligibility:

Nonprofit organizations, official public institutions, and individuals. Grantees may be U.S. citizens, nonprofit organizations and official public institutions, or foreign nationals and foreign nonprofit institutions.

### Credentials/Documentation:

Resume/curriculum vitae.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

All applicants must submit their project on an official application form (last revised February 2004, with accompanying documentation as described therein).

### Award Procedure:

Most grant proposals are vetted through a rigorous, multi-stage process of review, which may include consideration by independent experts and professional staff at the Institute. Proposals are grouped by theme or regional focus and sent to relevant external experts for their evaluation. The final authority for decisions about grants rests with the Board of Directors. Outside review of an application may also be sought as part of the review process.

### Deadlines:

The Unsolicited application deadline is October 1 (or the next business day if the date falls on a weekend or a U.S. holiday). This is a receipt deadline not postmark deadline.

### Range of Approval/Disapproval Time:

Approximately 6 months.

### Appeals:

None.

### Renewals:

Grantee may submit an application for renewed funding after all requirements on the previous grant are fulfilled. Renewed funding request will be submitted to the Board of Directors for review. Grantees may request an extension of an ongoing project by submitting a letter to the Director of the Grant Program.

### Formula and Matching Requirements:

This program has no statutory requirements.

### Length and Time Phasing of Assistance:

Grants are typically one year in duration, however, short and long-undertakings are also appropriate. Funds are released according to the schedule negotiated between USIP and the grantee. All funds must be spent or obligated within the established grant period.

### Reports:

Interim performance reports - narrative and financial - are submitted according to the schedule negotiated between USIP and the grantee. Final reports are due 90 days after the end of the grant period.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Financial records, supporting documentation, statistical records, and all other records pertinent to the grant shall be retained by the grantee for 3 years following the submission of the final report of project expenditures.

### Account Identification:

95-1300-0-1-153.

### Obligations:

FY 07 \$2,000,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

The average award in the Unsolicited Grant Program is \$38,000. The actual amount of any grant is based on the proposed budget and subsequent negotiations with successful applicants.

### PROGRAM ACCOMPLISHMENTS:

The Unsolicited Grant Program has made more than 1150 awards. Grantees have produced more than 280 books, 360 articles, and 118 unpublished monographs and manuscripts. In addition, grantees have completed two simulations; 40 sets of curriculum material; one directory entitled Guide to Peace Research in Western Europe; and one conference report on Peace and Security in the Asia Pacific Region.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Federal Register No. 3155-01.

### Regional or Local Office:

Unsolicited Grant Program, United States Institute of Peace, 1200 17th Street NW., Suite 200, Washington, DC 20036-3006. Telephone: (202) 429-3842. E-mail: grants@usip.org.

### Headquarters Office:

United States Institute of Peace, 1200 17th Street NW., Suite 200, Washington, DC 20036-3006.

### Web Site Address:

<http://www.usip.org>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

1. A grant to fund research on armed non-state actors, attempts to disarm or demilitarize such actors, and the sequencing of such attempts in relation to political negotiations. Drawing upon lessons from cases in Southwest Africa and Northern Ireland and from the direct experience of project team members in those cases, the study will focus particular attention on the evolving experience with Hizballah in Lebanon.
2. A summer workshop, to promote cooperative security in South Asia through dialogue. It will focus on traditional security issues and will bring together young scholars and analysts from South Asia for a candid, sustained dialogue on sources of insecurity in the region.
3. A project in the Warri region of Nigeria's Niger Delta to address the need for reconciliation following violence among Ijaw, Itsekiri and Urhobo ethnic groups.
4. A project to promote reconciliation in Lebanon through the collection and discussion of documents and testimonies on the Lebanese civil war.

### CRITERIA FOR SELECTING PROPOSALS:

In evaluating grant applications, central concerns will include: 1) the significance of the project to the Institute's mandate and the subject areas of special interest identified by the Institute; 2) evidence that the project will not simply duplicate existing knowledge or programs; 3) the likelihood that the project will make a significant contribution to the field in scholarship and knowledge; 4) the usefulness of the proposed product in fulfilling the Institute's mandate. The Institute is particularly interested in proposals that envision a specific product of enduring value.

## 91.002 SOLICITED GRANT PROGRAM

### FEDERAL AGENCY:

UNITED STATES INSTITUTE OF PEACE

### AUTHORIZATION:

United States Institute of Peace Act; Department of Defense Authorization Act of 1985, Title XVII, Public Law 98-525, 98 Stat. 2492, 2649, 22 U.S.C. 4601, Section 1701.

### OBJECTIVES:

To provide support for education and training, research, and public information

on international peace and conflict resolution and on themes and topics identified by the institute.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Starting in October 2006, the Grant program launches its new Solicited Grant Initiative with the following elements: Funding for conflict prevention, conflict management, and post-conflict peacebuilding in Colombia, Iraq, Nigeria, Pakistan, and Sudan. Funding for projects relating to Iran. Priority will be given to initiatives focusing on Iranian relations with the West and with its neighbors in the region, and on Iran's role in regional and international affairs.

**Applicant Eligibility:**

For, Colombia, Iraq, Nigeria, Pakistan and Sudan, preference will be given to applications submitted by non-profit organizations based in those countries or to groups that partner with them. For Iran and the countries above, applications may be submitted by nonprofit organizations, public institutions, and individuals. Grantees may be U.S. citizens and U.S. nonprofit or public institution or foreign nationals and foreign nonprofit institutions.

**Beneficiary Eligibility:**

Nonprofit organizations, public institutions, and individuals. Grantees may be U.S. citizens, nonprofit organizations and public institutions, or foreign nationals and foreign nonprofit institutions.

**Credentials/Documentation:**

Resume/curriculum vitae.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All applicants must submit their project on an official application form (last revised February 2004), with accompanying documentation as described therein.

**Award Procedure:**

Proposals submitted to the Solicited Grant Initiative will first be discussed with, and reviewed by, Grant program staff. In the event of a successful review, applications will be forwarded for further review to experts outside of USIP. During the review process, staff may contact applicants to request further information. Final approval of funded projects will be contingent upon further review and approval by USIP's executive officers and Board of Directors. For previous grantees, evaluations of their earlier grants will be conducted before final decisions will be made.

**Deadlines:**

The countries listed under no. 70 are expected to be the focus of this solicited initiative for at least one year from October 1, 2006. Applicants may apply at any time throughout the year. Awards will be announced throughout the year.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

None.

**Renewals:**

Grantees may submit an application for renewed funding after all requirements on the previous grant are fulfilled. Renewed funding requests will be submitted to the Board of Directors for review. Grantees may request an extension of an ongoing project by submitting a letter to the Director of the Grant Program.

**Formula and Matching Requirements:**

This program has no statutory requirements.

**Length and Time Phasing of Assistance:**

Grants are typically one year in duration, however, short and long-term undertakings are also appropriate. Funds are released according to the schedule negotiated between USIP and the grantee. All funds must be spent or obligated within the established grant period.

**Reports:**

Interim financial and performance reports are submitted according to the schedule negotiated between USIP and the grantee. Final financial and performance reports are due 90 days after the end of the grant period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation, statistical records, and all other records pertinent to the grant shall be retained by the grantee for 3 years following the submission of the final report of project expenditures.

**Account Identification:**

95-1300-0-1-153.

**Obligations:**

FY 07 \$2,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The average award in the Solicited Grant Program is \$40,000, although

somewhat larger grants are also awarded. The actual amount of any grant is based on the proposed budget and subsequent negotiations with successful applicants.

**PROGRAM ACCOMPLISHMENTS:**

The Solicited Grant Program has made more than 424 awards. Grantees have produced more than 79 books, 174 articles and 114 unpublished monographs and manuscripts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register No. 3155-01.

**Regional or Local Office:**

Solicited Grant Program, United States Institute of Peace, 1200 17th Street, NW., Suite 200, Washington, DC 20036-3006. Telephone: (202) 429-3842. E-mail: grants@usip.org.

**Headquarters Office:**

Office of Public Affairs, United States Institute of Peace, 1200 17th Street, NW., Suite 200, Washington, DC 20036-3006.

**Web Site Address:**

<http://www.usip.org>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

1. A grant to gain a comprehensive understanding of the growing tensions between the majority Muslim and minority Christian communities in Mangochi District in southern Malawi.
2. A grant to examine and evaluate the outreach and legacy programs of the Special Court for Sierra Leone.
3. A project to build conflict resolution capacity at the grassroots level and to create awareness among people of their rights and responsibilities under the new political order in Sudan.
4. A project to promote understanding of the new constitution in Liberia. The project will produce two publications: an annotated compilation of the records of the proceedings that gave rise to the Liberian constitution and an analytical commentary on the constitution's meaning for use by lawyers, judges, law professors and government officials.

**CRITERIA FOR SELECTING PROPOSALS:**

In evaluating grant applications, central concerns will include: 1) the significance of the project to the subject areas of special interest of the solicitation; 2) evidence that the project will not simply duplicate existing knowledge or programs; 3) the likelihood that the project will make a significant contribution to the field in scholarship and knowledge; 4) the usefulness of the proposed product in fulfilling the Institute's mandate. The Institute is particularly interested in proposals that envision a specific product of enduring value.



# DEPARTMENT OF HEALTH AND HUMAN SERVICES

## 93.001 CIVIL RIGHTS AND PRIVACY RULE COMPLIANCE ACTIVITIES

### FEDERAL AGENCY:

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Civil Rights Act of 1964, Title VI, as amended; Rehabilitation Act of 1973, Sections 504 and 508, as amended; Education Amendments of 1972, Title IX, as amended; Age Discrimination Act of 1975, as amended; Education Amendments of 1972, Title IX, as amended; Nondiscrimination Provisions of the Public Health Service Act, Titles VI, VII, VIII, and XVI, as amended; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended; Drug Abuse Offense and Treatment Act of 1972, Section 407; Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Section 321, as amended; Low-Income Home Energy Assistance Act of 1981, 42 U.S.C. 8625; Community Services Block Grant Act, 42 U.S.C. 398; Family Violence Prevention and Services Act, as amended, Section 307 (a)(1) and (2), Public Law 98-457; Americans with Disabilities Act of 1990, Title II, Subtitle A, Public Law 101-336; Small Business Job Protection Act of 1996, Section 1808, Public Law 104-188; Health Insurance Portability and Accountability Act of 1996 (HIPAA), 42 U.S.C. 1320d-2, 45 CFR Part 160 and Subparts A and E of Part 164--Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule"); Public Health Service Act, Title IX, 42 U.S.C. 299b-22, as amended by the Patient Safety and Quality Improvement Act of 2005, Public Law 109-41.

### OBJECTIVES:

The Office for Civil Rights (OCR) in the Department of Health and Human Services (HHS) promotes and ensures that people have equal access to and the opportunity to participate in and receive services from all HHS-funded programs without facing unlawful discrimination, and that the privacy of their health information is protected. OCR protects the civil rights of all individuals who are subject to discrimination in health and human services programs and protect the health information privacy rights of consumers through investigations, voluntary dispute resolution, enforcement, technical assistance, policy development and information services.

### TYPES OF ASSISTANCE:

Investigation of Complaints.

### USES AND USE RESTRICTIONS:

The Office for Civil Rights (OCR) in the Department of Health and Human Services (HHS) is responsible for promoting and ensuring that people have equal access to and the opportunity to participate in and receive services from all HHS-funded programs without facing unlawful discrimination, and that privacy of their health information is protected. These HHS funded programs are provided through state agencies, nursing homes, skilled nursing facilities, medical laboratories, hospitals, day care centers, social service agencies and other providers. Any person who believes that he or she has been discriminated against in the provision of these services because of race, color, national origin, disability, age, sex or religion, may file a complaint with OCR. Individuals may also file complaints of sex discrimination in health training programs receiving Federal financial assistance, and complaints of denials of health care for reasons other than the need and availability of services, by recipients of Hill-Burton grants and loans. OCR also has enforcement responsibilities under the Americans with Disabilities Act (ADA) of 1990, and Section 1808 of the Small Business Job Protection Act (SBJPA) of 1996. Regarding the ADA, any person who believes that he or she has been denied benefits in health and human services programs and activities conducted by state or local government entities, because of his/her disability, may file a complaint with OCR. Regarding Section 1808 of the SBJPA, any individual may file a complaint with OCR alleging that an adoption or foster care organization funded by HHS makes placement decisions in violation of Section 1808 of the SBJPA and Title VI of the Civil Rights Act of 1964. The Office will investigate complaints and take steps to ensure compliance with applicable civil rights laws. OCR also enforces the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule as well as the Patient Safety and Quality Improvement Act (PSQIA) of 2005. OCR's activities under the Privacy Rule include: investigating complaints and conducting public education, technical assistance and other outreach activities to health care providers, health care clearinghouses and health plans, to ensure that they understand their responsibilities under the Rule; to other entities that may be impacted by the Rule, including Federal, State and local government agencies, researchers, and business associates of covered entities; and to consumers to inform them of their rights under the Privacy Rule. Anyone who believes that a person, agency or organization covered under the HIPAA Privacy Rule ("a covered entity") has violated the Privacy Rule may file a complaint with OCR. OCR's activities under PSQIA include: administering an enforcement program regarding the confidentiality protections, including conducting investigations, taking compliance actions, and making penalty determinations;

developing, for issuance by the Secretary, regulations regarding such compliance and enforcement program; Imposing Civil Monetary Penalties (CMPs) for confidentiality violations; Interpreting standards for enforcement and for guidance to Patient Safety Organizations (PSOs) and providers; and Providing technical assistance and public information in the administration of the enforcement program.

### Applicant Eligibility:

Anyone who believes he or she has been discriminated against in the manner outlined above or seeks information concerning civil rights, and recipients of Federal financial assistance who desire technical assistance and information for the purpose of assuring their compliance with nondiscrimination laws. Regarding the HIPAA Privacy Rule, anyone who believes that the Privacy Rule has been violated in the manner outlined above, or who seeks information about the Rule; consumers that need to know their rights under the Rule; and entities that need technical assistance and information for the purpose of assuring compliance with the Privacy Rule.

### Beneficiary Eligibility:

Individuals subject to discrimination and recipients who require technical assistance and information. Regarding the HIPAA Privacy Rule, individuals subject to violation of their health information privacy, covered entities, and others needing or seeking technical assistance and information concerning the Rule.

### Credentials/Documentation:

None.

### Preapplication Coordination:

Contact the Director, Office for Civil Rights. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Complaints of discrimination and alleged violations of the HIPAA Privacy Rule may be filed, and technical assistance information and public education requested, at the Headquarters and Regional Office locations of the Office for Civil Rights.

### Award Procedure:

None.

### Deadlines:

A complaint must be filed not later than 180 days from the last act of the alleged discrimination, unless the time for filing is waived for good cause. Complaints under the Privacy Rule must be filed within 180 days of the date when the complainant knew, or should have known, that the act or omission complained of occurred, unless the time limit is waived for good cause.

### Range of Approval/Disapproval Time:

None.

### Appeals:

Individuals can appeal a civil rights discrimination complaint determination by submitting, in writing, a request for reconsideration to the Director, Office for Civil Rights. OCR imposes civil money penalties (CMPs) on a covered entity found to be in violation of the HIPAA Privacy Rule. If CMPs are imposed by OCR, the covered entity may request a hearing in which an HHS administrative law judge (ALJ) decides if the CMPs are supported by the evidence in the case. OCR is required to present the evidence to support the imposition of CMPs to the ALJ. The covered entity may also then appeal the ALJ's decision to the HHS Departmental Appeals Board (DAB) and ultimately to the U.S. Courts of Appeal.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

75-0135-0-1-751.

### Obligations:

(Salaries and Expenses) FY 07 \$34,909,000; FY 08 est \$37,062,000; and FY 09 est not available.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

OCR enforces nondiscrimination and privacy requirements by processing and resolving complaints, conducting compliance reviews, and carrying out voluntary compliance, public education, outreach and technical assistance activities. OCR continues to achieve significant accomplishments in all of these areas. In Fiscal Year (FY) 2007: 11,290 individual complaints were filed with

OCR (3,371 civil rights discrimination cases and 7,919 Privacy Rule cases); OCR completed action on 10,053 complaint cases (3,131 discrimination and 6,922 Privacy Rule); OCR completed 2,352 compliance reviews (including 2,306 pre-grant and 46 post-grant reviews) on its traditional civil rights authorities; and OCR provided information and training to 75,632 individuals. OCR projects that approximately 11,700 individual complaints will be filed in FY 2008 (3,300 civil rights discrimination cases and 8,400 Privacy Rule cases); OCR is projected to complete action on approximately 10,700 complaint cases (3,500 discrimination and 7,200 Privacy Rule). OCR is also on target to complete 1,800 compliance reviews (including 1,750 pre-grant and 50 post-grant reviews) in FY 2008 and to provide information and training to more than 75,000 individuals. Highlights of OCR's major accomplishments in FY 2007 and FY 2008 in some of our priority areas are as follows. LIMITED ENGLISH PROFICIENCY -- OCR continues to work with health care and social service providers, state and local agencies, and other HHS components to ensure that limited English proficient (LEP) persons are not discriminated against on the basis of national origin in HHS-funded programs (e.g., emergency room care, welfare to work, child protective services, senior centers, and in-home services). OCR continued its technical assistance, public education and outreach activities in connection with the revised Limited English Proficiency guidance issued in August 2003. In FY 2007, in collaboration with the American Hospital Association (AHA), OCR established partnerships with 13 state-wide hospital associations to provide technical assistance tailored to the unique needs and demographics of the AHA member hospitals to assist them in meeting their legal obligations to engage in effective communication, consistent with the HIPAA Privacy Rule, with limited English proficient and deaf or hard of hearing patients and their companions, thereby promoting patient safety and quality health care. MULTI-ETHNIC PLACEMENT ACT (MEPA)/SECTION 1808 - FOSTER CARE AND ADOPTION SERVICES -- OCR continues to strengthen families and create better conditions for children to live in permanent, safe environments through its work to remedy race, color, and national origin discrimination in foster care and adoption. For example, in FY 2007, OCR successfully negotiated a comprehensive compliance agreement with the South Carolina Department of Social Services, which ensures that the 53 state offices serving over 5,000 children in foster care and all prospective adoptive and foster parents will not delay or deny the placement of children into foster or adoptive homes, or deny parents the opportunity to foster or adopt children, due to race, color or national origin. NEW FREEDOM INITIATIVE -- OCR is involved in a variety of efforts to increase the independence and quality of life of persons with disabilities, including those with long-term needs. Most notably, OCR has played a critical role in implementation of the Administration's New Freedom Initiative that was announced in February 2001, and implemented through Executive Order (E.O.) 13217 issued on June 19, 2001. The E.O. calls for swift implementation of the Olmstead Supreme Court decision and full enforcement of Title II of the Americans with Disabilities Act through investigations, complaint resolution, and the use of alternative dispute resolution. OCR maintains a New Freedom Initiative web page, on which it published "Delivering on the Promise:

OCR's Compliance Activities Promote Community Integration." This report provides accounts of satisfactorily resolved complaints affecting over 250 individuals. In FY 2007, OCR entered into a resolution agreement with the Massachusetts Department of Transitional Assistance that achieved statewide reform by requiring all 28 offices serving more than 400,000 individuals across the state to implement effective screening and assessment programs that will allow TANF beneficiaries with learning disabilities to acquire the education and support services needed to find and retain jobs. Through its website, OCR will continue to expand the information available to consumers and providers about the civil rights of persons with disabilities in order to further facilitate the community integration of individuals with disabilities. EMERGENCY PREPAREDNESS PLANNING AND RESPONSE -- OCR has been actively involved in many government-wide activities related to emergency planning, response, and recovery. In FY 2007, OCR provided technical assistance to ten states examining privacy issues in pandemic flu planning and response. In a workshop convened in May 2007, by the Association of State and Territorial Health Officials, OCR guided state public health agency and privacy officials through important decision points, using the OCR decision tool for emergency preparedness. HIPAA PRIVACY RULE -- A major responsibility given to OCR in December 2000 is protecting the privacy of health information under the Privacy Rule, which was enacted under the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The Rule protects the privacy of individually identifiable health information held by health plans, covered health care providers, and health care clearinghouses. OCR promotes compliance with the Privacy Rule by investigating and resolving complaints, developing policy guidance and public education materials, and providing technical assistance directly to covered entities and members of the public. To promote the well-being of individuals at risk of violence and mental illness, OCR is carrying out Presidential mandates to improve understanding of appropriate information-sharing under the HIPAA Privacy Rule and to share best practices with states about mental health services pursuant to the June 13, 2007 Report to the

President on Issues Raised by the Virginia Tech Tragedy. OCR participated with the Departments of Education and Justice on panels about understanding federal privacy rules at the Department of Justice's annual national conference on Project Safe Neighborhoods. Pursuant to the President's directive, in FY 2008 OCR has developed, in coordination with the Department of Education, guidance to clarify the intersection of the HIPAA Privacy Rule and the Family Educational Rights and Privacy Act, as well as the circumstances under which information may be shared under both laws in emergency circumstances.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Title VI of the Civil Rights Act of 1964--the implementing regulation (45 CFR 80), "Your Rights Under Title VI of the Civil Rights Act of 1964 fact sheet, "Know Your Rights" brochure regarding national origin discrimination and limited English proficiency, a video in VHS and DVD formats entitled "Title VI Limited English Proficiency"; Section 504 of the Rehabilitation Act of 1973--the implementing regulation for HHS funded programs and activities (45 CFR 84), and fact sheets "Your Rights Under Section 504," "Your Rights as a Person with HIV Infection, AIDS, or Related Conditions," "Your Rights Under Section 504 and the Americans with Disabilities Act," and the HHS Section 504 federally conducted regulation (45 CFR 85); Age Discrimination Act of 1975--implementing regulations, HHS (45 CFR 91) and government-wide (45 CFR 90), and fact sheet "Your Rights Under the Age Discrimination Act"; Community Service Assurance of the Hill-Burton regulation (42 CFR 124) and fact sheet "Community Service Assurance Under the Hill-Burton Act"; Sex Discrimination in Health-Related Training Programs regulation (45 CFR 83); fact sheets on: Section 1808/Multiethnic Placement Act (MEPA); the Americans with Disabilities Act (ADA); "How to File a Discrimination Complaint with OCR"; "Know Your Civil Rights"; a video presentation: OCR guidance on Temporary Assistance for Needy Families (TANF) and Disability; and various other civil rights publications. HIPAA regulations and standards, including the Privacy Rule, 45 CFR Part 160 and Subparts A and E of Part 164; "Your Health Information Privacy Rights"; "Privacy and Your Health Information"; fact sheets and guidance on specific aspects of the Privacy Rule, and additional compliance tools such as "Am I a Covered Entity" and Frequently Asked Questions (FAQs). A complete list of Privacy Rule publications is available. There is also a brochure titled "Protecting Your Civil Rights in Health and Social Services and Your Health Information Privacy Rights," which provides general information about the Office for Civil Rights and its services. All literature is available at no charge; however, because of budgetary constraints and availability of stock, quantities may be limited. Most publications can be downloaded from OCR's website and are available in languages other than English. All publications are available in alternative formats for individuals with disabilities.

#### **Regional or Local Office:**

Regional Manager, Office for Civil Rights, HHS Regional Offices. (See Appendix IV of the Catalog for listing.)

#### **Headquarters Office:**

Director, Office for Civil Rights, Office of the Secretary, Department of Health and Human Services, Hubert H. Humphrey Building - Mail Stop Room 509-F6, 200 Independence Ave. S.W., Washington, DC 20201; Telephone: (202) 619-0403. Toll free numbers: 1(800) 368-1019 (voice); 1(800) 537-7697 (TDD). Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule information toll free number: 1(866) 627-7748.

#### **Web Site Address:**

<http://www.hhs.gov/ocr>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

None.

### **93.003 PUBLIC HEALTH AND SOCIAL SERVICES EMERGENCY FUND**

#### **FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Section 319 (a).

#### **OBJECTIVES:**

To provide supplemental funding for public health and social service emergencies.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Funds are available for public health and social service emergencies. Funds are initially appropriated to the Office of the Secretary, but virtually all funding is allocated to HHS agencies for award and use in disaster areas.

#### **Applicant Eligibility:**

Federal agencies, State and local governments, and other service providers in areas impacted.

**Beneficiary Eligibility:**

Individuals, families, Federal, State, and local government agencies.

**Credentials/Documentation:**

Guidelines and requirements to be determined by agencies administering grant programs and services.

**Preapplication Coordination:**

Applicant should consult the office or official designated as the contact for additional information on the application and award process. An environmental impact statement and an environmental impact assessment are required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information concerning the required process to be followed in applying for assistance if the State has selected the program for review.

**Application Procedure:**

Applicant should consult the office or official designated as the contact for additional information on the application procedure.

**Award Procedure:**

Awards will be granted by agency or office administering the funds.

**Deadlines:**

To be determined by agency or office administering the funds.

**Range of Approval/Disapproval Time:**

To be determined by agency or office administering the funds.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula and matching requirements.

**Length and Time Phasing of Assistance:**

To be determined by agency or office administering the funds.

**Reports:**

Reporting requirements have not been established at this time. Requirements will be transmitted to recipients.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Grants) FY 07 \$0; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$409,230 to \$0; \$0.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not available at this time. Guidelines are expected to be transmitted to recipients by agency or office administering the funds.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

CMHS Program Contact: Terri H. Spear, Emergency Coordinator, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-2244. Grants Management Contact: Gwendolyn Simpson, Grants Management Team leader for CMHS: Telephone: (240) 276-1408.

**Web Site Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 2001, funds were used for: Community Health Centers affected in the New York/New Jersey area and the increased demands for primary medical care services and mental health services for low income and homeless populations as a result of the aftermath of the terrorist attacks on the World Trade Center on September 11, 2001; grants to organizations in disaster-affected areas for the healthcare-related cost and lost revenue incurred; and grants to States to improve hospital capacity to respond to bioterrorism. In FY 2007 and FY 2008, funds will be used to continue to prepare our nation's public health system and hospitals for future emergencies, for a emergency reserve of medical supplies for use in a variety of possible mass casualty events, and to accelerate research into

new treatments and diagnostic tools to cope with possible bioterrorism incident.

**CRITERIA FOR SELECTING PROPOSALS:**

To be determined by agency or office administering the funds.

**93.004 COOPERATIVE AGREEMENTS TO IMPROVE THE HEALTH STATUS OF MINORITY POPULATIONS****FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e) (1), 42 U.S.C. 300u et seq.

**OBJECTIVES:**

To provide support for activities which have the potential to improve the health status and/or quality of life of racial/ethnic minorities, with the objective of reducing the excessive burden and death borne by minority and disadvantaged populations in the United States.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to be used for support of projects or activities consistent with the mission of the Office of Minority Health. Funds are not to be used for the provision of health care services, construction, augmentation of on-going Office of Minority Health (OMH) supported demonstrations, or supplementation of on-going project activities.

**Applicant Eligibility:**

Public and private nonprofit entities may apply. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Members of the minority and disadvantaged groups: Blacks; Hispanics; American Indians; Alaska Natives; Asian/American Pacific Islanders; or subgroups of these.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission.

**Preapplication Coordination:**

This program does not require preapplication coordination. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application kits may be requested by calling 240-453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**



This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The cooperative agreements will have a project period not to exceed 5 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedure will be provided at the time the award is issued.

**Reports:**

Semi-annual or quarterly progress reports may be required with a final performance report due 90 days after the end of the project period. A Financial Status Report is due 90 days after the end of each budget period with a final Financial Status Report is due 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants-Cooperative Agreements) FY 07 \$7,842,317; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$614,000; \$186,000.

**PROGRAM ACCOMPLISHMENTS:**

n FY 2006 and FY 2007 (9) continuation awards will be supported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Cynthia H. Amis, Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, 1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444. Grants Management Contact: Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.OMHRC.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following are examples of activities funded under the cooperative agreements: 1) provide through the establishment of an American Indian Alaska Native Research Network a means by which American Indian and Alaskan Native researchers can network, collaborate and seek support; 2) to educate and increase provider sensitivity about cultural practices and their influence on patient compliance with medication and therapeutic treatment interventions; and 3) reduce the prenatal HIV transmission among African American women of child bearing age and their care providers through health promotion and education.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's goals and objectives with the Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications, experience and cultural competence of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.006 STATE AND TERRITORIAL AND TECHNICAL ASSISTANCE CAPACITY DEVELOPMENT MINORITY HIV/AIDS DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C. 300u et seq.; Public Law 93-641.

**OBJECTIVES:**

To demonstrate that the involvement of State and Territorial Offices of Minority Health in coordinating a statewide response to the HIV/AIDS crisis in minority communities can have a greater impact on the communities' understanding of the disease, and the coordination of prevention and treatment services for minority populations, than agencies and/or organizations working independently; and to stimulate and foster the development of effective and durable service delivery capacity for HIV prevention and treatment among organizations closely linked with the minority populations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used to support minority-targeted health education and prevention strategies which will help to eliminate or reduce the risk for acquiring or transmitting HIV/AIDS and increase access to services and treatment; and to provide technical assistance and capacity development to community based minority-serving organizations to enhance their delivery capacity for HIV/AIDS prevention and treatment. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or to supplant ongoing project activities.

**Applicant Eligibility:**

State/Territorial Offices of Minority Health or, for those states and territories that do not have established Office of Minority Health, a state or territorial minority health entity located within a State or Territorial Department of Health which functions in the capacity of an Office of Minority Health; and community based, minority-serving organizations.

**Beneficiary Eligibility:**

Members of the minority groups: American Indians or Alaska Natives; Asians; Blacks or African Americans; Hispanics or Latinos; Native Hawaiians or other Pacific Islanders; or subgroups of these populations.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission, where applicable. Documentation to verify official status as a State or Territorial Office of Minority Health signed by a State/territorial level authorizing official (e.g., Governor or designated official, Commissioner of Health or designee) or documentation to verify official status as a State or territorial minority health entity signed by the Commissioner of Health or designee in the Department of Health, as applicable.

**Preapplication Coordination:**

This program does not require preapplication coordination. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in the State for more information on the process the State requires to be filed with applying for assistance, if the State has selected the program for review. This program is also covered by the Public Health System reporting requirements.

**Application Procedure:**

Application kits may be requested by calling 240-453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm> . The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

Accepted applications will be reviewed by a panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The grants will have a project period not to exceed 3 years, with 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedure will be provided at the time the award is issued.

**Reports:**

Progress reports are required for each budget period and a final performance report due 90 days after the end of the project period. A Financial Status Report is due 90 days after the end of each budget period with a final Financial Status Report due 90 days after the end of the project period.

**Audits:**

In Accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 6,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$144,127 to \$1,200,000; \$430,649.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 17 continuation awards will be supported.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Cynthia H. Amis, Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-8444. Grants Management Contact: Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.omhrc.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following are examples of activities funded under this program: 1) identification of the needs of minority populations, facilitation of linkages between minority community based organizations to develop greater resource capacity, and coordinating federal resources through a needs assessment, mobilization of ethno-specific community coalitions, and minority linkage conferences; 2) using Geographic Information System mapping to explore the correlation between HIV/AIDS distribution and identified socioeconomic indicators, and employing epidemiological data to determine areas of highest need, profiling local and state minority community based organizations and making the information available on the Internet, and disseminating data and other HIV/AIDS related information via the Internet; and 3) conducting needs assessment, training workshops and seminar for minority community based organization staff and board members in diverse planning and management skills, and developing a pool of consultants with technical assistance and cultural/linguistic competence.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's goals and objectives with the Office of Minority Health's mission; 2) coherence and feasibility of methodology

and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications, experience and cultural competence of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.007 PUBLIC AWARENESS CAMPAIGNS ON EMBRYO ADOPTION****FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Law 107-116.

**OBJECTIVES:**

To fund public awareness campaigns on embryo adoption.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible applicants include public agencies, nonprofit organizations, and for-profit organizations. Eligibility to compete for this announcement is limited to particular applicant organizations. Only agencies and organizations, not individuals, are eligible to apply. One agency must be identified as the applicant organization and will have legal responsibility for the project. Additional agencies and organizations can be included as co-participants, subgrantees, subcontractors, or collaborators if they will assist in providing expertise and in helping to meet the needs of the recipients. Faith-based and community-based organizations meeting the eligibility requirements may apply, or they may be included as co-participants, subgrantees, subcontractors, or collaborators if they will assist in providing expertise and in helping to meet the needs of recipients. Eligibility is limited to organizations that can demonstrate previous experience with embryo adoption and are knowledgeable in all elements of the process of embryo adoption.

**Beneficiary Eligibility:**

Potential donors and/or recipients of frozen embryos.

**Credentials/Documentation:**

Proof of nonprofit status is required of nonprofit organizations and institutions.

**Preapplication Coordination:**

Letter of Intent requested for submission 30 days after publication of RFA in the Federal Register. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be prepared on the forms supplied (OPHS-1, Revised 6/2001) and in the manner prescribed in the application kits provided by the Office of Public Health and Science (OPHS). The application must be signed by an individual authorized to act for the applicant agency and to assume responsibility for the obligations imposed by the terms and conditions of the grant award. Each application will be evaluated individually against the following four criteria by an objective review panel appointed by the OPHS. Before the review panel convenes, each application will be screened for applicant organization eligibility, as well as to make sure the application contains all the essential elements. Applications received from ineligible organizations and applications received after the deadline will be withdrawn from further consideration. A panel of at least three reviewers will use the evaluation criteria listed below to determine the strengths and weaknesses of each application, provide comments and assign numerical scores. Applicants should address each criterion in the project application. The point values (summing up to 100) indicate the maximum numerical weight each criterion will be accorded in the review process.

**Award Procedure:**

The results of a competitive review are a primary factor in making funding decisions. In addition, Federal staff will conduct administrative reviews of the applications and, in light of the results of the competitive review, will recommend applications for funding to the Assistance Secretary for Health (ASH). The ASH reserves the option of discussing applications with other funding sources when this is in the best interest of the Federal government. The ASH may also solicit and consider comments from Public Health Service Regional Office staff and others within Department of Health and Human Services (DHHS) in making funding decisions. The ASH makes final decisions regarding the applications to be funded. The OPHS does not release information about individual applications during the review process. When final decisions have been made, successful applicants will be notified by letter of the outcome of the final funding decisions. The official document notifying an applicant that a project has been approved for funding is the Notice of Grant Award (NGA), which sets forth the amount of funds granted, the terms and conditions of the award, the effective date of the grant, the budget period for which initial support will be given, and the total project period for which support is contemplated. The ASH will notify an organization in writing when its application will not be funded. Every effort will be made to notify all unsuccessful applicants as soon as

possible after final decisions are made.

**Deadlines:**

Applications are due 60 days after publication of an RFA in the Federal Register.

**Range of Approval/Disapproval Time:**

From 1-2 months.

**Appeals:**

None.

**Renewals:**

Projects are approved for one year period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants do not exceed one year.

**Reports:**

Grantees must submit annual and final report. Expenditure reports are due 90 days after the end of the budget/project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Health and Human Services (HHS) and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts, and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 \$1,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$200,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52, 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Evelyn Kappeler, Office of Population Affairs, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville MD, 20852. Telephone: (240) 453-2828. Grants Management Contact: Office of Grants Management, Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville MD, 20852. Telephone: (240) 453-2888.

**Web Site Address:**

<http://www.osophs.dhhs.gov/ophs>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

1: Objectives and Need for Assistance (30 Points) Applicants must demonstrate a clear understanding of the legislative goals and demonstrate how their approach to the design of a public awareness campaign will contribute to achieve the legislative goals. Criterion 2: Approach (30 Points) In this section, applicants are expected to define goals and specific, measurable objectives for the: (A) Design of the public awareness campaign, (B) implementation, (C) evaluation, and (D) dissemination. 3: Organizational Profile (20 Points) Applicants need to demonstrate that they have the capacity to implement the proposed program. This criterion consists of three broad topics: (A) Management plan, (B) staff qualifications, and (C) organizational capacity and resources. 4: Budget and Budget Justification (20 Points) Applicants are expected to present a budget with reasonable project costs, appropriately allocated across component areas and sufficient to accomplish the objectives. Applicants are expected to allocate sufficient funds in the budget to provide for the project director to attend a two-day orientation meeting in the Washington, DC area.

## 93.008 MEDICAL RESERVE CORPS SMALL GRANT PROGRAM

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, 42 U.S.C. 241, Section 301.

**OBJECTIVES:**

To support the development of Medical Reserve Corps (MRC) units in communities throughout the United States to: (1) increase capacity at the community level to respond during emergencies which have medical consequences, and (2) improve public health in communities through volunteerism on an ongoing basis.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to be used for establishment of community-based, citizen volunteer Medical Reserve Corps. Funds may be used for organizing, volunteer recruitment, assessment of risks and vulnerabilities, strategy development, planning, training, drills/practice, supplies and equipment.

**Applicant Eligibility:**

Applicants may be an entity of the local government or a local nonprofit, non-governmental community-based organization. If a local Citizen Corps Council has a nonprofit status, the Citizen Corps Council can be the applicant. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. Costs will be determined in accordance with 45 CFR 74 and 92.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office of the Surgeon General does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling 240-453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Division for Policy and Program Development, Office on Women's Health and will take into consideration the recommendations and ratings of the review



panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators. .

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Project period is for 3 year.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grant projects will have a project period not to exceed 3 years, with 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedures will be provided at the time of the award.

**Reports:**

Progress reports are required annually for each budget period, and a final progress report is due 90 days following the end of the project period. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 "Audit of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt as noted in Circular No. A- 133. In addition, grants and cooperative agreements are subject to inspection and audits by HHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit finding(s).

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 07 \$8,350,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$10,000 to \$50,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement. A guide for local groups/organizations to help them in establishing a Medical Reserve Corps will be disseminated by the Office of the Surgeon General of the U.S. Public Health Service.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Office of the Surgeon General, USPHS, Room 18-66, 5600 Fishers Lane, Rockville, Maryland 20817. Telephone (301) 443-2528. Grants Management Contact: Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.medicalreservecorps.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) Implementation plan which describing linkages to existing community resources, the role the Medical Reserve Corps will most likely have, and the timeframe for planning and implementation; 2) Management plan describing the organization's capabilities; 3) Evaluation plan describing program goals and how those goals will be assessed; 4) Supporting documentation detailing how the Medical Reserve Corps is connected to a Citizen Corps Council; and 5) Background on the adequacy of demonstrated knowledge of emergency medical response/care systems and utilization of volunteers.

(CCF)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 1110 of the Social Security Act governing Social Services Research and Demonstration activities; the Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 2004, Public Law 107-116, Title II and the Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To provide grants to charitable organizations to emulate model social service programs and to encourage research on the best practices of social service organizations. This is accomplished through the goal of assisting faith-based and community organizations to increase their effectiveness, enhance their ability to provide social services, expand their organizations, diversify their funding sources, and create collaborations to better serve those most in need. This is accomplished by funding experienced intermediary organizations in well-defined geographic locations with a proven track record of providing technical assistance to smaller faith-based and community organizations in their communities, providing one-time \$50,000 grants to smaller faith-based and community organizations to build their capacity, and providing grants to strengthen broad-based collaborative community that are working to reduce gang involvement, youth violence, and child abuse and neglect and to foster positive youth development.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Intermediary organizations use the CCF funds to provide two services within their communities: 1) Training assistance to faith-based and community organizations; and 2) Financial support through sub-awards to some subset of the faith-based and community organizations in their communities. Technical assistance activities funded under CCF are to be conducted at no cost to interested faith-based and community organizations. Applicants must have demonstrated experience in the delivery of capacity-building assistance to smaller organizations in several of the following areas: strategic planning, financial management, board development, fund development, and outcome measurement. Technical assistance should be provided on a long-term, on-going basis to smaller organizations. The program goals are further accomplished through the issuance of sub-awards by the funded intermediary organizations to a diverse set of small faith-based and community organizations that seek to increase program and organizational effectiveness for a 12-month period. Sub-award recipients must adhere to the following: sub-award recipients must be chosen from fair and open competitive process; sub-award recipients must not be pre-selected; the awarding process must be fair and open competition and include outreach to both faith-based and community organizations; intermediary organizations must provide on-going technical assistance and capacity-building support to the organizations to which they issue sub-awards; and the criteria for selection must not include consideration of the religious nature of the program it offers. Priority for sub-awards is given to organizations that historically have not received grants from the Federal government. Intermediaries must not require sub-award applicants to provide matching funds even if the applicants offer matching funds in their applications. Intermediaries must not require sub-award applicants to have 501 (c) (3) status or to identify a sponsoring organization with 501 (c) (3) status; Organizations that partner with an intermediary to deliver technical assistance or provide a cost-sharing fund for the proposed project are not to be eligible for sub-awards, unless approved by the Administration for Children and families; Sub-awards should not be used to assist organizations in differing stages of development. Sub-awards may also be provided to promising organizations to expand the reach of existing programs; Sub-awards must not be used to provide direct services, but rather improve the sub-awardee's efficiency and capacity. Organizations that receive the Targeted Capacity Building funds (minigrants) are able to use the funds to improve their organization or program(s) in a sustainable way by increasing effectiveness and sustainability, enhancing their ability to provide social services, expanding their organization, diversifying funding sources, and emulating model programs and best practices. They must use the awards to increase efficiency and capacity; therefore, the awards cannot be used to augment or supplant direct service delivery funds. Organizations that receive a Communities Empowering Youth (CEY) program grant award work to build their own capacity, the capacity of their collaborating partners, and the capacity of the community collaboration as a whole in order to improve services to youth. CEY grantees assist their collaborating partners through technical assistance and training in four critical areas: 1) leadership development, 2) organizational development, 3) program development, and 4) community engagement. The Office of Community Services (OCS) will not fund any project, where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. The applicant must have a substantive role in the implementation of the project for which funding is requested. This prohibition does not bar the

making of sub-grants or sub-contracting for specific services or activities needed to conduct the project. CCF monies shall not be used to support inherently religious practices such as religious instruction, worship, or proselytization. Grant or sub-award recipients, therefore, may not and will not be selected based on religious criteria. Neutral, non-religious criteria that neither favor nor disfavor religion must be employed in a selection of a grantee and sub-award recipients.

**Applicant Eligibility:**

(Intermediaries): State governments, county governments, city or township governments, public and State-controlled institutions of higher education, Indian/Native American Tribal governments (Federally recognized), non-profits with 501(c)(3) IRS status (other than institutions of higher education), non-profits without 501(c)(3) IRS status (other than institutions of higher education), private institution of higher education, for profit organizations (other than small businesses), small businesses, special district government, and faith-based and community organizations that meet the statutory eligibility requirements. Application Eligibility (Minigrants): Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), non-profits with 501(c)(3) IRS status (other than institution of higher education), non-profits without 501(c)(3) IRS status (other than institutions of higher education), and faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement. Application Eligibility (CEY); public and State-controlled institutions of higher education, Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), non-profits with 501(c)(3) IRS status (other than institutions of higher education), non-profits without 501(c)(3) IRS status (other than institution of higher education), private institutions of higher education, for non-profit organizations (other than small businesses), small business, and faith-based and community organizations that meet the statutory eligibility requirements.

**Beneficiary Eligibility:**

Believed to be in the public's interest to broaden Federal efforts to work with faith-based and community organizations, the Compassion Capital Fund will assist in the effort to enhance and expand the participation of faith-based and community groups serving those in need. Intermediary organizations awarded under this program will serve as partners to both the Federal government and the faith-based and community organizations that they assist. The intermediaries will represent a diverse set of affiliations, and will assist community-level organizations that have a range of service goals, target populations, affiliations, and beliefs. The Targeted Capacity Building program will benefit faith-based and community organizations that provide services in one of the social service priority areas. The Communities Empowering Youth program will benefit collaborations of faith-based and/or community partners in order to enable them to better meet the needs of America's disadvantaged youth.

**Credentials/Documentation:**

Any nonprofit agency must provide proof of its nonprofit status through one of the following: a) A reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS code. b) A copy of a currently valid IRS tax exemption certificate c) A statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a nonprofit status and that none of the net earnings accrue to any private shareholders or individuals. d) A certified copy of the organization's certificate of incorporation or similar document that clearly establishes nonprofit status. e) Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is its local nonprofit affiliate. Applicants for CCF programs must also provide the following forms: SF 424, SF 424A, SF 424B, certification regarding lobbying and associated disclosure of lobbying activities (SF LLL), and environmental tobacco smoke certification. Private nonprofit organizations are encouraged to submit with their applications the additional survey located under Grant Related Documents and Forms titled Survey for Private, Nonprofit Grant Applicants.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The application must be double-spaced and single-spaced on 8-1/2 x 11 plain white paper, with 1 inch margins on all sides. The application must use Times New Roman 12 point font or Arial 12 point font. All pages of the application (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered. Each application may include only one proposed project. For the intermediary applications, the Table of Contents must not exceed one page. The Project Abstract must not exceed one page. The project Narrative must not exceed 25 pages. Pages submitted beyond the first 25 in the application's Project Narrative section will not be considered during the panel review. The Appendix must not exceed 20 pages. The Appendix includes

the sample assessment tool(s) to be used to assist organizations served in identifying organizational needs in the five critical capacity building areas, and any other additional supporting documentation. The Budget, Narrative Budget Justification, Standard Forms for Assurances, Certifications, Disclosures, and cost-share letters are not included in the Project Narrative and Appendix page limitations. Applicants should not send pamphlets, brochures, or other printed material along with their applicants. These materials, if submitted, will not be considered in the review process. In addition, applicants should not submit any additional letters of endorsement beyond any that may be required. The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement. In addition, the applicant needs to complete all the standard forms required for making applications for awards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs. Applicants must sign and return the Standard Form 424B with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. They must also fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms. Private, non-profit organizations are encouraged to submit with their applications the survey located under Grant Related Documents and Firms titled Survey for Private, Nonprofit Grant Applicants. For the minigrant applications, the Table of Contents must not exceed one page. The Project Narrative must not exceed nine pages. Pages submitted beyond the first nine pages in the Project Narrative section will be removed prior to panel review. The Appendix must not exceed five pages. Pages submitted beyond the first five in the Appendix section will not be considered during the panel review. The Appendix includes any additional supporting documentation. The Budget, Narrative Budget Justification, Standard Forms for Assurances, Certifications, and Disclosures are not included in the Project Narrative and Appendix page limitations. Applicants should not send pamphlets, brochures, or other printed material along with their applications. These materials, if submitted, will not be considered during the review process. The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement. In addition, the applicant needs to complete all the standard forms required for making applications for awards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs. Applicants must sign and return the Standard Form 424B with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. They must also fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms. Private, nonprofit organizations are encouraged to submit with their applications the survey located under Grant Related Documents and Firms titled Survey for Private, Nonprofit Grant Applicants. For the CEY applications, the Project Abstract must not exceed one page. The Table of Contents must not exceed one page. The Project Narrative must not exceed 25 pages. Pages submitted beyond the first 25 in the application's Project Narrative section will be removed prior to panel review. The Appendix must not exceed 50 pages. The Appendix includes the sample assessment tool(s) the applicant will use to assist organizations in identifying organizational needs in the four critical areas of capacity building, support and commitment letters, and any other additional supporting documentation. The Budget, Narrative Budget Justification, Standard Forms for Assurances, Certifications, and Disclosures are not included in the Project Narrative and Appendix page limitations. Applicants should not send pamphlets, brochures, or other printed material along with their applications. These materials, if submitted, will be included in the review process. In addition, applicants should not submit any additional letters of endorsement beyond any that may be required. The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement. In addition, the applicant needs to complete all the standard forms required for making applications for awards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs. Applicants must sign and return the Standard Form 424B with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. They must also fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms. Private, nonprofit organizations are encouraged to submit with their applications the survey located under Grant Related Documents and Firms titled Survey for Private, Nonprofit Grant Applicants.

**Award Procedure:**

Applications received by the due date will be reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, will use the evaluation criteria listed in Part V of the Program Announcement to

review and score the applications. The results of the review will be a primary factor in making funding decisions. ACF may also solicit comments from Regional Office staff and other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the Federal Government are met in making the final selections. Furthermore, ACF may limit the number of awards made to the same or affiliated organizations although they would serve different geographic areas. The successful applicants will be notified through issuance of a Financial Assistance Award document which sets forth the amount of funds granted, the terms and conditions of the grant, the budget period for which initial support will be given, the nonfederal share to be provided, and the total project period for which support is contemplated. The Financial Assistance Award will be signed by the Grants Officer.

**Deadlines:**

Deadlines for grants are announced in [www.grants.gov](http://www.grants.gov), as part of the solicitation of applicants.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

None.

**Renewals:**

ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur, or when there are widespread disruption of mail service. Determinations to extend or waive deadline requirements rest with the Chief Grants Management Officer.

**Formula and Matching Requirements:**

For the Intermediary Demonstration Program, grantees must provide at least 20 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the nonfederal share. The nonfederal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Grantees will be held accountable for commitments of nonfederal resources even if over the amount of the required match. Failure to provide the amount will result in disallowance of Federal funds. Applications that fail to include the required amount of cost-sharing will be considered non-responsive and will not be eligible for funding. There are no cost sharing or matching requirements for the Targeted Capacity-Building or the Communities Empowering Youth programs.

**Length and Time Phasing of Assistance:**

The Demonstration and CEY programs award grants for project periods of up to three years. Awards, however, are made on a competitive basis, for a one-year budget period. Applications for continuation grants funded under these awards beyond the one-year budget period but within the three-year project period are entertained in subsequent years on a noncompetitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding is in the best interest of the government. Awards for the Targeted Capacity-Building Program are for a 12-month budget period.

**Reports:**

CCF recipients are required to submit semi-annual program progress reports; grantees are also required to submit semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. A suggested format for the program progress report is sent to all grantees after the awards are made. Intermediaries must also submit plans and procedures for the issuance of sub-awards within 90 days of the receipt of an award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

CCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of the Code of Federal Regulations.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

FY 07 \$64,300,000; FY 08 \$52,700,000; and FY 09 est \$75,000,000.

**Range and Average of Financial Assistance:**

Demonstration, \$500,000 per year; CEY, \$250,000 per year; Minigrant, \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, OCS awarded 387 CCF grants. Congress did not allocate funding for new CCF grant awards for FY 2008; however, OCS will award approximately 168 continuation grants FY 2008. It is estimated that OCS will award approximately 371 grants in FY 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447. Contact: Thom Campbell, Telephone: (202) 401-5483 (office); (202) 401-4694 (fax); [thom.campbell@acf.hhs.gov](mailto:thom.campbell@acf.hhs.gov).

**Headquarters Office:**

Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447. Contact: Thom Campbell (202) 401-5483 (office); (202) 401-4694 (fax); [thom.campbell@acf.hhs.gov](mailto:thom.campbell@acf.hhs.gov).

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ccf>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The CCF Demonstration program has funded intermediary organizations that serve as a bridge between the Federal government and the faith-based and community organizations that the program is designed to assist. Intermediary organizations provide two services to faith-based and community organizations: training and technical assistance and capacity-building sub-awards. The CCF Targeted Capacity Building program has funded faith-based and community organizations with one time, \$50,000 awards to increase their capacity to serve targeted social service priority areas. The CCF Communities Empowering Youth program provides grants to strengthen broad-based collaborative community coalitions that are working to reduce gang involvement, youth violence, and child abuse and neglect and to foster positive youth development.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting Intermediary Organizations: Intermediary organizations are evaluated on the following criteria: approach, objectives and need for assistance, organizational profiles, and budget and budget justification. The technical assistance strategy, sub-award strategy, and geographic location are all factors in evaluating the approach of the applicant. The needs of faith-based and community organizations to be served and the needs of communities served are factors for evaluating the objectives and need for assistance of the applicant. The staff and position data and past experience are factors used to evaluate the organizational profile of the applicant. Applicants will be evaluated under the budget and budget justification criteria on the extent to which they include a budget that is clear, easy to understand, and provides a detailed justification for the amount requested. Criteria used for selecting Targeted Capacity Building grant recipients: Minigrant applications are evaluated on the following criteria: approach, organizational profiles, results or benefits expected, objectives and need for assistance, and budget and budget justification. The factors considered under the approach criterion are the capacity-building strategy and the geographic location. Under the organizational profile criterion, the staff and position data and past experience working in priority social service area(s) are the two factors used for evaluation. Under the results and benefits expected criterion, applicants are evaluated on the extent to which the specific goals of the project and the results and benefits proposed by the applicant are reasonable and likely, quantified, and clearly linked to and supported by the proposed capacity-building approach. Under the objectives and need for assistance criterion, applications are evaluated on the extent to which the objectives of the proposed project are clearly stated and shown to address the needs of the organization. Under the budgets and budget justification criterion, applications are evaluated based on the extent to which they include a budget that is clear, easy to understand, and that provides a detailed justification for the amount requested. Criteria used for selecting Communities Empowering Youth grant recipients: CEY applicants are evaluated on the following criteria: project summary/abstract, objectives and need for assistance, approach, results or benefits expected, organizational profiles, and budget and budget justification. The factors considered under the objectives and need for assistance criterion are service area and needs of the service area, applicant's capacity building needs, and need of partnering faith-based and/or community organizations. The factors considered under the approach criterion are capacity building strategy, training/technical assistance strategy, and financial assistance strategy. Under the results or benefits expected criterion applications are evaluated on the extent to which the applicant identifies the results or benefits expected to be derived from project activities and describes how the proposed project will affect the sustainability of the lead organization, its collaborating faith-based and/or community partners, and the community collaboration as a whole. The factors considered under the organizational profiles criterion are past experience, strength of partnerships with collaboration members, and organizational capability and staffing. The factors considered under the budget and budget justification criterion are a project budget that is clear and easy to understand and the inclusion in the application of the last two years' operating budgets.



## 93.010 COMMUNITY-BASED ABSTINENCE EDUCATION (CBAE)

(CBAE)

### FEDERAL AGENCY:

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Title XI, Section 1110 of the Social Security Act (using the definitions contained in Title V, Section 510(b)(2) of the Act).

### OBJECTIVES:

To provide funding to public and private institutions for community-based abstinence education project grants. The project grant's objective is to increase the proportion of youth that remain abstinent until marriage and decrease the rate of births to unmarried teenage girls. To meet these objectives, grantees must incorporate the abstinence education definitions identified under (A) through (H) in Section 510(b)(2) of the Social Security Act.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

For the purpose of Section 510, the term "Abstinence Education" means an educational or motivational program which (a) has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity; (b) teaches abstinence from sexual activity outside marriage as the expected standard for all school age children; (c) teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems; (d) teaches that a mutually faithful monogamous relationship in context of marriage is the expected standard of human sexual activity; (e) teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects; (f) teaches that bearing children out of wedlock is likely to have harmful consequences for that child, the child's parents, and society; (g) teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and (h) teaches the importance of attaining self-sufficiency before engaging in sexual activity.

### Applicant Eligibility:

Public and private agencies responsible for the administration (or supervision of the administration) of projects under Section 1110 of the Social Security Act that teach abstinence, using the definitions contained in Section 510(b)(2) of the Act, to adolescents ages 12 through 18. Eligible applicants include: State governments; County governments; City or Township governments; independent school districts; private institutions of higher education; special district governments; public and State-controlled institutions of higher education; Native American Tribal governments (Federally recognized); public housing authorities/Indian housing authorities; Native American Tribal organizations (other than Federally recognized Tribal governments); non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; non-profits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education; for-profit organizations other than small businesses; and, small businesses. Faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement. Sex education programs that promote the use of contraceptives are not eligible for funding under this program.

### Beneficiary Eligibility:

Adolescents ages 12 through 18.

### Credentials/Documentation:

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

### Preapplication Coordination:

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information of the process that the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

### Award Procedure:

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau.

Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

### Deadlines:

As specified in the announcement or application instructions.

### Range of Approval/Disapproval Time:

From 60 to 90 days.

### Appeals:

None.

### Renewals:

Awards are generally made for a 5-year project period, funding for the second through fifth year is dependent upon satisfactory performance and availability of funds.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Grants are awarded competitively for project periods of up to 5 years.

### Reports:

Financial and program reports are due semi-annually. A final report is due 90 days after conclusion of project period.

### Audits:

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

### Records:

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

### Account Identification:

75-1536-0-1-506.

### Obligations:

(Grants) FY 07 \$91,996,000; FY 08 \$91,996,000; and FY 09 est \$117,054,000. (Contracts) FY 07 \$5,988,000; FY 08 \$4,789,000; and FY 09 est \$7,384,000.

### Range and Average of Financial Assistance:

\$250,000 to \$600,000; \$425,000.

### PROGRAM ACCOMPLISHMENTS:

In FY 2007, 171 grants were awarded and in FY 2008, 188 grants will be awarded. It is anticipated that 198 grants will be awarded in FY 2009.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address: <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Central Office Contacts and Program Contact: Scott T. Riggins, U.S. Department of Health and Human Services; Family and Youth Services Bureau; 1250 Maryland Ave., SW, Washington, DC 20024. Grants Management, Financial Management Specialist; U.S. Department of Health and Human Services, Administration for Children and Families, Office of Administration; Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW, Washington, DC 20447.

### Web Site Address:

<http://www.acf.hhs.gov/programs/fysb>.

### RELATED PROGRAMS:

93.235, Abstinence Education Program; 93.111, Adolescent Family Life Research Grants.

### EXAMPLES OF FUNDED PROJECTS:

Examples of funded projects may be requested through the Family and Youth Services Bureau.

### CRITERIA FOR SELECTING PROPOSALS:

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

## 93.012 IMPROVING, ENHANCING, AND EVALUATING OUTCOMES OF COMPREHENSIVE HEART HEALTH CARE PROGRAMS FOR HIGH-RISK WOMEN

### FEDERAL AGENCY:

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Section 1703(a).

### OBJECTIVES:

To provide funding to improve and enhance existing women's heart health care programs in hospitals, clinics, and/or health centers and to enable the programs to track and evaluate outcome data. Each grantee shall enhance an existing women's heart health care program so that it provides a continuum of heart health care services through the integration of the following five interrelated components: Education and Awareness, Screening and Risk Assessment, Diagnostic Testing and Treatment, Lifestyle Modification and Rehabilitation, and Tracking and Evaluation. Grantees shall also target high-risk women in at

least one of the following groups: women aged 60 years or older, racial and ethnic minority women, and/or women who live in rural communities. These programs will offer comprehensive heart health care services that are women-centered, culturally competent, multi-disciplinary, continuous and integrated. The goal of these programs will be to reduce heart disease mortality and morbidity among women and to increase the number of high-risk women who receive quality heart health care, including education, prevention, screening, diagnosis, treatment and rehabilitation. These programs will be demonstration projects; as such, they will provide the evidence necessary to evaluate whether comprehensive women's heart health care programs are effective in improving heart disease outcomes in high-risk women.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds should be used to strengthen infrastructure, track and evaluate outcome data, conduct community outreach and educational activities, improve the coordination and continuity of care, and reduce fragmentation of heart health care services that already exist within the health care facility. For example, funds can be used to hire a program coordinator, set up a data tracking system, acquire or produce educational materials, etc. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

Applicants must be a public or private hospital, clinic, or health center providing heart health care services to women. Academic health centers and state, county, and local health departments are eligible for funding under this announcement. Programs that will be implemented in medically underserved areas, enterprise communities, and empowerment zones as well as community health centers funded under Section 330 of the Public Health Service Act are encouraged to apply. Native American tribal organizations, faith-based organizations, and organizations serving rural or frontier communities are also encouraged to apply.

In order to apply for the award, applicants must already have a basic women's heart health care program in place. Applicants must also have the framework for three of the five components described in the funding opportunity description (Education and Awareness, Screening and Risk Assessment, Diagnostic Testing and Treatment, Lifestyle Modification and Rehabilitation, Tracking and Evaluation) already in place.

**Beneficiary Eligibility:**

Underserved women will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is subject to the requirements of Executive Order 12372 that allows States the option of setting up a system for reviewing applications from within their States for assistance under certain Federal programs. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC in each affected State. A complete list of SPOCs may be found at the following web site:

[www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html) The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date. (See "Intergovernmental Review of Federal Programs," Executive Order 12372, and 45 CFR Part 100 for a description of the review process and requirements.)

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be

extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without review or comment. If funding is requested in an amount greater than the ceiling of the award range (\$150,000 for a 12-month budget period), the application will be considered nonresponsive and will not be entered into the review process. The application will be returned with notification that it did not meet the submission requirements. Applicants that are judged to be in compliance will be notified by the OPHS Office of Grants Management. Accepted applications will be reviewed for technical merit in accordance with DHHS policies. Applications will be evaluated by a technical review panel composed of experts in the fields of program management, heart disease and health care, community outreach and health education, and community-based research. Consideration for award will be given to applicants that best demonstrate the potential to design a program that achieves the program goals stated in this announcement. The federal government may conduct pre-award site visits of applicants with scores in the funding range prior to final selection. Funding decisions will be made by the DHHS Office on Women's Health (OWH), and will take into consideration the recommendations and ratings of the review panel, pre-award site visits, program needs, geographic location, and stated preferences. To increase the likelihood of funding organizations serving rural or frontier communities and/or Native American tribal organizations, OWH will award 5 bonus points to applicants meeting these criteria.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 50 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The award period is one year. Funds will be released on a monthly basis in twelve (12) equal increments.

**Reports:**

Grantees are required to submit quarterly progress reports, a final report, and a final Financial Status Report in the format established by the DHHS Office on Women's Health (OWH), in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR parts 74 and 92. The purpose of the quarterly and final reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program. An original and two copies of the quarterly progress reports must be submitted by December 2, March 2, and June 2. A draft of the final report must be submitted by July 24. The report should describe all project activities for the entire year and include an analysis of the tracking and evaluation data. OWH will review the draft. Suggested revisions will be discussed individually during a conference call with each grantee. The mutually agreed upon revisions must be incorporated into the final report by the end date of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 not available; FY 08 not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

up to \$150,000 (direct and indirect costs).

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994). 45 CFR parts 74, 92 and 100 apply.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Questions regarding programmatic information and/or requests for technical assistance in the preparation of the "Project Narrative" should be directed to: Dr. Suzanne Haynes, Senior Science Advisor, Office on Women's Health, US Department of Health and Human Services, 200 Independence Avenue, SW, Rm. 719E, Washington, DC 20201, E-mail: shaynes@osophs.dhhs.gov. For application kits and information on budget and business aspects, please contact: Ms. Karen Campbell, Director, OPHS Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20857, Telephone: (240) 453-8822, E-mail: kcampbell@osophs.dhhs.gov.

**Web Site Address:**

<http://www.4woman.gov/owh>.

**RELATED PROGRAMS:**

93.290, National Community Centers of Excellence in Women's Health.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed using the following criteria: (A) The Program Plan (30 points) evaluated by rating the applicant's approach to accomplishing each of the requirements identified in the funding opportunity description of the federal register notice; (B) The Statement of Need (20 points) evaluated by rating the applicant's demonstrated need for improving, enhancing, and evaluating outcomes of the women's heart health care program; (C) The Experience and Commitment of Key Personnel (20 points) evaluated by rating the qualifications of key personnel proposed to perform the work and the amount of effort estimated for each person; (D) The Management Plan (20 points) evaluated by rating the effectiveness of the applicant's staffing, scheduling, and logistics plans and the applicant's ability to achieve the program goals within the time frames set-forth. (E) Past Performance (10 points) evaluated by considering the number, size, complexity, and success of similar projects that the applicant has previously successfully implemented. Accepted applications will be reviewed for technical merit in accordance with DHHS policies. Applications will be evaluated by a technical review panel composed of experts in the fields of program management, heart disease and health care, community outreach and health education, and community-based research. Consideration for award will be given to applicants that best demonstrate the potential to design a program that achieves the program goals. The federal government may conduct pre-award site visits of applicants with scores in the funding range prior to final selection. Funding decisions will be made by the DHHS Office on Women's Health (OWH), and will take into consideration the recommendations and ratings of the review panel, pre-award site visits, program needs, geographic location, and stated preferences. To increase the likelihood of funding organizations serving rural or frontier communities and/or Native American tribal organizations, OWH will award 5 bonus points to applicants meeting these criteria.

**93.013 AMBASSADORS FOR CHANGE PROGRAM**

(Ambassadors for Change Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HEALTH AND HUMAN SERVICES, OFFICE OF THE SECRETARY, OFFICE OF PUBLIC HEALTH AND SCIENCE, OFFICE ON WOMAN'S HEALTH

**AUTHORIZATION:**

42 U.S.C. 300u-2(a)(1), 300u-3, and 300u-6(e)

**OBJECTIVES:**

To provide recognition and funding to the graduating National Centers of Excellence in Women's Health and the National Community Centers of Excellence in Women's Health programs to enhance their women's health program through the integration of these components: (1) leadership development for women, (2) training for lay, allied health, and professional health care providers, (3) public education and outreach with special emphasis on outreach to minority women, (4) comprehensive health service delivery that includes gender and age-appropriate preventive services and allied health professionals as members of the comprehensive care team, and (5) basic science, clinical and community-based research. In addition, the community centers

must replicate their National Community Center of Excellence in Women's Health (CCOE) model in another community.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

A majority of the funds must be used to support staff (direct labor) and efforts aimed at coordinating and integrating the components of the program and travel to the two Annual Center Director's Meetings per year. The senior person responsible for the program shall continue to devote the maximum effort needed to maintain program excellence. Funds may also be used for program related travel. Funds may not be used for construction, building alterations, equipment, printing, food, medical treatment, or renovations. All budget requests must be justified fully in terms of the proposed goals and objectives and include an itemized computational explanation/breakout of how costs were determined. The CoE and CCOE Center Directors meet twice a year. A portion of these meetings will be devoted to the Ambassadors for Change program. The budget should include a request for funds to pay for the travel, lodging, and meals for the two Center Directors' meetings. The first meeting is usually held between mid-November and mid-December and the second Center Director's meeting is usually held in May. CCOE Center Directors are encouraged to bring the person with primary responsibility for the day-to-day management of the Ambassador for Change program to these meetings and should include their travel cost in the budget.

**Applicant Eligibility:**

Eligible applicants are OWH previously funded National Centers of Excellence in Women's Health (CoE) and previously funded National Community Centers of Excellence in Women's Health (CCOE) programs whose funding has ended and are without remaining option years.

**Beneficiary Eligibility:**

Underserved women will benefit.

**Credentials/Documentation:**

At a minimum, each application for a cooperative agreement grant funded under this announcement must: -Present a plan to continue integrating all components of the program. The CCOEs are not required to continue the replication component but preference will be given to programs that plan to continue to provide technical assistance to their replication site. Additionally, CCOEs that actively participate in the Research Coordinating Center (RCC) projects will be considered as fulfilling the requirements for the research component. A statement of willingness to participate in the RCC activities must be included in the application, if applicable. -Discuss a plan to continue the involvement of the CoE or CCOE advisory board and their role as it relates to the Ambassadors for Change program. -Be a sustainable organization capable of providing coordinated and integrated women's health services in the targeted community. The applicant will need to define the components of comprehensive, multi-disciplinary care, demonstrate that they are culturally, linguistically, and gender and age appropriate, and show that they have a clear and sustainable framework for providing those services. -Present a plan to provide support, advice, and guidance to CoEs, CCOEs, and the Demonstration CoEs, through a variety of training opportunities, such as the ELAM program, promotoras trainings, discussions at Center Directors, meetings, etc. These activities may be supported by outside funding or sponsors in keeping with the government partnership ethics guidance. Describe in detail plans for the local process, impact, and outcome evaluation of the program and how information obtained from the evaluation will be used to enhance the program. The applicant must also indicate their willingness to participate in a national evaluation of the program to be conducted under the leadership of the OWH contractor.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format



at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm> . The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline or are applicants that have not been a CCOE or a CoE program will be returned without review or comment. The application will be returned with notification that it did not meet the submission requirements. Applicants that are judged to be in compliance will be notified by the OPHS Office of Grants Management. Accepted applications will be reviewed for technical merit in accordance with DHHS policies. Applications will be evaluated by a technical review panel composed of experts in the fields of program management, heart disease and health care, community outreach and health education, and community-based research. Consideration for award will be given to applicants that best demonstrate the potential to design a program that achieves the program goals stated in this announcement. The federal government may conduct pre-award site visits of applicants with scores in the funding range prior to final selection. Funding decisions will be made by the DHHS Office on Women's Health (OWH), and will take into consideration the recommendations and ratings of the review panel, pre-award site visits, program needs, geographic location, and stated preferences.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Support may be requested for a total project period not to exceed 3 years.

**Formula and Matching Requirements:**

None - Cost sharing, matching funds, and cost participation is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Support may be requested for a total project period not to exceed 3 years. Non-competing continuation awards of up to \$25,000 (CoEs)/\$50,000 (CCOEs) will be made subject to satisfactory performance and availability of funds.

**Reports:**

Successful applicants will submit an annual technical report that includes a detailed discussion of the process, impact, outcome evaluation of the Ambassador program and an annual Financial Status Report (SF-269) in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR parts 74 and 92. An original and two copies of the annual report must be submitted by August 15. The annual report will serve as the non-competing continuation application and must cover all activities for the entire budget year. Therefore, this report must also include the budget request for the next grant year, with appropriate justification, and signatures, and must include a completed OPHS-1 Form.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 est not reported; FY 08 est not reported; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$50,000; (including direct and indirect costs). This is a new program.

**PROGRAM ACCOMPLISHMENTS:**

Fund six new AFC grantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Women's Health Department of Health and Human Services 200 Independence Avenue, SW Room 712E Washington, DC 20201.

**Web Site Address:**

<http://www.4woman.gov/owh> .

**RELATED PROGRAMS:**

93.290, National Community Centers of Excellence in Women's Health.

**EXAMPLES OF FUNDED PROJECTS:**

None - New Program.

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible applicants are OWH previously funded National Centers of Excellence in Women's Health (CoE) and previously funded National Community Centers of Excellence in Women's Health (CCOE) programs whose funding has ended and are without remaining option years. At a minimum, each application for a cooperative agreement grant funded under this announcement must: 1.) Present a plan to continue integrating all components of the program. The CCOEs are not required to continue the replication component but preference will be given to programs that plan to continue to provide technical assistance to their replication site. Additionally, CCOEs that actively participate in the Research Coordinating Center (RCC) projects will be considered as fulfilling the requirements for the research component. A statement of willingness to participate in the RCC activities must be included in the application, if applicable. 2.) Discuss a plan to continue the involvement of the CoE or CCOE advisory board and their role as it relates to the Ambassadors for Change program. 3.) Be a sustainable organization capable of providing coordinated and integrated women's health services in the targeted community. The applicant will need to define the components of comprehensive, multi-disciplinary care, demonstrate that they are culturally, linguistically, and gender and age appropriate, and show that they have a clear and sustainable framework for providing those services. 4.) Present a plan to provide support, advice, and guidance to CoEs, CCOEs, and the Demonstration CoEs, through a variety of training opportunities, such as the ELAM program, promotoras trainings, discussions at Center Directors' meetings, etc. These activities may be supported by outside funding or sponsors in keeping with the government partnership ethics guidance. 5.) Describe in detail plans for the local process, impact, and outcome evaluation of the program and how information obtained from the evaluation will be used to enhance the program. The applicant must also indicate their willingness to participate in a national evaluation of the program to be conducted under the leadership of the OWH contractor.

## 93.014 STEPS TO HEALTHIER GIRLS PROGRAM

(Steps to Healthier Girls Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HEALTH AND HUMAN SERVICES, OFFICE OF THE SECRETARY, OFFICE OF PUBLIC HEALTH AND SCIENCE, OFFICE ON WOMEN'S HEALTH

**AUTHORIZATION:**

42 U.S.C. 300u-2(a)(1), 300u-6(e).

**OBJECTIVES:**

The objectives of the Steps to Healthier Girls Program are to: 1) Increase the number of girls who engage regularly in moderate physical activity, preferably daily, for at least 60 minutes per day; 2) increase girls' knowledge of healthy nutrition and healthy weight and promote strategies for accomplishing these; 3) increase girls' knowledge about the ill health effects of tobacco and promote strategies for accomplishing these; and 4) increase girls' knowledge of the importance of a healthy environment and strategies to accomplish this.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds should be used to strengthen infrastructure, track and evaluate outcome data, conduct community outreach and educational activities, improve the coordination and continuity of care, and reduce fragmentation of heart health care services that already exist within the health care facility. For example, funds can be used to hire a program coordinator, set up a data tracking system, acquire

or produce educational materials, etc. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

The Girl Scouts of the USA is the eligible applicant for the Steps to Healthier Girls program.

**Beneficiary Eligibility:**

The Girl Scouts of the USA and selected Girl Scout Councils.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Applications must be prepared using Form OPHS-1 (Revised August 2004). This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. Questions regarding programmatic information and/or requests for technical assistance in the preparation of grant applications should be directed in writing to CAPT Rosa Myers, Regional Women's Health Coordinator, DHHS Region III, at 150 S. Independence Mall West, Suite 436, Philadelphia, PA 19106, e-mail: [rmyers@osophs.dhhs.gov](mailto:rmyers@osophs.dhhs.gov) or to Sandra Estepa, Regional Women's Health Coordinator, HHS Region II at 26 Federal Plaza, Room 3835, New York, NY 10278, e-mail: [sestepa@osophs.dhhs.gov](mailto:sestepa@osophs.dhhs.gov). Requests for application kits and completed applications should be submitted to Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Technical assistance on budget and business aspects of the application may also be obtained from the Office of Grants Management, at (240) 453-8822.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Region III, Regional Womens Health Coordinator, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of the other DHHS Regional Women's Health Coordinators.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Cost sharing, matching funds, and cost participation is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

The award period is one year. Funds will be released on a monthly basis in twelve (12) equal increments.

**Reports:**

Grantees are required to submit quarterly progress reports, a final report, and a final Financial Status Report in the format established by the DHHS Office on Women's Health (OWH), in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR parts 74 and 92. The purpose of the quarterly and final reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program. An original and two copies of the quarterly progress reports must be submitted by December 2, March 2, and June 2. A draft of the final report must be submitted by July 24. The report should describe all

project activities for the entire year and include an analysis of the tracking and evaluation data. OWH will review the draft. Suggested revisions will be discussed individually during a conference call with each grantee. The mutually agreed upon revisions must be incorporated into the final report by the end date of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$60,000 (direct and indirect costs). This is a new program.

**PROGRAM ACCOMPLISHMENTS:**

Increase the number of girls who engage regularly in moderate physical activity, preferably daily, for at least 60 minutes per day. Increase girls' knowledge of healthy nutrition and healthy weight and promote strategies for accomplishing these. Increase girls' knowledge about the ill health effects of tobacco and promote strategies for accomplishing these. Increase girls' knowledge of the importance of a healthy environment and strategies to accomplish this.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

CAPT Rosa Myers, Regional Women's Health Coordinator, DHHS Region III, at 150 S. Independence Mall West, Suite 436, Philadelphia, PA 19106, e-mail: [rmyers@osophs.dhhs.gov](mailto:rmyers@osophs.dhhs.gov). Sandra Estepa, Regional Women's Health Coordinator, HHS Region II at 26 Federal Plaza, Room 3835, New York, NY 10278, e-mail: [sestepa@osophs.dhhs.gov](mailto:sestepa@osophs.dhhs.gov).

**Headquarters Office:**

Office on Women's Health Department of Health and Human Services 200 Independence Avenue, SW Room 712E Washington, DC 20201.

**Web Site Address:**

<http://www.4woman.gov/owh>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

New Program.

**CRITERIA FOR SELECTING PROPOSALS:**

Basis for Sole Source Restriction on the Planned Cooperative Agreement. The Office of Grants Management, OPHS, has determined in accordance with AGAM 2.04 104A 1.e.(2) that this project is an outgrowth of a current ongoing collaboration between the OWH and GSUSA that is part of the Department's Steps to Healthier US. In addition, responsible government officials have determined that the GSUSA: (a) Is a well-established, trusted, national organization that serves diverse 11 to 17 year old girls; (b) has demonstrated evidence of commitment to girls' health; (c) has shown interest in the health promotion topics identified as priority subject areas under its MOU with DHHS which was the basis for an ongoing collaborative relationship and this particular project with OWH; (d) is able/willing to assist the local councils and the RWHCs in the design of the program; (e) is able/willing to implement the program designed by the RWHCs and the councils; (f) is able to support the evaluation process; and (g) has the organizational potential in terms of an ongoing structure and resources to sustain and expand health promotion program activities for diverse girls 11 to 17 years of age. Whether or not an award is application addressing the program components described in section I. Funding Opportunity Description and the amount of funds available for the Steps to Healthier Girls program (see Section IV.2 "Application for Submission Information"). The government will not be obligated to make any awards as a result of this announcement.

**93.015 HIV PREVENTION PROGRAMS FOR WOMEN**

(HIV Prevention Programs for Women)

**FEDERAL AGENCY:**

DEPARTMENT OF HEALTH AND HUMAN SERVICES, OFFICE OF THE

**AUTHORIZATION:**

This program is authorized by 42 U.S.C. 300u-2(a).

**OBJECTIVES:**

**HIV Prevention for Women Living in the Rural South:** (1) Increase knowledge of accurate HIV prevention information among women living in rural communities in the south; (2) improve and increase access to quality HIV prevention services to women living with or at high risk for HIV infection in rural communities in the south; (3) improve receptivity to and awareness of HIV prevention education, necessary to reduce the stigma among women in rural southern communities; and (4) increase the number of women living in the rural south, who voluntarily receiving HIV testing. **HIV Prevention for Young Women Attending Minority Institutions:** (1) Increase on campus activities targeting women at risk for HIV infection; (2) improve HIV prevention education efforts involving women on campus; (3) increase knowledge base of accurate HIV/STD prevention information among women attending minority institutions; and (4) improve access to HIV health related services for women attending minority institutions. **HIV Prevention for Women Living in the Rural and Frontier Indian Country:** (1) Increase knowledge of accurate HIV prevention information among women living in Indian Country; (2) improve and increase access to quality HIV prevention services to women living with or at high risk for HIV infection in rural and frontier Indian Country; (3) improve receptivity to and awareness of HIV prevention education necessary to reduce the stigma among women in rural and frontier Indian Country; and (4) increase the number of women living in rural and frontier Indian Country, who voluntarily receiving HIV testing. **HIV Prevention for Women Incarcerated and Newly Released:** (1) Increase the number of incarcerated women receiving pre-release discharge planning, particularly those who are living with HIV or at high risk for HIV infection; (2) increase the number of HIV infected incarcerated women who are connected to drug assistance programs, medical care, and case management services prior to release or at time of release; (3) increase the number of community linkages and networks for ensuring continuum of care for incarcerated and newly released women living with or at high risk for HIV in locations with high rates of HIV infections and incarcerated populations; and (4) increase the number of newly released women receiving support services and HIV care six months post release. **HIV Prevention for Women Living in the U.S. Virgin Islands & Puerto Rico:** (1) Increase access to quality care and treatment for women living with HIV infection; (2) improve and increase access to secondary HIV prevention services to women living with HIV infection and primary prevention for those women at risk for infection; (3) increase understanding of living with HIV, disease management, and treatment adherence; and (4) increase community support activities for women living with HIV and their families.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

The applicant must be a Public College or University; a Historically Black College or University; a Hispanic Serving Institution; a Tribal College or University; a Private Non-Profit Community-Based Organization; a Native American Tribal Organization; and/or a Faith-Based Community Organization serving underserved women. Small businesses or organizations not in an official partnership with a qualified institution are not eligible for funding under this announcement.

**Beneficiary Eligibility:**

Underserved women living in the Rural South; Young Women Attending Minority Institutions; Native/American Indian and Alaskan Native Women Living in Rural and Frontier Indian Country; Women Incarcerated and Newly Released Living with or at Risk for HIV/AIDS/STDs; and Women Living in Puerto Rico and the U.S. Virgin Islands, will benefit from this program.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For

proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Division for Policy and Program Development, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Support may be requested for a total project period not to exceed 2 years.

**Formula and Matching Requirements:**

Cost sharing and matching funds is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Support may be requested for a total project period not to exceed 2 years. Non-competing continuation awards of up to the amount specified in the announcement published in the Federal Register will be made subject to satisfactory performance and availability of funds.

**Reports:**

Grantees will submit quarterly an annual technical report that include a detailed discussion of the process, impact, outcome evaluation of the HIV Prevention Program and an annual Financial Status Report (SF-269) in accordance with provisions of the general regulations which apply under Monitoring and Reporting Program Performance, 45 CFR parts 74 and 92. An original and two copies of the annual report must be submitted by July 1. The annual report will serve as the non-competing continuation application and must cover all activities for the entire budget year. Therefore, this report must also include the budget request for the next grant year, with appropriate justification, and signatures, and must include a completed OPHS-1 Form.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other



records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

This is a new program therefore the number of awards and the amounts are specified in the announcement published in the Federal Register, pending availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

(1) Develop and implement the model described in the application; (2) provide complete curricula, i.e., topics, content, participant workbook, participant evaluation forms, pre/post instruments, and goals/objectives; (3) describe training, teaching methods and strategies, e.g., interactive exercises, facilitated discussion, lectures, video/films, community peers, etc., proposed to deliver modules. Describe the intervention format: one time session, series of sessions occurring beyond one day, one day session, etc.; (4) conduct outreach to local entities and community representatives. Identify locations for prevention education sites and identify community liaisons for assistance in identifying prospective women participants; (5) establish community partnerships through Memoranda of Understanding; (6) participate in the OWH Evaluation of HIV/AIDS program, submitting requested data as needed as well as participating in a site visit conducted by Evaluation Contractor; (7) participate in special meetings and projects/funding opportunities identified by the OWH; (8) adhere to all program requirements specified in this announcement and the Notice of Grant Award; (9) submit required quarterly progress, annual, and financial reports by the due dates stated in this announcement and the Notice of Grant Award; and (10) comply with the DHHS Protection of Human Subjects regulations (45 CFR Part 46), which require obtaining Institutional Review Board (IRB) approval, if applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Women's Health Department of Health and Human Services 200 Independence Avenue, SW Room 712E Washington, DC 20201.

**Web Site Address:**

<http://www.4woman.gov/owh> .

**RELATED PROGRAMS:**

None - New Program.

**EXAMPLES OF FUNDED PROJECTS:**

None - New Program.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must be a Public College or University; a Historically Black College or University; a Hispanic Serving Institution; a Tribal College or University; a Private Non-Profit Community-Based Organization; a Native American Tribal Organization; and/or a Faith-Based Community Organization serving underserved women. Small businesses or organizations not in an official partnership with a qualified institution are not eligible for funding under this announcement. For specific details see the full announcement published in the Federal Register.

**93.017 STRENGTHENING THE MANAGEMENT AND SERVICES OF THE WOMEN'S AND CHILDREN'S HOSPITALS IN KABUL**

(Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul)

**FEDERAL AGENCY:**

DEPARTMENT OF HEALTH AND HUMAN SERVICES, OFFICE OF THE SECRETARY, OFFICE OF GLOBAL HEALTH AFFAIRS

**AUTHORIZATION:**

This program is authorized under the Authority of Section 103 (a) (1); Section 103 (a) (7) of Public Law 107-327; Public Health Service Act, Section 307 and Division F of the Consolidated Appropriations Act, 2005, Public Law 108-447 (2004).

**OBJECTIVES:**

The primary goal of this project is to improve the quality of care at health institutions in Afghanistan Hospital by developing effective leadership and management and improving operations. The funding will provide essential material resources within budgetary limitations for patient care, operations, facility management and for grant activities related to leadership and management development. To create equitable and high quality care through the acceptance and delivery of donated medical equipment, pharmaceuticals, and technology-related training for physicians, nurses, midwives, and other health

care workers at hospitals in Kabul, Afghanistan.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

Applications may be submitted by non-profit entities with offices in the United States and partner country or incorporated and headquartered in the United States with offices in the United States. Additionally, organizations or consortiums of organizations, including faith-based and community based organizations, that have collective experience with accepting donated medical technology, upgrading drug formularies, training health care providers, local and international transportation, and other logistics are encouraged to apply for a grant under this announcement.

**Beneficiary Eligibility:**

Underserved women and children receiving services from Kabul Hospitals.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Notification of Intent to Apply: A Letter of Intent (LOI), is not required. However, if a LOI is submitted, the letter should identify the applicant organization and its intent to apply, and briefly describe the proposal to be submitted. We will not acknowledge receipt of Letters of Intent. This letter should be sent by the date listed in the Federal Register, by mail or fax to: U.S. Department of Health and Human Services, Office of the Secretary, Office of Global Health Affairs, 5600 Fishers Lane, Suite 18-101, Rockville, MD 20857, Facsimile Number: (301) 443-2820 Executive Order 12372 This program is not subject to the review requirements of Executive Order 12372, Intergovernmental Review of Federal Programs.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm> . The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts and of peer reviewers. Funding decisions will be determined by the Deputy Director, Asia and Pacific Division of the Office Global Health Affairs and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; program relevance and, availability of funds.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 30 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Project period is for up to 3 years with annual renewals and budget periods and are contingent upon available funding.

**Formula and Matching Requirements:**

Cost sharing and matching funds is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Project period is for up to 3 years with annual renewals and budget periods and are contingent upon available funding.

**Reports:**

Grantees will submit quarterly an annual technical reports that include a detailed discussion of the process, impact, outcome and evaluation of the Program; and submit an annual Financial Status Report (SF-269) in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR parts 74 and 92. An original and two copies of the annual report and Financial Status Report must be submitted within 90 days of the budget period end date.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$200,000 to \$1,500,000; (including direct and indirect costs). This is a new program.

**PROGRAM ACCOMPLISHMENTS:**

Measurable outcomes of the program will be in alignment with one (or more) of the following performance goals: Increase access to care and improve quality of care; Improve disease prevention and health education; Improve workforce development and retention; and Improve public health infrastructure.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Global Health Affairs U.S. Department of Health and Human Services  
200 Independence Ave., S.W., Room 639 H Washington, D.C. 20201 Phone:  
(202) 690-6174, Fax: (202) 690-7127.

**Web Site Address:**

[www.globalhealth.gov/oirh.shtml](http://www.globalhealth.gov/oirh.shtml)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be screened by OGHA staff for completeness and for responsiveness to the program guidance. Applicants should pay strict attention addressing these criteria, as they are the basis upon which applications will be judged. Those applications judged to be non-responsive or incomplete will be returned to the applicant without review. Applications that are complete and responsive to the guidance will be evaluated for scientific and technical merit by an appropriate peer review group specifically convened for this solicitation and in accordance with HHS policies and procedures. As part of the initial merit review, all applications will receive a written critique. All applications recommended for approval will be discussed fully by the ad hoc peer review group and assigned a priority score for funding. Eligible applications will be assessed according to the listed criteria in the Federal Register announcement.

### **93.018 STRENGTHENING PUBLIC HEALTH SERVICES AT THE OUTREACH OFFICES OF THE U.S.-MEXICO BORDER HEALTH COMMISSION**

(Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, OFFICE OF GLOBAL HEALTH AFFAIRS,

DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

This program is authorized under the Authority of Section 103 (a) (1); Section 103 (a) (7) of public law 107-327; Public Health Service Act, Section 307.

**OBJECTIVES:**

This initiative addresses and targets outreach and health promotion activities; evaluation and assessments; health data analysis and surveillance; public information, promotion and communication; Healthy Border/Healthy Gente activities; and will work with communities to implement programs to improve the health of border residents; and will publicize the achievements and challenges of border health; and will provide programmatic and administrative support to the members and staff of the United States - Mexico Border Health Commission. This assistance is geared to support current, on-going and proposed public health initiatives in this border region that support the goals and objectives of the United States - Mexico Border Health Commission as it serves to strengthen access to health care, disease prevention, and public health along the state border.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

This is a single eligibility cooperative agreement offered to the TX, NM, AZ, and CA State Department of Health. The State Department of Health will work with the Border State Outreach Office to accomplish the goals and objectives of the U.S.-Mexico Border Health Commission.

**Beneficiary Eligibility:**

Underserved individuals residing in border area communities, and increase assistance to United States- Mexico Border Health Commission.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Office of Global Health Affairs and will take into consideration the recommendations and ratings of the review panel; program needs, and stated preferences.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Project period is for 1 year.

**Formula and Matching Requirements:**

Cost-sharing and matching funds is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Project period is for 1 year.

**Reports:**

Grantees will submit quarterly an annual technical reports that include a detailed discussion of the process, impact, outcome and evaluation of the Program; and submit an annual Financial Status Report (SF-269) in accordance with provisions of the general regulations which apply under Monitoring and Reporting Program Performance, 45 CFR Parts 74 and 92. An original and two copies of the annual report and Financial Status Report must be submitted within 90 days of the budget period end date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$250,000 to \$500,000; (including direct and indirect costs).

**PROGRAM ACCOMPLISHMENTS:**

Measurable outcomes of the program will be in alignment with one (or more) of the following performance goals: Increase access to care and improve quality of care; Improve disease prevention and health education; Improve workforce development and retention; Improve public health infrastructure; and Improve outreach and health promotion to the community.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Global Health Affairs, Department of Health and Human Services 200 Independence Ave., S.W., Room 639 H, Washington, DC 20201. Telephone: (202) 690-6174, Fax: (202) 690-7127.

**Web Site Address:**

[www.globalhealth.gov/oirh.shtml](http://www.globalhealth.gov/oirh.shtml).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be screened by OGHA staff for completeness and for responsiveness to the program guidance. Applicants should pay strict attention addressing these criteria, as they are the basis upon which applications will be judged. Those applications judged to be non-responsive or incomplete will be returned to the applicant without review. Applications that are complete and responsive to the guidance will be evaluated for scientific and technical merit by an appropriate peer review group specifically convened for this solicitation and in accordance with HHS policies and procedures. As part of the initial merit

review, all applications will receive a written critique. All applications recommended for approval will be discussed fully by the ad hoc peer review group and assigned a priority score for funding. Eligible applications will be assessed according the following criteria: Technical Approach, 45 points; Experience and Capabilities of the Organization, 45 points; and Facilities and Resources, 10 points.

## 93.019 TECHNICAL ASSISTANCE AND PROVISION FOR FOREIGN HOSPITALS AND HEALTH ORGANIZATIONS

(Technical Assistance and Provision for Foreign Hospitals and Health Organizations)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, OFFICE OF GLOBAL HEALTH AFFAIRS, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

This program is authorized under the Authority of Section 103 (a) (1) and Section 103 (a) (7) of Public Law 107-327; Public Health Service Act, Section 307; Division F of the Consolidate Appropriations Act, 2005, Public Law 108-447 (2004).

**OBJECTIVES:**

To provide support for a quality of care improvement project based in a partner healthcare institution in Afghanistan, to provide continuing education and refresher training to physicians and other staff at Women's and Children's hospitals and other Health Organizations in Afghanistan, and to provide support to strengthen the management of Women's and Children's hospitals by the Afghan Ministries of Public Health (MOPH) in Afghanistan.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g., diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

This is a single eligibility cooperative agreement offered to the TX, NM, AZ, and CA State Department of Health. The State Department of Health will work with the Border State Outreach Office to accomplish the goals and objectives of the U.S.-Mexico Border Health Commission.

**Beneficiary Eligibility:**

Underserved individuals residing in border area communities, and increase assistance to U.S.-Mexico Border Health Commission.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be



extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Office of Global Health Affairs and will take into consideration the recommendations and ratings of the review panel; program needs, and stated preferences.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Project period is for 1 year.

**Formula and Matching Requirements:**

Cost-sharing and matching funds is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Project period is for 1 year.

**Reports:**

Grantees will submit quarterly an annual technical reports that include a detailed discussion of the process, impact, outcome and evaluation of the Program; and submit an annual Financial Status Report (SF-269) in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR Parts 74 and 92. An original and two copies of the annual report and Financial Status Report must be submitted within 90 days of the budget period end date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

None.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 \$0; FY 08 \$1,285,500; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$250,000 to \$500,000; (including direct and indirect costs).

**PROGRAM ACCOMPLISHMENTS:**

Measurable outcomes of the program will be in alignment with one (or more) of the following performance goals: Increase access to care and improve quality of care; Improve disease prevention and health education; Improve workforce development and retention; Improve public health infrastructure; and Improve outreach and health promotion to the community.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Global Health Affairs, Department of Health and Human Services, 200 Independence Ave., S.W., Room 639 H, Washington, DC 20201. Telephone: (202) 690-6174, Fax: (202) 690-7127.

**Web Site Address:**

[www.globalhealth.gov/oirh.shtml](http://www.globalhealth.gov/oirh.shtml).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be screened by OGHA staff for completeness and for responsiveness to the program guidance. Applicants should pay strict attention addressing these criteria, as they are the basis upon which applications will be judged. Those applications judged to be non-responsive or incomplete will be returned to the applicant without review. Applications that are complete and responsive to the guidance will be evaluated for scientific and technical merit by an appropriate peer review group specifically convened for this solicitation and in accordance with HHS policies and procedures. As part of the initial merit review, all applications will receive a written critique. All applications recommended for approval will be discussed fully by the ad hoc peer review group and assigned a priority score for funding. Eligible applications will be assessed according to the following criteria: Technical Approach 45 points; Experience and Capabilities of the Organization 45 points; and Facilities and Resources 10 points.

**93.041 SPECIAL PROGRAMS FOR THE AGING-TITLE VII, CHAPTER 3-PROGRAMS FOR PREVENTION OF ELDER ABUSE, NEGLECT, AND EXPLOITATION**

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and G, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 87 Stat. 30; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175, 101 Stat. 926; Section 705, Public Law 100-628; 42 U.S.C. 3022-3030(p); Public Law 106-501.

**OBJECTIVES:**

To support activities to develop, strengthen, and carry out programs for the prevention, detection, assessment, and treatment of, intervention in, investigation of, and response to elder abuse, neglect, and exploitation (including financial exploitation), including: (1) providing for public education and outreach to identify and prevent elder abuse, neglect, and exploitation; (2) providing for public education and outreach to promote financial literacy and prevent identity theft and financial exploitation of older individuals; (3) ensuring the coordination of services provided by area agencies on aging with services instituted under the State adult protection service program, State and local law enforcement systems, and courts of competent jurisdiction; (4) promoting the development of information and data systems, including elder abuse reporting systems, to quantify the extent of elder abuse, neglect, and exploitation in the State; (5) conducting analyses of State information concerning elder abuse, neglect, and exploitation and identifying unmet service, enforcement, or intervention needs; (6) conducting training for individuals, professionals, and paraprofessionals, in relevant fields on the identification, prevention, and treatment of elder abuse, neglect, and exploitation, with particular focus on prevention and enhancement of self determination and autonomy; (7) providing technical assistance to programs that provide or have the potential to provide services for victims of elder abuse, neglect, and exploitation and for family members of the victims; (8) conducting special and on going training for individuals involved in serving victims of elder abuse, neglect, and exploitation, on the topics of self determination, individual rights, State and Federal requirements concerning confidentiality, and other topics determined by a State agency to be appropriate; (9) promoting the development of an elder abuse, neglect, and exploitation system; (10) examining various types of shelters serving older individuals (in this paragraph referred to as safe havens), and testing various safe haven models for establishing safe havens (at home or elsewhere), that recognize autonomy and self-determination, and fully protect the due process rights of older individuals; and (11) supporting multidisciplinary elder justice activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to State Agencies on Aging to develop and enhance comprehensive and coordinated programs for the prevention and treatment of elder abuse, neglect, and exploitation, consistent with relevant State law and coordinated with State adult protective service activities. A State plan covering 2, 3, or 4 years, with annual revisions as necessary, must be submitted for approval to the Assistant Secretary on Aging. Funds are used to develop, strengthen, and carry out activities for prevention and treatment of elder abuse, neglect and exploitation.

**Applicant Eligibility:**

All States and U.S. Territories which have State Agencies on Aging designated by the governors.

**Beneficiary Eligibility:**

Individuals 60 years of age and older, targeting those older individuals with the

greatest social needs and those with the greatest economic needs.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is subject to the State Plan Coordination Section of E.O. 12372. State plans are covered under this Section, but Intergovernmental Consultation Review is excluded.

**Application Procedure:**

Consult the appropriate Regional Office for State application instructions. (See Appendix IV of the Catalog.)

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award.

**Deadlines:**

Funds are awarded to State Agencies on Aging based on the Federal fiscal year.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute. However, the grants can be terminated by the Assistant Secretary for Aging if the required State Plan is not approved, or if the required intrastate funding formula is not approved.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

Applications are submitted for a 2-, 3-, or 4-year period and are revised as necessary.

**Formula and Matching Requirements:**

No matching is required. The statistical factor used for fund allocation is the State population of persons 60 years of age and over and the source is the most recent data available to the Assistant Secretary for Aging. In addition, minimum allotments are established for States. Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

SF 269 Financial Status Report (Semi-annual), and the Annual Program Performance Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$5,146,000; FY 08 \$5,146,000; and FY 09 est \$5,146,000.

**Range and Average of Financial Assistance:**

\$3,184 to \$516,587; \$90,974.

**PROGRAM ACCOMPLISHMENTS:**

Fifty-six grants were awarded to States and related jurisdictions in fiscal year 2006, and the same is anticipated in fiscal years 2007 and 2008. Conducted activities include public education about ways in which older people are victimized, technical assistance and training for professionals that provide assistance to older victims, and promotion of coordination between professionals and agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Mr. Edwin L. Walker, Director, Deputy Assistant Secretary for Policy and Programs, Administration on Aging, Department of Health and Human Services, Washington, DC 20001. Telephone: (202) 401-4634. Use the same number for FTS.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.042, Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals; 93.043, Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.044, Special Programs for the Aging Title III, Part B Grants for Supportive

Services and Senior Centers; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.049, Special Programs for the Aging Title VII, Chapter 6 Allotments for Vulnerable Elder Rights Protection Programs; 93.052, National Family Caregiver Support, Title III, Part E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

State grants are awarded upon approval of a State Plan.

**93.042 SPECIAL PROGRAMS FOR THE AGING-TITLE VII, CHAPTER 2-LONG TERM CARE OMBUDSMAN SERVICES FOR OLDER INDIVIDUALS**

(State Grants for Long Term Care Ombudsman Services)

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Title III and Title VII, Chapter 2, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 87 Stat. 30; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478; 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175, 101 Stat. 926; Section 705, Public Law 100-628; 42 U.S.C. 3022-3030(d); Public Law 102-375; Public Law 106-501.

**OBJECTIVES:**

The principal role of this Ombudsman Program is to investigate and resolve complaints made by or on behalf of residents of nursing homes or other long-term care facilities serving older people. Ombudsmen also promote policies and practices needed to improve the quality of care and life in long-term care facilities and educate both consumers and providers about residents' rights and good care practices.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop or strengthen service systems through designated State Agencies on Aging, Area Agencies on Aging and other local entities. Funds under this Title and Chapter are included in State aging plans covering 2, 3, or 4 years, with annual revisions as necessary, submitted for approval to the Assistant Secretary for Aging. Funds are used to design and implement programs for the provision of long-term care ombudsman services for older individuals living in long-term care facilities.

**Applicant Eligibility:**

All States and U.S. Territories which have State Agencies on Aging designated by the governors.

**Beneficiary Eligibility:**

Older individuals residing in institutional long-term care facilities or requiring assistance in entering or transferring from such facilities.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is subject to the State Plan Coordination Section of E.O. 12372. State plans are covered under this Section, but Intergovernmental Consultation Review is excluded.

**Application Procedure:**

Consult the appropriate Regional Office for State application instructions. (See Appendix IV of the Catalog for listing.)

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging.

**Deadlines:**

Funds are awarded to State Agencies on Aging annually, based on the Federal fiscal year.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Applications are submitted for a 2-, 3-, or 4-year period and revised as necessary.

**Formula and Matching Requirements:**

No matching is required. The statistical factor used for fund allocation is the State population of persons 60 years of age and over and the source is the most recent data available to the Assistant Secretary for Aging. In addition, minimum allotments are established for smaller States and Territories. Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

SF 269 Financial Status Report (Semi-annual), and the annual program report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$14,935,942; FY 08 est \$15,421,261; FY 09 \$15,421,261.

**Range and Average of Financial Assistance:**

\$9,228 to \$1,506,829; \$265,362.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 56 grants were made to States and related jurisdictions. The principal role of the Ombudsman Program is to investigate and resolve complaints made by or on behalf of residents. Ombudsmen also promote policies and practices needed to improve the quality of care and life in long-term care facilities, and educate both consumers and providers about residents' rights and good care practices. Projected Ombudsman accomplishments for 2007 include: identify, investigate and resolve complaints made by or on behalf of residents; provide information to residents about long-term care services; represent the interests of residents before governmental agencies and seek administrative, legal and other remedies to protect residents; analyze, comment on and recommend changes in laws and regulations pertaining to the health, safety, welfare and rights of residents; educate and inform consumers and the general public regarding issues and concerns related to long-term care and facilitate public comment on laws, regulations, policies and actions; promote the development of citizen organizations to participate in the program; provide technical support for the development of resident and family councils to protect the well-being and rights of residents; and advocate for changes to improve resident's quality of life and care.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Frank Burns, Director, Long-Term Care Ombudsman Programs, Administration on Aging, Department of Health and Human Services, Washington, DC 20001; Telephone: (202) 357-3516. Use the same number for FTS.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041, Special Programs for the Aging Title VII, Chapter 3 Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.043, Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.048, Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.052, National Family Caregiver Support, Title III, Part E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non-competitive basis.

### 93.043 SPECIAL PROGRAMS FOR THE AGING-TITLE III, PART D-DISEASE PREVENTION AND HEALTH PROMOTION SERVICES

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and F, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 87 Stat. 30; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175, 101 Stat. 926; Section 705, Public Laws 100-628, 102-375, and 106-501, 42 U.S.C. 3022-3030(M).

**OBJECTIVES:**

To develop or strengthen preventive health service and health promotion systems through designated State Agencies on Aging and Area Agencies on Aging. Funds are provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening; counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression, and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction; gerontological counseling and counseling regarding social services and follow-up health services.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop or strengthen preventive health service and health promotion systems through designated State Agencies on Aging and area Agencies on Aging. A State plan covering 2, 3, or 4 years, with annual revisions as necessary, must be submitted to State agencies for approval. Funds are used to design and implement programs for periodic preventive health services to be provided at senior centers or alternative sites as appropriate. The preventive health services under this part may not include services eligible for reimbursement under Medicare.

**Applicant Eligibility:**

Only States and U.S. Territories which have State Agencies on Aging designated by the governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Older individuals, especially those living in areas of States which are medically underserved and in which there are a large number of older individuals who have the greatest economic need for the services.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is subject to the State Plan Coordination Section of E.O. 12372. State plans are covered under this Section, but intergovernmental consultation review is excluded.

**Application Procedure:**

Consult the appropriate Regional Office for State application instructions.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, which they have designated.

**Deadlines:**

Funds are awarded to State Agencies on Aging based on the Federal fiscal year.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

Applications are submitted for a 2-, 3-, or 4-year period with annual revisions.

**Formula and Matching Requirements:**

Formula grants are 85 percent Federal and 15 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

SF 269 Financial Status Report (Semi-annual) and the Annual Program Performance Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$21,400,000; FY 08 \$20,815,881; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$13,324 to \$2,161,730; \$380,694.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 56 grants to States and related jurisdictions were made. In fiscal year 2007, 56 grants to States and related jurisdictions are anticipated. For



FY 2008, no grants to States are anticipated. Funds are provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening; counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression, and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction; gerontological counseling and counseling regarding social services and follow-up health services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Bob Hornyak, Office for Community-Based Services, Administration on Aging, Department of Health and Human Services, Washington, DC 20001. Telephone: (202) 357-0150; E-mail: Robert.Hornyak@aoa.hhs.gov.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.052, National Family Caregiver Support, Title III, Part E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non-competitive basis. State Grants are awarded upon approval of a State Plan.

### 93.044 SPECIAL PROGRAMS FOR THE AGING-TITLE III, PART B-GRANTS FOR SUPPORTIVE SERVICES AND SENIOR CENTERS

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and B, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 89 Stat. 301; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat 713; Public Law 95- 65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Section 705, Public Law 100-628; 42 U.S.C. 3022-3030d; Public Law 106-501.

**OBJECTIVES:**

To encourage State Agencies on Aging and Area Agencies on Aging to concentrate resources to develop and implement comprehensive and coordinated community-based systems of service for older individuals via Statewide planning, and area planning and provision of supportive services, including multipurpose senior centers. The objective of these services and centers is to maximize the informal support provided to older Americans to enable them to remain in their homes and communities. Providing transportation services, in-home services, and caregiver support services, this program insures that elders receive the services they need to remain independent.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop and strengthen comprehensive and coordinated service delivery systems through designated State Agencies on Aging and Area Agencies on Aging. A State plan covering 2, 3, or 4 years, with annual amendments as necessary, must be submitted for approval to the Assistant Secretary for Aging. Area Plans also cover 2, 3, or 4 years, and are to be submitted to State agencies for approval. These funds are distributed by intrastate funding formulas to area agencies in States with planning and service areas and directly to service providers in the 13 States designated as single-planning-and-service-area States. In addition to supportive nutrition services, these funds may be used to support other services including the renovation, acquisition and alteration, and construction of multipurpose senior centers.

**Applicant Eligibility:**

Only State and U.S. Territories which have State Agencies on Aging designated by the Governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Individuals age 60 and over, targeting those older individuals with the greatest economic needs, the greatest social needs, and those residing in rural areas.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in

accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but intergovernmental consultation review is excluded.

**Application Procedure:**

Consult the appropriate Regional Office for State application instructions. Also, see 45 CFR 1321.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, which they have designated.

**Deadlines:**

Funds are awarded to State Agencies on Aging based on the Federal fiscal year.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

State Plans are submitted for a 2-, 3-, or 4-year period with annual revisions as necessary.

**Formula and Matching Requirements:**

Formula Grants are 85 percent Federal and 15 percent nonfederal funds. This program has maintenance of effort (MOE) requirements. See funding agency for further details.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

SF 269 Financial Status Report (semi-annually) and the Annual Program Performance Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$350,595,000; FY 08 est \$350,595,000; and FY 09 est \$350,595,000.

**Range and Average of Financial Assistance:**

\$218,293 to \$34,578,882; \$6,236,931.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 56 grants were awarded to States and U.S. Territories. In fiscal years 2007 and 2008, 56 grants to States and U.S. Territories awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Bob Hornyak, Office for Community-Based Services, Administration on Aging, Department of Health and Human Services, Washington, DC 20001; Telephone: (202) 357-0150; E-mail: Robert.Hornyak@aoa.hhs.gov.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041, Special Programs for the Aging Title VII, Chapter 3 Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042, Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals; 93.043, Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.048, Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.052, National Family Caregiver Support, Title III, Part E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Noncompetitive. State grants awarded based on approval of State Plan, and intrastate funding formula for States with area agencies.

### 93.045 SPECIAL PROGRAMS FOR THE AGING-TITLE III, PART C-NUTRITION SERVICES

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Parts A and C, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 85 Stat. 108; Public Law 92-258, 86 Stat. 88; Public Law 93-29, 87 Stat. 301; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478, 92 Stat. 513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Title III, Part C, Public Law 100-175; Public Law 100-628; 42 U.S.C. 3030e-3030g; Public Law 102-375; Public 106-501.

**OBJECTIVES:**

To provide grants to States to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services for older Americans in order to maintain health, independence and quality of life. Meals may be served in a congregate setting or delivered to the home, if the older individual is homebound.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Local projects must provide a hot or other appropriate meal which complies with the Dietary Guidelines for Americans and provides one-third of the Dietary Reference Intakes (DRI), at least once per day, five or more days per week, except in rural areas where a lesser frequency is determined feasible, to eligible people aged 60 and over and their spouses.

**Applicant Eligibility:**

Only States and U.S. Territories which have State Agencies on Aging designated by the governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Older individuals aged 60 and over and their spouses, especially those older individuals with the greatest social need or those with the greatest economic need, and in certain cases, under age 60, if the individual is handicapped or disabled and resides with an older individual.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but intergovernmental consultation review is excluded.

**Application Procedure:**

Consult the appropriate Regional Office for State Plan instructions.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula.

**Deadlines:**

Funds are awarded to State Agencies on Aging based on the Federal fiscal year.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

State Plans are submitted for a 2-, 3-, or 4-year period, with annual revisions as necessary.

**Formula and Matching Requirements:**

Formula grants are 85 percent Federal and 15 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

SF 269 Financial Status Report (Semi-annual) and the annual Program Performance Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) Congregate Nutrition Services: FY 07 \$398,919,000; FY 08 est

\$383,401,000; and FY 09 est \$383,401,000. Home Delivered Nutrition Services: FY 07 \$188,305,000; FY 08 est \$180,998,000; and FY 09 \$180,998,000.

**Range and Average of Financial Assistance:**

Congregate Nutrition Services: \$240,408 to \$34,919,214; \$6,854,641. Home-Delivered Nutrition Services: \$113,260 to \$18,372,773; \$3,236,006.

**PROGRAM ACCOMPLISHMENTS:**

Fifty-six grants were made to States and related jurisdictions in fiscal year 2006. It is estimated that 56 grant awards will be made in fiscal years 2007 and 2008. Congregate and home delivered meals improved nutritional status, decreased the risk of disease and disability, and helped maintain physical and mental functions to millions of older Americans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Bob Hornyak, Office for Community-Based Services, Administration on Aging, Department of Health and Human Services, Washington, DC 20001; Telephone: (202) 357-0150. E-mail: Robert.Hornyak@aoa.hhs.gov. Use the same number for FTS.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

10.550, Food Donation; 93.053, Nutrition Services Incentive Program; 93.041, Special Programs for the Aging Title VII, Chapter 3 Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042, Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals; 93.043, Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.048, Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.052, National Family Caregiver Support, Title III, Part E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Non-competitive. State grants are awarded based on approval of a State plan.

### 93.047 SPECIAL PROGRAMS FOR THE AGING-TITLE VI, PART A, GRANTS TO INDIAN TRIBES-PART B, GRANTS TO NATIVE HAWAIIANS

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Public Law 89-73, as amended; Title VI, Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175, 42 U.S.C. 3057; Public Law 100-628; Public Law 102-375; Public Law 106-501.

**OBJECTIVES:**

To promote the delivery of supportive services, including nutrition services, to older Indians, Alaskan Natives, and Native Hawaiians and to enable tribal organizations to provide multifaceted systems of support services to family caregivers. Services are comparable to services provided under Title III of the Older Americans Act of 1965, as amended.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are available through grants to eligible Indian Tribal Organizations for services comparable to those provided under Title III. Services must include nutrition services and information and referral, and may include transportation and other services authorized under Title III. Funds may be used for staffing senior centers. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+. Grants also are available to private or nonprofit organizations having the capacity to provide services to older Native Hawaiians.

**Applicant Eligibility:**

Tribal organizations of Indian tribes eligible for assistance under Section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), and public or nonprofit private organizations which serve Native Hawaiian Elders, which represent at least 50 Indians or Hawaiians 60 years of age or older. Applicants must demonstrate that they have the ability to deliver supportive and nutrition services.

**Beneficiary Eligibility:**

Indians who are 60 years of age and older, and in the case of nutrition services, their spouses. Tribes also have the authority to define Indians under 60 years of age as "older Indian" making them eligible for services.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

In order to receive a grant, the eligible tribal organization, or for Native Hawaiians, the nonprofit private organization serving Native Hawaiians, must submit an application in accordance with instructions published in the Federal Register by the Administration on Aging.

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Established when grant application instructions are issued in the Federal Register. Contact Headquarters Office for further information.

**Range of Approval/Disapproval Time:**

Usually within 30 to 60 days.

**Appeals:**

Appeals are processed in accordance with Administration on Aging regulations in 45 CFR 1326 and 1328.

**Renewals:**

Renewals within the grant period are based on satisfactory performance during the prior year, and the availability of funds.

**Formula and Matching Requirements:**

Although the agency maintains discretion in determining when and how many awards will be made under Title VI, a population based formula application process will be used to actually award funds. The formula is based on the number of elders a tribal organization represents who are 60 years of age or older. The minimum number is 50 elderly Indians or Native Hawaiians. Currently, fund formula categories are: population 50-100: Band 1; population 101-200: Band 2; population 201-300: Band 3; population 301-400: Band 4; population 401-500: Band 5; population 501-1500: Band 6; population 1,500+ Bank 7. There is no matching required.

**Length and Time Phasing of Assistance:**

Funds for grants are awarded for no less than a 12-month period.

**Reports:**

Annual program and financial reports are required of grantees.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) Parts A and B: FY 07 est \$26,134,020; FY 08 est \$26,134,000; and FY 09 est \$26,134,000.

**Range and Average of Financial Assistance:**

Grants to Indian Tribes, Part A range from \$72,740 to \$178,703; average \$98,813. Grants to Native Hawaiians, Part B range from \$93,720 to \$1,689,630; average \$891,675.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, grants were awarded to 243 tribal organizations and two Native Hawaiian Organizations for nutrition and supportive services to Native American, Alaskan Native, and Native Hawaiian elders. A similar number of grants are expected to be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1328. Guidelines are issued by the Assistant Secretary for Aging.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services Regional Offices (See Appendix IV of the Catalog).

**Headquarters Office:**

Dr. Yvonne Jackson, Director, Office of American Indian, Alaskan Native, and Native Hawaiian Programs, Administration on Aging, Department of Health and Human Services, Washington, DC 20201; Telephone: (202) 357-3501. E-mail: Yvonne.Jackson@aoa.hhs.gov. Use the same number for FTS.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041, Special Programs for the Aging Title VII, Chapter 3 Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042, Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals; 93.043, Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior

Centers; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.052, National Family Caregiver Support, Title III, Part E.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Supportive and Nutrition Services for Older Indian Persons - Passamaquoddy Tribe, Perry, Maine; (2) Supportive and Nutrition Services to Older Indian Persons - San Carlos Apache Tribe; (3) Supportive and Nutrition Services to Older Indian Persons - Yakima Indian Nation; (4) Supportive and Nutrition Services to Older Indian Persons - St. Croix Tribal Council, Wisconsin; (5) Supportive and Nutrition Services to Older Indians - Ute Mountain Ute Tribe.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made based upon the extent to which the project meets the requirements of the law and regulations.

**93.048 SPECIAL PROGRAMS FOR THE AGING-TITLE IV- AND TITLE II-DISCRETIONARY PROJECTS****FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, Title IV, Public Law 89-73, 79 Stat. 218, as amended; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Public Law 100- 628, 42 U.S.C. 3031-3037b; Public Law 102-375; Public Law 106-501.

**OBJECTIVES:**

To support the development and testing of innovative programs, services and systems of support that respond to the needs of the nations growing elderly population, to improve knowledge of the problems and needs of the elderly, to help ensure adequately trained personnel in the field of aging, and to demonstrate better ways of improving the quality of life for the elderly.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Funds may be used to: (a) demonstrate new methods and practices to improve the quality and effectiveness of programs and services; (b) to evaluate existing programs and services; (c) conduct applied research and analysis to improve access to and delivery of services; (d) train professionals in the field. Funds may not be used for: (a) construction and/or major rehabilitation of buildings; (b) basic research (e.g., bio-medical experiments); (c) continuation and/or expansion of existing services, including supportive and nutritional services such as those funded under Title III of the Older Americans Act; (d) medical care, institutional care or income maintenance; (e) projects which do not involve innovative approaches, and whose outcomes do not have the potential for national dissemination and replication; (f) equipment purchases unless the equipment is necessary to carry out a project that is otherwise fundable under Title IV.

**Applicant Eligibility:**

Grants may be made to any public or nonprofit private agency, organization, or institution. Contracts may be awarded to any agency, organization or institution. Grants and contracts are not available to individuals.

**Beneficiary Eligibility:**

Older individuals aged 60 and older, family caregivers and grandparents, and older individuals who are relative caregivers.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Applications are submitted in response to a request for proposals which are published from time to time. Applicants must use the standard application forms as provided by DHHS for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The availability of competitive grant funds under Title IV is announced from time to time via program announcements that are simultaneously published on [www.grants.gov](http://www.grants.gov) and on the AoA web site at [www.aoa.gov/doingbus/fundopp/fundopp.asp](http://www.aoa.gov/doingbus/fundopp/fundopp.asp). In addition, announcements intended for a wide audience of applicants may be published in the Federal Register. All required forms and instructions for specific program announcements can be found on the AoA web site or by contacting the Administration on Aging, Office of Grants Management. Contract information is published in the "Commerce Business Daily."

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

As specified in each program announcement posted on [www.grants.gov](http://www.grants.gov) and [www.aoa.gov/doingbus/fundopp/fundopp.asp](http://www.aoa.gov/doingbus/fundopp/fundopp.asp).

**Range of Approval/Disapproval Time:**

From 60 to 90 days from receipt of application.

**Appeals:**

None.



**Renewals:**

Grant extensions are available and may be requested from the grantee's Program Officer.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements may be required of any grantee to the extent deemed appropriate by the Assistant Secretary for Aging and are generally set at a minimum of 25 percent of the total cost of the project.

**Length and Time Phasing of Assistance:**

Generally, projects are approved for a period of 12 to 36 months. Support beyond the first year is contingent upon the availability of funds and evidence of satisfactory progress.

**Reports:**

Semi-annual progress reports and final reports are required of grantees. Annual financial reports are required. Reports to be submitted by the grantees or contractors are specified in the contract or grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$37,190,699; FY 08 est \$48,618,000; and FY 09 est \$48,618,000.

**Range and Average of Financial Assistance:**

\$15,000 to \$2,931,390; \$204,476.

**PROGRAM ACCOMPLISHMENTS:**

The number of awards in fiscal year 2006 totaled 210. It is estimated that 228 awards will be made in fiscal year 2007. Awards in fiscal year 2006 were made to support: (1) A national program to enlist retired professional and other older volunteers in combating Medicare/Medicaid fraud and waste; (2) a national program of statewide senior legal information services, legal and related elder rights projects; (3) Performance Outcomes Measures Projects; (4) the Eldercare Locator, a national toll-free aging information and assistance telephone service; (5) projects focused on minority aging issues; (6) information and assistance resource centers for older adults and persons with disabilities; (7) evidence-based health promotion and disease prevention grants designed to translate clinical research into effective approaches delivered through community-based aging services providers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See Chapter XIII, Title 45 of the Code of Federal Regulations on AoA supported projects. Annual guidelines, program information, and application instructions are available from the Administration on Aging, Washington, DC 20201.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:**

Greg Case, Center for Planning and Policy Development, Administration on Aging; Department of Health and Human Services, Washington, DC 20201; Telephone: (202) 357-3442. E-mail: Greg.Case@aoa.hhs.gov. T (202) 401-4634 for FTS.

**Web Site Address:**

<http://www.aoa.gov>. For information on current funding opportunities and associated application forms, visit: [www.aoa.gov/doingbus/fundopp/fundopp.asp](http://www.aoa.gov/doingbus/fundopp/fundopp.asp).

**RELATED PROGRAMS:**

93.041, Special Programs for the Aging Title VII, Chapter 3 Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042, Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals; 93.043, Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.051, Alzheimer's Disease Demonstration Grants to States; 93.052, National Family Caregiver Support, Title III, Part E; 93.990, National Health Promotion.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Evidence-Based Disease Prevention Grants Program; (2) National Center on Elder Abuse; (3) Alzheimer's Disease Demonstration Grants to States Program; (4) Senior Medicare Patrol Projects; and (5) Aging and Disability Resource Centers.

**CRITERIA FOR SELECTING PROPOSALS:**

Details for evaluating applications are published as part of each Title IV program announcement. Major emphases are: (1) documented need; (2) expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) involvement of community-based organizations in planning and implementation activities; and, (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.051 ALZHEIMER'S DISEASE DEMONSTRATION GRANTS TO STATES**

(Alzheimer's Demonstration Program)

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

The Alzheimer's Disease Demonstration Grants to States (ADDGS) program was established under Section 398 of the Public Health Service Act (Public Law 78-410; 42 U.S.C. 280c-3). It was amended by the Home Health Care and Alzheimer's Disease Amendments of 1990 (Public Law 101-557) and by the Health Professions Education Partnerships Act of 1998 (Public Law 105-392).

**OBJECTIVES:**

To assist States in creating a system of dementia care for persons with Alzheimer's disease and their families, by carrying out demonstration projects for planning, establishing, and operating programs to: (1) Create models of assistance for persons with Alzheimer's disease and their families; and (2) to improve the responsiveness of the existing home and community based care system to persons with Alzheimer's disease and related disorders and their families by linking programs to other state system change efforts, including state programs to streamline consumer access to services and family caregiver support programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

(1) Not less than 50 percent of the federal grant must be spent on home health care, personal care, day care, companion services, short-term care in health facilities, and other respite care to individuals with Alzheimer's disease and related disorders. (2) Grant funds cannot be used to replace existing, State, Federal, or private insurance funds. (3) Matching funds are required. (4) Not more than 10 percent of the grant will be expended for administrative expenses.

**Applicant Eligibility:**

State government agencies are eligible for grant awards; the applicant agency is encouraged to have the support and active involvement of the Single State Agency on Aging. Only one application per State will be funded, however, multiple state and local agencies are encouraged to collaborate in planning and carrying out the project.

**Beneficiary Eligibility:**

(1) Individuals with Alzheimer's disease and related disorders; (2) families of those individuals; and (3) care providers of those individuals.

**Credentials/Documentation:**

Applicants must submit: (1) A description of intended use of the grant; (2) information describing programs and activities to be supported; (3) the number of individuals receiving services and the cost of services; and (4) a plan describing coordination of such services. Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant Application for Federal Assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging (AoA) and will be published in Grants.gov when funding is available. As specified in the program announcement, application forms and instructions may be obtained by writing to the US Department of Health and Human Services, Administration on Aging, Grants Management Office, Washington, DC 20201.

**Award Procedure:**

After review and approval, notification of award will be issued to the grantee, along with appropriate notification to the public.

**Deadlines:**

As specified in guidelines published in the Program Announcement and on Grants.gov.

**Range of Approval/Disapproval Time:**

Approximately 90 days from closing date or receipt of application.

**Appeals:**

None.

**Renewals:**

As outlined in the program announcement.

**Formula and Matching Requirements:**

Matching requirements are as follows: first year of the award, 25 percent nonfederal matching requirement; second year, 35 percent nonfederal; and third

and subsequent years, 45 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

**Length and Time Phasing of Assistance:**

Awards are typically 3 years in duration. Length of future awards will be published in the program announcement and on Grants.gov.

**Reports:**

Financial status reports are required annually, program progress reports are required semi-annually, and final reports are due at the end of the full project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$11,668,000; FY 08 \$10,996,505; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$100,000 to \$300,000; \$270,144.

**PROGRAM ACCOMPLISHMENTS:**

Program evaluation includes analysis of seven years of longitudinal program data and ongoing project evaluation. During the first ten years of program implementation, over 15,000 client families have received direct services (such as adult day care, respite, personal care, home health care, and companion care) and approximately 1 million units of outreach, including educational seminars and workshops have been provided to family caregivers, community service providers, and volunteers. Nearly 50 percent of the clients served are minorities and 48 percent of those receiving services reside in rural areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Home Health Care and Alzheimer's Disease Amendments of 1990 (Public Law 101-557); Health Professions Education Partnerships Act of 1998 (Public Law 105-392).

**Regional or Local Office:**

Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.)

**Headquarters Office:**

Lori Stalbaum, Center for Wellness and Community-Based Services, Department of Health and Human Services, Administration on Aging, Washington, DC 20201; Telephone: (202) 357-3452 or (202) 401-4634. Use the latter number for FTS. E-mail: Lori.Stalbaum@aoa.hhs.gov.

**Web Site Address:**

For more information about current funding opportunities and associated application forms visit - <http://www.aoa.gov/doingbus/fundopp/fundopp.asp> or [www.grants.gov](http://www.grants.gov)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A listing of currently funded projects may be obtained by contacting Lori Stalbaum at (202) 357-3452 or by visiting <http://www.aoa.gov/alz>.

**CRITERIA FOR SELECTING PROPOSALS:**

As specified in the program announcement.

**93.052 NATIONAL FAMILY CAREGIVER SUPPORT, TITLE III, PART E**

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act, as amended, Public Law 106- 501, Title III, Part E and VI, Part C.

**OBJECTIVES:**

To assist States, Territories and Indian Tribal Organizations in providing multifaceted systems of support services for: (1) Family caregivers; and (2) grandparents or older individuals who are relative caregivers. Services to be provided include: information to caregivers about available services; assistance to caregivers in gaining access to the services; individual counseling, and caregiver training to caregivers to assist the caregivers in making decisions and solving problems relating to their caregiving roles; respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and supplemental services, on a limited basis, to complement the care provided by caregivers.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

These two authorities are for making grants to States and Territories under Title III-E and to Indian Tribal Organizations under Title VI-C to enable the provision of multifaceted systems of support services for family caregivers; and for grandparents or older individuals who are relative caregivers.

**Applicant Eligibility:**

Formula grants: State governments and U.S. Territories, with distribution to designated area agencies on aging through an approved State plan and intrastate funding formula. Project (Title VI-C) grants: Indian Tribal Organizations and Native Hawaiian organizations with approved applications under Title VI, Parts A and B.

**Beneficiary Eligibility:**

Family caregivers, grandparents and older individuals who are relative caregivers will benefit.

**Credentials/Documentation:**

Formula Grants - Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Project Grants (Title VI-C). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Formula Grants - This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but Intergovernmental Consultation Review is excluded. Project Grants (Title VI-C): standard application forms will be provided and may be used for this program. Applicants are encouraged to consult with the Administration on Aging in the development of the application.

**Application Procedure:**

Formula Grants - Application Procedures: Consult with the appropriate Regional Office for State application instruction. Project Grants (Title VI-C) - Grant applications are in accordance with program announcements developed by the Administration on Aging (AoA) and will be published in the Federal Register. As specified in the program announcement, application forms and instructions may be obtained by writing to the Administration on Aging, Grants Management Division, 330 Independence Avenue, SW., Cohen Building, 4th Floor, Washington, DC 20201.

**Award Procedure:**

Formula Grants - The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, that they have designated. Project Grants (Title VI-C). After review and approval, notification of award will be issued to the grantee, along with appropriate notification to the public.

**Deadlines:**

Formula Grants - Funds are awarded to State Agencies on Aging based on the Federal fiscal year. Project Grants (Title VI-C) are as specified in guidelines published in the Federal Register.

**Range of Approval/Disapproval Time:**

Formula Grants - States are entitled to these grants by statute. Project Grants (Title VI-C) - Approximately 60 to 90 days from closing date or receipt of application.

**Appeals:**

Formula Grants and Project Grants Under Title VI-C - Appeals are processed in accordance with the HHS regulations in 45 CFR, Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

Formula Grants - State plans are submitted for a 2,3,or 4-year period, with annual revisions as necessary. Project Grants (Title VI-C) are as outlined in the program announcement published in the Federal Register.

**Formula and Matching Requirements:**

Formula grants (Title III-E) -- are 75 percent Federal and 25 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services. Project Grants (Title VI-C) - no matching requirements.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

Financial status reports and program progress reports are required semi-annually for formula and project grants, including a final report at the end of each grant year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records must be kept available for 3 years after submission of

expenditure reports and 5 years after final disposition of non-expendable property in accordance with the regulations at 45 CFR 74, Subpart D.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$160,428,000; FY 08 \$151,904,374; and FY 09 est \$153,439,000.

**Range and Average of Financial Assistance:**

\$14,720 to \$15,532,999; \$633,253.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, funds were provided to enable 56 States to provide multifaceted systems of support services for family caregivers and for grandparents or older individuals who are relative caregivers. In fiscal years 2006 and 2007, it is estimated that a similar number of grants will be made to states, area agencies on aging, and Tribal Organizations. Project Grants (Title VI-C): Funds are provided to Indian Tribal Organizations and Native Hawaiian organizations to provide multifaceted systems or support services for family caregivers and for grandparents or older individuals who are relative caregivers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula and Project Grants: 45 CFR 75, 45 CFR 92.

**Regional or Local Office:**

Administration on Aging Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.)

**Headquarters Office:**

Formula Grants: Rick Greene, Center for Wellness and Community-Based Services, Administration on Aging, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 357-3586. E-mail: Rick.Greene@aoa.gov. Project Grants (Title VI-C): Yvonne Jackson, Office for American Indian, Alaskan Natives and Native Hawaiian Programs, Administration on Aging, Washington, DC 20201. Telephone: (202) 357-3501. E-mail: Yvonne.Jackson@aoa.gov.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Project Grants (Title VI-C) are as published in the Federal Register.

### 93.053 NUTRITION SERVICES INCENTIVE PROGRAM

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Older Americans Act of 1965, as amended, Section 311, 42 U.S.C. 303a, Section 604, 42 U.S.C. 3057.

**OBJECTIVES:**

To reward effective performance by States and Tribes in the efficient delivery of nutritious meals to older adults through the use of cash or commodities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are made available to State agencies on aging and Indian Tribal Organizations to purchase foods of United States origin or to access commodities from the United States Department of Agriculture (USDA). These foods are to be used in the preparation of congregate and home-delivered meals by nutrition services programs. Commodities available from the USDA may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of USDA.

**Applicant Eligibility:**

State agencies on aging and Indian Tribal Organizations (ITO) that receive funding through Titles III and VI of the OAA may receive grants of cash from the Administration on Aging (AoA) or commodities from the USDA.

**Beneficiary Eligibility:**

For Title III congregate meals, persons who are older adults (age 60 years and above) or a spouse of an older adult, regardless of age; disabled adults who live in housing facilities primarily occupied by older adults where a congregate site is located; disabled adults under age 60, who reside at home with older adults; and volunteers, regardless of age, who assist in meal service during meal hours. For Title III home-delivered meals, an older individual must be assessed to be homebound. The spouse of a homebound individual regardless of age or condition may receive a meal if receipt of the meal is assessed to be in the best interest of the homebound older adult. For Title VI, all of these criteria apply. In addition, an ITO may select the age that defines who is an older adult.

**Credentials/Documentation:**

State agencies on aging and Indian Tribal Organizations must complete agreements with the AoA. Nutrition Programs must comply with forms

established by their State agencies on aging.

**Preaapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All States and Indian Tribal Organizations are eligible, no applications required.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Title III and Title VI program agreements are indefinite, unless withdrawal is requested or required because of program irregularities.

**Formula and Matching Requirements:**

The NSIP is based on a performance incentive model. State agencies on aging and ITOs receive NSIP funding based on the number of meals served in the prior federal fiscal year in proportion to all other States and tribes and the available appropriation. State agencies and ITOs may elect to receive commodities through procedures established by the USDA. There are no match requirements.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Annual financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Adequate to account for all receipts and dispositions; to be retained for 3 years following the close of the fiscal year.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$147,846,000; FY 08 \$151,894,688; and FY 09 est \$153,429,000.

**Range and Average of Financial Assistance:**

\$58 to \$14,641,700; \$499,248.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2005 about 238 million meals were served to program participants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92.

**Regional or Local Office:**

Regional Administrators, Administration on Aging, Department of Health and Human Services, Region Offices. (See Appendix IV of the Catalog).

**Headquarters Office:**

Jean Lloyd, Office for Community-Based Services, Administration on Aging, Department of Health and Human Services, Washington, DC 20201. Telephone: (202) 357-3582. Use the same number for FTS. E-mail: Jean.Lloyd@aoa.hhs.gov.

**Web Site Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.047, Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians.

**EXAMPLES OF FUNDED PROJECTS:**

Programs 93.045 and 93.047, Special Programs for the Aging relating to nutrition services and Indian programs respectively are examples of projects that have been funded under this program. Both of these programs supply supportive services including nutrition services to older Americans.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

### 93.054 NATIONAL FAMILY CAREGIVER SUPPORT, TITLE VI, PART C, GRANTS TO INDIAN TRIBES AND NATIVE HAWAIIANS

**FEDERAL AGENCY:**



**AUTHORIZATION:**

Older Americans Act, as amended, Public Law 106-501; Public Law 109-365, Title VI, Part C.

**OBJECTIVES:**

To assist Indian Tribal Organizations in providing multifaceted systems of support services for: (1) Family caregivers; and (2) grandparents or older individuals who are relative caregivers. Services to be provided include: information to caregivers about available services; assistance to caregivers in gaining access to the services; individual counseling and caregiver training to assist the caregivers in making decisions and solving problems relating to their caregiving roles; respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and supplemental services, on a limited basis, to complement the care provided by caregivers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This authority is for making grants to Indian Tribal Organizations under Title VI-C to enable the provision of multifaceted systems of support services for family caregivers; and for grandparents or older individuals who are relative caregivers.

**Applicant Eligibility:**

Indian Tribal Organizations and Native Hawaiian organizations with approved applications under Title VI, Parts A and B.

**Beneficiary Eligibility:**

Family caregivers, grandparents, and older individuals who are relative caregivers will benefit.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Standard application forms will be provided and may be used for this program. Applicants are encouraged to consult with the Administration on Aging in the development of the application. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Grant applications are submitted in accordance with program announcements developed by the Administration on Aging (AoA) and will be published in the Federal Register. As specified in the program announcement, application forms and instructions may be obtained by writing to the U.S. Administration on Aging, Dept. of Health & Human Services, Office of Grants Management, Washington, DC 20001.

**Award Procedure:**

After review and approval, notification of award will be issued to the grantee, along with appropriate notification to the public.

**Deadlines:**

Grants are awarded as specified in guidelines published in the Federal Register.

**Range of Approval/Disapproval Time:**

Grants are approved approximately 60 to 90 days from closing date or receipt of application.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1326 and 1328.

**Renewals:**

Renewals are issued as outlined in the program announcement published in the Federal Register.

**Formula and Matching Requirements:**

This program has no matching requirements.

**Length and Time Phasing of Assistance:**

One year.

**Reports:**

Financial status reports and program progress reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Grants) FY 07 \$6,241,000; FY 08 \$6,268,335; and FY 09 est \$6,316,000.

**Range and Average of Financial Assistance:**

\$14,510 to \$59,310; \$31,048.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal years 2007 and 2008, it is estimated that 109 grants will be made to Tribal Organizations. Funds are provided to Indian Tribal Organizations and Native Hawaiian organizations to provide multifaceted systems or support services for family caregivers and for grandparents or older individuals who are relative caregivers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74, 45 CFR Part 92.

**Regional or Local Office:**

Administration on Aging Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.)

**Headquarters Office:**

Yvonne Jackson, Office for American Indian, Alaskan Natives and Native Hawaiian Programs, Administration on Aging, Washington, DC 20201. Telephone: (202) 357-3501. E-mail: Yvonne.Jackson@aoa.hhs.gov.

**Web Site Address:**

http://www.aoa.gov

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are published in the Federal Register.

**93.061 INNOVATIONS IN APPLIED PUBLIC HEALTH RESEARCH**

CDC Health Protection Research Initiative (HPRI)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 317(k)(2) of the Public Health Service Act, 42 U.S.C. 247b(k)(2), as amended.

**OBJECTIVES:**

To foster the new knowledge necessary to develop, enhance, and disseminate effective public health services, programs, and policies that improve health and quality of life for the population.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Applied public health research provides the critical new knowledge to address the CDC Health Protection Goals and identified priority research needs.

Research is focused on improving public health practices to maximize positive health outcomes and impacts.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

Beneficiary will be to public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Federally Recognized Indian Tribal Governments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide located at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) or applications must be prepared using the most current PHS 398 research grant application instructions and forms. The PHS 398 application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Applicants are required to have a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for a grant from the Federal Government. The DUNS number is a nine-digit identification number, which uniquely identifies business entities. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1(866) 705-5711.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Electronic applications must be successfully received by Grants.gov no later than 5:00 p.m. local time (of the applicant institution/organization) on the application submission/receipt date(s). Paper applications must be received on or before 5:00 p.m. Eastern Time on the application submission/receipt date(s).

**Range of Approval/Disapproval Time:**

From 90 to 150 days.

**Appeals:**

None.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to 3 years subject to the availability of funds and satisfactory progress of the grantee.

**Reports:**

Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. Financial status report is due no more than 90 days after the end of the budget period. Final financial and performance reports due, no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt for Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) FY 07 \$26,839,324; FY 08 est \$27,000,000; and FY 09 est \$27,000,000.

**Range and Average of Financial Assistance:**

Range: \$35,000 / yr. to \$1.6 million / yr.

**PROGRAM ACCOMPLISHMENTS:**

FY 07: New funding for Translation Research (R18), Public Health Dissertation Research (R36), Mentored Research Scientist Development Awards (K01), Translation Worksite Health Promotion Research (R01); Continuation funding for Institutional Research Training Grants (T01), Centers of Excellence in Health Marketing and Health Communication (P01), and Centers of Excellence in Public Health Informatics (P01).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the

following Internet address: <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

For general questions about this program, contact: Dr. Juliana Cyril, Associate Director for Policy and Peer Review, CDC, Office of Public Health Research, 1600 Clifton Rd., MS D-72, Atlanta, GA 30333, Telephone: (404) 693-4639 or Mattie Jackson, Grants Management Specialist, CDC, Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2696.

**Web Site Address:**

<http://www.cdc.gov> or <http://www.cdc.gov/od/science/PHResearch>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to the FOA will be evaluated for scientific and technical merit by an appropriate peer review group convened by the Office of Public Health Research, CDC in accordance with the review criteria. As part of the initial merit review, all applications may: Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score and receive a written critique.

**93.063 CENTERS FOR GENOMICS AND PUBLIC HEALTH****FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 301 of the Public Health Service Act, Public Law 78-410, 42 U.S.C. 241, as amended.

**OBJECTIVES:**

To provide technical assistance to community, State and regional organizations by responding to identified needs and requests for information assistance and training in genomics and population health for the health workforce, with a particular focus on enhancing knowledge and awareness of genomics applications among public health workers, and support the integration of genomics into population health research, policy and practice; provide competency based training, identify opportunities to serve as a credible and impartial provider of current information about genomics, participate in collaborative processes with other Centers, CDC and external partners and evaluate the achievements and impact of the Centers' activities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may not be used to support the provision of direct patient care, for facility or capital outlay, or to conduct research involving human subjects.

**Applicant Eligibility:**

Universities, colleges, and research institutions.

**Beneficiary Eligibility:**

Targeted State and community program capacity in genomics and population health will benefit.

**Credentials/Documentation:**

1)access to, and well-defined availability of, staff or collaborators with multidisciplinary expertise (epidemiology, public health practice, genomics, clinical genetics and medicine, policy, health communications and education); 2)demonstrated ability to develop educational and practice collaborations among public, private, and academic partners, with emphasis on public health and health science institutions, State health departments and other agencies, health care organizations and community groups; 3)experience relevant to the specific objectives and activities of the program, particularly direct involvement with public health practice, improving population health, and integrating genomics into practice; and 4) expertise in needs assessment and planning and delivering technical assistance and training to public health workers or other health professionals.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. When indicated in individual program announcements, applications are subject to review in accordance with the National Health Planning and Resources Development Act, Public Law 93-641, as amended. For the technical assistance component of this program, when indicated in individual program announcements, applications are eligible for coverage under E.O. 12372. This program is eligible for coverage under the

Public Health System Reporting Requirements. Under these requirements, all community-based nongovernmental applicants must report to the appropriate State and/or local health agency as determined by the applicant.

**Application Procedure:**

Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

4:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

**Appeals:**

None.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Matching funds are not required for this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Current budget period activities objectives, current budget period financial progress, new budget period program proposed activity objectives, budget, additional requested information, measure of effectiveness, financial status report by 90 days after the end of the budget and semi-annual progress report by March 15 of each funding year. Final financial and performance reports by 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, local Governments, and Nonprofit Organizations;" nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$900,000; FY 08 \$700,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$900,000(Amount for the first 12-month period, including both direct and indirect costs.) Floor of Award Range: \$350,000, Ceiling of Award Range: \$900,000.

**PROGRAM ACCOMPLISHMENTS:**

The Centers for Disease Control and Prevention (CDC) is the Federal Agency responsible for disease and injury prevention. The agency also focuses on prevention of disability and secondary conditions. As the Nation's prevention agency CDC's vision for the 21st century is "Healthy People in a Healthy World" reflecting the agency's concern that people's health is important both nationally and internationally and that the environment is critical to health in the future. The National Office of Public Health Genomics in collaboration with the Association of Schools of Public Health funded cooperative agreements with three schools of Public Health to establish the first Centers for Genomics and Public Health.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92. For information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address: <http://www.accessgpo.gov/nara/cfr-table-search.html>.

**Regional or Local Office:**

Technical Information Management Section, CDC Procurement and Grants

Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Shirlene Elkins, National Office of Public Health Genomics, Office of the Director, Centers for Disease Control and Prevention, 2877 Brandywine Road, Mail Stop K-89, Atlanta, GA 30341; Telephone: (770) 488-8434. Grants Management Contact: Hector Buitrago, Grants Management Specialist, Procurement and Grants Office, Center for Disease Control and Prevention (CDC), Department of Health and Human Services, 2920 Brandywine Road, Mail Stop K-14, Atlanta, GA 30341. Telephone: (770) 488-2921.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Three schools of Public Health to establish the first Centers for Genomics and Public Health. The goal for the initial 3-year project period was to establish regional hubs of expertise in genomics and population health by coordination existing institutional programs and reaching out to engage public health programs, health care providers and community groups, and to create the foundation for a national network of resource centers that could develop the capacity needed to respond to future needs.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.064 LABORATORY TRAINING, EVALUATION, AND QUALITY ASSURANCE PROGRAMS**

(Quality Assurance in Pathology and Laboratory Medicine)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 317(k)(2) of the Public Health Service Act, 42 U.S.C. 247b(k)(2), as amended.

**OBJECTIVES:**

To improve the quality of laboratory genetic testing practices relevant to clinical and public health settings and to determine standardized approaches to quality assurance in pathology and laboratory medicine that can be applied in multiple, diverse settings (e.g. community hospitals, academic medical centers, and independent laboratories) that demonstrate measurable and sustainable improvements over time.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit organizations and by governments and their agencies, such as: Public nonprofit organizations, private nonprofit organizations, universities, colleges, research institutions, hospitals, community and faith based organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau).

**Beneficiary Eligibility:**

Applicants must have experience in the administration and evaluation of standardized quality assurance programs in multiple, diverse laboratory sites (including community hospitals and academic medical centers). This experience is required for an applicant to be able to assess the effectiveness of these quality assurance programs and to determine best practices.

**Credentials/Documentation:**

Title 2 of the United States Code section 1611 states that an organization described in section 501(c)(4) of the Internal Revenue Code that engages in lobbying activities is not eligible to receive Federal funds constituting an award, grant, or loan. For all other nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31.

**Preapplication Coordination:**

This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm) If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: Telephone: (770) 488-2700. Application forms can be mailed to you.



**Award Procedure:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the PHPO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements. An objective review panel will evaluate complete and responsive applications according to the criteria listed in the "V.I. Criteria" section above. In addition, the following factors may affect the funding decision: Preference may be given to organizations that routinely provide and/or utilize clinical or public health genetic testing laboratory services. Preference may also be given to organizations that have contributed to the development, or use of quality assurance programs for genetic testing, have engaged in research or assessment of new technologies and their implications for clinical and public health practice, have participated in activities relevant to the translation of research findings to clinical and public health applications, and/or participated in efforts to develop domestic and international genetic testing policies. Preferences may be given to organizations that have expertise in heritable human conditions of public health significance that can be applied to the efforts described in this program announcement in such a way that results will be broadly applicable to other areas of genetic testing. Lastly, preferences will be given to applications demonstrating collaboration among clinical and public health entities in developing and carrying out the work proposed. Entities can include clinical and public health academic departments, state and local public health organizations, professional organizations that focus on clinical and/or public health issues, and other such groups.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

From two to three months.

**Appeals:**

None.

**Renewals:**

Throughout the three year project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12 month budget period, with project periods of up to three years.

**Reports:**

Interim progress report, no less than 90 days before the end of the budget period.

1) The progress report will serve as your non-competing continuation application, and must contain the following elements: current budget period activities objectives, current budget period financial progress, new Budget period program proposed activity objectives, budget, additional requested information, measures of effectiveness; 2) Financial status report, no more than 90 days after the end of the budget period and; 3) Final financial and performance reports, no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single, or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal governments officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,405,000; FY 08 \$2,644,196; and FY 09 est \$2,400,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS

publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

For general questions about this announcement, contact: Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: 770-488-2700. For program technical assistance, contact: Charlene Beach, Centers for Disease Control and Prevention, NCPDCID, DLS, 1600 Clifton Road, MS G25. Telephone: (404) 718-1039, Fax: (404) 718-1095, E-mail: CHO1@cdc.gov. For financial, grants management, or budget assistance, contact: Sharron Orum, Grants Management Specialist, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2716, E-mail: spo2@cdc.gov.

**Headquarters Office:**

Program POC: Charlene Beach, Telephone: (404) 718-1039; Email: CHO1@cdc.gov. Grants Management Officer contact is Sharron Orum. Telephone: (404) 488-2716, Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Suite 3000, Atlanta, GA 30341.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon best practices in quality assurance methods for addressing pre-analytic components of laboratory testing, including the test requisition, quality assurance methods for addressing post-analytic components of laboratory testing, including the test report, assessments of laboratory practices which gather specific information related to technology assessment. This requires the development of specific and measurable objectives and a sound operational plan that includes laboratory genetic testing practices relevant to clinical and public health settings and standardized approaches to quality assurance in pathology and laboratory medicine that can be applied in multiple, diverse settings, demonstrate measurable and sustainable improvements over time.

## 93.065 LABORATORY LEADERSHIP, WORKFORCE TRAINING AND MANAGEMENT DEVELOPMENT, IMPROVING PUBLIC HEALTH LABORATORY INFRASTRUCTURE

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 317(k)(3), 42 U.S.C. 247b (k)(3), as amended.

**OBJECTIVES:**

To promote and maintain a collaborative relationship with the Association of Public Health Laboratories (APHL) that includes the National Laboratory Training Network (NLTN) and the National Laboratory Partnership (NLP) for the purpose of improving public health laboratory infrastructure, maintaining a competent and trained laboratory workforce, promoting laboratory leadership activities to ensure future laboratory leaders, ensure laboratory preparedness for emerging infectious diseases or other biologic and chemical public health threats, promote technology transfer to ensure up-to-date technologies for the testing laboratory, and to enhance communication linkages between state and local public health laboratories, and the clinical laboratory testing community.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Improvement of public health laboratory infrastructure, state-of-the-art training for the nation's laboratorians to be prepared in dealing with public health threats, improving laboratory leadership capabilities, enhancing inter-laboratory communications. There are no restrictions.

**Applicant Eligibility:**

State governments, specifically State public health laboratories, particularly any organization representing state public health laboratories and having an established training network.

**Beneficiary Eligibility:**

This project represents the front line defense against health threats to the nation's public. The nation's public is the ultimate recipient of benefits from this program.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For all other nonprofit grantees, cost will be determined in accordance with HHS Regulations 45 CFR 74 Subpart Q. For-profit

organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for this funding opportunity use application form PHS 5161.

Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address:

[www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: 770-488-2700. Application forms can be mailed to you.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Applications must be received in the Centers for Disease and Prevention Control (CDC) Procurement and Grants Office (PGO) by 4:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From two to three months.

**Appeals:**

None.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee.

**Reports:**

(1) Interim progress report, no less than 90 days before the end of the budget period. The progress report will serve as your non-competing continuation application, and must contain the following elements: current budget period activities objectives, current budget period financial progress, new budget period program proposed activity Objectives, budget, additional requested information, and measures of effectiveness; (2) Financial status report and annual progress report, no more than 90 days after the end of the budget period; and (3) Final financial and performance reports, no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and personnel records including financial awards, financial status reports, interim reports, and final reports must be maintained for a period of seven years.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$11,395,475; FY 08 \$12,000,000; and FY 09 est \$12,000,000.

**Range and Average of Financial Assistance:**

\$4,200,000 to \$4,800,000; \$4,700,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local, and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Frank Lochner, Interim Project Officer, Telephone: (404) 498-1117, National Center for Health Marketing, E-mail: [fel1@cdc.gov](mailto:fel1@cdc.gov) or Pamela Baker, Grants Management Specialist, Procurement and Grants, Telephone: (770) 488-2689. E-mail: [fxz7@cdc.gov](mailto:fxz7@cdc.gov).

**Web Site Address:**

[www.cdc.gov](http://www.cdc.gov); or [www.phppo.cdc.gov/dls](http://www.phppo.cdc.gov/dls).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed program, Methods, Proposal Adequacy, Evaluation, Program Personnel and Budget (not scored).

**93.066 STATE VITAL STATISTICS IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 304 and 306.

**OBJECTIVES:**

The purpose of this Program is to improve the timeliness, quality and sustainability of the de-centralized vital statistics system by adopting nationally-developed, consensus standards and guidelines and by actively working with states to re-engineer their state-owned and operated systems using these standards/guidelines. Working collaboratively between State and Federal agencies, the goal is to facilitate the development and implementation of re-engineered systems in all 57 registration areas. These will be systems that can: (1) Provide quality and timely data for public health surveillance and medical research; (2) meet citizen needs for legal copies of their birth and death records, including providing paper copies of records to citizens for their immediate legal or personal use, and at citizens' request, transferring records electronically to local, State or Federal agencies to satisfy an agency's need for a record; meet Federal agencies' needs for record verification and authentication; (3) result in comparable vital registration/statistics systems in each state; (4) use national standards and guidelines, including the 2003 revision of the U.S. Standard Certificates of Birth and Death and the Report of Fetal Death, the ICD-10 classification system, the FIPS geographic coding scheme, and the standard HL-7 vital events messaging; (5) Support national security and privacy requirements; (6) Integrate or harmonize easily with other public health systems such as Public Health Information Network (PHIN), immunization registries, and newborn screening, and (7) use Internet technology.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Restrictions, which must be taken into account while writing your budget, are as follows: Approved project plan required prior to expenditure of funds; all travel will need to be identified in the approved project plan; and purchase of computer hardware and software will require prior approval before expenditure.

**Applicant Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Beneficiary Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Credentials/Documentation:**

Applicant are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the cooperative agreement. Measures must be objective and quantitative, and must measure the intended outcome. These measures of effectiveness must be submitted with the application and will be an element of evaluation.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for this funding opportunity use application form PHS 5161.

Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm).

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

4:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

**Appeals:**

None.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards

will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Matching funds are not required for this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to three years.

**Reports:**

You must provide CDC with an original, plus two hard copies of the following reports: Mid-year progress report, no less than 30 days after the end of the sixth month. This progress report must contain the following elements: Current Budget Period Activities Objectives, current budget period accomplishments, and any other requested information. Interim year-end report, no less than 90 days before the end of the budget period. This report will serve as your non-competing continuation application, and must contain the following elements: Current Budget Period Activities Objectives, current Budget Period Financial Progress, New Budget Period Program Proposed Activity Objectives, budget, additional Requested Information, and measures of Effectiveness. Financial status report, no more than 90 days after the end of the budget period. Final financial and performance reports, no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, local Governments, and Nonprofit Organizations;" nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$171,500; FY 08 \$571,500; and FY 09 est \$500,000.

**Range and Average of Financial Assistance:**

Floor of award \$171,500 and ceiling of award \$571,500.

**PROGRAM ACCOMPLISHMENTS:**

The Centers for Disease Control and Prevention (CDC) is the Federal Agency responsible for disease and injury prevention. The agency also focuses on prevention of disability and secondary conditions. As the Nation's prevention agency CDC's vision for the 21st century is "Healthy People in a Healthy World" reflecting the agency's concern that people's health is important both nationally and internationally and that the environment is critical to health in the future.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92. For information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address: <http://www.accessgpo.gov/nara/cfr-table-search.html>.

**Regional or Local Office:**

Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Delta Atkins, Project Officer, National Center for Health Statistics, Division of Vital Statistics, Room 7315, 3311 Toledo Road, Hyattsville, Maryland 20782, Telephone: 301-458-4467, E-mail: [dxa9@cdc.gov](mailto:dxa9@cdc.gov). For financial, grants management, or budget assistance, contact: Larry Guess, Grants Management Specialist, Acquisition and Assistance Field Branch, CDC Procurement and Grants Office, P.O. Box 18070, Cochran Mill Road, Pittsburg, PA 15236. Telephone: (412) 386-6826, E-mail: [lfg6@cdc.gov](mailto:lfg6@cdc.gov).

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**93.067 GLOBAL AIDS**

(FEDERAL AGENCY)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242l and 247b(k)(2), as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 108-25, 22 U.S.C. 7601.

**OBJECTIVES:**

By 2010, work with other countries, international organizations, the U.S. Department of State, USAID and other partners to achieve the United Nations General Assembly Special Session on HIV/AIDS goal of reducing prevalence among 15 to 24 years of age.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Reimbursement of pre-award costs is not allowed. No funds shall be used to distribute sterile needles or syringes for the hypodermic use of any illegal drug. Funds may be spent for reasonable program purposes, including personnel, travel, operating costs including supplies, fuel for transportation, utilities, staff training costs including registration fees and purchase and rental of training related equipment, renovation of clinical or lab facilities; and purchase of HIV testing reagents, test kits and laboratory equipment for HIV testing and services. Equipment may be purchased if deemed necessary to accomplish program objectives; however, prior approval by CDC officials must be requested in writing. All requests for funds contained in the budget shall be stated in U.S. dollars. Once an award is made, CDC will not compensate foreign grantees for currency exchange fluctuations through the issuance of supplemental awards. The costs that are generally allowable in grants to domestic organizations are allowable to foreign institutions and international organizations, with the following exception: With the exception of the American University, Beirut, and the World Health Organization (WHO), Indirect Costs will not be paid (either directly or through sub-award) to organizations located outside the territorial limits of the United States or to international organizations regardless of their location. The applicant may contract with other organizations under this program; however the applicant must perform a substantial portion of the activities (including program management and operations, and delivery of prevention services for which funds are required). You must obtain an annual audit of these CDC funds (program-specific audit) by a U.S. - based audit firm with international branches and current licensure/authority in-country, and in accordance with International Accounting Standards or equivalent standard(s) approved in writing by CDC. A fiscal Recipient Capability Assessment may be required, prior to or post award, in order to review the applicant's business management and fiscal capabilities regarding the handling of U.S. Federal funds. Prostitution and Related Activities The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. Any entity that receives, directly or indirectly, U.S. Government funds in connection with this document (recipient) cannot use such U.S. Government funds to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides. A recipient that is otherwise eligible to receive funds in connection with this document to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the recipient has a religious or moral objection. Any information provided by recipients about the use of condoms as part of projects or activities that are funded in connection with this document shall be medically accurate and shall include the public health benefits and failure rates of such use. In addition, any foreign recipient must have a policy explicitly opposing, in its activities outside the United States, prostitution and sex trafficking, except that this requirement shall not apply to the Global Fund to Fight AIDS, Tuberculosis and Malaria, the World Health Organization, the International AIDS Vaccine Initiative or to any United Nations agency, if such entity is a recipient of U.S. government funds in connection with this document.

**Applicant Eligibility:**

Competition is limited, or single eligibility by authorizing legislation.

**Beneficiary Eligibility:**

This is only for non-research and research activities supported by CDC/ATSDR. For the definition of research, please see the CDC web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>.

**Credentials/Documentation:**

Your narrative should address activities to be conducted over the entire project period, and must include the following items in the order listed: 1) Organizational Experience; 2) Goals and Objectives; 3) Plan of Action; 4) Management plan, staffing, and infrastructure; and 5) Budget.



**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at; Telephone: (770) 488-2700. Application forms can be mailed to you. Submit the original and two hard copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Applications may not be submitted electronically at this time.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Applications must be received in the CDC Procurement and Grants Office by 5:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Renewals are made by competitive applications and Reviews.

**Formula and Matching Requirements:**

Matching funds are not required for this program.

**Length and Time Phasing of Assistance:**

From one to five years. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Reports:**

You must provide CDC with an original, plus two hard copies of the following reports: 1) Interim progress report, due not less than 90 days before the end of the budget period. The progress report will serve as your non-competing continuation application, and must contain the following elements: a. Current Budget Period Activities Objectives; b. Current Budget Period Financial Progress; c. New Budget Period Program Proposed Activity Objectives; d. Budget; e. Measures of Effectiveness; and f. Additional Requested Information. 2) Annual progress report, due 30 days after the end of the budget period. This report should detail all activities proposed for that budget period and their current status. Explanation for any activities not completed within the budget period should be included. 3) Financial status report, no more than 90 days after the end of the budget period. 4) Final financial and performance reports, no more than 90 days after the end of the project period.

**Audits:**

Foreign recipients are subject to audit requirements specified in 45 CFR 74.26(d). A non-Federal audit is required, if during the recipients fiscal year, the recipient expended a total of \$500,000.00 or more under one or more HHS awards (as a direct recipient and/or as a subrecipient). The recipient either may have (1) A financial related audit (as defined in the Government Auditing Standards, GPO stock #020-000-00-265-4) of a particular award in accordance with Government Auditing Standards, in those case where the recipient receives awards under only one HHS program; or, if awards are received under multiple HHS programs, a financial related audit of all HHS awards in accordance with Government Auditing Standards; or (2) An audit that meets the requirements contained in OMB Circular A-133. Please forward a copy of the completed audit to the following address: Procurement and Grants Office, Centers for Disease Control and Prevention, Attn: Grants Management Officer, 2920 Brandywine Road, MS-K75, Atlanta, GA 30341. If your audit was completed in accordance with number two (2) above, in addition to the address listed above, you are required to send a copy of the audit report to: Department of Health & Human Services, National External Audit Review Center Lucas Place, Room 514, 323 West 8th Street, Kansas City, MO 64105.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) FY 07 \$499,757,780; FY 08 est \$706,323,427; and FY 09 est \$1,124,382,010.

**Range and Average of Financial Assistance:**

\$75,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

To date the President's Emergency Plan for Aids Relief has provided treatment to 1,358,500 people which equates to 3,192,439 years of life gained. In addition, 6,637,600 people are receiving are receiving care worldwide.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address: <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

Sherry Smallwood, Branch Chief, International Branch, (770)488-2632, 2920 Brandywine Road, Atlanta, GA 30341.

**Headquarters Office:**

Not applicable.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

GAP has almost 500 funded projects primarily supporting Prevention, Care, and Treatment of HIV/AIDS internationally.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the National Center for HIV, STD and TB Prevention (NCHSTP). Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements. An objective review panel will evaluate complete and responsive applications.

**93.068 CHRONIC DISEASES: RESEARCH, CONTROL, AND PREVENTION**

(Research, Control, and Prevention)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 317(k)(2) of the Public Health Service Act (PHS Act), 42 U.S.C. 247b(k)(2); Section 301(a) of the PHS Act, 42 U.S.C. 241(a); Section 307(a) and (b) of the PHS Act, 42 U.S.C. 242l(a) and (b).

**OBJECTIVES:**

To assist State and local health agencies, health related organizations, and other public and private organizations in their efforts to prevent and control chronic diseases and disorders through research, development, capacity building, and intervention. To utilize research data to improve detection, diagnosis, treatment, and care of chronic diseases and their complications. To generate new knowledge related to chronic diseases that will improve health and quality of life and eliminate health disparities among segments of the population.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with conducting research and surveillance of chronic diseases and their complications. Funds may also be used for program planning and development, to support capacity building, and for evaluation of chronic disease prevention and control programs. CDC will have substantial involvement with the award recipient during performance of the funded activity.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Foreign institutions may be eligible for some specific programs.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and

provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q.

**Preapplication Coordination:**

Not required. Some specific programs may be eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organization.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no matching requirements, applicants must assume part of the project cost and fiscal information must be provided in the narrative portion of the applications pursuant to provisions of Section 317 of the Public Health Service Act.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$3,087,105; FY 08 est \$4,400,000; and FY 09 est \$4,000,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$1,500,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Extramural Research Program Office, Coordinating Center for Health Promotion (CoCHP), Centers for Disease Control and Prevention (CDC), Department of Health and Human Services (DHHS), Brenda Colley Gilbert, 4770 Buford Highway NE, Mailstop K-92, Atlanta, GA 30341. Telephone: (770) 488-8390. Grants Management Contact: Hector Buitrago, Grants

Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2921.

**Web Site Address:**

<http://www.cdc.gov/>

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.945, Assistance Programs for Chronic Disease Prevention and Control.

**EXAMPLES OF FUNDED PROJECTS:**

Assessment of Proposed Revisions to the Youth Tobacco Survey: Impact on Measures of Youth Tobacco Use; Vision Health: Developing an Integrative Approach for Promotion and Protection; Genomic Applications in Practice and Prevention (GAPP): Translation Research.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance. All applications will be peer reviewed.

**93.069 PUBLIC HEALTH EMERGENCY PREPAREDNESS**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION (CDC)  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act Sections 301, 307, 311, 317, and 319, Public Law 108-111, Public Law 109-417, U.S.C. 247d-3.

**OBJECTIVES:**

To develop emergency-ready public health departments by upgrading, integrating and evaluating State and local public health jurisdictions preparedness for and response to terrorism, pandemic influenza, and other public health emergencies with Federal, State, local, and tribal governments, the private sector, and non-governmental organizations (NGOs). These emergency preparedness and response efforts are intended to support the National Response Plan (NRP) and the National Incident Management System (NIMS).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the U.S. Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the U.S. Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State and Local Health Departments.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

CDC provides an Internet-based system for submitting applications, including narrative and budget, electronically. This system will also enable applicants to complete most required forms electronically, which can then be signed and uploaded into the system. Applicants are required to use this system in lieu of paper-based applications. Under separate cover, CDC will provide detailed instructions on obtaining a digital certificate to access the CDC web portal <https://sdn.cdc.gov> and use the electronic application system. This program is subject to the provisions of 45 CFR Parts 74 and 92, as appropriate.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Also, appropriate notification is made to the public.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

None.

**Renewals:**

Project periods are for 5 years with 12-month budget periods. Applications must be submitted in the same manner as a new application.

**Formula and Matching Requirements:**

Formula and Matching Requirements This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually and assistance is available for a 12-month budget period. There are five separate budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

Semiannual and year end progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$897,166,530; FY 08 \$704,867,418; and FY 09 est \$694,096,980.

**Range and Average of Financial Assistance:**

FY 07 \$471,804 to \$65,303,030.

**PROGRAM ACCOMPLISHMENTS:**

Improved Preparedness at State and Local Levels: Over \$4.9 billion in PHEP cooperative agreement funding has been awarded to state and local agencies since 2002 with a Grantee base of 62 grantees, including 50 states, 8 territories, District of Columbia, Chicago, Los Angeles County, and New York City. All states have bioterrorism response plans in place (few states had such planning in 2001). All states have pandemic influenza plans as well as plans in place for receiving and distributing assets from the Strategic National Stockpile and are exercising those plans. Ninety-six percent of states have a crisis and emergency risk communication plan. Ninety-eight percent of states have individuals assigned to receive and evaluate urgent disease reports 24 hours, 7 days a week, 365 days a year. All states have protocols in place to activate the public health emergency response system 24 hours, 7 days a week, 365 days a year. Increased Laboratory Capacity: \$492 million annually since 2002 has been utilized by states to bolster Epidemiology and Surveillance, Laboratory Capacity and Communication -key functions of public health response. There are more than 150 Laboratory Response Network (LRNs) with at least one in every state (up from 91 labs in 2001). More than \$75 million has been awarded to state and local health departments to increase chemical lab capacity. Comprehensive Approach: The program has migrated cooperative agreement guidance from a focus area approach to a comprehensive all hazards approach that infuses performance and accountability within the framework of CDC preparedness goals and the National Response Plan (NRP).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Susan True, Branch Chief, Program Services Branch, Division of State and Local Readiness, Coordinating Office of Terrorism Preparedness and Emergency Response, Centers for Disease Control and

Prevention, Department of Health and Human Services, 1600 Clifton Road, N.E., Mailstop D29, Atlanta, GA 30333. Telephone: (404) 639-5998. Grants Management Contact: Nealean Austin, Grants Management Officer, Branch VI, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2771.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

For FY 08, the emphasis of this project will be to upgrade State and local public health jurisdiction's preparedness and response to bioterrorism, outbreaks of infectious diseases, and other public health threats and emergencies. Enacted in December 2006, The Pandemic and All-Hazards Preparedness Act (PAHPA, Public Law 109-417 42 U.S.C. 247d-3a) requires project activities to meet the following goals: (1) Integrating public health and public and private medical capabilities with other first responder systems; (2) Developing and sustaining essential State, local, and tribal public health security capabilities, including disease situational awareness, disease containment, risk communication and public preparedness, and the rapid distribution and administration of medical countermeasures; (3) Addressing the public health and medical needs of at-risk individuals in the event of a public health emergency; (4) Minimizing duplication and assuring coordination among State, local, and tribal planning, preparedness, and response activities (including Emergency Management Assistance Compact). Such planning shall be consistent with the National Response Framework or any successor plan, the National Incident Management System, and the National Preparedness Goal; (5) Maintaining vital public health and medical services to allow for optimal federal, State, local, and tribal operations in the event of a public health emergency; and (6) Developing and testing an effective plan for responding to pandemic influenza.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants must submit their application in accordance with appropriate program guidance. Applications will be reviewed for completeness by the Procurement and Grants Office staff and for technical acceptability by the Coordinating Office of Terrorism Preparedness and Emergency Response and CDC subject matter experts. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements.

**93.071 MEDICARE ENROLLMENT ASSISTANCE PROGRAM**

Medicare Enrollment Assistance Program

**FEDERAL AGENCY:**

ADMINISTRATION ON AGING, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Medicare Improvements for Patients and Providers Act of 2008, Public Law 110-275.

**OBJECTIVES:**

To provide outreach to eligible Medicare beneficiaries regarding the benefits available under title XVIII of the Social Security Act, including the Medicare prescription drug benefit under Part D of title XVIII of the Social Security Act and under the Medicare Savings Program, and to coordinate efforts to inform older Americans about benefits available under Federal and state programs.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may not be used for: (a) construction and/or major rehabilitation of buildings; (b) basic research (e.g., bio-medical experiments); (c) continuation and/or expansion of existing services, and (d) medical care, institutional care or income maintenance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular A-21 for Educational Institutions, and OMB Circular A-122 for Non-Profit Organizations.

**Applicant Eligibility:**

Formula grants: State governments and U.S. Territories, with distribution to designated area agencies on aging and Indian Tribal Organizations through an approved State plan. Project grants: Grants may be made to any public or nonprofit private agency, organization, or institution.

**Beneficiary Eligibility:**

Individuals eligible for Medicare benefits, including Part D drug benefits, and older persons eligible for benefits and services provided under Federal and state programs.

**Credentials/Documentation:**

Formula Grants - AoA will utilize appropriate census and Medicare coverage data to identify statutory target populations. Project Grants -- Nonprofit organizations must submit proof of nonprofit status. Applicable costs and



administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Formula Grants - Grant applications are in accordance with program announcements developed by the Administration on Aging (AoA) and will be posted on [www.grants.gov](http://www.grants.gov). Project Grants - The availability of competitive grant funds is announced via program announcement that is simultaneously published on [www.grants.gov](http://www.grants.gov) and on the AoA web site at [www.aoa.gov/doingbus/fundopp/fundopp.asp](http://www.aoa.gov/doingbus/fundopp/fundopp.asp).

**Award Procedure:**

Formula Grants - The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to Indian Tribal Organizations, Area Agencies on Aging and Aging and Disability Resource Centers. Project Grants - Notification of award will be issued to the grantee.

**Deadlines:**

As specified in each program announcement posted on [www.grants.gov](http://www.grants.gov) and [www.aoa.gov/doingbus/fundopp/fundopp.asp](http://www.aoa.gov/doingbus/fundopp/fundopp.asp).

**Range of Approval/Disapproval Time:**

From 60 to 90 days from receipt of application.

**Appeals:**

None.

**Renewals:**

Formula Grants - State plans are submitted for one-year period, with annual revisions. Project Grants - Grant extensions are available and may be requested.

**Formula and Matching Requirements:**

There is no matching requirement.

**Length and Time Phasing of Assistance:**

Formula Grants - One year. Project Grants - One to Five Years.

**Reports:**

Financial status reports and program progress reports are required semi-annually for formula and project grants, including a final report at the end of each grant year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of State and Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records must be kept available for 3 years after submission of expenditure reports in accordance with the regulations at 45 CFR Parts 74 and 92.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 est \$17,500,000.

**Range and Average of Financial Assistance:**

Formula Grants - \$50,000 to \$600,000; \$250,000. Project Grants - \$5,000,000 to \$5,000,000; \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

The Medicare Enrollment Assistance Program is a new program in Fiscal Year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula Grants - 45 CFR 92. Project Grants - 45 CFR 74, HHS Grants Policy Statement, located at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

**Regional or Local Office:**

Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog of Federal Domestic Assistance for addresses.)

**Headquarters Office:**

Mimi Toomey, Administration on Aging; Department of Health and Human Services, Washington, DC 20201; Telephone: (202) 357-0141. E-mail: [Mimi.Toomey@aoa.hhs.gov](mailto:Mimi.Toomey@aoa.hhs.gov).

**Web Site Address:**

<http://www.aoa.gov>. For information on current funding opportunities and associated application forms, visit: <http://www.grants.gov>.

**RELATED PROGRAMS:**

93.770, Medicare Prescription Drug Coverage.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non-competitive basis. State Grants are awarded upon approval of a State Plan.

## 93.086 HEALTHY MARRIAGE PROMOTION AND RESPONSIBLE FATHERHOOD GRANTS

(Healthy Marriage Promotion and Responsible Fatherhood Grants)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 403(a)(2) as included in the Deficit Reduction Act of 2005 (DRA), Public Law 109-171.

**OBJECTIVES:**

Included four objectives: (1) To fund Healthy Marriage Promotion activities that will help couples, who have chosen marriage for themselves, gain greater access to marriage education services on a voluntary basis. These services will help couples acquire the skills and knowledge necessary to form and sustain a healthy marriage; (2) To fund Responsible Fatherhood promotion activities specifically designed to promote responsible fatherhood to reverse the rise in father absence and its subsequent impact on our nation's children. ACF will award these funds on a competitive basis to States, territories, Indian tribes and tribal organizations, and public and nonprofit community entities, including faith-based organizations; (3) To award competitive based demonstration projects designed to test the effectiveness of tribal governments or tribal consortia in coordinating the provision to tribal families at risk of child abuse or neglect of child welfare services and services under tribal programs funded under this part; and, (4) To provide technical assistance by the Federal government to States, Indian tribes and tribal organizations, receiving a grant for any program funded under this part.

**TYPES OF ASSISTANCE:**

Project Grants; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

The Secretary may not award funds on a noncompetitive basis, and may not provide any such funds to an entity for the purpose of carrying out healthy marriage promotion activities or for the purpose of carrying out activities promoting responsible fatherhood unless the entity has submitted to the Secretary an application which describes how the programs or activities proposed in the application will address, as appropriate, issues of domestic violence; and what the applicant will do, to the extent relevant, to ensure that participation in the programs or activities is voluntary, and to inform potential participants that their participation is voluntary; and contains a commitment by the entity to not use the funds for any other purpose; and to consult with experts in domestic violence or relevant community domestic violence coalitions in developing the programs and activities.

**Applicant Eligibility:**

The Healthy Marriage and Responsible Fatherhood grants were awarded one time for a five-year (5) project period. The awards were made final in September 2006 and will run for five consecutive years up through September 2011. There are no subsequent competitive awards for this program. Eligible organizations for Healthy Marriage Grants in general were public and private entities. This included, but was not limited to: States; County governments; City or township governments; Special district governments; State controlled institutions of higher education; Native American tribes and tribal organizations; Nonprofit organizations; Private organizations of higher education; For-profit organizations; and faith-based and community organizations. Application Eligibility for Responsible Fatherhood Grants included: States; territories; Indian tribes and tribal organizations; and public and non-profit community entities, including Faith-based organizations. Application Eligibility for Tribal TANF Child Welfare TA Grants includes Native American Tribal governments.

**Beneficiary Eligibility:**

Families, couples, individuals in need of assistance with marriage enhancement and relationship education, parenting education, economic stability services. In general these funds will assist in the efforts to enhance and expand the ability of States, Native American governments, local governments, for-profit organizations, non-profit community organizations and other public entities to provide family formation services to those in need.

**Credentials/Documentation:**

Any nonprofit agency was required to provide proof of its nonprofit status through one of the following: (a) A reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS code. (b) A copy of a currently valid IRS tax exemption certificate (c) A statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a nonprofit status and that none of the net earnings accrue to any private shareholders or individuals. (d) A certified copy of the organization's certificate of incorporation or similar document that clearly establishes nonprofit status. (e) Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization if it's local nonprofit affiliate.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. The applicants were advised that they should consult the office or official designated as the single point of contact in his or her State for more information on the process the State required to be followed in applying for assistance, if the State has selected the program for review. In addition, the legislation requires that applicants consult with experts in domestic violence or relevant community domestic violence coalitions in developing their programs and activities. Therefore, applicants were required to engage in this process before the official application is submitted.

**Application Procedure:**

Applicants needed to complete all the standard forms required for making application for awards under this announcement. Applicants that requested financial assistance submitted Standard Forms 424, 424A, 424B and the associated certifications and assurances. Specific instructions were published in the official program announcement.

**Award Procedure:**

Applications received by the due date were reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, used the evaluation criteria listed in Part V of the Program Announcement to review and score the applications. The results of the review were a primary factor in making funding decisions. ACF may also solicit comments from Regional Office staff and other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the Federal Government are met in making the final selections. The successful applicants were notified through issuance of a Financial Assistance Award document which set forth the amount of funds granted, the terms and conditions of the grant, the budget period for which initial support will be given, the nonfederal share to be provided, and the total project period for which support is contemplated.

**Deadlines:**

The Healthy Marriage and Responsible Fatherhood grant deadlines have closed. All awards for these programs were made in September 2006. The grants were one time for a five-year (5) period through September 2011. No other applications are being accepted and no future funding is anticipated.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time: All grants were approved/disapproved within the 60-90 day period.

**Appeals:**

None.

**Renewals:**

Awards were made for five-year project periods, funding for years 2 thru 5 are not competitive and will depend upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Cost sharing or matching requirements were provided in the official program announcement.

**Length and Time Phasing of Assistance:**

The grants were awarded for project periods of up to five years. Awards, however, were made on a competitive basis, for a one-year budget period. Applications for continuation grants funded under these awards beyond the one-year budget period but within the five-year project period will be entertained in subsequent years on a noncompetitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the government.

**Reports:**

Grant recipients are required to submit semi-annual program reports; grantees are also required to submit semi-annual expenditure reports using the required financial standard form (SF-269) which is located on the Internet under the "Forms" section at: <http://www.acf.hhs.gov/grants/index.html>. A suggested format for the program report is sent to all grantees after the awards are made.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92. These provisions are also outlined in OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, non-federal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1552-1-0-506.

**Obligations:**

FY 07 \$150,000,000; FY 08 \$150,000,000; and FY 09 est \$150,000,000.

**Range and Average of Financial Assistance:**

Healthy Marriage Grants range from \$250,000 to \$3,250,000 depending on the scope of the project. Average award: \$1,000,000. Responsible Fatherhood

Grants will range from \$200,000 to \$1,000,000 depending on the scope of the project. Average award: \$700,000. Tribal TANF Child Welfare Grants will range from \$25,000 to \$100,000. Average Award: \$140,000.

**PROGRAM ACCOMPLISHMENTS:**

In September 2006, ACF's Office of Family Assistance (OFA) awarded 226 grants from the Deficit Reduction Act of 2005 (DRA) Healthy Marriage and Promoting Responsible Fatherhood. One hundred twenty six (126) grants were for Healthy Marriage and 100 grants for Promoting Responsible Fatherhood. OFA received a total of 1,653 applications. Healthy Marriage applications totaled 828, and 825 for Responsible Fatherhood. Healthy Marriage and Responsible Fatherhood grants were distributed across 47 States and 1 Territory. Grantees are currently in the implementation phase of their projects. This has resulted in a marked increase in the provision of healthy marriage and fatherhood promotional activities, marriage and parenting education, relationship and economic skills development, and training across the country.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Family Assistance (OFA), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor East, Washington, DC 20447. Contact: Robin McDonald; Telephone: (202) 401-5587 (office); Fax: (202) 205-5887.

**Web Site Address:**

[www.acf.hhs.gov/healthymarriage/index.html](http://www.acf.hhs.gov/healthymarriage/index.html).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Healthy Marriage Promotion grants provide married and unmarried individuals with skilled base marriage education training. Promotion Responsible Fatherhood grants provides marriage, parenting and economic stability training. The majority of the grant amount provides services to low-income families.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used for selecting successful proposals were as follows: approach, objectives and need for assistance, organizational profiles, evaluation and budget and budget justification. The needs of target populations to be served and the needs of communities to be served are factors for evaluating the objectives and need for assistance of the applicant. The staff and position data and past experience were factors used to evaluate the organizational profile of the applicant. Applicants were evaluated under the budget and budget justification criteria on the extent to which they include a budget that is clear, easy to understand, and provided a detailed justification for the amount requested. Under the approach criterion, applicants were evaluated on the extent to which the specific goals and activities of the proposed project were highly innovative, reasonable, quantified, and directly support the authorized activities outlined in the legislation. The official evaluation criteria were published as a part of the program announcement, which was posted at [www.grants.gov](http://www.grants.gov) and [www.acf.hhs.gov/healthymarriage/index.html](http://www.acf.hhs.gov/healthymarriage/index.html). Applications for discretionary grants were subject to a competitive peer review process leading to recommendations for approval or disapproval.

**93.087 ENHANCE THE SAFETY OF CHILDREN AFFECTED BY PARENTAL METHAMPHETAMINE OR OTHER SUBSTANCE ABUSE**

(Targeted Grants to Increase the Well-Being of, to Improve the Permanency Outcomes for, and Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse)-

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Child and Family Services Improvement Act of 2006, Public Law 109-288.

**OBJECTIVES:**

To provide, through interagency collaboration and integration of programs activities and services that are designed to increase the well-being of, improve permanency outcomes for, and enhance the safety of children who are in an out-of-home placement or are at risk of being placed in an out-of-home placement as a result of a parent's or caretaker's methamphetamine or other substance abuse.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 437(f) of Title IV-B of the Social Security Act and may include the following: (1) family-based comprehensive long-term substance abuse treatment services; (2) early intervention and preventative services; (3) children and family counseling; (4) mental health services; (5) parenting skills training; (6) replication of successful models for providing family-based comprehensive long-

term substance abuse treatment services. Other suggested activities and services are listed in the program announcement.

**Applicant Eligibility:**

State governments, County governments, Local Governments, City or township governments, Regional Organizations, U.S. Territory or Possession, Independent school districts, Public and State-controlled institutions of higher education, Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), Indian/Native American Tribally Designated Organizations, Public/Indian Housing Authorities, Non-profits with 501(c)(3) IRS status (other than institutions of higher education), Non-profits without 501(c)(3) IRS status (other than institutions of higher education), Private institutions of higher education, For-profit organizations (other than small businesses), Small businesses, Hispanic-Serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian Serving Institutions, and Special district governments. Foreign entities are not eligible under this announcement. Applications must represent regional partnerships formed by a collaborative agreement. Applications must identify a primary applicant responsible for administering the grant. The primary applicant must be one of the regional partnership organizations listed below. The primary applicant cannot be an individual. The regional partnership must include either the State child welfare agency that is responsible for the administration of the State plan under title IV-B or title IV-E of the Social Security Act or an Indian tribe or tribal consortium but the regional partnership may not consist of only State entities.

**Beneficiary Eligibility:**

Agencies or organizations serving children and families who have experienced or are at risk of experiencing an out of home placement as a result of a parent's or caregivers methamphetamine or other substance abuse.

**Credentials/Documentation:**

Non-profit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Standard application forms as furnished by DHHS must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Announcement of availability of funds is posted to grants.gov. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the fields of child welfare and substance abuse treatment. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF).

**Deadlines:**

This program was announced and grants awarded in FY 2007 for 3 and 5 years. There is no additional announcement anticipated for this program in FY 2008 or FY 2009.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the selected award period (3 or 5 years).

**Formula and Matching Requirements:**

The required match must increase over the course of the grant period, such that grantees must contribute 15 percent of the costs of grant-funded services and activities in FY 2007 and FY 2008, 20 percent of such costs in FY 2009 and FY 2010, and 25 percent of such costs in FY 2011.

**Length and Time Phasing of Assistance:**

Grants were available for a 36- or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Reports:**

Financial and program reports are required semiannually with a final report at completion of the project. In addition, grantees must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency, and well-being of children and their families.

**Audits:**

Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$40,000,000; FY 08 \$35,000,000; and FY 09 \$30,000,000. (Note: The funds in this program are also available for contracts. The amounts for contracts cannot be predetermined.)

**Range and Average of Financial Assistance:**

\$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Headquarters Office: Catherine Luby, Federal Project Office, Office on Child Abuse and Neglect, Children's Bureau, 1250 Maryland Avenue, S.W., Washington, DC 20024, 8th Floor. Telephone: (202) 205-8879. FTS is not available.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600, Head Start; 93.643, Children's Justice Grants to States; 93.648, Child Welfare Services Training Grants; 93.669, Child Abuse and Neglect State Grants; 93.645, Child Welfare Services State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) demonstration of regional impact of methamphetamine or other substance abuse; (2) organizational capacity to collaborate with other service providers; and (3) relevance of proposed services and activities in enhancing the well-being of children in foster care or at risk of foster care due to a parent's or caretaker's substance abuse.

**93.088 ADVANCING SYSTEM IMPROVEMENTS TO SUPPORT TARGETS FOR HEALTHY PEOPLE 2010**

(ASIST2010)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES, OFFICE ON WOMEN'S HEALTH

**AUTHORIZATION:**

This program is authorized by 42 U.S.C. 300u-2(a).

**OBJECTIVES:**

To provide three years of additional support to existing public health systems/collaborative partnerships to enable them to add a gender focus to HP 2010 objectives that track the health status of women and/or men, to help improve gender outcomes in the targeted population and/or geographic area. To improve surveillance/information systems that allow tracking of program progress on HP 2010 objectives at the grantee level. To develop and implement a plan to sustain the program after OWH funding ends. To use a public health systems approach to improve performance on two or more HP 2010 objectives that target women and/or men in Focus Areas 1, Access to Quality Health Services, 3-Cancer, 5-Diabetes, 7-Educational and Community-Based Programs, and 12-Heart Disease and Stroke.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used to implement evidence-based strategies to achieve the applicants and the Office on Women's Health (OWH), OWH's program objectives. Funds may not be used for construction, building alterations, equipment, printing, food, and medical treatment.

**Applicant Eligibility:**

Eligible applicants are public and private organizations (public and private academic institutions and hospitals); community-based and faith-based organizations, and medical groups/practices with existing funding lasting through September 30, 2010, that will help support the proposed ASIST 2010 activities; State, county, and local health departments, and tribes and tribal organizations with expertise/experience in the proposed objectives. The applicant must be part of an existing public health system/collaborative partnership. At least a third of the partners should have demonstrated experience addressing gender differences through appropriate interventions, programs, or research related to the selected objectives.

**Beneficiary Eligibility:**

Women and men across the life span.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**



This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be obtained by accessing Grants.gov at <http://www.grants.gov> or the eGrants system at <http://www.GrantSolutions.gov>. To obtain a hard copy of the Application Kit, contact WilDon Solutions at 1(888) 203-6161. Applicants may fax a written request to WilDon Solutions at (240) 453-8823 or email the request to [OPHSgrantinfo@teamwildon.com](mailto:OPHSgrantinfo@teamwildon.com). Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be made by the OWH and will take into consideration the recommendations and ratings of the review panel; recommendations made based on the pre-award site visit; program needs, stated preferences; and, geographic location.

**Deadlines:**

No later than 5:00 p.m. Eastern time 90 calendar days after publication in the Federal Register (FR). The application due date in the FR announcement supersedes the instructions in the Form OPHS-1.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline due date.

**Appeals:**

None.

**Renewals:**

Project period is for 3 year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project period is not to exceed 3 years.

**Reports:**

The applicant will submit quarterly progress report on December 10, March 10, June 10, and August 10 of each year and a Financial Status Report 90 days after the close of each 12-month budget period. The June 10 report will serve as the non-competing renewal application. An original and two copies of the non-competing renewal application must be submitted no later than June 10. The final program report is due 30 days after the close of the project period (August 31, 2010). The purpose of the progress reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program.

**Audits:**

In accordance with: the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted

in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 08 \$4,000,000; FY 09 \$4,000,000; and FY 10 \$4,000,000.

**Range and Average of Financial Assistance:**

The OWH anticipates making 3-year award between \$150,000 - \$500,000 total cost (direct and indirect) starting September 1, 2007, and ending August 31, 2007. The number of awards made is contingent on the quality and type of applications received, the amount of funds requested by the applicants, and the availability of Federal funds.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Women's Health, Department of Health and Human Services, 200 Independence Avenue, SW Room 712E Washington, DC 20201.

**Web Site Address:**

<http://www.womenshealth.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

To be considered for review, applications must be received by the Office of Public Health and Science, Office of Grants Management, c/o WilDon Solutions by 5:00 p.m. Eastern Time on the due date published in the Dates section of the FR. Applications will be screened upon receipt. Those that are judged to be in compliance will be reviewed for technical merit by a technical panel composed of experts with experience with sex and gender programs, program management, service delivery, outreach, health education, Healthy People 2000 and/or Healthy People 2010, leadership development, and program assessment in accordance with DHHS policy. The technical review of the applications will consider the following factors: Factor 1: Background and Implementation Plan (30 points). Factor 2: Strength of the Public Health System/Collaborative Partnership (Partnership Plan) (20 points). Factor 3: Management Plan (20 points). Factor 4: Evaluation Plan (20 points). Sustainability Plan (10 points) Details regarding the elements to be addressed within each Factor are available in the FR notice.

## 93.100 HEALTH DISPARITIES IN MINORITY HEALTH

(Health Disparities Grants)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707(d)(1), 42 U.S.C. 300u et seq; Disadvantaged Minority Health Improvement Act of 1990, Public Law 101-527.

**OBJECTIVES:**

To support the elimination of health disparities among racial and ethnic populations through local small-scaled projects which address a demonstrated health problem or health issue.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used for support of projects or activities consistent with the mission of the Office of Minority Health of the U.S. Public Health Service and the purpose of the Health Disparities Grant program. Funds are not to be used for the provision of health care, for construction, or to supplant ongoing project activities.

**Applicant Eligibility:**

Private nonprofit community-based minority serving organizations may apply. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Members of minority groups: American Indians or Alaska Natives; Blacks or African Americans; Hispanics or Latinos; Native Hawaiian or other Pacific Islanders; or sub groups of these populations.

**Credentials/Documentation:**

Credentials/Documentation: Proof of nonprofit status is required as part of the application submission. Costs will be determined in accordance with 45 CFR 74 and 92.

**Preapplication Coordination:**

This program does not require preapplication coordination. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in the State for more information on the process the State requires to be filed with applying for assistance, if the State has selected the program for review. This program is also covered by the Public Health System reporting requirements.

**Application Procedure:**

Requests for the standard PHS application form (SF PHS 1561-1, Revised July 2000) and instructions for submission should be directed to Ms. Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853, Telephone (301) 594-0758. A signed original and two copies of the application are to be sent to the above address. Applications are screened upon receipt for completeness, responsiveness and conformance to the program announcement. Those applications judged to be unacceptable based on this initial screening will be returned.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact Headquarter Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grant projects will have a project period not to exceed 2 years, with 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedures will be provided at the time of award.

**Reports:**

Progress reports are required for each budget period, and a final report is due 90 days following the end of the project period. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants)FY 07 est \$0; FY 08 est not available; and FY 09 est not reported. (Note: Will support non-competing applications only. This is the final year for this program.)

**Range and Average of Financial Assistance:**

\$30,028 to \$50,000; \$49,146.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Cynthia H. Amis, Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (301) 594-0769. Grants Management Contact: Ms. Karen

Campbell, Director, Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (301) 594-0758.

**Web Site Address:**

<http://www.omhrc.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Increasing knowledge of diabetes among African American community residents and improving skills necessary for the maintenance of diabetes through workshops, dissemination of health information and participation in health fairs; improving the health status of American Indians at risk for or diagnosed with cardiovascular disease and/or diabetes through fitness activities and an educational component; and reducing teen pregnancy and HIV/STDs among young Latinos by increasing parents knowledge of the conditions and promoting inter-generational communication skills between Latino parents and children about sexuality and family planning issues.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's goals and objectives with the Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications, experience and cultural competence of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

## 93.103 FOOD AND DRUG ADMINISTRATION-RESEARCH

**FEDERAL AGENCY:**

FOOD AND DRUG ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301(c), Public Law 78-410, as amended; Radiation Control for Health Safety Act of 1968, Public Law 90-602, 42 U.S.C. 241 and 263; 42 U.S.C. 300u, Title XVII; Small Business Innovation Research Program Reauthorization Act of 1992, as amended, Public Law 102-564 and 106-554.

**OBJECTIVES:**

To assist institutions and organizations, to establish, expand, and improve research, demonstration, education and information dissemination activities; acquired immunodeficiency syndrome (AIDS), biologics, blood and blood products, therapeutics, vaccines and allergenic projects; drug hazards, human and veterinary drugs, clinical trials on drugs and devices for orphan products development; nutrition, sanitation and microbiological hazards; medical devices and diagnostic products, radiation emitting devices and materials; food safety and food additives. These programs are supported directly or indirectly by the following Centers and Offices: Center for Biologics Evaluation and Research; Center for Drug Evaluation and Research; Center for Devices and Radiological Health; Center for Veterinary Medicine, Center for Food Safety and Applied Nutrition, National Center for Toxicological Research, the Office of Orphan Products Development and Office of Regulatory Affairs, and the Office of the Commissioner. Small Business Innovation Research (SBIR) Programs: to stimulate technological innovation; to encourage the role of small business to meet Federal research and development needs; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation by minority and disadvantaged persons in technological innovation. Funding support for scientific conferences that are relevant to the FDA scientific mission and public health are available. Funds are also provided to assist with State Food Safety Task Force meetings, which are an important mechanism for promoting food safety, food security program coordination, and information exchanges within the states. The availability of Food Safety Task Force (FSTF) grant funds is intended to encourage the development and continual occurrence of Task Force meetings within each state.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research grants are awarded to an eligible institution in the name of a principal investigator for a discrete project representing the investigator's interest and competence and are responsive to programmatic requirements as stated in the Request for Application. Funds are to be used for costs as identified in the Request for Applications and are directly allocable, necessary and reasonable to carry out the research. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants for this program are for the competitive continuation of the research initiated in Phase I, and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Conference grants

provide partial support for domestic scientific conferences. Food Safety Task Force grant funds are to be utilized only for direct costs incurred to secure meeting facility rental expenses, supplies, publication costs, and in state travel expenses for meeting attendees. Funds shall not be used for Federal employees to travel to the meetings.

**Applicant Eligibility:**

The grants are available to any domestic or foreign, public or private, for-profit or non-profit entity (including State and local units of government). Federal agencies that are not part of HHS may apply. Organizations that engage in lobbying activities, as described in section 501 (c) (4) of the Internal Revenue Code of 1968, are not eligible. Other eligible institutions include Private/Public and State Controlled institutions of higher education including Hispanic serving Institutions; Historically Black Colleges and Universities (HBCUs); Tribally Controlled Colleges and Universities (TCCUs); Alaska Native and Native Hawaiian Serving Institutions; Nonprofit with 501(c)(3) IRS Status (other than Institution of Higher Education); Non-domestic (non-U.S.) entity; Small Business; For-Profit Organization (other than Small Business); State Government; Regional Organization; U.S. Territory or Possession; Indian/Native American Tribal Government (Federal recognized and other than Federally recognized); Indian/Native American Tribally Designated Organization; Faith-based or community based organizations.

**Beneficiary Eligibility:**

Domestic or foreign entities, public or private Colleges, universities, profit-making organizations, nonprofit institutions, hospitals, and State and local governments; U.S. Territory or Possession; Indian/Native American Tribal Government (Federal recognized and other than Federally recognized); Indian/Native American Tribally Designated Organizations and faith-based organizations.

**Credentials/Documentation:**

All grant applications must present a research plan and provide evidence of scientific competence, experimental methods and programmatic relevance, as well as the availability of necessary equipment, and facilities and resources to accomplish the proposed aims and objectives. Phase I Small Business Innovation Research applications should be an idea or concept with commercial potential; and Phase II applications should provide evidence that commercialization of the research results are plausible. Costs will be determined in accordance with OMB Circular No. A-87 for State and local or Indian Tribal governments; for-profit organizations' with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations (FAR); OMB Circular No. A-21 for educational institutions, 45 CFR 74 Appendix E for Hospitals; OMB Circular No. A-122 for nonprofit organizations and large non-profit organizations listed in Attachment C of OMB circular A-122 are subject to Federal Acquisition Regulation (FAR) 48 CFR Subpart 31.2 (A subawardee would be subject to the cost principles applicable to its type of organization).

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under Executive Order (E.O.)12372.

**Application Procedure:**

The standard application forms, as furnished by FDA through grants.gov and required by 45 CFR 74 and 92 must be used for this program. All research applicants must complete the SF-424 R&R application and all non-research applicants must submit the SF 424-5161 forms for new competing continuations or competing supplemental research grants. Solicited applications in response to Federal Register Announcements and/or the NIH Guide announcements must be submitted through grants.gov. Consultation with Program Staff is available by contacting the Headquarters Office listed below.

**Award Procedure:**

All accepted research grant applications receive a dual scientific review for technical merit by an appropriate initial review group and a second level review by a national advisory Council or Board. All approved applications compete for available funds on the basis of scientific merit and programmatic relevance. All applications accepted under the Radiation Control for Health Safety Act of 1968, Public Law 90-602 and Small Scientific Conference grants, are evaluated under objective review procedures.

**Deadlines:**

Research grant applications due dates are published in the Federal Register and/or in the Funding Opportunity Announcement published in the NIH Guide. SBIR: April 5, August 5 and December 5; Conference grant applications: October 15, January 15, April 15, and July 15. Unsolicited and SBIR applications are received and processed by the Center for Scientific Review at the National Institutes of Health. The Headquarters Office listed below can be contacted for solicited research application deadlines.

**Range of Approval/Disapproval Time:**

From 6 to 9 months for research grant applications. SBIR applications: Approximately 6 months. Conference applications: Approximately 3 months.

**Appeals:**

None.

**Renewals:**

Renewals are available. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Normally, awards are made for 1-year with additional support (up to 5 years) depending on the recommendation of the dual review groups, successful annual performance and availability of funds. Small Business Innovation Research Phase I awards are generally for 6 months; Phase II awards are generally for 2 years.

**Reports:**

Program progress reports are due as stated in the Terms and Conditions of award. Progress reports and financial status reports are required at the end of each budget period. Final program progress, financial status reports and an invention statements on all projects must be submitted upon completion of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (most recent revision), "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial and Programmatic records, supporting documents, statistical records and all other records that are required by the terms of the grant, or may be considered pertinent to a grant must be retained for 3 years from the date the grantee submits the final financial status report for the report period. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts and grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Grants) FY 07 \$24,500,000; FY 08 est \$25,200,000; and FY 09 est \$25,900,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Research: In fiscal year 2007, over 100 new competitive applications were received and 32 new awards were funded. Approximately 77 continuation awards were also funded in fiscal year 2007. In fiscal year 2008, it is anticipated that approximately 90 new competitive applications will be received, approximately 40 new awards will be funded, and approximately 50 continuation awards will be made. SBIR: In fiscal year 2007, 2 Phase I's and 1 Phase II applications were received. In fiscal year 2008 approximately two Phase I, and one Phase II competing awards will be funded. About five competing grants under the Small Scientific Conference Program were funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52 - Grants for Research Project; 45 CFR Part 46 - Protection of Human Subjects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement, (Most recent revision) available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>; and the Public Health Omnibus Solicitation for Small Business Innovation Research Grant applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program and Grants Management Contact: Michelle Hawley, Acting Chief Grants Management Officer, Division of Acquisition Support and Grants, Office of Acquisition and Grant Services, Food and Drug Administration, Department of Health and Human Services, HFA-500, Room 2107, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 827-1991; Fax: (301) 827-7101; Internet address: michelle.hawley@fda.hhs.gov.

**Web Site Address:**

<http://www.fda.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Heat Treatment of Bacterial Spores in Dairy Products; (2) Waste Management Education and Research Consortium; (3) Post Marketing Surveillance of Adverse Drug Reactions; (4) International Program on Chemical Safety; (5) Veterinary Antimicrobial Decision Support System; (6) Continuation of the National Center for Food Safety and Technology; (7) Trial of Mycophenolate Mofetil in Myasthenia Gravis; and (8) SBIR: Phase II Patient



Dose Tracking system for Fluoroscopic Procedures, (9) various Small Scientific Conferences and Food Safety Task Force Conferences.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. For Small Business Innovation Research applications, the major elements in evaluating Phase I grant applications include the assessment of: (1) The technical merit of the proposed research; (2) the soundness of the proposed design and methods; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the potential of the proposed research for technological innovation and commercial application; (5) the appropriateness of the budget requested; and (6) the adequacy and suitability of the facilities and research environment. In review of Phase II applications, criteria include those listed above, in addition to the following: (1) the degree in which Phase I objectives were met and the feasibility demonstrated; and (2) the adequacy of the Phase I objectives and methodology for addressing the proposed research. For conference programs, the support of scientific meetings is contingent on the scientific interest and priorities of the individual centers and programs.

### **93.104 COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCES (SED)**

(CMHS Child Mental Health Service Initiative)

#### **FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES  
ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN  
SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Title V, Part E, Section 561, as amended, Public Law 102-321, 42 U.S.C. 290ff.

#### **OBJECTIVES:**

To provide community-based systems of care for children and adolescents with a serious emotional disturbance and their families. The program will ensure that services are provided collaboratively across child-serving systems; that each child or adolescent served through the program receives an individualized service plan developed with the participation of the family (and, where appropriate, the child); that each individualized plan designates a case manager to assist the child and family; and that funding is provided for mental health services required to meet the needs of youngsters in these systems.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries, wages and fringe benefits of professional and support staff; travel directly related to carrying out service activities; supplies, communications, and rental of equipment and space; training specifically aimed at one of the following: the development of individualized service plans; the provision of therapeutic foster care, group home care; intensive home-based services, or intensive day treatment services; administration of the system; and appropriate continuing education of two days or less; contracts for performance of activities under the approved project; and other such items necessary to support project activities. Grant funds and required matching funds may not be used for: other required services; to purchase or improve real estate property; provide residential care and/or services in residential treatment centers serving more than 10 children in inpatient hospital settings; any training activities with the exception of those mentioned above; and non-mental health services including mental health medical services, educational services, vocational counseling and rehabilitation, and protection and advocacy.

#### **Applicant Eligibility:**

States, political subdivisions of a State, such as county or local governments, and Federally Recognized Indian Tribal governments.

#### **Beneficiary Eligibility:**

Children under age 22 with a diagnosed serious emotional disturbance, serious behavioral disorder, or serious mental disorder.

#### **Credentials/Documentation:**

In order for an entity to be eligible it must provide the following credentials or documentation along with an application for assistance: (1) Documentation that the State mental health agency of the applicant receives funds from the Center for Mental Health Services Community Mental Health Services Block Grant; (2) documentation that the applicant entity is qualified to deliver services under the State Medicaid Plan and has an agreement to do so, either directly or through a service provider organization; (3) documentation that the State has an approved

plan for the development of a system of care for community-based services for children with a serious emotional disturbance approved by the Secretary of the U.S. Department of Health and Human Services. For the purpose of this program, an approved State Mental Health Plan for children and adolescents with serious emotional disturbance submitted in accordance with the requirements of Section 1912 of the Public Health Service Act, will be accepted as such a plan; and (4) matching requirements.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Standard application forms, as furnished by the Public Health Service (PHS 5161-1, Rev. July, 2000) and required by 45 CFR Part 92 for State and local governments, must be used by applicants. Grant application kits may be obtained from: Knowledge Exchange Network (KEN) at 1 (800) 789-2647.

#### **Award Procedure:**

Applications submitted are reviewed in a two-tiered peer review process. Grants in support of projects recommended for approval by the initial review group and the Center for Mental Health Services Advisory Council are awarded directly to the applicant organization.

#### **Deadlines:**

Contact Headquarters Office listed below for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Matching requirements pertain to specific instances (Part E of Title V) of the Public Health Service Act as amended by 42 U.S.C. 290ff. This program requires that the applicant entity will, with respect to the costs incurred in carrying out the purpose of this program, make available (directly or through donations from public or private entities) nonfederal contributions towards such costs in an amount not less than \$1 for each \$3 of Federal funds provided in the first, second and third years of the grant; not less than \$1 for each \$1 of Federal funds provided in the fourth year of the grant; and, not less than \$2 for each \$1 of Federal funds provided in the fifth year of the grant.

#### **Length and Time Phasing of Assistance:**

Project will be funded for up to 6 years. Payments will be made under an Electronic Transfer System.

#### **Reports:**

Quarterly and annual progress reports are required as well as a final performance report. Annual and final financial status reports are due not later than 90 days following the end of the budget/project periods.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," entities that expend financial assistance of \$500,000 or more in a year shall have an audit made in accordance with Circular No. A-133. In addition, 45 CFR Part 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

#### **Records:**

There is a 3-year record retention requirement: records shall be retained beyond the 3-year period if the final audit has not been done or findings resolved.

#### **Account Identification:**

75-1362-0-1-550.

#### **Obligations:**

(Grants) FY 07 \$82,277,923; FY 08 \$62,058,726; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

\$82,277,923 to \$62,058,726; \$43,769,800.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 56 continuation awards were made. It is estimated that 41 awards will be funded in fiscal year 2008.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92. Guidelines are provided along with instructions in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Revised April 1, 1994).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Program Contact: Gary Blau, PhD, Chief, Child Adolescent and Family Branch, Division of Knowledge Development and Systems Change, Center for Mental Health Services, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, 1 Choke Cherry Road, 6-1041; Telephone: (240) 276-1980 Rockville, MD 20857. Contact: Gwendolyn Simpson, Grants Management Team Leader, SAMHSA, Department of Health

and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1408. E-mail: [Gwendolyn.simpson@samhsa.hhs.gov](mailto:Gwendolyn.simpson@samhsa.hhs.gov). Use the same numbers for FTS.

**Web Site Address:**  
<http://www.samhsa.gov>.

**RELATED PROGRAMS:**  
None.

**EXAMPLES OF FUNDED PROJECTS:**

East Baltimore, Maryland; Charleston, South Carolina; Tohatchi, New Mexico/Navajo Nation; South Bronx, New York; Parsons, Kansas; Milwaukee, Wisconsin; and Santa Barbara, California.

**CRITERIA FOR SELECTING PROPOSALS:**

The following review criteria will be used in evaluating proposals: (1) Potential significance of the proposed project; (2) appropriateness of goals and objectives; (3) adequacy and appropriateness of the proposed approach and activities; (4) evidence of the State's readiness and commitment to the proposed project; (5) commitment to family participation in system development and care of their children and adolescents; (6) degree of cultural competence demonstrated; (7) capability and experience of project director, consultants, and other key staff; (8) adequacy of available resources; (9) reasonableness of the proposed budget; (10) cooperation in the evaluation activities; and (11) evidence of activities directed at developing continued funding support. Award criteria include: (1) quality of proposed project as determined by the review process; (2) geographical distribution; and (3) availability of funds.

### 93.105 BILINGUAL/BICULTURAL SERVICE DEMONSTRATION GRANTS

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XVII, Section 1707(e)(1), 42 U.S.C. 300u et seq.

**OBJECTIVES:**

To improve and expand the capacity for linguistic and cultural competence of health care professionals and paraprofessionals working with Limited-English-Proficient (LEP) minority communities and improve the accessibility and utilization of health care services among the LEP minority populations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used to support projects that provide bilingual/bicultural assistance in the delivery of health services for minority populations. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or supplantation of on-going project activities.

**Applicant Eligibility:**

Public and private nonprofit minority community-based organizations or health care facilities serving a targeted LEP minority community may apply.

**Beneficiary Eligibility:**

Members of the minority groups whose native language is other than English: American Indians or Alaska Natives, Asians, Blacks or African Americans, Hispanics or Latinos, Native Hawaiians or other Pacific Islanders, or a subgroup of any of these groups.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission.

**Preapplication Coordination:**

This program does not require preapplication coordination. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in the State for more information on the process the State requires to be filed with applying for assistance, if the State has selected the program for review. This program is also covered by the Public Health System reporting requirements.

**Application Procedure:**

Application kits may be requested by calling 240-453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be

extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grant projects can have a 3-year project period, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash basis or under a letter of credit. Necessary instructions regarding procedures will be provided at the time the Notice of Grant Award is issued.

**Reports:**

Progress reports are required for each budget period, and a final performance report is due 90 days following the end of the project period. Financial status reports are due at the end of each budget period, and a final status report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 \$2,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000; \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

FY 2007 will support continuation awards only.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Ms. Cynthia H. Amis, Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, 1101 Wootton Parkway, Suite 600, Rockville, MD 20852: Telephone: (240) 453-8444. For technical assistance on budget and business aspects of the application may be obtained from the Office of Grants Management. Contact the Office of Public Health and Science, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852: Telephone: (240) 453-8822.

**Web Site Address:**

<http://www.omhrc.gov>.

**RELATED PROGRAMS:**

None.

#### EXAMPLES OF FUNDED PROJECTS:

1) Reducing linguistic and cultural barriers which exist between Hispanic patients and health care providers through language and cultural training sessions; 2) developing and implementing a case management and education program that targets specific groups of limited-English-speaking Asians and Pacific Islanders; 3) assessing the health status of Chinese, Vietnamese, Cambodian, and Laotian seniors; providing lectures on Asian health care needs and specific health resources, and providing bilingual and bicultural translators and interpreters; and increasing knowledge and awareness about managed care and its implications.

#### CRITERIA FOR SELECTING PROPOSALS:

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's goals and objectives with the Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications, experience and cultural competence of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

### 93.107 MODEL STATE-SUPPORTED AREA HEALTH EDUCATION CENTERS

(MODEL AHEC)

#### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Public Health Service Act, Title VII, Section 751(a)(2), as amended; Public Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### OBJECTIVES:

The Model State-Supported Area Health Education Centers (MAHEC) Program and the Basic/Core Area Health Education Centers (BAHEC) Program goals are to assist schools to improve the distribution, diversity, supply, and quality of health personnel in the health services delivery system, and to attract and retain health personnel in underserved areas. The AHEC Program awardees link the academic resources of medical schools and participating health professions schools with local educational and clinical sites, and thereby establish a network of community-based training sites to provide educational services to health professions students, faculty-preceptors and health care providers in underserved areas, and ultimately, to improve the delivery of health care in an underserved region or in an entire state. Emphasis is placed on community-based training of health professions students, primary care-oriented medical residents, local providers, and also 9-12 grade students. The BAHEC Program assists schools in the initial planning, development and implementation of community-based Area Health Education Centers (AHECs) which assist schools and organize the training of at least three health professions disciplines at training-service delivery sites in rural and underserved areas, of a region or an entire state. Schools which complete Basic AHEC Program development, then compete for Model AHEC Program awards in partnership with affiliated (contracted) AHEC Centers to maintain and enhance/expand training programs and training sites responsive to local, State and Federal needs. The MAHEC programs are an established training infrastructure of local, State and Federal partners which address current health workforce priorities within a region of a State or in an entire State. The MAHEC and BAHEC programs embrace the goal of increasing the number of health professions graduates who ultimately practice in underserved areas. Both AHEC programs carry out health careers recruitment and enhancement activities to attract high school students from underserved areas into health careers.

#### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

#### USES AND USE RESTRICTIONS:

With respect to the costs of operating the model area health education center program of the school, the school must make available (directly or through donations from public or private entities) nonfederal contributions in cash toward such costs of at least 50 percent of such costs. Amounts provided by the Federal Government may not be included in determining the amount of nonfederal contributions in cash. With respect to the costs of operating the area health education center program of the school, the school will maintain expenditures of nonfederal amounts for such costs at a level of such expenditures maintained by the school for the fiscal year preceding the first fiscal year for which the school receives an award under this program. Schools may expend not more than 10 percent of amounts received for demonstration projects cited under Section 746(a)(3)(E). The aggregate amount of awards to schools in a State for the fiscal year under this new Model AHEC authority shall not exceed the lesser of (i) \$2 million; and (ii) and amount equal to \$250,000 times the aggregate number of AHEC centers operated in the State by the

schools.

#### Applicant Eligibility:

The types of entities eligible to apply for this program include public or private nonprofit accredited schools of medicine and osteopathic medicine and incorporated consortia made up of schools, or the parent institutions of schools. Applicants must also have previously received funds, but are no longer receiving funds under Section 751(a)(1) of the Public Health Service Act, and are operating an AHEC program.

#### Beneficiary Eligibility:

Accredited schools of medicine or osteopathic medicine, or the parent institution on behalf of such schools, and also, accredited schools of nursing in States in which no AHEC program is in operation.

#### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

#### Award Procedure:

Notification is made in writing by a Notice of Grant Award issued from Headquarters Office.

#### Deadlines:

[www.hrsa.gov](http://www.hrsa.gov).

#### Range of Approval/Disapproval Time:

From 3 to 4 months after the review of the application.

#### Appeals:

None.

#### Renewals:

Competitive continuation applications may be submitted during the final budget period of the approved project.

#### Formula and Matching Requirements:

Awardees shall make available (directly or through contributions from State, county or municipal governments, or the private sector) recurring non-Federal contributions in cash in an amount not less than 50 percent of the operating costs of the Model State-Supported AHEC Program.

#### Length and Time Phasing of Assistance:

Project periods are limited up to 3 years.

#### Reports:

A Uniform Progress Report (UPR) must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### Account Identification:

75-0350-0-1-550.

#### Obligations:

FY 07 \$15,077,970; FY 08 est \$14,000,000; and FY 09 est not available.

#### Range and Average of Financial Assistance:

For FY 06, \$170,311 to \$851,555; \$378,378.

#### PROGRAM ACCOMPLISHMENTS:

In FY 07, 39 awards were made. It is expected that 42 Model AHEC Program awards will be made in FY 08.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### Regional or Local Office:

David Hanny, Ph.D., M.P.H., or CAPT Norma Hatot, Program Officers, AHEC



Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-6950.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Awards are made to a school of medicine or osteopathic medicine that is operating an area health education center program and that is not receiving financial assistance under Section 751(a)(2) of the PHS Act to encourage State coordination and support for AHEC community-based primary care training activities. A listing of currently funded programs is available at <http://bhpr.hrsa.gov/ahec/modahec.htm>.

**CRITERIA FOR SELECTING PROPOSALS:**

In determining the funding of applications, consideration is given to: (1) **NEED** Demonstrates an understanding of the purpose of the AHEC program, and demonstrates an understanding of the identified need(s) as evidenced by the applicant's description of target population(s) and geographic areas validated with supporting data, demographics, health status of the target population(s), and associated contributing factors which the proposed AHEC project intends to address in the area(s) to be served by the area health education center(s); (2) **RESPONSE** The degree to which the proposed project responds to the program requirements as set forth in Sections 751(a)(1) and 751(a)(2) of the PHS Act, as amended; degree to which project activities address the AHEC Project and Center requirements; clarity of the project objectives and their relationship to the identified need(s); extent to which project objectives are measurable and attainable within the stated timeframe; clarity of the proposed work plan and mechanisms to assure that satisfactory progress is attained; extent to which the project fulfills the cost sharing/matching requirements; degree to which project challenges and plans to overcome barriers are addressed; and degree to which the project meets the Medical School 10 Percent Requirement; (3) **EVALUATIVE MEASURES** The adequacy of the evaluation strategy to monitor and evaluate project results: potential of evaluative measures to assess the extent to which project objectives are met and to what extent these can be attributed to the project; clarity of methods and techniques that will be used to measure, analyze, and report the outcomes of each objective; and the extent to which the proposed project adequately responds to AHEC Program performance measures and outcome indicators; the points will be allocated across the performance measures of Distribution, Diversity, and Quality; (4) **IMPACT** The potential of the proposed AHEC program and participating center(s) to continue on a self-sustaining basis; identification of plans for effective, efficient dissemination of project results; potential of project results to be of national significance; and potential for replication of project activities; (5) **RESOURCES/CAPABILITIES** Evidence of qualifications in key personnel bio-sketches; evidence of adequate staffing plan for proposed project; evidence of ability to implement complex programs with similar requirements; evidence of institutional support, e.g., resources and letters of support; and evidence of successful partnerships and linkages with academic and community-based organizations; (6) **SUPPORT REQUESTED** Evidence of a reasonable detailed budget and budget rationale to accomplish the project objectives; evidence of fiscal capability to successfully manage cooperative agreements and contracts; and evidence of efforts to become self-sufficient, e.g., other sources of income, income generation plans, and future funding strategies.

**93.110 MATERNAL AND CHILD HEALTH FEDERAL CONSOLIDATED PROGRAMS**

Special Projects of Regional and National Significance (SPRANS), including Family to Family Health Information Centers, and Community Integrated Service Systems (CISS); and Public Health Service Act - Section 399BB Programs under the Combating Autism Act of 2006.

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title V, Section 502(a)(1) and (b)(1) and 501(c)(1), as amended; 42 U.S.C. 702.; and Section 399BB of the Public Health Service Act.

**OBJECTIVES:**

To carry out special maternal and child health (MCH) projects of regional and national significance; to conduct training and research; to conduct genetic disease testing, counseling, and information development and dissemination

programs; for grants relating to hemophilia without regard to age; and for the screening of newborns for sickle cell anemia, and other genetic disorders. These grants are funded with a set-aside from the MCH Block grant program. SPRANS grants are funded with 15 percent of the Block Grant appropriation of up to \$600 million. When the appropriation exceeds \$600 million, 12.75 percent of the amount over \$600 million is set aside for the Community Integrated Service Systems grants. 15 percent of the balance remaining over \$600 million is also for SPRANS. The CISS program is to develop and expand the following: (1) Home visitation; (2) increased participation of obstetricians and pediatricians; (3) integrated service delivery systems; (4) maternal and child health centers for women and infants, under the direction of a not-for-profit hospital; (5) services for rural populations; and (6) community-based services for children with special health care needs in order to enhance or develop an integrated services system. Funds are appropriated for the development of family to family health information centers as such: \$3,000,000 for FY 07; \$4,000,000 for FY 08; and \$5,000,000 for FY 09. Family to Family health information centers assist families with children with disabilities or special health care needs to make informed choices about health care in order to promote good treatment decisions, cost effectiveness, and improved health outcomes for such families. In FY 2008 Congress first funded the Combating Autism Act program, which is for early detection, education and intervention activities on autism and other developmental disorders.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Training grants are made to institutions of higher learning for training personnel for health care and related services for mothers and children. Research grants are for the purpose of research activities which show promise of a substantial contribution to the advancement of maternal and child health services. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Other special project grants are designed to support activities of a demonstration nature which are designed to improve services for mothers and children.

**Applicant Eligibility:**

Training grants may be made to public or private nonprofit institutions of higher learning. Research grants may be made to public or private nonprofit institutions of higher learning and public or private nonprofit private agencies and organizations engaged in research or in Maternal and Child Health (MCH) or Children with Special Health Care Needs (CSHCN) programs. Any public or private entity is eligible for hemophilia and genetics grants and other special project grants, including CISS. Family to Family Health Information Centers are to be developed in the 50 States and the District of Columbia.

**Beneficiary Eligibility:**

For training grants: (1) Trainees in the health professions related to MCH; and (2) mothers and children who receive services through training programs. For research grants: public or private nonprofit agencies and organizations engaged in research in MCH or CSHCN programs. For hemophilia, genetics, and special projects: (1) Public or private agencies, organizations and institutions; and (2) mothers and children, and persons with hemophilia (any age), who receive services through the programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). Please visit the [Grants.gov](http://Grants.gov) Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Project applications are reviewed by committees composed of staff of DHHS and/or nongovernmental experts. Applications are reviewed based on their merit and are ranked according to the priority score the committees have assigned. Final decisions regarding funding are made by the Associate Administrator for Maternal and Child Health.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation

application.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements except for the Healthy Tomorrows Partnership for Children Program which has a 1:2 (Federal: Non-Federal) for years 2-5 of the project.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System.

**Reports:**

Annual program reports, annual financial status reports, annual program service reports and special reports as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$ 115,365,070; FY 08 est \$ 131,062,404; and FY 09 est \$128,601,411.

**Range and Average of Financial Assistance:**

\$1 to \$1,762,500; \$207,865.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 560 projects were funded. A wide variety of services were provided to thousands of mothers and children, including counseling, diagnostic, therapeutic, and other secondary and tertiary level services. In FY 08, and estimated 627 projects will be funded, including new projects for the Combating Autism Act. In FY 09, it is estimated that 541 projects will be funded for all the activities supported under this CFDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Associate Administrator for Maternal and Child Health, Health Resources and Services Administration, Department of Health and Human Services, Room 18-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2170.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: 301-443-3288.

**Web Site Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

93.994, Maternal and Child Health Services Block Grant to the States; 93.234, Traumatic Brain Injury State Demonstration Grant Program; 93.251, Universal Newborn Hearing Screening; 93.926, Healthy Start Initiative; 93.365, Sickle Cell Treatment Demonstration Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Health Professional Training Projects; (2) Schools of Public Health; (3) Maternal and Child Health Research; (4) Genetic Screening, Testing and Counseling; (5) Hemophilia Diagnosis and Treatment Centers; (6) Child and Adolescent Health Services Demonstration Projects; (7) Healthy Tomorrows Community Based Partnerships; (8) Community Integrated Service Systems (CISS) to develop comprehensive community based systems to services; and (9) Family to Family Health Information Centers.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits. Contact Central Office for details.

**93.111 ADOLESCENT FAMILY LIFE RESEARCH GRANTS**

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XX, Section 2008, Public Law 98-512, 42 U.S.C. 300z-7, as amended; Appropriation Act of 1991, Public Law 101-517.

**OBJECTIVES:**

To encourage and support research projects and dissemination activities concerning the societal causes and consequences of adolescent sexual activity, contraceptive use, pregnancy and child rearing. To determine ways to alleviate, eliminate or resolve negative consequences of adolescent sexual activity, pregnancy and childbearing for parents, children and their families.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used for descriptive or explanatory surveys, longitudinal studies, or limited demonstration projects for services done for the purpose of increasing knowledge and understanding of the objectives. Abortions may not be provided or encouraged. In the case of a "for-profit" grantee, no grant funds may be paid in excess of allowable direct and indirect costs.

**Applicant Eligibility:**

State and local government agencies; private organizations (nonprofit and profit); institutions of higher education.

**Beneficiary Eligibility:**

Non-pregnant adolescents, pregnant adolescents, adolescent parents, and their families will benefit.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations. Costs for-profit organizations will be determined by 48 CFR, Subpart 31.2 of the Federal Acquisition Regulation. Faith based organizations are eligible to apply.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application Form PHS-398 (Rev. May 1995) for Research Grants should be submitted. The standard application forms, as furnished by PHS and required by 45 CFR, Part 74, (for institutions of higher education, hospitals, and other non-profit organizations), and 45 CFR, Part 92, (for State and local governments), must be used for this program. Applications are reviewed and evaluated by a group composed primarily of nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR, Part 74, 45 CFR, Part 92, and OMB Circular No. A-102 (administrative guidelines and standards for states and local governments), and OMB Circular No. A-110 (administrative guidelines and standards for institutions of higher education, hospitals, and other non-profit organizations).

**Award Procedure:**

After considering the recommendation of the review group, the Deputy Assistant Secretary for Population Affairs makes the final decision on the funding of approved applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

To be announced.

**Range of Approval/Disapproval Time:**

From 3 to 5 months.

**Appeals:**

None.

**Renewals:**

Projects may be approved for 1 year; a project may be renewed for two additional 1-year periods based on submission of an application, including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants may not exceed 3 years with budget periods not to exceed 12 months. Payments will be made either on a monthly cash request basis or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made.

**Reports:**

Grantees must submit annual and final progress reports. Expenditure reports are required 90 days after the end of each budget period. Inventions are to be reported immediately.

**Audits:**

In accordance with the provisions of OMB Circular No. A - 133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year,

except as noted in Circular No. A - 133.

**Records:**

HHS and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts, and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 \$1,040,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$108,000 to \$151,000; \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, 42 CFR 52 and 52h, 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

Program guidance is provided in the application kit.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Barbara Cohen, Office of Adolescent Pregnancy Programs, Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-2828. Grants Management Contact: Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.opa.osophs.dhhs.gov> .

**RELATED PROGRAMS:**

93.995, Adolescent Family Life Demonstration Projects.

**EXAMPLES OF FUNDED PROJECTS:**

This program has funded projects for the following purposes: (1) Adolescents at risk; and (2) adoption versus parenting.

**CRITERIA FOR SELECTING PROPOSALS:**

(All applications are subject to peer review, in a system established by 42 CFR Section 52h.8, which must find a project to be of scientific merit before it can be awarded a grant.) Criteria include: (1) Scientific and technical significance and originality; (2) adequacy of methodology; (3) qualifications and experience of principal investigator staff; (4) availability of necessary resources; (5) reasonableness of budget and duration; and (6) adequacy of protection of humans, animals, and the environment.

### 93.113 ENVIRONMENTAL HEALTH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301 and 472, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241, as amended, 42 U.S.C. 288, Public Law 99-500, Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To foster understanding of human health effects of exposure to environmental agents in the hope that these studies will lead to: the identification of agents that pose a hazard and threat of disease, disorders and defects in humans; the development of effective disease prevention strategies; the overall improvement of human health effects due to environmental agents; the development of products and technologies designed to better study or ameliorate the effects of environmental agents; and the successful training of research scientists in all areas of environmental health research. Supported grant programs focus on the following areas: (1) Understanding biological responses to environmental agents by determining how chemical and physical agents cause pathological changes in molecules, cells, tissues, and organs, and become manifested as respiratory disease, neurological, behavioral and developmental abnormalities, cancer, and other disorders; (2) Determining the mechanisms of toxicity of ubiquitous agents like metals, natural and synthetic chemicals, pesticides, and materials such as asbestos and silica, and natural toxic substances, and their effects of on various human organ systems, on metabolism, on the endocrine and immune systems, and on other biological functions; (3) Developing scientific information about potentially toxic and hazardous chemicals by concentrating on toxicological

research, testing, test development, and validation efforts; (4) Conducting broad-scale efforts in biometry and risk estimation for determining, monitoring and predicting the probable health risks of cancer, organ system toxicities, and diseases and disorders resulting from human exposures to various environmental hazards, including the development of new statistical analytic tools and methods; (5) Expanding and improving the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (6) Expanding and improving the STTR program to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (7) Providing long-term stable support for broadly based multi-disciplinary research and training on environmental health problems in Environmental Health Sciences Core Centers. These Centers serve as national focal points and resources for research and manpower development. The DISCOVER centers intend to advance our understanding of the role of environmental factors in influencing human disease through an interdisciplinary effort where basic mechanistic and clinical research inform each other. Through these Center programs, NIEHS expects to achieve the long range goal of developing new clinical and public health applications to improve disease prevention, diagnosis, and therapy. Additional Centers programs developed in recent years, include the Centers for Oceans and Human Health (P50)(co-funded with NSF), Children's Environmental Health Centers (P01)(co-funded with USEPA) and the Autism Centers of Excellence (co-funded with (NIMH) (U54); (8) Supporting research training programs which serve to increase the pool of trained research manpower with needed expertise in the Environmental Health Sciences through support of Individual and Institutional National Research Service Awards (NRSAs); (9) The Outstanding New Environmental Scientist Program which provides first time research grant funding to outstanding junior scientists in the formative stages of their career who are proposing to make a long term commitment to environmental health sciences research and to address the adverse effects on environmental exposures on human biology, human pathophysiology and human disease.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Research Grants and Cooperative Agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Environmental health sciences education grants (R25) are limited to \$100,000 direct costs plus indirect costs calculated at 8 percent of appropriate direct cost base and they should promote the development of instructional material. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I, scientific and technical merit, and commercial potential of the Phase II application. Independent Scientist Awards (Supersedes former Research Career Development Award): These awards are in amounts up to \$75,000 (plus fringe benefits, eight percent indirect costs, and \$25,000 for research support) and are made to institutions to provide salary and research support for research scientists who need an additional period of sponsored research as a way to gain experience in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. Supplementation from nonfederal funds is allowed. Mentored Clinical Scientist Development Awards and Mentored Patient-Oriented Research Career Development Awards (encompass the previous Physician Scientist Awards and Clinical Investigator Awards): Awards up to \$75,000 (salary), \$25,000 for research support plus eight percent indirect costs and fringe benefits, to provide for specialized study for clinically trained professionals who are committed to a career in research and have the potential to develop into independent investigators. Supplementation from nonfederal funds is allowed. Midcareer Investigator Award in Patient Oriented Research: These awards provide salary for levels of effort between 3-6 person months per year (plus fringe benefits) and \$25,000 of career development support to provide support for mid-career health professional doctorates at the mid-career level protected time to devote to patient oriented research and to act as mentors, primarily for clinical residents. The Mentored Quantitative Research



Development Award: Awards up to \$75,000 salary (plus fringe) and up to \$40,000 in Career Development Expenses to junior faculty with quantitative and engineering backgrounds to allow them to refocus their research on NIH-relevant topics. Supplementation from non-federal funds is allowed. The Pathways to Independence Award provides up to five years of support consisting of two phases. The initial phase provides 1-2 years of mentored support for highly promising postdoctoral research scientists. Phase 2 consists of up to 3 years of independent research support contingent on securing an independent tenure track or equivalent research position. The total costs per year for the mentored phase should not exceed \$90,000 per year, and the total costs for the independent phase may not exceed \$249,000 per year. NIEHS Center grants are primarily intended to provide infrastructure support and the support of core research facilities. In addition, an appropriate indirect cost is provided as determined by negotiated agreement with the grantee's cognizant government organization. National Research Service Awards (NRSAs): Individual predoctoral and postdoctoral training awards are made for the support of fellows who engage in research training in environmental toxicology, environmental pathology, environmental mutagenesis, or environmental epidemiology/biostatistics. These training grants enable institutions to make awards to individuals selected by them, for both predoctoral and postdoctoral research training in the aforementioned areas. Each individual who receives a postdoctoral NRSA is obligated upon termination of the award to comply with certain service and payback provisions.

#### **Applicant Eligibility:**

Research Grants, Cooperative Agreements, Science Education Grants, SBIR Grants, Independent Scientist Awards, Mentored Research Scientist Development Award, Mentored Clinical Scientist Development Award, and the Academic Career Awards: A university, college, hospital, State, local or tribal governments, nonprofit research institution, or for-profit organization may submit an application and receive a grant for support of research by a named principal investigator. Candidates for Academic Career Awards and Midcareer Investigator Awards in Patient Oriented Research must have a doctoral degree and peer-reviewed, independent, research support at the time the award is made. Candidates for Mentored Clinical Scientist Development Awards and Mentored Patient Oriented Research Career Development Awards must have a clinical degree or its equivalent and must have initiated post graduate clinical training. Candidates holding a Ph.D. degree are ineligible. Candidates who have served as principal investigators on PHS-supported research projects are ineligible. A candidate for Academic Career Awards must have a clinical or research doctorate degree. Those eligible for the Development Award must be able to devote at least 75 percent effort. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Centers: A university-based, nonprofit research institution, or for-profit organization proposing an integrated research program established to accomplish a stated mission, covering activities ranging from very basic research to the actual application of research results in the prevention and control of environmental health problems, may submit an application under the direction of a named Center Director. National Research Service Awards: (1) Nonprofit domestic organizations may apply for the Institutional NRSA; (2) Individual NRSA awardees must be nominated and sponsored by a public for-profit or nonprofit private institution having staff and facilities appropriate to the proposed research training program; (3) all awardees must be citizens or have been admitted to the United States for permanent residence; (4) to be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

#### **Beneficiary Eligibility:**

For Research Grants: Any nonprofit or for-profit organization, company, or institution engaged in biomedical research. For Centers and Training Grants: University-based nonprofit institutions; for-profit organizations conducting research; and individuals nominated by a private institution conducting research.

#### **Credentials/Documentation:**

Research Grants, Science Education Grants, Cooperative Agreements, Independent Scientist Awards, Mentored Research Scientist Development

Awards, Mentored Clinical Scientist Development Awards, and Academic Career Awards: Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For educational institutions and Indian Tribal governments, Costs will be determined in accordance with OMB Circular No. A-21. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For non-profit grantees, costs will be determined by OMB Circular A-122. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-2 and PHS 6426-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Centers: Application must be signed by appropriate officials of the submitting institution. National Research Service Awards: (1) Individual NRSA Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training must be included in the application; (2) Institutional NRSA - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 45 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q.

#### **Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Research Grants, Science Education Grants, Cooperative Agreements, SBIR Grants and Awards: Application forms and instructions for their submission are available from the Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants which are State and local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://grants.nih.gov/grants/funding/sbir.htm> on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to [grants.gov](http://grants.gov) at <http://grants.gov>. For Center grants and NRSA Training grants the standard application forms, as furnished by PHS and required by 45 CFR 92, must be used for this program by those applicants that are State or local units of government. Centers: Consultation with National Institute of Environmental Health Sciences staff is essential prior to submission of an application. National Research Service Awards (Individual): Prior to formal application, an applicant must arrange for acceptance at sponsoring institution by a sponsor who will supervise the training. Application Kits and instructions for submission are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, Room 6207, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892-7910. Specific information concerning Centers may be obtained by contacting the office indicated under Information Contacts. This program is subject to the provisions of 45 CFR, 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

#### **Award Procedure:**

Made on the basis of dual review by peer groups of all applications. The first level of reviews is by a study section for scientific merit. In addition, a national advisory council provides a secondary level of review for all applications. As required by P.L. 109-482, the NIH Health Reform Act of 2006, all research grant and cooperative agreements must undergo Advisory Council/Board review and approval prior to funding, including those \$50,000 and under in direct costs. Review of Individual NRSA applications by an Advisory Council/Board is not required. Final approval of these recommendations and decisions concerning funding are made by the Director, NIEHS. All accepted applications are evaluated first for technical merit by an appropriate scientific review group and then by a national advisory council. All accepted SBIR and STTR applications are first evaluated for scientific and technical merit by an appropriate scientific peer review panel, then by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds based on scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Application deadlines for all grant mechanisms can be found at: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

**Range of Approval/Disapproval Time:**

From 6 to 9 months. SBIR and STTR: About 7-1/2 months. Centers and Institutional National Research Service Awards: From 6 to 9 months. Individual National Research Service Awards: From 6 to 8 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Research Grants, Cooperative Agreements, Center Grants, and Institutional Training Grants: Renewal applications are subject to same criteria as new applications. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Award, Academic Career Awards, and Individual Training grants are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Research Grants, Cooperative Agreements, Center Grants, and NRSA Institutional grants may be awarded for up to 5 years, generally in 12-month budget periods and may be extended through a competitive renewal. Science Education Grants may be awarded for up to 5 years, in 12-month budget periods, and are not renewable. Independent Scientist Awards are awarded for 5 years in 12-month budget periods, and are non-renewable. Mentored Research Scientist Awards are for up to 5 years, 12-month budget periods, and are non-renewable. Mentored Clinical Scientist Development Awards and Academic Career Awards are for up to 5 years and are renewable. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. National Research Service Awards: Individual awards are non-renewable and may be for 1, 2, or 3 years, but no individual may receive NRSA support at the predoctoral level for more than 5 years and at the postdoctoral level for more than 3 years. Funds are released primarily on basis of an Electronic Transfer System.

**Reports:**

Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submit the last expenditure report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

Grants: FY 07 \$312,021,779; FY 08 \$303,091,000; and FY 09 est \$300,805,000.

**Range and Average of Financial Assistance:**

\$2,000 to \$2,472,080; \$368,277.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 573 research project grant (RPG) awards were made, of which 176 were competitive RPG applications. 4 STTR and 34 SBIR awards were also made, of which 27 were competing. In addition, 36 Center grant awards were made in fiscal year 2007 including: 2 MFB Center Grant awards (P30); 21 EHS Center grant awards (P30); 9 Specialized Centers (P50); 4 Specialized Center Cooperative Grants (U54). Nine competing Center P30 grant applications were considered and four were funded. Also in fiscal year 2007, 53 Individual and 57 Institutional NRSA's were made. 48 competing Individual NRSA applications were considered and 22 funded, while 13 competing Institutional NRSA T32 applications were considered and 8 were funded. During fiscal year 2008, 555 RPG awards are expected to be made (including SBIR and STTR awards), while 29 Center grants, 53 Individual and 53 Institutional NRSA awards are expected to be funded. In fiscal year 2009, it is anticipated that 540 RPG awards (including SBIR and STTR awards), 29 Center grants, 48 Individual and 53 Institutional NRSA's will be made. During FY 2007/08, NIEHS awarded two DISCOVER Centers which focus on the role of environmental exposures in the development of asthma. They include mechanistic, clinical and public health related research designed to advance our understanding of this prevalent respiratory disease in children. NIEHS is one of

the lead agencies at NIH involved in the Genes Environment and Health Initiative responsible for the Exposure Biology Program. The development of biomarkers, biosensors and to improve our understanding of exposure assessment of environmental agents. Within the field of the health effects of endocrine disrupting chemicals, NIEHS supported research looking at exposures to these agents during development and early life and their health effects during childhood, adolescence and adulthood. Organochlorine pesticides were shown to affect birth outcomes such as birth weight and head circumference and motor development. A pilot project in our Breast Cancer research centers, phthalates and other EDCs were found in detectable levels in urine of girls ages 6-8 and researchers are studying whether these levels effect the timing of puberty. Animal experiments also link these types of chemicals, especially Bis-Phenol-A to prostate and breast cancer susceptibility. Researchers supported by NIEHS are also involved in research on the cardiopulmonary effects of air pollution. NIEHS researchers have reported on the relationship between pesticides and Parkinson's Disease and other neurodegenerative diseases. Scientists are also engaged in basic research in the areas of oxidative stress, DNA repair and cellular signaling in response to exposures to a wide variety of toxicants. The National Institute of Environmental Health Sciences and the National Human Genome Research Institute jointly launched a new Ruth L Kirschstein National Research Service Award Institutional Training Program in Human Genes and the Environment. The new Genes and Environment Training Program seeks to build upon the established foundations in exposure biology an high throughput genomics to produce a new generation of scientists who are equally at home in genomics and environmental health sciences and can seamlessly interact with both groups of scientists. These results point out the usefulness of applying proteomics technology as a tool for the discovery of early biomarkers of exposure to environmental chemicals. Theoretically, similar analyses could be used to identify susceptible individuals or could be used as a diagnostic tool for discovering the cause of disease. The study also sheds light on the possible mechanisms of the immunosuppressive effects of benzene.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; various other publications and application kits, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, NIH, Room 6207, 6701 Rockledge Drive, Bethesda, MD 20892. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Research Grants: Dr. Claudia Thompson, Acting Director, Center for Risk & Integrated Sciences, DERT, NIEHS, E-mail: [thompsol@niehs.nih.gov](mailto:thompsol@niehs.nih.gov). Telephone: (919) 541-4638; or Dr. J. Patrick Mastin, Chief, Cellular, Organ and Systems Pathobiology Branch, E-mail: [mastin@niehs.nih.gov](mailto:mastin@niehs.nih.gov). Telephone: (919) 541-3289; or Dr. Gwen Collman, Chief, Susceptibility and Population Health, E-mail: [collman@niehs.nih.gov](mailto:collman@niehs.nih.gov); Telephone: (919) 541-4980. Environmental Justice, Science Education Grants: Dr. Gwen Collman, Chief, Susceptibility and Population Health, E-mail: [collman@niehs.nih.gov](mailto:collman@niehs.nih.gov); Telephone: (919) 541-4980. Independent Scientist Awards, Mentored Research Scientist Development Awards, Academic Career Awards: Dr. Carol Shreffler, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: [shreffl1@niehs.nih.gov](mailto:shreffl1@niehs.nih.gov). Telephone: (919) 541-1445. AREA, SBIR and STTR Grant Programs: Dr. Jerrold Heindel, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: [heindelj@niehs.nih.gov](mailto:heindelj@niehs.nih.gov). Telephone: (919)541-0781. For each program contact, the rest of the mailing address is: Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, P.O. Box 12233, Research Triangle Park, NC 27709. P30 Core Centers Program Contact: Dr. Leslie Reinlib, Susceptibility and Population Health, Division of Extramural Research and Training, NIEHS, National Institutes of Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. E-mail: [reinlib@niehs.nih.gov](mailto:reinlib@niehs.nih.gov); Telephone: (919) 541-4998; NRSA Program Administrator: Dr. Carol Shreffler, Cellular, Organ and Systems Pathobiology Branch, Division of Extramural Research and Training, NIEHS, National Institutes of Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-1445. E-mail: [shreffl1@niehs.nih.gov](mailto:shreffl1@niehs.nih.gov). Grants Management Contact: Ms. Dorothy Duke, Chief, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-2749. E-mail: [duke3@niehs.nih.gov](mailto:duke3@niehs.nih.gov).

**Web Site Address:**

<http://www.niehs.nih.gov>.



**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following Research Projects have been supported: (1) the effects of hexanedione on Testicular Sertoli cell function; (2) a Cell culture approach to understanding mechanisms of cadmium nephrotoxicity; (3) a probable mechanism for the carcinogenicity of 2-nitropropane; (4) Development of an earthworm model for analyzing xenobiotic immunotoxicity; (5) short-term mutagen testing with human and murine cells; (6) an in vivo assay of environmental toxins using magnetic resonance imaging; (7) Acid aerosol exposure effects on respiratory morbidity; and (8) Epidemiological study of health effects of lead on child development; (9) Metabonomic Assessment of Estrogenic Endocrine Disruptors; (10) Obesity and Neighborhood Characteristics. Some examples of funded SBIRs are: (1) Development of personal monitors for detection of environmental exposures (2) Submicron Particles and Fibers for Toxicological Studies; (3) A Toxin-Based Drosophila Parkinson's Disease Model Examples of funded STTRs are as follows: (1) Self-Assembled Crystals in Cyanide Detection; (2) Polarized Xenon Production: Powerful Narrowed Laser; (3) LiverTox: Advanced QSAR and Toxicogenomic Software for Hepatotoxicity Prediction. Center Grants provide core support for studies on: (1) the use of model organisms for understanding the mechanisms of toxicity of environmental chemicals; (2) trace contaminants as environmental health hazards to humans; (3) subtropical and tropical oceans and human health; (4) the response of the respiratory system to environmental chemicals; (5) gene-brain-behavior relationships in Autism; (6) the environmental, genetic and cellular determinants of Parkinson's Disease; (7) The impact of particulate matter and a high-fat diet on Atherosclerosis. NRSAs provide support for: (1) Postdoctoral training in experimental environmental pathology and human comparative pathology of diseases and lesions produced by chemical and physical contaminants; (2) predoctoral and postdoctoral training in the field of environmental toxicology on the molecular interactions of toxic materials; (3) predoctoral and postdoctoral training in the evaluation and prediction of the effects of environmental pollutants on biological systems; (4) predoctoral and postdoctoral training in the principles and perspectives of epidemiology and biostatistics to develop a capability to initiate epidemiological inquiries to test hypotheses on the biological effects of environmental agents.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. The following criteria will be used in considering the scientific and technical merit of the proposed approach: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.116 PROJECT GRANTS AND COOPERATIVE AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAMS****FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 317(a)317E, 42 U.S.C. 247b-b(a), as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Preventive Health Amendments of 1984, Public Law 98-555; Public Health Service Act of 1987, as amended, Public Law 100-177; TB Prevention

Amendments Act of 1990, as amended, Public Law 101-368.

**OBJECTIVES:**

To assist State and local health agencies in carrying out tuberculosis (TB) control activities designed to prevent transmission of infection and disease. Financial assistance is provided to TB programs to ensure that the program needs for the core TB prevention and control activities are met: finding all cases of active tuberculosis and ensuring completion of therapy; finding and screening persons who have had contact with TB patients, evaluating them for TB infection and disease, and ensuring completion of appropriate treatment, and conducting TB surveillance and TB public health laboratory activities that are essential to addressing these priorities. Each of these core activities (completion of therapy, contact investigation, TB surveillance, and TB laboratory activities) is essential to effective TB prevention and control, and they are mutually reinforcing. Thus, they constitute a "package" of core activities. These are the highest priority TB prevention and control activities and should be carried out by all State and local TB prevention and control programs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Project funds may be used to support both local personnel and individuals in direct assistance (i.e., "in lieu of cash") positions under Section 317 of the Public Health Service Act and to purchase equipment, supplies and services directly related to project activities, particularly directly observed therapy, patient outreach, morbidity surveillance, outreach and program assessment. Project funds may not be used to supplant State or local funds available for tuberculosis control, or to support construction costs or inpatient care.

**Applicant Eligibility:**

Under Section 317 of the Public Health Service Act, official public health agencies or their bona fide agents of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

Official public health agencies of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operations, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Award Procedure:**

After officials review and approve applications, a Notice of Award is prepared and processed, and appropriate notification is made to the public.

**Deadlines:**

Contact Headquarters Office for application deadline.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

None.

**Renewals:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no matching requirements, applicants must assume part of the project costs and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(b)(2)317E.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: One year.



**Reports:**

Quarterly or semiannual narrative and performance statistical reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$99,108,876; FY 08 est \$97,698,380; and FY 09 est \$97,698,380.

**Range and Average of Financial Assistance:**

\$73,390 to \$11,269,054; \$1,436,741.

**PROGRAM ACCOMPLISHMENTS:**

Support was provided to 68 cooperative agreements in fiscal year 2007. It is estimated that support will continue for 68 cooperative agreements in fiscal year 2008 and fiscal year 2009, with continued special emphasis on the Nation's inner cities where much of the tuberculosis morbidity occurs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subpart A of 42 CFR 51b is applicable, including all regulations incorporated by reference under Section 51b.105. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Kashef Ijaz, National Center for HIV, STD, and TB Prevention, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road MS E10, NE., Atlanta, GA 30333. Telephone: (404) 639-5314. Grants Management Contact: Roslyn Curington, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road MS E15, Atlanta, GA 30333. Telephone: (404) 639-8321.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118, Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.991, Preventive Health and Health Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:**

Cooperative agreements are provided to health departments to intensify tuberculosis prevention and control activities, primarily through the use of outreach workers.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated in 2007 on the 2005 data including the total number of cases reported, the number of bacteriologically confirmed cases reported, the bacteriologically substantiated rate of disease, the number of tuberculosis cases among racial and ethnic minorities, significant tuberculosis problems among the homeless, cumulative number of TB/AIDS cases, and significant increases in tuberculosis morbidity. The number of tuberculosis cases under current supervision which have organisms resistant to one or more anti-tuberculosis drugs will also be considered in evaluating and prioritizing projects for funding. In addition, the overall potential effectiveness of the applicant's plan of operation in meeting the objectives of proposed projects will be considered in evaluating and prioritizing projects.

**93.117 GRANTS FOR PREVENTIVE MEDICINE**

(Preventive Medicine)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 768, 42 U.S.C. 295(c), as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To promote the post-graduate education of physicians in preventive medicine and public health.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; and providing financial assistance to residents enrolled in such programs. Grants may not be used for construction or for the provision of direct patient services.

**Applicant Eligibility:**

Eligible applicants are schools of medicine, osteopathic medicine and public health. An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**Beneficiary Eligibility:**

U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States may receive a stipend under this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competitive continuation applications may be submitted during the final budget period of the approved project period. Applications must be submitted in accordance with instructions and deadlines for competitive applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years.

**Reports:**

A Uniform Summary Progress Report must be submitted for a second or subsequent budget period within the approved project period. Annual Financial status reports are required 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,183,673; FY 08 est \$1,198,894; and FY 09 est not available.

**Range and Average of Financial Assistance:**

(FY 2007) \$211,825 to \$250,000; \$236,735 average.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 5 competing awards were made. It is expected that approximately 5 continuation awards will be made in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-5244 and E-mail: equinones@hrsa.gov.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Programs which provide support for the initiation, expansion, or improvement of programs of preventive medicine. See Preventive Medicine Residency Program, Section of Bureau of Health Professions, web site for descriptions of programs, <http://bhpr.hrsa.gov/publichealth/preventive/index.htm>.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants for technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 768 of the PHS Act. Approval of any application will be based on an analysis of the following factors:

PREVENTIVE MEDICINE - purpose, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHP performance objectives; and dissemination activities.

**93.118 ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) ACTIVITY**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301 (I), 307, 311, 317, 327, 352, and 1102, as amended, Public Law 95-626.

**OBJECTIVES:**

To develop and implement HIV prevention programs of public information and education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Support for cooperative agreements for HIV activities.

**Applicant Eligibility:**

Public and private organizations, both nonprofit and for-profit (universities, colleges, research institutions and other public and private organizations); State and local governments, U.S. Territories and possessions; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, small and minority businesses, and businesses owned by women.

**Beneficiary Eligibility:**

Official health and education agencies, as well as individuals subject to AIDS.

**Credentials/Documentation:**

Nonprofit institutions: Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q, for nonprofit organizations and in accordance with OMB Circular No. A-87 for State and local governments. For-profit institutions: Costs will be determined by Federal Acquisition Regulations 48 CFR 31.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. When indicated in individual program announcements, applications are subject to review in accordance with the National Health Planning and Resources Development Act, Public Law 93-641,

as amended. For the technical assistance component of this program, when indicated in individual program announcements, applications are eligible for coverage under E.O. 12372. This program is eligible for coverage under the Public Health System Reporting Requirements. Under these requirements, all community-based nongovernmental applicants must report to the appropriate State and/or local health agency as determined by the applicant.

**Application Procedure:**

Applications are made in the form of an application, PHS-5161-1 or PHS 398, to the Centers for Disease Control and Prevention (CDC). The standard application forms, as furnished by CDC and required by 45 CFR, Parts 74 or 92, must be used for this program. This program is subject to the provisions of 45 CFR, Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Applicants may resubmit application for next announcement or review.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

From 1 to 5 years (renewable).

**Reports:**

Quarterly or end-of-year progress reports, and annual financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records and supporting documents must be maintained for 3 years after the end of each budget period. If questioned, records must be kept until matters are settled.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) FY 07 \$2,336,241; FY 08 est \$3,378,016; and FY 09 est \$3,378,016.

**Range and Average of Financial Assistance:**

Range is approximately \$130,560 to \$1,000,000; average is \$153,650.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that in FY 2007 approximately 23 awards will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS; 45 CFR, Part 74; Guidelines established by CDC for AIDS cooperative agreements.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Grants Management Contact: Cheryl Maddux, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 498-1911.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention \_Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Activities for the prevention of HIV, including cooperative agreement awards for epidemiologic research.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation, criteria as stated in the Program Announcements.

**93.121 ORAL DISEASES AND DISORDERS RESEARCH**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

#### **OBJECTIVES:**

To obtain improved information on craniofacial-oral-dental health promotion, disease prevention, diagnostics, therapeutics, and fundamental scientific research that fuels the engine of patient-oriented and community-based clinical or applied research. The research portfolio is divided into several overlapping programs which support basic, clinical and transitional research from molecular biology to patient-oriented and community-based clinical investigations. 1. Inherited Diseases and Disorders Program supports research on etiology, pathogenesis, epidemiology, prevention, diagnosis, and treatment of inherited craniofacial-oral-dental diseases and disorders (e.g., ectodermal dysplasia, cleft lip and palate, amelogenesis imperfecta, dentinogenesis imperfecta, osteogenesis imperfecta, and other inherited diseases that have craniofacial-oral-dental manifestations) as well as on normal craniofacial-oral-dental development. Developmentally related disorders such as occlusion defects and those acquired through trauma is included. 2. Infectious Diseases Program supports research on etiology, pathogenesis, epidemiology, prevention, diagnosis and treatment of oral infectious diseases (i.e., viral, bacterial, fungal and parasitic) such as dental caries, periodontitis, oral candidiasis, herpes, hepatitis, and HIV/AIDS. Included is research on immunity with special emphasis on mucosal and salivary immunity; and on the oral manifestations of systemic infectious diseases and the development of new diagnostics and therapeutics. 3. Neoplastic Diseases Program supports research on the etiology, pathogenesis and metastasis, epidemiology, prevention, diagnosis, and treatment of oral and pharyngeal neoplastic diseases. 4. Chronic Disabling Diseases Program supports the full range of research involving such diseases associated with the craniofacial-oral-dental complex. These include osteoporosis, osteoarthritis, and related bone disorders, temporomandibular joint diseases and disorders, neuropathies and neurodegenerative diseases including those involving oral sensory and motor functions, and autoimmune diseases such as Sjogren's syndrome. Also included is research aimed at elucidating the relationship between chronic diseases of the craniofacial-oral-dental complex (e.g., periodontitis) and other systemic diseases (e.g., diabetes). 5. Biomaterials, Biomimetics and Tissue Engineering Program supports research to enhance the development of natural and synthetic therapeutics and biomaterials used for the repair, regeneration, restoration, and reconstruction of craniofacial-oral-dental molecules, cells, tissues, and organs. 6. Behavior, Health Promotion and Environment Program supports research aimed at assessing the interactive roles of sociological, behavioral, economic, environmental, genetic, and biomedical factors in craniofacial-oral-dental diseases and disorders. Included are studies aimed at examining the impact of oral health care delivery systems, clinical decision-making, and education on health outcomes. The Institute also supports Comprehensive Oral Research Centers of Discovery, each of which is organized around a unifying scientific theme pertinent to diseases and disorders of the craniofacial-oral-dental complex, integrates basic, clinical, applied and behavioral research, accelerated science-technology transfer, provides a vehicle for cross-disciplinary and collaborative research, and provides health professionals and the public with the latest information about craniofacial-oral-dental health. The Research Training and Career Program insures the future of craniofacial-oral-dental research by developing an outstanding and diverse scientific work force through programs designed for high school, undergraduate, graduate, and post-doctoral stages of education and for continued career development of scientists and retraining of mid-career scientists. The Diversity in Research portfolio enhances research on minority craniofacial-oral-dental health issues, expands the diversity of the scientific work force, and increases the research capacity of minority institutions and of those serving primarily minority populations. The Clinical Trials and Clinical Core Centers portfolio recognizes the increasing need to establish a strong foundation for the support of meritorious clinical research. The Technology Transfer portfolio responds to the increasing partnering of the Institute's Division of Extramural Research with industry in craniofacial-oral-dental research. It expands on the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs and works closely with the industrial R&D community to identify new opportunities for fostering collaborative efforts. The SBIR program seeks to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The STTR program seeks to stimulate and foster scientific and technological innovation and foster technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation in the oral health sciences. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for-profit institutions. Awards include investigator-initiated project grants, program project grants, center grants, career development awards to enable investigators with outstanding research potential to develop their careers, and small grants. Individual and institutional Dentist Scientist Awards are made to provide research career development in both clinical and basic science areas. National Research Service Awards (NRSAs) can be made directly to individuals for research training in specified biomedical areas, and can be made to institutions to enable them to accept individuals for research training. Individuals who receive NRSAs may be obligated upon termination of the award to comply with service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or process. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally 1-year duration) are able to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperation effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

#### **Applicant Eligibility:**

Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Grants: Applications for grants must show the objectives, methodology, and resources for the specific research project and must present the applicant's competence and interest. NRSA and career development awards: (1) Individual Candidates: the applicant's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training, must be included in the application. (2) Institutional Candidates: the applicant institution must show the objectives, methodology, and resources for the research training program, the research qualifications and experience of directing staff to train students, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grants funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other than State and local government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and 6246-2 are used to apply for Phase I and Phase II awards, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for



STTR Phase I and Phase II awards respectively.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Award Procedure:**

Grants: All accepted applications competing for grants are reviewed by two advisory groups -- the initial review group composed of nongovernmental peer scientists and the second the National Advisory Dental Research Council. For grants costing less than \$50,000, review by a competent staff group may be substituted for Council review. Career development awards and NRSA: All accepted applications are reviewed by an appropriate initial scientific review group. The Advisory Council provides secondary review of institutional NRSA and all career development awards. NIDR staff provides expedited secondary review of individual NRSA and small grant applications. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Research Grants, all program project and all Career Development Awards: February 1, June 1, and October 1. Renewal Research Grants, Supplementals, Revised Research Grants and Career Developmental Awards: March 1, July 1, and November 1. NRSA: Individual - April 5, August 5, and December 5; Institutional - September 10. Small Grants: April 3, August 3, and December 3. SBIR: April 15, August 15, and December 15. STTR: December 1, only.

**Range of Approval/Disapproval Time:**

Grants: From 6 to 9 months. NRSA: From 6 to 9 months. Small grants: About 6 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A Principal Investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH/NRSA support at the postdoctoral level for more than 3 years, unless a specific waiver is requested and approved.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants: Approval of a project includes a determination of support for the authorized project period (not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved project period, an application for renewal (PHS-398, Rev. September 1991) must be submitted in accordance with the deadline dates and

instructions attached to the form. SBIR Phase I awards are generally for 6 months; Phase II awards normally are for 2 years. STTR Phase I awards are generally for 1 year; Phase II awards are for 2 years.

**Reports:**

Grants: Annual and terminal reports on progress, expenditures, and inventions in accordance with 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0873-0-1-550.

**Obligations:**

(Grants) FY 07 \$288,744,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Research Grants: \$1,000 to \$5,613,000; \$318,000. NRSA: \$8,000 to \$677,000; \$154,000. SBIR: Average Phase I SBIR awards are for approximately \$100,000; Phase II awards may be made for amounts up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Funding for fiscal year 2007 is estimated as follows: 451 noncompeting research project grants at \$171,443,000, 169 competing grants at \$54,177,000, 34 SBIR/STTR awards at \$8,330,000, 8 research centers at \$15,259,000, 90 grants in the career development award program at \$12,350,000, 27 other research grants at \$12,275,000, and 337 positions in the NRSA program at \$14,910,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 66; 45 CFR 74; Leaflet, entitled, "Grant and Contract Research Programs at the National Institute of Dental Research", Grant Application Kit. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contacts: Division of Basic and Translational Sciences: Dr. Ann Sandberg, (301) 594-2419; [Ann.Sandberg@nih.gov](mailto:Ann.Sandberg@nih.gov); Division of Extramural Activities: Dr. H. George Hausch, (301) 594-2904; [HauschG@de45.nidr.nih.gov](mailto:HauschG@de45.nidr.nih.gov); Division of Population and Health Promotion Sciences: Dr. Dushanka V. Kleinman, (301) 496-9469; [Kleinman@od13.nidr.nih.gov](mailto:Kleinman@od13.nidr.nih.gov); Division of Intramural Research: Dr. Henning Birkedal-Hansen, (301) 496-2687; [bb96r@nih.gov](mailto:bb96r@nih.gov); Use the same telephone numbers for FTS. Address for all contacts: Division of Extramural Research, National Institute of Dental and Craniofacial Research, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892.

**Web Site Address:**

<http://www.hhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Research center support coordinated studies of periodontal diseases, clinical cores, dental caries, oral biology, craniofacial disorders, oral cancer, minority oral health, and materials sciences; (2) genomic sequencing of bacterial oral pathogens; (3) metalloproteinases in developing enamel; (4) genetic basis of ectodermal dysplasia; (5) biofilms, including studies of microbial ecology, physiology and transmission; (6) prevention and control of infectious diseases including behavioral approaches, antibiotics and vaccines; (7) development of anti-streptococcal antibodies in genetically engineered plants; (8) endodontic treatment and management of oral AIDS-Kaposi's sarcoma for HIV positive patients; (9) development of HIV diagnostic assays utilizing saliva; (10) epidemiology of HIV associated opportunistic oral infections; (11) papilloma viruses in oral cancer; (12) regulated expression of extra-cellular matrix proteins in oral cancer; (13) biobehavioral aspects of temporomandibular disorders (TMD); (14) pharmacological management of TMDs; (15) brainstem mechanisms

controlling jaw movement; (16) neural control of swallowing and mastication; (17) construction of chimeric salivary molecules; (18) etiology and pathology of Sjogren's syndrome; (19) guided bone regeneration with morphogenic protein; and (20) computer assisted detection of dental caries.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to the announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing proposed means for (a) safeguarding human and animal subject, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.123 HEALTH PROFESSIONS PREGRADUATE SCHOLARSHIP PROGRAM FOR INDIANS**

#### **FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94- 437, as amended.

#### **OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives for the purpose of completing pre-graduate education leading to a baccalaureate degree only in the following areas: (1) Pre-Medicine: priority as follows: senior, junior, sophomore, freshman; (2) Pre-dentistry: priority as follows: senior, junior, sophomore, freshman.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Support is limited to 4 years of full-time education, or part-time equivalent for a maximum of 8 years.

#### **Applicant Eligibility:**

Individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency, and have been accepted for enrollment or are enrolled in an accredited pre-graduate program in a pre-medicine or pre-dentistry curriculum.

#### **Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

#### **Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility in order to be considered. The applicant's advisor must also provide verification that the courses to be taken are required for an undergraduate curriculum leading to a bachelor's degree in pre-medicine or pre-dentistry curriculum and represents the number of credit hours which the school requires to be full-time or at least 6 hours of part-time study.

#### **Preapplication Coordination:**

Preapplication is not required. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application form OMB No. 0917-0006 and instructions are provided by the Indian Health Service and are usually available to interested individuals in February. An application form and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) are submitted to IHS Headquarters for review and approval/disapproval.

#### **Award Procedure:**

Grants are awarded on a competitive basis. Approved funding includes

payments for stipends and books that are made directly to the individual recipient. Tuition and fee payments are made to the recipient's college or university.

#### **Deadlines:**

Contact IHS Area offices for application deadlines. New applications are usually available in February with a submission deadline of April 1.

#### **Range of Approval/Disapproval Time:**

Applicants are notified by July 31.

#### **Appeals:**

None.

#### **Renewals:**

Continuation applications must be submitted annually. Continued funding is subject to the availability of funds and satisfactory performance.

#### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly for the academic period. An amount is provided to students for books and other necessary expenses.

#### **Reports:**

Students are required to submit their official transcripts as they are received. Initial progress reports are required for each quarter. Notification of Academic Problem/Change is required at any time a problem or change occurs.

#### **Audits:**

Not applicable.

#### **Records:**

The Indian Health Service Scholarship Program maintains records on all students. Records must be maintained for 4 years after the final payment has been made.

#### **Account Identification:**

75-0390-0-1-551.

#### **Obligations:**

(Grants) FY 07 \$1,364,846; FY 08 \$1,364,846, FY 09 est. not available.

#### **Range and Average of Financial Assistance:**

\$18,913 to \$27,217; \$20,049.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, 48 new and 13 continuing awards were made. It is estimated that a total of 61 scholarship awards will be made in fiscal year 2006 and fiscal year 2007.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.370-36.374. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 96-537 (which amends Public Law 94-437, Section 103), published in the Federal Register on February 29, 1984.

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

Program Contact: Ms. Pat Lee-McCoy, IHS Scholarship Program, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-6197. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-0243. Use the same numbers for FTS.

#### **Web Site Address:**

<http://www.ihs.gov>.

#### **RELATED PROGRAMS:**

93.971, Health Professions Preparatory Scholarship Program for Indians; 93.972, Health Professions Scholarship Program.

#### **EXAMPLES OF FUNDED PROJECTS:**

Scholarships may be awarded for any of the following career categories (or the equivalent): (1) Premedicine; (2) preoptometry; (3) predentistry; or (4) preosteopathy. The priority categories are premedicine (priority as follows: senior, junior, sophomore, freshman) and predentistry (priority as follows: senior, junior, sophomore, freshman).

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applicant must be of Indian descent. Other elements considered are: (1) academic performance; (2) faculty or employer recommendation; (3) stated reasons for applying for the scholarship; and (4) the relative needs of the Indian Health Service and Indian health organizations for persons in specific health professions.

### **93.124 NURSE ANESTHETIST TRAINEESHIPS**

#### **FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 811, 42 U.S.C. 296j, as amended, Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### **OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for licensed registered nurses enrolled as full-time students beyond

the twelfth month of study in a master's nurse anesthesia program.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To meet the costs of traineeships that will pay all or part of the costs of tuition, books, fees, and reasonable living expenses for the program for registered nurses to become nurse anesthetists for up to a maximum of 18 months of full-time study. Award recipients must have completed 12 months of study in a nurse anesthesia master's program. Restricted uses: Indirect costs and trainee travel are not allowed.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education, which provide registered nurses with full-time anesthetist master's education and have evidence of earned accreditation status from the American Association of Nurse Anesthetists (AANA) Council on Accreditation of Nurse Anesthesia Education Programs.

**Beneficiary Eligibility:**

Traineeship recipients are selected by the participating institutions. A candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, be enrolled full-time beyond the 12th month of study in a participating nurse anesthetist master's education program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Approximately 2 to 3 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Applications may be submitted annually.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Project periods are for (1) year.

**Reports:**

Annual financial status reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$1,250,000; FY 08 \$1,250,000; and FY 09 est \$1,250,000.

**Range and Average of Financial Assistance:**

FY 08: Range is \$276 to \$56,247; Average is \$17,123.

**PROGRAM ACCOMPLISHMENTS:**

2007 - 79 awards were made; 2008 - 73 awards were made; 2009 - 75 estimated awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education,

hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Ms. Karen Breeden, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 8-C26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5787.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects provide financial support to students enrolled full-time beyond the first 12 months of study in a nurse anesthetist education program to cover the costs of tuition and fees, books and reasonable living allowance.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.127 EMERGENCY MEDICAL SERVICES FOR CHILDREN**

(EMS for Children)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 1910, as amended, Public Law 102-410.

**OBJECTIVES:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 1910 of the Public Health Service Act.

**Applicant Eligibility:**

States and accredited schools of medicine.

**Beneficiary Eligibility:**

All children will benefit from the project grants administered by this program, including children from minority groups.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed by a review committee of experts who are generally nongovernmental. Applications are reviewed based on their merit and are ranked according to a point score. Final decisions are made by the Associate Administrator for Maternal and Child Health.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Final decisions are made about 4 months after receipt of applications.

**Appeals:**

Applicants may reapply for support by submitting a revised application.



**Renewals:**

Renewal applications will be accepted.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are generally for up to 3 years.

**Reports:**

Annual program reports, financial status reports, program service reports, and special reports must be submitted as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$15,418,994; FY 08 est \$17,398,487; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$89,397 to \$1,200,000; \$192,737.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07, 81 grants were funded and for FY 08, it is estimated that 75 grants will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

EMSC Senior Program Manager, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

20.600, State and Community Highway Safety; 93.110, Maternal and Child Health Federal Consolidated Programs.

**EXAMPLES OF FUNDED PROJECTS:**

State Partnership Grants The State Partnership grants fund EMS state agencies to focus on the following performance measures: (1) Ensure operational capacity to provide pediatric emergency care by guaranteeing pre-hospital provider agencies have on-line and off-line pediatric medical direction; pre-hospital providers agencies have essential pediatric equipment and supplies; implement a state-wide, territorial, or regional facility recognition program for hospitals that are able to stabilize and/or manage pediatric emergencies; and hospitals have written inter-facility transfer guidelines and agreements that specify alternate sites that have the capabilities to meet the clinical needs of critically ill and injured pediatric patients. (2) Adopt requirements by states/territories for pediatric emergency education for the recertification of paramedics. 3) Establish permanence of EMSC in each state/territory National EMSC Data Analysis Resource Center. NEDARC provides technical assistance, training workshops, and site visits in order to assist EMSC projects and state EMS offices develop their capabilities to collect, analyze, and utilize EMS data. NEDARC provided the foundation from which the NEMSIS Technical Assistance Center was created and is an example of collaboration between EMSC and the National Highway Traffic Safety Administration (NHTSA) Targeted Issues Grants Targeted Issues grants are intended to address specific needs or concerns in the field of pediatric emergency care that transcend state boundaries. Typically the projects result in a new product or resource or the demonstration of the effectiveness of a model system component or service of value to the nation. Types of projects that have been funded within this category include developing model pediatric components for state disaster plans, screening and secondary prevention for psychological sequelae of pediatric injury, basic emergency

lifesaving skills in schools, and emergency preparedness for infants with significant heart disease. Network Development Demonstration Project (NDDP) Projects are cooperative agreements that demonstrate a system of regional applied pediatric emergency medical services centers designed to expand and improve emergency services for children who need treatment for trauma or critical care. Awardees are linked together in a network to demonstrate a capacity to conduct multi-site studies on issues relating to the management of pediatric events that occur in hospitals as well as in transport.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be reviewed and evaluated by a panel of reviewers experienced in the planning, implementation, and monitoring of emergency medical services and pediatric care. The reviewers will recommend a score for applications; recommend any modifications or conditions to the grant if awarded; and recommend any changes to the proposed budget. Recommendations of the review panel are presented to the Associate Administrator for MCH. Panel recommendations are advisory only, and the Associate Administrator for MCH will be responsible for final decisions regarding awards. Reviewers will use the criteria and questions described in the section on Categories of Grants: Program Narrative and Review Criteria to evaluate proposals. Applicants are urged to address these criteria as directly as possible in the text of the program narrative.

**93.129 TECHNICAL AND NON-FINANCIAL ASSISTANCE TO HEALTH CENTERS**

(State and Regional Primary Care Associations)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Section (I).

**OBJECTIVES:**

To provide necessary technical and non-financial assistance to potential and existing health centers, including: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement); and 3) the provision of information regarding resources available under Section 330 and how they can best be used to meet the health needs to the communities served by potential and existing health centers (information sharing/knowledge management).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Recipients will be expected to provide certain technical and non-financial assistance to health centers and other qualified organizations.

**Applicant Eligibility:**

State and Regional Primary Care Associations who currently work with BPHC-supported programs or other qualified community-based providers with similar missions throughout their State or region.

**Beneficiary Eligibility:**

This program will benefit medically underserved populations.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for Bureau of Primary Health Care. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each applicant will receive a written notification of the outcome of the objective review process and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding may proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agency's Authorized Representative, is the authorizing document.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

There is no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

Grantees are required to submit an annual progress report for continued funding that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est \$34,000,000; FY 08 est \$40,000,000; and FY 09 est \$38,000,000.

**Range and Average of Financial Assistance:**

\$300,000 to \$2,200,000.

**PROGRAM ACCOMPLISHMENTS:**

It is expected that 51 associations will be funded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Headquarters Program Office: Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Eastern Division: 301-594-4488; Central Mid-Atlantic Division; Telephone: (301) 594-4420; Western Division; Telephone: (301) 480-1130.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.129, Technical and Non-Financial Assistance to Health Centers.

**EXAMPLES OF FUNDED PROJECTS:**

A grant to a State or regional primary care association is awarded to provide necessary technical and non-financial assistance to potential and existing health centers, including: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement); and 3) the provision of information regarding resources available under Section 330 and how they can best be used to meet the health needs to the communities served by potential and existing health centers (information sharing/knowledge management).

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants for funding under Section 330 to provide technical and non-financial assistance to health centers will be evaluated on their ability to perform State or regional-specific assistance in the following areas: 1) training and assistance in fiscal and program management (program requirements); 2) operational and

administrative support (performance improvement), and 3) information sharing/knowledge management. The application should outline specific activities under each core function. These activities must support and advance the HRSA/BPHC mission goals and focus on HRSA/BPHC supported health centers. The extent and type of activities under each core function should depend on demonstrated health centers needs and HRSA/BPHC/State/regional priorities.

### 93.130 COOPERATIVE AGREEMENTS TO STATES/TERRITORIES FOR THE COORDINATION AND DEVELOPMENT OF PRIMARY CARE OFFICES

(State Primary Care Offices)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 330(k), 330(m) and 333(d).

**OBJECTIVES:**

To coordinate local, State, and Federal resources contributing to primary care service delivery and workforce issues in the State to meet the needs of medically-underserved populations through health centers and other community-based providers of comprehensive primary care and the retention, recruitment, and oversight of health professions for medically underserved populations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Recipients will be expected to perform State-wide primary care planning and resource coordination, including Medicaid, Children's Health Insurance program, State Offices of Rural Health, Ryan White Area Health Education Centers, Maternal and Child Health, etc.; support health systems development, primary care practitioners retention and recruitment, National Health Services Corps monitoring activities, as well as activities relating to other special populations including rural populations; and conduct operational and administrative support activities.

**Applicant Eligibility:**

States or territories, political subdivisions of States, agencies of States, or other public entities that operate solely within one State.

**Beneficiary Eligibility:**

Medically underserved populations within States will benefit from this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

The Division of Independent Review is responsible for managing objective reviews within Health Resources and Services Administration. Applications will receive an objective and independent review performed by a committee of experts. Applications are reviewed for merit and are recommended for approval or disapproval. Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding can proceed. Final decisions are made jointly by the Associate Administrator for Health Professions and the Associate Administrator for Primary Care. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by Grants Management Officer and is sent to the applicant's agency's Authorized Representative, is the authorizing document.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

90 to 120 days.

**Appeals:**

Not applicable.

**Renewals:**

Support is recommended for a specified project period, not in excess of 3 years. After initial awards are made, projects may be renewed annually depending on

the submission and approval of a satisfactory application. Future funding is contingent on the availability of funds for such purposes.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

Grantees are required to submit annual program reports. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$10,000,000; FY 08 est \$10,000,000; and FY 09 est \$10,000,000.

**Range and Average of Financial Assistance:**

Average award per recipient \$188,679.

**PROGRAM ACCOMPLISHMENTS:**

In FY 08, 53 applicants were funded. It is anticipated that 53 new awards will be funded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Office of Shortage Designation Branch, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8C-26, Rockville, Maryland 20857. Telephone: (301) 594-0816.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.129, Technical and Non-Financial Assistance to Health Centers.

**EXAMPLES OF FUNDED PROJECTS:**

A cooperative agreement to a State Health Department engaged in the following: (1) statewide primary health care planning and resource coordination; (2) health systems development; (3) National Health Service Corps monitoring activities; (4) supporting the use of State resources (including Medicaid, Children's Health Insurance Program, Area Health Education Centers, and Maternal and Child Health) for primary care purposes to medically underserved populations; and (4) promoting partnerships with State and Regional Primary Care Associations, State Offices of Rural Health, Ryan White, and Maternal and Child Health.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated in the following areas: (1) Ability to assess and analyze the State's health policy environment, its unmet need for preventive and primary care services, its health care marketplace and its major disparities in health outcomes; and (2) develop and implement strategies and activities to effectively assist health centers and NHSC delivery sites in their response to these State environmental conditions and needs identified.

**93.134 GRANTS TO INCREASE ORGAN DONATIONS**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Section 377 of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f. Clinical Interventions to Increase Organ Procurement (CIOP): Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Social and Behavioral Interventions to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. State Donor Registry Support Program and Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: Section 377B of the Public Health Service Act, 42 U.S.C. Section 274f-2.

**OBJECTIVES:**

To support grants for the purpose of increasing public commitment to organ donation and the number of organs recovered and ultimately transplanted. To that end, the Division of Transplantation has a cooperative agreement and 5 grant programs with the following objectives: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The purpose of this program is to establish and operate a national system to provide reimbursement of travel and subsistence expenses, and other non-medical expenses that may be authorized by the Secretary to individuals making living donations of their organs. Clinical Interventions to Increase Organ Procurement (CIOP): This program provides support for the implementation and evaluation of model interventions for identifying appropriate heart beating and non-heart-beating donation candidates, evaluating donated organs, maintaining donor stability, and optimizing methods for organ procurement. In FY 2007, the sole focus of the CIOP was to provide support for model interventions for increasing organ donation from uncontrolled donors after cardiac death (UDCD). In FY 2008 the CIOP focus returned to Donation after Neurological Death (DND) and Donation after Cardiac Death (DCD) both controlled and uncontrolled. The FY 2009 focus will again be on DND and DCD. Support would also be likely for hypothesis driven testing of emerging technologies that may be useful for evaluating and improving organ function. Social and Behavioral Interventions to Increase Solid Organ Donation: This program provides support for the implementation and rigorous evaluation of highly promising strategies and approaches for increasing public attitudes, practices and ultimately commitment to organ donation as well as family consent at a relative's time of death. State Donor Registry Support Program: This program provides support to units of State government to develop or improve a statewide electronic registry in which residents can indicate their intent to be a donor which can be accessed by procurement personnel on a 24/7 basis to determine donation wishes of residents at their time of death. The ultimate objective is to ensure that every American has the opportunity to designate his or her donation wishes in a manner that is consistently available when needed. Public Education Efforts to Increase Solid Organ Donation: The purpose of this program is to support the implementation of public education and outreach programs that show promise of increasing organ donation. Specifically, this program supports the replication of strategies demonstrated in the Division's grant program Social and Behavioral Interventions to Increase Solid Organ Donation or through other research efforts to be effective in increasing organ donation. The program also supports the implementation of efforts to increase organ donation that adopt and replicate strategies demonstrated in the public health literature as being effective methods for modifying other health behaviors. The program also supports the implementation of public education and outreach efforts that are based on an established framework for successful public health outreach programs. This grant program is supportive of the Division's mission to educate the public about deceased and/or living donation and to encourage individuals' to document their decision to be a donor in their statewide donor registry or by some other mechanism where a registry is unavailable. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: This grant program provides support to teams of OPOs and hospitals in the same donation service area (DSA) to implement and better coordinate strategies for increasing their rates of organ donation and consequently, the number of lives saved through transplantation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Funds made available through this program may not be made available to donating individuals when payment for qualified reimbursement expenses has been made, or can reasonably be expected to be made: (1) under any State compensation program, under an insurance policy, or under any Federal or State health benefits program; (2) by an entity that provides health services on a prepaid basis; or (3) by the recipient of the organ. All Other Programs: Funds may not be used for activities that are reimbursable under Medicare.

**Applicant Eligibility:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: As specified in Section 377 of the Public Health Service Act, as



amended, eligible applicants include States, transplant centers, qualified organ procurement organizations under section 371, or other public or private entities. Clinical Interventions to Increase Organ Procurement Grant Program (CIOP): As specified in Section 377A (b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program: As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). State Donor Registry Support Program: As specified in Section 377A(c) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to States for activities pertaining to the State donor registry. If the applicant is working with a consortium, any consortium members that are OPTN members are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). Public Education Efforts to Increase Solid Organ Donation: As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members involved in the project are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: As specified under section 377B of the Public Health Service Act, the Secretary may award grants to qualified organ procurement organizations and hospitals under section 371 to establish programs coordinating organ donation activities of eligible hospitals and qualified organ procurement organizations under section 371. For purposes of this section, eligible hospital means a hospital that performs significant trauma care, or a hospital or consortium of hospitals that serves a population base of not fewer than 200,000 individuals.

**Beneficiary Eligibility:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Primary beneficiaries are low/moderate income living organ donors and recipients. All other Programs: Beneficiaries are all organ transplant recipients.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Healthcare Systems. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Applications are reviewed by a committee of representatives with diverse expertise including organ transplantation. Applications are reviewed for merit. Final decisions are made by the Associate Administrator for the Bureau of Healthcare Systems. Clinical Interventions to Increase Organ Procurement Grant Program: Applications are reviewed by a committee of representatives knowledgeable about organ donation and transplantation. Applications are reviewed for merit. Final decisions are made by the Associate Administrator for the Bureau of Healthcare Systems. Social and Behavioral Interventions to Increase Organ Donation Grant Program: Applications are reviewed and scored for merit by a committee of representatives knowledgeable about strategies to increase organ donation and evaluation research methodology. Final decisions are made by the Associate Administrator for the Bureau Healthcare Systems. State Donor Registry Support Program: Applications are reviewed and scored for merit by a committee of individuals with expertise and experience in statewide organ donor registries and evaluation processes. Final decisions are made by the

Associate Administrator for the Bureau of Healthcare Systems. Public Education Efforts to Increase Solid Organ Donation Grant Program: Applications are reviewed and scored for merit by a committee of individuals with expertise in organ donor awareness strategies and applied evaluation methodologies. Applications are reviewed and scored for merit. Final decisions are made by the Associate Administrator for the Bureau of Healthcare Systems. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: Applications are reviewed and scored for merit by a committee of representatives knowledgeable about strategies to increase organ donation. Final decisions are made by the Associate Administrator for the Bureau of Healthcare Systems.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None of the grant programs has a statutory formula. The Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations Program has a matching requirement of not less than 30% of the amount of the grant awarded.

**Length and Time Phasing of Assistance:**

The Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Cooperative Agreement is awarded for a 12-month budget period over a four-year period. Both Clinical Interventions Research grants and Social and Behavioral Research grants are awarded for a 12-month budget period over a three-year period. State Donor Registry Support Program grants are awarded for a 12-month budget period over a one-year period. Public Education Efforts to Increase Solid Organ Donation are awarded for a 12-month budget period over a two year period. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations are awarded for a 12-month budget period over a two-year period.

**Reports:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Two progress reports are required in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. Clinical Interventions to Increase Organ Procurement Grant Program: Quarterly progress reports are required for all awardees in addition annual financial reports. Final progress reports and final financial status reports are due 90 days from the end of the project period. Social and Behavioral Interventions to Increase Organ Donation Grant Program: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. State Donor Registry Support Program: One progress report is required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. Public Education Efforts to Increase Solid Organ Donation: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

122 Obligations: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: FY 07 \$500,000; FY 08 \$0; FY 09 est \$2,000,000 Clinical Interventions to Increase Organ Procurement Grant Program: FY 07 \$757,445; FY 08 est \$1,952,844; and FY 09 est \$2,841,654. Social and Behavioral Interventions to Increase Organ Donation Grant Program: FY 07 \$3,690,372; FY 08 est \$3,809,461; and FY 09 est \$3,695,645. State Donor

Registry Support Program: FY 07 \$467,510; FY 08 est \$600,000; and FY 09 est \$500,000. Public Education Efforts to Increase Organ Donation: FY 07 est \$1,300,698; FY 08 \$1,945,090; and FY 09 est \$1,662,830. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: FY 07 \$161,180.

**Range and Average of Financial Assistance:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: \$2,000,000 Clinical Interventions to Increase Organ Procurement Grant Program: \$286,974 to \$626,740; \$379,329. Social and Behavioral Interventions to Increase Organ Donation Grant Program: \$65,000 to \$585,761; \$226,789. State Donor Registry Support Program: \$97,872 to \$175,725; \$145,352 Public Education Efforts to Increase Organ Donation: \$206,362 to \$413,360; \$328,294.75. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: \$45,000 to \$63,382; \$79,453.

**PROGRAM ACCOMPLISHMENTS:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: In FY 06, a cooperative agreement was awarded to the Regents of the University of Michigan to establish and operate the program through September 30, 2010. The Regents of the University in collaboration with the American Society of Transplant Surgeons established the National Living Donor Assistance Center to operate the Program. The Program Eligibility Guidelines were approved and published in the Federal Register in October 5, 2007. The Program Website, [www.livingdonorassistance.org](http://www.livingdonorassistance.org) was launched in October 17, 2007. As of April 30, 2008, approximately 100 prospective living donors have applied for assistance from NLDAC. Clinical Interventions to Increase Organ Procurement Grant Program: There were no new grants funded in FY 2006 (CIOP). CIOP final reports were submitted in 2007. A grant related manuscript is to be soon published by the New England Journal of Medicine. In FY 2007 the CIOP was released with a new focus on uncontrolled donation after cardiac death (UDCD), and two grants were awarded. For FY 2008 there are 12 applications involving DCD and DND that are to be submitted to the grant review process. Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program: In FY 05, 13 noncompeting and 5 competing awards were made; in FY 2006, 12 non-competing and 6 competing awards were made. In FY 2007, 10 non-competing awards and 5 competing awards were made. Thirteen applications were submitted for competitive review in FY 2008. State Donor Registry Support Program: In FY 2006, one competing award was made; in FY 2007, 4 awards were made. Five applications were submitted for competitive review in FY 2008. Public Education Efforts to Increase Solid Organ Donation: In FY 2007, 4 awards were made. Eight applications were submitted in FY 2008 with two awards made. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: In FY 2006, there were 4 non-competing and 3 competing awards were made. In FY 2007, 3 non-competing awards and no new awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Mesmin Germain, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: (301) 443-0053. Clinical Interventions to Increase Organ Procurement Grant Program: Bernard Kozlovsky, MD, MS, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: (301) 443-0565. Social and Behavioral Interventions to Increase Organ Donation Grant Program and Public Education Efforts to Increase Solid Organ Donation: Madeleine Hess, PhD, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: (301) 443-6866. State Donor Registry Support Program: Venus Walker, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: (301) 443-7578. Public Education Efforts to Increase Solid Organ Donation: Madeleine Hess, PhD, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: (301) 443-6866. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations: Madeleine Hess, PhD, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: (301) 443-6866.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16.

Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The funded project will establish and operate a National system to provide reimbursement of travel and subsistence expenses to individuals making living donations of their organs. Clinical Interventions to Increase Organ Procurement Grant Program: Funded projects include such interventions such as pulsatile perfusion of kidneys, pulsatile perfusion in the expanded kidney donor, chest wall oscillation to improve quantity and quality of brain dead heart beating donor lungs and validation of identification criteria for DCD donors. FY 2007 awards will be focused on uncontrolled donation after cardiac death (UDCD). Social and Behavioral Interventions to Increase Organ Donation Grant Program: Funded projects include social and behavioral interventions to promote awareness of the need for donors and commitment to organ donation through the workplace, in schools, and on Native American Indian reservations, and projects to increase the number of dialysis patients who are aware of their option to identify a living donor. State Donor Registry Support Program: The funded project will develop and launch a statewide registry in Kentucky in which residents can indicate their intent to be organ, tissue, and eye donors. Grants to Establish Programs Coordinating Organ Donation activities of Hospitals and Organ Procurement Organizations: The funded projects provide for the availability of trauma and acute hospital's to support in-house organ donation program coordinators to increase or maintain an organ donation conversion rate of 75 percent through improved identification and referral of potential donors, improved effective requesting, especially to improve minority conversion rates and to implement donation following cardiac death, resulting in increased numbers of transplantable organs from single donors. These project goals are consistent with the IHI Donation Breakthrough Collaborative and awardees will provide both quantitative and qualitative data at the end of the project period.

**CRITERIA FOR SELECTING PROPOSALS:**

Please refer to the Program Guidance.

**93.135 CENTERS FOR RESEARCH AND DEMONSTRATION FOR HEALTH PROMOTION AND DISEASE PREVENTION**

(Prevention Research Centers)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 1706, 42 U.S.C. 300u-5, as amended; Section 2(d), Public Law 98-551.

**OBJECTIVES:**

To: (1) To establish, maintain, and operate academic-based centers for high-quality research and demonstration with respect to health promotion and disease prevention; (2) to establish linkages, where applicable, between ongoing, basic research in a wide array of fields and applied research in disease prevention and health promotion; (3) to bring the knowledge and expertise of academic health centers to bear on practical public health problems; (4) to field test and rigorously evaluate more cost-effective methods and strategies for preventing unnecessary illness and promoting good health; and (5) to shorten the time lag between the development of new and proven effective disease prevention and health promotion techniques and their widespread application. 6) to involve the community in the development, conduct, and implementation of prevention research.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstration projects pertaining to health promotion and disease prevention plus certain indirect costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into consortia agreements or contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

Eligible applicants are accredited schools of medicine, schools of osteopathy, and schools of public health as defined in Section 701 (4) of Public Health Service Act.

**Beneficiary Eligibility:**

Academic health centers, scientist/researchers, operational public health programs, targeted high risk groups, selected demonstration areas, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with HHS Regulations, 45 CFR 74, Subpart Q for nonprofit organizations.

**Preapplication Coordination:**

Preapplication coordination is not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 9/2004, Interim revised 4/2006). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Approved grants are funded based on priority score ranking from a scientific review, as well as availability of funds, secondary review and such other significant factors deemed necessary and appropriate by the agency. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 5152-1) indicates support recommended for remainder of project period, allocations of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From six to nine months.

**Appeals:**

None.

**Renewals:**

Applications for renewal will be reviewed in the same manner as new applications and will compete for available funds with other applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

From one to five years (renewable, based on competitive applications and availability of funds).

**Reports:**

Financial status reports (annual); interim progress (annually); terminal progress report (three months after end of project); and reprints and copies of resulting publications.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, including documents to support entries on accounting records and substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) FY 07 \$24,287,000; FY 08 est \$24,200,000; and FY 09 est \$24,200,000.

**Range and Average of Financial Assistance:**

\$720,000 to \$770,000; \$730,000.

**PROGRAM ACCOMPLISHMENTS:**

A total of 33 centers were funded in fiscal year 2004. It is estimated that in fiscal year 2008 awards will be made to the same 33 centers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; and basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Eduardo Simoes, M.D., Director, Prevention Research Center Program, Division of Adult and Community Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Department of Health and Human Services, 4770 Buford Highway, NE., K-45, Atlanta, GA 30341-3724. Telephone: (770) 488-5395. Grants Management Contact: Hector Buitrago, Lead Grants Management Specialist, Team 2, Branch 3, Procurement and Grants Office, Centers for Disease Control

and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 3000, Mailstop E-09, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Web Site Address:**

<http://www.cdc.gov/prc>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Each Center dedicates core resources to support a particular research project with a particular emphasis on addressing health disparities. For example, the causes of excess mortality in Harlem, promoting healthy lifestyles in American Indians and focusing on the health of older adults. Many of the research projects are also in specific areas of importance addressing the Healthy People 2010 Objectives. The Prevention Research Centers focus on solutions for underserved communities and promote disease prevention and health promotion strategies among the following population groups: children and youth, older adults and disabled persons; African Americans, Asians, Hispanics, American Indians, and rural populations.

**CRITERIA FOR SELECTING PROPOSALS:**

Prevention Research Center applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.136 INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY BASED PROGRAMS****FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Laws 99-500 and 99-501; Department of Health and Human Services Appropriation Act of 1987, Section 601; Economy Act, Public Law 99-190, as amended, 31 U.S.C. 1533 and 1536; Public Health Service Act, Sections 301 and 394, as amended, 42 U.S.C. 241.

**OBJECTIVES:**

RESEARCH GRANTS: (1) To support injury control research on priority issues; (2) to integrate aspects of engineering, public health, behavioral sciences, medicine, engineering, health policy, economics and other disciplines in order to prevent and control injuries more effectively; (3) to rigorously apply and evaluate current and new interventions, methods, and strategies that focus on the prevention and control of injuries; (4) to stimulate and support Injury Control Research Centers (ICRCs) in academic institutions which will develop a comprehensive and integrated approach to injury control research and training; and (5) to bring the knowledge and expertise of ICRCs to bear on the development of effective public health programs for injury control. STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: (1) To develop and evaluate new methods or to evaluate existing methods and techniques used in injury surveillance by public health agencies; and (2) to develop, expand, or improve injury control programs to reduce morbidity, mortality, severity, disability, and cost from injuries.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstrations surveillance or interventions/evaluations programs pertaining to injury prevention and control plus certain direct costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

For INJURY PREVENTION AND CONTROL RESEARCH PROGRAMS, AND INJURY CONTROL RESEARCH CENTERS: Eligible applicants may include any nonprofit or for-profit organization; for STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) and political subdivisions of States (in consultation with States), Federally recognized or state-recognized American Indian/Alaska Native



tribal governments, American Indian/Alaska native tribally designated organizations, Alaska Native health corporations, Urban Indian health organizations, Tribal epidemiology centers; for COMMUNITY-BASED PROGRAMS: public, private, nonprofit and for-profit organizations may be eligible.

**Beneficiary Eligibility:**

FOR RESEARCH GRANTS: Academic health centers, scientist/researchers, operational public health programs, State and local governments, and public and private organizations involved in injury research. FOR STATE AND COMMUNITY-BASED GRANTS AND COOPERATIVE AGREEMENTS: State and local health departments, and community-based organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For all other nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31.

**Preapplication Coordination:**

Preapplication coordination is desired for research grants but not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. Funding Opportunity Announcements for this program are posted on www.Grants.gov, the official federal agency wide e-grant Web site. Application forms and instructions specific to each announcement are posted at that site. Electronic Submission: CDC strongly encourages the applicant to submit applications electronically by utilizing the forms and instructions posted on www.Grants.gov. Registering your organization through www.Grants.gov is the first step in submitting applications online. Registration information is located in the "Get Started" screen of www.Grants.gov and the one-time registration process will take three to five days to complete. While application submission through www.Grants.gov may be optional for various announcements, we strongly encourage you to use this online tool. Please visit www.Grants.gov at least 30 days prior to filing your application to familiarize yourself with the registration and submission processes. We suggest submitting electronic applications prior to the closing date so if difficulties are encountered, you can resolve them prior to the deadline. For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: GrantsInfo@nih.gov. For the hearing impaired: TTY (770) 488-2783. If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: (770) 488-2700. DUNS Number: Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System number as the universal identifier when applying for Federal grants or cooperative agreements. The D&B number can be obtained by calling (866) 705-5711 or through the web site at <http://www.dnb.com/us/>.

**Award Procedure:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the National Center for Injury Prevention and Control and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. FOR RESEARCH GRANTS: Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by NCIPC in accordance with the review criteria stated below. All applications will: undergo a selection process in which only those applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed and assigned a priority score; receive a written critique; receive a second level of review by the Science and Program Review Subcommittee (SPRS) of the Secretary's Advisory Committee for Injury Prevention and Control (ACIPC). FOR NON-RESEARCH GRANTS/COOPERATIVE AGREEMENTS: Applicants are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the grant or cooperative agreement. Measures of effectiveness must relate to the performance goals stated in the "Purpose" section of the announcement. Measures must be objective and quantitative and must measure the intended outcome. The measures of effectiveness must be submitted with the application and will be an element of evaluation. An objective review panel will evaluate complete and responsive applications according to the criteria listed. The objective review process will follow the policy requirements as stated in the GPD 2.04, <http://198.102.218.46/doc/gpd204.doc>.

**Deadlines:**

For Injury Control Research Centers and Injury Prevention Research Program

Project Grants, and for other programs, see Funding Opportunity Announcements at [www.grants.gov](http://www.grants.gov), at [www.cdc.gov](http://www.cdc.gov), or contact the program Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Renewals are made by competitive applications and reviews.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

From one to five years (noncompeting renewals based on availability of funds).

**Reports:**

Financial status reports (annual); interim progress report (annual); final performance report and equipment inventory (three months after end of project); invention statement (annual) and reprints and copies of resulting publications. For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State and Community-Based Injury Control Programs, semi-annual progress reports are also required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants): FY 07 \$101,846,306; FY 08 est \$102,000,000; FY 09 est \$102,000,000.

**Range and Average of Financial Assistance:**

Injury Control Research Centers: \$905,500. Injury Control Research Projects: \$200,000 to \$300,000; \$250,000. State and Community Based Injury Control Programs: \$40,000 to \$300,000; \$170,000. Youth Violence Prevention Programs: \$150,000 to \$425,000; \$275,000. Violence Against Women Community-Based Demonstration Programs: \$85,000 to \$800,000; \$600,000. Applied Research for Traumatic Brain Injury: \$100,000 to \$150,000; \$125,000. Surveillance and Traumatic Brain Injury Follow-up Registry: \$16,000 to \$500,000; \$258,000. Other Unintentional Injuries: \$50,000 to \$1,050,000; \$550,000.

**PROGRAM ACCOMPLISHMENTS:**

Injury Prevention and Control Programs - In fiscal year 2007, CDC continued to provide technical assistance and grant funds to 11 ICRCs, one Research Program Project Grant (RPPG) and 38 individual investigators (RO-1) to conduct applied research in injury prevention and control. In fiscal years 2008 and 2009, CDC will again provide technical assistance and grant funds to numerous Injury Control Research Centers (ICRCs) and RO-1 Grantees. All Injury Prevention and Control Research Projects are investigator-initiated. State and Community-Based Grant Programs - In fiscal year 2007, CDC continued to fund such projects as: a training and demonstration project; youth violence; applied research for traumatic brain injury, and a surveillance and traumatic brain injury follow-up registry; a national violence data reporting system; violence against women; playground safety; prevention of violence against women electronic networking program; trauma care system development; development and enhancement of emergency departments injury surveillance programs, basic injury program development; residential fire-related injuries and poison control centers. Fiscal years 2008 and 2009 awards are expected to support the same injury-related areas as in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

RO-1 Adele Childress, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F62), 4770 Buford Hwy, NE Atlanta, Georgia 30341-3724 [ahc0@cdc.gov](mailto:ahc0@cdc.gov). Telephone: (770) 488-4233 FAX: (770) 488-1670. Injury Control Research Centers Paul Smutz, Program Manager, National Center for Injury Prevention and Control, Centers

for Disease Control and Prevention (F62), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 pos1@cdc.gov. Telephone: (770) 488-1508 FAX: (770) 488-1670. Community- Based Grant Programs Robin Forbes, Public Health Advisor, Extramural Resource Team, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 rjf0@cdc.gov. Telephone: (770) 488-1324 Fax: (770) 488-1662.

**Headquarters Office:**

Program contact. Headquarters Office: Program contacts: Injury Prevention and Control Research Projects - Adele Childress. Telephone: (770) 488-4233 for individual research grants; Injury Control Research Centers - Paul Smutz. Telephone: (770) 488-1508; State and Community-Based Grant Programs contact is Robin Forbes. Telephone: (770) 488-1324. The mailing address is National Center for Injury Prevention and Control, Centers for Disease Control and Prevention, Department of Health and Human Services, Atlanta, GA 30341-3724. The Grants Management Office contact is Mildred Garner. Telephone: (770) 488-2745, Grants Management Officer, Grants Management Branch IV, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Suite 3000, Atlanta, GA 30341.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Injury Control Research Centers (ICRC) have undertaken a broad range of work. For example, the Johns Hopkins University ICRC has sponsored Summer Training Institutes for injury control researchers and practitioners. Harvard has been a key planning, training, and program resource for injury control programs in the New England States. Work at the University of North Carolina ICRC has led to the creation of an injury control unit in the North Carolina State Health Department. Harborview ICRC serves as a State and regional resource in trauma and burn care and is a leader of efforts to reduce pedestrian injuries and injuries associated with motorcycles and bicycles. (2) Funded Injury Prevention and Control Projects address priority research concerns encompassing acute care, biomechanics, prevention, epidemiology, and rehabilitation. As examples, researchers are investigating the mechanism of traumatic brain injury due to impact, other investigators are defining risk factors for intimate partner violence and another group is evaluating the effectiveness of trauma systems. (3) Surveillance programs address E- coded hospital discharge data; model surveillance systems to address nonfatal injuries resulting from intentional and unintentional injuries.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention being given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as richness, breadth, and scientific merit of the overall application relative to the types of research, demonstrations, and special projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed activities; (3) feasibility and likelihood of producing meaningful results based on the significance of the proposed activities and relevant evaluation procedures; (4) overall match between the proposed programs and the nation's health priorities and needs; and (5) reasonableness of the proposed budget in relation to the work proposed.

**93.137 COMMUNITY PROGRAMS TO IMPROVE MINORITY HEALTH GRANT PROGRAM**

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707(e)(1), 42 U.S.C. 300u et seq.

**OBJECTIVES:**

To support minority community health coalitions to develop, implement, and conduct demonstration projects which coordinate integrated community-based screening and outreach services, and include linkages for access and treatment to minorities in high-risk, low-income communities; and to support minority community health coalitions involving non-traditional partners in carrying out projects to increase the educational understanding of HIV/AIDS, increase testing, and improve access to HIV/AIDS prevention and treatment serious.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used to conduct collaborative efforts to modify the behavioral and/or environmental conditions which are implicated in the health problems of minority groups: for example, cancer; cardiovascular disease and stroke; chemical dependency; diabetes; homicide, suicide, and unintentional injuries;

infant mortality; human immunodeficiency virus (HIV) infection and acquired immunodeficiency syndrome (AIDS). These projects are to address socio-cultural and linguistic barriers to care and should have the potential for replication in similar communities. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or to supplant ongoing project activities.

**Applicant Eligibility:**

Eligible applicants are private nonprofit community-based minority serving organizations which will serve as the grantee organization for the coalition. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Members of minority groups: American Indians or Alaska Natives; Asians; Blacks or African Americans; Hispanics or Latinos; Native Hawaiians or other Pacific Islanders; or subgroups of these populations.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission.

**Preapplication Coordination:**

This program does not require preapplication coordination. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in the State for more information on the process the State requires to be filed with applying for assistance, if the State has selected the program for review. This program is also covered by the Public Health System reporting requirements.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grant projects can have a 3-year project period with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the notice of grant award is issued.

**Reports:**

Grantees must submit progress reports with final performance report due 90 days after the end of the project period. Financial Status Reports are due 90 days after the end of budget period with final financial status report due 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nonprofit recipients, audits are to be carried out in accordance with the provision of OMB Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 \$6,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$181,266 to \$270,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Cynthia H. Amis, Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-8444. Grants Management Contact: Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.omhrc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following are examples of activities funded under this program; 1) Developing a program to prevent the incidence, increase the diagnosis and improve the management of childhood asthma through educational sessions, screenings, events, case management and ongoing support; 2) conducting vision assessment, eye health education and referral to eye doctors, disseminating health education materials in 7 languages, and providing diabetes screening, counseling and referral; and 3) developing outreach and education activities, complemented by efforts of faith-based organizations, to address HIV in the African American community.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's goals and objectives with the Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications, experience and cultural competence of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.138 PROTECTION AND ADVOCACY FOR INDIVIDUALS WITH MENTAL ILLNESS**

(Protection and Advocacy for Individuals with Mental Illness (PAIMI).)

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Protection and Advocacy for Individuals with Mental Illness Act of 1986, 42 U.S.C. 10801, et seq., as amended; Public Health Services Act, Title V, 42 U.S.C. 290aa, et seq; Developmental Disabilities Assistance and Bill of Rights Act, as amended, October 30, 2000, 42 U.S.C. 6041 et seq.

**OBJECTIVES:**

To enable the expansion of the Protection and Advocacy system established in each State to: (1) Protect and advocate the rights of individuals with mental illness; (2) investigate incidents of abuse and neglect of individuals with mental illness if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred; (3) investigate incidents of serious injury and

deaths in public and private care and treatment facilities and non-medical community-based facilities for children and youth; and (4) to receive reports of all serious injuries and deaths related to incidents of seclusion and restraint in public and private care and treatment facilities in the States and Territories.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to assist in meeting the costs of planning, developing, expanding, and implementing activities to support attainment of the protection and advocacy goals. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established. Not more than 10 percent of an allotment can be used for providing technical assistance and training for staff, and a system which is a public entity cannot be required by the State to obligate more than 5 percent of the allotment for administrative expenses.

**Applicant Eligibility:**

State and local government agencies, public or private organizations designated by the Governor under Part C of the Developmental Disabilities Assistance and Bill of Rights Acts as systems to protect and advocate the rights of persons with developmental disabilities in that State.

**Beneficiary Eligibility:**

Individuals with significant mental illness or severe emotional impairment (children) who are at risk for abuse, neglect, or civil rights violations while residing in care or treatment facilities have service priority. Persons with significant mental illness and severe emotional impairment living in the community, including their own home, may be served as determined by their state protection and advocacy systems PAIMI program funded priorities and objectives and available resources. Includes persons who are in the process of being admitted to a facility rendering care or treatment, persons being transported to such a facility, or persons who are involuntarily confined in a municipal detention facility, jails, or prisons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An annual application is required in accordance with 42CFR Part 51.

**Award Procedure:**

Grants are directly awarded by the Center for Mental Health Services to the system established in the State to protect and advocate the rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000", as amended October 30, 2000 by Public Law 106-420 (45 USC 6041 et seq.).

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Formula provisions are stated in the authorizing Act, Public Law 106-420, at Section 112. Allotments are based equally on each State's population and each State's population weighted by relative per capita income except that no State's allotment (including the District of Columbia and the Commonwealth of Puerto Rico) will be less than \$260,000 and no U.S. Territory's allotment will be less than \$139,300.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System.

**Reports:**

By January 1, an annual report must be submitted in accordance with the requirements stated in the authorizing Act (Public Law 106-420) at Section 105(a) (7) and Section 114. Financial status reports are required annually within 90 days after grant period until all funds are liquidated.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

Records must be retained for at least 3 years after the date of submission of



required financial status reports.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 33,320,000; FY 08 \$33,320,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$215,800 to \$2,999,964; \$584,561.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HHS Grants Policy Statement, 45 CFR 1386 Subpart B (DD regulations) and 42 CFR 51 (PAIMI regulations), Notice of Proposed Rulemaking FR 59739: 64367ff, Dec. 14, 1994, 45 CFR 92 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 45 CFR 74 Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Ms. Karen S. Armstrong, Program Officer, Protection and Advocacy Program, Division of State and Community Systems Development, Center for Mental Health Services, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1741. Grants Management Contact: LouEllen M. Rice, Grants Management Officer, Division of Grants Management, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, Room 7-1091, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1404. Use the same numbers for FTS.

**Web Site Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

### 93.140 INTRAMURAL RESEARCH TRAINING AWARD

(IRTA)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

42 U.S.C. 282(b)(13); 42 U.S.C. 284(b)(1)(C); 42 U.S.C 287c-21(a); 42 U.S.C. 286b-3; 42 U.S.C. 287c-21; 42 U.S.C. Part 63; Health Professionals Education Partnerships Act, Title IV-Miscellaneous Provisions, Section 409.

**OBJECTIVES:**

The National Institutes of Health (NIH) IRTA Traineeships are established for the principal benefit of the participants and to provide opportunities for developmental training and practical research experience in a variety of disciplines related to biomedical research, medical library research and related fields. The IRTA components are: 1) Postdoctoral IRTA - is designed to provide advance practical research experience to physicians and other doctoral researchers who are at the beginning stages of their professional research careers; 2) Predoctoral IRTA - is designed to provide practical research training and experience to students, by supplementing academic course work and/or encouraging pursuit of professional careers in biomedical research to: a) students enrolled in doctoral degree programs in biomedical sciences; b) students who have been accepted into graduate, doctoral, or medical degree programs and wish an opportunity to delay or interrupt their education for an interim research experience before entering school; 3) post baccalaureate IRTA - is designed to provide recent college graduates, particularly minorities, women, and persons with disabilities, an opportunity to postpone application to graduate or medical school and to provide a means to introduce individuals early in their careers to the research field, encourage their pursuit of professional careers in biomedical research, and allow additional time to pursue successful application to either graduate or medical school programs; 4) technical IRTA - is designed to produce a cadre of highly trained research support professionals capable of performing the latest advanced techniques in a laboratory by developing the trainees' skills in the conduct of basic and applied research; and 5) student IRTA - is designed to provide a developmental training experience to promising high school and undergraduate and graduate students who have expressed a strong interest in or are studying disciplines related to biomedical sciences.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Participants in the IRTA Program will be provided access to NIH facilities and equipment and assistance in their training from senior NIH researchers. Trainees may not engage in primary patient care activities, be assigned official supervisory responsibilities, or sign documents on behalf of the Government. Funding support will come from the individual National Research Institutes, Centers and Divisions (ICD) that comprise the National Institutes of Health. All funding is discretionary and subject to the availability of appropriations and apportionment. The IRTA Program does not include financial loans.

**Applicant Eligibility:**

Candidates for IRTA Program must be U.S. Citizens or Permanent Resident Aliens: 1) Postdoctoral IRTA participants must possess a Ph.D., M.D., D.D.S., D.M.D., D.V.M. or equivalent degree in biomedical, behavioral or related sciences; or certification by a university as meeting all the requirements leading to such a doctorate; and 5 or fewer years of relevant postdoctoral experience and up to 2 additional years of experience not oriented toward research (i.e., clinical training for physicians); 2) predoctoral IRTA participants must be: a) students enrolled in Ph.D., M.D., D.D.S., D.M.D., D.V.M., or equivalent degree programs at fully accredited U.S. universities, which frequently involves dissertation research. The research experience is undertaken as an integral part of the student's ongoing academic preparation and is credited toward completion of degree requirements; or b) students who have been accepted into graduate, doctoral, or medical degree programs and who have written permission from their school either to delay entrance for up to 1 year, or to interrupt their current schooling and to return within 1 year to their degree granting programs; 3) post baccalaureate IRTA participants are individuals who have graduated from a fully accredited college or U.S. university no more than 2 years prior to the activation date of traineeship, and intend to apply to graduate or medical school in biomedical research within the next year or students who have been accepted into graduate, other doctoral or medical degree programs and who have written permission of their school to delay entrance for up to 1 year; 4) technical IRTA participants are individuals who have graduated from a fully accredited U.S. college or university with a bachelor's or master's degree in any discipline; and 5) student IRTA participants are at least 16 years of age and are enrolled at least half-time in high school or have been accepted for or are enrolled as an undergraduate or graduate in an accredited U.S. college or university and are in good academic standing.

**Beneficiary Eligibility:**

The IRTA Program benefits the participants by combining an opportunity for study with practical work experience and valuable research training experience at the NIH.

**Credentials/Documentation:**

These standards are contained in the Applicant Eligibility section.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicant may send the application documentation to a specific IC, or send application documentation to the NIH Office of Education: 1) Postdoctoral IRTA applicants must submit CV, bibliography, 3 letters of reference, statement of research goals, official copy of transcript, and must provide an official copy of doctoral degree and brief summary of doctoral dissertation; 2) predoctoral IRTA applicants must submit CV, bibliography, 3 letters of reference emphasizing research potential, statement of research goals, an official copy of undergraduate, graduate, and/or medical school transcript, and verification from the university that the applicants is in good academic standing, is enrolled in a doctoral degree program, and that the school is agreeable to the student's participation. In addition, (if applicable), must have written permission from their institutions to interrupt their educational program including a written agreement allowing students to return to their degree program within 1 year; 3) post baccalaureate IRTA applicants must submit CV, bibliography, 3 letters of reference emphasizing potential, statement of research goals, and official copy of undergraduate school transcript; 4) technical IRTA applicants must submit a resume or CV, 2 letters of reference, statement of career goals, and official copy of undergraduate transcript; and 5) student IRTA applicants must submit a resume or CV, 2 letters of reference, official copy of school transcript, letter from school verifying academic standing, information on honors and achievements, and statement of interest in biomedical research.

**Award Procedure:**

Awards are made by the interested Institutes or Centers based on the information provided by the applicant, the availability of NIH researchers to provide training, and the availability of financial and other resources to support the research training.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Generally, an applicant is advised that an award has or has not been provided within 90 days from submitting an application.

**Appeals:**

None.

**Renewals:**

1) Postdoctoral IRTA component: Initial traineeship are for 1 or 2 years with a

maximum traineeship of 5 calendar years. 2) Predoctoral IRTA component: Initial traineeship are for 1 month to 2 years with a maximum traineeship of 5 calendar years. 3) Post baccalaureate IRTA component: Initial traineeship is for 1 year with a maximum traineeship of 2 calendar years. 4) Technical IRTA component: Initial traineeship are for 2 years with a maximum traineeship of 3 calendar years. 5) Student IRTA component: Initial traineeship is for 1 month to 1 year. The maximum traineeship period is unlimited as long as the student meets eligibility criteria.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Monthly stipend payments are made directly to awardees.

**Reports:**

None.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Grants) FY 07 est \$49,428,456; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

NIH wide Except for North Carolina (NIEHS), Montana (RML-NIAID), and Arizona (Phoenix, NIDDK) Postdoctoral: \$37,100 to \$67,000; Postdoctoral for North Carolina (NIEHS), Montana (RML-NIAID), and Arizona (Phoenix, NIDDK) \$33,800- \$67,000; NIH wide with Discretionary for North Carolina (NIEHS), Montana (RML-NIAID), and Arizona (Phoenix, NIDDK) Predoctoral \$23,100 to \$29,600, Post baccalaureate: \$22,200 to \$24,800, Technical \$22,200 to \$30,900, Student \$1,500 to \$2,900; If discretionary stipend levels are not used, stipends are as follows: North Carolina (NIEHS), Montana (RML- NIAID), and Arizona (Phoenix, NIDDK) Predoctoral \$20,900 to \$27,100, Post baccalaureate \$20,200 to \$22,700, Technical \$22,200 to \$28,100, Student \$1,200 to \$2,700.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 63.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Executive Director for Intramural Research, National Institutes of Health, Department of Health and Human Services, Shannon Building, Room 140, Bethesda, MD 20892. Telephone: (301) 496-4920.

**Web Site Address:**

<http://www.nih.gov> .

**RELATED PROGRAMS:**

93.225, National Research Service Awards\_Health Services Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

No examples are available.

**CRITERIA FOR SELECTING PROPOSALS:**

Awardees are not selected on the basis of the cost of the proposed training, but rather on the applicant's qualification, research goals, and relevance to the goals of the institute extending the award.

## 93.142 NIEHS HAZARDOUS WASTE WORKER HEALTH AND SAFETY TRAINING

(Superfund Worker Training Program)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, as amended, Title I, Section 126, Public Law 99-499; Public Health Service Act, Section 405(b)(1)(C), as amended, Public Law 99-158.

**OBJECTIVES:**

To provide cooperative agreements and project grant support for the development and administration of model worker health and safety training programs consisting of classroom and practical health and safety training of workers and their supervisors, who are engaged in activities related to hazardous materials, hazardous waste generation, treatment, storage, disposal, removal, containment, transportation, or emergency response. To assist organizations in the development of institutional competency to provide appropriate training and education to hazardous waste workers.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative agreements and project grants are intended to support the direct costs of a project, in accordance with an approved budget, plus indirect costs at a pre-established rate. Both the award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Sciences (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

A public or private nonprofit entity, including tribal governments, that provide worker health and safety education and training, may submit an application and receive a cooperative agreement or project grant for support of waste worker education and training by a named principal investigator. Recipients/grantees may use services, as appropriate, of other public or private organizations necessary to develop, administer, or evaluate proposed worker training programs, as long as the requirement for awards to nonprofit organizations is not violated. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants.

**Beneficiary Eligibility:**

Any public or private entity providing worker safety and health education and training will benefit from this program.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for universities, and A-122 for private nonprofit other than universities. For other recipient/grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and instructions for their submission are available from the Office of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714; e-mail: [ASKNIH@odrockml.od.nih.gov](mailto:ASKNIH@odrockml.od.nih.gov) and the National Institute of Environmental Health Sciences (MD 3-01), P.O. Box 12233, 104 Alexander Drive, Research Triangle Park, NC 27709. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants that are State and local units of government. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

As required in HHS Regulations, 42 CFR Part 65, applications will be reviewed administratively by NIEHS staff for completeness and responsiveness to the program announcement. Applications then will be reviewed on a competitive basis for technical merit by an ad hoc review committee composed primarily of non-government members with expertise in occupational safety and health training and hazardous waste operations convened by the NIEHS. A second level of review will be conducted by the National Advisory Environmental Health Sciences Council. This second level of review will be for program relevance. The final approval of these recommendations and decisions concerning funding is made by the Director, National Institute of Environmental Health Sciences (NIEHS) or, if in conflict, by appropriate NIH staff. Formal award notices are sent to successful applicants.

**Deadlines:**

Contact Headquarters Office for deadline information.

**Range of Approval/Disapproval Time:**

From 8 to 9 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal awards are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Full program cooperative agreements may be awarded for up to 5 years, generally in 12-month budget periods. Funds are released primarily on the basis of an Electronic Transfer System. The Request for Application announcement is expected to be release in the summer of 2009.

**Reports:**

A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial and program records must be retained for 3 years from the day on which the awardee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

Grants: FY 07 \$26,906,032; FY 08 \$26,288,517; and FY 09 est \$26,264,096.

**Range and Average of Financial Assistance:**

\$28,248 to \$3,187,367; \$1,076,241.

**PROGRAM ACCOMPLISHMENTS:**

NIEHS WETP (Worker Education and Training Program) has continued to support training to protect the men and women who handle hazardous waste and materials and who respond to emergencies involving these materials: 131,000 workers received training in nearly 8000 classes - a significant increase from the previous year resulting from the recruitment efforts of the awardees and an increase in demand for initial and refresher Superfund site worker training. The NIEHS WETP continued to provide training in all 50 states, Puerto Rico, and the Pacific territories. Indeed, during a TOPOFF national preparedness exercise, an NIEHS WETP training team was activated to assist in Guam in the clean-up after a dirty bomb explosion. A new five year Request for Applications (RFA) is expected for re-competition of the program in July 2009. Throughout the WETP programs but particularly through the Brownfields and Minority Worker Training Programs, the NIEHS WETP reached out to serve those workers most in need - young working men and women, people of color, who live in polluted brownfields communities and are struggling to better their own lives and their own communities; Spanish-speaking men and women, native born and recent immigrants, who face unacceptably high rates of occupational injury, illness, and even death; and Native American people such as the Navaho railroad crews who, unknown to the general public, are key in preventing and responding to chemical railcar accidents. These are not handout programs; these are bootstrap programs where workers get safety and health training that empowers them, that they take back to their communities, and that, in the case of the inner city youth they train, produce proud taxpaying citizens - frontline environmental workers. WETP is a national program and as such recognizes its duty to serve during national emergencies. From the World Trade Center to Katrina to the California Wildfires, the WETP activates under the National Response Framework - helping to identify the hazardous wastes and materials released during these disasters while developing and delivering safety and health training keyed to these hazards. Many thousands of responders have benefitted from this training, and the WETP has received praise for its work from the U.S. Army Corp of Engineers, FEMA, and OSHA. In the twenty years since Congress created this program, over one and a half million workers have benefitted. During the upcoming year (2007-2008), WETP will build upon this record. In particular, WETP will further develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP will continue to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, devastating earthquake. And the WETP will continue to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury. In addition, the WETP has initiated a Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Program to create products that will support high quality health and safety training for hazardous waste workers and emergency responders utilizing on-line learning. In FY 2006, WETP issued four Phase I SBIR awards and 2 Phase II SBIR awards. Between four to six SBIR/STTR awards will be made in FY 2007 and FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement March 1, 2001. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS (MD EC-22), P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Headquarters Office: Program Contact: Mr. Joseph T. Hughes, Jr., Program Director, Worker Education and Training Program, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-0217, E-mail: Hughes3@niehs.nih.gov. Grants

Management Contact: Carolyn Mason, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-1373, E-mail: Mason6@niehs.nih.gov.

**Web Site Address:**

<http://www.niehs.nih.gov/careers/hazmat/index.cfm>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Programs provide health and safety training and education for occupational populations involved in waste handling and processing at active and inactive hazardous substance treatment, storage and disposal facilities; cleanup, removal, containment, or remedial action at waste sites; hazardous substance emergency response; chemical emergency response; Resource Conservation and Recovery Act corrective actions; hazardous substance disposal site risk assessment and investigation, remedial actions or clean-up by State and local personnel; urban communities surrounding brownfields sites; and transportation of hazardous wastes.

**CRITERIA FOR SELECTING PROPOSALS:**

The following factors considered for applications for full program cooperative agreements include: (1) Methods and techniques to be used for identifying, describing, and accessing target worker populations and anticipated impact of the proposed program; (2) evidence of the organization's performance and effectiveness in planning, implementing and operating appropriate worker health and safety training and education programs; (3) adequacy of the detailed program plan for curricula development, training of instructors, distribution of course materials, and direct student training; (4) technical and professional expertise of the proposed program director, present or proposed staff, and consultants; (5) methods proposed for evaluating appropriateness, quality, and effectiveness of training; (6) availability of appropriate facilities and equipment to support the described educational and training activities including hands-on instruction and demonstration; (7) evidence of the organization's past performance and effectiveness in planning, implementing, and operating training and education programs for workers; (8) the likelihood that the program will continue beyond the grant period; and (9) reasonableness of the proposed program activities.

**93.143 NIEHS SUPERFUND HAZARDOUS SUBSTANCES-BASIC RESEARCH AND EDUCATION**

(NIEHS Superfund Research Program)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Title I, Section III, and Title II, Section 209, Public Law 99- 499, as amended; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 311(a), Public Law 96-510; Public Health Service Act, Section 301, Public Law 78-410, as amended; Public Law 99-500.

**OBJECTIVES:**

To establish a unique program linking biomedical research with engineering, geoscience and ecological research. The goals of the program are to establish and support an innovative program of basic research and training consisting of multi-project, interdisciplinary efforts and individual investigator projects. Areas of research may include: (1) methods and technologies to detect hazardous substances in the environment; (2) advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans; (3) methods to assess the risks to human health presented by hazardous substances; and (4) and basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances. It is intended that advanced or graduate training be integrated into the multi-project research program to provide opportunities in biomedical and environmental health, environmental sciences, ecology, and geosciences. The Program encourages the integration of interdisciplinary training to ensure that its students are prepared to tackle the complex issues presented by hazardous waste sites.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Grants made under this program are for university-based programs, and the objective is to establish and maintain coordinated research efforts that link basic biomedical research with related engineering, hydrogeological and ecological studies. In addition, the Superfund Research Program supports small business research through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. The award and use of funds are subject to applicable provisions of basic statutory authorities,



appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Science (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

An accredited institution of higher education, as defined in the Higher Education Act, 20 U.S.C. (annotated) 3381, may submit an application and receive a grant for support of research by a named principal investigator. Subcontracts may be made with public and private organizations, including: generators of hazardous wastes; persons involved in the detection, assessment, evaluation, and treatment of hazardous substances; owners and operators of facilities at which hazardous substances are located; and State, local and Tribal governments. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants. Organizations applying for a grant under the SBIR/STTR programs must qualify as a U.S.-owned Small Business Concern (SBC).

**Beneficiary Eligibility:**

Any accredited institution of higher education engaged in biomedical research and/or engineering and ecological research. SBIR and STTR awards are restricted to small business that meet NIH's criteria for SBC. Tribal entities that meet these requirements are eligible to apply.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for universities, and A-122 for private nonprofit other than universities. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Letter of Intent Prospective applicants are asked to submit a letter of intent. Although it is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows IC staff to estimate the potential review workload and plan the review. It is due one month prior to the receipt of the applications. Applications for the Superfund Research Program are accepted in response to funding opportunity announcements (FOA) which are posted on National Institute of Environmental Health Sciences website ([www.niehs.nih.gov](http://www.niehs.nih.gov)) under the tab "funding opportunities". Applications submitted in response to a multi component FOA must use the PHS 398 (version dated 11/07) paper submission. Application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Applications submitted in response to an individual investigator FOA must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. SBIR/STTR grant applications are accepted in response to the NIH Omnibus solicitation using the SF424 electronic application process (<http://www.grants.gov>). The grant solicitation is released in early spring of each year and has 3 receipt dates: April 5, August 5 and December 5.

**Award Procedure:**

Grants are awarded on the basis of a dual review of the applications. The initial review for scientific merit is conducted by a Special Emphasis Panel of peers with appropriate scientific expertise; the second level of review is performed by the National Advisory Environmental Health Sciences Council for program relevance and recommendations. The final approval of these recommendations and decisions concerning funding is made by the Director of NIEHS or, if in conflict, by appropriate NIH staff.

**Deadlines:**

Contact Headquarters Office for deadlines information.

**Range of Approval/Disapproval Time:**

From 9 to 12 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Renewal requests are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Research Grants for the multi component and individual investigator may be awarded for up to 5 years, generally in 12-month budget periods. Funds are released primarily on the basis of an Electronic Transfer System. Grants made under the SBIR/STTR grants are made generally made for six months to two years.

**Reports:**

Annual and final progress reports and financial status reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133. In addition, grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditure and other financial and program records must be retained for 3 years from the day on which the grantee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Grants) FY 07 \$46,821,724; FY 08 \$46,092,440; and FY 09 est \$46,061,885.

**Range and Average of Financial Assistance:**

\$11,285 to \$3,262,137; \$1,377,110.

**PROGRAM ACCOMPLISHMENTS:**

The NIEHS Superfund Research Program utilizes three grant mechanisms to achieve its goals of advancing the understanding of human health effects of environmental exposures to hazardous substances and in developing innovative technologies for remediating these contaminants. One mechanism the Program uses is to support research through multi-project grant awards. In 2007, 15 ongoing grants were non-competitively renewed. No new awards were made in 2007. The Program released a Request for Applications in September 2006 to allow for the recompetition of this multi-project research program. As a result of this solicitation, in 2008, two existing grantees successfully recompeted and were awarded five-year awards. Another Request for Applications was released in September 2007 and it is anticipated that this solicitation will result in two or three awards in 2009. Examples of recent research advances suggest that nuclear hormone receptors may be affected by arsenic; that brines can be the source of groundwater contamination; that microwave technology can be used to degrade volatile organic compounds; and that folic acid supplementation may be an important intervention in lowering total blood arsenic to persons exposed to arsenic in drinking water. Additional research advances can be access on the Program's webpage: <http://tools.niehs.nih.gov/sbrp/researchbriefs/index.cfm>. The second grant mechanism the Superfund Basic Research Program uses is individual investigator research project grants. Eight three-year awards were made using this mechanism in 2006 and were non competitively renewed in 2007. The focus of this research effort is to develop novel methods for environmental exposure assessment and site characterization, study bioavailability, and develop remediation/characterization methodologies of contaminants in sediments. In addition, in the fall of 2006 the Program released a Request for Applications which resulted in 4 new three-year awards being made in 2007 and an additional three new three-year awards made in 2008. The RFA specifically focused on innovative approaches for remediating sediments. In the fall of 2007, the Program released another RFA in the area of using nanomaterials to study the mechanisms of bioremediation. As a result of this announcement, it is anticipated that three or four awards will be made in the fall of 2008. The third mechanism used by the Superfund Research Program is the Small Business Innovative Research SBIR/STTR grant programs. The Superfund Research Program uses the NIH Omnibus solicitation to announce its areas of interest, which, to date, includes remediation and monitoring of hazardous substances. In 2007, one phase I SBIR, one phase 2 SBIR, and one phase 1 STTR awards were made. And one Phase 2 SBIR and one Phase 2 STTR grants were non-competitively renewed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement March 1, 2001. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS (MD EC-22), P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. Claudia Thompson, Acting Director, Superfund Hazardous Substance Basic Research and Training Program, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Public Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. E-mail [thomps14@niehs.nih.gov](mailto:thomps14@niehs.nih.gov), Telephone: (919) 541-4638. Grants Management Contact: Dorothy G. Duke, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-2749; E-mail: [duke3@niehs.nih.gov](mailto:duke3@niehs.nih.gov).

**Web Site Address:**

<http://www-apps.niehs.nih.gov/sbrp/>

**RELATED PROGRAMS:**

None.

## EXAMPLES OF FUNDED PROJECTS:

The Superfund Basic Research Program is university-based basic research and training program consisting of coordinated, multi-component interdisciplinary programs that link basic biomedical research with related engineering, hydrogenological epidemiological, and ecological studies. This interdisciplinary program supports basic research in the following: (1) Development and use of methods and technologies to detect hazardous substances in the environment such as the development of a cell bioassay system that detects dioxin-like HAHs and PAHs in extracts of biological, environmental, and food and feed samples; (2) development of advanced techniques for the detection, assessment, and evaluation of the effects of human health of hazardous substances such as a number of projects focused on arsenic detection, biomarker development, mechanisms of action and remediation methods; (3) development of methods to assess the risk to human health presented by hazardous substances such as the projects focused on the human health effects associated with exposure to PCBs; and (4) the development and use of basic biological, chemical, and physical methods and technologies to reduce the amount of toxicity of hazardous substance such as the development of bioremediation strategies using microbes and other organisms to reduce organics and metals from environmental media.

## CRITERIA FOR SELECTING PROPOSALS:

Major factors considered in the evaluation of responsive applications include: (1) Scientific merit of each proposed project, including the novelty, originality, and feasibility of the approach and the adequacy of the experimental design; (2) technical merit and justification of each core unit; (3) competence of the investigators to accomplish the proposed research goals, their commitments, and the amount of time they will devote to the program; (4) scope of the overall effort in relation to the objective of the program to create unique interdisciplinary programs to eventually include, not only biomedical components, but also engineering, ecological and/or hydrogenological components; (5) adequacy of the facilities to perform the proposed research; (6) integration of the various projects and core units into an effective program and plans for interactions among investigators; (7) adequacy and commitment of institutional resources to administer an integrated, collaborative program; (8) appropriateness of the budget for the proposed program; (9) relevance of proposed research to problems associated with hazardous waste substances; and (10) progress of program to date for completing renewal applications.

## 93.145 AIDS EDUCATION AND TRAINING CENTERS

### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Title XXVI, Part F, Subpart II, Public Law 106-345; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

### OBJECTIVES:

(1) To train health personnel, including practitioners in programs under this title and other community providers, in the diagnosis, treatment, and prevention of HIV disease, including the prevention of the perinatal transmission of the disease, including measures for the prevention and treatment of opportunistic infections, and including (as applicable to the type of health professional involved), prenatal and other gynecological care for women with HIV/AIDS; (2) To train the faculty of schools of, and graduate departments or programs of, medicine, nursing, osteopathic medicine, dentistry, public health, allied health, and mental health practice to teach health professions students to provide for the health care needs of individuals with HIV/AIDS; (3) To develop and disseminate curricula and resource materials relating to the care and treatment of individuals with such disease and the prevention of the disease among individuals who are at risk of contracting the disease; and (4) To develop protocols for the medical care of women with HIV/AIDS, including prenatal and other gynecological care for such women.; and (5) To develop protocols for the medical care of women with HIV/AIDS, including prenatal and other gynecological care for such women.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Grants will be awarded for the establishment of AIDS Education and Training Centers.

### Applicant Eligibility:

Eligible entities include public and nonprofit private entities and schools and academic health science centers. Eligible organizations are public and nonprofit private entities and schools and academic health sciences centers, including faith-based and community-based organizations. Applicants must have extensive experience in the field of health professional training and adult learning, HIV disease and disease management, and program administration and monitoring. Applicants that fail to show experience in all three areas will not be considered.

### Beneficiary Eligibility:

Primary health care personnel.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

### Award Procedure:

The review of applications is carried out by an ad hoc committee of experts in AIDS Education and Training and members of the staff of the Department of Health and Human Services (DHHS). Applications are reviewed for merit and are recommended for approval or disapproval. Final decisions are made by the Associate Administrator, HIV/AIDS Bureau.

### Deadlines:

[www.hrsa.gov](http://www.hrsa.gov).

### Range of Approval/Disapproval Time:

Approximately 6 months.

### Appeals:

None.

### Renewals:

Annual noncompetitive, competitive awards typically are for 5 years.

### Formula and Matching Requirements:

This program has no statutory formula or matching requirements.

### Length and Time Phasing of Assistance:

Grants are typically awarded for a 5-year project period with 12-month budget periods.

### Reports:

Annual program reports, OMB-approved data reports, and special reports (if any) are required. In addition, a Financial Status Report is to be submitted within 90 days after the close of each budget period and a final Financial Status Report is required 90 days following the end of the project period.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

### Account Identification:

75-0350-0-1-550.

### Obligations:

(Grants) FY 07 \$33,177,624; FY 08 \$32,528,024; and FY 09 est \$28,700,000.

### Range and Average of Financial Assistance:

\$450,000 to \$5,120,000; \$2,327,356.

### PROGRAM ACCOMPLISHMENTS:

15 noncompetitive awards were made in FY 07. AETCs are providing AIDS education and training to approximately 120,000 health care providers each year. For FY 07 and FY 08, the emphasis of the AETCs is to provide hands on clinical training in the medical care of HIV infected patients and training on the use of highly active antiretroviral therapy. In FY 08, it is anticipated that 15 noncompetitive awards will be made.

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### Regional or Local Office:

Steven R. Young, M.S.P.H., Director, Division of Training and Technical Assistance/AIDS ETCs, HIV/AIDS Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 7-29, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5761 or Fax: (301) 594-2835.

### Headquarters Office:

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**  
www.hrsa.gov.

**RELATED PROGRAMS:**

93.918, Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease; 93.978, Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants; 93.914, HIV Emergency Relief Project Grants.

**EXAMPLES OF FUNDED PROJECTS:**

AIDS Education and Training Centers have been funded to provide national coverage of education and training for health care providers who care for HIV infected patients. The grant recipients have been universities and institutions of higher education and are primarily located in areas with a high incidence of HIV/AIDS and within medically underserved areas.

**CRITERIA FOR SELECTING PROPOSALS:**

In making grants, the Secretary shall give preference to qualified projects which will -- (A) train, or result in the training of health professionals who will provide treatment for minority individuals with HIV/AIDS and other individuals who are at high risk of contracting such disease; (B) train, or result in the training of minority health professionals and minority allied health professions to provide treatment for individuals with such disease; and (C) train or result in the training of health professionals and allied health professionals to provide treatment for hepatitis B or C co-infected individuals. The acronym HIV stands for "human immunodeficiency virus", the etiologic agent for acquired immune deficiency syndrome (AIDS).

### 93.150 PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)

(PATH)

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title V, Part C, Section 521, as amended, 42 U.S.C. 290cc-21 et. seq.; Stewart B. McKinney Homeless Assistance Amendments Act of 1990, Public Law 101-645.

**OBJECTIVES:**

To provide financial assistance to States to support services for individuals who are suffering from serious mental illness or serious mental illness and substance abuse; and are homeless or at imminent risk of becoming homeless. Programs and activities include: (1) Outreach services; (2) screening and diagnostic treatment services; (3) habilitation and rehabilitation services; (4) community mental health services; (5) alcohol or drug treatment services; (6) staff training; (7) case management services; (8) supportive and supervisory services in residential settings; (9) referrals for primary health services, job training, educational services, and relevant housing services; and (10) prescribed set of housing services.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except that funds cannot be used: (1) To support emergency shelters or construction of housing facilities; (2) for inpatient psychiatric or substance abuse treatment costs; or (3) to make cash payments to intended recipients of mental health or substance abuse services. Not more than 20 percent of the payment may be expended for housing services; not more than 4 percent of the total allocation may be expended for administrative expenses. The applicants must agree that the payments will be expended solely for making grants to political subdivisions of the State, and to nonprofit private entities (including community-based veterans organizations and other community organizations) for the purpose of providing the services.

**Applicant Eligibility:**

States, District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

Individuals who have a serious mental illness or serious mental illness and substance abuse; and are homeless or are at imminent risk of becoming homeless.

**Credentials/Documentation:**

This program is subject to 45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Preapplication Coordination:**

There is no preapplication requirement. This program is not subject to the

intergovernmental review requirements of E.O. 12372, as implemented through DHHS regulations at 45 CFR 100. However, individual States may require, or an applicant State mental health agency may want to implement, coordination procedures similar to those specified in E.O. 12372.

**Application Procedure:**

The Chief Executive Officer of a State or Territory must apply annually for an allotment. Applications include a completed application form and a set of assurances.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Grant awards are issued directly by the Center for Mental Health Services (CMHS) to the designated State agency.

**Deadlines:**

Contact Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

Approximately 8 weeks.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The formula is cited in Section 524 of the Public Health Service Act, as amended by Public Law 101-645. The formula allots funds on the basis of the population living in urbanized areas of the State, compared to the population living in urbanized areas of the entire United States except that no State receives less than \$300,000 (\$50,000 for Territories). States must agree to make available, directly or through donations from public or private entities, nonfederal contributions equal to not less than \$1 (in cash or in kind) for each \$3 of Federal funds provided in such grant. Territories have no matching requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation for the award period (1-year); payments are made through an Electronic Transfer System.

**Reports:**

Each State shall prepare and submit to the Secretary of Health and Human Services annual reports on its activities necessary for securing a record and a description of the purposes for which funds received under Section 521 were spent and the recipients of such funds, and for determining whether such amounts were expended in accordance with the provisions of the legislation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 07 \$51,873,000; FY 08 est \$51,873,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$7,424,000; \$910,053.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 56 awards will be made in fiscal year 2007 and fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. HHS Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dorrine Gross, PATH Associate Co-Director, Homeless Programs Branch, Division of Knowledge Development and Systems Change, SAMHSA/CMHS, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1898. Grants Management Contact: Ms. LouEllen M. Rice, Grants Management Officer, SAMHSA, 1 Choke Cherry Road, Room # 7-1091 Rockville, MD 20857. Telephone: (240) 276-1404. Use the same numbers for FTS.

**Web Site Address:**

http://www.samhsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**



States have supported from one to as many as 40 local nonprofit agencies to provide PATH-funded services to persons who are homeless and have a mental illness.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill all statutory and regulatory requirements.

**93.153 COORDINATED SERVICES AND ACCESS TO RESEARCH FOR WOMEN, INFANTS, CHILDREN, AND YOUTH**

(Ryan White Program)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part D, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

The purpose of this funding is providing family-centered care involving outpatient or ambulatory care (directly or through contracts) to women, infants, children, and youth with HIV/AIDS, and may be used to provide additional support services to patients and families. and family members through the provision of coordinated, comprehensive, culturally and linguistically competent, family-centered services. Funds will be used to support programs that provide primary medical care and: (1) Link established systems of care to coordinate service delivery and ensure that HIV-infected women, infants children, and youth have access to the existing and emerging HIV treatments that can make a difference; (2) Implement HIV prevention programs for the transmission of HIV from mother to child; (3) Educate clients about the opportunities for participation in clinical research and other research activities; and (4) Address the intensity of service needs, high costs, and other complex barriers to comprehensive care and research experienced by medically underserved and challenging populations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds granted must be expended solely for carrying out the approved project in accordance with application guidelines, the conditions of award and the applicable cost principles.

**Applicant Eligibility:**

Public and nonprofit private entities that provide primary care services, either directly or by another entity that is linked with the grantee, either through a contract, written partnership, or other formal agreement. Proof of nonprofit status is required for nonprofit organizations. Primary care providers must show proof of Medicaid eligibility.

**Beneficiary Eligibility:**

Women, infants, children, and youth with HIV/AIDS and their affected family members.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the HIV/AIDS Bureau. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

After approval by the Associate Administrator, the Division of Grants Management Operations prepares a Notice of Grant Award and issues the award.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants may be made for up to 5-year project periods, subject to availability of funds. After initial awards, projects may be renewed contingent upon submission and approval of a continuation application.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually, subject to availability of funds. Initial awards will be made for 1 year and continuation awards may be made for an additional 4 years.

**Reports:**

Annual program reports, annual program service reports and special reports must be submitted as required. Grantees must submit a Financial Status Report on SF 269 within 90 days after the end of the budget period. The grantee must also submit an annual program data report, due March 15 each year, covering the just ended January 1 - December 31 calendar year. Beginning in Fiscal Year 2009, grantees must submit an Allocations Report, 60 days after the notice of grant award, and an Expenditures Report within 90 days after the end of the budget period, (OMB 0915-0318) A final Financial Status Report and final progress report must be submitted 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$66,778,587; and FY 08 est \$68,578,587; and FY 09 est \$68,578,587.

**Range and Average of Financial Assistance:**

\$230,384 to \$2,569,004; \$766,222.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, a total of 90 project grants were awarded, which included 17 Youth Services Initiative grants? It is estimated that a total of 90 projects will be funded in FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Maria Rios, MD, Division of Community Based Programs/HIV/AIDS Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 7A-30, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3995.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.110, Maternal and Child Health Federal Consolidated Programs; 93.994, Maternal and Child Health Services Block Grant to the States.

**EXAMPLES OF FUNDED PROJECTS:**

A variety of agencies are funded under this grant program, but they all represent the collaboration of local health and social services agencies, both public and private, including faith-based and community-based organizations. All provide health service delivery to infected women, infants, children, and youth and provide family-centered case management and education regarding opportunities to participate in HIV/AIDS-related clinical research. Projects directly provide or arrange for a range of medical social, psychosocial and family support services. Features unique to each project demonstrate collectively a variety of strategies to meet the critical needs of HIV infected women, infants, children, and youth.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the program guidance materials provided with application kits. Contact the HRSA Grant Application Center for details.

**93.155 RURAL HEALTH RESEARCH CENTERS**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**OBJECTIVES:**

To support the operation of rural health research centers and 1 year research grants to provide an information base and policy analysis capability on the full range of rural health services issues, including financing, recruitment and retention of health professionals, access to care, health disparities and rural delivery systems.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**Applicant Eligibility:**

All public and private entities, nonprofit and for-profit, including faith-based and community-based organizations, and Federally recognized tribes and/or tribal organizations, are eligible to apply. Please see individual grant guidances at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

**Beneficiary Eligibility:**

The entities that will benefit from this program are health care personnel, health research personnel, and the general public.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under these CFDA programs for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). Please visit the [Grants.gov](http://Grants.gov) Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

The review of applications is carried out by Federal and nonfederal professionals in health services research. Applications are reviewed for merit and are recommended for approval or disapproval. Final decisions are made by the Director, Office of Rural Health Policy.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Approximatley 6 months.

**Appeals:**

None.

**Renewals:**

Research center awards may be made for up to 4-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance. One-year research grants are only available for one year.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Awards are normally made in a lump sum for the entire budget period. Payments are made through an Electronic Transfer System or Cash Demand System.

**Reports:**

Annual Program reports and special reports (if any) are required. Targeted Rural Health Research grantees are required to submit three quarterly reports and one final report. In addition, a Financial Status Report is to be submitted within 90 days after the close of each budget period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$4,299,507; FY 08 est \$4,410,000; and FY 09 \$4,750,000.

**Range and Average of Financial Assistance:**

For Research Centers: (FY 07) \$400,000 to \$600,000; \$500,000 and for FY 08 est \$600,000 to \$700,000, \$650,000. For Targeted Rural Health Research Grants: FY 07 range and average is \$150,000 and for FY 08 est. range and average is \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 eight non-competitive research center grants were awarded and two Targeted Rural Health Research Grants were awarded. It is anticipated that in FY 08 and FY 09 there will be 6 Research Center awards and three Targeted Rural Health Research Grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Contact: Joan Van Nostrand, D.P.A. for Rural Health Research Centers or Erica Molliver, M.H.S. for Targeted Rural Health Research Centers, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 07 the research centers focused on rural health services as they relate to the following topic areas: Rural Health Clinics, Public Health Workforce, Oral Health, HIT Implementation, and Emergency Medical Services (EMS). Targeted Rural Health Research Grants. In FY 07, the three Targeted Rural Health Research Grantees focused on asbestos-related disease, diabetes and obesity, and preventive care among rural Medicare beneficiaries.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be published in the HRSA Preview for competitive application cycles.

**93.156 GERIATRIC TRAINING FOR PHYSICIANS, DENTISTS AND BEHAVIORAL/MENTAL HEALTH PROFESSIONALS**

(Geriatric Fellowships)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 753(b); 42 U.S.C. 294, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

**OBJECTIVES:**

Grants are given for faculty training projects in geriatric medicine, dentistry, and behavioral or mental health. The purpose of this grant program is to provide support, including fellowships, for geriatric training projects to train physicians, dentists and behavioral or mental health professionals who plan to teach geriatric medicine, geriatric dentistry or geriatric behavioral or mental health.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A grant may be made to meet the cost of a project which will propose: (1) a 1-year retraining program in geriatrics for: (a) physicians who are faculty in departments of internal medicine, family medicine (including osteopathic general practice), gynecology, geriatrics, and behavioral or mental health at schools of medicine and osteopathic medicine; (b) dentists who are faculty members at schools of dentistry or at hospital departments or dentistry; and (c) behavioral or mental health professionals who are faculty members in departments of behavioral or mental health; and/or (2) a 2-year internal medicine or family medicine fellowship program providing emphasis in geriatrics which shall be designed to provide training in clinical geriatrics and geriatrics research for: (a) physicians who have completed graduate medical education programs in

internal medicine, family medicine (including osteopathic general practice), behavioral or mental health, neurology, gynecology, or rehabilitation medicine; (b) dentists who have demonstrated a commitment to an academic career and who have completed postdoctoral dental training, including postdoctoral dental education programs or who have relevant advanced training or experience; and (c) behavioral or mental health professionals who have completed graduate medical education programs in behavioral or mental health. Each project for which a grant is made must: (1) be staffed by full-time teaching physicians who have experience or training in geriatric medicine or geriatric behavioral or mental health; (2) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching dentists who have experience or training in geriatric dentistry; (3) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching behavioral or mental health professionals who have experience or training in geriatric behavioral or mental health; (4) be based in a graduate medical education program in internal medicine or family medicine or in a department of geriatrics or behavioral or mental health; (5) provide training in geriatrics and are exposed to the physical and mental disabilities of elderly individuals through a variety of service rotations, such as geriatric consultation services, acute care services, dental services, geriatric behavioral or mental health units, day and home care programs, rehabilitation services, extended care facilities, geriatric ambulatory care and comprehensive evaluation units, and community care programs for elderly mentally retarded individuals, and (6) provide training in geriatrics through one or both of the two training options.

**Applicant Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs.

**Beneficiary Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three 3 years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 5 years.

**Reports:**

A Uniform summary progress report must be submitted annually. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final Financial Status Report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely

resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$5,668,968; FY 08 \$6,477,197; and FY 09 est \$6,429,964.

**Range and Average of Financial Assistance:**

FY 07: Range is \$300,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, eleven (11) competing awards were funded. In FY 08, 11 non-competing continuation awards were funded. In FY 09 an estimated 11 non-competing continuation awards will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Nancy Douglas-Kersellius, Advanced Nurse Education, Branch, Division of Nursing, Health Resources and Services Administration, Public Health Service, Department of Health and Human Services, Room 8-C26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Johns Hopkins University, University of Texas Health Science Center at San Antonio.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by peer reviewers to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact (Curriculum/Proposed Training and Recruitment Plan); (5) Resources/Capabilities; and (6) Support Requested.

## 93.157 CENTERS OF EXCELLENCE

(COEs)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 736, 42 U.S.C. 293, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To assist eligible schools in supporting programs of excellence in health professions education for under-represented minority individuals. The grantee is required to use the funds awarded: (1) to develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) to establish, strengthen, or expand programs to enhance the academic performance of under-represented minority students attending the school; (3) to improve the capacity of such school to train, recruit, and retain under-represented minority faculty including the payment of stipends and fellowships; (4) to carry out activities to improve the information resources, clinical education, curricula and cultural competence, to facilitate the entry of under-represented minority students into health or allied health professions schools; (5) to facilitate faculty and student research on health issues particularly affecting under-represented minority groups, including research on issues relating to the delivery of health care; (6) to carry out a program to train students of the school in providing health services to a significant number of under-represented minority individuals through training provided to such students at community-based health facilities. These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) to provide stipends as appropriate.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used by health professions schools to: (1) Establish, strengthen, or expand programs to enhance the academic performance of minority students attending the school; (2) establish, strengthen or expand programs to increase the number and quality of minority applicants to the school; (3) improve the capacity of the school to train, recruit, and retain minority faculty; (4) with respect to minority health issues, to carry out activities



to improve the information resources and curricula of the school and clinical education at the school; and (5) facilitate faculty and student research on health issues particularly affecting minority groups.

**Applicant Eligibility:**

Eligible applicants are: accredited schools of allopathic medicine; osteopathic medicine; dentistry; pharmacy; graduate programs in behavioral or mental health; or other public and nonprofit health or educational entities. Historically Black Colleges and Universities (HBCUs), as described in Section 736(c)(2)(A) of the Public Service Act, and which received a contract under Section 788B of the Public Health Service Act (Advanced Financial Distress Assistance) for fiscal year 1987, may apply for Centers of Excellence (COE) grants under Section 736 of the Public Health Service Act. The four designated schools are: Meharry School of Dentistry; Meharry School of Medicine; Tuskegee School of Veterinary Medicine; and Xavier School of Pharmacy.

**Beneficiary Eligibility:**

Certain HBCUs and eligible health professions schools must train a significant number of under-represented minority students in medicine, dentistry, and pharmacy; faculty recruitment, training and retention; and faculty and student research activities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov)

**Range of Approval/Disapproval Time:**

About 4 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three 3 years.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years.

**Reports:**

A Uniform Summary Progress Report must be submitted annually within the approved project period. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final Financial Status Report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-1-1-550.

**Obligations:**

FY 07 \$11,393,370; FY 08 \$12,036,127; and FY 09 est reported.

**Range and Average of Financial Assistance:**

In FY 2008, it is projected that 4 non-competing continuation awards will be issued. The range of FY 2008 financial assistance will be \$2,188,610 to \$4,250,322, with an average award of \$3,009,032.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, a total of 4 continuation awards were made. In FY 2008, it is estimated that 4 continuation awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Stuart Weiss, Acting Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Program information and assistance may be obtained by calling (301) 443-5644.

**Headquarters Office:**

Grants Management Office: Rock Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Rockville, MD 20857. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded proposed a range of activities for under-represented targeted minority individuals, including high school students; undergraduate college pre-professional (medicine, dentistry and pharmacy) students; enrolled professional students and faculty. COEs support structured and unstructured summer and academic year activities to address the seven legislative purposes. Activities include summer academic enrichment programs for undergraduate college students; professional school admissions process preparation sessions (MCAT/DAT review, etc.); retention services for enrolled professional students (i.e., summer pre-matriculation programs, tutorials, personal and career counseling; clinical educational experiences; recruitment/retention of basic science and clinical faculty; student/faculty research experiences; medical school curriculum development; increased library holdings relative to minority health issues; and purchase of computer and other equipment (to retain faculty and improve professional student performance, etc.).

**CRITERIA FOR SELECTING PROPOSALS:**

Project proposals are evaluated on the basis of: (1) The degree to which the applicant arrange to continue the proposed project beyond the federally-funded project period; (2) the degree to which the proposed project meets all purposes stated in the legislative authorization; (3) the relationships of the objectives of the proposed project and the goals that are developed; (4) the administrative and managerial ability of the applicant to carry out the project in a cost-effective manner; (5) the adequacy of the staff and faculty to carry out the program; (6) the soundness of the budget for assuring effective utilization of grant funds and the proportion of total program funds which come from nonfederal sources and the degree to which they are projected to increase over the grant period; (7) the number of individuals who can be expected to benefit from the project; (8) the technical merit of the project; and (9) the overall impact the project will have on strengthening the schools' capacity to train the targeted minority health professionals and increase the supply of minority health professionals available to serve minority populations in underserved areas.

**93.161 HEALTH PROGRAM FOR TOXIC SUBSTANCES AND DISEASE REGISTRY**

**FEDERAL AGENCY:**

AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499, as amended; 42 U.S.C. 9604(i); Resource Conservation and Recovery Act, as amended; Public Law 98-616, 42 U.S.C. 6939a.

**OBJECTIVES:**

To work closely with State, local, and other Federal agencies to reduce or eliminate illness, disability, and death resulting from exposure of the public and workers to toxic substances at spill and waste disposal sites.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To strengthen State and local environmental health programs. Services may include: (1) Health assessments; (2) health effects studies; (3) exposure and disease registries; (4) technical assistance; (5) consultation; (6) dissemination of technical information; (7) provision of specialized services and assistance, including responses to public health emergencies; (8) training State and other health professionals in broad areas related to environmental health; and (9) research of chemical toxicity.

**Applicant Eligibility:**

States or political subdivisions thereof, to include the District of Columbia, American Samoa, Guam, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Virgin Islands, the Federated States of Marshall Island, the Republic of Palau, National organizations, Federally-recognized Indian tribal governments, public and private non-profit universities and colleges.

**Beneficiary Eligibility:**

The general public and particularly individuals and families who reside around or near hazardous waste sites.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. For-profit organization's costs will be determined in accordance with the Federal Acquisition Regulation, 48 CFR, Chapter I, Subpart 31.2, "Cost Principals for Contracts and Commercial Organizations."

**Preapplication Coordination:**

No preapplication required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Acquisition and Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the provisions of OMB Circular No. A-110. By formal agreement, the CDC Grants Management Branch acts on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, Centers for Disease Control and Prevention (CDC), acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget period. Renewals or continuation awards, with the project period are made on the basis of satisfactory progress and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

It is anticipated that awards will be for a 12-month budget period with a proposed project period ranging from one to five years.

**Reports:**

Annual performance and financial status reports are required no later than 90 days after the end of each budget period. Performance reports may be requested quarterly. Final financial status and performance reports are requested 90 days after the end of each project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$4,168,002; FY 08 \$7,482,096; and FY 09 est \$8,045,550.

**Range and Average of Financial Assistance:**

\$130,000 to \$300,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 14 grantees have been funded and will continue to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Toxicological profiles, Federal regulations for interim procedures to petition for Public Health Assessments published in August 18, 1992 issue of the 42 CFR 90, Health Assessments and Health Effects Studies of Hazardous Substances Releases and Facilities; Final Rule; Published in February 13, 1990, issue of the Status of Health Research Report; Case studies in environmental medicine; and ATSDR Annual Report. PHS Policy Statement No. (OASH) 94- 50,000, (Rev.) April 1, 1994 is available. Section 106 and subsection 118(e) of the Great Lakes Critical Programs Act of 1990 33 U.S.C. 1268(e).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Beth Gardner, Agency for Toxic Substances and Disease Registry, Office of Financial and Administrative Services, 1600 Clifton Road, NE., Mail Stop F-62, Atlanta, GA 30333. Telephone: 770-488-0572. E-mail address ctg8@cdc.gov; Programmatic Technical Assistance: Joann Flesner, Division of Health Studies, Agency for Toxin Substances, Email address: JFlesner@cdc.gov; Phone: 770-488-0739. Grants Management Contact: Mildred Garner, Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2745, FAX: (770) 488-2777.

**Web Site Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A cooperative agreement for educating physicians and other health professionals in the areas of environmental health, site characterizations, and health assessment; (2) a study to address and recommend effective implementation strategies for the integration of environmental medicine into medical school curricula; and (3) conference grants on disease prevention, health promotion, and information/education projects related to preventing exposure and adverse human health effects and diminished quality of life associated with exposure to hazardous substances from waste sites, unplanned releases, and other sources of pollution present in the environment.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relevance of the proposal to the objective of this program. (2) Demonstrated experience in evaluating human health effects from exposures to hazardous substances in the environment through multimedia exposure pathways. (3) Training and experience of staff to be assigned to and/or hired for the project. (4) Suitability of facilities and equipment available or to be purchased for the project. (5) Appropriateness of the requested budget relative to the work proposed. (6) Capability of the applicant and its consultants to carry out the tasks involved in the project. (7) Soundness and innovation of the proposed approach to the range of activities presented in the project. (8) Capability of the applicant's administrative structure to foster successful scientific and administrative management of the program or study as described in the application. (9) Adequacy of the proposed time frame for completion of programs or studies.

**93.162 NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT PROGRAM**

(NHSC Loan Repayment Program)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 338B, 42 U.S.C. 2541 -1, as amended; Health Care Safety Net Amendments of 2002, Title II, Public Law 107-251.

**OBJECTIVES:**

To increase the supply of primary care physicians, dentists, behavioral and mental health professionals, certified nurse midwives, certified family nurse practitioners, and physician assistants, and if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSA) within the United States and its territories by assisting the repayment of qualifying educational loans in return for service to populations located health professional shortage areas identified by the Secretary of the Department of Health and Human Services.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Awards provide payments of up to \$35,000 a year towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of practice at a selected National Health Service Corps (NHSC) Loan Repayment Service Site under a written agreement with this program. For a 3rd and 4th subsequent year, payments of up to \$35,000

a year may be made available under a written agreement, for a 5th subsequent year payments of up to \$25,000 a year may be made available under a written agreement, for a 6th subsequent year payments of up to \$20,000 a year may be available under a written agreement, and for a 7th subsequent year and beyond, payments of up to \$15,000 may be available under a written agreement. Health professions given priority for selection are those identified by communities.

**Applicant Eligibility:**

Individuals are eligible to apply if they have (1) U.S. citizenship; (2) a health professions degree or are in professional practice (they must hold an unrestricted health professions license from the State in which they will be working, and be eligible for selection for a Federal civil service appointment, or hold an appointment as a commissioned officer in the Regular or Reserve Corps of the U.S. Public Health Service); (3) not defaulted on any Federal debt or do not have a court judgment against them; and (4) no existing service obligation.

**Beneficiary Eligibility:**

Primary care, oral health, and mental and behavioral health professions are eligible for the Loan Repayment Program (LRP). Specific specialties within these professions are selected for LRP awards based on community demand for health services.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for Clinicians Recruitment and Service. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas.

**Deadlines:**

Contact HRSA at [www.hrsa.gov](http://www.hrsa.gov) for deadline date(s).

**Range of Approval/Disapproval Time:**

Approximately 120 Days.

**Appeals:**

None.

**Renewals:**

Contract amendments will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service.

**Reports:**

None.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$60,019,317; FY 08 \$59,182,064; and FY 09 est \$56,800,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$50,000; \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Total awards made for FY 07, 1,548. The estimate for FY 08 is 1,564 with approximately 810 expected to be awards to new participants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Chief, National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Rockville, MD 20857. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.288, National Health Service Corps Scholarship Program; 93.303, Nursing Scholarship Program; 93.342, Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364, Nursing Student Loans; 93.908, Nursing Education Loan Repayment Program.

**EXAMPLES OF FUNDED PROJECTS:**

During FY 07, the program awarded a total of 1,548 contracts to eligible clinicians with health professions degrees or licenses.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority will be given to applicants who are individuals whose training is in a health or specialty profession determined by the Secretary to be needed by NHSC.

**93.164 INDIAN HEALTH SERVICE EDUCATIONAL LOAN REPAYMENT**

(IHS Loan Repayment Program)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Amendments of 1988, Section 108, Public Law 100-713, Public Laws 93-638 and 94-437.

**OBJECTIVES:**

To insure that the Indian Health Service (IHS) has an adequate supply of trained health professionals for Indian health program facilities by providing for the repayment of educational loans for participants who agree (by written contract) to serve an applicable period of time at a facility IHS has designated as a loan repayment priority site or in a designated specialty at a site with an appropriate position.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program will provide repayment of loans incurred for health professions educational expenses in exchange for service in a designated loan repayment priority site. Recipients must agree by written contract to serve an applicable period of time in such a site; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability.

**Applicant Eligibility:**

Eligible individuals must be enrolled: (1) In a course of study or program in an accredited institution, as determined by the Secretary, within any State and be scheduled to complete such course of study in the same year such as individual applies to participate in such program; (2) in an approved graduate training program in a health profession; (3) have a degree in health profession and a license to practice a health profession; (4) be eligible for, or hold, an appointment as a commissioned officer in the Regular or Reserve Corps of the Public Health Service (PHS); (5) be eligible for selection for civilian service in the Regular or Reserve Corps of the PHS; (6) meet the professional standards for civil service employment in the IHS; (7) be employed with an Indian health program funded under Public Law 93-638, Indian Self-Determination, Title V of Public Law 94-437 and its amendments or the Buy Indian Act (25 U.S.C. 47); (8) submit an application to participate in the IHS Loan Repayment Program; and (9) sign and submit to the Secretary for Health and Human Services at the time of such application, a written contract agreeing to accept loan repayment of health professions educational loans and to serve for an applicable period of service at loan repayment priority site as determined by the Secretary. The term "State" is defined in Section 331 (i)(4) of the PHS Act.

**Beneficiary Eligibility:**

Health professionals who have Government (Federal, State, local) and commercial unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) A transcript showing final year of study and full-time status; (2) a copy of a health professions degree; (3) a copy of health professions license; (4) a copy of transcript showing completion of graduate education; and (5) a copy of all loan documentation.

**Preapplication Coordination:**



None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants should request an application package, complete the required information, and return it to the Indian Health Service (IHS) Headquarters for review. (See Headquarters Office section below for address.) Once a completed application packet is received, it will be reviewed and the determination of award recipients will be made based upon merit. Award will be made on award dates published in the Federal Register.

**Award Procedure:**

Upon determination of who will receive an award, that individual will be notified in writing by the program. The individual will in turn notify the program in writing of his/her acceptance. Awards will be contingent upon the score that an eligible Loan Repayment Program site receives and score is applied to the individual matched to that site. Upon arriving at his/her duty station, participant must submit proof of employment to the IHS Loan Repayment Program Office. Individuals can be matched to an IHS tribal, urban, or buy Indian site by an IHS area recruiter or the equivalent. Applicants needing to match to an IHS priority site should work with an IHS recruiter in the service area of their choice. When an award occurs, the Secretary will sign the contract and the individual will receive final notification of their award and a copy of their signed contract.

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

None.

**Renewals:**

If a program recipient satisfactorily completes his/her initial service and continues to have remaining eligible debt, he/she may extend his/her contract on a single-year basis, provided that funds are available and the participant continues to meet the eligibility requirements of the program. A recipient wishing to extend his/her contract must submit a formal request for extension and sign a new 1-year contract.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Payments will be made to the individuals of the program on an annual basis.

**Reports:**

Program participants must be certified annually as performing at an eligible site in an eligible full-time position.

**Audits:**

Not applicable.

**Records:**

The IHS will maintain records of applicants and participants for 3 years after information of expenditure reports are completed.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$16,923,500; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$3,000 to \$48,000 for a 2-year obligation; \$43,315.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, 293 new and 236 continuing loan repayment awards were approved. In fiscal years 2006, as estimated 245 new and 240 continuing loan repayment awards will be approved; and in fiscal year 2007, an estimated 230 new and 220 continuing loan repayment awards will be approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorization is contained in Public Law 100-713, as amended by Public Law 102-573; Indian Health Service Educational Loan Repayment Program Information Bulletin; Notice of Availability of Funds.

**Regional or Local Office:**

See Appendix IV of the Catalog for IHS Area Offices.

**Headquarters Office:**

Program Contact: Ms. Jackie Sanitago, Chief, Loan Repayment Program, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-3396. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same number for FTS.

**Web Site Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program.

**EXAMPLES OF FUNDED PROJECTS:**

Physicians, nurses, mental health, and other health professionals who have agreed to provide full-time clinical services at an appropriate site for an applicable period of time (2 years) in return for repayment of their health profession education loans.

**CRITERIA FOR SELECTING PROPOSALS:**

The IHS defined "Health Profession" to mean family medicine, internal

medicine, pediatrics, geriatric medicine, obstetrics and gynecology, podiatric medicine, nursing, public health nursing, dentistry, psychiatry, osteopathy, optometry, pharmacy, psychology, public health, social work, marriage and family therapy, chiropractic medicine, environmental health and engineering, and allied professions. Other factors that will be employed to determine which applicant is selected for awards include: (a) An applicant's length of current employment in the IHS, tribal or urban program; (b) availability for service earlier than other applicants (first come, first served); and (c) date the completed application was received.

## 93.165 GRANTS TO STATES FOR LOAN REPAYMENT PROGRAM

(State Loan Repayment Program)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 3381, 42 U.S.C. 254 q-1.

**OBJECTIVES:**

To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

State programs are to be similar to 93.162, the National Health Service Corps Loan Repayment Program. Similar provisions include: (1) Applicants for State programs must have completed a course of study required to practice as one of the following health care professionals: allopathic or osteopathic physician, dentist, nurse midwife, nurse practitioner, physician assistant, clinical psychologist, clinical social worker, psychiatric nurse specialist, marriage and family therapist, licensed professional counselor or dental hygienist; and (2) participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area. The Federal share of the support for State programs cannot exceed 50 percent of the contract costs. The State's 50 percent share must be spent for repayment of loans and the State must absorb program administrative costs.

**Applicant Eligibility:**

The term "State" means each of the fifty States. Any State is eligible to apply for a grant.

**Beneficiary Eligibility:**

State governments will benefit by securing the services of health professionals for health professional shortage areas in States. This program will also benefit health professions practitioners whose loans would be repaid for service in HPSAs under the State Loan Repayment Program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Grant applications will be given an objective review. Final award decisions will be made by the Director of the Bureau of Health Professions.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov) .

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a competitive process each year.

**Formula and Matching Requirements:**

The Federal share of any program may not exceed 50 percent of the cost of loan

repayment contracts made to eligible providers. The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. Other Federal funds cannot be used for the non-federal cost participation. No portion of the Federal share shall be used to pay for administrative or management costs of any State Loan Repayment Program. The non-federal share is to be issued for the repayment of loans. States must assume administrative costs.

**Length and Time Phasing of Assistance:**

A grant award is for 1 year. Applicants may propose a project period of up to 3 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds.

**Reports:**

Recipient States must submit a biannual Uniform Progress Report, and final progress report along with an annual financial report in the format approved under OMB Circular No. 0915-0004.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$6,965,172; FY 08 est \$7,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

(FY 2007) \$100,000 to \$1,000,000; \$302,834 average.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 24 competing awards were made. It is expected that approximately 24 continuation awards will be made in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-5244 and Email equinones@hrsa.gov.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program; 93.364, Nursing Student Loans; 93.908, Nursing Education Loan Repayment Program.

**EXAMPLES OF FUNDED PROJECTS:**

State Loan Repayment Program (SLRP) grants resulted in loan repayment contracts with 382 providers at Health Professional Shortage Area sites (HPSAs) in FY 06.

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the extent to which special consideration will be extended to federally designated HPSAs with large minority populations; (c) the number and type of providers the State proposes to support through this program; (d) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (e) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (f) the suitability of the State's approach and the

degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (g) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (h) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs: (i) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (j) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs: (i) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (ii) the grantee's history of compliance with reporting requirements.

## 93.172 HUMAN GENOME RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 461 and 487, as amended; Public Laws 78-410 and 99-158, 42 U.S.C. 241, as amended; 42 U.S.C. 285k; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To obtain genetic maps, physical maps, and determine the deoxyribonucleic acid (DNA) sequences of the genomes of humans and model organisms to be used as resources in biomedical research, medicine, and biotechnology. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The research project grant is awarded to an eligible institution in the name of a principal investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds may be used for salaries and wages, equipment, supplies, travel and other costs required to carry out the research project. National Research Service Awards are made directly to individuals for research training in disciplines supporting the research areas. In addition, grants may be made to institutions to enable them to select individuals for National Research Service Awards. Each individual who receives a National Research Service Award is responsible for certain service and payback provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available on request from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health (NIH), 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax (301) 480- 0525. E-mail: asknih.od.nih.gov. Small Business Innovation Research (SBIR) Program: SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Research Projects: Awards can be made to any public or private, for-profit or nonprofit university, college, hospital, laboratory, or other institution, including

State and local units of government, qualifying small businesses (through the Small Business Innovation Research/STTR Programs, and to individuals. To be eligible for funding, a proposal must be approved for scientific merit and program relevance by a scientific review committee and a national advisory council. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its territories. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Nonfederal public and private domestic organizations may apply for an Institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Predoctoral awardees must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.O., D.V.M., Sc.D., E.Eng., or equivalent domestic or foreign degree). Applicants to the Small Business Innovation Research/STTR Programs must meet special requirements for small businesses, as defined by the Small Business Administration.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Each applicant for a research project must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. Use grant application form PHS-398 (Rev. May 1995) provided by, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, Bethesda, MD 20892. For applicants for National Research Service Awards, the academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. The applicant institution must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for the award, and a detailed budget and justification for the grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR 74 Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and 6246-2 are used to apply for Phase I and Phase II awards, respectively, or SBIR and STTR programs.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and information concerning the area of science being supported may be obtained from the Division of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910, Telephone (301) 435-0714, e-mail: ASKNIH@odrockml.od.nih.gov. Complete the application and return it to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892 for assessment by a scientific review committee. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", as appropriate. The SBIR and STTR Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH "Small business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone (301) 206-9385; fax: (301) 206-9722; e-mail:

[a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. Completed SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications for project grants and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by the National Advisory Council for Human Genome Research (NACHGR). (Individual NRSA applications are not reviewed by council.) All approved applications compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score ranging from the best (100) to worst (500) compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit (which includes the potential of the proposed research for commercial application), program relevance, and program balance among the areas of research.

**Deadlines:**

New Research Projects: February 1, June 1, and October 1. Renewals: March 1, July 1, and November 1. Individual NRSA: April 5, August 5, and December 10. Institutional NRSA: January 10, May 10, and September 10. SBIR/STTR Applications: April 1, August 1, and December 1. SIP: Contact Headquarters Office.

**Range of Approval/Disapproval Time:**

Project Grants: About 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Renewal grants are competitively awarded.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

All awards are made for at least 1 year. Additional support may be available for up to 4 more years depending upon the recommendations of the scientific review group, the National Advisory Council for Human Genome Research, successful annual performance, and availability of funds. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Annual progress and financial status reports for continuing projects and final reports on all projects upon conclusion are required. Recipients of National Research Service Awards are required to file termination reports to ascertain compliance with the service and payback provisions.

**Audits:**

"In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0891-0-1-552.

**Obligations:**

(Research Grants) FY 07 est not available; FY 08 est not available; FY 09 est not reported.

**Range and Average of Financial Assistance:**

Research Project Grants: \$7,148 to \$9,587,489; \$610,048.

**PROGRAM ACCOMPLISHMENTS:**

NHGRI manages a broad-based research program directed towards the development of a resource, consisting of genetic maps, physical maps, and DNA sequence information of the human genome and the genomes of a number of other organisms, to be used in biomedical research, medicine, and biotechnology. A component of the program also addresses the ethical, legal, and social implications of the application of new genetics technology.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure and other miscellaneous program literature are available from Headquarters Office. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal



regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant applications.

**Regional or Local Office:**  
Not applicable.

**Headquarters Office:**

Program Contact: National Human Genome Research Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Program Contacts: Dr. Mark Guyer - Telephone: (301) 496-7531 or Dr. Bettie Graham - Telephone: (301) 496-7531. (301) 496-7531. Ethical, Legal, and Social Implications Program Contact: Ms. Elizabeth Thomson Telephone: (301) 402-4997. SBIR Contact: Dr. Bettie Graham. Telephone: (301) 496-7531. Grants Management Contact: Ms. Cheryl Chick, Grants Management Officer, National Human Genome Research Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 402-0733. Use the same numbers for FTS.

**Web Site Address:**  
<http://www.nih.gov>.

**RELATED PROGRAMS:**

93.862, Genetics and Developmental Biology Research and Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) "Implications of Haplotype Structure in the Human Genome"; (2) "Large Scale Sequence and Analysis of Genomes" (3) "Detecting Human Functional Sequences with Microarrays"; (4) "Microscale Instrument Development for Genomic Analysis"; (5) "Clinical Use of Research Genetic Tests in Arrhythmia"; and (6) "Cross-species Gene Finding and Annotation".

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; and (5) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget request for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### 93.173 RESEARCH RELATED TO DEAFNESS AND COMMUNICATION DISORDERS

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 464 A-F, and 487, as amended; 42 U.S.C. 241, 285m, 285m-3, and 288; Public Law 100-553; 102 Stat. 2769; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To investigate solutions to problems directly relevant to individuals with deafness or disorders of human communication in the areas of hearing, balance, smell, taste, voice, speech, and language. The National Institute on Deafness and Other Communication Disorders (NIDCD) supports research including investigation into the etiology, pathology, detection, treatment, and prevention of disorders of hearing and other communication processes, primarily through the support of basic and applied research in anatomy, audiology, biochemistry, bioengineering, epidemiology, genetics, immunology, microbiology, molecular biology, the neurosciences, otolaryngology, psychology, pharmacology, physiology, psychophysics, speech-language pathology, and other scientific

disciplines. The NIDCD supports: (1) Research into the evaluation of techniques and devices used in diagnosis, treatment, rehabilitation, and prevention of disorders of hearing and other communication processes; (2) research into prevention and early detection and diagnosis of hearing loss and speech, voice, and language disturbances and research into preventing the effects of such disorders on language and learning by means of appropriate referral and rehabilitation; (3) research into the detection, treatment, and prevention of disorders of hearing and other communication processes in the elderly population and its rehabilitation to ensure continued effective communication skills; and (4) research to expand knowledge of the effects of environmental agents that influence hearing or other communication processes. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project Grants and Centers Grants may be used to provide salaries, equipment, supplies, travel, and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes as stated in the application and award document. Some National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical and behavioral research areas. Other training grants are made to institutions to enable them to make NRSAs to individuals selected by them. Each postdoctoral individual who receives an NRSA may be obligated, upon termination of the award, to comply with certain service and payback provisions. Mentored and unmentored career development awards are made to enhance the independent research capability of highly promising individuals during the formative stages of their careers. Small Business Innovation Research (SBIR) Program: Phase I grants (of approximately 6 months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research efforts initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grant (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document.

**Applicant Eligibility:**

Project Grants and Centers Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for institutional National Research Service Awards. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research and/or research training environment and for significance of the problem. Approved proposals compete for available funds. Awardees of almost all Research Career Development Programs must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or Territories. To be eligible, postdoctoral NRSA trainees and fellows must have a professional or scientific doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program

relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, physicians, and other health and allied health professionals.

**Credentials/Documentation:**

Project Grants are awarded to an institution in the name of an individual investigator. Centers Grants are also awarded to an institution in the name of an investigator designated as the Program Director. Persons qualified to carry out research related to the NIDCD grant programs described above may apply for funds through their institution to support their investigations. Career Program training must be conducted under the direction of a competent sponsor. A candidate for a Career Award must have an earned M.D., Ph.D. or equivalent degree and have had prior postdoctoral training or research experience. National Research Service Awards: (1) Individual NRSA Fellowship Awards for predoctoral and postdoctoral training: The candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, design and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulation. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF 424 (R&R) is used to apply for SBIR Phase I and Phase II.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number can be obtained by calling (866) 705-5711 or through the web site at: <http://www.dunandbradstreet.com>. The NIH is converting to SF424 (R&R) Research and Related forms and electronic submission through Grants.gov for the submission of all grant applications. Visit <http://era.nih.gov/ElectronicReceipt> for information and updates on this new process and [www.nidcd.nih.gov/funding/foa](http://www.nidcd.nih.gov/funding/foa) to identify funding opportunity announcements relevant to NIDCD. Research Fellowships: Prior to formal application, a candidate must be accepted at an institution as a doctoral student or postdoctoral fellow and have a sponsor who will supervise the training. Fellows may be sponsored by a (domestic or foreign) nonprofit institution. Application forms and information concerning current areas being supported under the Research Fellowship Award Program should be obtained from the Office of Research Manpower, National Institutes of Health, Bethesda, MD 20892. Application forms for Individual or Institutional NRSA and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, and should be submitted to the same address. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments, and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page <http://www.nih.gov/grants/funding/sbir.htm>. For further assistance in all above areas, contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

**Award Procedure:**

Research Grant and Training Program applications are reviewed initially by technical panels composed of scientific authorities, and by the National Deafness and Other Communication Disorders Advisory Council composed of 18 leaders in medicine, science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

NIH has revised its standard receipt dates as follows. Applications for Requests for Applications (RFAs) and Program Announcements (PAs, PARs, PASSs) with special receipt dates continue to be due on the specified dates listed in the FOA. For an application to be considered on time it must be received by Grants.gov by 5 p.m. local time for the applicant institution. For more information and standard dates, see <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-07->

053.html.

**Range of Approval/Disapproval Time:**

Research Grants and Centers Grants: Approximately 6 to 9 months. Career Program: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months. Institutional Training Grants: From 10 to 12 months. Individual Fellowships: From 4 to 6 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/not97-232.htm>. Final decisions on unresolved appeals are made with the advice of the National Deafness and Other Communication Disorders Advisory Council.

**Renewals:**

By application and review in the same manner as new applications. Research career awards are not renewable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Research Grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Center Grant awards support may be for a period not to exceed 5 years. Career development awards provide support for up to 5 years. NRSA fellowship and traineeship awards are usually for a 12-month period, with recommendation of additional support of no more than 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years.

**Reports:**

Research Grants, Centers Grants, and Career Development Awards: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. A financial status report must be submitted within 90 days after the close of each project period for Research and Career Development Grants for which an award has been issued. NRSA Ruth L. Kirschstein Fellowships Awards and Institutional Training Grant Awards: Awardee submits annual progress report. Termination notice, Form PHS 416-7, must be submitted upon completion of training for each trainee. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A financial status report must be submitted within 90 days after the close of each budget period for Centers Grants and for Institutional Training Grants.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0890-0-1-552.

**Obligations:**

FY 07 est \$392,937,000; FY 08 est \$394,138,000; FY 09 est \$395,047,000.

**Range and Average of Financial Assistance:**

\$75,000 to \$1,750,000; \$313,000.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, 1,849 applications were submitted and 1,168 were funded. For fiscal year 2008, an estimated 1,904 applications are expected to be submitted and an estimated 1,149 are expected to be funded. For fiscal year 2009, an estimated 1,961 applications are expected to be submitted and an estimated 1,142 are expected to be funded. The Institute now supports a wide variety of basic and applied research studies concerning balance control, hearing, the senses of smell and taste, as well as speech, voice, and language. Encouraging progress has been made in each of these areas and is expected to continue. Clinical topics under investigation include vertigo; mild, moderate and profound hearing impairment; the design and efficacy of hearing aids and cochlear implants; aphasia; specific language impairment; disorders of taste and smell; stuttering, and voice disorders.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants and Centers Grants: 42 CFR 52 or 52a; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for

Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Dr. Judith A. Cooper, National Institute on Deafness and Other Communication Disorders, National Institutes of Health, Executive Plaza South, Room 400-C, Bethesda, MD 20892-7180. Telephone: (301) 496-5061. Grants Management Contact: Mr. Christopher Myers, National Institute on Deafness and Other Communication Disorders, National Institutes of Health, Executive Plaza South, Room 400-B, Bethesda, MD 20892; Telephone: (301) 402-0909.

**Web Site Address:**

<http://www.nidcd.nih.gov/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Spatial processing in auditory cortex; electrophysiology of olfactory discrimination; threshold determination with auditory brainstem response; molecular approaches for developmental and infectious aspects of hearing; encoding of vocal signals in the auditory system; taste transduction; physiology of the vestibular system; objective assessment of vocal hyperfunction; developmental trends of early childhood stuttering; structure and acquisition of American Sign Language; treatment for adult aphasia; and characterization of Specific Language Impairment.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; (5) the necessity of budget components requested in relation to the proposed project; (6) the relevance and importance to announced program objectives; (7) innovation; (8) risk to human subjects, including inclusion of minorities and children, and animal protection. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### 93.178 NURSING WORKFORCE DIVERSITY

(Disadvantaged Assistance)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 821, 42 U.S.C. 296m, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and scholarships, pre-entry preparation and retention activities. To support projects focused on creating registered nurses.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other

expenses related to the project. Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. Stipends are \$250 per month to eligible full-time project students. The maximum annual (12-month) amount for stipends is \$3000 per student. Scholarships are limited to a maximum of \$7,000 per student per year for upper division nursing students. The maximum amount that can be requested for scholarships in a grant is \$40,000 per year.

**Applicant Eligibility:**

Eligible applicants are schools of nursing, health care facilities, or a partnership of such a school and a health care facility, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. Schools of nursing must be accredited by the National League for Nursing Accrediting Commission, Inc. (NLNAC), the Commission on Collegiate Nursing Education (CCNE) or one of the State Agencies deem appropriate by the U.S. Department of Education to be eligible applicants.

**Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the third year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support.

**Reports:**

A Uniform Progress Report (UPR) and Comprehensive Performance Management System (CPMS) Report must be submitted annually. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$15,194,382; FY 08 \$15,210,512; and FY 09 est \$14,689,000.

**Range and Average of Financial Assistance:**



\$95,999 to \$416,335; \$281,251.

**PROGRAM ACCOMPLISHMENTS:**

Projects have assisted nursing schools and other organizations to meet the costs of recruitment and retention of students from disadvantaged backgrounds and facilitated their completion of nursing education programs. In FY07, 28 non-competing continuations and 23 new awards were issued. It is estimated that 41 non-competing continuations and 9 new awards will be issues in FY08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Lt. Aisha K. Mix, MSN, RN, CCM, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6193.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Nursing Workforce Diversity program supports projects focused on creating registered nurses. The program has three major purposes that applicants must address in their project: 1) retention activities (nursing students), 2) pre-entry preparation, and 3) student scholarships and/or stipends. Expected outcomes of these projects include increasing nursing education opportunities for individuals from disadvantaged backgrounds to improve the diversity of the nursing workforce, meet the increasing need for culturally sensitive and quality health care.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.181 PODIATRIC RESIDENCY TRAINING IN PRIMARY CARE**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Part C, Section 755, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To plan and implement projects in preventive and primary care training for podiatric physicians in approved or provisional residency programs that shall provide financial assistance in the form of traineeships to residents participating in such projects and who are planning to specialize in primary care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may not be used for new construction, patient services.

**Applicant Eligibility:**

Eligible entities are health professions schools, academic health centers, State or local governments or other appropriate public or private nonprofit entities including faith-based and community based organizations that conduct training in approved or provisional residency programs. To be eligible, the applicant shall propose a project which is collaborative among two or more disciplines.

**Beneficiary Eligibility:**

Eligible entities are health professions schools, academic health centers, State or local governments or other appropriate public or private nonprofit entities. To be eligible, the applicant shall propose a project which is collaborative among two or more disciplines. Non-profit entities, including faith-based organizations and community-based organizations, that meet other eligibility requirements are eligible to apply.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be

submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov . Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from Headquarters Office.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

None.

**Renewals:**

A Summary Progress Report must be submitted each year beginning with the second year of support. Competitive continuations may be submitted during the terminal year of support.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during approved budget period. Payment is made by an Electronic Transfer System or a Monthly Cash Request System. Approved competing renewal awards are expected to initiate training activities during the first year of the project period. New programs may utilize this first year for planning and development purposes, and commence training the second year of the project period. Each project period is a maximum of 36 months.

**Reports:**

A summary progress report must be submitted in the second and subsequent budget periods of an approved project period. A financial status report must be submitted within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR, Parts 74 and 92.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$205,291 to \$286,362; \$245,826.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Jerry Katzoff, Dental, Psychology and Special Projects Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9A-27, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4443. cmclaughlin@hrsa.gov .

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal consultant(s) for technical merit recommendation. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the application, and the respective factors delineated in the application.

**93.184 DISABILITIES PREVENTION**

(Disability and Health)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301(a) and Section 317, as amended, 42 U.S.C. 241(a); 42 U.S.C. 247(b).

**OBJECTIVES:**

To (1) Provide a national focus for the prevention of secondary conditions in persons within selected disability domains including mobility, personal care, communication, and learning; (2) build State capacity to coordinate program activities and assess the magnitude of disability in States; (3) employ epidemiological methods to set priorities and direct health promotion interventions for persons with disabilities; (4) conduct research projects to understand secondary conditions and measure the impact of the environment on the lives of persons with disabilities, and conduct studies on the effectiveness of interventions in targeted groups of persons with disabilities; (5) fund and support a national limb loss information center; (6) fund and support a national information center on physical activity for persons with disabilities; (7) fund and support a national paralysis and quality of life/health promotion information and resource center; and (8) fund and support a national spina bifida information and resource center.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

CDC issued continuation awards in fiscal year 2008 for 16 State disability and health cooperative agreements. Continuation awards for research project grants were awarded in fiscal year 2008. CDC issued competitive awards to four information/resource centers to address the prevention of secondary conditions and health promotion for persons with disabilities. State capacity cooperative agreements: These awards are providing financial assistance to: 1) Establish and/or sustain State offices of disability and health to promote the visibility of preventing secondary conditions as a State public health priority, and serve as a technical assistance resource and statewide focus for the prevention of secondary conditions; 2) support an advisory function to coordinate and provide policy and program direction guidance in the State; 3) develop and/or implement a State strategic plan or policy instrument for health promotion for persons with disabilities; 4) establish and implement university partnerships to support and complement State project activities; 5) maintain and refine prescribed public health surveillance or survey activities for disability domains of mobility, personal care, communications, and learning in order to implement prevention efforts and program evaluation activities; 6) provide technical assistance to communities; and 7) promote education and health promotion programs for persons with disabilities, conduct training of health professionals, and facilitate access to services for persons with disabilities. Research project grants: Financial assistance under this program is being used to: 1) Implement and evaluate programs to identify and quantify preventable secondary conditions within disability domains which include physical, medical, cognitive, emotional, and/or psychosocial conditions and their prevention; 2) determine the risk and protective factors in specified populations of persons who have a disability; 3) measure the effectiveness and costs of preventive interventions; and 4) develop measurements of the environment that can facilitate or hinder access to participation for persons with a disability. National Limb Loss Information Center: Financial assistance has been awarded to operate a national clearinghouse to provide educational materials and self-help guidance to persons with limb loss and limb difference their families, and develop a peer visitation training initiative for the conduct of education and training sessions in hospitals, rehabilitation facilities, and support groups. The National Center on Physical Activity and Disability provides multiple sources of information and references on a vast array of inquiries on exercise, fitness and health promotion activities. National Paralysis Resource Center: Financial assistance has been awarded to operate a national resource center for persons with paralysis, their families, and their caregivers. National Spina Bifida Information and Resource Center: Financial assistance has been awarded to expand local programs for those affected by spina bifida, seed research into spina bifida, and expand information

resources. In these cases, project funds may not be used to supplant State, local, or institutional funds available for these activities, or for construction costs, or to purchase facilities or space. Grantees may enter into contracts as necessary to help achieve the objectives of their respective programs.

**Applicant Eligibility:**

Based on available funding for fiscal year 2008, CDC issued a continuation awards for 16 State projects. Eligibility for the programs in the future are State health departments or other official organizational authority (agency or instrumentality) of States, including the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States. Also, four national information centers on limb loss, physical activity, paralysis, and spina bifida were funded. Eligible applicants for competing applications in fiscal year 2008 included public and private nonprofit entities, including universities, university-affiliated systems, not-for-profit medical centers, research institutions and rehabilitation hospitals, disability service groups such as advocacy and voluntary organizations and independent living centers, and federally recognized Indian Tribal Governments. For the limb loss information center, the physical activity, paralysis and spina bifida resource center projects; new applications were solicited for these programs in FY 2008. New competitive applications were solicited from States in FY 2007.

**Beneficiary Eligibility:**

In addition to the eligible applicants, other groups who will receive benefits from the program include persons with disabilities and family members of persons with disabilities, persons with limb loss, minority populations, refugees, infants, children, youth, adults, senior citizens, women, all educational levels, all income levels, urban, suburban, and rural populations, health/ rehabilitation professionals, scientists, educators, and researchers.

**Credentials/Documentation:**

State disability and health applicants documented in their fiscal year 2007 competitive applications the need for assistance, indicated the objectives of their projects, presented their approaches to meet set objectives, and outlined the method of operation. Current information centers requested continuation funding to meet original protocols and objectives. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized Indian Tribal Governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulation 45 CFR 74.

**Preapplication Coordination:**

As new competitive funding becomes available for this program, preapplication coordination will not be required. However applicants will be encouraged to submit a non-binding letter of intent 30 days before the deadline date. State capacity projects are subject to E.O. 12372, "Intergovernmental Review of Federal Programs." Applicants should consult the office or officials designated as the single point of contact in their State for more information on the process the State requires in applying for financial assistance, if the State has selected the program for review. Research grant projects applicants in future years will not be subject to E.O. 12372.

**Application Procedure:**

To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. This program is subject to the provisions set forth in 45 CFR 92, for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

State disability and health cooperative agreement competitive awards are determined by an internal objective committee review process at CDC. Research project grant competitive awards are determined by an external peer review. At such times, awards will be based on evaluation criteria set forth in the respective Program Announcements, the availability of funds, and such other significant factors as deemed necessary and appropriate by CDC. Awards for State disability and health projects will be issued for expected project periods of 5 years. Future awards for Research project grants are not expected to be issued until fiscal year 2009 given the funding cycles for those projects. The Notices of Grant Award will indicate financial support for the first budget year, allocations of Federal funds by budget category, and special conditions, if any.

**Deadlines:**

Contact the Headquarters Office for application deadline information.

**Range of Approval/Disapproval Time:**

Between 60 to 95 days from the deadline date for submission of applications.

**Appeals:**

None.

**Renewals:**

A new competition for State awards was conducted in February 2007. Competition for new or additional State projects will be based on future appropriations. The current research project grants will conclude their respective project periods during the period in September 2009. New Research grants are expected to be announced in September 2009. The National Limb Loss

Information Center, the National Center on Physical Activity and Disability, the National Paralysis Resource Center, and the National Spina Bifida Information and Resource Center received non-competing continuation funding in fiscal year 2008.

**Formula and Matching Requirements:**

These programs have no statutory matching requirements, however applicants are encouraged to assume a portion of project costs and document such support.

**Length and Time Phasing of Assistance:**

Sixteen State disability and health projects received financial assistance in fiscal year 2007 for five year project periods. The competitive research grants funded in fiscal year 2006 had three year project periods. Other future solicitations (when announced) will indicate the length of the project periods and program requirements for each of these programs.

**Reports:**

Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Continuation applications for subsequent budget year financial assistance within these project periods will be submitted by these projects. Non-competing continuation applications will include a progress/performance narrative which outline program accomplishments and operations for that earlier budget period, an upcoming budget year work plan with a detailed narrative and budget justifying the new financial request.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

State capacity projects: FY 07 \$4,606,616; FY 08 \$5,209,769; and FY 09 est \$5,209,769. Research Projects: FY 07 \$2,922,620; FY 08 \$2,922,620; and FY 09 est \$2,922,620. National Limb Loss Information Center: FY 07 \$1,650,000; FY 08 \$1,650,000; and FY 09 est \$1,650,000. National Center on Physical Activity and Disability: FY 07 \$800,000; FY 08 \$800,000; and FY 09 est \$950,000. National Paralysis Resource Center: FY 07 \$5,500,000; FY 08 \$5,508,084; and FY 09 est \$5,479,271. National Spina Bifida Resource Center: FY 07 \$1,250,000; FY 08 \$1,250,000; and FY 09 est \$1,250,000.

**Range and Average of Financial Assistance:**

The competitive awards using fiscal year 2008 funds for the 6 State capacity projects ranged from \$250,000 to \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2001, CDC supported 14 State projects, 12 research grants, and 3 national information centers as noted below. For fiscal year 2007, CDC is now funding 16 States under a 5 year project periods. These 16 States and the new research projects funded in fiscal year 2006 will emphasize the prevention of secondary conditions and health promotion for persons with disabilities and assessing environmental barriers and facilitators to access community programs and services for people with disabilities. The national limb loss information center, the national center on physical activity and disability, the national paralysis resource center, and the national spina bifida information and resource center are providing information and referral regarding these issues. The State projects are expanding program visibility and prominence by building their emphasis on disability and health. This is being accomplished through strategic plans addressing Healthy People 2010 objectives, advisory council and advocacy input, policy development, university and voluntary organization partnerships, data access and analysis, client preventive services and access to care, surveys for determining physical limitations among the population, professional and public education, and the inclusion of program evaluation measures. For fiscal year 2008, the Research grantees will continue to implement their respective protocols and studies. In fiscal year 2008, the currently funded National Limb Loss Information Center, National Center on Physical Activity and Disability, National Paralysis Resource Center, and the National Spina Bifida Information and Resource Center will continue expansion of their outreach and response capacity to directly support and refer identified needs of persons, providers, and organizations inquiring about these issues of concern. It is expected that all Research grants will be subject to re-competition in fiscal year 2009 based on the availability of funds. The number of such awards will be dependent on that appropriation process.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Sandee Coulberson, Public Health Analyst, Division of Human Development and Disability, National Center on Birth Defects and Developmental Disabilities, Centers for Disease Control and Prevention (CDC), 1600 Clifton Road, NE, Mailstop E88, Atlanta, Georgia 30333. Telephone: (404) 498-3058. Grants Management Contact: Ms. Tracey Sims, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention (CDC), 2920 Brandywine Road, Atlanta, GA 30341; Telephone: (770) 488-2739.

**Web Site Address:**

<http://www.cdc.gov> .

**RELATED PROGRAMS:**

10.551, Supplemental Nutrition Assistance Program; 64.109, Veterans Compensation for Service-Connected Disability; 64.116, Vocational Rehabilitation for Disabled Veterans; 93.135, Centers for Research and Demonstration for Health Promotion and Disease Prevention; 93.136, Injury Prevention and Control Research and State and Community Based Programs; 93.667, Social Services Block Grant; 93.988, Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems; 96.001, Social Security\_Disability Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

The majority of awards for State capacity projects in the past have been made to State health departments and universities with State collaboration to develop a statewide focus for the prevention of secondary disabilities and health promotion for persons with disabilities within a structured State office, to establish an advisory body to guide the development of planning and make recommendations to fill gaps in prevention, to establish and build partnerships with universities and advocacy/ voluntary organizations for public health surveillance and health promotion delivery programs for persons with disabilities, and to conduct surveillance and implement community projects in the targeted disability domains. Research grantees have accessed data and service programs to identify persons with disabilities, conducted surveillance, and implemented studies and interventions designed to prevent selected or a range of secondary conditions related to cost effectiveness, measurement of participation in the environment of persons with disabilities, women, minorities, and adolescents and older citizens with disabilities. Current Research grantees include universities and rehabilitation hospitals. The National Limb Loss Information Center has worked to build, expand, and utilize a national network for providing information, referral, and peer counseling programs for persons with limb loss. The National Center on Physical Activity and Disability is based at a major research university with key collaborating partners in rehabilitation, education, web site development and linkages, library capacity, and physical accessibility. The National Paralysis Resource Center is developing a comprehensive program to address a wide range of service and referral systems. The National Spina Bifida Information and Resource Center is developing and evaluating education materials and implementing a pilot program to support junior researchers with developing competitive research proposals.

**CRITERIA FOR SELECTING PROPOSALS:**

There was a recent competition for State awards in February 2007. New Research projects will be awarded in September 2009. In these cases, applications are reviewed based on evaluation criteria explicit in the respective Program Announcements. Applications must address demonstrated program need, the magnitude of the problem, the management work plan, collaborative associations, and the approach toward setting and meeting overall project objectives and time frames. These future competitive applications would also be evaluated on the capacity of the applicant to demonstrate effective collaborations with other agencies and data sources critical to preventing secondary conditions, identifying and addressing health promotion needs for persons with disabilities, denoting the capability of the project to address minority and low-income populations in the prevention of secondary conditions, promoting accessibility to all program services for persons with disabilities, and offering sound proposals toward development of surveys and surveillance for useful data bases within outlined targeted disability activities.

**93.185 IMMUNIZATION RESEARCH, DEMONSTRATION, PUBLIC INFORMATION AND EDUCATION-TRAINING AND CLINICAL SKILLS IMPROVEMENT PROJECTS**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 317(k), 42 U.S.C. 247b(k)(3), as amended.

**OBJECTIVES:**

To assist States, political subdivisions of States, and other public and private nonprofit entities to conduct research, demonstration projects, and provide



public information on vaccine-preventable diseases and conditions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project funds may be used for the costs associated with organizing and conducting these projects, and in certain circumstances, for purchasing vaccine. Requests for direct assistance (i.e., "in lieu of cash") for personnel, vaccines, and other forms of direct assistance will be considered. Funds may not be used to supplant existing immunization program activities.

**Applicant Eligibility:**

Under Section 317(k) of the Public Health Service Act: States, political subdivisions of States, and other public and private nonprofit entities.

**Beneficiary Eligibility:**

Under Section 317(k) of the Public Health Service Act: States, political subdivisions of States, and other public and private nonprofit entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q.

**Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to Executive Order 12372. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCIPC in accordance with the review criteria. As part of the initial merit review, all applications may: (1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; (2) receive a written critique; and (3) receive a second level review by the Science and Program Review Subcommittee (SPRS) of the Advisory Committee for Injury Prevention and Control (ACIPC). Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact Headquarters Office for application deadline.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

Not applicable.

**Renewals:**

Project periods are for one to five years with 12-month renewals. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716.

**Formula and Matching Requirements:**

There are no statutory or matching cost requirements.

**Length and Time Phasing of Assistance:**

Project period: Variable. Budget period: For 12 months.

**Reports:**

Subject to OMB clearance, quarterly narrative progress reports (including appropriate statistical data) are required 30 days after the end of each quarter. Narratives should address progress or lack of progress in achieving project objectives, including methods being used to resolve problems. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

"In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133."

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$10,008,216; FY 08 \$9,118,317; and FY 09 est \$9,000,000.

**Range and Average of Financial Assistance:**

\$5,000 to \$500,000; \$185,000.

**PROGRAM ACCOMPLISHMENTS:**

Various projects were implemented to evaluate methods of improving immunization levels. These projects included working with traditional and nontraditional partners, including national minority organizations, universities, and health officials of various political subdivisions. Research projects were funded to determine the occurrence and scientific basis for infrequent adverse events following vaccination.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Mr. Michael Detmer, Management Officer, National Center for Immunization and Respiratory Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E-05, Atlanta, GA 30333. Telephone: (404) 639-8900. Fax: (404) 639-8626. E-mail: [MMD4@cdc.gov](mailto:MMD4@cdc.gov). Grants Management Contact: Sharron Orum, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 3618, Atlanta, GA 30341. Telephone: (770) 488-2716.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.217, Family Planning\_Services; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.268, Immunization Grants; 93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

Columbia University, Emory University, Vanderbilt University, University of Rochester, and the American Academy of Pediatrics.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) The extent of the problem; (2) the establishment of specific and measurable objectives to address the problem; and (3) the development of a sound operational plan which will ensure the implementation of each program element.

**93.186 NATIONAL RESEARCH SERVICE AWARD IN PRIMARY CARE MEDICINE**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487(d)(3), as amended; National Institutes of Health Revitalization Act of 1993, Public Law 103-43.

**OBJECTIVES:**

To promote postdoctoral research training programs in primary care.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

National Research Services Awards (NRSA) in Primary Care are made to approved institutions to enable them to provide up to three years of NRSA fellowship support to qualified postdoctoral individuals undertaking research training in primary care. Each NRSA trainee is obligated to comply with Federal service and payback provisions. Trainees in the first 12 months of postdoctoral support incur one month of service payback obligation for each month of support. Postdoctoral trainees in the 13th and subsequent months of NRSA support do not incur any further service obligation. Furthermore, the 13th and subsequent months of postdoctoral training serve to discharge the NRSA

payback obligation.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. Applicant institution must be an entity that trains primary care providers in medicine or dentistry and has received federal support as evidenced by receipt of a grant under Title VII, section 747 grant of the Public Health Service Act, designed to prepare the primary care health workforce. State or local governments and U.S. Territories are eligible. For profit organizations are not eligible. All persons supported as fellows or trainees must be citizens or non-citizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories, who have received grants or contracts under Sections 747, 748 or 749 of the Public Health Service Act, are the beneficiaries of this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. HRSA considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a formal award notice is issued. Before receiving support, all individual fellows and institutional trainees must submit required forms, including a statement of appointment and a payback agreement.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 5 to 6 months from receipt of application.

**Appeals:**

None.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

No individual trainee may receive more than 3 years of aggregate National Research Service Award support at the post-doctoral level, including any combination of support from institutional and individual awards. Institutional training grants may be awarded for project periods up to 3 years. Awards are made on an annual basis and it is expected that expenditures will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with the Department of Health and Human Services (DHHS), which may be the Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

A final progress report is required 90 days after the end of the project period. Annual progress reports, financial status reports, and final financial status reports are required for National Research Service Awards in Primary Care. Annual financial status reports must be submitted within 90 days after the close of each budget period and the end of the project period. Annual submission of Public Health Service forms certifying service payback activities are required of all NRSA fellows.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$7,713,000; FY 08 est \$7,434,200; and FY 09 est \$7,500,000.

**Range and Average of Financial Assistance:**

(FY 07) \$190,119 to \$834,018; \$405,947.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 19 non-competitive continuation awards were made. For FY 08, 20-25 competitive awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

John R. Kress, Public Health Advisor, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 8C-09, Rockville, MD 20857. Telephone: 301-443-6864.

**Headquarters Office:**

Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.225, National Research Service Awards\_Health Services Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

Training pediatricians, family physicians, general internists, and other doctorally trained health professionals to conduct research on the practice conditions encountered by primary care providers.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessment of: (1) history of performance of preceptors and trainees; (2) primary care research focus; and (3) trainee recruitment and retention.

**93.187 UNDERGRADUATE SCHOLARSHIP PROGRAM FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS**

(NIH Undergraduate Scholarship Program; UGSP)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487D, as amended, Public Law 103-43; 42 U.S.C. 288-4.

**OBJECTIVES:**

To provide service-conditioned scholarships to individuals from disadvantaged backgrounds who agree to pursue undergraduate education at accredited institutions. Individuals must pursue a course of academic study which prepares them for professions needed by the National Institutes of Health (NIH). NIH expects to facilitate interest of these individuals in pursuing careers in the biomedical/biobehavioral sciences at the NIH.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program will provide scholarships to individuals who are enrolled or accepted for enrollment as full-time students at an accredited undergraduate institution of higher education and who are from disadvantaged backgrounds. Each recipient must agree by written contract to serve as an NIH employee full-time for not less than 10 consecutive weeks of each year during which the individual is attending the undergraduate institution and receiving a scholarship; and, not later than 60 days after obtaining the educational degree, each recipient must begin serving as a full-time NIH employee for one year for each year of NIH scholarship support (a deferment of the service obligation may be obtained if the Director, NIH, determines that such is appropriate). Applicants must submit a proposed academic program for each academic year and agree that this program will not be altered without prior approval. The applicant must be in good academic (maintain a minimum GPA of 3.5) standing with their educational institution for continuation under the scholarship program.

Maximum scholarship per academic year is \$20,000. Scholarship funds may only be used for tuition expenses and qualified educational and living expenses incurred while attending school.

**Applicant Eligibility:**

An eligible applicant must be (1) A U.S. citizen, national, or permanent resident; (2) enrolled or accepted for enrollment as a full-time student at an accredited undergraduate institution (4 year school) of higher education; (3) from a disadvantaged background as determined by the Secretary of Health and Human Services; (4) in good academic standing (minimum GPA of 3.5 or be in the top 5 percent) with his/her educational institution; and (5) submit an application to participate in the Undergraduate Scholarship (UGS) Program; (6) agree to serve as a full-time NIH employee for not less than 10 consecutive weeks of each year during which the individual is attending the educational institution and receiving a scholarship; (7) agree to serve as a full-time NIH employee for 12 months for each academic year during which the scholarship was provided, not later than 60 days after obtaining his or her academic degree, unless a service deferment is granted.

**Beneficiary Eligibility:**

Undergraduate students from disadvantaged backgrounds pursuing academic programs supporting professions needed by the NIH.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Verification of enrollment or acceptance to an accredited institution of higher education (4 year school); (2) a proposed academic program for the school year; (3) certification from the academic institution that the applicant is in good academic standing (minimum GPA of 3.5, or be in the top 5 percent); (4) certification from the academic institution that the applicant qualifies for participation in an educational assistance program for individuals from disadvantaged backgrounds as defined by the Secretary of Health and Human Services; and (5) other documentation as may be required by law, statute, or regulation.

**Preapplication Coordination:**

Students must be given a fair summary of the rights and liabilities of applicants prior to application. This summary is included in the application packet. Applications are available directly from the program up to 20 weeks before the application deadline. This program is excluded from coverage under E.O. 12372. Applicants should request an application package from the NIH's Intramural Loan Repayment Scholarship Programs, 2 Center Drive, Room 2E24, Bethesda, MD 20892-0230. Telephone: (888)352-3001. Facsimile: (301) 480-3123.

**Application Procedure:**

Application, a signed contract, and other required information (as listed in the application packet) are submitted to the Program office. Once an application package is received by the administering Program Office, preliminary eligibility will be determined and highly qualified applicants will be interviewed. Final determination of awards will be made upon review by the Undergraduate Scholarship Program Committee at a regularly scheduled meeting.

**Award Procedure:**

Priority will be given to applicants who are prior recipients. The NIH Undergraduate Scholarship Program Committee will review, rank, and approve or disapprove applications submitted for program participation. Criteria which determine competitive ranking for awards may include: (1) career goal in biomedical/biobehavioral research; (2) academic performance; and (3) letters of recommendation. A student's financial need alone does not affect selection. Applicants approved for award will be notified by the Program Director. The Secretary, and his/her designee will sign the service contract of approved applicants, provide a copy to the participant and under graduate institution notice of approved award amount. Scholarship payments, including room and board, books, fees and transportation are made to the college or university for dispersal.

**Deadlines:**

Contact the Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 3 months.

**Appeals:**

None.

**Renewals:**

Annual renewal applications are required to extend the award. Extensions of the scholarship award are subject to availability of funds, acceptable academic and laboratory performance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Each award covers 1 calendar year, and may be extended for an additional 3 years, for a maximum of 4 years. No awardee may receive more than 4 years of support.

**Reports:**

Annual reports by schools indicating average student educational expenses and academic status of students.

**Audits:**

None.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Scholarships, Salaries and Benefits) FY 07 \$790,000; FY 08 est \$1,484,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Dollar assistance per scholar ranges from \$1,714 to \$20,000 per year. Average annual dollar assistance per scholar is estimated to be \$12,000.

**PROGRAM ACCOMPLISHMENTS:**

Thirteen awards were made in fiscal year 2007. NIH projects that 20 awards will be made in fiscal year 2008 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; and Section 487D of Public Health Services Act (42 U.S.C. 288-4).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Darryl M. Murray, Ph.D., Undergraduate Scholarship Program, Office of Intramural Research, National Institutes of Health, 2 Center Drive, Room 2E24, Bethesda, MD 20892-0230. Telephone: (888)352-3001. Facsimile: (301) 480-3123. Email: [ugsp@nih.gov](mailto:ugsp@nih.gov).

**Web Site Address:**

<http://ugsp.info.nih.gov>.

**RELATED PROGRAMS:**

93.288, National Health Service Corps Scholarship Program; 93.972, Health Professions Scholarship Program.

**EXAMPLES OF FUNDED PROJECTS:**

Funded undergraduate students majoring in the following disciplines: Biochemistry, Biology, Chemistry, Computer Science, Microbiology, Neurobiology, Neuroscience, and Pharmacology.

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Undergraduate Scholarship Program Committee will review, rank, and approve or disapprove applications based on career goals and academic performance. Priority will be given to applicants who have demonstrated good academic performance, demonstrated a career goal to pursue biomedical/biobehavioral research, and have characteristics which support the likelihood they will complete their service obligations.

## 93.189 HEALTH EDUCATION AND TRAINING CENTERS

(HETC)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Part C, Section 752, 42 U.S.C. 294b, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To provide assistance for establishing, maintaining, and operating Health Education and Training Centers (HETCs) that: (1) address the persistent and severe unmet health care needs in States along the border between the United States and Mexico and in the State of Florida, and in other urban and rural areas with populations with serious unmet health care needs; (2) establish an advisory board comprised of health service providers, educators and consumers from the service area; (3) conduct training and education programs for health professions students these areas; (4) conduct training in health education services, including training to prepare community health workers; and (5) support health professionals (including nursing) practicing in the area through educational and other services. Applicants shall collaborate with 2 or more disciplines, e.g., medicine, dentistry, nursing, advanced practice nursing, physicians assistant, mental health, public health, pharmacy, physical therapist, social work, allied health, community health worker; enter into contracts and agreements with entities with expertise in providing public health and health education services to the public; and coordinate activities and programs with similar activities and programs carried out in the target communities and minority, disadvantaged, and/or underserved populations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are to assist in meeting costs of the program which cannot be met from other sources. Not less than 75 percent of the total funds provided to a school or schools of allopathic medicine or osteopathic medicine or nursing will be expended in the development and operation of the health education and training center in the service area of such program; to the maximum extent feasible, the



schools of medicine or nursing will obtain from nongovernmental sources the amount of the total operating funds for such program which are not provided by the Secretary; no grant or contract shall provide funds solely for the planning or development of a health education and training center program for a period in excess of 2 years; not more than 10 percent of the annual budget of each program may be utilized for the renovation and equipping of clinical teaching sites; and no grant or contract shall provide funds to be used outside the United States, except as the Secretary may prescribe for travel and communications purposes related to the conduct of a border health education and training center.

**Applicant Eligibility:**

Accredited schools of allopathic or osteopathic medicine, or the parent institution on behalf of such schools, or a consortium of such schools. In States in which no area health education centers program is in operation, an accredited school of nursing is also an eligible applicant.

**Beneficiary Eligibility:**

Same as applicant eligibility above.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are generally solicited by a program announcement in the HRSA Preview. Applications and required forms for this program can be obtained from the HRSA Application Center, The Legin Group, Inc. 910 Clopper Road, Suite 155 South, Gaithersburg, MD 20878 Telephone: (877) 477-2123, Email: [HRSA\\_GAC@hrsa.gov](mailto:HRSA_GAC@hrsa.gov) or by visiting [www.hrsa.gov/grant](http://www.hrsa.gov/grant). Application information may also be found by visiting [www.grants.gov](http://www.grants.gov). All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 3 to 4 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competing continuation applications may be submitted during the final budget period of the approved project.

**Formula and Matching Requirements:**

Fifty percent of the appropriated funds each year must be made available for approved applications for border HETCs. The amount allocated for each approved application for a border HETC shall be determined in accordance with a formula which is based on data relative to: (1) The low-income population, in 233 counties and the 67 counties of Florida; (2) the percent change in population of those counties; (3) need for primary care physicians; and (4) infant mortality rate for each county.

**Length and Time Phasing of Assistance:**

The first project period will be up to 3 years to allow for the development of the health education and training centers. However, no Federal funds will be used solely for the planning or development of a program period after the first project period which will be a maximum of 3 years.

**Reports:**

A Uniform Progress Report (UPR) and a Comprehensive Performance Management System (CPMS) report must be submitted annually and can be submitted electronically. The grantee report web site is <http://bhpr.hrsa.gov/grants/reports.htm>. A Financial Status Report must be submitted within 90 days after the end of each budget period. A final progress report and Financial Status Report must be submitted within 90 days after the end of the budget period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year

period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR, Parts 74 and 92.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

FY 05, Border HETCs: \$100,000 to \$556,010; \$355,462. Non-Border HETCs: \$239,508 to \$326,615; \$296,069.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Louis D. Coccodrilli, M.P.H., Chief, or Susan Goodman, D.D.S., Dental Officer, AHEC Branch, Division of State, Community and Public Health, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6950.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants cover planning and implementation strategies on statewide, regional and local levels, including training programs serving Hispanics and other minority/underserved populations in Florida and United States-Mexico border areas, and in other underserved, rural and inner-city communities. Trainees include physicians, nurses, allied health personnel, public health personnel, community health workers and others. Descriptions of funded programs are available at <http://bhpr.hrsa.gov/interdisciplinary/03abstracts/hetc.htm>.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are initially reviewed by nonfederal consultants whose recommendations are considered by the Secretary. The Secretary will approve projects which best promote the purposes of the HETC Program, section 752(a) of the PHS Act, as amended. In the determining the funding of applications, consideration is given to: (1) NEED How the program will fill or address the identified workforce gaps; the description of the present project, describing the persistent and unmet health care needs that the project is addressing along the border between the United States and Mexico, in the state of Florida, or in other urban and rural areas with population with serious unmet health care needs; how the educational program will improve the capacity of the health workforce; how the proposal will effect the state's, border or region's health education and training efforts; the extent to which the program identifies specific professions proposed to be trained; evidence of an enrollee/program trainee pool, which may include underrepresented minorities/disadvantaged; how the program addresses the health disparities of the population in the service area(s); and how the project identifies the counties composing the geographical area; (2) RESPONSE Specifies measurable outcome objectives which are attainable within the stated time frame; the degree to which the number of trainees estimated to be trained by discipline is reasonable; a description of the proposed training locations and sites; the extent to which the sites are in medically underserved areas; the potential of the applicant to demonstrate flexibility to respond to emerging issues and/or needs relevant to the communities and populations served; the proposal clearly describes and outlines the activities to carry out each objective within the stated time frame; the degree to which the applicant describes a comprehensive coordinated multidisciplinary approach to training of health professionals; and provides letters describing established and proposed linkages and collaborative efforts from individuals, partners, or other entities; (3) EVALUATIVE MEASURES Strength of the applicant's plans for evaluation of the program including identified project outcomes; describes the methods and techniques that will be used to measure the outcomes of each objective; specifies what data will be collected, the method for collection and the manner in which data will be analyzed and reported; describes the responsibilities of key personnel and the amount of time and effort required to perform the evaluation activities; provides a realistic and attainable timeline; and potential effectiveness as evidenced by the outcomes objectives and activities in relationship to the needs of the professions or populations to be trained; (4) IMPACT A plan for dissemination of information and results of the project; the potential of the applicant to meet the proposed goals and objectives; the number of students proposed to be trained; the number of health care providers proposed to be trained; the number of community health workers proposed to be trained; and Data reported

distribution, diversity and quality; (5) RESOURCES/CAPABILITIES Bio-sketches of key personnel; key personnel's capacity to conduct the stated program activities; coherent and reasonable Staffing Plan for the program's stated objectives; A demonstrated ability to coordinate complex programs; location of facilities for the proposed activities is reasonable and appears to be adequate to support the needs of the objectives; the extent of institutional support letters of support from host institution(s) are included; and the coordination and partnering necessary for community involvement and positive trainee experiences; and (6) SUPPORT REQUESTED The reasonableness of the proposed budget in relation to the objectives, the complexity of the activities, and the anticipated results; effective use of funds and resources to carry out the project; potential of proposed HETC program and participating center(s) to continue on a self sustaining basis; a reasonable budget aligned with the objectives and the scope of the project; and specific information that describes the extent and means by which the project plans to become self-sufficient including other sources of income, the nature of income, future funding initiatives and strategies.

### 93.191 ALLIED HEALTH SPECIAL PROJECTS

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 755, 42 U.S.C. 294e, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Grants are awarded to meet the costs of projects to plan, develop, operate, or maintain graduate psychology education programs in behavioral and mental health to train graduate psychologists to work with underserved populations. These programs are expected to foster an integrated approach to health care services and address access for underserved populations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for predoctoral and postdoctoral stipend support of students. Funds may not be used for student tuition or fees or for direct health care service delivery.

**Applicant Eligibility:**

Eligible entities are accredited health profession schools, university, and other public or private nonprofit entities, including faith-based organizations and community-based organizations. Only applicants whose training program is accredited by the American Psychological Association (APA) and who provide such documentation can be funded. The eligible entity must demonstrate that the training within an accredited psychology training program will occur in collaboration with one or more disciplines other than psychology. Disciplines include, but are not limited to, family medicine, general internal medicine, and pediatrics. Funding is available for accredited doctoral programs, internships, and post-doctoral training programs.

**Beneficiary Eligibility:**

Public or private nonprofit schools, universities, or other educational entities which provide for graduate psychology education and training or other public or private nonprofit entities capable, as determined by the Secretary, of carrying out the objectives of the project.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three years of support.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years.

**Reports:**

A uniform summary progress report must be submitted annually. Financial status reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,802,071; FY 08 \$1,850,754; and FY 09 est \$1,875,000.

**Range and Average of Financial Assistance:**

\$70,000 to \$184,000; \$90,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 18 new awards were made. In FY 2008, 18 continuation awards were made. It is anticipated that 18 continuation awards will be made in FY 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Jeryllyn K. Glass, M.D., Ph.D., Program Officer, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Room 9A-21, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-7271, and E-mail: [jglass@hrsa.gov](mailto:jglass@hrsa.gov).

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include interdisciplinary training for graduate psychology students in settings where psychologists are part of a team of primary health care practitioners. Training opportunities are varied but focus on learning how to provide behavioral and mental health services to underserved populations. Some examples of at-risk populations have included individuals who are disadvantaged, elderly, abused, homeless, or disabled.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need: the extent to which application describes the problem and associated contributing factors to the problem; (2) Response: the extent to which the proposed project responds to the "Purpose" included in the program description; the clarity of the proposed goals and objectives and their relationship to the identified project; the extent to which the activities (scientific or other) described in the application are capable of addressing the problem and attaining the project objectives; (3) Evaluative Measures: the effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent the program objectives have been met and; to what extent these can be attributed to the project; (4) Impact: the extent and effectiveness of plans for dissemination of project results and/or; the extent to which project results may be national in scope and/or the degree to which a community is impacted by delivery of health services, and/or the degree to which the project activities are replicable and/or the sustainability of the program beyond Federal funding; (5) Resources/Capabilities: the extent to which project personnel are qualified by training and/or experience to implement and carry out the project; the capabilities of the applicant organization, and quality

and availability of facilities and personnel to fulfill the needs and requirements of the proposed project; and for competing continuations grant, past performance will be considered; (6) Support Requested: the reasonableness of the proposed budget in relation to the objectives, the complexity of the activities, and the anticipated results. In making awards of grants under this section, preference will be given to any qualified applicant that (A) has a high rate for placing graduates in practice settings having the principal focus of serving residents of medically underserved communities; or (B) during the 2-year period preceding the fiscal year for which such an award is sought, has achieved a significant increase in the rate of placing graduates in such settings. Applicants should review the HRSA Guidance documents issued under this CFDA program for preference requirements. Preference will also be given to any qualified applicant that meets four (4) or more of the following seven (7) new program criteria: (1) The mission statement of the program identifies a specific purpose of preparing health professionals to serve underserved populations; (2) The curriculum includes content that will help to prepare practitioners to serve underserved populations; (3) Substantial clinical training experience is required in medically underserved communities; (4) A minimum of twenty (20) percent of the faculty spend at least fifty (50) percent of their time providing/supervising care in medically underserved communities; (5) The entire program or a substantial portion of the program, (i.e., the primary, ambulatory education training sites) is physically located in a medically underserved community; (6) Student assistance, which is linked to service in medically underserved communities following graduation, is available to the students in the program; (7) The program provides a placement mechanism for deploying graduates to medically underserved communities. Preference will be given only for applications ranked above the 20th percentile of applications that have been recommended for approval by the appropriate peer review group. Based on Presidential Executive Orders 12876, 12900, 13021, and 13125, a funding priority will be given to approved applicants who devote significant resources to provide community-based training experiences designed to improve access to health care services in underserved areas; these applicants include Asian-American and Pacific Islander Serving Institutions, Hispanic Serving Institutions, Historically Black Colleges and Universities, Tribal Colleges and Universities serving American Indians and Alaska Natives, or an institution that collaborates with one or more of the above listed institutions.

### 93.192 QUENTIN N. BURDICK PROGRAM FOR RURAL INTERDISCIPLINARY TRAINING

(Interdisciplinary Training for Health Care for Rural Areas)

#### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Public Health Service Act, Title VII, Section 754, 42 U.S.C. 294p, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

#### OBJECTIVES:

The goal of this program is to provide or improve access to health care in rural areas. Specifically, projects funded under this authority shall be designed to: (a) Use new and innovative methods to train health care practitioners to provide services in rural areas; (b) demonstrate and evaluate innovative interdisciplinary methods and models designed to provide access to cost-effective comprehensive health care; (c) deliver health care services to individuals residing in rural areas; (d) enhance the amount of relevant research conducted concerning health care issues in rural areas; and (e) increase the recruitment and retention of health care practitioners from rural areas and make rural practice a more attractive career choice for health care practitioners.

#### TYPES OF ASSISTANCE:

Project Grants.

#### USES AND USE RESTRICTIONS:

Grant funds are awarded to eligible applicants to carry out their interdisciplinary training projects using various methods, including student stipends, post-doctoral fellowships, faculty training, and the purchase or rental of transportation and telecommunication equipment where appropriate to the rural area.

#### Applicant Eligibility:

Applications will be accepted from health professions schools, academic health centers, State or local governments, Indian Tribes or Tribal organizations, or other appropriate public or private nonprofit entities, including faith-based organizations and community-based organizations. Applications must be jointly submitted by at least two eligible entities with the express purpose of assisting individuals in academic institutions in establishing long-term collaborative relationships with health care providers in rural areas. Applicants must designate a rural health care agency or agencies for clinical treatment or training including hospitals, community health centers, migrant health centers, rural health clinics, community behavioral and mental health centers, long-term care facilities, Native Hawaiian health centers or facilities operated by the Indian Health

Service or an Indian Tribe organization or Indian organization under a contract with the Indian Health Service under the Indian Self Determination Act.

#### Beneficiary Eligibility:

The beneficiaries of this program are health professions students and faculty, health care practitioners already working in rural areas, and underserved rural communities seeking to recruit and retain health care providers. Not more than 10 percent of the individuals receiving training shall be trained as doctors of medicine or osteopathic medicine.

#### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

#### Award Procedure:

Notification in writing. A Notice of Grant Award will be issued from Headquarters Office.

#### Deadlines:

[www.hrsa.gov](http://www.hrsa.gov).

#### Range of Approval/Disapproval Time:

From 5 to 6 months from receipt of application.

#### Appeals:

None.

#### Renewals:

Competitive continuations may be submitted during the final budget period of the approved project period.

#### Formula and Matching Requirements:

This program has no statutory formula or matching requirements.

#### Length and Time Phasing of Assistance:

Institutional training grants may be awarded for project periods up to 3 years. Awards are made on an annual basis and it is expected that funds will be expended within each budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System.

#### Reports:

Uniform Summary progress reports must be submitted annually. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### Account Identification:

75-0350-0-1-550.

#### Obligations:

(Grants) FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

#### Range and Average of Financial Assistance:

\$133,709 to \$344,077; \$250,107.

#### PROGRAM ACCOMPLISHMENTS:

None.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### Regional or Local Office:

Ms. Marcia Starbecker, Program Officer, Division of State, Community, and Public Health, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Room 8A-09, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6867.

#### Headquarters Office:



Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**  
www.hrsa.gov.

**RELATED PROGRAMS:**  
None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded programs were jointly sponsored, usually by academic and rural health care entities; several programs had health fairs. Emphasis was on opportunities for providing clinical services in rural areas and efforts to promote rural practice options.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by peer reviewers to determine the extent to which the applicant documents the following criteria: (1) the need for the proposed project; (2) the potential effectiveness of the proposed project in carrying out the education; (3) the potential effectiveness of the proposed project and expected outcomes; (4) the methodology includes a clearly articulated project plan; (5) the curriculum adequately addresses interdisciplinary training of health care practitioners from two or more disciplines; (6) the plan to recruit and select qualified trainees with a significant interest or background in rural health care; (7) the plan for project management describes as well qualified faculty, institutional and community support; (8) the fiscal plan for assuring effective use of grant funds.

### 93.193 URBAN INDIAN HEALTH SERVICES

(Urban Indian Alcohol and Substance Abuse Program; Urban Mental Health; Urban Immunization and Health Promotion/Disease Prevention)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Improvement Act, Title V, Sections 503 and 511, Public Law 94-437 as amended, Public Law 100-713, 101-630, and 102-572.

**OBJECTIVES:**

To provide health-related services to Urban Indians including: (1) Alcohol and substance abuse prevention, treatment, rehabilitation, and education; (2) mental health needs assessment and services; (3) health promotion and disease prevention services; (4) immunization services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

These grants are limited to established urban Indian health services. The recipient organization must be an urban Indian organization with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act (25 U.S.C. 1651 et seq).

**Applicant Eligibility:**

Urban Indian organizations with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act.

**Beneficiary Eligibility:**

Urban Indians residing in the urban centers in which the organization is located.

**Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; and (2) that it has a current contract or grant with the Indian Health Service under Title V of the Indian Health Care Improvement Act. Costs will be determined in accordance with OMB Circular No. A-122, Nonprofit Institutions.

**Preapplication Coordination:**

Preapplication is not required. This program is excluded from coverage under E.O. 12372. An environmental impact statement is not required. Technical assistance is available from the Indian Health Service Headquarters. This program is subject to the Public Health Systems Reporting Requirements.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-122. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer; Telephone: (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

**Award Procedure:**

Grants are awarded to all eligible organizations based on a thorough review to determine conformance with the goals of the program. Applications are processed and grants are awarded by Indian Health Service Headquarters. Funding level available to an organization is based on specific criteria in the Act to include size of urban Indian population, accessibility to, and utilization of, other health resources available to that population and identification of need for services.

**Deadlines:**

Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded for project periods of up to 3 years.

**Reports:**

Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$33,691,000; FY 08 est \$34,547,000 and FY 09 not reported.

**Range and Average of Financial Assistance:**

\$114,578 to \$573,126; \$209,846.

**PROGRAM ACCOMPLISHMENTS:**

Thirty-four continuing grant awards were funded in fiscal year 2005. It is estimated that 34 continuing grants will be awarded in fiscal year 2006, and it is anticipated that 34 continuing grants will be awarded in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program guidelines, including applicable sections of Public Law 94-437, as amended; 45 CFR 74; and the PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Danielle Steward, Program Specialist, Urban Programs, Indian Health Service, 801 Thompson Avenue, Suite 200, Rockville, MD 20852. Telephone: (301) 443-4680. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, Suite 100, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Alcohol and Substance Abuse Prevention, Intervention, After-Care and Education for Youth and Families; (2) Therapeutic Counseling; (3) Comprehensive Chemical Dependency Project; (4) Mental Health Needs Assessment; (5) Mental Health Services; (6) Immunization Services; and (7) Diabetes Prevention/Education and Obesity Control.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by staff of the Indian Health Service to ensure compliance with the following: (1) Size of the urban Indian population; (2)

accessibility to, and utilization of, other health resources available to such population; (3) duplication of existing Indian Health Service or other Federal grants or contracts; (4) capability of the organization to adequately perform the activities required under the grant; (5) satisfactory performance standards for the organization in meeting the goals; (6) identification of need for services; and (7) proposed methodology for accomplishing the stated goals of the program.

### **93.197 CHILDHOOD LEAD POISONING PREVENTION PROJECTS-STATE AND LOCAL CHILDHOOD LEAD POISONING PREVENTION AND SURVEILLANCE OF BLOOD LEAD LEVELS IN CHILDREN**

(Childhood Lead Poisoning Prevention Program (CLPPP))

#### **FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Section 301A, 317A, and 317B, 42 U.S.C. 241a, 247b-1, 247b-3, as amended; Children's Health Act of 2000; Preventive Health Amendments of 1992, Section 303, Public Law 102-531.

#### **OBJECTIVES:**

To (1) Develop and/or enhance a surveillance system that monitors all blood lead levels; (2) assure that children who are potentially exposed to lead receive follow up care; (3) assure awareness and action among the general public and affected professionals in relation to preventing childhood lead poisoning in high risk areas in collaboration with other government and community based organizations.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Awards are to be used by State and local government agencies to develop, improve, and expand their capacity to address the problem of childhood lead poisoning in communities with demonstrated high-risk populations. Recipients of awards are expected to: (a) write, implement and evaluate a jurisdiction-wide childhood lead poisoning elimination plan; (b) write, implement and evaluate screening plans to target resources to children at the highest risk for lead poisoning; (c) maintain a jurisdiction-wide childhood lead surveillance program, with an analysis plan for collected data, (d) conduct primary prevention activities for pregnant women and/or families with children at high risk for lead poisoning, (e) develop an assurance plan for timely and appropriate case management of children with elevated blood lead levels, (f) demonstrate strategic partnering with community organizations and with other state/local agencies involved in environmental and child health activities, (g) coordinate with organizations and agencies involved in lead-based paint hazard reduction activities and development of protective policy; and (h) evaluate programmatic impact on childhood lead poisoning within the applicant's jurisdiction. Awards cannot supplant existing funding for childhood lead poisoning prevention programs or activities. Grant awards may not be expended for medical care and treatment, or for environmental remediation of lead sources, however, there must be an acceptable plan to ensure that these program activities are appropriately carried out. The surveillance component of this grant is intended to assist State health departments in implementing or enhancing a complete surveillance system to track all PbB levels in children. This is essential for grant recipients to target interventions to high-risk populations and to track progress toward eliminating childhood lead poisoning.

#### **Applicant Eligibility:**

Assistance will be provided to State health departments or their bonafide agents and the health departments of the following five local jurisdictions (or their bonafide agents) that have the highest estimated number of children with elevated blood lead levels : New York, NY; Chicago, IL; Detroit, MI; Los Angeles County, CA, and Philadelphia, PA, or their bona fide agents. Also eligible are health departments or other official organizational authorities of the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and federally recognized Indian tribal governments. Competition is limited by authorizing legislation.

#### **Beneficiary Eligibility:**

In addition to the eligible applicants, others who receive benefits from the program include infants and children from six months to six years of age who are screened for lead poisoning and family members who care for lead-poisoned children. Lead poisoning potentially affects all children, but disproportionately affects minority children and children of low-income families. Since the effects of lead poisoning can be long lasting, benefits of the program can also affect youth and adults, persons at all educational and income levels, and urban, suburban, and rural populations.

#### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the

project, present their approach to meeting the objectives, and outline the methods of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized Indian Tribal Governments.

#### **Preapplication Coordination:**

Preapplication coordination is desired but not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should contact the office or official designated as the single point of contact in his or her State for more information. Through this process, States are provided the opportunity to review and comment on applications for Federal financial assistance. The due date for State process recommendations is 60 days after the application deadline date for new and competing continuation awards.

#### **Application Procedure:**

Application forms are both available from and submitted to the Grants Management Branch, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Standard application forms, as furnished by CDC and required by 45 CFR 92 must be used for this program. This program is subject to the provisions set forth in 45 CFR 92 for State and local governments.

#### **Award Procedure:**

Approved grants are funded based on a priority score ranking from an objective review process coordinated by the Centers for Disease Control and Prevention. CDC will give funding preference to state programs with significant estimated numbers of children with elevated blood lead levels that direct federal funds to localities with high concentrations of children at risk for childhood lead poisoning. CDC will also give funding preference to the five local jurisdictions with the highest estimated number of children with elevated blood lead levels. Awards are made based on availability of funds and other significant factors as deemed necessary and appropriate by the agency. Funds are awarded for a one-year (12 month period). A Notice of Grant Award (Form PHS 5161-1) is provided which indicates the current award as well as support recommendations for the remainder of the project period (up to three years). The Notice of Grant Award indicates allocations for Federal funds by budget categories and any special conditions, if applicable.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

From two to three months.

#### **Appeals:**

None.

#### **Renewals:**

Renewal requests cannot exceed a three year project period. Priority consideration will be given to noncompeting continuation applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements. However, grant funds cannot supplant existing funding for childhood lead poisoning prevention programs or activities. Applicants are encouraged to identify other funding sources to support program activities.

#### **Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period (July 1 - June 30) with project periods of up to three years subject to the availability of funds and satisfactory progress of the grantee.

#### **Reports:**

Quarterly progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. A final financial status report and final program report will be required no later than 90 days after the end of the project. Continuation applications for subsequent budget year support will include a progress/performance narrative outlining accomplishments and operations for that earlier budget period and a detailed budget narrative supporting the budget request.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

#### **Account Identification:**

**Obligations:**

(Grants) FY 07 \$33,700,000; FY 08 \$28,093,406; and FY 09 est \$27,409,189.

**Range and Average of Financial Assistance:**

\$75,000 to \$1,700,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, 61 grantees representing 44 States, the District of Columbia and 17 city or county health departments received funding to conduct childhood lead poisoning prevention programs. CDC program staff provided technical assistance to State and local health officials and others interested in childhood lead poisoning prevention. In fiscal year 2001, emphasis was placed on carrying out lead poisoning prevention activities related to implementing statewide screening plans, emphasizing screening Medicaid-eligible children, implementing Medicaid data matching, and establishing childhood blood lead surveillance systems with the capability to report data to CDC. These programs will also utilize funds to facilitate referral of children identified with elevated blood lead levels for medical and environmental intervention, and provide education for parents and health professionals. All 61 funded programs were awarded for fiscal year 2002 to continue lead poisoning prevention activities. In fiscal year 2003, it is anticipated that 42 programs will be funded representing 36 States, the District of Columbia and 5 city or county health departments. Additional performance criteria, including an emphasis toward primary prevention interventions, will be the focus of the program in fiscal year 2003. In FY 04 it is anticipated that all funded programs will continue lead poisoning prevention activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. The basic grant administration policies of DHHS and PHS are also applicable.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Deb Millette, Program Deputy Director, Lead Poisoning Prevention Branch, National Center for Environmental Health, U.S. Centers for Disease Control and Prevention, 4770 Buford Highway, MS F-30, Atlanta, GA 30341. Telephone: (770) 488-7177. Email: mdm2@cdc.gov. Grants Management Contact: Ms. Mildred Garner, Grants Management Branch, U.S. Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2745. Fax Number: (770) 488-2777.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

The first projects to receive financial assistance under this grant program were made late in fiscal year 1990. The awards will continue to State and city/county agencies to develop, expand, or improve childhood lead poisoning prevention programs and statewide surveillance. The awards will be used to strengthen grantees' capacity to perform the three core public health functions (assessment, policy development, and assurance) as they relate to childhood lead poisoning prevention and surveillance. Specifically, these programs will ensure the screening of children at risk of lead exposure; facilitate appropriate referral of children with elevated blood lead levels for medical and environmental interventions; and provide for the education of parents, health care providers, and others concerned about childhood lead poisoning prevention. In addition, programs will develop and implement childhood lead poisoning elimination plans, implement jurisdiction-wide targeted screening plans and establish childhood blood lead surveillance systems.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the applicant's ability to identify populations and communities at high risk and the overall balance of the program's design to address the childhood lead poisoning problem. This requires the development of specific and measurable objectives and a sound operational plan that includes screening of high risk populations, medical and environmental management, lead hazard remediation, and health education and risk reduction activities to appropriately address the problem. Applications also will be evaluated on the ability of the program to carry out childhood lead poisoning prevention program activities utilizing the core public health functions as well as establishing working relations or partnerships with other agencies, organizations or groups that have interest in the prevention of childhood lead poisoning.

**93.202 CAPACITY BUILDING AMONG AMERICAN INDIAN TRIBES****FEDERAL AGENCY:**

AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 104(i)(14)(15) and (17) of the Comprehensive Environmental Response, Compensation and Liability Act; 42 U.S.C. 9604; Sections (i)(14)(15), and (17), as amended.

**OBJECTIVES:**

To address the Tribal public health issues that result from hazardous substances in the environment by: 1) building Tribal environmental health capacity 2) addressing health issues from releases of hazardous substances into the environment, and 3) develop culturally appropriate health education materials and/or vehicles to engage Tribal community members in public health activities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To enhance the Tribes ability to collaborate with Agency for Toxic Substance and Disease Registry (ATSDR) in conducting public health activities related to potential human exposures from the Hanford Nuclear Reservation.

**Applicant Eligibility:**

Federally Recognized American Indian Tribal Governments: Coeur d'Alene Tribe; Coville Confederated Tribes; Confederated Tribes of the Umatilla Indian Reservation; Kalispel Tribe; Kootenai Tribe of Idaho; Nez Perce Tribe; Spokane Tribe; Confederated Tribes of the Warm Springs Reservation of Oregon; and Yakama Indian Nation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87, A-21, and A-122 as applicable.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must use application Form PHS 5161-1. Application packets are available from: Ms. Edna Green, Grants Management Branch, Procurement and Grants Office, Center for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR will prepare a Notice of Grant Award.

**Deadlines:**

Contact the Headquarters Office identified below for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of 1 to 5 years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds.

**Reports:**

Semi-annual progress and financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for 10 years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**



(Grants) FY 07 not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$40,000 to \$60,000; \$50,000 FY07 est. \$100,00; FY08 est. \$100,00.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2001, 9 awards were made. It is estimated that 9 continuation awards will be made in fiscal year 2002 and fiscal year 2003. No new awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing the program are set forth in 45 CFR Parts 74 and 92 and 40 CFR Part 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 90-50-000 (Revised).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program contact Dean Seneca, Division of Health Assessment and Consultation, Agency for Toxic Substances and Disease Registry; 1600 Clifton Road, N.E., Atlanta, GA 30333. Telephone: (770) 488-1607. E-mail address: zkg8@cdc.gov. Grants Management Contact: Ms. Mildred Garner, Acquisition & Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road., Atlanta, GA 30341. Telephone: (770) 488-2745. Fax: (770) 488-2777. mqg4@cdc.gov.

**Web Site Address:**

http://www.atsdr.cdc.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include grants to American Indian Tribal governments to conduct public health activities related to potential human exposures from the Hanford Nuclear reservations. Examples of funded projects are: Health assessments, health consultations, community involvement and health education.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed and evaluated based on the following criteria: 1) Develop and administered effective culturally competent measures to engage community members in environmental public health activities; 2) Describe how the environmental health needs assessment will be used for environmental health; 3) Outlined the activities to develop a 10-year Environmental Health Plan (EHP); 4) Described the Tribes capability (or inability) to carry out the proposed EHP; 5) Describe how the Tribe will resolve current problems of exposures; 6) and Budget justification.

## 93.204 SURVEILLANCE OF HAZARDOUS SUBSTANCE EMERGENCY EVENTS

**FEDERAL AGENCY:**

AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104(i)(1)(E), (9), and (15), Public Law 99-499, 42 U.S.C. 9604.

**OBJECTIVES:**

To assist State health departments in developing a State-based surveillance system for monitoring hazardous substance emergency events. This surveillance system will allow the State health department to better understand the public health impact of hazardous substance emergencies by developing, implementing, and evaluating a State-based surveillance system.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The participant State health agencies will use the information collected to assess the burden of adverse health effects created by these unexpected, sudden releases of hazardous substances, describe the situations and persons most likely impacted, define the risk factors for adverse health effects, and work with other agencies to implement prevention activities. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies, and services. Equipment may be purchased with cooperative agreement funds; however, justification must be provided which should include a cost comparison of purchase versus lease options. All purchased equipment must be compatible with ATSDR's equipment and shall be returned to ATSDR at the completion of the project.

**Applicant Eligibility:**

Eligible applicants are the official public health departments of the States and the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, the Northern Mariana Islands, and American Samoa and federally-recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Beneficiaries include Federal, State, local, other public

institutions/organizations, federally-recognized Indian tribal governments, U.S. Territories/possessions, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

No preapplication is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants must use application Form PHS 5161-1. Application packets are available from: Edna Green, Grants Management Specialist, Acquisition & Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Rd., Room 3000, Atlanta, GA 30341. By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the Headquarters Office identified below for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are made for project periods of one to five years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of one to five years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds.

**Reports:**

Annual progress and financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of each project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Record keeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 07 \$801,495; FY 08 \$989,871; and FY 09 est \$989,871.

**Range and Average of Financial Assistance:**

\$60,000 to \$80,000; \$79,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are set forth in 45 CFR 92 and 40 CFR 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 94-50,000 (Revised), April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Nelda Godfrey, Division of Health Studies, Agency for Toxic Substances and Disease Registry, 1600 Clifton Road, NE., Mail Stop F-57, Atlanta, Georgia 30333. Telephone: (770) 488-3690. Fax: (770) 488-7187. E-mail: nag9@cdc.gov. Grants Management Contact: Mildred Garner, Grants Management Officer, Acquisition and Assistance Branch A, Procurement and

Grants Office, Center for Disease Control and Prevention, 2920 Brandywine Rd., Room 3000, Mail Stop E-75, Atlanta, GA 30341. Telephone: (770) 488-2745, Fax: (770) 488-2745.

**Web Site Address:**

<http://www.atsdr.cdc.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects are cooperative agreements to State governments to develop, implement, and maintain an emergency event surveillance system. All projects have as their overall objectives: A. Describe the type and cause of morbidity experienced by employees, first responders and the general public as a result of selected hazardous substance emergencies; B. Develop and propose strategies to reduce subsequent morbidity and mortality when comparable events occur in the future; C. Evaluate the public health impact of hazardous material releases, expand the access to databases with relevant hazardous material events and provide annual summaries of public health impacts; and D. Continue formal and informal interactions with State programs and local emergency responders, as well as private industry, to yield new resources and more complete information on emergency events.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated according to the following criteria: (1) Appropriateness and knowledge of surveillance systems; (2) Proposed methodology; (3) Capability and coordination efforts; (4) Quality of information collection; (5) Program personnel; and (6) Program budget (not scored).

## 93.206 HUMAN HEALTH STUDIES-APPLIED RESEARCH AND DEVELOPMENT

**FEDERAL AGENCY:**

AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104(i)(7), (9), and (15), Public Law 99-499; 42 U.S.C. 9604 (i)(7), (9), and (15).

**OBJECTIVES:**

To solicit scientific proposals designed to answer public health questions arising from situations commonly encountered at hazardous waste sites. The objective of this research program is to fill gaps in knowledge regarding human health effects of hazardous substances identified during the conduct of ATSDR's health assessments, consultations, toxicological profiles, and health studies, including but not limited to those health conditions prioritized by ATSDR. The ATSDR Priority Health Conditions are (in alphabetical order): (1) Birth defects and reproductive disorders; (2) cancers (selected anatomic sites); (3) immune function disorders; (4) kidney dysfunction; (5) Liver Dysfunction; (6) Lung and Respiratory Diseases; and (7) neurotoxin disorders.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To strengthen the State governments, State colleges, State universities, State research institutions, federally-recognized Indian tribal governments, U.S. Territories and possessions to fill the gap in knowledge regarding the occurrence and risk factors for the Priority Health Conditions.

**Applicant Eligibility:**

Eligible applicants are State health departments or their bona fide agents or instrumentalities. This includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, the Northern Mariana Islands, American Samoa, the political subdivisions thereof, which may include State universities, State colleges, and State research institutions, and federally-recognized Indian tribal governments.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this program are the Federal, State, local, other public institutions/organizations, federally-recognized Indian tribal governments, U.S. Territories/possessions, and the general public in their ability to address potential health problems related to environmental exposures and adverse health outcomes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87, A-21, and A-122 as applicable.

**Preapplication Coordination:**

No preapplication is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants must use application Form PHS 5161-1. Application packets are

available from: Mildred Gardner, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the Headquarters Office identified below for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are made for project periods of one to five years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of 1 to 5 years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds.

**Reports:**

Semi-Annual progress and financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for 10 years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Grants) FY 07 \$155,874; FY 08 \$0; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$50,000 to \$500,000; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2001, there were 8 new competitive awards and 3 non-competitive continuation awards. In fiscal year 2002, it is estimated there will be 12 new competitive awards and 11 non-competitive continuation awards. In fiscal year 2003, it is estimated there will be 20 non-competing continuation awards. In FY 2004 and FY 2005 efforts continued to support approximately 20 non-competing awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing the program are set forth in 45 CFR Parts 74 and 92 and 40 CFR Part 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 90-50,000 (Revised).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Beth Gardner, Office of Financial and Administrative Services, Agency for Toxic Substances and Disease Registry, 1600 Clifton Road, NE., Mail Stop F-62, Atlanta, GA 30333. Telephone: (770) 488-0572. E-mail address: [ctg8@cdc.gov](mailto:ctg8@cdc.gov). Programmatic Technical Assistance: David Williamson, Director, Division of Health Studies, Agency for Toxic Substances and Disease Registry, 1600 Clifton Road, NE., Mail Stop F-57, Atlanta, GA 30333. Telephone: (770) 488-0705. Fax: 770-488-7187. E-mail address: [DXW2@cdc.gov](mailto:DXW2@cdc.gov). Grants Management Contact: Mildred Garner, Acquisition & Assistance Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2743. Fax: (770) 488-2745.

**Web Site Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

None.

## EXAMPLES OF FUNDED PROJECTS:

Funded projects include grants to State health departments and universities to conduct health studies that relate to hazardous substances and investigate health conditions prioritized by ATSDR. Examples of funded projects are: 1. A study to examine residential exposure to specific urban air toxicants through multiple pathways and indoor allergens in an urban area and their relationship to asthma prevalence and immune function using nested case-control study. 2. A study to probe the possible synergistic relationships between exposure to chemicals commonly found at hazardous waste sites and likely to contaminate the border area and maternal infections suspected to be risk factors for NTDs.

## CRITERIA FOR SELECTING PROPOSALS:

All applications will be reviewed and evaluated based on the following criteria: 1. Appropriateness and knowledge of study design; 2. Proposed study; 3. Relationship to initiative; 4. Quality of data collection; 5. Program personnel; and 6. Program budget (not scored).

## 93.208 GREAT LAKES HUMAN HEALTH EFFECTS RESEARCH

### FEDERAL AGENCY:

AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104 (i)(5)(A) and (15), Public Law 99-499; 42 U.S.C. 9604 (i)(5)(A) and (15); Great Lakes Critical Programs Act of 1990, Section 106, Subsection 118(e); 33 U.S.C. 1268(e)(3).

### OBJECTIVES:

To: (1) Build upon and amplify the results from past and on-going research in the Great Lakes basin; (2) develop information, databases and research methodology that will provide long-term benefit to human health effects research in the Great Lakes basin; (3) develop direction for future health effects research; (4) provide state local health officials: the concerned public and their medical health care professionals; (5) in concert with State and local health offices increase the public awareness regarding the potential health implications of the toxic pollution problem in the Great Lakes basin; and (6) coordinate as necessary with relevant Public Health Service (PHS) research programs and activities, including those of the Food and Drug Administration (FDA), Centers for Disease Control and Prevention (CDC), National Institutes of Health (NIH), and the Indian Health Service (IHS), as well as the Environmental Environment Protection Agency (EPA) and State and local health departments, to ameliorate adverse public health impacts of persistent toxic substances in the Great Lakes basin.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

To conduct research on the impact on human health of fish consumption in the Great Lakes region. This Program of Research will focus on populations which have been identified to have a higher risk of long-term adverse health effects from exposure to contaminants in Great Lakes fish, i.e., Native Americans, sport anglers, urban poor, the elderly, Asian Americans, racial/ethnic minority populations, fetuses, and nursing infants of mothers who consume contaminated Great Lakes fish. Priority areas of research for this program include: 1. Characterizing exposure and determining the profiles and levels of Great Lakes contaminants in biological tissues and fluids in high-risk populations; 2. Identifying sensitive and specific human health endpoints, i.e., reproductive/developmental, behavioral, endocrinologic, and immunologic effects and correlating them to exposure to Great Lakes contaminants; and 3. Determining the short- and long-term risk(s) of adverse health effects in children which result from parental exposure to Great Lakes contaminants. Proposed projects covering these priority areas should include strategies (risk communication) to inform susceptible populations about the potential human health impact of consuming contaminated fish from the Great Lakes. Based upon research findings, longer term priority areas may include, but are not limited to: 1. Investigating the feasibility of, or establishing, registries and/or surveillance cohorts in the Great Lakes region; and 2. Establishing a chemical mixtures database with emphasis on tissue and blood levels to identify new cohorts, conduct surveillance and health effects studies, and establish registries and/or surveillance cohorts.

### Applicant Eligibility:

Eligible applicants are the official public health agencies or their bona fide agents or instrumentalities and political subdivisions thereof, which may include State universities, State colleges, State research institutions, State and local health departments, and federally-recognized Indian tribal governments located in the Great Lakes States. This includes Illinois, Indiana, Michigan, Minnesota, Ohio, Pennsylvania, New York and Wisconsin and is consistent with Section 106, Subsection 118(e) of the Great Lakes Critical Programs Act of 1990 (33 U.S.C. 1268(e)(3)).

### Beneficiary Eligibility:

Native Americans, Minority Groups, Sport Anglers, Urban Poor, Individuals and Families who consume contaminated Great Lakes Fish.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

### Preapplication Coordination:

None. An environmental impact statement is not required for this program. This program is excluded from coverage under E. O. 12372.

### Application Procedure:

Applicants must use application Form 5161-1. Application packets are available from: Acquisition and Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

### Award Procedure:

The Assistant Administrator, ATSDR, has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR, will prepare a Notice of Grant Award.

### Deadlines:

Contact the Headquarters Office identified below for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 60 to 90 days.

### Appeals:

None.

### Renewals:

Awards are made for project periods of one to three years with 12-month budget periods. Renewals awards cannot be made beyond the project period without competition.

### Formula and Matching Requirements:

This program has no statutory formula or matching requirements.

### Length and Time Phasing of Assistance:

The awards will be made for 12-month budget periods within a project period of one to three years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds.

### Reports:

Annual progress and financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of the project period.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by HHS and other Federal officials.

### Records:

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

### Account Identification:

75-8252-0-1-551.

### Obligations:

(Grants) FY 07 \$1,019,706; FY 08 \$1,082,730; and FY 09 est \$800,000.

### Range and Average of Financial Assistance:

\$72,000 to \$175,000; \$119,000.

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2003, funding was provided for ten competing awards. It is anticipated that there will be ten non-competing continuation awards in fiscal years 2004 and 2005.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations governing this program are set forth in 45 CFR 92 and 40 CFR 35, subpart O. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

### Regional or Local Office:

Not applicable.

### Headquarters Office:

Program Contact: Dr. Heraline E. Hicks, Division of Toxicology, Agency for Toxic Substances and Disease Registry, 1600 Clifton Road, NE, Mail Stop F-32, Atlanta, Georgia 30333. Telephone: (770) 488-3347. Fax: (770) 488-4178. E-mail address: HEH2@cdc.gov. Grants Management Contact: Mildred Garner, Acquisition and Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2745. Fax: (770) 488-2777.

### Web Site Address:

<http://www.atsdr.cdc.gov>.



**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) The New York State Angler Cohort Study: Exposure Characterization and Reproductive and Developmental Effects; (2) Great Lakes Fish as a Source of Maternal and Fetal Exposure to Chlorinated Hydrocarbons; (3) An Assessment of a Human Population at Risk: The Impact of Consuming Contaminated Great Lakes Fish on Native American Communities; (4) Cognitive and Motor Effects of PCB Exposure in Older People from the Michigan Fish Eaters Cohort: Emphasis on the Role of Ortho-Substituted Congeners; (5) Contribution of Nursing to Behavioral Changes in Offspring of Mothers Who Consumed Lake Ontario Fish: Two Methodological Approaches; (6) Health Risks from Consumption of Great Lakes Fish; and (7) Assessing Effects of Human Reproductive Health of PCB Exposure via Consumption of Great Lakes Fish. Three grants were awarded to State Health Departments for the following projects: (1) PCB and DDE Exposure among Native American Men from Contaminated Great Lakes Fish and Wildlife; (2) Consortium for the Health Assessment of Great Lakes Sport Fish Consumption; and (3) Michigan Great Lakes Health Studies.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated according to the following criteria: Proposed Program; Program Personnel; Applicant Capability; and Program Budget (Not Scored).

## 93.209 CONTRACEPTION AND INFERTILITY RESEARCH LOAN REPAYMENT PROGRAM

(CIR LRP)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C. 288-2, Title IV (National Research Institutes), Part G (Awards and Training), Section 487B (Loan Repayment Program for Research with Respect to Contraception and Infertility), as amended by Public Law 105-392.

**OBJECTIVES:**

The CIR-LRP is designed to provide an incentive for health professionals to work in areas of reproductive research directly related to contraceptive development and/or infertility diagnosis and treatment by providing assistance in repaying educational loans for individuals. The CIR-LRP will pay up to \$35,000 of the principal and interest of a participant's educational loans for each year of commitment not to exceed one-half of the remaining loan balance. In addition to the loan repayments, the CIR-LRP may pay participants up to 39 percent of the amount paid to lenders as partial payments on the increased income tax liability caused by the Program's loan repayments. In return for these loan repayments, applicants must agree to commit to a period of obligated service of not less than 2 years conducting research with respect to contraception and/or infertility. The long-range objective of the CIR-LRP is to stimulate the commitment of researchers to sustaining a career focus on contraception and/or infertility research.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The assistance provided by the CIR-LRP is entirely of a financial nature in the form of loan repayments. The monies provided by this program are restricted to the repayment of pre-existing, qualified loans procured by the participant for educational expenses incurred in the pursuit of undergraduate or graduate degrees.

**Applicant Eligibility:**

Applicants must be a U.S. citizen (or U.S. national or permanent resident) and a physician, Ph.D.-level scientist, nurse, physician's assistant, graduate student, or postgraduate research fellow training in the health professions. You must commit to conduct contraception and infertility research for 50% of your time (at least 20 hours weekly based on a 40 hour week) for two years and it must be funded by a domestic nonprofit or U.S. Government (Federal, state or local) entity. Also, the research must not be prohibited by Federal law or NIH policy. Complete eligibility information is available at <http://www.lrp.nih.gov/about/lrp-contra.htm>.

**Beneficiary Eligibility:**

Assistance in the form of loan repayments will be made to qualified health professionals (including graduate students) who are participants in the CIR-LRP.

**Credentials/Documentation:**

In order to be considered for selection into the CIR-LRP, eligible applicants must complete and submit the electronic application materials located at [www.lrp.nih.gov](http://www.lrp.nih.gov), which include: (1) a Loan Verification Form for each loan to be considered for repayment; (2) an institutional statement providing assurance that the applicant will be engaged in employment/training at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt

under 26 USC 501), for not less than two years from the anticipated effective date of the NIH Loan Repayment Program Contract between the individual and NICHD (this assurance is conducted electronically); and (3) a signed NIH Loan Repayment Program Contract by which the applicant agrees to serve the obligated minimum period of two years conducting contraception and/or infertility research at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501).

**Preapplication Coordination:**

Information regarding the CIR-LRP and the preparation of forms for application to the CIR-LRP can be obtained by contacting the CIR-LRP headquarters office at the National Institute of Child Health and Human Development, NIH, or via the World Wide Web at [www.lrp.nih.gov](http://www.lrp.nih.gov). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Qualified individuals interested in participating in the CIR-LRP should visit the NIH Loan Repayment Program Website at [www.lrp.nih.gov](http://www.lrp.nih.gov) for all application forms and requirements. The application will be evaluated by a Review Committee, convened for this purpose by the Division of Scientific Review, NICHD, NIH, HHS. In selecting applicants for participation in the CIR-LRP, the panel will consider eligibility status, quality of the applicant, and applicant's career plan focus. All selections are subject to final approval by the Director, NICHD. The NICHD will notify the sponsoring grantee institution and the applicant of the outcome of the review.

**Award Procedure:**

Once the applicant is selected to participate in the CIR-LRP, the applicant and the Director, NICHD, as a designate of the Secretary of Health and Human Services, will sign a written binding contract stating the terms and conditions for participating in the CIR-LRP. The effective date of the contract will be the date it is signed by the Director, NICHD, or the date employment/training begins at an NICHD-funded Specialized Contraception or Infertility Research Center, whichever is later.

**Deadlines:**

Applications can be received at the deadlines established and announced each year at <http://www.lrp.nih.gov/>.

**Range of Approval/Disapproval Time:**

The selection process takes from 6 to 8 months following receipt of application.

**Appeals:**

None.

**Renewals:**

A CIR-LRP participant completing the initial 2-year period of obligated service conducting research with respect to contraception and/or infertility has an option to extend the obligatory period of service on an annual basis.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The CIR-LRP will pay equal quarterly payments to the lenders. Each payment will be made shortly after the end of each full quarter of satisfactory service.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Direct Payments) FY 07 \$1,000,000; FY 08 est \$1,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

In FY 06 the range of financial assistance was between \$4,461 and \$103,138.

The average contract cost was \$45,619.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, the projected funding level for the Contraception and Infertility Research LRP is \$1,000,000, with a projected total of 22 contracts.

The fiscal year 2007 Extramural LRP application period closed on December 15, 2006, and funding decisions will be made by August 2007. In fiscal year 2008, the projected funding level for the Contraception and Infertility Research LRP is \$1,000,000, with a projected total of 22 contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Proposed Rulemaking was approved by NIH on September 19, 2001, and by the Department of Health and Human Services on December 31, 2001.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Eugene G. Hayunga, Deputy Director, Office of Extramural Policy, National Institute of Child Health and Human Development, NIH, DHHS, Building 61E, Rm. 2C01, MSC-7510, Bethesda, MD 20892-7510. Telephone: (301) 435-6856; E-mail: [ehayunga@mail.nih.gov](mailto:ehayunga@mail.nih.gov).

**Web Site Address:**

<http://nichd.nih.gov/>.

**RELATED PROGRAMS:**

93.280, National Institutes of Health Loan Repayment Program for Clinical Researchers; 93.285, National Institutes of Health Pediatric Research Loan Repayment Program; 93.307, Minority Health and Health Disparities Research; 93.220, Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.209, Contraception and Infertility Research Loan Repayment Program; 93.162, National Health Service Corps Loan Repayment Program; 93.923, Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936, National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Review criteria for CIR-LRP applications include: (1) Appropriateness of the applicant's previous training and experience as preparation for a career in contraception and infertility research; (2) Suitability of the applicant's proposed clinical research activities in the two-year period to foster a career in contraception and infertility research; (3) Assessment of the applicant's commitment to a research career as reflected by the personal statement of long-term career goals and the plan outlined to achieve those goals; (4) Strength of recommendations attesting to the applicant's potential for a career in contraception and/or infertility research; (5) Availability of appropriate scientific colleagues to achieve and/or enhance the applicant's research independence; and (6) Quality and appropriateness of institutional resources and facilities.

**93.210 TRIBAL SELF-GOVERNANCE PROGRAM: IHS COMPACTS/FUNDING AGREEMENTS**

(Tribal Self Governance)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (DHHS) through the Indian Health Service. Such assumptions will be by compact/funding agreements.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to be spent in accordance with Public Law 93-638, as amended, applicable regulations and negotiated compact/funding agreement terms. Per 42 CFR 137.167 and 137.168, a self-governance tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. Per 42 CFR 137.100, pursuant to section 508(h) of the Act 25 U.S.C. 458aaa7(h), a Self-Governance Tribe may retain and spend interest earned on any funds paid under a compact or funding agreement. Per 42 CFR 137.101, a Self-Governance Tribe is under a duty to invest and manage the funds as a prudent investor would, in light of the purpose, terms, distribution requirements, and provisions in the compact or funding agreement and Title V. This duty requires the exercise of reasonable care, skill, and caution, and is to be applied to investments not in isolation but in the context of the investment portfolio and as a part of an overall investment strategy, which should incorporate risk and return Per 42 CFR 137.167 and 137.168, a self-governance tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. Per 42 CFR 137.100, pursuant to section 508(h) of the Act 25 U.S.C. 458aaa7(h), a Self-Governance Tribe may retain and spend interest earned on any funds paid under a compact or funding agreement. Per 42 CFR 137.101, a Self-Governance Tribe is under a duty to invest and manage the funds as a prudent investor would, in light of the purpose, terms, distribution requirements, and provisions in the compact or funding agreement and Title V. This duty requires the exercise of reasonable care, skill, and caution, and is to be applied to investments not in isolation but in the context of the investment portfolio and as a part of an overall investment strategy, which should incorporate risk and return objectives reasonably suitable to the Self-Governance Tribe. In making and implementing investment decisions, the Self-Governance Tribe has a duty to diversify the investments unless, under the circumstances, it is prudent not to do so. In addition, the Self-

Governance Tribe must: (a) Conform to fundamental fiduciary duties of loyalty and impartiality; (b) Act with prudence in deciding whether and how to delegate authority and in the selection and supervision of agents; and (c) Incur only costs that are reasonable in amount and appropriate to the investment responsibilities of the Self-Governance Tribe.

**Applicant Eligibility:**

Per 42 CFR 137.18, to be eligible to participate in self-governance, an Indian tribe must have: (a) successfully completed the planning phase described in Sec. 137.20; (b) requested participation in self-governance by resolution or other official action by the governing body of each Indian tribe to be served; and (c) demonstrated, for three fiscal years, financial stability and financial management capability. Per 42 CFR 137.21, the Indian tribe provides evidence that, for the three years prior to participation in self-governance, the Indian tribe has had no uncorrected significant and material audit exceptions in the required annual audit of the Indian tribe's self-determination contracts or self-governance funding agreements with any Federal agency. Per 42 CFR 137.26, an Indian tribe does not need to receive a planning or negotiation cooperative agreement to be eligible to participate in self-governance. An Indian tribe may use other resources to meet the planning requirement and to negotiate. For each fiscal year, an additional 50 Indian tribes that meet the eligibility criteria shall be entitled to participate in self-governance.

**Beneficiary Eligibility:**

Federally-recognized Indian tribes and tribal organizations (as defined in 25 U.S.C. 450b(1)) will benefit.

**Credentials/Documentation:**

Per 42 CFR 137.167 and 137.168, a self-governance tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

Compacts/funding agreements are awarded to those Indian tribes or organizations who have completed negotiations with IHS.

**Deadlines:**

There is no deadline for a Tribe entering into a Compact/Funding Agreement. Contact the Director, Office of Tribal Self-Governance, listed below for additional information.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

See 42 CFR 137.410 through 137.445, for regulations governing compacts/funding agreement decisions.

**Renewals:**

Per 42 CFR 137.35, upon approval and execution of a self-governance compact, the compact remains in effect for so long as permitted by Federal law or until determined by mutual written agreement or retrocession or reassumption of all PSFAs. Per 42 CFR 137.55, a funding agreement shall have the term mutually agreed to by the parties. Absent notification from an Indian tribe that it is withdrawing or retroceding the operation of one or more PSFAs identified in the funding agreement, the funding agreement shall remain in full force and effect until a subsequent funding agreement is executed. Per 42 CFR 137.35, upon approval and execution of a self-governance compact, the compact remains in effect for so long as permitted by Federal law or until determined by mutual written agreement or retrocession or reassumption of all PSFAs. Per 42 CFR 137.55, a funding agreement shall have the term mutually agreed to by the parties. Absent notification from an Indian tribe that it is withdrawing or retroceding the operation of one or more PSFAs identified in the funding agreement, the funding agreement shall remain in full force and effect until a subsequent funding agreement is executed.

**Formula and Matching Requirements:**

Per 42 CFR 137.217, funds provided under compacts, funding agreements, or grants made pursuant to Title V may be treated as non-Federal funds for purposes of meeting matching or cost participation requirements under any other Federal or non-Federal program.

**Length and Time Phasing of Assistance:**

Per 42 CFR 137.76, when a funding agreement requires an annual transfer of funding to be made at the beginning of a fiscal year, or requires semi-annual or other periodic transfers of funding to be made commencing at the beginning of a fiscal year, the first such transfer shall be made not later than 10 days after the apportionment of such funds by the OMB to the Department, unless the funding agreement provides otherwise. Per 42 CFR 137.77, the Secretary must transfer any funds that were not paid in the initial lump sum payment within 10 days after distribution methodologies and other decisions regarding payment of those funds have been made by the IHS.

**Reports:**

Per 42 CFR 137.200, Compacts or funding agreements negotiated between the

Secretary and a Self-Governance Tribe must include a provision that requires the Self-Governance Tribe to report on health status and services delivery. These reports may only impose minimal burdens on the Self-Governance Tribes.

**Audits:**

Per 42 CFR 137.165, under the provisions of section 506(c) of the Act 25 U.S.C. 458aaa5(c), Self-Governance Tribes must undertake annual audits pursuant to the Single Audit Act, 31 U.S.C. 7501 et seq. Per 42 CFR 137.166, exceptions are described in 31 U.S.C. 7502 of the Single Audit Act.

**Records:**

In accordance with 42 CFR - 137.175, Tribes are required to maintain records and provide Federal agency access to those records as provided in 137.177 - 137.176, except to the extent that a Self-Governance Tribe specifies otherwise in its compact or funding agreement, the records of the Self-Governance Tribe shall not be considered Federal records for purposes of chapter 5 of title 5, U.S.C. - 137.177, after 30 days advance written notice from the Secretary, the Self-Governance Tribe must provide the Secretary with reasonable access to such records to enable the Department to meet its minimum legal recordkeeping system requirements under sections 3101 through 3106 of title 44 U.S.C. - 137.178, at the option of a Self-Governance Tribe, patient records may be stored at Federal Records Centers to the same extent and in the same manner as other Department patient records in accordance with section 105(o) of the Act 25 U.S.C. 450j(o). - 137.179, a Self-Governance Tribe may make agreements with the Federal Records Centers regarding disclosure and release of the patient records stored pursuant to 137.178. - 137.180, a Tribe must consider the potential application of Tribal, Federal and state law and regulations that may apply to requests for access to Tribal patient records, such as the provisions 42 CFR 2.1.2.67 pertaining to records regarding drug and/or alcohol treatment.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Compacts/Funding Agreements) FY 07 \$949,982,000; FY 08 \$980,000,000; and FY 09 est \$1,100,000,000.

**Range and Average of Financial Assistance:**

Range \$85,000 to \$64,200,000; Average \$11,300,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, there are 73 compact, 94 funding agreements covering tribally operated facilities which include 11 hospitals, 71 health centers, one school health centers, and 189 health stations/village clinics.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, authorizes compacts/funding agreements. According to section 515(c) of the Act 25 U.S.C. 458aaa-16(e), "unless expressly agreed to by the participating Indian tribe in the compact or funding agreement, the participating Indian tribe shall not be subject to any agency circular, policy, manual, guidance, or rule adopted by the Indian Health Service, except for the eligibility provisions of section 105(g) and regulations promulgated under section 517.42 CFR 137 applies to compacts/funding agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Ms. Hankie Ortiz, Director, Office of Tribal Self-Governance, Indian Health Service, 801 Thompson Avenue, Suite 240, Rockville, MD 20852. Telephone: (301) 443-7821. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

### 93.211 TELEHEALTH NETWORK GRANTS

Telehealth Network Grant Program (TNGP); Telehealth Resource Center Grant Program (TRCGP); and Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 330I, Public Health Service Act; Section 330L, Public Health Service Act, 42 U.S.C. 254c-18.

**OBJECTIVES:**

The TNGP has two provisions: Telehealth Networks (TNGP-TH) grants demonstrate how telehealth networks improve healthcare services in rural communities. Telehomecare Networks (TNGP-THC) grants fund demonstration or pilot projects for telehomecare, services that may include, but are not limited to, case management by physicians, hospitals, medical clinics, home health

agencies, or other health care providers who supervise the care of patients in their homes. The TRCGP supports the establishment and development of Telehealth Resource Centers (TRC). These centers assist health care organizations, health care networks, and health care providers in the implementation of cost-effective telehealth programs to serve rural and medically underserved areas and populations. The TRCGP is designed to leverage the experience of mature programs that have a strong record of implementing telehealth services. The LPGP supports State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

TNGP - Funds support the use of telehealth (electronic information and telecommunications technologies to support and promote long-distance health care and ancillary services) in two ways: 1) Telehealth Networks, for improving access to health care services; provide a baseline of information for a systematic evaluation of telehealth systems; purchase or lease and install equipment; and to operate and evaluate the telehealth system. 2) Telehomecare Networks, for improving access to health services for patients in their homes and for evaluating the cost and effectiveness through provision of clinical care and remote monitoring of patients in their own homes using telehealth technologies. Primary expenses for telehomecare shall be for personnel costs for provision of services and for evaluation. Overall, not more than 40 percent of grant funds may be expended for equipment. Not more than 15 percent of grant funds may be expended for indirect costs. Grant funds may not be used for purchasing and installing telecommunications transmission equipment (e.g., microwave towers, satellite dishes, amplifiers, digital switching equipment or laying cable or telephone lines) or to acquire real property. Construction costs are allowable only for minor renovations related to the installation of equipment. Note: For FY 2009, the Agency is developing program guidance to facilitate a competition for the 3-year FY 2009 through FY 2011 project period. The FY 2009 program guidance may include, under the TNGP provisions, a limited number of planning grants.) TRCGP - Funds support the development of regional Telehealth Resource Centers (TRCs), which serve as a regional focus for supporting telehealth activities throughout their respective regions; and, one national Telehealth Resource Center focuses on legal and regulatory telehealth issues. Grant funds are used for salaries, equipment, operating, travel expenses, or other costs for: providing technical assistance, training and support; disseminating information and research findings related to telehealth services; promoting effective collaboration among telehealth resource centers and HRSA; conducting evaluations to determine the best utilization of telehealth technologies to meet health care needs; promoting the integration of the technologies used in clinical information systems with other telehealth technologies; fostering the use of telehealth technologies to effectively provide healthcare information and education for health care providers and consumers; and, implementing special projects that involve collaboration among TRCs to advance the field of telehealth. Grant funds are not used for: acquiring real property, equipment costs of more than 40 percent of total grant funds, for equipment or transmission costs not directly related to the grant purposes, to purchase or install general purpose voice telephone systems, construction costs, indirect costs exceeding 15 percent of total grant funds. LPGP - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

**Applicant Eligibility:**

TNGP - A grantee must be a nonprofit or public entity that will provide services through a telehealth network (TNGP-TH) to rural communities or through a telehomecare network (TNGP-THC) to patients in their homes located in either urban underserved or rural communities. Telehomecare network grantees should have demonstrated experience in providing telehomecare services. For both telehealth networks and telehomecare networks, proof of non-profit status is required. Each entity participating in the network may be a nonprofit or for-profit entity. Faith-based and community based organizations are eligible under the TNGP. TRCGP - A grantee must be a public or private nonprofit organization. Faith-based and community based organizations are eligible to apply. Services may be provided to rural or urban communities. LPGP - A grantee must be a State professional licensing board, or a national organization of professional licensing boards that provide services to state licensing boards. Note: American Indian and/or Alaska Native Tribal Organizations are eligible provided those organizations meet the eligibility requirements above.

**Beneficiary Eligibility:**

TNGP - Health care providers in rural areas, in medically underserved areas, in frontier communities, and for medically underserved populations. TNGP-TH grantees include in the network at least two (2) of the following entities (at least one (1) of which shall be a community-based health care provider: (a)



community or migrant health centers or other federally qualified health centers; (b) health care providers, including pharmacists, in private practice; (c) entities operating clinics, including rural health clinics; (d) local health departments; (e) nonprofit hospitals, including community (critical) access hospitals; (f) other publicly funded health or social service agencies; (g) long-term care providers; (h) providers of health care services in the home; (i) providers of outpatient mental health services and entities operating outpatient mental health facilities; (j) local or regional emergency health care providers; (k) institutions of higher education; or (l) entities operating dental clinics. TNGP-THC grantees are experienced in providing telehealth services, have a substantial caseload, are targeted to patients with chronic illnesses and senior citizens, have a history of doing evaluations and monitoring telehomecare network performance in terms of quality, cost, and effectiveness or services. TRCGP - Health care providers in rural areas, in medically underserved areas, in frontier communities, and medically underserved populations. The regional telehealth resource centers must support the activities of existing or developing telehealth networks in their regions to meet the health care needs of rural or other populations to be served, including the improvement of access to services and the quality of the services received by those populations. Regional TRCs have expertise in at least four (4) of the following areas: Clinical Outpatient Specialty Care; Critical or Emergency Care; Residential telehealth (home care)/chronic disease management; Nursing Home/Inpatient Care; Distance Education and Training; Store-and-Forward; Teleradiology. Regional TRCs collaborate with other organizations to address any of the seven areas where they are not expert. The National TRC exhibits expertise in the following areas: Reimbursement (Medicare, Medicaid, private insurance); Licensure (legislative and regulatory issues); Privacy, security, and confidentiality legislation at federal and state levels; Food and Drug Administration regulation; Telecommunications legal and regulatory issues; and, Private credentialing and accreditation organizations and issues (e.g., Joint Commission on Accreditation of Health Care Organizations). Note: American Indian and/or Alaska Native Tribal Organizations are eligible beneficiaries provided those organizations meet the beneficiary requirements above. LPGP - State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. NCC grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Health Information Technology. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

For FY 2008, funding for the third and final year of the 3-year project period will be based upon an evaluation of the grantee's first and second year performance, the third year program design, and expenditure justifications. For FY 2009, funding will be based on selections made under a competitive review process. Final decisions are made by the Associate Administrator, Office of Health Information Technology, Health Resources and Services Administration, based on recommendations made by the Director, Office for the Advancement of Telehealth.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 4 to 5 months.

**Appeals:**

None.

**Renewals:**

Renewals have not been determined.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements for this program.

**Length and Time Phasing of Assistance:**

Competitions are conducted every three years, with up to a 3-year project period. For projects awarded under a competition, grants are made annually each year

for up to 3 years. Projects awarded in FY 2006 have a 3-year project period from FY 2006 through FY 2008 (subject to appropriations), and funding for FY 2008 reflects the third year of the 3-year period. A new competition will be conducted in FY 2009 for a 3-year project period, FY 2009 through FY 2011. Payments are made through an electronic transfer system or cash demand system.

**Reports:**

Annual progress and financial status reports are required 90 days from the end of the budget period, and the final performance report and final financial status report are due 90 days from the end of the project period. Progress reports are to be submitted every six (6) months.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

TNGP - (Grants) FY 07 \$3,946,209; FY 08 \$3,932,000; and FY 09 est \$4,000,000. TRCGP - (Grants) FY 07 \$1,800,000; FY 08 \$1,800,000; and FY 09 est \$1,800,000. LPGP - (Grants) FY 07 \$773,000; FY 08 \$700,000; and FY 09 est \$700,000.

**Range and Average of Financial Assistance:**

TNGP - In FY 06, the first year of the FY 2006-2008 award cycle, the financial assistance ranged from approximately \$226,333 to \$250,000. The average award was approximately \$243,845. In FY 07, the second year of the FY 2006-2008 award cycle, the financial assistance ranged from approximately \$205,360 to \$270,000. The average award was approximately \$246,638. Awards in FY 08 and FY 09 will range from \$210,000 - \$250,000. TRCGP - In FY 06, the first year of the FY 2006-2008 award cycle, for the Regional TRCs, the financial assistance ranged from approximately \$250,000 to \$310,000. The average award was approximately \$297,884. The National TRC received \$160,000. In FY 07, the second year of the FY 2006-2008 award cycle, for the Regional TRCs, the financial assistance was \$325,000 for each of the five grantees. The National TRC received \$175,000. Estimated awards for the Regional TRCs in FY 08 and FY 09 are \$325,000 for each grantee. The National TRC will receive approximately \$175,000. LPGP - In FY 06, the first year of the FY 2006-2008 award cycle, two grantees received \$342,500 each. In FY 07, the second year of the FY 2006-2008 award cycle, the two grantees received \$342,500 and \$344,814. Estimated Awards in FY 08 and FY 09 are \$350,000 for each grantee.

**PROGRAM ACCOMPLISHMENTS:**

For the FY 2006 - FY 2008 funding cycle, the Telehealth programs are building upon the projects' demonstrated skill in evaluation, providing healthcare, and, as appropriate, in legal and regulatory issues and in the provision of technical assistance. TNGP grantees are developing evaluation designs to measure process and outcomes. Quantitative outcomes will measure the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care. The TRCGP and LPGP are newly funded programs for FY 2006 and FY 2007. As such, these grantees are presently building organizational capacity. The TRCGP grantees are developing an extensive array of tools to provide technical assistance, and they are formulating an evaluation design to measure their impact on supporting the activities of existing or developing telehealth networks in their regions to meet the health care needs of rural or other populations to be served, including the improvement of access to services and the quality of the services received by those populations. The LPGP grantees are developing programs under which licensing boards of various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. These grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions. The TNGP has been funded in past cycles. For the last full 3-year cycle of funding 15 grants were awarded from FY 2003 - FY 2006. With approximately \$3.75 million awarded to fund these 15 grants, the TNGP improved access to specialty services for residents of underserved rural communities. With a population of 3.8 million individuals who lived in these underserved communities, access to specialty care was

provided for less than \$1/person/year in TNGP program expenditures. Specialty services include mental health, diabetes, cardiology, dermatology, home health care and monitoring, pediatrics, radiology and many other specialties based on the needs of the particular community where the project is located. For further information on services and activities, see the OAT Grantee Directory at <http://telehealth.hrsa.gov/>. The TNGP has shown home care can improve efficiency by reducing nurse travel time, and individual grantees have reported savings in a variety of small scale studies across different applications. During the three year grant cycle FY 2003 - FY 2005, 7 grantees estimated that telehome care services saved over \$77,000 in salary and travel costs associated with the reduced need for nurses to travel. In addition, several TNGP grantees have demonstrated in small scale studies the efficiency of their telehealth programs in producing tangible savings. The University of Tennessee recently reported a 56 percent decrease in emergency room (ER) visits per month for its telehealth diabetes program patients and a 38 percent decrease in spending on clinic visits per month for telehealth patients. The University of Arkansas has shown that by tracking patient outcomes through its TNGP grant, it has saved the Arkansas Medicaid Program over \$14 million in emergency transports and medical costs by conducting telemedicine consults and assessments on high-risk obstetrics patients in rural areas. The Ohio Tele-mental Health Program reports that of the 709 telecommunication events recorded since the inception of the grant (clinical consultation, management, psychiatric services and education--48 of which were individual direct service encounters) have yielded a savings of \$213,530 in saved mileage and saved staff "downtime." Individual programs have reported a significant impact of the TNGP program on the sustainability of services. Programs in Arkansas, Missouri, Kentucky, and Arizona report a significant impact on their obtaining ongoing state funding. For example, the program in Arkansas reports that its demonstrable success significantly contributed to obtaining Medicaid reimbursement for the telehealth services, and the provision of these services resulted in measurable savings. The Kentucky Telehealth Network program has documented the extensive leveraging of TNGP dollars (for every dollar invested through the HRSA telehealth programs, the program has been able to generate almost \$7 dollars, primarily from the telehealth network sites themselves and the state.) Further, the TNGP is contributing to the ability of grantees to gain additional state and local support. The TNGP funded Kentucky Telehealth Network Program Kentucky has worked with the state legislature to create a statewide telehealth program, as has Missouri and Arizona. The University of Tennessee program reports that for every dollar provided by OAT grants, the program has been able to raise \$2, in large part through service contracts with state and local organizations, such as the Tennessee Department of Children and Family Services, the Tennessee Department of Health, Shelby County government, and the like.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**

Monica Cowan, Project Officer, Office for the Advancement of Telehealth, Office of Health Information Technology, 5600 Fishers Lane, Room 7C-26, Rockville, MD 20857. Telephone: (301) 443-0076.

#### **Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

#### **Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

The TNGP - University of Arkansas for Medical Sciences, Telehealth for Kids in Delta Schools (Telehealth KIDS), Little Rock, AR: The project's purpose is to work with local healthcare providers, facilities, parents and school staff to develop services and protocols that will complement and support local providers, strengthen existing referral patterns, and emphasize services that are currently unavailable in Lee County. The project will focus on children who currently have no doctor or who are currently unable to access available health care services due to poverty, lack of transportation, or complicating family issues. Specific needs identified by Lee County will target Asthma, Diabetes, Behavioral, and General Pediatric Health issues. The project links Whitten Elementary School and Lee High School into the existing network. Telehealth KIDS will use telehealth technology and Telehomecare monitoring to improve access and clinical outcomes, and overall health of Lee County Students. Telehealth KIDS will install interactive video systems. Desktop cameras will be purchased for behavioral consulting by health professionals. Interactive education units will be used at Lee County Health Unit and Lee High School. Telehomecare monitoring will be used for students suffering from asthma and diabetes. Home Health Monitors will be distributed to students' homes. Lee

County Schools are currently connected by T1 lines. The University of Arkansas for Medical Sciences competed and received funding in FY 2006 and FY 2007, and has been operational since 1995. Expected outcomes include reduction of hospitalization and emergency room visits, measuring the impact of telehealth program on controlling blood glucose levels in diabetic patients, collecting data to measure clear outcomes, including improving access for individuals that otherwise would not have such access, productivity, efficiency, dollars saved and quality of services. The project is developing a detailed evaluation and data plan that addresses the required performance measures. The TRCGP - The Great Plains Telehealth Resource and Assistance Center (TRAC) began in October of 2006 and is a partnership of Avera Health, South Dakota; The Evangelical Lutheran Good Samaritan Society, South Dakota; North Dakota State University Telepharmacy Network, North Dakota; Saint Elizabeth Health System, Nebraska; and University of Minnesota Telehealth Network, Minnesota. The Great Plains TRAC serves the five states of South Dakota, North Dakota, Minnesota, Iowa and Nebraska. Assistance will also be provided to other entities in other locations as requested or needed. This Regional TRC will increase telehealth utilization among rural and frontier health care providers by breaking down both geographic and experiential barriers. This center will serve telehealth programs in this region and nationally by focusing on individualized coaching services; providing information, assistance and direction as requested and needed; an on-line toolbox; and a regional telehealth conference. Services provided include: general one-to-one assistance and direction in topics such as telehealth policies/procedures, licensure, scheduling, evaluation, research, and others; on-line resource toolbox; annual regional conference; identify key regional issues; in general, help rural facilities acquire the skills/expertise to implement telehealth programs. The project outcomes are as follows: 1) To increase the knowledge of applications, practices and research findings relating to telehealth; 2) To increase the quality and quantity of standards-based information regarding the best utilization of telehealth technologies; 3) To increase the number of contacts initiated by providers; 4) To improve the skill level of key staff members to conceptualize, plan, implement and evaluate telehealth programs; and, 5) To increase the number of providers that utilize telehealth technology.

The LPGP - Two grantees are developing projects to support State professional licensing boards to carry out programs under which various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine across state boundaries. The grantees are focusing on projects that will reduce impediments to the practice of telemedicine across state lines by physicians and nurses, respectively. The funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions. The grants are intended to result in an expansion of existing state agreements for cross-state recognition of professional licenses.

#### **CRITERIA FOR SELECTING PROPOSALS:**

For FY 2008, non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantee's first two years of performance, the third year program design, and expenditure justifications. For FY 2009, the Agency is developing program guidance to facilitate a competition for the 3-year FY 2009 through FY 2011 project period. (Note: The FY 2009 program guidance may include, under the TNGP provisions, a limited number of planning grants).

## **93.212 CHIROPRACTIC DEMONSTRATION PROJECT GRANTS**

#### **FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Title VII, Section 755(b)(3), 42 U.S.C. 294e, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

#### **OBJECTIVES:**

Grants are awarded to carry out demonstration projects in which chiropractors and physicians collaborate to identify and provide effective treatment for spinal and lower-back conditions. The project requirements include: (1) The project must address the identification and treatment of spinal and/or lower-back conditions; (2) the project must be founded on collaborative efforts between chiropractors and allopathic or osteopathic physicians; (3) each project must include a strong research protocol which will result in a significant expansion of documented research in the area addressed and which is suitable for publication in referred health professions journals, including research oriented publications; (4) the project must include an explicit strategy for case-finding and a strategy for making direct comparisons to other forms of treatment. The results must be generalizable to patients cared for in a clinical practice addressing spinal and/or lower-back conditions; and (5) whenever feasible, minorities and women should

be included in study populations so that research findings can be of benefit to all persons at risk of the disease, disorder, or condition under study.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant and contract funds may be used for personnel, equipment, supplies, domestic travel, consultants and guest lecturers, rental of space, renovations, and other costs directly related to the project as described in the approved application. Program funds may not be used for patient care costs, construction of facilities, acquisition of land, foreign travel, or support of students, including fellowships, stipends, tuition, fees, or travel allowances.

**Applicant Eligibility:**

To be eligible for a Chiropractic Demonstration Project, the applicant shall be: a health professions school, an academic health center, or public or private nonprofit accredited schools of chiropractic.

**Beneficiary Eligibility:**

Health professionals will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 5 to 6 months from receipt of application.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to five years of support.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 5 years.

**Reports:**

The Uniform Progress Report (UPR) must be submitted annually. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$1,802,228; FY 08 \$1,817,438; and FY 09 est \$1,817,438.

**Range and Average of Financial Assistance:**

\$234,633 to \$798,345; \$446,242.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 and FY08, four continuation awards were made. In FY 09, 4 new awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Jerald Katzoff, Program Officer, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9A-21, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4443.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include research projects including interdisciplinary evaluation of elderly back pain treatment outcomes by medical doctors and chiropractors; chiropractic treatment and exercise for geriatric patients with low back pain; and chiropractic treatment and exercise for geriatric patients with neck pain.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; and (6) Support Requested.

## 93.213 RESEARCH AND TRAINING IN COMPLEMENTARY AND ALTERNATIVE MEDICINE

(National Center for Complementary and Alternative Medicine)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 222 and 404E; Public Law 103-43, 42 U.S.C. 217a and 283g, as amended; Public Law 92- 463, as amended.

**OBJECTIVES:**

To evaluate alternative, complementary, or unconventional medical treatments. The following objectives support this goal: (1) coordinate and facilitate the investigation of alternative medical practices through peer-reviewed grant solicitations; (2) interface with the Center's National Advisory Council; (3) conduct technology assessment conferences for the purpose of establishing areas of Clinical and Pre-clinical research that need to be further developed within Alternative Medicine; (4) maintain a comprehensive bibliographic data base in conjunction with the National Library of Medicine; (5) develop and continue contacts with international programs in complementary and alternative medicine (CAM); and (6) establish an intra- and extra-mural clinical research fellowship program focusing on broad areas of clinical, scientific, and administrative training in CAM. The major purpose of all of these programs is to foster collaborations between practitioners of CAM and individuals knowledgeable in biomedical research. The National Center for Complementary and Alternative Medicine (NCCAM) regularly examines and redefines its research priorities. Priorities are set to fill gaps in the research portfolio, capitalize on emerging opportunities, and leverage resources. Using a formal semi-annual planning process, NCCAM considers the existing research portfolio, NCCAM's 5-year strategic plan, plans of other NIH institutes and centers, recommendations of the National Advisory Council for Complementary and Alternative Medicine, as well as input from expert panels and other stakeholders to set its research priorities. Mechanisms of Action: The research portfolio will have an increased emphasis on studies of the mechanisms underlying complementary and alternative medicine (CAM) approaches. The reasons for this emphasis are: (1) elucidating the underlying mechanisms of action of CAM therapies will facilitate their integration into conventional medical care; and (2) mechanistic studies of CAM therapies will improve the identification of key study endpoints and thus strengthen the design of CAM clinical trials. Exploratory Clinical Studies and Phase I and II Clinical Trials: The research portfolio will have an increased emphasis on exploratory, Phase I and Phase II studies of CAM. The objectives of this focus are to: (1) determine active ingredients, pharmacology, bioavailability, and optimal dosing; (2) obtain preliminary data on safety and efficacy; and (3) conduct exploratory clinical studies (e.g., case control, observational, qualitative and experimental studies) to elucidate mechanisms and test models. The outcomes of these studies will form the basis for designing larger trials with an enhanced ability to detect a meaningful positive effect, if any, of the CAM modality under study. Research areas currently of special interest are listed below: (1) anxiety and depression--basic and preclinical research on CAM approaches; (2) cardiovascular diseases--preclinical and early phase clinical studies of CAM approaches to secondary prevention and management of hypertension, atherosclerosis, and congestive heart failure; (3) Eehnomedicine-identification, description, and study of potentially valuable, vanishing traditional or indigenous health care practices in geographic areas



where there is little preservation; (4) immune modulation/enhancement-basic and preclinical studies of CAM approaches that may enhance or inhibit immune responses, including inflammation; (5) inflammatory bowel disease and irritable bowel syndrome-CAM approaches to these conditions; (6) insomnia-CAM approaches to primary and secondary insomnia; (7) liver-CAM approaches to liver diseases; (8) obesity/metabolic syndrome-CAM modalities, particularly mind-body treatments, as adjuvant therapies, especially with respect to the metabolic syndrome and type 2 diabetes; 9) respiratory diseases-CAM approaches to prevention and treatment of infectious respiratory diseases; and (10) NCCAM continues to be highly interested in research on minority and gender health and on health disparities. NCCAM continues to accept applications in areas not listed. All investigators are urged to discuss potential applications with the relevant NCCAM Program Officer.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Training.

**USES AND USE RESTRICTIONS:**

Project grants and cooperative agreements may be made to eligible institutions for the support of various projects in CAM. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals miscellaneous items, and indirect costs. For the individual post-doctoral training grant, support is for salary of the trainee, tuition and fees, self-only health insurance, research supplies, equipment, travel to scientific meetings, and related items.

**Applicant Eligibility:**

The awardee will be either a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations costs are determined by in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. Costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q.

**Preapplication Coordination:**

No preapplication is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

NIH is in the process of converting to SF424 (Research and Related (R&R)) forms and electronic submission through Grants.gov. Information on this plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process are at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Award Procedure: All accepted applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score ranging from the best (100) to worst (500) compete for available funds based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

New Grants and Cooperative Agreements: February 1, June 1, and October 1. Renewals and Supplements: March 1, July 1, and November 1. Postdoctoral Training, April 5, August 5, and December 5.

**Range of Approval/Disapproval Time:**

Grants and Cooperation Agreement: Approximately 10 months. Training: For 9 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Office. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage [www.nih.gov/grants/guide/1997/97.11.21/n21n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n21n2.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years with prior approval before submission. Renewals may be awarded for additional periods of up to 5 years (with prior approval before submission) based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System.

**Reports:**

Progress reports are required each year. Annual financial status report is required

90 days after the end of the budget period. Special reports may be requested by the DHHS. Terminal reports are required 6 months after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0896-0-1-552.

**Obligations:**

(Grants) FY 07 \$85,484,000; FY 08 est \$85,538,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 to \$1,100,000 for grants; \$293,000 average. (\$26,000-\$233,000 for training.)

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 326 grants will be funded in fiscal year 2007 and 351 grants in fiscal year 2008. Currently, five developmental centers are supported that incorporate close collaborations between CAM and conventional institutions. One of these developmental centers is at a school of osteopathic medicine, one at a school of chiropractic medicine, and one at a school of traditional Chinese medicine (e.g., acupuncture). In addition, developmental centers are funded to study mind/body medicine and botanical products. NCCAM, in collaboration with the NIH Office of Dietary Supplements, supports seven Centers for Dietary Supplements Research. Investigators at these seven centers are investigating the role, if any, of dietary supplements to treat and/or prevent age related diseases, cardiovascular disease including metabolic syndrome, and women's health issues. Several large clinical trials were in progress including: Hypericum for Minor Depression; Ginkgo biloba for Preventing Dementia; Saw Palmetto for benign prostatic hyperplasia; EDTA Chelation therapy for Coronary Artery Disease; Acupuncture to treat chronic back pain; and Soy supplements to treat atherosclerosis. Numerous investigator-initiated research grants were studying the breath of CAM modalities including clinical and basic studies of acupuncture, botanicals, chiropractic, homeopathy, massage therapy, naturopathy, Reiki, and Tai Chi to name a few.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Division of Extramural Research and Training, National Center for Complementary and Alternative Medicine, National Institutes of Health, Department of Health and Human Services, 6707 Democracy Blvd. Suite 401, Bethesda, MD 20892-5475. Telephone: (301) 496-4792 Fax: (301) 402-4741.

**Web Site Address:**

<http://nccam.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Centers program is supporting a variety of on-going studies including the use of Mindfulness-Based Stress Reduction, a meditative approach, to help reduce stress and better manage emotions, in people with early stage HIV. Specifically, the effects of meditation on the immune system will be studied to see if meditation can help slow disease progression and delay the need for antiretroviral treatment. Center investigators will evaluate whether certain traditional Chinese medicines and an electrical acupuncture technique can be used to prevent addiction relapse and craving for alcohol and drugs of abuse. They will also seek to determine the physiological mechanisms by which these Chinese medical treatments affect addictive behavior. Several centers will be exploring the mechanisms of action of acupuncture using both animal models and human studies employing state-of-the-art real-time imaging technology. Other studies will examine the potential use of antioxidant CAM therapies for asthma. Researchers will investigate whether these antioxidant treatments can minimize airway inflammation in response to common triggers of asthma, such as ozone or inhaled allergens. Also explored will be the use of mushroom extracts to enhance the immune system's response to tumors, and the healing power of "placebo" particularly strategies to maximize placebo's benefits, improve clinical trial design, and gain insight into mechanisms underlying mind-body medicine. Finally, center investigators will study the effects of osteopathic

manipulation on the musculoskeletal system, lymphatic fluid flow, and reduction of pain from back and neck strain. NCCAM is supporting several large, multisite trials designed to provide critical information for patients and providers. (1) Ginkgo Evaluation on Memory Study. This is a 10-year primary prevention trial testing whether Ginkgo biloba prevents the onset of Alzheimers Disease or other types of Dementia. (2) Trial to Assess Chelation Therapy. This is a 8-year secondary prevention trial testing whether EDTA chelation therapy and/or high-dose vitamins prevent the onset of a subsequent MI in people with coronary artery disease. (3) Acupuncture for Low Back Pain - a 5-year treatment trial comparing individualized acupuncture treatments and standardized acupuncture treatments to both sham controls and usual conventional care in people who have had low back pain for at least three months.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; (6) the relevance and importance to the announced program objectives; and (7) the interfacing of conventional researchers and technology with unconventional/alternative clinicians for the purpose of providing clinical and scientific collaborations when and where appropriate.

**93.217 FAMILY PLANNING-SERVICES**

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title X, Section 1001, 42 U.S.C. 300; Family Planning Services and Population Research Act of 1970, Section 6(c), Public Law 91-572, 84 Stat. 1506, as amended; Family Planning and Population Research Act of 1975, Title II, Sections 204(a) and (b), Public Law 94-63, 89 Stat. 307-308; Public Health Service Extension Act, Section 1(a)(1), Public Law 95-613, 92 Stat. 3093; Appropriation Act of 1991, Public Law 101-517.

**OBJECTIVES:**

To provide educational, counseling, comprehensive medical and social services necessary to enable individuals to freely determine the number and spacing of their children, and by so doing helping to reduce maternal and infant mortality, promote the health of mothers, families and children.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants must be used for family planning services including contraceptive services, infertility services and special services to adolescents. Family planning services include information on all medically approved methods of contraception including natural family planning methods; counseling services, physical examinations including cancer detection and laboratory tests; STD and HIV prevention education, screening and referral; contraceptive supplies, and periodic follow-up examinations. Infertility services include assessment, information, education, and arrangements for referral if necessary. Special services to adolescents include in-depth information, education including abstinence education counseling, and referral to and from other social and medical service agencies, and such ancillary services as are necessary to facilitate clinic attendance for adolescents who need contraceptive services. These family planning services must be available without coercion and with respect for the privacy, dignity, social and religious beliefs of the individuals being served. To the extent possible, entities which receive grants under this subsection shall encourage family participation in projects assisted under this subsection. Funds may not be used in programs where abortion is a method of family planning. Funds may not be used for purchase or construction of buildings; salaries of personnel paid from other Federal grant funds; and certain other miscellaneous items as specified in the regulations. Priority in the provision of services will be given to persons from low-income families.

**Applicant Eligibility:**

Any public (including city, county, local, regional, or State government) entity or nonprofit private entity located in a State (including the District of Columbia, Puerto Rico, Guam, the Commonwealth of the Northern Mariana Islands, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of Marshall Islands and the Republic of Palau) is eligible to apply for a grant. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Persons who desire family planning services and who would not otherwise have access to them. Priority to be given to persons from low-income families. Individuals from other than low-income families will be charged a fee in accordance with an established fee schedule although inability to pay must not be a deterrent to services.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status.

Allowability of costs charged to the grant will be determined in accordance with the following cost principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the Public Health Systems Reporting Requirements.

**Application Procedure:**

The standard application forms, as furnished by PHS and required by 45 CFR 74 (for institutions of higher education, hospitals, and other non-profit organizations), and 45 CFR 92 (for state and local governments) must be used for this program. All other applicants should submit completed Form OPHS-1,(Revised 6/2001), U.S. Department of Health and Human Services Public Health Service Grant Application, documenting the need for the grant and the proposed amount of the grant. The Regional Health Administrator has approval authority for the program. Contact should be made with the appropriate Regional Health Administrator (see name/address in Appendix IV) to obtain the Application Kit. This program is subject to the provisions of 45 CFR 74, 45 CFR 92, as well as OMB Circular No. A-102 (Administrative Guidelines for state and local governments) and OMB Circular No. A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations).

**Award Procedure:**

Following approval by the Regional Health Administrator, the Office of Grants Management, OPHS prepares a Notice of Grant Award, secures necessary clearances and approval signatures, issues the Notice of Grant Award, enters the approved award in the grant payment process, and provides notification of grant approval to the public.

**Deadlines:**

Contact the Regional Offices for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 270 days.

**Appeals:**

None.

**Renewals:**

Projects are generally given commitments of funding for 3 to 5 years. Projects must submit a continuation application each non-competitive year.

**Formula and Matching Requirements:**

This program has no statutory formula. The amount of any award under Title X shall be determined on the basis of the estimate necessary for project performance, provided, however, that the Federal support or grant for a Family Planning Services Project may not be for less than 90 percent (with exceptions) nor equal 100 percent of the total cost of the project.

**Length and Time Phasing of Assistance:**

Usually 1 year.

**Reports:**

Annual expenditure and progress reports. All projects must comply with the requirements of the FPAR, and special reports as requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A - 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A - 133.

**Records:**

HHS and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$253,643,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$47,791 to \$16,962,215; \$2,519,960.

**PROGRAM ACCOMPLISHMENTS:**

None.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 59, 45 CFR 74, 45 CFR 92, PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994.

#### **Regional or Local Office:**

Regional Health Administrator, DHHS Regional Offices (See Appendix IV of the Catalog for addresses).

#### **Headquarters Office:**

Program Contact: Ms. Susan Moskosky, Director, Office of Family Planning, Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-2888. Grants Management Contact: Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853. Telephone: (240) 453-8822.

#### **Web Site Address:**

<http://www.opa.osophs.dhhs.gov>.

#### **RELATED PROGRAMS:**

93.260, Family Planning\_Personnel Training; 93.974, Family Planning\_Service Delivery Improvement Research Grants.

#### **EXAMPLES OF FUNDED PROJECTS:**

Projects include: (1) A State Health Department which subcontracts to service providers throughout an entire State; and (2) a service provider to serve multi-counties or a smaller geographic area.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated in terms of which will best promote the purposes of the authorizing legislation, taking into account: (1) the number of patients to be served, especially low-income patients; (2) local need; (3) relative need of the applicant; (4) applicant's ability to make rapid and effective use of Federal assistance; (5) adequacy of the applicant's facilities and staff; (6) availability and commitment of nonfederal resources within the community; and (7) compliance with pertinent regulations and guidelines.

### **93.220 CLINICAL RESEARCH LOAN REPAYMENT PROGRAM FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS**

(NIH Clinical Research Loan Repayment Program; CR LRP)

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Title IV, Subtitle D, Part G, Section 1631, Public Law 103-43, 107 Stat. 185, 42 U.S.C. 288-5, Public Law 105-392.

#### **OBJECTIVES:**

To recruit and retain health professionals from disadvantaged backgrounds to conduct clinical research at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in clinical research as employees of the NIH for a minimum two-year period.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

#### **USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. One-year continuation contracts are available, dependent upon the level of debt and continued involvement in clinical research. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

#### **Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree; or hold the position of Physician Assistant; (3) come from a disadvantaged background as determined by the Secretary of Health and Human Services; (4) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (5) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (6) are not eligible to participate in the CR-LRP if they have an existing service obligation to Federal, State, or other entities, until such obligation is discharged

or unless it is deferred during the period of program service; (7) submit an application to participate in the CR-LRP; and (8) sign and submit to the Secretary of Health and Human Services, at the time of agreeing to accept repayment of educational loans, a contract agreeing to engage in clinical research as an employee of the NIH for a minimum of 2 years.

#### **Beneficiary Eligibility:**

Clinical researchers from disadvantaged backgrounds who have unpaid educational loans will benefit from this program.

#### **Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from governmental or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during period when debt was incurred; (3) copies of recommendations, special skills, certifications, or other copies of loan documentation; (4) certification from the school(s) attended that the applicant qualified for participation in an educational assistance program for individuals from disadvantaged backgrounds which are sponsored by the Secretary of Health and Human Services or self-certification describing circumstances which qualify him/her under the Secretary's definition of an individual from a disadvantaged background; and (5) other documentation as may be required by law.

#### **Preadmission Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

#### **Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

#### **Deadlines:**

Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

#### **Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 3 months.

#### **Appeals:**

Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to employees.

#### **Renewals:**

At the conclusion of the initial 2-year contract, participants may apply and be recommended for subsequent 1-year continuation contracts under the application and approval procedures specified above.

#### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 2 years and whose renewal ranking scores within the funding range. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services.

#### **Reports:**

Program participants must be certified periodically to have satisfactorily performed the duties of their positions.

#### **Audits:**

None.

#### **Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

#### **Account Identification:**

75-6846-0-1-552.

#### **Obligations:**

(Loan Repayments) FY 07 \$300,070; FY 08 est \$360,724; and FY 09 est 360,724.

#### **Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayments range from \$68,000 to \$70,000, Tax reimbursements range from \$36,000 to \$40,000. The average contract cost which includes loan and tax reimbursement is \$109,350.

#### **PROGRAM ACCOMPLISHMENTS:**

Eight contracts were awarded in fiscal year 2007. It is projected that 7 awards will be made in fiscal year 2008, and 7 awards are projected in fiscal year 2009.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section



487E of Public Health Service Act (42 U.S.C. 288-5); Public Law 105-392; Federal Register, Volume 59, No. 201, October 19, 1994; 42 CFR Part 68a Federal Register, Volume 63, No. 210, October 30, 1998.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Patricia A. Cole, Ph.D., Director Intramural Loan Repayment Programs, National Institutes of Health, Building 2, Room 2E18, 2 Center Drive, Bethesda, MD 20892-0230. LRP Helpline Telephone: (866) 849-4047. Facsimile: (866) 849-4046. Email: lrp@nih.gov .

**Web Site Address:**

www.lrp.nih.gov .

**RELATED PROGRAMS:**

93.936, National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program; 93.162, National Health Service Corps Loan Repayment Program; 93.164, Indian Health Service Educational Loan Repayment; 93.342, Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364, Nursing Student Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Clinical and basic research to evaluate the use of a PET imaging agent, Tc-94m sestamibi, which will allow greater resolution and quantitation and thereby make direct quantitative comparisons of tumor uptake before and after treatment with antagonists possible. Clinical and basic research designed to develop better methods for detection, prevention and therapy for patients with kidney cancer. Research on the molecular genetics and protein chemistry of tumor suppressor genes and in particular, the VHL gene; and studies into the treatment of adult solid tumors, and laboratory research projects in tumor immunology and morphology.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Clinical Research Loan Repayment Program after the LRC determines that the applicant will conduct qualified clinical research and qualifies as being from a disadvantaged background. LRC approval, in part, is based upon the scientific merit of the research and the credentials of the applicant as they relate to performing qualified clinical research.

## 93.223 DEVELOPMENT AND COORDINATION OF RURAL HEALTH SERVICES

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act.

**OBJECTIVES:**

To (1) Build infrastructure through workshops, conferences, etc., (2) develop and provide information to a wide audience, (3) increase awareness of Federal and State resources, and (4) build partnerships between Federal and State governments.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved activities in accordance with the intent of the cooperative agreement as stipulated in the notice of grant award.

**Applicant Eligibility:**

Nonprofit private organizations that represent national, State and local rural health constituencies. The applicant must represent National, State, and local constituency groups who are interested in and committed to improvements in rural health care.

**Beneficiary Eligibility:**

Underserved populations in rural areas and rural health care providers wishing to expand their services. Rural health care advocacy groups and their constituents.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for

awards.

**Award Procedure:**

Applications are reviewed by Federal and nonfederal experts in rural health care. Applications are calculated for merit and are recommended for approval or disapproval. Final decisions are made by the Director, Office of Rural Health Policy.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually for a project period of 5 years.

**Reports:**

A progress report and a financial status report are to be submitted within 90 days after the close of the budget period. A final performance report and financial status report are due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$300,000; FY 08 est \$270,000; and FY 09 est \$300,000.

**Range and Average of Financial Assistance:**

Average award is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

One noncompeting continuation award was funded in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

The Office of Rural Health Policy, Health Resources and Services Administration, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch; Telephone: (301) 443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.913, Grants to States for Operation of Offices of Rural Health.

**EXAMPLES OF FUNDED PROJECTS:**

National and regional meetings of State Offices, meetings and support for the National Recruitment Network, technical assistance to States and local organizations, and funding for five EMS/GIS mapping collaborative projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and rated on the applicant's ability to address the following areas: (1) Developing and disseminating knowledge through the solicitation, review, selection, compilation, and circulation of manuscripts derived from relevant research conducted on rural health issues; (2) organizing, publicizing, and managing meetings to enhance the dissemination of information on rural health care issues, including minority rural health, rural health clinics, and recruitment and retention of health care professionals in rural areas; (3) providing technical and other nonfinancial assistance to State offices of rural health to increase their capability to serve rural residents; (4) developing a network to promote recruitment and retention of health professionals in rural areas; and (5) providing updated information to the public about rural health clinics.

## 93.224 CONSOLIDATED HEALTH CENTERS (COMMUNITY HEALTH CENTERS, MIGRANT HEALTH CENTERS, HEALTH CARE FOR THE HOMELESS, PUBLIC HOUSING PRIMARY CARE, AND SCHOOL BASED HEALTH CENTERS)

### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Section 330(e),(g),(h),(i).

### OBJECTIVES:

To improve the health of the Nation's underserved communities and vulnerable populations by assuring access to comprehensive, culturally competent, quality primary health care services. Individual health center grant mechanisms include: (1) Community Health Centers; (2) Migrant Health Centers; (3) Health Care for the Homeless; and (4) Public Housing Primary Care Program.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Applications should be designed to improve the availability, accessibility and provision of primary health care services. Funds may not be used for inpatient services, or to make cash payments to intended recipients of services.

### Applicant Eligibility:

Eligible applicants are public and non-profit private entities, including tribal, faith-based and community-based organizations that have the capacity to effectively administer the grant.

### Beneficiary Eligibility:

Population groups in medically underserved areas.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for Bureau of Primary Health Care. The Associate Administrator has the authority to make final selections for awards.

### Award Procedure:

Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agency's Authorized Representative, is the authorizing document.

### Deadlines:

[www.hrsa.gov](http://www.hrsa.gov).

### Range of Approval/Disapproval Time:

From 90 to 120 days.

### Appeals:

None.

### Renewals:

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

### Formula and Matching Requirements:

These programs have no statutory formula for the amount of the grant. The amount is negotiated based on costs of the proposed grant activities.

### Length and Time Phasing of Assistance:

Awards are made annually. After Notices of Grant Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

### Reports:

Grantees are required to submit an annual report that describes the costs of its operations, the patterns of use of its services and the availability, accessibility and acceptability of its services provided under the grant, and provide such other

information as the Secretary determines appropriate. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

### Account Identification:

75-0350-0-1-550.

### Obligations:

FY 07 \$1,755,000,000; FY 08 \$1,821,000,000; and FY 09 est \$1,875,000,000.

### Range and Average of Financial Assistance:

\$200,000 to \$10,000,000.

### PROGRAM ACCOMPLISHMENTS:

In FY 07, the Consolidated Health Centers programs served over 16 million patients.

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

### Regional or Local Office:

Headquarters Program Office: Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Eastern Division: (301) 594-4488; Central Mid-Atlantic Division: (301) 594-4420; Western Division: (301) 480-1130.

### Headquarters Office:

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Rockville, MD 20857. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

### Web Site Address:

<http://www.hrsa.gov>.

### RELATED PROGRAMS:

93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers).

### EXAMPLES OF FUNDED PROJECTS:

Community health centers; county health departments, and other community-based organizations.

### CRITERIA FOR SELECTING PROPOSALS:

Criteria for selecting proposals are available in the funding opportunity guidance document. In addition, all applicants are expected to demonstrate compliance with applicable requirements including the Health Center Program Expectations. In addition to these general requirements, there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements of all of those programs.

## 93.225 NATIONAL RESEARCH SERVICE AWARDS- HEALTH SERVICES RESEARCH TRAINING

### FEDERAL AGENCY:

AGENCY FOR HEALTHCARE RESEARCH AND QUALITY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

42 U.S.C. 288, Section 487 of the Public Health Service Act.

### OBJECTIVES:

To provide predoctoral and postdoctoral training opportunities in health services research. Individual fellowships will be awarded directly to applicants for postdoctoral research training. Agency for Healthcare Research and Quality (AHRQ) also cosponsors a predoctoral fellowship program with NIH to enhance diversity in research. Domestic institutions will also be awarded grants to enhance predoctoral and post doctoral training programs and provide support to trainees selected by them. The purpose of these awards is to provide fellows and trainees with both academic training and actual experience in the application of research methods to the systematic analysis and evaluation of the organization,

financing, utilization, and delivery of health care services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Fellowship support is available for full-time health services research training. An institutional allowance is provided to the sponsoring institution for each fellow. Also, research training grants are awarded to institutions to provide support to trainees selected by the training program director at the grantee institution. This support is available for predoctoral and postdoctoral trainees. Offsets for tuition and fees are allowable for trainees, and an amount for institutional expenses will be provided. Facilities and administrative costs may be requested at 8 percent of allowable direct costs, or the negotiated facilities and administrative cost rate, whichever is less. Postdoctoral fellows and trainees in the first 12 months of postdoctoral NRSA support incur one month of payback obligation for each month of support. The thirteenth and subsequent months of postdoctoral NRSA support are considered payback service for prior postdoctoral support. Predoctoral fellows and trainees do not incur a service payback obligation. Discretionary funds are available.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. The applicant institutions must have or expand training programs designed to develop competent investigators in the methods and techniques of conducting health services research. State or local governments and U.S. Territories are eligible. Profit-making organizations are not eligible. Individual applicants for postdoctoral fellowships must have received a clinical or research doctoral degree. Individual applicants for predoctoral fellowships must be from ethnic/racial groups that have been determined to be underrepresented in biomedical or behavioral research. All persons supported as fellows or trainees must be citizens or noncitizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories, are the beneficiaries of this program.

**Credentials/Documentation:**

An individual applicant for a postdoctoral fellowship must document receipt of a doctoral degree and acceptance by an appropriate institutional sponsor. An individual applicant for a predoctoral fellowship must have completed their bachelor's degree and document their acceptance in a research doctoral degree granting program by an appropriate institutional sponsor. Institutional applicants for training grants must document their research and training experiences, staff, curriculum, facilities, and other resources available. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74.

**Preapplication Coordination:**

While there is no program requirement for preapplication, informal preapplication consultation to prospective applicants is available upon request to the Agency for Healthcare Research and Quality (AHRQ) and is recommended. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and information about health services research areas being supported are available from AHRQ. Individual fellowship applicants should submit Form PHS 416-1, (Rev. 10/05). Institutions should submit Form PHS 398 (Rev. 9/04). For State agencies, no State Plan is required. For State and local governments, the standard forms, as furnished by PHS and required by 45 CFR, Part 92, may be used. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Grant Award is issued. Before receiving support, all individual fellows and institutional postdoctoral trainees must submit required forms, including a payback agreement.

**Deadlines:**

Contact Headquarters Office for deadline dates for Institutional Training Grants. Individual applications for predoctoral and postdoctoral fellowships are due: July 23, November 23, and March 23.

**Range of Approval/Disapproval Time:**

From 5 to 6 months from receipt of application.

**Appeals:**

None.

**Renewals:**

If additional support is desired to continue a grant beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Generally, no individual may receive more than 3 years of aggregate National Research Service Award support at the postdoctoral level, or 5 years at the predoctoral level, including any combination

of support from institutional and individual awards.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Individual fellowship support at the postdoctoral level is generally limited to 3 years and at the predoctoral level to 5 years. Institutional training grants may be awarded for project periods up to 5 years. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request system.

**Reports:**

Annual and final progress reports are required. For Institutional Training Grants, a final progress report is due at the close of the project period. Annual Financial Status Reports are also required for Institutional National Research Service Awards. These Financial Status Reports must be submitted within 90 days after the close of each budget period. Annual reports of activities for tracking payback provisions are required of all fellows and trainees upon termination of support.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants records are subject to audit and inspection by Federal auditors.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved. Records relating to individual payback obligations are retained for one year after the individual has fulfilled or has been excused from fulfilling the payback obligation.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Grants) FY 07 \$7,713,000; FY 08 est \$7,820,000; and FY 09 est \$7,820,000.

**Range and Average of Financial Assistance:**

(Individuals) \$35,000 to \$65,000; \$45,000. (Institutions) \$120,000 to \$500,000; \$300,000. These figures are total costs (stipends plus associated costs).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 3 new and 3 continuing individual fellowships were funded and 27 continuing institutional training grants were funded. It is estimated that 6 individual fellowships and 25 institutional training grants will be awarded in fiscal year 2008. In fiscal year 2009, it is estimated that the same number of fellowships and training grants will be awarded as in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 42 CFR Part 66; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Agency for Healthcare Research and Quality (AHRQ), Department of Health and Human Services, 540 Gaither Road, Rockville, MD 20850. Program Contact: Shelley Benjamin (Telephone: (301) 427-1528) or Brenda Harding (Telephone: (301) 427-1527), Division of Research Education. Grants Management Contact: Al Deal, Grants Management Specialist (Telephone: (301) 427-1806). Use the same number for FTS.

**Web Site Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.226, Research on Healthcare Costs, Quality and Outcomes.

**EXAMPLES OF FUNDED PROJECTS:**

Support is provided for training in the following areas: health services research, research methods (including qualitative research), epidemiology, biostatistics, geriatrics, health administration and public health, medical information sciences, health policy and management, organizational behavior, clinical outcomes and effectiveness, primary care, health care quality, health economics and financing, child health, and vulnerable populations.

**CRITERIA FOR SELECTING PROPOSALS:**

For Individual fellowship applications, the following review criteria will be used: (1) The applicant's past academic and research accomplishments; (2) research goals; (3) research training proposed; (4) qualifications of the sponsor; (5) appropriateness of training environment; and (6) reference reports. For Institutional training grant applications, the following review criteria will be used: (1) goals of the proposed training and probability of achievement; (2) substantive content, including courses offered; (3) qualifications and responsibilities of program director and faculty; (4) ability to recruit trainees; (5) extent of institutional participation through provision of necessary space, curriculum time, financial support, and appropriate facilities; (6) documented



cooperation of related agencies in providing research experience; (7) proposed number of students; (8) methods for monitoring and evaluating trainees; and (9) reasonableness of budget. In all cases, AHRQ will consider the recommendations of the review committee, the Council program interests, and availability of funds in making the final selection of grantees.

## 93.226 RESEARCH ON HEALTHCARE COSTS, QUALITY AND OUTCOMES

### FEDERAL AGENCY:

AGENCY FOR HEALTHCARE RESEARCH AND QUALITY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

42 U.S.C. 299 ff., Title IX of the Public Health Service Act.

### OBJECTIVES:

To support research and evaluations, demonstration projects, research networks, and multidisciplinary centers and to disseminate information on health care and on systems for the delivery of such care involving: (1) The quality, effectiveness, efficiency, appropriateness and value of health care services; (2) quality measurement and improvement; (3) the outcomes, cost, cost-effectiveness, and use of health care services and access to such services; (4) clinical practice, including primary care and practice-oriented research; (5) health care technologies, facilities and equipment; (6) health care costs, productivity, organization, and market forces; (7) health promotion and disease prevention, including clinical preventive services; (8) health statistics, surveys, database development, and epidemiology; and (9) medical liability. In support of this research, the Agency has a special interest in health care and its delivery in the inner city, in rural areas, and for priority populations (low-income groups, minority groups, women, children, the elderly, and individuals with special health care needs).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

The research should contribute to the health services knowledge base from which empirically based information can be derived by policymakers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable facilities and administrative costs. Unallowable costs, as well as those for which prior written approval is required, are indicated in the PHS Grants Policy Statement. Discretionary funds are available.

### Applicant Eligibility:

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, U.S. Territories, sponsored organizations, non-government organizations, minority groups, specialized groups, public or private institutions of higher education, and other public or nonprofit private agencies, institutions, or organizations. Research project grants may also be awarded to individuals. For-profit organizations are eligible to apply for these grants only if "cooperative agreement" is the designated funding mechanism. Organizations described in section 501(c)4 of the Internal Revenue Code that engage in lobbying are not eligible.

### Beneficiary Eligibility:

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, public or private nonprofit institutions, U.S. territories, Native American organizations, sponsored organizations, consumers, students, minority groups, specialized groups, health or education professionals, individuals, scientist/researchers, and the general public.

### Credentials/Documentation:

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with DHHS Regulations 45 CFR 74.

### Preapplication Coordination:

There is no program requirement for preapplication. Informal preapplication consultation to prospective applicants is available upon request, but is not required. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications must be submitted in response to a Funding Opportunity Announcement (FOA). All FOAs are posted on [www.Grants.gov](http://www.Grants.gov). Refer to the FOA of interest for specific requirements regarding the application procedure as AHRQ is in the process of transitioning to the new SF-424 Research and Related (R&R) grant application form and to electronic submission through [www.Grants.gov](http://www.Grants.gov) for competing awards. For FOAs that have not yet been transitioned to electronic submission through [Grants.gov](http://Grants.gov), nongovernmental applicants should submit using Form PHS-398 (Rev. November 2007); State and local governments may submit using the standard application forms, as furnished by PHS and required by 45 CFR Part 92. For State agencies, no State Plan is required. Applications are reviewed and evaluated by a group composed primarily of nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110

for nonprofit organizations.

### Award Procedure:

Following review for scientific merit by a group composed primarily of nonfederal scientists, grant applications may be reviewed by the National Advisory Council for Healthcare Research and Quality, after which AHRQ makes final decisions to support approved applications. When such decisions are made, applicants are notified directly by AHRQ staff and all required steps are taken to issue the Notice of Grant Award.

### Deadlines:

Deadlines for new grants vary by program and mechanism. Refer to [www.Grants.gov](http://www.Grants.gov) and the specific FOA to which you plan to apply.

### Range of Approval/Disapproval Time:

From 6 to 9 months from receipt of application.

### Appeals:

None.

### Renewals:

If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Grants may be approved for project periods up to 5 years. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System.

### Reports:

Progress reports are required on an annual basis. Financial Status Reports must be submitted within 90 days after the end of each budget period. Inventions are to be reported immediately. A terminal progress report must be submitted within 90 days after the end of a project.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

### Records:

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved.

### Account Identification:

75-1700-0-1-552.

### Obligations:

(Grants) FY 07 \$80,274,536; FY 08 est \$73,127,391; and FY 09 est \$64,557,046.

### Range and Average of Financial Assistance:

\$9,989 to \$1,482,711; \$261,674. These are total cost figures (direct plus associated facilities and administrative costs if appropriate).

### PROGRAM ACCOMPLISHMENTS:

In fiscal year 2007, 296 grants were provided to universities, hospitals, nonprofit private agencies, State agencies, local government agencies and individuals to conduct health services research and demonstration projects. In fiscal year 2008, it is estimated that approximately 213 grants will be provided to similar organizations and individuals for the support of extramural health services research and demonstration and dissemination projects. In fiscal year 2009, it is estimated that approximately 152 grants will be provided to similar organizations and individuals.

### REGULATIONS, GUIDELINES, AND LITERATURE:

42 CFR 67, Regulations for Grants for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

### Regional or Local Office:

None.

### Headquarters Office:

Agency for Healthcare Research and Quality, Department of Health and Human Services, 540 Gaither Road, Rockville, MD 20850. Program Contacts: Improving Health Outcomes and Evidence-based Practice and Technology Assessment, Jean Slutsky, Director, Center for Outcomes and Evidence (Telephone: (301) 427-1600); Quality of Care, William Munier, MD, Director, Center for Quality Improvement and Patient Safety (Telephone: (301) 427-1349); Primary Care, David Myers, MD, Director, Center for Primary Care Prevention and Clinical Partnerships (Telephone: (301) 427-1500); Cost and Financing, Steven Cohen, PhD, Director, Center for Financing, Access, and Cost Trends (Telephone: (301) 427-1406); Organization, Delivery, and Markets, Irene

Fraser, PhD, Director, Center for Delivery, Organization, and Markets (Telephone: (301) 427-1410); Grants Management Contact: Joan Metcalfe, Grants Management Officer (Telephone: (301) 427-1447). Use the same number for FTS.

**Web Site Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.225, National Research Service Awards\_Health Services Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Centers for Education and Research on Therapeutics; (2) Primary and Secondary Prevention of CHD and Stroke; (3) Improving Pain Management in Nursing Homes; (4) Optimizing Antibiotic Use in Long-Term Care; (5) Improving the Delivery of Effective Care to Minorities; (6) Risk-Adjustment of 1-Year Health Status Outcomes in CAD; (7) Impact of Early Discharge Following Bypass Surgery; (8) Smoking Control in MCH Clinics: Dissemination Strategies; (9) Benefits of Regionalizing Surgery for Medicare Patients.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups of peers and recommended for approval on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Applications may be reviewed for program relevance by the National Advisory Council for Healthcare Research and Quality. Those approved proposals which are most relevant to the identified program priority issues of the AHRQ are funded to the extent that funds are available.

## 93.228 INDIAN HEALTH SERVICE-HEALTH MANAGEMENT DEVELOPMENT PROGRAM

(Indian Health)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Law 83-568, 42 U.S.C. 2001-2004a; Indian Self-Determination and Education Assistance Act, Section 104 (b), Public Law 93-638, 25 U.S.C. 450; Section 9, Public Law 98-250; Public Law 100 - 472.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by providing a full range of curative, preventive and rehabilitative health services; and to improve the management capability of American Indians and Alaska Natives to assume operation of all or part of an existing Indian Health Service (IHS) direct-operated health care program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The assistance is used for four types of management related projects: (1) Feasibility Studies; (2) Planning; (3) Tribal Health Management Structure Development; and (4) Evaluation. Tribal management grants may not be used to support operational programs, or to supplant existing public and private resources. This assistance is available to Federally-recognized Indian Tribes and Tribal-sanctioned Tribal organizations.

**Applicant Eligibility:**

Federally-recognized Tribes and Tribally-sanctioned Tribal organizations.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant Tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as Tribal membership, enrollment, residence on tax exempt land, ownership of restricted property, active participation in Tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of Native Indian or Alaskan descent is required for direct services. Provisions of grants under Public Law 93-638 and its amendments require Tribal endorsement in the form of a Resolution to sanction Tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments (and Circular No. A-122 for Nonprofit Organizations) as implemented through program regulations 42 CFR 36 and applicable grant administration regulations 45 CFR, Part 92, (45 CFR 74 for nonprofit organizations).

**Preapplication Coordination:**

An applicant under Public Law 93-638 seeking to serve more than one Tribe must have approval by Tribal resolution of each Tribe involved. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The applicant package may be found in Grants.gov. or at [http://www.ihs.gov/NonMedicalPrograms/gogp/gogp\\_funding.asp](http://www.ihs.gov/NonMedicalPrograms/gogp/gogp_funding.asp). Information regarding the electronic application process may be directed to Michelle G.

Bulls, Grants Policy Officer at (301) 443-6528. Applications under Public Law 93-638 to staff and manage health services and facilities may be submitted to respective IHS Area Office. Tribal Management Program is processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR 92 for Indian Tribes and OMB Circular No. A-110, if applicant is a nonprofit Tribal organization.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Headquarters.

**Deadlines:**

For Public Law 93-638 grants applications must be submitted 90 days prior to the proposed project start date. Specific types of grant projects may have specific deadlines imposed. Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

90 days. Grants are approved/disapproved within ninety (90) days from receipt of application/proposal in IHS Headquarters.

**Appeals:**

Grant appeals will follow PHS appeals procedures: 42 CFR, Part 50, Subpart D and DHHS appeals procedures: 45 CFR 16.

**Renewals:**

Renewal of grants is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Public Law 93-638, grants are subject to Regulations in November 14, 1975, Federal Register, Vol. 40, No. 221; and administrative requirements under 45 CFR, Part 92 for grants to Indian Tribes and 45 CFR, Part 74 to nonprofit tribal organizations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) Tribal Management: FY 07 \$2,430,000; FY 08 est not available; and FY 09 est not reported. Health Services: FY 07 \$3,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Tribal Management Awards: range of \$50,000 to \$100,000; \$79,690. Health Services Projects: range of \$85,000 to \$185,000; \$182,140.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 23 new and seven continuing Tribal management project grants will be made. In fiscal year 2007, an estimated 20 continuing projects will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36; 45 CFR 92 and 45 CFR 74, PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

See Appendix IV of the Catalog for Indian Health Service Area Offices.

**Headquarters Office:**

Program Contact: For Tribal Management Program: Ms. Patricia Spottedhorse, Program Analyst, Office of Tribal Programs, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-1104. For Health Services Projects and Grants Management Contact: Ms. Lois Hodge, Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov/nonmedicalprograms/tmg/index.asp> .

**RELATED PROGRAMS:**

93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers).

**EXAMPLES OF FUNDED PROJECTS:**

The development of: (1) A management structure (2) an evaluation of Tribal health programs; (3) a feasibility study and comprehensive health plan; (4) a management information system; (5) technical assistance; (6) a development of financial/management systems for Public Law 93-638 programs; and (7) a Federal program analysis.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The apparent capability of the applicant to organize and manage the proposal project successfully considering the adequacy of staff, management systems, equipment and facilities; (2) the soundness of the applicant's plan for conducting the project and for assuring effective utilization of grant funds; (3) the adequacy of the budget in relation to the scope of the project and available funds; and (4) the relative effectiveness of the applicant's plan to carry out each of the requirements as set forth in the application.

## 93.229 DEMONSTRATION COOPERATIVE AGREEMENTS FOR DEVELOPMENT AND IMPLEMENTATION OF CRIMINAL JUSTICE TREATMENT NETWORKS

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES  
ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN  
SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title V, Part B, Section 511, 42 U.S.C. 290bb-4.

**OBJECTIVES:**

To fund integrated criminal justice treatment networks made up of a consortium of criminal justice, substance abuse treatment, primary health and mental health care, and allied social services and job placement agencies in the following three offender populations: Adult Female Offenders, Juvenile Justice Populations and Adult Male Offenders. Each network will develop a strategy to link existing criminal justice-primary care-substance abuse-treatment partnerships into a comprehensive continuum of services in addiction treatment, public health, primary care, mental health, and courts and corrections, with the pivotal points of referral and supervision being either the courts or community corrections (probation and parole agencies).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved network activities for planning and implementation designed to improve the accessibility and effectiveness of community-based offender substance abuse treatment services coordinated with primary care and mental health services in metropolitan areas with populations of 200,000 to 1 million. Funds may not be used to supplant current funding for existing activities. Funds may not be used for the purchase of a facility to house any portion of the proposed program. Any funds proposed for the purpose of renovation expenses must be detailed and linked directly to programmatic activities. Any lease arrangements in association with the proposed program utilizing these funds may not extend beyond the project period or cover non-programmatic activities. Construction costs are not allowed. No less than 98 percent of the total amount awarded to each State must be allocated to the subrecipients. From any remaining funds, the State may recover the lesser of its actual costs of administration (direct and indirect costs) of grant, or 2 percent of the total amount of awards made to subrecipients within the State.

**Applicant Eligibility:**

Applicant Eligibility for this program is limited to the State Alcohol and Drug Abuse Agency which applies on behalf of a consortium of relevant State and local officials, and public and nonprofit private entities who provide or have jurisdiction over providing treatment for substance abuse to individuals under criminal justice supervision. Where the State agency chooses to not be the applicant, public and nonprofit private entities which develop a project on behalf of a consortium may submit applications, directly, but are required to coordinate with the State agency, and the State agency should designate its priorities if more than one application is submitted from that state.

**Beneficiary Eligibility:**

Male and female adult and juvenile offenders with substance abuse and related health problems.

**Credentials/Documentation:**

Applicants must provide a letter(s) of commitment as evidence of collaboration and involvement on the part of a consortium of appropriate State and local officials and public/nonprofit private entities involved in providing treatment for

substance abuse to individuals under criminal justice supervision.

**Preapplication Coordination:**

A letter of intent from prospective applicants is requested 30 days prior to the application receipt date, and should be sent to: Office of Review, Substance Abuse and Mental Health Administration, Rockwall II Building, Suite 630, Rockville, MD 20857, ATTN: Letter of Intent. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All applicants are to use the standard application form PHS 5161-1 (Rev. July 2000), which contains Standard Form 424 (Face Page). Application kits containing the necessary forms and instructions may be obtained by contacting: The National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20857. Telephone: 1(800) 729-6686. Applicants should reference CSAT Grant announcement, "Demonstration Grants for the Development and Implementation of Criminal Justice Treatment Networks."

**Award Procedure:**

Cooperative Agreement Grants in support of projects recommended for approval by the initial review groups and the Advisory Council and the Director, CSAT are awarded by CSAT to the applicant.

**Deadlines:**

No new applications are being accepted.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards will be made for a maximum of 5 years. Year 1 will involve a 9 to 12 month planning period. CSAT approval of the plan is required prior to implementation. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System.

**Reports:**

Unless otherwise specified, progress reports will be required at least quarterly, and a financial status report is required annually. A final progress report and financial status report are required 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

One award of \$1,000,000 was made in FY 2001.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal regulations at Title 45 CFR Parts 74 and 92, generic requirements concerning the administration of grants, and the PHS Grants Policy Statement are applicable to the awards. Guidelines and instructions are included in the application kits available by request from: The National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20857. Telephone: (301) 468-2600 or 1-800-729-6686.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contacts: Randy Muck, Division of Practice and Systems Development, Center for Substance Abuse Treatment, Substance Abuse and Mental Health Services Administration, Public Health Service, Department of



Health and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1576. Use the same number for FTS. Grants Management Contact: Ms. Kimberly Pendleton, Grants Management Officer, Grants Management Office, Office of Program Support, Substance Abuse and Mental Health Services Administration, Public Health Service, Department of Health and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1421. Use the same numbers for FTS.

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

93.144, Demonstration Grants for the Prevention of Alcohol and Drug Abuse Among High-Risk Populations; 93.196, Cooperative Agreements for Drug Abuse Treatment Improvement Projects in Target Cities; 16.585, Drug Court Discretionary Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Denver Juvenile Justice Integrated Treatment Network, Denver, Colorado, The Denver Network is implementing a comprehensive continuum of care for alcohol and other drug abusing juvenile offenders and their families through a collaborative effort of all public juvenile justice/correctional systems, and public and private sector mental health, health, education, pro-social, employment, AOD, and social services; Brooklyn Treatment Court/Women's Treatment Network, Brooklyn, New York, The Brooklyn Treatment Court, a dedicated court linked to a centralized case management unit, serves as the hub of a comprehensive criminal justice and treatment network. Collaborations with the Kings County District Attorney, the Legal Aid Society, the New York City Department of Corrections and other criminal justice agencies have resulted in a comprehensive court-based response to the needs of non-violent substance abuse offenders, where treatment is offered as an alternative to incarceration.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for technical merit review of applications will include the following: Significance of Network to State and Local Efforts (20 percent); Relevancy/Adequacy of Project's Plans (35 percent); Appropriateness of Project Resources, Planning and Management (25 percent); and Adequacy of Evaluation Plans (20 percent). In addition award criteria will include: Representation on the consortium to include the broadest array of health and human services; coordination with other Federal programs; geographical distribution; focus on racial and ethnic minorities; availability of nonfederal resources and the availability of Federal funds.

## 93.230 CONSOLIDATED KNOWLEDGE DEVELOPMENT AND APPLICATION (KD&A) PROGRAM

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title V, Part B, Section 501(d)(5), 42 U.S.C. 290aa.

**OBJECTIVES:**

To provide immediately usable knowledge to improve substance abuse and mental health services in crucial selected areas. SAMHSA's Knowledge Development and Application (KDA) program is aimed at answering important, practical questions and effectively transferring answers to those who need the information. The questions to be answered are not decided by the agency in isolation, but arise from consumers and their families, providers, State officials, constituency organizations, national advisory councils, services researchers, the Congress, HHS, and for substance abuse, the Office of National Drug Control Policy (ONDCP). The program emphasizes knowledge development and application, making sure that this knowledge is relevant and timely. KDA activities are undertaken in actual service settings rather than in artificially created and controlled settings. SAMHSA's KDA program is driven by the needs of the users/providers/systems administrators. SAMHSA announces specific KDA topics annually in the Federal Register. Dissemination of results through multiple channels, including the latest available technology, to inform service providers is an integral part of the KDA program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will provide immediately useful, practical knowledge that service providers need as they wrestle with the rapidly changing health care environment. Funds may not be used to supplant current funding for existing activities. Funds may not be used to pay for services except for additional costs created by the research and may not be used for the purchase of a facility to house any portion of the proposed project. Any funds proposed for the purpose of renovation expenses must be detailed and linked directly to programmatic activities. Any lease arrangements in association with the proposed project utilizing these funds may not extend beyond the project period or cover non-programmatic activities.

Construction costs are not allowed.

**Applicant Eligibility:**

Eligibility for the topical areas under this consolidated program is open to public organizations, such as units of State or local governments and to domestic private nonprofit and for-profit organizations such as community-based organizations, universities, colleges, and hospitals.

**Beneficiary Eligibility:**

Public or domestic private for-profit and nonprofit organizations will benefit.

**Credentials/Documentation:**

Applicants for all topical areas must provide a copy of a letter sent to the Single State Agency for Alcohol and Drug Abuse and/or Mental Health that briefly describes the application. Applicants must also provide proof of licensure, accreditation, certification, or chartering to provide substance abuse and/or mental health services or such other credential documentation as specified for a particular topical area.

**Preapplication Coordination:**

A letter of intent from prospective applicants is requested at least 30 days prior to the application receipt date, and should be sent to: Office of Extramural Activities Review, SAMHSA, 1 Choke Cherry Road, Rockville, MD 20857, ATTN: Letter of Intent. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All applicants must use application form PHS 5161-1 (July, 2000) Application kits containing the necessary forms and instructions may be obtained by contacting: The National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20847-2345. Telephone: (301) 468-2600 or 1(800) 729-6686, or the National Mental Health Services Knowledge Exchange Network (KEN) at 1(800) 789-2647.

**Award Procedure:**

Applications for grants and cooperative agreements recommended for approval by the initial review group and concurred in by the appropriate National Advisory Council and the Center Director(s) are awarded directly by each Center (Center for Mental Health Services (CMHS), Center for Substance Abuse Prevention (CSAP), and Center for Substance Abuse Treatment (CSAT)) to the applicant organization.

**Deadlines:**

Contact Division of Extramural Activities, Policy, and Review, SAMHSA, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1199 for the receipt date(s) for applications.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a 3-year project period with 12-month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System.

**Reports:**

Unless otherwise specified, progress reports will be required at least quarterly, and a financial status report is required annually. A final progress report and financial status report are required 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. In addition, 45 CFR 74.26 requires that for-profit recipients and Subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants/Cooperative Agreements) FY 07 \$23,313,874; FY 08 est \$500,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$23,313,874 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 51 awards were made. It is estimated that in fiscal year 2008 1 award will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92 and the PHS Grants Policy Statement. Guidelines and instructions are included in the application kits available by request from: The National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20847-2345. Telephone: (301) 468-2600 or 1(800) 729-6686, or the National Mental Health Services Knowledge Exchange Network (KEN) at 1(800) 789-2647.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Jack Stein; Telephone: (240) 276-2950; and CSAT programmatic contact: George Gilbert; Telephone: (240) 276-1681; Grants Management contact: Kathleen Sample, Division of Grants Management, Substance Abuse and Mental Health Services Administration, 1 Choke Cherry Road, Room 7-1091; Telephone: (240) 276-1407; Email: kathleen.sample@samhsa.hhs.gov.

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In CMHS some of the funded programs were: HIV/AIDS-Education, HIV/AIDS Outcome & Costs Study, HIV AIDS High Risk, Child Mental Health, Criminal Justice Diversion, Circles of Care, etc. In CSAP some of the funded programs were: State Incentive Grants, Workplace and Managed Care, Early Childhood Problems, Starting Early/Starting Smart, Community-Initiated Prevention Interventions, Substance Abuse Prevention/HIV Care, Parenting and Family Strengthening Prevention Interventions: A Dissemination of Innovations Study, CAPT, etc. In CSAT, some of the programs funded were: Replication of Effective Treatment for Methamphetamine Dependence, Targeted Capacity Expansion, Women and Violence, etc. Some programs funded in CMHS were: Circles of Care, Child Mental Health Initiative, HIV/AIDS Cost Study, Jail Diversion, etc.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for technical merit review of applications will include the following: 1) Potential significance of proposed project; 2) Appropriateness of applicant's proposed objectives to the goals of the specific program; 3) Adequacy and appropriateness of the proposed approach and activities; 4) Adequacy of available resources, such as facilities and equipment; 5) Qualifications and experience of the applicant organization, the project director, and other key personnel; and, 6) Reasonableness of the proposed budget. In addition, award criteria will include the availability of Federal funds.

**93.231 EPIDEMIOLOGY COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Improvement Act, Title II, Section 214(a)(1), Public Law 94-437, as amended; Public Law 102-573.

**OBJECTIVES:**

To develop epidemiology centers and public health infrastructure through the augmentation of existing programs with expertise in epidemiology and a history of regional support. Activities should include, but not be limited to, development of surveillance for disease conditions, epidemiological analysis, interpretation, and dissemination of surveillance data, investigation of disease outbreaks, development and implementation of epidemiological studies, development and implementation of disease control and prevention programs, and coordination of activities with other public health authorities in the region. Proposed activities which cover large population and/or geographical areas that do not necessarily correspond with current Indian Health Service (IHS) administrative areas are encouraged.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used to develop and conduct activities to achieve epidemiology programs. The recipient activities will coordinate and participate in projects, investigations, or studies of national scope; and share surveillance and other data collected. IHS activities will convene workshops/meetings; provide technical assistance and consultation; provide training; conduct site visits; and coordinate all epidemiological activities on a national basis.

**Applicant Eligibility:**

Any federally recognized Indian tribe or tribal organization, as defined in Section 4(d) and 4(e) of the Indian Health Care Improvement Act, Public Law 94-437, as amended. An intertribal consortia or Indian organization, if it is

incorporated for the primary purpose of improving Indian health, and it is representative of the tribes or urban Indian communities in which it is located.

An urban Indian organization is defined as a nonprofit corporate body situated in an urban center eligible for services under Title V of the Indian Health Care Improvement Act, Public Law 94-437, as amended.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will benefit.

**Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; (2) tribal resolution(s); and (3) letters of support and collaboration with regional IHS, State, or university organizations. Costs will be determined in accordance with OMB Circular No. A-87 (State, local, and Indian tribal governments). OMB Circular No. A-122 (nonprofit organizations), and applicable grant administration regulations 45 CFR 74 and 45 CFR 92.

**Preamplification Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer; Telephone: (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us, as furnished by Public Health Service (PHS) and required by 45 CFR 92 (State and local governments), and OMB Circular No. A-110 (nonprofit organizations) must be used for cooperative agreements under this program.

**Award Procedure:**

Cooperative agreements are made based on results of a competitive review process.

**Deadlines:**

For specific information on the application deadline, contact the Division of Grants Operations. Telephone: (301) 443-5204.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreements will be awarded for project periods of up to 3 years. Within the project period, a continuation application must be submitted via grants.gov annually on a non-competitive basis for each year of support.

**Reports:**

Reporting requirements are consistent with 45 CFR 92 for Indian tribes and with 45 CFR 74 for nonprofit organizations. Semi-annual and final program progress reports will be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$5,816,700; FY 08 \$6,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$399,500 to \$540,000; \$469,750.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005 11 projects were funded. It is estimated that up to 12 projects

will be funded in fiscal years 2006 and 12 in 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 94-437, Section 214(a)(1), as amended by Public Law 102-573; 45 CFR 92 and 45 CFR 74; authorizes the cooperative agreement grant awards. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. James Cheek; Division of Epidemiology and Disease Prevention, Indian Health Service, Headquarters West, 5300 Homestead Road, NE; Albuquerque, New Mexico 87110; Telephone: (505) 248-4132. For Grants Management Contact: Ms. Kimberly Pendleton; Senior Grants Management Officer, Division of Grants Operations, Indian Health Service; 801 Thompson Avenue, TMP, Suite 360; Rockville, Maryland 20852; Telephone: (301) 443-5204. (Telephone numbers are not toll-free).

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) The Northwest Portland Area Indian Health Board has established a Northwest Tribal Epidemiology Center in Portland, Oregon to serve the 39 federally-recognized tribes who are its members plus the two urban Indian organizations in the Portland Area of the Indian Health Center; and (2) The Alaska Native Tribal Health Consortium is establishing a new Alaska Native Epidemiology Center in Anchorage, Alaska, which will enhance the ability of Alaska Native health provider agencies to assess long-term changes in the health status of Alaska's 100,000 native people.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are introduction, current capacity and project objectives, approach and results and benefits, project evaluation, organization capabilities and qualifications, and budget. Consideration will be given to applicants: (1) Proposing to provide services to large regions consisting of more than a single IHS administrative area; and (2) demonstrating evidence of past and current epidemiological activities.

**93.232 LOAN REPAYMENT PROGRAM FOR GENERAL RESEARCH**

(NIH General Research Loan Repayment Program; GR-LRP)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part VI, Section 487C, as amended, Public Law 103-43, 42 U.S.C. 288-3, Public Law 105-392.

**OBJECTIVES:**

To recruit and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in laboratory or clinical research as employees of the NIH for a minimum 3-year period.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in laboratory or clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 3 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts for 1-year terms are available, dependent upon the level of debt and continued involvement in research that supports the research and institutional needs and the mission of the NIH. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (4) be appointed to the NIH Intramural Research Program under any temporary or permanent employment mechanism, so long as the

employment has the potential to last a minimum of three years; (5) not be under any existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (6) submit an application to participate in the Loan Repayment Program for General Research; and (7) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in research as an employee of the NIH for a minimum of 3 years.

**Beneficiary Eligibility:**

NIH researchers who possess substantial unpaid educational debt relative to income will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from government or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during the period in which the debt was incurred; and (3) other documentation as may be required.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 3 months.

**Appeals:**

None.

**Renewals:**

At the conclusion of the initial 3-year contract, participants may apply and be considered for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 3-year period. One-year continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 3 years. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services.

**Reports:**

Program participants must be periodically certified to have satisfactorily performed the duties of their positions.

**Audits:**

None.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Loan Repayments) FY 07 \$4,090,289; FY 08 est \$4,767,520; and FY 09 est 4,767,520.

**Range and Average of Financial Assistance:**

For initial 3-year contracts, loan repayment awards may range from \$12,600 to \$105,000; Tax reimbursements range from \$7,317 to \$60,653. The average contract cost which includes loan and tax reimbursement is \$97,502.

**PROGRAM ACCOMPLISHMENTS:**

Sixty-nine awards were made in fiscal year 2007. NIH projects that 80 awards will be made in fiscal year 2008 and 80 awards are projected in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487C of the Public Health Service Act (42 U.S.C. 288-3); Public Law 105-392; and Federal Register, Volume 59, No. 201, October 19, 1994. Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Patricia A. Cole, Ph.D., Director, Intramural



Loan Repayment Programs, National Institutes of Health, Building 2, Room 2E18, Bethesda, MD 20892-0230. LRP Helpline Telephone: (866) 849-4047. Facsimile: 866-849-4046. Email: lrp@nih.gov.

**Web Site Address:**  
www.lrp.nih.gov.

**RELATED PROGRAMS:**

93.936, National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program; 93.162, National Health Service Corps Loan Repayment Program; 93.164, Indian Health Service Educational Loan Repayment; 93.220, Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.364, Nursing Student Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Implementation of studies on the mood and anxiety disorders in children and adolescents. Evaluation of the effects of radiation-induced cell damage. Identification of the specific and unique markers for the human marrow stromal fibroblasts (HMSFs) colonies which give rise to bone, at the DNA and protein levels. Investigation of the molecular mechanisms responsible for RNA syntheses by RNA polymerase III; development of Human Artificial Chromosome Vectors for use in gene transfer studies; and application of gene transfer strategies to clinical manifestations of genetic diseases.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH General Research Loan Repayment Program after the LRC determines that the applicant will conduct qualified research and has qualifying educational debt. LRC approval, in part, is based upon the scientific merit of the research, its priority to the research institutes, and the credentials of the applicant.

## 93.233 NATIONAL CENTER ON SLEEP DISORDERS RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

NIH Reauthorization Act of 1993, Public Health Service Act, Section 503; Subpart 2, Part C, Title IV, Section 424, 42 U.S.C. 285b et seq.

**OBJECTIVES:**

The purpose of the Center is to support research, training, health information dissemination and other activities with respect to sleep and sleep disorders, including biological and circadian rhythm research, basic understanding of sleep, chronobiological and other sleep related research; and to coordinate the activities of the Center with related activities of other Federal agencies, public and nonprofit organizations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are

independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Effective for the December 1, 2005 submission date and beyond, all SBIR and STTR Phase I, Phase II, and Fast-Track grant applications must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 (R&R) forms and Application Instruction Guide. Complete SBIR and STTR application instructions, including requirements for electronic submission, can be found at <http://grants.nih.gov/grants/funding/sbir.htm>.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA applications may be obtained from and submitted to the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: [asknih@od.nih.gov](mailto:asknih@od.nih.gov). For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Research Grants: February 1, June 1, and October 1 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplementals: March 1, July 1, and November 1. Individual NRSAs: April 5, August 5, and December 10. Individual NRSA: January 10, May 10, and September 10. SBIR/STTR Grants: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the

Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH grants information page <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Grants) FY 07 \$52,938,299; FY 08 est \$52,938,299; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$13,316 to \$1,585,118; \$401,255; Small Business Innovation Research/Small Business Technology Awards: Phase I - \$100,000; Phase II - up to \$750,000 for STTR and up to \$750,000 for SBIR.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 126 research grants, and 8 National Research Service Awards were made. In fiscal year 2006, for new and competing renewal awards: 130 sleep grant applications were received, and of these, 24 were awarded; 6 Small Business Innovation Research Phase I awards, and 2 Phase II awards were made in fiscal year 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; "NIH Guide for Grants and Contracts, and Supplements"; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Director, National Center on Sleep Disorders Research, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0199. James MacKenzie, Administrative Officer. Telephone: (301) 435-6373. Small Business Innovation Research Program: Deputy Director, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0266. Grants Management Contact: Ms. Suzanne White, Grants Management Officer, Grants Operations Branch, Office of Program Policy and Procedures, National Heart, Lung and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0144. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nhlbi.nih.gov/sleep>.

**RELATED PROGRAMS:**

93.838, Lung Diseases Research; 93.837, Cardiovascular Diseases Research; 93.839, Blood Diseases and Resources Research.

**EXAMPLES OF FUNDED PROJECTS:**

1) Phenotypic Characterization of Sleep in Mice (HL-99-001); (2) Nocturnal Asthma, Chronobiology and Sleep (HL-99-011); (3) Research on Sleep and

Sleep Disorders (PA-06-238; PA-05-046); (4) Mechanisms Linking Short Sleep Duration and Risk of Obesity or Overweight (HL-06-003); (5) the Specialized Centers of Research (SCOR) program in Neurobiology of Sleep and Sleep Apnea, (6) Innovative Application of Nanotechnology to Heart, Lung, Blood, and Sleep Disorders (PAR-06-287)

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? (2) Approach: Are the conceptual or clinical framework, design, methods, and analyses adequately developed, well integrated, well reasoned, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? (3) Innovation: Is the project original and innovative? For example: Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches, methodologies, tools, or technologies for this area? (4) Investigators: Are the investigators appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers? Does the investigative team bring complementary and integrated expertise to the project (if applicable)? (5) Environment: Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment, or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? Complete review criteria can be found at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-002.html>. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Complete SBIR review criteria can be found at [http://grants1.nih.gov/grants/funding/sbirstr\\_ReviewCriteria.htm](http://grants1.nih.gov/grants/funding/sbirstr_ReviewCriteria.htm).

**93.234 TRAUMATIC BRAIN INJURY STATE DEMONSTRATION GRANT PROGRAM**

(TBI)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 1252, as amended, Public Law 104-166, 42 U.S.C. 300d-52.

**OBJECTIVES:**

To improve access to health and other services for individuals with TBI and their families.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project grants to States to improve access to health and other TBI-related services for people of all ages are established within HRSA. Any State seeking TBI grant funds is required to agree to establish or have an advisory board within the appropriate health department of the State or within another department as designated by the Chief Executive Officer of the State. The Board's composition as specified must include representatives of the involved State agencies; public and nonprofit private health related organizations; disability advisory or planning groups; members of an organization or foundation representing individuals with TBI; State and local injury control

programs if they exist, and a substantial number of individuals with TBI and/or their family members. The grants are called "Implementation Partnership Grants." These grants are to be used in building a statewide system to assure access to comprehensive and coordinated TBI services. Grants can address a wide range of activities and should reflect gaps or needed system change identified through the statewide TBI needs assessment.

**Applicant Eligibility:**

Only State governments are eligible to apply for funding under the TBI grant program. The application for Implementation Partnership funds may only come from the State agency designated as the lead for TBI services. The State maternal and child health program is expected to be involved in the program. Only one application from each State may enter the review process and be considered for an award under this program.

**Beneficiary Eligibility:**

Individuals with TBI and their families, including those in high risk groups, such as children and youth, the elderly, Native Americans and Alaska natives, military service members and veterans.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed by a peer review committee of experts and persons with TBI or their family members who are generally nongovernmental. Applications are reviewed based on their merit and ranked according to a point score. Final decisions are made by the Associate Administrator for Maternal and Child Health.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately two to three months after receipt of applications.

**Appeals:**

None.

**Renewals:**

No renewals; grants are approved for up to three years for Implementation Grants.

**Formula and Matching Requirements:**

States must make available nonfederal cash or in-kind matching funds in an amount that is not less than \$1 for each \$2 of Federal funds provided under the grant.

**Length and Time Phasing of Assistance:**

Awards are made annually in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are for one, two or three years.

**Reports:**

Annual program reports, financial status reports, program service reports, and special reports must be submitted as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$5,403,053; FY 08 est \$5,314,680; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$70,000-\$200,000 \$107,879.

**PROGRAM ACCOMPLISHMENTS:**

In FY 06, 42 total projects were funded. Six projects were added in FY 07 and two additional projects were supported in FY 08. The goal of the TBI State grant program is to assure all States and Territories have a solid and supportive TBI infrastructure.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Janie Martin-Heppel, Project Director, Division of Services for Children with Special Health Care Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2370, E-mail: jmartin-heppel@hrsa.gov.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.127, Emergency Medical Services for Children; 93.110, Maternal and Child Health Federal Consolidated Programs.

**EXAMPLES OF FUNDED PROJECTS:**

New York State Traumatic Brain Injury (TBI) Program for Culturally Competent TBI Services in NY City, Arizona KIDS with TBI, Oregon TBI Link Improving Access to Services for Individuals with TBI and Alabama an Interactive Community Based Model for Children with TBI.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed by nonfederal consultants who make recommendations to the Secretary of the Department. The Secretary will approve projects which best promote the purposes of TBI grants. Review criteria: The following review criteria apply to the State implementation grant: (1) the adequacy of the State's proposed method for linking its Statewide TBI Action Plan to the findings of the statewide needs assessment; (2) the extent to which the proposal reflects the involvement of necessary public/private organizations and agencies to assure a comprehensive approach and the necessary support to aid sustainability (3) the qualifications, experience, and commitment to the program as indicated by time that will be devoted to the program, of the designated lead person for TBI within the State; (4) the extent to which the proposed plan addresses those groups within the State that are at highest risk of sustaining a TBI, including, these groups, identified by the CDC: Children from 0-4, Adolescents from 15-19, the elderly, Native Americans, and other underserved populations. In addition, there should be a plan to assist veterans and service members and their families who request assistance. (5) reasonableness of the proposed budget, and effectiveness of the proposed plan to accomplish the goals and objectives the State has for its TBI program.

## 93.235 ABSTINENCE EDUCATION PROGRAM

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title V, Section 510, 42 U.S.C. 710.

**OBJECTIVES:**

To enable States to provide abstinence education and, at the option of the State, where appropriate, mentoring, counseling, and adult supervision to promote abstinence from sexual activity until marriage among teens, with a focus on groups that are most likely to bear children out of wedlock.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

For the purpose of this section (Section 510), the term "Abstinence Education" means an educational or motivational program which (a) has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity; (b) teaches abstinence from sexual activity outside marriage as the expected standard for all school age children; (c) teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems; (d) teaches that a mutually faithful monogamous relationship in context of marriage is the expected standard of human sexual activity; (e) teaches that sexual activity outside of the context of marriage is likely to have



harmful psychological and physical effects; (f) teaches that bearing children out of wedlock is likely to have harmful consequences for the child, the child's parents, and society; (g) teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and (h) teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

The Governor of each State shall determine which agency will administer the Section 510 Abstinence Education program in each State. A letter from the Governor, or a designee within the Governor's office, must accompany each application. The application may be developed in consultation with the State Maternal and Child Health Services (MCHS) Agency as outlined by (Sec 505 (a)(5)(F)) or solely by a social services agency within the State that is identified and designated by the Governor. No funding will be awarded unless the State "has transmitted an application for the fiscal year under section 505(a)" of the Social Security Act, as required by section 510(a).

**Beneficiary Eligibility:**

School-age girls and boys, adolescents, at-risk populations subject to out-of-wedlock births, parents, youth serving professionals and families.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Annual submission of a State application and annual report are required prior to the allocation of funds.

**Award Procedure:**

Funds are allocated to States by way of the letter of credit system subsequent to the review and approval of the State application and annual report.

**Deadlines:**

As specified in the announcement or application instructions.

**Range of Approval/Disapproval Time:**

From 1 to 2 months.

**Appeals:**

None.

**Renewals:**

Funds will be made available annually to any State submitting an acceptable application.

**Formula and Matching Requirements:**

Funds are allocated among the States and jurisdictions based on a formula determined by the proportion that the number of low income children in the State bears to the total number of low income children for all States. There is a required match of 3 nonfederal dollars for every 4 Federal dollars.

**Length and Time Phasing of Assistance:**

Funds are awarded each fiscal year in quarterly installments to the States and Jurisdictions. States have until one full year after the end of the fiscal year to fund activities with the grant due to the likelihood of State sub-contracting the funds.

**Reports:**

Each State must prepare and submit an annual report on the activities undertaken. Reports will contain information and be formatted as the Secretary requires in the program application guidance.

**Audits:**

As described in Title V, Section 506(b)(1) of the Social Security Act, each state shall, not less often than once every two years, audit its expenditures from amounts received under this title.

**Records:**

Records of the recipient shall be made available to the Secretary to secure an accurate description of the activities for which funds were spent in achieving the purposes of this section. States shall make available copies of reports and audits for public inspection within the State. Within 30 days following the completion of each audit report, the State shall submit a copy of that audit report to the Secretary.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$38,673,246; FY 08 \$50,000,000; and FY 09 est \$50,000,000.

**Range and Average of Financial Assistance:**

\$13,501 to \$7,055,240; \$847,458.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 43 grants were awarded; 59 grants are projected in FY 08 and it is estimated that 59 grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information may be obtained by contacting the Family and Youth Services Bureau, Office of Abstinence Education, Administration for Children, Youth and Families, 1250 Maryland Avenue, SW, Washington, DC 20447.

**Regional or Local Office:**

None.

**Headquarters Office:**

Scott T. Riggins, U.S. Department of Health and Human Services; Family and Youth Services Bureau; 1250 Maryland Avenue, SW Washington, DC 20447.

Grants Management, Financial Management Specialist; U.S. Department of Health and Human Services, Administration for Children and Families, Office of Administration; Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.010, Community-Based Abstinence Education (CBAE); 93.111, Adolescent Family Life Research Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects may be requested through the Office of Abstinence Education.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.236 GRANTS FOR DENTAL PUBLIC HEALTH RESIDENCY TRAINING**

Dental Public Health Residency Training (DPHRT) and Grants to States to Support Oral Health Workforce Activities (SSOHW)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 768; Health Professions Education Partnerships Act of 1998, Public Law 105-392 SSOHW: Part D of Title III of the Public Health Service Act as amended, Subpart X, Primary Dental Programs, Section 340 G (42 U.S.C. 256g).

**OBJECTIVES:**

To plan and develop new residency training programs and to maintain or improve existing residency training programs in dental public health; and to provide financial assistance to residency trainees enrolled in such programs. To improve the accessibility of the oral health workforce for underserved geographic areas and populations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new dental public health residency training programs and providing financial assistance to trainees enrolled in the programs. Grants may not be used for construction or for providing direct patient services. SSOHW: Grants are intended to assist activities in States that are geographically dispersed throughout the United States and support a group of projects that address the oral health workforce needs of underserved urban and rural populations. Grants funds may not be used to take the place of current funding for the activities.

**Applicant Eligibility:**

An entity that offers a Dental Public Health Training Program accredited by the American Dental Association Commission on Dental Accreditation, such as a School of Public Health or Dentistry, is eligible to apply. Governmental and nonprofit entities, including faith-based and community-based organizations, that meet other eligibility requirements, are eligible to apply. Each applicant must demonstrate that the institution has or will have available full-time faculty members with training and experience in the field of dental public health and support from other faculty members trained in public health and other relevant specialties and disciplines. Eligible applicants include Governor appointed State government entities. Each State is limited to only one application, and must address one or more of twelve activities for addressing oral health workforce needs as contained in the authorizing legislation and program guidance for applicants. Applicants must have significant experience with addressing oral health workforce issues in underserved populations.

**Beneficiary Eligibility:**

An entity that offers a Dental Public Health Training Program accredited by the American Dental Association Commission on Dental Accreditation, such as a School of Public Health or Dentistry, is eligible to apply. Governmental and nonprofit entities, including faith-based and community-based organizations, that meet other eligibility requirements, are eligible to apply. Beneficiaries include Governor appointed State government entities. It is anticipated the oral health workforce also will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding

recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

A Notice of the Grant Award will be issued from the Headquarters Office.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of application.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to 3 years of support.

**Formula and Matching Requirements:**

None. An entity that receives a grant under this program must contribute non-Federal funds to activities carried out under this grant to an amount equal to at least 40 percent of the federal funding in support of the project. Matching funds may be a combination of in-kind contributions, fairly valued, and any other funding from State, local, community, or other organization sources.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years.

**Reports:**

A progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

DPHRT: (Grants) FY 07 \$454,704; FY 08 est \$481,316; and FY 09 est not available. SSOHWA: (Grants) FY 07 \$1,980,000; FY 08 \$4,612,180; and FY 09 est \$4,612,180.

**Range and Average of Financial Assistance:**

DPHRT: (FY 07) \$84,000 to \$100,000; \$90,940 average. SSOHWA: (FY 07) \$95,627 to \$137,388; \$110,000.

**PROGRAM ACCOMPLISHMENTS:**

DPHRT: In FY 07, 5 awards were made. In FY 08, 5 non-competing continuation awards are anticipated. SSOHWA: In FY 07, 18 non-competing continuation awards were made. In FY 08, 18 non-competing continuation and an estimated 12 one-year awards will have been made. In FY 09, it is anticipated that approximately \$4.6 million will be awarded to fund 25 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

DPHRT: John R. Kress, MHA, Program Officer, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6864 and E-mail address jkress@hrsa.gov.  
SSOHWA: Jerald Katzoff, Program Officer, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-21, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4443 and E-mail address jkatzoff@hrsa.gov.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Health Services Branch; Telephone: (301) 443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

SSOHWA: The 18 projects awarded in FY 06 incorporated one or more of the following twelve oral health workforce activities: (1) loan forgiveness and repayment programs for dentists who serve in dental health professions shortage areas and who agree to provide services to patients regardless of the patient's ability to pay; (2) recruitment and retention efforts; (3) grants, low-interest and no-interest loans to help providers who participate in Medicaid program establish and expand dental practices; (4) establish or expand dental residency programs in States without a dental school; (5) programs to expand or establish oral health activities in dental health professional shortage areas such as community-based dental facilities, free standing dental clinics, mobile or portable dental clinics, and private dental services to enhance capacity through additional equipment or hours of operation; (6) placement and support of dental students, residents, and advanced dental trainees; (7) continuing dental education including distance-based education; (8) practice support through teledentistry; (9) community-based prevention services such as water fluoridation and dental sealant programs; (10) coordination with education systems to promote children going into oral health or science professions; (11) establish faculty recruitment programs in dental training institutions noted for community outreach and serving the underserved; and (12) develop or augment an existing state dental officer to coordinate State oral health and access issues.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal consultant(s) for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the application.

**93.237 SPECIAL DIABETES PROGRAM FOR INDIANS-  
DIABETES PREVENTION AND TREATMENT PROJECTS**

(Indian Health)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33; Consolidated Appropriation Act 2001, Public Law 106-554; SDPI Reauthorization of 2002 Public Law 107-360 (FY 2004 through FY 2008).

**OBJECTIVES:**

To promote improved health care among American Indians/Alaska Natives through special diabetes prevention and treatment services projects with objectives and priorities determined at the local level. SDPI Reauthorization of 2002 includes a new initiative. The funding mechanism is a competitive grant program that will provide funding to selected SDPI grantees for a demonstration project to implement and evaluate defined activities in two areas - primary prevention of diabetes in people with prediabetes and prevention of cardiovascular disease in people with diabetes.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Public Law 107-360 funds (FY 2004-2008) to fund: 1) non-competitive grant programs to implement primary, secondary, and tertiary diabetic prevention and treatment and related data collection and 2) competitive demonstration projects to implement and evaluate (a) primary prevention of diabetes in people with prediabetes and (b) prevention of cardiovascular disease in people with diabetes. The award amount will include both direct and indirect costs. Grant funds may not be used for any other purpose. Funding may not be used as matching funds for other Federal programs.

**Applicant Eligibility:**

The Public Health Service Act, as amended, states that the following groups are eligible to apply for grants: Indian Health Service (IHS) entities: Indian tribes or tribal organizations who operate an Indian Health program. This includes program under a contract, grant, cooperative agreement or compact with the IHS under the Indian Self-Determination Act; and Urban Indian organizations that operate an urban Indian Health program. This includes programs under a grant or contract with the IHS under Title V of the Indian Health Care Improvement Act.

**Beneficiary Eligibility:**

American Indians/Alaskan Natives will be the ultimate beneficiaries of the funded projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, "State and Local Governments," or OMB Circular No. A-122, for nonprofit organizations.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the provisions of either 45 CFR 92 or 45 CFR 74, depending upon the type of applicant organization. Applications will be reviewed by the Division of Grants Operations in Headquarters East, Indian Health Service, for eligibility and compliance with the announcement. Chief Medical Officers (CMOs) and Area Diabetes Consultants (ADCs) in IHS Area Offices will be responsible for programmatic review, addressing the soundness of the proposed services, compliance of proposed service with the legislation, and recommending the proposed costs. Applications will be rated not ranked. Grants will be awarded based on CMOs and ADCs acceptance of the applications.

**Award Procedure:**

After review and approval, a notice of this grant award is prepared and processed along with the appropriate notification to the public.

**Deadlines:**

Contact the Division of Grants Operations, Headquarters Office for information regarding application deadline dates. Deadline dates are also noted in the grant announcement.

**Range of Approval/Disapproval Time:**

Funds are expected to be awarded no later than 45 days after complete applications are received. Awards could be delayed for applications not meeting initial approval.

**Appeals:**

None.

**Renewals:**

The 1997 BBA Public Law 105-33 project period is currently up to 5 years with non-competitive renewals projected annually. The HR 4577 Public Law 106-554 project period is projected to be 3 years with non-competitive renewals projected annually. The SDPI Reauthorization of 2002 Public Law 107-360 project period is up to 5 years with non-competitive grants and competitive grants renewals projected annually.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. IHS will distribute the Balanced Budget Act (BBA) of 1997 (Public Law 105-33) funds of \$150 million for a 5-year period based on the following formula: 1) \$1.5 million is set aside for urban programs; and 2) \$30.2 million is available to IHS entities, Indian tribes, or tribal organizations that operate an Indian Health program. IHS will distribute the Consolidated Appropriation Act 2001 (Public Law 106-554) funds based on the following formula: 1) \$70 million in 2001; 2) \$70 million in 2002; and 3) \$100 million in 2003 to IHS entities, urban programs, Indian tribes, and tribal organizations that operate an Indian health program. IHS will distribute the SDPI Reauthorization of 2002 Public Law 107-360 funds based on the following formula: 1) \$23.3 million to competitive grant awards, 2) \$112.3 million to non-competitive grant awards to IHS entities, urban Indian health programs, Indian tribes and tribal organizations that operate an Indian health programs. Funds to the non-competitive grant awards will be utilized to address diabetes prevention and treatment activities. Funds to the competitive grant awards are to be used to implement and evaluate two demonstration projects aimed at 1) prevention of diabetes for patients with prediabetes, and 2) prevention of cardiovascular disease in patients with type 2 diabetes.

**Length and Time Phasing of Assistance:**

The Public Law 105-33 project was limited to 5 years (total) with annual budget periods. The Public Law 106-554 project was limited to 3 years (total) with annual budget periods. The Public Law 107-360 project is limited to 5 years (total) with annual budget periods.

**Reports:**

For Public Law 107-360 (fiscal year 2004-2008) non-competitive grant program, an annual interim Program Progress Report, Work Plan and Budget Justification is required. At a minimum the interim Program Progress Report must include: 1) progress made to date on the current budget year's goals and objectives, 2) description of community collaborations, and 3) diabetes prevalence. The Work Plan will describe how the grant funds will be used to continue activities and/or enhance new activities. The Budget Justification must explain all proposed costs. For Public Law 107-360 (fiscal year 2004-2008) competitive grant program, an annual interim Program Progress Report, Work Plan and Budget Justification is required according to the specific guidance and direction provided by the Coordinating Center annually. In addition, all competitive grant

programs are required to complete and submit an annual Assessment Tool.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, reports, books, documents, papers, or other records of the grantee, contractor, or subcontractor, or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts, and transcripts. In accordance with 45 CFR 92 or 45 CFR 74, Subpart D, as applicable, grantees are required to maintain grant records for 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records have been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$112,300,000; FY 08 \$112,300,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Public Law 107-360 funds: Non-competitive grant programs range is \$46,000 to \$5 million and average is \$350,350. Competitive grants receive one of two specified amounts depend on size of demonstration project: \$324,300 or \$397,100.

**PROGRAM ACCOMPLISHMENTS:**

Of the Public Law 107-360 funds: In FY 2004 and FY 2005, 330 non-competitive grants and 66 competitive grants were awarded. It is estimated that a similar number of grant awards will be made in FY 2006, FY 2007, and FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74; Public Health Service Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. Kelly Acton, Director, Division of Diabetes Treatment and Prevention, 5300 Homestead Road, NE., Albuquerque, New Mexico 87110. Telephone: (505) 248-4182. Fax: (505) 248-4188. Grant Management contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Fax: (301) 443-9602.

**Web Site Address:**

IHS Division of Diabetes Treatment and Prevention: <http://www.ihs.gov/medicalprograms/diabetes>. IHS Division of Grants Operations and Grants Policy: <http://www.ihs.gov/NonMedicalPrograms/gogp>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Non-competitive grant programs: Examples include primary prevention efforts to prevent the onset of diabetes in people at risk for the disease and have not been diagnosed with diabetes (such as nutrition and exercise programs); or secondary prevention efforts to prevent complications of diabetes such as kidney disease, eye disease, heart disease, and amputations in patients diagnosed with diabetes; and tertiary prevention efforts to prevent or delay morbidity and mortality in patients with diabetes already having complications from the disease. Competitive grant programs: Two types of demonstration programs have been funded: 1) prevention of diabetes in patients diagnosed with prediabetes and 2) prevention of cardiovascular disease in patients diagnosed with type 2 diabetes.

**CRITERIA FOR SELECTING PROPOSALS:**

For Public Law 107-360 funds (from FY 2004 through 2008), all grant programs reapply for continuation funding only.

**93.238 COOPERATIVE AGREEMENTS FOR STATE TREATMENT OUTCOMES AND PERFORMANCE PILOT STUDIES ENHANCEMENT**



**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES  
ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN  
SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 1935(b)(1)(C), as amended, 42 U.S.C 300-35.

**OBJECTIVES:**

To enable project States to collect information on SAPT Block Grant funded treatment services and monitor common substance abuse treatment effectiveness data measures across various State management information systems (MIS). This program will support evaluation programs to design or enhance State MISs or Outcome Management Systems which examine treatment effectiveness and costs through standardized performance and outcome measures while incorporating these common data measures on an inter-State (i.e., with the States acting mutually together) basis.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will support evaluation programs to design or enhance State management information systems or outcomes monitoring systems which examine treatment effectiveness and costs through standardized performance and outcome measures while incorporating these common data measures on an inter-State basis. Funds may not be used to supplant current funding for existing activities. Funds may not be used to pay for services except for additional costs created by the research and may not be used for the purchase of a facility to house any portion of the proposed project. Any funds proposed for the purpose of renovation expenses must be detailed and linked directly to programmatic activities. Any lease arrangements in association with the proposed project utilizing these funds may not extend beyond the project period or cover non-programmatic activities. Construction costs are not allowed.

**Applicant Eligibility:**

Project State applicants are Single State Authorities, Technical Assistance Center applicants are domestic private nonprofit (and for-profit) organizations such as community-based organizations, universities, colleges, and hospitals.

**Beneficiary Eligibility:**

Recipients of State governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

All applicants must use application form PHS 5161-1 (Rev. 7/2000). Application kits containing the necessary forms and instructions may be obtained by contacting: The National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20857 at telephone: 1 (800) 729-6686. Applications will be objectively reviewed by initial review group(s) composed primarily of nonfederal experts.

**Award Procedure:**

Cooperative agreements in support of State applications are recommended for approval by CSAT to the AOD Single State Agency. Cooperative agreements in support of technical assistance center applications are recommended for approval by the initial review groups and awarded by CSAT to domestic private nonprofit (and for-profit) organizations such as community-based organizations, universities, colleges, and hospitals.

**Deadlines:**

Contact the Headquarters Office listed below for application deadline.

**Range of Approval/Disapproval Time:**

The range is from 120 days to 180 days from receipt date to award date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program does not require a formula. Matching is not required.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a 3-year period with 12-month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved.

**Reports:**

Interim and final progress reports and financial status reports will be required as specified in the PHS Grants Policy Statement requirements. To permit compliance with the Government Performance and Results Act, grantees will be required to supply necessary data about certain grant processes and/or outcomes

in their regularly scheduled program progress reports. Instruction on the data to be supplied will be communicated to grantees by the funding Center shortly after the award is made.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

There is a 3-year record retention requirement. Records shall be retained beyond the 3-year period if the final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$300,000 to \$500,000; \$459,839.

**PROGRAM ACCOMPLISHMENTS:**

Zero awards for 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96, 74 an 92 and the PHS Grants Policy Statement. Guidelines and instructions are included in the application kits available by request from: The National Clearinghouse for Alcohol and Drug Information, P.O. Box 2345, Rockville, MD 20857. Telephone: (301) 468-2600 or 1 (800) 729-6686.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program contact: Dr. Mickey Smith, Division for State and Community Assistance, Center for Substance Abuse Treatment, 1 Choke Cherry Road, Telephone: (240) 276-2406. Grants Management contact: Kimberly Pendleton, Division of Grants Management, Office of Program Support, Substance Abuse and Mental Health Services Administration, 1 Choke Cherry Road, Room 7-1091 Telephone: (240) 276-1421.

**Web Site Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Some examples of subject areas funded are: 1) Enhancement of an Outcomes Monitoring System (OMS) that is sustainable, affordable and that allows continual tracking and reporting on the effectiveness of the State's substance abuse treatment providers; (2) development of a standardized approach for systematically measuring the performance of substance abuse treatment providers and the treatment outcomes of clients as they progress through the State treatment system; and (3) measuring patient status in the Addiction Severity Index's seven domains at both baseline and at a 12-month, post baseline follow-up.

**CRITERIA FOR SELECTING PROPOSALS:**

Project applications will be reviewed, rated and ranked. Criteria for technical merit review of individual projects will include: understanding the proposed project; merit and appropriateness of project plan; appropriateness of project design and analysis of plan; planning and management; reasonableness and appropriateness of budget; and program evaluation. In addition, the award criteria will include availability of Federal funds and geographic distribution throughout the United States.

**93.239 POLICY RESEARCH AND EVALUATION GRANTS****FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Section 1110, 42 U.S.C. 1310.

**OBJECTIVES:**

To support research that is relevant to policy development and evaluation of current and proposed programs of interest to the Secretary, the Administration, and the Congress. Priorities include: (1) Issues of long-term care, disability, and personal assistance services, including informal care giving; (2) health care delivery issues including health care financing; (3) welfare reform outcomes and policies affecting children and youth; (4) community development; (5) science policy development; and (6) the reduction of poverty.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may not be used for construction or renovation of buildings. This program is subject to the provisions of 45 CFR 74, and 45 CFR 92 as well as OMB Circular No. A-102 (Administrative Guidelines for States and Local Governments), and OMB Circular A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations).

**Applicant Eligibility:**

Assistance may be provided to State and local governments, institutions of higher education, nonprofit organizations and individuals. Occasionally, awards are made to for-profit organizations when deemed by the Assistant Secretary to be consistent with the legislative intent and purpose of the program.

**Beneficiary Eligibility:**

Federal, State and local governments will benefit. (Note: Projects do not usually provide any direct assistance to individuals.

**Credentials/Documentation:**

Nonprofit organizations must provide evidence of tax-exempt status. When projects involve the collaborative efforts of more than one organization or require the use of services or facilities not under the direct control of the applicant, written assurances of specific support or agreements must be submitted by the affected parties.

**Preapplication Coordination:**

No preapplication coordination is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted in response to specific announcements published in the Federal Register. All applications must be submitted using the Department of Health and Human Services Standard Form 424. Each announcement provides specific additional instructions regarding the contents of the narrative description of the project, budget justification and other required information.

**Award Procedure:**

Official notice of approved application is made through the issuance of a Notice of Grant Award or a Notice of Cooperative Agreement.

**Deadlines:**

None. Each announcement specifies the due dates applicable to that announcement.

**Range of Approval/Disapproval Time:**

The range is from 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Extensions to the project period may be made if deemed appropriate by the Assistant Secretary for Planning and Evaluation.

**Formula and Matching Requirements:**

Awardees are required to share in the cost of projects, except where the grantee is exempt by Federal statute from cost-sharing requirements. Cost-sharing requirements are indicated in each grant announcement.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are generally funded on a 12-month basis. Support beyond the first year is contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and the availability of funds.

**Reports:**

Grantees must submit annual progress reports. Expenditure reports are required 90 days after the end of each budget period. Comprehensive final reports are due no later than 90 days after the completion of the projects.

**Audits:**

All fiscal transactions identifiable as Federal financial assistance are subject to audit by the DHHS audit agency.

**Records:**

In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are to maintain accounting records for a minimum of 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$300,000 to \$1,200,000; \$575,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administration policies (45 CFR 74 and 92) and application kits may be obtained from the ASPE Grants Management Specialist, LTS, National Institute of Allergy and Infectious Diseases, NIH, DEA, DHHS, 6700B Rockledge Drive, Room 3220, Bethesda, MD 20892-7614. Additional information about the mission and activities of the Office of the Assistant Secretary for Planning and

Evaluation is available on its website at <http://aspe.hhs.gov> .

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Grants Officer, Office of the Assistant Secretary for Planning and Evaluation; Department of Health and Human Services, Hubert H. Humphrey Bldg., Room 405F, 200 Independence Ave., SW., Washington, DC 20201. Telephone: (202) 690-8794.

**Web Site Address:**

<http://aspe.hhs.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2005 grants were awarded to 4 States for closeout assistance of the State innovation grants. Funding was also provided to the national and area poverty centers.

**CRITERIA FOR SELECTING PROPOSALS:**

The rating criteria and the weight attached to each criterion is included in the Federal Register announcement that requests project proposals. The criteria typically include such concerns as the significance and usefulness of the project; the appropriateness of the intervention/measurement methodology and design; the qualifications of personnel and the sponsoring organization; and the likelihood that the work plan and budget will produce the intended results.

**93.240 STATE CAPACITY BUILDING**

(Site Specific Activities Cooperative Agreement Program)

**FEDERAL AGENCY:**

AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Sections 104(i)(1)(E), (4), (6), (7), (9), (14) and (15), as amended; Superfund Amendments and Reauthorization Act of 1986, 42 U.S.C. 9604; Resource Conservation and Recovery Act, Section 3109(b) and (c), as amended; Hazardous and Solid Waste Amendments of 1984, 42 U.S.C. 6939 (b) and (c).

**OBJECTIVES:**

To fulfill the mandated objectives of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) and the Superfund Amendments and Reauthorization Act (SARA) of 1986, as amended, in coordination with Agency for Toxic Substances and Disease Registry (ATSDR), by assisting public health agencies to build capacity to conduct (1) Health consultations, (2) public health assessments, (3) exposure investigations, (4) community involvement, (5) health education, and (6) public health studies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The uses are to strengthen State health agency environmental health programs. Services include public health assessments, consultations, exposure investigations, health education, and follow-up health investigations/studies. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies and services. Funds for contractual services may be requested. However, the awardee, as the direct and primary recipient of PHS grant funds, must perform a substantive role in carrying out project activities and not merely serve as a conduit for an award to another party or provide funds to an ineligible party. Equipment may be purchased with cooperative agreement funds; however, the equipment must meet applicable Federal requirements. These funds may not be used by the recipient to conduct activities at any Federal site where the State is a party to litigation at the site.

**Applicant Eligibility:**

Eligible applicants are the official public health agencies of States or their bona fide agents or instrumentalities, to include the District of Columbia, American Samoa, the Commonwealth of Puerto Rico, the Virgin Islands, the Federated States of Micronesia, Guam, the Northern Mariana Islands, the Republic of the Marshall Islands, and the Republic of Palau, and the Federally- recognized Indian tribal governments.

**Beneficiary Eligibility:**

Beneficiaries are individuals and/or families living in communities near or in proximity of Superfund sites.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

No preapplication is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should contact the office or Official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants must use application Form PHS 5161-1. Application packets are available from: Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Rd., Room 3000, Mailstop K-75, Atlanta, GA 30341. By formal agreement, the CDC Procurement and Grants Office will act for and on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR, determines applications to be approved and the priorities for funding. When an application is approved for funding, the Grants Management Officer, CDC, acting as the agent for ATSDR, will prepare a Notice of Award.

**Deadlines:**

Contact the Headquarters Office identified below for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are made for project periods from one to five years. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

The annual awards are for a 12 month budget period within a three to five year project period. Noncompetitive continuation awards within the project period are made on the basis of satisfactory progress and availability of funds.

**Reports:**

Annual progress and financial status reports are required no later than 90 days after the end of each budget period. An original and two copies of the final financial status and performance reports are due no later than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for at least 10 years in accordance with EPS's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies". Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon request of the office of Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Grants) FY 07 \$10,894,064; FY 08 \$12,681,515; and FY 09 est \$11,500,000.

**Range and Average of Financial Assistance:**

\$150,627 to \$700,000; \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2003, there were a total of 33 new competitive awards. It is anticipated that there will be 33 noncompetitive continuation awards in fiscal year 2004 and 2005.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are set forth in 45 CFR 92 and 40 CFR 35, Subpart O. Guidelines are available in the application kits. PHS Grants Policy Statement (Revised, April 1, 1994).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Ms. Joan Flesner, Public Health Analyst, Division of Health Assessment and Consultation, Agency for Toxic Substances and Disease Registry, 1600 Clifton Road, NE., Mailstop F-59, Atlanta, Georgia 30333. Telephone: (770) 488-0739 Fax: (770) 488-1544. E-mail address: JFlesner@cdc.gov. Grants Management Contact: Mildred Garner, Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2745. Fax: (770) 488-2777.

**Web Site Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

States conduct public health evaluations on National Priorities List (NPL) sites, sites that ATSDR have been petitioned to assess, Superfund Accelerated Cleanup Model (SACM) sites, and other Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) sites.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for core activities only were reviewed and evaluated based on the following criteria: (1) Proposed Program: (a) Merit scientific and technical merit of the proposed project to perform public health assessments, consultations, exposure investigations, health education and public health studies consistent with ATSDR guidance and in a timely manner. Applicant's ability to evaluate the public health impact of hazardous waste sites using health, environmental, and demographic data, and health-related concerns from the local community. (b) Requirements Applicant's understanding of the requirements, objectives, and complexities of the interactions required for a successful program. c) Collaboration Applicant's plan to collaborate with political and private subdivisions of Federal, State, and local health and environmental agencies and community groups to obtain information needed for evaluating the public health impact of hazardous waste sites, disseminate results of findings, and prevent exposure if identified. (2) Program Personnel: The principal investigator or project director and his/her ability to devote time and effort to provide effective leadership, and the qualifications of the support staff. (3) Applicant Capability: Adequacy and commitment of institutional resources, facilities, space, and equipment necessary for conducting the project are available and sufficient. (4) Program Budget: Extent to which the budget is reasonable, clearly justified, and consistent with intended use of funds. The priority order for funding cooperative agreements was as follows: (a) Number of proposed and/or listed National Priority List (NPL) sites (Federal and nonfederal) based on the most current EPA list, (b) number of Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) sites (Federal and nonfederal) based on the most current EPA list; (c) applicants who applied for both Core Activities and optional Activities; and (d) geographic distribution across the United States. (5) Human Subjects: Applicant's plan for adequate protection of human subjects. Applications for conducting Core Plus Optional Activities were reviewed and evaluated based on the following criteria: Proposed Program: In addition to the criteria outlined above for Core Activities, the applicant had to indicate an understanding of and capability for conducting human health studies as contained in the proposed site-specific protocol which had to include: (a) The approach, feasibility, adequacy, and rationale for the proposed study design, (b) the technical merit of the proposed study, (c) the proposed timeline, including measurable objectives, (d) proposed method for disseminating the results of the study.

**93.241 STATE RURAL HOSPITAL FLEXIBILITY PROGRAM****FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Balanced Budget Act of 1997, Section 4201, Public Law 105-33. Reauthorized in 2003 in Public Law 108-173.

**OBJECTIVES:**

To help States work with rural communities and hospitals to develop and implement a rural health plan, designate critical access hospitals (CAHs), develop integrated networks of care, improve emergency medical services and improve quality, service and organizational performance.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

**Applicant Eligibility:**

States that have submitted a State Rural Health Plan to the Centers for Medicare and Medicaid Services (CMS) can apply. All other States need to submit an application to the Regional Administrator of their CMS Regional Office that expresses the State's interest in developing a Medicare Rural Hospital Flexibility Program before they can apply for grant funds.

**Beneficiary Eligibility:**

States with at least one hospital located in a non-metropolitan statistical area or county and provides CMS with necessary assurances.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**



Applications are evaluated by Federal and nonfederal experts. All acceptable applications will be funded. Final decisions on level of funding are made by the Director, Office of Rural Health Policy.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 3 to 5 months.

**Appeals:**

None.

**Renewals:**

Flex grant awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually. Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System.

**Reports:**

A performance progress report is submitted with each noncompeting continuation application. A financial status report is to be submitted within 90 days after the close of the budget period. A final program report is to be submitted within 90 days after the close of the project period. In addition, grantees are required to participate in a national program evaluation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Flex Grants) FY 07 \$22,050,000, FY 08 est \$21,600,000; and FY 09 est \$21,600,000.

**Range and Average of Financial Assistance:**

\$260,000 to \$650,000; \$490,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 45 continuation awards were made to States. It is estimated that 45 awards will be made in FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Contact: Steve Hirsch, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

States have increasingly used their Flex resources for EMS activities, including training programs, needs assessments, and network building.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters for selection criteria.

## 93.242 MENTAL HEALTH RESEARCH GRANTS

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, Public Law 78-410, 42 U.S.C. 241, as amended; Small Business Research and Development Enhancement Act of 2000, Public Law 106-554.

**OBJECTIVES:**

To increase knowledge of basic brain and behavioral processes that underlie mental and behavioral disorders; to support epidemiological studies of biological and environmental risk factors; to translate basic and epidemiological research into the development of new diagnostics and interventions for preventing and treating mental disorders; to conduct clinical trials for testing the efficacy and effectiveness of interventions in controlled and real-world settings; and to conduct research to improve mental health service delivery and use. Research supported by the National Institute of Mental Health may employ theoretical, laboratory, clinical, epidemiological, and field studies. Studies may involve individuals with a mental disorder diagnosis, individuals with symptom levels that do not meet diagnostic thresholds, and healthy individuals of all ages. Research also may involve animal, computational, and mathematical models appropriate to the system being investigated and the state of the field. Areas eligible for research support are: basic and clinical neuroscience; genetics; geriatrics research; adult psychopathology; experimental therapeutics; developmental, behavioral, clinical, and epidemiological research relevant to mental disorders, behavioral disorders, and HIV/AIDS, in terms of the causes, prevention, treatment, and service delivery; basic (brain and behavior), clinical, and services research on the mental health problems of women, minorities, and rural populations; and research designed to eliminate mental health disparities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects by a named investigator in an area representing his/her specific interests and competencies. (2) Exploratory/Development and Clinical Exploratory/Developmental Grants encourage the development of new research activities in categorical program areas; (3) Small Research Grants provide research support specifically limited in time and amount for studies in categorical program areas; (4) Collaborative Clinical Research Grants support evaluations of various methods of therapy and/or prevention; (5) Program Project and Center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; and (6) Cooperative Agreements support single or a group of related research activities with greater involvement of federal staff. Standard small grants are limited to \$50,000 direct costs for a period of 2 years or less, while other small grants are for less time and funds. SBIR and STTR grants are awarded in two stages: Phase I grants are awarded to establish the technical merit and feasibility of a proposed research and development effort; only Phase I awardees are eligible to receive Phase II support.

**Applicant Eligibility:**

Public, private, profit, or nonprofit agencies (including State and local government agencies), eligible Federal agencies, universities, colleges, hospitals, and academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses, and STTR grants can be awarded only to domestic small businesses which "partner" with a research institution in cooperative research and development. For further definitions, requirements, and restrictions see the SBIR and STTR Omnibus Solicitations of the NIH, CDC, and FDA for SBIR and STTR Grant Applications.

**Beneficiary Eligibility:**

Public, private, profit, or nonprofit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs will be determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For all other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Instructions for electronic submission may be found with the federal SF424 (R&R) form packages that are found in the SBIR/STTR funding opportunity announcements. Instructions are provided for SBIR Phase I and Phase II awards, respectively; as well as for STTR Phase I and Phase II awards, respectively.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Most applications must be prepared and submitted electronically. Most applicants use the SF 424 (Research & Related) for electronic submission. Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). Some institutions may submit the grant data

directly (using what is called a system-to-system transfer). For further details, see [grants.gov](http://grants.gov) or eRA Commons. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the NIH Guide to Grants and Contracts and the [Grants.gov](http://grants.gov) sites (see URLs listed above). All SBIR and STTR applications must be submitted electronically. The timeline for transition to electronic applications and the new forms may be found at: <http://era.nih.gov/ElectronicReceipt/>. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Applications for the Resource-related Research Projects (R24) and Cooperative Agreement applications ("U" applications) must be prepared using the PHS 398 research grant application instructions and forms (Revised 9/2004 with an update on 4/2006). The PHS 398 is available at <http://grants1.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Consultation on a proposed project may be obtained from the NIMH branch or office responsible for the research area of interest. Applications are reviewed by principally nonfederal consultants recruited nationwide from the mental health field. The amounts of the award and period of support are determined on the basis of merit of the project and the nature of the grant mechanism. Electronic applications are submitted through the [Grants.gov](http://grants.gov) website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR, Part 92 for State and local governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR, Part 42.

#### **Award Procedure:**

All applications for research grants, cooperative agreements, SBIR and STTR grants are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Mental Health Council (excepting Small Grants). All competitive applications compete for available funds on the basis of scientific and technical merit, program relevance, and program balance. All SBIR and STTR applications receiving a priority score compete for set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

New R01 Applications: February 5, June 5, and October 5. Renewal, Resubmission, and Revision R01 Applications: March 5, July 5, and November 5. New R03, R21, R33, R21/R33, R34 and R36 Applications: February 16, July 16, and October 16. Renewal, Resubmission, and Revision R03, R21, R33, R21/R33, R34, and R36 Applications: March 16, July 16, and November 16. SBIR and STTR: April 5, August 5, and December 5. R13/U13 Applications: April 12, August 12, December 12. AIDS Applications: January 7, May 7, and September 7.

#### **Range of Approval/Disapproval Time:**

Applications: From 240 to 270 days from submission of application. SBIR/STTR applications: About 7- 1/2 months; Mental Health Education Programs and Various/Small Grants: From 5 to 6 months. Review of AIDS-related research is expedited.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

Support is recommended for a specified project period, not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a new competing request. Small grants, exploratory, and dissertation grants are for 1-3 years (depending on program) and are not renewable.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Generally, Phase I awards are for 6 months, and Phase II awards are for 2 years. STTR: Generally, Phase I awards are for 1 year and Phase II awards are for 2 years.

#### **Reports:**

Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in its fiscal year in Federal awards shall have a

single or program-specific audit conducted for that year in accordance with the provisions of this circular. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: (1) a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or (2) an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

#### **Records:**

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

#### **Account Identification:**

75-0892-0-1-552.

#### **Obligations:**

(Grants) FY 07 \$965,030,435; FY 08 est \$969,462,000; and FY 09 est \$963,287,000.

#### **Range and Average of Financial Assistance:**

\$30,000 to \$2,297,271; \$387,718.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, NIMH made 94 SBIR/STTR awards totaling \$28,655,126; no instrumentation awards were made in fiscal year 2007. NIMH funded 2,489 grants in fiscal year 2007, and an estimated 2,430 grants will be funded in fiscal year 2008. An estimated 2,371 grants will be funded in fiscal year 2009.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grant Policy Statement (Revised 12/2003). Grants will be available under the authority if and administered in accordance with the PHS Grants Policy Statement and federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Applications; and Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer Grant Applications.

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

Dr. Ellen Stover, Director, Division of AIDS and Health and Behavior Research (Branch/Centers: Health and Behavior Research; Health and Behavior Research Training and Career Development; Health and Behavior Small Business Innovation Research and Small Business Technology Transfer). Center for Mental Health Research on AIDS: Branches: HIV Pathogenesis, Neuropsychiatric and Treatment; Primary Prevention; Secondary Prevention and Translation; Other Programs: AIDS Research Centers; AIDS Small Business Innovation Research and Small Business Technology Transfer; AIDS Research Training; AIDS Fellowship Program. Telephone: (301) 443-9700. Dr. Wayne Goodman, Director, Division of Adult Translational Research and Treatment Development (Branches: Adult Psychopathology and Psychosocial Intervention Research; Clinical Neuroscience Research; Geriatrics Research; Experimental Therapeutics). Other Programs: Traumatic Stress Disorders; Research Training and Career Development; Small Business Innovation Research and Small Business Technology Transfer; Telephone (301) 443-9700. Dr. Linda Brady, Director, Division of Neuroscience and Basic Behavioral Science (Branches: Molecular, Cellular, and Genomic Neuroscience Research; Behavioral Science and Integrative Neuroscience Research; Genomics Research. Other Programs: Office of Research Training and Career Development; Office of Cross-cutting Science and Scientific Technology, including the Human Brain Project; Small Business Innovation Research; Small Business Technology Transfer, Molecular Libraries and Imaging Roadmap); Telephone (301) 443-3563. Dr. Mary Ellen Oliveri, Director, Division of Developmental Translational Research (Branches: Neurodevelopmental Disorders; Psychosocial Stress and Related Disorders, Affective and Regulatory Disorders. Other Programs: Autism STAART Centers; Child Abuse and Neglect; Research Training and Career Development; Small Business Innovation Research and Small Business Technology Transfer); Telephone: (301) 443-5944. Dr. Phil Wang, Director, Division of Services and Intervention Research (Branches: Services Research and Clinical Epidemiology; Adult Treatment and Preventive Intervention Research; Child and Adolescent Treatment and Preventive Intervention Research. Other Programs: Office of Research Training and Career Development; Small Business Innovation Research and Small Business Technology Transfer. Other Units: Clinical Trials Operations and Biostatistics Unit); Telephone (301) 443-6233. Dr. Jane Steinberg, Director, Division of Extramural Activities; Telephone (301) 443-3367. (Branches: Extramural Review Branch; Grants Management Branch. Other units: Special Projects; Extramural Policy; Staff Development). Office of the Director, NIMH: Dr. Della Hann, Director, Office of Science Policy, Planning, and Communications; Telephone: (301) 443-4335. Dr. Karen Babich,

Director, Office of Global Mental Health; Telephone: (301) 443-7725. Ms. Gemma Weiblinger, Director, Office of Constituency Relations and Public Liaison; Telephone: (301) 443-3673. Dr. Robert Heinszen, Director, Office of Prevention; Telephone: (301) 435-0371. Dr. Ellen Stover, Director, Office on AIDS; Telephone: (301) 443-9700. Dr. Ernest Marquez, Director, Office for Special Populations, and Director, Office of Rural Mental Health Research; Telephone: (301) 443-2847. SBIR/STTR: Dr. Michael Huerta; Telephone: (301) 443-3563. Grants Management Contact: Ms. Rebecca Claycamp, Chief Grants Management Officer, National Institute of Mental Health, NIH, Department of Health and Human Services, 6001 Executive Blvd., Room 6115, MSC 9605, Bethesda, MD 20892-9605; Telephone: (301) 443-2811. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nimh.nih.gov>.

**RELATED PROGRAMS:**

93.281, Mental Health Research Career/Scientist Development Awards; 93.282, Mental Health National Research Service Awards for Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Basic and clinical neuroscience approaches to normal and disordered behavior; (2) genetic studies of psychiatric disorders; (3) neural bases of major psychiatric disorders; (4) genomic control of CNS development; (5) basic behavioral studies of cognition, emotion, and social behaviors; (6) epidemiological studies of risk and protective factors; (7) prevention of high-risk AIDS behaviors; (8) treatment studies of mental disorders; and (9) mental health services research for the seriously mentally ill.

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded:

(1) Technical merit of the proposed project as determined by peer review; (2) Availability of funds; and (3) Relevance to program priorities.

### 93.243 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES-PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE

(PRNS)

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended; Title V, Section 509; 42 USC 290bb and Section 516; Children's Health Act of 2000; Public Law 106-310; and Sections 520 A-J, 581 and 582 of the Public Health Service Act.

**OBJECTIVES:**

Substance Abuse and Mental Health Service Administration (SAMHSA) was reauthorized by the Children's Health Action of 2000, Public law 106-310. Under this reauthorization, SAMHSA was given the authority to address priority substance abuse treatment, prevention and mental health needs of regional and national significance through assistance (grants and cooperative agreements) to States, political subdivisions of States, Indian tribes and tribal organizations, and other public or nonprofit private entities. Under these sections, CSAT, CMHS and CSAP seek to expand the availability of effective substance abuse treatment and recovery services available to Americans to improve the lives of those affected by alcohol and drug additions, and to reduce the impact of alcohol and drug abuse on individuals, families, communities and societies and to address priority mental health needs of regional and national significance and assist children in dealing with violence and traumatic events through by funding grant and cooperative agreement projects. Grants and cooperative agreements may be for (1) knowledge and development and application projects for treatment and rehabilitation and the conduct or support of evaluations of such projects; (2) training and technical assistance; (3) targeted capacity response programs (4) systems change grants including statewide family network grants and client-oriented and consumer run self-help activities and (5) programs to foster health and development of children.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will provide immediately useful, practical knowledge that service providers need as they wrestle with the rapidly changing health care environment.

**Applicant Eligibility:**

Public organizations, such as units of State and local governments and to domestic private nonprofit organizations such as community-based organizations, universities, colleges and hospitals.

**Beneficiary Eligibility:**

Nonprofit organizations.

**Credentials/Documentation:**

Applicants must provide proof of licensure, accreditation, certification, or

chartering to provide substance abuse and/or mental health services or such other credential documentation as specific for a particular topical area.

**Preadaptation Coordination:**

A letter of intent from prospective applicants is requested at least 30 days prior to the application receipt date. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All applicants must use application form PHS 5161-1 (rev. 7/00). Application kits containing the necessary forms and instructions may be obtained by contacting: the National Clearinghouse for Alcohol and Drug Information, PO Box 2345, Rockville, MD 20847-2345. Phone: (301) 468-26000 or 1 (800) 729-6686 or the National Mental Health Services Knowledge Exchange Network at 1 (800) 789-2647.

**Award Procedure:**

Applications for grants and cooperative agreements recommended for approval by the initial review group and concurred in by the appropriate National Advisory Council and the Center Director(s) are awarded directly by the appropriate Center (CMHS, CSAP, CSAT) to the applicant organization.

**Deadlines:**

Phone (240) 276-1199 for the receipt date for applications.

**Range of Approval/Disapproval Time:**

Approximately 90-120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 5 years with 12 month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved.

**Reports:**

No more than quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No A-133 entities that receive financial assistance of \$500,000 or more in a year shall have an audit made in accordance with A-133.

**Records:**

There is a 3 year records retention requirement; records shall be retained beyond the 3 year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 \$480,211,434; FY 08 est \$351,705,645; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$480,211,434 to \$351,705,645; \$226,326,180.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 1,004 awards were made. It is estimated that 724 awards will be funded in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92 and the HHS Grant Policies.

**Regional or Local Office:**

None.

**Headquarters Office:**

CSAP contact: Peggy Thompson (240) 276-2447, CSAT contact: Jack Stein (240) 276-2950, and George Gilbert (240) 276-1681 CMHS contact: Seth Hassett (240) 276-1844. Address: 1 Choke Cherry Road, Rockville, MD 20857. Grants Management contact: Christine Chen, Division of Grants Management, SAMHSA, 1 Choke Cherry Road, Rockville, MD 20857 (240) 276-1401, E-mail: [christine.chen@samhsa.hhs.gov](mailto:christine.chen@samhsa.hhs.gov).

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

### 93.244 MENTAL HEALTH CLINICAL AND AIDS SERVICE-RELATED TRAINING GRANTS

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 303, Public Law 78-410, 42 U.S.C. 242a, as amended.



**OBJECTIVES:**

(1) Institutions Clinical Training Grants: To encourage mental health specialists to work in areas and settings where severe shortages exist; to increase the number of qualified minority personnel in the mental health professions, and the number of mental health personnel trained to deal with the special problems of children, adolescents, the elderly, the seriously mentally ill, and rural populations; and to assure that the skills and knowledge of mental health personnel are appropriate to the needs of those they serve. (2) State Human Resource Development (HRD) Grants: To assist State mental health authorities in the development of human resources.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used by Clinical Training grantees: (1) To defray institution costs of the training program (personnel, supplies, equipment, travel, and other necessary expenses) according to formula: \$10,008 per predoctoral trainee, \$19,608 to \$32,300 per postdoctoral trainee depending on years of relevant experience; and (2) to provide trainee stipends and other allowances (tuition and fees, etc.) for individuals enrolled in the training program. Funds may be used only for expenses directly related to the training program. Individual Faculty Scholar Awards: Salary support, \$25,000 in educational expenses, etc. State HRD Grants: Varies according to project.

**Applicant Eligibility:**

Grants are awarded to public or private nonprofit institutions and organizations, and State and local government agencies for training relevant to mental health service priorities in the mental health disciplines of psychiatry, psychology, social work, psychiatric nursing, marriage and family therapy and in specialized areas of high priority and need such as State manpower development projects; and for State mental health agencies to plan, implement, and evaluate systems for mental health services manpower development. Trainees in psychology, psychiatry, psychiatric nursing, social work, or marriage and family therapy unless training program is of limited duration or experimental nature, will be subject to payback requirements of Section 303 of the PHS Act.

**Beneficiary Eligibility:**

Trainee stipends may be awarded only to citizens or nationals of the United States, or to persons lawfully admitted for permanent residence. Individuals seeking trainee stipend support must apply directly to and be accepted by the training institution, and submit an acceptable statement of appointment of Trainee Form (PHS-2271) a payback agreement, and a Statement of Non-Delinquency on Federal Debt Certification.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR, Part 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 (PHS 5161-1), must be used for applicants that are State and local governments. Application kits, containing the necessary forms and instructions for completing the forms, may be obtained from Grants Management Branch, Center for Mental Health Services (CMHS). Consultation on a proposed project may be obtained from the CMHS branch or center responsible for the training area of interest. Applications are reviewed by nonfederal consultants recruited nationwide from the mental health field. Amount of award and period of support are determined on basis of merit; must also be reviewed by the Center for Mental Health Services Advisory Council. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Grants in support of approved applications are awarded directly to the applicant institution by the Center for Mental Health Services.

**Deadlines:**

Contact the CMHS Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after submission of application.

**Appeals:**

None.

**Renewals:**

Support of an approved project is recommended for a specified project period, usually not in excess of 3 years. Prior to termination of the project period, grantee may submit application for renewal of support which is processed as a competing renewal application.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Time frames are variable, but project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within project period a continuation application must be submitted on a noncompeting basis for each year of support. Payments will be made either on a Monthly Cash

Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**Reports:**

Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) A final progress report within 90 days after end of the project period; (3) Annual financial status report within 90 days after the end of the budget period. Trainees incurring the payback obligation upon completion of training, report annually on previous year's activities related to service that fulfills payback obligation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR Part 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

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

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$225,000 to \$300,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Six grants were awarded in fiscal years 2005. Six awards are anticipated in fiscal year 2006 and fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 64. Guidelines are included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Clinical, Anne Mathews-Younes, Ed. D., Human Resource Planning and Development Branch, Center for Mental Health Services, SAMHSA, Department of Health and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1837. Program Contact: AIDS Training, Barbara J. Silver, Ph.D., HIV/AIDS Program, CMHS, SAMHSA, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1962. Grants Management Contact: Kimberly Pendleton, Grants Management Officer, SAMHSA, Department of Health and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1421.

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

93.282, Mental Health National Research Service Awards for Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Psychosocial pediatrics for primary care physicians; (2) social work training in community mental health; (3) a graduate program in nursing for ethnic minorities; (4) training foster parents as mental health workers; and (5) an interdisciplinary mental health care education program.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria will be used in determining projects to be funded: (1) Technical merit; (2) facilities and environment for the training program; (3) previous training records; (4) relevance to CMHS priorities; and (5) potential contribution to mental health field.

**93.247 ADVANCED EDUCATION NURSING GRANT PROGRAM****FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 811, 42 U.S.C. 296j, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Grants are awarded to eligible institutions for projects that support the enhancement of advanced nursing education and practice including master's and doctoral programs, combined RN/ master's degree programs, post-nursing master's certificate programs, or in the case of nurse mid-wives, in certificate programs in existence on November 12, 1998, to serve as nurse practitioners, clinical nurse specialists, nurse-midwives, nurse anesthetists, nurse educators, nurse administrators, public health nurses, or in other nurse specialties determined by the Secretary to require advanced education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To meet the costs of projects that support the enhancement of advanced nursing education and practice. For salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs. Student support through stipends, tuition, and fees is not eligible for support.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education.

**Beneficiary Eligibility:**

Accredited schools of nursing, academic health centers and other public or private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods for both new and competing continuation applications are for 3 years.

**Reports:**

A progress report must be submitted for the second and subsequent budget periods within an approved project period. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$35,598,564 (49 competing and 85 non-competing awards); FY 08 \$40,697,432 (56 new and 94 non-competing continuation awards); FY 09 est \$40,697,432 (40 new and 90 non-competing continuations).

**Range and Average of Financial Assistance:**

FY 08: Range is \$89,246 to \$618,150; Average is \$271,316.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, there were 134 grantees awarded with an estimated 5,978 students enrolled for the fall 2006 reporting period.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Dr. Irene Sandvold, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 8-C26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.124, Nurse Anesthetist Traineeships; 93.358, Advanced Education Nursing Traineeships.

**EXAMPLES OF FUNDED PROJECTS:**

Nurse Practitioner and Nurse-Midwifery education programs; Clinical Nurse Specialist projects; programs in nurse anesthetist education, nurse educator, nurse administrator, public health nursing, and other nurse specialists determined by the Secretary to require advanced nurse education.

**CRITERIA FOR SELECTING PROPOSALS:**

Project purposes must be consistent with and promote the purpose identified in the Law. Need must be documented, and the capability of achieving project goals must be described. In making awards of grants under this Section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.249 PUBLIC HEALTH TRAINING CENTERS GRANT PROGRAM****FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 766, 42 U.S.C. 295a, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To improve the Nation's public health system by strengthening the technical, scientific, managerial and leadership competencies and capabilities of the current and future public health workforce. Emphasis is placed on developing the existing public health workforce as a foundation for improving the infrastructure of the public health system and helping achieve the Healthy People 2010 Objectives. With respect to a public health training center, applicants must agree to: (1) specifically designate a geographic area, including medically underserved populations, e.g., elderly, immigrants/refugees, disadvantaged, to be served by the Center that shall be in a location removed from the main location of the teaching facility of the school participating in the program with a Center; (2) assess the public health personnel needs of the area to be served by the Center and assist in the planning and development of training programs to meet their needs; (3) establish or strengthen field placements for students in public or nonprofit private public health agencies or organizations; and (4) involve faculty members and students in collaborative projects to enhance public health services to medically underserved communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may support salaries, consultant costs, equipment, and travel as requested to develop and implement a Public Health Training Center. Grant funds may not be used for construction, patient services, nor student tuition or stipends.

**Applicant Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training in public health may apply.

**Beneficiary Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 5 years.

**Reports:**

Annual progress reports, in the form of HRSA's CPMS/UPR reporting system, are required. Financial status reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$4,507,558; FY 08 est \$4,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

(FY 2007) \$250,000 to \$500,000; \$350,000 average.

**PROGRAM ACCOMPLISHMENTS:**

For FY 07, 14 public health training center continuation awards were made. In FY 08, 14 continuation awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

John Kress, MHA, Public Health Advisor, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6864 and E-mail address at: [jkress@hrsa.gov](mailto:jkress@hrsa.gov).

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

<http://bhpr.hrsa.gov/publichealth>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.250 GERIATRIC ACADEMIC CAREER AWARDS****FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 753(c), 42 U.S.C. 294c, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To increase the number of junior faculty at accredited schools of allopathic and osteopathic medicine and to promote the development of their careers as academic geriatricians. Awards provide financial incentives for junior faculty to pursue academic careers in geriatrics.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

As provided by Section 753(c)(5) of the authorizing legislation, an individual receiving an award under this subsection shall provide training in clinical geriatrics, including the training of interdisciplinary teams of health care professionals. The provision of such training shall constitute at least 75 percent of the obligations for individuals under this award.

**Applicant Eligibility:**

An individual must be: (1) Board certified or Board eligible in internal medicine, family practice, or psychiatry; (2) have completed an approved fellowship program in geriatrics; and (3) have a junior faculty appointment at an accredited school of medicine (allopathic or osteopathic medicine).

**Beneficiary Eligibility:**

Junior faculty at an accredited school of medicine (allopathic or osteopathic medicine).

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Final decisions are made within 4 to 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Progress reports must be submitted each year. Awards are continued for up to five years depending on satisfactory progress and availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 5 years.

**Reports:**

A final report must be submitted within 90 days of the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$6,077,342; FY 08 \$6,034,659; and FY 09 est \$6,287,937.

**Range and Average of Financial Assistance:**



FY 07: Each award was \$64,153 and in FY 08 each award was \$65,629; and in FY 09 each awardee will receive an estimated \$67,139.

**PROGRAM ACCOMPLISHMENTS:**

FY 07, 88 new competing awards; FY 08, 87 non-competing continuation awards; and FY 09 an estimated 87 non-competing continuation awards are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

CDR Young Song, Senior Program Management Consultant, Division of Nursing, Health Resources and Services Administration, Room 8C-26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Recipients of the Geriatric Academic Career Awards have chosen a wide range of topics in geriatric care to devote to their teaching including, for example: overall geriatric assessment; geriatric rehabilitation; interdisciplinary care for the chronically ill and the development of chronic disease state "glide paths"; effective clinical teaching of palliative care for the elderly; geropharmacy and nutrition; acute care of the elderly; culturally competent care of the elderly; infection control interventions in long-term care; development of reviews on organ system normative aging; special issues in the delivery of rural health care by family practitioners and in the design and implementation of community-based programs that allow the frail elderly to remain in their homes. Awardee activities include traditional academic activities such as curriculum development and participation in administrative duties at their medical schools; providing care and teaching in a wide range of clinical settings; clinical research; participating in educational programs to build their own skills; providing continuing education to already practicing health professionals and working with other sponsored health education programs.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Extent to which the applicant's career goals as identified in the career development plan meet the purpose of the Geriatric Academic Career Award to develop into an academic geriatrician who emphasizes teaching geriatrics, including teaching interdisciplinary teams; (2) the extent to which the applicant's previous training and experience will contribute to the achievement of the goals, objectives, and plans described in the applicant's Career Development Plan; and (3) the commitment and expertise of the mentor and institution to provide a supportive environment for the achievement of the applicant's career goals and willingness to meet reporting requirements.

## 93.251 UNIVERSAL NEWBORN HEARING SCREENING

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 399M of the Public Health Service Act.

**OBJECTIVES:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated do not return for follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Support is also provided to one national technical resource center.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated do not return for follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Applicants should have a relationship with both the Title V programs and the Early Intervention programs.

**Applicant Eligibility:**

Grants to States and one grant to an organization that will provide technical assistance to the States.

**Beneficiary Eligibility:**

State organizations will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed by a committee of experts that are generally nongovernmental. Applications are reviewed based on merit and are ranked according to a point score. Final decisions are made by the Associate Administrator, Maternal and Child Health Bureau.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Final decisions are made 2 to 3 months after receipt of applications.

**Appeals:**

Not applicable.

**Renewals:**

Project periods for are for 3-5 years. The submission of a progress report and budgetary information will be requested for each continuation year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter-of-Credit or Cash Demand System.

**Reports:**

Annual program reports, financial status reports, program service reports, and special reports must be submitted as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est 8,453,000; FY 08 est \$8,472,682; and FY 09 \$0.

**Range and Average of Financial Assistance:**

\$99,404 to \$900,000; \$156,544.

**PROGRAM ACCOMPLISHMENTS:**

Fifty-four State projects and one national technical assistance project were awarded in fiscal year 2007. In 2007, 93% of infants born in the U. S. were screened for hearing loss prior to hospital discharge. While timely follow-up has improved slightly, obstacles remain. It is anticipated that 49 State projects and the technical assistance project will be funded in fiscal year 2008, and two new State/territory awards are expected. The technical resource cooperative agreement also receives support.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Irene Forsman, Integrated Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-9023.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funds have been awarded to State health agencies for implementation of universal statewide newborn hearing screening prior to hospital discharge with linkages to a medical home, audiologic diagnosis by 3 months of age, enrollment in a program of early intervention services and linked to family support by 6 months of age for infants identified with hearing loss.

**CRITERIA FOR SELECTING PROPOSALS:**

The objective review of all applications includes thorough and consistent examinations of each submission by persons knowledgeable in the field for that support is requested and has no direct relationship with the organization or individual submitting the application and do not have personal or invested interest in the award of a grant to that organization or individual. Peer review is a system that uses reviewers that are the professional equals of the principal investigator or program director and will be responsible for directing or conducting the proposed project. That is a form of objective review. Reviewers may be Federal or nonfederal. Final review criteria are included in the application kit.

## 93.252 HEALTHY COMMUNITIES ACCESS PROGRAM

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act (42 U.S.C 256), Title 111, Subpart V, Section 340.

**OBJECTIVES:**

To provide assistance to communities and consortia of health care providers and others to develop or strengthen integrated community health care delivery systems that coordinate health care services for individuals who are uninsured or underinsured, and to develop or strengthen activities related to providing coordinated care for individuals with chronic conditions who are uninsured or underinsured.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds received under the Healthy Communities Access Program (HCAP) are not intended to be used to supplant/replace existing Federal categorical programs that support entities providing services to low-income populations. Grant funds may support justified direct expenses associated with achieving the greater integration of and/or to fill identified or documented gaps in the health care delivery system, so that the proposed integrated delivery system either directly provides or ensures the provision of a broad range of culturally competent services, as appropriate, including primary, secondary, and tertiary services, as well as substance abuse treatment and mental health services. No more than 15 percent of funds provided under the award may be used to provide direct patient care and services. Direct patient care and services include: the provision of patient care services or supplies that are ordinarily reimbursable (e.g., exams, therapy sessions, pharmaceuticals); primary care site development or service expansions (e.g., extended clinic hours); capital equipment used for reimbursable patient care and services (e.g., radiology equipment, ambulances). Grant funds may NOT be used for construction, reserve requirements for state insurance licensure or support for lobbying/advocacy efforts.

**Applicant Eligibility:**

For an entity to be eligible to receive a new HCAP award, all of the following three requirements must be met: 1. The applicant entity must represent a consortium whose principal purpose is to provide a broad range of coordinated health care services to their defined community's uninsured and underinsured populations. 2. The community-wide consortium represented by the applicant entity must include at least one of each of the following providers that serve the stated community, unless such provider does not exist, declines or refuses to participate, or places unreasonable conditions on its participation: A Federally qualified health center (as defined in section 1861(aa) of the Social Security Act (42 U.S.C. 1395x(aa))); A hospital with a low-income utilization rate (as defined in section 1923(b)(3) of the Social Security Act (42 U.S.C. 1396r-4(b)(3)), that

is greater than 25 percent; A public health department; and An interested public or private sector health care provider or an organization that has traditionally served the medically uninsured and underserved. 3. The applicant entity is neither a current HCAP grantee nor former Community Access Program (CAP) grantee and is proposing to serve either a service area or target population of uninsured and underinsured individuals that has not been exclusively served by a former CAP or current HCAP grant. In addition to the required consortium members listed above, the community-wide consortium should seek partners from all levels of care who provide a range of services (e.g., preventive and primary care, specialty medical care, mental health and substance abuse services, oral health, HIV/AIDS care, social services, transportation, health education), as appropriate for the needs of the community's uninsured and underinsured populations. Existing grantees that have received three consecutive years of funding may request a grant award for not more than one additional fiscal year ONLY under demonstrated extraordinary circumstances. Extraordinary circumstances are an event(s) outside of the control of the eligible entity where the event(s) and impact, or impact alone, occurred during the current budget period and directly prevented the completion of measurable objectives and activities set forth in the applicant's approved grant application. Extraordinary circumstances are limited to: 1) natural disasters, 2) major security or health disruptions, or 3) significant economic deteriorations in the community served that directly and adversely affects the applicant's HCAP project.

**Beneficiary Eligibility:**

Examples of eligible applicants that may apply on behalf of or participate as members of the community-wide consortium include, but are not limited to: Consolidated Health Center Program including Community Health Centers (CHC), Migrant Health Centers (MHC), Health Care for the Homeless (HCH), Public Housing Primary Care (PHPC) and School-Based Health Centers (SBHC); Rural Health Clinics; free and partial pay clinics; FQHC Look-Alikes; local public health departments and other local government agencies; Tribal governments; public and private hospitals; private provider or group practices; foundations; medical and dental societies; small business organizations; faith and/or community based nonprofit organizations; Primary Care Associations (PCA); Area Health Education Centers (AHEC); universities; and any other relevant stakeholders.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Primary Health Care. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agency's Authorized Representative, is the authorizing document.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

No match or cost-sharing required.

**Length and Time Phasing of Assistance:**

Up to a 3-year Project period with a 12-month budget period for new HCAP grantees, depending upon the availability of Federal dollars. Receipt of continuation funding is contingent on reasonable and demonstrable progress in meeting the goals and measurable objectives set forth in the entity's grant application for the budget period for the preceding fiscal year, annual fund availability and a determination by the awarding office that continued funding of the grant is in the best interest of the Government. No eligible entity funded under HCAP may receive funds for more than three consecutive fiscal years except that entities may request a grant award for not more than one additional

fiscal year (a 4th year of funding) under demonstrated extraordinary circumstances. Extraordinary circumstances are an event (or events) outside of the control of the eligible entity that has prevented the eligible entity from fulfilling the objectives described by such entity in their approved grant application for the budget period for the preceding fiscal year. Granting of 4th year funding under extraordinary circumstances is contingent on demonstrated extraordinary circumstances whose event(s) and impact, or impact alone, occurred during the previous budget period and directly prevented the completion of goals and measurable objectives set forth in the entity's approved grant application for the budget period for the preceding fiscal year. In order to justify such a request, there must be available funds and a determination by the awarding office that continued funding of the grant is in the best interest of the Government and necessary to further the objectives of the HCAP program. Funds may be available to existing HCAP grantees that have experienced an extraordinary circumstance where the event(s) and impact, or impact alone: (1) occurred during the previous budget period; and (2) directly prevented the completion of goals and measurable objectives set forth in the applicants' approved application may request funds in an amount up to 70 percent of their previous year's Continuation Award.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$355,000 to \$1,200,000.

**PROGRAM ACCOMPLISHMENTS:**

No grants will be funded in FY 07, FY 08, or FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Please refer to the CAP Web site (www.bphc.hrsa.gov/cap) for information about HCAP.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications meeting the deadline will be reviewed initially for eligibility and conformance. Those applications that are determined to be ineligible, incomplete, or non-responsive will be returned to the applicant without further consideration. An Objective Review Committee (ORC) will assess each HCAP application based on the review criteria. The maximum score is 100 points. The ORC will review the supporting program specific forms and appendices listed at the end of each review criteria, however, these documents are supplementary in nature and will not be scored. Failure to address the criteria may result in the

application being recommended for disapproval by the ORC. The following are the categories for the criterion that will be used to assess each application for funding for a new HCAP grant: 1 - need (20 Points); 2 - resources/capabilities (15 Points); 3 - response (25 Points); 4 - evaluative measures (15 Points); 5 - impact (15 points); 6 - support requested (10 Points). Specifics regarding the review criteria will be made available in the application guidance. HCAP grantees applying for fourth-year funding under extraordinary circumstances must demonstrate the impact of their extraordinary circumstances as well as respond to the following four competing continuation review criteria: 1 - specific program criteria (35 Points); 2 - response (40 Points); 3 - impact (15 Points); and 4: support requested (10 Points). Those competing continuation applications that are determined to be eligible, complete and responsive will have the demonstration of extraordinary circumstances component of the application evaluated by an Objective Review Committee (ORC). Initially, the ORC will evaluate the responses presented and any supporting documentation of the extraordinary circumstance to determine if the applicant meets the provision for extraordinary circumstances. If the ORC determines the applicant does meet the provision for extraordinary circumstances, the technical merits of the proposal will be evaluated by the ORC using the competing continuation review criteria presented in this program guidance with points assigned up to a maximum of 100 points total. If the ORC determines the applicant does not meet the provision for extraordinary circumstances, the technical merits of the application will not be reviewed and therefore, not selected for competing continuation funding. Please note, a determination by the ORC that the applicant meets the provision for extraordinary circumstances is not a guarantee of selection for funding. Applicants that meet the provision for extraordinary circumstances will be selected for funding based on the technical merits of the proposal using the 100-point competing continuation review criteria presented in the program guidance.

### 93.253 POISON CONTROL STABILIZATION AND ENHANCEMENT GRANTS

(Poison Control Centers, PCC)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Poison Control Centers Enhancement and Awareness Act, Amendments of 2003, Public Law 108-194.

**OBJECTIVES:**

To assist in the promotion of financial stability for poison control centers, support certification of uncertified centers, and improve or increase accessibility to poison prevention and control programs and services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance provided under this program may be used to support efforts to stabilize their funding structure and improve or increase accessibility to poison prevention and treatment programs and services of PCCs (financial stabilization grants); support certification efforts of non-certified centers in order to improve access to poison education, prevention, and treatment services (certification grants); and encourage the development and implementation of innovations or improvements that expand the organizational capacity of PCCs by strengthening their operational infrastructure, improving their ability to increase access to high quality services and promoting poison prevention education and outreach to high-risk and underserved populations (incentive grants). Only certified poison control centers are eligible to receive an incentive grant.

**Applicant Eligibility:**

State-designated Poison Control Centers.

**Beneficiary Eligibility:**

Residents of the 50 United States, Puerto Rico, the District of Columbia, the U.S. Virgin Islands, Guam, American Samoa, and the Federated States of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding



recommendations to the Associate Administrator for the Bureau of Healthcare Systems. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Requests will be considered by a committee of generally nongovernmental experts and will be based on strength of the planned use of the requested funds and impact on affected regions or populations. Final decisions will be made by the Associate Administrator.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Final decisions will be made 2 to 3 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Renewals will be determined by the Associate Administrator for the Bureau of Healthcare Systems and extensions are requested in writing addressed to the Grants Management Specialist.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Payments will be made through Smartlink.

**Reports:**

A final report will be required. Program service reports, and/or special reports must be submitted as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$12,174,000; FY 08 \$22,605,223; and FY 09 est \$8,900,000.

**Range and Average of Financial Assistance:**

\$8,393 to \$2,617,386; \$391,908.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 55 grants and 9 cooperative agreements were made. It is estimated that 55 grants and 9 cooperative agreements will be awarded in FY 08 and 55 grants will be awarded in FY 09. Expected accomplishments for FY 07, FY 08 and FY 09 are to improve the financial stability of poison control centers, transition certification grantees to stabilization grant status, and increase accessibility to poison control center services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Poison Control Program, Healthcare Systems Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 10C-06, 5600 Fishers Lane, Rockville, Md. 20857. Telephone: (301) 443-6192.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Financial stabilization grants, certification grants, and incentive grants, (see Uses and Use Restrictions for details).

**CRITERIA FOR SELECTING PROPOSALS:**

Completeness and clarity of the project narrative; practicality and achievability of the plan to use requested grant funds stabilize the PCC financially and increase access to services; clarity and appropriateness of the budget and coordinated budget narrative; strength and adequacy of professional staff and subcontractors; clarity and strength of methodology; and strength of letters of support for any collaborative efforts.

## 93.254 INFANT ADOPTION AWARENESS TRAINING

(IAATP)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act; Children's Health Act of 2000, Title XII, Subtitle A and B, Section 330F and Section 330G, Public Law 106-310.

**OBJECTIVES:**

To develop and implement programs to train designated staff of eligible health centers in providing adoption information and referrals to pregnant women on an equal basis with all other courses of action included in non-directive counseling to pregnant women.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grant funds may be used to plan and implement: (1) approved programs directly or through grants or cooperative agreements with other adoption organizations; (2) training curriculum, consistent with best practice guidelines; (3) reimbursement to eligible health centers for all costs in obtaining the training. Project funds may not be used for construction.

**Applicant Eligibility:**

Nonprofit private national, regional, or local organizations among whose primary purposes are adoption and are knowledgeable in all elements of the adoption process, e.g., types of adoptions, relevant State and local laws regarding relinquishment procedures and putative father involvement and medical and financial resources for birth mothers, and on providing adoption information and referrals to pregnant women.

**Beneficiary Eligibility:**

Private nonprofit organizations, health professionals, health staff of Federally funded voluntary family planning projects supported under Section 1001 of the Public Health Service Act, staff of community health centers, migrant health centers, and centers providing services to homeless individuals and centers providing services to residents of public housing supported under Section 330 of the Public Health Service Act. PHS-funded school health centers, and public health clinics, or any health professional providing option counseling to pregnant women.

**Credentials/Documentation:**

Demonstration of 501(c)(3) status or status pending with the IRS.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application procedure can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Review is conducted by at least three nonfederal professionals. Final funding decisions will be made by Commissioner, ACYF.

**Deadlines:**

Application deadlines can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

**Range of Approval/Disapproval Time:**

Approximately 3 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

One to Five years.

**Reports:**

Recipients will be required to submit both financial and programmatic performance reports semi-annual.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) Part A: FY 07 \$9,728,000; FY 08 \$9,558,000; and FY 09 est \$9,558,000. Part B: FY 07 \$2,946,000; FY 08 \$2,895,000; and FY 09 est \$2,895,000.

**Range and Average of Financial Assistance:**

From \$734,407 to \$4,228,357; \$1,621,333.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2006, there were six programs funded for five years under the Infant Adoption Awareness Program. The national program was awarded to Spaulding for Children. There were five regional programs funded. Harmony Adoptions of Tennessee, Inc. will train health care workers in the eight states in DHHS Region IV. Lutheran Social Services of South Dakota will conduct training in the six states in DHHS Region VIII. Arizona's Children Association will train workers in Arizona and Nevada. The National Council for Adoption will conduct Infant adoption awareness training for Region III (DE, DC, MD, PA, VA, WV). Latino Family Institute, Inc. will train services in 11 highly populated, multicultural counties in south California. Spaulding will contract with adoption agencies in the remaining states and territories to conduct the required training. A Unified Adoption Curriculum has been developed and each of the funded programs will base their training approach on that document. In addition, the training has been translated into Spanish and the Latino Family Institute, Inc will review the document for cultural appropriateness. Part B of the Children's Health Act supports the Adoption Photo Listing. Funds were awarded in FY 2006 and will continue based on the availability of funds through 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pat Campiglia, Administration on Children, Youth and Families, Children's Bureau, 1250 Maryland Avenue, SW., Room 8113, Washington, DC 20024. Telephone: (202) 205-8060 Fax: (202) 260-9345.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of any application will be based on an analysis of the following factors: (1) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; (2) the extent of responsibility to the project requirements, guidelines, and application requirements; and (3) the potential effectiveness of the proposed project in carrying out the training purposes of Section 330F of the Children's Health Act of 2000. In making awards of grants under this Section, preference will be given to any qualified applicant that is nationally recognized as a leader in adoption advocacy and (1) Has a broad based membership of adoptive parents, adopted persons, voluntary licensed adoption agencies (sectarian and non-sectarian) and independent adoption intermediaries; (2) is knowledgeable in all current and historic elements of the adoption process, and on providing adoption information and referrals to pregnant women; (3) has the ability to subcontract with other nonprofit regional and local adoption organizations for providing training to those counseling pregnant women; (4) experience in developing best-practice guidelines on the provision of adoption information with a variety of adoption organizations; (5) experience in developing and disseminating training materials and counseling curricula to diverse providers including federally funded family planning programs; and (6) has experience in arranging for the provision of training on non-directive counseling of pregnant women to staff working in Title X family planning clinics, federally funded Community Health Centers and Migrant Health Centers, centers for the homeless, residents of public housing and PHS funded school health centers. Under Part B of the Health Act, approval of any application will be based on an analysis of the following factors: the administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; the extent of responsibility to the project requirements, guidelines, and application requirements; and the potential effectiveness of the proposed project in carrying out the purposes of Part B of The Children's Health Act.

**93.255 CHILDREN'S HOSPITALS GRADUATE MEDICAL EDUCATION PAYMENT**

(CHGME Payment Program)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III Part D, Section 340E, 42 U.S.C. 256E, as amended; The Children's Health Act, 2000, Public Law 106-310, Healthcare Research and Quality Act, 1999, Public Law 106-129; Public Law 108-90; Social Security Act.

**OBJECTIVES:**

The Children's Hospitals Graduate Medical Education Payment Program

(CHGMEPP) provides funds to children's teaching hospitals to support the training of pediatric and other residents in graduate medical education (GME) programs. Since Federal financial support of graduate medical education is extensively supported by the Medicare system, the CHGME program compensates for the disparity in the level of Federal funding for pediatric teaching hospitals versus other types of teaching hospitals. The Secretary of DHHS has delegated the authority for the administration of the CHGME payment program to Health Resources and Services Administration (HRSA), which re-delegated it to the Bureau of Health Professions (BHP).

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are restricted to eligible children's hospitals for direct expenses and the other indirect expenses associated with operating approved graduate medical residency programs.

**Applicant Eligibility:**

Applicants (children's teaching hospitals) must meet the following eligibility requirements in accordance with the Federal Register Notice, Vol. 66, No. 41 published on March 1, 2001: (1) Participate in an approved graduate medical education program; (2) have a Medicare provider agreement; (3) be excluded from the Medicare Inpatient Prospective Payment System (PPS) under Section 1886(d)(1)(B)(iii), of the Social Security Act and its accompanying regulations; and (4) be a "freestanding" children's hospital.

**Beneficiary Eligibility:**

Any public or private nonprofit and profit children's teaching hospital with an accredited residency training program which meets all eligibility requirements may apply.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification of award is made in writing by a notice of award letter issued from the headquarters office.

**Deadlines:**

Contact the Headquarters Office for application deadlines. The CHGME web site will also publish the information ahead of time.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Hospitals can appeal the determination of FTE resident counts by CHGME fiscal intermediaries to the Provider Reimbursement Review Board (PRRB) under section 1878 of the Social Security Act.

**Renewals:**

Eligible children's hospitals must complete a CHGME Payment Program application for inclusion in the program for each fiscal year that they are applying for funds.

**Formula and Matching Requirements:**

Section 340E(a) requires the Secretary of DHHS to make payments for direct and indirect expenses associated with operating approved graduate medical residency training programs for each fiscal year. The two statutory formulas (direct medical education and indirect medical education) payments to eligible children's teaching hospitals are made as outlined in Federal Register Notice (FRN) Vol. 65, No. 118 published on June 19, 2000; FRN Vol. 66, No. 41 published on March 1, 2001; and FRN Vol. 66, No. 140 published on July 20, 2001 and FRN Vol. 67, No. 186, published on September 25, 2002. and FRN Vol 68, No. 208, published October 22, 2003. The formula was updated to incorporate section 422 of the Medicare Modernization Act (MMA) and updates to variables used in the formulas made by CMS through rules and regulations. This program has no statutory matching requirements.

**Length and Time Phasing of Assistance:**

In accordance with the Healthcare Research and Quality Act, 1999, Public Law 106-129, the Secretary of DHHS shall determine before the beginning of each fiscal year that payments are made for a hospital. The amounts of the payments for direct and indirect medical education are made to each hospital in 12 equal interim installments during the period. The Children's Health Act, Public Law 106-310, amends the length of the CHGME Payment Program through fiscal year 2005. Payments are made by an Electronic Transfer System.

**Reports:**

Public Law 109-307 requires children's hospitals receiving CHGME funds to

submit an annual report that focuses on their GME training program. The Department has to submit a report to Congress by 2011.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$297,000,000; FY 08 \$301,000,000; and FY 09 est \$301,000,000.

**Range and Average of Financial Assistance:**

\$5,982 to \$20,273,990; \$4,737,879 in combined DME and IME payments.

**PROGRAM ACCOMPLISHMENTS:**

The CHGMEPP made awards to 60 eligible children's teaching hospitals in FY 07. It is estimated that awards will be made to 57 eligible teaching hospitals in FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Marilyn Biviano Ph.D, Director, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-05, Rockville, MD 20857. Telephone: (301) 443-6190.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch, Telephone: (301) 443-2385; Research and Training Branch, Telephone: (301) 443-3099; Government and Special Focus Branch, Telephone: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov); <http://www.bhpr.hrsa.gov/childrenshospitalgme> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Children's teaching hospitals must meet all of the eligibility criteria before being considered for program funds. This is a noncompetitive annual award.

## 93.256 STATE PLANNING GRANTS HEALTH CARE ACCESS FOR THE UNINSURED

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Law 108-447.

**OBJECTIVES:**

To support States in the development of plans to provide access to health insurance coverage for all citizens.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The State Planning Grants (SPG) Program provides 3 types of grants. The first type is a 1-year grant for States which have never received SPG funds to develop plans for providing access to affordable health insurance coverage to all citizens. Each State will design an approach that would ensure every citizen in that State has access to affordable health insurance benefits similar in scope to the Federal Employees Health Benefit Plan, Medicaid, benefits offered to State employees, or other similar health plans. At the conclusion of the grant, each State will submit a report to the Secretary of Health and Human Services that identifies the characteristics of the uninsured within its State and proposals for providing them with affordable health insurance coverage. Together, these reports will provide additional data about the characteristics of the uninsured generally and potential models for other States seeking to provide comprehensive coverage. The second and third types are Limited Competition Pilot Project Planning and Planning

funds which are available to existing and former SPG Program grantees. Limited Competition Pilot Project Planning 1-year grants are to support the design and planning of a pilot project to expand health insurance coverage to a significant uninsured population within the State. Limited Competition Planning 1-year grants are for States that have received SPG Program grant funds and need additional resources to complete or expand upon the activities already initiated with previous grant funds. (2) Funding provided through this program may not be used to substitute for or duplicate funds currently supporting similar activities. In addition, grant funds may not be used to support construction, renovation, or modernization costs. Grant funds may support costs such as: a) Project staff salaries; b) consultants; c) project-related travel; d) project evaluation; e) limited equipment and software purchases or leases; and f) coordinating and conducting project-related meetings.

**Applicant Eligibility:**

The Governor of each State or Territory that has not previously received a The Governor of each State or Territory that has not previously received a State Planning Grant is invited to apply for a New grant. The Governor can designate an individual or agency authorized to prepare the State's application on behalf of the State. Only a State entity can be the official recipient of a grant. Only one application per State is permitted. For Limited Competition Pilot Project Planning Grants, eligible applicants are any public State entity that has previously received a SPG Program grant. Only a State entity, nominated by the Governor, can be the official recipient of a Pilot Project Planning grant. Only one application per State is accepted. All SPG Program applicants that propose a pilot planning project must include letters of support from the Governor and the State legislature for the pilot project. Letters of support are to be provided from the leaders of both the House and Senate legislative bodies, or equivalent representative(s). For Limited Competition Planning Grants, eligible applicants are any public State entity that has previously received a SPG Program grant. Only one application per State is accepted.

**Beneficiary Eligibility:**

New and Limited Competition Planning grant funding will assist States to develop models for providing access to health insurance coverage for all citizens of the State. Limited Competition Pilot Project Planning grant funding will assist States in the design and planning of a pilot project of an option or options on which consensus has been developed and will expand health insurance coverage to a significant uninsured population within the State. These grants will also have the potential to be broadly applicable to other States working on expansion options for their uninsured.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). Please visit the [Grants.gov](http://Grants.gov) Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Healthcare Systems Bureau. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each of the applications will undergo an eligibility and conformance review by Federal staff at the State Planning Grants Program Office. Applications that have passed the eligibility and conformance review will be assigned to members of an Objective Review Committee (ORC) that will review them based on the evaluation criteria listed in the application guidance. The results of the ORC reviews will be shared with the HRSA Administrator who will make the final decisions.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

The time required for the applications to be approved or disapproved is projected to be 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System.

**Reports:**

Reports are to be provided as outlined in the grant conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June



27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Through FY 05, 52 States, Territories, and the District of Columbia have received SPG Program funds. Of these, 50 conducted household surveys, 29 conducted employer surveys, 34 conducted consumer focus groups, 37 conducted employer focus groups, and 26 States have participated in the Multi-State Integrated Database System, funded for state grantee analysis of data collected. All grantees submit annual reports on their progress in studying the uninsured and developing plans for expanded insurance coverage. In FY 08, this program is not anticipating funding, therefore no notable accomplishments are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Joyce G. Somsak, Director, State Planning Grants Program, Healthcare Systems Bureau, Health Resources and Service Administration, Room 11-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0938. Fax: (301) 443-8196.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The State Planning Grants Program grants awarded in FY 04, and those which will be awarded in FY 05 are available at: www.hrsa.gov/osp under "State Planning Grants Program."

**CRITERIA FOR SELECTING PROPOSALS:**

Please see program guidance.

**93.257 GRANTS FOR EDUCATION, PREVENTION, AND EARLY DETECTION OF RADIOGENIC CANCERS AND DISEASES**

(Radiation Exposure Screening and Education Program)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 417C, Public Law 106-245.

**OBJECTIVES:**

To award grants for the purpose of enabling grantees to carry out programs for: (1) awarding individuals described under section 4 (a)(1)(A)(i) or 5(a)(1)(A) of the Radiation Exposure Compensation Act (42 U.S.C. 2210 note) for cancer as a preventative health measure; (2) providing appropriate referrals for medical treatment of individuals screened under paragraph (1) and to ensure, to the extent practicable, the provision of appropriate follow-up services; (3) developing and disseminating public information and education programs for the detection, prevention, and treatment of radiogenic cancers and diseases; and (4) facilitating putative applicants in the documentation of claims as described in section 5(a) of the Radiation Exposure Compensation Act (42 U.S.C. 2210 note).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded to organizations that develop new or expand existing capacity to provide screening, referrals for medical treatment, education, and eligibility assistance for eligible individuals. Restrictions on the Use of Grant Funds: (1) grant funds may not be used to pay for inpatient services; (2) grant funds may not be used to make cash payments to intended recipients of primary health care services or specialty care; (3) grant funds may not be used to supplant other provider/third party coverage payments available to the patient; (4) grant funds may not be used to purchase or improve real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment without the approval of the HRSA Grants Management Office; and, (5) not more than 10 percent of any grantee's funds shall be used for legal services to assist users in obtaining benefits under the Radiation Exposure Compensation Program.

**Applicant Eligibility:**

The following entities, (located within the approved States of Arizona, Colorado, Idaho, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Texas, Utah, Washington or Wyoming) are eligible to apply for the funds: (1) National Cancer Institute-designated cancer centers; (2) Department of Veterans Affairs hospitals or medical centers; (3) Federally Qualified Health Centers; (3) agencies of any State or local government that currently provide direct health care services; (4) IHS health care facilities, including programs provided through tribal contracts, compacts, grants, or cooperative agreements with the HIS and which are determined appropriate to raising the health status of Indians; and (5) nonprofit organizations.

**Beneficiary Eligibility:**

For purposes of the RESEP, individuals eligible for health screening, education, medical referral, and appropriate follow-up services include an individual who either: (1) was employed in a uranium mine or uranium mill (including any individual who was employed in the transport of uranium ore or vanadium-uranium ore from such mine or mill) located in Colorado, Nevada, New Mexico, Arizona, Wyoming, South Dakota, Washington, Utah, Idaho, North Dakota, Oregon, and Texas at any time during the period beginning on January 1, 1942, and ending on December 31, 1971; (2) was a miller or ore transporter who worked for at least 1 year during the period beginning on January 1, 1942, and ending on December 31, 1971; (3) was physically present in the nuclear arms testing area (which includes, in the State of Utah, the counties of Beaver, Garfield, Iron, Kane, Millard, Piute, San Juan, Sevier, Washington, and Wayne; in the State of Nevada, the counties of Eureka, Lander, Lincoln, Nye, White Pine, and that portion of Clark County that consists of townships 13 through 16 at ranges 63 through 71; and in the State of Arizona, the counties of Apache, Coconino, Gila, Navajo, and Yavapai) for a period of at least 2 years during the period beginning on January 21, 1951, and ending on October 31, 1958; (4) was physically present in the nuclear arms testing area, cited in 3. above, for the period beginning on June 30, 1962, and ending on July 31, 1962, or (5) participated onsite in a nuclear arms test involving the atmospheric detonation of a nuclear device, in either the area described in 3. above or within the official boundaries of the Pacific, Trinity, or South Atlantic Test Sites.

**Creditentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agency's authorized representative, is the authorizing document.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

None.

**Renewals:**

RESEP awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually. After funds are issued, funds are released in accordance with payment procedures of DHHS, which may be an Electronic Transfer System or monthly cash request system.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants)FY 07 \$1,558,418; FY 08 est \$1,517,000; and FY 09 est 1,517,000.

**Range and Average of Financial Assistance:**

\$153,000 to \$275,000; \$222,621.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, HRSA awarded grants to 7 organizations. It is anticipated to award 7 organizations in FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

The Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A statewide program of Radiation Exposure Screening and Education Program clinics with coordination and assistance from the State health department; and (2) an area-wide system of clinical and educational services in a rural area for Radiation Exposure victims administered by a secondary referral hospital through linkage arrangements with other provider agencies.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Need and Readiness -- the extent to which the applicant can demonstrate a need for these services in their area and their readiness to provide them; (2) administration -- the extent to which the applicant demonstrates that it has the administrative experience and capacity to successfully implement this program; (3) health care services -- the extent to which the applicant has the capacity to provide or arrange for the required services; (4) collaborative arrangements -- the extent to which the applicant has developed and documented collaborative arrangements with other local providers to conduct outreach, provide services and make referrals; and, (5) appropriateness of budget -- the extent to which the applicant's budget for the scope of the proposed activities.

## 93.259 RURAL ACCESS TO EMERGENCY DEVICES GRANT

(RAED)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 413 of the Cardiac Arrest Survival Act of 2000; Public Law 106-505.

**OBJECTIVES:**

To help partnerships made up of at least three separately owned entities purchase and train first responders, and lay persons on the use of Automated External Defibrillators (AEDs). A limited amount of funds may also be used for medical dispatcher training.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

**Applicant Eligibility:**

Applicants must be a public or non-profit entity located in a rural designated area. Partnerships made up of at least three separately owned entities may apply. These grantees must be located in rural areas as defined in the grant guidance may include local first response entities such as fire, EMS and police as well as for and nonprofit entities concerned with cardiac arrest survival rates. Statewide, multi-State or regional Partnerships may apply. Federally recognized tribes and/or tribal organizations are eligible to apply.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preadmission Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are evaluated by Federal and nonfederal experts. All acceptable applications will be funded. Final decisions on level of funding are made by the Director, Office of Rural Health Policy.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From two weeks to two months.

**Appeals:**

None.

**Renewals:**

RAED awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

This program does not require cost sharing, however ORHP encourage applicants to engage all participating partners to cost-share in the project as a demonstration of mutual commitment to the project's success.

**Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System.

**Reports:**

A final program report will be submitted to the Secretary, DHHS via ORHP within 90 days after the close of the budget period. This report will include a retrospective review of how the AED(s) affected response times, pre-hospital mortality rates, etc.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,249,686; FY 08 est \$1,100,000; and FY 09 est \$1,100,000.

**Range and Average of Financial Assistance:**

\$46,408 to \$103,000; \$96,129.

**PROGRAM ACCOMPLISHMENTS:**

FY 07 made 13 awards; anticipate 13 awards for FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Contact: Julia Bryan, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Rural Access to Emergency Devices Grant Program is to purchase, place, and train both lay public and health care providers in the use of automatic external defibrillators (AEDs). For the FY 2007 funding cycle, 13 grantees were funded; each grantee represented one consolidated statewide application. Each award resulted in 90 to 120 AEDs being placed in the grantee's state.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be published in grant guidance.

### 93.260 FAMILY PLANNING-PERSONNEL TRAINING

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title X, Section 1003, 42 U.S.C. 300a-1; Family Planning Services and Population Research Act of 1970, Section 6(c), Public Law 91-572, 84 Stat. 1507, as amended; Appropriation Act of 1991, Public Law 101-517.

**OBJECTIVES:**

To provide job specific training for personnel to improve the delivery of family planning services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded to provide training to Title X project staffs; to improve utilization and career development of paraprofessional and paramedical manpower in family planning services, particularly in rural areas. Funds may not be used in programs where abortion is a method of family planning.

**Applicant Eligibility:**

Any public entity (including city, county, local, regional, or State government) or nonprofit private entity located in a State (including the District of Columbia, Puerto Rico, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau) is eligible to apply for a grant under this program. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Personnel delivering family planning services in Title X projects.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allow ability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations.

**Preapplication Coordination:**

There are no requirements for coordination. Informal preapplication consultation between prospective applicants and Office of Population Affairs staff is available upon request. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult

the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm> . The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

The Regional Health Administrator, DHHS, makes the final decision(s) to approve, hold, or reject individual applications. Applicants are notified regarding the final decision on each application. All projects funded are issued a Notice of Grant Award.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Projects are renewed, as required, based on submission of an application including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants are generally approved for a project period of 3-5 years.

**Reports:**

Expenditure report on annual basis. Progress report to be submitted with continuation application. Special reports as requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A - 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A - 133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$7,213,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$238,000 to \$472,000; \$355,000.

**PROGRAM ACCOMPLISHMENTS:**

Support was given to 11 family planning training grantees in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**



42 CFR 59, 45 CFR 74, and 45 CFR 92. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Regional Health Administrator, DHHS Regional Offices. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:**

Program Contact: Ms. Susan Moskosky, Director, Office of Family Planning, Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-2888. Grants Management Contact: Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.opa.osophs.dhhs.gov>

**RELATED PROGRAMS:**

93.217, Family Planning\_Services; 93.974, Family Planning\_Service Delivery Improvement Research Grants.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Short-term family planning personnel training; (2) brief workshops on specific topics; and (3) family planning/women's health specialty training continuing education course for health care practitioners.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated to determine which would best promote the purposes of the authorizing legislation, taking into account: (1) The increase in delivery of services to people, particularly low-income groups, with a high percentage of unmet need for family planning services; (2) the promise of the program to fulfill the family planning services needs of the area to be served; (3) capacity to use assistance rapidly and effectively; (4) the administrative and management capability and competence of the applicant; (5) competence of the project staff; and (6) compliance with pertinent regulations and guidelines.

## 93.262 OCCUPATIONAL SAFETY AND HEALTH PROGRAM

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Occupational Safety and Health Act of 1970, Sections 20(a) and 21(a), 29 U.S. Code 669(a) and 670(a); Federal Mine Safety and Health Act, Section 501(a), 30 U.S. Code 951(a); Public Health Service Act, Section 301(a) and 405; 42 U.S. Code 241 and 284 and Federal Regulations 42 CFR 52 and 45 CFR Parts 74 and 92.

**OBJECTIVES:**

To (1) recognize new hazards; (2) define the magnitude of the problem; (3) follow trends in incidence; (4) target exceptional hazardous workplaces for intervention; and (5) evaluate the effectiveness of prevention efforts. The goal of this program is to increase worker safety and health. To develop specialized professional and paraprofessional personnel in the occupational safety and health field with training in occupational medicine, occupational health nursing, industrial hygiene, occupational safety, and other priority training areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Training grants: Funds may be used for long term training programs and/or education and research centers. Support is provided for the direct costs of the program, plus certain indirect costs determined by Public Health Service policy on training programs. Amounts of stipends and other details are in accordance with Public Health Service policy. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support.

**Applicant Eligibility:**

Eligible applicants include for-profit or non-profit organizations, public or private institutions, such as universities, colleges, hospitals, and laboratories, units of State and local governments, eligible agencies of the Federal government, domestic or foreign institutions/organizations, faith-based organizations, Indian Tribes, Tribal Government, College and/or Organizations. Racial/ethnic minority individuals, women, and persons with disabilities are encouraged to apply as Principal Investigators. Training Grants: Any public or private educational institution or agency that has demonstrated competency in occupational safety and health training at the technical, professional, or graduate level may apply. Trainees must be admissible to the grantee institution and must be enrolled in occupational safety and health training programs. SBIR grants can be awarded only to domestic small businesses (entities that are

independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). For SBIR grants primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

**Beneficiary Eligibility:**

Research institutions and agencies as well as workers affected by occupational hazards.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q. For SBIR grants applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

NIOSH publishes announcements of funding opportunities in the NIH Guide for Grants and Contracts and Grants.gov is the portal for applications. The Guide is found on the Internet at: <http://grants1.nih.gov/grants/guide/index.html>. Appropriate forms are specified in the Funding Opportunity Announcement. Research and training programs utilize either the SF-424 R&R for electronic submission or the PHS 398 application form and instructions which are available on the Internet at: <http://grants1.nih.gov/grants/forms.htm>. Electronic applications should be submitted to: Center for Scientific Review (CSR), National Institutes of Health, 6701 Rockledge Drive, Room 1040, MSC7710, Bethesda, MD 20892-7910. For express/courier service: Bethesda, MD 20817. SBIR Grant Applications may be submitted via grants.gov, FOA number PA-07-280.

**Award Procedure:**

Awards are made on the basis of a two step review of an investigator-prepared application. The initial review is performed by a peer review study section for scientific merit. The second level of review is performed by the NIOSH Secondary Review Committee for program relevance. Final approval of these recommendations and decisions concerning funding are made by the Director, NIOSH. Formal award notices are sent to successful applicants.

**Deadlines:**

Application deadlines are posted in the published funding opportunity announcements and are available at <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

**Range of Approval/Disapproval Time:**

Research Grants and Awards: 7-9 months. Training Grants: 9-10 months. SBIR: 7-8 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute.

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to the end of a project period, the grantee may apply for renewal of support for a new project period. Applications for renewal will be reviewed in the same manner as a new application and will compete for available funds with other applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Research and Training Grants and Cooperative Agreements may be awarded for project periods ranging from one to five years in 12-month budget periods, and may be extended through a competitive renewal. SBIR Grants: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years.

**Reports:**

Reports must be submitted as follows: (1) Interim progress reports (including citations of all resulting publications) annually as part of a non-competing continuation application for previously recommended support; (2) Terminal progress report (including citations of all resulting publications) within 90 days after end of project support; (3) Annual financial status report within 90 days after the conclusion of each budget period; (4) Immediate and full reporting of any inventions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal

awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after end of each budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$144,574,277; FY 08 est \$115,000,000; and FY 09 est \$107,000,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$5,000,000. Training Grants: \$28,000-\$1,500,000. SBIR Grants: Phase I -\$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 161 research grant awards, 51 training awards, 13 SBIR awards and 10 World Trade Center awards were made. Estimated number of awards for FY 2008 is 240.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Parts 86 and 87. 45 CFR Part 74 or 92, as applicable. OMB Circulars A-21 and A-87. The PHS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the NIH Grants Policy Statement. Funding opportunity announcements as published in the NIH Guide: (<http://grants1.nih.gov/grants/guide/index.html>), the Grants.gov website ([www.grants.gov](http://www.grants.gov)), and the NIOSH OEP web site (<http://www.cdc.gov/niosh/oepl/>). Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Any additional grant program legislation and regulation cited in the Notice of Grant Award.

**Regional or Local Office:**

Program Contact: Office of Extramural Programs, National Institute for Occupational Safety and Health, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road, NE., MS-E74, Atlanta, GA 30333. Telephone: (404) 498-2530. Grants Management Contact: Mr. Larry Guess, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Acquisition and Assistance Branch, Centers for Disease Control and Prevention, Department of Health and Human Services, 626 Cochran Mill road, PO Box 18070, Pittsburgh, PA 15236. Telephone: (412) 386-6826.

**Headquarters Office:**

Office of Extramural Programs, National Institute for Occupational Safety and Health, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road, NE., MS-E74, Atlanta, GA 30333. Telephone: (404) 498-2530. Grants Management Contact: Mr. Larry Guess, Grants Management Officer, Grants Management Branch, Centers for Disease Control and Prevention, Department of Health and Human Services, 261 Cochran Mill road, P.O. Box 18070. Telephone: (412) 386-6826.

**Web Site Address:**

<http://www.cdc.gov/niosh/oepl>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) An Integrated Approach Toward Understanding the Toxicity of Inhaled Nanomaterials, (2) Violence Against Home Health and Hospice Workers, (3) Occupational Exposure to Chlorinated Solvents and Cardiovascular Malformations, (4) 2008 Western Agricultural Conference, (5) Translating a Weight Management Program to Worksites, (6) Worker Health and Safety in Chinatown Restaurants: A CBPR Study, (7) Western U.S. Mining Safety and Health Training, (8) Occupational Safety and Health Training Project, (9) Occupational Safety and Health Training Grant, (10) Hazardous Substance Training for Emergency Responders (11) Rocky Mountain Center for Occupational and Environmental Health, (12) NYC Fire Dept. Clinical Center for WTC Medicals, (13) NYU World Trade Center Responder Health Consortium, (14) Southeast Center for Agricultural Health and Injury Prevention, (15) Occupational Safety and Health Surveillance in New York.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. Training Grants: Criteria used in evaluating training proposals include: (1) Overall potential contribution of the project toward meeting program objectives; (2) the need for training in the areas outlined in the application; (3) curriculum

content and design; (4) previous record of training; (5) evaluation methods; (6) experience and training of the project director and staff; (7) institutional commitment; (8) academic and physical environment; (9) past performance; and (10) appropriateness of budget. The following criteria will be used in considering the scientific and technical merit of SBIR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.264 NURSE FACULTY LOAN PROGRAM (NFLP)**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION ,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 846A, as amended; Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

The purpose of the Nurse Faculty Loan Program is to increase the number of qualified nursing faculty. The Secretary of HHS, acting through the Administrator of the Health Resources and Services Administration, enters into an agreement with a school of nursing and makes an award for the establishment and operation of a NFLP loan fund. Institutions must use NFLP loan funds to provide loans to students enrolled in eligible advanced degree nursing programs (master's or doctoral) with an education component(s) that will prepare the student to teach. Loan recipients must agree to complete the education program, and following graduation, may cancel up to 85 percent of the NFLP loan while serving as full-time nurse faculty at a school of nursing.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Institutions may award a maximum loan amount of \$30,000 per student for an academic year. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time employment as faculty in a school of nursing, 20 percent of the principal of, and interest on, the amount of the unpaid loan shall be cancelled; upon completion of the fourth year of full-time employment as faculty in a school of nursing, 25 percent of the principal of, and interest on, the amount of the unpaid loan shall be cancelled.

**Applicant Eligibility:**

Eligible applicants include all accredited public, nonprofit and private or for-profit schools of nursing that offer advanced degree nursing education programs (master's or doctoral) to that prepare full-time advanced degree nursing students to serve as faculty at schools of nursing that offer a master's or doctoral degree program.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the Commonwealths of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific Islands. A student who remains in this country on a student or visitor's visa is not eligible; (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be

forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

A Notice of Award and a signed copy of the Agreement is issued in writing from the Health Resources and Services Administration, Bureau of Health Professions, Division of Nursing office and is sent to the institution's School of Nursing Coordinator and the Financial Aid Office Coordinator single point of contact in the Financial Aid Office notifying the school of the amount of the Fiscal Year award.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Approximately 2 to 3 months after receipt of application.

**Appeals:**

None.

**Renewals:**

Applications must be submitted annually.

**Formula and Matching Requirements:**

Schools participating in the loan program must contribute to the loan fund an amount equal to not less than one-ninth of the Fiscal Year award.

**Length and Time Phasing of Assistance:**

Project periods are for one (1) year.

**Reports:**

The institution submits the "Nurse Faculty Loan Program Annual Operating Report" annually to the Program Office. The Payment Management Systems (PMS) administered by the Division of Payment Management, Financial Management Services, Program Support Center requires schools to complete and submit the quarterly PMS Form 272 to report NPLP loan disbursements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$4,592,465; FY 08 est \$7,089,668; and FY 09 est \$7,089,668.

**Range and Average of Financial Assistance:**

FY 07: Range is \$1,892 to \$559,872; Average is \$62,910.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007 there were 122 NPLP agreements established with schools of nursing; annual report data for the 2006 to 2007 academic period documented that 729 students received NPLP support.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Denise Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 8-C26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1399. Fax: (301) 443-0791. E-mail: dthompson@hrsa.gov.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

93.364, Nursing Student Loans; 84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.063, Federal Pell Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects establish a NPLP loan fund to provide direct loan support to nursing students who are enrolled in an advanced education nursing, and following graduation from the program may cancel 85% of the NPLP loan while serving as nurse faculty.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.265 COMPREHENSIVE GERIATRIC EDUCATION PROGRAM(CGEP)**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION (HRSA),  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 855, Nurse Reinvestment Act, Public Law 107-205.

**OBJECTIVES:**

To train and educate nursing personnel in providing geriatric care for the elderly.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants to develop and implement, in coordination with programs under section 753, programs and initiatives to train and educate individuals in providing geriatric care for the elderly. Grants may be used to: Provide training to individuals who will provide geriatric care for the elderly; develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; train faculty members in geriatrics; or provide continuing education to individuals who provide geriatric care. Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential personnel travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs. Trainee expenses are not allowed.

**Applicant Eligibility:**

Eligible applicants are schools of nursing, academic health centers, a health care facility, a program leading to certification as a certified nurse assistant, a partnership of such a school and facility, or a partnership of such a program and facility, other appropriate public or private nonprofit entities; and for-profit entities capable of carrying out the legislative purpose.

**Beneficiary Eligibility:**

Training is for nursing personnel who provide, or will provide, care for the elderly and faculty members.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made electronically through a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years.

**Reports:**

A progress report must be submitted for the second and subsequent budget periods within an approved project period. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

**Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$3,206,392; FY 08 \$3,016,826; and FY 09 est \$3,016,826.

**Range and Average of Financial Assistance:**

\$58,000 to \$216,000; \$157,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007 there were 19 non-competing continuation awards; and in FY 2008 there were 18 non-competing continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Contact: Nancy Douglas-Kersellius, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 8C-26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects provide leadership and geriatric education for Registered Nurses and include activities that enhance the skills of other nursing personnel to provide geriatric care.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by a panel of peer reviewers using the following criteria: A clearly stated project purpose; a documented need for the proposed project; the potential effectiveness of the proposed project; a clearly articulated project plan including evaluation of project objectives; a plan for addressing diversity and cultural competence; a comprehensive plan for project management; the reasonableness of the budget and fiscal plan; the presence of established and/or planned linkages with relevant entities.

**93.266 RAPID EXPANSION OF ANTIRETROVIRAL THERAPY PROGRAMS FOR HIV-INFECTED PERSONS IN SELECTED COUNTRIES IN AFRICA AND THE CARIBBEAN UNDER THE PRESIDENT'S EMERGENCY PLAN FOR AIDS RELIEF**

(Global AIDS)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 301(a) and 307 of the Public Health Service Act, 42 U.S.C. Sections 241 (a) and 2421, as amended, Public Law 108-25, United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, 22 U.S.C. 7601.

**OBJECTIVES:**

(1) To rapidly expand antiretroviral therapy (ART) to low income HIV-infected persons in a manner that is consistent with national plans and policies in the 15 targeted countries under the President's Emergency Plan for AIDS Relief (PEPFAR); and (2) To develop sustainable indigenous capacity to continue these programs after the project ends.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreements will be awarded to organizations with excellent HIV care and treatment programs to expand their services.

**Applicant Eligibility:**

Applicants must have 3 years experience of providing ART in 3 or more of the targeted countries. Eligible entities are those providing clinical care and anti-retroviral therapy in at least 3 of the 15 focus countries under the President's Emergency Plan.

**Beneficiary Eligibility:**

Health care personnel and people living with AIDS.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

3-6 months.

**Appeals:**

None.

**Renewals:**

Projects are for one to five years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Project Period: From 1 to 5 years. Budget Period: For 12 months.

**Reports:**

Interim Progress Reports no less than 90 days before the end of the budget period. This will serve as the non-competing continuation application. Semi-annual Progress Report 7 months after the beginning of each budget period should provide progress on achieving objectives and modifications or new objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$196,000,000; FY 08 est \$196,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Floor: \$8,000,000; Ceiling \$67,000,000; Average \$33,000,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 04, 2 awards were made. During the first 12 months of the Track 1.0/ART (Antiretroviral Therapy) program, the two grantees Harvard School of Public Health and AIDS Relief (Catholic Relief Services Consortium) provided ART for 25,028 persons at 65 medical facilities in 10 countries. In year 2 of the program period, as of Sept 30, 2005, the grantees expanded their coverage to 47,796 individuals on ART in 10 countries. Over 7,000 health care workers were trained in 25 countries in FY06 as a result of the International Training and Education Center.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Dr. Barbara Aranda-Naranjo, Global Program, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Suite 7-05, Rockville, MD 20857. Telephone: (301) 443-3327.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.941, HIV Demonstration, Research, Public and Professional Education Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's capability is sufficient in the areas of clinical care, drug and health commodities, laboratory services, training, community mobilization and behavior, monitoring and evaluation and sustainability; feasibility of their expansion plan; extent to which the organizational structure, management and staffing is appropriate and sound and the presentation of a reasonable budget.

## 93.267 STATE GRANTS FOR PROTECTION AND ADVOCACY SERVICES

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Sections 1253, 300d-531, of the Public Health Service Act, Title V, 42 U.S.C. 290aa, et seq.

**OBJECTIVES:**

To make grants to Protection and Advocacy systems as established in each State for the purpose of enabling such systems to provide services to individuals with traumatic brain injury which may include: (1) information, referrals, and advice, (2) individual and family advocacy, (3) legal representation, and (4) specific assistance in self-advocacy.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to plan for, develop outreach strategies for, and carry out services for individuals with traumatic brain injury as authorized in the Section 1253 of the PHS Act. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established.

**Applicant Eligibility:**

Grants are directly awarded to the system established in the State to protect and advocate the rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000," as amended October 30, 2000 by Public Law 106-420 (45 USC 6041 et seq.). Grants are also available to the Protection and Advocacy Organization established to serve the Native American Consortium.

**Beneficiary Eligibility:**

Individuals with traumatic brain injury.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Grants are directly awarded by the Health Resources and Services Administration to the system established in the State to protect and advocate the

rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000", as amended April 16, 2008 by the "Traumatic Brain Injury Act of 2008."

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Formula provisions are stated in the authorizing legislation, Section 1253 of the Public Health Service Act. Subject to appropriated funding, allotments are equal to an amount bearing the same ratio to the total amount appropriated for the fiscal year involved as the population of the State in which the grantee is located bears to the population of all States. State allotments (including the District of Columbia and the Commonwealth of Puerto Rico) will be no less than \$50,000 and no U.S. Territory, including a protection and advocacy system serving the American Indian consortium, shall be no less than \$20,000.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System.

**Reports:**

Each protection and advocacy system that receives payment shall report according to the Uniform Reporting System established under the cooperative agreement between the Administrator, HRSA, and the Commissioner of the Administration on Developmental Disabilities."

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$2,970,000; FY 08 \$2,947,590; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$20,000 to \$117,267; \$52,105.

**PROGRAM ACCOMPLISHMENTS:**

In FY 05, 57 grant awards were made to States and Territories. It is estimated that 57 grant awards will be made to States and Territories in FY 06.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Contact: Janie Martin-Heppel, Program Officer, Protection and Advocacy for Traumatic Brain Injury Program, Division of Services for Children with Special Healthcare Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Room 18A-18, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 301-443-2370.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch; Telephone: (301) 443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.234, Traumatic Brain Injury State Demonstration Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

## 93.268 IMMUNIZATION GRANTS

**FEDERAL AGENCY:**

**AUTHORIZATION:**

Public Health Service Act, Section 301, 42 U.S.C. 241, and Section 317, 42 U.S.C. 247b, as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Preventive Health Amendments of 1984, Public Law 98-555; Social Security Act, Section 1928.

**OBJECTIVES:**

To assist States and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases (including measles, rubella, poliomyelitis, diphtheria, pertussis, tetanus, hepatitis B, hepatitis A, varicella, mumps, haemophilus influenza type b, influenza, and pneumococcal pneumonia).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, organizing, and conducting immunization programs directed toward vaccine-preventable diseases and for the purchase of vaccine; and for the implementation of other program elements, such as assessment of the problem; surveillance and outbreak control; information and education; adequate notification of the risks and benefits of immunization; compliance with compulsory school immunization laws; vaccine storage, supply, and delivery; citizen participation; and use of volunteers. Vaccine will be available "in lieu of cash" if requested by the applicants. Requests for personnel and other items "in lieu of cash" will also be considered. Vaccine purchased with grant funds may be provided to private practitioners who agree not to charge for vaccine. Grant funds may be used to supplement (not substitute for) existing immunization services and operations provided by a State or locality.

**Applicant Eligibility:**

Any State, and in consultation with State health authorities, political subdivisions of States and other public entities may apply; private individuals and private nonprofit agencies are not eligible for immunization grants.

**Beneficiary Eligibility:**

Any State, political subdivision (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval of an application, a Notice of Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

None.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory or matching requirements. Although there are no matching requirements, applicants must assume part of the project costs and fiscal information must be provided in the budget portion of the application pursuant to provisions of Section 317(b)(2).

**Length and Time Phasing of Assistance:**

Project Period: Variable. Budget Period: About 12 months.

**Reports:**

Annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. A report is required on the extent of the problems presented by the diseases and conditions, including the reporting of adverse events following immunization. Final financial status and progress reports are required 90 days after the end of a

project. Financial Status Reports are not required for VFC funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(317 Grants) FY 07 \$428,004,655; FY 08 est \$438,400,517; and FY 09 est \$438,400,517. (VFC Grants) FY 07 \$2,510,051,999; FY 08 est \$2,402,707,330; and FY 09 est \$2,489,910,709.

**Range and Average of Financial Assistance:**

(317 Grants): From \$338,434 to \$52,577,481; \$6,442,693. (VFC Grants): From \$609,621 to \$270,856,761; \$37,268,840.

**PROGRAM ACCOMPLISHMENTS:**

The nation's childhood immunization coverage rates are at record high levels for most vaccines and for all the vaccination series measures. As childhood immunization coverage rates increase, cases of vaccine preventable disease decline significantly. One performance measure is used to ensure that children are appropriately vaccinated by age two. For the past five years, the 90 percent coverage target has been exceeded for four of the seven routinely recommended childhood vaccine (Hib, MMR, hepatitis B, and polio) and has almost reached the 90 percent target for varicella (currently at 89 percent). Another important performance measure is the increased proportion of adults who are vaccinated annually against influenza and ever vaccinated against pneumococcal disease among persons 65 years of age and older. Influenza vaccination coverage levels among the elderly have increased from 30 percent in 1989 to 64 percent in 2006 and pneumococcal vaccination levels have increased from 15 percent in 1989 to 57 percent in 2006.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. Lance Rodewald, Director, Immunization Services Division, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: (404) 639-8208; Fax: (404) 639-8627; E-mail: LAR9@cdc.gov. Grants Management Contact: Ms. Peaches Brown, Grants Management Specialist, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 3623, Atlanta, GA 30341. Telephone: (770) 488-2738.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.217, Family Planning Services; 93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.600, Head Start.

**EXAMPLES OF FUNDED PROJECTS:**

The majority of official State Health Departments (such as California, Michigan, and Texas) and some large local health departments (such as New York and Chicago) have ongoing disease control programs utilizing these grants. Immunization Projects: The national program goals for immunization are to reduce morbidity and mortality due to vaccine-preventable diseases; maintain interruption of indigenous measles transmission; prevent perinatal transmission of hepatitis b; maintain 95 percent immunization levels for school entrants, and 90 percent immunization levels for children enrolled in licensed day-care centers against measles, poliomyelitis, diphtheria, tetanus, pertussis, rubella, mumps, and Haemophilus influenza type b (Hib); develop, test, and implement systems for use in the States to ensure that 90 percent or more of children complete basic immunizations by age 2; and promote appropriate immunization programs for adults. Effective comprehensive programs, include the following elements: (1)



Surveillance of vaccine-preventable diseases; (2) development and implementation of specific plans to raise immunization levels within preschool age high-risk groups; (3) assessment of immunization status in public clinics, private physician offices, and schools; (4) public information and education programs; (5) participation of citizens groups and volunteers; and (6) consistent enforcement of compulsory school immunization laws.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) The extent of the problem; (2) the establishment of specific and measurable objectives to address the problem; and (3) the development of a sound operational plan which will ensure the implementation of each program element.

**93.269 COMPLEX HUMANITARIAN EMERGENCY AND WAR-RELATED INJURY PUBLIC HEALTH ACTIVITIES**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act Sections 301, 307, 311, 317, and 319, Public Law 108-111, Public Law 109-417, U.S.C. 247d-3.

**OBJECTIVES:**

To bring public health and epidemiologic principles to the aid of populations affected by complex humanitarian emergencies. Work will focus on the following main program areas: (1) Providing technical assistance including rapid health and nutrition assessments, public health surveillance, epidemic investigations, disease prevention and control, program evaluation and emergency preparedness; (2) Developing, implementing and disseminating findings from operational research projects aimed at developing more effective public health interventions; (3) Designing, implementing, and evaluating training activities to strengthen the capacity of CDC, other U.S. government agencies, international and private voluntary organizations, other governments, and public health students; (4) Developing and disseminating guidelines on public health issues and technical areas; and (5) Planning and maintaining partnerships with strategic international, bilateral, and non-governmental relief organizations.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of projects related to domestic and international complex humanitarian emergencies and war-related injuries. The grants and cooperative agreements may be used for personnel, salaries, consultant costs, survey costs, training, equipment, supplies, travel, patient costs, miscellaneous items, and indirect costs.

**Applicant Eligibility:**

The general public will benefit from the objectives of this program.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

None.

**Renewals:**

Support is recommended for a specified project period, not to exceed 5 years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years.

**Reports:**

Semiannual and year end progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 est \$250,000.

**Range and Average of Financial Assistance:**

FY 09 (est) \$50,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, CDC provided a technical advisor to UNICEF to oversee and complete the measles vaccination campaign in Southern Sudan. As a result, more than 2 million children were vaccinated against measles as a direct result of CDC intervention. CDC, in partnership with the United Nations Children's Fund, the Vietnam Veterans of America Foundation, the International Rescue Committee, and the Mine Clearance Planning Agency of Afghanistan, implemented a nationwide war-related mortality, injury, disability, and mental health survey in Afghanistan. Data collected from over 6,000 persons was used to establish national estimates of mortality, injury, disability, and mental health status. This project was the largest war-related injury survey in a post-conflict setting. Results from this study were published in the Journal of the American Medical Association. From FY 2004 - FY 2008, CDC provided technical assistance to UNICEF, WFP and the UN Food and Agriculture Organization for the annual emergency food security and nutrition assessment in Darfur. The survey covered 4.1 million conflicted affected persons and found increasing rates of malnutrition among children under five. Surveillance data on injury in post-conflict settings is being collected through the work of CDC and partners in 11 countries. These data will be used to identify risk factors for injury and to develop prevention programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Ben Sklaver, International Emergency and Refugee Health Branch, Centers for Disease Control and Prevention, 1600 Clifton Road, N.E., Mailstop F60, Atlanta GA 30341-3717, USA. Telephone: (770) 488-0683. Grants Management Contact: Randolph B. Williams, Grants Management Specialist, Branch VII, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, MS K75, Atlanta, GA 30341. Telephone: (770) 488-8382.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See <http://www.cdc.gov/nceh/ierh/default.htm>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.270 ADULT VIRAL HEPATITIS PREVENTION AND CONTROL**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES.

**AUTHORIZATION:**

Section 301 and 317N of the Public Health Service Act (42 U.S.C. Section 241 and 247b-15).

**OBJECTIVES:**

To assist State and local health agencies, health related organizations and other governmental and nongovernmental organizations in their efforts to decrease the incidence of new infections of hepatitis A, hepatitis B and hepatitis C viruses and to decrease risks for chronic liver disease including cirrhosis and liver cancer in persons with chronic hepatitis B and hepatitis C infections.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with establishing and maintaining a hepatitis prevention program for the management and coordination of activities directed towards prevention of viral hepatitis infections including the identification, counseling and referral for medical management of persons with chronic HBV or HCV infection and integration of viral hepatitis prevention services into health care and public health services for adults at risk for viral hepatitis.

**Applicant Eligibility:**

Nonprofit with 501C3 IRS status (other than institution of higher education); Nonprofit without 501C3 IRS status (other than institution of higher education); For-profit organizations (other than small business); Small, minority, and women-owned businesses; Universities; Colleges; Research institutions; Hospitals; Community-based organizations; Faith-based organizations; Federally recognized or state-recognized American Indian/Alaska Native tribal; governments; American Indian/Alaska native tribally designated organizations; Alaska Native health corporations; Urban Indian health organizations; Tribal epidemiology centers; State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau); Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74 and Part 92.

**Preapplication Coordination:**

Not Required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations and A-102 for governmental entities.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period not to exceed 5 years.

**Reports:**

Quarterly or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Property records must be retained in accordance with the HHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$8,135,000; FY 08 est \$9,500,000; and FY 09 est \$8,500,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, 62 awards were made to state and local health departments, community, regional and national organizations to conduct focused hepatitis prevention activities in health care settings and public health programs targeting at risk populations for viral hepatitis. The primary goals of these programs are to decrease the incidence of new infections of hepatitis A virus (HAV), hepatitis B virus (HBV) and hepatitis C virus (HCV) (primary prevention) and to decrease risks for chronic liver disease, including cirrhosis and liver cancer, in persons with chronic HBV infection or chronic HCV infection (secondary prevention). An additional 7 awards were made to state and local health departments to conduct surveillance activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b.

Guidelines are available in the application kit. HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Wendy Watkins, National Center for HIV, Viral Hepatitis, STD, TB Prevention, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, N.E., Mailstop G-37, Atlanta, GA 30333 Telephone: (404) 718-8540. Grants Management Contact: Roslyn Curington, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 8 Corporate Square, Room 1044, Atlanta, GA 30329. Mailstop E15. Telephone: (404) 639-8864.

**Web Site Address:**

<http://www.cdc.gov/>.

**RELATED PROGRAMS:**

93.118, Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.116, Project Grants and Cooperative Agreements for Tuberculosis Control Programs; 93.135, Centers for Research and Demonstration for Health Promotion and Disease Prevention; 93.947, Tuberculosis Demonstration, Research, Public and Professional Education; 93.977, Preventive Health Services\_Sexually Transmitted Diseases Control Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include: State and Local Health Departments; Community Intervention Programs; HIV Prevention Care Management; Minority Community-Based HIV Prevention Projects; National/Regional Minority Organization (HIV/STD Prevention, Immunization, and TB) Projects; and Primary and Secondary HIV Prevention Services.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance.

**93.271 ALCOHOL RESEARCH CAREER DEVELOPMENT AWARDS FOR SCIENTISTS AND CLINICIANS**

(Research Career )

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, Public Law 78-410, 42 U.S.C. 241, as amended.

**OBJECTIVES:**

To provide support for increased research experience relating to the problems of alcohol abuse and alcoholism prevention, treatment, and rehabilitation; and to raise the level of competence and increase the number of individuals engaged in such research.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Mentored Research Scientist Development Awards (K01), Mentored Clinical Scientist Development Awards (K08), and Independent Scientist Awards (K02) provide support for individuals with research potential who need additional development and/or experience in a productive research environment. Mentored Patient-Oriented Research Career Development Award (K23) and Mid-career Investigator Award in Patient Oriented Research (K24) and Mentored Quantitative Research Career Development Award (K25) are also available. Senior Scientist Awards (K05) are also available to enable senior investigators to devote full-time to research. Academic Career Awards (K07) are also available for clinical faculty development. Awards are available for 5 years of salary support (up to 75 percent of the legislated maximum salary of \$161,200) for the individual candidate, fringe benefits and 8 percent indirect costs. Specialized training costs and limited research costs are allowable under certain circumstances. Salary support may be supplemented by the sponsoring institution from nonfederal funds.

**Applicant Eligibility:**

Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Awards, Independent Scientist Awards, Senior Scientist Awards, and Academic Career Awards for clinical faculty are made to appropriate research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, biomedical research institutes, and departments of behavioral science on behalf of individuals who need the opportunity to realize research potentials. The individuals in all cases must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:**

Public and private profit or nonprofit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit grantees' costs will be determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms as furnished by PHS must be used by applicants. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, MD 20892. Completed applications are reviewed by nonfederal consultants and recommend for support on the basis of merit. This program is subject to the provisions of 45 CFR Part 92 and OMB Circular No. A-110, as appropriate.

**Award Procedure:**

All NIAAA Research Career Development Awards for scientists and clinicians are recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and those approved for payment are awarded directly by NIAAA to the applicant institution.

**Deadlines:**

February 1, June 1, and October 1.

**Range of Approval/Disapproval Time:**

A range of 240 to 270 days from submission of the application.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application to the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Awards, Independent Scientist Awards, Senior Scientist Awards, Mentored Patient Oriented Research Career Development Awards, Mentored Quantitative Research Career Development Award, and Academic Career Awards are made for 5-year periods with renewal for Independent Scientist Awards and Senior Scientist Awards. Mid-career Investigator Awards in Patient-Oriented Research are renewable for one additional 5-year period if the candidate still meets the stated requirements.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Payment will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**Reports:**

Reports must be submitted as follows: (1) Interim Progress Reports annually as part of continuation applications; (2) Annual financial status reports at termination of year of support; and (3) Final Invention Statement at end of

support.

**Audits:**

Audits are to be carried out in accordance with the provisions set forth in 45 CFR 74, Subpart C, Section 74.26. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

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

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Grants) FY 07 \$11,781,000; FY 08 est \$12,051,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$92,000 to \$259,000; \$133,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; Guidelines included in application kit; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices. Applicants should also obtain NIAAA additional information to the NIH Career Development Program Announcements (K AWARDS) NIH Guide, Volume 24, Number 26, July 21, 1995, which is also available on the NIAAA Home Page.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Dr. Sam Zakhari, Director, Division of Metabolism and Health Effects. Telephone: (301) 443-0799. Dr. Mark Willenbring, Director, Division of Treatment and Recovery. Telephone: (301) 443-1208. Dr. Ralph Hingson, Director, Division of Epidemiology and Prevention Research. Telephone: (301) 443-1274. Dr. Antonio Noronha, Director, Division of Neuroscience and Behavior. Telephone: (301) 443-7722. National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, MSC 9304, Bethesda, MD 20892-9304. Grants Management Contact: Ms. Judy Fox, Grants Management Officer. Telephone: (301) 443-4704. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

93.272, Alcohol National Research Service Awards for Research Training; 93.273, Alcohol Research Programs.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Organizational aspects of industrial alcohol programs; (2) antecedents and consequences of alcohol consumption patterns; (3) fatty acid synthesis alcohol-induced changes; and (4) mechanisms of alcohol-induced deficits in vision.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) Evidence of the candidate's potential to develop and/or perform as an outstanding research scientist; (2) overall scientific and technical merit of the proposed research plans; (3) relevance to NIAAA priorities; (4) the potential contribution to the field of alcohol abuse and alcoholism; and (5) availability of funds.

**93.272 ALCOHOL NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING**

(NRSA Program)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 487, as amended, Public Law 99-158, 42 U.S.C. 288.

**OBJECTIVES:**

To assure the maintenance of an adequate supply of well-trained alcohol researchers through the award of both individual fellowships and grants to training institutions for support of training at both the predoctoral and postdoctoral levels and for Senior Fellowships and M.D./Ph.D. Fellowships. Special predoctoral fellowships are also available for students with disabilities



and for minority students. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports awards for training in clinical research, treatment assessment research, problems of health promotion and alcoholism prevention, and basic biological and behavioral processes applicable to alcohol research.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Individual grants are made to fellows seeking predoctoral or postdoctoral support for full-time research training. An institutional allowance will be provided, upon request, to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training grant in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both predoctoral and postdoctoral trainees and for Senior Fellowships and M.D./Ph.D. Fellowships. Special predoctoral fellowships are also available for students with disabilities and for minority students. Actual tuition and fees are allowable for trainees, and an amount for institutional expenses will be provided. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Postdoctoral fellows and trainees in the first 12 months of postdoctoral NRSA support incur one month of payback obligation for each month of support. The 13th and subsequent months of postdoctoral NRSA support are considered payback service for prior postdoctoral support. Predoctoral fellows and trainees do not incur a service payback obligation. Stipend levels will be \$16,500 for predoctoral awards and from \$28,260 to \$44,412 for postdoctoral awards dependent upon the number of years of relevant experience. Research training support may not be used for intern or other clinical training.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations may apply for institutional training grants. The sponsoring institution for a fellowship application may be a domestic private (profit or nonprofit) or public institution. The applicant institution must have, or be able to develop, the staff and facilities to provide the proposed research training in an environment suitable for performing high quality work. An applicant for individual predoctoral support must be enrolled in a doctoral degree program by the proposed activation date of the fellowship. A postdoctoral applicant must have received a doctoral degree. All individuals to be supported under the National Research Service Awards (NRSA) program must be a citizen or noncitizen national of the United States, or have been lawfully admitted to the United States for permanent residence.

**Beneficiary Eligibility:**

Individuals: public and private, profit or nonprofit organizations for fellowships. Public and private nonprofit organizations for institutional training grants.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms, as furnished by PHS, must be used by applicants. Information concerning current areas of science being supported are available from the National Institute on Alcohol Abuse and Alcoholism. Completed applications should be submitted to the Center for Scientific Review National Institutes of Health, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by nonfederal consultants recruited nationwide from the alcohol research field. Applications other than fellowship must also be reviewed by the National Advisory Council on Alcohol Abuse and Alcoholism. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. Students to be supported must submit required forms, including a payback agreement for postdoctoral level trainees.

**Deadlines:**

Individual: April 5, August 5, and December 5; Institutional: May 10.

**Range of Approval/Disapproval Time:**

From 5 to 7 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

By law, an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the

awardee and the program director for the institutional grant.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Policy limits an application for predoctoral fellowship support up to 5 years, and up to 3 years for postdoctoral support. Senior Fellowships are up to 2 years and M.D./Ph.D. Fellowships are for up to 6 years. Awards for institutional grants may be made for project periods of up to 5 years.

**Reports:**

Annual progress reports are required. Annual financial status reports are required for institutional National Research Service Awards. Annual reports of activities for tracking payback provisions are required from all postdoctoral fellows upon termination of support.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and subject to inspections and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved. Records relating to individual payback obligations are retained for one year after the individual has fulfilled or has been excused from fulfilling the payback obligation.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Grants and Fellowships) FY 07 \$11,284,000; FY 08 est \$11,284,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$16,000 - \$542,000; \$113,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 66; Guidelines included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (REV.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Dr. Antonio Noronha, Director, Division of Neuroscience and Behavior: Telephone: (301) 443-7722. Dr. Ralph Hingson, Director, Division of Epidemiology and Prevention Research: (301) 443-1274. Dr. Robert Huebner, Deputy Director, Division of Treatment and Recovery Research: (301) 443-4344. Dr. Samir Zakhari, Director, Division of Metabolism and Health Effects: (301) 443-0799. National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, Bethesda, Maryland 20892-9304. Grants Management Contact: Ms. Judy Fox, Grants Management Officer, National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, Room 3023, Bethesda, Maryland 20892-9304. Telephone: (301) 443-4704. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>

**RELATED PROGRAMS:**

93.271, Alcohol Research Career Development Awards for Scientists and Clinicians; 93.273, Alcohol Research Programs.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Family structure effects on personality of alcoholics; (2) neurophysiology of chronic alcohol consumption; (3) multi-disciplinary alcoholism research training; and (4) infectious and other diseases complicating alcoholism.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) Scientific and technical merit; (2) facilities and environment for the training program; (3) previous training records; (4) relevance to NIAAA priorities; and (5) potential contribution to field of alcohol abuse and alcoholism.

**93.273 ALCOHOL RESEARCH PROGRAMS**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 464H, Public Law 78-410, 42 U.S.C. 241, and 42 U.S.C. 290Gb; Small Business Research and

**OBJECTIVES:**

To develop a sound fundamental knowledge base which can be applied to the development of improved methods of treatment and more effective strategies for preventing alcoholism and alcohol-related problems. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports research in a broad range of disciplines and subject areas related to biomedical and genetic factors, psychological and environmental factors, alcohol-related problems and medical disorders, health services research, and prevention and treatment research. Small Business Innovation Research (SBIR) program: to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation and technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

(1) Research Project Grants provide support for clearly defined projects or a small group of related activities, and when appropriate, support of conferences; (2) Program Project Grants are for large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) Small Grants are for small-scale exploratory and pilot studies or exploration of an unusual research opportunity; Small Grants are limited to \$50,000 for direct costs for a period of up to 2 years; and (4) Exploratory/Developmental Grants are limited for a period of up to 2 years, and a maximum of \$275,000 for direct costs for the entire 2-year period. Funds may be used only for expenses directly related to the approved research project. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or processes. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Public or private profit and nonprofit agencies, including State, local, or regional government agencies, universities, colleges, hospitals, academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Public, profit and nonprofit private organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit grantees' costs will be determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II,

respectively.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms, as furnished by PHS, must be used by grant applicants. Application kits, containing the necessary forms and instructions, if not available at the applicant institution, may be obtained from the NIAAA. Consultation on proposed projects is also available. Preapplication consultation with NIAAA staff is required before submission of a Program Project grant application or any unsolicited new grant application requesting \$500,000 or more direct costs in any one year. Applications are reviewed by nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of the merit of the project. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Research Grants in support of projects recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and approved for payment are awarded directly by the NIAAA to the applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

February 1, June 1, and October 1. SBIR: April 15, August 15, and December 15. STTR: December 1, only. AIDS related research applications January 2, May 1, and September 1.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of application for grant support. SBIR/STTR applications about 7-1/2 months. AIDS related research applications about 6 months.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request. Small Grants and Exploratory/Developmental Grants are not renewable, but grantees may apply for research project grants on the same topics.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small Grants are limited to 2 years or less and are not renewable. Exploratory/Developmental Grants are limited to 3 years or less and are not renewable. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing continuation application for previously recommended support; (2) Terminal progress report within 90 days after end of project support; (3) Annual financial status report within 90 days after termination of annual grant; (4) Immediate and full reporting of any inventions.

**Audits:**

Audits are to be carried out in accordance with the provisions set forth in 45 CFR Part 74, Subpart C, Section 74.26 and in OMB Circular No. A-133, as appropriate. In addition, grants and cooperative agreements are subject to

inspection and audits by DHHS and other Federal officials.

**Records:**

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

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Research Projects) FY 07 \$260,567,000; FY 08 est \$260,630,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$40,000 to \$1,515,000; \$359,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. Guidelines are included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of these programs.

**Headquarters Office:**

Program Contacts: Dr. Antonio Noronha, Director, Division of Neuroscience and Behavior: Telephone: (301) 443-7722. Dr. Ralph Hingson, Director, Division of Epidemiology and Prevention Research: (301) 443-1274. Dr. Mark Willenbring, Director, Division of Treatment and Recovery Research: (301) 443-1208. Dr. Samir Zakhari, Division of Metabolism and Health Effects: (301) 443-0799. National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, Bethesda, MD 20892-9304. Grants Management Contact: Judy Fox, Grants Management Officer, National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, Room 3023, Bethesda, MD 20892-9304. Telephone: (301) 443-4704. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov> .

**RELATED PROGRAMS:**

93.271, Alcohol Research Career Development Awards for Scientists and Clinicians; 93.272, Alcohol National Research Service Awards for Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Alcohol use during pregnancy and pregnancy outcome; (2) studies of alcoholic hepatitis; (3) physical dependence on ethanol; and (4) alcohol and alcohol-drug interactions.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit of the proposal; (2) program balance; and (3) relevance to NIAAA priorities and public health issues. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human of animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.275 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES-ACCESS TO RECOVERY**

**FEDERAL AGENCY:**

**SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**AUTHORIZATION:**

Sections 501(d)(5) and 509 of the Public Health Service Act, 42 U.S.C. Section 290aa(d)(5) and 290bb-2, Public Law 106- 310.

**OBJECTIVES:**

To implement voucher programs for substance abuse clinical treatment and recovery support services pursuant to sections 501 (d)(5) and 509 of Public Health Service Act (42 U.S.C. sections 290aa(d)(5) and 290bb-2). This new program, called Access to Recovery (ATR), is part of a Presidential initiative to provide client choice among substance abuse clinical treatment and recovery support service providers, expand access to a comprehensive array of clinical treatment and recovery support options (including faith-based programmatic options), and increase substance abuse treatment capacity. Monitoring outcomes, tracking costs, and preventing waste, fraud and abuse to ensure accountability and effectiveness in the use of Federal funds are also important elements of the ATR program. Through the ATR grants, States, Territories, the District of Columbia and Tribal Organizations (hereinafter collectively referred to as "States") will have flexibility in designing and implementing voucher programs to meet the needs of clients in the State. The key to successful implementation of the voucher programs supported by the ATR grants will be the relationship between the States and clients receiving services, to ensure that clients have a genuine, free, and independent choice among eligible providers. States are encouraged to support any mixture of clinical treatment and recovery support services that can be expected to achieve the program's goal of achieving cost-effective, successful outcomes for the largest number of people.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities.

**Applicant Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization. (A "Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban Indian health boards, inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.) The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. Eligibility is limited to the immediate office of these Chief Executives because only they have the authority to leverage funding across the State, implement the necessary policy changes, manage the fiscal responsibilities, and coordinate the range of programs necessary for successful implementation of the voucher programs to be funded through these grants. No more than one application from any one Chief Executive or head of a Tribal Organization will be funded.

**Beneficiary Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban health boards, inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.)

**Credentials/Documentation:**

The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application.

**Preapplication Coordination:**

A letter of intent from prospective applicants is requested by early March of the fiscal year. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must comply with the following requirements, or they will be screened out and will not be reviewed: Use of the PHS 5161-1 application; Application submission requirements in Section IV-3 of this document; and Formatting requirements provided in Section IV-2.4 of this document. Applicants may request a complete application kit by calling SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1 (800) 729-6686. Applicants also may download the required documents from the SAMHSA Web site at [www.samhsa.gov](http://www.samhsa.gov) . Click on "grant opportunities." PHS 5161-1 (revised July 2000)-Includes the face page, budget forms, assurances, certification, and checklist. Applicants must use the PHS 5161-1. Applications not submitted on the PHS 5161-1 will be screened out and will not be reviewed. Request for Applications (RFA)-Includes instructions for the grant application. This document is the RFA.

**Award Procedure:**

None.



**Deadlines:**

Please contact program office for application deadline. Please note that applications received after the deadline date must have a proof-of-mailing date from the carrier dated at least one (1) week prior to the due date. Private metered postmarks are not acceptable as proof of timely mailing. Applicants will be notified by postal mail that the application has been received. Applications not received by the application deadline or postmarked by a week prior to the application deadline will be screened out and will not be reviewed.

**Range of Approval/Disapproval Time:**

Approximately 90 - 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 3 years with 12-month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved.

**Reports:**

No more than quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No A-133 entities that receive financial assistance of \$500,000 or more in a year shall have an audit made in accordance with A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 \$103,956,661; FY 08 est \$95,962,645; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$103,956,661 to \$95,962,645; \$95,962,645.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 25 awards were funded. It is estimated that 24 awards will be funded in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92 and the HHS Grant Policies.

**Regional or Local Office:**

None.

**Headquarters Office:**

CSAT Contact: Jack Stein (240)276-2950 and George Gilbert; Telephone: (240) 276-1681; 1 Choke Cherry Road, Rockville, MD 20857; Telephone: (240) 276-1575. Grants Management contact: Kathleen Sample, Division of Grants Management, SAMHSA, 1 Choke Cherry Road, Rockville, MD 20857; Telephone: (240) 276-1407; Fax: (240) 276-1430; E-mail: kathleen.sample@samhsa.hhs.gov .

**Web Site Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

SAMHSA applications for this program are peer-reviewed according to the review criteria listed above. For those programs with an individual award of over \$100,000, the Center for Substance Abuse Treatment National Advisory Council also must review application. Decisions to fund a grant are based on: Strengths and weaknesses of the application as identified by the Peer Review Committee and approved by the Center for Substance Abuse Treatment National Advisory Council. Availability of funds. Balance among the geographic regions of the United States, different models for implementing the voucher programs (see Program Requirements, in Section I.), and the use of effective approaches to address those with special needs (e.g., homeless populations, people with co-occurring disorders, people living in rural areas, etc.) Evidence that funds will be distributed through a voucher mechanism that guarantees clients genuine, free, and independent choice among eligible clinical treatment and recovery support providers, among them at least one provider to which the clients has no religious objection. Evidence that the applicant has addressed the standards for grantees outlined in appendix C of the RFA. Evidence the applicant will increase capacity for recovery support services. In the event of a tie among applicant scores, the following method will be used to break the tie: Scores on the criterion with the highest possible point value will be compared (Extent to Which Proposed Project Meets ATR Goals-30 points). Should a tie still exist, the evaluation criterion with the next highest possible point value will be compared, continuing sequentially to the evaluation criterion with the lowest possible point value, should that be necessary to break all ties. If an evaluation criterion to be used for this purpose has the same number of possible points as

another evaluation criterion, the criterion listed first in Section V-1 will be used first.

**93.276 DRUG-FREE COMMUNITIES SUPPORT PROGRAM GRANTS**

(Drug-Free Community Grants)

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES  
ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN  
SERVICES

**AUTHORIZATION:**

Drug-Free Communities Act of 1997, Public Law 105-20. Reauthorized by Public Law 107-82.

**OBJECTIVES:**

To increase the capacity of community coalitions to reduce substance abuse, and over time, to reduce substance abuse among adults through strengthening collaboration among communities, public, and private entities. To disseminate state-of-the-art information on practices and initiatives that have proven to be effective in reducing substance abuse among youth.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

This program, established by the Drug-Free Communities Act of 1997 (Public Law 105-20), awards grants to community coalitions for amounts up to \$100,000 through a competitive grant award process. On December 14, 2001, Public Law 107-82 reauthorized the program for 5 years. The focus of the program is on community coalitions that have been in existence for a minimum of 6 months, coalitions that have 5-year strategic plans aimed at reducing substance abuse among youth, and over time, among adults, and coalitions that have provided an equal match for the funds that they seek. These community coalitions are to collaborate with entities in the community including government agencies to coordinate and strengthen efforts to reduce substance abuse. The program aims to disseminate timely state-of-the-art information on practices and initiatives that have proven to be effective in reducing substance abuse.

**Applicant Eligibility:**

Community coalitions must demonstrate that the community coalition has worked together for a period of not less than 6 months on substance abuse reduction initiatives. The coalition must: meet the composition requirements; ensure that there is substantial community volunteer effort; ensure that the coalition is a nonprofit, charitable, educational organization, or unit of local government, or is affiliated with an eligible organization or entity; possess a strategy to be self-sustaining; provide a 100-125 percent cash or in-kind match; and agree to participate in an evaluation of the coalition's program.

**Beneficiary Eligibility:**

Community coalitions, children, youth, and adults, those at-risk of substance abuse, and private nonprofit, and public community agencies.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or office designated at the single point of contact in his or her State for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Standard application forms as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program.

**Application Procedure:**

The Office of National Drug Control Policy has entered into an Interagency Agreement with the Office of Juvenile Justice and Delinquency Prevention to administer and manage the Drug-Free Communities Support Program. Applicants must submit a proposal to the Office of Justice Programs on Standard Form 424, Federal Assistance Applications. The receipt, review, and analysis of applications will follow the Office of Justice Program policies and procedures for the administration of grant applications. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office of National Drug Control Policy and the Office of Juvenile Justice and Delinquency Prevention, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by the authored official and returned to the Office of Justice Programs.

**Deadlines:**

Published in program announcements, request for applications.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Hearing held by OJJDP. Federal Acquisition Regulations apply.

**Renewals:**

FY 2003 grantees must re-compete as a continuation applicant in FY 2004. Applicants funded in FY 2004 will be eligible for FY 2005 continuation funding based on availability of funds and grantees performance. FY 1998 and 1999 grantees not currently funded must compete as new applicants.

**Formula and Matching Requirements:**

Drug-Free Communities Support Program grants awarded under the Drug-Free Communities Act do require a 100-125 percent cash or in-kind match.

**Length and Time Phasing of Assistance:**

Under the Drug-Free Communities Act, awards will be made for one year.

**Reports:**

Under the Drug-Free Communities Support Grants biennial progress and financial reports are required.

**Audits:**

All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Grants) FY 07 \$57,716,982; FY 08 est \$36,499,812; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$75,118,183 to \$57,716,982; 36,499,812.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 598 will be funded in fiscal year 2007, and 375 in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92; also the HHS Grant Policies.

**Regional or Local Office:**

None.

**Headquarters Office:**

The Substance Abuse and Mental Health Services Administration, Division of Grants Management, 1 Choke Cherry Road, Room 7-1097, Rockville, Maryland 20857. Edna Frazier, Grants Management Team Leader, telephone: (240) 276-1405, and CSAP Program Contact: Peggy Quigg, telephone: (240) 276-2589 and Richard Moore, telephone: (240) 276-1270.

**Web Site Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Albuquerque Partnership Albuquerque, NM - The Albuquerque Partnership serves Albuquerque, NM, with a focus on South Valley, the Central Avenue Corridor, and Southeast Heights. The target areas are urban, more than 60 percent Hispanic, and have a population of approximately 200,000. In its most recent grant year, the coalition continued to implement its program goals and objectives by instituting summer programs at Emmanuel and Macedonia Churches; continuing successful work with the Albuquerque Police Department, the district attorneys office, and the city's Community Enforcement and Abatement Team on a weekly basis with identification of hotspots and nuisance abatement; completing the education report, including recommendations from the community on corrective action schools; implementing the Summer Cruising program; implementing two new faith-based strategies; and encouraging neighborhoods to submit hotspot sheets on nuisance properties. Coalition for a Drug-Free Hawaii Honolulu, HI Drug-Free Hawaii is the fiscal agent for the Ewa Beach Community Coalition (EBCC). The coalition serves Ewa Beach, HI, a rural community. In its last grant year, the coalition continued to implement its program goals and objectives by convening, coordinating, and sustaining EBCC to address substance abuse in the community; and providing optimal opportunities for youth, parents, school personnel, and community members to become actively involved in implementing effective prevention strategies. The coalition created a network of support services for youth and their families in the Ewa Beach community; assessed the needs of the community, pooled resources to create opportunities to fill these needs, and created working, mutually beneficial partnerships to support a drug-free community; subcontracted related prevention services from the Boys & Girls Club of Hawaii and the Kalihi YMCA and provided family strengthening workshops through the Coalition for a Drug-Free Hawaii.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Drug-Free Communities Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of

the individual program announcements. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy, 28 CFR Part 34.

## 93.279 DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 464L, 464N, and 464P, 42 U.S.C. 241, 42 U.S.C. 284, 42 U.S.C. 295, 42 U.S.C. 2850-2, and 42 U.S.C. 2850-4; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To support biomedical, basic and clinical neuroscience, behavioral and social science, epidemiologic, health services and health disparity research to develop new knowledge and approaches related to the prevention, diagnosis, treatment, etiology, and consequences of addiction and drug abuse, including HIV/AIDS. To support research training and research scientist development. To support dissemination of research findings. Small Business Innovation Research (SBIR) program: to expand and improve the SBIR program. The legislation is intended to expand and improve the SBIR programs to emphasize and increase private sector commercialization of technology developed through Federal SBIR research and development; increase small business participation in Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in the SBIR program. The legislation intends that the Small Business Technology Transfer (STTR) program stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships).

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects or a small group of related research activities, and when appropriate, support of research conferences; (2) program project and center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) small grants support newer, less experienced investigators; investigators at institutions without a well developed research tradition and resources; the testing of new methods or techniques; small-scale exploratory and pilot studies, or exploration of an unusual research opportunity; small grants provide research support of up to \$50,000 direct costs per year for a period of up to 2 years; (4) research training grants including fellowships and institution training grants, career development grants and loan repayment grants; (5) SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research or research and development efforts to determine the quality of performance of the small business grantees. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercially viable products or processes. Only Phase I awardees are eligible to apply for Phase II support; STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application and the quality of performance of the small business concerns. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

For research grants the following organizations/institutions are eligible to apply: Public/State Controlled Institutions of Higher Education; Private Institutions of Higher Education: Hispanic-serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), and Alaska Native and Native Hawaiian Serving Institutions; Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education); Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education); Small Businesses; For-Profit Organizations (Other than Small Businesses); State Governments; Indian/Native American Tribal Governments (Federally Recognized); Indian/Native American Tribally Designated Organizations; County Governments; City or Township Governments; Special District Governments; Independent School Districts; Public Housing Authorities/Indian Housing Authorities; and Other(s): Eligible Agencies of the Federal Government, Faith-based or Community-based Organizations, U.S. Territory or Possession, Indian/Native American Tribal

Governments (Other than Federally Recognized), Regional Organizations, and Non-domestic (non-U.S.) Entities (Foreign Organizations). Eligible Individuals: Any individual, or individuals (multiple PDs/PIs), with the skills, knowledge, and resources necessary to carry out the proposed research as the PD/PI is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research and/or development must be performed in the U.S. and its possessions. To be eligible, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and by a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific and technical merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Public or private profit and nonprofit sponsored organizations and individuals, minority groups, small businesses, health professionals, students, trainees, scientists and general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Consultation/assistance is available from NIDA to aid in preparing the form. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The National Institutes of Health is using [www.grants.gov](http://www.grants.gov) to accept electronic submission of applications. They are also available from the NIH web site at [www.nih.gov](http://www.nih.gov). Information concerning NIDA and the types of research supported may be found at [www.drugabuse.gov](http://www.drugabuse.gov) or [www.nida.nih.gov](http://www.nida.nih.gov). Consultation on a proposed project may also be obtained from NIDA. Applications are reviewed by primarily nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of scientific merit of the project as well as financial and programmatic consideration. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Phone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Project grants recommended for approval by the appropriate National Advisory Council and approved for payment are awarded directly by NIDA to the applicant institution. All accepted, research projects, SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Standard receipt dates for unsolicited applications: P01, R24, R25, T32-January 25, May 25, and September 25 for new, renewal, resubmission and revision. R01-February 5, June 5, and October 5 for new and March 5, July 5, and November 5 for renewal, resubmission and revision. K01, K02, K05, K08, K12, K23, K24, K25, K99/R01-February 12, June 12, and October 12 for new and March 12, July 12, and November 12 for renewal, resubmission and revision. R03, R21, R36-February 16, June 16, and October 16 for new and March 16, July 16, and November 16 for renewal, resubmission and revision. R15-February 25, June 25, and October 25 for new, renewal, resubmission and revision. New Investigator R01-March 20, July 20, and November 20 for resubmission (for applications involved in pilot only). SBIR/STTR: R44, R41, R42-April 5, August 5, and December 5 for new, renewal, resubmission and revision. F30, F31, F32-April 8, August 8, and December 8 for new, renewal and resubmission. R13-April 12, August 12, and December 12 for new, renewal, resubmission and revision. AIDS research-May 1, September 1, and January 2.

For solicited applications, receipt dates are specified in the announcements.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of grant application. For AIDS applications the range will not exceed 180 days from cited receipt dates. SBIR/STTR applications: About 225 days.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not97-232.html](http://www.nih.gov/grants/guide/notice-files/not97-232.html).

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for additional support via competing continuation application unless otherwise restricted. Small grants are limited to up to 2 years. Exploratory/developmental grants are limited to 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis unless otherwise restricted. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small grant support is limited to no more than 2 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Reports must be submitted as follows: 1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant; and (4) immediate and full reporting of any inventions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

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

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Grants) FY 07 \$37,805,000; FY 08 est \$38,771,000; and FY 09 est \$38,771,000.

**Range and Average of Financial Assistance:**

\$35,000 to \$1,133,000; \$149,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 3,756 applications were received, 254 awards were issued. In fiscal year 2008 an estimated 3,482 applications are anticipated, 260 awards are anticipated. In fiscal year 2009, an estimated 3,569 applications are anticipated, 260 awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; Guidelines are included in applications kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1998. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR Part 52 and 42 CFR Part 52a; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Dr. David Shurtleff, Director, Division of Basic Neuroscience and Behavioral Research (Research on Basic Behavioral and Cognitive, Basic Chemistry and Biochemistry, Basic Pharmacological, Neurobiological, and Cellular, Basic Behavioral, and Molecular Biology and Genetic Research). Telephone: (301) 443-1887. Dr. Frank Vocci, Director, Division of Pharmacotherapies and Medical Consequences of Drug Abuse (Basic and Clinical Pharmaceutical, Medical Consequences of Drug abuse, Research on Treatment, AIDS, and Tuberculosis, Medication Development, Drug Delivery Systems and Clinical Trial Research). Telephone: (301) 443-6173. Dr. Wilson Compton, Director, Division of Epidemiology, Services and



Prevention Research (Behavioral and Social Science Research, Incidence, Prevalence, Ethnographic, Survey Research, and Longitudinal Studies on Prevention, Vulnerability and Etiology, Health Services). Telephone: (301) 443-6504. Dr. Joseph Frascella, Director, Division of Clinical Neuroscience and Behavioral Research (Clinical Neurobiology of Addiction, Cognitive Neuroscience, Neurobiology of Treatment, Biological Etiology, Comorbidity, Neurobiology of HIV/AIDS, Neurobiology of Human Pain and Analgesia). Telephone: (301) 443-4877. Dr. Betty Tai, Director, Center for the Clinical Trials Network (Translate Drug Abuse Treatment Research Throughout the County; Research on Behavioral, Pharmacological, and Integrated Behavioral and Pharmacological Treatment Interventions of Therapeutic Effect in Rigorous Multisite Clinical Trials). Telephone: (301) 443-6697. Dr. Mimi Ghim, Ph.D., NIDA Deputy Coordinator of Research Training. Telephone: (301) 443-6071. SBIR Contact: Dr. Cathrine Sasek, Telephone: (301) 443-6071. Review Contact: Dr. Teresa Levitin, Office of Extramural Affairs. Telephone: (301) 443-2755. Grants Management Contact: Ms. Pam Fleming, Grants Management Officer. Telephone: (301) 443-6710. National Institute on Drug Abuse, National Institutes of Health, Department of Health and Human Services, Neuroscience Building, 6001 Executive Boulevard, Bethesda, MD 20892. Dr. Levitin and Ms. Fleming are located in 6101 Executive Boulevard. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>; [www.drugabuse.gov](http://www.drugabuse.gov); <http://www.nida.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit; (2) the feasibility of the research; (3) potential contribution to the national drug abuse problem; and (4) relevance to NIDA priorities. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technology.

## 93.280 NATIONAL INSTITUTES OF HEALTH LOAN REPAYMENT PROGRAM FOR CLINICAL RESEARCHERS

(NIH LRP-CR)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F; Public Law 106-505; 42 U.S.C. 288-5a.

**OBJECTIVES:**

To attract and retain health professionals to clinical research careers by offering educational loan repayment for participants who agree by written contract to engage in clinical research in a qualifying nonprofit institution for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in clinical research in a qualified nonprofit institution or Federal or other domestic government agency (State, local), and in research that is supported by a nonprofit foundation, nonprofit professional association, or other nonprofit entity, or a Federal or other domestic government agency (State, local). Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service.

Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. The maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary State and local tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants.

**Applicant Eligibility:**

(1) A U.S. citizen, U.S. national, or permanent resident of the United States; (2) Have a Ph.D., M.D., D.O., D.D.S., D.M.D., D.P.M., Pharm.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) Have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) Conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (State or local); (5) Engage in qualified clinical research. Clinical research is patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which an investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials; (6) Engage in qualified clinical research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) Agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal, State and local law (e.g., applicable human subject protection regulations); and (8) Sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in clinical research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time Federal employees who engage in qualifying research as part of their nonfederal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as a Federal employee for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

**Beneficiary Eligibility:**

Health professionals who are interested in pursuing clinical research careers and who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is nonprofit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program for Clinical Researchers. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the Institute or Center which approved their application. Contact the

NIH via e-mail at LRP@NIH.GOV for further guidance.

**Deadlines:**

Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

**Appeals:**

None.

**Renewals:**

At the conclusion of the initial 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

This program has no formula or matching requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services.

**Reports:**

Program participants must be periodically certified by their research supervisor to have been engaged in the qualifying research project for a minimum 50 percent effort (not less than 20 hours per week based on a 40 hour week) during the service period.

**Audits:**

None.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Loan Repayments) FY 07 \$42,202,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$1,040 to \$31,679. The average cost which includes loan and tax reimbursement is \$48,718.

**PROGRAM ACCOMPLISHMENTS:**

942 awards were made in fiscal year 2005. NIH projects that 935 awards will be made in fiscal year 2006 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 USC 288-5a. The NIH LRP-CR was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Alfred C. Johnson, Ph.D., Division of Loan Repayment, National Institutes of Health, 6011 Executive Blvd., Room 206, MSC 7650, Bethesda, MD 20892-7650. LRP Helpline: (866) 849-4047. Facsimile: (866) 849-4046. Email: [lrp@nih.gov](mailto:lrp@nih.gov).

**Web Site Address:**

[www.lrp.nih.gov](http://www.lrp.nih.gov).

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program; 93.164, Indian Health Service Educational Loan Repayment; 93.209, Contraception and Infertility Research Loan Repayment Program; 93.220, Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.285, National Institutes of Health Pediatric Research Loan Repayment Program; 93.307, Minority Health and Health Disparities Research; 93.308, Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research; 93.364, Nursing Student Loans; 93.936, National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program.

**EXAMPLES OF FUNDED PROJECTS:**

Production of mature human T lymphocytes from bone marrow using a skin-derived thymic organoid. Magnetic resonance, EEG, amphetamine, and visual processing; MR analysis of persisting CNS damage in human MDMA users. Associations between human cerebral spinal fluid dopamine levels and neuropsychological outcome after severe traumatic brain injury.

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program for Clinical Researchers. Applications that are on time, complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists

to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

## 93.281 MENTAL HEALTH RESEARCH CAREER/SCIENTIST DEVELOPMENT AWARDS

(Research Career/Scientist Development)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, Public Law 78-410, 42 U.S.C. 241, as amended.

**OBJECTIVES:**

To provide support for research career development relating to causes, risk, diagnosis, genetics, development, epidemiology, prevention, treatment, and services use for mental illness, behavioral disorders, and HIV/AIDS; and relating to basic neuroscience and basic behavioral science research addressing basic and clinical research pertinent to mental disorders; in order to increase the number of individuals who are competing to advance research supported by the National Institute of Mental Health support, including women, individuals from underrepresented racial and ethnic minority groups, and individuals with disabilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Mentored Research Scientist Development Award (K01, MRSDA), Mentored Clinical Scientist Development Award (K08, MCSDA), Mentored Scientist Development Award for New Minority Faculty (K01, MSDA NMF), and Mentored Quantitative Research Career Development Award (K25) provide support for individuals with research potential who need additional mentored development and/or experience in a productive research environment. Awards are available for up to 5 years of salary support (up to \$90,000 per year) for the individual candidate, fringe benefits, and 8 percent indirect costs. Specialized training costs and limited research costs are allowable under justified circumstances. Mentored Patient-Oriented Research Career Development Award (K23) supports the career development of individuals who have made commitment to focus their research endeavors on patient-oriented research. Awards are available for three to five years (ranging from \$75,000 to \$180,100) to help offset the full time salary requirement of the candidate. The NIH Pathway to Independence (PI) Award (K99/R00) provides up to 2 years of mentored support (K99) for a postdoctoral individual followed by up to 3 years of support after the awardee transitions to research independence (R00). K99/R00 awards are awards for up to 5 years of support. During the K99 phase, awards provide up to \$50,000 per year for the salary of the individual candidate as well as fringe benefits, and 8 percent indirect costs. Specialized training costs and limited research costs are allowable under justified circumstances. Salary support for all mentored awards may be supplemented by the sponsoring institution from nonfederal funds. The Independent Scientist Award (K02, ISA) is for independent scientists whose careers are developing rapidly; the Mid-career Investigator Award in Patient-Oriented Research (K24) is for outstanding clinical scientists engaged in patient-oriented research. No specialized training costs are available; limited research costs for K24s and K02s in theoretical areas are available.

**Applicant Eligibility:**

All awards in these series are made to appropriate domestic research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, and biomedical research institutes on behalf of individuals who need the opportunity to realize research potential. Except for the NIH Pathway to Independence (PI) Award (K99/R00), the individuals must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. The NIH Pathway to Independence (PI) Award (K99/R00) is open to both U.S. citizens and non-U.S. citizens. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:**

Public and private profit or nonprofit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be prepared using the PHS 398 research grant application instructions and forms (revised 11/2007). The PHS 398 is available at

<http://grants1.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Applications will be converting to electronic submission in the future.. For further assistance, contact GrantsInfo, Telephone (301) 435-0714, Email: [grantsInfo@nih.gov](mailto:grantsInfo@nih.gov). Information and instructions may be obtained from the program officials at the National Institute of Mental Health. Forms are completed by the applicant and sponsor. Completed paper PHS 398 applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). Applications are reviewed by nonfederal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-21 for educational organizations and 45 CFR, Part 52.

**Award Procedure:**

All "K" Series awards are recommended for approval by the National Advisory Mental Health Council and those approved are awarded directly by NIMH to the applicant institution.

**Deadlines:**

New "K" applications: February 12, June 12, and October 12. Renewal, Resubmission and Revision "K" applications: March 12, July 12, November 12. AIDS-related "K" applications: January 7, May 7, September 7.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of the application. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedure is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

K01, K08, K23, K25 awards are made for up to 5-year periods with no renewal. K02 and K24 awards are made for a 5-year period, renewable once (unless holder has held a previous mentored "K" award). K99 awards are made for up to 2-year periods with no renewal.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually.

**Reports:**

Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in its fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this circular. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: 1. a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

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

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Grants) FY 07 \$70,378,962; FY 08 est \$70,480,000; and FY 09 est \$70,480,000.

**Range and Average of Financial Assistance:**

\$9,825 to \$450,967; \$152,666.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 461 awards were funded. In fiscal year 2008, 470 awards are estimated to be funded; and fiscal year 2009, 470 awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Ellen Stover, Director, Division of AIDS and Health and Behavior Research; Telephone: (301) 443-9700. Dr. Donna Mayo, Research Training and Career Development; Telephone: (301) 443-1829; and Dr. David Stoff, AIDS Research Training and Career Development; Telephone: (301) 443-4625, both from the Division of AIDS and Health and Behavior Research. Dr. Wayne Goodman, Director, Division of Adult Translational Research and Treatment Development; Telephone: (301) 435-8031. Dr. Mark Chavez, Associate Director, Research Training and Career Development, Division of Adult Translational Research and Treatment Development; Telephone: (301) 443-9700. Dr. Linda Brady, Director, Division of Neuroscience and Basic Behavioral Science; Telephone (301) 443-3563. Dr. Nancy Desmond, Director, Research Training and Career Development Office, Division of Neuroscience and Basic Behavioral Science; Telephone: (301) 443-3107. Dr. Mary Ellen Oliveri, Director, Division of Developmental Translational Research; Telephone (301) 443-5944. Dr. Cheryl Boyce, Research Training and Career Development, Division of Pediatric Translational Research; Telephone (301) 443-5944. Dr. Philip Wang, Director, Division of Services and Intervention Research; Telephone (301) 443-6233. Dr. Lauren Hill, Research Training and Career Development, Division of Services and Intervention Research; Telephone (301) 443-2638. Training Coordinators, Dr. Mark Chavez; Telephone: (301) 443-9700 and Dr. Nancy Desmond; Telephone: (301) 443-3107. Grants Management Contact: Ms. Rebecca Claycamp, Grants Management Officer, National Institute of Mental Health, National Institutes of Health, Department of Health and Human Services; 6001 Executive Blvd., Room 6122, MSC 9605, Bethesda, MD 20892-9605; Telephone (301) 443-2811. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242, Mental Health Research Grants; 93.282, Mental Health National Research Service Awards for Research Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Cortical processes in perception and memory, (2) regulatory mechanisms in brain maturation, (3) chemical factors in abnormal behavior, (4) hemispheric specialization of higher functions in humans, (5) theory and measurement of personality development, (6) biological substrate and correlates of schizophrenia, (7) biochemistry and behavioral recovery after post-traumatic stress, and (8) children's mental health services research.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) priority score and recommendation of the Initial Review Committee; (2) program priorities of the Institute; and (3) the availability of funds.

**93.282 MENTAL HEALTH NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING**

(NRSA Program)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 487, Public Law 99-158, 42 U.S.C. 288, as amended.

**OBJECTIVES:**

To ensure a continuing and adequate supply of well-trained scientists who are able to conduct research on mental health problems. The program provides training grants to institutions and fellowships to individuals at both the predoctoral and postdoctoral levels. There are awards to medical students proposing to acquire doctoral research degrees in addition to their medical degrees. Awards are made for training in the areas of basic and clinical neuroscience, genetics, developmental, behavioral, clinical, epidemiological, prevention, treatment and services research relevant to mental illnesses, behavioral disorders, and HIV/AIDS; and programs designed to increase the number of individuals in mental health research who are from underrepresented racial and ethnic groups, individuals with disabilities, or individuals disadvantaged because of educational or other circumstances that have inhibited their ability to pursue such a career.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Individual fellowships are made to students seeking predoctoral or postdoctoral support for full-time research training or who are enrolled in an formal M.D./Ph.D. program. An institutional allowance will be provided to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training grant in a specified area of research from which a number of stipend awards will be made



to individuals selected by the training program director at the institution. Support is available for both predoctoral and postdoctoral trainees and will include an amount for institutional expenses. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Postdoctoral students receiving fellowships or stipend support under either individual or institutional grants for 12 months or less are obligated to pay back this support through an equivalent period of continued postdoctoral training or a period of health related research and/or teaching activities after the completion of their training. Postdoctoral individuals in their thirteenth and subsequent months of support will incur no further obligation, and such support will be considered acceptable postdoctoral payback service. Annual FY 08 stipend levels will be \$20,772 for predoctoral awards and \$36,996 to \$51,036 for postdoctoral awards dependent upon the number of years of relevant postdoctoral experience. Research training support may not be used for internships or other clinical training. COR Honors Undergraduate institutional training grants are designed to increase the number of well-prepared students from institutions with substantial minority enrollments who can compete successfully for entry into Ph.D. programs relevant to the mission of the NIMH. Stipends of \$10,956 per year may be requested for each full-time, junior/senior level trainee and other related institutional costs may be requested as described in the applicable program announcement.

**Applicant Eligibility:**

For a training grant, an institution must be a domestic public or nonprofit private organization. The applicant institution must have, or be able to develop, the staff and facilities to provide the proposed research training in an environment suitable for performing high-quality research. An applicant for individual predoctoral fellowship support must be enrolled in a research doctoral degree program by the proposed activation date of the fellowship. A postdoctoral applicant must have received a Ph.D., Psy.D., M.D., D.D.S., Sc.D., D.N.S., D.O., D.S.W., or equivalent degree from an accredited institution to be eligible for an individual postdoctoral fellowship. An applicant for an M.D./Ph.D. individual fellowship must be enrolled in an M.D./Ph.D. program at an approved medical school, accepted in a related scientific program, and supervised by a mentor in the related scientific field. All individuals to be supported under the NRSA program must be citizens or noncitizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence.

**Beneficiary Eligibility:**

Individuals and nonprofit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q, and 42 CFR Part 66.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Institutional training applications must be prepared using the PHS 398 research grant application instructions and forms (revised 11/2007). The PHS 398 is available at <http://grants1.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Individual fellowship applications must be prepared using the PHS 416-1 individual fellowship award instructions and forms (revised 10/2005) that is available at <http://grants.nih.gov/grants/funding/416/phs416.htm> in an interactive format. Conversion of training applications electronic submission is currently on hold. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Information concerning current areas of science being supported is available from the National Institute of Mental Health (NIMH). Completed paper forms should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by nonfederal consultants recruited nationwide from the mental health field. Applications other than fellowships must also be reviewed by the National Advisory Mental Health Council. If an institutional training grant is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant institution. If an individual fellowship is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the designated sponsoring institution business official. Postdoctoral students to be supported must submit required appointment forms, including a payback agreement and a Statement of Non-Delinquency on Federal Debt Certification. Predoctoral trainees whose appointments began after June 10, 1993, no longer incur a payback obligation. Honors undergraduate trainees incur no payback obligations as a result of COR support.

**Deadlines:**

NRSA Institutional training Grants: May 25. AIDS Institutional training grants:

January 7, May 7, and September 7. Fellowships: April 8, August 8, and December 8 or April 13, August 13, and December 13 for Diversity F31 Fellowships.

**Range of Approval/Disapproval Time:**

From 5 to 7 months. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

By law an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

By law an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). For an M.D./Ph.D. fellowship, 6 years may be requested. In practice, recommendations of review committees are generally for 2 or 3 years. Awards for institutional grants may be made for project periods of up to 5 years.

**Reports:**

Annual progress reports are required. Financial status reports are required for Institutional and COR Honors Undergraduate National Research Service Awards. Annual reports of activities for tracking payback provisions are required from postdoctoral fellows and trainees upon termination of support.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

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

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

Fellowships and Grants) FY 07 \$49,858,136; FY 08 est \$49,858,000; and FY 09 est \$50,197,000.

**Range and Average of Financial Assistance:**

FY 07: Predoctoral stipends: \$20,772. Postdoctoral stipends: \$36,996 to \$51,036; COR Honors Undergraduate: \$10,956.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 275 individual awards and 170 institutional grants were awarded. In fiscal year 2008, an estimated 275 individual awards and 170 institutional grants will be made. In fiscal year 2009, an estimated 275 individual and 170 institutional grants will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 66. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Dr. Ellen Stover, Director, Division of AIDS and Health and Behavior Research; Telephone (301) 443-9700. Dr. Donna Mayo, Research Training and Career Development; Telephone: (301) 443-1829; and Dr. David Stoff, AIDS Research Training and Career Development; Telephone: (301) 443-4625, both from the Division of AIDS and Health and Behavior Research. Dr. Wayne Goodman, Director, Division of Adult Translational Research and Treatment Development; Telephone (301) 435-8031. Dr. Mark Chavez, Associate Director, Research Training and Career Development, Division of Adult Translational Research and Treatment Development; Telephone: (301) 443-9700. Dr. Linda Brady, Director, Division of Neuroscience and Basic Behavioral Science; Telephone (301) 443-3563. Dr. Nancy Desmond, Director, Research Training and Career Development Office, Division of Neuroscience and Basic Behavioral Science; Telephone: (301) 443-3107. Dr. Mary Ellen Oliveri, Director, Division of Developmental Translational Research; Telephone

(301) 443-5944. Dr. Cheryl Boyce, Research Training and Career Development, Division of Pediatric Translational Research; Telephone (301) 443-5944. Dr. Philip Wang, Director, Division of Services and Intervention Research; Telephone (301) 443-6233. Dr. Lauren Hill, Research Training and Career Development, Division of Services and Intervention Research; Telephone (301) 443-2638. Dr. Robert Mays, Acting Director, Office for Special Populations; Telephone (301) 443-2847. Training Coordinators, Dr. Mark Chavez; Telephone: (301) 443-9700 and Dr. Nancy Desmond; Telephone: (301) 443-3107. Grants Management Contact: Ms. Rebecca Claycamp, Grants Management Officer, National Institute of Mental Health, National Institutes of Health, Department of Health and Human Services; 6001 Executive Blvd, Room 6122, MSC 9605, Bethesda, MD 20892; Telephone (301) 443-2811. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242, Mental Health Research Grants; 93.281, Mental Health Research Career/Scientist Development Awards.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Understanding mental illness and behavioral disorders; (2) diagnosis and interventions for mental disorders; (3) mental health service delivery and evaluation; and (4) basic neuroscience, behavioral science, and genetic science relevant to mental disorders.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded. For Training Grants: (1) quality of the proposed training program as determined by peer review; (2) availability of funds; and (3) program priority. For Fellowships: (1) overall merit of the application; (2) relevance of the application to the research priorities and mission of the institute and programs; and (3) availability of funds.

## **93.283 CENTERS FOR DISEASE CONTROL AND PREVENTION- INVESTIGATIONS AND TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended; Sections 301, 307, 310, 311, 317(k)(2), 322(e), 325, 327, 328, 352, 361-369 and 1703 of the PHS Act, (42 U.S.C. Sections 243, 247b(k)(2) and 300u-2), as amended; Federal Mine Safety and Health Amendments Act of 1977, as amended; Occupational Safety and Health Act of 1970; Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act of 1988, Public Law 100-202.

**OBJECTIVES:**

To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and disorders, and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease and disability are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and program support; and by providing leadership and coordination of joint national, State, and local efforts. STEPS- To enable communities to reduce the burden of chronic disease, including: preventing diabetes among populations with pre-diabetes; increasing the likelihood that persons with undiagnosed diabetes are diagnosed; reducing complications of diabetes; preventing overweight and obesity; reducing overweight and obesity; and reducing the complications of asthma. STEPS will achieve these outcomes by improving nutrition; increasing physical activity; preventing tobacco use and exposure, targeting adults who are diabetic or who live with persons with asthma; increasing tobacco cessation, targeting adults who are diabetic or who live with persons with asthma; increasing use of appropriate health care services; improving the quality of care; and increasing effective self-management of chronic diseases and associated risk factors.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To strengthen State and local disease prevention and control programs, such as tuberculosis, childhood immunization, and sexually-transmitted diseases. To support national and local programs to combat disability related to epilepsy through education, partnership development, and enhanced communication. Services and program support: Epidemic aid; technical assistance (field studies and investigations of ongoing disease problems; occupational safety and health); consultation; dissemination of technical information; and provision of specialized services and assistance, including responses to public health emergencies. Training: Training State and local health professionals in broad areas of epidemiology, disability, and research programs such as hospital infections, hepatitis, vector-borne diseases, food-borne diseases, epilepsy, and tuberculosis, at the State or other health related organization's request.) To

support capacity building, program planning, development, implementation, evaluation, and surveillance for current and emerging chronic disease conditions related to tobacco use. To achieve four Program Goals through community interventions and mobilization; counter-marketing; policy development and implementation, and surveillance and evaluation. Goals include preventing initiation to tobacco use among young people; eliminate exposure to second hand smoke; promote cessation among adults and young people who use tobacco; and identify and eliminate tobacco-related disparities among specific population groups. Lead regional efforts to prevent and reduce the use of tobacco and exposure to secondhand smoke. Conduct evaluations and implementation of culturally relevant and community competent tobacco control and prevention strategies and continue regional capacity building efforts. To address goal four of the National Tobacco Control Program (Identify and Eliminate Tobacco-Related Disparities). To increase the o eliminate health disparities among segments of the population, including differences that occur by gender, race or ethnicity, education, income, disability, geographic location, or sexual orientation. Establish a National Network consortium among six priority populations to coordinate and evaluate tobacco control and prevention initiatives through a broad national strategy to prevent and reduce tobacco use and exposure to second hand smoke and to eliminate tobacco-related disparities among priority populations. To provide funding to establish and/or enhance state-based telephone quitlines to provide tobacco cessation telephone counseling to the public at large. To fund projects that address the promotion of cessation among adults and young people who use tobacco (quitlines.) Address at the National level the promotion of cessation among adults and young people who use tobacco (quitlines). To build state arthritis programs that exponentially expand access and use of evidence-based interventions by embedding intervention programs into existing systems, conducting surveillance and data analysis to inform decision making, and developing state-level intervention, policy, and communication focused partnerships that further program goals. To strengthen state oral health programs and public health core capacity and to reduce inequalities in the oral health of targeted populations. To improve state public health programs, including support for program leadership and staff, to monitor oral health risk factors, and for developing and evaluating prevention programs. To support evidenced- based interventions to prevent oral disease, including community water fluoridation and school-based dental sealant programs. To identify and disseminate information on best practices for state and community oral health programs. To assess state programs and provide recommendations to address gaps and weaknesses. To collaborate in development of the National Oral Health Surveillance System and to cosponsor the annual National Oral Health Conference. To develop initiatives related to oral disease prevention and chronic disease and health promotion capacity. To improve and strengthen state oral health infrastructure by providing technical assistance to state health agencies and coalitions, developing and implementing a plan to advance the Surgeon General's National Call to Action to Promote Oral Health. To coordinate the dissemination of comprehensive oral disease prevention information and health promotion programmatic expertise among state and local agencies and public and private sector organizations in the United States. To develop and promote policies to address oral disease prevention for high-risk adults. To identify modifiable barriers to optimal care across diverse managed care settings.

**Applicant Eligibility:**

States, political subdivisions of States, local health authorities, Federally recognized or state recognized American Indian/Alaska Native tribal governments and organizations with specialized health interests may apply. Colleges, universities, private nonprofit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Beneficiary Eligibility:**

States, political subdivisions of States, local health authorities, and individuals or organizations with specialized health interests will benefit Colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. When indicated in individual program announcements, applications are subject to review in accordance with the National Health Planning and Resources Development Act, Public Law 93-641, as amended. For the technical assistance component of this program, when indicated in individual program announcements, applications are eligible for coverage under E.O. 12372. This program is eligible for coverage under the Public Health System Reporting Requirements. Under these requirements, all

community-based nongovernmental applicants must report to the appropriate State and/or local health agency as determined by the applicant.

**Application Procedure:**

Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). To apply for research funding opportunities, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

**Appeals:**

None.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 3 years.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements for most programs. There is a 1 to 4 match requirement for the tobacco control program, this excludes quitline. Steps to a Healthier US: A Community-Focused Initiative to Reduce the Burden of Asthma, Diabetes, and Obesity requires the following: Matching funds are required from non-Federal sources in an amount not less than 25 percent of Federal funds awarded to Large City and Urban Community Grantees. State grantees funded under the State-Coordinated Small City and Rural Community Program are required to provide a match not less than 50 percent of the funds retained by the states to support the funded communities through technical assistance and other means. In no case shall the amount to be matched be less than 25 percent of the award to the state. In an effort to move grantees toward a self-sustaining program, the HHS Secretary may require an increase in the match requirements in years 2 through 5 of the program. For the purpose of the initial application's 5 year plan and budget, applicants should calculate budgets based on the first year match requirements listed above.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 1 to 3 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Total Grants and Cooperative Agreements). Adult and Community Health: Alzheimer's: FY 07 est \$1,100,000; FY 08 est \$1,100,000; and FY 09 \$ 750,000

available. Behavioral Risk Factor Surveillance System (BRFSS): FY 07 \$4,200,000; FY 08 \$4,200,000; and FY 09 est not available. Steps to a Healthier USA: FY 07 \$36,166,511; FY 08 \$19,679,010; and FY 09 est \$11,350,000. Tobacco Core: FY 07 est \$54,173,858; and FY 08 est \$39,031,723 (9-month funding; and FY 09 est \$64,000 (Core and Quitline). Quitlines: FY 07 est \$12,726,240; and FY 08 est \$9,124,267 (9-months of funding; and FY 09 - (Quitline funds will be combined with the core). National Networks: FY 07 est \$2,500,000; and FY 08 \$2,500,000; FY 09 \$2,500,000. Tribal Support Centers: FY 07 est \$1,615,313; FY 08 \$1,615,313 and FY09 7,615,313. Translating Research Into Action for Diabetes (TRIAD): FY 07 \$4,265,636; and FY 08 \$ 4,265,636; and FY 09 est not available. National Organizations to Support Epilepsy: FY 07 \$3,503,797; FY 08 est \$3,672,115, and FY 09 est \$3,672,115. National Organizations to Support Arthritis: FY 07 \$756,517; FY 08 est \$619,249, and FY 09 est \$750,000. Chronic Disease Prevention and Health Promotion Component 5-Arthritis: FY 07 \$5,800,000. State Public Health Approaches to Arthritis Component 1-Arthritis: FY 08 est \$5,918,338 and FY 09 est \$5,918,338. State Public Health Approaches to Arthritis Component 2-Lupus FY 08 est \$2,200,000 and FY 09 est \$2,200,000 Office of Minority FY 07 est not available; FY 08 est not available; and FY 09 est \$4,329,969. National Center for Environmental Health: FY 07 est not available; FY 08 \$41,929,450; and FY 09 est \$54,215,848.

**Range and Average of Financial Assistance:**

Limited resources are dependent on usual health effects and needs. Diabetes-- Translating Research Into Action for Diabetes (TRIAD): \$600,000 to \$840,000.

**PROGRAM ACCOMPLISHMENTS:**

The Centers for Disease Control and Prevention (CDC) is the Federal agency responsible for disease and injury prevention. The agency also focuses on prevention of disability and secondary conditions. As the Nation's prevention agency CDC's vision for the 21st century is "Healthy People in a Healthy World" reflecting the agency's concern that people's health is important both nationally and internationally and that the environment is critical to health in the future. Approximately 772 projects were funded in fiscal year 2001. Examples of the funded projects include: behavioral risk factor surveillance system (BRFS), national program of cancer registries, population based surveillance of fetal alcohol syndrome, grants for radiation studies and research, public health conference support grant program, fatality assessment and control evaluation, surveillance of elevated blood levels in adults, and oral health and epilepsy program activities. The same is anticipated for fiscal years 2002 and 2003. The Centers for Disease Control and Prevention (CDC) is the federal agency that has responsibility for prevention and monitoring of oral disease. This program announcement addresses the Healthy People 2010 priority areas of Oral Health (Chapter 21), Public Health Infrastructure (Chapter 23), and Educational and Community-Based Programs (Chapter 7). The purpose of this program is to establish, strengthen and expand the capacity of States, territories, and tribes to plan, implement and evaluate oral disease prevention and health promotion programs. These programs may address dental caries (tooth decay), periodontal disease, oral and pharyngeal cancers, and other oral conditions considered to be public health problems. In FY 2001, five states (Arkansas, Illinois, Michigan, Nevada, and New York), and one territory (Palau) received support under this program announcement.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit and identified on the notices of award. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Elijah West, Extramural Program Team Leader, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention (CDC) Telephone: (770) 488-5549; Grants Management Contact: Nealean Austin, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention (CDC), Department of Health and Human Services, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Cooperative agreements to States for the Behavioral Risk Factor Surveillance system, (2) Public Health Conference Support Grants, (3) Cooperative Agreements to States for Core Capacity Building for Tobacco Prevention and Control Programs, (4) Cooperative agreements to States for the National Program of Cancer Registries, (5) Cooperative agreements for Community Coalition Partnerships for the Prevention of Teen Pregnancy, (6) Cooperative Agreements to States for the Pregnancy Risk Assessment Monitoring System, (7) Cooperative Agreement for epilepsy program activities, (8) Cooperative Agreement for State Public Health Approaches to Arthritis and (9) Cooperative Agreement for Oral Disease Prevention. Nevada will establish a State Office of Oral Health to establish oral health policies, work with the dental community,



recruit dental health professionals, identify and develop additional resources, and staff a statewide advisory committee. The State also plans to develop a State oral health plan. Nevada also received funding to implement a school-based dental sealant program in 17 school districts. (9) Cooperative Agreements to managed care organizations (TRIAD)-- a multicenter cohort study of diabetes in managed care settings. (10) Cooperative agreement program is to fund organizations that will provide technical assistance to states and local governments and other entities including nontraditional partners (partners that do not usually have public health as their primary mission and goal, but will have areas of common or overlapping interest that includes public health, such as, but not limited to, education organizations, healthcare organizations, faith-based/community organizations and other federal or tribal agencies) to strengthen the nation's public health capacity by improving the quality and performance of public health practice, public health systems, public health data and data systems, and the public health workforce.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.284 INJURY PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKAN NATIVES-COOPERATIVE AGREEMENTS**

(Injury Prevention)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301(a), as amended.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by developing the capacity of tribes to address their injury problems.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The assistance is used for three types of injury prevention related projects: (1) Part I Basic: Build or enhance local injury prevention capacity; and (2) Part II Intervention: Implement a proven or promising injury prevention intervention. This assistance is available to federally-recognized Indian tribes, tribal organizations, and urban Indian organizations.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, non-profit organizations serving primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Provisions of cooperative agreement require tribal endorsement in the form of Resolution to sanction tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments (and Circular No. A-122 for Nonprofit Organizations) implemented through applicable grant administration regulations 45 CFR, 92 (45 CFR, 74 for nonprofit organizations).

**Preapplication Coordination:**

An applicant seeking to serve more than one tribe must have approval of each tribe involved via a resolution. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Standard application forms, as furnished by IHS and required by 45 CFR, 92, for State and local governments and 45 CFR, 74, for nonprofit organizations, must be used for this program. Injury Prevention Programs are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR 92 for Indian tribes and Part 74 for Nonprofit organizations, and OMB Circulars No. A-110 and A-102.

**Award Procedure:**

Cooperative agreements are awarded on a competitive basis with processing and final approved by Indian Health Service Headquarters.

**Deadlines:**

Cooperative agreement applications must be submitted as required in the program announcement.

**Range of Approval/Disapproval Time:**

Cooperative agreements are approved/disapproved within 90 days to 120 days from receipt of the application/proposal in IHS Headquarters.

**Appeals:**

Cooperative agreement appeals will follow PHS appeals procedures: 42 CFR, Part 50 Subpart D and DHHS appeals procedures: 45 CFR, Part 16.

**Renewals:**

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Administrative requirements under 45 CFR, 92, for grants to Indian tribal governments and 45 CFR, 74 to nonprofit tribal organizations and urban Indian organizations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations" entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year except as noted in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, that are pertinent to the HHS grant in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) Injury Prevention: FY 07 \$1,690,505; FY 08 \$1,400,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Injury Prevention: Part I Basic Core Capacity Injury Prevention up to \$75,000; Part II Injury Intervention up to \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 33 cooperative agreements will be awarded in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994); Program Guidelines for Competitive Projects.

**Regional or Local Office:**

See Appendix IV of the Catalog for Indian Health Service Area Offices.

**Headquarters Office:**

Injury Prevention Program Contact: Ms. Nancy Bill, Injury Prevention Program Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-1054. For Grants Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same number for FTS.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Basic Core Capacity Injury Prevention Program Development or Enhanced Injury Prevention Program Development, implementation of proven or promising injury prevention projects that are based on addressing local injury problems and provision of training for tribes, tribal organizations, and urban Indian organizations to address local injury prevention issues and concerns.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The apparent capability of the applicant to organize and manage the proposed project successfully considering the adequacy of staff, management systems, equipment and facilities; (2) the soundness of the applicant's plan for conducting the project and for assuring effective utilization of grant funds; (3) the adequacy of the budget in relation to the scope of the project and available funds; and (4) the relative effectiveness of the applicant's plan to carry out each of the requirements as set forth in the application.

**93.285 NATIONAL INSTITUTES OF HEALTH PEDIATRIC RESEARCH LOAN REPAYMENT PROGRAM**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C. 288-6.

**OBJECTIVES:**

To attract and retain health professionals to pediatric research careers by offering educational loan repayment for participants who agree by written contract to engage in pediatric research in a qualifying nonprofit institution for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in pediatric research in a qualified nonprofit institution or Federal or other domestic government agency (State or local), and who are engaged in research that is supported by a nonprofit foundation, nonprofit professional association, or other nonprofit entity, or a Federal or other domestic government agency (State, local). Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary state and local tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) be a U.S. citizen, U.S. national, or permanent resident of the United States; (2) have a Ph.D., M.D., D.O., D.D.S., D.M.D., D.P.M., Pharm.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (Federal, State, or local); (5) engage in qualified pediatric research (pediatric research is research that is directly related to diseases, disorders, and other conditions in children); (6) engage in qualified pediatric research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal, State and local law (e.g., applicable human subject protection regulations); and (8) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in pediatric research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as Federal employees for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

**Beneficiary Eligibility:**

Health professionals who are interested in pursuing pediatric research careers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is non-profit (exempt from tax under 26 USC 501), and (d) provides the applicant's

institutional base salary.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Pediatric Research Loan Repayment Program. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the Institute or Center which approved their application. Contact the NIH via e-mail at [LRP@NIH.GOV](mailto:LRP@NIH.GOV) for further guidance.

**Deadlines:**

Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

**Appeals:**

None.

**Renewals:**

At the conclusion of the initial 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available for eligible individuals whose renewal applications score within the funding range. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services.

**Reports:**

Program participants must be periodically certified by their research supervisor to have been engaged in the qualifying research project for a minimum 50 percent effort (not less than 20 hours per week based on a 40 hour week) during the service period.

**Audits:**

None.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Loan Repayments) FY 07 \$17,328,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,394 to \$70,000; Tax reimbursements range from \$934 to \$31,679. The average cost which includes loan and tax reimbursement is \$50,843.

**PROGRAM ACCOMPLISHMENTS:**

NIH estimates that 391 awards will be made in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in the Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C. 288-6. The NIH PR-LRP was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Alfred C. Johnson, Ph.D., Division of Loan Repayment, National Institutes of Health, 6011 Executive Blvd., Room 206, MSC 7650, Bethesda, MD 20892-7650. LRP Helpline: (1-866) 849-4047. Fax: (1-866) 849-4046. E-mail: [lrp@nih.gov](mailto:lrp@nih.gov).

**Web Site Address:**

[www.lrp.nih.gov](http://www.lrp.nih.gov).

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program; 93.164,

Indian Health Service Educational Loan Repayment; 93.209, Contraception and Infertility Research Loan Repayment Program; 93.220, Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.307, Minority Health and Health Disparities Research; 93.308, Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research; 93.364, Nursing Student Loans; 93.936, National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program.

#### **EXAMPLES OF FUNDED PROJECTS:**

Transgenic zebrafish models of acute leukemia. The role of the Ku Heterodimer in Telomere function and chromosome stability. Gene therapy for the treatment of primary immunodeficiencies. Pilot study of hypericum for juvenile depression.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Pediatric Research Loan Repayment Program. Applications that are on time, complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

## **93.286 DISCOVERY AND APPLIED RESEARCH FOR TECHNOLOGICAL INNOVATIONS TO IMPROVE HUMAN HEALTH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act; Title IV, Sections 401(b)(1) and 467z; Public Law 106-505.

#### **OBJECTIVES:**

To support hypothesis, design, technology, or device-driven research relation to the discovery, design, development, validation, and application of technologies related to biomedical imaging and bioengineering. The program includes biomaterials (biomimetics, bioprocessing, organogenesis, rehabilitation, tissue engineering, implant science, material science, interface science, physics and stress engineering, technology assessment of materials/devices), biosensors/biotransducers (technology development, technology assessment, development of algorithms, telemetry), nanotechnology (nanoscience, biomimetics, drug delivery systems, drug bioavailability, microarray/combinatorial technology, genetic engineering, computer science, technology assessment), bioinformatics (computer science, information science, mathematics, biomechanics, computational modeling and simulation, remote diagnosis and therapy), imaging device development, biomedical imaging technology development, image exploitation, contrast agents, informatics and computer sciences related to imaging, molecular and cellular imaging, bioelectrics/biomagnetics, organ and whole body imaging, screening for diseases and disorders, and imaging technology assessment and surgery (technique development and technology development).

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Research Grant funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. Individual National Research Service Awards (NRSA) are made directly to individuals for research training in specified areas related to the mission of NIBIB. Institutional NRSA may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship or traineeship is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer (STTR) Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply for a research grant. An applicant for an individual NRSA must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. An eligible institution for an institutional NRSA must be capable of providing

predoctoral and/or postdoctoral research training opportunities for engineers, bioengineers or other. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Credentials/Documentation: Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For an individual NRSA, the applicant's academic record, research experience, citizenship, and institutional sponsorship should be documented in the application. For an institutional NRSA, the applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-21, Cost Principles for Educational Institutions and OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Use of PHS 398 (Rev. 5/01; updated 8/8/03) and associated forms are required for all applications submitted to the NIH.

#### **Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application Form PHS 398 (Rev. 5/01; updated 8/8/03) is the standard form. Application kits are available at most institutional offices of sponsored research and may be obtained from the Office of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910, Telephone: (301) 435-0714, E-mail: grantsinfo@nih.gov. Alternatively, the application kit can be obtained on the World Wide Web, <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. The same application form will be used for all types of applications including training (NRSA), both individual and institutional, and SBIR/STTR. The training (NRSA) program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

#### **Award Procedure:**

All applications for research or training are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. All applications favorably recommended compete for available funds on the basis of scientific merit and program emphasis. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications



receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Research Grants: February 1, June 1, and October 1. Renewals: March 1, July 1, and November 1. Individual NRSA's: April 5, August 5, and December 5. Institutional NRSA's: January 10, May 10 and September 10. SBIR or STTR: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

Research Grants: From 6 to 9 months. NRSA's: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Research Grant applications submitted for renewal are reviewed and selected for funding on a competitive basis. NRSA awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Research Grant awards are usually made annually with no project periods to exceed 5 years in length. NRSA Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. Normally SBIR and STTR Phase I awards are for 6 months and Phase II awards are for 2 years.

**Reports:**

Progress reports are required each year. An annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of the project period. Recipients of NRSA's are required to file termination reports to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

7560898; 7570898; 7580898.

**Obligations:**

(Grants) FY 07 \$298,314,000; FY 08 est \$300,463,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,000 to \$2,190,831; \$328,181.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, approximately 830 awards were made; and in fiscal year 2008, approximately 838 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institute of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: William Heetderks, MD, PhD, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 496-9388. Facsimile: (301) 480-4973. Business Contact: Chris Hollingsworth, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number:

(301) 451-6773. Facsimile: (301) 480-4530. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nibib.nih.gov>.

**RELATED PROGRAMS:**

93.394, Cancer Detection and Diagnosis Research; 93.395, Cancer Treatment Research; 93.396, Cancer Biology Research; 93.306, Comparative Medicine; 93.867, Vision Research; 93.172, Human Genome Research; 93.837, Cardiovascular Diseases Research; 93.838, Lung Diseases Research; 93.839, Blood Diseases and Resources Research; 93.866, Aging Research; 93.273, Alcohol Research Programs; 93.855, Allergy, Immunology and Transplantation Research; 93.856, Microbiology and Infectious Diseases Research; 93.846, Arthritis, Musculoskeletal and Skin Diseases Research; 93.864, Population Research; 93.865, Child Health and Human Development Extramural Research; 93.929, Center for Medical Rehabilitation Research; 93.279, Drug Abuse and Addiction Research Programs; 93.173, Research Related to Deafness and Communication Disorders; 93.121, Oral Diseases and Disorders Research; 93.847, Diabetes, Endocrinology and Metabolism Research; 93.848, Digestive Diseases and Nutrition Research; 93.849, Kidney Diseases, Urology and Hematology Research; 93.113, Environmental Health; 93.821, Cell Biology and Biophysics Research; 93.859, Biomedical Research and Research Training; 93.862, Genetics and Developmental Biology Research and Research Training; 93.242, Mental Health Research Grants; 93.853, Extramural Research Programs in the Neurosciences and Neurological Disorders; 93.361, Nursing Research; 93.879, Medical Library Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Studies to fully utilize multiple forms of information (MRI and EEG); (2) Construction and investigation of a scanning equalization digital radiography (SEDR) system to overcome the problems with projection x-ray imaging; (3) Utilization of functional magnetic resonance imaging (fMRI) technique based on the blood oxygen level dependent (BOLD) contrast to provide a robust and noninvasive tool for studying functional processing of neural network at physiological and pathological conditions; (4) Development of two complementary intervention devices for treating stroke victims: mechanical clot extraction system and a neurovascular stent; (5) Development of molecular array biosensors using metallic nanoparticle clusters to capture in parallel a large number of molecular species from very small samples typical of most collection procedures; and (6) Production of nanoparticles containing agents that will have cell and tissue specificity, and demonstration of the effectiveness of these nanoparticles in attaining the intended specificity in tissue permeation and localization.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? (3) Innovation: Does the project employ novel concepts, approaches or method? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies? (4) Investigator: Is the investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers (if any)? (5) Environment: Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed experiments take advantage of unique features of the scientific environment or employ useful collaborative arrangements? Is there evidence of institutional support? (6) the appropriateness of the proposed budget and duration in relation to the proposed research; (7) the relevance and importance to announced program objectives; (8) the adequacy of plans to include both genders, minorities and their subgroups, and children as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will also be evaluated; (9) the adequacy of the proposed protection for humans or the environment, to the extent they may be adversely affected by the project proposed in the application; and (10) the adequacy of the proposed plan to share data, if appropriate. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the

technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

## 93.288 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM

(NHSC Scholarship Program)

### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Title III, Sections 338A and 338C-E, 338G.

### OBJECTIVES:

To increase the supply of primary care physicians, dentists, behavioral and mental health professionals, certified nurse midwives, certified family nurse practitioners, and physician assistants and, if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSA) within the United States by providing service-obligated scholarships to health professions students.

### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, family nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. The program requires a 1 year of service with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service is primarily a nonfederal salaried or contracted employee of a public or private non-profit entity, providing full-time primary health services. Services may also be in a fee for service private practice setting, or a Federal employee in Federal health systems such as the Indian Health Service, Immigration Health Service or Bureau of Prisons. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC. Physicians receive their site list at the beginning of their last year of residency training; nurse practitioners, nurse midwives, and physician assistants receive their site list within 6 months of their graduation. Service sites are limited to the United States, territories, and successor States to the Trust Territories, the Republic of Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. Deferments of service are granted to physicians to complete residencies in family practice, internal medicine, pediatrics, psychiatry, and obstetrics/gynecology.

### Applicant Eligibility:

At the time of award, the applicant must be a U.S. citizen or national. The applicant must be enrolled or accepted for enrollment in an accredited school in the U.S., in a course of study leading to a degree in medicine, osteopathic medicine, dentistry, or other health professions. The applicant must be free of any Federal judgment liens or service obligation, have not defaulted on a Federal debt, and have no conflicting service obligation. The applicant must submit an application and a signed contract to the National Health Service Corps, Division of Applications and Awards, the Bureau of Clinician Recruitment and Service by the last Friday in March, agreeing to accept payment of scholarship and provide full-time primary health services in a Health Professional Shortage Area.

### Beneficiary Eligibility:

U.S. citizens or nationals enrolled or accepted for enrollment in a State in a course of study leading to a degree in medicine, osteopathic medicine, dentistry or other health profession.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

### Preapplication Coordination:

This program is excluded for coverage under E.O. 12372.

### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for Clinicians Recruitment and Service. The Associate Administrator has the authority to make final selections for awards.

### Award Procedure:

NHSC scholarship awards are very competitive; the Program anticipates more applicants for scholarship awards than there are funds available. The applications of individuals who meet the eligibility criteria are scored numerically. All applicants will be notified if they are selected.

### Deadlines:

Contact HRSA at [www.hrsa.gov](http://www.hrsa.gov) for deadline date(s).

### Range of Approval/Disapproval Time:

Notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

### Appeals:

None.

### Renewals:

Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (1 to 4 years, if the applicant signs the contract through the graduation date).

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Each award covers 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support.

### Reports:

Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester as a full-time student pursuing the program for which the scholarship was awarded. The employing facility must complete and send a semi-annual Employment Certification Form verifying that the participating health professional is involved full-time. The certification includes a signature by an appropriate official of the facility.

### Audits:

None.

### Records:

None.

### Account Identification:

75-0350-0-1-550.

### Obligations:

FY 07 15,000,000; FY 08 \$14,805,558; and FY 09 est \$14,200,000.

### Range and Average of Financial Assistance:

\$40,000 to \$320,000; \$150,000.

### PROGRAM ACCOMPLISHMENTS:

Total awards made for FY 07 was 85 and an estimate for FY 08 is 85.

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### Regional or Local Office:

National Health Service Corps Scholarship Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8A-55, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

### Headquarters Office:

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Rockville, MD 20857. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

### Web Site Address:

[www.hrsa.gov](http://www.hrsa.gov).

### RELATED PROGRAMS:

93.108, Health Education Assistance Loans; 93.162, National Health Service Corps Loan Repayment Program; 93.364, Nursing Student Loans; 93.972, Health Professions Scholarship Program.

### EXAMPLES OF FUNDED PROJECTS:

Scholarships covering tuition, monthly stipends and payments for other reasonable education expenses made to medical school students, dental students, as well as for students of family nurse practitioner, nurse midwifery and physician assistant programs.

### CRITERIA FOR SELECTING PROPOSALS:

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Priority for consideration will be given to all students who have characteristics which increase the probability they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation. Third priority will be given to students who are from a "disadvantaged background."

## 93.289 PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS

(PCPFS)

### FEDERAL AGENCY:

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

PCPFS was established by Executive Order 10673 dated July 16, 1956. The focus and scope of the Council have been changed periodically by previous Administrations, i.e., Executive Order 12345 dated February 2, 1982 as amended, Executive Order 12694; Executive Order 13138 dated September 30, 1999 and most recently by Executive Order 13265 dated June 6, 2002. PCPFS is governed by the provisions of Public Law 92-463 as amended; 5 U.S.C. Appendix 2. The most recent authority was given under Executive Order 13446 dated September 28, 2007.

### OBJECTIVES:

PCPFS has no grant making authority; the Council has no funds available to offer any type of financial assistance. The objectives of the PCPFS are confined to promotion of physical activity and fitness for Americans of all ages by encouraging development, implementation and improvement of physical activity, fitness and sports programs. These objectives are accomplished by providing consultation and technical assistance, general publications and a web site, and by means of program evaluation and guidance to schools, government agencies, employee organizations, industrial organizations, recreation and park departments, youth organizations and others who wish to introduce or improve physical activity and fitness or sports programs.

### TYPES OF ASSISTANCE:

Advisory Services and Counseling.

### USES AND USE RESTRICTIONS:

The Council does not have grant-making authority; the Council has no funds available, to offer any type of financial assistance. Activities are largely limited to public information, synthesis of latest research and other information about physical activity/fitness and sports in lay terms. The Council provides advice and counsel to government agencies, educators, private organizations, and the private sector on how to promote physical activity/fitness and sports. It also provides advisory services to government, non-profit and educational organizations and institutions and the private sector on development, implementation and promotion of physical activity and fitness programs in diverse communities.

### Applicant Eligibility:

General public.

### Beneficiary Eligibility:

General public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

The PCPFS has no funds available to offer any type of financial assistance. However, requests for technical assistance and/or advisory and counseling services can be submitted to the Council in writing or orally. This program is excluded from coverage under E.O. 12372.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

75-0120-0-1-551.

### Obligations:

(Salaries and Expenses) FY 07 \$1,288,000; FY 08 \$1,270,000; and FY 09 est \$1,375,000.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

The PCPFS continues to serve as a catalyst for the Department, to promote, encourage, and motivate the development of physical activity/fitness and sports participation for all ages and abilities, and to publicize the health benefits of regular physical activity. More than six million Americans participate in President's Challenge programs each year, including a half million who have participated in the on-line Presidential Active Lifestyle or Champions programs at [www.presidentschallenge.org](http://www.presidentschallenge.org) and over five million youth who participate in the Physical Fitness Awards program. Recent accomplishments include the launch and implementation of the first/inaugural National President's Challenge in March 2008. Americans from all 50 states, the District of Columbia, and several U.S. territories participated in this six-week physical activity challenge by logging and tracking their physical activity on-line. The top five states are: Alaska, Arkansas, Wyoming, Maryland, and Washington, D.C. A new on-line Adult Fitness Test was also launched in May 2008. This test was developed in response to many baby boomers' requests for an adult version of the youth fitness test. In the first week of the launch, over 72,000 people took the on-line test at [www.adultfitnessstest.org](http://www.adultfitnessstest.org). Other accomplishments include increasing the number of President's Challenge Advocates to over 200 from 150, increasing the number of science partnerships from five to seven, presentation of the 2nd annual Lifetime Achievement and Community Leadership Awards, and leadership and participation in the development/process of the HHS Physical Activity Guidelines, which will be released in October 2008. PCPFS participation in the Guidelines include involvement on the Federal Steering Committee, Writing Group and Communications/Partnership subgroup.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Information about PCPFS and other related publications is available on the PCPFS website, <http://www.fitness.gov>. Information about these publications also can be obtained by writing the PCPFS or calling the staff office on (202)690-9000.

### Regional or Local Office:

Melissa A. Johnson, Executive Director, President's Council on Physical Fitness and Sports, Office of Public Health and Science, Office of the Secretary, Department of Health and Human Services, 200 Independence Avenue, S.W., Suite 738H, Washington, DC 20201-0004. Telephone: (202) 690-5187, Fax: (202) 690-5211. Use the same number for FTS.

### Headquarters Office:

Melissa A. Johnson, Executive Director, President's Council on Physical Fitness and Sports, Office of Public Health and Science, Office of the Secretary, Department of Health and Human Services, 200 Independence Avenue, S.W., Suite 738H, Washington, DC 20201-0004. Telephone: (202) 690-9000, Fax: (202) 690-5211. Use the same number for FTS.

### Web Site Address:

<http://www.fitness.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 93.290 NATIONAL COMMUNITY CENTERS OF EXCELLENCE IN WOMEN'S HEALTH

(CCOE or Community Centers of Excellence)

### FEDERAL AGENCY:

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

42 U.S.C. 300u-2(a)(1), 300u-3, and 300u-6(e).

### OBJECTIVES:

To provide recognition and funding to community-based programs that unite promising approaches in women's health across the following six components: (1) Comprehensive health service delivery; (2) training for lay and professional health providers; (3) community-based research; (4) public education and outreach; (5) leadership development for women as health care consumers and providers; and (6) technical assistance to ensure the replication of promising models and strategies that coordinate and integrate women's health activities at the community level and improve health outcomes for underserved women. The focus of the CCOE initiative is to integrate, coordinate, and strengthen linkages between activities/programs that are already underway in the community in order to reduce fragmentation in women's health services and activities.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

A majority of the funds from the CCOE award must be used to support staff and efforts aimed at coordinating and integrating the major components of the CCOE program. The Center Director, or the person responsible for the day-to-day management of the CCOE program, must devote at least a 75 percent level



of effort to the program. Additionally, 25 percent of the award funding must target efforts to foster the transfer of lessons learned/successful strategies from the CCOE program (technical assistance). Funds may be used for personnel, consultants, supplies (including screening, education, and outreach supplies), and grant related travel. Items costing less than \$5,000 are considered to be supplies. Funds may not be used for construction, building alterations, medical treatment, equipment, or renovations. All budget requests must be fully justified in terms of the proposed CCOE goals and objectives and include a computational explanation of how costs were determined. Applications from academic health centers or organizations that are part of academic health centers and state, county and local health departments will not be accepted. To ensure a wide geographic distribution of the Center of Excellence in Women's Health model, applications will not be accepted from organizations in States or territories that currently have a CCOE or a CoE program. Applications will not be accepted from organizations in the following States/Territories: AZ, CA, IL, IN, LA, MA, MI, MO, MN, NM, NY, OH, PA, PR, VT, WA, and WI.

**Applicant Eligibility:**

The CCOE applicant must be public or private nonprofit community-based hospitals, community health centers, or community-based organizations serving underserved women. Community entities/organizations, including faith-based organizations, that have alliances, partnerships, networks with, or have other affiliations with an academic health center are also eligible to apply for a CCOE grant as long as the community entity/organization has a leading management role in the activity and maintain control of all funds. Organizations that have previously submitted CCOE applications, but were not funded, are also eligible to reapply for this award.

**Beneficiary Eligibility:**

Underserved women will benefit.

**Credentials/Documentation:**

Each applicant for a cooperative agreement funded under this CCOE announcement must, at a minimum: (1) present a plan to integrate all six components of the CCOE program by the end of the first year of funding, although only four components have to be in place at the time the application is submitted; (2) develop a CCOE advisory board or ensure that their already established advisory board is included in the decision-making process for CCOE program development, identification of community-based research questions, and formulation of CCOE policies; (3) be a sustainable organization with an established network of partners capable of providing coordinated and integrated women's health services in the targeted community; (4) have an established clinical care center/facility, an operating public educational/outreach program, and a community identified as the recipient of technical assistance at the time the application is submitted; (5) demonstrate the ways in which the organization and the care that are coordinated through its partners are women-focused, women-friendly, women-relevant, and sensitive to the importance of patient/provider communication/relationships for medically underserved women of all ages; (6) detail/specify the roles and resources/services that each partner organization brings to the program, the duration and terms of agreement as confirmed by a signed agreement between the applicant organization and each partner, and describe how the partner organizations will operate within the CCOE structure; (7) describe in detail plans for the local evaluation of the CCOE program and when and how information obtained from the evaluation will be used to enhance the CCOE program; and (8) describe in detail the planned community-based research and the research methodology/procedure.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling 240-453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from

the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete, arrive after the deadline, or are from states that already have a CCOE or a CoE program will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts in the fields of program management, community service delivery, community service delivery, community outreach, health education, community-based research, education, training, leadership/career development, and technical assistance to other communities. Funding decisions will be determined by the Director, Division for Program Management, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators. Preference will be given to DHHS regions that do not have a CCOE or a CoE program and to programs proposed to be implemented in medically underserved areas, enterprise communities, empowerment zones, and applications from Regions IV and VIII.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

60 to 120 days. Support may be requested for a total project period not to exceed 5 years. Non-competing continuation awards of up to \$150,000 will be made subject to satisfactory performance and availability of funds.

**Reports:**

Quarterly progress reports, an annual progress report, an annual Financial Status report, a final Progress report, a final Financial Status report, an Audit Report, and a Technical Assistance Documentation Report in the format established by the Office on Women's Health, in accordance with provisions of the general regulations that apply under Monitoring and Reporting Program Performance, 45 CFR 74, Subpart J and Part 92.

**Audits:**

In accordance with the provisions of OMB Circular No. A - 133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

All awards are made for \$150,000 each in total costs (direct and indirect) for a 12-month period. The average amount is \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Barbar James, Program Director, Office on Women's Health, Parklawn Building, Room 16A-55, 5600 Fishers Lane, Rockville MD 20857, email: bjames1@osophs.dhhs.gov . For technical assistance on budget and business aspects of the application may be obtained from the Office of Grants Management. Contact the Office of Public Health and Science, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, or phone at (240) 453-8822.

**Web Site Address:**

<http://www.4woman.gov/owh/CCOE/index.htm> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The major component of a CCOE program must consist of activities aimed at developing and strengthening a framework for bringing together a comprehensive array of services for women, and connecting those with promising strategies to: train a cadre of health care providers that are capable of addressing underserved women's health needs at the community level with an emphasis on prevention or moderation of illness or injury that appear controllable through individual knowledge and behavior; conduct participatory, community-based research in women's health; enhance public education and outreach activities in women's health with an emphasis on prevention or moderation of illness or injury that appear controllable through individual knowledge and behavior; and promote leadership/career development for women in the health professions and women/girls in the community. A project may develop outreach and education materials, training programs, and leadership development activities/materials. Award recipients must also, with input from community representatives, put into place and track a set of measurable objectives for improving health outcomes and decreasing health disparities for underserved women in the community. Each CCOE must also demonstrate an ability to foster the transfer of lessons learned and successful strategies. These may include either process-based lessons (for example: how to bring multiple community partners together) or outcomes-based lessons (for example: how to increase diabetes screening and control through improved outreach, education, and treatment). The CCOEs must foster the replication of promising models from their sites through activities such as showcasing them at meetings and workshops; providing direct technical assistance to other communities; developing replication guides/materials; and providing technical assistance to health professionals, directly or through their professional organizations interested in working with underserved women in the community.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications selected for funding will be reviewed using the following criteria: (1) The implementation plan as judged by the appropriateness of the existing community resources and linkages, the appropriateness of the proposed approach, component integration, and specific activities described to address each element of the CCOE program, soundness of the evaluation plan, willingness to anticipate in the national CCOE evaluation, and willingness to contribute to the development of a comprehensive national CCOE "how-to manual." (2) The management plan which describes the applicant organization's capability to manage the project as determined by the qualifications of the proposed staff or requirements for "to be hired" staff, proposed staff level of effort, management experience of the lead agency and the experience, resources, and role of each partner organization. (3) The evaluation plan and its relationship to program goals. (4) Plans for the provision of technical assistance and the potential for replication of the CCOE model in similar populations and communities. (5) The merit of the objectives outlined by the applicant do address the CCOE program in a way relevant to the targeted community needs and available resources. (6) Adequacy of demonstrated knowledge of systems of health care for underserved women at the local level; demonstrated need within the proposed local community and target population of underserved women; demonstrated support and established linkages in place to operate a fully functional CCOE program; demonstrated access to medically underserved women; and documented past efforts/activities outcome with underserved women.

**93.291 SURPLUS PROPERTY UTILIZATION**

(Federal Property Assistance Program)

**FEDERAL AGENCY:**

PROGRAM SUPPORT CENTER, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, Section 203(k), Public Law 81-152, 40 U.S.C. 484, as amended; Stewart B. McKinney

Homeless Assistance Act of 1987, as amended, 104 Stat. 4673.

**OBJECTIVES:**

To convey or lease all surplus Federal real properties made available by the disposal agency which are needed and usable by eligible organizations and institutions to carry out health programs.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Real property must be used for eligible health purposes including research. It may consist of land with or without buildings and other improvements or buildings only. A discount of up to 100 percent based on the proposed-use program is granted. This discount applied against the fair value of the property, is earned by approved use over a prescribed period of 30 years for land with or without improvements, and a lesser time for leased facilities and improvements which are sold without land. Allowance of less than 100 percent requires payment of the difference in cash at the time of conveyance. Property must be used for the purpose for which conveyed, and may not be sold, leased, mortgaged, or encumbered without consent of the Department.

**Applicant Eligibility:**

States, their political subdivisions and instrumentalities; tax-supported public health institutions, and nonprofit institutions which (except for institutions which lease property to assist the homeless under Title V of Public Law 100-77) have been held exempt from taxation under Section 501 (c) (3) of the 1986 Internal Revenue Code.

**Beneficiary Eligibility:**

Anyone attending, working with or for, or served by the eligible applicants. Examples of potentially eligible use programs are hospitals, public health clinics, water and sewer systems, institutions for the rehabilitation of mentally or physically handicapped, health research institutions, homeless assistance facilities, and other institutions with basic health programs.

**Credentials/Documentation:**

Applicants must demonstrate current need for properties they request and the ability to carry out the proposed program.

**Preapplication Coordination:**

Notice of availability of surplus real property is sent by the Division of Property Management, Program Support Center (PSC), Department of Health and Human Services (DHHS), to all known potentially interested institutions. When applying for real property, an informal preapplication conference either in person or by telephone is recommended. At that time, consultation and assistance are available to aid in the preparation of an application. Applicants are required to submit factors for consideration of potential environmental impact, in accordance with the Environmental Questionnaire furnished with the application instructions. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants interested in acquiring Federal real properties must contact the Division of Property Management, PSC, DHHS.

**Award Procedure:**

Real property is awarded to the applicant whose programs of use are determined to be in the highest public interest. Land (with or without improvements) is conveyed by quitclaim deed or lease; buildings for off-site removal are by agreement of sale.

**Deadlines:**

Any organization interested in acquiring real property must notify the Division of Property Management, PSC, DHHS, within 15 days after notice of availability, or in the case of acquiring properties for homeless purposes, within 60 days after publication by Department of Housing and Urban Development in the Federal Register.

**Range of Approval/Disapproval Time:**

Normally, approval or disapproval is made within 30 days after an application has been submitted for real property. For properties to assist homeless individuals under Title V of the McKinney Act, approval or disapproval is made 25 days after a complete application is received.

**Appeals:**

An applicant may appeal a decision to the Division of Property Management, PSC, DHHS.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Deed restrictions run for a period of 30 years and Agreements of Sale are normally for 5 years, after which the transferee has clear title to the property. Restrictions on leased property run for the period of the lease.

**Reports:**

Transferees/lessees are required to make an annual utilization report to the Division of Property Management, PSC, DHHS, and the property is also visited by Division of Property Management personnel.

**Audits:**

The Department's Audit agency makes periodic audits of the headquarters

operation and may make spot checks of the utilization by real property transferees.

**Records:**

Transferees of real property, who expend funds to rebuild, refurbish, or to otherwise improve property under restrictions, should maintain records of these costs in the event they wish to dispose of the property prior to termination of the restriction period.

**Account Identification:**

75-4552-0-1-551.

**Obligations:**

(Salaries and Expenses) FY 07 \$454,184; FY 08 est \$394,129; and FY 09 est \$439,608.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, Federal surplus real property having an acquisition cost of \$28,520,377 was transferred for public health purposes. This represents 8 transfers of 45.230 acres of land and 8 buildings. It is estimated that over \$4,000,000 in real property will be transferred in fiscal year 2008 for public health purposes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 45, Subtitle A, Part 12, Disposal and Utilization of Surplus Real Property for Public Health Purposes. Literature: The following pamphlet is available from the Division of Property Management: "How to Acquire Federal Surplus Real Property for Public Health Purposes," at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director, Division of Property Management, Program Support Center, Department of Health and Human Services, Parklawn Building, Room 5B-17, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2265. Fax: (301) 443-0084. E-Mail: [rpb@psc.gov](mailto:rpb@psc.gov).

**Web Site Address:**

<http://www.psc.gov>.

**RELATED PROGRAMS:**

12.600, Community Economic Adjustment; 12.700, Donations/Loans of Obsolete DOD Property; 39.002, Disposal of Federal Surplus Real Property; 39.003, Donation of Federal Surplus Personal Property; 84.145, Federal Real Property Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Land and buildings are provided for hospitals, clinics, public health administration, water and sewer system development, facilities to assist homeless individuals, and rehabilitation programs.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution, its programs, and the proposed use to meet the program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, age, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, integrated research, outpatient services, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

**93.294 MENTORING PARTNERSHIP PROGRAM - PROTEGE**

(Protege)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

This program is authorized by 42 U.S.C. 300u-2(a).

**OBJECTIVES:**

The purpose of the Mentoring Partnership Program' Protege is to strengthen the organizational infrastructure and program services of small non-profit organizations so they may deliver improved HIV/AIDS prevention and support services to women most at risk for acquiring HIV/AIDS and women with positive HIV serostatus. With a sound infrastructure and culturally competent, gender-focused program services, women will increase their HIV prevention knowledge and reduce the risk of contracting HIV. The goals of the program are: For Protege or non-profit community-based, faith-based, and women's service organizations to gain skills and be prepared to compete for Federal and private funding before the program period ends; and -- For Protege or non-profit community-based, faith-based, and women's service organizations to increase the number of women at risk for or living with HIV/AIDS served with culturally

competent, gender-focused, evidence-based program services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A majority of the funds from the award must be used to support staff and efforts aimed at implementing the program. Funds may be used for supplies (including screening, education, and outreach supplies); local travel to perform duties of the funded HIV/AIDS prevention program; and out-of-town travel (required training at one national and one regional HIV/AIDS prevention conference). Funds may not be used for construction, building alterations, equipment, medical treatment, or renovations. All budget requests must be justified fully in terms of the proposed goals and objectives and include an itemized computational explanation/breakout of how costs were determined.

**Applicant Eligibility:**

The applicant must be a non-profit community-based organizations, faith-based organizations, national organizations, colleges and universities, clinics and hospitals, research institutions, State and local government.

**Beneficiary Eligibility:**

Non-profit community-based, faith-based, and women's service organizations serving women will benefit.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their Spots as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Division for Policy and Program Development, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**



Project period is for 1 year.

**Formula and Matching Requirements:**

Cost sharing and matching funds is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Project period not to exceed 2 years.

**Reports:**

The applicant will submit two progress reports and an annual report detailing the entire funding year of mentoring partnership program activities. OWH will provide Progress Report Form and Annual Report Form during the orientation meeting. A Financial Status Report will also be provided (in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR Parts 74 and 92. The purpose of the progress reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program.

**Audits:**

In accordance with: the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

OWH anticipates making four cooperative agreement awards. Approximately \$200,000 is available to make four awards of up to \$50,000 each. It is expected that the award will cover costs for the 12-month period from September 1, 2006 through August 31, 2007. Funding estimates may change.

**PROGRAM ACCOMPLISHMENTS:**

Protegee grantee be paired with a certified small business or mentors with expertise in designing tailor-made capacity building training for organization infrastructure (fiscal management, human resources, governance); data management and technology development; and gender-focused programmatic development and implementation (including evaluation and monitoring); and women's health, particularly HIV/AIDS prevention services for women at high risk for or living with HIV/AIDS; and have developed a mentoring partnership approach offering protegee the opportunity to receive training and gain skills to adapt evidence-based HIV/AIDS prevention curricula to improve program services to women disproportionately impacted by HIV/AIDS.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office on Women's Health, Department of Health and Human Services, 200 Independence Avenue, SW., Room 712E, Washington, DC 20201.

**Web Site Address:**

<http://www.4woman.gov/owh> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

To receive consideration, applications must be received by the Office of Grants Management, Office of Public Health and Science (OPHS), Department of Health and Human Services (DHHS), no later than June 22, 2006. Application Review Information: the technical review of applications will consider the following factors: Factor 1: Background/Understanding of the Problem (25%); Factor 2: Implementation/Approach (25%); Factor 3: Management Plan (25%); and Factor 4: Indicators of Success (25%).

**93.295 INTERGENERATIONAL APPROACHES TO HIV/AIDS PREVENTION EDUCATION WITH WOMEN ACROSS THE LIFESPAN PILOT PROGRAM**

(Intergenerational)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

This program is authorized by 42 U.S.C. 300u-2(a).

**OBJECTIVES:**

For African American, Native American/American Indian, Hispanic/Latino, and Asian/Pacific Islander women and other female members of the family 12+ years old to: know their serostatus; increase their knowledge of HIV/AIDS prevention; gain competencies in cross-generational communications about health in general and sexual health specifically; and connect with a primary healthcare physician (and navigate other systems of care).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A majority of the funds from the award must be used to support staff and efforts aimed at implementing the program. Funds may be used for supplies (including screening, education, and outreach supplies); local travel to perform duties of the funded HIV/AIDS prevention program; and out-of-town travel (required training at one national and one regional HIV/AIDS prevention conference). Funds may not be used for construction, building alterations, equipment, medical treatment, or renovations. All budget requests must be justified fully in terms of the proposed goals and objectives and include an itemized computational explanation/breakout of how costs were determined.

**Applicant Eligibility:**

The applicant must be a non-profit community-based organizations, faith-based organizations, national organizations, colleges and universities, clinics and hospitals, research institutions, State and local government agencies, tribal government agencies and tribal/urban Indian organizations.

**Beneficiary Eligibility:**

Non-profit community-based, faith-based, and women's service organizations serving women will benefit.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit to be made available under this notice will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. The Office on Women's Health does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date.

**Application Procedure:**

Application kits may be requested by calling 240-453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm> . The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS eGrants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director,

Division for Policy and Program Development, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Project period is for 1 year.

**Formula and Matching Requirements:**

Cost sharing and matching funds is not a requirement of this grant.

**Length and Time Phasing of Assistance:**

Project period not to exceed 2 years.

**Reports:**

The applicant will submit two progress reports and an annual report detailing the entire funding year of mentoring partnership program activities. OWH will provide Progress Report Form and Annual Report Form during the orientation meeting. A Financial Status Report will also be provided (in accordance with provisions of the general regulations which apply under "Monitoring and Reporting Program Performance," 45 CFR Parts 74 and 92. The purpose of the progress reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program.

**Audits:**

In accordance with: the provisions of OMB Circular No. A-133 (Revised, June 30, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

OWH anticipates making four cooperative agreement awards. Approximately \$1,000,000 is available to make four awards of up to \$250,000 each. It is expected that the award will cover costs for the period September 1, 2006 through August 31, 2007. Funding estimates may change.

**PROGRAM ACCOMPLISHMENTS:**

To teach cross-generations of women how to develop healthy communication patterns built on caring, trusting familial relationships. To equip women to give accurate information about their sexual health issues by incorporating gender-focused, culturally competent, and linguistically-appropriate HIV/AIDS prevention information.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the PHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office on Women's Health, Department of Health and Human Services, 200 Independence Avenue, SW Room 712E, Washington, DC 20201.

**Web Site Address:**

<http://www.4woman.gov/owh>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

To receive consideration, the applications must be received by the Office of Grants Management, Office of Public Health and Science (OPHS), Department of Health and Human Services (DHHS), no later than July 31, 2006. Application Review Information Criteria: The technical review of applications will consider the following (4) factors: Factor 1: Background/Understanding of the Problem (30%), Factor 2: Implementation /Approach (25%), Factor 3: Management Plan (25%), and Factor 4: Evaluation Plan (20%). For specific details see the full announcement published in the Federal Register.

## 93.296 STATE PARTNERSHIP GRANT PROGRAM TO IMPROVE MINORITY HEALTH

(State Partnership Grant Program to Improve Minority Health)

**FEDERAL AGENCY:**

OFFICE OF MINORITY HEALTH, OFFICE OF PUBLIC HEALTH AND SCIENCE, OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707(e)(1), 42 U.S.C. 300u et seq.

**OBJECTIVES:**

To facilitate the improvement of minority health and eliminate health disparities (adult/child immunization, asthma, cancer, diabetes, heart disease and stroke, HIV, infant mortality, and mental health) through the development of partnerships with state and territorial offices of minority health.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are to be used to support the development and implementation of minority-targeted strategies which will facilitate improvement in minority health and address health disparities and gaps. Funds are not to be used for the provision of health care treatment, for construction, or to supplant ongoing project activities.

**Applicant Eligibility:**

State/Territorial Offices of Minority Health (established through legislation, executive order, or a directive process) are eligible to apply.

**Beneficiary Eligibility:**

Members of minority groups: Alaska Natives; American Indians; Asians; Blacks/African Americans; Hispanics/Latinos; Native Hawaiians and other Pacific Islanders; or subgroups of these.

**Credentials/Documentation:**

Documentation to verify official status as a State or Territorial Office of Minority Health (e.g., copy of Executive Order, statute, or administrative directive) and a signed statement from an authorizing official (e.g., Commissioner of Health or designee in the state/territorial Department of Health).

**Preapplication Coordination:**

This program does not require preapplication coordination. This program is eligible for coverage under E.O. 12372, "Intergovernment Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Requests for the standard Grant Application Form OPHS-1 and instructions for submission should be directed to Ms. Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science (OPHS), Office of the Secretary, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8822. A signed original and two copies of the application are to be sent to the above address. Applications are screened upon receipt for completeness, responsiveness and conformance to the program announcement. Those applications judged to be unacceptable based on this initial screening will be returned. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS eGrants system or the Grants.gov Web site Portal is encouraged. Information about these systems is available on the OPHS eGrants Web site (<https://egrants.osophs.dhhs.gov>), the Grants.gov Web site (<http://www.grants.gov>), or may be requested from the OPHS Office of Grants Management at (240) 453-8822.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants can have a project period not to exceed 5 years, with 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit.

Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued.

**Reports:**

Progress reports are required for each budget period, and a final performance report is due 90 days following the end of the project period. Financial status reports are due at the end of each budget period, and a final status report is due 90 days following the end of the project period.

**Audits:**

For State and local governments, audits are to be carried out in accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," or Federal laws and regulations of the programs in which they participate.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 \$4,979,018; FY 08 est \$4,979,018; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$115,324 to \$175,000; \$149,461.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Minority Health, Office of Public Health and Science, Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-2882.

**Web Site Address:**

<http://www.omhrc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The following are examples of activities funded under this program: 1) developing state health disparity plans of action; 2) strengthening capacity to collect, analyze, and report minority health data; 3) improving access to health care by implementing CLAS (Culturally and Linguistically Appropriate Services in Health Care) standards statewide; 4) building the capacity of community coalitions to conduct process and outcome evaluations; and 5) partnering with health professional schools to track progress of minority students to increase the number of minority graduates.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's objectives relevant to the Program purpose and the federal Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications and experience of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.300 NATIONAL CENTER FOR HEALTH WORKFORCE ANALYSIS**

(NCHWA)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII; Section 761 and General Provisions Sections 791-799; 42 U.S.C. 294n, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

**OBJECTIVES:**

To provide for the development of information describing the health professions workforce and the analysis of workforce-related issues and to provide necessary

information for decision-making regarding future directions in health professions and nursing programs in response to societal and professional needs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds can be used to provide for targeted information collection and analysis activities related to health workforce, research on high priority workforce questions, the development of a nonfederal analytic and research infrastructure related to health workforce-related issues, and to conduct program evaluation and assessment.

**Applicant Eligibility:**

Those eligible to apply are: State or local governments, health professions schools, schools of nursing, academic health centers, community-based health facilities, and other appropriate public or private nonprofit entities, including faith based and community based organizations.

**Beneficiary Eligibility:**

Those who will ultimately benefit from these grants are the local, rural, State, and Federal legislators and policy makers who will receive the information needed with which to make health workforce decisions.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

None.

**Renewals:**

At the end of the initial project period awardees may submit a competing continuation application for an additional 5 years of support.

**Formula and Matching Requirements:**

Some cooperative agreements may require a matching requirement for State and local studies.

**Length and Time Phasing of Assistance:**

Assistance is available up to 5 years.

**Reports:**

A Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$50,000 to \$400,000; \$250,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Sarah Richards, Evaluation and Analysis Branch, Office of Workforce



Evaluation and Qualify Assurance, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Department of Health and Human Services, 5600 Fishers Lane, Room 9-105, Rockville, MD 20857. Telephone: (301) 443-5452.

**Headquarters Office:**

Grants Management Office: Rock Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301)-443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Regional Centers for Health Workforce Studies in California, Texas, New York, North Carolina, Washington, and Illinois. Research studies providing supply and demand of pharmacists, nurses and physicians.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which an applicant specializes in health workforce research. An applicant will be considered as specializing in health workforce research through identification of its mission, health workforce research accomplishments, and dedicated staff to health workforce research. (2) The degree to which the applicant demonstrates State and National experience and accomplishments in health workforce issues and research directly supporting the BHP National Center for Health Workforce Analysis and the BHP priorities, health workforce distribution, racial/ethnic diversity of the health workforce, geriatrics, and genetics. Experience and accomplishments could be demonstrated through past or currently funded research. (3) The degree to which the applicant has health workforce research experience relevant to the proposed research project. For example, for a proposed research project that focuses on a given geographic area such as the U.S.-Mexico border, the applicant should demonstrate experience in conducting U.S.-Mexico border health workforce research. In terms of workforce discipline-specific studies, the applicant should demonstrate experience in conducting research on the given discipline. (4) The degree to which the applicant's proposed research includes: a well-developed background statement, clearly stated research objectives, clearly stated project activities and methodology, and a well-developed, reasonable management plan that will enable the successful completion of the project.

**93.301 SMALL RURAL HOSPITAL IMPROVEMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 1820(g)(3) of Social Security Act.

**OBJECTIVES:**

To help small rural hospitals: (1) pay for costs related to implementation of PPS; (2) comply with provisions of HIPAA; and (3) reduce medical errors and support quality improvement.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

**Applicant Eligibility:**

All small rural hospitals located in the 50 States and Territories.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are evaluated by Federal and Nonfederal experts. All approved applications will be funded. Final decisions on level of funding are made by the Director, Office of Rural Health Policy.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Up to six months.

**Appeals:**

None.

**Renewals:**

SHIP awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System.

**Reports:**

An annual progress report and final financial status report are due within 90 days after end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$14,824,097; FY 08 est \$14,220,000; and FY 09 est \$14,220,000.

**Range and Average of Financial Assistance:**

\$26,835 to \$992,845; \$315,406.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 46 awards were made; in FY 08 and FY 09, it is estimated that 46 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Jennifer Chang, Office of Rural Health Policy, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD, 20857. Telephone: (301) 443-0835, (301) 443-2669 (fax).

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch; Telephone: (301) 443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of allowable activities include: 1) purchase of billing and coding software and charge-master review for PPS implementation; 2) purchase of security applications and workspace modifications to increase security and privacy for HIPAA compliance, and 3) purchase of electronic health record systems and providing staff training and educational materials in Quality Improvement.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based on: (1) extent to which applicant is responsive to the requirements and purposes of this program; and (2) extent to which application describes need, strategies and investment to address those needs.

**93.303 NURSING SCHOLARSHIP PROGRAM**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 846, as amended, Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

To increase the supply of registered nurses (RN) in approved health care facilities with a critical shortage of nurses by providing service-obligated scholarships to nursing students.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships are awarded to full-time and part-time students of nursing. Scholarships pay tuition and required fees to the school, a monthly stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses include books, supplies, equipment, uniforms, travel, for the provision of clinical service, etc. The program requires a one year of service with a minimum 2-year service commitment post graduation. A maximum of four years of educational support may be awarded. Service obligation must be fulfilled at a health care facility with a critical shortage of nurses. These facilities currently include Indian Health Service facilities, Native Hawaiian Health Centers, hospitals, Federally Qualified Health Centers, rural health clinics, nursing homes, skilled nursing facilities, home health agencies, hospice programs, State or local Public Health Departments, and ambulatory surgical centers.

**Applicant Eligibility:**

The applicant must be a U.S. citizen or national, enrolled or accepted for enrollment in a fully accredited US academic institution with a graduate, baccalaureate, or associate degree or diploma nursing program. The applicant must be free of any Federal judgment liens or service obligation, have not defaulted on a federal debt and have no conflicting service obligations. Financial need is also reviewed as part of the eligibility determination. The applicant must submit an application and a signed contract, agreeing to accept payment of scholarship funds and provide health care services in a health care facility with a critical shortage of nurses for a minimum of two years.

**Beneficiary Eligibility:**

United States citizens or nationals enrolled or accepted for enrollment in a fully accredited graduate, baccalaureate, associate degree or diploma nursing program.

**Credentials/Documentation:**

The applicant must submit an enrollment/acceptance letter from the school or university and proof of US citizenship at the time of application. Applicants must also provide documentation of Expected Family Contribution (EFC). The Department of Education's Student Aid Report (SAR) from the Free Application for Federal Student Aid (FAFSA) is also required.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Applications are generally solicited by a program announcement in the HRSA forecast and application details can be found at [www.hrsa.gov](http://www.hrsa.gov). Applications and required forms for this program can also be obtained from the HRSA Call Center at 12530 Parklawn Drive, Suite 350, Rockville, MD 20852 or by calling (877) 464-4772 for guidance and instructions. Potential applicants can request email notification on the NSP website when applications become available online.

**Award Procedure:**

The NSP awards are very competitive and the Program anticipates more applicants for scholarship awards than there are funds available. The applications of individuals who meet the eligibility criteria are scored numerically. All applicants will receive a letter about their selection for a scholarship award. Applicants who will be notified of the disposition of their application.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Notification is made within 4-5 months after deadline for receipt of application.

**Appeals:**

None.

**Renewals:**

Renewal applications are not necessary for students in compliance. Contracts may be multi-year funded through graduation (one to four years) if the applicant signs the contract through the graduation date.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Each award covers one to four years of educational support, as requested. No awardees may receive more than four years of support.

**Reports:**

The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form to NSP each semester as a full-time student pursuing the program for which the scholarship was awarded. The employing critical shortage facility must complete and send a semi-annual Employment Certification Form verifying that the participating nurse is

providing full-time or part-time continuous service as a RN. The certification includes a signature by an appropriate official of the facility.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$10,000,000; FY 08 est \$14,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$20,000 - \$220,000; \$55,000.

**PROGRAM ACCOMPLISHMENTS:**

The estimate awards for FY 07 is 196 and for FY 08, 257.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Nursing Scholarship Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4829. The HRSA Call Center at [www.hrsa.gov](http://www.hrsa.gov) or 1 (877)464-4772, Monday through Friday (except Federal Holidays).

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management, (301) 443-2728 Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Helen Harpole, Acting Chief of Health Services Branch: (301) 443-3262; John Gallicchilo, Branch Chief of Research and Training Branch: (301) 443-3099; Dorothy Kelley, Branch Chief of Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.288, National Health Service Corps Scholarship Program.

**EXAMPLES OF FUNDED PROJECTS:**

Scholarships covering tuition, monthly stipends and payments for other reasonable education expenses made to nursing students.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specified category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in the amendment in section 846(e) of the Public Health Service (PHS) Act, a funding preference is given to eligible applicants with the greatest financial need. NSP will use the Department of Education's Student Aid Report (SAR) from the Free Application for Federal Student Aid (FAFSA) to evaluate financial need.

**93.307 MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III and IV, Part A and Part E, Sections 485E, 485F, 485G; Public Law 99-158 and Public Law 106-525; 42 U.S.C. 287c-31, 42 U.S.C. 287c-32, 42 U.S.C. 287c-33, 42 U.S.C. 241 and 285; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To support basic, clinical, social, and behavioral research, promote research infrastructure and training; foster emerging programs; disseminate information; and reach out to minority and other health disparity communities. The National Center on Minority Health and Health Disparities (NCMHD) has established programs to pursue these goals: (1) The Centers of Excellence Program promotes research to improve minority health, and/or reduce and eliminate health disparities, build research capacity for minority health and health disparities research in minority-serving and other institutions; encourages the participation of health disparity groups and communities in biomedical and behavioral research and prevention and intervention activities; and brings together investigators from relevant disciplines in a manner that will enhance and extend the effectiveness of their research; (2) NCMHD Research Endowment Program: builds research capacity and infrastructure at eligible Section 736 health professions schools (42 U.S.C. 293) to facilitate minority health and other health disparities research to close the disparity gap in the burden of illness and death experienced by racial and ethnic minority Americans and other health disparity populations; sup promotes a diverse and strong scientific, technological and engineering workforce; and emphasizes the recruitment and retention of underrepresented minorities and other socio-economically disadvantaged

populations in the fields of biomedical, and behavioral research and other areas of the scientific workforce; (3) Health Disparities Research Loan Repayment Program (HDR-LRP): recruits and retains highly qualified health professionals to research careers that focus on minority health or other health disparities issues; (4) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (ECR-LRP), also referred to as the Disadvantaged Individuals Loan Repayment Program within this document: recruits and retains highly qualified health professionals from disadvantaged backgrounds to conduct clinical research. This nucleus of clinical investigators has the potential to improve medical care within their respective communities by promoting clinical programs that address the health problems associated with these communities; (5) Research Infrastructure in Minority Institutions (RIMI) Program: assists non-doctoral degree institutions in developing their research infrastructure primarily through collaborations with research-intensive universities thereby enabling the institutions to develop and enhance their capacity and competitiveness to conduct biomedical or behavioral research; (6) Minority Health and Health Disparities International Research Training Program (MHIRT), awards enable U.S. institutions to tailor short-term basic science, biomedical and behavioral mentored student international research training opportunities to address global issues related to understanding, reducing, and eliminating health disparities; (7) Community-Based Participatory Research (CBPR) program: this program supports the development, implementation and evaluation of intervention research using the community-based participatory research (CBPR) principles and methods in targeting diseases of major public health importance in health disparity communities. CBPR awards promote participatory research collaboration between scientific researchers and their community partners. This initiative starts with a three-year research planning grant followed by a competitive five-year intervention research grant and conclude with a three-year research dissemination grant. The CBPR initiative engages the community in all phases of the research process and is directed to specific diseases/health conditions in a particular health disparity population. (8) Small Business Innovation Research (SBIR) Program: increases private sector commercialization of innovations derived from Federal research and development; encourages small business participation in Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; and (9) Small Business Technology Transfer (STTR) Program: to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; fosters technology transfer between small business concerns and research institutions; increases private sector commercialization of innovations derived from Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants are intended to support the direct costs of a project in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. Endowment grants: Some qualifying institutions may use income earned from a research endowment corpus to support institutions in their effort to expand and add teaching programs in the biomedical and behavioral sciences and related areas, to improve facilities, to enhance student and faculty recruitment and retention, to develop instructional delivery systems and information technology in areas that will enhance minority health and other health disparities research activities, and to establish endowed chairs and programs. Other qualifying institutions must use income earned from a research endowment corpus to increase the institutions' investments in the recruitment and retention of underrepresented minority students and students from other health disparity populations that matriculate at such institutions. This includes activities such as increasing student recruitment and retention, creating merit-based and need-based scholarships, establishing or enhancing tutoring, providing counseling, and designing student service programs to improve academic success, and faculty recruitment and retention. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Contracts provide repayment of existing educational loan debt incurred by health professionals that have agreed to conduct minority health or other health disparities research; or highly qualified health professionals from disadvantaged backgrounds whom plan to conduct clinical research. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts recipients must execute a written contract agreeing to engage in qualified research for a minimum of two years. Contracts may be renewed for a one- or two-year period after the completion of the initial two-year contract, provided that the participant applies for a competitive renewal contract, continues to engage in qualified research, and has eligible repayable debt remaining. Program payments are made directly to the participants' lenders

following each quarter and a verification of satisfactory research service, unless otherwise agreed upon by the participant and the Director, NCMHD. SBIR grants: SBIR Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR grants: STTR Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. STTR Phase II grants are based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. See Program Announcements: PA-07-280 and PA-07-281.

#### **Applicant Eligibility:**

Individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and conduct research, promote or engage in research training, and outreach activities that contribute to improving minority health and/or eliminating health disparities, Endowment grants: Only Section 736 health professional schools (see 42 U.S.C. 293) with net endowment assets less than or equal to 50 percent of the national average of endowment funds at institutions that conduct similar biomedical research or training of health professionals are eligible for the research endowment awards. All applicants must have a HRSA Centers of Excellence Award at the time of award of an NCMHD Research Endowment Grant. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Qualified health professionals that are U.S. citizens, nationals or lawfully admitted for permanent residence in the U.S.; have student loan debt equal to or less than 20 percent of their institutional based salary; have no Federal judgment liens against their property arising from a Federal debt; and owe no obligation of health professional service to the Federal government, a State, or other entity unless deferrals are granted during the length of their Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts service obligation. SBIR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. Small business concerns must be at least 51 percent US owned by individuals and independently operated and/or at least 51 percent owned and controlled by another (one) for-profit business concern that is at least 51 percent owned and controlled by one or more individuals. The research must be performed in the U.S. or its possessions. STTR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees) that "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution.

#### **Beneficiary Eligibility:**

Any non-profit or for-profit organization, company, or institution engaged in biomedical and behavioral research. Endowment grants: Section 736 institutions. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Qualified health professionals who conduct minority health or other health disparities research or highly qualified health professionals from disadvantaged backgrounds who will conduct clinical research and who possess substantial unpaid educational debt relative to income.

#### **Credentials/Documentation:**

Applicants must present a research plan and furnish evidence required for research grant applications, PHS 398, (Rev. 05/01) as specified in the application form. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q and OMB Circular No. A-21 for Educational Institutions and OMB Circular No. A-87 for state and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. Endowment grants: Requirements for the endowment application, PHS 398 (Rev. 05/01) are specified in the application form and supplemented by the Invitation to Apply (for limited competition). Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Applicants must provide general information, research statement, training/mentoring plan, environment description, certification of loan status, loan data verification, recommendations, and an institutional supporting statement. Requirements for the loan repayment application, OMB Approval No. 0925-0361, are specified in the electronic application form located at [www.lrp.nih.gov](http://www.lrp.nih.gov). SBIR and STTR grants: Applicant organizations (small business concerns) must present a research plan that includes an idea that has the potential for commercialization, and furnish evidence that the scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. To apply for SBIR Phase I and Phase II Grants, applicants must complete SF424 (R&R) Application for Electronic Submission. For general information on SF424 (R&R) Application and Electronic Submission, see these Web sites: SF424 (R&R) Application and Electronic Submission Information:



<http://grants.nih.gov/grants/funding/424/index.htm>. General information on Electronic Submission of Grant Applications:  
<http://era.nih.gov/ElectronicReceipt/>.

**Preapplication Coordination:**

None. This program is excluded from coverage under Executive Order 12372.

**Application Procedure:**

Applications for the various programs should be submitted to the NIH office that is responsible for the receipt of applications, and in such form and manner as the application prescribes. (All information pertaining to grants hereinafter, also apply to Endowment Grants unless otherwise noted). Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Revised 9/2004, Interim Revision 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For NIH planned transition dates of mechanisms for electronic submission, see: [http://era.nih.gov/ElectronicReceipt/files/Electronic\\_receipt\\_timeline\\_Ext.pdf](http://era.nih.gov/ElectronicReceipt/files/Electronic_receipt_timeline_Ext.pdf). For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: GrantsInfo@nih.gov. NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact GrantsInfo, Telephone: (301) 435-0714, Email: GrantsInfo@nih.gov.

**Award Procedure:**

Each application will be forwarded to an initial scientific review committee or Special Emphasis Panel (SEP) of non-NIH scientists and the National Advisory Council on Minority Health and Health Disparities (NACMHD) will conduct the secondary review. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: All eligible and completed applications will be forwarded to a SEP for review. Awards will be made to those applications recommended by the SEP and approved by the Director, NCMHD. SBIR and STTR grants: All eligible and completed applications will be forwarded to an initial scientific review committee and to the NACMHD for the secondary review. All applications receiving a priority score compete for available SBIR/STTR set-aside funds.

**Deadlines:**

Contact the National Center on Minority Health and Health Disparities. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: December 31. SBIR and STTR grants: April 5, August 5, or December 5.

**Range of Approval/Disapproval Time:**

Approximately 6 to 9 months. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Approximately 6 to 8 months. SBIR and STTR grants: Approximately 7 to 8 months.

**Appeals:**

A principal investigator or applicant may question the substantive or procedural aspects of the review of his/her application by communicating with NCMHD staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal of grant awards beyond the initial project period of support is contingent upon successful competition by the applicant and upon the appropriation of funds for this purpose. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Prior to the expiration of a participant's current award, the participant may apply for a one- or two-year extension provided the participant continues to engage in qualified minority health or other health disparities research and has outstanding repayable debt remaining. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts renewal applications are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

All awards have a project period of one to five years. Non-competitive grant awards in successive years (year 2 up to year 5) are awarded based on the applicant's annual performance and the availability of funds. Endowment Grants: Awards have a project period of one to three years. Non-competitive years (year 2 up to year 3) are awarded based on the applicant's annual

performance and the availability of funds. The project period for these awards are directly linked to the amount of time remaining on the applicant's HRSA Centers of Excellence project period. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: An initial contract provides assistance for a two-year period, and a renewal contract provides assistance for an additional one- or two-year period. SBIR grants: Generally, Phase I awards are for six months, and Phase II awards are for two years. STTR grants: Generally, Phase I awards are for one year, and Phase II awards are for two years. All funds for any award must be obligated within five years from the date of the award.

**Reports:**

Annual progress and selected financial status reports for continuing projects and final reports on all projects upon conclusion are required. Endowment Grants: The NCMHD will exercise extended monitoring of a participant's annual progress towards meeting the objectives as outlined in the participant's five-year strategic plan for prioritizing the use of endowment income. These reports will extend five years beyond the last year of a participant's project period. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Participants must be periodically certified to have satisfactorily performed the duties of their positions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: There are no statutory audit requirements for this program.

**Records:**

Expenditures and other financial records must be retained three years from the day on which the grantee submits the last financial status report for the report period. HDR-LRP / ECR-LRP contracts: Applicant records will be retained for three years after rejection and participant records for six years after completion of final service obligation.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(1) Centers of Excellence grants: FY 07 \$58,038,000; FY 08 est \$48,289,000; and FY 09 est not reported. (2) NCMHD Research Endowment grants: FY 07 \$40,000,000; FY 08 est \$50,938,000; and FY 09 est not reported. (3) Health Disparities Loan Repayment (HDR) contracts: FY 07 \$9,092,000; FY 08 est \$9,092,000; and FY 09 est not reported. (4) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (ECR) contracts: FY 07 \$1,562,000; FY 08 est \$1,562,000; and FY 09 est not reported. (5) Research Infrastructure in Minority Institutions (RIMI) grants: FY 07 \$18,417,000; FY 08 est \$17,949,000; and FY 09 est not reported. (6) Minority Health and Health Disparities International Research Training (MHIRT) grants, formerly the Minority International Research Training Program (MIRT) previously managed by the NIH Fogarty International Center: FY 07 \$5,085,000; FY 08 est \$5,115,000; and FY 09 est not reported. (7) Community-Based Participatory Research grants (CBPR): FY 07 \$11,925,000; FY 08 est \$11,976,000; and FY 09 est not reported. (8) and (9) Small Business Innovation Research (SBIR) and Small Business Technology Transfer Grant Applications (STTR): FY 07 \$5,404,000; FY 08 est \$5,052,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

NCMHD expects the award ranges and average amounts for its programs to remain consistent in 2007. (1) Centers of Excellence grants: total awards made by the NCMHD ranged from \$227,521 to \$1,621,536; \$870,333. (2) Endowment grants: total awards made by the NCMHD ranged from \$937,500 to \$5,000,000; \$3,267,090. (3) HDR Loan Repayment program contracts: total awards made by the NCMHD ranged from \$3,906 to \$106,057; \$43,502. (4) ECR Loan Repayment program contracts: total awards made by the NCMHD ranged from \$4,199 to \$106,057; \$44,629. (5) Research Infrastructure in Minority Institution grants (RIMI): total awards made by the NCMHD ranged from \$417,287 to \$970,833; \$826,381. (6) Minority Health and Health Disparities Research International Research Training (MHIRT) grants: total awards made by the NCMHD ranged from \$145,794 to \$241,372; \$211,000. (7) Community-Based Participatory Research (CBPR) grants: total awards made by the NCMHD ranged from \$150,215 to \$710,014; \$479,280. (8) Small Business Innovation Research (SBIR) grants and (9) Small Business Technology Transfer (STTR) Grant Application: Typically, Phase I awards normally may not exceed \$100,000 total (direct costs, indirect costs and profit/fee) and Phase II awards normally may not exceed \$750,000. However, these award levels for time and amounts are statutory guidelines, not ceilings.

**PROGRAM ACCOMPLISHMENTS:**

(1) Centers of Excellence grants: NCMHD funded 26 or more new or

competing-renewal awards in FY 2007. (2) Research Endowments grants: NCMHD funded thirteen awards in FY 2007. (3) Health Disparities Loan Repayment (HDR) contracts: NCMHD funded an anticipated two hundred and seventy-eight for FY 2007. (4) Extramural Clinical Loan Repayment Program for Individuals from Disadvantaged Backgrounds (ECR) contracts: NCMHD funded forty new and renewal awards in FY 2007. (5) RIMI grants: NCMHD funded twenty-two awards in FY 2007. (6) MHIRT grants: NCMHD funded twenty-four awards in FY 2007 and FY 2008. (7) CBPR grants: NCMHD funded twenty-five awards in FY 2007. (8) SBIR and (9) STTR grants: NCMHD funded and co-funded an anticipated nineteen awards in FY 2007.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in 42 USC 271c-31 et. Seq.; 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; and miscellaneous program literature from the Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241. Additional loan repayment information can be obtained at [www.lrp.nih.gov](http://www.lrp.nih.gov). SBIR and STTR information can also be obtained from the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; and the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Grants: Director, Division of Extramural Activities and Scientific Programs, National Center on Minority Health and Health Disparities, National Institutes of Health, Department of Health and Human Services, 6707 Democracy Boulevard, Suite 800, MSC 5465, Bethesda, MD 20892; Telephone: (301) 402-1366. Centers of Excellence Program Director, Office of Scientific Programs (same address and telephone number). Community-Based Participatory Research Program: Chief, Office of Community-based programs (same address and telephone number). Endowment program: Program Director (same address and telephone number). HDR-LRP: Program Director (same address and telephone number). SBIR and STTR programs: Program Coordinator (same address and telephone number). Grants Management Contact: Grants Management Officer (same address and telephone number).

#### **Web Site Address:**

<http://www.ncmhd.nih.gov>. <http://www.nih.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) Centers of Excellence: (a) American Indian and Alaska Health Native Health Disparities Project; (b) A Research Center to Reduce Ethnic Disparities in End Stage Renal Disease; and (c) Appalachian Center of Translational Disparities Research; (d) The Connecticut Center for Eliminating Health Disparities among Latinos; (e) University of North Texas Health Science Center NCMHD Center of Excellence; (f) The NYU Center for the Study of Asian American Health; (g) and the Meharry NCMHD Center of Excellence for Health Disparities. (2) Endowment program: continuation of the Kansas University Medical Center Endowment Program for Disadvantaged Students. (3) and (4) HDR-LRP and ECR-LRP contracts: (a) Emotional Memory in Early Alzheimer Disease/Stressed Populations; and (b) Obesity Prevention Among Minority Children. (5) RIMI grant: Hispanic Health Disparities Research Center. (6) MHIRT grant: UAB Public Health/Biomedical International Research Program. (7) CBPR grant: (a) Project Grace: A Participatory Approach to Address Health Disparities in HIV/AIDS among African American Populations; (b) Partnership to Overcome Obesity in Hawaii; (c) Partnership for a Hispanic Diabetes Prevention Program; and (d) The Healing of the Canoe: The Community Pulling Together; (8) and (9) SBIR and STTR grants: (a) Sickle Cell Personal Medical Information Card; and (b) An Information Processing Program for High-Risk Parents and (c) healthcare-focused language software.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating all new grant and renewal grant applications include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; and the necessity of the budget components requested in relation to the proposed project, and the relevance and importance to the announced program objectives. HDR-LRP contracts: Applicants must be recommended for funding by the Special Emphasis Panel after a review of the applications based on: the appropriateness of the applicant's previous training and experience to prepare him/her for a career in health disparities research; the suitability of the applicant's proposed research activities in the two-year loan repayment period to foster a research career in health disparities; the assessment of the applicant's commitment to a research career in health disparities as reflected by the personal statement and the plan outlined to achieve those goals; the strength of recommendations attesting to the applicant's potential for a research career; the availability of appropriate scientific colleagues to achieve

and/or enhance the applicant's research independence; and the quality and appropriateness of institutional resources and facilities. SBIR and STTR grants: For Phase I grant applications, the criteria used are: the soundness and technical merit of the proposed approach; the qualifications of the proposed principal investigator, supporting staff, and consultants; the technological innovation of the proposed research; the potential of the proposed suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. For Phase II grant applications, the criteria used are: the degree to which the Phase I objectives were met and feasibility demonstrated; the scientific and technical merit of the proposed approach for achieving the phase II objectives; the qualifications of the proposed principal investigator, supporting staff and consultants; the technological innovation, originality, or societal importance of the proposed research; the potential of the proposed research for commercial application; the reasonableness of the budget requested for the work proposed; the adequacy and suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. All persons interested in any of the DHHS/NIH/NCMHD grant and/or contract program initiatives are strongly encouraged to carefully read the Request for Applications as they are announced annually in order to understand what is required for each unique program as well as meet each deadline in a timely manner.

### **93.308 EXTRAMURAL LOAN REPAYMENT FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS CONDUCTING CLINICAL RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act; Title IV, Subtitle D, Part G, Section 487E, as amended; Public Law 106-554; 42 U.S.C. 288-5.

#### **OBJECTIVES:**

To encourage the recruitment and retention of qualified health professionals from disadvantaged backgrounds to conduct clinical research. Clinical research consists of patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which the investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

#### **USES AND USE RESTRICTIONS:**

To provide repayment of existing educational loan debt incurred by health professionals from disadvantaged backgrounds engaged in clinical research. Recipients must execute a written contract agreeing to engage in such research for a minimum of two years. The Secretary of the Department of Health and Human Services, or the Secretary's designee, may grant extension contracts for a one-year or two-year period after the completion of the initial two-year contract, provided that the participant applies for an extension, continues to engage in qualified research, and there is sufficient repayable debt remaining.

#### **Applicant Eligibility:**

An applicant must: (1) be a United States citizen, national, or permanent resident; (2) have an M.D., Ph.D., Pharm.D., D.D.S., D.M.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) come from a disadvantaged background; (4) conduct research that is supported by a non-profit institution, foundation, professional society or U.S. government entity, (4) commit 50 percent or more of his/her time to clinical research; (5) have total qualifying educational debt greater than or equal to 20 percent of his/her institutional base salary at the time of award; (7) conduct research in accordance with applicable Federal, state and local law; (8) not be under any existing service obligations to Federal, State, or other entities, unless and until the existing service obligation is discharged or deferred during the period of program service; (9) not have Federal judgment liens against their property arising from a Federal debt from receiving Federal funds until all judgments have been paid in full or otherwise satisfied; (10) not be a full-time employee of a Federal government agency. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties are eligible to apply for loan repayment if they meet all other eligibility requirements; and (11) have the institution provide an assurance that the applicant will be provided research support for two years, that the applicant will engage in qualified clinical research for 50 percent of his/her time, that the funding foundation, professional society, or institution is considered to be non-profit pursuant to Section 501 of the

Internal Revenue Code or is a U.S. government entity, and certify the applicant's annual institutional base salary.

**Beneficiary Eligibility:**

Qualified health professionals from a disadvantaged background who conduct clinical research and who possess substantial unpaid educational debt relative to income will benefit from this program.

**Credentials/Documentation:**

An applicant must submit the following documentation electronically: (1) Applicant Information Statement; (2) Biosketch; (3) Personal Statement, which includes a discussion of career goals and academic objectives; (4) Description of Research Activities; (5) Contact Information of Three Recommenders; (6) Contact Information of Institution Official able to serve as the Institutional Contact; (7) On-line Certification; (8) Loan Information; (9) Notice of Grant/Award (or PHS 2271 for T32 recipients), if applying based on NIH support; and (10) Certification of Disadvantaged Background. The Research supervisor or mentor must electronically submit the following: (1) Recommendation; (2) Biosketch; (3) Assessment of the Research Activities Statement submitted by the applicant; (4) Description of the Research Environment; and (5) Training or Mentoring Plan. Recommenders must submit their recommendations electronically. Institutional Contacts must electronically submit a certification that: (1) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (2) assures that the applicant is or will be engaged in qualifying research for 50 percent of his/her time, i.e., not less than 20 hours per week; (3) certifies that the funding foundation, professional society, or institution is considered to be non-profit as provided under Section 501 of the Internal Revenue Code (26 U.S.C. 501) or is a U.S. government entity (Federal, state or local); and (4) provides the applicant's institutional base salary.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application for participation in the program can be obtained from [www.lrp.nih.gov](http://www.lrp.nih.gov) and should be submitted to the NIH office, which is responsible for the receipt of applications, in such form and manner as the Secretary or the authorized designee may prescribe.

**Award Procedure:**

All eligible and completed applications will be forwarded to the Special Emphasis Panel (SEP) for review. Awards will be made to those applications approved by the SEP, subject to the receipt of an appropriation and/or allocation of funds from the United States Congress, the NIH and/or NCMHD. All selections are subject to final approval by the Secretary or the authorized designee.

**Deadlines:**

Contact the National Center on Minority Health and Health Disparities listed below for application deadlines or visit the website located at [www.lrp.nih.gov](http://www.lrp.nih.gov).

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 6-8 months.

**Appeals:**

Applicants may question the substantive or procedural aspects of the review of their application by communicating with NCMHD staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

After the completion of the initial two-year contract, participants may apply for a one-year or two-year extension provided the participant continues to engage in qualified clinical research and has outstanding repayable debt remaining. Applications submitted for an extension are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

An initial contract provides assistance for a two-year period, and an extension contract provides assistance for a one-year or two-year period. Program payments will be made directly to lenders following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary or authorized designee.

**Reports:**

Participants must be periodically certified to have satisfactorily performed the duties of their positions.

**Audits:**

Not applicable. This program has no statutory audit requirements.

**Records:**

The NCMHD will retain applicant records for three years after rejection and participant records for six years after completion of final service obligation.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

FY 07 \$1,562,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The total dollar assistance for FY 05 for the 2-year contract period ranged from \$4,252.03 up to \$106,057 in loan repayments, and from ~\$3,000 up to ~\$28,000 in tax reimbursements. The average dollar assistance of awards made in FY 02 was ~\$45,000 in loan repayments and ~\$18,000 in tax reimbursements.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that NCMHD will make 35 awards for fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 106-554; Section 487E of the Public Health Service Act (42 U.S.C. 288-5).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Dr. Francisco Sy, National Center on Minority Health and Health Disparities, Loan Repayment Program, 6707 Democracy Boulevard, Suite 800, MSC 5465, Bethesda, MD 20892-5465. Telephone Number: (301) 402-1366. Fax: (301) 480-4049. Email: [SyF@ncmhd.nih.gov](mailto:SyF@ncmhd.nih.gov).

**Web Site Address:**

<http://www.ncmhd.nih.gov>.

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program; 93.209, Contraception and Infertility Research Loan Repayment Program; 93.923, Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936, National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program.

**EXAMPLES OF FUNDED PROJECTS:**

HIV-specific T-helper and CTL responses in viral vertically infected children; Evaluations of immunologic correlates of human papilloma virus infection and disease progression; Treatment in children with congenital heart disease; Oral disease and prevention amongst urban elderly populations; Psoriasis phenotype and atopic dermatitis; Genetic epidemiology and pathophysiological mechanisms of dyspepsia; Antiresorptive therapy for osteopenia associated with chronically immobilized children and adults with neuromuscular disease; Examining for the presence of local hypoxia in chondrosarcoma as a potential mechanism; Cognitive remediation program for childhood cancer survivors.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications/proposals include the assessment of the following: (1) personal statement; (2) proposed research project and its scientific merit (priority will be given to biomedical and behavioral researchers); (3) training plan and environment (which includes the research program, the facilities/environment, the mentor/advisor's training, the applicant's training); (4) loan debt ratio and any associated impediments that may affect the applicant's decision to pursue a research career; and (5) references.

## 93.310 TRANS-NIH RESEARCH SUPPORT

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301, as amended.

**OBJECTIVES:**

To provide support for new initiatives designed to address major opportunities and gaps in biomedical research that no single NIH institute could address alone, but which the agency as a whole can pursue to stimulate the progress of biomedical research and to catalyze changes that will serve to transform new scientific knowledge into tangible benefits for public health. Information on recent and current initiatives is available at <http://nihroadmap.nih.gov> and at <http://opasi.nih.gov>.

**TYPES OF ASSISTANCE:**

Project Grants; Training.

**USES AND USE RESTRICTIONS:**

To support research and other projects that will accelerate fundamental biomedical discovery and translation of that knowledge into effective prevention strategies and new treatments.

**Applicant Eligibility:**

Awards can be made to domestic, public or private, for-profit or nonprofit organization, university, college, hospital, laboratory, or other institution, including State and local units of government, and individuals. Some initiatives will accept applications from foreign organizations. Additional details on eligibility are specified in the Roadmap Grants and Funding Opportunities funding announcement, listed at <http://nihroadmap.nih.gov/grants/index.asp>.

**Beneficiary Eligibility:**

Institutions as described above.

**Credentials/Documentation:**

Applications must be submitted in compliance with instructions provided with each initiative.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**



Prepare and submit applications according to instructions provided in the applicable Roadmap Grants and Funding Opportunities announcement, located at <http://nihroadmap.nih.gov/grants/index.asp>. This program is subject to the provisions of 45 CFR 74 including applicable federal cost principles as referenced, the NIH Grants Policy Statement (rev. 11/2003), and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Application deadlines are specified in the Roadmap Grants and Funding Opportunities funding announcement, listed at <http://nihroadmap.nih.gov/grants/index.asp>.

**Range of Approval/Disapproval Time:**

The length of the review cycle is four to nine months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal (competing continuation, type 2) applications to Roadmap programs are not accepted unless specifically accepted by NIH staff.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least one year, with additional support (up to four more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds.

**Reports:**

Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Grants) FY 07 \$353,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$2,300 to \$3,800,000; \$620,000.

**PROGRAM ACCOMPLISHMENTS:**

IN FY 2004 and FY 2005, awards were made to support research projects that accelerate fundamental discovery and translation of that knowledge into effective prevention strategies and new treatments that will lead to better health for U.S. citizens. Lists of the awards that were made are available on the NIH Roadmap web site, at <http://nihroadmap.nih.gov/grants/fundedresearch.asp>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52. NIH Grants Policy Statement, (Rev.) December 1, 2003. The PHS 398 may be obtained from NIH's Extramural Research Home Page: <http://grants1.nih.gov/grants/oeer.htm>.

**Regional or Local Office:**

Financial or Grants Management contact as provided on the initiative, or Director, Office of Policy for Extramural Research Administration (OPERA), OER, NIH for award policy or application issues: 301-435-0938.

**Headquarters Office:**

Scientific/Research contact as provided on an initiative or Program Director, Office of Extramural Programs (OEP) for questions on program administration, 301-435-2690. Dr. Lisa Colpe, Acting Assistant Director for Roadmap Coordination, Office of the Director, National Institutes of Health, Bethesda, MD 20892; 301-402-7617.

**Web Site Address:**

<http://nihroadmap.nih.gov/>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

FY 2004 was the first year of the Roadmap program. Awards were made for health-related research projects that pertain to the mission of the Roadmap.

Lists of the awards made in FY 2004 and FY 2005 are available at <http://nihroadmap.nih.gov/grants/fundedresearch.asp>.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding decisions are based on scientific merit (42 CFR 52h) and program relevance. Scientific merit review encompasses: the peer review criteria detailed in the specific funding announcement, as well as the significance, approach, and innovation of the proposed research; the competency of the principal investigator; the adequacy of the resources and environment; the proposed budget and requested period of support; and, where applicable, the adequacy of the measures for protecting against adverse effects upon humans, animals, or the environment.

**93.342 HEALTH PROFESSIONS STUDENT LOANS, INCLUDING PRIMARY CARE LOANS/LOANS FOR DISADVANTAGED STUDENTS**

(HPSL/PCL/LDS)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Part C, Section 721-735, 42 U.S.C. 292q-292y; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved health discipline.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Funds on deposit can only be used for loans to eligible students pursuing a full-time course of study. The maximum amount a student may borrow is cost of attendance (including tuition, other reasonable educational expenses and reasonable living expenses). Third and fourth year medical and osteopathic medicine students may be eligible for additional funding to repay earlier higher-interest educational loans. The interest rate is 5 percent. Effective July 1, 1993, to be eligible for a Primary Care Loan (PCL), students of allopathic medicine and osteopathic medicine must meet financial need criteria and agree to enter and complete a residency training program in primary health care not later than 4 years after the date on which the student graduates from such school. The PCL borrower must also practice primary health care until the loan is repaid in full. To be eligible for Loans for Disadvantaged Students (LDS) students must meet the HPSL criteria and also be from a disadvantaged background as defined by the Secretary. A school must be carrying out a program for recruiting and retaining students from disadvantaged backgrounds, including racial and ethnic minorities and carrying out a program for recruiting and retaining minority faculty to be eligible for LDS funds. In addition, the school must agree to ensure that adequate instruction regarding minority health issues is in the curricula of the school. Health clinics must provide services to a significant number of individuals who are from disadvantaged backgrounds, including members of minority groups and enter into arrangements with one or more such clinics for the purpose of providing students of the school with experience in clinical services to such individuals. Secondary educational institutions and undergraduate institutions of higher education, to must enter into arrangements with one or more such institutions for the purpose of carrying out programs regarding the educational preparation of disadvantaged students, including minority students, to enter the health professions and recruit such individuals into the health professions. These institutions should also establish a mentor program for assisting disadvantaged students, including minority students, toward completion of the educational requirements for degrees from the school.

**Applicant Eligibility:**

Any accredited public or other nonprofit private school of medicine, dentistry, osteopathic medicine, optometry, podiatry, pharmacy, or veterinary medicine which provides a course of study leading to a degree of Doctor of Medicine or Doctor of Osteopathic Medicine for PCL borrowers, Doctor of Dentistry (or an equivalent degree), Doctor of Optometry (or an equivalent degree), Doctor of Podiatric Medicine (or an equivalent degree), Bachelor of Science in Pharmacy (or an equivalent degree), Doctor of Pharmacy (or an equivalent degree), or Doctor of Veterinary Medicine (or an equivalent degree) for HPSL and LDS borrowers. Additionally, the school must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific

Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Beneficiary Eligibility:**

A student applicant must have financial need and be enrolled; or accepted for enrollment in a school, as mentioned above; and pursuing a full-time course of study leading to a degree as specified above. A student applicant must be a citizen, national or lawful permanent resident of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

When Federal Capital Contribution funds are available for re-distribution, a Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans prior to the beginning of the academic year in which the award is to be utilized. Students are then notified by the school's financial aid office of approval or disapproval of loans at times determined by schools.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Approximately 2 months.

**Appeals:**

None.

**Renewals:**

Applications are required only for new schools.

**Formula and Matching Requirements:**

Allotment of funds is based on statutory formula which takes into account the ratio each school's enrollment bears to the enrollments of all schools making application for funds but never in excess of request of school. Under the Federal Capital Contribution method, a school must match Federal Capital Contribution with an amount equal to one-ninth of the funds drawn down.

**Length and Time Phasing of Assistance:**

The time required by a student to complete the necessary course of study leading to a degree and subject to the availability of funds.

**Reports:**

"Annual Operating Report" through electronic submission at <http://bhpr.hrsa.gov/dsa>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Federal Capital Contribution) FY 07 \$22,928,940; FY 08 est \$13,453,724\$; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

\$1,122,616 to \$3,311 for FY 07; Average: \$241,357 per institution (for FY 07)

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 support was provided to 13,817 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Jim Essel, Division of Health Careers Diversity and Development Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 8-429-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: 301-443-3288.

**Web Site Address:**

<http://bhpr.hrsa.gov/dsa>.

**RELATED PROGRAMS:**

84.038, Federal Perkins Loan Program Federal Capital Contributions.

**EXAMPLES OF FUNDED PROJECTS:**

PCL: (1) Long-term low-interest loans made to students of Allopathic Medicine, Osteopathic Medicine. HPSL/LDS: Long-term, low-interest loans made to students of Dentistry, Pharmacy, Optometry, Podiatric Medicine; and Veterinary Medicine; and (2) funds provided to Health Professions Schools to capitalize loan funds. LDS: First awards were made in September 1991.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.358 ADVANCED EDUCATION NURSING TRAINEESHIPS**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 811, 42 U.S.C. 296j, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for registered nurses enrolled in advanced education nursing programs to prepare nurse practitioners, clinical nurse specialists, nurse midwives, nurse anesthetists, nurse administrators, nurse educators, public health nurses and nurses in other specialties determined by the Secretary to require advanced education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds can only be used to pay all or part of the costs of tuition, books, and fees of the program of advanced nurse education, and reasonable living expenses of the individual during the period for which the traineeship is provided. No more than 10 percent of the traineeship funds may be obligated for individuals in doctoral degree programs. In direct costs and trainee travel are not allowed. Maximum period of support is limited to 36 months of full or part-time study for each graduate student. Nurse anesthetist students are only eligible for traineeship support during their first year.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education.

**Beneficiary Eligibility:**

The participating institutions select traineeship recipients. A candidate must be enrolled in an advanced education nursing program for preparation as a nurse practitioner, nurse-midwife, nurse anesthetist, clinical nurse specialist, public health nurse, nurse administrator, nurse educator, or other nurse specialty determined by the Secretary to require advanced education. The candidate must be pursuing a master's or doctoral degree, a combined RN to master's degree, nurse-midwifery certificate in existence on November 12, 1998, or a post-nursing master's certificate. The candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding

recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

Approximately 2 to 3 months after receipt of application.

**Appeals:**

None.

**Renewals:**

Applications must be submitted annually.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for (1) year.

**Reports:**

Annual financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-551.

**Obligations:**

FY 07 \$16,000,000; FY 08 \$16,000,000; and FY 09 est. \$16,000,000.

**Range and Average of Financial Assistance:**

FY 08: Range is \$1,829 to \$303,094; Average is \$50,633.

**PROGRAM ACCOMPLISHMENTS:**

For 2007, 347 awards were made; for 2008, 316 awards were made; and for 2009, 340 estimated awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Ms. Karen Breeden, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-C26, Parklawn Building, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects provide financial support to nursing students enrolled full-time or part-time in a nursing education program to cover the costs of tuition and fees, books and reasonable living allowance.

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.359 NURSE EDUCATION, PRACTICE AND RETENTION GRANTS**

(NEPR)and Faculty Development: Integrated Technology into Nursing Education and Practice Initiative (Faculty Development: ITNEP).

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 831, 42 U.S.C. 296p, as amended; Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

Grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity for nurse education, practice and retention to address the nursing shortage. There are three major priority areas (Education, Practice and Retention) and nine purposes associated with the three priority areas. Applicants must select and focus on one of these nine purposes in the grant application. The education priority areas are: Purpose E1) expanding enrollment in baccalaureate nursing programs; Purpose E2) developing and implementing internship and residency programs to encourage mentoring and the development of specialties; Purpose E3) providing education in new technologies, including distance learning methodologies. The practice priority areas are: Purpose P1) establishing or expanding nursing practice arrangements in non-institutional settings to demonstrate methods to improve access to primary health care in medically underserved communities; Purpose P2) providing care for underserved populations and other high-risk groups such as the elderly, individuals with HIV/AIDS, substance abusers, the homeless, and victims of domestic violence; Purpose P3) providing managed care, quality improvement, and other skills needed to practice in existing and emerging organized health care systems; Purpose P4) developing cultural competencies among nurses. The retention priority areas are: Purpose R1) career ladder bridge programs which promote career advancement for nursing personnel and registered nurses and; Purpose R2) enhancing patient care delivery systems through improving the retention of nurses and enhancing patient care. Faculty Development: Integrated Technology into Nursing Education and Practice Initiative (Faculty Development: ITNEP). The Health Resources and Services Administrations (HRSA) Bureau of Health Professions (BHPr), in partnership with the Office of Health Information Technology (OHIT), will administer the ITNEP. The purpose of this initiative is to provide support to nursing collaboratives for faculty development in the use of information and other technologies in order to expand the capacity of collegiate schools of nursing to educate students for 21st century health care practice. Nursing collaboratives will use healthcare information systems to enhance nursing education and practice, optimize patient safety, and drive improvements in health care quality. For this initiative, use of information and other technologies in nursing education and practice, includes, but is not limited to, informatics, telehealth, mannequin-based and patient simulators, computer-based instructions, virtual simulation, interactive simulated case studies, advanced 3D graphics, e-Learning technology, and other simulated or virtual methods to enhance nursing education and practice. Since no institution or organization currently offers the full spectrum of information and other technologies necessary to carry out this initiative, the nursing collaboratives must develop linkages and partnerships to undertake this initiative.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees.

**Applicant Eligibility:**

Eligible applicants are: accredited schools of nursing, health care facilities, or a partnership of such a school and a health care facility, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. For the E1 purpose that focuses on expanding enrollment in baccalaureate nursing programs, the only eligible applicant organizations are collegiate accredited school of nursing. Schools of nursing must be accredited by the National League for Nursing Accrediting Commission, Inc. (NLNAC), Commission on Collegiate Nursing Education (CCNE), and Department of Education deemed State Agencies to be considered eligible applicants. ITNEP: Eligible applicants are collegiate schools of nursing capable of carrying out the initiative's purposes. Eligible applicants must provide evidence that they have the capacity and infrastructure in place to carry out the program goals and objectives. Eligible applicants must provide a formal written agreement (See Program Definitions) demonstrating a collaboration with one or more academic health centers, schools of nursing, accredited public or private institutions of higher learning, or other public or private entities capable of carrying out the program goals and objectives. The roles and responsibilities of the collective partnership and of each partner must be clearly delineated.

**Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Credentials/Documentation:**



Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the third year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support, except for the following two legislative purposes: (1) establishing or expanding nurse practice arrangements and (2) enhancing patient care delivery systems which are for five years of support.

**Reports:**

A Uniform Progress Report (UPR) and Comprehensive Performance Management System (CPMS) Report must be submitted annually. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$35,343,422; FY 08 \$34,562,453; and FY 09 est \$34,000,000. ITNEP: FY 07 \$1,200,000 (2 competing and 2 non-competing awards); FY 08 est \$1,800,000 (2 competing and 4 non-competing awards); and FY 09 est \$2,400,000 (2 new competing and 6 non-competing awards).

**Range and Average of Financial Assistance:**

\$14,780 - \$564,280; \$250,000. ITNEP: \$295,000.

**PROGRAM ACCOMPLISHMENTS:**

Program provides support to strengthen capacity for nurse education and practice under three priority areas: Education, Practice and Retention. Program supports academic, service and continuing education projects to strengthen the nursing workforce and improve nurse retention and quality of patient care. In FY07, 95 non-competing continuations and 39 new awards will be issued. It is estimated that 91 non-competing continuations and 28 new awards will be issued in FY08. ITNEP: In FY 07, 2 new projects and 2 non-competing continuation projects were funded. In FY 08 2 new projects and 4 non-competing continuation projects were funded. In FY 09 projected 2 new projects and 6 non competing continuation projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Dr. Janice Young, CAPT Catherine Rupinta and CDR Daniel Reed, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-6193. ITNEP: Capt. Young Song, Sr. Program Management Officer, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Room 8C-26, Rockville, MD 20857, 301-443-6333, Fax: 301-443-0791.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch; Telephone: (301) 443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The focus of the funded projects is to strengthen and enhance the capacity for nurse education, practice and retention to address the nursing shortage by: expanding enrollment in baccalaureate nursing programs; developing and implementing internship and residency programs; providing education in new technologies, including distance learning methodologies; establishing or expanding nursing practice arrangements; providing care for underserved populations and other high-risk groups; providing managed care, quality improvement, and other skills needed to practice in existing and emerging organized health care systems; developing cultural competencies among nurses; creating career ladder bridge programs which promote career advancement for registered nurses and nursing personnel; and enhancing patient care delivery systems through improving the retention of nurses and enhancing patient care. ITNEP: Duke University, Board of Regents of University of Wisconsin System, and University of Pittsburg.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

## 93.361 NURSING RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 483, 484, and 487, as amended, Public Law 99-158; Small Business Research and Development Act of 1992, Public Law 102-564.

**OBJECTIVES:**

The National Institute of Nursing Research supports and conducts clinical and basic research and research training on health and illness across the lifespan. The research focus encompasses health promotion and disease prevention, quality of life, health disparities, and end-of-life. NINR seeks to extend nursing science by integrating the biological and behavioral sciences, employing new technologies to research questions, improving research methods, and developing the scientists of the future. NINR accomplishes its mission through research on preventing, delaying the onset, and slowing the progression of disease and disability. This includes (a) finding effective approaches to achieving and sustaining a healthy lifestyle and preventing diseases and disability; (b) improving the quality of life for patients, families, and informal caregivers by enhancing the individual's role in managing disease and disability, relieving symptoms, and improving outcomes; (c) eliminating health disparities, including disparities based on race/ethnicity, gender, socio-economic status, geography, cultural factors, and disability, and (d) addressing issues at the end of life, improving palliative care, enhancing the quality of life for the dying patient, and supporting family and informal caregivers. These efforts are crucial in translating scientific advances into cost-effective health care that does not compromise quality. NINR accomplishes its mission by supporting grants to universities and other research organizations as well as by conducting research intramural at laboratories in Bethesda, Maryland. The research fosters interdisciplinary collaborations to ensure a comprehensive approach to research on illness and disabling conditions. This approach is especially relevant in research aimed at developing interventions that address the needs of diverse populations across the life span, adapting and generating new technologies,

integrating biological and behavioral science, improving methods for future scientific discoveries. In addition, the Institute supports comprehensive research training programs to prepare individuals with requisite interdisciplinary skills to conduct nursing research. Small Business Innovation Research (SBIR) program: NINR seeks to expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation Small Business Technology Transfer (STTR) program: Through this program, NINR seeks to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Centers Program: To promote interdisciplinary research, offer an environment for research training and career development, and concentrate research through Centers for Nursing Research.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Research Grants: Funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. National Research Service Awards (NRSAs) (Individual): Individual awards are made to institutions on behalf of the individual for research training in specified areas related to the mission of NINR. NRSAs (Institutional): Grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship on an NRSA award must comply with all applicable service and payback provisions. SBIR Phase I grants: (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

#### **Applicant Eligibility:**

Research Grants: Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply. NRSAs (Individual): An applicant must be a registered professional nurse with either a baccalaureate and/or a master's degree in nursing or a related field and must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. NRSAs (Institutional): An eligible institution must be capable of providing predoctoral and/or postdoctoral research training opportunities for nurses. SBIR grants: can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Individuals and public or private institutions.

#### **Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. NRSAs (Individual): The applicant's academic record, research experience, citizenship, licensure as a registered nurse, and institutional sponsorship should be documented in the application. NRSAs (Institutional): The applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular A-21,

Cost Principles for Educational Institutions and OMB Circular A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR, Phase I and Phase II. Application is made electronically through Grants.gov (<http://www.grants.gov>).

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (rev. 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

#### **Award Procedure:**

Research Grants and NRSAs (Institutional): All accepted applications are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. (Individual NRSA applications are not reviewed by council.) All applications favorably recommended compete for available funds on the basis of scientific merit and mission/program relevance. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, mission/program relevance, and program balance among the areas of research.

#### **Deadlines:**

Research Grants: New R01 -- February 5, June 5, and October 5; Renewal R01 - - March 5, July 5, and November 5. New R03, R21 -- February 16, June 16, October 16; Resubmission R03, R21 -- March 16, July 16, November 16. New and Resubmission R15 --February 25, June 25, October 25: Individual NRSAs: April 8, August 8, and December 8. Institutional NRSA's: May 25 only. SBIR and STTR: April 5, August 5, and December 5. AIDS-Related grants: May 7, September 7, and January 7. For details on submission dates, see the following website: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

#### **Range of Approval/Disapproval Time:**

Research Grants: From 6 to 9 months. NRSAs: From 6 to 9 months. SBIR/STTR: About 7-1/2 months. AIDS Grants: About 6 months.

#### **Appeals:**

Research Grants: A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the NINR.

#### **Renewals:**

Research Grants: Renewal applications are accepted. NRSAs: Awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Research Grants: Awards are usually made annually with no project periods to exceed 5 years in length. NRSAs: Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Progress reports and financial status reports where applicable are required annually for continuing projects. Final reports including the financial status report on all projects are required within 90 days after their conclusion. Recipients of NRSAs are required to file termination reports to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for 3 years or longer if not audited or audit findings have not been resolved.

**Account Identification:**

75-0889-0-1-552.

**Obligations:**

(Research Grants) FY 07 \$110,914,000; FY 08 est \$110,967,000; and FY 09 est \$110,840,000. (National Research Service Awards (NRSA) FY 07 \$10,088,000; FY 08 est \$10,088,000; and FY 09 est \$10,154,000.

**Range and Average of Financial Assistance:**

(Research Grants) \$3,000 to \$717,109; \$337,000. (NRSAs) Individual Awards \$3,778 to \$55,152; \$33,000. Institutional Awards \$46,352 to \$481,559; \$314,000.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, 329 research grants were awarded. For FY 2007, 92 NRSA Individual FTTPs were awarded and 154 NRSA Institutional FTTPs were awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program areas are as follows: Chronic conditions and infectious diseases, including health issues of individuals with arthritis, diabetes, urinary incontinence, digestive disorders, and musculoskeletal disorders; Health behavior and minority health, including studies of health disparities, women's health, men's health, and health and risk behaviors research; Cardiopulmonary and critical care science, including research on responses to acute cardiovascular events, chronic management of cardiovascular disease, and responses to acute and chronic pulmonary conditions such as COPD, asthma, and other non-infection-caused conditions; Neuroscience, including research on symptom management and/or prevention of cognitive deficits, neurological conditions, and informal caregiving for persons with these conditions; HIV/AIDS and oncology, including symptom management, self-management, and caregiving of patients with cancer, HIV/AIDS, and immune disorders; Reproductive, child, and family health, including reproduction and child bearing issues, infant development and illness, child and adolescent health promotion and risk reduction, and family health; End of life and long term care, including clinical management of physical and psychological symptoms, communication, ethics and clinical decision-making, caregiver support, and care delivery issues at the end of life. Program Contact is Dr. Yvonne Bryan, Acting Chief, Office of Extramural Programs. Address: National Institute of Nursing Research, National Institutes of Health, Room 710, One Democracy Plaza, 6701 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-6906. Grants Management Contact is Mr. Brian Albertini, Grants Management Officer, National Institute of Nursing Research, National Institutes of Health, Room 710, One Democracy Plaza, 6701 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-6869. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov/ninr>.

**RELATED PROGRAMS:**

93.226, Research on Healthcare Costs, Quality and Outcomes; 93.242, Mental Health Research Grants; 93.359, Nurse Education, Practice and Retention Grants; 93.399, Cancer Control; 93.866, Aging Research.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Reducing Environmental Risk to Rural Low Income Families; (2) Genetics, Environment and Weight Gain Post-transplant; (3) Preterm Birth: Psychoneuroimmunology in Hispanics; (4) Pain Rehabilitation: Patient Centered Outcomes; (5) Mother-Administered Interventions for VLBW Infants; (6)

Mitochondrial Genetics of Recovery After Brain Injury; (7) Estrogen and Testosterone in Experimental Stroke; (8) Family-to-Family: Psychoeducation to Improve Children's Outcomes in HIV+ Families; (9) Improving patient outcomes in end-of-life care provided by physicians and nurses.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PIs? (3) Innovation: Is the project original and innovative? Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches or methodologies, tools, or technologies for this area? (4) Investigators: Are the PD/PIs and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level(s) of the principal investigator(s) and other researchers? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? (5) Environment: Do(es) the scientific environment(s) in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment(s), or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications (formerly revised/amended applications): Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for care and use of vertebrate animals to be used in the project will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. Applications compete for available funds with all other recommended applications. The following will be considered in making funding decisions: Scientific merit of the proposed project as determined by peer review; Availability of funds; Relevance of program priorities. The following criteria will be used in considering the scientific and technical merit of all SBIR/STTR grant applications: Significance: Does the proposed project have commercial potential to lead to a marketable product, process or service? Does this study address an important problem? What may be the anticipated commercial and societal benefits that may be derived from the proposed research? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? Does the application lead to enabling technologies (e.g., instrumentation, software) for further discoveries? Will the technology have a competitive advantage over existing/alternate technologies that can meet the market needs? Approach: Are the conceptual or clinical framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Is the proposed plan a sound approach for establishing technical and commercial feasibility? Are the milestones and evaluation procedures appropriate? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PDs/PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PDs/PIs? Innovation: Is the project original and innovative? For example: Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches, methodologies, tools, or technologies for this area? Investigator(s): Are the PD/PI(s) and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the PD/PI(s) and other researchers, including consultants and subcontractors (if any)? Do the PD/PIs



and investigative team bring complementary and integrated expertise to the project (if applicable)? Are the relationships of the key personnel to the small business and to other institutions appropriate for the work proposed?

Environment: Do(es) the scientific and technological environment in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment, or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? Is there sufficient access to resources (e.g., equipment, facilities)? In addition to the above criteria, Phase II grant applications will be reviewed based upon the following criteria: 1. How well did the applicant demonstrate progress toward meeting the Phase I objectives, demonstrating feasibility, and providing a solid foundation for the proposed Phase II activity? 2. Did the applicant submit a concise Commercialization Plan that adequately addresses the specific areas described in the SF424 (R&R) SBIR/STTR Application Guide and the SBIR/STTR Information component? 3. Does the project carry a high degree of commercial potential, as described in the Commercialization Plan? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications: Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for their care and use will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. SBIR/STTR applications compete for available funds with all other recommended SBIR/STTR applications. The following will be considered in making funding decisions: Scientific and technical merit of the proposed project as determined by peer review; Availability of funds; Relevance of the proposed project to program priorities.

### 93.364 NURSING STUDENT LOANS

(NSL)

#### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Public Health Service Act, Title VIII, Section 835-842, 42 U.S.C. 297a-i, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### OBJECTIVES:

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved health discipline.

#### TYPES OF ASSISTANCE:

Direct Loans.

#### USES AND USE RESTRICTIONS:

The maximum amount a student may borrow is \$2,500 for an academic year for each of the first two years, \$4,000 for each of the final 2 years, or the amount of the student's financial need, whichever is less. The total is limited to \$13,000. Loans to full and half-time nursing students who are citizens, nationals, lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, the American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated States of Micronesia. Funds are made to schools of nursing to capitalize loan.

#### Applicant Eligibility:

All accredited public and nonprofit private schools of nursing that prepare students for practice as registered or graduate nurses, and that do not discriminate against students because of race, color, origin, sex, or handicapping conditions, are eligible to apply for funds to be disbursed to qualified nursing students.

#### Beneficiary Eligibility:

The Nursing Student Loan Program provides financial assistance to nursing students who are citizens, nationals or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated State of Micronesia.

#### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued

under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### Preapplication Coordination:

This program is excluded for coverage under E.O. 12372.

#### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

#### Award Procedure:

The Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans prior to the beginning of the academic year in which the award is to be utilized. Student is notified by student aid office of approval or disapproval at times determined by schools.

#### Deadlines:

Students should contact the schools financial aid office for application deadline.

#### Range of Approval/Disapproval Time:

Approximately 3 months.

#### Appeals:

None.

#### Renewals:

Applications are required for new schools.

#### Formula and Matching Requirements:

Schools participating in loan programs must match the Federal contribution with an amount not less than one-ninth of the Federal allotment.

#### Length and Time Phasing of Assistance:

Length and time of assistance depends upon the time required by the student to complete the necessary course of study leading to a degree and is subject to availability of funds.

#### Reports:

"Annual Operating Report" through electronic submission at <http://bhpr.hrsa.gov/dsa>.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### Account Identification:

75-0350-0-1-550.

#### Obligations:

FY 07 \$2,122,268; FY 08 est \$1,562,835; and FY 09 est \$2,000,000.

#### Range and Average of Financial Assistance:

\$1,274 to \$112,767 (FY 07 Actual).

#### PROGRAM ACCOMPLISHMENTS:

Awards were made to 79 nursing schools in FY 07.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### Regional or Local Office:

Tyson Nakashima, Division of Health Careers Diversity and Development, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Department of Health and Human Services, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use same number for FTS.

#### Headquarters Office:

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

#### Web Site Address:

[www.hrsa.gov](http://www.hrsa.gov).

#### RELATED PROGRAMS:

84.038, Federal Perkins Loan Program\_Federal Capital Contributions; 84.063, Federal Pell Grant Program.

#### EXAMPLES OF FUNDED PROJECTS:

(1) Long-term, low-interest loans made to nursing students; and (2) funds

provided to schools of nursing to capitalize loan funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements.

**93.365 SICKLE CELL TREATMENT DEMONSTRATION PROGRAM**

(SCTDP)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 712(c) of the American Jobs Creation Act of 2004, Public Law 103-357.

**OBJECTIVES:**

To support demonstration projects for the development and establishment of systemic mechanisms and partnerships to enhance the prevention and treatment of sickle cell disease (SCD) through coordination of service delivery, genetic counseling and testing, bundling of technical services, training of health professionals, and patient and provider education.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved projects in accordance with Section 712 of the Public Law 103-357.

**Applicant Eligibility:**

Eligible entities include, Federally-qualified health center, as defined in section 1905(10(2)(B) of the Social Security Act (42 U.S.C. 1396d(10(2)(B)), nonprofit hospital or clinic, or university health center that provides primary health care, that: (1) has a collaborative agreement with a community-based Sickle Cell Disease organization or a nonprofit entity with experience in working with individuals who have Sickle Cell Disease; and (2) demonstrates that either the Federally-qualified health center, the nonprofit hospital or clinic, the university health center, the community-based Sickle Cell Disease organization or the Sickle Cell Disease experts who serve as consultants to the project have at least 5 years of experience in working with individuals who have Sickle Cell Disease.

**Beneficiary Eligibility:**

Projects will benefit individuals with Sickle Cell Disease and health professionals who provide care for individuals with Sickle Cell Disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Project applications are reviewed by a review committee of experts and persons with SCD or their family members who are generally nongovernmental. Applications are reviewed based on their merit, and are ranked according to the priority score the committee has assigned. Final decisions regarding funding are made by the Associate Administrator for Maternal and Child Health.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 2-3 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System.

**Reports:**

Annual program reports, annual financial status reports, annual program service reports and special reports as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,278,832; FY 08 est \$1,469,216; and FY 09 est \$1,205,000.

**Range and Average of Financial Assistance:**

\$318,832 to \$320,000; \$319,708.

**PROGRAM ACCOMPLISHMENTS:**

Four regional Sickle Cell Disease Collaborative Networks (Networks) were funded in FY 2006, the first year of the program. The coordinating center, along with the four grantees and a steering committee are developing the project plan as a means of completing a report to Congress that includes: 1) the identification of a model protocol for implementing the recommendations of Congress regarding changes that should be made in health care and health education to persons with sickle cell disease, as well as in methods of screening for persons having the disease or are carriers; 2) the procedures for implementing this protocol at the four grantee sites; and 3) the set of methods for evaluating the degree of success that each grantee has attained and the overall effectiveness of the SCDTDP. Support is provided through on-going technical assistance, information exchange; materials review and development; collection, coordination, and distribution of program data, best practices, and findings and sustaining partnerships.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Office: Michele A. Lloyd-Puryear, MD, PhD, Genetic Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-19, 5600 Fishers Lane, Rockville, MD 20857; Telephone: (301) 443-1080.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110, Maternal and Child Health Federal Consolidated Programs.

**EXAMPLES OF FUNDED PROJECTS:**

University of Cincinnati, Ohio Medical Center: Christian Community Health Centers, Chicago, Illinois: Stedman-Wade Health Services Inc. in Wade, North Carolina; and Health Services Inc. in Montgomery, Alabama.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits.

**93.389 NATIONAL CENTER FOR RESEARCH RESOURCES**

(DBT, DCRR, DCM, DRI)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Titles III and IV, Sections 301, 479, 480, and 487 as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 287, 287a, and 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

The National Center for Research Resources (NCRR) provides laboratory scientists and clinical researchers with the environments and tools they need to understand, detect, treat, and prevent a wide range of diseases. This support

enables discoveries that begin at a molecular and cellular level, move to animal-based studies, and then are translated to patient-oriented clinical research, resulting in cures and treatments for both common and rare diseases. NCRR connects researchers with one another and with patients and communities across the nation to harness the power of shared resources and research.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

The Division of Biomedical Technology supports research, development and access to sophisticated technologies at resource centers nationwide which assist academic, nonprofit organizations in the development, use, and dissemination of innovative technologies useful for the advancement of biomedical science. Awards are provided under a variety of funding mechanisms composed of Biomedical Technology Resource(BTR) grants, Research Project Grants, Shared Instrumentation Grants (SIG), High End Instrumentation (HEI) Program and other mechanisms, such as Exploratory Grants to develop new technologies for biomedical research, Small Business Innovation Research (SBIR) grants, and Small Business Technology Transfer (STTR) grants. The Division for Clinical Research Resources makes it possible to apply knowledge gained through basic research to the development of lifesaving drugs, devices, and therapies that protect the health of our nation's citizens by providing research infrastructure for clinical investigators. These specialized institutional resources are equipped to be flexible and responsive to changing scientific and economic environments and to unforeseen research challenges. The Division for Clinical Research Resources helps translate scientific knowledge into effective patient care through General Clinical Research Centers (GCRC), Research Career Development (K23, K24), Clinical Research Curriculum Award (CRCA, K30), Mentored Clinical Research Scholar (CRS) Program (K12), National Gene Vector Laboratories (NGVL), Clinical Research-related activities, Small Business Innovation Research (SBIR) grants and Small Business Technology Transfer (STTR) grants; and improves pre-college science education and the public's understanding of science through the Science Education Partnership Award (SEPA) Program. Additionally, a new consortium, funded through Clinical and Translational Science Awards (CTSAs), will transform how clinical and translational research is conducted, ultimately enabling researchers to provide new treatments more efficiently and quickly to patients. The Division of Comparative Medicine supports research and resource projects, as well as centers that enable biomedical scientists to use high quality, disease-free animals effectively in research on human health problems. Support is also available for the development of a wide range of other research models, particularly marine invertebrates and lower vertebrates, and access to an array of important biological materials. These objectives are accomplished through activities of National Primate Research Centers (NPRC), Laboratory Animal Science (LAS), and Biological Models and Materials Research (BMMR). The Division of Research Infrastructure addresses the under representation of minority investigators; enhances the research environment at minority colleges and universities in the health sciences; broadens the geographic distribution of research grant funding to states with historically low NIH success rates; and improves biomedical research facilities through matching grants for construction and renovation. These objectives are accomplished through activities of the Research Centers in Minority Institutions (RCMI) program, the RCMI Clinical Research Infrastructure Initiative (RCRII), the Institutional Developmental Award (IDeA), the Research Facilities Improvement Program (RFIP), and the Animal Facilities Improvement program.

#### **Applicant Eligibility:**

BTR Grants: Nonprofit health professional schools; other academic institutions; hospitals; State and local health agencies; and research organizations with programs in biomedical technology research located in the United States and its territories. SIG and HEI awards will be made to institutions only, not to individuals. GCRC and CTSAs grants: schools, research hospitals, and other institutions capable of carrying out well-designed studies in any preclinical or clinical science involving human beings as research subjects in conjunction with investigators funded through the National Institutes of Health (NIH) and other Federal agencies. Research Career Development: Applications may be submitted on behalf of candidates by domestic, nonfederal organizations, public or private institutions of higher education. Clinical Research Scholar Program Award: Applications will be accepted from domestic, nonprofit organizations, public and private institutions of higher education that have strong, well-established clinical research and training program. SEPA: Public and private for-profit and nonprofit institutions and museums. DCM: Institutions of higher education, hospitals, and other institutions and organizations, both nonprofit and for-profit, seeking to establish, continue, or enlarge programs consistent with the objectives of the program. Applicants for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institutional NRSA. RCMI: Institutions with more than 50 percent minority enrollment that award an M.D., D.D.S., D.V.M., or other doctoral degree in the health professions and/or a Ph.D. in the health-related sciences. This program is open only to institutions within

the United States and its territories. RCRII: RCMI eligible institutions affiliated with medical schools. IDeA: Domestic public and private for profit and nonprofit institutions in States in which the success rate for applications to the NIH has been historically low. RFIP and Animal Facilities Improvement: Except where otherwise prohibited by law, any nonprofit organization competent to carry out biomedical research.

#### **Beneficiary Eligibility:**

Biomedical investigators at any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

SIG, HEI: A major user group of three or more investigators should be identified. Each major user must have NIH peer-reviewed research support at the time of the award. The application must show a clear need for the instrumentation by projects supported by multiple NIH research awards and demonstrate that these projects will require at least 75 percent of the total usage of the instrument. Applications for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institution NRSA. RCMI, RCRII, and CCRE: Applicants must certify eligibility (see Applicant Eligibility requirements). IDeA, and Animal Facilities Improvement: None. RFIP: Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, The National Environmental Policy Act, and listing of all relevant licenses, permits or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular Nos. A-122, "Cost Principles for Nonprofit Organizations," and in the case of SIG & HEI No. A-87 for State and local governments or A-21 for Educational Institutions, and HHS Regulations 45 CFR, Part 74, Subpart Q.

#### **Preapplication Coordination:**

All programs not applicable, except RFIP. Program staff is available for consultation. Programs are excluded from coverage under E.O. 12372. RFIP: The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. An environmental impact statement and assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires when applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Application forms may be obtained from the Division of Extramural Outreach and Information, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone (301) 435-0714, e-mail: ASKNIH@odrockml.od.nih.gov. Completed applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, MSC 7710, Bethesda, MD 20892-7710. The standard application forms PHS 398, (Rev. November 1998), as furnished by PHS and required by 45 CFR, Part 92, and OMB Circular No. A-110 must be used for all programs. For filing NRSA individual fellowship award applications, Form 416-1 (Rev. October 1991) is needed. GCRC: Special instructions for preparing applications should be requested from the Division for Clinical Research Resources, One Democracy Plaza, 6701 Democracy Blvd., National Center for Research Resources, National Institutes of Health, Bethesda, MD 20892-4874. RFIP: Construction applications are to be submitted on a Standard Form 424, Application for Federal Assistance.

#### **Award Procedure:**

The initial review of applications from eligible investigators and institutions is reviewed by committees comprised of authorities in various fields of biomedical research and science education, as appropriate. Each application is given a peer evaluation for merit, and recommendations are forwarded to the National Advisory Research Resources Council for final review and recommendation.

#### **Deadlines:**

New applications and Resource Center renewals: February 1, June 1, and October 1. Other Competing Renewals: March 1, July 1, and November 1. NRSA Applications: Individual Fellowships - April 5, August 5, and December 5. All others: See current RFA or PA or Contact.

#### **Range of Approval/Disapproval Time:**

From 6 to 9 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of their application by communicating with the NCRR staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### **Renewals:**

K23, K24, SIG, HEI, Animal Facilities Improvement, and RFIP: None. All others may be renewed upon successful reapplication.

#### **Formula and Matching Requirements:**

RFIP and Animal Facilities Improvement: NCRR will award up to 50 percent of



the eligible costs, except for National Primate Research Centers for which the Federal share is 80 percent. Up to 25 percent of appropriated funds are targeted to Centers of Excellence. Matching funds from nonfederal sources are required. Even though matching funds are required, in unusual and compelling circumstances the NCRR Director may waive some or all of the requirement for nonfederal matching funds. All other programs: None.

**Length and Time Phasing of Assistance:**

All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated within 5 years from the date of award.

**Reports:**

Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the final financial status report for the report period.

**Account Identification:**

75-0848-0-1-552.

**Obligations:**

(Grants) Research Projects: FY 07 \$64,879,000; FY 08 est \$68,621,000; and FY 09 est not reported. Clinical Research Resources Centers: FY 07 \$200,893,000; FY 08 est \$160,626,000; and FY 09 est not reported. Clinical and Translational Science Awards: FY 07 \$112,351,000; FY 08 est \$157,672,000; and FY 09 est not reported. Special Comprehensive Centers: FY 07 \$217,879,000; FY 08 \$210,701,000; and FY 09 est not reported. Biomedical Technology Research Centers: FY 07 \$74,261,000; FY 08 est \$71,097,000; and FY 09 est not reported. Comparative Medicine Centers: FY 07 \$113,315,000; FY 08 est \$109,148,000; and FY 09 est not reported. Research Centers in Minority Institutions: FY 07 \$52,241,000; FY 08 est \$50,519,000; and FY 09 est not reported. Other Research: FY 07 \$227,497,000; FY 08 \$185,690,000; and FY 09 est not reported. Research Training: FY 07 \$5,411,000; FY 08 est \$5,411,000; and FY 09 est not reported. Research and Development Contracts: FY 07 \$47,157,000; FY 08 est \$50,142,000; and FY 09 est not reported. Construction: FY 07 \$0; FY 08 est \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Research Project Grants: \$14,000 to \$1,558,000; Research Centers: \$7,000 to \$12,218,000; Other Research: \$4,000 to \$2,505,000; Research Training Grants: \$69,000 to \$389,000; Research and Development Contracts: \$4,000 to \$4,103,000; Construction: \$250,000 to \$4,278,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, it is estimated that there will be 109 and in FY 2008, 120 grants. It is estimated that there will be 71 Clinical Research Resource Center awards in FY 2007 and 64 in FY 08. It is estimated that there will be 14 Clinical and Translational Science awards in FY 2007 and 18 in FY 2008. It is estimated there will be 56 Biomedical Technology Resource Centers awards in FY 2007 and FY 2008. It is estimated that there will be 94 Special Comprehensive Centers in FY 2007 and 93 in FY 2008. It is estimated that there will be 49 Comparative Medicine Centers in FY 2007 and FY 2008. It is estimated that there will be 28 Research Centers in Research Infrastructure in FY 2007 and FY 2008. It is estimated that there will be 554 Other Research Grants in FY 2007 and 45 in FY 2008. It is estimated that there will be 132 Full Time Training Positions in FY 2007 and FY 2008. It is estimated that there will be 69 Development Contracts in FY 2007 and FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BT: OMB Circular No. A-21, "Cost Principles for Educational Institutions." Reference: 44 FR 12368, March 6, 1979; Rev. No. 1, 47 FR 33658, August 3, 1982; Rev. No. 2, 51 FR 20908, June 9, 1986. OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." Reference: 41 FR 32016, July 30, 1976. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." OMB Circular No. A-128, "Audits of State and Local Governments"; Reference: Public Law 98-502, the Single Audit Act of 1984. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local

Governments"; Reference: 34 CFR 255. 45 CFR 92. Reference: 42 FR 45828. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." Reference: 45 FR 46022, July 8, 1980. 45 CFR 74; 42 CFR 52h. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal Regulations at 42 CFR 52 and 42 USC 241. Department Staff Manual "Grants Administration"; Indirect Cost Register, DHHS; PHS Grants Policy Statement, DHHS Publications No. (OASH) 94-50,000, (Rev.) April 1, 1994; "NIH Grants Policy Guide," Office for Protection from Research Risks, NIH; "A Guide to Grant and Award Programs of the NIH"; and miscellaneous program literature from Headquarters Office.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contacts: Director, Division of Biomedical Technology, Telephone: (301) 435-0755; Director, Division for Clinical Research Resources, Telephone: (301) 435-0790; Director, Division of Comparative Medicine. Telephone: (301) 435-0744; Director, Research Infrastructure, Telephone: (301) 435-0788, National Center for Research Resources, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Grants Management Contact: Grants Management Officer, Office of Grants Management, National Center for Research Resources, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0844.

**Web Site Address:**

<http://www.ncrr.nih.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

BT: Supported research projects, biomedical technology resources, and exploratory grants that develop and disseminate complex techniques and equipment to the biomedical research community Examples include: (1) The analysis using synchrotron X-rays of the crystal structure of the myosin head that is the key to the contraction of muscle; (2) development of a two-photon laser method to directly explore chemical processes in living cells; and (3) use of a computer network and a super computer to remotely operate an electron microscope in real time and analyze the image. SIG: Types of instruments supported include but are not limited to: electron microscopes, NMR spectrometers, mass spectrometers, DNA sequencers, image analyzers, and computer graphics systems. CR: A typical center supports multiple projects from many disciplines, such as internal medicine, pediatrics, surgery, and obstetrics and gynecology. Projects may relate to all aspects of disease mechanisms and may include projects in nutrition, diabetes, growth and development, genetics, immunology, AIDS and other areas. SEPA: (1) improving the scientific knowledge base of current and prospective precollege teachers and teachers' instructional skills can be enhanced. (2) developing innovative materials, techniques, and/or curricula where there is a demonstrated lack of suitable materials and a need for scientific advice. (3) organizing and conducting programs to provide for laboratory experiences in the biological sciences for students from kindergarten through twelfth grade levels. (4) preparation and/or presentation of materials for biomedical/behavioral science education or for a media program on science. CM: Eight National Primate Research Centers are supported to provide special environments in models. They maintain colonies of over 18,000 animals, representing 32 species of nonhuman primates, for research and breeding purposes. Projects for the characterization and development of animal models were supported, but were limited to those that displayed potential for multi-categorical utilization. Projects that attempt to establish an animal model for a specific disease should be directed to the Institute/Center of NIH that supports categorical research in that area. The etiology and control of important naturally-occurring laboratory animal diseases have been studied. Biological Models and Materials Research Resource centers were supported to provide a large variety of materials to the research community. These centers acquire, authenticate, maintain, and distribute biomaterials to both basic researchers and clinical investigators. For example, resources distribute invertebrates such as squid, mollusks, and nematodes), cultures of microorganisms, cell lines, fungi, yeast, hybridomas, cloned genes, DNA probes and libraries, and recombinant DNA and oncogenes. Also supported is a project to collect data on the genes and metabolism of the bacterium Escherichia coli and to encode this information in a computer database that allows investigators to access genetic metabolic data in a graphic, user-friendly manner. RI: RCM: (1) Research Center for Gene Structure and Function; (2) Cellular and Molecular Basis of Development Research Center; (3) Neuroscience Center; and (4) Research Infrastructure for Scientific Excellence. RCRII: Research Infrastructure for Clinical and Collaborative Research. IDeA: Human Genetics Research Enhancement. RFIP: Developing and Improving Institutional Animal Resources. Institutional animal resource improvement projects were supported to assist institutions in upgrading and developing centralized animal resource programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its

objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. RFIP: Factors considered in making awards include the merit of the proposal, the needs of the institution, with special consideration for institutions designated as centers of excellence, the commitment of the institution, the availability of funds, and the overall program priorities.

### 93.392 CANCER CONSTRUCTION

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 413(b) 6(B); 42 U.S.C 285a and Section 414(b); 42 U.S.C 285, as amended; Public Law 100-607; Public Law 101-517; Public Law 90-190.

**OBJECTIVES:**

To renovate existing cancer research facilities and build new cancer research facilities to meet basic and clinical space requirements, laboratory safety, biohazard containment, and animal care standards in order to support the facility demands of National Cancer Institute (NCI) research programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

New physical resources for cancer research include basic research laboratories, clinical and support facilities, and those related to biohazard control that are integral parts of an overall effort. Proposed facilities must be part of an existing cancer research effort or a developing cancer research program. Facilities constructed may not be used to replace existing cancer research facilities. Facilities shall be used for research pertinent to cancer problems for as long as needed, usually 20 years. Funds must be used for purposes stated in the approved grant application.

**Applicant Eligibility:**

Any public or nonprofit agency, institution, organization, corporation, or association is eligible to apply for a grant for the construction of cancer research facilities, provided the institution's (1) Located in a State, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, the Trust Territory of the Pacific Islands, or Guam; (2) authorized by its governing body to apply for grants and to conduct cancer research and related activities; and (3) conducting NIH or NCI peer-reviewed cancer and/or cancer-related research. Examples include universities, colleges, hospitals, public agencies or nonprofit research institutions.

**Beneficiary Eligibility:**

Public and private nonprofit organizations and the public needing treatment for cancer will benefit.

**Credentials/Documentation:**

Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, the National Environmental Policy Act, and listing of all relevant licenses, permits, or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular No. A-21 for Educational Institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit institutions. For grants issued to hospitals, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals".

**Preapplication Coordination:**

Preapplication assistance is available from the address noted below under Information Contacts. The standard application forms (PHS 5161-1), as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. An environmental impact statement and assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application kits for construction programs can be obtained from Research Facilities Branch, Office of Centers, Training and Resources, Office of the Director, National Cancer Institute, 6120 Executive Boulevard, EPS-638, Bethesda, MD 20892, and returned to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Review procedure is according to NIH grant review procedures for research grants.

**Award Procedure:**

Awards are made annually following the meeting of the National Cancer

Advisory Board in September/October.

**Deadlines:**

February 1.

**Range of Approval/Disapproval Time:**

From 8 to 16 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. The National Cancer Institute (NCI) will award up to 50 percent of the eligible costs. Matching funds from nonfederal sources are required.

**Length and Time Phasing of Assistance:**

Construction must be completed within time specified in grant award. Funds will be released in proportion to construction completed.

**Reports:**

Grantee is responsible for performance of contractor. Contractor must be covered by performance and payment bonds. Grantees are required to file a Notice of Federal Interest at the time construction begins.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$0 to \$0; \$0.

**PROGRAM ACCOMPLISHMENTS:**

No awards were made in fiscal years 2007 and 2008. The NCI's construction grant program is not a very active program compared to the past because the National Center for Research Resources has become the effective focus at the NIH for construction grants; thus, the NCI works very closely with NCRR.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 38; PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (Rev.) October 1, 1990.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Mr. Daryl Paunil, P.E., Associate Director, (Acting) for Space and Facilities Planning, Office of Management, Office of the Director, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, 6116 Executive Boulevard, Suite 600 - MSC 8343, Bethesda, MD 20892-8343. Telephone: (301) 496-8534. Grants Management Contact: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, EPS-234 Bethesda, MD 20892. Telephone: (301) 496-7753. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

93.393, Cancer Cause and Prevention Research; 93.394, Cancer Detection and Diagnosis Research; 93.395, Cancer Treatment Research; 93.396, Cancer Biology Research; 93.397, Cancer Centers Support Grants; 93.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Construction of new basic research laboratories for cancer research; (2) construction of new clinical and support facilities for cancer research; (3) construction of facilities for cancer research related to biohazard control; (4) upgrading of existing basic research and animal facilities for cancer research; and (5) upgrading of existing clinical and support facilities for cancer research.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit of the total cancer program; (2) the degree of the applicant's program relevance to the National Cancer Program; (3) the special biohazard containment needs; and (4) the evaluation of the ongoing program for research

pertinent to cancer problems for at least 20 years; and (5) the evaluation of the proposed design and related cost.

### 93.393 CANCER CAUSE AND PREVENTION RESEARCH

#### FEDERAL AGENCY:

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Public Health Service Act, Sections 301 (c) and 410, Public Law 78-410, as amended, 42 U.S.C. 241; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### OBJECTIVES:

To identify those factors that cause cancer in man and to develop mechanisms for preventing cancer in man. The following research programs are included: epidemiology, chemical and physical carcinogenesis, biological carcinogenesis, nutrition, immunology, field studies and statistics, chemoprevention and organ site studies. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation on socially and economically disadvantaged small business concern and women-owned small business concern in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development and economically disadvantage small business concerns and women-owned small business concerns in technological innovation.

#### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

#### USES AND USE RESTRICTIONS:

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

#### Applicant Eligibility:

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concern (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant applicant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### Beneficiary Eligibility:

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research on cancer.

#### Credentials/Documentation:

Costs will be determined by OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan and idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

#### Preapplication Coordination:

Not applicable. This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

Application form PHS-398 (Rev. May 2001) is the standard form which can be obtained from the Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892-7910. Phone (301)435-1714, E-mail: ASKNIH@odrockml.od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Phone: (301) 206-9385; Fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

#### Award Procedure:

Grants and cooperative agreements are funded based on scientific merit, program relevance and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533-2) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### Deadlines:

New Grants: February 1, June 1, and October 1. Renewals and supplements: March 1, July 1, and November 1. Cooperative Agreements are usually submitted in response to a Request for Applications (RFA). The receipt date is stipulated in the RFA. SBIR: April 15, August 15, and December 15. STTR: April 1, August 1, and December 1.

#### Range of Approval/Disapproval Time:

(Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months.

#### Appeals:

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### Renewals:

Applications submitted for renewal must be reviewed and selected for funding on a competitive basis.

#### Formula and Matching Requirements:

This program has no statutory formula or matching requirements.

#### Length and Time Phasing of Assistance:

Grants and Cooperative Agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or Letter of Credit. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

#### Reports:

Progress reports are required each year. Annual financial status report is required 90 days after end of budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that



year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) For RPG: FY 07 \$666,422,000; FY 08 est \$654,988,000; and FY 09 est \$652,650,000. For SBIR/STTR: FY 07 \$8,914,000; FY 08 est \$9,422,000; and FY 09 est \$9,760,000.

**Range and Average of Financial Assistance:**

\$46,081 to \$4,773,855; \$381,467.

**PROGRAM ACCOMPLISHMENTS:**

Competing fiscal year 2007 RPG act. 491 awards which were 24.3 percent of applications received. Competing FY 2007 SBIR/STTR act. 23 awards which were 31.5 percent of applications received. Fiscal year 2008 est. 1,747 total awards and FY 2009 est. 1,711 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 74; 45 CFR 92; PHS Grants Policy Statement. No. (OASH) 94-50,000, (Rev.) April 1, 1994; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: For epidemiological and nutrition studies, field studies, and statistics; Dr. Ed Trapido, Associate Director, Epidemiology and Genetics Research Program, Division of Cancer Control and Population Sciences, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, 6130 Executive Blvd., EPN 5113B, Rockville, MD 20852. Phone: (301) 496-9600. For chemoprevention, organ site studies, and chemical, physical and biological carcinogenesis research; Dr. Peter Greenwald, Director, Division of Cancer Prevention, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, 6130 Executive Blvd., MSC 7309, Rockville, MD 20852. Phone: (301) 496-6616.

**Web Site Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>; <http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.394, Cancer Detection and Diagnosis Research; 93.395, Cancer Treatment Research; 93.396, Cancer Biology Research; 93.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:**

Cancer Cause and Prevention Research focuses on research programs in epidemiology, chemical and physical carcinogenesis, biological carcinogenesis, nutrition, chemoprevention and organ site studies. Examples of funded projects include the following: (1) A epidemiologic study of lung cancer and wood dust; (2) prostate cancer in relation to vasectomy; (3) mechanism of estrogen-induced breast carcinogenesis; (4) dietary fat, calories, and two-stage tumorigenesis; (5) mechanisms of radiation, chemical and/or biological carcinogenesis; (6) effects of radiation or chemical carcinogens on genetic material; (7) studies leading to development of vaccines against human cancer viruses; (8) role of the P53 tumor suppressor gene in human cancers of viral etiology; (9) investigations of HIV and their related viruses as etiologic factors or cofactors in the malignant sequelae of AIDS, including Kaposi's sarcoma and AIDS-associated lymphomas; and (10) a phase III chemoprevention clinical trial for prostate cancer (SELECT).

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7)

where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

## 93.394 CANCER DETECTION AND DIAGNOSIS RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, as amended, 42 U.S.C. 241; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To improve screening and early detection strategies and to develop accurate diagnostic techniques and methods for predicting the course of disease in cancer patients. Screening and Early Detection research includes development of strategies to decrease cancer mortality by finding tumors early when they are more amenable to treatment. Diagnosis research focuses on methods to determine the presence of a specific type of cancer; to predict its course and response to therapy, both a particular therapy or a class of agents; and to monitor the effect of the therapy and the appearance of disease recurrence. These methods include diagnostic imaging and direct analyses of specimens from tumor or other tissues. Support is also provided for establishing and maintaining resources of human tissue to facilitate research. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultants costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or organization, unit of tribal government, or a for-profit organization that submits an application and receives a grant or cooperative

agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. September 2004) or form SF424(R&R) (October 2005) is the standard form. Both can be obtained at <http://grants1.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically via Grants.gov. The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

**Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Grants: February 5, June 5, and October 5. Renewals and supplements: March 5, July 5, and November 5. These deadlines apply to the most frequently used grant mechanism. Other deadlines may apply; these will be specified in the Funding Opportunity Announcement on Grants.gov. Cooperative Agreements are usually submitted in response to a Request for Applications (RFA). The receipt date is stipulated in the RFA. SBIR and STTR Applications: April 5, August 5, and December 5.

**Range of Approval/Disapproval Time:**

(Regular Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects

of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) (RPG) FY 07 \$237,161,000; FY 08 est \$244,279,000; and FY 09 est \$240,131,000. For SBIR/STTR: FY 07 \$44,743,000; FY 08 est \$42,054,000; and FY 09 est \$38,779,000.

**Range and Average of Financial Assistance:**

\$54,315 to \$10,637,601; \$371,726.

**PROGRAM ACCOMPLISHMENTS:**

Competing FY 2007 RPG actual 203 awards which were 16.2 percent of applications received. Competing FY 2007 SBIR/STTR actual 56 awards which were 20.4 percent of applications received. Fiscal year 2008 est. 797 total awards and FY 2009 est. 796 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institute of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. Tracy G. Lively, Cancer Diagnosis Program, Division of Cancer Treatment and Diagnosis, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, 6130 Executive Boulevard, EPN-6035A Bethesda, MD 20892. Telephone: (301) 496-1591. Grants Management Contact: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, EPS-234, Bethesda, MD 20892. Telephone: (301) 496-7753. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>; <http://cancercontrol.cancer.gov>.

**RELATED PROGRAMS:**

93.393, Cancer Cause and Prevention Research; 93.395, Cancer Treatment Research; 93.396, Cancer Biology Research; 93.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:**

Screening and early detection research includes development of more sensitive and specific detection techniques in asymptomatic individuals; developing tests to identify individuals with a genetic predisposition to specific cancers; assessment of availability of, access to, and use of these techniques in the community; development of community outreach methods to encourage all segments of the population to take advantage of available services; and collection of cancer surveillance data to assess effectiveness of cancer

interventions. Cancer diagnosis and prognosis research depends on interactions among clinicians, basic researchers, and experts in study design to ensure that new diagnostic and prognostic techniques are evaluated efficiently and effectively for more rapid transfer to clinical application. Diagnosis research includes development and evaluation of better methods for monitoring the response to therapy and detecting the recurrence of tumors earlier; utilizing the advances in the development of sensitive molecular biological techniques; and developing more sensitive imaging techniques, including the use of immunodiagnostic reagents and functional imaging.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.395 CANCER TREATMENT RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended, Public Law 100-607, 42 U.S.C 285(a); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To develop the means to cure as many cancer patients as possible and to control the disease in those patients who are not cured. Cancer Treatment Research includes the development and evaluation of improved methods of cancer treatment through the support and performance of both fundamental and applied laboratory and clinical research. Research is supported in the discovery, development, and clinical testing of all modes of therapy including: surgery, radiotherapy, chemotherapy, and biological therapy including molecularly targeted therapies, both individually and in combination. In addition, research is carried out in areas of nutritional support, stem cell and bone marrow transplantation, image guided therapies and studies to reduce toxicity of cytotoxic therapies, and other methods of supportive care that may supplement and enhance primary treatment. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel,

consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

#### **Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned, and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

For-profit organizations' cost are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

#### **Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application form PHS-398 is the standard form which may be obtained electronically from: <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. The standard application forms required by 45 CFR, Part 92 for State and local governments, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the Web. Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040-MSC 7710, Bethesda, MD 20892-7710.

#### **Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and if they are recommended for further consideration, by a national advisory council or board. All applications receiving a priority score compete for



available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Grants: February 1, June 1, and October 1. Renewals and Supplements: March 1, July 1, and November 1. Cooperative Agreements are usually submitted in response to a Request for Applications (RFA). The receipt date is stipulated in the RFA. SBIR: April 15, August 15, and December 15. STTR Grants: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

Approximately 10 months. SBIR Applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Progress reports are required each year. An Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the DHHS. Terminal reports are required 6 months after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) For RPG: FY 07 \$528,525,000; FY 08 est \$508,240,000; and FY 09 est \$503,576,000. For SBIR/STTR: FY 07 \$32,096,000; FY 08 est \$31,451,000; and FY 09 est \$32,918,000.

**Range and Average of Financial Assistance:**

\$36,048 to \$5,296,416; \$427,264.

**PROGRAM ACCOMPLISHMENTS:**

Competing FY 2007 RPG act. 312 awards which were 20.1 percent of applications received. Competing FY 2007 SBIR/STTR act. 66 awards which were 21.6 percent of applications received. Fiscal year 2008 est. 1,260 total awards and FY 2009 est. 1,227 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. James H. Doroshow, Director, Division of Cancer Treatment and Diagnosis, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, 9000 Rockville Pike, Building 31/3A44, Bethesda, MD 20892, Telephone (301) 496-4291. Grants Management Contact: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, EPS-234, Bethesda, MD 20892, Telephone (301) 496-7753. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nci.nih.gov>.

**RELATED PROGRAMS:**

93.393, Cancer Cause and Prevention Research; 93.394, Cancer Detection and Diagnosis Research; 93.396, Cancer Biology Research; 93.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:**

Fundamental research projects on problems of anticancer drug discovery and development, preclinical biochemistry, pharmacology, cell and molecular biology of cancer treatment, and the clinical development and evaluation of all modalities of treatment, both alone and in combination. These include surgery, radiotherapy, chemotherapy, immunotherapy, cellular therapy, vaccines, liposomes, antisense therapy, gene therapy, and supportive approaches including: nutritional support and blood component replacement; clinical trials after drugs undergo screening, toxicology, and pharmacology testing; and the provision of research animals, compounds, and formulated drugs.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

## 93.396 CANCER BIOLOGY RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement, Act of 1992, as amended, Public Law 102-564.

**OBJECTIVES:**

To provide fundamental information on the cause and nature of cancer in people, with the expectation that this will result in better methods of prevention, detection and diagnosis, and treatment of neoplastic diseases. Cancer Biology Research includes the following research programs: cancer cell biology, cancer etiology, structural biology and molecular applications, DNA and chromosomal aberrations, tumor biology and metastasis, and immunology and hematology. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer; increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may

be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and Facilities and Administrative Costs (formerly known as indirect costs). SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II are for the continuation of the research initiated in Phase I that is likely to result in a commercial product. The SBIR/STTR Fast Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project must be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424(R&R) is used to apply for SBIR Phase I and Phase II, STTR Phase I and Phase II grants, and Fast-Track.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. September 2004) or form SF424(R&R) (October 2005) is the standard form. Both can be obtained at <http://grants1.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically via Grants.gov. The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. The initial grant award provides funds for the first budget period (usually 12 months) and letter Notice of Award indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special

conditions, if any. All accepted SBIR/STTR applications are evaluated for technical merit by an appropriate scientific review group and if they are recommended for further consideration, by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

All Grants including renewals and supplements: April 5, August 5, December 5. Cooperative Agreements and contracts are usually submitted in response to a Request for Applications (RFA) or a Request for Proposals (RFP). The receipt date is stipulated in the RFA or RFP.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months. SBIR/STTR: Approximately 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project.

**Audits:**

"In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) RPG: FY 07 \$527,308,000; FY 08 est \$497,545,000; and FY 09 est \$498,852,000. SBIR/STTR: FY 07 \$7,923,000; FY 08 est \$6,194,000; and FY 09 est \$7,662,000.

**Range and Average of Financial Assistance:**

\$23,915 to \$2,268,192; \$335,438.

**PROGRAM ACCOMPLISHMENTS:**

Competing FY 07 RPG act. 306 awards, which were 17.7 percent of applications received. Competing FY 07 SBIR/STTR act. 18 awards, which were 23.1 percent of applications received. Fiscal year 08 est 1,509 total awards and FY 09 est 1,489 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Stephen T. White, Special Assistant to the Director, Division of Cancer Biology, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, 6130 Executive Boulevard, EPN-5048, Bethesda, MD 20892. Telephone: (301) 496-

5307. Grants Management Contact: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, EPS-234, Bethesda, MD 20892. Telephone: (301) 496-7753.

**Web Site Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

93.393, Cancer Cause and Prevention Research; 93.394, Cancer Detection and Diagnosis Research; 93.395, Cancer Treatment Research; 93.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Studies of the properties of the membranes of malignant cells; (2) studies of the molecular genetics of oncogenes and tumor suppressor genes and the proteins they encode; (3) studies of the mechanism of action of growth factors and other growth modifiers and differentiation agents; (4) studies of the regulation of the biology of tumor cells by their micro environment; (5) studies of the synthesis, structure, and function of humoral factors that participate in, activate, and/or regulate the immune response to tumors, including interferons, interleukins, growth factors, helper factors, suppressor factors, etc., as they are involved in immune responses to tumors; (6) studies of the immunobiology of lymphocytes, macrophages, and other cells that may participate in immune surveillance responses (e.g., natural killer cells and cytotoxic T cells); (7) studies of the immune mechanisms involved in effective immunotherapy in animal models and humans, including studies on the development vaccine approaches to cancer therapy or prevention; (8) studies of bone marrow transplantation in humans and animals as a treatment for cancer when the emphasis is on immunologic problems such as immune reconstitution, sensitization and graft-versus-host disease.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) the soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### 93.397 CANCER CENTERS SUPPORT GRANTS

(CCSG)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 305(a), 410, 411, and 414, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285, 285a and 285a-3; Public Law 99-500.

**OBJECTIVES:**

To provide an organizational focus and stimulus for the highest quality cancer research that effectively promotes interdisciplinary cancer research aimed toward the ultimate goal of reducing cancer incidence, mortality and morbidity. The Cancer Center Support Grant (CCSG) provides the resources and infrastructure to facilitate the coordination of interdisciplinary programs across a broad spectrum of research from basic laboratory research to clinical investigation to population science. The CCSG supports salaries for scientific leadership of the Center, shared resources for funded center investigators, certain administrative costs, planning and evaluation, and developmental funds for new recruitments and feasibility studies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

In general, CCSGs do not support research projects directly but are used to enhance the ongoing cancer research and to strengthen the existing research base according to the "Policies and Guidelines Relating to the Cancer Center Support Grant."

**Applicant Eligibility:**

Any nonprofit institution within the United States with a peer-reviewed cancer research base of 4.0 million dollars in direct costs may apply for a Cancer Center Support Grant.

**Beneficiary Eligibility:**

University, college, public agency or research institution in the U.S.

**Credentials/Documentation:**

The application requests documentation concerning the qualifications of the principal investigators and associates, pertinent budget information and justification for the support of this proposed grant. Methods to be utilized are outlined in the application materials. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q, and for State and local governments in accordance with OMB Circular No. A-87.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Method of Application: Form PHS-398 (Rev. May 2001) can be obtained from the, Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892-7910. Telephone (301)435-0714; e-mail ASKNIH@odrockml.od.nih.gov. In addition, supplemental instructions for applications are contained in the Cancer Center Support Grant Guidelines which can be obtained by writing to the Cancer Centers Branch, 6116 Executive Boulevard, Suite 700, MSC 8345, Bethesda, MD 20892-8345 or by calling (301)496-8531. Generally, the potential applicant should send a letter of intent to the National Cancer Institute, submitting a CCSG application to the same address for review (see Guidelines for CCSGs). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Grants are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:**

Cancer Center Support Grant Applications (P30 mechanism): Renewals, New and Supplemental: February 1, June 1, and October 1. Cancer Center Planning Grant Applications (P20 mechanism): No new applications are accepted.

**Range of Approval/Disapproval Time:**

Core Grants: Approximately 10 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Same procedure as new applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to 5 years of support may be requested. Grants may be awarded up to 5 years based on competitive peer review.

**Reports:**

Progress reports are required each year. An annual financial status report is requested 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 90 days after the end of a project.

**Audits:**

"In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.



**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) (Total Research Centers) FY 07 \$471,860,000; FY 08 est \$479,564,000; and FY 09 est \$479,564,000.

**Range and Average of Financial Assistance:**

\$50,001 to \$11,526,509; \$2,443,886.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal year 2007 Centers funded 193 total research Centers which included 63 Cores, 62 SPORes and 5 Specialized Centers. Fiscal year 2008 will fund an estimated 170 total Centers which will include 61 Cores, 59 SPORes and 5 Specialized Centers. Fiscal year 2009 will fund an estimated 170 total Centers which will include 61 Cores, 59 SPORes and 5 Specialized Centers. Cancer Centers are supported through the P30 grant mechanism as Cancer Center Support Grants (CCSGs), which fall into two categories as follows: cancer centers and comprehensive cancer centers. Policies and guidelines governing the main instrument of support, the Cancer Center Support Grant, have recently been revised. The P20 Cancer Center Planning Grants have been discontinued. However, considerable progress is being made in working with smaller, less research intensive institutions in areas of the country that have no NCI-designated cancer centers. The NCI will work with these institutions very closely in the future.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 90- 50,000, (Rev.) October 1, 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Dr. Linda Weiss, Chief, Cancer Centers Branch, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, 6116 Executive Boulevard, Suite 700, Bethesda, MD 20892; Telephone: (301) 496-8531. Grants Management Contact: Leo F. Buscher, Jr., Grant Management Officer, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, EPS 234, Bethesda, MD 20892. Telephone: (301) 496-7753.

**Web Site Address:**<http://cancercenters.cancer.gov/>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

CCSG awards to Memorial Sloan-Kettering Institute (comprehensive cancer center); to University of Alabama (comprehensive cancer center), to the St. Jude Children's Research Hospital (cancer center), to the University of Utah (cancer center), to the Salk Institute (cancer center), and to the Wistar Institute (cancer center).

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include the following: (1) An adequate base of established programs of high quality in laboratory and clinical cancer research; (2) research activity in a variety of disciplines, and evidence of high degree of interdisciplinary coordination, interaction and cooperation among center members; (3) appropriate and adequate organization and facilities for the conduct and evaluation of center activities; (4) a qualified director with adequate authority; and (5) an adequate commitment of the parent institution or institutions to the cancer center. The center should be recognized as a major element within the organizational structure.

**93.398 CANCER RESEARCH MANPOWER****FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 413 and 487, as amended, Public Law 100-607, 42 U.S.C. 285a, 42 U.S.C. 288.

**OBJECTIVES:**

To make available support to nonprofit and for-profit institutions interested in providing biomedical training opportunities for individuals interested in careers in basic, clinical, and prevention research important to the National Cancer Program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Research Manpower program provides support for research training in all scientific fields related to cancer. The Ruth L. Kirschstein National Research Service Awards (NRSA) for Individual Fellows, are made directly to individuals for research training in biomedical sciences areas. In addition, the National Institutes of Health (NIH) will award the Ruth L. Kirschstein NRSA Institutional Research Training grants to institutions, to enable them to make NRSA awards to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain

service and payback provisions. Cancer Education Grants are designed to promote education programs carried out by organizations engaged in health-related education, research, or training, located in the United States, its possessions, or territories. Various Career awards are designed to sponsor the development of independent scientists. Individual short-term support for students is available under the Cancer Education Program.

**Applicant Eligibility:**

University, college, hospital, public agency, or nonprofit research institution for institutional grants and individuals for fellowships. The applicant institution must be able to provide the staff and facilities and be responsible for the selection of trainees and overall direction of the training. Selected awardees must be citizens of the United States or be admitted to the United States for permanent residency. Career and Cancer Education awards may be given to for-profit institutions.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institution or for-profit institution.

**Credentials/Documentation:**

(1) Individual Ruth L. Kirschstein NRSA: The applicant's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Ruth L. Kirschstein NRSA: Applicants must show the objectives, methodology, and resources for the training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award and a detailed budget and justification for the amount of grant funds requested. (3) Institutional Cancer Education Grants: Applicants must describe the organization and administration of the proposed program, list and define institutional objectives, methodology, resources and techniques of evaluation, as well as a justification of proposed expenditures. (4) For Career awards, the applicant must provide documentation on the candidate, sponsor, career development plan, research proposed, and institutional commitment.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications for the Individual Ruth L. Kirschstein NRSA must be prepared using the PHS 416-1 application form and instructions for Individual National Research Service Award Fellowships (rev. 10/05). The PHS 416-1 is available at <http://grants.nih.gov/grants/funding/416/phs416.htm>. For further assistance, direct inquiries may be made to [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov) or (301) 435-0714. Applications for the Institutional Ruth L. Kirschstein NRSA must be prepared using the PHS 398 Form (Revised 9/2004). Refer to Section IV of the instructions titled Instructions For Preparing An NRSA Application. The PHS 398 Form (Revised 9/2004) is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Applications for Cancer Education and Career grants must be prepared using the PHS 398 Form (Revised 9/2004). Refer to Section III of the instructions, Preparing An Individual CDA Application. Applicants are advised to consult the "Submitting an Application" section of the Program Announcement, since each award has distinct application criteria. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, Bethesda, Maryland 20892-7710 (Bethesda, MD 20817 for express/courier service).

**Award Procedure:**

Applications are reviewed for scientific merit by an appropriate study section, committee, or advisory council. If recommended for approval and a decision to make award is made, a formal award notice will be sent to the applicant.

**Deadlines:**

All new and renewal applications: Individual NRSA's: April 8, August 8, and December 8. Institutional NRSA's: January 25, May 25, and September 25. All new, renewal, amended and supplemental Cancer Education: January 25, May 25, and September 25. All new Career applications: February 12, June 12, and October 12. All renewal, amended and supplemental Career applications: March 12, July 12, and November 12.

**Range of Approval/Disapproval Time:**

Approximately 10 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available under the Review Criteria section of the NIH Office of Extramural Research website at [http://grants2.nih.gov/grants/policy/nihgps\\_2003/NIHGPs\\_Part3.htm](http://grants2.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part3.htm).

**Renewals:**

Cancer Education Grants may be made for periods of up to 5 years and renewals may be submitted when appropriate. Research training grants may be renewed for additional project periods of 5 years. Only the following Career awards are renewable: K05 and K24 only a one-time renewal after a 5-year project period, and the K12 up to 5 years (Trainees 2-7 years).

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Up to 5 years.

**Reports:**

Progress reports are required each year. An annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the grantor. Terminal reports are required 6 months after the end of a project.

**Audits:**

"In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants/Manpower) FY 07 \$179,155,000; FY 08 est \$180,965,000; and FY 09 est \$181,540,000.

**Range and Average of Financial Assistance:**

\$12,607 to \$1,068,450; \$176,160.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 232 Individual FTTPs (Full Time Training Position) positions/awards were made totaling (competing and non-competing) \$3,820,000; 1,213 Institutional FTTPs were supported through awards (competing and non-competing) totaling \$13,906,000; 525 Career awards were made totaling \$79,595,000; 89 Cancer Education awards were made totaling \$31,337,000. In FY 2008, it is estimated that 1,052 Manpower awards will be made. In FY 2009, it is estimated that 2,099 Manpower awards will be made. During this period, the NCI has been implementing a new strategic plan that places greater emphasis on protecting the time and stabilizing the careers of MD's in research and prevention and control scientists; nearly all of the growth in the program has focused on these two fields. Both of these fields are threatened by either managed care medicine or academic culture and they are both critical to the translational research success of the NCI in the future.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 6; 42 CFR 66; 45 CFR 74; Application kit, National Institutes of Health; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Dr. Lester Gorelic, Cancer Training Branch, National Cancer Institute, National Institutes of Health, Department of Health and Human Services, 6116 Executive Boulevard, Room 7025, Bethesda, MD 20892. Telephone: (301) 496-8580. Grants Management Contact: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, EPS-234, Bethesda, MD 20892. Telephone: (301) 496-7753. Use the same numbers for FTS.

**Web Site Address:**

<http://www.cancer.gov/researchandfunding/training>

**RELATED PROGRAMS:**

93.399, Cancer Control.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Individual Fellowship: Molecular mechanisms of breast tumor metastasis; Identification of a Melonoma Susceptibility Gene at 1p22; (2) Institutional Training: Training In Radiation Oncology Sciences; Program for Training in Cancer Epidemiology; (3) Cancer Education: Oncology Nursing Education in End of Life Care; Simultaneous Care: Linking Palliation to Clinical Trials; (4) Career: Community-based Skin Cancer Prevention Research; Prostate Cancer--Mechanisms of Bax induced Cell Death.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.399 CANCER CONTROL**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 412, Public Law 78-410; 42 U.S.C. 241; Public Law 100-607; 42 U.S.C. 285a-1; Public Law 99-500.

**OBJECTIVES:**

To reduce cancer incidence, morbidity, and mortality through an orderly sequence from research on interventions and their impact in defined populations to the broad, systematic application of the research results through dissemination and diffusion strategies. Primary emphasis is on the inclusion of a cancer prevention and control intervention in any proposed study. Cancer Prevention and Cancer Control research studies are classified into one of five phases that represent the orderly progression noted in the definition: (1) Hypothesis development; (2) methods development and testing; (3) controlled intervention trials to establish cause-and-effect relationships; (4) research in defined populations; and (5) demonstration and implementation studies. Primary interests are in research on cancer control interventions in Phases 2 through 5, and on cancer prevention research in all phases. Cancer Prevention and Control programs include those in the following areas: (1) chemoprevention; (2) cancer communications; (3) nutrition, diet, and physical activity; (4) screening and early detection, including biomarker development and validation; (5) biobehavioral mechanisms; (6) tobacco control; (7) special populations research; (8) symptom management, cancer rehabilitation and survivorship; (9) health services and outcomes research; and (10) surveillance research. Both Cancer Prevention and Cancer Control use the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) programs to encourage research participation by the small business community. The goals of each program are as follows. SBIR: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. STTR: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. Restrictions are imposed against the use of funds for entertainment, foreign travel (unless specifically authorized), office equipment, and other items not normally necessary for the effective prosecution of such research. SBIR Phase I grants (of approximately 6- months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principle investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only

to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institutions or for-profit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application form PHS-398 (Rev. April 1998) is the standard form that can be obtained from the Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714, E-mail: ASKNIH@odrockml.od.nih.gov. The standard application forms as furnished by DHHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New: February 1, June 1, and October 1. Renewals and supplements: March 1, July 1, and November 1. SBIR Applications: April 15, August 15, and December 15. STTR Applications: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/1997/97.11.21/n2.html](http://www.nih.gov/1997/97.11.21/n2.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements average from 3 to 4 years, up to a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly

Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Progress reports are required each year. Annual financial status report is required 90 days after the end of a budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Grants) FY 07 \$200,126,000; FY 08 est \$208,278,000; and FY 09 est \$205,757,000.

**Range and Average of Financial Assistance:**

\$129,762 to \$2,085,408; \$957,541.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, of 97 competing applications, 49 were funded for 51 percent; 209 total competing and noncompeting awards were made. It is estimated that 202 total awards will be made in fiscal year 2008 and 215 total awards are estimated for fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 52; 45 CFR 74 and PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: For chemoprevention, nutrition and diet, screening and early detection, biomarker development and validation, community oncology, and symptom management and cancer rehabilitation, contact Dr. Peter Greenwald, Director, Division of Cancer Prevention, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, 6130 Executive Boulevard, MSC 7309, Rockville, MD 20852. Telephone: (301) 496-6616. For public health applications, biobehavioral mechanisms, special populations, and surveillance, contact Dr. Robert T. Croyle, Director, Division of Cancer Control and Population Science, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, 6130 Executive Boulevard, Rockville, MD 20852. Telephone: (301) 594-6776. Grants Management Contact: Leo F. Buscher, Jr., Grants Management Officer, National Cancer Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, EPS-234, Rockville, Maryland, 20892. Telephone: (301) 496-7753. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>; <http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.393, Cancer Cause and Prevention Research; 93.394, Cancer Detection and Diagnosis Research; 93.395, Cancer Treatment Research; 93.396, Cancer Biology Research; 93.398, Cancer Research Manpower.

**EXAMPLES OF FUNDED PROJECTS:**

Projects include: (1) Smoking Prevention - Transdisciplinary Tobacco Use Research Centers (TTURCs); (2) Energy Balance - Diet, Weight and Physical Activity research; (3) Transdisciplinary Research on Energetics and Cancer; (4) Special Populations - Centers for Population Health and Health Disparities; (5) Community Clinical Oncology Program; (6) Early Detection - Prostate, Lung, Colon, Ovarian Cancer Trial (PLCO) and the National Lung Screening Trial (NLST); (7) Selenium and Vitamin E Cancer Prevention Trial for Prostate Cancer (SELECT); and (8) Early Detection Research Network; (9) Community Networks To Reduce Cancer Health Disparities - Center To Reduce Cancer Health Disparities.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources;



(5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

### 93.441 INDIAN SELF-DETERMINATION

(Indian Self-Determination 638 Contracts)

#### FEDERAL AGENCY:

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Indian Self-Determination and Education Assistance Act, Title I, Public Law 93-638, as amended, Section 102; Contract Disputes Act of 1978; 31 U.S.C. 75.

#### OBJECTIVES:

To enable Indian tribes to assume the management and operation of programs, functions, services, and activities (PFSAs) for the delivery of health care to Indian people. To enter into a self-determination contract or contracts with Indian tribes or tribal organizations (T/TO) interested in transferring the responsibility for the administration and provision of health services from the government to tribal leadership.

#### TYPES OF ASSISTANCE:

Direct Payments for Specified Use.

#### USES AND USE RESTRICTIONS:

Funds are for the tribes to provide the PFSAs transferred from the Indian Health Service (IHS). The funds are not available for construction unless specifically authorized by Congress. Tribes can reallocate funds within their budget from one line item to another without contract modifications. Tribes also receive administrative funds for the contracted programs.

#### Applicant Eligibility:

Any federally-recognized tribe that formally requests, through a governing body action, a resolution, to enter into a self-determination contract or contracts for the purpose of planning, conducting, and administering programs, or portions thereof, including construction programs, provided that the T/TO submits a contract proposal that conforms to the requirements contained in 25 CFR 900.8 may apply.

#### Beneficiary Eligibility:

Indian tribes will benefit.

#### Credentials/Documentation:

None.

#### Preapplication Coordination:

The Agency shall, within 30 days of receipt of a notice of intent to contract, provide the tribe pre-proposal technical assistance, if requested to do so. The Agency will also notify the tribe of the amount of funds available to contract, under 106(a) of the ISDA, and begin planning for the transfer of responsibilities and funding to the tribe. This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

A tribe or tribal organization may submit a proposal for a self-determination contract or a proposal to amend or renew an existing contract. Unless there is a declination issue the Secretary shall within 90 days after receiving the proposal, approve the proposal and award a contract to the tribe. Declination issues are: (A) The service to be rendered to the Indian beneficiaries of the particular program or function to be contracted will not be satisfactory; (B) adequate protection of trust resources is not assured; (C) the proposed project or function to be contracted for cannot be properly completed or maintained by the proposed contract; (D) the amount of funds proposed under the contract is in excess of the applicable funding level for the contract as determined under Section 106(a); or (E) the program, function, service, or activity (or portion thereof) that is the subject of the proposal is beyond the scope of programs, functions, services, or activities covered under paragraph (1) because the proposal includes activities that cannot lawfully be carried out by the contractor.

#### Award Procedure:

The agency negotiation team and the representatives of the tribe shall develop the agenda for the contract negotiation session(s). The agency negotiation team should assure that any issues identified during the proposal review stage, together with any agency recommendations for overcoming these issues, are raised at the negotiations. Title I contracts are generally awarded at the area office level. They are awarded for a definite period of time (1 to 3 years) or may be designated as "mature" and awarded for a definite or indefinite period of time.

#### Deadlines:

(1) The tribe must be notified within 2 days of the receipt of a proposal that the agency has received their proposal; (2) within 7 days of the receipt of a proposal the agency will assemble a proposal review team; (3) within 15 days of the receipt of a proposal the tribe will be notified of any missing information; (4) if a tribe requests technical assistance it will be provided within 30 days of the date of the request from the tribe; (5) final negotiations should be completed within 60 days of the receipt of a proposal; and (6) the agency has 90 days from the date of the receipt of a proposal to review and award or decline a contract proposal.

#### Range of Approval/Disapproval Time:

Provisions of the Contract Disputes Act of 1978 (CDA) describe the procedures the agency will follow for claims in excess of \$100,000 and claims for less than \$100,000.

#### Appeals:

Section 102 of the ISDA and Subpart L of the regulations are the basic sections covering the appeal procedures. Section 900.150 of 25 CFR lists the decisions a T/TO can appeal under Subpart L (25 CFR 900.150-169). The procedures here apply to those appeals. Also, 25 CFR Section 900.151 of the regulations describes appeals that are covered under Subpart N of the regulations and other appeals. The T/TO has three options in appealing a decision under 25 CFR 900-150. The T/TO can request an informal conference and/or can file a formal appeal. The T/TO also has the option of going directly to the Federal court at any time.

#### Renewals:

Annual funding agreements are renegotiated and renewed annually. Title I contracts may be designated as "mature" and awarded for a definite or indefinite period of time.

#### Formula and Matching Requirements:

A T/TO may use funds provided under a Title I contract to meet matching or close participation requirements under other Federal and nonfederal programs.

#### Length and Time Phasing of Assistance:

Not applicable.

#### Reports:

Unless required by statute, there are no mandatory reporting requirements for Title I contracts. Each T/TO shall negotiate with the agency the type and frequency of program narrative and program data report(s), that respond to the needs of the contracting parties and that are appropriate for the purposes of the contract.

#### Audits:

Section 5(f) of the ISDA requires a T/TO to submit an annual "Single Audit Act" as required by Chapter 75 of Title 31 USC. OMB Circular No. A-133, Audits of States, Local Governments and Nonprofit Organizations, revised June 24, 1997, rescinded circular No. A-128 and superseded the Prior version of A-133. Revised circular No. A-133 now applies to T/TO. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

#### Records:

Department of Health and Human Services (DHHS) and the Comptroller General of the United States or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

#### Account Identification:

75-0390-0-1-551; 75-0391-0-1-551.

#### Obligations:

(Direct Payments) FY 07 \$509,600,000; FY 08 \$509,600,000; and FY 09 est not available.

#### Range and Average of Financial Assistance:

\$31,963 to \$25,950,652; \$1,722,872.

#### PROGRAM ACCOMPLISHMENTS:

The transfer of responsibility for the delivery of health care from the IHS to the tribes for the delivery of their own health care has been successful. Forty-two percent of the IHS budget has been transferred to contracting and compacting tribes to deliver IHS funded services to their own communities. The remaining 58 percent of the IHS budget funds IHS managed health care delivery systems. There are Indian self-determination contracts covering tribally operated facilities that include three hospitals, 97 health centers, one school health center, and 65 health stations. Similar support is expected in fiscal year 2005 and fiscal year 2006.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

Public Law 93-638, as amended, Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self-Determination and Education Assistance Act; Indian Health Circular No. 2000-01, "Contract Support Costs apply."

#### Regional or Local Office:

Aberdeen Area IHS, Alaska Area IHS, Albuquerque Area IHS, Bemidji Area IHS, Billings Area IHS, California Area IHS, Nashville Area IHS, Navajo Area IHS, Oklahoma City Area IHS, Phoenix Area IHS, Portland Area IHS, and Tucson Area IHS.

#### Headquarters Office:

Mr. Douglas Black, Director, Office of Tribal Programs, Indian Health Service, 801 Thompson Avenue, Suite 220, Rockville, MD 20852. Telephone: (301) 443-1104. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Hospitals and Health Clinics, Dental Health, Mental Health, Alcohol and Substance Abuse, Contract Health Service, HIV/AIDS, Public Health Nursing, Health Education, Community Health Representatives, Immunization AK, Indian Health Professionals, Director Operations, Contract Support Costs, Diabetes, Catastrophic Health Emergency Fund, Facilities Maintenance and Improvement, Sanitation Facilities Construction, Health Care Facilities Construction, Facilities and Environmental Health Support, Equipment, and Personnel Quarters.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants who meet the requirements of Section 102 of Public Law 93-638, as amended, and provide a proposal in accordance with 25 CFR 900 will be funded.

**93.442 SPECIAL DIABETES PROGRAM FOR INDIANS (SDPI) COMPETITIVE GRANT PROGRAM**

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33; Consolidated Appropriations Act 2001, Public Law 106-554; Reauthorization of SDPI 2002, Public Law 107-360.

**OBJECTIVES:**

The Indian Health Service (IHS) announces a new initiative under the Special Diabetes Program for Indians (SDPI). This funding mechanism is a competitive grant program that will provide funding to selected SDPI grantees for a demonstration project to implement and evaluate defined activities in one of two areas (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will support the implementation and evaluation of demonstration projects under this competitive grant program.

**Applicant Eligibility:**

Applicants eligible to receive an award under this announcement are SDPI grant recipients. The applicant must be one of the following entities: IHS hospital or clinic, federally recognized Tribes, Title V Urban Indian Health Programs or consortia of any of the above. A SDPI grant recipient can apply only once as a single entity or as part of consortia. An application submitted by consortia of SDPI grant recipients must be submitted by one of the SDPI grant recipients sanctioned as the principal applicant. A letter of support must be included in the application from each SDPI grantee the principle applicant is representing. The letter must specifically state that the principal applicant is officially representing that SDPI grantee in this application. Applicants for consortia who do not submit these letters of support at the time of the application receipt date will not be reviewed and are ineligible for the award. Smaller applicants are encouraged to apply as part of consortia, especially their diabetes registry is less than 250. Applicants are strongly encouraged to establish eligibility of their proposed applications prior to submission. Inquires about eligibility should be addressed to Mary Tso, SDPI Grants Specialist, IHS National Diabetes Program at 505-248-4182; email to [diabetesprogram@mail.ihs.gov](mailto:diabetesprogram@mail.ihs.gov). Applicants that are not SDPI grant recipients are not eligible. Non-profit tribal organizations or national/area health boards are not eligible, consistent with recent tribal consultation on this issue. Applications that do not meet these eligibility requirements will be returned to the applicant without further review.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will be the ultimate beneficiaries of the funded demonstration projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments" or OMB Circular No. A-122, "Cost Principles for Non-Profit Organizations."

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." A State approval is not required.

**Application Procedure:**

Applications can be found in the [grants.gov](http://grants.gov). Applications will also be available on request from the IHS National Diabetes Program at the following address: 5300 Homestead Road, NE, Albuquerque, NM 87110. Telephone: (505) 248-4182, fax 505-248-4188, email address: [diabetesprogram@mail.ihs.gov](mailto:diabetesprogram@mail.ihs.gov). The application will be posted on the IHS National Diabetes Program web site at [www.ihs.gov/medicalprograms/diabetes](http://www.ihs.gov/medicalprograms/diabetes) and on the HHS Grants web site at [www.grants.gov](http://www.grants.gov) on or before June 1, 2005. Applicants may submit one application for one or both demonstration projects. A separate application is required for each demonstration project. Applicants will be funded for only one project (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes). Tribal Approval of Application/Letter of Support: It is the policy of the IHS that all projects involving AIAN tribes be approved by the Tribal governments with jurisdiction. Therefore, the following documentation is required as part of this application: 1) For federally recognized Indian tribe - a resolution of support from the Tribal government must be a part of the application. Applications that involve more than one Indian tribe must include resolutions of support from all participating tribes. 2) For an eligible consortium of tribes - a resolution of support from each tribe of the consortium must be included. 3) For Title V Urban Indian Health Programs - a letter of support from the program's board must be included. 4) For IHS hospitals or clinics - a letter of support from the Service Unit Director or Chief Executive Officer must be included. 5) For all applicants - letters of support from all partners and collaborating entities. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer; Telephone: (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. Upon receipt, IHS will administratively review applications by completeness and responsiveness. Applications that are incomplete, non-responsive to this RFA, do not meet eligibility criteria or do not follow the guidelines of the SF 424 will be returned to the applicant without further consideration. Applications will be evaluated for technical merit by appropriate peer review groups convened by the IHS National Diabetes Program in accordance with established criteria.

**Award Procedure:**

Applicants will only be eligible to receive one award for funding in one area (i.e. primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes). Priorities for funding will be based on the technical merit of the application, the assessed potential of the applicant and the likelihood of the applicant to successfully implement the defined interventions. Awards will be made only to organizations with financial management systems and management capabilities that are acceptable under PHS Policy. Awards will be administered under the PHS Grants Policy Statement. Awards will be subject to the availability of funds and grants will be administered in accordance with applicable Office of Management and Budget (OMB) Circulars, Department of Health and Human Services grant regulations at 45 CFR Parts 74 and 92, the Public Health Service Grants Policy Statement and other applicable IHS policies and procedures such as the regulations governing protection of human subjects at 45 CFR Part 46. Grants Management will not award a grant without an approved application in conformance with regulatory and policy requirements and which describes the purpose and scope of the project to be funded. When the application is approved for funding, the Grants Management Office will prepare a Notice of Grant Award with special terms and conditions binding upon the award and refer to all general terms applicable to the award.

**Deadlines:**

Prospective applicants are asked to submit a letter of intent that includes the selected area for the application (primary prevention of diabetes or prevention of CVD in people with diabetes), the name, address, and telephone number of the Project Director and its Program Coordinator, and the number and title of this RFA. The letter of intent must be received by the IHS National Diabetes Program, 5300 Homestead Road NE, Albuquerque, NM 87110, telephone 505-248-4182, fax 505-248-4188, email: [mary.tso@mail.ihs.gov](mailto:mary.tso@mail.ihs.gov), before 6:00 pm MDT on June 1, 2008. Letters may be submitted by mail, fax, or email. Although a letter of intent is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows the IHS staff to estimate the potential review workload and avoid conflict of interest in the review. Application and Resolution Date: July 1, 2008. The applications must be received before 6:00 pm MDT on July 1, 2008. If an application is received after that date, it will be returned to the applicant without review. To be considered timely, an application must be received on or before the deadline date. No additional materials received after the deadline will be

considered. Applications not meeting the deadline date specified in the announcement are considered late applications and will not be considered for funding under the announcement. Receipt of applications will be acknowledged by postcard.

**Range of Approval/Disapproval Time:**

The anticipated date for the announcement of selectees is 60 days after the application due date.

**Appeals:**

None.

**Renewals:**

This funding will be awarded as a grant, renewable annually for up to 5 years. The HIS National Diabetes Program will determine if grants are renewable after 5 years depending on funding levels and congressional actions.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

There will be only one funding cycle for FY 2004 - FY 2008. This funding will be awarded as a grant, renewable annually for up to 5 years. Awards under this initiative will be administered using the competing institutional grant mechanism of the Indian Health Service. Applicants should request the first year as a planning year, and the next 4 years as full implementation of demonstration project activities.

**Reports:**

Given the importance of the outcomes of this demonstration project to future funding of the Special Diabetes Program for Indians, particular emphasis will be placed on the timely and comprehensive reporting of results through a variety of mechanisms. The IHS NDP and the Grants Management Office have requirements for the progress reports and financial reports based on the terms and conditions of these grant. Grantees are responsible and accountable for accurate reporting of the Progress Reports and Financial Status Reports which are generally due annually. Financial Status Report (SF 269) is due 90 days after each budget period and the final SF 269 must be verified from the grantee records on how the value was derived. Grantees are allowed a reasonable period of time in which to submit required financial and performance reports. Failure to submit required reports within the time allowed may result in suspension or termination of an active grant, withholding of additional awards for the project, or other enforcement actions such as withholding of payments or converting to the reimbursement method of payment. Continued failure to submit required reports may result in the imposition of special award provisions, or cause other eligible projects or activities involving the grant recipient, or the individual responsible for the delinquency to not be funded. Progress reports will be required on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of the Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, report, books, document, papers or other records of the grantee, contractor, or subcontractor or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts and transcripts.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Competitive Grant) FY 07 \$23,300,000; FY 08 \$23,300,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

The total amount of funding available is \$23,300,000 and the number of anticipated awards will be approximately 60 (30 in each intervention area). The expected amount of individual awards will vary based on size of the program, and will vary from \$200,000 to \$300,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

None to date. This competitive grant program is a new initiative under the 2002 Reauthorization of the Special Diabetes Program for Indians grant program, Public Law 107-360.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74; Public Health Service Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr Kelly Acton or Lorraine Valdez, BSN, MPA, CDE IHS National Diabetes Program 5300 Homestead Road NE Albuquerque, NM 87110 Telephone 505-248-4182 Fax 505-248-4188 Email: diabetesprogram@mail.ihs.gov Grants Management Office Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360 Rockville, MD 20852. Telephone: 301-443-5204, Fax 301-443-9602.

**Web Site Address:**

IHS National Diabetes Program: <http://www.ihs.gov/medicalprograms/diabetes>; <http://www.grants.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated in accordance with the criteria stated below for technical merit by appropriate peer review groups convened by the IHS National Diabetes Program. Applications will be reviewed and scored according to the quality of their responses to the requirements listed below for developing the project narrative: 1) statement of need, 2) proposed implementation approach, 3) management plan and staffing, and 4) evaluation plan. The IHS National Diabetes Program will convene 2 review groups, one for each area in this initiative. The recommendations from the review committees will be considered by the IHS NDP. The Director of the IHS NDP will make the final funding decisions in consideration of the following points, some of which were based on input from the tribal consultation: strengths and weaknesses of the application as identified by peer reviewers, likelihood of success in implementation of the activities, demonstrated capacity of the applicant for programmatic implementation, availability of funds, and other factors based on tribal consultation including distribution of awards in terms of geography and balance among program size, program type (i.e. IHS, Tribal, urban vs. rural, hospital, clinic, etc.) Awards will be made only to organizations with financial management systems and management capabilities that are acceptable under PHS Policy. Awards will be administered under the PHS Grants Policy Statement.

**93.443 HEALTH PROMOTION/DISEASE PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKA NATIVES**

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Authorized by 25 U.S.C. 13, Synder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001.

**OBJECTIVES:**

To create healthier American Indian/Alaska Native (AI/AN) communities by developing, implementing, and coordinating innovative and effective community and clinic-based interventions programs designed to promote health and prevent chronic disease and disability.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This assistance is available to federally-recognized Indian Tribes, Tribal organizations, and urban Indian organizations. This assistance is used to develop, implement, and coordinate innovative and effective community and clinic-based interventions programs to promote health and prevent chronic disease. Funds (including direct and allowable indirect costs) may be used for expenses directly related and necessary to carry out approved activities that will support the implementation and evaluation of projects under this competitive grant program.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, nonprofit organizations primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian Health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian Tribal governments, and Circular No. A-122 for



Tribal nonprofit organizations codified through applicable grant administration regulations 45 CFR Part 92 and as applicable 45 CFR Part 74.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. Health Promotion/Disease Prevention program are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR Part 92 for Indian tribes and Part 74 for Nonprofit organizations, and OMB Circulars No. A-110, A-122, A-87, and A-102.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Indian Health Service Headquarters.

**Deadlines:**

Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operation.

**Appeals:**

None.

**Renewals:**

Project periods are for 3 years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded for project periods up to 3 years.

**Reports:**

The Progress Reports and Financial Status Reports are required annually. These reports will include a brief comparison of actual accomplishments to the goals established for the period, reasons for slippage (if applicable), and other pertinent information as required. Financial Status Reports (SF 269) annual financial reports must be submitted within 30 days of the budget period. A Final Financial Status Reports (SF 269) are due within 90 days of expiration of the budget/project period and must be verified from the grantee records on how the value was derived. Grantees are allowed a reasonable period of time in which to submit required financial and performance reports. Progress reports are required on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, in addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audit, examinations, excerpts, and transcripts. In accordance with 45 CFR Parts 74 and 92, grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$1,896,611; FY 08 \$1,300,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None. New Program.

**PROGRAM ACCOMPLISHMENTS:**

Twenty grant awards were funded in fiscal year 2005. It is anticipated that 13 new grants will be awarded in fiscal year 2006, and it is anticipated that 13 continuing grants will be awarded in fiscal year 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under the provisions of 45 CFR Part 92 and the PHS Grants Policy Statement, DHHS Publication No. (OASH 94-50,000, (Rev.) April 1, 1994. Guidelines are available in the application kit.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Alberta Becenti, Health Promotion/Disease Prevention Coordinator, Indian Health Service, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-4305. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Diabetes Prevention, (2) Obesity Prevention, Youth and Children, (3) Alcohol Intervention for Youth, (4) Physical Activity, (5) Women's Health, (6) Tobacco Prevention, and (6) Strengthen Families.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated in accordance with the criteria stated below for technical merit by appropriate peer review groups convened by the IHS Health Promotion/Disease Prevention Program. Applications will be reviewed and rated on the basis of the evaluation criteria listed for developing the project narrative: 1) background and needs, 2) intervention plan, 3) plans for monitoring and program evaluation, 4) organizational capabilities and qualifications, and 5) communication and information sharing. Proposals will be reviewed for merit by the Objective Review Committee consisting of at least three federal and three nonfederal reviewers appointed by the IHS. The technical review process ensures the selection of quality projects in a national competition for limited funding. After review of the applications, rating scores will be compared, and the application with the highest rating score are selected to receive funding.

**93.444 TRIBAL SELF-GOVERNANCE PROGRAM:  
PLANNING AND NEGOTIATION COOPERATIVE  
AGREEMENT**

(Tribal Self Governance)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (DHHS) through the Indian Health Service. In preparation for additional tribes each fiscal year, the IHS will make Planning Cooperative Agreements available. The Planning Cooperative Agreements allow Tribes to gather information to determine the current types and extent of PFSAs and funding levels available within its service areas and to plan for the types and extent of PFSAs and funding to be made available to the tribe under a compact. The IHS will also award Negotiation Cooperative Agreements which provide tribes with additional funding to negotiate Self-Governance Compacts.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Establishing and operating programs to provide planning and negotiation resources to tribes interested in participating in the Tribal Self-Governance Program (TSGP). These cooperative agreements will be awarded on a one-time basis.

**Applicant Eligibility:**

For Planning Cooperative Agreements, any Federally-recognized tribe which (1) formally requests, through a governing body action, a Planning Cooperative Agreement for the purpose of preparing to enter the TSGP and (2) has furnished organization-wide single audit reports as prescribed by Public Law 96-502, the Single Audit Act of 1984, as amended, for the previous 3 years that contain no uncorrected significant and material audit exceptions. See OMB Circular No. A-133 (June 27, 2003). For Negotiation Cooperative Agreements, in addition to the two criteria listed above, applicants must have successfully completed the planning phase as described at 42 CFR 137.20.

**Beneficiary Eligibility:**

Indian tribes will benefit.

**Credentials/Documentation:**

For planning, costs will be determined in accordance with OMB Circular No. A-87 for State and Local Governments and Indian tribes and applicable grant administration regulations 45 CFR Part 92.

**Preapplication Coordination:**

Preapplication coordination not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

**Award Procedure:**

Cooperative agreements are made directly by the IHS to the Indian tribal applicants, based on results of a competitive review process.

**Deadlines:**

Contact the Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

Within 45 days of IHS deadline.

**Appeals:**

Per 42 CFR 137.416, decisions relating to the award of Cooperative Agreements may be appealed under 45 CFR Part 5.

**Renewals:**

There will not be renewals for the planning and negotiation awards.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Duration of project period is for 12 months. Project period can be extended on a no-cost basis.

**Reports:**

Cooperative agreements are subject to administrative requirements under 45 CFR Part 92 for grants to Indian tribes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States, or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

FY 07 \$100,000; FY 08 \$220,000; and FY 09 est \$340,000.

**Range and Average of Financial Assistance:**

Typically over the last several years, Planning Cooperative Agreements have been awarded for a maximum of \$50,000 and Negotiation Cooperative Agreements for a maximum of \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, the IHS awarded two Planning Cooperative Agreements for a total of \$100,000. In FY 2008, IHS estimates that it will award four Planning and one Negotiation Cooperative Agreement, for a total of \$220,000 in award funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, authorizes both the cooperative agreements. HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994), applies to the cooperative agreement awards.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Hankie Ortiz, Director, Office of Tribal Self-Governance,

Indian Health Service, 801 Thompson Avenue, Suite 240, Rockville, MD 20852. Telephone: (301) 443-7821. Grants Management Contact: Ms. Kimberly Pendleton, Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The projects funded are the planning and negotiation activities associated with preparing to enter the TSGP.

**CRITERIA FOR SELECTING PROPOSALS:**

For Planning Cooperative Agreements, the criteria are: Goals/Objectives; Methodology; Management of Health Program(s); Organizational Capabilities and Qualifications; and Budget Justification. For Negotiation Cooperative Agreements, the criteria are: Demonstration of Previous Planning Activities; Thoroughness of Approach, Project Outcome; and Administrative Capabilities.

**93.448 FOOD SAFETY AND SECURITY MONITORING PROJECT**

**FEDERAL AGENCY:**

FOOD AND DRUG ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

**OBJECTIVES:**

To complement, develop and improve State, Indian Tribal, and local food safety and security testing programs through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies and participation in proficiency testing to establish additional reliable laboratory sample analysis capacity and analysis of surveillance samples. A new program will be included to complement, develop and improve State, Indian Tribal, and local food safety and security analyses of foods and food products related to radiological terrorism or other emergency situations through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies, participation in proficiency testing to establish additional reliable laboratory sample analysis capacity, participation in method enhancement activities to extend analysis capability, and analysis of surveillance samples in the event of a large-scale radiological terrorism event affecting foods or food products.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements are intended to expand participation in networks to enhance Federal, State, local and tribal food safety and security efforts. In addition to the promotion of a continuing, reliable capability and capacity for laboratory sample analyses of foods and food products for the rapid detection and identification of toxic chemicals, toxins or radiological terrorism affecting foods or food products. These funds cannot be used to fund or conduct food inspections for food safety regulatory agencies. They may not be used for new building construction, however remodeling of existing facilities is allowed, provided that remodeling costs do not exceed 25% of the grant.

**Applicant Eligibility:**

These cooperative agreement and grants programs are only available to State, Local and Tribal government Food Emergency Response (FERN) laboratories.

**Beneficiary Eligibility:**

Ultimately the general population will be the beneficiary of more rapid and reliable food testing to enhance food safety efforts. The FERN laboratory network will also benefit from better testing methods, equipment and training.

**Credentials/Documentation:**

Applications must present a plan and furnish evidence that facilities, personnel and equipment are appropriate to carry out the plan. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Executive Order 12372 as it applies.

**Preapplication Coordination:**

These programs are eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected this program.

**Application Procedure:**

The standard application forms and procedures as required by 45 CFR 72, and as outlined in the Request for Application (RFA) and/or the Funding Opportunity Announcement as published in the NIH Guide and as furnished by the FDA through grants.gov must be used for this program. All new and competing continuations or competing supplemental research grants must be submitted through Grants.gov. The application packages are posted under

"APPLY" section of this announcement under <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a scientific review for technical merit and a recommendation for approval by an appropriate initial ad hoc review group. All approved and scored applications compete for available funds on the basis of score, scientific merit and program analysis. Geographic distribution will be a consideration in the award selection process.

**Deadlines:**

Applications will be due no later than 30 days after publication in the Federal Register and/or the NIH Guide.

**Range of Approval/Disapproval Time:**

90-120 days.

**Appeals:**

None.

**Renewals:**

Renewals are available. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the project. For those projects with an expected duration of more than 1 year, a 2nd or 3rd year of non-competitive continuation of support will depend on: 1) performance during the preceding year and, 2) availability of Federal funds.

**Reports:**

For continuing grants and cooperative agreements, quarterly reports or as determined by the Project Officer, and an annual program progress report as well as a final Financial Status Report is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year under the nonfederal audit requirement except as noted in Circular A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

All grant and cooperative agreement documentation must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Progress reports, expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms of the grant or may be considered pertinent to a grant must be retained for 3 years from the date the grantee submits the final financial status report for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

For Food Safety and Security Monitoring Project for Chemical Analysis: FY 07 \$2,333,495; and FY 08 est \$2,403,500, and FY 09 est \$2,500,000. For Food Safety and Security Monitoring Project for Radiological Analysis: FY 07 \$750,000; and FY 08 est \$750,000 and FY 09 est \$750,000.

**Range and Average of Financial Assistance:**

An average of \$350,000 total cost per award per year (direct plus indirect combined) for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

For the Food Safety and Security Monitoring Program for Chemical Analysis: award of 8 cooperative agreements and supply of necessary equipment and training to begin the analysis. Equipment is in place and training has been accomplished. Labs have been involved in: participation in proficiency testing for Food Emergency Response Network (FERN), participation in method development and method validation for food safety and food defense methods, and participation in food defense surveillance assignments. The 8 Chemistry Cooperative Agreement labs participated in the FDA's Pet Food surveillance assignment. For the Food Safety and Security Monitoring Program for Radiological Analysis: award of 3 cooperative agreements, now starting second year. Equipment has been purchased, and some minor remodeling of existing facility is underway. Training has been accomplished, and method development/validation is ongoing. Two new Radiological Cooperative Agreements have been awarded, with funding started FY08. Equipment has been ordered. Some initial training has occurred.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State

and Local Governments; the HHS Grants Policy Statement (most recent update) available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>; Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100-Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

Regional and Local Office information will be provided in the application packet, if applicable.

**Headquarters Office:**

Program Contact: Jennifer Gabb, Division of Federal-State Relations, Office of Regulatory Affairs (ORA), Food and Drug Administration, HFC-140, 5600 Fishers Lane, Rm 1207, Rockville, MD 20857, Telephone: (301) 827-2899, E-mail: [jennifer.gabb@fda.hhs.gov](mailto:jennifer.gabb@fda.hhs.gov).

**Web Site Address:**

[http://www.fda.gov/ora/fed\\_state/default.htm](http://www.fda.gov/ora/fed_state/default.htm); or <http://www.grants.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

For Food Safety and Security Monitoring Project for Chemical Analysis: Virginia Food Safety and Security Monitoring Project; Minnesota Food Safety and Security Monitoring Project; Arizona Food Safety and Security Monitoring Project. For Food Safety and Security Monitoring Project for Radiological Analysis: Surge Capacity Program.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for responsiveness by the Grants Management staff and the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the requirements of the Federal Register Notice and/or NIH Guide. All responsive applications will be reviewed by an ad hoc committee. Each application will be scored and ranked based on the following criteria: a) adequacy of facilities, expertise of project staff, equipment, support services, commitment to analyze surveillance samples, and quality management practices needed for the project; b) expertise in the use of gas chromatography/mass spectrometry for the analysis of foods or animal tissues; c) expertise in the use of liquid chromatography/mass spectrometry for the analysis of foods or animal tissues; d) expertise in the use of inductively coupled plasma/mass spectrometry for the analysis of foods or animal tissues; e) expertise in the use of ELISA and other antibody based analyses for the identification of toxins in foods or animal tissues; f) current food or animal tissue analysis programs; g) the rationale and design to meet the goals of the cooperative agreement; h) quality control and quality assurance procedures and practices; i) abilities and procedures in place to recall personnel, establish extended work-weeks. All funding decisions will be made by the Commissioner of Food and Drug Administration or his designee.

## 93.449 RUMINANT FEED BAN SUPPORT PROJECT

**FEDERAL AGENCY:**

FOOD AND DRUG ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

**OBJECTIVES:**

To assist in an increased surveillance presence throughout the commercial feed channels to prevent the introduction or amplification of Bovine Spongiform Encephalopathy (BSE) in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible institutions in the name of the principal investigator for a discrete project. Funds are to be used for location and visitation of firms involved in the manufacture, distribution and transportation of animal feed, and operations feeding ruminant animals in their jurisdiction, to verify compliance with the ruminant feed ban. Visitations could include annual inspections of renderers, protein blenders and feed mills that manufacture animal feeds and feed ingredients utilizing materials prohibited under the ruminant feed ban that are not covered under existing FDA contracts and other agreements. Funds can be used for inspections of salvagers of food and feed, and transporters of animal feed and feed ingredients, supplies, training, laboratory equipment for feed sample testing, and as a supplement to the annual State program appropriations. Funds may not be used to replace annual State program funds for these purposes.

**Applicant Eligibility:**

This cooperative agreement program is only available to State and Tribal Feed/BSE regulatory programs.

**Beneficiary Eligibility:**

The general public, State and Tribal Feed/BSE regulatory programs.

**Credentials/Documentation:**

Applications must present a plan and furnish evidence that facilities, personnel and equipment are appropriate to carry out the plan. Costs will be determined in



accordance with OMB Circular No. A-87 for State and local governments and Executive Order 12372 as it applies.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program.

**Application Procedure:**

The standard application forms noted in the Request for Application (RFA) and or the Funding Opportunity Announcement published in the NIH Guide and as provided by the FDA through grants.gov, and as required by 45 CFR 72 must be used for this program. All applicants must complete the required forms through grants.gov for new competing continuations or competing supplemental research grants. The application packages are posted under the "APPLY" section of this announcement under <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a scientific review for technical merit and a recommendation for approval by an appropriate initial ad hoc review group. All approved and scored applications compete for available funds on the basis of score, scientific merit and program analysis. Geographic distribution will be a consideration in the award selection process.

**Deadlines:**

Applications will be due no later than 30 days after publication in the Federal Register and/or NIH Guide.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Renewals are available. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the projects. For those projects with an expected duration of more than 1 year, a 2nd or 3rd year of non-competitive continuation of support will depend on 1) performance during the preceding year and 2) availability of Federal funds.

**Reports:**

For continuing grants and cooperative agreements, an annual program progress report and an annual Financial Status Report as well as final program progress report are required. Final program progress reports and Financial Status reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (e.g. most recent revision), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

All cooperative agreement documentation must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Progress reports, expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms of the grant or may be considered pertinent to a grant must be retained for 3 years from the date the grantee submits the final financial status report for the report period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

FY 07 \$2,000,000; FY 08 est \$2,000,000; and FY 09 est. \$2,000,000.

**Range and Average of Financial Assistance:**

An average of \$250,000 total cost per award (direct and indirect) for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

Enhancement of government infrastructure of animal feed safety and bovine spongiform encephalopathy prevention programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State

and Local Governments; the HHS Grants Policy Statement (most recent revision); Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100--Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

Regional office information will be provided in the application packet, if applicable.

**Headquarters Office:**

Jennifer Gabb, Division of Federal-State Relations, Office of Regulatory Affairs, HFC-150, 5600 Fishers Lane, Room 1207, Rockville, MD 20857. Telephone: (301) 827-2899; E-mail: [jennifer.gabb@fda.hhs.gov](mailto:jennifer.gabb@fda.hhs.gov).

**Web Site Address:**

<http://www.grants.gov/> or [http://www.fda.gov/ora/fed\\_state/default.htm](http://www.fda.gov/ora/fed_state/default.htm).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Florida Ruminant Feed Ban Enhancement Project; Nebraska Ruminant Feed Ban Support Project; Office of the Texas State Chemist BSE Prevention Program.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for responsiveness by the Grants Management Staff and the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the requirements of the Federal Register and/or NIH Guide notice. All responsive applications will be reviewed by an ad hoc committee. Each application will be scored and ranked based on the following criteria 1) availability of adequately trained staff; 2) detailed description of current feed regulatory program; 3) properly detailed budget that is intended to supplement State or Tribal appropriations; 4) accurate count of all feed facilities, etc., in the State or Tribal nation; 5) detailed description of how inspections are to be performed; 6) detailed descriptions of how current, non-inspected facilities will be identified and added to the State's inspection responsibilities; 7) ability to satisfy the reporting requirements; 8) provision of current funding level certification; 9) detailed methodology for program improvement; 10) justification for hiring new staff; and 11) detailed description of the enforcement of violative facilities; under the cooperative agreement all funding will be made by the Commissioner of the Food and Drug Administration or his designee.

## 93.550 TRANSITIONAL LIVING FOR HOMELESS YOUTH

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

The Runaway and Homeless Youth Act (Title III of the Junvenile Justice and Delinquency Prevention Act of 1974), as amended by the Runaway, Homeless, and Missing Children Protection Act of 2003, Public Law 108-96 under Part B. Text of this legislation can be located at <http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/RHYComp.pdf>.

**OBJECTIVES:**

The overall purpose of the Transitional Living Program (TLP) for Homeless Youth and the Maternity Group Homes (MGH) is to establish and operate transitional living projects for homeless youth, including pregnant and parenting youth. This program is structured to help older homeless youth achieve self-sufficiency and avoid long-term dependency on social services. Transitional living projects provide shelter, skills training, and support services to homeless youth, including pregnant and parenting youth, ages 16 through 21 for a continuous period not exceeding 18 months. Youth who are under the age of 18 years at the completion of 18 months can remain in the program for either an additional 180 days or until the youth turns 18, whichever occurs first. MGHs provide the same services as the TLP in addition to providing parenting instructions and child care. Other services that are offered include, but are not limited to, transportation, family planning, abstinence education and pregnancy prevention services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Transitional Living Programs are required to provide youth with stable, safe living accommodations and services that help them develop the skills necessary to move to independence. Living accommodations may be host family homes, group homes, Maternity Group Homes, or "supervised apartments." (Supervised apartments are either agency-owned apartment buildings or "scattered site" apartments, which are single-occupancy apartments rented directly by young people with support from the agency.) Eligible applicants include States, localities, private entities, and coordinated networks of such entities unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Indian Tribes that are not federally recognized and urban Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based

organizations are eligible to apply for Transitional Living Program grants.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Transitional Living Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Homeless youth (ages 16 to 21).

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administration procedures will be determined in accordance with Parts 74 and 92 or Title 45, Code of Federal Regulations.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC.)

**Application Procedure:**

Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts, which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

As specified in the announcement or application instructions.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are made for 5-year project periods; funding after the first year is dependent upon satisfactory performance, availability of funds and determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

Grantee must provide matching funds equal to at least 10 percent of the Federal share. (There are certain exceptions for Tribes with "638" funding pursuant to P.L. 93-638, under which certain Federal grants funds may qualify as matching funds for other Federal grant programs, e.g., those which contribute to the purposes for which grants under section 638 were made). The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a five-year project costing \$1,000,000 in Federal funds (based on an award of \$200,000 per 12-month budget period) must include a match of at least \$100,000 (\$20,000 per budget period).

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of 5 years.

**Reports:**

Progress and Fiscal reports must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$39,539,000; FY 08 \$43,268,000; and FY 09 est \$43,268,000. (Contracts) FY 07 \$1,953,000; FY 08 \$4,187,000; and FY 09 est \$4,177,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000; \$195,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 203 grants were awarded. It is estimated that 209 grants will

be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

Contact: Administration for Children and Families, Family and Youth Services Bureau (See Appendix IV of this Catalog for the addresses of the Regional Offices.)

**Headquarters Office:**

Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, 1250 Maryland Ave, S.W., Washington, DC 20447. Contact: Curtis Porter. Telephone: (202) 205-8306.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.623, Basic Center Grant; 93.674, Chafee Foster Care Independence Program; 93.557, Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2007, 203 grants were awarded. In fiscal year 2008, it is anticipated that 209 grants will be awarded and 209 grants will be awarded in FY 2009.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.551 ABANDONED INFANTS**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Abandoned Infants Assistance Act of 1988, Section 104, Public Law 100-505, as amended, Public Law 108-36, 42 U.S.C. 670.

**OBJECTIVES:**

To develop, implement and operate projects that demonstrate how to: (1) Prevent the abandonment of infants and young children exposed to HIV/AIDS and drugs, including the provision of services to family members for any conditions that increased the probability of abandonment of an infant or young child; (2) identify and address the needs of abandoned infants, especially those born with AIDS and those exposed to drugs; (3) assist these children to reside with their natural families, if possible, or in foster care; (4) recruit, train and retain foster parents for these children; (5) carry out residential care programs for abandoned children and children with AIDS who are unable to reside with their families; (6) establish programs of respite care for families and foster families; (7) recruit and train health and social services personnel to work with families, foster families and residential care staff; and (8) prevent the abandonment of infants and young children by providing needed resources through model programs. This program also funds technical assistance, including training, with respect to the planning, development and operation of the projects.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

Funds may be used to accomplish any of the stated program objectives.

**Applicant Eligibility:**

State or local governments; federally- recognized Indian Tribal governments; U.S. Territories and possessions; and nonprofit organizations and universities.

**Beneficiary Eligibility:**

Infants and children impacted by HIV/AIDS and or substance abuse, their parents, families, and other caretakers.

**Credentials/Documentation:**

Requirements will be specified in pertinent Federal Register Announcements.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application procedure can be obtained at: <http://www.acf.hhs.gov/grants/index.html> or by contacting Headquarters Office, listed below, for application information.

**Award Procedure:**

Review is conducted by at least three non-federal professionals. Final funding

decision will be made by Commissioner, ACYF.

**Deadlines:**

Application deadlines can be obtained via [www](http://www.ACF.HHS.gov/grants/index.html)  
<http://www.ACF.HHS.gov/grants/index.html>.

**Range of Approval/Disapproval Time:**

From 60 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Grantees are required to show in the cost of the project a minimum cost sharing of 10 percent of the total project cost.

**Length and Time Phasing of Assistance:**

Grants will be made for a period up to 48 months.

**Reports:**

Financial reports are required semi-annually; program progress reports are required semi-annually; a final report and an expenditure report are required no later than 90 days after the completion of the project.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$11,835,000; FY 08 \$11,628,000; and FY 09 est \$11,628,000.

**Range and Average of Financial Assistance:**

The range of award amounts is from \$218,996 to \$475,000; The average award is \$475,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 there were 31 grant awards. In FY 2008 there will be 23 grants awarded. In FY 2009 there will be approximately 23 grants awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature.

**Regional or Local Office:**

None.

**Headquarters Office:**

Children's Bureau, 1250 Maryland Avenue, S.W., 8th Floor, Washington, DC 20024. Contact: Patricia Campiglia; Telephone: (202) 205-8060.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters Office for specific criteria.

## 93.556 PROMOTING SAFE AND STABLE FAMILIES

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, as amended, Title IV, Part B, Subpart 2; Omnibus Budget Reconciliation Act of 1993; Public Law 103-66; Social Security Amendments of 1994, Public Law 103-432; Adoption and Safe Families Act of 1997, Public Law 105-89; Promoting Safe and Stable Families Amendments of 2001, Public Law 107-133.

**OBJECTIVES:**

To fund family preservation that serve families at risk or in crisis, including the following services: reunification and adoption services, preplacement/preventive services, follow-up services after return of a child from foster care, respite care, services designed to improve parenting skills; and infant safe haven programs; to fund community-based family support services that promote the safety and well-being of children and families, to afford children a safe, stable and supportive family environment, to strengthen parental relationships and promote healthy marriages, and otherwise to enhance child development; to fund time-limited family reunification services to facilitate the reunification of the child safely and appropriately within a timely fashion; and to fund adoption promotion and support services designed to encourage more adoptions out of the foster care system, when adoption, promotes the best interests of the child. In addition, a

portion of funds also is reserved in FY 2008 - FY 2011 for a separate formula grant for States and territories to support monthly caseworker visits with children who are in foster care. A small proportion of appropriated funds is reserved for research, evaluation and technical assistance, which may be awarded competitively through contracts or discretionary grants.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Discretionary).

**USES AND USE RESTRICTIONS:**

For the main Promoting Safe and Stable Families Formula Grants, a significant portion of funds must be spent on each of the service categories of family preservation, family support services, time-limited family reunification services and adoption promotion and support services. State grantees must limit administrative expenditures to 10 percent of their allotment. Caseworker visit formula grants: States and territories are required to spend funds to support monthly caseworker visits with children in foster care with a primary emphasis on activities designed to improve caseworker retention, recruitment, training and ability to access the benefits of technology. Discretionary Grants: Grants are awarded for research, evaluation and technical assistance activities relating to family support, family preservation, time-limited family reunification and adoption promotion support.

**Applicant Eligibility:**

(1) Formula Grants: States, territories and certain Indian Tribes are eligible applicants. For caseworker visit funds, only States and territories are eligible applicants. (2) Discretionary Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations) with expertise in providing, evaluating and/or providing technical assistance related to family preservation, family support, time-limited family reunification and adoption promotion and support.

**Beneficiary Eligibility:**

Families and children who need services to assist them to stabilize their lives, strengthen family functioning, prevent out-of-home placement of children, enhance child development and increase competence in parenting abilities, facilitate timely reunification of the child, and promote appropriate adoptions.

**Credentials/Documentation:**

Formula Grants: The State agency which administers the social services program under Title XX of the Social Security Act (Social Services Block Grant) must also be the agency which administers the Title IV-B programs. Discretionary Grants: Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

(1) Formula Grants: Not applicable. This program is excluded from coverage under E.O. 12372. (2) Discretionary Grants Standard application forms as furnished by DHHS must be used for this program. This program is eligible for coverage under E.O.12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application Procedure (1) Formula Grants: A 5-year State plan must be submitted. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after consultation by the agency with appropriate public and non-profit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations. (2) Discretionary Grants: Announcement of availability of funds is published in the Federal Register. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

(1) Formula Grants: Funds will be approved after the State plan, or annual update is submitted and approved.(2) Discretionary Grants: Grant applications are reviewed by a panel of nonfederal professionals with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner, Administration for Children, Youth, and Families (ACYF). Contract proposals are reviewed by a panel of Federal Staff.

**Deadlines:**

(1) Formula Grants: States, Territories and Indian Tribes are encouraged to submit applications in accordance with Departmental requirements. Contact Headquarters Office listed below for information. (2) Discretionary Grants: Deadlines change from year to year. Each program announcement provides specific deadline information. See [www.grants.gov](http://www.grants.gov) for announcement details.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time (1) Formula Grants: The State plan or its annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year. (2) Discretionary Grants: From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with Departmental regulations at 45 CFR 16.

**Renewals:**

None.



**Formula and Matching Requirements:**

Formula and Matching Requirements: (1) Formula Grants: State allotments are computed based on the number of children receiving food stamps over a three year rolling average. Allotments to Indian Tribes, including Tribal consortia are based on a percent set aside of the total appropriation in each fiscal year and computed based on the number of children in the tribe compared to the total number of children in eligible Indian Tribes. However, grants will not be made to Indian Tribes whose allotment is less than \$10,000. Allotments to Territories are based on the formula in subpart 1 of Title IV-B. Match: FFP is 75 percent of expenditures: grantees must provide a 25 percent match. (2) Discretionary Grants: matching requirements are described in each program announcement.

**Length and Time Phasing of Assistance:**

(1) Formula Grants: Grant awards will be made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draws from Federal Reserve Banks. (2) Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Reports:**

(1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project.

**Audits:**

Audits are conducted in accordance with the requirement of 45 CFR 74.

**Records:**

(1) Formula Grants: Grantees must report expenditures for the most recent year for which fiscal expenditures are completed and must maintain records which permit review of expenditures in accordance with the provisions of the law. (2) Discretionary Grants: All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Grants, Tribal Grants, and Contracts) FY 07 \$381,104,000; FY 08 \$361,222,000; and FY 09 est \$365,222,000.

**Range and Average of Financial Assistance:**

In FY 2007, an allotment to a State ranged from \$400,925 to \$37,396,892; Tribes received from \$10,046 to \$1,406,177. Discretionary grant awards range from \$100,000 to \$700,000 with the average award being \$250,000 for FY 07, FY 08 and FY 09. For FY2008 and FY2009 the range for States is from approximately \$375,103 to \$34,988,313 and for Tribes \$10,765 to \$1,858,658.

**PROGRAM ACCOMPLISHMENTS:**

There were 52 State grants awarded (including the District of Columbia and Puerto Rico) and 4 territory grants awarded each fiscal year. 137 Tribes are eligible for grants awards in FY 2007. The increase in eligible Tribes is due to an increase (to 3%) in the tribal set-aside.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

Consult Regional Administrators, Administration for Children and Families. (See Appendix IV of the Catalog for listing).

**Headquarters Office:**

Headquarters Office: Eileen West, Program Specialist, 1250 Maryland Avenue, SW., Washington, DC 20024. Telephone: (202) 205-8438.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.586, State Court Improvement Program; 93.667, Social Services Block Grant; 93.645, Child Welfare Services\_State Grants; 93.648, Child Welfare Services Training Grants; 93.659, Adoption Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable for Formula Grants. For Discretionary Grants: collaboration between TANF and Child Welfare to program outcomes; National Resource Center for Family-Centered Practice and Permanency planning; Projects to Develop Programs to Strengthen Marriages.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.557 EDUCATION AND PREVENTION GRANTS TO REDUCE SEXUAL ABUSE OF RUNAWAY, HOMELESS AND STREET YOUTH

(Street Outreach Program - SOP)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF

**HEALTH AND HUMAN SERVICES****AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, Section 40155, Part A, Public Law 103-322; Runaway, Homeless, and Missing Children Protection Act of 2003, Public Law 108-96 under Part E. Runaway and Homeless Youth Act, 42, USC Sections 5701 through 5752.

**OBJECTIVES:**

The Street Outreach Program (SOP) makes grants available to nonprofit agencies for the purpose of providing street-based services to runaway, homeless and street youth who have been subjected to, or are at risk of being subjected to, sexual abuse, prostitution, or sexual exploitation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provide education and prevention services, directly or through collaboration with other agencies, to runaway, homeless and street youth that have been subjected to or are at risk of sexual exploitation or abuse. The goal and design of these efforts is to help young people leave the streets to build positive relationships.

**Applicant Eligibility:**

Any private, nonprofit agency is eligible to apply. Nonfederally recognized Indian Tribes and urban Indian organizations are eligible to apply for grants as private, nonprofit agencies: (Note: Public agencies are not eligible).

**Beneficiary Eligibility:**

Runaway and homeless street youth will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC).

**Application Procedure:**

Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Application deadlines can be obtained via the Internet at the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Grantee must provide a nonfederal share or match of at least 10 percent of the Federal funds awarded. The nonfederal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months.

**Reports:**

Progress and fiscal reports must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$15,024,000; FY 08 \$17,221,000; and FY 09 est \$17,221,000.  
(Contracts) FY 07 \$1,118,000; FY 08 \$1,582,000; and FY 09 est \$1,572,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 136 grants were awarded. It is anticipated that 156 grants will be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, 5515 Security Lane Suite 800 North Bethesda, MD 20852. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is <http://www.http://ncfy.acf.hhs.gov> and general email address is [info@ncfy.com](mailto:info@ncfy.com).

**Regional or Local Office:**

Contact: Administration for Children and Family, Family and Youth Services Bureau, Division of Youth Services. (See Appendix IV of this Catalog for the addresses of the Regional Offices.)

**Headquarters Office:**

Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Curtis Porter; Telephone: (202) 205-8306. Use the same number for FTS.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.623, Basic Center Grant; 93.550, Transitional Living for Homeless Youth.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2007, 136 projects provided services for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support. It is anticipated that 156 grants will be awarded in fiscal years 2008 and 2009.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Organizations with experience in providing services to homeless youth are given priority.

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES**

(TANF)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, as amended; Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Public Law 104-193; Balanced Budget Act of 1997, Public Law 105-33; Deficit Reduction Act of 2005 (DRA), Public Law 109-171.

**OBJECTIVES:**

To provide grants to States, Territories, the District of Columbia and federally recognized Indian Tribes operating their own Tribal TANF programs to assist needy families with children so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work, and marriage; to reduce and prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

States (including the District of Columbia), Territories, or and Federally-recognized Indian Tribes operating their own TANF programs have broad flexibility to use the grant funds in any manner that meets the purposes of the program (including providing low-income households with assistance in meeting home heating and cooling costs) and in ways that the State, Territory, and Tribe was authorized to use funds received under the predecessor Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) programs. States and Territories may also transfer a limited portion of their assistance grant funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. Not more than 15 percent of any State grant may be spent on administrative costs, exclusive of certain computerization and information technology expenses. Cash grants, work opportunities, and other services are made directly to needy families with children. For Tribal programs, ACF will

negotiate a limitation on administrative costs for the first year of the program's operation not to exceed 35 percent, for the second year of the program's operation not to exceed 30 percent, and then for the third and subsequent years of the program's operation not to exceed 25 percent.

**Applicant Eligibility:**

In general, all States, Territories, the District of Columbia, and all federally-recognized Tribes in the lower 48 States and 13 specified entities in Alaska are eligible. State and local agencies and Tribes that operate TANF programs must do so under plans determined to be complete or approved by the Department of Health and Human Services (DHHS). For Contingency Funds, all States and the District of Columbia are eligible if they are determined to be a "needy State" by satisfying either an unemployment trigger or a food stamp trigger. Territories and Tribes are not eligible for Contingency Funds.

**Beneficiary Eligibility:**

Needy families with children, as determined eligible by the State, Territory, or Tribe in accordance with the State or Tribal plan submitted to the Department of Health and Human Services (HHS).

**Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal agency certified by the Chief Executive Officer. Needy families must meet State or Tribal eligibility requirements.

**Preapplication Coordination:**

Each State and Territory must develop a State plan. Applicants must consult with local governments and private organizations and provide them 45 days to comment on the plan. Tribes may apply to the Secretary to receive funds and to administer the TANF block grant. Tribes would submit a 3-year family assistance plan. The Secretary, in consultation with the Tribe, would set program requirements and time-limits for receipt of welfare-related services, consistent with the purposes of the program and economic conditions/resources of each tribe. Tribes should contact the OFA Regional TANF Program Manager for Tribal plan submittal procedures. For Contingency Funds, each State must request these funds monthly for each month they meet either the unemployment or food stamp triggers. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each State plan, including the certifications signed by the Executive Officer (Governor), must be submitted to the Secretary of HHS. Tribes should contact the OFA Regional TANF Program Manager for Tribal plan submittal procedures. For Contingency Funds, each State must request these funds monthly for each month they meet either the unemployment or food stamp triggers.

**Award Procedure:**

Once a plan is determined complete, or in the case of a Tribe the plan is approved, by the DHHS, Family Assistance Grants are awarded in quarterly payments. Contingency Fund awards will be made monthly.

**Deadlines:**

Please contact program office for application deadline. Tribal programs do not face a specific application deadline. For Contingency Funds, requests must be submitted 15 days after eligibility has been determined.

**Range of Approval/Disapproval Time:**

States, Territories, and Tribes implement their assistance programs according to their State and Tribal plans. The Secretary does not have authority to approve or disapprove a State plan, only to determine its completeness. Tribal plans are subject to approval by the Secretary. For Contingency Funds, approval/disapproval will be from 30 to 60 days after receipt of the request for funds.

**Appeals:**

States, Territories, and Tribes facing an adverse action by the Secretary may appeal under both administrative and judicial procedures. States and Tribes must provide opportunities for recipients who have been adversely affected to be heard in a State and Tribal administrative or appeal process.

**Renewals:**

States and Territories must periodically (every 2 or 3 years) renew their funding status by submitting their TANF plan. Tribes must renew their funding status every 3 years. For Contingency Funds, requests for additional funding must be made monthly.

**Formula and Matching Requirements:**

The TANF block grant program has an annual cost-sharing requirement known as "maintenance-of-effort" (MOE). This basically means that every fiscal year, each State receiving Federal TANF funds must spend an applicable percentage of its own money to help eligible families in ways that are consistent with the purposes of the TANF program. The applicable percentage depends on whether the State meets the minimum work participation rate requirements for that fiscal year. If the State does not meet the work participation rates, then it must spend 80 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. If the State meets the work participation rates, then the applicable percentage is 75 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. Tribes that receive Federal TANF funds to operate their own approved Tribal TANF program have no matching or maintenance-of-effort requirement. In addition to the TANF funds States

receive to operate their TANF programs, needy States may request and receive funds from the Contingency Fund. The Contingency Fund was established for periods when unfavorable economic conditions threaten a State's ability to operate its TANF program. To qualify for Contingency Funds, a State must meet and exceed the Contingency Fund MOE requirement. Under the Contingency Fund MOE requirement, a State must spend 100 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. This amount must be spent in the TANF program to help eligible families. (Some of the State funds spent to meet the TANF MOE requirement may also count toward the Contingency Fund MOE requirement.) Federal Contingency Funds are then available to match (at the applicable Federal Medical Assistance Percentage rate, or FMAP) expenditures made in excess of the Contingency Fund MOE requirement. The State's Federal TANF grant for a fiscal year may be reduced for failure to meet any of 14 different program and fiscal requirements. Most of these penalties may be waived either for reasonable cause or, absent reasonable cause, when the State has an approved corrective compliance plan and the State completely corrects or discontinues, as appropriate, the violation within the period covered by the plan. Beginning in late August 2005, access to the Contingency Fund was expanded for a one year period, through August 2006, to States that provided short term non-recurring cash benefits to evacuee families that traveled from the hurricane impacted States of Alabama, Florida, Louisiana, or Mississippi to another State as a result of the hurricane.

#### **Length and Time Phasing of Assistance:**

States, Territories, and Tribes are awarded their assistance grants in quarterly payments. They may reserve grant moneys, without fiscal year limitation, for providing assistance. With certain exceptions, most families are limited to no more than 5 years of assistance under the Federal grant. Tribes have the flexibility to establish time limits on receipt of assistance. For Contingency Funds, grant awards are issued monthly to States meeting the eligibility criteria stipulated under Section 101.

#### **Reports:**

States, Territories, the District of Columbia and federally recognized Indian Tribes operating their own Tribal TANF programs are required to collect and report to the Secretary on a quarterly basis case record information on the families receiving assistance. States, Territories, and Tribes are also required to report administrative costs and overhead expenditures on programs for needy families, participation by noncustodial parents in work activities, and transitional services provided to former recipients. States and Territories must report child poverty information annually in accordance with a methodology established by the Secretary.

#### **Audits:**

Audits shall be conducted by the Inspector General under Chapter 75 of Title 31, United States Code. If a State or Territory is found to have used funds from the State Family Assistance Grant in violation of the statute, the Secretary shall reduce the grant payable to the State for the immediately succeeding fiscal year by that same amount. For Tribes, the Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

#### **Records:**

States, Territories, and Tribes must maintain records containing information the Secretary may require by regulation.

#### **Account Identification:**

75-1552-0-1-609.

#### **Obligations:**

(State and Tribal Family Assistance Grants): FY 07 \$16,479,811,000; FY 08 \$16,488,667,000; and FY 09 est \$16,488,667,000. (Territory Assistance Grants and Matching Grants): FY 07 \$77,229,000; FY 08 \$92,875,000; and FY 09 est \$92,875,000. (Supplemental Grants for Population Increases): FY 07 \$319,450,000; FY 08 \$319,450,000; and FY 09 est \$319,450,000. (Contingency Funds--estimated ending balance) FY 07 \$1,747,489,000; FY 08 \$1,489,636,000; and FY 09 est \$1,216,784,000.

#### **Range and Average of Financial Assistance:**

State Family Assistance Grants are from \$21,781,446 to \$3,733,817,784. Tribal Family Assistance Grants range from \$77,195 to \$31,174,026.

#### **PROGRAM ACCOMPLISHMENTS:**

Grants were made to 50 States, the District of Columbia, 3 territories, and 55 tribal plans in fiscal year 2007. While the number of grants to States, the District of Columbia, and the territories remains constant, the number of tribal plans has increased each fiscal year. It is estimated that the number of tribal plans will increase to 60 during FY 2008 and to 65 in FY 2009.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was published in the Federal Register on April 12, 1999 (Vol. 64, No. 69). Program rules for State programs can be found at 45 CFR Parts 260 through 265. The Tribal Temporary Assistance for Needy Families (TANF) Final Rule was published in the Federal Register on February 18, 2000 (Vol. 65, No. 34). Tribal rules can be found at 45 CFR Part 286. The regulations governing bonuses for high performance and reductions in out-of-wedlock child bearing may be found at CFR Part 270 and Part 283, respectively.

#### **Regional or Local Office:**

States, Territories, and Tribes should contact the Administration for Children and Families (ACF), Office of Family Assistance (OFA) Regional TANF Program Managers. (See Appendix IV of the Catalog under Department of Health and Human Services, Administration for Children and Families.)

#### **Headquarters Office:**

For all grants: Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-9275.

#### **Web Site Address:**

State TANF: <http://www.acf.dhhs.gov/programs/ofa/>; Tribal TANF: <http://www.acf.dhhs.gov/programs/dts>.

#### **RELATED PROGRAMS:**

93.594, Tribal Work Grants; 93.595, Welfare Reform Research, Evaluations and National Studies; 93.596, Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.667, Social Services Block Grant.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## **93.560 FAMILY SUPPORT PAYMENTS TO STATES- ASSISTANCE PAYMENTS**

(Adult Programs in the Territories)

#### **FEDERAL AGENCY:**

OFFICE OF FAMILY ASSISTANCE WITHIN THE ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Social Security Act, Title IV, Part A, as amended; Public Law 104-193; Title I, 42 U.S.C. 301-306; 42 U.S.C. 1308, Title X, 42 U.S.C. 1201-1206; Title XIV, 42 U.S.C. 1351-1355; Title XVI (AABD), 42 U.S.C. 1381 note - 1385 note; Public Laws 97-35, 97-248, 97-300, 98-369, 100-485, and 103-66.

#### **OBJECTIVES:**

To provide aid to the aged, blind, and the permanently and totally disabled in Guam, Puerto Rico, and Virgin Islands.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Cash payments are made to eligible needy aged, blind, or disabled persons in Guam, Puerto Rico, and the Virgin Islands. These payments are to cover costs for food, shelter, clothing, and other daily living needs recognized as necessary by each Territory's program. In addition, an individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least eighteen years of age and totally disabled to receive aid to the permanently and totally disabled.

#### **Applicant Eligibility:**

Agencies must operate under Department of Health and Human Services (HHS) approved plans and agreements, which must comply with all Federal statutory and regulatory requirements governing these programs. The applicant must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least eighteen years of age and totally disabled to receive aid to the permanently and totally disabled.

#### **Beneficiary Eligibility:**

The beneficiary must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least eighteen years of age and totally disabled to receive aid to the permanently and totally disabled. These programs also have specific unearned and earned income disregards that are applied in determining the amount of assistance payable.

#### **Credentials/Documentation:**

Federal funds must go to a certified Territorial welfare agency. Individuals must meet all eligibility requirements. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, the Social Security Act, and Federal Regulations.

#### **Preapplication Coordination:**

The standard application forms, as furnished by DHHS and required by OMB Circular No. A-102 for State and local governments must be used for this program. Applications are available from the Administration for Children and Families (OFA/ACF) Regional Offices. (See Appendix IV of the Catalog for addresses.) This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Eligible individuals should apply directly to their Territorial or local welfare agency. The Territories should contact the Regional TANF program manager for application forms. (See Appendix IV of the Catalog for addresses.)



OFA/Regional Temporary Assistance for Needy Families (TANF) program managers have authority to approve applications and amendments; disapproval authority is held by the Director of the Office of Family Assistance, in the Administration for Children and Families. Territories contact the Regional TANF program manager for applications for administrative funds. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Once an application is approved, Territories are awarded funds quarterly based on ACF-approved estimates of maintenance assistance and administrative costs. Notification of awards must be made to the designated Territorial agency. Eligible individuals receive monthly subsistence checks from Territorial welfare agencies.

**Deadlines:**

Individuals residing in Guam, Puerto Rico, or the Virgin Islands who are aged, blind, or disabled may apply anytime for this assistance at their local welfare agency.

**Range of Approval/Disapproval Time:**

Welfare agencies must have a time standard for notifying applicants of approval/disapproval; not over 45 days after application, except 60 days for aid to disabled.

**Appeals:**

Individuals denied assistance must be given a fair hearing on appeal (45 CFR, Chapter 2, Section 205.10). Territorial agencies may request a hearing before the Assistant Secretary for Family Support regarding adverse decisions (45 CFR, Chapter 2, Section 201.14; 45 CFR, Part 16).

**Renewals:**

The agency must conduct periodic reviews to determine whether conditions justifying eligibility still exist.

**Formula and Matching Requirements:**

Formula and Matching Requirements: Essentially the Federal share of expenditures for Old Age Assistance, Aid To The Blind, and Aid To The Permanently and Totally Disabled programs is equal to about 75 percent, not to exceed a maximum amount per recipient. However, there is a statutory limit on the total Federal matching or grant payments that Puerto Rico, the U.S. Virgin Islands and Guam may receive for programs that are subject to this payment ceiling. These programs include the above-named Adult programs, the TANF Program, the Federal Foster Care, Adoption Assistance, Independent Living Programs authorized under Title IV-E of the Social Security Act, and the Federal Matching Grant program under section 1108(b) of the Social Security Act. If the Territory has not exceeded its payment ceiling amount for the fiscal year, then the Territory may request and receive Federal matching funds for the above-named Adult programs.

**Length and Time Phasing of Assistance:**

Individuals receive support from the Territorial or local welfare agency until they no longer meet the eligibility requirements.

**Reports:**

Territory must submit fiscal FSA-231 and statistical reports as required by the Secretary of HHS to ACF. A Treasury Report, TUS- 5104, is required from the States each time funds are drawn and no less frequently than monthly.

**Audits:**

Audits are performed by the HHS Office of Inspector General. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Territories must maintain records which substantiate eligibility determination and grants that are made.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 07 \$32,808,000; FY 08 \$35,000,000; and FY 09 est \$35,000,000.

**Range and Average of Financial Assistance:**

\$700,000 to \$21,000,000; \$7,700,000.

**PROGRAM ACCOMPLISHMENTS:**

There were 3 awards made to the territories of Puerto Rico, Guam and the Virgin Islands in fiscal years 2006, 2007 and 2008. Similar awards will be made in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACF regulations are published in the Federal Register, 45 CFR 200 et seq.

**Regional or Local Office:**

Individuals needing assistance should contact the local welfare agency. Territories should contact OFA/ACF Regional Offices. (See Appendix IV of the Catalog Department of Health and Human Services, Administration for Children

and Families.)

**Headquarters Office:**

Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor, Aerospace Building, 370 L'Enfant Promenade, S.W., Washington, DC 20447. Telephone: (202) 401-9275.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/ofa>.

**RELATED PROGRAMS:**

93.563, Child Support Enforcement; 93.778, Medical Assistance Program; 96.001, Social Security\_Disability Insurance; 96.006, Supplemental Security Income.

**EXAMPLES OF FUNDED PROJECTS:**

Assistance payments made to eligible needy aged, blind, or totally disabled persons in Guam, Puerto Rico, and the Virgin Islands.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.563 CHILD SUPPORT ENFORCEMENT

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title IV-D, as amended, Public Laws 94-46, 94-88, 94-365, 95-30, 95-59, 95-171, 95-598, 96-178, 96-265, 96-272, 96-611, 97-35, 97-248, 98-369, 98-378, 100-485, and 101- 508; 15 U.S.C. 1673; 26 U.S.C. 6103(i); 26 U.S.C. 6305; 26 U.S.C. 6402(c); 29 U.S.C. 49b; 42 U.S.C. 651-667; 42 U.S.C. 1310; 42 U.S.C. 1315.

**OBJECTIVES:**

To enforce the support obligations owed by absent parents to their children, locate absent parents, establish paternity, and obtain child, spousal and medical support.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

States and some Tribes provide support enforcement services directly to individuals who are receiving federally-funded Foster Care Maintenance Payments, Medicaid, Temporary Assistance to Needy Families (TANF) (or those who cease to receive TANF), and to individuals not otherwise eligible for such services. TANF, Medicaid, and certain federally-funded Foster Care applicants or recipients must have assigned support rights to the State. Non-TANF individuals other than those who cease to receive TANF and/or who provide authorization to the IV-D agency to continue support enforcement services, must have signed a written application for support enforcement services. The State must provide services to locate absent parents, establish paternity and enforce support obligations.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands, and Guam. Each of these jurisdictions is required to establish or designate a single and separate State Child Support Enforcement Agency. Tribes are eligible and we currently have seventeen tribal child support programs and 23 in the start-up phase.

**Beneficiary Eligibility:**

The State must provide support enforcement services to: (1) All applicants for, or recipients of TANF, Foster Care Maintenance Payments, and Medicaid, for whom an assignment to the State of support rights has been made and who are in need of such services; (2) all individuals who cease to receive TANF; (3) individuals who provide authorization to the IV-D agency to continue support enforcement services; and (4) any other individual who is in need of such services and who has applied for them.

**Credentials/Documentation:**

The State IV-D agencies must be operating in accordance with an approved Title IV-D State plan. Costs eligible for Federal funding will be determined in accordance with OMB Circular No. A-87 and 45 CFR 304. Tribes must submit a Tribal IV-D application and plan and upon approval receive funding to operate a IV-D program.

**Preapplication Coordination:**

State officials prepare and review state plans and amendments. Regional Office staff are available for consultation or assistance in preparation of State plans and amendments. The standard application forms, as furnished by Department of Health and Human Services (DHHS) and required by OMB Circular No. A-102, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. High level State officials review State Plans and amendments before they are submitted. Regional ACF Office staff are available for consultation or assistance in preparation of State plans and amendments. The standard application forms,

as furnished by Department of Health and Human Services (DHHS) and required by OMB Circular No. A-102, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications are made in the form of a State Plan, prepared in the format provided by the Office of Child Support Enforcement. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide support enforcement services to individuals eligible under an approved Title IV-D State plan.

**Deadlines:**

State estimates must be submitted 60 days prior to the period of the estimate.

**Range of Approval/Disapproval Time:**

State Plans and amendments submitted as new State Plans, and Plan amendments may require up to 90 days for approval.

**Appeals:**

The State may request reconsideration of plan disapproval or plan amendment disapproval within 60 days after that disapproval.

**Renewals:**

Once approved, State IV-D plans remain in effect until amended or revised.

**Formula and Matching Requirements:**

Federal Financial Participation (FFP) for States and territories is 66 percent of the administrative costs incurred by the State pursuant to an approved Title IV-D State plan. This includes costs incurred by certain court and law enforcement officials pursuant to cooperative agreements with the IV-D agency. Incentive payments are made to States from the Federal share of TANF recoupments. Tribal Child Support programs receive 90 percent Federal Financial Participation during the first three years of operation of the program. Subsequently, Tribal IV-D programs receive 80 percent. Tribes without a IV-D program, may apply for 100 percent funding to put a IV-D program into place.

**Length and Time Phasing of Assistance:**

Federal funds are awarded quarterly on a fiscal year basis. The Electronic Transfer System is used for monthly cash draw from Federal Reserve Banks based on quarterly awards.

**Reports:**

Quarterly financial reports of administrative expenditures and child support collections and annual program reports including caseload data are required by Office of Child Support Enforcement (OCSE).

**Audits:**

Periodic audits are made as part of the recipient's systems of financial management and internal control in accordance with Public Law 98-502, the Single Audit Act of 1984. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. OCSE conducts data reliability audits of variables used to compute performance measures. These audits were mandated by The Child Support Performance and Incentive Act of 1998 (CSPIA).

**Records:**

The IV-D agency must maintain records necessary for the proper and efficient administration of the State IV-D plan.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Grants) FY 07 \$4,395,600,000; FY 08 est \$4,201,182,000; and FY 09 est \$3,825,078,000.

**Range and Average of Financial Assistance:**

In FY 07, from \$776,584,564 to \$7,725,312; \$48,303,297; FY 08, from \$737,583,563 to \$7,337,338; \$38,542,954; FY 09, from \$667,998,192 to \$6,645,116; \$35,092,459.

**PROGRAM ACCOMPLISHMENTS:**

In all fiscal years, 54 grants are expected to be awarded to States. Tribal programs received \$19,652,754 in FY 07; estimated \$45,000,000 in FY 08 and estimated \$61,000,000 in FY 09. Child Support collections were \$25 billion in FY 07, estimated \$25 billion in FY 08; and estimated \$26 billion in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR, Chapter III, 45 CFR 16, 45 CFR 74, 45 CFR 95, 45 CFR 213, 45 CFR 232.

**Regional or Local Office:**

Regional Representative, Department of Health and Human Services. (See Appendix IV of the Catalog for addresses and telephone numbers.)

**Headquarters Office:**

Joyce Pitts, Director of the Planning, Research and Evaluation Division in the Office of Child Support Enforcement, Department of Health and Human Services, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401- 5374. FTS is not available.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558, Temporary Assistance for Needy Families; 93.597, Grants to States for Access and Visitation Programs; 93.658, Foster Care Title IV-E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.564 CHILD SUPPORT ENFORCEMENT RESEARCH

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Section 1110, 42 U.S.C. 1310, Section 1115, 42 U.S.C. 1315, as amended, Public Laws 96-265, 98-378, 100-485, and 100-517.

**OBJECTIVES:**

To discover, test, demonstrate, and promote utilization of new concepts which will increase cost effectiveness, reduce welfare dependency, and increase child support collections from absent parents.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded for innovative research and demonstrations of regional and national significance that are responsive to program priorities in Child Support Enforcement, and for coordination, administration and provision of services to target populations. All applications must meet standards of excellence in research and evaluation design. Funds authorized under Section 1115 of the Social Security Act are limited to State agencies administering the Child Support Enforcement Program or their umbrella agencies. All applications must outline explicitly the information sought about the administration, or effects of the proposed research and how the activity will be evaluated. Funds may not be used for construction. A Section 1115 waiver of any of the State Plan requirements under Title IV-D of the Social Security Act may be granted in connection with any experimental pilot or demonstration project that will assist in promoting the objectives of the Child Support Enforcement program and meets certain conditions.

**Applicant Eligibility:**

Section 1115 grants may be made only to State Child Support Enforcement agencies or their umbrella agencies.

**Beneficiary Eligibility:**

State agencies, local governments, nonprofit organizations, and for-profit organizations.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized tribal governments. For other grantees, costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit organizations, and any amendments to the aforementioned.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110, as appropriate. The standard application forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used for this program. Application kits which contain the prescribed application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Office of Grants Management, Director, Division of Discretionary Grants, 6th Floor East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-4577. Contact: Daphne Weeden, Director, Division of Discretionary Grants. To be considered for a grant award, all applications must be submitted on the prescribed application forms and submitted to the Division of Grants Management. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. As part of the project title (page 1 of the application form, Form SF-424) the applicant must clearly indicate whether the application submitted is in response to a priority project identified in a program announcement and must reference the unique project identifier (e.g., OCSE-84) for which the application is to compete.

Applications are initially screened for relevance to program interests of the Office of Child Support Enforcement (OCSE). Ineligible applications will be returned to the applicant. Eligible applications are reviewed and evaluated by a review panel of not less than three knowledgeable people. A limited number of projects may be approved pending available funds and will compete with other nonpriority projects. Written assessment of each application is made. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Closing dates are established and published as program announcements in letters to State IV-D directors. Unsolicited applications may be submitted at any time.

**Range of Approval/Disapproval Time:**

From 30 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application for a grant is disapproved, applicants may request the reasons for disapproval. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval.

**Renewals:**

Extensions and continuations of grants with 1-year project periods are generally not available except under extreme circumstances. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for continuation each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This is not applicable to contracts.

**Formula and Matching Requirements:**

Grantees are required to share in the cost of projects. Grantee costs can be as low as 5 percent without approval by the Secretary for Health and Human Services.

**Length and Time Phasing of Assistance:**

Grants are typically three years in length. For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds.

**Reports:**

Quarterly narrative program and semi-annual expenditure reports are required for all grant projects.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant number act number and including all receipts and expenditures must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Grants) FY 07 \$1,800,000; FY 08 est \$1,800,000; and FY 09 est \$1,800,000.

**Range and Average of Financial Assistance:**

FY 2007 \$60,000 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Six new grants were awarded and 12 grants were continued in fiscal year 2007. It is estimated that 8 new grants will be awarded and 6 will continue for a second year of funding in fiscal year 2008. It is estimated that 8 new grants will be awarded and 6 will be funded for a second year and 6 will be funded for a third year in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The pamphlets "Research Grants in Social Security," "Grants Administration Policies," and application kits may be obtained from the ACF, Office of Grants Management, Division of Discretionary Grants, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Karen H. Anthony, 1115 Grants Manager, Office of Child Support Enforcement, Department of Health and Human Services, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 690-6275. FTS is not available.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.601, Child Support Enforcement Demonstrations and Special Projects; 93.558, Temporary Assistance for Needy Families; 93.563, Child Support Enforcement; 93.597, Grants to States for Access and Visitation Programs; 93.647, Social Services Research and Demonstration; 93.779, Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2006, 6 projects were funded in the following areas: timely review and adjustment processes; mediation; and collaboration protocols between child support and child welfare.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Objectives and need for assistance; (2) approach; (3) competence of staff; (4) independent evaluation; and (5) reasonableness of budget.

**93.566 REFUGEE AND ENTRANT ASSISTANCE-STATE ADMINISTERED PROGRAMS**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, 94 Stat. 111, 8 U.S.C. 1522, as amended, Public Laws 96-212, 97-363 and 99-605; Refugee Education Assistance Act of 1980, Title V, 94 Stat. 1809, 8 U.S.C. 1522 note, as amended, Public Laws 96-422, 96-424, 97-35, 100-436, 101-166, 101-302, 101-517, 102-170, 110-161, and 110-181.

**OBJECTIVES:**

To reimburse States for assistance provided to refugees, asylees, Cuban and Haitian entrants, victims of a severe form of trafficking, certain Amerasians from Viet Nam, and Iraqi and Afghan Special Immigrant Visa Holders (SIVs) for resettlement by funding cash assistance, medical assistance, and social services for the eligible population. State agencies may purchase training and services from other providers. Refugees in the U.S. may be assisted regardless of national origin.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Assistance is limited to refugees, asylees, Cuban and Haitian entrants, certain Amerasians from Viet Nam, and victims of a severe form of trafficking as defined in the authorizing Acts, supplemented by appropriate documentation provided to the refugee from the United States Citizenship and Immigration Services (USCIS), formerly Immigration and Naturalization Services (INS). Federal policy governs other eligibility factors. The scope of services for which funds are available to State and local welfare and health agencies for assistance on behalf of eligible refugees is similar to that in regular domestic public assistance programs.

**Applicant Eligibility:**

The agency designated by the State as responsible for the Refugee Resettlement Program is eligible to receive awards for providing cash and medical assistance and social services to eligible refugees.

**Beneficiary Eligibility:**

Refugees, Cuban and Haitian entrants, Amerasian immigrants from Viet Nam, asylees, certified victims of a severe form of trafficking, and Iraqi/Afghan SIVs.

**Credentials/Documentation:**

Persons for whom assistance is authorized are limited to refugees with documentation from the USCIS as to refugee status, to certain Amerasian immigrants and their accompanying family members, to Cuban and Haitian entrants who meet definitions under Title V of the Refugee Education Assistance Act of 1980, asylees, and victims of a severe form of trafficking who have received a certification or eligibility letter from ORR.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Upon submittal of approved State plans and annual State estimates, agencies are eligible for Federal funds to be expended on behalf of refugees. This program is subject to the provisions of OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Grants are made to designated State agencies. State agencies submit expenditure and program performance reports three times each year.

**Deadlines:**

Deadlines are set in accordance with 45 CFR Part 400 and other instructions to States.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.



**Renewals:**

Annual.

**Formula and Matching Requirements:**

The program provides, to the extent of available appropriations, cash and medical assistance and social services to or on behalf of eligible refugees, Amerasians from Viet Nam, asylees, Cuban and Haitian entrants, and certified victims of a severe form of trafficking. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a quarterly basis. Funds for Cash and Medical Assistance must be obligated within the fiscal year of appropriation and liquidated within the next fiscal year. Funds for social services must be obligated by end of the fiscal year after the fiscal year of appropriation and liquidated within the following fiscal year.

**Reports:**

State agencies submit expenditure and program performance reports three times a year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

The State agency must maintain financial records for three years after final payment or of the time period for the particular records in Parts 1-20 of Federal Procurement Regulations, whichever expires earlier.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

FY 07 \$151,763,000; FY 08 \$207,865,000; and FY 09 est \$198,808,000.

**Range and Average of Financial Assistance:**

In FY 2007, grant awards ranged from \$12,000 to \$51,632,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 48 grants were awarded. It is anticipated that 46 grants will be awarded in FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 400, Subpart E, F and Subpart G. Various materials are available on request from the Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, Washington, DC 20447.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor West, 370 L'Enfant Promenade, SW., Washington, DC 20447. Henley Portner. Telephone: (202) 401-5363. Henley.Portner@acf.hhs.gov.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.567, Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576, Refugee and Entrant Assistance\_Discretionary Grants; 93.583, Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584, Refugee and Entrant Assistance\_Targeted Assistance Grants.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Cash assistance for up to 8 months, (2) case management, (3) employment services, and (4) English language training concurrent with employment services.

**CRITERIA FOR SELECTING PROPOSALS:**

States must have submitted an approved State Plan.

**93.567 REFUGEE AND ENTRANT ASSISTANCE-VOLUNTARY AGENCY PROGRAMS**

(Matching Grant Program)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C. 1522, as amended, Public Laws 97-363, 99-605, 101-167, and 101-517.

**OBJECTIVES:**

To assist refugees in becoming self-supporting and independent members of American society, by providing grant funds to private nonprofit organizations to support case management, transitional assistance, and social services for new

arrivals.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Federal funds of up to \$2,200 per refugee are provided on a matching basis of \$2.20 of Federal funds matched by \$1.00 of private funds and in-kind contributions. Required services include case management, job development, and transitional support for four to six months. Funds may also be used for English language training concurrent with employment services, job training, medical support, and cash allowance.

**Applicant Eligibility:**

Grant awards are limited to States and private, nonprofit organizations which have a Reception and Placement Cooperative Agreement with the Department of State or Department of Homeland Security.

**Beneficiary Eligibility:**

Refugees must be enrolled within 31 days of arrival. Entrants/asylees must be enrolled within 31 days of granting of parole or asylum.

**Credentials/Documentation:**

Newly arriving refugees with an employable refugee in the case as evidenced in the documentation from the United States Citizenship and Immigration Services (USCIS), formerly the Immigration and Naturalization Services (INS).

Individuals accorded refugee, Cuban and Haitian entrant, asylee status are eligible, as are certified victims of a severe form of trafficking. Cost principles for nonprofit organizations will be determined by OMB Circular No. A-122.

This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. Subsequent to review by an independent panel, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Deadlines are established in the notice of funds availability. The notice of funds availability is posted on Grants.gov and on the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr).

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Contingent of funds availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

Grants are awarded on a basis of \$2.20 in Federal funds for each \$1.00 of private funds up to a maximum of \$2,200 per refugee. Up to 80 percent of the nonfederal share may be through in-kind donations, with a minimum required cash match of 20 percent.

**Length and Time Phasing of Assistance:**

Funds are awarded with a 3-year project period and incremental 1-year budget periods.

**Reports:**

Program progress reports are required every four months; and financial status reports are required semi-annually. An interim final financial status report is due 90 days after the program period has ended; and a final financial status report is due 210 days after the project period.

**Audits:**

Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain individual case records on all eligible refugees counted as receiving match grant services.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

FY 07 \$59,998,400; FY 08 \$59,998,400; and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

The range of grant amounts in FY 2007 was from \$1,317,800 to \$16,981,800.

The range of grant amounts in FY 2008 was from \$1,485,000 to \$18,268,800.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, the nine (9) voluntary agencies continued to serve refugees eligible for the Matching Grant program and are expected to continue through FY 2008 and FY 2009.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the Information Contact listed below.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Ron Munia, Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor, West, 370 L'Enfant Promenade, S.W., Washington, DC 20447. Telephone: (202) 401-4559.

#### **Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

#### **RELATED PROGRAMS:**

93.566, Refugee and Entrant Assistance\_State Administered Programs; 93.576, Refugee and Entrant Assistance\_Discretionary Grants; 93.584, Refugee and Entrant Assistance\_Targeted Assistance Grants.

#### **EXAMPLES OF FUNDED PROJECTS:**

In FY 2007, the nine voluntary agencies (volags) continued to serve match grant refugees in approximately 230 match grant sites nationwide.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Matching grant awards are made on the basis of the evaluation criteria in the notice of funding availability.

### **93.568 LOW-INCOME HOME ENERGY ASSISTANCE**

#### **FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Low Income Home Energy Assistance Act of 1981, Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended; Energy Policy Act of 2005 Public Law 109-58.

#### **OBJECTIVES:**

To make Low Income Home Energy Assistance Program (LIHEAP) grants available to States and other jurisdictions to assist eligible households to meet the costs of home energy. Supplemental Leveraging Incentive Funds may be awarded to reward States and other jurisdictions that provide additional benefits and services to LIHEAP-eligible households beyond what could be provided with Federal funds. Up to 25 percent of the leveraging incentive funds may be set aside for LIHEAP grantees that provide services through community-based nonprofit organizations to help LIHEAP-eligible households reduce their energy vulnerability under the Residential Energy Assistance Challenge Program (REACH). Training and Technical Assistance: To provide training and technical assistance to States and other jurisdictions administering the LIHEAP block grant program.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Energy Assistance Block Grants: Funds are awarded to States and other jurisdictions, which then make payments directly to an eligible low-income household or, on behalf of such household, to an energy supplier to assist in meeting the cost of home energy. Up to 10 percent of these funds may be used for State and local planning and administration. Up to 15 percent may be used for low-cost residential weatherization. Grantees may request that DHHS grant a waiver for the fiscal year that increases from 15 percent to 25 percent funds that can be allotted for residential weatherization. Depending upon specific appropriations, DHHS may allocate supplemental LIHEAP leveraging incentive funds to grantees that have acquired nonfederal leveraged resources in order to provide additional benefits and services to LIHEAP-eligible households to help them meet their home heating and cooling needs. Up to 25 percent of leveraging incentive funds may be allocated by DHHS to LIHEAP grantees that provide services through community-based nonprofit organizations to LIHEAP-eligible households to reduce their energy vulnerability, under the Residential Energy Assistance Challenge Program (REACH). Up to \$600,000,000 is authorized as emergency contingency funds to be used to meet additional needs arising from a natural disaster or other emergency. Such funds will be made available only after submission to Congress of a formal budget request for all or part of the funds by the President that designates the amount of the request as an emergency under the Balanced Budget and Emergency Deficit Control Act of 1985. Training and Technical Assistance: the Secretary has authority to set aside up to \$300,000 from each year's appropriation for training and technical assistance relating to the Low-Income Home Energy Assistance Program. These T/TA activities are accomplished through: grants, contracts, or jointly financed cooperative or interagency agreements with States, Indian tribes, tribal organizations, public agencies, or private nonprofit organizations; through interagency agreements, including with Federal agencies; or through on-site compliance reviews of LIHEAP grantees. The nature of and amount awarded for training and technical assistance vary from year to year.

#### **Applicant Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally- and State-recognized Indian Tribal governments which request direct funding, and specified Territories may receive direct grants. The prospective grantee must submit an annual application. Grantees desiring leveraging incentive funds and REACH funds must submit special applications each year. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

#### **Beneficiary Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally- and State-recognized Indian Tribal governments that request direct funding, and specified Territories may provide assistance to households with incomes up to the greater of 150 percent of the poverty level or 60 percent of the State median income. Grantees may establish lower income eligibility levels, but they may not set the limit below 110 percent of the poverty level. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the Statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

#### **Credentials/Documentation:**

Energy Assistance Block Grants: The chief executive officer of the State, Tribe or Territory or his designee must certify to 16 assurances required by law. Households must meet beneficiary eligibility requirements. Grantees desiring leveraging incentive funds or REACH funds must submit annual applications. Instructions will be issued if emergency contingency funds are released. This program is excluded from coverage under OMB Circular No. A-87. Training and Technical Assistance: Requirements vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

#### **Preapplication Coordination:**

Energy Assistance Block Grants: Requirements for applications are set forth in Section 2605 of the authorization. There is no required format for applications but a model plan application is available. Prospective grantees may contact the Office of Community Services Headquarters Office for assistance. (See Information Contacts below.) Prospective grantees for leveraging incentive funds or REACH funds must submit applications in a format prescribed by HHS. Instructions will be issued if emergency contingency funds are released. This program is excluded from coverage under E.O. 12372. Training and Technical Assistance: Requirements that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

#### **Application Procedure:**

Energy Assistance Block Grants: Applications are submitted by the chief executive officer of a State, Indian Tribe (recognized by the Federal government or a State government), tribal organization, or Territory, or his designee. Applications contain assurances prescribed by law and a plan describing how certain assurances will be carried out, and other information specified by law. Separate applications are required to qualify for leveraging incentive funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Households wishing to apply for benefits should contact the local welfare agency or community action agency for information regarding the agency administering the program in their jurisdiction. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110. Training and Technical Assistance: Requirements that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

#### **Award Procedure:**

Energy Assistance Block Grants: Grants are made upon receipt of a complete application by the Office of Community Services Headquarters Office. Leveraging incentive funds and REACH funds will be awarded based on applications submitted by grantees. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Procedures that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

#### **Deadlines:**

Energy Assistance Block Grants: States and Territories must submit their applications by September 1, prior to the fiscal year for which funds are sought, unless the Department agrees to a later date. Tribal applications must also be submitted by September 1, prior to the fiscal year for which the funds are sought, unless the State in which a tribe is located agrees to a later date. All applications must be completed by December 15, of the fiscal year for which funds are sought, unless the Department (in the case of States and Territories) or the State (in the case of tribal grantees) agrees to a later date. Leveraging incentive fund reports are due by November 30 of each year. Contact Headquarters Office listed below for further information. [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

#### **Range of Approval/Disapproval Time:**

Energy Assistance Block Grants: The Department reviews plans for completeness and will act on the plans submitted as quickly as possible. Leveraging incentive and REACH applications will be reviewed and acted upon

as quickly as possible. Training and Technical Assistance: Range of time varies, depending upon the nature and complexity of a request for proposals.

**Appeals:**

Energy Assistance Block Grants: Grantees may request a hearing regarding repayment of funds or withholding of funds under Section 2608 of the authorization. Training and Technical Assistance: Not applicable for unsuccessful applicants for grants or cooperative agreements. For contracts, offerors may object to a contract award by filing a protest with the contracting officer or higher authority. The notification issued by the contracting office to unsuccessful bidders contains the procedures and time frame for filing a protest.

**Renewals:**

Energy Assistance Block Grants: Annual applications are required. Separate annual applications are also required for leveraging incentive funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Award periods may vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Formula and Matching Requirements:**

Energy Assistance Block Grants: There is no requirement for matching Federal funds with grantee funds. Allocations to grantees are based on the formulas described in Section 2604 of the authorizing statute. Allocations for leveraging incentive funds are based upon the amount of leveraging activity carried out by the grantee in the previous year as a proportion of its regular LIHEAP allotment, taking into account the amount of leveraging carried out by all grantees. Contact funding agency for further details. Any matching requirements for REACH funds will be established by program announcements each year. Training and Technical Assistance: There is no requirement for matching Federal funds with grantee funds.

**Length and Time Phasing of Assistance:**

Energy Assistance Block Grants: Grant awards are made to grantees with complete applications for carrying out the program within the fiscal year. Up to 10 percent of a fiscal year's grant may be held available for obligation in the subsequent fiscal year. For leveraging incentive funds, obligation must occur by the end of the fiscal year following the year in which the funds are appropriated, without regard to the 10 percent carryover limit.

**Reports:**

Energy Assistance Block Grants: Grantees must submit an annual report within 90 days of the end of the fiscal year on the amount of funds obligated during the fiscal year and the last date of obligation of funds. A report is required annually on the number and income levels of households served during the previous year, on those households that are served that have members who are elderly, disabled, or young children, and on the number and income levels of all households that apply for assistance, whether or not they are served. This report must be included as part of the annual plan before funds are released. A report on the amount of funds that the grantee desires to carry over for obligation in the succeeding fiscal year, the reasons any such funds will not be used during the first fiscal year, the types of assistance to be provided with funds carried over, and the amount of funds, if any, to be subject to reallocation must be submitted by August 1 annually. Grant awards for the following fiscal year will not be released until this report is received. A report is required from those grantees expending up to 5 percent of funds under section 2605 (b) (16) for services that encourage and enable households to reduce their home energy needs. A report is due by November 30 of each year for those grantees that wish to receive leveraging incentive funds, reporting the amount value of leveraged resources they added to the program in the previous fiscal year. Training and Technical Assistance: Grantees are required to submit quarterly financial reports and a final progress report. For contracts, contractors are required to submit quarterly financial reports from HHS-646, Financial Report of Individual Project (Contract).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments and Non-Profit Organizations," Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Non-Federal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section .215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1502-0-1-609.

**Obligations:**

(Grants) Energy Assistance Block Grants: FY 07 \$1,952,500,000; FY 08 1,953,000,000 and FY 09 est \$1,672,500,000. Training and Technical Assistance: (Contracts and Interagency Agreements) FY 07 \$293,000; FY 08 \$292,000 and FY 09 est \$297,000. Leveraging/REACH Grants: FY 07 \$26,100,000, FY 08 \$26,800,000 and FY 09 est \$27,200,000. Contingency

Funds: FY 07 \$181,200,000, FY 08 \$590,300,000 and FY 09 est \$300,000,000.

**Range and Average of Financial Assistance:**

(Grants) Energy Assistance Block Grants: in fiscal year 2008, from \$247,769,199 to \$ 2,113,267.

**PROGRAM ACCOMPLISHMENTS:**

Energy Assistance Block Grants are estimated to be awarded to 50 States, the District of Columbia, five Trust Territories, and numerous federally- and State-recognized Indian Tribal governments in fiscal year 2007 and fiscal year 2008. During fiscal year 2006, States provided regular and crisis heating assistance benefits to approximately 5.2 million households. Additionally, households could have received other energy crisis assistance, assistance with cooling costs, or weatherization assistance. As a result, some households can receive more than one type of LIHEAP assistance. States are expected to serve approximately 5.0 million households in fiscal years 2007 and 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96; 45 CFR 74; 45 CFR 92.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nick St. Angelo, Director, Division of Energy Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, DC 20447. Telephone: (202) 401-9351. Fax: (202) 401-5661.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/liheap>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Training and Technical Assistance: Training workshops and clearinghouses have been conducted.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria pertinent to each request for training and technical assistance proposals are published in the Federal Register or Commerce Business Daily.

## 93.569 COMMUNITY SERVICES BLOCK GRANT

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Title II, Section 201 and Sections 671-thru 679; Public Laws 97-35, 103-252, Public Laws 106-554 and 98-502.

**OBJECTIVES:**

To provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act) and (1) To provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

(1) States receive block grants to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. (2) States are required to use at least 90 percent of their allocations for grants to "eligible entities" as defined in the Community Services Block Grant (CSBG) Act, as amended; this includes primarily locally-based community action agencies and/or organizations that serve seasonal or migrant farm workers. (2) No more than the greater of \$55,000 or 5 percent of each State's allocation may be used for administrative expenses at the State level.



**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community antipoverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 125 percent of the official poverty line.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of Health and Human Services (HHS). Each application must contain assurances by the appropriate State designee that the State will comply with Section 676 of the Community Services Block Grant Act and also meet conditions enumerated in Sections 678(B-D). The State is required to hold at least one legislative hearing every three years in conjunction with the development of the State Plan (Section 676(a)(3)). States are also required to conduct public hearings on the proposed use and distribution of funds to be provided under the Act. The latter sets forth the general purpose for which funds will be used, restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. The Chief Executive Officer of each State is also required to designate a lead agency to prepare and submit a plan to the Secretary of HHS describing how the State will carry out the assurances in Section 676. This program is excluded from coverage under 45 CFR, Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the Community Services Block Grant Act. The Office of Management and Budget (OMB) has the authority to apportion to the HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards, normally on a quarterly basis.

**Deadlines:**

The application deadline for States and Indian Tribes and Tribal Organizations is September 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the Community Services Block Grant Act and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing is conducted within the affected State.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Omnibus Budget Reconciliation Act of 1981, Public Law 97-35 as amended by the Human Services Amendments of 1998, Public Law 105-285, Section 674 authorizes the Secretary to use one and one-half of one percent of the amount appropriated to be reserved for corrective action, training, technical assistance, planning, evaluation, and data collection activities related to programs or projects carried out under this subtitle. Such activities may be carried out through grants, contracts, or cooperative agreements with eligible entities or with organizations or associations whose membership is composed of eligible entities or agencies that administer programs for eligible entities. One-half of one percent of the amount appropriated is apportioned on the basis of need among Guam, American Samoa, the Virgin Islands, the Northern and Mariana Islands. Of the remaining amount each State, (excluding the above, but including the District of Columbia and the Commonwealth of Puerto Rico) is allotted an amount which bears the same ratio as the amount received by the State for fiscal year 1981 under Section 221 of the Economic Opportunity Act of 1964 bore to the total amount received by all States for fiscal year 1981 under Section 221. However, if the appropriation exceeds \$345,000,000 after the amount necessary for purposes of discretionary funding under 680 and the one-half of one percent

set aside for territories and insular areas under section 675(A) are determined, no State receives less than one-half of one percent of the amount appropriated. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Entitlement amounts are for a specific fiscal year and the grant funds allotted to the State will be awarded in accordance with apportionment of funds from the Office of Management and Budget. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year.

**Reports:**

States must prepare and submit to the Secretary an Annual Report on the measured performance of the State and the eligible entities in the State. Reports shall include an accounting of the expenditure of funds received under the CSBG Program, including administrative costs incurred by the State and eligible entities and funds spent on direct delivery of local services, information on the number of and characteristics of clients served and a summary description of the training and technical assistance offered by the State. The Annual Report is due on March 31 each year. States are required to submit annual financial status reports, SF-269A's, 90 days after the end of the fiscal year, i.e., December 30, each year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003)," Audits of States, Local Governments and Non-Profit Organizations," Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Non-Federal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section .215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracing of funds to a level of expenditure adequate to insure that funds have not been spent unlawfully.

**Account Identification:**

75-1504-0-1-506.

**Obligations:**

FY 07 \$630,414,000; FY 08 \$653,800,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$1,019 to \$55,942,793; Average \$5,342,585.

**PROGRAM ACCOMPLISHMENTS:**

A total of 192 grants were awarded in fiscal year 2007. It is anticipated that 197 grants will be awarded in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16, 45 CFR 74 and 45 CFR 96.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Division of State Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-9343.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.568, Low-Income Home Energy Assistance; 93.600, Head Start; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**93.570 COMMUNITY SERVICES BLOCK GRANT-DISCRETIONARY AWARDS**

(Community Economic Development (CED) and Rural Community Facilities (RF))

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Title II, Section 680, Public Law 105-285.

**OBJECTIVES:**

To support program activities to alleviate the causes of poverty in distressed communities which: (1) assist businesses in creating jobs for low-income individuals, i.e., develop employment and business development opportunities for low-income individuals; (2) a better standard of living for rural low-income

individuals in terms of water and waste water treatment.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Federal funds awarded under the Secretary's Discretionary Authority may be used for activities that: improve the quality of the economic and social environment of low-income residents by providing resources to eligible applicants, by arresting tendencies toward dependency, chronic unemployment and community deterioration in urban and rural areas; and by addressing needs of water and wastewater treatment in Rural Communities. Community Economic Development grants are awarded to cover project costs for (1) startup or expansion of business, physical improvements, or commercial activities. (2) Capital expenditures such as the purchase of equipment or real property; (3) allowable operating expenses; and (4) loans or equity investments. Expenditures must result in the creation of employment or business opportunities for low-income individuals. Generally, the project must be completed within 36 months for non-construction projects and 60 months for construction projects. Projects must document public/private partnership mobilizing cash and/or in-kind contributions; and be located in areas characterized by poverty and other indicators of socioeconomic distress, such as high levels of unemployment, or high levels of violence, gang activity, crime, drug use and/or low-income individuals or designation as an Empowerment Zone or Enterprise Community (EZ/EC). Rural Community Facilities grants are awarded to provide training and technical assistance to small, rural communities concerning their water and waste water treatment needs. RF grants focus on the development and upgrading of small water and wastewater systems in low-income rural areas. Types of services provided included training of persons responsible for community water and wastewater facilities; assisting communities with problem-solving and planning for facilities; producing and disseminating publications, newsletters, videos, and training manuals about rural waste and wastewater systems; and assisting rural communities in leveraging Federal, State, local, and private sector financing for facilities.

**Applicant Eligibility:**

For Community Economic Development projects, eligibility is restricted to private, locally initiated, nonprofit community development corporations (or affiliates of such corporations) governed by a board consisting of residents of the community and business and civic leaders. For Rural Community Development Activity projects, which is referred to as Rural Community Facilities projects, eligibility is restricted to multi-state, regional private, non-profit organizations that can provide training and technical assistance to small, rural communities interested in safe water and waste water treatment needs.

**Beneficiary Eligibility:**

A project must be targeted to address the needs of a specific segment of low-income individuals or families. The official poverty line established by the Director of the Office of Management and Budget, published annually by the Department of Health and Human Services is used as a criterion of eligibility in the Community Economic Development Discretionary Grant program.

**Credentials/Documentation:**

Costs will be determined in accordance with the provisions of Title 45 CFR 74.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by DHHS and required by Title 45 CFR Part 74 must be used. An environmental impact statement may be required for certain projects under this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by DHHS and required by Title 45 CFR, Part 74 must be used. An environmental impact statement may be required for certain projects under this program.

**Application Procedure:**

Awards are granted on a competitive basis. Announcements concerning the availability of funds, requests for applications, along with application form and assurance documents, are at [www.grants.gov](http://www.grants.gov). Applications to the Office of Community Services for grants under the announcement should be addressed to: OCS Operations Center 1515 Wilson Blvd., Suite 100, Arlington, Virginia 22209. Applicants are urged to inform and coordinate application submissions with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This program is subject to the provisions of Title 45 CFR Part 74 (non-governmental entities). All applications for assistance under this program must contain: (1) SF-424, Application for Federal Assistance; (2) SF-424A, Budget Information; (3) SF-424B, Assurances-Non- Construction Programs; (4) Certificate Regarding Drug Free Workplace Requirements; (5) Certification regarding environmental tobacco smoke; (6) Certification Regarding Debarment, Suspension, and Other

Responsibility Matters; and (7) Certification Regarding Lobbying. These must be accompanied by a detailed budget, and a program narrative submitted in accordance with the format detailed in the program announcement.

**Award Procedure:**

The Director, Office of Community Services, Administration for Children and Families (ACF), will make the final decision on all grant awards. Selection of applicants will be determined based on the review criteria outlined in the program announcement.

**Deadlines:**

All information and application forms required to prepare a grant are at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Generally, solicited grants will be acted upon within 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Rural Community Development Activity projects (also referred to as Rural Community Facilities Projects), are awarded for a five year project period with 12 month budget periods.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Generally, Community Economic Development financial assistance awards are made available for periods of 36 to 60 months; Rural Community Facilities financial assistance awards are awarded for 12-month budget periods with a five year project period.

**Reports:**

Semi-annual progress reports, semi-annual financial reports and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required by OCS.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments and Non-Profit Organizations, Nonfederal entities that expend \$500,000 for fiscal years ending after December 31, 2003 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Nonfederal entities that expend less than \$500,000 for fiscal years ending after December 31, 2003 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section .215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit to insure that funds have been expended in accordance with the regulations, grant terms and conditions of this program.

Audits and supporting records must be kept on file for at least 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

Discretionary Awards - Community Economic Development: FY 07 \$27,022,000; FY 08 \$31,467,000; and FY 09 est not available. Rural Community Facilities: FY 07 \$7,293,000; FY 08 \$7,860,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Up to \$700,000 for Community Economic Development and \$1,099,500 for Rural Community Facilities.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 45 grants were awarded and it is estimated that 52 grants will be awarded in FY 08 for the Community Economic Development program. For the Rural Community Facilities program, 9 grants were awarded in FY 07 and it is anticipated the same number of grants will be awarded in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements are posted on the web.

**Regional or Local Office:**

OCS Liaisons, stationed in - ACF.

**Headquarters Office:**

Rafael J. Elizalde, Team Leader, Telephone: (202) 401-5115, [rafael.elizalde@acf.hhs.gov](mailto:rafael.elizalde@acf.hhs.gov), Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, DC 20447.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.593, Job Opportunities for Low-Income Individuals.

**EXAMPLES OF FUNDED PROJECTS:**

SEE OCS web-site.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement.

## 93.575 CHILD CARE AND DEVELOPMENT BLOCK GRANT

The Child Care and Development Block Grant (or Discretionary Funds) is a part of the Child Care and Development Fund (CCDF) program, along with the Child Care Mandatory and Matching Funds (see CFDA number 93.596).

### FEDERAL AGENCY:

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Child Care and Development Block Grant Act of 1990, as amended (Public Law 101-508, 42 U.S.C. 9858 et seq); Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193); Balanced Budget Act of 1997 (Public Law 105-33); Consolidated Appropriations Act, 2008 (Public Law 110-161).

### OBJECTIVES:

To make grants to States, Territories, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

In the Fiscal Year 2008 Appropriations Act, Congress directs that funds appropriated for the Child Care and Development Block Grant (Discretionary Funds) must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use Discretionary Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the Child Care and Development Block Grant Act. Certain amounts of Discretionary Funds must be used for specific purposes: quality expansion; infant and toddler quality improvement; and child care resource and referral, including a national toll-free hotline, and school-age child care activities. A portion of the Discretionary Funds is also designated for the U.S. Department of Health & Human Services to carry-out research, demonstration, and evaluation projects. Not more than five percent of the aggregate amount of CCDF Funds expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carry out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Discretionary Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No Discretionary Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction; however, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Discretionary Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the Discretionary Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on temporary assistance programs.

### Applicant Eligibility:

All States, the District of Columbia, Territories (Guam, American Samoa, Puerto Rico, U.S. Virgin Islands, and Commonwealth of the Northern Mariana Islands), federally recognized Tribal Governments, and tribal organizations, including Alaska Native organizations.

### Beneficiary Eligibility:

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who

reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program; or are in need of, or are receiving protective services.

### Credentials/Documentation:

Grantees must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the grantee will comply with the requirements of the Child Care and Development Block Grant Act and all applicable Federal law.

### Preapplication Coordination:

Each grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the lead agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act. The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the Child Care and Development Block Grant Act; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the Child Care and Development Block Grant Act; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the Child Care and Development Block Grant Act; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Grants are awarded after the receipt and approval of the plan by the Administration for Children and Families.

### Deadlines:

Contact the Child Care Bureau's Headquarters Office listed below for deadline dates.

### Range of Approval/Disapproval Time:

The Administration for Children and Families will review the plans for approval and will act on the plans within 90 days.

### Appeals:

Guidelines for appeals of disapprovals of CCDF plans are specified in regulations (45 CFR Part 99).

### Renewals:

CCDF plans must be submitted every two years.

### Formula and Matching Requirements:

Allocations for States are based on a formula that takes into account the number of children below the age of five, the number of children receiving assistance through the School Lunch Program in the State and per capita income. Not less than one percent, but not more than two percent of the total Discretionary Funds are reserved for Tribes and tribal organizations, and not more than one-half of one percent of the total Discretionary Funds is reserved for the Territories. Puerto Rico is treated as a State for allotment purposes.

### Length and Time Phasing of Assistance:

Grant awards are made to Lead Agencies with approved CCDF plans. Grantees must obligate all Discretionary Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated in the third year.

### Reports:

As specified in 45 CFR Part 98, States must report to the Administration for Children and Families annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. States must also submit quarterly expenditure reports.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Further auditing may be necessary.

### Records:

Proper grant accounting records must be maintained.



**Account Identification:**

75-1515-0-1-609.

**Obligations:**

(Grants and Contracts) FY 07 \$2,051,200,000; FY 08 \$2,062,100,000; and FY 09 est \$2,062,100,000. (These figures do not include CCDF Mandatory Funds and Matching Funds under 93.596.)

**Range and Average of Financial Assistance:**

For States, including the District of Columbia and Puerto Rico, the range of grants in FY 08 is: \$8,303,222 to \$532,337,832; average grant is approximately \$93,194,746. For 260 Tribal grantees, the range of grants in FY 08 is: \$22,845 to \$10,368,025; average grant is approximately \$383,006. For the four Territories, the range of grants in FY 08 is \$1,864,552 to \$4,022,522; average grant is approximately \$2,577,601. (These figures are inclusive of funds received through 93.575 and 93.596.)

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 317 grants were awarded. In FY 08, 317 grants were awarded. It is anticipated that 317 grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

Persons are encouraged to communicate with the Child Care Bureau Regional Program Managers (RPM). A list of the RPM's and their contact information is available at [www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm). You may also contact the Child Care Bureau, Office of Family Assistance at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Child Care Bureau, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 901 D St. S.W., 5th Floor East, Washington, DC 20047. Telephone: (202) 690-6782, Fax: (202) 690-5600.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.596, Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.558, Temporary Assistance for Needy Families.

**EXAMPLES OF FUNDED PROJECTS:**

Discretionary Funds are awarded to States via a block grant, which, through their appointed Lead Agencies, make many of the decisions about priorities, policies, and expenditures in achieving goals related to improved family access to quality child care. States are required to commit at least four percent of their Discretionary Funds to activities such as consumer education, resource and referral services, provider training, and caregiver recruitment designed to improve child care availability and quality. Targeted funds designated for quality, infant and toddler care, resource and referral, and school-age care, further support State efforts to improve child care access and quality.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.576 REFUGEE AND ENTRANT ASSISTANCE-DISCRETIONARY GRANTS****FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Refugee Act of 1980, Public Law 96-212, Section 412, 94 Stat. 111, 8 U.S.C. 1522, as amended; Refugee Education Assistance Act of 1980, Title V, 94 Stat. 1809, as amended.

**OBJECTIVES:**

To improve resettlement services for refugees. Program objectives include: (1) decreasing the numbers of refugees on public assistance and the length of time refugees require such assistance; (2) promoting refugee family stability and healthy marriages; (3) encouraging the placement of refugees in locations with good job opportunities and lower costs of living; (4) enhancing services to disadvantaged refugee groups; (5) promoting older refugees' access to aging services; (6) assisting low-income refugees with matching funds for individual development accounts and with financial literacy classes; (7) providing micro-credit to refugees interested in starting new businesses but unable to access commercial sources of capital; (8) providing services to refugees in rural areas; and (9) providing preventive health services.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the notice of funds availability and in the grant award.

**Applicant Eligibility:**

Public and private nonprofit agencies.

**Beneficiary Eligibility:**

Refugees, asylees, Cuban and Haitian entrants, Amerasians and certified victims

of a severe form of trafficking.

**Credentials/Documentation:**

Proof of immigration status must be provided to be eligible to receive services.

**Preapplication Coordination:**

This program is covered under E.O. 12372. "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applications are reviewed and evaluated pursuant to criteria specified in the program announcement. Each agency desiring to respond to a program announcement is required to submit an application. Program grant announcements may be accessed at [Grants.gov](http://Grants.gov) or at the Office of Refugee Resettlement website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr). Application kits, containing the prescribed application forms and supplemental descriptive information, can also be accessed at the ORR website.

**Award Procedure:**

The Director of ORR makes the funding decision on all grant awards.

**Deadlines:**

Applicable deadlines are included in the notices of funds availability.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

There are no matching requirements.

**Length and Time Phasing of Assistance:**

Funds made available under this program are for project periods ranging from 17 months to 5 years.

**Reports:**

Program Performance Reports and Financial Status Reports are required, usually on a quarterly or semi-annual basis. Final program and financial reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required 90 days after the end of the project period.

**Audits:**

Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from Federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or subgranting entity.

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit for the project period and for three years after the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Grants) FY 07 \$72,413,000; FY 08 \$76,884,000; FY 09 est \$77,082,000.

**Range and Average of Financial Assistance:**

From a minimum of \$50,000 per grant to the maximum of \$19,000,000 based upon the type of funding and the services to be provided.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 302 discretionary grants (new and continuations), were funded. FY 2008 est: contingent upon availability of funding, 304 discretionary grants will be funded; and in FY 2009, it is estimated that 307 discretionary grants will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements are published in the ACF and ORR website. All inquiries should be directed to the Information Contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

For program information on Discretionary Targeted Assistance grants and Preventive Health grants, contact Pamela Green-Smith; Telephone: (202) 401-4531. For Discretionary Social Services grants, contact Ron Munia; Telephone: (202) 401-4559. Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor West, 370

L'Enfant Promenade, SW., Washington DC 20447.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566, Refugee and Entrant Assistance\_State Administered Programs; 93.567, Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.583, Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584, Refugee and Entrant Assistance\_Targeted Assistance Grants.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2007, ORR provided funds for projects to: (1) provide vocational training, job search, and social services to help refugees obtain employment; (2) provide placement of refugees in preferred communities; (3) meet special needs of unanticipated arrivals; (4) meet the needs of refugees arriving in the US with special conditions such as positive HIV, trauma, physical and mental disabilities, and other health related problems; (5) provide microenterprise development services to refugees; (6) provide matching funds for individual development accounts (IDA) and funds for financial literacy training for low-income refugees; (7) provide support for ethnic community self-help organizations; (8) provide support for elderly programs; (9) provide funds to support refugee healthy marriage programs; and (10) provide services for refugees in rural areas.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of the criteria for awarding funds is published in the ACF website and the ORR website for each type of program announcement for discretionary programs. See the Information Contact section for more information.

### 93.579 U.S. REPATRIATION

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Section 1113; 24 U.S.C. 9.

**OBJECTIVES:**

To provide temporary assistance, care, and treatment to eligible US citizens and their dependents after their return to the United States from travel in a foreign country due to physical or mental illness, destitution, war, threat of war, or a similar crisis and are without resources.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

This program provides temporary assistance such as money payments, medical care, temporary billeting, admission into a nursing home or hospital, settling with family or friends, moving into permanent housing, or foster care placement, transportation, overnight lodging, food, provision for escort services, clothing and other goods and services necessary for the health or welfare of individuals (including guidance, counseling, and other welfare services), furnished to U.S. citizens and their dependents who are without available resources in the U.S. upon their arrival from abroad and for such period after their arrival, not exceeding 90 days, as may be provided in regulations of the Secretary of Health and Human Services (HHS). This temporary assistance is given in the form of a loan and must be repaid to the U.S. Government. Repatriates agree to repay costs to Federal government.

**Applicant Eligibility:**

National/international social service organizations with expertise in mental health, child welfare, and criminal justice system. Coordination with the U.S. Another criteria for eligibility relies on the agency's ability to work with Department of State and Repatriation Coordinators in each State.

**Beneficiary Eligibility:**

U.S. citizens and their dependents returning to the U.S. from abroad.

**Credentials/Documentation:**

Proof of U.S. Citizenship, destitution and if applying due to mental condition, individual, a certificate as to the mental status.

**Preapplication Coordination:**

This program is excluded from coverage by E.O. 12372.

**Application Procedure:**

ACF discretionary grants procedures.

**Award Procedure:**

Grants are awarded through ACF discretionary grants procedures.

**Deadlines:**

Listed in the ORR and ACF website.

**Range of Approval/Disapproval Time:**

Two months.

**Appeals:**

Not applicable.

**Renewals:**

Project periods are generally for five years with one year budget periods.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Five-year project period and annual budget period.

**Reports:**

Program Performance Reports and Financial Status Reports are due on a semi-annual schedule.

**Audits:**

Subsumed in Departmental audit procedures.

**Records:**

Not applicable.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Grant) FY 07 \$900,000; FY 08 \$1,000,000; and FY 09 est \$1,300,000.

**Range and Average of Financial Assistance:**

In FY 07, a single cooperative agreement was awarded for \$900,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, one cooperative agreement was awarded. The program serves over 200 US citizens each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 211-212. A brochure entitled "Temporary Assistance for Repatriates" is available from the Headquarters Office at no charge.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Refugee Resettlement, Administration for Children and Families, 370 L'Enfant Promenade, SW., Washington, DC 20447. Elizabeth Russell, Director. Telephone: (202) 401-4845.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

One cooperative agreement has been awarded to provide services under this program.

**CRITERIA FOR SELECTING PROPOSALS:**

Listed in the ORR and ACF website.

### 93.581 IMPROVING THE CAPABILITY OF INDIAN TRIBAL GOVERNMENTS TO REGULATE ENVIRONMENTAL QUALITY

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Native American Programs Act of 1974, as amended, Public Law 93-644, 88 Stat. 2334, 42 U.S.C. 2991b; Indian Environmental Regulatory Enhancement Act, Public Law 101-408, 104 Stat. 883.

**OBJECTIVES:**

To provide financial assistance to advance tribal capacity and capability to plan for, develop, and implement enhancements to the tribal environmental regulatory infrastructure required to support a tribe's environmental goals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, developing and implementing tribal environmental regulatory programs through competitive grants. Types of allowable activities are: to regulate and enforce environmental activities on Indian lands; to develop regulations, ordinances and laws to protect the environment; to develop the technical and program capacity to carry out a comprehensive tribal environmental program and perform essential environmental program functions; to promote training and education of tribal employees; to develop technical and program capability to meet tribal and Federal regulatory requirements; to develop technical and program capability to monitor compliance and enforcement of tribal environmental regulations, ordinances, and laws; and to ensure the tribal court system enforcement requirements are developed in concert with and support the tribe's comprehensive environmental program.

**Applicant Eligibility:**

The following organizations are eligible to apply: Federally-recognized Indian tribes; consortia of Indian tribes; incorporated nonfederally-recognized Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANCSA) and/or nonprofit village consortia; and tribal governing bodies (IRA or traditional councils) as recognized by the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

American Indians and Alaska Natives.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Information regarding the availability for grant funds will be published from

time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from Administration for Native Americans programs. Applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Each program announcement specifies the due dates for submission of applications.

**Range of Approval/Disapproval Time:**

Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula for distribution of funds. A matching share of 20 percent is required unless waived in accordance with criteria which are also published 45 CFR Part 1336.50.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years.

**Reports:**

Quarterly Financial Status Reports, Report of Federal Cash Transactions, and Project Progress Reports are required.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$1,200,000; FY 08 \$1,500,000; and FY 09 est \$1,500,000.

**Range and Average of Financial Assistance:**

(Grants) \$50,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 7 new grants were awarded to support projects to assist tribal governments in planning, developing and implementing tribal environmental programs which are consistent with tribal culture including: development and implementation of procedures related to land use permits and plans; strengthening the capacity of tribal governance to adjudicate environmental cases in tribal court; development of tribal environmental codes or policies; development of tribal capacity to monitor compliance with EPA regulations. It is anticipated that 7-10 new grants will be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administration for Native Americans, Department of Health and Human Services, Mail Stop Aerospace Center 2th Floor-West 370 L'Enfant Promenade, S.W., Washington, DC 20447. Contact: Director of Program Operations, (877) 922-9262.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ana/>.

**RELATED PROGRAMS:**

66.600, Environmental Protection Consolidated Grants for the Insular Areas - Program Support.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.583 REFUGEE AND ENTRANT ASSISTANCE- WILSON/FISH PROGRAM**

(Wilson/Fish program; Fish/Wilson Program)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, 94 Stat. 111, 8 U.S.C. 1522, as amended, Public Laws 96-212, 97-363, and 99-605; Refugee Education Assistance Act of 1980, Title V, 94 Stat. 1809, 8 U.S.C. 1522 note, as amended, Public Laws 96-422, 96-424, 97-35, 100-202, 100-436, 100-461, 101-167, 101-302, 101-513, and 101-517.

**OBJECTIVES:**

To develop alternative projects which promote early employment of refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, and certified victims of a severe form of trafficking. States, voluntary resettlement agencies, and other resettlement organizations may develop innovative approaches for the provision of refugee cash and medical assistance, otherwise available through the State-administered program. The purpose of the Wilson-Fish program is to provide integrated services that include cash assistance, medical assistance and other related services described above in order to increase refugees' prospects for early employment and self-sufficiency, reduce their level of welfare dependence, and promote coordination among voluntary resettlement agencies and services providers. In addition, the WF program allows ORR to ensure that refugee assistance programs exist in every State where refugees are resettled. Projects must serve all eligible refugees in a community. There are two categories for applications. Category one provides an opportunity for an applicant to continue the provision of refugee program services and assistance in a State when the State elects to discontinue participation or is not currently participating in the program of refugee resettlement. There are currently 7 WF programs which fall under Category one (Alabama, Alaska, Idaho, Kentucky, Louisiana, Nevada, and South Dakota). Category two provides applicants an opportunity to implement alternative projects to promote self-sufficiency and coordinate services more effectively. There are 5 Category II WF programs (Colorado, Massachusetts, North Dakota, Vermont, and San Diego).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant award. Assistance is limited to refugees, asylees, Cuban and Haitian entrants, Amerasian immigrants, and certified trafficking victims, as defined in the authorizing Acts. The refugee must document his immigration status in order to be eligible for assistance. The scope of services available to refugees from Wilson/Fish grantees is similar to that of the State-Administered Refugee Resettlement Programs, which in turn is similar to regular domestic public assistance programs.

**Applicant Eligibility:**

States, voluntary resettlement agencies, and other nonprofit refugee resettlement organizations may apply to initiate an alternative program. No separate funding is appropriated for Wilson/Fish demonstration projects. Funds are drawn instead from funds earmarked for refugee cash and medical assistance grants and social services allocations for the State-administered program (93.566) according to ORR projections.

**Beneficiary Eligibility:**

Refugees, certain Amerasian immigrants, Cuban/Haitian entrants, asylees, and victims of a severe of trafficking are eligible for services and assistance through funded projects in a community. Cash assistance is transitional for up to 8 months; services may be provided for a longer period of time.

**Credentials/Documentation:**

Persons for whom assistance is authorized are limited to the following groups of aliens with appropriate documentation from the U.S. Citizenship and Immigration Service (USCIS), formerly Immigration and Naturalizations Services (INS): (1) Refugees admitted under section 207 of the INA and asylees admitted under section 208; (2) Cuban and Haitian entrants with documentation from the BCIS as to status allowed under section 501 of the Refugee Education Assistance Act of 1980; and certain Amerasian immigrants from Viet Nam admitted under section 584 of the Foreign Operations, Export Financing, and Related Programs Appropriations Act (1988) or title II of the Foreign Operations, Export Financing, and Related Programs Appropriations Acts of 1989, 1990, and 1991. Victims of a severe form of trafficking who have received a certification or eligibility letter from ORR are also eligible. Cost principles for States and local governments are found under OMB Circular No. A-87. Cost principles for nonprofit organizations are found in OMB Circular No. A-122.

**Preapplication Coordination:**

Questions concerning the standing program announcement can be directed to the Office of Refugee Resettlement at (202) 205-5933. The Wilson/Fish program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Awards are granted on a competitive basis, as specified in the program announcements. Each agency desiring to respond to a program announcement is required to submit an application. Applications are reviewed and evaluated



pursuant to criteria specified in the program announcement.

**Award Procedure:**

The Director of ORR makes the funding decision on all grant awards.

**Deadlines:**

Closing dates for new projects is April 30 of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Generally, funds made available for this program will be for 1-year budget period, however the project period is up to 5 years.

**Reports:**

Progress reports and financial reports are required, usually on a quarterly basis. Final program and financial reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required.

**Audits:**

Periodic audits are made a part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133."

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit for the project period and for three years following the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of the program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

Cash and Medical Assistance (CMA) FY 07 \$20,000,000; FY 08 \$23,000,000; and FY 09 est \$23,000,000.

**Range and Average of Financial Assistance:**

In FY 2007, grants ranged from \$333,322 to \$3,532,062.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 12 grants were awarded. It is anticipated that 12 grants will be awarded in FY 08 and FY 09. Projects provide cash assistance and employment and other social services to newly arrived refugees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Wilson/Fish Program announcement can be found on the ORR website. All inquiries should be directed to the Information Contacts listed below.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

For information, contact Carl Rubenstein, Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor West, 370 L'Enfant Promenade, SW., Washington DC 20447. Telephone: (202)205-5933.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566, Refugee and Entrant Assistance\_State Administered Programs; 93.567, Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576, Refugee and Entrant Assistance\_Discretionary Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Some Wilson/Fish projects include: 1) A large state-administered project where the voluntary agencies determine eligibility and are responsible for case management of eligible refugees; and 2) a private voluntary agency that administers cash and medical assistance and social services for refugees not otherwise eligible for TANF and/or Medicaid in a State in which the State elected not to participate in the refugee resettlement program.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria for selecting projects is available in the Wilson/Fish Standing Announcement, which can be found at Grants.gov and on the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr).

**93.584 REFUGEE AND ENTRANT ASSISTANCE-TARGETED ASSISTANCE GRANTS**

(TAP; TAG)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Immigration and Nationality Act, Section 412(c)(2), as amended; Refugee Assistance Extension Act of 1986, Public Law 99-605, 8 U.S.C. 1522(c); Refugee Education Assistance Act of 1980, Section 501(a), Public Law 96-422, 8 U.S.C. 1522 note; Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1988, Section 584(c), Public Law 100-202; Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1989, Public Law 100-461; Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1990, Public Law 101-167; Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1991, Public Law 101-513; and Section 107(b)(1)(a) of the Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386.

**OBJECTIVES:**

To provide funding for employment-related and other social services for refugees, asylees, Amerasians, victims of a severe form of trafficking, and entrants in areas of high refugee concentration and high welfare utilization.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Assistance is limited to employment-related and other social services for refugees, asylees, Amerasians, victims of a severe form of trafficking, and entrants, as defined in the authorizing Acts, supplemented by appropriate documentation provided to the refugee from the Bureau of Citizenship and Immigration Services (BCIS), formerly INS.

**Applicant Eligibility:**

The State agency designated as responsible for the Refugee Resettlement Program is eligible to receive funding for assistance to counties and similar areas in States where, because of factors such as unusually large refugee or entrant populations, high refugee or entrant concentrations in relation to the overall population, and high use of public assistance by refugees, there exists a need for supplementation of available resources for services to refugees.

**Beneficiary Eligibility:**

Persons admitted to the U.S. within the last 5 years as refugees under Section 207 of the Immigration and Nationality Act; granted asylum under Section 208 of the Act; Cuban and Haitian entrants, as defined in Section 501 of the Refugee Education Assistance Act; and certain Amerasians from Vietnam and their accompanying family members, as defined by Section 584(c) of the Foreign Relations, Export Financing, and Related Programs Appropriation Act of 1988. Victims of a severe form of trafficking who have received a certified or letter of eligibility from ORR.

**Credentials/Documentation:**

Persons for whom assistance is authorized are limited to refugees, asylees, and Amerasian immigrants with documentation from the BCIS as to their status and to Cuban and Haitian entrants with documentation from the BCIS as to status allowed under Title V of the Refugee Education Assistance Act of 1980, and victims of a severe form of trafficking who have been certified by ORR. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States with qualifying counties must submit an application for funding in accordance with application requirements described in the annual notice of availability of formula allocation funding for targeted assistance grants. A State must submit a single application on behalf of all qualified counties in that State. Funding is contingent upon the submission and approval of a State application. Subsequent to the approval of the application by ORR, county governments develop local targeted assistance plans and submit them to the State.

**Award Procedure:**

Grants are made to designated State agencies on behalf of qualifying counties. State agencies, in turn, receive, review, and determine the acceptability of individual county targeted assistance plans. Not less than 95 percent of targeted assistance funds must be allocated by the State to qualified counties.

**Deadlines:**

The deadline for applications is 30 days from the date of publication of the final notice. Contact the Office of Refugee Resettlement (ORR) listed below for further information.

**Range of Approval/Disapproval Time:**

Approximately 1 month.

**Appeals:**

None.

**Renewals:**

Grants are for an annual budget period and a 3-year project period. FY 06 was the second year of the 3-year grant cycle (FY 05 - FY 07). In FY 06, ORR reviewed and verified refugee data on arrivals, entrants and asylees data submitted by States and for counties that qualified for formula targeted

assistance program (TAP) funds in FY 05. Counties qualified in FY 05 continues to qualify for TAP through FY 07. The new 3-year grant cycle will begin in FY 08 and ORR will begin the re-qualification process.

**Formula and Matching Requirements:**

The program provides funding, to the extent of available appropriations, for employment-related and other social services for eligible refugees, asylees, Amerasian immigrants, victims of a severe form of trafficking, and entrants. The formula for allocation is not established in legislation. Funds are distributed to States according to a formula which takes into account refugee, asylee, Amerasian, and entrant arrivals in the past five fiscal years. Targeted assistance funds must supplement, rather than supplant existing State and local resources. There is no cost-sharing or matching requirement, however, there is a 60-month limitation on the provision of targeted assistance services for refugees at 45 CFR 400.315(b).

**Length and Time Phasing of Assistance:**

Funds are appropriated on a yearly basis. Payments to States are made through the Payment Management System (PMS).

**Reports:**

Quarterly expenditure and program performance (and related statistics) reports are provided by the State agency to ORR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133."

**Records:**

Separate financial records must be maintained by State agency for 3 years after final payment or of the time period for the particular records in Parts 1-20 of Federal Procurement Regulations, whichever expires earlier.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Grants) FY 07 \$43,731,000; FY 08 \$43,731,000; and FY 2009 est \$43,731,000.

**Range and Average of Financial Assistance:**

TAG awards in FY 07 were in the range of \$127,523 to \$17,187,504; TAG awards in FY 2008 are estimated to be in the range of \$127,000 to \$17,000,000; and TAG awards in FY 2009 are estimated to be in the range of \$127,000 to \$17,000,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 43 grants were awarded. It is anticipated that 42 grants will be awarded in FY 08 and FY 09. For FY 07, ORR reviewed and weighted both the 5-year arrival population (FYs 2002 through 2006) for each county and the concentration of refugees within that county to determine its allocation for targeted assistance. FY 07 was the 3rd and final year of the qualification cycle. FY 2008 is the first year of a new qualification cycle. FY 2009 will be the second year of the qualification cycle.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Subpart L-400.310 to 400.319. Various materials are available on request from the Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, Aerospace Building, 8th Floor West, Washington, DC 20447.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, Division of Budget, Policy, and Data Analysis, 8th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Contact: Henley Portner. Telephone: (202) 401-5363. E-mail address: Henley.Portner@acf.hhs.gov.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566, Refugee and Entrant Assistance\_State Administered Programs; 93.576, Refugee and Entrant Assistance\_Discretionary Grants; 93.567, Refugee and Entrant Assistance\_Voluntary Agency Programs.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Job development and placement; (2) on-the-job training; (3) business and employer incentives; (4) job-related and vocational English; and (5) short-term job training.

**CRITERIA FOR SELECTING PROPOSALS:**

A State with at least one qualifying county submits an application on behalf of the qualified counties in that State. Subsequent to the approval of the State's application by ORR, county governments develop local targeted assistance plans for its submission to the State.

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1993, Section 13712, Public Law 103-66; Deficit Reduction Act of 2005, Section 7401, Public Law 109-171; The Safe and Timely Interstate Placement of Foster Children Act of 2006, Section 9, Public Law 109-239; The Child and Family Services Improvement Act of 2006, Section 3, Public Law 109-288.

**OBJECTIVES:**

To assist State courts in performing their role in the continuum of care provided for families and children at risk. It provides State courts with the flexibility to design assessments which identify barriers to timely and effective decision-making, highlight practices which are not fully successful, examine areas they find to be in need of correction or added attention, and then implement reforms which address the State courts specific needs. Two new objectives added in 2005 focus on court-agency collaboration and, direct courts to improve case tracking and analysis and 2) increase training of court personnel, including cross-training with agency staff. In 2006 an objective was added to require assessment and improvement of State courts handling of the interstate placement of children.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants under the State Court Improvement Program may be used for assessment and improvement activities, broadly defined, of the child welfare functions of a court system; for improved case tracking and analysis of child welfare cases; and for training of legal and judicial personnel in child welfare cases, including cross-training with child welfare agency staff and contractors.

**Applicant Eligibility:**

The highest State courts in each of the 50 States, the District of Columbia and Puerto Rico are eligible to apply for funding. The term "highest State court" means the judicial tribunal which is the ultimate court of appeals in the State.

**Beneficiary Eligibility:**

The State courts are eligible.

**Credentials/Documentation:**

All State courts which submit applications as per instructions released by the Children's Bureau, Administration on Children, Youth, and Families (ACYF) are eligible to receive Court Improvement Program grant funds.

**Preadmission Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Instructions can be obtained from the Children's Bureau, ACYF and the appropriate HHS Regional Offices.

**Award Procedure:**

Awards to approved applicants will be made from the Administration for Children and Families, Office of Administration, Office of Grants Management.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Federal approval time will be between 30 and 120 days.

**Appeals:**

Appeals are processed in accordance with HHS Departmental regulations at 45 CFR Part 16.

**Renewals:**

Applications for fiscal year 2007, fiscal year 2008 and fiscal year 2009 funds will be requested and accepted based on guidance to State courts by the Children's Bureau.

**Formula and Matching Requirements:**

Each State court with an approved application is allotted \$85,000 for fiscal year 2007-20011. In addition to this base amount, the remainder of the amount appropriated for all State courts (\$12,080,287 for fiscal year 2008) will be divided among those courts with approved applications according to each State's proportionate share of children under the age of 21. If any State courts do not apply for their share of these funds, the unclaimed amount will be reallocated each year to all other State courts with approved applications. Nonfederal share (or match) is required at the rate of 25 percent of the total budget. The same formula and match requirements apply to funds appropriated for the two new purposes for fiscal years 2006 through 2010 (\$20,000,000).

**Length and Time Phasing of Assistance:**

The U.S. Treasury will provide funds for this program.

**Reports:**

Both fiscal and program reports are required annually and are due 90 days after the close of the grant year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of State, local governments, and nonprofit organizations" State and local governments that expend more than \$500,000 in Federal awards within the State's fiscal year shall have an audit made in accordance with OMB Circular No. A-133, or in accordance with Federal laws and regulations governing the programs in which

they participate. Other audits are conducted in accordance with the requirements of 45 CFR Part 92.

**Records:**

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

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Grants) FY 07 \$32,940,300; FY 08 \$32,089,272; and FY 09 est \$32,089,272.

**Range and Average of Financial Assistance:**

\$97,664 TO \$1,201,407; \$248,852.

**PROGRAM ACCOMPLISHMENTS:**

There were 50 basic CIP grants awarded in fiscal year 2007. It is estimated that 51 grants will be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-PI-94-12 issued June 27, 1994, ACYF-CB-PI-99-02 issued February 23, 1999, Letter of April 24, 2002 from ACYF Commissioner Joan Ohl to the Highest State Courts of Appeal, ACYF-CB-PI-03-04 issued March 28, 2003, and ACYF-CB-PI-06-05 issued June 15, 2006, and ACYF-CB-PI-07-09 issued June 4, 2007. The Court Improvement Program is not regulated. Literature about court assessments and improvements can be found by contacting the National Child Welfare Resource Center for Legal and Judicial Issues at 800-285-2221.

**Regional or Local Office:**

Please contact the ACF branch of the appropriate Regional Office. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Emily Cooke, Children's Bureau, 1250 Maryland Avenue, S.W., Washington, DC 20024. Telephone: (202) 205-8709.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families; 93.643, Children's Justice Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None. This is a formula grant program which does not receive discretionary grant proposals.

## 93.587 PROMOTE THE SURVIVAL AND CONTINUING VITALITY OF NATIVE AMERICAN LANGUAGES

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Native American Programs Act of 1974, as amended, Public Law 93-644, 88 Stat. 2324, 42 U.S.C. 2991b; Native American Languages Act of 1992, Public Law 102-524, 104 Stat. 883.

**OBJECTIVES:**

To provide financial assistance to eligible applicants for the purpose of three the survival and continued vitality of native languages. This program area is divided into three categories: Category I Assessment Grants are 12-month projects to be used to conduct an assessment of the current status of the native language; Category II Planning Grants are up to 24 month projects to be used to plan a language project. Implementation Grants are 12 to 36-month projects and allow for the implementation of language projects that support the community's long-term language preservation goals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for language preservation and enhancement.

**Applicant Eligibility:**

The following organizations are eligible to apply; Federally-recognized Indian Tribes (as listed by the Bureau of Indian Affairs in an October 21, 1993 Federal Register notice); Incorporated Non-Federally recognized Indian Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANSCA) and/or nonprofit village consortia; Nonprofit Alaska Native Regional Associations with village specific projects; Nonprofit Native organizations in Alaska with village specific projects; Incorporated nonprofit multi-purpose community-based Indian organizations; Urban Indian Centers: Public and nonprofit private agencies serving Native Hawaiians; National or regional incorporated nonprofit Native American organizations with Native American community-specific objectives; Public and nonprofit private agencies serving native peoples from Guam, American Samoa, or the commonwealth of the Northern Mariana Islands (The populations served may be located on these islands or in the United States.); and Tribally Controlled Community Colleges, Tribally Controlled Post Secondary Vocational Institutions, and colleges and universities located in Hawaii, Guam, American Samoa, or the commonwealth of the Northern Mariana Islands which serves Native American Pacific Islanders.

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Information regarding the availability of grant funds will be posted in Grants.gov and the ACF Funding Opportunities websites as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from Administration for Native Americans programs. Hard copy applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, Aerospace Building 6th Floor East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Each program announcement specifies the due date for submission of applications.

**Range of Approval/Disapproval Time:**

Applicants will receive notice of approval/Disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renews:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waiver is requested in accordance with criteria which are also published in 45 CFR, Part 1336.50.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period. Category II, Planning Grants, can be from 12-24 months; Category III, Implementation Grants from 12-36 months; Category IV, Immersion Grants from 12-36 months.

**Reports:**

Quarterly Financial Status Reports, Report of Federal Cash Transactions, and Project Progress Reports are required.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$5,100,000; FY 08 \$5,000,000; and FY 09 est \$5,000,000.

**Range and Average of Financial Assistance:**

Category I: \$50,000 to \$100,000, average award \$75,000; Category II \$50,000 to \$150,000 per budget period, average award \$100,000. Category III: \$50,000 to \$200,000 per budget period, average award \$150,000. Category IV: \$150,000 to \$250,000, average award TBD.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 44 grants were awarded. It is anticipated that 35 grants will be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administration for Native Americans, Department of Health and Human Services, Mail Stop Aerospace Center 2th Floor-West 370 L'Enfant Promenade, SW., Washington, DC 20447. Contact: Director of Program Operations, (877) 922-9262.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

<http://www.acf.hhs.gov/programs/ana>.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to



program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

## **93.590 COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS**

### **FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### **AUTHORIZATION:**

Child Abuse Prevention and Treatment Act, 42 U.S.C. 5116 et seq., as amended, Public Law 108-36.

### **OBJECTIVES:**

To assist States to support community-based efforts to develop, operate, expand, and enhance, and where appropriate to network, initiatives aimed at the prevention of child abuse and neglect.

### **TYPES OF ASSISTANCE:**

Formula Grants.

### **USES AND USE RESTRICTIONS:**

To receive funds, States must meet eligibility requirements stated in the authorizing legislation and use of funds to develop, operate, expand, and enhance community-based, prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. One percent is set aside for discretionary grants to migrant and tribal populations and an additional amount to fund a national resource center to provide training and technical assistance to State lead agencies.

### **Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands.

### **Beneficiary Eligibility:**

There are no eligibility requirements. Beneficiaries, which include children and their families, and organizations dealing with community-based, prevention focused programs and activities designed to prevent child abuse and neglect.

### **Credentials/Documentation:**

Applications require certification and/or documentation that the State meets the eligibility requirements described in the Act requiring that: (1) the CEO of the State has designated a lead entity to administer funds under this title for the purposes identified under the authority of this Title; (2) the CEO of the State has provided assurances that the lead entity will provide or be responsible for providing community-based, prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from public and private sector members, parents, and public and private nonprofit service providers, individuals and organizations experienced working in partnership with families with children with disabilities; and (3) the CEO of the State has provided additional assurances that the lead entity has demonstrated certain capacities that ensure the States ability to meet the purposes of this authority. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92.

### **Preapplication Coordination:**

Preapplication is not required. Advice and technical assistance are available from the Children's Bureau, OCAN to State applicants. This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

States and Territories respond to Annual Program Instruction which announces availability of funds. Application must include assurance and information required in Program Instruction, as well as completed forms from Program Instruction.

### **Award Procedure:**

Applications are reviewed against all eligibility requirements at the Headquarters level. Approval/disapproval is decided by the Commissioner, ACYF.

### **Deadlines:**

Deadlines will be provided in the annual Program Instruction. Contact Headquarters Office listed below for future deadlines.

### **Range of Approval/Disapproval Time:**

From 2 to 3 months.

### **Appeals:**

None.

### **Renewals:**

Grants are made annually. A new application is required each year.

### **Formula and Matching Requirements:**

States that meet all of the eligibility requirements will be awarded funds based on the following statutory formula: (a) 70 percent of the total amount appropriated is allotted among the States based on the number of children under the age of 18 in each such State, except that each State shall receive not less than \$175,000; and (b) the remaining 30 percent of the total amount appropriated is allotted in an amount that bears the same proportion to such amount appropriated as the amount leveraged by the State from private, State, or other

nonfederal sources and directed through the State lead agency in the preceding fiscal year bears to the aggregate of the amount leveraged by all States from private, State, or other nonfederal sources and directed through the lead agency of such States in the preceding fiscal year.

### **Length and Time Phasing of Assistance:**

Grants are awarded annually by the Secretary to the State on an annual basis, as described by the formula information Section.

### **Reports:**

Financial and program progress reporting requirements are described in Program Instructions.

### **Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

### **Records:**

Records are to be kept in accordance with 45 CFR Parts 74 and 92.

### **Account Identification:**

75-1536-0-1-506.

### **Obligations:**

(Grants and Contracts) FY 07 \$42,429,000; FY 08 \$41,689,000; and FY 09 est \$41,689,000.

### **Range and Average of Financial Assistance:**

In FY 2007 the awards ranged from \$200,000 to \$3,930,920 and for FY 2008 and FY2009 the estimated range is between \$200,000 to \$3,850,233. The average award is \$718,045.

### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 60 grants were awarded. The territories of Guam, American Samoa, Virgin Island, and Commonwealth of Northern Mariana Islands received \$200,000 each under their consolidated grant program. It is anticipated that 60 grants will be awarded in fiscal years 2008 and 2009.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Melissa Lim Brodowski, Office on Child Abuse and Neglect, 1250 Maryland Avenue, SW, Washington DC, 20024, 8th Floor. Telephone: 202-205-2629, E-mail: melissa.brodowski@acf.hhs.gov.

### **Web Site Address:**

<http://www.friendsnrc.org>

### **RELATED PROGRAMS:**

93.643, Children's Justice Grants to States; 93.645, Child Welfare Services\_State Grants; 93.648, Child Welfare Services Training Grants; 93.667, Social Services Block Grant; 93.669, Child Abuse and Neglect State Grants.

### **EXAMPLES OF FUNDED PROJECTS:**

None.

### **CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements will receive funds under this program.

## **93.591 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS-GRANTS TO STATE DOMESTIC VIOLENCE COALITIONS**

### **FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### **AUTHORIZATION:**

Title III, Child Abuse Amendments of 1984, Public Law 98-457, 42 U.S.C. 10401 et seq.; Family Violence Prevention and Services Act(FVPSA) of 1986, as amended; Child Abuse Prevention, Adoptions, and Family Services Act of 1988, Public Law 100-294; Public Law 102-295; Violent Crime Control and Law Enforcement Act, Public Law 103-322; Child Abuse Prevention and Treatment Act (CAPTA) OF 1996, Public Law 104-235; Victims of Trafficking and Violence Protection Act, Public Law 106-386; Keeping Children and Families Safe Act of 2003, Public Law 108-36; Violence Against Women Reauthorization Act of 2005, Public Law 109-162.

### **OBJECTIVES:**

To further the purposes of domestic violence intervention and prevention through coordination, training, and collaboration with systems that affect battered women; to provide services, community education and technical assistance to such programs to establish and maintain shelter and related services for victims of domestic violence and their dependents.

### **TYPES OF ASSISTANCE:**

Formula Grants.

### **USES AND USE RESTRICTIONS:**

State domestic violence coalitions may use funds under the Act to support a range of activities, including working with local domestic violence programs and providers of direct services to encourage appropriate responses to domestic violence within the State; working with judicial and law enforcement agencies to encourage appropriate responses to domestic violence cases and examine legal

issues; working with family law judges, criminal court judges, Child Protective Services agencies, and children's advocates to develop appropriate responses to child custody and visitation issues in domestic violence cases as well as cases where domestic violence and child abuse are both present; conducting public education campaigns regarding domestic violence through the use of public service announcements and informative materials that are designed for print media, billboards, public transit advertising, electronic broadcast media, and other vehicles for information including information aimed at underserved racial, ethnic or language-minority populations; and participating in planning and monitoring the distribution of grants and grant funds within the State under Section 303(a) of the Act. (See CFDA 93.671, Family Violence Prevention and Services: Grants to State and Indian Tribes.)

**Applicant Eligibility:**

To be eligible for a grant under this Section, an entity shall be a statewide nonprofit State Domestic Violence Coalition, or a membership organization consisting of the battered women's shelters in the state, or territory.

**Beneficiary Eligibility:**

This program will benefit victims of domestic violence, their children and other dependents, their families, and other persons affected by such violence including friends, relatives, and the general public.

**Credentials/Documentation:**

Applications must be submitted for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR 74.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Specific instructions are published via the Internet under the Form section at the following website: <http://www.acf.hhs.gov/grants>. Contact Headquarters Office listed below for further information.

**Award Procedure:**

Funds are awarded directly to State Domestic Violence Coalitions.

**Deadlines:**

Specific instructions are published criteria published on the following website: <http://www.acf.hhs.gov/programs/fysb>. You may also get information on the Family and Youth Services Bureau website at <http://www.acf.hhs.gov/programs/fysb>.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

See 45 CFR 16, Procedures of the Department Appeals Board.

**Renewals:**

None.

**Formula and Matching Requirements:**

No less than 10 percent of the amount available for grants will be made available to the State Domestic Violence Coalition in each of the 50 States, Puerto Rico and the District of Columbia. Grants for the Coalitions in the combined U.S. Territories of Guam, the U.S. Virgin Islands, Northern Mariana Islands, and American Samoa shall not receive less than 1/53 of the funds appropriated for each fiscal year.

**Length and Time Phasing of Assistance:**

The annual grant award must be expended by each State Domestic Violence Coalition by the end of the fiscal year following the fiscal year for which funds are awarded. Payments are made through the Electronic Transfer System.

**Reports:**

Each State Domestic Violence Coalition receiving amounts under this section shall submit an annual report to the Secretary describing the coordination, training and technical assistance, and public education services performed with the grant funds received and evaluating the effectiveness of those services.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92 and OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

State coalitions are required to maintain records documenting the purposes for which expenditures were made. Requirements are found in 45 CFR Part 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$12,473,100; FY 08 \$12,255,200; and FY 09 est \$12,255,200.

**Range and Average of Financial Assistance:**

Each State Domestic Violence Coalition received \$235,341 in fiscal 2007; each coalition will receive approximately the same amount in fiscal year 2008 and 2009 based on small changes in the allotment.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 53 grants were made to State Domestic Violence Coalitions for coordination, training, technical assistance, and public education activities. It is anticipated that 53 grants will be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. Final Rulemaking was published February 22, 1996 at 45 CFR 1370.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouise Kelley; Family and Youth Services Bureau, Administration on Children, Youth and Families, 1250 Maryland Avenue, SW, Suite 8216, Washington, DC 20024. Telephone: (202) 401-5756.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families; 93.645, Child Welfare Services State Grants; 93.667, Social Services Block Grant; 93.669, Child Abuse and Neglect State Grants; 93.994, Maternal and Child Health Services Block Grant to the States.

**EXAMPLES OF FUNDED PROJECTS:**

Based on State and local priorities, Domestic Violence Coalitions determine the activities to be funded for training and technical assistance, public information and education, and coordination with other governmental systems in developing and improving comprehensive services.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State Domestic Violence Coalition will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.592 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS-DISCRETIONARY GRANTS**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Title III, Child Abuse Amendments of 1984, Public Law 98-457, 42 U.S.C. 10401 et seq.; Family Violence Prevention and Services Act(FVPSA) of 1986, as amended; Child Abuse Prevention, Adoptions, and Family Services Act of 1988, Public Law 100-294; Public Law 102-295; Violent Crime Control and Law Enforcement Act, Public Law 103-322; Child Abuse Prevention and Treatment Act (CAPTA) OF 1996, Public Law 104-235; Victims of Trafficking and Violence Protection Act, Public Law 106-386; Keeping Children and Families Safe Act of 2003, Public Law 108-36; Violence Against Women Reauthorization Act of 2005, Public Law 109-162.

**OBJECTIVES:**

To fund a wide range of discretionary activities for the purpose of preventing family violence; protecting victims and their dependents; improving the design, delivery, and coordination of services to address family violence; gathering information on the incidence of family violence; and increasing knowledge and understanding of the issue through research, demonstration, and evaluation projects. Specific sections in the Act authorize funding for such discretionary projects as the National Resource Centers; a national domestic violence hotline; public education and information activities; and research into the most effective programs for the prevention, identification, and treatment of family violence.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Discretionary grants may be made to public and private entities and may take the form of a competitive grant, a cooperative agreement, or a contract, depending on the statutory requirements. Applicants must meet the program and administrative requirements specified in the appropriate Federal Register or Commerce Business Daily announcement.

**Applicant Eligibility:**

Depending on the purpose of the project and the statutory requirements, an applicant may be a public agency, a private agency (nonprofit), a federally-recognized Indian tribe, an Alaska Native Village, or a nonprofit Alaska Native Regional Corporation.

**Beneficiary Eligibility:**

These discretionary grants will benefit victims of family violence, their dependents, families, other interested persons, and the general public.

**Credentials/Documentation:**

Applicants must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Parts 74 for private nonprofit agencies and organizations; and in accordance with 45 CFR Part 92 for State, local, and Indian Tribal governments.

**Preapplication Coordination:**

All discretionary grants and cooperative agreements funded under this statute are

covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should contact the office of the official designated as the State Single Point of Contact (SPOC) as part of the application process.

**Application Procedure:**

Awards are granted on a competitive basis. All applications must contain standard forms 424 and 424A and all required certifications. Specific instructions are published via the Internet under the Forms section at the following website: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

The Commissioner, Administration on Children, Youth and Families, will make the final decision on all awards. Selection of applicants will be determined based on the review criteria published on the following website: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Funds are awarded directly to grantees.

**Deadlines:**

Contact Headquarters Office listed below for further information.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

None.

**Renewals:**

Renewals (continuations), if authorized under the terms of the award, are awarded based on satisfactory performance and availability of funding.

**Formula and Matching Requirements:**

Dependent upon priority area application request.

**Length and Time Phasing of Assistance:**

Projects may vary from a 12-month project period to a 5-year project period depending on statutory and programmatic requirements.

**Reports:**

Depending on the grant being funded, reports may be all or any of the following: monthly, quarterly, semi-annual, and annual.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92 and OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to keep financial and program records necessary for program review and audit to ensure that funds have been expended in accordance with the statute, regulations, grant conditions, and administrative terms of the project funded.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$127,680,000 which includes \$2,970,000 allocated for Family Violence Hotline; FY 08 est \$125,470,000 which includes \$2,918,000 allocated for Family Violence Hotline and FY 09 est \$125,470,000 which includes \$2,918,000 allocated for Family Violence Hotline.(Contracts) FY 07 \$1,302,000; FY 08 est \$1,264,000 and FY 09 est \$1,245,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$1,580,300.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 40 grant awards were made to domestic violence advocacy organizations, States, Tribes and Universities. It is anticipated that the same amount of grants will be awarded in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. You may also get information on the Family and Youth Services Bureau website at <http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouis Kelley, Family and Youth Services Bureau, Administration on Children, Youth and Families, 1250 Maryland Avenue, SW., Suite 8216 Washington, DC 20024. Telephone: (202) 401-5756.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families; 93.612, Native American Programs; 93.645, Child Welfare Services State Grants; 93.667, Social Services Block Grant; 93.669, Child Abuse and Neglect State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include one National Resource Center on Domestic Violence and four Special Issue Resource Centers, the National Domestic Violence Hotline, public information and education campaigns, and outreach activities to underserved and diverse populations.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on the criteria published in the Funding Opportunity Announcement located on the following website: <http://www.acf.hhs.gov/grants> or Commerce Business Daily program announcement.

## 93.593 JOB OPPORTUNITIES FOR LOW-INCOME INDIVIDUALS

(JOLI Program)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Family Support Act of 1988, Section 505, Public Law 100-485, (42 U.S.C. 1926) as amended, Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Section 112, Public Law 104-193.

**OBJECTIVES:**

The purpose of the JOLI program is to create new jobs to be filled by low-income individuals. JOLI grantees create jobs through business plans and the provision of technical and/or financial assistance to private employers in the community. Accordingly, JOLI grantees assist in creating new employment and business opportunities for individuals receiving Temporary Assistance for Needy Families (TANF) and for other low-income individuals. Funded projects focus on one of three program strategies to create new job and employment opportunities: (1) new business ventures, (2) business expansion, and (3) self-employment/micro-enterprise.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funded projects must: (1) create new employment and/or business opportunities for TANF recipients and other low-income individuals; (2) enter into a cooperative agreement with the local TANF agency involving client referrals to the applicant project and supportive services for clients, and applicants are encouraged to establish a formal partnership with the local Child Support Enforcement (CSE) agency involving referrals of non-custodial parents to the applicant; (3) develop a comprehensive project design that describes: the work program and strategy; the participant training design; supportive services and counseling; technical assistance and financial assistance plan; access to business capital; and, follow-up participant support services; and, (4) include an independent, methodologically sound evaluation of the effectiveness of the activities in creating new jobs and/or business opportunities. Funds awarded under this program cannot be used for 1) new construction, 2) the purchase of real property, 3) fundraising, 4) reimbursement of pre-award costs, 5) any project where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant, or 6) a previously funded grantee to carry out the same project in the same geographic area. A minimum of 20 percent of the funds must be used for the provision of loans or other financial assistance to program participants. Grantee's applicable costs and administrative procedures will be determined in accordance with 45 CFR Part 74.

**Applicant Eligibility:**

Only nonprofit organizations (including community development corporations, faith based, charitable, and tribal organizations) that are tax-exempt under section 501(a) of the Internal Revenue Code of 1986, by reason of paragraph (3) or (4) of section 501(c) of such Code are eligible to apply.

**Beneficiary Eligibility:**

Only recipients of Temporary Assistance for Needy Families (TANF) benefits and any other individual, whose income level does not exceed 100 percent of the official poverty guidelines, as published by the U.S. Department of Health and Human Services, can be served under this program. Emphasis is placed on serving individuals who are TANF recipients, homeless, unemployed, non-custodial parents, reside in public housing or receive housing assistance.

**Credentials/Documentation:**

Applicants must include with the application written evidence of the local TANF agency's willingness to enter a cooperative agreement. Applicants are strongly encouraged to include with the application written evidence of a partnership with the local CSE agency. All non-profit organizations (including community development corporations, faith based, charitable, and tribal organizations) must include with the application written proof of tax-exempt status under 501(c) (3) or (4) of Internal Revenue Code of 1986.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Program". If the applicant's State has selected the program for review, the applicant should consult the office or the official designated as the Single Point of Contact in his or her State to obtain more information involving State requirements on the process to be followed in applying for assistance.

**Application Procedure:**

All information and forms required to prepare a grant are published in the Federal Register and [www.grants.gov](http://www.grants.gov) website.



**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award. Official notice of an accepted application proposal is made through award of a grant.

**Deadlines:**

All information and application forms required to prepare an application are at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

Generally, solicited grants will be acted upon within 90-120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

There is no requirement for matching Federal funds. Applicants are however, encouraged to share in the cost of projects and to mobilize other resources for project implementation. Cooperative letters of resource commitment are given special consideration in the review of applications.

**Length and Time Phasing of Assistance:**

Grant awards are approved for up to a 3 year budget and project period. The maximum grant for the full project and budget period is \$475,000.

**Reports:**

Required reporting includes: Semi-Annual Programmatic and Semi-Annual Fiscal reporting and Final program and fiscal reporting, which is a cumulative report for the total project operational period. All projects must include an independent, methodologically sound evaluation of the effectiveness of the activities carried out under the grant. Interim Project Evaluation reports must be submitted annually and a Final Project Evaluation report at the end of the project period. Evaluation reporting includes: project evaluation plan, annual evaluation reports, and a final cumulative evaluation report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments and Non-Profit Organizations, Non-Federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section .215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$5,382,000; FY 08 \$5,288,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In FY 2007, the Maximum award is \$500,000, Ten grants were awarded in FY 2008, the Maximum award is \$475,000; 10 to 12 grant awards are anticipated.

**PROGRAM ACCOMPLISHMENTS:**

Ten grants were awarded in FY 2007. It is anticipated that the same number of grants will be awarded in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The JOLI Program Announcement information is available at: [www.grants.gov](http://www.grants.gov); and The Poverty Guidelines are available at: <http://aspe.os.dhhs.gov/poverty/index.shtm1>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Rafael J. Elizalde, Team Leader, Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, U.S. Department of Health and Human Services, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-5115; E-mail: [rafael.elizalde@acf.hhs.gov](mailto:rafael.elizalde@acf.hhs.gov).

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

93.570, Community Services Block Grant\_Discretionary Awards; 93.647, Social Services Research and Demonstration; 93.645, Child Welfare Services\_State Grants; 93.601, Child Support Enforcement Demonstrations and Special Projects.

**EXAMPLES OF FUNDED PROJECTS:**

Revolving loan funds supporting micro-enterprise or other self-employment development and pertinent employment training and technical assistance and/or specialized job training related to new businesses and/or a specific business expansion project that is designed to create full-time permanent employment opportunities for eligible TANF and other low-income individuals to move them toward economic self-sufficiency.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement.

**93.594 TRIBAL WORK GRANTS**

(Native Employment Works; NEW)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 412(a)(2), as amended.

**OBJECTIVES:**

To allow eligible Indian Tribes and Alaska Native organizations to operate a program to make work activities available.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Tribes have broad flexibility to use the grant for the purpose of making work activities available.

**Applicant Eligibility:**

An Indian Tribe or Alaska Native organization that conducted a Tribal JOBS (Job Opportunities and Basic Skills Training) Program in fiscal year 1995.

**Beneficiary Eligibility:**

Service areas and populations as designated by the eligible Indian Tribe or Alaska Native organization.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each eligible Indian Tribe or Alaska Native organization must submit a NEW plan to the Secretary for approval.

**Award Procedure:**

The Administration for Children and Families (ACF) will issue grant awards.

**Deadlines:**

Plans generally are effective for three program years, subject to program reauthorization.

**Range of Approval/Disapproval Time:**

Approximately 45 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

See section 412(a)(2) of the Social Security Act, as amended. The grant amount for each Tribe will equal the amount it received in fiscal year 1994 to operate its JOBS Program. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Grants will be issued annually in a lump sum payment.

**Reports:**

An annual program (narrative and statistical) report and interim and final SF 269-A reports are required.

**Audits:**

The Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

Indian Tribes and Alaska Native organizations must maintain records containing information the Secretary may require.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Grants) FY 07 \$7,551,000; FY 08 \$7,633,000; and FY 09 est \$7,633,000.

**Range and Average of Financial Assistance:**

From \$5,187 to \$1,752,666; \$97,862.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 77 grants were awarded, which represented 98.7 percent of the total eligible grantee population. This number is estimated to rise to 78 grants in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for the Native Employment Works (NEW) program were published on February 18, 2000, and became effective June 19, 2000.

**Regional or Local Office:**

Tribes should contact ACF Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Ann Bowker, Division of Tribal TANF Management, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor, Aerospace Building, 370 L'Enfant Promenade, SW, Washington, DC 20447. Telephone: (202) 401-5308.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/dts>.

**RELATED PROGRAMS:**

93.558, Temporary Assistance for Needy Families; 17.251, Native American Employment and Training Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Currently, the Native Employment Works program has 77 tribal grantees operating work activity programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**93.595 WELFARE REFORM RESEARCH, EVALUATIONS AND NATIONAL STUDIES**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, 42 U.S.C. 613, 613 note, and 710.

**OBJECTIVES:**

To support research on the benefits, effects, and costs of operating different State welfare programs, including studies on the effects of different programs and the operation of such programs on welfare dependency, employment rates, child well-being, family formation and healthy marriage, illegitimacy, teen pregnancy, and others; to assist States in developing and evaluating innovative approaches for reducing welfare dependency and increasing the well-being of minor children living at home.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instruction, or proselytization. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS web site at <http://www.os.dhhs.gov/fbc/waisgate21.pdf>.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith- and community-based organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to non-profit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR 92 and OMB Circular No. A-87. For other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.grants.gov](http://www.grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award (FAA). This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is

contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Deadlines for grants and cooperative agreements are announced in [www.grants.gov](http://www.grants.gov) as part of the announcement or are mailed to State Agencies where applicants are limited to those agencies. Deadlines for requests for contract proposals are posted on [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee or contractor must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

Grantees are generally required to share in the cost of projects. Cost sharing may range up to 25 percent of the total approved project cost for grants or cooperative agreements.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis (up to 10 years under certain exceptions), with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

**Reports:**

Reports of progress and expenditures are required on all projects. Comprehensive final reports are generally due within 90 days of completion of the project.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials. In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003) "Audits of States, Local Governments and Non-Profit Organizations," Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Non-Federal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section 215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Grants, Cooperative Agreements, and Contracts) FY 07 \$97,188,710 (Note: of this amount, \$11,860,489 was funded under 93.647); FY 08 \$94,882,000; and FY 09 est \$101,762,000. Four funding streams combine for these amounts: the Compassion Capital Fund; Welfare Research; Social Services Research and Demonstration; and the Child Welfare Study. With regard to the Compassion Capital Fund, FY 07 \$64,342,007, FY 08 \$52,688,000, and FY 09 est \$75,000,000. With regard to Welfare Research, FY 07 \$14,991,207, FY 08 \$15,000,000, and FY 09 est \$15,000,000. With regard to Social Services Research and Demonstration, FY 07 \$11,860,489, FY 08 \$21,194,000, and FY 09 est \$5,762,000. With regard to the Child Welfare Study, FY 07 \$5,995,007, FY 08 \$6,000,000, and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

(Grants, Cooperative Agreements and Contracts) From \$60,186 to \$5,995,000; average \$1,082,657.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, funding was provided to 26 research and evaluation projects through contracts or grants related to welfare reform and employment strategies (including projects testing promising strategies to serve the hard-to-employ and job retention and advancement, and research on sanction policies, time-limited assistance and local implementation) and to strengthening marriage and family formation. More information describing research and evaluation projects we have funded can be found at <http://www.acf.hhs.gov/programs/opre/>. We anticipate funding a similar number of projects related to these areas of interest in fiscal year 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.grants.gov](http://www.grants.gov) and <http://www.hhs.gov/grantsnet/roadmap/index.html>. Helpful information on

contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

Contact the appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.)

**Headquarters Office:**

Karl Koerper, Office of Planning, Research and Evaluation, Administration for Children and Families, Department of Health and Human Services, 7th Floor, 370 L'Enfant Promenade SW., Washington, DC 20447. Telephone: (202) 401-4535. Fax: (202) 205-3598. E-Mail: [KKoerper@ACF.HHS.gov](mailto:KKoerper@ACF.HHS.gov).

**Web Site Address:**

<http://www.acf.hhs.gov/programs/opre>.

**RELATED PROGRAMS:**

93.558, Temporary Assistance for Needy Families; 93.647, Social Services Research and Demonstration; 93.648, Child Welfare Services Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

See 93.647, Social Services Research and Demonstration, for examples of funded projects.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting projects to be funded under this program are published in [www.grants.gov](http://www.grants.gov) for grant announcements and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.596 CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT FUND**

The Child Care Mandatory and Matching Funds are a part of the Child Care and Development Fund (CCDF) program, along with the Child Care and Development Block Grant or Discretionary Funds (see CFDA number 93.575).

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, as amended, 42 U.S.C. 618; Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193); Child Care and Development Block Grant Act of 1990, as amended (Public Law 101-508, 42 U.S.C. 9858 et seq); Balanced Budget Act of 1997 (Public Law 105-33); and Deficit Reduction Act of 2005 (Public Law 109-171).

**OBJECTIVES:**

To make grants to States, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Subchapter IV of the Social Security Act appropriates funds (Mandatory and Matching Funds) for the purpose of providing child care assistance. Lead Agencies must use Mandatory and Matching Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the Child Care and Development Block Grant Act. Lead Agencies must ensure that not less than 70 percent of the total amount of Mandatory and Matching Funds are used to provide child care assistance to families who are receiving assistance under the Temporary Assistance for Needy Families program, families who are attempting through work activities to transition off of temporary assistance programs, and families who are at risk of becoming dependent on temporary assistance programs. Not more than five percent of the aggregate amount of CCDF Funds expended by the State (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State to carry out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, including a national toll-free hotline, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Mandatory or Matching Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading of facilities to meet State and local child care standards.) No Mandatory or Matching Funds provided directly to child care providers through

grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction; however, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Mandatory or Matching Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school.

**Applicant Eligibility:**

All States, the District of Columbia, Federally recognized Tribal Governments, and tribal organizations, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program, or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Grantees must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the grantee will comply with the requirements of the Child Care and Development Block Grant Act and all applicable Federal law.

**Preapplication Coordination:**

Each grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Mandatory and Matching Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act. The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the amended Child Care and Development Block Grant Act; an outline of the proposed use of block grant funds in compliance with Section 658E(c)(3) of the Child Care and Development Block Grant Act; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the Child Care and Development Block Grant Act; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Grants are awarded after the receipt and approval of an application and plan by the Administration for Children and Families.

**Deadlines:**

Contact the Child Care Bureau's Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appeals of disapprovals of CCDF plans are specified in regulations, 45 CFR Part 99.

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Allocations of the Mandatory Funds are based on a State's Federal share of the expenditures for the now-repealed AFDC-linked child care programs (AFDC/JOBS Child Care, Transitional Child Care, and At-Risk Child Care) in 1994 or 1995, or the average of 1992 through 1994, whichever was greater. A State is not required to expend any State funds in order to receive its share of the Mandatory Funds. The remaining funds are Matching Funds and are distributed based on the number of children under age 13 in a State compared with the national total of children under age 13. To access Matching Funds, a State must obligate all of its mandatory funds allotted in a fiscal year and maintain 100 percent of the State's share of expenditures for the former programs in fiscal year 1994 or fiscal year 1995, whichever is greater. Matching Funds must be matched at the applicable FMAP rate, which is the Medicaid Program matching rate. Not



less than one percent, but not more than two percent of the total Mandatory and Matching Funds are reserved for Tribes and tribal organizations based on the number of children living on or near tribal reservations or other appropriate area served by the tribal grantee. Tribes and tribal organizations are not required to provide matching funds. The District of Columbia is treated as a State for purposes of receiving its share of Mandatory and Matching Funds. Territories are not eligible to receive Mandatory or Matching Funds.

**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. If Matching Funds are requested, Mandatory Funds must be obligated by the end of the first fiscal year. There is no time limit on liquidation of Mandatory Funds and no time limit on obligation of Mandatory Funds if no Matching Funds are requested. Matching Funds must be obligated by the end of the first fiscal year and liquidated by the 2nd fiscal year. State funds expended toward the maintenance of effort requirement must be both obligated and expended by the end of the first fiscal year. Mandatory and Matching Funds granted to Tribes and tribal organizations must be obligated by the end of the second fiscal year and liquidated by the end of the third fiscal year.

**Reports:**

As specified in 45 CFR Part 98, States must report to the Administration for Children and Families annually on data on families, children in care, providers, payment methods, and consumer education. Quarterly reports are required to provide data on families, children, and providers, and payment information. States must also submit quarterly expenditure reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 2, 2003), Audits of States, Local Governments, and Non-profit Organizations, non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Further auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1515-0-1-609.

**Obligations:**

(Grants) FY 07 \$2,902,000,000; FY 08 \$2,917,000,000; and FY 09 est \$2,917,000,000. (These figures do not include CCDF Discretionary funds under 93.575.)

**Range and Average of Financial Assistance:**

For States, including the District of Columbia and Puerto Rico, the range of grants in FY 08 is: \$8,303,222 to \$532,337,832; average grant is approximately \$93,194,746. For 260 Tribal grantees, the range of grants in FY 08 is: \$22,845 to \$10,368,025; average grant is approximately \$383,006. For the four Territories, the range of grants in FY 08 is \$1,864,552 to \$4,022,522; average grant is approximately \$2,577,601. (These figures are inclusive of funds received through 93.575 and 93.596.)

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 289 grants were awarded. In FY 08, 289 grants were awarded. It is estimated that 289 grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund Final Rule, issued July 24, 1998.

**Regional or Local Office:**

Persons are encouraged to communicate with the Child Care Bureau Regional Program Managers (RPM). A list of the RPM's and their contact information is available at [www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm). You may also contact the Child Care Bureau, Office of Family Assistance at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Child Care Bureau, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 901 D Street S.W., 5th Floor East, Washington, DC 20047. Telephone: (202) 690-6782, Fax: (202) 690-5600.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558, Temporary Assistance for Needy Families; 93.575, Child Care and Development Block Grant.

**EXAMPLES OF FUNDED PROJECTS:**

Mandatory and Matching Funds are awarded to States via block grants, which, through their appointed Lead Agencies, make many of the decisions about priorities, policies, and expenditures in achieving goals related to improved family access to quality child care. States are required to commit at least four percent of their Mandatory and Matching funds to activities such as consumer education, resource and referral services, provider training, and caregiver recruitment designed to improve child care availability and quality.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.597 GRANTS TO STATES FOR ACCESS AND VISITATION PROGRAMS

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Section 469B.

**OBJECTIVES:**

To enable States to create programs which support and facilitate access and visitation by non-custodial parents with their children. Activities may include mediation, counseling, education, development of parenting plans, visitation enforcement and development of guidelines for visitation and alternative custody arrangements.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A State to which a grant is made under this section may not use the grant to supplant expenditures by the State for allowable activities, but shall use the grant to supplement such expenditures at a level at least equal to the level of such expenditures for fiscal year 1995.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands and Guam.

**Beneficiary Eligibility:**

Custodial and non-custodial parents and children.

**Credentials/Documentation:**

The Governors have designated a single State agency to represent the State in carrying out this responsibility.

**Preapplication Coordination:**

State Governors have designated a single State agency to carry out this responsibility. Eligible applicants for these grants shall be State agencies, courts, nonprofit private agencies or local public agencies. Information will be provided to the State designated agencies on available funds and relevant projects. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted biannually using the standard application form, as furnished by the Department of Health and Human Services and required by OMB Circular No. A-102. Application kits which contain the prescribed application forms and supplemental descriptive information on the access and visitation grant program are available from: The Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, SW., Washington DC 20447.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period, and the total grantee participation.

**Deadlines:**

Closing dates are established and published as program announcements in letters which will be sent to the designated State agency.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

There are no formal appeal procedures.

**Renewals:**

Extensions and continuations of grants are not available.

**Formula and Matching Requirements:**

Grantees are required to share in the cost of projects. A 10% match is required. This can be provided by the State and local agency, cash or in kind.

**Length and Time Phasing of Assistance:**

Funds are awarded for a two-year project period.

**Reports:**

Reports of progress and expenditures are required on all projects. Specific requirements are indicated in the Program Announcement and Federal regulation.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Grants) FY 07 \$10,000,000; FY 08 \$10,000,000; and FY 09 est \$12,000,000.

**Range and Average of Financial Assistance:**

The amount of funding provided to each grantee is based on an allocation formula with a designated minimum amount, provided in statute.

**PROGRAM ACCOMPLISHMENTS:**

Every Governor has designated a State agency that will use these grant funds to establish and administer programs to support and facilitate non-custodial parents' access to and visitation of their children. In fiscal year 2008, 54 grants were awarded. It is estimated that 54 grants will be awarded in fiscal year 2009 and 54 in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration Policies and application kits may be obtained from: Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, S.W., Washington DC 20447.

**Regional or Local Office:**

See Appendix IV of the Catalog for ACF Regional Offices.

**Headquarters Office:**

Eileen Brooks, Director, Division of State, Tribal, and Local Assistance, Office of Child Support Enforcement, 4th Floor, Aerospace Building, 370 L'Enfant Promenade S.W., Washington, DC 20447. Telephone: (202) 401-5369.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.563, Child Support Enforcement.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**93.598 SERVICES TO VICTIMS OF A SEVERE FORM OF TRAFFICKING**

(Victims of a Severe Form of Trafficking)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Trafficking Victims Protection Act of 2000, Public Law 106-386, as amended; Trafficking Victims Protection Reauthorization act of 2003, Public Law 108-193, 22 U.S.C. 7103.

**OBJECTIVES:**

To provide individuals determined to be victims of a severe form of trafficking access to benefits and services to the same extent as refugees. Provide targeted case management, referrals and funded cash, medical assistance, special mental health or other services, and community/local outreach.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Office of Refugee Resettlement (ORR) provides funding for specialized services and assistance to certified/eligible adult victims of a severe form of trafficking assisting criminal justice system efforts to prosecute traffickers. Victims under the age of eighteen are not required to assist prosecution efforts in order to access benefits. Funds may be used only for the purposes set forth in the grant award.

**Applicant Eligibility:**

State and local governments and private nonprofit organizations. Under the "Victims of Trafficking and Violence Protection Act of 2000 (VTPA), and the Trafficking Victims Protection Act of 2003 (TVPA)" trafficking victims are eligible for benefits and services to the same extent as refugees. The law, enacted in October 2000, and amended in December 2003 specifically requires HHS, in consultation with the Attorney General, to "certify" adult trafficking victims as a precondition for their eligibility. Children under eighteen must be determined to be victims of a severe form of trafficking but do not require such certification in order to be eligible for benefits. Certain family members of victims of a severe form of trafficking are eligible for federally funded or administered benefits and services to the same extent as refugees. Specifically, holders of a T-2, T-3, T-4 or T-5 visa (collectively referred to as "Derivative T Visas) are eligible for benefits and services.

**Beneficiary Eligibility:**

Beneficiaries are adult victims of a severe form of trafficking who have been certified by HHS/ORR. Children under 18 years of age subjected to a severe form of trafficking who have received letters of eligibility from HHS/ORR are considered eligible for services. Certain family members of victims of a severe form of trafficking are eligible for federally funded or administered benefits and services to the same extent as refugees. Holders of the "Derivative T Visas" (T-2, T-3, T-4, or T-5 visa) are eligible for services.

**Credentials/Documentation:**

Cost principals for nonprofit organizations will be determined by OMB Circular No. A-122. Cost principals for State and local governments are found under OMB Circular No. A-87. Persons need not attain refugee, entrant, or asylee

status to be eligible for services under this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Also, 45 CFR 100, "Intergovernmental Review of Department of Health and Human Services Program and Activities."

**Application Procedure:**

Each application submitted under this program announcement will undergo a pre-review to determine if (1) The application was received by the closing date and submitted in accordance with the instructions in this announcement, and (2) applicant is eligible for funding.

**Award Procedure:**

Applications that pass the initial Administration for Children and Families (ACF) screening will be evaluated and rated by an independent review panel on the basis of specific evaluation criteria. The evaluation criteria were designed to assess the quality of a proposed project and to determine the likelihood of its success.

**Deadlines:**

Deadlines are sixty days after posting of the notice of funds availability. Notices of funds availability are posted on the Office of Refugee Resettlement website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr) and at [Grants.gov](http://Grants.gov).

**Range of Approval/Disapproval Time:**

It is anticipated that the approval/disapproval time will not exceed 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Funds are generally made available for three-year project periods with funding on an annual basis.

**Reports:**

Progress reports and financial reports are required, usually on a quarterly or semi-annual basis. Final program and financial reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required.

**Audits:**

Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." Nonprofit organization receiving less than \$25,000 a year in Federal awards are exempt from federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or subcontracting entity.

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit during the project period and for three years thereafter to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

FY 07 \$1,817,000; FY 08 \$1,316,000; and FY 09 est \$1,298,000.

**Range and Average of Financial Assistance:**

In FY 2007, 19 grants were awarded. It is estimated that 19 grants will be awarded in FY 2008 and FY 2009.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, the total number of trafficking victims was reported at 303. In FY 08 and FY 09, it is estimated that the number of trafficking victims will be approximately 318 and 333, respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements can be found at the ORR website. All inquiries should be directed to the Information Contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

For program information, contact Maggie Wynne, Director, Division of Anti-Trafficking in Persons, Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor West, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (866) 401-5510, or (202) 401-4664; Fax: (202) 401-5487.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566, Refugee and Entrant Assistance\_State Administered Programs; 93.576, Refugee and Entrant Assistance\_Discretionary Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Future funding for projects is contingent upon the availability of authorized funding.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of criteria for awarding funds can be found at the ORR website. Please refer to the Information Contact section for more information.

**93.599 CHAFEE EDUCATION AND TRAINING VOUCHERS PROGRAM (ETV)**

(Chafee Education and Training Vouchers)(ETV)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Sections 471, 472, 474, 475, and 477 of Title IV-E; Public Law 106-169, Chafee Foster Care Independence Act of 1999; Public Law 107-133, Promoting Safe and Stable Families Amendments of 2001.

**OBJECTIVES:**

To provide resources to States to make available vouchers for postsecondary training and education, to youths who have aged out of foster care or who have been adopted from the public foster care system after age 16.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used to provide vouchers for postsecondary education and training to youth otherwise eligible for services under the State's Chafee Foster Care Independence Program. Vouchers may also be provided to youth who are adopted from foster care after age 16 and to youth up to the age of 23, as long as they are participating in the program at age 21 and are making satisfactory progress toward completing their course of study or training. Vouchers provided to individuals may be available for the cost of attending an institution of higher education (as defined in section 472 of the Higher Education Act) and shall not exceed the lesser of \$5,000 per grant year or the total cost of attendance as defined in section 472 of the Higher Education Act.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico.

**Beneficiary Eligibility:**

Youth otherwise eligible for services under a State's Chafee Foster Care Independence Program. (This includes youth who have left foster care because they attained 18 years of age, and have not yet attained 21 years of age; youth likely to remain in foster care until 18 years of age, commensurate with the State criteria used to determine eligibility for the program; and former foster care recipients, age 21 and younger.) Vouchers may also be provided to youth who are adopted from foster care after attaining age 16 and to youth up to the age of 23, as long as they are participating in the voucher program at age 21 and are making satisfactory progress toward completing their course of study or training.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92.

**Preapplication Coordination:**

Applications must include the information and assurances required from the States. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted by a State to the appropriate Regional Administrator for the Administration for Children and Families.

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's annual allotment.

**Deadlines:**

June 30 of each year.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Reviews:**

None.

**Formula and Matching Requirements:**

Each State is allotted an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Data submitted by States into the Adoption and Foster Care Analysis and Reporting System (AFCARS) national database will be used to calculate State allotments. The Federal government will pay 80% of the total

amount of funds expended by the States (less any penalties) up to the amount of funds allotted to the State for the Educational and Training Vouchers program. The State must provide matching contributions to cover the additional 20% of the costs.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis.

**Reports:**

States are required to submit expenditure reports and annual program reports.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

States are required to maintain supporting documentation of activities and adequate fiscal records.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$46,110,000; FY 08 \$45,351,000; and FY 09 est \$45,351,000.

**Range and Average of Financial Assistance:**

Formula grants were awarded to all 53 States, including Puerto Rico, and the District of Columbia. Grant amounts range from \$85,151 to \$7,185,089 in FY 2007. Average grant was \$870,000. It is anticipated that awards for FY 08 and FY 09 will range from \$83,664 to \$7,059,632.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 53 grants were awarded. In FY 2008 and 2009, the same number of grants are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Contact Regional Administrator for Children and Families.

**Headquarters Office:**

Pamela Johnson, Children's Bureau, Administration for Children and Families, 1250 Maryland Avenue, S.W., Washington, DC 20024; 8th Floor. (202) 205-8086.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.674, Chafee Foster Care Independence Program; 93.550, Transitional Living for Homeless Youth; 93.556, Promoting Safe and Stable Families; 93.645, Child Welfare Services\_State Grants; 93.658, Foster Care\_Title IV-E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

States meeting requirements for funds will receive grants.

**93.600 HEAD START****FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Head Start Act, as amended; Improving Head Start for School Readiness Act of 2007, Public Law 110-134.

**OBJECTIVES:**

To promote school readiness by enhancing the social and cognitive development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services; and to involve parents in their children's learning and to help parents make progress toward their educational, literacy and employment goals. Head Start also emphasizes the significant involvement of parents in the administration of their local Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible; i.e. from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs may, however, if they can demonstrate they are serving all of the income eligible families in their service area, propose to serve up to 45% (49% for American Indian/Alaska Native programs) of their children from families not meeting the income eligibility requirements. Training and technical assistance grants are available to Head Start programs.

**Applicant Eligibility:**

Any local government, federally-recognized Indian tribe, or public or private nonprofit or for profit agency which meets the requirements may apply for a grant. However, application will be considered only when submitted in response to a specific announcement, published via the Internet at the following website address: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to establish new Head Start Programs. Grantee agencies may subcontract with other child-serving agencies to provide services to Head Start



children.

**Beneficiary Eligibility:**

Head Start/Early Head Start programs are for children from birth up to the age when the child enters the school system; however, Head Start programs only serve pre-school age children. (i.e. children three or four years old) while Early Head Start programs serve children from birth through age three. No less than 10 percent of each Head Start program's enrollment shall be for children with disabilities.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

The standard application forms as furnished by DHHS must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC).

**Application Procedure:**

The Office of Head Start will provide each applicant agency with a completed check list form showing exactly which items must be completed by each applicant and delegate agency.

**Award Procedure:**

All funds are awarded directly to the grantees. Funds for local Head Start/Early Head Start programs, including a portion of training and technical assistance funds, are awarded by the Office of Head Start's Regional Offices. Funds for the following are awarded by the Central Office of Head Start: American Indian/Alaskan Native programs; Migrant programs; research, demonstration and evaluation efforts and some training and technical assistance efforts.

**Deadlines:**

Applications for new projects should be submitted at the times specified by the announcement published via the Internet at the following website: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html). Applications for continuation grants must be received at least 90 days prior to the start of the new budget period.

**Range of Approval/Disapproval Time:**

This, depending on the nature of the proposal, can vary considerably from 90 days to as much as several months.

**Appeals:**

Grantees who are denied refunding may appeal adverse decisions to the HHS Departmental Appeals Board. There is no appeal for new grants denials.

**Renewals:**

OHS Headquarters or Regional Offices will inform grantees of the application procedures for renewal.

**Formula and Matching Requirements:**

Head Start grantees are required to provide 20 percent of the total cost of the program, although this maybe waived wholly or in part if certain conditions pertain. Matching share may be in cash or in-kind fairly evaluated.

**Length and Time Phasing of Assistance:**

Funds are available for a 12-month budget period. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check.

**Reports:**

Semiannual financial and annual program reports are required.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$6,713,508,728; FY 08 \$6,713,502,090; and FY 09 est \$6,862,098,090. (Contracts) FY 07 \$154,935,559; FY 08 \$143,300,915; and FY 09 est \$145,300,915.

**Range and Average of Financial Assistance:**

\$136,000 to \$200,351,000; \$4,150,000.

**PROGRAM ACCOMPLISHMENTS:**

Since 1965, Head Start has served more than 25 million children from low-income families in 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, and the Outer Pacific. The program has provided education, health, nutrition and social services to the target population. In fiscal year 2007, there were 1,604 grantees funded to provide Head Start grantees. We estimate the same number of grantees in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 -

1311. These are available on request at no charge.

**Regional or Local Office:**

Contact the Administration for Children and Families, Office of Head Start Regional Program Manager (See Appendix IV of the Catalog under the Department of Health and Human Services, Administration for Children and Families.)

**Headquarters Office:**

Office of Head Start, Portals Building, 1250 Maryland Avenue, SW., Washington, DC. 20024. Telephone: (202) 401-8573.

**Web Site Address:**

<http://www2.acf.dhhs.gov/programs/hsb> .

**RELATED PROGRAMS:**

10.550, Food Donation.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards and other program objectives as specified in a program announcement.

**93.601 CHILD SUPPORT ENFORCEMENT DEMONSTRATIONS AND SPECIAL PROJECTS**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Section 452(j), 42 U.S.C. 652(j); Public Laws 104-193 and 105-33; Personal Responsibility and Work Opportunity Reconciliation Act of 1996.

**OBJECTIVES:**

To design and carry out special projects of regional and national significance relating to the improvement of child support enforcement efforts.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded for creative special improvement projects and demonstrations that improve the effectiveness of the child support enforcement program on the regional and national levels. These activities must be consistent with the goals of the national child support mission to ensure all children receive financial and medical support from both parents and strengthen the ability of the nation's child support programs to collect support on behalf of children and families.

**Applicant Eligibility:**

Funds authorized under section 452(j)(42 USC 652(j)) of the Social Security Act are available to all types of domestic applicants other than individuals.

**Beneficiary Eligibility:**

State/local agencies, Tribal governments, nonprofit organizations and other organizations involved in child support enforcement will benefit.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized tribal governments. For other grantees, costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit organizations, and any amendments to the aforementioned.

**Preapplication Coordination:**

Program strategy for each fiscal year is publicized through central and regional office meetings, Dear Colleague, ACF/OCSE websites, GRANTS.gov and other appropriate means. This program is subject to the provisions of OMB Circular No. A-102. The Standard application forms, as furnished by the Administration for Children and Families (ACF), and required by OMB Circular No. A-102, must be used for this program. This program is subject to E.O. 12372. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Program." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for Review.

**Application Procedure:**

This program is subject to the provisions of OMB Circular Nos. A-102 and No. A-110, as appropriate. The standard application forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used for this program. Application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Child Support Enforcement Program, 4th floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the

agency or organization the obligations imposed by the terms and conditions of the grant. The application must clearly indicate whether the application submitted is in response to a program announcement (e.g. CFDA 93.601) and must reference the priority area for which the application is to compete. Applications are reviewed and evaluated by a review panel of not less than three knowledgeable people. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Closing dates are established and published in the program announcement. Unsolicited applications, may be submitted any time, but must be so unique that they cannot fit under a general announcement.

**Range of Approval/Disapproval Time:**

From 60 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, reworking time may be allowed to prepare addenda which clarify various aspects of projects. If an applicant is not awarded a grant, the applicant can request a written response that will address: (1) Weak and deficient areas of the proposal; (2) impact of weaknesses or deficiencies in not being selected; and (3) factors that were the basis of the selection of the successful grantee.

**Renewals:**

Generally, project and budget periods vary according to priority area (up to three years). Projects of a longer duration will be considered if unique circumstances warrant. If projects are approved for a period longer than 12 months, funding will be provided in discrete 12-month increments, or "budget periods." Funding beyond the first 12-month budget period is not guaranteed. Future funding will depend on the grantee's satisfactory performance and the availability of future appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Generally, project and budget periods vary according to the priority area (up to three years). If projects are approved for a period longer than 12 months, funding will be provided in discrete 12-month increments, or "budget period".

**Reports:**

Quarterly narrative reports and semi-annual reports of expenditures are required on all grant projects. Comprehensive final reports are due on or before termination dates of the projects and not later than 90 days after termination for grants.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant or contract number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR 74 or 92. Records must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

FY 07 \$1,556,856; FY 08 \$1,500,000; and FY 09 est \$1,500,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

6 new grants were awarded in FY 07. An estimated 8 new grants will be awarded in FY 08 and 7 in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Grants Administration Policies," and application kits may be obtained from the ACF, Office of Child Support Enforcement, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

Contact Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Susan Greenblatt, Deputy Director, Division of State, Tribal, and Local Assistance, Office of Child Support Enforcement, Department of Health and Human Services, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-4849.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558, Temporary Assistance for Needy Families; 93.563, Child Support Enforcement; 93.597, Grants to States for Access and Visitation Programs; 93.564, Child Support Enforcement Research; 93.647, Social Services Research and Demonstration.

**EXAMPLES OF FUNDED PROJECTS:**

Special improvement projects intended to improve the operation and management of the child support enforcement program.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Objectives and need for assistance; (2) approach; (project management and staffing plan); (3) evaluation and how success will be measured; (4) reasonableness of project costs; and (5) cooperation of CSE agency.

**93.602 ASSETS FOR INDEPENDENCE DEMONSTRATION PROGRAM**

(Assets for Independence)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Assets for Independence Act, Title IV; Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Public Law 105-285, 42 U.S.C. 604, as amended.

**OBJECTIVES:**

The purpose of the Assets for Independence program is to demonstrate and evaluate the effectiveness of asset-building projects that assist low-income people in becoming economically self-sufficient by teaching them about economic and consumer issues and enabling them to established matched savings accounts called individual development accounts (IDAs). The program is demonstrating and evaluating the effects of AFI projects and IDAs in terms of increasing the economic self-sufficiency of low-income families; promoting savings for homeownership, post-secondary education; and small business or micro-enterprise development; and stabilizing families and communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants for five-year project and budget periods. Grantees must allocate at least 85% of the grant funds for matching participants' IDA savings and 2% of the grant funds for data collection and evaluation. Grantees may use the remaining 13% to support other project activities and related matters. Grantees are required to provide or secure nonfederal cash contributions equal to or greater than the grant amount.

**Applicant Eligibility:**

This program supports innovative projects administered by national, State-wide, regional and community-based organizations. Eligible applicants are: (1) Private nonprofit organizations, including faith-based organizations, that are tax exempt under Section 501(c)(3) of the Internal Revenue Code; (2) State or local governments or agencies or Tribal governments submitting applications jointly with tax exempt organizations; (3) A credit union designated as a low-income credit union by the National Credit Union Administration; or an organization designated as a Community Development Financial Institution by the Secretary of the Treasury.

**Beneficiary Eligibility:**

Eligible project participants are individuals that are members of households eligible for assistance under Temporary Assistance for Needy Families (TANF) or of households whose adjusted gross income does not exceed 200 percent of the poverty income guidelines. The net worth of the household at the end of the calendar year preceding the determination of eligibility must not exceed \$10,000 excluding the primary dwelling unit and one motor vehicle owned by a member of the household. Grantees may restrict eligibility to people with lower incomes and net worth.

**Credentials/Documentation:**

Low Income Credit Unions must submit official documentation that the National Credit Union Administration has designated the organization as such. Community Development Financial Institutions must submit documentation that the U.S. Department of the Treasury has designated the organization as such.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for Review, and 45 CFR 100, Intergovernmental

Review of Department of Health and Human Services "Programs and Activities". Applicants from participating jurisdictions should contact their State Point of Contact (SPOC) as soon as possible to alert them and receive instructions.

**Application Procedure:**

Competitive applications must be submitted on Standard Forms 424, 424A, and 424B, and include a project narrative as described in the program announcement issued by the Office of Community Services and published in the Federal Register and www.grants.gov website. Required forms are attached to the published announcement. No State plan is required.

**Award Procedure:**

The Director, Office of Community Services makes funding decisions based on recommendations of a panel of experts who review funding proposals. The panel review is based on criteria set forth in the program announcement.

**Deadlines:**

Application deadlines are posted on Grants.gov (www.grants.gov) and on the Assets for Independence program website (<http://www.acf.hhs.gov/programs/ocs/afi>).

**Range of Approval/Disapproval Time:**

Applications will normally be approved/disapproved and grant awards made within 90 days of application receipt.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Grant amounts are limited to the amount of nonfederal cash available for a proposed project as certified by the applicant.

**Length and Time Phasing of Assistance:**

These grants have 5-year budget and project periods. Grantees may access grant funds throughout the period to the extent that they provide proof that they have the required nonfederal cash support on hand.

**Reports:**

Grantees are required to submit semi-annual narrative progress and financial status reports. Grantees must also provide annual program data reports.

**Audits:**

Grantees must comply with OMB Circular No. A-133, "Audits of States, Local Governments and Non-Profit Organizations." Nonfederal grantees that expend \$500,000 or more in a year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the audit requirements for that year, except as noted in section .215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$24,407,000; FY 08 \$24,025,000; and FY 09 est \$24,025,000.

**Range and Average of Financial Assistance:**

The Office of Community Services (OCS) awards grants for this program ranging up to \$1,000,000. The average grant is approximately \$350,000. OCS expects to fund approximately 62 grants per year. Eligible entities may apply for new grants up to the statutory limit of \$1,000,000 in each funding cycle.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, OCS awarded 59 grants. It is estimated that OCS will award approximately 60 grants in FY 08 and FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following regulations: Title 45 of the Code of Federal Regulations, Part 16 - DHHS Grant Appeals Process, Part 74 - Administration of Grants (grants with subgrants to entities), Part 75 - Informal Grant Appeal Procedures, Part 76 - Debarment and Suspension from Eligibility For Financial Assistance, Subpart F - Drug Free Workplace Requirements, Part 80 - Non-discrimination Under Programs Receiving Federal Assistance through Department of Health and Human Services Effectuation of Title VI of the Civil Rights Act of 1964, Part 81 - Practice and Procedures for Hearings Under Part 80 of this Title, Part 83 - Regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act, Part 84 - Non-discrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance, Part 85 - Enforcement of Non-discrimination on the Basis of Handicap in Programs or Activities Conducted by Department of Health and Human Services, Part 86 - Non-discrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance, Part 91 - Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance, Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (Federal Register, March 11,

1988), Part 93 - New Restrictions on Lobbying.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Gatz, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, DC 20447. Telephone: (202) 401-4626 or E-mail address: AFIPProgram@ACF.HHS.GOV.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ocs/afi>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

List of funded projects is available on request to Information Contact and on the website listed above.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Organization experience and administrative capability; (2) Sufficiency of the project, design and plan: The degree to which the project described in the application appears likely to aid project participants in achieving economic self-sufficiency through activities requiring one or more of the qualified expenses (home purchase, postsecondary education or training, or business capitalization); (3) Adequacy of plan for providing information for evaluation; (4) Commitment of nonfederal funds and additional resources; (5) Results or benefits expected; and (6) Significant and beneficial impacts.

## 93.603 ADOPTION INCENTIVE PAYMENTS

(Adoption Incentive Payments)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Part E, Section 473A of the Social Security Act; the Adoption Promotion Act of 2003, Public Law 108-145.

**OBJECTIVES:**

To provide incentives to States to increase annually the number of foster child adoptions, special needs adoptions, and older child adoptions.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

A State shall not expend an amount paid to the State under this grant except to provide to children of families any activity or service (including post-adoption services) that may be provided under Part B or E of Title IV of the Social Security Act. Amounts expended by a State in accordance with the preceding sentence shall be disregarded in determining State expenditures for purposes of Federal matching payments under Sections 423, 434, and 474 of the Social Security Act.

**Applicant Eligibility:**

Applications are not required. The States, including Puerto Rico and the District of Columbia, may receive payments. The Children's Bureau shall determine the numbers of foster child adoptions, the special needs adoptions, and the older child adoption in a State on the basis of AFCARS data as reported by each State and accepted by the Children's Bureau no later than May 15 of the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year").

**Beneficiary Eligibility:**

Beneficiaries are those children and families eligible under Title IV-B and Title IV-E of the Social Security Act, as amended.

**Credentials/Documentation:**

The Children's Bureau must receive and approve State reported AFCARS data submitted by May 15 of the fiscal year following the fiscal year in which the adoptions were finalized (i.e., the "earning year").

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States are automatic applicants.

**Award Procedure:**

Incentive payments will be issued annually, in the fiscal year subsequent to the earning year. Payment will be based on AFCARS data submitted no later than May 15 of the fiscal year following the earning year. AFCARS data must be accepted and approved by the Children's Bureau.

**Deadlines:**

AFCARS reports must be received no later than May 15, for subsequent fiscal years in order to be considered for incentive payments.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None. Each "earning year" (fiscal years 2003-2007), State adoption data



received through AFCARS will be considered on its own merit.

**Formula and Matching Requirements:**

The adoption incentive payment payable to a State for a fiscal year shall be equal to the sum of (a) \$4,000, multiplied by the number of foster child adoptions in the State during the fiscal year which exceeds the base number of foster child adoptions for the State for the fiscal year; (b) \$4,000 multiplied by the number of foster child adoptions of children age 9 or older in the State during the fiscal year in which exceeds the base number of foster child adoption of children age 9 or older for the State for the fiscal year; and (c) \$2,000, multiplied by the number of special needs adoptions of children under age nine in the State during the fiscal year which exceeds the base number of special needs adoptions of children under age 9 for the State for the fiscal year, if the state receives a bonus under (a) or (b). There are no matching requirements for these funds.

**Length and Time Phasing of Assistance:**

Payments to a State in a fiscal year shall remain available for use by the State through the end of the succeeding fiscal year.

**Reports:**

States must identify in the Child and Family Services Plan (CFSP) or Annual Progress and Services Report (APSR) as applicable (due June 30 of each year), the services they have provided to children and families as a result of the expenditure of adoption incentive payments. Should more than one fiscal year's incentive funds be expended during a given reporting period, the report should reflect the services provided and identify the fiscal year's funds expended. Actual expenditures of incentive funds must be reported annually on Form SF- 269, Financial Status Report.

**Audits:**

In accordance with 45 CFR 92.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$7,354,000; FY 08 \$4,323,000; and FY 09 est \$19,674,000.

**Range and Average of Financial Assistance:**

In FY 2007, incentive payments to States ranged from \$12,000 to \$2,100,000. The average incentive payment was \$387,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 19 states received incentives. Number of states to receive incentives fiscal years 2008 and 2009 are unknown.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-CB-PI-04-03, issued 03/23/04.

**Regional or Local Office:**

ACF Regional Offices.

**Headquarters Office:**

Gail Collins, Division of Program Implementation, Children's Bureau, Administration for Children, Youth and Families, 1250 Maryland Avenue S.W., Washington DC, 20024, 8th Floor, Telephone: (202) 205-8552.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All State Agencies are considered if the number of adoptions exceed the baseline number of adoptions.

## 93.604 ASSISTANCE FOR TORTURE VICTIMS

(Torture Victims)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Torture Victims of Relief Act of 1998, Public Law 105-320; Torture Victims Relief Reauthorization Act of 1999, Public Law 106-87.

**OBJECTIVES:**

To provide services and rehabilitation for survivors of torture. The Office of Refugee Resettlement (ORR) provides a comprehensive program of support for domestic centers and programs for victims of torture.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Allowable services include treatment, social and legal services, and provision of research and training to health care providers to enable them to treat the physical and psychological effects of torture. ORR funding provides direct services to victims of torture, including services for rehabilitation and social and legal services. ORR funds support training to health care professionals to enable them to recognize and treat the physical and psychological effects of torture. A portion of the funds will be used for identifying and sharing best practices in

rehabilitation services among health care professionals through conferences and other forms of technical assistance.

**Applicant Eligibility:**

Eligible applicants are public or private non-profit agencies.

**Beneficiary Eligibility:**

Individuals and families, regardless of immigration status, who have suffered torture.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372. There will be no application and award process. All appropriated funds are committed to current programs.

**Application Procedure:**

Eligible applicants submit an application to the Administration for Children and Families in accordance with the requirements described in the notice of funding availability.

**Award Procedure:**

Applications are reviewed by a panel of independent experts in accordance with the evaluation criteria included in the notice of funding availability.

**Deadlines:**

Deadlines for applying are established in the notice of funding availability.

**Range of Approval/Disapproval Time:**

90 to 120 days.

**Appeals:**

None.

**Renewals:**

Contingent of funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grants are awarded for a three-year project period, with one-year budget periods.

**Reports:**

Program Performance Reports and Financial Status Reports are required on a semi-annual basis. Final program and financial reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required 90 days after the end of the project period.

**Audits:**

Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to keep all financial business and programs reports necessary for program review and audit for the project period and for three years after the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Grants) FY 07 \$9,541,00; FY 08 \$9,551,000; and FY 2009 est \$9,508,000.

**Range and Average of Financial Assistance:**

Grant awards range from \$265,000 to \$535,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 22 grants were awarded. It is estimated that the same number of grants will be awarded in FY 08 and FY 09. Over 5,000 survivors of torture are provided with services each year under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

For information, contact Holly Herrera, Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor West, 370 L'Enfant Promenade, S.W., Washington, DC 20447. Telephone: (202) 401-5541; Fax: (202) 401-0981.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.576, Refugee and Entrant Assistance\_Discretionary Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Projects provide a combination of physical, psychological and social services according to the needs of the survivors of torture. Survivors in need of legal services are referred to legal resources. Survivors found to be in need of medical attention are referred to appropriate resources. Two projects provide technical

assistance and training to grantees.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of the program criteria for awarding funds can be found at <http://www.acf.hhs.gov/programs/orr>.

**93.605 FAMILY CONNECTION GRANTS**

**FEDERAL AGENCY:**

ADMINISTRATON FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICE

**AUTHORIZATION:**

Fostering Connections to Success and Increasing Adoptions Act of 2008, Public Law 110-351.

**OBJECTIVES:**

To provide matching grants to State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements for the purpose of helping children who are in, or at risk of entering, foster care to reconnect with family members.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 102, Public Law 110-351, and may include the following: (1) a kinship navigator program to assist kinship caregivers in learning about, finding and using programs and services to meet the needs of the children they are raising and their own needs, and to promote effective partnerships among public and private agencies to ensure kinship caregiver families are served; (2) intensive family-finding efforts that utilize search technology to find biological family members for children in the child welfare system; (3) family group decision-making meetings for children in the child welfare system that enable families to make decisions and develop plans that nurture children and protect them from abuse and neglect; and (4) residential family treatment program that enable parent and their children to live in a safe environment for a period of not less than 6 months.

**Applicant Eligibility:**

State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements.

**Beneficiary Eligibility:**

Public or private nonprofit agencies or organizations or tribal child welfare agencies working with foster children or children in kinship care arrangements or children at risk of entering foster care that help the children reconnect with family members.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Standard application forms as furnished by HHS must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Announcement of availability of funds is posted to [www.Grants.gov](http://www.Grants.gov). Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the field of child welfare, particularly foster and kinship care.

**Deadlines:**

The deadline for the receipt of applications is stated in the Program Announcement.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the approved award period (one to three years).

**Formula and Matching Requirements:**

The required match must increase over the course of the grant period, such that grantees must contribute 25 percent of the program costs for the first and second year of the grant and 50 percent of the program costs for the third year of the three year grant. (Section 427(d) of the Social Security Act).

**Length and Time Phasing of Assistance:**

Grants are available for not less than one year and not more than three years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Reports:**

Financial and program reports are required semiannually with a final report at completion of the project. In addition, grants must select and track performance indicators that measure the extent to which grant-funded activities and services

enhance the safety, permanency and well-being of children and their families.

**Audits:**

Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-609.

**Obligations:**

FY 08 \$0; FY 09 \$15,000,000; and FY 10 \$15,000,000. (Note: The funds in this program are also available for contracts. The amounts for contracts cannot be predetermined.)

**Range and Average of Financial Assistance:**

Up to \$400,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

None. New program for FY 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the Funding Opportunity Announcement, the application instructions, and the HHS Grants Policy Statement. The HHS Grants Policy Statement can be found at: <http://www.hhs.gov/grantsnet/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Campiglia, Federal Project Officer, Division of Research and Innovation, Children's Bureau, 1250 Maryland Avenue, S.W., 8th Floor, Washington, DC 20024; Telephone: (202) 205-8060; Cathy Overbagh, Federal Project Officer, Division of Research and Innovation, Children's Bureau, 1250 Maryland Avenue, S.W., 8th Floor, Washington, DC 20024; Telephone: (202)205-7273.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.648, Children Welfare Services Training Grants; 93.669, Child Abuse and Neglect State Grants; 93.670, Child Abuse and Neglect Discretionary Activities; 93.645, Child Welfare Services State Grants; 93.652, Adoption Opportunities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) organizational capacity to collaborate with other service providers; (2) relevance of proposed services and activities in enhancing the well-being of children in foster care, in kinship care arrangements, or at risk of foster care and in helping the children reconnect with family members; and (3) demonstrated ability to conduct a kinship navigator program; provide intensive family-finding efforts that utilize search technology; conduct family group-decision making efforts and provide residential family treatment programs.

**93.612 NATIVE AMERICAN PROGRAMS**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Native American Programs Act of 1974, as amended, Public Law 93-644; Older Americans Act Amendments of 1987, Title V, Public Law 100-175; Indian Reorganization Act Amendments, Section 215, Public Law 100-581; Older Americans Act Amendments of 1992, Title VIII, Public Law 102-375; 42 U.S.C. 2991 et seq.

**OBJECTIVES:**

To provide financial assistance to American Indian non-profit Native Tribes and Villages, and for Native Hawaiians and Native American Pacific Islander organizations for the development and implementation of social and economic development strategies that promote self-sufficiency. These project are expected to result in improved social and economic conditions in Native American communities and to increase the effectiveness of Tribes and Native non-profit Organizations in meeting their social and economic goals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used for such purposes as, but not limited to: (1) Governance Projects which assist Tribal and village governments to exercise local control and decision-making over their resources; (2) Economic Development Projects, which promote the long term mobilization and management of economic resources necessary to achieve a diversified economy; and (3) Social Development Projects which support local access to, control of, and coordination of services and programs for the social benefit of community members.

**Applicant Eligibility:**

Public and private nonprofit agencies, including but not limited to, governing bodies of Indian Tribes on Federal and State reservations, Alaska Native villages and regional corporations established by the Alaska Native Claims Settlement Act, such public and nonprofit private agencies serving Native Hawaiians, Indian and Alaska Native organizations in urban or rural nonreservation areas, and Native American Pacific Islanders (American Samoan Natives, and indigenous peoples of Guam and the Commonwealth of the Northern Mariana).

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of the Code of Federal Regulations, which implement the requirements of applicable OMB Circular Nos. A-87, A-21, and A-122.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Information regarding the availability of grant funds will be posted on Grants.gov and the ACF Funding Opportunities websites as Program Announcements. Program Announcements will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal assistance and instructions for applying for grants from the Administration for Native Americans programs. Hard copy applications should be submitted to U. S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Mail Stop Aerospace Center 6th Floor-East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Each program announcement specifies the due date for submission of applications.

**Range of Approval/Disapproval Time:**

Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. Matching requirements under \$200,000 (including in-kind contributions) are waived for applications originating from the Native American Pacific Islands in accordance with Sec. 501(d), Public Law 95-134, as amended (48 U.S.C. 1469a). This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years.

**Reports:**

Quarterly Financial Status Reports, Report of Federal Cash Transactions, and Quarterly Project Progress Reports, are required.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

FY 07 \$34,000,000; FY 08 \$35,000,000; FY 09 est \$34,000,000.

**Range and Average of Financial Assistance:**

Range \$25,000 to \$500,000. Average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, 144 SEDS grants were awarded. It is anticipated that approximately 150 grants will be awarded in FY 2008, and 140 in FY 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Administration for Native Americans, Department of Health and Human Services, Mail Stop Aerospace Center 2th Floor-West 370 L'Enfant Promenade,

SW., Washington, DC 20447. Contact: Director of Program Operations, (877) 922-9262.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Improved Governance Capabilities; (2) Native American social development projects; and (3) Native American economic development projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.613 PRESIDENT'S COMMITTEE FOR PEOPLE WITH INTELLECTUAL DISABILITIES (PCPID)**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Executive Order 12994 as amended on July 25, 2003.

**OBJECTIVES:**

To advise the President on issues pertaining to people with intellectual disabilities (mental retardation).

**TYPES OF ASSISTANCE:**

Information.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

Salaries and Expenses: FY 07 \$655,186; FY 08 est 677,023; FY 09 est 698,860.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

On April 25, 2003, the President's Committee on Mental Retardation (PCMR) was renamed the President's Committee for People with Intellectual Disabilities by President George W. Bush. This was done through amendment of Executive order 12994. The technical Report to the President, "A Charge We Have to Keep: A Road Map to Personal and Economic Freedom for People with Intellectual Disabilities", was prepared by the President's Committee for People with Intellectual Disabilities and offers recommendations, pursuant to the New Freedom Initiative, on strategies, policies and programs toward providing Americans with intellectual disabilities more opportunities to earn, develop skills, work, make choices about their daily lives, and be integrated into their communities. Accompanying the technical report is a Companion Booklet summarizing the Committee's recommendations to the President. The Companion Booklet was designed for Americans with intellectual disabilities



and their families. Covering quarterly meetings (accomplishment in identifying issues and recommendations).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Federal Advisory Committee Act of 11972 as amended", Executive Order 12994 as amended on July 25, 2003", the HHS "Charter as amended". "The New Freedom Initiative".

**Regional or Local Office:**

None.

**Headquarters Office:**

Sally Atwater, Executive Director, President's Committee for People with Intellectual Disabilities (PCPID), Washington, DC 20447. Telephone: (202) 619-0634.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/pcpid>

**RELATED PROGRAMS:**

27.005, Federal Employment for Individuals With Disabilities; 53.001, Employment Promotion of People with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.616 MENTORING CHILDREN OF PRISONERS**

(MCP)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 439 of the Social Security Act (available at <http://www.acf.hhs.gov/programs/fysb/pssf2001.pdf>), as amended by the Child and Family Services Improvement Act of 2006 (Public Law 109-288). Authority to provide the Demonstration Grant for Mentoring Children of Prisoners Vouchers Program is authorized by (Public Law 109-288), the Child and Family Services Improvement Act of 2006. This legislation reauthorizes and amends a number of key child and family services programs under title IV-B of the Social Security Act, notably the Promoting Safe and Stable Families program under subpart 2 of title IV-B.

**OBJECTIVES:**

To provide competitive grants to applicants in areas with significant numbers of children of prisoners to support the establishment and operation of programs using a network of public and private entities and to provide mentoring services for these children.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provide mentoring and support services to urban and/or suburban populations with substantial numbers of children with incarcerated parents.

**Applicant Eligibility:**

Those eligible to apply for funding under this grant competition include applicants in areas where there are substantial numbers of children of prisoners. Applicants must establish or expand and operate programs using a network of public and private entities to provide this mentoring. This includes any State or local government unit, Tribe and Tribal organization, private nonprofit, community and faith based groups.

**Beneficiary Eligibility:**

Children of prisoners ages 4 through 18 will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Public Law 107-133.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC).

**Application Procedure:**

Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applicants are reviewed by a panel of nonfederal experts which assigns scores according to published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes the recommendations to the ACYF Commissioner, who makes the final funding decision.

**Deadlines:**

As specified in the announcement or application instructions.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are generally made for 3-year project periods, funding for the second and third years depend upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Grantee must provide a nonfederal share or match of at least 25 percent of the total project budget in the first and second years of the project. In the third year, the grantee must provide a nonfederal share or match of at least 50 percent of the total project budget. The nonfederal share may be met by cash or in-kind contributions although applicants are encouraged to meet their Federal match requirements through cash contributions. There is no match requirement for the Mentoring Children of Prisoners Voucher Program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months with 12 month budget periods.

**Reports:**

Applicants must submit quarterly reports and agree to submit other required program and financial reports, as instructed by FYSB.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$49,376,000; FY 08 \$48,628,000; and FY 09 est \$50,000,000.(Contracts) FY 07 \$3,080,000; FY 08 \$3,324,000; and FY 09 est \$4,066,000. (Voucher Program) FY 07 \$4,850,000 (3,000 vouchers); FY 08 \$10,000,000 (8,000 vouchers) and FY 09 est \$15,000,000 (13,000 vouchers).

**Range and Average of Financial Assistance:**

Grants will range from \$100,000 to \$1,000,000 depending on the scope of the project.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 219 grants were awarded to Urban/Suburban and Rural/Tribal grantees. It is anticipated that 219 grants will be awarded in fiscal years 2008 and 188 grants will be awarded in 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link.

**Regional or Local Office:**

Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, Department of Health and Human Services, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Curtis Porter. Telephone: (202) 205-8102. FTS is not available.

**Headquarters Office:**

Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, Department of Health and Human Services, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Curtis Porter. Telephone: (202) 205-8102. FTS is not available.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2007, 219 grants were awarded to Urban/Suburban and Rural/Tribal grantees. It is anticipated that 219 grants will be awarded in fiscal years 2008 and 188 grants will be awarded in 2009.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants\\_fysb.html](http://www.acf.hhs.gov/grants_fysb.html).

**93.617 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES-GRANTS TO STATES**

(Election Assistance for Individuals with Disabilities (EAID))

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Title II, Subtitle D, Part 2, Section 261 of Help America Vote Act, Public Law 107-252.

**OBJECTIVES:**

Grants are awarded to: (1) make polling places, including the path of travel, entrances, exits, and voting areas of each polling facility, accessible to individuals with the full-range of disabilities (e.g., blindness or visual impairment, deafness or hearing impairment, mobility-related, dexterity-related, emotional or intellectual); (2) provide the same opportunity for access and participation (including privacy and independence) to individuals with the full-range of disabilities; (3) train election officials, poll workers, and election volunteers on how best to promote the access and participation of individuals with the full-range of disabilities in elections for Federal office; and (4) provide individuals with the full-range of disabilities with information about the accessibility of polling places.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To assist States to provide greater accessibility to individuals with full-range of disabilities. Funds are available until expended.

**Applicant Eligibility:**

States (including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the Virgin Islands).

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Cost will be determined in accordance with 45 CFR Parts 74 and 92.

**Preapplication Coordination:**

The standard application form, Standard Form 424 must be used for this program. Forms are available on the website, <http://www.acf.hhs.gov/programs/add/announce.htm>. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

Application for Federal Assistance, Standard Form 424, is to be submitted. Specified instructions as published in the Federal Register.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

As specified in announcement or application instructions.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

The statistical factor used for fund distribution is the population age 18 and over in each State. No State will receive less than \$100,000. There is no matching requirement.

**Length and Time Phasing of Assistance:**

Grants are awarded annually.

**Reports:**

Annual program and annual financial status reports are required.

**Audits:**

Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

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

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$10,890,000; FY 08 \$12,154,000; and FY 09 est \$12,154,000.

**Range and Average of Financial Assistance:**

Not less than \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 55 grants were awarded. In FY 08, 55 grants will be awarded. It is anticipated that 55 grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Web Site Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.618, Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.618 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES-GRANTS FOR PROTECTION AND ADVOCACY SYSTEMS

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Help America Vote Act, Title II, Subtitle D, Part 5, Section 291; Public Law 107-252.

**OBJECTIVES:**

Grants are awarded to: (1) establish, expand and improve access to and participate in the election process by individuals with a full range of disabilities; and (2) provide training and technical assistance to P&As to establish or improve voting access for individuals with disabilities.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants.

**USES AND USE RESTRICTIONS:**

To assist States to ensure full participation in the electoral process of individuals with disabilities. Funds are available until expended.

**Applicant Eligibility:**

States and Territories who have a Protection and Advocacy System in place in accordance with the Developmental Disabilities Assistance and Bill of Rights Act of 2000.

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Cost will be determined in accordance with 45 CFR Parts 74 and 92.

**Preapplication Coordination:**

This program is not eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

Assurances as required by law.

**Award Procedure:**

Funds will be awarded annually in accordance with announcement or application instructions.

**Deadlines:**

As specified in announcement or application instructions.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

The statistical factor used for fund distribution is the resident population in each State. No State or Territory will receive less than \$70,000 and \$35,000 respectively. There is no matching requirement. T/TA awards for P&As a 7% set-aside of total funding amount.

**Length and Time Phasing of Assistance:**

Grants are awarded annually.

**Reports:**

Annual program and annual financial status reports are required.

**Audits:**

Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

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

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$4,491,900; FY 08 \$4,916,000; and FY 09 est \$4,916,000. T&TA P&A set-aside: FY 07 \$338,100; FY 08 \$340,000; and FY 09 est \$340,000.

**Range and Average of Financial Assistance:**

P&As \$70,000 or \$30,000.

**PROGRAM ACCOMPLISHMENTS:**

FY 07 55 grants to P&As and 2 grants for T&TA set-aside for a total of 57.

Funding of 57 grants will continue in FY 08 and we anticipate 57 grant awards in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, SW., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Web Site Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.617, Voting Access for Individuals with Disabilities\_Grants to States.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

### 93.623 BASIC CENTER GRANT

(BCP)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Runaway, Homeless, and Missing Children Protection Act of 2003, Public Law 108-96 under Part A.

**OBJECTIVES:**

The purpose of Part A of the RHY Act (Runaway and Homeless Youth Grant Program) is to establish or strengthen locally controlled community-based programs that address the immediate needs of runaway and homeless youth and their families. Services must be delivered outside of the law enforcement, child welfare, mental health and juvenile justice systems. The goals and objectives of the Basic Center Program are to: 1) Alleviate problems of runaway and homeless youth; 2) reunite youth with their families and encourage the resolution of intrafamily problems through counseling and other services; 3) strengthen family relationships and encourage stable living conditions for youth; and 4) help youth decide upon constructive courses of action.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Each Basic Center program is required to provide outreach to runaway and homeless youth; temporary shelter for up to fifteen (15) days; food; clothing; individual, group and family counseling; aftercare and referrals, as appropriate. Basic Center programs are required to provide their services in residential settings for at no more than twenty (20) youth unless a state or local law or regulation requires a higher maximum to comply with licensure requirements for facilities serving child and youth. Some programs also provide part or all of their shelter services through host homes (usually private homes under contract to the centers), with counseling and referrals being provided from a central location. Basic Center programs offer shelter to youth who are less than 18 years of age and who are at risk of separation from their family.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Basic Center Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, non-profit agencies.

**Beneficiary Eligibility:**

Runaway and homeless youth and their families are the beneficiaries.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official

designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC).

**Application Procedure:**

Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

As specified in the announcement or application instructions.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Federal share of grant is up to 90 percent. The nonfederal share may be in cash or in-kind contributions. The statute contains a formula for allocation of funds by State. It is based on the population of each State under age 18 as a proportion of the current national population under age 18.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of up to 3 years.

**Reports:**

Financial and program reports are due semiannually. A final report is due 90 days after conclusion of project period.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$48,298,000; FY 08 \$52,860,000; and FY 09 est \$52,860,000. (Contracts) FY 07 \$903,000; FY 08 \$5,081,000; and FY 09 est \$5,071,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period; \$128,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 347 grants were awarded. It is anticipated that 365 grants will be awarded in fiscal year 2008 and 356 in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

Contact: Administration for Children and Families, Regional Offices, Family and Youth Services Bureau (See Appendix IV of this Catalog for the addresses of the Regional Offices.)

**Headquarters Office:**

Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, Department of Health and Human Services, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Curtis Porter. Telephone: (202) 205-8306. Use the same number for FTS.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550, Transitional Living for Homeless Youth; 93.557, Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.674, Chafee Foster Care Independence Program.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include local centers for runaway and homeless youth, Youth Development State Collaboration Programs, Training and Technical Assistance grants, and a toll-free National Communications System.

**CRITERIA FOR SELECTING PROPOSALS:**



An assessment is made on the basis of the degree to which: (1) The likelihood that the proposal will provide necessary services including shelter, counseling, and aftercare to runaway and other homeless youth and their families; (2) reasonableness of cost of these services; and (3) qualifications of staff. Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: <http://www.acf.hhs.gov/grants>.

### **93.630 DEVELOPMENTAL DISABILITIES BASIC SUPPORT AND ADVOCACY GRANTS**

(State Councils on Developmental Disabilities and Protection and Advocacy Systems)

#### **FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Mental Retardation Facilities and Construction Act of 1963, Title I, Public Law 88-164, as amended; Public Laws 91-517, 94-103, 95-602; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Developmental Disabilities Assistance and Bill of Rights Act, Title I, Section 100, Public Law 98-527, as amended; Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1987, Public Law 100-146; Developmental Disabilities Assistance and Bill of Rights Act of 1990, Public Law 101-496; Developmental Disabilities Assistance and Bill of Rights Act of 1994, Public Law 103-230; Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1996, Public Law 104-183; Developmental Disabilities Assistance and Bill of Rights Act of 2000, Public Law 106-402, 42 U.S.C. 15022-15029 and 42 U.S.C. 15042-15045.

#### **OBJECTIVES:**

To enable individuals with developmental disabilities to become independent, productive, integrated and included into their communities. Funding under these programs is to assist States in the development of a plan for a comprehensive and coordinated system of services and other activities to enhance the lives of individuals with developmental disabilities and their families to their maximum potential, and to support a system which protects the legal and human rights of individuals with developmental disabilities.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

(1) Allotments under the basic developmental disabilities formula grant program may be used by States for priority area and other activities, including administrative costs, to build capacity, to refocus existing services, and to advocate to better meet the needs of individuals with developmental disabilities. The designated State agency in each State receives, accounts for and disburses funds, and provides for required assurances and other administrative support services on behalf of the State Developmental Disabilities Council, which carries out the priority area activity and other activities under an approved triennial State Plan. This plan and corresponding budget is developed and administered by the State Developmental Disabilities Council. Federal funds may be expended for up to half the cost of the functions of the designated State agency under this program, but may not exceed five percent of a State's allotment or \$50,000, whichever is less. (2) Allotments under the protection and advocacy program may be used to assist States in supporting a system which will have authority to pursue legal and other remedies to protect the rights of individuals with developmental disabilities within the State.

#### **Applicant Eligibility:**

State grant agencies are the designated State agencies of the respective States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Mariana Islands, American Samoa. Under the basic developmental disabilities program, the designated State agency must not provide or pay for services to individuals with developmental disabilities, unless it has held such designation on the date of the enactment of the Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1994, and the Governor of the State (or the legislature, where appropriate and in accordance with State law) determines prior to June 30, 1994, not to change the designation of such agency. The State can only receive funding under the basic developmental disabilities program if it is also participating in the protection and advocacy program. The agency designated to implement the State system under the protection and advocacy program cannot provide or pay for services to individuals with developmental disabilities, and that agency must have authority to obtain access to records of individuals with developmental disabilities.

#### **Beneficiary Eligibility:**

To be eligible for a grant, an agency must be designated to administer the program on behalf of the State. The Basic Program benefits individuals with developmental To be eligible for a grant, an agency must be designated to administer the program on behalf of the State. The Basic Program benefits individuals with developmental disabilities through systems change. The Protection and Advocacy system benefits individuals with developmental

disabilities. Developmental disability is defined here as a severe chronic disability of an individual that is attributable to mental, physical, or a combination of impairments, is manifested before age 22, that is likely to continue indefinitely, that results in substantial functional limitations in three or more of the following major life activities (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency), and that reflects an individual's lifelong need for services. Infants and children from birth to age 9, inclusive, are included if they have a developmental delay or condition with a high probability of resulting in developmental disabilities if services are not provided.

#### **Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR 74 and 92.

#### **Preapplication Coordination:**

This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but Intergovernmental Consultation Review is excluded. Standard application forms as furnished by DHHS must be used.

#### **Application Procedure:**

Basic Support: Requests for allotments are submitted in the form of a State plan, which must be submitted not less than every 5 years, and must address all of the requirements of the Statute. Protection and Advocacy: Application is made by the State's submission of a description of the Protection and Advocacy system in the State and appropriate assurances as required by law, and by annual submission statement on the goals and priorities.

#### **Award Procedure:**

Basic Support: Requests for allotments are submitted in the form of a State plan, which must be submitted not less than every 5 years, and must address all of the requirements of the Statute. Protection and Advocacy: Application is made by the State's submission of a description of the Protection and Advocacy system in the State and appropriate assurances as required by law, and by annual submission statement on the goals and priorities.

#### **Deadlines:**

None.

#### **Range of Approval/Disapproval Time:**

None.

#### **Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

#### **Renewals:**

Automatic, under approved application.

#### **Formula and Matching Requirements:**

Allocation Criteria and/or Mathematical Calculations: Two-thirds (2/3) of the amount appropriated is allotted to each State according to the ratio the population of each State bears to the population of the United States, weighted by the relative per capita income for each State. One-third (1/3) of the amount appropriated is allotted to each State according to the ratio of beneficiaries in the State receiving benefits under Childhood Disabilities Beneficiary Program, related to the age 18 to 65 population of the State as bearing on the national total of such population, weighted by the total population of the State. The data used to compute allotments are supplied annually by the Social Security Administration and the U.S. Department of Commerce, for the three most recent consecutive years for which satisfactory data are available. The Federal share of projects supported under the State Plan may not exceed 75 percent, except for projects whose activities or products target individuals with developmental disabilities who live in urban or rural poverty areas, which may not exceed 90 percent of the aggregate necessary costs of such project of activities, and in the case of projects or activities undertaken by the Council or Council staff to implement State plan priority, activities may be up to 100 percent of the aggregate necessary cost of such activities. No match is required for Protection and Advocacy allotments.

#### **Length and Time Phasing of Assistance:**

Funds provided under allotments must be obligated by states by the end of the fiscal year following the fiscal year for which appropriations were received. Such obligation must be liquidated by the end of the following fiscal year. Payments are made through Electronic Transfer System or, when such is not practicable, on basis of payment requests from the State to meet current needs.

#### **Reports:**

Annual financial status reports and annual program performance reports for Protection and Advocacy and Basic Support grant programs are required.

#### **Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

#### **Records:**

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

#### **Account Identification:**

75-1536-0-1-506.

#### **Obligations:**

(Grants and Contracts) FY 07 \$110,489,000; FY 08 \$111,506,000; and FY 09 est \$111,506,000.

#### **Range and Average of Financial Assistance:**

Basic Support: \$450,000; Protection and Advocacy: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 112 grants were awarded. It is anticipated that the same number of grants will be awarded in fiscal year 2008 and fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92, Grant Administrative Requirements; and Program Regulations in Chapter XIII of Title 45 of the Code of Regulations, Parts 1385 and 1386.

**Regional or Local Office:**

Contact the Regional Administrator, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog for list of addresses.)

**Headquarters Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, SW., Washington, DC 20447. For State Councils on Developmental Disabilities the contact information is: (202) 690-5976; Mary Beth Greene. For Protection and Advocacy Systems the contact information is: (202) 690-5905; Jackie Ezzell. FTS is not available.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.631, Developmental Disabilities Projects of National Significance; 93.632, University Centers for Excellence in Developmental Disabilities Education, Research, and Service.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.631 DEVELOPMENTAL DISABILITIES PROJECTS OF NATIONAL SIGNIFICANCE****FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Mental Retardation Facilities and Construction Act of 1963, Public Law 88-164, as amended; Title V, Public Laws 91-517, 94-103, 95-602; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Developmental Disabilities Assistance and Bill of Rights Act, Title 1, Section 100, Public Law 98-527, as amended; Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1987, Public Law 100-146; 42 U.S.C. 6081-6083; Developmental Disabilities Assistance and Bill of Rights Act of 1990, Public Law 101-496; Developmental Disabilities Assistance and Bill of Rights Act of 1994, Public Law 103-230; Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1996, Public Law 104-183; Developmental Disabilities Assistance and Bill of Rights Act of 2000, Public Law 106-402, 42 U.S.C. 15081-15083.

**OBJECTIVES:**

To provide for grants, contracts and cooperative agreements for projects of national significance to increase and support the independence, productivity, and integration and inclusion into the community of individuals with developmental disabilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project grants, contracts, and cooperative agreements are approved for personnel, equipment, travel, supplies, etc. Duplicative Federal assistance is precluded. Uses include: (1) Family support activities; (2) Projects to educate policy makers; (3) projects to conduct data collection and analysis; (4) projects to provide technical assistance for developing information and referral systems; (5) Federal interagency initiatives; (6) technical assistance projects; (7) projects to enhance opportunities for individuals with developmental disabilities who are from racial and ethnic minority backgrounds; (8) projects to improve supportive living and quality of life opportunities which enhance recreation, leisure and fitness; (9) projects concerning the transition of youth with developmental disabilities from school to work and to adult life; and (10) other projects of national significance. Funds are not awarded solely for direct service delivery, construction, or for the continuation or expansion of existing projects, but rather for projects which are considered innovative and likely to have significant national impact.

**Applicant Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Beneficiary Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Credentials/Documentation:**

Proof of community need and consistency with developmental disabilities State Plans. Proof of nonprofit status. Compliance with statutes, regulations, and approval of State agency and DHHS/ACF Regional Offices. Costs and

administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

The standard application forms as furnished by DHHS must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Forms and instructions for project grants are available from HHS Central Office and the appropriate DHHS-ACF Regional Office. Forms and instructions for projects of national significance grants are available from the Headquarters Office, Administration on Developmental Disabilities (ADD), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, SW., Washington, DC 20447, Attn: 93631.811. Telephone: (202) 690-6590. One signed original and two copies of the grant application are required, including all attachments, and must be submitted to the address specified in the application kit. Three additional copies would be useful to facilitate processing. In addition, concurrently, one (1) copy of the application should be submitted to the applicant's DD State Council and two (2) copies to the appropriate State Single Point of Contact (SPOC) for review and comment as per Executive Order 12372, "Intergovernmental Review of Federal Programs." (Addresses for State Developmental Disabilities Councils and SPOCs are included in the application kit.) The application must be signed by an individual authorized to act for the applicant agency and to assume for the agency the obligations imposed by the terms and conditions of the grant award including the regulations for the Projects of National Significance Grants Program.

**Award Procedure:**

Applications are reviewed and recommendations made by the Central Office, Administration on Developmental Disabilities. Successful applicants are notified through the issuance of a Financial Assistance Award which sets forth in writing the amount of funds granted, the purpose of the grant, the terms and conditions of the grant award, the effective date of the award, the budget period for which support is given and the total grantee participation. The initial award, when applicable, also specifies the project period for which support is contemplated.

**Deadlines:**

Contact DHHS Central Office for up-to-date information.

**Range of Approval/Disapproval Time:**

From 60 to 180 days according to the type of program being requested.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

None.

**Formula and Matching Requirements:**

Matching requirements are specified in each published program announcement.

**Length and Time Phasing of Assistance:**

Project periods for grants are specified in each published program announcement.

**Reports:**

Expenditure and progress reports are required for each budget period. Final progress report is required 90 days after the end of project period.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$11,414,000; FY 08 \$14,162,000; and FY 09 est \$14,162,000.

**Range and Average of Financial Assistance:**

\$50,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 46 grants were awarded. In FY 08, 52 grants will be awarded. It is anticipated that 56 grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1387.

**Regional or Local Office:**

Contact the Regional Administrator, Administration for Children and Families, HHS Regional Offices (See Appendix IV of the Catalog.)

**Headquarters Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, DC 20447. Telephone: (202) 690-7025. Contact: Ophelia McLain.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630, Developmental Disabilities Basic Support and Advocacy Grants;

93.632, University Centers for Excellence in Developmental Disabilities Education, Research, and Service.

#### **EXAMPLES OF FUNDED PROJECTS:**

The Projects of National Significance program has funded projects which will: (1) Identify model programs that focus on self/familial advocacy and empowerment by persons with disabilities and their families; (2) projects that focus on individuals and ways in which recreation and leisure activities have aided their integration into the community; (3) projects that assess the needs of and focus on the provision of services for children at-risk of developmental disabilities; (4) collaborative projects that implement leadership models; (5) projects that demonstrate successful approaches to home ownership by persons with disabilities; (6) projects that assist families with children who have severe and profound developmental disabilities to maintain their children at home while at the same time insuring the well-being and integrity of the family unit; (7) projects to support families who have members with Developmental Disabilities; (8) projects supporting minorities who have Developmental Disabilities; and (9) projects to provide personal assistance services for persons with disabilities.

#### **CRITERIA FOR SELECTING PROPOSALS:**

No application can be approved unless it shows/provides evidence of its non-profit status and the State in which the applicant's project will be conducted has an approved DD State plan under this Act. Applications are also to be reviewed by the State Developmental Disabilities Council for the State in which it is to be conducted. Project's proposed design is complete and feasible, and includes measurable objectives and an evaluation component. Project does not supplant activities that are funded under other Federal programs. Competing grant applications will be reviewed and evaluated against criteria that are specified in each published program announcement.

### **93.632 UNIVERSITY CENTERS FOR EXCELLENCE IN DEVELOPMENTAL DISABILITIES EDUCATION, RESEARCH, AND SERVICE**

(University Centers (UCEDD))

#### **FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Mental Retardation Facilities and Construction Act of 1963, Title I, Part B, Public Law 88-164, as amended, Public Laws 91-517, 94-103, 95-602; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Developmental Disabilities Act of 1984; Developmental Disabilities Assistance and Bill of Rights Act, as amended, Title I, Section 100, Public Law 98-527; Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1987, Public Law 100-146, Developmental Disabilities Assistance and Bill of Rights Act of 1990, Public Law 101-496; Developmental Disabilities Assistance and Bill of Rights Act of 1994, Public Law 103-230; Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1996, Public Law 104-183; Developmental Disabilities Assistance and Bill of Rights Act of 2000, Public Law 106-402, 42 U.S.C. 15061 - 15066.

#### **OBJECTIVES:**

To defray the cost of administration and operation of programs that: (1) Provide interdisciplinary training for personnel concerned with developmental disabilities; (2) demonstrate community service activities that include training and technical assistance and may include direct services, e.g., family support, individual support, personal assistance services, educational, vocational, clinical, health and prevention; (3) conduct research (basic and applied), evaluation and analysis of public policy in areas affecting individuals with developmental disabilities; and (4) disseminate information as a national and international resource.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Salaries for administrators, coordinators, and others needed to operate a training facility, maintenance and housekeeping personnel, overhead expenses, and expenses required to start up new programs, and faculty for training programs who will meet critical manpower shortages and are not eligible for support from other sources.

#### **Applicant Eligibility:**

A public or nonprofit entity which is associated with, or is an integral part of a college or university and which provides at least: interdisciplinary training; demonstration of exemplary services, technical assistance, research and dissemination of findings.

#### **Beneficiary Eligibility:**

Individuals of all ages with developmental disabilities attributable to a mental and/or physical impairment, their families, and personnel and trainees providing services to them.

#### **Credentials/Documentation:**

Assurance of maintenance of effort; statement of financial resources, especially

other federally-assisted programs; identification of personnel needs and resources as found in developmental disabilities State Plans for the applicant's service area; evaluation of present training programs and utilization of space in the facility; and capability of informing researchers and others in development of services related research.

#### **Preapplication Coordination:**

No preapplication form is required. Consultation and assistance in preparing application is available at the DHHS Central Office. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Application forms are available from the DHHS Central Office. Completed application forms and narrative should be sent to the State Developmental Disabilities Council, Designated State Agency and Protection and Advocacy agency for review and comment. The standard application forms, as furnished by DHHS must be used for this program.

#### **Award Procedure:**

Applications are evaluated by outside peer reviews and grants are awarded at the DHHS ADD Central Office. Recommendations for funding are made by the Headquarters Office.

#### **Deadlines:**

Contact DHHS Central Office for future deadline information.

#### **Range of Approval/Disapproval Time:**

From 45 to 90 days.

#### **Appeals:**

Appeals are processed in accordance with regulations in 45 CFR, Part 16.

#### **Renewals:**

Same as Application Procedure.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Federal share of project grant awarded may not exceed 75 percent of the necessary cost of project, except that if project activities or products target individuals with developmental disabilities who live in an urban or rural area, the Federal share may not exceed 90 percent of the project's necessary costs.

#### **Length and Time Phasing of Assistance:**

University Centers awards are made for 5 years with a 12-month budget period.

#### **Reports:**

An annual progress report is required. Fiscal reports are required as prescribed by grant specifications. Final progress report is required upon project completion.

#### **Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

#### **Records:**

Records must be maintained for 3 years.

#### **Account Identification:**

75-1536-0-1-506.

#### **Obligations:**

(Grants and Contracts) FY 07 \$33,212,000; FY 08 \$36,943,000; and FY 09 est \$36,943,000.

#### **Range and Average of Financial Assistance:**

All University Centers are awarded the same amount. The FY 2006 amount was \$497,500. The amount for FY 2008 is \$522,500. The projected amount for FY 2009 is \$522,500.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 07, 67 grants were awarded. In FY 08 and FY 09, it is anticipated that 75 grants will be awarded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1388.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 690-5982. Contact: Jennifer Johnson. FTS is not available.

#### **Web Site Address:**

<http://www.acf.dhhs.gov/programs/add>.

#### **RELATED PROGRAMS:**

93.630, Developmental Disabilities Basic Support and Advocacy Grants; 93.631, Developmental Disabilities Projects of National Significance.

#### **EXAMPLES OF FUNDED PROJECTS:**

Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers.

#### **CRITERIA FOR SELECTING PROPOSALS:**

University Centers must address the provisions of the Act and regulations.

### **93.643 CHILDREN'S JUSTICE GRANTS TO STATES**



**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 107(a),(b),(c),(d),(e) and (f), Child Abuse Prevention and Treatment Act (CAPTA), 42 U.S.C.5106c et. seq., as amended; Public Law 108-36; Victims of Crime Act of 1984, as amended, 42 U.S.C. 10601 et seq.

**OBJECTIVES:**

To encourage States to enact reforms which are designed to improve: (a) The handling of child abuse and neglect cases, particularly cases of child sexual abuse and exploitation, in a manner which limits additional trauma to the child victim; (b) the handling of cases of suspected child abuse or neglect related fatalities; (c) the investigation and prosecution of cases of child abuse and neglect, particularly child sexual abuse and exploitation; and (d) the handling of cases involving children with disabilities or serious health-related problems who are victims of abuse or neglect.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

To receive funds, States must meet eligibility requirements stated in the authorizing statute. Funds are to be used for reforms in the following categories:

(a) Investigative, administrative, and judicial handling of cases of child abuse and neglect, particularly child sexual abuse and exploitation; cases involving suspected child maltreatment related fatalities; and cases involving a potential combination of jurisdictions, such as interstate, Federal-State, and State-Tribal, in a manner which reduces the additional trauma to the child victim and the victim's family and which also ensures procedural fairness to the accused; (b) experimental, model and demonstration programs for testing innovative approaches and techniques which may improve the prompt and successful resolution of civil and criminal court proceedings, or enhance the effectiveness of judicial and administrative action in child abuse and neglect cases, particularly child sexual abuse and exploitation cases, including the enhancement of performance of court-appointed attorneys and guardians ad litem for children, and which also ensure procedural fairness to the accused; and (c) reform of State laws, ordinances, regulations, protocols and procedures to provide comprehensive protection for children from abuse, particularly child sexual abuse and exploitation, while ensuring fairness to all affected persons.

**Applicant Eligibility:**

States, Puerto Rico, District of Columbia, Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Marianas.

**Beneficiary Eligibility:**

Beneficiaries include State governments and victims of child abuse and neglect, particularly child sexual abuse and exploitation.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. Applications require certification and/or documentation that the State meets eligibility requirements described in the Act.

**Preapplication Coordination:**

No preapplication is required. Advice and technical assistance to State applicants are available from the Children's Bureau, Office on Child Abuse and Neglect within the Administration on Children, Youth and Families. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs" for State plan consolidations and simplification only (see 45 CFR Part 100.12). Review and comment provisions do not apply.

**Application Procedure:**

No Federal forms are required, but certain assurances and information described in the Annual Program Instruction must be included.

**Award Procedure:**

Applications will be reviewed against all eligibility requirements contained in the authorizing legislation. All eligible State and territorial governments will receive funding.

**Deadlines:**

Deadlines will be contained in the Program Instruction sent to each State and other eligible entities announcing the availability of funds under this program.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Grants are made annually. A new application is required each year.

**Formula and Matching Requirements:**

There is no matching requirement. Each State receives a base amount of \$50,000 with an additional amount based on the population of children under age 18 in each State.

**Length and Time Phasing of Assistance:**

Grant funds may be expended for a period of 2 years after the end of the fiscal year in which the funds are awarded.

**Reports:**

Financial and program progress reporting requirements are described in the

Program Instructions.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR, Parts 74 and 92.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Grants) FY 07 \$17,000,000; FY 08 \$17,000,000; and FY 09 est \$17,000,000.

**Range and Average of Financial Assistance:**

Grants ranged from \$54,104 to \$1,895,572 in FY 07 and it is estimated that grants will range from \$54,104 to \$1,895,572 in FY 08 and FY09. The average amount awarded is \$303,571.

**PROGRAM ACCOMPLISHMENTS:**

Grants were made to 49 States (including the District of Columbia.) and four territorial governments in fiscal year 2007; 49 States are expected to be funded for fiscal year 2008 and 50 in 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine E. Luby, Office on Child Abuse and Neglect, 1250 Maryland Avenue S.W., 8th Floor Washington, DC 20024. Telephone: (202) 205-8879.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645, Child Welfare Services\_State Grants; 93.667, Social Services Block Grant; 93.669, Child Abuse and Neglect State Grants; 93.670, Child Abuse and Neglect Discretionary Activities; 93.671, Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements and propose projects which meet the required uses of these funds will receive grants.

**93.645 CHILD WELFARE SERVICES-STATE GRANTS****FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title IV-B, Subpart 1, as amended.

**OBJECTIVES:**

The purpose of the Child Welfare Services program is to promote State flexibility in the development and expansion of a coordinated child and family services program that utilizes community-based agencies and ensures all children are raised in safe, loving families.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for the following purposes: (a) Protecting and promoting the welfare of all children; (b) Preventing the abuse, neglect, or exploitation of children; (c) Supporting at-risk families through services that allow children to remain with their families or return to their families in a timely manner; (d) Promoting the safety, permanence, and well-being of children in foster care and adoptive families; and (e) Providing training, professional development, and support to ensure a well-qualified workforce.

**Applicant Eligibility:**

States, the District of Columbia, Indian Tribes, Puerto Rico, the Northern Marianas, the Virgin Islands, Guam, and American Samoa.

**Beneficiary Eligibility:**

Families and children in need of child welfare services will benefit.

**Credentials/Documentation:**

The State department which administers the services program under Title XX must be the designated single State agency to administer child welfare services. Costs will be determined in accordance with 45 CFR Part 92.

**Preapplication Coordination:**

State plans are covered under E.O. 12372, but Intergovernmental Review is excluded.

**Application Procedure:**

A 5-year State plan must be submitted. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after State agency consultation with appropriate public and nonprofit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations.

**Award Procedure:**

Funds will be awarded after the State plan, or annual update, is submitted and

approved.

**Deadlines:**

States, Territories and Indian Tribes are encouraged to submit application in accordance with Department requirements. The Plan or update submitted is due by June 30 of each year.

**Range of Approval/Disapproval Time:**

The Plan or update that is due on June 30 of each year must be approved by 9/30 in order to receive timely funding.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

None.

**Formula and Matching Requirements:**

Each State receives a base amount of \$70,000 for child welfare services. The Federal Child Welfare services appropriation is further allotted on a variable formula which takes into account the child population under 21 and the complement of the State per capita income compared to the U.S per capita income. The statistical factors used to fund allocations are: (1) the population of children under 21 years of age by State and the source is "Current Population Reports", P-25, Bureau of the Census; and (2) 3-year average per capita income by State and the source is the Bureau of Economic Analysis, Department of Commerce. Income factors for eligibility do not apply to this program. Grantees receive Federal matching at a rate of 75 percent of their expenditures up to the limit of their allocation.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draw-downs from Federal Reserve Banks.

**Reports:**

After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

States are required to maintain adequate fiscal records, and to make reports as required by DHHS.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$286,754,000; FY 08 \$281,744,000; and est FY 09 \$281,744,000.

**Range and Average of Financial Assistance:**

States: For Fiscal Years 07 award amounts ranged from \$163,468 to \$33,565,519 with an Average grant award of \$1,346,262; Tribes \$892 to \$985,454 with an average of \$36,376. These estimated ranges will change very slightly for FY 08 and FY 09.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 213 grants were awarded. It is anticipated that 213 grants will be awarded in fiscal year 2008 and fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

Contact Regional Administrator, ACY. (See Appendix IV of the Catalog for a list of addresses of the Regional offices.)

**Headquarters Office:**

Headquarters Office: Sara Williams Children's Bureau, Administration for Children and Families, 1250 Maryland Avenue S.W., Washington, DC 20024. Telephone: (202) 205-7405.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families; 84.013, Title I Program for Neglected and Delinquent Children; 93.600, Head Start; 93.648, Child Welfare Services Training Grants; 93.658, Foster Care Title IV-E; 93.659, Adoption Assistance; 93.667, Social Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.647 SOCIAL SERVICES RESEARCH AND DEMONSTRATION

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title XI, Section 1110, as amended by Public Laws 86-778, 88-452, 90-248, 96-265, and 99-190; 42 U.S.C. 1310.

**OBJECTIVES:**

To promote research and demonstrations related to the prevention and reduction of dependency or the administration and effectiveness of programs related to that purpose.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families' (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instructions, or proselytization. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS Web site at <http://www.os.dhhs.gov/fbc/waisgate21.pdf>.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith-based and community organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to nonprofit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR Part 92 and OMB Circular No. A-87. For other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.Grants.gov](http://www.Grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award (FAA). This provides the amount awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Deadlines for grants and cooperative agreements are announced in [www.grants.gov](http://www.grants.gov) as part of the announcement or are mailed to State Agencies where applicants are limited to those agencies. Deadlines for requests for contract proposals are posted on [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee or contractor must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

Grantees are generally required to share in the cost of projects. Cost sharing may

range up to 25 percent of the total approved project costs for grants and cooperative agreements.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis (up to 10 years under certain exceptions), with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

**Reports:**

Reports of progress and expenditures are required on all projects. Comprehensive final reports are due within 90 days of completion of the project.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials. In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments and Non-Profit Organizations," Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Non-Federal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section 215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants, Cooperative Agreements, and Contracts) FY 07 \$97,188,710 (Note: of this amount, \$14,991,207 was funded under 93.595); FY 08 \$94,882,000; and FY 09 est \$101,762,000. Four funding streams combine for these amounts: the Compassion Capital Fund; Welfare Research; Social Services Research and Demonstration; and the Child Welfare Study. With regard to the Compassion Capital Fund, FY 07 \$64,342,007, FY 08 \$52,688,000, and FY 09 est \$75,000,000. With regard to Welfare Research, FY 07 \$14,991,207, FY 08 \$15,000,000, and FY 09 est \$15,000,000. With regard to Social Services Research and Demonstration, FY 07 \$11,860,489, FY 08 \$21,194,000, and FY 09 est \$5,762,000. With regard to the Child Welfare Study, FY 07 \$5,995,007, FY 08 \$6,000,000, and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

(Grants, Cooperative Agreements and Contracts) From \$60,186 to \$5,995,000; average \$1,082,657.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007 funding was provided to 26 research and evaluation projects through contracts or grants related to child welfare, welfare reform and employment strategies (including projects testing promising strategies to serve the hard-to-employ and job retention and advancement, and research on sanction policies, time-limited assistance and local implementation), and to strengthening marriage and family formation. More information describing research and evaluation projects we have funded can be found at <http://www.acf.hhs.gov/programs/opre/>. We anticipate funding a similar number of projects related to these areas of interest in fiscal year 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.Grants.gov](http://www.Grants.gov) and <http://www.hhs.gov/grantsnet/roadmap/index.html>. Helpful information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

Appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.)

**Headquarters Office:**

Karl Koerper, Office of Planning, Research and Evaluation, Administration for Children and Families, Department of Health and Human Services, 7th Floor, 370 L'Enfant Promenade SW., Washington, DC 20447. Telephone: (202) 401-4535. Fax: (202) 205-3598. E-Mail: [KKoerper@ACF.HHS.gov](mailto:KKoerper@ACF.HHS.gov).

**Web Site Address:**

<http://www.acf.hhs.gov/programs/opre>

**RELATED PROGRAMS:**

93.558, Temporary Assistance for Needy Families; 93.595, Welfare Reform Research, Evaluations and National Studies.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects are: research on the benefits, effects, and costs of different welfare reform interventions on populations receiving, and at risk of receiving welfare, including project focused on addressing issues of job retention and advancement, serving the hard- to-employ and testing promising welfare-to-work strategies in rural areas; studies of the effect of welfare reform of family and child well being; studies on responsible fatherhood, family structure and formation; and research and evaluation projects focused on strengthening

healthy marriage.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting projects to be funded under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.648 CHILD WELFARE SERVICES TRAINING GRANTS**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Section 426 (a)(1)(c), 42 U.S.C. 626 (a)(1)(c), as amended, including section 429,42 U.S.C. 628a.

**OBJECTIVES:**

To provide professional education opportunities to prospective and current child welfare agency staff and to develop competency-based training curricula and special projects for training child welfare personnel in specific areas.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are made to accredited public or other nonprofit institutions of higher learning for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends.

**Applicant Eligibility:**

Accredited institutions of higher learning.

**Beneficiary Eligibility:**

Awards are made to institutions of higher learning.

**Credentials/Documentation:**

Grants to educational institutions are made only to accredited institutions. Costs are determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Institutions applying for training grants are advised to consult with Headquarters Office concerning their proposals. Standard application forms, as furnished by DHHS must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications made in the format provided by and at the time specified in the annual Federal Register announcements of the availability of funds.

**Award Procedure:**

Grants are awarded after review by a panel of mostly nonfederal persons, with final decision by the Commissioner, ACYF in the Headquarters office.

**Deadlines:**

Deadline dates are announced in the annual program announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, 16.

**Renewals:**

Renewals and extensions are available through formal submission of progress reports and continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements; however, administratively-required matching, when required, is described in the program announcement.

**Length and Time Phasing of Assistance:**

Duration is specified in announcement.

**Reports:**

Biannual progress and fiscal reports are required.

**Audits:**

Audits are required in accordance with the requirement in 45 CFR 74 and 92.

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$7,335,000; FY 08 \$7,207,000; and FY 09 est \$7,207,000.

**Range and Average of Financial Assistance:**

\$75,000 to \$1,175,000; \$175,961.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 40 grants were awarded; FY 08, 12 grants will be awarded; est 12 grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations codified in 45 CFR 1300.

**Regional or Local Office:**

Contact the Regional Administrator, ACYF.

**Headquarters Office:**

Donna T. Hornsby, MSW, Child Welfare Training Specialist, Children's Bureau,



Administration On Children, Youth and Families, 1250 Maryland Avenue S.W., Washington, DC 20024. Telephone: (202) 205-8405.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645, Child Welfare Services\_State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Interdisciplinary training projects; projects to support professional education for child welfare practices; innovative training for exemplary practice; and cross program training.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which the proposal shows promise of meeting specific objectives defined in the annual program announcement; (2) reasonableness of cost; and (3) qualifications of the institution applying and staff, and (4) quality of the methodology.

## 93.652 ADOPTION OPPORTUNITIES

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Title II, as amended by Public Law 95-266; Public Law 100-294; Public Law 102-295; Public Law 104-235 and Public Law 108-36 (42 U.S.C. 5111 et seq.)

**OBJECTIVES:**

To facilitate the elimination of barriers to adoption and to provide permanent, loving home environments for children who would benefit from adoption, particularly children with special needs.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Grants and contracts are for (1) education, training and technical assistance programs on adoption, (2) ongoing and extensive recruitment on the national level, (3) supporting and studying the placement of children in kinship care arrangements, pre-adoptive, or adoptive homes, (4) maintain a nation resource center for special needs adoption, (5) minority recruitment, (6) provision of post legal adoption services, (7) improving the permanent placement rate of children, especially older children, in foster care, and (8) developing and implementing a national adoption and foster care data gathering and analysis system and a national adoption information exchange system.

**Applicant Eligibility:**

Grants or Contracts: State, local government entities, public or private licensed child welfare or adoption agencies or community based other organizations, or adoptive family groups, minority groups, sectarian institutions.

**Beneficiary Eligibility:**

Children who are in foster care and with the goal of adoption.

**Credentials/Documentation:**

Nonprofit organizations which have not previously had Office of Management Services or ACF support must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined by 45 CFR 74 and 92.

**Preapplication Coordination:**

Limited consultation available at Headquarters Office. The standard application forms as furnished by DHHS must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted to The Administration on Children, Youth and Families Headquarters Office listed below.

**Award Procedure:**

After review and recommendation by a nonfederal panel, the Commissioner, ACYF, makes final decision.

**Deadlines:**

Determined annually and specified in the annual program announcement which appears in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Renewals are available for multi-year grants through formal submission of progress reports and continuation applications. Funding for multi-year grants is provided on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements; however, administratively-required matching is described in the annual program announcement.

**Length and Time Phasing of Assistance:**

Grants may extend from 3 to 5 years. Average duration is expected to be 5 years.

**Reports:**

Financial reports, semi-annual financial reports and progress reports. Final progress report, financial report due 90 days after completion of grant.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees are required to keep financial and other grant records for 3 years after the completion of the grant or completion of audit whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$26,848,000; FY 08 \$26,379,000; and FY 09 est \$26,379,000. (Note: The funds in this program are also available for program contracts. The amounts that can be used for contracts cannot be predetermined.)

**Range and Average of Financial Assistance:**

\$200,000 to \$1,000,000; \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 56 grantees were awarded funds. It is anticipated that approximately 48 grants will be awarded in fiscal year 2008 and approximately 48 grants in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Priority statements, application information and submission deadline available at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Children's Bureau, Administration for Children and Families, 1250 Maryland Avenue, S.W., Washington, DC 20024. Contact: Jan Shafer, Telephone: (202) 205-8172.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645, Child Welfare Services\_State Grants; 93.648, Child Welfare Services Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Developing services and support for youth who wish to retain contact with family members in order to improve permanency outcomes; and Field Initiated Services Demonstration projects in the adoption field. The Healthy Marriage Initiative, which began in 2002, is designed to help couples who have chosen marriage for themselves gain access to services that will help them acquire the skills and knowledge necessary to form and sustain a healthy marriage. The Administration for Children and Families (ACF) began awarding the initial grants in 2003.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which proposal shows promise of meeting specific objectives defined in a program announcement; (2) innovation and advancement of the field, (3) reasonableness of cost; and (4) qualification of staff.

## 93.658 FOSTER CARE-TITLE IV-E

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, as amended, Title IV-E, Section 470, et seq.

**OBJECTIVES:**

The Title IV-E Foster Care program helps States provide safe and stable out-of-home care for children under the jurisdiction of the State child welfare agency until the children are returned home safely; placed with adoptive families, or placed in other planned arrangements for permanency. The program provides funds to States to assist with the costs of foster care maintenance for eligible children; administrative costs to manage the program; and training for the State agency staff, foster parents and certain private agency staff.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used by the State child welfare agency for FFP in State or local foster care maintenance payments on behalf of eligible children; for administrative and training costs; and for costs related to design, implement and operate a statewide data collection system. Funds may not be used for costs of social services such as those that provide counseling or treatment to ameliorate or remedy personal problem, behaviors, or home conditions for a child, the child's family, or the child's foster family.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

States, the District of Columbia, and Puerto Rico will benefit.

**Credentials/Documentation:**

Costs are determined in accordance with 45 CFR 74.

**Preapplication Coordination:**

Consultation is available to States from Regional Administration for Children and Families (ACF) offices. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications (State plans) must be submitted by the State to the ACF Regional Child Welfare Program Manager, for approval. The standard application forms as furnished by DHHS must be used for this program.

**Award Procedure:**

Quarterly awards are made on the basis of State estimated expenditures that are later revised accordingly to include only actual allowable expenditures. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS).

**Deadlines:**

State estimates must be received quarterly (July 30, October 30, January 30, and April 30) by the ACF, Washington, DC.

**Range of Approval/Disapproval Time:**

HHS approves or disapproves State plans or plan amendments within 90 days of receipt by HHS.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Awards remain effective without renewal but State plans may be amended as necessary.

**Formula and Matching Requirements:**

FFP for foster care maintenance payments is equal to the State medical assistance percentage, i.e., the Federal share of payments is from 50 percent to 83 percent, depending on the State (Section 474(a)(1) and 1905(b) of the Social Security Act). Training and other administrative expenditures are matched at 75 and 50 percent Federal share, respectively (Sec. 474(a) of the Social Security Act).

**Length and Time Phasing of Assistance:**

Funds are paid quarterly through a letter of credit.

**Reports:**

Expenditure reports must be submitted 30 days after the end of each quarter (January 30, April 30, July 30, and October 30) to Administration for Children and Families, Office of Administration, Washington, DC.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

States must maintain records that substantiate established eligibility, allocated indirect and direct costs, and awarded grants.

**Account Identification:**

75-1545-0-1-609.

**Obligations:**

(Grants & Contracts) FY 07 \$4,687,672,000; FY 08 \$4,581,000,000; and FY 09 est \$4,463,000,000.

**Range and Average of Financial Assistance:**

For FY 2007, grants ranged from \$1,665,150 to \$1,302,357,112; FY 2008 estimated range is from \$1,627,894 to \$1,273,217,985; and the estimated range for FY 2009 is from \$1,582,764 to \$1,237,920,313. The average award amount is \$89,791,646, \$87,782,635, and \$85,349,019, respectively.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 53 grants will be made in fiscal year 2007, 2008, and 2009, serving serving approximately 211,900 children per month in fiscal year 2007 and 207,800 in fiscal year 2008 and approximately 203,200 in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355-1356.

**Regional or Local Office:**

Consult Children's Bureau Regional Child Welfare Program Manager. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.)

**Headquarters Office:**

Jennifer Butler-Hembree, Children's Bureau, 1250 Maryland Ave S.W., Washington, DC 20024. Telephone: (225) 654-2527.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families; 93.560, Family Support Payments to States Assistance Payments; 93.645, Child Welfare Services State Grants; 93.659, Adoption Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.659 ADOPTION ASSISTANCE****FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470 et seq., as amended.

**OBJECTIVES:**

To provide Federal Financial Participation (FFP) to States in adoption subsidy costs for the adoption of children with special needs and who meet certain

eligibility tests.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal subsidy may be used only in support of the adoption of children who meet the definition of special needs as specified in the Statute. All parents adopting special needs children are eligible for the nonrecurring cost of adoption. States may receive Federal Financial Participation (FFP) only if State plans have been approved by the Secretary.

**Applicant Eligibility:**

Funds are available to States, the District of Columbia, and Puerto Rico with approved State plans.

**Beneficiary Eligibility:**

Beneficiaries are children who: (1) in Title IV-E foster care, eligible for Are AFDC (as in effect July 16, 1996) SSI recipients are the minor child living with his/her parent who is in IV-E Foster Care; or was previously adopted and eligible for adoption assistance but the adoption dissolved or the adoptive parents died and (2) have been determined by the State to be special needs, e.g., a special factor or condition which makes it reasonable to conclude that they cannot be adopted without adoption assistance; a State determination that the child cannot or should not be returned home; and a reasonable effort has been made to place the child without providing financial or medical assistance. FFP is available from the time of placement for adoption in accordance with State and local law or final adoption decree to age 18 (21 if the State finds that a disability means aid should continue) as long as the parent supports the child. No child adopted prior to the approval of the State's Title IV-E plan is eligible for FFP. No means test applies to adopting parents, but the amount of subsidy is agreed to by agency and parents and may be readjusted by joint agreement.

**Credentials/Documentation:**

The State must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Part 92.

**Preapplication Coordination:**

Consultation to States is available from Regional Offices of ACF, DHHS. The standard application forms as furnished by DHHS must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications (State plans) are submitted to the Regional Office (RO) of ACF.

**Award Procedure:**

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable expenditures. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS).

**Deadlines:**

Estimates are due July 30, October 30, January 30, and April 30.

**Range of Approval/Disapproval Time:**

HHS will approve/disapprove applications (State plans or amendments to them) within 90 days of receipt by HHS.

**Appeals:**

Refer to 45 CFR Part 16.

**Renewals:**

None.

**Formula and Matching Requirements:**

FFP for adoption assistance is equal to the Federal medical assistance percentage (as defined in section 1905(b) of the Social Security Act) of the total expended for adoption assistance payments, 75 percent of training costs, and 50 percent of other administrative costs.

**Length and Time Phasing of Assistance:**

Federal financial participation is available to a State operating under an approved State plan.

**Reports:**

Expenditure reports are required 30 days after the end of the quarter; other reports as required by the Secretary.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

States must maintain records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, allocated and direct administrative and training costs, and the provision of financial assistance.

**Account Identification:**

75-1545-0-1-609.

**Obligations:**

(Grants) FY 07 \$1,942,289,000; FY 08 \$2,156,000,000; and FY 09 est \$2,286,000,000.

**Range and Average of Financial Assistance:**

Range for FY 07 from \$156,900 to \$344,873,400 per State/Territory; Range estimate for FY 08 from \$174,164 to \$382,820,081; Range estimate for FY 09 from \$184,666 to \$405,902,925. The average award amount respectively is \$34,451,159, \$38,980,769 and \$41,519,230.

**PROGRAM ACCOMPLISHMENTS:**

Adoption subsidy payments are made to eligible children with special needs who are adopted. In fiscal year 2007, this program assisted an estimated average of 390,200 children per month. It is estimated that this program will assist an average of 411,700 children per month in fiscal year 2008 and 430,000 in FY 2009. There were 52 grants made in fiscal year 2007. It is estimated that 52 grants will be made in fiscal year 2008 and 52 grants in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Proposed Rulemaking; 45 CFR 1355-1356.

**Regional or Local Office:**

Contact the Regional Administrator, ACF, HHS in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.)

**Headquarters Office:**

Eileen West, Children's Bureau, 1250 Maryland Avenue, S.W., Washington, DC 20447. Telephone: (202) 205-8438.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556, Promoting Safe and Stable Families; 93.645, Child Welfare Services\_State Grants; 93.652, Adoption Opportunities; 93.658, Foster Care\_Type IV-E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.667 SOCIAL SERVICES BLOCK GRANT****FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Jobs Training Bill, Public Law 98-8; Public Law 98-473; Medicaid and Medicare Patient and Program Act of 1987; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203; Family Support Act of 1988, Public Law 100-485; Omnibus Budget Reconciliation Act of 1993, Public Law 103-66; 42 U.S.C. 1397 ET seq.

**OBJECTIVES:**

To enable each State to furnish social services best suited to the needs of the individuals residing in the State. Federal block grant funds may be used to provide services directed toward one of the following five goals specified in the law: (1) To prevent, reduce, or eliminate dependency; (2) to achieve or maintain self-sufficiency; (3) to prevent neglect, abuse, or exploitation of children and adults; (4) to prevent or reduce inappropriate institutional care; and (5) to secure admission or referral for institutional care when other forms of care are not appropriate. In addition, special funding was provided to some states in fiscal year 1995 and 1996 for supplemental SSBG grants in support comprehensive of community revitalization projects in 104 federally designated Empowerment Zones (EZs) and Enterprise Communities (ECs). The supplemental funding is called "EZ/EC SSBG." The States, through the designated localities, may use the EZ/EC SSBG funds for activities included in each locality's strategic plan for comprehensive revitalization and directed toward goals 1,2 or 3 listed above. These funds will remain available until December 21, 2004. Information about this component of the SSBG is included below as appropriate.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal funds may be used by States for the proper and efficient operation of social service programs. Except for items (1) and (4) below, for which a waiver from the Secretary may be requested, Federal funds cannot be used for the following: (1) The purchase or improvement of land, or the purchase, construction, or permanent improvement of any building or other facility; (2) the provision of cash payments for costs of subsistence or the provision of room and board (other than costs of subsistence during rehabilitation, room and board provided for a short term as an integral but subordinate part of a social service, or temporary shelter provided as a protective service); (3) the payment of wages to any individual as a social service (other than payment of wages to welfare recipients employed in the provision of child day care services); (4) the provision of medical care (other than family planning services, rehabilitation services or initial detoxification of an alcoholic or drug dependent individual) unless it is an integral but subordinate part of a social service for which grants may be used; (5) social services (except services to an alcoholic or drug dependent individual or rehabilitation services) provided in and by employees of any hospital, skilled nursing facility, intermediate care facility, or prison, to any individual living in such institution; (6) the provision of any educational service which the State makes generally available to its residents without cost and without regard to their income; (7) any child day care service unless such service meets applicable standards of State and local law; (8) the provision of cash

payments as a service; or (9) for payment for any item or service (other than an emergency item or service) furnished by an individual or entity during the period when such individual or entity is excluded pursuant to Section 1128 or Section 1128(A) of the Social Security Act from participation in this program; or at the medical direction or on the prescription of a physician during the period when the physician is excluded based on Section 1128 or 1128(A) from participation in the program and when the person furnishing such item or service knew or had reason to know of the exclusion (after a reasonable time period after reasonable notice has been furnished to the person). A State may transfer up to 10 percent of its allotment for any fiscal year to the preventive health and health services, alcohol and drug abuse, mental health services, maternal and child health services, and low-income home energy assistance block grants.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

Under Title XX, each eligible jurisdiction determines the services that will be provided and the individuals that will be eligible to receive services.

**Credentials/Documentation:**

Prior to expenditure of funds, the State must report on the intended use of the payments the State is to receive, including information on the types of activities to be supported and the categories or characteristics of individuals to be served.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of a pre-expenditure report application is required.

**Award Procedure:**

States are awarded funds quarterly.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Departmental Appeals Board.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Section 2003 of Title XX of the Social Security Act specifies how the allotments for each State and jurisdiction will be determined. Each State is entitled to payments in an amount equal to its allotment for that fiscal year. There is no matching requirement. Allotments for Title XX are subject to a limitation of \$2,800,000,000 (estimate). The allotment for the jurisdictions of Puerto Rico, Guam, the Virgin Islands, and the Northern Mariana Islands shall be an amount which bears the same ratio to the amount authorized for Title XX as the fiscal year 1981 allocation bore to \$2,900,000,000. The allotment for American Samoa shall be an amount which bears the same ratio to the amount allotted to the Northern Mariana Islands for that fiscal year as the population of American Samoa bears to the population of the Northern Mariana Islands. Each State's and the District of Columbia's allotment are proportional to its portion of the national population of the amount authorized for Title XX minus the amount authorized to the other jurisdictions. The statistical factors used for fund allocation are the State population and total U.S. population (ratio of population of all States and the District of Columbia to total population); source, "Current Population Reports," P- 25, Bureau of the Census.

**Length and Time Phasing of Assistance:**

Grants are awarded quarterly on a fiscal year basis. The Electronic Transfer System will be used based on quarterly grant awards for monthly cash draws from Federal Reserve Banks. The funds will remain available for projects and programs in the designated localities until December 21, 2004.)

**Reports:**

An annual report is required. The report shall be in such form and contain such information as the State finds necessary to provide an accurate description of such activities, to secure a complete record of the purposes for which funds were spent, and to determine the extent to which funds were spent in a manner consistent with the pre-expenditure reports required under Section 2004 of the Act. The report must include the services provided in whole or in part with block grant funds; the number of children and the number of adults receiving each service; expenditure data for both children and adults for each service; the criteria applied in determining eligibility for each service, including fees; and the method(s) by which each service was provided. States must provide DHHS with an annual report (Standard Form 269). For EZ/EC SSBG, States are also required to provide a final report at the end of the grant period. The grant period ends for EZ/EC SSBG on December 21, 2004.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised June 27, 2003), "Audits of States, Local Governments and Non-Profit Organizations," Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part. Non-Federal entities that expend less than \$300,000



(\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in section .215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

**Records:**

States are required to maintain records documenting the purposes for which expenditures were made.

**Account Identification:**

75-1534-0-1-506.

**Obligations:**

(Grants) FY 07 \$1,700,000,000; FY 08 \$1,700,000,000; and FY 09 est \$1,200,000,000.

**Range and Average of Financial Assistance:**

\$48,518 to \$206,071,998; \$29,824,563.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 57 grants were awarded. In FY 08, 57 grants will be awarded. It is anticipated that same number of grants will be awarded in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

Local Office: Not applicable. Regional Office: Office of Community Services Regional Liaisons in the Office of the Regional Administrator. (See Appendix IV of the Catalog for Regional Offices.)

**Headquarters Office:**

Division of State Assistance, Office of Community Services, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-4608.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/ocs/ssbg>.

**RELATED PROGRAMS:**

93.600, Head Start; 93.630, Developmental Disabilities Basic Support and Advocacy Grants; 93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.045, Special Programs for the Aging Title III, Part C Nutrition Services; 93.645, Child Welfare Services State Grants; 93.647, Social Services Research and Demonstration; 93.658, Foster Care Title IV-E; 93.669, Child Abuse and Neglect State Grants; 93.671, Family Violence Prevention and Services/Grants for Battered Women's Shelters Grants to States and Indian Tribes.

**EXAMPLES OF FUNDED PROJECTS:**

States and other eligible jurisdictions determine their own social services programs. Examples of funded services include child day care, protective and emergency services for children and adults, homemaker and chore services, information and referral, adoption, foster care, counseling, and transportation.

**CRITERIA FOR SELECTING PROPOSALS:**

All States, the District of Columbia, and the five other jurisdictions will receive their share of funds if they submit a pre-expenditure report that meets the requirements.

## 93.669 CHILD ABUSE AND NEGLECT STATE GRANTS

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Child Abuse Prevention, Adoption and Family Services Act of 1988, Title I, Public Law 100-294, as amended; Child Abuse, Domestic Violence, Adoption, and Family Services Act of 1992, Public Law 102-295; Juvenile Justice and Delinquency Prevention Act Amendments of 1992, Public Law 102-586; Child Abuse Prevention and Treatment Act Amendments, Public Law 104-235; Keeping Children and Families Safe Act of 2003, Public Law 108-36; 42 U.S.C. 5101 et seq.

**OBJECTIVES:**

To assist States in the support and improvement of their child protective services systems.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

States may use the funds for one or more of the 14 purposes specified in the authorizing legislation.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, American Samoa, the Republic of Palau, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

There are no eligibility requirements attached to the beneficiaries of these funds (abused and neglected children and their families).

**Credentials/Documentation:**

State plans require certification of the State's eligibility under Section 106(b) of the authorizing legislation. Applicable costs and administrative procedure will be determined in accordance with 45 CFR 74 and 92.

**Preapplication Coordination:**

Technical assistance is available at the regional level to assist States in meeting conditions specified in the Act. The five-year State plan application and approval process under CAPTA is consolidated with comprehensive Child and Family Services Plan under Title IV-B of the Social Security Act. The State plan may be submitted in a format best suited to a State's need and must be accompanied by the information, certifications, assurances, and documentation required by the annual program instruction. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs" for State plan consolidation and simplification only. The review and comment provisions do not apply. The application process is governed by the requirements of 45 CFR 74 and 92.

**Application Procedure:**

State plans and updates must be submitted to the Regional Offices. Complete information is furnished annually to the appropriate State office regarding format and timing of State plan applications and updates.

**Award Procedure:**

State plans and updates are reviewed at the Regional level; Children's Bureau Regional Program Managers have approval/disapproval authority for these grants.

**Deadlines:**

As described in the Annual Program Instruction. Contact Regional Offices for details.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

None.

**Renewals:**

Grants are made annually. States submit a five-year plan and annual updates are required each year.

**Formula and Matching Requirements:**

No matching requirements. The statistical factor used for fund distribution is the population of children under 18 in each State. Data are provided by "Current Population Reports."

**Length and Time Phasing of Assistance:**

Grants are awarded annually.

**Reports:**

Financial data and annual reporting requirements are described in annual Program Instructions.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR Parts 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 07 \$27,007,000; FY 08 \$26,535,000; and FY 09 est \$26,535,000.

**Range and Average of Financial Assistance:**

In FY 2007, grants ranged from \$55,752 to \$3,196,791 and the average award was \$482,484. For FY 2008 and FY 2009, grants are expected to range from \$55,639 to \$3,135,352.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 56 grants were awarded to States to support and improve their State child protective services systems. It is anticipated that 56 grants will be awarded in FY 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 45 CFR 1340; annual Program Instruction.

**Regional or Local Office:**

Children's Bureau Regional Program Managers.

**Headquarters Office:**

Emily Cooke, Children's Bureau, 1250 Maryland Avenue S.W., 8th Floor, Washington, DC 20024. Telephone: (202) 205-8709.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600, Head Start; 93.643, Children's Justice Grants to States; 93.645, Child Welfare Services State Grants; 93.667, Social Services Block Grant; 93.670, Child Abuse and Neglect Discretionary Activities; 93.671, Family Violence Prevention and Services/Grants for Battered Women's Shelters Grants to States and Indian Tribes.

**EXAMPLES OF FUNDED PROJECTS:**

Grants to 51 States and five Territorial governments for one or more of the following purposes: (1) The intake, assessment, screening, and investigation of reports of abuse and neglect; (2) creating and improving the use of multidisciplinary teams and interagency protocols to enhance investigations, and improving legal preparation and representation; (3) case management, on-going case monitoring, and delivery of services and treatment provided to children and their families; (4) enhancing the general child protective system by developing, improving, and implementing risk and safety assessment tools and protocols; (5) developing and updating systems of technology that support the program and

track reports of child abuse and neglect from intake through final disposition and allow interstate and intrastate information exchange; (6) developing, strengthening, and facilitating training including (A) training regarding research-based strategies to promote collaboration with the families; (B) training regarding the legal duties of such individuals; and (C) personal safety training for caseworkers; (7) improving the skills, qualifications, and availability of individuals providing services to children and families, and the supervisors of such individuals, through the child protection system, including improvements in the recruitment and retention of caseworkers; (8) developing and facilitating training protocols for individuals mandated to report child abuse or neglect; (9) developing and facilitating research-based strategies for training individuals mandated to report child abuse or neglect; (10) developing, implementing, or operating programs to assist in obtaining or coordinating necessary services for families of disabled infants with life-threatening conditions; (11) developing and delivering information to educate the public on the role and responsibilities of the child protection system and the nature and basis for reporting suspected incidents of child abuse and neglect; (12) developing and enhancing the capacity of community-based programs to integrate shared leadership strategies between parents and professionals to prevent and treat child abuse and neglect at the neighborhood level; (13) supporting and enhancing interagency collaboration between the child protection system and the juvenile justice system for improved delivery of services and treatment; and (14) supporting and enhancing collaboration among public health agencies, the child protection system, and private community-based programs to provide child abuse and neglect prevention and treatment services (including linkages with education systems) and to address the health needs, including mental health needs, of children identified as abused or neglected.

**CRITERIA FOR SELECTING PROPOSALS:**

States which submit State plans and updates in accordance with the annual updates and statutory requirements.

**93.670 CHILD ABUSE AND NEGLECT DISCRETIONARY ACTIVITIES**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act, Title I, as amended, Public Law 93-247; Child Abuse Prevention, Adoption and Family Services Act of 1988, as amended; Title I, Public Law 100-294, as amended; Public Law 101-266, Public Law 101-645, and Public Law 102-295, Keeping Children and Families Safe Act, Public Law 108-36,42 U.S.C. 5101 et seq.

**OBJECTIVES:**

To improve the national, State, community and family activities for the prevention, assessment, identification, and treatment of child abuse and neglect through research, demonstration, service improvement, evaluation of best practices, dissemination of information, and technical assistance.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts).

**USES AND USE RESTRICTIONS:**

Grants or Contracts are provided for: (1) Technical assistance to public and private nonprofit agencies; (2) research and service demonstration projects to identify, assess, prevent, and treat child abuse and neglect; (3) research into the incidence, consequences, and prevalence of child abuse and neglect; and (4) for the dissemination of information on the incidence, causes, prevention and treatment of child abuse and neglect.

**Applicant Eligibility:**

Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations) engaged in activities related to the prevention, identification, and treatment of child abuse and neglect. Contracts: Public and private agencies.

**Beneficiary Eligibility:**

Abused and neglected children and their families.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations.

**Preapplication Coordination:**

Standard application forms as furnished by DHHS must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Announcement of availability of funds is published on grants.gov and the ACF web-site, www.acf.hhs.gov/grants/open. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of nonfederal professionals with expertise in the child abuse and neglect field. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF). Contract proposals are reviewed by a panel of Federal staff.

**Deadlines:**

Deadlines change from year to year. Each program announcement provides specific deadline information. Contact Headquarters Office for details.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Some projects are awarded with a provision for non-competitive renewal. Most grants are one-time awards. Renewals may be subject to a competitive process.

**Formula and Matching Requirements:**

Matching requirements are described in each program announcement.

**Length and Time Phasing of Assistance:**

Grants are generally available for a 12, 24, 36 or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Reports:**

Financial and program reports are required semiannually with a final report at completion of the project.

**Audits:**

Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants and Contracts) FY 07 \$25,780,000; FY 08 \$37,135,000; FY 09 est \$37,135,000. (Note: The funds in this program are also available for contracts. The amounts for contracts cannot be predetermined.)

**Range and Average of Financial Assistance:**

\$149,266 to \$2,000,000; \$537,083.

**PROGRAM ACCOMPLISHMENTS:**

48 grants were awarded in Fiscal Year 2007 and 66 grants are anticipated for Fiscal Year 2008 and an estimated 53 grants in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jan Shafer, Director, Research and Innovation Division, Children's Bureau, 1250 Maryland Avenue S.W., Washington, DC 20024, 8th Floor. Telephone: (202) 205-8172.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600, Head Start; 93.643, Children's Justice Grants to States; 93.648, Child Welfare Services Training Grants; 93.669, Child Abuse and Neglect State Grants; 93.645, Child Welfare Services\_State Grants; 93.947.

**EXAMPLES OF FUNDED PROJECTS:**

National Resource Center for Community Based Child Abuse Prevention Programs; National Resource Center on Child Protective Services; Systems of Care grants to improve child welfare outcomes; Replications of Demonstrated Effective Practices in the Prevention of Child Abuse and Neglect; Longitudinal Research on Child Abuse and Neglect.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the annual program announcement including, but not limited to: (1) Reasonableness of cost; (2) qualifications of staff; and (3) relevance to stated areas of interest.

**93.671 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS-GRANTS TO STATES AND INDIAN TRIBES**

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Title III, Child Abuse Amendments of 1984, Public Law 98-457, 42 U.S.C. 10401 et seq.; Family Violence Prevention and Services Act(FVPSA) of 1986, as amended; Child Abuse Prevention, Adoptions, and Family Services Act of 1988, Public Law 100-294; Public Law 102-295; Violent Crime Control and Law Enforcement Act, Public Law 103-322; Child Abuse Prevention and Treatment Act (CAPTA) OF 1996, Public Law 104-235; Victims of Trafficking and Violence Protection Act, Public Law 106-386; Keeping Children and

Families Safe Act of 2003, Public Law 108-36; Violence Against Women Reauthorization Act of 2005, Public Law 109-162.

**OBJECTIVES:**

To assist States and Indian Tribes in the prevention of family violence and the provision of immediate shelter and related assistance for victims of family violence and their dependents.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Federal funds are used by States for grants to local public agencies and nonprofit private organizations to prevent incidents of family violence and to provide immediate shelter and related assistance to victims of family violence. States must give special emphasis to the support of community-based projects of demonstrated effectiveness carried out by nonprofit private organizations, particularly those projects where the primary purpose is to operate shelters for victims of family violence, and those which provide counseling, advocacy, and self-help services to victims and their children. States and Indian Tribes may not impose an income eligibility standard on individuals receiving services supported by funds appropriated under this Act and Federal funds may not be used as direct payment to any victim of family violence. No less than 70 percent of the funds distributed must be used for immediate shelter and related assistance, and no less than 25 percent for related assistance.

**Applicant Eligibility:**

The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and federally recognized Indian Tribes.

**Beneficiary Eligibility:**

This program will benefit victims of family violence and their dependents.

**Credentials/Documentation:**

States and Indian Tribes must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR, Parts 74 and 92.

**Preapplication Coordination:**

Grants to States are covered under E.O. 12372 for State plan consolidation and simplification only. Federally-recognized Indian tribes are exempt from all provisions and requirements of E.O. 12372.

**Application Procedure:**

Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Contact Headquarters Office listed below for further information.

**Award Procedure:**

Formula grants are awarded directly to States, U.S. territories and insular areas, and eligible Indian Tribes.

**Deadlines:**

For deadlines please contact Headquarters Office listed below for further information.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Department Appeals Board.

**Renewals:**

None.

**Formula and Matching Requirements:**

(1) Each State shall be allotted for payment in a grant authorized under section 303(a), \$600,000, with the remaining funds to be allotted to each State in an amount that bears the same ratio to such remaining funds as the population of such State bears to the population of all States; (2) Guam, American Samoa, the United States Virgin Islands, and the Commonwealth of the Northern Mariana Islands shall be allotted not less than one eighth of 1 percent of the amounts available for grants under section 303(a) for the fiscal year for which the allotment is made; and (3) to carry out section 303(b) the Secretary shall make available not less than 10 percent of such amounts to make grants to Indian Tribes, tribal organizations and nonprofit private organizations approved by an Indian Tribe. No grant may be made to any entity other than a State or an Indian Tribe unless the entity provides for the following non-Federal matching local share: with respect to an entity operating an existing program under this title, not less than 20 percent, with respect to a new program under this title, not less than 35 percent. The local share maybe cash or in-kind, may not include any Federal funds other than provided under this title.

**Length and Time Phasing of Assistance:**

State allocations must be (expended) by States and Indian tribes by the end of the fiscal year following the fiscal year in which the grant was received.

**Reports:**

Fiscal and program reports are required annually.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that

year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain records documenting the purposes for which expenditures were made. Requirements are found in 45 CFR 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Grants) FY 07 \$99,784,800; FY 08 \$98,041,600; and FY 09 est \$98,041,600.

**Range and Average of Financial Assistance:**

States: \$694,424 to \$7,284,240; Indian Tribes: \$26,709 to \$2,337,036.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, 234 grants were made to States and Indian Tribes for immediate shelter and related assistance. Support continued for shelters in rural and underserved areas, special programs for children of victims of family violence, support for public awareness programs to break the cycle of violence, and demonstration of service models that address elder abuse. The same services will be provided in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. Final Rulemaking was published February 22, 1996, at 45 CFR 1370.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouise Kelley, Family and Youth Services Bureau, Administration on Children, Youth and Families, 1250 Maryland Avenue, SW, Suite 8216 Washington, DC, 20024. Telephone: (202) 401-5756. FTS is not available.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.044, Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.556, Promoting Safe and Stable Families; 93.612, Native American Programs; 93.645, Child Welfare Services State Grants; 93.667, Social Services Block Grant; 93.669, Child Abuse and Neglect State Grants.

**EXAMPLES OF FUNDED PROJECTS:**

States determine the sub-State services and activities to be funded. These may include funding for shelters for victims of family violence, counseling and self-help services, and projects to address elder abuse.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State and eligible jurisdiction, including eligible federally-recognized Indian Tribes, will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.674 CHAFEE FOSTER CARE INDEPENDENCE PROGRAM**

(CFCIP)

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Sections 471, 472, 474, 475, and 477 of Title IV-E; Public Law 106-169; Foster Care Independence Act of 1999, Title I; Promoting Safe & Stable Families Amendments of 2001, Public Law 107-133.

**OBJECTIVES:**

To assist States and localities in establishing and carrying out programs designed to assist foster youth likely to remain in foster care until 18 years of age and youth who have left foster care because they attained 18 years of age, have not yet attained 21 years of age, to make the transition from foster care to self-sufficiency.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Grants may be used to assist youth: to make the transition to self-sufficiency; to receive education, training and related services; to prepare for and obtain employment; to prepare for and enter post secondary training and educational institutions; to provide personal and emotional support to youth through mentors and the promotion of interactions with dedicated adults; and to provide financial, housing, counseling, employment, education, other appropriate support and services to current and former foster care recipients up to the age of 21.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico.

**Beneficiary Eligibility:**

Children and youth "who are likely to remain in foster care" and former foster care recipients up to age 21.



**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92.

**Preapplication Coordination:**

Applications must include the information and assurances required from the States. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications must be submitted by a State to the appropriate Regional Administrator for the Administration for Children (ACF).

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's annual allotment.

**Deadlines:**

June 30, of each year.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None.

**Formula and Matching Requirements:**

Each state is allotted an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Data submitted by States into the Adoption and Foster Care Analysis and Reporting System's (AFCARS) national database will be used to calculate State allotments. The Federal government will pay 80 percent of the total amount of funds expended by the States (less any penalties) up to the amount of CFCIP funds allotted to the State. The State must provide matching contributions to cover the additional 20 percent of the costs.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis.

**Reports:**

States are required to submit expenditure reports and annual program reports.

**Audits:**

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

States are required to maintain supporting documentation of activities and adequate fiscal records.

**Account Identification:**

75-1545-0-1-609.

**Obligations:**

(Formula Grants) FY 07 \$139,950,011; FY 08 \$140,000,000; and FY 09 est 140,000,000.

**Range and Average of Financial Assistance:**

\$500,000 to \$20,953,350; \$2,691,363.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 52 grants were made in the mandatory grant program. It is estimated that the same number of grants will be awarded in fiscal years 2008 and 2009. The program also supports Training and Technical Assistance through a National Resource Center and supports evaluation efforts of the program in FY 07, FY 08, and FY 09 for approximately \$2.1 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Instruction (PI) ACYF-CB-PI-01-02, dates February 13, 2001.

**Regional or Local Office:**

Contact Regional Administration for Children and Families. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:**

Pamela Johnson Children's Bureau, Administration for Children and Families, 1250 Maryland Avenue, S.W., Washington, DC 20024, 8th Floor. Telephone: (202) 205-8086.

**Web Site Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.550, Transitional Living for Homeless Youth; 93.556, Promoting Safe and Stable Families; 93.645, Child Welfare Services\_State Grants; 93.658, Foster Care Title IV-E.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

States meeting requirements for entitlement funds will receive grants.

## 93.676 UNACCOMPANIED ALIEN CHILDREN PROGRAM

**FEDERAL AGENCY:**

ADMINISTRATION FOR CHILDREN AND FAMILIES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, Section 462.

**OBJECTIVES:**

The Unaccompanied Alien Children (UAC) program was transferred to ORR from the Department of Homeland Security (DHS) on March 1, 2003, pursuant

to section 462 of the Homeland Security Act. The program is designed to provide for the care and placement of unaccompanied alien minors who are apprehended in the U.S. by Homeland Security agents, Border patrol officers, or other law enforcement agencies and are taken into care pending resolution of their claims for relief under U.S. immigration law or released to adult family members or responsible adult guardians. Resolution of their claims may result in release, granting of an immigration status (such as special immigrant juvenile or asylum), voluntary departure, or removal.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant and/or contract. Services may be provided only to unaccompanied alien children who are apprehended by agents of the Bureau of Border Security, Bureau of Citizenship and Immigration Services (BCIS), or other law enforcement agencies.

**Applicant Eligibility:**

State and local governments, private non-profit organizations, and private for-profit organizations.

**Beneficiary Eligibility:**

Beneficiaries are unaccompanied alien children who are in Federal custody by reason of their immigration status.

**Credentials/Documentation:**

Cost principles for private nonprofit organizations will be determined by OMB Circular No. A-122. Cost principles for state and local governments are found under OMB Circular No. A-87. Cost principles governing private for-profit organizations are found under OMB Circular No. A-76.

**Preapplication Coordination:**

ORR may enter into contracts or grants after full and open competition pursuant to regulations. However, special regulations permit other than full and open competition under any of the following circumstances: only one responsible source and no other supplies or services will satisfy agency requirements, expert services, unusual and compelling urgency, international agreement, national security, public interest, and authorized or required by statute. Any exemption requires documentation by the grants or contracting officer of the justification for any one of the circumstances listed above. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications submitted in response to program announcements under this program will undergo a pre-review to determine if applicant is eligible for funding.

**Award Procedure:**

Applications found to be eligible for funding will undergo an evaluation by an independent review panel. In the case of emergency, staff will review on the basis of specific evaluation criteria to determine applicant qualification based upon published review criteria, quality of services to be rendered, and the likelihood of the program success.

**Deadlines:**

The Director may invite applications, if necessary, due to unusual and compelling urgency of unaccompanied alien children apprehended by border patrol officers, BCIS agents or other law enforcement agencies. Deadlines for applications are noted in notices of funds of availability. Generally, the deadline for grant applications is 60 days after posting of the notice of funds availability.

**Range of Approval/Disapproval Time:**

It is anticipated that the approval/disapproval time will not exceed 30 days in urgent situation, and will not exceed 90 days in normal application situation.

**Appeals:**

Not applicable.

**Renewals:**

Contingent upon appropriations, grantee performance, and whether continuation of funding is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Grant awards are made on an as needed basis, and on an annual budget basis.

**Reports:**

Monthly progress reports of placements are required. Progress and financial reports are required, usually on a quarterly or semi-annual basis. Final program and financial reports summarizing the activities and accomplishments of the program in relation to the approved goals and objectives are also required.

**Audits:**

Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants, contracts, and other agreements. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from federal audit

requirements, but records must be available for review by appropriate officials of the Federal grantor agency or sub-granting entity.

**Records:**

Grant and contract recipients are required to keep all financial, business, and program reports necessary for program review and audit during the project period and for three years after the end of the project period to ensure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-506.

**Obligations:**

(Grants) FY 07 \$77,231,000; FY 08 \$95,088,000; and FY 09 est \$86,395,000 plus the projected carryover.

**Range and Average of Financial Assistance:**

In FY 2007, 28 grants were awarded. In FY 2008, it is estimated that 26 grants will be awarded. In FY 2009, it is estimated that 29 grants will be awarded.

**PROGRAM ACCOMPLISHMENTS:**

Program served 8,212 children in FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements can be found at <http://www.acf.hhs.gov/programs/orr>. All inquiries should be directed to the information contact listed below.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Maureen Dunn, Director, Division of Unaccompanied Children Services, Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, 8th Floor, West, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-5523; (202) 401-1022 fax.

**Web Site Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566, Refugee and Entrant Assistance\_State Administered Programs; 93.576, Refugee and Entrant Assistance\_Discretionary Grants.

**EXAMPLES OF FUNDED PROJECTS:**

In FY 2007, ORR funded 28 agencies to provide placements in shelter care for unaccompanied alien children who are in Federal custody by reason of their immigration status. Additionally, 4 contracts and 4 interagency agreements were implemented. It is anticipated that, in FY 2007 and FY 2008, continuation of the provision of services will be provided by grantees for the unaccompanied alien children who are in care at any given time. The types of care currently include foster care, shelter care, and medical services.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of criteria for program funds can be found at <http://www.acf.hhs.gov/programs/orr>. Please refer to the Contact section for information.

**93.760 RURAL PACE (PROGRAM OF ALL-INCLUSIVE CARE FOR THE ELDERLY) PROVIDER GRANT PROGRAM**

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 5302 of Public Law 109-171, the Deficit Reduction Act of 2005.

**OBJECTIVES:**

To provide services in a geographic service area that is, in whole or in part, a rural area that has received a site development grant under this Section.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved projects in accordance with Section 5302 of the Public Law 109-171. In the Deficit Reduction Act, a rural PACE provider site is defined as a PACE provider that has been approved to provide services in a geographic service area that is, in whole or in part, a rural area that has received a site development grant under this section. Thus, the statute definition of a rural area as defined in section 1886(d)(2)(D) of the Social Security Act states that a rural area would be a county that is not part of a Metropolitan Statistical Area (MSA)(as defined by the Office of Management and Budget) as established for Medicare Inpatient PPS payments.

**Applicant Eligibility:**

This grant opportunity is open to (1) any PACE provider that demonstrates meeting the required definition as set out in the Social Security Act and; (2) is eligible to serve in a rural area as a rural PACE pilot site as defined in the Social Security Act. To meet the qualification of a PACE provider, an applicant must meet the definitions established in sections 1894(a)(3) or 1934(a)(3) of the Social Security Act. The Act defines a PACE provider as being a public or private, nonprofit entity organized for charitable purposes under 501(3)(c) of the Internal revenue code of 1986; and has entered into a PACE program agreement

with respect to its operation of a PACE program as defined in 1894(a)(2) and 1924(a)(2) of the Social Security Act. In addition to meeting the definitions of a PACE provider, the law also requires that each potential applicant meet the full statutory definition of a rural area.

**Beneficiary Eligibility:**

The medical, social and long-term care needs are met under this initiative and will benefit the elderly Medicaid beneficiaries who reside in rural areas.

**Credentials/Documentation:**

Each provider organization may only submit one application per county of interest by the due date. All additional applications submitted for this solicitation that are in excess of this requirement or that are received after the submission date will not be reviewed by CMS.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

CMS will publish grant solicitation on [grants.gov](http://grants.gov) in early June of each fiscal year. Information about the Rural PACE grant may be accessed at <http://www.cms.hhs.gov/pace>. A complete electronic application package, including all required forms for this grant is available at <http://www.grants.gov>. Standard application forms and related instructions are also available from Nicole Nicholson, Centers for Medicare and Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-5158 or by E-mail: [nicole.nicholson@cms.hhs.gov](mailto:nicole.nicholson@cms.hhs.gov).

**Award Procedure:**

None.

**Deadlines:**

The due date for applications under this grant announcement is tentatively scheduled for June 21 of each fiscal year. Applications will be considered as meeting the deadline if they are received in CMS on or before the due date.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Reviews:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997).

**Records:**

None.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$0; FY 08 \$5,000,000; and FY 09 est \$2,500,000.

**Range and Average of Financial Assistance:**

Floor: \$0; Ceiling \$750,000 for pilot sites and \$500,000 for outlier cost for FY 2006.

**PROGRAM ACCOMPLISHMENTS:**

The Centers for Medicare and Medicaid Services (CMS) grant program, Programs of All-Inclusive Care for the Elderly (PACE) in rural service areas, was initiated through the Deficit Reduction Act of 2005 (DRA) and follows the New Freedom Initiative to develop and provide additional care options in the community while providing more efficient and coordinated care through Medicare and Medicaid. The new Rural PACE Provider Grant Program will provide funds to support the coordination of comprehensive care for some of the most vulnerable Medicare and Medicaid beneficiaries living in rural areas within thirteen states across the country. Each site received \$500,000 to establish a PACE program in their area. CMS awarded the maximum number of grants authorized by the DRA to expand patient-based care to a greater number of people with Medicare and Medicaid who live in rural areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 5302, Public Law 109-171, the Deficit Reduction Act of 2005.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nicole Nicholson, Office of Operations Management, Acquisitions and Grants Group, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop C2-21-15, Baltimore, MD 21244-1850. Telephone: (410) 786-5158.

**Web Site Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.767 STATE CHILDREN'S INSURANCE PROGRAM**

(CHIP; SCHIP)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Balanced Budget Act of 1997, Title XXI, Subtitle J, Section 4901, Public Law 105-33; Public Law 105-100 and Medicare, Medicaid and SCHIP Balanced Budget Refinement Act of 1999 Public Law 106-113, Section 702; Medicare, Medicaid, and SCHIP Benefits Improvement Act of 2000, Title VIII, Section 801, 802, and 803, Public Law 106-554, Public Law 108-74, Public Law 108-127, Public Law 109-171 and Public Law 109-482 and Public Law 110-28.

**OBJECTIVES:**

To provide funds to States to enable them to initiate and expand child health assistance to uninsured, low-income children. Assistance should be provided primarily by two methods: (1) obtain health insurance coverage that meets the requirements in Section 2103 relating to the amount, duration, and scope of benefits; or (2) expand eligibility for children under the State's Medicaid program.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

No State is eligible for payments for child health assistance for coverage provided prior to October 1, 1997. Standards used to determine eligibility may include those related to geographic areas to be served by the plan. Age, income and resources, residency, disability status (as long as the standard does not restrict eligibility), access to or coverage under other health coverage, and duration of eligibility are factors. Standards may not discriminate on the basis of diagnosis. Eligibility standards must not cover higher-income children without covering lower-income children, and must not deny eligibility based on a child having a preexisting medical condition. The State must ensure that only targeted low-income children are furnished child health assistance under the plan. Children found through screening to be eligible for Medicaid are to be enrolled in Medicaid. The insurance provided under the State plan does not substitute for coverage under group health plans. Coordination with other public and private programs providing creditable coverage for low-income children should occur. Child Health Assistance (other than Medicaid), must consist of any of the following: Benchmark coverage; benchmark equivalent coverage (which can be FEHBP-equivalent coverage); State employee coverage or coverage offered through the HMO with the largest insured commercial non-Medicaid enrollment in the State; existing comprehensive State-based coverage; or Secretary-approved coverage. A State child health plan must include a description of the amount (if any) of cost-sharing and must be in accordance with a public schedule. Cost-sharing may be varied in a way that does not favor higher-income children over lower-income children. No cost-sharing is permitted for well-baby and well-child care, including age-appropriate immunizations. Cost-sharing for children at 150 percent of poverty must be consistent with Medicaid; Cost-sharing for children at 150 percent of poverty and above must be based on an income-related sliding scale. The aggregate for all children in a family cannot exceed 5 percent of the family's income. The State child health plan may not impose pre-existing condition exclusions for covered benefits. States that provide for benefits through a group health plan or group health insurance coverage may permit pre-existing condition exclusions as allowed under the applicable Section of the Employee Retirement Income Security Act (ERISA) and the Health Insurance Portability and Accountability Act (HIPAA). Funds provided to a State under this Title may only be used to carry out the purposes of this Title. Health insurance coverage provided may include coverage of abortion only if necessary to save the life of the mother or if the pregnancy is the result of an act of rape or incest. States may spend up to 10 percent of their total SCHIP expenditures (Federal and State) on non-benefit activities, including: outreach conducted to identify and enroll eligible children in SCHIP; administration costs; health services initiatives; and other child health assistance. These expenditures are matched at the enhanced SCHIP matching rate and counted against both the 10 percent limit and the allotment. Monetary amounts provided by the Federal government or services assisted or subsidized to any significant extent by the Federal government, may not be included in determining the amount of nonfederal contributions required for State matching purposes.

**Applicant Eligibility:**

All States and Territories may apply.

**Beneficiary Eligibility:**

Targeted low-income children will benefit. These children are defined (for the purposes of Title XXI) as children who have been determined eligible by the State for child health assistance under their State plan; are low-income children; or are children whose family income exceeds the Medicaid applicable income level but does not exceed 50 percentage points above the Medicaid applicable

income level; and are not found to be eligible for medical assistance under Title XIX or covered under a group health plan or under health insurance coverage. This term does not include a child that is a member of a family that is eligible for health benefits coverage under a State health benefits plan on the basis of a family member's employment with a public agency in the State.

**Credentials/Documentation:**

States and Territories must submit and have approved by the Secretary of DHHS, a State Child Health Plan. Individuals must meet State requirements.

**Preapplication Coordination:**

States are encouraged to work with DHHS in the development of their Title XXI plans. Central and regional office staff from the Centers for Medicare and Medicaid Services (CMS) and the Health Resources Services Administration (HRSA), as well as other DHHS components are available to furnish guidance and technical assistance to a State in preparing their plans. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Title XXI plans and amendments are submitted by the State Governor, or designee, to the CMS Center for Medicaid and State Operations; Families and Children Health Program Group (CMSO/FCHPG). The Title XXI plan should be a stand alone document that fully addresses each relevant Section of the statutory requirements.

**Award Procedure:**

The CMS Administrator exercises delegated authority to approve Title XXI plans and amendments. Letters of approval will be signed by the CMS Administrator.

**Deadlines:**

Under the Law, a State must have an approved State Plan for a fiscal year in order to receive an allotment that year.

**Range of Approval/Disapproval Time:**

Section 2106 of the Law, specifies that a State plan is considered approved unless the Secretary notifies the State in writing, within 90 days after receipt of the plan, that the plan is disapproved (and the reasons for disapproval) or that specific additional information is needed. Informal clarification and discussion between the State and the DHHS review team is permitted and encouraged during the review period. This does not stop the "90-day clock." The 90-day review period may be stopped by formal written requests for additional information and clarification. The 90-day review period may be stopped as many times as necessary to obtain completed information necessary to disapprove or approve the plan. The 90-day period will resume when the finalized additional information is received by CMS.

**Appeals:**

If a State wishes to appeal a disapproval, it may petition for a reconsideration of this decision within 60 days after the date of receipt of the disapproval letter, by submitting a written request for reconsideration to the project officer and the regional office. States also have the option to submit a new application following the disapproval, starting a new 90-day review clock.

**Renewals:**

An approved State child health plan shall continue in effect unless the State amends that plan or the Secretary finds substantial noncompliance of the plan in accordance with the requirements of Title XXI.

**Formula and Matching Requirements:**

Section 2105(b), Title XXI, provides for an "enhanced Federal Matching Assistance Percentage (FMAP)" for child health assistance provided under Title XXI that is equal to the current FMAP for the fiscal year in the Medicaid Title XIX program, increased by 30 percent of the difference between 100 and the current FMAP for that fiscal year. The enhanced FMAP may not exceed 85 percent. The formula for determining the final allotment includes: determining the number of States with approved State Plans as of the end of the fiscal year. In order for a State to receive a final allotment for a fiscal year, CMS must approve the SCHIP State Plan for that State by the end of the fiscal year. Only States with approved State Plans by the end of the fiscal year will be included in the final allotment calculation. States' final allotments will be determined in accordance with the statutory formula that is based on two factors: (1) Number of children (those potentially eligible for SCHIP), and (2) the State cost factor. These factors will be multiplied to yield a final allotment product for each State. Once the final allotment product has been determined for all the States with approved SCHIP plans, the products for each State will be added to determine a national total. Each State's product will be divided by this national total to determine a State specific percentage of the national total available amount for allotment that each State would be eligible to receive. The State specific percentage is then multiplied by the national total amount available for allotment, resulting in the final allotment for each State.

**Length and Time Phasing of Assistance:**

Enrolled children receive medical services as necessary. Federal funds are obligated to the States by issuing Title XXI grant awards. To ensure that all of the appropriated funds are available to States, CMS will issue grant awards to all States with Title XXI State plans approved by the end of the fiscal year equaling the national amount available for allotment to the 50 States, the District of Columbia, and the Commonwealths and Territories for that fiscal year. Grant awards must be issued by the time the CMS/HHS accounting system closes with



respect to that fiscal year.

**Reports:**

Section 2108 of the Law specifies that States must develop annual reports assessing the operation of their State Plan for each fiscal year, including the progress made in reducing the number of uncovered low-income children and report to the Secretary by January 1, of the following year the results of the assessment. By March 31, 2000, each State with a child health plan must submit to the Secretary an evaluation that includes an assessment of the effectiveness of the State Plan in increasing the number of children with creditable health coverage, in increasing the availability of affordable quality individual and family health insurance for children, and in coordinating recommendations for improving the program under this Title. By December 31, 2001, the Secretary must submit to Congress and make available to the public, a report based on the evaluations submitted by the States recommendations and conclusions.

**Audits:**

A State child health plan under Title XXI must include an assurance that the State will afford the Secretary access to any records or information relating to the plan for the purposes of review or audit.

**Records:**

A State child health plan must include an assurance that the State will collect the data, maintain the records, and furnish the report to the Secretary at the times and in standardized format (as the Secretary requires), in order to enable the Secretary to monitor State program administration and compliance and to evaluate and compare the effectiveness of State Plans under this Title.

**Account Identification:**

75-0515-0-1-551.

**Obligations:**

(Grants) FY 07 \$5,940,730,000; FY 08 est \$6,640,000,000; and FY 09 est \$5,315,000,000.

**Range and Average of Financial Assistance:**

The range is from: \$5,753,333 (\$577,500 for the smallest territory) to \$790,789,213 for the States. In the third year following the State allotment fiscal year, under a "redistribution process" CMS will determine the amounts of the unused fiscal year allotments from States that have not expended all of their allotment for that fiscal year and will redistribute the amounts to States that have fully expended the amount of their allotments for that fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidance issued related to the Children's Health Insurance Program may be accessed through the World Wide Web at: [www.cms.hhs.gov/schip](http://www.cms.hhs.gov/schip).

**Regional or Local Office:**

Contact the Regional Administrator, Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for addresses and telephone numbers).

**Headquarters Office:**

Center for Medicaid and State Operations, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Baltimore, MD 21244; Telephone: (410) 786-3870.

**Web Site Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.768 MEDICAID INFRASTRUCTURE GRANTS TO SUPPORT THE COMPETITIVE EMPLOYMENT OF PEOPLE WITH DISABILITIES

(Ticket To Work Infrastructure Grants)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Ticket to Work and Work Incentives Improvement Act of 1999, Section 203, Public Law 106-170.

**OBJECTIVES:**

To support State efforts to enhance employment options for people with disabilities by building Medicaid infrastructure. Funding may be used to develop a Medicaid buy-in, increase availability of Personal Assistance Services, or for State-to-State technical assistance. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

While the proposals submitted by the States may vary, States participating in this grant program will use the funds to remove the barriers to employment of persons with disabilities, by creating health systems change through the Medicaid program. The development or enhancement of certain core Medicaid components in each State would enable people with disabilities not only to work, but to sustain adequate health coverage if they find they need to relocate to another State for employment purposes. An adequate personal assistance services benefit and a Medicaid buy-in for employed people with disabilities are significant components of the Ticket to Work and Work Incentives Improvement Act. The infrastructure grants program provides money to the States to develop these core elements. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities. Funds may not be used for the direct provision of services to people with disabilities except on a one-time, last resort, emergency basis for the purpose of sustaining the individual's competitive employment.

**Applicant Eligibility:**

Either of the following may apply: (a) the single state medicaid agency; or (b) any other agency or instrumentality of a state(as determined under State law) in partnership, agreement and active participation with the single state medicaid agency, the State Legislature, or the office of the Governor.

**Beneficiary Eligibility:**

There are two groups of potentially eligible beneficiaries, as defined by the Ticket to Work and Work Incentives Improvement Act of 1999. The first group consists of persons with disabilities between the ages of 16 and 65 years old, employed, and who meet income, asset, and resource standards established by the State. The second group of potential beneficiaries consists of persons between the ages of 16 and 65 years old, employed, and who cease to be eligible for Medical Assistance because of medical improvements determined at the time of a regularly scheduled disability review, but who also continue to have a severe medically determinable impairment.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency or its partner agencies or instrumentality's. Individuals must meet State requirements. Administrative cost will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments."

**Preapplication Coordination:**

No preapplications are required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. Application forms are submitted to the Acquisition and Grants Group, CMS, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. This program is subject to the provisions of OMB Circular No. A-102.

**Award Procedure:**

Official notice of approved applications is made through the issuance of a grant award.

**Deadlines:**

Established when program announcements are published in the Federal Register or transmitted to States.

**Range of Approval/Disapproval Time:**

The range is from 100 to 150 days.

**Appeals:**

There are no formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report that will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

No State or local matching funds are required for the infrastructure grants.

**Length and Time Phasing of Assistance:**

CMS announced the first round of infrastructure grant awards in October 2000. This grant program is authorized for 11 years beginning in fiscal year 2001.

**Reports:**

Progress and expenditure reports are required on all projects.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by the DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Grants) FY 07 \$37,074,935; FY 08 \$40,200,000; and FY 09 est \$45,500,000.

**Range and Average of Financial Assistance:**

\$500,000 to \$2,750,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Through FY 2007, a total of 50 entities (49 States and the District of Columbia) have been approved for funding from the Infrastructure Grant Program section 203 since its inception. There are 33 States with Medicaid buy-ins and one additional State has a plan amendment under review. As of September 30, 2006, there were just over 78,402 workers receiving Medicaid benefits under the buy-in options. A total of 26 States and the District of Columbia have applied for and will receive continuation grant awards in FY 2007. Nine States received new competitive grant awards in FY 2006. In addition, five States, South Carolina, Missouri, Iowa, Indiana and Arkansas will continue to carry out employment goals for the working disabled population by spending previous grant awards in FY 2007 through a no-cost extension of funding. Of the \$42.8 million (FY 2007) that has been appropriated for the upcoming grant year, \$34.7 million was granted to the States. The reason for the large discrepancy in the FY 2007 appropriation, and the funding amount is that States are enrolling fewer participants in Medicaid buy-in programs than Congress originally anticipated. Higher levels of funding are legislatively related to the yearly amount of Medicaid buy-in service costs expended by a State.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Group, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Grant applications forms are also available on the CMS website at <http://www.cms.hhs.gov/twwiia/424forms.pdf>.

**Regional or Local Office:**

Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.)

**Headquarters Office:**

Dennis Smith, Director, Center for Medicaid and State Operations, Centers for Medicare and Medicaid Services, Department of Health and Human Services, Room C5-21-17, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-3870.

**Web Site Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.778, Medical Assistance Program; 93.769, Demonstration to Maintain Independence and Employment.

**EXAMPLES OF FUNDED PROJECTS:**

For a description of State specific projects funded under this grant program. Please see our website at [www.cms.gov/twwiia/inf\\_dmap.asp](http://www.cms.gov/twwiia/inf_dmap.asp).

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include: understanding the barriers that impede competitive employment of people with disabilities; the extent to which the proposed infrastructure development will offer enduring and significant improvement in the ability of the system to provide adequate health coverage for people with disabilities and are competitively employed; providing needed personal assistance and other supports, and/or removing other significant employment barriers; the appropriateness of the methods, work plan, budget, and timetable; the qualifications of key staff; and the State's plan for using its grant experiences to identify different or better ways to improve its buy-in or Medicaid services that support the competitive employment efforts of people with disabilities.

**93.769 DEMONSTRATION TO MAINTAIN INDEPENDENCE AND EMPLOYMENT**

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Ticket to Work and Work Incentives Improvement Act of 1999; Public Law 106-170.

**OBJECTIVES:**

To prevent the loss of employment and reliance on cash assistance by individuals at risk for disability. To provide benefits equivalent to those provided by Medicaid, to the categorically needy and to workers who have physical or mental impairments that, without medical assistance, will result in a disability.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

These demonstration grants will enable States to assist working individuals by providing the necessary benefits and services required for people to manage the progression of their conditions and remain employed. Federal funds paid to the States under this demonstration must be used to supplement, but not supplant, State funds expended for workers with potentially severe disabilities at the time the demonstration project is approved.

**Applicant Eligibility:**

All States are eligible to apply.

**Beneficiary Eligibility:**

Eligible beneficiaries are workers with potentially severe disabilities who are: (a) At least 16 but less than 65 years of age, (b) have specific physical or mental impairments identified by the State that are reasonably expected to lead to blindness or disability (as defined under Section 1614(a) of the Social Security Act, and (c) are employed.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency or its partner agencies. Individuals must meet State requirements. Administrative costs will be determined in Accordance with OMB Circular No. A-87, "Cost Principles for State and Local Government."

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Demonstration proposals must be submitted by the Single State Medicaid Agency and funds will be distributed only to the Single State Medicaid Agency. States are limited to one overall demonstration proposal.

**Application Procedure:**

The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. Application forms are submitted to the Acquisition and Grants Group, CMS, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. This program is subject to the provisions of OMB Circular No. A-102.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Grant Award.

**Deadlines:**

Established when program announcements are published in the Federal Register or transmitted to States.

**Range of Approval/Disapproval Time:**

From 100 to 150 days.

**Appeals:**

There are formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report that will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

Funding will be distributed to the demonstration States as quarterly payments equal to the Federal medical assistance percentage of the expenditures of the States on medical assistance provided to workers with potentially severe disabilities at the normal service match rate. Administrative expenses will be paid with 100 percent demonstration funding.

**Length and Time Phasing of Assistance:**

While there are no restrictions precluding States from proposing demonstrations that operate for less than the total length of the demonstration, scoring preference will be given to States that propose to participate for the duration of the demonstration. Funding for the demonstration is available from fiscal year 2001 through fiscal year 2006. If any Federal funding remains available after 2006, payments may be made to the States until funding is depleted or through fiscal year 2009.

**Reports:**

Reports of progress and expenditures are required on all projects.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Grants) FY 07 \$36,079,635; FY 08 \$2,000,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

\$284,253 to \$3,980,308; \$2,132,280.

**PROGRAM ACCOMPLISHMENTS:**

Under the section 204 grant program, seven States (Rhode Island, Texas, Mississippi, Louisiana, Kansas, Hawaii and Minnesota) and the District of Columbia have been awarded Demonstration to Maintain Independence and Employment grant funding since the program's inception. States implementing demonstration grant programs will provide Medicaid-equivalent services to targeted populations of working individuals with disabilities. The demonstration projects will be used to evaluate the impact of providing Medicaid benefits to a working person with a potentially severe disability. The State demonstration projects cover individuals with all types of disabilities including HIV/AIDS, and

various mental illnesses. In FY 2006, a total of almost \$73 million was obligated for the section 204 program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Office of Acquisition and Grants Group, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Grant application forms are also available on the CMS website at <http://www.cms.hhs.gov/twviiia/424forms.pdf>.

**Regional or Local Office:**

Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices).

**Headquarters Office:**

Dennis Smith, Director, Center for Medicaid and State Operations, Centers for Medicare and Medicaid Services, Department of Health and Human Services, Room C5-21-17, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-3870. FTS is not available.

**Web Site Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.778, Medical Assistance Program; 93.779, Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations; 93.768, Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities.

**EXAMPLES OF FUNDED PROJECTS:**

Projects approved so far will cover the HIV/AIDS, multiple sclerosis, and bi Polar/schizophrenia populations. People enrolled in these demonstration programs will receive Medicaid equivalent services and will participate in an evaluation to determine if the provision of medical services delay the onset of disability and extends the duration for which a person can work.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include: the applicant's proposed strategy to achieve each of the outcomes identified by the applicant, including capability to identify a study population, conduct outreach and enroll individuals; whether the particular Medicaid equivalent benefits and services will be advantageous if provided to demonstration participants; the methodology for evaluation of its demonstration project that adequately measures its effectiveness; the adequacy of measures of the demonstration outcomes; and compliance with all reporting requirements.

## 93.770 MEDICARE-PRESCRIPTION DRUG COVERAGE

(Medicare Part D)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Authorized under the Medicare Prescription Drug, Improvement and Modernization Act of 2003, Public Law 108-173, as Section 1860D of the Social Security Act.

**OBJECTIVES:**

To provide prescription drugs to Medicare beneficiaries through their voluntary participation in prescription drug plans, with an additional subsidy provided to lower-income beneficiaries.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Payments will be made to participating prescription drug plans.

**Applicant Eligibility:**

A non-governmental entity organized and licensed under State law as a risk-bearing entity eligible to offer health insurance in each State in which it is to offer a plan, meeting the requirements in 42 CFR 423.504 and 42 CFR 423.505.

**Beneficiary Eligibility:**

Individuals who are entitled to Medicare benefits under Part A or enrolled in Part B, who reside in the plan's service area, and who are not enrolled in a Medicare Advantage plan, other than a Medicare savings account plan or private fee-for-service plan that does not provide qualified prescription drug coverage.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Potential sponsors apply to CMS to become an approved prescription drug plan. Generally, individuals enroll directly with the prescription drug program sponsor. The sponsor forwards the enrollment and eligibility information to CMS, which verifies eligibility for the drug benefit. Some individuals who are entitled to both Medicare and Medicaid have been enrolled automatically. Low income beneficiaries may complete a subsidy application at any Social Security office or through their State Medicaid office.

**Award Procedure:**

Payment will be made by CMS to the prescription drug plan sponsors.

**Deadlines:**

Beneficiaries must enroll according to the enrollment periods specified in 42 CFR 423.38. Plans must submit bids by the first Monday in June of the year proceeding the calendar year they wish to participate.

**Range of Approval/Disapproval Time:**

Up to six months for plan sponsors.

**Appeals:**

Sponsors whose applications to become a prescription drug plan sponsor are rejected have the right to a reconsideration and appeal process. Beneficiaries have the right to a reconsideration and appeal process for adverse coverage determinations.

**Renewals:**

Contracts with sponsors may be renewed annually. Beneficiaries may enroll and disenroll from plans according to the timeframes established in 42 CFR 423.30-423.46.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Indefinite.

**Reports:**

Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Also, reports as required under the Employee Retirement Income Security Act of 1974.

**Audits:**

Periodic audits of plans by HHS, the Comptroller General or their designees. Periodic audits by CMS and the HHS Office of Inspector General (OIG) of plan cost reporting. Audit by CMS of financial records of at least one-third of participating plans every year.

**Records:**

None.

**Account Identification:**

75-8308-0-7-571.

**Obligations:**

(Benefit Outlays) FY 07 \$49,103,284,000; FY 08 est \$45,087,000,000; and FY 09 est \$54,815,000,000.

**Range and Average of Financial Assistance:**

Determined by plan offerings, number of enrollees and utilization.

**PROGRAM ACCOMPLISHMENTS:**

As of January 30, 2007, approximately 39 million enrollees had comprehensive drug coverage.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program were authorized under Section 1860D of the Social Security Act, as enacted under Public Law 108-173, and were published on January 21, 2005.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Eligibility and enrollment: Lynn Orlosky, Centers for Medicare and Medicaid Services, Department of Health and Human Services, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-9064. Benefits and beneficiary protections: Vanessa Duran, Centers for Medicare and Medicaid Services, Department of Health and Human Services, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (214) 767-6435. Plan bidding process: Mark Newsom, Centers for Medicare and Medicaid Services, Department of Health and Human Services, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-3198.

**Web Site Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.773, Medicare\_Hospital Insurance; 93.774, Medicare\_Supplementary Medical Insurance; 93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.773 MEDICARE-HOSPITAL INSURANCE

(Medicare Part A)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act Amendments of 1965, Title XVIII, Part A, Public Law 89-97, as amended, Public Laws 90-248, 92-603, 93-233, 94-182, 94-437 and 95-292, 42 U.S.C. 1395 et seq.; Social Security Disability Amendments of 1980, Public Law 96-265; Public Law 97-248; Section 1, Public Law 98-21; Subtitle



A, Public Law 98-369; Public Law 98-460, 99-177, 99-272, 99-509, and 100-203, 42 U.S.C. 1305 Note; Medicare Catastrophic Coverage Repeal Act of 1988, Title I, Subtitles A and B, and Title IV, Subtitle B and C, Public Law 100-360; Catastrophic Coverage Repeal Act of 1989, Public Law 101-234; Omnibus Budget Reconciliation Act of 1989, Title VI, Subtitle A, Public Law 101-239; Omnibus Budget Reconciliation Act of 1990, Public Law 101-508; Omnibus Budget Reconciliation Act of 1993, Public Law 103-66; Social Security Act Amendments of 1994, Public Law 103-432; Contract with America Advancement Act of 1996, Public Law 104-121; Health Insurance Portability and Accountability Act of 1996, Public Law 104-191; Balanced Budget Act of 1997, Public Law 105-33; Balanced Budget and Refinement Act of 1999, Public Law 106-113; Medicare, Medicaid, and SCHIP Benefits Improvement and Protection Act of 2000, Public Law 106-554; Medicare Prescription Drug, Improvement and Modernization Act of 2003, Public Law 108-173. Deficit Reduction Act of 2005, Public Law 109-171; Tax Relief and Health Care Act of 2006, Public Law 109-432.

**OBJECTIVES:**

To provide hospital insurance protection for covered services to persons age 65 or above, to certain disabled persons and to individuals with chronic renal disease.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Hospital insurance benefits are paid to participating and emergency hospitals, skilled nursing facilities, home health agencies, and hospice agencies to cover the prospective payment amount or reasonable cost of medically necessary services furnished to individuals entitled under this program.

**Applicant Eligibility:**

Persons age 65 or over and certain disabled persons are eligible for hospital insurance protection. Nearly everyone who reached 65 before 1968 is eligible for hospital insurance, including people not eligible for cash Social Security benefits. A person reaching age 65 in 1968 or after, who is not eligible for cash benefits, needs some work credit to qualify for hospital insurance benefits. The amount of work credit needed depends on age. Hospital insurance (Medicare Part A) is also available to persons, age 65 or over, not otherwise eligible through payment of a monthly premium which is currently \$393. A reduced Part A premium of \$216 per month in 2006 is available to persons with 30 or more quarters paid into the social security system, as well as to their spouse, surviving spouse or divorced spouse. The reduction in Part A premium payments would also apply to the surviving spouse, or divorced spouse of an individual who had at least 30 quarters of coverage under the social security system. Federal employees began contributing toward Medicare hospital insurance coverage beginning January 1983. Employees who worked prior to 1983 and who were employed during January 1983 can receive credit toward establishing Medicare eligibility, if necessary, for prior non-contributory quarters of Federal employment. State and local government employees not already in Social Security-covered positions and hired on or after April 1, 1986 also contribute toward Medicare hospital insurance coverage. Although States may request agreements to cover individuals employed prior to April 1, 1986, no credit is given toward establishing Medicare entitlement for prior employment. Persons under age 65, who have been entitled for at least 24 months to Social Security disability benefits, or for 29 consecutive months to railroad retirement benefits based on disability, are eligible for hospital insurance benefits.

**Beneficiary Eligibility:**

Persons age 65 or over and qualified disabled persons.

**Credentials/Documentation:**

Proof of age or disability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Telephone or visit the local Social Security Office. Individuals entitled to Social Security or railroad retirement are enrolled without application. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

The individual will be notified by mail of enrollment, whether automatic or applied for.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Telephone or visit the local Social Security Office or Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal Courts.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

20-8005-0-7-571.

**Obligations:**

(Benefit Outlays) FY 07 \$204,535,620,000; FY 08 est \$226,122,000,000; and FY 09 est \$242,234,000,000.

**Range and Average of Financial Assistance:**

Benefits may be paid based on the prospective payment amount or the reasonable costs of covered inpatient hospital services and based on the reasonable costs of covered post-hospital extended care services which are incurred during a benefit period. For benefit periods beginning in calendar year 2008, the beneficiary is responsible for a \$1,024 inpatient hospital deductible, a \$256 per day coinsurance amount for 61 through 90 days of inpatient hospital care, a \$512 per day coinsurance amount for inpatient hospital care during the 60 lifetime reserve days, and a \$128 per day coinsurance amount for days 21 through 100 of care in a skilled nursing facility. Home health services are paid in full.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, 42,684,000 persons were protected. In fiscal year 2007, we estimate that the number of persons protected will be 43,356,000. In fiscal year 2008, the number of persons protected is estimated to be 44,190,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405 and 422; Title 42, Parts 400, 401, 405, 406, 409, 412, 417, and 418. "Medicare and You," SSA-79-10050, and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

Consult Appendix IV of the Catalog for a listing of Regional Offices.

**Headquarters Office:**

Center for Beneficiary Choices, Centers for Medicare and Medicaid Services, Room C5-19-16, 7500 Security Boulevard, Baltimore, MD 21244. Telephone: (410) 786-3418. 1-800-MEDICARE(1-800-633-4227).

**Web Site Address:**

<http://www.medicare.gov> or <http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001, Social Insurance for Railroad Workers; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.774, Medicare\_Supplementary Medical Insurance; 96.001, Social Security\_Disability Insurance; 93.770 Medicare\_Prescription Drug Coverage.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.774 MEDICARE-SUPPLEMENTARY MEDICAL INSURANCE**

(Medicare Part B)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act Amendments of 1965, Title XVIII, Part B, Public Law 89-97, as amended; Public Laws 90-248, 92-603, 93-233, 94-182, 95-210 and 95-292, 42 U.S.C. 1395 et seq.; Social Security Disability Amendments of 1980, Public Laws 96-265 and 97-248; Section 1, Public Law 98-21; Subtitle A, Public Law 98-369, as amended; Public Laws 98-460, 99-272, 99-509, and 100-203, 42 U.S.C. 1305 Note; Medicare Catastrophic Coverage Repeal Act of 1988, Title I, Subtitle B, Title II, Subtitles A and B, Title IV, Subtitle B and C, Public Law 100-360; Medicare Catastrophic Coverage Repeal Act of 1989, Title II, Public Law 101-234; Omnibus Budget Reconciliation Act of 1989, Public Law 101-239; Omnibus Budget Reconciliation Act of 1990, Public Law 101-508; Omnibus Budget Reconciliation Act of 1993, Public Law 103-66; Social Security Act Amendments of 1994, Public Law 103-432; Health Insurance Portability and Accountability Act of 1996, Public Law 104-191; Contract with America Advancement Act of 1996, Public Law 104-121; Balanced Budget Act of 1997, Public Law 105-33; Balanced Budget Refinement Act of 1999, Public Law 106-113; Medicare, Medicaid, and SCHIP Benefits Improvement and Protection Act of 2000, Public Law 106-554; Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-173; Deficit Reduction Act of 2005, Public Law 109-171; Tax Relief and Health Care Act of 2006, Public Law 109-432.

**OBJECTIVES:**

To provide medical insurance protection for covered services to persons age 65 or over, to certain disabled persons and to individuals with end-stage renal disease. Enrollment in Part B is voluntary.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Managed care benefits are paid on the basis of Medicare capitation rates. Fee-for-service benefits are paid on the basis of fee schedules or other approved amounts for services furnished by physicians and other suppliers of medical services to aged or disabled enrollees. Benefits are paid on the basis of prospective payment systems for covered services furnished by participating providers such as hospitals, skilled nursing facilities and home health agencies.

**Applicant Eligibility:**

All persons who are eligible for premium-free hospital insurance benefits (see 93.773), and persons age 65 and older who reside in the United States and are either citizens or aliens lawfully admitted for permanent residence who have resided in the United States continuously during the five years immediately preceding the month in which the application for enrollment is filed, may voluntarily enroll for Part B supplementary medical insurance (SMI). The beneficiary pays a monthly premium and an annual deductible. Beginning in calendar year 2008, the Part B premiums have been set based upon beneficiary income. The calendar year 2008 premiums range from \$96.40 to \$238.40 per month. The annual deductible is \$135.00. Some States and other third parties may pay the SMI PART B premium on behalf of qualifying individuals.

**Beneficiary Eligibility:**

Persons age 65 and over, and persons under age 65 who qualify for hospital insurance benefits.

**Credentials/Documentation:**

Proof of age, disability or lawful admission status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Telephone or visit the local Social Security Office. Most persons entitled to hospital insurance and already receiving benefits from Social Security or the Railroad Retirement Board are enrolled automatically for supplementary medical insurance. Since the program is voluntary, you may decline coverage. Persons not entitled to hospital insurance must file an application. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Certain individuals may enroll during a special enrollment period (SEP) if they are covered under a group health plan (GHP) when first eligible to get Medicare: (1) individuals age 65 or older who are covered under a GHP based on their own or a spouse's current employment; and (2) disabled individuals under age 65 who are covered under a GHP based on their own or any family member's current employment. If the coverage of disabled individuals under age 65 was not through a large group health plan (LGHP), that is, a plan that covers employees of at least one employer that normally employs at least 100 employees, no family member other than a spouse qualifies for a special enrollment period. An SEP enrollment may occur during any month the individual is covered under the GHP based on current employment or, during the eight month period that begins the first month after employment or GHP coverage ends, whichever occurs first. Months of coverage under the GHP based on current employment are excluded from the calculation of the premium surcharge. Individuals may also enroll during the General Enrollment Period (FGEP) that takes place January through March of each year. SMI Part B coverage begins July 1 of the year individuals enroll. There is a 10 percent premium surcharge for each full 12-month period a person could have been enrolled but was not in SMI Part B.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Telephone or visit the local Social Security Office or the Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews, of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal courts.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

20-8004-0-7-571.

**Obligations:**

(Benefit Outlays) FY 07 \$180,941,362,000; FY 08 est \$187,935,000,000; and FY 09 est \$194,351,000,000.

**Range and Average of Financial Assistance:**

Generally, with exceptions for certain services, the beneficiary is responsible for meeting the annual \$135 deductible before benefits may begin. Thereafter, Medicare pays a percent of the approved amount for the covered service. For many services, this percentage is 80 percent. For other services, the percentage that Medicare pays will vary from 100 percent to 50 percent depending upon the category of service.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 40,764,000 persons were enrolled for supplementary medical insurance. In fiscal year 2008, the number of enrollees is estimated to be 41,225,000. In fiscal year 2009, the number of enrollees is estimated to be 41,993,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405, and 422; Title 42, Parts 401, 405, 407, 408, 410, 413, 416, and 417. "Your Medicare Handbook," and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

Consult Appendix IV of the Catalog for listing of Regional Offices.

**Headquarters Office:**

Center for Beneficiary Choices, Centers for Medicare and Medicaid Services, Room C5-19-16, 7500 Security Boulevard, Baltimore, MD 21244. Telephone: (410) 786-3418.

**Web Site Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001, Social Insurance for Railroad Workers; 64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.773, Medicare\_Hospital Insurance; 93.778, Medical Assistance Program; 96.001, Social Security\_Disability Insurance; 93.782, Medicare Transitional Drug Assistance Program for Territories; 93.783, Medicare Transitional Drug Assistance Program for States; 93.770, Medicare\_Prescription Drug Coverage.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.775 STATE MEDICAID FRAUD CONTROL UNITS**

(SMFCU's)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act (The Act), as amended, Title XIX, Section 1903, Public Law 95-142; Public Law 96-499.

**OBJECTIVES:**

To eliminate fraud and patient abuse in the State Medicaid Programs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The statute authorizes 90 percent matching funds for 12 quarters, and 75 percent matching funds thereafter for investigation and prosecution of fraud and patient abuse in the State Medicaid Programs. A unit must be separate and distinct from the single State Medicaid agency. A unit must also employ sufficient professional, administrative and support staff to carry out its duties and responsibilities in an effective and efficient manner.

**Applicant Eligibility:**

An established State Medicaid Fraud Control Unit must be a single identifiable entity of the State government which the Secretary certifies (and the Office of Inspector General annually re-certifies) as complying with the requirements of 1903(q) of the Social Security Act (42 CFR 1007) regarding location, function and procedure. Applicants must also comply with section 1902 (a)(61) of the Act as amended by the Omnibus Budget Reconciliation Act of 1993. Tribes (American Indian/Alaskan Native/Native American) are not eligible to apply.

**Beneficiary Eligibility:**

The State governments will benefit from this program.

**Credentials/Documentation:**

Units must submit applications containing proposed organization, administration, agreements, detailed budgets and procedures for certification of eligibility (see 42 CFR 1007). Costs will be determined in accordance with OMB Circular No. A-87 and 45 CFR 92. Governors in States applying for Federal assistance must approve the application pursuant to 42 CFR 1007.15(a).

**Preapplication Coordination:**

The standard application forms, as furnished by DHHS and required by OMB Circular No. A-102 for State and local governments, must be used for the preapplication coordination. The Inspector General's staff is available to assist with technical development of programs, plans, budget amendments and revisions. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is made in the format prescribed by the Inspector General. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

States are awarded funds based on a detailed description of estimated expenditures needed to support the program.

**Deadlines:**

State expenditure reports are due 30 days following each quarter. A final financial report is due 90 days after the close of the grant year, as required by 45 CFR 92. The annual report and application for re-certification are due 60 days before the end of each 1-year certification period, as required by 42 CFR 1007.

**Range of Approval/Disapproval Time:**

The time required to process an application may take up to 90 days.

**Appeals:**

If the application is not approved, the State may submit an amended application at any time.

**Renewals:**

The application for the annual re-certification must be submitted 60 days prior to the end of each certification period.

**Formula and Matching Requirements:**

States are awarded, through the issuance of a grant award, for 90 percent of their costs for the first 12 quarters, and 75 percent thereafter, computed against a quarterly maximum allowable of the higher of \$125,000, or one-fourth of 1 percent of the sums expended by the Federal, State, or local government in carrying out the State plan under Title XIX of the Social Security Act.

**Length and Time Phasing of Assistance:**

Funds are awarded quarterly based on an approved annual budget and limitations on entitlement. An Electronic Funds Transfer System will be used.

**Reports:**

Quarterly program and financial reports are required.

**Audits:**

HHS/OIG/Office of Audit Services performs periodic audits of the State program as appropriate; the OIG/Office of Evaluation and Inspections performs an annual re-certification review of each SMFCU.

**Records:**

All records are to be retained for 3 years, in accordance with 45 CFR 92.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Grants) FY 07 \$174,800,000; FY 08 est \$186,000,000; and FY 09 est \$195,300,000.

**Range and Average of Financial Assistance:**

\$293,000 to \$39,269,000; \$3,701,580.

**PROGRAM ACCOMPLISHMENTS:**

Forty-nine States and the District of Columbia are certified under this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 1007, 45 CFR 92, OMB Circular No. A-87, and Performance Standards issued September 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon L. Colby, Director, Medicaid Fraud Unit Oversight Division, Office of Evaluation and Inspections, Office of Inspector General, Office of the Secretary, Department of Health and Human Services, Room 5656, Cohen Building, 330 Independence Avenue, S.W., Washington, DC 20201. Telephone: (202) 260-3711. E-mail: Sharon.Colby@oig.hhs.gov.

**Web Site Address:**

<http://www.dhhs.gov>.

**RELATED PROGRAMS:**

93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.776 HURRICANE KATRINA RELIEF****FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Deficit Reduction Act of 2005 (DRA), Subtitle C-Katrina Relief, Section 6201, Additional Federal Payments Under Hurricane-Related Multi-State Section 1115 Demonstrations, Public Law 109-171.

**OBJECTIVES:**

To provide additional Federal payments under Katrina hurricane-related multi-State Section 1115 Demonstrations to reimburse affected States for the nonfederal share of specified medical care hurricane-related expenditures and associated administrative costs, and the total uncompensated care costs for affected States. Also, with respect to Katrina hurricane-related affected counties or parishes in Alabama, Louisiana and Mississippi, to provide the nonfederal share of medical care expenditures furnished to Title XIX and Title XXI individuals under existing State plans. In addition, if approved by the Secretary, funds may be used by the State to restore access to health care in Katrina impacted communities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Demonstration grants will be awarded to States for use in accordance with provisions of their approved Katrina Section 1115 demonstration projects for the nonfederal share or total uncompensated costs of medical care provided for eligible evacuees and affected individuals and associated administrative costs (Section 6201(a)(1)&(2) DRA 2005). Under the demonstration projects, costs are reimbursable to the State for: the nonfederal share cost of services incurred by eligible individuals between August 24, 2005 and June 30, 2006; and the total uncompensated care pool (UCCP) costs for services incurred by eligible individuals between August 24, 2005 and January 31, 2006. For Hurricane Katrina-related affected counties or parishes in Alabama, Louisiana and Mississippi, costs are also reimbursable to the State for the nonfederal share of expenditures, for medical care only, incurred by Title XIX and Title XXI individuals under existing State plans (i.e., not under a Katrina demonstration) beginning August 24, 2005 (Section 6201(a)(3) DRA 2005).

**Applicant Eligibility:**

State: Katrina Section 1115 demonstration approved by CMS, Title XIX and Title XXI participant.

**Beneficiary Eligibility:**

Evacuee/affected individual (i.e., displaced individual) status under the demonstrations is limited to parents, pregnant women, children under age 19, individuals with disabilities, low-income Medicare recipients, low-income individuals in need of long-term care with income levels simplified to reflect home State Title XIX and Title XXI eligibility rules. Evacuee/affected individual status under UCCP's varies by State with the approved UCCP methodology plan. Eligibility for medical costs of individuals under Section 6201(a)(3) DRA 2005, is based on the State's approved Title XIX or Title XXI plan.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency with appropriate approved plans. Individuals must meet State requirements. Administrative costs will be determined in accordance with OMB Circular No. A-87 "Cost Principals for State and Local Governments."

**Preapplication Coordination:**

States are encouraged to work with CMS in the development of their Section 1115 demonstration projects. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of Section 1115 Katrina demonstration plan to CMS. No application required for Section 6201(a)(3).

**Award Procedure:**

Approved States will receive award funds quarterly based on estimates and reconciliations of prior period awards to reported approved nonfederal share and total expenditures, as applicable.

**Deadlines:**

Section 1115 Katrina demonstration plan must be submitted to CMS by January 31 of each fiscal year.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. The nonfederal share paid under this Section shall not be regarded as Federal funds for purposes of Medicaid matching requirements, the effect of which is to provide fiscal relief to the State in which the Medicaid eligible individual originally resided.

**Length and Time Phasing of Assistance:**

Project Period: No payments shall be made under Section 6201(a)(1)(A) or (a)(1)(C) of DRA 2005 for costs of health care provided to an eligible evacuee or affected individual for services for such individual incurred after June 30, 2006.

No payments shall be made under Section 6201(a)(1)(B) or (a)(1)(D) of DRA 2005 for costs of health care incurred after January 31, 2006. No payments may be made under Section 6201(a)(1)(B) or (a)(1)(D) for an item or service that an evacuee or an affected individual has received from an individual or organization as part of a public or private hurricane relief effort. Budget Period:



Appropriated funds are available until expended.

**Reports:**

States must submit fiscal and statistical reports, as required, to CMS.

**Audits:**

The State will afford the Secretary access to any records or information relating to these plans for the purposes of review or audit.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the demonstration shall be retained for at least three years or until resolution of any audit questions.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$370,784,186; FY 08 \$19,064,378; and FY 09 est not available.

**Range and Average of Financial Assistance:**

No current data available.

**PROGRAM ACCOMPLISHMENTS:**

Section 6201 of the Deficit Reduction Act of 2005 (DRA, Public Law 109-171) provides for \$2 billion dollars in additional federal payments under Hurricane Katrina related multi-state section 1115 demonstrations. The legislation indicated specific categories of expenditures for which these funds may be used. Initially, following enactment of the DRA, based on States' FY 2006 estimates of the DRA defined expenditure categories (from States with approved multi-state Hurricane Katrina demonstrations), we provided grant awards totaling \$1.5 billion to 32 States. Although DRA provided for a total of \$2 billion for Katrina relief, we initially held back \$500 million with the intent of obtaining updated State estimates which would inform a subsequent disposition of such funds. Based on updated estimates, CMS determined that for 11 states their initial allocation (of the \$1.5 billion) was not sufficient for their projected FY 2006 expenditures. We issued those states an additional \$363,912,798 in grant authority in late September for total FY 2006 obligations of \$1,863,912,798. The resulting unobligated carryover into FY 2007 was \$136,087,202. Delayed state payment processing of Katrina-related relief provider claims through the fourth quarter of FY 2006 necessitates the issuance of additional grant authority to states for FY 2007. CMS plans to recover an estimated \$450 million from the approximately \$1.9 billion originally obligated in FY 2006 by reconciling each state's FY 2006 grants with actual expenditures reported on the states' cumulative expenditures reports through the 4th quarter FY 2006. CMS will use the \$450 million in estimated prior period recoveries and the FY 2006 unobligated carryover to provide FY 2007 grant authority to the states, as needed for payment of FY 2006 dates of service which are being paid in FY 2007. By reconciling each state's FY 2007 grants with actual expenditures through the 1st quarter FY 2007, we will be able to determine the further disposition of any remaining DRA funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information regarding this program may be accessed through the world wide web at: [www.cms.hhs.gov/emergency](http://www.cms.hhs.gov/emergency).

**Regional or Local Office:**

Contact the Regional Administrator, Centers for Medicare and Medicaid Services (See Appendix IV of the Catalog for addresses and telephone numbers).

**Headquarters Office:**

Contacts: Program questions--Cheryl Powell, Center for Medicaid and State Operations, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop S2-01-16, Baltimore, MD 21244. Telephone: (410) 786-8693. Financial questions--Betsy Hanczaryk, Center for Medicaid and State Operations, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop S3-13-15, Baltimore, MD 21244. Telephone: (410) 786-2013.

**Web Site Address:**

<http://www.cms.hhs.gov> .

**RELATED PROGRAMS:**

93.778, Medical Assistance Program; 93.767, State Children's Insurance Program; 97.088, Disaster Assistance Projects.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.777 STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS AND SUPPLIERS**

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Sections 1863, 1864, 1865, 1902, 1903, and 1919, Title XVIII, as amended.

**OBJECTIVES:**

To provide financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that

providers and suppliers of health care services are in compliance with Federal regulatory health and safety standards and conditions of participation.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds are made available to States for the purpose of inspecting providers and suppliers of health care services, to ensure mandatory adherence to Medicare/Medicaid health and safety standards and conditions. Funds made available under this program are used to support or reimburse State staff for performing survey activities and for State administration of the program.

**Applicant Eligibility:**

Under Title XVIII, States enter into Section 1864 agreements with the Secretary of Health and Human Services whereby the designated agency of the State will be supported or reimbursed for on-site inspection of health care providers and suppliers. The designated State agency is usually that unit performing licensure activities within the State health department. Under Title XIX, the Federal government reimburses States for the Federal Financial Participation share for costs of inspection. Such participation is dependent on an approved State activity plan.

**Beneficiary Eligibility:**

Under Title XVIII, States enter into Section 1864 agreements with the Secretary of Health and Human Services whereby the designated agency of the State will be supported or reimbursed for on-site inspection of health care providers and suppliers. The designated State agency is usually that unit performing licensure activities within the State health department. Under Title XIX, the Federal government reimburses States for the Federal Financial Participation share for costs of inspection. Such participation is dependent on an approved State activity plan.

**Credentials/Documentation:**

States must have an approved State Plan for Title XIX and a signed 1864 Agreement for Title XVIII in order to carry out the survey function. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is subject to statutory provisions. States are required to submit an acceptable State Plan for Title XIX, and sign an 1864 Agreement for Title XVIII. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States submit an acceptable State Plan (Title XIX) and sign an 1864 Agreement (Title XVIII) for support of Medicare/Medicaid survey and certification activities. Budget proposals and estimated expenditures must comply with OMB Circular No. A-87 cost principles and regulatory guidelines. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

States are provided a quarterly award based on an approved annual budget under Title XVIII and quarterly formula grants under Title XIX. States are reimbursed for Title XVIII and Title XIX survey activities under Electronic Funds Transfer System procedures. States draw funds through the Department's Payment Management System (PMS).

**Deadlines:**

Annual budget proposals for Title XVIII are requested from the appropriate State agency as negotiated with Regional Office but no later than August 15. In addition, estimates of the amounts to be claimed for reimbursement under Title XIX are required 45 days prior to the applicable quarter. Reports of actual expenditures for both programs are required 30 days after the close of each quarter.

**Range of Approval/Disapproval Time:**

From 30 to 60 days for initial approval or disapproval.

**Appeals:**

Title XVIII appeals are reviewed by the Armed Services Contracts Appeal Board; Title XIX appeals are reviewed by the Departmental Grants Appeal Board.

**Renewals:**

Ongoing renewals are awarded to States that are willing and able to conduct required survey activities in compliance with statutory mandate.

**Formula and Matching Requirements:**

Funds available for Title XVIII survey costs are not subject to State matching requirements. Awards for Federal Financial Participation reimbursement of Title XIX related survey costs are subject to States certifying their availability of funds as prescribed by Section 1903 (a), (2), and (7), as further defined in 42 CFR, Part 433.15.

**Length and Time Phasing of Assistance:**

Funding authority is provided for a full year to State agencies performing survey and certification activities pertaining to Medicare survey activity. For Medicaid survey activity (State entitlement program), funding authority is indefinite.

**Reports:**

States operate under an approved plan (Title XIX) and 1864 Agreement (Title XVIII). Quarterly expenditure reports are required 30 days after the close of each quarter and monitoring is carried out by the Department of Health and Human Services.

**Audits:**

DHHS Office of Inspector General staff or designated representatives make periodic audits of State survey agencies. In addition, under the Single State Audit Act, States may elect to conduct their own nonpartisan audits and certify the results to the Secretary of Health and Human Services.

**Records:**

States must maintain surveyor time records, line item and expenditure documentation, which substantiate the costs relating to survey activities.

**Account Identification:**

75-0511-0-1-550 (Title XVIII); 75-0512-0-1-551 (Title XIX).

**Obligations:**

(Grants) FY 07 (Title XVIII) \$244,008,586, (Title XIX) \$200,384,986; FY 08 estimate (Title XVIII) \$254,713,742 (Title XIX) \$223,000,000; and FY 09 estimate (Title XVIII) \$273,700,000 (Title XIX) \$228,798,000.

**Range and Average of Financial Assistance:**

(State distributed Title XVIII funds) FY 06 range is from \$15,169 to \$28,309,623 and an average of \$4,734,012; FY 07 range is from \$15,366 to \$28,637,569 and an average of \$4,781,943.

**PROGRAM ACCOMPLISHMENTS:**

The estimated figure for fiscal year 2007 is approximately 58,000 and for fiscal year 2008 is 58,500. It is estimated that grants will be provided to 53 State/territory survey agencies to conduct inspections in fiscal years 2007 and 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title XVIII, Social Security Act as amended Sections 1863, 1864 and 1865. Title XIX, Social Security as amended, Sections 1903, 1904, 1908, 1910, and 1919; 42 CFR, Subparts J, K, L, M, N, O, Q, S, U, and X.

**Regional or Local Office:**

Contact the Regional Administrator for Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for listing of Regional Offices).

**Headquarters Office:**

Thomas Hamilton, Director, Survey & Certification Group, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Baltimore, MD 21244. Telephone: (410) 786-9493. (Use same number for FTS).

**Web Site Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773, Medicare\_Hospital Insurance; 93.774, Medicare\_Supplementary Medical Insurance; 93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Information relating to Federally-funded projects is available to State survey agencies upon request.

**CRITERIA FOR SELECTING PROPOSALS:**

Selecting criteria for Federal funding of State certification proposals are available to State survey agencies upon request.

**93.778 MEDICAL ASSISTANCE PROGRAM**

(Medicaid; Title XIX)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647; Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208, 104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161.

**OBJECTIVES:**

To provide financial assistance to States for payments of medical assistance on behalf of cash assistance recipients, children, pregnant women, and the aged who meet income and resource requirements, and other categorically-eligible groups. In certain States that elect to provide such coverage, medically-needy persons, who, except for income and resources, would be eligible for cash assistance, may be eligible for medical assistance payments under this program. Financial assistance is provided to States to pay for Medicare premiums, copayments and deductibles of qualified Medicare beneficiaries meeting certain income requirements. More limited financial assistance is available for certain Medicare beneficiaries with higher incomes.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

For the categorically needy, States must provide in-and-out patient hospital services; rural health clinic services; federally-qualified health center services; other laboratory and x-ray services; nursing facility services, home health services for persons over age 21; family planning services; physicians' services; early and periodic screening, diagnosis, and treatment for individuals under age 21; pediatric or family nurse practitioner services; and services furnished by a nurse-midwife as licensed by the States. For the medically needy, States are required to provide a minimum mix of services for which Federal financial participation is available (see section 1902(a)(10)(C)(iv) of the Social Security Act).

**Applicant Eligibility:**

State and local welfare agencies must operate under an HHS-approved Medicaid State Plan and comply with all Federal regulations governing aid and medical assistance to the needy.

**Beneficiary Eligibility:**

Low-income persons who are over age 65, blind or disabled, members of families with dependent children, low-income children and pregnant women, certain Medicare beneficiaries and, in many States, medically-needy individuals may apply to a State or local welfare agency for medical assistance. Eligibility is determined by the State in accordance with Federal regulations.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency. Individuals must meet State requirements. Administrative costs will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments."

**Preapplication Coordination:**

The standard application forms, as furnished by HHS and required by OMB Circular No. A-102, "Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments," must be used for this program. States should contact the HHS Regional Office for application information. (See Appendix IV of the Catalog for agency Regional Office addresses.) This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Individuals needing medical assistance should apply directly to the State or local welfare agency. States should contact the Regional Administrator, CMS for application forms. (See Appendix IV of the Catalog for agency Regional Office addresses.) This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide medical assistance to the needy. Awards are made quarterly on a fiscal year basis as follows: October 1, January 1, April 1, and July 1. Individuals receive medical care from providers of medical care who are participating in the Medicaid program.

**Deadlines:**

An individual needing medical assistance may apply to the State at any time. States must submit quarterly estimates of funds needed no later than August 15, November 15, February 15, and May 15, in order to receive a timely quarterly grant award for the following quarter.

**Range of Approval/Disapproval Time:**

Up to 60 days. The States usually provide needy individuals with immediate medical assistance.

**Appeals:**

Individuals denied medical assistance by the State or local welfare agency must be given a fair hearing on appeal (see 42 CFR, Subchapter C, Part 431, Subpart E). States have 60 days to resubmit revised applications.

**Renewals:**

Recipients receive assistance as long as they are qualified under State requirements.

**Formula and Matching Requirements:**

Federal funds are available to match State expenditures for medical care. Under the Act, the Federal share for medical services may range from 50 percent to 83 percent. The statistical factors used for fund allocation are: (1) Medical assistance expenditures by State; and (2) per capita income by State based on a 3-year average (source, "Personal Income," Department of Commerce, Bureau of Economic Analysis). Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The needy receive medical assistance as necessary. States receive funds quarterly. The Electronic Transfer System will be used by States for monthly cash draws on the Federal Reserve Bank.

**Reports:**

States must submit fiscal and statistical reports, as required, to the Centers for Medicare and Medicaid Services, Department of Health and Human Services. A Treasury Report TUS-5401 is required monthly. States must submit certified expenditure reports within 30 days after the end of each quarter.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States must maintain records which substantiate direct and indirect costs charged to the grant award activity.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Grants) FY 07 \$203,499,801,000; FY 08 est \$204,052,706,000; and FY 09 est \$217,537,328,000.

**Range and Average of Financial Assistance:**

\$4,851,000 to \$26,241,144,000; \$3,643,798,321.

**PROGRAM ACCOMPLISHMENTS:**

The number of Medicaid enrollees in fiscal year 2007 was 49,100,000. It is estimated that there will be 50,000,000 Medicaid enrollees in fiscal year 2008 and an estimated 50,800,000 Medicaid enrollees in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR, Subchapter C.

**Regional or Local Office:**

Contact the Associate Regional Administrator, Division of Medicaid, Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for addresses and telephone numbers.)

**Headquarters Office:**

Center for Medicaid and State Operations, Centers for Medicare and Medicaid Services, Room C4-25-02, 7500 Security Boulevard, Baltimore, MD 21244. Telephone: (410) 786-3870. Use the same number for FTS.

**Web Site Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

64.012, Veterans Prescription Service; 64.013, Veterans Prosthetic Appliances; 93.560, Family Support Payments to States \_Assistance Payments; 93.110, Maternal and Child Health Federal Consolidated Programs; 93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.773, Medicare \_Hospital Insurance; 93.774, Medicare \_Supplementary Medical Insurance; 93.775, State Medicaid Fraud Control Units; 93.777, State Survey and Certification of Health Care Providers and Suppliers; 96.006, Supplemental Security Income; 93.767 State Children's Insurance Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 93.779 CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS) RESEARCH, DEMONSTRATIONS AND EVALUATIONS

(CMS Research)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title XI, Sections 1110 and 1115; 42 U.S.C. 1310 and 1315(a); Title XVIII, Section 1875; 42 U.S.C. 1395 and 42 U.S.C. 1881 (f); Section 402, Public Law 90-248, as amended; Section 222, Public Law 92-603; Small Business Innovation Development Act of 1982; Public Law 97-219, as amended; Small Business Innovation Research Program Extension, Public Law 99-443.

**OBJECTIVES:**

To support analyses, experiments, demonstrations and pilot projects in efforts to resolve major health care financing issues and to develop innovative methods for the administration of Medicare and Medicaid. These awards are in the form of research grants and cooperative agreements; Hispanic health services grants; historically black colleges and university grants. For fiscal years 2007 and 2008, the Centers for Medicare & Medicaid Services (CMS) has identified a number of areas where specific information or experience is necessary to improve program effectiveness or guide decisions anticipated in the near future. These priority areas for CMS' discretionary contracts, cooperative agreements and grants include: (1) protecting and empowering specific populations; (2) pay for performance for multiple provider settings; (3) understanding health differences and disparities--closing the gaps; (4) preventing disease, illness, and injury; (5) agency-specific priorities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Under all authorizations, all applications must meet standards of excellence in research or evaluation design. Funds may not be used for construction or renovation of buildings. Funds authorized by Section 1115 of the Social Security Act are limited to State agencies administering the Medicaid program.

**Applicant Eligibility:**

Grants or cooperative agreements may be made to private, or public agencies or organizations, including State agencies that administer the Medicaid program. Private profit organizations may apply. For the Small Business Innovation Research Grant Program, only for-profit organizations may apply. Awards cannot be made directly to individuals.

**Beneficiary Eligibility:**

Contributing retirees or specially entitled beneficiaries, the disabled or those with end stage renal disease (for Medicare) the aged, and families with children and youth (for Medicaid).

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves collaborative efforts or the utilization of non-CMS facilities or services. Costs will be determined in accordance with OMB Circular No. A-102 for State and local governments. The standard forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used.

**Preapplication Coordination:**

CMS research and demonstration projects are solicited by publication in the "Federal Register," requests of proposals for contracts in "FedBizOpps," targeted program announcements, and other appropriate means. Some funds are used for creative, unsolicited proposals. Applicants should maintain contact with Regional CMS Offices (see Appendix IV of the Catalog for listing). The standard application forms, as furnished by CMS, must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms are submitted to the Acquisition and Grants Group, CMS, 2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. This program is subject to the provisions of OMB Circular Nos. A-102 and A-110. A letter of intent to file an application is necessary 30 days prior to the closing date of each solicitation cycle.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Notice of Cooperative Agreement or Grant Award.

**Deadlines:**

Established when grants/cooperative agreements are solicited by publication in the Federal Register or a program announcement for grants/cooperative agreements and by the individual Request for Proposal for contracts. Unsolicited applications may be submitted at any time.

**Range of Approval/Disapproval Time:**

Range from 150 to 180 days.

**Appeals:**

No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, extensions may be allowed to prepare revisions which clarify various aspects of projects.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant/cooperative agreement application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

Awardees are required to share in the cost of projects. Normally, the minimum cost-sharing requirement is 5 percent of total project costs. This program has no statutory formula, except in Section 1115 projects, where the statutory formula is the same as that established for the Medicaid Program, both administrative and operational.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

**Reports:**

Reports of progress and expenditures are required on all projects. Comprehensive final reports are due no later than 90 days after termination of projects.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**



75-0511-0-1-550.

**Obligations:**

(Grants, Cooperative Agreements, and Contracts) FY 07 \$57,316,599; FY 08 est \$33,700,500; and FY 09 est \$31,300,000.

**Range and Average of Financial Assistance:**

\$25,000 to \$1,000,000; \$235,000.

**PROGRAM ACCOMPLISHMENTS:**

There were 26 new cooperative agreements/grants funded and 34 new contracts funded in fiscal year 2006. In fiscal year 2007, it is estimated that there will be 22 new grants/cooperative agreements and 18 new contracts. In fiscal year 2008, it is estimated that it will be 18 new grants/cooperative agreements and 14 new contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

**Regional or Local Office:**

Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.)

**Headquarters Office:**

Timothy P. Love, Director, Office of Research, Development, and Information (ORDI), Centers for Medicare & Medicaid Services, Department of Health and Human Services, Room C-3-20-11, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-0948. FTS is not available.

**Web Site Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773, Medicare\_Hospital Insurance; 93.774, Medicare\_Supplementary Medical Insurance; 93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects in fiscal year 2006 include: (1) Medicare Current Beneficiary Survey; (2) Design for a Nursing Home Quality Based Purchasing Demonstration; (3) Implementation Support for the ESRD Bundled Payment and Pay-for-Performance Demonstration; (4) Implementation support and Evaluation of Physician Group Practice Demonstration; (5) Implementation and Evaluation of the Medicare Hospital Gainsharing Demonstration (6) Grants to Historically Black Colleges and Universities and Hispanic Health Services Research Programs; (7) Real Choice Systems Change Grants; and (8) Medicaid Analytic Database (MAX) Data Development.

**CRITERIA FOR SELECTING PROPOSALS:**

The review process for grants/cooperative agreements consists of initially screening applications for completeness and relevancy to CMS priority areas. If the application is not relevant to CMS priority areas, it will be returned to the applicant. If accepted as submitted it will be reviewed and evaluated. The review will be conducted by a panel of not less than three experts. CMS Project Officer will coordinate the panel's review, but will not vote. This individual will also prepare the panel's recommendation to the Director, Office of Research, Development, and Information (ORDI). The panel's recommendations will contain numerical ratings, rankings of applications, and a written assessment of each application. The recommendations will be based on published criteria as stated in the Federal Register. The review process for applications is also stated in the Federal Register Announcement.

**93.780 GRANTS TO STATES FOR OPERATION OF QUALIFIED HIGH-RISK POOLS**

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Trade Act of 2002; Public Law 107-210; Deficit Reduction Act of 2005; Public Law 109-171.

**OBJECTIVES:**

To assist States in the operation of a qualified high-risk health insurance pool by providing Federal funding for up to 50 percent of losses incurred by the pool for a given State fiscal year.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

A State must have a qualified high-risk pool (as defined in section 2744(c)(2) of the Public Health Service Act) that has incurred a loss in order to be eligible for a grant.

**Applicant Eligibility:**

A State must meet all of the following requirements to be eligible for a grant: 1) the State is operating a qualified high-risk pool as defined in section 2744(c)(2) of the Public Health Service Act; 2) the pool restricts premium charged under the pool to no more than 150 percent for applicable standard risk rates for the State; 3) the pool offers a choice of two or more coverage options through the pool; 4) the pool has in effect a mechanism reasonably designed to ensure

continued funding of losses incurred by the State after the end of fiscal year 2004 in connection with the operation of the pool; and 5) the pool has incurred a loss in the State's fiscal year 2002, 2003, or 2004.

**Beneficiary Eligibility:**

State Agency.

**Credentials/Documentation:**

Federal funds must go to a designated State Agency or its partner agencies. Individuals must meet State requirements.

**Preapplication Coordination:**

A notice of intent to apply is not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. These forms may be downloaded from the following Web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp). In addition to the standard forms some additional information regarding the history and description of the qualified high-risk pool, accounting of risk pool losses, and contact person information is also required. Please refer to the following Web site for additional information: [www.cms.hhs.gov/riskpool](http://www.cms.hhs.gov/riskpool). Applicants are required to submit an original and two copies of the application to the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. Facsimile (fax) transmissions will not be accepted. This program is subject to the provisions of OMB Circular No. A-102.

**Award Procedure:**

The Centers for Medicare and Medicaid Services (CMS) will make a decision for each application received. Each applicant will receive written notification of CMS's decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

60 to 120 days.

**Appeals:**

If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

None.

**Formula and Matching Requirements:**

Under the original legislation, a State must have a qualified high-risk pool that incurred a loss in order to be eligible for a grant. States may apply for a grant in relation to losses incurred in the fiscal year 2002, 2003, and 2004. A State can be awarded a maximum of two grants. As directed by the statute, funds will be allocated using a formula based on the number of uninsured individuals in each eligible State. The formula was further defined through the rulemaking process with a regulation with a 60-day comment period. See the website: [www.cms.hhs.gov/riskpool](http://www.cms.hhs.gov/riskpool) for additional information.

**Length and Time Phasing of Assistance:**

Under the original legislation, a total of \$80,000,000 has been made available for the qualified high-risk pool operation grant program. \$40,000,000 was made available for obligation from FY 2003-FY 2004 and another \$40,000,000 was made available for obligation from FY 2004-FY 2005. Under the provisions of section 6202 of the Deficit Reduction Act, \$75,000,000 is available in FY 2006 for this activity.

**Reports:**

Grant awardees may be required to submit quarterly progress and financial reports to CMS. At a maximum, a grantee would have to complete 8 reports per year if requested. It is anticipated that grantees may only need to file semi-annually, thus 4 reports per year. Refer to 45 CFR part 92.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. The grant application kit may be downloaded from the following web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp).

**Regional or Local Office:**

Contact the appropriate CMS Regional Administrator. (See appendix IV for Regional Offices).

**Headquarters Office:**

CMS, Centers for Medicare and State Operations, Paul Youket, Health Insurance Specialist, Mailstop S2-01-16, 7500 Security Boulevard, Baltimore, MD 21244-1850. Telephone: (410) 786-0264. Email: paul.youket@cms.hhs.gov.

**Web Site Address:**

[www.cms.hhs.gov/riskpool](http://www.cms.hhs.gov/riskpool).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed to ensure it meets the eligibility criteria (as stated above). If eligible, the State will be awarded the lesser 50 percent of losses incurred by its qualified risk pool for the fiscal year in question or its allotment under the formula for the grants.

## 93.781 SEED GRANTS TO STATES FOR QUALIFIED HIGH-RISK POOLS

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Trade Act of 2002, Public Law 107-210; Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

To assist states in the creation and initial operation of a qualified high-risk health insurance pool for individuals who cannot purchase individual coverage because of pre-existing medical conditions.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

States that operated qualified high-risk pools (as defined in section 2744(c)(2) of the Public Health Service Act) prior to August 6, 2002, the date the Trade Act was signed into law, do not qualify for the grant funding. All funds to be awarded under this program must be used exclusively for the creation and initial operation of a qualified high-risk pool as defined in section 2744(c)(2) of the Public Health Service Act.

**Applicant Eligibility:**

Any State that did not have a qualified high-risk pool established as of August 6, 2002 is eligible to apply. The term "State" is defined in the legislation as any of the 50 states and the District of Columbia. The definition of a "qualified high-risk pool" is provided under section 2744(c)(2) of the Public Health Service Act.

**Beneficiary Eligibility:**

Any State that did not have a qualified high-risk pool established as of August 6, 2002 is eligible to apply. The term "State" is defined in the legislation as any of the 50 states and the District of Columbia. The definition of a "qualified high-risk pool" is provided under section 2744(c)(2) of the Public Health Service Act.

**Credentials/Documentation:**

Federal funds must go to a designated State Agency or its partner agencies.

**Preapplication Coordination:**

A notice of intent to apply is encouraged but not required. A notice of intent may be submitted to: CMS, Mailstop S3-16-16, 7500 Security Blvd, Baltimore, MD 21244-1850. The letter of intent should indicate that the state intends to apply for a seed grant to create a "qualified" high-risk pool and also provide an estimate of the costs of creating the pool. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

In addition to the standard forms, some additional information regarding the authority for establishing the pool, plans for administering the pool, a contact person, and actions planned and already taken is also required. Applicants are required to submit an original and two copies of the application to the Acquisition and Grants Group, CMS, Mailstop C2-21-15 (Nicole Nicholson), 7500 Security Boulevard, Baltimore, MD 21244-1850.

[www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp). Facsimile (fax) transmissions will not be accepted. This program is subject to the provisions of OMB Circular No. A-102.

**Award Procedure:**

The Centers for Medicare and Medicaid Services (CMS) will make a decision for each application received. Each applicant will receive written notification of CMS's decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Applications will be reviewed and funded on an ongoing basis as received. However, to be considered please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

There are formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no requirement for States to match grants awarded under this program. Funding will be distributed to approved grant awardees in two phases. Funding will be released in Phase I once the State demonstrates that legal authority has been created to develop a qualified high-risk pool and that a governing authority responsible for overseeing the pool has been created or designated. Funding will be released in Phase II once the State has demonstrated that it has made the commitment to have the necessary staff available for the successful operation of the pool and has established the required administrative mechanism to assure the provision of health coverage.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Grant awardees must submit a quarterly report to CMS documenting the expenditure of the grant funds and the progress of the creation of the high-risk pool. These reports will continue to be submitted until all grant funds are spent. Refer to 45 CFR Part 92.

**Audits:**

All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Grants) FY 07 \$1,450,000; FY 08 \$0; and FY 09 est not available.

**Range and Average of Financial Assistance:**

The maximum amount of a grant award is \$1,000,000 as set in statute.

**PROGRAM ACCOMPLISHMENTS:**

The program purpose is to assist states in the creation and initial operation of a qualified high-risk health insurance pool for individuals who cannot purchase individual coverage because of pre-existing medical conditions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. The grant application kits may also be downloaded from the following Web site: [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp).

**Regional or Local Office:**

Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.)

**Headquarters Office:**

CMS, Centers for Medicaid and State Operations, Mailstop S2-01-16 (Paul Youket), 7500 Security Blvd, Baltimore, MD 21244-1850. Telephone: (410) 786-7528. E-mail: paul.youket@cms.hhs.gov.

**Web Site Address:**

<http://www.cms.hhs.gov/riskpool>

**RELATED PROGRAMS:**

93.780, Grants to States for Operation of Qualified High-Risk Pools.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

A State must first meet the eligibility criteria (as stated above). If eligible, the application will be reviewed evaluating the State's mechanism that can reasonably be expected to assure administrative and legal capacity to provide health coverage to all qualified applicants and that funding sources that can reasonably be expected to ensure that the pool will be able to keep funding losses and stay in operation after grants funds have been expended.

## 93.783 MEDICARE TRANSITIONAL DRUG ASSISTANCE PROGRAM FOR STATES

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Authorized under the Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-73, Section 1860D-31 of the Social Security Act (the Act).

**OBJECTIVES:**

To provide Federal funding for transitional assistance to certain low-income

Medicare beneficiaries, for the purchase of prescription drugs as referenced in Section 1860D-31(b)(2) of the Act.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Credits will be administered through private discount card sponsors in accordance with the requirements of 42 CFR 403.806, 403.808, and 403.816 for the transitional assistance benefit.

**Applicant Eligibility:**

A non-governmental, single legal entity doing business in the United States; having three years of private sector experience in the United States in pharmacy benefit management; and at the time of application for Medicare endorsement, it or a subcontractor, operates a pharmacy benefit program, a prescription drug discount card program, a low-income drug assistance program, or a similar program that serves at least one million covered lives and meets the requirements in 42 CFR 403.804 and 42 CFR 403.806.

**Beneficiary Eligibility:**

Individuals who are Medicare beneficiaries, and whose income is not more than 135 percent of the poverty line. To qualify, beneficiaries must not receive outpatient drug coverage from other sources, including Medicaid, TRICARE, group health insurance or Federal Employee Health Benefit Plans (FEHBP), except if the drug coverage is through a Part C Medicare+Choice plan or a Medigap plan. Individuals must have been enrolled in the program by December 31, 2005.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Potential sponsors apply to CMS to become an approved drug discount card sponsor, to administer transitional assistance funds. Beneficiaries complete an enrollment form, which includes eligibility information, and submit it to an approved sponsor. The sponsor forwards the enrollment and eligibility information to CMS, which verifies eligibility for the card and for transitional assistance.

**Award Procedure:**

Transitional assistance funds are drawn down by sponsors through the CMS payments management system on behalf of their transitional assistance enrollees, as the \$600 credit is used by beneficiaries to pay for covered discount card drugs.

**Deadlines:**

No further funds are available after the date on which the beneficiary enrolls in the new Medicare Part D drug benefit (first available on January 1, 2006), and in any case not beyond May 15, 2006 (for the beneficiary who does not enroll in Part D by the end of its initial enrollment period).

**Range of Approval/Disapproval Time:**

19 months.

**Appeals:**

Sponsors whose applications to become an approved discount card sponsor are rejected have the right to a reconsideration process. Beneficiaries who are found by CMS to be ineligible for transitional assistance have the option of filing for reconsideration in accordance with 42 CFR 403.810(g).

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Project Period: May 3, 2004 through May 15, 2006.

**Reports:**

Periodic reports are due to CMS in accordance with the timeframes established by CMS.

**Audits:**

Payment transactions may be audited by the Secretary or his agent.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least three years or until resolution of any audit questions.

**Account Identification:**

75-8307-0-7-571.

**Obligations:**

(Benefit Outlays)FY 07 \$9,815,000; FY 08 est \$0; FY 09 est \$0. (Last program benefit adjustments were made in FY 07; program is shut down; no further benefits).

**Range and Average of Financial Assistance:**

Up to \$600 in 2004 and 2005 per transitional-assistance eligible Medicare beneficiary electing to participate in the program.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2004 credits are to be made available to each transitional-assistance eligible Medicare beneficiary electing to participate in the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program were authorized under Section 1860D-31 of

the Social Security Act, as enacted under Public Law 108-73, and were published on December 15, 2003.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Cynthia Moreno, Center for Beneficiary Choices, Health Plan Benefits Group, 7500 Security Boulevard, Baltimore, MD 21244; Telephone: (410) 786-1164.

**Web Site Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.784 FEDERAL REIMBURSEMENT OF EMERGENCY HEALTH SERVICES FURNISHED TO UNDOCUMENTED ALIENS**

**FEDERAL AGENCY:**

DEPARTMENT OF HEALTH AND HUMAN SERVICES, CENTERS FOR MEDICARE AND MEDICAID SERVICES

**AUTHORIZATION:**

Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-73, Section 1011; Medicare Modernization Act (MMA).

**OBJECTIVES:**

To reimburse eligible providers for their otherwise un-reimbursed costs associated with furnishing emergency health services to undocumented and certain other aliens.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Sections 1866(a)(1)(I), 1866 (a)(1)(N), and 1867 of the Social Security Act (the Act) impose specific obligations on Medicare-participating hospitals that offer emergency services. These obligations concern individuals who come to a hospital emergency department and request examination or treatment for medical conditions, and apply to all of these individuals, regardless of whether or not they are beneficiaries of any program under the Act. Section 1867 of the Act sets forth requirements for medical screening examinations of medical conditions, as well as necessary stabilizing treatment or appropriate transfer. In addition, section 1867(h) of the Act specifically prohibits a delay in providing required screening or stabilization services in order to inquire about the individual's payment method or insurance status.

**Applicant Eligibility:**

From the allotments made for a State, the Secretary of Health and Human Services shall pay an amount (subject to the total amount available from such allotments) directly to eligible providers located in the State where emergency services were incurred to the extent that the eligible provider was not otherwise reimbursed. An eligible provider defined under the statute is a hospital, physician, or provider of ambulance services (including an Indian Health Service (IHS) facility whether operated by the IHS or by an Indian tribal or tribal organization).

**Beneficiary Eligibility:**

The amounts of money set aside for each State will be paid directly to hospitals, certain physicians, and ambulance providers for the costs of providing emergency health care required under EMTALA and related hospital inpatient, outpatient, and ambulance services (including those operated by the Indian Health Service and Indian tribes and Tribal organizations) furnished to undocumented aliens, aliens paroled into the United States at a United States port of entry for the purposes of receiving such services, and Mexican citizens permitted temporary entry to the United States with a laser visa.

**Credentials/Documentation:**

Final policy guidance was released on May 9, 2005 regarding the implementation of section 1011 of the MMA. This notice establishes the general framework and procedural rules for submitting an enrollment application and payment requests, establishes general statements of policy, and provides CMS' interpretation of section 1011. It is posted in the "downloads" section of the following web address:

[http://www.cms.hhs.gov/UndocAliens/02\\_policy.asp#TopOfPage](http://www.cms.hhs.gov/UndocAliens/02_policy.asp#TopOfPage).

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

On September 1, 2004, the Secretary established a provider enrollment application.

**Award Procedure:**

Official notice of approved claims for emergency health care services will be transmitted to eligible providers pursuant to procedures established prior to September 1, 2004 and published in the Federal Register.



**Deadlines:**

Established when program announcements are published in the Federal Register.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

The final payment methodology will describe the appeals process.

**Renewals:**

None.

**Formula and Matching Requirements:**

No State or local matching funds are required for this activity.

**Length and Time Phasing of Assistance:**

This project is authorized for four years beginning in FY 2005.

**Reports:**

Periodic reports are due to CMS in accordance with the timeframes established by CMS.

**Audits:**

All payment transactions identifiable to Federal Reimbursement for Emergency Health Services Furnished to Undocumented Aliens are subject to audit or medical review by the Secretary or his designated agent. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a period consistent with the information contained in the final payment methodology.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$219,919,328; FY 08 \$225,000,000; and FY 09 est \$250,000,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

For the periods FY 2005 and FY 2006, CMS has obligated a total of \$266,980,129 of the total funding available for those years (\$500,000,000) towards the reimbursement of providers for emergency health services furnished to undocumented aliens. Actual payments in FY 2005 and FY 2006 were \$58.1 million and \$132.7 million respectively. CMS awarded the national contract for implementation of the Section 1011 program to TrailBlazer Health Enterprises, LLC.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS intends to provide guidance through a Paperwork Reduction Act (PRA) notice. The PRA package will provide substantive information regarding CMS' final implementation approach.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: James Bossenmeyer, CMS, Center for Medicare Management, Hospital and Ambulatory Group, 7500 Security Boulevard, Mail Stop C5-01-14, Baltimore, MD 21244. Telephone: (410) 786-9317.

**Web Site Address:**

None.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.785 PILOT PROGRAM FOR NATIONAL AND STATE BACKGROUND CHECKS--DIRECT PATIENT ACCESS FOR LONG-TERM CARE****FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-173, Section 307; Medicare Modernization Act (MMA).

**OBJECTIVES:**

To establish a pilot program to identify efficient, effective, and economical procedures for long-term care facilities or providers to conduct background checks on prospective direct patient access employees.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

No more than 10 States may be selected to participate in the pilot program.

Please refer to Section IV.5 "Funding Restrictions" of the full solicitation for additional information regarding the State prohibitions on the use of grant funds.

**Applicant Eligibility:**

Participation in the pilot program is open to all States. A State's Office of the Governor or State Survey Agency (SA) may apply for funding under this grant opportunity. Additionally, certain other State agencies (e.g., the State Medicaid Agency, the State Office of the Attorney General, the State Identification Bureau (SIB), the State Control Terminal Agency (CTA), the State Health Department or the State Social Services Block Grant recipient) may also apply for funding under this grant opportunity, provided they have an agreement with the State Survey Agency for the conduct of the pilot program in that State.

**Beneficiary Eligibility:**

Participation in the pilot program is open to all States. A State's Office of the Governor or State Survey Agency (SA) may apply for funding under this grant opportunity.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States needed to apply to CMS to participate in the pilot program by submitting a complete application to CMS. Please contact program office for application deadline.

**Award Procedure:**

States selected to participate in the pilot were notified during December 2004. Please see Section VI "Award Administration Information" of the solicitation for further information regarding the award procedures.

**Deadlines:**

Please contact the program for the deadline for States to apply to participate in the pilot program.

**Range of Approval/Disapproval Time:**

The pilot program will last through FY 2007 or September 30, 2007.

**Appeals:**

There are no formal appeals procedures. If a State's application is not selected, the reasons for non-selection will be fully stated.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project Period: Date of grant awards through September 30, 2007.

**Reports:**

Periodic reports are due to CMS in accordance with the timeframes established by CMS.

**Audits:**

Payment transactions identifiable to the Background Checks Pilot Program are subject to audit by the Secretary or his/her agent.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least three years or until resolution of any audit questions.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$16,000; FY 08 \$1,184,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Selected pilot States can expect to receive between \$500,000 to \$5 million in a grant award for the entire 3-year pilot period. Please refer to Section II.2.

"Amount and Number of Grants to be Awarded" of the solicitation package for additional information.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Amber Wolfe, Center for Medicaid and State Operations, Survey and Certification Group, 7500 Security Boulevard, Baltimore, MD 21244. Telephone: (410) 786-6773.

**Web Site Address:**

<http://www.cms.hhs.gov/medicaid/survey-cert/bcp.asp>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Please refer to Section V.1. "Application Review Information, Criteria" of the solicitation for the complete review and selection criteria.

## 93.786 STATE PHARMACEUTICAL ASSISTANCE PROGRAMS

(SPAP(s))

### FEDERAL AGENCY:

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION

### AUTHORIZATION:

Medicare Prescription Drug, Improvement and Modernization Act of 2003, Section 1860D-23(d) of the Social Security Act as established by Public Law 108-173.

### OBJECTIVES:

To provide Federal funding for grants to States with State Pharmaceutical Assistance Programs (SPAPs) for the purpose of educating SPAP participants about Medicare Part D coverage. These funds may also be used to provide technical assistance, phone support, and counseling in order to help SPAP participants eligible for the Medicare Part D benefit select and enroll in Part D plans.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Grants will be awarded to States in accordance with the requirements of 1860D-23 of the Act and 45 CFR Part 92 and in accordance with their application as approved by the Centers for Medicare and Medicaid Services (CMS).

### Applicant Eligibility:

States with approved applications for transitional grants for their State Pharmaceutical Assistance Programs, under Section 1860D-23 (d) of the Social Security Act. Excludes Commonwealths and Territories.

### Beneficiary Eligibility:

States with approved applications for transitional grants for their State Pharmaceutical Assistance Programs, under Section 1860D-23 (d) of the Social Security Act. Excludes Commonwealths and Territories.

### Credentials/Documentation:

Federal funds must go to a designated State Agency that will meet State requirements.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Please contact program office for application deadline date. States with SPAPs that qualify for the transitional grant will be notified of application approval and the amount of approval no later a month following the application deadline.

### Award Procedure:

Following approval of the grant application by CMS, an award will be issued to the State in the amount as determined by the number of Medicare beneficiaries enrolled in the program as of the application deadline.

### Deadlines:

Please contact the program office for application deadline.

### Range of Approval/Disapproval Time:

Three months.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

This program has no matching requirements. The amount for each State is determined based on the number of Medicare beneficiaries enrolled in the program by the deadline date.

### Length and Time Phasing of Assistance:

Project Period: 10/1/04 through 9/30/06. CMS will issue grant awards to the approved States annually at the beginning of FY 05 and FY 06.

### Reports:

Final financial reports are due to CMS in accordance with the timeframes established by CMS after the end of the project period.

### Audits:

Payment transactions may be audited by the Secretary or his/her agent.

### Records:

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with CMS Grants Policy Statement requirements.

### Account Identification:

75-0516-0-1-551.

### Obligations:

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

### Range and Average of Financial Assistance:

None.

### PROGRAM ACCOMPLISHMENTS:

This program was developed under the Medicare Modernization Act and initiated by Public Law 108-173. Authority to provide funding was for 2 years (FY 2005 and FY 2006).

## REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations governing this program were authorized under Section 1860D-23 of the Social Security Act, as enacted under Public Law 108-173, were published on December 15, 2003.

### Regional or Local Office:

None.

### Headquarters Office:

Deborah Abshire, Center for Medicaid and State Operations, Division of Financial Management, 7500 Security Boulevard, Baltimore, MD 21224. Telephone: (410) 786-9291. E-mail: dabshire@cms.hhs.gov.

### Web Site Address:

<http://www.cms.hhs.gov>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

None.

## 93.789 ALTERNATIVES TO PSYCHIATRIC RESIDENTIAL TREATMENT FACILITIES FOR CHILDREN

(Demonstration Projects Regarding Home and Community-Based Alternatives to Psychiatric Residential Treatment Facilities for Children)

### FEDERAL AGENCY:

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.

### OBJECTIVES:

Over the last decade, Psychiatric Residential Treatment Facilities (PRTFs) have become the primary provider for youth with serious emotional disturbances requiring an institutional level of care. However, since they are not recognized as hospitals, nursing facilities or intermediate care facilities for the mentally retarded, many States have been unable to use the 1915(c) waiver authority to provide home and community-based alternatives to care, which would keep the youth in their homes and with their families. Section 6063 of the Deficit Reduction Act of 2005 addresses this issue by providing up to \$217 million to up to 10 States to develop demonstration programs that provide home and community-based services to youth as alternatives to PRTFs. CMS anticipates awarding each successful applicant between \$21.7 and \$50 million. The PRTF Demonstration is authorized for up to 5 years. Payments may not be made to States after fiscal year 2011. CMS will review and approve each State's Implementation Plan prior to allowing States to access funds for Federal reimbursement of services under this grant. Section 6063 also provides \$1 million for a National Demonstration Evaluation.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

**Budget Neutrality:** In conducting these demonstration projects, The Secretary of Health and Human Services shall ensure that the aggregate payments made by the Secretary under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) do not exceed the amount which the Secretary estimates would have been paid under the title, if the demonstration projects under Section 6063 had not been implemented. Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. **Indirect Costs:** The provisions of the OMB Circular A-87 govern reimbursement of indirect costs under this solicitation. A copy of OMB Circular A-87 is available online at: <http://www.whitehouse.gov/omb/circulars/a087/a087.html>.

### Applicant Eligibility:

Any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State may apply for this Demonstration Grant. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession" we mean Guam, the U.S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

### Beneficiary Eligibility:

The level of care for Medicaid eligible individuals for this demonstration at a minimum must be under the age of 21 and require the need for a PRTF as defined in the State's Medicaid State Plan. For the purposes of this demonstration, youth are defined as "any child, adolescent or young adult under the age of 21". States shall ensure that each participant under the demonstration meets this level of care criterion to participate in the demonstration. Further, States may elect to add additional criteria to carve out or target a specific sub-

population to receive home and community-based services under this demonstration. As a part of the application process, States shall submit a copy of the level of care assessment used to assess eligibility for participation in this demonstration. PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21 (CFR 42.441.150 - 441.182). The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. Additionally PRTFs must comply with Conditions of Participation on the use of restraint and seclusion (CFR 483.350 - 483.376).

**Credentials/Documentation:**

Each application for this Demonstration Grant must include a letter of endorsement from the Director of the Mental Health Authority and the State Medicaid Director, if the applicant is not the single State Medicaid Agency/State Agency.

**Preapplication Coordination:**

Applicants are encouraged to submit a non-binding Notice of Intent to Apply. Notices of Intent to Apply are not required and their submission or failure to submit a notice has no bearing on the scoring of proposals received. But receipt of such notices enables CMS to better plan for the application review process. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit their applications electronically through <http://www.grants.gov>. Please note when submitting your application electronically, you are required, additionally, to mail a signed SF 424 to Nicole Nicholson, Centers for Medicare & Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. The mailed SF 424 form may be received at the Centers for Medicare & Medicaid Services within 2 business days of the application closing date.

**Award Procedure:**

How the Merit of Applications Will Be Determined: CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: "Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the "Eligibility Information" section of the solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the "Applicant Eligibility" section of this solicitation will not be reviewed." Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the "Application Review Criteria Information" section of the solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of the solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Please visit <http://www.grants.gov> for application deadline. For information on how to get started with Grants.gov, please visit [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). We strongly recommend that you do not wait until the application deadline date to begin the application process through Grants.gov. We recommend you visit Grants.gov at least 30 days prior to filing your application to fully understand the process and requirements. We encourage applicants to submit well before the closing date.

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project.

**Appeals:**

Appeals are governed by Title 45--Public Welfare. SUBTITLE A-- DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16-- PROCEDURES OF THE DEPARTMENTAL GRANT APPEALS BOARD.

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that

remain unspent will be carried over to the next year of the Grant. Funding for years 2008 - 2011 will be awarded on a Continuation Grant to each State based on their approved Financial Neutrality Formula and updated Implementation Plan. Any funding allocated for the Federal match for home and community-based services provided under the demonstration that remains unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

A State receiving an award under this solicitation will receive reimbursement for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP). Administrative costs will be reimbursed according to the requirements of CFR 42, Section 433.15.

**Length and Time Phasing of Assistance:**

The demonstration period is five years. Budget Period: The budget period is from FY 2007 through FY 2011.

**Reports:**

Financial Status Report, form (SF-269), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements imposed. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the IP phase of the Demonstration Semi-Annual Progress Reports: Web-based reports in a pre-determined format will be required to be submitted semi-annually. The submission of the finalized IP will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The IP will be considered the First report due under this demonstration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997).

**Records:**

Required to follow 45 CFR 74.53.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$21,325,721; FY 08 \$37,168,000; and FY 09 est \$49,168,000.

**Range and Average of Financial Assistance:**

Floor: \$21 million; Ceiling \$21 million for FY 07; \$37 million for FY 08.

**PROGRAM ACCOMPLISHMENTS:**

This is a new grant demonstration with first year awards made in FY 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(CFR 42, 441.150 - 441.182) PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21. The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. (CFR 483.350 - 483.376) Conditions of Participation on the use of restraint and seclusion). Under this demonstration States are granted the same waiver provisions provided to States who operate a section 1915 (c) waiver program. The three waiver provisions of Title XIX of the Social Security Act (the Act) are as follows: 1902 (a)(10)(B) (Comparability) The waiver of this provision of the Act permits a State to limit the provision of waiver services to Medicaid beneficiaries who require the level of care in an institutional setting, are in the target group(s) specified in the waiver, and offer services to waiver participants that are not provided to other Medicaid beneficiaries. 1902(a) (1) (State- wideness). The Secretary may grant a waiver of this provision of the Act in order to permit a State to limit the operation of a waiver to specified geographic areas of the State; and 1902(a) (10) (C) (i) (III) (Income and Resources for the Medically Needy). A State may request a waiver of this provision in order to apply institutional income and resources rules for the medically needy to persons in the community who otherwise qualify for waiver services. Additionally, States program design under this demonstration shall comply with existing Medicaid statutory and regulatory requirements governing the administration and operation of a section 1915 (c) waiver program, especially the six statutory assurances that are located in 42 CFR 441.302. HCBS waiver application for more detailed guidance on this subject found at: [http://www.cms.hhs.gov/HCBS/02\\_QualityToolkit.asp#TopOfPage](http://www.cms.hhs.gov/HCBS/02_QualityToolkit.asp#TopOfPage). By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP). (See Attachment 6 in the solicitation materials, for a list of home and community-based service categories). Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. A complete electronic application package, including all required forms, for this



demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website:

[http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf) Usual Requirements that must be adhered to by law and regulation: A. Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. B. All grantees receiving awards under

thesegrantprograms must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Ronald Hendler, Centers for Medicare & Medicaid Services, Center for Medicaid and State Operations, 7500 Security Boulevard, Mail Stop S2-14- 26, Baltimore, MD 21244. Telephone: (410) 786-2267. E-mail address: [ronald.hendler1@cms.hhs.gov](mailto:ronald.hendler1@cms.hhs.gov) .

**Web Site Address:**

<http://www.cms.hhs.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

The Application submission will include a systems assessment, demonstration design and Financial Neutrality Form, following the application instructions in Section IV of the solicitation. Through a competitive process, 10 applications will receive awards. The 10 States receiving awards will be required to submit an Implementation Plan. States receiving an award under this solicitation will have nine months to complete the Implementation Plan for Centers for Medicare & Medicaid Services (CMS) review and approval. CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the Eligibility Information section of this solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the Applicant Eligibility section of this solicitation will not be reviewed. Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the Application Review Criteria Information section of this solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the Award Information section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**93.790 ALTERNATE NON-EMERGENCY SERVICE PROVIDERS OR NETWORKS**

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.

**OBJECTIVES:**

To provide Federal payments to States for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds from this program may be used for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. Permissible administrative costs will be determined in accordance with the Office of Management and Budget (OMB) circular No. 87 "Cost Principals for States and Local Governments".

**Preapplication Coordination:**

The Centers for Medicare and Medicaid Services (CMS) will issue guidance to States via a State Medicaid Director (SMD) letter regarding the application requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A State may submit only one application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov) .

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Please contact CMS for application deadline.

**Range of Approval/Disapproval Time:**

60 to 90 days.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

In providing for payments to States under subsection 1903(y) of the Act, the Secretary shall provide preference to States that establish, or provide for, alternate non-emergency services providers or networks of providers that: (1) serve rural or underserved areas where Medicaid beneficiaries may not have regular access to providers of primary care services; or (2) providers are in partnership with local community hospitals and/or (3) States who submit a State plan amendment for section 1916 A(e) for hospitals to impose cost sharing for non-emergency services provided in a hospital emergency department. No matching funds are required for this program.

**Length and Time Phasing of Assistance:**

Project Period: Under this legislation, a total of \$50,000,000 over 4 years (FY 2006-2009) has been made available for the establishment of alternate non-emergency service providers or networks of such providers to provide non-emergency care. CMS will have two separate competitive grant solicitations as follows: 1st FFY 2006 and 2007; 2nd FFY 2008 and 2009. Budget Period: FY 2006, 2007, 2008, and 2009.

**Reports:**

States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997).

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained three years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$12,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Grant funds will be allocated based on the number of States that apply and meet the grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

None. New Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS will provide application guidance in the form of a State Medicaid Director letter. The letter may be located at [www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Lyn Killman, Health Insurance Specialist, Centers for Medicare and Medicaid

Services, 7500 Security Boulevard, Mail Stop S2-01-16, Baltimore, MD 21244. Telephone: (410) 786-5951 E-mail: Lyn.Killman@cms.hhs.gov and Wanda Pigatt-Canty, Health Insurance Specialist, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop S2-01-16, Baltimore, MD 21244. Telephone: (410) 786-6177. E-mail: wanda.pigatt-canty@cms.hhs.gov.

**Web Site Address:**

www.cms.hhs.gov/GrantsAlternaNonEmergServ/ .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

## **93.791 MONEY FOLLOWS THE PERSON REBALANCING DEMONSTRATION**

(Money Follows the Person Demonstration)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 6071, Public Law Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

For more than a decade, States have been asking for the tools to modernize their Medicaid programs. With the enactment of the Deficit Reduction Act (DRA) of 2005, States now have new options to rebalance their long-term support programs to allow their Medicaid programs to be more sustainable while helping individuals achieve independence. The Money Follows the Person (MFP) Rebalancing Demonstration (MFP Demo), created by section 6071 of the Deficit Reduction Act of 2005 (P.L. 109-171), supports State efforts to "rebalance" their long-term support systems by offering \$1.75 billion over 5 years in competitive grants to States. Specifically, the demonstration will support State efforts to: "Rebalance their long-term support system so that individuals have a choice of where they live and receive services." Transition individuals from institutions who want to live in the community. Promote a strategic approach to implement a system that provides person centered services and a quality management strategy that ensures the provision of, and improvement of such services in both home and community-based settings and institutions. The demonstration provides for enhanced federal medical assistance percentage (FMAP) for 12 months for qualified home and community-based services for each person transitioned from an institution to the community during the demonstration period. Eligibility for transition is dependent upon residence in a qualified institution. The State may establish the minimum timeframe for residence between 6 months and two years as required by Section 6071(b)(2)(A) of the DRA. The State must continue to provide community-based services after the 12 month period for as long as the person needs community services and is Medicaid eligible. Demonstration grants will be awarded to States from January 1, 2007 through September 30, 2011. CMS will accept one proposal from each State interested in participating in the demonstration program. The Single State Medicaid Agency must be the lead applicant. States must propose a demonstration period of no less than two consecutive fiscal years but no greater than five years. The State will indicate in its application the targeted group(s) and number of individuals it intends to transition. In making awards, CMS will give preference to States if they include multiple target groups including older individuals, and if they propose to deliver self-directed services. The number of demonstration projects approved by CMS depends largely on the scope (i.e., proposed enrollment and breadth of services) and quality of the proposed projects. Under the demonstration project, the State must propose a system of Medicaid home and community-based care that will be sustained after the demonstration period and is deemed qualified by the Secretary. Specifically, the program must be conducted in conjunction with a "qualified HCBS program" which is a program that is in operation (or approved) in the State for such individuals in a manner that assures continuity of Medicaid coverage of services in the qualified HCBS program for eligible individuals. States may also propose to enhance the services they will provide during the demonstration period to achieve greater success with transition. States will be required to participate in a national qualitative and quantitative evaluation conducted by CMS. Data collected on a national level will help evaluate the core objectives of the statute that are listed below.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Indirect Costs: The provisions of the OMB Circular A-87 govern reimbursement of indirect costs under this solicitation. A copy of OMB Circular A-87 is available online at: <http://www.whitehouse.gov/omb/circulars/a087/a087.html>.

**Applicant Eligibility:**

Applicants must be any single State Medicaid Agency, State Mental Health

Agency, or instrumentality of the State may apply for this Demonstration Grant. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

As defined in Section 6071(b)(2) of the DRA, the term "eligible individual" means, with respect to an MFP demonstration project of a State, an individual in the State who, immediately before beginning participation in the MFP demonstration project: (i) resides (and has resided, for a period of not less than 6 months or for such longer minimum period, not to exceed 2 years, as may be specified by the State) in an inpatient facility; (ii) is receiving Medicaid benefits for inpatient services furnished by such inpatient facility; and (iii) with respect to whom a determination has been made that, but for the provision of home and community-based long-term care services, the individual would continue to require the level of care provided in an inpatient facility and, in any case in which the State applies a more stringent level of care standard as a result of implementing the State plan option permitted under section 1915 (i) of the Social Security Act, the individual must continue to require at least the level of care which had resulted in admission to the institution.

**Credentials/Documentation:**

Applications can only be submitted by the single State Medicaid agency. A cover letter must accompany the application. The cover letter must be signed by the State Medicaid Director, and must indicate the title of the project, the principal contact person, the amount of funding requested, and the names of the major partners actively collaborating in the project.

**Preapplication Coordination:**

Applicants are encouraged to submit a non-binding Notice of Intent to Apply. Notices of Intent to Apply are not required and their submission or failure to submit a notice has no bearing on the scoring of proposals received. But receipt of such notices enables CMS to better plan for the application review process. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must submit their applications electronically through <http://www.grants.gov>. Please note when submitting your application electronically, you are required, additionally, to mail a signed SF 424 to Nicole Nicholson, Centers for Medicare and Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. The mailed SF 424 form may be received at the Centers for Medicare and Medicaid Services within 2 business days of the application closing date.

**Award Procedure:**

An independent review of all applications will be conducted by a panel of experts including members of the disability community, advocates, providers and staff from State and Federal agencies including CMS. The review panel will assess each application to determine the merits of the proposal and the extent to which it furthers the purposes of the demonstration program. The panel will evaluate each application for further review by CMS. CMS reserves the right to request that States revise or otherwise modify certain sections of their proposals based on the recommendations of the panel and the budget. A low score in one or two areas, even if offset by high scores in other areas, may result in a rejection of the proposal. Final approval of demonstration projects will be made by the Administrator of CMS after consideration of the comments and recommendations of the review panelists, program office recommendations, and the availability of funds. CMS reserves the right to approve or deny any or all proposals for funding. CMS seeks to achieve reasonable balance among the grants to be awarded in a particular category in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

The deadline for applications is November 1, 2009, (11:59pm Eastern Standard Time).

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project. Unsuccessful applicants will be notified by letter, sent through the U.S. Postal Service to the applicant organization as listed on its SF 424, after December 1, 2009.

**Appeals:**

Appeals are governed by Title 45--Public Welfare SUBTITLE A-- DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16--

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

A State receiving an award under this solicitation will receive reimbursement for home and community-based services provided under the demonstration on a quarterly basis at the following Federal Medical Assistance Percentage (FMAP) rates: Service Category Match rate for 12-month demonstration period "Qualified HCB program" services Enhanced match HCB Demonstration services Enhanced match Supplemental Demonstration services Regular FMAP rate Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15.

**Length and Time Phasing of Assistance:**

The demonstration period is five years. The project period is from January 1, 2007 through September 30, 2011. The budget period is from January 1, 2007 through September 30, 2011.

**Reports:**

Financial Status Report, form (SF-269), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements imposed. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the IP phase of the Demonstration Semi-Annual Progress Reports: Web-based reports in a pre-determined format will be required to be submitted semi-annually. The submission of the finalized IP will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The IP will be considered the First report due under this demonstration.

**Audits:**

Audits must be in accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997).

**Records:**

Grantees are required to follow 45 CFR 74.53.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

FY 07 \$45,935,063; FY 08 \$350,470,000; and FY 09 est \$349,270,000.

**Range and Average of Financial Assistance:**

There is not a prescribed or predetermined maximum floor or ceiling grant award. Each State is unique in the numbers of individuals that will be projected for transition under the demonstration grant. In addition, the costs of individuals transitioning to community settings may vary, by targeted population. Applicants are advised to request a grant award that is sufficient in the amount needed to transition the projected individuals into community settings. CMS reserves the right to reduce the requested grant award, based on the number and size of additional grant awards given under this demonstration, as well as because of concerns contained within a State's application (i.e., concerns with the number or costs of individuals projected for transition by the individual State).

**PROGRAM ACCOMPLISHMENTS:**

This is a new demonstration grant opportunity. First year awards were made available after January 1, 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To promote effective outcomes from the demonstration, the statute provides waiver authority for four provisions of title XIX of the Social Security Act, to the extent necessary to enable a State initiative to meet the requirements and accomplish the purposes of the demonstration. These provisions are: 1. Statewide (Section 1902(a)(1) of the Social Security Act) - in order to permit implementation of a State initiative in a selected area or areas of the State. 2. Comparability (Section 1902(a)(10)(B)) - in order to permit a State initiative to assist a selected category or categories of individuals enrolled in the demonstration. 3. Income and Resource Eligibility (Section 1902(a)(10)(C)(i)(III)) - in order to permit a State to apply institutional eligibility rules to individuals transitioning to community-based care. 4. Provider agreement (Section 1902(a)(27)) - in order to permit a State to implement self-direction services in a cost-effective manner for purposes of this demonstration program. By "State" we refer to the definition provided under 45 CFR 74.2 as any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP) or the State's Enhanced FMAP, as specified in the solicitation. Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. A complete electronic application package,

including all required forms, for this demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances - Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website: [http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf) Usual Requirements that must be adhered to by law and regulation: Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. All grantees receiving awards under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office Program Contact: Cathy M. Cope, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop S2-14-26, Baltimore, MD 21244. Telephone: (410) 786-8287. Web Site Address: [http://www.cms.hhs.gov/NewFreedomInitiative/02\\_WhatsNew.asp](http://www.cms.hhs.gov/NewFreedomInitiative/02_WhatsNew.asp).

**Web Site Address:**

[www.cms.hhs.gov/NewFreedomInitiative/02\\_WhatsNew.asp](http://www.cms.hhs.gov/NewFreedomInitiative/02_WhatsNew.asp).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Awards have not been made for this demonstration. Deadline for application is November 1, 2006.

**CRITERIA FOR SELECTING PROPOSALS:**

The application for this demonstration is comprised of the following 4 parts: Part 1: Systems Assessment and Gap Analysis Part 2: Demonstration Design Part 3: Preliminary Operational Plan and Budget Part 4: Assurances (as defined by statute) An independent review of all applications will be conducted by a panel of experts including members of the disability community, advocates, providers and staff from State and Federal agencies including CMS. The review panel will assess each application to determine the merits of the proposal and the extent to which it furthers the purposes of the demonstration program. The panel will evaluate each application for further review by CMS. CMS reserves the right to request that States revise or otherwise modify certain sections of their proposals based on the recommendations of the panel and the budget. A low score in one or two areas, even if offset by high scores in other areas, may result in a rejection of the proposal. Final approval of demonstration projects will be made by the Administrator of CMS after consideration of the comments and recommendations of the review panelists, program office recommendations, and the availability of funds. CMS reserves the right to approve or deny any or all proposals for funding. CMS seeks to achieve reasonable balance among the grants to be awarded in a particular category in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**93.793 MEDICAID TRANSFORMATION GRANTS**

(Medicaid Transformation Grants)

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006, Section 6081, Medicaid Transformation Grants.

**OBJECTIVES:**

To provide Federal payments to States for the adoption of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds from the program may be used to fund the following examples of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance and are not limited to: (1) methods for reducing patient error rates through the implementation and use of electronic health record, electronic clinical decision support tool, or e-prescribing programs, (2) methods for improving rates of collection from estates of amounts owed under Medicaid,



(3) methods to reduce waste, fraud and abuse under Medicaid, such as reducing improper payment rates as measured by annual error rate measurement (PERM), (4) implementation of medication risk management program as part of a drug use review program under section 1927(g), (5) methods for reducing, in clinically appropriate ways Medicaid expenditures for covered outpatient drugs, particularly in the categories of greatest drug utilization, by increasing the utilization of generic drugs through the use of education programs and other incentives to promote greater use of generic drugs, and (6) methods of improving access to primary and specialty physician care for the uninsured using integrated university-based hospital and clinic systems. RESTRICTIONS -- States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. Permissible administrative costs will be determined in accordance with Office of Management and Budget (OMB), Circular No. 87, "Cost Principals for States and Local Governments."

**Preapplication Coordination:**

The Centers for Medicare and Medicaid Services (CMS) will issue guidance to States via a State Medicaid Director (SMD) letter regarding the application requirements. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

A State may submit only one application. More than one program concept proposal and budget may be included in the application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov).

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

All applications are due to CMS by October 2, 2009.

**Range of Approval/Disapproval Time:**

60 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The law specifies that the method of allocating funds to States shall prefer States that design programs that target health providers that treat significant numbers of Medicaid beneficiaries. Such method shall provide that not less than 25 percent of such funds shall be allocated among States the population of which (as determined according to data collected by the United States Census Bureau) as of July 1, 2004, was more than 105 percent of the population of the respective State (as so determined) as of April 1, 2000. No matching funds are required for this program.

**Length and Time Phasing of Assistance:**

Project Period: Under the legislation, a total of \$150,000,000 has been made available for the Medicaid Transformation grants. \$75,000,000 is available for obligation in FY 2007 and another \$75,000,000 is available for obligation in FY 2008. All \$150,000,000 will be awarded in a single grant solicitation at the beginning of FY 2007 that will cover both years of the program. Funds for FY 2008 activities/obligations will not be available until FY 2008. Budget Period: FY 2007 and FY 2008.

**Reports:**

States will be required to submit an annual report to CMS related to the programs supported by this award and the report shall include at a minimum: (1) the specific uses of the funds (2) an assessment of quality improvements and clinical outcomes under this program and (3) estimates of cost savings resulting from this program. In addition, States will be required to submit financial reports as required by CMS.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997).

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained 3 years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Grants) FY 07 \$75,000,000; FY 08 \$75,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Grant funds will be allocated based on the number of States that apply and meet the grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS will provide application guidance in the form of a State Medicaid Director letter. The letter may be located at [www.cms.hhs.gov/MedicaidTransGrant/](http://www.cms.hhs.gov/MedicaidTransGrant/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Tonya Moore, Health Insurance Specialist, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop S2-01-16, Baltimore, MD 21244. Telephone: (410) 786-0019, E-mail:

[Tonya.Moore@cms.hhs.gov](mailto:Tonya.Moore@cms.hhs.gov) and Wanda Pigatt-Canty, Health Insurance Specialist, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop S2-01-16, Baltimore, MD 21244. Telephone: (410) 786-6177 E-mail: [wanda.pigatt-canty@cms.hhs.gov](mailto:wanda.pigatt-canty@cms.hhs.gov).

**Web Site Address:**

[www.cms.hhs.gov/MedicaidTransGrant/](http://www.cms.hhs.gov/MedicaidTransGrant/)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

## 93.794 REIMBURSEMENT OF STATE COSTS FOR PROVISION OF PART D DRUGS

**FEDERAL AGENCY:**

CENTERS FOR MEDICARE AND MEDICAID SERVICES, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Authorized under Section 402 of the Social Security Amendment of 1967, as amended.

**OBJECTIVES:**

To ensure that the Medicare and Medicaid programs can respond expeditiously to the needs of the dual-eligible beneficiaries and beneficiaries who have enrolled in a Part D plan and have been determined to be eligible for the low-income subsidy. This demonstration would allow States, that have assisted with their dual eligible and low-income subsidy entitled populations in obtaining and accessing Medicare Part D coverage, to be reimbursed for their efforts.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The demonstration permits Medicare payment to be made to States for amounts they have paid for a dual-eligible's Part D drugs, or a low-income subsidy entitled Part D plan enrollee's Part D drugs, to the extent that those costs are not otherwise recoverable from a Part D plan and are not required Medicaid cost-sharing on the part of the beneficiary. In addition to providing Medicare funds to reimburse amounts paid by States for Part D drugs, the demonstration would also provide payments for certain administrative costs incurred by States.

**Applicant Eligibility:**

State: Must have incurred costs in assisting dual eligibles and other low-income subsidy entitled beneficiaries receive the prescription medications they need.

**Beneficiary Eligibility:**

State: Must have incurred costs in assisting dual eligibles and other low-income subsidy entitled beneficiaries receive the prescription medications they need.

**Credentials/Documentation:**

Federal (Medicare) funds must go to a State Medicaid Agency with appropriately approved Section 402 demonstration proposals. Administrative costs will be determined in accordance with OMB Circular A-87 "Cost Principles for State and Local Governments".

**Preapplication Coordination:**

States are encouraged to work with CMS in the development of their section 402 Medicare demonstration proposal. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

States will complete an application as provided by CMS to request approval for participation in this Medicare demonstration.

**Award Procedure:**

Approved States will receive an initial payment based on CMS' review of submitted claims data to verify that the beneficiary is a dual eligible beneficiary or a low-income subsidy entitled beneficiary as defined in this demonstration and that the prescription drug is a Part D drug. CMS will also reimburse the State for additional costs determined by CMS to be eligible under the demonstration, including costs due to the State for drug payments that exceed plan payments, as well as allowed administrative costs specified in the demonstration application.

**Deadlines:**

The State costs eligible for reimbursement under this Medicare demonstration must be related to the provision of Part D drugs to dual eligible and low-income subsidy entitled beneficiaries dispensed during the period of January 1, 2009 and no later than March 31, 2009.

**Range of Approval/Disapproval Time:**

The State costs eligible for reimbursement under this Medicare demonstration must be related to the provision of Part D drugs to dual eligible and low-income subsidy entitled beneficiaries dispensed during the period January 1, 2009 to no later than March 31, 2009.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. It is being funded under the Federal Supplementary Medical Insurance Trust Fund. THE STATES ARE NOT TO USE THE MEDICARE FUNDING UNDER THIS DEMONSTRATION AS STATE MEDICAID MATCHING FUNDS.

**Length and Time Phasing of Assistance:**

Project Period: No payments shall be made for State costs associated with the provision of Part D drugs to dual-eligible and low-income subsidy entitled beneficiaries that are incurred after March 31, 2009. Budget Period: Qualifying costs are reimbursed in full.

**Reports:**

States must submit fiscal and statistical reports, as required by CMS.

**Audits:**

The States may be subject to audit by other Federal agencies including the Office of the Inspector General.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the demonstration shall be retained for at least three years or until resolution of any audit questions.

**Account Identification:**

75-8308-0-7-571.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Floor: \$0; Ceiling: Federal contractor will compute the reconciliation payments the Federal government will make to the States for amounts the State paid in excess of Part D prescription drug plan payments and associated administrative costs realized during the Part D prescription drug plan transition period.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Contact the Regional Administrator, Centers for Medicare and Medicaid Services (see appendix IV of the Catalog for addresses and telephone numbers).

**Headquarters Office:**

Program Contact: Christine Hinds, Centers for Medicare and Medicaid Services, 7500 Security Boulevard, Mail Stop C1-26-12, Baltimore, MD 21244. Telephone: (410) 786-4578.

**Web Site Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.778, Medical Assistance Program; 93.774, Medicare\_Supplementary Medical Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**93.822 HEALTH CAREERS OPPORTUNITY PROGRAM**

(HCOP)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 739, 42 U.S.C. 293c, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392.

**OBJECTIVES:**

The HCOP program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete to enter and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid/information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends.

**Applicant Eligibility:**

Eligible applicants include accredited schools of medicine, osteopathic medicine, public health, dentistry, veterinary medicine, optometry, pharmacy, allied health, chiropractic, podiatric medicine, public and nonprofit private schools that offer graduate programs in behavioral and mental health, programs for the training of physician assistants, and other public or private nonprofit health or educational entities.

**Beneficiary Eligibility:**

Students who meet the definition of either educationally or economically disadvantaged, and who express an interest in pursuing a health degree program are eligible for participation in an HCOP program during their primary, secondary pre-professional, and professional education. Students must be U.S. citizens, non-citizen nationals, or foreign nationals who possess a visa permitting permanent residence in the United States. An individual will be determined to be disadvantaged if he or she comes from a background that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preamplification Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

Competitive continuations may be submitted during the final budget period within an approved project period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Projects periods are 3 years.

**Reports:**

A Uniform Summary Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. An annual financial status report are required 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely

resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$3,957,000; FY 08 est \$9,825,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

In FY 2008, it is estimated that there will be 1 competing continuation award and 14 new competing awards issued. The range of FY 2008 financial assistance is estimated to be \$66,083 to \$1,454,970, with an average award of \$618,803. A competitive application cycle is not planned for FY 2009.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2007, there were 4 non-competing continuations. In FY 2008, it is estimated that there will be 15 HCOP projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Stuart Weiss, Acting Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Summer and academic year projects were conducted offering preliminary education at pre-health professions schools and U.S. health and allied health professions schools for facilitating entry and retention activities for individuals from disadvantaged backgrounds.

**CRITERIA FOR SELECTING PROPOSALS:**

All competitive applications will be reviewed on the basis of: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools, (2) the needs assessment study, (3) the established relationship between the program's stated needs, objectives, and outcomes, (4) the project's plan for developing and expanding the pool of competitive health professions school applicants, (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group, (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program, (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established, (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved, (9) the budget's demonstration of effective utilization of grant funds and how reasonable is the request, (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period, (10) the demonstrated knowledge and expertise the applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from private, philanthropic, business and other government entities.

**93.824 BASIC/CORE AREA HEALTH EDUCATION CENTERS**

(AHEC)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 751(a)(1), as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

The Basic/Core Area Health Education Centers (BAHEC) Program and Model State Supported Area Health Education Centers (MAHEC) Program goals are to assist schools to improve the distribution, diversity, supply, and quality of health personnel in the health services delivery system, and to attract and retain health

personnel in underserved areas. The AHEC Program awardees link the academic resources of medical schools and participating health professions schools with local educational and clinical sites, and thereby establish a network of community-based training sites to provide educational services to health professions students, faculty-preceptors and health care providers in underserved areas, and ultimately, to improve the delivery of health care in an underserved region or in an entire state. Emphasis is placed on community-based training of health professions students, primary care-oriented medical residents, local providers, and also 9-12 grade students. The BAHEC program assists schools in the initial planning, development and implementation of community-based Area Health Education Centers (AHECs) which assist schools and organize the training of at least three health professions disciplines at training-service delivery sites in rural and underserved areas, of a region or an entire state. Schools which complete Basic AHEC Program development, then compete for Model AHEC Program awards in partnership with affiliated (contracted) AHEC Centers to maintain and enhance/expand training programs and training sites responsive to local, State and Federal needs and priorities. The BAHEC and MAHEC programs embrace the goal of increasing the number of health professions graduates who ultimately practice in underserved areas. Both AHEC programs carry out health careers recruitment and enhancement activities to attract high school students from underserved areas into health careers.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreements may not be used for construction, patient services, nor student tuition or stipends.

**Applicant Eligibility:**

Eligible applicants for Area Health Education Centers (AHEC) Program cooperative agreements under Section 751(a)(1) include public or private nonprofit accredited schools of medicine and osteopathic medicine and incorporated consortia made up of such schools, or the parent institutions of such schools. Also, in States in which no AHEC program is in operation, an accredited school of nursing is an eligible applicant.

**Beneficiary Eligibility:**

Accredited public or nonprofit schools of allopathic medicine or osteopathic medicine, the parent institution on behalf of such schools, and also, accredited schools of nursing in States in which no AHEC program is in operation.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 4 to 6 months from receipt of application.

**Appeals:**

None.

**Renewals:**

Competitive continuations may be submitted during the final budget year of the approved project.

**Formula and Matching Requirements:**

Awardees shall make available (directly through contributions from State, county or municipal government, or the private sector) non-Federal contributions in cash in an amount not less than 50 percent of the operating costs of the AHEC Program, except that the Secretary may grant a waiver for up to 75 percent of the amount required in the first 3 years in which an awardee receives funds under this section: Section 751 (a)(1) of the PHS Act as amended.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during appropriate budget period.

**Reports:**

A Uniform Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in



Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants-Cooperative Agreements) FY 07 \$12,262,320; FY 08 est. \$13,200,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$285,321 to \$2,652,203; \$1,158,546.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, seven competing and seven non-competing applications for a total of 14 Basic AHEC Program awards were made. It is expected that 13 awards will be made in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

David Hanny, Ph.D., M.P.H, or CAPT Norma Hatot, Program Officers, AHEC Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-6950.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

All projects are funded to meet the objectives as stated above. Community-based primary care training is provided at three levels: (1) Undergraduate medical students plus at least two associated health professions, e.g., nursing dentistry, mental health, pharmacy, allied health; (2) graduate-primary care residents, e.g., family medicine, general internal medicine or general pediatrics; and (3) continuing education- to full range of local providers, including NHSC personnel. Health career training experiences to be provided to elementary or secondary students from medically underserved areas. Funded programs are listed at <http://bhpr.hrsa.gov/ahec/basic.htm> .

**CRITERIA FOR SELECTING PROPOSALS:**

In determining the funding of applications, consideration is given to: (1) NEED Demonstrates an understanding of the purpose of the AHEC program, and demonstrates an understanding of the identified need(s) as evidenced by the applicant's description of target population(s) and geographic areas validated with supporting data, demographics, health status of the target population(s), and associated contributing factors which the proposed AHEC project intends to address in the area(s) to be served by the area health education center(s); (2) RESPONSE The degree to which the proposed project responds to the program requirements as set forth in Sections 751(a)(1) and 751(a)(2) of the PHS Act, as amended; degree to which project activities address the AHEC Project and Center requirements; clarity of the project objectives and their relationship to the identified need(s); extent to which project objectives are measurable and attainable within the stated timeframe; clarity of the proposed work plan and mechanisms to assure that satisfactory progress is attained; extent to which the project fulfills the cost sharing/matching requirements; degree to which project challenges and plans to overcome barriers are addressed; and degree to which the project meets the Medical School 10 Percent Requirement; (3) EVALUATIVE MEASURES The adequacy of the evaluation strategy to monitor and evaluate project results: potential of evaluative measures to assess the extent to which project objectives are met and to what extent these can be attributed to the project; clarity of methods and techniques that will be used to measure, analyze, and report the outcomes of each objective; and the extent to which the proposed project adequately responds to AHEC Program performance measures and outcome indicators; the points will be allocated across the performance measures of Distribution, Diversity, and Quality; (4) IMPACT The potential of the proposed AHEC program and participating center(s) to continue on a self-sustaining basis; identification of plans for effective, efficient dissemination of project results; potential of project results to be of national significance; and

potential for replication of project activities; (5) RESOURCES/CAPABILITIES Evidence of qualifications in key personnel bio-sketches; evidence of adequate staffing plan for proposed project; evidence of ability to implement complex programs with similar requirements; evidence of institutional support, e.g., resources and letters of support; and evidence of successful partnerships and linkages with academic and community-based organizations; (6) SUPPORT REQUESTED Evidence of a reasonable detailed budget and budget rationale to accomplish the project objectives; evidence of fiscal capability to successfully manage cooperative agreements and contracts; and evidence of efforts to become self-sufficient, e.g., other sources of income, income generation plans, and future funding strategies.

## 93.837 CARDIOVASCULAR DISEASES RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Reauthorization Act of 2000, Public Law 106-554.

**OBJECTIVES:**

To foster research and prevention, education, and control activities related to heart and vascular diseases and to develop young scientist investigators in these areas. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. Individual Predoctoral and Postdoctoral National Research Service Awards (NRSA) are made directly to individuals for research training in specified biomedical shortage areas. Institutional NRSA awards may be made to eligible institutions to enable them to appoint individuals selected by the institution. Certain service and paycheck provisions may apply to postdoctoral individuals upon termination of the award or termination of the appointment. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Some Phase II awardees may be eligible to apply for funds to continue research for up to three years beyond the original Phase II award. Eligible projects involve assessment and improvement of drugs or devices or propose to conduct preclinical studies of drugs or devices that ultimately require: 1) clinical evaluation and/or 2) approval of a Federal regulatory agency. The product being developed must be one for which Federal regulatory approval (e.g., FDA) is a required step toward commercialization. Prospective applicants are strongly encouraged to contact NIH staff to determine eligibility. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Any nonprofit organization engaged in biomedical research and institutions or companies organized for profit may apply for almost any kind of grant. Only domestic, non-profit, private or public institutions may apply for NRSA Institutional Research Training Grants. An individual may apply for an NRSA or, in some cases, for a research grant if adequate facilities to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed, and have no more

than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) that formally collaborate with a university or other non-profit research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

**Beneficiary Eligibility:**

Research project grants and cooperative agreements, training and career development grants, and SBIR and STTR grants.

**Credentials/Documentation:**

Individual NRSAs and Institutional NRSA trainees must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must possess a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organization costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with DHHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present, in a research plan, an idea that has potential for commercialization and must furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. The grant application form SF424 (R&R) is used to apply for all SBIR and STTR grants.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual and Institutional NRSA award applications may be obtained from and submitted to: Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://grants.nih.gov/grants/oe.htm>. The Solicitation includes submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted electronically submitted through the federal portal of Grants.gov.

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff inform applicants of the results of the review. If support is contemplated, staff initiate preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Research Grants: February 5, June 5, and October 5 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplementals: March 5, July 5, and November 5. Institutional NRSAs: January 25 (new, resubmission, amended, and renewal applications) and September 25 (resubmission and amended applications). Individual NRSA: April 8, August 8, and December 8. SBIR and STTR Grants: April 5, August 5, and December 5.

**Range of Approval/Disapproval Time:**

Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 9 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the National Heart, Lung, and Blood Institute.

**Renewals:**

Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods typically ranging from one to five years. Funding commitments are made annually. Usually, SBIR Phase I awards are for six months and Phase II for two years, and STTR Phase I awards are for one year and Phase II are for two years.

**Reports:**

Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Grants) FY 07 \$1,556,459,000; FY 08 est \$1,556,459,000; and FY 09 est \$1,556,459,000.

**Range and Average of Financial Assistance:**

Grants: \$16,600 to \$4,444,879; \$441,745. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 2,930 research grants and National Research Service Awards were made. The estimates of fiscal year 2008 are 2671 research grants and 259 National Research Service awards. The estimates for fiscal year 2009 are 2,671 research grants and 259 National Research Service Awards. In fiscal year 2007, for new and competing renewal awards: 4,070 grant applications were received, and of these, 814 were awarded; 304 National Research Service Award applications were received, and of these, 72 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2007, 34 Phase I awards, and 16 Phase II awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; "NIH Guide for Grants and Contracts, and Supplements"; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Director, Division of Heart and Vascular Diseases, National Heart, Lung, and Blood Institute, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0466. SBIR Program: Deputy Director, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0266. Grants Management Contact: Grants Management Officer, Grants Operations Branch, National Heart, Lung, and Blood Institute, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0166. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

93.838, Lung Diseases Research; 93.839, Blood Diseases and Resources Research.

**EXAMPLES OF FUNDED PROJECTS:**

EXAMPLES OF FUNDED PROJECTS (1) Investigator-initiated research project grants on the surgical treatment of cardiac arrhythmias, on growth-factor mediation of healing in vascular grafts, and on mechanisms for cardiovascular control early in diabetes. (2) Institute-initiated research project grants on stem cell research in cardiomyopathy, on using adult stem cells to repair cardiac damage, and on altered glucose and lipid metabolism in obesity and cardiovascular disease. (3) AIDS-related research project grants on cardiomyopathy, on mitochondrial nucleotide carriers, and on endothelial oxidative stress and atherosclerosis. (4) An institute-initiated program project, a center of excellence in gene therapy. (5) Investigator-initiated program project grants on genetic approaches to early cardiac development, on oxidative stress

and diabetic cardiovascular disease, and on the biomechanics of the heart, vessels, and blood cells. (6) Institute-initiated Specialized Centers of Research (SCORs) on the arterial wall and atherogenesis in mice and humans, and on heart failure. (7) Cooperative agreements for a clinical trial of the surgical treatment for ischemic heart failure, for a pediatric heart disease clinical research network, and for a center on fetal monkey gene transfer for heart, lung, and blood. (8) SBIR and STTR grants on tissue-engineered blood vessels, coatings to prevent thrombosis and restenosis, gene therapy for angiogenesis, pediatric circulatory support devices, continuous blood pressure monitors, and vascular imaging systems. (9) Training grants on translational cardiovascular science and medicine, on developmental cardiology and pulmonary training, and on cardiovascular biomechanics and imaging.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the importance of the problem the proposed research will address; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation of the proposed research; (5) the potential of the proposed research for commercial application; (6) the appropriateness of the budget requested; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.838 LUNG DISEASES RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To use available knowledge and technology to solve specific disease problems of the lungs; to promote further studies on the structure and function of the lung; and to achieve improvement in the prevention and treatment of lung diseases. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service

Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

#### **Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

#### **Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

#### **Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA applications may be obtained from and submitted to the Office of Research Manpower, Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and



STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Research Grants: February 1, June 1, and October 1 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplements: March 1, July 1, and November 1. Institutional NRSA: January 10 and May 10. Individual NRSA: April 5, August 5, and December 5. SBIR and STTR Grants: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Grants) FY 07 \$582,448,863; FY 08 est \$582,448,863; and FY 09 est \$582,448,863.

**Range and Average of Financial Assistance:**

\$41,250 to \$1,042,563; \$409,686. Small Business Innovation Research/Small Business Technology Awards: Phase I - \$100,000; Phase II - up to \$750,000 for STTR and up to \$750,000 for SBIR.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 1,213 research grants and 106 National Research Service Awards were made. The estimates for fiscal year 2008 are 1,213 research grants and 106 National Research Service Awards. The estimates for fiscal year 2009 are 1,213 research grants and 106 National Research Service Awards. In fiscal year 2007, for new and competing renewal awards: 1,595 grant applications were received, and of these, 319 were awarded; 200 National Research Service Award applications were received, and of these, 42 were awarded. Small Business Innovation Research/Technology Transfer Awards: In fiscal year 2007, 16 Phase I awards and 13 Phase II awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; "NIH Guide for Grants and Contracts, and Supplements"; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus

Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Dr. James Kiley, Director, Division of Lung Diseases, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892, Telephone: (301) 435-0233. Small Business Innovation Research Program: Mrs. Ann Rothgeb, Program Specialist, Airway Biology and Disease Program, Division of Lung Diseases, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0202. Grants Management. Contact: Ms. Suzanne White, Grants Management Officer, Grants Operations Branch, Division of Extramural Affairs, National Heart, Lung and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0144. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nhlbi.nih.gov>.

**RELATED PROGRAMS:**

93.837, Cardiovascular Diseases Research; 93.839, Blood Diseases and Resources Research; 93.233, National Center on Sleep Disorders Research.

**EXAMPLES OF FUNDED PROJECTS:**

(1) An individual research grant to investigate basic mechanisms of primary pulmonary hypertension, a lethal disease that causes progressive obstruction of small pulmonary arteries. This grant has established a national registry of familial primary pulmonary hypertension that is providing the framework for linkage analysis and the molecular search for basic mechanisms of this disease. (2) A multi-project grant dealing with cellular and molecular mechanisms underlying acute and chronic asthma. The focus of this program is on the mechanisms causing asthma in humans. The work includes laboratory projects, animal research, and human studies. The work includes laboratory projects and animal research concentrated on the cellular pathways of the asthmatic inflammatory process, focused on the mast cell, a critical cell type in asthma. (3) A Specialized Center of Clinically Oriented Research (SCCOR) grant in Translational Research in Acute Lung Injury. This grant consists of several projects that combine basic and clinical research with the goal of improving the outcome of patients with Acute Lung Injury. The investigators are studying novel mechanisms and treatments for this syndrome. The grant includes a clinical trial of Activated Protein C, to inhibit coagulation and inflammation, a study to identify the role of transforming growth factor B1 as a mechanism underlying the disease and a novel study of genetic factors that might increase susceptibility in patients with severe pneumonia and acute lung injury. The program includes genetic, proteomic, and molecular biological approaches in addition to the clinical trial. (4) An individual National Research Service Award to study the effect of the interruptions in breathing during sleep caused by sleep apnea. The investigator will study the expression of genes in response to intermittent hypoxia and sustained hypoxia, which cause pulmonary vasoconstriction and systemic vasodilation. The research training and coursework received under the award will provide a foundation of skills the investigator will use to study the deleterious effect of intermittent hypoxia on the cardiopulmonary system. (5) A Small Business Technology Transfer Program for development of a Thermal HydroSeal (THS) system that will allow surgeons to seal air leaks that arise on the raw lung surface exposed during a lobectomy. Surgical resections, are common procedures in lung cancer patients. Postoperative air leakage at the parenchymal surfaces following lung resections, is a frequent complication which can result in extended hospital stays. The development of this device will be useful to pulmonary physicians, providing them with an effective system to seal air leaks, which should improve patient recovery and reduce hospital stays.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the scientific, technical, or technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b)

protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; (8) The adequacy of plans to include both genders and minorities and their subgroups as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will be evaluated; and (9) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.839 BLOOD DISEASES AND RESOURCES RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Section 301, 422, and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285 and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To foster research and research training on the pathophysiology, diagnosis, treatment, and prevention of non-malignant blood diseases, including anemias, sickle cell disease, thalassemia; leukocyte biology, pre-malignant processes such as myelodysplasia and myeloproliferative disorders; hemophilia and other abnormalities of hemostasis and thrombosis; and immune dysfunction. Funding encompasses a broad spectrum of hematologic inquiry, ranging from stem cell biology to medical management of blood diseases and to assuring the adequacy and safety of the nation's blood supply. Programs also support the development of novel cell-based therapies to bring the expertise of transfusion medicine and stem cell technology to the repair and regeneration of human tissues and organs. Small Business Innovation Research (SBIR) program: To stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. These awards are made to small businesses working in collaboration with academic institutions. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. While the intent of the SBIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

#### **Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research and institutions (or companies) organized for profit may apply for grants, with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, or owned by another small business that itself is independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees including affiliates). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

#### **Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D, D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through Grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II).

#### **Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA award applications may be obtained from and submitted to: Office of Research Manpower, Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. For some special grant programs, applicants may be advised to submit directly to the Review Branch, Division of Extramural Affairs, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitation includes submission procedures, review considerations, and links to grant application or contract proposal forms. SBIR and STTR grant applications must be submitted electronically using the SF424 Research and Related (R&R) forms to Grants.gov. For questions about submission please call the GRANTSINFO office at Phone: (301) 435-0714 or send an E-mail: [grantsinfo@nih.gov](mailto:grantsinfo@nih.gov).

#### **Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Fellowship applications have a secondary review by the staff of the Institute. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparations of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority

score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research. Eligibility criteria must be verified prior to the competing award as stated in the SBIR/STTR Funding Opportunity Announcement and annual OMNIBUS SOLICITATION.

**Deadlines:**

New Research Grants: February 1, June 1, and October 1 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplementals: March 1, July 1, and November 1. Institutional NRSA: January 25 (new, resubmission, amended, and renewal applications) and September 25 (resubmission and amended applications). Individual NRSA: April 8, August 8, and December 8. SBIR and STTR Grants: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute.

**Renewals:**

Renewals require application and review in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," non-Federal entities that expend \$500,000 or more in its fiscal year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this circular. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: 1. a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements contained in OMB Circular No. A-133 (<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Grants) FY 07 \$409,262,576; FY 08 est \$409,262,576; and FY 09 est \$409,262,576.

**Range and Average of Financial Assistance:**

\$97,396 to \$999,972; \$427,867. Small Business Innovation Research/Small Business Technology Awards: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 795 research grants and 68 National Research Service Awards were made. The estimates for fiscal year 2008 are 795 research grants and 68 National Research Service Awards. The estimates for fiscal year 2009 are 795 research grants and 68 National Research Service Awards. In fiscal year 2007, for new and competing renewal awards 1055 grant applications were received, and of these, 211 were awarded; 84 National Research Service Award applications were received and of these 19 were awarded. Small Business Innovation Research/Technology Transfer Awards: In fiscal year 2007, 20 Phase I and 10 Phase II awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; "NIH Guide for Grants and Contracts, and Supplements"; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at

42 CFR 52 and 42 U.S.C 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: Dr. Susan Shurin, Acting Director, Division of Blood Diseases and Resources, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0080. Small Business Innovation Research Program: Ms. Susan Pucie, Senior Program Analyst, Division of Blood Diseases and Resources, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0079. Grants Management Contact: Ms. Suzanne White, Grants Management Officer, Grants Operations Branch, National Heart, Lung, and Blood Institute, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 435-0144. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nhlbi.nih.gov>.

**RELATED PROGRAMS:**

93.837, Cardiovascular Diseases Research; 93.838, Lung Diseases Research.

**EXAMPLES OF FUNDED PROJECTS:**

(1) An individual research grant using a novel systems biology approach to study the genetic basis of stroke risk in sickle cell disease. The investigators validated in a clinical setting a new type of statistical analysis method for genetic association studies based on Bayesian networks. This new method studying the clinical impact of networks of specific gene variants has yielded a model that may accurately predict stroke in other patient populations. (2) A multi-project grant to study cell adhesion mechanisms in vascular disease and thrombosis. The program is designed to advance understanding of molecular mechanisms of vascular disease and to promote development of new diagnostic, therapeutic, and preventive strategies through the collaborative efforts of scientists focused on the unifying theme of cell adhesion. Studies will span analysis of biochemistry, fine structure at atomic level detail, ex-vivo studies to analyze the effects of blood flow on adhesion and signaling, hematopoiesis, and analysis of genetically modified mice. (3) A grant for a Specialized Center of Clinically Oriented Research (SCCOR) in Transfusion Medicine and Biology. The focus is to increase our understanding of the biologic and immunologic aspects of transfusion medicine. The studies in this multi-project grant address the management of the blood supply, immunologic responses to blood components or marrow derived cells, and cellular therapy. (4) A Comprehensive Sickle Cell Center Grant that integrates clinical, translational and basic research, thereby fostering multidisciplinary collaborations directed toward the goal of finding effective therapy and ultimately a cure for sickle cell disease. (5) An Individual National Research Service Award to use in utero gene delivery to target highly proliferative hematopoietic stem cells in the fetal liver of a murine model of beta thalassemia. The fellow will train under the guidance of an accomplished mentor and will develop research skills in the important area of in utero gene transfer strategies for transduction of hematopoietic stem cells and treatment of genetic disorders of the hematopoietic system that cause ongoing morbidity and mortality in children. (6) A Small Business Innovative Research Grant to develop a rapid, accurate, cost-effective screening test to detect a broad array of bacterial contaminants in stored human red blood cells. The successful development of this technology will improve the availability and safety of the human blood supply and will have broad potential for bacterial detection applications in human diagnostic, food testing, environmental testing and other research uses.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and



technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.846 ARTHRITIS, MUSCULOSKELETAL AND SKIN DISEASES RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 437, and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, as amended; 42 U.S.C. 285d-2; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To support research relevant to arthritis, musculoskeletal and skin diseases, the National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) supports research training and basic and clinical investigations including epidemiology and clinical trials in the areas of skin and rheumatic diseases and musculoskeletal diseases. The Division of Skin and Rheumatic Diseases promotes and supports basic, epidemiological, and clinical studies of skin and rheumatic and related diseases. Studies range from determining the underlying basis and mechanisms of disease (including large genetic studies), to translational and clinical research aimed at the diagnosis, treatment, prediction, and/or prevention of disease. The skin program supports research in normal and diseased skin including keratinocyte biology and wound healing, and disorders such as psoriasis, atopic dermatitis and other chronic inflammatory skin disorders; the vesiculobullous diseases such as pemphigus, bullous pemphigoid, and epidermolysis bullosa; acne, alopecia areata, vitiligo, and skin neoplasia. The rheumatic disease program supports research in the systemic autoimmune diseases and arthritides, including systemic lupus erythematosus (SLE), systemic scleroderma, autoimmune myositis, rheumatoid arthritis, juvenile idiopathic arthritis, spondyloarthropathies, vasculitis, gout, Sjogren's syndrome, and fibromyalgia syndrome. In addition, the Division supports studies on the extracellular matrix, including research on Marfan syndrome, keloid formation, and pseudoxanthoma elasticum. The Division also supports biopsychosocial research related to rheumatic, musculoskeletal, or skin diseases. Topics include behavioral interventions, pain mechanisms, neuroendocrine and neuroimmune mechanisms, behavioral and social research, and epidemiology. The Division of Musculoskeletal Diseases supports studies of the skeleton and associated connective tissues. Broad areas of interest include skeletal development, metabolism, mechanical properties, and responses to injury. Among these diseases and skeletal disorders are osteoporosis; osteogenesis imperfecta; Paget's disease of bone; vitamin D refractory diseases; and rickets and osteochondrodysplasias. Other areas of interest include treatment of acute and chronic injuries, including carpal tunnel syndrome, repetitive stress injury, low back pain and clinical and epidemiological studies of osteoarthritis. The Division supports development of new technologies with the potential to improve treatment of skeletal disorders and facilitate the repair of trauma in the normal skeleton. These include drugs and nutritional interventions, joint replacement, bone and cartilage transplantation, biomarkers and gene therapy. In addition, bioengineering, sports medicine and musculoskeletal fitness are areas of special research emphasis. This Division also encourages and supports research on skeletal muscle, its diseases and disorders, and its central role in human physiology and exercise. Topics include the molecular structure of muscle and the molecular mechanisms that produce force and motion. Muscle biophysics, cell biology, muscle biology, muscle disorders and therapies, musculoskeletal development, tissue reengineering, and regenerative medicine are encompassed in this area as well. The Division also supports research into the biology of cartilage, tendons, ligaments, menisci, and intervertebral discs, including pre-clinical studies on injury and disease conditions affecting these tissues. NIAMS participates in the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. The SBIR program is intended to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The STTR program is intended to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private

sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. Individual National Research Service Awards (NRSA) are made to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRSA to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

#### **Applicant Eligibility:**

Research Grants: Individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards: Individuals must be nominated and sponsored by a public or private, for-profit or nonprofit institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the Institutional National Research Service grant. Small Business Innovation Research grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Research Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the sciences or professions. National Research Service Awards: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

#### **Credentials/Documentation:**

Requirements are specified in the application form. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Research grants: Applications must be prepared either electronically through grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-

Related) or on paper using the PHS 398 research grant application instructions and forms (Rev. 11/2007). Individual funding opportunity announcements will indicate the appropriate application format to be used. A listing of NIAMS and other funding opportunities can be found through the NIAMS web site ([http://www.niams.nih.gov/Funding/Funding\\_Opportunities/filter.asp](http://www.niams.nih.gov/Funding/Funding_Opportunities/filter.asp)), through the Grants.gov web site (<http://www.grants.gov/>), or on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>). For applications that require the PHS 398, the most recent version of the form and instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). For assistance contact GrantsInfo, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). National Research Services Awards: Completed application forms should be submitted to the Office of Research Manpower, Center for Scientific Review, Grants, National Institutes of Health, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Research Funding Opportunities" web page at <http://grants1.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the Grants.gov sites and the NIH Guide to Grants and Contracts (see URLs listed above). All SBIR and STTR applications must be submitted electronically. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR Part 42.

#### **Award Procedure:**

Following review by the appropriate study section and council, the successful applicant is notified by the National Institute of Arthritis and Musculoskeletal and Skin Diseases through a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

New Applications: February 5, June 5, and October 5. Competing continuation applications: March 5, July 5, and November 5. Individual NRSA Applications: April 8, August 8, and December 8 Institutional NRSA: January 25, May 25, and September 25. Small Business Innovation Research: April 5, August 5, and December 5. STTR: December 1, only.

#### **Range of Approval/Disapproval Time:**

Research grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### **Renewals:**

Research grants: renewals by competitive application and review. Extension by request and administrative action. National Research Service Awards: individual awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Research grants: Awards may be recommended for up to 5 years. Awards usually are made for 12-month budget periods. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

#### **Reports:**

Research grants: Annual and final progress reports. Also annual reports of inventions and financial status reports. Annual certification with respect to

research involving human subjects. National Research Service Awards: Reports are required during and after termination of National Research Service Awards to ascertain compliance with service and payback provisions.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

#### **Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

#### **Account Identification:**

75-0888-0-1-552.

#### **Obligations:**

Research Grants: FY 07 \$396,238,000; FY 08 \$395,093,000; and FY 09 \$394,305,000. National Research Service Awards (NRSA): FY 07 \$15,446,000; FY 08 \$15,446,000; and FY 09 \$15,585,000.

#### **Range and Average of Financial Assistance:**

Research Grants: \$2,000 to \$2,100,000; \$314,200. National Research Service Awards: \$12,300 to \$448,000; \$138,000. SBIR/STTR: Phase I awards - approximately \$100,000; Phase II awards - up to \$750,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Research Grants: In fiscal year 2007, a total of 1,261 noncompeting and competing research grants were funded, including 40 SBIR and STTR awards. The fiscal year 2008 estimate is 1,258 research grant awards, including 40 SBIR and STTR awards. The fiscal year 2009 estimate is 1,269 grants, including 40 SBIR and STTR awards. National Research Service Awards (NRSA): In fiscal year 2007, 319 trainees were funded. The estimates for fiscal year 2008 and 2009 are 319 trainees each year.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Program Contact: Research Grants: Dr. Madeline Turkeltaub, Division of Extramural Research Activities, National Institute of Arthritis and Musculoskeletal and Skin Diseases, Public Health Service, Department of Health and Human Services, NIAMS, Extramural Program, National Institutes of Health, 6701 Democracy Blvd., Suite 800, Bethesda, MD 20892. Telephone: (301) 594-2463. Small Business Innovation Research Grants and Grants Management Contact: Ms. Melinda Nelson, Grants Management Officer, Grants Management Branch, National Institute of Arthritis and Musculoskeletal and Skin Diseases, National Institutes of Health, Public Health Service, Department of Health and Human Services, NIAMS, 6701 Democracy Blvd., Suite 800, Bethesda, MD 20892, Bethesda, MD 20892. Telephone: (301) 5435-5278. Use the same numbers for FTS.

#### **Web Site Address:**

<http://www.hhs.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) Pathogenesis of Murine Systemic Lupus Erythematosus; (2) Chemistry and Biology of Collagen; (3) Disability in Valued Life Activities in Persons with Rheumatoid Arthritis; (4) Immunogenetics -- Target Organ Damage in Immune Nephritis; (5) Exercise and Skeletal Muscle Signaling Mechanisms; (6) Molecular Physiology of Neuromuscular Diseases; (7) Biomechanics of Spine Fracture; (8) The Epidemiology and Genetics of Hip Osteoarthritis in Elderly Men; (9) Systemic Implications of Total Joint Replacement; (10) Physiologic Loading for Cartilage Tissue Engineering; (11) Development and Regeneration of Skin Appendages; (12) Nature of Mammalian Cutaneous Permeability Barrier; (13) Genetic Analysis of Bone Structure and Strength; and (14) Epidemiology of Age-Related Bone Loss and Fractures. Small Business Innovation Research Grant: Development of Diagnostic Probes for Autoimmune Disease.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the

competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.847 DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH**

#### **FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 428, 431, 487, 491, 493, 495, and 498, as amended; Public Laws 78-410, 99-158, 100-607, and 106-554; 42 U.S.C. 241, 42 U.S.C. 285c-2; 42 U.S.C. 285c-5, 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992; Public Law 102-564.

#### **OBJECTIVES:**

(1) To promote extramural basic and clinical biomedical research that improves the understanding of the mechanisms underlying disease and leads to improved preventions, diagnosis, and treatment of diabetes, digestive, and kidney diseases. Programmatic areas within the National Institute of Diabetes and Digestive and Kidney Diseases include diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases. Specific programs areas of interest include the following: (a) For diabetes, endocrine, and metabolic diseases areas: Fundamental and clinical studies including the etiology, pathogenesis, prevention, diagnosis, treatment and cure of diabetes mellitus and its complications; Normal and abnormal function of the pituitary, thyroid, parathyroid, adrenal, and other hormone secreting glands; Hormonal regulation of bone, adipose tissue, and liver; on fundamental aspects of signal transduction, including the action of hormones, coregulators, and chromatin remodeling proteins; Hormone biosynthesis, secretion, metabolism, and binding; and on hormonal regulation of gene expression and the role(s) of selective receptor modulators as partial agonists or antagonists of hormone action; and Fundamental studies relevant to metabolic disorders including membrane structure, function, and transport phenomena and enzyme biosynthesis; and basic and clinical studies on the etiology, pathogenesis, prevention, and treatment of inherited metabolic disorders (such as cystic fibrosis). (b) For digestive disease and nutrition areas: Genetics and genomics of the GI tract and its diseases; Genetics and genomics of liver/pancreas and diseases; Genetics and genomics of nutrition; genetics and genomics of obesity; Bariatric surgery; Clinical nutrition research; Clinical obesity research; Complications of chronic liver disease; Fatty liver disease; Genetic liver disease; HIV and liver; Cell injury, repair, fibrosis and inflammation in the liver; Liver cancer; Liver transplantation; Pediatric liver disease; Viral hepatitis and infectious diseases; Gastrointestinal and nutrition effects of AIDS; Gastrointestinal mucosal and immunology; Gastrointestinal motility; Basic neurogastroenterology; Gastrointestinal development; Gastrointestinal epithelial biology; Gastrointestinal inflammation; Digestive diseases epidemiology and data systems; Nutritional epidemiology and data systems; Autoimmune liver disease; Bile, Bilirubin and cholestasis; Bioengineering and biotechnology related to digestive diseases, liver, nutrition and obesity; Cell and molecular biology of the liver; Developmental biology and regeneration; Drug-induced liver disease; Gallbladder disease and biliary diseases; Exocrine pancreas biology and diseases; Gastrointestinal neuroendocrinology; Gastrointestinal transport and absorption; Nutrient metabolism; Pediatric clinical obesity; Clinical trials in digestive diseases; Liver clinical trials; Obesity prevention and treatment; and Obesity and eating disorders. (c) For kidney, urologic and hematologic

diseases areas: Studies of the development, physiology, and cell biology of the kidney; Pathophysiology of the kidney; Genetics of kidney disorders; Immune mechanisms of kidney disease; Kidney disease as a complication of diabetes; Effects of drugs, nephrotoxins and environmental toxins on the kidney; Mechanisms of kidney injury repair; Improved diagnosis, prevention and treatment of chronic kidney disease and end-stage renal disease; Improved approaches to maintenance dialysis therapies; Basic studies of lower urinary tract cell biology, development, physiology, and pathophysiology; Clinical studies of bladder dysfunction, incontinence, pyelonephritis, interstitial cystitis, benign prostatic hyperplasia, urolithiasis, and vesicoureteral reflux; Development of novel diagnostic tools and improved therapies, including tissue engineering strategies, for urologic disorders; Research on hematopoietic cell differentiation; metabolism of iron overload and deficiency; Structure, biosynthesis and genetic regulation of hemoglobin; as well as Research on the etiology, pathogenesis, and therapeutic modalities for the anemia of inflammation and chronic diseases. (2) To encourage basic and clinical research training and career development of scientists during the early stages of their careers. The Ruth L. Kirschstein National Research Service Award (NRSA) funds basic and clinical research training, support for career development, and the transition from postdoctoral biomedical research training to independent research related to diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases. (3) To expand and improve the Small Business Innovation Research (SBIR) program. The SBIR Program aims to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to enhance small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (4) To utilize the Small Business Technology Transfer (STTR) program. The STTR Program intends to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Project Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. NRSA's are made directly to individuals for research training in specified biomedical shortage areas, or, to institutions to enable them to make NRSA's to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Project Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both non-profit and for-profit, and individuals who propose to establish, expand, and improve research activities in health sciences and related fields. NRSA's: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR and STTR grants can be awarded only to domestic small businesses that meet the following criteria: 1) Is independently owned and operated, is not dominant in the field of operation in which it is proposing, has a place of business in the United States and operates primarily within the United States or makes a significant contribution to the US economy, and is organized for profit; 2) Is (a) at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, or (b) for SBIR only, it must be a for-profit business concern that is at



least 51% owned and controlled by another for-profit business concern that is at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States. 3) Has, including its affiliates, an average number of employees for the preceding 12 months not exceeding 500, and meets the other regulatory requirements found in 13 C.F.R. Part 121. Business concerns are generally considered to be affiliates of one another when either directly or indirectly, (a) one concern controls or has the power to control the other; or (b) a third-party/parties controls or has the power to control both. STTR grants which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers, any nonprofit or for-profit organization, company, or institution engaged in biomedical research. Project Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the sciences or professions. NRSAs: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Individual NRSA applications for postdoctoral training must include the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training. Institutional Training grant applications for predoctoral and postdoctoral training must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form PHS 398 is used to apply for SBIR and STTR Phase I Phase II and Phase I/Phase II Fast Track.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Project Grants: Applications for Federal assistance must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Applications may not be submitted in paper format. A registration process through Grants.gov is necessary before submission and applicants are highly encouraged to start the process at least four weeks prior to the grant submission date. Two steps are required for on time submission: (1) The application must be successfully received by Grants.gov no later than 5:00 p.m. local time (of the applicant institution/organization) on the submission/receipt date. (2) Applicants must complete a verification step in the eRA Commons within two business days of notification from NIH. Note: Since email can be unreliable, it is the responsibility of the applicant to periodically check on their application status in the Commons. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program by those applicants that are State or local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms.

**Award Procedure:**

Research Grant and Training Program applications are reviewed initially for scientific merit by an appropriate review panel, composed of scientific authorities, and by the National Diabetes and Digestive and Kidney Diseases Advisory Council composed of leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds.

The successful applicant is sent a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or

board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Applications: February 1, June 1, and October 1. Competing continuation and supplemental applications: March 1, July 1, and November 1. Individual NRSA applications: April 5, August 5, and December 5. Institutional NRSAs: January 10, May 10, and September 10. SBIR: April 1, August 1, and December 1. STTR: April 1, August 1 and December 1.

**Range of Approval/Disapproval Time:**

Project Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Project Grants: Renewals are determined by competitive application and review. Extensions considered upon request. Individual NRSAs: Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Project Grants: Awards are usually made for a 12-month period with recommendation of up to 4 years of additional support. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Project Grants: Annual and terminal progress reports, annual reports of inventions, reports of expenditures and annual certification with respect to research involving human subjects are required. NRSAs: Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Project Grants: Expenditures and other financial records, including documents supporting accounting records and substantive charges to each grant, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. NRSAs: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel and must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions.

**Account Identification:**

75-0884-0-1-552.

**Obligations:**

Project Grants: FY 07 \$ 1,088,226,000; FY 08 \$ 1,052,236,000; and FY 09 est \$ 1,069,091,000. (NRSAs) FY 07 \$ 54,127,000; FY 08 \$ 54,795,000; and FY 09 est \$ 54,553,000. (SBIRs) FY 07 \$ 41,172,000; FY 08 \$ 41,132,000; and FY 09 est \$ 41,800,000.

**Range and Average of Financial Assistance:**

Project Grants: \$750 to \$3,900,000; \$362,000. NRSAs: \$7,000 to \$581,899; \$145,895. SBIR: Phase I awards approximately \$100,000; Phase II awards not to exceed \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Project Grants: In fiscal year 2007, 3,006 awards were made; in fiscal year 2008, 2,844 were made; and in fiscal year 2009, 2,938 awards are estimated. NRSAs: In fiscal year 2007, 371 awards and 1,106 trainees were funded; in fiscal year 2008, 427 awards and 1,110 trainees were funded; and in fiscal year 2009, 425 awards and 1,106 trainees are estimated. SBIR Awards: In fiscal year 2007, 100 awards were made; in fiscal year 2008, 99 awards were made; and in fiscal year 2009, 101 awards are estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants: 42 CFR 52; 42 CFR 66; 42 CFR 74; 45 CFR 74; 45 CFR 92. Administration Policy Directive No. 65 01 (47 Fed. Reg. 52966 et seq. (1982), as amended by Policy Directive No. 65 01.1 (48 Fed. Reg. 38794 et seq.

(1983)). Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement, [http://grants.nih.gov/grants/policy/nihgps\\_2003/](http://grants.nih.gov/grants/policy/nihgps_2003/); Omnibus Solicitation of the Public Health Service for SBIR Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for STTR Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Project Grants: Dr. Judith Fradkin, Director, Division of Diabetes, Endocrinology, and Metabolic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 689, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 496-7349; Dr. Stephen James, Director, Division of Digestive Diseases and Nutrition, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 675, 6707 Democracy Blvd., Telephone: (301) 594-7680; Dr. Robert Star, Director, Division of Kidney, Urologic and Hematologic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 625, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 594-7717. Small Business Innovation Research Grants Contact: Mrs. Helen Ling, Senior Grants Management Specialist, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 732, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8857. Grants Management Contact: Mr. Robert Pike, Chief Grants Management Officer, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 731, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8854. Use the same numbers for FTS.

**Web Site Address:**

<http://www2.niddk.nih.gov>

**RELATED PROGRAMS:**

In October 2008, the National Institute of Diabetes and Digestive and Kidney Diseases consolidated all of its extramural research programs under one CFDA number, 93.847: Diabetes, Digestive, and Kidney Diseases Extramural Research, for management reasons. The former program numbers were 93.847: Diabetes, Endocrinology and Metabolism Research; 93.848: Digestive Diseases and Nutrition Research, and 93.849: Kidney Diseases, Urology and Hematology Research.

**EXAMPLES OF FUNDED PROJECTS:**

(a) For diabetes, endocrine, and metabolic diseases projects: Genetic Studies of Type 2 Diabetes; Regulators of Insulin Secretion and Action; Mode of Action of Steroid Hormones; Autoimmune Basis of Type 1 Diabetes; and Activators of Mutant Cystic Fibrosis Transmembrane Regulator ; SBIR grant: Implantable Glucose Sensor (b) For digestive diseases and nutrition projects: Pathogenesis of Gastroesophageal reflux disease (GERD). Genetics of inflammatory bowel disease. Inflammation in IBD. Prevention of weight gain. Treatment of non-alcoholic steatohepatitis (NASH). Long-term treatment of hepatitis C (c) For kidney, urologic, and hematologic diseases projects: Functional Structure of Renal Tubule; Pathogenesis of Experimental Glomerulonephritis; Pathology of Recovery from Acute Renal Failure; Urinary Stone Prevention; and In vitro Studies of Hematopoietic Regulation; SBIR grant: Laser Fragmentation of Urinary Calculi

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the

work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

## 93.853 EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405,408, 457, 458, 459, and 487, Public Law 78-410, as amended, 42 U.S.C. 241; 42 U.S.C. 284; 42 U.S.C. 284c; 42 U.S.C. 285j; 42 U.S.C. 285j-7; 42 U.S.C. 285L-2; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

(1) To support extramural research within the National Institute of Neurological Disorders and Stroke (NINDS) including: neurological science basic research that explores the fundamental structure and function of the brain and the nervous system; research to understand the causes and origins of pathological conditions of the nervous system with the goal of prevention of these disorders; research on the natural course of neurological disorders; research on mechanisms associated with stroke and other cerebrovascular disorders, effects of trauma to the nervous system, neuroplasticity and regeneration, and tumors of neural and sensory tissues; improved methods of disease prevention; new methods of diagnosis and treatment; clinical trials; drug development; development of neural prostheses for stroke and paraplegia; epidemiological research; and research training in the clinical neurosciences. Programmatic areas within this Institute support research on such topics as stroke; traumatic injury to the brain, spinal cord and peripheral nervous system; neurodegenerative disorders, including Parkinson's disease and Alzheimer's disease; brain tumors; development of artificial prosthetic devices to restore function to the damaged nervous system; convulsive disorders, including epilepsy; infectious disorders of the brain and nervous system, including AIDS; immune disorders of the brain and nervous system, including multiple sclerosis; disorders related to sleep; and pain. Programmatic areas also include neurodevelopment, repair and plasticity, channels synapses and circuits, neurogenetics, neurodegeneration, neural environment, and systems and cognitive neuroscience. Extramural research is also supported by the Office of Minority Health and Research. (2) To expand and improve the Small Business Innovation Research (SBIR) program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (3) To utilize the Small Business Technology Transfer (STTR) program; to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The NINDS also participates in the Academic Research Enhancement Award (AREA) Program, which is intended to provide research support to institutions currently having little National Institutes of Health (NIH) support.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research grants may be used to provide salaries, equipment, supplies, travel and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes stated in the application and award document. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas, or to institutions, to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with service and payback provisions. Career Development Awards such as the Independent Scientist Awards provide support for newly independent scientists with health related degrees who can demonstrate the need for a period of intensive research focus as a means of enhancing their research careers. Mentored Clinical Research Scientist Development Awards provide support for clinically trained health professionals who need an additional period of sponsored research experience as a way to gain expertise in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. The Mentored Research Scientist Development Award are of three types: Re-Entry into the Neurological Sciences (RENS) which are made to women and men who have been out of neuroscience research for at least 3 years to give them an opportunity to re-establish their skills as independent

neuroscientists, the Career Development Award to promote diversity in neuroscience research support, an intensive, supervised research career development experience for underrepresented career neuroscientists, and Mentored Research Scientist Development Awards in Translational Research to support new investigators to build a program of translational research in neurological disorders. The Mentored Patient-Oriented Research Career Development Award provide support for a period of supervised study and research for clinically trained professionals who have the potential to develop into productive clinical investigators. The Mid-career Investigator Award in Patient-Oriented Research provide support for clinicians to allow them protected time to devote to patient-oriented research and to act as mentors for beginning clinical investigators. The Collaborative Neurological Sciences Award is to develop and promote competitive neurological science research programs at predominantly minority institutions through collaborations with grantees from research intensive institutions who have NIH grant support to conduct neurological science research. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research efforts initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document. The NINDS participates in the NIH SBIR/STTR "fast track" initiative.

#### **Applicant Eligibility:**

Research Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for Institutional National Research Service Awards but are eligible for Individual NRSA. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research environment, and for significance of the problem. Approved proposals compete for available funds. All Career Development Program awardees, with the exception of awardees of the Pathway to Independence Award, must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or territories. Awardees for RENS must have been accepted by a sponsoring institution, had previous training and experience in neurological science, an interruption in their careers for a period of at least three years and not more than 8 years, and be citizens or non-citizen nationals of the United States. Awardees for the Collaborative Neurological Sciences Award must be from a predominantly minority institution and must have a doctoral degree in a basic or clinical science area. To be eligible, postdoctoral NRSA trainees or fellows must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the entire research must be performed in the United States. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers.

#### **Credentials/Documentation:**

Research grants are awarded to an institution in the name of an individual investigator. Persons qualified to carry out research related to the extramural programs described above may apply for funds to support their investigations. Mentored Career Program training must be conducted under the direction of a competent sponsor. National Research Service Awards: Individual NRSA Fellowships for postdoctoral training: the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must

show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74 and 92, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

#### **Preaapplication Coordination:**

Research grant applications exceeding \$500,000 direct costs in any yearly budget period will not be accepted unless the NINDS has agreed to accept the application prior to submission (see <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-004.html>). This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

NIH is in the process of transitioning to the SF424 family of forms and electronic submission through Grants.gov by research program or funding mechanism. See <http://era.nih.gov/ElectronicReceipt/> for a list of grant mechanisms that have already transitioned to electronic submission. For applications to be submitted electronically, see <http://era.nih.gov/ElectronicReceipt/>. The change from paper submission to electronic applications for grant programs currently targeted to transition after May 2007, including Career Development (K), Fellowship (F), Training & Development (T&D) and complex mechanisms (P, U) will be delayed. See <http://grants1.nih.gov/grants/forms.htm> to determine the appropriate paper application package (PHS 398 or PHS 416) to be used.

#### **Award Procedure:**

Research Grant and Training Program applications are reviewed initially by technical panels, composed of scientific authorities, and by the National Advisory Neurological Disorders and Stroke Council composed of 18 leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

All new research grant and career program applications, plus all (new, competing continuation, supplemental or revised) program project and center grant applications deadline dates can be found at <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

#### **Range of Approval/Disapproval Time:**

Research grants: Approximately 6 to 9 months. Career program: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months. Institutional Training Grants: From 6 to 12 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute, and subsequently, the P.I. and applicant institution may appeal to the NINDS appeals officer. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

By application and review in same manner as new applications. Research Career Awards may not be renewed.

#### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Research grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Career Program awards provide support for 3 to 5 years. Training Program awards are usually for a 12-month period with recommendation of additional support of up to a total of 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

#### **Reports:**

Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must



be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States and Local Governments," and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last Financial Status Report for the report period.

**Account Identification:**

75-0886-0-1-552.

**Obligations:**

(Extramural Research) FY 07 \$1,340,542,000; FY 08 est \$1,345,652,000; and FY 09 est \$1,344,174,000.

**Range and Average of Financial Assistance:**

Research grants: \$50,000 to \$7,727,226; \$372,346. National Research Service Awards: Institutional \$20,674 to \$512,907; \$195,982. Individual: \$1,251 to \$68,740; \$37,264. SBIR: Phase I approximately \$150,000; Phase II not to exceed \$750,000. STTR: Phase I approximately \$100,000; Phase II not to exceed \$500,000. (The SBIR and STTR dollars are guidelines, not limits).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, there were 3,470 competing research applications, and of that number 648 awards were made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

National Institute of Neurological Disorders and Stroke (NINDS), Division of Extramural Research (DER), National Institutes of Health, Department of Health and Human Services, Neuroscience Center, 6001 Executive Boulevard, Bethesda, MD 20892. Director DER: Dr. Robert Finkelstein, Suite 3309, Telephone: (301) 496-9248. The address above (include suite # below) should be used for each Program Contact: Dr. Ramona Hicks, Repair and Plasticity, Suite 2206, Telephone: (301) 496-1447; Dr. May Wong, Neural Environment, Suite 2113, Telephone: (301) 496-1431; Dr. Larry Refolo, Neurodegeneration, Suite 2223, Telephone: (301) 496-5680; Dr. Debra Babcock, Systems & Cognitive Neuroscience, Suite 2108, telephone: (301) 496-9964; Dr. Shai Silberberg, Channels, Synapses & Circuits, Suite 2142, Telephone: (301) 496-1917; Dr. Laura Mamounas, Neurogenetics, Suite 2114a, Telephone: (301) 496-5745; Dr. Yuan Liu, Office of International Activities, Suite 2187, Telephone: 301-496-0012; Dr. Deborah Hirtz, Clinical Trials, Suite 2212, Telephone: (301) 496-9135; Dr. Jill Heemskerk, Technology Development, Suite 2229, Telephone: (301) 496-1779; Grants Management Branch: Ms. Tijuanna DeCoster, Grants Management Officer, Suite 3258, Telephone: (301) 496-9231; Contracts Management Branch: Mr. Kirk Davis, Contracts Management Officer, Suite 3280, Telephone: (301) 496-1813; Dr. Alfred Gordon, Office of Minority Health and Research, Suite 2151, Telephone: (301) 496-3102; Dr. Stephen Korn, Training and Career Development Officer, Suite 2186, Telephone: (301) 496-4188.

**Web Site Address:**

<http://www.ninds.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grants support research on neurological disorders such as: (1) Cerebral palsy; (2) disorders of aging including Parkinson's, Huntington's, and Alzheimer's diseases and the dementias; (3) muscular, neuromuscular and demyelinating disorders; (4) neuroendocrine studies; neural aspect of learning and behavior; (5) nervous system tumors, and infectious diseases of the central nervous system. Recently funded applications include studies designed to result in advances for a group of useful glycosidases, as well as mechanistic information for the activator protein that is required for lysosomal degradation of GM2, a glycosphingolipid involved in Tay-Sachs disease. Another study focuses on mechanisms of

synapse assembly, specifically the role of membrane associated quanylate kinases in the clustering and targeting of ion channels and receptors at the synapse. One example of the long range goal of a successful competing renewal application is to provide a better understanding of the mechanisms of movement of intracellular organelles along microtubules. Such movement plays a role in the process of fast axonal transport in nerve cells. The specific aims of another funded application are to assess environmental and genetic factors as determinants of hand preference, to determine whether measures of developmental stability can explain individual differences in phenotypic expressions of hand preference and to determine whether handedness is predictive of compromised immunological functioning and/or reproductive biology. A new project is aimed at addressing a series of fundamental issues regarding the mechanisms underlying the spread of synaptic modifications in neural networks. Another series of studies will take advantage of newly developed behavioral procedures and selective ibotenic acid lesions to compare the effects of lesioning hippocampus, subiculum, entorhinal cortex, and perirhinal cortex on learning and memory. Included in this effort are multi-disciplinary clinical research centers on Parkinson's disease, stroke, head and spinal cord injury, epilepsy, and demyelinating disorders, as well as program projects and a large number of individual grants. In head and spinal cord injury research studies, particular emphasis is given to the biomedical events and metabolism following injuries, with a view toward both salvaging damaged tissue and also creating conditions in which regeneration of injured nerve cells can take place. The clinical research program sponsors clinical trials to evaluate various therapeutic approaches to head and spinal cord injury, epilepsy, multiple sclerosis and other neurologic and neuromuscular disorders. The effects of systemic cancer on the central nervous system are studied, as part of the brain and spinal cord tumor research effort.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) the soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) the degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.855 ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301, as amended, Public Law 78-410; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564, 42 U.S.C. 241.

**OBJECTIVES:**

To assist public and private nonprofit institutions and individuals to establish, expand, and improve biomedical research and research training in allergic and immunologic diseases and related areas to assist public, private, and commercial institutions to conduct developmental research; to produce and test research materials; and to provide research services as required by the agency for research progress in allergic and immunologic diseases. NIAID's Allergy, Immunology and Transplantation Research concerns the immune system as it functions in the maintenance of health and as it malfunctions in the production of diseases. Because of this dual focus, the program encompasses both basic research and clinical research. Small Business Innovation Research (SBIR) program expands

and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSAs), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Universities, colleges, hospitals, laboratories, and other public or private nonprofit domestic institutions, including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for individual NRSAs must include their academic record, research experience, citizenship, institute sponsorship, and the proposed area and plan of training in their applications. The applicant for an institution must specify the objectives, methodology, and resources for the research training program, the qualifications experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Use Form PHS-398 (Rev. May 1995) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: telephone: (301) 206-9385; fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

#### **Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

New Non-AIDS research applications: February 1, June 1 and October 1. For Renewal and Supplemental Non-AIDS research grant applications: March 1, July 1, and November 1. For all AIDS research grant applications: January 2, May 1, September 1. Research Career Development Award programs: February 1, June 1, October 1. Individual NRSAs: April 5, August 5, and December 5. Institutional NRSA: September 10. SBIR/STTR: April 1, August 1 and December 1.

#### **Range of Approval/Disapproval Time:**

From 8 to 9 months. SBIR/STTR: About 7-1/2 months.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

#### **Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Annual progress reports and financial status reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Grants) FY 07 \$626,977,000; FY 08 est \$628,084,000; and FY 09 est \$630,219,000. (SBIR) FY 07 \$11,836,000; FY 08 est \$12,458,000; and FY 09 est \$12,458,000. (STTR) FY 07 \$415,000; FY 08 est \$437,000; and FY 09 est \$437,000.

**Range and Average of Financial Assistance:**

(Grants) \$3,000 to \$4,457,456; \$404,762. (NRSA) \$7,000 to \$1,571,338; \$208,799. SBIR Average Phase I awards are for approximately \$263,507; Phase II awards may be made for amounts up to \$700,827 (total for funding period). (STTR) average Phase I awards are for approximately \$415,035; Phase II awards may be made for amounts up to \$ - (total for the funding period).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, a total of 1,526 grant awards were made to establish, expand, and promote research and research training in basic immunobiology and immunochemistry; hypersensitivity and inflammation; asthma and allergic diseases; the immune system and its disorders; immunopathology, transplantation biology immunogenetics and lymphocyte biology; and the support of research centers for the study of asthma and allergic diseases, immunodermatology, and immunological diseases. A total of 15 SBIR Phase I, 9 SBIR Phase II, 4 STTR Phase I, and 1 Phase II Awards were made in fiscal year 2006. An estimated 1,659 and 1,684 total awards will be made in fiscal years 2007 and 2008 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Dr. John J. McGowan, Director, Division of Extramural Activities, National Institute of Allergy and Infectious Diseases, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 496-7291. Grants Management Contact: Mary Kirker, Grants Management Officer, Grants Management Branch, National Institute of Allergy and Infectious Diseases, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 496-7075. Use the same numbers for FTS.

**Web Site Address:**

<http://www.niaid.nih.gov>.

**RELATED PROGRAMS:**

93.856, Microbiology and Infectious Diseases Research.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Immunobiology and immunochemistry studies: (a) investigate the biology and chemistry of the immune system and its products; and (b) projects in lymphocyte biology supporting multi-disciplinary efforts in immunobiology, cell biology, genetics, biochemistry and immunochemistry with the goal of developing the capability to intervene and manipulate the immune system in health and disease. Particular focus is given to Acquired Immune Deficiency Syndrome. (2) Research in genetics and transplantation biology: (a) encompasses a broad approach to clarify how genes and gene products affect the

immune response system, the goal being to understand the genetic and immunologic mechanisms involved in organ transplantation and in resistance or susceptibility to disease. (3) Studies in asthma and allergic diseases: (a) involve the etiology, pathogenesis, diagnosis, prevention, and treatment of both naturally occurring and acquired allergic diseases; and (b) asthma studies include both primary and predisposing factors. (4) Research in immunologic diseases: (a) investigates the underlying mechanisms of disease, as well as applications of basic knowledge to the etiology, prevention, and management of immunologic disorders; and (b) utilizes either of two disciplinary approaches - clinical immunology or immunopathology.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.856 MICROBIOLOGY AND INFECTIOUS DISEASES RESEARCH****FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301, as amended, Public Law 78-410; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To support research related to Microbiology and Infectious Diseases with the broad aim of improving health by controlling disease caused by infectious or parasitic agents. Projects range from studies of microbial physiology and antigenic structure to collaborative trials of experimental drugs and vaccines. Also supported are studies on the mechanisms of resistance to antibiotics as well as research dealing with epidemiological observations in hospitalized patients or community populations. The objectives of the program are to assist public and private nonprofit institutions and individuals to establish, expand and improve biomedical research and research training in infectious diseases and related areas; to assist public, private and commercial institutions to conduct developmental research; to produce and test research materials; and to provide research services as required by the agency for programs in infectious diseases; and to make grants or award contracts to public and nonprofit private entities to expand, remodel, renovate, or alter existing research facilities or construct new facilities. Small Business Innovation Research (SBIR) program expands and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and



economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSAs), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Universities, colleges, hospitals, laboratories and other public or private nonprofit domestic institutions, including State and local units of government. Individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree and postdoctoral candidates must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng.), or must have an equivalent domestic or foreign degree. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate

to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for Individual NRSAs must include their academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training in their applications. The applicant for an Institutional NRSA must specify the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local government. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Use Form PHS-398 (Rev. May 1995), (PHS- 5161-1 for State and local government units) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435- 0714. Fax (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; e- mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If the application is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant or applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

New Non-AIDS research applications: February 1, June 1, and October 1. For Renewal and Supplemental Non-AIDS research grant applications: March 1, July 1, and November 1. For all AIDS research grant applications: January 2, May 1, September 1. Research Career Development Award programs: February 1, June 1, October 1. Individual NRSAs: April 5, August 5, and December 5. Institutional NRSA: September 10. SBIR/STTR: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

From 8 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

**Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; these may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Annual progress reports and financial status reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Grants) FY 07 \$1,970,809,000; FY 08 est \$1,974,287,000; and FY 09 est \$1,980,998,000. (SBIR) FY 07 \$77,591,000; FY 08 est \$81,665,000; and FY 09 est \$81,665,000. (STTR) FY 07 \$10,509,000; FY 08 est \$11,061,000; and FY 09 est \$11,061,000.

**Range and Average of Financial Assistance:**

(Grants) \$2,500 to \$46,482,429; \$538,472. (NRSAs) \$4,202 to \$647,660; \$141,463. (SBIR) Average Phase I awards are for approximately \$280,384. Phase II awards may be made for amounts up to \$801,192 (total for funding period). (STTR) Phase I approximately \$302,167; Phase II up to \$1,085,549 (total per funding period).

**PROGRAM ACCOMPLISHMENTS:**

An estimated 4,098 and 4,159 awards will be made in fiscal years 2007 and 2008 respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; (SBIR) Small Business Administration Policy Directive No. 65 01 (47 FR 52966 et seq. (1982), as amended by Policy Directive No. 65 01.1 (48 FR 38794 et seq. (1983)); Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Dr. John J. McGowan, Acting Director, Division of Extramural Activities, National Institutes of Allergy and Infectious Diseases, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 496-7291. Grants Management Contact: Mary Kirker, Grants Management Officer, Grants Management Branch, National Institute of Allergy and Infectious Diseases, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 496-7075. Use the same numbers for FTS.

**Web Site Address:**

<http://www.niaid.nih.gov>

**RELATED PROGRAMS:**

93.855, Allergy, Immunology and Transplantation Research.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Areas of molecular microbiology include: basic research, biochemistry, physiology, and genetics of bacteria and fungi; the synthesis of new antimicrobial agents through organic chemistry; and the discovery of new antibiotics from natural sources. Areas of high relevance are: mechanisms of resistance to microbial agents, either of plasmid or chromosomal origin; and the manipulation of recombinant DNA molecules to better ascertain the molecular basis of pathogenicity and to create new substances of biological and medicinal utility. (2) In the area of bacteriology and mycology, research is conducted on a wide variety of problems involved directly or indirectly with diseases of man caused by bacteria and related agents. Studies to further the knowledge of the organisms involved include: investigations on the biology and physiology of bacteria; their morphology; and on antigenic structure and composition, toxins and endotoxins. More specific disease-related research includes studies on pathogenesis, immunopathology, host defense mechanisms, diagnostic procedures, therapeutic measures, animal models and the epidemiology of disease. Support is also provided for several specific disease program areas such as sexually transmitted diseases, hospital associated infections, and streptococcal diseases and sequelae. Research is also conducted in the area of mycobacteriology which includes two major diseases: tuberculosis and leprosy. This program also supports studies or bacterial diarrhea, bacterial vaccines, and antimicrobial agents. (3) Studies on viruses and diseases of importance to human health are also supported. Research in general virology encompasses the

biology of viruses and the immunopathogenesis of viral diseases. Studies that will significantly advance the knowledge of viral structure, replication, genetics, immunology, and interaction between virus and host are encouraged, as well as research on mechanisms of viral persistence and latency that underlie problems of chronic and recurring viral diseases and studies of viral pathogenesis and host's responses to viral infections or to vaccines. Several areas of particular interest include: viral hepatitis, influenza, viral diarrhea, antiviral substances, viral vaccines and Reye's Syndrome. (4) Research in parasitology includes projects designed to obtain a clearer understanding of host-parasite and vector-parasite relationships, with the ultimate goal of applying this basic information to the control of parasitic diseases through such procedures as chemoprophylaxis, chemotherapy, and vector control. Research projects cover the entire field of parasitology and medical entomology. Emphasis has been directed toward studies on the immunology of parasitic infections and the biological regulation of vectors. (5) Studies are also being conducted on Acquired Immune Deficiency Syndrome, and include basic, applied, preclinical and clinical research on HTLV-III/LAV and related retroviruses for eventual control of HTLV-III/LAV infections. This includes research on the epidemiological, clinical, immunological, and urological aspects of this disease as well as the prevention and treatment of the major opportunistic infections associated with AIDS.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.859 BIOMEDICAL RESEARCH AND RESEARCH TRAINING**

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Section 301 and Title IV of the Public Health Service Act, as amended.

**OBJECTIVES:**

The National Institute of General Medical Sciences supports basic biomedical research that increases understanding of life processes and lays the foundation for advances in disease diagnosis, treatment, and prevention. The Institutes programs encompass the areas of cell biology, biophysics, genetics, developmental biology, pharmacology, physiology, biological chemistry, bioinformatics, computational biology, and minority biomedical research and training.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

NIGMS is organized into divisions and a center that support research and research training in a range of scientific fields. One division has the specific mission of increasing the number of biomedical and behavioral scientists who are members of underrepresented minority groups. Major areas in which these units fund research are listed by Division names. Division of Cell Biology and Biophysics: analytical and separation techniques; biophysical properties of proteins and nucleic acids; cell organization, motility, and division; cellular imaging; membrane structure and function; molecular biophysics; single-molecule biophysics and nanoscience; spectroscopic techniques; structural biology; and structural genomics and proteomics. Division of Genetics and

Developmental Biology: chromosome organization and mechanics; developmental biology and genetics; DNA replication, recombination, and repair epigenetics; extrachromosomal inheritance; mechanisms of mutagenesis; neurogenetics and the genetics of behavior; population genetics, evolution, and the genetics of complex traits; protein synthesis; regulation of cell growth, cell division, cell death, and differentiation; RNA transcription and processing; and stem cell biology. Division of Pharmacology, Physiology, and Biological Chemistry: anesthesiology; biochemistry; bioenergetics; bio-organic and bio-inorganic chemistry; biotechnology and metabolic engineering; drug absorption, distribution, metabolism, excretion, and predictive toxicology; enzymology; glycochemistry and glycobiology; molecular immunobiology; pharmacogenetics/pharmacogenomics; pharmacology and clinical pharmacology; physiology; synthetic and medicinal chemistry; trauma and burn injury; and wound healing. Division of Minority Opportunities in Research: undergraduate student training and development, post-baccalaureate research education, predoctoral research, postdoctoral research and teaching skill development, faculty development, faculty research, and efficacy of interventions research. Center for Bioinformatics and Computational Biology: biomedical software development, cell and molecular modeling and simulation, computational genomics, database design and enhancement, high-throughput data analysis, and systems biology.

**Applicant Eligibility:**

NIGMS trainees must be U.S. citizens, non-citizen nationals, or permanent residents.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

NIH announces availability of funds for grant programs by issuing funding opportunity announcements in the NIH Guide for Grants and Contracts (<http://grants.nih.gov/grants/guide/index.html>) and on Grants.gov (<http://www.grants.gov>). Application packages must be downloaded from Grants.gov and submitted through Grants.gov. This program is subject to the provisions of 45 CFR, Part 92 for state and local governments and 45 CFR, Part 72 for other organizations, as appropriate.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and by a national advisory council. National Research Service Award (NRSA) applications for the support of individual fellows and other applications requesting less than \$50,000 direct costs per year are not reviewed by the council. All approved applications compete for available funds on the basis of scientific merit and program emphasis.

**Deadlines:**

A list of NIGMS application receipt dates is available online at <http://www.nigms.nih.gov/Research/Application/AppReceiptDates.htm>.

**Range of Approval/Disapproval Time:**

Project Grants: about 9 months. NRSA: (institutional) 9-12 months, (individual) 6 months. Small Business Innovation Research (SBIR)/Small Business Technology Transfer Research (STTR): about 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal grants are generally made prior to the expiration of any current award.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least 1 year, with additional support (up to 4 more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds.

**Reports:**

Annual progress and selected financial status reports for continuing projects and final progress and financial reports on all projects upon conclusion are required. Recipients of NRSA are required to file termination reports to ascertain compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Audits of profit making organizations are addressed in 45 CFR Part 72 (Subpart C, Section 74.26). In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Grants) FY 07 \$1,857,878,000; FY 08 \$1,857,074,000; and FY 09 est \$1,858,154,000.

**Range and Average of Financial Assistance:**

\$20,000 to \$7,500,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2008, the Institute's budget was \$1.9 billion. The vast majority of this money goes to fund grants to scientists at universities, medical schools, hospitals, and research institutions throughout the country. At any given time, NIGMS supports approximately 4,400 research grants--about 11 percent of the grants funded by NIH as a whole. NIGMS also supports approximately 25 percent of the trainees who receive assistance from NIH.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16 Procedures of the Departmental Grant Appeals Board; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; miscellaneous program literature from Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

National Institute of General Medical Sciences, National Institutes of Health, 45 Center Drive MSC 6200, Bethesda, MD 20892-6200. Division contacts: Division of Cell Biology and Biophysics, Dr. Catherine Lewis, director; Telephone: (301)594-0828; Division of Genetics and Developmental Biology, Dr. Judith H. Greenberg, director; Telephone: (301) 594-0943; Division of Pharmacology, Physiology, and Biological Chemistry, Dr. Michael E. Rogers, director; Telephone: (301) 594-3827; Division of Minority Opportunities in Research, Dr. Clifton A. Poodry, director; Telephone: (301) 594-3900; Division of Extramural Activities, Dr. Ann Hagan, director; Telephone: (301) 594-3910; Center for Bioinformatics and Computational Biology Dr. Karin Remington, director; Telephone: (301) 451-6446.

**Web Site Address:**

<http://www.nigms.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

NIGMS supports a wide array of grants supporting both research and training in areas described in paragraph 50. Examples of these grants are available in the Computer Retrieval of Information on Scientific Projects (CRISP) database at <http://crisp.cit.nih.gov/>.

**CRITERIA FOR SELECTING PROPOSALS:**

For an overview of NIGMS grant application and review, including funding policy, see <http://www.nigms.nih.gov/Research/Application/GrantAppRev.html>.

## 93.865 CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301, 448 and 487, as amended, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241; 42 U.S.C. 285g; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To conduct and support laboratory research, clinical trials, and studies with people that explore health processes. NICHD researchers examine growth and development, biologic and reproductive functions, behavior patterns, and population dynamics to protect and maintain the health of all people. To examine the impact of disabilities, diseases, and defects on the lives of individuals. With this information, the NICHD hopes to restore, increase, and maximize the capabilities of people affected by disease and injury. To sponsor training programs for scientists, doctors, and researchers to ensure that NICHD research can continue. By training these professionals in the latest research



methods and technologies, the NICHD will be able to conduct its research and make health research progress until all children, adults, families, and populations enjoy good health.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grantee agrees to administer the grant in accordance with the regulations and policies governing the research grant programs of the Public Health Service as stated in the terms and conditions on the application for the grant. National Research Service Awards: Awarded to individuals for full-time research training in specified behavioral and biomedical shortage areas. Awardees may utilize some of their time in academic and clinical duties if such work is closely related to their research training. Awards may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual awardee is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both nonprofit and for-profit, and individuals. National Research Service Award: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. Individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Predoctoral research training grants to institutions are also supported. Proposed study must result in biomedical or behavioral research training in a specified shortage area and which may offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background or to extend their potential for research in health-related areas.

Applicants must be citizens of the United States or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private institution having staff and facilities suitable to the proposed research training. Domestic nonprofit organizations may apply for the institutional NRS grant. SBIR: SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical or biobehavioral research.

**Credentials/Documentation:**

Applicants should submit the most recent revision of research grant application form to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, using either PHS Form 398 or electronic submission via Grants.gov as directed in the relevant NIH Funding Opportunity Announcement. NIH is in the process of converting to electronic submission of grant applications through Grants.gov, using the SF-424 (Research and Related (R&R)) family of forms. Information on the transition plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process may be viewed at <http://era.nih.gov/ElectronicReceipt/>. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Award: Individual Award: The applicant's academic record, research experience, citizenship, and institution sponsorship should be documented in the application. Institutional Award: The applicant organization must show the objectives, methodology, and resources for

the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations, 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. National Research Service Award: Prior to formal application, an individual must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Individuals must be sponsored by a domestic or foreign institution. SBIR/STTR: Same as for grants (above). NRSA applications, may be obtained at <http://www.grants.nih.gov/grants/funding/416/phs416.htm>; e-mail: [grantsinfo@nih.gov](mailto:grantsinfo@nih.gov). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892-7710, or electronically via Grants.gov. The SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitation includes application forms, which, upon completion, should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above.

**Award Procedure:**

Each application receives a dual scientific review by non-NIH scientists. Awards are issued by the Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD). National Research Service Awards: Applications are reviewed for scientific merit by an appropriate study section committee or by an institute review committee. If recommended for approval and a decision is made to make an award, a formal award notice will be sent to the applicant and sponsor. Institutional Awards are issued by the Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD). All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit and the commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Applications for New grants, Revisions, Resubmissions and Renewals and accepted at various dates throughout the year, as described in the corresponding Funding Opportunity Announcements. Standard due dates for competing applications may be found at: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

**Range of Approval/Disapproval Time:**

From 6 to 9 months: National Research Service Awards: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal applications are accepted, except for small grants. National Research Service Awards: awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. Institutional Awards may be renewed.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are usually made annually with no project period to exceed 5 years in length. National Research Service Awards: From 1 to 3 years. SBIR: Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years.

**Reports:**

Annual progress reports and financial status reports are required. National Research Service Awards: Reports are required after termination to ascertain compliance with the service and payback provisions. Institutional Awards require annual progress reports and financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0844-0-1-552.

**Obligations:**

(Total Grants): FY 07 \$853,803,000; FY 08 est \$854,205,000; and FY 09 est \$857,176,000. SBIR/STTR: FY 07 \$29,091,000; FY 08 est \$29,061,000; FY 09 est \$29,090,000.

**Range and Average of Financial Assistance:**

For research project grants, fiscal year 2008, range is \$50,000 to \$5,000,000; average is \$393,778. Individual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of \$38,976. The sponsoring institution will be provided, on application, with an allowance of up to \$7,850 per year to help defray the cost of training. No dependency allowances. SBIR: Average Phase I awards are for approximately \$75,000; Phase II awards may be made for amounts up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 1,716 competing and noncompeting research project grants were awarded. Estimated competing and noncompeting research project grants to be awarded are 1,646 in FY 08, and 1,643 in FY 09. In FY 07, 872 competing and noncompeting National Research Service Award (NRSA) trainees and fellows were funded. Estimated NRSA trainees are 872 in FY 08 and 872 in FY 09. SBIR/STTR: In FY 07, 100 SBIR/STTR awards were made. The estimate 100 in FY 08 and 100 in FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Grants Policy Statement, (Rev.) March 1, 2001, available on the NIH website at [http://grants.nih.gov/grants/policy/nihgps\\_2001/](http://grants.nih.gov/grants/policy/nihgps_2001/); NIH Guide to Grants and Contracts, available on the NIH website at <http://grants.nih.gov/grants/guide/>. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Gilman Grave, Acting Director, Center for Research for Mothers and Children (CRMC), Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD), NIH, DHHS, Building 61E, Room 4B05, MSC 7510, Bethesda, MD 20892-7510. Telephone: (301) 496-5097; Fax: (301) 480-7773; E-mail: [graveg@mail.nih.gov](mailto:graveg@mail.nih.gov). Dr. James Hanson, Director, Center for Developmental Biology and Perinatal Medicine (CDBPM). Dr. Florence P. Haseltine, Director, Center for Population Research (CPR). Dr. Michael Weinrich, Director, National Center for Medical Rehabilitation Research (NCMRR). Grants Management Contact: Bryan Clark, Chief, Grants Management Branch, Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD), NIH, DHHS, Building 61E, Room 8A01, MSC-7510, Bethesda, MD 20892-7510. Telephone: (301) 435-6975; Fax: (301) 402-0915; E-mail: [clarkb1@mail.nih.gov](mailto:clarkb1@mail.nih.gov). Use the same numbers for FTS.

**Web Site Address:**

<http://www.nichd.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Incidence of neural tube defects in hamsters reduced by folate supplementation prior to and during pregnancy; chromosome 15 linked to a subtype of dyslexia; limb development studies attempt to obtain a better understanding of how cells in the developing extremity are determined to later become muscle, cartilage, bone or connective tissue; a protein of fetal origin present in fetal urine may trigger the biochemical events leading to the onset of labor. SBIR: Motion Simulation Effectiveness of Colicky Infants; Research on an Auditory 'Mobile' for Infants; Design and Construction of Neonatal Isolette for 31P NMR;

Development of Non-Sexist Toys for Children.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of the significance of the proposed research; approach; innovation; investigators; and environment. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.866 AGING RESEARCH****FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Part A, Section 301, Title IV, Part C, Sections 444, 445, and 445 A-F, Part F, Section 487, as amended; Public Laws 78-410, 99-158, 100-607, 42 U.S.C.241; 42 U.S.C. 285; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To encourage biomedical, social, and behavioral research and research training directed toward greater understanding of the aging process and the diseases, special problems, and needs of people as they age. The National Institute on Aging has established programs to pursue these goals. The biology of aging program emphasizes understanding the basic biological processes of aging. The geriatrics program supports research to improve the abilities of health care practitioners to respond to the diseases and other clinical problems of older people. The behavioral and social research program supports research that will lead to greater understanding of the social, cultural, economic and psychological factors that affect both the process of growing old and the place of older people in society. The neuroscience and neuropsychology of aging program fosters research concerned with the age-related changes in the nervous system as well as the related sensory, perceptual, and cognitive processes associated with aging. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project in accordance with an approved budget, plus an appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. National Research Service Awards (NRSA) (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRSA to individuals selected by them. Each individual who receives a NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Regulations are published in the Code of Federal

Regulations and 42 CFR, Part 66. SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions (both for-profit and nonprofit), and individuals. National Research Service Award: Individual NRSAs may be made for postdoctoral training to applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional NRSAs may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have a baccalaureate degree. Applicants must be citizens of the United States or admitted for permanent residency. Individual NRSA awardees must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application that exceeds \$50,000 in direct costs must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. If the direct cost of a grant approved by a scientific review group does not exceed \$50,000, it may be funded without approval by a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

The grants application submission process is currently in transition from a paper-based to an electronic format. A current transition-to-electronic-submission timeline for all grant mechanisms in the National Institutes of Health (NIH) Extramural Research Program timeline can be obtained here: <http://era.nih.gov/ElectronicReceipt/files/>. NIH recently published a Notice to the NIH Guide to Contracts and Grants announcing a change to the transition schedule for the remaining grant programs still requiring the submission of paper applications. The URL to the Notice is: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-038.html>.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

For grant programs still requiring submission of paper applications, the standard application forms, as furnished by the Public Health Service (PHS) and required by 45 CFR Part 92 for State and local governments, must be used. Consultation from institute staff is available for all grant programs. Applicants are encouraged to visit the Internet Web sites of the 27 institutes and centers at the NIH to obtain contact information for program staff. Applicants for multi-project awards are strongly encouraged to consult program staff before applying. Applicants may obtain forms and instructions for application preparation and submission at the following Internet Web site: <http://grants.nih.gov/grants/forms.htm> When completed these applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD. Applications are reviewed for scientific merit, evaluation of applicant qualifications, adequacy of the research environment, and significance of the proposed problem to be studied. The application form and instructions for the preparation and submission of applications to the National Research Service Awards Research Training Grants and Fellowships (NRSA) Program, PHS Form 416-1, can be obtained from the following URL (<http://grants.nih.gov/grants/funding/416/phs416.htm>). Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a Federal, public or nonprofit institution having staff and facilities appropriate to the proposed research training program.

Information concerning current areas of science being supported by those institutes participating in the NRSA Program at the NIH is available on the individual institute Web sites. A complete list of institutes at NIH is available at: <http://www.nih.gov/icd>. In addition, information about each institute's NRSA research topics and information about the NRSA Program can be obtained from the Division of Extramural Outreach and Information Resources, (see address above). The NRSA program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. The annual NIH Small Business Innovation Research (SBIR)-Small Business Technology Transfer (STTR) Omnibus Solicitation and SBIR-STTR Contract Solicitation may be obtained electronically by accessing the following URL: <http://grants1.nih.gov/grants/funding/sbir.htm>. The solicitations include application preparation and submission guidelines and instructions, information about review considerations, and Internet hyperlinks to the SBIR-STTR application and/or contract proposal forms. Applications to NIH's SBIR-STTR Programs must be submitted electronically through the U.S. Federal Government's Internet Web site, Grants.gov: [www.grants.gov](http://www.grants.gov). Submission of SBIR-STTR applications through Grants.gov requires pre-registration, which typically takes 2-4 weeks to complete. Information about registration to submit applications through Grants.gov can be found at: <http://era.nih.gov/ElectronicReceipt/preparing.htm>. Applicants are encouraged to read and refer to the extensive information on electronic submission of grant applications on the NIH Electronic Submission of Grants Applications Internet Web site at: <http://era.nih.gov/ElectronicReceipt>.

**Award Procedure:**

Grants and Institutional NRSAs: Each application receives an initial scientific review by non-NIH scientists and a secondary review by the National Advisory Council on Aging. Individual NRSAs do not receive a secondary review by the National Advisory Council on Aging. Awards are issued by the NIA to the grantee institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Deadlines vary by type of award. See <http://grants.nih.gov/grants/dates.htm>.

**Range of Approval/Disapproval Time:**

Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not97-232.html](http://www.nih.gov/grants/guide/notice-files/not97-232.html).

**Renewals:**

Grants: Renewal applications are accepted. National Research Service Awards: Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grant Awards are usually made annually and usually with project periods not to exceed 5 years in length. National Research Service Awards: Institutional awards may be made for up to 5 years, and individual awards may be made for as many as 3 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.



**Account Identification:**

75-0843-0-1-552.

**Obligations:**

(Grants) FY 07 \$836,185,000; FY 08 est \$829,825,000; and FY 09 est \$828,635,000. (NRSA) FY 07 \$23,111,000; FY 08 est \$23,773,000; and FY 09 est \$23,963,000. (SBIR grants) FY 07 \$25,365,000; FY 08 est \$25,500,000; and FY 09 est \$25,500,000.

**Range and Average of Financial Assistance:**

Competing Grants (FY 07): \$20,521 to \$2,149,730 average - \$332,813. Individual NRSA: Basic stipend (first year beyond the doctoral degree) of \$36,996. The sponsoring institution will be provided with an allowance of up to \$6,500 per year to help defray the cost of training. No dependency allowances. Competing institutional NRSA: \$83,624 to \$691,724; average - \$320,695. SBIR: Phase I awards may be made up to \$100,000; Phase II awards may be made for amounts up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 1,545 competing and noncompeting research project grants were funded. A total of 2,140 competing research project grant applications were reviewed and 472 were awarded. For the SBIR/STTR program, there were 73 Phase I awards and awards. Approximately 2,240 competing research project grant applications are expected in fiscal years 2008 and 2009. Estimated competing research project grant awards for fiscal year 2008 are 446 and 518 in fiscal year 2009. In fiscal year 2007, 181 trainees and fellows were supported under competing NRSA. It is estimated that approximately this same number of trainees and fellows will be supported under competing NRSA applications in both fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contacts: For information on the biology of aging, contact: Dr. Felipe Sierra, National Institute on Aging, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 496-4996. For information on geriatrics and clinical research, contact Dr. Evan Hadley (same address). Telephone: (301) 496-6761. For information on behavioral and social research, contact: Dr. Richard Suzman (same address). Telephone: (301) 496-3136. For information on neuroscience and neuropsychology of aging research, contact: Dr. Marcelle Morrison-Bogorad (same address). Telephone: (301) 496-9350. For information on Small Business Innovation Research Program, contact: Dr. Robin Barr (same address). Telephone: (301) 496-9322. Grants Management Contact: Ms. Linda Whipp, Grants Management Officer, Office of Extramural Affairs, National Institute of Aging, National Institutes of Health, Department of Health and Human Services, Bethesda, MD 20892. Telephone: (301) 496-1472. Use the same numbers for FTS.

**Web Site Address:**

<http://www.nia.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Studies of the cellular processes that may lead to impaired immune function in older people; (2) longitudinal studies of health, functional status, and health care expenditures in older Americans; (3) studies to identify "longevity assurance" genes in various animal models; (4) studies to identify genes associated with Alzheimer's disease, Parkinson's disease, and other neurological diseases and conditions; (5) a major multi-center clinical studies of treatments of cognitive impairment and behavioral disorders associated with Alzheimer's disease; (6) a study that is developing improved diagnostic methods for the detection of Alzheimer's disease; (7) studies of the consequences of natural and man-made disasters on vulnerable groups; (8) a multi-site study of the biological and psychosocial aspects of menopause and subsequent health status of study participants; (9) a program of interdisciplinary care planning, family support, and activity for patients with moderate dementia; (10) studies of the epidemiology, pathophysiology, and clinical aspects of anemia in the elderly; (11) a community-based, epidemiological study for evaluating health disparities in socioeconomically and racially diverse populations in a major metropolitan area.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project;

and the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.867 VISION RESEARCH****FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title III, Part A, Section 301; Health Research Extension Act of 1985, Public Law 99-158, 42 U.S.C. 241; Title IV, Part B, Section 405; 42 U.S.C. 284; Part C, Section 455; 42 U.S.C. 285i; Health Omnibus Programs Extension Act of 1988, Section 487(d); Public Law 100-607, 42 U.S.C. 288(d); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To support eye and vision research projects that address the leading causes of blindness and impaired vision in the U.S. These include retinal diseases; corneal diseases; cataract; glaucoma and optic neuropathies; strabismus; amblyopia; and low vision and blindness rehabilitation. To increase understanding of the normal development and function of the visual system in order to better prevent, diagnose, and treat sight-threatening conditions; and, to enhance the rehabilitation, training, and quality of life of individuals who are partially-sighted or blind. To support a broad program of basic vision research through grants and cooperative agreements; to encourage high quality clinical research, including clinical trials, other epidemiologic studies, and health services research; to encourage research training and career development in the sciences related to vision; and to sponsor scientific workshops in high priority research areas to encourage exchange of information among scientists. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements provide funds for salaries, consultant costs, equipment, supplies, travel, patient costs, alterations and renovations, other expenses, and consortium/contractual costs. The scientists and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. The Conference Cooperative Agreement supports scientific meetings and workshops in high priority research areas to encourage exchange of information among scientists. The Center Core Grant is intended to enhance an institution's environment and capability to conduct vision research, to facilitate collaborative studies of the visual system and its disorders, and to attract scientists of diverse disciplines to research on the visual system. Career development awards include the Mentored Clinical Scientist Development Award, Mentored Patient-Oriented Research Career Development Award, Institutional Clinical Scientist Development Program, and the Mid-career Investigator Award in Patient-Oriented Research.

The Clinical Study Planning Grant is designed to support the development of an applied clinical research plan. NEI Research Grants for Secondary Data Analysis provide limited support for meritorious research projects that involve secondary analysis of research data generated from clinical trials, population research and other applied clinical vision research projects supported by the Institute. Bioengineering Research Grants (BRG) support basic bioengineering research whose outcomes are likely to advance health or health-related vision research. BRGs may propose to apply basic bioengineering design-directed or hypothesis-drive research to an important vision research area. Bioengineering Research Partnership grants support multidisciplinary research teams applying an integrative, systems approach to develop knowledge and/or methods to prevent, detect, diagnose, or treat diseases of the eye and visual system. NEI Translational Research Program on Therapy for Visual Disorders grants provide support to collaborative, multidisciplinary research focused on the development of novel therapies to restore or prevent the loss of function due to visual diseases and disorders. Small Business Innovation Research Phase I grants are awarded to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer Research, Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. National Research Service Awards (NRSAs), both individual and institutional, support training in vision research. Some individuals who receive an NRSA may be obligated upon termination of the award to comply with certain service and payback provisions. The NIH Extramural Loan Repayment Programs provides payback of a portion of eligible student loan debt of qualified health professionals who agree to conduct clinical research.

#### **Applicant Eligibility:**

Public/State-controlled institutions of higher education, private institutions of higher education, Hispanic-serving institutions, Historically Black Colleges and Universities, tribally-controlled colleges and universities, Alaska Native- and Native Hawaiian-serving Institutions, nonprofits with or without 501(c)(3) IRS status, Small Businesses, for-profit organizations, federal institutions, and State and local units of government are eligible to make application for research grants, cooperative agreements, and career development awards. Foreign institutions may apply for research grants only. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. Candidates for Mentored Clinical Scientist Development Awards are restricted to those holding health professional degrees in the clinical sciences (M.D., O.D., D.D.S., D.V.M., or equivalent). NRSAs are provided for predoctoral and postdoctoral research training. Individual NRSAs may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., O.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRSAs may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All awardees must be citizens of the United States, or have been admitted to the U.S. for permanent residence prior to award. Individual NRSA awardees must be nominated and sponsored by a Federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and for-profit organizations, and State and local governments may not apply for an institutional NRSA. Refer to the NIH Program Guidelines on NRSAs for further information. The Small Business Innovation grants: SBIRs can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have not more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of the award and during the conduct of the proposed project. The research during both Phase I and Phase II must be performed in the U.S. or its possessions. Only Phase I awardees are eligible to receive Phase II support. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. Individuals applying for the NIH Loan Repayment Programs must be engaged in patient oriented research and be trained in a medical subspecialty as defined under Section 206 of Public Law 106-505. These individuals must be U.S. citizens, U.S. citizen nationals, or lawfully admitted for permanent residence in the U.S.; have a student loan debt which equals or exceeds 20 percent of their university compensation; have no Federal judgment lien against their property arising from a Federal debt; and owe no obligation of health professional service to the Federal government, a State, or other entity unless deferrals are granted

during the length of their Loan Repayment Program service obligation.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

(1) Research grants and cooperative agreements: Applications for research involving the use of human subjects must include documentation that all key personnel have received training in human subject protection. Applicants may provide additional documentation to establish the scientific and technical merit and the programmatic relevance of the application. (2) Individual NRSA applications: The applicant's academic record, research experience, institutional sponsorship, and the proposed area and plan of training must be included. (3) Institutional NRSA application: The applicant institution must discuss the objectives, methodology and resources for the research training program; the qualifications and experience of staff; the criteria to be used in selecting individuals for an appointment; and a budget and justification for the grant funds requested. Costs will be determined in accordance with the appropriate OMB Circular or with HHS Regulations 45 CFR, Part 74, Subpart Q. (4) For SBIR and STTR grants, the small business concern must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Loan Repayment Program applicants must provide certification of loan status, loan data verification, and an institutional supporting statement.

#### **Preapplication Coordination:**

Applicants for core grants, clinical study planning grants, cooperative agreements, clinical vision research development awards, small research grants for data analyses, and bioengineering research partnerships should seek preapplication coordination through contact with the National Eye Institute staff.

All staff may be contacted at (301) 451-2020. Applicants planning to submit a grant application requesting \$500,000 or more in direct costs for any year are required to discuss their eligibility with the NEI staff, at (301) 451-2020. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a federal, public, or nonprofit institution having staff and facilities appropriate to the proposed research program. Information regarding the application process, access to forms, and information regarding the <http://www.Grants.Gov> site are available on the NEI web site at <http://www.nei.nih.gov>. Supplemental instructions for preparing applications for Core Grants, Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, and cooperative agreements for clinical studies or conferences are available on the internet at <http://www.nei.nih.gov/SBIRandSTTRGrantSolicitationsandSBIRContractSolicitation> may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. Application forms and information concerning the NRSA program are available from the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing Institutional NRSA applications are available on the World Wide Web at <http://www.nei.nih.gov/> This program is subject to the provisions of 45 CFR 74 and 92 and OMB Circular No. A-110 for nonprofit organizations, as applicable.

#### **Award Procedure:**

Applications are reviewed initially for scientific and technical merit. A second level review of the programmatic relevance of applications is provided by the National Advisory Eye Council. (Second level review of NRSA fellowship applications is performed by a committee of senior staff of the National Eye Institute. Final approval is made by the Director, National Eye Institute. Formal award notices are transmitted to the appropriate institutional official.

#### **Deadlines:**

Receipt dates for all NIH-supported grant and cooperative agreement mechanisms are available at

<http://grants.nih.gov/grants/funding/submissionschedule.htm>.

#### **Range of Approval/Disapproval Time:**

Approximately six to nine months for Research Grants, Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, cooperative clinical studies or conferences, Core Grants, and NRSA Institutional applications; from six to seven months for NRSA individual applications; and for SBIR, about eight months.

#### **Appeals:**

A principal investigator may communicate to the staff of the National Eye Institute any concerns regarding the substantive or procedural aspects of the review of an application.

#### **Renewals:**

Renewals of research grant or cooperative agreement support are by competitive

application and review. Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, and NEI Research Grants for Secondary Data Analysis are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Up to five years for research grants and cooperative agreements, Mentored Clinical Scientist Development Awards, Core Grants, and Institutional NRSA's. Up to three years for Academic Research Enhancement Awards and NRSA Individual postdoctoral awards. Clinical Study Planning Grants: one year. Awards to individuals made through an institutional NRSA may total eight years (five years predoctoral and an additional three years postdoctoral). SBIR: Normally, Phase I awards are for six months; normally, Phase II awards are for two years. STTR: Normally, Phase I awards are for one year; normally, Phase II awards are for two years. Loan Repayment Program Awards are for two years with the opportunity for renewal.

**Reports:**

The grantee is responsible for annual progress reports. These are required for program analysis as part of all continuation applications. In addition, a final report is required to be filed within 90 days of the termination of the grant. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the significant results; and a list of publications resulting from the projects. For most projects a financial status report is required 90 days after each competitive segment. Cooperative agreements and Institutional NRSA's require an annual financial status report. NRSA's (Institutional): A Statement of Appointment for each trainee must be submitted to the National Eye Institute for each year of training, not to exceed three years. Reports are required after termination of the NRSA's to ascertain compliance with the service and pay back provisions for each trainee.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are also subject to inspection and audits by DHHS and other Federal government officials. Loan Repayment Program awards will be audited prior to the end of the contract or as needed.

**Records:**

Expenditures and other financial records must be retained for three years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0887-0-1-552.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 \$508,095,000; FY 08 est \$507,383,000; and FY 09 est \$506,627,000. (NRSA): FY 07 \$10,606,000; FY 08 est \$10,608,000 and FY 09 est \$10,661,000. (SBIR and STTR): FY 07 \$18,980,000; FY 08 est \$15,782,000; and FY 09 est \$15,760,000.

**Range and Average of Financial Assistance:**

Grants and Cooperative agreements: \$26,298 to \$5,057,448; \$392,655. NRSA (Institutional): \$26,298 to \$560,041; \$217,314. NRSA (Individual): \$14,476 to \$62,002; \$45,355. SBIR Phase I: \$99,231 to \$570,438; \$130,023. SBIR Phase II: \$71,484 to \$953,134; \$431,300. STTR Phase I: \$105,906 to \$310,645; \$188,551. STTR Phase II: \$310,719 to \$408,108; \$346,016.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, this program supported approximately 1,450 research grants, including 58 SBIR and STTR awards, and 267 NRSA positions. This program received approximately 984 competing research grant applications in FY 07, of which approximately 262 competing applications were funded, with an estimated success rate of 26.6 percent. In FY 08, the program anticipates supporting 1,400 research grants, including 48 SBIR and STTR awards, and 267 NRSA positions. A report by the NEI, "National Plan for Eye and Vision Research" provides a comprehensive summary of the program's goals, objectives, accomplishments, and program and management policies, as well as statistical information on the incidence and prevalence of visual disorders. Copies of this document are available on the internet at <http://www.nei.nih.gov>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92. PHS Grants Policy Statement DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994, and Addendum effective February 15, 1995; "NIH Guide for Grants and Contacts and Supplements." National Eye Institute Guidelines are available on the internet at <http://www.nei.nih.gov> Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jerome R. Wujek, Ph.D., Research Resources Officer, National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-1900. Telephone: (301) 451-2020. Grants Management Officer Contact: Mr. William W. Darby, Chief, Grants Management Branch, National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-1900. Telephone: (301) 451-2020. Use the same numbers for FTS. The National Eye Institute encourages applicants to visit its internet site at [www.nei.nih.gov/](http://www.nei.nih.gov/). Among the many recent additions to the site is an expanded "Research Funding" section which contains all National Eye Institute application guidelines and internet links to relevant NIH information.

**Web Site Address:**

<http://www.nei.nih.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Retinal Diseases: Projects include studies of the development, molecular and cell biology, molecular genetics, and metabolism of the photoreceptor cells and the underlying retinal pigment epithelium; the mechanism of the retina's response to light and the initial processing of information that is transmitted to the visual centers of the brain; the pathogenesis of diabetic retinopathy; the fundamental causes of and etiologic factors responsible for uveitis; the molecular genetic mechanisms underlying retinoblastoma and ocular melanoma; the genetics of retinitis pigmentosa, age-related macular degeneration, and related disorders; and the cellular and molecular events that accompany retinal detachment. (2) Corneal Diseases: Projects include studies of the regulation of genes that express proteins unique to corneal tissue; the details of the macromolecular and supramolecular assembly of extracellular corneal matrices; the characterization of cytokines and cell surface receptors which interact with corneal cells, pathogens, and blood borne cells; the pathogenesis of corneal infections; the mechanisms that maintain corneal hydration and transparency; the physiologic basis for immune privilege in the cornea; corneal development, growth, and wound healing; the biomechanics of the cornea; the characterization of genes responsible for corneal dystrophy; and, the correction of refractive errors. (3) Lens and Cataract: Projects include studies of lens development, characterization of changes in lens physiology and biochemistry related to aging and cataract formation, the identification of those molecular components and physiological processes required to maintain transparency, studies to identify what controls lens shape and its accommodative dynamics, the molecular and cellular characterization of the control of lens cell division and differentiation; genetic studies to map and identify cataract genes, studies to describe the structure and function of lens crystallins, and studies to identify those insults that lead to cataract formation such as oxidative stress. (4) Glaucoma and Optic Neuropathies: Projects include studies of the genetics of glaucoma, the cellular and molecular nature of the extracellular matrix proteins of the trabecular meshwork; the basic mechanisms that control aqueous humor dynamics; the design of better pharmacologic agents to modulate aqueous humor secretion and outflow, and characterization of mechanisms of optic nerve damage and the cell biology of retinal ganglion cell death. (5) Strabismus, Amblyopia, and Visual Processing: Projects include studies of the function of the neural pathways from the eye to the brain, the central processing of visual information, visual perception, optical properties of the eye, functioning of the pupil, and control of the ocular muscles; congenital, developmental, and degenerative abnormalities of the visual sensorimotor system, particularly strabismus and amblyopia. Additional emphasis is placed on and support provided for research on optic neuropathies, eye movement disorders, and the development of myopia. (6) Low Vision and Blindness Rehabilitation: Projects include studies aimed at improving the methods of specifying, measuring and categorizing loss of visual function; devising strategies to help visually impaired people maximize the use of their residual vision; systematically evaluating new and existing visual aids; developing an adequate epidemiological base for blindness, partial loss of sight and visual anomalies; and studying the optical, electronic, and other rehabilitative needs of people with visual impairments. (7) Collaborative Clinical Research: Projects include a number of clinical trials and other epidemiologic research projects including single-center randomized clinical trials, multicenter randomized clinical trials, natural history studies, risk factor analyses using case-control and prospective cohort methods, and health services research. These projects have the goal of improving the understanding, the prevention, and the management of visual system diseases and disorders including, for example, diabetic retinopathy, age-related macular degeneration, corneal diseases, cataract, glaucoma, and optic nerve atrophy, the leading causes of blindness in the United States.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in the initial scientific and technical review of most applications include an assessment of significance, approach, innovation, investigator training and experience, and the scientific environment. In addition to these criteria, in accordance with NIH policy, all applications will also be reviewed with respect to the following: the adequacy of plans to include both



genders, minorities, and their subgroups as appropriate for the scientific goals of the research; the reasonableness of the proposed budget and duration in relation to the proposed research; and, the adequacy of the proposed protection for humans, animals or the environment, to the extent they may be adversely affected by the project proposed in the application. A second level review of the programmatic relevance of most applications is provided by the National Advisory Eye Council. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### 93.879 MEDICAL LIBRARY ASSISTANCE

#### FEDERAL AGENCY:

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Public Health Service Act, Title III, Part A, Section 301, Title IV, Part D, Subpart 2, Sections 472-476, as amended, Public Law 103-43; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### OBJECTIVES:

To improve health information services by providing funds to train professional personnel; to conduct research in biomedical informatics, bioinformatics and related computer and information sciences; to facilitate management of electronic health science information; to plan, develop and test feasibility of advanced information tools; to prepare certain kinds of biomedical publications; to advance biocomputing and bioinformatics through participation in the Biomedical Information Science and Technology Initiative (BISTI), and NIH Roadmap Initiatives relating to biomedical informatics, bioinformatics and biomedical computing; to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions, through Small Business Research Innovation (SBIR) and Small Business Technology Transfer (STTR) grants.

#### TYPES OF ASSISTANCE:

Project Grants.

#### USES AND USE RESTRICTIONS:

RESEARCH GRANT PROGRAMS: Research Grants are available for fundamental and applied research in biomedical informatics and bioinformatics. Areas of research interest include: representation, organization and retrieval of biomedical and biological knowledge, data and images; enhancement of human intellectual capacities through virtual reality, dynamic modeling, artificial intelligence, and machine learning; medical decision-making; linguistic analyses for natural language processing and understanding; informatics topics relevant to public health and informatics for disaster management. Research Project Grants (R01) are available for rigorous scientific research studies and experiments. Small Project Grants (R03) provide short-term awards answer specific, targeted research questions, gather preliminary data, show proof of concept. Exploratory/Developmental Grants (R21) support early, conceptual work and feasibility tests. Other research grants include Informatics Conference Grants, and Innovations in Biomedical Computational Science and Technology (BISTI) Grants, and a number of NIH-wide grant programs on high priority topics such as health literacy. Further information on research grants is available at <http://www.nlm.nih.gov/ep/Grants.html#research>. TRAINING PROGRAMS AND FELLOWSHIPS: To assure an adequate national pool of informatics researchers and health information specialists, training is offered through formal training programs and individual fellowships. University Biomedical Informatics Research Training Programs promote the career training of talented persons who seek research careers in biomedical informatics, bioinformatics, and public health informatics. A competition for these institution-based training grants is announced every five years. University-based training support may be at the pre- or post-doctoral level. Training sites recruit and choose their trainees, and are expected to have well established computer facilities, strong informatics research and education programs, experienced faculty and staff committed to research in

the field of biomedical computing and/or bioinformatics, and available courses or experience in computer science, information science, and cognitive sciences. Institutional training grants provide trainee stipends, tuition and fees, travel, and certain institutional support costs. NLM also offers individual Informationist Fellowships for cross-training of information specialists to work in scientific and biomedical contexts. Stipends are based on published predoctoral stipend levels that are updated each year. Further information on training grants and fellowships grants is available at <http://www.nlm.nih.gov/ep/Grants.html#training>. CAREER DEVELOPMENT PROGRAMS: NLM offers an early career development award to help informatics trainees make the transition to a successful independent research career. NIH Pathway to Independence Career Development awards are for investigators who are making the transition to their first research positions. These grants can last up to 5 years. They include a mentored period, followed by an unmentored period, and provide both salary and a research fund. Research supplement awards are also offered to promote diversity in health-related informatics research, and to promote re-entry into informatics careers. Diversity and re-entry awards are issued as supplements to existing research grants funded by NLM. NLM also participates in the NIH Loan Repayment Award (LRP) program. The LRP awards are available to those who qualify and will commit to two years of clinical informatics research. Further information on career development grants is available at <http://www.nlm.nih.gov/ep/Grants.html#career>.

RESOURCE GRANT PROGRAMS: Resource grants support the development and deployment of knowledge management tools, resources, and services that address identified, unmet needs for a broad audience. Two types of resource grants are available: Knowledge Management & Applied Informatics grants and Planning Grants for Integrated Advanced Information Management Systems (IAIMS). In addition, NLM offers Grants for Scholarly Works to support preparation of books in the history and philosophy of biomedicine, bioethics, and public policy areas of importance to health professionals and biomedical scientists. The purpose, restrictions, funding periods and award limits vary for these grant programs. Knowledge management and IAIMS Planning grants provide support for direct costs only. Knowledge grants provide \$150,000 per year for up to 3 years. Awards for IAIMS planning are limited to \$150,000 per year for 1 or 2 years. Scholarly Works grants are limited to \$50,000 annually for one, two or three years. Further information on resource grants is available at <http://www.nlm.nih.gov/ep/Grants.html#resource>. SMALL BUSINESS RESEARCH & DEVELOPMENT PROGRAMS: Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) grants are made to U.S. small businesses that seek to undertake informatics research and development leading to commercialization. The STTR program requires a small business applicant organization to formally collaborate with a research institution in Phase I and Phase II. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Further information on SBIR/STTR grants is available at <http://www.nlm.nih.gov/ep/Grants.html#small>.

#### Applicant Eligibility:

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the project director/principal investigator (PD/PI) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. See Beneficiary Eligibility below for further details.

#### Beneficiary Eligibility:

Research Grants are available to public or private, domestic or foreign, for profit or not-for-profit institutions or organizations with research capabilities in biomedical informatics, bioinformatics, computer sciences, information sciences and related disciplines. Training Grants may be made to nonfederal public and nonprofit private institutions. Fellowships may be awarded to individuals at the pre-doctoral level. With the exception of NIH Pathway to Independence awards, trainees or fellows must be citizens or non-citizen nationals of the United States or have been lawfully admitted to the United States for permanent residence. Resource grants (IAIMS, Knowledge Management, Scholarly Works) are open to any U.S. public or private nonprofit health-related institution or organization. For Scholarly Works grants, an appropriate public or private nonprofit institution of higher education may apply in behalf of the principal investigator on the project, or an individual unaffiliated with an academic organization may apply directly. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500

employees). To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Credentials/Documentation:**

Cost allowability will be determined in accordance with OMB Circular A-87 for State, Local, and Indian Tribal Governments, OMB Circular A-21 for Educational Institutions and for For-profit organizations, costs will be determined in accordance with 48 CFR Subpart 31.2 Federal Acquisition Regulation (FAR). Nonprofit institutions cost principles are outlined under OMB Circular A-122 and for Hospitals, 45 CFR Part 74, Appendix E. These cost principles are codified under 45 CFR 74.27 and 92.22. Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are outlined in OMB Circular A-110. Documentation providing NIH grants policy and guidance can be found at <http://grants.nih.gov/grants/policy/policy.htm>. The Division of Extramural Programs, NLM provides program specific grant information at <http://www.nlm.nih.gov/ep>.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

NIH is in the process of moving to electronic submission of applications for all of its grant programs. Only electronic applications are accepted for all types of Research Grants, SBIR and STTR grants, and Resource Grants. Electronic grant submission of the SF424 (R&R) form is via <http://www.grants.gov>. For instructions on submitting grants electronically, see <http://era.nih.gov/ElectronicReceipt/>. A timeline of transitions to electronic submission for each grant program is available at <http://www.nlm.nih.gov/ep/Deadlines.html>. For all other grant programs, a paper form is submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Form PHS-398 is used for NIH Pathway to Independence Grants and Biomedical Resource Grants. Forms and instructions for PHS-398 can be downloaded at <http://grants1.nih.gov/grants/funding/phs398/phs398.html>. For Informationist Fellowships, submit Form PHS-416-1, with forms and instructions downloadable at <http://grants1.nih.gov/grants/funding/416/phs416.htm>. These programs are subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Updates on NLM application deadlines and links to available forms can also be found at <http://www.nlm.nih.gov/ep/>.

**Award Procedure:**

Applications are evaluated for merit by a committee of scientific experts and for program relevance by the Board of Regents (BOR) of the National Library of Medicine (NLM). If favorably recommended, the application is considered for funding. An award notice is prepared when it is determined that a grant is to be paid. This notice is sent to the grantee with a letter from the program officer when special provisions are necessary. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Each program has 3 application deadlines per year, which vary by grant program and whether the application is new or revised. Special Requests for Applications (RFAs) or newly established Program Announcements (PAs) issued annually may have other limited deadline dates. For an up-to-date list of deadlines, see <http://www.nlm.nih.gov/ep/Deadlines.html>.

**Range of Approval/Disapproval Time:**

From 9-10 months after the application deadline.

**Appeals:**

NIH policy allows a principal investigator (PI) to appeal the outcome of a review if procedural errors or factual errors entered into the review of the application. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>. However, differences of scientific opinion that often occur between investigators and reviewers may not be contested through these procedures. In addition, communications from investigators consisting of additional information that was not available to the reviewers are not considered to be appeals.

**Renewals:**

Competing renewal applications follow same review procedures and deadlines as new applications; dates for submission are at <http://www.nlm.nih.gov/ep/Deadlines.html>. NIH also permits the resubmission of an application that has been revised following merit review. Deadlines for resubmissions are listed with other deadlines.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements for NLM grants.

**Length and Time Phasing of Assistance:**

The length of a grant award varies by the type of grant. R01 research grants generally last three or four years. Resource grants, Small Pilot and

Exploratory/Developmental grants, Fellowships and NIH Pathway to Independence awards have defined maximum periods that are provided in the funding opportunity announcement.

**Reports:**

Annual grant progress reports and Financial Status Reports must be submitted as required. At the end of a grant, the awardee must file a final progress report, final Financial Status Report and final statement of invention.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, States, local governments, and nonprofit organizations that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. In accordance with 45 CFR 74 Subpart C Section 74.26(d) for-profit organizations that expend more than \$500,000 in DHHS awards in a year shall have an audit of the DHHS awards in accordance with the "Government Auditing Standards" (Yellow Book) or an audit that meets the requirements of OMB Circular A-133. Award recipients that do not meet the \$500,000 threshold are exempt from Federal audit requirements for that year, except as noted in Circular A-133. In addition, grants and cooperative agreements are subject to review or audit by appropriate officials of the Federal (funding) agency, pass-through entity and the Government Accountability Office (GAO). Foreign organizations must use the for-profit audit requirements for DHHS supported awards. The NIH/DHHS Loan Repayment Program (LRP) is not subject to Federal auditing requirements. For OMB policy statements on grants, see [http://www.whitehouse.gov/omb/grants/grants\\_docs.html](http://www.whitehouse.gov/omb/grants/grants_docs.html). Government Auditing Standards is available on the GAO Web site at <http://www.gao.gov/govaud/ybk01.htm>.

**Records:**

Financial and programmatic grant records must be retained for 3 years from the day on which the grantee submits the last (annual) Financial Status Report (FSR). Streamlined Noncompeting Application Process (SNAP) awardees beginning date for record retention purposes is the date of the FSR submission for the entire competitive segment of the grant.

**Account Identification:**

75-0807-0-1-552.

**Obligations:**

(Extramural Funding Awards) FY 07 \$67,568,000; FY 08 est \$63,389,000; and FY 09 est \$63,389,000.

**Range and Average of Financial Assistance:**

\$7,000 to \$1,561,223; \$333,452 - FY 07 total average cost for Basic Research Grant (R01); \$143,773 - FY 07 total average cost for Knowledge Management Grant (G08); \$70,692 - FY 07 total average cost for Scholarly Works Grant (G13).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 223 new and continuing awards were made for projects in biomedical informatics, bioinformatics, informatics training and health information management. It is anticipated that approximately 213 awards will be issued in fiscal year 2008 and approximately 213 awards will be issued in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Library of Medicine Grant Programs are awarded under the Public Health Service Act and the Medical Library Assistance Act. Grants and funding awards are made available under the authority of the Acts as codified under 45 CFR 74 (Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments, and Indian Tribal Governments and 45 CFR 92 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments); the NIH Grants Policy Statement is available to grantees as a single document governing the NIH/DHHS policy requirements and terms and conditions of NIH/DHHS grant awards. Additional regulations and guidelines are provided in the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR - R43, R44) Grant and Cooperative Agreement Applications including the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR - R41, R42) Grant Applications.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Extramural Programs, National Library of Medicine, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20894. Telephone: (301) 496-4621. Program Contacts: Telephone: (301) 594-4882. Grants Management Contact: Grants Management Officer: Telephone: (301) 496-4221. Grant Review Contact: Scientific Review Administrator. Telephone: (301) 496-4253. Use the same numbers for FTS. Website: <http://www.nlm.nih.gov/ep>.

**Web Site Address:**

<http://www.nlm.nih.gov/ep>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Lists of awards made since 1997, in each active grant program, are available on the agency's web site at <http://www.nlm.nih.gov/ep/funded.html>.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The standard NIH review criteria, significance, approach, innovation, investigator, environment are used as the basis of merit review. For NLM resource grants, these include considerations as to relevance to program objectives; impact on the management and transmission of biomedical knowledge; institutional readiness and resources available to project; expertise of project director and key personnel; scientific or technical merit of project; sustainability of what is deployed, and appropriateness of budget. Comparative priorities on the above criteria are based on collective judgment of peer reviewers. The following criteria are used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the scientific, technical, or technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications are reviewed based upon the similar criteria, and on the degree to which the Phase I objectives were met and feasibility demonstrated General Services Administration Office of Governmentwide Policy Office of Acquisition Policy Regulatory and Federal Assistance Publication Division (MVA).

### **93.884 GRANTS FOR TRAINING IN PRIMARY CARE MEDICINE AND DENTISTRY**

(Primary Care Training)

#### **FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747, 42 U.S.C. 293K as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

#### **OBJECTIVES:**

Grants are awarded for the following purposes: (1) Residency Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to residents in such programs) in approved residency programs in family medicine, general internal medicine and/or general pediatrics; (2) Physician Faculty Development in Primary Care-- to plan, develop, and operate (including provision of financial assistance to trainees in such programs) programs for the training of physicians who teach or plan to teach in family medicine (including geriatrics), general internal medicine and/or general pediatrics training programs; (3) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to students in such programs) in predoctoral programs in family medicine, general internal medicine and/or general pediatrics; (4) Academic Administrative Units in Primary Care-- to meet the costs of projects to establish, maintain or improve academic administrative units (which may be departments, divisions, or other units) to provide clinical instruction in family medicine, general internal medicine and/or general pediatrics; (5) Physician Assistant Training in Primary Care-- to meet the costs of projects to plan, develop, and operate or maintain programs for the training of physician assistants and for the training of individuals who will teach in programs to provide training of physician assistants; (6) Residency Training in General and Pediatric Dentistry - to meet the costs of planning, developing, or operating programs and to provide financial assistance to residents in such programs as general dentistry or pediatric dentistry in dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry .

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grants may not be used for new construction, patient services.

#### **Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area: Residency Training in Primary Care; Physician Faculty Development in Primary Care; Physician Assistant Training in Primary Care; Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Predoctoral Training in Primary Care; Academic Administrative Units in Primary Care; Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding

sentence are eligible to apply. Residency Training in General and Pediatric Dentistry; Entities that have programs in accredited dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

#### **Beneficiary Eligibility:**

For the following programs: Residency Training in Primary Care; Physician Faculty Development in Primary Care; Physician Assistant Training in Primary Care; Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply: Predoctoral Training in Primary Care; Academic Administrative Units in Primary Care; Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Residency Training in General and Pediatric Dentistry; Entities that have programs in accredited dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

#### **Deadlines:**

Deadline dates are available at the Agency website [www.hrsa.gov](http://www.hrsa.gov).

#### **Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of application.

#### **Appeals:**

None.

#### **Renewals:**

During the last budget period of the project period, competing continuation applications may be submitted for up to three (3) years of support.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Project periods are for up to 3 years.

#### **Reports:**

A progress report must be submitted for the second or subsequent budget periods within the approved project period for continued funding. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. A CPMS report must be submitted annually.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

#### **Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Grants) FY 07 \$45,711,492; FY 08 est \$43,872,255; and FY 09 est \$43,872,255.

#### **Range and Average of Financial Assistance:**



The average award for FY 07 was \$212,359 for year one of the project proposal (range of \$101,266 to \$358,437 for year one in FY 07).

**PROGRAM ACCOMPLISHMENTS:**

FY 2007 competitive awards for the following programs: Residency Training in Primary Care--30; Physician Faculty Development in Primary Care--3; Physician Assistant Training in Primary Care--10; Predoctoral Training in Primary Care--25; Academic Administrative Units in Primary Care--13; Residency Training in General and Pediatric Dentistry--28. FY 2007 non-competing continuation awards for the following programs: Residency Training in Primary Care--36; Physician Faculty Development in Primary Care--40; Physician Assistant Training in Primary Care--8; Predoctoral Training in Primary Care--32; Academic Administrative Units in Primary Care--29; Residency Training in General and Pediatric Dentistry--0. Some of the programs grant awards are collaborative grants and cover multiple disciplines hence for example one continuation award may include a continuation award in FM and a continuation award in GIM and/or GP. Therefore, the total number should not be construed as the total number of grants but rather the total number awards per program area.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Brenda L. Williamson, MA, CTHE, Branch Chief, Primary Care Medical Education Branch, Division of Medicine and Dentistry of the Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9A-20, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1467.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedures in the application guidance.

## 93.887 HEALTH CARE AND OTHER FACILITIES

(Renovation or Construction Projects)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Law 110-161.

**OBJECTIVES:**

To construct, renovate, expand, equip, or modernize health care facilities and other health care related facilities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the fiscal year 2008 Congressional Appropriations Bill, Public Law 110-161.

**Applicant Eligibility:**

Eligible applicants include State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

**Beneficiary Eligibility:**

Public or other entities will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Application materials are provided to organizations that were specifically

earmarked in the Appropriation Bill or Conference Report, based upon information in HRSA's annual appropriation.

**Award Procedure:**

Only earmarked organizations may receive an award. Awards are made on the basis of proposal evaluations carried out by HRSA staff.

**Deadlines:**

Application deadlines are indicated in the application materials provided to eligible applicants.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are usually issued for a 3-year project period. Funds must be expended in 5 years.

**Reports:**

At the conclusion of the project, grantees must submit a final Financial Status Report, a final report on project costs (424C) and a list of equipment purchased with grant funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est \$200,000,045; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$9,000 to \$25 million; \$674,000.

**PROGRAM ACCOMPLISHMENTS:**

Funds were awarded for construction, renovation projects, and equipment only projects. There were no funds awarded in FYs 2006 or 2007. It is estimated that 700 awards will be provided to projects in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Program Contact: Mr. Paul Murphy, Chief, Facilities Monitoring Branch, Division of Facilities Compliance and Recovery, Bureau of Healthcare Systems, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 10-105, Rockville, MD 20857. Telephone: (301) 443-5656.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Construction of the Rocky Mountain Cancer Rehabilitation Institute at the University of Northern Colorado, Midwest Center for Rural Health at Union Hospital in Terra Haute, Indiana, and equipment for the Telemedicine Program at Magee Women's Hospital in Pittsburgh, PA.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are not available.

## 93.888 SPECIALLY SELECTED HEALTH PROJECTS

**FEDERAL AGENCY:**

**AUTHORIZATION:**

Public Law 108-199.

**OBJECTIVES:**

To carry out programs that have been selected by the U.S. Congress as being needed for improved health care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the fiscal year 2005 Congressional Appropriations Bill, Public Law 108-792.

**Applicant Eligibility:**

State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

**Beneficiary Eligibility:**

Public or other entities will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Only earmarked organizations may receive an award. Awards are made on the basis of proposal evaluations carried out by HRSA staff.

**Deadlines:**

Application deadlines are indicated in the application materials provided to eligible applicants.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Awards are usually issued a one-year project period. Grant funds must be expended in 5 years.

**Reports:**

At the conclusion of the project, grantees must submit a final Financial Status Report, a final report on project costs (424C) and a list of equipment purchased with grant funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est \$0; FY 08 est \$0; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None. New Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as

applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are not available.

**93.889 NATIONAL BIOTERRORISM HOSPITAL PREPAREDNESS PROGRAM**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

The Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188, enacts Section 319C-1 of the Public Health Service Act, 42 U.S.C. 247d-3a.

**OBJECTIVES:**

To ready hospitals and supporting health care systems to deliver coordinated and effective care to victims of terrorism and other public health emergencies.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State health departments listed above, hospitals and supporting health care systems.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Healthcare Systems Bureau. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from Headquarters Office.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 2-3 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 12-months. Budget periods are limited up to 12-months.

**Reports:**

Semi-annual and year end progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR Parts 74 and 92.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

FY 07 \$415,032,000; FY 08 est \$398,059,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$330,787 to \$39,203,268.

**PROGRAM ACCOMPLISHMENTS:**

FY 2004 and 2005 funds are intended to support needs assessments updates for hospitals and supporting healthcare entities; continuation, refinement and implementation of DHHS-approved work plans that are in accordance with program guidance, and contracts to health care entities to upgrade their ability to respond to terrorist and other public health emergencies requiring mass immunization, treatment, isolation and quarantine in the aftermath of bioterrorism or other outbreaks of infectious disease.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

CDR Melissa Sanders, Chief, National Bioterrorism Hospital Preparedness Branch, Division of Healthcare Preparedness, Healthcare Systems Bureau, Health Resources and Services Administration, Parklawn Building, Rm 13-103, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0924.

**Headquarters Office:**

Grants Management Office: Oscar Tanner, Director, Division of Grants Management, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Rockville, MD 20857. Health Services Branch: 301-443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.003, Public Health and Social Services Emergency Fund.

**EXAMPLES OF FUNDED PROJECTS:**

FY 2002 awards were used for the development and implementation of regional plans to improve the capacity of hospitals, their emergency departments, outpatient centers, EMS systems and other collaborating health care entities for responding to incidents requiring mass immunization, treatment, isolation and quarantine in the aftermath of bioterrorism or other outbreaks of infectious disease. FY 2003 and 2004 funds are intended to support needs assessments, the development and implementation of DHHS-approved work plans, and contracts to health care entities to upgrade their ability to respond to terrorist incidents and other public health emergencies.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. The applicants must submit their application in accordance with fiscal year program guidance. The applications are reviewed by an objective review committee and approved applications are processed immediately. Applications approved with conditions, require the applicant to resubmit supporting information within a prescribed timeframe. Upon review and approval, the revised application can then be submitted to Grants Management for processing and issuing a notice of grant award.

**93.890 HEALTHY COMMUNITIES ACCESS PROGRAM (HCAP) DEMONSTRATION AUTHORITY**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Section 340(j).

**OBJECTIVES:**

To assist Historically Black Health Professions Schools (HBHPSs) to: 1) develop patient-based research infrastructure with any HCAP providers; 2)

establish joint and collaborative programs of medical research and data collection between HBHPSs and such providers, whose goal is to improve the health status of medically underserved populations; or 3) support the research-related costs of patient care, data collection, and academic training resulting from affiliations with HCAP providers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible applicants are HBHPSs, which have an affiliation, or affiliations with any HCAP provider identified in subsection (b)(1)(B) of Public Law 107-251 (a Federally Qualified Health Center, Public Health Department, Hospital with a low income utilization rate, and an interested public or private sector health care provider or organization that has traditionally served the medically uninsured and underserved). No new awards will be granted in FY 2005. The program will only award continuation funding to grantees that were previously funded, based on fund availability and progress toward achieving the goals and objectives that were approved under the grant.

**Beneficiary Eligibility:**

This program will benefit medically underserved populations.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Primary Health Care. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Objective reviews are conducted by the Health Resources and Services Administration's (HRSA) Division of Independent Review. Non-competing continuation applications are reviewed by staff at HRSA's Bureau of Primary Health Care. Applications are reviewed for merit. Final award decisions are made by the Associate Administrator, of the Bureau of Primary Health Care.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Same as application procedure.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention



requirements are provided in Title 45, CFR, Parts 74 and 92.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$706,762 to \$933,118.

**PROGRAM ACCOMPLISHMENTS:**

HCAP Demonstration Project grants encourage HBHPS to examine the implementation of a patient-centered Care Model in HCAP consortia members, focusing on the improvement of data collection designed to reduce health disparities in minority populations. These populations include African Americans, American Indians, Alaska Natives, Asian Americans, Hispanic Americans, Native Hawaiians, Pacific Islanders and other medically underserved populations (i.e., uninsured and underinsured populations). The program was implemented and four grants were awarded to HBHPS in FY 05.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Division of State and Community Assistance, Bureau of Primary Health Care, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 15C-04, Rockville, MD 20857. Telephone: (301) 594-4488.

**Headquarters Office:**

Grants Management Office: Oscar Tanner, Director, Division of Grants Management, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.252, Healthy Communities Access Program.

**EXAMPLES OF FUNDED PROJECTS:**

Charles R. Drew University of Medicine and Science focusing on Depression Management; Faculty Development; and Clinical Information Systems. Morehouse School of Medicine focusing on Practiced Based Diabetes Screening Pilot; and Improving Glycemic Control by Micro-Systems Changes in the Process of Care Pilot. Meharry Medical College focusing on Clinical Information Systems and Faculty development. Hampton University School of Nursing focusing on Primary Care Access for Adults; Pediatric Injury Prevention Project; and Faculty Development.

**CRITERIA FOR SELECTING PROPOSALS:**

No new grants will be awarded. The only awards that will be granted under this program will be the non competing continuation HCAP Demonstration Project grants for year two of their program. The criteria for the non-competing continuation application will be announced in the Policy Information Notice.

## 93.891 ALCOHOL RESEARCH CENTER GRANTS

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 464J; 42 U.S.C. 241 and 42 U.S.C. 285n-2.

**OBJECTIVES:**

To provide long-term support for a concerted and multi-disciplinary research effort into the problems of alcohol use and alcoholism by coordinating the activities of investigators from biomedical, behavioral, and social science disciplines around a basic research theme. An alcohol research center is expected to realize its greater potential for contributing to the basic store of knowledge about alcohol and alcoholism and to become a significant regional and national resource.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Alcohol research center grant funds may be used for support of core resources including, for example, salaries of center personnel, services and facilities shared by center personnel, and program enrichment activities such as symposia. Support for individual components may include staff salaries, supplies, publication, travel and equipment. Funds may not be used for training, although the applicant is required to demonstrate an institutional training capacity related to alcohol. Funds may not be used for purchase of any land or the purchase, construction, preservation or repair of any building, and grantees must have sufficient laboratory facilities and reference services to carry out the grant.

Support will be provided for up to 5 years (renewable for subsequent periods) to qualifying centers selected for funding. No annual grant may exceed \$2,000,000 in total costs. The actual amount of support awarded will depend upon the appropriateness of the proposed center budget to the approved Center program, as well as the availability of funds.

**Applicant Eligibility:**

State and local governments, any domestic (nonfederal) public or private nonprofit and for-profit institution may apply for a center grant. However, the proposed center must be affiliated with an institution, such as a university, medical center, or research center, that has the resources to sustain a long-term coordinated research program around a central theme related to problems of alcohol use and alcoholism. An applicant institution must demonstrate the ability to attract high quality scientists, from biomedical, behavioral, and social science disciplines, who are willing to make a long-term commitment to alcohol research. In addition, the applicant must assure that alcoholism related research and clinical training opportunities will be available.

**Beneficiary Eligibility:**

Public and private nonprofit and for-profit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart C, Section 74.27.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms, as furnished by PHS must be used by grant applicants. This program is subject to 45 CFR Part 92 for State and local governments and Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Grants in support of approved applications are awarded directly to the applicant institution by the NIAAA.

**Deadlines:**

Deadlines will be announced in specific Requests for Applications (RFA) to be published in the NIH Guide for Grants and Contracts. Contact Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

The time from receipt of application to final action is approximately 9 to 10 months.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application to the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Support is recommended for a specified project period of up to 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The normal project period for an alcohol research center grant is 5 years. Grantees may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made.

**Reports:**

Centers will be required to submit detailed annual progress reports (including substantive information about research results to date, status of ongoing research, research plans for the next year and any modifications in long-term research plans). Also, inventions reporting, financial status reports, final progress reports, and other reports are required to be filed in accordance with PHS policy.

**Audits:**

Audits are to be carried out in accordance with the provisions set forth in 45 CFR Part 74, Subpart C, Section 74.26 and in OMB Circular No. A-133, as appropriate. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

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

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Grants) FY 07 \$27,276,000; FY 08 est \$27,276,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

FY 07 \$662,000 to \$2,035,000; \$1,685,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 54a, Subpart E. Guidelines are included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. Specific RFAs are published in the NIH Guide for Grants and Contracts.

**Regional or Local Office:**

The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of this program.

**Headquarters Office:**

Program Contacts: Dr. Antonio Noronha, Director, Division of Neuroscience and Behavior: Telephone: (301) 443-7722. Dr. Ralph Hingson, Director, Division of Epidemiology and Prevention Research: (301) 443-1274. Dr. Mark Willenbring, Director, Division of Treatment and Recovery Research: (301) 443-1208. Dr. Samir Zakhari, Division of Metabolism and Health Effects: (301) 443-0799. National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, Bethesda, MD 20892-9304. Grants Management Contact: Judy Fox, Grants Management Officer, National Institute on Alcohol Abuse and Alcoholism, NIH, Department of Health and Human Services, 5635 Fishers Lane, Room 3023, Bethesda, MD 20892-9304. Telephone: (301) 443-4704. Use the same numbers for FTS.

**Web Site Address:**

<http://www.niaaa.nih.gov> .

**RELATED PROGRAMS:**

93.271, Alcohol Research Career Development Awards for Scientists and Clinicians; 93.272, Alcohol National Research Service Awards for Research Training; 93.273, Alcohol Research Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Genetic approaches to neuropharmacology of ethanol, effects of alcohol on the central nervous system, the etiology and treatment of alcoholism, metabolism of alcohol and pathological effects, epidemiology of alcohol problems, environmental approaches to prevention, and translational neuroscience of alcoholism.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific/technical merit, the feasibility of the research, alcoholism implications and relevance to NIAAA priorities and public health issues are all considerations in determining what projects will be funded.

**93.908 NURSING EDUCATION LOAN REPAYMENT PROGRAM**

(Nursing Education Loan Repayment Program)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 846(a), as amended, Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

To assist in the recruitment and retention of professional registered nurses (RN) in approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

The program offers Registered Nurses (RN) substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a health care facility with a critical shortage of nurses. Nursing Education Loan Repayment Program (NELRP) participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to amend his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total to 85 percent of eligible loan balances. Critical Shortage Facilities currently include, but are not limited to, Indian Health Service health centers, hospitals, Federal Hospitals, Federally Qualified health centers, Native Hawaiian health centers, rural health clinics, nursing homes, home health agencies, hospice programs, State or local public health departments, and ambulatory surgical centers.

**Applicant Eligibility:**

Individuals who satisfy the following criteria are eligible to apply: (1) have received a baccalaureate or associate degree in nursing (or an equivalent degree), a diploma in nursing or a graduate degree in nursing; (2) have unpaid qualifying loans obtained for nursing education; (3) a U.S. citizen, national or a permanent legal resident of the United States; (4) employed full-time (32 hours or more per week) at a critical shortage facility (CSF); (5) have a current unrestricted license in the State in which they intend to practice or be authorized to practice in the State under the Nurse Licensure Compact; and (6) submit a complete application, including a signed contract to work full-time as a registered or advanced practice nurse for 2 years at an eligible health care facility with a critical shortage of nurses.

**Beneficiary Eligibility:**

Beneficiaries include registered nurses who have received a diploma, an associate degree, a baccalaureate degree or a graduate degree in nursing from an accredited school of nursing.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov website at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for Clinician Recruitment and Service. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Once a determination has been made as to who will receive an award, that individual will be accepted into the program. The individual will be notified in writing and be sent a copy of their signed contract of his/her acceptance.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov) .

**Range of Approval/Disapproval Time:**

From 3 to 9 months.

**Appeals:**

None.

**Renewals:**

Renewals for the third year of service will be considered based on the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service.

**Reports:**

The employing critical shortage facility must complete and send to the NELRP a semi-annual certification that the participating nurse has engaged in a year of full-time continuous service as a registered nurse. The certification includes an endorsement by an appropriate official of the facility.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$19,000,000; FY 08 \$16,804,789; and FY 09 est \$16,750,000.

**Range and Average of Financial Assistance:**

\$20,000 to \$150,000; \$38,000.

**PROGRAM ACCOMPLISHMENTS:**

The estimate for FY 07 is 553 and for FY 08 is 724.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Nursing Education Loan Repayment Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16, Rockville, MD 20857. Health Services Branch: (301) 443-2385; Research and

Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**  
www.hrsa.gov .

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program; 93.164, Indian Health Service Educational Loan Repayment; 93.364, Nursing Student Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Loan repayments for nursing education costs made to registered nurses working full-time in health care facilities with a critical shortage of nurses.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specific category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in section 846(e) of the PHS Act, as amended, a funding preference is given to eligible applicants with the greatest financial need. Awards are made to the highest ranked applicants until funds are expended. Please review the HRSA Preview or BCRS website at www.hrsa.gov for important information regarding funding preferences.

## 93.910 FAMILY AND COMMUNITY VIOLENCE PREVENTION PROGRAM

(Family Life Centers)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707(e)(1), 42 U.S.C. 300u et seq.

**OBJECTIVES:**

To establish Family Life Centers on the campuses of 24 minority institutions of higher education to: 1) assess local community resources for violence prevention projects; 2) coordinate activities with existing violence prevention projects; 3) design and implement educational interventions addressing interpersonal family violence; and 4) design and implement a project to identify students from dysfunctional families and support them with coping strategies.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds will be used to support a cooperative agreement for a family and community violence program to prevent minority related violence and improve health and human services to minorities. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or supplantation of ongoing project activities.

**Applicant Eligibility:**

Eligible Applicants: An institute of higher education representing 4-year undergraduate institutions and a 2 year tribal college historically identified as providing education primarily to minority students, or having a majority enrollment of minority students.

**Beneficiary Eligibility:**

Minority families and communities will benefit.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission.

**Preapplication Coordination:**

This program does not require any preapplication coordination. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance if the State has selected the program for review. When indicated in an individual program announcement, applications are subject to review in accordance with the national Planning and Resources Development Act, Public Law 93.641 as amended. For the technical assistance component of this program, when indicated in individual program announcements, applications are eligible for coverage under E.O. 12372.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm> . The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications

submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov> .

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel. The Deputy Assistant Secretary for Minority Health makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished with a Notice of Grant Award for all projects approved.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The cooperative agreement will have a 4-year project period with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the notice of grant award is issued.

**Reports:**

Semi-annual progress reports are required for the cooperative agreement with final performance report due 90 days after the end of the project period. Financial status report is due 90 days after the end of the budget period with a final financial status report due no later than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), "Audits of States, local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as note in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings. Property records must be retained in accordance with Public Health Service Policy Statement requirements.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Cooperative Agreements: \$7,400,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the PHS Grants Policy Statement.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Cynthia H. Amis, Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science,



Office of the Secretary, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-8444. Grants Management Contact: Office of Grants Management, Office of Public Health and Science, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.fcvp.org>.

**RELATED PROGRAMS:**

93.927, Health Centers Grants for Residents of Public Housing.

**EXAMPLES OF FUNDED PROJECTS:**

The following are examples of projects funded under the cooperative agreement:

1) A database and resource directory was developed on viable violence and substance abuse services and resources; 2) A variety of education experiences were provided to youth and families to assist them in making positive life style choices and facilitating their educational pursuits; and 3) Community outreach services were provided to neighborhoods.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's goals and objectives with the Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications, experience and cultural competence of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

## **93.912 RURAL HEALTH CARE SERVICES OUTREACH AND RURAL HEALTH NETWORK DEVELOPMENT PROGRAM**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Health Care Safety Net Amendment, Public Law 107-251.

**OBJECTIVES:**

To expand access to, coordinate, restrain the cost of, and improve the quality of essential health services, including preventive and emergency services, through the development of integrated health care delivery systems or networks in rural areas and frontier regions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

**Applicant Eligibility:**

Rural Health Care Services Outreach and Rural Health Network Development Programs: Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area. Small Health Care Provider Quality Improvement Program This program is available to support rural public, rural non-profit, or other providers of healthcare services, such as a critical access hospital or rural health clinic. (1) The applicant must be located in a rural area, as determined by eligible rural county or census tracts, and all services must be provided in a rural county or census tract. To ascertain rural eligibility, please refer to <ftp://ftp.hrsa.gov/ruralhealth/Eligibility2005.pdf>. This website lists eligibility by county and census tract and includes a hyperlink to the Federal Financial Institutions Examining Council's (FFIEC) Geocoding System to determine your census tract number and eligibility. (2) The applicant exists exclusively to provide services to migrant and seasonal farmworkers in rural areas and is supported under Section 330G of the Public Health Service Act. (3) The applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area (documentation of status as a Federally-recognized Native American Tribe must be included). Frontier Extended Stay Cooperative Agreement Program Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area. Delta States Rural Development Network Grant Program. Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care

services. Eligible organizations must be rural public or rural private nonprofit entities located within a rural Delta county/parish.

**Beneficiary Eligibility:**

Medically underserved populations in rural areas will receive expanded services in rural communities where they did not previously exist.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed by Federal and nonfederal experts in rural health care services development, coordination, and delivery. Applications are evaluated for merit and are recommended for approval or disapproval. Final decisions are made by the Director, Office of Rural Health Policy.

**Deadlines:**

Contact Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

From 6-9 months.

**Appeals:**

None.

**Renewals:**

Rural Health Outreach and Rural Health Network awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance. Rural Health Network Planning Awards are only available for one year.

**Formula and Matching Requirements:**

There are no statutory formula or matching requirements for this program.

**Length and Time Phasing of Assistance:**

Awards are made annually. Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the Payment Management System.

**Reports:**

A performance progress report is submitted with each noncompeting continuation application. A financial status report is to be submitted within 90 days after the close of the budget period. A final Program report is to be submitted within 90 days after the close of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$25,088,433; FY 08 est \$25,831,745; and FY 09 est \$25,000,000.

**Range and Average of Financial Assistance:**

A maximum of \$150,000 for the first year of funding for the Outreach Grant; A maximum of \$180,000 for the first year of funding for the Network Development Grant. A maximum of \$85,000 for funding for the Network Development Planning Grant.

**PROGRAM ACCOMPLISHMENTS:**

For the Outreach Program, in FY 07, a total of 122 awards were made; in FY 08, there will be 92 non-competitive awards. For the Network Development Grant Program, in FY 07, there were a total of 38 grants. In FY 08 there will be a

total of 77 awards. For the Network Planning Grant Program, in FY 07, there were a total of 10 grants. In FY 08 there will be a total of 17 awards.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**

Program Contact: Ms. Nisha Patel, Outreach Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835. Sherilyn Pruitt, Network Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835. Ms. Eileen Holloran, Network Development Planning Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

#### **Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: 301-443-3288.

#### **Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov)

#### **RELATED PROGRAMS:**

93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers).

#### **EXAMPLES OF FUNDED PROJECTS:**

Funded projects include efforts to provide primary care services in rural areas, including mental health services, oral health services, chronic diseases, prenatal care, free clinical services, HIT and preventive health services. In addition, projects designed to increase the number of health professionals available to provide services in rural areas have also been funded. In addition, projects designed to improve access to rural health services (such as transportation or services on mobile vans) have also been funded. More recently projects to develop or enhance vertically integrated networks have been supported.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria are based on the need of the project, innovation, realistic and measurable goals and objectives, clearly defined roles of each network member, strength of applicant's management plan, community involvement, level of local commitment, costs, and program evaluation plan.

## **93.913 GRANTS TO STATES FOR OPERATION OF OFFICES OF RURAL HEALTH**

#### **FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Section 338J; 42 U.S.C. 254r, as amended, Public Law 101-597.

#### **OBJECTIVES:**

To improve health care in rural areas through the establishment of State Offices of Rural Health.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

This is a matching grant program with States to support the establishment and ongoing operation of Offices of Rural Health. While a wide range of activities can be conducted to address unique State needs, each State Office of Rural Health must (1) Establish an information clearinghouse, (2) coordinate State and Federal rural health programs throughout the State, (3) provide technical assistance that will improve participation in State and Federal programs, and (4) work to improve availability of health professionals in rural areas.

#### **Applicant Eligibility:**

All fifty States may apply. Each State can only submit one application.

#### **Beneficiary Eligibility:**

Underserved populations in rural areas; facilities and services in rural areas.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of the official designated as the single point of contact in his or her State for more

information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). Please visit the [Grants.gov](http://Grants.gov) Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

#### **Award Procedure:**

Applications are reviewed by Federal and non-Federal experts in rural health care services development, coordination, and delivery. Applications are evaluated for merit. Final decisions are made by the Associate Administrator, Office of Rural Health Policy.

#### **Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov)

#### **Range of Approval/Disapproval Time:**

From 2 to 3 months.

#### **Appeals:**

None.

#### **Renewals:**

Grantees may request funding beyond an initial project period by submitting a competing continuation application during a regular competing application cycle. All competitive cycles are contingent upon availability of funds for such purposes.

#### **Formula and Matching Requirements:**

States must match at least \$3 for each \$1 of Federal funds.

#### **Length and Time Phasing of Assistance:**

Grant applications should be submitted for a 5-year project period. Awards are normally made in a lump sum for an entire 12-month budget period. Payments are made annually either through a letter of credit or cash demand system.

#### **Reports:**

A financial status report (FSR) is required to be submitted to Grants Management within 90 days of the end of the budget period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Grants) FY 07 \$7,267,000; FY 08 est \$7,206,900; and FY 09 est \$7,200,000.

#### **Range and Average of Financial Assistance:**

\$100,000 to \$150,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 07, 50 non-competing continuation grants were awarded. For FY 08, it is estimated that 50 competing continuation grants will be awarded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**

Program Contacts: Keith Midberry, Program Coordinator, State Office of Rural Health Grant Program, Office of Rural Health Policy, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2669; E-mail: [kmidberry@hrsa.gov](mailto:kmidberry@hrsa.gov).

#### **Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch; Telephone: (301) 443-3099; Government and Special Focus Branch; Telephone: (301) 443-3288.

#### **Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov)

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

This program establishes State Offices of Rural Health in each State. A few of the projects in State Offices of Rural Health include: 1) Providing technical assistance to rural communities seeking to develop or improve primary health care; 2) training community leaders and providers of health services so that they may better respond to the needs of their rural clientele; and 3) taking lead roles in drafting, obtaining, and implementing the rural physician loan repayment program to increase the likelihood of recruiting physicians to remote rural area. In general, these projects tend to address problems and issues unique to their particular State, therefore, projects cover a broad range of activities.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be evaluated on the basis of the following criteria: (1) The extent to which the application is responsive to the requirements and purposes of the program; (2) the extent to which the applicant has developed measurable goals, objectives, and an evaluation plan for the required, and any discretionary, activities; (3) the extent to which the Office is coordinated with, and has the cooperation of, other health entities and activities within the State; (4) the strength of the applicant's plans for administrative and financial management of the Office; (5) the reasonableness of the budget proposed for the Office; and (6) the likelihood that the Office will be continued after Federal grant support is completed.

### **93.914 HIV EMERGENCY RELIEF PROJECT GRANTS**

#### **FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part A, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

#### **OBJECTIVES:**

To provide direct financial assistance to eligible metropolitan areas (EMAs) and Transitional Grant Areas (TGAs) that have been the most severely affected by the Human Immunodeficiency Virus (HIV) epidemic to develop, organize and operate programs that provide an effective, appropriate and cost efficient continuum of health care and support services for the individuals and families with HIV disease.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS, pharmaceutical assistance, oral health care, early intervention services, medical nutritional therapy, substance abuse treatment and mental health treatment, medical case management, including treatment and adherence services. Support services for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). A percentage of the grant, determined by the percentage of women, infants, and children in the area with Acquired Immune Deficiency Syndrome, will be used to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. No more than 10 percent of amounts received under a grant may be used to fund grant administration and monitoring activities, program support activities and all activities associated with grantee contract award procedures. Funds may not be used to supplant or replace the resources of such institutional providers that are already devoted to the support of personnel providing HIV-related services. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services.

#### **Applicant Eligibility:**

Eligible metropolitan areas (EMA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of more than 2,000 HIV/AIDS cases for the most recent period of 5 calendar years period. EMAs include: Atlanta, Georgia; Baltimore, Maryland; Boston, Massachusetts; Chicago, Illinois; Dallas, Texas; Detroit, Michigan, Ft. Lauderdale, Florida; Houston, Texas; Los Angeles, California; Miami, Florida; New Orleans, Louisiana; New York, New York; Newark, New Jersey; Orlando, Florida; Philadelphia, Pennsylvania; Phoenix, Arizona; San Diego, California; San Francisco, California; San Juan, Puerto Rico; Tampa-St. Petersburg, Florida; Washington, DC; and West Palm Beach, Florida. Transitional Grant areas (TGA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of at least 1,000, but not more than 1,999 HIV/AIDS cases for the more most recent five year period. TGAs include: Austin, Texas; Bergen-Passaic, Caguas, Puerto Rico; Cleveland, Ohio; Denver, Colorado; Dutchess County, New York; Fort Worth, Texas; Hartford, Connecticut; Jacksonville, Florida; Jersey City, New Jersey; Kansas City, Missouri; Las Vegas, Nevada; Middlesex, New Jersey; Minneapolis, Minnesota;

Nassau/Suffolk Counties, New York; New Haven, Connecticut; Norfolk, Virginia; Oakland, California; Orange County, California; Ponce, Puerto Rico; Portland, Oregon; Riverside-San Bernardino, California; Sacramento, California; St. Louis, Missouri; San Antonio, Texas; San Jose, California; Santa Rosa, California; Seattle, Washington; and Vineland, New Jersey.

#### **Beneficiary Eligibility:**

Individuals and families with HIV disease will benefit.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

#### **Award Procedure:**

Applications will undergo an internal review process for funds awarded under Section 2603(a)(3). For funds awarded under Section 2603(b), applications will be reviewed by an Objective Grant Review Committee composed of representatives from various Department of Health and Human Services agencies, as well as outside reviewers that are experts in the field of HIV services planning and service delivery. Grants will be awarded to eligible metropolitan areas.

#### **Deadlines:**

<http://www.hrsa.gov>.

#### **Range of Approval/Disapproval Time:**

About 60 days.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period.

#### **Reports:**

Annual progress and annual financial reports are required. Annual reports are to be submitted within 90 days after the end of each budget period. The final performance report and final financial status reports are due 90 days from the end of the project period. Reports documenting services and costs will also be required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

FY 07 \$587,425,500; FY 08 est \$549,905,180; and FY 09 est not available.

#### **Range and Average of Financial Assistance:**

\$875,000 to \$102,000,000.

#### **PROGRAM ACCOMPLISHMENTS:**

In FY 06, 51 non-competing continuation awards were made and in FY 07 and FY 08, 56 non-competing applications were made.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**



Douglas Morgan, Director, Division of Service Systems, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-55, Rockville, MD 20857. Telephone: (301) 443-6745.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.917, HIV Care Formula Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Programs were funded to deliver or enhance HIV-related outpatient and ambulatory health and support services, including case management and comprehensive treatment services for individual and families with HIV disease and inpatient case management services.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must meet seven criteria set forth in the enacting legislation: (1) Contain a report concerning the dissemination of emergency relief funds and the plan for utilization of such funds; (2) document demonstrate need in such area for supplemental financial assistance to combat the HIV epidemic; (3) demonstrate the existing commitment of local resources of the area, both financial and in-kind, to combat the HIV epidemic; (4) demonstrate the ability of the area to utilize such supplemental financial resources in a manner that is immediately responsive and cost-effective; (5) demonstrate that resources will be allocated in accordance with the local demographic incidence of AIDS including appropriate allocations for services for infants, children, women, and families with HIV disease; (6) demonstrate the inclusiveness of the planning council membership, with particular emphasis on affected communities and individuals with HIV disease; and (7) demonstrate the manner in which proposed services are consistent with the local needs assessment and the statewide coordinated statement of need.

## 93.917 HIV CARE FORMULA GRANTS

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part B, as amended, Public Law 106-415, Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To enable States to improve the quality, availability, and organization of health care and support services for individuals and families with Human Immunodeficiency Virus (HIV) disease.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS, pharmaceutical assistance, oral health care, health insurance premium, home health care; home and community-based health services, early intervention services, medical nutritional therapy, substance abuse treatment and mental health treatment, medical case management, including treatment and adherence services. Support services for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). Funds may be used to establish and operate HIV Care Consortia within areas most affected by HIV disease that shall be designed to provide a comprehensive continuum of care to individuals and families with HIV disease; provide home and community-based care services for individuals with HIV disease; provide assistance to assure the continuity of health insurance coverage for individuals with HIV disease; and provide therapeutics to treat HIV disease to individuals with HIV disease. A State shall use a percentage of the grant, determined by the percentage of infants, children, and women with acquired immune deficiency syndrome in the State, to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services. A State may not use more than 10 percent of amounts received under this grant for administration, planning and evaluation activities. If a State receives the minimum allotment, it may not use more than the amount required to support one full-time equivalent employee for these activities. Seventy-five (75) percent of grant funds must be obligated within 120 days of the budget period start date.

**Applicant Eligibility:**

All 50 States of the United States, and the District of Columbia and U.S. Territories (and possessions) of the United States, the Commonwealths of Puerto Rico, Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa and the Republic of the Marshall Islands, Federated States of Micronesia, the Republic of Palau.

**Beneficiary Eligibility:**

Individuals and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications will undergo an internal review process. Grants will be awarded to States who prepare and submit an application containing the required documents.

**Deadlines:**

<http://www.hrsa.gov>.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Yes.

**Formula and Matching Requirements:**

All States, the Commonwealth of Puerto Rico, the District of Columbia, and U.S. territories are eligible to receive Title II grants. All Title II grants are determined by formula. The grant amount is determined by multiplying the amount appropriated for Title II, less any set-asides, by the distribution factor determined for the State or territory. This distribution factor is comprised of two components that are added together. The first component, the State Distribution Factor, is determined by dividing the estimated number of living AIDS cases for the State or territory by the estimated number of living AIDS cases for all States and territories and multiplying the result by .75. The second component, the Non-EMA Distribution Factor, is determined by dividing the estimated living AIDS cases in the State or territory but outside of EMAs within that State or territory by the sum of all estimated living AIDS cases within States or territories but outside EMAs/TGAs within States or territories and multiplying the result by .20 plus .5 of State or territory share of HIV/AIDS cases from states with no EMAs/TGAs. There is no minimum grant amount of \$50,000 for U.S. territories. To achieve this minimum grant amount, funds are redistributed from other States and territories in proportion to their distribution factors. In addition, States and territories receive the greater of the formula amount, considering the minimum grant amount, or an amount equal to a set statutory percentage of the amount the State or territory received in fiscal year 1996. To achieve this minimum grant amount, funds are redistributed from other States in proportion to their distribution factors. The proportion of the funds allocated within a State or territory to provide services to infants, children and women must be at least equal to the proportion of infants, children and women with AIDS in the State or territory to the population of individuals with AIDS in the State or territory. Matching funds are required from States with more than one percent of the total U.S. AIDS cases reported to the CDC during the previous 2 years.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period.

**Reports:**

Semiannual progress reports are required. The Financial Status Report is due 90 days following the end of each budget period. An interim financial status report is due for the current budget period showing 75 percent obligation of the FY awards (5 months of the budget period start date). A final progress report and expenditure report are due 120 days after budget period end date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-

year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,104,710,500; FY 08 \$1,103,104,015; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$50,000 to \$171,786,592; \$17,963,976.

**PROGRAM ACCOMPLISHMENTS:**

In FY 06, FY 07 and 08 59 awards were to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Douglas Morgan, Director, Division of Service Systems, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6745.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.914, HIV Emergency Relief Project Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Programs were funded to establish and operate HIV care consortia to provide a continuum of care to individuals and families with HIV disease; provide home and community based care services; provide drug treatment; and provide assistance to assure the community of health insurance coverage.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants will be awarded to applicants that submit; (1) An acceptable detailed description of the HIV-related services provided in the State to individuals and families with HIV disease during the year preceding the year for which the grant is requested, and the number of individuals and families receiving such services; (2) a comprehensive plan for the organization and delivery of HIV health care and support services to be funded with assistance received under this part that shall include a description of the purposes for which the State intends to use such assistance; (3) an assurance that the public health agency administering the grant for the State will periodically convene a meeting of individuals with HIV, representatives of grantees receiving both HIV Emergency Relief and HIV CARE Grants, providers, and public agency representatives to develop a statewide coordinated statement of need; and (4) an assurance by the State that; (A) the public health agency that is administering the grant for the State will conduct public hearings concerning the proposed use and distribution of the assistance to be received; and (B) the State will (a) to the maximum extent practicable, ensure that HIV-related health care and support services delivered pursuant to a program established with assistance provided under this part will be provided without regard to the ability of the individual to pay for such services and without regard to the current or past health condition of the individual with HIV disease; (b) ensure that such services will be provided in a setting that is accessible to low-income individuals with HIV disease; (c) provide outreach to low-income individuals with HIV disease to inform such individuals of the services available; (d) for continuum of health insurance coverage, submit a plan to the Secretary that demonstrates that the State has established a program that assures that (1) Such amounts will be targeted to individuals who would not otherwise be able to afford health insurance coverage; and (2) income, asset, and medical expense criteria will be established and applied by the State to identify those individuals who qualify for assistance under such program, and information concerning such criteria shall be made available to the public; (e) the State will provide for periodic independent peer review to assess that quality and appropriateness of health and support services provided by entities that receive funds from the State; (f) the State will permit and cooperate with any Federal investigations undertaken regarding programs; (g) the State will maintain HIV-related activities at a level that is equal to not less than the level of such expenditures by the State for the 1-year period preceding the fiscal year for which the State is applying to receive a grant; and (h) the State will ensure that grant funds are not utilized to make payments for any item or service to the extent that payment has been made.

## 93.918 GRANTS TO PROVIDE OUTPATIENT EARLY INTERVENTION SERVICES WITH RESPECT TO HIV DISEASE

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part C, as amended, Public Laws 106-345, 109-415, Ryan White Care Act Amendments of 2000 HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To increase the capacity of entities that provide comprehensive primary care services to persons with Human Immunodeficiency Virus (HIV) infection, or who are at-risk of infection, and to offer more early intervention services. The services will include increased counseling and testing, partner involvement in risk reduction, transmission prevention, appropriate primary care diagnostic and treatment services, and, as needed, case-management to ensure that individual service needs are met. A capacity development program provides assistance to organizations wishing to develop an expanded HIV program, particularly in rural and underserved areas and communities of color.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and organization of ambulatory health services to persons infected with HIV or who are at high risk. Funds may not be used for acquiring property, used for inpatient or residential care, and no more than 10 percent of the Federal funds may be used for administrative costs.

**Applicant Eligibility:**

Eligible applicants are public and private nonprofit entities that are: federally qualified health centers under Section 1905(1)(2)(B) of the Social Security Act; grantees under Section 1001 (regarding family planning ) other than States; comprehensive hemophilia diagnostic and treatment centers; rural health clinics; health facilities operated by or pursuant to a contract with the Indian Health Service; community based organizations, clinics, hospitals and other health facilities that provide early intervention services to those persons infected with HIV/AIDS through intravenous drug use; or nonprofit private entities that provide comprehensive primary care services to populations at-risk of HIV/AIDS, including faith-based and community-based organizations. Capacity development grants require that applicants be public or private non-profit organizations that are or intend to become HIV Primary Care Providers.

**Beneficiary Eligibility:**

Persons infected with HIV or who are at high risk of HIV infection.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

After approval by the Associate Administrator, the Division of Grants Management Operations prepares a Notice of Grant Award and issues the award.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 120-180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula for the amount of the grant. The amount is negotiated based on costs of the proposed grant activities. Grantees are not required to match Federal funds under the grant; however, the level of nonfederal expenditures for early intervention services must be maintained at the level for the year prior to the grant award.

**Length and Time Phasing of Assistance:**

Early Intervention Services grants may be made for up to 5-year project periods. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. Capacity development grants may be funded at up to \$150,000 for up to 3 years.

**Reports:**

Grantees must submit a Financial Status Report on SF 269 (long form) within 90 days after the end of the budget period. The grantee must also submit the annual Care Act Data Report due March 15 each year, covering the just-ended January 1 - December 31 calendar year. Beginning in Fiscal Year 2009, grantees must submit an Allocations Report, 60 days after the notice of grant award, and an Expenditures Report within 90 days after the end of the budget period, (OMB 0915-0318) Additionally, each funded program must submit a non-competing application each year prior to the end of the budget period. A final financial status report and final performance report must be submitted 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

EIS grants: FY 07 \$180,191,123; FY 08 est \$185,206,136; and FY 09 est \$185,781,668. Capacity Development grants: FY 07 \$2,069,202; FY 08 est \$1,000,000; and FY 09 est 1,000,000.

**Range and Average of Financial Assistance:**

\$100,000 to \$650,000; \$350,000. Planning grants are limited to \$50,000 and Capacity Development grants are limited to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 358 programs were funded and provided early intervention services, including primary and preventive care to over 150,000 people with HIV disease. Also in FY 07, we awarded 25 Capacity Development grants. Other accomplishments include the provision of technical assistance to existing grantees, continued support for efforts to improve the quality of care for persons living with HIV/AIDS, the development of clinical quality performance measures.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

For Early Intervention Services Grants: Kathleen Treat, Division of Community Based Programs, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-30, Rockville, MD 20857. Telephone: (301) 443-7602. For Capacity Development Grants: Dora Ober at (301) 443-0759 or at the same address as above.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grantees include federally-qualified health centers; family planning grantees under Section 1001 of the PHS Act other than States; local health departments; and public and private nonprofit entities that provide comprehensive primary care services to populations at risk of HIV/AIDS, including faith-based and community-based organizations. Capacity development grants include a wide variety of public and private nonprofit entities.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluations will be based on (1) Applicant's assessment of community need for additional preventive and primary care services to those with, and at risk for, HIV infection; (2) applicant's ability to describe its role in addressing unmet needs; (3) appropriateness of the proposed budget; (4) comprehensiveness of existing and proposed services; (5) collaboration with other local city, county,

State HIV-prevention and treatment activities; and (6) adequacy and completeness of applicant's program evaluation plan.

## 93.919 COOPERATIVE AGREEMENTS FOR STATE-BASED COMPREHENSIVE BREAST AND CERVICAL CANCER EARLY DETECTION PROGRAMS

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Breast and Cervical Cancer Mortality Prevention Act of 1990, Section 301(a), Section 317(k)(3), and Section 1501, Public Law 101-354; 42 U.S.C.241a, 42 U.S.C. 247b(k)(3), and 42 U.S.C. 300K; Public Law 103-183.

**OBJECTIVES:**

To work with official State and territorial health agencies or their designees, and tribal health agencies in developing comprehensive breast and cervical cancer early detection programs. To the extent possible, increase screening and follow-up among all groups of women in the State, tribe or territory, with special to reach those women who are of low income, uninsured, underinsured and minority, and Native Americans.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative agreements funds may be used to assure screening of women for breast and cervical cancer as an early detection preventive measure; assure appropriate referrals for follow-up services for women with abnormal screening tests and routine rescreening; develop and disseminate public education and outreach programs for the early detection and control of breast and cervical cancers; improve the education, training and skills of health professionals (including allied health professionals) in the early detection and control of breast and cervical cancers; establish mechanisms through which the States, tribes and territories can monitor the quality of breast and cervical cancer screening procedures in the State, including the interpretation of such procedures; and evaluate program activities through appropriate surveillance and monitoring. Cooperative agreement funds may not be expended for screening and follow-up services to the extent that payment has been made, or can reasonably be expected to be made, with respect to such items or services: (1) under any State compensation program, under any insurance policy or under any Federal or State health benefits program; or (2) by any entity that provides health services on a prepaid basis. Cooperative agreement funds shall not be used for treatment or treatment services. States, tribes and territories are required to make available nonfederal contributions in cash or in-kind toward such cost in an amount equal to not less than \$1 for each \$3 of Federal funds provided. Such contributions may be made directly or through donations from public or private entities. The payment for treatment services or the donation of treatment service may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contributions in excess of the average amount of nonfederal contributions made by the State, tribe or territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive breast and cervical cancer early detection program. In making a determination of the amount of nonfederal contributions for purposes of matching fund requirements, applicants may include any nonfederal amounts expended pursuant to Title XIX of the Social Security Act for the purpose of screening and follow-up for women at-risk for breast and cervical cancers.

**Applicant Eligibility:**

Eligible applicants are the official State health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, American Samoa, American Indian and Alaska Native tribes and tribal organizations as defined in Section 4 of the Indian Self-Determination and Education Assistance Act.

**Beneficiary Eligibility:**

Official State and Territorial health agencies, women especially low-income women.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, identify and describe nonfederal contributions, and provide a budget with justification for funds requested. Costs will be determined in accordance with the OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to the review requirements of the National Health Planning and Resources Development Act of 1974 as amended by the Health Planning and Resources Development Act of 1979. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or



her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from Mr. Carlos Smiley in the Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, Georgia 30341. Telephone: (770) 488-2754. This program is subject to the provisions of 45 CFR 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From three to four months.

**Appeals:**

None.

**Renewals:**

Information on renewals may be obtained from the Ms. Nealean Austin, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341; Telephone: (770) 488-2722.

**Formula and Matching Requirements:**

States, tribes and territories are required to make available nonfederal contributions (cash or in-kind) toward such costs in an amount equal to not less than \$1 for each \$3 of Federal funds provided in the cooperative agreement. Such contributions may be made directly or through donations from public or private entities. Payment for treatment services or the donation of treatment services may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contributions in excess of the average amount of nonfederal contributions made by the State, tribe or territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive breast and cervical cancer early detection program.

**Length and Time Phasing of Assistance:**

From one to five years. Budget period is 12 months. Assistance is awarded through the SMARTLINK II System.

**Reports:**

A progress report and revised timeliness for objectives are required periodically. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status report and final performance report are required 90 days after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants including financial assistance and direct assistance) FY 07 est \$158,085,587; and FY 08 est \$158,085,587; and FY09 est \$158,085,600.

**Range and Average of Financial Assistance:**

\$145,000 to \$8,400,000; \$2,100,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, the Centers for Disease Control and Prevention (CDC) entered into the fifteenth year of the National Breast and Cervical Cancer Early Detection Program (NBCCEDP). This landmark program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC supports early detection programs in all 50 States, 4 U.S. territories, the District of Columbia, and 13 American Indian/Alaska Native organizations. Similar activity is anticipated in fiscal years 2006 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations, but guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, applies to cooperative agreements. Public Law 101-354 (August 10, 1994) places specific requirements on monies from this law which are to be used for funding State-based breast and

cervical cancer early detection programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ms. Faye L. Wong, Chief, Program Services Branch, Division of Cancer Prevention and Control, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, 4770 Buford Highway, NE., Mailstop K57, Atlanta, Georgia 30341. Telephone: (770) 488-46427. Grants Management Contact: Nealean Austin, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2722.

**Web Site Address:**

<http://www.cdc.gov/cancer>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In addition to providing screening and follow up for low income women, State health agencies incorporate into their health care system: (1) Public Education: (a) population targeted for screening and follow up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow up services; (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow up system; (5) evaluation: (a) implementation of all program components; (b) Effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Extent of disease burden and need; (2) feasibility and appropriateness of operational plan to meet the purpose of the cooperative agreement; (3) the extent of collaboration and community involvement; (4) the extent to which the applicant appears likely to succeed in implementing proposed objectives; (5) the appropriateness of nonfederal contributions; and (6) the extent to which the budget is reasonable, consistent with the intended use of cooperative agreement funds, and includes evidence of the State's commitment to the program application of financial and/or in-kind contributions from nonfederal sources to activities of the proposed program.

## 93.923 DISADVANTAGED HEALTH PROFESSIONS FACULTY LOAN REPAYMENT (FLRP) AND MINORITY FACULTY FELLOWSHIP PROGRAM (MFFP)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 738(b), 42 U.S.C. 293, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

The purpose of the Minority Faculty Fellowship Program is to assist eligible entities in increasing the number of underrepresented minority faculty at health professions schools. The applicant school shall demonstrate its ability to: (1) identify, recruit, and select under-represented minority individuals who have potential for teaching, administration, or conducting research at health professions schools; (2) provide such individuals with the skills necessary to enable them to: (a) secure a tenured faculty position, or its equivalent, according to the policies of the school; (b) learn pedagogical skills and program administration; (c) design and conduct research; (d) write grants; and (e) prepare articles suitable for publication in peer reviewed journals; (3) provide services designed to assist such individuals in their preparation for an academic career, including provision of counselors; and 4) enable the fellow to provide health services to rural and/or medically underserved populations.

**TYPES OF ASSISTANCE:**

Project Grants; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

FLRP - Funds will be used to repay qualifying health professions educational loans consisting of principal and interest on loans incurred by the applicant while enrolled in a school in return for serving a minimum of least 2 years as a full-time or part-time faculty member at one of the following accredited health profession schools: medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, public health, or a school that offers a graduate program in clinical psychology, and certain allied health programs. MFFP - To be able to receive an MFFP grant under section 738 (b) of the Public Health Service Act, an entity should provide an assurance in the application that: (1) Amounts received under the grant will be used to award a fellowship to the individual only if the individual meets the requirements outlined in the Fellow Eligibility Criteria. (2) Each fellowship award will include

a stipend in an amount not exceeding 50 percent of the regular salary of a faculty member not to exceed 3 years of training; an allowance for other expenses such as travel to professional meetings and costs related to specialized training.

**Applicant Eligibility:**

FLRP - Individuals from disadvantaged backgrounds who (1) have a degree in medicine, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, nursing, graduate public health, selected allied health or graduate behavioral and mental health; (2) are enrolled in an approved graduate training program in one of the health professions listed above; (3) are enrolled as full-time students in accredited institutions described above and in the final course of study or program leading to a degree from the institution. MFFP - Eligible applicants are accredited health profession schools of allopathic and osteopathic medicine, nursing, dentistry, veterinary medicine, optometry, allied health, public health, podiatric medicine, pharmacy, and schools offering graduate programs in behavioral and mental health. To be eligible to receive the grant the applicant shall: (1) Provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$11 of Federal funds received under section 738 of the Public Health Service Act. (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded. (3) provide an assurance that the individual that will receive the fellowship will be a member of the faculty of the applicant school. (4) provide an assurance that the individual that will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctor degree) and special skills necessary to enable such individuals to teach and practice.

**Beneficiary Eligibility:**

FLRP - Individuals who are from disadvantaged backgrounds. MFFP - Fellowship recipients must meet the following conditions: (1) Must fall under the definition of underrepresented minority individuals' (URM). URM is defined as racial and ethnic populations who are under-represented in the designated health profession discipline relative to the number of individuals who are members of the population involved. This definition would include Black or African American, American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, Hispanic or Latino, and any Asian other than Chinese, Filipino, Japanese, Korean, Asian Indian or Thai. (2) the fellow must be a U.S. citizen, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, except in the case of programs specifically designed for support of foreign nationals. Individuals on temporary or student visas are not eligible to receive PHS fellowship or training grant support.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded for coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

FLRP - FLRP awards are based on a percentage of the eligible applicant's total debt. Payments are made to individuals via electronic direct deposit. MFFP - Based upon the availability of funds, notice of awards are issued to the eligible schools which in turn distribute the awards to the fellow(s).

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov) .

**Range of Approval/Disapproval Time:**

Two to three months after application due date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Applicants must: (1) provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$1 of Federal funds received under section 738 of the Public Health Service Act; (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded; (3) provide an assurance that the individual who will receive the fellowship will be a member of the faculty of the applicant school; and (4) provide an assurance that the individual who will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctoral degree) and special skills necessary to enable such individuals to teach and practice.

**Length and Time Phasing of Assistance:**

FLRP - Assistance is available during the time specified in the contract. MFFP support is limited to a 3-year project period.

**Reports:**

FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. The employing health professions school must complete and submit a semi-annual certification that the participating faculty has engaged in a position at the institution. The certification includes an endorsement by an appropriate official of the facility. MFFP applicants are required to submit a Uniformed Progress Report annually to the Division of Health Careers Diversity and Development.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

Appropriation 7580350. CAN 08-3765518.

**Obligations:**

FY 07 \$108,786; FY 08 \$54,477; and FY 09 est \$200,000.

**Range and Average of Financial Assistance:**

In FY 07, the range was \$53,313 to \$55,473, with an average award of \$54,393. In FY 08, there will be 1 competing award issued, for \$54,477. In FY 09, the estimated average for 4 awards will be \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

There were 2 non-competing continuation awards made in FY 07. There will be 1 competing award issued in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Stuart Weiss, Acting Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5644.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

FLRP - Awards were made to encourage individuals from disadvantaged backgrounds to go into teaching. MFFP - The purpose of the Minority Faculty Fellowship Program (MFFP) is to assist eligible entities in increasing the number of underrepresented minority faculty at health professional schools.

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: The health professions school should provide information that adequately documents the need and data relative to the school's experience and ability to identify, recruit, select and train underrepresented minority faculty. In addition to teaching, acquiring administrative skills and conducting research, the fellow must also provide health care services, especially as a means of meeting community needs for reducing barriers to health care services to rural or underserved populations. The application should also include a discussion of how the development of underrepresented minority faculty, through use of the fellowship program, will enhance the participant's academic career potential and community service abilities. Review Criteria are used to review and rank applications. The Minority Faculty Fellowship Program has 6 review criteria: Need: This includes the extent to which the application describes the problem (e.g., lack of Minority Faculty) and associated factors contributing to this problem. Faculty Recruitment: This includes the extent to which the school demonstrates that it has the commitment and ability to identify, recruit, and select underrepresented minority individuals who have the potential for teaching, administration, and/or conducting research at a health professions institution. Faculty Development: This includes the extent to which the school's faculty

training program will provide the fellow with the preparation, training, and skills needed to secure a tenured faculty position. The Faculty Development Plan should include the provision of counselors and protected time for research and faculty development. Training may include: pedagogical skills, including teaching experience; program administration; grant writing; research methods and design; and preparation of articles suitable for publication in peer reviewed journals. Impact: Faculty Training in Providing Health Service: This includes the extent to which the Fellow is available to provide health services to rural or medically underserved populations. Resources/Capabilities: This includes the extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization; and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project. Support Requested: This includes the extent to which the overall budget, including non-trainee expenses, is cost effective, reasonable, and consistent with the stated objectives and proposed activities. Expenditures are well justified and in-kind contributions are documented. Evaluative Measures: Describe the methodology that will be used to monitor and evaluate the project results. Evaluative measures must be able to assess the extent to which the program objectives have been met.

## **93.924 RYAN WHITE HIV/AIDS DENTAL REIMBURSEMENTS/COMMUNITY BASED DENTAL PARTNERSHIP**

### **FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### **AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006.106-345, Ryan White Care Act Amendments of 2000.

### **OBJECTIVES:**

Dental Reimbursement compensate dental schools, postdoctoral dental education programs, and dental hygiene education programs for unreimbursed costs they have incurred in providing oral health services to patients with Human Immunodeficiency Virus or Acquired Immune Deficiency Syndrome (HIV/AIDS). Reimbursement will be made for documenting the number of patients with HIV/AIDS treated and uncompensated costs incurred providing oral health services to them. Community Based Dental Partnership aims to increase access to oral health care services for HIV positive individuals, while at the same time providing education and clinical training for dental and hygiene providers, located in community-based settings. This is achieved through multi-partner collaborations between dental and dental hygiene education programs and community-based dentist and dental clinics, marked by shared expertise and resources.

### **TYPES OF ASSISTANCE:**

Project Grants.

### **USES AND USE RESTRICTIONS:**

Funds are restricted to dental schools, postdoctoral dental education programs, and dental hygiene education programs which submit an application documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS.

### **Applicant Eligibility:**

Public or private nonprofit schools of dentistry and dental hygiene, and accredited post-graduate dental training programs, located in the 50 United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau.

### **Beneficiary Eligibility:**

Persons living with HIV/AIDS infection.

### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

### **Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

### **Award Procedure:**

Funds will be allocated to eligible applicants based upon level of uncompensated care provided.

### **Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

### **Range of Approval/Disapproval Time:**

From 120-180 days.

### **Appeals:**

None.

### **Renewals:**

None.

### **Formula and Matching Requirements:**

Funds are awarded taking into consideration the unreimbursed oral health care costs for patients with HIV/AIDS incurred by each institution, as compared with unreimbursed oral health care costs for patients with HIV/AIDS incurred by all eligible applicants, and the amount of funds available to award.

### **Length and Time Phasing of Assistance:**

Reimbursement of uncompensated costs incurred in the prior year. Community-Based Dental Partnership grants may be made for up to five-year project periods. Continued support beyond the first year is contingent upon satisfactory performance and the availability of Federal funds.

### **Reports:**

Community-Based Dental Partnership grantees must submit: an annual Dental Services (Data) Report, covering the prior January 1 - December 31 calendar year; a Financial Status Report on SF 269 within 90 days after the end of each budget period; and a non-competing continuation application each year prior to the end of the budget period.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

### **Account Identification:**

75-0350-0-1-550.

### **Obligations:**

(Direct Payments) FY 07 \$9,328,165; FY 08 est \$9,198,395; and FY 09 est \$9,198,395. (Grants) Community-Based Dental Partnership grants: FY 07 \$3,319,803; FY 08 est \$3,319,803; and FY 09 est \$3,319,803.

### **Range and Average of Financial Assistance:**

Dental Reimbursement: \$1,439 to \$1,143,261; \$154,796. Community-Based Dental Partnership grants: \$184,748 to \$403,042; \$277,713.

### **PROGRAM ACCOMPLISHMENTS:**

In FY 07, 65 dental reimbursement awards were made.. In FY 07, 12 Community-Based Dental Partnership programs were funded, supporting oral health care to more than 2700 HIV positive patients.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### **Regional or Local Office:**

Dora Ober, Division of Community Based Programs, HIV/AIDS Bureau, Health Resources and Services Administration, Parklawn Building, Room 7A-30, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0759.

### **Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

### **Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

### **RELATED PROGRAMS:**

None.

### **EXAMPLES OF FUNDED PROJECTS:**

Funds were awarded to eligible dental schools and post-doctoral dental education programs for reimbursement of uncompensated costs of oral health care and the number of HIV positive patients treated during the prior year. Community-Based Dental Partnership grants fund collaborative partnerships between dental and dental hygiene education programs and community-based dental providers and organizations.

### **CRITERIA FOR SELECTING PROPOSALS:**

Those dental schools, postdoctoral dental education programs and dental hygiene education programs, that submit applications documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS and show evidence of efforts to establish working relations with HIV care consortia



and planning councils, AIDS Education and Training Centers, Title I, Title II, III, IV, Community-Based Dental Partnership, and Special Projects of National Significance programs authorized under Public Law 109-415. Applicants for the Community Based Dental Partnership are reviewed by an objective review committee based on the following criteria: Need, Response, Evaluative Measures, Impact, Resources/Capabilities, and Support Requested.

## 93.925 SCHOLARSHIPS FOR HEALTH PROFESSIONS STUDENTS FROM DISADVANTAGED BACKGROUNDS

(Scholarships for Disadvantaged Students (SDS))

### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Title VII, Section 737, 42 U.S.C. 293a; Health Professions Education Partnership Act of 1998, Public Law 105-392.

### OBJECTIVES:

Promotes diversity among health professions students and practitioners by providing scholarships for students from disadvantaged backgrounds. Eligible health professions and nursing schools apply for funds to make scholarships to students from disadvantaged backgrounds, who have financial need for scholarships and are enrolled, or accepted for enrollment, as full-time students at the schools.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Scholarships may only be expended for tuition expenses, other reasonable educational expenses, and reasonable living expenses incurred while in attendance for the year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in providing scholarships under this program, preference shall be given to students from disadvantaged backgrounds for who the costs of attending the school would constitute a severe financial hardship and disadvantaged students. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

### Applicant Eligibility:

Accredited public or private nonprofit schools of allopathic medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, chiropractic, allied health, or schools offering graduate programs in public health, behavioral and mental health or physician assistants.

### Beneficiary Eligibility:

Students who are citizens, nationals, or lawful permanent residence of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, the Federated States of Micronesia; and enrolled full-time in health professions or nursing schools.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

### Award Procedure:

Based upon the availability of funds, notice of awards are issued to the eligible schools which in turn select and issue the awards to the eligible students.

### Deadlines:

[www.hrsa.gov](http://www.hrsa.gov).

### Range of Approval/Disapproval Time:

From 3 to 4 months.

### Appeals:

None.

### Renewals:

Annual applications are required for all schools.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Each scholarship award is made for 1 year.

### Reports:

A financial status report must be submitted 90 days after the end of each budget period. In addition a Scholarships for Disadvantaged Students Performance Report must be submitted 45 days after the end of each budget period.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

### Account Identification:

75-0350-0-1-550.

### Obligations:

In FY 07 \$44,300,000; FY 08 \$42,400,000 were awarded to health professions and nursing schools. In FY 09 est \$0 awards.

### Range and Average of Financial Assistance:

\$1,000 to \$650,000.

### PROGRAM ACCOMPLISHMENTS:

In FY 07 and FY 08 over 450 health professions and nursing schools received awards. In FY 06, over 15,000 students were assisted and estimate over 15,000 students will be assisted FY 07. In FY 09 estimate zero awards and zero students assisted.

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### Regional or Local Office:

Andrea Stampone, Division of Health Careers Diversity and Development, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 8-42, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use the same numbers for FTS.

### Headquarters Office:

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

### Web Site Address:

[www.hrsa.gov](http://www.hrsa.gov)

### RELATED PROGRAMS:

93.288, National Health Service Corps Scholarship Program; 93.342, Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364, Nursing Student Loans; 93.908, Nursing Education Loan Repayment Program.

### EXAMPLES OF FUNDED PROJECTS:

Scholarships to students of schools of nursing and health professions schools.

### CRITERIA FOR SELECTING PROPOSALS:

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

## 93.926 HEALTHY START INITIATIVE

(Healthy Start)

### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Title III, Part D, Section 330H; 42 U.S.C. 254c-8.

### OBJECTIVES:

To eliminate disparities in perinatal infant and maternal health by: enhancing a community's health care infrastructure and service system and a State's infrastructure; and directing resources and interventions to improve access to, utilization of, and full participation in comprehensive perinatal and women's health services, particularly for women and infants at higher risk for poor health outcomes.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Every Healthy Start project implements community-driven approaches to

address infant mortality rates by reducing maternal behavioral and medical risk factors and promoting healthy outcomes for women and their families. Beginning with prenatal care and continuing through the infant's second year of life, each community awarded funds assures the availability of a core set of services and activities for the perinatal population in their project area. These services include case management, home visiting and links to health care and other needed services for mothers and their infants; direct outreach and peer mentoring by trained community members; screening and referral for perinatal/postpartum depression; and strong coordination with and access to substance abuse, domestic violence, mental health, early intervention, parenting and other critical services for high-risk women and families. In addition, each Healthy Start project is required to have a community-based consortium composed of individuals and organizations and that includes women and families served by their project, to collaborate with their State Title V (MCH) Agency, and to implement a local health system action plan to improve the quality, cultural competence of and access to services and/or to address other problems in the local system of care. Funds may not be used to supplant currently funded activities/services.

**Applicant Eligibility:**

Urban and rural communities with significant disparities in perinatal health, and States with need to build their infrastructure/capacity to address and support those communities trying to achieve the goals of the Healthy Start program. Eligible applicants are any public or private entity, including an Indian Tribe or tribal organization (as those terms are defined at 25 U.S.C. 450b). Community-based organizations, including faith-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Service area residents, particularly women and infants in areas with significant perinatal health disparities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

See specific program grant guidance.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 166 days after receipt of applications.

**Appeals:**

None.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Project periods vary depending on specific grant announcement with non-competing continuation awards made on an annual basis for up to 5 years depending on satisfactory progress and subject to the availability of funds.

**Reports:**

Grantees are required to submit progress reports on an annual basis. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going

enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$96,660,615; FY 08 est \$94,450,895; and FY 09 est \$94,450,895.

**Range and Average of Financial Assistance:**

\$155,000 to \$2,350,000; \$974,653.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 102 projects were awarded to new and existing projects. It is estimated that 102 projects will be awarded in FY's 08 and 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Director, Division of Healthy Start and Perinatal Services, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-12, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0543.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: 301-443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110, Maternal and Child Health Federal Consolidated Programs; 93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers.

**EXAMPLES OF FUNDED PROJECTS:**

From pregnancy either to the next pregnancy or 2 years post delivery for the mother and infant, every Healthy Start project assures the availability of a core set of services and system building activities to the perinatal population in the project area. Projects include a consortium, case management, outreach, health education, screening and referral for depression, collaboration with State Title V, a local health system action plan, and plans for sustainability.

**CRITERIA FOR SELECTING PROPOSALS:**

See specific program grant guidance.

**93.928 SPECIAL PROJECTS OF NATIONAL SIGNIFICANCE**

(SPNS)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To quickly respond to emergency needs of individuals receiving assistance under the Ryan White program; and to fund special programs to develop a standard electronic client information data system to improve the ability of grantees under the Ryan White program to report client-level data the Secretary.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The SPNS Program supports the development of innovative models of HIV care to respond to the emerging needs of individuals receiving assistance under the Ryan White HIV/AIDS Treatment Modernization Act of 2006. SPNS evaluates the effectiveness of these models, and promotes the replication of successful models. Areas of evaluation include design, implementation, utilization, costs, and health related outcomes of effective models. The SPNS Program also supports special programs to develop standard electronic client information data systems to enable Ryan White Program grantees to report client level data. Proposals are expected to adequately define and justify the needs, innovative nature, and evaluation methodology of the proposed model of services. Funds shall be used to create and/or evaluate innovative models of HIV care that would likely not exist nor be evaluated without SPNS Program support, or that would extend the care model to previously underserved or unserved populations. Funds under the SPNS Program cannot be used for: charges that are billable to third party payers (e.g., private health insurance, prepaid health plans, Medicaid,

Medicare); construction of new facilities or capital improvements to existing facilities; to purchase or improve land; cash payments to intended service recipients, as opposed to various incentives to encourage participation in evaluation activities.

**Applicant Eligibility:**

Eligible entities: only those eligible for funding under Parts A-D of the Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**Beneficiary Eligibility:**

Adults, women, children and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of HIV/AIDS. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications will be objectively reviewed based on published evaluation review criteria, assigned a numerical score, and rank ordered for funding.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants will generally be awarded with 60-month project periods and five 12-month budget periods; some grants may have more limited 12, 24 or 36 month project periods.

**Reports:**

A final progress report is due 90 days after the end of the project period. In addition, a Financial Status Report is due within 90 days after the close of each budget period and after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$25,000,000; FY 08 \$25,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$75,000 to \$600,000; \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 there were 39 continuation grants and 18 new awards grants; in FY 08 there will be 34 continuation grants and approximately 17 new award grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Adan Cajina, Chief, Demonstration and Evaluation Branch, Division of Science and Policy, HIV/AIDS Bureau, Health Resources and Service Administration, 5600 Fishers Lane, Room 7C-07, Rockville, MD 20857. Telephone Number: (301) 443-3180.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.216, HIV/AIDS Mental Health Services Demonstration Program; 93.917, HIV Care Formula Grants; 93.918, Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease.

**EXAMPLES OF FUNDED PROJECTS:**

Prevention with HIV Infected Persons seen in Primary Care Settings: This initiative was designed to address the need for interventions targeting HIV-positive individuals in clinical care, to prevent transmission to uninfected individuals and to prevent re-infection among people who are already infected with the virus. The Special Projects of National Significance (SPNS) program awarded grants to one evaluation center and 15 demonstration sites. The evaluation center provides leadership in the design and evaluation of interventions that will have maximum impact on the theory, practice and policy of HIV prevention in primary health care settings. The 15 clinical demonstration sites were funded to implement and evaluate prevention interventions with HIV-infected individuals seen in primary care settings. The questions to be investigated include, among others: (1) Are provider-driven interventions in clinical settings effective?; (2) What specific models are most effective with different target populations (e.g. men of color who have sex with other men, heterosexual women, rural drug users, etc.)? An Evaluation of Innovative Methods for Integrating Buprenorphine Opioid Abuse Treatment in HIV Primary Care: Based on new legislation and the availability of buprenorphine treatment, the Buprenorphine Initiative was designed to determine the effectiveness of integrating buprenorphine opioid abuse treatment into HIV primary care settings. This initiative began in September 2004 and is comprised of 10 demonstration sites coordinated by a technical assistance/evaluation center. The initiative is directed towards persons with HIV in the primary care setting who also have substance abuse issues. As a demonstration project, this initiative seeks to determine the feasibility and/or effectiveness of integrating buprenorphine opioid abuse treatment into HIV primary care settings. The ultimate goal is to improve the health of HIV substance abusers.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria vary and are based on the grant initiative. However, evaluation criteria generally include some or all of the following: Factor 1: Adequacy of demonstrated knowledge of the local HIV service delivery system and the adequacy of the justification of need for the proposed model within the community and target population to be served by the project. Factor 2: Extent of the feasibility and clarity of the description, appropriateness, innovative quality, and potential for evaluation, replication, and dissemination of the proposed model. Factor 3: Comprehensiveness of the program plan as described in clearly stated goals, time-limited and measurable objectives for each goal, activities directly related to each objective, and a timeline that shows the schedule of activities and production of materials that corresponds to milestones stated in the objectives and program evaluation. Factor 4: Thoroughness, feasibility and appropriateness of the project's evaluation design from a methodological and statistical perspective. Factor 5: Extent to which the applicant demonstrates past involvement with disseminating information about HIV service delivery by describing dissemination activities to date (e.g., presenting and publishing findings through reports and papers, training, or technical assistance). Factor 6: Competency of the applicant organization in terms of fiscal, program management, and evaluation.

**93.932 NATIVE HAWAIIAN HEALTH SYSTEMS**

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Native Hawaiian Health Care Improvement Act, Public Law 102-396.

**OBJECTIVES:**

To raise the health status of Native Hawaiians living in Hawaii to the highest possible level through the provision of comprehensive health promotion and disease prevention services, as well as primary health services, and to provide existing Native Hawaiian health care programs with all resources necessary to effectuate this policy.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The services of this program include outreach, health promotion, disease prevention, and primary health care services. These services will attempt to integrate traditional health concepts with western medicine so that existing



barriers to health care can be removed. It is anticipated that the various components will be integrated into one comprehensive system of care and that the existing health resources of the community will be used to the greatest extent possible.

**Applicant Eligibility:**

Eligible entities include Papa Ola Lokahi and the "Native Hawaiian Health Care Systems." The term Native Hawaiian health care system is defined as an entity: (1) Which is organized under the laws of the State of Hawaii; (2) which provides or arranges for health care services through practitioners licensed by the State of Hawaii, where licensure requirements are applicable; (3) which is a public or nonprofit private entity; (4) in which Native Hawaiian health practitioners significantly participate in the planning, management, monitoring, and evaluation of health care services; (see attached)and (6) which is recognized by Papa Ola Lokahi (a consortium of Hawaiian and Native Hawaiian organizations) for the purpose of planning, conducting, or administering programs or portions of programs, authorized by this act for the benefit of Native Hawaiians, and is certified by Papa Ola Lokahi as having the qualifications and the capacity to provide the services and meet the requirements of this Act for the benefit of Native Hawaiians.

**Beneficiary Eligibility:**

Hawaiian Natives will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Primary Health Care. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

After grant application review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

www.hrsa.gov .

**Range of Approval/Disapproval Time:**

The range is approximately 120 days.

**Appeals:**

None.

**Renewals:**

Same as application procedure.

**Formula and Matching Requirements:**

Grants may not be awarded unless the entity agrees that it will make available, directly or through donations to the entity, nonfederal matching funds in an amount not less than \$1 for every \$5 of Federal funds provided. Nonfederal contributions may be in cash or in kind, fairly evaluated, including plant, equipment, or services. Amounts provided by Federal government or services assisted or subsidized to any significant extent by the Federal Government may not be included in determining the amount of such nonfederal contributions. The match requirements may be waived if the Secretary determines, in consultation with Papa Ola Lokahi, that it is not feasible for the entity to comply with the requirement. Grant funds may not be used to pay for (1) inpatient services; (2) cash payments to intended recipients of health services; or (3) purchasing or improving real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment. The entity may not expend more than 10 percent of amounts received under the grant for administering the grant. Other requirements and limitations are set forth in Public Law 102-396.

**Length and Time Phasing of Assistance:**

Budget periods are for one year. Project periods are for three years because program is pending reauthorization.

**Reports:**

For each budget period during which an entity receives or expends funds pursuant to a grant under this program, such entity shall submit to the Secretary and Papa Ola Lokahi a report on: (1) Activities conducted by the entity under the grant; (2) the amounts and purposes for which Federal funds were expended, including a Financial Status Report; and (3) such other information as the Secretary may request. The records and reports of any entity which concern any grant or contract under this program shall be subject to audit by the Secretary, the Inspector General of Health and Human Services, and to the Comptroller General of the United States.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR, Parts 74 and 92.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$12,545,000; FY 08 est. \$12,545,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,300,000 to \$2,400,000.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 6 awards will be made in FY 07.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Director, Division of Health Center Management, Bureau of Primary Health Care, Health Resources and Services Administration, 5600 Fishers Lane, Room 16C-26, Rockville, MD 20857. Telephone: (301) 594-4485.

**Headquarters Office:**

Grants Management Office: Oscar Tanner, Director, Division of Grants Management, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: Telephone: (301) 443-2385; Research and Training Branch: Telephone: (301) 443-3099; Government and Special Focus Branch: Telephone: (301) 443-3288.

**Web Site Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers).

**EXAMPLES OF FUNDED PROJECTS:**

Each recipient of funds shall provide outreach, health education, a link to primary care providers, case management, immunizations, preventive measures for diabetes, high blood pressure and otitis media; pregnancy and infant care, improvement in nutrition, chronic disease prevention, and collection of data to prevent disease. Papa Ola Lokahi is responsible for planning, training; research; dissemination of information on native Hawaiian health; and coordination of resources for Native Hawaiians; advocacy, and special projects.

**CRITERIA FOR SELECTING PROPOSALS:**

An objective review of applications for grant support considers the adequacy of the following with reference to the provisions of the Native Hawaiian Health Care Improvement Act: assessment of community needs; program of proposed services; management and staffing plan; and evaluation plan. Priority consideration is given to those applications whose health promotion and disease prevention services are provided through Native Hawaiian Health Care Systems.

## 93.933 DEMONSTRATION PROJECTS FOR INDIAN HEALTH

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title III, Sections 301 and 327, 42 U.S.C. 241, as amended, Public Law 78-410.

**OBJECTIVES:**

To promote improved health care among American Indians and Alaska Natives through research studies and demonstration projects, addressing such issues as Elder Care, Women's Health Care, and Children & Youth Initiative.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Federal assistance is to be used for the following purposes: (1) Research, analysis, and investigation of a broad range of issues affecting the health of

American Indians and Alaska Natives; and (2) demonstration projects and studies that provide American Indians/Alaska Natives with impetus and involvement in their health care and that promote improved health care to Indian people.

**Applicant Eligibility:**

Federally recognized Indian tribes; tribal organizations; nonprofit intertribal organizations; nonprofit urban Indian organizations contracting with the Indian Health Service under Title V of the Indian Health Care Improvement Act; public or private nonprofit health and education entities; and State and local government health agencies.

**Beneficiary Eligibility:**

American Indians/Alaska Natives will be the ultimate beneficiaries of the funded projects either directly or indirectly depending upon the nature of the project. For example, those individuals who participate in research studies and receive services will be direct beneficiaries while those impacted by policy changes resulting from analyses of Indian health care issues will be indirect beneficiaries.

**Credentials/Documentation:**

Costs will be determined in accordance with the applicable OMB Circular: OMB Circular No. A-87 (State, local, and Indian tribal governments); OMB Circular No. A-21 (institutions of higher education); and OMB Circular No. A-122 (nonprofit organizations). Depending upon the nature of the project, letters of support or tribal resolutions may be required.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

This program is subject to the provisions of either 45 CFR, Part 92 or OMB Circular No. A-110 depending upon the type of applicant organization. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the Division of Grants Operations, Headquarters Office, for information regarding application deadline dates.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Initial project period of up to 5 years, usually 3 years, with competitive renewals for periods not to exceed a total project period of 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

The project period is limited to 5 years or less. Within the project period, a continuation application must be submitted annually on a noncompetitive basis for each year of support.

**Reports:**

Program progress reports are due on a semiannual basis with the second report submitted as part of the annual noncompetitive continuation application. A terminal progress report is due within 90 days after the end of project support. Financial status reports are due within 90 days after the expiration of each budget period with a final financial status report due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, paper, or other records of the grantee, contractor, or subcontractor, which are pertinent to the DHHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 92.42 or 45 CFR Part 74, Subpart D, as applicable, grantees are required to maintain grant records 3

years after they submit their final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$2,402,006; FY 08 est not available; and FY 09 est not available. Elder Health Care Initiatives: FY 07 est \$916,150; and FY 08 est not available; and FY 09 est not available. Indian Women's Demonstration: FY 07 \$600,000; FY 08 est not available; and FY 09 est not available. Children & Youth Initiative: FY 07 est \$885,856; FY 08 est not available; and FY 09 est not available. Native American Research Centers for Health: FY 07 est \$6,331,053; FY 08 est not available; and FY 09 est not available. Cooperative Agreements: FY 07 \$824,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$27,000 to \$300,000; \$115,000.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, 19 continuing children & youth initiative grants were awarded; and fiscal years 2006 and 2007, the 19 projects are expected to be funded. In fiscal year 2005, 19 continuing elder care initiatives grants were awarded; and it is anticipated that the 19 continuing awards will be made in fiscal years 2006 and 2007. In fiscal year 2005, 6 continuing Indian women's demonstration grants were awarded; and it is anticipated that the 6 continuing grants will be funded in fiscal years 2006 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, Public Health Service Grants Policy Statement; DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: For Elders Health Program contact: Dr. Bruce Finke, Nashville Area Elder Health Consultant, 45 Vernon Street, Northampton, MA 01060. Telephone: (413) 584-0790. For Indian Women's Health Demonstration Program Contact: Ms. Carolyn Aoyama, Nurse Consultant, Division of Nursing Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-1840. For Children & Youth Initiative Program contact: Ms. Judith Thierry, Maternal and Child Health Coordinator, Office of Public Health, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-5070. For Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360 Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) National Indian Health Board is conducting a tribal health care advocacy demonstration project to provide advice and consultation on behalf of Indian health care consumers to improve health care delivery in Indian communities; and (2) Southeast Alaska Regional Health Consortium is providing an expansion of WISEWOMEN program to serve all adult Alaska Native women in Southeast Alaska.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are: Statement of problem(s) requiring solution; need for assistance; results or benefits expected from the project; approach or soundness of the applicant's plan for conducting the project; key personnel and their capability to carry out the project; and adequacy of management controls. Consideration will be given to the demonstrative aspects of the project and the compatibility of the project with the overall goals and objectives of the Indian Health Service.

**93.936 NATIONAL INSTITUTES OF HEALTH ACQUIRED IMMUNODEFICIENCY SYNDROME RESEARCH LOAN REPAYMENT PROGRAM**

(NIH AIDS Research Loan Repayment Program; AIDS LRP)

**FEDERAL AGENCY:**

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Part 68, Section 487A, Public Law 100-607, as amended; Public Law 103-43, 42 U.S.C. 288-1, 102 Stat. 3148, as amended, Public Law 105-392.

**OBJECTIVES:**

To help assure an adequate supply of trained researchers (physicians, registered

nurses and scientists) with respect to acquired immunodeficiency syndrome (AIDS) at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants who agree, by written contract, to primarily engage in AIDS research as employees of the NIH.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

This program will provide partial repayment of educational loans incurred by physicians, registered nurses and scientists engaged, as employees of the NIH, in AIDS research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts are available, dependent upon the level of debt and continued involvement in AIDS research, and are issued for one-year periods. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual NIH salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education in excess of 20 percent of their annual NIH salary (exclusive of special allowances of any kind) on the program eligibility date; (4) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (5) not have an existing service obligation to Federal, State, or other entities, unless deferred during period of program service; (6) submit an application to participate in the Loan Repayment Program; and (7) submit to the Secretary for Health and Human Services, at the time of application, a signed contract agreeing to engage in AIDS research at the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

AIDS researchers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: 1) Copies of loan applications and agreements from governmental or commercial educational loans that are being considered for repayment; 2) copies of the standard student budget from schools attended during period when debt was incurred; and 3) other documentation as required by law.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each IC. Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or her/his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is three months.

**Appeals:**

Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

At the conclusion of the initial two-year contract, participants may apply and be recommended for subsequent one-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds that maximum repayable amount for 2-years. Payments are made directly to lenders,

following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services.

**Reports:**

Program participants must be certified quarterly as to having satisfactorily performed their research assignments.

**Audits:**

None.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Loan Repayments) FY 07 \$193,531; FY 08 est \$720,000; and FY 09 est \$720,000.

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayment awards may range from \$4,000 to \$70,000; Tax reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$53,162. There were no new awards in FY 2007; there were nine renewal awards.

**PROGRAM ACCOMPLISHMENTS:**

Nine awards were made in fiscal year 2007. NIH projects that 13 awards will be made in fiscal year 2008 & 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 100-607, Public Law 103-43, Public Law 105-392; Federal Register, Volume 54, No. 215, November 8, 1989; NIH Guide for Grants and Contracts, Volume 23, No. 24, June 24, 1994; Federal Register, Volume 56, No. 150, August 5, 1991; Section 487A of Public Health Service Act (42 U.S.C. 288-1). Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program and Business Contact: Patricia A. Cole, Ph.D., Director, Intramural Loan Repayment Programs, National Institutes of Health, Building 2, Room 2E18, 2 Center Drive, Bethesda, MD 20892-0230. LRP Helpline Telephone: (866) 849-4047. Facsimile: 866-849-4046. Email: [lrp@nih.gov](mailto:lrp@nih.gov).

**Web Site Address:**

[www.lrp.nih.gov](http://www.lrp.nih.gov).

**RELATED PROGRAMS:**

93.162, National Health Service Corps Loan Repayment Program; 93.164, Indian Health Service Educational Loan Repayment; 93.220, Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.232, Loan Repayment Program for General Research; 93.364, Nursing Student Loans.

**EXAMPLES OF FUNDED PROJECTS:**

Studies on the effects of gp120, TAT, and TNF-alpha on cell activation and gene expression in human endothelial cells in primary culture. Identification and characterization of cellular subtypes that comprise the immune system both in healthy human subjects and in subjects with diseases such as HIV infection. Development of murine models related to T-cell regeneration; and treatment of HIV patients infected with multi-drug resistant TB.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Loan Repayment Program for AIDS Research after the LRC determines that the applicant will conduct qualified AIDS research. LRC approval, in part, is based upon the appropriateness of the research assignment to qualified AIDS research, the scientific merit of the research, and the credentials of the applicant as they relate to performing qualified AIDS research.

**93.938 COOPERATIVE AGREEMENTS TO SUPPORT COMPREHENSIVE SCHOOL HEALTH PROGRAMS TO PREVENT THE SPREAD OF HIV AND OTHER IMPORTANT HEALTH PROBLEMS**

(SHEPSA)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301(a) and 311 (b) (c), as amended; 42 U.S.C. 241 (a), as amended; 42 U.S.C. 243 (b).

**OBJECTIVES:**

To improve the health and well-being of youth and prepare them to be healthy adults.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used to support personnel, purchase equipment, supplies, services, and travel directly related to the program activities



and consistent with the scope of this program. Cooperative agreement funds are used to help schools prevent sexual risk behaviors that result in HIV infection, especially among youth who are at highest risk. For example, cooperative agreement recipients implement and integrate effective policies and educational strategies to reduce risk behaviors that lead to HIV infection among youth; implement strategies to reduce disparities among sub-populations of youth disproportionately affected by HIV infection and other health problems related to sexual risk behaviors; evaluate the implementation and effectiveness of strategies to reduce risks for HIV infection among youth in schools for the purposes of programmatic improvement and long-range planning. CDC believes that the specific scope and content of HIV education programs in schools should be locally determined and should be consistent with parental and community values. CDC supports local decision-making by providing sound scientific information to grantees who work directly with schools, communities, and parents. Funds may be expended for written materials, pictorials, audiovisuals, questionnaires or survey instruments, and educational group sessions related to HIV education for youth, school, and college populations if approved in accordance with the document "Content of AIDS-Related Written Materials, Pictorials, Audiovisuals, Questionnaires, Survey Instruments, and Educational Sessions in Centers for Disease Control Assistance Programs." Cooperative agreement funds are also used to build state education and state health agency partnership and capacity to implement and coordinate school health programs across agencies and within schools. The expected outcome of this effort is to help schools reduce chronic disease risk factors, including tobacco use, poor nutrition, and physical inactivity. For example, cooperative agreement recipients implement and integrate effective policies, environmental changes, and educational strategies to reduce unhealthy behaviors; leverage resources to avoid duplication at the state and local levels; evaluate school health capacity-building efforts while implementing effective strategies to reduce priority health risks. Funds may not be used to conduct research projects, provide direct delivery of patient care or treatment services, and purchase or disseminate condoms. Although public health may have an assurance role in clinical testing and screening, funds are not to be used to provide clinical testing or screening services. Funds may not be used for purchasing computer equipment, office equipment or furnishing, renting or leasing office space, or to support construction or renovation unless specifically approved.

**Applicant Eligibility:**

Eligible applicants are official States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands), Tribal Governments, large urban school districts (with the highest number of reported AIDS cases, high levels of poverty, and student enrollment greater than 75,000 students), and national non-governmental organizations.

**Beneficiary Eligibility:**

Official State education agencies in states and territories in the United States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands); local education agencies; national private sector organizations and their constituents; universities and colleges; school-age youth, including minority youth, youth in high-risk situations, and youth with special education needs; college-age youth; and school personnel, including teachers, school nurses, paraprofessionals, and school administrators.

**Credentials/Documentation:**

Costs will be determined by 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular A-87, "Cost Principles for State and Local Governments."

**Preapplication Coordination:**

Preapplication coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR Part 92 and 45 CFR Part 74. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments and 45 CFR Part 74 for nonprofit organizations must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

From three to four months.

**Appeals:**

None.

**Renewals:**

Information on renewals may be obtained from Bill Ryan, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 2306, Atlanta, GA 30341.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project period can be up to five years. Budget periods are for 12 months. Payment under this program is made available through HHS Payment Management System (PMS).

**Reports:**

The following reports are required: (1) A report that addresses the recommendations and weaknesses cited in CDC's Evaluation Report of the recipient's continuation application. This report is due within 30 days after the beginning of the budget period. (2) An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. (3) An annual financial status report is due within 90 days after the end of the budget period and a final financial status report is due within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$35,593,000; FY 08 est \$35,593,573; and FY 09 est \$35,593,573.

**Range and Average of Financial Assistance:**

\$10,000 to \$650,000; \$299,000.

**PROGRAM ACCOMPLISHMENTS:**

Competitive cooperative agreements to help schools and other agencies that serve youth to implement coordinated school health programs to prevent HIV infection and other important health problems were established with 49 State education agencies; to the education agencies of the District of Columbia, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, and the Republic of Palau; three Tribal Governments, and to the local education agencies for 25 large urban education agencies. Through these projects, teachers and other school staff, university staff, and staff of agencies that serve special populations receive training to implement effective health education, including HIV prevention. HIV education materials are produced and disseminated, policies are developed and implemented, and youth are receiving HIV prevention education as a part of community prevention efforts and coordinated school health programs. State, territorial, tribal group, and local education agencies competed for funding in fiscal year 2008, with a program period of five years. Approximately eighty awards were made to states, territories, tribal groups, and cities. A new competition for state and local education agencies is expected in fiscal year 2013. National organizations competed for funding in fiscal year 2006 with a project period of 5 years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subject to regulations outlined in 45 CFR Part 74 and 45 CFR Part 92. Program guidelines are available from the Grants Management Contact.

**Regional or Local Office:**

Program Contact: John C. Canfield, Program Development and Services Branch, Division of Adolescent and School Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 4770 Buford Highway, Mailstop K-31, Atlanta, GA 30341. Telephone: (770) 488-6141. Grants Management Contact: Bill Ryan, Grants Management Officer, Grants

Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3716, Atlanta, GA 30341. Telephone: (770) 488-2717.

**Headquarters Office:**

Program Contact: John C. Canfield, Program Development and Services Branch, Division of Adolescent and School Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 4770 Buford Highway, Mailstop K-31, Atlanta, GA 30341. Telephone: (770) 488-6141. Fax: (770) 488-6163. E-mail: qzc6@cdc.gov. Grants Management Contact: Bill Ryan, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3716, Atlanta, GA 30341. Telephone: (770) 488-2717.

**Web Site Address:**

<http://www.cdc.gov/healthyyouth> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of State Education Agency Programs include those that conduct HIV prevention education teacher training sessions for teachers throughout the State or provide mini- grants to regional educational service centers that conduct the teacher training sessions. Other States have developed centralized teacher training centers that provide training related to coordinated health programs and comprehensive school health education that includes HIV prevention education. Local education agencies provide teacher training and work with community-based organizations to form coalitions to help address the needs of youth in high-risk situations. State and local education agencies identify priority health risk behaviors by assessing representative samples of high school age students. National organizations also provide capacity building assistance to state and local education agencies and their own constituents in developing policies, training teachers, and in developing programs to reach minority youth, youth in high-risk situations, and youth with special education needs.

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of the following criteria: (1) the accomplishments of the current budget period show that the applicant is meeting its objectives and carrying out activities as planned; (2) the capacity of the recipient and staff responsible for managing and coordinating activities; (3) current collaboration with HIV prevention programs of State and local health agencies and with other relevant organizations; (4) the objectives for the new budget period are realistic, specific, and measurable; (5) a description of the methods of operation and activities that will be used to accomplish the stated objectives; (6) a plan of evaluation; (7) evidence of support from relevant organizations; (8) plans to share information about the program, including copies of HIV education curricula, program descriptions, progress reports, and educational materials with other agencies interested in HIV education for youth; (9) a budget request that is clearly explained, adequately justified, reasonable, and consistent with the intended use of cooperative agreement funds.

**93.939 HIV PREVENTION ACTIVITIES-NON-GOVERNMENTAL ORGANIZATION BASED**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301(a), 42 U.S.C. 241(a), as amended, and Section 317, 42 U.S.C. 247b(a), as amended.

**OBJECTIVES:**

To provide assistance to local, regional and, national nonprofit organizations to: (a) develop and implement effective community-based Human Immunodeficiency Virus (HIV) prevention programs related to achieving national goals; (b) promote coordination for primary and secondary HIV prevention efforts among community organizations, HIV education/prevention service agencies, and public organizations including local and State health departments and substance abuse agencies; and (c) evaluate the HIV prevention programs for which support is provided.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project funds may be used to promote coordination for primary and secondary HIV prevention efforts among community-based organizations, HIV education/prevention service agencies, and nonprofit national and regional organizations.

**Applicant Eligibility:**

Nongovernmental public and nonprofit private entities are eligible, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries..

**Beneficiary Eligibility:**

Public and nonprofit private entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q.

**Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to Executive Order 12372. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is eligible for coverage under the Public Health System Reporting Requirements. Under these requirements, all community-based nongovernmental applicants must report to the appropriate state and/or local health agency as determined by the applicant.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2720. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organization.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2722.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no matching requirements, applicants must assume part of the project cost and fiscal information must be provided in the narrative portion of the applications pursuant to provisions of Section 317 of the Public Health Service Act.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Quarterly or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$80,129,143; FY 08 est \$77,501,379; and FY 09 est \$77,501,379.

**Range and Average of Financial Assistance:**

\$95,000 to \$2,250,000; \$367,200.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that in FY 2007 approximately 218 awards will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b.

Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants Management Contact: Cheryl Maddux, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 498-1911.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118, Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.116, Project Grants and Cooperative Agreements for Tuberculosis Control Programs; 93.135, Centers for Research and Demonstration for Health Promotion and Disease Prevention; 93.947, Tuberculosis Demonstration, Research, Public and Professional Education; 93.977, Preventive Health Services\_Sexually Transmitted Diseases Control Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include: Street Outreach Programs; Risk Reduction Programs; Community Intervention Programs; HIV Prevention Care Management; Minority Community-Based HIV Prevention Projects; National/Regional Minority Organization (HIV/STD Prevention, Immunization, and TB) Projects; and Primary and Secondary HIV Prevention Services.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance.

**93.940 HIV PREVENTION ACTIVITIES-HEALTH DEPARTMENT BASED**

(HIV Prevention Program)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 317, 42 U.S.C. 247(b), as amended; Section 301, 42 U.S.C. 241, as amended; Health and Human Services, and Education, and Related Agencies Appropriation Act of 1989, Public Law 100-436.

**OBJECTIVES:**

To assist States and political subdivisions of States in meeting the cost of establishing and maintaining Human Immunodeficiency Virus (HIV) prevention programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project funds may be used to support, develop, implement and evaluate primary and secondary HIV prevention programs implemented by State and local health departments.

**Applicant Eligibility:**

States, and in consultation with State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Beneficiary Eligibility:**

States, State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2722. The standard application forms, as furnished by CDC, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along

with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

Not applicable.

**Renewals:**

Project periods are for one to five years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no statutory requirements, applicants must assume part of the project's cost and fiscal information must be provided in the narrative portion of the application.

**Length and Time Phasing of Assistance:**

The project period on these grants is one to five years and the budget period is 12 months.

**Reports:**

Annual narrative progress reports are required with the continuation application. Statistical reports of HIV antibody counseling and testing activities are required 45 days after the end of each quarter. Financial Status Reports are required no later than 90 days following the end of a budget period. Final financial status and performance reports are required 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$330,987,422; FY 08 est \$327,098,892; and FY 09 est \$327,098,892.

**Range and Average of Financial Assistance:**

\$126,000 to \$27,528,000; \$4,634,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2005, 65 awards were funded. It is anticipated that in FY 2006 and 2007 approximately 68 awards will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Nancy Haban, National Center for HIV, STD, and TB Prevention, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A-43, Atlanta, GA 30333. Telephone: (404) 639-0928. Grants Management Contact: Cheryl Maddux, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 498-1911.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118, Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.991, Preventive Health and Health Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:**

The State and local health departments use the community planning process to prioritize HIV prevention activities and provide service to affected populations. The specific activities include: Counseling, Testing, Referral, and Partner Notification (CTRPN): Individual Level Intervention; Community Level Interventions; Public Information; Evaluation and Research; and Capacity Building.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on (1) satisfactory progress in meeting project objectives; (2) the extent to which the objectives for the new budget period are specific; (3) measurable, time phased, realistic, and consistent with National HIV Prevention Goals; (3) the extent to which proposed changes in methods of operation are appropriate and likely to improve prevention efforts; (4) evaluation plans which enhance the success of the project; (5) the availability



of funds.

## **93.941 HIV DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION PROJECTS**

### **FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### **AUTHORIZATION:**

Public Health Service Act, Section 301(a), 42 U.S.C. 241(a), as amended, and Section 317(a), 42 U.S.C. 247b(a), as amended.

### **OBJECTIVES:**

To develop, test, and disseminate improved HIV prevention strategies.

### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

### **USES AND USE RESTRICTIONS:**

To assist States, political subdivisions of States, and other public and nonprofit entities with research on the prevention of HIV infection at the community level. Funds may be used to develop, implement and evaluate new intervention, including those targeting people who are infected with HIV. Applicants are encouraged to have research groups participate in the program.

### **Applicant Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

### **Beneficiary Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q.

### **Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to Executive Order 12372. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designed as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedure:**

To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

### **Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

### **Deadlines:**

Contact Headquarters Office listed below for application deadlines.

### **Range of Approval/Disapproval Time:**

From three to six months.

### **Appeals:**

None.

### **Renewals:**

Projects are for one to five years with 12-month budget periods. Application forms must be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention: Telephone: (770) 488-2720.

### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no statutory requirements, applicants must assume part of the project's cost and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(k).

### **Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: For 12 months.

### **Reports:**

Quarterly or semi-annual narrative and statistical progress reports are required. Financial status reports are required no later than 90 days after the end of the budget period. Final financial status and performance reports are required 90 days after the end of a project period.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

### **Account Identification:**

75-0943-0-1-550.

### **Obligations:**

(Cooperative Agreements) FY 07 \$18,838,880; FY 08 est \$14,945,541; and FY 09 est \$14,945,541.

### **Range and Average of Financial Assistance:**

\$69,400 to \$1,356,000; \$214,325.

### **PROGRAM ACCOMPLISHMENTS:**

It is anticipated that in FY 2007 approximately 60 awards will be funded.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

### **Regional or Local Office:**

Not applicable.

### **Headquarters Office:**

Grants Management Contact: Cheryl Maddux, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 498-1911.

### **Web Site Address:**

<http://www.cdc.gov>.

### **RELATED PROGRAMS:**

93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.978, Preventive Health Services Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants; 93.991, Preventive Health and Health Services Block Grant.

### **EXAMPLES OF FUNDED PROJECTS:**

Youth in High Risk Situations (i.e., out of home setting). Perinatal HIV Reduction and Demonstration Activities Projects (PHREDA).

### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's proposed plan will identify and reach appropriate hard-to-reach individuals at risk for HIV, and the quality and scope of the applicant's past and current activities to provide education about HIV prevention and AIDS to high risk individuals; the quality of the applicant's proposed interventions and strategies to motivate and reinforce risk reduction behavior change among hard-to-reach individuals; the quality of the applicant's proposed plan to promote changes in community norms regarding HIV prevention and risk reduction behavior, and to generate support, cooperation, and collaboration with community based organizations serving individuals at high risk for HIV; the extent to which the applicant's proposed plan will determine, monitor, and measure changes in the prevalence of specific knowledge, attitudes, beliefs and self-reported behaviors among hard-to-reach individuals; the quality of the applicant's plan, including proposed methods and instruments of measurement to evaluate effectiveness of the strategies used to motivate and reinforce behavior change among groups targeted by the interventions, and the impact of the programmatic efforts on community norms; the extent to which the applicant's proposed plan will enable it to respond to and redirect programmatic efforts based on new information, changes in behavior, and changes in HIV sero prevalence.

## **93.942 RESEARCH, TREATMENT AND EDUCATION PROGRAMS ON LYME DISEASE IN THE UNITED STATES**

(Lyme Disease)

### **FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 42 U.S.C. 241(a) and 317(k)(2), 42 U.S.C. 247b(k)(2), as amended.

### **OBJECTIVES:**

To develop, implement and evaluate practical and effective measures for the primary and secondary prevention of Lyme disease in the United States.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to develop disease surveillance, conduct ecological and epidemiological studies, develop prevention and control activities, develop better diagnostic tests, and develop and disseminate educational materials and programs. Grants include funds for direct costs, i.e., personnel, travel, equipment, supplies, necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, such as reimbursement of pre-award costs, as well as those for which prior written approval is required, are indicated in the Public Health Service (PHS) Grants Policy Statement (<http://www.hhs.gov/grantsnet.gps/>).

**Applicant Eligibility:**

Public and nonprofit organizations able to provide services to geographical areas where Lyme disease is endemic or found to be newly emerging in the continental United States. Thus, universities, colleges, research institutions, State and local health departments, and private nonprofit organizations are eligible.

**Beneficiary Eligibility:**

States, political subdivisions of states, and other public and nonprofit private entities and the general public who may be exposed to the threat of Lyme disease in certain geographical areas.

**Credentials/Documentation:**

Nonprofit organizations are corporations or associations no part of whose net earnings may lawfully inure to the benefit of any private shareholder or individual. Proof of nonprofit status must be submitted by private nonprofit organizations with the application or, if previously filed with PHS, the applicant must state where and when the proof was submitted.

**Preapplication Coordination:**

This program has no preapplication requirements. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

To apply for this funding opportunity, applications must be submitted electronically through [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Detailed application instructions are included in the Funding Opportunity Announcements (FOAs) for federal assistance. Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management System, (Add FOA number here), CDC Procurement and Grants Office, U.S. Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Upon receipt, applications will be evaluated for completeness and responsiveness by the agency program and HHS/CDC Procurement and Grants Office (PGO). HHS/CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and NoA indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact Headquarters Office listed below for application deadline dates.

**Range of Approval/Disapproval Time:**

Approximately three to six months.

**Appeals:**

None.

**Renewals:**

Cooperative agreement project periods are for three to four years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

This program has no matching requirements. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 3 to 4 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

An original and two hard-copies of the Non-Competing Grant Progress Report (PHS 2590) are due no less than 120 days prior to the end of each budget period within the project period. Financial status reports are required no later than 90

days after the end of each budget period. Final financial status and performance reports are required no more than 90 days after the end of the project period. All reports must be submitted to the Grants Management Specialist indicated in the NoA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$2,986,426; FY 08 \$1,400,494; and FY 09 est \$1,500,000.

**Range and Average of Financial Assistance:**

\$250,000 to \$650,000; Average award depends on funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal years 2001-2003, 20 new and competitive continuation awards were made. In fiscal years 2004-2007, 10 new and non-competitive continuation awards were made for Lyme disease diagnosis, immunology, pathogenesis and tick control research, and community-based prevention programs. Beginning in fiscal year 2008, new competitive funding opportunities will be available for the evaluation of reservoir-targeted vaccine formulations to prevent enzootic transmission of *Borrelia burgdorferi*, and field trials to evaluate efficacy of natural products for the control of the tick vectors of Lyme disease spirochetes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994. Pertinent information may be obtained by contacting the Headquarters Office.

**Regional or Local Office:**

Bacterial Diseases Branch, Division of Vector-borne Infectious Diseases, National Center for Zoonotic, Vector-borne and Enteric Diseases, Coordinating Center for Infectious Diseases, Centers for Disease Control and Prevention, 3150 Rampart Road, Fort Collins, CO 80521. Branch Extramural Activities Contacts: Ms. Diane Hamm - Telephone: (970) 221-6414 and Dr. Charles B. (Ben) Beard - Telephone: (970) 221-6418. Division Extramural Activities Contacts: Ms. Mary Ellen (Mel) Fernandez - Telephone: (970) 221-6426. Dr. Lyle R. Petersen - Telephone: (970) 221-6428.

**Headquarters Office:**

Scientific/Research Program Contact: Dr. Brian Mahy, Extramural Research Program, Coordinating Center for Infectious Diseases, Centers for Disease Control and Prevention, Mailstop C-19, 1600 Clifton Road, N.E., Atlanta, GA 30333. Telephone: (404) 639-3770. FAX: (404) 639-2469. Financial or Grants Management Contact: Ms. Sharron Orum, Grants Management Specialist, Procurement and Grants Office, Centers for Disease Control and Prevention (CDC), 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2716. Fax: (770) 488-2777.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In the 2004-2007 project period, examples of funded projects include: development of materials for education intervention; conducting studies in integrated pest management; conducting studies on the pathogenesis of Lyme neuroborreliosis using the monkey model; implementation of active surveillance systems; and studies to improve serologic diagnostic techniques.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific merit by peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria. The purpose of the grant? Are the measures objective/quantitative and do they adequately measure the intended outcome? I. Budget: The reasonableness of the proposed budget and the requested period of

support in relation to the proposed research. Additional review criteria applicable to the second Recipient Activities (Prevention) only are: 1. The extent to which the applicant demonstrates high incidence of Lyme disease in the study population(s) (9.6 per 100,000 in 2000-2002); 2. The extent to which the applicant demonstrates the likelihood that the proposed intervention will be practical, affordable and sustainable in the target community and can be implemented in other endemic communities. the design of the study is adequate to measure differences when warranted, and (4) a statement as to whether the plans for recruitment and outreach for study participants include the process of establishing partnerships with community(ies) and recognition of mutual benefits. If these provisions are not relevant to the proposed scope of work, state this and 5 points will be credited to the application. 6. Budget: The extent to which the budget is reasonable, clearly justified, and consistent with the intended use of cooperative agreement funds. the design of the study is adequate to measure differences when warranted, and (4) a statement as to whether the plans for recruitment and outreach for study participants include the process of establishing partnerships with community(ies) and recognition of mutual benefits. If these provisions are not relevant to the proposed scope of work, state this and 5 points will be credited to the application. 6. Budget: The extent to which the budget is reasonable, clearly justified, and consistent with the intended use of cooperative agreement funds.

### **93.943 EPIDEMIOLOGIC RESEARCH STUDIES OF ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) AND HUMAN IMMUNODEFICIENCY VIRUS (HIV) INFECTION IN SELECTED POPULATION GROUPS**

(Epidemiologic Research Studies of AIDS and HIV)

#### **FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Section 301, 42 U.S.C. 241, Section 311, 42 U.S.C. 243, as amended.

#### **OBJECTIVES:**

To support research of important HIV-related epidemiologic issues concerning risks of transmission, the natural history and transmission of the disease in certain populations and development and evaluation of behavioral recommendations for reducing AIDS and HIV infection. Of special interest are programs that examine these research issues as they affect minority populations (defined as one of the four federally-recognized groups: African-Americans; Asian/Pacific Islanders; Latinos/Hispanics; and Native Americans).

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Assistance is provided to support cooperative agreements that examine important epidemiologic research issues concerning AIDS and HIV infection. The research should contribute to the health services knowledge base from which empirically based information can be derived by policy makers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, as well as those for which prior written approval is required, are indicated in the PHS Grants Policy Statement.

#### **Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States or their agents or instrumentalities, private research organizations, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, other public and private nonprofit organizations, and for-profit organizations.

#### **Beneficiary Eligibility:**

State and local health agencies; private research organizations, public and private nonprofit organizations, for profit organizations; minority groups; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and persons physically afflicted with AIDS/HIV infection.

#### **Credentials/Documentation:**

Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments."

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

A signed original and five copies of the application Form 398 must be sent to the Centers for Disease Control and Prevention (CDC). State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR 92 for State and Local Governments and 45 CFR 74 for nonprofit organizations, as appropriate.

#### **Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

#### **Deadlines:**

Contact the Headquarters Office listed below for application deadlines.

#### **Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

#### **Appeals:**

None.

#### **Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

#### **Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to three years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

#### **Reports:**

Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

#### **Account Identification:**

75-0943-0-1-550.

#### **Obligations:**

(Cooperative Agreements) FY 07 \$4,415,183; FY 08 \$4,483,640; and FY 09 est \$4,483,640.

#### **Range and Average of Financial Assistance:**

\$49,585 to \$757,500; \$237,840.

#### **PROGRAM ACCOMPLISHMENTS:**

It is anticipated that in FY 07 approximately 13 awards will be funded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April I, 1994.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Grants Management Contact: Cheryl Maddux, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 498-1911.

#### **Web Site Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

93.118, Acquired Immunodeficiency Syndrome (AIDS) Activity.

#### **EXAMPLES OF FUNDED PROJECTS:**

Assistance has been provided to support epidemiologic research studies of: the natural history of HIV infection in men who have sex with men, women and infants, injecting drug users, and adolescents; the transmission of HIV infection in populations of women, children, blood recipients, drug users, heterosexuals, prisoners and specific groups of minorities; and social, psychological and behavioral studies of HIV infection in selected population groups.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated based on the evidence submitted which specifically describes the applicant's abilities to meet the following



criteria: (1) the plans to develop and implement the study describing how study participants will be identified, enrolled, tested and followed; (2) the ability to enroll and follow an adequate number of eligible study participants to assure proper conduct of the study. This includes both demonstration of the availability of HIV-infected potential study participants and the experience of the investigator in enrolling and following such persons; (3) the applicant's current activities in AIDS and HIV research and how they will be applied to achieving the objectives of the study; letters of support from cooperating organizations that demonstrate that nature and extent of such cooperation should be included; (4) the applicant's understanding of the research study objectives and, their ability, willingness and/or need to collaborate with CDC and researchers from other study sites in study design and analysis, including use of common forms, and sharing of specimens and data; (5) the plan to protect the rights and confidentiality of all participants and ensure adequate participation; (6) the size, qualifications and time allocation of the proposed staff and the availability of facilities to be used during the research study; (7) how the project will be administered to assure the proper management of the daily activities of the program; (8) the proposed schedule for accomplishing the activities of the research; including time frames; and (9) the quality of an evaluation plan which specifies methods and instruments to be used to evaluate the progress made in attaining research objectives.

### **93.944 HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY VIRUS SYNDROME (AIDS) SURVEILLANCE**

(HIV/AIDS Surveillance)

#### **FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301(a), 311(b), and 317, as amended.

#### **OBJECTIVES:**

To continue and strengthen effective human immunodeficiency virus (HIV) and acquired immunodeficiency syndrome (AIDS) surveillance programs and to effect, maintain, measure and evaluate the extent of HIV/AIDS incidence and prevalence throughout the United States and its territories, providing information for targeting and implementing HIV prevention activities.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries of staff conducting HIV/AIDS surveillance and sero surveillance activities, travel related to carrying out project activities and participating in national planning and implementation meetings, necessary supplies, computer software and hardware, and laboratory, data collection, and analysis costs. Grant funds are to be additive to replace existing resources.

#### **Applicant Eligibility:**

The governments, or their agents or instrumentalities, of any of the States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, territories or possessions of United States, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and local governments who are current recipients of HIV/AIDS surveillance cooperative agreements.

#### **Beneficiary Eligibility:**

Official health agencies will benefit.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

#### **Preapplication Coordination:**

Not applicable. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedure:**

Applications are made in the form of an application PHS-5161-1, to the Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

#### **Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and Notice of Award (Form 5152-1) indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

#### **Deadlines:**

Contact the Headquarters Office listed below for application deadlines.

#### **Range of Approval/Disapproval Time:**

About 120 days after application submission.

#### **Appeals:**

None.

#### **Renewals:**

Renewals may be approved for one to five years.

#### **Formula and Matching Requirements:**

There are no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

From one to five years.

#### **Reports:**

Original and two copies of progress reports are due semiannually and must be submitted to the grants management office within 30 days after each reporting period. For renewal applications, progress narratives should be submitted with the renewal application and cover progress from the preceding reporting period. Annual financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

#### **Account Identification:**

75-0943-0-1-550.

#### **Obligations:**

(Cooperative Agreements) FY 07 \$67,774,469; FY 08 est \$76,044,582; and FY 09 est \$76,044,582.

#### **Range and Average of Financial Assistance:**

\$4,000 to \$4,705,000; \$579,650.

#### **PROGRAM ACCOMPLISHMENTS:**

It is anticipated that in FY 2007 approximately 120 awards will be funded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS, 45 CFR 92; Application Instructions and Information and Program Guidance established by CDC for HIV/AIDS cooperative agreements.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Grants Management Contact: Cheryl Maddux, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 498-1911.

#### **Web Site Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

#### **EXAMPLES OF FUNDED PROJECTS:**

(1) Surveillance of HIV/AIDS and (2) sero surveillance studies and surveys.

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Official health agencies which are current recipients of funds for HIV/AIDS surveillance activities; (2) need and background; and (3) a willingness to comply with applicable CDC sero surveillance protocols.

### **93.945 ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION AND CONTROL**

(State Cardiovascular Health Programs (CVH); and Racial and Ethnic Approaches to Community Health (REACH))

#### **FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301(a) and 317(a), and (k)(2), as amended.

**OBJECTIVES:**

To work with State health agencies and other public and private nonprofit organizations in planning, developing, integrating, coordinating, or evaluating programs to prevent and control chronic diseases; assist in monitoring the major behavioral risks associated with the 10 leading causes of premature death and disability in the United States including cardiovascular diseases; and, establish new chronic disease prevention programs like Racial and Ethnic Approaches to Community Health (REACH).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, implementing, and evaluating chronic disease prevention and control programs. Cooperative agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, tribal organizations, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa. Other public and private nonprofit community based organizations are also eligible (see REACH).

**Beneficiary Eligibility:**

State health agencies and community based organizations will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, State the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for Educational Institutions, and OMB Circular No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to the review requirements of the National Health Planning and Resources Development Act of 1974, as amended, by the Health Planning and Resources Development Act of 1979. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 and 74. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for these programs.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact CDC Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From three to four months.

**Appeals:**

Not applicable.

**Renewals:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Formula and Matching Requirements:**

There are no specific matching requirements except for the Basic Implementation states for the Cardiovascular Health Program which requires a 20 percent match from State health agencies.

**Length and Time Phasing of Assistance:**

Project Period: From 3 three to 5 five years. Budget period: Usually 12 months.

**Reports:**

Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) Financial Assistance: Cardiovascular (CVH): FY 07 est \$30,500,000; FY 08 \$26,664,828; and FY 09 est \$30,500,000. REACH U.S.: FY 07 est \$23,837,394; FY 08 est \$23,837,394 and FY 09 est \$23,837,394.

**Range and Average of Financial Assistance:**

CVH: Core Programs: Capacity Building: \$250,000 to \$350,000; \$300,000. Basic Implementation: \$900,000 to \$1,350,000; \$1,250,000. REACH U.S.: Centers of Excellence in the Elimination of Health Disparities (CEEDs): Average \$850,000 Action Communities: Average ~\$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Cardiovascular Health Program (CVH): CDC funded 32 States and DC in 2005. Fourteen of the 33 States are funded for basic implementation programs and 19 States are building core capacity for cardiovascular health. State CVH programs are defining the CVD burden within their State; developing a comprehensive CVH State Plan with emphasis on developing heart-healthy policies, changing physical and social environments, and reducing disparities; and designing population-based strategies for the primary and secondary prevention of CVD and promotion of CVH. REACH U.S.: Supported by CDC, funds 40 REACH U.S. communities: 18 Centers of Excellence in the Elimination of Health Disparities (CEEDs) and 22 Action Communities. CEEDs have expertise working with specific racial and ethnic groups, and they will be able to widely disseminate effective strategies and train new community partners. The Action Communities will implement and evaluate successful practice-based or evidence-based approaches and programs to impact population groups rather than individuals. Effective strategies will be applied through innovative and nontraditional partnerships at the community level. CEEDs and Action Communities target one or more racial and ethnic groups, including African American, American Indian/Alaska Native, Asian American, Native Hawaiian/Pacific Islander, and Hispanic/Latino. Health focus areas include breast and cervical cancer, cardiovascular disease, diabetes, asthma, adult/ older adult immunizations, infant mortality, hepatitis B, and tuberculosis. can, Native Hawaiian/Pacific Islander, and Hispanic/Latino. Health focus areas include breast and cervical cancer, cardiovascular disease, diabetes, asthma, adult/older adult immunizations, infant mortality, hepatitis B, and tuberculosis.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are program regulations under 42 CFR 51b, Project Grants for Preventive Health Services. Guidelines are also available from PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to grants and cooperative agreements.

**Regional or Local Office:**

See Appendix IV.

**Headquarters Office:**

Cardiovascular Health Program Contact: Nancy Watkins, Teamleader, Program Services Team, Division for Heart Disease and Stroke Prevention, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 4770 Buford Hwy., MS K47, Atlanta, GA 30333. Telephone: (770) 488-8004. Program Contact: Mike Waller, Deputy Director, Division of Adult and Community Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and 4770 Buford Hwy., MS K45, Atlanta, GA 30333. Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: Telephone: (770) 488-5269. Grants Management Contact: Nealean Austin, Team Lead, Carlos M. Smiley, Grants Management Officer/Contracting Officer, Branch B, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Suite 3000, Atlanta, GA 30341. Telephone: (770) 488-2754.

**Web Site Address:**

<http://www.cdc.gov/nccdphp>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems.

**EXAMPLES OF FUNDED PROJECTS:**

The Cardiovascular Health Program (CVH): The New York Healthy Heart Program has partnered with its Dairy Council to educate the public about the benefits of drinking low-fat milk. The campaign increased the sale of milk by five percent and the sale of low fat milk by 15 percent. It has also assessed more than 600 businesses concerning a heart healthy worksite. Based on this assessment over 300 worksites have implement changes to make it easier for their employees to be heart healthy during the workday: workday: offering low-

fat food choices in vending machines, being smoke-free, smoke-free, providing physical activity breaks during the workday, making stairwells safe, and safe, and encouraging employees to be physically active. The North Carolina CVH Carolina CVH Program provided the Strike Out Stroke program that targets hypertension targets hypertension in African Americans in partnership with the North the North Carolina Association of Pharmacies and through local health departments. The Missouri CVH Program partners with the State Diabetes State Diabetes Control Program (DCPC) and Federal qualified health centers to improve to improve outcome measures related to Diabetes and CVD. Arthritis. Alabama Arthritis Program has effectively partnered with the Alabama Division of Senior Services to expand the use of an effective arthritis physical activity program. Senior Services has incorporated this program as a core activity at nutrition sites. Nutrition coordinators have been trained as program leaders. Using this systems approach, the Alabama Arthritis Program has tripled the number of people participating in the program. The Tennessee Arthritis Program has successfully partnered with the Tennessee Agricultural Extension Service to expand the reach of an evidence-based self management program, the Arthritis Foundation Self Help Course. More than 500 people have been reached through this partnership. REACH U.S.: The Breast and Cervical Cancer Coalition at the University of Alabama at Birmingham works to increase breast and cervical cancer screening rates for African American women throughout the state. In Choctaw County, African American women were much less likely to get a mammography screening compared with white women. In 8 years, the proportion of African American women who received mammography screenings increased from 29% to 61%, surpassing the rate for white women by 13%. In Dallas County, a lower mammography screening rate for African American women (30%) compared with white women (50%) was virtually eliminated during the same time. According to data from the eight counties that the Alabama REACH program focuses on, the gap in mammography screening rates between African American and white women decreased by 76% over the same 8-year period. The REACH Charleston and Georgetown Diabetes Coalition focuses on diabetes care and control for more than 12,000 African Americans with diabetes. As a result of the coalition's work, a 21% gap in annual blood sugar testing between African Americans and whites has been virtually eliminated. In addition, more African Americans in the target area are getting the recommended annual tests to monitor their cholesterol levels and kidney function and being referred for eye exams and blood pressure checkups. Lower-extremity amputations among African Americans with diabetes also have decreased sharply. For example, in Charleston County, the percentage of amputations among African American men with diabetes who were hospitalized decreased by nearly 54% in 7 years. In Georgetown County, the rate decreased 54% in 3 years. The REACH Latino Health Project developed culturally tailored interventions to reduce the diabetes burden in the Latino community. As a result, participants showed dramatic improvements in control of high blood sugar and high blood pressure, which are risk factors for diabetes-related complications. In the span of 3 years, blood sugar measures below 7.0 improved by 8.7%, systolic blood pressure below 130 mm Hg improved by 17.5%, and diastolic blood pressure below 80 mm Hg improved by 14.4%. In addition, the proportion of participants who were referred for eye exams improved 26.5%.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation criteria as published in the program and/or Federal Register Announcement.

**93,946 COOPERATIVE AGREEMENTS TO SUPPORT STATE-BASED SAFE MOTHERHOOD AND INFANT HEALTH INITIATIVE PROGRAMS**

(Infant Health and pre-term delivery Initiative; PRAMS; MCHEP; ART; VAW; Maternal Health Research)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Section 301(a) and Section 317K, 42 U.S.C. 241(a); 42 U.S.C. 247b-12.

**OBJECTIVES:**

PRAMS: To work with official public health agencies of States to: (1) establish and maintain State-specific, population-based surveillance of selected maternal behaviors that occur during pregnancy and the child's early infancy; and (2) generate State-specific data for planning and assessing perinatal health programs. MCHEP: To work with official public health agencies of States and localities to develop a multidisciplinary team of individuals dedicated to building the recipient's analytic capacity to use epidemiologic and surveillance data to address the health problems that affect its women, infants, and children. Prevention research activities related to women's health related to pregnancy, in vitro fertilization, violence around pregnancy, pre-term delivery, and other reproductive health complications.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

PRAMS: Cooperative Agreement funds may be used to develop a surveillance system that will identify behavioral risk factors during pregnancy and early infancy, and will identify problems in health care delivery. Funds may be used to support the following activities: (1) Obtaining a commitment of participation from the Maternal and Child Health, Vital Statistics, and Data Processing units; (2) assuring that the State PRAMS program will have access to needed vital records information; (3) forming a Steering Committee to promote user involvement; (4) developing a surveillance protocol; (5) preparing a questionnaire, including State-specific questions; (6) obtaining Institutional Review Board review and approval; (7) implementing surveillance operations, such as sampling, data collection, data management, database development, and data analysis; and (8) planning for data dissemination and use. MCHEP: Cooperative agreement funds may be used by grantees to build their analytic capacity to use epidemiologic and surveillance data to address health problems affecting women, infants and children. Grantees in States, D.C., cities, and U.S. territories will develop a multidisciplinary team to identify populations at increased risk of infant mortality and to help direct programs to reduce this risk. Funds may be used to: (1) Establish a risk-oriented approach to the reduction of infant mortality; (2) substantially build State and local surveillance and epidemiologic capabilities; (3) enhance capacity in States to use surveillance and epidemiologic findings in program and policy development, implementation, and evaluation; (4) disseminate such analytic capabilities to other States by providing information, direct technical assistance, and a pool of knowledgeable and experienced individuals for collaboration; (5) coordinate State programs in database development and intervention research; and (6) develop stronger interactive partnerships among State, territorial, and Federal. To carry out other types of surveillance, prevention research, and demonstrations projects as authorized under the Safe Motherhood authorization.

**Applicant Eligibility:**

PRAMS and MCHEP: Eligible Category A, maintenance of existing PRAMS surveillance system: eligible applicants are the official State public health agencies designated as vital statistics registration areas in the United States, the District of Columbia, the Commonwealth of Puerto Rico and for PRAMS are the jurisdictions that received direct funding from CDC for PRAMS activities. Also eligible is the public health agency of the City of New York, the only city public health agency designated as a Category A applicant. For PRAMS and MCHEP: Category B, eligible applicants are the official State and territorial public health agencies designated as registration areas for vital statistics, American Samoa, the Commonwealth of Puerto Rico, the Virgin Islands, the Federated States of Micronesia, Guam, the Northern Mariana Islands, the Republic of the Marshall Islands, the Republic of Palau, and Federally-recognized Indian tribal governments. Prevention research eligibility includes public and private not-for-profit agencies including universities.

**Beneficiary Eligibility:**

Official State and Territorial public health agencies. City of New York public health agency and District of Columbia. Applications may be submitted by public and private nonprofit and for-profit organizations and by governments and their agencies; that is, universities, colleges, research institutions, hospitals, other public and private nonprofit and for-profit organizations, State and local governments or their bona fide agents, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau, federally recognized Indian tribal governments, Indian tribes, or Indian tribal organizations, and small, minority, women-owned businesses.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with the OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication coordination is not required. These programs are eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.



**Deadlines:**

Contact Headquarters Office listed below for application deadlines. Grants Management Officer, Ms. Nealean Austin, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2754.

**Range of Approval/Disapproval Time:**

From three to four months.

**Appeals:**

Not applicable.

**Renewals:**

Information on renewals may be obtained from the Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Project Period: up to five years. Budget Period: All programs: For 12 months. Assistance is awarded through the SMARTLINK II System.

**Reports:**

Progress reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) PRAMS: FY 07 \$5,021,324; FY 08 est \$5,200,000; and FY 09 est \$5,200,000.

**Range and Average of Financial Assistance:**

PRAMS: \$100,000 to \$150,000; \$125,000.

**PROGRAM ACCOMPLISHMENTS:**

PRAMS data collection is on-going in 37 States, New York City and South Dakota Yankton Sioux Tribe. Data from PRAMS are used by states to identify service gaps which are addressed through a variety of programs, many funded by the Maternal and Child Health Block Grant.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Contact: Director, Division of Reproductive Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services; 770 488 5200. Grants Management Contact: Mr. William Ryan, Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2717.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.994, Maternal and Child Health Services Block Grant to the States.

**EXAMPLES OF FUNDED PROJECTS:**

MCHEP provides epidemiologic and surveillance technical assistance to participating States. Many States participating in PRAMS have developed and implemented an ongoing population-based surveillance of State residents who have recently delivered a live-born infant. Questionnaires have been developed to collect information from new mothers on selected experiences occurring before, during, and after their pregnancies. Using birth certificates, a sample of mothers is selected monthly and they are mailed a self-administered questionnaire. Non-responders are contacted by telephone.

**CRITERIA FOR SELECTING PROPOSALS:**

All programs: (1) The extent to which the application describes and presents appropriate data indicating an understanding of the problem, the program for

which assistance is requested, and the purpose of the cooperative agreement; (2) the degree to which the workplan addresses the stated needs, is likely to achieve the purposes of the cooperative agreement, and describes the specific roles and responsibilities of participating personnel; (3) the degree to which the application provides a complete and achievable timetable of appropriate events; (4) the adequacy of the plan to monitor progress toward the stated objectives; (5) the extent to which the budget is reasonable, consistent with the problems identified and the scope of the program proposed to address these problems, and the intended use of cooperative agreement funds, and clearly reflects the applicant's intent to commit nonfederal resources to support the operational costs of these programs. PRAMS only: The degree to which the application describes the process for registering births in the State.

**93.947 TUBERCULOSIS DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION****FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 317(e), 42 U.S.C. 247(bb), as amended.

**OBJECTIVES:**

To assist States, political subdivisions of States, and other public and nonprofit private entities in conducting research into prevention and control of tuberculosis nationally and internationally, especially in conducting demonstration projects for the prevention and control of tuberculosis; in providing public information and education programs for prevention and control of tuberculosis; and in developing education, training, and clinical skills improvement activities in the prevention and control of tuberculosis for health professionals, including allied health personnel.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Requests for direct assistance (i.e., "in lieu of cash") for personnel, equipment, and supplies directly related to project activities, particularly directly observed therapy, patient outreach, and program assessment will be considered. Project funds may not be used to supplant State or local funds available for tuberculosis control or to support construction costs or inpatient care.

**Applicant Eligibility:**

States, political subdivisions of States, and other public and nonprofit private entities.

**Beneficiary Eligibility:**

States, political subdivisions of States, other public and nonprofit private entities, serving persons with TB infection and disease.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with DHHS Regulations 45 CFR Part 74 Subpart Q.

**Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to E.O. 12372. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local governments and by 45 CFR 74 for nongovernmental applicants.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCHHSTP in accordance with the review criteria listed above. As part of the initial merit review, all applications may: 1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; 2) receive a written critique; and 3) receive a second level review by the Science and Program Review Subcommittee (SPRS). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed

by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

None.

**Renewals:**

Project periods are for three to five years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no statutory requirements, applicants must assume part of the project cost and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(e).

**Length and Time Phasing of Assistance:**

From three to five years. Budget Period: For 12 months.

**Reports:**

Either quarterly or semi-annual narrative and statistical progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 07 \$1,840,159; FY 08 est \$1,790,122; and FY 09 est \$1,800,000.

**Range and Average of Financial Assistance:**

\$136,303 to \$1,334,939; \$447,531.

**PROGRAM ACCOMPLISHMENTS:**

An award was made during fiscal year 2007 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award was made to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award was made to an international agency to conduct activities that will provide for long term follow up of patients on treatment for active TB, to study the mortality of TB in HIV infected patients and to assess the annual risk of infection. An award was also made during fiscal year 2007 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. In fiscal year 2007, four awards were made. It is estimated that four awards will be made in fiscal year 2008 and four awards in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Heather Duncan, National Center for HIV, STD, and TB Prevention, Centers for Disease Control and Prevention, Public Health Service, 1600 Clifton Road NE. MS E10, Atlanta, GA 30333. Telephone: (404) 639-8131. Grants Management Contact: Roslyn Curington, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 1600 Clifton Road NE. MS E15, Atlanta, GA 30333. Telephone: (404) 639-8321.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.283, Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.978, Preventive Health Services Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants; 93.991, Preventive Health and Health Services Block Grant.

**EXAMPLES OF FUNDED PROJECTS:**

A project to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent of the tuberculosis problem; the establishment of specific and measurable objectives; and the development of a sound operational plan that will ensure the implementation of each program's elements.

**93.952 TRAUMA CARE SYSTEMS PLANNING AND DEVELOPMENT**

(Rural EMS/Trauma Care)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XII, Sections 1201, 42 U.S.C. 300d.

**OBJECTIVES:**

To administer grants to States and Territories for the purpose of developing, implementing, and improving Statewide trauma care systems.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The intention of this grant opportunity is to, at the State level, facilitate and coordinate efforts toward the (1) Development of State and Territorial trauma system infrastructure which coordinates regional trauma systems to administer quality, cost effective care at the local level, (2) Completion of an OMB approved national assessment of trauma systems, EMS resources, and disaster readiness, (3) Exposure of key individuals within each State and Territory to the new HRSA Model Trauma Systems Planning and Evaluation document and State self assessment tool, and (4) State trauma care data evaluation.

**Applicant Eligibility:**

The State lead agency that has been designated to manage and coordinate the State's trauma system program, or the designee of such agency, are the only eligible applicants for this grant funding. If a lead agency has not been designated, then the agency having responsibility for State emergency medical services may apply.

**Beneficiary Eligibility:**

Individuals in the State will benefit from this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in the State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Healthcare Systems Bureau. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed by a committee composed of members of the staff of the Department of Health and Human Services (DHHS) and nongovernmental representatives. Applications are reviewed for merit, and are recommended for approval or disapproval. Final decisions are made by the Associate Administrator, Maternal and Child Health Bureau.

**Deadlines:**

Contact Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no formula. Cash or in-kind matching is required in the second and subsequent years.

**Length and Time Phasing of Assistance:**

Awards are made for a 1-year budget and up to a 3-year project period.

**Reports:**

A progress report and closeout report is required. In addition, a final financial status report is to be submitted 90 days after the close of the project period. Please see annual grant guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

FY 05 States: \$40,000; (one exception was that NH only applied for and received \$35,703), Guam: \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

Successful OMB PART Trauma-EMS Systems Program Evaluation during FY 2005 for FY 2007 budget. Initiated October 2005 meeting of Program's National Trauma-EMS National Stakeholder Group comprised of affiliated representatives from professional organizations. Development and release of FY 2001 through FY 2005 Program Report. Administration of grants to 41 States and Territories. Development of cumulative grant funding profiles for each State/Territory. Development of individualized technical assistance plans for each State/Territory along with the provision of resources to each applicant specific to their approved goals/objectives. Operation of a \$650,000/year contracted Technical Assistance Center assuring quality technical assistance to the States/Territories through a variety of venues. Successful continuation of both a State Trauma System Manager Interactive Listserv as well as a State Trauma System Manager Mentoring Program. Ensuring programmatic quality by monitoring and evaluating program performance. Initiated February 2006 2 1/2 day State Trauma Leadership meeting (130 attendees). Initiated July 2005 annual Federal Partner Meeting to coordinate Federal efforts (40 attendees). Successfully published 3 journal articles: (a) Trauma System Structure and Viability in the Current Healthcare Environment: A State-By-State Assessment. J Trauma, 2005 (b) Public Health Preparedness for Mass Causality Events: A State-By-State Assessment. Prehospital Disaster Med, 2004 (c) The Capacity and Comparability of Statewide Trauma Registries: Potential For A National Trauma Dataset, J Trauma, 2005 Released legislatively required document Model Trauma Systems Planning and Evaluation along with a State and Regional Self-Evaluation Tool ([www.hrsa.gov/trauma/model.htm](http://www.hrsa.gov/trauma/model.htm)) Released nationally standardized trauma data dictionary with the American College of Surgeons National Trauma Data Bank. ([www.facs.org/trauma/ntdb/datadictionary](http://www.facs.org/trauma/ntdb/datadictionary)).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**[www.hrsa.gov](http://www.hrsa.gov).**RELATED PROGRAMS:**

93.953, Trauma Care Systems Planning and Development.

**EXAMPLES OF FUNDED PROJECTS:**

Development of statewide trauma systems, state trauma plans, public information/education campaigns, educational services to trauma care providers,

and performance improvement initiatives.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of the description of the gap in EMS/Trauma system components and of data presented in the needs assessment to support that the applicant is among those States that have the greatest need to develop, implement, and monitor trauma care systems. (2) Adequacy of documentation to support that the applicant is among those States that demonstrate the greatest commitment to establishing and maintaining such systems. (3) Completeness of the current State emergency medical services plan and of anticipated modifications to ensure adequate availability of complementary components necessary to support the trauma care plan. (4) Adequacy of the rationale that the modifications proposed for development, implementation, or monitoring follow a rational sequence of EMS and trauma care planning activities, support the commitment to a continuum of care, and will improve quality of trauma care provided. (5) Appropriateness and adequacy of the work plan, methodologies, and schedule for organizing and completing the project within the timeframe. (6) Preparation of application and proposed activities and workplan demonstrate coordination and consultation with, and commitment of, the medical, surgical, and nursing specialty groups, hospital associations, State and local emergency medical services directors, concerned advocates and other interested parties. (7) Reasonableness of the proposed budget and the cost efficiency of the project relative to service versus administrative costs. (8) Proposal demonstrates an understanding of the obstacles to completion and proposes effective measures to overcome these problems.

**93.954 TRIBAL RECRUITMENT AND RETENTION OF HEALTH PROFESSIONALS INTO INDIAN HEALTH PROGRAMS**

(Tribal Recruitment)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Improvement Act, Section 110, Public Law 94-437, as amended, Public Law 100-713 and Public Law 102- 573.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes and tribal and Indian health organizations to enable them to recruit, place, and retain health professionals to fill critical vacancies and to meet the staffing needs of Indian health programs and facilities including those administered by the Indian Health Service (IHS).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit and retain health professionals into Indian health programs and facilities.

**Applicant Eligibility:**

Any federally-recognized Indian tribe or tribal or Indian health organization is eligible to apply.

**Beneficiary Eligibility:**

Preference is given to those applicants who propose to recruit for health programs and facilities that IHS has designated as high priority for the IHS Loan Repayment Program for physicians, nurses, and other health professions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs for other institutions will be determined by HHS Regulations 45 CFR 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

**Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

**Deadlines:**

Contact Headquarters Office listed below for application deadline.

**Range of Approval/Disapproval Time:**

Within 90 days of IHS deadline.



**Appeals:**

None.

**Renewals:**Continuation applications must be submitted via [grants.gov](http://grants.gov) annually.

Continuation funding is subject to availability of funds, satisfactory performance, and continuing need of the IHS for the program.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds.

**Reports:**

Projects must have data systems to support administration and evaluation of the project. The funding agency will provide forms for the uniform reporting of data on case management, fiscal management and project activities, in accordance with 45 CFR, Part 92 or OMB Circular No. A-110, depending on the type of grantee organization.

**Audits:**

"In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants and Cooperative Agreements) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$60,000 to \$100,000; \$82,900.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, six continuing awards were issued. It is estimated that six continuing awards will be funded in fiscal years 2006 and 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

For program information, contact Mr. Darrell Pratt, Leader, Health Professions Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-5710. For grants management information, contact Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Web Site Address:**<http://www.ihs.gov>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Need - Is the need for the project justified? If a project targets urban Indian health programs, is there justification and documentation for conducting activities at that site? Do proposed efforts complement and expand past recruitment efforts? Approach - Are the objectives well stated? Is the applicant's work plan for conducting the project sound and effective? Is the approach innovative? Are the activities proposed cost effective and will they lead to effective recruitment, placement, and retention? Adequacy of Management Controls - Is the applicant capable of successfully conducting the project both from a technical and business standpoint? Is the proposed interaction with IHS staff adequate for an application for recruitment of Federal staff? Is the budget sound in relation to the work plan and does it assure effective utilization of grant funds? Are the facilities and equipment adequate? Key Personnel - Regarding the position descriptions, are the qualifications of key

personnel appropriate and adequate to carry out the project? If a resume is provided, are the individual's qualifications and experiences consistent with the position description and conduct of the project?

**93.958 BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES**

(CMHS Block Grant)

**FEDERAL AGENCY:**SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES  
ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN  
SERVICES**AUTHORIZATION:**

Public Health Service Act, Title XIX, Part B, Subpart I, as amended, Public Law 106-310; 42 U.S.C. 300X.

**OBJECTIVES:**

To provide financial assistance to States and Territories to enable them to carry out the State's plan for providing comprehensive community mental health services to adults with a serious mental illness and to children with a serious emotional disturbance; monitor the progress in implementing a comprehensive community based mental health system; provide technical assistance to States and the Mental Health Planning Council that will assist the States in planning and implementing a comprehensive community based mental health system.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except for certain requirements. State plans must meet prescribed criteria. Services under the plan will be provided only through appropriate, qualified community programs (which may include community mental health centers, child mental-health programs, psychosocial rehabilitation programs, mental health peer-support programs and mental-health primary consumer-directed programs). Services under the plan will be provided through community mental health centers only if the centers meet prescribed criteria. Up to 5 percent of grant funds may be used for administering the funds. Funds may not be used to provide inpatient services; to make cash payments to intended recipients of health services; to purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment; to satisfy any requirement for the expenditure of nonfederal funds as a condition for the receipt of Federal funds; or to provide financial assistance to any entity other than a public or nonprofit private entity.

**Applicant Eligibility:**

State and U.S. Territory Governments; or Tribal Organizations.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments; and members of Indian Tribes or Tribal organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Chief Executive Officer of the State or Territory must apply annually for an allotment. States are required to submit an application which contains a State Plan that describes comprehensive community mental health services for adults with a serious mental illness and children with a serious emotional disturbance, an Implementation Report that describes State progress in implementing the plan for the preceding year, recommendations from the State Mental Health Planning Council, a report on expenditure of the preceding fiscal year's block grant funds, a maintenance of effort report and agreements signed by the Chief Executive Officer of the State.

**Award Procedure:**

Grant Awards are issued directly by The Center for Mental Health Services, Substance Abuse and Mental Health Services Administration (SAMHSA) to the designated State agency.

**Deadlines:**

The application is due no later than September 1 of the fiscal year prior to the fiscal year for which CMHS Block Grant funding is being requested.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Formula is cited in Section 1918 of Public Law 106-310. Allotments to States are based upon certain weighted population factors and total taxable resources except that no State will receive less than 20.6 percent of the amount the State received from allotments made in fiscal year 1992 under the Alcohol, Drug

Abuse and Mental Health (ADMS) Block Grant. Territorial allotments are based upon the relative civilian population of the Territory except that no Territory is to receive less than \$50,000. This program has no matching requirements, but does have maintenance of effort (MOE) requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year in which it was allotted through the end of the subsequent fiscal year.

**Reports:**

As part of the application, each State must submit an Implementation Report that describes the State's progress in implementing the State's Comprehensive Community Mental Health Services Plan for the preceding fiscal year and a report of the purposes for which the grant received for the preceding fiscal year were expended, including a description of the activities of the State under the program and the recipients of the funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or OMB Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

FY 07 \$406,843,470; FY 08 est \$406,843,470; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$55,061,465; \$6,895,652.

**PROGRAM ACCOMPLISHMENTS:**

Fifty-nine grants were awarded in fiscal year 2007. It is anticipated that 59 CMHS block grants will be issued in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 96.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Dr. Joyce Berry, State Planning and System Development Branch, Center for Mental Health Services, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, 1 Choke Cherry Road, Room, 2-1093, Rockville, Maryland 20857. Telephone: (240) 276-1736. Grants Management Contact: LouEllen M. Rice, Grants Management Officer, Division of Grants Management, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, Room 7-1091, 1 Choke Cherry Road, Rockville, Maryland 20857. Telephone: (240) 276-1404.

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and regulatory requirements. For information regarding statutory and regulatory requirements, contact Dr. Joyce Berry, State Planning and Systems Development Branch, Center for Mental Health Services, SAMHSA, PHS, 1 Choke Cherry Road, Room 2-1093 Rockville, MD 20850. Telephone: (240) 276-1736.

## 93.959 BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE

(Substance Abuse Prevention and Treatment (SAPT) Block Grant)

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XIX, Part B, Subpart II, as amended, Public Law 106-310; 42 U.S.C. 300x.

**OBJECTIVES:**

To provide financial assistance to States and Territories to support projects for the development and implementation of prevention, treatment and rehabilitation activities directed to the diseases of alcohol and drug abuse.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the States to achieve the statutory objectives, including the fulfillment of certain requirements. Not less than 20 percent of the funds shall be spent for programs for individuals who do not require treatment for substance abuse, but to educate and counsel such individuals and to provide for activities to reduce the risk of such abuse by the individuals by developing community-based strategies for prevention of such abuse, including the use of alcoholic beverages and tobacco products by individuals to whom it is unlawful to sell or distribute such beverages or products. States shall expend not less than 5 percent of the grant to increase (relative to fiscal year 1994) the availability of treatment services designed for pregnant women and women with dependent children (either by establishing new programs or expanding the capacity of existing programs). States shall also expend not less than 5 percent of the grant to increase (relative to fiscal year 1993) the availability of such services to pregnant women and women with dependent children. States must require programs of treatment for intravenous drug abuse to admit individuals into treatment within 14 days after making such a request or 120 days of such a request, if interim vices are made available within 48 hours. States will provide, directly or through arrangements with other public or nonprofit entities, tuberculosis services such as counseling, testing, treatment, and early intervention services for substance abusers at risk for the human immunodeficiency virus (HIV) disease. Other statutory requirements also apply.

**Applicant Eligibility:**

State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments; and members of Indian Tribes or Tribal Organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Chief Executive Officer of the State, Territory, or Tribal Organization (limited to the Red Lake Band of the Chippewa) must apply annually for an allotment.

**Award Procedure:**

Grant awards are issued directly by the Center for Substance Abuse Treatment to the designated State Agency, Territory, or Tribal organization (limited to the Red Lake Band of the Chippewa).

**Deadlines:**

The application is due no later than October 1 of the fiscal year for which SAPT Block Grant funding is being requested.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The formula for the allocation of funds is cited in 42 U.S.C. 300x-33. Allotments to the States are based upon weighted population factors and, for equity purposes, a measure reflecting the differences that exist between the State involved and other States in the cost of providing authorized services. Territories shall receive funds based on the civilian population of the Territory as indicated by the most recent available data divided by the aggregate civilian population of the Territories, but not less than \$50,000. The Secretary shall each fiscal year reserve for the Territories of the United States, 1.5 percent of the amounts appropriated for these purposes.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year it was allotted through the end of the subsequent fiscal year. Payments are made through the Electronic Transfer System.

**Reports:**

Each State must prepare and submit an annual report of program activities for the preceding fiscal year in conjunction with the application for the requested fiscal year's funding. A copy of the State's most recent annual audit report must also be submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

The State's law and practices will govern, subject to guidance and regulations as may be promulgated by the Center for Substance Abuse Treatment, in accordance with the statutory requirements.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 \$1,670,661,450; FY 08 est \$1,670,661,450; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$110,614 to \$252,450,447; \$27,844,358.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that 60 awards will be made in fiscal years 2007 and 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: John J. Campbell, Division of State and Community Assistance, Center for Substance Abuse Treatment, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, 1 Choke Cherry Road, Room 5-1069, Rockville, MD 20857. Telephone: (240) 276-2891. Grants Management Contact: Ms. LouEllen M. Rice, Division of Grants Management, Office of Program Services, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services, 1 Choke Cherry Road Room 7-1091, Rockville, MD 20857. Telephone: (240) 276-1404.

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and Federal regulations and regulatory requirements. For information on statutory and Federal regulations requirements contact John J. Campbell, Division of State and Community Assistance, Center for Substance Abuse Treatment, SAMHSA, 1 Choke Cherry Road, Room 5-1069 Rockville, MD 20857.

**93.962 HEALTH ADMINISTRATION TRAINEESHIPS PROGRAM****FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 769, 42 U.S.C. 295d, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

This program was developed to support eligible students enrolled in accredited graduate programs in health administration, hospital administration, or health policy analysis and planning. Applicants are encouraged to use the traineeships to increase the number of underrepresented minorities in and graduating from the programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds awarded for traineeships are for student support only.

**Applicant Eligibility:**

Eligible applicants are public or nonprofit private educational entities (including graduate schools of social work and business schools that have health management programs and Faith Based and Community Based organizations) that offer a graduate program in health administration, hospital administration or health policy analysis and planning accredited by the Commission on Accreditation of Healthcare Management Education <http://www.cahmeweb.org/>. Applicants must assure that, in providing traineeships, priority will be given to students who demonstrate a commitment to employment with public or nonprofit private entities in health administration and management. Schools of Public Health are not eligible.

**Beneficiary Eligibility:**

The graduate health administration student must be a U.S. citizen, or non-citizen national foreign nationals who possess a visa permitting permanent residence, and enrolled in an accredited program in health administration, hospital administration, or health policy analysis and planning. Student applicants must meet the admission requirements of the graduate program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Health Resources and Services Administration, Grants Management Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

None.

**Renewals:**

These are formula based mandatory grants. At the end of the initial project period, continuation applications may be submitted in the form of a progress report.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Grant periods are for three years.

**Reports:**

An annual progress report is required, as well as a final progress report and final financial status report which must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$11,387 to \$110,457; \$60,922.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Beverly Smith MHS, Center for Public Health of the Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8A-19, Rockville, MD 20857. Telephone: (301) 443-3231.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For traineeships, after staff review, available funds are distributed on a formula basis to approved applicants with programs in health administration, hospital administration, or health policy analysis and planning, accredited by the Commission on Accreditation of Healthcare Management Education



<http://www.cahmeweb.org/>. In making awards of grants under this section, preference will be given to qualified applicants that meet the following conditions: (1) Not less than 25 percent of the graduates of the applicant are engaged in full-time practice settings in medically underserved communities. (2) The applicant recruits and admits students from medically underserved communities. (3) For the purpose of training students, the applicant has established relationships with public and nonprofit providers of health care in the community involved. (4) In training students, the applicant emphasizes employment with public or nonprofit private entities.

### 93.964 PUBLIC HEALTH TRAINEESHIPS

(Public Health Traineeships)

#### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Public Health Service Act, Title VII, Section 769, 42 U.S.C. 294, as amended;  
Health Professions Education Partnerships Act of 1998, Public Law 105-392.

#### OBJECTIVES:

To support traineeships for students in graduate educational programs in accredited schools of public health and to other public or nonprofit private institutions accredited for the provision of graduate or specialized training in Public Health which offer graduate programs for training in Public Health fields with a severe shortage, e.g., (1) Biostatistics; (2) epidemiology; (3) environmental health; (4) toxicology; (5) nutrition; and (6) maternal and child health.

#### TYPES OF ASSISTANCE:

Formula Grants.

#### USES AND USE RESTRICTIONS:

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institution's established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

#### Applicant Eligibility:

Schools and programs of Public Health and other public or nonprofit private educational entities, including faith-based and community-based organizations accredited by the Council on Education for Public Health, and other public or nonprofit private institutions accredited by a body recognized for this purpose by the Secretary of the Department of Education.

#### Beneficiary Eligibility:

(1) Trainees must be United States Citizens or non-citizen nationals and foreign nationals who possess a visa permitting permanent residence in the United States. (2) Trainees must be pursuing a graduate degree in an accredited school of public health or other eligible institution. (3) For grants awarded on the basis of a formula, all trainees must meet the admission requirements specified in the approved grant application and those of the institution.

#### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

#### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

#### Application Procedure:

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

#### Award Procedure:

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

#### Deadlines:

[www.hrsa.gov](http://www.hrsa.gov).

#### Range of Approval/Disapproval Time:

From 3 to 5 months after receipt of applications.

#### Appeals:

None.

#### Renewals:

At the end of the initial project period, competing continuation applications may be submitted for up to three (3) years of support.

#### Formula and Matching Requirements:

Available funds are provided to schools of public health and other eligible accredited applicants on the basis of a formula which considers comparative enrollment of trainees in the applicant's proposal. This program has no matching requirements.

#### Length and Time Phasing of Assistance:

Grant support may be requested for up to 3 years.

#### Reports:

A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureau's web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports. A financial status reports must be submitted within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

#### Account Identification:

75-0350-0-1-550.

#### Obligations:

(Grants) FY 07 \$1,289,740; FY 08 est \$1,258,262; and FY 09 est not available.

#### Range and Average of Financial Assistance:

(2007) \$9,404 to \$182,096; \$57,194 average.

#### PROGRAM ACCOMPLISHMENTS:

In FY 2007 22 awards were made. In FY 2008, it is estimated that 22 continuation awards will be made.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### Regional or Local Office:

David Hanny, Program Officer, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6950 and Email: [dhanny@hrsa.gov](mailto:dhanny@hrsa.gov).

#### Headquarters Office:

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-3524; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

#### Web Site Address:

[www.hrsa.gov](http://www.hrsa.gov).

#### RELATED PROGRAMS:

None.

#### EXAMPLES OF FUNDED PROJECTS:

Support of trainees who are pursuing a graduate course of study in: (1) biostatistics (2) epidemiology; (3) environmental health; (4) nutrition; (5) toxicology; and (6) maternal and child health.

#### CRITERIA FOR SELECTING PROPOSALS:

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

### 93.965 COAL MINERS RESPIRATORY IMPAIRMENT TREATMENT CLINICS AND SERVICES

(Black Lung Clinics)

#### FEDERAL AGENCY:

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### AUTHORIZATION:

Federal Mine Safety and Health Act, Section 427(a); Black Lung Benefits Act; Public Law 95-239.

**OBJECTIVES:**

(1) To develop high quality, patient-oriented, integrated systems of care which assure access to and continuity of appropriate primary, secondary and tertiary care with maximum use of existing resources; (2) to minimize the effects of respiratory and pulmonary impairments in coal miners and others with occupational related respiratory diseases; and (3) to emphasize patient and family member education to maximize the patient's ability for self-care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

USES: Grants may be used for the cost of providing diagnostic and treatment procedures required in the management of black lung and other respiratory impairments in coal miners and others with occupational related respiratory diseases, and costs of equipment and facilities renovation when these costs are demonstrated to be necessary to enable the implementation of services.

RESTRICTIONS: Support is available only in areas where it can be demonstrated that there are significant numbers of active and/or inactive coal miners.

**Applicant Eligibility:**

Any State and/or public or private entity. Federally recognized tribes and tribal organizations are eligible to apply.

**Beneficiary Eligibility:**

Coal workers with respiratory and pulmonary impairments and their families.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agency's Authorized Representative, is the authorizing document.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Assistance will cover operational costs and grantees will generally be expected to begin to deliver services immediately. However, at the discretion of the awarding office, up to 6 months may be allowed for planning and program development.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. The Black Lung Clinics Program Database report is due annually according to specific instructions from the Program Office. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$5,648,496; FY 08 est \$5,600,000; and FY 09 est \$5,600,000.

**Range and Average of Financial Assistance:**

\$115,000 to \$1,200,000. The average award is \$387,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07 15 grantees were funded and it is anticipated that in both FY 08 and FY 09 fifteen clinics will be funded to serve victims of black lung disease.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: 301-443-3288.

**Web Site Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

17.307, Coal Mine Workers' Compensation; 93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.773, Medicare\_Hospital Insurance; 93.774, Medicare\_Supplementary Medical Insurance; 93.778, Medical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) A statewide program of Black Lung Clinics as part of community primary care centers with coordination and assistance from the State health department; (2) an area-wide system of clinical and educational services in a rural area for Black Lung victims administered by a secondary referral hospital through linkage arrangements with other provider agencies; and (3) a respiratory clinic operated by a nonprofit community organization to serve Black Lung victims in a county. Primary care services can be provided by private practitioners and community clinics through referral agreements.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must: (1) Serve a significant number of coal workers with pulmonary impairment without regard for their ability to pay; (2) maximize use of existing resources; (3) assure high quality treatment services and management; (4) assure that enrolled clients will receive education and training in the management of their health care; (5) establish agreements with all levels of care providers to assure continuity of care; (6) provide a coordinator of patient care who will assure the implementation of a patient care plan for each enrollee; and (7) coordinate with other similar projects to assure access to those who need services without duplication of effort.

## 93.969 GERIATRIC EDUCATION CENTERS

(GEC's)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 753(a), as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Grants are given to support the development of collaborative arrangements involving several health professions schools and health care facilities. Geriatric Education Centers provide training of health professional faculty, students, and practitioners in the diagnosis, treatment and prevention of disease, disability, and other health problems of the elderly. Health professionals include allopathic physicians, osteopathic physicians, dentists, optometrists, podiatrists, pharmacists, nurse practitioners, physician assistants, chiropractors, clinical

psychologists, health administrators, and other allied health professionals. Projects supported under these grants must offer training involving four or more health professions, one of which must be allopathic or osteopathic medicine, and must address all of the following statutory purposes: (a) improve the training of health professionals in geriatrics; (b) develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; (c) support training and retraining of faculty to provide instruction in geriatrics; (d) support continuing education of health professionals who provide geriatric care; and (e) provide students with clinical training in geriatrics in nursing homes, chronic and acute disease hospitals, ambulatory care centers, and senior centers.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may not be used for trainee costs, the construction of buildings or the acquisition of land.

**Applicant Eligibility:**

Grants may be made to accredited health professions schools as defined by Section 799B(1) of the Public Health Service Act, or programs for the training of physicians assistants as defined by Section 799B(3), or schools of allied health as defined in Section 799B(4), or schools of nursing as defined by Section 801(2).

**Beneficiary Eligibility:**

Professional schools, faculty of institutions of higher education, and health practitioners.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 3 to 4 months from receipt of application.

**Appeals:**

None.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are for three years.

**Reports:**

The Uniform Progress Report (UPR) and Comprehensive Performance Management System (CPMS) Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$18,515,228; FY 08 \$16,289,601; and FY 09 est. \$16,083,587.

**Range and Average of Financial Assistance:**

FY 07: \$200,000 to \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

In FY 07, 48 new awards were made. In FY 08 48 non-competing continuation awards were made. In FY 09 48 non-competing continuation awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

Nancy Douglas-Kersellius, Division of Nursing, Health Resources and Services Administration, Parklawn Building, Room 8C-26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by and Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; and (6) Support Requested.

**93.970 HEALTH PROFESSIONS RECRUITMENT PROGRAM FOR INDIANS**

(Recruitment Program)

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Improvement Act, Title I, Sections 102, 112, 114, and 122, Public Law 94-437, as amended, Public Laws 96-537, 100-713, and 102-573.

**OBJECTIVES:**

(1) To identify American Indians and Alaska Natives with a potential for education or training in the health professions, and to encourage and assist them to enroll in health or allied health professional schools; (2) to increase the number of nurses, nurse midwives, nurse practitioners and nurse anesthetists who deliver health care services to American Indians and Alaska Natives; and (3) to place health professional residents for short-term assignments at Indian Health Service (IHS) facilities as a recruitment aid.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

**Applicant Eligibility:**

Public or private nonprofit health or educational entities or Indian tribes or tribal organizations as specifically provided in legislative authority.

**Beneficiary Eligibility:**

Preference is given to applicants in the following order of priority: (1) Indian tribes; (2) tribal organizations; (3) urban Indian organizations and other Indian health organizations; or (4) other public or nonprofit health or educational entities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs for other institutions will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to



us. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

Within 90 days of IHS deadline.

**Appeals:**

None.

**Renewals:**

Continuation applications must be submitted annually. Continued funding is subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System (PMS) or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds.

**Reports:**

Projects must have data systems to support administration and evaluation of the project. The funding agency will provide forms for the uniform reporting of data on case management, fiscal management and project activities, in accordance with 45 CFR, Part 92 or OMB Circular No. A-110, depending on the type of grantee organization.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$0; FY 08 \$0; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

\$300,000 to \$500,000; \$224,600.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, 11 continuing projects were awarded. In fiscal years 2006 and 2007, 11 continuing projects are expected to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.310 - 36.319. Final rules and regulations, the Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; and Public Law 102-573, enacted October 29, 1992; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

For Health Professions Recruitment and Health Resident Recruitment Contact: Mr. Darrell Pratt, Leader, Health Professions Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-5710. For Nursing Recruitment Contact: Ms. Sandra Haldane, Director, Division of Nursing Services, Indian Health Service, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-1026. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) The University of North Dakota recruited Indians into its medical and health care programs; and (2) the Arizona State University recruited students for

nursing careers, and provided scholarship support through the grant.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Potential effectiveness of the proposed project in carrying out such purposes, (2) the demonstrated capability of the applicants to successfully conduct this type of project, (3) accessibility of the applicant to the target population, (4) relationship of project objectives and known or anticipated Indian health manpower objectives, (5) soundness of the fiscal plan, (6) cost reasonableness, and (7) completeness of the application.

**93.971 HEALTH PROFESSIONS PREPARATORY SCHOLARSHIP PROGRAM FOR INDIANS**

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437, as amended.

**OBJECTIVES:**

To make scholarships to American Indians and Alaska Natives for the purpose of completing compensatory pre-professional education to enable the recipient to qualify for enrollment or re-enrollment in a health professions school or curriculum.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Awards are limited to a maximum of 2 years of full-time scholarship support under this section of the Indian Health Care Improvement Act.

**Applicant Eligibility:**

Scholarship awards are made to individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency and who have been accepted for enrollment in a compensatory, pre-professional general education course or curriculum.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

**Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility verification from the college advisor that the courses or curriculum to be taken are required to meet the applicant's deficiency and compensatory needs at the professional level and represent the number of credit hours which the school considers as full-time or at least 6 credit hours per semester for part-time.

**Preapplication Coordination:**

Preapplication is not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and instructions are provided by the Indian Health Service (IHS) Scholarship Program acting through the IHS Area Program Offices. Application forms and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) should be submitted to IHS Headquarters for review and approval/disapproval.

**Award Procedure:**

Payments for stipends and books are made directly to the individual applicant. Tuition payments and fees are made to the college or university, upon receipt of an invoice.

**Deadlines:**

Contact IHS Area offices for application deadlines. New applications are usually available to interested individuals in February with a submission deadline of April 1.

**Range of Approval/Disapproval Time:**

Applicants are notified by July 31.

**Appeals:**

None.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly, for 10 months or for the academic period if students attend summer school. Amount for books and other necessary expenses are provided to student.

**Reports:**

Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial progress reports on forms supplied by IHS and notifications of problems/changes.

**Audits:**

Not applicable.

**Records:**

Indian Health Service Scholarship Branch, IHS, maintains records on all students. Records are maintained for 4 years after the final award payment has been made.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$2,519,107; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$17,500 to \$26,019; \$17,366.

**PROGRAM ACCOMPLISHMENTS:**

It is estimated that 98 continuation scholarship awards will be funded in fiscal years 2007.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.320 - 36.324. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 94-437, published in the Federal Register on November 18, 1977.

**Regional or Local Office:**

See Appendix IV of the Catalog for Indian Health Service Area Offices.

**Headquarters Office:**

Program Contact: Ms. Patricia Lee-McCoy, Scholarship Branch, Division of Health Professions Support, 801 Thompson Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197. Grants Contact: Ms. Lois Hodge, Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-0243. Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2005, continuing scholarship recipients will be funded in the pre-professional categories of pre-nursing, pre-medical technology, pre-physical therapy, pre-engineering, pre-sanitation, and pre-pharmacy only.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant must be American Indian or Alaska Native. Other elements considered are: (1) Academic performance; (2) faculty recommendation; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions are taken under consideration.

## 93.972 HEALTH PROFESSIONS SCHOLARSHIP PROGRAM

**FEDERAL AGENCY:**

INDIAN HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Indian Health Care Amendments of 1988, Section 104.

**OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives at health professions schools in order to obtain health professionals to serve Indians. Upon completion, scholarship recipients are obligated to serve in the Indian Health Service or an Indian health organization for each year of support with a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Scholarships support students who pursue full-time or part-time courses of study in health professions needed by the Indian Health Service (IHS). Disciplines have included allopathic and osteopathic medicine, dentistry, nursing (baccalaureate and graduate), public health nutrition (graduate), medical social work (graduate), speech pathology/audiology (graduate), optometry, pharmacology and health care administration. Not all disciplines participate each year. Scholarships may not be awarded to students who have conflicting service obligations after graduation or who are not enrolled members of Federally-recognized tribes. Recipients are required to perform 1 year of obligated service for each year of scholarship support, with a minimum obligation of 2 years in the Indian Health Service, or in a program conducted under a contract entered into under the Indian Self-Determination Act; or in an Indian health organization assisted under Title V of the Indian Health Care Improvement Act; or in private practice in a Health Manpower Shortage Area which addresses the health care needs of a substantial number of Indians. Deferment for internship, residency, or other advanced clinical training for medical, osteopathy, and dental students is generally not to exceed 3 years, consistent with the specialty needs of the IHS. Currently, 4-year deferments may be granted for obstetrics- gynecology and psychiatry residencies.

**Applicant Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of a Federally-recognized tribe are eligible. Applicants for new awards: (1) must be accepted by an accredited U.S. educational institution for a full-time or part-time

course of study leading to a degree in medicine, osteopathy, dentistry, or other participating health profession which is deemed necessary by the Indian Health Service; (2) be eligible for or hold an appointment as a Commissioned Officer in the Regular or Reserve Corps of the Public Health Service; or (3) be eligible for civil service in the Indian Health Service.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of Federally-recognized tribe; full-time students of medicine or other health professions; prospective or currently Commissioned Officers in the Regular or Reserve Corps of the Public Health Service; and eligible civilians of the Indian Health Service.

**Credentials/Documentation:**

Students claiming Indian priority must submit proper certification and documentation as specified in the application. All applicants must provide transcripts of their latest academic work. All incoming freshmen are to provide copies of acceptance letters for enrollment in school.

**Preapplication Coordination:**

Preapplication coordination is not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and instructions are provided by the Indian Health Service Scholarship Program, acting through the IHS Area offices.

**Award Procedure:**

Priority will be given to applicants who are prior recipients. Special consideration is given to junior and senior level students whose specialty plans are in primary care fields. Criteria which determine competitive ranking awards may include: (1) work experience, preferably health-related in communities of health care need; (2) personal background from a community of health care need; (3) career goals of primary care practice in service to Indians; and, (4) academic performance. Student financial need does not affect selection.

**Deadlines:**

Contact IHS Area offices for application deadlines. New applications are available to interested individuals usually in February with a submission deadline of April 1.

**Range of Approval/Disapproval Time:**

Applicants notified by July 31.

**Appeals:**

None.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Tuition payments and fees are paid upon receipt of invoices from the universities. Stipend payments are paid monthly for the 12-month academic period. An amount for books and other necessary expenses is provided to the student. Maximum length of funding is a total of 4 years.

**Reports:**

Students are required to submit of their official transcripts as they are received. In addition, recipients must submit initial and mid-term progress reports on forms supplied by IHS. Annual reports are required from schools indicating average student educational expense.

**Audits:**

Not applicable.

**Records:**

The Indian Health Service Scholarship Program, maintains records for 7 years following completion of obligated service or other disposition of the scholarship obligation.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Grants) FY 07 \$9,603,857; FY 08 \$9,603,857; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$24,128 to \$38,222; \$24,694.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2006, approximately 78 new and 196 continuing scholarships were awarded. Approximately the same number of awards will be funded in fiscal years 2007 and 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.330-36.334. Final rules and regulations, the Indian Health Care Improvement Act, Public Law 94-437, published in the Federal Register on November 18, 1977.

**Regional or Local Office:**

See Appendix IV of the Catalog for Indian Health Service Area Program Offices.

**Headquarters Office:**

Program Contact: Ms. Pat Lee-McCoy, IHS Scholarship Program, Division of Health Professions Support, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-6197. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management

Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204.

Use the same numbers for FTS.

**Web Site Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

93.288, National Health Service Corps Scholarship Program.

**EXAMPLES OF FUNDED PROJECTS:**

In fiscal year 2005, there were 274 scholarships awarded to students in the following categories: nursing, medicine, medical technology, health administration, x-ray technology, optometry, dentistry, pharmacy, dental hygiene, dietetics, masters of public health, health education, chemical dependency counseling, health records, engineering, physician assistant, sanitation, and physical therapy.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Academic performance; (2) faculty recommendations; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions.

## 93.974 FAMILY PLANNING-SERVICE DELIVERY IMPROVEMENT RESEARCH GRANTS

(SDI)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended, Title X, Section 1004, 42 U.S.C. 300a-2; Family Planning Services and Population Research Act of 1970, Section 6(c); Public Law 91-572; 84 Stat. 1507, as amended; Family Planning and Population Research Act of 1975, Title II, Section 202(c); Public Law 94-63; 89 Stat. 306; Appropriation Act of 1991, Public Law 101-517.

**OBJECTIVES:**

To promote service delivery improvement through research studies and application of knowledge.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded to develop research studies for the improvement of family planning services delivery of projects funded under Title X, Section 1001 of the Public Health Service Act. Funds may not be used in programs where abortion is a method of family planning.

**Applicant Eligibility:**

Any public entity (city, county, local, regional, or State government) or private nonprofit entity located in a State (including the District of Columbia, Puerto Rico, the Commonwealth of the Northern Marianas Islands, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of Marshall Islands and the Republic of Palau) is eligible to apply for a grant under this subpart.

**Beneficiary Eligibility:**

All levels of government and nonprofit entities responsible for the efficient and effective delivery of family planning services; providers and recipients of family planning services; and the general public.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following cost principles: OMB Circular No. A-21, for educational institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application Form PHS-398 (Rev. May 1995) for research grants should be submitted. The standard application forms, as furnished by PHS and required by 45 CFR, Part 74, (for institutions of higher education, hospitals and other nonprofit organizations), and 45 CFR, Part 92 (for state and local governments), must be used for this program. This program is subject to the provisions of 45 CFR, Part 74, and 45 CFR, Part 92, as well as OMB Circular No. A-102 (administrative guidelines and standards for states and local governments), and OMB Circular No. A-110 (administrative guidelines and standards for institutions of higher education, hospitals, and other non-profit organizations).

**Award Procedure:**

The Deputy Assistant Secretary for Population Affairs makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished statements of award for all projects approved.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

From 150 to 180 days.

**Appeals:**

None.

**Renewals:**

Projects are renewed, as required, based on submission of an application, including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Grants may be approved for a budget period not to exceed 12 months.

**Reports:**

Expenditure report on annual basis. Progress report is to be submitted with continuation application. Special reports are required as requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$5,456,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$150,000 to \$550,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Susan Moskosky, Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240)453-2888. Grants Management Contact: Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853. Telephone: (240) 453-8822.

**Web Site Address:**

<http://www.opa.osophs.dhhs.gov> .

**RELATED PROGRAMS:**

93.217, Family Planning\_Services; 93.260, Family Planning\_Personnel Training.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Studies of factors influencing women to discontinue attending family planning clinics; (2) studies of particular family planning needs of underserved subgroups of low income women; and (3) studies to tailor family planning services to the needs of teens.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific merit and significance; competency of project staff; feasibility, reasonableness of proposed budget period relative to proposed research; adequacy of applicant's resources; amount of support required; adequacy of methodology; adequacy of the means for protecting against adverse effects upon humans, animals, or the environment (when applicable).

## 93.977 PREVENTIVE HEALTH SERVICES-SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**



Public Health Service Act, as amended, Section 318a, Disease Control Amendments of 1972, Public Law 92-449; Disease Control Amendments of 1976, Public Law 94-217; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 1988, Public Law 100-202.

**OBJECTIVES:**

To reduce morbidity and mortality by preventing cases and complications of sexually transmitted diseases (STD). Project grants under Section 318c awarded to State and local health departments emphasize the development and implementation of nationally uniform prevention and control programs which focus on disease intervention activities designed to reduce the incidence of these diseases, with applied research, demonstration, and public and professional education activities supporting these basic program activities authorized under Section 318b of the Public Health Service Act.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) Sexually-transmitted disease (STD) surveillance activities, including reporting, screening, and follow-up of diagnostic tests for, and diagnosed cases of, STD; (2) STD case finding and case follow-up activities, including notification of sex partners to infectious cases of STD and follow-up systems; (3) interstate epidemiological referral and follow-up activities; (4) program-specific professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities as authorized under section 318(b) of the PHS Act; (5) program-specific STD education and information activities as authorized under Section 318b of the PHS Act; (6) special studies or demonstrations to evaluate or test STD prevention activities; and (7) control strategies and activities as may be prescribed by the Secretary. Grant funds may not be used for: (1) Supplanting funds supporting existing STD control services provided by a State or locality; or (2) unless specifically approved for that purpose, grant funds shall not be used for performing diagnostic tests (other than gonorrhea screening tests), maintaining central registries, providing diagnostic and treatment facilities and services, or purchasing automated data processing equipment.

**Applicant Eligibility:**

Any State, and, in consultation with the appropriate State Health Authority, any political subdivision of a State, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State or authorized subdivision including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Pre-application coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Telephone: (770) 488-2720. This program is subject to the provisions of 45 CFR, 92. The standard application forms, as furnished by PHS and required by 45 CFR, 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements. Although there are no specific matching requirements, applicants must assume part of the project costs.

**Length and Time Phasing of Assistance:**

Project period: From one to five years; budget period: 12 months.

**Reports:**

Bi-annual and annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants/Cooperative Agreements)FY 07 \$106,670,759; FY 08 est \$104,700,730; and FY 09 est \$107,899,583.

**Range and Average of Financial Assistance:**

\$44,000 to \$6,710,000; \$742,930.

**PROGRAM ACCOMPLISHMENTS:**

Approximately 432,800 persons with a reactive test for syphilis received health department follow-up. Of those, 50,700 were previously unknown infections and were treated. Outreach activities resulted in the examination of epidemiologically linked individuals; 19,600 new cases detected and treated, 43,200 patients preventively treated and 5,100,000 culture specimens were obtained from women in gonorrhea screening programs, some 188,200 (3.7 percent) were positive for gonorrhea of which 152,100 were located and received treatment. These gonorrhea screening and other outreach efforts resulted in the prevention of an estimated 97,300 new cases of gonorrhea. All project areas have established hospital based surveillance efforts for pelvic inflammatory disease (PID). Forty-four States have established at least one city or county STD program that offers comprehensive surveillance, diagnostic, testing, and treatment services for chlamydia. Outreach activities for chlamydia resulted in 50,700 interviews, 44,500 epidemiologically-linked patients treated and an estimated 53,700 additional cases of chlamydia prevented. A total of 65 applications were reviewed and funded in fiscal year 2007. A similar level of effort will continue in fiscal years 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Dr. John Douglas, Director, Division of STD Prevention, National Center for HIV/AIDS, Viral Hepatitis, STD, and TB Prevention, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E-02, Atlanta, GA 30333. Telephone: (404) 639-8260. Fax: (404) 639-8609. Grants Management Contact: Cheryl Pressley, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (404) 639-8164.

**Web Site Address:**

<http://www.cdc.gov/std/>

**RELATED PROGRAMS:**

93.217, Family Planning\_Services; 93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.260, Family Planning\_Personnel Training; 93.283, Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.855, Allergy, Immunology and Transplantation Research; 93.856, Microbiology and Infectious Diseases Research; 93.865, Child Health and Human Development Extramural Research; 93.978, Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants.

**EXAMPLES OF FUNDED PROJECTS:**

The majority of official State Health Departments (California, Michigan, Texas)

and many large local health departments (New York, Chicago, Los Angeles), have ongoing disease control programs utilizing these grants. Sexually transmitted disease project funds supplement the detection and prevention components of the STD control efforts of State and local government agencies. Activities include reporting, screening, case finding and case follow-up activities, interstate epidemiologic referral, and education activities. The provision of diagnostic/treatment services for STD are not normally supported by project funds and are considered the responsibility of the grantee organization.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the magnitude of the problem, the establishment of specific and measurable objectives to address the problem, and the development of a sound operational plan which will ensure the implementation of each program element.

**93.978 PREVENTIVE HEALTH SERVICES-SEXUALLY TRANSMITTED DISEASES RESEARCH, DEMONSTRATIONS, AND PUBLIC INFORMATION AND EDUCATION GRANTS**

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 318b, 42 U.S.C. 247c, as amended; Disease Control Amendments of 1972, Public Law 92-449; Disease Control Amendments of 1976, Public Law 94-317; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 1988, Public Law 100-202.

**OBJECTIVES:**

To develop, improve, apply, and evaluate methods for the prevention and control of gonorrhea, chlamydia, syphilis, and other sexually-transmitted diseases (STD) through demonstrations and applied research; to develop, improve, apply, and evaluate methods and strategies for public information and education about syphilis, gonorrhea, chlamydia and other STD, and to support professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) The costs associated with planning, organizing, and conducting applied research, demonstrations, and education programs; (2) professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities; and (3) to reimburse individuals asked to be participants in the applied research. Such reimbursements must be submitted for specific approval. Grant funds may not be used for supplanting funds supporting existing STD control services provided by a State or locality. Proposals for applied research involving human subjects must follow current Public Health Service (PHS) and Centers for Disease Control and Prevention (CDC) guidelines on human experimentation.

**Applicant Eligibility:**

Any State, political subdivisions of States, and any other public or private nonprofit institutions including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State, political subdivisions of States, and any other public or private nonprofit institutions including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with 45 CFR, Part 74, Subpart Q.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local

governments and by 45 CFR 74 for nongovernmental applicants. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCIPC in accordance with the review criteria listed above. As part of the initial merit review, all applications may: 1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; 2) receive a written critique; and 3) receive a second level review by the Science and Program Review Subcommittee (SPRS) of the Advisory Committee for Injury Prevention and Control (ACIPC). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From three to four months.

**Appeals:**

None.

**Renewals:**

Same as in Application Procedure.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project period: From one to five years; budget period: 12 months.

**Reports:**

Quarterly and annual performance reports are required. Financial status reports are required no later than 90 days after the end of each specified reporting period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) FY 07 \$5,727,536; FY 08 est \$4,685,883; and FY 09 est \$4,810,883.

**Range and Average of Financial Assistance:**

\$288,422 to \$575,096; \$492,713.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2001, funds supported grants for the following activities: demonstration projects to develop alternative service modes for STD diagnosis and treatment and to develop innovative methods for syphilis control, applied research projects supporting research into treatment, complication and outcome of congenital syphilis, development of treatment and control strategies for chlamydia, development of diagnostic test evaluations for genital warts; development of control programs for human papilloma virus, behavioral research into barriers to condom usage in high-risk populations and a public and professional educational initiative to support a clinic based prevention project among high-risk ethnic groups. In fiscal year 2001, 10 grants were awarded to support STD/HIV Prevention Training Centers. It is estimated that 10 awards will be made in fiscal year 2002 and 10 awards will be made in fiscal year 2003.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b.

Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. John Douglas, Director, Division of STD Prevention, National Center for HIV/AIDS, Viral Hepatitis, STD, and TB Prevention, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E-02, Atlanta, GA 30333. Telephone: (404) 639-8260. Fax: (404) 639-8609. Grants Management Contact: Cheryl Pressley, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (404) 639-8164.

**Web Site Address:**

<http://www.cdc.gov/std/>.

**RELATED PROGRAMS:**

93.217, Family Planning\_Services; 93.224, Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.246, Health Centers Grants for Migrant and Seasonal Farmworkers; 93.260, Family Planning\_Personnel Training; 93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.855, Allergy, Immunology and Transplantation Research; 93.856, Microbiology and Infectious Diseases Research; 93.865, Child Health and Human Development Extramural Research; 93.977, Preventive Health Services\_Sexually Transmitted Diseases Control Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Funded projects include: (1) Barriers to condom usage among high-risk populations; (2) Innovative methods in syphilis control; (3) a study of the natural history of Genital Human Papilloma virus; and (4) the development of diagnostic tests for genital warts.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the need for the proposal and its potential benefit(s) to STD control; possible effects upon local STD control programs; consistency with national program goals; specific and measurable objectives; a workable and meaningful plan for evaluation; and a sound operational plan that ensures the proposal can be carried out to reach stated objectives.

## 93.982 MENTAL HEALTH DISASTER ASSISTANCE AND EMERGENCY MENTAL HEALTH

(Mental Health Disaster Assistance)

**FEDERAL AGENCY:**

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES  
ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 416, Public Law 100-707.

**OBJECTIVES:**

To provide supplemental emergency mental health counseling to individuals affected by major disasters, including the training of workers to provide such counseling.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Provides funds for staff, travel, consultants and other expenses incident to the provision of mental health counseling to and referral of individuals in a disaster area. Funds may not be used for long-term treatment.

**Applicant Eligibility:**

Applicants may be State or local nonprofit agencies as recommended by the State Governor and accepted by the Secretary.

**Beneficiary Eligibility:**

Individuals who were victims of major disasters.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. Application form (PHS 5161-1) is submitted by the State Coordinating Officer to the Regional Director, Federal Emergency Management Agency, no later than 60 days following declaration of a disaster. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed by an objective review committee and recommended for approval or disapproval. Final determination for an award is made by Federal Emergency Management Agency.

**Deadlines:**

Not later than 60 days following a major disaster declaration by the President of the United States.

**Range of Approval/Disapproval Time:**

About 30 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Assistance may be for 9 months with a possible extension of up to 90 days as approved by FEMA Regional Director.

**Reports:**

Quarterly progress reports with final progress report within 90 days after termination. Interim financial status report due within 120 days after start date and final due 90 days after termination.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

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

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Grants) FY 07 \$64,311,860; FY 08 \$ est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$64,311,860 to \$0; \$0.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 15 awards were made. It is estimated that 0 awards will be made for fiscal year 2008 and 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 44 CFR 205. Guidelines available in application kit. Disaster Assistance and Emergency Mental Health, DHHS Publication No. (ADM) 76-327. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

Contact the Regional Director, Federal Emergency Management Agency in the appropriate regional office. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Program Contact: Paul Brounstein (240) 276-1839, Branch Chief, Emergency Mental Health Services, Substance Abuse and Mental Health Services Administration, Department of Health and Human Services. Grants Management Contact: Gwendolyn Simpson, Grants Management Team Leader, SAMHSA, Department of Health and Human Services, 1 Choke Cherry Road, Rockville, MD 20857. Telephone: (240) 276-1408.

**Web Site Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Services provided to victims of Federally declared disasters.

**CRITERIA FOR SELECTING PROPOSALS:**

Presidential declaration of the disaster area. Justified need for supplementary services.

## 93.988 COOPERATIVE AGREEMENTS FOR STATE-BASED DIABETES CONTROL PROGRAMS AND EVALUATION OF SURVEILLANCE SYSTEMS

(DCP's)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Section 301(a) and Section 317(k)(3), 42 U.S.C. 247b, as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public



**OBJECTIVES:**

Provide resources to state health departments to: 1) Determine the size and nature of diabetes-related problems and why they exist; 2) develop and evaluate new strategies for diabetes prevention; 3) establish partnerships to prevent diabetes problems; 4) increase awareness of diabetes prevention and control opportunities among the public, the health care and business communities, and people with diabetes; 5) improve access to quality care in order to prevent, detect and treat diabetes complications; 6) emphasize prevention of complications and premature mortality among people with diabetes; and 7) utilize a model of influence by linking new programs and existing programs that support social and environmental policies for the promotion of wellness in both people with diabetes and those at risk for diabetes.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used for costs associated with planning, implementing, and evaluating State based diabetes control programs. Cooperative Agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

State health agencies will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

**Preapplication Coordination:**

Preapplication coordination is not required. Applications are subject to the review requirements of the National Health Planning and Resources Development Act of 1974 as amended by the Health Planning and Resources Development Act of 1979. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact Headquarters Office for applications deadline.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

Funds for a Capacity Building Diabetes Control Programs have a matching requirement; matching funds must be from nonfederal sources in an amount not less than \$1 for every \$5 of Federal funds awarded and \$1 for every \$4 of Federal Funds awarded for each Basic Implementation Diabetes Control Program Award.

**Length and Time Phasing of Assistance:**

For 5 years. Budget period: Approximately 12 months.

**Reports:**

Progress reports are required annually. A plan of action is required annually. Special studies will require protocols, subject to approval. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal

awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Grants) Financial Assistance: FY FY 07 \$29,858,629 DA \$ est not available; FY 08 est FA \$29,858,629, DA \$ est not available; and FY 09 est 29,828,106.

**Range and Average of Financial Assistance:**

Capacity Building Programs: \$75,000 to \$350,000; \$250,000. Basic Implementation Programs: \$300,000 to \$800,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal year 2003 CDC announced the availability of funds to continue the diabetes program for a five year funding period till 2008. This announcement will continue to emphasize prevention and complications and premature mortality among people with diabetes. Program will continue to incorporate a model of influence by linking new programs and existing programs that support social and environmental policies for the promotion of wellness in both people with diabetes and those at risk for diabetes. Awards were made in two categories: Capacity Building (Core) and Basic Implementation (Comprehensive) Presently there will be 31 Capacity Building and 28 Basic Implementation. It is anticipated that with future funds CDC expects to continue funding the state-based diabetes prevention and control programs for another five-year budget cycle.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations, but guidelines are available. HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to cooperative agreements.

**Regional or Local Office:**

Program Contact: Mr. Russ Sniegowski, Acting Chief, Program Development Branch, Division of Diabetes Translation, National Center for Chronic Disease Prevention and Health Promotion, Centers of Health and Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: (770) 488-5033. Grants Management Contact: Nealeen Austin, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488- 2722.

**Headquarters Office:**

Program Contact: Mr. Russ Sniegowski, Division of Diabetes Translation, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: (770) 488-5033. Grants Management Contact: Nealeen Austin, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Public Health Service, Department of 2929 Brandywine Road, Atlanta, GA 30341 Telephone: (770) 488-2722.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283, Centers for Disease Control and Prevention\_ Investigations and Technical Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

All funded projects are State-Based Diabetes Control Programs. Each State/Territory-Based Diabetes Control Program works to integrate diabetes prevention and control activities into existing and evolving health care systems. Examples of funded activities included in State DCP projects includes; (1) Media campaigns, (2) community based projects aimed at high risk populations, (3) partnerships with managed care organizations implementing quality of care standards, (4) Quality Improvement projects to insure the use of standards of care, and (5) utilization of school networks to implement diabetes education programs targeting children.

**CRITERIA FOR SELECTING PROPOSALS:**

For Capacity Building Programs: (1) The consistency of the work plan with the stated morbidity reduction purpose of the cooperative agreement. (2) The quality of the applicant's plans for the integration of the diabetes program elements into the health care delivery system at the community level. (3) The quality of the applicant's plans to develop and maintain the capacity to identify high-risk populations, define needs, and plan future program development. (4) The ability of the applicant to identify staff for the program who are capable and trained to carry out the required tasks. (5) The extent to which the budget is reasonable, consistent with the intended use of cooperative agreement funds, and includes evidence of the State's commitment to the program by matching financial and/or

in-kind contributions from nonfederal sources to activities of the proposed program. For Basic Implementation Programs: (1) Documented need and demonstrated capacity and infrastructure; (2) time-framed and measurable objectives; (3) feasibility; appropriateness, and specificity of objectives; (4) quality of evaluation plan; (5) quality of plan for statewide implementation; and (6) quality of management plan.

## 93.989 INTERNATIONAL RESEARCH AND RESEARCH TRAINING

(International Research)

### FEDERAL AGENCY:

NATIONAL INSTITUTES OF HEALTH, DEPARTMENT OF HEALTH AND HUMAN SERVICES

### AUTHORIZATION:

Public Health Service Act, Sections 301 and 405, as amended; 42 U.S.C. 241 and 284.

### OBJECTIVES:

The John E. Fogarty International Center (FIC) supports research and research training to reduce disparities in global health and to foster partnerships between U.S. scientists and their counterparts abroad. FIC supports basic biological, behavioral, and social science research, as well as related research training. The research portfolio is divided into several programs that support a wide variety of funding mechanisms to meet programmatic objectives.

### TYPES OF ASSISTANCE:

Project Grants; Training.

### USES AND USE RESTRICTIONS:

Grants and Research Training Grants provide funds for salaries, equipment, supplies, travel, tuition, and other expenses associated with research training and scientific investigation concerning global health issues. These grants are awarded to universities; colleges; medical, nursing and dental schools; hospitals; and other non-profit and for-profit institutions. Awards include grants, cooperative agreements, international research training grants, and career development awards.

### Applicant Eligibility:

In general, universities, colleges, hospitals, laboratories, Federal institutions and other public or private non-profit and for-profit domestic and foreign institutions, and State and local units of government are eligible to submit applications for research grants, research training grants, cooperative agreements, and career development awards. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. The eligibility requirements may differ amongst FIC programs, based on the eligibility section found in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/funding/index.htm>.

### Beneficiary Eligibility:

Any non-profit or for-profit organization, company or institution engaged in health and biomedical research.

### Credentials/Documentation:

Applications for research grants must present the objectives, methodology, and resources for the specific research project, and must demonstrate the applicant's competence and interest. For training grants, the applicant's academic record, research experience, and the proposed area and plan of training must be included in the application. The applicant institution must present the objectives, training program, and resources for the research-training program, the research qualifications and experience of directing staff in training students (the criteria to be used in selecting individuals for awards), a detailed budget, and justification for the amount of grants funds requested. Costs will be determined in accordance with OMB Circular A-21 - Cost Principles for Educational Institutions, Circular A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, OMB Circular A-122 for Nonprofit Organizations, Circular A-102 - Grants and Cooperative Agreements with State and Local Governments, and Circular A-87, Cost Principles for State, Local and Indian Tribal Governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other than State and local government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q.

### Preapplication Coordination:

Not applicable. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Detailed instructions for submitting applications to our programs are provided in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/funding/index.htm>.

### Award Procedure:

Applications are reviewed initially for scientific and technical merit. This is followed by a second level review by the FIC Advisory Board.

### Deadlines:

An application deadline date will appear in the RFA or PA for each competition.

The RFAs and PAs can be found at: <http://www.fic.nih.gov/funding/index.htm>.

### Range of Approval/Disapproval Time:

Grants: From six to nine months.

### Appeals:

A Principal Investigator (PI) may question the substantive or procedural aspects of the initial scientific review of his or her application by communicating with FIC staff.

### Renewals:

Non-competing renewal applications may be made for all multi-year awards.

Applicants must submit their request on form PHS 2590 two months before the end of the last budget period. Competing renewal applications may be submitted only if allowed in the RFA or PA.

### Formula and Matching Requirements:

This Program has no statutory formula or matching requirements.

### Length and Time Phasing of Assistance:

Approval of a project includes determination of support for the authorized project period (not to exceed five years). Awards to support the project are made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved project period. Funds are disbursed via the PMS Electronic Transfer System for domestic grantees, and by U.S. Treasury Check or Direct Deposit for foreign grantees. Loan Repayment Program Awards are for two years with the opportunity for renewal.

### Reports:

The grantee is responsible for annual progress reports. These reports are required for program analysis as part of all continuation applications. In addition, a final report must be filed within 90 days of the termination of the grant. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the significant results; and a list of publications resulting from the projects. For most projects, a financial status report must be filed 90 days after each competitive segment. Reports must be provided to FIC staff in accordance with the CFR Title 42 Part 52 - Grants for Research Projects and the CFR Title 45 Part 74 - Uniform Administrative Requirements for grants and cooperative agreements.

### Audits:

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," non-Federal entities that receive \$500,000 or more per year in Federal awards will have a single or a program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 per year in Federal awards are exempt from these audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Loan Repayment Program awards will be audited prior to the end of the contract, or as needed.

### Records:

Expenditures and other financial records must be retained for three years from the day on which the grantee submits the last expenditure report for the report period.

### Account Identification:

75-0819-0-1-552.

### Obligations:

(Grants, Cooperative Agreements, and Career Awards) FY 07 \$50,033,000; FY 08 est \$50,100,000; and FY 09 not reported.

### Range and Average of Financial Assistance:

Range and Average of Financial Assistance: Recipients of FIC regular research grants, education project grants, and international training grants receive from \$100,000 to \$1,300,000. Recipients of FIC Career Development Awards receive from \$50,000 to \$150,000. Recipients of FIC Cooperative Agreements may receive from \$300,000 to \$700,000. Recipients of FIRCA small grant awards receive from \$30,000 to \$45,000.

### PROGRAM ACCOMPLISHMENTS:

AIDS International Training and Research Program: In FY 2007, 27 awards were made. In FY 2008, 26 awards are expected to be made. Brain Disorders in the Developing World: In FY 2007, 2 awards were made. FIC expects to fund 4 awards in FY 2008. Collaborative Trauma and Injury Research Training Program: 12 awards were made in FY 2007. In FY 2008, FIC expects to make 12 awards. Ecology of Infectious Diseases Program: In FY 2007, five awards were made. Three awards are expected to be made in FY 2008. Fogarty International Clinical Research Scholars Resource and Support Center: This award was made for the first time FY 2007. One award was made in FY 2007 and one award is expected to be made in FY 2008. Fogarty International Research Collaboration Award: In FY 2007, 100 awards were made. In FY 2008, FIC expects to make 100 awards. Framework Programs for Global Health: In FY 2007, 22 awards were made. FIC expects to make seven awards in FY 2008. Global Health Research Initiative Program for New Foreign Investigators: 47 awards were made in FY 2007. 37 awards are expected to be made in FY 2008. Global Infectious Disease Research Training Program: 39 training grants were made in FY 2007. FIC expects to make 29 awards in FY 2008. Informatics

Training for Global Health Program: In FY 2007, six awards were made. FIC expects to make six awards in FY 2008. International Clinical, Operational and Health Services Research and Training Award: In FY 2007, 13 awards were made. 13 awards are expected to be made in FY 2008. International Clinical, Operational and Health Services Research and Training Award for HIV/AIDS and Tuberculosis: In FY 2007, 12 awards were made. FIC expects to make 12 awards in FY 2008. International Cooperative Biodiversity Groups Program: In FY 2007, seven awards were made. All seven awards were U01 (cooperative agreements). Three U01 awards are expected to be made in FY 2008. International Malaria Clinical, Operational and Health Services Research Training Program Planning Grants: In FY 2007, one planning grant was made. FIC expects to fund three planning grants in FY 2008. International Research Ethics Education and Curriculum Development Award: In FY 2007, 15 training grants were awarded. FIC plans to make six awards in FY 2008. International Research Scientist Development Award: In FY 2007, 11 awards were made. Seven awards are expected to be made in FY 2008. International Studies on Health and Economic Development Program: One award was made in FY 2007. FIC expects to fund one award in FY 2008. International Tobacco and Health Research and Capacity Building Program: 18 grants were made in FY 2007. 18 awards are expected to be made in FY 2008. International Training and Research in Environmental and Occupational Health Program: In FY 2007, 16 awards were made. FIC expects to fund 16 awards in FY 2008. International Training and Research in Population and Health Program: In FY 2007, 10 awards were made. 10 awards are expected to be made in FY 2008. Stigma and Global Health Research Program: In FY 2007, three awards were made. 08, FIC expects to make 6 awards each fiscal year.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The grant program legislation and program regulations cited in the Notice of Grant Award, the restrictions on the expenditure of Federal funds in appropriations acts, to the extent those restrictions are pertinent to the award, 45 CFR Part 74 or 45 CFR Part 92, as applicable, the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the terms and conditions on the notice of grant award. Information regarding FIC programs can be found at: <http://www.nih.gov/fic/programs.html>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Fogarty International Center, National Institutes of Health, Department of Health and Human Services, Building 31, Room B2C39, MSC 2220, Bethesda, MD 20892-2220. Potential applicants are encouraged to visit the FIC website at: <http://www.fic.nih.gov/funding/index.htm> to obtain more information regarding these programs. FIC Telephone number for more information: (301) 496-1653.

#### **Web Site Address:**

<http://www.fic.nih.gov>.

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Given the interdisciplinary nature of global health challenges, the FIC systematically seeks alliances with other Federal agencies, international organizations, development agencies, and non-government organizations. The AIDS International Training and Research Program (AITRP), led by FIC and in partnership with nine NIH institutes, supports research training that is critical to advancing the AIDS research agenda abroad. For example, with FIC support, investigators at the University of Nairobi and University of Washington have evaluated the rates of HIV transmission to infants through breastfeeding. In the new study, pregnant HIV-infected women joined groups that would either breastfeed or formula feed their infants. Among infants born to mothers in the breast-feeding group the risk of becoming HIV-infected increased by 76% in contrast to the formula fed group. Overall, 44 % of the HIV infections in infants born to mothers in the breastfeeding group were due to breast milk. This study clearly shows the need to prevent breast milk transmission and has major implications for development and deployment of public health interventions in resource-poor settings. Additional studies are now underway to address the related and complex social and economic implications on infant feeding. The International Cooperative Biodiversity Groups (ICBG) program is a unique effort, administered by the FIC, to integrate improvement of human health through drug discovery, incentives for ecological conservation, and new models of sustainable economic activity that focus on the environment, health, and equity. This program is based on the belief that the discovery and development of pharmaceutical and other useful agents from natural products can, under appropriate circumstances, promote sustained economic growth in developing countries while conserving the biological habitats from which these products are derived. The ICBG program is a partnership amongst nine Institutes and Centers of the National Institutes of Health (NIH), as well as the National Science Foundation (NSF) and the U.S. Department of Agriculture (USDA). Seven ICBGs are currently working in nine countries across Latin America, Africa and Asia, building research capacity in more than 16 different institutions and training hundreds of individuals. To date, over 5,000 species of plants, animals and microorganisms have been examined for biological activity in more than 22 different therapeutic areas. Numerous publications in chemistry, biodiversity

policy, conservation and ethnobiology have emerged from the funded ICBG groups. An example of such accomplishment includes efforts by researchers at Walter Reed Army Institute of Research to characterize a new mode of action for treatments against leishmaniasis and related parasitic diseases, and isolate promising lead compounds for this and other areas from traditional plant use in West Africa. Another example can be found in the stimulus and coordination of efforts for a new marine and terrestrial national park in Panama to protect 2600 square kilometers containing high biodiversity and many endemic species that will preserve the habitat for research projects like the ICBG, as well as other non-destructive activities. ICBG research and conservation initiatives are partially credited for this government's decision to establish Coiba National Park. In 2005, this park was designated a UNESCO World Heritage Site. FIC established an interagency, interdisciplinary research program in FY 2000 on ecology and infectious diseases. The first 12 projects supported by this interdisciplinary program will assess how large-scale man-made environmental events, such as habitat destruction, urban sprawl, water pollution, introduced species and agricultural intensification, all contribute to the emergence and spread of emerging infectious diseases in animals and humans. With FIC support, scientists at Case Western Reserve University and the Institute of Medical Research in Papua New Guinea have discovered a new mutation in a gene for the Duffy blood group that reduces susceptibility of red blood cells to malaria caused by *Plasmodium vivax* (P.vivax). This parasite must interact with the Duffy blood group factor on cells in order to infect them. Genetic epidemiologists have demonstrated that individuals with two copies of the mutant gene are resistant to P.vivax infection. Targeting the parasite's Duffy-binding protein and its interaction with the Duffy blood group may be a productive strategy for developing a vaccine for vivax malaria. The insights from this study not only suggest that it is feasible, but represent a conceptual model for addressing the more virulent malaria parasite, *Plasmodium falciparum*.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessment of: (1) the scientific merit and general significance of the proposed study or research training program and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to the announced program objectives. All pertinent evaluation criteria are provided in the RFAs and PAS.

## **93.990 NATIONAL HEALTH PROMOTION**

#### **FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

#### **AUTHORIZATION:**

Public Health Service Act, as amended, Title III, Section 301, Title XVII, Section 1701, 42 U.S.C. 300 k-1, 300(o).

#### **OBJECTIVES:**

To engage national membership organizations from various sectors as a means of expanding and coordinating health promotion efforts. To promote the development, implementation and coordination of programs that promote good health habits and programs that are designed to prevent disease and disability. These objectives are consistent with the General Authorities set forth in Sections 1701(a) and 301 of the Public Health Service Act.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Assistance must be provided to satisfy program needs of the National Health Promotion Program, including but not limited to: (1) identifying or developing materials for health promotion programs for use by schools, medical treatment sites, worksites, and community health promotion programs; (2) adding to the scientific data base, especially to fill gaps identified in the "Healthy People 2010: National Health Promotion and Disease Prevention Objectives"; and (3) identifying the needs of special population groups, such as Blacks, Hispanics, Asian/Pacific Islanders, American Indians/Alaska Natives, those with disabilities or special health care needs, and elderly Americans.

#### **Applicant Eligibility:**

Public or private nonprofit organizations. Faith based organizations are eligible to apply.

#### **Beneficiary Eligibility:**

General public.

#### **Credentials/Documentation:**

Proof of nonprofit status is required. Costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q.

#### **Preapplication Coordination:**

There are no preapplication requirements. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of



contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

Approximately 90 days from the application deadline date.

**Appeals:**

None.

**Renewals:**

Support is recommended for a specified project period, and is not generally considered for renewal beyond that period.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 3 years or less. Within a project period, continuation applications must be submitted on a noncompeting basis for each year of support.

**Reports:**

Because of substantial Federal involvement in the program, performance monitoring will be on a continuing basis. An annual Program and Financial Status Report shall be submitted within 90 days after the close of each budget period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

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

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

Grants (Cooperative Agreements) FY 07 \$4,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$75,000 to \$275,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Healthy People 2010," 2 vols., Government Printing Office, Stock No. 017-001-00547-9 (\$70.00/set); "Healthy People 2010: Understanding and Improving Health," Government Printing Office, Stock No. 017-001-00550-9 (\$10.00);

"Tracking Healthy People 2010," Government Printing Office, Stock No. 017-001-00548-7 (\$67.00); "Healthy People 2010 CD-Rom," Government Printing Office, Stock No. 017-001-00549-5 (\$19.00).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Director, Office of Disease Prevention and Health Promotion, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853, Telephone (240) 453-8280. Grants Management Contact: Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.health.gov/healthypeople>.

**RELATED PROGRAMS:**

93.226, Research on Healthcare Costs, Quality and Outcomes.

**EXAMPLES OF FUNDED PROJECTS:**

The Association of Teachers of Preventive Medicine (ATPM) seeks to incorporate healthy people into its organizational agenda.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be assessed according to ability to show: organizational goals consistent with the National Health Promotion Program; access to a nationwide network of local affiliates through which health information and health promotion resources can be decentralized; administrative capability and staff expertise to contribute to satisfaction of program need; detailed proposal including cost proposal in response to program announcement.

**93.991 PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT**

(PHHS Block Grants)

**FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, as amended; Omnibus Budget Reconciliation Act of 1981, Title XIX, Section 1905, Public Law 97-35, as amended; Preventive Health Amendments of 1984, Public Law 98-555; Health Omnibus Programs Extension Act of 1988, Public Law 100-607; Preventive Health Amendments of 1992, Public Law 102-531.

**OBJECTIVES:**

To provide States with the resources to improve the health status of the population of each grantee through: (A) activities leading to the accomplishment of the year 2000/2010 objectives for the nation; (B) rodent control and community-school fluoridation activities; (C) specified emergency medical services excluding most equipment purchases; (D) services for sex offense victims including prevention activities; and (E) for related administration, education, monitoring and evaluation activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Except as described below, Block Grant funds may be used for preventive health service programs for: (A) Activities to achieve improvements in the health status of populations through achievement of the year 2000/2010 health objectives for the nation; (B) preventive health service programs for the control of rodents and for community and school-based fluoridation programs; (C) feasibility studies and planning for emergency medical services systems and the establishment, expansion, and improvement of such systems; Funds may not be used to operate emergency medical services systems or to purchase more than 50 percent of the cost of communications equipment for such systems.(D) providing services to victims of sex offenses and prevention of sex offenses; (E) the establishment, operation, and coordination of effective and cost-efficient systems to reduce the prevalence of asthma and asthma related illnesses, especially among children; (F) related planning, administration, and educational activities; and (G) monitoring and evaluation activities related to (A) through (F).

**Applicant Eligibility:**

Only State and U.S. Pacific Territorial governments, the District of Columbia, the Kickapoo Tribe of Kansas and the Sante Sioux Tribe of Nebraska are eligible for Preventive Health and Health Services Block Grants.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program with special attention to disparately affected populations.

**Credentials/Documentation:**

Applications shall contain certification by the CEO of the State that the State has complied with provisions of and will meet the requirements of PHS Act, Title XIX, Section 1905, and Title XVII, Chapter 2 of the Omnibus Reconciliation Act of 1981. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Each State shall submit an application to the funding agency. Specific format is required, and forms are provided.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Award is made to the applicant by the Centers for Disease Control and Prevention.

**Deadlines:**

Applications will be accepted beginning on October 1 of the eligible fiscal year.

**Range of Approval/Disapproval Time:**

About 3 weeks.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

For the basic block grant, an allocation percentage is determined for each State based on the amounts of fiscal year 1981 funds provided to the State for certain categorical health grants that were combined to comprise the Preventive Health and Health Services block grant to the total amount of fiscal year 1981 funds appropriated for these grant programs. For the services to rape victims and the Rape Prevention portion of the block grant, at least \$7,000,000 is allocated to States based on the percentage of each State's population to the national population. States may set aside no more than 10 percent of block grant funds for administrative costs. HHS can reserve a portion of a State's allotment for certain qualifying Indian tribes or tribal organizations, in proportion to a State's allotment distributed to such tribes in fiscal year 1981.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System.

**Reports:**

Each State shall prepare and submit by February 1 of the following fiscal year (120 days beyond the funded fiscal year) to the Secretary annual reports on its activities to secure a record of the purposes for which funds were spent, and the progress made toward achieving the purposes for which funds were provided.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Grants) FY 07 \$93,327,380 (FA: \$92,897,391; DA: \$429,989); FY 08 \$91,651,300; and FY 09 est not available.

**Range and Average of Financial Assistance:**

\$20,685 to \$6,847,385; \$1,529,957. (Note: A formula based on fiscal year 1981 allocations to States is used for the annual basic grant allocation.)

**PROGRAM ACCOMPLISHMENTS:**

In Indiana, PHHSBG funds were used to support the School Physical Activity and Nutrition Survey to obtain baseline data on nutrition and physical activity habits of children. In Illinois, PHHSBG funds are supporting a new program called HI TRACK to screen all newborns for congenital hearing loss before they leave the hospital. In Kansas, the Center for Health and Wellness in northeast Wichita used PHHSBG funds to provide 9,649 blood pressure checks and referred 1,328 people for follow-up. In New York, PHHSBG funds support the Childhood Lead Poisoning Program, which found 2,568 children to have elevated blood lead levels. In Iowa, PHHSBG funds helped develop Lighten Up Iowa to encourage people to adopt better nutrition and physical activity habits. In Texas, PHHSBG funds were used to establish a Hearne Community Garden in Robertson County to increase awareness of the importance of eating fruits and vegetables. In Wisconsin, PHHSBG funds are helping rural health departments develop multicounty environmental coalitions to eliminate food and water contamination, radon, asbestos, and other human health hazards. In Nebraska, only 22 (24%) of the 93 counties have a local health department. PHHSBG funds were used to develop a strategic plan to increase awareness of the benefits of a strong public health system. As a result, the state legislature allocated funding to establish district health departments to provide services to the 71 counties that did not have a health department. In Ohio, PHHSBG funds launched 21 cardiovascular health projects to increase the number of heart-healthy communities in areas of Ohio at high risk for heart disease. In California, PHHSBG funds helped to create The California Asthma Among School-Aged Children Project. In Florida, the PHHSBG funds the Pasco Community Intervention Program, which provides health screenings to migrant

farm workers of Mexican descent and promotes physical activity through programs such as Folklorico, an intergenerational dance program. In Minnesota, PHHSBG funds were used to develop teaching modules called the Core Essentials of Public Health: Applications for Public Health Nursing. CDC and PHHS Block Grantees worked cooperatively to develop the Grant Application and Reporting System (GARS). GARS is a dynamic accountability tool that formats basic PHHSBG information to identify the role that block grant dollars play in addressing health problems at state and local levels. GARS helps grantees establish health priorities and tie essential program activities to PHHSBG dollars that are spent on public health programs. The GARS applications and reports are submitted electronically to CDC via E-mail or a direct Internet connection.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 Code of Federal Regulations, Part 96 (Published in the Federal Register on July 6, 1982 and revised in the Federal Register, October 13, 1987).

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Contact: Ms. Audrey Williams, Project Officer, National Center for Chronic Disease Prevention and Health Promotion (K30), Centers for Disease Control and Prevention, Department of Health and Human Services, 4770 Buford Highway, NE Atlanta, GA 30341-3724. Telephone: (770) 488-5941. Grants Management Contact: Veronica Davis, Grants Management Specialist, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3719, Atlanta, GA 30341. Telephone: (770) 488-2743.

**Web Site Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Compliance with requirements of application procedure.

**93.993 PUBLIC HEALTH RESEARCH ACCREDITATION PROJECT****FEDERAL AGENCY:**

CENTERS FOR DISEASE CONTROL AND PREVENTION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Sections 301 and 317(k)(2) of the Public Health Service Act, 42 U.S.C. Section 241 and 247b(k)(2), as amended.

**OBJECTIVES:**

To assess the role of accreditation of human research protection programs to enhance protections afforded to persons involved in the full-range of public health research programs, e.g., epidemiologic research, health services research, and social and behavioral intervention research, as well as traditional biomedical research and clinical trials. Voluntary accreditation is one component of a national oversight system for protection of human subjects.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This project will result in the development of pilot measures that can be used to assess the improvement of the ability of the public health infrastructure (such as State and local public health departments, schools of public health, and other public health research partners) to assess and monitor research involving human subjects. In year two, the pilot measures will be implemented in several locations, such as State or local health departments, schools of public health, or community-based organizations that engage in public health research, and will be evaluated for utility and feasibility in the public health setting. In year three, the measures will be refined and made available to public health research partners to document and evaluate the impact of accreditation as a process to improve protection of human subjects in public health research.

**Applicant Eligibility:**

Assistance will be provided only to a public, private, for-profit, or nonprofit organization that is currently actively engaged in the process of accrediting human research protection programs that represent the full range of activities, which are applicable to State, and local public health departments.

**Beneficiary Eligibility:**

Public, private, for-profit, or nonprofit organization that is currently actively engaged in the process of accrediting human research protection programs that represent the full-range of activities, which are applicable to State, and local public health departments.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operating. Costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' cost are determined

in accordance with the Federal Acquisition Regulations, 48 CFR 31.

**Preapplication Coordination:**

Preapplication coordination is desired for research grants, but not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submit the signed original and two copies of PHS form 398. (OMB Number 0925-0001); adhere to the instructions on the Errata Instruction Sheet for PHS 398. Submit the application to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341-4146. Applications may not be submitted electronically.

**Award Procedure:**

Approved grants are funded based on a priority score ranking from an independent review group as well as availability of funds, secondary review and such other significant programmatic factors deemed necessary and appropriate by the agency. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 5152-1) indicates support recommended for remainder of project period (usually three to five years), allocations for Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Applications shall be considered as meeting the deadline if they are received before 4:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

Continuation awards within an approved project period will be made on the basis of satisfactory progress as evidenced by required reports and the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to three years subject to the availability of funds and satisfactory progress of the grantee.

**Reports:**

Interim progress report, no less than 90 days before the end of the budget period.

The progress report will serve as your non-competing continuation application, and must contain the following elements: (1) Current Budget Period Activities Objectives; (2) Current Budget Period Financial Progress; (3) New Budget Period Program Proposed Activity Objectives; (4) Detailed Line-Item Budget and Justification; and (5) Additional Requested Information. Financial status report, no more than 90 days after the end of the budget period. Final financial and performance reports, no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt for Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available to review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

For general questions about this announcement, contact: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341-4146, Telephone: (770) 488-2700. For business management and budget assistance, contact: Mattie Jackson, Procurement and

Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Atlanta, GA 30341-4146, Telephone: (770) 488-2696, E-mail:

MJackson2@cdc.gov. For program technical assistance, Contact: Marylin Radke, MD, MPH, Office of the Chief Science Officer, Centers for Disease Control and Prevention, MS D-50, 1600 Clifton Road, N.E., Atlanta, GA 30333; Telephone: (404) 639-7260, E-mail: mizr4@cdc.gov.

**Web Site Address:**

http://www.cdc.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the applicant's ability to identify a plan that will achieve the purpose of the program, background and qualifications of staff, measurable objectives, adequacy of methods to achieve objectives, Evaluation plan, timeline and the overall budget.

**93.994 MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT TO THE STATES**

(MCH Block Grants)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Social Security Act, Title V, Section 501(a) (1), as amended.

**OBJECTIVES:**

To enable States to maintain and strengthen their leadership in planning, promoting, coordinating and evaluating health care for pregnant women, mothers, infants, and children and children with special health care needs in providing health services for mothers and children who do not have access to adequate health care.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

States may use funds to develop systems of care for the provision of health services and related activities, including planning, administration, education and evaluation consistent with the State's annual application. Funds may not be used for (1) Inpatient services other than those provided to children with special health care needs or to high-risk pregnant women and infants and such other inpatient services as the Secretary may approve; (2) cash payments to intended recipients for health services; (3) purchase and improvement of land, construction or permanent improvement of buildings or purchase of major medical equipment; (4) matching other Federal grants; or (5) providing funds for research or training to any entity other than a public or private nonprofit entity. Beginning in FY 1991, States must use at least 30 percent of their Federal allotment for preventive and primary care services for children, and at least 30 percent for services for children with special health care needs. In addition, each State must establish and maintain a toll-free information number for parents on maternal and child health (MCH) and Medicaid providers. No more than 10 percent of each State's allotment may be used for administration.

**Applicant Eligibility:**

Title V MCH Block Grants are limited to States and insular areas.

**Beneficiary Eligibility:**

Mothers, infants, children, including CSHCN, and their families, particularly those of low-income.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Maternal and Child Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Funds are allocated to States quarterly subsequent to the review and approval of the State application and Annual Report.

**Deadlines:**

www.hrsa.gov.

**Range of Approval/Disapproval Time:**

From one to two months.

**Appeals:**



None.

**Renewals:**

Funds will be made available annually to any State submitting an acceptable application.

**Formula and Matching Requirements:**

Funds are allocated among the States and jurisdictions in proportion to their relative shares of funds received under eight antecedent programs in fiscal year 1981. When funding exceeds the amount appropriated in fiscal year 1983, the additional funds are allocated in proportion to the poverty population under age 18. States must assure that \$3 of State or local funds will be expended for Maternal and Child Health purposes for every \$4 of Federal funds allotted through the formula mechanism.

**Length and Time Phasing of Assistance:**

Funds are awarded each fiscal year in quarterly installments and remain available for expenditure for the current and subsequent fiscal year.

**Reports:**

Each State must prepare and submit an annual report on the activities undertaken. Such reports will be in such form, and contain such information as the Secretary may require.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Grants) FY 07 \$561,718,437; FY 08 est \$551,241,460; and FY 09 \$553,702,453.

**Range and Average of Financial Assistance:**

\$151,665 to \$44,452,058; \$9,520,652.

**PROGRAM ACCOMPLISHMENTS:**

All 59 States and jurisdictions were awarded grants in FY 06, FY 07, and FY 08. The Maternal and Child Health Bureau has developed a web-based system of reporting that captures data contained in the States' Block Grant Application/Annual Reports. Designed initially to capture the qualitative programmatic information of the States, it has been modified according to the Bureau's performance measurement model to collect uniform quantitative data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 96 as applicable and individual State Regulations.

**Regional or Local Office:**

Program Contact: Division of State and Community Health, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-31, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2204.

**Headquarters Office:**

Grants Management Office: Rick Goodman, Director, Division of Grants Management Operations, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: (301) 443-2385; Research and Training Branch: (301) 443-3099; Government and Special Focus Branch: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110, Maternal and Child Health Federal Consolidated Programs.

**EXAMPLES OF FUNDED PROJECTS:**

Each of the 59 States and jurisdictions determines its individual program priorities under its Block grant.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**93.995 ADOLESCENT FAMILY LIFE-DEMONSTRATION PROJECTS**

(AFL)

**FEDERAL AGENCY:**

OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Service Act, Title XX, Section 2003, Public Law 104-193, Public Law 98-512, 42 U.S.C. 300z-2, as amended; Public Laws 101-517; and Public Law 95-35.

**OBJECTIVES:**

To establish innovative, comprehensive, and integrated approaches to the delivery of care services for pregnant and parenting adolescents with primary emphasis on adolescents who are under 17 years of age. To promote abstinence from sexual relations through provision of age-appropriate education on sexuality and decision-making skills as the most effective method of preventing adolescent pregnancy and avoiding sexually transmitted diseases, including HIV/AIDS.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds for services under this program can only be used to: (1) Provide care services, prevention services, or both care and prevention services to eligible persons; (2) coordinate integrate and provide linkages among providers of care, prevention, and other services for eligible persons; (3) provide supplemental services to eligible persons in the community when existing services are not adequate or not available and are essential to the care of pregnant adolescents and/or to the prevention of adolescent sexual activity and adolescent pregnancy; (4) plan for the administration, evaluation, and coordination of pregnancy prevention services and programs of care for pregnant adolescents and adolescent parents to further the objectives of this legislation; and (5) fulfill assurances required for grant approval. Funded projects may not provide or subcontract for the provision of abortions or abortion counseling or referral (with exceptions).

**Applicant Eligibility:**

Public (including city, county, regional, and State government) organizations; and private nonprofit organizations.

**Beneficiary Eligibility:**

For prevention services: non-pregnant adolescents and their families. For care services: pregnant adolescents, infants, adolescent parents, and their families. Primary emphasis should be given to unmarried adolescents 17 years of age and under.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply.

**Preapplication Coordination:**

There is no preapplication coordination requirement. The Governor(s) of the State(s) in which the project is to be located is to be given 60 days in which to review and comment on applications for funding under this authority. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the Public Health Systems Reporting Requirements.

**Application Procedure:**

Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications should be submitted to: Ms. Karen Campbell, Director, Office of Public Health and Science (OPHS), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Applications must be prepared using Form OPHS-1. This form is available in Adobe Acrobat format at the following website: <http://www.cdc.gov/od/pgo/forminfo.htm>. The Office of Public Health and Science (OPHS) provides multiple mechanisms for the submission of applications. Applicants will receive notification via mail from the OPHS Office of Grants Management confirming the receipt of applications submitted using any of these mechanisms. Applications submitted to the OPHS Office of Grants Management after the deadlines will not be accepted for review and will be returned to the applicant unread. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via the electronic submission mechanisms specified below. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the OPHS e-Grants system or the Grants.gov Web site Portal is encouraged. Information about this system is available on the OPHS e-Grants Web site, <https://egrants.osophs.dhhs.gov>.

**Award Procedure:**

All applications and proposals are read by a panel of independent experts who make recommendations for action to the Office of Adolescent Pregnancy

Programs. After considering the recommendation of this panel, the Deputy Assistant Secretary for Population Affairs makes the final decision on the funding of applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

Contact the Headquarters Office for application deadlines or visit our web page at [www.opa.osoph.dhhs.gov](http://www.opa.osoph.dhhs.gov).

**Range of Approval/Disapproval Time:**

From 3 to 5 months.

**Appeals:**

None.

**Renewals:**

Renewal awards may be approved pending availability of funding, and evidence of satisfactory progress and compliance.

**Formula and Matching Requirements:**

Federal participation is limited to 70 percent of total project costs for the first and second years and decreases in each subsequent year of funding.

**Length and Time Phasing of Assistance:**

Grants may not exceed 5 years (subject to the availability of funds). Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made.

**Reports:**

Grantees must submit annual and final progress and evaluation reports. Expenditure reports are required 90 days after the end of each budget period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-550.

**Obligations:**

(Grants) FY 07 \$25,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$250,000 to \$375,000.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Program Contact: Ms. Johanna Nestor, Office of Adolescent Pregnancy Programs, Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-2828. Grants Management Contact: Karen Campbell, Director, Office of Grants Management, Office of Public Health and Science, Department of Health and Human Services, 1101 Wootton Parkway, Suite 550, Rockville, MD 20853, Telephone (240) 453-8822.

**Web Site Address:**

<http://www.opa.osoph.dhhs.gov>.

**RELATED PROGRAMS:**

93.111, Adolescent Family Life Research Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Projects to provide care services, prevention services, or both care and prevention services to eligible persons; projects to coordinate, integrate, and provide linkages among providers of care, prevention, and other services for eligible persons; projects to provide supplemental services where these services are not adequate or not available to eligible persons and which are essential to the care of pregnant adolescents and to the prevention of adolescent sexual relations and adolescent pregnancy; and projects which test new approaches to providing care and prevention services which are national in scope.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must contain care and/or prevention services requirements specified in the statute. Priority will be given to applicants who: (1) Serve an area (a) where there is a high incidence of adolescent pregnancy, (b) where the incidence of low-income families is high, and (c) where the availability of programs for adolescents as specified in this act is low; (2) show evidence (a) for care services, of ability to deliver wide range of required services on single-site or network basis, or (b) for prevention services, ability to provide services targeted to population; (3) will utilize to maximum extent possible (a) existing programs and facilities, and (b) other sources of funding; (4) can demonstrate community commitment to the project; (5) have involved community in developing the project; (6) will demonstrate innovative approaches; and (7) demonstrate the reasonableness of the estimated cost considering the anticipated results.

**93.996 BIOTERRORISM TRAINING AND CURRICULUM DEVELOPMENT PROGRAM**

(BTCDP)

**FEDERAL AGENCY:**

HEALTH RESOURCES AND SERVICES ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188, Section 105, Education of Health Care Personnel; Training Regarding Pediatric Issues, Section 319F(g) of the Public Health Service Act as re-designated by Section 104(a)(2) of this Act.

**OBJECTIVES:**

To develop a health care workforce with the knowledge, skills, abilities and core competencies to: (1) recognize indications of a terrorist event; (2) meet the acute care needs of patients, including pediatric and other vulnerable populations, in a safe and appropriate manner; (3) participate in a coordinated, multidisciplinary response to terrorist events and other public health emergencies, and include consideration of surge capacity issues; and (4) rapidly and effectively alert the public health system of such an event at the community, State, and national level. Emergency preparedness and response issues include other forms of terrorism (such as the use of chemical, explosive, incendiary or nuclear agents against civilian populations), natural disasters and catastrophic accidents. Effective responses to public health emergencies require close collaboration among all types of health professionals involved in patient care including allied health professionals, medical and dental specialists, nurses, pharmacists, mental health and other professionals, the public health system, and the emergency response system. To achieve such a collaborative environment, it will be necessary to implement new and enhanced models of undergraduate/graduate curricula and continuing education and training for health professionals. The Bioterrorism Training and Curriculum Development Program (BTCDP) consists of two discrete foci of activity: 1) Provision of Continuing Education for Practicing Providers (CE); and 2) Curriculum Development in Health Professions Schools (CD). Each of the categories above must have a distinct and separate application.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Applicants shall demonstrate linkages and relationships with entities such as the CDC Public Health Preparedness and Response for Bioterrorism Program awardees, the HRSA National Bioterrorism Hospital Preparedness Program awardees and others that provide emergency preparedness and response training. Proposals shall indicate that the training supported with these funds will not only focus on the discipline specific knowledge, skills abilities and competencies needed to recognize, treat and efficiently report instances of a terrorist event, but will also prepare the learners to participate in a multidisciplinary terrorist response reflecting a two-tiered approach. Each course of study shall include both discipline-appropriate clinically oriented material and team coordination to respond to terrorist events. These activities will outline the integrated professional roles and responsibilities inherent in a community response and will include participation in drills, exercises and/or simulations occurring in the state or regions. Proposals addressing the continuing education component of this program shall involve at least three disciplines and shall establish and maintain a programmatic advisory board with members including representatives of the CDC Public Health Preparedness and Response for Bioterrorism Program, the HRSA National Bioterrorism Hospital Preparedness Program, an academic health center, other health professions schools and both service providers and consumers from the area served by the program. Proposals addressing the curriculum development component of this program shall show that funds awarded will be utilized in conjunction with no less than three health care disciplines. Whereas one school, the applicant, will be held responsible for implementing the curriculum, training must be used by no less than three disciplines. Applicants shall demonstrate collaboration with the Department of Homeland Security (DHS) National Response Plan, December 2004.

Drills/exercises in which BTCDP awardees participate shall be compliant with the DHS National Incident Management System (NIMS).

**Applicant Eligibility:**

Eligible Applicants For Continuing Education: The entities eligible to apply for this program are academic health centers; other public or private nonprofit accredited or licensed health professions schools; other educational entities such as professional organizations and societies; private accrediting organizations; other nonprofit institutions or entities including faith-based organizations and community-based organizations; and multi-state or multi-institutional consortia of various combinations of these eligible entities. Eligible Applicants For Curricular Enhancement or Curriculum Development: The entities eligible to apply for this program are public or private nonprofit accredited or licensed health professions schools; other educational entities such as professional organizations and societies; and other nonprofit institutions or entities including faith-based organizations and community-based organizations. To apply for funding for Curriculum Development, an entity that is not a health professions school must provide a written agreement with a health professions school demonstrating that the health professions school will participate in carrying out the project and will implement the newly developed or the modified/enhanced curriculum. This agreement must describe the roles of the entity and collaborating health professions school.

**Beneficiary Eligibility:**

The entities eligible to apply for the Continuing Education focus are academic health centers; other public or private nonprofit accredited or licensed health professions schools; other educational entities such as professional organizations and societies; private accrediting organizations; other nonprofit institutions or entities including faith-based organizations and community-based organizations; and multi-state or multi-institutional consortia of various combinations of these eligible entities. The entities eligible to apply for the Curriculum Enhancement or Curriculum Development focus are public or private nonprofit accredited or licensed health professions schools; other educational entities such as professional organizations and societies; and other nonprofit institutions or entities including faith-based organizations and community-based organizations.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

None.

**Deadlines:**

[www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 3 to 4 months after submission deadline.

**Appeals:**

None.

**Renewals:**

Competing continuation applications may be submitted during the final budget year of the approved project.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Project periods are limited up to three years.

**Reports:**

Grantees must submit an annual Uniform Progress Report to describe progress in meeting the objectives stated in the application. A financial status report is required within 90 days of the end of each grant year. The report is an accounting of expenditures under the project that year. Final progress and financial reports must be submitted within 90 days after the end of the project period. Awardees shall report a list and brief description of all training courses conducted by this program to include course title and description, objectives, target audience by discipline, contact hours, evaluation results, lessons learned and delivery mechanism every 6 months.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR, Parts 74 and 92.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

FY 07 \$21,000,000; FY 08 est not available; and FY 09 not reported.

**Range and Average of Financial Assistance:**

Range of Awards For FY 05: Continuing Education (CE): \$684,510 to \$1,500,000; Average CE Award: \$1,271,460. Curriculum Development: \$77,130 to \$200,000; Average CD Award: \$152,526.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

Terri Spear, Branch Chief, Emergency Training Branch, Division of Healthcare Preparedness, Healthcare Systems Bureau, HRSA, 5600 Fishers Lane, Room 13-103, Rockville, MD 20857. Telephone: (301) 443-4912 (voice), (301) 443-4922 (fax), Email: [tspear@hrsa.gov](mailto:tspear@hrsa.gov).

**Headquarters Office:**

Grants Management Office: Oscar Tanner, Director, Division of Grants Management, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch. Telephone: (301) 443-2385; Research and Training Branch. Telephone: (301) 443-3099; Government and Special Focus Branch. Telephone: (301) 443-3288.

**Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

A listing and descriptions of funded projects is available at:

<http://bhpr.hrsa.gov/publichealth/03abstracts/biocd.htm>.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by nonfederal consultants who make recommendations to the Secretary of the Department. The Secretary will approve projects that promote the purposes of the Bioterrorism Training and Curriculum Development Program. Review criteria: the following review criteria apply to the Bioterrorism Training and Curriculum Development Program. The review of applications will take into consideration the following criteria: (1) NEED The level of preparedness among the current or anticipated health workforce to respond to bioterrorism and other public health emergencies in the target area (e.g., the state); how the program will fill or address the identified health personnel training gaps/needs in a state; how the program will improve the health workforce, practice and education; how the program will affect the state or region's (target area) bioterrorism and other public health emergency preparation and response; the extent to which the program identifies the competencies for bioterrorism preparedness already developed for the specific professions proposed to be trained; evidence of an enrollee/program participant pool, which may include underrepresented minorities/disadvantaged; and how the project identifies the geographical area that will be covered, as illustrated by a map to be included in the Appendices; (2) RESPONSE The purpose is consistent with the legislative purpose and is clearly described; the extent to which the proposed project responds to the "Need" included in the program description; the clarity of the proposed goals and objectives and their relationship to the identified project; the extent to which the activities (scientific or other) described in the application addresses the problem and is focused on attaining the project objectives; and the extent to which the project addresses existing discipline-specific competencies on bioterrorism preparedness; (3) EVALUATIVE MEASURES The effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess: 1) to what extent the program objectives have been met, and 2) to what extent these can be attributed to the project; (4) IMPACT The extent and effectiveness of plans for dissemination of project results and/or the extent to which project results may be national in scope and/or degree to which the project activities are replicable, the potential effectiveness and usefulness of the data-sharing plan, and/or the sustainability of the program beyond the Federal funding; (5) RESOURCES/CAPABILITIES The extent to which project personnel are qualified by training and/or experience to implement and carry out the projects. The capabilities of the applicant organization, and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project; (6) SUPPORT REQUESTED Effective use of funds and



resources to carry out the project; a reasonable budget aligned with the objectives and the scope of the project and numbers of disciplines and trainees involved; and specific information that describes the extent and means by which the project plans to become self-sufficient including other sources of income, the nature of income, future funding initiatives and strategies; (7) SPECIFIC PROGRAM CRITERIA Related to the focus selected for the application; the degree to which the applicant describes a comprehensive, coordinated multidisciplinary approach to the training of health professionals; and a clear relationship between the program purpose and project objectives must be demonstrated throughout the application.

# CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

## 94.002 RETIRED AND SENIOR VOLUNTEER PROGRAM

(RSVP)

### FEDERAL AGENCY:

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

### AUTHORIZATION:

Domestic Volunteer Service Act of 1973, as amended, Title II, Part A, Section 201, Public Law 93-113, 42 U.S.C. 5001, as amended; National and Community Service Trust Act of 1993, Public Law 103-82.

### OBJECTIVES:

The Retired and Senior Volunteer Program (RSVP) provides grants to qualified agencies and organizations for the dual purpose of engaging persons 55 and older in volunteer service to meet critical community needs; and to provide a high quality experience that will enrich the lives of volunteers.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Volunteers are not to supplant hiring, displace employed workers, or impair existing contracts for service. No agency supervising volunteers shall request or receive compensation for services of the volunteers. Volunteers are not to be involved in and funds are not to be used for religious activities, labor or anti-labor organizations, lobbying, or partisan or non-partisan political activities. Grants may be used for staff salaries and fringe benefits, staff travel, equipment, and related expenses, and for volunteer out-of-pocket expenses, primarily for transportation. In addition, eligible agencies or organizations may, with a Notice of Grant Award from the Corporation for National and Community Service, receive technical assistance and materials to aid in establishing and operating non-Corporation funded RSVP projects using local funds.

### Applicant Eligibility:

Grants are made only to public agencies, including state and local government agencies and private nonprofit organizations.

### Beneficiary Eligibility:

Persons age 55 and older who are willing to volunteer on a regular basis.

### Credentials/Documentation:

The applicant must furnish evidence of: capacity to operate direct community service programs; experience and interest in the needs of older adults; and the ability to develop strong community financial and programmatic support. Nonprofit organizations must furnish: proof of nonprofit status, articles of incorporation and certification of accounting capability. Costs will be determined in accordance with OMB Circulars No. A-21 for educational institutions, No. A-87 for State and local governments, and No. A-122 for nonprofit organizations.

### Preapplication Coordination:

Organizations interested in exploring the possibility of developing a local RSVP project should contact the appropriate Corporation for National and Community Service State Program Office. The Corporation for National and Community Service issues application forms to applicants who have established their eligibility. The standard application forms (modified by the Corporation for National and Community Service with OMB approval), as furnished by the Corporation for National and Community Service and required by OMB Circular No. A-102 must be used for this Program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the Program for review.

### Application Procedure:

Applications for new projects are submitted to the Corporation for National and Community Service. This Program is subject to the provisions of OMB Circular No. A-110 and A-102 for State and local governments.

### Award Procedure:

Grants are awarded by the Corporation for National and Community Service. States will be notified of awards through the Federal Assistance Awards Data System (FAADS).

### Deadlines:

Contact the Corporation for National and Community Service State Office for application deadlines.

### Range of Approval/Disapproval Time:

120 days after receipt of application by the Corporation for National and Community Service.

### Appeals:

No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding.

### Renewals:

Grant renewal applications, usually required annually, are submitted 120 days prior to the end of the budget period.

### Formula and Matching Requirements:

This Program has no statutory formulas. The RSVP sponsor is responsible for generating needed financial support for the RSVP project from all sources, Federal and nonfederal, including grants, cash and in-kind contributions, to meet the budgeted costs of the project. The sponsor will supplement a Corporation for National Service grant with other support to the fullest extent possible. As a guide to the level of local support expected, 10 percent of the total budget can be required for the first year, 20 percent for the second year, and 30 percent in any subsequent years. The level of local support negotiated may be higher or lower than these figures, as mutually agreed to by the Corporation for National and Community Service and the sponsor, and as justified by local conditions. Sponsors proposing to contribute local support of less than 30 percent of the total project budget for the third or succeeding years must provide the Corporation for National and Community Service with an acceptable written justification for the lower level of support.

### Length and Time Phasing of Assistance:

Grant project periods are generally three years, with one year budget periods. Grant payments are through the DHHS Payment Management System.

### Reports:

Quarterly Financial Status Report, Periodic Project Progress Report, Quarterly Federal Cash Transactions Report, Annual Project Profile and Volunteer Activity Survey; Customer Satisfaction Survey.

### Audits:

Corporation for National and Community Service grants are subject to audit by the Corporation for National and Community Service, the General Accounting Office, other Federal agencies, and contract auditors. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," grantees that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with OMB Circular No. A-133.

### Records:

All financial records for each budget period, including receipts, disbursements, and vouchers for Federal and nonfederal costs, copies of all contracts, personnel records, and job descriptions must be available for a period of three years from date of submission of the Final Financial Status Report.

### Account Identification:

44-0103-0-1-506.

### Obligations:

(Grants) FY 07 \$59,685,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

From \$0 to \$847,000; \$68,800.

### PROGRAM ACCOMPLISHMENTS:

More than 485,000 older persons participated in the Corporation for National and Community Service and non-Corporation RSVP projects. They contributed almost 77,000,000 hours of service to over 65,000 local organizations. Service opportunities continue in intergenerational activities, education, in-home care, consumer education, public safety, homeland security, mentoring children of prisoners and other health and human service activities. To ensure maximum utilization of program resources, RSVP will provide guidance and technical assistance to other agencies to expand opportunities available to older people.

### REGULATIONS, GUIDELINES, AND LITERATURE:

45 CFR 2553; Retired and Senior Volunteer Program flyers.

### Regional or Local Office:

Corporation for National and Community Service State Program Offices as listed in Appendix IV of the Catalog.

### Headquarters Office:

National Senior Service Corps, Retired and Senior Volunteer Program, Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

### Web Site Address:

<http://www.nationalservice.org>

### RELATED PROGRAMS:

94.011, Foster Grandparent Program; 94.016, Senior Companion Program.

### EXAMPLES OF FUNDED PROJECTS:

The following exemplifies RSVP: An RSVP service volunteer, who is a retired architect and engineer, designs homes for low-income families displaced by midwestern floods. Another volunteer, who is bilingual, uses her fluency in English and Japanese to help non-English speaking Japanese-American seniors access community resources and live independently. Another RSVP volunteer is the coordinator, fund-raiser and supervisor of over 30 other RSVP volunteers who operate an inner-city soup kitchen which feeds more than 250,000 homeless and disadvantaged persons annually. In another instance, RSVP volunteers organized neighborhood watches for an entire city of more than 45,000. As a result, the police noted a 58 percent reduction in crime in some areas. RSVP provides creative opportunities for older people to serve their communities by responding to locally identified needs. The following statistics suggest the scope

of their service: During fiscal year 1997, over 127,000 RSVP volunteers served at 10,400 acute care hospitals, clinics, and other medical care facilities. Over 30,700 volunteers served in over 6,000 school systems. Over 100,000 served at congregations and Meals on Wheels programs. Other volunteers served with police departments, Head Start centers, libraries and ground water protection agencies. In aggregate, they served over 80 million hours.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Program Design: (1) Well- documented compelling community need(s); (2) well-designed activities with measurable goals and objectives that meet community needs (3) well- defined roles for participants that lead to measurable outcomes/impact; (4) effective involvement of target community in planning/implementation; and (5) ability to provide or secure effective technical assistance. Strengthening Communities: (1) Strong community partnerships, including well-defined roles for community partners; (2) potential for sustainability, innovation, and/or replicability of project activities; (3) enhanced capacity of organizations and institutions; (4) mobilization of community resources, including volunteers; and (5) bring together people of diverse backgrounds. Participant Development: (1) Effective plans for recruiting, developing, training, supervising, and recognizing participants; (2) well-designed plan to engage participants in high-quality service-learning as defined by the corporation; and (3) well-designed plan for participants to learn to serve together with people of diverse backgrounds. Organizational Capacity: (1) Ability to provide sound programmatic and fiscal oversight; (2) Sound track record in the issue areas(s) to be addressed by the project; (3) Well-defined roles for staff and administrators; and (4) well-designed plans or systems for self-assessment, evaluation and continuous improvement. Budget/Cost-Effectiveness: (1) Adequate budget to support program design; (2) commitment of applicant organization/host agency to securing resources for program, implementation and/or sustainability; and (3) cost-effective within program guidance.

### **94.003 STATE COMMISSIONS**

#### **FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

#### **AUTHORIZATION:**

National and Community Service Act of 1990, as amended.

#### **OBJECTIVES:**

To develop a State plan; to assist States in the application process; and to provide oversight of funded AmeriCorps programs within each State. The funds enable States to form a 15 to 25 member, independent, bipartisan commission appointed by a governor to implement service programs in their State.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Funds are used to operate a commission to oversee service programs.

#### **Applicant Eligibility:**

State governments, District of Columbia, and the Commonwealth of Puerto Rico may apply.

#### **Beneficiary Eligibility:**

States will benefit.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

State commission administrative grant proposals must be submitted to the Corporation.

#### **Award Procedure:**

For final procedures contact the Headquarters Office.

#### **Deadlines:**

Contact the Corporation for deadline dates.

#### **Range of Approval/Disapproval Time:**

The range is from one to two months.

#### **Appeals:**

None.

#### **Renewals:**

Renewals are annual.

#### **Formula and Matching Requirements:**

Cost-sharing is involved over time. The amount varies from year to year.

#### **Length and Time Phasing of Assistance:**

Time frames have not been established.

#### **Reports:**

Financial status reports and reports of accomplishments are required.

#### **Audits:**

Audit must be performed as required by the Law.

#### **Records:**

Required records to will be spelled out in the individual grant.

#### **Account Identification:**

95-2720-0-1-506.

#### **Obligations:**

FY 07 \$12,516,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

From \$125,000 to \$750,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Examples are not currently available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For detailed information contact the Headquarters Office.

#### **Regional or Local Office:**

See the Corporation for National and Community Service's listing in Appendix IV of the Catalog.

#### **Headquarters Office:**

Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

#### **Web Site Address:**

<http://www.nationalservice.org> .

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Funds are given to State commissions.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Governors must request funding and work directly with the Corporation. For more details, contact the Corporation.

### **94.004 LEARN AND SERVE AMERICA-SCHOOL AND COMMUNITY BASED PROGRAMS**

#### **FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

#### **AUTHORIZATION:**

National and Community Service Act of 1990, as amended.

#### **OBJECTIVES:**

To encourage elementary and secondary schools and community-based agencies to create, develop, and offer service- learning opportunities for school- age youth; educate teachers about service- learning and incorporate service-learning opportunities into classrooms to enhance academic learning; coordinate adult volunteers in schools; and introduce young people to a broad range of careers and encourage them to pursue further education and training.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used for a wide range of activities including: planning and capacity building; operating and expanding service-learning programs through grants to local partnerships; implementing and expanding school-based programs involving adult volunteers to use service-learning to improve the education of students; and providing training and technical assistance to qualified organizations. Corporation assistance may not be used to provide religious instruction, conduct worship services or engage in any form of proselytization; to assist, promote, or deter union organizing; to finance, directly or indirectly, any activity designed to influence the outcome of an election to any public office; or to impair existing contracts for service of collective bargaining agreements.

#### **Applicant Eligibility:**

State education agencies, State Commissions on National Service, U.S. Territories, Indian tribes, and public or private nonprofit entities may apply.

#### **Beneficiary Eligibility:**

School-based program participants must be enrolled in elementary or secondary school. Community-based program participants must be between the ages of 5 and 17.

#### **Credentials/Documentation:**

None.

#### **Preapplication Coordination:**

Applicants should contact the Corporation for specific instructions. This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

Contact the Corporation for specific details.

#### **Award Procedure:**

Contact the Corporation for specific details.

#### **Deadlines:**

Contact the Corporation for specific details.

#### **Range of Approval/Disapproval Time:**

A range has not been established.

#### **Appeals:**

None.

#### **Renewals:**

Based on grantee progress, the quality of the renewal plans, and the availability of funds.

#### **Formula and Matching Requirements:**

The Corporation's share of the total cost of carrying out a funded program may not exceed 90 percent for the first program year; 80 percent for the second year; 70 percent for the third year; 50 percent for the fourth and any subsequent year.

#### **Length and Time Phasing of Assistance:**

Grants are for up to a 3- year period. Funding is awarded on an annual basis



subject to annual review and the availability of funds.

**Reports:**

Reports should be made as required by Law.

**Audits:**

Audits must be performed as required by the Law.

**Records:**

Records are required to be maintained as spelled out in the individual grant.

**Account Identification:**

95-2720-0-1-506.

**Obligations:**

(Grants) FY 07 \$25,616,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$20,000 to \$2,376,360; \$298,610.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, it is estimated that Learn and Serve America: School and Community based programs engaged over 1,500,000 school-age youth in service-learning programs in local schools and communities nationwide. These programs provide opportunities for youth to learn and develop while addressing unmet needs in the areas of education, public safety, health, and environment. To accomplish the program's overarching goals of promoting academic excellence, fostering civic responsibility, and impacting communities, the Corporation has identified five programmatic priorities. The priorities are building capacity and an infrastructure to promote and support high quality service-learning efforts; forming partnerships with other educational improvement initiatives; qualitative/quantitative research and evaluation; linking service-learning to other types of national and community service efforts; and forming partnerships with citizen groups, community organizations and institutions of higher education. To ensure the quality of Learn and Serve America: School and Community based programs, the Corporation will provide guidance and technical assistance to funded agencies and organizations, and others interested in expanding service learning opportunities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Corporation's Headquarters Office. The Corporation's requirements for Learn and Serve America are set forth in the regulations published in the Federal Register on March 23, 1994, CFR 2515 to 2519.

**Regional or Local Office:**

See Appendix IV of the Catalog for a list of regional offices.

**Headquarters Office:**

Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

**Web Site Address:**

www.nationalservice.org .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

In a Minnesota service-learning program, high school students visit the St. Louis River as part of a chemistry class to test water quality and initiate local pollution control. Third graders, in an Indiana program, spend time with seniors in nursing homes. Information is gathered and friends are made of long- time residents of their community as part of an English Project for a book on local history.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant application are reviewed against the following criteria: (1) Program design (2) organizational capacity, and (3) budget/cost-effectiveness.

**94.005 LEARN AND SERVE AMERICA-HIGHER EDUCATION**

**FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

**AUTHORIZATION:**

National and Community Service Act of 1990; as amended and the Higher Education Act of 1965.

**OBJECTIVES:**

This grant program has two main objectives: (1) To support high quality service learning projects that engage students in meeting community needs with demonstrable results, while enhancing students' academic and civic learning; and (2) to support efforts to build capacity and strengthen the service infrastructure with institutions of higher education.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

To strengthen the service-learning infrastructure and support high quality programs.

**Applicant Eligibility:**

Entities eligible to receive a grant are limited to individual institutions of higher education (as defined by the Higher Education Act of 1965), consortia of institutions of higher education, and nonprofit organizations or public agencies, including States, working in partnership with one or more institutions of higher

education.

**Beneficiary Eligibility:**

Graduate and undergraduate students, faculty members, local and national nonprofit organizations, and public agencies will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Grant applicants apply directly to the Corporation for National and Community Service through an annual grant cycle. Selected institutions and organizations receive grants directly from the Corporation. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the Corporation for specific details.

**Award Procedure:**

Contact the Corporation for specific details.

**Deadlines:**

Contact the Corporation for National and Community Service headquarters.

**Range of Approval/Disapproval Time:**

A range has not been established.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Grant recipients are required to provide a cash and/or in-kind match of an amount equal to or greater than the amount of the grant award.

**Length and Time Phasing of Assistance:**

The Corporation awards grants for a one-year period, with the possibility of renewal in each of the two following years, contingent upon program performance and the availability of funds.

**Reports:**

None.

**Audits:**

Audits must be performed as required by the Law.

**Records:**

None.

**Account Identification:**

95-2720-0-1-506.

**Obligations:**

(Grants) FY 07 \$8,539,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$40,000 to \$320,000; \$188,600.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2002, the Corporation awarded continuation grants to support 57 service-learning programs at colleges and universities across the Nation. These programs engaged over 30,000 students at over 300 institutions of higher education in service activities such as tutoring, mentoring, health outreach and education, primary and preventive health care, conflict resolution, neighborhood clean-up and revitalization, gang violence, and substance abuse prevention. Through structured reflection and related course work, the students translate their service activities into opportunities for academic and civic learning. The Corporation monitors and provides technical assistance to funded programs in order to enhance quality and networking opportunities. In fiscal year 2003, the Corporation's funding will support approximately 62 continuing programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application regulations have been specified in the Law. Contact the Corporation's headquarters office for further details.

**Regional or Local Office:**

See Appendix IV of the Catalog for a list of State Program Offices.

**Headquarters Office:**

Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

**Web Site Address:**

www.nationalservice.org .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Over 150 teacher education students at three State colleges are learning how to use service- learning in K-12 classrooms, while working alongside K-12 students in service projects assisting the homebound elderly. (2) As part of a credit bearing clinical program, over 35 law students at a private university are providing legal assistance to low-income communities in order to reduce toxic exposure and work place environmental hazards. (3) As part of their clinical rotations, over 250 nursing and allied health professions students from one private and one community college are providing community-based health education and primary care to senior citizens and low-income people. (4) A national organization of community colleges is providing subgrants, technical assistance, and networking opportunities to eight member colleges engaged in developing service learning projects and infrastructure.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications are reviewed against the following quality criteria: (1)

Program design, (2) organization capacity, and (3) Budget/Cost-Effectiveness. All applications are evaluated in a multi-stage process that includes a peer review. Continuation applications are reviewed by corporation staff.

## 94.006 AMERICORPS

### FEDERAL AGENCY:

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

### AUTHORIZATION:

National and Community Service Act of 1990, as amended.

### OBJECTIVES:

AmeriCorps is the cornerstone of the Corporation's national service programs. AmeriCorps addresses pressing education, public safety, human, and environmental needs of our Nation's communities by encouraging Americans to serve either part or full-time. AmeriCorps programs have four goals: 1) Getting things done by providing services with direct and demonstrable results; 2) strengthen communities and uniting individuals of different backgrounds in a common effort to improve their communities; 3) encourage responsibility through service and civic education (AmeriCorps enables members to see themselves as leaders and problem solvers and fulfill their responsibilities to their communities); and 4) expand opportunities in return for devoting a year of their lives to national service. AmeriCorps members may receive education awards for qualified postsecondary education expenses or to pay off qualified student loans.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds must be used to operate or plan national and community service programs.

### Applicant Eligibility:

States, District of Columbia, Puerto Rico, Tribes, Territories, national nonprofit organizations, professional corps, and multi-State organizations may apply.

### Beneficiary Eligibility:

States, District of Columbia, Puerto Rico, Tribes, Territories, national nonprofit organizations, professional corps, and multi-State organizations will benefit.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Contact the Corporation for specific information.

### Award Procedure:

Contact the Corporation for specific award information.

### Deadlines:

Contact the Corporation for deadline dates.

### Range of Approval/Disapproval Time:

The time ranges from 2 to 3 months.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

Fifteen percent living allowances for AmeriCorps members; 33 percent operating and support expenses must be matched. (The funds are allocated as follows: 1) State formula programs. One-third of the fiscal year AmeriCorps funds will be allocated to States according to a population based formula; 2) State competitive programs. At least one-third of the fiscal year AmeriCorps funds will be distributed to programs that are first selected by the States and then submitted to the Corporation for competitive consideration; 3) National direct. Remaining fiscal year funds will be distributed directly to programs operated by national nonprofit organizations, professional corps and programs operating in more than one State; and 4) Set-asides are estimated at two percent of the fiscal year AmeriCorps funds. Set-aside for Indian Tribes and Territories, one percent each.

### Length and Time Phasing of Assistance:

A time frame has not been established.

### Reports:

As required by the Law.

### Audits:

Audits must be performed as required by the Law.

### Records:

All records necessary to perform a proper audit must be retained.

### Account Identification:

95-2720-0-1-506.

### Obligations:

(Grants) FY 07 \$258,960,000; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

The anticipated program grant sizes (excluding planning grants) will range from approximately \$200,000 for State formula programs to \$3,000,000 for National Directs.

### PROGRAM ACCOMPLISHMENTS:

In the 2006-2007 program year, about 67,350 Americans of all ages will serve in AmeriCorps projects. The Corporation has identified four issue areas: education, public safety, human needs and environment. The vast majority of AmeriCorps projects funded will work within these priority areas with a special emphasis on children and youth.

### REGULATIONS, GUIDELINES, AND LITERATURE:

As described in the Law. Contact the Corporation's headquarters office for further details.

### Regional or Local Office:

A list has been included in Appendix IV of the Catalog. State commissions should also be contacted.

### Headquarters Office:

Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

### Web Site Address:

<http://www.nationalservice.org>.

### RELATED PROGRAMS:

None.

### EXAMPLES OF FUNDED PROJECTS:

AmeriCorps members serve in area elementary schools as teaching assistants, tutors, mentors, and role models. AmeriCorps members develop and lead after school programs, work with community volunteers to develop community service projects, assist in immunization projects, renovate housing in low-income areas, tutor elementary children, and staff a crisis help-line for parents of at-risk children; work to improve relationships between community youth and local law enforcement officials by performing outreach, developing public safety instructional materials, conducting conflict resolution classes, and developing crime watch programs. AmeriCorps members have worked to transform a city sludge farm into a nature preserve, restore a polluted swamp to a thriving natural lake, test area drinking water, and create environmental public service announcements.

### CRITERIA FOR SELECTING PROPOSALS:

Criteria are contained in the application guidelines.

## 94.007 PLANNING AND PROGRAM DEVELOPMENT GRANTS

### FEDERAL AGENCY:

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

### AUTHORIZATION:

National and Community Service Act of 1990, as amended.

### OBJECTIVES:

Innovation grants support innovative demonstration service programs that build the ethic of service among Americans of all ages and backgrounds. These include the AmeriCorps Education Award Program, AmeriCorps Promise Fellows, Martin Luther King, Jr., Day of Service grants, and Disability Outreach grants.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Varies by program. AmeriCorps Promise Fellows support community efforts to achieve the five goals for children and youth set at the Presidents' Summit on America's Future. Martin Luther King Jr. Day of Service Grants support community-based service activities conducted to honor the ideals of Dr. King in conjunction with the federal holiday marking his birth. Disability outreach grants support efforts to increase the number of people with disabilities in national and community service.

### Applicant Eligibility:

State, local governments, and nonprofit organizations are eligible for demonstration grants. State commissions, national nonprofit organizations, and operating AmeriCorps programs are eligible for disability grants.

### Beneficiary Eligibility:

State and local governments and nonprofit organizations are beneficiaries of demonstration grants. Persons with disabilities who are participants in AmeriCorps programs operated by State commissions, institutions of higher education, nonprofit organizations, and governments are beneficiaries of disability grants.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Described in the Notice of Funding Availability published in the Federal Register for each program.

### Award Procedure:

The Corporation for National Service awards the grants.

### Deadlines:

Deadlines vary according to the program and are published in the Federal Register.

**Range of Approval/Disapproval Time:**

There is a two to four month range.

**Appeals:**

None.

**Renewals:**

Varies by program.

**Formula and Matching Requirements:**

Varies by program.

**Length and Time Phasing of Assistance:**

Varies by program.

**Reports:**

Varies by program.

**Audits:**

Audits are performed annually.

**Records:**

Records must be maintained as required by the individual grant.

**Account Identification:**

95-2720-0-1-506.

**Obligations:**

(Grants) FY 07 \$9,029,000; FY 08 est not available; and FY 09 est not reported. (Total for all activities under Innovation Programs.)

**Range and Average of Financial Assistance:**

Demonstration grants generally range from \$25,000 to \$500,000. However, Dr. Martin Luther King, Jr., Day of Service grants generally are for \$5,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Education Award Program grants supported more than 13,000 full-and part-time AmeriCorps members who served with national and community service groups in education, public safety, environmental, health and human service programs. The Disability Outreach initiative was initiated in fiscal year 2000 and the grants award process is still in process.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For final guidelines, contact the headquarters office.

**Regional or Local Office:**

A list of field offices is available in Appendix IV of the Catalog.

**Headquarters Office:**

Corporation for National Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

**Web Site Address:**

<http://www.nationalservice.org>

**RELATED PROGRAMS:**

94.002, Retired and Senior Volunteer Program; 94.003, State Commissions.

**EXAMPLES OF FUNDED PROJECTS:**

In one innovative Education Award program, Frostburg State University in Maryland has a freshman dormitory hall where all residents participate on a part-time basis as AmeriCorps Education Award Program members, with the education award going to support their enrollment at Frostburg. These AmeriCorps HallSTAR members tutor in area schools, support community service agencies, and enroll in courses reinforcing the service-learning experience. More than 500 AmeriCorps Promise Fellows are spearheading community efforts to provide young people with the five fundamental resources identified at the Presidents' Summit for America's Future: caring adults in their lives as parents, mentors, tutors, and coaches; safe places with structured activities in which to learn and grow; a healthy start; an effective education that equips them with marketable skills; and an opportunity to give back to communities through service. In California, 22 Fellows serve on projects that promote increase use of health screening and immunization services in underserved areas, that expand the number of after-school programs, and that create job shadowing and community service activities for youth. In New York, 12 Fellows coordinate technology-based Family Learning Centers that train children to be peer tutors and enable students to achieve grade-level skills in reading and math. In Maryland, a Fellow is creating a national mentoring program for first-time juvenile offenders.

**CRITERIA FOR SELECTING PROPOSALS:**

Varies by program. Specific criteria is published in the Federal Register through a Notice of Funds Availability (NOFA) when appropriate. The Corporation is looking for high quality programs that have the potential to be replicated and which provide meaningful service activities for Americans of all ages, backgrounds and abilities.

**94.009 TRAINING AND TECHNICAL ASSISTANCE****FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

**AUTHORIZATION:**

National and Community Service Act of 1993, as amended.

**OBJECTIVES:**

To provide training and technical assistance to national service programs supported by the Corporation for National Service, as well as to State Commissions or alternative entities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Training and Technical Assistance Cooperative Agreements are used to provide training and technical assistance services to CNCS grantees in areas that include sustainability, evaluation, member development and management, organization development and program management, supervisory skills training, financial management and human relations training. The services are provided through national, regional and State workshops and conferences, informational materials in print and electronic formats, telephone assistance and on-site consultations.

**Applicant Eligibility:**

Public agencies including Federal, State, and local agencies and other units of government, nonprofit organizations including groups serving youths, community based organizations, service organizations, institutions of higher education, Indian tribes, and for-profit companies; State and Federal agencies and non-governmental organizations are eligible to compete for Training and Technical Assistance Cooperative Agreements.

**Beneficiary Eligibility:**

States, District of Columbia, Puerto Rico, Tribes, Territories, national nonprofit organizations, Federal agencies, professional corps, and multi-State organizations will benefit.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Applications are submitted to and awarded by the Corporation for National and Community Service. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the Corporation for application procedures.

**Award Procedure:**

Cooperative Agreements are awarded by the Corporation for National and Community Service.

**Deadlines:**

Contact the Corporation for deadline dates.

**Range of Approval/Disapproval Time:**

A time frame has not been established.

**Appeals:**

None.

**Renewals:**

Renewals are subject to performance, continuing need, and the availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

A time frame has not been established.

**Reports:**

Reports must be submitted in accordance with the terms of the cooperative agreement and as required by Law.

**Audits:**

Audits are performed as required by Law.

**Records:**

Records must be maintained in accordance with the requirements of the Cooperative Agreement.

**Account Identification:**

95-2720-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 07 \$9,029,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Training and Technical Assistance Cooperative Agreements awarded competitively to range from \$100,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Training and technical assistance services offered to Corporation-funded national service programs included: assistance in organizational development, evaluation, leadership development, sustainability, financial management, member training, service-learning, human relations and diversity, reading skills development, and member development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Corporation for guidelines.

**Regional or Local Office:**

A list of regional offices appears in Appendix IV of the Catalog.

**Headquarters Office:**

Corporation for National Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6915. Fax: (202) 208-4151.

**Web Site Address:**

<http://www.nationalservice.org>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The Northwest Regional Education Laboratory provides program staff with the skills and resources to effectively design and implement high quality education programs with particular emphasis on literacy, out-of-school time and mentoring programs for youth. Assistance includes regional training of trainer events on



effective practices in such areas as preschool and family literacy, America Reads, tutor training, program start-up, and literacy assessment as well as a regularly updated web site of downloadable education and tutoring resources.

**CRITERIA FOR SELECTING PROPOSALS:**

The Corporation assesses Training and Technical Assistance proposals for quality, organizational capacity, innovation, cost, and replicability.

**94.011 FOSTER GRANDPARENT PROGRAM**

(FGP)

**FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Title II, Part B, Section 211, Public Law 93-113, 42 U.S.C. 5011, as amended; National and Community Service Trust Act of 1993, Public Law 103-82.

**OBJECTIVES:**

The Foster Grandparent Program provides grants to qualified agencies and organizations for the dual purpose of engaging persons 60 or older, with limited incomes, in volunteer service to meet critical community needs; and to provide a high quality volunteer experience that will enrich the lives of the volunteers. Program funds are used to support Foster Grandparents in providing supportive, person to person service to children with exceptional or special needs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The grants may be used for: low-income Foster Grandparent stipends, transportation, physical examinations and meals; staff salaries and fringe benefits, staff travel, equipment, space costs, etc. An amount equal to 80 percent of the corporation for National Service's Federal share must be used for Foster Grandparent direct benefits. Assignment of Foster Grandparents to children and youth may occur in residential and non-residential facilities, including preschool establishments and to children living in their own homes. Volunteers are not to supplant hiring or displace employed workers, or impair existing contracts for service. No agency supervising volunteers shall request or receive compensation for services of the volunteers. Volunteers are not to be involved in and funds are not to be used for religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities. In addition, eligible agencies or organizations may, with a Notice of Grant Award from the Corporation for National and Community Service, receive technical assistance and materials to aid in establishing and operating a non-Corporation funded Foster Grandparent Program project using state, local and private funds.

**Applicant Eligibility:**

Grants are made only to State and local government agencies and private nonprofit organizations.

**Beneficiary Eligibility:**

Foster Grandparents must be: 60 years of age or older, with an income within limits determined by the CEO of the Corporation for National and Community Service (based on the Department of Health and Human Services Poverty Guidelines), and interested in serving infants, children, and youth with special or exceptional needs. (However, individuals who are not income eligible may serve as non-stipended volunteers under certain conditions.) They must be physically, mentally, and emotionally capable and willing to serve selected infants, children or youth on a person-to-person basis.

**Credentials/Documentation:**

The applicant must furnish evidence of: availability of income-eligible older persons, eligible volunteer stations, and the ability to provide sufficient matching nonfederal funds. Nonprofit organizations must furnish: proof of nonprofit status, articles of incorporation, and certification of accounting capability. Costs will be determined in accordance with OMB Circulars No. A-21 for educational institutions, No. A-87 for State and local governments and No. A-122 for nonprofit organizations.

**Preapplication Coordination:**

Organizations interested in exploring the possibility of developing a local FGP project should contact the appropriate Corporation for National and Community Service State Program Office. The application forms (modified by the Corporation for National and Community Service with OMB approval), as furnished by the Corporation for National and Community Service and required by OMB Circular No. A-102, must be used for this Program. This Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the Program for review.

**Application Procedure:**

Applications are submitted to the Corporation for National and Community Service State Program Office. This Program is subject to the provisions of OMB Circular No. A-110 and A-102 for State and local governments.

**Award Procedure:**

Grants are awarded by the Corporation for National and Community Service. States will be notified of awards through the Federal Assistance Awards Data System (FAADS).

**Deadlines:**

Contact the Corporation for National and Community Service State Office for application deadlines.

**Range of Approval/Disapproval Time:**

120 days after receipt of application by the Corporation for National and Community Service.

**Appeals:**

No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding.

**Renewals:**

Grant renewal applications, usually required annually, are submitted 120 days prior to the end of the current budget period.

**Formula and Matching Requirements:**

This Program has no statutory formula. Generally, at least 10 percent of the total project costs must be met by the applicant. In exceptional cases, the CEO of the Corporation for National and Community Service may make grants in excess of 90 percent of total project budget costs.

**Length and Time Phasing of Assistance:**

Grant budget periods generally are 1 year, with an opportunity to amend each year. Grant payments are done through the DHHS Payment Management System.

**Reports:**

Semi-annual Financial Status Report, Project Progress Report, Federal Cash Transactions Report, Project Profile and Volunteer Activity Survey, National Accomplishment Survey, and customer satisfaction survey.

**Audits:**

The Corporation for National and Community Service grants are subject to audit by the Corporation for National and Community Service, the General Accounting Office, other Federal agencies, and contract auditors. In accordance with the provisions of OMB Circular No. A-133, States, Local Governments, and Non-Profit Non-Federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year Organizations.

**Records:**

All financial records for each budget period, including receipts, disbursements, and vouchers for Federal and non-Federal costs; copies of all contracts; personnel records; and job descriptions must be available for a period of 3 years from date of submission of Final Financial Status Report.

**Account Identification:**

44-0103-0-1-506.

**Obligations:**

FY 07 \$110,943,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$0 to \$1,949,000; \$318,333.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, more than 31,000 Foster Grandparent volunteers contributed 27.9 million hours of service to help nearly 263,000 children with special and exceptional needs. Foster Grandparents served through a network of 342 local projects nationwide supported with Corporation and non-Corporation funds. These grantees in turn worked with more than 10,000 community organizations that supervise the Foster Grandparents during their service. Special emphasis was placed on terminally ill children, juvenile delinquents, pregnant teenagers, boarder babies and abused children.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 2552; Foster Grandparent Program brochure.

**Regional or Local Office:**

Corporation for National and Community Service as listed in Appendix IV of the Catalog under the Corporation for National and Community Service.

**Headquarters Office:**

National Senior Service Corps, Foster Grandparent Program, Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-6715.

**Web Site Address:**

<http://www.nationalservice.org> .

**RELATED PROGRAMS:**

94.002, Retired and Senior Volunteer Program; 94.016, Senior Companion Program.

**EXAMPLES OF FUNDED PROJECTS:**

The following exemplifies FGP service: Foster Grandparents serve seriously ill children, many with cancer, at a medical center. The volunteers help the children deal with their illnesses, as well as their temporary separation from their families. While often afraid of the hospital staff, the children "know" that they can trust their Foster Grandparents. Another Foster Grandparent who serves HIV/AIDS toddlers promotes social interaction, sensory stimulation and perception, emotional well-being and language development. Two other Foster Grandparents offer chess instruction to at-risk, elementary school children for

10-week sessions in an effort to provide behavioral modification. Foster Grandparents serve in various settings by assisting children with a variety of physical, emotional, mental, or learning needs. The follow statistics suggest the scope of their service. In fiscal year 1997, 771 Foster Grandparents served in over 215 residential and juvenile detention centers where they assisted youth by providing adult guidance, companionship, and emotional support. Over 9,000 Foster Grandparents served at approximately 3,200 schools where they helped children with literacy needs and a range of other problems. Over 4,100 Foster Grandparents served in Head Start Centers. Some 717 Foster Grandparents served as adult role models and taught parenting skills to over 4,300 teenage mothers. In the area of substance abuse, almost 900 foster Grandparents provided counseling and assistance to almost 5,000 youth.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The corporation-wide evaluation criteria: program design: getting things done; well-documented compelling community needs(s); well-designed activities with measurable goals and objectives that meet community needs; well-defined roles for participants that lead to measurable outcomes/impact; effective involvement of target community in planning/implementation; ability to provide or secure effective technical assistance. Strengthening Communities: Strong community partnerships, including well-defined roles for community partners; Potential for sustainability, innovation, and/or replicability of project activities; enhance capacity of organizations and institutions; mobilization of community resources, including volunteers; Bring together people of diverse backgrounds. Participant Development; Effective plan for recruiting, developing, training, supervising, and recognizing participants; Well-designed plan to engage participants in high-quality service-learning as defined by the Corporation; well-designed plan for participants to learn to serve together with people of diverse backgrounds. Organizational Capacity: Ability to provide sound programmatic and fiscal oversight; sound track record in the issue areas(s) to be addressed by the project; well-defined roles for staff and administrators; well-designed plans or systems for self-assessment, evaluation and continuous improvement. Budget/Cost-Effectiveness: Adequate budget to support program design; commitment of applicant organization/host agency to securing resources for program implementation and/or sustainability; cost-effectiveness within program guidance.

### **94.013 VOLUNTEERS IN SERVICE TO AMERICA**

(Americorps\*VISTA)

#### **FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

#### **AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Title I, Part A, Public Law 93-113, 42 U.S.C. 4951 et seq.

#### **OBJECTIVES:**

To supplement efforts of private, nonprofit organizations and Federal, State, and local government agencies to eliminate poverty and poverty-related problems by enabling persons from all walks of life and all age groups to perform meaningful and constructive service as volunteers.

#### **TYPES OF ASSISTANCE:**

Provision of Specialized Services.

#### **USES AND USE RESTRICTIONS:**

Volunteer: Provides full-time, full-year volunteers to local sponsoring organizations to work on clearly-defined tasks which address the problems of poverty. The volunteers live among the people they serve at subsistence levels of support. All volunteers work to improve the community's ability to solve its own problems. Members of the poor community should actively participate in the development and implementation of the project. Projects must be responsive to the needs and desires of the people who are to benefit from them in order to be funded by VISTA. Volunteers are not to supplant hiring or displace employed workers, or impair existing contracts for service. No agency supervising volunteers shall request or receive compensation for services of the volunteers. Volunteers are not to be involved in, and funds are not to be used for, religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities. Volunteers may be recruited locally to serve in their own communities or referred by the Corporation for National Service to sponsoring organizations in other parts of the country based on the volunteers' skills and project needs.

#### **Applicant Eligibility:**

Sponsors applying for VISTA Volunteers must be Federal, State or local government agencies or private, nonprofit organizations. The project proposing to use the volunteers must be designed to assist in the solution of poverty-related problems.

#### **Beneficiary Eligibility:**

Persons who are assisted by VISTA project activities must be low-income and VISTA activities must directly benefit the poor.

#### **Credentials/Documentation:**

Applicants must be bona fide public or private nonprofit organizations. Nonprofit organizations must furnish proof of nonprofit status and articles of

incorporation.

#### **Preaapplication Coordination:**

Application inquiry forms and assistance in applying for Volunteers may be obtained through the appropriate Corporation for National Service State Office. The application form is submitted to the appropriate Corporation for National Service State Office. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the review process the State requires to be followed in applying for assistance if the State has selected the program for review.

#### **Application Procedure:**

Prospective sponsors apply through Corporation for National Service State Offices. The Governor or other chief executive officer of the State concerned has the right to disapprove programs submitted within 45 days of their submission.

#### **Award Procedure:**

New renewal project applications are reviewed and judged by Corporation for National Service State Offices with final decisions rendered by the Corporation State Director.

#### **Deadlines:**

Contact the Corporation for National and Community Service State Office for project application deadlines.

#### **Range of Approval/Disapproval Time:**

Not applicable.

#### **Appeals:**

No formal appeals for denial of initial project application; however, regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding.

#### **Renewals:**

Renewal applications are required annually at least 115 days prior to the end of the project period. Renewals are subject to the same review procedures as new projects.

#### **Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

#### **Length and Time Phasing of Assistance:**

VISTA Volunteers are assigned to a project for a given length of time, generally 1 year, as designated in a Memorandum of Agreement between Corporation for National Service and the sponsor. Individual volunteers commit themselves to a 1-year term of service which may be extended with sponsor and Corporation for National Service approval.

#### **Reports:**

Quarterly Project Progress Reports in first year; semi-annual thereafter unless requested by Corporation State Office.

#### **Audits:**

Sponsors are subject to audit by Corporation for National Service.

#### **Records:**

Sponsors are expected to maintain records pertaining to volunteer assignments and training activities for 3 years after the end of the project year.

#### **Account Identification:**

44-0103-0-1-506.

#### **Obligations:**

(Direct costs only) FY 07 \$95,470,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

Not applicable.

#### **PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2005, approximately 6,707 VISTA Volunteers served 1,200 sponsoring organizations in 50 States, the District of Columbia, and Puerto Rico in a variety of poverty-related programs. The programs are focused on hunger, homelessness, unemployment, health, economic development including welfare to work, and illiteracy; including literacy problems faced by America's children. Approximately 50 percent of VISTA's resources are focused on the problems of disadvantaged youth, who comprise the largest category, by age, of America's poor. Many of these activities address the problems of substance abuse, delinquency, child abuse, and illiteracy. VISTA resources are allocated among Corporation for National Service Cluster and State offices in accordance with poverty indices within those areas.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

VISTA Program Guidelines, 60 FR 7172 February 7, 1995; VISTA Handbook for Volunteers and Sponsors (Corporation for National Service Handbook 4302.0.)

#### **Regional or Local Office:**

See Corporation for National Service Cluster and State Program Offices list in Appendix IV of the Catalog.

#### **Headquarters Office:**

Director of VISTA, Corporation for National Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-5000 or toll-free (800) 424-8867.

#### **Web Site Address:**

<http://www.nationalservice.org>

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

VISTA has helped to set up drug abuse action centers, literacy programs, food distribution efforts and shelters for runaway youth, and the homeless. For example, VISTA Volunteers provided assistance to families involved in a self-help housing project for low-income families by helping them to select building sites and affordable house plans, obtaining cost estimates for construction materials and subcontracting required, obtaining home ownership loans and providing the families with information on loan payments, credit counseling and home ownership responsibilities. VISTA volunteers assigned to a nonprofit organization in New York provided low-income adults with tutoring services to upgrade their reading skills and to improve their employment potential through computer literacy activities. Volunteers serving in technology projects assess local technology needs, develop and design technology plans, establish community Internet sites, develop web sites and recruit community volunteers for such activities as installing computer hardware and software and staffing computer labs. VISTA Volunteers through a health project provided coordination services from a hospital and local health organizations, which enabled services and resources to be provided to medically under-served seniors in ten target neighborhoods. Volunteers also recruited local volunteers to provide health screenings and referral services in each neighborhood.

#### **CRITERIA FOR SELECTING PROPOSALS:**

All of the following elements must be found in the applicant's proposal for new or renewal projects. The project must: (1) be poverty oriented in scope and comply with the provisions of the Domestic Volunteer Service Act of 1973 applicable to VISTA and all published regulations and Corporation for National Service policies; (2) show that the project goals, objectives and Volunteer tasks are attainable within the time frame during which the Volunteers will be serving on the project and will produce a measurable result; (3) provide for reasonable efforts to recruit and involve low-income community residents in the planning, development and implementation of the VISTA project; (4) provide for frequent and effective supervision of the Volunteers; (5) identify resources needed and make them available for Volunteers to perform their tasks; and (6) have the management capability to carry out the project.

### **94.016 SENIOR COMPANION PROGRAM**

(SCP)

#### **FEDERAL AGENCY:**

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

#### **AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Title II, Part C, Section 213, Public Law 93-113, 42 U.S.C. 5013; National and Community Service Trust Act of 1993, Public Law 103-82.

#### **OBJECTIVES:**

The Senior Companion Program provides grants to qualified agencies and organizations for the dual purpose of engaging persons 60 and older, particularly those with limited incomes, in volunteer service to meet critical community needs; and to provide a high quality experience that will enrich the lives of the volunteers. Program funds are used to support Senior Companions in providing supportive, individualized services to help adults with special needs maintain their dignity and independence.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

The grants may be used for: Senior Companion stipends, transportation, physical examinations, insurance, and meals; staff salaries and fringe benefits, staff travel, equipment, space costs, etc. An amount equal to 80 percent of the Corporation for National and Community Service Federal share must be used for Senior Companion direct benefits. Assignment of Senior Companions to adults may occur in residential and non-residential facilities and in their own homes. Volunteers do not supplant hiring or displace employed workers, or impair existing contracts for service. No agency supervising volunteers shall request or receive compensation for services of the volunteers. Volunteers are not to be involved in and funds are not to be used for religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities. In addition, eligible agencies or organizations may, under a Notice of Grant Award from the Corporation for National and Community Service, receive technical assistance and materials to aid in establishing and operating non-Corporation for National and Community Service funded SCP projects using state, local and private funds.

#### **Applicant Eligibility:**

Grants are made only to State and local government agencies and private nonprofit organizations.

#### **Beneficiary Eligibility:**

Senior Companions must be: 60 years of age or older, with an income within limits determined by the CEO of the Corporation for National and Community Service (based on the Department of Health and Human Services Poverty Guidelines); interested in serving special-needs adults, especially the frail

elderly, and must be physically, mentally, emotionally capable, and willing to serve on a person-to-person basis. However, non-income eligible individuals may serve as non-stipended volunteers under certain conditions.) Adults served are age 21 and over with limitations in one or more activities of daily living which place them at-risk of an inappropriate placement in an institutional setting.

#### **Credentials/Documentation:**

The applicant must furnish evidence of: availability of income eligible older persons, eligible volunteer stations, ability to provide sufficient matching nonfederal funds. Non-profit organizations must furnish: proof of nonprofit status, articles of incorporation, and certification of accounting capability. Costs will be determined in accordance with OMB Circulars No. A-21 for educational institutions, No. A-87 for State and local governments, and No. A-122 for non-profit organizations.

#### **Preapplication Coordination:**

Organizations interested in exploring the possibility of developing a local SCP project should contact the appropriate Corporation for National Service State Program Office. The Corporation for National and Community Service issues application forms to applicants who have established their eligibility. The application forms (modified by the Corporation for National and Community Service with OMB approval), as furnished by the Corporation for National and Community Service and required by OMB Circular No. A-102 must be used for this Program. This Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the Program for review.

#### **Application Procedure:**

Applications are submitted to the Corporation for National and Community Service State Program Office. This Program is subject to the provisions of OMB Circular Nos. A-110 for nonprofit organizations, and A-102 for State and local governments.

#### **Award Procedure:**

Grants are awarded by the Corporation for National and Community Service. States will be notified of awards through the Federal Assistance Awards Data System (FAADS).

#### **Deadlines:**

Contact the Corporation for National and Community Service State Office for application deadlines.

#### **Range of Approval/Disapproval Time:**

120 days after receipt of application by the Corporation for National and Community Service.

#### **Appeals:**

No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding.

#### **Renewals:**

Grant renewal applications, usually required annually, are submitted 120 days prior to the end of the current budget period.

#### **Formula and Matching Requirements:**

This Program has no statutory formula. Generally, at least 10 percent of the total approved budget must be met by the applicant. In exceptional cases, the CEO of the Corporation for National and Community Service may make grants in excess of 90 percent of total project budget costs.

#### **Length and Time Phasing of Assistance:**

Grant budget periods are generally three years, with annual budget periods. Grant payments are made through the DHHS Payment Management System.

#### **Reports:**

Corporation for National and Community Service Semi-Annual Financial Status Report, Project Progress Report, Federal Cash Transactions Report, Project Profile and Volunteer Activity Survey, National Accomplishment Survey, customer satisfaction survey.

#### **Audits:**

Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service, the General Accounting Office, other Federal agencies, and contract auditors. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," grantees that expend financial assistance of \$500,000 or more a year in Federal awards shall have an audit made in accordance with OMB Circular A-133.

#### **Records:**

All financial records for each budget period, including receipts, disbursements, and vouchers for Federal and non-Federal costs; copies of all contracts; personnel records; and job descriptions must be available for a period of 3 years from date of submission of final Financial Status Report.

#### **Account Identification:**

44-0103-0-1-506.

#### **Obligations:**

FY 07 \$46,964,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**



From \$0 to \$689,000; \$237,500.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, over 16,000 SCP volunteers contributed 13.9 million hours of service to nearly 58,000 clients through the 224 organizations that received SCP grants from Corporation and non-Corporation sources.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 2551; Senior Companion Program flyers.

**Regional or Local Office:**

Corporation for National and Community Service State Program Offices, as listed in Appendix IV of the Catalog under Corporation for National and Community Service.

**Headquarters Office:**

National Senior Service Corps, Senior Companion Program, Corporation for National and Community Service, 1201 New York Avenue, NW., Washington, DC 20525. Telephone: (202) 606-5000, ext. 189 and 1-800-424-8867.

**Web Site Address:**

<http://www.nationalservice.org> .

**RELATED PROGRAMS:**

94.011, Foster Grandparent Program; 94.002, Retired and Senior Volunteer Program.

**EXAMPLES OF FUNDED PROJECTS:**

The following exemplifies SCP service: An SCP volunteer provides supportive in-house services to a stroke victim who is confined to a wheelchair, suffers from depression and needs help in daily living. Prior to the arrival of the Senior Companion, the client received no visitors and refused to leave his apartment. Just two months after he arrived, the SCP volunteer convinced his client to venture out of his apartment. Now, the client goes out for meals, exercises and participates in social events at a nearby senior center. Another Senior Companion has provided respite care to the husband of an Alzheimer's patient for over six years. The Senior Companion provides reality orientations, music and games for the client. Senior Companions provide predominantly in-home services to frail adults, often the elderly. The following statistics suggest the scope of their activities. In fiscal year 1997, over 2,400 Senior Companions provided respite to 5,300 Alzheimer's care givers. They served over 5,000 visually impaired, 3,100 hearing impaired, 2,000 terminally ill and 3,000 clients with short-term disabilities. An additional 27,000 frail adults with chronic care disabilities threatening their ability to continue to live at home were served. Senior Companions also served at over 200 adult day care centers; they served at 380 nursing homes and convalescent hospitals.

**CRITERIA FOR SELECTING PROPOSALS:**

The corporation-wide evaluation criteria: program design: getting things done; well-documented compelling community needs(s); well-designed activities with measurable goals and objectives that meet community needs; well-defined roles for participants that lead to measurable outcomes/impact; effective involvement of target community in planning/implementation; ability to provide or secure effective technical assistance. Strengthening Communities: Strong community partnerships, including well-defined roles for community partners; Potential for sustainability, innovation, and/or replicability of project activities; enhance capacity of organizations and institutions; mobilization of community resources, including volunteers; Bring together people of diverse backgrounds. Participant Development; Effective plan for recruiting, developing, training, supervising, and recognizing participants; Well-designed plan to engage participants in high-quality service-learning as defined by the Corporation; well-designed plan for participants to learn to serve together with people of diverse backgrounds. Organizational Capacity: Ability to provide sound programmatic and fiscal oversight; sound track record in the issue areas(s) to be addressed by the project; well- defined roles for staff and administrators; well-designed plans or systems for self-assessment, evaluation and continuous improvement. Budget/Cost-Effectiveness: Adequate budget to support program design; commitment of applicant organization/host agency to securing resources for program implementation and/or sustainability; cost-effectiveness within program guidance.

# SOCIAL SECURITY ADMINISTRATION

## 96.001 SOCIAL SECURITY-DISABILITY INSURANCE

### FEDERAL AGENCY:

SOCIAL SECURITY ADMINISTRATION

### AUTHORIZATION:

Social Security Act of 1935, Title II, as amended; Public Laws 96-265; 97-123, and 97-35. 42 U.S.C. 401; 42 U.S.C. 402; 42 U.S.C. 416; 42 U.S.C. 420-425.

### OBJECTIVES:

To replace part of the earnings lost because of a physical or mental impairment, or a combination of impairments, severe enough to prevent a person from working.

### TYPES OF ASSISTANCE:

Direct Payments with Unrestricted Use; Direct Payments for Specified Use.

### USES AND USE RESTRICTIONS:

Monthly cash benefits are paid to entitled disabled persons and to entitled auxiliary beneficiaries throughout the period of disability generally after a 5-month waiting period. Costs of vocational rehabilitation also are paid for certain beneficiaries. There are no restrictions on the use of benefits received by beneficiaries, although the right to future benefits is not transferable or assignable. In general, State agencies make initial disability determinations for the Federal Government. The Federal Government gives the States funds, in advance or by way of reimbursement, for necessary costs in making disability determinations under 20 CFR 404 Subparts P and Q. Necessary costs are direct as well as indirect costs as defined in 41 CFR 1-15, subpart 1-15.7 of the Federal Procurement Regulations System for costs incurred before April 1, 1984; and 48 CFR 31, Subpart 31.6 of the Federal Acquisition Regulations System and Federal Management Circular A-74-4, as amended, or superseded for costs incurred after March 31, 1984.

### Applicant Eligibility:

A disabled worker is entitled to Social Security disability benefits if he or she has worked for a sufficient period of time under Social Security to be insured, has not attained "full-benefit retirement age" (66 years old for workers age 62 in 2005), has filed an application, and is under a disability as defined in the Social Security law. The law defines disability as the inability to do any substantial gainful activity by reason of any medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of not less than 12 months. The insured status requirements depend upon the age of the applicant and the date he or she became disabled. Coverage credits under the social security systems of certain foreign countries with which the U.S. has reciprocal agreements may be taken into account to meet the requirements. Certain family members of disabled workers are also entitled to benefits: (1) Unmarried children under age 18, or under age 19 for full-time students in elementary or secondary school; (2) unmarried adult offspring at any age if continuously disabled since before age 22; (3) wife or husband at any age if child in his or her care is receiving benefits on worker's Social Security record and is under age 16 or disabled; (4) spouse age 62 or over; and (5) divorced wives or husbands age 62 or over who were married to the worker for at least 10 years. (Benefits are also payable to auxiliaries, including certain disabled widow(er)s, disabled surviving divorced spouses, children under age 19 who are full-time students in an elementary or secondary school, and disabled children of the worker, after the worker dies. See 96.004 "Social Security-Survivors' Insurance".) For workers who are first entitled after 1985 for both (a) a pension based on non-covered employment; and (b) Social Security disability (or retirement) benefits, a less generous benefit formula applies. In addition, Social Security disability benefits are reduced (offset) by the amount that the sum of all disability benefits payable under Social Security and certain Federal, State, or local public disability and workers' compensation laws or plans exceeds the higher of 80 percent of the worker's average current earnings or the total Social Security benefit that would otherwise be payable on the disabled worker's record. The Social Security benefit for a spouse of a disabled worker is subject to a pension offset if the spouse receives a governmental pension based on his or her own work in non-covered employment. However, the offset does not apply if: (i) the person received or became eligible to receive the pension before December 1, 1982, and can meet requirements for Social Security auxiliaries' benefit as they existed in January 1977; or (ii) if the person received, or was eligible to receive, the pension before July 1, 1983, and the person was dependent on his or her spouse for at least one-half support at the time the spouse died, became disabled or became entitled to Social Security benefits. The amount of the public pension used for purposes of the offset against Social Security spouse's benefits is equal to two-thirds of the public pension. The Social Security benefit for the spouse of a disabled worker is also offset dollar for dollar by the amount of any Social Security benefit the spouse receives based on his or her own work. All benefits to spouses and children of disabled workers are subject to an earnings test unless those beneficiaries are full-benefit retirement age or older. Beginning with the year 2000, the retirement earnings test was eliminated beginning with the month in which the beneficiary reaches full-benefit retirement age (FRA). A person at and

above FRA will not have Social Security benefits reduced because of earnings. In the calendar year in which a beneficiary reaches FRA, benefits are reduced \$1 for every \$3 of earnings above the limit allowed by law, \$31,800 in 2005, but this reduction is applied only to months prior to attainment of FRA. For years before the year the beneficiary attains FRA, the reduction in benefits is \$1 for every \$2 of earnings over the annual exempt amount. Further, no benefit can be paid to an alien in the United States unless he or she is lawfully present in the United States. In addition, an alien cannot qualify for benefits if he or she never had a work-authorized Social Security Number (SSN) (effective for benefit applications based on SSNs issued after 2003).

### Beneficiary Eligibility:

Qualified disabled workers under full retirement age (FRA). Under the definition of disability in the Social Security Law, disability benefits are provided to a person who is unable to engage in any substantial gainful activity by reason of a medically determinable physical or mental impairment that has lasted or is expected to last at least 12 months, or to result in death. Disabled widow(er)s' benefits are covered under survivors insurance. Felony-related impairments and confinement-related impairments cannot be considered in determining whether an individual is under a disability if the individual has been convicted of a felony which was committed after October 19, 1980. Effective for claims finally adjudicated on or after March 29, 1996, (or for claims approved before then, with benefits payable beginning January 1, 1997) eligibility can no longer be based on drug addiction or alcoholism.

### Credentials/Documentation:

Proof of disability and possibly proof of age. If applying for benefits for family members, additional proofs of age, relationship to disabled worker, or full-time school attendance may be required.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Telephone toll free at 1 (800) 772-1213 or telephone or visit the local Social Security Office.

### Award Procedure:

After review of the application is completed, the applicant (or representative payee) will be notified by mail.

### Deadlines:

An individual should apply for disability benefits when he or she believes the entitlement requirements may be met. Retroactivity of benefit payments is limited to 1 year before filing.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Telephone or visit any Social Security Office. The appeal process ranges from a reconsideration through hearings and appeals levels to a review by the Federal courts.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

This program has no statutory formula or matching requirements.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

Any change in address or other requirement (such as improvement of disabling condition or work activity) must be reported to the local Social Security Office when it occurs.

### Audits:

Continuing Disability Reviews: Persons are contacted periodically to see if they continue to qualify for benefits.

### Records:

Not applicable.

### Account Identification:

20-8007-0-7-651.

### Obligations:

(Benefit Payments) FY 07 \$96,988,000,000; FY 08 est \$102,854,000,000; and FY 09 est not reported. (Note: These figures represent benefits actually paid, or expected to be paid.)

### Range and Average of Financial Assistance:

Monthly cash benefits for a worker disabled in 2005 range up to a maximum of \$2,099 based on the level of the worker's earnings and the age at which a worker becomes disabled. The corresponding maximum for such a worker with a family is \$3,148.60. As of December 31, 2004, the average benefit paid to a disabled worker alone was \$880 and the average amount payable to a disabled worker with eligible dependents was \$1,496. This takes into account stipulations set forth in Public Law 96-265 and Public Law 97-35. Under Public Law 97-123, the minimum amount is no longer applicable for workers who either become disabled or first met the insured status requirements after December 1981, and a lesser amount can be paid, depending on the worker's

average earnings.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2004, an average of 7,696,000 disabled workers and their dependents received monthly cash benefits. It is estimated that for fiscal year 2005, an average of 8,005,000 disabled workers and their dependents will receive monthly cash benefits. During fiscal year 2006, the average number receiving benefits is expected to increase to 8,302,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 402, 404, 422, 423, 429, 430, and 498. "Disability" and other publications are available from any Social Security Office without charge. The Social Security internet address is [www.ssa.gov](http://www.ssa.gov) and it includes copies of all disability-related laws, regulations, rulings, and free publications, as well as other information about the disability insurance programs.

**Regional or Local Office:**

Consult Appendix IV of the Catalog.

**Headquarters Office:**

Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235. Telephone: (410) 965-2736. Use the same number for FTS.

**Web Site Address:**

<http://www.socialsecurity.gov>.

**RELATED PROGRAMS:**

17.302, Longshore and Harbor Workers' Compensation; 17.307, Coal Mine Workers' Compensation; 57.001, Social Insurance for Railroad Workers; 64.103, Life Insurance for Veterans; 93.560, Family Support Payments to States Assistance Payments; 93.773, Medicare Hospital Insurance; 93.774, Medicare Supplementary Medical Insurance; 96.002, Social Security Retirement Insurance; 96.005, Special Benefits for Disabled Coal Miners; 96.006, Supplemental Security Income.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 96.002 SOCIAL SECURITY-RETIREMENT INSURANCE

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Social Security Act of 1935, Title II, as amended; 42 U.S.C. 401-433; Public Law 104-208.

**OBJECTIVES:**

To replace part of the earnings lost due to retirement.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to eligible retired workers and their eligible auxiliaries. There are no restrictions on use of benefits by a beneficiary, although the right to future benefits is not transferable or assignable.

**Applicant Eligibility:**

Retired workers age 62 and over who have worked the required number of years under Social Security are eligible for monthly benefits. Coverage credits under the social security systems of certain foreign countries with which the U.S. has reciprocal agreements may be taken into account to meet the requirements. If an eligible worker age 62 or over receives benefits before full-benefit retirement age (FRA)(age 66 for workers age 62 in 2005), the individual's retirement benefit will be permanently reduced. Also, certain family members can receive benefits including: (1) A wife or husband age 62 or over; (2) a spouse at any age, if a child who is under age 16 or is disabled is in his or her care and is entitled to benefits based on the worker's record; (3) unmarried children under age 18 (or under age 19 for students in elementary or secondary school); (4) unmarried adult offspring at any age if disabled before age 22; and (5) divorced wives or husbands age 62 or over who were married to the worker for at least 10 years. Beginning January 1985, spouses ages 62 or over who have been divorced for at least 2 years (and married to the worker for at least 10 years) may become entitled to benefits regardless of whether the former spouse who is at least age 62 and fully insured has applied for benefits. Effective January 1991, the 2-year waiting period for payment of divorced spouse's benefits without regard to the former spouse's earnings was waived if the former spouse was entitled to benefits prior to the divorce. All benefits, other than benefits to disabled beneficiaries, and beneficiaries FRA and older, are subject to an earnings test. Beginning with the year 2000, the retirement earnings test was eliminated beginning with the month in which the beneficiary reaches FRA. A person at and above FRA will not have Social Security benefits reduced because of earnings. In the calendar year in which a beneficiary reaches FRA, benefits are reduced \$1 for every \$3 of earnings above the limit allowed by law, \$31,800 in 2005, but this reduction is applied only to months prior to attainment of FRA. For years before the year the beneficiary attains FRA, the reduction in benefits is \$1 for every \$2 of earnings over the annual exempt amount, \$11,640 in 2005.

For workers who are first eligible after 1985 for both (a) a pension based on non-covered employment; and (b) Social Security retirement (or disability) benefits, a different benefit formula applies which provides somewhat lower benefits.

The Social Security benefit for a spouse of a retired worker is subject to a pension offset if the spouse receives a governmental pension based on his or her own work in non-covered employment. However, the offset does not apply if: (i) the person has received or became eligible to receive the pension before December 1, 1982, and met eligibility requirements for Social Security auxiliaries' benefits as they existed in January 1977; or (ii) if the person receives, or is eligible to receive, the pension before July 1, 1983, and the person was dependent on his or her spouse for at least one-half support at the time the spouse died, became disabled or became entitled to Social Security benefits. The amount of the public pension used for purposes of the offset against Social Security spouse's benefits is equal to two-thirds of the public pension. The benefit for the spouse of a retired worker is also offset dollar for dollar by the amount of any Social Security benefit the spouse receives based on his or her own work. Effective for those who have reached age 62 since August 1981, a retired worker or spouse can receive benefits only for months in which he or she has attained at least age 62 for the entire month. No benefit can be paid to an alien in the United States unless he or she is lawfully present in the United States. In addition, an alien cannot qualify for benefits if he or she never had a work-authorized

Social Security Number (SSN) effective for benefit applications based on SSNs issued after 2003).

**Beneficiary Eligibility:**

Benefits are paid to retired workers age 62 and over who have worked the required number of years under Social Security, and to certain family members.

**Credentials/Documentation:**

Proof of age is required. If applying for benefits for auxiliaries, additional proofs of age, dependency, and relationship to the retired worker may be required. To receive benefits, auxiliaries must have a SSN.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Call toll free at 1 (800) 772-1213 or, telephone or visit the local Social Security Office. Retired workers, spouses and divorced spouses may also apply via the Internet.

**Award Procedure:**

After review of the application is completed, the applicant (or representative payee) will be notified by mail.

**Deadlines:**

It is to the worker's advantage to apply for benefits in the three months before he or she retires. Retroactivity is limited to 6 months if unreduced benefits are being awarded. No retroactivity is provided where reduced benefits are being awarded.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Call toll free at 1(800) 772-1213 or telephone or visit the local Social Security office. The appeal process can range from a case review to a review by the Federal Courts. An appeal must be requested in writing within 60 days of the date on which a written notice of SSA's decision is received by the applicant. The 60 days start the day after notice is received.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Any change in address or eligibility requirements (such as work status, marital or family status, or school attendance) must be reported to the Social Security Office when it occurs.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

20-8006-0-7-651.

**Obligations:**

(Benefit Payments) FY 07 \$406,880,000,000; FY 08 est \$428,032,000,000; and FY 09 est reported. (Note: These figures represent benefits actually paid, or expected to be paid.)

**Range and Average of Financial Assistance:**

Monthly cash benefits for a worker retiring at full retirement age (FRA) in 2005 range up to \$1,939 and to a maximum of \$3,394.10 for a family of such a worker receiving benefits. As of December 31, 2004, the average benefit paid to a retired worker alone (no family members receiving benefits) was \$942 and the average amount payable to a retired worker with an eligible spouse was \$1,574.

**PROGRAM ACCOMPLISHMENTS:**



In fiscal year 2006, an average of 33,638,000 retired workers and their auxiliaries received monthly cash benefits. For fiscal year 2007, an average of 34,137,000 retired workers and their auxiliaries received monthly cash benefits. During fiscal year 2008, the average number receiving benefits is expected to increase to 34,673,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 404, and 422. "Your Social Security", "Thinking About Retiring", and many other publications are available from any Social Security office without charge.

**Regional or Local Office:**

Consult Appendix IV of the Catalog.

**Headquarters Office:**

Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235. Telephone: (410) 965-2736. Use the same number for FTS.

**Web Site Address:**

<http://www.socialsecurity.gov>.

**RELATED PROGRAMS:**

57.001, Social Insurance for Railroad Workers; 96.001, Social Security\_Disability Insurance; 96.003, Social Security\_Special Benefits for Persons Aged 72 and Over; 96.004, Social Security\_Survivors Insurance; 96.005, Special Benefits for Disabled Coal Miners; 96.006, Supplemental Security Income.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 96.004 SOCIAL SECURITY-SURVIVORS INSURANCE

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Social Security Act of 1935, Title II, as amended; 42 U.S.C. 401-433.

**OBJECTIVES:**

To replace part of the earnings lost to dependents because of the worker's death.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to eligible family members of deceased workers. There are no restrictions on the use of benefits, although the right to future benefits is not transferable or assignable. The Federal government gives the States funds, in advance or by way of reimbursement, for necessary costs in making disability determinations under 20 CFR part 404 subparts P and Q. Necessary costs are direct as well as indirect costs as defined in 41 CFR Part 1-15, Subpart 1-15.7 of the Federal Procurement Regulations System for costs incurred before April 1, 1984; and 48 CFR 31, Subpart 31.6 of the Federal Acquisition Regulations System and Federal Management Circular A-74-4 as amended or superseded for costs incurred after March 31, 1984.

**Applicant Eligibility:**

Benefits are payable only if the deceased was insured for survivors insurance protection. Coverage credits under the social security systems of certain foreign countries with which the U.S. has reciprocal agreements may be taken into account to meet the requirements. Survivors eligible for monthly cash benefits are the following: widows or widowers age 60 or over; surviving divorced spouses age 60 or over (married to the deceased worker for at least 10 years); disabled widows, widowers or surviving divorced spouses ages 50- 59; widows, widowers, or surviving divorced spouses at any age who have in their care a child under age 16 or disabled and entitled to benefits on the deceased worker's Social Security record; unmarried children under age 18, under age 19 and a full time student in elementary or secondary school; or age 18 or older and under a disability which began before age 22; and dependent parents age 62 and over. All survivors benefits, other than for beneficiaries at full retirement age (FRA) or older, are subject to an earnings test. Beginning with the year 2000, the retirement earnings test was eliminated beginning with the month in which the beneficiary reaches FRA. A person at and above FRA will not have Social Security benefits reduced because of earnings. In the calendar year in which a beneficiary reaches FRA, benefits are reduced \$1 for every \$3 of earnings above the limit allowed by law, \$31,080 in 2005, but this reduction is applied only to months prior to attainment of FRA. For years before the year the beneficiary attains FRA, the reduction in benefits is \$1 for every \$2 of earnings over the annual exempt amount, \$12,000 in 2005. Except for benefits to children and dependent parents, all survivors benefits are subject to a pension offset if the person is also receiving a governmental pension based on his or her own work in non-covered employment. However, the offset does not apply: (1) If the person receives, or is eligible to receive, the pension before December 1, 1982, and can meet the requirements for the Social Security auxiliary's benefit as they existed in January 1977; or (2) if the person receives, or is eligible to receive, the pension before July 1, 1983, and the person was dependent on his or her spouse for at least one-half support at the time the spouse died, became disabled or

became entitled to Social Security benefits. The amount of the public pension used for purposes of the offset against Social Security survivor's benefits is equal to two-thirds of the public pension. Benefits for widows/widowers and surviving divorced spouses are also offset dollar for dollar by any Social Security benefit the surviving spouse receives based on his or her own work. Under certain conditions, a lump-sum death payment of \$255 is payable to the widow or children of the deceased worker. Further, no benefit can be paid to an alien in the United States unless he is lawfully present in the United States. Also, an alien cannot qualify for benefits if he or she never had a work-authorized Social Security Number (SSN) (effective for benefit applications based on SSNs issued after 2003).

**Beneficiary Eligibility:**

Widows, widowers, and surviving divorced spouses age 60 or over are entitled as long as the worker met the insurance requirements. Widows, widowers, and surviving divorced spouses also qualify at any age if they have entitled children of the worker under age 16 or disabled children in their care; unmarried children: under age 18, under age 19 and a full-time student in elementary or secondary school or age 18 or older and under a disability which began before age 22; and dependent parents age 62 and over. To claim benefits as disabled widows, widowers, or surviving divorced spouses, individuals ages 50-59 must show that they have a disability that started no later than 7 years after the insured died or 7 years after certain other events. "Disability" currently has the same meaning for these entitlements as it does for workers who claim disability insurance (see 96.001). As in worker disability claims, there is also a 5-month waiting period after the disability began before benefits begin and entitlement to Medicare after 24 months of entitlement to benefits. Children of the worker claiming benefits because of disability are also subject to the definition of disability used for workers and must show that they have been disabled since before they reached age 22. There is no waiting period for these benefits.

**Credentials/Documentation:**

Social Security number, proof of death, age, and relationship. For certain auxiliaries, proof of support may be required.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Call toll free at 1 (800) 772-1213 or telephone or visit the local Social Security Office.

**Award Procedure:**

After review of the application is completed, the applicant (or representative payee) will be notified by mail.

**Deadlines:**

Retroactivity is limited to 6 months if unreduced benefits are being awarded. Other than a minor exception that permits one-month retroactivity if the widow(er) files for benefits in the month after the month of the worker's death, no retroactivity is provided in most cases when reduced benefits are being awarded. For disabled surviving spouses and disabled surviving divorced spouses, benefits may be retroactive for up to 12 months.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Call toll free at 1 (800) 772-1213 or telephone or visit the local Social Security office. The appeal process can range from a case review to a review by the Federal courts. An appeal must be requested in writing within 60 days of the date on which a written notice of SSA's decision is received by the applicant. The 60 days start, the day after receipt of the notice.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Any change in address or in eligibility requirements (such as work status, marital or family status, or school attendance) must be reported to Social Security when it occurs.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

20-8006-0-7-651.

**Obligations:**

(Benefit Payments) FY 07 \$69,830,000,000; FY 08 \$71,704,000,000; and FY 09 est not reported. (Note: These figures represent benefits actually paid, or expected to be paid.

**Range and Average of Financial Assistance:**

Monthly cash benefits range up to \$1,939 for the widow or widower of a worker who dies at age 65 in January 2005. As of December 31, 2004, the average benefit paid to an aged widow or widower alone was \$920, and the average amount paid to a widowed mother or father with two or more eligible children

was \$1,905.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2007, an average of 6,544,000 received monthly cash benefits. During fiscal year 2008, the average number receiving benefits is expected to increase to 6,499,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 404, 422. "Your Social Security," and other publications are available from any Social Security office without charge. The Social Security internet address is [www.ssa.gov](http://www.ssa.gov) and it includes copies of all disability-related laws, regulations, rulings, and free publications, as well as other information about Social Security programs.

**Regional or Local Office:**

Consult Appendix IV of the Catalog.

**Headquarters Office:**

Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235. Telephone: (410) 965-2736. Use the same number for FTS.

**Web Site Address:**

<http://www.socialsecurity.gov>.

**RELATED PROGRAMS:**

17.302, Longshore and Harbor Workers' Compensation; 17.307, Coal Mine Workers' Compensation; 57.001, Social Insurance for Railroad Workers; 64.103, Life Insurance for Veterans; 64.105, Pension to Veterans Surviving Spouses, and Children; 96.001, Social Security Disability Insurance; 96.002, Social Security Retirement Insurance; 96.003, Social Security Special Benefits for Persons Aged 72 and Over; 96.005, Special Benefits for Disabled Coal Miners; 96.006, Supplemental Security Income.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 96.006 SUPPLEMENTAL SECURITY INCOME

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Social Security Act of 1935, Title XVI, as amended; 42 U.S.C. 1381-1383f.

**OBJECTIVES:**

To ensure a minimum level of income to persons who have attained age 65 or are blind or disabled, and whose income and resources are below specified levels.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Supplemental Security Income (SSI) payments are made to persons who have attained age 65 or who are blind or disabled and meet the means-tested and other requirements of the program. Generally, there are no restrictions on the use of benefits received by beneficiaries, although the right to future benefits is not transferable or assignable. The Federal government gives the States funds, in advance or by way of reimbursement, for necessary costs in making disability determinations under 20 CFR 404 subparts P and Q and part 416 subparts I and J. Necessary costs are direct as well as indirect costs as defined in 41 CFR 1-15, subpart 1-15.7 of the Federal Procurement Regulations System for costs incurred before April 1, 1984; and 48 CFR 31, Subpart 31.6 of the Federal Acquisition Regulations System and Federal Management Circular No. A-74-4 as amended or superseded for costs incurred after March 31, 1984.

**Applicant Eligibility:**

To be found disabled for SSI purposes: an individual age 18 or older must be unable to perform any substantial gainful activity by reason of any medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of at least 12 months; an individual under age 18 must have a medically determinable physical or mental impairment or combination of impairments that causes marked and severe functional limitations, and that can be expected to cause death or that has lasted or can be expected to last for a continuous period of at least 12 months. An individual under age 18 who files a new application for benefits and is engaging in substantial gainful activity will not be considered disabled. To be found blind for SSI purposes, an individual of any age must be "statutorily blind." This means central visual acuity of 20/200 or less in the better eye with use of a correcting lens. The eligibility of an individual who has attained age 65 or who is blind or disabled is determined on the basis of an assessment of the individual's monthly income and resources, citizenship or alien status, U.S. residency, and certain other eligibility requirements. In determining a month's income, the first \$20 of Social Security or other unearned income is not counted. An additional \$65 of earned income (\$85 if the person had no unearned income) received in a month plus one-half of the remainder above \$65 (or \$85) also is not counted. If, after these (and other) exclusions, an individual's countable income, effective January 2004, is less than \$564 per month (\$846 for a couple, both of whom are aged, blind or disabled) and

countable resources are less than \$2,000 (\$3,000 for a couple), the individual may be eligible for payments. The values of household goods, personal effects, an automobile, life insurance, and property needed for self support are, if within limits set out in regulations, excluded in determining value of resources. Burial spaces for an individual and immediate family and burial funds, up to \$1,500 each for an individual and spouse, are excluded from resources. The value of a home which serves as the principal place of residence is also excluded in resource valuation.

**Beneficiary Eligibility:**

Individuals who have attained age 65 or are blind or disabled, who continue to meet the income and resources tests, citizenship/qualified alien status, U.S. residence, and certain other requirements. Eligibility may continue for beneficiaries who engage in substantial gainful activity despite disabling physical or mental impairments.

**Credentials/Documentation:**

Proof of age, marital status, income and resources, establishment of blindness or disability, proof of residence in the U.S. and citizenship, or alien status is required.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Call toll free at 1-800-772-1213 or telephone or visit the local Social Security Office.

**Award Procedure:**

The individual (and representative payee, if any,) will be notified by mail of award or denial.

**Deadlines:**

None. Benefits are not paid prior to the month following the month of application. However, an emergency advance payment may be available in the month of filing the application.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Call toll free at 1 (800) 772-1213 or telephone or visit the local Social Security Office. The appeal process ranges from a case review or field office conference to a review by the Federal Courts. An appeal must be requested within 60 days of the date on which a written notice of SSA's initial determination is received by the applicant. The 60 days start the day after you receive the notice.

**Renewals:**

A redetermination of a person's benefit amount and continuing eligibility will be made on a scheduled basis at periodic intervals. Unscheduled redeterminations are made when changes in circumstances are reported. The length of time between scheduled redetermination varies depending on the likelihood that the beneficiary's situation may change in a way that affects payment amount or eligibility.

**Formula and Matching Requirements:**

This program has no statutory formula. Some mandatory State supplements are required by supplemental security income law to maintain former State recipients' December 1973 payment levels at pre-supplemental security income levels, increased by cost-of-living adjustments, where such payments were higher than the initial supplemental security income standards. States also have the option of paying supplements. The Social Security Administration will administer for a fee under agreements with States both mandatory and optional State supplements. States paying supplements are required by supplemental security income law to maintain either their State supplement expenditures or their payment levels when Federal standards are increased.

**Length and Time Phasing of Assistance:**

Benefits are paid monthly. Accrued benefits are paid in a lump sum unless they exceed a specified amount in which case they are paid in up to three installments at 6 month intervals. In the case of a disabled child, accrued payments over a certain amount must be retained in a dedicated account and used only for certain approved expenditures.

**Reports:**

Any change of address or any event affecting eligibility or benefit amount (such as an increase in resources or income or improvement of disabling condition) must be reported to the Social Security Administration when the event occurs.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

75-0406-0-1-609.

**Obligations:**

(Benefit Payments) FY 07 \$36,481,897,840; FY 08 est \$41,225,000,000; and FY 09 est not reported. (Note: These figures represent benefits actually paid, or expected to be paid.)

**Range and Average of Financial Assistance:**

Monthly Federal cash payments range from \$1 to \$637 for an aged, blind, or disabled individual who does not have an eligible spouse, and from \$1 to \$956 for an aged, blind, or disabled individual and an eligible spouse. These rates

became effective January 2008. The average Federal monthly benefit payment for December 2007 was \$437.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2003, an average of 6,553,000 persons per month were Federal Supplemental Security Income recipients. It is estimated that in fiscal year 2004, an average of 6,711,000 recipients will receive monthly cash benefits. During fiscal year 2005, the average number receiving payments is estimated to be 6,867,000 per month. Not included are those persons who receive only State supplementary payments, some of which are administered by the Social Security Administration for the States as part of the SSI program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 416, and 422. "SSI for Aged, Blind, and Disabled People" and other publications are available from any Social Security Office without charge. The Social Security internet address is [www.ssa.gov](http://www.ssa.gov) and it includes copies of all disability-related laws, regulations, rulings, and free publications, as well as other information about Social Security programs.

**Regional or Local Office:**

Consult Appendix IV of the Catalog.

**Headquarters Office:**

Office of Public Inquiries, Room 4100, Annex, Social Security Administration, Baltimore, MD 21235. Telephone: (410) 965-2736. Use the same number for FTS.

**Web Site Address:**

<http://www.socialsecurity.gov>

**RELATED PROGRAMS:**

93.560, Family Support Payments to States\_Assistance Payments; 93.778, Medical Assistance Program; 96.001, Social Security\_Disability Insurance; 96.002, Social Security\_Retirement Insurance; 96.003, Social Security\_Special Benefits for Persons Aged 72 and Over; 96.004, Social Security\_Survivors Insurance; 96.005, Special Benefits for Disabled Coal Miners.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 96.007 SOCIAL SECURITY-RESEARCH AND DEMONSTRATION

(SSA Research and Demonstration)

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Social Security Act of 1935, Title II and Title XVI, Section 1110, as amended; 42 U.S.C. 401-433, 902, 1310, 1381-1388c.

**OBJECTIVES:**

(1) To conduct social, economic, and demographic research on topics important to the Social Security Old Age, Survivors and Disability Insurance and Supplemental Security Income (SSI) programs and the current and future well-being of their beneficiaries; (2) to develop and carry out experiments and research demonstration projects to determine the efficacy of: (a) alternative ways of rehabilitating beneficiaries and encouraging their return to work; and (b) modifying conditions applicable to such beneficiaries including: (i) early referral for rehabilitation services; and (ii) greater use of employers and others in the rehabilitation and placement process.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grants are awarded for innovative research and demonstrations which add to existing knowledge and improve methods and techniques for the management, administration, and effectiveness of Social Security Administration (SSA) programs. Grant funds may not be used for construction or major renovation of buildings.

**Applicant Eligibility:**

Applicants applying for grant funds may include State and local governments, educational institutions, hospitals, public and private organizations, and nonprofit and profit organizations. Private individuals are not eligible to apply. Profit organizations may apply with the understanding that no grant funds may be paid as profit to grant recipients. Profit is considered any amount in excess of the allowable costs of the grant recipient. A profit organization is a corporation or other legal entity that is organized or operated for the profit or benefit of its shareholders or other owners and must be distinguishable or legally separable from that of an individual acting on his/her own behalf.

**Beneficiary Eligibility:**

State agencies, local governments, educational institutions, hospitals, nonprofit organizations, and profit organizations are eligible to apply for grant funding.

**Credentialed/Documentation:**

Costs and administrative requirements for grantees will be determined in accordance with Social Security Administration regulations 20 CFR 435 and

437.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

SSA prefers that applications be submitted electronically through [www.grants.gov](http://www.grants.gov). The [www.grants.gov](http://www.grants.gov), "Getting Started" webpage is available to help explain the registration and application submission process. If applicants experience problems with the steps related to registering to do business with the Federal government or application submission, the first point of contact is the Grants.gov support staff at [www.grants.gov/CustomersSupport](http://www.grants.gov/CustomersSupport). If difficulties are not resolved, applicants may also contact the SSA Grants Management Team for assistance. Applicants without Internet access should contact the Grants Management Office for further information on applying. Please fax inquiries to the Grants Management Team at 410-966-9310 or mailed to: Grants Management Team, Office of Acquisition and Grants, Social Security Administration, Attention: SSA-OAG-05-1, 7111 Security Blvd., 1st Floor Rear Entrance, Baltimore, MD 21244. Also, SSA grant program announcements and application information can be obtained from the SSA/OAG Internet site at: <http://www.socialsecurity.gov/oag/grants/>. To be considered for a grant award, all applicants must complete the prescribed application forms and submit them to the Grants Management Team. The application shall be executed by an individual authorized to act for the applicant agency or organization and who will assume the obligations imposed by the terms and conditions of the grant. As part of the project title, the applicant must clearly indicate whether the application submitted is in response to a priority area identified in a program announcement, and must reference the applicable priority area (e.g., "001") in which it is competing. At least three independent reviewers prepare written assessments of each program-relevant grant application. Applications found irrelevant to program objectives are returned to the applicants.

**Award Procedure:**

OAG provides a Notice of Grant Award (or a Notice of Cooperative Agreement Award) as official notice for approved applications. The notice indicates award amount, the purpose of the award, award terms and conditions, the budget period, the anticipated project period, and the grantee's cost-sharing requirement.

**Deadlines:**

Closing dates for receipt of grant applications are published in the Federal Register announcement (usually 60 to 90 days after date of publication in the Federal Register).

**Range of Approval/Disapproval Time:**

Generally, 3 to 6 months after the closing date established in the Federal Register announcement.

**Appeals:**

There are no formal appeal procedures. If an application is not approved, the reasons will be stipulated in the denial notice.

**Renewals:**

Grants can be extended and continued via formal application, which is subject to approval. If an application is recommended for approval for 2 or more budget years, the grantee must submit a formal request for funding continuation each year accompanied by a progress report. This will be evaluated prior to a recommendation of continuation of funding.

**Formula and Matching Requirements:**

Grantees are required to share the cost of projects. The cost-sharing ranges from 5 to 25 percent of total project costs. This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Funds are usually granted for a period of 12 to 17 months. Funds, however, can be granted for a minimum of 3 months, and up to a maximum of 60 months.

**Reports:**

Progress and financial reports are required on all projects. Financial reports are required semi-annually. Interim financial reports are due within 30 days after the end of the first 6-month period. Quarterly progress reports are due within 30 days after the end of each quarter of the budget period. Comprehensive final progress and financial reports are due no later than 90 days after the grant expires.

**Audits:**

Audits shall be conducted in accordance with the provisions of OMB Circular No. A-133 and SSA regulations 20 CFR 435 and 437. In accordance with the provisions of (OMB) Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain financial records, supporting documents, statistical records and all other records pertinent to an award for 3 years. In the event of an audit, records must be maintained until all questions are resolved.

**Account Identification:**

28-8704-0-7-601.

**Obligations:**



(Cooperative Agreements) FY 07 \$22,855,055; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 to \$1,750,000. Figures may vary with type of program.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2005, there were 52 awards totaling \$17,079,060 all for continuation of existing projects. There were no new awards. In FY 2006, SSA anticipates funding one new award for \$7.7 million and 52 continuation awards totaling \$15.0 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Phyllis Y. Smith, Chief, Grants Management Officer, Office of Operations Contracts and Grants, Office of Acquisition and Grants (OAG), DCFAM, Social Security Administration, 7111 Security Blvd., 1st Floor Rear Entrance, Baltimore, MD 21244. Telephone: (410) 965-9518.

**Web Site Address:**

<http://www.socialsecurity.gov> .

**RELATED PROGRAMS:**

84.133, National Institute on Disability and Rehabilitation Research; 93.048, Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.648, Child Welfare Services Training Grants; 93.779, Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations; 96.008, Social Security - Work Incentives Planning and Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Poverty Among Older Women: A Cross National Perspective; (2) Disability Research Institute: Partnership in a New Paradigm; (3) Putting the Pieces Together for Employment; (4) Opening Doors to the Future for Adolescents with Special Healthcare Needs; (5) Making Work Pay: Reducing Medicaid and Social Security Barriers to Employment; (6) Work Incentive, Counseling and Assistance Program for SSI Recipients; and (7) Individual Planning for Self Sufficiency.

**CRITERIA FOR SELECTING PROPOSALS:**

Generally, applications are evaluated on the following criteria: (1) Adequacy of project design; (2) relevance of the activity to the objectives of the program; (3) qualifications of personnel; (4) adequacy of facilities to conduct activity; (5) reasonableness of costs; and (6) usefulness of the results.

## 96.008 SOCIAL SECURITY - WORK INCENTIVES PLANNING AND ASSISTANCE PROGRAM

(SSA Work Incentives Planning and Assistance (WIPA) Program)

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Social Security Act, Section 1149(d); Section 121, Public Law 106-170; Ticket-to-Work Incentives Improvement Act; Social Security Protection Act, Public Law 108-203; Rehabilitation Act of 1973; Developmental Disabilities Rehabilitation and Assistance and Bill of Rights Act; Workforce Improvement Act of 1998; Lobbying Disclosure Act; 2 U.S.C. 1611.

**OBJECTIVES:**

To comply with the Ticket-to-Work and Work Incentives Improvement Act (TWWIA) which was passed in December 1999, and reauthorized by the Social Security Protection Act of 2004, which requires the SSA to establish a community-based work incentives planning and assistance program. The purpose of this Program is to disseminate accurate information to beneficiaries with disabilities (including transition-to-work aged youth) about work incentives programs, and issues related to such programs, to enable them to make informed choices about working and whether or when to assign their Ticket to Work, as well as how available work incentives can facilitate their transition into the workforce. The ultimate goal of the WIPA Program is to assist beneficiaries with disabilities succeed in their return to work efforts.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Cooperative agreements are awarded to organizations to: (1) Provide statewide work incentives planning and assistance, including information on the availability of protection and advocacy services, to all Social Security Disability Insurance (SSDI) and Supplemental Security Income (SSI) beneficiaries with disabilities, and to conduct ongoing outreach to those beneficiaries with disabilities and to their families that are potentially eligible to participate in State or Federal work incentives programs. (2) Disseminate accurate information to beneficiaries with disabilities (including transition-to-work aged youth) about work incentives programs and issues related to such programs, to enable them to make informed choices about working and whether or when to assign their Ticket to Work, as well as how available work incentives can facilitate their transition into the workforce. Cooperative agreement funds may not be used for

construction or major renovation of buildings.

**Applicant Eligibility:**

Applicants applying for cooperative agreement funds may include State or local governments (excluding any State administering the State Medicaid program), public or private organizations, or nonprofit or for-profit organizations (for-profit organizations may apply with the understanding that no cooperative agreement funds may be paid as profit to any awardee), as well as Native American tribal organizations that the Commissioner determines is qualified to provide work incentives planning and assistance to all SSDI and SSI beneficiaries with disabilities, within the targeted geographic area. These may include Centers for Independent Living established under Title VII of the Rehabilitation Act of 1973, protection and advocacy organizations, Native American tribal entities, client assistance programs established in accordance with Section 112 of the Rehabilitation Act of 1973, State Developmental Disabilities Councils established in accordance with Section 124 of the Developmental Disabilities Assistance and Bill of Rights Act, and State agencies administering the State program funded under Part A of Title IV of the Act. The Commissioner may also award a cooperative agreement to a State or local Workforce Investment Board, a Department of Labor (DOL) One-Stop Career Center System established under the Workforce Improvement Act of 1998, or a State Vocational Rehabilitation agency. Cooperative agreements may not be awarded to any individual, the Social Security Administration Field Offices, any State agency administering the State Medicaid program under Title XIX of the Act, any entity that the Commissioner determines would have a conflict of interest if the entity were to receive a cooperative agreement under the Work Incentives Planning and Assistance (WIPA) Program or any organization described in Section 501(c)(4) of the Internal Revenue Code of 1968 that engages in lobbying (in accordance with Section 18 of the Lobbying Disclosure Act of 1995, 2 U.S.C. 1611).

**Beneficiary Eligibility:**

All SSDI and SSI beneficiaries with disabilities.

**Credentials/Documentation:**

Costs and administrative requirements for grantees will be determined in accordance with Social Security Administration regulations 20 CFR 435 and 437.

**Reapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms furnished by SSA must be used for this program. When cooperative agreement opportunities are available, SSA publishes a notice in the Federal Register soliciting cooperative agreement applications. Application packages will be provided at [www.grants.gov](http://www.grants.gov). If extenuating circumstances prevent you from submitting an application through [www.grants.gov](http://www.grants.gov) please contact the Grants Management Team at Office of Acquisition and Grants (OAG), Social Security Administration, Attention: Phyllis Y. Smith or Gary Stammer, 1st Floor-Rear Entrance, 7111 Security Blvd., Baltimore, MD 21244. The telephone numbers are: Phyllis Y. Smith (410) 965-9518 or, Gary Stammer, (410) 965-9501. The fax number is (410) 966-9310. To be considered for a cooperative agreement award, all applicants must complete the prescribed application forms, through [www.grants.gov](http://www.grants.gov) unless the applicant has received prior approval from OAG to submit a paper application to the Grants Management Team. The application shall be executed by an individual authorized to act for the applicant agency or organization who will assume the obligations imposed by the terms and conditions of the cooperative agreement. At least three independent reviewers prepare written assessments of each program relevant cooperative agreement application. Applications found irrelevant or unresponsive to program objectives are returned to the applicants.

**Award Procedure:**

OAG provides a Notice of Cooperative Agreement Award as official notice for approved applications. The notice indicates award amount, the purpose of the award, award terms and conditions, the budget period, the anticipated project period, and the awardee's cost sharing requirement.

**Deadlines:**

Closing dates for receipt of cooperative agreement applications are published in the Federal Register announcement (usually 30 to 60 days after date of publication in the Federal Register).

**Range of Approval/Disapproval Time:**

Generally, 3 to 6 months after the closing date established in the Federal Register announcement.

**Appeals:**

There are no formal appeal procedures. If an application is not approved, the reasons will be stipulated in the denial notice.

**Renewals:**

Cooperative agreements can be continued via formal continuation application, which is subject to approval. If an application is recommended for approval for 2 or more budget periods, the awardee must submit a formal request for funding continuation each year. Continuation applications are evaluated prior to a recommendation of additional funding.

**Formula and Matching Requirements:**

The formula is based on the amount appropriated and the percentage of beneficiaries with disabilities: maximum of \$300,000 and minimum of \$100,000 (Minimum awards for territories is \$50,000.) Awardees are required to share the cost of projects. The cost-sharing ranges from five to 25 percent of total project costs.

**Length and Time Phasing of Assistance:**

Funds are usually granted for a period of 12 months. Funds, however, can be granted for a minimum of 3 months, and up to a maximum of 60 months.

**Reports:**

Progress and financial reports are required on all projects. Financial reports are required semi-annually. Interim financial reports are due within 30 days after the end of the first 6-month period. Quarterly progress reports are due within 30 days after the end of each quarter of the budget period. Comprehensive final progress and financial reports are due no later than 90 days after the cooperative agreement expires.

**Audits:**

Audits shall be conducted in accordance with SSA regulations 20 CFR 435 and 437. In accordance with the provisions of (OMB) Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must maintain financial records, supporting documents, statistical records and all other records pertinent to an award for 3 years after the end of the project. In the event of an audit, records must be maintained until all questions are resolved.

**Account Identification:**

28-8704-0-7-999.

**Obligations:**

(Cooperative Agreements) FY 07 \$23,000,000; FY 08 est \$23,000,000 and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$300,000. Figures may vary with type of program.

**PROGRAM ACCOMPLISHMENTS:**

In October 2006, SSA awarded cooperative agreements to 99 entities, to implement work incentives planning and assistance (WIPA) services. In April 2007, SSA awarded an additional 5 cooperative agreements in order to establish national WIPA coverage. Continuation awards will be effective in April 2008, for ten subsequent months.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Elissa Ness, Project Officer, Office of Employment Support Programs (OESP), ODISP, 6401 Security Boulevard, 107 Altmeyer Building, Baltimore, MD 21235. Telephone: (410) 965-7955.

**Web Site Address:**

<http://www.socialsecurity.gov/work> .

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Independent Living Centers; (2) Goodwill Organizations; (3) University Based Programs; (4) Protection and Advocacy Organizations; (5) Vocational Rehabilitation Organizations (5) Hospitals.

**CRITERIA FOR SELECTING PROPOSALS:**

Generally, applications are evaluated on the following criteria: (1) Capability; (2) relevance and adequacy of project design; (3) resources and management; and (4) quality assurance.

**96.009 SOCIAL SECURITY STATE GRANTS FOR WORK INCENTIVES ASSISTANCE TO DISABLED BENEFICIARIES**

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Social Security Act, Section 1150 as added by Section 122 of Public Law 106-170 as amended; Social Security Act, Sections 404 and 407 of Public Law 108-203; Ticket-to-Work Incentives Improvement Act; Part C of Title I of the Developmental Disabilities Assistance and Bill of Rights Act; Workforce Improvement Act of 1998, 42 U.S.C. 6041, et. seq.

**OBJECTIVES:**

To comply with the Ticket-to-Work and Work Incentives Improvement Act legislation passed in December 1999, permitting the SSA to make payments to each State to the protection and advocacy system established for the purpose of providing services to disabled beneficiaries who want to work.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grants are awarded to organizations to: (1) Provide information and advice about obtaining vocational rehabilitation and employment services; and (2) Provide advocacy or other services that Social Security Disability Insurance (SSDI) and Supplemental Security Income (SSI) beneficiaries with disabilities may need to secure, maintain, or regain gainful employment. Grant funds may not be used for construction or major renovation of buildings.

**Applicant Eligibility:**

Applicants applying for grant funds are limited to State protection and advocacy systems established pursuant to Part C of Title I of the Developmental Disabilities Assistance and Bill of Rights Act.

**Beneficiary Eligibility:**

All individuals within the State who are entitled to SSDI or eligible for SSI benefits based on disability or blindness.

**Credentials/Documentation:**

Costs and administrative requirements for grantees will be determined in accordance with Social Security Administration regulations 20 CFR 435 and 437.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The standard application forms furnished by SSA must be used for this program. When grant opportunities are available, SSA sends a letter to the applicable protection and advocacy agency. Application kits that contain the prescribed application forms and supplemental descriptive information on the priority areas are available from the Internet site at [www.grants.gov](http://www.grants.gov). SSA grant program announcements and application information also can be obtained from the Grants Management Team, Office of Operations Contracts and Grants (OOCG), Office of Acquisition and Grants (OAG), Office of the Deputy Commissioner for Budget, Finance and Management (DCBFM), Social Security Administration, 1st Floor, Rear Entrance, 7111 Security Blvd., Baltimore, MD 21244. Contacts: Phyllis Y. Smith, Chief, Grants Management Officer. Telephone: (410) 965-9518 or Gary Stammer, Telephone: (410) 965-9501. The fax number is (410) 966-9310. To be considered for a grant, all applicants must complete the prescribed application forms and submit them to the Grants Management Team. The application shall be executed by an individual authorized to act for the applicant agency or organization who will assume the obligations imposed by the terms and conditions of the cooperative agreement.

**Award Procedure:**

OAG provides a Notice of Grant Award as official notice for approved applications. The notice indicates award amount, the purpose of the award, award terms and conditions, the budget period, the anticipated project period, and the awardee's cost-sharing requirement.

**Deadlines:**

Closing dates for receipt of grant applications are stated in the covering letter (usually 60 to 90 days after date of the letter).

**Range of Approval/Disapproval Time:**

Generally, 3 to 6 months after the closing date established in the Federal Register announcement.

**Appeals:**

There are no formal appeal procedures. If an application is not approved, the reasons will be stipulated in the denial notice.

**Renewals:**

Grants can be continued via formal application, which is subject to approval. If an application is recommended for approval for 2 or more budget periods, the awardee must submit a formal request for funding continuation each year. Continuation applications are evaluated prior to a recommendation of additional funding.

**Formula and Matching Requirements:**

The formula is based on the amount appropriated and the percentage of beneficiaries with disabilities: A protection and advocacy system located in a State (including the District of Columbia and Puerto Rico) other than Guam, American Samoa, the United States Virgin Islands, and the Commonwealth of Northern Mariana Islands, the greater of \$100,000 or 1/3 of 1 percent of the amount available for payments. In the case of a protection and advocacy system located in Guam, American Samoa, the United States Virgin Islands, and the Commonwealth of Northern Mariana Islands, \$50,000.

**Length and Time Phasing of Assistance:**

Funds are usually granted for a period of 12 to 17 months. Funds, however, can be granted for a minimum of 3 months, and up to a maximum of 60 months.

**Reports:**

Progress and financial reports are required on all projects. Financial and progress reports are required semi-annually. Annual Program Performance Reports are required on all projects.

**Audits:**

Audits shall be conducted in accordance with SSA regulations 20 CFR 435 and 437. In accordance with the provisions of (OMB) Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit

Organizations, "nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must maintain financial records, supporting documents, statistical records and all other records pertinent to an award for 3 years after the end of the project. In the event of an audit, records must be maintained until all questions are resolved.

**Account Identification:**

28-8704-0-7-999.

**Obligations:**

(Grants) FY 07 \$7,000,000; FY 08 est \$7,000,000; and FY 09 not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$438,275; \$117,982.

**PROGRAM ACCOMPLISHMENTS:**

SSA awarded 12-month awards totaling \$7,000,000 in fiscal year 2007. SSA expects to award 12-month awards totaling \$7,000,000 in FY 08.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jen DeBoy Stammer, Project Officer, Office of Employment Support Programs (OESP), ODISP, 6401 Security Boulevard, 107 Altmeyer Building, Baltimore, MD 21207-5279. Telephone: (410) 965-8658.

**Web Site Address:**

<http://www.socialsecurity.gov/work/ServiceProviders/pafactsheet.html> .

**RELATED PROGRAMS:**

17.207, Employment Service/Wagner-Peyser Funded Activities.

**EXAMPLES OF FUNDED PROJECTS:**

State protection and advocacy systems.

**CRITERIA FOR SELECTING PROPOSALS:**

Generally, applications are evaluated on the following criteria: (1) capability; (2) relevance and adequacy of project design; (3) resources and management; and (4) quality assurance.

## 96.020 SPECIAL BENEFITS FOR CERTAIN WORLD WAR II VETERANS

(Special Veterans Benefits; SVB)

**FEDERAL AGENCY:**

SOCIAL SECURITY ADMINISTRATION

**AUTHORIZATION:**

Foster Care Independence Act of 1999, Section 251, Public Law 106-169; Social Security Act, Title VIII.

**OBJECTIVES:**

To pay a special benefit to certain World War II veterans, who are eligible for Supplemental Security Income (SSI) benefits and meet other specified criteria for each month that they reside outside of the United States.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to certain World War II veterans who meet the qualification criteria prescribed in the law for each month they reside outside the United States on the first day of that month. There are no restrictions on the use of benefits, although the right to future benefits is not transferable or assignable.

**Applicant Eligibility:**

In order to become entitled for SVB, an applicant must: be age 65 or older on December 14, 1999, the date the Law was enacted; be a World War II veteran with length and dates of service and character of discharge as specified in the Law, this includes Filipino veterans of World War II who served in the organized military forces of the Philippines while the forces were in the service of the U.S. armed forces, or served in organized guerrilla forces under the auspices of the U.S. military; be eligible for SSI benefits for December 1999, the month the Law was enacted; be eligible for SSI benefits for the month that the application for SVB was filed; and, have other benefit income that is less than 75 percent of the SSI Federal benefit rate. For 2006, 75 percent of the SSI Federal benefit rate is \$452.25.

**Beneficiary Eligibility:**

Benefits are paid to certain World War II veterans meeting the criteria specified under Applicant Eligibility.

**Credentials/Documentation:**

Proof of age, military service, the receipt and amount of benefit income, and foreign residence is required.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application may be filed at any local Social Security office, the SSA Division of the Veterans Affairs Regional Office in Manila, the Philippines, and U.S. Embassies and consulates worldwide.

**Award Procedure:**

The applicant (and representative payee, if any) will be notified by mail of award or denial.

**Deadlines:**

Please contact program office for application deadline.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

A request for appeal may be filed at any local Social Security office, the SSA Division of the Veterans Affairs Regional Office in Manila, the Philippines and U.S. Embassies and consulates worldwide. The appeal process ranges from a local office review to a review by the Federal courts. Generally, appeals must be filed within 60 days of the date on which a written notice of decision is received by the applicant.

**Renewals:**

The law allows for the redetermination of a person's benefit amount and continuing eligibility. The procedures for conducting such reviews are not yet determined.

**Formula and Matching Requirements:**

This program has no statutory formula for matching requirements.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Any change of address or any event affecting SVB qualification or benefit amount (such as an increase in other benefit income received) must be reported to the Social Security Administration when the event occurs.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

28-0401-0-1-701.

**Obligations:**

(Federal Benefit Payments) FY 07 \$11,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

The maximum monthly SVB payable for current year 2006 is \$452.25 (Per Title VIII of the Act, the benefit amount equals 75 percent of the SSI Federal benefit rate.) This amount will change yearly. The monthly SVB amount payable to an individual is reduced by the amount of that person's other benefit income for the month. Other benefit income includes any recurring payment received as an annuity, pension, retirement or disability benefit. The average monthly federal payment for January 2006 is \$342.68.

**PROGRAM ACCOMPLISHMENTS:**

The Social Security Administration began taking SVB applications in April 2000 and initiated benefit payments in May 2000. The SVB program has approximately 2,550 beneficiaries who have established residency in the Philippines receiving monthly SVB payments. Individuals may apply at any U.S. Social Security Office, at the SSA Division of the Office of Veterans Affairs in Manila, Philippines, or at any U.S. Embassy or consulate.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Part 408, Special Benefits for Certain World War II Veterans, subparts A through E and G through L, a program fact sheet "Special Benefits to Certain World War II Veterans," and a booklet "Special Benefits for World War II Veterans" are available from any Social Security Office without charge. They can also be found on the Social Security internet site. Regulations subpart G is being developed.

**Regional or Local Office:**

Consult Appendix IV of the Catalog.

**Headquarters Office:**

Social Security Administration, Office of Public Inquiries, Windsor Park Building, 6401 Security Blvd., Baltimore, MD 21235. Telephone: (410) 965-2736.

**Web Site Address:**

<http://www.socialsecurity.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.



# DEPARTMENT OF HOMELAND SECURITY

## 97.004 STATE DOMESTIC PREPAREDNESS EQUIPMENT SUPPORT PROGRAM

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

U.S.A. Patriot Act of 2001, Public Law 107-56.

### OBJECTIVES:

To enhance the capacity of State and local first responders to respond to terrorism incident involving chemical, biological, nuclear, radiological, incendiary, and explosive devices. The program was re-named as the State Homeland Security Grant Program (SHSGP) (97.073) and is one of the six (6) component programs which were merged or consolidated into the Homeland Security Grant Program (97.067).

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

States will receive an allocation of funds to purchase equipment for State and local first responders, in accordance with the authorized equipment list included in the Application Kit, and an allocation to support the planning and conduct of exercises. Administrative funds will be provided to conduct comprehensive threat and needs assessments and to develop and implement a Statewide Domestic Preparedness Strategy to enhance first responder capabilities to respond to a terrorist incident.

### Applicant Eligibility:

Eligible applicants are the States, the District of Columbia, and the Territories of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands. References to "States" includes all eligible applicants.

### Beneficiary Eligibility:

State and local governments.

### Credentials/Documentation:

To qualify to apply for grant funds, States were required to conduct a comprehensive threat and needs assessment and to develop a Statewide Domestic Preparedness Strategy. Refer to program guidance document for further information.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Application deadline and other information are contained in the application/program guidance.

### Award Procedure:

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### Deadlines:

Refer to announcement or application guidance for further information.

### Range of Approval/Disapproval Time:

Refer to program guidance document.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

The funds are allocated to the States on the basis of a formula that provides a base amount to each State, with the balance of the funds distributed on the basis of population. There is no match requirement for this program.

### Length and Time Phasing of Assistance:

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

### Reports:

Categorical Assistance Progress Reports (CAPR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial and reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. final financial and CAPRs are due 90 days after the expiration or termination of grant award.

### Audits:

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular

A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### Records:

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

### Account Identification:

70-0560-0-1-999.

### Obligations:

(Grants) FY 07 \$ est. not available; FY 08 \$ est. not available; and FY 09 \$ est. not available.

### Range and Average of Financial Assistance:

Refer to program guidance.

### PROGRAM ACCOMPLISHMENTS:

States have completed risk and needs assessments and have developed Statewide Domestic Preparedness Strategies. States have identified equipment that is needed by first responders and have established priorities for the purchase and allocation of equipment. The strategies also identify the need for training, technical assistance, and exercises. ODP is working with the States to develop State Assistance Plans to allocate ODP resources to address the training, technical assistance, and exercise needs identified in the Statewide Domestic Preparedness Strategies.

### REGULATIONS, GUIDELINES, AND LITERATURE:

The Office of Justice Programs Financial Guide and The State Domestic Preparedness Equipment and Exercise Program Guidelines and Application Kit.

### Regional or Local Office:

None.

### Headquarters Office:

Department of Homeland Security, Office of Grant Programs, C/O 245 Murray Lane, Bldg. #410, Washington, DC 20523. Telephone: (800) 368-6498.

### Web Site Address:

<http://www.ojp.usdoj.gov>.

### RELATED PROGRAMS:

16.580, Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program; 97.067, Homeland Security Grant Program.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Refer to the program guidance for information on criteria for selecting proposals.

## 97.005 STATE AND LOCAL HOMELAND SECURITY TRAINING PROGRAM

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

Department of Homeland Security Appropriations Act of 2006, Public Law 109-90.

### OBJECTIVES:

To design, develop, and deliver training content and support for Federal, State, local, and tribal jurisdictions in accordance with DHS doctrine guidance and approved Homeland Security Strategies.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Provides funding through cooperative and inter-agency agreements to the National Domestic Preparedness Consortium, Rural Domestic Preparedness Consortium, and Continuing and Emerging training providers for the purposes of the development and delivery of all-hazards training for Federal, State, local, and tribal emergency responders.

### Applicant Eligibility:

This is a closed solicitation, available only to eligible organizations. There are two categories funded: 1) Non-Federal members that make up the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC) and consist of the following institutions: Louisiana State University, Texas A&M, New Mexico Institute of Mining and Technology, and Eastern Kentucky University; and 2) Continuing and Emerging Training Grant programs. These programs meet the continuing training needs of emergency responder communities and have received previous funding through a competitive process e.g., Competitive Training Grant Program (CTGP) or national associations that represent key stakeholders.

### Beneficiary Eligibility:

State and local units of government.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Potential continuation or extensions of some awards.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(includes National Domestic Preparedness Consortium and Center for Domestic Preparedness) FY 07 \$84,076,692; FY 08 est \$181,500,000; and FY 09 est \$79,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Past training efforts has resulted in the training of over 390,000 first responders. Courses are designed to increase awareness of terrorism threats and weapons of mass destruction among public officials, public health and the medical community, public safety and public works personnel, as well as provide intensive technician and operations courses that demonstrate the effects of and response to live agents, explosives and radiation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitations may be developed to solicit proposals for new activities.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane SW, Bldg 410 Washington, DC 20528.

**Web Site Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.007, Homeland Security Preparedness Technical Assistance Program; 97.068, Competitive Training Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Training courses for public officials and first responders to include fire fighters, law enforcement, emergency medical services, emergency management, public works, and public health. Training courses are divided into three categories: awareness level, performance level, and planning and management level.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.006 STATE AND LOCAL HOMELAND SECURITY EXERCISE SUPPORT**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; Departments of Commerce, Justice, and State, the Judiciary, and Related Agencies Appropriations Act of 2002, Public Law 107-117; Consolidated Appropriations Resolution of 2003, Public Law 108-7; Department of Homeland Security Appropriations Act of 2004, Public Law 108-90.

**OBJECTIVES:**

To enhance the capacity of State and local first responders to respond to a weapons of mass destruction (WMD) terrorism incident involving chemical, biological, radiological, nuclear, and explosive devices.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds will be used to provide support for planning and conducting exercises at the National, State, and local levels.

**Applicant Eligibility:**

Eligible applicants are public or private organizations with the expertise and experience to provide assistance to State and local jurisdictions; to facilitate, conduct, and evaluate exercises; and/or to develop guidance, materials and publications related to the conduct of exercises or identification of lessons learned.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Recipients are required to submit an initial quarterly progress report for the first full calendar quarter, followed by semi-annual progress reports; Categorical Assistance Progress Reports (CAPR), for the remainder of the grant period. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations,"

nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0511-0-1-999.

**Obligations:**

FY 07 \$ est. not available; FY 08 \$ est. not available; and FY 09 \$ est. not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

This program has supported States and local jurisdictions in planning and conducting homeland security-related exercises. Efforts will be significantly enhanced under this program to assist the States with meeting their exercise-related needs identified in their Statewide Domestic Preparedness Strategies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None. Refer to program guidance document.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grant Programs, 245 Murray Drive, SW., Washington, DC 20528. Telephone: (202) 282-8000.

**Web Site Address:**

<http://www.ojp.usdoj.gov/odp>

**RELATED PROGRAMS:**

97.004, State Domestic Preparedness Equipment Support Program; 97.007, Homeland Security Preparedness Technical Assistance Program; 97.067, Homeland Security Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.007 HOMELAND SECURITY PREPAREDNESS TECHNICAL ASSISTANCE PROGRAM

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2004, Public Law 108-90.

**OBJECTIVES:**

To provide direct assistance to State, regional. Local and Tribal jurisdictions to improve their ability to prevent, protect against respond to, and recover from major events, including threats or acts or terrorism.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

Costs associated with developing and delivering technical assistance services to State and local homeland security personnel to address the full spectrum of mission areas, national priorities, and target capabilities outlined in the National Preparedness Goal. The technical assistance must support the National Preparedness Guidelines, National Priorities, and national strategies and doctrine related to homeland security.

**Applicant Eligibility:**

Previously identified technical assistance providers and any other entity including State and local governmental units, national associations and organizations, higher education institutions, nonprofits, and the private sector which demonstrate the ability to deliver the services outlined in the program guidance to State and local jurisdictions.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

FY 07 \$1,549,987, FY 08 \$12,000,000; and FY 09 est \$10,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Past technical assistance efforts have focused on helping the states to conduct threat and needs assessments and develop their Homeland Security Strategies, training on the use and maintenance of specialized equipment, development of resource materials on domestic preparedness, as well as responding to site-specific technical assistance needs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20258.

**Web Site Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.067, Homeland Security Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Direct assistance to State and local jurisdictions in enhancing grants management technical assistance, Best Practice Support Technical Assistance, and Critical Asset Assessment Technical Assistance.

**CRITERIA FOR SELECTING PROPOSALS:**



Refer to the program guidance for information on criteria for selecting proposals.

## 97.008 URBAN AREAS SECURITY INITIATIVE

(UASI)

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53 and the Department of Homeland Security Appropriations Act, 2008, Division E, Consolidated Appropriation Act, 2008, Public Law 110-161.

### OBJECTIVES:

To support the unique multi-discipline planning, operations, equipment, training, and exercise needs of high threat, high density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.

### TYPES OF ASSISTANCE:

Formula Grants.

### USES AND USE RESTRICTIONS:

Funds provided under this grant are designed to address the unique needs of large urban areas and mass transit authorities. Funds can be used for equipment, training, exercises and planning. Urban Areas must utilize their Urban Area Homeland Security Strategy and the State's Program and Capability Enhancement Plan as the basis for requesting funds. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy and the Program and Capability Enhancement Plan submitted by the State as part of the HSGP application. The UASI Nonprofit Security Grant Program (NSGP) provides funds to support security enhancements to property owned or leased by nonprofit organizations at high risk of attack from terrorist organizations.

### Applicant Eligibility:

Applicant Eligibility: Selected city or combined entities identified within the current year Homeland Security Grant Program guidance and application kit. States that contain the selected cities will be notified of their eligibility to apply for this grant. The State agency with overall responsibility for developing the State Homeland Security Strategy and administering homeland security grant programs will be responsible for the administration of this program. In addition, Nonprofit, 501(c)(3) organizations that are at deemed high risk of a potential terrorist attack and are located within one of the specific UASI-eligible urban areas are eligible to submit applications through their State Administrative Agency (SAA) for (NSGP) funds.

### Beneficiary Eligibility:

Local governments.

### Credentials/Documentation:

None.

### Preapplication Coordination:

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedure:

Application deadline and other information are contained in the application/program guidance.

### Award Procedure:

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### Deadlines:

Refer to announcement or application guidance for further information.

### Range of Approval/Disapproval Time:

Refer to program guidance document.

### Appeals:

None.

### Renewals:

Not applicable.

### Formula and Matching Requirements:

Funds are allocated based on analysis of risk and the effectiveness of proposed investments by the applicants. Risk for UASI jurisdictions is evaluated using a consistent methodology of threat, vulnerability, and consequences. There is no match requirement for this program.

### Length and Time Phasing of Assistance:

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

### Reports:

Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. Categorical Assistance Progress Reports

(CAPR) and Biannual Strategy Implementation Reports (BSIR) are required semi-annually. The CAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR, BSIR, and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

### Audits:

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### Records:

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

### Account Identification:

70-0560-0-1-754.

### Obligations:

(Grants) FY 07 \$24,007,500 (remaining funding included in 97.067); FY 08 \$862,925,000; and FY 09 est \$825,000,000.

### Range and Average of Financial Assistance:

Refer to program guidance.

### PROGRAM ACCOMPLISHMENTS:

Urban areas have completed threat, vulnerability, capabilities, and needs assessments and have developed Urban Area Homeland Security Strategies. The strategies identify the needs for planning, organization, equipment, training, exercises, and technical assistance.

### REGULATIONS, GUIDELINES, AND LITERATURE:

For regulations and guidelines please refer to the UASI section of the HSGP solicitation guidance and application kit.

### Regional or Local Office:

None.

### Headquarters Office:

Department of Homeland Security 245 Murray Lane, Bldg. #410, Washington, DC 20528.

### Web Site Address:

<http://www.fema.gov>.

### RELATED PROGRAMS:

97.042, Emergency Management Performance Grants; 97.053, Citizen Corps; 97.071, Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP); 97.074, Law Enforcement Terrorism Prevention Program (LETPP).

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Refer to the program guidance for information on criteria for selecting proposals.

## 97.009 CUBAN/HAITIAN ENTRANT PROGRAM

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

Refugee Education Assistance Act of 1980, as amended, Title V, Section 501 C, Public Law 96-422, 94 Stat. 1809; Executive Order 12341, January 21, 1982; Economy Act of 1932, 31 U.S.C. 1535, as amended.

### OBJECTIVES:

(1) To provide primary resettlement services to Cubans and Haitians, paroled into the United States by the Department of Homeland Security (DHS) for humanitarian reasons and; (2) to provide secondary resettlement assistance to Cuban and Haitian entrants living in south Florida whose initial resettlement did not lead to their achievement of economic self-sufficiency.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Assistance is limited to Cuban and Haitian entrants as defined in the authorizing Act. Federal policy governs further eligibility factors. The scope of services for

which funds are available to grantees, or cooperative agreement recipients, are defined in program announcements published in the Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, and January 5, 1995.

**Applicant Eligibility:**

Public or Private, nonprofit organizations or agencies, and under certain conditions for-profit organizations, agencies, or institutions.

**Beneficiary Eligibility:**

Cuban and Haitian nationals who meet the definition of entrant set forth in Title V, Section 501(e) of Public Law 96-422.

**Credentials/Documentation:**

Persons for whom assistance is authorized through resettlement programs are limited to Cuban and Haitian nationals who possess documentation as described in Title V of the Refugee Education Assistance Act of 1980 (Public Law 96-422). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is excluded from coverage under OMB Circular No. A-102.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A grant or cooperative agreement may be amended in order to extend the program and budgetary period if funds are available and the proposed amendment does not represent a substantive deviation from previous services or costs. Applications may also be renewed through the competitive process after the end of the program period.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0504-0-1-999.

**Obligations:**

(Grants) FY 07 \$8,688,037; FY 08 est \$10,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

For fiscal year 2004, it is estimated that 19,000 Cuban and Haitian entrants will be served. In fiscal year 2003, the program served over 12,000 Cuban and Haitian entrants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Several regulations apply to the resettlement grants. Until further notice, these include but are not limited to: 28 CFR Part 42, Sub-parts C,G, H and OMB Circular Nos. A-110, A-122, A-133, and Federal Acquisition Regulation (FAR), Sub-part 32.1.

**Regional or Local Office:**

DHS, ICE, OIA, PHAB Miami Office: Room 220, 51 SW 1st Ave., Miami, FL 33130. Telephone: (305) 536-4261.

**Headquarters Office:**

U.S. Department of Homeland Security 245 Murray Lane, Bldg 410 Washington, DC 20258.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Projects funded in the past have included services to eligible Cubans and Haitians paroled from DHS custody. These services include resettlement in various parts of the United States and assistance with housing, basic necessities and employment.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

The applicant provides for effective program structure and accountability as demonstrated by administrative and programmatic controls, as well as program and client records and reports. (10 POINTS) F. The adequacy of the program evaluation plan, including the methodology and criteria for evaluating effective of the program in resettling the clients. (10 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS) Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS)mmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program (5 POINTS).the applicant provides for effective program structure and accountability as demonstrated by administrative and programmatic controls, as well as program and client records and reports. (10 POINTS) F. The adequacy of the program evaluation plan, including the methodology and criteria for evaluating effective of the program in resettling the clients. (10 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS). Programmatic control,

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## 97.010 CITIZENSHIP EDUCATION AND TRAINING

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

Immigration and Nationality Act of 1952, as amended, Public Law 82-414, 66 Stat. 163, 8 U.S.C. 1003, 1443(b), 1457.

### OBJECTIVES:

To promote instruction and training in citizenship responsibilities for persons interested in becoming naturalized citizens of the United States and to initiate and further efforts on their part to learn the English language and acquire the knowledge of U.S. history and government needed to qualify for naturalization.

### TYPES OF ASSISTANCE:

Dissemination of Technical Information.

### USES AND USE RESTRICTIONS:

United States Citizenship and Immigration Services (USCIS) has prepared federal publications and educational tools on citizenship at various reading levels for use in acquiring or expanding a knowledge of U.S. history and government.

### Applicant Eligibility:

Community- and faith-based organizations, public libraries, as well as adult educators conducting citizenship education classes for aliens, are eligible as described in the section above.

### Beneficiary Eligibility:

Immigrant Service Providers.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Immigrant service providers may register for a free copy of these educational materials at [www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov).

### Award Procedure:

Not applicable.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

Not applicable.

### Appeals:

Not applicable.

### Renewals:

One copy available per eligible organization per year. Requests for additional copies are available for purchase through the Government Printing Office at <http://bookstore.gpo.gov/collections/cis-toolkit.jsp>.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

Not applicable.

### Reports:

None.

### Audits:

None.

### Records:

None.

### Account Identification:

70-5088-0-1-751.

### Obligations:

(Immigration Examinations Fee) FY 07 \$375,000; FY 08 est \$400,000; FY 09 est \$400,000.

### Range and Average of Financial Assistance:

Not applicable.

### PROGRAM ACCOMPLISHMENTS:

Approximately 13,000 copies of the package of citizenship educational materials have been distributed.

### REGULATIONS, GUIDELINES, AND LITERATURE:

8 CFR 332 b. Literature.

### Regional or Local Office:

For more information, visit: [www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov).

### Headquarters Office:

Department of Homeland Security, 245 Murray Drive, SW., Washington, D.C. 20528. Telephone: (202) 272-1310.

### Web Site Address:

[www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov).

### RELATED PROGRAMS:

84.002, Adult Education - Basic Grants to States.

### EXAMPLES OF FUNDED PROJECTS:

None.

### CRITERIA FOR SELECTING PROPOSALS:

Not applicable.

## 97.011 BOATING SAFETY

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

14 U.S.C. 141; 14 U.S.C. 821-832; 14 U.S.C. 891-894.

### OBJECTIVES:

To improve safe operations and uses of water craft.

### TYPES OF ASSISTANCE:

Provision of Specialized Services; Advisory Services and Counseling; Dissemination of Technical Information; Training.

### USES AND USE RESTRICTIONS:

The Coast Guard Auxiliary is the volunteer workforce element of the U.S. Coast Guard, and it presents a wide variety of boating safety services to the public. It conducts a diverse range of courses and training programs that educate boaters and help them achieve State boating safety certificates. The Auxiliary performs Vessel Safety Checks (VSC), which are free checks of safety-related equipment on recreational boats. Boats that pass the VSC are given a "Seal of Safety" decal which indicates the boat met Federal and pertinent State safety-related equipment requirements. If deficiencies are found, the owner is advised of such, but no report is made to any law enforcement authority and a decal is not issued. Auxiliarists also support virtually all Coast Guard missions except direct law enforcement and combat operations. They offer their personal boats, airplanes, radios, and vehicles to perform operational and support activities like marine safety patrols, public outreach, and other recreational boating safety missions.

### Applicant Eligibility:

Any U.S. citizen, 17 years of age or older, is eligible to apply for membership in the Auxiliary. All Auxiliarists undergo a personal security investigation that serves as a key factor in the determination of their suitability for service.

### Beneficiary Eligibility:

Boating public.

### Credentials/Documentation:

None.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Contact the local Coast Guard District Director of Auxiliary or the local Coast Guard Auxiliary Flotilla which can be found at the Visitors section of the Auxiliary web site, <http://nws.cgaux.org>. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

None.

### Deadlines:

None.

### Range of Approval/Disapproval Time:

None.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

None.

### Length and Time Phasing of Assistance:

None.



**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

70-8149-0-1-403.

**Obligations:**

(Salaries and Expenses) FY 07 \$16,007,000; FY 08 est \$15,893,000; and FY 09 est \$16,129,000.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In calendar year 2007, the Coast Guard Auxiliary conducted over 118,000 VSCs, more than 79,500 marine dealer outreach visits, and about 50,000 hours of boating safety course instruction. Auxiliarists also performed over 400,000 hours of operational support, assisted over 5,600 people and more than \$38 million in property, and saved approximately 180 lives.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program literature available from agency.

**Regional or Local Office:**

Coast Guard District Offices: Persons are encouraged to communicate with the Director of Auxiliary in each district (see the Appendix IV of the Catalog for a list of the addresses of the district offices).

**Headquarters Office:**

Commandant (CG-5421), Auxiliary Division, Room 3501, Coast Guard, 2100 Second Street, SW., Washington, DC 20593-0001. Telephone: (202) 372-1261. Contact: Steve Minutolo (CG-54211).

**Web Site Address:**<http://nws.cgaux.org>.**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.012 BOATING SAFETY FINANCIAL ASSISTANCE****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Public Law 98-89, 97 Stat. 592; 46 U.S.C. 13101-13109; Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, Public Law 109-59).

**OBJECTIVES:**

To encourage greater State participation and uniformity in boating safety, particularly to permit the States to assume the greater share of boating safety education, assistance, and enforcement activities, and to assist the States in developing, carrying out and financing their recreational boating safety programs. Awards are made available to national nonprofit public service organizations to support national recreational boating safety activities.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Acquisition, maintenance and operating test costs of State boating safety program facilities, equipment, and supplies; personnel salaries and reimbursable expenses; costs of training personnel; public boating safety education; cost of acquiring, constructing and repairing public access sites; costs of administering the program; national boating safety activities of national nonprofit public service organizations; and other expenses which the Secretary considers appropriate.

**Applicant Eligibility:**

States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. States must have a boating safety program as described in 46 U.S.C. 13102(c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

**Beneficiary Eligibility:**

Nation's boating public.

**Credentials/Documentation:**

Cost of State programs will be determined in accordance with 46 U.S.C. 13107(b) and OMB Circular No. A-87. The Federal cost principles contained in OMB Circular No. A-122 shall be used in determining costs applicable to national nonprofit public service organizations.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." A State applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. States (including eligible territories and the District of Columbia) will be contacted by the Coast Guard. National nonprofit public service organizations interested in boating safety will be given public notice via the Federal Register on or about October 1, as well as by posting of funds availability via the Grants.gov website.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Will be considered.

**Renewals:**

None.

**Formula and Matching Requirements:**

One-third of the funds available to the States shall be divided equally among eligible States; one-third shall be divided among eligible States based on the ratio of vessels numbered under approved State numbering systems; the remaining one-third shall be divided among eligible States based on the ratio of State funds spent for State boating safety programs in the previous fiscal year. The Federal share of funds expended on boating safety may not exceed 50 percent of total cost of a State program. Funds remain available for obligation by a State for 3 years following date of allocation. Not more than 5 percent of the appropriation may be allocated to national nonprofit public service organizations. There is no matching requirement for grants to nonprofit organizations.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8149-0-7-403.

**Obligations:**

FY 07 \$111,916,440; FY 08 est. \$124,875,359; and FY 09 est. \$117,568,011.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In the prior fiscal year, the Coast Guard entered into contractual obligations with 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and 15 national nonprofit public service organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13 (States) and 49 CFR Part 19 (nonprofit organizations); Office of Management and Budget Circular Nos. A-87; A-102; A-110; A-122; A-133; and the State Recreational Boating Safety Program State Guide (COMDTPUB P16755.3).

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: State Grants: W. Vann Burgess; Telephone: (202) 372-1071; William.V.Burgess@uscg.mil. Nonprofit Organizations: Donald J. Kerlin; Telephone: (202) 372-1054; Donald.J.Kerlin@uscg.mil. Division of Boating Safety (CG-5422), U.S. Coast Guard Headquarters, 2100 Second Street, SW., Washington, DC 20593.

**Web Site Address:**

<http://www.uscgboating.org> <http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.011, Boating Safety.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.013 STATE ACCESS TO THE OIL SPILL LIABILITY TRUST FUND****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Oil Pollution Act of 1990, Public Law 101-380, Section 1012(d)(1).

**OBJECTIVES:**

To encourage greater State participation in response to actual or threatened discharges of oil.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are to be used for immediate removal action costs that are directly related to a specific incident which occurs after August 18, 1990. Removal costs must generally be incurred at the site or in support of site removal activities (e.g., salary costs for State officials actually engaged in the removal actions, transportation costs for transporting persons and materials to the site, costs of equipment usage and consumable, contract costs, and administrative costs for preparing reports and documenting actions which occurred at the site). Limited to \$250,000 per incident. Removal actions must be consistent with the National Contingency Plan (40 CFR 300) and must be approved by the cognizant Coast Guard or Environmental Protection Agency (EPA) Federal On-Scene Coordinator (FOSC). Remedial actions and restorations are ineligible.

**Applicant Eligibility:**

The Governor (or his or her designated State official) of any State including Puerto Rico, Guam, American Samoa, U.S. Virgin Islands, Northern Marianas, and any other U.S. territory or possession may apply for financial assistance.

**Beneficiary Eligibility:**

State Governors.

**Credentials/Documentation:**

Applicant must either be the Governor of a State or have on file at the NPFC a letter signed by the Governor designating the applicant to be a State official authorized to make a request. The application must establish: (1) the incident is eligible for immediate removal under the Clean Water Act, as amended by OPA 90, (2) the substance discharged or threatening discharge is oil, (3) the incident occurred after August 18, 1990, (4) the aggregate amount of the request is equal to or less than \$250,000, (5) the proposed removal actions are consistent with the NCP (including 40 CFR 300.305(c)'s requirement that a reasonable effort is made to have the discharger voluntarily and promptly perform removal actions), (6) the proposed level of response, proposed actions, and money requested are appropriate for the circumstances, and (7) the State has the means to complete the immediate removal. Detailed application requirements are included in publication entitled Technical Operating Procedures for State Access under Section 1012(d) of OPA 90 (NPFCINST 16451.1).

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application is initiated when the Governor or his or her designated State official contacts the cognizant Federal On-Scene Coordinator (FOSC) and requests State access to the Oil Spill Liability Trust Fund (OSLTF, or "the Fund") under 33 CFR 133. This initial request may be made verbally. If the FOSC agrees that the incident is eligible for State Access funding and that State access to the Fund is the best method for addressing the incident, the FOSC will seek obligation of the Fund from the National Pollution Funds Center (NPFC). Since the approval of a request establishes a Cooperative Agreement between the Coast Guard and the State, the provisions of 49 CFR 18 apply to the State Access process.

**Award Procedure:**

The National Pollution Funds Center will notify the State via telephone and hard

copy of the award approval and amount.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Due to the emergency nature of oil discharge incidents, an approval or disapproval decision will be made and communicated to the State as expeditiously as possible (considering the nature and scope of the incident and other operations) following receipt of the request.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

The State must complete a source (of oil discharge) and responsibility party investigation and forward it to the Coast Guard National Pollution Funds Center (NPFC) and the FOSC as soon as possible. The NPFC and the FOSC must be informed within 48 hours following the completion of immediate removal efforts. An Incident Report, a detailed documentation of all eligible costs incurred during the immediate removal, and forms and certifications prescribed 49 CFR 18, 20, 29 and 90 are also required by the Coast Guard. All required forms, certifications, and other documentation are expected within 30 days following the completion of immediate removal efforts. Payment is not made until all materials are received and reviewed. The Coast Guard may deobligate the Fund for payment if all materials are not received within 90 days following the completion of immediate removal efforts. An amplifying Technical Operating Procedures publication (NPFCINST 16451.1) has been distributed to the States.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Due to the need to recover removal costs from responsible parties and the possibility of protracted litigation that may be associated with specific oil discharge removal incidents, State records must be kept for 10 years following submission of the final documents to the Coast Guard, or until the completion of litigation for a specific case, whichever is longer.

**Account Identification:**

70-8185-0-7-403.

**Obligations:**

(Cooperative Agreements) FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

States: \$250,000 maximum per oil discharge incident.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

33 CFR 133, 40 CFR 300, 49 CFR 18, 20, 29, and 90, and Technical Operating Procedures for State Access to OSLTF (NPFCINST 16451.1).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Drive, SW., Washington, DC 20528. Telephone: (202) 494-9118.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed immediate removal actions must be eligible under the Oil Pollution Act of 1990 (Public Law 101-380), consistent with the National Contingency Plan (40 CFR 300), appropriate for the amount requested, and within the capability of the State to perform.

**97.014 BRIDGE ALTERATION**

(Truman-Hobbs Act)

**FEDERAL AGENCY:**  
DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Rivers and Harbors Appropriations Act of 1899, Section 18, 30 Stat. 1153, 33 U.S.C. 502; Bridge Act of 1906, Sections 4 and 5, 34 Stat. 85, 33 U.S.C. 494, 495; Act of June 21, 1940, as amended; Truman-Hobbs Act, 54 Stat. 497, 33 U.S.C. 511-523.

**OBJECTIVES:**

To accomplish alteration of obstructive bridges to render navigation through or under it reasonably free, easy, and unobstructed for the benefit of navigation. In accordance with the Coast Guard Authorization Act of 1996, permanent authority exists in 49 U.S.C. 104(e) to transfer funds from the Federal-Aid Highways discretionary bridge program to the Coast Guard to finance alteration of Truman-Hobbs obstructive highway bridges.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Funds are reimbursed to bridge owner to cover payments of the Government's share for work performed in altering the obstructive bridge in accordance with the approved general plans and specifications. All changes to plans and specifications need prior approval of the Coast Guard before reimbursement of expenditure can be authorized. Costs of alteration attributable to the following are ineligible: (1) direct and special benefits which will accrue to the bridge owner as a result of the alteration, (2) the expectable savings in repair or maintenance costs, (3) requirements of traffic by railroad or highway or both, (4) increasing carrying capacity, (5) portion of the actual capital cost of the old bridge or such part of the old bridge as may be altered or changed or rebuilt as the used service life of the whole or a part, as the case may be, bears to the total estimated service life of the whole or such part: Provided, that the part of the cost of alteration of any bridge for both highway and railroad traffic, attributable to the requirements of traffic by highway, shall be borne by the proprietor of the highway. (6) Provided further, that in the event the alteration or relocation of any bridge may be desirable for the reason that the bridge unreasonably obstructs navigation, but also for some other reason, the Secretary may require equitable contribution from any interested person, firm, association, corporation, municipality, county, or State desiring such alteration or relocation for such other reason, as a condition precedent to the making of an order for such alteration or relocation. The United States shall bear the balance of the cost, including that part attributable to the necessities of navigation. Bridge alteration and relocation actions must comply with the provisions of the National Environmental Policy Act (NEPA) of 1969 (Public Law 91-190), as amended; the CEQ Regulations (40 CFR 1500-1508) which implements NEPA; Executive Order 11514, as amended, Protection and Enhancement of Environmental Quality; DOT Order 5610.1C, Procedures for Considering Environmental Impacts, and COMDTINST M16475.1C, NEPA Implementing Procedures.

**Applicant Eligibility:**

(1) Any State, county, municipality, or other political subdivision or any corporation, association, partnership, or individual owning or jointly owning any lawful bridge over navigable waters of the United States which is used and operated for the purpose of carrying railroad traffic, or both railroad and highway traffic, or (2) Any State, county, municipality, or other political subdivision owning or jointly owning any lawful bridge over the navigable waters of the United States which is used and operated for the purpose of carrying highway traffic.

**Beneficiary Eligibility:**

Navigation, maritime transportation interests, commercial and recreational boating public, marine traffic, ports, bridge owners, land transportation, and general local public.

**Credentials/Documentation:**

A bridge must be determined to unreasonably obstruct navigation. This determination is made by the Coast Guard after conducting an investigation and determining that the navigational benefits that would accrue as a result of altering the bridge equal or exceed the cost of alteration.

**Preapplication Coordination:**

An applicant should contact the Coast Guard District bridge staff or Headquarters bridge staff for information as to what is necessary to support his/her complaint that a bridge is unreasonably obstructive to navigation. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A formal written complaint stating that a bridge is unreasonably obstructive is made to the appropriate Coast Guard District Commander who determines through informal discussions with the complainant, waterway users, other interested parties, whether or not a preliminary investigation is required. Impediments to highway or railway are not valid complaints. In some cases, based on the accident history of a bridge alone, a preliminary investigation may be initiated by the District Commander. Computing benefits is not a

responsibility of the complainant, it is a Coast Guard responsibility. Environmental considerations also do not enter into consideration for determining whether or not a bridge is unreasonably obstructive.

**Award Procedure:**

When preliminary investigation of the District Commander indicates sufficient benefits to navigation are not readily available to at least justify a detailed investigation, the District Commander informs the complainant that there is no sufficient evidence to warrant further investigation and closes the case. However, when the preliminary investigation indicates that the bridge may be unreasonably obstructive, the District Commander undertakes a detailed investigation with the approval of the Commandant (G-OPT). The Coast Guard District holds a public hearing to determine the facts upon which a firm decision to alter or not alter is made. The detailed investigation is reviewed by the Commandant, if the navigational benefit equals to or is greater than the cost of the bridge alteration, then the bridge is declared unreasonably obstructive to navigation and therefore, becomes eligible for Federal funding under the Truman-Hobbs Act. For additional details refer to 33 CFR 116.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

1. Within six months from the start of the preliminary investigation, if sufficient costs to navigation are not readily available to justify a detailed investigation, the case is closed out by the District Commander. 2. Extension of time beyond the six months may be allowed provided a quarterly progress report is forwarded to the Commandant. 3. Final investigation report including the benefit and cost ratio which becomes the basis for the determination to declare the bridge an unreasonable obstruction to navigation is completed within a 3-year period from the date of initial complaint.

**Appeals:**

Within 60 days of the District Commander's decision that the case is closed, an appeal must be submitted in writing to the U. S. Coast Guard Directorate of Operations Policy (G-OP), 2100 Second Street, SW., Washington, DC 20593-0001. Commandant will take action on the appeal within 90 days of the receipt of the appeal.

**Renewals:**

The case may be reopened at any time if changes in navigation occur or additional information is provided.

**Formula and Matching Requirements:**

The general statutory procedures which serve as the basis of determining the proportionate shares of the total cost of the project to be borne by the United States and by the bridge owner is described in the Act of June 21, 1940, as amended (Truman-Hobbs Act)(54 Stat. 497, 33 U.S.C. 516). The general procedure and statutory requirements are also listed in 33 CFR 116.30. In the event the alteration or relocation of any bridge may be desirable for reasons that the bridge unreasonably obstructs navigation, but also for some other reasons, equitable contribution from any interested person, firm, association, corporation, municipality, county, or State desiring such alteration or relocation as a condition precedent to making an order for alteration or relocation. The United States bears the balance of the cost including that part attributable to the necessities of navigation.

**Length and Time Phasing of Assistance:**

There is no restriction placed on the time period over which the payment of the total share of the United States is made except the time period should be reasonable. This time period is determined by the Commandant. After approving the general plans and specifications for the alteration of such bridge, the guarantee of the owner not to exceed the total project cost, the fixing of proportionate shares of the United States and the owner, out of the funds appropriated by Congress, reimbursement or payment to the bridge owner begins on such construction costs as the work progresses and upon receipt of the certification of completion.

**Reports:**

Monthly progress reports of design and construction. Monthly bills indicating payment has been made so that reimbursement can be made.

**Audits:**

DOT Audit is made at the completion of the alteration and final payment of the last bill and to ensure that funds have been applied to the project efficiently, economically, effectively and no overcharges have been made to the project. The audit procedure mandated for the program is the IG Act of 1978, as amended, and DOT Order No. 2900.

**Records:**

The bridge owner is required to maintain all financial records, bills and payments, in-house force account records, time and attendance, contract documents, final acceptance of the project, and receipt of all payments.

**Account Identification:**

70-0614-0-1-403.

**Obligations:**

(Direct Payments) FY 07 \$16,029,044; FY 08 est \$16,400,000; FY 09 est not available.

**Range and Average of Financial Assistance:**

In previous fiscal years, when payments were issued, the range of financial



assistance was \$14,740,000 to \$42,800,000.

#### **PROGRAM ACCOMPLISHMENTS:**

The Coast Guard has completed 27 bridge alteration projects at a total cost of \$193 million to the Government. At present, 9 projects located in Georgia, Iowa, Louisiana, Illinois, Alabama, Massachusetts, South Carolina, and Pennsylvania are under design and construction. The majority of the above projects are railroad bridges with a small number of highway bridges.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

33 CFR 116, Truman-Hobbs Act, 33 U.S.C. 511-523, Commandant Instruction M16590.5-Chapter 6. These documents are available in the Bridge Administration Division of the U. S. Coast Guard, 2100 Second Street, SW., Washington, DC 20593-0001.

#### **Regional or Local Office:**

District Bridge Administrators in each district are the local points of contact. Coast Guard District Offices. First Coast Guard District (obr): Mr. John McDonald (obr), 408 Atlantic Ave., Boston, MA 02210-2209. Telephone: (617) 223-8364. Fax: (617) 223-8026. Gary Kassof (obr), Battery Park Bldg., New York, NY 10004-5073. Telephone: (212) 668-7165. Fax: (212) 668-7967. Western River Directorate (obr), Roger Wiebusch, 1222 Spruce St., St. Louis, MO 63103-2398. Telephone: (314) 539-3900. Fax: 314-539-3755. Fifth Coast Guard District (Aowb) Ann Deaton, Federal Building, 431 Crawford St., Portsmouth, VA 23704-5004. Telephone: (757) 398-6557. Fax: (757) 398-6334. Seventh Coast Guard District (oan) Gregg Shapley, Brickell Plaza, 909 SE. 1st Ave., Miami, FL 33130-3050. Telephone: (305) 415-6743. Fax: (305) 415-6757. Eighth Coast Guard District (obc) Marcus Redford, Hale Boggs Federal Bldg., 501 Magazine St., New Orleans, LA 70130-3396. Telephone: (504) 589-2965. Fax: (504) 589-3063. Ninth Coast Guard District (obr) Bob Bloom, 1240 East 9th St., Cleveland, OH 44199-2060. Telephone: (216) 902-6085. Fax: (216) 902-6088. Eleventh Coast Guard District (oan-2), David Sulouff Bldg. 10, Rm. 50-6, Alameda, CA 94501-5100. Telephone (510) 437-3514. Fax: (510) 437-5836. Thirteenth Coast Guard District (ob), John Mikesell Federal Bldg., 915 Second Ave., Seattle, WA 98174-1067. Telephone: (206) 220-7270. Fax: (206) 220-7285. Fourteenth Coast Guard District (oan), CDR Thomas Hooper Federal Bldg., 300 Ala Moana Blvd., Rm. 9139, Honolulu, HI 96850-4982. Telephone: (808) 541-2315. Fax: (808) 541-2318. Seventeenth Coast Guard District (oan) Jim Helfinstine, P.O. Box 25517, Juneau, AK 99802-5517. Telephone: (907) 463-2268. Fax: (907) 463-2273.

#### **Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, SW., Washington, D.C. 20528. Telephone: (202) 282-8000.

#### **Web Site Address:**

<http://www.dhs.gov>

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

1. Burlington Northern Railroad Bridge over the Willamette River, Portland, Oregon. 2. CSX Transportation Company Bridge over the East Pascagoula River, Pascagoula, Mississippi. 3. Trent River Railroad Bridge, New Bern, North Carolina. 4. Norfolk and Southern Railroad Bridge over the Mississippi River, Hannibal, Missouri. 5. Burlington Northern Santa Fe Railroad Bridge over the Mississippi River, Burlington, Iowa. 6. Burlington Northern Santa Fe Railway Company Bridge over the Mississippi River, Fort Madison, Iowa. 7. Georgia DOT Sidney Lanier Bridge over the Burnswick River, Burnswick, Georgia. 8. Florida Avenue Bridge across the Inner Harbor Navigational Canal, New Orleans, Louisiana. 9. Boston City Bridge over Chelsea river, Boston, Massachusetts. 10. South Carolina DOT Limehouse Bridge over the Atlantic Intracoastal Waterway, Charleston, South Carolina. 11. U.S. Navy Reserve Basin Bridge, Philadelphia, Pennsylvania. 12. EJ&E Railroad Company Bridge over the Illinois Waterway, Divine, Illinois. 13. CSX Transportation Company Bridge over the Mobile River, Hurrricane, Alabama.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are primarily based on the benefit to navigation and the cost of alteration of the obstructive bridge. The following Criteria are used to determine if a bridge is obstructive under the Truman Hobbs Act: The District Commander receives complaints that a bridge is obstructive to navigation, or he can initiate an investigation because of numerous accidents. Through informal discussions with the complainant and other affected and or concerned parties, if sufficient information is available, the District Commander may formulate an opinion on whether or not the bridge in question is an unreasonable obstruction to navigation. If the District Commander determines that further investigation is not warranted, the District Commander informs the complainant there is not enough evidence to warrant an investigation and takes no further action. If the District Commander concludes that the bridge could be an unreasonable obstruction to navigation, the District Commander conducts a Preliminary Investigation, which involves: analyzing the existing bridge to determine if the navigational clearances are restrictive and to what extent; describing the waterway in the vicinity of the bridge (with charts of the area) for the record to establish, area and location of bridge in question, and any naturally occurring aspects of the environment which may impact navigation; collecting data on bridge openings to establish amount of use, accidents attributed to restrictive

navigational clearances and not pilot error, all costs associated with accidents as described above, and other costs associated with the need to alter for the benefit of navigation (i.e., the cost of double tripping); computing the navigation benefits; and recommending a course of action. A Preliminary Investigation Report is sent to the Commandant for review. If the Commandant determines that the bridge is not an unreasonable obstruction to navigation, the Commandant then notifies the District Commander that the bridge does not qualify for alteration under the Truman-Hobbs Act and no further action is required. The case may be reopened if changes in navigation occur. If the Commandant determines that the bridge may be an unreasonable obstruction to navigation, the Commandant then directs the District Commander to conduct a detailed investigation. The purpose of the investigation is to gather additional facts to determine if the bridge is indeed an unreasonable obstruction to navigation, what clearances are needed, and any other circumstances that need disclosing. The District Commander forwards a Detailed Investigation Report to the Commandant. The report contains detailed information and substantiated data collected during the investigation in support of the recommendation. The Commandant reviews the Detailed Investigation Report and conducts a Benefit/Cost Analysis. The Commandant then determines if the benefit to navigation which will result from the alteration is at least equal to the cost of making the bridge alterations. If the benefit does not at least equal the cost then the bridge can not be altered under the Truman-Hobbs Act. The Navigation Benefit is used to calculate the Benefit-to Cost Ratio (B/C). The B/C will be used to determine eligibility under the Truman-Hobbs Act and to justify for funding before Congress. The Navigational Benefits generally will be calculated in three categories, namely: (1) Vessels delays resulting from limited clearances of the bridge (or Transit Time Savings, resulting from a reduction in transit time and thus operating expenses in clearing the bridge zone); (2) Collision damage resulting from accidents caused by the limited clearance of the bridge (or Water Accident Reduction Savings, due to elimination/reduction of future damages to the bridge, fenders, and vessels); and (3) Certain other savings have been eliminated. Examples of these savings are elimination of a need for extrapilots, crew, and tugs; elimination of environmental delays such as tide, wind, currents darkness, visibility directly attributable to the limited clearance of the bridge itself; and increase in trips, because the restrictive bridge clearance that had heretofore prohibited the use of larger barge and/or tows. The Benefit-to-Cost Ratio is computed and is the indicator to determine if a bridge is an unreasonable obstruction to navigation alterable under the Truman-Hobbs Act. If the Commandant concludes that the bridge does not qualify for alteration under the Truman-Hobbs Act, the Commandant notifies the District Commander that the bridge does not qualify and no further action is required. However the case may be reopened with additional information if the Commandant determines that the bridge is an unreasonable obstruction to navigation, and qualifies for alteration under the Truman-Hobbs Act. The Commandant notifies the District Commander to inform the bridge owner of the required changes. The bridge owner is given 60 days to reply. When the reply is received or when the 60 days are up, the Commandant issues the order to alter. The District Commander prioritizes investigations of possible obstructive bridges based upon a variety of relevant factors. The factors taken into account are type of bridge, location of bridge, cross current, accident history of the bridge, traffic density, duration of channel blockage and time to reopen, severity of damage resulting from accidents, type and amount of cargo transiting through the bridge, risk of the bridge being hit and savings due to avoidance of collision risk, economic impact to navigation industry, possible environmental consequences that may result from an accident and benefits to navigation. Priorities are continuously reviewed and updated by bridge division at Headquarters. Inter-district priority for the alteration of bridges is established by Headquarters. Priority is based on the severity of impacts attributable to each bridge. Priorities are updated as new bridges come to the District Commander's attention and as new information becomes available that require changes in priorities.

## **97.015 SECRET SERVICE-TRAINING ACTIVITIES**

### **FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

### **AUTHORIZATION:**

18 U.S.C. 3056, Public Law 95-81.

### **OBJECTIVES:**

To acquaint local sworn law enforcement officials with the functions of the Secret Service, and the techniques of protecting dignitaries; to assist criminal investigators by training them in the basic examination of questioned documents, and brief law enforcement officials and money handlers in the techniques used in detecting counterfeit documents and money.

### **TYPES OF ASSISTANCE:**

Training.

### **USES AND USE RESTRICTIONS:**

The Questioned Document Course is restricted to sworn law enforcement officers. Applicants are accepted in limited numbers upon the request of their departmental heads for training in the Secret Service Questioned Document Course. The training, while geared primarily to the Secret Service Special Agent,

will provide introductory training in the fundamentals of document analysis with emphasis on handwriting examination and comparison. The Protective Operations Briefing is also restricted to sworn law enforcement officers and is provided for those officers who have the regular responsibility of protecting dignitaries which includes post assignments, use of follow-up vehicles, motorcade techniques, and advanced security arrangements. The Secret Service will provide the police officials with information which will assist them in helping the Secret Service carry out its protective responsibilities. (Upon request, regional Secret Service offices will brief bank tellers, department store cashiers, and other money handlers in the techniques of detecting counterfeit currency.)

**Applicant Eligibility:**

For training in Questioned Document Course and/or Protective Operations Briefing, applicant must be a sworn member of a law enforcement agency.

**Beneficiary Eligibility:**

Sworn members of police agencies.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Contact the appropriate resident Secret Service office or the regional field office serving your jurisdiction, to apply for admission to Questioned Document Course and the Protective Operations Briefing. Also, contact the resident Secret Service office or the regional office for information concerning requests for lecture presentations to groups on the detection of counterfeit money. Headquarters contact information is also listed in this announcement.

**Award Procedure:**

Not applicable.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Questioned Document Course lasts for two weeks; the Protective Operations Briefing is a four day course.

**Reports:**

Not applicable.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

70-0403-0-1-751.

**Obligations:**

Salaries and expenses) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Each year approximately 3,200 State and local police officers attend protective briefings and questioned document courses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Catalog Appendix IV for addresses.

**Headquarters Office:**

Department of Homeland Security, U.S. Secret Service, 245 Murray Drive, SW., Washington, DC 20528. Telephone: (202) 282-8000.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

16.004, Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance\_FBI Advanced Police Training; 16.302, Law Enforcement Assistance\_FBI Field Police Training.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.016 REIMBURSEMENT FOR FIREFIGHTING ON FEDERAL PROPERTY**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974, as amended, 15 U.S.C. 2201 et seq.

**OBJECTIVES:**

To provide that each fire service organization which engages in firefighting operations on Federal property may be reimbursed for their direct expenses and direct losses (those losses and expenses that are not considered normal operating expenses) incurred in firefighting.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Reimbursement is provided only for direct costs and losses over and above normal operating costs.

**Applicant Eligibility:**

Fire Departments, (volunteer and paid) of the States, District of Columbia, Commonwealths, Territories and Possessions of the United States, and Indian lands that the U.S. holds technical legal title to, are eligible to apply.

**Beneficiary Eligibility:**

Fire departments.

**Credentials/Documentation:**

See 44 CFR 151 for requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under 44 CFR Part 13 and E.O. 12372.

**Application Procedure:**

See 44 CFR 151 for details. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

To be considered, a claim must be filed in writing with the Administrator, U.S. Fire Administration, within 90 days of the occurrence of the fire for which reimbursement is requested.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

30 days after receiving an initial notification of decision.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Direct Payments); FY 07 est not available; FY 08 est not available; FY 09 est not available.

**Range and Average of Financial Assistance:**

From a few dollars to \$500,000 (no stated limit).

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2003, three claims were submitted. No claims were approved. Three claims were denied.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 11 of the Federal Fire Prevention and Control Act of 1974; Public Law 93-498; 44 CFR 151.11.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Fire departments which fight fires on Federal property for which they are not otherwise reimbursed may be reimbursed under this program for direct losses and direct expenses over and above normal operating expenses. The amount of reimbursement is subject to availability of funds (see 44 CFR 151.12). All claims must be accompanied by sufficient supporting data to prove expenses and losses incurred in the amount claimed.

## 97.018 NATIONAL FIRE ACADEMY TRAINING ASSISTANCE

(Student Stipend Reimbursement Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127, 44FR 19367, 3 CFR, 1979 Comp. P. 376; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 ( and b).

**OBJECTIVES:**

To provide travel stipends to students attending Academy courses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Presently, the program covers reimbursement for the cost of a 21-day pre-purchase, nonrefundable ticket for round-trip transportation by common carrier, or privately owned vehicle mileage reimbursement not to exceed the cost of the airline ticket, for resident program courses at various locations and a limited stipend for selected regional delivery courses throughout the nation. For Resident Program courses, students are required to pay the cost of meals daily. For Regional Delivery courses, a limited stipend of up to \$100 for a one-week course and up to \$200 for a two-week course is provided to help offset students' transportation and lodging. Reimbursements are not made to Federal employees who are attending on behalf of their employer, employees from private industry, or foreign students.

**Applicant Eligibility:**

Any student who is a member of a fire department or has significant responsibility for fire prevention and control and has been accepted into an eligible course at the National Fire Academy may apply for stipend reimbursement. Federal or private industry employees or foreign students may be accepted into National Fire Academy courses but are not eligible for stipend reimbursement.

**Beneficiary Eligibility:**

Student or sponsoring organization.

**Credentials/Documentation:**

Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) accompanied by a copy of the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application is made to the National Emergency Training Center Admission's Office using the Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. The completed agreement package will be processed immediately. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The completed agreement package will be processed immediately. A U.S. Department of the Treasury payment schedule will be prepared and a reimbursement check issued directly to the beneficiary.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the National Fire Academy, or his designee.

**Renewals:**

None.

**Formula and Matching Requirements:**

There is no match requirement for this program. However, students are required to pay for their meals.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

None.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Direct Payments) FY 07 \$1,365,012; FY 08 est \$1,600,000; and FY 09 est \$1,600,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In previous fiscal years, assistance in the form of stipend funds were provided to over 4,200 participants in the National Fire Academy Program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog, course schedules.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.019, National Fire Academy Educational Program.

**EXAMPLES OF FUNDED PROJECTS:**

Students are provided an opportunity to attend courses at the National Fire Academy resident facility with a minimal cost to the individual or the fire department represented. The increase in the number of students attending impacts on increasing the professional level of fire service personnel.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

## 97.019 NATIONAL FIRE ACADEMY EDUCATIONAL PROGRAM

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127, 44FR 19367, 3 CFR, 1979 Comp. P. 376; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 (and b).

**OBJECTIVES:**

To increase the professional level of the fire service and others responsible for fire prevention and control.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Training is provided at the resident training facility to support State or local fire organizations. The program is not available to the general public or to individuals who do not have a need for the information as part of their normal responsibilities. Eligible participants are selected based on their application submitted to the National Fire Academy.

**Applicant Eligibility:**

Any individual who is a member of a fire department or has significant responsibility for fire prevention and control.

**Beneficiary Eligibility:**

Any individual who is a member of a fire department or has significant responsibility for fire prevention and control.

**Credentials/Documentation:**

The individual may be required to provide documentation related to their roles and responsibilities in fire prevention and control.

**Preapplication Coordination:**



For train-the-trainer and in-service instructor trainees, nominations are sought from State fire training directors and metropolitan fire department chiefs. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application for resident and regional courses is made to the National Emergency Training Center Admission's Office using the General Admission Application (FEMA Form 75-5). Application for weekend on-campus courses and off-campus courses is made through the appropriate State or metropolitan fire training agency.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the National Fire Academy.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

There may be an evaluation of the benefit derived by the community as a result of attendance at a particular course.

**Records:**

None.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Direct Program Expenditure) FY 07 \$6,575,197; FY 08 est \$6,600,000; and FY 09 est \$6,600,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In prior fiscal years, approximately 5,239 students participated in the National Fire Academy resident program; 787 students participated in Regional Deliveries; and 2,872 individuals participated in the State Weekend program. An estimated 60,000 individuals participated in educational opportunities through other Academy off-campus and train-the-trainer program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane Bldg #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Students are provided an opportunity to attend courses at the National Fire Academy resident facility or at a convenient off-campus location with a minimal cost to the individual or the fire department represented. The increase in the number of students attending on increases the professional level of fire service personnel.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

## 97.020 HAZARDOUS MATERIALS TRAINING PROGRAM

(SARA Title III Training Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, 42 U.S.C. 9615 et seq.; Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499, 42 U.S.C. 9662 et seq.

**OBJECTIVES:**

To make funding available to provide training in support of Tribal governments emergency planning, preparedness, mitigation, response, and recovery capabilities. These programs must provide special emphasis on emergencies associated with hazardous chemicals.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds are authorized to provide education and training programs for tribal personnel with special emphasis on hazardous chemicals and related chemical emergencies. The funds are intended to improve emergency planning, emergency notification, hazardous chemical reporting, preparedness, mitigation, response and recovery capabilities in support of Title III. Possible sources for this program include Federal training activities and conferences, State training programs, private sector training, university training centers, and other training sources. Funding may also be used to pay contractual services acquired for the specific purpose of training and educating the tribes. In FY 2000, State grants under this authority were incorporated into FEMA's Emergency Management Performance Grant (EMPG).

**Applicant Eligibility:**

These funds are available to Federally-recognized Indian Tribal governments. States and U.S. territories must apply for Emergency Management Performance Grants.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

The matching requirement is 20 percent that may be satisfied with cash or third party in-kind contributions.

**Length and Time Phasing of Assistance:**

The assistance is normally available for one year. The assistance is awarded in a lump sum.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Grants) FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Under Performance Partnership Agreements, States have been given additional flexibility to meet their hazardous materials risk requirements. No quantitative data is available.

## REGULATIONS, GUIDELINES, AND LITERATURE:

FY 2000 Hazardous Materials Training Program Guidance for Tribal Nations Implementation of SARA Title III.

### Regional or Local Office:

FEMA Regional Training Officer.

### Headquarters Office:

Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20528.

### Web Site Address:

<http://www.dhs.gov>.

### RELATED PROGRAMS:

97.042, Emergency Management Performance Grants.

### EXAMPLES OF FUNDED PROJECTS:

OSHA required hazardous materials training, training for LEPC planning and prevention activities, training to conduct hazard analyses, training for exercises in evaluation activities, and training for local response agencies in planning and standard operating procedures (SOP) development.

### CRITERIA FOR SELECTING PROPOSALS:

Refer to the program guidance for information on criteria for selecting proposals.

## 97.021 HAZARDOUS MATERIALS ASSISTANCE PROGRAM

(CERCLA Implementation)

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) of 1980, as amended; 42 U.S.C. 9601 et seq.; Superfund Amendments and Reauthorization Act of 1986; Executive Order 12148, Federal Emergency Management; Executive Order 12580, Superfund Implementation, 42 U.S.C. 9662 et seq.

### OBJECTIVES:

To support States, local and Indian tribal governments in oil and hazardous materials emergency planning and exercises and enhance their capabilities to interact with the National Response System (NRS); through the States, provide technical and financial assistance to support activities under the Comprehensive Hazardous Materials (Hazmat) Emergency Response - Capability Assessment Program (CHER-C).

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements).

### USES AND USE RESTRICTIONS:

Funding must be used for planning, exercising and educational projects that will serve to enhance emergency management capabilities for dealing with oil and hazardous materials releases. Certain equipment purchases are not authorized: such as automated data processing and facsimile machines and any other equipment acquired for the sole purpose of carrying out the day-to-day work activities. However, equipment purchased exclusively for the implementation of exercises and/or CHER-CAP activities (disposable personal protective equipment, simulated emergency response equipment used only for training) are authorized. Reimbursement of salaries and benefits is restricted, and funding for contractual support is permitted. Funding for training and educational programs are limited, and may not be used to supplement the nonfederal matching requirements associated with Hazardous Materials Transportation Act (HMTA), or SARA Title III funds, nor used to attend courses available under any other FEMA programs when separate funds are available for that training.

### Applicant Eligibility:

The funds are available to States, locals, tribes, U.S. territories, State Emergency Response Committees (SERCs), and Local Emergency Planning Commissions (LEPCs).

### Beneficiary Eligibility:

States, locals, tribes, U.S. territories, State Emergency Response Committees (SERCs), and Local Emergency Planning Commissions (LEPCs).

### Credentials/Documentation:

Applicant must submit to the FEMA Regional Office a work plan describing the proposal.

### Preapplication Coordination:

None. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Application deadline and other information are contained in the application/program guidance.

### Award Procedure:

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### Deadlines:

Refer to announcement or application guidance for further information.

### Range of Approval/Disapproval Time:

Refer to program guidance document.

### Appeals:

None.

### Renewals:

None.

### Formula and Matching Requirements:

The FEMA Regional PT Office determines the allocation for each applicant based on the proposal, the FEMA/EPA Interagency Agency Agreement and previous funding and accomplishments.

### Length and Time Phasing of Assistance:

Grants or cooperative agreements are awarded for a period of one year.

Exceptions may be granted at the discretion of the Region PT Division Director refer to the program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

### Reports:

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

### Audits:

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### Records:

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

### Account Identification:

70-0711-0-1-999.

### Obligations:

(Grants) FY 07 \$ est. not available; FY 08 \$ est. not available; and FY 09 \$ est. not available.

### Range and Average of Financial Assistance:

Refer to program guidance.

### PROGRAM ACCOMPLISHMENTS:

Not available.

### REGULATIONS, GUIDELINES, AND LITERATURE:

None.

### Regional or Local Office:

Contact the appropriate FEMA regional office responsible for coordinating program activities.

### Headquarters Office:

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

### Web Site Address:

<http://www.dhs.gov>.

### RELATED PROGRAMS:

97.020, Hazardous Materials Training Program.

### EXAMPLES OF FUNDED PROJECTS:

Planning and/or exercise projects.

### CRITERIA FOR SELECTING PROPOSALS:

Refer to the program guidance for information on criteria for selecting proposals.

## 97.022 FLOOD INSURANCE

### FEDERAL AGENCY:

DEPARTMENT OF HOMELAND SECURITY

### AUTHORIZATION:

National Flood Insurance Act of 1968, 42 U.S.C. 4001 et seq.

### OBJECTIVES:

To enable persons to purchase insurance against physical damage to or loss of buildings and/or contents therein caused by floods, mudslide (i.e., mudflow), or flood-related erosion, thereby reducing Federal disaster assistance payments, and to promote wise floodplain management practices in the Nation's flood-prone and mudflow-prone areas.

### TYPES OF ASSISTANCE:

Insurance.

### USES AND USE RESTRICTIONS:

Under the Emergency Program of the National Flood Insurance Program (NFIP),

property owners may buy flood insurance at a chargeable premium rate that is generally lower than a normal actuarial rate. Maximum amounts of such coverage available under the Emergency Program of the NFIP are: \$35,000 for a single-family home (higher limits are available in Hawaii, Alaska, Guam and the U.S. Virgin Islands), \$100,000 for all other residential structures, plus \$10,000 per dwelling unit for any contents; for nonresidential structures, an aggregate liability for any single structure of \$100,000 and for contents, \$100,000 per unit. Once a detailed flood insurance risk study has been completed and the community enters the Regular Program, additional coverage on existing properties may be purchased at actuarial rates. As of March 1, 1995, the maximum coverage available under the Regular Program is: \$250,000 for single-family residential structures; 250,000 times this number of condominium units for a residential condominium building, \$250,000 for all other residential structures; \$100,000 for contents per dwelling unit; \$500,000 for non-residential structures; \$500,000 for contents of non-residential structures. Effective October 1, 1983, coverage is no longer available for finished portions of basements with the exception of equipment necessary to make the building habitable, (e.g., furnaces). Properties built within identified special flood hazard areas after the effective date of the Flood Insurance Rate Map are eligible for flood insurance only at actuarial rates. Under the Flood Disaster Protection Act of 1973, effective March 2, 1974, flood insurance must be purchased as a condition of any form of Federal or federally-related financial assistance, including Federal grants, disaster assistance, and mortgage loans from federally regulated lending institutions and FHA, Farmers Home Administration, VA or guaranteed mortgages when the improved real property to which the transaction applies is located within identified special flood hazard areas where flood insurance is available. Communities having one or more identified special flood hazard areas must enter into the National Flood Insurance Program within 1 year of the official identification of their special flood hazard areas or be denied Federal financial assistance for acquisition or construction purposes within those areas. Federally regulated conventional sources (i.e., banks, savings and loan associations, or similar lending institutions) are permitted to make loans secured by improved real estate or Manufactured Housing located or to be located in the identified special flood hazard area of a nonparticipating community which has been formally identified as flood-prone for more than 1 year, but Federal disaster assistance for acquisition or construction purposes will not be available in the event of flood or flood-related property damage. The conventional lender is statutorily required to notify the borrower, before making a loan in such an area, whether Federal disaster assistance will be available to the property. The Coastal Barrier Improvement Act of 1990 amended the Coastal Barrier Resources Act of 1982 by greatly enlarging the acreage included in the designated coastal barrier resources system unit. The 1990 Act also added "otherwise protected areas." "Otherwise protected areas" are defined as an undeveloped coastal barrier within the boundaries of an area established under Federal, State, or local law, or held by a qualified organization, primarily for wildlife refuge, sanctuary, recreational or natural resource conservation purposes. The 1982 Act prohibits the sale of new flood insurance on or after October 1, 1983 for new construction or substantial improvements of structures located on any coastal barrier with the Coastal Barrier Resources System designated by this Act. The 1990 Act prohibits the sale of new flood insurance on or after November 16, 1990 for new construction or substantial improvements of structures located on any new coastal barrier within the Coastal Barrier Resources System designated or modified by this Act. It also prohibits the sale of new flood insurance on or after November 16, 1991 for new construction or substantial improvements of structures located in an otherwise protected area that are not used in a manner consistent with the purpose of the otherwise protected area. Subsequent pieces of legislation have added or deleted areas. Also, the Secretary of the Interior is authorized to make technical revisions and modifications to the boundaries of such units as may be necessary.

#### **Applicant Eligibility:**

Flood insurance can be made available in any community (a State or political subdivision thereof with authority to adopt and enforce floodplain management measures for the areas within its jurisdiction) that submits a properly completed application to FEMA including copies of enacted floodplain management measures consistent with the National Flood Insurance Program regulations.

#### **Beneficiary Eligibility:**

Residents, business, and property owners in applicant community, in which like States can insure municipal structures.

#### **Credentials/Documentation:**

Same as Applicant Eligibility. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under 44 CFR Part 13 and E.O. 12372.

#### **Application Procedure:**

Community officials must submit an NFIP eligibility application form, which is available from the FEMA, together with: copies of adopted floodplain management measures meeting the minimum standards of 44 CFR Section 60.3(a), 60.3(b), 60.3(c), 60.3(d), and/or 60.3(e), as appropriate for the type of flood hazards identified; a list of any incorporated communities within the

applicant's boundaries; and estimates of population and, by kind, of buildings situated in the known flood-prone areas of the community. Such Applications should be submitted to the Mitigation Directorate, FEMA, Washington, DC 20472. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

FEMA reviews the application and if complete, designates the community as participating. The community is informed of its admission, and notice is published in the Federal Register. Residents and property owners may then purchase flood insurance through any property insurance agent or broker.

#### **Deadlines:**

Communities with one or more identified special flood hazard areas must enter the program within 1 year after the identification of those areas or else prohibitions against Federally related financial assistance for acquisition or construction purposes in identified special flood hazard areas take force. Once the community does qualify, after the prescribed date, these prohibitions are removed. Adequate floodplain management measures must be in effect within 6 months of the date that the special flood hazard area is identified and within 6 months of the date flood water surface elevations are provided.

#### **Range of Approval/Disapproval Time:**

For complete applications, a maximum of 10 working days is allowed for review and notification.

#### **Appeals:**

Communities are allowed to appeal flood-prone identification and are also given an opportunity to appeal proposed flood elevation determinations for new construction and substantial improvement of existing structures in the special flood hazard areas. Notice of the proposed elevations is published in the Federal Register and is sent directly to the local governments. Following notification to the local government, the notice of proposed flood elevation determinations is published twice during a 10-day period in a prominent newspaper. The local community and its individual residents then have 90 days following the second newspaper notice to submit any scientific or technical data that tend to negate or contradict FEMA's findings. If a conflict in data exists and cannot be resolved at the community level, the community consolidates all individual appeals for review by FEMA. FEMA shall resolve the appeals by consultation with officials of the local government, or by submission of conflicting data to an independent scientific body, or by administrative hearings.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

None.

#### **Length and Time Phasing of Assistance:**

None.

#### **Reports:**

Every two years to FEMA on progress of the floodplain management program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have an audit made for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Specific elevation information on proposed new construction or substantial improvements in the area of special flood hazard. Backup data for biennial report.

#### **Account Identification:**

70-4236-0-4-453.

#### **Obligations:**

(Insurance) FY 07 \$128,084,050; FY 08 est \$138,000,000; and FY 09 est not available.

#### **Range and Average of Financial Assistance:**

Claims paid: \$1 to \$1,900,000; \$24,920.

#### **PROGRAM ACCOMPLISHMENTS:**

As of February 2008, 20,519 communities participated; 5,584,763 policies in force; and \$1,132,441,070,300 insurance in force.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 44 CFR 59 et seq. Publication, "Answers to Questions About the National Flood Insurance Program," "Mandatory Purchase of Flood Insurance Guidelines," "Elevated Residential Structures," "Guide To Flood Insurance Rate Maps," "Flood Insurance Manual" (agents manual), "National Flood Insurance Program. Application Forms," "Manufactured Home Installation in Flood Hazard Areas," "Coastal Construction Manual," Alluvial Fans: Hazards and Management," "Floodplain Management in the United States: An Assessment Report," "Design Guidelines for Flood Damage Reduction" and "Repairing Your Flooded Home," "Technical Bulletin Series (FIA-TB)" "Answers to Questions About Substantially Damaged Buildings," "Reducing Losses in High Risk Flood Hazard Areas," "Design Manual for Retrofitting Flood-Prone Residential Structures" and "Flood Proofing Non-Residential Structures."

#### **Regional or Local Office:**



Contact the appropriate FEMA regional office, or the State office responsible for coordinating the program's activities.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), c/o 245 Murray Lane - Bldg. #410, Washington, DC 20523. Telephone: (800) 621-FEMA(3363).

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

10.450, Crop Insurance; 59.008, Disaster Assistance Loans.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 97.023 COMMUNITY ASSISTANCE PROGRAM STATE SUPPORT SERVICES ELEMENT (CAP-SSSE)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

National Flood Insurance Act of 1968, as amended; 42 U.S.C. 4001 et seq.; Flood Disaster Protection Act of 1973, as amended. 42 U.S.C. 4002 et seq.

**OBJECTIVES:**

To ensure that communities participating in the National Flood Insurance Program (NFIP) are achieving flood loss reduction measures consistent with program direction. The CAP-SSSE is intended to identify, prevent and resolve floodplain management issues in participating communities before they develop into problems requiring enforcement action.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The CAP-SSSE is a product-oriented program directly related to the flood loss reduction objectives of the NFIP. Available CAP-SSSE funding is provided on a 75 percent maximum Federal and 25 percent minimum State cost-sharing basis. Both cash and in-kind resources must be specifically identified to designated activities. States estimate product completion as described in a mutually negotiated grant agreement.

**Applicant Eligibility:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The SSSE is designed to utilize the floodplain management capabilities of individual States in a cost effective cooperative agreement with FEMA. A State's participation in the SSSE is voluntary and is contingent upon need and skill level capability.

**Beneficiary Eligibility:**

The direct beneficiary of the CAP-SSSE is the individual State receiving financial assistance. In addition, participating NFIP communities and local governments which receive flood plain management and flood loss reduction assistance provided by the State are also (indirect) beneficiaries as a consequence of the services they receive.

**Credentials/Documentation:**

A State's participation in the CAP-SSSE is voluntary and is contingent upon need and skill level capability as determined by FEMA. In addition, applicant states are required to provide any relevant documentation contained in the grant agreement. package provided by FEMA.

**Preapplication Coordination:**

Need and skill level capability will be determined through consultation with States and FEMA Regional Office Mitigation Division points of contact. An Environmental Impact Statement is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals can be made to the appropriate FEMA Regional Office.

**Renewals:**

Participation in the CAP-SSSE can be renewed each year contingent upon

meeting requirements.

**Formula and Matching Requirements:**

Funding is provided on a 75 percent Federal, 25 percent State cost-sharing basis. Both cash and in-kind resources may meet the 25 percent cost-share.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Grants) FY 07 \$7,500,000; FY 08 est. \$7,500,000; and FY 09 \$ est. not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In preceding fiscal years, approximately 50 applications have been awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CAP-SSSE reference guidance is contained in the CAP-SSSE grant agreement application.

**Regional or Local Office:**

See Appendix IV for list for FEMA Regional Office addresses and phone numbers. In addition, you may contact the State office responsible for coordinating CAP-SSSE activities.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.022, Flood Insurance.

**EXAMPLES OF FUNDED PROJECTS:**

Community Assistance Visits/Contacts (CAV/CAC), Floodplain Management, Ordinance Assistance, Coordination Meeting with Regional Office, Community Rating System Application Assistance and Review/Workshops, Flood Loss Reduction Assistance and Publications, General Technical Assistance.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.024 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

(Emergency Food and Shelter)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title III, Sections 301-316, Public Law 100-77, as amended, 42 U.S.C. 11331-11346.

**OBJECTIVES:**

To supplement and expand ongoing efforts to provide shelter, food, and supportive services for needy families and individuals. To strengthen efforts to create more effective and innovative local programs by providing supplemental funding for them. To conduct minimum rehabilitation of existing mass shelter or mass feeding facilities, but only to the extent necessary to make facilities safe,

sanitary and bring them into compliance with local building codes.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one month; and limited repairs to feeding and sheltering facilities. Emergency Food and Shelter (EFS) National Board Program funds cannot be used for: rental security, deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total award), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year): Responsibilities and Requirements, issued by the Emergency Food and Shelter Program National Board.

**Applicant Eligibility:**

Since funds are initially distributed to jurisdictions based on either a National Board formula or recommendations from State Set-Aside Committees, there is no application process for jurisdictions. All jurisdictions are considered within the National Board formula and all jurisdictions in an individual State may be considered by the State Set-Aside Committee for either initial or additional (if the jurisdiction had previously been selected by the National Board) funding.

**Beneficiary Eligibility:**

The law directs that the Local Boards, which manage the program at the local level, shall "determine which private nonprofit organizations or public organizations of the local government in the individual locality shall receive grants to act as service providers." The range of local participant groups includes the affiliates of the National Board membership which consists of the American Red Cross, Catholic Charities, USA, United Jewish Communities, National Council of Churches of Christ in the USA, The Salvation Army and United Way of America, with a local government representative replacing FEMA. Also participating are thousands of independent nonprofits (such as Community Action Agencies and Food Banks and food pantries) which provide food and/or shelter services. Due to the broad category of people in need of such emergency services, the providers can include specialized groups such as domestic violence shelters, Native American organizations, organizations providing food or shelter to: AIDS patients, handicapped individuals, the elderly, homeless veterans, non-wards of the State teenage runaways, and many other groups with emergency food and shelter needs. As noted earlier, the decisions on selections are made through the consensus of the Local Board as they have assessed their community's most urgent needs. It is important that such agencies use these funds to supplement, not replace, their current efforts. This program is intended to supplement ongoing programs and allow them to extend and expand upon their existing services.

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This form certifies an applicant's status (i.e., that it is a nonprofit capable of delivering eligible services) that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. Grant awards will be determined in accordance with OMB Circular Nos. A-102 and A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circular Nos. A-110 and A-21, and be audited under the standards of OMB Circular No. A-133.

**Preapplication Coordination:**

At the local level, following award notification, a Local Board is formed. That board then advertises the availability of the funds to local nonprofit agencies and governments. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are submitted to the National Board and reviewed by National Board program.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the FEMA Office of Inspector General.

**Renewals:**

Not applicable. Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

The National Board uses unemployment and poverty statistics as indicators of need. For Phase 26, fiscal year 2008, the following formula was used: (1) Jurisdictions, including balance of counties, with 13,000+ unemployed and a 3.5 percent rate of unemployment. (2) Jurisdictions, including balance of counties, with 300 to 12,999 unemployed and a 5.5 percent rate of unemployment. (3) Jurisdictions, including balance of counties, with 300 or more unemployed and an 11 percent rate of poverty.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Local Boards are expected to monitor the expenditure of funds in their respective jurisdictions. It is for that reason that requests for second checks (all awards are divided into two payments) must be made by the Local Boards. Along with the request for the second payment, the National Board receives an interim report on eligible spending during that phase. A Final Report also must be filed by each LRO with its Local Board. The Local Board then compiles all the Final Reports within its jurisdiction and submits them (along with any requested documentation) to the National Board. Failure of an LRO to file a Final Report will result in its award being held in escrow the succeeding year.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0707-0-1-605.

**Obligations:**

(Grants) FY 07 \$151,470,000; FY 08 est \$153,000,135; and FY 09 est \$100,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

During the most recent phase for which final data is available (phase 24 or FY 06), over 12,000 social service agencies (both nonprofit and governmental) in more than 2,500 jurisdictions received nearly \$151,470 million. This resulted in the provision of more than 66,784,162 million additional meals and 4.1 million additional nights of shelter, payout of approximately 248,869 rent/mortgage and utility bills to keep people in their homes, as well as supplies and minimal repairs for shelters. Web training, called Webinars, was also conducted by program staff for local boards and agencies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EFS National Board Program, "Phase 25: Responsibilities and Requirements."

**Regional or Local Office:**

See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), 500 C Street, S.W., Room 619, Washington, DC 20472. Telephone: (800) 621-FEMA (3363).

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

10.568, Emergency Food Assistance Program (Administrative Costs); 14.231, Emergency Shelter Grants Program.

**EXAMPLES OF FUNDED PROJECTS:**

Some local providers have used EFS Program funds in the following ways: (1) A drop-in center, available for homeless individuals during daytime hours when shelters are closed, used EFS funds to begin a lunch program; (2) A family shelter used EFS funds to increase the quality of the diet available to mothers and children and added a morning meal; (3) A shelter used funds to purchase additional cots and beddings, and thus increase shelter capacity; (4) A food bank used EFS funds to increase the amount of food and the protein quality it distributed to its pantry system; and (5) A shelter organization used EFS funds to

make one-month mortgage and rent payments to prevent evictions which kept families in their own homes and lightened the shelter population.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.025 NATIONAL URBAN SEARCH AND RESCUE (US&R) RESPONSE SYSTEM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Defense Against Weapons of Mass Destruction Act of 1966; National Defense Authorization Act for FY 1997, as amended; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121-5206; 44 CFR Part 208; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C., 7701 et seq.

**OBJECTIVES:**

Develop, maintain, deploy, coordinate, and support National Urban Search and Rescue resources on-scene to locate, provide initial medical treatment, and extricate victims of incidents requiring specialized search and rescue operations while simultaneously enhancing the US&R response capabilities of State and local governments.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

State and local emergency management agencies may jointly develop one or more US&R Task Force(s), as defined in the National US&R Response System Operation Manual. Use of cooperative agreement funding is restricted to program management/administration, training, equipment acquisition, and storage and maintenance of equipment, to meet task force position criteria, and conduct and participate in meetings within the National US&R Response System. Equipment acquisitions are limited to those included in FEMA's approved equipment cache list, including equipment for management/administration and other items approved by the FEMA US&R Program Office. Training requirements as included in the Operation Manual and including Grants Management and Financial Training.

**Applicant Eligibility:**

Only the 28 sponsoring jurisdictions who are currently designated by FEMA as members of the National Urban Search and Rescue Response System are eligible for operations and maintenance cooperative agreements.

**Beneficiary Eligibility:**

Only the 28 State and local government sponsoring organizations formally accepted by FEMA for participation in the National US&R Response System.

**Credentials/Documentation:**

State and/or local government applicants must verify that all personnel recommended for a task force meet the personnel qualifications as listed in the National US&R Response System Operation Manual. In addition, equipment needs must be verified as being on the approved equipment cache list or as approved by the Program Office. Grant awards/administration will be in accordance with the following: The Grantee shall comply with all applicable laws and regulations.

**Preapplication Coordination:**

All applicants will complete the equipment and personnel checklists contained in the National US&R Response System Manual, as well as identifying required training for potential task force members, on an annual basis. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the yearly application/program guidance.

**Award Procedure:**

Applications and budget plans are reviewed by DHS Program Office and Grants Management Office. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals must be made in writing and submitted within thirty (30) days from the date of disapproval. The appeal will be submitted through the appropriate FEMA Regional Office, to the Director for the Response Directorate. Within thirty days following the receipt of an appeal, the Response Director will provide the applicant, in writing, a determination on the appeal.

**Renewals:**

Annual applications must be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management

Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial reports and semi-annual performance reports. Semi-Annual "Performance Reports" must include the progress of each grant award and are due on January 30 and July 30. Financial Reports are due 30 days after the end of each quarter: Jan. 31, April 30, July 31, and October 31. Closeout documents including final financial and performance reports are due 90 days after the expiration or termination of the grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Grants) FY 07 \$22,238,000; FY 08 \$ 28,982,012; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

To continue to provide funding for equipment, training, and related activities for the 28 grantees comprising the National US&R Response System in order to assist them in achieving full operational readiness, as determined by FEMA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Federal Rule 44 CFR Part 208, guidelines outlined in the annual statement of work for task force preparedness cooperative agreements. In addition, the requirements for establishing a standardized US&R Task Force are contained in the National US&R Response System Sponsoring Organization Capability Criteria manual, as amended by FEMA. The Grantee shall comply with all applicable laws and regulations. In addition a non-exclusive list of regulations commonly applicable to DHS grants are listed below: Administrative Requirements OMB Circular A-102, State and Local Governments (10/07/94, amended 08/29/97) (44 CFR Part 13) OMB Circular A-110, Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (11/19/93, amended 09/30/99) (2 CFR Part 215) Cost Principles, 2 CFR Part 225, (OMB Circular A-87), State and Local Governments 2 CFR Part 205, (OMB Circular A-21), Educational Institutions, 2 CFR Part 230, (OMB Circular A-122), Nonprofit Organizations Audit Requirements. OMB Circular A-133, States, Local Governments, and Nonprofit Organizations (06/24/97, includes revisions published in the Federal Register 06/27/03).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security, Federal Emergency Management Agency (FEMA), C/O 245 Murray Lane Building #410, Washington, DC 20523; Telephone: (202) 786-9458.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Program Management to ensure day to day operations of the US&R taskforce. Acquisition of tools and equipment identified in the current US&R equipment cache list. Development and delivery of training needed to fulfill task force missions. Lease of or modifications to existing buildings (not to change the building existing footprint) cache storage space.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.026 EMERGENCY MANAGEMENT INSTITUTE- TRAINING ASSISTANCE**

(Student Stipend Reimbursement Program (SEP))

**FEDERAL AGENCY:**



**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 et seq.; National Security Act of 1947, 50 U.S.C. 401 et seq.; Defense Production Act of 1950, as amended, 50 U.S.C. App. 2061 et seq.; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C. 7701 et seq.

**OBJECTIVES:**

To defray travel and per diem expenses of State, local and tribal emergency management personnel who attend training courses conducted by the Emergency Management Institute, at the Emmitsburg, Maryland facility; Bluemont, Virginia facility; Nobel Training Center in Anniston, Alabama; and selected off-site locations. Its purpose is to improve emergency management practices among State, local and tribal government managers, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

State (includes territories), local, and tribal emergency management officials, who have been accepted for emergency management training by the Emergency Management Institute, Emmitsburg, Maryland. Reimbursement may be made for a portion of student's travel, but attendees are required to pay for meals. Refer to program guidance document or contact administering program office for additional information.

**Applicant Eligibility:**

Individuals who are assigned to an emergency management position in State, local or tribal government are eligible. Some restrictions apply, refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

Specialized Group.

**Credentials/Documentation:**

Individuals must first be accepted/approved by EMI, to attend the training course. Student Stipend Agreement (FEMA 75-3) accompanied by required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications for admission to training course, are processed/coordinated through county, State, tribal, and regional emergency management entities. This program is excluded from coverage under 44 CFR Part 13 and E.O. 12372.

**Application Procedure:**

Application is made to the Educational and Academic Support Branch at the National Emergency Training Center using the Student Stipend Agreement after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The completed agreement will be processed immediately. If reimbursement is to be made, a U.S. Department of Treasury payment schedule is prepared and a reimbursement check is issued directly to the beneficiary within 60 days.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Refer to program guidance document or contact administering program office for additional information. Certain match requirements (payment of meals by attendees) apply to all participants.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

None.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Direct assistance student stipends) FY 07 \$1,296,853; FY 08 est \$1,300,000; and FY 09 est \$1,300,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In the prior fiscal year, 14,565 students attended courses, and 3,068 of those students received a stipend by the Emergency Management Institute Resident

Program. Approximately the same level of activity is estimated for the current fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

**Regional or Local Office:**

See Catalog Appendix IV for FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), 245 Murray Lane, Building 410, Washington, DC 20528.

**Web Site Address:**

www.training.fema.gov.

**RELATED PROGRAMS:**

97.027, Emergency Management Institute (EMI)\_Independent Study Program; 97.028, Emergency Management Institute (EMI)\_Resident Educational Program.

**EXAMPLES OF FUNDED PROJECTS:**

Students are provided an opportunity to attend courses at the Emergency Management Institute resident facility, Bluemont facility, Anniston facility, and selected off site locations. Cost to the individual or the organization represented include meals, travel to point of major embarkment and return, personnel replacement costs, and related expenses.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.027 EMERGENCY MANAGEMENT INSTITUTE (EMI)-INDEPENDENT STUDY PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 et seq.; National Security Act of 1947, 50 U.S.C. 401 et seq.; Defense Production Act of 1950, as amended, 50 U.S.C. App. 2061 et seq.; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C. 7701 et seq.

**OBJECTIVES:**

The program currently consists of 66 courses available to participants, with the objective of enhancing public and selected audience knowledge of emergency management practices among officials of Federal, State, local and tribal governments and voluntary organizations in response to emergencies and disasters.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

State, local, Federally-recognized Tribal Government, U. S. Territory or possession; specialized group and general public. Refer to program guidance document or contact administering program office for course-specific eligibility requirements.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Course enrollment may be obtained by writing to the FEMA Independent Study Program, Administrative Office, Emergency Management Institute, 16825 South Seton Avenue, Emmitsburg, Maryland 21727 or electronic enrollment may be processed via the internet at <http://training.fema.gov/IS>.

**Award Procedure:**

Independent study courses furnished directly to applicants meeting course-specific requirements.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

An annual appropriation is anticipated for this program.

**Reports:**

None.

**Audits:**

None.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 07 \$870,110; FY 08 \$881,000; and FY 09 est \$1,100,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In the preceding fiscal year there were 3,718,547 individuals completing independent study courses. Approximately 4,000,000 independent study course completions are anticipated by the end of the current fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog or Independent Study Program Brochure (L173).

**Regional or Local Office:**

See EMI Catalog for listing of FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane SW, Bldg 410, Washington DC, 20528.

**Web Site Address:**<http://www.training.fema.gov>.**RELATED PROGRAMS:**

97.026, Emergency Management Institute Training Assistance; 97.028, Emergency Management Institute (EMI) Resident Educational Program.

**EXAMPLES OF FUNDED PROJECTS:**

Individuals are provided an opportunity to learn more about a broad base of basic emergency management principles.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.028 EMERGENCY MANAGEMENT INSTITUTE (EMI)-RESIDENT EDUCATIONAL PROGRAM****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 et seq.; National Security Act of 1947, 50 U.S.C. 401 et seq.; Defense Production Act of 1950, as amended, 50 U.S.C. App. 2061 et seq.; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C. 7701 et seq.

**OBJECTIVES:**

To improve emergency management practices among State, local and tribal government managers, and Federal officials as well, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Courses are not open to the general public. The primary audience is State, local and tribal government officials. Acceptance into specific courses is based on a need to know the information and how it will be used for the benefit of the community.

**Applicant Eligibility:**

Individuals assigned to an emergency management position in State, local, or tribal government are eligible. Restrictions apply, however; refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Applicants may be asked to verify their emergency management responsibilities.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to acceptance into the course.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Indefinite.

**Reports:**

None.

**Audits:**

There may be an evaluation following completion of most courses to determine the application of the information and the benefit derived by the community.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Direct Program Expenditure) FY 07 \$2,974,439; FY 08 est \$3,270,800; and FY 09 est \$3,500,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

In the preceding fiscal year, 14,565 individuals participated in the EMI resident program. The same level of participation is anticipated for the current and future fiscal year(s).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

**Regional or Local Office:**

See EMI Catalog for listing of FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), 245 Murray Lane, Bldg 410, Washington, DC 20523.

**Web Site Address:**[www.training.fema.gov](http://www.training.fema.gov)**RELATED PROGRAMS:**

97.026, Emergency Management Institute Training Assistance; 97.027, Emergency Management Institute (EMI) Independent Study Program.

**EXAMPLES OF FUNDED PROJECTS:**

Individuals are provided an opportunity to attend courses at the Emergency Management Institute resident facility.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on selection criteria.

**97.029 FLOOD MITIGATION ASSISTANCE**

(FMA)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

National Flood Insurance Reform Act of 1994, Title V, Sections 553 and 554, Public Law 103-325, 42 U.S.C. 5154a.

**OBJECTIVES:**

To assist States and communities in implementing measures to reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insurable under the National Flood Insurance Program (NFIP).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

States are encouraged to use FMA planning, project and technical assistance grants to reduce the number of repetitive loss structures insured by the NFIP. More specifically, the emphasis is on reducing target repetitive loss properties that include structures with four or more losses, and structures with two or more losses where cumulative payments have exceeded the property value. Planning Grants may be used to assist States and communities in developing and updating Flood Mitigation Plans. Eligible activities under this grant are: conducting local planning discussions, contracting for consulting technical services such as engineering and planning; surveying structures at risk; and assessing structures subject to repetitive flood loss. There are several restrictions on Planning Grants. Planning Grants will not exceed a maximum of \$1,500,000 nationally each year. A Planning Grant will not be awarded to a State or a community more than one every 5 years. Individual Planning Grants will not exceed \$150,000 to any State applicant, or exceed \$50,000 to any community applicant. The total planning grant made in any fiscal year to any State, including communities located in the State will not exceed \$300,000. Project Grants may be used to assist States and communities in implementing flood mitigation projects to reduce the risk of flood damage to structures insured or insurable under the National Flood Insurance Program. Eligible activities under this grant include the acquisition, relocation, or elevation of insured structures. Only mitigation activities specified in a FEMA-approved Flood Mitigation Plan are eligible for an FMA Project Grant. There are several restrictions on Project Grants. The combined total of project and technical assistance awarded to the State and all communities in that State is limited to \$20,000,000 in a 5-year period. There are also limits on the amount of Project Grant funds that any one State or community can receive in a 5-year period. States can receive individual grants not totaling more than \$10,000,000 in a 5-year period. Communities can

receive individual project grants not totaling more than \$3,300,000 in a 5-year period. Up to 10 percent of Project Grant allocations annually may be used for Technical Assistance. The only applicants eligible for Technical Assistance Grants are State agencies or departments responsible for administering FMA. Eligible activities under this grant are: conducting community site visits; reviewing draft applications or plans; participating in planning meetings; providing planning workshops/materials; and, providing grants management workshops/ materials.

**Applicant Eligibility:**

Eligible applicants Technical Assistance Grants are State agencies or departments that are responsible for administering the FMA program. Eligible applicants for Planning Grants are States and communities participating in the NFIP. Suspended communities or communities on probation under the NFIP are not eligible. Eligible applicants for Project Grants are States and communities participating in the NFIP, and with a FEMA-approved Flood Mitigation Plan. Suspended communities or communities on probation under the NFIP are not eligible.

**Beneficiary Eligibility:**

States and communities.

**Credentials/Documentation:**

Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21.

**Preapplication Coordination:**

Application Process for FMA Project Grants: States apply through grant negotiation. State FMA point of contact reviews and prioritizes applications. FEMA reviews and ensures projects meet environmental regulations and minimum eligibility requirements. FEMA allocates the FMA grants for planning, technical assistance, and projects annually to each FEMA region for distribution among States that have requested participation in the program. For a State to receive funds, it should request participation in the FMA during its annual grant negotiation with the FEMA Regional Office. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

The State applies through the annual grant negotiation. The State point of contact reviews, prioritizes, and selects applications from community for funding planning and project grants; FEMA reviews and ensures that projects meet environmental regulations and minimum eligibility requirements. Forms Required: A State Flood Mitigation Plan, SF 424 Application for Federal Assistance, Program Narrative, 20-20 Budget Information-Construction Programs, 20-16(A)-(C) Assurances and Certifications, and SF-LLL Lobbying Disclosure.

**Award Procedure:**

State applies through grant negotiation, State reviews, prioritizes, and selects applications from community for funding Planning and Project Grants. Director allocates funds to the State, and the State distributes them to the community.

**Deadlines:**

The FEMA Regional Director will notify States regarding the program schedule at the beginning of each fiscal year.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The FEMA Director allocates available funds for FMA each fiscal year in a lump sum to each FEMA Region for distribution to the States and communities. Under the current formula, each State and territory receives a base amount of \$10,000 for Planning, and \$100,000 for Projects. The remaining funds are distributed based on the number of NFIP policies, repetitive loss structures, and other such criteria as the Director may determine in furtherance of the disaster resistant community concept. FEMA may contribute up to 75 percent of the cost of eligible activities. The remaining percent must be met by matching requirements from State government or other nonfederal funding sources. Up to one-half of the nonfederal share may be met by in-kind contributions from third parties. The remaining half of the nonfederal share must be met by State and local government expenditures and cash funds identified at the time of application.

**Length and Time Phasing of Assistance:**

The average performance period for FMA grants is generally 2 years, but may be extended once for planning grants and twice for project grants.

**Reports:**

Performance reports are due 30 days after the end of the second quarter (April 30) and 30 days after the end of the fourth quarter (October 30). The final

performance report is due 90 days after the expiration or termination of grant support if there is a change to the October financial report. Financial reports are due 30 days after the end of each quarter. Final financial and performance reports are due 90 days after the expiration or termination of grant support.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records include financial and programmatic records, supporting documents, statistical records, and other records of recipient or subrecipient which are required to be maintained by 44 CFR Part 13.42, program regulations or the grant agreement. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

70-0701-0-1-453.

**Obligations:**

FY 07 \$31,000,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Program accomplishments are published in a Biennial Report to Congress as required under Section 554 of the National Flood Insurance Reform Act (NFIRA). This report is available from Ms. Margaret E. Lawless, Director, Mitigation Planning and Delivery Division, Federal Insurance and Mitigation Administration, Federal Emergency Management Agency (FEMA), 500 C Street, SW., Washington, DC 20472. Telephone: (202) 646-4621.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane Building #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Program accomplishments, including examples of funded projects, are published in a Biennial Report to Congress as required under Section 554 of the National Flood Insurance Reform Act (NFIRA). This report is available from Ms. Margaret E. Lawless, Director, Mitigation Planning and Delivery Division, Federal Insurance and Mitigation Administration, Federal Emergency Management Agency (FEMA), 500 C Street, SW., Washington, DC 20472. Telephone: (202) 646-4621.

**CRITERIA FOR SELECTING PROPOSALS:**

Project Grants: Minimum Project Eligibility Criteria: The extent to which proposals are cost effective, conform with applicable Federal and State regulations and executive orders, are technically feasible, conform with the Flood Mitigation Plan, are physically located in an eligible community, or benefit such a community directly. Planning Grants are selected based on whether proposals are for eligible activities such as: conducting local planning discussions; contracting for consulting technical services such as engineering and planning; surveying structures at risk; and assessing structures subject to repetitive flood loss. Technical Assistance Grants are selected based on whether proposals are for eligible activities such as: conducting community site visits; reviewing draft applications and plans; participating in planning meetings; providing planning workshops/materials; and, providing grants management workshops/materials.

## 97.030 COMMUNITY DISASTER LOANS

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 417, 42 U.S.C. 5184.

**OBJECTIVES:**

To provide loans subject to Congressional loan authority, to any local government that has suffered substantial loss of revenues in an area in which the



President designates a major disaster exists. The funds can only be used to maintain existing functions of a municipal operating character and the local government must demonstrate a need for financial assistance.

**TYPES OF ASSISTANCE:**

Direct Loans.

**USES AND USE RESTRICTIONS:**

Loans are made only to local governments or other political subdivisions of the State, and are based on need. The funds cannot be used to meet the non federal share of any Federal program, finance capital improvements, or repair or restore public facilities.

**Applicant Eligibility:**

Applicants must be in a designated major disaster area and must demonstrate that they meet the specific conditions of FEMA Disaster Assistance Regulations 44 CFR Part 206, Subpart K, Community Disaster Loans. To be eligible the applicant must demonstrate: 1) a substantial loss of revenues as a result of a major disaster; 2) a need for financial assistance to perform its governmental functions.

**Beneficiary Eligibility:**

Local governments in a designated disaster area.

**Credentials/Documentation:**

The loan application is developed from financial information contained in the local government's published financial reports and current annual operating budget. Loan awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the FEMA Regional Director. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Upon declaration of a major disaster, application for a Community Disaster Loan is made through the Governor's Authorized Representative to the Regional Director of FEMA in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.364. The Assistant Administrator of the Disaster Assistance Directorate approves or disapproves the loan. The Designated Loan Officer will execute a Promissory Note with the applicant. The promissory note must be co-signed by the State, or if the State cannot legally co-sign the note, the local government must pledge collateral security.

**Award Procedure:**

Funds are disbursed to the local government when requested in accordance with the Schedule of Loan Increments in the Promissory Note. Funds awarded to Institutions of Education, Hospitals and Other Non-Profit Organizations will follow requirements of OMB Circulars No. A-110, No. A-21 and No. A-133.

**Deadlines:**

The loan must be approved in the fiscal year of the disaster or the fiscal year immediately following.

**Range of Approval/Disapproval Time:**

From 1 to 6 months.

**Appeals:**

If a loan application is disapproved, in whole or in part, a revised application may be resubmitted by the local government within 60 days of the date of the disapproval.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The amount of the loan is based on the demonstrated need. The interest rate is the U.S. Treasury rate for 5-year maturities on the date the Promissory Note is executed adjusted to the nearest 1/8th. When applicable, if an applicant can demonstrate unusual circumstances involving financial hardship, the Assistant Administrator of the Disaster Assistance Directorate may approve a rate equal to the five 5-year maturity rate plus 1 per centum, adjusted to the nearest 1/8th, and further reduced by one-half. The term of the loan is usually 5 years, but may be extended. Interest accrues on the funds as they are disbursed. When applicable, the Assistant Administrator of the Disaster Assistance Directorate may cancel repayment of all or part of the loan if the revenues of the applicant in the 3 fiscal years following the fiscal year of the disaster are insufficient to meet the operating budget because of disaster related revenue losses and un-reimbursed disaster related operating expenses.

**Length and Time Phasing of Assistance:**

The length of the loan is generally 5 years, but may be extended. Funds are disbursed per the Schedule of Payments in the Promissory Note.

**Reports:**

The applicant must demonstrate a financial need prior to any incremental disbursement by submitting a copy of its most recent financial report as well as

data on anticipated and actual revenues. The applicant annually must submit copies of its annual financial reports.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Annual Operating Budgets including revenue and expense and balance sheets must be retained for the duration of the loan. Additional record requirements are detailed in the Federal Disaster Assistance Regulations, 44 CFR 206, Subpart K.

**Account Identification:**

70-0703-0-1-453.

**Obligations:**

(Loans) FY 07 est not available; FY 08 est \$4,000,400; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 206, Subpart K.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

U.S. Department of Homeland Security 245 Murray Lane, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.031 CORA BROWN FUND**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121 et seq.

**OBJECTIVES:**

To use funds made possible by a bequest of funds from the late Cora C. Brown of Kansas City, Missouri, who left a portion of her estate to the United States for the purpose of helping victims of natural disasters not caused by or attributed to war.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

To provide for disaster-related needs that have not been, or will not be met by government agencies or any other organizations which have programs to address such needs; however, the fund is not intended to replace or supersede these programs. The fund may not be used in a way that is inconsistent with other federally mandated disaster assistance or insurance programs. Money from the fund will not duplicate assistance for which a person is eligible from other sources.

**Applicant Eligibility:**

Individuals, families, and groups in need of (1) Disaster-related home repair and rebuilding; (2) disaster-related unmet needs; and (3) other services which alleviate human suffering and promote the well being of disaster victims.

**Beneficiary Eligibility:**

Individuals, families, and groups in need.

**Credentials/Documentation:**

Recommendation from Regional Director or his/her designee.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Disaster victims do not apply for assistance from the fund, instead, they are identified and recommended by the Regional Director or his/her representatives, with assistance from other governmental agencies and voluntary disaster agencies.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Direct Payments) FY 07 \$0; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.181; DOM Chapter 17; Cora Brown Fund Program.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 97.032 CRISIS COUNSELING

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 416, Public Law 93-288, as amended; 42 U.S.C. 5182, Crisis Counseling Assistance and Training Act, Public Law 100-707.

**OBJECTIVES:**

To provide immediate crisis counseling services, when required, to victims of a major Federally-declared disaster for the purpose of addressing mental health problems caused or aggravated by a major disaster or its aftermath. Assistance is short-term in nature and provided at no cost to the disaster victims.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The Crisis Counseling Assistance and Training Program (CCP) is designed to provide supplemental funding to States for technical assistance and training, as well as, short-term crisis counseling services to people affected by the disaster.

CCP services involve the counseling goals of assisting disaster survivors in understanding their current situations and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or development of coping strategies, providing emotional support and encouraging linkages with other individuals and agencies who may help survivors recover to their pre-disaster level of functioning. The Program is divided into an Immediate Services Program and a Regular Services Program. The Immediate Services Program enables the State or local agency to respond to the immediate crisis counseling needs of people affected by the disaster. The Regular Services Program grant provides up to 9 months of crisis counseling, outreach, consultation and education services to people affected by a disaster. Funding for this program is separate from the Immediate Services Program.

**Applicant Eligibility:**

States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Director to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization.

**Beneficiary Eligibility:**

In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Nonprofit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21.

**Preapplication Coordination:**

Consultation and assistance are available from FEMA and the Department of Health and Human Service's Substance Abuse and Mental Health Services Administration (SAMHSA). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Immediate Services Crisis Counseling Program - Applications are reviewed by FEMA program staff in consultation with SAMHSA. Grant award is provided by FEMA to the State Emergency Management Agency. Regular Services Crisis Counseling Program Applications are reviewed by FEMA with formal recommendation from SAMHSA. Grant funds are provided by FEMA to SAMHSA for award to the State's mental health agency.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Immediate Services Crisis Counseling Program - The State may appeal the Regional Director's decision in writing within 60 days of the date of notification of the application decision. The State may further appeal the Regional Director's decision to the Assistant Associate Director within 60 days of the date of the Regional Director's notification of the application decision. Regular Services Crisis Counseling Program - The State may appeal FEMA's decision in writing within 60 days of the date of notification of the decision.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular

A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Grants) FY 07 3,903,177; FY 08 est 3,014,521 ; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

During fiscal year 2007, this program responded to 13 major disaster declarations in 11 States or Territories.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 206.171, Crisis Counseling Assistance and Training; and RR-9, State Handbook Crisis Counseling Assistance and Training.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

93.982, Mental Health Disaster Assistance and Emergency Mental Health.

**EXAMPLES OF FUNDED PROJECTS:**

Immediate Crisis Counseling Services for victims of floods, earthquakes, hurricanes, tornadoes, and other Federally declared major disasters as defined by the Stafford Act.

**CRITERIA FOR SELECTING PROPOSALS:**

Presidential declaration of a major Federal disaster. The State must justify that the needs are disaster related and beyond State and local resources.

**97.033 DISASTER LEGAL SERVICES**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 415, Public Law 93-288, as amended, 42 U.S.C. 5182.

**OBJECTIVES:**

To provide legal assistance to individuals affected by a major Federal disaster.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Free legal services, including legal advice, counseling, and representation in non-fee-generating cases are provided, except as provided in paragraph (b) in Part 206.164. Fee-generating cases (i.e., part of a settlement awarded by the court) shall not be accepted by lawyers operating under these regulations, and will be referred by the Regional Director through existing lawyer referral services.

**Applicant Eligibility:**

Low-income individuals, families, and groups.

**Beneficiary Eligibility:**

When the President declares a major disaster in which individual assistance programs are triggered, legal services and advice are made available to victims who are unable to secure such services as a result of the disaster.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

None.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Salaries and Expenses); FY 07 \$41,242; FY 08 \$48,553 and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.164; DOM Chapter 11; and Disaster Legal Services Handbook.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.034 DISASTER UNEMPLOYMENT ASSISTANCE**

(DUA)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 410, Public Law 93-288, as amended, Public Law 100-707, 42 U.S.C. 5178.

**OBJECTIVES:**

To provide special federally funded weekly benefits to workers and self-employed individuals who are unemployed as a direct result of a Presidentially-declared major disaster, and who are not eligible for regular Unemployment Insurance benefits paid by States.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Payment of DUA weekly benefits and reemployment assistance services to individuals unemployed as a direct result of a Presidentially-declared major disaster. Funds are used for benefit payments to individuals, project administrative costs to States, oversight payments to Department of Labor (DOL), and technical assistance. DUA weekly benefits and reemployment assistance require proof of employment eligibility, proof of employment or self-employment to assist in determining a Weekly Benefit Amount (WBA), and aliens must prove they are "qualified aliens" (as determined by the Immigration and Naturalization Service) in order to be eligible to receive a federal public benefit.

**Applicant Eligibility:**

Disaster victims who have experienced direct loss of employment as a result of a Presidentially-declared major disaster designated for DUA.

**Beneficiary Eligibility:**

Eligible disaster victims in designated major disaster areas.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations 44 CFR Part 206.141 and the DOL Regulations at 20 CFR Part 625.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the appropriate FEMA Regional Director having jurisdiction over the State. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information



on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Upon declaration of a major disaster declaration designated for DUA, applicants may make application with their local State Workforce Agency (SWA).

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund and FEMA transfers funding to DOL for use in designated major disaster areas declared for DUA.

**Deadlines:**

Generally, applications for DUA must be filed within 30 days after the date of the SWA announcement regarding availability of DUA. When applicants have good cause, they may file claims after the 30-day deadline. However, no initial application will be considered if filed after the 26th week following the declaration date.

**Range of Approval/Disapproval Time:**

Normally, within 1 to 2 weeks.

**Appeals:**

Appeals must be filed in accordance with DOL Regulation 20 CFR Part 625.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

DUA may be paid from the period beginning with the first week (as defined in State law) following the date the major disaster began, and extending up through, but no longer than, the 26th week following the Presidential major disaster declaration date.

**Reports:**

Progress status reports are required.

**Audits:**

Internal program audits are conducted.

**Records:**

Record retention in accordance with DOL Regulation 20 CFR Part 625.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments/Services) FY 07 \$8,398,718; FY 08 est \$12,619,457; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Regulations at 44 CFR 206.8, 44 CFR 206.141, and DOL Regulations at 20 CFR Part 625.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), c/o 245 Murray Lane Building #410, Washington, DC 20523. Telephone: (800) 621-FEMA (3363).

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.036 DISASTER GRANTS - PUBLIC ASSISTANCE (PRESIDENTIALLY DECLARED DISASTERS)**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5206.

**OBJECTIVES:**

To assist State and local governments in recovering from the devastating effects of disasters by providing assistance for debris removal, emergency protective measures and the repair, restoration, reconstruction or replacement of public facilities or infrastructure damaged or destroyed.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, or wildfire. Program activates only after issuance of a presidential declaration. Public Assistance is awarded in the form

of cost-shared grants to States, local governments, other political subdivisions such as special districts, federally recognized Indian tribal governments and Alaska Native villages or organizations, and certain eligible Private Non-Profit organizations. A State is defined as any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Mariana Islands, the Marshall Islands and Micronesia. Following a Presidential declaration, grants may be made for: removal of wreckage and debris from private and public lands; performance of emergency protective measures; emergency transportation assistance; emergency communications; and permanent restoration of eligible facilities.

**Applicant Eligibility:**

State and local governments, other political subdivisions such as a special districts, federally recognized Indian tribal governments, Alaska Native villages or organizations, but not Alaska Native Corporations, and certain Private Non-Profit organizations in designated emergency or major disaster areas.

**Beneficiary Eligibility:**

Eligible work must be required as a result of the disasters; be located in a designated emergency or major disaster area; and be the legal responsibility of the applicant.

**Credentials/Documentation:**

Cost will be determined in accordance with FEMA Disaster Assistance Regulations, 44 CFR Part 206 and Part 13, and the FEMA Schedule of Equipment Rates. Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for States, local governments and Indian Tribes. Awards made to Institutions of Higher Education, Hospitals and other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.36, except as provided in Part 206.35(d) for emergency declarations involving primarily Federal responsibility. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

A Presidential Disaster or Emergency Declaration must be issued, which is then followed by an application for Public Assistance through the Governor's Authorized Representative to the Regional Director of FEMA.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. The FEMA Regional Director approves grants from this allocation on the basis of project applications for eligible applicants. States are responsible for distributing funds to applicants. As a condition of receiving assistance under the Stafford Act, applicants are encouraged to take mitigation measures to reduce future losses from natural hazards.

**Deadlines:**

A Request for Assistance must be submitted by the applicant at the Applicants' Briefing or within 30 days of designation of an emergency declaration or major disaster declaration for the Public Assistance Program.

**Range of Approval/Disapproval Time:**

From 1 day to 6 weeks.

**Appeals:**

Any determination made under the Public Assistance Program may be appealed. All appeals must be made through the State and the appropriate FEMA Regional Office listed in Appendix IV of the Catalog. The appeal deadlines are: 60 days from receipt of notification of the action being appealed.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal share of the grant is not less than 75 percent with the State and local governments responsible for the remainder.

**Length and Time Phasing of Assistance:**

The length of the assistance period varies depending on the type of work or service. Reimbursement for small projects under \$60,900 is made based on the Federal estimate of costs. For projects over the \$60,900, reimbursement of actual eligible costs is made as the costs are incurred. The \$60,900 limit is adjusted annually to reflect the Consumer Price Index. When purchase of insurance is required, the applicant is obliged to maintain the policy for the economic and useful life of the repairs or of the insured property, whichever is the lesser. Also, applicants must comply with Floodplain Management, Hazard Mitigation, Environmental, and Historic Preservation considerations.

**Reports:**

Progress status reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities

that expend financial assistance of \$500,000 or more in Federal awards will have an audit made for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records and related documents must be retained for 3 years from the date the applicant's project application is closed.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Grants) FY 07 4,959,113,722; FY 08 est \$3,124,128,957; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2007, 63 disasters and 13 emergencies were declared.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 205 for disasters and emergencies declared prior to November 23, 1988; Federal Disaster Assistance Regulations, 44 CFR Part 206 for disasters declared on or after November 23, 1988; "Public Assistance Guide," FEMA 322 (formerly FEMA 286); "Public Assistance Policy Digest," FEMA 321; "Public Assistance Applicant Handbook," FEMA 323. See Public Assistance web page at <http://www.fema.gov/government/grant/pa/index.shtm>.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.034, Disaster Unemployment Assistance; 83.535, Mitigation Assistance; 83.505, State Disaster Preparedness Grants; 10.054, Emergency Conservation Program; 12.102, Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.103, Emergency Operations Flood Response and Post Flood Response.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 97.039 HAZARD MITIGATION GRANT

(HMGP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 404, 42 U.S.C. 5170c.

**OBJECTIVES:**

To provide States and local governments financial assistance to implement measures that will permanently reduce or eliminate future damages and losses from natural hazards through safer building practices and improving existing structures and supporting infrastructure.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance can be used for the acquisition of real property, relocation, demolition of structures, seismic rehabilitation or retrofitting of existing structures; strengthening of existing structures, initial implementation of vegetation management programs, initial training of architects, engineers, building officials, and other professionals to facilitate the implementation of newly adopted State or local mitigation standards and codes; elevation of residential structures; elevation or dry flood-proofing of non-residential structures in accordance with 44 CFR 60.3, and other activities that bring a structure into compliance with the floodplain management requirements at 44 CFR 60.3, et al.

**Applicant Eligibility:**

State agencies, local governments, public entities, private nonprofit organizations as defined in 44 CFR Section 206.433, Native American Tribes or authorized tribal organizations, and Alaskan Native villages or organizations, but not Alaskan native corporations with ownership vested in private individuals. States may elect to become Managing States. Managing States are delegated more authority in managing the HMGP. In order to be selected as a Managing State, the State must demonstrate the ability to manage the grant program, must have in effect an approved Enhanced mitigation plan and have a demonstrated commitment to mitigation activities.

**Beneficiary Eligibility:**

States and communities.

**Credentials/Documentation:**

Administrative and State, Tribal and Local Multihazard Mitigation Plans (Standard or Enhanced) must be Approved and reviewed by FEMA before funding can be awarded under the Hazard Mitigation Grant Program.

**Preapplication Coordination:**

Rather than require applicants to submit a separate preapplication in order for FEMA and the State to identify the need for assistance, FEMA will employ the administrative and Mitigation plans in this manner. When States submit plans for review and indicate their intention to apply for assistance to implement one or more projects described in it, FEMA will use the plan to identify a need for funding assistance, and to discourage applications that are unlikely to be funded. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

An eligible applicant, subgrantee, or State may appeal any determination previously made related to an application for or the provision of Federal assistance according to procedures set forth in Section 206.440.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

FEMA can fund up to 75 percent of the eligible costs of each project. The State or project applicant must provide a 25 percent match. The 25 percent nonfederal share can be a combination of cash, in-kind services, or materials. The amount of funding for the Program is based on 15 percent of all other disaster grants. States that meet planning requirements to be published as a result of the Disaster Mitigation Act of 2000, may receive an increased percentage (20 percent of all other disaster grants) of HMGP funds if, at the time of the declaration of a major disaster they have in effect an approved Enhanced State Mitigation Plan.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award. FEMA is required to track the use of real property acquired with grant funds in order to ensure that the property is maintained for open space in perpetuity. Sub-grantees and State will need to retain real estate transaction and property tracking records indefinitely.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In prior fiscal years the program has funded over \$1.1 billion in mitigation projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Subpart N Hazard Mitigation Grant Program Sections 206.430-206.440; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended; Hazard Mitigation Grant Program Desk Reference FEMA 345 October 1999, Hazard Mitigation Grant Program, L-169, February 1996. Property acquisition handbook, FEMA-317.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.029, Flood Mitigation Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Acquisition and relocation of structures from hazard-prone areas; (2) strengthening structures against flood, high winds, wildfire, or other hazards to protect structures from future damages; (3) elevating structures; (4) developing State or local standards to protect new and substantially improved structures from disaster damage; (5) Drainage improvement projects; and (6) vegetation management projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.040 CHEMICAL STOCKPILE EMERGENCY PREPAREDNESS PROGRAM

(CSEPP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Department of Defense Authorization Act of 1986, Title 14, Part B, Section 1412, Public Law 99-145, 50 U.S.C. 1521.

**OBJECTIVES:**

To enhance emergency preparedness capabilities of the States, local, and tribal communities at each of the eight chemical agent stockpile storage facilities. The purpose of the program is to assist States and local communities in efforts to improve their capacity to plan for and respond to accidents associated with the storage and ultimate disposal of chemical warfare materials.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

In keeping with the intent of the Congressional appropriations, CSEPP funds are to be utilized for effective emergency management capabilities in the 10 affected States, local, and tribal communities surrounding the eight Army stockpile locations. CSEPP funds may not be used as a substitute for other mandated, unfunded programs required for existing needs or by other laws. CSEPP funds may not be used to supplant other forms of emergency management funding. CSEPP funds may not be commingled with other, non-CSEPP funds.

**Applicant Eligibility:**

Applications are accepted from the States of Alabama, Arkansas, Colorado, Illinois, Indiana, Kentucky, Oregon, Utah, Washington, and the Confederated Tribes of the Umatilla Indian Reservation. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under their State's application.

**Beneficiary Eligibility:**

State, local and tribal governments, and general public.

**Credentials/Documentation:**

The budget worksheets used for CSEPP must be included in the official application package. These worksheets will be used for budget analysis by FEMA.

**Preapplication Coordination:**

A preapplication meeting between the FEMA Regional Offices and their respective States usually occurs to discuss the application and draft work plan. Technical assistance is available for application preparation from the FEMA Regional Office. This program is not subject to the provisions of E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals may be submitted in writing by the authorized State official to the FEMA Regional Director.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Grants) FY 07 \$54,886,788; FY 08 est \$88,155,897; FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In preceding fiscal years initiatives or projects such as: installation of operational siren systems, completion of demographic surveys of immediate response zones, improving emergency operating centers, procurement of dedicated radio and telephone systems, development of training courses which resulted in training of over 15,000 people, development of residential and business shelter-in-place guides, construction of over 30 collective protection projects, as well as conducting enhanced exercises and expanded public education/public affairs outreach programs, have occurred.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 13 and 14; Chemical Stockpile Emergency Preparedness Program Planning Guidance and CSEPP Policy Papers. All available, relevant guidance is routinely provided to all eligible State participants. State and local organizations desiring information about this program should contact their State Emergency Management Agencies or Departments.

**Regional or Local Office:**

See Appendix IV of the Catalog for FEMA Regional Offices. State and local government officials and the public are encouraged to contact their State and Local Emergency Management Agencies or Departments.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, Bldg. #410., Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.020, Hazardous Materials Training Program; 83.534, Emergency Management State and Local Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.041 NATIONAL DAM SAFETY PROGRAM

(Dam Safety State Assistance Program)



**FEDERAL AGENCY:**  
DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Water Resources Development Act of 1996, Section 215, Public Law 104-303.  
Dam Safety Act of 2006 (Public Law 109-460 December 2006).

**OBJECTIVES:**

To encourage the establishment and maintenance of effective State programs intended to ensure dam safety, to protect human life and property, and to improve State dam safety programs.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

A primary goal of Public Law 104-303 is to encourage the establishment and maintenance of effective State dam safety programs and to provide financial assistance incentives to States that are moving toward improved safety of nonfederal dams in their States. Public Law 104-303 provides for the two-tiered assistance program described below. Primary Assistance: For a State to be eligible for primary assistance under the National Dam Safety Program, the State's dam safety program must be working toward State dam safety program that is authorized by State legislation to include substantially at a minimum the following criteria and budgeting requirements: 1) The authority to approve plans and specifications to construct, enlarge, modify, remove, and abandon dams; (2) the authority to perform periodic inspections during dam construction to ensure compliance with approved plans and specifications; 3) a requirement on completion of dam construction, State approval be given before operation of the dam; 4) the authority to require or perform the inspection at least once every 5 years of all dams and reservoirs that would pose a significant threat to human life and property in case of failure to the dams and reservoirs to determine the continued safety of and a procedure for more detailed and frequent safety inspections; and 5) a requirement that all inspections be performed under the supervision of a State-registered professional engineer with related experience in dam design and construction; 6) the authority to issue notices, when appropriate, to require owners of dams to perform necessary maintenance or remedial work, revise operating procedures, or take other actions, including breaching dams when necessary; 7) regulations for carrying out the legislation of the State described in this paragraph; 8) the provision for necessary funds to ensure timely repairs or other changes to or removal of a dam to protect human life and property, if the owner of the dam does not take the action described above, to take appropriate action as expeditiously as possible; 9) A system of emergency procedures to be used if a dam fails or if the failure of a dam is imminent; and 10) an identification of each dam the failure of which could be reasonably expected to endanger human life, the maximum area that could be flooded if the dam failed, and necessary public facilities that would be affected by the flooding. For a State to qualify for primary assistance, State appropriations must be budgeted to carry out the legislation of the State as described in this paragraph. Advanced Assistance: For a State to qualify for advanced assistance under Public Law 104-303, the State dam safety program must meet the criteria and budgeting requirements listed above for primary assistance. Also, the State must be working toward advanced requirements and standards established by the National Dam Safety Review Board (Board) and the Director of the Federal Emergency Management Agency (FEMA), with the assistance of established criteria such as the Model State Dam Safety Program, FEMA 316, April 1987, as amended. More advanced requirements and standards include but are not necessarily limited to the following: Legislation; Regulations; Permitting/Approval of Plans; Inspections; Enforcement Capabilities; Emergency Response; Program Staffing and Funding; Education and Training; and Public Relations Plans.

**Applicant Eligibility:**

All States are eligible for the National Dam Safety Program Assistance for State Dam Safety Programs including the territory of Puerto Rico.

**Beneficiary Eligibility:**

The State Dam Safety Program Office of eligible States.

**Credentials/Documentation:**

A State application is required. The application form is provided by FEMA's National Dam Safety Program Office and the State dam safety office must complete the application, sign it, and return all appropriate documentation.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

FEMA makes the award to the State Dam Safety Program Office. Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Each subsequent fiscal year a State dam safety office must apply for financial assistance incentives. The amount of funding is contingent upon acceptability of the work plan in the application and the amounts made available for primary assistance to be allocated to the States using the one-third/two-third formula in Public Law 104-303, Section 215.

**Formula and Matching Requirements:**

For fiscal year 2007, the amount authorized to be appropriated for financial assistance for State dam safety programs is \$4,000,000. Amounts made available to be allocated to the States will be as follows: (1) One-third among States that qualify for assistance under Section 8(f) of Public Law 104-303; and (2) Two-thirds among States that qualify for assistance under Section 8(f) of Public Law 109-460 to each State in proportion to: (a) the number of dams in the State that are listed as State regulated dams in the National Inventory of Dams as compared to: (b) the number of dams in all States that are listed as State regulated dams on the Inventory of Dams. The maximum amount of allocation to a State may not exceed 50 percent of the reasonable cost of implementing the State dam safety program. The Director and the Board shall determine the amount allocated to States needing assistance. There are no matching requirements for this program. (3) Federal assistance for a fiscal year is conditional upon the State maintaining aggregated expenditures of the State from all sources for programs to ensure dam safety for the protection of human life and property at or above a level at or above the average annual level of expenditures for the two preceding fiscal years.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Generally, final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Grants) FY 07 \$3,212,000; FY 08 est \$3,212,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Performance Office of Partnership Agreement and Cooperative Agreement guidance, Office of Financial Management Modular Instruction, FEMA's National Dam Safety Program Implementation Plan (September 97).

**Regional or Local Office:**

See Appendix IV of the Catalog for list of addresses of Federal Emergency Management Agency Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), c/o 245 Murray Lane Building #410, Washington, DC 20523.  
Telephone: (800) 621-FEMA (3363).

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.023, Community Assistance Program State Support Services Element (CAP-SSSE).

**EXAMPLES OF FUNDED PROJECTS:**

None.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

### **97.042 EMERGENCY MANAGEMENT PERFORMANCE GRANTS**

(EMPG)

#### **FEDERAL AGENCY:**

FEDERAL AGENCY: DEPARTMENT OF HOMELAND SECURITY

#### **AUTHORIZATION:**

U.S. Troop Readiness, Veteran's Care Katrina Recovery and Iraq Accountability Appropriation Act, 2007 (P.L. 110-28) and appropriated by the Fiscal Year 2008 (FY 2008) Department of Homeland Security Appropriations Act (P.L. 110-161).

#### **OBJECTIVES:**

To provide resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities. All hazards approach to emergency response, including the development of a comprehensive program, planning, training, exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. State have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern as identified in the National Priorities of National Preparedness Guidelines.

#### **TYPES OF ASSISTANCE:**

Formula Grants.

#### **USES AND USE RESTRICTIONS:**

Each state shall obligate 100% of the total grant program amount to the designated state-level EMA. For more detailed guidance on the EMPG grant program please refer to the current Fiscal Year solicitation guidance.

#### **Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State Administration Agency (SAA) is the only agency eligible to apply for EMPG funds. Additionally, the Federated States of Micronesia and the Republic of the Marshall Islands are eligible to receive EMPG funding.

#### **Beneficiary Eligibility:**

Funding under this program is ultimately used by emergency management organizations and programs of States, the District of Columbia, territories and possessions of the United States, local, and Indian Tribal governments.

#### **Credentials/Documentation:**

Grantees must maintain and expand any necessary capabilities to sustain an effective emergency management program. These capabilities must be able to address all-hazards emergencies. To help assess these capabilities, all EMPG award recipients submit a narrative as a part of the application. Additionally, all EMPG award recipients are required to submit a budget and budget narrative.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Technical assistance is available for application preparation from the FEMA Regional Offices.

#### **Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

#### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to award being issued.

#### **Deadlines:**

Refer to announcement or application guidance for further information.

#### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

#### **Appeals:**

None.

#### **Renewals:**

A new application is required for each Federal fiscal year.

#### **Formula and Matching Requirements:**

Pursuant to the Compact of Free Association, \$50,000 each may be available for the Federated States of Micronesia and the Republic of the Marshall Islands.

The EMPG program has a 50% federal and 50% state cost-share cash or in-kind match requirement.

#### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Act for payment and/or reimbursement of expenditures.

#### **Reports:**

Categorical Assistance Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30 and Oct. 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of grant award.

#### **Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within fiscal year) will have a single or a program-specific audit conducted for that year.

Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

#### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

#### **Account Identification:**

70-0519-0-1-999.

#### **Obligations:**

FY 07 \$244,000,000 (includes \$194 million for FY-2007, as well as \$50 million in FY 2007 Supplemental funds; FY 08 est \$291,450,000; and FY 09 est \$200,000,000.

#### **Range and Average of Financial Assistance:**

Refer to program guidance.

#### **PROGRAM ACCOMPLISHMENTS:**

All States and eligible Territories have received EMPGs in fiscal year 2002.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For more requirements and guidance, please refer to the current year EMPG program.

#### **Regional or Local Office:**

The G&T Centralized Scheduling and Information Desk (CSID); Telephone: 1 (800)368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m.7:00 p.m. (EST), Monday - Friday.

#### **Headquarters Office:**

Department of Homeland Security 245 Murray Lane, Bldg. #410, Washington, DC 20528.

#### **Web Site Address:**

<http://www.fema.gov>.

#### **RELATED PROGRAMS:**

97.008, Urban Areas Security Initiative; 97.053, Citizen Corps; 97.071, Metropolitan Medical Response System; 97.073, State Homeland Security Program (SHSP); 97.074, Law Enforcement Terrorism Prevention Program (LETPP); 97.067 Homeland Security Grant Program.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

### **97.043 STATE FIRE TRAINING SYSTEMS GRANTS**

(National Fire Academy Training Grants)

#### **FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

#### **AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 (a and b).

#### **OBJECTIVES:**

To provide financial assistance to State Fire Training Systems for the delivery of a variety of National Fire Academy (NFA) courses/programs, administrative costs, and electronic student feedback.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grant funds are to be used within each State to deliver NFA training courses/programs and for marketing, administrative costs and electronic

feedback of student data. Each State shall spend at least \$28,000 (\$25,000 in FY 02) in costs relating directly to the delivery of course materials. Computer purchases are restricted.

**Applicant Eligibility:**

Representatives from the 50 State Fire Training Systems.

**Beneficiary Eligibility:**

Specialized Group; fire and emergency response personnel.

**Credentials/Documentation:**

All beneficiaries will be required to submit a 75-5 Application Form for all 6-day and 10-day courses, and a 75-5A Application Form for all 2-day courses.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular A-102.

**Application Procedure:**

Application packages will be sent to each of the 50 State Fire Training Systems. Grantees must submit workplans at the time of application. Workplans are assessed based on eligible categories of NFA courses and must include estimated number of students to be trained and proposed dates of training.

**Award Procedure:**

One grant will be issued to each of the 50 State Fire Training Systems after the program office approves each State's work plan.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

Recipient organizations must provide to the NFA, quarterly project reports on all activities associated with this grant. Reports must be submitted as described in the grant articles.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Grants) FY 07 \$1,175,940; FY 08 est \$1,200,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fifty individual grants were issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

FEMA regional offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency, 245 Murray Lane Bldg. #410, Washington, DC 20523.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.044 ASSISTANCE TO FIREFIGHTERS GRANT

(Fire Grants)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq.

**OBJECTIVES:**

To provide financial assistance directly to fire departments and nonaffiliated EMS organizations to enhance their capabilities with respect to fire and fire-related hazards. To help fire departments and nonaffiliated EMS organizations meet their firefighting and emergency response needs. To support organizations that lack the tools and resources necessary to more effectively protect the health and safety of the public and their emergency response personnel with respect to fire and all other hazards.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Firefighting Operations and Firefighter Safety, Eligible Uses: Training, Wellness and Fitness, Firefighting Equipment, Personal Protective Equipment, Modifications to Firefighting Facilities for Firefighter Safety, Other Equipment and Supplies; Restrictions: One-year Funds, Funding Restrictions and/or Limits on Certain Equipment, Personnel, Construction, Vehicles. Protecting the Public from Fire and Fire Related Hazards, Eligible Uses: Public Awareness, Public Education, Inspector Certifications, Building Code Development and Enforcement, Arson Prevention and Detection, Emergency Medical Services, Emergency Medical Vehicles, Training, Equipment/Props/Supplies, Transportation, Contracts/Consultants, Program Personnel; Restrictions: One-year Funds, Funding Limits on Certain Equipment, Construction. Firefighting Vehicles, Eligible Uses: Pumpers/Engines, Tankers/Tenders, Brush Trucks/Attack Pumpers, Rescue, Quints, Aerial Apparatus, Hazardous Material, Ambulance/Transport, Communications/Command, Foam Units, Boats, Equipment for the Vehicle; Restrictions: Aircraft, Hazardous Material, Construction, Personnel, 1-year Funding, Funding Limits on Certain Equipment.

**Applicant Eligibility:**

Eligible applicants for AFG are limited to fire departments and nonaffiliated EMS organizations. Fire departments or nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico are eligible for funding. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this program are the local or tribal communities served by the fire department including, but not limited to, local businesses, homeowners and property owners. Additionally, children under 16 years-of-age, seniors, and firefighters would be the beneficiaries since these groups are the targeted "risk groups" for the fire prevention program.

**Credentials/Documentation:**

Each applicant must certify: 1) that they are an eligible applicant, i.e., a fire department, as defined above; 2) as to the characteristics of their community, i.e., Urban, Suburban, or Rural; 3) to the population size of the community served; and, 4) to the type of department, i.e., volunteer/combination or career.

**Preapplication Coordination:**

There is no preapplication form required under this grant program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Applicants that were denied grants can request a reconsideration of the decision. Such a request may be successful if it is determined that the rating criteria were not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing



of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

Grant period is 12 months for this program. In the event that the grantees are unable to fulfill their grant obligations within the 12-month grant period, they may request an extension of the performance period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

This program has no statutory formula. Applicants who protect a population of over 50,000 are required to provide a nonfederal cost-share of not less than 20 percent of the total award. Applicants who protect a population between 20,000 and 50,000 are required to provide a nonfederal cost-share of not less than 10 percent of the total award. Applicants who protect a population of less than 20,000 are required to provide a nonfederal cost-share of not less than 5 percent of the total award. This program also has a Maintenance of Effort requirement intended to ensure that the Federal funds are used to supplement, not supplant, existing resources.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit semi-annual financial and performance reports. The "Progress Reports" must include a narrative statement that details the progress of each award. Reports are due 30 days after the end of the sixth month of the performance period. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Grants) FY 07 \$547,000,000; FY 08 \$560,000,000; and FY 09 est. \$300,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Since 2001, the grant program has awarded over 43,000 grants totaling over \$3.8 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance, the FAQs, an applicant tutorial, and other program information can be found on the program's website at [www.firegrantsupport.com](http://www.firegrantsupport.com).

**Regional or Local Office:**

The Assistance to Firefighters Grants are administered from the FEMA Headquarters Office. FEMA also has 10 regional offices which house Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

Department of Homeland Security, Preparedness Directorate 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

15.031, Indian Community Fire Protection; 15.228, National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018, National Fire Academy Training Assistance; 83.542, Fire Suppression Assistance; 97.038, First Responder Counter-Terrorism Training Assistance; 97.043, State Fire Training Systems Grants.

**EXAMPLES OF FUNDED PROJECTS:**

Training: A fire department where a high percentage of firefighting staff needs basic firefighting training. Wellness and Fitness: A fire department that wants to establish a wellness and fitness program that offers an entry-level physical and

job-related immunization program. Firefighting Vehicle: A fire department that has few or no vehicles of the type for which they are applying and whose existing fleet is old with high mileage and/or high volume of calls. Firefighting Equipment: A fire department that needs basic firefighting equipment to satisfy a statutory requirement but has never been able to purchase such equipment. Personal Protective Equipment: A fire department where a high percentage of firefighting staff has never had personal protective equipment and wants to purchase enough equipment to protect all of the firefighting staff. Fire Prevention Programs: A fire department that wants to establish a public education program that focuses on children under 16 years of age, seniors, and/or firefighters, in a community that has no such program.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.045 COOPERATING TECHNICAL PARTNERS**

(CTP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4101; Housing and Urban Development Act of 1969; Flood Disaster Protection Act of 1973, as amended; National Flood Insurance Reform Act of 1994.

**OBJECTIVES:**

To increase local involvement in, and ownership of, the development and maintenance of flood hazard maps produced for the National Flood Insurance Program (NFIP).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds are authorized to supplement, not supplant, ongoing flood hazard mapping efforts by the community, regional agency, or State agency.

**Applicant Eligibility:**

All States and Commonwealths (including the District of Columbia and territories and possessions of the United States), regional agencies, and communities may apply. Applicants must be communities participating and in good standing in the NFIP or service participating NFIP communities.

**Beneficiary Eligibility:**

State, local, specialized group, small business, general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no matching requirements; however, applicants must be technically capable of providing products or services that add value to the flood hazard mapping process.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular

A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5464-0-2-453.

**Obligations:**

(Cooperative Agreements) FY 07 \$54,000,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

To date, approximately, 231 communities, regional agencies, and State agencies had signed Partnership Agreements with FEMA and are, therefore, active participants in the CTP program. Approximately 63 percent of these participants have undertaken specific mapping activities under Mapping Activity Statements. Current information on specific mapping activities undertaken by participants is available at [http://www.fema.gov/plan/prevent/fhm/ctp\\_main.shtm](http://www.fema.gov/plan/prevent/fhm/ctp_main.shtm).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual program guidance is available to all CTP initiative participants and the general public on the FEMA website at [www.fema.gov/plan/prevent/fhm/ctp\\_main.shtm](http://www.fema.gov/plan/prevent/fhm/ctp_main.shtm).

**Regional or Local Office:**

FEMA Regional Offices will manage all program activities under the CTP initiative. See Appendix IV of the Catalog for a listing of FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.022, Flood Insurance; 97.070, Map Modernization Management Support.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of funded projects include: (1) Refinement of Approximate Zone A Boundaries; (2) Hydrologic and Hydraulic Modeling and Floodplain Mapping; (3) Digital Flood Insurance Rate Map Preparation; (4) Redelineation of Detailed Flood Hazard Information Using Updated Topographic Data.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.046 FIRE MANAGEMENT ASSISTANCE GRANT

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Act, Section 420 of Public Law 93-288, as amended, 42 U.S.C.5187 as amended by the disaster Mitigation Act of 2000. On October 30, 2001, the Fire Management Assistance Grant Program replaced the Fire Suppression Assistance Program.

**OBJECTIVES:**

To provide grants to States, Indian tribal governments and local governments for the mitigation, management and control of any fire burning on publicly (nonfederal) or privately owned forest or grassland that threatens such destruction as would constitute a major disaster.

**TYPES OF ASSISTANCE:**

Project Grants; Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

Fire Management Assistance Grants are made in the form of cost-sharing grants for the mitigation, management, and control of any fire on publicly (nonfederal) or privately owned forestland or grassland that threatens such destruction as would constitute a major disaster. The Fire Management Assistance Grant Program, authorized by the Stafford Act and amended by the Disaster Mitigation Act of 2000, provides for the mitigation, management and control of fires that threaten such destruction as would constitute a major disaster.

**Applicant Eligibility:**

State governments and Indian tribal governments are eligible for fire management assistance grants. The State or Indian tribal government may be the Grantee. The Grantee is the government to which a grant is awarded, and is accountable for the use of funds provided.

**Beneficiary Eligibility:**

The State Government and/or Indian tribal government, acting as the Grantee, is

the government to which the grant is awarded and which is accountable for the use of the funds provided. Other State entities, Indian tribal governments and local governments are eligible to apply for subgrants.

**Credentials/Documentation:**

Costs will be determined in accordance with FEMA Regulations, 44 CFR Part 204. Federal funds will be awarded to subgrantees in accordance with State law and procedure and in compliance with 44 CFR Part 13 and 204. Grant awards will be determined in accordance with OMB Circulars No. A-87 and No. A-102 for State and local governments.

**Preapplication Coordination:**

A FEMA-State Agreement and/or Indian tribal Agreement for the Fire Management Assistance Grant Program (the agreement) is signed by the Governor/Indian tribal government and the Regional Administrator at the beginning of the calendar year or after a State's first fire management assistance grant declaration in a calendar year. The agreement is amended for subsequent approvals of assistance for the remainder of the year. This agreement outlines the level of fire management assistance to be provided for all fires declared during the calendar year, and contains the necessary terms and conditions for requesting and receiving assistance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The Governor, Governor's Authorized Representative, or Indian tribal government may request a fire management assistance declaration through the FEMA Regional Administrator. To expedite the request, the State or Indian tribal government may submit a telephone request to the Regional Administrator, promptly followed by a confirming message or letter. The Assistant Administrator of the Disaster Assistance Directorate, shall render a decision on the State's request and notify the Regional Administrator of this decision. This decision may be relayed by telephone, to be followed by a written determination.

**Award Procedure:**

None.

**Deadlines:**

Requests for fire management assistance declarations must be submitted while a fire is burning uncontrolled and threatens such destruction as would constitute a major disaster.

**Range of Approval/Disapproval Time:**

From 1 hour to 72 hours.

**Appeals:**

States have the recourse to two types of appeals under the Fire Management Assistance Grant Program. Under the first type of appeal, a Governor, Governor's Authorized Representative, or Indian tribal government may appeal a denial of its request for a fire management assistance declaration. The State/Indian tribal government should submit this one-time request for reconsideration in writing, with additional information, to the Assistant Administrator of the Disaster Assistance Directorate through the Regional Administrator. The appeal must be submitted within 30 days of the date of the letter denying the State's/Indian tribal government's request. The Assistant Administrator will render the final determination on this type of appeal within 90 days of receipt of the appeal or receipt of the additional information requested. The Assistant Administrator may extend the 30-day period provided that the Governor, the Governor's Authorized Representative, or Indian tribal government submits a written request for a time extension within the 30-day period. The Assistant Administrator will evaluate the need for an extension based on the reasons cited in the request and either approve or deny the request for an extension. Under the second type of appeal, an applicant or subgrantee may appeal any determination FEMA makes under an approved fire management assistance declaration through a two level appeal process. Appellants must file appeals within 60 days after receipt of a notice of the action that is being appealed. The Grantee will review and forward appeals from an applicant or subgrantee, with a written recommendation, to the Regional Administrator within 60 days of receipt. The Regional Administrator will render a determination on first appeals for fire management assistance grant-related decisions within 90 days following receipt of the appeal or requested additional information. In the event the Regional Administrator denies the appeal, the applicant may submit a second-level appeal to the Assistant Administrator of the Disaster Assistance Directorate. Within 90 days following receipt of a second appeal, the Assistant Administrator, will notify the grantee in writing of the disposition of the appeal or of the need for additional information. If the decision is to grant the appeal, the Regional Administrator will take appropriate implementing action. The decision of the Assistant Administrator at the second appeal level shall be the final administrative decision of FEMA.

**Renewals:**

None.

**Formula and Matching Requirements:**

Fire Management Assistance Grants may be available to States on a 75 percent Federal/25 percent nonfederal cost-sharing basis when we determine that the State's application demonstrates either of the following: total eligible costs for the declared fire meet or exceed the individual fire cost threshold or total costs of all declared and non-declared fires in a given calendar year meet the cumulative

fire cost threshold. The individual fire cost threshold for a State is the greater of \$100,000 or five percent x \$1.22 x state population. The cumulative fire cost threshold for a State is the greater of \$500,000 or three times the five percent x \$1.22 x State population. Both formulas are adjusted annually for inflation using the Consumer Price Index for All Urban Consumers published annually by the Department of Labor.

**Length and Time Phasing of Assistance:**

The time interval for which a declared fire occurs is the incident period. Generally costs must be incurred during the incident period to be considered eligible. Pre-positioning of resources may be approved for Federal funding up to a maximum of 21 days before a declared fire. Mobilization and demobilization also occur outside the incident period and are eligible for Federal funding. Temporary repair work must be completed within 30 days of the close of the incident period for the declared fire.

**Reports:**

Within 90 days of the Performance Period expiration date, the State must submit a Financial Status Report (FEMA Form 20-10) which reports all costs incurred within the incident period and all administrative costs incurred within the performance period. The performance period, defined on the SF-424, may be 9 months from the close of the incident period and may be extended for an additional 3 months by the Regional Administrator. During the performance period the Grantee will submit the subgrants, which document eligible costs; FEMA will review the eligibility of costs, and process, obligate, and close-out the grant.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Grants and Services) FY 07 \$62,179,997; FY 08 est \$106,474,301; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

In FY 2006, 94 fire management assistance grants were authorized.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance, Fire Management Assistance Grant Program Regulations, 44 CFR Part 204. See the Fire Management Assistance Grant Program page at: <http://www.fema.gov/government/grant/fmagp/index.shtm>.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), c/o 245 Murray Lane - Bldg. #410, Washington, DC 20523. Telephone: (800) 621-FEMA (3363).

**Web Site Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.047 PRE-DISASTER MITIGATION**

(PDM)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 203, 42 U.S.C. 5121-5206, as amended by Section 102 of the Disaster Mitigation Act of 2000.

**OBJECTIVES:**

To provide States and communities with a much needed source of pre-disaster mitigation funding for cost-effective hazard mitigation activities that are part of a comprehensive mitigation program, and that reduce injuries, loss of life, and damage and destruction of property.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

States are encouraged to use grants to implement a sustained pre-disaster hazard mitigation program to reduce risk to the population, the costs and disruption to individuals and businesses caused by severe property damage, and the ever-growing cost to all taxpayers of Federal disaster relief efforts. The program is similar to both the Flood Mitigation Assistance (FMA) Program and the Hazard Mitigation Grant Program (HMGP) in that there is an emphasis on "brick and mortar" mitigation projects and that State and local mitigation plans are required prior to approval of mitigation project grants. Allowable costs will be governed by 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments.

**Applicant Eligibility:**

Any State, including the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, Guam, American Samoa, the Trust Territories of the Pacific Islands, and the Mariana Islands, is eligible as well as Indian tribal governments.

**Beneficiary Eligibility:**

Grantee eligibility. State and Indian tribal governments are eligible to apply for assistance as a grantee under the PDM program. Sub-grantee eligibility. Local governments and Indian tribal governments are eligible to apply to the grantee for assistance as a sub-grantee under the PDM program. In order for floodprone communities to receive funds, applicants must be participating in the National Flood Insurance Program (if they have been mapped through the NFIP) and must be in good standing (not on probation or suspension).

**Credentials/Documentation:**

Grant awards will be determined in accordance with OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments.

**Preapplication Coordination:**

FEMA will allocate the PDM funds annually to each FEMA Region for distribution among the States. FEMA will notify eligible States of the expected funding amounts prior to the beginning of each fiscal year. Local governments should consult the official designated point of contact in their State for more information on the process the State requires to be followed in applying for assistance. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

FEMA will contribute up to 75 percent of the cost of activities approved for funding. At least 25 percent of the total eligible costs will be provided from a nonfederal source. Grants awarded to small and impoverished communities may receive a Federal cost share of up to 90 percent of the total cost to implement eligible PDM activities. FEMA has adopted the Environmental Protection Agency's definition for a Small and Impoverished Community, which must meet all of the following criteria: it must be a community of 3,000 or fewer individuals that is identified by the State as a rural community, and is not a remote area within the corporate boundaries of a larger city; it must be economically disadvantaged, with residents having an average per capita annual income not exceeding 80 percent of national per capita income, based on best available data; it must have a local unemployment rate that exceeds by one percentage point or more, the most recently reported, average yearly national unemployment rate; and it must meet any other factors identified in the State Plan in which the community is located. All contributions, cash and in-kind, are accepted as part of the nonfederal matching share. Except as allowed by Federal statute, no other Federal grant funds can be used as a match. The following documentation is required for matching contributions: record of source of donor,



dates, rates, amounts, and deposit slips (cash contributions only). Requirements for in-kind contributions can be found in OMB Circular A-102, Common Rule, 44 CFR 13.24.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-453.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not available. This CFDA will remain open for audit purposes until final closeout of grants.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be governed by Section 203 of the Stafford Act, the Federal Register Notice of availability of Pre-Disaster Mitigation grants, and program guidance, which will be made available to the public on the FEMA internet site: [www.fema.gov](http://www.fema.gov).

**Regional or Local Office:**

See Appendix IV of the Catalog for the list of addresses of Federal Emergency Management Agency Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, SW., Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.039, Hazard Mitigation Grant; 97.029, Flood Mitigation Assistance; 97.041, National Dam Safety Program; 97.023, Community Assistance Program State Support Services Element (CAP-SSSE).

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.048 DISASTER HOUSING ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS IN PRESIDENTIAL DECLARED DISASTER AREAS**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.

**OBJECTIVES:**

To provide financial assistance and, if necessary, direct assistance to individuals and households affected as a direct result of a presidentially declared major disaster or emergency, who have uninsured or under-insured, necessary expenses and serious needs and are unable to meet such expenses or needs through other means.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. Program activates only after issuance of a presidential declaration. Housing Assistance, either Financial or Direct, may be provided for the following: (1) Temporary Housing, (2) Home Repair, (3) Home Replacement and (4) Permanent Housing Construction. Assistance not used for the specified purpose will be required to be returned. Other Needs Assistance may be provided for: (1) Medical, (2) Dental, (3) Funeral, (4) Personal Property, (5) Transportation, and (6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Individuals and households, in areas declared an emergency or major disaster by the President, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance, are eligible to apply for this program. All needs must be caused by the disaster. The individual or a member of the household must be a citizen of the United States, a non-citizen national, or a qualified alien. Housing Assistance: 1) Temporary Housing Assistance - proof of primary residence; disaster caused displacement, and/or paid receipts for Rent or Lodging Expenses; 2) Repair - primary residence, proof of residency and ownership; disaster related home damage; 3) Replacement - primary residence, proof of residency and ownership; home destroyed by the disaster; 4) Permanent Housing Construction - primary residence, proof of residency and ownership; disaster related home damage, home is located in an insular area outside the continental United States or in other remote locations. Alternative housing resources are unavailable, infeasible, or not cost-effective. Other Needs Assistance: 1) Medical-disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental-disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral - disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster related personal property damage; 5) Transportation, proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; 6) Other Necessary Expenses and Serious Needs Identified, the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual/Family; Homeowner (located within an area which has been designated as a disaster area, by Presidential declaration).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206.110-120.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Program. If the State has selected the program for Review, an applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility.

**Application Procedure:**

A Presidential Disaster or Emergency Declaration must be issued, before individuals and households can register an application for assistance with FEMA via a toll-free number or FEMA's Internet Application or by visiting a Disaster Recovery Center. Applications will not be accepted from individuals residing outside of the area declared as a disaster.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Range of Approval/Disapproval Time:**

Varies, in general 7-21 days.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Housing - not applicable. Other Needs - FEMA or the State may administer the Other Needs Assistance Program. State provides 25 percent of the funds for the

total number of grants disbursed for the designated disaster. Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the program. States may also receive up to 5 percent of the Federal share of the program for administrative costs. The Governor may request a loan of the State's 25 percent share.

**Length and Time Phasing of Assistance:**

Generally, one time grant assistance with a total assistance period not exceeding 18 months.

**Reports:**

None.

**Audits:**

Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

FY 07 \$189,366,831; FY 08 est not available; FY 09 est not available.

**Range and Average of Financial Assistance:**

For FY 07, assistance ranged from \$50.00 - \$28,200.

**PROGRAM ACCOMPLISHMENTS:**

In previous fiscal years, this program provided assistance to individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, or flooding etc. For example, approximately 1.3 million households were approved for assistance in the aftermath of Hurricane Katrina.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

97.050, Presidential Declared Disaster Assistance to Individuals and Households - Other Needs; 97.049, Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.049 PRESIDENTIAL DECLARED DISASTER ASSISTANCE - DISASTER HOUSING OPERATIONS FOR INDIVIDUALS AND HOUSEHOLDS**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.

**OBJECTIVES:**

To address disaster-related housing needs of individuals and households suffering hardship within an area which, by Presidential declaration, has been designated as a disaster area.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disaster or emergencies such as an earthquake, hurricane, tornado, floods, or wildfire, etc. Program activates only after issuance of a presidential declaration. Direct assistance under this program is used for temporarily housing disaster victims who lack available housing resources and would be unable to make use of potential financial assistance to rent an alternative place to live.

**Applicant Eligibility:**

Individuals and households, in areas which have received a Presidential emergency or major disaster declaration, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance are eligible to apply for this program. The individual or household member must be a citizen of the United States, a non-citizen national, or a qualified alien. Direct Assistance - proof of residency, displacement must be caused by the disaster; and financial assistance to rent an alternative place to live is determined not to be a feasible option by the Federal Emergency Management Agency (FEMA).

**Beneficiary Eligibility:**

Individual/Family (located within a Presidentially - declared emergency or disaster area).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

A Presidential disaster or emergency declaration must first be issued. Afterwards, individuals and households within an area which has received a Presidential disaster or emergency declaration, may register an application for assistance with FEMA via a toll-free number or by visiting a Disaster Recovery Center.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. Households receive assistance directly from FEMA or State.

**Deadlines:**

Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Generally, limited to an assistance period not exceeding 18 months.

**Reports:**

Quarterly and final financial reports are required.

**Audits:**

Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Housing Assistance) FY 07 \$80,576,361; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.101.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

http://www.dhs.gov.

**RELATED PROGRAMS:**

97.050, Presidential Declared Disaster Assistance to Individuals and Households - Other Needs; 97.048, Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.050 PRESIDENTIAL DECLARED DISASTER ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS - OTHER NEEDS**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390. This CFDA is for when State receives a grant from

FEMA under Section 408(f) to administer the other needs program. If a grant has not been requested by the State, the assistance is provided for under CFDA 97.048.

**OBJECTIVES:**

To provide assistance to individuals and households affected by a disaster or emergency declared by the President, and enable them to address necessary expenses and serious needs, which cannot be met through other forms of disaster assistance or through other means such as insurance.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. Program activates only after issuance of a presidential declaration. "Other Needs Assistance" may be provided for the following: 1) Medical, 2) Dental, 3) Funeral, 4) Personal Property, 5) Transportation, and 6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Applicant Eligibility for individuals and households affected by a Presidential-declared disaster or emergency: 1) Medical disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster caused personal damage; 5) Transportation proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; and 6) Other Necessary Expenses and Serious Needs Identified the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual and family located within an area which, by Presidential declaration, has been designated as a disaster area.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA Regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Program. If the State has selected the program for Review, an applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance.

**Application Procedure:**

A Presidential Disaster or Emergency Declaration must first be issued. Afterwards, individuals and households located within a Presidentially-declared disaster area, may register an application for assistance with FEMA via a toll-free number or FEMA Internet application or by visiting a Disaster Recovery Center.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Range of Approval/Disapproval Time:**

7-21 days.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Housing not applicable; other needs FEMA or the State may administer the other needs provision. The State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. The Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the provision. States may also receive up to 5 percent of the Federal share of the program for administrative costs. The Governor may request a loan of the State's 25 percent share.

**Length and Time Phasing of Assistance:**

Generally, a one time assistance payment, with a total assistance period of no longer than 18 months.

**Reports:**

Quarterly and final financial reports are required.

**Audits:**

Internal program audits are conducted. Also, in accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for three years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Financial assistance) FY 07 \$5,426,292; FY 08 est not available; FY 09 est not available.

**Range and Average of Financial Assistance:**

Currently ranges from \$50.00 \$28,200.00.

**PROGRAM ACCOMPLISHMENTS:**

In previous fiscal years, this program provided assistance to individuals and households affected by disasters such as hurricanes, tornadoes, or flooding, etc. For example, approximately 1.3 million households were approved for assistance in the aftermath of Hurricane Katrina.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.048, Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas; 97.049, Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 97.052 EMERGENCY OPERATIONS CENTERS

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), 42 U.S.C. 5121 - 5206; the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act, 2000, Public Law 106-74.

**OBJECTIVES:**

The purpose of the Emergency Operations Centers program is to supplement and assist State and local efforts to improve their capabilities to respond to emergencies or disasters including any that may be caused by terrorist attacks using conventional means or Weapons of Mass Destruction (WMD). The program provides grants to the States to encourage the development of Emergency Operations Centers (EOCs) that provide flexibility, sustainability, security, survivability and interoperability. Fully capable emergency operations facilities at the State and local levels are an essential element of a comprehensive national emergency management system and are necessary to ensure continuity of operations and continuity of government in major disasters caused by any hazard.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Emergency Operations Centers funds currently available will be awarded in two phases. A Phase 1 grant of \$50,000 to each State will be used for an initial assessment of the hazards, vulnerabilities, and resultant risk to existing EOCs. If a State has already completed a vulnerability assessment of its existing State EOC, it may apply to use the funds to conduct initial assessments of local EOCs. Phase 2 grants will be used to address the most immediate EOC deficiencies nationwide.

**Applicant Eligibility:**

States are eligible to apply for the assistance under this program. For purposes of this program and consistent with the Stafford Act, 42 U.S.C. 5122(4), "State" means any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. Local governments may receive assistance as subgrantees to the States in which they are located. The term "local



government" as used in this program has the meaning set forth in the Stafford Act, 42 U.S.C. 5122(6).

**Beneficiary Eligibility:**

Funding under this program is ultimately to benefit States and local governments.

**Credentials/Documentation:**

A program point of contact must be designated by the chief elected official of each jurisdiction eligible to apply to FEMA for assistance.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Some EOC projects including physical modifications to EOCs for secure communications equipment require environmental impact assessments.

**Application Procedure:**

Emergency Operations Centers is one of several program activities funded under the 2002 Supplemental Appropriations Act for Further Recovery From and Response To Terrorist Attacks on the United States, P.L. 107-206. States can use a single application to apply for assistance from several program activities, including the EOC Phase 1 grant. EOC Phase 2 grants will be applied for separately. Grant application guidance is provided to the point of contact designated by the State chief elected official. FEMA regional personnel will work directly with the States providing technical assistance, as required, as States develop their applications. Local governments apply to their States using procedures established by the States.

**Award Procedure:**

FEMA Regional Offices notify States when awards are approved. States notify local subgrantees of the amounts of their awards.

**Deadlines:**

All eligible applicants will be notified of target dates and any applicable deadlines by way of the guidance packages provided to the State points of contact.

**Range of Approval/Disapproval Time:**

Decisions will be made and States notified within 60 days from date application is received by the FEMA Regional Office.

**Appeals:**

None.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

The funds for EOCs will be awarded in two phases. Each State will be allocated a \$50,000 Phase 1 grant, which is targeted for an initial assessment of the hazards, vulnerabilities, and resultant risk to an existing EOC. Phase 1 EOC activity will be 100 percent federally funded and will require no cost share. Phase 2 EOC grants will be awarded as project grants to address the most immediate EOC deficiencies nationwide. The Phase 2 EOC grants will require a 50 percent non-Federal cost share.

**Length and Time Phasing of Assistance:**

Grants are awarded for the total dollar amount, but the release of funds is on an as needed basis. The initial performance period for non-construction grants is ordinarily one year. Longer or shorter performance periods may be negotiated depending on needs of the grantees and national program management requirements. Performance periods for EOC Phase 2 grants will be negotiated based on the requirements of each project. States are required to initiate requests for funds as close as administratively feasible to the actual disbursements for program costs.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. The progress of each subgrant award will be included in the grantee's quarterly reports as required by 44 CFR 13.40 and 44 CFR 13.41. Reports are due 30 days after the end of each quarter. Report dates are January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant support as required by 44 CFR 13.50. Reports are to be submitted to the FEMA Regional Director. When the Department of Health and Human Services (HHS) Payment Management System (SMARTLINK) is used for advanced or reimbursement payments, the grantee is required to submit a copy of Federal Cash Transaction Report (HHS/PMS 272) to FEMA when it is submitted to HHS.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more a year in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records include financial and programmatic records, supporting

documents, statistical records, and other records of recipient or sub-recipient which are required to be maintained by 44 CFR Part 13.42, program regulations or the grant agreement. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

58-0101-0-1-999.

**Obligations:**

(Grants) FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Minimum grant of \$50,000 to each State.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable. New program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All available, relevant guidance is provided to the designated points of contact of all eligible State participants.

**Regional or Local Office:**

See Appendix IV of the Catalog for FEMA regional offices.

**Headquarters Office:**

Gil Jamieson, Federal Emergency Management Agency, Office of National Preparedness, 500 C Street, SW., Washington, DC 20472, (202) 646-4090 or e-mail: gil.jamieson@fema.gov. FAX: (202) 646-4053. 24-hour per day FEMA Telephone Operator Service is available at: (202) 566-1600.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.051, State and Local All Hazards Emergency Operations Planning; 97.053, Citizen Corps; 97.025, National Urban Search and Rescue (US&R) Response System; 97.038, First Responder Counter-Terrorism Training Assistance; 97.044, Assistance to Firefighters Grant.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.053 CITIZEN CORPS**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53 and the Department of Homeland Security Appropriation Act, 2008, Division E, Consolidated Appropriation Act, 2008, Public Law 110-161.

**OBJECTIVES:**

The purpose of Citizen Corps is to bring together community and government leaders to coordinate community involvement in emergency preparedness, planning, mitigation, response and recovery.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Citizen Corps funds currently available must be used for activities described in the Citizen Corps guidance materials provided to each State's designated point of contact. Grantees will be expected to develop a jurisdiction-wide strategic plan for the Citizen Corps initiative and to implement the elements of that plan. Of the funding provided for Citizen Corps activities, 75 percent must be passed through by the grantees to local governments. Localities receiving grants may use the funding for Citizen Corps Council organizing activities; for organizing, training, equipping, and maintaining CERTs; for defraying the added expense of liability coverage for CERT participants; and for outreach and public education campaigns to promote Citizen Corps and community and family safety measures, to include printing, marketing, advertising, and special events.

**Applicant Eligibility:**

States are eligible to apply for the assistance under this program. For purposes of this program and consistent with the Stafford Act, 42 U.S.C. 5122(4), "State" means any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. Local governments may receive assistance as subgrantees to the States in which they are located. The term "local government" as used in this program has the meaning set forth in the Stafford Act, 42 U.S.C. 5122(6), and includes any county, city, village, town, district, or other political subdivision of any State, any Indian tribe or authorized tribal organization, or Alaska Native village or organization, including any rural community or unincorporated town or village or any other public entity for which an application for assistance is made by a State or political subdivision thereof.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

A program point of contact must be designated by the chief elected official of each jurisdiction eligible to apply to DHS for assistance.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

States will be allocated a base amount of Citizen Corps funds using the percentages prescribed in Section 1014 of the USA Patriot Act, P.L. 107-56. Each State will be allocated a base amount of 0.75 percent of the total amount available except that the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands each will be allocated a base amount of 0.25 percent of the total amount available. The remaining Citizen Corps grant funds will be allocated on the basis of population and added to the base amounts. The Citizen Corps grants will carry no cost-share requirement.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of the grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Grants) FY 07 \$550,000 (remaining funding included in 97.067); FY 08 est \$14,572,500; and FY 09 est \$15,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All available, relevant guidance is provided to the designated points of contact of all eligible State participants.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Bldg. #410, Washington,

DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.051, State and Local All Hazards Emergency Operations Planning; 97.052, Emergency Operations Centers; 97.025, National Urban Search and Rescue (US&R) Response System; 97.038, First Responder Counter-Terrorism Training Assistance; 97.042, Emergency Management Performance Grants; 97.044, Assistance to Firefighters Grant; 97.008, Urban Areas Security Initiative; 97.071, Metropolitan Medical Response System; 97.073, State Homeland Security Program (SHSP); 97.074, Law Enforcement Terrorism Prevention Program (LETPP).

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.055 INTEROPERABLE COMMUNICATIONS EQUIPMENT****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Federal Fire Prevention and Control Act of 1974, 15 U.S.C., Section 2201-2232; Consolidated Appropriations Resolution, Public Law 108-7 (2003); Emergency Wartime Supplemental Appropriations Act, Public Law 108-11 (2003).

**OBJECTIVES:**

Provide funding to jurisdictions across the nation for demonstration projects that will explore uses of equipment and technologies to increase interoperability among the fire service, law enforcement, and emergency medical service communities. These projects will illustrate and encourage the acceptance of new technologies and operating methods to assist communities in achieving interoperability.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Designated jurisdictions will be invited to submit applications for interoperable communications projects that include the purchase of interoperable communications equipment components for multi-disciplinary and/or multi-jurisdictional public safety communications projects. Requests may provide local jurisdictions with equipment or services to participate on public safety, commercial, or other shared networks and portable gateway solutions. Applicants may request assistance for other technologies if the application demonstrates how the proposed technology will improve interoperability among the public safety community. If an interoperable communications plan has not been developed, the application should also include a description of how a plan will be established as part of the proposed project.

**Applicant Eligibility:**

Local governments nominated by State or Territory government to submit an application.

**Beneficiary Eligibility:**

Local governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

FEMA will invite a limited number of local jurisdictions, as designated by their respective State's Governor, to submit competitive proposals for interoperable communications demonstration projects. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Grant awards will require a 25% nonfederal cost share. The source of the match funds must be identified in the grant application. The match does not need to be a cash match. In-kind contributions are permitted and must be activities in direct support of and

eligible under the project. The nonfederal share may not be funded by other federal funds unless permitted by Federal statute.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees will also be required to conduct a final evaluation as a condition of the demonstration grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

58-0101-0-1-999.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that 56 applications will be received and approximately 14 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Appendix IV of the Catalog.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), c/o 245 Murray Lane - Bldg. #410, Washington, DC 20523, Telephone: (202) 646-3850 FAX: (202) 646-3061.

**Web Site Address:**

www.fema.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.056 PORT SECURITY GRANT PROGRAM

(Port Security Grants)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of FY 2007, Public Law 110-53 and the Department of Homeland Security Appropriation Act, 2008 Division E, Consolidated Appropriation Act 2008, Public law 110-161.

**OBJECTIVES:**

To provide funds to port areas for the protection of critical port infrastructure from terrorism. To assist ports enhancing maritime domain awareness, improving risk management capabilities to prevent, detect, respond to and recover from attacks involving improvised explosive devices (IEDs) and other non-conventional weapons, as well as training and exercises and TWIC implementation.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with maritime domain awareness; IED prevention, protection, response, and recovery capabilities; training and

exercises; and management administration. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

All entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration of funding. However, Congress has also specifically directed DHS to apply these funds to the highest risk ports within the United States. In support of this, a total of 102 critical port areas<sup>1</sup>, representing approximately 95 percent of the foreign waterborne commerce of the United States, have been specifically identified. In a number of cases, these port areas have also been grouped together to reflect geographic proximity, shared risk and a common waterway. The following three entities are specifically encouraged to apply: 1) owners/operators of federally regulated terminals, facilities, or U.S. inspected passenger vessels as defined in the Maritime Transportation Security Act (MTSA) 33 CFR Parts 101, 104, 105, and 106; 2) port authorities or other State and local agencies that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan; and 3) consortia composed of local stakeholder groups (e.g., river groups, ports, and terminal associations) representing federally regulated ports, terminals, U.S. inspected passenger vessels, or ferries that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan. Please refer to the program guidance and application kit for more details regarding applicant eligibility.

**Beneficiary Eligibility:**

Critical national seaports and terminals.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is not covered under Executive Order 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. There is a matching requirement of 25 percent of total project costs for public sector entities and 50 percent for private sector entities.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support



the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

FY 07 \$312,269,793; FY 08 est \$388,600,000; and FY 09 est \$210,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Enhancements of facility/terminal/vessel (commuter or ferry service) access control, physical security, cargo security and passenger security.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.067, Homeland Security Grant Program; 97.008, Urban Areas Security Initiative; 97.058, Operation Safe Commerce (OSC) Cooperative Agreement Program; 97.057, Intercity Bus Security Grants; 97.059, Truck Security Program; 97.075, Rail and Transit Security Grant Program; 97.078, Buffer Zone Protection Program (BZPP).

**EXAMPLES OF FUNDED PROJECTS:**

Enhancements of facility/terminal/vessel (commuter or ferry service) access control, physical security, cargo security and passenger security.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.057 INTERCITY BUS SECURITY GRANTS

(Intercity Bus Security)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53 and the Department of Homeland Security Appropriation Act, 2008, Division E, Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To create a sustainable program for the protection of intercity bus systems and the traveling public from terrorism. To assist operators of fixed-route intercity and charter bus services in obtaining the resources required to support security measures such as enhanced planning, facility security upgrades, exercises, improved communication capabilities, and vehicle and driver protection.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for vehicle security enhancements; emergency communication technology; coordinating with local police and emergency responders; facility security enhancements; training and exercises; improvement of ticket identification and further implementation of passenger and baggage screening enhancements; and driver security enhancements. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

This program is limited to applicants meeting one or both of the following criteria: 1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or 2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is not covered under Executive Order 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States", Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

FY 07 \$11,640,000; FY 08 est \$11,172,250; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In the preceding fiscal year \$9,603,000 was awarded to 27 intercity bus industry organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information on requirements and guidance please refer to the current FY Intercity Bus Security Grants Program Guide and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.059, Truck Security Program; 97.075, Rail and Transit Security Grant Program; 97.078, Buffer Zone Protection Program (BZPP); 97.056, Port Security Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Projects addressing: driver and vehicle security enhancements; emergency communications technology; coordination with local police and emergency responders; and training and exercises.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.058 OPERATION SAFE COMMERCE (OSC) COOPERATIVE AGREEMENT PROGRAM

(Operation Safe Commerce)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

DHS Appropriations Act for Fiscal Year 2005, Public Law 108-334.

**OBJECTIVES:**

To explore commercially viable options to enhance cargo security, including business processes and technology prototypes, which support containerized

cargo supply chain security management while facilitating the flow of trade.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in the Request for Applications (RFA). Cost principles applicable to the awards are OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, with OMB Circular No. A-122 for nonprofit organizations, and with 48 CFR Part 31 for commercial organizations. In general, funds may be used for equipment, supplies, services or consultants, travel, audits, other direct costs, facilities and administrative costs (i.e., indirect costs), and other costs related to meeting the program objectives. Funds shall not be used for personnel.

**Applicant Eligibility:**

Applicants eligible for the most recent competition were Load Centers, defined as the Ports of Los Angeles/Long Beach, Seattle/Tacoma, and the Port Authority of New York/New Jersey.

**Beneficiary Eligibility:**

Immediate beneficiaries include applicable stakeholders in the supply chain. Applicable ports will benefit as designated in successful proposals.

**Credentials/Documentation:**

Stakeholder participation must be demonstrated through letter(s) of commitment. A copy of the applicant's Federally approved indirect cost rate agreement should be submitted. In addition, National Environmental Policy Act (NEPA) information is required.

**Preapplication Coordination:**

Preapplication Coordination: This program is not covered under Executive Order 12372, "Intergovernmental Review of Federal Programs".

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and CAPR reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Cooperative Agreements) FY 07 \$0; FY 08 \$0 not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

During the last funding period, 18 projects were approved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Transportation (DOT) grant related regulations include 49 CFR Parts 17-21, 26, 29, and 32. DOT regulations may be superseded by corresponding or applicable new regulations issued by the Department of Homeland Security for this program. Cost principles applicable to the awards are OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, with OMB Circular No. A-122 for nonprofit organizations, and with 48 CFR Part 31 for commercial organizations. In addition, the U.S. Customs Service operates related initiatives called the Customs-Trade Partnership Against Terrorism (C-TPAT) and the Container Security Initiative (CSI). See <http://www.customs.treas.gov/> for further information on those programs.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.056, Port Security Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Security measures addressed 18 specified supply chain nodes, pilot use of commercial-off-the-shelf technology and emerging technologies; development and demonstration of a comprehensive supply chain security approach; and monitoring and warning about potential threats in supply chain logistics.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.059 TRUCK SECURITY PROGRAM

(Truck Security Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act, Public Law 110-53 and the Department of Homeland Security Appropriation Act 2008, Division E, Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To promote security awareness and anti-terrorism for the highway professionals in support of the National Preparedness Guidelines and associated National Priorities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

To train the Nation's transportation community to observe and report any suspicious activities or items that many threaten the critical elements of the Nation's highway transportation system. Allowable uses include: Participant Identification and Recruitment, training, communications, and Information Analysis and Distribution. See the program guidance for a detailed explanation of allowable uses and restrictions.

**Applicant Eligibility:**

The American Trucking Associations (ATA) is the sole entity eligible to apply.

**Beneficiary Eligibility:**

Interstate, Intrastate, State, and local.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula and no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting

period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 07 \$11,640,000; FY 08 est \$15,544,000; and FY 09 est \$8,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

The Highway Watch(r) Program, funded via TSP, continues to provide a sustainable national program to enhance security and overall preparedness on our Nation's highways. Its benefits and resources are now available to all professionals and operating entities throughout the highway sector, including private companies, public entities, and governmental operations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

97.057, Intercity Bus Security Grants; 97.075, Rail and Transit Security Grant Program; 97.078, Buffer Zone Protection Program (BZPP); 97.056, Port Security Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Projects have addressed identification and recruitment of appropriate training programs participants; conducting highway domain awareness security training; maintaining a Highway Watch(r) Call Center; and information analysis and distribution.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.060 PORT SECURITY RESEARCH AND DEVELOPMENT GRANT**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Department of Transportation, Maritime Transportation Security Act of 2002, Public Law 107-295, Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To identify technology solutions for port security through research and development that will provide end products that meet or exceed the following four priorities: Cargo Information Action Center, Passengers and Vehicles Screening on Ferries, Transparency of Vessel Ownership and Operation Restore.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in Request for Application (RFA) and are restricted to research and development activities.

**Applicant Eligibility:**

Research and Development activities at National Laboratories, private nonprofit

organizations, institutions of higher education and other entities.

**Beneficiary Eligibility:**

Specialized Group; critical national seaports and terminals.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has a statutory 75/25 match requirement. See 46 U.S.C. 70107(c)(1).

**Length and Time Phasing of Assistance:**

The period of performance is up to 18 months. Funds will be made available upon award, however authorization will be provided based upon progress.

**Reports:**

Quarterly Earned Value Management Reports and Quarterly Project Status Reports, Final Project Report and Final Financial Status Report are required.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0508-0-1-402.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost principles applicable to the awards are: OMB Circular No. A-21 for cost principles for educational institutions, OMB Circular No. A-87 for State and local governments, OMB Circular No. A-102 grants and cooperative agreements with state and local governments, A-110 uniform administrative requirements for grants and agreements with institutions of higher education, A-122 for nonprofit organizations, 48 CFR Part 31 for commercial organizations and A-133 for audits. Solicitation guidelines will be made available.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Transportation Security Administration Headquarters, Office of Acquisition, TSA-25, 701 South 12th Street, Arlington VA 22202, Pat Masterson; Telephone: (571) 227-1587.

**Web Site Address:**

<http://www.tsa.gov> (click on business opportunities).

**RELATED PROGRAMS:**

97.058, Operation Safe Commerce (OSC) Cooperative Agreement Program; 97.056, Port Security Grant Program.

**EXAMPLES OF FUNDED PROJECTS:**

Regional Maritime Security Coalitions Cargo Information Action Center,



Operation Restore's Dynamic Shipping Rerouting Decision Support Tool,  
<http://www.operationrestore.org>.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.061 CENTERS FOR HOMELAND SECURITY**

(Centers of Excellence)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, 6 U.S.C. 188(b), Section 1205 of Public Law 110-53, Emergency Wartime Supplemental Appropriation Act of 2003, Public Law 108-7; and Section 570 of Public Law 110-161.

**OBJECTIVES:**

Establishment of a coordinated, university-based system to enhance the Nation's homeland security. The Department of Homeland Security Centers are envisioned to be an integral and critical component of the new homeland security complex that will provide the Nation with a robust, dedicated and enduring capability that will enhance our ability to anticipate, prevent, respond to, and recover from terrorist attacks. These Centers will also provide a locus to attract and retain the Nation's best and brightest academic scholars in pursuit of homeland security related disciplines. The DHS Centers will complement other programs within the Department (including the Homeland Security Advanced Research Projects Agency) and in other Federal agencies that fund projects-focused research aimed at the development and deployment of specific homeland security technologies and capabilities. DHS Centers may also include cooperative center arrangements with other Federal agencies, or national laboratories.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Universities selected by DHS, may use grant funds for: (1) targeted research areas that leverage the multidisciplinary capabilities of universities and fill gaps in our needed knowledge and our ability to counter terrorist attacks; and (2) involve U.S. undergraduate, graduate, and post-doctoral students who are interested, dedicated and committed to making important contributions in science and technology endeavors that will enhance the overall security of the nation.

**Applicant Eligibility:**

Eligible applicants are accredited U.S. institutions of higher education.

**Beneficiary Eligibility:**

Public and private colleges and universities.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff for eligibility and responsiveness. Applications will undergo merit review by a panel of subject matter experts which may include federal and non-federal reviewers. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to announcement or program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Refer to announcement/program guidance or the award document. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year.

Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$23,963,885; FY 08 est \$32,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Support continues for the existing Centers of Excellence and five new Centers are expected to be funded in FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs, 245 Murray Drive, Building #410, S.W., Washington, DC 20523. E-mail: [universityprograms@dhs.gov](mailto:universityprograms@dhs.gov).

**Web Site Address:**

<http://www.sciencetosecurity.org>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Information on current DHS Centers of Excellence can be found at <http://www.sciencetosecurity.org>.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.062 SCHOLARS AND FELLOWS, AND EDUCATIONAL PROGRAMS**

(DHS Scholars and Fellows)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, Section 302 (10).

**OBJECTIVES:**

The objectives of this program are: (1) increase the intellectual capacity, skills and talents, especially those of U.S. citizens in areas of relevance to homeland security; (2) to attract undergraduate and graduate students to obtain advanced degrees in disciplines of importance to homeland security; (3) provide advanced professional and research development opportunities for fellows, scholars and faculty in targeted areas; and (4) to increase a diverse and highly talented cadre of new and emerging science and technology expertise working in areas of importance and need to homeland security.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Individuals must be U.S. citizens and employed or enrolled in an accredited U.S. institution of higher learning, e.g., university, college, etc.

**Applicant Eligibility:**

All applicants must be U.S. citizens. Applicants must be a rising college junior or first or second year graduate student, or postdoctoral fellow, studying in one of the following areas including: computer science, engineering, life sciences, math, physical sciences, psychology, social sciences, DVM/PhD, and certain humanities. Applicants must be enrolled in full-time at accredited U.S. institutions. Applicants should have career and employment goals aligned with the mission and objectives of the U.S. Department of Homeland Security. Postdoctoral scientists and engineers who have held the doctorate degree less than five years at the time of application. Summer faculty fellows must have tenure or be tenure-tracked and be from a minority serving institution.

**Beneficiary Eligibility:**

Undergraduate Student, Graduate Student, Postdoctoral Scholars, and Minority Serving Institution Faculty.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Based on availability of funding and academic progress.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance.

**Reports:**

Participant feedback and progress reports are required.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$3,000,000; FY 08 est \$3,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

The program succeeded in selecting 105 Scholars and Fellows in August of the preceding fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs, 245 Murray Lane, Building 410, Washington, DC 20523. E-mail: universityprograms@dhs.gov .

**Web Site Address:**

www.dhs.gov .

**RELATED PROGRAMS:**

47.070, Computer and Information Science and Engineering; 47.049, Mathematical and Physical Sciences; 47.041, Engineering Grants; 47.050, Geosciences; 47.078, Polar Programs; 15.059, Indian Graduate Student Scholarships.

**EXAMPLES OF FUNDED PROJECTS:**

Information on current DHS funding can be found at <http://www.sciencetosecurity.org>.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.064 DEBRIS REMOVAL INSURANCE

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Consolidated Appropriations Resolution, 2003, Public Law 108-7.

**OBJECTIVES:**

The project will consist of the incorporation of a captive insurance company by the City of New York in the State of New York to insure the City and its contractors for claims arising from debris removal at the World Trade Center following the terrorist attacks of September 11, 2001.

**TYPES OF ASSISTANCE:**

Insurance.

**USES AND USE RESTRICTIONS:**

The captive insurance company will provide insurance coverage exclusively for the City of New York and those contractors that were paid by the City to perform debris removal at the World Trade Center site. The insurance company will not provide insurance coverage to any other persons or entities.

**Applicant Eligibility:**

The grant is made available for the State of New York to insure the City of New York and its debris removal contractors.

**Beneficiary Eligibility:**

Insurance coverage obtained with grant funds shall be available solely for the City of New York and those contractors that were paid by the City to perform debris removal at the World Trade Center site.

**Credentials/Documentation:**

Costs determined in accordance with the Consolidated Appropriations Resolution, 2003, Public Law 108-7 and the Conference Report accompanying Public Law 108-7.

**Preapplication Coordination:**

Following the Presidential declaration of a major disaster for the State of New York for the terrorist attacks of September 11, 2001, the Governor's Authorized Representative for the disaster made a written request for \$1 billion in funding from FEMA to establish a captive insurance company to insure the City of New York and its contractors for claims arising from debris removal at the World Trade Center. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

With authority provided to FEMA by the Consolidated Appropriations Resolution, 2003, Public Law 108-7, FEMA will accept application from the State and City of New York for funding to establish a captive insurance company in the State of New York with execution of an SF-424; FEMA Forms 20-16, 20-16A, 20-16C; Disclosure of Lobbying Activities Form LLL; and a grant agreement.

**Award Procedure:**

With authority provided by the Consolidated Appropriations Resolution, 2003, Public Law 108-7, FEMA will provide \$999.9 million to establish a captive insurance company or other appropriate insurance mechanism to insure the City and its contractors for claims arising from debris removal when the State and City have completed the application procedure and FEMA has agreed to and approved all terms, conditions and scope of insurance coverage. The Grant Award is the maximum award for which FEMA has authority and funding. Absent additional authority and funding from Congress, this Grant Agreement is not subject to amendment for purposes of increasing the amount of the Award. The Award of Federal assistance in support of the Project described herein is effective on the date that the authorized FEMA official signs the Grant Agreement. Upon execution of the Grant Agreement by the Grantee, the Grantee affirms the Award in support of the said Project and enters into the Grant Agreement with FEMA.

**Deadlines:**

There is no deadline for the State and City to complete the application procedure.

**Range of Approval/Disapproval Time:**

From three to four weeks.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

The Federal Share is 100% of eligible work. There is no State or local government matching requirement.

**Length and Time Phasing of Assistance:**

Upon transfer of the Grant Award to the Captive through the State and City, the Captive will use the Award for the purposes described in the Grant Agreement, with attachments, for an initial period of up to 25 years from the effective date of the Grant Agreement and will not use the Award for any other purpose. In the event the Captive is unable to terminate its liabilities within the 25 year period because it would not be commercially reasonable or cost effective to do so, a request to extend the Period of Performance will be considered. An extension request must be supported by adequate written justification. No extension requests will be processed if performance and financial status reports are not current.

**Reports:**

The Grantee shall submit to FEMA and the New York State Insurance Department (SID) the following reports: a) A report from the Captive 30 days after the Captive has reported to the Grantee, the City and the designate representative of the Contractors each calendar quarter of losses incurred, losses paid, changes in experience account balance, and changes in individual and aggregate case reserves and indicated reserves for losses incurred but not reported during the immediately preceding calendar quarter; b) The annual reports the Captive must submit to the Superintendent of SID (within 10 days of such submission); c) The annual financial statements (which shall be prepared no later than ninety days following the last day of each calendar year and audited by an independent auditor whose selection was made following 30 days notice to FEMA); and d) The minutes of all meetings of the Captive Board of Directors and Advisory Committee. The Grantee shall also report quarterly, beginning June 30, 2003, to the Committees on Appropriations of the U.S. Congress and FEMA, regarding the expenditure of and investment earnings from the Grant Award, utilizing information culled from the reporting requirements listed above. The Grantee shall submit a Financial Status Report, SF 269, within 30 days from the end of the federal quarter that the Grantee expends the funds. The financial and performance reports required by this Article will also be utilized to satisfy the after-the-grant requirements of 44 C.F.R. Sec. 13.50. The Grantee shall submit required reports to FEMA at: 500 C Street SW, Washington DC 20472. Attn: Assistance Officer, Administration and Resource Planning.

**Audits:**

Grantee must follow the audit requirements under OMB Circular No. A-133. Non-Federal entities that expend the amount listed in OMB Circular No. A-133 or more Federal funds in a year shall have a single or program-specific audit conducted for that year in accordance with the provisions of A-133.

**Records:**

Records shall be retained for 3 years (except in certain rare circumstances described in 44 C.F.R. Sec. 13.42) from the date the final financial status report is submitted to FEMA in compliance with 44 C.F.R. Sec. 13.42. The Captive's books and records shall be made available to FEMA and SEMO upon reasonable notice.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Consolidated Appropriations Resolution, 2003, Public Law 108-7 and the accompanying Conference Report directing FEMA to fund a captive insurance company or other appropriation insurance mechanism for the City of New York and its debris removal contractors have no implementing regulations or guidelines.

**Regional or Local Office:**

Federal Emergency Management Agency, 26 Federal Plaza, New York, N.Y. 10278. Telephone: (212) 680-8518.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov/rrr/pa>.

**RELATED PROGRAMS:**

97.036, Disaster Grants - Public Assistance (Presidentially Declared Disasters).

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.065 HOMELAND SECURITY ADVANCED RESEARCH PROJECTS AGENCY**

(HSARPA)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Title III, Section 307 and 831, Public Law 107-296.

**OBJECTIVES:**

To fund research and technology development in support of Homeland Security.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts).

**USES AND USE RESTRICTIONS:**

HSARPA funds only project grants resulting from scientific and technical proposals for basic research, applied research and technology development in areas of science and technology to support homeland security research. These projects will promote revolutionary changes in technologies which would promote homeland security; advance the development, testing, and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities. All awards made under the affiliated Small Business Innovation Research Program will be restricted as required by law and regulation. Funds provided for any other purpose will be specified explicitly in the award document.

**Applicant Eligibility:**

HSARPA performs its functions in part by awarding contracts, grants, cooperative agreements, or other transactions for prototypes or research to: public or private entities, public or private nonprofit institutions/organizations, businesses, profit organizations, Federally funded research and development centers, universities, individuals, specialized groups, and other private institutions/organizations.

**Beneficiary Eligibility:**

Beneficiaries are small and large businesses; public and private educational institutions, and profit and non-profit entities.

**Credentials/Documentation:**

One condition of HSARPA assistance will be acceptable professional qualifications and documented experience necessary to properly conduct the research solicited in the manner proposed. Another condition of assistance may be the ability of applicants to possess specified security clearances, processes

and procedures. Applicants must not appear on the nonprocurement suspended or debarred list. In addition, the provisions of OMB Circulars Nos. A-21, A-87, A-88, A-110, A-122, and A-133 must be met, as applicable.

**Preapplication Coordination:**

There is no required preapplication coordination. Applicants may be required to register electronically at [www.hsarpabaa.com](http://www.hsarpabaa.com) if they wish to submit a white paper or proposal for an active solicitation. Instructions for registration are identified in the posted funding opportunity ([fedbizops.com](http://fedbizops.com)). This program is excluded from the coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

As required by solicitation.

**Reports:**

Refer to the program guidance or the award document for frequency of reporting.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$3,000,000; FY 08 est. not available; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Homeland Security Act of 2002, Title III, Sec. 307 and 831, Public Law 107-296, and information contained at <http://www.dhs.gov>., <http://www.fedbizopps.gov>., and <http://www.hsarpabaa.com>. FAR, OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants and Financial Assistance Division, Office of Procurement Operations, Department of Homeland Security, Building 410, 245 Murray Lane SW., Washington DC 20528. Telephone: (202) 447-5589.

**Web Site Address:**

<http://www.dhs.gov>; <http://www.hsarpabaa.com>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**



None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.066 HOMELAND SECURITY INFORMATION TECHNOLOGY RESEARCH, TESTING, EVALUATION AND DEMONSTRATION PROGRAM**

(ITEP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2004, Public Law 108-90.

**OBJECTIVES:**

To foster and identify novel uses of existing "state-of-the-market" information technology that will remove barriers and improve information sharing and integration of State and local public safety interoperability communications.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Allowable costs will be identified in the Program Announcement. No construction will be eligible for funding. This funding may only be used to supplement existing funding and not be used to supplant funding.

**Applicant Eligibility:**

Chief Executive Officers of State Administrative Agencies in each State and U.S. Territories or as noted in the program/opportunity announcement.

**Beneficiary Eligibility:**

State, U.S. Territories and local governments.

**Credentials/Documentation:**

The applicant must complete a proposal as outlined in the solicitation announcement.

**Preapplication Coordination:**

Applicants must submit applications to the Chief Executive Officers of State administrative agencies. This program is excluded from coverage under E.O. 12372 or in accordance with the F.O.A.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and CAPR reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and

resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

FY 07 \$0; FY 08 \$0; and FY 09 \$0.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

To be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To be determined.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>; <http://www.usdoj.gov/odp>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.067 HOMELAND SECURITY GRANT PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Implementing Recommendations of 9/11 Commission Act of 2007, Public Law 110-53 and the Department of Homeland Security Appropriations Act, 2008, Division E, Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To enhance the ability of the State, local and tribal governments to prepare, prevent, respond to, and recover from terrorist attacks and other disasters. The Homeland Security Grant Program is primary funding mechanism for building and sustaining national preparedness capabilities. HSGP is comprised of four separate grant programs.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

The HSGP is comprised of five separate grant programs: State Homeland Security Program (SHSP), Urban Areas Security Initiative (UASI), Law Enforcement Terrorism Prevention Program (LETPP), Citizen Corps Program (CCP), and Metropolitan Medical Response System (MMRS). Funds will be administered by the respective State Administrative Agency (SAA). Each SAA shall make no less than 80 percent of the total grant program amount available to local units of government within 60 days of the receipt of funds.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

For specific application instructions, please refer to Appendix E, FY 2008 HSGP Application Requirements.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

For more detailed formula and matching requirements on each of the individual grant programs, please refer to the current HSGP solicitation guidance.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are required semi-annually. The CAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR, BSIR, and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Grants) FY 07 \$1,666,460,000; FY 08 est \$1,698,959,000; and FY 09 est \$1,040,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

States have completed threat, vulnerability, capabilities, and needs assessments and have developed State Homeland Security Strategies. The strategies identify the needs for planning, organization, equipment, training, exercises, and technical assistance. G&T is working with the States to develop assistance plans to identify Department of Homeland Security resources that can assist them in accomplishing the goals and objectives identified in their strategies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008, Urban Areas Security Initiative; 97.042, Emergency Management Performance Grants; 97.053, Citizen Corps; 97.071, Metropolitan Medical Response System; 97.073, State Homeland Security Program (SHSP); 97.074, Law Enforcement Terrorism Prevention Program (LETTP).

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.068 COMPETITIVE TRAINING GRANTS

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

The Department of Homeland Security Appropriation Act of 2008, Consolidated Appropriation Act 2008, P.L. 110-161.

**OBJECTIVES:**

To support the training initiatives that are national in scope and further the FEMA mission to reduce the loss of life, property and protect the Nation from all hazards, including natural disasters, acts of terrorisms, and other man-made disasters, by leading and supporting the Nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery and mitigation.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds will be used to develop and deliver innovative training programs addressing high priority national homeland security training needs. See the program guidance for detailed information regarding uses and use restrictions.

**Applicant Eligibility:**

State, local, tribal, and territorial governments; national associations and organizations; higher education institutions; nonprofits, including community and faith-based organizations; and the private sector.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit Categorical Assistance Progress Reports (CAPR) semi-annually. The CAPRs are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-

year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Grants) FY 07 \$29,100,000; FY 08 est \$27,202,000; and FY 09 est \$0.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Previous efforts have resulted in over 910,000 first responders receiving training. Courses are designed to increase awareness of terrorism threats and weapons of mass destruction among public officials, public health personnel, the medical community, public safety and public works personnel; as well as provide intensive technician and operations courses that demonstrate the effects of and response to live agents, explosives, and radiation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.067, Homeland Security Grant Program; 97.005 State and Local Homeland Security Training Program; 97.007, Homeland Security Preparedness Technical Assistance Program.

**EXAMPLES OF FUNDED PROJECTS:**

Training programs targeting areas like community outreach; vulnerable populations and special needs; intelligence, information sharing, and fusion centers; cyber-terrorism; agriculture; regional collaboration and continuity of operations planning; transit, port and infrastructure protection; rural communities; law enforcement; and mass casualty.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.069 AVIATION RESEARCH GRANTS

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, P.L. 107-296, codified at 6 U.S.C. 188 (b)(1)(C).

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation security.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements); Use of Property, Facilities, and Equipment.

**USES AND USE RESTRICTIONS:**

The grants may be used to support research and development projects at colleges, universities, nonprofit and for-profit institutions in the area of System Security Technology. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions.

**Applicant Eligibility:**

Public and private nonprofit institutions/organizations, colleges and universities, State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

**Beneficiary Eligibility:**

Public and private nonprofit institutions/organizations (colleges and universities), State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

**Credentials/Documentation:**

May be required by U.S. Statute, regulation or program guidance.

**Preapplication Coordination:**

The applicant is notified of funding availability by electronic posting on <http://www.grants.gov>. The applicant will be advised on how to apply for the funding through the funding opportunity announcement and program guidance. This program is excluded from coverage under E.O. 12372, "Intergovernmental Review of Federal Programs".

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the

successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Multi-year grants or cooperative agreements are available but approval is at the discretion of DHS.

**Formula and Matching Requirements:**

This program has no statutory formula or matching requirements; however, cost-sharing by the grantee is highly encouraged.

**Length and Time Phasing of Assistance:**

Refer to program guidance.

**Reports:**

Frequency of interim reporting will be identified in the funding opportunity/program guidance document. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Grants) FY 07 \$11,421,423; FY 08 \$6,000,000; FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Information available at the web sites listed below.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-21, Cost Principles for Educational Institutions (relocated to 2 CFR, Part 220); A-87, Cost Principles for State, Local and Indian Tribal Governments (relocated to 2 CFR, Part 225); A-102, Grants and Cooperative Agreements with State and Local Governments; A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations (relocated to 2 CFR, Part 215); A-122, Cost Principles for Nonprofit Organizations (relocated to 2 CFR, Part 230); and A-133, Audits of States, Local Governments and Nonprofit Organizations. In addition to the OMB criteria, program regulations, guidelines, DHS policy and procedures will also apply.

**Regional or Local Office:**

Office of Procurement Operations, Grants Office, Transportation Security Laboratory, W. J. Hughes Technical Center, Bldg 315, Atlantic City, NJ 08405. International Airport, Telephone: (609) 813-2834 or (609) 813-2839. Fax: (609) 383-1973.

**Headquarters Office:**

None.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 97.070 MAP MODERNIZATION MANAGEMENT SUPPORT

(MMMS)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**



Housing and Urban Development Act of 1968 (also known as The National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4101; the Housing and Urban Development Act of 1969; the Flood Disaster Protection Act of 1973; as amended; and National Flood Insurance Reform Act of 1994.

**OBJECTIVES:**

To increase local involvement in, and ownership of, management of the development and maintenance of flood hazard maps produced for the National Flood Insurance Program (NFIP).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The funds are authorized to supplement, not supplant (replace), ongoing flood hazard mapping management efforts by the local, regional, or State agency.

**Applicant Eligibility:**

All States and Commonwealths (including the District of Columbia and territories and possessions of the United States), regional agencies, and communities may apply. All applicants must be communities participating and in good standing in the NFIP or agencies which service participating NFIP communities.

**Beneficiary Eligibility:**

State; local; U.S. Territory & Possession; other public institution/organization; small business; engineer/architect; builder, contractor, developer; land/property owner; general public.

**Credentials/Documentation:**

Proposed Business Plans must be pre-approved by the FEMA regional office and all approved activities must ultimately contribute to the achievement of four over-arching goals of the Map Modernization Program. Refer to program guidance document for further information.

**Preapplication Coordination:**

Preapplication Coordination: This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

There are no matching requirements; however, Regional Directors shall determine individual levels of funding based upon the activities proposed and the level of commitment shown in the Business Plans, and how these activities will contribute toward the overall goals of map modernization. In addition applicants must be legislatively, administratively, and technically capable of providing proposed products or services.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-

year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5464-0-2-453.

**Obligations:**

FY 07 \$5,200,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In previous fiscal years, addition to the main goals of the MMMS program, support has been provided to staff scoping meetings, develop a web-based ordinance writing tool for adopting new maps, providing education for surveyors and engineers on the LOMC process, and the development of multi-lingual outreach materials.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual program guidance will be available to all MMMS participants and the general public on the FEMA website at <http://www.fema.gov>.

**Regional or Local Office:**

FEMA Regional Offices will manage all program activities under the MMMS initiative. See Appendix IV of the Catalog.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov/>.

**RELATED PROGRAMS:**

97.022, Flood Insurance; 97.045, Cooperating Technical Partners.

**EXAMPLES OF FUNDED PROJECTS:**

Examples of fundable projects include outreach efforts, coordinating mapping needs assessment, digital base map inventory, managing updates to national management information system, training efforts for State and local officials, coordination and effort in building partnerships, staffing, project scoping participation, compliance, map adoption management, management and map maintenance, program management planning for multiple flood mapping projects, hydrology and hydraulics review, DFIRM maintenance, technical standards agreement for state and/or local efforts, performing metrics and goals.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.071 METROPOLITAN MEDICAL RESPONSE SYSTEM

(MMRS)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Public Law 104-201, National Defense Authorization Act for Fiscal Year 1997: The Defense Against Weapons of Mass Destruction Act of 1996 directed the Secretary of Defense to enhance capability and support improvements of response agencies. The Nunn-Lugar-Domenici Amendment to the National Defense Authorization Act for FY 1997 authorized funding for "medical strike teams," and the subsequent development of the MMRS Program. Ongoing Congressional appropriations have funded contracts with 124 MMRS jurisdictions.

**OBJECTIVES:**

The MMRS program provides funding to designated localities to assist in maintaining and updating plans, delivering training, purchasing equipment and pharmaceuticals, and conducting exercises. The mission of MMRS is to enhance local medical incident management's ability to coordinate and respond to a mass casualty event during the crucial first hours, until significant external resources arrive and become operational.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Refer to grant program guidance document for specific use and use restriction information. MMR includes functional components which are closely related to HRSA, CDC, and DHS programs within the medical emergency and preparedness funding structure.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district,

borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

Local jurisdictions.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

No match required.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

FY 07 \$32,010,000; FY 08 est \$39,831,404; and FY 09 est not available. (Obligations are included in 97.067).

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

To be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more requirements and guidance, please refer to the MMRS section of the HSGP solicitation guidelines and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grant Programs, 245 Murray Lane, Bldg. #410, Washington, DC 20523. Telephone: 800-368-6498. Centralized Scheduling and Information Desk (CSID) can be contacted at 1-800-368-6498,

8:00 a.m. - 7:00 p.m.(Eastern Time), Monday - Friday, or askcsid@dhs.gov.

**Web Site Address:**

http://www.dhs.gov.

**RELATED PROGRAMS:**

97.008, Urban Areas Security Initiative; 97.042, Emergency Management Performance Grants; 97.053, Citizen Corps; 97.073, State Homeland Security Program (SHSP); 97.074, Law Enforcement Terrorism Prevention Program (LETPP).

**EXAMPLES OF FUNDED PROJECTS:**

Jurisdictions that have gone above the basic requirements of standard baseline development, and reached their eligibility requirements for Program Continuation funding, are those exemplary jurisdictions that have participated in Special Projects. These capabilities gained range from a Mobile Field Hospital in Charlotte-Mecklenburg, to an Emergency Patient Tracking System in St. Louis. Worcester has developed a software package for emergency responder credentialing and incident response status. Allegheny County has developed a Regional Incident Support Coordination Team, and Southern Rio Grande Region is working on building cross-border emergency preparedness capabilities. These are but a few of the MMRS initiatives ongoing throughout the nation.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.072 NATIONAL EXPLOSIVES DETECTION CANINE TEAM PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Public Law 104-264, Federal Aviation Reauthorization Act of 1996; Public Law 107-296, Homeland Security Act of 2002, Aviation and Transportation Security Act.

**OBJECTIVES:**

The National Explosives Detection Canine Program exists to deter and detect the introduction of explosives devices into the transportation system. In addition, bomb threats cause disruption of air, land and sea commerce and pose an unacceptable danger to the traveling public and should be resolved quickly. Explosives detection canine teams are a proven reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. The use of highly trained explosives detection canine teams is also a proven deterrent to terrorism directed towards transportation systems and provides a timely and mobile response to support facilities, rail stations, airports, passenger terminals, seaports and surface carriers. Canine teams consist of a dog and a handler. There is a 3 team minimum.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in the terms and conditions of each Cooperative Agreement award.

**Applicant Eligibility:**

Designated Airport Authority or State and local law enforcement agencies having responsibility for ensuring passenger, cargo, and commerce security.

**Beneficiary Eligibility:**

Airports, Airlines, mass transit, passenger rail system passengers, airlines, and the general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

TSA will contact potential participants of the program based upon established criteria for the specific mode of transportation. Proposals are not sought. No unsolicited applications are accepted. All applicants are pre-selected by TSA.

**Award Procedure:**

Recipients are pre-selected based on airport/mass transit-passenger rail security needs. Negotiations determine the scope of the award and a cooperative agreement is awarded.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

Every five years.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Incidents and training activities are reported as they occur. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each subgrant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-400.

**Obligations:**

FY 07 \$18,980,000; FY 08 est \$34,176,000; and FY 09 est \$34,176,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Transportation Security Administration has supported this public purpose of assuring traveler and cargo safety in expanding venues for over 30 years. Currently TSA works cooperatively with 79 recipients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative Agreement and attachments, Standard Operating Practices and Procedures, Applicable TSA Security Directives/Emergency Amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, National Explosives Detection Canine Team Program Headquarters, Transportation Security Administration, 601 South 12th Street, TSA-18 Room 8E18S, Arlington, VA 22202.

**Web Site Address:**

<http://www.tsa.gov> (click Security and Law Enforcement then Canine and Explosives Program).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

TSA provides State and local law enforcement agencies with a comprehensive 10 week handler training course and a certified explosives detection canine. In addition, TSA provides funding to State and local law enforcement agencies through partial reimbursements (\$40,000 - \$50,000 per team) for services provided to DHS/TSA for security of transportation systems. Teams must be available to the airports/mass transit-passenger rail 80% of the time but can be used to support other community security needs as well. Teams must re-certify annually and are subject to unannounced evaluations.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**97.073 STATE HOMELAND SECURITY PROGRAM (SHSP)****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

To build capabilities to prevent, deter, respond to, and recover from incidents of terrorism at the State and local levels through planning, equipment, training, and exercise activities and support the implementation of State homeland security strategies and key elements of the national preparedness architecture, including the National Preparedness Goal, the National Incident Management System and the National Response Plan.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, organization, equipment, training and exercises as related to the program objectives above, and will be administered by the respective State Administrative Agency (SAA). Each SAA shall make no less than 80 percent of the total grant program amount available to local units of government within 60 days of the receipt of funds.

**Applicant Eligibility:**

States, which includes any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. The State Administering Agency (SAA), designated by the Governor to administer DHS grant funds, is the only agency eligible to apply for these funds and is responsible for obligating the funds to local units of government and other designated recipients. Local units of government and other designated recipients, as defined in the Conference Report accompanying the Department of Homeland Security Appropriations Act of 2006, refers to "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." Applicants should consult the office or official designated as the single point of contact in their State for more information on the process to be followed as required by the State in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Each State will receive a minimum allocation using the U.S.A. Patriot Act formula. All 50 States, the District of Columbia, and Puerto Rico will receive 0.75 percent of the total allocation. Four Territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.25 percent of the total allocation. The balance of the funds will be allocated based on the analyses of risk and anticipated effectiveness as detailed in the program guidance. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are required semi-annually. The CAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR, BSIR, and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the



grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Grants) FY 07 \$509,250,000; FY 08 est \$921,500,000; and FY 09 est not available. (Obligations included in 97.067).

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

States have completed threat, vulnerability, capabilities, and needs assessments and have developed State Homeland Security Strategies. The strategies identify the needs for planning, organization, equipment, training, exercises, and technical assistance. OGP is working with the States to develop assistance plans and identify Department of Homeland Security resources that can assist them in accomplishing the goals and objectives identified in their strategies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the SHSP section of the HSGP solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grant Programs, 245 Murray Lane - Bldg. #410, Washington, DC 20523. The Centralized Scheduling and Information Desk (CSID) can be contacted at 1-800-368-6498 or askesid@dhs.gov. CSID hours of operation are from 8:00 a.m. to 7:00 p.m. (Eastern Time), Monday through Friday.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.074, Law Enforcement Terrorism Prevention Program (LETPP); 97.042, Emergency Management Performance Grants; 97.008, Urban Areas Security Initiative; 97.071, Metropolitan Medical Response System; 97.053, Citizen Corps.

**EXAMPLES OF FUNDED PROJECTS:**

Equipment acquisition; Costs related to the design, development, and conduct of statewide chemical, biological, radiological, nuclear, and explosive (CBRNE) events and cyber security training programs; and costs related to the design, development, conduct, and evaluation of CBRNE and cyber security exercises.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.074 LAW ENFORCEMENT TERRORISM PREVENTION PROGRAM (LETPP)**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

The Law Enforcement Terrorism Prevention Program (LETPP) seeks to provide law enforcement communities with enhanced capabilities for detecting, deterring, disrupting, and preventing acts of terrorism. LETPP is focusing on providing resources to law enforcement and public safety communities (working with their private partners) to support critical terrorism prevention activities such as establishing/enhancing fusion centers and collaborating with non-law enforcement partners, other government agencies, and the private sector.

**TYPES OF ASSISTANCE:**

Formula Grants.

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, organization, equipment, training and exercises, as related to the program objectives, and will be administered by the respective State Administrative Agency (SAA). The SAA must coordinate the implementation of this program with the State's Lead Law Enforcement Agency.

**Applicant Eligibility:**

States, which includes any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. The State Administering Agency (SAA), designated by the Governor to administer DHS grant funds, is the only agency eligible to apply for these funds and is responsible for obligating the LETPP funds to local units of government and other designated recipients. Local units of government and

other designated recipients, as defined in the Conference Report accompanying the Department of Homeland Security Appropriations Act of 2006, refers to "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State".

**Beneficiary Eligibility:**

State and local governments as well as U.S. Territory/Possession governmental units.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed as required by the State in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Each State will receive a minimum allocation using the U.S.A. Patriot Act formula. All 50 States, the District of Columbia, and Puerto Rico will receive 0.75 percent of the total allocation. Four Territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.25 percent of the total allocation. The balance of the funds will be allocated based on the analyses of risk and anticipated effectiveness as detailed in the program guidance. There are no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are required semi-annually. The CAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR, BSIR, and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Grants) FY 07 \$363,750,000; FY 08 est not available and FY 09 est not available. (included in 97.067)

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

States have developed State Homeland Security Strategies in accordance with the National Preparedness Goal and related national priorities. These strategies identify planning, organization, equipment, training, exercises, and technical assistance needs. The National Preparedness Directorate continues to assist states to identify and implement resources to accomplish goals and objectives identified in the respective state strategies.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the LETPP section of the HSGP solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA, Grant Programs Directorate, 245 Murray Lane Bldg. #410, Washington, DC 20531. The Centralized Scheduling and Information Desk (CSID) can be contacted at 1-800-368-6498 or E-mail: askcsid@dhs.gov. CSID is open from 8:00 a.m. to 7:00 p.m. (Eastern Time), Monday through Friday.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.008, Urban Areas Security Initiative; 97.042, Emergency Management Performance Grants; 97.053, Citizen Corps; 97.071, Metropolitan Medical Response System; 97.073, State Homeland Security Program (SHSP).

**EXAMPLES OF FUNDED PROJECTS:**

Establish/enhance fusion centers, interoperable communications, information sharing to preempt terrorist attacks; target hardening to reduce vulnerability of selected high value targets, and recognition and mapping of potential or developing threats.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.075 RAIL AND TRANSIT SECURITY GRANT PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Emergency Wartime Supplemental Appropriations Act of 2003, Public Law 108-11; The U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28.

**OBJECTIVES:**

To create sustainable programs for the protection of critical bus, rail and ferry system infrastructure from terrorism, with special emphasis on the use of explosives and non-conventional threats which would result in major loss of life and severe disruption.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Programs included under the CFDA number are: the Transit Security Grant Program (TSGP), the TSGP Intercity Passenger Rail Security Supplemental, and the TSGP Ferry System Security Supplemental. Funds may be used for planning, organizational activities, equipment acquisitions, training, exercises, management and administrative activities, and other costs the Secretary deems appropriate to support the objectives of the program. The SAA must obligate at least 97 percent of the funds awarded to designated transit systems within 60 days of the receipt of funds. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

The Governor of each State and Territory has designated a State Administrative Agency (SAA) to apply for and administer funds under the TSGP. The SAA for each designated transit system is the only agency eligible to apply for transit mode (rail and bus transit and ferry service) funds and is responsible for obligating transit mode funds to local units of government and designated recipients. The SAA is responsible for obligating TSGP funds to the appropriate individual transit agencies within 60 days after receipt of funds. The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the TSGP Intercity Passenger Rail Security Supplemental. Agencies eligible for the TSGP Ferry System Security Supplemental were identified using comprehensive, empirically grounded risk analysis modeling. The risk methodology for the IPP programs is consistent across the modes and is linked to the risk methodology used to determine eligibility for the core Department of Homeland Security State and local grant programs. The program guidance identifies the agencies eligible for funding.

**Beneficiary Eligibility:**

Specialized group; general public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed as required by the State in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Grants) FY 07 \$271,780,000 (which includes supplemental funding in the amount of \$100,000,000); FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Funding provided to enhance preparedness and security for America's Transit Systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane SW, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

[www.dhs.gov](http://www.dhs.gov).

**RELATED PROGRAMS:**

97.067, Homeland Security Grant Program; 97.008, Urban Areas Security Initiative; 97.056, Port Security Grant Program; 97.057, Intercity Bus Security Grants; 97.059, Truck Security Program; 97.078, Buffer Zone Protection Program (BZPP).

**EXAMPLES OF FUNDED PROJECTS:**

Projects addressing: protection of high risk/high consequence underwater and underground rail assets; protection of other high risk/high consequence assets and systems that have been identified through system-wide risk assessments; use of visible, unpredictable deterrence; targeted counter-terrorism training for key front-line staff; emergency preparedness drills and exercises; public awareness and preparedness campaigns; and efforts in support of the national preparedness architecture.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.076 NATIONAL CENTER FOR MISSING AND EXPLOITED CHILDREN (NCMEC)****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act.

**OBJECTIVES:**

To support investigative and forensics support activities related to investigations of missing and exploited children, promote awareness of the child pornography tip line and Project Alert; and, in conjunction with other Federal law enforcement agencies, support the establishment and maintenance of a national resource center and clearinghouse dedicated to missing and exploited children issues.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The NCMEC award is designated for a private, nonprofit organization (NPO) which meets Congress's objectives and programmatic criteria for preventing the abduction, abuse, and sexual exploitation of children; and/or assisting law enforcement agencies in the investigation and recovery of those children.

**Applicant Eligibility:**

Designated private nonprofit institution/organization.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or

other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0404-0-1-751.

**Obligations:**

(Grants) FY 07 \$6,000,000; FY 08 est \$6,000,000; and FY 09 est \$6,000,000.

**Range and Average of Financial Assistance:**

Amount may vary.

**PROGRAM ACCOMPLISHMENTS:**

The NCMEC toll-free hotline has received more than 150,000 calls from parents, law enforcement, prosecutors and citizens seeking assistance or asking for information regarding missing children issues. NCMEC has also disseminated thousands of publications and provided training to several hundred law enforcement officers and prosecutors regarding online crime against children and child protection issues. NCMEC's Cyber Tip Line has received over 165,000 reports of child pornography and child sexual exploitation. NCMEC continues to receive hundreds of hits on their web page daily.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please contact the headquarters office at the address listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

NCMEC/ David L. Schoonover, United States Secret Service. Telephone: (202) 406-9277, David.Schoonover@uss.s.dhs.gov; NCMEC and Project Alert/Tatum King, Immigration and Customs Enforcement. Telephone: (703) 293-8006, tatum.king@dhs.gov. Department of Homeland Security, 245 Murray Lane, Building #410, Washington, DC 20523.

**Web Site Address:**

www.dhs.gov

**RELATED PROGRAMS:**

16.543, Missing Children's Assistance.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Application is reviewed by the U. S. Secret Service and subject-matter experts.

Application is evaluated according to the program objectives and goals established by Congress.

**97.077 HOMELAND SECURITY RESEARCH TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES RELATED TO NUCLEAR DETECTION****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; as amended by the SAFE Port Act, Title V, Section 501(a), Public Law 109-347.

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies related to nuclear detection intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Use of Property, Facilities, and Equipment; Sale, Exchange, or Donation of Property and Goods; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.



**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

"Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

FY 07 \$15,367,353; FY 08 est \$11,000,000; and FY 09 est \$14,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Since FY 07, 25 grants have been awarded under the Academic Research Initiative (ARI) program to 22 different projects. It is estimated that approximately 8 new awards will be made in FY 08 in addition to the 25 continuation awards of the FY 07 grants. These grants provide funding to support over 75 graduate students in nuclear and radiological research areas. In addition, an annual ARI grantees conference is held to promote information sharing and collaborations across the community. In FY 07 a total of 133 proposals were received under the ARI solicitation and a total of 22 projects (25 grants) were funded. It is estimated in FY 08 and FY 09 that 8 out of approximately 90 proposals will be funded in each fiscal year. Funding has also supported basic and applied research in the radiological/nuclear detection and interstate transportation security.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Grants and Financial Assistance Division, Office of Procurement Operations, Telephone: (202) 447-5589.

**Web Site Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Awards made under the ARI program cover a wide range of research in nuclear and radiological detection. Projects include; advanced algorithms and detectors for used in gamma-ray imaging, nano-material applications in scintillator and semiconductor detectors, modeling to improve sensor management and port security, fieldable nuclear forensics systems for material identification, and measurement of fundamental nuclear data and cross-sections.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.078 BUFFER ZONE PROTECTION PROGRAM (BZPP)**

(BZPP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act.

**OBJECTIVES:**

The Buffer Zone Protection Program (BZPP) provides funding for the planning, equipment, and management of protective actions, to support the objective of protecting, securing, and reducing vulnerabilities of identified critical infrastructure and key resource (CI/KR) sites.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

BZPP grant awards will be administered by the respective State Administrative Agency (SAA) and may be used for planning, equipment, and management of protective actions relating to the program objectives. The SAA will allocate program funds to the jurisdiction(s) responsible for the safety and security of the communities in which CI/KR sites are located. For additional information concerning BZPP grant award uses and restrictions, please refer to the program solicitation guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State's SAA is the only agency eligible to apply for BZPP grant funds and is responsible for obligating BZPP grant awards to the responsible jurisdiction(s) that have authority over the identified CI/KR sites. The term "responsible jurisdiction" as used in the BZPP program guidance and application kit, refers to the primary agency (i.e. State, local, or tribal entity or unit of government), that has authority over the DHS identified CI/KA facility, the facility's curtilage, adjacent grounds, and/or structures.

**Beneficiary Eligibility:**

State and local governmental jurisdiction(s) responsible for the CI/KR sites.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed as required by the State in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Funding is subject to reallocation each year, and may be consolidated with other programs.

**Formula and Matching Requirements:**

For more detailed information on the funding allocation formula and criteria please refer to the BZPP program solicitation guidance.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

FY 07 \$50,000,000; FY 08 \$50,000,000; FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please refer to the BZPP Program Guidelines and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grant Programs, 245 Murray Lane, Bldg. #410, Washington, DC 20523. The Centralized Scheduling and Information Desk (CSID) can be contacted at 1-800-368-6498, 8:00 a.m. - 7:00 p.m. (Eastern Time), Monday - Friday, or askcsid@dhs.gov.

**Web Site Address:**

<http://www.dhs.gov/xopnbiz/grants/index.shtm>

**RELATED PROGRAMS:**

97.008, Urban Areas Security Initiative; 97.073, State Homeland Security Program (SHSP); 97.074, Law Enforcement Terrorism Prevention Program (LETPP).

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.079 PUBLIC ALERT RADIOS FOR SCHOOLS**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act.

**OBJECTIVES:**

To disseminate public alerts and warnings by providing Public Alert Radios to eligible schools. Public alerts and warnings can be disseminated nationwide, regionally, or locally. This program will: a) expand delivery of public alert services to designated schools; and b) enhance and strengthen the capability of designated schools to provide alert and warning information directly to students and the public.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Property grants to provide Public Alert Radios to schools in designated geographic areas.

**Applicant Eligibility:**

Schools located in geographic locations identified by the Department of Homeland Security (DHS).

**Beneficiary Eligibility:**

Students (K-12).

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O.12372.

**Application Procedure:**

Public Alert Radios will be provided on the basis of available funding to the schools located in geographic locations identified by DHS.

**Award Procedure:**

Radios will be distributed to selected schools accompanied by a letter, and a brochure explaining the program's purpose and use of the radio. Recipients will be instructed to respond by e-mail to confirm receipt and acceptance of property, and to agree that the radios will be used to receive 'all hazards' public warnings.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Not applicable.

**Reports:**

Eligible schools who receive a public alert radio, will respond by e-mail to the administering program office, confirming receipt of the Public Alert Radio and acceptance for its intended use.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

70-5609-1-1-000.

**Obligations:**

FY 07 \$2,929,847; FY 08 est \$1,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane SW, Bldg. # 410, Washington, DC 20528.

**Web Site Address:**

[www.dhs.gov](http://www.dhs.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

DHS will determine the allocation of radios based on the funding and the schools located in the geographic areas designated by DHS, eligible to receive a public alert radio.

**97.080 INFORMATION ANALYSIS INFRASTRUCTURE PROTECTION (IAIP) PILOT PROJECTS**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Public Law 107-296, Department of Homeland Security Act.

**OBJECTIVES:**

To provide funding support to explore the feasibility and viability of commercially available protective measure technology to nonfederal entities, through pilot or demonstration projects.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Restricted to pilot or demonstration projects of commercially available protective measures technologies. Additional information concerning uses and restrictions is contained in the program guidance document or can be obtained from the administering program office identified in this announcement.

**Applicant Eligibility:**

Funds are restricted to State, local government, private, public, profit or non-profit organization, Indian Tribal government or individuals specified by DHS program or Appropriation Statute, or guidance.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS Appropriation Statute.

**Credentials/Documentation:**

To apply for IAIP Pilot Project/ demonstration project grant funds, applicants must submit an application as outlined in the program's guidance document or application kit. The scope and extent of information required from applicants may vary by specific project. For more detailed application requirements for IAIP pilot/demonstration projects, please refer to the pertinent program announcement or solicitation guidance document.

**Preapplication Coordination:**

Depending on the type of applicant, this program may be eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant who falls within the scope of this requirement should consult their State's designated Single Point of Contact (SPOC) for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. In most cases, applicants who may fall within the scope of this requirement will be units or sub-agencies and entities of State and local government.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Funding amounts and match requirements are specified in the program announcement and guidance document.

**Length and Time Phasing of Assistance:**

Will vary by project.

**Reports:**

Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A110. The frequency of the reports will be identified in the Terms and Conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5609-1-1-000.

**Obligations:**

FY 07 \$17,351,867; FY 08 est \$4,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

As specified in the program announcement.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants and Financial Assistance Division, Office of Procurement Operations,

Department of Homeland Security, 245 Murray Lane, Bldg 410, Washington, DC 20528; Telephone: (202) 447-5589.

**Web Site Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the program guidance document.

**97.081 LAW ENFORCEMENT TRAINING AND TECHNICAL ASSISTANCE****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act, 2004, Public Law 108-90, Title IV, 117 Stat. 1151, (codified at 6 U.S.C. 464d), and Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351; 82 Stat. 197 as amended, (codified at 42 U.S.C. 3771).

**OBJECTIVES:**

The Federal Law Enforcement Training Center's (FLETC's) primary objective is to provide training to Federal law enforcement agencies; however, advanced and specialized training is also provided to State, local, tribal, and campus law enforcement agencies. FLETC's programs provide participants with specific investigative skills and techniques in a wide variety of topical areas to improve law enforcement agencies' enforcement capabilities. Many of FLETC's advanced and specialized training programs are exported to select sites throughout the country. Additionally, FLETC provides technical assistance to agencies upon request.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services; Training.

**USES AND USE RESTRICTIONS:**

Appropriated funds for State and local law enforcement training and technical assistance are used to subsidize (either partially or wholly) the costs of State, local, campus, and tribal participants attending specialized or advanced training programs offered by FLETC; or, to provide technical assistance to those law enforcement agencies.

**Applicant Eligibility:**

Applicant Eligibility: State, local, tribal, and campus law enforcement; fire and emergency management specialists; prosecutors and attorneys; domestic violence advocates may also be eligible for participation. Applicants from private organizations must be sponsored by a law enforcement/public safety agency as described in this paragraph. To determine specific candidate eligibility and prerequisites for attendance, please refer to the contact and website information below.

**Beneficiary Eligibility:**

Trainees from State, local, tribal and campus law enforcement/public safety agencies in the United States and U.S. Territories.

**Credentials/Documentation:**

Varies by individual program. Restricted to sworn and non-sworn personnel from State, local, campus, and tribal law enforcement agencies; fire and emergency management specialists, prosecutors, and/or domestic violence advocates sponsored by a law enforcement agency or prosecutor's office.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application forms and contact information for specialized and advanced training programs are available via the web site listed below. Technical assistance requests from State, local, campus, and tribal agencies must be submitted, in writing, on the agency's official letterhead addressed to the Deputy Assistant Director, Office of State and Local Training, Federal Law Enforcement Training Center, at the address listed below.

**Award Procedure:**

Training allocations for attendees from State, local, campus, and tribal law enforcement agencies, will be distributed based upon availability of training slots, date of application, and/or geographic disbursement. A confirmation notice with details of the training will be provided via e-mail or letter, upon the applicant's acceptance into a training class. Requests for technical assistance will be considered on a case-by-case basis; approval is contingent upon the circumstance surrounding the request, funding availability, and FLETC resources.

**Deadlines:**

Varies by training program. Applicants are responsible for ascertaining and responding to the respective deadline(s) pertaining to the course for which they are applying. Applicants should contact FLETC either by e-mail or call the toll free number listed below, for application deadlines.

**Range of Approval/Disapproval Time:**

Registration requests for FLETC training programs are generally accepted or



denied within 30 - 60 days prior to the training program start date.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Training and technical assistance is available for up to a 12-month period beginning October 1 - September 30.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

70-0509-0-1-751.

**Obligations:**

(Travel, Support, Materials and Services) FY 07 \$1,155,000; FY 08 est \$1,155,000; and FY 09 est \$1,155,000.

**Range and Average of Financial Assistance:**

Assistance will vary depending upon the scope and objectives of each training program or technical assistance provided. Financial assistance may be provided to eligible student trainees, on a case-by-case basis, to wholly or partially offset the cost of attending training. The most common form of financial assistance is a subsidy to reduce, or in some cases eliminate, the attendee's tuition cost.

**PROGRAM ACCOMPLISHMENTS:**

Each year FLETC delivers basic, advanced and specialized training to Federal law enforcement agencies at primary and field training facilities, as well as annually trains approximately 3000 State, local, tribal and campus law enforcement officers in the U.S. Many of these programs are offered at subsidized or no cost. Additionally, technical assistance such as: curriculum development/review; evaluation site visits to State and local law enforcement agencies, and law enforcement training academies, are provided upon request.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training program descriptions and related literature are available by contacting FLETC at the address listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Law Enforcement Training Center, Office of State and Local Training, 1131 Chapel Crossing Road, Townhouse 393, Glynco, GA 31524. Toll Free Telephone: (1-800) 74FLETC; Fax: (912) 267-2894; or E-mail: stateandlocaltraining@dhs.gov.

**Web Site Address:**

www.fletc.gov/osl.

**RELATED PROGRAMS:**

16.737, Gang Resistance Education and Training.

**EXAMPLES OF FUNDED PROJECTS:**

Advanced and specialized law enforcement training and technical assistance. FLETC delivers basic, advanced and specialized training at its headquarters facility in Glynco, Georgia, and field training facilities at other locations in the U.S. Training classes on: domestic violence, drug enforcement, first responder, domestic terrorism, intelligence analyst and awareness, driver and marine operators courses, forensic computer evidence recovery, etc. are provided to qualified student trainees. FLETC also provides technical assistance/expertise on law enforcement training and curriculum development to State, local, campus, and tribal law enforcement agencies.

**CRITERIA FOR SELECTING PROPOSALS:**

Training allocations for applicants from State, local, campus, and tribal law enforcement agencies, are contingent upon available student training slots, date of application, and/or geographic disbursement. Applicants must meet all eligibility requirements pertaining to the specific training program for which they are applying. FLETC will review the circumstances and scope of technical assistance requests on a case-by case basis; approval is contingent upon available funding and FLETC resources.

**97.082 EARTHQUAKE CONSORTIUM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Earthquake Hazards Reduction Act of 1977, as amended.

**OBJECTIVES:**

The Earthquake Hazards Reduction Act of 1977, as amended, directs the Federal Emergency Management Agency (FEMA) to operate a program of grants and assistance to enable States to develop mitigation, preparedness and response plans, prepare inventories and conduct seismic safety inspection of critical structures and lifelines, update building and zoning codes and ordinances to enhance seismic safety, increase earthquake awareness and education, and

encourage the development of multi-State groups for such purposes.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

This program is non-competitive and restricted to certain specialized/qualified organizations designated by (FEMA). Project grants (cooperative agreements) enable the consortia to engage in earthquake mitigation activities.

**Applicant Eligibility:**

Nonprofit Organizations designated by FEMA. The program is currently restricted to the following entities and organizations: Central US Earthquake Consortium, Western States Seismic Policy Council, Northeast States Emergency Consortium, and Cascadia Region Earthquake Workgroup.

**Beneficiary Eligibility:**

States, locals, tribes, U.S. Territories, and general public.

**Credentials/Documentation:**

See 44 CFR, Part 13 for requirements. This program must follow requirements included in OMB Circulars A-110 and A-122.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Cooperative agreements may be renewed annually, but will be awarded as new cooperative agreements.

**Formula and Matching Requirements:**

This program has no matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Cooperative Agreements) FY 07 \$925,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

These consortia contribute to FEMA's mitigation goals of reducing deaths, injuries, damage to property and economic losses resulting from earthquakes. They work directly with public, private, professional, and research agencies and organizations that ultimately implement earthquake risk reduction programs (e.g., building code administrators, urban planners, elected officials, utility professionals, etc.). The consortium serves as a bridge between the Federal NEHRP agencies, and the organizations and individuals at the State and local

level that translate policies into practice.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR, Part 361, National Earthquake Hazards Reduction Assistance to State and Local Governments and annual memorandum guidance issued by the FEMA Federal Insurance and Mitigation Directorate.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane SW, Bldg 410 Washington DC, 20528.

**Web Site Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

These multi-State groups have delivered education and training to community and State officials to develop seismic policies and share information to promote programs intended to reduce earthquake-related losses; and reduce the risk of loss of life, injuries, property losses and social and economic disruption that result from all hazards.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.083 STAFFING FOR ADEQUATE FIRE AND EMERGENCY RESPONSE (SAFER)**

(SAFER ACT)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

15 U.S.C. 2229a, FY 2005 Homeland Security Appropriation Act.

**OBJECTIVES:**

To increase the number of firefighters in local communities and to help them meet industry minimum standards and attain 24/7 staffing for adequate protection against fire and fire-related hazards, and fulfill related roles associated with fire departments.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Not all fire departments will be eligible to apply. Training, equipment, overtime, and administrative expenses are not eligible. Individuals seeking personal assistance are not eligible. This program is intended to assist fire departments and recognized organizations as identified in the program guidance document and application package; and only those fire departments and organizations as specified in the program guidance, are eligible. Funds may be used to recruit, hire, and retain firefighters, but cannot supplant (replace) the applicants funds budgeted for that purpose. Recipients of funds for hiring of new firefighters must commit to maintaining their pre-existing (pre-grant) staffing level, and retaining personnel hired with grant funds, for at least one (1) year beyond the end of the four (4)-year grant period. Thus, recipients must maintain pre-existing staffing levels and retain grant funded personnel throughout the five year period of performance. Grant funds are provided on a sliding scale, recipients must initially match 10% of the Federal share the first year. Recipient match increases by certain percentages in the second, third, and fourth years, culminating in 100% of personnel costs (per position), in the fifth year and beyond. Refer to the program guidance for further information.

**Applicant Eligibility:**

This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Beneficiary Eligibility:**

Local or tribal communities serviced by the fire department including, local businesses, homeowners and property owners.

**Credentials/Documentation:**

Applicant must certify that they are an eligible applicant, i.e., a fire department, as described in the program guidance. Refer to program guidance document for specific information.

**Preapplication Coordination:**

Depending on the type of applicant, this program may or may not be excluded from E.O. 12372 ("Intergovernmental Review of Federal Programs").

Applicants should consult the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed and subsequently also reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Applicants that receive an adverse decision or denial, can request reconsideration of the decision. Request for reconsideration must be submitted in writing, to the address contained on the program's website within 30 days of the notification of denial by the administering program office.

**Renewals:**

None.

**Formula and Matching Requirements:**

Any hiring grant made under this program has a match requirement. Refer to program guidance document for hiring grant match percentages in the first through and including the fifth year; recipient's match percentages increase each year. The recruitment and retention grants do not have any local match requirements. Refer to program guidance document for specific information.

**Length and Time Phasing of Assistance:**

The hiring grants have a five-year performance period. The recruitment and retention grants are made in one-year increments up to a possible four-year period of performance. Refer to program guidance for further details. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. The quarters are designated to be the three-month increments from the award date. Reports are due within 30 days after the end of each quarter. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

Grants) FY 07 \$95,794,097; FY 08 est. \$180,500,000; and FY 09 est. not available.

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Since the authorization of SAFER grants at the start of FY 2005, the hiring of over 2,300 firefighters has been supported under the first three years of grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S.C. 2201 et seq.; Fire Prevention and Control Act of 1974.

**Regional or Local Office:**

SAFER grants are directed from the FEMA Headquarters Office. There are 10 regional offices in FEMA.

**Headquarters Office:**

Department of Homeland Security, FEMA, C/O 245 Murray Lane - Bldg. #410, Washington, DC 20523. E-mail: firegrants@dhs.gov. Telephone: (866) 274-0960.

**Web Site Address:**

<http://www.firegrantsupport.com/safer>.

**RELATED PROGRAMS:**

15.031, Indian Community Fire Protection; 15.228, National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018, National Fire Academy Training Assistance; 83.542, Fire Suppression Assistance; 97.038, First Responder Counter-Terrorism Training Assistance; 97.043, State Fire Training Systems Grants.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.084 HURRICANE KATRINA CASE MANAGEMENT INITIATIVE PROGRAM

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, as amended, Title 1, Sec. 102; Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by Public Law 106-390, including Sec. 701(b); Title 44 Code of Federal Regulations; Department of Homeland Security Delegation Number 9002.

**OBJECTIVES:**

To provide case management services for displaced persons from Presidentially-declared disaster areas affected by Hurricane Katrina.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

This award is designated for a private, nonprofit organization (NPO) which meets FEMA's national programmatic criteria to act as a lead agency for 6-12 designated private nonprofit organizations, to provide leadership and management of a National Case Management Consortium (NCMC). This consortium will provide case management services to the affected population from Presidentially declared disaster areas affected by Hurricane Katrina.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Only the national-scope private nonprofit organization designated by FEMA to manage the NCMC is eligible.

**Beneficiary Eligibility:**

Displaced persons from Presidentially-declared disaster areas affected by Hurricane Katrina.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

FEMA will accept an application from the designated Private Nonprofit Organization to fund and establish a National Case Management Consortium (NCMC) with execution of FEMA Form 20-16 and a grant proposal.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Grant) FY 07 \$0, FY 08 \$0; and FY 09 \$0. This CFDA will remain open until closeout of all grants.

**Range and Average of Financial Assistance:**

\$66,000,000.

**PROGRAM ACCOMPLISHMENTS:**

New program. It is anticipated that recovery efforts for Hurricane Katrina survivors will be expedited by 1) use of case-management trained personnel to provide long-term recovery assistance; 2) use of proper techniques to ensure that lapses in services do not occur; 3) avoidance of duplication of benefits for survivors; and 4) identification of the neediest survivors for assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

The Department of Homeland Security, 245 Murray Lane - Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

## 97.085 9/11 HEROES STAMP PROGRAM

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

The 9/11 Heroes Stamp Act of 2001, Section 652 of Public Law 107-67, 115 Stat. 514; 42 U.S.C. 2218(b)(5), 5 U.S.C. 301, 6 U.S.C. 112(a)(3) & (b)(1), 44 CFR Part 153.

**OBJECTIVES:**

Provide assistance, derived from proceeds of the Hero postal stamp sales, to the personal representatives of emergency relief personnel killed or those physically permanently disabled while serving in the line of duty in connection with the terrorist attacks against the United States on September 11, 2001.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use.

**USES AND USE RESTRICTIONS:**

Restricted to the personal representatives of eligible claimants who were killed or claimants that were permanently physically disabled while serving in the line of duty in connection with the terrorist attacks against the United States on September 11, 2001. The Federal Emergency Management Agency (FEMA) will equally distribute assistance awards among all eligible claimants until the programs funds have been liquidated.

**Applicant Eligibility:**

Restricted to specialized group involved in a specific incident. Individuals eligible to submit a claim for assistance under the 9/11 Heroes Stamp Act of 2001 (the Act) are personal representatives of those emergency relief personnel who, while acting in their official capacity were killed; or those who were permanently physically disabled in the line of duty while serving at the World Trade Center, Pentagon, or Shanksville, Pennsylvania site in connection with the September 11, 2001 terrorist attacks against the United States. Refer to interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits forms for specific details pertaining to program eligibility requirements.

**Beneficiary Eligibility:**

Only personal representatives of emergency relief personnel killed, or emergency relief personnel permanently physically disabled, while serving in the line of duty in connection with the terrorist attacks against the United States on September 11, 2001, are eligible.

**Credentials/Documentation:**

None.



**Preapplication Coordination:**

There is no preapplication form required under this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications submitted by facsimile or e-mail will not be accepted. Only eligible claimants may apply and only one application for each claimant may be submitted. An application must be submitted on the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form (FEMA Form 75-14, OMB No. 1660-0091). Refer to the interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form for specific information about the application process and supporting documents which must accompany the application. The application may be downloaded from the following website: <http://www.usfa.fema.gov>. FEMA will review applications to determine eligibility and will furnish each applicant with a copy of the decision pertaining to their application. Application forms and supporting documents must be sent to Heroes Stamp, USFA, NETC, 16825 South Seton Avenue, Emmitsburg, MD 21727. An application is deemed filed on the date it is received by FEMA.

**Award Procedure:**

FEMA will not distribute funds until FEMA has made eligibility determinations on all applications. FEMA retains sole discretion as to the amount of assistance granted under the Act and will distribute funds equally, to the extent feasible, among eligible claimants until the fund has been liquidated. FEMA will not differentiate award amounts between eligible claimants who were killed, or those who were permanently physically disabled. Additional information concerning the award procedure can be obtained from the interim final rule, see 70 FR 43214, July 26, 2005.

**Deadlines:**

The application period will be open for 120 days from the date the notice is published in the Federal Register. For information pertaining to application deadlines contact: Heroes Stamp, USFA, NETC, 16825 South Seton Avenue, Emmitsburg, MD 21727; Telephone: (866) 887-9107, or email FEMA-HeroesStamp@dhs.gov.

**Range of Approval/Disapproval Time:**

Will vary with each application.

**Appeals:**

An applicant may appeal an adverse eligibility determination by FEMA. Facsimile or e-mail submissions will not be accepted; appeals and supporting documentation must be submitted by mail. There is a 15 day window for filing the notice of intent to appeal and a 60-day window for filing the actual appeal. Refer to the interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form for further information. FEMA's decision concerning an award amount is final; award amounts are excluded from the appeal process and cannot be contested.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

FEMA will not distribute funds until an eligibility determination has been made on all applications. FEMA will distribute funds equally, to the extent feasible, among eligible claimants until the fund has been liquidated with no distinction in the award amount between eligible claimants who were killed or those who were permanently physically disabled. FEMA may make additional distribution to eligible claimants once all appeals have been settled.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

FY 07 \$0; FY 08 est not available; FY 09 est not available.

**Range and Average of Financial Assistance:**

Approximately \$10,000 for each eligible claimant. Final amounts to be paid can be ascertained only after the total number of eligible claims has been determined.

**PROGRAM ACCOMPLISHMENTS:**

New program. It is anticipated that the funds derived from the sales of Hero semipostal stamps will be awarded to the personal representatives of the emergency relief personnel killed or those permanently physically disabled in the line of duty, as a result of the September 11, 2001 terrorist attacks against the United States, at the World Trade Center, the Pentagon, or Shanksville, Pennsylvania.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 652 of Public Law 107-67, 115 Stat. 514; 42 U.S.C. 2218(b)(5), 5 U.S.C. 301, 6 U.S.C. 112(a)(3) & (b)(1), 44 CFR Part 153.

**Regional or Local Office:**

None.

**Headquarters Office:**

Hero Stamp Program, USFA, NETC, 16825 South Seton Avenue, Emmitsburg, MD 21727. Telephone: (866) 887-9107, or send email to FEMA-HeroesStamp@dhs.gov.

**Web Site Address:**

[www.usfa.fema.gov](http://www.usfa.fema.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

USFA/FEMA will review the submitted applications and supporting documentation to ensure eligibility requirements have been met. Information concerning an applicant's eligibility, application process, and selection criteria, has been partially summarized in this CFDA program description. Complete, detailed, information may be found in the interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form.

**97.086 HOMELAND SECURITY OUTREACH, EDUCATION, AND TECHNICAL ASSISTANCE****FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C. 101 et. seq.

**OBJECTIVES:**

To provide funding for outreach, education, and technical assistance in order to raise public awareness of homeland security issues and to work with communities to help them forge partnerships across agencies and disciplines to address preparedness and response. Outreach and technical assistance may take several forms, such as the provision of written information, person-to-person exchange, seminars, workshops or training sessions.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions.

**Applicant Eligibility:**

In general, States, local governments, institutions of high education, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance.

**Preapplication Coordination:**

The applicant is notified of funding availability through letter, electronic mail communication, or electronic posting on [www.Grants.gov](http://www.Grants.gov). The applicant will be advised on how to apply for the funding through the funding opportunity announcement and program guidance. The funding opportunity announcement will identify if the program is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs."

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

"Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the funding opportunity announcement.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management

Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$2,345,746; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Marilyn Morgan, Director, Grants and Financial Assistance Division, Office of Procurement Operations, Office of the Chief Procurement Officer. Telephone: (202) 447-5689.

**Web Site Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.087 ALTERNATIVE HOUSING PILOT PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, Public Law 109-234.

**OBJECTIVES:**

Evaluate the efficacy of non-traditional short and intermediate-term housing alternatives for potential future use in a catastrophic disaster environment. Identify, develop and evaluate alternatives to and alternative forms of FEMA Disaster Housing to assist victims of the 2005 hurricanes in the Gulf Coast. Consider the feasibility of these options as part of the standard package of housing assistance that could be made available by Federal government agencies or State agencies for other disasters of various sizes, locations and impacts. Assure that pilot projects address the needs of a variety of populations, such as persons with disabilities and the elderly, historically underserved populations as well as renters, homeowners, single-family dwelling occupants and multi-family dwelling occupants.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Program restricted to the State agency designated by the governor to apply and

administer funds. The Alternative Housing Pilot Program funds will be used to fund pilot housing projects in the Gulf Coast Region. Projects funded by this pilot program, should be alternatives to and alternative forms of FEMA Disaster Housing projects.

**Applicant Eligibility:**

Restricted to eligible States from the Gulf Coast States affected by Hurricane Katrina (Alabama, Florida, Louisiana, Mississippi, and Texas). Refer to program guidance document for additional information.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Section 102 (2) (C) of the National Environmental Policy Act of 1969, Public Law 91-190, 42 U.S.C. 4332 (2) (C), Executive Order 11514 (34 FR 4247) of March 4, 1970, 44 CFR part 9, Floodplain Management and Protection of Wetlands, 44 CFR part 10, Environmental Considerations, the National Historic Preservation Act, and Executive Order 11988 requires environmental and historic preservation impact statements to be prepared for certain projects funded under various Federal programs as a prerequisite to a grant/project award. In the event construction is anticipated as one of the project activities, an environmental and historic preservation impact statement or assessment may be required. This program may or may not be eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

At its discretion, FEMA may review a decision regarding a proposal that does not meet the Alternative Housing Pilot program's requirements only where there is an indication of material, technical, or procedural error that may have influenced FEMA's decision. Refer to program guidance for further information.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. In addition, the Department of Housing and Urban Development (HUD) will be conducting an evaluation of the alternative housing pilot projects. Applicants should respond to reporting requests from HUD and anticipate a requirement for reporting costs, production, installation, location, resident information, and community information as part of these reports.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support

the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453 .

**Obligations:**

(Grants) FY 07 \$388,000,000; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

Department of Homeland Security, Federal Emergency Management Agency, Gulf Coast Recovery Office (3rd Floor), 1 Seine Court, Suite 109, New Orleans, LA 70114.

**Headquarters Office:**

U.S. Department of Homeland Security, 245 Murray Lane SW., Bldg 410 Washington, DC 20258.

**Web Site Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

97.048, Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas; 97.049, Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.088 DISASTER ASSISTANCE PROJECTS

(Earmarked Projects or Limited Scope Disaster Projects.  
Restricted to entities designated by DHS or congressional statute.)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act, Public Law 107-296 as amended by Public Law 108-7; Robert T. Stafford Disaster Relief and Emergency Assistance Act; Public Health Bioterrorism and Public Health Emergencies Act of 2002, Public Law 107-188; various authorization and Appropriation bills that list project funding to provide assistance for earmarked or special projects.

**OBJECTIVES:**

This category is not for unsolicited proposals. Provides funding that has been designated by Congressionally appropriated authorization, generally for a specified project, or to provide unique or limited scope funding for certain Disaster Assistance Projects identified by congress or a DHS program office.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified in DHS Appropriation Statute.

**Applicant Eligibility:**

Funds are restricted to nonfederal entities, e.g. State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS or U.S. Appropriation Statute.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by U.S. Appropriation Statute.

**Credentials/Documentation:**

Credentials or other documentation may be required by the U.S. Appropriation Statute or other statute by project.

**Preapplication Coordination:**

The applicant is notified of funding availability through letter or electronic mail communication. The applicant will be advised on how to apply for the funding through this notification. This program may be excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (SF 424, budget, program or project narrative and assurances) or plan must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified by the U.S. Appropriation Statute.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant and award processed.

**Deadlines:**

Application deadlines are specified in the notification of funds availability submitted to recipient of funds.

**Range of Approval/Disapproval Time:**

The range of approval time depends on the type of project to be funded.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Funding amounts and match requirements are specified in the program guidance document.

**Length and Time Phasing of Assistance:**

Mandated in the appropriation or identified in the application or plan submission.

**Reports:**

Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A-110. The frequency of the reports will be identified in the "Terms and Conditions" of the award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for three years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

To be determined from the program office awarding the grant or cooperative agreement.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Each "earmark" or project funding is designated by the appropriation statute or identified by the program office.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with Stat, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Varies by project, or the objective(s) stated within the congressional funding designation. For example, earmark funding was used to assist New York City in the recovery from the 9/11/2001 Terrorist Attack.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

## 97.089 REAL ID PROGRAM

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act, Public Law 107-296; and Real ID Act, Public Law 109-13.

**OBJECTIVES:**

This program will provide funding for projects on integrating hardware, software, and information management systems to implement the REAL ID Act.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Restricted to State/U.S. Territorial agencies that are responsible for issuing driver's licenses. Funds may be used in accordance with uses defined in the program guidance document/application kit. Allowable funding categories



include: planning and equipment.

**Applicant Eligibility:**

The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Real ID Grant funds.

**Beneficiary Eligibility:**

State, U.S. Territory and local governments, intrastate, interstate, small business, general public, other public institution/organizations.

**Credentials/Documentation:**

If required, will be identified in the program guidance/solicitation.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Unsolicited applications from entities other than those listed in the "Applicant Eligibility" above, will not be accepted. Eligible applicants must apply on-line using Grants.gov. The REAL ID Grant Program application process will require: Narrative to include a description of current resource management capabilities to develop, implement, and manage the programmatic requirements associated with REAL ID funding; a proposed work plan; a budget and budget narrative addressing REAL ID project related costs and expenses. Applications submitted online must contain information and meet the requirements outlined in the Real ID solicitation and program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Application deadlines will be specified in the solicitation.

**Range of Approval/Disapproval Time:**

The program and administrative office will evaluate applications and award funds within 60 days of receipt of applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

The period of performance for Real ID Grants is 12 months.

**Reports:**

Progress Reports are due semi-annually within 30 days after the end of the reporting periods. Reports are due: July 30 and January 30. The Final Progress Report is due 90 days after the expiration date of the award period. These reports should consist of a brief narrative discussing achievements to date, and progress towards annual goals, and any issues which may need to be addressed. Required Financial Status Reports (SF 269A) are due quarterly after the end of the reporting period. Reports are due: April 30, July 30, October 30, and January 30. The Final Financial Report is due 90 days after the expiration date of the award period.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency no later than 9 months after the end of the grantees fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least 3 years after the grant has been closed or until an audit has been conducted that does not show any questionable costs.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

FY 07 \$31,300,000; FY 08 est \$50,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Will be identified in the solicitation/program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None. This is a new program and it is anticipated that recipients will demonstrate viable projects related to integrating hardware, software, and information management systems to assist with the implementation of the national standards for drivers' licenses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local

Governments, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, FEMA, C/O 245 Murray Lane, Bldg # 410, Washington, DC 20523. The Centralized Scheduling and Information Desk (CSID) can be contacted at 1-800-368-6498 or askcsid@dhs.gov. CSID hours: 8:00 a.m. to 7:00 p.m. (EST), Monday - Friday.

**Web Site Address:**

http://www.fema.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be identified in the solicitation/program guidance.

**97.090 LAW ENFORCEMENT OFFICER REIMBURSEMENT AGREEMENT PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

6 U.S.C. 203; 49 U.S.C. 106(m) and 114(m); 49 U.S.C. 114(g), 44901(g), 44903(e) and 44922(f).

**OBJECTIVES:**

To support deployment of local law enforcement officers at airport screening checkpoints in accordance with C.F.R. 1542.215 and 217.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Restricted to state, local, or other public institution/organizations responsible for commercial airport operations within their jurisdiction. Airports are partially reimbursed for the costs of local law enforcement officers deployed to airport passenger screening checkpoints. Refer to program guidance document or contact the administering program office for specific information.

**Applicant Eligibility:**

State, local, or other public institution/organizations responsible for commercial airport operations within their jurisdiction, as specified in U.S. statute or TSA program guidance document and regulations.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

The airport operator contacts the Federal Security Director (FSD) responsible for their airport to request a cooperative agreement. The FSD gathers information from the airport, and local law enforcement agencies, regarding passenger checkpoint staffing, flexible response time, checkpoint hours, number and size of checkpoints, current hourly rate of officers, existing resources, and other factors that could help determine the need for financial assistance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no matching requirements. However, reimbursement to airports for local law enforcement services is based on guidelines and factors specified in the appropriation or authorizing statute and TSA regulations. Contact the administering TSA program office for specific information.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-402.

**Obligations:**

FY 07 \$66,216,332; FY 08 est \$65,027,814; and FY 09 est 65,027,814.

**Range and Average of Financial Assistance:**

Varies by airport and checkpoint operation hours, geographical location, and other factors.

**PROGRAM ACCOMPLISHMENTS:**

More than 350 agreements have been executed with U.S. commercial airports to support deployment of local law enforcement officers to passenger screening checkpoints.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative Agreement, Standard Operating Practices and Procedures, Applicable TSA Security Directives/Emergency Amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Transportation Security Administration, LEO RA Program Manager, TSA-18 E-8 206S, 601 S. 12th Street, Arlington, VA 22203. Telephone: (571) 227-1532.

**Web Site Address:**

www.tsa.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.091 HOMELAND SECURITY BIOWATCH PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, Title 6, U.S.C. Section 308(b)(1)(c).

**OBJECTIVES:**

To provide funding and/or property for the conduct of operations and other related activities intended to identify, counter, or respond to biological and chemical threats.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Use of Property, Facilities, and Equipment; Sale, Exchange, or Donation of Property and Goods; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement, program guidance, and award provisions.

**Applicant Eligibility:**

Generally, State and local governments or as specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

An application (SF-424, Budget, program or project narrative and assurances) must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified through the

announcement.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Application deadlines are specified in the announcement of funds availability.

**Range of Approval/Disapproval Time:**

The range of approval depends on the type of project to be funded.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Match requirements, if any, are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement.

**Length and Time Phasing of Assistance:**

Specified in the funding opportunity announcement.

**Reports:**

Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A-110. The frequency of the reports will be identified in the "Terms and Conditions" of the award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for 3 years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$14,819,275; FY 08 est \$21,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Specified in the announcement.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

CDR Dan Yereb, Early Detection Division, Office of Health Affairs Department of Homeland Security, Telephone: (202) 254-6712.

**Web Site Address:**

www.dhs.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the funding opportunity announcement or program guidance.

**97.092 REPETITIVE FLOOD CLAIMS**

(RFC)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

National Flood Insurance Act of 1968, as amended. Bunning - Bereuter - Blumenauer Flood Insurance Reform Act of 2004, Title I, Section 104, Public Law 108-264.

**OBJECTIVES:**

To assist States, Indian tribal governments, and communities to reduce or eliminate the long - term risk of flood damage to structures insured under the National Flood Insurance Program (NFIP) that have had one or more claims for flood damages through mitigation activities that are in the best interest of the

National Flood Insurance Fund (NFIF).

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

States, Indian tribal governments, and communities may apply for RFC project grants for activities that reduce or eliminate the long - term risk of flood damage to structures, insured under the National Flood Insurance Program (NFIP), that have had one or more claims for flood damages. This may include the acquisition of insured structures for the purpose of converting flood-prone land back to open space use; elevation of existing structures; dry floodproofing; and minor localized flood reduction projects.

**Applicant Eligibility:**

State emergency management agencies or a similar office (i.e., the office that has primary emergency management or floodplain management responsibility) of the State; the District of Columbia; the U.S. Virgin Islands; the Commonwealth of Puerto Rico; American Samoa; the Commonwealth of the Northern Mariana Islands; and Federally - recognized Indian tribal governments. Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided on the SRL program guidance.

**Beneficiary Eligibility:**

States, communities, and land/property owners.

**Credentials/Documentation:**

Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

FY 07 \$6,807,540; FY 08 \$10,000,000 and FY 09 est \$10,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

In the prior fiscal years the program has funded more than \$19 million in mitigation projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane Building #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.029, Flood Mitigation Assistance; 97.017, Pre-Disaster Mitigation (PDM) Competitive Grants; 97.039, Hazard Mitigation Grant.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.093 FIRE SERVICE HAZARDOUS MATERIALS PREPAREDNESS AND RESPONSE**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, as amended, and various appropriation bills.

**OBJECTIVES:**

Provide information to the fire and emergency services community, emergency managers, and other local government officials concerning issues related to the planning, mitigation, prevention, and response to hazardous materials incidents which includes acts of terrorism.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Restricted to recipient designated by Congressional Statute or DHS, and limited in scope to the project description for the purpose of information sharing related to Hazardous Materials and acts of terrorism. Refer to project description or administering program office for specific information. Unsolicited applications for this program will not be accepted.

**Applicant Eligibility:**

Designated Private nonprofit institution/organization.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for grant extensions must be adequately justified, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the U.S. Fire Administration program office.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports.



Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

FY 07 \$50,000; FY 08 est \$50,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

A clearinghouse of information is maintained by the designated non-profit organization regarding hazardous materials (HAZMAT)/terrorism preparedness and response issues. This information is provided to local first responders to support and assist in planning, training, exercises, and sustaining emergency response capabilities. A Homeland Protection & Security Weekly publication, detailing HAZMAT and Terrorism-related incidents and information is distributed to fire/emergency services, local officials, Federal and state agencies, and the public. Support is also provided to defray participant's attendance costs to Hazardous Materials Conferences.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, SW., Bldg. #410  
Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.094 PREVENTION ADVOCACY RESOURCES AND DATA EXCHANGE PROGRAM**

(PARADE)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; the Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 (a)(b).

**OBJECTIVES:**

To assist State and local fire marshals to implement prevention programs and conduct other networking activities with their counterparts. Provide financial assistance to the Prevention Advocacy Resources and Data Exchange (PARADE) regional networks to support exchange and sharing of fire

prevention/protection related materials, risk analysis, hazard reduction, best practices, trend analysis, and related information.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Restricted to the 10 PARADE Regions to support the exchange and sharing of fire prevention/protection materials and information. Refer to program guidance document or administering program office for specific information.

**Applicant Eligibility:**

A State or metropolitan fire department fire marshal or appointed International Fire Marshal's Association (IFMA) representative in each of the regions served by the program.

**Beneficiary Eligibility:**

State and local; general public.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for extension to the grant award must be supported by adequate justification, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the U.S. Fire Administration Program Office.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

FY 07 \$27,000; FY 08 est \$30,000; and FY 09 est \$30,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Anticipate 10 grants will be issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education,

Hospitals, and Other Nonprofit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security 245 Murray Drive SW, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals. Only a single proposal from each of the 10 regions will be accepted for review.

## 97.095 SAFE KIDS WORLDWIDE

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, as amended, and various appropriation bills.

**OBJECTIVES:**

Provide financial assistance to reduce fire deaths and injuries among children under the age 14 by educating them in fire safety awareness, fire safety techniques, and providing fire safety equipment.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are used to support local coalitions and their high-risk communities and to develop fire and burn education and prevention materials targeting high-risk populations.

**Applicant Eligibility:**

Qualified nonprofit organization designated by DHS, statutes, and regulations. Unsolicited applications will not be accepted.

**Beneficiary Eligibility:**

Individual/family; minority group.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year.

Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

FY 07 \$200,000; FY 08 est \$200,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Annual leadership conference is held for participating coalitions to showcase/demonstrate skill building tools relating to the fire prevention/awareness program. Web site, media guides, and related fire safety materials are continuously refined and updated. Through partnership with local coalitions and fire departments, smoke alarms are provided to high-risk populations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, SW., Bldg. #410 Washington, DC 20528.

**Web Site Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.096 COMMERCIAL EQUIPMENT DIRECT ASSISTANCE PROGRAM (CEDAP)

(CEDAP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Public Law 108-334, Department of Homeland Security Appropriations Act, 2005.

**OBJECTIVES:**

To enhance regional response capabilities, mutual aid, and interoperable communications by providing technology and equipment, together with training and technical assistance required to operate that equipment, to public safety agencies in smaller jurisdictions and certain metropolitan areas to prevent, deter, and respond to terrorist attacks as identified in State homeland security strategies.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Restricted to public and non-profit emergency response agencies in State, Local, tribal, and U.S. Territory possessions in smaller rural communities and jurisdictions that have not received technology funding through the Urban Area Security Initiative (UASI), or Assistance to Firefighter Grants (AFG) after October 1, 2005. Awardees that have received grant assistance from FEMA under FEMA's Interoperable Communications Equipment (ICE) program are not eligible for interoperable communications equipment under CEDAP.

**Applicant Eligibility:**

Law enforcement agencies, fire, and other emergency responders who demonstrate the equipment will be used to improve their ability and capacity to

respond to a major critical incident or work with other first responders. Awardees must not have received technology funding under the Urban Areas Security Initiative, or the Assistance to Firefighters Grants program since October 1, 2005. Awardees that have received grant assistance from FEMA under FEMA's Interoperable Communications Equipment (ICE) program are not eligible for interoperable communications equipment under CEDAP.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-754.

**Obligations:**

FY 07 \$38,650,960; FY 08 est. \$40,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Since its inception in FY 05, and including the FY07 awards, the Department of Homeland Security has awarded over \$104 million in equipment and training to law enforcement and fire departments through CEDAP. The program is highly competitive. In FY 07, over 3,700 organizations requested roughly \$58 million. Of those requests, only 1,853 awards were made to allocation the \$34.3 million of the available funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance and the CEDAP program at [www.rkb.mipt.org](http://www.rkb.mipt.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Bldg. #410, Washington, DC 20528.

**Web Site Address:**

[www.rkb.mipt.org](http://www.rkb.mipt.org).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.097 TRAINING RESOURCE AND DATA EXCHANGE (TRADE)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127, 44FR 19367, 3 CFR, 1979 Comp. P. 376; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 (a and b).

**OBJECTIVES:**

Support the national exchange and sharing of fire/emergency service training related materials and information.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Grant funds are to be used within the TRADE regions to support the exchange and sharing of training related materials and information. Refer to program guidance document or administering program office for specific information.

**Applicant Eligibility:**

Specialized group; TRADE network participants consisting of the directors of the 50 State fire service training systems and senior executive training officers from the Nation's largest fire departments.

**Beneficiary Eligibility:**

State and local; general public.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular A-102.

**Application Procedure:**

Application packets provided to specialized group contacts must meet OMB Circular A-110: (Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher, Educations, Hospitals and Other Non-Profit Organization) and OMB Circular A-122: (Cost Principles for Non-Profit Organizations), and Standard Forms 424: (Application for Federal Assistance), and 424A: (Budget Information: Non-Construction Programs), and 424B: (Assurances Non-Construction). In addition, the following forms must be completed; SF119A: (Direct deposit sign-up form); and SF 269A: (Financial Status Report); and Standard Form 270: (Request for Advance or Reimbursement); and Standard Form 272: (Federal Cash Transactions Report); and FEMA form 20-16A: (Assurances for Non-Constructions Program); FEMA form 20-16C: (Certifications regarding Lobbying, Debarment, Suspension and Other Responsibility Matters).

**Award Procedure:**

One grant will be issued to each of the TRADE Regions.

**Deadlines:**

Refer to program guidance.

**Range of Approval/Disapproval Time:**

Refer to program guidance.

**Appeals:**

None.

**Renewals:**

Not Applicable. Requests for extensions to the grant award must be supported by adequate justification, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the U.S. Fire Administration program office.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

12 months from the date of award.

**Reports:**

Recipient organizations must provide semi-annual reports to the Project Officer on all activities associated with this grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have an audit made for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards is exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

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

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Grants) FY 07 \$93,000; FY 08 est \$93,000; and FY 09 est \$93,000.

**Range and Average of Financial Assistance:**



\$5,340 to \$17,255 per Region.

**PROGRAM ACCOMPLISHMENTS:**

Various regional training classes and seminars have been sponsored for fire/emergency service personnel within each of the TRADE regions. This program supports a national conference as well as development of regional training catalogues and materials, and non-copyrighted fire-service-related information sharing activities which includes the virtual TRADING Post and TRADENET system.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Fund Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMC Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security; 245 Murray Drive, SW., Bldg. #410, Washington, DC 20528.

**Web Site Address:**

<http://www.usfa.fema.gov/training/nfa/trade/>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in program guidance.

**97.098 DISASTER DONATIONS MANAGEMENT PROGRAM**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

The Homeland Security Act of 2002, 6 U.S.C. 111 et seq., as amended; Federal Grant and Cooperative Act, as amended, 41 U.S.C. 501 et seq.; Federal Program Information Act, 31 U.S.C. 6101-6104; and Federal Financial Assistance Management Improvement Act of 1999, Public Law 106-107, 113 Stat. 1486, see 31 U.S.C. 6101.

**OBJECTIVES:**

To distribute technology solutions to State and local government and voluntary agencies throughout the country prior, to a major event, through the Aidmatrix Foundation/FEMA partnership. This will allow end-users to incorporate technology solutions into their planning, increasing their capacity to respond quickly and effectively once a disaster occurs.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

The program will enable government and voluntary agencies to create visibility and establish logistical tracking resources/source locations for donated items, services, and volunteers; and facilitate a match between those resources and needed assistance. Program is restricted to government and voluntary/nonprofit agencies described in the announcement/program guidance document. Refer to announcement or program guidance for further information.

**Applicant Eligibility:**

Refer to announcement or program guidance for further information.

**Beneficiary Eligibility:**

State and local governments and Public Nonprofit Institution/Organization, Quasi-public Nonprofit Organizations.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

Not applicable. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Unsolicited applications will not be accepted. Refer to announcement and/or program guidance for further information.

**Award Procedure:**

Application is reviewed by FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or program guidance document.

**Range of Approval/Disapproval Time:**

Refer to announcement or program guidance document.

**Appeals:**

None.

**Renewals:**

Refer to announcement or program guidance document.

**Formula and Matching Requirements:**

This grant has no match requirement.

**Length and Time Phasing of Assistance:**

Grants are awarded for the total dollar amount, but the release of the funds is on an as needed basis. The initial performance period shall not exceed 12 months.

Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Refer to program guidance for further information.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records include financial and programmatic records, supporting documents, statistical records, and other records of recipient which are required to be maintained by 44 CFR Part 13.42, program regulations or the grant agreement. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

70-0700-0-1-453.

**Obligations:**

(GRANTS), FY 07 \$950,000; FY 08 \$375,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, SW., Bldg # 410 Washington, DC 20528.

**Web Site Address:**

<http://fema.gov>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance for additional information.

**97.099 RESIDENTIAL FIRE SAFETY & FIRE SPRINKLER INITIATIVES**

**FEDERAL AGENCY:**

FEDERAL EMERGENCY MANAGEMENT AGENCY, DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; Federal Fire Prevention and Control Act of 1974, as amended, and various appropriation bills.

**OBJECTIVES:**

To support residential fire safety initiatives such as: promoting public awareness of fire protection systems e.g., smoke alarms, and automatic sprinklers; supporting consumer awareness of residential fire sprinkler systems through provision of educational materials, public service announcement (PSA) kits, and newsletters/media releases to the public, home building, and fire protection industry.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified in DHS Appropriation Statute. Refer to program guidance or announcement for

further information.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Standard Forms 424 (Application for Federal Assistance) and 424A (Budget Information: Non-Construction Programs) must be completed and returned by the recipient. In addition, the following forms must be completed: SF1199A (Direct Deposit Sign-up Form); FEMA Form 20-16 (Summary Sheet for Assurances and Certifications); FEMA Form 20-16A and 16A (Back) (Assurances for Non- Construction Program); FEMA Form 20-16C (Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters); and Drug-Free Workplace Requirements, and SFLLL (Disclosure of Lobbying Activities).

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

None.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

FY 07 \$130,000; FY 08 \$130,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Information pertaining to residential fire sprinkler systems has been developed and showcased at various venues and homebuilding/contracting industry association events. Newsletters, web site development, and outreach material for national, regional, and local homebuilder/fire protection industry associations, and fire services have been developed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security 245 Murray Drive, SW., Bldg #410, Washington, DC, 20528.

**Web Site Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in the program guidance.

**97.100 AIRPORT CHECKED BAGGAGE SCREENING PROGRAM**

(Airport LOI Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Consolidated Appropriations Resolution of 2003, Section 367, Department of Transportation and Related Agencies Appropriations Act of 2003; Public Law 108-7, Title III, Division I, 117 Stat. 423.

**OBJECTIVES:**

To support U.S. commercial airports in implementing and maintaining security compliance requirements and capabilities related to in-line Baggage Handling System electronic explosive detection screening of checked baggage, as mandated by the Aviation and Transportation Security Act of 2001 (Public Law 107-71).

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Restricted to airport security improvements involving replacement or reconfiguration of baggage conveyor systems or the reconfiguration of terminal areas, to install explosive detection baggage handling systems in order to screen commercial airline passengers luggage.

**Applicant Eligibility:**

Specified in U.S. Appropriation Statute or program guidance document; state, local, or other public entities/agencies responsible for commercial airport operations within their jurisdiction.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Documentation includes providing the scope of work, a concept of operations, drawings, estimated costs and estimated schedule. The airport improvement project proposed by the airport must involve the replacement of baggage conveyor systems or reconfiguration of terminal areas in order to install explosive detection systems. TSA and airport applicant, review a conceptual plan that includes the scope of work for facility modification, the type and number of required security screening technology units, the concept of operations, the estimated cost, and the estimated schedule.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed. Awards usually take the form of Memorandum of Agreement (MOA). Congress is required to be notified 3 days prior to the issuance of an award under this program.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has an airline passenger boarding-based cost sharing or match

requirement, as specified in the Appropriation Statute. Refer to program guidance for specific cost sharing/match information.

**Length and Time Phasing of Assistance:**

Refer to program guidance Negotiated by all parties and outlined in the Memorandum of Agreement Appropriations are made annually with no guarantee of future funding Awards may be subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

The following reports are required: Design drawings; all contracts the airport proposes to execute for work that exceed \$10 million; detailed cost estimates to complete the project; monthly progress reports, including information concerning incurred costs and progress against the schedule; monthly progress reports.

**Audits:**

In addition to the provisions of OMB circular A-133, the Memorandum of Agreement (MOA) executed between TSA and the recipient, states that the TSA Contracting Officer is authorized to audit all cost records incurred or anticipated to be incurred in the performance of the LOI project. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-402.

**Obligations:**

FY 07 \$413,692,000; FY 08 est \$390,108,000; FY 09 est \$757,138,000.

**Range and Average of Financial Assistance:**

Will vary by project or airport; specified in the announcement.

**PROGRAM ACCOMPLISHMENTS:**

New program; a number of improvement projects have occurred at U. S. commercial airports to expand or enhance screening of airline passengers' luggage. Improvement projects entail replacement of baggage conveyor systems or remodeling/reconfiguration of terminal areas to facilitate installation of equipment to screen baggage carried on commercial airlines.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, Transportation Security Administration, Security Technology Division, C/O Bldg. #410, 245 Murray Lane SW, Washington, DC 20531. Telephone: 571-227-1035. E-mail address not available.

**Web Site Address:**

Not applicable.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in the program guidance.

## 97.103 DEGREES AT A DISTANCE PROGRAM

**FEDERAL AGENCY:**

FEDERAL EMERGENCY MANAGEMENT AGENCY, DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, as amended, and various appropriation bills.

**OBJECTIVES:**

To support curriculum development, regional meeting support, program marketing, course material printing and publications and initiation of institutional agreements with local two-year college degree programs and

colleges/universities, designated by the National Fire Academy, to participate in the Degrees at a Distance Program (DDP). To provide an alternative means for fire service personnel to earn a bachelor's degree or to pursue college-level learning in a fire related course concentration without the requirement of having to attend on-campus classes.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Restricted to colleges/universities designated by the National Fire Academy, to support curriculum development, regional meeting support, program marketing, course material printing and publications; and initiation of institutional agreements with local two-year colleges.

**Applicant Eligibility:**

Only colleges/universities designated by U. S. Fire Administration (USFA) are eligible, unsolicited applications will not be accepted Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local and the general public.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372 and OMB Circular A-102.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for extensions must be supported by adequate justification, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the administering program office.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30th. Final financial and performance reports are due 90 days after the Expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three Years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

FY 07 \$60,000; FY 08 \$70,000; and FY 09 est \$70,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

The Degrees at a Distance Program continues to enroll new students and produce



new graduates with bachelor's degrees in fire administration and fire prevention technology. The 13-course upper-level independent study curriculum was converted from a printed format to a web-based format so that future courses will be available via the internet.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane SW, Bldg# 410, Washington DC 20528.

**Web Site Address:**

www.usfa.dhs.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.104 HOMELAND SECURITY-RELATED SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (HS STEM) CAREER DEVELOPMENT PROGRAM**

(HS-STEM Career Development Program)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

6 U.S.C. 188(b)(1) and 6 U.S.C. 182(10)

**OBJECTIVES:**

To provide funding for the establishment of scientific career development program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Support is provided to colleges and universities who, in turn, provide scholarships and fellowships. Refer to the program guidance document for additional information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Other Public Institution/Organizations; Other Private Institution/Organizations; (Colleges and Universities).

**Credentials/Documentation:**

Refer to program guidance.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewals or extensions to awards are at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

No matching requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit annual financial and performance reports. Annual Progress Reports must include the progress of each sub-grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal

year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$4,903,309; FY 08 est. \$3,500,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization., A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Grants and Financial Assistance Division, Office of Procurement Operations, Office of the Chief Procurement Officer, 245 Murray Lane, SW., Building 410, Washington, DC 20523; Telephone: (202) 447-5589.

**Web Site Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.062, Scholars and Fellows, and Educational Programs.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.105 FIREFIGHTER/EMERGENCY MEDICAL SERVICES (EMS) OUTREACH, TECHNOLOGY TRANSFER, INFORMATION DISSEMINATION, AND TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY (DHS)

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, as amended, and various appropriation bills.

**OBJECTIVES:**

To support firefighter/emergency medical service (EMS) health and safety issues, technology transfer, technical assistance, and information dissemination/outreach efforts.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Support educational outreach, technology transfer, information dissemination, and technical assistance to the fire service/EMS concerning emergency/first responder issues including communications operability and interoperability, and to enhance operational safety.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Specialized group; General public.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This Program is excluded coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance For further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133(Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3 year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

FY 07 \$125,000; FY 08 \$150,000; and FY 09 \$ est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Procedures for Funds Transfers, 31 CFR 205: OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Drive, SW., Building #410, Washington, DC 20528.

**Web Site Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; as amended by the SAFE Port Act, Title V, Section 501(a), Public Law 109-347.

**OBJECTIVES:**

The overall goal of the Securing the Cities (STC) initiative is to prevent a Radiological/Nuclear (RN) attack on high risk urban areas by enhancing regional capabilities to detect, identify, and interdict illicit radioactive materials in and around urban areas. One aspect of addressing this goal is providing assistance to State and local jurisdictions in and around major urban areas that will enable these entities to build capabilities by: Leveraging current technologies and deploying them regionally in a coordinated manner; Designing, acquiring, and deploying the components of an operationally viable regional architecture for radiological/nuclear detection, focused on State and local jurisdictions; Developing and implementing a common, multi-agency Concept of Operations (CONOPS) for sharing sensor data and resolving hits within the sensor architecture; Training and exercising by the regional agencies to execute this CONOPS to a high level of proficiency.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Use of Property, Facilities, and Equipment; Sale, Exchange, or Donation of Property and Goods; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Financial and non-financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions, if any, will be identified in the announcement, program guidance and award provisions.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance, or as specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, Interstate or intrastate governmental organizations, private, or public organizations, nonprofit organizations, and Indian tribal governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Match requirements, if any, are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the reporting period. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year.

Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

FY 07 \$3,250,000; FY 08 est \$30,000,000; and FY 09 est \$20,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

2007 one award for a pilot implementation of a regional preventive radiological and nuclear detection architecture was funded and ongoing in the NYC metropolitan area; anticipate one award in 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 44 CFR 13. OMB Circular A-87, Cost Principles for State, Local, and Tribal Governments, Relocated to 2 CFR Part 225; OMB Circular A-110, relocated to 2 CFR Part 215. Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. OMB Circular A-122, relocated to 2 CFR Part 230. Cost Principles for NonProfit Organizations. OMB Circular A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Domestic Nuclear Detection Office, Attn: Assessments/Matthew Barton, Mail Stop 7100, 245 Murray Lane, Building 410, Washington, DC 20528, Telephone: (202) 254-7412, E-mail: matthew.barton@dhs.gov.

**Web Site Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Pilot implementation of a regional preventive radiological and nuclear detection architecture is funded and ongoing in the NYC metropolitan area.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.107 NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Department of Homeland Security Appropriations Act of 2007, Public Law 109-295; Homeland Security Presidential Directive HSPD-5.

**OBJECTIVES:**

To support the development, integration, and deployment of incident management systems. This includes operational, technical and programmatic standards in support of nationwide implementation of the NIMS model; establish a unified approach to incident management, as well as, standard command and management structures.

**TYPES OF ASSISTANCE:**

Project Grants; Cooperative Agreements.

**USES AND USE RESTRICTIONS:**

Funding will support implementation of the National Incident Management System (NIMS) which includes incident management standards, related projects, and program support.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local, Public Nonprofit Institution/Organization, Federal Recognized Indian Tribal Government, U.S. Territory/Possession, Private Organization, Other Public Institution/Organization.

**Credentials/Documentation:**

Not applicable.

**Preapplication Coordination:**

This program is excluded coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed and approved for award by DHS program and administrative staff in accordance with program guidance.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Length and Time Phasing of Assistance:**

Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 31, April 30, July 31, and Oct. 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

FY 07 \$11,636,000; FY 08 \$12,648,000; and FY 09 est \$10,000,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Funding has been provided to State, local emergency management entities, private sector, educational institutions and non-governmental organization in support for the nationwide implementation of the National Incident Management System.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency, C/O 245 Murray Lane, Bldg # 410, Washington DC 20523. Telephone: 1-800-621-FEMA. E-mail: FEMA-NIMS@dhs.gov.

**Web Site Address:**

http://www.fema.gov/emergency/nims/index.shtm.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

As specified within the cooperative agreements. Please see specific cooperative agreements for further guidance.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance.

## 97.108 HOMELAND SECURITY, RESEARCH, TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES



**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, Title 6, U.S.C. Section 308(b)(1)(c) . Section 1901 of Public Law 110-53, "Implementing Recommendation of the 9/11 Commission Act of 2007."

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts); Use of Property, Facilities, and Equipment; Sale, Exchange, or Donation of Property and Goods; Dissemination of Technical Information.

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute, including U. S. and international institutions of higher education and educational laboratories.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

"Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-

recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

FY 07 \$592,598; FY 08 est \$1,200,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos. A-21, Cost Principles for Educational Institutions, A-87, Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants and Financial Assistance Division, Office of Procurement Operations, Telephone: (202) 447-5589.

**Web Site Address:**

www.dhs.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.109 DISASTER HOUSING ASSISTANCE GRANT****FEDERAL AGENCY:**

EMERGENCY PREPAREDNESS AND RESPONSE, FEDERAL EMERGENCY MANAGEMENT AGENCY, DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Section 102(b)(2), Homeland Security Act, 6 U.S.C 112; Sections 408(b)(1), 426 and 306 (a), Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), 42 U.S.C. 5174(B)(1), 42 U.S.C 5189d, and 42 U.S.C. 5149 (a); Economy Act, 31 U.S.C. 1535.

**OBJECTIVES:**

To provide temporary housing assistance and case management for families who were displaced by Hurricanes Katrina and Rita. DHAP would be implemented in the form of a rental assistance program that would continue providing housing subsidies for families for the next 18 months after termination of Federal Emergency Management Agency's (FEMA) initial temporary housing program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Public Housing Agencies (PHAs) will use the assistance to provide eligible families who were displaced by Hurricanes Katrina or Rita with monthly rent subsidies. Families are either receiving or are eligible to receive rental assistance administered by FEMA. PHAs will administer the DHAP to families that have been determined eligible by FEMA through HUD's web-based Disaster Information System. The assistance must be used by PHAs to provide rental assistance to families determined eligible by FEMA. In addition to rental assistance, grant funds shall be used to provide case management services to eligible families and to pay for costs associated with PHA administration of the program.

**Applicant Eligibility:**

Individuals and families determined eligible for FEMA housing assistance.

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

All Public Housing Agencies with jurisdiction over areas where eligible families reside that administer the Housing Choice Voucher Program are invited to apply provided they have the administrative capacity to assume responsibility for the DHAP.

**Preapplication Coordination:**

This program is excluded coverage under E.O. 12372.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

Refer to program guidance Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Both quarterly reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 07 \$204,000,000; FY 08 est \$365,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fair Housing Act, Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II of the Americans with Disabilities Act; 24 CFR 982.352; 982.401; 982.555 ; PIH Notice 2007-26. Full text may be obtained at the following website:  
<http://www.hud.gov/offices/pih/publications/hurricane.cfm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, 245 Murray Lane, Building #410, Washington, DC 20528.

**Web Site Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.110 SEVERE LOSS REPETITIVE PROGRAM**

(SRL)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

National Flood Insurance Act of 1968, as amended by the Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004, Public Law 108-264.

**OBJECTIVES:**

To assist States and local governments in supporting actions that reduce or eliminate the long-term risk of flood damage to residential properties insured under the National Flood Insurance Program (NFIP) that meet the definition of

severe repetitive loss property, and to reduce losses to the National Flood Insurance Fund (NFIF) by funding projects that result in the greatest savings to the NFIF in the shortest time period.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

States, Territories, local and Federally - recognized Indian tribal governments may apply for SRL funding to reduce or eliminate the long-term risk of flood damage to residential properties insured under the NFIP that meet severe repetitive loss property eligibility criteria. Eligible activities under this program include: acquisition and relocation of at-risk structures and the conversion of property to open space; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher (for the SRL program Mitigation Reconstruction is only permitted when traditional elevation cannot be implemented); minor physical localized flood control projects; and dry-flood proofing (historic properties only).

**Applicant Eligibility:**

State emergency management agencies or a similar office (i.e., the office that has primary emergency management or floodplain management responsibility) of the State; District of Columbia; U.S. Virgin Islands; the Commonwealth of Puerto Rico; American Samoa; Commonwealth of the Northern Mariana Islands; Guam; and Federally-recognized Indian tribal governments. Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided in the SRL program guidance.

**Beneficiary Eligibility:**

States, Territories, local governments, Federally-recognized Indian tribal governments, and homeowners.

**Credentials/Documentation:**

Federally-recognized Indian tribal governments and local governments that are sub-applicants must be participating in the NFIP. Properties included in project sub-applications must meet the SRL property definition. SRL properties are residential properties that are covered under an NFIP flood insurance policy and: (a) that have at least 4 NFIP claim payments (including building and contents) over \$5,000 each, and the cumulative amount of such claims payments exceeds \$20,000; or (b) for which at least two separate claims payments (building payments only) have been made with the cumulative amount of the building portion of such claims exceeding the market value of the building. For both scenarios (a) and (b), at least two of the referenced claims must have occurred within any ten-year period, and must be greater than 10 days apart.

**Preapplication Coordination:**

DHS FEMA will identify the location of severe repetitive loss properties and furnish that information to the relevant States, Territories, local governments, and Federally-recognized Indian tribal governments. FEMA will also notify owners of severe repetitive loss properties that may be eligible to receive SRL or other FEMA mitigation assistance; that their NFIP insurance premium rates may increase upon declining offers of SRL Program mitigation assistance only (such insurance consequences do not apply to other FEMA mitigation assistance programs); and, that they have the right to appeal such premium rate increases. Further, States, Territories, local governments, and Federally-recognized Indian tribal governments will, to the best extent practicable, consult with SRL property owners to select the most appropriate mitigation activity, prior to submitting SRL grant applications. To be eligible for a SRL grant, Applicants must have a FEMA approved State Mitigation Plan (Standard or Enhanced) or Tribal Mitigation Plan in compliance with 44 CFR Part 201 by the application deadline. In addition, Sub-applicants must have a FEMA approved local mitigation plan in accordance with 44 CFR Part 201, by the application deadline that, at a minimum, addresses flood hazards to be eligible to receive project grant funding under the SRL program. Establishment of this program through regulation is categorically excluded from the requirement of the preparation of an environmental assessment or an environmental impact statement in accordance with 44 CFR 10.8(d)(2)(ii). This NEPA category excludes the preparation, revision, and adoption of regulations where the rule regulates to actions that qualify for other NEPA categorical exclusions in 44 CFR 10.8(d)(2). This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the announcement or application /program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Property owners who refuse an SRL mitigation offer may become subject to increases of their NFIP insurance premium rates, and have the right to appeal such rate increases. Refer to SRL program guidance or the administering program office for further information.

**Renewals:**

None.

**Formula and Matching Requirements:**

DHS FEMA will allocate the available SRL funds to states each fiscal year based upon the percentage of the total number of severe repetitive loss properties located within the State. Ten percent of the total funds made available in any fiscal year will be available to States, Territories, and Federally-recognized Indian tribal governments that have at least one SRL property and that receive little or no allocation. NFIP severe repetitive loss property records are maintained and updated monthly by the FEMA Bureau and Statistical Agent. NFIP severe repetitive loss property records are protected by the Privacy Act, and are only made available to the States, Territories, local governments, and Indian tribal governments eligible to apply for SRL grants. DHS FEMA may contribute up to 75 percent of the eligible costs of activities that target SRL properties. The SRL program offers up to 90 percent Federal cost share funding for projects approved in States, Territories, and Federally-recognized Indian Tribal Plans that include a strategy for mitigating existing and future SRL properties. For further information refer to DHS FEMA SRL and Flood Mitigation Assistance (FMA) program regulations at 44 CFR Part 79, the SRL program guidance, or contact the administering program office.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), Audits of States, local governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantee's fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

FY 07 \$0, FY 08 est \$40,000,000; and FY 09 est \$40,000,000.

**Range and Average of Financial Assistance:**

Will be identified in solicitation/program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The SRL and FMA Program Regulations at 44 CFR Part 79; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, and the SRL program guidance. Other guidelines include OMB Circular No. A-102, Grants and Cooperative Agreements with State and local Governments, and OMB Circular No. A-87, Cost Principles for State, Local and Indian Tribal Governments. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Local Governments and Federally-recognized Indian Tribal (if applying through the State) sub-applicants should consult the office or officials designated as the single point of contact in his or her state for more information on the process that the State requires to be followed in applying for assistance.

**Regional or Local Office:**

See Appendix IV of the Catalog for listing of addresses of the DHS FEMA Regional Offices.

**Headquarters Office:**

Lloyd Hake, Chief, Program Implementation Section, Risk Reduction Branch, Mitigation Division, Federal Emergency Management Agency, 500 C Street,

S.W., Washington, DC 20472. Telephone: (202) 646-3428 or E-mail:

Lloyd.Hake@dhs.gov.

**Web Site Address:**

<http://www.fema.gov/government/mitigation.shtm>.

**RELATED PROGRAMS:**

97.029, Flood Mitigation Assistance; 97.092, Repetitive Flood Claims; 97.047, Pre-Disaster Mitigation; 97.039, Hazard Mitigation Grant.

**EXAMPLES OF FUNDED PROJECTS:**

Acquisition and relocation of structures from hazard-prone areas.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.111 REGIONAL CATASTROPHIC PREPAREDNESS GRANT PROGRAM (RCPGP)**

(RCPGP)

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28; and Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

The goal of RCPGP is to support an integrated planning system that provides for regional all-hazard planning for catastrophic events and the development of necessary plans, protocols, and procedures to manage a catastrophic event. Objectives include, creating regional planning processes and planning communities through the establishment of a Catastrophic Planning Working Group; Identifying and assessing priority areas of concern using both capabilities-based and scenario-based planning models; Developing enhanced regional plans and addressing shortcomings in jurisdiction plans to support both the management of a catastrophic incident and to enable enduring government; and linking planning efforts to resource allocations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

The RCPGP is comprised of funding for both fiscal years 2007 and 2008. Funds will be allocated to Tier I Urban Areas and designated Tier II Urban Areas are eligible for funding under the RCPGP.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedure:**

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Refer to announcement or application guidance for further information.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

The program will require a soft match of non-Federal funds totaling 25 percent.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. (See #111 in agency reference manual; program office may add program specific information to this phrase if



needed. Example: to describe special reporting requirement unique to this program in addition to the standards reports. (Otherwise use only the phrase above).

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

FY 07 \$35,000,000; FY 08 est not available; FY 09 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

It is anticipated that 9 applications will be received and 9 awards will be granted in the current fiscal year. Awards include funding from both fiscal years 2007 and 2008. It is expected that the program will result in fixing shortcomings in existing all-hazard regional catastrophic event plans, building regional planning process, and communities, and linking operation needs identified in plans to resource allocation, including homeland security grant programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Department of Homeland Security, 245 Murray Lane SW, Bldg 410 Washington, DC 20528.

**Web Site Address:**

[www.ojp.usdoj.gov/odp](http://www.ojp.usdoj.gov/odp).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

## 97.112 BORDER INFRASTRUCTURE IMPROVEMENT PROJECTS

**FEDERAL AGENCY:**

DEPARTMENT OF HOMELAND SECURITY

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, as amended.

**OBJECTIVES:**

To implement border security infrastructure improvement projects and initiatives by providing funding, technical assistance and other resources to border communities.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Use and restrictions will be identified in the funding opportunity announcements and program guidance.

**Applicant Eligibility:**

Applicant eligibility will be identified in the funding opportunity announcements and program guidance.

**Beneficiary Eligibility:**

States, local governments, territories, nonprofits and private organizations.

**Credentials/Documentation:**

Specific information will be identified in the funding opportunity announcements and program guidance.

**Preapplication Coordination:**

Will be addressed depending on geographic location of the projects in response to E.O. 12372.

**Application Procedure:**

Application deadline and other information will be identified in the funding opportunity announcements and program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Issues or concerns will be negotiated with the successful applicant prior to the award execution.

**Deadlines:**

Application deadline and other information will be identified in the funding opportunity announcements and program guidance.

**Range of Approval/Disapproval Time:**

Approval/Disapproval Time information will be identified in the funding opportunity announcements and program guidance.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Specific information is identified in the funding opportunity announcements and program guidance.

**Length and Time Phasing of Assistance:**

Specific information is identified in the funding opportunity announcements and program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0533-0-1-751.

**Obligations:**

FY 07 \$0; FY 08 \$88,000,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

Specific information is identified in the funding opportunity announcement and program guidance.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Grant Policy and Oversight, 245 Murray Lane, Bldg 410, Washington, DC 20528. E-mail: [rosemary.springer@dhs.gov](mailto:rosemary.springer@dhs.gov).

**Web Site Address:**

[www.dhs.gov](http://www.dhs.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific information will be identified in the funding opportunity announcement and program guidance.

# UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

## 98.001 USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS

### FEDERAL AGENCY:

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

### AUTHORIZATION:

The Foreign Assistance Act of 1961, Public Law 87-195, pt. III, Section 635, September 4, 1961, 75 Stat. 456, Public Law 87-565, pt. III, Section 302(g), August 1, 1962, 76 Stat. 262, Public Law 88-205, pt. III, Section 302(e), December 16, 1963, 77 Stat. 389, Public Law 89-171, pt. III, Section 302(g), September 6, 1965, 79 Stat. 660, Public Law 89-583, pt. III, Section 302(d), September 19, 1966, 80 Stat. 807, Public Law 90-137, pt. III, Section 302(i), November 14, 1967, 81 Stat. 461, Public Law 95-424, title I, Section 102(g)(2)(G), October 6, 1978, 92 Stat. 943, Public Law 96-53, title I, Section 121, August 14, 1979, 93 Stat. 366, Public Law 106-264, title III, Section 301, August 19, 2000, 114 Stat. 760, Public Law 106-309, title IV, Section 404, October 17, 2000, 114 Stat. 1098, 22 U.S.C. 2295.

### OBJECTIVES:

The Foreign Assistance Program works to support long-term and equitable economic growth and advance U.S. foreign policy objectives by supporting economic growth, agriculture and trade; global health; and democracy, conflict prevention and humanitarian assistance.

### TYPES OF ASSISTANCE:

Project Grants.

### USES AND USE RESTRICTIONS:

Funds are authorized through grants and cooperative agreements, primarily with non-governmental U.S. organizations and educational institutions, to carry out activities in line with the Agency's objectives in Sub-Saharan Africa; Asia and the Near East; Latin America and the Caribbean, and Europe and Eurasia. Funds generally are limited for direct support of activities conducted outside the United States in furtherance of the Agency's strategic objectives. The majority of funds for these programs is discretionary, and is generally awarded through a competitive process. Examples of activities that may be funded may be found at [http://www.fedgrants.gov/Applicants/AID/postdate\\_1.html/](http://www.fedgrants.gov/Applicants/AID/postdate_1.html/).

### Applicant Eligibility:

While an individual grant may include limitations on whom may apply, generally any type of applicant may apply.

### Beneficiary Eligibility:

Beneficiaries are foreign governments, foreign public or private institutions or organizations, or foreign individuals.

### Credentials/Documentation:

Applicants who have never received a grant from USAID may be required to provide the following with their application, where appropriate: (1) Copies of the applicant's audited financial statements for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; (2) Organization chart; and (3) Copies of applicable policies and procedures (e.g., accounting, purchasing, property management, personnel).

### Preapplication Coordination:

No preapplication coordination is required. This program is excluded from coverage under E.O. 12372.

### Application Procedure:

Applications are submitted in response to specific announcements (Requests for Applications or Annual Program Statements) synopsisized and published on the Grants.gov FIND Web site ([http://www.fedgrants.gov/Applicants/AID/postdate\\_1.html](http://www.fedgrants.gov/Applicants/AID/postdate_1.html)). All applications must be submitted using the Standard Form 424. Each announcement provides specific additional instructions regarding the contents of the narrative description of the activity, budget justification and other required information.

### Award Procedure:

Official notice of approved application is made by the Agreement Officer through the issuance of a Grant Award or a Cooperative Agreement.

### Deadlines:

None. Each announcement specifies the due dates applicable to that announcement.

### Range of Approval/Disapproval Time:

The range is from 60 to 90 days.

### Appeals:

None.

### Renewals:

Extensions to the project period may be made if deemed appropriate by the Agreement Officer.

### Formula and Matching Requirements:

This program has no statutory formula. Cost-sharing requirements are indicated in each grant announcement.

### Length and Time Phasing of Assistance:

Grants and cooperative agreements may be issued for up to a five-year period, and are generally funded on a 12-month basis. Support beyond the first year is contingent upon the availability of funds.

### Reports:

Grantees must submit progress reports. Reporting periods vary from quarterly to annually. Comprehensive final reports are due no later than 90 days after the completion of projects. Expenditure reports are required 90 days after the end of each reporting period.

### Audits:

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

In accordance with 22 CFR Part 226.53, grantees are to maintain accounting records for a minimum of 3 years after the end of the date of submission of the final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

### Account Identification:

72-1021-0-1-151 Development Assistance; 72-1095-0-1-151 Child Survival and Health Program Funds; 72-1037-0-1-151 Economic Support Fund; 72-1010-0-1-151 Assistance for Eastern Europe and the Baltic States; 72-1093-0-1-151 Assistance for the Independent States of the Former Soviet Union; 72-1035-0-1-151 International Disaster Assistance.

### Obligations:

FY 07 \$4,697,862; FY 08 est not available; and FY 09 est not reported.

### Range and Average of Financial Assistance:

From 2003 to 2007 the appropriated amounts available for grant assistance ranged from \$4.2 to \$4.7 billion and averaged \$4.3 billion per year.

### PROGRAM ACCOMPLISHMENTS:

USAID pursues multiple strategic objectives in more than 100 countries around the world. Individual country programs are tailored to local conditions. These objectives support the Agency's goals: (1) Broad-based Economic Growth and Agricultural Development Encouraged; (2) Democracy and Good Governance Strengthened; (3) Human Capacity Built through Education and Training; (4) World Population Stabilized and Human Health Protected; (5) The World's Environment Protected for Long-term Sustainability; (6) Lives Saved, Suffering Associated with Natural or Man-made Disasters Reduced, and Conditions for Political and/or Economic Development Re-established. Under its democracy goal USAID has accomplished significant results in promoting a politically active civil society. In Indonesia, the events of September 11 sparked an increased dialogue on democracy and the role of religion in Indonesia. USAID supported notable progress and a range of achievements by nearly 200 NGOs involved in transparent and participatory governance, conflict prevention and resolution, religious tolerance, human rights, media support and monitoring, and anticorruption activities. USAID expanded a program working with more than 20 major religious and secular organizations, including Indonesia's two largest Muslim organizations with a combined membership of 50 million, to help shape a more open and informed debate. In Guinea, efforts to open political processes and emphasize dialogue are assisting national actors to bridge the gap between government and the governed and are helping to reduce social, ethnic, and political tensions that are potential sources of conflict. USAID/Guinea's key achievement was the sponsorship of a high-level conflict prevention activity in response to the destabilizing influence of the border war with Liberia and Sierra Leone. USAID's civil society program in Albania continues to reflect the country's need for considerable assistance to complete the transition to an open and free democratic republic. USAID's efforts focus on improving the electoral process, promoting political party development, enhancing parliamentary operations, strengthening Albanian civil society organizations, and supporting an independent media. USAID played a leading role within the donor community in supporting the successful parliamentary elections held in June 2001, which were considered relatively open, fair, and free of abuse. These efforts strengthened NGOs, and the number of NGOs influencing policy formation and implementation has continued to increase. During the parliamentary elections, more than 25 local NGOs participated in elections monitoring throughout the country. USAID's accomplishments under its human capacity development goal are illustrated by girls education. In Ethiopia, USAID efforts at the community level to help girls stay in and succeed at school have raised girls participation in the two USAID focus regions to 73.9% and 48.1%, respectively, in the 2000-2001 school year, up from 38% and 17%, respectively, in the baseline 1994-1995 school year. Both these levels exceed the national average of 47%. Likewise in Guinea, the primary school gross enrollment rate (GER) reached 61.0% (up from 31.9% in 1991), while girls GER grew from 19.7% to 50.0% during the same period. In FY 2001 alone, the GER indicator

increased by 4.3 percentage points, with a 5.7% increase for girls. Similar on-target results were reported for Zambia, where the number of children enrolled in USAID-supported basic education institutions dramatically increased from 12,565 pupils in 63 basic education sites in 2000 to 37,140 pupils enrolled in 256 basic education sites in 2001. The U.S. response to the global HIV/AIDS epidemic is an example of the significant accomplishments of the United States in the health area. The epidemic is causing widespread suffering in the developing world, where it is poised to profoundly undermine social and economic advances in many countries. In much of Africa, the medical, social, and economic consequences of the epidemic are already severe, and many areas of Asia, Eastern Europe, and the Caribbean are at risk for equally severe epidemics. The past two years have seen a dramatic escalation in USAID's involvement in addressing this urgent global issue. In FY 2002, USAID's HIV/AIDS funding increased to \$510 million. A new Office of HIV/AIDS was created within the Bureau of Global Health. USAID is now providing assistance to more than 50 countries by strengthening prevention, treatment, and surveillance programs and by providing vital services to orphans and other children affected by AIDS. USAID has also contributed critical technical and management expertise to the formation of the new Global Fund for AIDS, Tuberculosis, and Malaria, which has already attracted more resources for combating AIDS worldwide. In the environment sector, for example, during FY 2001, USAID helped India reduce CO2 emissions by 4.4 million tons, exceeding the target of 4.19 million tons. In South Africa, USAID assisted municipal governments delivery of energy and other services as it exceeded its targets for services delivered to historically disadvantaged households. Almost 900,000 households benefited from programs supported by USAID, and more than \$180 million was leveraged to support improved service delivery. The United States program in Afghanistan illustrates the significant accomplishments of the United States in providing humanitarian assistance. The United States provided \$588 million to help the Afghans; USAID managed more than \$350 million of this assistance. USAID responded to the humanitarian crisis by providing food, emergency supplies, health care, communications, and transport. USAID has built 142 schools, daycare centers and vocational education facilities and has trained 1,300 teachers who will return to village schools to train local teachers. The 7,000 tons of seed the Agency provided last spring resulted in a 82% increase in wheat production this summer.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administration policies are in 22 CFR 226, and may be found at <http://www.gpo.gov/nara/cfr/index.html>. Internal USAID policy directives, including standard formats, may be found in Automated Directive Systems (ADS) Chapter 303. The ADS is available on the USAID website at <http://www.usaid.gov/pubs/ads/>. Other information regarding USAID's program may be found at [www.usaid.gov](http://www.usaid.gov).

#### **Regional or Local Office:**

Wade Warren Office of Development Planning Africa Bureau Larry Brady  
Office of Strategic Planning and Operations Asia Near East Bureau Susan Hill  
Strategy and Program Office Latin America and Caribbean Bureau Sherry  
Grossman Program Office Europe and Eurasia Bureau United States Agency for  
International Development Washington, DC 20523.

#### **Headquarters Office:**

United States Agency for International Development, 1300 Pennsylvania Ave,  
Washington, DC 20523. Telephone: (202) 712-4810. E-mail:  
[pinquiries@usaid.gov](mailto:pinquiries@usaid.gov).

#### **Web Site Address:**

[www.usaid.gov](http://www.usaid.gov).

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

To improve the fate of orphans, the USAID Mission in Russia has provided grant assistance to the International Research and Exchange Board (IREX) and the National Society for Prevention of Cruelty to Children. The program has created innovative child welfare models to prevent abandonment, promote family care, and foster the integration of orphans leaving institutional care as they enter adulthood. More than 9,700 of Russia's most vulnerable children and 6,700 families have benefited directly from the program's assistance. Early in 2002, the Moscow Duma appointed an ombudsman to protect orphans rights; a USAID grantee wrote the law establishing the position. USAID/Bulgaria supports Partners Bulgaria Foundation for its conflict prevention and ethnic integration program. It began as a pilot program to assist the Roma population in the city of Lom, and has been replicated in the cities of Vidin and Kyustendil. The program has helped to establish cooperative planning mechanisms for the Roma population to work with local institutions in addressing common issues, a Conciliation Commission to engage in cooperative problem solving and local conflict resolution, a Roma Leadership Institute to increase the capacity of Roma leaders and NGOs through advanced training and networking, and increased cross-sectoral partnership across NGOs, municipality, Roma, business, media and educational institutions to improve the Roma educational and employment opportunities. In Guatemala, through a grant to Creative Associates, civil society coalitions are provided assistance to help combat ethnic discrimination, promote transparency and anticorruption efforts, address public security issues

and exercise congressional oversight. The overall aim of the program is to establish broader, more effective civil society participation in the policy process and oversight of public institutions. Under the Cuba program, a grant to Georgetown University supports a participant training program for students from Cuba. The program will provide training in technical fields to disadvantaged youth at community and technical colleges throughout the United States. Training will also include subjects in courses linked to democracy building, such as economics, political science, U.S. history and Latin American history. The program will expose students to U.S. culture and institutions. A grant was recently awarded under the USAID/Mexico program to Texas A&M University-Corpus Christie for cross-border collaboration between Texas A&M, Lamar University and the Technological Institute of Saltillo on environmental sustainability of water resources. The grant is part of a larger program designed to conserve critical biodiversity and natural resources in Mexico. Under the LAC Regional program, a grant to the Inter-American Dialogue promotes economic links between the American diaspora and Guyana and explores ways that remittances could bring growth to the country's economy. Activities focus on profiling Guyanese remittance senders and receivers (in the US and Guyana), identifying opportunities to work with Guyanese hometown associations on development programs, and partnering with financial institutions in the US and Guyana to reduce remittance transfer costs. USAID's \$300,000 grant to the Vietnam Veterans of America Foundation in Angola helps children in Mexico province who are landmine victims through vocational training and activities such as Special Olympics. In March 2003, USAID and a number of U.S.-based nongovernmental organizations (NGOs) formed the Consortium for Development Relief in Angola (CDRA). The CDRA program provides a creative and flexible platform for humanitarian response to assist war-affected families to become food secure over an 18-month period. The USAID-funded CDRA program is assisting more than 110,000 families in eight provinces in central Angola with variety of emergency and development interventions using both food aid and cash. In Bimbe, CDRA partner World Vision responded to the emergency situation with a combination of interventions, including emergency food distributions and supplemental feedings. In just six months, the USAID- CDRA program has had a major impact on the families of Bimbe, including the reduction of the malnutrition rate to below 2% and a child mortality rate of 2 to 3 per month. USAID has provided grants to the National Democratic Institute (NDI) since 1995. The NDI programs have resulted in stronger political parties (including opposition parties) in Lesotho, as well as a stronger National Assembly, all of which have contributed to increased political stability in that country. Since February 1999, CARE has implemented the Central Region Livelihood Security Program (CRLSP) in three traditional authorities of Lilongwe District of Malawi. The project is funded entirely by USAID and CARE. The project's goal is to improve the food and livelihood security of 10,000 rural households. Activities include developing and strengthening the organizational capacities and partnerships of small-holder farmers; a rising agricultural productivity; improving water availability and utilization; and increasing household earnings. FY 2002 marked the first year in Mozambique's post-colonial history when commercial credit was extended to rural enterprises by a formal Mozambican financial institution. Twenty-three groups of rural enterprises formed under a USAID grant managed by CLUSA received over \$118,000 in marketing credit, allowing them to turn over the loan a number of times by buying maize, roundnuts, beans and sesame at different periods in the harvest cycle. The Namibian Parliament, with assistance from the USAID-supported National Democratic Institute for International Affairs (NDI), designed a website that enables citizens and civil society to track legislation, communicate with Parliamentarians, and engage in that room dialogues on topics of current interest. Microsoft was so impressed with the success of the activity that, in December 2002, it donated additional computers and software for distribution in several towns around the country. USAID provided a \$1 million grant to the U.S.-based Cheetah Conservation Fund to support the conservation of cheetahs in Namibia. The program is implemented in collaboration with the World Wildlife Fund, Namibia's Ministry of Environment and Tourism, and a number of Namibian NGOs. The cheetah conservation program one of USAID's clearest successes in Namibia' has reported results in natural resource protection, economic growth, democracy strengthening, women's empowerment, and safeguarding Africa's biodiversity. USAID's Economic Growth, Agriculture, and Trade (EGAT) Bureau currently funds 17 grants to U.S. universities to assist South Africa's historically disadvantaged institutions to transform their institutions, support basic education initiatives, and improve classroom teaching skills. The International Executive Service Corps (IESC) is a U.S. NGO that coordinates the volunteer work of retired executives with companies around the world. A USAID-funded IESC program in Zambia currently provides hands-on technical assistance and training workshops to rural non-farm enterprises. In collaboration with Population Services International (PSI) and local nongovernmental organizations, USAID has launched HIV/AIDS voluntary counseling and testing (VCT) centers at strategic locations throughout Zimbabwe. The Zimbabwe program has achieved the highest client return rate of any VCT program, due in part to the high quality of counseling and the nominal client fees. The newest independent VCT site,



managed by PSI using business franchise techniques, is located in downtown Harare near a bus terminal, and serves 150 clients per day. USAID's Regional Center for Southern Africa has provided grants to support the development of three cross-border natural resource management areas: 1) FourCmrs comprising contiguous lands in Botswana, Namibia, Zimbabwe, and Zambia; 2) Greater Limpopo, comprising a game reserve in Mozambique, Kruger Park in South Africa, and Gonarezhou Park in Zimbabwe; and 3) Zimoza, which comprises the border regions of Zimbabwe, Mozambique, and Zambia in the mid-Zambezi river basin.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria are defined specifically in the notifications of funding opportunities when they are issued. Generally the technical and organizational criteria are based on potential capacity to efficiently recruit and field volunteers overseas, identify host enterprises in the targeted countries and plan and organize volunteer assignments in to coherent programs that have significant measurable economic impact.

### **98.002 COOPERATIVE DEVELOPMENT PROGRAM (CDP)**

#### **FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

#### **AUTHORIZATION:**

Foreign Assistance Act of 1961, as Amended, Public Law 87-195, Sections 111, 123 and 311.

#### **OBJECTIVES:**

Deliver the quality and magnitude of support necessary for CDOs to attract the financial, human, institutional and financial resources necessary to significantly enhance their impact on cooperative development worldwide, contributing to self-reliant cooperative enterprises that meet the evolving needs of their members and contribute to the quality of member lives, their communities and nation.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used, among other things, for basic feasibility studies and providing technical assistance or advisory services to cooperatives, private voluntary and other non-governmental organizations, governments and groups of individuals that wish to develop new cooperatives or improve existing cooperatives. Emphasis is given to developing, testing and implementing solutions to major issues facing international cooperative development including, but not limited to, governance, modern management, cooperative legislation and regulation, achieving scale and salience.

#### **Applicant Eligibility:**

Applicants eligible are U.S. cooperatives and recognized cooperative development organizations (CDOs) that are organically-linked to cooperatives and groups of cooperatives and whose demonstrated capabilities are broadly consistent with USAID's strategic objectives.

#### **Beneficiary Eligibility:**

Cooperatives and their members in USAID eligible countries.

#### **Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is requested.

#### **Preapplication Coordination:**

As may be specified in a published Request for Applications (RFA). This program is excluded from coverage under E.O. 12372.

#### **Application Procedure:**

As may be specified in a published Request for Applications. This would normally include, but would not necessarily be limited to Forms SF-424 and 424A, as well as the applicant organization's name, address, contact person and information; project objectives; funding and budget; proposed partners; executive summary, organizational overview, program description, program management and structure; monitoring and impact assessment; cost proposal with budget narrative; planning matrix; staffing plans with resumes of key personnel; letters from proposed partners evidencing knowledge of the program and agreement to participate; evidence of concurrence from USAID missions in countries of proposed implementation; and a summary of USAID-financed activities conducted over the three years preceding the application.

#### **Award Procedure:**

Applications are submitted to the Cooperatives Coordinator, Office of Private and Voluntary Cooperation, Democracy, Conflict and Humanitarian Assistance Bureau. All applications are reviewed by committees that include a technical reviewer with knowledge of the specific area of cooperation concerned as well as knowledgeable USAID officials drawn from different Bureaus. Each application is scored by all participating USAID officials using criteria incorporated in the Request for Applications. Awards are given based on relative scores.

#### **Deadlines:**

Specified in the published Request for Applications which appear on the DCHA/PVC web site and in the Federal Register.

#### **Range of Approval/Disapproval Time:**

Approximately three to four months from the receipt of applications.

#### **Appeals:**

If an application is rejected, the reasons for rejection are fully stated.

#### **Renewals:**

Not applicable.

#### **Formula and Matching Requirements:**

There is not formula for matching requirements. Applicants may be encouraged to achieve a target match which would be incorporated in the Request for Applications.

#### **Length and Time Phasing of Assistance:**

Cooperative Development Program cooperative agreements are generally for a period of three to five years and may be extended for a total period not to exceed ten years.

#### **Reports:**

Each award recipient is required to provide Annual Work Plans, Semi-Annual Progress Reports and Quarterly financial statements (Form 269A). Additional reporting may be required to support Congressional requests for information.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

#### **Account Identification:**

72-1021-0-1-151.

#### **Obligations:**

FY 07 \$5,500,000; FY 08 est not available; and FY 09 est not reported.

#### **Range and Average of Financial Assistance:**

From \$1,000,000 to \$5,000,000 over five years.

#### **PROGRAM ACCOMPLISHMENTS:**

In fiscal year 2002, 8 grants were extended through FY 2004.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations Title 22, 228 Volume 1, Parts 1 to 299 (Revised as of April 1, 1999); USAID Automated Directive System, specifically Series 300 and cross-references.

#### **Regional or Local Office:**

Not applicable.

#### **Headquarters Office:**

Cooperative Coordinator, Office of Private and Voluntary Cooperation, Bureau for Democracy, Conflict and Humanitarian Assistance, United States Agency for International Development, Washington, DC 20523. Telephone: (202) 712-5226.

#### **Web Site Address:**

[http://www.usaid.gov/hum\\_response/pvc/coop.html](http://www.usaid.gov/hum_response/pvc/coop.html)

#### **RELATED PROGRAMS:**

None.

#### **EXAMPLES OF FUNDED PROJECTS:**

Grant funds are being used to provide technical assistance, applied research, technical training, and cooperative education activities in more than 20 countries of Africa, Asia and the Near East, Europe and Eurasia, Latin America and the Caribbean.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Preference is given to applicants that have demonstrated significant contributions to international cooperative development, that propose activities that promise a substantial addition to the theory and practice of cooperative development, that demonstrate the commitment to integrate lessons learned into their own programs as well as disseminate these to the broader cooperative development community, and whose staff possess the range of skills necessary to achieve these results.

### **98.003 OCEAN FREIGHT REIMBURSEMENT PROGRAM (OFR)**

#### **FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

#### **AUTHORIZATION:**

Foreign Assistance Act of 1961, Section 123(b).

#### **OBJECTIVES:**

Reimburses registered U.S. private voluntary organizations (PVOs) to ship commodities overseas for use in privately funded development and humanitarian assistance programs.

#### **TYPES OF ASSISTANCE:**

Project Grants.

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used to pay transportation charges on shipments by PVOs registered with USAID to further the efficient use of U.S. voluntary contributions for development, relief, and the rehabilitation of friendly people.

Participating PVOs are responsible for ancillary costs such as commodity acquisition, warehousing, insurance, local transportation and distribution. OFR awards will not exceed \$150,000 per year.

**Applicant Eligibility:**

Applicants must be a U.S. PVO registered with USAID's Office of Private and Voluntary Cooperation; receive at least 20 percent of its total annual financial support for its international programs from non-U.S. government sources; ship only those commodities and only to those countries approved by USAID; have staff or consignees in-country to ensure proper pick-up and distribution of commodities; and provide Duty-Free Certification with the application for each country to which commodities will be shipped.

**Beneficiary Eligibility:**

Registered PVOs in the United States, as well as people located in USAID eligible countries who are in need of humanitarian assistance or relief, benefit from these grants.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is requested.

**Preapplication Coordination:**

As may be specified in a published Request for Application (RFA). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As specified in a published Request for Applications. This would include the applicant organization's name, address, contact person and information; project objectives; funding and budget; proposed partners; executive summary, organizational overview, program description, program management and structure; monitoring and consignee receiving distribution system.

**Award Procedure:**

Awards are made on the basis of competitive Technical Evaluation Committee review of applications. Each application is scored using criteria incorporated in the Request for Applications. Awards are given based on relative scores.

**Deadlines:**

Specified in the published Request for Application which appears on the DCHA/PVC web site and in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately five to seven months from the receipt of applications.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. Applicants may request a debriefing of the RFA on the strengths and weaknesses of the proposal. Such requests will be routed to the OFR program officer.

**Renewals:**

OFR Program grant agreements are for a period of two years. Once awarded, projects will not compete for funding the second year. Funding for projects beyond the first year is contingent upon the availability of program funds, the extent to which the recipient meets program objectives and the recipients ability to utilize OFR funds in a timely manner.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

OFR Program grant agreements are for a period of two years.

**Reports:**

Each award recipient is required to provide on a quarterly basis, the Voluntary Agency Quarterly Report of Shipping Activity which provides data on the actual destination of shipments, types of commodities shipped and subsequent drawdown of program funds. Additional reporting may be required to support congressional requests for information.

**Audits:**

OFR grant awards will not exceed \$150,000 for each year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133 (Revised June 27, 2003 in Federal Register).

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2278-0-1-151.

**Obligations:**

FY 07 \$2,700,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

From \$2,500 to \$150,000 each year.

**PROGRAM ACCOMPLISHMENTS:**

Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The awards made pursuant to the OFR RFA will be subject to the requirements of Title 22 of the Code of Federal Regulations, Part 226, Administration of Assistance Awards to U.S. Non-Governmental Organizations, Part 202, Overseas Support of Supplies by Voluntary Non-Profit Relief Agencies, and the applicable Standard Provisions for U.S. Non-Governmental Grantees. The Standard Provisions and 22 CFR Parts 226 and 202 are available on the USAID website at <http://www.usaid.gov> and

<http://www.usaid.gov/policy/ads/cfr.html#22>.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Ocean Freight Program Officer, Office of Private and Voluntary Cooperation, Bureau for Democracy, Conflict and Humanitarian Assistance, United States Agency for International Development, Washington, DC 20523. Telephone: (202) 712-4795.

**Web Site Address:**

<http://www.usaid.gov>. USAID keyword: ofr

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

The OFR Program provides small competitive grants to approximately 50 U.S. PVOs each year. PVOs are reimbursed for the costs to transport donated commodities, such as medical supplies, agricultural equipment, educational supplies and building equipment to developing countries.

**CRITERIA FOR SELECTING PROPOSALS:**

Preference is given to applicants that have conformed to the evaluation criteria stated in the Request for Application.

## 98.004 NON-GOVERNMENTAL ORGANIZATION STRENGTHENING (NGO)

**FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
**AUTHORIZATION:**

The Foreign Assistance Act of 1961, as amended.

**OBJECTIVES:**

The NGO Strengthening program aims to help local indigenous non-governmental organizations, networks, and intermediate service organizations become more efficient and effective in the delivery of development services.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are authorized through cooperative agreements with U.S. private voluntary organizations to carry out activities to improve the capacities of local indigenous non-governmental organizations in developing countries.

**Applicant Eligibility:**

1. Applicants must meet the following eligibility requirements. Be registered as a PVO with USAID; Receive at least 20 percent of total annual financial support for its international programs from non-U.S. government sources; and
2. Current Matching Grants recipients are eligible.

**Beneficiary Eligibility:**

Direct beneficiaries are foreign private institutions or organizations; indirect beneficiaries are the recipients of improved service delivery in developing countries.

**Credentials/Documentation:**

Applicants must be registered as a PVO with USAID. In addition, they must provide a 30 percent match for the proposed program; the match may be a combination of cash and in-kind. At a minimum, half of the total required match must be in cash. The Applicant must demonstrate ability to raise the match proposed. Actual and/or expected sources and amounts of the cost-share amount must be stipulated; they must propose in an eligible country or countries; have an established track record (minimum of five years) in planning, managing, monitoring and evaluating overseas development programs and demonstrated experience in local NGO capacity building; and, have completed an external evaluation of its NGO capacity strengthening activities within the last three years, not to be confused with a financial audit. PVC cannot finance any of the following programs: Academic research-oriented endeavors; Construction or commodity procurement; or Activities not focused on development, such as short-term emergency relief activities. USAID encourages applications for development activities that focus on conflict prevention, mitigation or resolution programs; Inconsistent with the Establishment Clause.

**Preapplication Coordination:**

No preapplication coordination is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applications are submitted in response to a Requests for Applications synopsis in FedGrants and published on the USAID Web site ([http://www.usaid.gov/procurement\\_bus\\_opp/procurement/solicitation/](http://www.usaid.gov/procurement_bus_opp/procurement/solicitation/)). All applications must be submitted using the Standard Form 424. The RFA provides specific additional instructions regarding the contents of the narrative description of the activity, budget justification and other required information.

**Award Procedure:**

Official notice of approved application is made by the Agreement Officer through the issuance of a Cooperative Agreement.

**Deadlines:**

Specified in the published Request for Applications, which appears on the DCHA/PVC web site and in the Federal Register. The deadline for the last five-

year award was March 28, 2003.

**Range of Approval/Disapproval Time:**

The range is from 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Extensions to the project period may be made if deemed appropriate by the Agreement Officer.

**Formula and Matching Requirements:**

A cost-share of 30 percent of which at least half of the match must be cash and the remaining half can be in kind contributions. Applicants must demonstrate ability to provide the proposed match via letters of commitment; provide financial and in-kind contributions of all non-USAID or private commercial organizations involved in implementing this Cooperative Agreement; and specify the cost share amount as a total dollar amount and per each donor.

**Length and Time Phasing of Assistance:**

Cooperative agreements may be issued for a five-year period, and are generally funded on a 12-month basis. Support beyond the first year is contingent upon the availability of funds.

**Reports:**

Five-year detailed implementation and monitoring plans are required in the first year. Recipients must submit progress reports. Reporting periods are semi-annual. Comprehensive final reports are due no later than 90 days after the completion of projects. Expenditure reports are required 90 days after the end of each quarter.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 22 CFR Part 226.53, grantees are to maintain accounting records for a minimum of 3 years after the end of the date of submission of the final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, which In accordance with 22 CFR Part 226.53, grantees are to maintain accounting records for a minimum of 3 years after the end of the date of submission of the final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later ever is later.

**Account Identification:**

72-1021-0-1-151.

**Obligations:**

FY 07 \$6,158,942; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Five-years awards range from \$1.3 million to \$3.25 million. The average award is \$2.4 million.

**PROGRAM ACCOMPLISHMENTS:**

In Fiscal Year 2003, 13 cooperative agreements were awarded for FY 2003 through FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administration policies are in 22 CFR 226, and may be found at <http://www.gpo.gov/nara/cfr/index.html>. Internal USAID policy directives, including standard formats, may be found in Automated Directive Systems (ADS) Chapter 303. The ADS is available on the USAID website at <http://www.usaid.gov/pubs/ads/>. Other information regarding USAID's program may be found at [www.usaid.gov](http://www.usaid.gov).

**Regional or Local Office:**

Tom Kennedy.

**Headquarters Office:**

DCHA/PVC-ASHA.

**Web Site Address:**

[http://www.usaid.gov/our\\_work/cross-cutting\\_programs/private\\_voluntary\\_cooperation/ngo.html](http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/ngo.html).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Grant funds are being used to provide technical assistance and training to hundreds of local NGOs and NGO networks in Africa, Asia, the Caribbean, and Central America.

**CRITERIA FOR SELECTING PROPOSALS:**

Program Description (45 points) 1. Situational analysis accurately identifies, justifies and prioritizes which NGO sector(s) will be addressed in the proposed

program. Provides compelling rationale for innovative technical approach and measurable effectiveness of proposed interventions. Clear and relevant empirical evidence and discussions that proposed interventions will result in achievement of overall proposed programmatic objectives in select countries. Demonstrates program impact by the end of year three. 2. Program Management Approach (30 points) Demonstrated effectiveness in organization/management of similar program activities to that of the proposed program activities. Effective and logical relationships have been shown between applicant and all subawardees. Staffing plan and proposed key personnel are appropriate for proposed activities. Integrity and soundness of innovative monitoring and evaluation plan as it relates to quantifiable measurement of progress and results under proposed program activities, including any the activities of any subaward(s); 3. Institutional Capabilities (15) Demonstrates prior experience and results in managing similar and relevant program activities in planning, managing, monitoring and evaluating overseas development programs in the area of NGO capacity building. Evidence of past achievement of successful results in NGO capacity strengthening and clear demonstration that proposed program reflects incorporation of lessons learned; and 4. Cost/Business Application (10 points) The SF 424 shows detailed budget and budget narrative itemizes program costs, shows level of effort, and proposed costs are reasonable and realistic in terms of programmatic activities. Selection The highest rated responsible applicant(s) will be recommended to receive award(s).

## 98.005 INSTITUTIONAL CAPACITY BUILDING (ICB)

(Institutional Capacity Building)

**FEDERAL AGENCY:**

AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as amended, Public Law 480, Title II.

**OBJECTIVES:**

To strengthen the capacity of new and experienced Food for Peace Title II Partners, both to plan and implement effective food security programs which reduce vulnerability of food insecure populations, including in emergency situations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Project funds can be used for establishing systems, training staff and strengthening mechanisms for implementing Title II food security programs. Ineligible activities/costs include: (1) Activities which are not in support of existing or planned Title II activities; (2) Disaster-related personnel or activities not associated with food assistance, which otherwise are the responsibility of the Office of Foreign Disaster Assistance (OFDA) or which may be funded by USAIDs Regional Bureaus; (3) Procurement of Motor Vehicles.

**Applicant Eligibility:**

Private non-profit institutions/organizations are eligible for this program. Specifically, an organization must be a US Private Voluntary Organization (PVO) or cooperative headquartered in the US, that is registered with USAID as of the date of its application.

**Beneficiary Eligibility:**

Private, non-profit institutions/organizations will benefit from this program along with vulnerable and food insecure populations in low income food deficit countries (LIFDCs) and least developed countries. (LDCs).

**Credentials/Documentation:**

USAID Registration; Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is required.

**Preapplication Coordination:**

Not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of Technical and Cost Application (including SF 424 and 424a as required by a published Request for Applications.

**Award Procedure:**

Applications are submitted to the Office of Procurement. All applications are reviewed for completeness by the recipient office and then given to a technical review committee for a competitive review. All committee members using criteria outlined in the Request for Applications score each application. Awards are negotiated based on the scoring of applications technical merit and cost.

**Deadlines:**

This program is re-competed approximately every five years.

**Range of Approval/Disapproval Time:**

Approximately three to four months from submission deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula, however, a ten (10) percent cost-share is required for this program and a twenty-five (25) percent cost share is



recommended.

**Length and Time Phasing of Assistance:**

This funding is available for up to five years under the current program.

**Reports:**

Each award recipient is required to provide an annual narrative progress report as well as quarterly financial report (SF 269, SF 269a (as applicable) and SF 272. Annual work-plans must be approved on by the Cognizant Technical Officer on an annual basis as must all key personnel specified in the agreement. One midterm and one final evaluation are also required components.

**Audits:**

In accordance with the provisions of OMB circular No A-133 (Revised June 27, 2003), "Audits of States, Local Governments and Non-Profit Organizations," non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year except as noted in OMB Circular A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2278-0-1-151.

**Obligations:**

FY 07 est not available; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Up to \$3.5 million per organization over five years.

**PROGRAM ACCOMPLISHMENTS:**

The current program assists PVOs to identify, assess and respond effectively to emergency and developmental food insecurity situations using P.L. 480 Title II food assistance in developing countries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations Title 22, 226 and 228 Volume 1 Parts 1 to 299 (Revised as of April 1, 1999); USAID ADS 300 and cross references.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Food for Peace; Grants Manager; Program Operations Division; USAID; 1300 Pennsylvania Avenue, NW; Washington, DC 20523.

**Web Site Address:**

www.usaid.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded activities have included: provision of training in food security programming, food security assessments; food aid logistics, regulations; support for setting up food aid tracking systems, improvement of capacity in monitoring and evaluation and conducting studies and assessments to show how food can best be used to decrease food insecurity.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based upon technical and programmatic merit, organizational background, competence and experience, past performance and financial plan.

**98.006 FOREIGN ASSISTANCE TO AMERICAN SCHOOLS AND HOSPITALS ABROAD (ASHA)**

**FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Section 214, The Foreign Assistance Act of 1961, as amended.

**OBJECTIVES:**

The Foreign Assistance Program is dedicated to supporting long-term and equitable economic growth and advancing U.S. foreign policy objectives by supporting economic growth, agriculture and trade; global health; and democracy, conflict prevention and humanitarian assistance. Within the context of the U.S. Foreign Assistance Program, the objectives of the PVC-ASHA program are to strengthen schools and hospitals that best demonstrate American ideas and practices, and are likely to survive over a long term.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Funds are authorized through grant agreements with private and non-profit U.S. organizations to carry out activities in line with the Agency's objectives. Funds are limited for direct support of activities conducted outside the United States in furtherance of the Agency's strategic objectives. ASHA grants are awarded through a competitive process.

**Applicant Eligibility:**

The applicant should be a non-profit U.S. organization, which either founded or sponsors the institution for which assistance is sought. Preferably, the applicant should be a tax-exempt organization under section 501C (3) of the Internal

Revenue Code of 1954. The applicant must demonstrate a continuing supportive relationship with the overseas institution. Evidence of this support would be the provision of financial and management support for the institution.

**Beneficiary Eligibility:**

Beneficiaries must be institutions located outside the U.S. and should not be under the control or management of a government or any other of its agencies. The majority of the users of these overseas institutions, e.g., students or patients, must be citizens of countries other than the U.S.

**Credentials/Documentation:**

The overseas institutions must demonstrate competence in professional skills and exhibit sound management and financial practices. An applicant for a new overseas institution must present a strategy that demonstrates the ability to achieve professional competence, commitment to promote U.S. ideas and practices, and to operate in accordance with sound management and financial practices. Institutions must be open to all persons regardless of race, religion, sex, color, or national origin. All overseas institutions are expected to reflect favorably upon, and to increase the understanding as well as to enhance the image of the United States. An applicant requesting capital assistance for procurement of durable commodities and/or construction/renovation assistance must provide a firm estimate of the total cost (including cost share and U.S. contribution) for which assistance is requested. Such applicants must also provide information and assurances with respect to right to occupy the premises and/or the land upon which new construction is planned.

**Preapplication Coordination:**

No pre-application coordination is required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

PVC-ASHA grant process is competitive and encompasses a number of well established steps. Specifically, 1. The grant criteria, as published in the Federal Register. 2. An annual independent review that ranks the applications and makes recommendations. 3. The PVC-ASHA program management determines funding priorities based on the external review, prior grantee performance, geographic balance, focus of other ASHA grants in the same country, USAID Mission recommendations, and USAID agency objectives. 4. PVC-ASHA forwards the final funding recommendations to the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA) for approval, to the USAID Administrator for information, and to the U.S. Congress for notification.

**Award Procedure:**

PVC-ASHA grant process is competitive and encompasses a number of well established steps described in the Application Procedure.

**Deadlines:**

The deadline for submission of applications is June 30th of each year.

**Range of Approval/Disapproval Time:**

The range is from 7 to 9 months.

**Appeals:**

None.

**Renewals:**

Extensions to the project period may be made if deemed appropriate by PVC-ASHA. Subsequent grant applications for complementary or auxiliary activities may be submitted yearly to fund a previously PVC-ASHA-assisted project.

**Formula and Matching Requirements:**

The ASHA program has no statutory formula or matching requirements. However, cost-sharing by the U.S. sponsoring organizations and their overseas institutions are requested in the grant application. Demonstrated cost-sharing reflects favorably on the applicants request for assistance.

**Length and Time Phasing of Assistance:**

Grants that include construction may be issued for up to a five-year period, whereas grants for commodities, only, are normally issued for a period of eighteen to twenty-four months.

**Reports:**

Grantees must submit quarterly progress reports and annual organizational reports. Comprehensive final Project Reports are due no later than 90 days after the completion of projects. Expenditure reports are required 30 days after the end of each progress reporting period.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An amendment to the definition of oversight agency for audit, effective July 28, 2003 stipulates that after December 31, 2003 The Office of Management and Budget (OMB) is issuing final revisions to Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. The purpose of these revisions is to (1) increase the threshold for audit from \$300,000 to \$500,000, (2) increase the threshold for cognizant agency for audit from \$25 million to \$50 million, and (3) make related technical changes to facilitate the determination of cognizant agency for audit and provide for Federal agency reassignment of oversight agency for audit.

**Records:**

In accordance with 22 CFR Part 226.53, grantees are to maintain accounting records for a minimum of 3 years after the end of the date of submission of the final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

72-1021-0-1-151.

**Obligations:**

FY 07 \$16,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Range from \$15 million to \$20 million per year with an average of approximately \$17 million.

**PROGRAM ACCOMPLISHMENTS:**

None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administration policies are in 22 CFR 226, and may be found at <http://www.gpo.gov/nara/cfr/index.html>. Internal USAID policy directives, including standard formats, may be found in Automated Directive Systems (ADS) Chapter 303. The ADS is available on the USAID website at <http://www.usaid.gov/pubs/ads/>. Other information regarding USAID's program may be found at [www.usaid.gov](http://www.usaid.gov).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of American Schools and Hospitals Abroad, Bureau for Democracy, Conflict, and Humanitarian Assistance.

**Web Site Address:**

[www.usaid.gov](http://www.usaid.gov).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

African Medical & Research School (Kenya) Procure commodities to upgrade a training facility; Mulanje Mission Hospital (Malawi) Construct private healthcare ward, procure furniture, medical and computer equipment; Wilberforce Institute (South Africa) Construct, equip and furnish a multi-purpose community development center; Nancy Fulwood Hospital (Pakistan) procure medical diagnostic equipment, heart monitoring equipment and furniture; American Farm School (Greece) renovate existing dormitories; University of the Valley (Guatemala) construct telecommunications laboratory, renovate math and science laboratories, procure file servers, desktop computers and scanners.

**CRITERIA FOR SELECTING PROPOSALS:**

1. The applicant should be a nonprofit U.S. organization, which either founded or sponsors the institution for which assistance is sought. Preferably, the applicant should be tax-exempt under Section 501C(3) of the Internal Revenue Code of 1954. The applicant must demonstrate a continuing supportive relationship with the institution. Evidence of this would be the provision of financial and management support for the institution. 2. An instruction program must serve the secondary or higher level and must reflect American educational ideas and practices (education at the elementary school level will not be supported). A school offering a broad-based academic program must include instruction on the history, geography, political science, cultural institutions or economics of the United States. English should be used in instruction or taught as a second language. However, the foregoing subject matter and language requirements need not apply to a school offering a specialized course of study. 3. Institutions are expected to reflect favorably upon and to increase understanding of the United States. 4. A hospital center, in addition to being a treatment facility, must be involved in medical education and research. Programs for post graduate training of staff in the United States and programs for the exchange of personnel with American institutions will be regarded as evidence of ability to demonstrate American ideas and practices in medicine. 5. The faculty and staff of a school or a hospital center should include a significant number of U.S. citizens or other persons trained in U.S. institutions who are in residence and teaching at the school or hospital on either a full-time or part-time basis. 6. The majority of the users of any institution, e.g. students or patients, must be citizens of countries other than the U.S. 7. An existing institution must demonstrate competence in professional skills and must exhibit sound management and financial practices. An applicant for a new institution must demonstrate the ability to achieve professional competence and to operate in accordance with sound management and financial practices. 8. The institution must be open to all persons regardless of race, religion, sex, color or national origin. (The above shall not be construed to require enrollment of students of both sexes at an educational institution enrolling boys or girls only.) Assistance may not be used to train persons for religious pursuits or to construct buildings or other facilities intended for worship or religious instruction. 9. The institution must be located outside the U.S. and should not be under the control or management of a government or any of its agencies. The receipt of financial or

other assistance from a government or government agency or the observance of national educational or medical standards required by the country where the institution is located does not in itself mean that the institution is under the control or management of such government. 10. An applicant requesting capital construction assistance must provide information sufficient to permit a firm estimate of the total cost to the U.S. Government of the construction for which assistance is requested. Such an application must also provide information and assurances with respect to rights to the land on which construction is planned. 11. To help achieve the objectives of the Foreign Assistance Act and ensure that the American schools and Hospitals Abroad program is as geographically balanced as possible, special consideration will be given to applications for institutions which increase the geographic distribution of the program and contribute to the economic and social progress of areas that are the focus of A.I.D.'s development efforts.

**98.007 FOOD FOR PEACE DEVELOPMENT ASSISTANCE PROGRAM (DAP)****FEDERAL AGENCY:**

AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Agriculture, Trade and Development Assistance Act of 1954, as amended.

**OBJECTIVES:**

To improve access, availability and utilization of food in food insecure environments abroad. The priority for Title II development programs is a focus on improving household nutrition and health status, especially in children and mothers, and on increasing agricultural productivity, including field production, post-harvest handling and transformation and marketing.

**TYPES OF ASSISTANCE:**

Project Grants; Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

U.S. and local Private Voluntary Organizations registered with USAID may submit proposals requesting commodities and cash to carry out food aid programs in food insecure countries. The activities outlined in new DAPs should be in conformity with USAID, host government and multilateral food security assessments and strategies. Coordination with USAID Mission development priorities for the associated countries is highly desirable; program and resources integration is encouraged. However, no proposal will be disapproved solely because it is not integrated. Proposals will be reviewed and considered eligible for approval so long as they do not violate the Bellmon Amendment or other statutory provisions, are consistent with the Food Aid Food Security policy paper, and address the host country's most serious problems in the areas of food access, availability, and utilization.

**Applicant Eligibility:**

Private non-profit institutions/organizations are eligible for this program. Specifically, an organization must be a Private Voluntary Organization (PVO) or cooperative. PVOs must be registered with USAID as of the date of its application. In order to be awarded a program the organization must also be registered with the Office of Food for Peace.

**Beneficiary Eligibility:**

Private, non-profit institutions/organizations will benefit from this program along with vulnerable and food insecure populations in low income food deficit countries (LIFDCs) and least developed countries (LDCs).

**Credentials/Documentation:**

USAID Registration; Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is required.

**Preapplication Coordination:**

Not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of Application (including SF 424 and 424a) as required by DAP guidelines and application instructions.

**Award Procedure:**

Applications are submitted to the Office of Food for Peace. All applications are reviewed for completeness by the recipient office and then given to a technical review committee for a competitive review.

**Deadlines:**

Applications have been due on or about May 15th each year for the start date of October 1st the following year.

**Range of Approval/Disapproval Time:**

Up to 120 days following submission.

**Appeals:**

None.

**Renewals:**

Possible.

**Formula and Matching Requirements:**

This program has no statutory formula, though cost-sharing is encouraged.

**Length and Time Phasing of Assistance:**

This funding is available for up to five years under the current program.

**Reports:**

Each award recipient is required to provide an annual narrative progress report

as well as quarterly financial report (SF 269, SF 269a (as applicable) and SF 272. Annual work-plans must be approved on by the Cognizant Technical Officer on an annual basis.

**Audits:**

In accordance with the provisions of OMB circular No A-133 (Revised June 23, 2003), Audits of States, Local Governments and Non-Profit Organizations, non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year except as noted in OMB Circular A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds and commodities are used for authorized purposes.

**Account Identification:**

12-2278-0-1-151.

**Obligations:**

FY 07 \$350,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$1,000,000 to \$25,000,000 over 3-5 years.

**PROGRAM ACCOMPLISHMENTS:**

The current program assists PVOs to identify, assess, and respond effectively to developmental food insecurity situations using P.L. 480, Title II food assistance in developing countries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations Title 22, 211, 226 and 228 Volume 1 Parts 1 to 299 (Revised as of April 1, 1999); USAID ADS 300 and cross references.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Food for Peace; Development Programs Division; USAID; 1300 Pennsylvania Avenue, NW; Washington, DC 20523.

**Web Site Address:**

www.usaid.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded activities have included: direct food distribution, health, nutritional and agricultural training, food for work, food for training, monetization.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based upon assessed need, technical and programmatic merit, organizational background, competence and experience, past performance and financial plan. This is not a formula program.

**98.008 FOOD FOR PEACE EMERGENCY PROGRAM (EP)**

**FEDERAL AGENCY:**

AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Agriculture, Trade and Development Assistance Act of 1954, as amended, P.L. 480, Title II.

**OBJECTIVES:**

To improve access, availability and utilization of food in food insecure environments abroad. The priority for Title II emergency programs is to prevent hunger and malnutrition in food insecure areas or countries.

**TYPES OF ASSISTANCE:**

Project Grants; Sale, Exchange, or Donation of Property and Goods.

**USES AND USE RESTRICTIONS:**

Private Voluntary Organizations may submit proposals requesting commodities and cash to carry out food aid programs in food insecure areas or countries.

**Applicant Eligibility:**

Private non-profit institutions/organizations are eligible for this program. Specifically, an organization must be a Private Voluntary Organization (PVO) or cooperative. If a U.S. based PVO, the organization must be registered with USAID as of the date of its application. In order to be awarded a program the organization must also be registered with the Office of Food for Peace.

**Beneficiary Eligibility:**

Private, non-profit institutions/organizations will benefit from this program along with vulnerable and food insecure populations.

**Credentials/Documentation:**

USAID Registration; Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is required.

**Preapplication Coordination:**

Not required. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Submission of Application (including SF 424 and 424a) in line with Emergency Proposal Guidelines.

**Award Procedure:**

Unsolicited emergency applications are submitted to the Office of Food for Peace throughout the year to respond to natural disasters, complex emergencies and post-emergency stabilization needs. An emergency appeal or disaster

declaration is the "triggering mechanism" that allows FFP to consider requests for emergency food assistance. All applications for assistance are reviewed for completeness and then given a technical review. Awards are negotiated based on a demonstrated need for food aid and the ability of the proposed assistance to respond to the indicated need(s).

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

Although there is no binding timeframe, emergency situations often require a quick response. Therefore, FFP/EP works with the objective of completing the proposal review within 21 working days of receipt of a complete proposal. Delays may occur when required information is not included in the proposal.

**Appeals:**

Cooperating sponsors are given the opportunity to re-work their proposed programs to effectively meet demonstrated need.

**Renewals:**

Possible.

**Formula and Matching Requirements:**

This program has no statutory formula, though cost-sharing is encouraged.

**Length and Time Phasing of Assistance:**

Emergency Programs are approved for up to one year. The average time frame for an emergency response is six months to a year.

**Reports:**

Project reports should be submitted to FFP/EP on a semi-annual basis unless otherwise established in the Transfer Authorization. Programs are evaluated on the basis of stated objectives agreed to with FFP, as part of the yearly program performance review and USAID Annual Report process. The reporting format is found in the Cooperating Sponsor's Transfer Authorization.

**Audits:**

In accordance with the provisions of OMB circular No A-133 (Revised June 24, 1997), Audits of States, Local Governments and Non-Profit Organizations, non-federal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year except as noted in OMB Circular A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds and commodities are used for authorized purposes.

**Account Identification:**

12-2278-0-1-151.

**Obligations:**

FY 07 est not available; and FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Emergency Programs use Public Law 480, Title II resources to meet the critical food needs of targeted groups, with the mission of saving lives and reducing suffering.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations Title 22, 211, 226 and 228 Volume 1 Parts 1 to 299; (Revised as of April 1, 1999); USAID ADS 300 and cross references.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Office of Food for Peace; Emergency Programs Division; USAID; 1300 Pennsylvania Avenue, NW; Washington, DC 20523.

**Web Site Address:**

www.usaid.gov.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Funded activities have included: direct food distribution, health, food for work, monetization.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based upon assessed need, technical and programmatic merit, organizational background, competence and experience, past performance and financial plan. This is not a formula program.

**98.009 JOHN OGONOWSKI FARMER-TO-FARMER PROGRAM**

(Development assistance program)

**FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Section 501, The Agricultural Trade Development and Assistance Act of 1954 7 U.S.C. 1737.

**OBJECTIVES:**



Improve global food production and marketing by transferring technical skills of the U.S. agricultural community to farmers in participating countries. The purpose of the program is to assist farmers in increasing food production and distribution, by improving the effectiveness of farming and marketing operations."

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Grant funds may be used to assist developing countries, middle-income countries, emerging markets, sub-Saharan African countries, and Caribbean Basin countries to:

1. increase farm production and farmer incomes by increasing food production and distribution and improving the effectiveness of the farming and marketing operations of agricultural producers in those countries;
2. improve agricultural and agribusiness operations and agricultural systems in those countries, including improving i) animal care and health; ii) field crop cultivation; iii) fruit and vegetable growing; iv) livestock operations; v) food processing and packaging; vi) farm credit; vii) marketing; viii) inputs; and ix) agricultural extension, and strengthen cooperatives and other agricultural groups in those countries, and
3. transfer the knowledge and expertise of United States agricultural producers and businesses, on an individual basis, to those countries while enhancing the democratic process by supporting private and public agriculturally related organizations that request and support technical assistance activities through cash and in-kind services.

**Applicant Eligibility:**

The following types of organizations are eligible to apply for grants: agricultural producers, agriculturalists, colleges and universities (including historically black colleges and universities, land grant colleges or universities, and foundations maintained by colleges or universities), private agribusinesses, private organizations (including grassroots organizations with an established and demonstrated capacity to carry out such a bilateral exchange program), private corporations, and nonprofit farm organizations. Applicants must also be registered with USAID (if a U.S. PVO); and waive profits and/or fees under the USAID grant (if a for-profit business).

**Beneficiary Eligibility:**

Farms, cooperatives, farmers associations, agricultural and food processing and marketing enterprises, rural finance institutions and in some cases public entities seeking assistance in improving agricultural policy and public services to the agricultural sector in developing countries, middle-income countries, emerging markets, sub-Saharan African countries, and Caribbean Basin countries.

**Credentials/Documentation:**

Organizations aspiring to implement the John Ogonowski Farmer to Farmer Program, must be registered with USAID (if a U.S. PVO); and waive profits and/or fees under the USAID grant (if a for-profit business). In addition they should provide documentation that demonstrates that they have the organizational capacity to implement the program.

**Preapplication Coordination:**

As may be specified in a published Request for Applications (RFA). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

As may be specified in a published Request for Applications. This would normally include, but would not necessarily be limited to Forms SF-424 and 424A, as well as the applicant organization's name, address, contact person and information; project objectives; funding and budget; proposed partners; executive summary, organizational overview, program description, program management and structure; monitoring and impact assessment; cost proposal with budget narrative; planning matrix; staffing plans with resumes of key personnel; letters from proposed partners evidencing knowledge of the program and agreement to participate; evidence of concurrence from USAID missions in countries of proposed implementation; and a summary of USAID-financed activities conducted over the three years preceding the application.

**Award Procedure:**

As may be specified in a published Request for Applications (RFA). Applications are submitted to the Office of Acquisitions and Assistance, Attn: Farmer-to-Farmer Program, United States Agency for International Development, 1300 Pennsylvania Avenue, Washington DC 20523.

**Deadlines:**

Specified in the published Request for Applications which appear on the USAID web site and in the Federal Register.

**Range of Approval/Disapproval Time:**

Approximately three to four months from the receipt of applications.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

There is no formula for matching requirements. Applicants may be encouraged to achieve a target match which would be incorporated in the Request for Applications.

**Length and Time Phasing of Assistance:**

Cooperative agreements are generally for a period of five years and may be

extended for a total period not to exceed ten years. The length of grants is also governed by the length of the governing legislation.

**Reports:**

Each award recipient is required to provide Annual Work Plans, Semi-Annual Progress Reports and Quarterly financial statements (Form 269A). Additional reporting may be required to respond to specific requests for information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2278-0-1-151.

**Obligations:**

FY 07 \$10,600,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Total program budget has averaged approximately \$10.6 million per year over the past 5 years. Currently there are eleven awards. Awards are in the range of \$1.5 million to \$16 million dollars for programs ranging from five to nine years.

**PROGRAM ACCOMPLISHMENTS:**

The programs are currently implemented by six U.S. PVOs and two Historically Black Universities that often work with a range of additional sub-grantees. The eight implementers, during the last two years, sent 1,121 volunteers (14% women) to 40 countries. Volunteers worked with 1,032 host organizations (cooperatives and farmer groups, technical support agencies, rural financial services agencies, private businesses, and non-governmental organizations).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations Title 22, 228 Volume 1, Parts 1 to 299 Revised as of April 1, 1999; USAID Automated Directive System, specifically Series 300 and cross-references.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Dr. Shirley Pryor, Program Manager, Farmer-to-Farmer Program, EGAT/AG/ATGO, United States Agency for International Development, Washington, DC 20523. Telephone: (202) 712-4086. Fax: (202) 216-3579. E-Mail Contact: spryor@usaid.gov. Robert Navin, Technical Advisor, Farmer-to-Farmer Program, EGAT/AG/ATGO, United States Agency for International Development, Washington, DC 20523. Telephone: (202) 712-5837. Fax: (202) 216-3579. E-Mail Contact: rnavin@usaid.gov. Eric Benschoter, Monitoring and Evaluation Specialist, Farmer-to-Farmer Program, The Mitchell Group, 1325 G St. NW, Suite 400, Washington, DC 20005. Telephone: (202) 219-0476. Fax: (202) 219-0508. E-Mail Contact: ebenschoter@af-sd.org.

**Web Site Address:**

[http://www.usaid.gov/our\\_work/agriculture/farmer\\_to\\_farmer.htm](http://www.usaid.gov/our_work/agriculture/farmer_to_farmer.htm)

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Agribusiness development; Dairy production and marketing; Cooperative and farmer association development; Crop diversification; farm management improvement; Field crop production and marketing; Rural financial services; Horticultural production and marketing; Livestock production and marketing; Agricultural market development; and Agricultural technical support services development.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are defined specifically in the RFAs when issued. Generally the technical and organizational criteria are based on potential capacity to efficiently recruit and field volunteers overseas, identify host enterprises in the targeted countries and plan and organize volunteer assignments in to coherent programs that have significant measurable economic impact.

**98.010 DENTON PROGRAM**

**FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Title 10, U.S.C. Section 402.

**OBJECTIVES:**

To put the empty space on U.S. Military transport to good use by providing humanitarian relief transportation for nongovernmental organizations or private citizens, at little or no cost to them.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services.

**USES AND USE RESTRICTIONS:**

The Denton Program is a commodity transportation program that is jointly administered by the U.S. Agency for International Development (USAID), the Department of State (DOS), and the Department of Defense (DOD). The program provides the authority for DOD to use any extra space on U.S. military cargo aircraft to transport donated goods for humanitarian relief. The minimum and maximum weight allowance for Denton shipments is 2,000 lbs. and 100,000 lbs., respectively. Time and or temperature sensitive cargo, perishable food stuff, pharmaceutical samples, passengers, livestock, hazardous material, and vehicles requiring a special driver are ineligible commodities under the Denton program.

**Applicant Eligibility:**

Applicants must be an U.S. based private voluntary organization (PVOs), non-governmental organization (NGOs) or small organization.

**Beneficiary Eligibility:**

PVOs, NGOs and International Organizations (IOs) in eligible countries.

**Credentials/Documentation:**

Evidence that the goods are in usable condition; the consignee in country is legitimate and has the capacity to receive and distribute goods; and the goods are packaged properly and in compliance with U.S. military procedures.

**Preapplication Coordination:**

Donors need to contact the Denton program officer prior to submitting an application to determine whether the program is possible in a specific country. Applicants must provide a detailed packing list of the goods; identify staff in-country to ensure proper pick-up and distribution of commodities; provide duty-free Certification for the country to which the commodities will be shipped; and ensure compliance with all legal requirements in the recipient country. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

All prospective donors are encouraged to apply online for U.S. military space available transportation under the Denton program. Information on the guidelines and the application can be accessed at [www.dentonfunded.ida.org](http://www.dentonfunded.ida.org). The procedures are specified in the application. These include the applicant name, address, contact information; consignee name, address, contact information; the description of beneficiaries, impact areas, distribution plan; the detailed list of items; the cargo weight, volume and U.S. warehouse location; and the duty-free certification.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not applicable.

**Range of Approval/Disapproval Time:**

The Denton Program requires the coordination of USAID, DOS, and DOD throughout the approval process. Applications take from 6-8 weeks to be approved and an additional three months or more (depending upon availability) to receive Department of Defense space-available transport. Neither approval nor transportation is guaranteed.

**Appeals:**

Not applicable.

**Revenals:**

Donors may submit only one application per country at a time. They cannot reapply to a country until the prior transportation request has been completed.

**Formula and Matching Requirements:**

Not applicable.

**Length and Time Phasing of Assistance:**

Since the Denton program is a space available program, it is impossible to predict when transportation will be provided; therefore, no guarantees can be made regarding completion of a donated humanitarian goods shipment.

**Reports:**

Donors must submit a report to USAID/Washington within 30 days after the goods are distributed overseas, describing in detail how they were in fact distributed, to whom and how the goods were used. This report will be compared with the distribution plan provided as part of the application for transport assistance. Failure to submit the report in a timely manner will result in the donor's future disqualification from the participation in the Denton Program.

**Audits:**

Not applicable.

**Records:**

Not applicable.

**Account Identification:**

12-2278-0-1-151.

**Obligations:**

FY 07 \$50,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Approximately \$50,000 per year for inspections.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal year 2003 Shipments Completed: 25 Tonnage Shipped: 400,000 pounds  
Number of Countries Served: 13.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See [www.dentonfunded.ida.org](http://www.dentonfunded.ida.org).

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Denton Program Officer, Office of Private and Voluntary Cooperation, Bureau for Democracy, Conflict and Humanitarian Assistance, United States Agency for International Development, Washington, DC 20523. Telephone: (202) 712-4795.

**Web Site Address:**

[http://www.usaid.gov/hum\\_response/pvc/](http://www.usaid.gov/hum_response/pvc/) and [www.dentonfunded.ida.org](http://www.dentonfunded.ida.org).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications that conform to the stated guidelines and procedures will be accepted for space-available transportation of the donated commodities under the Denton program.

## 98.011 GLOBAL DEVELOPMENT ALLIANCE

**FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as amended.

**OBJECTIVES:**

The Global Development Alliance (GDA) business model provides a framework for enabling public-private alliances (PPA's) to carry-out activities that promote international development objectives. Through the leveraging, sharing the cost of resources and pooled expertise, the PPA model seeks to achieve greater impact than individual entities working alone. For further information please visit [http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Funds are authorized through grants, cooperative agreements, and Leader-with Associate Grants, to U.S. and non-U.S. for profit and not for profit organizations to carry out activities to enhance development objectives. Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to recipients under assistance instruments. Potential partners should note that cash and in-kind contributions, including volunteered services qualify as cost-share or leveraging, however forgone profit does not qualify as cost-sharing or leveraging. The resource contribution of the partners must be at least as great as that requested of USAID to achieve a minimum 1:1 leverage ratio.

**Applicant Eligibility:**

The eligibility criteria for potential alliance partners is broad, and the following list of potential partners is for illustrative purposes: U.S. and non-U.S. Non-Governmental Organizations, U.S. and non-U.S. private businesses, foundations, business and trade associations, international organizations, U.S. and non-U.S. colleges and universities, U.S. cities and states, other U.S. Government agencies, civic groups, other donor governments, host country governments, regional organizations, host country parastals, individual and group philanthropies and funds etc. Non-Governmental Organizations (NGO) do not need to be registered as Private Voluntary Organizations to submit a proposal.

**Beneficiary Eligibility:**

Beneficiaries are foreign governments, foreign public or private institutions or organizations, and/or the people of the developing world.

**Credentials/Documentation:**

Applicants who have never received a grant from USAID may be required to provide additional documentation that will be requested by the Operating Unit issuing the grant.

**Preapplication Coordination:**

USAID requires the use of brief concept papers which will allow for formal Agency feedback prior to the submission of a full application. Concept papers may be submitted to the USAID Mission, Washington Operating Unit or to the GDA Secretariat. Prospective alliance partners are strongly encouraged to seek field Mission or Washington operating unit input prior to submission of a proposal. For further guidance on concept papers, please see the GDA website at: [http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/). This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Applicants are encouraged to apply at individual USAID Missions and operating units. The GDA Secretariat staff is readily available to meet with prospective partner organizations and can assist organizations with points of contacts within USAID. The Secretariat may also provide feedback and comments on applicant concept papers. USAID encourages applicants to use the standard format that will be in the formal solicitation to be issued at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Official notice of approved application is made by the Agreement Officer through the issuance of a Grant Award, Cooperative Agreement or a Leader with Associate Grant.

**Deadlines:**

This is an open announcement; Deadlines are not applicable. Other solicitations

that incorporate Public-Private Alliances may provide deadlines. See specific announcements at [www.grants.gov](http://www.grants.gov) for required submission deadlines.

**Range of Approval/Disapproval Time:**

The range for receiving a response is from 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Extensions to the PPA project period may be made if deemed appropriate by the Agreement Officer. Existing awards may be modified to include alliance components.

**Formula and Matching Requirements:**

The total USAID funds committed over the life of the alliance activity must leverage at least the same amount of total partner resources, with preference given for higher leveraging. Partner contributions (non-USAID funds) must include private (meaning non-public sector) resources at least equal to 25% of the value of the requested USAID resources. Resources may be cash or in-kind contributions such as technical assistance, services, products, technology, and software.

**Length and Time Phasing of Assistance:**

Grants, cooperative agreements and leader with associate grants may be issued for up to a five-year period, and are generally funded on a 12-month basis. Support beyond the first year is contingent upon the availability of funds.

**Reports:**

Grantees must submit progress reports. Reporting periods vary from quarterly to annually. Comprehensive final reports are due no later than 90 days after the completion of projects. Expenditure reports are required 90 days after the end of each reporting period.

**Audits:**

In accordance with the provisions of OMB Circular A-133 (Revised June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 22 CFR Part 226.53, grantees are to maintain accounting records for a minimum of 3 years after the end of the date of submission of the final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

72-1021-0-1-151 Development Assistance; 72-1095-0-1-151 Child Survival and Health Program Funds; 72-1037-0-1-152 Economic Support Fund; 72-1010-0-1-151 Assistance for Eastern Europe and the Baltic States; 72-1093-0-1-151 Assistance for the Independent States of the Former Soviet Union; 72-1035-0-1-151 International Disaster Assistance.

**Obligations:**

FY 07 \$395,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Mission and Washington Operating Units generally make awards for up to five years. PPAs can be made at small and large dollar values depending upon the needs, partner contribution level and resources being allocated by USAID. Typical awards range from \$300,000 to \$1,000,000 with GDA Incentive Funds.

**PROGRAM ACCOMPLISHMENTS:**

USAID's alliance activities pursue multiple strategic objectives in more than 100 countries around the world. USAID has funded nearly 400 alliances with \$1.5 billion of resources, and leveraged over \$4.6 billion in Partner resources. The objectives of these alliances support the Agency's objectives to: (1) Advance the growth of democracy and good governance, including civil society, the rule of law, respect for human rights, and religious freedom; (2) Strengthen world economic growth, development, and stability, while expanding opportunities for U.S. businesses and ensuring economic security for the nation; (3) Improve health, education, environment, and other conditions for the global population; and (4) Minimize the human costs of displacement, conflicts, and natural disasters.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administration policies are in 22 CFR 226, and may be found at <http://www.gpo.gov/nara/cfr/index.html>. Internal USAID policy directives, including standard formats, may be found in Automated Directive Systems (ADS) Chapter 303. The ADS is available on the USAID website at <http://www.usaid.gov/pubs/ads/>. Other information regarding USAID's program may be found at [www.usaid.gov](http://www.usaid.gov).

**Regional or Local Office:**

Jim Thompson, GDA Secretariat, 202-712- 4272, United States Agency for International Development, Washington, DC 20523. USAID Mission's contact information can be found at [www.usaid.gov](http://www.usaid.gov).

**Headquarters Office:**

GDA Secretariat, U.S. Agency for International Development, Washington D.C. 20523.

**Web Site Address:**

[http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

See the GDA Secretariat website:  
[http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/).

**CRITERIA FOR SELECTING PROPOSALS:**

Public/Private Alliance proposals will be evaluated based upon the criteria expressed in the formal solicitation that will be posted at [www.grants.gov](http://www.grants.gov). Individual USAID Missions or Operating Units may also issue competitive solicitations with a Public/Private Alliance model and the criteria may differ from those noted in the Global Development Alliance Secretariat's announcement.

**98.012 USAID DEVELOPMENT PARTNERSHIPS FOR UNIVERSITY COOPERATION AND DEVELOPMENT**

**FEDERAL AGENCY:**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT,  
BUREAU FOR ECONOMIC GROWTH, AGRICULTURE AND TRADE,  
OFFICE OF EDUCATION

**AUTHORIZATION:**

Worldwide higher education partnerships for development program (936-5861 project number). Authorized June 26, 1997, Congressional reference: CP 1997, Statistical Annex, page 306.

**OBJECTIVES:**

The purpose of the program is to support and advance the achievement of USAID's strategic objectives through the application of higher education resources, talents and expertise.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements).

**USES AND USE RESTRICTIONS:**

Assistance can be used by U.S. institutions of higher education to collaborate with institutions of higher education in developing countries to conduct projects that address critical development needs. Projects must be advance USAID development objectives in the proposed country of activity. A comprehensive list of prior activities funded under this agreement can be found at [www.HEDProgram.org/](http://www.HEDProgram.org/). Use restrictions are also specified in the terms of each solicitation issued under the cooperative agreement. Additional information regarding the cooperative agreement can be found at [www.HEDProgram.org/](http://www.HEDProgram.org/).

**Applicant Eligibility:**

US institutions of higher education, including community colleges, are eligible to apply, subject to the terms of any solicitation. Solicitations and any additional eligibility requirements unique to the solicitation are published at [www.HEDProgram.org/](http://www.HEDProgram.org/).

**Beneficiary Eligibility:**

US institutions of higher education, including community colleges, are eligible to apply, subject to the terms of any solicitation. Solicitations and any additional eligibility requirements unique to the solicitation are published at [www.HEDProgram.org/](http://www.HEDProgram.org/).

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedure:**

Solicitations and respective application procedures are announced via the Higher Education for Development Office. (See [www.HEDProgram.org/](http://www.HEDProgram.org/)).

**Award Procedure:**

Applications and proposals are peer-reviewed. Awards are made to the top proposals under the terms of the solicitation, subject to USAID approval and available funding. The awards are issued under USAID's cooperative agreement with the American Council on Education. Additional information can be found at [www.HEDProgram.org/](http://www.HEDProgram.org/).

**Deadlines:**

Application deadlines are specified in each solicitation. Solicitations can be found at [www.HEDProgram.org/](http://www.HEDProgram.org/).

**Range of Approval/Disapproval Time:**

Applicants should expect between 45-90 days for approval or disapproval.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

There is a requirement for matching. Applicants may be encouraged to achieve a target match which would be incorporated in the solicitation.

**Length and Time Phasing of Assistance:**

None.



**Reports:**

Each award recipient is required to provide Annual Work Plans, Semi-Annual Progress Reports and Quarterly financial statements (Form 269A). Additional reporting may be required to respond to specific requests for information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, non-federal entities that expand financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

72-1021-0-1-151 Development Assistance 72-1095-0-1-151 Child Survival and Health Program Fund 72-1037-0-1-151 Economic Support Fund.

**Obligations:**

FY 07 \$25,000,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Averaging \$22.6 million per year from FY 04 to FY 06 and ranging from \$14.3 million to \$31 million.

**PROGRAM ACCOMPLISHMENTS:**

Accomplishments: Higher Education for Development (HED), formerly Association Liaison Office for University Cooperation in Development (ALO) The HED provides support to the U.S. higher education community (HEC) to facilitate a working partnership with USAID. It is designed to support the achievement of USAID's strategic objectives, provide support to higher education institutions in USAID presence countries, strengthen their roles in addressing development problems, and increase the attention given to international development issues on U.S. campuses and by constituents and cooperating institutions. HED's work has been largely focused on support of higher education partnerships -- collaborative projects between U.S. colleges or universities and similar institutions overseas. To date, HED has financed 226 partnerships in 59 countries where USAID operates. There are two categories of HED partnerships: Institutional Partnerships (IPs) and Special Initiatives (SIs). IPs are funded centrally, whereas SIs are funded by Missions or AID/Washington Bureaus and Offices. Overall, the program has involved at least 139 U.S. colleges and universities and 174 higher education institutions overseas. Partnerships produce results and or products that support USAID Missions strategic objectives in agriculture/agri-business, economic growth and trade, environment and natural resource management, education, democracy and governance, HIV/AIDS, community development, workforce development, internet and information technology, population, health, and nutrition. HED Assessment Findings: Institutional Partnerships. A key goal of HED is to promote partnerships and strategic alliances among higher education institutions for development cooperation. The primary means for achieving this goal has been the IP program. The assessment team's principal findings with respect to IPs are as follows: Achieving Objectives. IPs aim primarily at change in the overseas higher education institution that will enhance its capability in a sector of interest to USAID. HED's outreach and selection processes have been effective in attracting and incorporating a large and diverse group of U.S. higher education institutions (universities, colleges, community colleges and historically black colleges) and overseas partner institutions. IPs have been undertaken on a very broad array of topics reflecting the interests and priorities of the key individuals involved. Most IPs achieve their planned results, and many go beyond initial plans to achieve unanticipated positive results. The achievements of many individual IPs are particularly impressive in view of the small amount of USAID resources provided to them. Impact. Measuring the impact of individual IPs is difficult, and, in fact, little has been done in this respect so far. The team's observations of 34 IPs suggest, however, that many will have or are likely to have significant impact, at least on their immediate environments. Relation to USAID. While most Missions are generally aware of the HED program, in many, there is little knowledge of the centrally-funded IPs operating in their countries and, as a result, they do not take full advantage of the possibilities. Special Initiatives. SIs have several advantages over IPs, including larger budgets, longer terms, and potential renewal. The funding comes from the Missions, which set the priorities and desired outcomes, prepare the scope of work for the request for applications (RFAs), and often select the host country partners. The Missions are also actively involved in planning, implementation, and monitoring. Overall Partnership Findings. Over the course of its work the team developed a high regard for both the IP and SI programs. Multiple instances were found of projects that achieved or were achieving their objectives and, in many cases, went well beyond their initial scope. The principal shortcoming was the lack, overall, of sufficient integration of partnerships, particularly IPs, into USAID strategic frameworks.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See [www.HEDProgram.org/](http://www.HEDProgram.org/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Martin Hewitt, Higher Education Community Liaison, USAID, 1300 Pennsylvania Avenue, N.W., Washington DC 20523. Phone: (202) 712-1531. Fax: (202) 216-3229 Email: [mhewitt@usaid.gov](mailto:mhewitt@usaid.gov).

**Web Site Address:**

[www.usaid.gov/](http://www.usaid.gov/); [www.HEDProgram.org/](http://www.HEDProgram.org/).

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Alamo Community College District/Universidad Tecnologico de Coahuila Award Date: 2004 TIES Cycle II Award Amount: \$299,017 Cost Share: \$512,976 Other Partners: El Paso Community College; Texas State Technical College at Harlingen; Universidad Tecnologica de Matamoros; Universidad Tecnologica de Ciudad Juarez. The partnership will increase the productivity of maquiladora manufacturing workers. The partners will develop an international institutional partnership between three Mexican technical colleges and three American community colleges to integrate proven workforce development solutions to help Mexico adapt to global competition and new technology, and to fill emerging gaps in workforce skills in the maquiladora manufacturing sector. Three hundred Mexican manufacturing/maquiladora workers at risk of displacement will participate in courses on short-term workforce solutions. Thirty advanced manufacturing workforce development training courses will be delivered in priority areas. In addition, seven scholarships will be provided to personnel from Mexican technical colleges to attend a Texas A&M University-Corpus Christi graduate-level certificate program in Higher Education Administration Community College Workforce Development Administration and Leadership. Cornell University/Bahir Dar University Award Date: 2003 Award Amount: \$117,618 Cost Share: \$87,523 Other Partners: Amhara Micro-Enterprise Agriculture Research Extension and Watershed Management Project; Amahara Regional Agricultural Research Institute. The partners aim to enhance agricultural production to provide food security programs for current and future generations in Ethiopia. The partnership is training a cadre of young professionals in integrated watershed management in Ethiopia. The focus of the partnership is on Lake Tana and its watershed, in the vicinity of Bahir Dar University. Partnership activities include the interdisciplinary training of 100 students who, once they graduate, will better manage existing natural resources. Highline Community College/False Bay College Award Date: 2003 Award Amount: \$125,000 Cost Share: \$48,850 Other Partners: Disabled Persons of South Africa (DPSA); Students Health and Welfare Centers Organization (SHAWCO); Western Cape Education Department; Altitude Workforce Solutions. The partners are developing a model to provide workforce training and job placement for the disabled. By building the capacity of False Bay College (FBC) to work with businesses, nongovernmental organizations, and the South African government agencies responsible for workforce development, the partnership is demonstrating that people with disabilities can be integrated into the workplace through a supported employment model. FBC administrators and a representative from the organization, Disabled Persons of South Africa, visited Highline Community College (HCC) to learn how the model works. Two HCC specialists on supported employment conducted a workshop for FBC instructors and staff on HCC's supported employment model and helped develop an orientation program for future participants. The partners have identified potential employers and are finishing work on a curriculum that will address the full spectrum of student needs and employer demands. The National Department of Education has recognized FBC's commitment to providing workforce training for the disabled by selecting FBC to be the pilot Further Education Training Institution for inclusive education. Indiana University/South East European University Special Initiative: 2001 Award Amount: \$2,325,000 Cost Share: \$584,499 Other Partners: Indiana Consortium for International Programs USAID/Macedonia, USAID/Europe and Eurasia Bureau; Organization for Security and Cooperation in Europe; Sabre Foundation. This Special Initiative is building the institutional capacity of South East European University (SEEU) as a new multilingual, multi-ethnic institution that offers a Western-style curriculum, high-quality teaching, action-oriented research, and community outreach. Among significant accomplishments, the partnership has developed and taught an intensive ESL program for students and professionals at SEEU and redesigned the SEEU computer center and trained 22 local full-time and part-time instructors. The partners have begun a one-semester computer literacy curriculum, required of all students, and sponsored visits to SEEU by U.S. faculty in business, education, communications, law, and public administration to consult on curriculum design, teach courses, offer faculty workshops, and conduct joint research projects. The partners selected and enrolled six SEEU junior faculty for M.A. fellowships at IU and other Indiana institutions, who will return to SEEU to teach. Also, the partners have enrolled SEEU ESL teachers in an online certificate course in language education, the first at any Macedonian university. SEEU's Chief Information Technology Officer took a three-week training program in university information systems technology at IU, and 10 IT instructors from SEEU have undertaken a second distance IT course leading to an IU certificate. The partners have delivered approximately 16,000 textbooks and reference materials to the SEEU library,

donated by the Sabre Foundation. An IU library consultant visited SEEU for two weeks and an SEEU librarian traveled to Indiana to for one month of training at U.S. partner institutions. SEEU has also received much-needed educational support equipment from IU partners. Langston University/Debut University, Awassa College of Agriculture Award Date: 1998, 2000 EDDI Sustainability (completed June 2003) Award Amounts: \$100,000 (1998), \$100,000 (2000 EDDI) Final Cost Share: \$119,219 Other Funds Leveraged: \$6,000 Other Partner: Oklahoma State University Partners enhanced the teaching, research, and extension capability of the Awassa College of Agriculture at Debut University (DU), and enhanced food security of the surrounding villages by establishing women's groups for goat production. More than 150 women received two goats each and were trained in dairy production. Two DU staff members received training in surgical procedures, and three visiting scholars from DU completed research at Langston University on aspects of goat production relevant to Ethiopian conditions. A DU faculty member received training in adult education and extension at Oklahoma State University (OSU). This faculty member subsequently conducted a workshop on adult education and extension for DU staff, in conjunction with an OSU faculty member. Two staff members from agricultural high schools received training in goat production. Partners also purchased equipment and installed a computer lab at DU and improved computer facilities on the campus. They conducted three seminars at DU on multimedia applications and their role in classroom instruction and extension activities. Partners then used multimedia in extension presentations to villagers participating in the goat-raising program. Tiffin University (GCDC)/University of Bucharest Award Date: 1999 (completed January 2003) Award Amount: \$98,289 Cost Share: \$86,000 Other Funds Leveraged: \$123,947 Other Partners: Council of International Programs USA (CIPUSA); Ministry of Justice; Ministry of the Interior; Ohio Department of Development; Ohio Attorney General's Office; Office of the Governor of the State of Ohio; local police departments; Bureau of Alcohol, Tobacco and Firearms; Drug Enforcement Agency; Department of Health and Human Services; National Association of the Fraternal Order of Police; San Diego State University; Terra Community College; Ohio State University; Loyola University; Women's Organization of Moldova; the probation center in Timisoara This partnership created a School of Criminal Justice (SCJ) at the University of Bucharest (UB), the first of its kind in Eastern and Central Europe. The partners developed a master's-level criminal justice course. In September 2001, UB graduated its first class of 15 master's degree students from the SCJ. Students in the course included the general director of Romania's prison system and members of his staff, administrators from the Ministries of Justice and Interior, and members of the police force. The partners added probation, juvenile justice, parole, and restorative justice to the curriculum, areas new to Romania's legal landscape. Introduction to Criminal Justice, a book written by the Tiffin University partnership director, was translated into Romanian to be used as the seminal text for the program. The president and prime minister of Romania affirmed their support for expanding the master's-level program to five other Romanian universities, including the West Timisoara University, where partner faculty will serve as visiting professors. University of Illinois, Urbana Champaign/Institute of Technology, Bandung Award Date: 1999 (completed May 2003) Award Amount: \$100,000 Cost Share: \$168,320 Other Funds Leveraged: \$237,250 Other Partners: Indonesia Partnership for Local Government Initiatives; Emerson Park Development Corporation; Forum Jatinangor This partnership executed a university-community collaboration model to strengthen local governance. Partners conducted five workshops with 198 participants at the start of the project to identify the most pressing development issues arising from the rapid growth of Jatinangor, an emerging urban area adjacent to Bandung. The partners conducted annual training programs at the University of Illinois at Urbana-Champaign's (UIUC) Local Government Management Institute to introduce Indonesian faculty to participatory planning in the context of U.S. local government. Two members of Forum Jatinangor, a grassroots organization, participated in the two-week institute and one member remained for a monthlong internship with the East St. Louis Action Research Project and the Emerson Park Development Corporation. The partners developed five new courses in city, regional, and international planning. The partnership's workforce development activities included establishing a skills retooling program for pedicab drivers in Jatinangor and supporting retention of local workers in the woodworking industry. University of Massachusetts Amherst/Afghanistan Education University Award Date: 2003 Award Amount: \$124,993 Cost Share: \$31,113 Other Funds Leveraged: \$5,000 The goal of this partnership is to build local institutional capacity for rapid teacher training in basic education. In response to the urgent educational needs in Afghanistan, the partners are increasing the Afghanistan Education University's (AEU) capability to train accelerated learning facilitators at the community level, develop culturally appropriate training materials, and promote dialogue on the role of rapid teacher training in AEU's academic program. To support project activities, the partners are establishing a Center for Active and Accelerated Learning at AEU, which will house project materials, provide logistical support for workshops and other linkage activities, and provide translation services. Originally, the partners had planned to train only 10 master trainers, but due to overwhelming demand and

despite enormous infrastructure and security challenges they have trained 38 to date, who, in turn, have conducted workshops for 371 participants in six provinces.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria vary by solicitation and are specified for each solicitation. In general, proposals are reviewed for the quality of the proposed activities and the impact such activities will likely have on critical development problems and objectives. Cost-effectiveness, short and long-term impacts, capacity development, cost-share, leverage and the qualifications of the personnel and institutions are all important. See [www.HEDProgram.org/](http://www.HEDProgram.org/) for exemplary solicitations and associated proposal review criteria.

# Appendix I: Programs Requiring Executive Order 12372 Review

*This appendix lists programs requiring Executive Order 12372 review. Executive Order 12372 "Intergovernmental Review of Federal Programs," structures the Federal government's system of consultation with State and local governments on its decisions involving grants, other forms of financial assistance, and direct development. Under E.O. 12372, States, in consultation with their local governments, design their own review processes and select those Federal financial assistance and direct development activities they wish to review.*

Since October 1, 1983 most States have acted to establish a review and comment system in response to E.O. 12372. In such cases, applicants for grants will need to meet the requirements of the intergovernmental consultation process established by a particular State and its local governments before Federal agencies take action on an application.

For more information on the process a particular State requires to be followed, an applicant should contact the office or official designated as the single point of contact in his or her State. Consult the individual program description in the Catalog to determine whether the programs under which he/she plans to apply is subject to E.O.12372. Consult the Federal agency's application package for instructions on State notification.

The State Single Point of Contact List is printed at the end of the listing of programs.

## DEPARTMENT OF AGRICULTURE

- 10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)
- 10.028 Wildlife Services (B)
- 10.070 Colorado River Basin Salinity Control Program (C)
- 10.156 Federal-State Marketing Improvement Program (B)
- 10.164 Wholesale Farmers and Alternative Market Development (K,M)
- 10.168 Farmers' Market Promotion Program (B)
- 10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)
- 10.405 Farm Labor Housing Loans and Grants (B,F)
- 10.411 Rural Housing Site Loans and Self-Help Housing Land Development Loans (E)
- 10.415 Rural Rental Housing Loans (B,E)
- 10.420 Rural Self-Help Housing Technical Assistance (B)
- 10.427 Rural Rental Assistance Payments (C)
- 10.433 Rural Housing Preservation Grants (B)
- 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)
- 10.553 School Breakfast Program (A)
- 10.555 National School Lunch Program (A)
- 10.556 Special Milk Program for Children (A)
- 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)
- 10.558 Child and Adult Care Food Program (A)
- 10.559 Summer Food Service Program for Children (A)
- 10.560 State Administrative Expenses for Child Nutrition (A)
- 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)
- 10.565 Commodity Supplemental Food Program (A,H)
- 10.566 Nutrition Assistance For Puerto Rico (C)
- 10.567 Food Distribution Program on Indian Reservations (B,H)
- 10.568 Emergency Food Assistance Program (Administrative Costs) (A)
- 10.569 Emergency Food Assistance Program (Food Commodities) (A)
- 10.664 Cooperative Forestry Assistance (A,B)
- 10.675 Urban and Community Forestry Program (B)
- 10.680 Forest Health Protection (A,B)
- 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)
- 10.763 Emergency Community Water Assistance Grants (B)
- 10.767 Intermediary Relending Program (E)
- 10.768 Business and Industry Loans (F)
- 10.769 Rural Business Enterprise Grants (B)
- 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)
- 10.771 Rural Cooperative Development Grants (B)
- 10.773 Rural Business Opportunity Grants (B)
- 10.854 Rural Economic Development Loans and Grants (B,E)
- 10.855 Distance Learning and Telemedicine Loans and Grants (B,E)
- 10.901 Resource Conservation and Development (K)
- 10.904 Watershed Protection and Flood Prevention (B,K)
- 10.906 Watershed Surveys and Planning (J,K)

## DEPARTMENT OF COMMERCE

- 11.300 Investments for Public Works and Economic Development Facilities (B)
- 11.307 Economic Adjustment Assistance (B)
- 11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)
- 11.405 Anadromous Fish Conservation Act Program (B)
- 11.407 Interjurisdictional Fisheries Act of 1986 (A)
- 11.419 Coastal Zone Management Administration Awards (A,B)
- 11.420 Coastal Zone Management Estuarine Research Reserves (B)
- 11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)
- 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)
- 11.433 Marine Fisheries Initiative (B)
- 11.434 Cooperative Fishery Statistics (B)
- 11.435 Southeast Area Monitoring and Assessment Program (B)
- 11.436 Columbia River Fisheries Development Program (B)
- 11.437 Pacific Fisheries Data Program (B)
- 11.438 Pacific Coast Salmon Recovery-Pacific Salmon Treaty Program (B)



# Appendix I: Programs Requiring Executive Order 12372 Review

- 11.439 Marine Mammal Data Program (B)
- 11.443 Short Term Climate Fluctuations (B)
- 11.452 Unallied Industry Projects (B)
- 11.454 Unallied Management Projects (B)
- 11.455 Cooperative Science and Education Program (B)
- 11.457 Chesapeake Bay Studies (B)
- 11.463 Habitat Conservation (B)
- 11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)
- 11.472 Unallied Science Program (B)
- 11.473 Coastal Services Center (B)
- 11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)
- 11.550 Public Telecommunications Facilities Planning and Construction (B)
- 11.611 Manufacturing Extension Partnership (B,L)

## DEPARTMENT OF DEFENSE

- 12.002 Procurement Technical Assistance For Business Firms (B)
- 12.100 Aquatic Plant Control (J,L)
- 12.101 Beach Erosion Control Projects (J)
- 12.104 Flood Plain Management Services (K,L)
- 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)
- 12.106 Flood Control Projects (J)
- 12.107 Navigation Projects (J)
- 12.108 Snagging and Clearing for Flood Control (J)
- 12.109 Protection, Clearing and Straightening Channels (J)
- 12.110 Planning Assistance to States (J)
- 12.113 State Memorandum of Agreement Program for the Reimbursement of Technical Services (B)
- 12.360 Research on Chemical and Biological Defense (B)
- 12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation (B)
- 12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)
- 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment (B)

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- 14.112 Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)
- 14.123 Mortgage Insurance-Housing in Older, Declining Areas (F)
- 14.126 Mortgage Insurance-Cooperative Projects (F)
- 14.127 Mortgage Insurance-Manufactured Home Parks (F)
- 14.128 Mortgage Insurance-Hospitals (F)
- 14.129 Mortgage Insurance-Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)
- 14.134 Mortgage Insurance-Rental Housing (F)
- 14.135 Mortgage Insurance-Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)
- 14.138 Mortgage Insurance-Rental Housing for the Elderly (F)
- 14.139 Mortgage Insurance-Rental Housing in Urban Renewal Areas (F)
- 14.151 Supplemental Loan Insurance-Multifamily Rental Housing (F)
- 14.157 Supportive Housing for the Elderly (C)
- 14.181 Supportive Housing for Persons with Disabilities (C)
- 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
- 14.218 Community Development Block Grants/Entitlement Grants (A)
- 14.231 Emergency Shelter Grants Program (A)
- 14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)
- 14.248 Community Development Block Grants-Section 108 Loan Guarantees (F)
- 14.850 Public and Indian Housing (C)
- 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)
- 14.872 Public Housing Capital Fund (A)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)

## DEPARTMENT OF THE INTERIOR

- 15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)
- 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)
- 15.253 Not-for-Profit AMD Reclamation (B)
- 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)
- 15.424 Marine Minerals Activities (B)
- 15.425 Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (B)
- 15.427 Federal Oil and Gas Royalty Management (B)
- 15.506 Water Desalination Research and Development Program (B)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (B)
- 15.524 Recreation Resources Management (B)
- 15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)
- 15.605 Sport Fish Restoration Program (A)
- 15.611 Wildlife Restoration (A)
- 15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)
- 15.615 Cooperative Endangered Species Conservation Fund (B)
- 15.616 Clean Vessel Act (B)
- 15.622 Sportfishing and Boating Safety Act (B)
- 15.625 Wildlife Conservation and Restoration (A)
- 15.626 Hunter Education and Safety Program (A)

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- 15.628 Multistate Conservation Grant Program (B)
- 15.632 Conservation Grants Private Stewardship for Imperiled Species (B)
- 15.636 Alaska Subsistence Management (B)
- 15.904 Historic Preservation Fund Grants-In-Aid (A,B)
- 15.916 Outdoor Recreation-Acquisition, Development and Planning (B)
- 15.923 National Center for Preservation Technology and Training (B)
- 15.926 American Battlefield Protection (B)
- 15.928 Civil War Battlefield Land Acquisition Grants (B)

## DEPARTMENT OF JUSTICE

- 16.019 Tribal Registry (B)
- 16.202 Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)
- 16.524 Legal Assistance for Victims (B)
- 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)
- 16.526 OVW Technical Assistance Initiative (B)
- 16.527 Supervised Visitation, Safe Havens for Children (B)
- 16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)
- 16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)
- 16.540 Juvenile Justice and Delinquency Prevention-Allocation to States (A,B)
- 16.548 Title V-Delinquency Prevention Program (A)
- 16.550 State Justice Statistics Program for Statistical Analysis Centers (B)
- 16.554 National Criminal History Improvement Program (NCHIP) (B)
- 16.556 Grants to State Sexual Assault and Domestic Violence Coalitions (A)
- 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Program (B)
- 16.578 Federal Surplus Property Transfer Program (H)
- 16.579 Edward Byrne Memorial Formula Grant Program (A)
- 16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)
- 16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)
- 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)
- 16.588 Violence Against Women Formula Grants (A)
- 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)
- 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)
- 16.593 Residential Substance Abuse Treatment for State Prisoners (A)
- 16.597 Motor Vehicle Theft Protection Act Program (B)
- 16.606 State Criminal Alien Assistance Program (D)
- 16.609 Community Prosecution and Project Safe Neighborhoods (B)
- 16.610 Regional Information Sharing Systems (B)
- 16.611 Closed-Circuit Televising of Child Victims of Abuse (B)
- 16.612 National White Collar Crime Center (B)
- 16.614 State and Local Anti-Terrorism Training (K,L,M)
- 16.710 Public Safety Partnership and Community Policing Grants (B)
- 16.726 Juvenile Mentoring Program (B)
- 16.727 Enforcing Underage Drinking Laws Program (B)
- 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)
- 16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)
- 16.741 Forensic DNA Backlog Reduction Program (A)
- 16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)
- 16.750 Support for Adam Walsh Act Implementation Grant Program (B)

## DEPARTMENT OF LABOR

- 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)
- 17.235 Senior Community Service Employment Program (A,B)
- 17.260 WIA Dislocated Workers (A,B)
- 17.266 Work Incentive Grants (B)
- 17.600 Mine Health and Safety Grants (B)
- 17.801 Disabled Veterans' Outreach Program (DVOP) (A)
- 17.802 Veterans' Employment Program (B)
- 17.804 Local Veterans' Employment Representative Program (A)

## DEPARTMENT OF TRANSPORTATION

- 20.106 Airport Improvement Program (B,K)
- 20.108 Aviation Research Grants (B,I)
- 20.109 Air Transportation Centers of Excellence (B,I,J)
- 20.205 Highway Planning and Construction (A,B)
- 20.219 Recreational Trails Program (A,B)
- 20.231 Performance and Registration Information Systems Management (A)
- 20.303 Grants-in-Aid for Railroad Safety-State Participation (B)
- 20.316 Railroad Rehabilitation and Improvement Financing Program (E)
- 20.500 Federal Transit-Capital Investment Grants (A,B)
- 20.505 Federal Transit-Metropolitan Planning Grants (A)
- 20.507 Federal Transit-Formula Grants (A)
- 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
- 20.514 Public Transportation Research (B,L,M)
- 20.515 State Planning and Research (A)
- 20.516 Job Access-Reverse Commute (B)

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- 20.600 State and Community Highway Safety (A)
- 20.601 Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (B)
- 20.602 Occupant Protection (B)
- 20.605 Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (B)
- 20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)
- 20.700 Pipeline Safety Program Base Grants (A)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)

## NATIONAL ENDOWMENT FOR THE ARTS

- 45.025 Promotion of the Arts-Partnership Agreements (A,B,K)

## NATIONAL ENDOWMENT FOR THE HUMANITIES

- 45.168 Promotion of the Humanities-We the People (B,D)

## INSTITUTE OF MUSEUM AND LIBRARY SERVICES

- 45.310 Grants to States (A)

## NATIONAL SCIENCE FOUNDATION

- 47.076 Education and Human Resources (B)

## SMALL BUSINESS ADMINISTRATION

- 59.037 Small Business Development Centers (B,J,K,L)

## DEPARTMENT OF VETERANS AFFAIRS

- 64.005 Grants to States for Construction of State Home Facilities (B)
- 64.201 National Cemeteries (J)
- 64.203 State Cemetery Grants (B)

## ENVIRONMENTAL PROTECTION AGENCY

- 66.001 Air Pollution Control Program Support (B)
- 66.032 State Indoor Radon Grants (B)
- 66.033 Ozone Transport Commission (B)
- 66.035 Community Action for a Renewed Environment (CARE) Program (B)
- 66.110 Healthy Communities Grant Program (B)
- 66.115 Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (B)
- 66.116 Regional Geographic Initiative/Environmental Priority Projects (B)
- 66.119 West Coast Estuaries Initiative (B)
- 66.202 Congressionally Mandated Projects (B)
- 66.203 Environmental Finance Center Grants (B)
- 66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)
- 66.312 State Environmental Justice Cooperative Agreement Program (B)
- 66.418 Construction Grants for Wastewater Treatment Works (B)
- 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)
- 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)
- 66.432 State Public Water System Supervision (A)
- 66.433 State Underground Water Source Protection (A)
- 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)
- 66.439 Targeted Watersheds Grants (B)
- 66.454 Water Quality Management Planning (A)
- 66.456 National Estuary Program (B)
- 66.458 Capitalization Grants for Clean Water State Revolving Funds (A)
- 66.460 Nonpoint Source Implementation Grants (A)
- 66.461 Regional Wetland Program Development Grants (B)
- 66.463 Water Quality Cooperative Agreements (B)
- 66.466 Chesapeake Bay Program (B)
- 66.467 Wastewater Operator Training Grant Program (Technical Assistance) (B)
- 66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)
- 66.469 Great Lakes Program (B,I,L)
- 66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)
- 66.472 Beach Monitoring and Notification Program Implementation Grants (A)
- 66.473 Direct Implementation Tribal Cooperative Agreements (B)
- 66.474 Water Protection Grants to the States (A)
- 66.475 Gulf of Mexico Program (B)
- 66.480 Assessment and Watershed Protection Program Grants (B)
- 66.508 Senior Environmental Employment Program (B)
- 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)
- 66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)
- 66.512 Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)
- 66.515 Greater Research Opportunities (GRO) Research Program (B)
- 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)
- 66.604 Environmental Justice Small Grant Program (B)
- 66.605 Performance Partnership Grants (A,B)



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- 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)
- 66.611 Environmental Policy and Innovation Grants (B)
- 66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)
- 66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)
- 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)
- 66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)
- 66.708 Pollution Prevention Grants Program (B)
- 66.709 Multi-Media Capacity Building Grants for States and Tribes (B)
- 66.714 Pesticide Environmental Stewardship Regional Grants (B)
- 66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)
- 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)
- 66.801 Hazardous Waste Management State Program Support (A)
- 66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)
- 66.804 State and Tribal Underground Storage Tanks Program (A)
- 66.805 Leaking Underground Storage Tank Trust Fund Program (A)
- 66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)
- 66.808 Solid Waste Management Assistance Grants (B)
- 66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)
- 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)
- 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)
- 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)
- 66.816 Headquarters and Regional Underground Storage Tanks Program (B)
- 66.817 State and Tribal Response Program Grants (A)
- 66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)
- 66.940 Environmental Policy and State Innovation Grants (B)

## DEPARTMENT OF ENERGY

- 81.041 State Energy Program (A)
- 81.042 Weatherization Assistance for Low-Income Persons (A)
- 81.049 Office of Science Financial Assistance Program (B)

## DEPARTMENT OF EDUCATION

- 84.002 Adult Education - Basic Grants to States (A)
- 84.004 Civil Rights Training and Advisory Services (B)
- 84.011 Migrant Education-State Grant Program (A)
- 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)
- 84.016 Undergraduate International Studies and Foreign Language Programs (B)
- 84.027 Special Education-Grants to States (A)
- 84.031 Higher Education-Institutional Aid (B)
- 84.040 Impact Aid-Facilities Maintenance (B)
- 84.041 Impact Aid (A)
- 84.042 TRIO-Student Support Services (B)
- 84.048 Career and Technical Education -- Basic Grants to States (A)
- 84.060 Indian Education-Grants to Local Educational Agencies (A)
- 84.083 Women's Educational Equity Act Program (B)
- 84.116 Fund for the Improvement of Postsecondary Education (B)
- 84.120 Minority Science and Engineering Improvement (B)
- 84.126 Rehabilitation Services-Vocational Rehabilitation Grants to States (A)
- 84.128 Rehabilitation Services-Service Projects (B)
- 84.129 Rehabilitation Long-Term Training (B)
- 84.132 Centers for Independent Living (B)
- 84.141 Migrant Education-High School Equivalency Program (B)
- 84.144 Migrant Education-Coordination Program (B)
- 84.145 Federal Real Property Assistance Program (H)
- 84.149 Migrant Education-College Assistance Migrant Program (B)
- 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)
- 84.161 Rehabilitation Services-Client Assistance Program (A)
- 84.165 Magnet Schools Assistance (B)
- 84.169 Independent Living-State Grants (A)
- 84.173 Special Education-Preschool Grants (A)
- 84.177 Rehabilitation Services-Independent Living Services for Older Individuals Who are Blind (A)
- 84.181 Special Education-Grants for Infants and Families (A)
- 84.184 Safe and Drug-Free Schools and Communities-National Programs (B)
- 84.186 Safe and Drug-Free Schools and Communities-State Grants (A)
- 84.187 Supported Employment Services for Individuals with Significant Disabilities (A)
- 84.191 Adult Education-National Leadership Activities (B)
- 84.196 Education for Homeless Children and Youth (A)
- 84.200 Graduate Assistance in Areas of National Need (B)
- 84.203 Star Schools (B)
- 84.206 Javits Gifted and Talented Students Education Grant Program (B)
- 84.214 Even Start-Migrant Education (B)
- 84.215 Fund for the Improvement of Education (B)
- 84.217 TRIO-McNair Post-Baccalaureate Achievement (B)
- 84.224 Assistive Technology (A,B,L)

# Appendix I: Programs Requiring Executive Order 12372 Review

- 84.234 Projects with Industry (B)
- 84.235 Rehabilitation Services Demonstration and Training Programs (B)
- 84.240 Program of Protection and Advocacy of Individual Rights (A)
- 84.243 Tech-Prep Education (A,B)
- 84.246 Rehabilitation Short-Term Training (B)
- 84.256 Freely Associated States-Education Grant Program (B)
- 84.263 Rehabilitation Training-Experimental and Innovative Training (B)
- 84.264 Rehabilitation Training-Continuing Education (B)
- 84.265 Rehabilitation Training-State Vocational Rehabilitation Unit In-Service Training (B)
- 84.269 Institute for International Public Policy (B)
- 84.274 American Overseas Research Centers (B)
- 84.275 Rehabilitation Training-General Training (B)
- 84.286 Ready to Teach (B)
- 84.287 Twenty-First Century Community Learning Centers (A)
- 84.293 Foreign Language Assistance (B)
- 84.295 Ready-To-Learn Television (B)
- 84.298 State Grants for Innovative Programs (A)
- 84.304 Civic Education - Cooperative Education Exchange Program (B)
- 84.310 Parental Information and Resource Centers (B)
- 84.315 Capacity Building for Traditionally Underserved Populations (B)
- 84.323 Special Education - State Personnel Development (B)
- 84.324 Research in Special Education (B)
- 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)
- 84.326 Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)
- 84.327 Special Education-Technology and Media Services for Individuals with Disabilities (B)
- 84.328 Special Education-Parent Information Centers (B)
- 84.329 Special Education-Studies and Evaluations (B)
- 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)
- 84.332 Comprehensive School Reform Demonstration (A)
- 84.333 Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (B)
- 84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)
- 84.335 Child Care Access Means Parents in School (B)
- 84.336 Teacher Quality Enhancement Grants (B)
- 84.337 International Education-Technological Innovation and Cooperation for Foreign Information Access (B)
- 84.343 Assistive Technology-State Grants for Protection and Advocacy (A)
- 84.349 Early Childhood Educator Professional Development (B)
- 84.350 Transition to Teaching (B)
- 84.351 Arts in Education (B)
- 84.354 Credit Enhancement for Charter School Facilities (B)
- 84.356 Alaska Native Educational Programs (B)
- 84.357 Reading First State Grants (B)
- 84.360 School Dropout Prevention Program (B)
- 84.361 Voluntary Public School Choice (B)
- 84.363 School Leadership (B)
- 84.364 Literacy through School Libraries (B)

## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

- 89.003 National Historical Publications and Records Grants (B)

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

- 93.003 Public Health and Social Services Emergency Fund (B)
- 93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)
- 93.008 Medical Reserve Corps Small Grant Program (B)
- 93.010 Community-Based Abstinence Education (CBAE) (B)
- 93.012 Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (B)
- 93.013 Ambassadors for Change Program (B)
- 93.014 Steps to Healthier Girls Program (B)
- 93.015 HIV Prevention Programs for Women (B)
- 93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)
- 93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)
- 93.041 Special Programs for the Aging-Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)
- 93.042 Special Programs for the Aging-Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals (A)
- 93.043 Special Programs for the Aging-Title III, Part D-Disease Prevention and Health Promotion Services (A)
- 93.044 Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers (A)
- 93.045 Special Programs for the Aging-Title III, Part C-Nutrition Services (A)
- 93.053 Nutrition Services Incentive Program (A)
- 93.063 Centers for Genomics and Public Health (B)
- 93.068 Chronic Diseases: Research, Control, and Prevention (B)
- 93.069 Public Health Emergency Preparedness (B)
- 93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)
- 93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)
- 93.100 Health Disparities in Minority Health (B)
- 93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)
- 93.105 Bilingual/Bicultural Service Demonstration Grants (B)
- 93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)
- 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)

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93.129	Technical and Non-Financial Assistance to Health Centers (B)
93.134	Grants to Increase Organ Donations (B)
93.137	Community Programs to Improve Minority Health Grant Program (B)
93.145	AIDS Education and Training Centers (B)
93.153	Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)
93.161	Health Program for Toxic Substances and Disease Registry (B)
93.165	Grants to States for Loan Repayment Program (B)
93.184	Disabilities Prevention (B)
93.185	Immunization Research, Demonstration, Public Information and Education-Training and Clinical Skills Improvement Projects (B)
93.186	National Research Service Award in Primary Care Medicine (M)
93.197	Childhood Lead Poisoning Prevention Projects-State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)
93.204	Surveillance of Hazardous Substance Emergency Events (B)
93.206	Human Health Studies-Applied Research and Development (B)
93.211	Telehealth Network Grants (B)
93.217	Family Planning-Services (B)
93.223	Development and Coordination of Rural Health Services (B)
93.224	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)
93.229	Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (B)
93.230	Consolidated Knowledge Development and Application (KD&A) Program (B)
93.234	Traumatic Brain Injury State Demonstration Grant Program (B)
93.238	Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (B)
93.240	State Capacity Building (B)
93.260	Family Planning-Personnel Training (B)
93.266	Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)
93.268	Immunization Grants (B)
93.269	Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)
93.270	Adult Viral Hepatitis Prevention and Control (B)
93.276	Drug-Free Communities Support Program Grants (B)
93.283	Centers for Disease Control and Prevention-Investigations and Technical Assistance (B)
93.290	National Community Centers of Excellence in Women's Health (B)
93.294	Mentoring Partnership Program - Protege (B)
93.295	Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)
93.296	State Partnership Grant Program to Improve Minority Health (B)
93.389	National Center for Research Resources (B)
93.392	Cancer Construction (B)
93.448	Food Safety and Security Monitoring Project (B)
93.449	Ruminant Feed Ban Support Project (B)
93.550	Transitional Living for Homeless Youth (B)
93.557	Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)
93.563	Child Support Enforcement (A)
93.570	Community Services Block Grant-Discretionary Awards (B)
93.576	Refugee and Entrant Assistance-Discretionary Grants (B)
93.592	Family Violence Prevention and Services/Grants for Battered Women's Shelters-Discretionary Grants (B)
93.595	Welfare Reform Research, Evaluations and National Studies (B)
93.598	Services to Victims of a Severe Form of Trafficking (B)
93.600	Head Start (B)
93.602	Assets for Independence Demonstration Program (B)
93.604	Assistance for Torture Victims (B)
93.616	Mentoring Children of Prisoners (B)
93.617	Voting Access for Individuals with Disabilities-Grants to States (A)
93.623	Basic Center Grant (B)
93.631	Developmental Disabilities Projects of National Significance (B)
93.647	Social Services Research and Demonstration (B)
93.669	Child Abuse and Neglect State Grants (A)
93.670	Child Abuse and Neglect Discretionary Activities (B)
93.671	Family Violence Prevention and Services/Grants for Battered Women's Shelters-Grants to States and Indian Tribes (A)
93.768	Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)
93.890	Healthy Communities Access Program (HCAP) Demonstration Authority (B)
93.910	Family and Community Violence Prevention Program (B)
93.913	Grants to States for Operation of Offices of Rural Health (B)
93.914	HIV Emergency Relief Project Grants (B)
93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)
93.919	Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)
93.926	Healthy Start Initiative (B)
93.928	Special Projects of National Significance (B)
93.932	Native Hawaiian Health Systems (B)
93.938	Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)
93.939	HIV Prevention Activities-Non-Governmental Organization Based (B)
93.940	HIV Prevention Activities-Health Department Based (B)
93.941	HIV Demonstration, Research, Public and Professional Education Projects (B)
93.944	Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)
93.945	Assistance Programs for Chronic Disease Prevention and Control (B)
93.946	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)
93.947	Tuberculosis Demonstration, Research, Public and Professional Education (B)



# Appendix I: Programs Requiring Executive Order 12372 Review

- 93.952 Trauma Care Systems Planning and Development (B)
- 93.977 Preventive Health Services-Sexually Transmitted Diseases Control Grants (B)
- 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)
- 93.990 National Health Promotion (B)
- 93.995 Adolescent Family Life-Demonstration Projects (B)

## CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

- 94.002 Retired and Senior Volunteer Program (B)
- 94.011 Foster Grandparent Program (B)
- 94.013 Volunteers in Service to America (J)
- 94.016 Senior Companion Program (B)

## DEPARTMENT OF HOMELAND SECURITY

- 97.004 State Domestic Preparedness Equipment Support Program (B)
- 97.005 State and Local Homeland Security Training Program (B)
- 97.006 State and Local Homeland Security Exercise Support (B)
- 97.008 Urban Areas Security Initiative (A)
- 97.009 Cuban/Haitian Entrant Program (B)
- 97.012 Boating Safety Financial Assistance (A)
- 97.013 State Access to the Oil Spill Liability Trust Fund (B)
- 97.014 Bridge Alteration (C)
- 97.015 Secret Service-Training Activities (M)
- 97.029 Flood Mitigation Assistance (B)
- 97.030 Community Disaster Loans (E)
- 97.034 Disaster Unemployment Assistance (C,J)
- 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)
- 97.042 Emergency Management Performance Grants (A)
- 97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B)
- 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)
- 97.052 Emergency Operations Centers (B)
- 97.053 Citizen Corps (B)
- 97.055 Interoperable Communications Equipment (B)
- 97.067 Homeland Security Grant Program (A)
- 97.068 Competitive Training Grants (B)
- 97.069 Aviation Research Grants (B,I)
- 97.070 Map Modernization Management Support (B)
- 97.071 Metropolitan Medical Response System (B)
- 97.072 National Explosives Detection Canine Team Program (B)
- 97.073 State Homeland Security Program (SHSP) (A)
- 97.074 Law Enforcement Terrorism Prevention Program (LETPP) (A)
- 97.078 Buffer Zone Protection Program (BZPP) (B)
- 97.080 Information Analysis Infrastructure Protection (IAIP) Pilot Projects (B)
- 97.087 Alternative Housing Pilot Program (B)
- 97.089 Real ID Program (B)
- 97.092 Repetitive Flood Claims (B)
- 97.106 Securing the Cities (B,H,I,L)
- 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)
- 97.110 Severe Loss Repetitive Program (B)

# Appendix II: Authorization Appendix

This appendix Lists Public Laws, Acts and Executive Orders which mandate the program(s) corresponding to the program numbers shown below. In the first part of the Appendix, the Acts are catalogued in alphabetical sequence. In the second part of the Appendix, the Public Laws are listed in the order of the congress in which the program was enacted

## Acts and Executive Orders

### A

Abandoned Infants Assistance Act of 1988, as amended -- 93.551  
Abandoned Mine Reclamation Act of 1990-- 10.910  
Accountable Pipeline Safety and Partnership Act of 1996-- 20.700  
Act of August 24,1935-- 10.077, 10.081  
Act of August 27,1888, as amended -- 64.014  
Act of August 31,1954-- 11.002, 11.003, 11.004, 11.005, 11.006  
Act of February 20,1929-- 15.875  
Act of June 21,1940, as amended -- 97.014  
Act of June 25,1910-- 15.035  
Act of March 3,1901-- 15.040  
Act of March 3,1921,1946-- 15.040  
Act of November 4,1990-- 10.684  
Act to Promote the Development of Indian Arts and Crafts as amended-- 15.850 Act)-- 93.010  
Adam Walsh Child Protection and Safety Act of 2006 (AWA)-- 16.750  
Added a new Section 184A to the Housing and Community Development Act of 1992, to authorize a new program of loan guarantees for Native Hawaiian housing-- 14.874  
Administrative Dispute Resolution Act-- 34.001  
Adoption and Safe Families Act of 1997-- 93.556  
Adoption Promotion Act of 2003-- 93.603  
Adult Education and Family Literacy Act, as amended -- 84.002, 84.191, 84.257  
Adult Education and Family Literacy Act-- 84.002, 84.191, 84.257  
African Elephant Conservation Act-- 15.620  
Age Discrimination Act of 1975, as amended -- 14.402, 93.001  
Age Discrimination Act of 1975-- 14.402, 93.001  
Age Discrimination in Employment Act of 1967, as amended -- 30.005  
Age Discrimination in Employment Act of 1967, as amended -- 30.002, 30.008  
Agricultural Act of 1949, as amended -- 10.051, 10.567, 10.607  
Agricultural Act of 1949-- 10.051, 10.567, 10.607  
Agricultural Act of 1970, as amended -- 10.053, 10.452  
Agricultural Act of 1980-- 10.079  
Agricultural Adjustment Act of 1938, as amended -- 10.051, 10.167, 10.450  
Agricultural Adjustment Act of 1938-- 10.051, 10.167, 10.450  
Agricultural Credit Act of 1978, as amended -- 10.054, 10.923  
Agricultural Credit Act of 1987-- 10.435  
Agricultural Credit Improvement Act of 1992-- 10.435  
Agricultural Fair Practices Act-- 10.163  
Agricultural Market Transition Act-- 10.454, 10.456  
Agricultural Marketing Act of 1946, as amended -- 10.153, 10.156, 10.162, 10.163, 10.164, 10.167, 10.350, 11.413  
Agricultural Marketing Act of 1946-- 10.153, 10.156, 10.162, 10.163, 10.164, 10.167, 10.350, 11.413  
Agricultural Marketing Agreement Act of 1937, as amended -- 10.155  
Agricultural Research, Extension, and Education Reform Act of 1998-- 10.450, 10.500  
Agricultural Risk Protection Act of 2000-- 10.051, 10.454, 10.500, 10.917  
Agricultural Trade Act of 1978, as amended -- 10.600, 10.601  
Agricultural Trade Act of 1978-- 10.600, 10.601  
Agricultural Trade and Assistance Act of 1954-- 10.167  
Agriculture Act of 1961-- 10.406  
Agriculture and Consumer Protection Act of 1973, as amended -- 10.053, 10.565, 10.567  
Agriculture and Food Act of 1981-- 10.155, 10.500  
Agriculture Marketing Act of 1946, as amended -- 10.477  
Agriculture Risk Protection Act of 2000, as amended -- 10.352, 10.450  
Agriculture Risk Protection Act of 2000-- 10.352, 10.450  
Agriculture, Rural Development, Food and Drug Administration and Related Agencies Appropriations Act-- 10.051  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act,2006,Rural Development Programs,Rural Utilities Service,Distance Learning,Telemedicine,and Broadband Program-- 10.861  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act-- 10.449  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001-- 10.066, 10.073  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act,2005-- 10.446  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act,2006, as amended -- 10.778  
Agriculture, Rural Development, Food, Drug Administration, and Related Agencies Appropriation Act of 2000-- 10.450  
Agriculture, Rural Development, Food, Drug Administration, and Related Agencies Appropriation Act of 2001-- 10.450  
Agriculture, Rural Development, Food, Drug Administration, and Related Agencies Appropriations Act of 1998-- 10.574  
Agriculture, Rural Development, Food, Drug Administration, and Related Agencies Appropriations Act of 1999-- 10.450, 10.574, 10.772  
Agriculture, Rural Development, Food, Drug Administration, and Related Agencies Appropriations Act of 2000-- 10.574  
Agriculture, Rural Development, Food, Drug Administration, and Related Agencies Appropriations Act of 2001-- 10.051, 10.574  
Agriculture, Trade and Development Assistance Act of 1954, as amended -- 98.007  
Agriculture, Trade and Development Assistance Act of 1954,P.L. 480, as amended -- 98.008  
AIDS Housing Opportunity Act-- 14.241  
Airport and Airway Development Act of 1970, as amended -- 20.100  
Alaska National Interest Lands Conservation Act-- 15.036, 15.041, 15.052, 15.053, 15.055, 15.608  
Alaska National Interest Lands Conservation Act (ANILCA) of 1980-- 15.636  
Alaska Native Claims Settlement Act-- 15.036, 15.041, 15.052, 15.053, 15.055  
Amending the Magnuson-Stevens Fishery Conservation and Management Act-- 36.001  
Amendment of Consolidated Farm and Rural Development Act of 1987-- 10.410, 10.445  
Amendment to the International Coffee Agreement Act of 1980, as amended -- 17.245  
Amendments of 2003-- 93.253  
America Creating Opportunities To Meaningfully Promote Excellence In Technology, Education, and Science Act,2007-- 84.381  
American Battlefield Protection Act of 1996-- 15.926, 15.928  
American Competitiveness and Workforce Improvement Act of 1998-- 17.268  
American Homeownership and Economic Opportunity Act of 2000-- 14.181, 14.191  
American Indian Agriculture Resource Management Act-- 15.034  
American Indian Trust Fund Management Reform Act of 1994-- 15.147  
American Jobs Creation Act of 2004-- 93.365  
American Technology Preeminence Act of 1991-- 11.611, 11.612, 11.650  
Americans with Disabilities Act, as amended -- 16.108, 30.002, 30.005, 30.011  
Americans with Disabilities Act-- 16.108, 30.002, 30.005, 30.011  
Americans with Disabilities Act of 1990-- 14.414, 17.301, 88.001, 93.001  
Anadromous Fish Conservation Act of 1965, as amended -- 11.405  
Animal Damage Control Act of 1931, as amended -- 10.028  
Animal Welfare Act, as amended -- 10.025  
Annual appropriation laws (for 2008 The Department of Transportation Act,2008,Housing and Urban Development-- Annual Department of Interior, Environment, and related Agencies Appropriations Act-- 66.202  
Anti-Drug Abuse Act of 1988-- 16.560, 16.562, 16.566, 16.583  
Anti-Terrorism and Effective Death Penalty Act of 1996-- 16.583, 16.614  
Appalachian Regional Development Act Amendments of 2002-- 23.001, 23.002, 23.009, 23.011  
Appalachian Regional Development Act of 1965, as amended -- 23.001, 23.002, 23.003, 23.009, 23.011  
Appropriation Act of 1991-- 93.111, 93.217, 93.260, 93.974  
Appropriations Act of 2001-- 16.609  
Appropriations Act of 2002,2004,2006-- 16.609  
Archaeological and Historic Preservation Act of 1974-- 15.511  
Archaeological Resources Protection Act-- 15.224  
Architectural Barriers Act of 1968, as amended -- 14.407, 88.001  
As added by The Public Health Security and Bioterrorism Preparedness and Response Act of 2002-- 66.478  
As amended (INA) and the Refugee Migration and Assistance Act-- 19.510  
As amended (Trade Act)-- 11.313  
As amended and the Consolidated Appropriations Act-- 14.314  
As amended and the Higher Education Act of 1965-- 94.005  
As amended. Section 203(a) of Agricultural Assistance Act of 2003-- 10.077  
As amended. Bunning - Bereuter -Blumenauer Flood Insurance Reform Act of 2004-- 97.092  
As amended. Higher Education Act of 1965, as amended -- 84.031  
As amended. The International Academic Opportunity Act of 2000-- 19.425  
Asian Elephant Conservation Act-- 15.621  
Assets for Independence Act,Community Opportunities,Accountability,Training-- 93.602  
Assistive Technology Act of 1998, as amended -- 84.224, 84.343

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Assistive Technology Act of 1998-- 84.224, 84.343  
Atlantic Coastal Fisheries Cooperative Management Act, as amended -- 11.474  
Atomic Energy Act of 1954, as amended -- 81.003, 81.022, 81.049, 81.057, 81.104, 81.108, 81.112, 81.113, 81.114, 81.121, 81.123, 81.124  
Authorized Under Medicare Prescription Drug, Improvement and Modernization Act of 2003-- 93.770  
Authorized Under Medicare Prescription Drug, Improvement, and Modernization Act of 2003-- 93.783  
Aviation and Transportation Security Act-- 97.072  
Aviation Security Improvement Act of 1990-- 20.108

### B

Balanced Budget Act of 1997-- 93.237, 93.241, 93.442, 93.558, 93.767, 93.773, 93.774, 93.778  
Balanced Budget and Refinement Act of 1999-- 93.773  
Balanced Budget Down Payment Act II of 1996-- 81.041, 81.119  
Balanced Budget Refinement Act of 1999-- 93.774  
Beaches Environmental Assessment and Coastal Health Act of 2000-- 66.472  
Beef Promotion and Research Act of 1985-- 10.163  
Black Lung Benefits Act-- 93.965  
Breast and Cervical Cancer Mortality Prevention Act of 1990-- 93.919  
Bridge Act of 1906-- 97.014  
Bulletproof Vest Partnership Grant Act of 1998-- 16.607  
Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004-- 97.110

### C

Call Home Act of 2006-- 11.555  
Capper Volstead Act-- 10.163  
Cardiac Arrest Survival Act of 2000-- 93.259  
Carl D. Perkins Career and Technical Education Act of 2006, as amended -- 84.051, 84.101, 84.243, 84.245, 84.259  
Carl D. Perkins Career and Technical Education Act of 2006-- 84.051, 84.101, 84.243, 84.245, 84.259  
Carl D. Perkins Career Technical Education Act of 2006-- 84.048  
Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Perkins Act)-- 17.267  
Catastrophic Coverage Repeal Act of 1989-- 93.773  
CCC Charter Act-- 10.078  
Centennial Challenge Provision (2008), FY 2008 Appropriations Act (December 17,2007)(see H.R. Rep. No. 110-497,Division F,to accompany H. Res. 878,at 266)-- 15.406  
Central Valley Project Improvement Act-- 15.512, 15.648  
Central Valley Project Improvement Act (CVPIA),1992-- 15.532  
Chafee Foster Care Independence Act of 1999-- 93.599  
Chesapeake Bay Initiative Act of 1993-- 15.930  
Child Abuse Amendments of 1984-- 93.591, 93.592, 93.671  
Child Abuse Prevention and Treatment Act, as amended -- 93.590, 93.670  
Child Abuse Prevention and Treatment Act (CAPTA), as amended -- 93.643  
Child Abuse Prevention and Treatment Act (CAPTA) OF 1996-- 93.591, 93.592, 93.671  
Child Abuse Prevention and Treatment Act Amendments-- 93.669  
Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, as amended -- 93.652  
Child Abuse Prevention and Treatment Enforcement Act of 2000-- 16.583  
Child Abuse Prevention, Adoption and Family Services Act of 1988, as amended -- 93.669, 93.670  
Child Abuse, Domestic Violence, Adoption, and Family Services Act of 1992-- 93.669  
Child and Family Services Improvement Act of 2006-- 93.087, 93.586  
Child Care and Development Block Grant Act of 1990-- 93.575, 93.596  
Child Nutrition Act of 1966, as amended -- 10.553, 10.556, 10.557, 10.560, 10.572, 10.578, 10.578  
Child Nutrition Act of 1966-- 10.553, 10.556, 10.557, 10.560, 10.572, 10.578, 10.578  
Children's Health Act of 2000-- 93.197, 93.243, 93.254  
Children's Health Act,2000-- 93.255  
Children's Justice and Assistance Act of 1986, as amended -- 16.583  
Civil Rights Act of 1964, as amended -- 14.405, 16.100, 16.101, 16.103, 16.105, 16.200, 30.001, 30.002, 30.005, 30.009, 84.004, 93.001  
Civil Rights Act of 1968, as amended -- 16.103  
Civil Rights Act of 1991-- 30.001, 30.002, 30.005, 30.008, 30.009  
Civil Rights Commission Reauthorization Act of 1991-- 29.001  
Civil Rights of Institutionalized Persons Act-- 16.105  
Civil Service Reform Act of 1978-- 27.001, 27.006  
Clark County Conservation of Public Land and National Resources Act of 2002-- 15.235  
Clayton Act, as amended -- 36.001  
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Clean Water Act, as amended -- 66.035, 66.110, 66.111, 66.112, 66.113, 66.115, 66.116, 66.117, 66.202, 66.203, 66.203, 66.306, 66.309, 66.310, 66.312, 66.418, 66.418, 66.436, 66.437, 66.454, 66.456, 66.460, 66.461, 66.462, 66.463, 66.466, 66.469, 66.472, 66.475, 66.479, 66.480, 66.509, 66.510, 66.511, 66.512, 66.513, 66.514, 66.515, 66.516, 66.517, 66.604, 66.609, 66.610, 66.611, 66.612, 66.709, 66.931, 66.940, 66.952  
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Coastal Wetlands Planning, Protection and Restoration Act-- 15.614  
Coastal Zone Act Reauthorization Amendments of 1990-- 11.419, 11.420  
Coastal Zone Management Act Amendments of 1976-- 11.419  
Coastal Zone Management Act Amendments of 1980-- 11.419, 11.420  
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Coastal Zone Management Act of 1972-- 11.419, 11.420  
College Cost Reduction and Access Act (CCRAA) of 2007-- 84.031, 84.382  
Colorado River Basin Project Act-- 15.510  
Colorado River Basin Salinity Control Act, as amended -- 15.509  
Colorado River Basin Salinity Control Act of 1974, as amended -- 10.070  
Colorado Ute Indian Water Rights Settlement Act of 1988, as amended -- 15.510  
Colorado Ute Settlement Act Amendments of 2000-- 15.510  
Commodity Credit Corporation (CCC) Charter Act-- 10.605  
Commodity Credit Corporation Charter Act, as amended -- 10.051  
Commodity Exchange Act, as amended -- 78.004  
Commodity Futures Modernization Act of 2000-- 78.004  
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Communications Act of 1934, as amended -- 11.550, 11.554, 11.556, 32.001  
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Community Economic Development Act of 1981, as amended -- 10.767  
Community Opportunities, Accountability, Training, and Educational Services Act of 1998-- 93.569, 93.570  
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Community Services Block Grant Act-- 93.001  
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Compensation and Liability Act-- 66.112, 66.202, 66.940, 93.202  
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Comprehensive Drug Abuse Prevention and Control Act of 1970,1968,1973-- 16.001  
Comprehensive Drug Abuse Prevention and Control Act of 1970,1973-- 16.003, 16.004  
Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) of 1980, as amended -- 97.021  
Comprehensive Environmental Response, Compensation, and Liability Act, as amended -- 66.814, 66.817, 66.952  
Comprehensive Environmental Response, Compensation, and Liability Act-- 66.814, 66.817, 66.952  
Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), as amended -- 66.517, 66.809, 66.813  
Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended -- 12.113, 15.041, 66.511, 66.802, 66.806, 66.815, 93.143, 93.161, 93.204, 93.206, 93.208, 93.240, 97.020  
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Comprehensive Smokeless Tobacco Health Education Act of 1986-- 36.001  
Conference Report On H.R. 4577, Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act,2001,(House of Representatives - December 15,H.R. 2646-- 90.202  
Congress authorized funding for The Performance and Registration Information Systems Management Program (PRISM) through the Motor Carrier Safety Act of 1991-



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Consolidated Appropriation Act 2008-- 97.056  
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Consolidated Appropriations Act-- 14.866, 14.877, 14.878, 14.880, 17.720, 93.575  
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Consolidated Appropriations Act for Fiscal Year 2008-- 66.119  
Consolidated Appropriations Act of 2000-- 17.245  
Consolidated Appropriations Act of 2001-- 16.616  
Consolidated Appropriations Act of 2005,Division E-- 15.232  
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Consolidated Appropriations Act,2006-- 66.473  
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Consolidated Appropriations Act,as they relate to DoC. These grants shall be awarded to colleges,universities,and other non-profit science research organizations on a competitive basis. 153 Congressional Record H15790 (December 17,2007)-- 11.618  
Consolidated Farm and Rural Development Act, as amended -- 10.404, 10.407, 10.437, 10.760, 10.761, 10.762, 10.763, 10.766, 10.768, 10.769, 10.770, 10.771, 10.860, 10.862, 10.864  
Consolidated Farm and Rural Development Act-- 10.404, 10.407, 10.437, 10.760, 10.761, 10.762, 10.763, 10.766, 10.768, 10.769, 10.770, 10.771, 10.860, 10.862, 10.864  
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Contained in EPA's annual appropriation Acts. Authorization for multi-media assistance agreements for training, studies, research-- 66.608  
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Cooperative Forestry Assistance Act of 1978-- 10.664, 10.675, 10.676, 10.678, 10.680, 10.681  
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Defense Against Weapons of Mass Destruction Act of 1966-- 97.025  
Defense Appropriation Act, as amended -- 12.404  
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Defense Base Clouser and Realignment Act of 1990, as amended -- 12.607  
Defense Production Act of 1950, as amended -- 36.001, 97.026, 97.027, 97.028  
Defense Reauthorization Act of 1991-- 17.807  
Deficit Reduction Act of 1984, as amended -- 17.245  
Deficit Reduction Act of 2005, as amended -- 11.555, 93.586, 93.595, 93.760, 93.774, 93.780, 93.781, 93.789, 93.790, 93.793  
Deficit Reduction Act of 2005-- 11.555, 93.586, 93.595, 93.760, 93.774, 93.780, 93.781, 93.789, 93.790, 93.793  
Deficit Reduction Act of 2005 (DRA)-- 93.558, 93.776  
Demonstrations and similar activities that facilitate state and tribal participation in the Exchange Network and are funded by EPA's Environmental Programs and Management (EPM) account (not the STAG account) is provided by the following statutes Clean Water Act--  
Denali Commission Act,October 21,1998-- 90.100  
Department of Agriculture Reorganization Act of 1994-- 10.435  
Department of Commerce and Related Agencies Appropriations Act-- 11.800, 11.801, 11.803  
Department of Commerce and Related Agencies Appropriations Act of 2002-- 11.113, 11.457  
Department of Commerce Appropriation Act of 1999-- 11.452, 11.454, 11.455, 11.463  
Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act of 2002-- 66.478  
Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act,2002-- 66.474  
Department of Defense Appropriation Act 2003-- 12.116  
Department of Defense Appropriations Act,2006,Division B-- 10.778  
Department of Defense Authorization Act of 1985-- 91.001, 91.002  
Department of Defense Authorization Act of 1986-- 97.040  
Department of Education Organization Act of 1979-- 84.145  
Department of Energy (DOE) Organization Act of 1977, as amended -- 81.113, 81.123  
Department of Energy Organization Act of 1977, as amended -- 81.003, 81.022, 81.036, 81.041, 81.042, 81.049, 81.079, 81.086, 81.087, 81.104, 81.105, 81.112, 81.114, 81.117, 81.121, 81.122, 81.124  
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Department of Health and Human Services Appropriation Act of 1987-- 93.136  
Department of Homeland Security Act, as amended -- 97.080  
Department of Homeland Security Appropriation Act of 2008-- 97.068  
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Department of Homeland Security Appropriations Act of 2006-- 97.005  
Department of Homeland Security Appropriations Act of 2007-- 97.107  
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Department of Homeland Security Appropriations Act,2005-- 97.096  
Department of Housing and Urban Development Act-- 14.871  
Department of Housing and Urban Development Reform Act of 1989-- 14.856  
Department of Interior, Environment, and Related Agencies Appropriations Act-- 10.672  
Department of Justice Appropriations Act of 2001-- 16.616  
Department of Justice Appropriations Act,2005-- 16.741  
Department of Transportation Act of 1966, as amended -- 20.301  
Department of Transportation and Related Agencies (I.E. Commerce, Justice, State) Appropriations Act of 2001-- 15.625  
Department of Transportation and Related Agencies Appropriations Act of 2003-- 97.100  
Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriation Act-- 66.812  
Departments of Commerce, Justice, State, Judiciary, and Related Agencies Appropriations Act-- 11.469, 16.731  
Departments of Commerce, Justice, State, Judiciary, and Related Agencies Appropriations Act of 2002-- 97.006  
Departments of Justice, State, Judiciary, and Related Agencies Appropriations Act-- 11.477  
Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act,2001,H.R. 2646, as amended -- 90.200, 90.201  
Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act,2001,H.R. 2646-- 90.200, 90.201  
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Departments of Veterans Affairs, Housing, Urban Development, and Independent Agencies Appropriations Act,2000-- 97.052  
Departments of Veterans Affairs, Housing, Urban Development, Independent Agencies Appropriations Act of 2000-- 14.871  
Dept. of Interior, Environmental and Related Agencies Appropriations Act,2006-- 66.439  
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Developmental Disabilities Assistance and Bill of Rights Act of 1994-- 93.630, 93.631, 93.632  
Developmental Disabilities Assistance and Bill of Rights Act of 2000-- 93.630, 93.631, 93.632  
Developmental Disabilities Assistance and Bill of Rights Act,October 30,2000, as amended -- 93.138  
Developmental Disabilities Rehabilitation and Assistance and Bill of Rights Act-- 96.008  
DHS Appropriations Act for Fiscal Year 2005-- 97.058  
Dingell-Johnson Sport Fish Restoration Act, as amended -- 15.628  
Dingell-Johnson Sport Fish Restoration Act of 1950, as amended -- 15.605  
Disadvantaged Minority Health Improvement Act of 1990-- 93.100  
Disaster Mitigation Act of 2000-- 97.047  
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Disaster Relief Act of 1970-- 59.008  
Disease Control Amendments of 1972-- 93.977, 93.978  
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District of Columbia Appropriations Act of 2001-- 16.616  
District of Columbia Public Postsecondary Education Reorganization Act-- 10.500  
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Dolphin Protection Consumer Information Act, as amended -- 36.001  
Domestic Volunteer Service Act of 1973, as amended -- 94.002, 94.011, 94.013, 94.016  
Drug Abuse offense and Treatment Act of 1972-- 93.001  
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Earthquake Hazards Reduction Act of 1977, as amended -- 97.025, 97.026, 97.027, 97.028, 97.082  
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Education Reform Act of 1998, as amended -- 10.309  
Education Sciences Reform Act of 2002-- 84.324  
Education Sciences Reform Act of 2002,B and D,Secs. 133 and 172-- 84.305  
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Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU), as amended -- 20.200, 20.219, 20.240  
Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU)--  
Egg Products Inspection Act-- 10.162, 10.477  
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Electronic Fund Transfer Act-- 36.001  
Elementary and Secondary Education Act, as amended -- 84.013, 84.041, 84.083, 84.184, 84.186, 84.203, 84.213, 84.256, 84.286, 84.310, 84.330, 84.332, 84.349, 84.350, 84.358, 84.361, 84.362, 84.363, 84.374  
Elementary and Secondary Education Act-- 84.013, 84.041, 84.083, 84.184, 84.186, 84.203, 84.213, 84.256, 84.286, 84.310, 84.330, 84.332, 84.349, 84.350, 84.358, 84.361, 84.362, 84.363, 84.374  
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Elementary and Secondary Education Act of 1965-- 84.010, 84.011, 84.040, 84.060, 84.144, 84.165, 84.206, 84.214, 84.258, 84.282, 84.287, 84.293, 84.298, 84.318, 84.354, 84.357, 84.360, 84.364, 84.366, 84.367, 84.369, 84.371  
Elementary and Secondary Education Act of 1965 (ESEA),ESEA, as amended -- 84.215  
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Emergency Food Assistance Act of 1983-- 10.568, 10.569  
Emergency Home Purchase Assistance Act of 1974-- 14.163  
Emergency Planning and Right to Know Act-- 66.202  
Emergency Supplemental Appropriations Act for Defense,the Global War on Terror,and Hurricane Recovery-- 66.805, 97.087  
Emergency Wartime Supplemental Appropriation Act of 2003-- 97.061  
Emergency Wartime Supplemental Appropriations Act-- 97.055  
Emergency Wartime Supplemental Appropriations Act of 2003-- 97.075  
Emerging Markets Program Is Authorized By The Food, Agriculture, Conservation, and Trade Act of 1990 (FACT Act), as amended -- 10.603  
Employee Polygraph Protection Act of 1988-- 17.303  
Employee Retirement Income Security Act of 1974, as amended -- 17.150  
Employee Retirement Income Security Act of 1974 (ERISA), as amended -- 86.001  
Enacted February 8,2006-- 93.790, 93.793  
Enacted May 13,2002-- 10.994  
Enacted on May 13,2002-- 10.921  
Endangered Species Act-- 15.051  
Endangered Species Act of 1973, as amended -- 15.231, 15.615, 15.632, 15.640, 15.641, 15.651, 15.811  
Endangered Species Act of 1973-- 15.231, 15.615, 15.632, 15.640, 15.641, 15.651, 15.811  
Energy and Water Development Appropriation Act of 1985, as amended -- 15.518  
Energy and Water Development Appropriations Act-- 81.079  
Energy and Water Development Appropriations Act,2002, as amended -- 15.526  
Energy and Water Development Appropriations Act,2003,Sec. 207-- 15.508  
Energy and Water Development Appropriations Act,2004,Sec. 217-- 15.508  
Energy and Water Development Appropriations Act,2006, as amended -- 15.507, 15.528, 15.530, 81.123  
Energy and Water Development Appropriations Act,2006-- 15.507, 15.528, 15.530, 81.123  
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Energy Employees Occupational Illness Compensation Program Act of 2000, as amended -- 17.310  
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Energy Policy and Conservation Act, as amended -- 36.001, 81.041, 81.089, 81.119  
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Equal Credit Opportunity Act-- 36.001  
Equal Credit Opportunity Act of 1974-- 16.103  
Equal Credit Opportunity Act of 1976-- 16.103  
Equal Educational Opportunities Act of 1974-- 16.100  
Equal Pay Act of 1963, as amended -- 30.005, 30.010  
Equity in Educational Land-Grant Status Act of 1994, as amended -- 10.221, 10.222, 10.227  
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Executive Order 11375, October 13, 1967-- 17.301  
Executive Order 11478-- 11.449  
Executive Order 11521, March 26, 1970-- 17.806, 27.002  
Executive Order 11566, October 26, 1970-- 39.009  
Executive Order 11589, April 1, 1971-- 27.011  
Executive Order 11593, May 13, 1971-- 15.914, 15.915  
Executive Order 11625-- 11.803  
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Executive Order 12008, August 25, 1977-- 27.013  
Executive Order 12086, October 5, 1978-- 17.301  
Executive Order 12148, Federal Emergency Management-- 97.021  
Executive Order 12341, January 21, 1982-- 97.009  
Executive Order 12345 dated February 2-- 93.289  
Executive Order 12364, May 24, 1982-- 27.013  
Executive Order 12580, Superfund Implementation-- 97.021  
Executive Order 12645, July 12, 1988-- 27.013  
Executive Order 12694-- 93.289  
Executive Order 12873 Federal Acquisition, Recycling and Waste Prevention, October 20, 1993-- 66.717  
Executive Order 12906, April 13, 1994-- 15.809  
Executive Order 12994 as amended on July 25, 2003-- 93.613  
Executive Order 12999, April 17, 1996-- 39.003  
Executive Order 13101- Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition, September 14, 1998-- 66.717  
Executive Order 13112, Invasive Species, February 3, 1999-- 15.230  
Executive Order 13138 dated September 30-- 93.289  
Executive Order 13148 - Greening the Government Through Leadership in Environmental Management, April 21, 2000-- 66.717  
Executive Order 13158-- 11.426  
Executive Order 13230, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 12, 2001, as amended -- 81.123  
Executive Order 13256, White House Initiative on Historically Black Colleges and Universities, February 12, 2002, as amended -- 81.123  
Executive Order 13270, Tribal Colleges and Universities, July 3, 2002, as amended -- 81.123  
Executive Order 13287, March 3, 2003-- 15.914  
Executive Order 5398, July 21, 1746-1748-- 64.008  
Executive Order No. 13-089-- 11.444  
Executive Orders 10322, 10787, 10890, and 10046-- 15.227  
Executive Orders 13256, 13230 13021 and 13339-- 11.481  
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Export Administration Act of 1979, as amended -- 11.150  
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Fair and Equitable Tobacco Reform Act of 2004-- 10.085  
Fair Credit and Charge Card Disclosure Act-- 36.001  
Fair Credit Billing Act-- 36.001  
Fair Credit Reporting Act, as amended -- 36.001  
Fair Debt Collection Practices Act, as amended -- 36.001  
Fair Housing Act-- 14.400, 14.401  
Fair Housing Amendments Act of 1988-- 16.103  
Fair Labor Standards Act, as amended -- 17.303  
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Fair Labor Standards Act Amendment of 1974-- 30.005, 30.010  
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June 16, 1998, and Bulletproof Vest Program Act of 2000, 2008, P.L. 110-161-- 16.607  
Junior Duck Stamp Conservation and Design Program Act of 1994-- 15.644, 15.644  
Juvenile Justice and Delinquency Prevention Act of 1974, the Runaway, Homeless, as amended -- 93.550  
Justice for All Act of 2004-- 16.742  
Juvenile Justice and Delinquency Prevention Act-- 16.540, 16.543, 16.727  
Juvenile Justice and Delinquency Prevention Act Amendments of 1992-- 93.669  
Juvenile Justice and Delinquency Prevention Act of 1974, as amended -- 16.541, 16.601, 16.602, 16.603, 16.726

### K

Keeping Children and Families Safe Act-- 93.670  
Keeping Children and Families Safe Act of 2003-- 93.591, 93.592, 93.669, 93.671

### L

Labor-Management Relations Act of 1947, as amended -- 34.001, 46.001  
Labor-Management Reporting and Disclosure Act of 1959, as amended -- 17.309  
Land and Water Conservation Fund Act of 1965, as amended -- 15.615, 15.633, 15.638, 15.639, 15.650, 15.916  
Land and Water Conservation Fund Act of 1965-- 15.615, 15.633, 15.638, 15.639, 15.650, 15.916  
Lanham Trade-Mark Act, as amended -- 36.001  
Later Amended By 1996 Farm Bill, Federal Agricultural Improvement and Reform Act of 1996-- 10.676  
Liability Act, as amended -- 66.117, 66.608  
Liability Act-- 66.117, 66.608  
Liability Act (CERCLA), as amended -- 66.609, 66.610, 66.611  
Liability Act (CERCLA)-- 66.609, 66.610, 66.611  
Liability Act (CERCLA) of 1980, as amended -- 66.818  
Liability Act of 1980 Section 311-- 66.510  
Lincoln County Land Act of 2000-- 15.227  
Loans to Indian Tribes and Tribal Corporations Act-- 10.421  
Lobbying Disclosure Act-- 96.008  
Longshore and Harbor Workers' Compensation Act as extended-- 17.302  
Low Income Home Energy Assistance Act of 1981-- 93.568  
Low-Income Home Energy Assistance Act of 1981-- 93.001  
Low-Level Radioactive Waste Policy Act-- 81.104  
Low-Level Radioactive Waste Policy Amendments Act-- 81.104  
Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2000, as amended -- 15.521  
Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2002-- 15.521

### M

Magnuson Fishery Conservation and Management Act-- 11.433, 11.445, 11.454  
Magnuson Moss Warranty-Federal Trade Commission Improvements Act-- 36.001  
Magnuson-Stevens Fishery Conservation and Management Act, as amended -- 11.437, 11.441  
Magnuson-Stevens Fishery Conservation and Management Act of 1996, as amended -- 11.477  
Marine Mammal Act of 1972-- 11.439  
Marine Mammal Protection Act of 1972, as amended -- 15.608  
Marine Mammal Rescue Assistance Act of 2000-- 11.439  
Marine Protection, Research, and Sanctuaries Act, as amended -- 66.035, 66.510, 66.511, 66.517  
Marine Protection, Research, and Sanctuaries Act-- 66.035, 66.510, 66.511, 66.517  
Marine Protection, Research, and Sanctuaries Act of 1972-- 11.426, 11.429  
Marine Sanctuaries Amendments of 1984-- 11.429  
Marine Sanctuaries Amendments of 1988-- 11.429  
Marine Turtle Conservation Act of 2004-- 15.645  
Maritime Security Act of 2003-- 20.813  
Maritime Transportation Security Act of 2002-- 97.060  
Materials Act of 1947, as amended -- 15.214  
May 13, 2002) Re-Authorized and Amended Environmental Quality Incentives Program, Which had been added to the Food Security Act of 1985 (the 1985 Act)--

10.918  
McKinney-Vento Homeless Assistance Act-- 84.196  
McKinney-Vento Homeless Assistance Act of 1987, as amended -- 14.231, 14.235, 14.249  
McKinney-Vento Homeless Assistance Act of 1987 as amended-- 14.238  
McNamara-O'Hara Service Contract Act of 1965, as amended -- 17.303  
Medicaid and Medicare Patient and Program Act of 1987-- 93.667  
Medicare Catastrophic Coverage Repeal Act of 1988-- 93.773, 93.774  
Medicare Catastrophic Coverage Repeal Act of 1989-- 93.774  
Medicare Improvements for Patients and Providers Act of 2008-- 93.071  
Medicare Modernization Act (MMA)-- 93.784, 93.785  
Medicare Prescription Drug Improvement and Modernization Act of 2003-- 93.155  
Medicare Prescription Drug, Improvement and Modernization Act of 2003-- 93.773, 93.786  
Medicare Prescription Drug, Improvement, and Modernization Act of 2003-- 36.001, 93.774, 93.784, 93.785  
Medicare, Medicaid, and SCHIP Benefits Improvement and Protection Act of 2000-- 93.773, 93.774  
Mental Retardation Facilities and Construction Act of 1963, as amended -- 93.630, 93.631, 93.632  
Mentally Ill offender Treatment and Crime Reduction Act-- 16.745  
Merchant Marine Act of 1936, as amended -- 20.803, 20.808, 20.810, 20.812  
Migrant and Seasonal Agricultural Worker Protection Act, as amended -- 17.308  
Migration and Refugee Assistance Act of 1962, as amended -- 19.511, 19.517, 19.518, 19.519, 19.520, 19.522  
Migration and Refugee Assistance Act of 1962-- 19.511, 19.517, 19.518, 19.519, 19.520, 19.522  
Migratory Bird Treaty Act-- 15.643, 15.647, 15.655  
Military Construction Appropriations and Emergency Hurricane Supplemental Appropriations Act of 2005-- 10.084  
Mine Improvement and New Emergency Response Act of 2006 (MINER Act)-- 17.601, 17.602  
Mine Improvement and New Emergency Response Act of 2006 (Miner Act)-- 17.603  
Mineral Lands Leasing Act, as amended -- 15.227  
Mineral Revenue Payments Clarification Act of 2000-- 15.227  
Mining in National Parks Act of 1976-- 15.915  
Miscellaneous Revenue Act of 1983, as amended -- 17.245  
Missing Children Protection Act of 2003-- 93.550  
Mitchell Act-- 11.436  
MMRS Program. Ongoing Congressional appropriations have funded contracts with 124 MMRS jurisdictions-- 97.071  
Mni Wiconi Act Amendments of 1994-- 15.522  
Mni Wiconi Rural Project Act of 1988, as amended -- 15.522  
Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992-- 85.400, 85.401, 85.402  
Motor Carrier Safety Act of 1991-- 20.218  
Muhammed Ali Boxing Reform Act-- 36.001  
Multi-employer Pension Plan Amendments Act of 1980-- 86.001  
Multifamily Assisted Housing Reform and Affordability Act of 1997-- 14.856  
Multifamily Assisted Housing Reform and Affordability Act of 1997 (Title V of Public Law No. 105-65, October 27, 1997, as amended -- 14.197  
Museum and Library Services Act-- 45.301, 45.302, 45.303, 45.304, 45.307, 45.308, 45.309, 45.310, 45.311, 45.312, 45.313  
Mushroom Promotion, Research and Consumer Information Act of 1990-- 10.163  
Mutual Educational and Cultural Exchange Act of 1961, as amended -- 19.425, 84.018, 84.019, 84.021, 84.022  
Mutual Educational and Cultural Exchange Act of 1961-- 19.425, 84.018, 84.019, 84.021, 84.022

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National Aeronautics and Space Act of 1958, as amended -- 43.001, 43.002  
National Affordable Housing Act, as amended -- 14.181, 14.191  
National Affordable Housing Act-- 14.181, 14.191  
National Affordable Housing Act of 1990-- 14.871  
National Affordable Housing Act, 1990, as amended -- 14.239  
National Agricultural Research, Extension, and Teaching Policy Act Amendments of 1985-- 10.215  
National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended -- 10.205, 10.207, 10.210, 10.216, 10.217, 10.220, 10.223, 10.960, 10.961, 10.962  
National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA)-- 10.304  
National and Community Service Act of 1990, as amended -- 94.003, 94.004, 94.005, 94.006, 94.007  
National and Community Service Act of 1990-- 94.003, 94.004, 94.005, 94.006, 94.007  
National and Community Service Act of 1993, as amended -- 94.009  
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National Apprenticeship Act of 1937, as amended -- 17.201  
National Archives and Records Administration Act of 1984-- 89.001, 89.003  
National Bankruptcy Act-- 58.001  
National Bureau of Standards Organic Act, as amended -- 11.601, 11.603, 11.604, 11.606, 11.609, 11.610  
National Cemeteries Act of 1973-- 64.201, 64.202  
National Climate Program Act, as amended -- 11.431, 11.459  
National Cooperative Research and Production Act of 1993-- 36.001  
National Defense Authorization Act for Fiscal Year 1997 The Defense Against Weapons of Mass Destruction Act of 1996 directed the Secretary of Defense to enhance capability and support improvements of response agencies. The Nunn-Lugar-Domenici Amendment to the National Defense Authorization Act for FY 1997 authorized funding for "medical strike teams--  
National Defense Authorization Act for FY 1997, as amended -- 97.025  
National Defense Authorization Act of 2000-- 81.113  
National Energy Conservation Policy Act of 1978-- 81.041, 81.042, 81.119  
National Environmental Education Act-- 66.110, 66.117, 66.950, 66.951, 66.952  
National Environmental Education Act. NEPA Section 102(2)(F) for all existing and new grants done internationally-- 66.202  
National Environmental Policy Act-- 15.041, 66.035, 66.112, 66.202, 66.310, 66.469, 66.608, 66.609, 66.610, 66.709, 66.931  
National Environmental Policy Act (NEPA)-- 66.424, 66.436, 66.611  
National Environmental Policy Act of 1969-- 66.034, 66.037, 66.509, 66.510, 66.511, 66.513, 66.514, 66.515, 66.516, 66.517  
National Firearms Act-- 16.309  
National Flood Insurance Act of 1968, as amended -- 97.022, 97.023, 97.045, 97.092, 97.110  
National Flood Insurance Act of 1968-- 97.022, 97.023, 97.045, 97.092, 97.110  
National Flood Insurance Reform Act of 1994-- 97.029, 97.045, 97.070  
National Forest Dependent Rural Communities Economic Diversification Act of 1990, as amended -- 10.670  
National Foundation on the Arts and the Humanities Act of 1965, as amended -- 17.303, 45.024, 45.025, 45.129, 45.130, 45.149, 45.160, 45.161, 45.162, 45.163, 45.164, 45.168, 45.169, 45.201  
National Geologic Mapping Reauthorization Act of 1999-- 15.810  
National Historic Preservation Act-- 15.041  
National Historic Preservation Act Amendments of 1980-- 15.912, 15.914  
National Historic Preservation Act Amendments of 1992-- 15.914, 15.923  
National Historic Preservation Act of 1966, as amended -- 15.224, 15.904, 15.912, 15.914, 15.915, 15.929  
National Historic Preservation Act of 1966, Pub. L. 89-665, as amended -- 15.511  
National Housing Act, as amended -- 14.103, 14.108, 14.110, 14.112, 14.117, 14.119, 14.123, 14.126, 14.127, 14.128, 14.129, 14.133, 14.134, 14.135, 14.138, 14.139, 14.142, 14.151, 14.155, 14.162, 14.163, 14.167, 14.172, 14.175, 14.183, 14.184, 14.199, 14.311  
National Housing Act-- 14.103, 14.108, 14.110, 14.112, 14.117, 14.119, 14.123, 14.126, 14.127, 14.128, 14.129, 14.133, 14.134, 14.135, 14.138, 14.139, 14.142, 14.151, 14.155, 14.162, 14.163, 14.167, 14.172, 14.175, 14.183, 14.184, 14.199, 14.311  
National Housing Act of 1934-- 14.159  
National Institute of Standards and Technology Authorization Act-- 11.650  
National Institutes of Health Revitalization Act of 1993-- 93.186  
National Kiwifruit Research, Promotion, and Consumer Information Act-- 10.163  
National Manufactured Housing Construction and Safety Standards Act, as amended -- 14.171  
National Marine Sanctuaries Amendments Act of 2000-- 11.429  
National Marine Sanctuaries Program Amendments Act of 1992-- 11.429  
National Nuclear Security Administration Act, as amended -- 81.123  
National Ocean Pollution Planning Act of 1978-- 11.426  
National School Lunch Act, as amended -- 10.555, 10.574, 10.582  
National School Lunch Act-- 10.555, 10.574, 10.582  
National Science Foundation Act of 1950, as amended -- 47.041, 47.049, 47.050, 47.070, 47.074, 47.075, 47.076, 47.078, 47.079, 47.080, 47.081  
National Sea Grant College Program Act-- 11.417  
National Security Act of 1947-- 97.026, 97.027, 97.028  
National Security Act of 1959-- 12.901  
National Security and Military Application of Nuclear Energy Authorization Act-- 81.106  
National Service Life Insurance Act, as amended -- 64.103  
National Technical Information Act of 1988-- 11.650  
National Trails System Act, as amended -- 15.921  
National Voter Registration Act of 1993-- 16.104  
National Weather Service and Related Agencies Authorization Act of 1999, as amended -- 11.460  
National Wildlife Refuge System Administration Act-- 15.652, 15.654  
National Wool Act Amendments of 1993-- 10.051  
National Wool Act of 1954, as amended -- 10.163  
Native American Graves Protection and Repatriation Act of 1990 (NAGPRA)-- 15.922  
Native American Housing Assistance and Self-Determination Act (NAHASDA) of 1996-- 14.869  
Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA)-- 14.867  
Native American Languages Act of 1992-- 93.587  
Native American Programs Act of 1974, as amended -- 93.581, 93.587, 93.612  
Native Hawaiian Health Care Improvement Act-- 93.932  
Natural Gas Pipeline Safety Act of 1968, as amended -- 20.700  
Navajo-Hopi Settlement Act-- 15.057  
Naval Stores Act-- 10.153, 10.162  
Negotiated Rulemaking Act of 1990-- 34.001  
Neotropical Migratory Bird Conservation Act of 2000-- 15.635  
NIH Reauthorization Act of 1993-- 93.233  
NOAA Authorization Act of 1992-- 11.457  
Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended -- 15.608  
North American Free Trade Agreement Implementation Act-- 17.245  
North American Wetlands Conservation Act, as amended -- 15.623  
Nuclear Waste Policy Act (NWPA)-- 81.065  
Nuclear Waste Policy Amendments Act of 1987-- 81.065  
Nurse Reinvestment Act-- 93.265  
Nurse Reinvestment Act of 2002-- 93.264, 93.303, 93.359, 93.908

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Occupational Safety and Health Act-- 17.502, 17.503, 17.504, 17.505  
Occupational Safety and Health Act of 1970-- 93.262  
Occupational Safety and Health Act of 1970, Departments of Labor, Health and Human Services, Education-- 93.283  
Oceans Act of 1992-- 15.231  
Oil Pollution Act-- 66.202  
Oil Pollution Act of 1990-- 97.013  
Older Americans Act, as amended -- 93.052, 93.054  
Older Americans Act Amendments of 1987-- 93.612  
Older Americans Act Amendments of 1992-- 93.612  
Older Americans Act of 1965, as amended -- 17.235, 39.003, 93.041, 93.042, 93.043, 93.044, 93.045, 93.047, 93.048, 93.053  
Omnibus Appropriations Act-- 16.606  
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Omnibus Budget Reconciliation Act of 1981, as amended -- 10.566, 17.245, 44.002, 93.001, 93.116, 93.268, 93.568, 93.630, 93.631, 93.632, 93.667, 93.977, 93.978, 93.988, 93.991  
Omnibus Budget Reconciliation Act of 1987-- 10.051, 10.155, 93.667  
Omnibus Budget Reconciliation Act of 1989-- 86.001, 93.773, 93.774  
Omnibus Budget Reconciliation Act of 1990-- 10.051, 93.773, 93.774  
Omnibus Budget Reconciliation Act of 1993-- 10.051, 10.072, 10.772, 14.244, 93.556, 93.586, 93.667, 93.773, 93.774  
Omnibus Consolidated Appropriations Act of 1997-- 16.583  
Omnibus Consolidated Appropriations Act, 1997-- 15.931  
Omnibus Consolidated Rescissions and Appropriations Act of 1996, as amended -- 10.671, 16.596, 66.605  
Omnibus Consolidated Rescissions and Appropriations Act of 1996-- 10.671, 16.596, 66.605  
Omnibus Crime Control and Safe Streets Act of 1968, as amended -- 16.012, 16.105, 16.300, 16.301, 16.302, 16.550, 16.554, 16.556, 16.557, 16.560, 16.562, 16.566, 16.579, 16.585, 16.588, 16.593, 16.609, 16.610, 16.612, 16.710, 16.734, 16.739, 97.081  
Omnibus Crime Control and Safe Streets Act of 1968-- 16.012, 16.105, 16.300, 16.301, 16.302, 16.550, 16.554, 16.556, 16.557, 16.560, 16.562, 16.566, 16.579, 16.585, 16.588, 16.593, 16.609, 16.610, 16.612, 16.710, 16.734, 16.739, 97.081  
Omnibus Crime Control and Safe Streets Act of 1968-- 16.571  
Omnibus Parks and Public Lands Management Act of 1996-- 15.926, 15.929  
Omnibus Trade and Competitiveness Act of 1988, as amended -- 11.026, 11.108, 11.112, 11.611, 11.612, 11.650, 17.245  
Omnibus Trade and Competitiveness Act of 1988-- 11.026, 11.108, 11.112, 11.611, 11.612, 11.650, 17.245  
Oregon Public Lands Transfer and Protection Act of 1998-- 15.504  
Organic Act 1879-- 15.815  
Organic Act of 1879-- 15.808, 15.813  
Organic Act of March 3, 1879-- 15.809  
Organic Foods Production Act of 1990-- 10.163  
Organized Crime Control Act of 1970-- 16.012  
Originally under the Federal Property and Administrative Services Act of 1949, as amended -- 15.918  
Outdoor Recreation Act of 1963-- 15.921, 15.927  
Outer Continental Shelf (OCS) Lands Act, as amended -- 15.424, 15.426, 15.428  
Outer Continental Shelf (OCS) Lands Act-- 15.424, 15.426, 15.428  
Outer Continental Shelf Lands Act, as amended -- 15.227, 15.425  
Outer Continental Shelf Lands Act-- 15.227, 15.425

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Outer Continental Shelf Lands Act Amendments of 1978-- 11.408  
Outer Continental Shelf Lands Act Amendments of 1978,43 USC 1337-- 36.001

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Pacific Coast Salmon Treaty Act-- 11.438  
Packers and Stockyards Act, as amended -- 36.001  
Pandemic and All-Hazards Preparedness Act-- 36.001  
Part E of Higher Education Act of 1965, as amended -- 84.378  
Partners for Fish and Wildlife Act of 2006-- 15.631  
Patient Safety and Quality Improvement Act of 2005-- 93.001  
Paul Coverdell National Forensic Sciences Improvement Act of 2000, as amended -- 16.742  
PCPFS was established by Executive Order 10673 dated July 16,1956. The focus and scope of the Council have been changed periodically by previous Administrations,i.e-- 93.289  
Peanut Statistics Act-- 10.153  
Pension Funding Equity Act of 2004-- 86.001  
Pension Protection Act of 1987-- 86.001  
Perishable Agricultural Commodities Act of 1930, as amended -- 10.165  
Perkins County Rural Water System Act of 1999-- 15.523  
Personal Responsibility and Work Opportunity Reconciliation Act of 1996-- 93.558, 93.593, 93.601  
Petroleum Marketing Practices Act-- 36.001  
PHS Act-- 93.068, 93.068  
Pipeline Safety Act of 1979-- 20.700  
Pipeline Safety Act of 1992-- 20.700  
Pipeline Safety Reauthorization Act of 1988-- 20.700  
PIPES Act Section 2(b)-- 20.720  
Pittman-Robertson Wildlife Restoration Act of 1937, as amended -- 15.611, 15.626  
Plant Protection Act-- 10.025  
Plant Variety Protection Act-- 10.163  
Poison Control Centers Enhancement and Awareness Act-- 93.253  
Pollution Prevention Act-- 66.110, 66.117, 66.600  
Pollution Prevention Act of 1990-- 66.202, 66.708  
Popcorn Promotion Research, and Consumer Information Act-- 10.163  
Pork Promotion, Research, and Consumer Information Act of 1985-- 10.163  
Postal Accountability and Enhancement Act-- 36.001  
Postal Reorganization Act of 1970-- 36.001  
Potato Research and Promotion Act-- 10.163  
Poultry Products Inspection Act, as amended -- 10.475, 10.477  
Poultry Products Inspection Act-- 10.475, 10.477  
Preserving Affordable Housing for Senior Citizens and Families into the 21st Century Act of 1999-- 14.871  
Preventive Health Amendments of 1984-- 93.116, 93.268, 93.991  
Preventive Health Amendments of 1992-- 93.197, 93.991  
Prison Rape Elimination Act-- 16.739  
Prison Rape Elimination Act of 2003-- 16.735  
Produce Agency Act-- 10.165  
Promoting Safe & Stable Families Amendments of 2001-- 93.674  
Promoting Safe and Stable Families Amendments of 2001-- 93.556, 93.599  
Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), as amended -- 16.736  
Protection and Advocacy for Individuals with Mental Illness Act of 1986, as amended - 93.138  
Public Buildings Omnibus Act-- 15.227  
Public Health Bioterrorism and Public Health Emergencies Act of 2002-- 97.088  
Public Health Professions Education Partnership Act of 1998-- 93.107  
Public Health Security and Bioterrorism Preparedness and Response Act of 2002-- 93.448, 93.449, 93.889, 93.996  
Public Health Service (PHS) Act-- 93.134  
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Public Health Service Act, as amended -- 93.300  
Public Health Service Act (PHS Act)-- 93.068  
Public Health Service Act as re-designated by Section 104(a)(2) of this Act-- 93.996  
Public Health Service Act of 1987, as amended -- 93.116  
Public Health Service Act Sections 301,307,311,317,and 319-- 93.069, 93.269  
Public Health Service Act,VII,VIII,and XVI, as amended -- 93.001  
Public Health Service Extension Act-- 93.217  
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Public Lands Corps Healthy Forests Restoration Act of 2005-- 15.931  
Public Rangelands Improvement Act of 1978, as amended -- 15.229, 15.237  
Public Rangelands Improvement Act of 1978-- 15.229, 15.237  
Public Safety officers' Benefits Act of 1976, as amended -- 16.571  
Public Utility Holding Company Act of 1935-- 58.001  
Public Works and Economic Development Act of 1965-- 11.300, 11.302, 11.303, 11.307, 11.312

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Quality Housing and Work Responsibility Act of 1998-- 14.871, 14.872

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Radiation Control for Health Safety Act of 1968-- 93.103  
Radiation Exposure Compensation Act, as amended -- 16.749  
Railroad Retirement Act of 1974, as amended -- 57.001  
Railroad Unemployment Insurance Act, as amended -- 57.001  
Real ID Act-- 97.089  
Reclamation Projects Authorization and Adjustment Act of 1992-- 15.512, 15.530  
Reclamation Recreation Act of 1992-- 15.524  
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# Appendix III : Budget Functional Code Appendix

## FINANCIAL INFORMATION

Account Identification - This 11-digit budget code identifies the account from which a program is funded as expressed in the Appendix to the Federal Budget. For identification code 75-0350-0-1-551, the first two digits represent the Federal agency code, and the third through sixth digits identify the appropriation (or fund) basic account symbol assigned by the Treasury Department. Where two or more accounts with different Treasury basic account symbols are included in a consolidated program, 99 will be the third and fourth digits, the fifth digit will be the fund type and the sixth digit will reflect the sequence of consolidated programs for that fund type within the agency. The seventh digit identifies the timing of transmittal of budget estimates:

- 0-Regular budget schedules
- 1-Supplemental appropriation
- 2-Legislative proposal, not subject to PAYGO
- 3-Appropriations language to be transmitted later
- 4-Legislative proposal, subject to PAYGO
- 5-Recission proposal
- 6-Adjustments to 1996 continuing resolution levels

The eighth digit identifies the type of government fund involved:

### 1-General fund

General Fund Appropriation Accounts - Accounts established to record amounts appropriated by law to be expended for the general support of the Government.

General Fund Receipt Accounts - Accounts credited with all receipts that are not earmarked by law for a specific purpose.

### 2--Special fund

Special Fund Appropriation Accounts - Accounts established to record appropriated amounts of special fund receipts to be expended for special programs in accordance with specific provisions of law. Special Fund Receipt Accounts - Accounts credited with receipts from specific sources that are earmarked by law for a specific purpose.

3-Public Enterprise Fund Accounts - Funds authorized by Congress to be credited with receipts primarily from the public, that are generated by, and earmarked to finance, a continuing cycle of business-type operations.

4-Intragovernmental Revolving or Management Fund Intragovernmental Fund Accounts - Accounts established to facilitate financing transactions within and between Federal agencies. These funds may be classified as intragovernmental revolving funds or management funds.

Intragovernmental Revolving Fund Accounts - Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

7-Trust Fund (non-revolving) - Trust funds are established to account for the receipt and expenditure of monies by the Government for carrying out specific purposes and programs in accordance with the terms of a statute that designates the fund as a trust fund (such as the Highway Trust Fund) or for carrying out the stipulations of a trust agreement (such as any of several trust funds for gifts and donations for specific purposes). In a trust non-revolving fund, the receipts designated for the trust fund are in a separate account.

8-Trust Fund (revolving) - In a trust revolving fund, the fund is credited with collections earmarked by law to carry out a cycle of business-type operations.

9-For use when account consolidations cross fund types.

The last three digits represent the functional classification (code) used in the latest Federal Budget document, unless noted otherwise by the Office of Management and Budget. In cases where a program is split between two or more subfunctions: (a) if all subfunctions are in the same major function, the code is the same as for the major function; or (b) if two or more major functions are involved the digits '999' are used.

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

Listed below are major functions and subfunctions as used in the budget document to show allocations of budget authority and outlays according to end purposes without regard to agency jurisdiction. The central nature of each major function is identified and defined. Catalog programs are listed following each applicable subfunction (or major function). Note that some subfunctions are not applicable to Catalog programs.

The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A-Formula Grants; B-Project Grants; C-Direct Payments for Specified Use; D-Direct Payments with Unrestricted Use; E-Direct Loans; F-Guaranteed/Insured Loans; G-Insurance; H-Sale, Exchange, or Donation of Property and Goods; I-Use of Property, Facilities, and Equipment; J-Provisions of Specialized Services; K-Advisory Services and Counseling; L-Dissemination of Technical Information; M-Training; N-Investigation of Complaints;

O-Federal Employment.

## (050) NATIONAL DEFENSE

This function includes those programs directly related to the common defense and security of the United States. It includes the raising, equipping, and maintaining of armed forces (including civilian supporting activities), development and utilization of weapons systems (including nuclear weapons), and related programs. National defense includes direct compensation and benefits paid to active military and civilian personnel; contributions to their retirement, health, and life insurance funds; the conduct of defense research, development, testing, and evaluation; and procurement, construction, stockpiling, and other activities undertaken with the direct object of fostering our national security. Excluded from national defense are benefits or compensation to veterans and their dependents (veterans benefits are generally available to personnel who served the country in national emergencies; benefits for career military personnel are generally charged as a cost to the national defense function) and military retired pay, which is included in the income security function. Also excluded from national defense is the peaceful conduct of foreign relations; foreign military, economic, and humanitarian assistance; subsidies to business by civilian agencies (such as maritime subsidies) that may be partially justified as promoting national security; and research and operations of agencies (such as space research) whose program mission is not directly designed to promote national defense but which could result in some significant benefits to our national security.

81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)

## (051) Department of Defense - Military

The entire agency is included in this subfunction. Because of the method of funding and accounting in the Defense Department no further subdivisions on a program basis are available in terms of outlays.

- 10.677 Forest Land Enhancement Program (B)
- 12.002 Procurement Technical Assistance For Business Firms (B)
- 12.300 Basic and Applied Scientific Research (B)
- 12.360 Research on Chemical and Biological Defense (B)
- 12.400 Military Construction, National Guard (B)
- 12.401 National Guard Military Operations and Maintenance (O&M) Projects (B)
- 12.404 National Guard Civilian Youth Opportunities (A)
- 12.420 Military Medical Research and Development (B)
- 12.431 Basic Scientific Research (B)
- 12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education (B)
- 12.551 National Security Education Program David L. Boren Scholarships (B)
- 12.552 National Security Education Program David L. Boren Fellowships (B)
- 12.553 National Flagship Language Program Fellowships (B)
- 12.554 English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (B)
- 12.555 English for Heritage Language Speakers Scholarships (B)
- 12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation (B)
- 12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)
- 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment (B)
- 12.614 Community Economic Adjustment Diversification Planning (B)
- 12.615 RESEARCH AND TECHNICAL ASSISTANCE ( )
- 12.630 Basic, Applied, and Advanced Research in Science and Engineering (B)
- 12.800 Air Force Defense Research Sciences Program (B)
- 12.900 Language Grant Program (B)
- 12.901 Mathematical Sciences Grants Program (B)
- 12.902 Information Security Grant Program (B)
- 12.910 Research and Technology Development (B)

## (053) Atomic Energy Defense Activities

Those programs of the Department of Energy devoted to national defense activities, such as naval ship reactors and nuclear weapons.

- 17.310 Energy Employees Occupational Illness Compensation (D)
- 81.104 Office of Environmental Waste Processing (B)
- 81.104 Office of Environmental Waste Processing (B)
- 81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)
- 81.112 Stewardship Science Grant Program (B)
- 81.113 Defense Nuclear Nonproliferation Research (B)
- 81.124 Predictive Science Academic Alliance Program (B)

## (054) Defense-Related Activities

Miscellaneous defense activities such as the expenses connected with selective

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service and civil defense activities in the Federal Emergency Management Agency.  
16.749 Radiation Exposure Compensation Program (B)  
20.813 Maritime Security Fleet Program (C)  
47.078 Polar Programs (B)

## (150) INTERNATIONAL AFFAIRS

This function is concerned with the maintenance of peaceful relations, commerce, and travel between the United States and the remainder of the world, and with the promotion of international security and economic development abroad. It includes the conduct of foreign affairs; cost of membership in international organizations; foreign information and exchange activities; foreign military, economic, and humanitarian assistance programs; and loan programs designed to foster U.S. exports. Excluded from international affairs are outlays from domestic programs that may tangentially affect foreign relations or citizens of other nations.

19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)  
19.500 Middle East Partnership Initiative (MEPI) (B)

## (151) International Development and Humanitarian Assistance

This includes humanitarian assistance, development assistance, security supporting assistance, grants to and investments in international financial and development institutions, and the costs associated with concessionary agricultural exports.

10.079 Bill Emerson Humanitarian Trust (D)  
19.510 U.S. Refugee Admissions Program (B)  
19.511 Overseas Refugee Assistance Programs for East Asia (B)  
19.517 Overseas Refugee Assistance Programs for Africa (B)  
19.518 Overseas Refugee Assistance Programs for Western Hemisphere (B)  
19.519 Overseas Refugee Assistance Program for Near East and South Asia (B)  
19.520 Overseas Refugee Assistance Programs for Europe (B)  
19.522 Overseas Refugee Assistance Programs for Strategic Global Priorities (B)  
70.002 Foreign Investment Financing (F)  
70.002 Foreign Investment Financing (F)  
70.002 Foreign Investment Financing (F)  
70.002 Foreign Investment Financing (F)  
70.002 Foreign Investment Financing (F)  
70.003 Foreign Investment Insurance (G)  
98.001 USAID Foreign Assistance for Programs Overseas (B)  
98.001 USAID Foreign Assistance for Programs Overseas (B)  
98.001 USAID Foreign Assistance for Programs Overseas (B)  
98.001 USAID Foreign Assistance for Programs Overseas (B)  
98.001 USAID Foreign Assistance for Programs Overseas (B)  
98.001 USAID Foreign Assistance for Programs Overseas (B)  
98.002 Cooperative Development Program (CDP) (B)  
98.003 Ocean Freight Reimbursement Program (OFR) (B)  
98.004 Non-Governmental Organization Strengthening (NGO) (B)  
98.005 Institutional Capacity Building (ICB) (B)  
98.006 Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (B)  
98.007 Food for Peace Development Assistance Program (DAP) (B,H)  
98.008 Food for Peace Emergency Program (EP) (B,H)  
98.009 John Ogonowski Farmer-to-Farmer Program (B)  
98.010 Denton Program (J)  
98.011 Global Development Alliance (B)  
98.011 Global Development Alliance (B)  
98.011 Global Development Alliance (B)  
98.011 Global Development Alliance (B)  
98.011 Global Development Alliance (B)  
98.012 USAID Development Partnerships for University Cooperation and Development (B)  
98.012 USAID Development Partnerships for University Cooperation and Development (B)  
98.012 USAID Development Partnerships for University Cooperation and Development (B)

## (152) International Security Assistance

This includes all of international security assistance. It involves the transfer of defense articles and services to foreign governments through grants, credit sales, and training.

98.011 Global Development Alliance (B)

## (153) Conduct of Foreign Affairs

This includes the diplomatic and consular operations of the Department of State and closely-related activities in other agencies (such as the Arms Control and Disarmament Agency).

91.001 Unsolicited Grant Program (B)  
91.002 Solicited Grant Program (B)

## (154) Foreign Information and Exchange Activities

This includes student and cultural exchange programs and foreign library, radio, or other media information activities designed to promote mutual understanding between the people of the United States and other Nations.

19.400 Educational Exchange-Graduate Students (B)  
19.401 Educational Exchange-University Lecturers (Professors) and Research Scholars (B)  
19.402 International Visitors Program (B)  
19.403 American Council of Young Political Leaders (B)  
19.408 Educational Exchange-Teachers from Secondary and Postsecondary Levels and School Administrators (B)  
19.409 Arts Exchanges on International Issues (B)  
19.410 Educational Exchange-Congress-Bundestag Youth Exchange (B)  
19.415 Professional Exchanges-Annual Open Grant (B)  
19.418 Educational Exchange, American Studies Institute (B)  
19.421 Exchange-English Language Fellow Program (B)  
19.423 Exchange-English Language Specialist/Speaker Program (B)  
19.425 Benjamin Gilman International Scholarship (C)  
19.430 International Education Training and Research (B)  
19.431 Educational Exchange-Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (B)  
19.432 Overseas Educational Advising (B)  
90.500 International Broadcasting Independent Grantee Organizations (B)  
90.500 International Broadcasting Independent Grantee Organizations (B)

## (250) GENERAL SCIENCE, SPACE AND TECHNOLOGY

This function shows budget resources allocated to science and research activities of the Federal Government to meet the national need to advance knowledge in this area. In addition, research and technology programs that have diverse goals and cannot readily be classified into one specific function are also placed here to avoid detailed splitting of accounts. Included in this function are general scientific research and civilian space programs that are not an integral part of the programs conducted under any other function. This includes the research conducted by the National Aeronautics and Space Administration, and general science research supported by the Department of Energy. As is noted above, research programs that are an integral part of the achievement of other major functions \_ e.g., health, national defense, energy \_ are excluded from this function. Only if a research program cannot readily be included in other functions is it classified in this function.

12.113 State Memorandum of Agreement Program for the Reimbursement of Technical Services (B)  
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)

## (251) General Science and Basic Research

This includes the expenses of conducting the National Science Foundation programs and the general science activities of the Department of Energy.

47.041 Engineering Grants (B)  
47.049 Mathematical and Physical Sciences (B)  
47.050 Geosciences (B)  
47.070 Computer and Information Science and Engineering (B)  
47.074 Biological Sciences (B)  
47.075 Social, Behavioral, and Economic Sciences (B)  
47.076 Education and Human Resources (B)  
47.078 Polar Programs (B)  
47.078 Polar Programs (B)  
47.079 International Science and Engineering (OISE) (B)  
47.080 Office of Cyberinfrastructure (B)  
47.081 Office of Experimental Program to Stimulate Competitive Research (B)  
81.049 Office of Science Financial Assistance Program (B)

## (270) ENERGY

The energy function includes those programs designed to promote an adequate supply and appropriate use of energy to serve the needs of the economy. It includes most of those programs operated by the Department of Energy and its predecessor agencies except for atomic energy defense activities and for general science research not closely related to energy.

81.036 Inventions and Innovations (B,K,L)  
81.041 State Energy Program (A)  
81.064 Office of Scientific and Technical Information (L)  
81.119 State Energy Program Special Projects (B)

## (271) Energy Supply

This includes those programs designed to increase the supply of energy through the development of domestic resources and systems capable of using them. Included in energy supply are the costs of research and demonstration of supply systems.

10.078 Bioenergy Program (C)  
10.850 Rural Electrification Loans and Loan Guarantees (E)  
10.850 Rural Electrification Loans and Loan Guarantees (E)



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- 10.851 Rural Telephone Loans and Loan Guarantees (E,F)
- 10.851 Rural Telephone Loans and Loan Guarantees (E,F)
- 10.854 Rural Economic Development Loans and Grants (B,E)
- 81.022 Used Energy-Related Laboratory Equipment Grants (B)
- 81.049 Office of Science Financial Assistance Program (B)
- 81.057 University Coal Research (B)
- 81.065 Nuclear Waste Disposal Siting (B,C)
- 81.079 Regional Biomass Energy Programs (B)
- 81.086 Conservation Research and Development (B)
- 81.087 Renewable Energy Research and Development (B)
- 81.089 Fossil Energy Research and Development (B)
- 81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)
- 81.114 University Reactor Infrastructure and Education Support (B)
- 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)
- 81.121 Nuclear Energy Research, Development and Demonstration (B)

## (272) Energy Conservation

Programs in this subfunction are designed to encourage the prudent use of energy resources.

- 81.086 Conservation Research and Development (B)
- 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)

## (276) Energy Information, Policy, and Regulation

This includes the unallocable overhead activities of the Department of Energy plus the costs of energy information and regulation activities.

- 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)
- 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)
- 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)
- 81.003 Granting of Patent Licenses (L)

## (300) NATURAL RESOURCES AND ENVIRONMENT

This function includes those programs whose primary purpose is to develop, manage, and maintain the Nation's natural resources and environment. It encompasses development and management of water resources; protection and enhancement of environmental quality; development and maintenance of recreational resources; promotion of the prudent use of forest and mineral resources; the fostering of conservation practices on both public and private lands; marine, earth, and atmospheric -related research, and the management of the public domain. Excluded from this function are the outlays for community water supply programs, basic sewer system, and waste treatment plants, which are part of a community or regional development (rather than an environmental enhancement) program or are part of the cost of operating a Federal facility (such as a military installation).

- 15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)
- 15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)
- 15.813 Cooperative Research Units Training Program (B)
- 90.300 Japan-US Friendship Commission Grants (B)

## (301) Water Resources

This includes water protection, conservation, irrigation, and related activities including the total costs of multipurpose water projects where it is not feasible to separate out the transportation (navigation) or energy (power) segments of these projects.

- 10.904 Watershed Protection and Flood Prevention (B,K)
- 10.906 Watershed Surveys and Planning (J,K)
- 10.916 Watershed Rehabilitation Program (B,K)
- 10.923 Emergency Watershed Protection Program (B)
- 12.100 Aquatic Plant Control (J,L)
- 12.101 Beach Erosion Control Projects (J)
- 12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (J)
- 12.103 Emergency Operations Flood Response and Post Flood Response (J)
- 12.104 Flood Plain Management Services (K,L)
- 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)
- 12.106 Flood Control Projects (J)
- 12.107 Navigation Projects (J)
- 12.108 Snagging and Clearing for Flood Control (J)
- 12.109 Protection, Clearing and Straightening Channels (J)
- 12.110 Planning Assistance to States (J)
- 12.111 Emergency Advance Measures for Flood Prevention (J)
- 15.504 Water Reclamation and Reuse Program (A)

- 15.506 Water Desalination Research and Development Program (B)
- 15.507 Water 2025 (B)
- 15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B)
- 15.509 Colorado River Basin Salinity Control Program (B)
- 15.510 Colorado Ute Indian Water Rights Settlement Act (B)
- 15.511 Cultural Resources Management (B)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (B)
- 15.513 Dutch John Federal Property and Disposition Assistance Act (B)
- 15.514 Reclamation States Emergency Drought Relief (B,J,K)
- 15.515 Federal Resource Protection (B)
- 15.516 Fort Peck Reservation Rural Water System (B)
- 15.517 Fish and Wildlife Coordination Act (B)
- 15.518 Garrison Diversion Unit (B)
- 15.519 Indian Tribal Water Resources Development, Management, and Protection (B)
- 15.520 Lewis and Clark Rural Water System (B)
- 15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)
- 15.522 Mni Wiconi Rural Water Supply Project (B)
- 15.523 Perkins County Rural Water System (B)
- 15.524 Recreation Resources Management (B)
- 15.525 Rocky Boy's/North Central Montana Regional Water System (B)
- 15.526 San Gabriel Basin Restoration Project (B)
- 15.527 San Luis Unit, Central Valley Project (B)
- 15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)
- 15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)
- 15.530 Water Conservation Field Services Program (WCFSP) (B)
- 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)
- 15.533 California Water Security and Environmental Enhancement (B)
- 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)

## (302) Conservation and Land Management

This includes the costs of operating the public domain (including national forests), payments to encourage private land conservation activities, and surface mining reclamation efforts.

- 10.069 Conservation Reserve Program (C)
- 10.069 Conservation Reserve Program (C)
- 10.072 Wetlands Reserve Program (C)
- 10.072 Wetlands Reserve Program (C)
- 10.652 Forestry Research (B)
- 10.664 Cooperative Forestry Assistance (A,B)
- 10.670 National Forest-Dependent Rural Communities (B,I,M)
- 10.672 Rural Development, Forestry, and Communities (B)
- 10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)
- 10.675 Urban and Community Forestry Program (B)
- 10.676 Forest Legacy Program (B)
- 10.678 Forest Stewardship Program (B)
- 10.679 Collaborative Forest Restoration (B)
- 10.680 Forest Health Protection (A,B)
- 10.681 Wood Education and Resource Center (WERC) (B)
- 10.684 International Forestry Programs (B)
- 10.901 Resource Conservation and Development (K)
- 10.902 Soil and Water Conservation (K)
- 10.903 Soil Survey (L)
- 10.905 Plant Materials for Conservation (J)
- 10.907 Snow Survey and Water Supply Forecasting (L)
- 10.910 Rural Abandoned Mine Program (C)
- 10.912 Environmental Quality Incentives Program (C)
- 10.913 Farm and Ranch Lands Protection Program (C)
- 10.913 Farm and Ranch Lands Protection Program (C)
- 10.914 Wildlife Habitat Incentive Program (C)
- 10.917 Agricultural Management Assistance (C)
- 10.918 Ground and Surface Water Conservation- Environmental Quality Incentives Program (C)
- 10.919 Klamath Basin - Environmental Quality Incentives Program (C)
- 10.920 Grassland Reserve Program (C)
- 10.921 Conservation Security Program (C)
- 10.922 Healthy Forests Reserve Program (HFRP) (C)
- 15.034 Agriculture on Indian Lands (C,J,K)
- 15.035 Forestry on Indian Lands (C,J,K)
- 15.037 Water Resources on Indian Lands (C,J,K)
- 15.038 Minerals and Mining on Indian Lands (C,J,L)
- 15.051 Endangered Species on Indian Lands (C,K,L)
- 15.065 Safety of Dams on Indian Lands (C)
- 15.148 Tribal Energy Development Capacity Grants (I)
- 15.214 Non-Sale Disposals of Mineral Material (H)

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15.222	Cooperative Inspection Agreements with States and Tribes (B)	15.639	Tribal Wildlife Grants Program (B)
15.224	Cultural Resource Management (B,H,I,J,K,L,M,N)	15.640	Wildlife Without Borders- Latin America and the Caribbean (B)
15.225	Recreation Resource Management (B,I,J,K,L,M)	15.641	Wildlife Without Borders-Mexico (B)
15.228	National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)	15.642	Challenge Cost Share (B)
15.229	Wild Horse and Burro Resource Management (B,I,J,K,L,M)	15.643	Alaska Migratory Bird Co-Management Council (B)
15.230	Invasive and Noxious Plant Management (B,K,M)	15.644	Federal Junior Duck Stamp Conservation and Design (C,H)
15.231	Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	15.645	Marine Turtle Conservation Fund (B)
15.232	Wildland Fire Research and Studies Program (B)	15.647	Migratory Bird Conservation (B,C)
15.233	Forests and Woodlands Resource Management (B,K,M)	15.649	Service Training and Technical Assistance (Generic Training) (B)
15.234	Secure Rural Schools and Community Self-Determination (B)	15.650	Research Grants (Generic) (B)
15.234	Secure Rural Schools and Community Self-Determination (B)	15.651	Wildlife Without Borders-Africa Program (B)
15.234	Secure Rural Schools and Community Self-Determination (B)	15.652	Undesirable/Noxious Plant Species (B)
15.235	Southern Nevada Public Land Management (B)	15.653	National Outreach and Communication Program (B)
15.236	Environmental Quality and Protection Resource Management (B,K,L,M)	15.654	Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (B)
15.237	Rangeland Resource Management (B,K,M)	15.654	Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (B)
15.238	Challenge Cost Share (B,I,K,M)	15.655	Migratory Bird Monitoring, Assessment and Conservation (B,C)
15.239	Management Initiatives (B,I,K,M)	15.904	Historic Preservation Fund Grants-In-Aid (A,B)
15.240	Helium Resource Management (B)	15.912	National Historic Landmark (K)
15.242	National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	15.914	National Register of Historic Places (K)
15.242	National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	15.915	Technical Preservation Services (J,K,L)
15.242	National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	15.916	Outdoor Recreation-Acquisition, Development and Planning (B)
15.242	National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	15.918	Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (I)
15.250	Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)	15.921	Rivers, Trails and Conservation Assistance (K)
15.250	Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)	15.922	Native American Graves Protection and Repatriation Act (B)
15.252	Abandoned Mine Land Reclamation (AMLR) Program (A,B)	15.923	National Center for Preservation Technology and Training (B)
15.253	Not-for-Profit AMD Reclamation (B)	15.926	American Battlefield Protection (B)
15.254	Summer Watershed Intern (C)	15.927	Hydropower Recreation Assistance (K)
15.255	Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)	15.928	Civil War Battlefield Land Acquisition Grants (B)
15.255	Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)	15.929	Save America's Treasures (B)
15.421	Alaska Coastal Marine Institute (B)	15.930	Chesapeake Bay Gateways Network (B)
15.421	Alaska Coastal Marine Institute (B)	15.931	Conservation Activities by Youth Service Organizations (B)
15.422	Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)		
15.422	Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)		
15.423	Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)		
15.423	Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)		
15.427	Federal Oil and Gas Royalty Management (B)		
15.428	Marine Gas Hydrate Research Activities (B)		
15.615	Cooperative Endangered Species Conservation Fund (B)		
15.632	Conservation Grants Private Stewardship for Imperiled Species (B)		
15.648	Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)		
<b>(303) Recreational Resources</b>		<b>(304) Pollution Control and Abatement</b>	
These are programs involving the acquisition, improvement, and operation of recreational lands and facilities including fish and wildlife and parks. It also includes outlays for the preservation of historic areas.		This includes outlays for controlling and reducing air, water, and land pollution or that are specifically funded as an environmental enhancement program. It excludes water resources programs, water treatment plants, and similar programs that are not funded as part of an environmental enhancement activity.	
15.406	National Park Service Centennial Challenge. (A)	10.070	Colorado River Basin Salinity Control Program (C)
15.602	Conservation Law Enforcement Training Assistance (M)	66.001	Air Pollution Control Program Support (B)
15.605	Sport Fish Restoration Program (A)	66.032	State Indoor Radon Grants (B)
15.608	Fish and Wildlife Management Assistance (J)	66.033	Ozone Transport Commission (B)
15.611	Wildlife Restoration (A)	66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)
15.614	Coastal Wetlands Planning, Protection and Restoration Act (B)	66.035	Community Action for a Renewed Environment (CARE) Program (B)
15.616	Clean Vessel Act (B)	66.036	Clean School Bus USA (B)
15.619	Rhinoceros and Tiger Conservation Fund (B)	66.037	Internships, Training and Workshops for the Office of Air and Radiation (B)
15.620	African Elephant Conservation Fund (B)	66.038	Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)
15.621	Asian Elephant Conservation Fund (B)	66.039	National Clean Diesel Funding Assistance Program (B)
15.622	Sportfishing and Boating Safety Act (B)	66.040	State Clean Diesel Grant Program (B)
15.623	North American Wetlands Conservation Fund (B)	66.110	Healthy Communities Grant Program (B)
15.625	Wildlife Conservation and Restoration (A)	66.111	Regional Environmental Priority Projects (B)
15.626	Hunter Education and Safety Program (A)	66.111	Regional Environmental Priority Projects (B)
15.628	Multistate Conservation Grant Program (B)	66.112	Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (B)
15.628	Multistate Conservation Grant Program (B)	66.113	Region 3 Environmental Priority Projects (B)
15.629	Great Apes Conservation Fund (B)	66.115	Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (B)
15.630	Coastal Program (B)	66.116	Regional Geographic Initiative/Environmental Priority Projects (B)
15.631	Partners for Fish and Wildlife (C)	66.117	Region 9 multi-media and geographic priority projects (B)
15.633	Landowner Incentive Program (B)	66.119	West Coast Estuaries Initiative (B)
15.634	State Wildlife Grants (A,B)	66.202	Congressionally Mandated Projects (B)
15.635	Neotropical Migratory Bird Conservation (B)	66.202	Congressionally Mandated Projects (B)
15.636	Alaska Subsistence Management (B)	66.202	Congressionally Mandated Projects (B)
15.637	Migratory Bird Joint Ventures (B)	66.203	Environmental Finance Center Grants (B)
15.638	Tribal Landowner Incentive Program (B)	66.305	Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)
		66.306	Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (B)
		66.309	Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)
		66.309	Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)
		66.309	Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)

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66.309	Environmental Justice (B) Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)	66.609	Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)
66.310	Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)	66.610	Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)
66.312	State Environmental Justice Cooperative Agreement Program (B)	66.611	Environmental Policy and Innovation Grants (B)
66.418	Construction Grants for Wastewater Treatment Works (B)	66.612	Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)
66.419	Water Pollution Control State, Interstate, and Tribal Program Support (A)	66.700	Consolidated Pesticide Enforcement Cooperative Agreements (B)
66.424	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	66.701	Toxic Substances Compliance Monitoring Cooperative Agreements (B)
66.424	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	66.707	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)
66.432	State Public Water System Supervision (A)	66.708	Pollution Prevention Grants Program (B)
66.433	State Underground Water Source Protection (A)	66.709	Multi-Media Capacity Building Grants for States and Tribes (B)
66.436	Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	66.714	Pesticide Environmental Stewardship Regional Grants (B)
66.436	Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	66.715	Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)
66.437	Long Island Sound Program (B)	66.716	Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)
66.437	Long Island Sound Program (B)	66.716	Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)
66.439	Targeted Watersheds Grants (B)	66.717	Source Reduction Assistance (B)
66.454	Water Quality Management Planning (A)	66.717	Source Reduction Assistance (B)
66.456	National Estuary Program (B)	66.718	National Community-Based Lead Outreach and Training Grant Program (B)
66.458	Capitalization Grants for Clean Water State Revolving Funds (A)	66.801	Hazardous Waste Management State Program Support (A)
66.460	Nonpoint Source Implementation Grants (A)	66.802	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)
66.461	Regional Wetland Program Development Grants (B)	66.804	State and Tribal Underground Storage Tanks Program (A)
66.462	National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)	66.804	State and Tribal Underground Storage Tanks Program (A)
66.463	Water Quality Cooperative Agreements (B)	66.805	Leaking Underground Storage Tank Trust Fund Program (A)
66.466	Chesapeake Bay Program (B)	66.806	Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)
66.467	Wastewater Operator Training Grant Program (Technical Assistance) (B)	66.809	Superfund State and Indian Tribe Core Program Cooperative Agreements (B)
66.468	Capitalization Grants for Drinking Water State Revolving Funds (A)	66.810	Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)
66.469	Great Lakes Program (B,I,L)	66.812	Hazardous Waste Management Grant Program for Tribes (B)
66.471	State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)	66.813	Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)
66.472	Beach Monitoring and Notification Program Implementation Grants (A)	66.814	Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)
66.473	Direct Implementation Tribal Cooperative Agreements (B)	66.815	Brownfield Job Training Cooperative Agreements (B)
66.474	Water Protection Grants to the States (A)	66.816	Headquarters and Regional Underground Storage Tanks Program (B)
66.475	Gulf of Mexico Program (B)	66.816	Headquarters and Regional Underground Storage Tanks Program (B)
66.478	Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)	66.817	State and Tribal Response Program Grants (A)
66.478	Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)	66.818	Brownfields Assessment and Cleanup Cooperative Agreements (B)
66.479	Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)	66.926	Indian Environmental General Assistance Program (GAP) (B)
66.480	Assessment and Watershed Protection Program Grants (B)	66.931	International Financial Assistance Projects Sponsored by the Office of International Affairs (B)
66.481	Lake Champlain Basin Program (B)	66.940	Environmental Policy and State Innovation Grants (B)
66.508	Senior Environmental Employment Program (B)	66.950	Environmental Education and Training Program (B)
66.509	Science To Achieve Results (STAR) Research Program (B)	66.951	Environmental Education Grants (B)
66.510	Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	66.952	National Network for Environmental Management Studies Fellowship Program (B)
66.511	Office of Research and Development Consolidated Research/Training/Fellowships (B)		
66.512	Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)		
66.513	Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (B)		
66.514	Science To Achieve Results (STAR) Fellowship Program (B)		
66.515	Greater Research Opportunities (GRO) Research Program (B)		
66.516	P3 Award: National Student Design Competition for Sustainability (B)		
66.517	Regional Applied Research Efforts (RARE) (B)		
66.518	State Senior Environmental Employment Program (B)		
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)		
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)		
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)		
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)		
66.604	Environmental Justice Small Grant Program (B)		
66.605	Performance Partnership Grants (A,B)		
66.608	Environmental Information Exchange Network Grant Program and Related Assistance (B)		
66.608	Environmental Information Exchange Network Grant Program and Related Assistance (B)		
		<b>(306) Other Natural Resources</b>	
		This includes miscellaneous natural resources programs not classified in other subfunctions, such as marine, earth, and atmosphere-related research, and the cost of geological surveys and mapping.	
		11.400	Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)
		11.405	Anadromous Fish Conservation Act Program (B)
		11.407	Interjurisdictional Fisheries Act of 1986 (A)
		11.413	Fishery Products Inspection and Certification (J)
		11.417	Sea Grant Support (B)
		11.420	Coastal Zone Management Estuarine Research Reserves (B)
		11.420	Coastal Zone Management Estuarine Research Reserves (B)
		11.426	Financial Assistance for National Centers for Coastal Ocean Science (B)
		11.429	Marine Sanctuary Program (B)
		11.430	Undersea Research (B)
		11.431	Climate and Atmospheric Research (B)
		11.432	Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (B)
		11.433	Marine Fisheries Initiative (B)
		11.434	Cooperative Fishery Statistics (B)
		11.435	Southeast Area Monitoring and Assessment Program (B)



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11.436	Columbia River Fisheries Development Program (B)
11.437	Pacific Fisheries Data Program (B)
11.438	Pacific Coast Salmon Recovery-Pacific Salmon Treaty Program (B)
11.439	Marine Mammal Data Program (B)
11.440	Environmental Sciences, Applications, Data, and Education (B)
11.441	Regional Fishery Management Councils (B)
11.443	Short Term Climate Fluctuations (B)
11.444	Hawaii Sustainable Fisheries Development (Aquaculture Program) (B)
11.445	Hawaii Stock Management Program (B)
11.449	Independent Education and Science Projects and Programs (B)
11.450	Automated Flood Warning Systems (AFWS) (B)
11.452	Unallied Industry Projects (B)
11.454	Unallied Management Projects (B)
11.455	Cooperative Science and Education Program (B)
11.457	Chesapeake Bay Studies (B)
11.459	Weather and Air Quality Research (B)
11.460	Special Oceanic and Atmospheric Projects (B)
11.462	Hydrologic Research (B)
11.463	Habitat Conservation (B)
11.467	Meteorologic and Hydrologic Modernization Development (B,D,L,M)
11.468	Applied Meteorological Research (B)
11.469	Congressionally Identified Awards and Projects (B)
11.472	Unallied Science Program (B)
11.473	Coastal Services Center (B)
11.474	Atlantic Coastal Fisheries Cooperative Management Act (B)
11.477	Fisheries Disaster Relief (B)
11.478	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program (B)
11.480	National Ocean Service Intern Program (B)
11.481	Educational Partnership Program (B)
15.426	Coastal Impact Assistance Program (CIAP) (A)
15.805	Assistance to State Water Resources Research Institutes (A,B)
15.807	Earthquake Hazards Reduction Program (B)
15.808	U.S. Geological Survey- Research and Data Collection (B)
15.810	National Cooperative Geologic Mapping Program (B)
15.811	Gap Analysis Program (B)
15.812	Cooperative Research Units Program (B)
15.814	National Geological and Geophysical Data Preservation Program (B)
15.815	National Land Remote Sensing-Education Outreach and Research (B)
15.816	Minerals Resources External Research Program (B)
15.978	Upper Mississippi River System Long Term Resource Monitoring Program (B)

## (350) AGRICULTURE

This function includes those programs that promote the economic stability of agriculture and the Nation's capability to maintain and increase agricultural production. These objectives are accomplished through farm income stabilization programs, research and educational activities, programs that maintain agricultural markets, regulation of agricultural markets and practices, and maintenance of an adequate stockpile of agricultural commodities. This function does not include programs which, though related to rural development, are not directly related to agriculture, such as rural environmental and conservation programs that are classified in the natural resources function. In addition, it excludes the costs connected with concessionary food export sales or food donations whether overseas or for domestic income support purposes.

10.082	Tree Assistance Program (D)
10.609	Trade Adjustment Assistance (D)

## (351) Farm Income Stabilization

Loans, subsidies, and other payments for purposes of stabilizing agricultural prices at an equitable level. This includes the cost of acquisition and storage of agricultural commodity stockpiles but does not include the cost of foreign agricultural export losses (which are classified in the international affairs function) or domestic donations of food (which are part of an income support, rather than a farm price support, program).

10.051	Commodity Loans and Loan Deficiency Payments (D,E)
10.053	Dairy Indemnity Program (D)
10.055	Direct and Counter-cyclical Payments Program (C)
10.056	Farm Storage Facility Loans (E)
10.056	Farm Storage Facility Loans (E)
10.066	Livestock Assistance Program (D)
10.073	Crop Disaster Program (D)
10.077	Livestock Compensation Program (D)
10.080	Milk Income Loss Contract Program (D)
10.081	Lamb Meat Adjustment Assistance Program (D)
10.084	Dairy Market Loss Assistance Program (D)
10.085	Tobacco Transition Payment Program (D)
10.404	Emergency Loans (E)
10.404	Emergency Loans (E)

10.406	Farm Operating Loans (E,F)
10.406	Farm Operating Loans (E,F)
10.407	Farm Ownership Loans (E,F)
10.407	Farm Ownership Loans (E,F)
10.421	Indian Tribes and Tribal Corporation Loans (E)
10.421	Indian Tribes and Tribal Corporation Loans (E)
10.435	State Mediation Grants (B)
10.437	Interest Assistance Program (F)
10.437	Interest Assistance Program (F)
10.443	Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)
10.449	Boll Weevil Eradication Loan Program (E)
10.450	Crop Insurance (G)
10.451	Noninsured Assistance (D)
10.452	Disaster Reserve Assistance (C)
10.454	Dairy Options Pilot Program (C)
10.455	Community Outreach and Assistance Partnership Program (L,M)
10.456	Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)
10.457	Commodity Partnerships for Risk Management Education (B)
10.458	Crop Insurance Education in Targeted States (B)
10.459	Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)
10.994	Peanut Quota Buyout Program (D)
10.995	Hard White Wheat Incentive Program (D)
10.999	Long Term Standing Agreements For Storage, Transportation And Lease (C)
10.999	Long Term Standing Agreements For Storage, Transportation And Lease (C)

## (352) Agricultural Research and Services

This includes all other costs of agricultural programs including expenses for programs such as agricultural research and extension services.

10.001	Agricultural Research-Basic and Applied Research (B)
10.025	Plant and Animal Disease, Pest Control, and Animal Care (B)
10.025	Plant and Animal Disease, Pest Control, and Animal Care (B)
10.028	Wildlife Services (B)
10.153	Market News (L)
10.156	Federal-State Marketing Improvement Program (B)
10.162	Inspection Grading and Standardization (J)
10.162	Inspection Grading and Standardization (J)
10.163	Market Protection and Promotion (J,K,M)
10.164	Wholesale Farmers and Alternative Market Development (K,M)
10.165	Perishable Agricultural Commodities Act (N)
10.167	Transportation Services (K,M)
10.168	Farmers' Market Promotion Program (B)
10.169	Specialty Crop Block Grant Program (B)
10.170	Specialty Crop Block Grant Program - Farm Bill (B)
10.200	Grants for Agricultural Research, Special Research Grants (B)
10.202	Cooperative Forestry Research (A)
10.203	Payments to Agricultural Experiment Stations Under the Hatch Act (A)
10.205	Payments to 1890 Land-Grant Colleges and Tuskegee University (A)
10.206	Grants for Agricultural Research-Competitive Research Grants (B)
10.207	Animal Health and Disease Research (A)
10.210	Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)
10.212	Small Business Innovation Research (B)
10.215	Sustainable Agriculture Research and Education (B)
10.216	1890 Institution Capacity Building Grants (B)
10.217	Higher Education Challenge Grants (B)
10.219	Biotechnology Risk Assessment Research (B)
10.220	Higher Education Multicultural Scholars Program (B)
10.221	Tribal Colleges Education Equity Grants (A)
10.222	Tribal Colleges Endowment Program (A)
10.223	Hispanic Serving Institutions Education Grants (B)
10.226	Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)
10.227	1994 Institutions Research Program (B)
10.228	Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)
10.250	Agricultural and Rural Economic Research (L)
10.253	Food Assistance and Nutrition Research Programs (FANRP) (L)
10.254	Program of Research on the Economic of Invasive Species Management (PREISM) (L)
10.255	Research Innovation and Development Grants in Economic (RIDGE) (L)
10.256	Consumer Data Initiative (CDI) (L)
10.290	Agricultural Market and Economic Research (B)
10.303	Integrated Programs (B)
10.304	Homeland Security-Agricultural (B)
10.305	International Science and Education Grants (B)

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10.306	BIODIESEL (B)	14.167	Mortgage Insurance-Two Year Operating Loss Loans, Section 223(d) (F)
10.307	Organic Agriculture Research and Extension Initiative (B)	14.172	Mortgage Insurance-Growing Equity Mortgages (F)
10.308	Resident Instruction Grants for Insular Area Activities (B)	14.175	Adjustable Rate Mortgages (F)
10.309	Specialty Crop Research Initiative (B)	14.181	Supportive Housing for Persons with Disabilities (C)
10.477	Meat, Poultry, and Egg Products Inspection (J)	14.181	Supportive Housing for Persons with Disabilities (C)
10.500	Cooperative Extension Service (A,B)	14.181	Supportive Housing for Persons with Disabilities (C)
10.700	National Agricultural Library (L)	14.183	Home Equity Conversion Mortgages (F)
10.950	Agricultural Statistics Reports (L)	14.184	Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
10.960	Technical Agricultural Assistance (B)	14.188	Housing Finance Agencies (HFA) Risk Sharing (F)
10.961	Scientific Cooperation and Research (B,C)	14.189	Qualified Participating Entities (QPE) Risk Sharing (F)
10.962	Cochran Fellowship Program-International Training-Foreign Participant (C)	14.197	Multifamily Assisted Housing Reform and Affordability Act (C)
10.999	Long Term Standing Agreements For Storage, Transpotation And Lease (C)	14.198	Good Neighbor Next Door Sales Program (H)

## (370) COMMERCE AND HOUSING CREDIT

This function includes the promotion and regulation of commerce and the housing and thrift insurance industries. Commerce includes the collection and dissemination of social and economic data unless they are an integral part of another function (such as health). This function includes general purpose loans and subsidies to business and to the housing industry. In general, credit and insurance programs are included in this function; however, if such programs are a means of achieving the basic objectives of another function and are an integral part of the programs of that function they are classified in the other function.

### (371) Mortgage Credit

Includes homeownership and related loan and insurance programs.

10.405	Farm Labor Housing Loans and Grants (B,F)
10.405	Farm Labor Housing Loans and Grants (B,F)
10.410	Very Low to Moderate Income Housing Loans (E,F)
10.410	Very Low to Moderate Income Housing Loans (E,F)
10.411	Rural Housing Site Loans and Self-Help Housing Land Development Loans (E)
10.411	Rural Housing Site Loans and Self-Help Housing Land Development Loans (E)
10.415	Rural Rental Housing Loans (B,E)
10.415	Rural Rental Housing Loans (B,E)
10.417	Very Low-Income Housing Repair Loans and Grants (B,E)
10.417	Very Low-Income Housing Repair Loans and Grants (B,E)
10.444	Direct Housing-Natural Disaster Loans and Grants (B,E)
10.444	Direct Housing-Natural Disaster Loans and Grants (B,E)
10.445	Direct Housing-Natural Disaster (E)
10.445	Direct Housing-Natural Disaster (E)
10.446	Rural Community Development Initiative (B)
10.446	Rural Community Development Initiative (B)
10.447	The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)
14.103	Interest Reduction Payments-Rental and Cooperative Housing for Lower Income Families (C,F)
14.108	Rehabilitation Mortgage Insurance (F)
14.110	Manufactured Home Loan Insurance-Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)
14.112	Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)
14.117	Mortgage Insurance-Homes (F)
14.119	Mortgage Insurance-Homes for Disaster Victims (F)
14.122	Mortgage Insurance-Homes in Urban Renewal Areas (F)
14.123	Mortgage Insurance-Housing in Older, Declining Areas (F)
14.126	Mortgage Insurance-Cooperative Projects (F)
14.127	Mortgage Insurance-Manufactured Home Parks (F)
14.128	Mortgage Insurance-Hospitals (F)
14.129	Mortgage Insurance-Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)
14.133	Mortgage Insurance-Purchase of Units in Condominiums (F)
14.134	Mortgage Insurance-Rental Housing (F)
14.135	Mortgage Insurance-Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)
14.138	Mortgage Insurance-Rental Housing for the Elderly (F)
14.139	Mortgage Insurance-Rental Housing in Urban Renewal Areas (F)
14.142	Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
14.151	Supplemental Loan Insurance-Multifamily Rental Housing (F)
14.155	Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
14.157	Supportive Housing for the Elderly (C)
14.157	Supportive Housing for the Elderly (C)
14.157	Supportive Housing for the Elderly (C)
14.159	Section 245 Graduated Payment Mortgage Program (F)
14.162	Mortgage Insurance-Combination and Manufactured Home Lot Loans (F)
14.163	Mortgage Insurance-Single Family Cooperative Housing (F)

14.167	Mortgage Insurance-Two Year Operating Loss Loans, Section 223(d) (F)
14.172	Mortgage Insurance-Growing Equity Mortgages (F)
14.175	Adjustable Rate Mortgages (F)
14.181	Supportive Housing for Persons with Disabilities (C)
14.181	Supportive Housing for Persons with Disabilities (C)
14.181	Supportive Housing for Persons with Disabilities (C)
14.183	Home Equity Conversion Mortgages (F)
14.184	Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
14.188	Housing Finance Agencies (HFA) Risk Sharing (F)
14.189	Qualified Participating Entities (QPE) Risk Sharing (F)
14.197	Multifamily Assisted Housing Reform and Affordability Act (C)
14.198	Good Neighbor Next Door Sales Program (H)
14.198	Good Neighbor Next Door Sales Program (H)
14.198	Good Neighbor Next Door Sales Program (H)
14.198	Good Neighbor Next Door Sales Program (H)
14.198	Good Neighbor Next Door Sales Program (H)
14.198	Good Neighbor Next Door Sales Program (H)
14.199	Multifamily Property Disposition (H)
14.199	Multifamily Property Disposition (H)
14.311	Single Family Property Disposition (H)
14.311	Single Family Property Disposition (H)
14.311	Single Family Property Disposition (H)
14.311	Single Family Property Disposition (H)
14.311	Single Family Property Disposition (H)
14.313	Dollar Home Sales (H)
14.865	Public and Indian Housing-Indian Loan Guarantee Program (F)

### (373) Deposit Insurance

Includes insurance programs protecting depository thrift institutions.

44.001	Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)
44.001	Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)
44.002	Community Development Revolving Loan Fund Program for Credit Unions (E)

### (376) Other Advancement of Commerce

This includes loan programs designed to aid specialized forms of business (such as small business) that are not included elsewhere in the functional structure. It also includes the costs of collection and dissemination of economic and demographic statistics (such as census data) and of regulation of business.

11.001	Census Bureau Data Products (L)
11.001	Census Bureau Data Products (L)
11.002	Census Customer Services (K,L,M)
11.003	Census Geography (J,L)
11.004	Census Intergovernmental Services (K,L,M)
11.004	Census Intergovernmental Services (K,L,M)
11.005	Census Special Tabulations and Services (J,L)
11.006	Personal Census Search (J)
11.025	Measures and Analyses of the U.S. Economy (L)
11.026	STAT-USA: Key Business, Economic, and International Trade Information (L)
11.106	Remedies for Unfair Foreign Trade Practices-Antidumping and Countervailing Duty Investigations (J,N)
11.108	Commercial Service (K)
11.110	Manufacturing and Services (K)
11.111	Foreign-Trade Zones in the United States (J)
11.112	Market Development Cooperator Program (B)
11.113	ITA Special Projects (B)
11.150	Export Licensing Service and Information (K)
11.408	Fishermen's Contingency Fund (D)
11.415	Fisheries Finance Program (E)
11.427	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)
11.553	Special Projects (B)
11.553	Special Projects (B)
11.601	Calibration Program (J)
11.603	National Standard Reference Data System (H)
11.603	National Standard Reference Data System (H)
11.604	Standard Reference Materials (H)
11.606	Weights and Measures Service (J,K,L,M)
11.606	Weights and Measures Service (J,K,L,M)
11.609	Measurement and Engineering Research and Standards (B)
11.609	Measurement and Engineering Research and Standards (B)
11.609	Measurement and Engineering Research and Standards (B)
11.610	National Center for Standards and Certification Information (L)
11.610	National Center for Standards and Certification Information (L)
11.611	Manufacturing Extension Partnership (B,L)
11.612	Advanced Technology Program (B)
11.616	Technology Innovation Program (TIP) (B)
11.617	Congressionally-Identified Projects (B)

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11.617	Congressionally-Identified Projects (B)	20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
11.618	National Institute of Standards and Technology Construction Grant Program (B)	20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
11.650	National Technical Information Service (L)	20.231	Performance and Registration Information Systems Management (A)
11.702	Internship Program for Postsecondary Students (B)	20.232	Commercial Driver License State Programs (B)
11.800	Minority Business Enterprise Centers (B)	20.233	Border Enforcement Grants (B)
11.801	Native American Business Enterprise Centers (B)	20.234	Safety Data Improvement Program (B)
11.803	Minority Business Opportunity Center (MBOC) (B)	20.235	Commercial Motor Vehicle Operator Training Grants (B)
11.900	Patent and Trademark Technical Information Dissemination (L)	20.236	Thermal Imaging Inspection System Demonstration Project (B)
14.168	Land Sales-Certain Subdivided Land (L,N)	20.237	Safety Data Improvement Program (B)
14.171	Manufactured Home Construction and Safety Standards (L,N)	20.238	Commercial Drivers License Information System (B)
19.204	Fishermen's Guaranty Fund (G)	20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)
32.001	Communications Information and Assistance and Investigation of Complaints (L,N)	20.301	Railroad Safety (N)
36.001	Fair Competition Counseling and Investigation of Complaints (K,N)	20.303	Grants-in-Aid for Railroad Safety-State Participation (B)
39.009	Federal Citizen Information Center (L)	20.312	High Speed Ground Transportation-Next Generation High Speed Rail Program (B)
42.002	Copyright Service (L)	20.312	High Speed Ground Transportation-Next Generation High Speed Rail Program (B)
42.008	Semiconductor Chip Protection Service (L)	20.313	Railroad Research and Development (B)
42.009	Vessel Hull Design Protection Service (L)	20.314	Railroad Development (B)
58.001	Securities-Investigation of Complaints and SEC Information (L,N)	20.314	Railroad Development (B)
59.006	8(a) Business Development Program (J)	20.314	Railroad Development (B)
59.007	7(j) Technical Assistance (B)	20.315	National Railroad Passenger Corporation Grants (B)
59.009	Procurement Assistance to Small Businesses (J)	20.315	National Railroad Passenger Corporation Grants (B)
59.011	Small Business Investment Companies (E,F,K)	20.316	Railroad Rehabilitation and Improvement Financing Program (E)
59.012	7(a) Loan Guarantees (F)	20.317	Capital Assistance to States - Intercity Passenger Rail Service (B)
59.016	Surety Bond Guarantees (G)	20.318	Maglev Project Selection Program - SAFETEA-LU (B)
59.026	Service Corps of Retired Executives (K,M)	20.500	Federal Transit-Capital Investment Grants (A,B)
59.037	Small Business Development Centers (B,J,K,L)	20.500	Federal Transit-Capital Investment Grants (A,B)
59.041	504 Certified Development Loans (F)	20.505	Federal Transit-Metropolitan Planning Grants (A)
59.043	Women's Business Ownership Assistance (B)	20.505	Federal Transit-Metropolitan Planning Grants (A)
59.044	Veterans Business Development (B)	20.507	Federal Transit-Formula Grants (A)
59.046	Microloan Program (A,E)	20.507	Federal Transit-Formula Grants (A)
59.049	Small Disadvantaged Businesses (E)	20.509	Formula Grants for Other Than Urbanized Areas (A)
59.050	PRIME Technical Assistance (B)	20.509	Formula Grants for Other Than Urbanized Areas (A)
59.051	New Markets Venture Capital Program (B,F)	20.513	Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
59.051	New Markets Venture Capital Program (B,F)	20.513	Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
59.052	Native American Outreach (B)	20.514	Public Transportation Research (B,L,M)
59.053	Ombudsman and Regulatory Fairness Boards (N)	20.515	State Planning and Research (A)
59.054	7(a)Export Loan Guarantees (F)	20.515	State Planning and Research (A)
59.055	HUBZone Program (B)	20.516	Job Access-Reverse Commute (B)
59.070	Drug-Free Workplace Program (B)	20.516	Job Access-Reverse Commute (B)
78.004	Commodity Futures Reparations Claims (N)	20.518	Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)

## (400) TRANSPORTATION

This function includes all programs with the primary aim of providing for the transportation of the general public and/or their property, regardless of whether local or national and regardless of the particular mode of transportation. It includes the construction of facilities; purchase of equipment; research, testing, and evaluation; provision of communications directly related to transportation (for example, air traffic control by the FAA); and operating subsidies for transportation facilities (such as mass transit) and industries (such as railroads). Transportation includes regulatory activities directed toward transportation. Excluded from this function are the costs of moving personnel or equipment as part of the operation of other government services; the provision of foreign economic assistance which may take the course of assisting transportation facilities or programs abroad; the construction of roads, trails, etc., as an integral part of the operation of public lands, parks, forests, or military reservations, unless they are specifically funded as a part of a broader transportation program; the construction of roads or other transportation facilities as an integral part of a broad community facility or regional development program where the clear intent of the program is regional development and the provisions of transportation facilities is only an incidental by-product or means to attain the objective of regional development. Also excluded from transportation are research and technology activities devoted to space research, except for aeronautical technology, even though this research may eventually redound to the advantage of general transportation.

97.072 National Explosives Detection Canine Team Program (B)

## (401) Ground Transportation

Outlays to aid and/or regulate the various modes of ground transportation, such as roads and highways, railroads, and urban mass transit.

20.200	Highway Research and Development Program (B)
20.205	Highway Planning and Construction (A,B)
20.215	Highway Training and Education (B,M)
20.218	National Motor Carrier Safety (A)
20.219	Recreational Trails Program (A,B)
20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)

20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
20.231	Performance and Registration Information Systems Management (A)
20.232	Commercial Driver License State Programs (B)
20.233	Border Enforcement Grants (B)
20.234	Safety Data Improvement Program (B)
20.235	Commercial Motor Vehicle Operator Training Grants (B)
20.236	Thermal Imaging Inspection System Demonstration Project (B)
20.237	Safety Data Improvement Program (B)
20.238	Commercial Drivers License Information System (B)
20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)
20.301	Railroad Safety (N)
20.303	Grants-in-Aid for Railroad Safety-State Participation (B)
20.312	High Speed Ground Transportation-Next Generation High Speed Rail Program (B)
20.312	High Speed Ground Transportation-Next Generation High Speed Rail Program (B)
20.313	Railroad Research and Development (B)
20.314	Railroad Development (B)
20.314	Railroad Development (B)
20.314	Railroad Development (B)
20.315	National Railroad Passenger Corporation Grants (B)
20.315	National Railroad Passenger Corporation Grants (B)
20.316	Railroad Rehabilitation and Improvement Financing Program (E)
20.317	Capital Assistance to States - Intercity Passenger Rail Service (B)
20.318	Maglev Project Selection Program - SAFETEA-LU (B)
20.500	Federal Transit-Capital Investment Grants (A,B)
20.500	Federal Transit-Capital Investment Grants (A,B)
20.505	Federal Transit-Metropolitan Planning Grants (A)
20.505	Federal Transit-Metropolitan Planning Grants (A)
20.507	Federal Transit-Formula Grants (A)
20.507	Federal Transit-Formula Grants (A)
20.509	Formula Grants for Other Than Urbanized Areas (A)
20.509	Formula Grants for Other Than Urbanized Areas (A)
20.513	Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
20.513	Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
20.514	Public Transportation Research (B,L,M)
20.515	State Planning and Research (A)
20.515	State Planning and Research (A)
20.516	Job Access-Reverse Commute (B)
20.516	Job Access-Reverse Commute (B)
20.518	Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)
20.518	Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)
20.519	Clean Fuels (B)
20.521	New Freedom Program (A)
20.522	Alternatives Analysis (B)
20.600	State and Community Highway Safety (A)
20.600	State and Community Highway Safety (A)
20.601	Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (B)
20.602	Occupant Protection (B)
20.605	Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (B)
20.607	Alcohol Open Container Requirements (B)
20.608	Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)
20.609	Safety Belt Performance Grants (B)
20.610	State Traffic Safety Information System Improvement Grants (B)
20.611	Incentive Grant Program to Prohibit Racial Profiling (B)
20.612	Incentive Grant Program to Increase Motorcyclist Safety (B)
20.613	Child Safety and Child Booster Seats Incentive Grants (B)
20.614	National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (B)
20.701	University Transportation Centers Program (B)
20.701	University Transportation Centers Program (B)
20.704	RITA Hydrogen (B)
20.760	University Transportation Centers (B)
20.760	University Transportation Centers (B)
20.761	Biobased Transportation Research (B)
20.762	Research Grants (B)

## (402) Air Transportation

Outlays to aid and/or regulate air transportation, including aeronautical research conducted by the National Aeronautics and Space Administration.



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- 20.100 Aviation Education (K)
- 20.106 Airport Improvement Program (B,K)
- 20.108 Aviation Research Grants (B,I)
- 20.109 Air Transportation Centers of Excellence (B,I,J)
- 20.901 Payments for Essential Air Services (C)
- 20.930 Payments for Small Community Air Service Development (B)
- 97.056 Port Security Grant Program (B)
- 97.057 Intercity Bus Security Grants (B)
- 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)
- 97.060 Port Security Research and Development Grant (B)
- 97.090 Law Enforcement Officer Reimbursement Agreement Program (C)
- 97.100 Airport Checked Baggage Screening Program (C)

## (403) Water Transportation

Outlays to aid and/or regulate maritime commerce. (To the extent that the data can readily be segregated, this should extend to include inland and deep draft navigation facilities of water resources projects.)

- 20.802 Federal Ship Financing Guarantees (F)
- 20.803 Maritime War Risk Insurance (G)
- 20.806 State Maritime Schools (C,I)
- 20.807 U.S. Merchant Marine Academy (M)
- 20.808 Capital Construction Fund (C)
- 20.810 Supplementary Training (M)
- 20.812 Construction Reserve Fund (C)
- 20.814 Assistance to Small Shipyards (C)
- 33.001 Shipping-Dispute Resolution and Investigation of Complaints (N)
- 97.011 Boating Safety (J,K,L,M)
- 97.012 Boating Safety Financial Assistance (A)
- 97.013 State Access to the Oil Spill Liability Trust Fund (B)
- 97.014 Bridge Alteration (C)

## (407) Other Transportation

Outlays for general transportation programs and overhead not readily allocable into any of the preceding subfunctions.

- 20.700 Pipeline Safety Program Base Grants (A)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
- 20.720 State Damage Prevention Program Grants (B)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)
- 20.763 Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (B)
- 20.764 Hydrogen Storage Research and Development (B)
- 20.900 Transportation-Consumer Affairs (N)
- 20.904 Bonding Assistance Program (G)
- 20.905 Disadvantaged Business Enterprises-Short Term Lending Program (F)
- 20.910 Assistance to small and disadvantaged businesses (B)
- 20.931 Transportation Planning, Research and Education (B)

## (450) COMMUNITY AND REGIONAL DEVELOPMENT

This function consists of broad-based community, regional, urban and rural renewal and development programs. It includes grants and loans for water supply and sewer systems (except those specifically funded as environmental protection programs), urban community and economic development programs, regional economic development programs, broad-based public facility construction programs, and relief and rehabilitation of private and public facilities in the event of natural disasters.

Aids to businesses such as loans, loan guarantees, and subsidies are not normally included in this function unless such aids are a means of economic development to aid restricted (generally depressed) areas and are not designed to promote particular lines of business for their own sake. Transportation facilities developed as an integral part of a community development (rather than transportation) program are also included in this function. As a normal rule, human development and services programs are excluded from this function (and included in the education, training, employment, and social services function). This function is confined to development of physical facilities or financial infrastructures designed to promote viable community economies.

### (451) Community Development

This subfunction includes grants and related programs designed to aid community (largely urban) development. It includes community development block grants and predecessor activities such as the urban renewal and model cities programs. Community development programs are generally carried out by the Department of Housing and Urban Development.

- 10.671 Southeast Alaska Economic Disaster Fund (C)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.218 Community Development Block Grants/Entitlement Grants (A)
- 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)

- 14.227 Community Development Block Grants/Technical Assistance Program (B)
- 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)
- 14.244 Empowerment Zones Program (B,C)
- 14.244 Empowerment Zones Program (B,C)
- 14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)
- 14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)
- 14.247 Self-Help Homeownership Opportunity Program (B)
- 14.248 Community Development Block Grants-Section 108 Loan Guarantees (F)
- 14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)
- 14.506 General Research and Technology Activity (B)
- 14.514 Hispanic-Serving Institutions Assisting Communities (B)
- 14.514 Hispanic-Serving Institutions Assisting Communities (B)
- 14.515 Alaska Native/Native Hawaiian Institutions Assisting Communities (B)
- 14.515 Alaska Native/Native Hawaiian Institutions Assisting Communities (B)
- 14.516 Doctoral Dissertation Research Grants (B)
- 14.517 Early Doctoral Student Research Grants (B)
- 14.519 Tribal Colleges and Universities Program (B)
- 14.519 Tribal Colleges and Universities Program (B)
- 14.520 Historically Black Colleges and Universities Program (B)
- 14.520 Historically Black Colleges and Universities Program (B)
- 14.862 Indian Community Development Block Grant Program (B)
- 14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)
- 14.901 Healthy Homes Demonstration Grants (B)
- 14.902 Lead Technical Studies Grants (B)
- 14.903 Operation Lead Elimination Action Program (B)
- 14.904 Lead Outreach Grants (B)
- 14.905 Lead Hazard Reduction Demonstration Grant Program (B)
- 14.906 Healthy Homes Technical Studies Grants (B)
- 21.020 Community Development Financial Institutions Program (B)
- 21.021 Bank Enterprise Award Program (B)

### (452) Area and Regional Development

Grants, loans, subsidies, and related aids to economic development or depressed areas that are generally either primarily for rural areas or else are more regional in nature or purpose than the community development programs. Area and regional development programs are generally carried out by agencies other than the Department of Housing and Urban Development, such as the Departments of Agriculture, Commerce, and Interior.

- 10.350 Technical Assistance to Cooperatives (J,K,L,M)
- 10.352 Value-Added Producer Grants (B)
- 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)
- 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)
- 10.761 Technical Assistance and Training Grants (B)
- 10.762 Solid Waste Management Grants (B)
- 10.763 Emergency Community Water Assistance Grants (B)
- 10.766 Community Facilities Loans and Grants (B,E,F)
- 10.766 Community Facilities Loans and Grants (B,E,F)
- 10.767 Intermediary Relending Program (E)
- 10.767 Intermediary Relending Program (E)
- 10.768 Business and Industry Loans (F)
- 10.768 Business and Industry Loans (F)
- 10.769 Rural Business Enterprise Grants (B)
- 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)
- 10.771 Rural Cooperative Development Grants (B)
- 10.772 Empowerment Zones Program (B)
- 10.773 Rural Business Opportunity Grants (B)
- 10.774 National Sheep Industry Improvement Center (B,C,E,F)
- 10.778 Research on the Economic Impact of Cooperatives (C)
- 10.854 Rural Economic Development Loans and Grants (B,E)
- 10.854 Rural Economic Development Loans and Grants (B,E)
- 10.855 Distance Learning and Telemedicine Loans and Grants (B,E)
- 10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)
- 10.857 State Bulk Fuel Revolving Fund Grants (B)
- 10.858 Denali Commission Grants and Loans (B,E)
- 10.859 Assistance to High Energy Cost Rural Communities (B,E)
- 10.860 Rural Business Investment Program (B,F)
- 10.861 Public Television Station Digital Transition Grant Program (B)
- 10.862 Household Water Well System Grant Program (B)
- 10.863 Community Connect Grant Program (B)
- 10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)
- 10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)
- 11.300 Investments for Public Works and Economic Development Facilities (B)
- 11.302 Economic Development-Support for Planning Organizations (B)

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11.303 Economic Development-Technical Assistance (B)  
11.307 Economic Adjustment Assistance (B)  
11.312 Research and Evaluation Program (B)  
11.313 Trade Adjustment Assistance for Firms (B)  
15.020 Aid To Tribal Governments (C)  
15.021 Consolidated Tribal Government Program (C)  
15.022 Tribal Self-Governance (C)  
15.024 Indian Self-Determination Contract Support (C)  
15.025 Services to Indian Children, Elderly and Families (C)  
15.029 Tribal Courts (C)  
15.030 Indian Law Enforcement (C)  
15.032 Indian Economic Development (C)  
15.033 Road Maintenance-Indian Roads (C)  
15.036 Indian Rights Protection (C)  
15.040 Real Estate Programs-Indian Lands (C)  
15.041 Environmental Management-Indian Programs (C)  
15.052 Litigation Support for Indian Rights (C)  
15.053 Attorney Fees-Indian Rights (C)  
15.055 Alaskan Indian Allotments and Subsistence Preference-Alaska National Interest Lands Conservation Act (C)  
15.057 Navajo-Hopi Indian Settlement Program (C,J)  
15.060 Indian Vocational Training-United Tribes Technical College (D,M)  
15.061 Indian Job Placement-United Sioux Tribes Development Corporation (D,K)  
15.062 Replacement and Repair of Indian Schools (C)  
15.063 Improvement and Repair of Indian Detention Facilities (C)  
15.064 Structural Fire Protection-Bureau of Indian Affairs Facilities (C)  
15.108 Indian Employment Assistance (C)  
15.113 Indian Social Services-Welfare Assistance (C)  
15.124 Indian Loans-Economic Development (F)  
15.133 Native American Business Development Institute (A)  
15.141 Indian Housing Assistance (B,L)  
15.144 Indian Child Welfare Act-Title II Grants (B)  
15.146 Ironworker Training Program (B)  
15.147 Tribal Courts-Trust Reform Initiative (B)  
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)  
23.002 Appalachian Area Development (B)  
23.003 Appalachian Development Highway System (B)  
23.009 Appalachian Local Development District Assistance (B)  
23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)  
90.100 Denali Commission Program (B)  
90.100 Denali Commission Program (B)  
90.200 Delta Regional Development (B)  
90.201 Delta Area Economic Development (B)  
90.202 Delta Local Development District Assistance (B)

## (453) Disaster Relief and Insurance

This subfunction includes those Federal programs uniquely devoted to assist communities to recover from natural disasters and assist families on an emergency basis when they are adversely affected by such disasters.

10.054 Emergency Conservation Program (C)  
59.008 Disaster Assistance Loans (E)  
97.022 Flood Insurance (G)  
97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)  
97.029 Flood Mitigation Assistance (B)  
97.030 Community Disaster Loans (E)  
97.031 Cora Brown Fund (C)  
97.032 Crisis Counseling (B)  
97.033 Disaster Legal Services (C)  
97.034 Disaster Unemployment Assistance (C,J)  
97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)  
97.041 National Dam Safety Program (B)  
97.045 Cooperating Technical Partners (B)  
97.046 Fire Management Assistance Grant (B,J)  
97.047 Pre-Disaster Mitigation (B)  
97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B)  
97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)  
97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)  
97.064 Debris Removal Insurance (G)  
97.070 Map Modernization Management Support (B)  
97.082 Earthquake Consortium (B)  
97.084 Hurricane Katrina Case Management Initiative Program (B)  
97.085 9/11 Heroes Stamp Program (D)

97.087 Alternative Housing Pilot Program (B)  
97.092 Repetitive Flood Claims (B)  
97.098 Disaster Donations Management Program (B)  
97.109 Disaster Housing Assistance Grant (B)  
97.110 Severe Loss Repetitive Program (B)

## (500) EDUCATION, TRAINING, EMPLOYMENT, AND SOCIAL SERVICES

This function includes those outlays designed to promote the general extension of knowledge and skills, to provide public services to needy individuals, and/or to assist individuals to become self-supporting members of society. It includes the provision of education or training child care services, employment counselling, vocational rehabilitation, and other social services provided to individuals and families. It also includes cash payments (scholarships, loans, or stipends) to persons when such payments are provided to enable a person to participate in education or training programs; it includes programs designed to provide services to the poor (such as community services) that are not an integral part of some other function, and also includes the costs of research directly related to the programs in this function. This function excludes education or training undertaken as an integral part of the achievement of another functional end (such as training of military personnel; veterans education, training, and rehabilitation; or training of health workers in a health program) and also excludes general purpose scientific research. Nutrition or food service programs that are funded separately from social services or education shall be included as income security rather than being included in this function.

84.323 Special Education - State Personnel Development (B)  
84.324 Research in Special Education (B)  
84.329 Special Education-Studies and Evaluations (B)

## (501) Elementary, Secondary, and Vocational Education

This includes pre-school, elementary, secondary and vocational education programs.

15.026 Indian Adult Education (C)  
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)  
15.028 Tribally Controlled Community College Endowments (B)  
15.042 Indian School Equalization Program (C)  
15.043 Indian Child and Family Education (B,M)  
15.044 Indian Schools-Student Transportation (C)  
15.045 Assistance for Indian Children with Severe Disabilities (C)  
15.046 Administrative Cost Grants for Indian Schools (B)  
15.047 Indian Education Facilities, Operations, and Maintenance (C)  
15.048 Bureau of Indian Affairs Facilities-Operations and Maintenance (C)  
15.058 Indian Post Secondary Schools (M)  
15.059 Indian Graduate Student Scholarships (B)  
15.114 Indian Education-Higher Education Grant Program (B)  
15.130 Indian Education-Assistance to Schools (C)  
17.267 Incentive Grants - WIA Section 503 (A,B)  
84.002 Adult Education - Basic Grants to States (A)  
84.004 Civil Rights Training and Advisory Services (B)  
84.010 Title I Grants to Local Educational Agencies (A)  
84.011 Migrant Education-State Grant Program (A)  
84.013 Title I Program for Neglected and Delinquent Children (A)  
84.027 Special Education-Grants to States (A)  
84.040 Impact Aid-Facilities Maintenance (B)  
84.041 Impact Aid (A)  
84.048 Career and Technical Education -- Basic Grants to States (A)  
84.051 Career and Technical Education -- National Programs (B)  
84.060 Indian Education-Grants to Local Educational Agencies (A)  
84.083 Women's Educational Equity Act Program (B)  
84.101 Career and Technical Education - Indian Set-aside (B)  
84.141 Migrant Education-High School Equivalency Program (B)  
84.144 Migrant Education-Coordination Program (B)  
84.149 Migrant Education-College Assistance Migrant Program (B)  
84.165 Magnet Schools Assistance (B)  
84.173 Special Education-Preschool Grants (A)  
84.181 Special Education-Grants for Infants and Families (A)  
84.184 Safe and Drug-Free Schools and Communities-National Programs (B)  
84.186 Safe and Drug-Free Schools and Communities-State Grants (A)  
84.191 Adult Education-National Leadership Activities (B)  
84.196 Education for Homeless Children and Youth (A)  
84.203 Star Schools (B)  
84.213 Even Start-State Educational Agencies (A,B)  
84.214 Even Start-Migrant Education (B)  
84.215 Fund for the Improvement of Education (B)  
84.215 Fund for the Improvement of Education (B)  
84.215 Fund for the Improvement of Education (B)  
84.243 Tech-Prep Education (A,B)  
84.256 Freely Associated States-Education Grant Program (B)  
84.257 National Institute for Literacy (B)  
84.258 Even Start-Indian Tribes and Tribal Organizations (B)

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84.259	Native Hawaiian Career and Technical Education (B)	84.220	Centers for International Business Education (B)
84.282	Charter Schools (B)	84.229	Language Resource Centers (B)
84.283	Comprehensive Centers (B)	84.245	Tribally Controlled Postsecondary Career and Technical Institutions (B)
84.286	Ready to Teach (B)	84.268	Federal Direct Student Loans (E)
84.287	Twenty-First Century Community Learning Centers (A)	84.269	Institute for International Public Policy (B)
84.293	Foreign Language Assistance (B)	84.274	American Overseas Research Centers (B)
84.295	Ready-To-Learn Television (B)	84.333	Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (B)
84.298	State Grants for Innovative Programs (A)	84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (B)
84.304	Civic Education - Cooperative Education Exchange Program (B)	84.335	Child Care Access Means Parents in School (B)
84.310	Parental Information and Resource Centers (B)	84.336	Teacher Quality Enhancement Grants (B)
84.318	Education Technology State Grants (A)	84.337	International Education-Technological Innovation and Cooperation for Foreign Information Access (B)
84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)	84.345	Underground Railroad Educational and Cultural Program (B)
84.326	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)	84.375	Academic Competitiveness Grants (C)
84.327	Special Education-Technology and Media Services for Individuals with Disabilities (B)	84.376	National Science and Mathematics Access to Retain Talent (SMART) Grants (C)
84.328	Special Education-Parent Information Centers (B)	84.378	College Access Challenge Grant Program (A)
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)
84.331	Grants to States for Incarcerated Youth Offenders (A)	84.381	Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)
84.332	Comprehensive School Reform Demonstration (A)	84.382	Strengthening Minority-Serving Institutions (B)
84.349	Early Childhood Educator Professional Development (B)	85.001	Harry S Truman Scholarship Program (C)
84.350	Transition to Teaching (B)	85.100	Christopher Columbus Fellowship Program (B,J)
84.351	Arts in Education (B)	85.200	Barry M. Goldwater Scholarship Program (C)
84.354	Credit Enhancement for Charter School Facilities (B)	85.400	Morris K. Udall Scholarship Program (C)
84.356	Alaska Native Educational Programs (B)	85.401	Morris K. Udall Fellowship Program (B)
84.357	Reading First State Grants (B)	85.402	Morris K. Udall Native American Congressional Internship Program (C)
84.358	Rural Education (A)	85.500	James Madison Memorial Fellowship Program (B)
84.359	Early Reading First (B)		
84.360	School Dropout Prevention Program (B)		
84.361	Voluntary Public School Choice (B)		
84.362	Native Hawaiian Education (B)		
84.363	School Leadership (B)		
84.364	Literacy through School Libraries (B)		
84.365	English Language Acquisition Grants (A,B)		
84.366	Mathematics and Science Partnerships (B)		
84.367	Improving Teacher Quality State Grants (A)		
84.369	Grants for State Assessments and Related Activities (A)		
84.370	DC School Choice Incentive Program (B)		
84.371	Striving Readers (B)		
84.373	Special Education-Technical Assistance on State Data Collection (B)		
84.374	Teacher Incentive Fund (B)		
84.377	School Improvement Grants (B)		
84.380	Special Education -- Olympic Education Programs (B)		
84.383	Homeless Education Disaster Assistance Program (I)		
<b>(502) Higher Education</b>		<b>(503) Research and General Education Aids</b>	
This includes postsecondary, college level and graduate school education programs.		This includes assistance for the arts, the humanities, educational radio and television, public libraries, and museums.	
84.007	Federal Supplemental Educational Opportunity Grants (C)	11.550	Public Telecommunications Facilities Planning and Construction (B)
84.015	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)	11.554	Low-Power Television and Translator Digital-to-Analog Conversion (B)
84.016	Undergraduate International Studies and Foreign Language Programs (B)	11.555	Public Safety Interoperable Communications Grant Program (B)
84.017	International Research and Studies (B)	11.556	TV Converter Box Coupon Program (C)
84.018	Overseas Programs-Special Bilateral Projects (B)	42.001	Books for the Blind and Physically Handicapped (I)
84.019	Overseas Programs - Faculty Research Abroad (B)	45.024	Promotion of the Arts-Grants to Organizations and Individuals (B)
84.021	Overseas Programs - Group Projects Abroad (B)	45.025	Promotion of the Arts-Partnership Agreements (A,B,K)
84.022	Overseas Programs - Doctoral Dissertation Research Abroad (B)	45.129	Promotion of the Humanities-Federal/State Partnership (A)
84.031	Higher Education-Institutional Aid (B)	45.130	Promotion of the Humanities-Challenge Grants (B)
84.032	Federal Family Education Loans (F)	45.149	Promotion of the Humanities-Division of Preservation and Access (B)
84.033	Federal Work-Study Program (C)	45.160	Promotion of the Humanities-Fellowships and Stipends (B)
84.037	Perkins Loan Cancellations (C,D)	45.161	Promotion of the Humanities-Research (B)
84.038	Federal Perkins Loan Program-Federal Capital Contributions (C)	45.162	Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development (B)
84.042	TRIO-Student Support Services (B)	45.163	Promotion of the Humanities-Professional Development (B)
84.044	TRIO-Talent Search (B)	45.164	Promotion of the Humanities-Public Programs (B)
84.047	TRIO-Upward Bound (B)	45.168	Promotion of the Humanities-We the People (B,D)
84.063	Federal Pell Grant Program (C)	45.169	Promotion of the Humanities-Office of Digital Humanities (B)
84.066	TRIO-Educational Opportunity Centers (B)	45.201	Arts and Artifacts Indemnity (G)
84.069	Leveraging Educational Assistance Partnership (A)	45.301	Museums for America (B,C)
84.103	TRIO Staff Training Program (B)	45.302	Museum Assessment Program (C)
84.116	Fund for the Improvement of Postsecondary Education (B)	45.303	Conservation Project Support (B,C)
84.120	Minority Science and Engineering Improvement (B)	45.304	Conservation Assessment Program (C)
84.153	Business and International Education Projects (B)	45.307	21st Century Museum Professionals (B)
84.170	Javits Fellowships (B)	45.308	Native American/Native Hawaiian Museum Services Program (B)
84.185	Byrd Honors Scholarships (A)	45.309	Museum Grants for African American History and Culture (B)
84.200	Graduate Assistance in Areas of National Need (B)	45.310	Grants to States (A)
84.217	TRIO-McNair Post-Baccalaureate Achievement (B)	45.311	Native American and Native Hawaiian Library Services (B)
		45.312	National Leadership Grants (B)
		45.313	Laura Bush 21st Century Librarian Program (B)
		68.001	National Gallery of Art Extension Service (I)
		84.145	Federal Real Property Assistance Program (H)
		84.206	Javits Gifted and Talented Students Education Grant Program (B)
		84.305	Education Research, Development and Dissemination (B)
		84.372	Statewide Data Systems (B)
		85.300	Woodrow Wilson Center Fellowships in the Humanities and Social Sciences (B)
		85.601	Smithsonian Institution Fellowship Program (B)
		<b>(504) Training and Employment</b>	
		This includes programs of job or skill training, employment services and placement, and payments to employers to subsidize employment of marginal, unemployed, or low income workers.	



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17.201	Registered Apprenticeship and Other Training (B,K)	93.044	Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers (A)
17.201	Registered Apprenticeship and Other Training (B,K)		
17.235	Senior Community Service Employment Program (A,B)	93.045	Special Programs for the Aging-Title III, Part C-Nutrition Services (A)
17.258	WIA Adult Program (A)	93.047	Special Programs for the Aging-Title VI, Part A, Grants to Indian Tribes-Part B, Grants to Native Hawaiians (B)
17.259	WIA Youth Activities (A)		
17.260	WIA Dislocated Workers (A,B)	93.048	Special Programs for the Aging-Title IV-and Title II-Discretionary Projects (B)
17.261	WIA Pilots, Demonstrations, and Research Projects (B)		
17.264	National Farmworker Jobs Program (A)	93.051	Alzheimer's Disease Demonstration Grants to States (B)
17.265	Native American Employment and Training (B)	93.052	National Family Caregiver Support, Title III, Part E (A)
17.268	H-1B Job Training Grants (B)	93.053	Nutrition Services Incentive Program (A)
17.269	Community Based Job Training Grants (B)	93.054	National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)
17.270	Reintegration of Ex-Offenders (B)		
17.272	Permanent Labor Certification for Foreign Workers (J)	93.071	Medicare Enrollment Assistance Program (A,B)
17.272	Permanent Labor Certification for Foreign Workers (J)		
17.273	Temporary Labor Certification for Foreign Workers (A,J)	93.086	Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)
17.273	Temporary Labor Certification for Foreign Workers (A,J)	93.087	Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)
17.274	YOUTHBUILD (B)		
17.802	Veterans' Employment Program (B)		

## (505) Other Labor Services

This includes aids to or regulation of the labor market (including gathering labor statistics and mediation and conciliation services) other than employment and training programs, and other than occupational safety and health programs.

17.002	Labor Force Statistics (B,L)
17.003	Prices and Cost of Living Data (L)
17.004	Productivity and Technology Data (L)
17.005	Compensation and Working Conditions (B,L)
17.301	Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (N)
17.303	Wage and Hour Standards (K,N)
17.306	Consumer Credit Protection (K,N)
17.308	Farm Labor Contractor Registration (K,N)
17.309	Labor Organization Reports (K,L,N)
17.700	Women's Bureau (K)
17.720	Disability Employment Policy Development (B)
34.001	Labor Mediation and Conciliation (J,K)
46.001	Labor-Management Relations (J,N)

## (506) Social Services

This is composed of two forms of activities: (a) programs involving the provision of a broad range of services to individuals to assist them to improve their vocational capabilities (vocational rehabilitation) or family status, and (b) provision of services to the poor and elderly that are not primarily for income support and that are not an integral part of some other function (for example, community action programs).

84.126	Rehabilitation Services-Vocational Rehabilitation Grants to States (A)	93.569	Community Services Block Grant (A)
84.128	Rehabilitation Services-Service Projects (B)	93.570	Community Services Block Grant-Discretionary Awards (B)
84.129	Rehabilitation Long-Term Training (B)	93.581	Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)
84.132	Centers for Independent Living (B)	93.586	State Court Improvement Program (A)
84.133	National Institute on Disability and Rehabilitation Research (B)	93.587	Promote the Survival and Continuing Vitality of Native American Languages (B)
84.160	Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)	93.590	Community-Based Child Abuse Prevention Grants (A)
84.161	Rehabilitation Services-Client Assistance Program (A)	93.591	Family Violence Prevention and Services/Grants For Battered Women's Shelters-Grants to State Domestic Violence Coalitions (A)
84.169	Independent Living-State Grants (A)	93.592	Family Violence Prevention and Services/Grants for Battered Women's Shelters-Discretionary Grants (B)
84.177	Rehabilitation Services-Independent Living Services for Older Individuals Who are Blind (A)	93.593	Job Opportunities for Low-Income Individuals (B)
84.187	Supported Employment Services for Individuals with Significant Disabilities (A)	93.599	Chafee Education and Training Vouchers Program (ETV) (A)
84.224	Assistive Technology (A,B,L)	93.600	Head Start (B)
84.234	Projects with Industry (B)	93.602	Assets for Independence Demonstration Program (B)
84.235	Rehabilitation Services Demonstration and Training Programs (B)	93.603	Adoption Incentive Payments (A)
84.240	Program of Protection and Advocacy of Individual Rights (A)	93.612	Native American Programs (B)
84.246	Rehabilitation Short-Term Training (B)	93.613	President's Committee for People with Intellectual Disabilities (PCPID) (L)
84.250	Rehabilitation Services-American Indians with Disabilities (B)	93.616	Mentoring Children of Prisoners (B)
84.263	Rehabilitation Training-Experimental and Innovative Training (B)	93.617	Voting Access for Individuals with Disabilities-Grants to States (A)
84.264	Rehabilitation Training-Continuing Education (B)	93.618	Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A,B)
84.265	Rehabilitation Training-State Vocational Rehabilitation Unit In-Service Training (B)	93.623	Basic Center Grant (B)
84.275	Rehabilitation Training-General Training (B)	93.630	Developmental Disabilities Basic Support and Advocacy Grants (A)
84.315	Capacity Building for Traditionally Underserved Populations (B)	93.631	Developmental Disabilities Projects of National Significance (B)
84.343	Assistive Technology-State Grants for Protection and Advocacy (A)	93.632	University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)
93.009	Compassion Capital Fund (B)	93.645	Child Welfare Services-State Grants (A)
93.010	Community-Based Abstinence Education (CBAE) (B)	93.647	Social Services Research and Demonstration (B)
93.041	Special Programs for the Aging-Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)	93.648	Child Welfare Services Training Grants (B)
93.042	Special Programs for the Aging-Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals (A)	93.652	Adoption Opportunities (B)
93.043	Special Programs for the Aging-Title III, Part D-Disease Prevention and Health Promotion Services (A)	93.667	Social Services Block Grant (A)
		93.669	Child Abuse and Neglect State Grants (A)
		93.670	Child Abuse and Neglect Discretionary Activities (B)
		93.671	Family Violence Prevention and Services/Grants for Battered Women's Shelters-Grants to States and Indian Tribes (A)
		93.676	Unaccompanied Alien Children Program (B)
		94.002	Retired and Senior Volunteer Program (B)
		94.003	State Commissions (B)
		94.004	Learn and Serve America-School and Community Based Programs (B)
		94.005	Learn and Serve America-Higher Education (B)
		94.006	AmeriCorps (B)
		94.007	Planning and Program Development Grants (B)
		94.009	Training and Technical Assistance (B)
		94.011	Foster Grandparent Program (B)
		94.013	Volunteers in Service to America (J)
		94.016	Senior Companion Program (B)

## (550) HEALTH

This function includes those programs that have as their basic purpose the promotion of the physical and mental health of the nation's population, including the prevention of illness and accidents. It includes planning, financing, and provision of medical care; research into the causes and cure of disease; the financing of specialized programs for training of health workers and researchers; and promotion

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of consumer and occupational health and safety. Excluded from the health function are Federal health care costs that are an integral part of another function, such as medicare and medical care for military personnel and for veterans. General scientific research that has medical applications (such as that conducted by the National Science Foundation) and health programs financed through foreign assistance programs are also excluded from the health function.	93.249	Public Health Training Centers Grant Program (B)
93.061 Innovations in Applied Public Health Research (B)	93.250	Geriatric Academic Career Awards (C)
93.063 Centers for Genomics and Public Health (B)	93.251	Universal Newborn Hearing Screening (B)
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)	93.252	Healthy Communities Access Program (B)
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)	93.253	Poison Control Stabilization and Enhancement Grants (B)
93.066 State Vital Statistics Improvement Program (B)	93.255	Children's Hospitals Graduate Medical Education Payment (C)
93.067 Global AIDS (B)	93.256	State Planning Grants Health Care Access for the Uninsured (B)
93.068 Chronic Diseases: Research, Control, and Prevention (B)	93.257	Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)
93.069 Public Health Emergency Preparedness (B)	93.259	Rural Access to Emergency Devices Grant (B)
93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)	93.260	Family Planning-Personnel Training (B)
93.107 Model State-Supported Area Health Education Centers (B)	93.262	Occupational Safety and Health Program (B)
93.110 Maternal and Child Health Federal Consolidated Programs (B)	93.264	Nurse Faculty Loan Program (NFLP) (A)
93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)	93.265	Comprehensive Geriatric Education Program(CGEP) (B)
93.117 Grants for Preventive Medicine (B)	93.266	Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)
93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)	93.267	State Grants for Protection and Advocacy Services (A)
93.121 Oral Diseases and Disorders Research (B)	93.268	Immunization Grants (B)
93.124 Nurse Anesthetist Traineeships (A)	93.269	Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)
93.127 Emergency Medical Services for Children (B)	93.270	Adult Viral Hepatitis Prevention and Control (B)
93.129 Technical and Non-Financial Assistance to Health Centers (B)	93.275	Substance Abuse and Mental Health Services-Access to Recovery (B)
93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)	93.283	Centers for Disease Control and Prevention-Investigations and Technical Assistance (B)
93.134 Grants to Increase Organ Donations (B)	93.288	National Health Service Corps Scholarship Program (C)
93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)	93.300	National Center for Health Workforce Analysis (B)
93.136 Injury Prevention and Control Research and State and Community Based Programs (B)	93.301	Small Rural Hospital Improvement Grant Program (B)
93.138 Protection and Advocacy for Individuals with Mental Illness (A)	93.303	Nursing Scholarship Program (C)
93.145 AIDS Education and Training Centers (B)	93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (E)
93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)	93.359	Nurse Education, Practice and Retention Grants (B)
93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)	93.364	Nursing Student Loans (E)
93.155 Rural Health Research Centers (B)	93.365	Sickle Cell Treatment Demonstration Program (B)
93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B)	93.392	Cancer Construction (B)
93.157 Centers of Excellence (B)	93.393	Cancer Cause and Prevention Research (B)
93.162 National Health Service Corps Loan Repayment Program (C)	93.394	Cancer Detection and Diagnosis Research (B)
93.165 Grants to States for Loan Repayment Program (B)	93.395	Cancer Treatment Research (B)
93.178 Nursing Workforce Diversity (B)	93.396	Cancer Biology Research (B)
93.181 Podiatric Residency Training in Primary Care (B)	93.397	Cancer Centers Support Grants (B)
93.184 Disabilities Prevention (B)	93.398	Cancer Research Manpower (B)
93.185 Immunization Research, Demonstration, Public Information and Education-Training and Clinical Skills Improvement Projects (B)	93.399	Cancer Control (B)
93.186 National Research Service Award in Primary Care Medicine (M)	93.777	State Survey and Certification of Health Care Providers and Suppliers (A)
93.189 Health Education and Training Centers (B)	93.779	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)
93.191 Allied Health Special Projects (B)	93.822	Health Careers Opportunity Program (B)
93.192 Quentin N. Burdick Program for Rural Interdisciplinary Training (B)	93.824	Basic/Core Area Health Education Centers (B)
93.197 Childhood Lead Poisoning Prevention Projects-State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)	93.884	Grants for Training in Primary Care Medicine and Dentistry (B)
93.211 Telehealth Network Grants (B)	93.887	Health Care and Other Facilities (B)
93.212 Chiropractic Demonstration Project Grants (B)	93.888	Specially Selected Health Projects (B)
93.217 Family Planning-Services (B)	93.890	Healthy Communities Access Program (HCAP) Demonstration Authority (B)
93.223 Development and Coordination of Rural Health Services (B)	93.908	Nursing Education Loan Repayment Program (C)
93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)	93.912	Rural Health Care Services Outreach and Rural Health Network Development Program (B)
93.229 Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (B)	93.913	Grants to States for Operation of Offices of Rural Health (B)
93.230 Consolidated Knowledge Development and Application (KD&A) Program (B)	93.914	HIV Emergency Relief Project Grants (B)
93.234 Traumatic Brain Injury State Demonstration Grant Program (B)	93.917	HIV Care Formula Grants (A)
93.236 Grants for Dental Public Health Residency Training (B)	93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)
93.238 Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (B)	93.919	Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)
93.241 State Rural Hospital Flexibility Program (B)	93.924	Ryan White HIV/AIDS Dental Reimbursements/Community Based Dental Partnership (B)
93.243 Substance Abuse and Mental Health Services-Projects of Regional and National Significance (B)	93.925	Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)
93.244 Mental Health Clinical and AIDS Service-Related Training Grants (B)	93.926	Healthy Start Initiative (B)
93.247 Advanced Education Nursing Grant Program (B)	93.928	Special Projects of National Significance (B)
	93.932	Native Hawaiian Health Systems (B)
	93.938	Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)
	93.939	HIV Prevention Activities-Non-Governmental Organization Based (B)
	93.940	HIV Prevention Activities-Health Department Based (B)
	93.941	HIV Demonstration, Research, Public and Professional Education Projects (B)
	93.942	Research, Treatment and Education Programs on Lyme Disease in the United States (B)





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- 93.282 Mental Health National Research Service Awards for Research Training (B)
- 93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)
- 93.307 Minority Health and Health Disparities Research (B)
- 93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research (C)
- 93.310 Trans-NIH Research Support (B,M)
- 93.361 Nursing Research (B)
- 93.389 National Center for Research Resources (B)
- 93.837 Cardiovascular Diseases Research (B)
- 93.838 Lung Diseases Research (B)
- 93.839 Blood Diseases and Resources Research (B)
- 93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)
- 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)
- 93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)
- 93.855 Allergy, Immunology and Transplantation Research (B)
- 93.856 Microbiology and Infectious Diseases Research (B)
- 93.859 Biomedical Research and Research Training (B)
- 93.865 Child Health and Human Development Extramural Research (B)
- 93.866 Aging Research (B)
- 93.867 Vision Research (B)
- 93.879 Medical Library Assistance (B)
- 93.891 Alcohol Research Center Grants (B)
- 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (C)
- 93.989 International Research and Research Training (B,M)

## (554) Consumer and Occupational Health and Safety

This includes such programs as meat and poultry inspection, food and drug inspection, consumer product safety, and occupational safety.

- 10.029 Avian Influenza Indemnity Program (D)
- 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)
- 10.477 Meat, Poultry, and Egg Products Inspection (J)
- 10.479 Food Safety Cooperative Agreements (B)
- 17.502 Occupational Safety and Health-Susan Harwood Training Grants (B)
- 17.503 Occupational Safety and Health-State Program (B)
- 17.504 Consultation Agreements (B)
- 17.505 OSHA Data Initiative (B)
- 17.600 Mine Health and Safety Grants (B)
- 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)
- 17.602 Mine Health and Safety Education and Training (M)
- 17.603 Brookwood-Sago Grant (B)
- 17.604 Safety and Health Grants (B)
- 93.103 Food and Drug Administration-Research (B)
- 93.448 Food Safety and Security Monitoring Project (B)
- 93.449 Ruminant Feed Ban Support Project (B)

## (570) MEDICARE

### (571) Medicare

Medicare is composed of the Federal Hospital Insurance and Federal Supplementary Medical Insurance trust funds. This includes all off-setting collections to these two funds, except for employers share and employee retirement (subfunction\_951) and net interest (interest received by on\_budget trust funds\_902). Also includes trust funds and general funds payments to those funds.

- 93.770 Medicare-Prescription Drug Coverage (C)
- 93.773 Medicare-Hospital Insurance (C)
- 93.774 Medicare-Supplementary Medical Insurance (C)
- 93.783 Medicare Transitional Drug Assistance Program for States (C)
- 93.794 Reimbursement of State Costs for Provision of Part D Drugs (C)

## (600) INCOME SECURITY

This function includes payments for or to persons for which no current service is rendered. It includes military and civilian retirement, disability, unemployment, and welfare payments and the associated administrative costs. Also included in income security are the food stamp, special milk, and child nutrition programs (whether the benefits are in cash or kind); both Federal and trust fund unemployment compensation and workmen's compensation; public assistance cash payments; benefits to coal miners; and low and moderate-income housing aids. Excluded from this function are social security, financial assistance for educational purposes, provision or reimbursement for child care services and stipends, medical care (whether in cash or kind), and subsidies to businesses (such as farm price supports) even though they may end up as income to persons. Also excluded are income security programs restricted to veterans and their dependents.

## (601) General Retirement and Disability Insurance (excluding Social Security)

This includes non-needs-tested retirement and disability programs except for those specifically restricted to Federal employees and social security. Most programs in this subfunction are financed through trust fund mechanisms but it includes some Federal funds programs such as payments to coal miners. The subfunction is composed mainly of the railroad retirement fund and special benefits for coal miners.

- 17.150 Employee Benefits Security Administration (L)
- 17.302 Longshore and Harbor Workers' Compensation (D)
- 17.307 Coal Mine Workers' Compensation (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 86.001 Pension Plan Termination Insurance (G)
- 96.007 Social Security-Research and Demonstration (B)

## (603) Unemployment Compensation

Benefits for unemployed workers that are not conditioned by needs tests. This subfunction does not include other benefits (such as food stamps) that an unemployed person might be eligible for under any other program.

- 57.001 Social Insurance for Railroad Workers (D)

## (604) Housing Assistance

Federal income support and related expenses that are specifically for and limited to financing or providing housing for individuals and families.

- 10.405 Farm Labor Housing Loans and Grants (B,F)
- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
- 10.420 Rural Self-Help Housing Technical Assistance (B)
- 10.427 Rural Rental Assistance Payments (C)
- 10.427 Rural Rental Assistance Payments (C)
- 10.433 Rural Housing Preservation Grants (B)
- 10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)
- 10.441 Technical and Supervisory Assistance Grants (B)
- 10.442 Housing Application Packaging Grants (B)
- 14.103 Interest Reduction Payments-Rental and Cooperative Housing for Lower Income Families (C,F)
- 14.149 Rent Supplements-Rental Housing for Lower Income Families (C)
- 14.164 Operating Assistance for Troubled Multifamily Housing Projects (C)
- 14.169 Housing Counseling Assistance Program (B)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.195 Section 8 Housing Assistance Payments Program-Special Allocations (C)
- 14.195 Section 8 Housing Assistance Payments Program-Special Allocations (C)
- 14.195 Section 8 Housing Assistance Payments Program-Special Allocations (C)
- 14.195 Section 8 Housing Assistance Payments Program-Special Allocations (C)
- 14.195 Section 8 Housing Assistance Payments Program-Special Allocations (C)
- 14.231 Emergency Shelter Grants Program (A)
- 14.235 Supportive Housing Program (B,C)
- 14.238 Shelter Plus Care (B)
- 14.239 Home Investment Partnerships Program (A)
- 14.241 Housing Opportunities for Persons with AIDS (A,B)
- 14.247 Self-Help Homeownership Opportunity Program (B)
- 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)
- 14.250 Rural Housing and Economic Development (B)
- 14.252 Section 4 Capacity Building for Affordable Housing and Community Development Grants (B)
- 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)
- 14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)
- 14.316 Housing Counseling Training Program (B)
- 14.850 Public and Indian Housing (C)
- 14.856 Lower Income Housing Assistance Program-Section 8 Moderate Rehabilitation (C)
- 14.856 Lower Income Housing Assistance Program-Section 8 Moderate Rehabilitation (C)
- 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)
- 14.867 Indian Housing Block Grants (A)
- 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)
- 14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)
- 14.871 Section 8 Housing Choice Vouchers (C)
- 14.872 Public Housing Capital Fund (A)
- 14.873 Native Hawaiian Housing Block Grants (B)
- 14.874 Loan Guarantees for Native Hawaiian Housing (F)
- 14.875 Public Housing Neighborhood Networks Grants (B)
- 14.876 Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (B)

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- 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)
- 14.879 Mainstream Vouchers (C)
- 14.880 Family Unification Program (FUP) (C)
- 14.881 Moving to Work Demonstration Program (A)
- 14.881 Moving to Work Demonstration Program (A)
- 14.881 Moving to Work Demonstration Program (A)

## (605) Food and Nutrition Assistance

Federal income support and related expenses that are specifically for and limited to financing or providing food or nutritional assistance to individuals and families.

- 10.155 Marketing Agreements and Orders (J,K)
- 10.225 Community Food Projects (B)
- 10.551 Supplemental Nutrition Assistance Program (C)
- 10.553 School Breakfast Program (A)
- 10.555 National School Lunch Program (A)
- 10.556 Special Milk Program for Children (A)
- 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)
- 10.558 Child and Adult Care Food Program (A)
- 10.559 Summer Food Service Program for Children (A)
- 10.560 State Administrative Expenses for Child Nutrition (A)
- 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)
- 10.565 Commodity Supplemental Food Program (A,H)
- 10.566 Nutrition Assistance For Puerto Rico (C)
- 10.567 Food Distribution Program on Indian Reservations (B,H)
- 10.568 Emergency Food Assistance Program (Administrative Costs) (A)
- 10.569 Emergency Food Assistance Program (Food Commodities) (A)
- 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)
- 10.574 Team Nutrition Grants (B)
- 10.576 Senior Farmers Market Nutrition Program (B)
- 10.578 WIC Grants To States (WGS) (B)
- 10.579 Child Nutrition Discretionary Grants Limited Availability (B)
- 10.580 Special Nutrition Assistance Program Outreach/Participation Program (B)
- 10.582 Fresh Fruit and Vegetable Program (B)
- 97.024 Emergency Food and Shelter National Board Program (A)

## (609) Other income security

Income security programs that are not included in any other subfunction. This is composed primarily of either direct payments or grants-in-aid to finance direct payments that constitute cash income to low-income individuals and families, but it also includes refugee assistance and both administrative expenses and offsetting collections in the income security function that are not part of any other subfunction.

- 93.558 Temporary Assistance for Needy Families (A)
- 93.560 Family Support Payments to States-Assistance Payments (A)
- 93.563 Child Support Enforcement (A)
- 93.564 Child Support Enforcement Research (B)
- 93.566 Refugee and Entrant Assistance-State Administered Programs (A)
- 93.567 Refugee and Entrant Assistance-Voluntary Agency Programs (A)
- 93.568 Low-Income Home Energy Assistance (A)
- 93.575 Child Care and Development Block Grant (A)
- 93.576 Refugee and Entrant Assistance-Discretionary Grants (B)
- 93.579 U.S. Repatriation (B)
- 93.583 Refugee and Entrant Assistance-Wilson/Fish Program (B)
- 93.584 Refugee and Entrant Assistance-Targeted Assistance Grants (A)
- 93.594 Tribal Work Grants (A)
- 93.595 Welfare Reform Research, Evaluations and National Studies (B)
- 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)
- 93.597 Grants to States for Access and Visitation Programs (B)
- 93.598 Services to Victims of a Severe Form of Trafficking (B)
- 93.601 Child Support Enforcement Demonstrations and Special Projects (B)
- 93.604 Assistance for Torture Victims (B)
- 93.605 Family Connection Grants (B)
- 93.658 Foster Care-Title IV-E (A)
- 93.659 Adoption Assistance (A)
- 93.674 Chafee Foster Care Independence Program (A)
- 96.006 Supplemental Security Income (C,D)

## (650) SOCIAL SECURITY

Social Security is composed of the Federal Old Age and Survivors Insurance and Federal Disability Insurance trust funds and general funds payments to those funds, all offsetting receipts by those trust funds, except those classified in subfunction 903 - interest received by off-budget trust funds.

### (651) Social Security

This includes the Old Age and Survivors Insurance (OASI) and Disability Insurance (DI) trust funds and related intergovernmental payments and off\_setting collections.

- 96.001 Social Security-Disability Insurance (C,D)
- 96.002 Social Security-Retirement Insurance (D)
- 96.004 Social Security-Survivors Insurance (C,D)

## (700) VETERANS BENEFITS AND SERVICES

This function consists of programs providing benefits and services, the eligibility for which is related to prior military service but the financing of which is not an integral part of the costs of national defense. It includes veterans service-connected compensation; veterans non-service connected pensions; and veterans readjustment benefits, housing, and medical care programs. As a normal rule, the outlays in this function are similar to those in the broader general purpose functions (such as income security or health) but are restricted to veterans, their dependents, and their survivors. Earned rights of career military personnel that are a cost of the defense budget (such as military retired pay or medical care) are excluded from this function.

The subfunctions of this function are so structured that they are readily additive to analogous major functions for the general population.

### (701) Income Security for Veterans

Includes veterans compensation, pensions, burial benefits and life insurance.

- 64.101 Burial Expenses Allowance for Veterans (C)
- 64.103 Life Insurance for Veterans (E)
- 64.103 Life Insurance for Veterans (E)
- 64.103 Life Insurance for Veterans (E)
- 64.103 Life Insurance for Veterans (E)
- 64.103 Life Insurance for Veterans (E)
- 64.103 Life Insurance for Veterans (E)
- 64.104 Pension for Non-Service-Connected Disability for Veterans (D)
- 64.105 Pension to Veterans Surviving Spouses, and Children (D)
- 64.109 Veterans Compensation for Service-Connected Disability (D)
- 64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)
- 64.127 Monthly Allowance for Children of Vietnam Veterans Born with Spina Bifida (D)
- 64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (C)
- 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)
- 96.020 Special Benefits for Certain World War II Veterans (D)

### (702) Veterans Education, Training, and Rehabilitation

Composed primarily of the "GI bill" readjustment benefits.

- 17.801 Disabled Veterans' Outreach Program (DVOP) (A)
- 17.803 Uniformed Services Employment and Reemployment Rights (K,L,N)
- 17.804 Local Veterans' Employment Representative Program (A)
- 17.805 Homeless Veterans Reintegration Project (B)
- 17.806 Veteran's Preference in Federal Employment (O)
- 17.807 Transition Assistance Program (B)
- 64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)
- 64.106 Specially Adapted Housing for Disabled Veterans (C)
- 64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)
- 64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)
- 64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)
- 64.117 Survivors and Dependents Educational Assistance (C)
- 64.120 Post-Vietnam Era Veterans' Educational Assistance (C)
- 64.124 All-Volunteer Force Educational Assistance (D)
- 64.125 Vocational and Educational Counseling for Servicemembers and Veterans (K)

### (703) Hospital and Medical Care for Veterans

Composed of medical care and research financed by the Veterans Administration.

- 64.005 Grants to States for Construction of State Home Facilities (B)
- 64.007 Blind Rehabilitation Centers (J)
- 64.008 Veterans Domiciliary Care (J)
- 64.009 Veterans Medical Care Benefits (J)
- 64.010 Veterans Nursing Home Care (J)
- 64.011 Veterans Dental Care (J)
- 64.012 Veterans Prescription Service (H)
- 64.013 Veterans Prosthetic Appliances (J)
- 64.014 Veterans State Domiciliary Care (A)
- 64.015 Veterans State Nursing Home Care (A)
- 64.016 Veterans State Hospital Care (A)
- 64.018 Sharing Specialized Medical Resources (J)
- 64.019 Veterans Rehabilitation-Alcohol and Drug Dependence (J)
- 64.022 Veterans Home Based Primary Care (J)

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- 64.024 VA Homeless Providers Grant and Per Diem Program (B)
- 64.026 Veterans State Adult Day Health Care (B)

## (704) Veterans Housing

Composed of housing loan and guarantee programs for, and restricted to, veterans and dependents.

- 64.114 Veterans Housing-Guaranteed and Insured Loans (F)
- 64.118 Veterans Housing-Direct Loans for Certain Disabled Veterans (E)
- 64.119 Veterans Housing-Manufactured Home Loans (F)
- 64.126 Native American Veteran Direct Loan Program (E)

## (705) Other Veterans Benefits and Services

Mainly the administrative expenses of the Veterans Administration.

- 64.201 National Cemeteries (J)
- 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)
- 64.203 State Cemetery Grants (B)

## (750) ADMINISTRATION OF JUSTICE

This function includes those programs designed to provide judicial services, police protection, law enforcement (including civil rights), rehabilitation, and incarceration of criminals, and promotion of the general maintenance of domestic order. It includes the provision of court appointed counsel or other legal services to individuals. This function excludes the costs of the legislative branch, the narrow-purpose police or guard activities providing protection to Federal property, or activities which are an integral part of a broader function (such as postal inspectors, tax collection agents, and Park Service Rangers). The costs of National Guard personnel who are called upon occasionally to provide general public safety protection and military police costs are included under the national defense function rather than in this function.

### (751) Federal Law Enforcement Activities

Includes Customs, the Immigration and Naturalization Service, the Drug Enforcement Administration, and police and crime prevention activities in other programs. This subfunction also includes the readily identifiable enforcement costs of civil rights activities.

- 14.401 Fair Housing Assistance Program-State and Local (B)
- 14.408 Fair Housing Initiatives Program (B)
- 16.001 Law Enforcement Assistance-Narcotics and Dangerous Drugs-Laboratory Analysis (J)
- 16.003 Law Enforcement Assistance-Narcotics and Dangerous Drugs Technical Laboratory Publications (L)
- 16.004 Law Enforcement Assistance-Narcotics and Dangerous Drugs Training (M)
- 16.012 Alcohol, Tobacco, and Firearms-Training Assistance (M)
- 16.300 Law Enforcement Assistance-FBI Advanced Police Training (M)
- 16.301 Law Enforcement Assistance-FBI Crime Laboratory Support (J,M)
- 16.302 Law Enforcement Assistance-FBI Field Police Training (M)
- 16.303 Law Enforcement Assistance-FBI Fingerprint Identification (J)
- 16.304 Law Enforcement Assistance-National Crime Information Center (J)
- 16.305 Law Enforcement Assistance-Uniform Crime Reports (L)
- 16.307 Combined DNA Index System (B)
- 16.308 Indian Country Investigations (M)
- 16.309 Law Enforcement Assistance-National Instant Criminal Background Check System (J)
- 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints (L)
- 30.001 Employment Discrimination-Title VII of the Civil Rights Act of 1964 (K,N)
- 30.002 Employment Discrimination-State and Local Fair Employment Practices Agency Contracts (C)
- 30.005 Employment Discrimination-Private Bar Program (J)
- 30.008 Employment Discrimination-Age Discrimination in Employment (K,N)
- 30.009 Employment Discrimination Project Contracts-Indian Tribes (C)
- 30.010 Employment Discrimination Equal Pay Act (K,N)
- 30.011 Employment Discrimination-Title I of The Americans with Disabilities Act (K,N)
- 88.001 Architectural and Transportation Barriers Compliance Board (L)
- 93.001 Civil Rights and Privacy Rule Compliance Activities (N)
- 97.010 Citizenship Education and Training (L)
- 97.015 Secret Service-Training Activities (M)
- 97.076 National Center for Missing and Exploited Children (NCMEC) (B)
- 97.081 Law Enforcement Training and Technical Assistance (J,M)
- 97.112 Border Infrastructure Improvement Projects (B)

### (752) Federal Litigative and Judicial Activities

Includes the cost of the judiciary, the cost of prosecution and Federal expenses connected with financing legal defense activities.

- 16.100 Desegregation of Public Education (J)
- 16.101 Equal Employment Opportunity (J)

- 16.103 Fair Housing and Equal Credit Opportunity (J)
- 16.104 Protection of Voting Rights (J)
- 16.105 Civil Rights of Institutionalized Persons (J)
- 16.108 Americans With Disabilities Act Technical Assistance Program (B,L,M,N)
- 16.109 Civil Rights Prosecution (B)
- 16.110 Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (B,J,N)
- 16.200 Community Relations Service (J)

## (754) Criminal Justice Assistance

Includes the cost of grants to State and local governments to assist them in operating and improving their law enforcement and justice system.

- 16.013 Violence Against Women Act Court Training and Improvement Grants (B)
- 16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)
- 16.016 Culturally and Linguistically Specific Services Program (B)
- 16.017 Sexual Assault Services Program (A,B)
- 16.019 Tribal Registry (B)
- 16.202 Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)
- 16.203 Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)
- 16.320 Services for Trafficking Victims (B,C)
- 16.321 Antiterrorism Emergency Reserve (B,C)
- 16.523 Juvenile Accountability Block Grants (A,B)
- 16.523 Juvenile Accountability Block Grants (A,B)
- 16.524 Legal Assistance for Victims (B)
- 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)
- 16.526 OVW Technical Assistance Initiative (B)
- 16.527 Supervised Visitation, Safe Havens for Children (B)
- 16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)
- 16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)
- 16.540 Juvenile Justice and Delinquency Prevention-Allocation to States (A,B)
- 16.541 Part E - Developing, Testing and Demonstrating Promising New Programs (B,J)
- 16.543 Missing Children's Assistance (B)
- 16.547 Victims of Child Abuse (B)
- 16.547 Victims of Child Abuse (B)
- 16.548 Title V-Delinquency Prevention Program (A)
- 16.550 State Justice Statistics Program for Statistical Analysis Centers (B)
- 16.554 National Criminal History Improvement Program (NCHIP) (B)
- 16.554 National Criminal History Improvement Program (NCHIP) (B)
- 16.556 Grants to State Sexual Assault and Domestic Violence Coalitions (A)
- 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Program (B)
- 16.560 National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)
- 16.562 Criminal Justice Research and Development-Graduate Research Fellowships (B)
- 16.566 National Institute of Justice W.E.B. DuBois Fellowship Program (B)
- 16.571 Public Safety Officers' Benefits Program (D)
- 16.575 Crime Victim Assistance (A)
- 16.576 Crime Victim Compensation (A)
- 16.578 Federal Surplus Property Transfer Program (H)
- 16.579 Edward Byrne Memorial Formula Grant Program (A)
- 16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)
- 16.582 Crime Victim Assistance/Discretionary Grants (B,C)
- 16.583 Children's Justice Act Partnerships for Indian Communities (B,C)
- 16.585 Drug Court Discretionary Grant Program (B)
- 16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)
- 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)
- 16.588 Violence Against Women Formula Grants (A)
- 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)
- 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)
- 16.593 Residential Substance Abuse Treatment for State Prisoners (A)
- 16.596 Correctional Grant Program for Indian Tribes (B)
- 16.597 Motor Vehicle Theft Protection Act Program (B)
- 16.601 Corrections-Training and Staff Development (B,J,L,M)
- 16.602 Corrections-Research and Evaluation and Policy Formulation (B,J,L)
- 16.603 Corrections-Technical Assistance/Clearinghouse (B,J,L)
- 16.606 State Criminal Alien Assistance Program (D)
- 16.607 Bulletproof Vest Partnership Program (C)
- 16.608 Tribal Court Assistance Program (B)



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16.609	Community Prosecution and Project Safe Neighborhoods (B)
16.610	Regional Information Sharing Systems (B)
16.611	Closed-Circuit Televising of Child Victims of Abuse (B)
16.612	National White Collar Crime Center (B)
16.614	State and Local Anti-Terrorism Training (K,L,M)
16.615	Public Safety Officers' Educational Assistance (D)
16.616	Indian Country Alcohol and Drug Prevention (B)
16.710	Public Safety Partnership and Community Policing Grants (B)
16.726	Juvenile Mentoring Program (B)
16.727	Enforcing Underage Drinking Laws Program (B)
16.730	Reduction and Prevention of Children's Exposure to Violence (B)
16.730	Reduction and Prevention of Children's Exposure to Violence (B)
16.731	Tribal Youth Program (B)
16.734	Special Data Collections and Statistical Studies (B)
16.735	Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)
16.736	Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)
16.737	Gang Resistance Education and Training (B)
16.738	Edward Byrne Memorial Justice Assistance Grant Program (A,B)
16.739	National Prison Rape Statistics Program (B)
16.740	Statewide Automated Victim Information Notification (SAVIN) Program (B)
16.741	Forensic DNA Backlog Reduction Program (A)
16.742	Paul Coverdell Forensic Sciences Improvement Grant Program (A)
16.744	Anti-Gang Initiative (B)
16.745	Criminal and Juvenile Justice and Mental Health Collaboration Program (B)
16.746	Capital Case Litigation (B)
16.747	Crime Victims' Rights Act (B)
16.748	Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (A)
16.750	Support for Adam Walsh Act Implementation Grant Program (B)
16.751	Edward Byrne Memorial Competitive Grant Program (B)
16.752	Economic High-Tech and Cyber Crime Prevention (B)
16.753	Congressionally Recommended Awards (B)
16.754	Harold Rogers Prescription Drug Monitoring Program (B)
93.276	Drug-Free Communities Support Program Grants (B)
93.643	Children's Justice Grants to States (A)
97.008	Urban Areas Security Initiative (A)
97.096	Commercial Equipment Direct Assistance Program (CEDAP) (H)

## (800) GENERAL GOVERNMENT

This function includes the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other major function. As a normal rule, all activities reasonably or closely associated with other functions shall be included in those functions rather than listed as a part of general government.

97.018	National Fire Academy Training Assistance (C)
97.019	National Fire Academy Educational Program (M)
97.043	State Fire Training Systems Grants (B)
97.093	Fire Service Hazardous Materials Preparedness and Response (B)
97.094	Prevention Advocacy Resources and Data Exchange Program (B)
97.095	Safe Kids Worldwide (B)
97.097	Training Resource and Data Exchange (TRADE) (B)
97.099	Residential Fire Safety & Fire Sprinkler Initiatives (B)
97.103	Degrees at a Distance Program (B)
97.105	Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B)

## (803) Central Fiscal Operations

Includes the general tax collection and fiscal operations of the Treasury Department.

21.003	Taxpayer Service (K)
21.004	Exchange of Federal Tax Information With State Tax Agencies (J)
21.006	Tax Counseling for the Elderly (B)
21.008	Low-Income Taxpayer Clinics (B)

## (804) General Property and Records Management

Includes most of the operations of the General Services Administration (net of reimbursements from other agencies for services rendered).

39.002	Disposal of Federal Surplus Real Property (H)
39.003	Donation of Federal Surplus Personal Property (B)
39.007	Sale of Federal Surplus Personal Property (I)
39.012	Public Buildings Service (J)
89.001	National Archives Reference Services-Historical Research (I,K,L)
89.003	National Historical Publications and Records Grants (B)
89.005	Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)

## (805) Central Personnel Management

Includes most of the operating costs of the Office of Personnel Management (formerly the Civil Service Commission) and related agencies (net of reimbursements from other agencies for services rendered).

27.001	Federal Civil Service Employment (O)
27.002	Federal Employment Assistance for Veterans (O)
27.005	Federal Employment for Individuals With Disabilities (O)
27.011	Intergovernmental Personnel Act (IPA) Mobility Program (J,K)
27.013	Presidential Management Intern Program (J,M,O)

## (806) General Purpose Fiscal Assistance

Includes Federal aid to State, local, and territorial governments that is available for general fiscal support. It includes payments in lieu of taxes, grants from Forest Service and Interior Department rents, payments to territories and Puerto Rico, and the Federal payment to the District of Columbia.

10.665	Schools and Roads-Grants to States (A)
10.666	Schools and Roads-Grants to Counties (A)
15.226	Payments in Lieu of Taxes (C,D)
15.227	Distribution of Receipts to State and Local Governments (C,D)
15.875	Economic, Social, and Political Development of the Territories (B)
15.875	Economic, Social, and Political Development of the Territories (B)

## (808) Other General Government

Includes miscellaneous other costs such as Federal costs of territorial governments.

40.001	Depository Libraries for Government Publications (L)
40.002	Government Publications Sales and Distribution (H,L)
90.400	Help America Vote College Program (B)
90.401	Help America Vote Act Requirements Payments (A)
90.402	Help America Vote Mock Election Program (B)

## (999) Multiple Functions

This function code is used where two or more accounts with different Treasury basic account symbols are included in a consolidated program.

10.224	Fund for Rural America-Research, Education, and Extension Activities (B)
10.444	Direct Housing-Natural Disaster Loans and Grants (B,E)
10.600	Foreign Market Development Cooperator Program (C)
10.601	Market Access Program (C)
10.603	Emerging Markets Program (C)
10.604	Technical Assistance for Specialty Crops Program (C)
10.605	Quality Samples Program (C)
10.606	Food for Progress (H)
10.607	Section 416(b) (H)
10.608	Food for Education (H)
10.999	Long Term Standing Agreements For Storage, Transportation And Lease (C)
12.112	Payments to States in Lieu of Real Estate Taxes (A)
12.114	Collaborative Research and Development (B)
12.116	Department of Defense Appropriation Act of 2003 (J)
14.400	Equal Opportunity in Housing (N)
14.402	Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (N)
14.404	Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (N)
14.405	Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color, or National Origin) (N)
14.406	Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (N)
14.407	Architectural Barriers Act Enforcement (N)
14.412	Employment Opportunities for Lower Income Persons and Businesses (N)
14.414	Non-Discrimination on the Basis of Disability by Public Entities (N)
14.415	Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (N)
15.031	Indian Community Fire Protection (C)
15.424	Marine Minerals Activities (B)
15.850	Indian Arts and Crafts Development (I,K,N)
17.207	Employment Service/Wagner-Peyser Funded Activities (A,B)
17.225	Unemployment Insurance (A,D)
17.225	Unemployment Insurance (A,D)
17.225	Unemployment Insurance (A,D)
17.245	Trade Adjustment Assistance (B)
17.266	Work Incentive Grants (B)
17.271	Work Opportunity Tax Credit Program (WOTC) (A)
17.273	Temporary Labor Certification for Foreign Workers (A,J)
43.001	Aerospace Education Services Program (L)
43.002	Technology Transfer (L)
66.808	Solid Waste Management Assistance Grants (B)
81.042	Weatherization Assistance for Low-Income Persons (A)
81.086	Conservation Research and Development (B)

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81.122	Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)
96.008	Social Security - Work Incentives Planning and Assistance Program (B)
96.009	Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (B)
97.004	State Domestic Preparedness Equipment Support Program (B)
97.005	State and Local Homeland Security Training Program (B)
97.006	State and Local Homeland Security Exercise Support (B)
97.007	Homeland Security Preparedness Technical Assistance Program (B)
97.009	Cuban/Haitian Entrant Program (B)
97.016	Reimbursement for Firefighting on Federal Property (C)
97.020	Hazardous Materials Training Program (B)
97.021	Hazardous Materials Assistance Program (B)
97.025	National Urban Search and Rescue (US&R) Response System (B)
97.026	Emergency Management Institute-Training Assistance (C)
97.027	Emergency Management Institute (EMI)-Independent Study Program (M)
97.028	Emergency Management Institute (EMI)-Resident Educational Program (M)
97.039	Hazard Mitigation Grant (B)
97.040	Chemical Stockpile Emergency Preparedness Program (B)
97.042	Emergency Management Performance Grants (A)
97.044	Assistance to Firefighters Grant (B)
97.052	Emergency Operations Centers (B)
97.053	Citizen Corps (B)
97.055	Interoperable Communications Equipment (B)
97.059	Truck Security Program (B)
97.061	Centers for Homeland Security (B)
97.062	Scholars and Fellows, and Educational Programs (C)
97.065	Homeland Security Advanced Research Projects Agency (B)
97.066	Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)
97.067	Homeland Security Grant Program (A)
97.068	Competitive Training Grants (B)
97.069	Aviation Research Grants (B,I)
97.071	Metropolitan Medical Response System (B)
97.073	State Homeland Security Program (SHSP) (A)
97.074	Law Enforcement Terrorism Prevention Program (LETPP) (A)
97.075	Rail and Transit Security Grant Program (B)
97.077	Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)
97.078	Buffer Zone Protection Program (BZPP) (B)
97.083	Staffing for Adequate Fire and Emergency Response (SAFER) (B)
97.086	Homeland Security Outreach, Education, and Technical Assistance (B,L)
97.089	Real ID Program (B)
97.091	Homeland Security Biowatch Program (B,H,I,L)
97.104	Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)
97.106	Securing the Cities (B,H,I,L)
97.107	National Incident Management System (NIMS) (B)
97.108	Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)
97.111	Regional Catastrophic Preparedness Grant Program (RCPGP) (B)





## DEPARTMENT OF AGRICULTURE

### AGRICULTURAL MARKETING SERVICE

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5 Radnor Corporate Center, Suite 200  
P.O. Box 6775  
Radnor, PA 19087-4555  
(610) 975-4103

To locate Forest Supervisor and Ranger District Offices, consult your local telephone directory under U.S. Department of Agriculture, or the regional offices listed above.

## DIVISION OF FEDERAL EMPLOYEES COMPENSATION

**Pennsylvania**  
Northeastern Area: Covers same States as listed under Region 9 above)  
Michael T. Rains  
5 Radnor Corporate Center  
P.O. Box 6775  
Radnor, PA 19087-8775  
(610) 975-4103

## NATIONAL AGRICULTURAL STATISTICS SERVICE

### SERVICE CENTERS

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Sterling Center, Suite 601  
4121 Carmichael Road  
Montgomery, AL 36106-3683  
(334) 279-3400

**Alaska**  
800 West Evergreen, Suite 201  
Palmer, AK 99645-6539  
(907) 745-2176

**Arizona**  
3003 North Central Avenue, Suite 900  
Phoenix, AZ 85012-2906  
(602) 280-8700

**Arkansas**  
700 W. Capitol Avenue, Room 3416  
For letter mail: P.O. Box 2778  
Little Rock, AR 72201-3225  
(501) 301-3200

**California**  
430 G Street, Agency 4169  
Davis, CA 95616-4169  
(530) 792-5800

**Colorado**  
655 Parfet Street, Room E-100  
Lakewood, CO 80215  
(303) 236-2801

**Delaware**  
(Delaware, Maryland)  
5201 South Dupont Highway

P.O. Box 400  
Camden, DE 19934-9998  
(302) 697-4300

**Florida**  
(Florida, Virgin Islands)  
Federal Building  
4440 N.W. 25th Place  
P.O. Box 147010  
Gainesville, FL 32614-7010  
(352) 338-3400

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355 East Hancock Avenue  
Stephens Federal Building  
Athens, GA 30601-2768  
(706) 546-2162

**Hawaii**  
Federal Building, Room 311  
154 Waiuanue Avenue  
Hilo, HI 96720  
(808) 933-3000

**Idaho**  
9173 West Barnes Drive, Suite A1  
Boise, ID 83709  
(208) 378-5600

**Illinois**  
Illini Plaza, Suite 103  
1817 South Neil Street  
Champaign, IL 61820  
(217) 398-5235

**Indiana**  
5975 Lakeside Boulevard  
Indianapolis, IN 46278  
(317) 290-3100

**Iowa**  
Room 873, Federal Building  
210 Walnut Street  
Des Moines, IA 50309  
(515) 284-4663

**Kansas**  
1200 SW Executive Drive  
P.O. Box 4653  
Topeka, KS 66605  
(785) 271-2700

**Kentucky**  
771 Corporate Drive, Suite 200  
Lexington, KY 40503  
(606) 224-7300

**Louisiana**  
3727 Government Street  
Alexandria, LA 71302  
(318) 473-7920

**Maine**  
444 Stillwater Avenue, Suite 2  
P.O. Box 405  
Bangor, ME 04402-0405  
(207) 990-9106

**Massachusetts**  
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451 West Street  
Amherst, MA 01002  
(413) 253-4300

**Michigan**  
3001 Coolidge Road, Suite 200  
East Lansing, MI 48823  
(517) 337-6635

**Minnesota**  
410 Agribank Building  
375 Jackson Street  
St. Paul, MN 55101-1853  
(651) 602-7800

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Suite 831, Federal Building  
100 West Capitol Street  
Jackson, MS 39269  
(601) 965-4316

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601 Business Loop, 70 West  
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Columbia, MO 65203  
(573) 876-0976

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Federal Building, Room 152  
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790 Woodland Road  
Mt. Holly, NJ 08060  
(609) 265-3600

**New Mexico**  
6200 Jefferson Street, N.E., Room 255  
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(505) 761-4950

**New York**  
The Galleries of Syracuse  
441 South Salina Street, Suite 357  
Syracuse, NY 13202-2541  
(315) 477-6400

**North Carolina**  
4405 Bland Road, Suite 260  
Raleigh, NC 27609  
(919) 873-2000

**North Dakota**  
Federal Building, Room 208  
220 E. Rosser  
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Bismarck, ND 58502-1737  
(701) 250-4781

**Ohio**  
Federal Building, Room 507  
200 North High Street

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Stillwater, OK 74074-2654  
(405) 742-1000

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Portland, OR 97204-3222  
(503) 414-3300

**Pennsylvania**  
One Credit Union Place, Suite 330  
Harrisburg, PA 17110-2996  
(717) 237-2299

**Puerto Rico**  
New San Juan Office Building, Room 501  
159 Carlos E. Chardon Street  
Hato Rey, PR 00918-5481  
(787) 766-5095

**South Carolina**  
Strom Thurmond Federal Building  
1835 Assembly Street  
Room 1007  
Columbia, SC 29201  
(803) 765-5163

**South Dakota**  
Federal Building, Room 210  
200 Fourth Street, S.W.  
Huron, SD 57350  
(605) 352-1100

**Tennessee**  
3322 West End Avenue, Suite 300  
Nashville, TN 37203-1084  
(615) 783-1300

**Texas**  
Federal Building, Suite 102  
101 S. Main  
Temple, TX 76501  
(254) 742-9700

**Utah**  
Wallace F. Bennett  
Federal Building, Room 4311  
125 South State Street  
P.O. Box 11350  
Salt Lake City, UT 84147-0350  
(801) 524-4063

**Vermont**  
(New Hampshire, Vermont)  
City Center, 3rd Floor  
89 Main Street  
Montpelier, VT 05602  
(802) 828-6010

**Virginia**  
Culpeper Building, Suite 238  
1606 Santa Rosa Road  
Richmond, VA 23229  
(804) 287-1550

**Washington**  
1835 Black Lake Boulevard, S.W., Suite B  
Olympia, WA 98512-5715  
(360) 704-7740

**West Virginia**

Federal Building  
75 High Street, Room 320  
Morgantown, WV 26505-7500  
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**Wisconsin**

4949 Kirschling Court  
Stevens Point, WI 54481  
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**Wyoming**

Federal Building, Room 1005  
100 East B Street  
For letter mail: P.O. Box 820  
Casper, WY 82602  
(307) 261-6300

To locate County Rural Development Officers,  
consult your telephone directory under U.S.  
Department of Agriculture, or the State Office of  
the Rural Development listed above.

**STATE EMPLOYMENT SECURITY  
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State Statistician  
Sterling Center, Suite 200  
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Montgomery, AL 36124-0578  
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**Alaska**

State Statistician  
809 South Chugach Street, Suite 4  
Palmer, AK 99645

For letter mail: P.O. Box 799  
Palmer, AK 99645  
(907) 745-4272  
(800) 478-6079 TOLL FREE

**Arizona**

State Statistician  
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Little Rock, AR 72204  
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(800) 327-2970 TOLL FREE

**California**

State Statistician  
1220 "N" Street, Room 243  
For letter mail: P.O. Box 1258  
Sacramento, CA 95812  
(916) 498-5161  
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645 Parfet Street, Suite W-201  
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**Delaware**

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Delaware Department of Agriculture Building  
2320 South DuPont Highway  
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(302) 739-4811  
(800) 282-8685 TOLL FREE (Within State Only)

**Florida**

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State Statistician  
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(407) 648-6013  
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(800) 344-6277 TOLL FREE

**Georgia**

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Stephens Federal Building, Suite 320  
Athens, GA 30613  
(706) 546-2236  
Use the same number for FTS  
(800) 253-4419 TOLL FREE

**Hawaii**

State Statistician  
State Department of Agriculture Building  
1428 South King Street  
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Honolulu, HI 96823-2159  
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Use the same number for FTS  
(800) 804-9514 TOLL FREE

**Idaho**

State Statistician  
2224 Old Penitentiary Road  
For letter mail: P.O. Box 1699  
Boise, ID 83701-1699  
(208) 334-1507  
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(800) 691-9987 TOLL FREE

**Illinois**

State Statistician  
Illinois Department of Agriculture Building  
801 Sangamon Avenue, Room 54  
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Springfield, IL 62794-9283  
(217) 492-4295  
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1148 AGAD Building, Room 223  
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West Lafayette, IN 47907-1148  
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State Statistician  
Gene Snyder and Courthouse Building  
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(225) 922-1362  
(800) 256-4485 TOLL FREE

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50 Harry S Truman Parkway, Suite 202  
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201 Federal Building  
For letter mail: P.O. Box 20008  
Lansing, MI 48901-0008  
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8 East 4th Street, Suite 500  
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(800) 453-7502 TOLL FREE

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State Statistician  
121 North Jefferson Street, Suite 230  
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Jackson, MS 39205-0980  
(601) 965-4575  
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(800) 535-9609 TOLL FREE

**Missouri**

State Statistician  
601 Business Loop West, Suite 240



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(573) 876-0950  
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(800) 551-1014 TOLL FREE

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State Statistician  
301 South Park, Federal Building, Room 398  
For Letter Mail: Drawer 10033  
Helena, MT 59626  
(406) 441-1240  
Use the same number for FTS  
(800) 835-2612 TOLL FREE

**Nebraska**

State Statistician  
100 Centennial Mall North, Room 273, Federal  
Building  
For letter mail: P.O. Box 81069  
Lincoln, NE 68501-1069  
(402) 437-5541  
Use the same number for FTS  
(800) 582-6443 TOLL FREE (Within State Only)

**Nevada**

State Statistician  
Max C. Fleischmann Agriculture Building, Room  
232  
University of Nevada  
For letter mail: P.O. Box 8880  
Reno, NV 89507-8880  
(702) 784-5584  
(888) 456-7211 TOLL FREE

**New England**

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
State Statistician  
22 Bridge Street, 3rd Floor  
For letter mail: P. O. Box 1444  
Concord, NH 03302-1444  
(603) 224-9639  
Use the same number for FTS  
(800) 642-9571 TOLL FREE

**New Jersey**

Vacant  
State Statistician  
Health and Agriculture Building, Room 205  
CN-330, New Warren Street  
Trenton, NJ 08625  
(609) 292-6385  
(800) 328-0179 TOLL FREE

**New Mexico**

State Statistician  
2507 North Telshor Boulevard, Suite 4  
For letter mail: P.O. Box 1809  
Las Cruces, NM 88004-1809  
(505) 522-6023  
(800) 530-8810 TOLL FREE

**New York**

State Statistician  
Department of Agriculture and Markets  
1 Winner's Circle  
Albany, NY 12235  
(518) 457-5570  
(800) 821-1276 TOLL FREE

**North Carolina**

State Statistician

2 W. Edenton Street  
P.O. Box 27767  
Raleigh, NC 27611-7767  
(919) 856-4394  
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(800) 437-8451 TOLL FREE

**North Dakota**

State Statistician In Charge  
NDSU, Room 448  
1250 Albrecht Boulevard  
For letter mail: P.O. Box 3166  
Fargo, ND 58108-3166  
(701) 239-5306  
Use the same number for FTS  
(800) 626-3134 TOLL FREE

**Ohio**

State Statistician  
Bromfield Administration Building, Room 103  
8995 East Main Street  
For Letter Mail: P.O. Box 686  
Reynoldsburg, OH 43068-0686  
(614) 728-2100  
Use the same number for FTS  
(800) 858-8144 TOLL FREE

**Oklahoma**

State Statistician  
2800 North Lincoln Boulevard  
Oklahoma City, OK 73105  
(405) 525-9226  
(888) 525-9226 TOLL FREE

**Oregon**

State Statistician  
1220 S.W. 3rd Avenue  
Room 1735, Federal Building  
Portland, OR 97204  
(503) 326-2131  
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(800) 338-2157 TOLL FREE

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2301 North Cameron Street, Room G-19  
Harrisburg, PA 17110  
(717) 787-3904  
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(800) 498-1518 TOLL FREE

**South Carolina**

State Statistician  
1835 Assembly Street, Room 1008  
For letter mail: P.O. Box 1911  
Columbia, SC 29202-1911  
(803) 765-5333  
Use the same number for FTS  
(800) 424-9406 TOLL FREE

**South Dakota**

William G. Hamlin  
State Statistician  
3528 South Western Avenue  
For letter mail: P.O. Box 5068  
Sioux Falls, SD 57117-5068  
(605) 330-4235  
Use the same number for FTS  
(800) 338-2557 TOLL FREE

**Tennessee**

State Statistician  
440 Hogan Road

Holeman Office Building  
Ellington Agricultural Center  
For letter mail: P.O. Box 41505  
Nashville, TN 37204-1505  
(615) 781-5300  
Use the same number for FTS  
(800) 626-0987 TOLL FREE

**Texas**

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300 East 8th Street  
Room 500, Federal Building  
For letter mail: P.O. Box 70  
Austin, TX 78767-0700  
(512) 916-5581  
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(800) 626-3142 TOLL FREE

**Utah**

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176 N. 2200 West, Suite 260  
For letter mail:  
P.O. Box 25007  
Salt Lake City, UT 84125-5007  
(801) 524-5003  
(800) 747-8522

**Virginia**

State Statistician  
1100 Bank Street, Room 706  
For letter mail: P.O. Box 1659  
Richmond, VA 23218-1659  
(804) 771-2493  
Use the same number for FTS  
(800) 772-0670 TOLL FREE

**Washington**

State Statistician  
1111 Washington Street, SE  
For letter mail: P.O. Box 609  
Olympia, WA 98507-0609  
(360) 902-1940  
(800) 435-5883 TOLL FREE

**West Virginia**

State Statistician  
1900 Kanawha Boulevard E  
For FEDEX/UPS 4720 Brenda Lane, Building 2,  
Room 203  
Charleston, WV 25312  
(304) 345-5958  
Use the same number for FTS  
(800) 535-7088 TOLL FREE

**Wisconsin**

Vacant  
State Statistician  
2811 Agriculture Drive  
For letter mail: P.O. Box 8934  
Madison, WI 53708-8934  
(608) 224-4848  
Use the same number for FTS  
(800) 789-9277 TOLL FREE

**Wyoming**

State Statistician  
504 West 17th Street, Suite 250  
For letter mail: P.O. Box 1148  
Cheyenne, WY 82003-1148  
(307) 772-2181  
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(800) 892-1660 TOLL FREE

**NATURAL RESOURCES  
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**Arkansas**

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Box 141510  
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**Georgia**

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Athens, GA 30601-2769  
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**Hawaii**

Kenneth M. Kaneshiro  
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Honolulu, HI 96850-0002  
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**Idaho**

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600 Farm Credit Building  
375 Jackson Street  
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100 West Capital Street  
Jackson, MS 39269-1399  
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**Montana**

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**New Hampshire**

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**New Jersey**

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**New Mexico**

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**North Carolina**

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**North Dakota**

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**Ohio**  
Patricia K. Wolf  
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Columbus, OH 43215-2478  
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**Oklahoma**  
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(405)742-1204

**Oregon**  
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Suite 100  
2135 Fresno Street  
Fresno, CA 93721-1718  
(559) 487-5033, FAX (559) 487-5191

### Los Angeles Field Office

Suite 800  
AT&T Center  
611 West 6th Street  
Los Angeles, CA 90017-3127  
(213) 894-8000, FAX (213) 894-8110

### Sacramento Field Office

John E. Moss Federal Building  
Room 4-200  
650 Capitol Mall  
Sacramento, CA 95814-2601  
(916) 498-5220, (916) 498-5262

### San Diego Field Office

Symphony Towers  
750 B Street, Suite 1600  
San Diego, CA 92101-8131  
(619) 557-5310, FAX (619) 557-5312

Santa Ana Field Office  
Santa Ana Federal Building  
Room 7015

34 Civic Center Plaza  
Santa Ana, CA 92701-4003  
(714) 796-5577, FAX (714) 796-1285

### Colorado

Denver Regional Office  
1670 Broadway  
25th Floor  
Denver, CO 80202  
(303) 672-5440, FAX (303) 672-5004

### Connecticut

Hartford Field Office  
One Corporate Center  
20 Church Street 19th Floor  
Hartford, CT 06103-3220  
(860) 240-9700, FAX (860) 240-4850

### Delaware

Wilmington Field Office  
One Rodney Square  
920 King Street, Suite 404  
Wilmington, DE 19801-3016  
(302) 573-6300, FAX (302) 573-6259

### District of Columbia

Washington, D.C. Field Office  
820 First Street, N.E., Suite 300  
Washington, DC 20002-4205  
(202) 275-9200, FAX (202) 275-9212

### Eastern/Woodlands

77 W. Jackson Boulevard  
Room 2404  
Chicago, IL 60604-3507  
(312) 886-4532 or (800) 735-3239, FAX (312) 353-8936

### Florida

Miami Field Office  
Brickell Plaza Building  
909 Southeast First Avenue  
Miami, FL 33131-3028  
(305) 536-4456, FAX (305) 536-5765

### Jacksonville Field Office

Charles E. Bennett Federal Building  
400 W. Bay Street, Suite 1015  
Jacksonville, FL 32202  
(904) 232-2627, FAX (904) 232-3759

### Orlando Field Office

Langley Building  
3751 Maguire Boulevard, Room 270  
Orlando, FL 32803-3032  
(407) 648-6441, FAX (407) 648-6310

### Tampa Field Office

Timberlake Federal Building Annex  
500 Zack Street, Suite 402  
Tampa, FL 33602-3945  
(813) 228-2026, (813) 228-2431

### Georgia

Atlanta Regional Office  
Five Points Plaza  
40 Marietta Street

Atlanta, GA 30303-2806  
(404) 331-4111, FAX (404) 730-2392

### Hawaii

Honolulu Field Office  
Three Waterfront Plaza  
500 Ala Moana Boulevard, Suite 3A  
Honolulu, HI 96813-4918  
(808) 522-8175, FAX (808) 522-8194

### Idaho

Boise Field Office  
Plaza IV, Suite 220  
800 Park Boulevard  
Boise, ID 83712-7743  
(208) 334-1990, FAX (208) 334-9648

### Illinois

Chicago Regional Office  
Ralph H. Metcalfe Federal Building  
77 West Jackson Boulevard  
Chicago, IL 60604-3507  
(312) 353-5680, FAX (312) 886-2729

### Springfield Field Office

500 West Monroe St.  
Suite 1 SW  
Springfield, IL 62704  
(217) 492-4120, FAX (217) 492-4154

### Indiana

Indianapolis Field Office  
151 North Delaware Street, Suite 1200  
Indianapolis, IN 46204-2526  
(317) 226-6303, FAX (317) 226-6317

### Iowa

Des Moines Field Office  
Federal Building  
210 Walnut Street, Room 239  
Des Moines, IA 50309-2155  
(515) 284-4512, FAX (515) 284-4743

### Kansas

Kansas City Regional Office  
400 State Avenue, Room 507  
Kansas City, KS 66101-2406  
(913) 551-5462, FAX (913) 551-5469

### Kentucky

Louisville Field Office  
601 West Broadway  
Louisville, KY 40202  
(502) 582-5251, FAX (502) 582-6074

### Louisiana

New Orleans Field Office  
Hale Boggs Federal Building  
500 Poydras Street, 9th Floor  
New Orleans, LA 70130  
(504) 589-7201, FAX (504) 589-7266

### Shreveport Field Office

401 Edwards Street, Suite 1510  
Shreveport, LA 71101-5513  
(318) 676-3440, FAX (318) 676-3407

### Maine

Bangor Field Office  
Margaret Chase Smith Federal Building

Room 101  
202 Harlow Street  
Bangor, ME 04401-4919  
(207) 945-0467, FAX (207) 945-0533

#### **Maryland**

Baltimore Field Office  
City Crescent Building  
10 South Howard Street, Fifth Floor  
Baltimore, MD 21201-2505  
(410) 962-2520, FAX (410) 209-6670

#### **Massachusetts**

Boston Regional Office  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 301  
Boston, MA 02222-1092  
(617) 994-8223, FAX (617) 565-5257

#### **Michigan**

Detroit Field Office  
Patrick V. McNamara Federal Building  
477 Michigan Avenue  
Detroit, MI 48226-2592  
(313) 226-7900, FAX (313) 226-5611

Flint Field Office Office  
Phoenix Building  
801 S. Saginaw Street, 4th Floor  
Flint, MI 48502  
(810) 766-5112, FAX (810) 766-5122 FAX

Grand Rapids Field Office  
Trade Center Building  
50 Louis Street, N.W.  
Grand Rapids, MI 49503-2633  
(616) 456-2100, FAX (616) 456-2114

#### **Minnesota**

Minneapolis Field Office  
Kinnard Financial Center  
920 Second Avenue South  
Minneapolis, MN 55402  
(612) 370-3000, FAX (612) 370-3220

#### **Mississippi**

Jackson Field Office  
Doctor A. H. McCoy Federal Building  
100 West Capitol Street, Room 910  
Jackson, MS 39269-1096  
(601) 965-4757, FAX (601) 965-4773

#### **Missouri**

St. Louis Field Office  
Robert A. Young Federal Building  
1222 Spruce Street, Suite 3207  
St. Louis, MO 63103-2836  
(314) 539-6583, FAX (314) 539-6384

#### **Montana**

Helena Field Office  
Power Block Building  
7 West Sixth Avenue  
Helena, MT 59601  
(406) 449-5050, FAX (406) 449-5052

#### **Nebraska**

Omaha Field Office  
Edward Zorinsky Federal Building  
1616 Capitol Avenue, Suite 329  
Omaha, NE 68102-4908  
(402) 492-3101, FAX (402) 492-3150

#### **Nevada**

Las Vegas Field Office  
300 S. Las Vegas Blvd.  
Suite 2900  
Las Vegas, NV 89101-5833  
(702) 366-2100, FAX (702) 388-6244

Reno Field Office  
745 West Moana Lane  
Suite 360  
Reno, NV 89509-4932  
(775) 824-3703, FAX (775) 784-5005

#### **New Hampshire**

Manchester Field Office  
1000 Elm Street  
8th Floor  
Manchester, NH 03101-1730  
(603) 666-7510, FAX (603) 666-7667

#### **New Jersey**

Newark Field Office  
One Newark Center, 13th Floor  
Newark, NJ 07102-5260  
(973) 622-7900, FAX (973) 645-2323

Camden Field Office  
Bridgeview Building 2nd Floor  
800-840 Cooper Street  
Camden, NJ 08102-1156  
(856) 757-5081, FAX (856) 757-5373

#### **New Mexico**

Albuquerque Field Office  
625 Silver Avenue S.W., Suite 100  
Albuquerque, NM 87102-3185  
(505) 346-6463, FAX (505) 346-6704

#### **New York**

New York Regional Office  
26 Federal Plaza, Suite 3541  
New York, NY 10278-0068  
(212) 264-8000, FAX (212) 264-3068

Albany Field Office  
52 Corporate Circle  
Albany, NY 12203-5121  
(518) 464-4200, FAX (518) 464-4300

Buffalo Field Office Office  
Lafayette Court  
465 Main Street, Second Floor  
Buffalo, NY 14203-1780  
(716) 551-5755, FAX (716) 551-5752

Syracuse Field Office  
128 E. Jefferson Street  
Syracuse, NY 13202  
(315) 477-0616, FAX (315) 477-0196

#### **North Carolina**

Greensboro Field Office  
Asheville Building  
1500 Pinecroft Road  
Suite 401  
Greensboro, NC 27407-3838  
(336) 547-4001, FAX (336) 547-4138

#### **North Dakota**

Fargo Field Office  
Federal Building  
657 2nd Avenue North, Room 366  
Fargo, ND 58108-2483

(701) 239-5136, FAX (701) 239-5249

#### **Northern Plains**

UMB Plaza  
1670 Broadway, 22nd Floor  
Denver, CO 80202-4801  
(303) 672-5465 or (888) 814-2495, FAX (303) 672-5003

#### **Northwest**

Seattle Federal Office Building  
909 First Avenue, Suite 300  
Seattle, WA 98104-1000  
(206) 220-5270, FAX (206) 220-5234

#### **Ohio**

Columbus Field Office  
200 North High Street  
Columbus, OH 43215-2463  
(614) 469-2540, FAX (614) 469-2432

Cincinnati Field Office  
15 East Seventh Street  
Cincinnati, OH 45202-2401  
(513) 684-3451, FAX (513) 684-6224

Cleveland Field Office  
Renaissance Building  
1350 Euclid Avenue, Suite 500  
Cleveland, OH 44115-1815  
(216) 522-4058, FAX (216) 522-4067

#### **Oklahoma**

Oklahoma City Field Office  
301 NW 6th Street  
Suite 200  
Oklahoma City, OK 73102  
(405) 609-8509, FAX (405) 609-8588

Tulsa Field Office  
Williams Center Tower II  
2 West Second Street  
Suite 400  
Tulsa, OK 74103  
(918) 292-8900, FAX (918) 292-8993

#### **Oregon**

Portland Field Office  
400 Southwest Sixth Avenue, Suite 700  
Portland, OR 97204-1632  
(971)222-2600, FAX (971) 222-0357

#### **Pennsylvania**

Philadelphia Regional Office  
The Wanamaker Building  
100 Penn Square East  
Philadelphia, PA 19107-3380  
(215) 656-0500, FAX (215) 656-3445

Pittsburgh Field Office  
Sixth Floor  
339 Sixth Avenue  
Pittsburgh, PA 15222-2515  
(412) 644-6428, FAX (412) 644-4240

#### **Puerto Rico**

San Juan Field Office  
235 Federico Costa Street  
Suite 200  
San Juan, PR 00918  
(787) 766-5201, FAX (787) 766-5995

#### **Rhode Island**

Providence Field Office  
121 South Main Street  
Suite 300  
Providence, RI 02903-7104  
(401) 277-8300, FAX (401) 528-5312

**South Carolina**

Columbia Field Office  
Strom Thurmond Federal Building 13th Floor  
1835 Assembly Street  
Columbia, SC 29201-2480  
(803) 765-5592, FAX (803) 253-3043

**South Dakota**

Sioux Falls Field Office  
4301 West 57th Street, Suite 101  
Sioux Falls, SD 57105-6558  
(605) 330-4223, FAX (605) 330-4428

**Southern Plains**

301 N.W. 6th Street Suite 200  
Oklahoma City, OK 73102  
(405) 609-8532, FAX (405) 609-8403

**Southwest**

One North Central Avenue Suite 600  
Phoenix, AZ 85004-2361  
(602) 379-7200, FAX (602) 379-3101

**Tennessee**

Nashville Field Office  
235 Cumberland Bend Drive, Suite 200  
Nashville, TN 37228-1803  
(615) 736-5213, FAX (615) 736-7848

Knoxville Field Office  
John J. Duncan Federal Building  
710 Locust Street SW, Suite 300  
Knoxville, TN 37902-2526  
(865) 545-4384, FAX (865) 545-4569

Memphis Field Office  
One Memphis Place  
200 Jefferson Avenue, Suite 300  
Memphis, TN 38103-2389  
(901) 544-3367, FAX (901) 544-3697

**Texas**

Fort Worth Regional Office  
801 Cherry Street  
Unit #45  
Suite 2500  
Fort Worth, TX 76102-2905  
(817) 978-5965, FAX (817) 978-5567

Dallas Field Office  
525 Griffin Street, Room 860  
Dallas, TX 75202-5032  
(214) 767-8300, FAX (214) 767-8973

Houston Field Office  
1301 Fannin Suite 2200  
Houston, TX 77002  
(713) 718-3199, FAX (713) 718-3225

Lubbock Field Office  
George H. Mahon Federal Building and United  
States Courthouse  
1205 Texas Avenue, Room 511  
Lubbock, TX 79401-4093  
(806) 472-7265, FAX (806) 472-7275

San Antonio Field Office

One Alamo Center  
106 South St. Mary's Street Suite 405  
San Antonio, TX 78205-3625  
(210) 475-6806, FAX (210) 472-6804

**Utah**

Salt Lake City Field Office  
125 South State Street Suite 3001  
Salt Lake City, UT 84138  
(801) 524-6070, FAX (801) 524-3439

**Vermont**

Burlington Field Office  
159 Bank Street, 2nd Floor  
Burlington, VT 05401-4410  
(802) 951-6290, FAX (802) 951-6298

**Virginia**

Richmond Field Office  
The 3600 Centre  
600 East Broad Street, 3rd Floor  
Richmond, VA 23219-4920  
(804) 771-2100, FAX (804) 822-4984

**Washington**

Seattle Regional Office  
Seattle Federal Office Building  
909 1st Avenue, Suite 200  
Seattle, WA 98104-1000  
(206) 220-5101, FAX (206) 220-5108

Spokane Field Office  
U.S. Courthouse Building  
920 West Riverside, Room 588  
Spokane, WA 99201-1010  
(509) 353-0674, FAX (509) 353-0682

**West Virginia**

Charleston Field Office  
Kanawha Valley Building  
405 Capitol Street, Suite 708  
Charleston, WV 25301-1795  
(304) 347-7000, FAX (304) 347-7050

**Wisconsin**

Milwaukee Field Office  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 1380  
Milwaukee, WI 53203-2289  
(414) 297-3214, FAX (414) 297-3947

**Wyoming**

Casper Field Office  
Federal Office Building  
150 East B Street, Room 1010  
Casper, WY 82601-1969  
(307) 261-6250, FAX (307) 261-6245



## DEPARTMENT OF THE INTERIOR

### District I

All Indian Reservations in North Dakota, South Dakota, Nebraska, Wisconsin, Michigan and Minnesota  
Office of Law Enforcement  
Bureau of Indian Affairs  
115 4th Avenue, S.E., MC: 302  
Aberdeen, SD 57401

### District II

All Indian Tribes in Eastern Oklahoma, all Indian Reservations in Western Oklahoma, and Kansas  
Office of Law Enforcement  
Bureau of Indian Affairs  
101 N. 5th Street  
Muskogee, OK 74401

### District III

All Indian Reservations in Arizona, Nevada, Utah (excluding Navajo) and Indian Reservations in Northern California  
Office of Law Enforcement  
Bureau of Indian Affairs  
N. 5th Street, Bldg 2  
Mailing Address:  
P.O. Box 10  
Phoenix, AZ 85001

### District IV

All Indian Reservations in Southern Colorado, New Mexico, and all Navajo Indian Reservations in Arizona, New Mexico and Utah  
Office of Law Enforcement  
Bureau of Indian Affairs  
P.O. Box 26567  
Albuquerque, NM 87125-6567

### District V

All Indian Reservations in Montana, Wyoming, Oregon, Washington, Idaho, and Alaska  
Office of Law Enforcement  
Bureau of Indian Affairs  
316 North 26th Street  
Billings, MT 59101

### Eastern Region

All Indian Reservations in Alabama, Connecticut, Florida, Louisiana, Maine, Mississippi, New York, North Carolina and Rhode Island  
Office of Law Enforcement  
Bureau of Indian Affairs  
1849 C Street, NW., MS 4550 MIB  
Washington, DC 20240-0001

## BUREAU OF INDIAN AFFAIRS

### AREA OFFICES

#### Deputy Commissioner of Indian Affairs

1849 C Street N.W., MS-4140 MIB  
Washington, DC 20240  
(202) 208-5116

#### Alaska

Alaska Regional Office  
P.O. Box 25520  
Juneau, AK 99802-5520  
(907) 586-7177

#### Arizona

Western Regional Office  
Two Arizona Center, 12th Floor  
P.O. Box 10, MS-100  
Phoenix, AZ 85001-0010  
(602) 379-6600

#### California

(See also Arizona (Western))  
Pacific Regional Office  
Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1846  
(916) 979-2600

#### Minnesota

Midwest Regional Office  
One Federal Drive, Room 550  
St. Snelling, MN 55111  
(612) 713-4400, Ext. 1020

#### Montana

Rocky Mountain Regional Office  
316 North 26th Street  
Billings, MT 59101-1397  
(406) 247-7943

#### Navajo Regional Office

P.O. Box #1060  
Gallup, NM 87305  
(505) 863-8314

#### New Mexico

(See also Arizona (Navajo))  
Southwest Regional Office  
615 1st Street, N.W.  
P.O. Box 26567  
Albuquerque, NM 87125-6567  
(505) 346-7590

#### New York

(See Virginia, Eastern Regional Office)

#### North Carolina

(See Virginia, Eastern Regional Office)

#### North Dakota

(See South Dakota)

#### Oklahoma

Southern Plains Office  
P.O. Box 368  
Anadarko, OK 73005-0368  
(405) 247-6673, Ext. 257

#### Eastern Oklahoma Regional Office

Bureau of Indian Affairs  
101 North 5th Street  
Muskogee, OK 74401-6206  
(918) 687-2295

#### Oregon

(See also Arizona (Western))  
Northwest Regional Office  
911 N.E. 11th Avenue  
Portland, OR 97232-4169  
(503) 231-6702

#### South Dakota

Great Plains Regional Office

Bureau of Indian Affairs  
115 4th Avenue, SE  
Aberdeen, SD 57401-4382  
(605) 226-7343

#### Utah

(see Arizona (Navajo and Western), and Oregon)

#### Virginia

Eastern Regional Office  
3701 North Fairfax Drive  
Suite 260  
Arlington, VA 22203  
(703) 235-3006

#### Washington

(See Oregon)

#### Wisconsin

(See Minnesota)

#### Wyoming

(See Montana)

Cross-references denote which area or offices provide services to eligible Indians within the State.

## FIELD AGENCIES

### 101 12th Avenue, Room 16

Fairbanks Agency  
Fairbanks, AK 99701-6270  
(907) 456-0222

### Metlakatla Field Office

P.O. Box 450  
Metlakatla, AK 99926  
(907) 886-3791

### Alaska

Anchorage Field Office  
1675 C Street, Suite 211  
Anchorage, AK 99501-5198  
(907) 271-4088

### Bethel Field Office

1675 C Street, Suite 279  
Anchorage, AK 99501-5198  
(907) 271-4086

### Arizona

Chinle Agency  
P.O. Box 7H  
Chinle, AZ 86503  
(520) 674-5100

### Colorado River Agency, Route 1, Box 9-C

Parker, AZ 85344  
(520) 669-7111

### Fort Apache Agency

P.O. Box 560  
Whiteriver, AZ 85941  
(520) 338-5353

### Fort Defiance Agency, P.O. Box 619

Fort Defiance, AZ 86504  
(520) 729-7217, 7218

Fort Yuma Field Office  
P.O. Box 11000  
Yuma, AZ 85366-1000  
(760) 572-0248

Hopi Agency  
P.O. Box 158  
Keams Canyon, AZ 86034  
(520) 738-2228

Papago Agency  
P.O. Box 578  
Sells, AZ 85634  
(520) 383-3286

Pima Agency  
P.O. Box 8  
Sacaton, AZ 85247  
(520) 562-3326

Salt River Field Office  
10000 E. McDowell Road  
Scottsdale, AZ 85256  
(602) 640-2168

San Carlos Agency  
P.O. Box 209  
San Carlos, AZ 85550  
(520) 475-2321

Truxton Canon Field Office  
P.O. Box 37  
Valentine, AZ 86437  
(520) 769-2286

Western Navajo Agency  
P.O. Box 127  
Tuba City, AZ 86045  
(520) 283-2254, 2252

**California**  
Central California Agency  
1824 Tribute Road, Suite J  
Sacramento, CA 95815  
(916) 566-7121

Northern California Field Office  
1900 Churn Creek Road, Suite 300  
Redding, CA 96002  
(530) 246-5141

Palm Springs Field Office  
P.O. Box 2245  
650 E. Tahquitz Canyon Way, Suite A  
Palm Springs, CA 92262  
(760) 416-2133

Southern California Agency  
2038 Iowa Avenue, Suite 101  
Riverside, CA 92507-0001  
(909) 276-6624

**Colorado**  
Southern Ute Agency  
P.O. Box 315  
Ignacio, CO 81137  
(970) 563-4511

Ute Mountain Ute Field Office  
P.O. Box KK  
Towaoc, CO 81334  
(970) 565-8473

**Florida**  
Seminole Agency  
6075 Sterling Road  
Hollywood, FL 33024  
(954) 356-7288

**Idaho**  
Fort Hall Agency  
P.O. Box 220  
Fort Hall, ID 83203  
(208) 238-2301

Northern Idaho Agency  
P.O. Drawer 277  
Lapwai, ID 83540  
(208) 843-2300

Plummer Subagency  
P.O. Box 408  
850 A Street  
Plummer, ID 83851  
(208) 686-1887

**Kansas**  
Haskell Indian Nations University  
155 Indian Avenue  
Lawrence, KS 66046  
(785) 749-8404

**Michigan**  
Michigan Field Office  
2901.5 I-75 Business Spur  
Sault Ste Marie, MI 49783  
(906) 632-6809

Horton Field Office  
P.O. Box 31  
Horton, KS 66439  
(785) 486-2161

**Minnesota**  
Minnesota Agency  
Room 418, Federal Building  
522 Minnesota Avenue, NW  
Bemidji, MN 56601-3062  
(218) 751-2011

Red Lake Field Office  
Red Lake, MN 56671  
(218) 679-3361

**Mississippi**  
Choctaw Field Office  
421 Powell Street  
Philadelphia, MS 39350  
(601) 656-1522

**Montana**  
Blackfeet Agency  
P.O. Box 880  
Browning, MT 59417  
(406) 338-7544

Crow Agency  
Box 69  
Crow Agency, MT 59022  
(406) 638-2672

Flathead Field Office  
P.O. Box 40  
Pablo, MT 59855-5555  
(406) 675-0242

Fort Belknap Agency  
RR 1, Box 980  
Harlem, MT 59526  
(406) 353-2901, Ext. 23

Fort Peck Agency  
P.O. Box 637  
Poplar, MT 59255  
(406) 768-5312

Northern Cheyenne Agency  
P.O. Box 40  
Lame Deer, MT 59043  
(406) 477-8242

Rocky Boy's Field Office  
RR 1, Box 542  
Box Elder, MT 59521  
(406) 395-4476

**Nebraska**  
Winnebago Agency  
P.O. Box 18  
Winnebago, NE 68071  
(402) 878-2502

**Nevada**  
Western Nevada Agency  
1677 Hot Springs Road  
Carson City, NV 89706  
(775) 887-3500

Eastern Nevada Field Office  
1555 Shoshone Circle  
Elko, NV 89801  
(775) 738-0569

**New Mexico**  
Eastern Navajo Agency, P.O. Box 328  
Crownpoint, NM 87313  
(505) 786-6100

Jicarilla Agency  
P.O. Box 167  
Dulce, NM 87528  
(505) 759-3951

Laguna Agency  
P.O. Box 1448  
Laguna, NH 87026  
(505) 552-6001

Mescalero Agency  
P.O. Box 189  
Mescalero, NM 88340  
(505) 671-4423

Northern Pueblos Agency  
P.O. Box 4269  
Fairview Station  
Española, NM 87533  
(505) 753-1400

Ramah-Navajo Agency  
Route 2, Box 14  
Ramah, NM 87321  
(505) 775-3235

Shiprock Agency  
P.O. Box 966  
Shiprock, NM 87420  
(505) 368-3300

Southern Pueblos Agency  
P.O. Box 1667  
Albuquerque, NM 87103  
(505) 346-2424

Zuni Agency  
P.O. Box 369  
Zuni, NM 87327  
(505) 782-5591

**New York**  
New York Field Office  
P.O. Box 7366  
Syracuse, NY 13261-7366  
(315) 448-0620

**North Carolina**  
Cherokee Agency  
Cherokee, NC 28719  
(704) 497-9131

**North Dakota**  
Fort Berthold Agency  
P.O. Box 370  
New Town, ND 58763  
(701) 627-4707

Fort Totten Agency  
P.O. Box 270  
Fort Totten, ND 58335  
(701) 766-4545

Standing Rock Agency  
P.O. Box E  
Fort Yates, ND 58538  
(701) 854-3433

Turtle Mountain Agency  
P.O. Box 60  
Belcourt, ND 58316  
(701) 477-3191

**Oklahoma**  
Anadarko Agency  
P.O. Box 309  
Anadarko, OK 73005  
(405) 247-6677

Chickasaw Agency  
1500 N. Country Club Road  
P.O. Box 2240  
Ada, OK 74821  
(580) 436-0784

Concho Field Office  
P.O. Box 68  
El Reno, OK 73036-0068  
(405) 262-7481

Okmulgee Field Office  
P.O. Box 370  
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(Colorado, North Dakota, South Dakota, Utah,  
Wyoming)  
Federal Office Building  
1961 Stout Street, Suite 1823, 18th Floor  
Denver, CO 80294-1823  
(303) 629-7171  
(303) 628-3000

257 East 200 South, Suite 1200  
257 Towers Building  
Salt Lake City, UT 84111-2048  
(801) 579-1400  
(801) 579-4400

**Region X**  
(Alaska, Idaho, Oregon, Washington)  
101 East Sixth Avenue  
Anchorage, AK 99501-2523  
(907) 276-4441  
(907) 258-5322

Crown Plaza Building  
1500 S.W. 1st Avenue, Suite 400  
Portland, OR 97201-5828  
(503) 224-4181  
(503) 552-5200

Federal Office Building  
915 Second Avenue, Room 710  
Seattle, WA 98101  
(206) 262-2000  
(700) 391-8760

## **IMMIGRATION AND NATURALIZATION SERVICE**

### **NATURALIZATION INFORMATION FIELD OFFICES**

**Alabama**  
Mobile Border Patrol  
P.O. Box 1526  
Mobile, AL 36633  
(334) 441-6139

Mobile Port of Entry  
P.O. Box 1526  
Mobile, AL 36601

(334) 441-5135

**Alaska**  
Anchorage District Office  
620 East 10th Avenue, Suite 102  
Anchorage, AK 99501-3701  
(907) 271-3524

Anchorage International Airport P.O. Box 19068  
4601 Sattelite Drive  
Anchorage, AK 99519-0688  
(907) 243-1400

Dutch Harbor Port of Entry  
2315 Airport Beach Road, Room 205  
P.O. Box 750  
Dutch Harbor, AK 99692  
(907) 581-4114

Eagle Port of Entry  
C/O Postmaster Box 1  
Eagle, AK 99738  
(907) 547-2211

Fairbanks Port of Entry  
6450 Old Airport Way  
Fairbanks, AK 99709  
(907) 474-0307

Gambell Port of Entry  
P.O. Box 1  
Gambell, AK 99742  
(907) 985-5211

Dalton's Cache Port of Entry  
Mile 40 Haines Highway  
P.O. Box 1509  
Haines, AK 99827-1509  
(907) 767-5580

Ketchikan Port of Entry  
111 Main Street  
Ketchikan, AK 99840  
(907) 225-2380

Prince Rupert, BC Canada  
Alaska Marine Highway Terminal  
C/O 111 Main Street  
Ketchikan, AK 99840  
(604) 624-3833

Nome Port of Entry  
P.O. Box 281  
Nome, AK 99762  
(907) 443-2065

Skagway Port of Entry  
Klondike Highway Border Station  
P.O. Box 475  
Skagway, AK 99840-0475  
(907) 983-3144

Turner Port of Entry  
P.O. Box 1221  
Tok, AK 99780  
(907) 774-2242

**Arizona**  
Ajo Border Patrol  
850 North Tucson - Ajo Hwy. 86  
P.O. Drawer "J"  
Ajo/Highway, AZ 85321  
(520) 387-7002

Casa Grande Border Patrol  
396 Camino Mercado  
Casa Grande, AZ 85222  
(520) 836-7812

Douglas Border Patrol  
1051 Lawrence Street  
P.O. Box 1175  
Douglas, AZ 85608  
(520)364-3991

Douglas Port of Entry  
Pan American Ave. & First Street  
Douglas, AZ 85607  
(520) 364-5532/6479

Eloy Processing Center  
4465 E. Hanna Road, Suite 343  
Eloy, AZ 85231  
(520) 466-2000

Florence Processing Center  
3250 North Pinal Parkway Avenue  
Florence, AZ 85232  
(520) 868-5862

Lukeville Port of Entry  
Highway 85  
P.O. Box D  
Lukeville, AZ 85341  
(520) 387-6047

Naco Port of Entry  
106 "D" Street  
P.O. Box 277  
Naco, AZ 85620  
(520) 432-3111/2791

Naco Border Patrol  
2136 Naco Highway  
Bisbee, AZ 85603  
(520) 432-5121

Nogales Border Patrol  
1500 W. La Quinta Road  
Nogales, AZ 85621  
(520) 377-6000

Phoenix Border Patrol  
3006 W. Claredon Ave.  
Phoeniz, AZ 85017  
(520) 670-6865

Phoenix Sky Harbor Airport  
P.O. Box 63673  
Phoeniz, AZ 85082-2673  
(602) 275-7745, 7763, 7785

Phoenix District Office  
2035 North Central Avenue  
Phoenix, AZ 85004-1548  
(602) 514-7799

San Luis Port of Entry  
Highway 95  
P.O. Box 448  
San Luis, AZ 85349  
(520) 627-3591

Sasabe Port of Entry  
Federal Inspection Building  
P.O. Box 326  
Sasabe, AZ 85633-0326

(520) 823-4230

Sonoita Border Patrol  
Highway 82 and 83  
P.O. Box 37  
Sonoita, AZ 85637-0037  
(520) 455-5051

Tucson Border Patrol  
2010 Ajo Way  
Tucson, AZ 85713  
(520) 670-6865

Tucson Border Patrol Sector Headquarters  
1970 West Ajo Way  
Tucson, AZ 85713  
(520) 670-6871/6880

Wellton Border Patrol  
29820 Frontage Road  
P.O. Box 128  
Wellton, AZ 85356  
(520) 785-9364

Willcox Border Patrol  
200 W. Downen St.  
P.O. Box 909  
Willcox, AZ 85644-0909  
(520) 384-2412

Yuma Border Patrol  
12122 S. Avenue A  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 726-8731

Yuma Border Patrol Sector Headquarters  
350 West 1st Street  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 782-9548

#### **Bahamas**

Freeport Bahamas Sub-Office  
P.O. Box F-2664  
Freeport Grand Bahama, BA hamas  
(809) 352-5586

#### **California**

Bakersfield Processing Center  
17635 Industrial Farm Road  
P.O. Box 81143  
Bakersfield, CA 93380  
(805) 861-4465

Bakersfield Satellite Investigations  
800 Truxton Avenue, Room 317  
Bakersfield, CA 93301  
(805) 861-4478

Western Form Center  
5600 Rickenbacker Road  
Building 701 Bay A  
Bell, CA 90201  
(213) 526-7404

Blythe Border Patrol  
16870 W. Hobsonway  
P.O. Box 836  
Blythe, CA 92226  
(619) 922-6715

Boulevard Border Patrol

39701 Avenue de Robles Verde  
P.O. Box 1320  
Boulevard, CA 92005  
(619) 766-4542

Calexico Port of Entry  
200 East 1st Street  
P.O. Box 1780  
Calexico, CA 92231  
(619) 357-1189, 7968, 1143

Calexico East Port of Entry  
1699 E. Carr Road  
Calexico, CA 92231  
(619) 768-2450

Oxnard Border Patrol  
275 Skyway Drive  
P.O. Box 88  
Camarillo, CA 93011  
(805) 482-8997

Campo Border Patrol  
3 Forest Gate Road  
P.O. Box 68  
Campo, CA 91906  
(619) 557-6144

Livermore Border Patrol Sector Headquarters  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-3770

Livermore Border Patrol Station  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-0371

El Cajon Border Patrol  
225 Kenney Street  
El Cajon, CA 92020  
(619) 557-5072

El Centro Processing Center  
1115 North Imperial Ave.  
El Centro, CA 92243-1739  
(619) 353-2170

El Centro Border Patrol Sector Headquarters  
1111 North Imperial Ave.  
El Centro, CA 92243-1795  
(619) 352-3241

El Centro Border Patrol Station  
1081 North Imperial Avenue  
El Centro, CA 92243  
(760) 353-0541

Fresno Border Patrol Station  
4367 North Golden State Boulevard  
Fresno, CA 93722  
(209) 487-5506

Fresno Sub-Office  
865 Fulton Mall  
Fresno, CA 93721-2816  
(209) 487-5126

Imperial Beach Border Patrol  
1802 Saturn Way  
P.O. Box 68  
Imperial Beach, CA 91933-0068  
(619) 662-7149

Indio Border Patrol  
45-620 Commerce Street  
Indio, CA 92201  
(760) 347-3658

Western Operations Region  
24000 Avila Road  
P.O. Box 30080  
Laguna Niguel, CA 92607-0080  
(714) 643-4236

Long Beach Seaport Unit  
501 W. Ocean Boulevard, Suite 6300  
Long Beach, CA 90802  
(310) 980-3400

Long Angeles District Office  
300 North Los Angeles Street  
Los Angeles, CA 90012  
(213) 894-4627

Los Angeles International Airport  
380 Worldway, P.O. Box N-20  
Tom Bradley International Terminal, Lower Level  
Los Angeles, CA 90045  
(310) 215-2104, 2101 - Ext. #107, 103

Oakland International Airport  
International Terminal  
1 Airport Drive  
Oakland, CA 94621  
(510) 273-7390

Ontario Airport  
222 E. Airport Drive  
Ontario, CA 91761  
(909) 395-8668, 8673

Riverside Border Patrol  
2060 Chicago Avenue, Suite A2  
Riverside, CA 92507  
(909) 686-4100

Sacramento Border Patrol Station  
7000 Franklin Blvd.  
Bldg. 500, Suite 575  
Sacramento, CA 95823  
(916) 391-9087

Sacramento Sub-Office  
650 Capital Mall  
Sacramento, CA 95814  
(916) 498-6460

Salinas Border Patrol  
1636 East Alisal Street  
P.O. Box 218  
Salinas, CA 93902  
(408) 754-0633

San Clemente Border Patrol  
I-5 Northbound Traffic Checkpoint  
P.O. Box 3188  
San Clemente, CA 92674  
(619) 557-5272

San Diego District Office  
880 Front Street, Suite 1234  
San Diego, CA 92101-8834  
(619) 557-5645

Brown Field Border Patrol  
7560 Britannia Street

San Diego, CA 92173  
(619) 661-3154

Ota Mesa Port of Entry  
2500 Paseo International  
P.O. Box 439018  
San Diego, CA 92143-9018  
(619) 661-3249, 3231

San Diego International Airport  
Lindbergh Field Airport  
3665 N. Harbor Drive  
San Diego, CA 92101  
(619) 298-2612

San Ysidro Port of Entry  
720 San Ysidro Boulevard  
P.O. Box 439108  
San Diego, CA 92143-9018  
(619) 662-7314, 7240

San Francisco International Airport  
P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Francisco, CA 94128  
(415) 876-2876

San Francisco District Office  
630 Sansome Street  
San Francisco, CA 94111-2280  
(415) 705-3102

San Jose International Airport  
C/O P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Jose, CA 95110  
(408) 291-7209

San Jose Sub-Office  
280 S. First Street, Rm. 1150  
San Jose, CA 95113  
(408) 535-5174

San Luis Obispo Border Patrol Station  
1170 Calle Joaquin  
P.O. Box 1486  
San Luis Obispo, CA 93406  
(805) 543-9490

San Marcos Border Patrol  
126 South Pacific  
P.O. Box 5099  
San Marcos, CA 92069  
(619) 557-5589

San Pedro Processing Center  
2001 Seaside Avenue  
Terminal Island  
San Pedro, CA 90731  
(310) 732-0777

Stockton Border Patrol  
P.O. Box 2047  
Stockton, CA 95201  
(209) 946-6211, 6284

Tecate Port of Entry  
P.O. Box 219  
Tecate, CA 92080-0219  
(619) 478-5029

Temecula Border Patrol  
43136 Rancho Way  
P.O. Box 38  
Temecula, CA 92593  
(909) 694-6871

Andrade Port of Entry  
235 Andrade Road  
Winterhaven, CA 92283  
(619) 572-5350, 5184

#### **Colorado**

Denver District Office  
4730 Paris Street  
Albrook Center  
Denver, CO 80239-2804  
(303) 371-6213

Grand Junction Port of Entry  
255 Main Street  
Grand Junction, CO 81501  
(303) 243-5141

Pueblo Port of Entry  
P.O. Box 1879  
Pueblo, CO 81002  
(719) 544-9369

#### **Connecticut**

Hartford Sub-Office  
Ribicoff Federal Building  
450 Main Street  
Hartford, CT 06103-3060  
(203) 240-3052

#### **Florida**

Nassau, Bahamas Sub-Office, U.S. Immigration  
P.O. Box 599009  
Miami, FL 33159-9009  
(242) 377-7125

Jacksonville Port of Entry  
Federal Building, G-18  
400 W. Bay Street  
Jacksonville, FL 32202  
(904) 232-2164

Key West Port of Entry  
Federal Building  
301 Simonton Street, Room 201  
Key West, FL 33040  
(305) 293-9150

Key West Sub-Office  
301 Simonton Street, Room 201  
Mail: P.O. Box 86  
Key West, FL 33041  
(305) 296-2233

Miami International Airport  
Concourse E, 3rd Floor  
P.O. Box 997895  
Miami, FL 33299-7895  
(305) 526-2612, 2626, 2851, 2930

Krome North Service Processing Center  
18201 S.W. 12th Street  
P.O. Box 160327, Snapper Creek Station  
Miami, FL 33194  
(305) 552-1845

Miami District Office  
7880 Biscayne Boulevard



Miami, FL 33138  
(305) 762-3405

Miami Border Patrol Sector Headquarters  
7201 Pembroke Road  
Pembroke Pines, FL 33023  
(954) 963-9807

West Palm Beach Sub-Office  
301 N. Broadway  
Riviera Beach, FL 33404  
(561) 841-0498

West Palm Beach Port of Entry  
4 East Port Road, Room 410  
Riviera Beach, FL 33419  
(407) 845-6898

Tampa Border Patrol  
1821B East Sahlman Drive  
Tampa, FL 33605  
(813) 228-2156 or 2160

Orlando Border Patrol  
P.O. Box 440  
Winter Park, FL 32790-0440  
(407) 648-6081

**Georgia**  
Atlanta District Office  
77 Forsyth Street S.W.  
Atlanta, GA 30303-0253  
(404) 331-0253

Hartsfield International Airport Port of Entry  
P.O. Box 45527  
Atlanta, GA 30320  
(404) 763-7816

Savannah International Airport 33 Bull Street,  
Suite 505  
Savannah, GA 31401  
(912) 652-4460

**Guam**  
Guam International Airport  
Sirena Plaza, Suite 100  
108 Hernan Cortez Avenue  
Agana, GU 96910  
(671) 642-7611

**Hawaii**  
Honolulu District Office  
595 Ala Moana Boulevard  
Honolulu, HI 96813  
(808) 532-3748/3746

Honolulu International Airport  
300 Rodgers Boulevard  
Terminal Box 50  
Honolulu, HI 96819  
(808) 861-8401, 8406, 8400, 8409

**Idaho**  
4620 Overland Road  
Room 108  
Boise, ID 83705  
(208) 334-1822

Eastport Port of Entry  
P.O. Box 8  
Highway 95  
Eastport, ID 83826

(208) 267-2183, 3745

Porthill Port of Entry  
P.O. Box 40  
Porthill, ID 83853  
(208) 267-5309

**Illinois**  
Chicago District Office  
10 West Jackson Boulevard, Suite 600  
Chicago, IL 60604  
(312) 385-1900

**Indiana**  
Indianapolis Sub-Office  
Gateway Plaza, Room 400  
950 North Meridan Street  
Indianapolis, IN 46204  
(317) 226-6181

**Kansas**  
Garden City Port of Entry  
Box 1239  
1404 E. Fulton  
Garden City, KS 67846  
(316) 275-1054

Wichita Port of Entry  
625 North Winterset  
Wichita, KS 67212  
(316) 945-9741

**Kentucky**  
Louisville Sub-Office  
Room 604  
Gene Snyder Courthouse  
601 West Broadway  
Louisville, KY 40202  
(502) 582-6526

**Louisiana**  
Baton Rouge Border Patrol  
P.O. Box 338  
9522 Brookline Drive  
Baton Rouge, LA 70821  
(504) 389-0231

New Orleans International Airport  
900 Airline Highway  
Kenner, LA 70062  
(504) 589-3949

Lake Charles Border Patrol  
P.O. Box 868  
Lake Charles, LA 70601  
(318) 477-9245

New Orleans District Office  
Postal Services Building  
701 Loyola Avenue, Room T-8011  
New Orleans, LA 70113  
(504) 589-6521

New Orleans Border Patrol Sector Headquarters  
3819 Patterson Drive  
P.O. Box 6218  
New Orleans, LA 70174  
(504) 589-6107

Oakdale Processing Center  
207 E. 5th Avenue  
P.O. Box 5095  
Oakdale, LA 71463

(318) 335-0713

**Maine**  
Bangor Port of Entry  
267A Godfrey Boulevard  
P.O. Box 677  
Bangor, ME 04402-0677  
(207) 945-0334

Bar Harbor Port of Entry  
Marine Atlantic Ferry Terminal  
Eden Street  
Bar Harbor, ME 04609  
(207) 288-4675

Bridgewater Port of Entry  
RFD Rt. 1, Box 42  
Boundary Line Road  
Bridgewater, ME 04735  
(207) 425-4502

Calais Border Patrol  
One Main Street  
P.O. Box 245  
Calais, ME 04619  
(207) 454-3613

Calais Port of Entry  
Border Inspection Station  
1 Main Street  
P.O. Drawer 421  
Calais, ME 04619  
(207) 454-2546

Coburn Gore Port of Entry  
Star Route 73  
P.O. Box 35  
Eustis, ME 04936  
(207) 297-2771

Fort Fairfield Border Patrol  
205 Main Street  
P.O. Box 410  
Fort Fairfield, ME 04742  
(207) 472-5041

Fort Fairfield Port of Entry  
RR #1, Box 217  
Fort Fairfield, ME 04742  
(207) 473-7396

Fort Kent Port of Entry  
98 West Main Street  
Fort Kent, ME 04743-1016  
(207) 834-3223

Houlton Border Patrol Sector Headquarters  
Route 1, Calais Road  
P.O. Box 706  
24 Hours  
Houlton, ME 04730  
(207) 532-6521/6522

Houlton Border Patrol Station  
P.O. Box 706  
Houlton, ME 04730  
(207) 532-9061

Houlton Port of Entry  
P.O. Box 189  
Interstate 95  
Houlton, ME 04730  
(207) 532-2906

Jackman Border Patrol  
P.O. Box 608  
Nickels Road  
24 hours  
Jackman, ME 04945  
(207) 668-3151

Jackman Port of Entry  
Star Route 76  
Box 629  
Jackman, ME 04945  
(207) 668-3771

Limestone Port Of Entry  
R.F.D. 1, Box 258  
Limestone, ME 04750-9729  
(207) 325-4760

Lubec Port of Entry  
Federal Building  
U.S. Post Office & Border Station  
Washington Street & Campobello Bridge  
Lubec, ME 04652  
(207) 733-4960

Madawaska Port of Entry  
2 Bridge Street  
Madawaska, ME 04756-1230  
(207) 728-4565

Vanceboro Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box C  
Water Street  
Vanceboro, ME 04491  
(207) 788-3813

Van Buren Port of Entry  
International Bridge  
Bridge Street, P.O. Box 116  
Van Buren, ME 04785  
(207) 868-2202/3900

Van Buren Border Patrol  
P.O. Box 26  
Main Street  
Van Buren, ME 04785  
(207) 868-3900

Hamlin Port of Entry  
H.C. 62, Box 63  
Van Buren, ME 04785  
(207) 868-0966

#### **Maryland**

Baltimore District Office  
Fallen Federal Building  
31 Hopkins Plaza  
Baltimore, MD 21201  
(410) 962-2010

#### **Massachusetts**

Boston District Office  
John F. Kennedy Federal Building  
Government Center, Room 1700  
Boston, MA 02203  
(617) 565-4214

Boston Service Processing Center  
427 Commercial Street  
Boston, MA 02109  
(617) 223-3090/3089/3088

#### **Michigan**

Algonac Port of Entry  
202 Fruit Street  
Algonac, MI 48001  
(810) 794-3321

District/Canada Tunnel  
150 E. Jefferson Avenue  
Detroit, MI 48226  
(313) 568-6019

Detroit International Bridge  
3033 Porter  
Detroit, MI 48216  
(313) 963-4408

Detroit City Airport  
11499 Conner  
Room 138C  
Detroit, MI 48213  
(313) 521-8430

Grand Rapids Border Patrol  
P.O. Box 1678  
100 W. 7th St.  
Holland, MI 49422-1678  
(616) 392-4070

Port Huron Border Patrol  
2112 River Road  
Marysville, MI 48040  
(810) 364-6041

Port Huron Port of Entry  
2321 Pinegrove Avenue  
Port Huron, MI 48060  
(810) 982-0493

Detroit Metro Airport  
International Terminal  
Romulus, MI 48242  
(313) 955-6293

Sault Ste. Marie Port of Entry  
Immigration and Naturalization Service  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-8822

Sault Ste. Marie Border Patrol  
P.O. Box 141  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-3383

Trenton Border Patrol  
23100 West Road  
P.O. Box 206  
Trenton, MI 48183  
(313) 676-2972

#### **Minnesota**

Baudette Port of Entry  
International Bridge  
P.O. Box 487  
Baudette, MN 56623  
(218) 634-2661

St. Paul District Office  
2901 Metro Drive, Suite 100  
Bloomington, MN 55425  
(612) 335-2211

Crane Lake Port of Entry  
7544 Gold Coast Road  
Crane Lake, MN 55725  
(218) 993-2321

Duluth Port of Entry  
U.S. Courthouse & Custom House  
Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5207

Duluth Border Patrol  
114 Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5465

Ely Port of Entry  
P.O. Box 28  
Ely, MN 55731  
(218) 365-3262

Grand Marais Border Patrol  
P.O. Box 685, Highway 61 East  
Grand Marais, MN 55604  
(218) 387-1770

Grand Portage Port of Entry  
Highway 61  
Grand Portage, MN 55605  
(218) 475-2494

International Falls Border Patrol  
Immigration Naturalization Service  
1412 Hwy. 11-71 West  
International Falls, MN 56649  
(218) 283-2461

International Falls  
2 Second Avenue  
International Falls, MN 56649-2328  
(218) 283-8611

Lancaster Port of Entry  
Route 1 Box 138 - Highway 59  
Lancaster, MN 56735  
(218) 762-4100

Noyes Port of Entry  
Immigration and Naturalization Service  
Rural Route 1, Box 110  
Noyes, MN 56740  
(218) 823-6291

Pembina Border Patrol  
Rural Route 1  
P.O. Box 106  
Noyes, MN 56740  
(218) 823-6528, 6594

Pine Creek Port of Entry  
Highway 89  
Star Route 5  
Roseau, MN 56751  
(218) 463-1952

Roseau Port of Entry  
Route 1, Box 31 - Highway 310 N  
Roseau, MN 56751  
(218) 463-2054

Warroad Port Of Entry

H.C. 02 P.O. Box 245  
Warroad, MN 56763  
(218) 386-1676

Warroad Border Patrol  
P.O. Box 24, Highway 11  
Warroad, MN 56763  
(218) 386-1802

#### **Mississippi**

Gulfport Border Patrol  
P.O. Box 4273  
Gulfport, MS 39502  
(228) 863-3582

Gulfport Port of Entry  
P.O. Box 1120  
Gulfport, MS 39501  
(601) 864-3029

#### **Missouri**

Kansas City District Office  
9747 North Conant Avenue  
Kansas City, MO 64153  
(816) 891-0864

St. Louis Sub-Office  
Robert A. Young Federal Building  
1222 Spruce Street, Room 100  
St. Louis, MO 63103-2815  
(314) 539-2516

St. Louis International Airport  
P.O. Box 10406  
Lambert Field  
St. Louis, MO 63145  
(314) 425-7179

#### **Montana**

Montana Chief Mountain Port of Entry  
P.O. Box 376  
via Babb, MT 59411  
(406) 732-4576

Piegan Port of Entry  
Immigration and Naturalization Service  
P.O. Box 109  
Babb, MT 59411  
(406) 732-9297

Billings Border Patrol  
2601 1st Ave. N.  
P.O. Box 2298  
Billings, MT 59103  
(406) 247-7563

Del Bonita Port of Entry  
Del Bonita Star Route  
Cut Bank, MT 59427  
(406) 336-2130

Eureka Border Patrol  
Highway 93 (JB Shopping Center)  
P.O. Box 909  
Eureka, MT 59917  
(406) 296-2938

Roosville Port of Entry  
Immigration and Naturalization Service  
8395 Highway 93 North  
Eureka, MT 59917-9331  
(406) 889-3737

Havre Border Patrol Sector Headquarters  
2605 5th Avenue S.E.  
P.O. Box 112  
Havre, MT 59501  
(406) 265-6781

Wild Horse Port of Entry  
Immigration and Naturalization Service  
Havre, MT 59501  
(406) 394-2371

Willow Creek Port of Entry  
Simpson Route  
Havre, MT 59501  
(406) 398-5512

Havre Port of Entry  
Immigration and Naturalization Service  
Simpson Route  
Willow Creek Station  
Havre, MT 59501  
(406) 265-6781

Loring Port of Entry  
Port of Morgan  
HC82, Box 9250  
Loring, MT 59537-9600  
(406) 674-5248

Malta Border Patrol  
P.O. Box 36  
Malta, MT 59538  
(406) 654-2711

Opheim Port of Entry  
P.O. Box 317  
Opheim, MT 59250  
(406) 724-3212

Plentywood Border Patrol  
P.O. Box 434  
Plentywood, MT 59254  
(406) 765-1852

Raymond Port of Entry  
P.O. Box 158  
Raymond, MT 59256  
(406) 895-2620

Scobey Border Patrol  
P.O. Box 820  
Scobey, MT 59263  
(406) 487-2621

Scobey Port of Entry  
P.O. Box 2300  
Scobey, MT 59263  
(406) 783-5372

Shelby Border Patrol  
P.O. Box 653  
906 Oilfield Ave.  
Shelby, MT 59474  
(406) 434-5588

Sweetgrass Port of Entry  
Immigration and Naturalization Service  
P.O. Box 165 - Interstate 15  
Sweetgrass, MT 59484  
(406) 335-2911

Whitetail Port of Entry  
P.O. Box 38 - US Border Inspection Station

Whitetail, MT 59276  
(406) 779-3531

#### **Nebraska**

Omaha District Office  
3736 South 132nd Street  
Omaha, NE 68144  
(402) 697-9152

Nebraska Service Center  
850 S. Street  
P.O. Box 82521  
Lincoln, NE 68501-2521  
(402) 437-5464

#### **Nevada**

Boulder City Border Patrol  
P.O. Box 60928  
Boulder City, NV 89006-0928  
(702) 293-8507

Las Vegas Sub-Office  
3373 Pepper Lane  
Las Vegas, NV 89120  
(702) 388-6640

Las Vegas Mecarren International Airport  
5757 Wayne Newton Boulevard  
Las Vegas, NV 89111  
(702) 388-6024

Reno Sub-Office  
1351 Coporate Boulevard  
Reno, NV 89502  
(702) 784-5186

#### **New Hampshire**

Pittsburg Port of Entry  
Route #3  
P.O. Box 277  
Pittsburg, NH 03592  
(819) 656-2261

#### **New Jersey**

Newark District Office  
Federal Building  
970 Broad Street  
Newark, NJ 07102  
(201) 645-2298

Newark International Airport  
Terminal B, SAT 3  
Newark, NJ 07114  
(201) 645-6589

#### **New Mexico**

Alamagordo Border Patrol  
1997 Hwy 54 South  
Alamagordo, NM 88310-7377  
(505) 437-6960

Albuquerque Sub-Office  
517 Gold Avenue, S.W.  
Room: 1010  
P.O. Box 567  
Albuquerque, NM 87103  
(505) 248-7357

Columbus Port of Entry  
P.O. Box 307, Pershing Road  
Columbus, NM 88029  
(505) 531-2694, 95, 96



Deming Border Patrol  
P.O. Box 230  
Deming, NM 88031  
(505) 546-9036

Las Cruces Border Patrol  
3120 North Main  
Las Cruces, NM 88001  
(505) 527-6895

Las Cruces Patrol Training Office  
2320 Temple Street  
Las Cruces, NM 88001  
(505) 524-4730

Lordsburg Border Patrol  
441 Duncan Highway, P.O. Box 459  
Lordsburg, NM 88045  
(505) 542-3221

Truth or Consequences Border Patrol  
P.O. Box 3310  
Truth or Consequences, NM 87901  
(505) 744-5235

**New York**  
Albany Sub-Office  
U.S. Post Office & Customhouse  
Room 220  
445 Broadway  
Albany, NY 12207  
(518) 431-0339

Thousand Island Bridge Port of Entry  
U.S. Immigration and Naturalization Service  
46735 U.S. Interstate Route 81  
Alexandria Bay, NY 13607-9796  
(315) 482-2681/2065

Cape Vincent Port of Entry  
46735 U.S. Int. Route 81  
Alexandria Bay, NY 13607-9796  
(315) 654-2781, Ext. 8

Buffalo District Office  
130 Delaware Avenue  
Buffalo, NY 14202  
(716) 846-4741, Ext. 8

Burke Border Patrol  
P.O. Box 125  
Burke, NY 12917-0125  
(518) 483-5941

Champlain Port of Entry  
Border Inspection Station  
234 West Service Road  
Champlain, NY 12919  
(518) 298-3221, 8433, or 2526

Champlain Border Patrol  
P.O. Box 1228  
Ridge Road  
Champlain, NY 12919  
(518) 298-2531

Chateaugay Port of Entry  
Border Inspection Station  
Star Route 374  
Chateaugay, NY 12920  
(518) 497-6772

Trout River Port of Entry

Trout River  
State Route 30  
Via Constable, NY 12926  
(518) 483-5021

Fort Covington Port of Entry  
Border Inspection Station  
Water Street  
Fort Covington, NY 12937  
(518) 358-2231

Fulton Border Patrol Station  
215 South First Street  
Room 228  
P.O.Box 70  
Fulton, NY 13069-0070  
(315) 598-8510

John F. Kennedy International Airport  
International Arrivals Building #50  
Jamaica, NY 11430  
(718) 553-1688  
(718) 553-1689

Office of Inspector General  
JFK Airport Station  
P.O. Box 999  
Jamaica, NY 11430  
(718) 553-7520

Lewiston Port of Entry  
1 Lewiston Queenston Bridge  
Lewistown, NY 14092-1980  
(716) 285-1676

Mooers Port of Entry  
Border Inspection Station  
State Route 22  
Mooers, NY 12958  
(518) 236-7116

New York District Office  
26 Federal Plaza  
New York, NY 10278  
(212) 264-3911

Service Processing Center  
201 Varrick Street, 4th Floor  
New York, NY 10014  
(212) 620-3441

Niagara Falls Port of Entry  
Rainbow Bridge  
Niagara Falls, NY 14303  
(716) 282-3141

Niagara Falls Border Patrol  
1708 Lafayette Avenue  
P.O. Box 281  
Niagara Falls, NY 14305-0281  
(716) 285-6444

Ogdensburg Border Patrol  
127 North Water Street  
Ogdensburg, NY 13669  
(315) 393-1150/0100

Massena Port of Entry  
P.O. Box 195  
Roosevelt, NY 13683  
(315) 764-0310  
(315) 764-0677

Rouse Point Port of Entry  
US Route 9B  
Rouse Point, NY 12979  
(518) 297-7521

Buffalo Border Patrol Sector Headquarters  
U.S. Border Patrol  
231 Grand Island Boulevard  
Tonawanda, NY 14150-6502  
(716) 551-4101

Watertown Border Patrol  
Post Office Building  
P.O. Box 280  
153 Arsenal Street  
Watertown, NY 13601-0280  
(315) 482-7556

**North Carolina**  
Charlotte Sub-Office  
6 Woodlawn Green, Room 138  
Charlotte, NC 28217  
(704) 344-6313

Raleigh-Durham International Airport Port of  
Entry  
P.O. Box 80216  
Raleigh, NC 27623  
(919) 840-5577

Wilmington Port of Entry  
Alton Lennon Federal Building  
Room 105  
2 Princess Street  
Wilmington, NC 28401  
(910) 343-4876

**North Dakota**  
Ambrose Port of Entry  
Immigration and Naturalization Service  
State Highway 42  
Rt. HC-1 B0x 202  
Ambrose, ND 58833  
(701) 982-3211

Antler Port of Entry  
Immigration and Naturalization Service  
RRI - Box 7  
Antler, ND 58711  
(701) 267-3321

Bottineau Border Patrol  
P.O. Box 6  
Bottineau, ND 58318  
(701) 228-3179

Carbury Port of Entry  
RR #1 Souris, ND  
Carbury, ND 58783  
(701) 228-2540

Dunseith Port of Entry  
Immigration and Naturalization Service  
R.R. 1, Box 117  
Dunseith, ND 58329  
(701) 263-4513, 4460

Northgate Port of Entry  
Flaxton, ND 58737  
(701) 596-3805

Fortuna Port of Entry  
Immigration and Naturalization Service

Hwy 85N, P.O. Box #37  
Fortuna, ND 58844  
(701) 834-2493

Grand Forks Border Patrol Sector Headquarters  
P.O. Box 12669 Zip: 58208-2669  
2320 S. Washington Street  
Grand Forks, ND 58201  
(701) 775-6259

Grand Forks International Airport  
RR #2, Box 72  
2787 Airport Drive  
Highway 2 West  
Grand Forks, ND 58203  
(701) 772-3301

Hannah Port of Entry  
Hannah, ND 58239  
(701) 283-5271

Hansboro Port of Entry  
Box 237  
Hansboro, ND 58339  
(701) 266-5633

Maida Port of Entry  
Immigration and Naturalization Service  
Hwy #1  
Maida, ND 58255  
(701) 256-5087

Neché Port of Entry  
Hwy 18  
Neché, ND 58265  
(701) 886-7744

Noonan Port of Entry  
Noonan, ND 58765  
(701) 926-5615

Pembina Port of Entry  
Rural Route 1, P.O. Box 110  
Noyes Pembina, ND 58271  
(701) 825-6722

Portal Border Patrol  
P.O. Box 298  
Portal, ND 58772  
(701) 926-4111

Portal Port of Entry  
P.O. Box 8  
Portal, ND 58772  
(701) 926-4221

Sherwood Port of Entry  
Rural Route 2, Box 1D  
Sherwood, ND 58782  
(701) 459-2250

St. John Port of Entry  
Box 15, Rt. 1  
St. John, ND 58369  
(701) 447-3140

Sarles Port of Entry  
Immigration and Naturalization Service  
P.O. Box 67, Route 1  
6 miles from Village of Sarles, ND 58372  
(701) 697-5177

Walhalla Port of Entry

RR2, Box 145  
Walhalla, ND 58282-9459  
(701) 549-3233

**Ohio**  
Cleveland District Office  
Anthony J. Celebreeze Federal Building  
1240 E. 9th Street, Room 1917  
Cleveland, OH 44199  
(216) 522-4766

Toledo Port of Entry  
Federal Office Bluilding, Room 713  
234 Summit Street  
Toledo, OH 43604-1536  
(419) 259-6474

**Oklahoma**  
Oklahoma Sub-Office  
4149 Highline Boulevard, Suite 300  
Oklahoma City, OK 73108  
(405) 231-5928

**Oregon**  
Astoria Port of Entry  
P.O. Box 236  
Astoria, OR 97103  
(503) 325-3054

Coos Bay Port of Entry  
P.O. Box 209  
Coos Bay, OR 97420  
(503) 242-4785

Portland District Office  
511 N.W. Broadway  
Portland, OR 97209  
(503) 326-3962

Portland International Airport  
P.O. Box 55067  
Portland, OR 97238-5067  
(503) 326-3409

Roseburg Border Patrol  
1036 S.E. Douglas  
P.O. Box 1728  
Roseburg, OR 97470  
(503) 440-4518

**Pennsylvania**  
Philadelphia District Office  
1600 Callowhill Street  
Philadelphia, PA 19130  
(215) 656-7150

Pittsburgh Sub-Office  
INS/Department of Justice  
2130 Federal Building  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 395-4457

**Puerto Rico**  
Aquadilla Service Processing Center  
P.O. Box 250480  
Aquadilla, PR 00604-0480  
(787) 882-3565/3567/3568

Deferred Inspections  
U.S. Federal Building  
Room 380  
Chardon Street

Hato Rey, PR 00918  
(809) 766-5000

District Director's Office  
Immigration and Naturalization Service  
New Federal Building, 3rd Floor  
Carlos Chardon Street  
Hato Rey, PR 00918

San Juan International Airport  
P.O. Box 37900  
Isle Verde, PR 00937-0900  
(809) 253-4525

Mayaguez Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box 2990, Marina Station  
Mayaguez, PR 00709-2990  
(809) 831-3440

Ponce Port of Entry  
Immigration and Naturalization Service  
P.O. Box 173  
Playa Station  
Ponce, PR 00734-3173  
(809) 843-3220

San Juan District Office  
U.S. Immigration and Naturalization Service  
P.O. Box 365068  
San Juan, PR 00936  
(787) 766-5514

**Rhode Island**  
Providence Sub-Office  
200 Dyer Street  
Providence, RI 02903-3993  
(401) 528-5528, 5323

**South Carolina**  
Charleston Port of Entry  
Federal Building, Room 110  
334 Meeting Street  
Charleston, SC 29403  
(803) 727-4421

**Tennessee**  
Memphis Sub-Office  
245 Wagner Place  
Suite 250  
Memphis, TN 38103-3815  
(901) 544-4108

**Texas**  
Abilene Border Patrol  
P.O. Box 3076  
555 Walnut Street  
Abilene, TX 79604-3076  
(915) 673-3010

Alpine Border Patrol  
P.O. Box 958  
Alpine, TX 79831  
(915) 837-3550

Amarillo Border Patrol  
P.O. Box 2287  
Amarillo, TX 79105  
(806) 324-2278

Austin Sub-Office  
3708 South Second Street  
P.O. Box 6496

Austin, TX 78704 (512) 482-7901, 7904	(210) 775-7213	Freer Border Patrol P.O. Box "W" Freer, TX 78357 (512) 394-7613
Big Bend Park Border Patrol P.O. Box 67 Big Bend, TX 79834 (915) 477-2287	Eagle Pass Port of Entry International Bridge, P.O. Box 4280 Eagle Pass, TX 78852 (210) 773-9205, 9206	Galveston Port of Entry P.O. Box 388 Galveston, TX 77550 (409) 766-3581
Brackettville Border Patrol P.O. Box 216 802 West Spring Street Brackettville, TX 78832 (830) 563-2477	El Paso District Office 1545 Hawkins, Suite 167 El Paso, TX 79925 (915) 540-1700, 1701	Harlingen District Office 2102 Teege Road Harlingen, TX 78550 (210) 427-8691
Brownsville Port of Entry 1500 East Elizabeth Street, Room 203 Brownsville, TX 78520 (210) 546-1675	Processing Center 8915 Montana Avenue El Paso, TX 79925 (915) 225-1941	Harlingen Border Patrol 901 Rangerville Road P.O. Box 642 Harlingen, TX 78551 (956) 427-8511
Brownsville International Airport Brownsville, TX 78520 (210) 542-8296	Office of Inspector General 3 Butterfield Trail Boulevard Suite 120 El Paso, TX 79906 (915) 534-7370	Hebbronville Border Patrol 802 North Sigrid Street Hebbronville, TX 78361 (512) 527-3256
Brownsville Border Patrol P.O. Box 5076 Brownsville, TX 78520 (956) 542-3585	El Paso Border Patrol Sector Headquarters 8901 Montana Ave., P.O. Box 9578 El Paso, TX 79986 (915) 834-8350	Pharr Port of Entry 9910 S. Cage Boulevard, Suite C Pharr, TX 78557-9723 (956) 783-4739, 4758
Carrizo Springs Border Patrol P.O. Box 194 Highway 85 East Carrizo Springs, TX 78834 (830) 876-3557	Intelligence Center 11339 SSG Sims Street El Paso, TX 79908-8098 (915) 760-2031	Hidalgo Port of Entry International Bridge Hidalgo, TX 78557-3019 (210) 843-2201, 2202
Corpus Christi Border Patrol 6809 Leopard Street P.O. Box 10344 Corpus Christi, TX 78460-0344 (512) 289-0552	El Paso Port of Entry Paso Del Norte Bridge El Paso, TX 79901 (915) 534-6767	Houston Intercontinental Airport P.O. Box 60457 Houston, TX 77205 (713) 233-3700
Comstock Border Patrol P.O. Box 700, Highway 85 East Comstock, TX 78837 (915) 292-4450, 4680	Dallas Border Patrol 2800 South Pipeline Road Euless, TX 76040 (817) 540-0150	Kingsville Border Patrol Navel Air Station, Building 3731 Kingsville, TX 78363 (512) 592-3284
Cotulla Border Patrol 692 Main Street Cotulla, TX 78014 (830) 879-3051	Fabens Border Patrol 802 East Main P.O. Box 908 Fabens, TX 79838 (915) 764-2417	Laredo Border Patrol Sector Headquarter 207 W. Del Mar Boulevard Laredo, TX 78041 (956) 723-4367
Dallas District Office 8101 North Stemmons Freeway Dallas, TX 75247 (214) 655-3011	Fabens Port of Entry P.O. Box 908 Fabens, TX 79838 (915) 764-2419	Laredo South Border Patrol Station Rural Route 3, P.O. Box USBP-SLS/L Laredo, TX 78043 (210) 727-0644
Dallas Forth Worth Port of Entry P.O. Box 610365 Dallas-Fort Worth, TX 75261 (214) 574-2141	Falfurrias Border Patrol P.O. Box 479 Falfurrias, TX 78355 (512) 325-5616	Laredo Administrative Offices, Building #2 700 Zaragoza Street P.O. Box 179 Laredo, TX 78042-0179 (210) 722-3283
Del Rio Border Patrol Sector Headquarters P.O. Box 2020 Del Rio, TX 78841-2020 (210) 703-2100	Fort Hancock Border Patrol P.O. Box 218 Fort Hancock, TX 79839 (915) 769-3978	Juarez-Lincoln International Bridge #2 700 Zaragoza Street, Building #3 Laredo, TX 78042 (512) 722-5440
Del Rio Border Station P.O. Box 2020, Qualia Drive Del Rio, TX 78841-2020 (830) 703-2100	Fort Hancock Port of Entry P.O. Box 235 Fort Hancock, TX 79839 (915) 769-3810	Gateway to the American International Bridge #1 100 Convent Street Laredo, TX 78040 (210) 722-2484
Amistad Dam Port of Entry P.O. Box 4060 Del Rio, TX 78841-4060	Fort Stockton Border Patrol P.O. Box 607 Fort Stockton, TX 79735 (915) 336-2468	Llano Border Patrol (210) 775-7213



P.O. Box 134, 211 East Tarrant  
Llano, TX 78643  
(915) 247-4912

Los Ebanos Port of Entry  
International Ferry  
P.O. Box 399  
Los Ebanos, TX 78565  
(512) 485-2721

Port Isabel Service Processing Center  
Route 3, Box 341  
Los Fresnos, TX 78566  
(210) 548-2530

Port Isabel Border Patrol  
Route 3, Box 340  
Los Fresnos, TX 78566  
(956) 233-9554

Port Isabel Port of Entry  
Alien Processing Center (PIC)  
Route 3, Box 341  
Buena Vista Road  
Los Fresnos, TX 78566  
(210) 233-4431

Lubbock Border Patrol  
P.O. Box 1632, 1205 Texas Avenue  
Lubbock, TX 79408  
(806) 472-7355

Marfa Border Patrol Sector Headquarters  
P.O. Box 1  
300 Madrid Street  
Marfa, TX 79843  
(915) 729-4353

McAllen Border Patrol Sector Headquarters  
Mail: P.O. Box 1179 Zip Code 78502  
2301 South Main Street  
McAllen, TX 78503  
(210) 686-5496

McAllen Border Patrol  
4201 W. Military Highway  
McAllen, TX 78503  
(956) 618-8163

Mercedes Border Patrol  
P.O. Box 125  
623 International Boulevard  
Mercedes, TX 78570  
(956) 968-0602

Midland Border Patrol Station  
P.O. Box 60405  
Midland, TX 79711  
(915) 561-8911

Presidio Border Patrol  
P.O. Box 929  
Presidio, TX 79845  
(915) 229-3330

Presidio Port of Entry  
International Bridge, P.O. Box 937  
Presidio, TX 79845  
(915) 229-3265, 3663

Port Arthur Port of Entry  
4550 Jimmy Johnson Boulevard, Suite 3  
Port Arthur, TX 77642

(409) 727-3375

Port Arthur Port of Entry  
2875 75th Street, Room 106  
Port Arthur, TX 77640  
(409) 727-3375

Rio Grand City Border Patrol  
2230 East Highway  
P.O. Box 481  
Rio Grand City, TX 78582  
(956) 487-2700

Rocksprings Border Patrol P.O. Box 576  
Rocksprings, TX 78880  
(830) 683-2255

Falcon Heights Port of Entry  
International Dam, P.O. Box 278  
Roma, TX 78584  
(210) 848-5221

Rio Grande City Port of Entry  
International Bridge, P.O. Box 278  
Roma, TX 78584  
(210) 487-2200 or  
(210) 849-1676

San Angelo Border Patrol  
P.O. Box 61106  
San Angelo, TX 76906  
(915) 949-0139

San Antonio Border Patrol  
5000 North Industrial Drive  
San Antonio, TX 78268  
(210) 521-7926

San Antonio International Airport  
9800 Airport Boulevard  
Terminal No. 1  
San Antonio, TX 78216  
(210) 826-6261

San Antonio District Office  
8940 Four Winds Drive  
San Antonio, TX 78239  
(210) 967-7109

Sanderson Border Patrol  
P.O. Box 628  
Sanderson, TX 78268  
(915) 345-2972

Uvalde Border Patrol  
Industrial Park #30  
Uvalde, TX 78801  
(830) 278-7133

Van Horn Border Patrol  
700 N.W. Access Road  
P.O. Box 368  
Van Horn, TX 79854  
(915) 283-2795

Progreso Port of Entry  
International Bridge Route 2, Box 600  
Westlaco, TX 78596  
(210) 565-6304

Zapata Border Patrol  
Lot C-2015  
U.S. Hwy 83 South

P.O. Box 685  
Zapata, TX 78076-0685  
(210) 765-6395

**Utah**  
5272 South College Drive, Suite 100  
Salt Lake City, UT 84123  
(801) 265-8807

**Vermont**  
Alburg Springs Port of Entry  
Alburg Springs, RR#2  
Alburg, VT 05440  
(802) 796-3704

Alburg Port of Entry  
U.S. Border Station  
State Route 225  
Alburg, VT 05440  
(802) 796-3703

Beebe Plain Port of Entry  
Beebe Plain, VT 05823  
(802) 873-3151

Beecher Falls Border Patrol  
P.O. Box 215  
24 hours  
Beecher Falls, VT 05902  
(802) 266-3035

Beecher Falls Port of Entry  
Border Inspection  
Route 102  
Beecher Falls, VT 05902  
(802) 266-3320

Canaan Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 129  
Canaan, VT 05903  
(802) 266-8994

Derby Line Port of Entry  
Route 91  
P.O. Box 367  
Derby Line, VT 05830  
(802) 873-3316

East Richford Port of Entry  
RFD #1  
P.O. Box 1690  
East Richford, VT 05476  
(802) 848-3001

West Berkshire Port of Entry  
RFD #1 Box 1110  
Enosburg Falls, VT 05450  
(802) 933-2301

Morses Line Port of Entry  
RFD #1  
Morses Line, VT 05457  
(802) 285-2214

Newport Border Patrol  
P.O. Box 815  
Newport, VT 05855  
(802) 334-6722

North Troy Port Of Entry  
State Route 105

North Troy, VT 05859  
(802) 988-2633

Norton Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 117  
Norton, VT 05907  
(802) 822-5222

Richford Border Patrol  
Main Street  
P.O. Box 67  
Richford, VT 05476  
(802) 848-7713

Pinnacle Port of Entry  
R.D. #1, Box 300  
Richford, VT 05476  
(802) 848-3319

Richford Port of Entry  
Border Inspection Station  
RFD #1, Box 40  
Richford, VT 05476  
(802) 848-7766

Administrative Center  
70 Kimball Avenue  
South Burlington, VT 05403-6813  
(802) 660-1111

Eastern Region Operations  
70 Kimball Avenue  
South Burlington, VT 05403-6813  
(802) 660-5000

St. Albans Sub-Office  
Federal Building  
P.O. Box 328  
St. Albans, VT 05478  
(802) 527-3191

Eastern Service Center  
75 Lower Welden Street  
St. Albans, VT 05479-0001  
(802) 527-3100

Swanton Border Patrol Sector Headquarters  
Grand Ave  
P.O. Box 705  
Swanton, VT 05488  
(802) 868-3361

Highgate Springs Port of Entry  
Border Inspection Station  
U.S. Route 7  
RFD Swanton, VT 05488  
(802) 868-3349

Swanton Border Patrol Station  
Route 78  
P.O. Box 209  
24 Hours  
Swanton, VT 05488  
(802) 868-3229/3320

Eastern Form Center  
P.O. Box 567  
Williston, VT 05495-0567  
(802) 951-6225

**Virgin Islands**

Charlotte Amalie, St. Thomas, VI Sub-Office  
Nisky Center, First Floor, Suite 1A  
Charlotte Amalie St. Thomas, VI 00801  
(809) 774-1390

Christiansted St. Croix, Port of Entry  
P.O. Box 1270 Kingshill  
Christiansted St. Croix, VI 00851  
(809) 778-6559/6300

Cruz Bay Port of Entry  
P.O. Box 450  
Cruz Bay  
St. John, VI 00831  
(340) 776-6390

**Virginia**  
Washington District Office  
4420 North Fairfax Drive  
Arlington, VA 22203  
(202) 307-1504

Norfolk Sub-Office  
5 Norfolk Federal Building  
200 Granby Mall, Room 439  
Norfolk, VA 23510-1882  
(804) 441-3095

**Washington**  
Bellingham Border Patrol  
2745 McLeod Rd.  
P.O. Box 31428  
Bellingham, WA 98228-3428  
(360) 733-8420

Bellingham Port of Entry  
104 W. Magnolia and Cornall Street, Room 207  
P.O. Box 2055  
Bellingham, WA 98227  
(360) 676-8411 (Downtown)  
(360) 734-3520 (Airport)

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P.O. Box 3529  
Blaine, WA 98231  
(360) 332-7707, 7919

Blaine Border Patrol  
1580 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-4205

Pacific Highway Port of Entry  
9950 Pacific Highway  
Blaine, WA 98230  
(360) 332-6091, 7237

Blaine Port of Entry  
Immigration and Naturalization Service  
Peace Arch POE  
100 Peace Portal Drive  
Blaine, WA 98230  
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Colville Border Patrol  
209 East Juniper Ave.  
P.O. Box 146  
Colville, WA 99114  
(509) 684-6272

Boundary Port of Entry

5338 North Port Juanita Road  
Colville, WA 99114  
(509) 732-4470

Ferry Port of Entry  
3559 Toroda Customs Bridge Road  
Curlew, WA 99118-9715  
(509) 779-4655 (Customs)

Danville Port of Entry  
19130 North Highway 21  
Danville, WA 99121-9704  
(509) 779-4860

Friday Harbor Port of Entry  
202 Front Street North  
Staff by Customs  
P.O. Box 1907  
Friday Harbor, WA 98250  
(206) 378-2080

Laurier Port of Entry  
Immigration and Naturalization Service  
Highway 395  
P.O. Box 40  
Laurier, WA 99146  
(509) 684-2100

Longview Port of Entry  
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Longview, WA 98632  
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Nighthawk Port of Entry  
Star Route  
Loomis, WA 98827  
(509) 476-2125

Lynden Border Patrol  
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P.O. Box 708  
Lynden, WA 98264  
(360) 354-4118

Lynden Port of Entry  
9949 Guide Meridian Road  
Lynden, WA 98264  
(206) 354-6661

Metaline Falls Port of Entry  
P.O. Box 631  
Metaline Falls, WA 99153  
(509) 446-2572

Frontier Port of Entry  
Immigration and Naturalization Service  
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Northport, WA 99157  
(509) 732-4418

Oroville Port of Entry  
Route 1, Box 130  
Oroville, WA 98844  
(509) 476-2454, 3132

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Oroville, WA 98844-9726  
(509) 476-3622

Vancouver-BC Candada  
P.O. Box 450

Point Roberts, WA 98281-0450  
(604) 278-3360, 3986, 2520

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Port Angeles Border Patrol  
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Port Angeles, WA 98362  
(360) 452-5970

Immigration and Naturalization Service  
Headquarters  
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Washington, DC 20536  
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Staffed by Customs)  
1322 Washington  
P.O. Box 951  
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(360) 385-3777

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Seattle, WA 98134  
(206) 553-0070

Seattle Tacoma International Airport  
S. 178 and Pacific Highway  
Seattle, WA 98158  
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Spokane, WA 99201  
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Spokane Border Patrol  
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Spokane, WA 99218

Spokane Airport  
691 U.S. Courthouse Building  
Spokane, WA 99201  
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Sumas Port of Entry  
109 Cherry Street  
P.O. Box 99  
Sumas, WA 98295  
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Tacoma Port of Entry  
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Tacoma, WA 98401  
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Wenatchee, WA 98807  
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Yakima Port of Entry  
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George Holt, District Director  
Atlanta Federal Center  
61 Forsyth Street, S.W., Room 7M10  
Atlanta, GA 30303  
(404) 562-2201

Jeffrey Genkos, Assistant District Director  
Juliette Gordon Low Federal Building Complex  
124 Barnard Street, Suite B-210  
Savannah, GA 31401-3648  
(912) 652-4221, 4229

### Illinois

Dennis McInerney, District Director  
230 South Dearborn, Room 412  
Chicago, IL 60604-1595  
(312) 596-7182

Henry Rodriguez, District Director  
509 West Capitol Avenue, Suite 205  
Springfield, IL 62704-1929  
(217) 492-4060

### Indiana

Connie J. Klipsch, District Director  
429 North Pennsylvania Street, Room 403  
Indianapolis, IN 46204-1873  
(317) 226-6801

Donald J. Laurent, District Director  
River Glen Plaza, Suite 160  
501 East Monroe Street  
South Bend, IN 46601-1615  
(219) 236-8331, 8332

### Iowa

Percella Maupins, District Director  
Federal Building, Room 643  
210 Walnut Street  
Des Moines, IA 50309  
(515) 284-4625

### Kansas

Karen Chaiken, District Director  
Gateway Tower II  
400 State Avenue, Suite 1010  
Kansas City, KS 66101  
(913) 551-5721

### Kentucky

Donald T. Outland, District Director  
Gene Snyder U.S. Courthouse and Custom House  
601 West Broadway, Room 31  
Louisville, KY 40202-9570  
(502) 582-5226

### Louisiana

Charles R. Beckwith, District Director  
701 Loyola Avenue, Room 13028  
New Orleans, LA 70113-1931  
(504) 589-6171

### Maryland

Bezarah Gaither, District Director  
207 Appraisers Stores Building  
103 South Gay Street, Room 207  
Baltimore, MD 21201-4061  
(410) 962-4984

### Massachusetts

Corey H. Surett, District Director  
John F. Kennedy Federal Building, Room 525  
Boston, MA 02203  
(617) 565-2066

### Michigan

James R. Smith, District Director  
211 W. Fort Street, Room 1317  
Detroit, MI 48226-2799  
(313) 226-7447

Radames Delago, Assistant District Director  
2920 Fuller Avenue, N.E., Suite 100  
Grand Rapids, MI 49505-3409  
(616) 456-2004

### Minnesota

Denise C. Scharlemann, District Director  
Midland Square, Suite 920  
331 Second Avenue South  
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(612) 370-3371

### Mississippi

Billy R. Jones, District Director  
One Jackson Place, Suite 1020  
188 East Capitol Street  
Jackson, MS 39201-2126  
(601) 965-4347, 4348

### Missouri

Ella Johnson, District Director  
1222 Spruce Street, Room 9102 B  
St. Louis, MO 63103  
(314) 539-2706, 3014

### Nebraska

Richard Tesarek, Assistant District Director  
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106 South 15th Street  
Omaha, NE 68102  
(402) 221-4682

### New Hampshire

George A. Rioux, District Director  
2 Wall Street, 1st Floor  
Manchester, NH 03101  
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(603) 666-7600 FAX

### New Jersey

Catherine Sutherland, Acting District Director  
200 Sheffield Street, Suite 102  
Mountainside, NJ 07092  
(973) 645-2279

Dominic Denato, District Director  
3131 Princeton Pike, Building 5, Room 216  
Lawrenceville, NJ 08648  
(609) 989-2247, 2368

### New Mexico

Patricia Davidson, District Director  
Western Bank Building, Suite 840  
505 Marquette, N.W.  
Albuquerque, NM 87102-2160



(505) 248-5115

**New York**

Irving Miljoiner, District Director  
1400 Old Country Road, Suite 410  
Westbury, NY 11590-5119  
(516) 338-1890

Louis Vanegas, District Director  
26 Federal Plaza, Room 3700  
New York, NY 10278  
(212) 264-8185

Christopher Martin, District Director  
Leo W. O'Brien Federal Building  
Room 822  
Albany, NY 12207  
(518) 431-4279

**North Carolina**

John Blaine, District Director  
800 Briar Creek Road, Suite CC-412  
Charlotte, NC 28205-6903  
(704) 344-6298

Janet Campbell, District Director  
4407 Bland Road, Suite 260  
Somerset Park Building  
Raleigh, NC 27609-6296  
(919) 790-2741, 2742

**Ohio**

Donald Harrison, Assistant District Director  
525 Vine Street, Suite 880  
Cincinnati, OH 45202-3268  
(513) 684-2908

Barry J. Haber, District Director  
Federal Office Building, Room 817  
1240 East Ninth Street  
Cleveland, OH 44199-2054  
(216) 522-3892, 3893

Richard J. Malloy, District Director  
646 Federal Office Building  
200 North High Street  
Columbus, OH 43215-2475  
(614) 469-5678  
FAX (614) 469-5428

**Oregon**

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Portland, OR 97201-5445  
(503) 326-3057

**Pennsylvania**

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Wilkes-Barre, PA 18702-3594  
(570) 826-6316

Stewart Bastic, District Director  
U.S. Custom House, Room 400  
Second and Chestnut Streets  
Philadelphia, PA 19106  
(215) 597-4950

Richard Clougherty, District Director  
Federal Building, Room 313  
1000 Liberty Avenue  
Pittsburgh, PA 15222

(412) 395-4996

**Puerto Rico**

David Heffelfinger, District Director  
7 Tabonuco Street  
San Patricio Office Center, Fourth Floor  
Guaynabo, PR 00968  
(787) 775-1924

**South Carolina**

Jerry L. Stuckey, District Director  
Federal Building, Room 1072  
1835 Assembly Street  
Columbia, SC 29201-9863  
(803) 765-5981

**Tennessee**

Carol Merchant, District Director  
Executive Plaza  
1321 Murfreesboro Road, Building 511  
Nashville, TN 37217-2626  
(615) 781-5343,5345

**Texas**

Curtis L. Poer, District Director  
A. Maceo Smith Federal Building, Room 507  
525 South Griffin Street  
Dallas, TX 75202-5007  
(214) 767-6294

Betty Campbell, District Director  
South Building, Suite 202  
9990 Richmond Avenue  
Houston, TX 77042-4546  
(713) 339-5575

Nicasio O. Flores, District Director  
Northchase I Office Building, Suite 140  
10127 Morocco Street  
San Antonio, TX 78216  
(210) 308-4515

**Utah**

Dean Campbell, District Director  
10 East South Temple, Suite 1680  
Salt Lake City, UT 84133  
(801) 524-5706

**Virginia**

Bruce Clark, District Director  
Federal Building, Suite 416  
400 N. Eighth Street  
Richmond, VA 23240  
(804) 771-2995

**Washington**

Gordon L. Wilson, District Director  
1111 Third Avenue, Suite 755  
Seattle, WA 98101-3212  
(206) 553-4482

**West Virginia**

Danny Short, Assistant District Director  
500 Quarrier Street, Suite 720  
Charleston, WV 25301  
(304) 347-5206

**Wisconsin**

George Victory, District Director  
740 Regent Street, Suite 102  
Madison, WI 53715  
(608) 264-5221

**DIVISION OF ENERGY EMPLOYEES  
OCCUPATIONAL ILLNESS  
COMPENSATION  
DISTRICT OFFICES**

**District Office 1**

U.S. Department of Labor, DEEOIC  
400 West Bay Street, Room 722  
Jacksonville, FL 32202  
877-336-4272

**District Office 2**

U.S. Department of Labor, DEEOIC  
1001 Lakeside Avenue, Suite 350  
Cleveland, OH 44114  
888-859-7211

**District Office 3**

U.S. Department of Labor, DEEOIC  
1999 Broadway, Suite 1120  
Denver, CO 80201-6550  
888-805-3389

**District Office 4**

U.S. Department of Labor, DEEOIC  
719 2nd Avenue, Suite 601  
Seattle, WA 98104  
888-805-3401

**OCCUPATIONAL SAFETY AND  
HEALTH ADMINISTRATION**

**AREA OFFICES**

**Alabama**

Area Director  
Todd Mall, 2047 Canyon Road  
Birmingham, AL 35216-1981  
(205) 731-1534, Ext. 133

District Supervisor  
3737 Government Boulevard, Suite 100  
Mobile, AL 36693-4309  
(251) 441-6131

**Alaska**

Area Director  
301 West Northern Lights Boulevard, Room 407  
Anchorage, AK 99503-7571  
(907) 271-5152

**Arizona**

Area Director  
3221 North 16th Street, Suite 100  
Phoenix, AZ 85016  
(602) 640-2007

**Arkansas**

Area Director  
TCBY Building, Suite 450  
425 West Capitol Avenue  
Little Rock, AR 72201  
(501) 324-6291

**California**

Resource Center  
101 El Camino Boulevard, Suite 105  
Sacramento, CA 95815  
(916) 566-7470

Resource Center  
5675 Ruffin Road, Suite 330

San Diego, CA 92123  
(619) 557-5904

Resource Center  
71 Stevenson Street, Suite 420  
San Francisco, CA 94105  
(415) 975-4316

**Colorado**

Area Director  
1391 Speer Boulevard, Suite 210  
Denver, CO 80204-2552  
(303) 844-5285

Area Director  
7935 E. Prentice Avenue, Suite 209  
Englewood, CO 80111-2714  
(303) 843-4500

**Connecticut**

Area Director  
Federal Office Building  
450 Main Street, Room 613  
Hartford, CT 06103  
(860) 240-3152

Area Director  
Clark Building  
1057 Broad Street, 4th Floor  
Bridgeport, CT 06604  
(203) 579-5581

**Delaware**

Area Director  
Caleb Boggs Federal Building  
844 King Street, Room 2209  
Wilmington, DE 19801  
(302) 573-6518

**Florida**

Area Director  
Building H100  
8040 Peters Road  
Fort Lauderdale, FL 33324  
(954) 424-0242

Area Director  
Ribault Building, Suite 227  
1851 Executive Center Drive  
Jacksonville, FL 32207  
(904) 232-2895

Area Director  
5807 Breckenridge Parkway, Suite A  
Tampa, FL 33610  
(813) 626-1177

**Georgia**

Area Director  
Building 7, Suite 110  
2183 N. Lake Parkway  
La Vista Perimeter Office Park  
Tucker, GA 30084-4154  
(770) 493-6644

Area Director  
2400 Herodian Way, Suite 250  
Smyrna, GA 30080-2968  
(770) 984-8700

Area Director  
450 Mall Boulevard, Suite J.  
Savannah, GA 31406-1418

(912) 652-4393

**Hawaii**

Resource Center  
300 Ala Moana Boulevard, Suite 5-146  
Honolulu, HI 96850  
(808) 541-2685

**Idaho**

Area Director  
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Boise, ID 83703  
(208) 321-2960

**Illinois**

Area Director  
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Calumet City, IL 60409  
(708) 891-3800

District Supervisor  
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Fairview Heights, IL 62208  
(618) 632-8612

Area Director  
2918 West Willow Knolls Road  
Peoria, IL 61614  
(309) 671-7033

Area Director  
365 Smoke Tree Plaza  
North Aurora, IL 60542  
(630) 896-8700

Area Director  
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Suite 950  
Des Plaines, IL 60016  
(847) 803-4800

**Indiana**

Area Director  
U.S. Post Office and Courthouse  
46 East Ohio Street, Room 423  
Indianapolis, IN 46204  
(317) 226-7290

**Iowa**

Area Director  
210 Walnut Street, Room 815  
Des Moines, IA 50309  
(515) 284-4794

**Kansas**

Area Director  
271 W. 3rd Street, Room 400  
Wichita, KS 67202  
(316) 269-6644

Area Director  
8600 Farley, Suite 105  
Overland Park, KS 66212-4677  
(913) 385-7380

**Kentucky**

Area Director  
U.S. Department of Labor-OSHA  
John C. Watts Federal Building  
330 West Broadway, Room 108  
Frankfort, KY 40601-1922  
(502) 227-7024

**Louisiana**

Area Director  
9100 Bluebonnet Centre Boulevard, Suite 201  
Baton Rouge, LA 70809  
(225) 389-0474

Area Director  
202 Harlow Street, Room 211  
Bangor, ME 04401-4906  
(207) 941-8177

**Maine**

District Supervisor  
Edmund S. Muskie Federal Bldg.  
40 Western Ave., RM G26  
Augusta, ME 04330  
(207) 626-9160

**Maryland**

Area Director  
1099 Winterson Road, Suite 140  
Linthicum, MD 21090  
(410) 865-2055/2056

**Massachusetts**

Area Director  
639 Granite Street, 4th Floor  
Braintree, MA 02184  
(617) 565-6924

Area Director  
1441 Main Street, Room 550  
Springfield, MA 01103-1493  
(413) 785-0123

Area Director  
Valley Office Park  
13 Branch Street, First Floor  
Methuen, MA 01844  
(617) 565-8110

**Michigan**

Area Director  
801 South Waverly Road, Suite 306  
Lansing, MI 48917-4200  
(517) 327-0904

**Minnesota**

Area Director  
300 S. 4th Street, Suite 1205  
Minneapolis, MN 55415  
(612) 664-5460

**Mississippi**

Area Director  
3780 I-55 North, Suite 210  
Jackson, MS 39211-6323  
(601) 965-4606

**Missouri**

Area Director  
6200 Connecticut Avenue, Suite 100  
Kansas City, MO 64120  
(816) 483-9531

Area Director  
U.S. Department of Labor-OSHA  
911 Washington Avenue, Room 420  
St. Louis, MO 63101  
(314) 425-4249

**Montana**

Area Director

2900 4th Avenue, North, Suite 303  
Billings, MT 59101  
(406) 247-7494

#### **Nebraska**

Area Director  
Overland-Wolf Building, Room 100  
6910 Pacific Street  
Omaha, NE 68106  
(402) 221-3182

#### **Nevada**

Resource Center  
Federal Building, Room 204  
705 North Plaza  
Carson City, NV 89701  
(775) 885-6963

#### **New Hampshire**

Area Director  
55 Pleasant Street, Room 3901  
Concord, NH 03301  
(603) 225-1629

#### **New Jersey**

Area Director  
Plaza 35, Suite 205  
1030 St. Georges Avenue  
Avenel, NJ 07001  
(732) 750-3270

Area Director  
500 Route 17 South, 2nd Floor  
Hasbrouck Heights, NJ 07604  
(201) 288-1700

Area Director  
Marlton Executive Park  
701 Route 73 South, Building 2, Suite 120  
Marlton, NJ 08053  
(856) 757-5181

Area Director  
299 Cherry Hill Road, Suite 304  
Parsippany, NJ 07054  
(973) 263-1003

#### **New Mexico**

Area Director  
Western Bank Building  
505 Marquette Avenue, N.W., Suite 820  
Albuquerque, NM 87102  
(505) 248-5302

#### **New York**

Area Director  
201 Varick Street, Room 905  
New York, NY 10014  
(212) 620-3200

Area Director  
3300 Vickery Road  
North Syracuse, NY 13212  
(315) 451-0808

Area Director  
42-40 Bell Boulevard  
Bayside, NY 11361  
(718) 279-9060

Area Director  
John Tomich Federal Building  
401 New Karner Road, Suite 300

Albany, NY 12205-3809  
(518) 464-4338

Area Director  
660 White Plains Road, 4th Floor  
Tarrytown, NY 10591-5107  
(914) 524-7510

Area Director  
5360 Genesee Street  
Bowmansville, NY 14026  
(716) 684-3891

Area Director  
1400 Old Country Road, Suite 208  
Westbury, NY 11590  
(516) 334-3344

#### **North Carolina**

Area Director  
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Raleigh, NC 27601-9998  
(919) 856-4770

#### **North Dakota**

Area Director  
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Bismarck, ND 58501  
(701) 250-4521

#### **Ohio**

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1240 East Ninth Street  
Cleveland, OH 44199  
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Area Director  
Federal Office Building, Room 4028  
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Cincinnati, OH 45246  
(513) 841-4132

Area Director  
Federal Office Building  
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Columbus, OH 43215  
(614) 469-5582

Area Director  
Ohio Building  
420 Madison Avenue, Suite 600  
Toledo, OH 43604  
(419) 259-7542

#### **Oklahoma**

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Oklahoma City, OK 73102  
(405) 278-9560

#### **Oregon**

Area Director  
1220 Southwest Third Avenue, Room 640  
Portland, OR 97204  
(503) 326-2251

#### **Pennsylvania**

Area Director  
U.S. Customs House, Room 242  
Second and Chestnut Streets

Philadelphia, PA 19106  
(215) 597-4955

Area Director  
Federal Building, Room 1428  
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Pittsburgh, PA 15522-4101  
(412) 395-4903

Area Director  
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Allentown, PA 18102  
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Area Director  
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Area Director  
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Progress Plaza  
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Area Director  
3939 West Ridge Road, Suite B-12  
Erie, PA 16506  
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#### **Puerto Rico**

Area Director  
BBV Plaza Building  
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#### **Rhode Island**

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Columbia, SC 29201  
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#### **Tennessee**

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Area Director  
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Houston, TX 77060  
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Area Director  
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Dallas, TX 75228  
(214) 320-2400



Area Director  
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Houston, TX 77058  
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Area Director  
North Star II, Suite 302  
8713 Airport Freeway  
Ft. Worth, TX 76180-7610  
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Corpus Christi Area Office  
U.S. Department of Labor, OSHA  
Wilson Plaza West  
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Corpus Christi, TX 78476  
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Area Director  
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Austin, TX 78701  
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Area Director  
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EL Paso, TX 79901  
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Norfolk, VA 23510  
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**Washington**  
Area Director  
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Bellevue, WA 98004  
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**West Virginia**  
Area Director  
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Charleston, WV 25301  
(304) 347-5937

**Wisconsin**  
Area Director  
Henry S. Reuss Building  
310 Wisconsin Avenue, Suite 1180  
Milwaukee, WI 53203  
(414) 297-3315

Area Director  
4802 E. Broadway  
Madison, WI 53716  
(608) 441-5388

District Supervisor  
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Eau Claire, WI 54701  
(715) 832-9019

Area Director  
1648 Tri Park Way

Appleton, WI 54914  
(920) 734-4521

## REGIONAL OFFICES

**Region I**  
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Marthe Kent, Regional Administrator  
Department of Labor, OSHA  
JFK Federal Building, Low Rise Building, Room E-340  
Boston, MA 02114  
(617) 565-9860

**Region II**  
(New Jersey, New York, Puerto Rico, Virgin Islands)  
Patricia Clark, Regional Administrator  
Department of Labor, OSHA  
201 Varick Street, Room 670  
New York, NY 10014  
(212) 337-2378

**Region III**  
(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
Marie Cassidy, Acting Regional Administrator  
The Curtis Center - Suite 740 West  
170 Independence Mall West  
Philadelphia, PA 19106-3309  
(215) 861-4900

**Region IV**  
(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Cindy Coe Laseter, Regional Administrator  
61 Forsyth Street S.W., Room 6T50  
Atlanta, GA 30303  
(404) 562-2300

**Region IX**  
(Arizona, California, Commonwealth of Northern Mariana Islands, Guam, Hawaii, and Nevada)  
Frank Strasheim, Regional Administrator  
Department of Labor, OSHA  
San Francisco Federal Building  
90 7th Street, Suite 18100  
San Francisco, CA 94103  
(415) 625-2547

**Region V**  
(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)  
Michael Connors, Regional Administrator  
Department of Labor, OSHA  
230 South Dearborn Street  
32nd Floor, Room 3244  
Chicago, IL 60604  
(312) 353-2220

**Region VI**  
(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Dean McDaniel, Regional Administrator  
Department of Labor, OSHA  
525 Griffin Street, Room 602  
Dallas, TX 75202  
(972) 850-4145

**Region VII**  
(Iowa, Kansas, Missouri, Nebraska)

Charles Adkins, Regional Administrator  
Department of Labor, OSHA  
City Center Square  
1100 Main Street, Suite 800  
Kansas City, MO 64105  
(816) 426-5861

**Region VIII**  
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Greg Baxter, Regional Administrator  
Department of Labor, OSHA  
1999 Broadway Street, Room 1690  
Denver, CO 80202-5716  
(720) 264-6550

**Region X**  
(Alaska, Idaho, Oregon, Washington)  
Richard Terrill, Regional Administrator  
Department of Labor, OSHA  
1111 Third Avenue, Suite 715  
Seattle, WA 98101-3212  
(206) 553-5930

## MINE SAFETY AND HEALTH ADMINISTRATION

**West Virginia**  
Jack Spadaro  
1301 Airport Rd  
Beaver, WV 25813-9426  
(304) 256-3200

## MINE SAFETY AND HEALTH ADMINISTRATION

### COAL MINE SAFETY AND HEALTH DISTRICT OFFICES

**Alabama**  
(District 11, Coal Mine Safety and Health: Florida, Mississippi, Puerto Rico, Virgin Islands, and counties of Alabama and Georgia south and west of the District 7 boundary indicated above)  
Federal Region IV  
Frank C. Young, Jr.  
135 Gemini Circle, Suite 213  
Birmingham, AL 35209  
(205) 290-7300

**Colorado**  
(District No. 9: All States west of the Mississippi River, except for Minnesota, Iowa and all counties of Missouri south of the Missouri River; including Alaska and Hawaii) Federal Region VIII  
John Kuzar  
P.O. Box 25367, DFC  
Denver, CO 80225-0367  
(303) 231-5458

**Indiana**  
(District No. 8: Illinois, Indiana, Michigan, Minnesota, Wisconsin, Iowa and all counties of Missouri north of the Missouri River) Federal Region V  
James K. Oakes  
2300 Old Decker RD, Suite 200  
Vincennes, IN 47591  
(812) 882-7617

**Kentucky**

(District No. 6: counties of Kentucky east of and including Mason, Robertson, Fleming, Rowan, Menifee, Morgan, Magoffin, Floyd, Pike, Letcher) Federal Region IV  
Billy Fatch  
159 North Mayo Trail  
Pikeville, KY 41501-3249  
(606) 432-0943, Ext. 116

(District No. 7: Coal Mine Safety and Health: North Carolina, South Carolina, Tennessee, counties of Alabama north and east of and including Jackson, Marshall, Etowah, and Cherokee, counties of Georgia north of and including Polk, Bartow, Cherokee, Forsyth, Hall, Jackson, Madison, and Elbert, and counties of Kentucky east of and including Boone, Grant, Scott, Woodford, Jessamine, Garrard, Lincoln, Pulaski, and Clinton, up to the District 6 boundary indicated above.) Federal Region IV  
Joseph W. Pavlovich  
HC 66, Box 1699  
Barbourville, KY 40906  
(606) 546-5123

(District No. 10: counties of Kentucky west of and including Gallatin, Owen, Franklin, Anderson, Mercer, Boyle, Casey, Russell And Cumberland) Federal Region IV  
Carl E. Bome, II  
100 YMCA Drive  
Madisonville, KY 42431-9019  
(270) 821-4180

#### **Pennsylvania**

(District No. 1: Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Delaware, and counties of Pennsylvania east of and including Susquehanna, Sullivan, Columbia, Montour, Northumberland, Dauphin, York) Federal Region III  
Frank Strunk  
The Stegmaier Building, Suite 034  
7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6321

(District No. 2: counties of Pennsylvania west of and including Bradford, Lycoming, Union, Snyder, Juniata, Perry, Cumberland, Adams) Federal Region III  
Cheryl McGill  
RR 1, Box 736  
Hunker, PA 15639  
(412) 925-5150, Ext. 111

#### **Virginia**

(District No. 5: Virginia) Federal Region III  
Ray McKinney  
P.O. Box 560  
Norton, VA 24273  
(540) 679-0230

#### **West Virginia**

(District No. 3: Ohio, Maryland and counties of West Virginia north of and including Jackson, Roane, Calhoun, Braxton, Randolph, Pendleton) Federal Region III  
Timothy J. Thompson  
5012 Mountaineer Mall  
Morgantown, WV 26505  
(304) 291-4277

(District No. 4: counties of West Virginia south of and including Mason, Putnam, Kanawha, Clay, Nicholas, Webster, Greenbrier, Pocahontas) Federal Region III  
Edwin P. Brady  
100 Bluestone Road  
Mt. Hope, WV 25880  
(304) 877-3900, Ext. 125

### **METAL AND NONMETAL MINE SAFETY AND HEALTH DISTRICT OFFICES**

#### **Alabama**

(Southeastern: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Martin Rosta  
135 Gemini Circle, Suite 212  
Birmingham, AL 35209  
(205) 290-7294

#### **California**

(Western: Alaska, California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Lee Ratliff  
2060 Peabody Rd, Suite 610  
Vacaville, CA 95687-6696  
(707) 447-9844

#### **Colorado**

(Rocky Mountain: Arizona, Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming, Kansas, Nebraska)  
Irvin Hooker  
P.O. Box 25367  
Denver, CO 80225-0367  
(303) 231-5465

#### **Minnesota**

(North Central: Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio, Wisconsin)  
Felix Quintana  
515 West First Street, #333  
Duluth, MN 55802-1302  
(218) 720-5448

#### **Pennsylvania**

(Northeastern: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Virginia, Vermont, West Virginia)  
James R. Petrie  
230 Executive Drive, Suite 2  
Cranberry Township, PA 16066-6415  
(724) 772-2333

#### **Texas**

(South Central: Arkansas, Louisiana, Missouri, New Mexico, Oklahoma, Texas)  
Doyle D. Fink  
1100 Commerce Street, Room 4C50  
Dallas, TX 75242-0499  
(214) 767-8401

### **TECHNICAL SUPPORT FIELD CENTERS**

#### **Pennsylvania**

Edward J. Miller  
Safety and Health Technology Center, Pittsburgh  
Cochrans Mill Road  
P.O. Box 18233

Pittsburgh, PA 15236  
(412) 386-6902

#### **West Virginia**

Steven J. Luzik  
Approval and Certification Center  
R.R. 1, Box 251  
Industrial Park Road  
Triadelphia, WV 26059  
(304) 547-2029

### **OFFICE OF THE SECRETARY, WOMEN'S BUREAU**

#### **REGIONAL OFFICES**

##### **Region I**

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Jacqueline Cooke, Regional Administrator  
JFK Federal Building, Room E-270  
One Congress Street  
Boston, MA 02114  
(617) 565-1988 or 1-800-518-3585  
Use the same number for FTS

##### **Region II**

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Mary C. Murphree, Regional Administrator  
201 Varick Street, Room 601  
New York, NY 10014  
(212) 337-2389  
Use the same number for FTS

##### **Region III**

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
Cornelia Moore, Regional Administrator  
The Curtis Center, Suite 880 West  
170 S. Independence Mall West  
Philadelphia, PA 19104  
(215) 861-4860 or 1-800-379-9042  
Use the same number for FTS

##### **Region IV**

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Delores Crockett, Regional Administrator  
61 Forsyth Street, S.W., Suite 7T95  
Atlanta, GA 30367  
(404) 562-2336 or 1-800-672-8356  
Use the same number for FTS

##### **Region IX**

(Arizona, California, Hawaii, Nevada)  
Jenny Erwin, Regional Administrator  
71 Stevenson Street, Room 927  
San Francisco, CA 94105  
(415) 975-4750  
Use the same number for FTS

##### **Region V**

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Nancy Chen, Regional Administrator  
230 South Dearborn Street, Room 1022  
Chicago, IL 60604  
(312) 353-6985 or 1-800-648-8183  
Use the same number for FTS

**Region VI**

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

Beverly Lyle, Regional Administrator  
Suite 735, Federal Building  
525 Griffin Street, Suite 735  
Dallas, TX 75202

(214) 767-6985 or 1-888-887-6794  
Use the same number for FTS

**Region VII**

(Iowa, Kansas, Missouri, Nebraska)  
Rose A. Kemp, Regional Administrator  
Center City Square Building  
1100 Main Street, Suite 845  
Kansas City, MO 64106

(816) 426-6108 or 1-800-252-4706  
Use the same number for FTS

**Region VIII**

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

Frances Jefferson, Regional Administrator  
Federal Office Building  
1801 California Street, Suite 905  
Denver, CO 80202-2614

(303) 844-1286 or 1-800-299-0886  
Use the same number for FTS

**Region X**

(Alaska, Idaho, Oregon, Washington)

Karen Furia, Regional Administrator  
1111 Third Avenue, Room 925  
Seattle, WA 98101-3211

(206) 553-1534 or 1-888-296-7011  
Use the same number for FTS

**OFFICE OF THE ASSISTANT  
SECRETARY FOR VETERANS'  
EMPLOYMENT AND TRAINING**

**AGENTS FOR VETERANS'  
REEMPLOYMENT RIGHTS**

Contact any Veterans' Employment and Training Service Office concerning veterans' reemployment rights.

**REGIONAL ADMINISTRATORS AND  
STATE DIRECTORS FOR VETERANS'  
EMPLOYMENT AND TRAINING**

**Region I**

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

RAVET David Houle  
Veterans' Employment and Training Service  
Department of Labor

JFK Federal Building, Room E-315  
Government Center  
Boston, MA 02203  
(617) 565-2080

DVET William Mason  
Veterans' Employment and Training Service  
Department of Labor

CT Department of Labor Building  
200 Folly Brook Boulevard  
Wethersfield, CT 06109  
(860) 263-6490

DVET Jon Guay

Veterans' Employment and Training Service  
Department of Labor  
5 Mollison Way  
P.O. Box 3106  
Lewiston, ME 04243  
(207) 753-9090

DVET Paul L. Desmond  
Veterans' Employment and Training Service  
Department of Labor  
19 Staniford Street  
C.F. Hurley Building, 2nd Floor, ES Operations  
Section  
Boston, MA 02114  
(617) 626-6699

DVET Richard Ducey  
Veterans' Employment and Training Service  
Department of Labor  
143 North Main Street, Room 208  
Concord, NH 03301  
(603) 225-1424

DVET John Dunn  
Veterans' Employment and Training Service  
Department of Labor  
57 Spruce Street  
Westerly, RI 02891  
(401) 528-5134

DVET Richard Gray  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 603  
Post Office Building  
87 State Street, Room 303  
Montpelier, VT 05602  
(802) 828-4441

**Region II**

(New Jersey, New York, Puerto Rico and Virgin Islands)

Veterans' Employment and Training Service  
Department of Labor  
201 Varick Street, Room 766  
New York, NY 10014  
(212) 337-2211

DVET Alan E. Grohs  
Veterans' Employment and Training Service  
Department of Labor  
Labor Building, 11th Floor, CN058  
Trenton, NJ 08625  
(609) 292-2930

DVET James H. Hartman  
Veterans' Employment and Training Service  
Department of Labor  
Harriman State Campus  
Building 12, Room 518  
Albany, NY 12240-0099  
(518) 457-7465

DVET Angel Mojica  
Veterans' Employment and Training Service  
Department of Labor  
Puerto Rico Department of Labor and Human Services  
198 Calle Guayama, 20th Floor  
Hato Rey, PR 00917  
(787) 754-5391

**Region III**

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia)

RAVET Joseph Hortiz, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
The Curtis Center, Suite 770 West  
170 South Independence Mall West  
Philadelphia, PA 19106  
(215) 861-5390

DVET David White  
Veterans' Employment and Training Service  
Department of Labor  
4425 N. Market Street, Room 420  
Wilmington, DE 19809-0828  
(302) 761-8138

DVET Stanley Williams  
Veterans' Employment and Training Service  
Department of Labor  
500 C Street, N.W., Room 108  
Washington, DC 20001  
(202) 724-7005

DVET Gary Lobdell  
Veterans' Employment and Training Service  
Department of Labor  
1100 North Eutaw Street, Room 210  
Baltimore, MD 21201  
(410) 767-2110

DVET Lawrence Babitts  
Veterans' Employment and Training Service  
Department of Labor  
Labor and Industry Building, Room 1108  
Seventh and Forster Streets  
Harrisburg, PA 17121  
(717) 787-5834

DVET Roberto Pineda  
Veterans' Employment and Training Service  
Department of Labor  
703 E. Main street, Room 118  
Richmond, VA 23219  
(804) 786-7269

DVET Charles Stores, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
112 California Avenue  
Capitol Complex - Room 204  
Charleston, WV 25305-0112  
(304) 558-4001

**Region IV**

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

RAVET William Bolls, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
Sam Nunn Atlanta Federal Center  
61 Forsyth Street, S.W., Room 6-T85  
Atlanta, GA 30303  
(404) 562-2305

DVET Thomas Karrh  
Veterans' Employment and Training Service  
Department of Labor  
649 Monroe Street, Room 543  
Montgomery, AL 36131-6300  
(334) 223-7677



Derek W. Taylor  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1527  
Tallahassee, FL 32302-1527  
(850) 942-8800

Ed Gresham  
Veterans' Employment and Training Service  
Department of Labor  
Sussex Place, Suite 504  
148 International Boulevard, N.E.  
Atlanta, GA 30303-1751  
(404) 656-3127

DVET Charles R. Netherton  
Veterans' Employment and Training Service  
Department of Labor  
C/O Department for Employment Services  
275 East Main Street  
Frankfort, KY 40621-2339  
(502) 564-7062

DVET Angelo Terrell  
Veterans' Employment and Training Service  
Department of Labor  
1520 West Capitol Street  
P.O. Box 1699  
Jackson, MS 39215-1699  
(601) 965-4204

DVET Steven W. Guess  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 27625  
Raleigh, NC 27611-7625  
(919) 733-7402, 733-7407

DVET William C. Plowden, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1755  
Columbia, SC 29202-1755  
(803) 765-5195

DVET Richard E. Ritchie  
Veterans' Employment and Training Service  
Department of Labor  
915 8th Avenue North  
Nashville, TN 37219-3795  
(615) 736-7680

**Region IX**  
(Arizona, California, Hawaii, and Nevada)  
RAVET Rex A. Newell  
Veterans' Employment and Training Service  
Department of Labor  
71 Stevenson Street, Suite 705  
San Francisco, CA 94105  
(415) 975-4700

DVET Michael Espinosa  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 6123-SC760E  
1400 West Washington Street  
Phoenix, AZ 85005  
(602) 379-4961

DVET Rosendo A. Cuevas  
Veterans' Employment and Training Service  
Department of Labor  
800 Capitol Mall, Room W-1142

P.O. Box 826880  
Sacramento, CA 94280-0001  
(916) 654-8178

DVET Gilbert N. Hough  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 3680  
Honolulu, HI 96811  
(808) 522-8216

DVET Judy A. Carlisle  
Veterans' Employment and Training Service  
Department of Labor  
1923 North Carson Street, Room 205  
Carson City, NV 89702  
(702) 687-4632

**Region V**  
(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
RAVET Ronald G. Bachman  
Veterans' Employment and Training Service  
Department of Labor  
230 South Dearborn, Room 1064  
Chicago, IL 60604  
(312) 353-0970

DVET Samuel L. Parks  
Veterans' Employment and Training Service  
Department of Labor  
401 South State Street, 744 North  
Chicago, IL 60605  
(312) 793-3433

DVET D. Bruce Redman  
Veterans' Employment and Training Service  
Department of Labor Richard A. Mock  
10 North Senate Avenue, Room SE103  
Indianapolis, IN 46204  
(317) 232-6804

DVET Kim Fulton  
Veterans' Employment and Training Service  
Department of Labor  
7310 Woodward Avenue, Suite 407  
Detroit, MI 48202  
(313) 876-5613

DVET Michael D. Graham  
Veterans' Employment and Training Service  
Department of Labor  
390 Robert Street North, 1st Floor  
St. Paul, MN 55101  
(651) 296-3665

DVET Carl Price  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1618  
Columbus, OH 43216  
(614) 644-3688

DVET James R. Gutowski  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 8310  
Madison, WI 53708-8310  
(608) 266-3110

**Region VI**  
(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

RAVET Lester L. Williams, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
525 Griffin Street, Room 858  
Dallas, TX 75202  
(214) 767-4987

DVET Billy R. Threlkeld  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 128  
Little Rock, AK 72203  
(501) 682-3786

DVET Lester L. Parmenter  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 94094, Room 184  
Baton Rouge, LA 70804-9094  
(225) 389-0339

Sharon I. Mitchell  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 25085  
Albuquerque, NM 87125-5085  
(505) 346-7502

DVET Darrell H. Hill  
Veterans' Employment and Training Service  
Department of Labor  
201 North Lincoln Boulevard  
P.O. Box 52003  
Oklahoma City, OK 73152-2003  
(405) 231-5088

DVET John D. McKinny  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1468  
Austin, TX 78767  
(512) 463-2814

**Region VII**  
(Iowa, Kansas, Missouri, and Nebraska)  
RAVET Lester L. Williams, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
City Center Square Building  
1100 Main Street, Suite 850  
Kansas City, MO 64105-2112  
(816) 426-7151

DVET Anthony J. Smithhart  
Veterans' Employment and Training Service  
Department of Labor  
150 Des Moines Street  
Des Moines, IA 50309-5563  
(515) 281-9061

DVET Gayle Gibson  
Veterans' Employment and Training Service  
Department of Labor  
401 Topeka Boulevard  
Topeka, KS 66603-3182  
(913) 296-5032

DVET Mickey J. Jones  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1087  
421 East Dunklin Street  
Jefferson City, MO 65102-1087

(573) 751-3921

DVET Richard Nelson  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 94600  
550 South 16th Street  
Lincoln, NE 68508  
(402) 437-5289

**Region VIII**

(Colorado, Montana, North Dakota, South Dakota,  
Utah and Wyoming)

RAVET Ronald G. Bachman  
Veterans' Employment and Training Service  
Department of Labor  
1999 Broadway, Suite 1730  
Denver, CO 80202-2614  
(303) 844-1175

DVET Mark McGinty  
Veterans' Employment and Training Service  
Department of Labor  
1515 Arapahoe Street, 2 Park Central, Suite 400  
Denver, CO 80202-2117  
(303) 844-2151

DVET Polly Latray-Halmes  
Veterans' Employment and Training  
Department of Labor  
1215 8th Avenue  
Helena, MT 59601-4144  
(406) 449-5431

DVET Jerry Meske  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1632  
1000 E. Divide Avenue  
Bismarck, ND 58502-1632  
(701) 328-2865

DVET Earl R. Schultz  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 4730  
420 South Roosevelt Street  
Aberdeen, SD 57402-4730  
(605) 626-2325

DVET Dale Brockbank  
Veterans' Employment and Training Service  
Department of Labor  
140 East 300 South  
Salt Lake City, UT 84111-2333  
(801) 524-5703

DVET David McNulty  
Veterans' Employment and Training  
Department of Labor  
P.O. Box 2760  
100 West Midwest Avenue  
Casper, WY 82602-2760  
(307) 261-5454

**Region X**

(Alaska, Idaho, Oregon and Washington)

RAVET Rex A. Newell  
Veterans' Employment and Training Services  
Department of Labor  
1111 Third Avenue, Suite 900  
Seattle, WA 98101-3212  
(206) 553-4831

DVET Daniel Travis  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 25509  
1111 West 8th Street  
Juneau, AK 99802-5509  
(907) 465-2723

DVET Vacant  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 2697  
Boise, ID 83701  
(208) 334-6163

DVET Ron Cannon  
Veterans' Employment and Training Service  
Department of Labor  
312 Employment Division Building, Room 108  
875 Union Street, N.E.  
Salem, OR 97311-0100  
(503) 947-1490

Thomas Pearson  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 165  
Olympia, WA 98507-0165  
(360) 438-4600

## DEPARTMENT OF TRANSPORTATION

### UNITED STATES COAST GUARD

The U.S. Coast Guard responsibilities are provided by two offices, one on the East coast and one of the West coast. Their areas of responsibility and addresses are listed below:

(Alaska, Arizona, California, Hawaii, Idaho, Montana, Nevada, Oregon, U.S. Pacific Island Possessions, Utah, Washington)  
Captain D. Gary Beck  
Maintenance & Logistics Command (Pacific)  
Commander (md)  
Coast Guard Island, Building 52  
Alameda, CA 94501-5100  
(510) 437-3474

(Alabama, Arkansas, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Hampshire, New Jersey, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Panama Canal Zone, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, South Dakota, Tennessee, Texas, Vermont, Virgin Islands, Virginia, West Virginia, Wisconsin, Wyoming)  
Captain Dale Gabel  
Commander (md)  
Maintenance & Logistics Command (Atlantic)  
300 East Main Street, Suite 800  
Norfolk, VA 23510  
(757) 628-4280

### FEDERAL AVIATION ADMINISTRATION

#### NATIONAL MINE HEALTH AND SAFETY ACADEMY REGIONAL OFFICES

**Alaska**  
(Alaskan Region)  
222 West 7th Avenue  
Box 14  
Anchorage, AK 99513

20.100 AVIATION EDUCATION  
Tom Vanderwest AHT-200  
(202) 267-3436

20.106 AIRPORT IMPROVEMENT PROGRAM  
(907) 271-5438

**Alaska Region**  
222 West 7th Avenue  
Anchorage, AK 99513-7587

Aviation Education  
David Brubakee AAL-17  
(907) 271-5377

**California**  
(Western-Pacific Region)  
P.O. Box 92007  
Worldway Postal Center  
Los Angeles, CA 90009-2007

20.100 AVIATION EDUCATION  
Hank Verbais AWP-4  
(310) 725-3802

20.106 AIRPORT IMPROVEMENT PROGRAM  
AWP  
(310) 725-3600

**FAA Mike Monrohey**  
Aeronautical Center  
P.O. Box 25082  
Oklahoma City, OK 73135

**FAA William J. Hughes**  
Technical Center  
Atlantic City International Airport  
Atlantic City, NJ 08405

Mary Lou Dordan ACH-1  
(605) 485-6515

**Georgia**  
(Southern Region)  
1701 Columbia Avenue  
For letter mail: P.O. Box 20636  
Atlanta, GA 30320-0631

20.100 AVIATION EDUCATION  
Opal Neely ASO-1  
(425) 227-1725

20.106 AIRPORT IMPROVEMENT PROGRAM  
ASO-600  
(404) 305-6700

**Illinois**  
(Great Lake Region)  
O'Hare Lake Office Center  
2300 East Devon Avenue  
Des Plaines, IL 60018

20.100 AVIATION EDUCATION  
Pat Stasiek AGL-4  
(847) 294-7106

20.106 AIRPORT IMPROVEMENT PROGRAM  
AGL-600  
(847) 294-7272

**Massachusetts**  
20.100 AVIATION EDUCATION  
(New England Region)  
12 New England Executive Park  
Sheila Bauer, ANE-40  
Burlington, MA 01803-5299  
(781) 238-7378

20.106 AIRPORT IMPROVEMENT PROGRAM  
ANE-600  
(617) 238-7600

**Missouri**  
(Central Region)  
601 East 12th Street  
Kansas City, MO 64106-2808

20.100 AVIATION EDUCATION  
Gary Gravitt ACE-4  
(816) 329-2420

20.106 AIRPORT IMPROVEMENT PROGRAM  
ACE-600  
(816) 426-4698

**New York**  
(Eastern Region)  
JFK International Airport  
Federal Building, Room 111  
Jamaica, NY 11430

20.100 AVIATION EDUCATION  
Joan Brown, AEA-60  
(718) 553-3363

20.106 AIRPORT IMPROVEMENT PROGRAM  
AEA-600  
(718) 553-3331

**Texas**  
(Southwestern Region)  
2601 Meacham Boulevard  
Fort Worth, TX 76137-4298

20.100 AVIATION EDUCATION  
Debra Myers, ASW-18B  
(817) 222-5833

20.106 AIRPORT IMPROVEMENT PROGRAM  
ASW-600  
(817) 222-5600

**Washington**  
(Northwest Mountain Region)  
1601 Lind Avenue, S.W.  
Renton, WA 98055-4056

20.100 AVIATION EDUCATION  
Connie Lacadie, ANM-4CL  
(425) 227-1725

20.106 AIRPORT IMPROVEMENT PROGRAM  
ANM-600  
(206) 227-2600

### FEDERAL HIGHWAY ADMINISTRATION

#### DIVISION OFFICES

**Alabama**  
Joe D. Wilkerson  
500 Eastern Boulevard, Suite 200  
Montgomery, AL 36117-2018  
(334) 223-7370

**Alaska**  
David Miller  
709 West 9th Street, Room 851  
P.O. Box 21648  
Juneau, AK 99802-1648  
(907) 586-7180

**Arizona**  
Robert E. Hollis  
234 North Central Avenue, Suite 330  
Phoenix, AZ 85004-2220  
(602) 379-3646

**Arkansas**



Sandra L. Otto  
700 West Capitol Avenue, Room 3130  
Little Rock, AR 72201-3298  
(501) 324-5625

**California**

Michael G. Ritchie  
980 9th Street, Suite 400  
Sacramento, CA 95814-2724  
(916) 498-5001

**Colorado**

William C. Jones  
555 Zang Street, Room 250  
Lakewood, CO 80228-1097  
(303) 969-6730, Ext. 3

**Connecticut**

Donald J. West  
628-2 Hebron Avenue, Suite 303  
Glastonbury, CT 06033-5007  
(860) 659-6703, Ext. 3009

**Delaware**

Tommy D. Myers  
300 South New Street, Room 2101  
Dover, DE 19904-0726  
(302) 734-5323

**District of Columbia**

Gary L. Henderson  
Union Center Plaza  
820 First Street, N.E., Suite 750  
Washington, DC 20002-4205  
(202) 523-0163

**Florida**

James E. St. James  
227 North Bronough Street  
Room 2015  
Tallahassee, FL 32301-1330  
(850) 942-9650

**Georgia**

Larry Dreihaupt  
61 Forsyth Street, S.W., Suite 17T100  
Atlanta, GA 30303-3104  
(404) 562-3630

**Hawaii**

Abraham Y. Wong  
Prince Jonah Kuhio  
Kalaniana'ole Federal Building  
300 Ala Moana Boulevard  
P.O. Box 50206, Room 3-306  
Honolulu, HI 96850-5000  
(808) 541-2700, Ext. 312

**Idaho**

Stephen Moreno  
3050 Lakeharbor Lane, Suite 126  
Boise, ID 83703-6243  
(208) 334-9180

**Illinois**

Norman R. Stoner  
3250 Executive Park Drive  
Springfield, IL 62703-4514  
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**Indiana**

Robert F. Talley, Jr.  
575 North Pennsylvania Street, Room 254

Indianapolis, IN 46204-1576  
(317) 226-7475

**Iowa**

Phil Barnes  
105 6th Street  
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(515) 233-7300

**Kansas**

J. Michael Bowen  
3300 South Topeka Boulevard, Suite 1  
Topeka, KS 66611-2237  
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**Kentucky**

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330 West Broadway  
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(502) 223-6720

**Louisiana**

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Tennessee)  
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**Region IV (Central)**

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**Region V (Southwestern)**

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**Region VI (Midwestern)**

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**Region VIII (Northwestern)**

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**Region I**

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#### **Region IV**

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#### **Region IX**

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#### **Region V**

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#### **Region VI**

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#### **Region VII**

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Charleston, WV 25305  
(304) 558-4010



## OFFICE OF PERSONNEL MANAGEMENT

### OPM SERVICE CENTERS

#### **Puerto Rico**

San Juan  
Plaza Laz Americans Tower  
525 Roosevelt Avenue, Room 1100  
Hato Rey, PR 00918  
(809) 766-5620

#### **Region II**

Alabama/Tennessee/Mississippi/Arkansas  
Huntsville  
520 Wynn Drive, N.W., 35816-3426  
(205) 837-1271

Pennsylvania, New York, Maryland,  
Massachusetts, New Hampshire, Connecticut,  
Delaware, Maine, New Jersey, Rhode Island,  
Vermont  
Philadelphia  
William J. Green, Jr. Federal Building  
Federal Building, Room 3400  
600 Arch Street  
Philadelphia, PA 19106-1596  
(215) 597-7670

Virginia  
Norfolk  
Federal Building, Room 500  
200 Granby Street  
Norfolk, VA 23510-1886  
(804) 441-3373

Georgia, Florida  
Atlanta  
Richard B. Russell Federal Building, Suite 956  
75 Spring Street, S.W.  
Atlanta, GA 30303-3109  
(404) 331-4588

North Carolina, South Carolina  
Raleigh  
4407 Bland Road, Suite 200, Somerset Park  
Raleigh, NC 27609-6296  
(919) 790-2817

Illinois  
Chicago  
John C. Kluzynski Federal Building-DPN 30-3  
230 South Dearborn Street  
Chicago, IL 60604-1687  
(312) 353-6234

Kansas, Missouri, Nebraska, Iowa, Illinois  
Kansas City  
Federal Building, Room 131  
601 East 12th Street  
Kansas City, MO 64106-2826  
(816) 426-5706

Michigan, Indiana, Kentucky, Northern Ohio  
Detroit  
477 Michigan Avenue, Room 594  
Detroit, MI 48226-2574  
(313) 226-2095

Minnesota, North Dakota, South Dakota,  
Wisconsin  
Twin Cities  
Bishop Henry Whipple Federal Building, Room

503  
One Federal Drive  
Ft. Snelling, MN 55111-4007  
(612) 725-3437

Ohio, Indiana, Kentucky, West Virginia  
Dayton  
U.S. Courthouse and Federal Building  
200 West 2nd Street, Room 507  
Dayton, OH 45402-0001  
(513) 225-2576

Colorado, Montana, Utah, Wyoming, New  
Mexico, Arizona  
Denver  
12345 West Alameda Parkway, Room 316  
P.O. Box 25167  
Denver, CO 80225-0001  
(303) 969-6931

Texas, Arkansas, Louisiana, Oklahoma, Nevada  
San Antonio  
8610 North Broadway, Room 305  
San Antonio, TX 78217-0001  
(210) 805-2423

California, Nevada  
San Francisco  
20 Howard Street, Room 735  
San Francisco, CA 94105-0001  
(415) 281-7074

Hawaii, Alaska, Pacific Overseas  
Honolulu (and Island of Oahu)  
Federal Building  
P.O. Box 50028  
300 Ala Moana Boulevard  
Honolulu, HI 96850-0001  
(808) 541-2795

Washington, Oregon, Idaho  
Seattle  
700 5th Avenue, Suite 5950  
Seattle, WA 98104-5012  
(206) 553-0870

# COMMISSION ON CIVIL RIGHTS

## REGIONAL OFFICES

### Central Regional Office

U.S. Commission on Civil Rights  
Melvin L. Jenkins, Regional Director  
Gateway Tower II  
400 State Avenue, Suite 908  
Kansas City, KS 66101  
(913) 551-1400  
(913) 551-1414 TDD

### Eastern Regional Office

U.S. Commission on Civil Rights  
Ki-Taek Chun, Regional Director  
624 9th Street NW, Suite 500  
Washington, DC 20425  
(202) 376-7533  
(202) 376-8116 TDD

### Midwestern Regional Office

U.S. Commission on Civil Rights  
Constance D. Davis, Regional Director  
55 West Monroe Street, Suite 410  
Chicago, IL 60603  
(312) 353-8311  
(312) 353-8362 TDD

### Rocky Mountain Regional Office

U.S. Commission on Civil Rights  
John F. Dulles, III  
1700 Broadway, Suite 710  
Denver, CO 80290  
(303) 866-1040  
(303) 866-1049 TDD

### Southern Regional Office

U.S. Commission on Civil Rights  
Bobby Doctor, Regional Director  
61 Alabama Street, SW, Suite 1840T  
Atlanta, GA 30303  
(404) 562-7000  
(404) 562-7004 TDD

### Western Regional Office

U.S. Commission on Civil Rights  
Philip Montez, Regional Director  
3660 Wilshire Boulevard, Room 810  
Los Angeles, CA 90010  
(213) 894-3437  
(213) 894-3435 TDD

# EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

## AREA OFFICES

### Arkansas

Katherine Kores, Acting Director  
820 Louisiana Street  
Suite 200  
Little Rock, AR 72201  
(501) 324-5060 Use the same number for FTS

### Kansas

James Neely, Acting Director  
400 State Avenue, Suite 905  
Kansas City, KS 66101  
(913) 551-5655 Use the same number for FTS

### Kentucky

Marcia Hall Craig, Director  
U.S. Post Office and Courthouse  
600 Martin Luther King Jr. Place, Room 268  
Louisville, KY 40202  
(502) 582-6082  
Use the same number for FTS

### Massachusetts

Robert L. Sanders, Director  
John F. Kennedy Federal Building,  
1 Congress Street, Room 475  
Boston, MA 02203-0506  
(617) 565-3200 Use the same number for FTS

### Minnesota

John Rowe, Acting Director  
330 South Second Avenue, Suite 430  
Minneapolis, MN 55401-2224  
(612) 335-4040 Use the same number for FTS

### Mississippi

Frederick King, Acting Director  
100 W. Capitol Street, Suite 207  
Jackson, MS 39269  
(601) 965-4537 Use the same number for FTS

### New Jersey

Corrado Gigante, Director  
One Newark Center, 21st Floor  
Newark, NJ 07102-5233  
(973) 645-6383  
Use the same number for FTS

### New Mexico

Georgia Marchbanks, Director  
505 Marquette Avenue, N.W., Suite 900  
Albuquerque, NM 87102-2189  
(505) 248-5201 Use the same number for FTS

### North Carolina

Richard E. Walz, Director  
1309 Annapolis Drive  
Raleigh, NC 27608-2129  
(919) 856-4064  
Use the same number for FTS

### Ohio

Wilma L. Javey, Director  
John W. Peck Federal Office Bldg.  
550 Main Street, Suite 10-019  
Cincinnati, OH 45202-3122  
(513) 684-2851 Use the same number for FTS

### Oklahoma

Donald Stevens, Director  
Oklahoma Tower  
210 Park Avenue, Suite 1350  
Oklahoma City, OK 73102-2265  
(405) 231-4911 Use the same number for FTS

### Pennsylvania

Joseph Hardiman, Director  
Liberty Center  
1001 Liberty Avenue, Suite 300  
Pittsburgh, PA 15222-4187  
(412) 644-3444 Use the same number for FTS

### Tennessee

Sarah Smith, Director  
50 Vantage Way, Suite 202  
Nashville, TN 37228  
(615) 736-5820 Use the same number for FTS

### Texas

Robert Calderon, Director  
300 East Main Street, Suite 500  
El Paso, TX 79901  
(915) 534-6700  
Use the same number for FTS

## FIELD OFFICES

### Colorado

Chester Bailey, Acting Director  
303 East 17th Avenue, Suite 510  
Denver, CO 80203-9634  
(303) 866-1300 Use the same number for FTS

### District of Columbia

Dana Hutter, Director  
1801 L Street, N.W.  
Washington, DC 20507  
(202) 275-7377 Use the same number for FTS

### Florida

Manuel Zurita, Director  
501 East Polk Street, Room 1000  
Tampa, FL 33602  
(813) 228-2310 Use the same number for FTS

### Louisiana

Keith Hill, Acting Director  
701 Loyola Avenue, Suite 600  
New Orleans, LA 70113-9936  
(504) 589-2329 Use the same number for FTS

### Maryland

Marie Tomasso, Acting Director  
City Crescent Building  
10 South Howard Street, 3rd Floor  
Baltimore, MD 21201  
(410) 962-3932 Use the same number for FTS

### Michigan

Gail Cober, Acting Director  
McNamara Federal Building  
477 Michigan Avenue, Suite 865  
Detroit, MI 48226-9704  
(313) 226-4600 Use the same number for FTS

### Ohio

Marie M. Tomasso, Acting Director  
Tower City, Skylight Office Tower  
1660 West 2nd Street, Suite 850

Cleveland, OH 44113-1454  
(216) 522-2001 Use the same number for FTS

### Texas

Pedro Esquivel, Director  
Mockingbird Plaza, Plaza II  
5410 Fredericksburg Road, Suite 200  
San Antonio, TX 78229-3555  
(210) 281-7600 Use the same number for FTS

### Washington

Luis Lucero, Director  
Federal Office Building  
909 First Avenue, Suite 400  
Seattle, WA 98104-1061  
(206) 220-6883 Use the same number for FTS

### Wisconsin

John Rowe, Acting Director  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 800  
Milwaukee, WI 53203-2292  
(414) 297-1111 Use the same number for FTS

## DISTRICT OFFICES

### Alabama

Bernice Williams-Kimbrough, Acting Director  
Ridge Park Place  
1130 22nd Street, South, Suite 2000  
Birmingham, AL 35205-2397  
(205) 212-2100 Use the same number for FTS

### Arizona

Chester Bailey, Director  
Norwest Tower  
3300 N. Central Avenue, Suite 690  
Phoenix, AZ 85012-2504  
(602) 640-5000 Use the same number for FTS

### California

Olophius Perry, Director  
255 E. Temple Avenue, 4th Floor  
Los Angeles, CA 90012  
(213) 894-5980 Use the same number for FTS

### H. Joan Ehrlich, Director

350 Embarcadero, Suite 500  
San Francisco, CA 94105-1687  
(415) 625-5600 Use the same number for FTS

### Florida

Federico Costales, Director  
One Biscayne Tower  
2 South Biscayne Boulevard, Suite 2700  
Miami, FL 33131  
(305) 536-4491  
Use the same number for FTS

### Georgia

Bernice Williams-Kimbrough, Director  
100 Alabama Street, Suite 4R30  
Atlanta, GA 30303  
(404) 562-6930  
Use the same number for FTS

### Illinois

John P. Rowe, Director  
500 West Madison Street, Suite 2800  
Chicago, IL 60661



(312) 353-2713  
Use the same number for FTS

#### **Indiana**

Dan Harter, Director  
Federal Building  
101 West Ohio Street, Suite 1900  
Indianapolis, IN 46204-4203  
(317) 226-7212 Use the same number for FTS

#### **Missouri**

James Neely, Director  
1222 Spruce Street, Room 8100  
St. Louis, MO 63103  
(314) 539-7800 Use the same number for FTS

#### **New York**

Spencer H. Lewis, Jr., Director  
33 Whitehall Street, 5th Floor  
New York, NY 10004-2112  
(212) 336-3620  
Use the same number for FTS

#### **North Carolina**

Rueben Daniels, Director  
129 West Trade Street, Suite 400  
Charlotte, NC 28202  
(704) 344-6682  
Use the same number for FTS

#### **Pennsylvania**

Marie M. Tomasso, Director  
Bourse Building  
21 South 5th Street, Suite 400  
Philadelphia, PA 19106-2515  
(215) 440-2623  
Use the same number for FTS

#### **Tennessee**

Katherine Kores, Director  
1407 Union Avenue, Suite 621  
Memphis, TN 38104  
(901) 544-0115 Use the same number for FTS

#### **Texas**

Michael Fetzer, Director  
207 South Houston Street, 3rd Floor  
Dallas, TX 75202-4726  
(214) 253-2700  
Use the same number for FTS

Jeanette Leino, Director  
Mickey Leland Building  
1919 Smith Street, 7th Floor  
Houston, TX 77002  
(713) 209-3320 Use the same number for FTS

#### **LOCAL OFFICES**

##### **California**

Bette Isiaka, Acting Director  
401 B Street, Suite 1550  
San Diego, CA 92101  
(619) 557-7235

Joyce A. Hendy, Director  
1301 Clay Street, Suite 1170-N  
Oakland, CA 94612-5217  
(510) 637-3230  
Use the same number for FTS

Michelle Nardella, Acting Director  
1265 West Shaw Avenue, Suite 103

Fresno, CA 93711  
(559) 487-5793 Use the same number for FTS

Hae Jung Atkins, Director  
96 North 3rd Street, Suite 200  
San Jose, CA 95112  
(408) 291-7353 Use the same number for FTS

##### **Georgia**

John Fitzgerald, Acting Director  
410 Mall Boulevard, Suite G  
Savannah, GA 31406-4821  
(912) 652-4234 Use the same number for FTS

##### **Hawaii**

Timothy A. Riera, Director  
300 Ala Moana Boulevard, Room 7-127  
P.O. Box 50082  
Honolulu, HI 96850-0051  
(808) 541-3120  
Use the same number for FTS

##### **New York**

Elizabeth Cadle, Director  
6 Fountain Plaza, Suite 350  
Buffalo, NY 14202  
(716) 551-4441  
Use the same number for FTS

##### **North Carolina**

Thomas Colclough, Director  
2303 West Meadowview Road, Suite 201  
Greensboro, NC 27407  
(336) 547-4188 Use the same number for FTS

##### **Puerto Rico**

Ozzie Black, Acting Director  
Plaza Las Americas  
525 F.D. Roosevelt Avenue, Suite 120L  
San Juan, PR 00918-8001  
(787) 771-1464 Use the same number for FTS

##### **South Carolina**

Patricia B. Fuller, Director  
301 N. Main Street, Suite 1402  
Greenville, SC 29601  
(803) 241-4400 Use the same number for FTS

##### **Virginia**

Herbert Brown, Director  
Federal Building  
200 Granby Street, Suite 739  
Norfolk, VA 23510  
(757) 441-3470 Use the same number for FTS

Patricia Glisson, Acting Director  
830 East Main Street, Suite 600  
Richmond, VA 23219  
(804) 771-2200 Use the same number for FTS

# FEDERAL COMMUNICATIONS COMMISSION

## DISTRICT OFFICES

### P.O. Box 1588

James H. Berrie, Jr., EIC  
Federal Communications Commission  
Grand Islands, NE 68802-1588  
(308) 382-4296 (recorded information at nights)

William C. Berry  
Federal Communications Commission  
U.S. Federal Building, Room 747  
San Juan Field Office  
747 Federal Building  
Hato Rey, PR 00918-1731  
(809) 766-5567

Oliver K. Long, EIC  
Federal Communications Commission  
P.O. Box 632  
Kingsville, TX 78363-0632  
(512) 592-2531

Gary P. Soulsby, EIC  
Federal Communications Commission  
11410 NE 122nd Way, Suite 312  
Kirkland, WA 98034-6927  
(206) 821-9037

Marlene S. Windel  
Federal Communications Commission  
6721 Raspberry Road  
Anchorage, AK 99502-1896  
(907) 243-2153

James R. Zoulek, EIC  
Federal Communications Commission  
18000 Studebaker Road, Room 660  
Cerritos, CA 90701-3684  
(310) 809-2096  
(310) 865-0598

William H. Grigsby, EIC  
Federal Communications Commission  
Interstate Office Park  
4542 Ruffner Street, Room 370  
San Diego, CA 92111-2216  
(619) 467-0549

Phil Kane, EIC  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2725  
(510) 732-9046  
Use the same number for FTS

Leo Cirbo, EIC  
Federal Communications Commission  
165 South Union Boulevard, Suite 860  
Lakewood, CO 80228-2213  
(303) 969-6497  
(303) 776-8026

John L. Theimer, EIC  
Federal Communications Commission  
Rochester Building, Room 310  
8390 N.W. 53rd Street  
Miami, FL 33166-4668  
(305) 526-7420

Ralph M. Barlow, EIC

Federal Communications Commission  
2203 North Lois Avenue, Room 1215  
Tampa, FL 33607-2356  
(813) 348-1502

Fred L. Broce, EIC  
Federal Communications Commission  
Koger Center-Gwinnett  
3575 Koger Boulevard, Room 320  
Duluth, GA 30136-4958  
(404) 279-4621

Jack Shedletsy, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318  
Use the same number for FTS

George M. Moffitt, EIC  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5401/02  
Use the same number for FTS

James C. Hawkins  
Federal Communications Commission  
800 West Commerce Road, Room 505  
New Orleans, LA 70123-3333  
(504) 589-2095

Vincent Kajunski, EIC  
Federal Communications Commission  
1Battery March Park  
Quincy, MA 02169-7495  
(617) 770-4023

James A. Bridgewater  
Federal Communications Commission  
24897 Hathaway Street  
Farmington Hills, MI 48335-1552  
(810) 471-5605  
Use the same number for FTS  
(810) 471-0052 (for recorded information)

Albert S. Jarratt, Jr., EIC  
Federal Communications Commission  
2025 Sloan Place, Suite 31  
Maplewood, MN 55117-2058  
(612) 774-5175

James A. Dailey, EIC  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895  
(816) 353-3773  
Use the same number for FTS

David Viglione, EIC  
Federal Communications Commission  
1307 Federal Building  
111 West Huron Street  
Buffalo, NY 14202-2398  
(716) 551-4511 (recorded information)

Alexander J. Zimny, EIC  
Federal Communications Commission

201 Varick Street  
New York, NY 10014-4870  
(212) 620-3437/8, 3435 (recorded information)  
(212) 660-3437, 3436 (recorded information)

Charles W. Craig, EIC  
Federal Communications Commission  
1782 Federal Building  
1220 S.W. Third Avenue  
Portland, OR 97204-2898  
(503) 326-4114/5

Donald E. Taylor, EIC  
Federal Communications Commission  
P.O. Box 85  
Powder Springs, GA 30073-0085  
(770) 943-5420  
(770) 242-0165

Jack Shedletsy, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318

Barry A. Bohac, EIC  
Federal Communications Commission  
P.O. Box 470  
Belfast, ME 04915-0470  
(207) 338-4088

John Hudak, EIC  
Federal Communications Commission  
P.O. Box 250  
Columbia, MD 21045-9998  
(301) 725-3474

Vacant  
Federal Communications Commission  
P.O. Box 89  
Allegan, MI 49010-9437  
(616) 673-2063

## REGIONAL DIRECTORS

Serge Marti-Volkoff  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2756  
(510) 732-9046

Russell D. Monie  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5405  
Use the same number for FTS

Dennis P. Carlton  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895  
(816) 353-9035  
Use the same number for FTS

## EQUIPMENT CONSTRUCTION AND INSTALLATION BRANCH

**William L. Kilpatrick, Chief**

Equipment Construction and Installation Branch  
Federal Communications Commission  
3600 Hiram-Lithia Spring Road, S.W.  
P.O. Box 65  
Powder Springs, GA 30073  
(404) 943-6425

**FOB MONITORING ASSISTANCE**

**Watch Officer**

Signal Analysis Branch  
1919 M Street, N.W., Room 749  
Enforcement Division  
Washington, DC 20554  
(202) 418-1180  
Use the same number for FTS

**FIELD OPERATIONS BUREAU**

**Beverly Baker, Chief**

Field Operations Bureau  
Federal Communications Commission  
1919 M Street, N.W., Room 734  
Washington, DC 20554-0001  
(202) 418-1100  
Use the same number for FTS



# FEDERAL MEDIATION AND CONCILIATION SERVICE

## REGIONAL OFFICES

### Midwestern Region

Mr. Jack Buettner, Regional Director  
6161 Oak Tree Boulevard, Suite 100  
Independence, OH 44131  
(216) 522-4805  
(216) 522-7541 FAX

### Northeastern Region

Mr. Kenneth C. Kowalski, Regional Director  
One Newark Center, 16th Floor  
Newark, NJ 17102  
(973) 645-2200  
(973) 297-4860 FAX

### Southern Region

Mr. Fred Reebals, Regional Director  
401 W. Peachtree Street, N.W., Suite 472  
Atlanta, GA 30308  
(404) 331-3995  
(404) 331-4017 FAX

### Upper Midwestern Region

Mr. Scot Beckenbaugh, Regional Director  
Broadway Place West, Suite 3950  
1300 Godward Street  
Minneapolis, MN 55413  
(612) 370-3300  
(612) 370-3104 FAX

### Western Region

Mr. Doug Hammond, Regional Director  
Westin Building, Suite 11000  
2001 Sixth Avenue  
Seattle, WA 98121  
(206) 553-5800  
(206) 553-6653 FAX

# GENERAL SERVICES ADMINISTRATION

## OFFICES OF PROPERTY DISPOSAL-PBS

### Mid Atlantic Region (National Capital)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudoun, and Prince Williams)

7th & Dst. SW  
Washington, DC 20407  
(202) 260-6438

### Region I

(Illinois, Indiana, Michigan, Wisconsin, Ohio, Minnesota, Maine, Vermont, New Hampshire, Rhode Island, Massachusetts, Connecticut, New York, New Jersey, Puerto Rico, and the Virgin Islands)

10 Causeway Street  
Boston, MA 02222  
(617) 565-5700

### Region IV

(Maryland, Delaware, Virginia, Pennsylvania, West Virginia, North Carolina, Mississippi, South Carolina, Tennessee, Georgia, Alabama, Florida, Kentucky and the District of Columbia)

401 W. Peachtree Street  
Atlanta, GA 30365-2550  
(404) 331-5133

### Region IX

(California, Nevada, Arizona, Hawaii, Guam, American Samoa, the Trust Territory of the Pacific Islands, Alaska, Idaho, Oregon, and Washington)

450 Golden Gate Avenue, 4th Floor East  
San Francisco, CA 94102-3429  
(415) 522-3429

### Region VII

(Kansas, Missouri, Iowa, Nebraska, Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Colorado, North Dakota, South Dakota, Montana, and Utah)

819 Taylor Street  
Fort Worth, TX 76102  
(817) 978-2331

## BUSINESS SERVICE CENTERS

### National Capital Region (NCR)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudoun, and Prince Williams Counties and the cities of Alexandria,

Business Service Center (WCAB)  
7th & D Streets, SW, Room 1050  
Washington, DC 20407  
(202) 708-5804

### Region 1

(New England Region- Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

Business Service Center (1AB)  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 901

Boston, MA 02222  
(617) 565-8100

### Region 10

(Northwest Arctic Region - Alaska, Idaho, Oregon, Washington)

Office of Small Business Utilization(10AB)  
400 15th Street, SW  
Auburn, WA 98001  
(253) 931-7956

### Region 2

(Northeast and Caribbean Region - New Jersey, New York, Puerto Rico, U.S. Virgin Islands)

Program Support Division(2AR)  
26 Federal Plaza, Room 18-130  
New York, NY 10278  
(212) 264-1234

### Region 3

(Mid-Atlantic Region - Delaware, Maryland (except Montgomery and Prince Georges Counties), Pennsylvania, Virginia (except Arlington, Fairfax, Loudoun, and Prince William counties and the city of Alexandria), West Virginia, New Jersey (Princeton down)

Small Business Center (3ADS)  
The Strawbridge Building  
20 North Eighth Street, 9th Floor  
Philadelphia, PA 19107  
(215) 446-4918

### Region 4

(Southeast Sunbelt Region - Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

Office of Small Business Utilization (4E)  
77 Forsyth Street, 6th Floor  
Atlanta, GA 30303  
(404) 331-5103

### Region 5

(Great Lakes Region - Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)

Small Business Utilization Center (5ADC)  
230 South Dearborn Street, Room 3718, Mail Stop: 37-5  
Chicago, IL 60604  
(888) 353-9893(312) 886-9893 FAX

### Region 6

(Heartland Region - Iowa, Kansas, Missouri, Nebraska)

Office of Business and Support Services (6ADB)  
1500 East Bannister Road, Room 1161  
Kansas City, MO 64131  
(816) 926-7203

### Region 7

(Greater Southwest Region - Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

Office of Enterprise Development (7ADB)  
819 Taylor Street, Room 1E13A  
Fort Worth, TX 76102  
(817) 978-0800

### Region 8

(Rocky Mountain Region - Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Business Service Center (8AB)

Denver Federal Center  
Building 41, Room 210  
P.O. Box 25006  
Denver, CO 80225  
(303) 236-7409

### Region 9

(Pacific Rim Region - Northern California, Hawaii, Nevada (except Clark County)

Office of Small Business Utilization(9ADB)  
San Francisco, CA 94102  
(415) 522-2700

## PROPERTY MANAGEMENT OFFICES (FSS)

### Central Office

General Services Administration  
Federal Supply Service  
1901 South Bell Street, Room 804  
Arlington, VA 22202  
(703) 605-5610

### Great Lakes Region

(Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin)

230 South Dearborn Street  
MS 34-6, Room 3430  
Chicago, IL 60604-1696  
(312) 886-8996

### Greater Southwest Region

(Arkansas, Louisiana, New Mexico, Oklahoma, and Texas)

819 Taylor Street, Room 3A05  
Fort Worth, TX 76102-6105  
(817) 978-3794

### Heartland Region

(Iowa, Kansas, Missouri, and Nebraska)

1500 East Bannister Road, Room 1102  
Kansas City, MO 64131  
(816) 823-3700

### Mid Atlantic (National Capital)

District of Columbia; the counties of Montgomery and Prince Georges in Maryland; the cities of Alexandria, Fairfax, and Falls Church and the counties of Arlington, Fairfax, Loudoun, and Prince William in Virginia

470 L'Enfant Plaza East, S.W., Suite 8100  
Washington, DC 20407  
(202) 619-8975

### Mid-Atlantic Region

(Delaware, Maryland, Pennsylvania, Virginia and West Virginia (except those areas in the National Capital Area)

Strawbridge's Building  
20 North 8th St., 10th Floor  
Philadelphia, PA 19107-3191  
(215) 446-5065

### New England Region

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont)

Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, 3rd Floor, Room 347  
Boston, MA 02222  
(617) 565-7319

**Northeast and Caribbean Region**

(New Jersey, New York, Puerto Rico, and U.S.  
Virgin Islands)  
26 Federal Plaza, Room 20-112  
New York, NY 10278  
(212) 264-3300

**Northwest/Arctic Region**

(Alaska, Idaho, Oregon, and Washington)  
400 15th Street, S.W.  
Auburn, WA 98001-6599  
(253) 931-7934

**Pacific Rim Region**

(American Samoa, Arizona, California,  
Commonwealth of the Northern Mariana Islands,  
Guam, Hawaii, and Nevada)  
450 Golden Gate Avenue  
San Francisco, CA 94102-3434  
(415) 522-3029

**Rocky Mountain Region**

(Colorado, Montana, North Dakota, South Dakota,  
Utah, and Wyoming)  
Denver Federal Center, Building 41  
P.O. Box 25506  
Denver, CO 80225-0506  
(303) 236-7700

**Southeast Sunbelt Region**

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina, and  
Tennessee)  
401 West Peachtree Street, Room 2600  
Atlanta, GA 30365  
(404) 331-0040



# NATIONAL LABOR RELATIONS BOARD

## REGIONAL, SUBREGIONAL, AND RESIDENT OFFICES

### Alabama

Information Officer  
Massey Building  
1900 3rd Avenue North, 3rd Floor  
Birmingham, AL 35203-3502  
(205) 731-1492  
Use the same number for FTS

### Alaska

Information Officer  
Anchorage Federal Office Building  
605 West 4th Avenue  
Suite 210  
Anchorage, AK 99501-2252  
(907) 271-5015 Use the same number for FTS

### Arizona

Information Officer  
Security Building  
234 North Central Avenue, Suite 440  
Phoenix, AZ 85004-2212  
(602) 379-3361  
Use the same number for FTS

### Arkansas

Information Officer  
425 West Capital Avenue  
Suite 1615  
Little Rock, AR 72201-3489  
(501) 324-6311 Use the same number for FTS

### California

Information Officer  
888 Figueroa Street, 9th Floor  
Los Angeles, CA 90017-5455  
(213) 894-5200  
Use the same number for FTS

Information Officer  
11150 W. Olympic Boulevard, Suite 700  
Los Angeles, CA 90064-1824  
(310) 575-7351  
Use the same number for FTS

Information Officer

Ronald V. Dellums Federal Building and  
Courthouse  
1301 Day Street  
Room 300N  
Oakland, CA 94612-5211  
(510) 637-3300 Use the same number for FTS

Information Officer

555 West Beech Street  
Suite 418  
San Diego, CA 92101-2939  
(619) 557-6184 Use the same number for FTS

Information Officer

901 Market Street  
Suite 400  
San Francisco, CA 94103-1735  
(415) 356-5130 Use the same number for FTS

### Colorado

Information Officer  
600 17th Street, 7th Floor, North Tower  
Denver, CO 80202-5433  
(303) 844-3551  
Use the same number for FTS

### Connecticut

Information Officer  
One Commercial Plaza, 21st Floor  
Hartford, CT 06103-3503  
(203) 240-3522  
Use the same number for FTS

### District of Columbia

Information Officer  
1099 14th Street, N.W., Suite 5530  
Washington, DC 20570-0001  
(202) 208-3000  
Use the same number for FTS

### Florida

Information Officer  
550 Water Street  
Room 340  
Jacksonville, FL 32202-5177  
(904) 232-3768 Use the same number for FTS

Information Officer  
Federal Building  
51 Southwest 1st Avenue, Room 1320  
Miami, FL 33130-1608  
(305) 536-5391  
Use the same number for FTS

Information Officer

201 E. Kennedy Boulevard  
Suite 530  
Tampa, FL 33602-5824  
(813) 228-2641 Use the same number for FTS

### Georgia

Information Officer  
233 Peachtree Street, N.E., Suite 1000  
Atlanta, GA 30303-1504  
(404) 331-2896  
Use the same number for FTS

### Hawaii

Information Officer  
300 Ala Moana Boulevard  
Room 7-245  
Honolulu, HI 96850-4980  
(808) 541-2814

Information Officer

300 Ala Moana Boulevard  
Room 7-245  
Honolulu, HI 96850-4980  
((808) 541-2814 Use the same number for FTS

### Illinois

Information Officer  
Rookery Building  
209 South LaSalle Street, Suite 900  
Chicago, IL 60604  
(312) 353-7570/FAX: (312) 886-1341

Information Officer

300 Hamilton Boulevard  
Suite 200  
Peoria, IL 61602-1246  
(309) 671-7080 Use the same number for FTS

### Indiana

Information Officer  
575 North Pennsylvania Street, Room 238  
Indianapolis, IN 46204-1577  
(317) 226-7382  
Use the same number for FTS

### Iowa

Information Officer  
210 Walnut Street, Suite 439  
Des Moines, IA 50309-2103  
(515) 284-4391  
Use the same number for FTS

### Kansas

Information Officer  
8600 Farley Street, Suite 100  
Overland Park, KS 66212-4677  
(913) 967-3000  
Use the same number for FTS

### Louisiana

Information Officer  
1515 Poydras Street, Room 610  
New Orleans, LA 70112-3723  
(504) 589-6361  
Use the same number for FTS

### Maryland

Information Officer  
103 South Gay Street, 8th Floor  
Baltimore, MD 21202-4061  
(410) 962-2822  
Use the same number for FTS

### Massachusetts

Information Officer  
10 Causeway Street, 6th Floor  
Boston, MA 02222-1072  
(617) 565-6700  
Use the same number for FTS

### Michigan

Information Officer  
477 Michigan Avenue, Room 300  
Detroit, MI 48226-2569  
(313) 226-3200  
Use the same number for FTS

Information Officer

82 Ionia N.W., Room 330  
Grand Rapids, MI 49503-3022  
(616) 456-2679 Use the same number for FTS

### Minnesota

Information Officer  
330 South Second Avenue, Suite 790  
Minneapolis, MN 55401-2221  
(612) 348-1757  
Use the same number for FTS

### Missouri

Information Officer

611 North 10th Street, Suite 400  
St. Louis, MO 63101-1214  
(314) 425-4167  
Use the same number for FTS

**Nevada**  
Information Officer  
600 Las Vegas Boulevard South, Suite 400  
Las Vegas, NV 89101-6637  
(702) 388-6416  
Use the same number for FTS

**New Jersey**  
Information Officer  
20 Washington Place-5th Floor  
Newark, NJ 07102-3110  
(973) 645-2100  
Use the same number for FTS

**New Mexico**  
Information Officer  
  
421 Gold Avenue SW  
Suite 310  
Albuquerque, NM 87102  
(505) 248-5125 Use the same number for FTS

**New York**  
Information Officer  
Clinton Avenue at N. Pearl Street, Room 342  
Albany, NY 12207-2350  
(518) 431-4156  
Use the same number for FTS

Information Officer  
Two MetroTech Center  
100 Myrtle Avenue  
5th Floor  
Brooklyn, NY 11201-4201  
(718) 330-7713 Use the same number for FTS

Information Officer  
  
130 South Elmwood Avenue  
6th Floor  
Buffalo, NY 14202-2465  
(716) 551-4931/FAX: (716) 551-4972

Information Officer  
  
26 Federal Plaza  
Room 3614  
New York, NY 10278-0104  
(212) 264-0300/FAX (202) 264-2450

**North Carolina**  
Information Officer  
4035 University Parkway, Suite 200  
Winston-Salem, NC 27106-3325  
(919) 631-5201  
Use the same number for FTS

**Ohio**  
Information Officer  
550 Main Street, Room 3003  
Cincinnati, OH 45202-3271  
(513) 684-3686  
Use the same number for FTS

Information Officer  
1240 East 9th Street, Room 1695  
Cleveland, OH 44199-2086

(216) 522-3715  
Use the same number for FTS

**Oklahoma**  
Information Officer  
224 South Boulder Avenue, Room 318  
Tulsa, OK 74103-4214  
(918) 581-7951  
Use the same number for FTS

**Oregon**  
Information Officer  
601 S.W. Second Avenue, Suite 1910  
Portland, OR 97204  
(503) 326-3085  
Use the same number for FTS

**Pennsylvania**  
Information Officer  
615 Chestnut Street, 7th Floor  
Philadelphia, PA 19016-4404  
(215) 597-7601  
Use the same number for FTS

Information Officer  
Two Chatham Center  
112 Washington Place, Suite 510  
Pittsburgh, PA 152219  
(412) 395-4400/FAX: (412) 395-5986

**Puerto Rico**  
Information Officer  
525 F.D. Roosevelt Avenue, Suite 1002  
San Juan, PR 00918-1002  
(809) 766-5347  
Use the same number for FTS

**Tennessee**  
Information Officer  
Brinkly Plaza Building  
80 Monroe Avenue, Suite 350  
Memphis, TN 38103-2481  
(901) 544-0018/FAX: (901) 544-0008

Information Officer  
  
810 Broadway  
Suite 320  
Nashville, TN 37203-3859  
(615) 736-5921 Use the same number for FTS

**Texas**  
Information Officer  
700 East San Antonio Avenue, Suite C403  
El Paso, TX 79901-7020  
(915) 534-6434  
Use the same number for FTS

Information Officer  
  
819 Taylor Street  
Room 8A24  
Fort Worth, TX 76102-6178  
(817) 978-2921 Use the same number for FTS

Information Officer  
  
Mickey Leland Federal Building  
1919 Smith Street  
Suite 1545  
Houston, TX 77002-2649  
(713) 209-4888/FAX (713) 209-4890

Information Officer  
Travis Park Plaza Building  
711 Navarro Street, Suite 705  
San Antonio, TX 78205-1711  
(210) 472-6140  
Use the same number for FTS

**Washington**  
Information Officer  
915 2nd Avenue, Room 2948  
Seattle, WA 98174-1078  
(206) 220-6300  
Use the same number for FTS

**Wisconsin**  
Information Officer  
310 West Wisconsin Avenue, Suite 700  
Milwaukee, WI 53203-2211  
(414) 297-3861  
Use the same number for FTS

## SMALL BUSINESS ADMINISTRATION

### REGIONAL OFFICES

#### Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
10 Causeway Street, Suite 812  
Boston, MA 02222  
(617) 565-8415 Use the same number for FTS

#### Region II

(New Jersey, New York, Puerto Rico, Virgin Islands)  
26 Federal Plaza, Suite 3108  
New York, NY 10278  
(212) 264-1450  
Use the same number for FTS

#### Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
900 Market Street, 5th Floor  
Philadelphia, PA 19107  
(215) 580-2SBA  
Use the same number for FTS

#### Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
1720 Peachtree Road, N.W., Suite 496  
Atlanta, GA 30309-2482  
(404) 347-4999  
Use the same number for FTS

#### Region IX

(Arizona, California, Hawaii, Nevada, Pacific Islands)  
330 N Brand Blvd., Suite 1200  
Glendale, CA 91203  
(818) 552-3436 Use the same number for FTS

#### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Federal Building  
500 West Madison Street, Suite 1250  
Chicago, IL 60661-2511  
(312) 353-4493 Use the same number for FTS

#### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
4300 Amon Carter Boulevard, Suite 108  
Ft. Worth, TX 76155  
(817) 684-5581 Use the same number for FTS

#### Region VII

(Iowa, Kansas, Missouri, Nebraska)  
323 West 8th Street, Suite 307  
Kansas City, MO 64105-1500  
(816) 374-6380  
Use the same number for FTS

#### Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
721 19th Street, Suite 400  
Denver, CO 80202-2599  
(303) 844-0500  
Use the same number for FTS

#### Region X

(Alaska, Idaho, Oregon, Washington)  
1200 6th Avenue, Suite 1805  
Seattle, WA 98101-1128  
(206) 553-5676  
Use the same number for FTS

### DISTRICT OFFICES

#### Region I

Massachusetts District Office  
10 Causeway Street, Room 265  
Boston, MA 02222-1093  
(617) 565-5561 Use the same number for FTS

#### Springfield Branch Office

One Federal Street  
Building 101-R  
Springfield, MA 01105  
(413) 785-0484

#### Maine District Office

Federal Building  
68 Sewall Street, Room 512  
Augusta, ME 04330  
(207) 622-8274 x 386 Use the same number for FTS

#### New Hampshire District Office

55 Pleasant Street, Suite 3101  
Concord, NH 03301-1257  
(603) 225-1400 Use the same number for FTS

#### Connecticut District Office

Federal Building  
330 Main Street, 2nd Floor  
Hartford, CT 06106  
(203) 240-4700  
Use the same number for FTS

#### Vermont District Office

Federal Building  
87 State Street, Room 205  
Montpelier, VT 05602  
(802) 828-4422  
Use the same number for FTS

#### Rhode Island District Office

380 Westminister Mall, 5th Floor  
Providence, RI 02903  
(401) 528-4561  
Use the same number for FTS

#### Region II

Puerto Rico and USVI District Office  
Federico Degetau Federal Building  
252 Ponce DeLeon Boulevard, Suite 201  
San Juan, PR 00918  
(787) 766-5002 Use the same number for FTS

#### Elmira Branch Office

333 E. Water Street, 4th Floor  
Elmira, NY 14901  
(607) 734-1571

#### Rochester Branch Office

100 State Street, Suite 410  
Rochester, NY 14614  
(716) 263-6700

#### Melville Branch Office

35 Pinelawn Road, Suite 207W  
Melville, NY 11747  
(516) 454-0750

#### New York District Office

26 Federal Plaza, Room 31-00  
New York, NY 10278  
(212) 264-1318 Use the same number for FTS

#### Buffalo District Office

Federal Building  
111 West Huron Street, Room 1311  
Buffalo, NY 14202  
(716) 551-4305 Use the same number for FTS

#### Syracuse District Office

401 South Salina Street, 5th Floor  
Syracuse, NY 13202  
(315) 471-9393  
Use the same number for FTS

#### New Jersey District Office

Two Gateway Center, 15th Floor  
Newark, NJ 07102  
(973) 645-3680 Use the same number for FTS

#### Region III

West Virginia District Office  
320 West Pike Street  
Clarksburg, WV 26301  
(304) 623-5631 Use the same number for FTS

#### Harrisburgh Branch Office

100 Chestnut Street, Suite 107  
Harrisburg, PA 17101  
(717) 782-3840

#### Wilkes-Barre Branch Office

7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6497

#### Delaware District Office

1007 North Orange Street, Suite 1120  
Wilmington, DE 19801  
(302) 573-6294

#### Philadelphia District Office

900 Market Street, 5th Floor  
Philadelphia, PA 19406  
(215) 580-2700 Use the same number for FTS

#### Pittsburgh District Office

411 Seventh Avenue, Suite 1450  
Pittsburgh, PA 15219  
(412) 395-6560 Use the same number for FTS

#### Richmond District Office

400 North 8th Street, Suite 1150  
Richmond, VA 23240-0126  
(804) 771-2400  
Use the same number for FTS

#### Metropolitan Area District Office

740 15th Street, 3rd Floor  
Washington, DC 20005  
(202) 272-0340 Use the same number for FTS

#### Baltimore District Office



10 South Howard Street, Suite 6220  
Baltimore, MD 21201-2565  
(410) 962-6195 Use the same number for FTS

**Region IV**

Alabama District Office  
801 Tom Martin Drive, Suite 201  
Birmingham, AL 35203-2398  
(205) 290-7101 Use the same number for FTS

North Carolina District Office  
6302 Fairview Road  
Suite 300  
Charlotte, NC 28210-2227  
(704) 344-6563 Use the same number for FTS

South Carolina District Office  
1835 Assembly Street, Room 358  
Columbia, SC 29201  
(803) 765-5377  
Use the same number for FTS

North Florida District Office  
7825 Baymeadows Way, Suite 100-B  
Jacksonville, FL 32256-7504  
(904) 443-1900  
Use the same number for FTS

South Florida District Office  
100 S. Biscayne Boulevard, 7th Floor  
Miami, FL 33131  
(305) 536-5521  
Use the same number for FTS

Georgia District Office  
233 Peachtree Street, NE  
Atlanta, GA 30303  
(404) 331-0100 Use the same number for FTS

Kentucky District Office  
Federal Building  
600 Martin Luther King, Jr. Place, Room 188  
Louisville, KY 40202  
(502) 582-5971  
Use the same number for FTS

Mississippi District Office  
210 E Capital Street, 210E  
Jackson, MS 39201  
(601) 965-4378 Use the same number for FTS

Gulfport Branch Office  
2510 14th Street, Suite 101  
Gulfport, MS 39501  
(228) 863-4449

Tennessee District Office  
50 Vantage Way, Suite 201  
Nashville, TN 37228-1500  
(615) 736-5850 Use the same number for FTS

**Region IX**

Hawaii District Office  
300 Ala Moana Boulevard, Room 2-235  
Honolulu, HI 96850-4981  
(808) 541-2990  
Use the same number for FTS

Guama Branch Office  
400 Route 8, Suite 302  
Hagatna, GU 96910-2003  
(671) 472-7419 Use the same number for FTS

Los Angeles District Office  
330 North Brand Boulevard, Suite 1200  
Glendale, CA 91203-2304  
(818) 552-3210 Use the same number for FTS

Fresno District Office  
2719 North Air Fresno Drive, Suite 200  
Fresno, CA 93727-1547  
(559) 487-5791  
Use the same number for FTS

San Francisco District Office  
455 Market Street, 6th Floor  
San Francisco, CA 94105  
(415) 744-6801 Use the same number for FTS

Arizona District Office  
2828 North Central Avenue, Suite 800  
Phoenix, AZ 85004-1093  
(602) 745-7200  
Use the same number for FTS

Sacramento District Office  
650 Capital Mall, Suite 7-5000  
Sacramento, CA 95814  
(916) 930-3700 Use the same number for FTS

Santa Ana District Office  
200 West Santa Ana Boulevard, Suite 700  
Santa Ana, CA 92701  
(714) 550-7420  
Use the same number for FTS

San Diego District Office  
550 West "C" Street, Suite 550  
San Diego, CA 92101-3540  
(619) 557-7250  
Use the same number for FTS

Nevada District Office  
400 South Fourth Street, Suite 250  
Las Vegas, NV 89101  
(702) 388-6611 Use the same number for FTS

**Region V**

Cincinnati Branch Office  
525 Vine Street, Suite 870  
Cincinnati, OH 45202  
(513) 684-2814

Cleveland District Office  
1350 Euclid Street, Suite 211  
Cleveland, OH 44115  
(216) 522-4180 Use the same number for FTS

Columbus District Office  
2 Nationwide Plaza, Suite 1400  
Columbus, OH 43215-2592  
(614) 469-6860  
Use the same number for FTS

Illinois District Office  
500 West Madison Street, Room 1250  
Chicago, IL 60661-2511  
(312) 353-4508 Use the same number for FTS

Springfield Branch Office  
511 W. Capitol Avenue, Suite 302  
Springfield, IL 62704  
(217) 492-4416

Indiana District Office  
429 North Pennsylvania Street, Suite 100

Indianapolis, IN 46204-1873  
(317) 226-7272  
Use the same number for FTS

Michigan District Office  
477 Michigan Avenue, Room 515  
Detroit, MI 48226  
(313) 226-7204 Use the same number for FTS

Marquette Branch Office  
501 South Front Street  
Marquette, MI 49855  
(906) 225-1108

Minnesota District Office  
100 North 6th Street, Suite 210-C  
Minneapolis, MN 55403-1563  
(612) 370-2306 Use the same number for FTS

Wisconsin District-Madison Office  
740 Regent Street, Suite 100  
Madison, WI 53715  
(608) 264-5263  
Use the same number for FTS

Wisconsin District-Milwaukee Office  
310 W. Wisconsin Avenue, Suite 400  
Milwaukee, WI 53202  
(414) 297-3941

**Region VI**

New Mexico District Office  
625 Silver Avenue, S.W., Suite 320  
Albuquerque, NM 87102  
(505) 346-7909  
Use the same number for FTS

Corpus Christi Branch Office  
3649 Leopard Street  
Suite 411  
Corpus Christi, TX 78408  
(361) 879-0017

Houston District Office  
8701 S. Gessner Drive  
Suite 1200  
Houston, TX 77074  
(713) 773-6500 Use the same number for FTS

Arkansas District Office  
2120 Riverfront Drive, Suite 100  
Little Rock, AR 72202  
(501) 324-5871  
Use the same number for FTS

Lubbock District Office  
1205 Texas Avenue, Rm 408  
Lubbock, TX 79401-2693  
(806) 472-7462 Use the same number for FTS

Lower Rio Grande Valley District Office  
222 East Van Buren Street, Room 500  
Harlingen, TX 78550  
(956) 427-8533  
Use the same number for FTS

Louisiana District Office  
365 Canal Street, Suite 2250  
New Orleans, LA 70130  
(504) 589-6685  
Use the same number for FTS

Oklahoma District Office

301 North 6th Street, Suite 116  
Oklahoma City, OK 73102  
(405) 609-8000 Use the same number for FTS

San Antonio District Office  
7319 San Pedro Bldg. #2  
Suite 200  
San Antonio, TX 78232  
(210) 403-5904 Use the same number for FTS

Dallas/Fort Worth District Office  
4300 Amon Center Boulevard, Suite 114  
Ft. Worth, TX 76155  
(817) 885-6500  
Use the same number for FTS

El Paso District Office  
10737 Gateway West, Suite 320  
El Paso, TX 79935  
(915) 633-7001  
Use the same number for FTS

#### **Region VII**

Des Moines District Office

New Federal Building  
210 Walnut Street, Room 749  
Des Moines, IA 50309  
(515) 284-4026 Use the same number for FTS

Springfield Branch Office  
830 East Primrose, Suite 101  
Springfield, MO 65807  
(417) 890-8501

Cedar Rapids District Office  
215 4th Avenue, S.E., Suite 200  
Cedar Rapids, IA 52401-1806  
(319) 362-6405 Use the same number for FTS

Nebraska District Office  
11145 Mill Valley Road  
Omaha, NE 68154  
(402) 221-4691 Use the same number for FTS

St. Louis District Office  
200 North Broadway  
Suite 1500  
St. Louis, MO 63102  
(314) 539-6600 Use the same number for FTS

Kansas City District Office  
323 West 8th Street, Suite 501  
Kansas City, MO 64105  
(816) 374-6708 Use the same number for FTS

Wichita District Office  
271 West Third Street North  
Suite 2500  
Wichita, KS 67202  
(316) 269-6566 Use the same number for FTS

#### **Region VIII**

Wyoming District Office  
Federal Building  
100 East B Street, Room 4001  
Casper, WY 82602-2839  
(307) 261-6500  
Use the same number for FTS

North Dakota District Office  
Federal Building  
657 2nd Avenue, North, Room 219

Fargo, ND 58108-3086  
(701) 239-5131  
Use the same number for FTS

Montana District Office  
301 South Park, Room 334  
Helena, MT 59626  
(406) 441-1081  
Use the same number for FTS

Utah District Office  
Federal Building  
125 South State Street, Room 2231  
Salt Lake City, UT 84138-1195  
(801) 524-5804  
Use the same number for FTS

South Dakota District Office  
110 South Phillips Avenue, Suite 200  
Sioux Falls, SD 57104-6727  
(605) 330-4243  
Use the same number for FTS

Colorado District Office  
721 19th Street, Room 426  
Denver, CO 80202-2599  
(303) 844-2607  
Use the same number for FTS

#### **Region X**

Alaska District Office  
222 West 8th Avenue, Room A36  
Anchorage, AK 99513-7559  
(907) 271-4022  
Use the same number for FTS

Boise District Office  
1020 Main Street, Suite 290  
Boise, ID 83702-5745  
(208) 334-1696  
Use the same number for FTS

Portland District Office  
1515 S.W. Fifth Avenue, Suite 1050  
Portland, OR 97201-5494  
(503) 326-2682  
Use the same number for FTS

Spokane District Office  
801 West Riverside Avenue, Suite 200  
Spokane, WA 99201-0901  
(509) 353-2809  
Use the same number for FTS

Seattle District Office  
1200 6th Avenue, Suite 1700 .  
Seattle, WA 98101-1128  
(206) 553-7310 Use the same number for FTS

#### **DISASTER AREA OFFICES**

##### **(Nationwide Processing)**

14925 Kingsport Rd.  
Ft. Worth, TX 76155-2243  
(817) 868-2300 Use the same number for FTS

##### **Center West (Covers Regions VI - X)**

6501 Sylvan Rd.  
Citrus Heights, CA 95610  
(916) 735-1500 Use the same number for FTS

##### **Disaster Assistance Customer Service Center (Nationwide Call Center)**

130 South Elmwood Street  
Buffalo, NY 14202-1192  
(716) 843-4100 Use the same number for FTS

##### **Disaster Assistance Field Operations Center East (Covers Regions I - V)**

One Baltimore Place, Suite 300  
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(614) 469-7441  
(614) 469-2125 FAX

**Oklahoma**

H. Zeke Rodriguez, Director  
215 Dean A. McGee, Suite 324  
Oklahoma City, OK 73102  
(405) 231-5201  
(405) 231-4329 FAX

**Oregon**

Robin Sutherland, Director  
2010 Lloyd Center  
Portland, OR 97232  
(503) 231-2103  
(503) 231-2106 FAX

**Pennsylvania**

Jorina Ahmed, Director  
Robert Nic Nix Federal Building

900 Market Street, Suite 229  
Philadelphia, PA 19107  
(215) 597-2806  
(215) 597-2807 FAX

**Puerto Rico/Virgin Island**

Loretta de Cordova, Director  
U.S. Federal Building, Suite 662  
150 Carlos Chardon Avenue  
Hato Rey, PR 00918-1737  
(787) 766-5314  
(787) 766-5189 FAX

**Rhode Island**

Vincent Marzullo, Director  
400 Westminister Street, Room 203  
Providence, RI 02903  
(401) 528-5424  
(401) 528-5220 FAX

**South Carolina**

Jerome J. Davis, Director  
1835 Assembly Street, Suite 872  
Columbia, SC 29201-2430  
(803) 765-5771  
(803) 765-5777 FAX

**South Dakota (and ND)**

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

**Tennessee**

Jerry Herman, Director  
265 Cumberland Bend Drive  
Nashville, TN 37228  
(615) 736-5561  
(615) 736-7937 FAX

**Texas**

Jerry G. Thompson, Director  
903 San Jacinto, Suite 130  
Austin, TX 78701-3747  
(512) 916-5671  
(512) 916-5806 FAX

**Utah**

Rick Crawford, Director  
350 South Main Street, Room 504  
Salt Lake City, UT 84101-2198  
(801) 524-5411  
(801) 524-3599 FAX

**Vermont (ME and NH)**

Mal Coles, Director  
10 Causeway Street, Room 473  
Boston, MA 02222-1038  
(617) 565-7001  
(617) 565-7011 FAX

**Virginia (and DC)**

Thomas Harmon, Director  
400 North 8th Street, Suite 446  
P.O. Box 10066  
Richmond, VA 23240-1832  
(804) 771-2197  
(804) 771-2157 FAX

**Washington**

John Miller, Director  
Jackson Federal Building, Suite 3190

915 Second Avenue  
Seattle, WA 98174-1103  
(206) 220-7745  
(206) 553-4415 FAX

**West Virginia**

Judith Russell, Director  
10 Hale Street, Suite 203  
Charleston, WV 25301-1409  
(304) 347-5246  
(304) 347-5464 FAX

**Wisconsin**

Linda Sunde, Director  
Henry Reuss Federal Plaza  
310 W. Wisconsin Avenue, Room 1240  
Milwaukee, WI 53203-2211  
(414) 297-1118  
(414) 297-1863 FAX

**Wyoming**

Patrick Gallizzi, Director  
Federal Building, Room 1110  
2120 Capitol Avenue  
Cheyenne, WY 82001-3649  
(307) 772-2385  
(307) 772-2389 FAX

**CORPORATION SERVICE CENTERS**

**Atlantic Cluster**

(CT,DE,MA,MD,ME,NH,NJ,NY,PA,PR,RI,VT)  
Rocco Gaudio, Director  
801 Arch Street, Suite 103  
Philadelphia, PA 19107-2416  
(215) 597-9972  
(215) 597-4933 FAX

**North Central Cluster**

(IA,IL,IN,MI,MN,NE,ND,OH,SD,WI)  
Mary Lubertozzi, Director  
77 West Jackson Boulevard, Suite 442  
Chicago, IL 60604-3511  
(312) 353-7705  
(312) 353-5343 FAX

**Pacific Cluster**

(AK,CA,HI,ID,MT,NV,OR,UT,WA,WY)  
Lee Spencer, Director  
P.O. Box 29996  
Presidio of San Francisco, CA 94129-0996  
(415) 561-5960  
(415) 561-5970 FAX

**Southern Cluster**

(AL,DC,FL,GA,KY,MS,NC,SC,TN,VA,WV)  
Harold Williams, Director  
60 Forsyth Street, SW, Suite 3M40  
Atlanta, GA 30323-2301  
(404) 562-4055  
(404) 562-4071 FAX

**Southeast Cluster**

(AR,AZ,CO,KS,LS,MO,NM,OK,TX)  
James Parker, Director  
1999 Bryan Street, Room 2050  
Dallas, TX 75201  
(214) 880-7050  
(214) 880-7074 FAX

# **SOCIAL SECURITY ADMINISTRATION**

## **SOCIAL SECURITY OFFICES**

Social security offices are located throughout cities and towns in the United States. There are approximately 1,296 district and branch offices now open. To find the address of the office near you, consult the telephone directory under Social Security Administration or U.S. Government, or ask at your post office.

# DEPARTMENT OF HOMELAND SECURITY

## REGIONAL OFFICES

(816) 283-7061

### Region I

(Boston)  
Kenneth L. Horak  
Acting Regional Director  
99 High Street  
6th Floor  
Boston, MA 02110  
(617) 223-9540

### Region VIII

(Denver)  
David Maurstad,  
Regional Director,  
FEMA Region VIII  
Denver Federal Center, Building 710, Box 25267  
Denver, CO 80225-0267  
(303) 235-4800

### Region II

(New York)  
Joseph Picciano, Acting Regional Director  
26 Federal Plaza, Suite 1307  
New York, NY 10278-0002  
(212) 680-3600

### Region X

(Seattle)  
John Pennington,  
Regional Director,  
FEMA Region X  
Federal Regional Center  
130-228th Street, S.W.  
Bothell, WA 98021-9796  
(425) 487-4600

### Region III

(Philadelphia)  
Patricia G. Arcuri,  
Acting Regional Director  
FEMA Region III  
615 Chestnut Street  
Philadelphia, PA 19106  
(215) 931-5608

### Region IV

(Atlanta)  
Kenneth O. Burris, Jr.,  
Regional Director,  
FEMA Region IV  
3003 Chamblee-Tucker Rd.  
Atlanta, GA 30341  
(770) 220-5200

### Region IX

(Oakland)  
Jeff Griffin  
Regional Director,  
FEMA Region IX  
1111 Broadway, Suite 1200  
Oakland, CA 94607  
(510) 627-7100

### Region V

(Chicago)  
Edward G. Buikema,  
Regional Director  
FEMA Region V  
536 S. Clark Street  
Chicago, IL 60605  
(312) 408-5500

### Region VI

(Dallas)  
Ron Castleman  
Regional Director  
Federal Regional Center  
800 North Loop 288  
Denton, TX 76201-3698  
(940) 898-5399

### Region VII

(Kansas City)  
Richard Hainje,  
Regional Director,  
FEMA Region VII  
2323 Grand Boulevard, Suite 900  
Kansas City, MO 64108-2670



# ELECTIONS ASSISTANCE COMMISSION

**DC**  
1225 New York Avenue, N.W.  
Suite 1100  
Washington, DC 20005  
202-566-3100

## Appendix V: Sources of Additional Information

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Additional information concerning Federal programs and services is available from the sources listed below. The information in this Appendix is in addition to that supplied in Appendix IV (Regional and Local Office Addresses) however; they are not the offices to which an applicant applies for an assistance program. If a potential applicant or information seeker is not certain which agency to contact, there are two types of organizations set up to help: The Federal Information Center Program and the Federal Executive Boards.

### FEDERAL CITIZEN INFORMATION CENTER PROGRAM

The Federal Citizen Information Center Program (FCIC) is a focal point for information about the Federal government. The FCIC assists people who have questions about Federal agencies, services, and programs, but do not know where to turn for an answer. FCIC information specialists either answer an inquirer's question directly, or perform the necessary research to locate and refer the inquirer to the expert best able to help. Telephone users may call the FCIC toll-free on (800) 688-9889 workdays between 9 a.m. and 8 p.m., Eastern Time. TTY users may call toll-free to the FCIC from anywhere in the U.S. by dialing (800) 326-2996.

### FEDERAL EXECUTIVE BOARDS

Federal Executive Boards (FEBs) are composed of heads of Federal field offices in the metropolitan area. The FEBs were established to improve internal Federal management practices, provide a central focus for Federal participation in civic affairs in major metropolitan centers of Federal activity, serve as a means for disseminating information within the Federal government and for promoting discussion of Federal policies and activities of importance to all Federal executives in the field. The FEBs carry out their functions under the supervision of the Office of Personnel Management (OPM). Federal Executive Associations, and Councils, have been locally organized in over 80 other metropolitan areas to perform functions similar to the Federal Executive Boards but on a lesser scale of organization and activity. For further information, contact the Assistant for Field Operations, Office of Personnel Management, Room 5524, 1900 E Street, NW., Washington, DC 20415-0001. Telephone: (202) 606-1001.

**Albuquerque-Santa Fe, NM**  
(505) 262-6113

**Atlanta, GA**  
(404) 331-4400

**Baltimore, MD**  
(410) 962-4047

**Boston, MA**  
(617) 565-6769

**Buffalo, NY**  
(716) 551-5655

**Chicago, IL**  
(312) 353-6790

**Cincinnati, OH**  
(513) 684-2102

**Cleveland, OH**  
(216) 433-9460

**Dallas-Ft. Worth, TX**  
(214) 767-0767

**Denver, CO**  
(303) 676-7009

**Detroit, MI**  
(313) 226-3534

**Honolulu, HI**  
(808) 541-2637

**Houston, TX**  
(713) 209-4524

**Kansas City, MO**  
(913) 551-7100

**Los Angeles, CA**  
(562) 980-3445

**Miami, FL**  
(305) 536-4344

**New Orleans, LA**  
(504) 862-2066

**New York, NY**  
(212) 264-1890

**Newark, NJ**  
(973) 645-6217

**Oklahoma City, OK**  
(405) 231-4167

**Philadelphia, PA**  
(215) 597-2766

**Pittsburgh, PA**  
(412) 395-6607

**Portland, OR**  
(503) 326-2060

**St. Louis, MO**  
(314) 539-6312

**San Antonio, TX**  
(210) 229-4520

**San Francisco, CA**  
(510) 637-1103

**Seattle, WA**  
(206) 220-6171

**Twin Cities (Minneapolis-St. Paul), MN**  
(612) 725-3687

## U.S. GOVERNMENT BOOKSTORES

The Catalog of Federal Domestic Assistance may be purchased at any of the following 24 U.S. Government Bookstores. The price is \$75.00 per domestic subscription and \$108.75 if mailed to an address outside of the United States. An order for the Catalog must be accompanied by a check or money order made payable to the Superintendent of Documents. Payments may also be made using VISA, MasterCard, and Superintendent of Documents deposit account orders. All stores (except in Kansas City) are open Monday through Friday. The Kansas City location is open 7 days a week. (See Subscription Order Form in the back of the Catalog.) Contact the U.S. Government Bookstore nearest to you for more information.

### ATLANTA, GA

First Union Plaza  
999 Peachtree Street, NE  
Suite 120  
Atlanta, GA 30309-3964  
(404) 347-1900  
FAX (404) 347-1897

### BIRMINGHAM, AL

O'Neill Building  
2021 Third Avenue North  
Birmingham, AL 35203  
(205) 731-1056  
FAX (205) 731-3444

### BOSTON, MA

Thomas P. O'Neill Building  
10 Causeway Street  
Room 169  
Boston, MA 02222  
(617) 720-4180  
FAX (617) 720-5753

### CHICAGO, IL

One Congress Center  
401 South State Street  
Suite 124  
Chicago, IL 60605  
(312) 353-5133  
FAX (312) 353-1590

### CLEVELAND, OH

1240 E. 9th Street  
Room 1653, Federal Building  
Cleveland, OH 44199  
(216) 522-4922  
FAX (216) 522-4714

### COLUMBUS, OH

200 N. High Street  
Room 207, Federal Building  
Columbus, OH 43215  
(614) 469-6956  
FAX (614) 469-5374

### DALLAS, TX

1100 Commerce Street  
Room 1C50, Federal Building  
Dallas, TX 75242  
(214) 767-0076  
FAX (214) 767-3239

### DENVER, CO

1660 Wynkoop Street

Suite 130  
Denver, CO 80202  
(303) 844-3964  
FAX (303) 844-4000

### DETROIT, MI

477 Michigan Avenue  
Suite 160, Federal Building  
Detroit, MI 48226  
(313) 226-7816  
FAX (313) 226-4698

### HOUSTON, TX

Texas Crude Building  
801 Travis Street  
Suite 120  
Houston, TX 77002  
(713) 228-1187  
FAX (713) 228-1186

### JACKSONVILLE, FL

100 West Bay Street  
Suite 100  
Jacksonville, FL 32202  
(904) 353-0569  
FAX (904) 353-1280

### KANSAS CITY, MO

120 Bannister Mall  
5600 E. Bannister Road  
Kansas City, MO 64137  
(816) 765-2256  
FAX (816) 767-8233

### LAUREL, MD

Warehouse Sales Outlet  
8660 Cherry Lane  
Laurel, MD 20707  
(301) 953-7974 or  
(301) 792-0262  
FAX (301) 498-9109

### LOS ANGELES, CA

ARCO Plaza, C-Level  
505 S. Flower Street  
Los Angeles, CA 90071  
(213) 239-9844  
FAX (213) 239-9848

### MILWAUKEE, WI

310 W. Wisconsin Avenue  
Suite 150, Reuss Federal Building  
Milwaukee, WI 53203  
(414) 297-1304  
FAX (414) 297-1300

### NEW YORK, NY

26 Federal Plaza  
Room 1-120, Federal Building  
New York, NY 10278  
(212) 264-3825  
FAX (212) 264-9318

### PHILADELPHIA, PA

Robert Morris Building  
100 North 17th Street  
Philadelphia, PA 19103  
(215) 636-1900  
FAX (215) 636-1903



**PITTSBURGH, PA**  
1000 Liberty Avenue  
Room 118, Federal Building  
Pittsburgh, PA 15222  
(412) 395-5021  
FAX (412) 395-4547

**PORTLAND, OR**  
1305 SW First Avenue  
Portland, OR 97201-5801  
(503) 221-6217  
FAX (503) 225-0563

**PUEBLO, CO**  
Norwest Bank Building  
201 West 8th Street  
Pueblo, CO 81003  
(719) 544-3142  
FAX (719) 544-6719

**SAN FRANCISCO, CA**  
303 2nd Street  
Marathon Plaza, Room 141-S  
San Francisco, CA 94107  
(415) 512-2270  
FAX (415) 512-2276

**SEATTLE, WA**  
915 Second Avenue  
Room 194, Federal Building  
Seattle, WA 98174  
(206) 553-4270  
FAX (206) 553-6717

**WASHINGTON, DC**  
U.S. Government Printing Office  
710 North Capitol Street, NW  
Washington, DC 20401  
(202) 512-0132  
FAX (202) 512-1355

510 H Street, NW  
Washington, DC 20005  
(202) 653-5075  
FAX (202) 376-5055

## REFERENCE SOURCES

### **The Budget of the United States Government**

The Budget of the United States Government sets forth the President's comprehensive financial plan and indicates the President's priorities for the Federal government.

Information on programs by function, agency, and account, and detailed budget estimates is located in the Budget. Federal programs listed in the Catalog may be identified by the 11-digit budget account identification code listed in the Budget. These codes also appear in the Financial Information section of each Catalog program. A complete explanation of the identification code is provided in Appendix III of the Catalog (the Budget Functional Code Appendix). The Budget may be purchased from the Government Printing Office in the Washington, DC area and the U.S. Government bookstores listed in this Appendix.

### **The Code of Federal Regulations**

The Code of Federal Regulations (CFR) is a codification of the general and permanent rules published in the Federal

Register by executive departments and agencies of the Federal government. It includes all statutory regulations of Federal agencies, and is divided into 50 titles, which represent broad subject areas of Federal regulations (e.g., Housing and Urban Development, Public Health, Public Welfare, or Transportation). Each title is divided into chapters, which usually bear the name of the issuing agency. Each chapter is further subdivided into parts covering specific regulatory areas. The number preceding the CFR citation is the title or volume number. The CFR is kept up-to-date by the individual issues of the Federal Register; these two publications must be used together to determine the latest version of any given rule. Individual volumes of the CFR are revised at least once each calendar year and issued on a staggered quarterly basis. The CFR thus serves as a convenient reference for the citizen desiring a comprehensive source for general and permanent Federal regulations.

A General index to the entire Code of Federal Regulations, the CFR Index, is revised as of July 1 each year. The numerical Finding Aids, a cumulative list of CFR Sections affected is published monthly and is cumulated for 12 months, keyed to the revision dates of the various CFR volumes.

The Code of Federal Regulations is available in Federal depository libraries and most major libraries or Federal bookstores. Individual copies may be purchased from the Government Printing Office.

### **The Federal Register**

The Federal Register, published daily, is the medium for making available to the public Federal agency regulations and other legal documents of the Executive Branch. These documents cover a wide range of government activities. Here, government requirements are published which involve environmental protection, consumer product safety, food and drug standards, occupational health and safety, and many more areas of concern to the public.

The Federal Register includes proposed changes in regulated areas. Each proposed change published carries an invitation for any citizen or group to participate in the consideration of the proposed regulation through the submission of written data, views, or arguments, and sometimes by oral presentations. Through the publication of proposed rules and notices of public meetings, citizens are given the opportunity to be informed about and participate in the workings of their government.

The Federal Register is also a vehicle for the announcement of newly authorized and/or funded programs, notifications of funding availability, (NOFAs), program application deadlines, and other important program information.

The Federal Register Index is based on a consolidation of entries appearing in the issues of the Federal Register together with broad references. It is published monthly and is cumulative for 12 months. The Federal Register and the Federal Register Index are available in Federal depository libraries and most major libraries or Federal bookstores. Additional Federal Register resources include, the Statistical Abstract of the United States; Weekly Compilation of Presidential Documents; The Federal Register: What It Is and How To Use It. All Federal Register publications may be purchased from: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

### **Information Resources for Legislative Research and Inquiry**

Senate Document Room: (202) 224-7701  
House Document Room: (202) 225-3456  
Government Printing Office Order Desk: (202) 512-1800

Federal Register Inquiry Desk: (202) 523-5215

The following World Wide Web Sites provide valuable additional information:

Senate: <http://www.senate.gov/>

House of Representatives: <http://www.house.gov/>

Library of Congress: <http://thomas.loc.gov/>

Government Printing Office: <http://www.gpo.gov/>

Office of Management and Budget:

<http://www.whitehouse.gov/omb/>

Additional resources available from GPO are: House and Senate Calendars (Monday edition only), How Our Laws Are Made, Digest of Public General Bills and Resolutions, United States Government Manual, Monthly Catalog of United States Government Publications. Stock numbers and prices of these publications can be obtained by calling or writing the GPO. To order or inquire about congressional documents from GPO, call: (202) 512-2465. To order or inquire about any other government publications, call the Order Desk: (202) 512-1800.

# Appendix VI: Developing and Writing Grant Proposals

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## **PART ONE: DEVELOPING A GRANT PROPOSAL**

### **Preparation**

A successful grant proposal is one that is well-prepared, thoughtfully planned, and concisely packaged. The potential applicant should become familiar with all of the pertinent program criteria related to the Catalog program from which assistance is sought. Refer to the information contact person listed in the Catalog program description before developing a proposal to obtain information such as whether funding is available, when applicable deadlines occur, and the process used by the grantor agency for accepting applications. Applicants should remember that the basic requirements, application forms, information and procedures vary with the Federal agency making the grant award.

Individuals without prior grant proposal writing experience may find it useful to attend a grantsmanship workshop. A workshop can amplify the basic information presented here. Applicants interested in additional readings on grantsmanship and proposal development should consult the references listed at the end of this section and explore other library resources.

## **INITIAL PROPOSAL DEVELOPMENT**

### **Developing Ideas for the Proposal**

When developing an idea for a proposal it is important to determine if the idea has been considered in the applicant's locality or State. A careful check should be made with legislators and area government agencies and related public and private agencies which may currently have grant awards or contracts to do similar work. If a similar program already exists, the applicant may need to reconsider submitting the proposed project, particularly if duplication of effort is perceived. If significant differences or improvements in the proposed project's goals can be clearly established, it may be worthwhile to pursue Federal assistance.

### **Community Support**

Community support for most proposals is essential. Once proposal summary is developed, look for individuals or groups representing academic, political, professional, and lay organizations which may be willing to support the proposal in writing. The type and caliber of community support is critical in the initial and subsequent review phases. Numerous letters of support can be persuasive to a grantor agency. Do not overlook support from local government agencies and public officials. Letters of endorsement detailing exact areas of project sanction and commitment are often requested as part of a proposal to a Federal agency. Several months may be required to develop letters of endorsement since something of value (e.g., buildings, staff, services) is sometimes negotiated between the parties involved.

Many agencies require, in writing, affiliation agreements (a mutual agreement to share services between agencies) and building space commitments prior to either grant approval or award. A useful method of generating community support may be to hold meetings with the top decision makers in the community who would be concerned with the subject matter of the proposal. The forum for discussion may include a query into the merits of the proposal, development of a contract of support for the proposal, to generate data in support of the proposal, or development of a strategy to create proposal support from a large number of community groups.

### **Identification of a Funding Resource**

A review of the Objectives and Uses and Use Restrictions sections of the Catalog program description can point out which programs might provide funding for an idea. Do not overlook the related programs as potential resources. Both the applicant and the grantor agency should have the same interests, intentions, and needs if a proposal is to be considered an acceptable candidate for funding.



Once a potential grantor agency is identified, call the contact telephone number identified in Information Contacts and ask for a grant application kit. Later, get to know some of the grantor agency personnel. Ask for suggestions, criticisms, and advice about the proposed project. In many cases, the more agency personnel know about the proposal, the better the chance of support and of an eventual favorable decision. Sometimes it is useful to send the proposal summary to a specific agency official in a separate cover letter, and ask for review and comment at the earliest possible convenience. Always check with the Federal agency to determine its preference if this approach is under consideration. If the review is unfavorable and differences cannot be resolved, ask the examining agency (official) to suggest another department or agency which may be interested in the proposal. A personal visit to the agency's regional office or headquarters is also important. A visit not only establishes face-to-face contact, but also may bring out some essential details about the proposal or help secure literature and references from the agency's library.

Federal agencies are required to report funding information as funds are approved, increased or decreased among projects within a given State depending on the type of required reporting. Also, consider reviewing the Federal Budget for the current and budget fiscal years to determine proposed dollar amounts for particular budget functions.

The applicant should carefully study the eligibility requirements for each Federal program under consideration (see the Applicant Eligibility section of the Catalog program description). The applicant may learn that he or she is required to provide services otherwise unintended such as a service to particular client groups, or involvement of specific institutions. It may necessitate the modification of the original concept in order for the project to be eligible for funding. Questions about eligibility should be discussed with the appropriate program officer.

Deadlines for submitting applications are often not negotiable. They are usually associated with strict timetables for agency review. Some programs have more than one application deadline during the fiscal year. Applicants should plan proposal development around the established deadlines.

## **Getting Organized to Write the Proposal**

Throughout the proposal writing stage keep a notebook handy to write down ideas. Periodically, try to connect ideas by reviewing the notebook. Never throw away written ideas during the grant writing stage. Maintain a file labeled "Ideas" or by some other convenient title and review the ideas from time to time. The file should be easily accessible. The gathering of documents such as articles of incorporation, tax exemption certificates, and bylaws should be completed, if possible, before the writing begins.

## **REVIEW**

### **Criticism**

At some point, perhaps after the first or second draft is completed, seek out a neutral third party to review the proposal working draft for continuity, clarity and reasoning. Ask for constructive criticism at this point, rather than wait for the Federal grantor agency to volunteer this information during the review cycle. For example, has the writer made unsupported assumptions or used jargon or excessive language in the proposal?

### **Signature**

Most proposals are made to institutions rather than individuals. Often signatures of chief administrative officials are required. Check to make sure they are included in the proposal where appropriate.

### **Neatness**

Proposals should be typed, collated, copied, and packaged correctly and neatly (according to agency instructions, if any). Each package should be inspected to ensure uniformity from cover to cover. Binding may require either clamps or hard covers. Check with the Federal agency to determine its preference. A

neat, organized, and attractive proposal package can leave a positive impression with the reader about the proposal contents.

## **Mailing**

A cover letter should always accompany a proposal. Standard U.S. Postal Service requirements apply unless otherwise indicated by the Federal agency. Make sure there is enough time for the proposals to reach their destinations. Otherwise, special arrangements may be necessary. Always coordinate such arrangements with the Federal grantor agency project office (the agency which will ultimately have the responsibility for the project), the grant office (the agency which will coordinate the grant review), and the contract office (the agency responsible for disbursement and grant award notices), if necessary.

## **PART TWO: WRITING THE GRANT PROPOSAL**

### **The Basic Components of a Proposal**

There are eight basic components to creating a solid proposal package: (1) the proposal summary; (2) introduction of organization; (3) the problem statement (or needs assessment); (4) project objectives; (5) project methods or design; (6) project evaluation; (7) future funding; and (8) the project budget. The following will provide an overview of these components.

### **The Proposal Summary: Outline of Project Goals**

The proposal summary outlines the proposed project and should appear at the beginning of the proposal. It could be in the form of a cover letter or a separate page, but should definitely be brief -- no longer than two or three paragraphs. The summary would be most useful if it were prepared after the proposal has been developed in order to encompass all the key summary points necessary to communicate the objectives of the project. It is this document that becomes the cornerstone of your proposal, and the initial impression it gives will be critical to the success of your venture. In many cases, the summary will be the first part of the proposal package seen by agency officials and very possibly could be the only part of the package that is carefully reviewed before the decision is made to consider the project any further.

The applicant must select a fundable project which can be supported in view of the local need. Alternatives, in the absence of Federal support, should be pointed out. The influence of the project both during and after the project period should be explained. The consequences of the project as a result of funding should be highlighted.

### **Introduction: Presenting a Credible Applicant or Organization**

The applicant should gather data about its organization from all available sources. Most proposals require a description of an applicant's organization to describe its past and present operations. Some features to consider are:

- A brief biography of board members and key staff members.
- The organization's goals, philosophy, track record with other grantors, and any success stories.
- The data should be relevant to the goals of the Federal grantor agency and should establish the applicant's credibility.

### **The Problem Statement: Stating the Purpose at Hand**

The problem statement (or needs assessment) is a key element of a proposal that makes a clear, concise, and well-supported statement of the problem to be addressed. The best way to collect information about the problem is to conduct and document both a formal and informal needs assessment for a program in the target or service area. The information provided should be both factual and directly related to the problem addressed by the proposal. Areas to document are:

- The purpose for developing the proposal.

- The beneficiaries -- who are they and how will they benefit.
- The social and economic costs to be affected.
- The nature of the problem (provide as much hard evidence as possible).
- How the applicant organization came to realize the problem exists, and what is currently being done about the problem.
- The remaining alternatives available when funding has been exhausted. Explain what will happen to the project and the impending implications.
- Most importantly, the specific manner through which problems might be solved. Review the resources needed, considering how they will be used and to what end.

There is a considerable body of literature on the exact assessment techniques to be used. Any local, regional, or State government planning office, or local university offering course work in planning and evaluation techniques should be able to provide excellent background references. Types of data that may be collected include: historical, geographic, quantitative, factual, statistical, and philosophical information, as well as studies completed by colleges, and literature searches from public or university libraries. Local colleges or universities which have a department or section related to the proposal topic may help determine if there is interest in developing a student or faculty project to conduct a needs assessment. It may be helpful to include examples of the findings for highlighting in the proposal.

### **Project Objectives: Goals and Desired Outcome**

Program objectives refer to specific activities in a proposal. It is necessary to identify all objectives related to the goals to be reached, and the methods to be employed to achieve the stated objectives. Consider quantities or things measurable and refer to a problem statement and the outcome of proposed activities when developing a well-stated objective. The figures used should be verifiable. Remember, if the proposal is funded, the stated objectives will probably be used to evaluate program progress, so be realistic. There is literature available to help identify and write program objectives.

### **Program Methods and Program Design: A Plan of Action**

The program design refers to how the project is expected to work and solve the stated problem. Sketch out the following:

- The activities to occur along with the related resources and staff needed to operate the project (inputs).
- A flow chart of the organizational features of the project. Describe how the parts interrelate, where personnel will be needed, and what they are expected to do. Identify the kinds of facilities, transportation, and support services required (throughputs).
- Explain what will be achieved through 1 and 2 above (outputs); i.e., plan for measurable results. Project staff may be required to produce evidence of program performance through an examination of stated objectives during either a site visit by the Federal grantor agency and or grant reviews which may involve peer review committees.
- It may be useful to devise a diagram of the program design. For example, draw a three column block. Each column is headed by one of the parts (inputs, throughputs and outputs), and on the left (next to the first column) specific program features should be identified (i.e., implementation, staffing, procurement, and systems development). In the grid, specify something about the program design, for example, assume the first column is labeled inputs and the first row is labeled staff. On the grid one might specify under inputs five nurses to operate a child care unit. The



throughput might be to maintain charts, counsel the children, and set up a daily routine; outputs might be to discharge 25 healthy children per week. This type of procedure will help to conceptualize both the scope and detail of the project.

- Wherever possible, justify in the narrative the course of action taken. The most economical method should be used that does not compromise or sacrifice project quality. The financial expenses associated with performance of the project will later become points of negotiation with the Federal program staff. If everything is not carefully justified in writing in the proposal, after negotiation with the Federal grantor agencies, the approved project may resemble less of the original concept. Carefully consider the pressures of the proposed implementation, that is, the time and money needed to acquire each part of the plan. A Program Evaluation and Review Technique (PERT) chart could be useful and supportive in justifying some proposals.
- Highlight the innovative features of the proposal which could be considered distinct from other proposals under consideration.
- Whenever possible, use appendices to provide details, supplementary data, references, and information requiring in-depth analysis. These types of data, although supportive of the proposal, if included in the body of the design, could detract from its readability. Appendices provide the proposal reader with immediate access to details if and when clarification of an idea, sequence or conclusion is required. Time tables, work plans, schedules, activities, methodologies, legal papers, personal vitae, letters of support, and endorsements are examples of appendices.

## **Evaluation: Product and Process Analysis**

The evaluation component is two-fold: (1) product evaluation; and (2) process evaluation. Product evaluation addresses results that can be attributed to the project, as well as the extent to which the project has satisfied its desired objectives. Process evaluation addresses how the project was conducted, in terms of consistency with the stated plan of action and the effectiveness of the various activities within the plan.

Most Federal agencies now require some form of program evaluation among grantees. The requirements of the proposed project should be explored carefully. Evaluations may be conducted by an internal staff member, an evaluation firm or both. The applicant should state the amount of time needed to evaluate, how the feedback will be distributed among the proposed staff, and a schedule for review and comment for this type of communication. Evaluation designs may start at the beginning, middle or end of a project, but the applicant should specify a start-up time. It is practical to submit an evaluation design at the start of a project for two reasons:

- Convincing evaluations require the collection of appropriate data before and during program operations; and,
- If the evaluation design cannot be prepared at the outset then a critical review of the program design may be advisable.

Even if the evaluation design has to be revised as the project progresses, it is much easier and cheaper to modify a good design. If the problem is not well defined and carefully analyzed for cause and effect relationships then a good evaluation design may be difficult to achieve. Sometimes a pilot study is needed to begin the identification of facts and relationships. Often a thorough literature search may be sufficient.

Evaluation requires both coordination and agreement among program decision makers (if known). Above all, the Federal grantor agency's requirements should be highlighted in the evaluation design. Also, Federal grantor agencies may require specific evaluation techniques such as designated data formats (an existing information collection system) or they may offer financial inducements for voluntary participation in a national evaluation study. The applicant should ask specifically about these points. Also, consult the

Criteria For Selecting Proposals section of the Catalog program description to determine the exact evaluation methods to be required for the program if funded.

### **Future Funding: Long-Term Project Planning**

Describe a plan for continuation beyond the grant period, and/or the availability of other resources necessary to implement the grant. Discuss maintenance and future program funding if program is for construction activity. Account for other needed expenditures if program includes purchase of equipment.

### **The Proposal Budget: Planning the Budget**

Funding levels in Federal assistance programs change yearly. It is useful to review the appropriations over the past several years to try to project future funding levels (see Financial Information section of the Catalog program description).

However, it is safer to never anticipate that the income from the grant will be the sole support for the project. This consideration should be given to the overall budget requirements, and in particular, to budget line items most subject to inflationary pressures. Restraint is important in determining inflationary cost projections (avoid padding budget line items), but attempt to anticipate possible future increases.

Some vulnerable budget areas are: utilities, rental of buildings and equipment, salary increases, food, telephones, insurance, and transportation. Budget adjustments are sometimes made after the grant award, but this can be a lengthy process. Be certain that implementation, continuation and phase-down costs can be met. Consider costs associated with leases, evaluation systems, hard/soft match requirements, audits, development, implementation and maintenance of information and accounting systems, and other long-term financial commitments.

A well-prepared budget justifies all expenses and is consistent with the proposal narrative. Some areas in need of an evaluation for consistency are: (1) the salaries in the proposal in relation to those of the applicant organization should be similar; (2) if new staff persons are being hired, additional space and equipment should be considered, as necessary; (3) if the budget calls for an equipment purchase, it should be the type allowed by the grantor agency; (4) if additional space is rented, the increase in insurance should be supported; (5) if an indirect cost rate applies to the proposal, the division between direct and indirect costs should not be in conflict, and the aggregate budget totals should refer directly to the approved formula; and (6) if matching costs are required, the contributions to the matching fund should be taken out of the budget unless otherwise specified in the application instructions.

It is very important to become familiar with Government-wide circular requirements. The Catalog identifies in the program description section (as information is provided from the agencies) the particular circulars applicable to a Federal program, and summarizes coordination of Executive Order 12372, "Intergovernmental Review of Programs" requirements in Appendix I. The applicant should thoroughly review the appropriate circulars since they are essential in determining items such as cost principles and conforming with Government guidelines for Federal domestic assistance.

### **GUIDELINES AND LITERATURE**

United States Government Manual  
Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402

OMB Circular Nos. A-87, A-102, A-110, and A-133, and Executive Order 12372:  
Publications Office  
Office of Administration  
Room 2200, 725 Seventeenth Street, NW.  
Washington, DC 20503

## **Government Printing Office (GPO) Resources**

The government documents identified above as available from the GPO can be requested (supply the necessary identifying information) by writing to:

Superintendent of Documents  
Government Printing Office  
Washington, DC 20402

## **Regional and Federal Depository Libraries**

Regional libraries can arrange for copies of Government documents through an interlibrary loan. All Federal Depository Libraries will receive copies of the Catalog directly. A list of depository and regional libraries is available by writing: Chief, Library Division, Superintendent of Documents, Stop SLL, Washington, DC 20402.



## Appendix VII: Historical Profile of Catalog Programs

The following list shows all programs printed in the *Catalog of Federal Domestic Assistance* beginning with the 1965 edition and the subsequent action taken related to that program.

For the years 1965, 1967, and 1969 the programs did not have numbers. They were identified only by their titles. Therefore, the first part of each agency listing shows programs by their title if they were in existence before 1970. The program numbering system was instituted in 1970.

The first line shows the number and title of the program when it was added to the *Catalog*. The second and subsequent lines show the year the program was added and any additional transactions, e.g., title changes, transfers, deletes, consolidations, agency reorganizations, number changes, etc., that may have followed. The alphabet B or U that follows a given year, indicates the transaction was made either in the basic (B) or the update (U) publication of the *Catalog*. In some instances, there is also a U1 and U2 behind the year. The U1 and U2 are the first and second updates respectively, published that year.

### DEPARTMENT OF AGRICULTURE

Agricultural Stabilization Programs (1965B)  
 Agricultural Production Stabilization (1969B)  
 Deleted (1970B)  
 Cooperative Agriculture and Forestry Research Program (1965B)  
 Cooperative Forestry Research (1969B)  
 Deleted (1970B)  
 Cooperative Extension Service (1965B)  
 Split into 10.500, 10.501, 10.502, 10.503, 10.504, 10.505, 10.506, 10.507, 10.508, 10.509 (1970B)  
 Economic Research Service (1965B)  
 Deleted (1970B)  
 Farmers Home Administration-Financial Assistance to Small Towns and Rural Groups (1965B)  
 Deleted (1969B)  
 Farmers Home Administration-Housing for Senior Citizens (1965B)  
 Deleted (1969B)  
 Farmers Home Administration-Loans for Forestry Purposes (1965B)  
 Farm Forestry Loans (1969B)  
 Deleted (1970B)  
 Farmers Home Administration-Loans for Recreational Purposes (1965B)  
 Deleted (1969B)  
 Farmers Home Administration-Rural Renewal Loans to Public Agencies (1965B)  
 Deleted (1969B)  
 Forestry Research (1965B)  
 Deleted (1969B)  
 Land Stabilization, Conservation, and Erosion Control in Appalachia (1965B)  
 Deleted (1969B)  
 Timber Development Organizations in Appalachia (1965B)  
 Deleted (1967B)  
 Administration and Research in Economic Development Programs in Appalachia (1965B)  
 Transferred to the Department of Commerce (1967B)  
 Cropland Adjustment Program (1967B)  
 Deleted (1969B)  
 Payments to Counties, National Grasslands, and Land Utilization Projects (1967B)  
 Deleted (1969B)  
 Payments to States with National Forests (1967B)  
 Deleted (1969B)

Appalachian Region Conservation (1969B)  
 Deleted (1970B)  
 Agricultural Market Supervision and Regulation (1969B)  
 Deleted (1970B)  
 Agricultural Experiment Stations (1969B)  
 Deleted (1970B)  
 National Forests-Shared Revenues (1969B)  
 Deleted (1970B)  
 Timber Management (1969B)  
 Deleted (1970B)  
 10.001 Agricultural Research Service (1965B)  
 Agricultural Research-Basic and Applied Research (1969B)  
 Number changed to 10.875 (1978B)  
 Number changed from 10.875 (1981U)  
 10.002 Plant and Animal Disease and Plant Control (1969B)  
 Number changed to 10.025 (1972B)  
 10.003 Morrill-Nelson Funds for Food and Agricultural Higher Education (1983U)  
 Transferred from 84.135 (1983U)  
 Transferred to 10.210 (1985U)  
 10.025 Plant and Animal Disease and Pest Control (1972B)  
 Number changed from 10.002 (1972B)  
 Plant and Animal Disease, Pest Control, and Animal Care (1990B)  
 10.026 Assistance to States for Intrastate Meat and Poultry Inspection (1972U)  
 Number changed from 10.151 (1972U)  
 Number changed to 10.475 (1977U)  
 10.027 Meat and Poultry Inspection (1972U)  
 Number changed from 10.157 (1972U)  
 Number changed to 10.477 (1977U)  
 10.028 Animal Damage Control (1986B)  
 Transferred from 15.601 (1986B)  
 Wildlife Services (1997U)  
 10.029 Avian Influenza Indemnity Program (2003B)  
 10.050 Agricultural Conservation Program (1965B)  
 Agricultural Conservation (1970B)  
 Rural Environmental Assistance (1971B)  
 Deleted (1973B)  
 10.051 Price-Support Programs for the Agricultural Stabilization and Conservation Service (1965B)  
 Agricultural Price-Support (1969B)  
 Commodity Loans and Purchases (1970B)  
 Commodity Loans and Loan Deficiency Payments (1999B)  
 10.052 Cotton Production Stabilization (1970B)  
 Split from 10.055 (1970B)  
 Incorporated into 10.055 (1997B)  
 10.053 Dairy Farmer Indemnity Payments (1969B)  
 Dairy Indemnity Payments (1970B)  
 Dairy Indemnity Program (1984B)  
 10.054 Emergency Conservation Measures (1970B)  
 Emergency Conservation Program (1978U)  
 10.055 Feed Grain Direct Payments (1970B)

Direct and Counter-cyclical Payments Program (2005)	10.071	Federal-State Cooperation in Warehouse Examination Agreement (1987U) Deleted (2000B)
Direct and Counter-cyclical Payments Program (2005)		
Direct and Counter-cyclical Payments Program (2005)	10.072	Wetlands Reserve Program (1992B)
Split into 10.052, 10.055, 10.058 (1970B)	10.073	Crop Disaster Program (2000U)
Feed Grain Production Stabilization (1971B)	10.075	Special Apple Program (2001B)
Production Flexibility Payments for Contract Commodities (1997B)	10.076	Emergency Loan for Seed Producers (2001B)
Incorporated from 10.052, 10.058, 10.065 (1997B)	10.077	Livestock Compensation Program (2003B)
10.056 Storage Facilities and Equipment Loans (1970B)	10.078	Bioenergy Program (2003B)
Deleted (1989B)	10.079	Bill Emerson Humanitarian Trust (2003B)
Farm Storage Facility Loans, Reinstated (2001B)	10.080	Milk Income Loss Contract Program (2004)
10.057 Sugar Program (1969B)	10.081	Lamb Meat Adjustment Assistance Program (2004)
Sugar Production Stabilization (1971B)	10.082	Tree Assistance Program (2004)
Deleted (1975B)	10.083	Tobacco Loss Assistance Program (2004)
10.058 Wheat Direct Payments (1970B)	10.084	Dairy Market Loss Assistance Program (2008)
Split from 10.055 (1970B)	10.085	Tobacco Transition Payment Program (2005)
Wheat Production Stabilization (1971B)	10.100	Agricultural Futures Markets Supervision (1971B) Transferred to 78.001 (1975U)
Incorporated into 10.055 (1997B)	10.140	Minority Research and Teaching Grants (1986B) Minority Research and Teaching Program Grants (1990B) Minority Research and Teaching Programs Grants (1990U) Special Emphasis Outreach Programs Grants (1991B) Deleted (1997B)
10.059 Wool and Mohair Payments (1970B)	10.150	Agricultural Product Grading (1969B) Consolidated into 10.162 (1982B)
National Wool Act Payments (1973B)	10.151	Meat and Poultry Inspection (1969B) Assistance to States for Intrastate Meat and Poultry Inspection (1970B) Number changed to 10.026 (1972U)
Deleted (1997B)	10.152	Export Payments on Agricultural Products (1970B) Split from 10.157 (1970B) Deleted (1973B)
Shorn Wool and Unshorn Lambs (Pulled Wool) and Mohair Payments (1971B)	10.153	Market News Service for Agricultural Products (1969B) Market News (1970B)
10.060 Beekeeper Indemnity Payments (1971U)	10.154	Market Supervision (1970B) Market Supervision and Assistance (1982B) Market Development and Assistance (1983B) Incorporated into 10.163 (1984B)
Deleted (1982B)	10.155	Agricultural Marketing Agreements and Orders (1969B) Marketing Agreements and Orders (1970B)
10.061 Emergency Livestock Feed Program (1972B)	10.156	Agricultural Marketing Studies and Services (1969B) Marketing Services Matching-Fund Grants (1970B) Federal-State Marketing Improvement Program (1973B)
Deleted (1977B)	10.157	Agricultural Futures Market Supervision (1969B) Meat and Poultry Inspection (1970B) Number changed to 10.027 (1972U)
10.062 Water Bank Program (1972B)	10.158	Plentiful Foods Program (1969B) Plentiful Foods (1970B) Deleted (1973U)
Deleted (1973B)	10.159	Livestock and Poultry Market Supervision (1978B) Number changed from 10.800 (1978B) Number changed to 10.800 (1981U)
Reinstated (1974B)		
Deleted (2006)		
10.063 Rural Environmental Conservation Program (1974B)		
Agricultural Conservation Program (1975B)		
Deleted (1997B)		
10.064 Forestry Incentives Program (1975B)		
10.065 Rice Production Stabilization (1976U)		
Incorporated into 10.055 (1997B)		
10.066 Emergency Hay and Cattle Transportation Assistance and Livestock Feed (1977B)		
Emergency Feed Program (1978B)		
Deleted (1983B)		
Emergency Livestock Assistance (1989B)		
Deleted (1997B)		
Livestock Assistance Program, Reinstated (2000U)		
Livestock Assistance Program (2006)		
10.067 Grain Reserve Program (1978B)		
Farmer Owned Reserve Program (1994U)		
Deleted (1997B)		
10.068 Rural Clean Water Program (1980B)		
Deleted (1995B)		
10.069 Conservation Reserve Program (1986B)		
10.070 Colorado River Salinity Control (1987B)		
Colorado River Basin Salinity Control Program (1991B)		

10.160	Voluntary Commodity Inspection and Grading Programs (1981U) Number changed from 10.478 (1981U) Deleted (1982B)	Deleted (1985B)
10.161	Egg Products Inspection (1981U) Number changed from 10.476 (1981U) Deleted (1982B)	10.209 1890 Research Facilities (1983B) Deleted (1989B)
10.162	Inspection Grading and Standardization (1982B)	10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants Transferred from 10.003 (1985U)
10.163	Market Protection and Promotion (1982B)	10.211 Higher Education Strengthening Grants (1985U) Deleted (1993B)
10.164	Wholesale Market Development (1982B) Wholesale Farmers and Alternative Market Development (2005) Wholesale Farmers and Alternative Market Development (2005) Wholesale Farmers and Alternative Market Development (2005)	10.212 Small Business Innovation Research (1986B) 10.213 Competitive Research Grants for Forest and Rangeland Renewable Resources Transferred from 15.601 (1986B) Deleted (1990B)
10.165	Perishable Agricultural Commodities Act (1982B)	10.214 Morrill-Nelson Funds for Food and Agricultural Higher Education Split from 10.210 (1986B) Deleted (1996B)
10.166	Commodity Purchase Services (1985B) Deleted (1987B)	10.215 Low Input Farming Systems-Research and Education (1988B) Sustainable Agriculture Research and Education (1991B)
10.167	Transportation Services (1991U)	10.216 1890 Institution Capacity Building Grants (1990B)
10.168	Farmers' Market Promotion Program (2006)	10.217 Higher Education Challenge Grants (1990B)
10.169	Specialty Crop Block Grant Program (2006)	10.218 Buildings and Facilities Program (1992B)
10.170	Specialty Crop Block Grant Program - Farm Bill (2008)	10.219 Biotechnology Risk Assessment Research (1993B)
10.200	Scientific Research in Support of Agriculture (1969B) Contracts and Grants for Scientific Research (1970B) Grants for Scientific Research (1973B) Split into 10.200, 10.880 (1978B) Number changed to 10.876 (1978B) Number changed from 10.876 (1981U) Grants for Agricultural Research, Special Research Grants (1981U)	10.220 Food and Agricultural Sciences-All Americans Undergraduate Scholars Program (1994B) Higher Education Multicultural Scholars Program (1995B)
10.201	Agricultural Research Facilities (1969B) Research Facilities (1970B) Deleted (1971B)	10.221 Tribal Colleges Education Equity Grants (1997B)
10.202	Grants for Cooperative Forestry Research (1970U) Cooperative Forestry Research (1971B) Number changed to 10.877 (1978B) Number changed from 10.877 (1981U)	10.222 Tribal Colleges Endowment Program (1997B)
10.203	Payments to Agricultural Experiment Stations Under Hatch Act (1970U) Number changed to 10.878 (1978B) Number changed from 10.878 (1981U) Payments to Agricultural Experiment Stations Under the Hatch Act (1997U)	10.223 Hispanic Serving Institutions Education Grants (1997B)
10.204	Rural Development Research (1974B) Number changed to 10.879 (1978B) Number changed from 10.879 (1981U) Deleted (1982B)	10.224 Fund for Rural America-Research, Education, and Extension Activities (1997U)
10.205	Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1981U) Number changed from 10.880 (1981U) Payments to 1890 Land-Grant Colleges and Tuskegee University (1986B)	10.225 Community Food Projects (1997B)
10.206	Grants for Agricultural Research-Competitive Research-Grants (1981U) Number changed from 10.884 (1981U)	10.226 Secondary Agriculture Education Grants (1999B) Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (2003B)
10.207	Animal Health and Disease Research (1981U) Number changed from 10.885 (1981U)	10.227 1994 Institutions Research Program (2000U)
10.208	Alcohol Fuels Research (1982B)	10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (2001B)
		10.240 Alternative Agricultural Research and Commercialization Program (1993B) Deleted (2000B)
		10.250 Agricultural Economic Research (1969B) Agricultural and Rural Economic Research (1970B)
		10.251 Technical Assistance to Cooperatives (1978B) Number changed from 10.350 (1978B) Number changed to 10.350 (1981U)
		10.252 Agricultural Statistical Reports (1978B) Number changed from 10.950 (1978B) Agriculture Statistical Reports (1980B) Number changed to 10.950 (1981U)
		10.253 Food Assistance and Nutrition Research Programs (FANRP) (2008)
		10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (2008)
		10.255 Research Innovation and Development Grants in Economic (RIDGE) (2008)
		10.256 Consumer Data Initiative (CDI) (2007)
		10.290 AGRICULTURAL MARKET AND ECONOMIC RESEARCH (2008)



10.300	CCC Export Credit Sales (1970B) Deleted (1973B)	Irrigation, Drainage and Other Soil and Water Conservation Loans (1970B) Deleted (1983B)
10.301	Export Payments (1970B) Deleted (1973U)	10.410 Farmers Home Administration-Rural Housing Loans (1965B) Rural Housing Loans (1967B) Rural Renewal Loans (1967B) Low-to Moderate-Income Housing Loans (1970B) Low Income Housing Loans (1983B) Very Low and Low Income Housing Loans (1984B) Very Low to Moderate Income Housing Loans (1991U)
10.302	Initiative for Future Agriculture and Food Systems (2000U)	
10.303	Integrated Programs (2000U)	
10.304	Homeland Security-Agricultural (2004)	
10.305	International Science and Education Grants (2005)	
10.306	BIODIESEL (2005)	
10.307	Organic Agriculture Research and Extension Initiative (2005)	
10.308	Resident Instruction Grants for Insular Area Activities (2005)	10.411 Rural Self-Help Housing Loans (1969B) Mutual and Self-Help Housing Loans (1970B) Rural Housing Site Loans (1970U) Rural Housing Site Loans and Self-Help Housing Land Development Loans (1996B)
10.309	Specialty Crop Research Initiative (2008)	
10.350	Farmers Cooperative Service (1965B) Technical Assistance to Cooperatives (1970B) Number changed to 10.251 (1978B) Number changed from 10.251 (1981U)	10.412 Rural Recreation Enterprises (1969B) Recreation Association Loans (1970B) Split into 10.412, 10.413 (1970B) Deleted (1971B)
10.352	Value-Added Producer Grants (2005)	
10.353	National Rural Development Partnership (2003B)	
10.375	Human Nutrition Information Service (1982B) Deleted (1997B)	10.413 Recreation Facility Loans (1970B) Split from 10.412 (1970B) Deleted (1983B)
10.400	Comprehensive Areawide Water and Sewer Planning Grants (1970B) Deleted (1973B)	10.414 Soil Conservation Service-Resource Conservation Development Projects (1965B) Resource Conservation Development Projects (1967B) Resource Conservation and Development Loans (1970B) Split into 10.414, 10.901 (1970B) Number changed to 10.764 (1993B)
10.401	Farmers Home Administration-Loans to Cooperatives (1965B) Economic Opportunity Loans to Cooperatives (1969B) Economic Opportunity Farm Operating Loans to Cooperatives (1970B) Deleted (1971B)	10.415 Rental Housing (1967B) Rental and Cooperative Housing for Rural People (1969B) Rural Rental Housing Loans (1970B)
10.402	Farmers Home Administration-Loans to Rural Families with Small Incomes (1965B) Economic Opportunity Loans to Rural Families with Low Incomes (1969B) Economic Opportunity Farm Resource Loans (1970B) Deleted (1971B)	10.416 Soil and Water Conservation (1969B) Soil and Water Loans (1970B) Split into 10.416, 10.902 (1970B) Deleted (1997B)
10.403	Economic Opportunity Nonfarm Enterprise Loans (1970B) Deleted (1971B)	10.417 Very Low-Income Housing Repair Loans (1970B) Split from 10.410 (1970B) Very Low-Income Housing Repair Loans and Grants (1977B)
10.404	Farmers Home Administration-Emergency Loans (1965B) Farm Emergency Loans (1969B) Emergency Loans (1970B)	10.418 Water and Waste Disposal Systems for Rural Communities (1967B) Number changed to 10.760 (1993B)
10.405	Farmers Home Administration-Loans for Farm Labor Housing (1965B) Loans and Grants for Farm Labor Housing (1967B) Farm Labor Housing (1969B) Farm Labor Housing Loans and Grants (1970B) Deleted (1973B) Reinstated (1975B)	10.419 Multiple-Purpose Watershed Projects (1965B) Watershed Development and Flood Prevention (1969B) Watershed Protection and Flood Prevention Loans (1970B) Split into 10.419, 10.904 (1970B) Number changed to 10.765 (1993B)
10.406	Farmers Home Administration-Operating Loans (1965B) Farm Operating Loans (1969B)	10.420 Rural Self-Help Housing Technical Assistance (1970U)
10.407	Farmers Home Administration-Ownership Loans (1965B) Farm Ownership Loans (1969B)	10.421 Indian Tribes and Tribal Corporation Loans (1971B)
10.408	Grazing Association Loans (1969B) Deleted (1983B)	10.422 Business and Industrial Development Loans (1974B) Business and Industrial Loans (1976B) Number changed to 10.768 (1993B)
10.409	Irrigation and Drainage System Loans (1969B)	10.423 Community Facilities Loans (1974B) Number changed to 10.766 (1993B)

- 10.424 Industrial Development Grants (1974B)  
Deleted (1982B)  
Reinstated (1988B)  
Rural Development Grants (1992B)  
Number changed to 10.769 (1993B)
- 10.425 Emergency Livestock Loans (1974U)  
Deleted (1979U2)
- 10.426 Area Development Assistance Planning Grants (1978B)  
Deleted (1982B)
- 10.427 Rural Rental Assistance Payments (1978B)
- 10.428 Economic Emergency Loans (1978U)  
Deleted (1983B)  
Reinstated (1984B)  
Deleted (1984U)
- 10.429 Above Moderate Income Housing Loans (1979B)  
Deleted (1980U2)  
Guaranteed Rural Housing Loans-Demonstration Program (1989B)  
Deleted (1990B)
- 10.430 Energy Impacted Area Development Assistance Program (1979U2)  
Deleted (1983B)
- 10.431 Technical and Supervisory Assistance Grants (1979U2)  
Deleted (1983B)
- 10.432 Biomass Energy and Alcohol Fuels Loan and Loan Guarantees (1981B)  
Deleted (1982B)
- 10.433 Rural Housing Preservation Grants  
Transferred from 13.664 (1986B)
- 10.434 Nonprofit National Corporations Loan and Grant Program (1987B)  
Deleted (1993U)
- 10.435 Agricultural Loan Mediation Program (1988B)  
Certified Mediation Program (1995B)  
State Mediation Grants (1997U)
- 10.436 Technical Assistance and Training Grants (1988U)  
Number changed to 10.761 (1993B)
- 10.437 Interest Rate Reduction Program (1989B)  
Interest Assistance Program (1991U)
- 10.438 Farm Credit System Farm Land Acquisition Program (1989B)  
Deleted (1992B)  
Section 538 Rural Rental Housing Guaranteed Loans (1997B)
- 10.439 Intermediary Relending Program (1989B)  
Number changed to 10.767 (1993B)
- 10.440 Emergency Community Water Assistance Grants (1989U)  
Number changed to 10.763 (1993B)
- 10.441 Technical and Supervisory Assistance Grants (1993U)
- 10.442 Housing Application Packaging Grants (1994B)
- 10.443 Outreach and Assistance Grants for Socially Disadvantaged Farmers and Ranchers (1994B)  
Small Farmer Outreach Training or Technical Assistance Program-"Outreach and Assistance Grants for Socially Disadvantaged Farmers and Ranchers" (1995B)  
Small Farmer Outreach Training and Technical Assistance Program (1995U)  
Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (2001U)
- 10.444 Direct Housing-Natural Disaster Loans and Grants (1998B)
- 10.445 Direct Housing-Natural Disaster (1998B)
- 10.446 Rural Community Development Initiative (2001U)
- 10.447 The Rural Development (RD) Multi-Family Housing Preservation and Revitalization Restructuring Program (MPR) (2007)
- 10.449 Boll Weevil Eradication Loan Program (2000U)
- 10.450 Crop Insurance (1969B)
- 10.451 Noninsured Crop Disaster Assistance (1997U)  
Noninsured Assistance (2001B)
- 10.452 Disaster Reserve Assistance (1997U)
- 10.453 Fund for Rural America-Farm Ownership Loans (1997U)  
Deleted (2000B)
- 10.454 Dairy Options Pilot Program (1998U)
- 10.455 Community Outreach and Assistance Partnership Program (2004)
- 10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (2004)
- 10.457 Commodity Partnerships for Risk Management Education (2004)
- 10.458 Crop Insurance Education in Targeted States (2004)
- 10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (2005)
- 10.475 Assistance to States for Intrastate Meat and Poultry Inspection (1977U)  
Number changed from 10.026 (1977U)  
Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (1980U2)
- 10.476 Egg Products Inspection (1977U)  
Number changed to 10.161 (1981U)
- 10.477 Meat and Poultry Inspection (1977U)  
Number changed from 10.027 (1977U)  
Meat, Poultry, and Egg Inspection (1995B)  
Meat, Poultry, and Egg Products Inspection (1995U)
- 10.478 Voluntary Commodity Inspection and Grading Programs (1977U)  
Number changed to 10.160 (1981U)
- 10.479 Food Safety Cooperative Agreements (2006)
- 10.500 Extension Programs for Assisting in Community Development (1970B)  
Extension Programs for Community Development (1971B)  
Cooperative Extension Service (1972B)  
Number changed to 10.881 (1978B)  
Number changed from 10.881 (1981U)
- 10.501 Extension Programs for Forestry Production and Marketing (1970B)  
Incorporated into 10.500 (1972B)  
Agricultural Telecommunications Program (1994U)  
Deleted (2000B)
- 10.502 Extension Programs for Improved Family Living (1970B)  
Incorporated into 10.500 (1972B)
- 10.503 Extension Programs for Improved Nutrition (1970B)  
Incorporated into 10.500 (1972B)
- 10.504 Extension Programs for Improving Farm Income (1970B)  
Incorporated into 10.500 (1972B)
- 10.505 Extension Programs for Marketing and Distribution (1970B)  
Incorporated into 10.500 (1972B)
- 10.506 Extension Programs for Pesticides Safety and Rural Civil Defense (1970B)  
Incorporated into 10.500 (1972B)

10.507	Extension Programs for Recreation, Wildlife, and Natural Beauty (1970B) Incorporated into 10.500 (1972B)	10.563	Nutrition Education Experimental or Demonstration Projects (1977U) Deleted (1980B)
10.508	Extension Programs for Soil and Water Conservation (1970B) Incorporated into 10.500 (1972B)	10.564	Nutrition Education and Training Program (1978U) Deleted (2001U)
10.509	4-H Youth Development Programs (1970B) Incorporated into 10.500 (1972B)	10.565	Commodity Supplemental Food Program (1979U1) Split from 10.550 (1979U1)
10.510	Extension Programs for Environmental Improvement (1971B) Incorporated into 10.500 (1972B)	10.566	Nutrition Assistance for Puerto Rico (1983B)
10.550	Commodity Distribution Program (1965B) Deleted (2008) Commodity Distribution (1970B) Food Distribution (1971U) Split into 10.550, 10.565 (1979U1)	10.567	Food Distribution Program Commodities in Lieu of Food Stamps (Indian Reservations) (1983B) Food Distribution Program Commodities on Indian Reservations (1983U) Needy Family Program (1985B) Food Distribution Program on Indian Reservations (1988B)
10.551	Food Stamp Program (1965B) Supplemental Nutrition Assistance Program (2008) Food Stamps (1970B)	10.568	Temporary Emergency Food Assistance (Administrative Costs) (1984B) Emergency Food Assistance Program (Administrative Costs) (1993U)
10.552	Special Food Service Program for Children (1969B) Nonschool Food Program (1970B) Special Food Service Program for Children (1971B) Split into 10.558, 10.559 (1976B)	10.569	Temporary Emergency Food Assistance (Food Commodities) (1989B) Emergency Food Assistance Program (Food Commodities) (1993U)
10.553	Pilot School Breakfast Program (1967B) School Breakfasts (1969B) School Breakfast Program (1972B)	10.570	Nutrition Program for the Elderly (Commodities) (1989B) Deleted (2005) Nutrition Program for the Elderly (2001U) Nutrition Services Incentive (2002B)
10.554	Equipment Program to Initiate or Expand School Food Service (1967B) School Lunch Program-Nonfood Assistance (1970B) Nonfood Assistance for School Food Service Programs (1972B) Equipment Assistance for School Food Service Programs (1978B) Deleted (1982B)	10.571	Food Commodities for Soup Kitchens (1989B) Deleted (1996U)
10.555	National School Lunch Program (1965B) School Lunches (1969B) National School Lunch Program (1971B)	10.572	WIC Farmers' Market Nutrition Program (FMNP) (1993U)
10.556	Special Milk Program for Children (1965B) School Milk (1969B) Special Milk Program (1970B) Special Milk Program for Children (1971B)	10.573	Homeless Children Nutrition Program (1995U) Deleted Program no longer funded. (2000) Incorporated into 10.558 (2000B)
10.557	Special Supplemental Food Program for Women, Infants, and Children (1974B) Special Supplemental Nutrition Program for Women, Infants, and Children (1995U)	10.574	Team Nutrition Grants (1997U)
10.558	Child Care Food Program (1976B) Split from 10.552 (1976B) Child and Adult Care Food Program (1990B) Incorporated from 10.573 (2000B)	10.576	Senior Farmers Market Nutrition Program (2004)
10.559	Summer Food Service Program for Children (1976B) Split from 10.552 (1976B)	10.578	WIC Grants To States(WGS) (2004)
10.560	State Administrative Expenses for Child Nutrition (1977U)	10.579	Child Nutrition Discretionary Grants Limited Availability (2004)
10.561	State Administrative Matching Grants for Food Stamp Program (1977U) State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (2008)	10.580	Food Stamp Program Research Grants to Improve Access Through New Technology and Partnerships (2004) Food Stamp Program , Outreach Grants (2005) Food Stamp Program Outreach Grants (2005) Food Stamp Program Outreach/Participation Program (2008) Special Nutrition Assistance Program Outreach/Participation Program (2008)
10.562	Nutritional Training and Education (1977U) Deleted (1979B)	10.581	WIC Discretionary Grant Funds (2004) Deleted (2004)
		10.582	Fresh Fruit and Vegetable Program (2005)
		10.600	Export Market Development (1967B) Agricultural Export Services (1969B) Foreign Market Development and Promotion (1970B) Foreign Agricultural Market Development and Promotion (1972B) Deleted (1975B) Reinstated (1985U) Foreign Market Development Cooperation Program (1997B) Foreign Market Development Cooperator Program (1999B)
		10.601	Targeted Export Assistance (1987B) Market Promotion Program (1991B)



	Market Access Program (1997B)	Consolidated from 10.655, 10.656, 10.657, 10.658, 10.659, 10.660, 10.662 (1978U)
10.603	Emerging Markets Program (2002B)	10.665 Schools and Roads-Grants to States (1980U2)
10.604	Technical Assistance for Specialty Crops Program (2004)	10.666 Schools and Roads-Grants to Counties (1980U2)
10.605	Quality Samples Program (2004)	10.667 School Funds-Grants to Arizona and New Mexico (1980U2)
10.606	Food for Progress (2003B)	School Funds-Grants to Arizona (1981B)
10.607	Section 416(b) (2003B)	Deleted (1984B)
10.608	Food for Education (2003B)	10.668 Additional Lands-Grants to Minnesota (1980U2)
10.609	Trade Adjustment Assistance (2004)	Deleted (1995B)
10.611	Regional Centers for the Transfer of Manufacturing Technology (1989B)	10.669 Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area
10.650	Forest Service Cooperative State and Private Programs (1965B)	Deleted (1992B)
	Forestry Cooperative Programs (1969B)	10.670 National Forest-Dependent Rural Communities (1993B)
	State and Private Forestry Cooperation (1970B)	10.671 Southeast Alaska Economic Disaster Fund (1997U)
	Split into 10.655, 10.656, 10.657, 10.658, 10.659, 10.660 (1974B)	10.672 Rural Development, Forestry and Communities (2000B)
10.651	Forestry Cooperative Research (1970U)	Rural Development, Forestry, and Communities (2000U)
	Deleted (1978U)	10.673 Wood In Transportation Program (2003B)
10.652	Forestry Research (1970U)	10.674 Technology Marketing Unit (2003B)
10.653	Land Adjustments (1970U)	Forest Products Lab: Technology Marketing Unit (TMU) (2005)
	Land Exchange in the National Forests (1971B)	Forest Products Lab: Technology Marketing Unit (TMU) (2005)
	Deleted (1973B)	10.675 Urban and Community Forestry Program (2003B)
10.654	Forestry Cooperative Law Enforcement (1973U)	10.676 Forest Legacy Program (2003B)
	Cooperative Law Enforcement (1975B)	10.677 Forest Land Enhancement Program (2003B)
	Deleted (1977B)	10.678 Forest Stewardship Program (2003B)
10.655	Assistance to States for Tree Planting and Reforestation (1974B)	10.679 Collaborative Forest Restoration (2005)
	Split from 10.650 (1974B)	10.680 Forest Health Protection (2005)
	Assistance to States for Tree Improvement (1977B)	10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC) (2008)
	Consolidated into 10.664 (1978U)	10.684 International Forestry Programs (2008)
10.656	Cooperative Forest Fire Control (1974B)	10.700 National Agricultural Library Services (1969B)
	Split from 10.650 (1974B)	Number changed to 10.883 (1978B)
	Consolidated into 10.664 (1978U)	Number changed from 10.883 (1981U)
10.657	Cooperation in Forest Management and Processing (1974B)	National Agricultural Library (1982B)
	Split from 10.650 (1974B)	10.750 Information on Agricultural Activities (1969B)
	Consolidated into 10.664 (1978U)	Deleted (1978B)
10.658	Cooperative Forest Insect and Disease Control (1974B)	10.760 Water and Waste Disposal Systems for Rural Communities
	Split from 10.650 (1974B)	Number changed from 10.418 (1993B)
	Cooperative Forest Insect and Disease Management (1976B)	10.761 Technical Assistance and Training Grants
	Consolidated into 10.664 (1978U)	Number changed from 10.436 (1993B)
10.659	Cooperative Production and Distribution of Forest Tree Planting Stock (1974B)	10.762 Solid Waste Management Grants (1993B)
	Split from 10.650 (1974B)	10.763 Emergency Community Water Assistance Grants
	Consolidated into 10.664 (1978U)	Number changed from 10.440 (1993B)
10.660	General Forestry Assistance (1974B)	10.764 Resource Conservation and Development Loans
	Split from 10.650 (1974B)	Number changed from 10.414 (1993B)
	Consolidated into 10.664 (1978U)	Deleted (1998U)
10.661	Youth Conservation Corps-Grants to States (1974B)	10.765 Watershed Protection and Flood Prevention Loans
	Deleted (1982B)	Number changed from 10.419 (1993B)
10.662	Rural Community Fire Protection (1975U)	Deleted (1998U)
	Consolidated into 10.664 (1978U)	10.766 Community Facilities Loans
10.663	Young Adult Conservation Corps (1978B)	Number changed from 10.423 (1993B)
	Young Adult Conservation Corps-Grants to States (1978U)	Community Facilities Loans (1997U)
	Deleted (1983B)	Community Facilities Loans and Grants (1998B)
10.664	Cooperative Forestry Assistance (1978U)	

- 10.767 Intermediary Relending Program  
Number changed from 10.439 (1993B)
- 10.768 Business and Industrial Loans  
Number changed from 10.422 (1993B)  
Business and Industry Loans (1998B)
- 10.769 Rural Development Grants  
Number changed from 10.424 (1993B)  
Rural Business Enterprise Grants (2001B)
- 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (1993B)
- 10.771 Rural Technology Development Grants (1994U)  
Rural Cooperative Development Grants (1997B)
- 10.772 Empowerment Zones Program (1994U)
- 10.773 Rural Business Opportunity Grants (1999B)
- 10.774 National Sheep Industry Improvement Center (1998U)
- 10.775 Renewable Energy Systems and Energy Efficiency Improvements Program (2003B)
- 10.778 Research on the Economic Impact of Cooperatives (2006)
- 10.800 Livestock and Poultry Market Supervision (1969B)  
Deleted (2004)  
Number changed to 10.159 (1978B)  
Number changed from 10.159 (1981U)  
Livestock, Meat and Poultry Market Supervision (1984B)
- 10.825 Technical Assistance to Rural Areas (1975B)  
Deleted (1977U)
- 10.850 Rural Electrification Program (1965B)  
Rural Electrification Loans (1970B)  
Rural Electrification Loans and Loan Guarantees (1977B)
- 10.851 Rural Telephone Service (1969B)  
Rural Telephone Loans (1970B)  
Rural Telephone Loans and Loan Guarantees (1977B)
- 10.852 Rural Telephone Bank Loans (1972B)
- 10.853 Community Antenna Television Loans and Loan Guarantees (1980B)  
Deleted (2007)
- 10.854 Rural Economic Development Loans and Grants (1988U)  
Number changed from 10.853 (1989B)
- 10.855 Distant Learning and Medical Link Grants (1992B)  
Distance Learning and Medical Link Grants (1993B)  
Distance Learning and Telemedicine Loans and Grants (1997B)
- 10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (2004)
- 10.857 State Bulk Fuel Revolving Fund Grants (2001U)
- 10.858 RUS Denali Commission Grants and Loans (2002B)  
Denali Commission Grants and Loans (2007)
- 10.859 Assistance to High Energy Cost Rural-Communities (2001U)  
Assistance to High Energy Cost Rural Communities (2007)  
Assistance to High Energy Cost-Rural Communities (2002B)
- 10.860 Rural Business Investment Program (2004)
- 10.861 Public Television Station Digital Transition Grant Program (2005)
- 10.862 Household Water Well System Grant Program (2004)
- 10.863 Community Connect Grant Program (2004)
- 10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (2005)
- 10.875 Agricultural Research-Basic and Applied Research (1978B)  
Number changed from 10.001 (1978B)  
Number changed to 10.001 (1981U)
- 10.876 Grants for Agricultural Research, Special Research Grants (1978B)  
Number changed from 10.200 (1978B)  
Number changed to 10.200 (1981U)
- 10.877 Cooperative Forestry Research (1978B)  
Number changed from 10.202 (1978B)  
Number changed to 10.202 (1981U)
- 10.878 Payments to Agricultural Experiment Stations Under Hatch Act (1978B)  
Number changed from 10.203 (1978B)  
Number changed to 10.203 (1981U)
- 10.879 Rural Development Research (1978B)  
Number changed from 10.204 (1978B)  
Number changed to 10.204 (1981U)
- 10.880 Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1978B)  
Split from 10.200 (1978B)  
Number changed to 10.205 (1981U)
- 10.881 Cooperative Extension Service (1978B)  
Number changed from 10.500 (1978B)  
Number changed to 10.500 (1981U)
- 10.882 Higher Education-Land-Grant Colleges and Universities (1978B)  
Transferred from 13.453 (1978B)  
Number changed to 10.501 (1981U)
- 10.883 Technical Information Systems (1978B)  
Number changed from 10.700 (1978B)  
Number changed to 10.700 (1981U)
- 10.884 Grants for Agricultural Research-Competitive Research-Grants (1978B)  
Number changed to 10.206 (1981U)
- 10.885 Animal Health and Disease Research (1980B)  
Number changed to 10.207 (1981U)
- 10.886 Rural Broadband Access Loans and Loan Guarantees (2005)
- 10.900 Great Plains Conservation (1969B)
- 10.901 Resource Conservation and Development (1970B)
- 10.902 Soil and Water Conservation (1970B)  
Split into 10.902, 10.905, 10.906, 10.907 (1971B)  
Consolidated from 10.908 (1990B)
- 10.903 National Cooperative Soil Survey (1969B)  
Soil Survey (1970B)
- 10.904 Watershed Protection and Flood Prevention (1970B)  
Consolidated into 10.911 (1996B)
- 10.905 Plant Materials for Conservation (1971B)  
Split from 10.902 (1971B)
- 10.906 River Basin Surveys and Investigations (1971B)  
Split from 10.902 (1971B)  
Consolidated into 10.911 (1996B)  
Watershed Surveys and Planning (1997B)
- 10.907 Snow Survey and Water Supply Forecasting (1971B)  
Split from 10.902 (1971B)

10.908	Land Inventory and Monitoring (1977B) Inventory and Monitoring (1978B) Resources Inventory (1983U) Consolidated into 10.902 (1990B)	Deleted (1969B) Economic Development Districts (1967B) Consolidated into 11.300 (1969B) Grants and Loans for Public Works and Development Facilities (1967B) Consolidated into 11.300 (1969B)
10.909	Resource Appraisal and Program Development (1979B) Deleted (1983U)	Gross National Product Estimates (1967B) Deleted (1969B)
10.910	Rural Abandoned Mine Program (1979U1)	High Speed Ground Transportation (1965B) Highway Beautification (1965B) Transferred/Split into 20.202, 20.203, 20.204 (1970B)
10.911	Watershed Surveys and Planning Consolidated from 10.904, 10.906 (1996B) Incorporated into 10.906 (1997B)	Highway Planning and Construction (1965B) Transferred to 20.205 (1970B)
10.912	Environmental Quality Incentives Program (1997B)	Industry and Commodity Information (1965B) Deleted (1967B)
10.913	Farm Land Protection Program (1997B) Farmland Protection Program (1997U)	Regional Action Planning Commissions (1967B) Consolidated into 11.300 (1969B)
10.914	Wildlife Habitat Incentive Program (1997B)	State Technical Services Program (1967B) Deleted (1970B)
10.915	Fund for Rural America-Small Farmer Outreach Training and Technical Assistance (1998B) Deleted (1999B)	Supplements to Federal Grant-in-Aid Programs in Appalachia (1965B) Supplemental Grants-in-Aid for Appalachia (1967B) Deleted (1969B)
10.916	Watershed Rehabilitation Program (2003B)	Statistical Data for Small Areas (1965B) Census Data (1967B)
10.917	Agricultural Management Assistance (2004)	Census and Statistical Reports (1969B) Census Bureau Data Products (1980U1)
10.918	Ground and Surface Water Conservation- Environmental Quality Incentives Program (2004)	11.002 Census Data Access and Use Laboratory (1970B) Census Data User Services (1972B) Census Customer Services (1995U)
10.919	Klamath Basin - Environmental Quality Incentives Program (2004)	11.003 Census Mapping and Statistical Areas (1969B) Census Geography (1970B)
10.920	Grassland Reserve Program (2004)	11.004 Census Intergovernmental Services (1970B)
10.921	Conservation Security Program (2004)	11.005 Census Special Tabulations and Services (1969B)
10.922	Healthy Forests Reserve Program (HFRP) (2007)	11.006 Personal Census Age Search (1967B) Personal Census Search (1969B)
10.923	Emergency Watershed Protection Program (2007)	11.007 Measures and Analyses of U.S. Economy (1972B) Number changed from 11.700 (1972B) Number changed to 11.025 (1976U)
10.950	Agricultural Statistical Reports (1969B) Number changed to 10.252 (1978B) Agriculture Statistical Reports (1981U) Agricultural Statistics Reports (1986U)	11.025 Measures and Analyses of the U.S. Economy (1976U) Number changed from 11.007 (1976U)
10.960	Technical Agricultural Assistance (1986B)	11.026 National Trade Data Bank (NTDB) (1994B) STAT-USA: Key Business, Economic, and International Trade Information (2006)
10.961	International Agricultural Research-Collaborative Program (1986B) International Agricultural Research Program (1991U) Scientific Cooperation Program, Incorporated from 10.963 (1999B) Scientific Cooperation and Research (2001B)	11.027 Business Assistance, Services, and Information (1980B) Deleted (2006) Number changed from 11.104 (1980B) Number changed to 11.050 (1980U2) Productivity and Economic Growth (1982B) Number changed to 11.980 (1989B) Economic Bulletin Board (EBB) (1994B) State of the Nation (2002B)
10.962	International Training-Foreign Participant (1986B) Cochran Fellowship Program-International Training-Foreign Participant (2006)	
10.963	Scientific and Technical Cooperation (1990B) Incorporated into 10.961 (1999B)	
10.994	Peanut Quota Buyout Program (2005)	
10.995	Hard White Wheat Incentive Program (2005)	
10.999	LONG TERM STANDING AGREEMENTS FOR STORAGE, TRANSPORTATION AND LEASE (2008)	
<b>DEPARTMENT OF COMMERCE</b>		
	Development Highways and Access Roads for the Appalachian Region (1965B) Administration and Research in Economic Development Programs in Appalachia (1967B) Deleted (1969B) Community Relations Service (1965B) Deleted (1967B) Development of Ports (1967B)	



11.050	Business Assistance, Services, and Information (1980U2) Number changed from 11.027 (1980U2) Number changed to 11.110 (1984B)	Export Promotion Market Development Cooperation (2002B)
11.100	Export Licensing Service and Information (1969B) Number changed to 11.150 (1988B)	11.113 ITA Special Projects (1995B)
11.101	International Trade Promotion (1967B) Export Trade Promotion (1969B) Consolidated into 11.108 (1980B)	11.114 Special American Business Internship Training Program (1997B)
11.102	Foreign Investment in the United States (1967B) Foreign Investment Development in the United States (1969B) Deleted (1977U)	11.115 American Business Center (1998U) Deleted (2001B)
11.103	Commercial Intelligence Service (1967B) International Commercial Information (1969B) Consolidated into 11.108 (1980B)	11.150 Export Licensing Service and Information (1988B) Number changed from 11.100 (1988B)
11.104	Business Assistance, Services, and Information (1973B) Number changed from 11.200 (1973B) Number changed to 11.027 (1980B)	11.200 Information and Services to Industrial Community (1967B) Business Assistance, Services and Information (1969B) Number changed to 11.104 (1973B)
11.105	Importation of Duty-Free Educational and Scientific Materials (1973B) Number changed from 11.201 (1973B) Deleted (1986B)	11.201 Importation of Duty-Free Educational and Scientific Materials (1969B) Number changed to 11.105 (1973B)
11.106	Remedies for Unfair Foreign Trade Practices-Antidumping and Countervailing Duty Investigations (2004)	11.202 Trade Adjustment Assistance (1971U) Number changed to 11.106 (1973B)
11.106A	Trade Adjustment Assistance (1973B) Number changed from 11.202 (1973B) Number changed to 11.309 (1975U)	11.300 Public Works and Economic Development (1965B) Investments for Public Works and Economic Development Facilities (2007) Economic Development-Grants and Loans for Public Works and Development Facilities (1969B) Split into 11.300, 11.301, 11.302, 11.303 (1969B) Deleted (1973B) Reinstated (1973U)
11.106B	Antidumping Duties (1980B) Transferred from 21.200 (1980B) Remedies for Unfair Foreign Trade Practices-Antidumping Duty Investigations (1991B) Remedies for Unfair Foreign Trade Practices-Antidumping and Countervailing Duty Investigations (1996U)	Economic Development-Grants and Loans for Public Works and Development Facilities (1973U) Economic Development-Grants for Public Works and Development Facilities (1981U) Economic Development-Grants for Public Works and Infrastructure Development (1995B) Grants for Public Works and Economic Development (1999B) Grants for Public Works and Economic Development Facilities (2002B)
11.107	Countervailing Duty on Imports (1980B) Transferred from 21.201 (1980B) Remedies for Unfair Foreign Trade Practices-Countervailing Duty Investigations (1991B) Deleted (1997B)	11.301 Economic Development-Loans for Businesses and Development Companies (1969B) Split from 11.300 (1969B) Deleted (1973B) Reinstated (1973U) Economic Development-Business Development Assistance (1975B) Deleted (1993U)
11.108	International Trade Promotion (1980B) Consolidated from 11.101, 11.103 (1980B) International Trade (1984B) Export Promotion Services (1985B) Commercial Service (1995B)	11.302 Economic Development-Assistance for Distressed Areas (1969B) Split from 11.300 (1969B) Economic Development-Planning Assistance (1970B) Deleted (1973B) Reinstated (1973U)
11.109	Trade Adjustment Assistance (1980B) Deleted (1986B) Reinstated (1988U) Number changed to 11.313 (1991B)	Economic Development-Support for Planning Organizations (1975B) Deleted (1999B) Reinstated/Incorporated from 11.305 (2000B)
11.110	Business Assistance, Services, and Information (1984B) Manufacturing and Services (2005) Manufacturing and Services (2005) Number changed from 11.050 (1984B) Trade Development (1985B)	11.303 Economic Development-Technical Assistance Research, and Information (1969B) Split from 11.300 (1969B) Economic Development-Technical Assistance (1970B) Deleted (1973B) Reinstated (1973U)
11.111	Foreign-Trade Zones in the United States (1986U)	11.304 Economic Development-Public Works Impact Projects (1972B) Deleted (1973B) Reinstated (1973U)
11.112	Export Promotion-Market Development Cooperator (1994B) Market Development Cooperator Program (2007)	

	Economic Development-Public Works Impact Program (1990U) Deleted (1999B)	Deleted (1977U)
11.305	Economic Development-State and Local Economic Development Planning (1975B) Incorporated into 11.302 (2000B)	11.402B 6Marine Boundary Program (1981B) Deleted (1986B)
11.306	Economic Development-District Operational Assistance (1975B) Deleted (1986B)	11.403 Seismological Investigations (1970B) Deleted (1973B)
11.307	Economic Development-Special Economic Development and Adjustment Assistance Program (1975B) Special Economic Development and Adjustment Assistance Program-Long-Term Economic Deterioration (1979B) Split into 11.307, 11.311 (1979B)  Special Economic Development and Adjustment Assistance Program-Sudden and Severe or Long-Term Economic Deterioration (1983B) Special Economic Development and Adjustment Assistance Program-Sudden and Severe Economic Dislocation or Long-Term Economic Deterioration (1984B) Special Economic Development and Adjustment Assistance Program-Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1986U) Special Economic Development and Adjustment Assistance Program-Sudden and Severe Economic Dislocation (SSED) and Long-Term Economic Deterioration (LTED) (1997B) Special Economic Development and Adjustment Assistance Program-Sudden and Severe Economic Dislocation and Long- Term Economic Deterioration (1997U) Economic Adjustment Assistance (1999B)	11.404 Weather and Climate Guidance (1965B) Weather and Marine Forecasts and Climate Guidance (1969B) Weather Forecasts and Warnings (1970B) Weather and River Forecasts and Warnings (1977U) Deleted (1979B)  11.405 Anadromous and Great Lakes Fisheries Conservation (1971B) Transferred from 15.001 (1971B) Anadromous Fish Conservation Act Program (1991U)  11.406 Commercial Fisheries Disaster Assistance (1971B) Transferred from 15.002 (1971B) Deleted (1981B)  11.407 Commercial Fisheries Research and Development (1971B) Transferred from 15.003 (1971B) Interjurisdictional Fisheries Act of 1986 (1987U)  11.408 Current Economic Analysis of Food Fish, Shellfish, and Industrial Fishery Projects (1971B) Deleted (1973B) Reinstated (1980B) Fishermen's Contingency Fund (1980B)
11.308	Grants to States for Supplemental and Basic Funding of Titles I, II, and IV Activities (1975U) Grants to States for Supplemental and Basic Funding of Titles I, II, III, IV and IX Activities (1977B) Deleted (1981U)	11.409 Fisheries Loan Fund (1971B) Transferred from 15.005 (1971B) Incorporated into 11.415 (1974B) Reinstated/Split from 11.415 (1980B) Fishing Vessel and Gear Damage Compensation Fund (1980B) Deleted (1998B)
11.309	Trade Adjustment Assistance (1975U) Number changed from 11.106 (1975U) Deleted (1981U)	11.410 Fishermen-Reimbursement of Losses (1971B) Transferred from 15.004 (1971B) Fishermen's Guaranty Fund (1981B) Number changed to 19.204 (1987B)
11.310	Redevelopment Area Loan Program (Section 204) (1977U) Incorporated into 11.307 (1978B)	11.411 Fishery Cooperative Services (1971B) Deleted (1986B)
11.311	Special Economic Development and Adjustment Assistance Program-Sudden and Severe Economic Dislocation (1979B) Split from 11.307 (1979B) Deleted (1981U)	11.412 Fishery Marketing Assistance (1971B) Transferred from 15.006 (1971B) Deleted (1973B)
11.312	Research and Evaluation Program (1984B)	11.413 Fishery Products Inspection and Certification (1971B) Transferred from 15.007 (1971B)
11.313	Trade Adjustment Assistance Trade Adjustment Assistance for Firms (2007) Number changed from 11.109 (1991B)	11.414 Fishing Statistics and Market News (1971B) Transferred from 15.008 (1971B) Deleted (1973B)
11.400	Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (2004)	11.415 Fishing Vessel Mortgage and Loan Insurance (1971B) Transferred from 15.009 (1971B) Fishing Vessel Obligation Guarantees (1973B) Federal Ship Financing Fund Liquidating Account (1992B) Fisheries Obligation Guarantee Program (1994U) Fisheries Finance Program (1998B)
11.400A	6Geodetic Control Surveys and Tideland Studies (1965B) Geodesy (1970B) Geodetic Control Surveys (1971B)	11.416 Jellyfish Control (1971B)
11.400B	6Geodetic Surveys and Services (1974U) Deleted (1989B) Reinstated (1991B)	
11.401	Nautical Charts and Related Data (1965B) Deleted (1986B)	
11.402A	6Weather Bureau River and Flood Forecasting Service (1965B) River and Flood Forecasting (1967B) River and Flood Forecasts (1969B) River and Flood Forecast and Warning Services (1974U)	

	Transferred from 15.010 (1971B)		Climate and Atmospheric Research (1992U)
	Deleted (1973B)	11.432	Environmental Research Laboratories Joint Institutes (1990B)
11.417	Sea Grant Institutional Support (1971B)		Environmental Research Laboratories Cooperative Institutes (1992B)
	Transferred from 47.022 (1971B)		Office of Oceanic and Atmospheric Research (OAR) Cooperative Institutes (1999U)
	Sea Grant Support (1972B)		Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (2001B)
11.418	Sea Grant Project Support (1971B)	11.433	Marine Fisheries Initiative (1990U)
	Transferred from 47.023 (1971B)	11.434	Cooperative Fishery Statistics (1991B)
	Incorporated into 11.417 (1972B)	11.435	Southeast Area Monitoring and Assessment Program (1991B)
	Coastal Zone Management Program Development (1974B)	11.436	Columbia River Fisheries Development Program (1991B)
	Reinstated/Split from 11.417 (1974B)	11.437	West Coast Fisheries Data Program (1991B)
	Deleted (1980B)		Pacific Fisheries Data Program (1995B)
11.419	Coastal Zone Management Program Administration (1974U)	11.438	Pacific Salmon Treaty Program (1991B)
	Coastal Zone Management Program Administration Grants (1985B)		Pacific Coast Salmon Recovery-Pacific Salmon Treaty Program (2000B)
	Coastal Zone Management Program Implementation and Enhancement Awards (1991B)	11.439	Marine Mammal Data Program (1991B)
	Coastal Zone Management Administration Awards (1992B)	11.440	Research in Remote Sensing of the Earth and Environment (1991B)
11.420	Coastal Zone Management Estuarine Sanctuaries (1975B)		Environmental Sciences, Applications, Data, and Education (2002B)
	Coastal Zone Management Estuarine Research Reserves (1986U)	11.441	Regional Fishery Management Councils (1991U)
11.421	Coastal Energy Impact Program-Formula Grants (1977U)	11.442	Research in Oceanographic Data Base Management (1991U)
	Energy Impact-Formula Grants (1984B)		Deleted (1999B)
	Deleted (1986B)	11.443	Short-Term Climate Fluctuations (1992U)
11.422	Coastal Energy Impact Program-Planning Grants (1977U)		Short-Term Climate Fluctuations (1995B)
	Coastal Energy Impact Grants (1985B)		Short Term Climate Fluctuations (1995U)
	Deleted (1986B)	11.444	Mahimahi Aquaculture (1991U)
11.423	Coastal Energy Impact Program-Loans and Guarantees (1977U)		Aquaculture Program (1994U)
	Deleted (1985U)		Direct Housing-Natural Disaster Loans and Grants (1999B)
11.424	Coastal Energy Impact Program-Environmental Grants (1977U)		Aquaculture Program (1999U)
	Deleted (1983B)		Hawaii Sustainable Fisheries Development (Aquaculture Program) (2004)
11.425	Coastal Energy Impact Program-Outer Continental Shelf State Participation Grants (1980B)	11.445	Stock Enhancement of Marine Fish in the State of Hawaii (1991U)
	Deleted (1985B)		Hawaii Stock Management (2001B)
11.426	Ocean Dumping and Monitoring Program (1980B)		Hawaii Stock Management Program (2002B)
	Financial Assistance for Marine Pollution Research (1981B)	11.446	Antarctic Marine Living Resources (1991U)
	Deleted (1990B)		Deleted (1999B)
	Reinstated (1991B)	11.448	Federal/State Cooperative Program in Atmospheric Modification Research (1992B)
	Financial Assistance for National Status and Trends Programs (1991B)		Federal/State Cooperative Program in Atmospheric Research (1995B)
	Financial Assistance for Ocean Resources Conservation and Assessment Program (1991U)		Deleted (1997B)
	Financial Assistance for National Centers for Central Coastal Ocean Science (1999B)		Reinstated (1998B)
	Financial Assistance for National Centers for Coastal Ocean Science (1999U)		Deleted (1998U)
11.427	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (1980B)	11.449	Independent Education and Science Projects and Programs (1992B)
11.428	Intergovernmental Climate-Demonstration Project (1980U1)	11.450	Integrated Flood Observing and Warning System (IFLOWS) (1993B)
	Intergovernmental Climate-Programs (1983U)	11.452	Unallied Industry Projects (1993U)
	Intergovernmental Climate-Program (1995U)	11.454	Unallied Management Projects (1993B)
	Intergovernmental Climate-Program (NESDIS) (1999B)	11.455	Cooperative Science and Education Program (1993U)
	Deleted (2007)	11.457	Chesapeake Bay Studies (1992B)
11.429	Marine Sanctuary Program (1985B)	11.458	Alaska Salmon Enhancement (1993B)
11.430	Undersea Research (1987B)		Deleted (2004)
11.431	Climate and Atmospheric Research (1987B)		Consolidated into 11.438 (2004)
	Climate and Research (1992B)	11.459	Climate and Air Quality Research (1992B)
	Split into 11.459 (1992B)		



	Split from 11.431 (1992B)		Number changed to 20.805 (1981U)
	Weather and Air Quality Research (2002B)	11.506	State Marine Schools (1967B)
11.460	Congressionally Identified Program Needs (1992B)		Number changed to 20.806 (1981U)
	Special Oceanic and Atmospheric Projects (1992U)	11.507	Maritime Manpower Training (1969B)
11.461	Cooperative Institute (1992B)		U.S. Merchant Marine Academy (1970B)
	Deleted (1994U)		Number changed to 20.807 (1981U)
11.462	Hydrologic Research (1994B)	11.508	Capital Construction Fund (1973U)
11.463	Habitat Conservation (1993B)		Number changed to 20.808 (1981U)
11.464	Marine Research-Regional Programs (1993B)	11.509	Development and Promotion of Domestic Waterborne Transport Systems (1974U)
	Deleted (1997B)		Number changed to 20.809 (1981U)
11.466	Marine Instrumentation Special Projects (1993B)	11.510	Supplementary Training (1980U2)
	Deleted (1994B)		Number changed to 20.810 (1981U)
11.467	Meteorologic and Hydrologic Modernization Development (1993U)	11.511	Research and Development Assistance (1981B)
11.468	Applied Meteorology Research (1993B)		Number changed to 20.811 (1981U)
	Collaborative Applied Hydrometeorological Research Activities (1993U)	11.512	Construction Reserve Fund (1981B)
	Cooperative Institute for Applied Meteorological Studies (CIAMS) and Cooperative Institute for Tropical Meteorology (CITM) (1994B)		Number changed to 20.812 (1981U)
	Applied Meteorological Research (2002B)	11.550	Public Telecommunications Facilities (1979B)
11.469	Congressionally Identified Construction Projects (1993B)		Transferred from 13.413 (1979B)
	Congressionally Identified Awards and Projects (2004)		Public Telecommunications Facilities-Construction and Planning (1986B)
11.470	Office of Administration Special Programs (1993U)		Public Telecommunications Facilities-Planning and Construction (1994B)
	Deleted (2004)		Public Telecommunications Facilities Planning and Construction (2004)
	Consolidated into 11.481 (2004)	11.551	Public Telecommunications Services Program (1980U1)
11.472	Unallied Science Program (1994U)		Deleted (1983B)
11.473	Coastal Ecosystem Health (1995U)		National Endowment for Children's Educational Television (1993U)
	Coastal Services Center (1997B)		Deleted (1997B)
11.474	Atlantic Coastal Fisheries Cooperative Management Act (1995B)	11.552	Telecommunications and Information Infrastructure Assistance Program (1994B)
11.477	Fisheries Disaster Relief (1999B)		Technology Opportunities (2000B)
11.478	Coastal Ocean Program (1998B)		Technology Opportunities Program (2004)
	Center for Sponsored Coastal Ocean Research-Costal Ocean Program (2000B)		Deleted (2006)
11.480	National Ocean Service Intern Program (1999B)	11.553	NYC 9/11 Digital Television Program (2008)
11.481	Educational Partnership Program (2001U)	11.554	Low-Power Television and Translator Digital-to-Analog Conversion (2007)
11.500	Construction-Differential Subsidies (1970B)	11.555	Public Safety Interoperable Communications Grant Program (2008)
	Number changed to 20.800 (1981U)	11.556	TV Converter Box Coupon Program (2008)
11.501	Marine Development and Promotion Activities (1969B)	11.600	Building Code (Regulations) Assistance to States (1970B)
	Development and Promotion of Ports and Intermodal Transport Systems (1970B)		Deleted (1978U)
	Development and Promotion of Ports and Intermodal Transportation (1975B)	11.601	Calibration and Testing Services (1970B)
	Number changed to 20.801 (1981U)		Physical Measurement Services Program (1991U)
11.502	Aids to Shipping and Shipbuilding (1967B)		Calibration Program (1992B)
	Shipping and Shipbuilding Assistance (1969B)	11.602	Clearinghouse for Scientific and Technical Information (1967B)
	Federal Ship Mortgage Insurance (1970B)		Clearinghouse for Federal Scientific and Technical Information (1970B)
	Federal Ship Financing Guarantees (1973B)		Number changed to 11.650 (1971B)
	Number changed to 20.802 (1981U)	11.603	Standard Reference Data (1969B)
11.503	Maritime War Risk Insurance (1970B)		National Standard Reference Data System (1970B)
	Number changed to 20.803 (1981U)	11.604	Standard Reference Materials (1969B)
11.504	Operating-Differential Subsidies (1970B)	11.605	State Invention Program (1970B)
	Number changed to 20.804 (1981U)		Deleted (1975U)
11.505	Ship Exchange Program (1967B)	11.606	Weights, Measures, and Other Standards (1967B)
	Ships Exchange and Sales (1969B)		Weights and Measures Service (1969B)
	Ship Sales (1972U)		

- 11.607 Experimental Technology Incentives Program (1973U)  
Deleted (1975B)
- 11.608 Fire Research and Safety Program (1974U)  
Deleted (1978B)
- 11.609 Measurement and Engineering Research and Standards (1983B)
- 11.610 National Center for Standards and Certification Information (1986U)
- 11.611 Manufacturing Technology Centers Program (1992U)  
Manufacturing Extension Program (1993B)  
Manufacturing Technology Centers (1993U)  
Manufacturing Extension Partnership (1994B)  
Consolidated from 11.613 (1995B)
- 11.612 Advanced Technology Program (1990B)
- 11.613 State Technology Extension Program (1990B)  
Consolidated into 11.611 (1995B)
- 11.614 Experimental Program to Stimulate Competitive Technology (1999B)  
Deleted (2002B)
- 11.616 Technology Innovation Program (TIP) (2008)
- 11.617 Congressionally-Identified Projects (2002U)
- 11.650 National Technical Information Service (1971B)  
Number changed from 11.602 (1971B)
- 11.651 Commerce Summary Statistical Data (1972B)  
Incorporated into 11.650 (1973B)  
Reinstated/Split from 11.650 (1980U1)  
Science Information Exchange, Inc. (1980U1)  
Deleted (1983B)
- 11.700A 6Measures and Analyses of the U.S. Economy (1969B)  
Measures and Analyses of the United States Economy (1971B)  
Number changed to 11.007 (1972B)
- 11.700B 6Academy Planning Assistance (1977B)  
Transferred to 83.001 (1979B)
- 11.701 Importation of Duty-Free Education and Scientific Materials (1969B)  
State Fire Incident Reporting Assistance (1977B)  
Transferred to 83.002 (1979B)
- 11.702 Internship Program for Postsecondary Students (1999B)
- 11.750 Cooperative Generic Technology Program (1980U2)  
Deleted (1982B)
- 11.800 Minority Business Enterprise (1970B)  
Minority Business Enterprise-Coordination and Technical Assistance (1971B)  
Minority Business Development-Coordination, Management, and Technical Assistance (1973B)  
Minority Business Development-Management and Technical Assistance (1978U)  
Minority Business Development Centers (1986U)  
Split into 11.801, 11.802, 11.803 (1986U)  
Basic Minority Business Development Centers (2000B)  
Minority Business Development Centers (2001B)  
Minority Business Enterprise Centers (2006)
- 11.801 American Indian Program (1986U)  
Native American Program (1993U)  
Native American Business Development Centers (2004)  
Naataive American Business Enterprise Centers (2006)
- 11.802 Minority Business and Industry Association-Minority Chambers of Commerce (1986U)  
Minority Business Resource Development (1991U)  
Minority Business Development (1998B)  
Deleted (2004)
- 11.803 Minority Business Development-State and Local Government Program (1986U)
- 11.803 Minority Business Opportunity Committee (2002B)  
Deleted (1988B)  
Reinstated (2002B)
- 11.806 Minority Business Opportunity Committee Development (2000B)  
Minority Business Opportunity Committee (2002B)  
Deleted (2003B)
- 11.900 Patent and Trademark Assistance (1969B)  
Patent and Trademark Technical Information Dissemination (1970B)
- 11.950 Visitor Services (1969B)  
Community Visitor Services (1972B)  
Deleted (1972U)
- 11.951 Promotion of Travel from Abroad (1972B)  
Matching Funds (1974B)  
Deleted (1973U)  
Reinstated (1974B)  
Matching Funds (1974B)  
Deleted (1980U1)
- 11.975 Telecommunications Management and Analysis (1971U)  
Deleted (1973B)
- 11.980 Productivity and Economic Growth  
Changed from 11.027 (1989B)  
Deleted (1993B)

## DEPARTMENT OF DEFENSE

- Drainage Improvement (1965B)  
Deleted (1969B)
- Flood, Hurricane or Abnormal Tide Protection (1967B)  
Deleted (1969B)
- Health Benefits for Uniformed Military Servicemen and Dependents (1967B)  
Deleted (1969B)
- Hydroelectric Power Development (1965B)  
Deleted (1969B)
- Information and Guidance on Flood Hazards (1967B)  
Deleted (1969B)
- Military Support of Community Projects (1967B)  
Deleted (1969B)
- Navigation in Rivers and Harbors (1967B)  
Deleted (1969B)
- Nuclear Disaster Planning and Survival (1967B)  
Deleted (1969B)
- Recreation Facilities at Federal Water Resources Projects (1967B)  
Deleted (1969B)
- Water Quality Control (1967B)  
Deleted (1969B)
- Water Resources Development Program (1965B)

Deleted (1967B)  
Water Resources Investigation (1967B)  
Deleted (1969B)  
Water Supply (1967B)  
Deleted (1969B)

12.000 Issue of Department Of Defense excess equipment (2005)

12.001 Machine Tool Loans to Vocational Schools. (1965B)  
Machine Tool Loan to Educational Institutions (1970B)  
Deleted (1973B)  
Reinstated (1974B)  
Industrial Equipment Loans to Educational Institutions (1974B)  
Deleted (1994B)

12.002 Procurement Technical Assistance for Business Firms (1988B)

12.100 Aquatic Plant Control (1967B)

12.101 Beach Erosion Control (1967B)  
Beach Erosion Control Projects (1971B)

12.102 Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (1984U)  
Emergency Rehabilitation of Flood Control Works and Federally Authorized Coastal Protection Works (1985U)  
Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (1986U)

12.103 Emergency Operations (1965B)  
Emergency Flood and Hurricane Operations (1969B)  
Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (1970B)  
Flood Fighting and Rescue Operations (1986U)  
Emergency Operations Flood Response and Post Flood Response (1987U)

12.104 Flood Control (1965B)  
Flood Plain Management Services (1969B)

12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (1970B)

12.106 Small Flood Control Projects (1970B)  
Flood Control Projects (1971B)

12.107 Limited Water Resources Development Projects (1967B)  
Small Navigation Projects (1969B)  
Navigation Projects (1971B)

12.108 Snagging and Clearing for Flood Control (1970B)

12.109 Snagging and Clearing for Navigation (1970U)  
Protection, Clearing and Straightening Channels (1978B)

12.110 Planning Assistance to States (1975U)

12.111 Flood Prevention (1983U)  
Emergency Advance Measures for Flood Prevention (1985U)

12.112 Payments to States (1986B)  
Payments to States in Lieu of Real Estate Taxes (1987B)

12.113 State Memorandum of Agreement Program for the Reimbursement of Technical Services (1991B)

12.114 Collaborative Research and Development (1994U)

12.116 DEPARTMENT OF DEFENSE APPROPRIATION ACT 2003 (2003B)

12.200 Memorial Plots in National Cemeteries (1970B)  
Transferred to 64.200 (1973U)

12.201 National Cemeteries (1969B)  
Transferred to 64.201 (1973U)

12.202 Procurement of Headstones and Markers (1970B)  
Transferred to 64.202 (1973U)

12.234 Civil Defense-Architect/Engineer Student Development (1972U)

12.300 Natural Disasters-Warning, Survival and Rehabilitation (1967B)  
Civil Defense (1969B)  
Civil Defense-Architect/Engineer Faculty Development (1970B)  
Deleted (1975B)

12.301 Civil Defense-Architect/Engineer Professional Development (1970B)  
Deleted (1977B)  
Basic and Applied Scientific Research, Reinstated (1999B)  
Deleted (2002B)

12.302 Civil Defense-Community Action (1970B)  
Civil Defense-Community Preparedness (1974B)  
Deleted (1977B)

12.303 Civil Defense-Community Involvement (1970B)  
Incorporated into 12.302 (1971B)

12.304 Civil Defense-Community Shelter Planning (1970B)  
Deleted (1973B)

12.305 Civil Defense-Emergency Operating Centers (1970B)  
Civil Defense-State and Local Emergency Operating Centers (1977B)  
Deleted (1979B)

12.306 Civil Defense-Emergency Water Supply Equipment (1970B)  
Deleted (1976U)

12.307 Civil Defense-Exhibits (1970B)  
Deleted (1975B)

12.308 Civil Defense-Federal Surplus Personal Property Donations (1970B)  
Deleted (1977U)

12.309 Civil Defense-Industrial Participation (1970B)  
Transferred to 83.205 (1980B)

12.310 Inspection, Maintenance, and Calibration of Civil Defense Radiological Equipment (1970B)  
Civil Defense-Radiological Systems Maintenance and Calibration of Civil Defense Radiological Equipment (1974B)  
Civil Defense-Radiological Systems Maintenance and Training of Radiological Personnel (1976U)  
Transferred to 83.206 (1980B)

12.311 Civil Defense-Marking and Stocking of Public Shelters (1970B)  
Deleted (1971U)

12.312 Civil Defense-National Fallout Shelter Survey (1970B)  
Civil Defense-National Shelter Survey (1975B)  
Transferred to 83.207 (1980B)

12.313 Civil Defense-National Organizations Liaison (1970B)  
Deleted (1973B)

12.314 Civil Defense-Staff College (1970B)  
Transferred to 83.400 (1980B)

12.315 Civil Defense-Personnel and Administrative Expenses (1970B)  
Civil Defense-State and Local Management (1977B)  
Transferred to 83.200 (1980B)

12.316 Civil Defense-Radiation Shielding Design and Advisory Services (1970B)  
Civil Defense-Radiation Shielding Design (1978B)  
Deleted, Transferred to 83.208 (1980B)



12.317	Civil Defense-Radiological Equipment Donation (1970B) Split from 12.300 (1970B) Deleted (1974U)		National Security Education Program David L. Boren Fellowships (2006)
12.318	Civil Defense-Shelter Information (1970B) Deleted (1973B)	12.553	National Flagship Language Program (NFLP) Fellowships (2006) National Flagship Language Program Fellowships (2006)
12.319	Civil Defense-Survival Supplies, Equipment and Training (1970B) Civil Defense-System Maintenance Services (1972B) Civil Defense-State and Local Maintenance and Services (1977B) Transferred to 83.201 (1980B)	12.554	English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (2006)
12.320	Civil Defense-University Extension (1970B) Consolidated into 12.325 (1974B)	12.555	English for Heritage Language Speakers Scholarships (2006)
12.321	Civil Defense-State and Local Supporting Systems Equipment (1971B) Civil Defense-State and local Supporting Materials (1977B) Deleted (1980B)	12.600	Community Economic Adjustment Program (1965B) Deleted (2007) Community Economic Adjustment (1969B)
12.322	Civil Defense-Loans of Excess Federal Personal Property (1971B) Civil Defense-Contributions Project Loan Program (1973B) Deleted (1980B)	12.601	Procurement in Labor Surplus Areas (1965B) Military Procurement from Labor Surplus Areas (1967B) Contracting With Labor Surplus Area Concerns Program (1970B) Contracting with Labor Surplus Area Concerns (1971B) Deleted (1973U)
12.323	Civil Defense-Education (1971) Consolidated into 12.325 (1974B)	12.602	Small Business Prime Contracting (1970B) Deleted (1973U)
12.324	Civil Defense-Architect/Engineer Student Development (1972U) Transferred to 83.401 (1980B)	12.603	Small Business Subcontracting Program (1970B) Small Business Subcontracting (1971B) Deleted (1973U)
12.325	Civil Defense-State and Local Civil Preparedness Instruction Program (1974B) Consolidated from 12.320, 12.323 (1974B) Deleted (1977B)	12.605	Small Business Subcontracting (1973B) Deleted (1973U)
12.350	Department of Defense HIV/AIDS Prevention Program (2006)	12.606	Selected Reserve Educational Assistance Program (1980U1) Deleted (1985U)
12.351	Basic Scientific Research - Combating Weapons of Mass Destruction (2007)	12.607	Military Base Reuse Studies and Community Planning Assistance (1985B) COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION, REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION (2007) Community Economic Adjustment Planning Assistance (1994B)
12.352	Scientific Research - Combating Weapons of Mass Destruction (2007)	12.608	Impact Assistance for Areas Affected by the East Coast Trident Program (1985B) Deleted (1994B)
12.360	Research on Chemical and Biological Defense (2007)	12.609	Selected Reserve Educational Assistance Program (1985U) Deleted (1994B)
12.400	National Guard Armories (1967B) Construction Program, Army National Guard (1970B) Construction, Army National Guard (1971B) Military Construction, Army National Guard (1974B) Military Construction, National Guard (1994B)	12.610	Joint Military/Community Comprehensive Land Use Plans (1989B) Community Economic Adjustment Planning Assistance for Joint Land Use Studies (2004) Joint Land Use Studies (1991U)
12.401	National Guard Military Operations and Maintenance (O&M) Projects (1996B)	12.611	Community Planning Assistance for Defense Industry Adjustments (1992B) Community Economic Adjustment Planning Assistance Reduction in Defense Industry Employment (1994B)
12.404	National Guard Civilian Youth Opportunities (2001B)	12.612	Community Base Reuse Plans (1994B)
12.420	Military Medical Research and Development (1991B)	12.613	Growth Management Planning Assistance (1994B)
12.431	Basic Scientific Research (1992U)	12.614	Community Economic Adjustment Assistance for Advance Planning (2005) COMMUNITY ECONOMIC ADJUSTMENT DIVERSIFICATION PLANNING (2007)
12.500	U.S. Soldiers Home (1970B) U.S. Soldiers' and Airmen's Home (1972U) U.S. Soldiers' and Airmen's Home (USSAH) and U.S. Naval Home (USNH) (1992B) Deleted (1994B)	12.630	Basic, Applied, and Advanced Research in Science and Engineering (1994U)
12.550	International Education-U.S. Colleges and Universities (1996U) National Flagship Language Program Grants To U.S. Institutions of Higher Education (2006)	12.640	Integrated Helicopter Design Tools (1998B)
12.551	National Security Education-Scholarships (1998B) National Security Education Program David L. Boren Scholarships (2006)	12.700	Donations/Loans of DOD Surplus Property (1971B) Donations/Loans of Obsolete DOD Property (1981U)
12.552	National Security Education-Fellowships (1998B) National Security Education Program David L. Boren Fellowships (2006)	12.800	Air Force Defense Research Sciences Program (1994B)
		12.900	Language Grant Program (1992U)
		12.901	Mathematical Sciences Grants Program (1992U)

- 12.902 Information Security Grant Program (1995U)
- 12.910 Research and Technology Development (1992B)
- 12.911 Defense Technology Conversion, Reinvestment, and Transition Assistance (1994B)  
Deleted (2002B)

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

- Arts and Humanities Institutes (1967B)  
Deleted (1969B)
- Assistance for Public Schools Affected by Major Disasters (1965B)  
Disaster Assistance for Public Schools (1967B)  
Deleted (1969B)
- Chronic Diseases and Health Problems of the Aged (1965B)  
Deleted (1969B)
- Community Health Services for Chronically Ill and Aged (1965B)  
Deleted (1969B)
- Community Immunization Program (1967B)  
Deleted (1969B)
- Comprehensive Planning for Vocational Rehabilitation Services (1967B)  
Deleted (1969B)
- Construction of Sewage Treatment Works in Appalachia (1965B)  
Deleted (1967B)
- Consumer Education (1967B)  
Deleted (1969B)
- Comprehensive State Health Planning (1967B)
- Comprehensive Health Planning-Grants to States (1969B)  
Deleted (1970B)
- Consumer Health Protection (1967B)  
Deleted (1969B)
- Cooperative Research Program (1965B)  
Deleted (1969B)
- Correctional Rehabilitation Study Program (1965B)  
Deleted (1969B)
- Counseling and Guidance Institutes (1967B)  
Deleted (1969B)
- Dental Care for the Chronically Ill, Aged, and Mentally Retarded (1965B)  
Dental Health Programs in Communities (1967B)  
Deleted (1969B)
- Comprehensive Health Planning (1967B)  
Deleted (1969B)
- Development and Expansion of Community Mental Health Programs (1965B)  
Deleted (1969B)
- Disaster Relief for Public Institutions of Higher Education (1967B)  
Deleted (1969B)
- Drug Abuse Control (1967B)  
Deleted (1969B)
- Educational Advisory Services and Data (1965B)  
Deleted (1969B)
- Education and Training Facilities to Obtain Employment in Appalachian Region (1965B)  
Deleted (1969B)

- Education of Children of Low-Income Families (1965B)
- Improving Education of Educationally Deprived Children (1967B)  
Educationally Deprived Children (1969B)  
Split into 13.427, 13.428, 13.429, 13.430, 13.431 (1970B)  
Educational Assistance for Federally Affected Areas (1965B)  
Deleted (1967B)
- Environmental Engineering and Food Protection (1965B)  
Deleted (1967B)
- Equipment to Improve Undergraduate Instruction (1965B)  
Deleted (1967B)
- Environmental Sanitation (1967B)  
Split into 13.328, 13.329 (1970B)  
Faculty Development Programs (1965B)  
Faculty Development Programs in Educational Media (1967B)  
Deleted (1969B)
- Federal Credit Unions-Loans and Thrift and Financial Counseling (1965B)  
Federal Credit Union Charter, Examination and Supervision (1969B)  
Transferred to 44.001 (1970B)
- Federal, State, and Private Programs of Low Interest Loans to Students in Institutions of Higher Education (1965B)  
Deleted (1967B)
- Fellowships for Teachers (1965B)  
Deleted (1967B)
- Full Utilization of Educational Talent (1967B)  
Deleted (1969B)
- Grants for Improving State Hospitals for the Mentally Retarded (1967B)  
Deleted (1969B)
- Grants for Community Health Practice and Research (1965B)
- Grants for Public Health Practice and Research (1967B)  
Deleted (1969B)
- Grants to State Educational Agencies to Improve Statistical Services (1967B)  
Deleted (1969B)
- Handicapped Children-Assistance to State Schools (1969B)  
Incorporated into Handicapped Preschool, School Programs (1970B)
- Handicapped Children and Youth Research and Demonstration (1967B)  
Deleted (1969B)
- Health Facilities For Appalachian Regional Development (1965B)  
Appalachia Regional Development-Demonstration Health Facilities (1967B)  
Deleted (1969B)
- Health Professions Educational Assistance (1965B)
- Health Manpower Education and Utilization-Institutional Support (1969B)  
Split into 13.339, 13.340, 13.341, 13.342 (1970B)
- Health Referral Services for Armed Forces Medical Rejectees (1965B)  
Deleted (1969B)
- Health Research Facilities Construction (1967B)
- Health Research Facilities and Resources-Construction (1969B)  
Deleted (1969B)
- Injury Control (1967B)

Deleted (1969B)

Institutes for Advanced Study (1967B)

Deleted (1969B)

Institutes for Teachers of Disadvantaged Youth-National Program (1965B)

Deleted (1969B)

Institutional Assistance Grant Program (1967B)

Deleted (1969B)

Instructional Equipment Program (1967B)

Deleted (1969B)

Intensive Community Immunization Program (1965B)

Deleted (1967B)

Juvenile Delinquency and Youth Offences Prevention and Control (1965B)

Juvenile Delinquency Prevention and Control (1969B)

Split into 13.711, 13.712, 13.713 (1970B)

Low Interest Loans to Students in Institutions of Higher Education (1967B)

Deleted (1969B)

Medical Assistance to the Aged-Kerr-Mills Program (1965B)

Deleted (1970B)

Medical Library Assistance (1965B)

Split into 13.348, 13.349, 13.350, 13.351, 13.352, 13.353 (1970B)

Mental Health Centers in Communities (1965B)

Deleted (1969B)

Mental Health-Research and Training (1965B)

Split into 13.242, 13.244 (1970B)

Mental Retardation (1967B)

Deleted (1969B)

Mental Retardation-Research Centers (1965B)

Deleted (1967B)

Mental Retardation-University Affiliated Clinical Facilities (1965B)

Deleted (1969B)

Narcotic Drug Problems (1965B)

Deleted (1969B)

National Technical Institute for the Deaf (1965B)

Deleted (1970B)

National Vocational Student Loan Insurance (1965B)

Deleted (1969B)

New Media Research (1967B)

Deleted (1969B)

Project Support for Handicapped Individuals (1967B)

Deleted (1970B)

Projects for Health Care and Services for School and Preschool Children (1967B)

Health of School and Preschool Children Projects (1969B)

Deleted (1970B)

Prospective Teacher Fellowship Program (1967B)

Deleted (1969B)

Public Health Training for American Indians (1965B)

Public Health Training-Traineeships (1965B)

Deleted (1969B)

Real Property for Educational and Public Health Use (1965B)

Surplus Property for Educational and Public Health Uses (1967B)

Surplus Property Utilization (1969B)

Transferred to 39.002 (1970B)

Refugee Assistance (1965B)

Cuban Refugee Program (1967B)

Split into 13.725, 13.726, 13.727 (1970B)

Research and Demonstration Projects-Social Welfare and Social Security (1965B)

Deleted (1967B)

Research Training (1967B)

Deleted (1969B)

Science Youth Activities (1967B)

Deleted (1969B)

Social Security-Old Age, Survivors, and Disability Insurance (1965B)

Social Security-Retirement and Survivors Insurance (1967B)

Incorporated into 13.802, 13.803, 13.805 (1969B)

Strengthening Instruction in the Humanities and the Arts (1967B)

Deleted (1970B)

Strengthening State Departments of Education (1967B)

Split into 13.485, 13.486 (1970B)

Teaching Materials for the Blind (1965B)

Educational Materials for the Blind (1969B)

Deleted (1970B)

Training of Professional Personnel for Care of Crippled Children (1967B)

Deleted (1969B)

Treatment of Narcotic Addicts (1965B)

Narcotic Addict-Clinical Centers (1969B)

Deleted (1970B)

Tuberculosis Special Project Grants (1967B)

Deleted (1968)

Veneral Disease Project Grants (1967B)

Deleted (1968)

Vocational Education in Specified Occupational Areas (1965B)

Deleted (1967B)

Vocational Rehabilitation Research and Demonstration Grant Program (1967B)

Deleted (1969B)

Vocational Rehabilitation Services to Blind Persons (1967B)

Deleted (1970B)

Vocational Student Loan Insurance (1967B)

Deleted (1969B)

Water Pollution Control Programs (1965B)

Deleted (1967B)

Work Experience Program (1965B)

Deleted (1969B)

Work Study Grants (1967B)

Deleted (1969B)

Education of Handicapped and Deaf-Blind Children (1969B)

Consolidated into Educationally Deprived Children-Handicapped (1970B)

Educational Research, Surveys, Demonstrations, and Dissemination (1969B)



Deleted (1970B)		Deleted (1970B)
Educational Research Facilities (1969B)		Health Research Facilities and Resources-Special Research Resources (1969B)
Deleted (1970B)		Deleted (1970B)
Higher Education Equipment (1969B)		Health Research-Fellowships (1969B)
Deleted (1970B)		Deleted (1970B)
Regional Educational Research (1969B)		Health Research-Project Grants (1969B)
Deleted (1970B)		Deleted (1970B)
International Organizations Recruitment (1969B)		Health Research-Training Grants (1969B)
Deleted (1970B)		Deleted (1970B)
Comparative Education Services (1969B)		Services for Older Americans (1965B)
Deleted (1970B)		Aging-Community Planning, Services and Training (1969B)
Mental Retardation-Information and Coordination (1969B)		Aging-Training (1969B)
Deleted (1970B)		Incorporated into 13.700, 13.701, 13.702 (1970B)
Gallaudet College (1969B)		Medical Assistance to Public Assistance Recipients (1969B)
Deleted (1970B)		Deleted (1970B)
Howard University (1969B)		Rehabilitation Research and Demonstrations (1969B)
Deleted (1970B)		Deleted (1970B)
Model Secondary School for the Deaf (1969B)		Rehabilitation Research and Training Centers (1969B)
Deleted (1970B)		Deleted (1970B)
Public Broadcasting Corporation (1969B)		Vocational Rehabilitation Facilities and Workshops (1969B)
Deleted (1970B)		Deleted (1970B)
Food and Drug-Advisory Opinions Survey (1969B)		Vocational Rehabilitation Services to Blind Persons (1969B)
Consolidated into 13.100 (1970B)		Deleted (1970B)
Food and Drug-Consumer Education (1965B)		Vocational Rehabilitation Training (1969B)
Deleted (1970B)		Deleted (1970B)
Food and Drug-Regulatory Activities (1969B)		Deaf-Blind Youth and Adults (1969B)
Deleted (1970B)		Deleted (1970B)
Food and Drug-Training for State and Local Officials (1969B)		Mental Retardation-Initial Staffing of Community Facilities (1969B)
Deleted (1970B)		Deleted (1970B)
Food and Drug-Voluntary Compliance (1969B)		Rehabilitation Services Expansion (1969B)
Consolidated into 13.100 (1970B)		Deleted (1970B)
Milk and Food-Consumer Protection (1969B)		Social Statistics (1969B)
Deleted (1970B)		Deleted (1970B)
Health Facilities Consultation and Technical Assistance (1969B)		13.001 Air Pollution Program (1965B)
Deleted (1970B)		Air Pollution Control (1967B)
Narcotic and Drug Abuse-Research and Training (1969B)		The program was split into the following programs: (1969B)
Deleted (1970B)		Air Pollution-Control, Technical Assistance, and Information (1969B)
Patient Care and Special Health Services (1969B)		Air Pollution-Interstate Abatement and Motor Vehicle Emission Standards (1969B)
Deleted (1970B)		Air Pollution-Research, Development, and Survey (1969B)
Alcoholism Prevention and Control (1969B)		Air Pollution-Training and Fellowships (1969B)
Deleted (1970B)		Air Pollution Control Program Grants (1970B)
Applied Research and Training-Clinical Center (1969B)		Transferred to 66.001 (1971B)
Deleted (1970B)		13.002 Air Pollution Fellowships (1970B)
Health Education Facilities Construction (1969B)		Transferred to 66.002 (1971B)
Deleted (1970B)		13.003 Air Pollution Manpower Training Grants (1970B)
Health Research-Cerebrovascular Traineeships (1969B)		Transferred to 66.003 (1971B)
Deleted (1970B)		13.004 Air Pollution Research Grants (1970B)
Health Research Facilities and Resources-General Clinical Research Centers (1969B)		Transferred to 66.004 (1971B)
Deleted (1970B)		13.005 Air Pollution Survey and Demonstration Grants (1970B)
Health Research Facilities and Resources-General Research Support (1969B)		

- Transferred to 66.005 (1971B)
- 13.006 Housing and Urban Environmental Health (1969B)  
Community Environmental Management Fellowships (1970B)  
Deleted (1971B)
- 13.007 Community Environmental Management Research Grants (1970B)  
Deleted (1971B)
- 13.008 Community Environmental Management Training Grants (1970B)  
Deleted (1971B)
- 13.009 Environmental Control Training Institute-Direct Training (1970B)  
Deleted (1971B)
- 13.010 Occupational Health (1967B)  
Occupational Health Research Grants (1970B)  
Number changed to 13.262 (1972B)
- 13.011 Occupational Health Training Grants (1970B)  
Number changed to 13.263 (1972B)
- 13.012 Radiological Health (1967B)  
Radiological Health Research Grants (1970B)  
Split into 13.012, 13.013 (1970B)  
Transferred to 66.200 (1971B)
- 13.013 Radiological Health Training Grants (1970B)  
Transferred to 66.201 (1971B)
- 13.014 Solid Wastes Demonstration Grants (1970B)  
Transferred to 66.300 (1971B)
- 13.015 Solid Wastes Planning Grants (1970B)  
Transferred to 66.301 (1971B)
- 13.016 Solid Waste Program (1967B)  
Solid Wastes-Financial Assistance (1969B)  
Solid Wastes Research Grants (1970B)  
Transferred to 66.302 (1971B)
- 13.017 Solid Wastes-Technical Assistance and Training (1969B)  
Solid Wastes Training Grants (1970B)  
Transferred to 66.303 (1971B)
- 13.018 Water Hygiene (1969B)  
Water Hygiene Research Grants (1970B)  
Split into 13.018, 13.019 (1970B)  
Transferred to 66.414 (1971B)
- 13.019 Water Hygiene Training Grants (1970B)  
Deleted (1971B)
- 13.100 Food and Drug-Consumer Protection Research (1969B)  
Food and Drug Research Projects Grants (1970B)  
Incorporated/Split into 13.101, 13.103 (1971B)
- 13.101 Food and Drug Research-Product Safety Research Grants (1970U)  
Product Safety Research Grants (1971B)  
Deleted (1973B)
- 13.102 Food and Drug Research-Pesticides Research Grants (1970U)  
Transferred to 66.100 (1971B)
- 13.103 Food Research Grants (1971B)  
Split from 13.100 (1971B)  
Food and Drug Administration-Research Grants (1974B)  
Food and Drug Administration-Research (1977U)
- Number changed to 93.103 (1990U)
- 13.104 Food Research Training Grants (1971B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1975U)
- 13.105 Radiological Health Research Grants (1971U)  
Incorporated into 13.103 (1974B)
- 13.106 Radiological Health Training Grants (1971U)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1975U)
- 13.108 Health Education Assistance Loans (1981B)  
Transferred from 84.090 (1981B)  
Number changed to 93.108 (1990U)
- 13.110 Maternal and Child Health Federal Consolidated Programs (1982B)  
Number changed to 93.110 (1990U)
- 13.111 Adolescent Family Life Research Grants (1982B)  
Number changed to 93.111 (1990U)
- 13.112 Characterization of Environmental Health Hazards (1983B)  
Split from 13.892, 13.893 (1983B)  
Number changed to 93.112 (1990U)
- 13.113 Biological Response to Environmental Health Hazards (1983B)  
Split from 13.892, 13.893 (1983B)  
Number changed to 93.113 (1990U)
- 13.114 Applied Toxicological Research and Testing (1983B)  
Split from 13.892, 13.893 (1983B)  
Number changed to 93.114 (1990U)
- 13.115 Biometry and Risk Estimation (1983B)  
Split from 13.892, 13.893 (1983B)  
Biometry and Risk Estimation-Health Risks from Environmental Exposures (1985B)  
Number changed to 93.115 (1990U)
- 13.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (1983B)  
Number changed to 93.116 (1990U)
- 13.117 Grants for Preventive Medicine Residency Training (1983B)  
Number changed to 93.117 (1990U)
- 13.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (1983U)  
Number changed to 93.118 (1990U)
- 13.119 Grants for Podiatric Medicine Training (1984B)  
Incorporated into 13.199 (1990B)
- 13.120 Mental Health Services for Cuban Entrants (1984B)  
Number changed to 93.120 (1990U)
- 13.121 Diseases of the Teeth and Supporting Tissues (1984B)  
Consolidated from 13.840, 13.841, 13.843, 13.878 (1984B)  
Disorders of Craniofacial Structure and Function, and Behavioral Aspects of Dentistry (1985B)  
Number changed to 93.121 (1990U)
- 13.122 Disorders of Structure, Function, and Behavior (1984B)  
Consolidated from 13.842, 13.844 (1984B)  
Disorders of Craniofacial Structure Function, and Behavioral Aspects of Dentistry (1985B)  
Consolidated into 93.121 (1990U)

- 13.123 Health Professions Pregraduate Scholarship Program for Indians (1984U)  
Number changed to 93.123 (1990U)
- 13.124 Nurse Anesthetist Traineeships (1985B)  
Number changed to 93.124 (1990U)
- 13.125 Mental Health Planning and Demonstration Projects (1985B)  
Number changed to 93.125 (1990U)
- 13.126 Small Business Innovation Research (1985B)  
Number changed to 93.126 (1990U)
- 13.127 Emergency Medical Services for Children (1985U)  
Deleted (1988B)  
Reinstated (1989B)  
Number changed to 93.127 (1990U)
- 13.128 Refugee Assistance-Mental Health (1985U)  
Deleted (1989B)
- 13.129 Technical and Non-Financial Assistance to Community Health Centers (1985U)  
Number changed to 93.129 (1990U)
- 13.130 Primary Care Services Planning and Development Cooperative Agreements (1985U)  
Number changed to 93.130 (1990U)
- 13.131 Shared Research Facilities for Heart, Lung, and Blood Diseases (1985U)  
Deleted (1988B)
- 13.132 Acquired Immune Deficiency Syndrome (AIDS) Research (1986B)  
Acquired Immunodeficiency Syndrome (AIDS) Research (1988B)  
Incorporated into 13.821 (1989B)
- 13.133 Health Services Delivery to AIDS Victims-Demonstration Grants (1986B)  
Health Services Delivery to Persons with AIDS-Demonstration Grants (1988B)  
Number changed to 93.133 (1990U)
- 13.134 Assistance for Organ Procurement Organizations (1986B)  
Number changed to 93.134 (1990U)
- 13.135 Centers for Research and Demonstration of Health Promotion and Disease Prevention (1986U)  
Centers for Research and Demonstration for Health Promotion and Disease Prevention (1987B)  
Number changed to 93.135 (1990U)
- 13.136 Research and Demonstration Projects, Injury Prevention Research Centers, and Incentive Grants for Intervention Projects (1986U)  
Injury Prevention and Control Research Projects, Injury Prevention Research Centers, Applied Methods in Surveillance Projects, and State and Community-Based Injury Control Projects (1989B)  
Number changed to 93.136 (1990U)
- 13.137 Minority Community Health Coalition Demonstration (1986U)  
Number changed to 93.137 (1990U)
- 13.138 Protection and Advocacy for Mentally Ill Individuals (1986U)  
Number changed to 93.138 (1990U)
- 13.139 Financial Assistance for Disadvantaged Health Professions Students (FADHPS) (1986U)  
Number changed to 93.139 (1990U)
- 13.140 Intramural Research Training Award (1987B)  
Number changed to 93.140 (1990U)
- 13.141 Alcohol, Drug Abuse Treatment and Rehabilitation Block Grant (1987B)  
Deleted (1989B)
- 13.142 NIEHS Hazardous Waste Worker Health and Safety Training (1987B)  
Number changed to 93.142 (1990U)
- 13.143 NIEHS Superfund Hazardous Substances-Basic Research and Education (1987B)  
Number changed to 93.143 (1990U)
- 13.144 Drug and Alcohol Abuse-High-Risk Youth Demonstration Grants (1987B)  
Drug and Alcohol Abuse Prevention-High-Risk Youth Demonstration Grants (1989B)  
Number changed to 93.144 (1990U)
- 13.145 AIDS Education and Training Centers (1987U)  
Number changed to 93.145 (1990U)
- 13.146 AIDS Drug Reimbursements (1987U)  
Temporary AIDS Drug Reimbursements (1990B)  
Number changed to 93.146 (1990U)
- 13.147 Post-Baccalaureate Faculty Fellowships (1987U)  
Number changed to 93.147 (1990U)
- 13.148 Leadership and Excellence in Alzheimer's Disease and Related Dementias (1987U)  
Incorporated into 13.866 (1989B)
- 13.149 Grants for Two-Year Programs of Schools of Medicine or Osteopathy (1987U)  
Grants for Two-Year Programs of Schools of Medicine or Osteopathic Medicine (1990B)  
Number changed to 93.149 (1990U)
- 13.150 Community Health Services Block Grant for the Homeless (1987U)  
Mental Health Services for the Homeless Block Grant (1988B)  
Number changed to 93.150 (1990U)
- 13.151 Project Grants for Health Services to the Homeless (1987U)  
Number changed to 93.151 (1990U)
- 13.152 Community Demonstration Grant Projects for Alcohol and Drug Abuse Treatment of Homeless Individuals (1987U)  
Number changed to 93.152 (1990U)
- 13.153 Pediatric AIDS Health Care Demonstration Program (1988B)  
Number changed to 93.153 (1990U)
- 13.154 Special International Postdoctoral Research Program in Acquired Immunodeficiency Syndrome (1988B)  
Number changed to 93.154 (1990U)
- 13.155 Rural Health Policy/Research Centers (1988B)  
Rural Health Research Centers (1988U)  
Number changed to 93.155 (1990U)
- 13.156 Grants for Faculty Training Projects in Geriatric Medicine and Dentistry (1988B)  
Number changed to 93.156 (1990U)
- 13.157 Excellence in Minority Health Education and Care (1988B)  
Number changed to 93.157 (1990U)
- 13.158 State Comprehensive Mental Health Service Planning Development Grants (1988B)  
Deleted (1990B)
- 13.159 Health Care Services in the Home (1988U)  
Number changed to 93.159 (1990U)
- 13.160 Minority AIDS Education/Prevention Grants (1988U)  
Number changed to 93.160 (1990U)
- 13.161 Health Program for Toxic Substances and Disease Registry (1988U)  
Number changed to 93.161 (1990U)
- 13.162 National Health Service Corps Loan Repayment (1988U)  
Number changed to 93.162 (1990U)
- 13.163 Health Services in the Pacific Basin (1988U)



- Number changed to 93.163 (1990U)
- 13.164 Indian Health Service Educational Loan Repayment (1988U)  
Number changed to 93.164 (1990U)
- 13.165 Grants for State Loan Repayment (1988U)  
Number changed to 93.165 (1990U)
- 13.166 Indian Health Service Health Promotion and Disease Prevention Demonstration Projects (1988U)  
Number changed to 93.166 (1990U)
- 13.167 Research Facilities Improvement (1988U)  
Number changed to 93.167 (1990U)
- 13.168 Human Immunodeficiency Virus (HIV) Services Planning Program Grants (1989B)  
Deleted (1990B)
- 13.169 Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse) (1989B)  
Number changed to 93.169 (1990U)
- 13.170 Community Youth Activity Demonstration Grants (1989B)  
Number changed to 93.170 (1990U)
- 13.171 Community Youth Activity Block Grants (1989B)  
Number changed to 93.171 (1990U)
- 13.172 Human Genome Research (1989B)  
Split from 13.862 (1989B)  
Number changed to 93.172 (1990U)
- 13.173 Biological Research Related to Deafness and Communicative Disorders  
Consolidated from 13.853, 13.854 (1989B)  
Number changed to 93.173 (1990U)
- 13.174 Conference Grant (Substance Abuse) (1989B)  
Number changed to 93.174 (1990U)
- 13.175 Drug Abuse Treatment Waiting List Reduction Grants (1989B)  
Number changed to 93.175 (1990U)
- 13.176 ADAMHA Small Instrumentation Program Grants (1989B)  
Number changed to 93.176 (1990U)
- 13.177 Integrated Community-Based Primary Care and Drug Abuse Treatment Services (1989U)  
Number changed to 93.177 (1990U)
- 13.178 Nursing Education Opportunities for Individuals from Disadvantaged Backgrounds (1989U)  
Number changed to 93.178 (1990U)
- 13.179 State Data Collection-Uniform Alcohol and Drug Abuse Data (1989U)  
Number changed to 93.179 (1990U)
- 13.180 Medical Treatment Effectiveness Research (1989U)  
Number changed to 93.180 (1990U)
- 13.181 Podiatric Primary Care Residency Training (1989U)  
Number changed to 93.181 (1990U)
- 13.182 Scholarships for the Undergraduate Education of Professional Nurses (1989U)  
Number changed to 93.182 (1990U)
- 13.183 Federal Assistance for Rural Hospitals for the Advancement and Improvement of Health Care Services and the Enhancement of Quality Care (1989U)  
Number changed to 93.183 (1990U)
- 13.184 Disabilities Prevention (1989U)  
Number changed to 93.184 (1990U)
- 13.185 Immunization Research, Demonstration, Public Information and Education-Education, Training, and Clinical Skills Improvement Projects (1989U)  
Number changed to 93.185 (1990U)
- 13.186 National Research Services Awards (1989U)  
Number changed to 93.186 (1990U)
- 13.187 Research Program on Generic Issues Related to Health Assessments (1990B)  
Deleted (1990U)
- 13.188 Special Project Grants to Schools of Public Health (1990B)  
Number changed to 93.188 (1990U)
- 13.189 Health Education and Training Centers (1990B)  
Number changed to 93.189 (1990U)
- 13.190 Model Education Projects for Health Professions (1990B)  
Number changed to 93.190 (1990U)
- 13.191 Allied Health Project Grants (1990B)  
Number changed to 93.191 (1990U)
- 13.192 Interdisciplinary Training for Health Care for Rural Areas (1990B)  
Number changed to 93.192 (1990U)
- 13.193 Urban Indian Alcohol and Substance Abuse Prevention, Treatment, Rehabilitation and Education (1990B)  
Number changed to 93.193 (1990U)
- 13.194 Community Partnership Demonstration Grant (1990B)  
Number changed to 93.194 (1990U)
- 13.195 Disaster Relief Assistance Grants for Drug Abuse Treatment (1990B)  
Number changed to 93.195 (1990U)
- 13.196 Cooperative Agreements for Drug Abuse Treatment Improvement Projects in Target Cities (1990B)  
Number changed to 93.196 (1990U)
- 13.197 Childhood Lead Poisoning Prevention Projects-State and Community-Based Childhood Lead Poisoning Prevention (1990B)  
Number changed to 93.197 (1990U)
- 13.198 Biological Models and Materials Resources (1990B)  
Number changed to 93.198 (1990U)
- 13.199 HIV Home and Community-Based Health Services (1990B)  
Number changed to 93.199 (1990U)
- 13.200 Communicable Diseases Protection (1969B)  
Communicable Disease Prevention and Control-Consultation and Technical Assistance (1970B)  
Split into 13.200, 13.201, 13.202, 13.203 (1970B)  
Disease Control-Consultation and Technical Assistance (1972B)  
Consolidated into 13.283 (1974B)
- 13.201 Communicable Diseases-Laboratory Improvement (1970B)  
Disease Control-Laboratory Improvement (1972B)  
Deleted (1973B)
- 13.202 Communicable Diseases-Research Grants (1970B)  
Disease Control-Research Grants (1971B)  
Deleted (1973B)
- 13.203 Communicable Diseases-Training Public Health Workers (1970B)  
Disease Control-Training Public Health Workers (1971B)  
Deleted (1973B)
- 13.204 Communicable Diseases Services and Control (1969B)  
Communicable Diseases-Tuberculosis Control (1970B)  
Split into 13.204, 13.205 (1970B)

- Disease Control-Tuberculosis (1972B)  
Consolidated into 13.283 (1974B)
- 13.205 Communicable Diseases-Venereal Disease Control (1970B)  
Disease Control-Venereal Disease (1972B)  
Consolidated into 13.283 (1974B)
- 13.206 Areawide Comprehensive Health Planning Projects (1967B)  
Comprehensive Health Planning-Areawide Grants (1970B)  
Deleted (1975B)
- 13.207 Areawide Planning of Health Facilities (1967B)  
Comprehensive Health Planning-Grants to States (1970B)  
Deleted (1975B)
- 13.208 Training, Studies, and Demonstrations in Comprehensive Health Planning (1967B)  
Comprehensive Health Planning-Training, Studies and Demonstrations (1970B)  
Deleted (1973B)
- 13.209 Comprehensive Health Care (1969B)  
Comprehensive Health Services-Standard Setting and Resource Development (1970B)  
Incorporated into 13.206, 13.207, 13.208, 13.210, 13.224 (1971B)
- 13.210 Comprehensive Public Health Services (1967B)  
Public Health Comprehensive Services-Grants (1969B)  
Comprehensive Public Health Services-Formula Grants (1970B)  
Health Incentive Grants for Comprehensive Public Health Services (1979U2)  
Consolidated into 13.991 (1982B)
- 13.211 Crippled Children's Services (1965B)  
Services for Crippled Children (1967B)  
Consolidated into 13.994 (1982B)
- 13.212 Dental Health of Children (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Incorporated into 13.232 (1974U)
- 13.213 Emergency Health-Civil Defense Medical Self-Help (1970B)  
Deleted (1973B)
- 13.214 Emergency Health Activities (1969B)  
Emergency Health-Community Preparedness (1970B)  
Deleted (1973B)
- 13.215 Manpower Development and Training-Classroom Instruction (1969B)  
Emergency Health-Hospital and Ambulance Services (1970B)  
Incorporated into 13.214 (1972B)
- 13.216 Emergency Health-Medical Stockpile (1970B)  
Deleted (1973B)
- 13.217 Family Planning Projects (1970B)  
Incorporated into 13.232 (1974U)  
Reinstated/Split from 13.232 (1975B)  
Family Planning-Services (1983U)  
Number changed to 93.217 (1990U)
- 13.218 Health of School and Preschool Children Projects (1969B)  
Health Care of Children and Youth-Special Projects (1970B)  
Health Care of Children and Youth (1971B)  
Deleted (1973B)  
Reinstated (1973U)
- Incorporated into 13.232 (1974U)
- 13.219 Hospital and Medical Facilities Construction (1965B)  
Health Facilities Construction (1969B)  
Specialized Clinical Equipment in Hospitals (1969B)  
Health Facilities Construction-Diagnostic and Treatment Centers (1970B)  
Split into 13.219, 13.220, 13.221, 13.222 (1970B)  
Incorporated into 13.220 (1971B)
- 13.220 Health Facilities Construction-Hospitals and Public Health Centers (1970B)  
Health Facilities Construction-Grants (1971B)  
Deleted (1975B)  
Reinstated (1977U)  
Medical Facilities Construction-Formula Grants (1977U)  
Incorporated into 13.887 (1979U1)
- 13.221 Health Facilities Construction-Long-Term Care Facilities (1970B)  
Incorporated into 13.220 (1971B)
- 13.222 Health Facilities Construction-Rehabilitation Facilities (1970B)  
Incorporated into 13.220 (1971B)
- 13.223 Community Health Planning (1965B)  
Health Facilities Consultation and Technical Assistance (1969B)  
Health Facilities Construction-Technical Assistance (1970B)  
Deleted (1975B)
- 13.224 Health Services Development Projects (1967B)  
Health Services Development (1969B)  
Health Services Development-Project Grants (1970B)  
Split into 13.224, 13.267 (1972B)  
Community Health Centers (1976U)  
Number changed to 93.224 (1990U)
- 13.225 Health Services Research and Development (1969B)  
Health Services Research and Development-Fellowships and Training (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1975U)  
National Research Service Awards-Health Services Research Training, Reinstated (1986B)  
Number changed to 93.225 (1990U)
- 13.226 Health Services Research and Development-Grants and Contracts (1970B)  
Health Services Research and Development-Grants to State Agencies (1980B)  
Health Services Research and Development Grants (1980U1)  
Number changed to 93.226 (1990U)
- 13.227 Health Statistics (1965B)  
Health Statistics Analysis and Technical Assistance (1970B)  
Health Statistics Training and Technical Assistance (1971B)  
Deleted (1981B)
- 13.228 Indian Health Activities (1969B)  
Indian Health Services (1970B)  
Indian Health Services-Health Management Development Program (1977B)  
Number changed to 93.228 (1990U)
- 13.229 Health Services and Facilities for American Indians (1965B)  
Sanitation Facilities for American Indians (1967B)

	Indian Health Facilities Construction (1969B)		Incorporated into Comprehensive Public Health Services-Formula Grants (the Formula part of the program) (1967B)
	Indian Sanitation Facilities (1970B)		Mental Health-Staffing of Community Mental Health Centers (1970B)
	Indian Health Services-Sanitation Management Development Program (1977B)		Incorporated into 13.240 (the Grants portion) (1970B)
	Deleted (1981U)		Mental Health-Community Mental Health Centers (1972B)
13.230	Intensive Infant Care Projects (1970B)		Community Mental Health Centers-Staffing and Construction (1976B)
	Deleted (1973B)		Incorporated into 13.252 (Split, construction grants no longer funded; staffing grants ) (1978B)
	Reinstated (1973U)	13.241	Mental Health Fellowships (1970B)
	Incorporated into 13.232 (1974U)		Split into 13.241, 13.271, 13.277, 13.281 (1974B)
13.231	Research Relating to Maternal and Children Health and Crippled Children's Services (1965B)		Deleted (1976B)
	Maternal and Child Health and Crippled Children's Research Projects (1969B)	13.242	Mental Health Research Grants (1970B)
	Maternal and Child Health Research (1970B)		Split into 13.242, 13.273, 13.279 (1974B)
	Consolidated into 13.994 (1982B)		Number changed to 93.242 (1990U)
13.232	Maternal and Child Health Services (1965B)	13.243	Mental Health Scientific Communications and Public Education (1970B)
	Maternal and Child Health Services Improvement (1969B)		Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (1974B)
	Maternal and Child Health Services (1970B)		Deleted (1975U)
	Consolidated into 13.994 (1982B)		Reinstated (1979B)
13.233	Health Care and Related Services for Mothers and Children-Training (1969B)		Deleted (1987B)
	Maternal and Child Health Training (1970B)	13.244	Mental Health Training Grants (1970B)
	Consolidated into 13.994 (1982B)		Split into 13.244, 13.274, 13.280 (1974B)
13.234	Maternity and Infant Care Projects (1967B)		Mental Health Clinical or Service Related Training Grants (1977B)
	Maternity and Infant Care Support (1969B)		Number changed to 93.244 (1990U)
	Maternity and Infant Care Projects (1970B)	13.245	Migrant Health-Technical Assistance (1970B)
	Deleted (1973B)		Incorporated into 13.246 (1971B)
	Reinstated (1973U)	13.246	Health Service for Agricultural Migratory Workers (1965B)
	Incorporated into 13.232 (1974U)		Health Services for Migratory Workers (1969B)
13.235	Narcotic Addiction Rehabilitation Facilities (1969B)		Migrant Health Grants (1970B)
	Mental Health-Community Assistance Grants for Narcotic Addiction (1970B)		Migrant Health Centers Grants (1980B)
	Mental Health-Community Assistance Grants for Narcotic Addiction and Drug Abuse (1971B)		Number changed to 93.246 (1990U)
	Drug Abuse Community Service Programs (1974B)	13.247	Regional Medical Programs-Kidney Disease Control (1970B)
	Split into 13.235, 13.275 (1974B)		Incorporated into 13.249 (1972B)
	Deleted (1982B)	13.248	Regional Medical Programs-Nutrition (1970B)
13.236	Mental Retardation-Community Facilities Construction (1965B)		Center for Disease Control-Nutrition (1971B)
	Community Mental Health Support-Construction and Staffing Mental Health Centers (1969B)		Disease Control-Nutrition (1972B)
	Mental Health-Construction of Community Mental Health Centers (1970B)		Deleted (1973B)
	Incorporated into 13.220 (1971B)	13.249	Regional Medical Programs (1965B)
13.237	Mental Health-State Hospital Improvement (1969B)		Heart, Cancer, and Stroke-Regional Medical Programs (1969B)
	Mental Health-Hospital Improvement Grants (1970B)		Regional Medical Programs-Operational and Planning Grants (1970B)
	Deleted (1979U2)		Deleted (1973B)
13.238	Mental Health-Hospital Staff Development Grants (1970B)	13.250	Regional Medical Programs-Smoking and Health (1970B)
	Deleted (1979U2)		Disease Control-Smoking and Health (1972B)
13.239	Narcotic Addict-Clinical Centers (1969B)		Consolidated into 13.283 (1974B)
	Mental Health-Narcotic Addict Treatment (1970B)	13.251	Mental Health-Staffing of Comprehensive Alcoholism Services (1971B)
	Incorporated into Mental Health-Narcotic Addict Treatment Program (1970B)		Mental Health-Community Assistance Grants for Comprehensive Alcoholism Services (1972B)
	Narcotic Addict Rehabilitation Act Contracts (1974B)		Alcohol Community Service Programs (1974B)
	Deleted (1979B)		Split into 13.252 (1978B)
13.240	Development and Expansion of Community Mental Health Programs (1967B)	13.252	Mental Health-Direct Grants for Special Projects (1971B)
			Mental Health-Direct Grants for Special Projects (Alcoholism) (1971U)



	Alcohol Demonstration Programs (1974B)		Split from 13.224 (1972B)
	Split into 13.252, 13.274 (1974B)		Consolidated into 13.994 (1982B)
	Alcohol Treatment and Rehabilitation/Occupational Alcoholism Services Programs (1978B)	13.268	Communicable Disease Control (Section 317, Public Health Service Act) (1972U)
	Split into 13.252, 13.898, 13.899 (1978B)		Disease Control-Project Grants (1973B)
	Deleted (1982B)		Childhood Immunization Grants (1979U1)
13.253	Health Facilities Construction-Loans and Loan Guarantees (1971B)		Number changed to 93.268 (1990U)
	Deleted (1975B)	13.269	Mental Health-Drug Abuse Formula Grants (1973B)
	Reinstated (1977U)		Drug Abuse Formula Grants (1974B)
	Medical Facilities Construction-Loans and Loan Guarantees (1977U)		Drug Abuse Prevention Formula Grants (1975B)
	Deleted (1980U1)		Deleted (1982B)
13.254	Mental Health-Direct Grants for Special Projects (Narcotic Addition and Drug Abuse) (1971U)	13.270	Alcohol Fellowships (1974U)
	Mental Health-Direct Grants for Special Projects (1973U)		Deleted (1976B)
	Drug Abuse Demonstration Programs (1974B)	13.271	Aid for Public School Desegregation (1967B)
	Split into 13.254, 13.280 (1974B)		Alcohol Research Development Awards (1974B)
	Deleted (1982B)		Split from 13.241 (1974B)
13.256	Health Maintenance Organization Service (1972B)		Alcohol Research Scientist Development and Research Scientist Awards (1978B)
	Office for Health Maintenance Organizations (1975B)		Alcohol Scientist Development Award and Research Scientist Development Award for Clinicians (1989B)
	Health Maintenance Organization Development (1976B)		Number changed to 93.271 (1990U)
	Health Maintenance Organizations (1979B)	13.272	Alcohol Research Manpower Fellowship Programs (1974U)
	Deleted (1985B)		Alcohol National Research Service Awards (1975B)
13.257	Mental Health-Alcohol Formula Grants (1972B)		Alcohol National Research Service Awards for Research Training (1977B)
	Alcohol Formula Grants (1974B)		Number changed to 93.272 (1990U)
	Deleted (1982B)	13.273	Alcohol Research Programs (1974B)
13.258	National Health Service Corps (1972B)		Split from 13.242 (1974B)
	Number changed to 93.258 (1990U)		Number changed to 93.273 (1990U)
13.259	Mental Health-Children's Services (1972B)	13.274	Alcohol Training Programs (1974B)
	Incorporated into 13.295 (1979U2)		Split from 13.244, 13.252 (1974B)
13.260	Family Planning Services-Training Grants (1972B)		Alcohol Clinical or Service Related Training Programs (1977B)
	Family Planning Services-Training Grants and Contracts (1976U)		Deleted (1983B)
	Family Planning Services (1979U1)		Alcohol and Drug Abuse Clinical or Service-Related Training (1989B)
	Family Planning-Personnel Training (1983U)		Number changed to 93.274 (1990U)
	Number changed to 93.260 (1990U)	13.275	Drug Abuse Education Programs (1974B)
13.261	Family Health Centers (1972B)		Split from 13.235 (1974B)
	Incorporated into 13.224 (1976U)		Drug Abuse Prevention/Education Programs (1980B)
13.262	Occupational Health-Research Grants (1972B)		Drug Abuse Prevention Programs (1980U2)
	Number changed from 13.010 (1972B)		Deleted (1982B)
	Occupational Safety and Health Research Grants (1973B)	13.276	Drug Abuse Fellowships (1974U)
	Number changed to 93.262 (1990U)		Deleted (1976B)
13.263	Occupational Health-Training Grants (1972B)	13.277	Drug Abuse Research Development Awards (1974B)
	Number changed from 13.011 (1972B)		Split from 13.241 (1974B)
	Occupational Safety and Health-Training Grants (1973B)		Drug Abuse Research Scientist Development and Research Scientist Awards (1978B)
	Number changed to 93.263 (1990U)		Drug Abuse Scientist Development Award for Clinicians-Scientist Development Awards and Research Scientist Awards (1989B)
13.264	Occupational Health-Special Fellowships (1972B)		Number changed to 93.277 (1990U)
	Deleted (1973B)	13.278	Drug Abuse Research Manpower Fellowship Programs (1974B)
13.265	Occupational Health-Demonstration Grants (1972B)		Drug Abuse National Research Service Awards (1975B)
	Deleted (1973B)		Drug Abuse National Research Service Awards for Research Training (1977B)
13.266	Childhood Lead-Based Paint Poisoning Control (1972B)		Number changed to 93.278 (1990U)
	Childhood Lead-Based Paint Poisoning Prevention (1979B)		
	Consolidated into 13.994 (1982B)		
13.267	Urban Rat Control (1972B)		

- 13.279 Drug Abuse Research Programs (1974B)  
Split from 13.242 (1974B)  
Number changed to 93.279 (1990U)
- 13.280 Drug Abuse Training Programs (1974B)  
Split from 13.244, 13.254 (1974B)  
Drug Abuse Clinical or Service Related Training Programs (1977B)  
Deleted (1983B)
- 13.281 Mental Health Research Development Awards (1974B)  
Split from 13.241 (1974B)  
Mental Health Research Scientist Development and Research Scientist Awards (1978B)  
Mental Research Scientist Development Award and Research Scientist Development Award for Clinicians (1989B)  
Number changed to 93.281 (1990U)
- 13.282 Mental Health Research Manpower Fellowship Programs (1974B)  
Mental Health National Research Service Awards (1975B)  
Mental Health National Research Service Awards for Research Training (1977B)  
Number changed to 93.282 (1990U)
- 13.283 Centers for Disease Control-Investigations, Surveillance and Technical Assistance (1974B)  
Consolidated from 13.200, 13.204, 13.205, 13.250 (1974B)  
Centers for Disease Control-Investigations and Technical Assistance (1978B)  
Number changed to 93.283 (1990U)
- 13.284 Emergency Medical Services (1974B)  
Consolidated into 13.991 (1982B)
- 13.285 Emergency Medical Services Systems Research (1974B)  
Incorporated into 13.226 (1975B)
- 13.286 Limitation on Federal Participation for Capital Expenditures (1974B)  
Deleted (1977B)
- 13.287 Grants for Training in Emergency Medical Services (1974U)  
Deleted (1976B)  
Reinstated (1977U)  
Consolidated into 13.994 (1982B)
- 13.288 National Health Service Corps Scholarship Program (1975B)  
Public Health/National Health Service Corps Scholarship Program (1975U)  
National Health Service Corps Scholarship Program (1978B)  
Number changed to 93.288 (1990U)
- 13.289 President's Council on Physical Fitness and Sports (1975B)  
Number changed from 13.616 (1975B)  
Consolidated from 13.615, 13.617, 13.618, 13.619, 13.620, 13.621, 13.622 (1975B)  
Number changed to 93.289 (1990U)
- 13.290 Special Alcoholism Projects to Implement the Uniform Act (1975U)  
Deleted (1982B)
- 13.291 Surplus Property Utilization (1986U)  
Number changed from 13.676 (1986U)  
Number changed to 93.291 (1990U)
- 13.292 Sudden Infant Death Syndrome Information and Counseling Program (1975U)  
Deleted (1982B)
- 13.293 State Health Planning and Development Agencies (1976B)  
Deleted (1987B)
- 13.294 Health Planning-Health Systems Agencies (1976B)  
Deleted (1987B)
- 13.295 Community Mental Health Centers-Comprehensive Services Support (1976B)  
Deleted (1982B)
- 13.296 Comprehensive Hemophilia Diagnostic and Treatment Centers (1976U)  
Consolidated into 13.994 (1982B)
- 13.297 Nursing Research Service Awards (1977B)  
National Research Service Awards (1978B)  
Deleted (1986U)
- 13.298 Nurse Practitioner Training Programs (1976U)  
Nurse Practitioner Training Program and Nurse Practitioner Traineeships (1979B)  
Nurse Practitioner and Nurse Midwife Education and Traineeships (1985U)  
Number changed to 93.298 (1990U)
- 13.299 Advanced Nurse Training Programs (1976U)  
Advanced Nurse Education (1986B)  
Number changed to 93.299 (1990U)
- 13.300 Allergy and Infectious Diseases-Fellowships and Research Career Development Awards (1970B)  
Deleted (1973B)
- 13.301 Allergy and Infectious Diseases-Research Grants (1970B)  
Split into 13.855, 13.856, 13.857, 13.858 (1974B)
- 13.302 Allergy and Infectious Diseases-Training Grants (1970B)  
Deleted (1973B)
- 13.303 Training in the Allied Health Professions (1967B)  
Allied Health Professions Advanced Traineeship Grants (1970B)  
Allied Health Professions Advanced Traineeship Grants for Advanced Training (1971B)  
Allied Health Professions-Traineeship Grants for Advanced Training (1971U)  
Deleted (1973B)
- 13.304 Allied Health Professions Basic Improvement Grants (1970B)  
Deleted (1972B)
- 13.305 Allied Health Professions Developmental Grants (1970B)  
Allied Health Professions-Special Project Grants (1971B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1978B)
- 13.306 Health Research Facilities and Resources-Animal Resources (1969B)  
Animal Resources (1970B)  
Laboratory Animal Sciences and Primate Research (1974B)  
Number changed to 93.306 (1990U)
- 13.307 Arthritis and Metabolic Diseases-Fellowships (1970B)  
Deleted (1973B)
- 13.308 Arthritis and Metabolic Diseases-Graduate Training Grants (1970B)  
Deleted (1973B)
- 13.309 Arthritis and Metabolic Diseases-Research Grants (1970B)  
Arthritis, Metabolism, and Digestive Diseases-Research Grants (1973U)  
Split into 13.846, 13.847, 13.848, 13.849, 13.850 (1974B)
- 13.310 Biomedical Sciences Support Grants (1970B)  
Incorporated into 13.337 (1973B)

- 13.311 Cancer-Clinical Training (1970B)  
Deleted (1973B)
- 13.312 Cancer-Research Centers (1970B)  
Cancer-Specialized Research Centers (1971B)  
Split into 13.393, 13.394, 13.395, 13.396, 13.397, 13.399 (1974B)
- 13.313 Cancer Research-Fellowships (1970B)  
Deleted (1973B)
- 13.314 Cancer Research-Grants (1970B)  
Split into 13.393, 13.394, 13.395, 13.396, 13.399 (1974B)
- 13.315 Cancer Research-Training Grants (1970B)  
Cancer-Research-Career Development (1971B)  
Deleted (1973B)
- 13.316 Child Health and Human Development-Fellowships (1970B)  
Deleted (1973B)
- 13.317 Child Health and Human Development-Research Grants (1970B)  
Split into 13.864, 13.865, 13.866 (1974B)
- 13.318 Child Health and Human Development-Training Grants (1970B)  
Deleted (1973B)
- 13.319 Dental Auxiliary Utilization Training Grants (1970B)  
Training in Expanded Auxiliary Management (1973B)  
Dental Team Practice (1978B)  
Deleted (1982B)
- 13.320 Dental Health Continuing Education Training Grants (1970B)  
Continuing Dental Education Grant Program (1975B)  
Deleted (1978B)
- 13.321 Dental Health Fellowships (1970B)  
Deleted (1972B)
- 13.322 Dental Health Research Grants (1970B)  
Deleted (1972B)
- 13.323 Dental Health Research Training Grants (1970B)  
Deleted (1972B)
- 13.324 Dental Research-Fellowships (1970B)  
Deleted (1973B)
- 13.325 Dental Research-Grants (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Split into 13.840, 13.841, 13.842, 13.843, 13.844, 13.845 (1974B)
- 13.326 Dental Research-Training Grants (1970B)  
Deleted (1973B)
- 13.327 Environmental Health Sciences-Fellowships (1970B)  
Deleted (1973U)
- 13.328 Environmental Health Sciences-Research Grants (1970B)  
Split into 13.872, 13.873, 13.874, 13.875, 13.876 (1974B)
- 13.329 Environmental Health Sciences-Training Grants (1970B)  
Deleted (1973U)
- 13.330 Eye Research-Fellowship (1970B)  
Deleted (1973B)
- 13.331 Eye Research-Grants (1970B)  
Eye Research-Research Grants (1971B)  
Split into 13.867, 13.868, 13.869, 13.870, 13.871 (1974B)
- 13.332 Eye Research-Training Grants (1970B)  
Deleted (1973B)
- 13.333 General Clinical Research Centers (1970B)  
Clinical Research (1974B)  
General Clinical Research Centers (1985B)  
Number changed to 93.333 (1990U)
- 13.334 General Medical Sciences-Fellowships (1970B)  
Deleted (1973B)
- 13.335 General Medical Sciences-Research Grants (1970B)  
Split into 13.859, 13.860, 13.861, 13.862, 13.863 (1974B)
- 13.336 General Medical Sciences-Training Grants (1970B)  
Deleted (1973B)
- 13.337 General Research Support Grants (1970B)  
General Research Support (1974B)  
Biomedical Research Support (1975U)  
Number changed to 93.337 (1990U)
- 13.338 Graduate Training in Public Health-Project Grants (1970B)  
Deleted (1973B)  
Reinstated (1977B)  
Graduate Training in Public Health (1977B)  
Deleted (1978B)
- 13.339 Health Professions Educational Improvement Grants (1970B)  
Health Professions Capitation Grants (1972B)  
Capitation Grants for Schools of Public Health (1987B)  
Deleted (1990U)
- 13.340 Health Professions Facilities Construction (1970B)  
Health Professions Teaching Facilities-Construction Grants (1972B)  
Deleted (1973B)
- 13.341 Health Professions Scholarships (1970B)  
Deleted (1973B)
- 13.342 Health Manpower Education and Utilization-Student Assistance (1969B)  
Health Professions Student Loans (1970B)  
Number changed to 93.342 (1990U)
- 13.343 Research Fellowships and Traineeships in Health Sciences (1965B)  
Health Sciences Advancement Awards (1970B)  
Deleted (1971B)
- 13.344 Heart and Lung Research-Fellowships (1970B)  
Deleted (1973B)
- 13.345 Heart and Lung Research-Graduate Training Grants (1970B)  
Deleted (1973B)
- 13.346 Heart and Lung Research-Grants (1970B)  
Heart and Lung Research-Research Grants (1971B)  
Split into 13.837, 13.838, 13.839 (1974B)
- 13.347 Heart and Lung Research-Undergraduate Training Grants (1970B)  
Deleted (1971U)
- 13.348 Medical Library Assistance-Library Resources Grants (1970B)  
Medical Library Assistance-Library Resources (1974B)  
Consolidated into 13.879 (1977B)
- 13.349 Medical Library Assistance-Publications Support Grants (1970B)  
Biomedical Scientific Publications Grants (1971B)



- Biomedical Scientific Publications (1974B)  
Consolidated into 13.879 (1977B)
- 13.350 Medical Library Assistance-Regional Medical Libraries (1970B)  
Consolidated into 13.879 (1977B)
- 13.351 Medical Library Assistance-Research Grants (1970B)  
Medical Library Assistance-Research (1974B)  
Consolidated into 13.879 (1977B)
- 13.352 Medical Library Assistance-Special Scientific Project Grants (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Medical Library Assistance-Special Scientific Projects (1974B)  
Consolidated into 13.879 (1977B)
- 13.353 Medical Library Assistance-Training Grants (1970B)  
Deleted (1973B)
- 13.354 Neurological Diseases and Stroke-Fellowships (1970B)  
Incorporated into 13.357 (1972B)
- 13.355 Neurological Diseases and Stroke-Graduate Training Grants (1970B)  
Deleted (1973B)
- 13.356 Neurological Diseases and Stroke-Research Grants (1970B)  
Split into 13.851, 13.852, 13.853, 13.854 (1974B)
- 13.357 Neurological Diseases and Stroke-Training Grants (1970B)  
Incorporated into 13.354 (1972B)
- 13.358 Nurse Traineeships (1970B)  
Professional Nurse Traineeships (1971B)  
Deleted (1973B)  
Reinstated (1975U)  
Number changed to 93.358 (1990U)
- 13.359 Nurse Training-Project Improvement Grants (1970B)  
Special Project Grants for Improvement in Nurse Training (1971B)  
Nurse Training Improvement-Special Projects (1972B)  
Number changed to 93.359 (1990U)
- 13.360 Nursing Fellowships (1970B)  
Special Predoctoral and Postdoctoral Fellowships in Nursing Research (1971B)  
Deleted (1973B)
- 13.361 Nursing Research Grants (1970B)  
Nursing Research Project Grants (1971B)  
Deleted (1973B)  
Reinstated (1975U)  
Nursing Research (1986U)  
Number changed to 93.361 (1990U)
- 13.362 Nursing Research Training Grants (1970B)  
Nurse Scientist Graduate Training Grants (1971B)  
Deleted (1973B)
- 13.363 Nursing Scholarships (1970B)  
Deleted (1973B)  
Reinstated (1976U)  
Deleted (1982B)
- 13.364 Nurse Training (1965B)  
Health Manpower Education and Utilization-Nursing Research (1969B)
- Nursing Student Loans (1970B)  
Number changed to 93.364 (1990U)
- 13.365 Physician and Allied Health Manpower Research Grants (1970B)  
Deleted (1971B)
- 13.366 Professional Public Health Personnel-Traineeships (1970B)  
Deleted (1973B)
- 13.367 Research Resources-Fellowships (1970B)  
Animal Resources-Fellowships (1971B)  
Deleted (1973B)
- 13.368 Research Resources-Training Grants (1970B)  
Animal Resources-Training Grants (1971B)  
Deleted (1973B)
- 13.369 Schools of Nursing-Facilities Construction (1970B)  
Construction Grants for Schools of Nursing (1971B)  
Nursing School Construction (1972B)  
Nursing School Construction-Loan Guarantees and Interest Subsidies (1973B)  
Nursing School Construction-Grants, Loan Guarantees and Interest Subsidies (1975U)  
Nursing School Construction-Assistance-Direct Grants, Loan Guarantees and Interest Subsidies (1976B)  
Deleted (1978B)
- 13.370 Public Health Training-Traineeships (1967B)  
Schools of Public Health-Formula Grants (1970B)  
Schools of Public Health-Grants (1971B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1978B)
- 13.371 Special Research Resources (1970B)  
Biotechnology Resources (1971B)  
Biotechnology Research (1974B)  
Biomedical Research Technology (1984U)  
Number changed to 93.371 (1990U)
- 13.372 Cancer-Leukemia Research Support Centers (1971B)  
Cancer-Leukemia Research Support (1972B)  
Incorporated into 13.314 (1973B)
- 13.373 Cancer-Graduate Training (1971B)  
Deleted (1973B)
- 13.374 Heart and Lung Research-Specialized Research Centers (1971U)  
Split into 13.837, 13.838, 13.839 (1974B)
- 13.375 Minority Schools Biomedical Support (1972B)  
Minority Biomedical Support (1974B)  
Minority Biomedical Research Support (1982B)  
Number changed to 93.375 (1990U)
- 13.377 Allied Health Professions-Special Improvement Grants (1972B)  
Deleted (1973B)
- 13.378 Health Professions Teaching Facilities-Loan Guarantees and Interest Subsidies (1972B)  
Deleted (1976B)
- 13.379 Family Medicine-Training Grants (1972B)  
Grants for Graduate Training in Family Medicine (1978B)  
Number changed to 93.379 (1990U)
- 13.380 Health Manpower Education Initiative Awards (1972B)

	Deleted (1978B)	13.399	Cancer Control Research (1974B) Split from 13.312, 13.314, 13.391, 13.825 (1974B) Cancer Control (1974U) Number changed to 93.399 (1990U)
13.381	Health Professions-Financial Distress Grants (1972B) Health Professions-Advanced Financial Distress (1986B) Deleted (1988B)	13.400	Adult Basic Education (1965B) Adult Basic Education-Grants to States (1970B) Adult Education-Grants to States (1971B) Adult Education-State-Administered Program (1979U2) Transferred to 84.002 (1980U1)
13.382	Heart and Lung Research-Pulmonary Academic Awards (1972B) Deleted (1973B)	13.401	Adult Basic Education-Special Projects (1970B) Adult Education-Special Projects (1971B) Incorporated into 13.400 (1975B)
13.383	Health Professions-Special Projects (1972B) Deleted (1978B)	13.402	Adult Basic Education-Teacher Education (1970B) Adult Education-Teacher Education (1971B) Incorporated into 13.400 (1975B)
13.384	Health Professions-Start-Up Assistance (1972B) Health Professions-Start-Up Assistance and Conversion (1973U) Health Professions-Start-Up Assistance (1975B) Deleted (1983B)	13.403	Bilingual Education (1969B) Transferred to 84.003 (1980U1)
13.385	Health Professions Teaching Personnel-Training, Traineeships, and Fellowships (1972B) Deleted (1973B)	13.404	Civil Defense Adult Education (1965B) Civil Defense Education (1969B) Deleted (1971U)
13.386	Nursing Capitation Grants (1972B) Deleted (1973B) Reinstated (1975U) Deleted (1982B)	13.405	School Assistance in Matters Pertaining to School Desegregation (1965B) School Desegregation-Technical Assistance and Training (1969B) Civil Rights Technical Assistance and Training (1970B) Number changed to 13.524 (1972B) Reinstated/Number change from 13.524 (1973B) Transferred to 84.004 (1980U1)
13.387	Nursing Professions-Talent Utilization (1972B) Deleted (1973B)	13.406	College Library Resources (1965B) Deleted (1973B) Reinstated (1973U) Transferred to 84.005 (1980U1)
13.388	Nursing Schools-Financial Distress Grants (1972B) Deleted (1973B) Reinstated (1975U) Financial Distress Grants for Schools of Nursing (1975U) Deleted (1977B)	13.407	College Teacher Graduate Fellowships (1970B) Deleted (1973U) Reinstated (1974B) Deleted (1977U)
13.389	Research Centers in Minority Institutions (1985B) Number changed to 93.389 (1990U)	13.408	Library Services and Construction, Rural and Urban (1965B) Library Services and Construction (1967B) Construction of Public Libraries (1970B) Deleted (1973B) Reinstated (1973U) Deleted (1979B)
13.390	Academic Research Enhancement Award (1985B) Number changed to 93.390 (1990U)	13.409	Cuban Student Loan Program (1967B) Training for Cuban Refugee Professional Personnel (1967B) Cuban Education-Student Loans (1970B) Deleted (1977U)
13.391	Cancer-Task Forces (1972B) Split into 13.393, 13.394, 13.395, 13.396, 13.399 (1974B)	13.410	Dropout Prevention (1969B) Incorporated into 13.571 (1977U)
13.392	Cancer-Construction (1972B) Deleted (1988B)	13.411	Education Research and Development Centers (1970B) Educational Research and Development Centers (1971B) Consolidated into 13.575 (1973B)
13.393	Cancer Cause and Prevention Research (1974B) Split from 13.312, 13.314, 13.391, 13.825 (1974B) Number changed to 93.393 (1990U)	13.412	Education Research and Development-Regional Educational Laboratories (1970B)
13.394	Cancer Detection and Diagnosis Research (1974B) Split from 13.312, 13.314, 13.391, 13.825 (1974B) Number changed to 93.394 (1990U)		
13.395	Cancer Treatment Research (1974B) Split from 13.312, 13.314, 13.391, 13.825 (1974B) Number changed to 93.395 (1990U)		
13.396	Cancer Biology Research (1974B) Split from 13.312, 13.314, 13.391, 13.825 (1974B) Number changed to 93.396 (1990U)		
13.397	Cancer Centers Support (1974B) Split from 13.312 (1974B) Number changed to 93.397 (1990U)		
13.398	Cancer Research Manpower (1974B) Number changed to 93.398 (1990U)		

	Educational Research and Development-Regional Educational Laboratories (1971B) Consolidated into 13.575 (1973B)		Consolidated into 13.575 (1973B)
13.413	Educational Television Broadcasting Facilities (1965B) Educational Television Facilities Program (1967B) Educational Television Construction (1969B) Educational Broadcasting Facilities (1970B) Educational Broadcasting Facilities (Public Broadcasting) (1976U) Transferred to 11.550 (1979B)	13.425	Educational Staff Training-School Personnel Utilization (1970B) Deleted (1973B)
13.414	Teacher Fellowships and Training (1969B) Educational Classroom Personnel Training-Basic Studies (1970B) Deleted (1970U)	13.426	Educational Staff Training-Teacher Leadership Development (1970B) Deleted (1970U)
13.415	Educational Classroom Personnel Training-Black Colleges (1970B) Number changed to 13.507 (1970U)	13.427	Assistance to State for Education for Handicapped Children (1967B) Educationally Deprived Children-Handicapped (1970B) Program for Education of Handicapped Children in State Operated or Supported Schools (1979B) Transferred to 84.009 (1980U1)
13.416	Educational Classroom Personnel Training-Early Childhood (1970B) Deleted (1972B) Reinstated (1977U) Teacher Centers (1977U) Transferred to 84.006 (1980U1)	13.428	Educationally Deprived Children-Local Educational Agencies (1970B) Transferred to 84.010 (1980U1)
13.417	Educational Classroom Personnel Training-Special Education (1970B) Deleted (1973B)	13.429	Educationally Deprived Children-Migrants (1970B) Transferred to 84.011 (1980U1)
13.418	Educational Opportunity Grants (1965B) Deleted (1973B) Reinstated (1973U) Supplemental Educational Opportunity Grants (1973U) Transferred to 84.007 (1980U1)	13.430	Educationally Deprived Children-State Administration (1970B) Transferred to 84.012 (1980U1)
13.419	Educational Personnel Development-Support Personnel (1970B) Split into 13.508, 13.509 (1970U)	13.431	Educationally Deprived Children in Institutions for Neglected or Delinquent Children (1970B) Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (1971B) Transferred to 84.013 (1980U1)
13.420	Educational Personnel Training-Drug Abuse Education (1970B) Alcohol and Drug Abuse Education (1971B) Drug Abuse Prevention (1972B) Deleted (1973B) Reinstated (1973U) Drug Abuse Education (1974B) Deleted (1975B) Reinstated (1975U) Alcohol and Drug Abuse Prevention (1975U) Alcohol and Drug Abuse Education Program (1979B) Transferred to 84.008 (1980U1)	13.432	Elementary and Secondary Education-State Planning and Evaluation (1970B) Deleted (1971U)
13.421	Attracting and Qualifying Teachers in Areas Where Critical Teachers Shortages Exist (1969B) Encouraging Qualified Person to Enter Education Careers (1969B) Educational Personnel Training Grants-Career Opportunities (1970B) Deleted (1976B)	13.433	Follow Through (1970B) Transferred to 84.014 (1980U1)
13.422	Educational Research and Development Centers (1969B) Educational Research and Development-General Education (Project) Research (1970B) Consolidated into 13.575 (1973B)	13.434	Language and Area Studies (1967B) Foreign Language and World Affairs-Fellowships (1970B) Foreign Language and Area Studies-Fellowships (1971B) Deleted (1973B) Reinstated (1974U) International Studies Centers and Foreign Language Area Studies-Fellowships (1979U2) Transferred to 84.015 (1980U1)
13.423	Educational Research Information Center (1967B) Educational Research Dissemination-ERIC System (1970B) Number changed to 13.513 (1971B)	13.435	Language and Area Centers (1967B) Foreign Language and World Affairs-Language and Area Centers (1970B) Foreign Language and Area Studies-Centers (1971B) Deleted (1973B) Reinstated (1974U) Foreign Language and Area Studies-Centers and International Studies Program (1974U) International Studies Programs (1979U2) Transferred to 84.016 (1980U1)
13.424	Educational Research Training (1969B)	13.436	Language Research and Studies (1967B) Foreign Languages and World Affairs-Language and Area Research (1970B) Foreign Language and Area Studies-Research (1971B) Deleted (1973B) Reinstated (1974B) Transferred to 84.017 (1980U1)
		13.437	Teacher Exchange (1969B) Fulbright-Hays Teacher Exchange (1970B) Teacher Exchange (1971B) Transferred to 84.018 (1980U1)



- 13.438 Fulbright-Hays Training Grants-Faculty Research Study (1970B)  
Fulbright-Hays Training Grants-Faculty Research Abroad (1971B)  
Transferred to 84.019 (1980U1)
- 13.439 Fulbright-Hays Training Grants-Foreign Curriculum Consultants (1970B)  
Transferred to 84.020 (1980U1)
- 13.440 Overseas Education, Training, Research and Study (1969B)  
Fulbright-Hays Training Grants-Foreign Studies Extension (1970B)  
Fulbright-Hays Training Grants-Group Projects Abroad (1971B)  
Transferred to 84.021 (1980U1)
- 13.441 Foreign Language Training and Area Studies (1969B)  
Fulbright-Hays Training Grants-Graduate Fellowships (1970B)  
Fulbright-Hays Training Grants-Doctoral Dissertation Research Abroad (1971B)  
Transferred to 84.022 (1980U1)
- 13.442 Guidance, Counseling, and Testing: Identification and Encouragement of Able Students-State Programs (1965B)  
State Programs in Guidance, Counseling, and Testing (1967B)  
Guidance, Counseling, and Testing (1969B)  
Consolidated into 13.519 (1971B)
- 13.443 Education of Handicapped Children-Research and Demonstration (1969B)  
Handicapped-Research and Demonstration (1970B)  
Handicapped-Research and Development (1978B)  
Handicapped-Research and Demonstration (1978U)  
Transferred to 84.023 (1980U1)
- 13.444 Handicapped Children-Early Educational Assistance (1969B)  
Handicapped Early Childhood Assistance (1970B)  
Transferred to 84.024 (1980U1)
- 13.445 Handicapped Innovative Programs-Deaf-Blind Centers (1970B)  
Transferred to 84.025 (1980U1)
- 13.446 Captioned Films for the Deaf (1965B)  
Captioned Films and Related Services for the Handicapped (1969B)  
Handicapped Media Services and Captioned Films (1970B)  
Transferred to 84.026 (1980U1)
- 13.447 Handicapped Physical Education and Recreation Research (1970B)  
Incorporated into 13.443 (1975U)
- 13.448 Handicapped Physical Education and Recreation Training (1970B)  
Incorporated into 13.443 (1975U)
- 13.449 Preschool and School Programs for the Handicapped (1969B)  
Handicapped Preschool and School Programs (1970B)  
Transferred to 84.027 (1980U1)
- 13.450 Education of Handicapped Children-Regional Resources Centers (1969B)  
Handicapped Regional Resource Centers (1970B)  
Transferred to 84.028 (1980U1)
- 13.451 Preparation of Professional Personnel for the Education of Handicapped Children (1965B)  
Training of Professional Personnel in the Education of the Handicapped (1967B)  
Education of Handicapped Children-Personnel Training (1969B)  
Handicapped Teacher Education (1970B)  
Handicapped Personnel Preparation (1976B)  
Transferred to 84.029 (1980U1)
- 13.452 Handicapped Teacher Recruitment and Information (1970B)
- Transferred to 84.030 (1980U1)
- 13.453 Instructional Funds for Land-Grant Colleges and Universities (1967B)  
Endowment of Land-Grant Colleges and Universities (1969B)  
Higher Education-Land-Grant Colleges and Universities (1970B)  
Transferred to 10.882 (1978B)
- 13.454 Strengthening Developing Institutions (1965B)  
Higher Education-Strengthening Developing Institutions (1970B)  
Transferred to 84.031 (1980U1)
- 13.455 Higher Education Academic Facilities-State Administration (1970B)  
Deleted (1972U)  
Reinstated (1973U)  
Deleted (1980B)
- 13.456 Higher Education Academic Facilities-State Comprehensive Planning (1970B)  
Deleted (1971U)
- 13.457 Graduate Academic Facilities Construction Grants (1967B)  
Higher Education Academic Facilities Construction-Interest Subsidization (1970B)  
Deleted (1973B)
- 13.458 Construction of Higher Education Facilities Through Grants and Loans (1967B)  
Higher Education Facilities Construction (1969B)  
Higher Education Academic Facilities Construction-Public and Private Colleges and Universities (1970B)  
Deleted (1971B)  
Reinstated (1972B)  
Deleted (1973B)
- 13.459 Higher Education Facilities Construction (1969B)  
Higher Education Academic Facilities Construction-Public Community Colleges and Technical Institutes (1970B)  
Deleted (1973B)
- 13.460 Low-Interest Insured Loans to College and Vocational Students (1969B)  
Higher Education Act Insured Loans-Guaranteed Student Loan Program (1970B)  
Higher Education Act Insured Loans (1971B)  
Transferred to 84.032 (1980U1)
- 13.461 Higher Education Personnel Development-Institutes, Short-Term Training and Special Projects (1970B)  
Higher Education Personnel Development-Institutes and Short-Term Training (1972B)  
Deleted (1973B)  
Reinstated (1974U)  
Deleted (1976B)
- 13.462 Experienced Teacher Fellowship Program (1967B)  
Higher Education Personnel Training (1969B)  
Higher Education Personnel Fellowships (1970B)  
Deleted (1976B)
- 13.463 Grants for College Work-Study Program (1965B)  
College Work-Study Program (1967B)  
College Student Work-Study (1969B)  
Higher Education Work-Study (1970B)  
College Work-Study Program (1979U2)  
Transferred to 84.033 (1980U1)
- 13.464 Library Services-Grants for Public Libraries (1970B)  
Incorporated into 13.466 (1972B)

- Reinstated (1973U)  
Library Services and Construction Act (1979B)  
Public Library Services (1980B)  
Transferred to 84.034 (1980U1)
- 13.465 Library Services-Interlibrary Cooperation (1970B)  
Incorporated into 13.467 (1972B)  
Reinstated (1973U)  
Interlibrary Cooperation (1980B)  
Transferred to 84.035 (1980U1)
- 13.466 Library Services-State Institutional Library Services (1970B)  
Incorporated into 13.464 (1972B)
- 13.467 Library Services to the Physically Handicapped (1970B)  
Incorporated into 13.465 (1972B)
- 13.468 Library Training and Research (1965B)  
Library Personnel Training (1969B)  
Library Research and Development (1969B)  
Library Training Grants (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Library Training (1980B)  
Transferred to 84.036 (1980U1)
- 13.469 National Defense Education Act Loans to Institutions (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1979B)
- 13.470 National Defense Graduate Fellowship Program (1967B)  
National Defense Student Loans Cancellations for Teachers (1970B)  
National Defense Student Loan Cancellations (1970U)  
National Defense Direct Student Loan Cancellations (1973U)  
National Direct Student Loan Cancellations (1974B)  
National Defense/Direct Student Loan Cancellations (1980B)  
Transferred to 84.037 (1980U1)
- 13.471 Loans to Students in Institutions of Higher Education (1965B)  
National Defense Student Loans-Direct Loan Contributions (1970B)  
National Direct Student Loans (1973B)  
National Defense/Direct Student Loans (1980)  
Transferred to 84.038 (1980U1)
- 13.472 Nonpublic School Testing (1970B)  
Consolidated into 13.519 (1971B)
- 13.473 Preschool, Elementary, and Secondary Personnel Development-Grants to States (1970B)  
Deleted (1973B)
- 13.474 Research and Development Centers (1965B)  
Arts and Humanities Research (1967B)  
Research and Development-Arts and Humanities (1970B)  
Deleted (1972B)
- 13.475 Research and Development-Library Research (1970B)  
Research and Development-Library Research and Demonstration (1972B)  
Deleted (1973B)  
Reinstated (1973U)  
Research and Development-Library Demonstrations (1974B)
- Library Research and Demonstrations (1976U)  
Transferred to 84.039 (1980U1)
- 13.476 Regional Educational Laboratories (1967B)  
Research and Development-Regional Research (1970B)  
Consolidated into 13.575 (1973B)
- 13.477 Financial Assistance for School Construction in Areas Affected by Federal Activity (Impacted Areas Program) (1967B)  
Impacted Areas-School Construction, Maintenance, and Operation (1969B)  
School Assistance in Federally Affected Areas-Construction (1970B)  
Transferred to 84.040 (1980U1)
- 13.478 Financial Assistance for School Maintenance and Operation in Areas Affected by Federal Activity (Impacted Areas (1967B)  
Impacted Areas-School Construction, Maintenance, and Operations (1969B)  
School Assistance in Federally Affected Areas-Maintenance and Operation (1970B)  
Transferred to 84.041 (1980U1)
- 13.479 School Equipment Loans to Nonprofit Private Schools (1970B)  
Deleted (1973B)  
Reinstated (1974U)  
School Equipment Loans to Non-Profit Schools (1974U)  
Deleted (1976B)
- 13.480 School Library Resources, Textbooks, and Other Instructional Materials (1965B)  
Deleted (1973B)  
Reinstated (1973U)  
Incorporated into 13.570 (1977U)
- 13.481 Special Foreign Currency Program-Training, Research, and Study (1970B)  
Educational Activities Overseas-Inter-Institutional Cooperative Research (1971B)  
Deleted (1976B)
- 13.482 Special Services for Disadvantaged Students in Institutions of Higher Education (1970B)  
Special Services for Disadvantaged Students (1975U)  
Transferred to 84.042 (1980U1)
- 13.483 Strengthening Instruction in Critical Subjects (1967B)  
School Equipment and Remodeling (1969B)  
Strengthening Instruction Through Equipment and Minor Remodeling (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Incorporated into 13.570 (1977U)
- 13.484 Strengthening School Administration-Training Grants (1970B)  
Number changed to 13.514 (1971B)
- 13.485 Strengthening State Departments of Education-Grants for Special Projects (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1977B)
- 13.486 Strengthening State Departments of Education-Grants to States (1970B)  
Grants to Strengthen State Departments of Education (1971B)  
Strengthening State Departments of Education-Grants to States (1971U)  
Deleted (1973B)  
Reinstated (1973U)

	Incorporated into 13.571 (1977U)		Vocational Education-Special Programs for the Disadvantaged (1979U1)
	Reinstated/Split from 13.571 (1979B)		Transferred to 84.052 (1980U1)
	Strengthening State Educational Agency Management (1979B)	13.500	Vocational Education-State Advisory Councils (1970B)
	Transferred to 84.043 (1980U1)		Transferred to 84.053 (1980U1)
13.487	Supplementary Education Centers and Services (1965B)	13.501	Vocational Education-Residential Schools and Work-Study Programs (1965B)
	Consolidated into 13.519 (1971B)		Vocational Education-Work-Study (1970B)
13.488	Educational Talent Search (1969B)		Incorporated into 13.493 (1977B)
	Talent Search (1970B)	13.502	Vocational Education-Innovation (1970B)
	Transferred to 84.044 (1980U1)		Incorporated into 13.495, 13.498 (1977B)
13.489	National Teacher Corps (1965B)	13.503	Vocational Education Personnel Training-Fellowships (1970B)
	Teacher Corps (1969B)		Vocational Education Personnel Development Awards (1971B)
	Teacher Corps-Operations and Training (1970B)		Deleted (1973B)
	Transferred to 84.045 (1980U1)		Reinstated (1975U)
13.490	Trainers of Teacher Trainers (1970B)		Vocational Education Personnel Development Awards-Leadership Development (1975U)
	Training of Teacher Trainers (1971B)		Training and Development Awards for Vocational Education Personnel-Leadership Development Awards (1977B)
	Deleted (1973B)		Vocational Education-Graduate Leadership Development Program (1978B)
13.491	Community Service and Continuing Education Programs (1965B)		Transferred to 84.054 (1980U1)
	University Community Service-Grants to States (1970B)	13.504	Vocational Education Personnel Training-State Professional Development (1970B)
	Deleted (1973B)		Vocational Education Personnel Development-Professional Personnel Development for States (1971B)
	Reinstated (1974U)		Deleted (1973B)
	Transferred to 84.046 (1980U1)		Reinstated (1975U)
13.492	Upward Bound (1970B)		Vocational Education Personnel Development-State Systems Program (1975U)
	Transferred to 84.047 (1980U1)		Deleted (1977U)
13.493	Vocational Education Grants (1965B)	13.505	Education Personnel Development-Urban/Rural School Development (1970U)
	Vocational Education-Basic Grants to States (1970B)		Deleted (1977B)
	Transferred to 84.048 (1980U1)	13.506	Educational Classroom Personnel Training-Bilingual Education (1970U)
13.494	Vocational Education-Consumer and Homemaking (1970B)		Deleted (1972B)
	Vocational Education-Consumer and Homemaking Education (1979U1)	13.507	Educational Classroom Personnel Training-Teacher Development for Desegregating Schools (1970U)
	Transferred to 84.049 (1980U1)		Number changed from 13.415 (1970U)
13.495	Vocational Education-Cooperative Education (1970B)		Teacher Training in Developing Institutions (1972B)
	Vocational Education-Program Improvement and Supportive Services (1977B)		Deleted (1973B)
	Transferred to 84.050 (1980U1)	13.508	Educational Personnel Development-Media Specialists (1970U)
13.496	Vocational Education-Curriculum Development (1970B)		Split from 13.419 (1970U)
	Deleted (1973U)		Deleted (1973B)
	Reinstated (1974U)	13.509	Educational Personnel Development-Pupil Personnel (1970U)
	Vocational Education-Curriculum (1974U)		Split from 13.419 (1970U)
	Incorporated into 13.495 (1977B)		Educational Personnel Development-Pupil Personnel Specialists (1971B)
13.497	Vocational Education-Planning and Evaluation (1970B)		Deleted (1973B)
	Deleted (1971B)	13.510	Higher Education-Cooperative Education (1970U)
13.498	Vocational Education Research Grants (1967B)		Transferred to 84.055 (1980U1)
	Vocational Education Research and Training (1969B)	13.511	Educationally Deprived Children-Special Grants for Urban and Rural Schools (1971B)
	Vocational Education-Research Grants (1970B)		Deleted (1975U)
	Split into 13.498, 13.517 (1971B)	13.512	Educationally Deprived Children-Special Incentive Grants (1971B)
	Consolidated into 13.575 (1973B)		Deleted (1979U1)
	Reinstated/Split from 13.575 (1973U)	13.513	Educational Dissemination (1971B)
	Vocational Education-Program Improvement Projects (1977B)		
	Deleted (1979U1)		
	Reinstated (1979U2)		
	Transferred to 84.051 (1980U1)		
13.499	Vocational Education-Special Needs (1970B)		



	Number changed from 13.423 (1971B) Incorporated into 13.575 (1973B)		Emergency School Aid Act-Television and Radio Contracts (1979U1) Emergency School Aid Act-Educational Television and Radio (1980B) Transferred to 84.058 (1980U1)
13.514	Educational Personnel Development-Educational Leadership (1971B) Number changed from 13.484 (1971B) Deleted (1973B)		13.532 Emergency School Aid Act-Special Programs (1973B) Emergency School Aid Act-Special Programs and Projects (1980B) Transferred to 84.059 (1980U1)
13.515	Educational Staff Training-Volunteers in Education (1971B) Deleted (1973B)		13.533 Right to Read-Elimination of Illiteracy (1973B) Number changed to 13.599 (1979U1)
13.516	Preschool, Elementary, and Secondary Education-Special Programs and Projects (1971B) Supplementary Educational Centers and Services-Special Programs and Projects (1974U) Deleted (1976B)		13.534 Indian Education-Grants to Local Educational Agencies (1974U) Transferred to 84.060 (1980U1)
13.517	Vocational Education-Project Research Grants (1971B) Split from 13.498 (1971B) Incorporated into 13.498 (1972B)		13.535 Indian Education-Special Programs and Projects (1974B) Transferred to 84.061 (1980U1)
13.518	Higher Education Instructional Equipment (1971U) Deleted (1973B) Reinstated (1975B) Deleted (1979U1)		13.536 Indian Education-Adult Indian Education (1974B) Transferred to 84.062 (1980U1)
13.519	Supplementary Educational Centers and Services, Guidance, Counseling, and Testing (1971B) Consolidated from 13.442, 13.472, 13.487 (1971B) Incorporated into 13.571 (1977U)		13.538 Post Secondary Education Improvement Fund (1973U) Fund for the Improvement of Post Secondary Education (1974B) Number changed to 13.925 (1976B)
13.520	Special Programs for Children with Specific Learning Disabilities (1971B) Deleted (1978B)		13.539 Basic Educational Opportunity Grant Program (1973U) Transferred to 84.063 (1980U1)
13.521	Experimental Schools (1971B) Consolidated into 13.575 (1973B)		13.540 Higher Education-Cost for Veterans' Instruction (1973U) Higher Education-Veterans' Cost of Instruction Program (1974U) Transferred to 84.064 (1980U1)
13.522	Environmental Education (1971U) Deleted (1973B)		13.541 Education Television and Radio (Programming) (1977U) Educational Television and Radio (Programming) (1979U1) Transferred to 84.065 (1980U1)
13.523	School Health and Nutrition Services for Children from Low-Income Families (1971U) Deleted (1973B) Reinstated (1974U) Incorporated into 13.571 (1977U)		13.542 Strengthening State and Local Educational Agencies-Comprehensive Planning and Evaluation (1974U) Incorporated into 13.571 (1976B)
13.524	Emergency School Assistance (1972B) Number changed from 13.405 (1972B) Number changed to 13.405 (1973B)		13.543 Educational Opportunity Centers (1974B) Transferred to 84.066 (1980U1)
13.525	Emergency School Aid Act-Basic Grants to Local Educational Agencies (1973B) Transferred to 84.056 (1980U1)		13.544 Use of Technology in Basic Skills Instruction (1980B) Transferred to 84.067 (1980U1)
13.526	Emergency School Aid Act-Pilot Programs (1973B) Emergency School Aid Act-Pilot Programs (Special Programs and Projects) (1974U) Deleted (1979U1)		13.545 Indochina Refugee Children Assistance (1980B) Transferred to 84.068 (1980U1)
13.527	Emergency School Aid Act-Metropolitan Area Projects (1973B) Deleted (1975B)		13.546 Educational Personnel Development-Indian Teacher Training (1976B) Deleted (1977B)
13.528	Emergency School Aid Act-Bilingual Education Projects (1973B) Incorporated into 13.403 (1979U1)		13.548 Grants to States for State Student Incentives (1974U) Transferred to 84.069 (1980U1)
13.529	Emergency School Aid Act-Special Programs and Projects (1973B) Emergency School Aid Act-Special Programs and Projects (Non-Profit Organizations) (1975U) Emergency School Aid Act-Grants to Nonprofit Organizations (1980B) Transferred to 84.057 (1980U1)		13.549 Ethnic Heritage Studies Program (1975B) Transferred to 84.070 (1980U1)
13.530	Emergency School Aid Act-Educational Television (1973B)		13.550 Postsecondary Education Statewide Comprehensive Planning Grants Program (1974B) State Planning Commissions Program-Intrastate Planning (1977B) State Postsecondary Education Commissions Program-Intrastate Planning (1979B) Transferred to 84.071 (1980U1) Inactive program number reissued for new program (1990B) Administration for Children, Youth and Families-Transitional Living for Runaway and Homeless Youth (1990B) Number changed to 93.550 (1990U)
			13.551 Indian Education-Grants to Non-Federal Educational Agencies (1974U)

Indian Education-Grants to Non-Local Educational Agencies (1976B) Transferred to 84.072 (1980U1) Inactive program number reissued for new program (1990B) Administration for Children, Youth and Families-Abandoned Infants (1990B) Number changed to 93.551 (1990U)	Improvement in Local Educational Practice (1979B) Split into 13.486, 13.571 (1979B) Transferred to 84.089 (1980U1)
13.553 Educational Packaging and Dissemination (1977U) National Diffusion Program (National Diffusion Network) (1979B) Transferred to 84.073 (1980U1)	13.572 Assistance to States for State Equalization Plans (1976U) Deleted (1979U1)
13.554 Career Education (1976B) Transferred to 84.074 (1980U1)	13.574 Health Professions Educational Assistance Act Insured Loans (1977U) Health Education Assistance Loans (1978B) Transferred to 84.090 (1980U1)
13.555 Public Service Professional Education-Institutional Grants and Fellowships (1974U) Public Service Education-Institutional Grants and Fellowships (1977B) Transferred to 84.075 (1980U1)	13.575 Educational Research and Development (1973B) Consolidated from 13.411, 13.412, 13.422, 13.424, 13.476, 13.498, 13.513, 13.521 (1973B) Split into 13.498, 13.575 (1973U) Number changed to 13.950 (1976B)
13.556 Law School Fellowships for the Disadvantaged (1974U) Deleted (1976B)	13.576 Strengthening Research Library Resources (1977U) Transferred to 84.091 (1980U1)
13.557 University Community Service-Special Projects (1974U) Transferred to 84.076 (1980U1)	13.577 Guidance, Counseling and Testing in Elementary/Secondary Schools (1979B) Transferred to 84.092 (1980U1)
13.558 Bilingual Vocational Training (1975U) Transferred to 84.077 (1980U1)	13.578 Training and Development Awards for Vocational Education Personnel-Vocational Education Certification Fellowships (1977U) Vocational Education-Teacher Certification Fellowship Program (1978B) Vocational Education-Teacher Education Certification (1979U1) Deleted (1979U2)
13.560 Regional Education Programs for Deaf and Other Handicapped Persons (1975B) Transferred to 84.078 (1980U1)	13.579 Emergency Adult Education Program for Indochina Refugees (1977U) Deleted (1978B) Reinstated (1979U2) Transferred to 84.093 (1980U1)
13.561 Education for the Use of the Metric System of Measurement (1975U) Transferred to 84.079 (1980U1)	13.580 Graduate and Professional Opportunities (1978B) Transferred to 84.094 (1980U1)
13.562 Education for Gifted and Talented Children and Youth (1975U) Transferred to 84.080 (1980U1)	13.581 Citizen Education for Cultural Understanding Program (1979B) Transferred to 84.095 (1980U1)
13.563 Community Education (1976B) Transferred to 84.081 (1980U1)	13.582 Incentive Grants for State Student Financial Assistance Training (1977U) Transferred to 84.096 (1980U1)
13.564 Consumers' Education (1975U) Transferred to 84.082 (1980U1)	13.584 Law School Clinical Experience Program (1979B) Transferred to 84.097 (1980U1)
13.565 Women's Educational Equity (1976B) Transferred to 84.083 (1980U1)	13.585 Educational Information Centers (1978B) Transferred to 84.098 (1980U1)
13.566 Elementary and Secondary School Education in the Arts (1976B) Transferred to 84.084 (1980U1)	13.586 Bilingual Vocational Instructor Training (1977B) Transferred to 84.099 (1980U1)
13.567 Mining and Mineral Fuel Conservation Fellowship Program (1975B) Domestic Mining and Mineral Fuel Conservation Fellowship Program (1977B) Domestic Mining and Mineral and Mineral Fuel Conservation Fellowship Program (1979U1) Transferred to 84.085 (1980U1)	13.587 Bilingual Vocational Instructional Materials, Methods, and Techniques (1977B) Transferred to 84.100 (1980U1)
13.568 Handicapped Innovative Programs (1975U) Handicapped Innovative Programs-Programs for Severely Handicapped Children (1976B) Innovative Programs for Severely Handicapped Children (1979U1) Transferred to 84.086 (1980U1)	13.588 Vocational Education-Contract Program for Indian Tribes and Indian Organizations (1977U) Vocational Education-Grant Program for Indian Tribes and Indian Organizations (1979U2) Transferred to 84.101 (1980U1)
13.569 Indian Education-Fellowships for Indian Students (1976U) Transferred to 84.087 (1980U1)	13.589 Emergency School Aid-Magnet Schools, University/Business Cooperation (1977U) Emergency School Aid Act-Magnet Schools, University/Business Cooperation and Neutral Site Planning (1979U1) Transferred to 84.102 (1980U1)
13.570 Libraries and Learning Resources (1975U) Instructional Materials and School Library Resources (1979U1) Transferred to 84.088 (1980U1)	13.590 Emergency School Aid-Neutral Site Planning (1977U) Incorporated into 13.589 (1979U1)
13.571 Educational Innovation and Support (1975U)	

13.592	Training for Special Programs Staff and Leadership Personnel (1978B) Transferred to 84.103 (1980U1)		Native American Programs-Financial Assistance Grants (1981B) Native American Programs (1990B) Incorporated from 13.661, 13.662 (1990B) Number changed to 93.612 (1990U)
13.596	Career Education State Allotment Program (1979U1) Transferred to 84.104 (1980U1)		
13.599	Basic Skills Improvements (1979U1) Number changed from 13.533 (1979U1) Transferred to 84.105 (1980U1)	13.613	Mental Retardation Evaluation (1974B) Transferred from 54.001 (1974B) Mental Retardation Evaluation-President's Committee on Mental Retardation (1976B) Mental Retardation-President's Committee on Mental Retardation (1976U) Number changed to 93.613 (1990U)
13.600	Child Development-Head Start (1970B) Administration for Children, Youth and Families-Head Start (1977U) Number changed to 93.600 (1990U)	13.614	Child Development Associate Scholarships (1987B) Number changed to 93.614 (1990U)
13.601	Child Development-Technical Assistance (1970B) Incorporated into 13.600 (1976B)	13.615	Governors' Councils On Physical Fitness (1974B) Transferred from 55.001 (1974B) Consolidated into 13.289 (1975B)
13.602	Civil Rights Activities (1969B) Civil Rights Compliance Activities (1970B) Number changed to 13.675 (1976B)	13.616	Physical Fitness and Sports Information (1974B) Transferred from 55.003 (1974B) Number changed to 13.289 (1975B)
13.603	Mental Retardation Coordination and Information (1970B) Office for the Handicapped (1974B) Office for Handicapped Individuals (1975B) Transferred to 84.125 (1980U1)	13.617	Physical Fitness Clinics (1974B) Transferred from 55.004 (1974B) Consolidated into 13.289 (1975B)
13.604	Urban Planning for Human Resources (1969B) Development-Information and Technical Assistance (1969B) Planning for Human Resources Development (1970B) Deleted (1972U)	13.618	Physical Fitness Demonstration Center Schools (1974B) Transferred from 55.005 (1974B) Consolidated into 13.289 (1975B)
13.605	State Personnel Merit Systems-Technical Assistance (1969B) Transferred to 27.010 (1971B)	13.619	Physical Fitness Program Development (1974B) Transferred from 55.006 (1974B) Consolidated into 13.289 (1975B)
13.606	Public Property for Educational and Public Health Uses (1965B) Surplus Property for Educational and Public Health Uses (1967B) Surplus Property Utilization (1969B) Number changed to 13.676 (1976B)	13.620	Presidential Physical Fitness Award (1974B) Transferred from 55.007 (1974B) Consolidated into 13.289 (1975B)
13.607	Facilities Engineering and Construction Activities-Technical Assistance (1970U) Facilities Engineering and Property Management-Technical Assistance (1973U) Number changed to 13.677 (1976B)	13.621	Health-Exercise Symposia (1974B) Transferred from 55.008 (1974B) Consolidated into 13.289 (1975B) Deleted (1975B)
13.608	Child Development-Child Welfare Research and Demonstration Grants (1971B) Split from 13.706 (1971B) Administration for Children, Youth and Families-Child Welfare Research and Demonstration Grants (1977U) Administration for Children, Youth and Families-Child Welfare Research and Demonstration (1978B) Number changed to 93.608 (1990U)	13.622	Presidential Sports Award (1974B) Transferred from 55.009 (1974B) Consolidated into 13.289 (1975B)
13.609	Special Programs for the Aging (1973U) Number changed from 13.756 (1973U) Split into 13.633, 13.634, 13.635, 13.636, 13.637 (1975U)	13.623	Runaway Youth (1975U) Replaces deleted program, 13.610 (1975U) Administration for Children, Youth and Families-Runaway Youth (1978B) Administration for Children, Youth and Families-Runaway and Homeless Youth (1986B) Number changed to 93.623 (1990U)
13.610	Youth-Development and Delinquency Prevention (1973U) Number changed from 13.764 (1973U) Deleted (1975B)	13.624	Rehabilitation Services and Facilities-Basic Support (1975B) Number changed from 13.746 (1975B) Transferred to 84.126 (1980U1)
13.611	Consumer Affairs (1973U) Transferred from 69.001 (1973U) Number changed to 13.678 (1976B)	13.625	Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1975B) Number changed from 13.747 (1975B) Transferred to 84.127 (1980U1)
13.612	Native American Programs (1974B) Transferred from OEO (1974B)	13.626	Rehabilitation Services and Facilities-Special Projects (1975B) Number changed from 13.763 (1975B)



- Split into 13.626, 13.649 (1978B)  
Transferred to 84.128 (1980U1)
- 13.627 Rehabilitation Research and Demonstrations (1975B)  
Number changed from 13.765 (1975B)  
Number changed to 13.654 (1979U1)
- 13.628 Child Development-Child Abuse and Neglect Prevention and Treatment (1975B)  
Administration for Children, Youth and Families-Child Abuse and Neglect Prevention and Treatment (1977U)  
Child Abuse and Neglect Prevention and Treatment (1978B)  
Deleted (1985B)
- 13.629 Rehabilitation Training (1975B)  
Number changed from 13.767 (1975B)  
Transferred to 84.129 (1980U1)
- 13.630 Developmental Disabilities-Basic Support (1975B)  
Number changed from 13.753 (1975B)  
Developmental Disabilities-Basic Support and Advocacy Grants (1978U)  
Administration for Developmental Disabilities-Basic Support and Advocacy Grants (1980U1)  
Administration on Developmental Disabilities-Basic Support and Advocacy Grants (1980U2)  
Number changed to 93.630 (1990U)
- 13.631 Developmental Disabilities-Special Projects (1975B)  
Number changed from 13.759 (1975B)  
Administration for Developmental Disabilities-Special Projects (1980U1)  
Administration on Developmental Disabilities-Special Projects (1980U2)  
Administration on Developmental Disabilities-Projects of National Significance (1988B)  
Number changed to 93.631 (1990U)
- 13.632 Developmental Disabilities-Demonstration Facilities and Training (1975B)  
Number changed from 13.760 (1975B)  
Developmental Disabilities-University Affiliated Facilities (1977U)  
Developmental Disabilities-University Affiliated Programs (1978B)  
Administration on Developmental Disabilities-University Affiliated Facilities (1980U2)  
Administration on Developmental Disabilities-University Affiliated Programs (1988B)  
Number changed to 93.632 (1990U)
- 13.633 Special Programs for the Aging-State Agency Activities and Area Planning and Social Service Programs (1975U)  
Split from 13.609 (1975U)  
Special Programs for the Aging-Title III Parts A and B-Grants for States and Community Programs on Aging (1979B)  
Special Programs for the Aging-Title III Parts A and B-Grants for Social Services and Centers (1981U)  
Special Programs for the Aging-Title III, Parts A and B-Grants for Supportive Services and Senior Centers (1981U)  
Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers (1987B)  
Number changed to 93.633 (1990U)
- 13.634 Aging Programs Title III Section 308 Model Projects (1975U)  
Split from 13.609 (1975U)  
Special Programs for the Aging Title III Section 308 Model Projects on Aging (1976B)  
Special Programs for the Aging-Title IV C-Discretionary Projects and Programs (1979B)  
Special Programs for the Aging-Title IV Part C-Discretionary Projects and Programs (1981B)
- Consolidated into 13.668 (1982B)
- 13.635 Special Programs for the Aging-Nutrition Program for the Elderly (1975U)  
Split from 13.609 (1975U)  
Special Programs for the Aging-Title III, Part C-Nutrition Services (1979B)  
Number changed to 93.635 (1990U)
- 13.636 Programs for the Aging-Research and Demonstration (1975U)  
Split from 13.609 (1975U)  
Special Programs for the Aging-Research and Demonstration (1976B)  
Special Programs for the Aging-Research and Development (1976U)  
Special Programs for the Aging-Title IV Part B-Research and Development (1979B)  
Consolidated into 13.668 (1982B)
- 13.637 Programs for the Aging-Training (1975U)  
Split from 13.609 (1975U)  
Special Programs for the Aging-Training (1976B)  
Special Programs for the Aging-Title IV A-Training (1979B)  
Consolidated into 13.668 (1982B)
- 13.638 Special Programs for the Aging-Multidisciplinary Centers of Gerontology (1976U)  
Special Programs for the Aging-Title IV G-Multidisciplinary Centers of Gerontology (1979B)  
Special Programs for the Aging-Title IV E-Multidisciplinary Centers of Gerontology (1980B)  
Special Programs for the Aging-Title IV, Part E-Multidisciplinary Centers of Gerontology (1981B)  
Deleted (1982B)
- 13.639 Special Programs for the Aging-Title V Multipurpose Senior Centers (1976U)  
Incorporated into 13.633 (1979B)  
Consolidated into 13.668 (1982B)
- 13.640 Youth Research and Development (1977B)  
Administration for Children, Youth and Families-Youth Research and Development (1978B)  
Incorporated into 13.608 (1981B)
- 13.641 Special Programs for the Aging-Title III, Part D-In-Home Services for Frail Older Individuals (1988B)  
Number changed to 93.641 (1990U)
- 13.642 Social Services for Low Income and Public Assistance Recipients (1977U)  
Number changed from 13.771 (1977U)  
Consolidated into 13.667 (1982B)
- 13.643 Children's Justice Grants to States (1987B)  
Number changed to 93.643 (1990U)
- 13.644 Public Assistance Training Grants-Title XX (1977U)  
Number changed from 13.772 (1977U)  
Social Services Training Grants-Title XX (1979U1)  
Consolidated into 13.667 (1982B)
- 13.645 Child Welfare Services (1977U)  
Child Welfare Services-State Grants (1978B)  
Number changed from 13.707 (1977U)  
Number changed to 93.645 (1990U)
- 13.646 Work Incentives Program-Child Care-Employment Related Supportive Services (1977U)  
Number changed from 13.748 (1977U)  
Work Incentive Program (1979B)

	Number changed to 13.790 (1986U)		Transferred to 10.433 (1986B)
13.647	Social Services Research (1977U) Split from 13.766 (1977U) Social Services Research and Demonstration (1978B) Number changed to 93.647 (1990U)	13.665	Community Services Block Grant (1982B) Split into 13.792, 13.793 (1986U)
13.648	Training Grants in the Field of Child Welfare (1977U) Number changed from 13.768 (1977U) Child Welfare Services Training Grants (1978B) Number changed to 93.648 (1990U)	13.666	Comprehensive Child Development Centers (1989B) Number changed to 93.666 (1990U)
13.649	Rehabilitation Services and Facilities-Innovation and Expansion (1978B) Split from 13.626 (1978B) Transferred to 84.130 (1980U1)	13.667	Social Services Block Grant (1982B) Number changed to 93.667 (1990U)
13.650	Special Programs for the Aging-Title II, Section 204, National Clearinghouse on Aging (1978B) Deleted (1982B)	13.668	Special Programs for the Aging-Title IV-Training, Research and Discretionary Projects and Programs (1982B) Number changed to 93.668 (1990U)
13.651	Vocational Rehabilitation Services for Supplemental Security Income Beneficiaries (1978U) Transferred to 84.131 (1980U1)	13.669	Administration for Children, Youth and Families-Child Abuse and Neglect State Grants (1985B) Number changed to 93.669 (1990U)
13.652	Administration for Children, Youth and Families-Adoption Opportunities (1979B) Number changed to 93.652 (1990U)	13.670	Administration for Children, Youth and Families-Child Abuse and Neglect Discretionary Activities (1985B) Number changed to 93.670 (1990U)
13.653	Centers for Independent Living (1979U1) Transferred to 84.132 (1980U1)	13.671	Family Violence and Prevention Services (1986B) Number changed to 93.671 (1990U)
13.654	National Institute of Handicapped Research (1979U1) Number changed from 13.627 (1979U1) Transferred to 84.133 (1980U1)	13.672	Child Abuse Challenge Grants (1986U) Number changed to 93.672 (1990U)
13.655	Special Programs for the Aging-Title VI-Grants to Indian Tribes (1980B) Special Programs for the Aging-Title VI, Part A-Indian Programs (1988B) Special Programs for the Aging-Title VI, Part A-Indian Programs-Grants to Indian Tribes (1988U) Special Programs for the Aging-Title VI, Part A, Indian Programs-Grants to Indian Tribes-Part B, Grants to Native Hawaiians (1990B) Number changed to 93.655 (1990U)	13.673	Grants to States for Planning and Development of Dependent Care Programs (1986U) Number changed to 93.673 (1990U)
13.656	Temporary Child Care and Crisis Nurseries (1988B) Number changed to 93.656 (1990U)	13.674	Independent Living (1987U) Number changed to 93.674 (1990U)
13.657	Drug Abuse Prevention and Education for Runaway and Homeless Youth (1989B) Number changed to 93.657 (1990U)	13.675	Civil Rights Compliance Activities (1976B) Number changed from 13.602 (1976B) Number changed to 93.675 (1990U)
13.658	Foster Care-Title IV-E (1982B) Number changed to 93.658 (1990U)	13.676	Surplus Property Utilization (1976B) Number changed from 13.606 (1976B) Number changed to 13.291 (1986U)
13.659	Adoption Assistance (1981U) Number changed to 93.659 (1990U)	13.677	Facilities Engineering and Property Management-Technical Assistance (1976B) Number changed from 13.607 (1976B) Facilities Engineering and Property Management-Technical Support (1978B) Deleted (1978B)
13.660	Drug Abuse Prevention and Education Relating to Youth Gangs (1989B) Number changed to 93.660 (1990U)	13.678	Consumer Affairs (1976B) Number changed from 13.611 (1976B) Number changed to 93.678 (1990U)
13.661	Native American Programs-Research, Demonstration, and Evaluation (1981B) Incorporated into 13.612 (1990B)	13.679	Child Support Enforcement (1976U) Number changed to 13.783 (1986U)
13.662	Native American Programs-Training and Technical Assistance (1981B) Incorporated into 13.612 (1990B)	13.680	Telecommunications Demonstrations (1978B) Telecommunications Demonstrations for Social Services (1978U) Telecommunications Demonstrations for Health, Education and Other Social Services (1979U2) Transferred to 84.134 (1980U1)
13.663	Community Development Credit Union Revolving Loan Fund (1984B) Number changed to 13.794 (1986U)	13.685	Emergency School Aid Act-Planning Grants (1979U1) Transferred to 84.106 (1980U1)
13.664	Rural Development Loan Fund (1984B)	13.686	Emergency School Aid Act-Pre-Implementation Assistance Grants (1979U1) Transferred to 84.107 (1980U1)
		13.687	Emergency School Aid Act-Out-of-Cycle Grants (1979U1) Transferred to 84.108 (1980U1)
		13.688	Emergency School Aid Act-Special Discretionary Assistance Grants (1979U1)

- Transferred to 84.109 (1980U1)
- 13.689 Emergency School Aid Act-State Agency Grants (1979U1)  
Transferred to 84.110 (1980U1)
- 13.690 Emergency School Aid Act-Grants for the Arts (1979U1)  
Transferred to 84.111 (1980U1)
- 13.691 Biomedical Sciences for Talented, Disadvantaged Secondary Students (1980B)  
Transferred to 84.112 (1980U1)
- 13.692 Adult Education Program for Adult Immigrants (1979U2)  
Transferred to 84.113 (1980U1)
- 13.700 Health Insurance for the Aged-Supplementary Medical Insurance (1969B)  
Aging-Grants to States for Community Planning and Services (1970B)  
Aging-Grants to States for Community Programs (1971B)  
Split into 13.700, 13.751 (1971B)  
Consolidated into 13.756 (1972B)
- 13.701 Aging-Research and Demonstration (1969B)  
Aging-Research and Development Grants (1970B)  
Consolidated into 13.757 (1972B)
- 13.702 Aging-Training Grants (1970B)  
Consolidated into 13.758 (1972B)
- 13.703 Aid to Families with Dependent Children (1965B)  
Aid to Families with Dependent Children-Maintenance Payments (1969B)  
Aid to Families with Dependent Children (1970B)  
Consolidated into 13.761 (1972B)
- 13.704 Aid to the Blind (1965B)  
Aid to the Blind-Maintenance Payments (1969B)  
Aid to the Blind (1970B)  
Consolidated into 13.761 (1972B)
- 13.705 Aid to the Permanently and Totally Disabled (1965B)  
Aid to the Permanently and Totally Disabled-Maintenance Payments (1969B)  
Aid to the Permanently and Totally Disabled (1970B)  
Consolidated into 13.761 (1972B)
- 13.706 Child Welfare Research, Training, and Demonstration Projects (1965B)  
Child Welfare Research and Demonstration Grants (1970B)  
Split into 13.608, 13.706 (1971B)  
Consolidated into 13.757 (1972B)
- 13.707 Child Welfare Services (1965B)  
Child Welfare Training (1969B)  
Child Welfare Services (1970B)  
Number changed to 13.645 (1977U)
- 13.708 Child Welfare Training (1970B)  
Consolidated into 13.758 (1972B)
- 13.709 Emergency Welfare Assistance-Maintenance Payments (1969B)  
Emergency Welfare Assistance (1970B)  
Consolidated into 13.761 (1972B)
- 13.710 Foster Grandparents (1969B)  
Foster Grandparent Program (1970B)  
Aging-Foster Grandparents (1971B)  
Deleted (1971U)
- 13.711 Juvenile Delinquency Planning, Prevention, and Rehabilitation (1970B)  
Consolidated into 13.764 (1972B)
- 13.712 Juvenile Delinquency Prevention and Control-Model Programs and Technical Assistance (1970B)  
Consolidated into 13.764 (1972B)
- 13.713 Juvenile Delinquency Prevention and Control-Training (1970B)  
Juvenile Delinquency Prevention and Control-Training of Youth Service Personnel (1971B)  
Consolidated into 13.764 (1972B)
- 13.714 Medical Assistance Program (1967B)  
Number changed to 93.778 (1990U)
- 13.715 Mental Retardation-Initial Staffing of Community Facilities (1970B)  
Developmentally Disabled-Community Service Facility Initial Staffing (1971B)  
Consolidated into 13.759 (1972B)
- 13.716 Mental Retardation Community Facilities Construction (1970B)  
Number changed to 13.753 (1971B)
- 13.717 Hospital Improvement Projects for the Mentally Disabled (1965B)  
Mental Retardation-Hospital Improvement (1969B)  
Mental Retardation Hospital Improvement (HIP) and Inservice Training (HIST) (1970B)  
Developmentally Disabled-Hospital Improvement (1971B)  
Consolidated into 13.759 (1972B)
- 13.718 Mental Retardation Rehabilitation Service Projects (1970B)  
Developmentally Disabled-Rehabilitation Service Projects (1971B)  
Consolidated into 13.759 (1972B)
- 13.719 Mental Retardation Research (1970B)  
Deleted (1971B)
- 13.720 New Career Opportunities for the Handicapped (1970B)  
Consolidated into 13.749 (1970U)
- 13.721 New Career Opportunities in Vocational Rehabilitation (1970B)  
Consolidated into 13.749 (1970U)
- 13.722 Old-Age Assistance (1970B)  
Consolidated into 13.761 (1972B)
- 13.723 Demonstration Projects in Public Assistance (1967B)  
Public Assistance Demonstration Projects (1969B)  
Public Assistance Demonstration Grants (1971B)  
Consolidated into 13.757 (1972B)
- 13.724 Public Assistance Staff Development-Formula Grants to States (1970B)  
Public Assistance-State and Local Training (1971B)  
Number changed to 13.810 (1977U)
- 13.725 Refugees in the United States-Health Services (1970B)  
Refugee Assistance-Health Services (1971B)  
Consolidated into 13.762 (1972B)
- 13.726 Refugees in the United States-Resettlement (1970B)  
Refugee Assistance-Resettlement (1971B)  
Consolidated into 13.762 (1972B)
- 13.727 Refugees in the United States-Welfare Assistance and Services (1970B)  
Refugee Assistance-Welfare Assistance and Services (1971B)  
Consolidated into 13.762 (1972B)
- 13.728 Vocational Rehabilitation-Research and Demonstration (1965B)  
Rehabilitation Research and Demonstration Grants (1969B)



	Consolidated into 13.757 (1972B)		Vocational Rehabilitation-Technical Assistance (1970B)
13.729	Vocational Rehabilitation Research and Training Centers (1965B) Rehabilitation Research and Training Centers (1969B) Consolidated into 13.757 (1972B)		Rehabilitation Facilities Improvement Grants-Technical Assistance (1971B) Consolidated into 13.763 (1972B)
13.730	Vocational Rehabilitation Services (1967B) Rehabilitation Services Expansion-Contracts With Industry (1970B) Rehabilitation Services Projects-Projects with Industry (1971B) Consolidated into 13.763 (1972B)	13.745	Vocational Rehabilitation-Training Services Grants (1970B) Rehabilitation Services Training Grants (1971B) Consolidated into 13.763 (1972B)
13.731	Rehabilitation Services Expansion Grants (1970B) Rehabilitation Services Projects-Expansion Grants (1971B) Consolidated into 13.763 (1972B)	13.746	Vocational Rehabilitation-Rehabilitation Services (1965B) Social Services for Rehabilitation Patients (1969B) Vocational Rehabilitation Services-Basic Support (1970B) Rehabilitation Services and Facilities-Basic Support (1971B) Number changed to 13.624 (1975B)
13.732	Rehabilitation Services Innovation (1969B) Rehabilitation Services Innovation Grants (1970B) Rehabilitation Services Projects-Innovation Grants (1971B) Deleted (1972B)	13.747	Social Services for the Elderly Through Public Assistance (1969B) Vocational Rehabilitation Services for Social Security Beneficiaries (1970B) Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1971B) Number changed to 13.625 (1975B)
13.733	Vocational Rehabilitation Training Grants (1965B) Rehabilitation Training (1970B) Consolidated into 13.758 (1972B)	13.748	Work Incentive Program-Child Care (1970B) Work Incentives Program-Child Care-Employment Related Supportive Services (1973B) Number changed to 13.646 (1977U)
13.734	Citizens Returned or Brought from a Foreign Country (1965B) Repatriated United States National Assistance (1969B) Consolidated into 13.761 (1972B)	13.749	Vocational Rehabilitation-New Careers (1970U) Consolidated from 13.720, 13.721 (1970U) Rehabilitation Services Projects-New Career Opportunities (1971B) Consolidated into 13.763 (1972B)
13.735	Social Services-Aid to the Blind (1970B) Consolidated into 13.754 (1971B)	13.750	Ageing-Grants to States for Areawide Model Projects (1971B) Consolidated into 13.756 (1972B)
13.736	Social Services-Aid to the Permanently and Totally Disabled (1970B) Consolidated into 13.754 (1971B)	13.751	Ageing-Grants to States for Statewide Planning, Coordination, Evaluation, and Administration (1971B) Split from 13.700 (1971B) Consolidated into 13.756 (1972B)
13.737	Social Services to Families and Children Receiving Aid to Families with Dependent Children (1969B) Social Services-Families with Dependent Children (1970B) Consolidated into 13.754 (1971B)	13.752	Ageing-Retired Senior Volunteers (1971B) Deleted (1971U)
13.738	Old-Age Assistance (1965B) Old-Age Assistance-Maintenance Payments (1969B) Social Services-Old-Age Assistance (1970B) Consolidated into 13.754 (1971B)	13.753	Developmentally Disabled-Basic Support (1971B) Number changed from 13.716 (1971B) Number changed to 13.630 (1975B)
13.739	Research and Demonstration Projects in Social Welfare (1967B) Social Welfare Cooperative Research and Demonstration Grants (1970B) Consolidated into 13.757 (1972B)	13.754	Public Assistance-Social Services (1971B) Consolidated from 13.735, 13.736, 13.737, 13.738 (1971B) Incorporated into 13.771 (1977U)
13.740	Social Services Training (1969B) Social Work Manpower-Training Grants (1970B) Consolidated into 13.758 (1972B)	13.755	Vocational Rehabilitation-Construction Grants (1971B) Deleted (1973B)
13.741	State and Local Administration of Public Assistance Programs (1970B) State and Local Administration of Public Assistance (1971B) Consolidated into 13.761 (1972B)	13.756	Ageing-Special Support Projects (1972B) Consolidated from 13.700, 13.750, 13.751 (1972B) Special Programs for the Aging (1973B) Number changed to 13.609 (1973U)
13.742	Vocational Rehabilitation-Facilities and Workshops (1965B) Vocational Rehabilitation-Facility Improvement Grants (1970B) Rehabilitation Facilities Projects-Improvement Grants (1971B) Consolidated into 13.763 (1972B)	13.757	Comprehensive Social Rehabilitation Research (1972B) Consolidated from 13.701, 13.706, 13.723, 13.728, 13.729, 13.739 (1972B) Split into 13.765, 13.766 (1974B)
13.743	Vocational Rehabilitation-Initial Staffing (1970B) Rehabilitation Services Projects-Initial Staffing (1971B) Consolidated into 13.763 (1972B)	13.758	Comprehensive Social and Rehabilitation Training (1972B) Consolidated from 13.702, 13.708, 13.733, 13.740 (1972B) Deleted (1973B)
13.744	Social and Rehabilitation Services-Technical Assistance (1969B)	13.759	Developmental Disabilities-Special Projects (1972B)

	Consolidated from 13.715, 13.717, 13.718 (1972B) Number changed to 13.631 (1975B)		Number changed to 93.775 (1990U)
13.760	Developmental Disabilities-Demonstration Facilities and Training (1972B) Number changed to 13.632 (1975B)	13.776	Professional Standards Review Organizations (1979B) Deleted (1985B)
13.761	Public Assistance-Maintenance Assistance (State Aid) (1972B) Consolidated from 13.703, 13.704, 13.705, 13.709, 13.722, 13.734, 13.741 (1972B) Number changed to 13.808 (1977U)	13.777	State Health Care Providers Survey Certification (1979B) State Survey and Certification of Health Care Providers and Suppliers (1986B) Number changed to 93.777 (1990U)
13.762	Refugee Assistance-Cuban Refugees (1972B) Consolidated from 13.725, 13.726, 13.727 (1972B) Number changed to 13.813 (1977U)	13.780	Assistance Payments-Maintenance Assistance (1986U) Number changed from 13.808 (1986U) Family Support Payments to States-Assistance Payments (1988B) Number changed to 93.020 (1990U)
13.763	Rehabilitation Services and Facilities-Special Projects (1972B) Consolidated from 13.730, 13.731, 13.742, 13.743, 13.744, 13.745, 13.749 (1972B) Number changed to 13.626 (1975B)	13.781	Job Opportunities and Basic Skills Training (1989B) Number changed to 93.021 (1990U)
13.764	Youth-Development and Delinquency Prevention (1972B) Consolidated from 13.711, 13.712, 13.713 (1972B) Number changed to 13.610 (1973U)	13.782	Assistance Payments-Research (1986U) Number changed from 13.812 (1986U) Number changed to 93.022 (1990U)
13.765	Rehabilitation Research and Demonstrations (1974B) Split from 13.757 (1974B) Number changed to 13.627 (1975B)	13.783	Child Support Enforcement (1986U) Number changed from 13.679 (1986U) Number changed to 93.023 (1990U)
13.766	Public Assistance Research (1974B) Split from 13.757 (1974B) Health Financing Research, Demonstrations and Experiments (1977U) Split into 13.647, 13.766, 13.812 (1977U) Health Financing Research, Demonstrations and Evaluations (1987B) Health Care Financing Research, Demonstrations and Evaluations (1987U) Number changed to 93.779 (1990U)	13.784	Child Support Enforcement Research (1986U) Number changed from 13.809 (1986U) Number changed to 93.024 (1990U)
13.767	Rehabilitation Training (1974B) Number changed to 13.629 (1975B)	13.785	Child Support Enforcement Interstate Grants (1986U) Number changed from 13.811 (1986U) Deleted (1989B)
13.768	Community Services Training Grants (1975B) Training Grants in the Field of Child Welfare (1976B) Number changed to 13.648 (1977U)	13.786	State Legalization Impact Assistance Grants (1987U) Number changed to 93.025 (1990U)
13.769	Special Assistance to Refugees from Cambodia and Vietnam in the United States (1976B) Special Assistance to Refugees from Cambodia, Vietnam and Laos in the United States (1976U) Number changed to 13.814 (1977U)	13.787	Refugee and Entrant Assistance-State Administered Programs (1986U) Number changed from 13.814 (1986U) Number changed to 93.026 (1990U)
13.771	Social Services for Low Income and Public Assistance Recipients (1976B) Number changed to 13.642 (1977U)	13.788	Refugee Assistance-Voluntary Agency Programs (1986U) Number changed from 13.815 (1986U) Number changed to 93.027 (1990U)
13.772	Public Assistance Training Grants-Title XX (1976B) Number changed to 13.644 (1977U)	13.789	Low-Income Home Energy Assistance (1986U) Number changed from 13.818 (1986U) Number changed to 93.028 (1990U)
13.773	Medicare-Hospital Insurance (1977U) Number changed from 13.800 (1977U) Health Insurance for the Aged-Hospital Insurance (1977U) Medicare-Supplementary Medical Insurance (1977U) Number changed to 93.773 (1990U)	13.790	Work Incentive Program (1986U) Number changed from 13.646 (1986U) Work Incentive Program/WIN Demonstration Program (1988U) Number changed to 93.029 (1990U)
13.774	Health Insurance for the Aged-Supplementary Medical Insurance (1977U) Number changed from 13.801 (1977U) Number changed to 93.774 (1990U)	13.791	Emergency Services and Shelter AFDC Transitional Housing Demonstration Program (1990B) Number changed to 93.030 (1990U)
13.775	State Medicaid Fraud Control Units (1978B)	13.792	Community Services Block Grant (1986U) Number changed from 13.665 (1986U) Split from 13.665 (1986U) Number changed to 93.031 (1990U)
		13.793	Community Services Block Grant-Discretionary Awards (1986U) Split from 13.665 (1986U) Number changed to 93.032 (1990U)
		13.794	Community Development Credit Union Revolving Loan Fund

- Number changed from 13.663 (1986U)  
Transferred to 44.002 (1987B)
- 13.795 Community Block Grant Discretionary Awards-Community Food and Nutrition (1987B)  
Number changed to 93.033 (1990U)
- 13.796 Emergency Community Services for the Homeless (1988B)  
Number changed to 93.034 (1990U)
- 13.797 Community Services Block Grant Discretionary Awards-Demonstration Partnerships (1988B)  
Number changed to 93.035 (1990U)
- 13.800 Health Insurance for the Aged (1965B)  
Health Insurance for People 65 or Over (Medicare) (1967B)  
Health Insurance of the Aged-Hospital Insurance (1969B)  
Medicare-Hospital Insurance (1973B)  
Number changed to 13.773 (1977U)
- 13.801 Health Insurance for the Aged-Supplementary Medical Insurance (1970B)  
Medicare-Supplementary Medical Insurance (1973B)  
Number changed to 13.774 (1977U)
- 13.802 Social Security Benefits (1967B)  
Social Security-Disability Insurance (1970B)  
Number changed to 93.802 (1990U)
- 13.803 Social Security-Retirement Insurance (1970B)  
Number changed to 93.803 (1990U)
- 13.804 Social Security-Special Benefits for Persons Aged 72 and Over (1970B)  
Number changed to 93.804 (1990U)
- 13.805 Social Security-Survivors Insurance (1970B)  
Number changed to 93.805 (1990U)
- 13.806 Special Benefits for Disabled Coal Miners (1970B)  
Number changed to 93.806 (1990U)
- 13.807 Supplemental Security Income (1973U)  
Number changed to 93.807 (1990U)
- 13.808 Public Assistance-Maintenance Assistance (State Aid) (1977U)  
Number changed from 13.761 (1977U)  
Assistance Payments-Maintenance Assistance (State Aid) (1978B)  
Assistance Payments-Maintenance Assistance (1981B)  
Number changed to 13.780 (1986U)
- 13.809 Child Support Enforcement Research (1984B)  
Split from 13.812 (1984B)  
Number changed to 13.784 (1986U)
- 13.810 Public Assistance-State and Local Training (1977U)  
Number changed from 13.724 (1977U)  
Assistance Payments-State and Local Training (1978B)  
Incorporated into 13.808 (1983U)
- 13.811 Child Support Enforcement Interstate Grants (1985B)  
Number changed to 13.785 (1986U)
- 13.812 Public Assistance Research (1977U)  
Split from 13.766 (1977U)  
Assistance Payments-Research (1978B)  
Split into 13.809, 13.812 (1984B)  
Reinstated (1987B)  
Number changed to 93.812 (1990U)
- 13.813 Refugee Assistance-Cuban Refugees (1977U)  
Number changed from 13.762 (1977U)  
Refugee Assistance-Cuban Program Phasedown (1981B)  
Deleted (1982B)
- 13.814 Special Assistance to Refugees from Cambodia, Vietnam and Laos in the United States (1977U)  
Number changed from 13.769 (1977U)  
Refugee Assistance-Indochinese Refugees (1978B)  
Refugee Assistance-State Administered Programs (1980B)  
Refugee and Entrant Assistance-State Administered Programs (1984B)  
Number changed to 13.787 (1986U)
- 13.815 Refugee Assistance: Soviet and Other Refugees (Excluding Cuban and Indochinese Refugees) (1979B)  
Refugee Assistance-Voluntary Agency Programs (1980B)  
Number changed to 13.788 (1986U)
- 13.816 Low Income Energy Assistance Program (1980U1)  
Low Income Home Energy Assistance Program (1981U)  
Number changed to 13.818 (1982B)
- 13.817 Refugee Assistance-Cuban and Haitian Entrants (1981B)  
Entrant Assistance-Cuban and Haitian Entrants (1982B)  
Incorporated into 13.814 (1984B)
- 13.818 Low Income Home Energy Assistance Program (1982B)  
Number changed from 13.816 (1982B)  
Number changed to 13.789 (1986U)
- 13.820 Scholarships for First-Year Students of Exceptional Financial Need (1978B)  
Scholarships for Students of Exceptional Financial Need (1989B)  
Number changed to 93.820 (1990U)
- 13.821 Physiology and Biomedical Engineering (1978U)  
Consolidated from 13.860, 13.861 (1978U)  
Biophysics and Physiological Sciences (1985B)  
Number changed to 93.821 (1990U)
- 13.822 Health Careers Opportunity Program (1979B)  
Number changed to 93.822 (1990U)
- 13.823 Health Underserved Research and Demonstration Projects (1979B)  
Primary Care Research and Demonstration Projects (1979U2)  
Split into 13.112, 13.113, 13.114, 13.115 (1983B)
- 13.824 Area Health Education Centers (1979B)  
Deleted (1980B)  
Reinstated (1981B)  
Number changed to 93.824 (1990U)
- 13.825 Cancer-Research and Development Contracts (1973U)  
Split into 13.393, 13.394, 13.395, 13.396, 13.399 (1974B)
- 13.826 Heart and Lung-Research and Development Contracts (1973U)  
Split into 13.837, 13.838, 13.839 (1974B)
- 13.827 Dental Research-Contracts (1973U)  
Split into 13.840, 13.841, 13.842, 13.843, 13.844, 13.845 (1974B)
- 13.828 Arthritis, Metabolism, and Digestive Diseases-Research Contracts (1973U)  
Split into 13.846, 13.847, 13.848, 13.849, 13.850 (1974B)
- 13.829 Neurological Diseases and Stroke-Research and Development Contracts (1973U)  
Split into 13.851, 13.852, 13.853, 13.854 (1974B)



- 13.830 Allergy and Infectious Diseases-Research and Development Contracts (1973U)  
Split into 13.855, 13.856, 13.857, 13.858 (1974B)
- 13.831 General Medical Sciences-Research and Development Contracts (1973U)  
Split into 13.859, 13.860, 13.861, 13.862, 13.863 (1974B)
- 13.832 Child Health and Human Development-Research and Development Contracts (1973U)  
Split into 13.864, 13.865, 13.866 (1974B)
- 13.833 Eye-Research and Development Contracts (1973U)  
Split into 13.867, 13.868, 13.869, 13.870, 13.871 (1974B)
- 13.834 Environmental Health Sciences-Research and Development Contracts (1973U)  
Split into 13.872, 13.873, 13.874, 13.875, 13.876 (1974B)
- 13.835 Research Resources-Research and Development Contracts (1973U)  
Split/Incorporated into 13.306, 13.371, 13.877 (1974B)
- 13.836 Biomedical Communications-Research Contracts (1973U)  
Biomedical Communications Research (1974B)  
Deleted (1980B)
- 13.837 Heart and Vascular Diseases Research (1974B)  
Split from 13.346, 13.374, 13.826 (1974B)  
Number changed to 93.837 (1990U)
- 13.838 Lung Diseases Research (1974B)  
Split from 13.346, 13.374, 13.826 (1974B)  
Number changed to 93.838 (1990U)
- 13.839 Blood Diseases and Resources Research (1974B)  
Split from 13.346, 13.374, 13.826 (1974B)  
Number changed to 93.839 (1990U)
- 13.840 Caries Research (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.121 (1984B)
- 13.841 Periodontal and Soft Tissue Diseases Research (1974B)  
Split from 13.325, 13.827 (1974B)  
Periodontal Diseases Research (1976B)  
Split into 13.841, 13.878 (1976B)  
Consolidated into 13.121 (1984B)
- 13.842 Craniofacial Anomalies Research (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.122 (1984B)
- 13.843 Restorative Materials Research (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.121 (1984B)
- 13.844 Pain Control and Behavioral Studies (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.122 (1984B)
- 13.845 Dental Research Institutes (1974B)  
Split from 13.325, 13.827 (1974B)  
Dental Research Institutes-Research Centers in Oral Biology (1987B)  
Consolidated into 93.121 (1990U)
- 13.846 Arthritis, Bone and Skin Diseases Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Arthritis, Musculoskeletal and Skin Diseases Research (1981B)  
Number changed to 93.846 (1990U)
- 13.847 Diabetes, Endocrinology and Metabolism Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Number changed to 93.847 (1990U)
- 13.848 Digestive Diseases and Nutrition Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Number changed to 93.848 (1990U)
- 13.849 Kidney Diseases Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Kidney Diseases, Urology and Hematology Research (1976U)  
Number changed to 93.849 (1990U)
- 13.850 Hematology Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Incorporated into 13.849 (1976U)
- 13.851 Communicative Disorders Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Incorporated into 13.853, 13.854 (1982B)
- 13.852 Neurological Disorders Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Incorporated into 13.853, 13.854 (1982B)
- 13.853 Stroke, Nervous System Trauma Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Clinical Research (1982B)  
Clinical Research Related to Neurological and Communicative Disorders (1985B)  
Clinical Research Related to Neurological Disorders (1989B)  
Number changed to 93.853 (1990U)
- 13.854 Fundamental Neurosciences Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Biological Basic Research (1982B)  
Biological Basis Research in the Neurosciences and Communicative Sciences (1985B)  
Biological Basis Research in the Neurosciences (1989B)  
Number changed to 93.854 (1990U)
- 13.855 Allergic and Immunologic Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Immunology, Allergic and Immunologic Diseases Research (1977B)  
Pharmacological Sciences (1980B)  
Immunology, Allergic and Immunologic Diseases Research (1980U1)  
Allergy, Immunology and Transplantation Research (1989B)  
Number changed to 93.855 (1990U)
- 13.856 Bacterial and Fungal Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Infectious Diseases Research (1975U)  
Microbiology and Infectious Diseases Research (1977B)  
Number changed to 93.856 (1990U)
- 13.857 Viral Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Incorporated into 13.856 (1975U)
- 13.858 Parasitic Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Incorporated into 13.856 (1975U)

- 13.859 Pharmacology-Toxicology Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Pharmacological Sciences (1980U1)  
Number changed to 93.859 (1990U)
- 13.860 Biomedical Engineering Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Consolidated into 13.821 (1978U)
- 13.861 Clinical and Physiological Sciences Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Consolidated into 13.821 (1978U)
- 13.862 Genetics Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Number changed to 93.862 (1990U)
- 13.863 Cellular and Molecular Basis of Disease Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Number changed to 93.863 (1990U)
- 13.864 Population Research (1974B)  
Split from 13.317, 13.832 (1974B)  
Number changed to 93.864 (1990U)
- 13.865 Child Health Research (1974B)  
Split from 13.317, 13.832 (1974B)  
Research for Mothers and Children (1975U)  
Number changed to 93.865 (1990U)
- 13.866 Aging Research (1974B)  
Split from 13.317, 13.832 (1974B)  
Number changed to 93.866 (1990U)
- 13.867 Retinal and Choroidal Diseases Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Number changed to 93.867 (1990U)
- 13.868 Corneal Diseases Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Anterior Segment Diseases Research (1988B)  
Number changed to 93.868 (1990U)
- 13.869 Cataract Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Deleted (1988B)
- 13.870 Glaucoma Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Deleted (1988B)
- 13.871 Sensory-Motor Disorders and Rehabilitation Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Sensory and Motor Disorders of Vision Research (1977U)  
Strabismus, Amblyopia and Visual Processing (1982B)  
Number changed to 93.871 (1990U)
- 13.872 Environmental Health Sciences Centers (1974B)  
Split from 13.328, 13.834 (1974B)  
Consolidated into 13.892, 13.893, 13.894 (1978B)
- 13.873 Environmental Mutagenesis and Reproductive Toxicology Research (1974B)  
Split from 13.328, 13.834 (1974B)  
Consolidated into 13.892, 13.893, 13.894 (1978B)
- 13.874 Etiology of Environmental Diseases and Disorders Research (1974B)  
Split from 13.328, 13.834 (1974B)  
Consolidated into 13.892, 13.893, 13.894 (1978B)
- 13.875 Environmental Pharmacology and Toxicology Research (1974B)  
Split from 13.328, 13.834 (1974B)  
Consolidated into 13.892, 13.893, 13.894 (1978B)
- 13.876 Environmental Pathogenesis Research (1974B)  
Split from 13.328, 13.834 (1974B)  
Consolidated into 13.892, 13.893, 13.894 (1978B)
- 13.877 Chemical/Biological Information-Handling Research (1974B)  
Split from 13.835 (1974B)  
Deleted (1980B)
- 13.878 Soft Tissue Stomatology and Nutrition Research (1976B)  
Split from 13.841 (1976B)  
Consolidated into 13.121 (1984B)
- 13.879 Medical Library Assistance (1977B)  
Consolidated from 13.348, 13.349, 13.350, 13.351, 13.352, 13.881 (1977B)  
Number changed to 93.879 (1990U)
- 13.880 Minority Access to Research Careers (1976B)  
Number changed to 93.880 (1990U)
- 13.881 Health Science and Computer Technology Training (1976B)  
Consolidated into 13.879 (1977B)
- 13.882 Hypertension Program (1977B)  
High Blood Pressure Control Program (1981B)  
Consolidated into 13.991 (1982B)
- 13.883 National Health Planning Information Center (1977B)  
Deleted (1980B)
- 13.884 Grants for Residency Training in General Internal Medicine and/or General Pediatrics (1977B)  
Number changed to 93.884 (1990U)
- 13.885 Transfer of U.S. Students in Foreign Medical Schools to U.S. Schools (1977B)  
Grants for Training United States Citizen Foreign Medical Students (1978B)  
Grants for Training United States Citizen FMS (1979U1)  
Deleted (1980B)
- 13.886 Educational Programs for the Physician's Assistant (1977B)  
Grants for Programs for the Training of Physician's Assistants (1978B)  
Grants for Physician Assistant Training Program (1979U1)  
Number changed to 93.886 (1990U)
- 13.887 Medical Facilities Construction-Project Grants (1977B)  
Deleted (1980U1)  
Outpatient Medical Facility Improvement, Reinstated (1987B)  
Project Grants for Non-Acute Care Intermediate and Long-Term Care Facilities (1988B)  
Project Grants for Non-Acute Care Intermediate and Long-Term Care Facilities for Patients with AIDS (1989U)  
Number changed to 93.887 (1990U)
- 13.888 Home Health Services Grant Program (1977B)  
Home Health Services and Training Grant Program (1979B)  
Consolidated into 13.991 (1982B)  
Home Health Services and Training Grants and Loans (1983U)

	Split from 13.991 (1983U)		Post Secondary Education Improvement Fund, Transferred to 84.116 (1980U1)
	Home Health Services and Training (1986B)		
	Deleted (1988B)	13.950	Educational Research and Development (1976B)
13.889	Expanded Function Dental Auxiliary Training Program (1977U)		Number changed from 13.575 (1976B)
	Deleted (1982B)		Transferred to 84.117 (1980U1)
13.890	Genetic Diseases Testing and Counseling Services (1978B)	13.961	Public Health Special Project Grants (1979B)
	Consolidated into 13.994 (1982B)		Deleted (1981U)
13.891	Alcohol Research Center Grants (1978B)	13.962	Traineeships for Students in Other Graduate Programs (1979B)
	Number changed to 93.891 (1990U)		Health Administration Graduate Traineeships (1979U1)
13.892	Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (1978B)		Number changed to 93.962 (1990U)
	Consolidated from 13.872, 13.873, 13.874, 13.875, 13.876 (1978B)	13.963	Graduate Programs in Health Administration (1979B)
	Split into 13.112, 13.113, 13.114, 13.115 (1983B)		Number changed to 93.963 (1990U)
13.893	Mechanisms of Environmental Diseases and Disorders (1978B)	13.964	Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (1979B)
	Consolidated from 13.872, 13.873, 13.874, 13.875, 13.876 (1978B)		Number changed to 93.964 (1990U)
	Deleted (1983B)	13.965	Coal Miners Respiratory Impairment Treatment Clinics and Services (1979B)
13.894	Environmental Health Research and Manpower Development Resources (1978B)		Number changed to 93.965 (1990U)
	Consolidated from 13.872, 13.873, 13.874, 13.875, 13.876 (1978B)	13.966	Allied Health Traineeship Grants for Advanced Training Institutes (Short Term) (1979B)
	Resource and Manpower Development (1983B)		Allied Health Traineeship Grants for Training Institutes (Short Term) (1979U1)
	Resource and Manpower Development in the Environmental Health Services (1985B)		Allied Health Traineeship Grants for Advanced Training Institutes (Short Term) (1980B)
	Number changed to 93.894 (1990U)		Deleted (1980U1)
13.895	Grants for Faculty Development in Family Medicine (1978B)	13.967	Allied Health Traineeship Grants for Advanced Training (Long Term) (1979B)
	Number changed to 93.895 (1990U)		Allied Health Traineeship Grants for Training Institutes (Long Term) (1979U1)
13.896	Grants for Predoctoral Training in Family Medicine (1978B)		Allied Health Traineeship Grants for Advanced Training Institutes (Long Term) (1980B)
	Number changed to 93.896 (1990U)		Allied Health Traineeship Grants for Advanced Training (Long Term) (1980U1)
13.897	Residency Training in the General Practice of Dentistry (1978B)		Deleted (1981U)
	Residency Training and Advanced Education in the General Practice of Dentistry (1986B)	13.968	Allied Health Professions Project Grants (1979B)
	Number changed to 93.897 (1990U)		Deleted (1981U)
13.898	Alcoholism Demonstration (1978B)	13.969	Curriculum Development Grants (1979B)
	Split from 13.252 (1978B)		Health Professions Special Educational Initiatives (1983B)
	Alcoholism Demonstration/Evaluation (1979B)		Grants for the Training of Health Professions in Geriatrics (1988U)
	Deleted (1982B)		Number changed to 93.969 (1990U)
13.899	Alcohol Abuse and Alcoholism Prevention Demonstration (1978B)	13.970	Health Professions Recruitment Program for Indians (1979B)
	Split from 13.252 (1978B)		Number changed to 93.970 (1990U)
	Alcohol Abuse Prevention Research Demonstration (1980B)	13.971	Health Professions Preparatory Scholarship Program for Indians (1979B)
	Alcohol Abuse Prevention Demonstration/Evaluation (1980U1)		Number changed to 93.971 (1990U)
	Deleted (1982B)	13.972	Health Professions Scholarship Program for Indians (1979B)
13.900	Grants for Faculty Development in General Internal Medicine and/or General Pediatrics (1985B)		Health Professions Scholarship Program (1988U)
	Number changed to 93.900 (1990U)		Number changed to 93.972 (1990U)
13.901	Communications Programs Aimed Toward the Prevention of Alcohol and Other Drug Problems (1990B)	13.973	Special Grants for Former National Health Service Corps Members to Enter Private Practice (1979U1)
	Number changed to 93.901 (1990U)		Special Loans for National Health Service Corps Members to Enter Private Practice (1983B)
13.922	Capacity Building for Statistical Activities in State Educational Agencies (1979B)		Number changed to 93.973 (1990U)
	Capacity Building for Statistical Activities (1980B)	13.974	Family Planning Services Delivery Improvement Research Grants and Contracts (1979U1)
	Transferred to 84.114 (1980U1)		Family Planning Services Delivery Improvement Research Grants (1980B)
13.923	Institute of Museum Services (1978B)		Family Planning-Services Delivery Improvement Research Grants (1983U)
	Transferred to 84.115 (1980U1)		Number changed to 93.974 (1990U)
13.925	Fund for the Improvement of Postsecondary Education (1976B)		
	Number changed from 13.538 (1976B)		



- 13.975 Adolescent Pregnancy Prevention and Services (1979U1)  
Consolidated into 13.994 (1982B)
- 13.976 Hospital-Affiliated Primary Care Centers (1979U2)  
Deleted (1981U)
- 13.977 Preventive Health Service-Venereal Disease Control Grants (1979U1)  
Preventive Health Services-Venereal Disease Control Grants (1981U)  
Preventive Health Services-Sexually Transmitted Diseases Control Grants (1985B)  
Number changed to 93.977 (1990U)
- 13.978 Preventive Health Service-Venereal Disease Research, Demonstration, and Public Information and Education Grants 9 (1979U1)  
Preventive Health Services-Venereal Disease Research, Demonstration, and Public Information and Education Grants (1981U)  
Preventive Health Services-Sexually Transmitted Diseases Research, Demonstrations and Public Education Grants (1985B)  
Number changed to 93.978 (1990U)
- 13.979 Preventive Health Services-Influenza Immunization Grants (1979U1)  
Deleted (1980B)
- 13.980 Preventive Health Services-Fluoridation Grants (1979U1)  
Consolidated into 13.991 (1982B)
- 13.981 Grants for Health Education-Risk Reduction (1979U2)  
Consolidated into 13.991 (1982B)
- 13.982 Mental Health Disaster Assistance and Emergency Mental Health (1979U2)  
Number changed to 93.982 (1990U)
- 13.983 Health Facility Energy Conservation-Technical Assistance (1980B)  
Health Facility Energy Cost Management (1981B)  
Health Facility Energy Management (1983U)  
Deleted (1985B)
- 13.984 Grants for the Establishment of Departments of Family Medicine (1980B)  
Number changed to 93.984 (1990U)
- 13.985 Eye Research-Facility Construction (1980U1)  
Deleted (1983B)  
Reinstated (1985B)  
Deleted (1988B)
- 13.986 Health Care Technology Research (1980U1)  
Deleted (1982B)
- 13.987 Health Programs for Refugees (1980U2)  
Number changed to 93.987 (1990U)
- 13.988 Cooperative Agreements for State-Based Diabetes Control Programs (1981B)  
Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (1990B)  
Number changed to 93.988 (1990U)
- 13.989 Senior International Awards Program (1981B)  
Senior International Fellowships (1989B)  
Number changed to 93.989 (1990U)
- 13.990 National Health Promotion Activities (1981U)  
National Health Promotion Training Network (1982B)  
National Health Promotion (1982B)  
Number changed to 93.990 (1990U)
- 13.991 Preventive Health and Health Services Block Grant (1982B)
- Split into 13.888, 13.991 (1983U)  
Number changed to 93.991 (1990U)
- 13.992 Alcohol and Drug Abuse and Mental Health Services Block Grant (1982B)  
Number changed to 93.992 (1990U)
- 13.993 Primary Care Block Grant (1983B)  
Deleted (1986U)
- 13.994 Maternal and Child Health Services Block Grant (1982B)  
Number changed to 93.994 (1990U)
- 13.995 Adolescent Family Life-Demonstration Projects (1982B)  
Number changed to 93.995 (1990U)

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- Advance Acquisition of Land (1965B)  
Deleted (1969B)  
Advances for Public Works Planning (1965B)  
Public Works Planning Advances (1969B)  
Deleted (1970B)  
American Indians-Public Housing Program (1965B)  
Public Housing Program for American Indians (1967B)  
Deleted (1969B)  
Homes Association Residential Subdivision (1967B)  
Deleted (1969B)  
Low-Rent Public Housing (1965B)  
Incorporated into 14.146 (1970B)  
Metropolitan Expeditors to Assist Local Officials (1965B)  
Deleted (1969B)  
Supplementary Grants for Planned Metropolitan Development (1967B)  
Deleted (1969B)  
Urban Information and Technical Assistance Services (1967B)  
Deleted (1969B)  
Urban Mass Transportation (1965B)  
Transferred to the Department of Transportation (1969B)  
Urban Mass Transportation Demonstration Grants (1967B)  
Transferred to the Department of Transportation (1969B)  
Urban Renewal Rehabilitation and Code Enforcement (1965B)  
Deleted (1969B)  
Mortgage Insurance for Armed Services Housing-Civilian Employees (1969B)  
Deleted (1970B)  
Mortgage Insurance for Armed Services Housing-Impacted Areas (1969B)  
Deleted (1970B)  
Mortgage Insurance for Servicemen's Housing (1969B)  
Deleted (1970B)  
Alaska Housing (1970B)  
Deleted (1970B)
- 14.001 Flood Insurance (1969B)  
Transferred to 83.100 (1980B)
- 14.002 Urban Property Protection and Reinsurance Program (1969B)  
Urban Property Insurance (1975B)

- Transferred to 83.101 (1980B)
- 14.003 Crime Insurance (1971U)  
Transferred to 83.102 (1980B)
- 14.004 Land Sales-Undeveloped Plots in Interstate Commerce (1972U)  
Land Sales-Parcels of Subdivided Land (1976B)  
Number changed to 14.801 (1980B)
- 14.100 College Housing Program (1965B)  
College Housing Debt Service (1970B)  
Split into 14.100, 14.101 (1970B)  
Deleted (1973B)
- 14.101 College Housing Direct Loans (1970B)  
Split from 14.100 (1970B)  
Incorporated into 14.100 (1971B)
- 14.102 Housing for Elderly or Handicapped (1964B)  
Housing Loans-Rental Housing for the Elderly and the Handicapped (1970B)  
Incorporated into 14.103 (1970U)
- 14.103 Interest Supplements on Mortgages for Rental Housing for Lower Income Families (1969B)  
Interest Reduction Payments-Rental and Cooperative Housing for Lower Income Families (2005)  
Interest Reduction Payments-Rental and Cooperative Housing for Lower Income Families (1970B)  
Deleted (1994B)  
Reinstated (1999B)
- 14.104 Interest Reduction-Acquisition and Rehabilitation of Homes for Resale to Lower Income Families (1970U)  
Deleted (1978U)
- 14.105 Interest Supplements on Mortgages for Home Ownership for Lower Income Families (1969B)  
Interest Subsidy-Homes for Lower Income Families (1970B)  
Deleted (1983U)
- 14.106 Interest Reduction-Purchase of Rehabilitated Homes by Lower Income Families (1970B)  
Deleted (1978U)
- 14.107 Major Home Improvement Loan Insurance-Homes in Urban Renewal Areas (1970B)  
Deleted (1972B)
- 14.108 Major Home Improvement Loan Insurance-Housing Outside Urban Renewal Areas (1970B)  
Rehabilitation Mortgage Insurance (2005)  
Rehabilitation Mortgage Insurance (2005)  
Rehabilitation Mortgage Insurance (2006)  
Rehabilitation Mortgage Insurance (1980B)
- 14.109 Major Home Improvement Loan Insurance-Rental Housing in Urban Renewal Areas (1970B)  
Deleted (1972B)
- 14.110 Mobile Home Loan Insurance-Financing Purchase of Mobile Homes as Principal Residence (1970B)  
Manufactured Home Loan Insurance-Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2005)  
Manufactured Home Loan Insurance-Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2006)  
Mobile Home Loan Insurance-Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1976B)  
Manufactured (Mobile) Home Insurance-Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1981B)  
Manufactured (Mobile) Home Insurance-Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1984B)  
Manufactured Home Insurance-Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1985B)
- 14.111 Mortgage Insurance for Purchase and Rehabilitation of Homes for Resale to Low-Income Purchasers (1967B)  
Mortgage Insurance-Acquisition and Rehabilitation of Homes for Resale to Low Income Families (1970B)  
Incorporated into 14.103 (1971B)
- 14.112 Mortgage Insurance-Construction or Rehabilitation of Condominium Projects (1970B)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2005)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2006)  
Mortgage Insurance-Construction or Substantial Rehabilitation of Condominium Projects (1980B)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (1989U)
- 14.113 Mortgage Insurance-Conversion of Below Market Rate Rental Housing to Condominium Ownership (1970B)  
Deleted (1973B)
- 14.114 Mortgage Insurance-Conversion of Below Market Rate Rental Housing to Cooperative Housing (1970B)  
Deleted (1971U)
- 14.115 Mortgage Insurance-Development of Sales Type Cooperative Projects (1970B)  
Incorporated into 14.126 (1989B)
- 14.116 Mortgage Insurance for Group Practice Facilities (1969B)  
Mortgage Insurance-Group Practice Facilities (1970B)  
Consolidated into 14.128 (2002B)
- 14.117 Mortgage and Credit Insurance for Residential Rehabilitation and Home Purchase and Improvement (1967B)  
Mortgage Insurance-Homes (2005)  
Mortgage Insurance-Homes (2006)  
Major Home Improvement (1969B)  
Mortgage Insurance-Homes (1970B)  
Split into 14.118, 14.119, 14.121 (1970B)
- 14.118 Mortgage Insurance-Homes for Certified Veterans (1970B)  
Split from 14.117 (1970B)  
Incorporated into 14.117 (1983U)
- 14.119 Mortgage Insurance for Replacement Housing for Victims of Natural Disasters (1967B)  
Mortgage Insurance-Homes for Disaster Victims (2005)  
Mortgage Insurance-Homes for Disaster Victims (2006)  
Mortgage Insurance-Homes for Disaster Victims (1970B)  
Split from 14.117 (1970B)
- 14.120 Mortgage Insurance for Housing for Families of Low and Moderate Income (1967B)  
Mortgage Insurance for Moderate Income Homes (1969B)  
Mortgage Insurance-Homes for Low and Moderate Income Families (1970B)  
Deleted (2001U)
- 14.121 Mortgage Insurance-Homes in Outlying Areas (1970B)  
Split from 14.117 (1970B)
- 14.122 Mortgage Insurance-Homes in Urban Renewal Areas (1970B)  
Mortgage Insurance-Homes in Urban Renewal Areas (2005)  
Mortgage Insurance-Homes in Urban Renewal Areas (2006)
- 14.123 Mortgage Insurance in Older, Declining Neighborhoods (1969B)  
Mortgage Insurance-Housing in Older, Declining Areas (2005)  
Mortgage Insurance-Housing in Older, Declining Areas (2006)  
Mortgage Insurance-Housing in Older, Declining Areas (1970B)
- 14.124 Mortgage Insurance-Investor Sponsored Cooperative Housing (1970B)

- Incorporated into 14.126 (1989B)
- 14.125 Mortgage Insurance for Land Development and New Communities (1967B)  
Mortgage Insurance-Land Development and New Communities (1970B)  
Mortgage Insurance-Land Development (1983U)  
Deleted (1990B)
- 14.126 Mortgage Insurance-Management Type Cooperative Projects (1970B)  
Mortgage Insurance-Cooperative Projects (1989B)
- 14.127 Mortgage Insurance-Mobile Home Courts (1970B)  
Mortgage Insurance-Manufactured (Mobile) Home Parks (1981B)
- 14.128 Mortgage Insurance-Nonprofit Hospitals (1965B)  
Mortgage Insurance-Hospitals (1971B)
- 14.129 FHA Mortgage Insurance for Nursing Homes (1965B)  
Mortgage Insurance-Nursing Home and Intermediate Care Facilities (1970B)  
Mortgage Insurance Nursing Homes, Intermediate Care Facilities and Board and Care Homes (1985U)  
Mortgage Insurance-Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (1995B)
- 14.130 Mortgage Insurance for Purchase of Fee Simple Title (1969B)  
Mortgage Insurance Purchased by Homeowners of Fee Simple Title From Lessors (1970B)  
Consolidated into 14.11 (2002B)
- 14.131 Mortgage Insurance-Purchase of Rehabilitated Homes by Low Income Families (1970B)  
Deleted (1971B)
- 14.132 FHA Mortgage Insurance for Cooperative Housing (1965B)  
Deleted (2008)  
Mortgage Insurance-Purchase of Sales Type Cooperative Housing Units (1970B)  
Mortgage Insurance-Purchase of Sales-Type Cooperative Housing Units (1989U)
- 14.133 FHA Mortgage Insurance for Condominiums (1965B)  
Mortgage Insurance for Condominiums (1967B)  
Mortgage Insurance for Condominium Housing (1969B)  
Mortgage Insurance-Purchase of Units in Condominiums (1970B)
- 14.134 Mortgage Insurance-Rental Housing (1970B)
- 14.135 Mortgage Insurance-Rental Housing for Low and Moderate Income Families (1970B)  
Mortgage Insurance-Rental Housing for Moderate Income Families (1971B)  
Mortgage Insurance-Rental Housing for Moderate Income Families and Elderly, Market Interest Rate (1989B)  
Mortgage Insurance-Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (1989U)
- 14.136 Mortgage Insurance for Rental Housing for Families of Low or Moderate Income (1967B)  
Mortgage Insurance-Rental Housing for Low and Moderate Income Families, Below-Market Interest Rate (1970B)  
Deleted (1971B)
- 14.137 Mortgage Insurance for Low and Moderate Income Housing-Market Rate (1969B)  
Mortgage Insurance-Rental Housing for Low and Moderate Income Families, Market Interest Rate (1970B)  
Mortgage Insurance-Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (1979U1)  
Mortgage Insurance-Rental and Cooperative Housing for Moderate Income Families, Market Interest Rate (1984U)  
Incorporated into 14.126 (1989B)
- 14.138 FHA Mortgage Insurance Rental Housing for the Elderly (1965B)  
Mortgage Insurance for Senior Citizens Housing (1969B)
- Mortgage Insurance-Rental Housing for the Elderly (1970B)
- 14.139 Mortgage Insurance for Urban Renewal (1965B)  
Mortgage Insurance for Urban Renewal Housing (1969B)  
Mortgage Insurance-Rental Housing in Urban Renewal Areas (1970B)
- 14.140 Mortgage Insurance for Assistance to Special Credit Risk Families (1969B)  
Mortgage Insurance-Special Credit Risks (1970B)  
Consolidated into 14.11 (2002B)
- 14.141 Low and Moderate Income Housing-Financial Assistance for Non-Profit Sponsors (1969B)  
Nonprofit Housing Sponsor Loans-Planning Projects for Low and Moderate Income Families (1970B)  
Nonprofit Sponsor Assistance Program (1980B)  
Section 106(b) Nonprofit Sponsor Assistance Program (1987B)  
Deleted (1994B)
- 14.142 Property Improvement Loan Insurance-All Existing Structures (1970B)  
Property Improvement Loan Insurance for Improving all Existing Structures and Building of New Nonresidential Structures (1976B)
- 14.143 Property Improvement Loan Insurance-Construction of Nonresidential Farm Structures (1970B)  
Deleted (1976B)
- 14.144 Property Improvement Loan Insurance-Construction of Nonresidential or Nonfarm Structures (1970B)  
Deleted (1976B)
- 14.145 Property Improvement Loan Insurance-Existing Multifamily Dwellings (1970B)  
Deleted (1976B)
- 14.146 Public Housing-Acquisition, Construction, Rehabilitation (1970B)  
Low Income Housing-Assistance Program (Public Housing) (1977B)  
Public Housing-Acquisition (Turnkey and Conventional Production Methods (1980U)  
Public Housing (1983B)  
Number changed to 14.850 (1983U)
- 14.147 Public Housing-Home Ownership (1970B)  
Low Income Housing-Homeownership Opportunities for Low Income Families (1980U)  
Number changed to 14.851 (1983U)
- 14.148 Low-Rent Public Housing-Leasing (1969B)  
Public Housing-Leased (1970B)  
Deleted (1976B)
- 14.149 Rent Supplements for Disadvantaged Persons (1965B)  
Rent Supplements (1969B)  
Rent Supplements-Rental Housing for Lower Income Families (1970B)  
Deleted (1994B)  
Reinstated (1999B)
- 14.150 Supplemental Loan Insurance-Management Type Cooperative Projects (1970B)  
Deleted (1971B)
- 14.151 FHA Mortgage Insurance for Multifamily Rental Housing (1969B)  
Multifamily Housing Projects Supplemental Loans (1969B)  
Supplemental Loan Insurance-Multifamily Rental Housing (1970B)
- 14.152 Mortgage Insurance-Experimental Homes (1972B)  
Number changed to 14.507 (1984B)
- 14.153 Mortgage Insurance-Experimental Projects Other Than Housing (1972B)  
Number changed to 14.508 (1984B)



- 14.154 Mortgage Insurance-Experimental Rental Housing (1972B)  
Number changed to 14.509 (1985B)
- 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (1975B)
- 14.156 Lower-Income Housing Assistance Program (1975B)  
Lower Income Housing Assistance Program-Section 8 Moderate Rehabilitation (1990U)  
Number changed to 14.856 (1992B)
- 14.157 Housing for the Elderly or Handicapped (1977B)  
Housing for the Elderly or Disabled (1991B)  
Supportive Housing for the Elderly (1992U)
- 14.158 Public Housing-Modernization of Projects (1977B)  
Number changed from 14.607 (1977B)  
Public Housing-Comprehensive Improvement Assistance Program (1977B)  
Number changed to 14.852 (1983U)
- 14.159 Section 245 Graduated Payment Mortgage Program (1978U)
- 14.161 Single-Family Home Mortgage Coinsurance (1978U)  
Deleted (1990B)
- 14.162 Mortgage Insurance-Combination and Mobile Home Lot Loans (1979U1)  
Mortgage Insurance-Combination and Manufactured (Mobile) Home Lot Loans (1984B)  
Mortgage Insurance-Combination and Manufactured Home Lot Loans (1985B)
- 14.163 Mortgage Insurance-Cooperative Financing (1979U2)  
Mortgage Insurance-Single Family Cooperative Housing (1990U)
- 14.164 Operating Assistance for Troubled Multifamily Housing Projects (1980B)
- 14.165 Mortgage Insurance-Homes-Military Impacted Areas (1980B)
- 14.166 Mortgage Insurance-Homes for Members of the Armed Services (1981B)  
Deleted (2000B)
- 14.167 Mortgage Insurance-Two Year Operating Loss Loans, Section 223(d)(f) (1981U)
- 14.168 Land Sales-Parcels of Subdivided Land (1982B)  
Number changed from 14.801 (1982B)  
Land Sales-Certain Subdivided Land (1989B)
- 14.169 Housing Counseling Program (1982B)  
Number changed from 14.802 (1982B)  
Housing Counseling Assistance Program (1983B)
- 14.170 Congregate Housing Services Program (1982B)  
Number changed from 14.803 (1982B)  
Deleted (1998B)
- 14.171 Manufactured Housing-Mobile Home Construction (1982B)  
Number changed from 14.804 (1982B)  
Manufactured Housing Construction and Safety Standards (1983B)  
Manufactured Home Construction and Safety Standards (1986U)
- 14.172 Mortgage Insurance-Growing Equity Mortgages (1983B)
- 14.173 Section 223(f)-Coinsurance for Private Lenders (1983B)  
Section 223(f)-Coinsurance for the Purchase or Refinancing of Existing Multifamily Projects (1983U)  
Multifamily Coinsurance (1987U)  
Deleted (1993B)
- 14.174 Housing Development Grants (1984B)  
Deleted (1994B)
- 14.175 Adjustable Rate Mortgages (1984U)
- 14.176 Section 221(d) Coinsurance for the Construction or Substantial Rehabilitation of Multifamily Housing Projects (1984U)  
Consolidated into 14.173 (1987U)
- 14.177 Housing Voucher Program (1986U)  
Section 8 Housing Voucher Program (1989U)  
Section 8 Rental Voucher Program (1991B)  
Number changed to 14.855 (1992B)
- 14.178 Transitional Housing Demonstration Program (1987B)  
Supportive Housing Demonstration Program (1988B)  
Number changed to 14.235 (1990B)
- 14.179 Nehemiah Housing Opportunity Grant Program (1988U)  
Deleted (1997B)
- 14.180 Lower Income Housing Assistance-Section 8 Existing Housing Certificate Program (1990U)  
Section 8 Rental Certificate Program (1991B)  
Number changed to 14.857 (1992B)
- 14.181 Supportive Housing for Persons with Disabilities (1991B)
- 14.182 Lower Income Housing Assistance Program-Section 8 New Construction/Substantial Rehabilitation (1991B)  
Deleted (1997B)
- 14.183 Home Equity Conversion Mortgages (1991U)
- 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (1991U)
- 14.185 Homeownership and Opportunity for People Everywhere (1992B)  
Deleted (1997B)
- 14.186 Mortgage Insurance-Equity Loans (1992U)  
Deleted (1997B)
- 14.187 Preservation of Affordable Housing (1993B)  
Consolidated into 14.194 (1998B)
- 14.188 HFA Risk Sharing Pilot Program (1994B)  
Housing Finance Agencies (HFA) Risk Sharing Pilot Program (1994U)  
Housing Finance Agencies (HFA) Risk Sharing (2002B)
- 14.189 Qualified Participating Entities (QPE) Risk Sharing Pilot Program (1994U)  
Qualified Participating Entities (QPE) Risk Sharing (2002B)
- 14.190 Section 8 Community Investment (Pension Fund) Demonstration (1995B)  
Deleted (1997U)
- 14.191 Multifamily Housing Service Coordinators (1997U)
- 14.192 Safe Neighborhood Grants (1997U)  
Consolidated into 14.868 (1998B)
- 14.193 Federally Assisted Low-Income Housing Drug Elimination (1997U)
- 14.194 Portfolio Reengineering Demonstration  
Consolidated from 14.187 (1998B)  
Deleted (1999B)
- 14.195 Section 8 Housing Assistance Payments Program-Special Allocations (1998B)
- 14.196 Secondary Market for Non-Conforming Loans to Low-Wealth Borrowers Demonstration Program (1999B)  
Deleted (2000B)
- 14.197 Multifamily Assisted Housing Reform and Affordability Act (1999B)  
Multifamily Assisted Housing Reform and Affordability Act (2005)  
Multifamily Assisted Housing Reform and Affordability Act (2006)
- 14.198 Officer Next Door Sales Program (1999U)  
Good Neighbor Next Door Sales Program (2007)

- 14.199 Multifamily Property Disposition (2000B)  
Multifamily Property Disposition (2005)  
Multifamily Property Disposition (2006)
- 14.200 Grants for Basic Water and Sewer Facilities (1965B)  
Water and Sewer Facilities Grants (1967B)  
Basic Water and Sewer Facilities (1969B)  
Basic Water and Sewer Facilities-Grants (1970B)  
Deleted (1971B)
- 14.201 Fellowships for City Planning and Urban Studies (1967B)  
City Planning and Urban Studies (1969B)  
Deleted (1971B)
- 14.202 Community Development Training and Research Grants (1967B)  
Community Development Training (1969B)  
Deleted (1973B)
- 14.203 Urban Planning Assistance Program (1965B)  
Comprehensive Planning Assistance (1969B)  
Deleted (1981U)
- 14.204 Historic Preservation Grants (1967B)  
Transferred to the Department of Interior (1970U)  
Deleted (1971B)
- 14.205 HUD Clearinghouse Service (1970B)
- 14.206 Neighborhood Facilities Program (1965B)  
Neighborhood Facilities Grants (1970B)  
Deleted (1971B)
- 14.207 New Communities-Loan Guarantees (1970B)  
Deleted (1983B)
- 14.208 New Communities (1969B)  
New Communities-Supplementary Grants (1970B)  
Deleted (1973B)
- 14.209 Open Space Land Program (1965B)  
Open Space Land Acquisition and Development Grants (1970B)  
Deleted (1971B)
- 14.210 Public Facility Loans (1965B)  
Deleted (1971B)
- 14.211 Surplus Land for Community Development (1969B)  
Surplus Land for Low and Moderate Income Housing (1980B)  
Deleted (1983U)
- 14.212 Urban Beautification Program (1965B)  
Urban Beautification and Improvement Grants (1969B)  
Deleted (1971B)
- 14.213 Urban Parks and Open Space Land in Build-Up Urban Areas (1970B)  
Deleted (1970U)
- 14.214 Urban Systems Engineering Demonstration Grants (1970B)  
Deleted (1973U)
- 14.215 Workable Program for Community Improvement (1969B)  
Deleted (1971B)
- 14.216 Governmental Management-Technical Assistance and Information Services (1971B)  
Deleted (1976B)
- 14.217 Urban Studies Fellowships (1972B)  
Deleted (1973B)
- 14.218 Community Development Block Grants/Entitlement Grants (1975B)
- 14.219 Community Development Block Grants/Discretionary Grants (1975B)  
Deleted (2008)  
Deleted (2008)  
Deleted (2008)  
Community Development Block Grants/Small Cities Program (1979B)
- 14.220 Section 312 Rehabilitation Loans (1975B)  
Number changed from 14.308 (1975B)  
Deleted (1992B)
- 14.221 Urban Development Action Grants (1978B)  
Deleted (1989U)
- 14.222 Urban Homesteading (1978U)  
Deleted (1992B)
- 14.223 Indian Community Development Block Grant Program (1979U1)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Number changed to 14.862 (1994B)
- 14.224 Secretary's Discretionary Fund/Community Development Disaster Assistance (1980U)  
Deleted (1981U)
- 14.225 Secretary's Discretionary Fund/Territories Program (1980U)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Community Development Block Grants/Secretary's Discretionary Fund/Insular Areas (1983U)  
Community Development Block Grants/Special Purpose Grants/Insular Area (1990B)
- 14.226 Secretary's Discretionary Fund/Innovative Grants Program (1980U)  
Deleted (1981U)
- 14.227 Secretary's Discretionary Fund/Community Development Technical (1981U)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Community Development Block Grants/Secretary's Discretionary Fund/Technical Assistance Program (1983U)  
Community Development Block Grants/Special Purpose Grants/Insular Area (1990B)
- 14.228 Community Development Block Grants/State's Program (1981U)  
Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (2007)
- 14.229 Community Development Block Grants/Secretary's Discretionary Fund (1982B)  
Split into 14.223, 14.225, 14.227 (1983U)
- 14.230 Rental Housing Rehabilitation (1984B)  
Deleted (1992B)
- 14.231 Emergency Shelter Grants Program (1987B)
- 14.232 Community Development Block Grant/Secretary's Discretionary Fund/Special Projects (1987U)  
Deleted (1990B)
- 14.234 Community Development Work-Study Program (1988U)  
Number changed to 14.512 (1995B)
- 14.235 Supportive Housing Demonstration Program (1990B)  
Number changed from 14.178 (1990B)  
Supportive Housing Program (1993B)  
Consolidated from 14.236 (1993U)

- 14.236 Supplemental Assistance for Facilities to Assist the Homeless (1990B)  
Number changed from 14.510 (1990B)  
Consolidated into 14.235 (1993U)
- 14.237 Historically Black Colleges and Universities Program (1991B)  
Number changed to 14.520 (2002B)
- 14.238 Shelter Plus Care (1992B)
- 14.239 HOME Investment in Affordable Housing (1992B)  
HOME Investment Partnerships Program (1993U)
- 14.240 HOPE for Homeownership of Single Family Homes (1992B)  
Deleted (1997B)
- 14.241 Housing Opportunities for Persons with AIDS (1992U)
- 14.242 John Heinz Neighborhood Development Program (1993B)  
Number changed to 14.510 (1995B)
- 14.243 Opportunities for Youth-Youthbuild Program (1993U)  
Number changed to 17.274 (2007)
- 14.244 Empowerment Zones Program (1994B)
- 14.245 Innovative Homeless Initiative Demonstration Program (1995U)  
Deleted (1997B)
- 14.246 Community Development Block Grants/Economic Development Initiative (1996B)  
Community Development Block Grants/Brownfields Economic Development Initiative (2003B)
- 14.247 Self-Help Homeownership Opportunity Program (1997B)
- 14.248 Community Development Block Grants-Section 108 Loan Guarantees (1997U)
- 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (1998B)
- 14.250 Rural Housing and Economic Development (1999B)
- 14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (2008)
- 14.252 Section 4 Capacity Building for Affordable Housing and Community Development Grants (2008)
- 14.300 Model Neighborhoods in Demonstration Cities (1967B)  
Model Cities Supplementary Grants (1970B)  
Deleted (1973B)
- 14.301 Basic Water and Sewer Facilities-Grants (1971B)  
Deleted (1973B)
- 14.302 Neighborhood Facilities Grants (1971B)  
Deleted (1973B)
- 14.303 Open Space Land Programs (1971B)  
Deleted (1973B)
- 14.304 Public Facility Loans (1971B)  
Deleted (1973B)
- 14.305 Housing Rehabilitation Loans and Grants (1971B)  
Deleted (1973B)
- 14.306 Neighborhood Development (1971B)  
Deleted (1973B)
- 14.307 Urban Renewal Projects (1971B)  
Deleted (1973U)
- 14.308 Housing Rehabilitation Grants (1971U)  
Number changed to 14.220 (1975B)
- 14.309 Code Enforcement Grants (1971B)  
Deleted (1973B)
- 14.310 Teacher Next Door Initiative (2000B)
- 14.311 Single Family Property Disposition (2000B)
- 14.312 New Approach Anti-Drug Grants  
Consolidated from 14.868 (2000B)
- 14.313 Dollar Home Sales (2000U)
- 14.314 Section 202 Assisted Living Conversion Program (2000U)  
Assisted Living Conversion for Eligible Multifamily Housing Projects (2002B)
- 14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (2006)
- 14.316 Housing Counseling Training Program (2006)
- 14.400 Equal Opportunity in Housing (1969B)
- 14.401 Fair Housing Assistance Program (1980B)  
Fair Housing Assistance Program-State and Local (1983B)
- 14.402 Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (1982)
- 14.403 Community Housing Resource Board Program (1982)  
Deleted (1992B)
- 14.404 Non-Discrimination in Federally Assisted Programs (On the Basis of Handicap) (1983U)  
Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Handicap) (1988B)  
Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (1993U)
- 14.405 Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color or National Origin) (1983U)
- 14.406 Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Sex, Handicap or Age) (1983U)  
Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, Sex, Disability or Age) (1993U)  
Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (1996B)
- 14.407 Architectural Barriers Act Enforcement (1988B)
- 14.408 Fair Housing Initiative Program (FHIP) Administrative Enforcement Initiative (1988U)  
Fair Housing Initiatives and Administrative Enforcement Initiative Program (1996B)  
Fair Housing Initiatives Program (2003B)
- 14.409 Fair Housing Initiative Program (FHIP) Education and Outreach Initiative (1988U)
- 14.410 Fair Housing Initiative Program (FHIP) Private Enforcement Initiative (1988U)
- 14.411 Public Housing Affirmative Compliance Actions Program (1990B)  
Deleted (1997B)
- 14.412 Employment Opportunities for Lower Income Persons and Businesses (1992U)
- 14.413 Fair Housing Initiatives Program (FHIP) Fair Housing Organization Initiatives (1993B)  
Fair Housing Initiatives Program (FHIP) Fair Housing Organizations Initiative (1994U)  
Fair Housing Initiatives and Fair Housing Organizations Initiative Program (1996B)
- 14.414 Non-Discrimination on the Basis of Disability by Public Entities (1993U)
- 14.415 Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (2001B)
- 14.500 Low Income Housing Demonstration Program (1965B)  
Deleted (1970U)
- 14.501 Mortgage Insurance-Experimental Homes (1970B)  
Deleted (1971B)
- 14.502 Mortgage Insurance-Experimental Projects Other Than Housing (1970B)



	Deleted (1971B)		Demolition Grants (1969B)
14.503	Mortgage Insurance for Experimental Housing (1969B)		Deleted (1971B)
	Mortgage Insurance-Experimental Rental Housing (1970B)	14.604	Housing Rehabilitation Grants (1969B)
	Deleted (1971B)		Housing Rehabilitation Loans and Grants (1970B)
14.504	Urban Planning Research and Demonstration (1970B)		Deleted (1971B)
	Deleted (1973B)	14.605	Interim Assistance for Blighted Areas (1969B)
14.505	Urban Renewal Demonstration Grant Program (1965B)		Interim Assistance for Blighted Areas Grants (1970B)
	Deleted (1971B)		Deleted (1971B)
14.506	General Research and Technology Activity (1972B)	14.606	Neighborhood Development Program (1969B)
14.507	Mortgage Insurance-Experimental Homes (1984B)		Deleted (1971B)
	Number changed from 14.152 (1984B)	14.607	Low-Rent Public Housing-Modernization of Projects (1969B)
	Deleted (1997B)		Public Housing-Modernization of Projects (1970B)
14.508	Mortgage Insurance-Experimental Projects Other Than Housing (1984B)		Number changed to 14.158 (1977B)
	Number changed from 14.153 (1984B)	14.608	Relocation Assistance and Payments (1969B)
	Deleted (1997B)		Deleted (1971B)
14.509	Mortgage Insurance-Experimental Rental Housing (1985B)	14.609	Urban Renewal Projects (1965B)
	Number changed from 14.154 (1985B)		Deleted (1971B)
	Deleted (1997B)	14.701	Disaster Assistance (1973U)
14.510	Supplemental Assistance for Facilities to Assist the Homeless (1988B)		Transferred to 83.300 (1980B)
	Number changed to 14.236 (1990B)	14.702	State Disaster Preparedness Grants (1973U)
	Joint Community Development Program, Number changed from 14.242 (1995B)		Transferred to 83.203 (1980B)
	Deleted (1997B)	14.800	Neighborhood Self-Help Development (1980B)
14.511	Community Outreach Partnership Center Program (1995B)		Deleted (1981U)
14.512	Community Development Work-Study Program	14.801	Land Sales-Parcels of Subdivided Land (1980B)
	Deleted (2007)		Number changed from 14.004 (1980B)
	Number changed from 14.234 (1995B)		Number changed to 14.168 (1982B)
14.513	Hispanic-Serving Institutions Work-Study Program (1996U)	14.802	Housing Counseling Service (1969B)
	Deleted (2000U)		Deleted (1970B)
14.514	Hispanic-Serving Institutions Assisting Communities (1999B)		Reinstated (1980U)
	Deleted (2000B)		Housing Counseling Program (1980U)
	Reinstated (2000U)		Number changed to 14.169 (1982B)
14.515	Alaska Native/Native Hawaiian Institutions Assisting Communities (2000B)	14.803	Congregate Housing Services Program (1980U)
14.516	Doctoral Dissertation Research Grants (2001B)		Number changed to 14.170 (1982B)
14.517	Early Doctoral Student Research Grants (2001B)	14.804	Manufactured Housing-Mobile Home Construction (1981U)
14.518	HUD Urban Scholars Fellowship Grants (2001B)		Number changed to 14.171 (1982B)
14.519	Tribal Colleges and Universities Program (2001B)	14.850	Public Housing (1983U)
14.520	Historically Black Colleges and Universities Program (2002B)		Number changed from 14.146 (1983U)
14.521	Universities Rebuilding America Program - Community Design (2005)		Public and Indian Housing (1984B)
14.550	Solar Energy and Energy Conservation Bank (1983U)	14.851	Low Income Housing-Homeownership Opportunities for Low Income Families (1983U)
	Incorporated into 14.126 (1989B)		Number changed from 14.147 (1983U)
14.600	Certified Areas Grants (1970B)		Consolidated into 14.867 (1998B)
	Deleted (1971B)	14.852	Public Housing-Comprehensive Improvement Assistance Program (1983U)
14.601	Code Enforcement (1965B)		Number changed from 14.158 (1983U)
	Code Enforcement Grants (1970B)		Public and Indian Housing-Comprehensive Improvement Assistance Program (1984B)
	Deleted (1971B)		Public Housing-Comprehensive Improvement Assistance Program (1998B)
14.602	Community Renewal Program (1965B)		Consolidated into 14.872 (2000B)
	Community Renewal Planning Grants (1970B)	14.853	Public Housing Resident Management Program (1989B)
	Deleted (1971B)		Public and Indian Housing Tenant Opportunity Program (1995B)
14.603	Demolition of Unsound Structures (1967B)		Public Housing-Tenant Opportunities Program (1998B)

- Consolidated into 14.870 (2001B)
- 14.854 Public Housing Drug Elimination Program (1989U)  
Public and Indian Housing Drug Elimination Program (1992B)  
Portion incorporated from 14.863 (1997B)
- 14.855 Section 8 Rental Voucher Program  
Number changed from 14.177 (1992B)  
Consolidated into 14.871 (2000B)
- 14.856 Lower Income Housing Assistance Program-Section 8 Moderate Rehabilitation  
Number changed from 14.156 (1992B)  
Deleted (1998B)  
Reinstated (1999B)
- 14.857 Section 8 Rental Certificate Program  
Number changed from 14.180 (1992B)  
Consolidated into 14.871 (2000B)
- 14.858 HOPE for Public and Indian Housing Homeownership (1992B)  
Deleted (1997B)
- 14.859 Public and Indian Housing-Comprehensive Grant Program (1993U)  
Public Housing-Comprehensive Grant Program (1998B)  
Consolidated into 14.872 (2000B)
- 14.860 Public and Indian Housing Early Childhood Development (1994U)  
Head Start Public Housing Early Childhood/Development Demonstration (1995B)  
Deleted (1996U)
- 14.861 Public and Indian Housing Family Investment Centers Program (1994B)  
Deleted (1996U)
- 14.862 Indian Community Development Block Grant Program  
Number changed from 14.223 (1994B)
- 14.863 Public and Indian Housing Youth Sports Program (1995B)  
Portion incorporated into 14.854 (1997B)
- 14.864 Economic Development and Supportive Services Program (1997B)  
Consolidated into 14.870 (2001B)
- 14.865 Public and Indian Housing-Indian Loan Guarantee Program (1997B)
- 14.866 Revitalization of Severely Distressed Public Housing (1997U)  
Demolition and Revitalization of Severely Distressed Public Housing (1999U)
- 14.867 Indian Housing Block Grants  
Consolidated from 14.851 (1998B)
- 14.868 New Approach Anti-Drug Grants  
Consolidated from 14.192 (1998B)  
Consolidated into 14.312 (2000B)
- 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (1999B)
- 14.870 Resident Opportunity and Supportive Services (1999B)  
Resident Opportunity and Supportive Services (2006)  
Resident Opportunity and Supportive Services - Homeownership and Family (2006)  
Resident Opportunity and Supportive Services - Service Coordinators (2008)  
Consolidated from 14.853, 14.864 (2001B)
- 14.871 Section 8 Housing Choice Vouchers  
Consolidated from 14.855, 14.857 (2000B)
- 14.872 Public Housing Capital Fund  
Consolidated from 14.852, 14.859 (2000B)
- 14.873 Native Hawaiian Housing Block Grants (2003B)
- 14.874 Loan Guarantees for Native Hawaiian Housing (2004)
- 14.875 Public Housing Neighborhood Networks Grants (2005)
- 14.876 Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (2006)
- 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (2006)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (2006)
- 14.879 Mainstream Vouchers (2006)
- 14.880 Family Unification Program (FUP) (2008)
- 14.881 Moving to Work Demonstration Program (2008)
- 14.900 Lead-Based Paint Hazard Reduction Grant Program (1993U)  
Lead-Based Paint Hazard Control Program (1994B)  
Lead-Based Paint Hazard Control in Priority Housing (1996B)  
Lead-Based Paint Hazard Control in Privately-Owned Housing (1997B)
- 14.901 Healthy Homes Initiative Grants (2000B)  
Healthy Homes Demonstration Grants (2003B)
- 14.902 Lead Technical Studies Grants (2003B)
- 14.903 Operation Lead Elimination Action Program (2003B)
- 14.904 Lead Outreach Grants (2003B)
- 14.905 Lead Hazard Reduction Demonstration Grant Program (2003B)
- 14.906 Healthy Homes Technical Studies Grants (2004)

## DEPARTMENT OF THE INTERIOR

- Appalachian Region-Sewage Treatment Works Grants (1967B)  
Deleted (1969B)
- Solid Waste Disposal (1967B)  
Deleted (1969B)
- Identification of Mentally Retarded American Indian Children (1965B)  
Deleted (1970B)
- Mining Area Restoration in the Appalachian Region (1965B)  
Appalachian Region-Mining Area Restoration (1967B)  
Deleted (1970B)
- American Indian Credit and Financing Program (1965B)  
Deleted (1967B)
- American Indian Education Financial Assistance (1965B)  
Deleted (1967B)
- On-Reservation Adult Education Program for American Indians (1965B)  
Deleted (1967B)
- Post High School Training for American Indian Youth (1965B)  
Deleted (1967B)
- Summer Programs for American Indian Students (1965B)  
Deleted (1967B)
- Programs for American Indians (1969B)  
Split into "Indian Programs" (1970B)
- 15.001 Anadromous and Great Lakes Fisheries Conservation (1970B)  
Transferred to 11.405 (1971B)
- 15.002 Commercial Fisheries Disaster Assistance (1970B)  
Transferred to 11.406 (1971B)
- 15.003 Commercial Fisheries Research and Development (1969B)

	Transferred to 11.407 (1971B)	15.049	Irrigation Operations and Maintenance on Indian Lands (1997B)
15.004	Fishermen-Reimbursement of Losses (1970B) Transferred to 11.410 (1971B)	15.050	Unresolved Indian Hunting and Fishing Rights (1997B)
15.005	Fisheries Assistance (1965B) Fisheries Loan Fund (1970B) Transferred to 11.409 (1971B)	15.051	Endangered Species on Indian Lands (1997B)
15.006	Fishery Marketing Assistance (1970B) Transferred to 11.412 (1971B)	15.052	Litigation Support for Indian Rights (1997B)
15.007	Fishery Products Inspection and Certification (1970B) Transferred to 11.413 (1971B)	15.053	Attorney Fees-Indian Rights (1997B)
15.008	Fishing Statistics and Market News (1970B) Transferred to 11.414 (1971B)	15.054	Unresolved Indian Rights Issues (1997B) Deleted (1999B)
15.009	Fishing Vessel Mortgage and Loan Insurance (1970B) Transferred to 11.415 (1971B)	15.055	Alaskan Indian Allotments and Subsistence Preference-Alaska National Interest Lands Conservation Act (1997B)
15.010	Jellyfish Control (1969B) Transferred to 11.416 (1971B)	15.056	Waste Management-Indian Lands (1997B) Consolidated into 15.041 (1999B)
15.020	Aid to Tribal Governments (1997B)	15.057	Navajo-Hopi Indian Settlement Program (1997B)
15.021	Consolidated Tribal Government Program (1997B) Deleted (1999B) Reinstated (2002B)	15.058	Indian Post Secondary Schools (1997B)
15.022	Tribal Self-Governance (1997B)	15.059	Indian Graduate Student Scholarships (1997B)
15.023	Tribal Self-Governance Grants (1997B) Deleted (2001B)	15.060	Indian Vocational Training-United Tribes Technical College (1997B)
15.024	Indian Self-Determination Contract Support (1997B)	15.061	Indian Job Placement-United Sioux Tribes Development Corporation (1997B) Deleted (2001B) Reinstated (2002B)
15.025	Services to Indian Children, Elderly and Families (1997B)	15.062	Replacement and Repair of Indian Schools (1997B)
15.026	Indian Adult Education (1997B)	15.063	Construction and Repair of Indian Detention Facilities (1997B) Improvement and Repair of Indian Detention Facilities (1999B)
15.027	Assistance to Tribally Controlled Community Colleges and Universities (1997B)	15.064	Structural Fire Protection-Bureau of Indian Affairs Facilities (1997B)
15.028	Tribally Controlled Community College Endowments (1997B)	15.065	Safety of Dams on Indian Lands (1997B)
15.029	Tribal Courts (1997B)	15.100	Adult Vocational Training-American Indians (1965B) Indian-Adult Education (1970B) Indian Education-Adults (1972B) Deleted (1978B)
15.030	Indian Law Enforcement (1997B)	15.101	Indian-Agricultural Extension (1970B) Indian Agricultural Extension (1972B) Deleted (1978B)
15.031	Indian Community Fire Protection (1997B)	15.102	Indian-Aid to Tribal Governments (1970B) Indian Tribal Government Operations (1972B) Deleted (1978B)
15.032	Indian Economic Development (1997B)	15.103	Social Services to American Indian Children (1965B) Indian-Child Welfare Assistance (1970B) Indian Social Services-Child Welfare Assistance (1972B) Consolidated into 15.113 (1999B)
15.033	Road Maintenance-Indian Roads (1997B)	15.104	Indian-Community Development (1970B) Indian Community Development (1972B) Deleted (1974B)
15.034	Agriculture on Indian Lands (1997B)	15.105	Indian-Contracts with Indian School Boards (1970B) Indian Education-Contracts with Indian School Boards (1972B) Indian Education-Contracts with Indian Tribal Organizations (1976B) Deleted (1978B)
15.035	Forestry on Indian Lands (1997B)	15.106	Indian-Construction, Maintenance, and Operation of Irrigation Projects and Related Power Systems (1970B) Indian Lands-Irrigation Construction, Maintenance, Operation, and Related Power Systems (1972B) Deleted (1978B)
15.036	Indian Rights Protection (1997B)	15.107	Indian-Engineering Technical Assistance (1970B) Indian Engineering Technical Assistance (1972B)
15.037	Water Resources on Indian Lands (1997B)		
15.038	Minerals and Mining on Indian Lands (1997B)		
15.039	Fish, Wildlife, and Parks Programs on Indian Lands (1997B)		
15.040	Real Estate Programs-Indian Lands (1997B)		
15.041	Environmental Quality Services-Indian Programs (1997B) Environmental Management-Indian Programs, Consolidated from 15.056 (1999B)		
15.042	Indian School Equalization Program (1997B)		
15.043	Indian Child and Family Education (1997B)		
15.044	Indian Schools-Student Transportation (1997B)		
15.045	Assistance for Indian Children with Severe Disabilities (1997B)		
15.046	Administrative Cost Grants for Indian Schools (1997B)		
15.047	Indian Education Facilities, Operations, and Maintenance (1997B)		
15.048	Bureau of Indian Affairs Facilities-Operations and Maintenance (1997B)		



- Indian Technical Assistance (1973U)  
 Indian Action Team Program (1976B)  
 Deleted (1981U)
- 15.108 Direct Employment Assistance-American Indians (1965B)  
 American Indians-Direct Employment Assistance (1967B)  
 Indian-Employment Assistance (1970B)  
 Indian Employment Assistance (1972B)
- 15.109 Indian-Federal School Facilities-Dormitory Operations (1970B)  
 Indian Education-Dormitory Operations (1972B)  
 Deleted (1978B)
- 15.110 Federal Schools for American Indians (1965B)  
 Indian-Federal Schools (1970B)  
 Indian Education-Federal Schools (1972B)  
 Deleted (1978B)
- 15.111 Indian-Forest Fire Suppression and Emergency Rehabilitation (1970B)  
 Indian Forests-Fire Suppression and Emergency Rehabilitation (1972B)  
 Deleted (1978B)
- 15.112 Indian-Forestry Development (1970B)  
 Indian-Forest Management, Protection and Development (1971B)  
 Indian Forests-Management, Protection, and Development (1972B)  
 Deleted (1978B)
- 15.113 General Assistance and Social Services to American Indians (1965B)  
 Indian-General Assistance (1970B)  
 Indian Social Services-General Assistance (1972B)  
 Consolidated from 15.103 (1999B)  
 Indian Social Services-Welfare Assistance (2001B)
- 15.114 Scholarship Aid for American Indian Students in Higher Education (1965B)  
 Indian-Higher Education (1970B)  
 Indian Education-Colleges and Universities (1972B)  
 Indian Education-Higher Education Grant Program (1982B)
- 15.115 Indian-Housing Development (1970B)  
 Indian Housing-Development (1972B)  
 Consolidated into 15.141 (1978B)
- 15.116 Indian-Housing Improvement (1970B)  
 Indian Housing-Improvement (1972B)  
 Consolidated into 15.141 (1978B)
- 15.117 American Indian Industrial Development Program (1965B)  
 Indian-Industrial and Tourism Development (1970B)  
 Indian-Industrial and Tourism Development and On-the-Job Training (1971B)  
 Indian Industrial and Tourism Development and On-the-Job Training (1972B)  
 Indian Business Enterprise Development (1975B)  
 Deleted (1979U1)
- 15.118 Indian-Investment of Tribal Trust Funds and Individual Indian Monies (1970B)  
 Indian Investments-Tribal Trust Funds and Individual Indian Monies (1972B)  
 Deleted (1978B)
- 15.119 Indian-Range Management (1970B)  
 Indian Lands-Range Management (1972B)  
 Deleted (1978B)
- 15.120 Indian-Real Estate Appraisal (1970B)  
 Indian Lands-Real Estate Appraisal (1972B)  
 Deleted (1978B)
- 15.121 Indian-Real Property Management (1970B)  
 Indian Lands-Real Estate Services (1972B)  
 Deleted (1978B)
- 15.122 American Indians-Construction of Reservation Roads and Bridges (1967B)  
 Indian-Reservation Roads and Bridges (1970B)  
 Indian Roads-Reservation Roads and Bridges (1972B)  
 Deleted (1978B)
- 15.123 Indian-Revolving Fund for Expert Assistance Loans (1970B)  
 Indian Loans-Claims Assistance (1972B)  
 Deleted (1993B)
- 15.124 Indian-Revolving Fund for Loans (1970B)  
 Indian Loans-Economic and Social Development (1972B)  
 Indian Loans-Economic Development (1975B)
- 15.125 Indian-Roads Maintenance (1970B)  
 Indian Roads-Maintenance (1972B)  
 Deleted (1978B)
- 15.126 Indian-Soil and Moisture Conservation (1970B)  
 Indian Lands-Soil and Moisture Conservation (1972B)  
 Deleted (1978B)
- 15.127 Indian-Transfer of Federally-Owned Buildings, Improvements, and/or Facilities (1970B)  
 Indian Property Acquisition-Transfer of Federally Owned Buildings, Improvements, and/or Facilities (1972B)  
 Deleted (1978B)
- 15.128 Indian-Transfer of Indian School Properties (1970B)  
 Indian Property Acquisition-Transfer of Indian School Properties (1972B)  
 Deleted (1978B)
- 15.129 Indian-Tribal Accounting Services (1970B)  
 Indian Accounting Services for Tribes (1972B)  
 Deleted (1978B)
- 15.130 Financial Assistance to School Districts for American Indian Education (1965B)  
 American Indians-Financial Assistance to School Districts (1967B)  
 Indians-Assistance to Non-Federal Schools (1970B)  
 Indian Education-Assistance to Non-Federal Schools (1972B)  
 Indian Education-Assistance to Schools (1976B)
- 15.131 Indians-Law and Order (1970B)  
 Indian-Judicial, Crime Prevention, and Enforcement Services (1971B)  
 Indian Judicial, Prevention, and Enforcement Services (1972B)  
 Indian Law Enforcement Services (1974B)  
 Split into 15.131, 15.139 (1977B)  
 Deleted (1978B)
- 15.132 Indian Social Services-Counseling (1972B)  
 Deleted (1978B)
- 15.133 Native American Business Development Institute (2008)
- 15.134 Indian Tribal Affairs Management (1972B)  
 Incorporated into 15.102 (1974B)
- 15.135 Indian Water Rights (1973U)

- Indian Rights Protection (1974B)  
Deleted (1978B)
- 15.136 Indian Lands-Environmental Quality Services (1975B)  
Deleted (1978B)
- 15.137 Facility School Construction Planning and Equipping (1976B)  
Deleted (1978B)
- 15.138 Indian Lands-Minerals and Mining (1976B)  
Deleted (1978B)
- 15.139 Indian Tribal Judicial Services-Contracts with Indian Tribal Organizations (1977B)  
Split from 15.131 (1977B)  
Deleted (1978B)
- 15.140 Indian Lands-Wildlife and Parks (1977B)  
Deleted (1978B)
- 15.141 Indian Housing Assistance (1978B)  
Consolidated from 15.115, 15.116 (1978B)
- 15.142 Self Determination Grants-Indian Tribal Governments (1978B)  
Deleted (1996U)
- 15.143 Training and Technical Assistance-Indian Tribal Governments (1978B)  
Deleted (1996U)
- 15.144 Indian Child Welfare Act-Title II Grants (1980B)
- 15.145 Indian Grants-Economic Development (Indian Grant Program) (1986B)  
Deleted (1997B)
- 15.146 Ironworker Training Program (1993U)
- 15.147 Tribal Courts-Trust Reform Initiative (2003B)
- 15.148 Tribal Energy Development Capacity Grants (2008)
- 15.200 Land Lease for Airports (1970B)  
Deleted (1979B)
- 15.201 Leases, Permits, and Easements for Public Works (1970B)  
Deleted (1977U)
- 15.202 Real Property for Public Parks, Public Recreational Areas, and Public Purposes (1965B)  
Public Land for Recreation, Public Purposes, and Historic Monuments (1970B)  
Deleted (1979B)
- 15.203 Public Land for Rights-of-Way (1970B)  
Deleted (1979B)
- 15.204 Real Property Sales for Residential, Commercial, Agricultural, Industrial, or Public Uses or Development (1965B)  
Split into 15.209, 15.211 (1971B)
- 15.205 Exchange of Public Lands (1971B)  
Deleted (1977B)
- 15.206 Grazing Privileges (1971B)  
Grazing Preference (1977U)  
Deleted (1979B)  
Reinstated (1981U)  
Mineral Privileges (1982B)  
Deleted (1983B)
- 15.207 Mineral Leasing (1971B)  
Deleted (1979B)  
Reinstated (1981U)  
Deleted (1983B)
- 15.208 Non-Sale Disposals From Public Lands (1971B)  
Non-Sale Disposals of Material on Public Lands (1973B)  
Deleted (1979B)
- 15.209 Sale of Contiguous Public Lands (1971B)  
Split from 15.204 (1971B)  
Deleted (1972B)
- 15.210 Sale of Forest Products (1971B)  
Deleted (1973B)
- 15.211 Sale of Isolated Public Lands (1971B)  
Split from 15.204 (1971B)  
Deleted (1977B)
- 15.212 Sale of Public Lands Thought to be Private (1971B)  
Deleted (1979B)
- 15.213 Special Land Use Permits (1971B)  
Deleted (1977B)
- 15.214 Non-Sale Disposals of Mineral Material (1972B)  
Deleted (1979B)  
Reinstated (1981U)
- 15.215 Sale of Mineral Material (1972B)  
Deleted (1979B)  
Reinstated (1981U)  
Deleted (1983B)
- 15.217 Cooperative Agreements with Interpretive Associations (1981U)  
Cooperative Agreements with Cooperating Associations (1983B)  
Deleted (1985B)
- 15.218 Special Recreation Permits (1981U)  
Deleted (1985B)
- 15.219 Wildlife Habitat Management Technical Assistance (1981U)  
Deleted (1995B)
- 15.220 Law Enforcement (1981U)  
Deleted (1983B)
- 15.221 Cooperative Agreements for Research to Public Lands Management (1983U)  
Cooperative Agreements for Research in Public Lands Management (1985U)  
Deleted (1994B)
- 15.222 Cooperative Inspection Agreements with States and Tribes (1990B)
- 15.223 Recreation and Cultural Resource Management (1992B)  
Split into 15.224, 15.225 (1994B)
- 15.224 Cultural Resource Management  
Split from 15.223 (1994B)
- 15.225 Recreation Resource Management  
Split from 15.223 (1994B)
- 15.226 Payments in Lieu of Taxes (1999B)
- 15.227 Distribution of Receipts to State and Local Governments (2001B)
- 15.228 Wildland Urban Interface Community and Rural Fire Assistance (2001B)  
National Fire Plan - Wildland Urban Interface Community Fire Assistance (2005)  
National Fire Plan - Wildland Urban Interface Community Fire Assistance (2006)
- 15.229 Wild Horse and Burro Resource Management (2005)
- 15.230 Invasive and Noxious Plant Management (2008)
- 15.231 Fish, Wildlife and Plant Conservation Resource Mangement (2005)

15.232	Wildland Fire Research and Studies Program (2008)	Number changed from 15.302 (1973U)
15.233	Forests and Woodlands Resource Management (2008)	Transferred to 17.601 (1978B)
15.234	Secure Rural Schools and Community Self-Determination (2008)	15.352 Mine Health and Safety Education and Training (1973U)
15.235	Southern Nevada Public Land Management (2008)	Number changed from 15.305 (1973U)
15.236	Environmental Quality and Protection Resource Management (2008)	Transferred to 17.602 (1978B)
15.237	Rangeland Resource Management (2008)	15.400 Outdoor Recreation Program (1965B)
15.238	Challenge Cost Share (2008)	Outdoor Recreation-Financial Assistance (1969B)
15.239	Management Initiatives (2008)	Outdoor Recreation-Acquisition and Development (1971B)
15.240	Helium Resource Management (2008)	Outdoor Recreation-Acquisition, Development and Planning (1974B)
15.242	National Fire Plan - Rural Fire Assistance (2005)	Number changed to 15.916 (1981B)
15.250	Regulation of Surface Mining and Surface Effects of Underground Coal Mining (1978U)	15.401 Outdoor Recreation Assistance (1967B)
	Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (1980U1)	Outdoor Recreation Financial Assistance (1969B)
15.251	Grants for Mining and Mineral Resources, Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1978U)	Outdoor Recreation Planning-Financial Assistance (1970B)
	Grants for Mining and Mineral Resources and Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1980B)	Outdoor Recreation State Planning-Financial Assistance (1971B)
	Deleted (1981U)	Incorporated into 15.400 (1974B)
15.252	Abandoned Mine Land Reclamation Program (1979U2)	15.402 Outdoor Recreation Technical Assistance (1967B)
	Abandoned Mine Land Reclamation (AMLR) Program (1982B)	Recreation-Technical Assistance (1980U1)
15.253	Not-for-Profit AMD Reclamation (1999B)	Number changed to 15.917 (1981B)
15.254	Summer Watershed Intern (2002B)	15.403 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1977B)
15.255	Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (2007)	Number changed to 15.918 (1981B)
15.300	Coal Mine Health and Safety (1970B)	15.405 National Registry of Natural Landmarks (1978B)
	Coal Mine Health and Safety Grants (1971B)	Number changed from 15.910 (1978B)
	Number changed to 15.350 (1973U)	National Natural Landmarks Program (1980B)
15.301	Control of Fires in Inactive Coal Deposits (1970B)	Number changed to 15.910 (1981B)
	Deleted (1979B)	15.406 National Park Service Centennial Challenge. (2008)
15.302	Mine Health and Safety Counseling (1970B)	15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (2008)
	Mine Health and Safety Counseling and Technical Assistance (1971B)	15.410 Historic American Buildings Survey (1978B)
	Number changed to 15.351 (1973U)	Number changed from 15.903 (1978B)
15.303	Mineral Research-Grants and Contracts (1970B)	National Architectural and Engineering Record (1980U1)
	Mineral Resources and Environmental Development (1972B)	Number changed to 15.909 (1981B)
	Mineral and Materials Research and Development (1974U)	Historic American Buildings Survey/Historic American Engineering Record (1982B)
	Deleted (1975U)	15.411 Historic Preservation Grants-In-Aid (1978B)
15.304	Mineral Research and Resource Information (1970B)	Number changed from 15.904 (1978B)
	Mineral Research and Resource Information and Technical Assistance (1971B)	Number changed to 15.904 (1981B)
	Deleted (1979B)	15.412 Archeological Investigations and Salvage (1978B)
15.305	Mine Health and Safety Education and Training (1971B)	Number changed from 15.908 (1978B)
	Number changed to 15.352 (1973U)	Deleted (1980B)
15.306	Mine Health and Safety-Grants and Contracts (1971B)	15.413 Historic American Engineering Record (1978B)
	Deleted (1975U)	Number changed from 15.909 (1978B)
15.307	Energy Research-Grants and Contracts (1974U)	Incorporated into 15.410 (1980U1)
	Transferred to 24.034 (1975B)	15.414 National Historic Landmark (1978B)
15.308	Grants for Mining and Mineral Resources and Research Institutes (1983B)	Number changed from 15.912 (1978B)
	Deleted (1995B)	Number changed to 15.912 (1981B)
15.350	Coal Mine Health and Safety Grants (1973U)	15.415 Technical Preservation Services (1978B)
	Number changed from 15.300 (1973U)	Number changed from 15.913 (1978B)
	Transferred to 17.600 (1978B)	Number changed to 15.915 (1981B)
15.351	Mine Health and Safety Counseling and Technical Assistance (1973U)	15.416 National Register of Historic Places (1978B)
		Number changed from 15.914 (1978B)
		Number changed to 15.914 (1981B)



- 15.417 Urban Park and Recreation Recovery Program (1979U2)  
Number changed to 15.919 (1981B)
- 15.418 Park and Recreation Technical Assistance (1980B)  
Number changed from 15.906 (1980B)  
Incorporated into 15.402 (1980U1)
- 15.419 HCRS/NPRA Park Practice Program (1980B)  
Number changed from 15.907 (1980B)  
Incorporated into 15.402 (1980U1)
- 15.420 Training Institute for Park and Recreation Management (1980B)  
Number changed from 15.911 (1980B)  
Incorporated into 15.402 (1980U1)
- 15.421 Alaska Coastal Marine Institute (2006)
- 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (2006)
- 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (2006)
- 15.424 Marine Minerals Activities (2006)
- 15.425 Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (2006)
- 15.426 Coastal Impact Assistance Program (CIAP) (2007)
- 15.427 Federal Oil and Gas Royalty Management (2008)
- 15.428 Marine Gas Hydrate Research Activities (2008)
- 15.500 Atmospheric Water Resources Research (1970B)  
Deleted (1971B)
- 15.501 Irrigation and Drainage Systems Loans (1970B)  
Irrigation Systems Loans (1970U)  
Irrigation Distribution System Loans (1971B)  
Distribution System Loans (1984B)  
Deleted (1994U)
- 15.502 Irrigation Systems Rehabilitation and Betterment (1970B)  
Deleted (1994U)
- 15.503 Reclamation Projects (1965B)  
Water Resources Investigation and Small Reclamation Projects Loans (1967B)  
Small Reclamation Project Loans for Water Resource Projects (1969B)  
Small Reclamation Projects (1970B)  
Deleted (1994U)
- 15.504 Federal Reclamation Projects (1971B)  
Deleted (1979B)  
Reclamation and Water Reuse Program, Reinstated (1998B)  
Water Reclamation and Reuse Program (2001B)
- 15.505 National Water Research and Development Program (1983B)  
Number changed from 15.950 (1983B)  
National Water Research Program (1984B)  
Deleted (1984U)
- 15.506 Water Desalination Research and Development Program (1999B)
- 15.507 Water 2025 (2004)
- 15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (2004)
- 15.509 Colorado River Basin Salinity Control Program (2007)
- 15.510 Colorado Ute Indian Water Rights Settlement Act (2007)
- 15.511 Cultural Resources Management (2007)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (2007)
- 15.513 Dutch John Federal Property and Disposition Assistance Act (2007)
- 15.514 Reclamation States Emergency Drought Relief (2007)
- 15.515 Federal Resource Protection (2008)
- 15.516 Fort Peck Reservation Rural Water System (2007)
- 15.517 Fish and Wildlife Coordination Act (2007)
- 15.518 Garrison Diversion Unit (2007)
- 15.519 Indian Tribal Water Resources Development, Management, and Protection (2007)
- 15.520 Lewis and Clark Rural Water System (2007)
- 15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (2007)
- 15.522 Mni Wiconi Rural Water Supply Project (2007)
- 15.523 Perkins County Rural Water System (2007)
- 15.524 Recreation Resources Management (2008)
- 15.525 Rocky Boy's/North Central Montana Regional Water System (2008)
- 15.526 San Gabriel Basin Restoration Project (2007)
- 15.527 San Luis Unit, Central Valley Project (2007)
- 15.528 St. Mary Storage Unit Facilities Rehabilitation Project (2007)
- 15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (2007)
- 15.530 Water Conservation Field Services Program (WCFSP) (2007)
- 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (2007)
- 15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (2007)
- 15.533 California Water Security and Environmental Enhancement (2007)
- 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (2008)
- 15.600 Anadromous Fish Management (1967B)  
Anadromous Fish Conservation (1970B)  
Deleted (1996B)
- 15.601 Animal Control (1965B)  
Animal Damage Control (1967B)  
Transferred to 10.213 (1986B)
- 15.602 Conservation Law Enforcement Training Assistance (1970B)
- 15.603 Farm Fish Pond Management (1965B)  
Deleted (1986U)
- 15.604 Fish Research (1970B)  
Fishery Research-Information (1971B)  
Consolidated into 15.975, 15.976 (1994B)
- 15.605 Sport Fish Restoration (1970B)  
Sport Fish Restoration Program (2007)
- 15.606 Migratory Bird Banding and Data Analysis (1970B)  
Consolidated into 15.975, 15.976 (1994B)
- 15.607 Pesticide Appraisal and Monitoring (1970B)  
Environmental Contaminant Evaluation (1978B)  
Resource Contaminant Assessment (1983U)  
Environmental Contaminant (1989B)  
Environmental Contaminants (1993U)  
Deleted (1995B)
- 15.608 Sport Fish Management (1965B)  
Sport Fish Technical Assistance (1974U)  
Fishery Resources Technical Assistance (1984U)  
Fish and Wildlife Management Assistance (1986U)
- 15.609 Wildlife Management (1967B)  
Wildlife Enhancement (1970B)

Wildlife Technical Assistance (1974U)  
Deleted (1983U)

15.610 Wildlife Research (1970B)  
Wildlife Research Information (1971B)  
Wildlife Ecology Research Information (1979B)  
Wildlife Research Information (1983B)  
Consolidated into 15.975, 15.976 (1994B)

15.611 Wildlife Restoration (1970B)

15.612 Rare and Endangered Species Conservation (1976B)  
Endangered Species Conservation (1977B)  
Deleted (1995B)

15.613 Marine Mammal Grant Program (1979B)  
Deleted (1983U)

15.614 Coastal Wetlands Planning, Protection and Restoration Act (1992B)

15.615 Cooperative Endangered Species Conservation Fund (1992B)

15.616 Clean Vessel Act (1993U)

15.617 Wildlife Conservation and Appreciation (1994B)

15.618 Administrative Grants for Federal Aid in Sport Fish and Wildlife Restoration (1995B)  
Deleted (2001B)

15.619 Rhinoceros and Tiger Conservation (1996U)  
Rhinoceros and Tiger Conservation Fund (2005)  
Rhinoceros and Tiger Conservation Fund (2006)

15.620 African Elephant Conservation (1996U)  
African Elephant Conservation Fund (2005)  
African Elephant Conservation Fund (2006)

15.621 Asian Elephant Conservation (1999B)  
Asian Elephant Conservation Fund (2005)  
Asian Elephant Conservation Fund (2006)

15.622 Sportfishing and Boating Safety Act (1999B)

15.623 North American Wetlands Conservation Fund (1999B)

15.625 Wildlife Conservation and Restoration (2001B)

15.626 Hunter Education and Safety Program (2001B)

15.628 Multi-State Conservation Grants (2001B)  
Multi-State Conservation Grant Program (2007)  
Multistate Conservation Grant Program (2008)

15.629 Great Apes Conservation (2001B)  
Great Apes Conservation Fund (2005)  
Great Apes Conservation Fund (2006)

15.630 Coastal Program (2002B)

15.631 Partners for Fish and Wildlife (2002B)

15.632 Conservation Grants Private Stewardship for Imperiled Species (2002B)

15.633 Landowner Incentive (2002B)  
Landowner Incentive Program (2007)

15.634 State Wildlife Grants (2002B)

15.635 Neotropical Migratory Bird Conservation (2003B)

15.636 Alaska Subsistence Management (2004)

15.637 Migratory Bird Joint Ventures (2004)

15.638 Tribal Landowner Incentive Program (2004)

15.639 Tribal Wildlife Grants Program (2004)

15.640 Wildlife Without Borders- Latin America and the Caribbean (2004)

15.641 Wildlife Without Borders-Mexico (2004)

15.642 Challenge Cost Share (2004)

15.643 Alaska Migratory Bird Co-Management Council (2004)

15.644 Federal Junior Duck Stamp Conservation and Design (2004)

15.645 Marine Turtle Conservation Fund (2005)

15.647 Migratory Bird Conservation (2005)

15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (2006)

15.649 Service Training and Technical Assistance (Generic Training) (2007)

15.650 Research Grants (Generic) (2007)  
Research Grants (Generic) (2008)

15.651 Wildlife Without Borders-Africa Program (2007)

15.652 Undesirable/Noxious Plant Species (2008)

15.653 National Outreach and Communication Program (2007)

15.654 Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (2007)

15.655 Migratory Bird Monitoring, Assessment and Conservation (2008)

15.700 Water Pollution Control-Waste Treatment Works Construction Grants (1967B)  
Construction Grants for Wastewater Treatment Works (1970B)  
Transferred to 66.400 (1971B)

15.701 Water Pollution Control-Grants for Comprehensive Basin Planning (1967B)  
Water Pollution Control-Comprehensive Basin Planning Grants (1970B)  
Transferred to 66.401 (1971B)

15.702 Water Pollution Control-Data Publications Services (1970B)  
Transferred to 66.402 (1971B)

15.703 Water Pollution Control-Direct Training (1970B)  
Transferred to 66.403 (1971B)

15.704 Water Pollution Control-Interstate Cooperation and Uniform Laws (1970B)  
Transferred to 66.404 (1971B)

15.705 Water Pollution Control-Research, Development, and Demonstration Grants and Contracts (1965B)  
Water Pollution Control-Research, Development and Demonstration Program (1970)  
Transferred to 66.405 (1971B)

15.706 Water Pollution Control-Training Grants, Contracts, and Research Fellowships (1967B)  
Water Pollution Control-Training Grants and Research Training Fellowships (1970B)  
Split into 15.706, 15.710 (1970)  
Transferred to 66.406 (1971B)

15.707 Water Pollution Control-State and Interstate Agency Support (1969B)  
Water Pollution Control-State and Interstate Program Grants (1970B)  
Transferred to 66.407 (1971B)

15.708 Water Pollution Control-State and Local Manpower Development (1970B)  
Transferred to 66.408 (1971B)

15.709 Water Pollution Control-Technical Assistance and Pollution Surveillance (1970B)  
Transferred to 66.409 (1971B)

15.710 Water Pollution Control-Training Grants (1970B)  
Split from 15.706 (1970B)  
Transferred to 66.410 (1971B)

15.711 Water Quality and Pollution Control Data (1970B)

	Transferred to 66.411 (1971B)		Economic, Social, and Political Development of the Territories (2006)
15.712	Water Quality and Pollution Control-Orientation and Training Seminars (1970B) Transferred to 66.412 (1971B)		Economic, Social, and Political Development of the Territories and the Freely Associated States (1995U)
15.713	Water Quality Management Technical Planning Assistance (1970B) Transferred to 66.413 (1971B)	15.900	Disposal of Surplus Wildlife (1970B) Deleted (1986B)
15.800	Resources Surveys, Water, Mineral, Fuels, Topographic Maps (1965B) Geologic, Mineral, Water Resource, and Topographic Surveys, Investigations, and Research (1967B) Split into 15.800, 15.801, 15.802, 15.803, 15.804 (1970B) Geologic and Mineral Resource Surveys and Mapping (1970B) Consolidated into 15.808 (1986B)	15.901	Domestic Travel Promotion (1970B) Transferred/Incorporated into 11.950 (1971B)
15.801	Map Information (1970B) Split from 15.800 (1970B) Cartographic Information (1974U) Cartographic Information, Geologic Information, Hydrologic Information (1989B) Deleted (1990B)	15.902	Environmental Study Areas (1970B) National Environmental Study Areas (1970U) National Environmental Study Areas and National Environmental Education Development Programs (1975U) National Environmental Study Areas (1980B) Deleted (1981B)
15.802	Minerals Discovery Loan Program (1970B) Split from 15.800 (1970B) Deleted (1982B)	15.903	Historic American Buildings Survey (1969B) Historic American Building Survey-Historic American Engineering Record (1970U) Historic American Buildings Survey (1971B) Split into 15.903, 15.909 (1971B) Number changed to 15.410 (1978B)
15.803	Topographic Surveys and Mapping (1970B) Split from 15.800 (1970B) National Mapping, Geography and Surveys (1980U1) Consolidated into 15.808 (1986B)	15.904	Historic Preservation (1969B) Number changed to 15.411 (1978B) Historic Preservation Grants-in-Aid (1978B) Number changed from 15.411 (1981B) Historic Preservation Fund Grants-In-Aid (1985U)
15.804	Water Resources Investigations (1970B) Split from 15.800 (1970B) Consolidated into 15.808 (1986B)	15.905	National Environmental Education Development (1970B) Deleted (1971B)
15.805	Assistance to State Water Resources Research Institutes (1984B) Number changed from 15.951 (1984B)	15.906	Park Planning-Technical Assistance (1969B) Park and Recreation Technical Assistance (1970B) Park Technical Assistance (1979U1) Number changed to 15.418 (1980B)
15.806	National Water Resources Research Program (1985B) Deleted (1996B)	15.907	Park Practice Program (1970B) Number changed to 15.419 (1980B)
15.807	Earthquake Hazards Reduction Program (1986B) Consolidated from 15.800 (1986B)	15.908	Archeological Investigations and Salvage (1971B) Number changed to 15.412 (1978B)
15.808	Geological Survey-Research and Data Acquisition (1986B) Consolidated from 15.800, 15.803, 15.804 (1986B) U.S. Geological Survey-Research and Data Acquisition, Consolidated from 15.977 (1998B)	15.909	Historic American Engineering Record (1971B) Split from 15.903 (1971B) Number changed to 15.413 (1978B) Number changed from 15.410 (1981B)
15.809	National Spatial Data Infrastructure Competitive Cooperative Agreements Program (1997B) National Spatial Data Infrastructure Cooperative Agreements Program (1998U)		Historic American Buildings Survey/Historic American Engineering Record (1982B) Deleted (1996B)
15.810	National Cooperative Geologic Mapping Program (1998B)	15.910	National Registry of Natural Landmarks (1971B) Deleted (2008) Number changed to 15.405 (1978B) Number changed from 15.405 (1981B)
15.811	Gap Analysis Program (2003B)		National Natural Landmarks Program (1981B)
15.812	Cooperative Research Units Program (2003B)	15.911	Training Institute for Park and Recreation Management (1974U) Number changed to 15.420 (1980B)
15.813	COOPERATIVE RESEARCH UNITS TRAINING PROGRAM (2007)	15.912	National Historic Landmark (1972U) Number changed to 15.414 (1978B) Number changed from 15.414 (1981B)
15.814	National Geological and Geophysical Data Preservation Program (2008)	15.913	Interagency Historic Architectural Services (1976U) Technical Preservation Services (1977U)
15.815	National Land Remote Sensing-Education Outreach and Research (2008)		
15.816	Minerals Resources External Research Program (2008)		
15.850	Indian Arts and Crafts Development (1970B)		
15.875	Economic and Political Development of the Territories and the Trust Territory of the Pacific Islands (1982) Economic, Social, and Political Development of the Territories (2005)		



Number changed to 15.415 (1978B)

15.914 National Register of Historic Places (1976U)  
Number changed to 15.416 (1978B)  
Number changed from 15.416 (1981B)

15.915 Technical Preservation Services (1981B)  
Number changed from 15.415 (1981B)

15.916 Outdoor Recreation-Acquisition, Development and Planning (1981B)  
Number changed from 15.400 (1981B)

15.917 Recreation-Technical Assistance (1981B)  
Number changed from 15.402 (1981B)  
Deleted (1984U)

15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1981B)  
Number changed from 15.403 (1981B)

15.919 Urban Park and Recreation Recovery Program (1981B)  
Deleted (2005)  
Number changed from 15.417 (1981B)  
Deleted (1989B)  
Reinstated (1991B)

15.920 Land Acquisition and Development of Comprehensive Management Plan (CMP)-State of New Jersey-Pinelands National Reserve (1984B)  
Deleted (1987B)

15.921 Rivers, Trails and Conservation Assistance (1994B)

15.922 Native American Graves Protection and Repatriation Act (1997U)

15.923 National Center for Preservation Technology and Training (1997B)

15.924 Historically Black Colleges and Universities Preservation Initiative (1997U)

15.925 National Maritime Heritage Grants (1997U)

15.926 American Battlefield Protection (1997U)

15.927 Hydropower Recreation Assistance (2002B)

15.928 Civil War Battlefield Land Acquisition Grants (2003B)

15.929 Save America's Treasures (2004)

15.930 Chesapeake Bay Gateways Network (2007)

15.931 Conservation Activities by Youth Service Organizations (2007)

15.950 Additional Water Resources Research (1970B)  
National Water Research and Development Program (1979B)  
Number changed to 15.505 (1983B)

15.951 Water Resource Research-Assistance to States for Institutes (1970B)  
Water Resources Research-Assistance to State Institutes (1975U)  
Water Resources Research and Technology-Assistance to State Institutes (1979B)  
Water Research Assistance to State Institutes (1983B)  
Number changed to 15.805 (1984B)

15.952 Water Resource Research-Matching Grants to State Institutes (1970B)  
Water Research and Technology-Matching Funds to State Institutes (1979B)  
Deleted (1983B)

15.953 Water Resources Scientific Information Center (1972B)  
Deleted (1983B)

15.975 Research Information  
Consolidated from 15.604, 15.610 (1994B)  
Incorporated into 15.977 (1996B)

15.976 Migratory Bird Banding and Data Analysis (1994B)

15.977 State Partnerships (1995B)  
Incorporated from 15.975 (1996B)  
Consolidated into 15.808 (1998B)

15.978 Upper Mississippi River System Long Term Resource Monitoring Program (1998B)

## DEPARTMENT OF JUSTICE

Criminal Justice Act of 1964 (1965B)  
Deleted (1969B)  
Federal Prisoners Rehabilitation Program (1965B)  
Deleted (1969B)  
Law Enforcement Assistance (1965B)  
Split into all of the Law Enforcement Assistance Programs (1969B)  
National Conference on Bail and Criminal Justice and Follow-Up Programs (1965B)  
Deleted (1969B)

16.001 Law Enforcement Assistance-Narcotics and Dangerous Drugs-Laboratory Support (1969B)  
Law Enforcement Assistance-Narcotics and Dangerous Drugs-Laboratory Analysis (1970B)

16.002 Law Enforcement Assistance-Narcotics and Dangerous Drugs- State Legislation (1970B)  
Deleted (1991U)

16.003 Law Enforcement Assistance-Narcotics and Dangerous Drugs Technical Laboratory Publications (1970B)

16.004 Law Enforcement Assistance-Narcotics and Dangerous Drugs-Training (1969B)

16.005 Narcotics and Dangerous Drugs-Public Education (1969B)  
Deleted (2008)  
Public Education on Drug Abuse-Technical Assistance (1970B)  
Public Education on Drug Abuse-Information (1979B)

16.006 Municipal Fire and Emergency Services Domestic Preparedness Equipment Support Program (1999B)  
County and Municipal Agency Domestic Preparedness Equipment Support Program (1999U)  
Deleted (2001B)

16.007 State and Local Domestic Preparedness Equipment Support Program (1999B)  
State Domestic Preparedness Equipment Support Program (1999U)  
Transferred to 97.004 (2003B)

16.008 State and Local Domestic Preparedness Training Program (2001B)  
Transferred to 97.005 (2003B)

16.009 State and Local Domestic Preparedness Exercise Support (2001B)  
Transferred to 97.006 (2003B)

16.010 State and Local Domestic Preparedness Technical Assistance (2001B)  
Transferred to 97.007 (2003B)

16.011 Urban Areas Security Initiative (2003B)

16.012 Alcohol, Tobacco, and Firearms-Training Assistance (2004)

16.013 Violence Against Women Act Court Training and Improvement Grants (2008)

16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (2008)

16.016 Culturally and Linguistically Specific Services Program (2008)

16.017 Sexual Assault Services Program (2008)

16.019 Tribal Registry (2008)

16.100 Desegregation of Public Education-Civil Rights Act of 1964 (1965B)

- Desegregation of Public Education (1970B)
- 16.101 Equal Employment Opportunity-Civil Rights Act of 1964 (1965B)  
Equal Employment Opportunity (1970B)
- 16.102 Equal Enjoyment of Public Accommodations-Civil Rights Acts of 1964 (1965B)  
Equal Employment of Public Accommodations (1970B)  
Incorporated into 16.105 (1979B)
- 16.103 Fair Housing (1970B)  
Fair Housing and Equal Credit Opportunity (1977U)
- 16.104 Protection of Voting Rights-Civil Rights Acts of 1957, 1960, 1964, and 1965 (1965B)  
Protection of Voting Rights (1970B)
- 16.105 Desegregation of Public Facilities (1972B)  
Civil Rights of Institutionalized Persons (1981B)
- 16.106 Indian Civil Rights (1974B)  
Deleted (1981B)
- 16.107 Special Civil Rights Litigation (1975U)  
Incorporated into 16.105 (1979B)
- 16.108 Americans With Disabilities Act Technical Assistance Program (1991U)
- 16.109 Civil Rights Prosecution (1992U)
- 16.110 Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (1995U)
- 16.200 Community Relations Service (1967B)
- 16.201 Cuban and Haitian Entrant Resettlement Program (1983U)  
Transferred to 97.009 (2003B)
- 16.202 Offender Reentry Program (2001U)  
Prisoner Reentry Initiative Demonstration (Offender Reentry) (2006)
- 16.203 Sex Offender Management Discretionary Grant (2002B)  
Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (2006)
- 16.220 Law Enforcement Assistance-Narcotics and Dangerous Drugs-Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances (2004)
- 16.300 Police Training Programs (1967B)  
Law Enforcement Assistance-Advanced Police Training (1969B)  
Law Enforcement Assistance-FBI Advanced Police Training (1970B)
- 16.301 Services of Federal Bureau of Investigation (1965B)  
Law Enforcement Assistance-Crime Laboratory Support (1969B)  
Law Enforcement Assistance-FBI Crime Laboratory Support (1970B)
- 16.302 Law Enforcement Assistance-Field Police Training (1969B)  
Law Enforcement Assistance-FBI Field Police Training (1970B)
- 16.303 Law Enforcement Assistance-Fingerprint Identification (1969B)  
Law Enforcement Assistance-FBI Fingerprint Identification (1970B)
- 16.304 Law Enforcement Assistance-National Crime Information Center (1969B)
- 16.305 Law Enforcement Assistance-Uniform Crime Reports (1969B)
- 16.306 DRUGFIRE (1996U)  
Deleted (1998B)
- 16.307 Combined DNA Index System (1996U)
- 16.308 Indian County Investigations (1996U)  
Indian Country Investigations (1997B)
- 16.309 Law Enforcement Assistance-National Instant Criminal Background Check System (2000B)
- 16.320 Services for Trafficking Victims (2004)
- 16.321 Antiterrorism and Emergency Assistance Program (2002U)  
Antiterrorism Emergency Reserve (2005)  
Antiterrorism Emergency Reserve (2006)
- 16.400 Citizenship Training (1965B)  
Citizenship Training and Information (1967B)  
Naturalization (1969B)  
Citizenship Education and Training (1970B)  
Transferred to 97.010 (2003B)
- 16.471 FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)
- 16.500 Law Enforcement Assistance-State Planning (1969B)  
Law Enforcement Assistance-Comprehensive Planning (1970B)  
Law Enforcement Assistance-Comprehensive Planning Grants (1971B)  
Consolidated into 16.530 (1980B)
- 16.501 Law Enforcement Assistance-Discretionary Grants (1970B)  
Consolidated into 16.531 (1980B)
- 16.502 Law Enforcement Assistance-Improving and Strengthening Law Enforcement (1969B)  
Law Enforcement Assistance-Improving and Strengthening Law Enforcement and Criminal Justice (1974B)  
Split into 16.530, 16.532 (1980B)
- 16.503 Law Enforcement Assistance-Technical Assistance (1970B)  
Consolidated into 16.531 (1980B)
- 16.504 Law Enforcement Assistance-Students Loans and Tuition Aids (1969B)  
Law Enforcement Education Program-Student Financial Aid (1970B)  
Transferred to the Department of Education (1980B)
- 16.505 Law Enforcement Assistance-Research Demonstrations and Special Projects (1969B)  
Law Enforcement Research and Development-Graduate Research Fellowships (1970B)  
Number changed to 16.562 (1980B)
- 16.506 Law Enforcement Research and Development-Pilot Grants (1970B)  
Incorporated into 16.507 (1972B)
- 16.507 Law Enforcement Research and Development-Project Grants (1970B)  
Number changed to 16.560 (1980B)
- 16.508 Law Enforcement Research and Development-Visiting Fellowships (1970B)  
Incorporated into 16.507 (1973B)  
Reinstated/Split from 16.507 (1975U)  
Number changed to 16.561 (1980B)
- 16.509 Law Enforcement Assistance-Statistics and Information Development-Project Grants (1971B)  
Law Enforcement Assistance-Statistics Development (1972B)  
Criminal Justice-Statistics Development (1973B)  
Number changed to 16.550 (1980B)
- 16.510 Statistics on Crime and Criminal Justice (1971B)  
Number changed to 16.551 (1980B)
- 16.511 Law Enforcement Assistance-Educational Development (1971U)  
Number changed to 16.533 (1980B)
- 16.512 Law Enforcement Assistance-Internships (1972B)  
Deleted (1980B)
- 16.513 Law Enforcement Assistance-Training (1972B)  
Number changed to 16.534 (1980B)

16.514	Organized Crime Prosecutorial Training (1973U) Consolidated into 16.531 (1980B)	Consolidated from 16.500, 16.502 (1980B) Deleted (1981B)
16.515	Criminal Justice Systems Development (1973U) Criminal Justice Systems and Telecommunications Development (1974B) Criminal Justice Systems Development (1975B) Number changed to 16.552 (1980B)	16.531 Part F-Discretionary Grants (1980B) Consolidated from 16.501, 16.503, 16.514 (1980B) Deleted (1981B)
16.516	Law Enforcement Assistance-Juvenile Justice and Delinquency Prevention-Allocation to States (1975U) Law Enforcement Assistance-Juvenile Justice and Delinquency Prevention Act Allocation to States (1978U) Juvenile Justice and Delinquency Prevention-Allocation to States (1979B) Number changed to 16.540 (1980B)	16.532 Part E-National Priority Program Grants (1980B) Split from 16.502 (1980B) Deleted (1981B)
16.517	Law Enforcement Assistance Administration-JJDP Special Emphasis Prevention and Treatment (1975U) Law Enforcement Assistance Administration-OJJDP Special Emphasis Prevention and Treatment Programs (1977U) Juvenile Justice and Delinquency Prevention-Special Emphasis Prevention and Treatment Programs (1979B) Number changed to 16.541 (1980B)	16.533 Law Enforcement Assistance-Educational Development (1980B) Number changed from 16.511 (1980B) Deleted (1981B)
16.518	Law Enforcement Assistance Administration-JJDP National Institute (1975U) National Institute for Juvenile Justice and Delinquency Prevention (1979B) Number changed to 16.542 (1980B)	16.534 Law Enforcement Assistance-Training (1980B) Number changed from 16.513 (1980B) Deleted (1981B)
16.519	Law Enforcement Assistance-Office of Community Anti-Crime Programs (1978B) Number changed to 16.535 (1980B)	16.535 Law Enforcement Assistance Administration-Office of Community Anti-Crime Programs (1980B) Number changed from 16.519 (1980B) Deleted (1981B)
16.520	Public Safety Officers' Benefits Program (1978B) Number changed to 16.538 (1980B)	16.536 Crime Prevention-Mobilization of Public and Non-Public Resources (1980B) Number changed from 16.521 (1980B) Deleted (1981B)
16.521	Crime Prevention-Mobilization of Public and Non-Public Resources (1978U) Number changed to 16.536 (1980B)	16.537 Urban Crime Prevention (1980B) Deleted (1981B)
16.522	Privacy and Security of Criminal Justice Systems (1979B) Number changed to 16.553 (1980B)	16.538 Public Safety Officers' Benefits Program (1980B) Number changed from 16.520 (1980B) Number changed to 26.571 (1982B)
16.523	Juvenile Accountability Incentive Block Grants (1998B) Juvenile Accountability Block Grants (2007)	16.540 Juvenile Justice and Delinquency Prevention-Allocation to States (1980B) Number changed from 16.516 (1980B)
16.524	Domestic Violence Victims' Civil Legal Assistance Program (1999B) Legal Assistance for Victims (2001B)	16.541 Juvenile Justice and Delinquency Prevention-Special Emphasis and Technical Assistance (1980B) Developing, Testing and Demonstrating Promising New Programs (2004) Part E - Developing, Testing and Demonstrating Promising New Programs (2006) Number changed from 16.517 (1980B)
16.525	Grants to Combat Violent Crimes Against Women on Campuses (1999B) Grants to Combat Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2007) Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2008) Grants to Reduce Violent Crimes Against Women on Campus (2001B)	Juvenile Justice and Delinquency Prevention-Special Emphasis (1989B)
16.526	Technical Assistance and Training Initiative (2002B) OVW Technical Assistance Initiative (2006)	16.542 National Institute for Juvenile Justice and Delinquency Prevention (1980B) Part D - Research, Evaluation, Technical Assistance and Training (2004) Deleted (2007) Number changed from 16.518 (1980B)
16.527	Supervised Visitation, Safe Havens for Children (2002B)	16.543 Missing Children's Assistance (1986B)
16.528	Training Grants to Stop Abuse and Sexual Assault of Older Individuals or Individuals with Disabilities (2002B) Enhanced Training and Services to End Violence and Abuse of Women Later in Life (2006)	16.544 Part D-Juvenile Gangs and Drug Abuse and Drug Trafficking (1990B) Deleted (2007) Gang-Free Schools and Communities-Community-Based Gang Intervention (1996U)
16.529	Education and Training to End Violence Against and Abuse of Women with Disabilities (2002B) Education, Training, and Enhanced Services to End Violence Against Women with Disabilities (2007) Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (2008)	16.545 Judicial Child Abuse Training (1992B) Combined into 16.547 (1994B)
16.530	Criminal Justice-Part D Formula Grants (1980B)	16.546 Investigation and Prosecution of Child Abuse Through the Criminal Justice System Number changed from 16.584 (1993U) Combined into 16.547 (1994B)
		16.547 Victims of Child Abuse (1994B)



- 16.548 Title V-Delinquency Prevention Program (1994B)
- 16.549 Part E-State Challenge Activities (1995B)
- 16.550 Criminal Justice Statistics Development (1980B)  
Number changed from 16.509 (1980B)  
State Justice Statistics Program for Statistical Analysis Centers (1997B)
- 16.551 Statistics on Crime and Criminal Justice (1980B)  
Number changed from 16.510 (1980B)  
Deleted (1983U)
- 16.552 Criminal Justice Systems Development (1980B)  
Number changed from 16.515 (1980B)  
Deleted (1981U)
- 16.553 Privacy and Security of Criminal Justice Systems (1980B)  
Number changed from 16.522 (1980B)  
Federal Statistics and Information Policy (1981U)  
Deleted (1983U)
- 16.554 National Criminal History Improvement Program (NCHIP) (1995B)
- 16.555 National Sex Offender Registry Assistance (1998B)  
Deleted (1999B)
- 16.556 Grants to State Sexual Assault and Domestic Violence Coalitions (2008)
- 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Program (2008)
- 16.560 Justice Research and Development Project Grants (1980B)  
Number changed from 16.507 (1980B)  
Justice Research, Development, and Evaluation Project Grants (1991U)  
National Institute of Justice Research, Evaluation, and Development Project Grants (2000B)
- 16.561 National Institute of Justice Visiting Fellowships (1980B)  
Deleted (2006)  
Number changed from 16.508 (1980B)
- 16.562 Law Enforcement Research and Development-Graduate Research Fellowships (1980B)  
Number changed from 16.505 (1980B)  
Criminal Justice Research and Development-Graduate Research Fellowships (1980U2)
- 16.563 Law Enforcement Family Support (1997B)  
Deleted (2007)  
Corrections and Law Enforcement Family Support (1999B)
- 16.564 National Institute of Justice Forensic DNA Laboratory Improvement Program (1999U)  
Deleted (2006)  
National Institute of Justice Crime Laboratory Improvement Program (2000B)  
Crime Laboratory Improvement-Combined Offender DNA Index System Backlog Reduction (2001B)
- 16.565 National Institute of Justice Domestic Anti-Terrorism Technology Development Program (1999U)  
National Institute of Justice Domestic Anti-Terrorism Technology Development Program (Counterterrorism Research and Development) (2004)  
Deleted (2006)
- 16.566 National Institute of Justice W.E.B. DuBois Post-Doctoral Fellowship Program (1999U)  
National Institute of Justice W.E.B. DuBois Fellowship Program (2000B)
- 16.570 Civil Rights Compliance Activities (1980B)  
Deleted (1985U)
- 16.571 Public Safety Officers' Benefits Program (1982B)  
Number changed from 16.538 (1982B)  
Public Safety Officers' Death Benefits Program (1985U)  
Public Safety Officers' Benefit Program (1991U)  
Public Safety Officers' Benefits Program (1995U)
- 16.572 Mariel-Cubans (1984U)  
Deleted (1996B)  
State Criminal Alien Assistance Program, Reinstated (1996U)  
Deleted (1998B)
- 16.573 Criminal Justice Block Grants (1985B)  
Incorporated into 16.579 (1990B)
- 16.574 Criminal Justice Discretionary Grants (1985B)  
Criminal Justice Discretionary Grant Program (1989B)  
Deleted (1996B)
- 16.575 Crime Victim Assistance (1985B)
- 16.576 Crime Victim Compensation (1985B)
- 16.577 Emergency Federal Law Enforcement Assistance (1986B)
- 16.578 Federal Surplus Property Transfer Program (1986B)
- 16.579 State and Local Narcotics Control Assistance Anti-Drug Abuse Act of 1986 (1987B)  
Edward Byrne Memorial Formula Grant Program (2006)  
Drug Control and System Improvement-Formula Grant (1989U)  
Byrne Formula Grant Program (1996U)
- 16.580 Narcotics Control Discretionary Grant Program (1987U)  
Drug Control and System Improvement-Discretionary Grant (1989U)  
Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (1995U)
- 16.581 Drug Law Enforcement Program-Prison Capacity (1988B)  
Deleted (1995U)
- 16.582 Crime Victim Assistance/Discretionary Grants (1988B)
- 16.583 Children's Justice Act Discretionary Grants for Native American Indian Tribes (1989B)  
Children's Justice Act Discretionary Grants for Native Americans (1995U)  
Children's Justice Act Partnerships for Indian Communities (1998B)
- 16.584 Investigation and Prosecution of Child Abuse Through the Federal Criminal Justice System (1992B)  
Investigation and Prosecution of Child Abuse Through the Criminal Justice System (1993B)  
Number changed to 16.546 (1993U)
- 16.585 Drug Court Discretionary Grant Program (1995B)
- 16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (1995B)
- 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (1995B)
- 16.588 Violence Against Women Formula Grants (1995B)
- 16.589 Rural Domestic Violence and Child Victimization Enforcement Grant Program (1996B)  
Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Grant Program (2007)  
Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (2008)
- 16.590 Grants to Encourage Arrest Policies (1996B)  
Grants to Encourage Arrest Policies and Enforcement of Protection Orders (2001B)
- 16.591 Managing Released Sex Offenders (1996B)  
Deleted (1998B)
- 16.592 Local Law Enforcement Block Grants Program (1996U)

- Local Law Enforcement Block Grant Program (2006)  
Deleted (2007)  
Deleted (2007)
- 16.593 Residential Substance Abuse Treatment for State Prisoners (1996U)
- 16.594 Prevention, Diagnosis, and Treatment of Tuberculosis in Correctional Institutions (1996U)  
Deleted (1999B)
- 16.595 Executive Office for Weed and Seed  
Community Capacity Development Office (2005)  
Community Capacity Development Office (2006)  
Number changed from 16.725 (1995B)
- 16.596 Correctional Grant Program for Indian Tribes (1996U)
- 16.597 Motor Vehicle Theft Protection Act Program (1997B)
- 16.598 State Identification Systems Grant Program (1997B)
- 16.599 Local Firefighting and Emergency Services Training (1997U)  
Deleted (1999B)
- 16.600 Correctional Services-Technical Assistance (1970U)  
Number changed to 16.603 (1976U)
- 16.601 Corrections-Training and Staff Development (1976U)
- 16.602 Corrections-Research and Evaluation (1976U)  
Corrections-Research and Evaluation and Policy Formulation (1981U)
- 16.603 Corrections-Technical Assistance (1976U)  
Number changed from 16.600 (1976U)  
Corrections-Technical Assistance/Clearinghouse (1988B)
- 16.604 Corrections-Policy Formulation (1976U)  
Deleted (1981U)
- 16.605 Corrections-Clearinghouse (1976U)  
Deleted (1982B)
- 16.606 State Criminal Alien Assistance Program (1998B)
- 16.607 Bulletproof Vest Partnership Program (1999B)
- 16.608 Tribal Court Assistance Program (1999B)
- 16.609 Planning, Implementing, and Enhancing Strategies in Community Prosecution (1999U)  
Planning, Implementing, and Enhancing Strategies in Community Prosecution-Gun Violence Prosecution (2001U)  
Community Prosecution and Project Safe Neighborhoods (2002B)
- 16.610 Regional Information Sharing Systems (1999U)
- 16.611 Closed-Circuit Televising of Child Victims of Abuse (1999U)
- 16.612 National White Collar Crime Center (1999U)
- 16.613 Scams Targeting the Elderly (1999U)
- 16.614 State and Local Anti-Terrorism Training (1999U)
- 16.615 Public Safety Officers' Educational Assistance (1999U)
- 16.616 Indian Country Alcohol and Drug Prevention (2001U)
- 16.700 Antitrust State Enforcement (1978U)  
Deleted (1981B)
- 16.710 Public Safety and Community Policing Grants (1995B)  
Public Safety Partnership and Community Policing Grants (1996B)
- 16.711 Troops to COPS (1995B)  
Deleted (2004)
- 16.712 Police Corps (1996U)
- 16.725 Weed and Seed Program Fund (1993U)  
Number changed to 16.595 (1995B)
- 16.726 Juvenile Mentoring Program (1996B)
- 16.727 Combating Underage Drinking (1998B)  
Enforcing Underage Drinking Laws Program (1999U)
- 16.728 Drug Prevention Program (1998B)
- 16.729 Drug-Free Communities Support Program Grants (1998B)  
Number changed to 93.276 (2004)
- 16.730 Reduction and Prevention of Children's Exposure to Violence (1999B)
- 16.731 Tribal Youth Program (1999B)
- 16.732 National Evaluation of the Safe Schools/Healthy Students Initiative (1999U)  
Deleted (2007)  
National Evaluation of the Safe Schools-Healthy Students Initiative (2001B)
- 16.733 National Incident Based Reporting System (2000B)
- 16.734 Special Data Collections and Statistical Studies (2003B)
- 16.735 PROTECTING INMATES AND SAFEGUARDING COMMUNITIES (2004)
- 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Stalking, or Sexual Assault (2004)  
Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (2008)
- 16.737 Gang Resistance Education and Training (2004)  
Number changed from 21.053 (2004)
- 16.738 Edward Byrne Memorial Justice Assistance Grant Program (2005)
- 16.739 National Prison Rape Statistics Program (2005)
- 16.740 Statewide Automated Victim Information Notification (SAVIN) Program (2005)
- 16.741 FORENSIC DNA CAPACITY ENHANCEMENT PROGRAM (2005)  
Forensic DNA Backlog Reduction Program (2008)
- 16.742 PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM (2005)
- 16.743 FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)
- 16.744 Anti-Gang Initiative (2006)
- 16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (2006)
- 16.746 Capital Case Litigation (2006)
- 16.747 Crime Victims' Rights Act (2006)
- 16.748 Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (2007)
- 16.749 Radiation Exposure Compensation Program (2007)
- 16.750 SUPPORT FOR ADAM WALSH ACT IMPLEMENTATION GRANT PROGRAM (2008)
- 16.751 Edward Byrne Memorial Competitive Grant Program (2008)
- 16.752 Economic High-Tech and Cyber Crime Prevention (2008)
- 16.753 Congressionally Recommended Awards (2008)  
Number changed from 16.729 (2004)

## DEPARTMENT OF LABOR

- Community Employment Development (1965B)
- Smaller Communities Program-Rural Areas (1969B)  
Deleted (1970B)
- Experimental and Demonstration Projects for the Mentally Retarded (1965B)  
Deleted (1967B)
- Experimental and Demonstration Projects for Rural Persons (1965B)  
Deleted (1967B)

Experimental and Demonstration Projects under MDTA (1965B) Deleted (1967B)	17.005	Wages and Industrial Relations Data (1969B) Compensation and Working Conditions Data (1988B) Compensation and Working Conditions (2000B)
Experimental and Demonstration Projects for Youth and Adults with Limited Ability to Read and Write (1965B) Deleted (1967B)	17.006	Economic Growth Data (1971B) Deleted (2004) Incorporated into 17.002 (2004) Incorporated into 17.002 (2004) Split from 17.004 (1971B) Economic Research Data (1972B) Economic Growth Data (1977B) Economic Growth and Employment Projections Data (1983B) Employment Projections Data (1989U)
Farm Labor Services (1965B) Employment Services to Rural Areas (1969B) Deleted (1970B)	17.100	Labor-Management Relations Services (1970B) Number changed to 17.130 (1984U)
Job Market Information (1965B) Deleted (1970B)	17.101	Labor Organization Reports (1969B) Number changed to 17.140 (1984U)
Job Training for Disadvantaged Persons (1965B) Deleted (1969B)	17.102	Reemployment Rights for Veterans (1969B) Veterans Reemployment Rights (1970B) Number changed to 17.803 (1984B)
New Careers Program (1967B) Deleted (1969B)	17.103	Welfare and Pension Plan Reports (1969B) Employee Benefits Security (1975B) Pension and Welfare Benefit Programs (1977B) Number changed to 17.150 (1984U)
Occupational Training in Development Areas (1965B) Deleted (1969B)	17.104	Office of Construction Industry Services (1979U1) Deleted (1982B)
Physically and Mentally Handicapped-Employment Service (1965B) Deleted (1969B)	17.130	Labor-Management Relations and Cooperative Programs (1984U) Number changed from 17.100 (1984U) Deleted (1992U)
Special Impact Program (1967B) Special Impact (1969B) Deleted (1970B)	17.140	Labor Organization Reports (1984U) Number changed from 17.101 (1984U) Incorporated into 17.309 (2001U)
Trade Adjustment Allowances for Workers (1965B) Deleted (1969B)	17.150	Welfare and Pension Plan Reports (1984U) Number changed from 17.103 (1984U) Employee Benefits Security Administration (2003B)
General Employment Services (1965B) U.S. Employment Services (1967B) Employment Service (1969B) Deleted (1970B)	17.200	Apprenticeship Outreach (1970B) Consolidated into 17.243 (1979B)
Veterans Employment Priority Service (1967B) Deleted (1969B)	17.201	Apprenticeship and Training (1965B) Apprenticeship Training (1970B) Registered Apprenticeship Training (1997U) Registered Apprenticeship and Other Training (2000B)
Youth Opportunity Centers (1965B) Deleted (1970B)	17.202	Certification for Foreign Workers for Seasonal Agricultural Employment (1970B) Deleted (2006) Certification of Foreign Workers for Agricultural and Logging Employment (1971B) Certification of Foreign Workers for Temporary Agricultural and Logging Employment (1980U2) Certification of Foreign Workers for Temporary Agricultural Employment (1991B)
American Indian Vocational Job Training (1965B) Deleted (1967B)	17.203	Certification for Immigrant Nonagricultural Workers (1970B) Deleted (2006) Certification for Immigrant Workers (1979B) Labor Certification for Alien Workers (1983B)
Employment Assistance and Training for Inmates of Correctional Institutions (1969B) Deleted (1970B)		
Apprenticeship Information Centers (1969B) Deleted (1970B)		
Manpower Recruitment Services (1969B) Deleted (1970B)		
Older Worker Employment Assistance (1969B) Deleted (1970B)		
Selective Service Rejectee Rehabilitation (1969B) Deleted (1970B)		
17.001 Foreign Labor Data (1969B) Deleted (1972B)		
17.002 Manpower and Employment Data (1969B) Labor Force Statistics (1977B)		
17.003 Price and Cost of Living Data (1969B)		
17.004 Productivity, Technology, and Growth Data (1969B) Productivity and Technology Data (1971B) Split into 17.004, 17.006 (1971B)		



17.204	Concentrated Employment Program (1969B) Consolidated into 17.232 (1973B)		Institutional Grant Program (1978B) Deleted (1982B)
17.205	Cooperative Area Manpower Planning System (1969B) Consolidated into 17.232 (1973B)	17.220	Manpower Research and Evaluation (1970B) Manpower Research-Contracts (1971B) Manpower Research-Projects (1973B) Consolidated into 17.233 (1973U)
17.206	Bonding Assistance (1969B) Employment Bonding Assistance (1970B) Deleted (1970U) Reinstated (1971B) Federal Bonding Program (1971B) Deleted (1972U)	17.221	Manpower Research-Project Grants (1970B) Manpower Research-Small Grant Projects (1973B) Manpower Research-Small Grant Research Projects (1975B) Employment and Training Research-Small Grant Research Projects (1976B) Incorporated into 17.218 (1977B)
17.207	Employment Service-Industrial Services (1965B) Employment Service/Wagner-Peyser Funded Activities (2006) Employment Services-Grants to States (1970B) Employment Service (1972B)	17.222	Neighborhood Youth Corps (1965B) Consolidated into 17.232 (1973B)
17.208	Exemplary Rehabilitation Certificates (1967B) Number changed to 17.800 (1982B)	17.223	Operation Mainstream (1967B) National Older Workers Program-Operation Mainstream (1975B) Incorporated into 17.235 (1975U)
17.209	Farm Labor Contractor Registration (1965B) Number changed to 17.308 (1972U)	17.224	Public Service Careers (1970B) Deleted (1973U)
17.210	Job Bank (1970B) Computerized Job Placement (1972B) Incorporated into 17.207 (1973B)	17.225	Unemployment Insurance-Grants to States (1965B) Unemployment Insurance (1979B)
17.211	Job Corps (1970B) Transferred from Office of Economic Opportunity (1970B) Incorporated into 17.232 (1974B) Reinstated/Split from 17.232 (1975B) Deleted (1981U)	17.226	Work Incentives Program (1969B) Work Incentive Program-Training and Allowances (1970B) Work Incentives Program-Training and Allowances (1973B) Work Incentives Program and Incentives (1974B) Work Incentives Program (1975B) Transferred to 13.646 (1978B)
17.212	Job Opportunities in the Business Sector (1969B) Incorporated into 17.232 (1975B)	17.227	Job Opportunities in the Business Sector-Low Support (1970U) Number changed from 17.216 (1970U) Job Opportunities in the Business Sector-Optional Program (1971B) Consolidated into 17.232 (1973B)
17.213	Journeyman Training (1970B) Deleted (1972U)	17.228	National On-The-Job Training (1971B) Consolidated into 17.243 (1979B)
17.214	Labor Mobility-Relocation Assistance Allowances (1965B) Labor Mobility Demonstration Projects (1970B) Deleted (1970U)	17.229	Emergency Employment Assistance (1971U) Public Employment Program (1972B) Deleted (1973B)
17.215	Manpower Development and Training-Institutional Training (1970B) Incorporated into 17.232 (1973B)	17.230	Migrant Workers (1972B) Transferred from (1972B) Farm Workers (1975B) Migrant and Seasonal Farm Workers (1977B) Migrant and Seasonal Farmworkers (1981U) Number changed to 17.247 (1983U)
17.216	Manpower Development and Training (1965B) Manpower Development and Training Act-On-the-Job Training Program (1970B) Number changed to 17.227 (1970U)	17.231	Technology Mobilization and Reemployment (1972B) Deleted (1973B)
17.217	Manpower Experimental and Demonstration Projects (1969B) Consolidated into 17.233 (1973U)	17.232	Manpower Revenue Sharing (1973B) Consolidated from 17.204, 17.205, 17.222, 17.227 (1973B) Comprehensive Manpower Programs (1973U) Comprehensive Employment and Training Programs (1974B) Deleted (1983U)
17.218	Manpower Research Programs (1965B) Manpower Research-Doctoral Dissertation Grants (1970B) Employment and Training Research-Doctoral Dissertation Grants (1976B) Doctoral Dissertation and Small Grant Research Projects Programs (1977B) Doctoral Dissertation Program (1979U1) Deleted (1980U1)	17.233	Manpower Research and Development Projects (1973U) Consolidated from 17.217, 17.220 (1973U)
17.219	Manpower Research-Institutional Grants (1970B) Manpower Institutional Grants (1974B) Employment and Training Institutional Grants (1976B)		

	Employment and Training Research and Development Projects (1976B) Number changed to 17.248 (1983U)	17.255	Workforce Investment Act (1999B) Consolidated into 17.258, 17.259 (2001B)
17.234	Indian Manpower Programs (1975B) Indian Employment and Training Programs (1976B) Indian and Native American Employment and Training Programs (1977B) Employment and Training-Indians and Native Americans (1978B) Deleted (1983U)	17.257	One-Stop Career Initiative (1999B) Deleted (2004) Reinstated (2004) Deleted (2005) Reinstated (2005) Deleted (2006)
17.235	Senior Community Service Employment Program (1975B)	17.258	WIA Adult Program Consolidated from 17.250, 17.255 (2001B)
17.236	New Initiatives in Apprenticeship (1978B) Deleted (1979B)	17.259	WIA Youth Activities Consolidated from 17.250, 17.255 (2001B)
17.239	Youth Community Conservation Improvement Program (1978B) Incorporated into 17.232 (1979U1)	17.260	WIA Dislocated Workers Consolidated from 17.246 (2001B)
17.240	Youth Employment and Training (1978B) Consolidated into 17.232 (1979U1)	17.261	Employment and Training Administration Pilots, Demonstrations, and Research Projects WIA Pilots, Demonstrations, and Research Projects (2006) Consolidated from 17.248, 17.249 (2001B)
17.241	Youth Incentive Entitlement Pilot Projects (1978B) Deleted (1981B)	17.262	Employment and Training Administration Evaluations (2001B)
17.242	Summer Programs for Economically Disadvantaged Youth (1978B) Consolidated into 17.232 (1979U1)	17.263	Youth Opportunity Grants Deleted (2006) Consolidated from 17.249 (2001B)
17.243	Special Programs and Activities for the Disadvantaged (1979B) Consolidated from 17.200, 17.228 (1979B) Special National Programs and Activities for the Disadvantaged (1980U2) Special National Lever Programs (1983B) Number changed to 17.249 (1983U)	17.264	Migrant and Seasonal Farmworkers (2002B) National Farmworker Jobs Program (2006) Consolidated from 17.247 (2002B)
17.244	Disabled Veterans Outreach Program (1981B) Number changed to 17.801 (1982B)	17.265	Native American Employment and Training (2002B) Consolidated from 17.251 (2002B)
17.245	Trade Adjustment Assistance-Workers (1981U) Trade Adjustment Assistance (2006) Number changed from 17.400 (1981U)	17.266	Work Incentives Grant (2002B) Work Incentive Grants (2006)
17.246	Employment and Training Assistance-Dislocated Workers (1983B) Consolidated into 17.260 (2001B)	17.267	WIA Incentive Grants-Section 503 Grants to States (2004) Incentive Grants - WIA Section 503 (2006)
17.247	Migrant and Seasonal Farmworkers (1983U) Number changed from 17.230 (1983U)	17.268	H-1B High Growth Job Training Grants (2006) H-1B Job Training Grants (2007)
17.248	Employment and Training Research and Development Projects (1983U) Number changed from 17.233 (1983U) Employment and Training Evaluation Projects (2000B) Consolidated into 17.261 (2001U)	17.269	Community Based Job Training Grants (2006)
17.249	Employment Services and Job Training-Pilot and Demonstration Programs (1983U) Number changed from 17.243 (1983U) Employment Services and Job Training Pilots-Demonstrations and Research (2000B) Consolidated into 17.261, 17.263 (2001U)	17.270	Prisoner Reentry (2006) Reintegration of Ex-Offenders (2008)
17.250	Job Training Partnership Act (1983U) Consolidated into 17.258, 17.259 (2001B)	17.271	Work Opportunity Tax Credit Program (WOTC) and Welfare-to-Work Tax Credit (WtWTC) (2006) Work Opportunity Tax Credit Program (WOTC) (2007)
17.251	Native American Employment and Training Programs (1984U) Consolidated into 17.26 (2002B)	17.272	Permanent Labor Certification for Foreign Workers (2006)
17.252	Attestations by Employers Using Alien Crewmembers for Longshore Activities in U.S. Ports (1993B)	17.273	Temporary Labor Certification for Foreign Workers (2006)
17.253	Welfare-to-Work Grants to States and Localities (1998B)	17.274	YOUTHBUILD (2007) Number changed from 14.243 (2007)
17.254	Welfare-to-Work Grants to Federally Recognized Tribes and Alaska Natives (1998U)	17.300	Age Discrimination in Employment (1969B) Transferred to 30.008 (1979U1)
		17.301	Equal Employment Opportunity by Federal Contractors (1969B) Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (1980B) Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (1983U)
		17.302	Workmen's Compensation for Federal Employees and Others (1969B) Longshoremen's and Harbor Workers' Compensation (1970B) Longshore and Harbor Workers' Compensation (1984U)

17.303 Federal Minimum Wage and Hour Standards (1967B)  
 Minimum Wage and Hour Standards (1969B)  
 Split into 17.303, 30.010 (1979U2)  
 Wage and Hour Standards (1996B)

17.304 Labor Standards (1965B)  
 Safety and Labor Standards (1969B)  
 Workers Safety and Labor Standards (1970B)  
 Number changed to 17.307A (1971B)

17.305 Women-Special Programs and Assistance (1967B)  
 Women's Special Employment Assistance (1970B)  
 Number changed to 17.700 (1978B)

17.306 Consumer Credit Protection (1970U)

17.307 Coal Mine Workers' Compensation (2004)

17.307A Occupational Safety and Health (1971B)  
 Number changed from 17.304 (1971B)  
 Number changed to 17.500 (1971U)

17.307B Coal Mine Workers' Compensation (1973B)

17.308 Farm Labor Contractor Registration (1972U)  
 Number changed from 17.209 (1972U)

17.309 Labor Organization Reports (1999B)  
 Incorporated from 17.140 (2001U)

17.310 Energy Employees Occupational Illness Compensation (2006)

17.400 Trade Adjustment Assistance-Workers (1971B)  
 Transferred from 61.003 (1971B)  
 Number changed to 17.245 (1981U)

17.500 Occupational Safety and Health (1971U)  
 Number changed from 17.307A (1971U)  
 Number changed to 17.504 (1995B)

17.501 Employee Assistance Programs-Drug, Alcohol Abuse (1990B)  
 Deleted (1991U)

17.502 Occupational Safety and Health-Training and Education (1991U)  
 Occupational Safety and Health-Susan Harwood Training Grants (1999B)

17.503 Occupational Safety and Health-State Program (1994B)

17.504 Consultation Agreements  
 Number changed from 17.500 (1995B)

17.505 OSHA Data Initiative (2003B)

17.600 Mine Health and Safety Grants (1978B)  
 Transferred from 15.350 (1978B)

17.601 Mine Health and Safety Counseling and Technical Assistance (1978B)  
 Transferred from 15.351 (1978B)

17.602 Mine Health and Safety Education and Training (1978B)  
 Transferred from 15.352 (1978B)

17.603 Brookwood-Sago Grant (2007)

17.604 Safety and Health Grants (2008)

17.700 Women's Special Employment Assistance (1978B)  
 Number changed from 17.305 (1978B)  
 Women's Bureau (2003B)

17.720 Employment Programs for People with Disabilities (2002B)  
 Disability Employment Policy Development (2005)  
 Disability Employment Policy Development (2005)

Transferred from 53.001 (2002B)

17.800 Exemplary Rehabilitation Certificates (1982B)  
 Number changed from 17.208 (1982B)  
 Deleted (1983B)

17.801 Disabled Veterans Outreach Program (1982B)  
 Number changed from 17.244 (1982B)  
 Disabled Veterans Outreach Program (DVOP) (1992B)  
 Disabled Veterans' Outreach Program (DVOP) (1995B)

17.802 Veterans Employment Program (1984B)  
 Veterans' Employment Program (1995B)

17.803 Reemployment Rights for Veterans (1984B)  
 Number changed from 17.102 (1984B)  
 Veterans' Employment and Reemployment Rights (1995B)  
 Uniformed Services Employment and Reemployment Rights (1996B)

17.804 Local Veterans Employment Representative Program (1984B)  
 Local Veterans' Employment Representative Program (1995B)

17.805 Homeless Veterans Reintegration Project (1991U)  
 Deleted (1996B)  
 Reinstated (1998B)

17.806 Veteran's Preference in Federal Employment (2000B)

### **U.S. POSTAL SERVICE**

Lease Construction Program (1967B)  
 Post Office Lease Construction (1969B)  
 Deleted (1970B)

18.001 Postal Academy Program (1970B)  
 Deleted (1972U)

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19.001 Foreign Currency Loans (1970B)  
 Transferred to 70.001 (1971B)

19.002 Foreign Housing Investment Guaranties (1970B)  
 Consolidated into 19.008 (1970U)

19.003 Foreign Housing Investment Guaranty Program-Latin America (1970B)  
 Consolidated into 19.008 (1970U)

19.004 Foreign Investment Guaranties (1970B)  
 Transferred to 70.002 (1971B)

19.005 Foreign Investment Insurance (1970B)  
 Transferred to 70.003 (1971B)

19.006 Institutional Centers to Aid Foreign Development (1969B)  
 Deleted (1977U)

19.007 Technology Applications for Less-Developed Countries (1969B)  
 Deleted (1978B)

19.008 Foreign Housing Investment Guaranty-Worldwide (1970U)  
 Consolidated from 19.002, 19.003 (1970U)  
 Housing Investment Guaranty-Worldwide (1971B)  
 Housing Guaranty-Worldwide (1973U)  
 Deleted (1978B)

19.100 Cultural Presentations-Foreign Tours (1969B)  
 Split into 19.100, 19.102 (1970B)



	Deleted (1971B)		Number changed from 82.016 (2000B)
19.101	Exchange of Persons-Academic Grants (1969B) Educational Exchange-Graduate Students (1970B) Transferred to 82.001 (1978B)	19.411	Educational Exchange-NIS Secondary School Initiative Deleted (2004) Number changed from 82.018 (2000B)
19.102	Educational Exchange-University Lecturers (Professors) and Research Scholars (1970B) Split from 19.100 (1970B) Transferred to 82.002 (1978B)	19.412	Educational Exchange-Postgraduates and Faculty Number changed from 82.026 (2000B) Deleted (2002B)
19.200	Claims Against Foreign Governments (1970B)	19.413	Cultural Exchange (Performing Arts) Deleted (2006) Number changed from 82.030 (2000B)
19.201	Protection of Ships from Foreign Seizure (1970B)	19.414	Cultural Exchange (Visual Arts) Deleted (2005) Number changed from 82.032 (2000B)
19.202	Special Domestic Assignments (1981B)	19.415	Professional Exchange-Annual Open Grant Number changed from 82.033 (2000B) Professional Exchanges-Annual Open Grant (2001B)
19.203	Claims Against Foreign Missions (1984B) Deleted (1990B)	19.416	Exchange-English Teaching Fellows Number changed from 82.034 (2000B) Consolidated into 19.421 (2001B)
19.204	Fishermen's Guranty Fund Number changed from 11.410 (1987B)	19.417	Exchange-English as a Foreign Language (EFL) Fellows Number changed from 82.035 (2000B) Consolidated into 19.421 (2001B)
19.300	Russian, Eurasian, and East European Research and Training (1992B) Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (1995U)	19.418	Educational Exchange-Fulbright American Studies Institutes Educational Exchange, American Studies Institute (2006) Number changed from 82.038 (2000B)
19.400	Educational Exchange-Graduate Students Number changed from 82.001 (2000B)	19.419	Professional Development-Teacher Training (2000B) Deleted (2004)
19.401	Educational Exchange-University Lecturers (Professors) and Research Scholars Number changed from 82.002 (2000B)	19.420	Cooperative Grants (2000B) Deleted (2004)
19.402	International Visitors Program Number changed from 82.004 (2000B)	19.421	Exchange-English Language Fellow Program Consolidated from 19.416, 19.417 (2001B)
19.403	American Council of Young Political Leaders Number changed from 82.006 (2000B)	19.422	Educational Exchange-Teaching Excellence Awards Program (2001B) Deleted (2004)
19.404	Professional Development-International Educators/Administrators Deleted (2004) Consolidated into 19.424 (2004) Number changed from 82.009 (2000B)	19.423	Exchange-English Language Specialist/Speaker Program (2001B)
19.405	College and University Partnerships Program Deleted (2004) Consolidated into 19.424 (2004) Number changed from 82.010 (2000B) Educational Partnerships Program (2003B)	19.424	Educational Partnerships Program (2002B) Deleted (2005) Consolidated from 19.406 (2002B)
19.406	College and University Affiliations Program Number changed from 82.011 (2000B) Educational Partnerships Program (2001U) Consolidated into 19.42 (2002B)	19.425	Benjamin Gilman International Scholarship (2002B)
19.407	Teacher Exchange-New Independent States (NIS) Deleted (2005) Number changed from 82.012 (2000B)	19.430	International Education Training and Research (2008)
19.408	Educational Exchange-Teachers from Secondary and Postsecondary Levels Number changed from 82.013 (2000B) Educational Exchange-Teachers from Secondary and Postsecondary Levels and School Administrators (2001B)	19.431	Educational Exchange-Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (2005)
19.409	Creative Arts Grants Arts Exchanges on International Issues (2005) Arts Exchanges on International Issues (2005) Number changed from 82.015 (2000B)	19.432	Overseas Educational Advising (2005)
19.410	Educational Exchange-Congress-Bundestag Youth Exchange	19.500	Middle East Partnership Initiative (MEPI) (2004)
		19.510	U.S. Refugee Admissions Program (2004)
		19.511	Overseas Refugee Assistance Programs for East Asia (2005)
		19.517	Overseas Refugee Assistance Programs for Africa (2005)
		19.518	Overseas Refugee Assistance Programs for Western Hemisphere (2005)
		19.519	Overseas Refugee Assistance Program for Near East and South Asia (2005)
		19.520	Overseas Refugee Assistance Programs for Europe (2005)
		19.522	Overseas Refugee Assistance Programs for Strategic Global Priorities (2005)

## DEPARTMENT OF TRANSPORTATION

Coast Guard Marine, Harbor, and Waterfront Services (1967B)		Split from 20.202 (1970B)
Marine, Harbor, and Waterfront Services (1969B)		Consolidated into 20.214 (1974B)
Deleted (1970B)		
Development Highways and Access Roads for the Appalachian Region (1967B)		
Deleted (1969B)	20.204	Highway Beautification-Landscaping and Scenic Enhancement (1970B)
Urban Mass Transportation Capital Assistance (1969B)		Split from 20.202 (1970B)
Incorporated into 20.500, 20.501 (1970B)		Consolidated into 20.214 (1974B)
20.001 Boating Safety (1970B)		
Transferred to 97.011 (2003B)		
20.002 Coast Guard Cooperative Marine Sciences Program (1970B)		
Deleted (1986B)	20.205	Highway Planning and Construction (1967B)
20.003 Student Shipboard Opportunities Program (1970B)		Transferred from the Department of Commerce (1970B)
Incorporated into 20.002 (1971B)		Highway Research, Planning, and Construction (1972B)
20.004 Boating Safety-Financial Assistance (1972U)		Highway Planning and Construction (1981U)
Deleted (1980B)		Revised (1998U)
20.005 Boating Safety Financial Assistance (1983U)		
Transferred to 97.012 (2003B)	20.206	Highway Studies (1967B)
20.006 State Access to the Oil Spill Liability Trust Fund (1993B)		Highway Planning and Research Studies (1970B)
Transferred to 97.013 (2003B)		Highway Planning and Research (1971B)
20.007 Bridge Alteration (1993U)		Incorporated into 20.205 (1972B)
Transferred to 97.014 (2003B)	20.207	National Highway Safety Program (1965B)
20.100 Aviation Education (1969B)		Split into 20.207, 20.208, 20.210 (1970B)
20.101 Airport Development Program (1965B)		Highway Safety Demonstration Projects (1970B)
Airport Development (1969B)		Consolidated into 20.600 (1971B)
Federal-Aid Airport Program (1970B)	20.208	Highway Safety Research Fellowships (1970B)
Number changed to 20.102 (1970U)		Split from 20.207 (1970B)
20.102 Airport Development Aid Program (1970U)		Consolidated into 20.600 (1971B)
Number changed from 20.101 (1970U)	20.209	Public Lands Highways (1970B)
Deleted (1983B)		Incorporated into 20.205 (1974B)
20.103 Airport Planning Grant Program (1971B)		
Deleted (1983B)	20.210	State and Community Highway Safety (1970B)
20.104 Aviation War Risk Insurance (1971B)		Split from 20.207 (1970B)
Deleted (1977U)		Consolidated into 20.600 (1971B)
20.105 Loan Guarantees for Purchase of Aircraft and Spare Parts (1980B)	20.211	Traffic Operations Program to Increase Capacity and Safety (1970B)
Deleted (1983U)		Incorporated into 20.205 (1972B)
20.106 Airport Improvement Program (1983B)	20.212	Economic Growth Centers and Development Highway Demonstration Projects (1971U)
20.107 Airway Science (1987B)		Economic Growth Centers Development-Highways (1972B)
20.108 Aviation Research Grants (1993B)		Deleted (1972U)
20.109 Air Transportation Centers of Excellence (1993B)	20.213	Special Bridge Replacement (1971U)
20.200 Federal-Aid Highways-Emergency Relief (1970B)		Federal-Aid Highways-Special Bridge Replacement (1973B)
Incorporated into 20.205 (1974B)		Incorporated into 20.205 (1974B)
20.201 Forest Highways (1970B)	20.214	Highway Beautification-Control of Outdoor Advertising, Control of Junkyards, Landscaping and Scenic Enhancement (1974B)
Incorporated into 20.205 (1974B)		Consolidated from 20.202, 20.203, 20.204 (1974B)
20.202 Highway Beautification (1967B)		Highway Beautification-Control of Outdoor Advertising, and Control of Junkyards (1977B)
Highway Beautification-Control of Junkyards (1970B)		Deleted (1989B)
Transferred from the Department of Commerce (1970B)	20.215	Highway Training and Education (1980B)
Split into 20.202, 20.203, 20.204 (1970B)	20.216	Highway Educational Grants (1980B)
Consolidated into 20.214 (1974B)		Deleted (1985U)
20.203 Highway Beautification-Control of Outdoor Advertising (1970B)	20.217	Motor Carrier Safety (1980B)
	20.218	Motor Carrier Safety Assistance Program (1983U)
		National Motor Carrier Safety (1999B)
	20.219	National Recreational Trails Program (1993U)
		National Recreational Trails Funding Program (1995B)
		Recreational Trails Program, Revised (1998U)
	20.222	Highways for LIFE (2006)
	20.223	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (2007)

20.230	Crash Data Improvement Program (2005)	20.317	Capital Assistance to States - Intercity Passenger Rail Service (2008)
20.231	Performance and Registration Information Systems Management (2006)	20.400	Transportation Planning Information-Environment and Urban Systems (1970B) Deleted (1971B) Reinstated (1971U) Deleted (1972B)
20.232	Commercial Driver License State Programs (2005)	20.500	Urban Mass Transportation Capital Improvement Grants (1970B) Federal Transit Capital Improvement Grants (1992B) Federal Transit-Capital Investment Grants (1999B)
20.233	Border Enforcement Grants (2005)	20.501	Urban Mass Transportation Capital Improvement Loans (1970B) Deleted (1981B)
20.234	Safety Data Improvement Program (2006)	20.502	Urban Mass Transportation Grants for University Research and Training (1970B) Deleted (2005) Incorporated into 20.512 (1984B) Federal Transit Grants for University Research and Training (1992B) Deleted (2000B) Reinstated (2000U)
20.235	Commercial Motor Vehicle Operator Training Grants (2006)	20.503	Urban Mass Transportation Managerial Training Grants (1969B) Deleted (2005) Urban Mass Transportation Managerial Training (1970B) Urban Mass Transportation Managerial Training Grants (1971B) Federal Transit Managerial Training Grants (1992B) Deleted (2000B) Reinstated (2000U)
20.236	Thermal Imaging Inspection System Demonstration Project (2006)	20.504	Urban Mass Transportation Research, Development, and Demonstrations (1969B) Urban Mass Transportation Research, Development, and Demonstration Grants (1971B) Mass Transportation Technology (1974U) Split into 20.504, 20.506 (1974U) Consolidated into 20.512 (1984B)
20.237	Commercial Vehicle Information Systems and Networks (2006) Safety Data Improvement Program (2008)	20.505	Urban Mass Transportation Technical Studies Grants (1969B) Federal Transit Technical Studies Grants (1992B) Federal Transit-Metropolitan Planning Grants (1999B)
20.238	Commercial Drivers License Information System (2007)	20.506	Urban Mass Transportation Demonstration Grants (1974U) Split from 20.504 (1974U) Consolidated into 20.512 (1984B)
20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort (2006)	20.507	Urban Mass Transportation Capital and Operating Assistance Formula Grants (1975B) Federal Transit Capital and Operating Assistance Formula Grants (1992B) Federal Transit-Formula Grants (1999B)
20.300	High-Speed Ground Transportation (1967B) Transferred from the Department of Commerce (1967B) High-Speed Ground Transportation Research and Development (1970B) Consolidated into 20.304 (1974U)	20.508	Urban Mass Transportation Rail Passenger Service Assistance (1977B) Deleted (1979B)
20.301	Railroad Safety (1971B)	20.509	Public Transportation for Rural and Small Urban Areas (1979U2) Public Transportation for Nonurbanized Areas (1980U1) Formula Grants for Other Than Urbanized Areas (1999B)
20.302	Railroad Research (1973B) Consolidated into 20.304 (1974U)	20.510	Urban Mass Transportation Planning Methods Research and Development (1980B) Consolidated into 20.512 (1984B)
20.303	Grants-in-Aid for Railroad Safety (1974U) Grants-in-Aid for Railroad Safety-State Participation (1975B)	20.511	Human Resource Program (1984B)
20.304	Railroad Research and Development (1974U) Consolidated from 20.300, 20.302 (1974U) Deleted (1977U)	20.512	Urban Mass Transportation Technical Assistance (1984B) Deleted (2005)
20.305	Local Rail Service Continuation Payments (1976B) Local Rail Service Continuation Payments-Regional Program (1977B) Incorporated into 20.308 (1978B)		
20.306	Rail Property Acquisition and Modernization Grant Assistance (1976B) Incorporated into 20.305 (1977B)		
20.307	Transportation Test Center (1975U) Deleted (1983B)		
20.308	Local Rail Service Assistance-National Program (1977B) Local Rail Service Assistance (1978U) Local Rail Freight Assistance (1991U) Deleted (2000B)		
20.309	Railroad Rehabilitation and Improvement-Guarantee of Obligations (1977B) Deleted (1987B)		
20.310	Railroad Rehabilitation and Improvement-Redeemable Preference Shares (1977B) Railroad Rehabilitation and Improvement-Redeemable Preference Shares or Notes (1983U) Deleted (1986B)		
20.311	Railroad Labor/Management Cooperation Program (1987U) Deleted (1988B)		
20.312	High Speed Ground Transportation (1995B) High Speed Ground Transportation-Next Generation High Speed Rail Program (1998B)		
20.313	Railroad Research and Development (2000U)		
20.314	Railroad Development (2006)		
20.315	National Railroad Passenger Corporation Grants (2006)		
20.316	Railroad Rehabilitation and Improvement Financing Program (2007)		



	Consolidated from 20.504, 20.506, 20.510 (1984B)	20.763	Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (2008)
	Federal Transit Technical Assistance (1992B)	20.764	Hydrogen Storage Research and Development (2007)
20.513	Capital Assistance Program for Elderly and Handicapped Persons (1987U)	20.800	Construction-Differential Subsidies (1981U)
	Capital Assistance Program for Elderly Persons and Persons with Disabilities (1992B)		Transferred from 11.500 (1981U)
20.514	Transit Planning and Research (1993B)		Deleted (1990B)
	Public Transportation Research (2006)	20.801	Development and Promotion of Ports and Intermodal Transportation (1981U)
20.515	State Planning and Research (1994B)		Deleted (2008)
	Split from 20.514 (1994B)		Transferred from 11.501 (1981U)
20.516	Job Access-Reverse Commute (2000U)	20.802	Federal Ship Financing Guarantees (1981U)
20.518	Capital and Training Assistance Program for Over-the-Road Bus Accessibility (2000U)		Transferred from 11.502 (1981U)
20.519	Clean Fuels (2006)	20.803	Maritime War Risk Insurance (1981U)
20.521	New Freedom Program (2006)		Transferred from 11.503 (1981U)
20.522	Alternatives Analysis (2006)		Deleted (1985B)
20.600	State and Community Highway Safety (1971B)	20.804	Operating-Differential Subsidies (1981U)
	Consolidated from 20.207, 20.208, 20.210 (1971B)		Deleted (2004)
20.601	Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (1991U)		Transferred from 11.504 (1981U)
20.602	Motorcycle Helmets and Safety Belt Incentive Grants (1992B)	20.805	Ship Sales (1981U)
	Deleted (1995B)		Deleted (2005)
	Occupant Protection, Reinstated (2000U)		Transferred from 11.505 (1981U)
20.603	Federal Highway Safety Data Improvements Incentive Grants (2000U)	20.806	State Marine Schools (1981U)
20.604	Safety Incentive Grants for Use of Seatbelts (2000U)		State Maritime Schools (2006)
20.605	Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (2000U)		Transferred from 11.506 (1981U)
20.607	Alcohol Open Container Requirements (2004)	20.807	U.S. Merchant Marine Academy (1981U)
20.608	Minimum Penalties for Repeat Offenders for Driving While Intoxicated (2004)		Transferred from 11.507 (1981U)
20.609	Safety Belt Performance Grants (2006)	20.808	Capital Construction Fund (1981U)
20.610	State Traffic Safety Information System Improvement Grants (2008)		Transferred from 11.508 (1981U)
20.611	Incentive Grant Program to Prohibit Racial Profiling (2006)	20.809	Development and Promotion of Domestic Waterborne Transport Systems (1981U)
20.612	Incentive Grant Program to Increase Motorcycle Safety (2006)		Transferred from 11.509 (1981U)
20.613	Child Safety and Child Booster Seats Incentive Grants (2006)		Deleted (1985B)
20.614	National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (2006)	20.810	Supplementary Training (1981U)
20.700	Gas Pipeline Safety (1971U)		Transferred from 11.510 (1981U)
	Pipeline Safety Program Base Grants (2008)	20.811	Research and Development Assistance (1981U)
	Pipeline Safety (1987B)		Transferred from 11.511 (1981U)
20.701	University Transportation Centers Program (1992B)		Deleted (1988B)
	Number changed from 20.902 (1992B)	20.812	Construction Reserve Fund (1981U)
20.702	University Research Institutes Program (1993B)		Transferred from 11.512 (1981U)
	Deleted (1999B)	20.813	Maritime Security Fleet Program (1997B)
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants (1993B)	20.814	Assistance to Small Shipyards (2008)
20.704	RITA Hydrogen (2006)	20.900	Air Transportation-Consumer Affairs (1985B)
20.714	National Pipeline Mapping System (2000U)		Transferred from 26.002 (1985B)
20.720	State Damage Prevention Program Grants (2007)		Transportation-Consumer Affairs (1993U)
20.721	PHMSA Pipeline Safety Program One Call Grant (2008)	20.901	Payments for Essential Air Services (1985B)
20.750	Program of University Research (1973U)		Transferred from 26.003 (1985B)
	Deleted (1975U)	20.902	University Transportation Centers Program (1987U)
20.760	University Transportation Centers (2006)		Number changed to 20.701 (1992B)
20.761	Biobased Transportation Research (2008)		Student Training and Education Program (1993B)
20.762	Research Grants (2006)		Consolidated into 20.907 (1995B)
		20.903	Support Mechanisms for Disadvantaged Businesses (1993B)
		20.904	Disadvantaged Business Enterprises-Bonding Assistance Program (1993U)

- Deleted (2005)
- Bonding Assistance Program (1998U)
- 20.905 Disadvantaged Business Enterprises-Short Term Lending Program (1993U)
- 20.906 Hispanic Serving Institutions-Student Training and Education (1994B)  
Deleted (2004)  
Consolidated into 20.907 (2006)
- Hispanic Serving Institutions-Entrepreneurial Training and Technical Assistance (1998U)  
Split into 20.908 (2000U)
- 20.907 Entrepreneurial Training and Technical Assistance Program  
Deleted (2006)  
Consolidated from 20.902 (1995B)
- Historically Black Colleges and Universities-Entrepreneurial Training and Technical Assistance (1999B)  
Split into 20.908 (2000U)
- 20.908 Tribal Colleges-Entrepreneurial Training and Technical Assistance  
Deleted (2004)  
Split from 20.906, 20.907 (2000U)
- 20.910 Assistance to small and disadvantaged businesses (2007)
- 20.920 Transportation Statistics Research Grants (2000U)
- 20.930 Payments for Small community Air Service Development (2004)
- 20.931 Transportation Planning, Research and Education (2006)
- 64.129 Monthly Allowance for Certain Children of Vietnam Veterans (2004)
- 21.020 Community Development Financial Institutions Program (1998B)
- 21.021 Bank Enterprise Award Program (1998B)
- 21.051 Alcohol, Tobacco, and Firearms-Laboratory Analysis (1972U)  
Number changed from 21.001 (1972U)  
Deleted (1990B)
- 21.052 Alcohol, Tobacco, and Firearms-Training Assistance (1972U)  
Number changed to 16.012 (2004)  
Number changed from 21.002 (1972U)
- 21.053 Gang Resistance Education and Training (2000B)  
Number changed to 16.737 (2004)
- 21.100 Secret Service-Training Activities (1970B)  
Transferred to 97.015 (2003B)
- 21.200 Antidumping-Countervailing Duties (1971B)  
Antidumping Duties (1975B)  
Split into 21.200, 21.201 (1975B)  
Transferred to 11.106 (1980B)
- 21.201 Countervailing Duty on Imports (1975B)  
Split from 21.200 (1975B)  
Transferred to 11.107 (1980B)
- 21.300 State and Local Government Fiscal Assistance-General Revenue Sharing (1980B)  
State and Local Government Fiscal Assistance-Revenue Sharing (1985B)  
Deleted (1987B)

#### **DEPARTMENT OF THE TREASURY**

- Narcotics Law Enforcement Training (1967B)  
Deleted (1969B)  
Number changed from 21.052 (2004)  
Number changed from 21.052 (2004)
- 21.001 Alcohol, Tobacco, and Firearms-Laboratory Analysis (1970B)  
Number changed to 21.051 (1972U)
- 21.002 Assistance in Law Enforcement (1967B)  
Law Enforcement Training Assistance (1969B)  
Alcohol, Tobacco, and Firearms-Training Assistance (1970B)  
Number changed to 21.052 (1972U)
- 21.003 Taxpayer Assistance (1969B)  
Tax Information and Training (1970B)  
Taxpayer Service (1981B)  
Tax Information and Education (1972B)
- 21.004 Federal Tax Information for State Tax Officials (1972B)  
Incorporated from 21.005 (1987B)  
Exchange of Federal Tax Information With State Tax Agencies (1987B)
- 21.005 State Tax Model (1973U)  
Individual Tax Model (1978U)  
Incorporated into 21.004 (1987B)
- 21.006 Tax Counseling for the Elderly (1980U1)
- 21.007 Availability of Tax Information to Certain Welfare Agencies (1987B)  
Availability of Tax Information to Certain Agencies Administering Needs-Based Programs (1991B)  
Deleted (1999B)
- 21.008 Low-Income Taxpayer Clinics (1999B)

#### **ADVISORY COMMISSION ON INTERGOVERNMENTAL RELATIONS**

- 22.001 Intergovernmental Relations Advisory Service (1967B)  
Deleted (1974B)

#### **APPALACHIAN REGIONAL COMMISSION**

- Regional Economic Development Commissions (1969B)  
Split into individual Commissions (1970B)
- 17.807 Transition Assistance Program (2004)
- 23.001 Appalachian Regional Development (1969B)  
Split into 23.001, 23.002, 23.003, 23.004, 23.005, 23.006, 23.007, 23.008, 23.009, 23.010, 23.011, 23.012 (1970B)
- 23.002 Appalachia-Supplements to Federal Grant-in-Aid (1970B)  
Split from 23.001 (1970B)  
Appalachian Supplements to Federal Grant-in-Aid (Community Development) (1978B)  
Appalachian Supplements to Federal Grant-in-Aid (Area Development), Consolidated from 23.004, 23.005, 23.012, 23.013 (1996B)  
Appalachian Area Development (1999B)
- 23.003 Appalachian Development Highway System (1970B)  
Split from 23.001 (1970B)
- 23.004 Appalachian Health Demonstrations (1970B)  
Split from 23.001 (1970B)  
Appalachian Health Programs (1976B)  
Consolidated into 23.002 (1996B)
- 23.005 Appalachian Housing Fund (1970B)  
Split from 23.001 (1970B)  
Appalachian Housing Planning Loan (1975B)  
Appalachian Housing Planning Loan Fund (1975U)





- Research Reactor and Materials Assistance (1975B)  
Transferred to 81.011 (1978B)
- 24.012 Nuclear Education and Training-Medical Radioisotope Course (1970B)  
Deleted (1973B)
- 24.013 Nuclear Education and Training-Mobile Radioisotope Laboratory (1970B)  
Deleted (1974U)
- 24.014 Nuclear Education and Training-Nuclear Medical Technology Course (1970B)  
Deleted (1973B)
- 24.015 Nuclear Education and Training-Radioisotope Techniques Training Courses (1970B)  
Deleted (1973B)
- 24.016 Nuclear Education and Training-Reactor Fuel Cycle Assistance (1970B)  
Incorporated into 24.011 (1974B)
- 24.017 Nuclear Education and Training-Special Fellowships in Nuclear Science and Engineering (1970B)  
Deleted (1973B)
- 24.018 Nuclear Education and Training-Special Fellowships in Radiation Science and Protection (1970B)  
Nuclear Education and Training-Special Fellowships in Radiation Protection (1971B)  
Deleted (1973B)
- 24.019 Nuclear Education and Training-Summer Student Training (1970B)  
Nuclear Education and Training-Student Research Participation (1972B)  
Nuclear Education and Training-Student Research Participation-Laboratory Cooperative Program (1973U)  
Incorporated into 24.004 (1974B)
- 24.020 Nuclear Education and Training-Traineeships for Graduate Students in Nuclear Engineering (1970B)  
Deleted (1973B)  
Reinstated (1974B)  
Nuclear Science and Technology-Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Engineering (1974B)  
Nuclear Science and Technology-Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1974U)  
Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1975B)  
Traineeships for Graduate Students in Engineering Studies Related to Energy Conversion, Health and Safety, and Environmental Sciences and Engineering (1976B)  
Transferred to 81.020 (1978B)
- 24.021 Nuclear Education and Training-University Reactor Sharing (1970B)  
Incorporated into 24.011 (1974B)
- 24.022 Nuclear Education and Training-Used Nuclear-Type Equipment Grants (1970B)  
Nuclear Science and Technology-Used Nuclear-Type Equipment Grants (1974B)  
Used Nuclear-Type Equipment Grants (1975B)  
Transferred to 81.022 (1978B)
- 24.023 Nuclear Science Information (1967B)  
Nuclear Science and Technology-Literature and Information Services (1970B)  
Nuclear Science and Technology-Literature, Exhibits, and Other Information Services (1974B)  
Information Services-Exhibits, Publications, Reference, and Analysis (1975B)
- Information Services-Exhibits, Public Speakers, Publications, Reference, and Analysis (1975U)  
Transferred to 81.023 (1978B)
- 24.024 Nuclear Science and Technology-Research and Development (1969B)  
Research and Development in Nuclear, Solar, Geothermal, and Advanced Energy Systems, and Physical, Biomedical, and Environmental Sciences (1975B)  
Split into 24.024, 24.035 (1975B)  
Transferred/Incorporated into 81.037, 81.046, 81.049 (1978B)
- 24.025 Nuclear Science Lecture Demonstration for Secondary Schools (1970B)  
Deleted (1973B)
- 24.026 Payments in Lieu of Property Taxes (1970B)  
Transferred to 81.026 (1978B)
- 24.027 Radiation Control Training Assistance (1969B)  
Radiation Control-Training Assistance and Advisory Counseling (1970B)  
Transferred to 77.001 (1975B)
- 24.028 Radiological Safety Assistance (1967B)  
Radiological Emergency Assistance (1971B)  
Transferred to 81.028 (1978B)
- 24.029 Uranium Industry Workshops (1970B)  
Nuclear Industry Seminars (1972U)  
Transferred to 81.029 (1978B)
- 24.030 Work Experience (1970B)  
Transferred to 81.030 (1978B)
- 24.031 Nuclear Materials Safeguards Training (1970U)  
Incorporated into 24.007 (1973B)
- 24.032 Nuclear Education and Training-Instructional Activities (1973B)  
Consolidated from 24.006, 24.008 (1973B)  
Deleted (1973U)
- 24.033 Nuclear Science and Technology-Citizens' Workshops (1974B)  
Citizens' Workshops (1975B)  
Transferred to 81.033 (1978B)
- 24.034 Research and Development in Fossil Energy (1975B)  
Transferred from 15.307 (1975B)  
Transferred/Split into 81.037, 81.046 (1978B)
- 24.035 Research and Development in Energy Conservation (1975B)  
Split from 24.024 (1975B)  
Transferred to 81.035 (1978B)
- 24.036 Energy-Related Inventions (1976B)  
Transferred to 81.036 (1978B)
- CABINET COMMITTEE ON OPPORTUNITIES FOR SPANISH-SPEAKING PEOPLE**
- 25.001 Spanish Surnamed Communities Assistance (1969B)  
Spanish Surnamed Americans Assistance (1970B)  
Spanish-Speaking Americans Assistance (1970U)  
Deleted (1975B)
- CIVIL AERONAUTICS BOARD**
- Air Transport-Community and Consumer Services (1969B)  
Deleted (1970B)
- 26.001 Air Carrier Payments (1970B)

- Deleted (1981B)
- 26.002 Air Transportation-Consumer Complaints (1970U)  
Air Transportation-Consumer Affairs (1972B)  
Transferred to 20.900 (1985B)
- 26.003 Payments for Essential Air Services (1979B)  
Transferred to 20.901 (1985B)
- 26.004 Public Participation (1979B)  
Deleted (1980B)

**OFFICE OF PERSONNEL MANAGEMENT**

- 27.001 Opportunities for Federal Civil Service Employment (1967B)  
Federal Civil Service Employment (1970B)
- 27.002 Employment Assistance for Veterans (1969B)  
Federal Employment Assistance for Veterans (1970B)
- 27.003 Stay in School Campaign-Youth Opportunity (1967B)  
Youth Employment (1969B)  
Federal Employment for Disadvantaged Youth-Part-Time (1970B)  
Consolidated from 27.004 (1995B)  
Federal Student Temporary Employment Program (1996B)
- 27.004 Youth Summer Employment (1969B)  
Federal Employment for Disadvantaged Youth-Summer (1970B)  
Consolidated into 27.003 (1995B)
- 27.005 Federal Employment for the Handicapped (1970B)
- 27.006 Federal Summer Employment (1970B)
- 27.007 Personnel Management Assistance to State and Local Governments (1970B)  
Deleted (1971U)
- 27.008 Recruiting and Staffing Assistance to State and Local Governments (1970B)  
Intergovernmental Cooperation in Recruiting and Examining (1971U)  
Deleted (1984U)
- 27.009 Training Assistance to State and Local Governments (1970B)  
Deleted (1996U)
- 27.010 State Personnel Merit Systems-Technical Assistance (1971B)  
Transferred from 13.605 (1971B)  
State and Local Personnel Merit Systems and Other Technical Assistance (1978U)  
State and Local Merit Personnel Systems and Other Technical Assistance (1979U2)  
Deleted (1981U)
- 27.011 Intergovernmental Mobility of Federal, State, and Local Employees (1971U)
- 27.012 Intergovernmental Personnel Grants (1971U)  
Deleted (1981U)
- 27.013 Presidential Management Intern Program (1978B)

**COASTAL PLAINS REGIONAL COMMISSION**

- 28.001 Coastal Plains Regional Economic Development (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1981U)
- 28.002 Coastal Plains Technical and Planning Assistance (1975B)  
Deleted (1981U)
- 28.003 Coastal Plains Supplements to Federal Grant-in-Aid (1975B)

- Deleted (1981U)
- 28.004 Coastal Plains Regional Transportation (1977U)  
Deleted (1981U)
- 28.005 Coastal Plains Energy Demonstration Projects and Programs (1977U)  
Deleted (1981U)
- 28.007 Coastal Plains Health and Nutrition Demonstration Projects (1977U)  
Deleted (1981U)
- 28.008 Coastal Plains Education Demonstration Projects (1977U)  
Deleted (1981U)

**COMMISSION ON CIVIL RIGHTS**

- Job Discrimination-Reports (1969B)  
Deleted (1970B)
- 29.001 Civil Rights (1967B)  
Civil Rights Compliance and Information (1969B)  
Clearinghouse Services and Civil Rights Complaints (1970B)  
Clearinghouse Services, Civil Rights and Sex Discrimination Complaints (1973B)  
Clearinghouse Services, Civil Rights Discrimination Complaints (1981B)

**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

- Affirmative Action Program-Equal Employment Opportunity (1967B)  
Deleted (1970B)
- Equal Employment Opportunity Grants (1967B)  
Deleted (1970B)
- Job Discrimination-Reports (1969B)  
Deleted (1970B)
- 30.001 Job Discrimination-Investigation and Conciliation of Complaints (1969B)  
Employment Discrimination-Investigation, Conciliation and Litigation of Unlawful Employment Practices (1975B)  
Employment Discrimination-Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (1978B)  
Employment Discrimination-Title VII of the Civil Rights Act of 1964 (1986B)
- 30.002 Job Discrimination-Special Project Grants (1969B)  
Employment Discrimination-Special Project Grants and Contracts (1975B)  
Employment Discrimination-Special Project Contracts (1976B)  
Employment Discrimination-State and Local Anti-Discrimination Agency Contracts (1976U)  
Employment Discrimination-State and Local Fair Employment Practices Agency Contracts (1992B)
- 30.003 Job Discrimination-Technical Assistance to Employers, Unions, and Employment Agencies (1969B)  
Job Discrimination-Technical Assistance (1973B)  
Employment Discrimination-Technical Assistance (1975B)  
Deleted (1978B)
- 30.004 Employment Discrimination-Program for the Development of the Private Bar (1975U)  
Deleted (1977B)
- 30.005 Employment Discrimination-Project Grants and Demonstration Grants (1978B)  
Employment Discrimination-Private Bar Project and Demonstration Contracts (1979U2)  
Employment Discrimination-Private Bar Program (1981U)

- 30.006 Employment Discrimination-Voluntary Compliance by Public Employers (1978U)  
Employment Discrimination-Voluntary Compliance by Non-Federal Public Employers (1979U2)  
Employment Discrimination-Compliance Program for Non-Federal Public Employers (1980U1)  
Deleted (1982B)
- 30.007 Employment Discrimination Project Grants-Tribal Native Americans (1978U)  
Deleted (1979U2)
- 30.008 Employment Discrimination-Age Discrimination in Employment (1979U1)  
Transferred from 17.300 (1979U1)  
Consolidated from 30.012 (1995U)
- 30.009 Employment Discrimination Project Contracts-Indian Tribes (1979U2)
- 30.010 Employment Discrimination-Equal Pay Act (1979U2)  
Women's Bureau (2004)  
Employment Discrimination Equal Pay Act (2005)  
Employment Discrimination Equal Pay Act (2005)  
Transferred/Split from 17.303 (1979U2)  
Consolidated from 30.012 (1995U)
- 30.011 Employment Discrimination-Title I of The Americans with Disabilities Act, Investigations (1992B)  
Employment Discrimination-Title I of The Americans with Disabilities Act (1995B)  
Consolidated from 30.012 (1995U)
- 30.012 Employment Discrimination-Title I of The Americans with Disabilities Act, Technical Assistance (1992B)  
Consolidated into 30.008, 30.010, 30.011 (1995U)

#### **EXPORT-IMPORT BANK OF THE UNITED STATES**

- 31.001 Medium-Term Guarantees to Commercial Banks (1970B)  
Split into 31.002, 31.004, 31.005 (1971B)
- 31.002 Commerical Bank Export Credit Loans (1971B)  
Split from 31.001 (1971B)  
Deleted (1973B)
- 31.003 Export Credit Information Service for U.S. Commercial Banks (1971B)  
Deleted (1973B)
- 31.004 Export Financing-Direct Loans and Participation Financing (1971B)  
Split from 31.001 (1971B)  
Deleted (1973B)
- 31.005 Export Financing-Guarantees and Insurance (1971B)  
Split from 31.001 (1971B)  
Deleted (1973B)
- 31.006 Export Financing-Preliminary Commitments (1971B)  
Deleted (1973B)

#### **FARM CREDIT ADMINISTRATION**

- Banks for Agricultural Cooperatives (1967B)  
Deleted (1969B)
- Federal Land Banks-Farm Real Estate Loans (1967B)  
Deleted (1969B)
- Production Credit Associations-Agricultural Loans (1967B)  
Deleted (1969B)

#### **FEDERAL COMMUNICATIONS COMMISSION**

- 32.001 Communications-Information, Regulation, and Investigation of Complaints (1969B)  
Communications-Information and Investigation of Complaints (1972B)  
Communications Information and Assistance and Investigation of Complaints (1983U)

#### **FEDERAL MARITIME COMMISSION**

- 33.001 Shipping-Investigation of Complaints (1969B)  
Shipping-Dispute Resolution and Investigation of Complaints (2006)  
Shipping Investigation of Complaints (1997B)

#### **FEDERAL MEDIATION AND CONCILIATION SERVICE**

- 34.001 Labor Mediation and Conciliation (1969B)
- 34.002 Labor-Management Cooperation (1982B)  
Deleted Program no longer funded (2008)  
Deleted (1992B)  
Labor Management Cooperation (1993B)

#### **FEDERAL POWER COMMISSION**

- Fish Protection (1967B)  
Deleted (1969B)
- Flood Control (1967B)  
Deleted (1969B)
- Forestry, Tree Planting (1967B)  
Deleted (1969B)
- Recreation Resource Development (1967B)  
Deleted (1969B)
- Water Conservation Assistance (1967B)  
Deleted (1969B)
- Water Pollution Assistance (1967B)  
Deleted (1969B)
- 35.001 Water Resources Development (1967B)  
Deleted (1973B)
- 35.002 Beautification of Hydroelectric Projects (1967B)  
Wholesale Electric Power Service (1969B)  
Deleted (1973B)
- 35.003 Wholesale Natural Gas Service (1967B)  
Deleted (1973B)

#### **FEDERAL TRADE COMMISSION**

- 36.001 Consumer and Small Business Protection (1967B)  
Consumer and Business Protection (1970B)  
Fair Competition Counseling and Investigation of Complaints (1972B)
- 36.002 Public Rulemaking Participation (1976B)  
Deleted (1981U)

#### **FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES**

- 37.001 Claims Against the Government of Bulgaria (1970B)  
Deleted (1971B)
- 37.002 Claims Against the Government of Italy (1970B)  
Deleted (1971B)



- 37.003 Claims Against the Government of Rumania (1970B)  
Deleted (1971B)
- 37.004 Claims of Civilian American Citizens Interned in Southeast Asia (1970U)  
Deleted (1972B)
- 37.005 Claims of Prisoners of War in Vietnam (1970U)  
Deleted (1982B)
- 37.006 Claims of Civilian Internees in Vietnam (1973U)  
Deleted (1978B)
- 37.007 Second Hungarian Claims Program (1975B)  
Deleted (1977U)
- 37.008 German Democratic Republic Claims Program (1977U)  
Deleted (1981B)
- 37.009 Second China Claims Program (1979U1)  
Deleted (1981U)
- 37.010 Vietnam Claims Program (1981B)  
Deleted (1986B)
- 37.011 Second Czechoslovakian Claims Program (1982B)  
Deleted (1985B)
- 37.012 Ethiopian Claims Program (1986U)  
Deleted (1987U)

#### **FOUR CORNERS REGIONAL COMMISSION**

- 38.001 Four Corners Regional Economic Development (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1981U)
- 38.002 Four Corners Technical and Planning Assistance (1975B)  
Deleted (1981U)
- 38.003 Four Corners Supplements to Federal Grant-in-Aid (1975B)  
Deleted (1981U)
- 38.004 Four Corners Regional Transportation (1977U)  
Deleted (1981U)
- 38.005 Four Corners Energy Demonstration Projects and Programs (1977U)  
Deleted (1981U)
- 38.007 Four Corners Health and Nutrition Demonstration Projects (1977U)  
Deleted (1981U)

#### **GENERAL SERVICES ADMINISTRATION**

- Payments to Small Lead and Zinc Mines (1967B)  
Deleted (1969B)
- 39.001 Non-Military Procurement from Labor Surplus and Redevelopment Areas (1967B)  
Counseling on Doing Business with the Government (1969B)  
Business Services (1970B)
- 39.002 Disposal of Federal Surplus Real Property (1965B)
- 39.003 Donation of Federal Surplus Personal Property (1965B)
- 39.004 National Archives Reference Services (1969B)  
Transferred to 89.001 (1985B)
- 39.005 Audiovisual Support Services (1969B)  
National Audiovisual Center (1970B)  
Transferred to 89.002 (1985B)

- 39.006 National Historical Sources Grants (1969B)  
National Historical Publications Grants (1971B)  
National Historical Publications and Records Grants (1976B)  
Transferred to 89.003 (1985B)
- 39.007 Sale of Federal Surplus Personal Property (1965B)
- 39.008 Federal Information Center (1971B)  
Consolidated into 39.009 (2000B)
- 39.009 Consumer Product Information Index (1972B)  
Consumer Product Information Center (1973B)  
Consumer Information Center (1974B)  
Federal Consumer Information Center, Consolidated from 39.008 (2000B)  
Federal Citizen Information Center (2003B)
- 39.010 Continuity of Government and Management of Resources in Emergencies (1973U)  
Transferred from 50.001 (1973U)  
Deleted (1976B)  
Reinstated (1980B)  
State Participation in Federal Telpaks (1980B)  
Deleted (1980U2)
- 39.011 Election Reform Payments (2003B)
- 39.012 Public Buildings Service (2008)

#### **GOVERNMENT PRINTING OFFICE**

- 40.001 Government Publications-Depository Library Distribution (1969B)  
Depository Libraries for Government Publications (2004)  
Depository Libraries for Government Publications (1970B)
- 40.002 Government Publications-Sales to the Public (1969B)  
Government Publications Sales and Distribution (2004)  
Government Publications-Sales and Distribution (1970B)  
Government Publications Sales and Distribution (1992B)

#### **INTERSTATE COMMERCE COMMISSION**

- 41.001 Federal-State Highway Transportation Cooperative Economic Law Enforcement Agreements (1967B)  
Interstate Commerce-Cooperative Enforcement Agreements with States (1969B)  
Deleted (1995B)
- 41.002 Interstate Commerce-Investigation of Complaints (1969B)  
Deleted (1996B)

#### **LIBRARY OF CONGRESS**

- 42.001 Talking Book Services Program (1965B)  
Books for the Blind and Physically Handicapped (2005)  
Books and Talking Books for the Blind and the Physically Handicapped (1967B)  
Books for the Blind and Physically Handicapped (1969B)
- 42.002 Copyright Service (1969B)
- 42.003 Distribution of Library of Congress Catalog Cards (1969B)  
Deleted (2005)  
Distribution of Library of Congress Cataloging (1976B)
- 42.004 Library of Congress Photoduplication Service (1969B)  
Deleted (1978U)
- 42.005 Library of Congress Publications (1967B)
- 42.006 Library of Congress Reference and Bibliographic Services (1969B)

- Deleted (2005)
- Library of Congress Research and Reader Services (1977B)
- Library of Congress Research Services (1979U2)
- Library of Congress Constituent and Collection Services (1990B)
- Library of Congress-Library Services (1996B)
- 42.007 Research and Referral Services in Science and Technology (1969B)
- Deleted (2005)
- Reference and Referral Services in Science and Technology (1977B)
- Reference Services in Science and Technology (1981B)
- Reference Services in Science, Technology and Business (2000B)
- 42.008 Reference and Consultation Services in Preservation, Restoration, and Protection of Library Materials (1971B)
- Deleted (1978U)
- Semiconductor Chip Protection Service (1987B)
- 42.009 Vessel Hull Design Protection Service (2004)

**NATIONAL AERONAUTICS AND SPACE  
ADMINISTRATION**

- Assistance for University Research and Training Activities (1969B)
- Deleted (1970B)
- 43.001 Space and Aeronautics Education and Information Services (1969B)
- Space Science Education Project (1970B)
- Aerospace Education Services Project (1977B)
- Aerospace Education Services Program (1991U)
- 43.002 Technology Utilization (1967B)
- Transferred to Private Sector of Aerospace Technology (1969B)
- Technology Utilization (1970B)
- Technology Transfer (1978U)
- Technology Utilization (1984B)
- Technology Transfer (1993U)

**NATIONAL CREDIT UNION ADMINISTRATION**

- 44.001 Federal Credit Union Charter, Examination, and Supervision (1970B)
- Credit Union Charter, Examination, Supervision, and Insurance (1971B)
- 44.002 Community Development Credit Union Revolving Loan Fund
- Community Development Revolving Loan Fund Program for Credit Unions (2005)
- Community Development Revolving Loan Fund Program for Credit Unions (2005)
- Number changed from 13.794 (1987B)
- Community Development Revolving Loan Program for Credit Unions (1988B)

**NATIONAL ENDOWMENT FOR THE ARTS**

- Grants for Progress in the Arts (1967B)
- Split into 45.001 - 45.009 (1970B)
- Progress in the Humanities (1969B)
- Split into 45.100 - 45.106 (1970B)
- 45.001 Promotion of the Arts-Architecture and Design (1970B)
- Promotion of the Arts-Architecture and Environmental Arts (1971U)
- Promotion of the Arts-Architecture, Planning, and Design (1978B)
- Promotion of the Arts-Design Arts (1979U2)
- Consolidated into 45.024 (1996B)

- 45.002 Promotion of the Arts-Dance (1970B)
- Consolidated into 45.024 (1996B)
- 45.003 Promotion of the Arts-Education (1970B)
- Promotion of the Arts-Artists-in-Schools (1979U2)
- Promotion of the Arts-Artists-in-Education (1981B)
- Promotion of the Arts-Arts in Education (1986U)
- Consolidated into 45.024, 45.025 (1996B)
- 45.004 Promotion of the Arts-Literature (1970B)
- Consolidated into 45.024 (1996B)
- 45.005 Promotion of the Arts-Music (1970B)
- Split into 45.005, 45.014 (1978U)
- Consolidated into 45.024 (1996B)
- 45.006 Promotion of the Arts-Public Media (1970B)
- Promotion of the Arts-Media Arts: Film/Radio/Television (1977B)
- Consolidated into 45.024 (1996B)
- 45.007 Promotion of the Arts-State and Community Operations (1970B)
- Promotion of the Arts-Federal-State Partnership (1973B)
- Promotion of the Arts-State Program/Partnership Coordination (1980B)
- Promotion of the Arts-State Programs/Partnership Coordination (1982B)
- Promotion of the Arts-Public Partnership (1983B)
- Promotion of the Arts-State Programs (1984B)
- Promotion of the Arts-States Program (1989U)
- Promotion of the Arts-State and Regional Program (1992B)
- Consolidated into 45.025 (1996B)
- 45.008 Promotion of the Arts-Theatre (1970B)
- Promotion of the Arts-Theater (1984B)
- Consolidated into 45.024 (1996B)
- 45.009 Promotion of the Arts-Visual Arts (1970B)
- Consolidated into 45.024 (1996B)
- 45.010 Promotion of the Arts-Expansion Arts (1971U)
- Consolidated into 45.024, 45.025 (1996B)
- 45.011 Promotion of the Arts-Special Projects (1972B)
- Split into 45.011, 45.015 (1978U)
- Promotion of the Arts-Internship (Special Projects) (1978U)
- Promotion of the Arts-Special Projects (1979B)
- Split into 45.011, 45.020 (1980B)
- Promotion of the Arts-Inter-Arts (1980U1)
- Promotion of the Arts-Presenting and Commissioning (1992B)
- Promotion of the Arts-Presenting (1995B)
- Consolidated into 45.024, 45.025 (1996B)
- 45.012 Promotion of the Arts-Museums (1972B)
- Consolidated into 45.024 (1996B)
- 45.013 Promotion of the Arts-Challenge Grants (1977U)
- Split into 45.013, 45.022 (1983B)
- Consolidated into 45.024 (1996B)
- 45.014 Promotion of the Arts-Opera and Musical Theatre (1978U)
- Split from 45.005 (1978U)
- Number changed to 45.015 (1979U2)
- Promotion of the Arts-Folk Arts (1980B)
- Promotion of the Arts-Opera and Musical Theatre (1980U1)

- Promotion of the Arts-Opera and Musical Theater (1984B)  
 Promotion of the Arts-Opera-Musical Theater (1987B)  
 Consolidated into 45.024 (1996B)
- 45.015 Promotion of the Arts-Folk Arts (1978U)  
 Split from 45.011 (1978U)  
 Number changed to 45.014 (1979U2)  
 Promotion of the Arts-Opera and Musical Theatre (1980B)  
 Promotion of the Arts-Folk Arts (1980U1)  
 Promotion of the Arts-Folk and Traditional Arts (1995B)  
 Consolidated into 45.024, 45.025 (1996B)
- 45.020 Promotion of the Arts-National Endowment Fellowship Program (1980B)  
 Split from 45.011 (1980B)  
 Number changed to 45.021 (1980B)
- 45.021 Promotion of the Arts-Policy, Planning and Research (1983B)  
 Number changed from 45.020 (1983B)  
 Promotion of the Arts-Fellowship Program for Arts Management (1984B)  
 Promotion of the Arts-Arts Management Fellowship Program (1985)  
 Promotion of the Arts-Arts Administration Fellows Program (1987U)  
 Deleted (1996B)
- 45.022 Promotion of the Arts-Advancement Grants  
 Split from 45.013 (1983B)  
 Consolidated into 45.024 (1996B)
- 45.023 Promotion of the Arts-Test Program of Support for Local Arts Agencies (1983U)  
 Promotion of the Arts-Locals Program (1989U)  
 Promotion of the Arts-Local Arts Agencies Program (1992U)  
 Consolidated into 45.024, 45.025 (1996B)
- 45.024 Promotion of the Arts-Grants to Organizations and Individuals  
 Consolidated from 45.001 - 45.006, 45.008 - 45.015, 45.022, 45.023 (1996B)
- 45.025 Promotion of the Arts-Partnership Agreements  
 Consolidated from 45.003, 45.007, 45.010, 45.011, 45.015, 45.023 (1996B)
- 45.026 Promotion of the Arts-Leadership Initiatives (1996B)  
 Deleted (2004)
- 45.027 Promotion of the Arts-Challenge America Grants (2001B)  
 Deleted (2003)
- Promotion of the Humanities-Media Humanities Projects (1980B)  
 Promotion of the Humanities-Humanities Projects in Media (1983U)  
 Consolidated into 45.164 (1996B)
- 45.105 Promotion of the Humanities-Research and Publication (1970B)  
 Promotion of the Humanities-Research Grants (1971U)  
 Promotion of the Humanities-Research Grants for Junior College Teachers (1974U)  
 Promotion of the Humanities-General Research Program (1976B)  
 Split into 45.140, 45.141 (1979U1)
- 45.106 Promotion of the Humanities-Senior Fellowships (1970B)  
 Consolidated into 45.118 (1974U)
- 45.107 Promotion of the Humanities-Fellowships for Guided Study in Selected Fields (1970U)  
 Number changed from 45.100 (1970U)  
 Promotion of the Humanities-Fellowships in Selected Fields (1973B)  
 Consolidated into 45.118, 45.119 (1974U)
- 45.108 Promotion of the Humanities-Fellowships for Junior College Teachers (1970U)  
 Promotion of the Humanities-Fellowships and Summer Stipends for Junior College Teachers (1973B)  
 Consolidated into 45.118, 45.119, 45.121 (1974U)
- 45.109 Promotion of the Humanities-Fellowships for the Professions (1971U)  
 Promotion of the Humanities-Fellowships and Stipends for the Professions (1976B)  
 Split into 45.109, 45.134 (1978B)  
 Promotion of the Humanities-Fellowships for Journalists (1982B)  
 Deleted (1983B)
- 45.110 Promotion of the Humanities-Education Planning and Development (1971U)  
 Promotion of the Humanities-Education Planning, Program, and Development (1973B)  
 Promotion of the Humanities-Education Pilot, Program, and Development (1976B)  
 Promotion of the Humanities-Education Pilot and Development Grants (1976U)  
 Split into 45.138, 45.139 (1979B)
- 45.111 Promotion of the Humanities-Education Projects (1971U)  
 Promotion of the Humanities-Higher Education Projects (1976U)  
 Split into 45.111, 45.127 (1976U)  
 Promotion of the Humanities-Higher Education/Regional and National Grants (1979U2)  
 Promotion of the Humanities-Exemplary Projects, Nontraditional Programs, and Teaching Materials (1983B)  
 Promotion of the Humanities-Exemplary Projects in Undergraduate and Graduate Education and Nontraditional Programs and Teaching Materials (1983U)  
 Promotion of the Humanities-Exemplary Projects and Humanities Programs for Nontraditional Learners (1984B)  
 Consolidated into 45.150 (1987U)

## **NATIONAL ENDOWMENT FOR THE HUMANITIES**

- Consolidated into program 45.024 (2003B)
- 45.100 Promotion of the Humanities-Afro-American Fellowships (1970B)  
 Number changed to 45.107 (1970U)
- 45.101 Promotion of the Humanities-Education (1970B)  
 Deleted (1971U)
- 45.102 Promotion of the Humanities-Fellowships and Summer Stipends for Younger Humanists (1970B)  
 Consolidated into 45.118, 45.121 (1974U)
- 45.103 Promotion of the Humanities-Fellowships-Faculty Development Grants (1970B)  
 Incorporated into 45.101 (1971B)
- 45.104 Promotion of the Humanities-Public Programs (1970B)  
 Promotion of the Humanities-Film/TV Grants (1973B)  
 Promotion of the Humanities-Media Grants (1974B)
- 45.112 Promotion of the Humanities-Museum Personnel Development (1971U)  
 Consolidated into 45.125 (1976B)
- 45.113 Promotion of the Humanities-Regional Projects (1971U)  
 Promotion of the Humanities-Special Projects (1973B)  
 Promotion of the Humanities-Program Development (1974U)  
 Promotion of the Humanities-Public Program Development (1975U)  
 Promotion of the Humanities-Program Development (1979B)  
 Promotion of the Humanities-Special Projects: Program Development (1983U)



- Promotion of the Humanities-Special Projects: Humanities Programs for Adults (1984B)  
Promotion of the Humanities-Humanities Projects for Adults (1985B)  
Promotion of the Humanities-Public Humanities Projects (1986B)  
Promotion of the Humanities-Special Projects (1994U)  
Consolidated into 45.164 (1996B)
- 45.114 Promotion of the Humanities-Interpretive Museum Exhibitions (1972U)  
Promotion of the Humanities-Interpretive Museum Exhibitions and Community Education Programs (1974B)  
Promotion of the Humanities-Interpretive Exhibitions and Community Education Programs (1974U)  
Consolidated into 45.125 (1976B)
- 45.115 Promotion of the Humanities-Youth Grants in the Humanities (1972U)  
Promotion of the Humanities-Youth Programs (1976U)  
Promotion of the Humanities-Youthgrants (1978B)  
Split into 45.115, 45.135 (1978B)  
Promotion of the Humanities-Youth Grants (1983B)  
Promotion of the Humanities-Special Projects: Younger Scholars (1983U)  
Promotion of the Humanities-Special Projects: Humanities Programs for Youth/Younger Scholars (1984B)  
Promotion of the Humanities-Humanities Projects for Youth/Younger Scholars (1985B)  
Promotion of the Humanities-Younger Scholars (1985U)  
Deleted (1995B)
- 45.116 Promotion of the Humanities-Summer Seminars for College Teachers (1973U)  
Consolidated into 45.163 (1996B)
- 45.117 Promotion of the Humanities-Cultural Institutions (1974U)  
Incorporated/Split into 45.125, 45.137 (1979B)  
Reinstated/Split from 45.125, 45.137 (1979U1)  
Incorporated/Split into 45.125, 45.137 (1980B)
- 45.118 Promotion of the Humanities-Fellowships for Independent Study and Research (1974U)  
Consolidated from 45.102, 45.106, 45.107, 45.108 (1974U)  
Consolidated into 45.136 (1978U)
- 45.119 Promotion of the Humanities-Fellowships in Residence for College Teachers (1974U)  
Consolidated from 45.107, 45.108 (1974U)  
Consolidated into 45.136 (1978U)
- 45.120 Promotion of the Humanities-National Humanities Institutes (1974U)  
Promotion of the Humanities-Humanities Institutes (1976U)  
Incorporated into 45.111 (1979B)
- 45.121 Promotion of the Humanities-Summer Stipends (1974U)  
Consolidated from 45.102, 45.108 (1974U)  
Consolidated from 45.152 (1992U)  
Consolidated into 45.160 (1996B)
- 45.122 Promotion of the Humanities-Fellowships at Centers for Advanced Study (1975B)  
Promotion of the Humanities-Regnants/Centers for Advanced Study (1985U)  
Promotion of the Humanities-Centers for Advanced Study (1990B)  
Promotion of the Humanities-Institutional Programs and Resources (1994U)  
Promotion of the Humanities-Institutional Programs (1995U)  
Consolidated into 45.161 (1996B)
- 45.123 Promotion of the Humanities-National Board of Consultants (1975B)  
Promotion of the Humanities-Consultant Grant Program (1978U)  
Consolidated into 45.150 (1983B)
- 45.124 Promotion of the Humanities-Centers of Research (1976B)  
Promotion of the Humanities-Research Collections: Development, Access and Use (1977B)  
Promotion of the Humanities-Research Collections (1978U)  
Promotion of the Humanities-Research Resources (1979U2)  
Promotion of the Humanities-Research Resource, Organization and Improvement Grants (1980U2)  
Promotion of the Humanities-Research Resources (1981B)  
Promotion of the Humanities-Research Resources-Organization and Improvement Grants (1982B)  
Promotion of the Humanities-Research Resources/Access Grants (1983U)  
Promotion of the Humanities-Reference Works/Access Grants (1985B)  
Promotion of the Humanities-Reference Materials/Access Grants (1985U)  
Promotion of the Humanities-Reference Materials/Guides (1991U)  
Consolidated into 45.145 (1992B)
- 45.125 Promotion of the Humanities-Interpretive Museum Exhibitions and Interpretive Programs (1976B)  
Consolidated from 45.112, 45.114 (1976B)  
Promotion of the Humanities-Museums and Historical Organizations Program (1977B)  
Promotion of the Humanities-Museums and Historical Organizations Humanities Projects (1980B)  
Promotion of the Humanities-Humanities Projects in Museums and Historical Organizations (1981B)  
Consolidated into 45.164 (1996B)
- 45.126 Promotion of the Humanities-Research Materials (1976B)  
Split into 45.145, 45.146, 45.147 (1980B)
- 45.127 Promotion of the Humanities-Elementary and Secondary Education Program (1976U)  
Split from 45.111 (1976U)  
Promotion of the Humanities-Instruction in Elementary and Secondary Schools (1983B)  
Promotion of the Humanities-Humanities Instruction in Elementary and Secondary Schools (1984B)  
Consolidated from 45.155 (1994U)  
Consolidated into 45.162, 45.163 (1996B)
- 45.128 Promotion of the Humanities-Planning and Analysis (1977B)  
Promotion of the Humanities-Planning and Assessment Studies (1977U)  
Split into 45.128, 45.131, 45.133 (1977U)  
Promotion of the Humanities-Planning and Assessment Studies Program (1980B)  
Promotion of the Humanities-Humanities Studies Program (1984U)  
Deleted (1985U)
- 45.129 Promotion of the Humanities-State-Based Program (1977B)  
Promotion of the Humanities-State Programs (1977U)  
Promotion of the Humanities-Federal-State Partnership (1995B)  
Promotion of the Humanities-Federal/State Partnership (1997B)
- 45.130 Promotion of the Humanities-Challenge Grant Program (1977U)  
Promotion of the Humanities-Challenge Grants Program (1980U2)  
Promotion of the Humanities-Challenge Grants (1987B)
- 45.131 Promotion of the Humanities-Special Projects (1977U)  
Split from 45.128 (1977U)  
Deleted (1981U)

- 45.132 Promotion of the Humanities-Research Publications (1977U)  
Promotion of the Humanities-Research Materials: Publications (1980B)  
Promotion of the Humanities-Research Resources/Publications (1983U)  
Promotion of the Humanities-Basic Research/Publications (1985B) 45.138 Promotion of the Humanities-Humanities Projects in Libraries (1985B)  
Promotion of the Humanities-Humanities Projects in Libraries and Archives (1988B)  
Consolidated into 45.164 (1996B)
- Promotion of the Humanities-Texts/Publication Subvention (1985U)  
Promotion of the Humanities-Publication Subvention (1992B)  
Promotion of the Humanities-Subventions (1992U)  
Promotion of the Humanities-Scholarly Publications (1993U)  
Consolidated from 45.146, 45.147 (1993U)  
Consolidated into 45.161 (1996B)
- 45.133 Promotion of the Humanities-Science, Technology and Human Values (1977U)  
Split from 45.128 (1977U)  
Promotion of the Humanities-Humanities, Science, and Technology (1983B)  
Promotion of the Humanities-Basic Research/Humanities, Science and Technology (1984B)  
Promotion of the Humanities-Interpretive Research/Humanities, Science and Technology (1985U)  
Promotion of the Humanities-Interpretive Research/Humanities, Science, and Technology (1992B)  
Consolidated into 45.140 (1993U) 45.139 Promotion of the Humanities-Higher Education Pilot Grants (1979B)  
Split from 45.110 (1979B)  
Promotion of the Humanities-Education Pilot Grants (1979U1)  
Consolidated into 45.150 (1983B)
- 45.134 Promotion of the Humanities-Research Development (1978B)  
Split from 45.109 (1978B)  
Promotion of the Humanities-Research Conferences (1979B)  
Promotion of the Humanities-Basic Research/Research Conferences (1984B)  
Promotion of the Humanities-Regrants/Research Conferences (1985U)  
Promotion of the Humanities-Regrants Conferences (1986U)  
Promotion of the Humanities-Regrants/Conferences (1987B)  
Promotion of the Humanities-Conferences (1990B)  
Consolidated into 45.140 (1993U) 45.140 Promotion of the Humanities-Basic Research (1979U1)  
Split from 45.105 (1979U1)  
Split into 45.140, 45.148 (1980U2)  
Promotion of the Humanities-Project Research (1983U)  
Promotion of the Humanities-Basic Research/Project Research (1984B)  
Promotion of the Humanities-Interpretive Research/Projects (1985U)  
Promotion of the Humanities-Interpretive Research/Collaborative Projects (1990U)  
Promotion of the Humanities-Interpretive Research Program (1993B)  
Consolidated from 45.133, 45.134 (1993U)  
Consolidated into 45.161 (1996B)
- 45.135 Promotion of the Humanities-NEH Youth Projects (1978B)  
Split from 45.115 (1978B)  
Promotion of the Humanities-Youth Projects (1979U1)  
Promotion of the Humanities-Special Projects: Humanities Programs for Youth/Youth Projects (1984B)  
Promotion of the Humanities-Humanities Projects for Youth/Youth Projects (1985B)  
Promotion of the Humanities-Humanities Projects for Youth (1985U)  
Promotion of the Humanities-Projects for Youth, Incorporated into 45.104, 45.125, 45.133, 45.137 (1986B) 45.141 Promotion of the Humanities-Regional and Local History (1979U1)  
Split from 45.105 (1979U1)  
Promotion of the Humanities-State, Local, and Regional Studies (1979U2)  
Promotion of the Humanities-Regional Studies (1983B)  
Incorporated into 45.140 (1983U)
- 45.136 Promotion of the Humanities-NEH Fellowships, Categories A, B, and C (1978U)  
Consolidated from 45.118, 45.119 (1978U)  
Promotion of the Humanities-Category A, B, and C (1979U1)  
Split into 45.142, 45.143, 45.144 (1980B) 45.142 Promotion of the Humanities-Fellowships for Independent Study and Research (1980B)  
Split from 45.136 (1980B)  
Promotion of the Humanities-Fellowships for University Teachers (1986B)  
Consolidated into 45.160 (1996B)
- 45.137 Promotion of the Humanities-Public Library Program (1979B)  
Split from 45.117 (1979B)  
Promotion of the Humanities-Division of Public Programs, Libraries Humanities Projects (1979U2)  
Promotion of the Humanities-Division of Public Programs, Humanities Projects in Libraries (1982B)  
Promotion of the Humanities-Humanities Projects in Libraries (1983B)  
Promotion of the Humanities-Special Projects: Humanities Projects in Libraries (1984B) 45.143 Promotion of the Humanities-Fellowships for College Teachers (1980B)  
Split from 45.136 (1980B)  
Promotion of the Humanities-Fellowships for College Teachers (1985U)  
Promotion of the Humanities-Fellowships for College Teachers and Independent Scholars (1986B)  
Consolidated into 45.160 (1996B)
- 45.144 Promotion of the Humanities-Residential Fellowships for College Teachers (1980B)  
Split from 45.136 (1980B)  
Deleted (1982B) 45.145 Promotion of the Humanities-Research Materials: Tools and Reference Works (1980B)  
Split from 45.126 (1980B)  
Promotion of the Humanities-Research Materials/Tools and Reference Works (1980U2)  
Promotion of the Humanities-Reference Works/Tools (1983U)  
Promotion of the Humanities-Reference Materials/Tools (1985U)

- Promotion of the Humanities-Reference Materials (1992B)  
Consolidated from 45.124 (1992B)  
Consolidated into 45.149 (1996B)
- 45.146 Promotion of the Humanities-Research Materials: Editions (1980B)  
Split from 45.126 (1980B)  
Promotion of the Humanities-Research Materials/Editions (1980U1)  
Promotion of the Humanities-Reference Works/Editions (1983U)  
Promotion of the Humanities-Texts/Editions (1985U)  
Promotion of the Humanities-Editions (1992B)  
Consolidated into 45.132 (1993U)
- 45.147 Promotion of the Humanities-Research Materials: Translations (1980B)  
Split from 45.126 (1980B)  
Promotion of the Humanities-Research Materials/Translations (1980U2)  
Promotion of the Humanities-Reference Works/Translations (1983U)  
Promotion of the Humanities-Texts/Translations (1985U)  
Promotion of the Humanities-Translations (1992B)  
Consolidated into 45.132 (1993U)
- 45.148 Promotion of the Humanities-Intercultural Research (1980U2)  
Split from 45.140 (1980U2)  
Promotion of the Humanities-Intercultural Research Program (1981U)  
Promotion of the Humanities-Basic Research/Intercultural Research Program (1984B)  
Promotion of the Humanities-Research in Selected Areas/Intercultural Research Program (1985B)  
Promotion of the Humanities-Regrants Program/International Research (1985U)  
Promotion of the Humanities-International Research (1990B)  
Deleted (1994B)
- 45.149 Promotion of the Humanities-Research Resources Conservation and Preservation Grants (1980U2)  
Promotion of the Humanities-Research Resources/Preservation Grants (1983U)  
Promotion of the Humanities-Office of Preservation (1985B)  
Promotion of the Humanities-Division of Preservation and Access (1992B)
- 45.150 Promotion of the Humanities-Central Disciplines in Undergraduate Education (1983B)  
Promotion of the Humanities-Higher Education in the Humanities (1987U)  
Consolidated from 45.155 (1994U)  
Consolidated into 45.162, 45.163 (1996B)
- 45.151 Promotion of the Humanities-Summer Seminars for Secondary School Teachers (1983B)  
Consolidated into 45.163 (1996B)
- 45.152 Promotion of the Humanities-Travel to Collections (1983U)  
Promotion of the Humanities-Basic Research/Travel to Collections (1984B)  
Promotion of the Humanities-Travel to Collections (1985U)  
Consolidated into 45.121 (1992U)
- 45.153 Promotion of the Humanities-Regrants Program/Selected Areas (1986B)  
Promotion of the Humanities-Selected Areas (1990B)  
Deleted (1992B)
- 45.154 NEH/Reader's Digest Teacher-Scholar Program (1988B)  
NEH Teacher-Scholar Program (1991B)  
Promotion of the Humanities-NEH Teacher-Scholar Program (1991U)
- Promotion of the Humanities-NEH/Reader's Digest Teacher-Scholar Program (1992B)  
Promotion of the Humanities-NEH/Teacher-Scholar Program (1993U)  
Deleted (1994U)
- 45.155 Foreign Language Education (1991B)  
Promotion of the Humanities-Foreign Language Education (1991U)  
Consolidated into 45.127, 45.150 (1994U)
- 45.156 Promotion of the Humanities-Study Grants for College and University Teachers (1992B)  
Promotion of the Humanities-Study Grants for College Teachers (1993U)  
Deleted (1995B)
- 45.157 Promotion of the Humanities-Dissertation Grants (1992U)  
Deleted (1996B)
- 45.158 Leadership Opportunity in Science and Humanities Education (1993B)  
Promotion of the Humanities-Leadership Opportunity in Science and Humanities Education (1994U)  
Promotion of the Humanities-Integrating Undergraduate Education (1995B)  
Promotion of the Humanities-Integrating Undergraduate Education (1995U)  
Consolidated into 45.162 (1996B)
- 45.160 Promotion of the Humanities-Fellowships and Stipends  
Consolidated from 45.121, 45.142, 45.143 (1996B)
- 45.161 Promotion of the Humanities-Collaborative Research  
Consolidated from 45.122, 45.132, 45.140 (1996B)  
Promotion of the Humanities-Research (1997B)
- 45.162 Promotion of the Humanities-Education Development and Demonstration  
Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development (2004)  
Consolidated from 45.127, 45.150, 45.158 (1996B)
- 45.163 Promotion of the Humanities-Seminars and Institutes  
Promotion of the Humanities-Professional Development (2004)  
Consolidated from 45.116, 45.127, 45.150, 45.151 (1996B)
- 45.164 Promotion of the Humanities-Public Programs  
Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)
- 45.166 Promotion of the Humanities-Extending the Reach Grants to Underserved Areas (2000B)  
Deleted (2003)  
Consolidated into programs 45.164 and 45.149 (2003B)
- 45.167 Promotion of the Humanities-Extending the Reach Grants to Presidentially-Designated Minority Institutions (2000B)  
Deleted (2004)
- 45.168 Promotion of the Humanities-We the People (2004)
- 45.169 Promotion of the Humanities-Digital Humanities Initiative (2006)  
Promotion of the Humanities-Office of Digital Humanities (2008)

## FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES

- 45.201 Arts and Artifacts Idemnity (1976U)
- ### INSTITUTE OF MUSEUM AND LIBRARY SERVICES
- 45.301 Institute of Museum Services (1982B)  
Museum for America Grants (2004)  
Museums for America (2006)  
Transferred from 84.115 (1982B)



Institute of Museum and Library Services (1997B)  
 Split into 45.302, 45.303, 45.304, 45.305, 45.306 (1998B)  
 Institute of Museum and Library Services-General Operating Support (1998B)  
 Institute of Museum and Library Services (2000B)

45.302 Museum Assessment Program  
 Split from 45.301 (1998B)

45.303 Conservation Project Support  
 Split from 45.301 (1998B)

45.304 Conservation Assessment Program  
 Split from 45.301 (1998B)

45.305 Professional Services Program  
 Split from 45.301 (1998B)  
 Consolidated into 45.312 (2001B)

45.306 Museum Leadership Initiatives  
 Split from 45.301 (1998B)  
 Consolidated into 45.312 (2001B)

45.307 21st Century Museum Professionals (2005)

45.308 Native American/Native Hawaiian Museum Services Program (2005)

45.309 Museum Grants for African American History and Culture (2006)

45.310 State Library Program (1998B)  
 Grants to States (2006)

45.311 Native American Library Services (1998B)  
 Native American and Native Hawaiian Library Services (2004)

45.312 Institute of Museum and Library Services-National Leadership Grants (1998B)  
 National Leadership Grants (2004)

45.313 Institute of Museum and Library Services-Recruiting and Educating Librarians for the 21st Century (2003B)  
 Librarians for the 21st Century (2004)  
 Librarians for the 21st Century (2004)  
 Laura Bush 21st Century Librarian Program (2006)

## **NATIONAL LABOR RELATIONS BOARD**

46.001 Labor-Management Relations (1969B)

## **NATIONAL SCIENCE FOUNDATION**

Science Research Support Activities (1969B)  
 Deleted (1970B)

47.001 Antarctic Research (1970B)  
 Polar Research (1970U)  
 Polar Research Programs (1971B)  
 Consolidated into 47.050 (1976B)

47.002 Biological Sciences Research Project Support (1970B)  
 Consolidated into 47.047 (1975B)

47.003 Computers Activities in Education and Research (1969B)  
 Computers-Research and Educational Activities (1970B)  
 Computing Activities in Education and Research (1971B)  
 Computing Activities (1973B)  
 Computer Research (1974B)  
 Consolidated into 47.047 (1975B)

47.004 Departmental Science Development (1970B)  
 Deleted (1971B)

47.005 Graduate Education in Science (1967B)  
 Doctoral Dissertation Research in the Social Sciences (1970B)  
 Doctoral Dissertation Research (1971B)  
 Consolidated into 47.047 (1975B)

47.006 Engineering Sciences Research Initiation Grants (1970B)  
 Engineering Research Initiation Grants (1973B)  
 Consolidated into 47.047 (1975B)

47.007 Engineering Sciences Research Project Support (1970B)  
 Engineering Research Project Support (1973B)  
 Consolidated into 47.047 (1975B)

47.008 Environmental Sciences Research Project Support (1970B)  
 Consolidated into 47.047 (1975B)

47.009 Fellowships and Traineeship Program (1970B)  
 Graduate Fellowship Programs (1973B)  
 Graduate Student Support (1974B)  
 Science Manpower Improvement (1976B)  
 Scientific Personnel Improvement (1978B)  
 Graduate Research Fellowships (1983B)  
 Consolidated into 47.076 (1992B)

47.010 Graduate Instructional Program Development (1970B)  
 Incorporated into 47.032, 47.033 (1973B)

47.011 Graduate Science Facilities (1970B)  
 Deleted (1971B)

47.012 Institutional Support in Science (1967B)  
 Institutional Grants for Science (1970B)  
 Deleted (1975U)

47.013 Interdisciplinary Research Relevant to Problems of Our Society (1970B)  
 Deleted (1972B)

47.014 International Cooperative Science Activities (1969B)  
 Consolidated into 47.053 (1977B)

47.015 International Travel (1970B)  
 Incorporated into 47.014 (1975B)

47.016 Scientific Research Grants (1967B)  
 Science Research Support Activities (1969B)  
 Mathematical and Physical Sciences Research Project Support (1970B)  
 Split into 47.016, 47.017 (1970B)  
 Consolidated into 47.047 (1975B)

47.017 National and Special Research Programs (1970B)  
 Split from 47.016 (1970B)  
 Global Atmospheric Research Program (1974B)  
 Consolidated into 47.050 (1976B)

47.018 Oceanography-Basic Research Grants (1970B)  
 Oceanography-Scientific Research Project Support (1971B)  
 Incorporated into 47.008 (1972B)

47.019 Pre-College Education in Science (1967B)  
 Pre-College Instructional Personnel Development (1970B)  
 Instructional Improvement Implementation-Pre-College (1973B)  
 Consolidated into 47.048 (1975B)

47.020 Pre-College Instructional Program Development (1970B)

	Science Education Materials and Methods Development Pre-College (1973B)		Consolidated into 47.048 (1975B)
	Science Education Materials and Instruction Development (Pre-College) (1973U)	47.034	Undergraduate Student Development (1970B)
	Science Education Materials and Instruction Development-Pre-College (1974B)		Split from 47.032 (1970B)
	Consolidated into 47.048 (1975B)		Student Oriented Programs (1973B)
47.021	Pre-College Student Development (1970B)	47.035	University Science Development (1970B)
	Deleted (1971B)		Deleted (1971B)
47.022	Sea Grant Program (1969B)	47.036	Intergovernmental Science Programs (1970U)
	Sea Grant Institutional Support (1970B)		Intergovernmental Science and Research Utilization (1973B)
	Split into 47.022, 47.023 (1970B)		Intergovernmental Science (1975B)
	Transferred to 11.417 (1971B)		Intergovernmental Program (1976B)
47.023	Sea Grant Project Support (1970B)		Intergovernmental Programs (1978B)
	Split from 47.022 (1970B)		Intergovernmental Program (1979B)
	Transferred to 11.418 (1971B)		Intergovernmental Science and Technology Grants (1981B)
47.024	Science Information Activities-System Development and Improvement (1970B)		Intergovernmental Science and Technology Program (1981U)
	Science Information Activities-Information Systems; Data Systems (1973B)		Intergovernmental and Public Service Science and Technology Program (1982B)
	Science Information Activities-National Information Systems; User Support (1974B)		Intergovernmental Science and Technology Programs (1983B)
	Science Information Activities (1975B)	47.037	International Decade of Ocean Exploration (1970U)
	Consolidated into 47.053 (1977B)		Consolidated into 47.050 (1976B)
47.025	Science Information Research (1970B)	47.038	Public Understanding of Science Program (1971B)
	Incorporated into 47.024 (1975B)		Science and Society Program (1976B)
47.026	Science Information Activities (1969B)		Science Education Communication Grants (1981B)
	Science Information Services and Publications (1970B)		Consolidated/Split into 47.038, 47.058 (1981B)
	Science Information Activities-Publications (1973B)		Deleted (1982B)
	Incorporated into 47.024 (1974B)	47.039	Scientific Activities (Special Foreign Currency Program) (1971B)
47.027	Science Planning and Policy Studies (1969B)		Deleted (1975B)
	University Science Planning and Policy Program (1971B)	47.040	Materials Research Project Support (1972B)
	Science Policy Research (1972B)		Consolidated into 47.047 (1975B)
	Incorporated into 47.029 (1973B)	47.041	Research Applied to National Needs (1973U)
47.028	Scientific Conference Grants (1970B)		Applied Science and Research Applications (1978B)
	Consolidated into 47.047 (1975B)		Engineering and Applied Science (1979U2)
47.029	Social Sciences Research Project Support (1970B)		Engineering Grants (1981B)
	Consolidated into 47.047 (1975B)		Consolidated/Split into 47.041, 47.058 (1981B)
47.030	Special Computer Services for Research and Science Education (1970B)	47.042	Experimental Research and Development Incentives Program (1973U)
	Deleted (1971B)		Incorporated into 47.041 (1976B)
47.031	Specialized Research Facilities and Equipment (1970B)	47.043	National Research and Development Assessment Program (1973U)
	Deleted (1972B)		Number changed to 47.052 (1976B)
47.032	Undergraduate Education in Science (1967B)	47.044	Institutional Grants for Research Management Improvement (1973U)
	Undergraduate Instructional Personnel Development (1970B)		Deleted (1975B)
	Split into 47.032, 47.033, 47.034 (1970B)	47.045	Technological Innovation in Education (1973U)
	Instructional Improvement Implementation-Higher Education (1973B)		Consolidated into 47.048 (1975B)
	Consolidated into 47.048 (1975B)	47.046	Science Education-Problem Assessment and Experimental Projects (1974B)
47.033	Undergraduate Instructional Program Development (1970B)		Consolidated into 47.048 (1975B)
	Split from 47.032 (1970B)	47.047	Scientific Research Project Support (1975B)
	Science Education Materials and Methods Development-Higher Education (1973B)		Consolidated from 47.002, 47.003, 47.005, 47.006, 47.007, 47.008, 47.016, 47.028, 47.029, 47.040 (1975B)
	Science Education Materials and Instruction Development (Higher Education) (1973U)		Split into 47.049, 47.050, 47.051 (1976B)
	Science Education Materials and Instruction Development-Higher Education (1974B)	47.048	Science Education Improvement (1975B)
			Consolidated from 47.019, 47.020, 47.032, 47.033, 47.034, 47.045, 47.046 (1975B)

- Science Education Research and Development and Resources Improvement (1977B)  
Science Education Development and Research and Resources Improvement (1980B)  
Deleted (1982B)
- 47.049 Mathematical and Physical Sciences and Engineering (1976B)  
Split from 47.047 (1976B)  
Mathematical and Physical Sciences (1979U2)
- 47.050 Astronomical, Atmospheric, Earth and Ocean Sciences (1976B)  
Consolidated/Split from 47.001, 47.017, 47.037, 47.047 (1976B)
- 47.051 Biological, Behavioral, and Social Sciences (1976B)  
Split from 47.047 (1976B)  
Split into 47.074, 47.075 (1992B)
- 47.052 Science and Technology Policy Research and Analysis (1976B)  
Number changed from 47.043 (1976B)  
Consolidated into 47.053 (1977B)
- 47.053 Scientific, Technological, and International Affairs (1977B)  
Consolidated from 47.014, 47.024, 47.052 (1977B)  
Consolidated into 47.075 (1992B)
- 47.054 Industry/University Cooperative Research (1980B)  
Incorporated into 47.053 (1981B)
- 47.055 Two-Year and Four-Year College Research Instrumentation (1980B)  
Deleted (1984B)
- 47.056 Research Initiation in Minority Institutions (1980B)  
Research Improvement in Minority Institutions (1981B)  
Number changed to 47.060 (1982B)
- 47.057 Minority Research Initiation (1981B)  
Deleted (1985B)
- 47.058 Public Service Science and Technology (1981B)  
Consolidated from 47.038, 47.041 (1981B)  
Deleted (1982B)
- 47.059 Visiting Professorships for Women in Science and Engineering (1982B)  
Visiting Professorships for Women (1983B)  
Deleted (1985B)
- 47.060 Research Improvement in Minority Institutions (1982B)  
Number changed from 47.056 (1982B)  
Deleted (1985B)
- 47.061 Precollege Science and Mathematics Teacher Development and Incentives (1983U)  
Consolidated into 47.063 (1984B)
- 47.062 Precollege Science and Mathematics Materials Development (1983U)  
Consolidated into 47.063 (1984B)
- 47.063 Precollege Science and Mathematics Education (1984B)  
Consolidated from 47.061, 47.062 (1984B)  
Deleted (1985B)
- 47.064 College Science Instrumentation Program (1984U)  
Incorporated into 47.071 (1987U)
- 47.065 Advanced Scientific Computing Resources (1984U)  
Deleted (1986U)
- 47.066 Teacher Enhancement and Informal Science Education (1985B)  
Teacher Preparation and Enhancement (1986B)  
Consolidated into 47.076 (1992B)
- 47.067 Materials Development and Research (1985B)  
Materials Development, Research, and Informal Science Education (1986B)  
Materials Development and Informal Science Education (1987B)  
Materials Development, Research, and Informal Science Education (1988B)  
Consolidated into 47.076 (1992B)
- 47.068 Studies and Program Assessment (1985B)  
Research, Studies, and Program Assessment (1987B)  
Studies and Program Assessment (1988B)  
Studies, Evaluation and Dissemination (1991B)  
Consolidated into 47.076 (1992B)
- 47.069 Research Initiation and Improvement (1985B)  
Human Resource Development (1991B)  
Consolidated into 47.076 (1992B)
- 47.070 Computer and Information Science and Engineering (2004)
- 47.071 Undergraduate Science, Mathematics, and Engineering Education (1987U)  
Undergraduate Science, Engineering, and Mathematics Education (1988B)  
Consolidated into 47.076 (1992B)
- 47.072 Young Scholars (1987U)  
Consolidated into 47.076 (1992B)
- 47.073 Science and Technology Centers (1989B)  
Deleted (1996B)
- 47.074 Biological Sciences (1992B)  
Split from 47.051 (1992B)
- 47.075 Social, Behavioral, and Economic Sciences (1992B)  
Consolidated from 47.051, 47.053 (1992B)
- 47.076 Education and Human Resources (1992B)  
Consolidated from 47.009, 47.066, 47.067, 47.068, 47.069, 47.071, 47.072 (1992B)
- 47.077 Academic Research Facilities and Instrumentation (1993B)  
Academic Research Infrastructure (1997B)  
Deleted (1999B)
- 47.078 Polar Programs (1997B)
- 47.079 International Science and Engineering (OISE) (2005)
- 47.080 Office of Cyberinfrastructure (2008)
- 47.081 Office of Experimental Program to Stimulate Competitive Research (2008)

#### NEW ENGLAND REGIONAL COMMISSION

- 48.001 New England Regional Economic Development (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1981U)
- 48.002 New England Technical and Planning Assistance (1975B)  
Deleted (1981U)
- 48.003 New England Supplements to Federal Grant-in-Aid (1975B)  
Deleted (1981U)
- 48.004 New England Regional Transportation (1977U)  
Deleted (1981U)
- 48.005 New England Energy Demonstration Projects and Programs (1977U)  
Deleted (1981U)



## COMMUNITY SERVICES ADMINISTRATION

Head Start (1967B)  
Child Development-Head Start (1970B)  
Transferred to the Department of Health Education, Welfare (1970B)  
Establishment of Job Corps Centers (1965B)  
Job Corps (1967B)  
Transferred to the Department of Labor (1970B)  
Upward Bound (1967B)  
Transferred to the Department of Health Education, Welfare (1970B)  
49.001 Alcoholic Counseling and Recovery (1970B)  
Deleted (1971U)  
49.002 Community Action Program (1965B)  
Community Action Operations (1970B)  
Community Action (1971B)  
Deleted (1973B)  
Reinstated (1975B)  
Split into 49.002, 49.016, 49.018 (1980U1)  
Deleted (1981U)  
49.003 Neighborhood Health Centers (1967B)  
Comprehensive Health Centers (1969B)  
Comprehensive Health Services (1970B)  
Deleted (1973B)  
49.004 Drug Rehabilitation (1970B)  
Deleted (1973B)  
49.005 Emergency Food and Medical Services (1969B)  
Deleted (1971U)  
Reinstated (1972B)  
Deleted (1973B)  
Reinstated (1975U)  
Community Food and Nutrition (1975U)  
Deleted (1981U)  
49.006 Family Planning (1969B)  
Deleted (1973B)  
49.007 Federal Information Exchange System (1969B)  
Deleted (1972B)  
49.008 Legal Services (1967B)  
Deleted (1973B)  
Reinstated (1975B)  
Deleted (1976B)  
49.009 Community Action Program-Assistance for Migrant and Seasonal Farm Workers (1965B)  
Migrant and Seasonal Farmworkers Assistance (1969B)  
Transferred to (1972B)  
49.010 Senior Opportunities and Services (1969B)  
Older Persons Opportunities and Services (1970B)  
Deleted (1973B)  
Reinstated (1975B)  
Deleted (1981U)  
49.011 Special Impact (1970B)  
Community Economic Development (1972U)  
Deleted (1973B)

Reinstated (1975B)  
Deleted (1981U)  
49.012 Vista-Volunteers in Service to America-Opportunities for Individuals to Assist in the War on Poverty (1965B)  
Volunteers in Service to America (1970B)  
Deleted (1971U)  
49.013 Economic Opportunity-Technical Assistance and Demonstrations (1972U)  
Deleted (1973B)  
Reinstated (1975B)  
State Economic Opportunity Offices (1975B)  
Deleted (1981U)  
49.014 Emergency Energy Conservation Services (1975U)  
Deleted (1981B)  
49.015 Summer Youth Recreation Program (1976U)  
Summer Youth Recreation (1977B)  
Deleted (1981B)  
49.016 National Youth Sports Program (1980U1)  
Split from 49.002 (1980U1)  
Deleted (1981U)  
49.017 Rural Development Loan Fund (1980U1)  
Reinstated , previously under the Department of Agriculture (1980U1)  
Deleted (1981U)  
49.018 Housing and Community Development (1980U1)  
Split from 49.002 (1980U1)  
Deleted (1981U)

## OFFICE OF EMERGENCY PREPAREDNESS

Emergency Management of Resources (1967B)  
Incorporated into 50.001 (1970B)  
50.001 Continuity of Government (1969B)  
Continuity of Government and Management of Resources in Emergencies (1970B)  
Continuity of Government in Emergencies (1970U)  
Continuity of Government and Management of Resources in Emergencies (1971B)  
Transferred to 39.010 (1973U)  
50.002 Federal Disaster Relief (1967B)  
Disaster Relief to States (1970B)  
Disaster Assistance (1971B)  
Transferred to 14.701 (1973U)  
50.003 State Plans for Disaster Assistance to Individuals (1970B)  
State Disaster Plans and Programs (1971B)  
Transferred to 14.702 (1973U)  
50.004 Federal-State Relations (1969B)  
Telecommunications Management (1970B)  
Deleted (1970U)

## OFFICE OF INTERGOVERNMENTAL RELATIONS

51.001 Intergovernmental Relations and Liaison (1970B)  
Deleted (1973B)

## OZARKS REGIONAL ACTION PLANNING COMMISSION

- 52.001 Ozarks Regional Economic Development (1970B)  
Deleted (1973B)  
Reinstated (1973U)  
Deleted (1981U)
- 52.002 Ozarks Technical and Planning Assistance (1975B)  
Deleted (1981U)
- 52.003 Ozarks Supplements to Federal Grant-in-Aid (1975B)  
Deleted (1981U)
- 52.004 Ozarks Regional Transportation (1977U)  
Deleted (1981U)
- 52.005 Ozarks Energy Demonstration Projects and Programs (1977U)  
Deleted (1981U)
- 52.007 Ozarks Health and Nutrition Demonstration Projects (1977U)  
Deleted (1981U)

**PRESIDENT'S COMMITTEE ON CONSUMER INTERESTS**

- 52.500 Consumer Affairs (1969B)  
Transferred to 69.001 (1971B)

**PRESIDENT'S COMMITTEE ON EQUAL OPPORTUNITY IN HOUSING**

- Equal Opportunity in Housing (1967B)  
Transferred to the Department of Housing, Urban Development (1969B)

**PRESIDENT'S COMMITTEE ON EMPLOYMENT OF PEOPLE WITH DISABILITIES**

- 53.001 Handicapped Employment Promotion (1969B)  
Transferred to 17.72 (2002B)

**PRESIDENT'S COMMITTEE ON MENTAL RETARDATION**

- 54.001 Mental Retardation Evaluation (1970B)  
Transferred to 13.613 (1974B)

**PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS**

- 55.001 Governors' Councils on Physical Fitness (1970B)  
Transferred to 13.615 (1974B)
- 55.002 National Summer Youth Sports Program (1970B)  
Deleted (1972B)
- 55.003 Physical Fitness Programs (1967B)  
Physical Fitness and Sports (1969B)  
Physical Fitness and Sports Information (1970B)  
Transferred to 13.616 (1974B)
- 55.004 Physical Fitness Clinics (1970B)  
Transferred to 13.617 (1974B)
- 55.005 Physical Fitness Demonstration Center Schools (1970B)  
Transferred to 13.618 (1974B)
- 55.006 Physical Fitness Program Development (1970B)  
Transferred to 13.619 (1974B)
- 55.007 Presidential Physical Fitness Award (1970B)  
Transferred to 13.620 (1974B)

- 55.008 Health-Exercise Symposia (1971B)  
Transferred to 13.621 (1974B)
- 55.009 Presidential Sports Award (1973U)  
Transferred to 13.622 (1974B)

**PRESIDENT'S COUNCIL ON YOUTH OPPORTUNITY**

- 56.001 Youth Opportunity (1969B)  
Transferred/Split into HHS, Labor programs (1971B)

**RAILROAD RETIREMENT BOARD**

- 57.001 Social Insurance Program for Railroad Workers (1965B)  
Social Insurance for Railroad Workers (1970B)
- 57.002 Benefits for Milwaukee Railroad Workers (1980U)  
Deleted (1985U)
- 57.003 Benefits for Conrail Employees (1983B)  
Deleted (1988B)
- 57.004 Benefits for Rock Island Railroad Employees (1983U)  
Deleted (1984U)

**SECURITIES AND EXCHANGE COMMISSION**

- 58.001 Investor Protection (1969B)  
Securities-Investigation of Complaints and SEC Information (1972B)

**SMALL BUSINESS ADMINISTRATION**

- 59.001 Displaced Small Business Loans (1969B)  
Displaced Business Loans (1970B)  
Deleted (1981U)
- 59.002 Economic Injury Disaster Loans (1970B)  
Deleted (2008)  
Reinstated (1984B)  
Consolidated into 59.008 (1989B)  
Reinstated (1989U)
- 59.003 Economic Opportunity Loans for Small Businesses (1965B)  
Loans for Small Businesses (1983B)  
Deleted (1997U)
- 59.004 Lease Guarantees for Small Businesses (1969B)  
Deleted (1977B)
- 59.005 Management Assistance to Small Businesses (1970B)  
Internet-Based Technical Assistance (2005)  
Internet-Based Technical Assistance (2005)  
Deleted (2008)  
Business Development Assistance to Small Business (1970B)
- 59.006 Minority Business Development (1970B)  
8(a) Business Development Program (2006)  
Minority Business Development-Procurement Assistance (1971B)  
Minority Business Development (1991B)  
8(a) Business Development (1999B)
- 59.007 Minority Enterprise-Technical Assistance (1970B)  
7(i) Technical Assistance (2004)  
7(j) Technical Assistance (2005)  
7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)	59.024	Water Pollution Control Loans (1975B) Deleted (1981U)
Management and Technical Assistance for Disadvantaged Businessmen-Research and Demonstration Grants (1971B)	59.025	Air Pollution Control Loans (1975B) Deleted (1981U)
Management and Technical Assistance for Disadvantaged Businessmen (1973B)	59.026	Service Corps of Retired Executives and Active Corps of Executives (1976B) Service Corps of Retired Executives (2008) Transferred from 72.006 (1976B) Service Corps of Retired Executives Association (1988B)
Management and Technical Assistance for Disadvantaged Businesses (1983B)	59.027	Economic Dislocation Loans (1978B) Deleted (1981U)
Management and Technical Assistance for Socially and Economically Disadvantaged Businesses (1988B)	59.028	Regulatory Loans (1979B) Deleted (1981U)
Management and Technical Assistance (2001B)	59.029	Disaster Assistance to Nonagricultural Businesses (Major Source of Employment) (1979U1) Incorporated into 59.008 (1982B)
59.008 Disaster Loans (1967B)	59.030	Small Business Energy Loans (1979B) Consolidated from 59.031 (1989B) Incorporated into 59.012 (1990B)
Disaster Assistance Loans (2007)	59.031	Small Business Pollution Control Financing Guarantee (1979B) Consolidated into 59.030 (1989B)
Physical Disaster Loans (1970B)	59.032	Office of Women's Business Enterprise (1980U1) Office of Women's Business Ownership (1983B) Deleted (1968B)
Consolidated from 59.002 (1989B)	59.033	Small Business and Capital Ownership Development (1980U1) Minority Small Business and Capital Ownership Development (1981B) Incorporated into 59.007 (1987B)
59.009 Management and Technical Assistance (1965B)	59.034	Small Business Economic Research (1980U1) Deleted (1983B)
Procurement and Management Assistance to Small Businesses (1967B)	59.035	Procurement Automated Source System (1980U1) Incorporated from 59.019 (1980U1) Deleted (1998B)
Procurement Assistance to Small Businesses (1970B)	59.036	Certified Development Company Loans (1981U) Certified Development Company Loans (503 Loans) (1986U) Deleted (1989B)
Procurement and Technical Assistance to Small Businesses (1976U)	59.037	Small Business Development Center (1981U) Small Business Development Centers (2008)
Procurement Assistance to Small Businesses (1985B)	59.038	Veterans Loan Program (1984B) Deleted (1997U)
59.010 Product Disaster Loans (1970B)	59.039	Currency Devaluation Disaster Loans (1984U) Currency Fluctuation Economic Injury Loans (1985B) Deleted (1986U)
Deleted (1982B)	59.040	Federal Action Disaster Loans (1984U) Federal Action Economic Injury Loans (1985B) Deleted (1986U)
59.011 Small Business Investment Company Program (1965B)	59.041	Certified Development Company Loans (504 Loans) (1986U) 504 Certified Development Loans (2008)
Small Business Investment Companies (1970B)	59.042	Business Loans for 8(a) Program Participants (1990B) Deleted (1997U)
59.012 Small Business Financial Assistance Program (1965B)	59.043	Women's Business Ownership Assistance (1990B)
7(a) Loan Guarantee (2007)	59.044	Veterans Entrepreneurial Training Assistance (1990B)
7(a) Loan Guarantees (2008)		
Small Business Loans (1970B)		
59.013 Loans to State and Local Development Companies (1965B)		
State and Local Development Company Loans (1969B)		
Local Development Company Loans (1991B)		
Deleted (1998U)		
59.014 Coal Mine Health and Safety Loans (1971B)		
Mine Safety and Health Loans (1978B)		
Deleted (1981U)		
59.015 Trade Adjustment Loans (1971B)		
Deleted (1971U)		
59.016 Bond Guarantees for Surety Companies (1971U)		
Surety Bond Guarantees (2008)		
59.017 Meat and Poultry Inspection Loans (1972B)		
Consumer Protection Loans (1978B)		
Deleted (1981U)		
59.018 Occupational Safety and Health Loans (1972B)		
Deleted (1981U)		
59.019 Minority Vendors Program (1974B)		
Incorporated into 59.035 (1980U1)		
59.020 Base Closing Economic Injury Loans (1975B)		
Deleted (1981U)		
59.021 Handicapped Assistance Loans (1975B)		
Deleted (1997U)		
59.022 Emergency Energy Shortage Economic Injury Loans (1975B)		
Deleted (1981U)		
59.023 Strategic Arms Economic Injury Loans (1975B)		
Deleted (1981U)		





Deleted (1969B)  
 Local Planning Assistance-Tennessee Valley Region (1967B)  
 Deleted (1969B)  
 Mineral Resources Development-Tennessee Valley Region (1967B)  
 Deleted (1969B)  
 Navigation Development and Waterway Transportation-Tennessee River Basin (1967B)  
 Deleted (1969B)  
 Recreation Development-Tennessee River Basin (1967B)  
 Deleted (1969B)  
 Topographic and Navigation Maps-Tennessee Valley Region (1967B)  
 Deleted (1969B)  
 Tributary Area Development-Tennessee River Basin (1967B)  
 Deleted (1969B)  
 Unified Resource Development-Tennessee Valley Authority (1967B)  
 Deleted (1969B)  
 Water Quality Control-Tennessee River Basin (1967B)  
 Deleted (1969B)

62.001 Agricultural and Chemical Development-TVA (1967B)  
 Fertilizer and Munitions Development (1969B)  
 Fertilizer Development (1970B)  
 National Fertilizer Development (1977U)  
 National Fertilizer and Environmental Research Center (1992B)  
 TVA Environmental Research Center (1994B)  
 TVA Environmental Research and Services (1998B)  
 TVA Energy Research and Technology Applications (1999U)  
 Deleted (2001B)

62.002 Tennessee Valley Region-General Resources Development (1969B)  
 Consolidated into 62.004, 62.005, 62.006 (1980U1)

62.003 Multiple-Purpose Water Resource Development-Tennessee River Basin (1967B)  
 Tennessee Valley Region-Water Resources Development (1969B)  
 Consolidated into 62.005 (1980U1)

62.004 Tennessee Valley Region-Community Development (1980U1)  
 Consolidated from 62.002 (1980U1)  
 Tennessee Valley Region-Economic and Community Development (1982B)  
 Tennessee Valley Region Economic Development (1985U)  
 Tennessee Valley Region-Rural Development (1992B)  
 Tennessee Valley Region-Economic Development (1994U)  
 Deleted (1998U)

62.005 Tennessee Valley Region-Natural Resources Development (1980U1)  
 Consolidated from 62.002, 62.003 (1980U1)  
 Tennessee Valley Region-Water and Land Resources (1992B)  
 Deleted (1994U)

62.006 Tennessee Valley Region-Valley Agricultural Resources Development (1980U1)  
 Consolidated from 62.002 (1980U1)  
 Tennessee Valley Region-Valley Agricultural Institute (1988B)  
 Deleted (1992B)

**UPPER GREAT LAKES REGIONAL COMMISSION**

63.001 Upper Great Lakes Regional Economic Development (1970B)  
 Deleted (1973B)  
 Reinstated (1973U)  
 Deleted (1981U)

63.002 Upper Great Lakes Technical and Planning Assistance (1975B)  
 Deleted (1981U)

63.003 Upper Great Lakes Supplements to Federal Grant-in-Aid (1975B)  
 Deleted (1981U)

63.004 Upper Great Lakes Regional Transportation (1977U)  
 Deleted (1981U)

63.005 Upper Great Lakes Energy Demonstration Projects and Programs (1977U)  
 Deleted (1981U)

63.006 Upper Great Lakes Indigenous Arts and Crafts Demonstration Projects (1977U)  
 Deleted (1981U)

63.007 Upper Great Lakes Health and Nutrition Demonstration Projects (1977U)  
 Deleted (1981U)

63.008 Upper Great Lakes Education Demonstration Projects (1977U)  
 Deleted (1981U)

**U.S.-MEXICO COMMISSION FOR BORDER DEVELOPMENT AND FRIENDSHIP**

Mexican Border Development (1969B)  
 Deleted (1970B)

**DEPARTMENT OF VETERANS AFFAIRS**

Educational Assistance for Veterans' Children (1967B)  
 Deleted (1969B)  
 Guardianship Services for Veterans' Beneficiaries (1967B)  
 Deleted (1969B)  
 Relocation Housing for Aged or Families Displaced by Urban Renewal (1967B)  
 Deleted (1969B)  
 Veterans Restoration Centers (1967B)  
 Deleted (1969B)

64.001 Biomedical Research (1967B)  
 Medical Research Support (1986B)  
 Deleted (1991U)

64.002 Veterans' Community Nursing Home Care Program (1967B)  
 Community Contract Nursing Home Care (1970B)  
 Community Nursing Home Care (1971B)  
 Veterans Community Nursing Home Care (1979B)  
 Deleted (1981U)

64.003 Education and Training of Health Service Personnel (1969B)  
 Deleted (1979B)

64.004 Exchange of Medical Information (1970B)  
 Deleted (1982B)

64.005 Grant to States for Construction of State Nursing Home Care Facilities (1970B)  
 Grants to States for Construction of State Home Facilities (1978B)

64.006 Prosthetics Research (1969B)  
 Rehabilitative Engineering Research (Prosthetics) (1977B)

	Rehabilitative Research (Prosthetics) (1977U)		Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (1971B)
	Rehabilitative Research (1981B)	64.101	Burial Benefits for Veterans (1967B)
	Deleted (1981U)		Burial Allowance for Veterans (1969B)
64.007	Rehabilitation of Blind Veterans (1967B)		Burial Expenses Allowance for Veterans (1981U)
	Blind Veterans Rehabilitation Centers (1971B)	64.102	Compensation for Service-Connected Deaths for Veterans' Dependents (1969B)
	Blind Veterans Rehabilitation Centers and Clinics (1987U)	64.103	Life Insurance for Veterans and Servicemen (1967B)
	Blind Rehabilitation Centers and Clinics (1995U)		Life Insurance for Veterans (1970B)
	Blind Rehabilitation Centers (1998U)	64.104	Veterans Disability Pension (1965B)
64.008	Veterans' Domiciliary Program (1965B)		Pension for Nonservice-Connected Disability for Veterans (1969B)
	Veterans Domiciliary Care and Restoration (1970B)	64.105	Veterans' Death Pension (1965B)
	Veterans Domiciliary Care (1973B)		Pension for Veterans Widows and Children (1969B)
64.009	Veterans Hospitalization (1965B)		Pension for Veterans Widows or Widowers and Children (1976B)
	Revised (0000)		Pension to Veterans Surviving Spouses, and Children (1980U1)
	Veterans Medical Care Benefits (1997U)	64.106	Specially Adapted Veterans Housing (1967B)
64.010	Veterans Nursing Home Care Program (1967B)		Specially Adapted Housing for Disabled Veterans (1970B)
	Veterans Nursing Home Care (1970B)	64.107	Veterans Assistance Centers (1969B)
64.011	Veterans' Outpatient Services (1967B)		Deleted (1977U)
	Veterans Outpatient Care (1970B)	64.108	Veterans' Business Loans (1967B)
	Veterans Dental Care (1999B)		Veterans Business Loans-Guaranteed and Insured Loans (1970B)
64.012	Veterans Prescription Service (1967B)		Deleted (1975B)
64.013	Veterans Prosthetic Appliances (1967B)	64.109	Veterans' Disability Compensation (1965B)
64.014	Veterans State Home Program (1970B)		Veterans Compensation for Service-Connected Disability (1970B)
	Veterans State Domiciliary Care (1971B)	64.110	Veterans' Dependency and Indemnity Compensation (1965B)
64.015	Veterans State Nursing Home Care (1970B)		Dependency, Indemnity, and Death Compensation to Veterans' Dependents (1967B)
64.016	Veterans State Home Hospital Care (1970U)		Veterans Dependency and Indemnity Compensation for Service-Connected Death (1970B)
	Veterans State Hospital Care (1971B)	64.111	Educational Assistance for Veterans (1969B)
64.017	Grants to States for Remodeling of State Home Hospital/Domiciliary Facilities (1971B)		Veterans Educational Assistance (1970B)
	Incorporated into 64.005 (1978B)		Deleted (1990B)
64.018	Sharing Specialized Medical Resources (1971B)	64.112	Veterans Farm Loans (1969B)
	Sharing Medical Facilities, Equipment, and Information (1975B)		Deleted (1975B)
	Sharing Specialized Medical Resources (1978B)	64.113	Veterans Housing-Direct Loans and Advances (1970B)
64.019	Veterans Rehabilitation-Alcohol and Drug Dependency (1971U)		Deleted (1981B)
	Veterans Rehabilitation-Alcohol and Drug Dependence (1976B)	64.114	Veterans' Home Loans (1965B)
64.020	Assistance in the Establishment of New State Medical Schools (1974U)		Veterans Housing-Guaranteed and Insured Loans (1970B)
	Deleted (1979B)	64.115	Veterans Information and Assistance (1967B)
64.021	Grants to Affiliated Medical Schools-Assistance to Health Manpower Training Institutions (1974U)	64.116	Vocational Rehabilitation Training for Disabled Veterans (1965B)
	Deleted (1979B)		Vocational Rehabilitation for Disabled Veterans (1970B)
64.022	Hospital Based Home Care (1974U)	64.117	War Orphans Education Program (1965B)
	Veterans Hospital Based Home Care (1979B)		War Orphans and Widows Educational Assistance (1970B)
	Veterans Home Based Primary Care (1997B)		Dependents Educational Assistance (1974B)
64.023	Health Professional Scholarships (1982B)	64.118	Veterans Housing-Direct Loans for Disabled Veterans (1971B)
	Health Professional Scholarships-Nursing (1984B)		Veterans Housing-Direct Loans for Certain Disabled Veterans (1998B)
	Deleted (1986B)	64.119	Veterans Housing-Mobile Home Loans (1971B)
64.024	VA Homeless Providers Grant and Per Diem Program (1995B)		Veterans Housing-Manufactured Home Loans (1983B)
64.025	Transitional Housing Loan Program (1995B)	64.120	Post-Vietnam Era Veterans' Educational Assistance (1977B)
	Deleted (2001B)	64.121	Emergency Veterans Job Training (1984B)
64.026	Veterans State Adult Day Health Care (2008)		Veterans' Job Training Act (1986B)
64.100	Veterans' Automobile Grants (1967B)		Deleted (1990U)
	Automobile Grants for Disabled Veterans (1970B)		



- 64.122 Vocational Rehabilitation for Service-Disabled Veterans Receiving Unemployability VA Compensation (1985B)  
Deleted (1991U)
- 64.123 Vocational Training for Certain Veterans Receiving VA Pension (1985B)
- 64.124 All-Volunteer Force Educational Assistance (1986B)
- 64.125 Vocational and Educational Counseling for Servicemembers and Veterans (1992B)
- 64.126 Native American Veteran Direct Loan Program (1993B)
- 64.127 Monthly Allowance Under 38 U.S.C. 1805 for a Child Born with Spina Bifida Who Is a Child of a Vietnam Veteran (1997B)  
Monthly Allowance for Children of Vietnam Veterans Born with Spina Bifida (1997U)
- 64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida (1997U)  
Vocational Training and Rehabilitation for Vietnam Veteran's Children with Spina Bifida or Other Covered Birth Defects (2002B)
- 64.200 Memorial Plots in National Cemeteries (1973U)  
Transferred from 12.200 (1973U)  
Memorial Plots and Markers in National Cemeteries (1974B)  
Memorial Plots and Memorial Markers (1979B)  
Consolidated into 64.201, 64.202 (1990B)
- 64.201 National Cemeteries (1973U)  
Transferred from 12.201 (1973U)
- 64.202 Procurement of Headstones and Markers (1973U)  
Transferred from 12.202 (1973U)  
Procurement of Headstones and Markers and/or Presidential Memorial Certificates (1991U)
- 64.203 State Cemetery Grants (1979U2)
- 66.007 Air Pollution Control-National Aerometric Data Information (1971U)  
Air Pollution Control-National Ambient Air and Source Emission Data (1972U)  
Deleted (1996U)
- 66.008 Air Pollution Control Technical Assistance (1971U)  
Air Pollution Control-Technical Assistance (1973B)  
Deleted (1985B)
- 66.009 Air Pollution Control Technical Information (1971U)  
Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003)  
Protection of Children and Older Adults (Elderly) from Environmental Health Risks (2004)  
Deleted (2005)  
Air Pollution Control-Technical Information Services (1973B)  
Air Pollution-Technical Information Services (1986B)  
Air Information Center (1987U)
- 66.010 Air Pollution Control-Interstate Cooperation and Uniform Laws (1972B)  
Deleted (1973U)
- 66.011 Solid Waste Technical Assistance, Training, and Information Services (1974B)  
Number changed from 66.304 (1974B)  
Solid Waste Technical Assistance, and Information Services (1975B)  
Solid Waste Disposal Technical Assistance, and Information Services (1976B)  
Solid Waste Management Technical Assistance, and Information Services (1976U)  
Number changed to 66.450 (1977U)

### WATER RESOURCES COUNCIL

- 65.001 Water Resources Planning (1967B)  
Deleted (1983B)

### ENVIRONMENTAL PROTECTION AGENCY

- 66.001 Air Pollution Control Program Grants (1971B)  
Transferred from 13.001 (1971B)  
Air Pollution Control Program Support (1985U)
- 66.002 Air Pollution Fellowships (1971B)  
Transferred from 13.002 (1971B)  
Air Pollution Control Fellowships (1976B)  
Deleted (1979B)
- 66.003 Air Pollution Manpower Training Grants (1971B)  
Transferred from 13.003 (1971B)  
Air Pollution Control Manpower Training Grants (1976B)  
Air Pollution Control Manpower Training (1985U)  
Deleted (1999U)
- 66.004 Air Pollution Research Grants (1971B)  
Transferred from 13.004 (1971B)  
Air Pollution Control Research Grants (1972B)  
Number changed to 66.501 (1973B)
- 66.005 Air Pollution Survey and Demonstration Grants (1971B)  
Transferred from 13.005 (1971B)  
Air Pollution Control Survey and Demonstration Grants (1976B)  
Deleted (1979B)
- 66.006 Air Pollution Control Technical Training (1971U)
- 66.012 Water Pollution Control Data Publications Services (1973B)  
Number changed from 66.402 (1973B)  
Number changed to 66.416 (1974B)
- 66.013 Water Pollution Control-Direct Training (1973B)  
Number changed from 66.403 (1973B)  
Number changed to 66.417 (1974B)
- 66.014 Water Pollution Control-Interstate Cooperation and Uniform Laws (1973B)  
Number changed from 66.404 (1973B)  
Incorporated into 66.650 (1973U)
- 66.015 Construction Grants for Wastewater Treatment Works (1973B)  
Number changed from 66.400 (1973B)  
Number changed to 66.418 (1974B)
- 66.017 Water Pollution Control-State and Interstate Program Grants (1973B)  
Number changed from 66.407 (1973B)  
Number changed to 66.419 (1974B)
- 66.018 Water Pollution Control-State and Local Manpower Development (1973B)  
Number changed from 66.408 (1973B)  
Number changed to 66.420 (1974B)
- 66.019 Water Pollution Control-Technical Assistance and Criteria Development (1973B)  
Number changed from 66.409 (1973B)  
Deleted (1974B)
- 66.020 Water Pollution Control-Training Grants (1973B)  
Number changed from 66.410 (1973B)

	Number changed to 66.421 (1974B)		Number changed to 66.427 (1974B)
66.021	Water Quality Control-Monitoring Assistance (1973B) Number changed from 66.411 (1973B) Number changed to 66.422 (1974B)	66.110	Healthy Communities Grant Program (2005)
66.022	Water Quality Control Information System-Orientation and Training Seminars (1973B) Number changed from 66.412 (1973B) Number changed to 66.423 (1974B)	66.111	Regional Environmental Priority Projects (2005)
66.023	Water Quality Management Technical Planning Assistance (1973B) Number changed from 66.413 (1973B) Deleted (1974B)	66.112	Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (2008)
66.025	Drinking Water Supply-Technical Assistance (1973B) Number changed from 66.415 (1973B) Number changed to 66.425 (1974B)	66.113	Region 3 Environmental Priority Projects (2006)
66.026	Solid Waste Training Grants (1975B) Solid Waste Disposal Training Grants (1976B) Number changed to 66.453 (1977U)	66.114	Environmental Protection Consolidated Grants-Program Support (2006)
66.027	Solid Waste Demonstration and Planning Grants (1975B) Solid Waste Planning Grants (1975U) Split into 66.027, 66.028 (1975U) Solid Waste Disposal Planning Grants (1976B) Number changed to 66.451 (1977U)	66.115	Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (2006)
66.028	Solid Waste Demonstration Grants (1975U) Split from 66.027 (1975U) Solid Waste Disposal Demonstration Grants (1976B) Number changed to 66.452 (1977U)	66.116	Regional Geographic Initiative/Environmental Priority Projects (2006)
66.030	Noise Pollution Control-Technical Assistance (1976B) Deleted (1981U)	66.117	Region 9 multi-media and geographic priority projects (2007)
66.031	Quiet Communities-State and Local Capacity Building Assistance (1979B) Deleted (1981U)	66.200	Radiation Research Grants (1971B) Split/Transferred from 13.012 (1971B) Number changed to 66.503 (1973B)
66.032	State Indoor Radon Grants (1989U)	66.201	Radiation Training Grants (1971B) Split/Transferred from 13.013 (1971B) Deleted (1973U)
66.033	Ozone Transport (1997U) Ozone Transport Commission (2006)	66.202	Congressionally Mandated Projects (2006)
66.034	Surveys, Studies Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2002B) Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005) Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005) Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (2008) Surveys Studies, Investigations Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2003B)	66.300	Solid Waste Demonstration and Resource Recovery System Grants (1971B) Transferred from 13.014 (1971B) Deleted (1973B)
66.035	Community Action for a Renewed Environment (CARE) Program (2005)	66.301	Solid Waste Planning Grants (1971B) Transferred from 13.015 (1971B) Deleted (1973B)
66.036	Clean School Bus USA (2005)	66.302	Solid Waste Research Grants (1971B) Transferred from 13.016 (1971B) Number changed to 66.504 (1973B)
66.037	Internships, Training, Workshops and Fellowships for the Office of Air and Radiation (2006) Internships, Training and Workshops for the Office of Air and Radiation (2008)	66.303	Solid Waste Training Grants (1971B) Transferred from 13.017 (1971B) Deleted (1973B)
66.039	National Clean Diesel Funding Assistance Program (2008)	66.304	Solid Waste Technical Assistance, Training, and Information Services (1971U) Number changed to 66.011 (1974B)
66.040	State Clean Diesel Grant Program (2008)	66.305	Compliance Assistance-Support for Services to the Regulated Community and Other Assistance Providers (2002U) Reinstated - Compliance Assistance-Support for Services to the Regulated Community and Other Assistance Providers (2003) Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005) Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005) 66.476 Security Planning Grants for Large Drinking Water Utilities (2002U)
66.100	Pesticides Research Grants (1971B) Transferred from 13.102 (1971B) Number changed to 66.502 (1973B)	66.306	Environmental Justice Collaborative Problem-Solving Grants Program (2004) Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005) Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005)
66.101	Pesticides Science and Technology-Technical Information (1971U)	66.307	Environmental Justice Training and Fellowship Assistance (2005)
		66.308	Environmental Justice Research Assistance (2005)
		66.309	Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (2005)
		66.310	Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (2005)

66.311	Assistance to Non-Profit Organizations with Activities Relating to Environmental Justice (2006)	Incorporated into 66.405 (1972B)
66.400	Construction Grants for Wastewater Treatment Works (1971B) Transferred from 15.700 (1971B) Number changed to 66.015 (1973B)	66.415 Drinking Water Supply-Technical Assistance (1972B) Number changed to 66.025 (1973B)
66.401	Water Pollution Control Comprehensive Basin Planning Grants (1971B) Transferred from 15.701 (1971B) Water Pollution Control-Comprehensive Basin Planning Grants (1972B) Deleted (1973B)	66.416 Water Pollution Control-Data Publications Services (1974B) Number changed from 66.012 (1974B) Incorporated into 66.423 (1977B)
66.402	Water Pollution Control Data Publications Services (1971B) Transferred from 15.702 (1971B) Number changed to 66.012 (1973B)	66.417 Water Pollution Control-Direct Training (1974B) Number changed from 66.013 (1974B) Deleted (1982B)
66.403	Water Pollution Control-Direct Training (1971B) Transferred from 15.703 (1971B) Number changed to 66.013 (1973B)	66.418 Construction Grants for Wastewater Treatment Works (1974B) Number changed from 66.015 (1974B) Deleted (1992B) Reinstated (2000U)
66.404	Water Pollution Control-Interstate Cooperation and Uniform Laws (1971B) Transferred from 15.704 (1971B) Number changed to 66.014 (1973B)	66.419 Water Pollution Control-State and Interstate Program Grants (1974B) Water Pollution Control State and Interstate Program Support (2004) Water Pollution Control State and Interstate Program Support (2004) Water Pollution Control State, Interstate, and Tribal Program Support (2006) Number changed from 66.017 (1974B)
66.405	Water Pollution Control-Research, Development, and Demonstration Grants (1971B) Transferred from 15.705 (1971B) Water Pollution Control-Research, Development, and Demonstration (1972B) Number changed to 66.505 (1973B)	Water Pollution Control State and Interstate Program Support (1985U)
66.406	Water Pollution Control Research Fellowships (1971B) Transferred from 15.706 (1971B) Deleted (1973B)	66.420 Water Pollution Control-State and Local Manpower Development (1974B) Number changed from 66.018 (1974B) Water Pollution Control-State and Local Manpower Program Development (1976B) Deleted (1981U)
66.407	Water Pollution Control-State and Interstate Program Grants (1971B) Transferred from 15.707 (1971B) Number changed to 66.017 (1973B)	66.421 Water Pollution Control-Training Grants (1974B) Number changed from 66.020 (1974B) Split into 66.428, 66.429 (1974U)
66.408	Water Pollution Control-State and Local Manpower Development (1971B) Transferred from 15.708 (1971B) Number changed to 66.018 (1973B)	66.422 Water Quality Control-Monitoring Assistance (1974B) Number changed from 66.021 (1974B) Incorporated into 66.423 (1977B)
66.409	Water Pollution Control-Technical Assistance and Pollution Surveillance (1971B) Transferred from 15.709 (1971B) Number changed to 66.019 (1973B)	66.423 Water Quality Control Information System-Orientation and Training Seminars (1974B) Number changed from 66.022 (1974B) Water Quality Control Information System-Orientation/Training Seminars, Data and Monitoring Publications (1977B) Deleted (1997B)
66.410	Water Pollution Control Training Grants (1971B) Transferred from 15.710 (1971B) Number changed to 66.020 (1973B)	66.424 Surveys, Studies, Demonstrations and Special Purpose-Section 1442 of the Safe Drinking Water Act (2003B) Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004) Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (2008)
66.411	Water Quality Control Information System (1971B) Transferred from 15.711 (1971B) Number changed to 66.021 (1973B)	66.425 Drinking Water Supply-Technical Assistance (1974B) Number changed from 66.025 (1974B) Deleted (1983U)
66.412	Water Quality and Pollution Control-Orientation and Training Seminars (1971B) Transferred from 15.712 (1971B) Number changed to 66.022 (1973B)	66.426 Water Pollution Control-Area Waste Treatment Management Planning Grants (1974B) Water Pollution Control-State and Areawide Waste Treatment Management Planning Grants (1976U) Water Pollution Control-State and Areawide Water Quality Management Planning Agency (1977B) Deleted (1983B)
66.413	Water Quality Management Technical Planning Assistance (1971B) Transferred from 15.713 (1971B) Number changed to 66.023 (1973B)	66.427 Pesticides Science and Technology-Technical Information (1974B) Number changed from 66.101 (1974B)
66.414	Water Hygiene Research Grants (1971B) Transferred from 13.018 (1971B)	



	Deleted (1979B)		Number changed from 66.028 (1977U)
66.428	Water Pollution Control-Professional Training Grants (1974U) Split from 66.421 (1974U) Deleted (1982B)		Deleted (1981B)
66.429	Water Pollution Control-Technical Training Grants (1974U) Split from 66.421 (1974U) Deleted (1981B)	66.453	Solid Waste Management Training Grants (1977U) Number changed from 66.026 (1977U) Deleted (1981U)
66.430	Water Pollution Control Fellowships (1974U) Deleted (1981U)	66.454	Water Quality Management Planning (1983B)
66.431	Water Pollution Control Loans (1974U) Transferred/Incorporated into 59.024 (1979B)	66.455	Marine Combined Sewer Overflow Special Fund (1984B) Construction Grants for Wastewater Treatment Works for Combined Sewer Overflows (1985U) Deleted (1986B)
66.432	Grants for State Public Water System Supervision Programs (1975U) Public Water System Supervision-State Program Grants (1976B) State Public Water System Supervision Program Grants (1976U) State Public Water System Supervision (1985U)		Construction Grants for Abatement of Combined Sewer Overflow Pollution in Marine Bays and Estuaries, Reinstated (1988U) Deleted (1989U)
66.433	Grants for Underground Injection Control Programs (1975U) Underground Water Source Protection-State Program Grants (1976B) State Underground Water Source Protection Program Grants (1976U) State Underground Water Source Protection-Program Grants (1981B) State Underground Water Source Protection (1985U)	66.456	Comprehensive Estuarine Management (1985U) National Estuary Program (1987U)
66.434	Safe Drinking Water-State and Local Program Development Grants (1976U) Deleted (1979B)	66.458	Capitalization Grants for State Revolving Funds (1988B) Capitalization Grants for Clean Water State Revolving Funds (2003B)
66.435	Water Pollution Control-Lake Restoration Demonstration Grants (1976U) Water Pollution Control-Lake Restoration Cooperative Agreements (1980U1) Deleted (1981U) Reinstated (1987U) Deleted (1998B)	66.459	Nonpoint Source Reservation (1988B) Deleted (1991B)
66.436	Surveys, Studies, Investigations, Demonstrations and Training Grants and Cooperative Agreements-Section 1442 of the Clean Water Act (2003B) Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004)	66.460	Nonpoint Source Implementation (1990B) Deleted (1991B) Nonpoint Source Implementation Grants (1993B)
66.437	Long Island Sound Program (2004)	66.461	Wetlands Protection-State Development Grants (1989U) Regional Wetland Program Development Grants (2005) Regional Wetland Program Development Grants (2005) Wetlands Protection-State and Tribal Development Grants (1995U) Wetlands Protection-Development Grants (1997B) Wetlands Grants (2000U) Wetland Program Development Grants (2003B)
66.438	Construction Management Assistance Grants (1978U) Construction Management Assistance (1985U) Deleted (1998B)	66.462	National Wetland Program Development Grants (2005) National Wetland Program Development Grants and Five-Star Restoration Training Grant (2008)
66.439	Targeted Watershed Initiative (2003B) Targeted Watershed Grants (2004) Targeted Watersheds Grants (2006)	66.463	National Pollutant Discharge Elimination System Related State Program Grants (1991U) Water Quality Cooperative Agreements (2000U)
66.450	Solid Waste Management Technical Assistance and Information Services (1977U) Number changed from 66.011 (1977U) Deleted (1981U)	66.464	Near Coastal Waters (1991U) Deleted (1994B)
66.451	Solid and Hazardous Waste Management Program Support Grants (1977U) Number changed from 66.027 (1977U) Hazardous Waste Management Program Support Grants (1981U) Hazardous Waste Management Financial Assistance to States (1982B) Number changed to 66.801 (1983B)	66.465	Wellhead Protection Demonstration Projects (1994B) Deleted (1995B)
66.452	Solid Waste Management Demonstration Grants (1977U)	66.466	Chesapeake Bay Program (1994B) Chesapeake Bay Program (2005) Chesapeake Bay Program (2005)
		66.467	Wastewater Operator Training Grant Program (Technical Assistance) (1994U)
		66.468	Capitalization Grants for Drinking Water State Revolving Fund (1997B)
		66.469	Great Lakes Program (1997B)
		66.470	Hardship Grants Program for Rural Communities (1997B) Deleted (1998B)
		66.471	State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (2001B)
		66.472	Beach Monitoring and Notification Program Development Grants (2001B) Beach Monitoring and Notification Program Implementation Grants (2003B)
		66.473	Direct Implementation Tribal Cooperative Agreements (2001U)

66.474	Water Protection Coordination Grants to States (2002B) Water Protection Grants to the States (2003B)	66.507	Toxic Substances Research Grants (1978B) Toxic Substances Research (1985U) Consolidated into 66.500 (1997B)
66.475	Gulf of Mexico Program (2002B)	66.508	Senior Environmental Employment Program (1986B)
66.476	Vulnerability Assessments and Related Security Improvements at Large Drinking Water Utilities (2003B) Security Planning Grants for Large Drinking Water Utilities (2004) Deleted (2005)	66.509	Science To Achieve Results (STAR) Program (2002U) Science To Achieve Results (STAR) Research Program (2005) Science To Achieve Results (STAR) Research Program (2005)
66.477	Security Grants for Privately-Owned Water Utilities (2002U)	66.510	Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (2003B)
66.478	Water Security Training and Technical Assistance Grant Program (2003B) Water Security Training and Technical Assistance (2004) Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (2007)	66.511	Consolidated Research (2002U) Office of Research and Development Consolidated Research (2003) Office of Research and Development Consolidated Research/Training (2005) Office of Research and Development Consolidated Research/Training (2005) Office of Research and Development Consolidated Research/Training/Fellowships (2008)
66.479	Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (2005)	66.511, 66.610	Surveys, Studies, Investigations and Special Purpose Grants (2002U)
66.480	Assessment and Watershed Protection Program Grants (2005)	66.512	Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (2005)
66.481	Lake Champlain Basin Program (2005)	66.513	Greater Research Opportunities Fellowship Program (2004) Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (2006)
66.500	Environmental Protection-Comprehensive Research Grants (1972U) Deleted (2005) Deleted (2005) Environmental Protection-Consolidated Research Grants (1974U) Environmental Protection-Consolidated Research (1985U) Consolidated from 66.501, 66.502, 66.504, 66.505, 66.506, 66.507 (1997B) Environmental Protection Consolidated Research (2002B) Environmental Protection-Consolidated Research (2003B)	66.514	Science To Achieve Results (STAR) Fellowship Program (2004)
66.501	Air Pollution Control Research Grants (1973B) Number changed from 66.004 (1973B) Air Pollution Control Research (1985U) Consolidated into 66.500 (1997B)	66.515	Greater Opportunities Research Program (2004) Greater Opportunities: Research Program (2005) Greater Research Opportunities (GRO) Research Program (2008)
66.502	Pesticides Research Grants (1973B) Number changed from 66.100 (1973B) Pesticides Control Research Grants (1976B) Pesticides Control Research (1985U) Consolidated into 66.500 (1997B)	66.516	National Student Design Competition for Sustainability (2004) P3 Award: National Student Design Competition for Sustainability (2004)
66.503	Radiation Research Grants (1973B) Number changed from 66.200 (1973B) Deleted (1977B)	66.517	Regional Applied Research Efforts (RARE) (2007)
66.504	Solid Waste Research Grants (1973B) Number changed from 66.302 (1973B) Solid Waste Disposal Research Grants (1976B) Solid Waste Disposal Research (1985U) Consolidated into 66.500 (1997B)	66.518	State Senior Environmental Employment Program (2005)
66.505	Water Pollution Control-Research, Development, and Demonstration (1973B) Number changed from 66.405 (1973B) Water Pollution Control-Research, Development, and Demonstration Grants (1975B) Wastewater Pollution Control-Research, Development, and Demonstration (1985U) Consolidated into 66.500 (1997B)	66.600	Environmental Protection-Consolidated Program Grants (1973B) Environmental Protection Consolidated Grants-Program Support (2004) Environmental Protection Consolidated Grants for the Insular Areas - Program Support (2008) Environmental Protection-Consolidated Program Support Grants (1975U) Environmental Protection Consolidated Grants-Program Support (1976B)
66.506	Water Supply Research Grants (1973B) Water Research and Demonstration Grants (1975U) Safe Drinking Water Research and Demonstration (1985U) Consolidated into 66.500 (1997B)	66.601	Environmental Financing Authority (1974U) Deleted (1975U)
		66.602	Environmental Protection-Consolidated Special Purpose Grants (1975U) Environmental Protection Consolidated Grants-Special Purpose (1976B) Incorporated into 66.600 (1982B)
		66.603	Loan Guarantees for Construction of Treatment Works (1978U)
		66.604	Environmental Justice Grants to Small Community Groups (1994B) Environmental Justice Small Grant Program (2005) Environmental Justice Small Grant Program (2005)
		66.605	Performance Partnership Grants (1997B)
		66.606	Surveys, Studies, Investigations and Special Purpose Grants (1997B) Incorporated into 66.202 (2006)
		66.607	Training and Fellowships for the Environmental Protection Agency (1997B)
		66.608	One Stop Reporting (1997U)

	Environmental Information Exchange Network Grant Program and Related Assistance (2005) State Information Grants (2002B)	66.710	Environmental Justice Community/University Partnership Grants Program (1997B) Deleted (2001B)
66.609	Protection of Children And The Aging (Or Edlerly Population) (2003B)	66.711	Environmental Justice through Pollution Prevention Grants (1999B) Deleted (2002B)
66.609	Children's Health Protection (1998U) Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003B)	66.713	State and Tribal Environmental Justice (1998B) Deleted (2001B)
66.610	Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (2003B)	66.714	Pesticide Environmental Stewardship-Regional Grants (1999U) Pesticide Environmental Stewardship -Regional Grants (2004) Pesticide Environmental Stewardship Regional Grants (2005) Pesticide Environmental Stewardship Regional Grants (2005) Pesticide Environmental Stewardship Regional Grants (2003B)
66.611	Environmental Policy and Innovation Grants (2002U)	66.715	Childhood Blood-Lead Screening and Lead Awareness (Educational) Outreach for Indian Tribes (2001B) Tribal Educational Outreach on Lead Poisoning and Baseline Assessment of Tribal Children's Existing and Potential Exposure and Risks Associated With Lead (2006) Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (2008)
66.612	Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (2007)	66.716	Surveys, Studies, Investigations, Training and Demonstrations and Educational Outreach (2003B) Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (2008)
66.650	Environmental Protection-Interstate Cooperation and Uniform Laws (1973U) Number changed from 66.014 (1973U) Deleted (1978U)	66.717	Source Reduction Assistance (2002U)
66.651	Sustainable Development Challenge Grants (1997B) Innovative Community Partnership (2000B) Deleted (2000U)	66.718	National Community-Based Lead Outreach and Training Grant Program (2007)
66.700	Pesticides Enforcement Program Grants (1977U) Pesticides Enforcement Program (1985U) Consolidated Pesticide Compliance Monitoring and Program Cooperative Agreements (1990B) Incorporated from 66.704 (1990B) Consolidated Pesticide Enforcement Cooperative Agreements (1997B)	66.800	State Toxic Substances Control Projects (1979B) Deleted (1981B)
66.701	Toxic Substances Compliance Monitoring Cooperative Agreements (1984U) Toxic Substances Compliance Monitoring Program (1989U) Toxic Substances Compliance Monitoring Cooperative Agreements (1995B)	66.801	Hazardous Waste Management Financial Assistance to States (1983B) Number changed from 66.451 (1983B) Hazardous Waste Management State Program Support (1985U)
66.702	Asbestos Hazard Abatement School Assistance Program (1984U) Asbestos Hazards Abatement (Schools) Assistance (1985U) Deleted (1994B)	66.802	Hazardous Substance Response Trust Fund (1983B) Superfund State Site-Specific Cooperative Agreements (1994U) Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (2002B)
66.703	Asbestos Inspection and Management Plan Assistance (1987U) Deleted (1989B)	66.803	Hazardous Waste Management Financial Assistance (1984U) Deleted (1985B)
66.704	Pesticides Certification Program (1988U) Incorporated into 66.700 (1990B)	66.804	State Underground Storage Tanks Program (1985U) State and Tribal Underground Storage Tanks Program (2000B)
66.705	Toxic Release Inventory Data Quality Assurance Program (1990B) Toxic Release Inventory Data Quality Capabilities Program (1991B) Deleted (1992B)	66.805	Underground Storage Tank Trust Fund Program (1987B) Leaking Underground Storage Tank Trust Fund Program (1995B) Leaking Underground Storage Tank-Trust Fund (2002B) Leaking Underground Storage Tank Trust Fund Program (2003B)
66.706	Enhancement Grants for State Asbestos Programs (1991B) Deleted (1994B)	66.806	Superfund Technical Assistance Grants for Citizen Groups at Priority Sites (1988B) Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (2004) Superfund Technical Assistance Grants (Tag) for Citizen Groups at Priority Sites (2002B) Superfund Technical Assistance Grants for Citizen Groups at Priority Sites (2003B)
66.707	TSCA Title IV State Lead Grants-Certification of Lead- Based Paint Professionals (1994B) TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (2005) TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (2005) TSCA Title IV State Lead Grants Cerftication of Lead-Based Paint Professionals (2003B)	66.807	Superfund Innovative Technology Evaluation Program (1988B) Deleted (2004)
66.708	Pollution Prevention Grants Program Number changed from 66.900 (1994B) Revised (1997U)	66.808	Solid Waste Management Assistance (1989U) Solid Waste Management Assistance Grants (2005) Solid Waste Management Assistance Grants (2005)
66.709	Capacity Building Grants and Cooperative Agreements for States and Tribes (2001B) Multi-Media Capacity Building Grants for States and Tribes (2005) Multi-Media Capacity Building Grants for States and Tribes (2005)	66.809	Core Program Cooperative Agreements (1991B) Superfund State Core Program Cooperative Agreements (1994U)



Sunperfund State and Indian Tribe Core Program-Cooperative Agreements (2002B)  
 Superfund State and Indian Tribe Core Program Cooperative Agreements (2003B)  
 66.810 Emergency Planning and Community Right-to-Know Technical Assistance Grants (1993U)  
 Technical Assistance Grants Program (1994U)  
 CEPP Technical Assistance Grants Program (1995U)  
 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (2003B)  
 66.811 Brownfield Pilots Cooperative Agreements (1997B)  
 Revised (1998U)  
 66.812 Hazardous Waste Management Grants for Tribes (2002B)  
 Hazardous Waste Management Grant Program for Tribes (2005)  
 Hazardous Waste Management Grant Program for Tribes (2005)  
 Tribal Hazardous Waste Grants (2003B)  
 66.813 Alternative/Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (2002U)  
 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (2003B)  
 66.815 Brownfield Job Training Cooperative Agreements (2003B)  
 66.816 Headquarter and Regional Underground Storage Tanks (2002U)  
 Headquarters and Regional Underground Storage Tanks Program (2005)  
 Headquarters and Regional Underground Storage Tanks Program (2005)  
 Headquarters and Regional Underground Storage Tanks Program (2005)  
 66.817 State and Tribal Response Program Grants (2002U)  
 66.818 Brownfield Assessment and Cleanup Cooperative Agreements (2002U)  
 66.900 Pollution Prevention Incentives for States (1989U)  
 Pollution Prevention Grants Program (1991U)  
 Number changed to 66.708 (1994B)  
 66.925 State/EPA Data Management Financial Assistance Program (1991B)  
 Deleted (1993U)  
 66.926 Indian Environmental General Assistance Program (1993U)  
 Indian Environmental General Assistance Program (GAP) (2003B)  
 66.930 U.S.-Mexico Border Grants Program (1997B)  
 Deleted (2002B)  
 66.931 International Financial Assistance Projects (2002U)  
 66.940 Environmental Policy and State Innovation Grants (2005)  
 66.950 Environmental Education and Training Program (1992B)  
 66.951 Environmental Education Grants (1992B)  
 66.952 National Network for Environmental Management Studies Fellowship Program (2005)

#### **NATIONAL COUNCIL ON INDIAN OPPORTUNITY**

67.001 Indian Information and Counseling (1971B)  
 Indian Advice and Special Services (1973B)  
 Deleted (1974B)

#### **NATIONAL GALLERY OF ART**

68.001 National Gallery of Art Extension Service (1971B)

#### **OFFICE OF CONSUMER AFFAIRS**

69.001 Consumer Affairs (1971B)

Transferred from 52.500 (1971B)  
 Deleted (1973B)

#### **OVERSEAS PRIVATE INVESTMENT CORPORATION**

70.001 Foreign Currency Loans (1971B)  
 Transferred from 19.001 (1971B)  
 Deleted (1979B)  
 70.002 Foreign Investment Guaranties (1971B)  
 Transferred from 19.004 (1971B)  
 Foreign Investment Financing (1994B)  
 70.003 Foreign Investment Insurance (1971B)  
 Transferred from 19.005 (1971B)  
 70.004 Pre-Investment Assistance (1971B)  
 Deleted (1986U)  
 70.005 Direct Investment Loans (1971B)  
 Consolidated into 70.002 (1994B)

#### **FEDERAL HOME LOAN BANK BOARD**

71.001 Housing Opportunity Allowance Program (1971B)  
 Deleted (1972B)

#### **ACTION**

72.001 Foster Grandparents (1971U)  
 The Foster Grandparents Program (1973B)  
 The Foster Grandparent Program (1977B)  
 Foster Grandparent Program (1984B)  
 Number changed to 94.011 (1995B)  
 72.002 Retired Senior Volunteers (1971U)  
 Retired Senior Volunteer Program (1973B)  
 Number changed to 94.002 (1995B)  
 72.003 Volunteers in Service to America (1971U)  
 Number changed to 94.013 (1995B)  
 72.004 University Year for ACTION (1973B)  
 Deleted (1981U)  
 72.005 National Student Volunteer Program (1973B)  
 National Center for Service-Learning (1979U1)  
 Service-Learning Programs (1983B)  
 Student Community Service Program (1989U)  
 Deleted (1994B)  
 72.006 Service Corps of Retired Executives/Active Corps of Executives (1972U)  
 Service Corps of Retired Executives and Active Corps of Executives (1973B)  
 Transferred to 59.026 (1976B)  
 72.007 ACTION Cooperative Volunteer Program (1974B)  
 Incorporated into 72.003 (1976U)  
 72.008 The Senior Companion Program (1974B)  
 Senior Companion Program (1984B)  
 Number changed to 94.016 (1995B)  
 72.009 The Youth Challenge Program (1975B)  
 Deleted (1979B)  
 72.010 Mini-Grant Program (1976B)  
 Deleted (1992B)

- 72.011 State Volunteer Services Coordinator Program (1977B)  
State Office of Voluntary Citizen Participation (1979U1)  
State Office of Voluntarism (1986B)  
Deleted (1989U)
- 72.012 Special Volunteer Programs (1979U1)  
Volunteer Demonstration Program (1981U)  
Deleted (1991B)
- 72.013 Support Services Assistance (1980U1)  
Technical Assistance Program (1981U)  
Deleted (1991B)
- 72.014 Drug Alliance (1989B)  
Deleted (1994B)
- 72.015 Literacy Corps (1989B)  
Number changed to 94.010 (1995B)

**SPECIAL ACTION OFFICE FOR DRUG ABUSE PREVENTION**

- 73.001 Drug Abuse Prevention-Pharmacological Research (1973U)  
Deleted (1975B)
- 73.002 Drug Abuse Prevention-Planning and Coordinating Functions (1973U)  
Deleted (1975B)
- 73.003 Drug Abuse Prevention-Incentives Program (1973U)  
Deleted (1975B)

**AMERICAN REVOLUTION BICENTENNIAL ADMINISTRATION**

- 74.001 Bicentennial Administration-Matching Project Grants (Non-Appropriated) (1974B)  
Deleted (1976B)
- 74.002 Bicentennial Administration-Matching Project Grants (Appropriated) (1974B)  
Deleted (1976B)
- 74.003 Bicentennial Administration-Direct Grants (1974B)  
Deleted (1976B)

**OLD WEST REGIONAL COMMISSION**

- 75.001 Old West Regional Economic Development (1975B)  
Deleted (1981U)
- 75.002 Old West Technical and Planning Assistance (1975B)  
Deleted (1981U)
- 75.003 Old West Supplements to Federal Grant-in-Aid (1977B)  
Deleted (1981U)
- 75.007 Old West Health and Nutrition Demonstration Projects (1977U)  
Deleted (1981U)

**PACIFIC NORTHWEST REGIONAL COMMISSION**

- 76.001 Pacific Northwest Economic Development (1975B)  
Pacific Northwest Regional Economic Development (1975U)  
Deleted (1981U)
- 76.002 Pacific Northwest Technical and Planning Assistance (1975B)  
Deleted (1981U)
- 76.004 Pacific Northwest Regional Transportation (1977U)  
Deleted (1981U)

- 76.005 Pacific Northwest Energy Demonstration Projects and Programs (1977U)  
Deleted (1981U)
- 76.008 Pacific Northwest Education Demonstration Projects (1977U)  
Deleted (1981U)

**NUCLEAR REGULATORY COMMISSION**

- 77.001 Radiation Control-Training Assistance and Advisory Counseling (1975B)  
Deleted (2004)  
Transferred from 24.027 (1975B)
- 77.002 Radiological Emergency Response-Training Assistance (1979B)  
Transferred to 83.402 (1980B)
- 77.003 Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (1980U2)  
Deleted (1995U)  
Reinstated (1997B)  
Deleted (1998B)
- 77.004 Enhance Technology Advancement of Nuclear Energy Safety (1980U2)  
Deleted (1982B)
- 77.005 Financial Assistance for NRC Local Public Document Rooms (LPDRs) (1990B)  
Deleted (2004)
- 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (2006)
- 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (2008)
- 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (2007)

**COMMODITY FUTURES TRADING COMMISSION**

- 78.001 Agricultural Futures Markets Supervision (1975U)  
Transferred from 10.100 (1975U)  
Split into 78.002, 78.004 (1977B)
- 78.002 Commodity Futures Market Reports (1977B)  
Split from 78.001 (1977B)  
Deleted (1985U)
- 78.003 Commodity Futures Consumer Information (1977B)  
Deleted (1981B)
- 78.004 Commodity Futures Customer Inquiries, Complaints, and Reparation Claims (1977B)  
Split from 78.001 (1977B)  
Commodity Futures Reparations Claims (1979B)

**SOUTHWEST BORDER REGIONAL COMMISSION**

- 79.001 Southwest Border Regional Economic Development (1977U)  
Deleted (1981U)
- 79.002 Southwest Border Technical and Planning Assistance (1977U)  
Deleted (1981U)

**FEDERAL ENERGY ADMINISTRATION**

- 80.001 State Energy Conservation Program (1976U)  
Transferred to 81.041 (1978B)
- 80.002 Weatherization Assistance Program for Low-Income Persons (1977U)  
Transferred to 81.042 (1978B)
- 80.003 Supplemental State Energy Conservation Program (1977U)

Transferred to 81.043 (1978B)

## DEPARTMENT OF ENERGY

- 81.001 Access Permits (1978B)  
Transferred from 24.001 (1978B)  
Deleted (1979U1)
- 81.002 Motion Picture Film Libraries (1978B)  
Transferred from 24.002 (1978B)  
Deleted (1983B)
- 81.003 Granting of Patent Licenses (1978B)  
Transferred from 24.003 (1978B)
- 81.004 University-Laboratory Cooperative Program (1978B)  
Transferred from 24.004 (1978B)  
Consolidated from 81.097 (1997B)  
Deleted (1998B)
- 81.007 Faculty Training Institutes, Short Courses, and Workshops on Energy and Environmental Subjects (1978B)  
Transferred from 24.007 (1978B)  
Faculty Development Projects in Energy (1978U)  
Teacher Development Projects in Energy (1979B)  
Deleted (1983U)
- 81.011 Reactor Sharing and Fuel Assistance (1978B)  
Transferred from 24.011 (1978B)  
University Reactor Fuel Assistance (1980B)  
University Reactor Sharing and Fuel Assistance (1980U1)  
Consolidated into 81.049 (1992B)
- 81.020 Traineeships for Graduate Students in Energy Related Fields (1978B)  
Transferred from 24.020 (1978B)  
Deleted (1979B)
- 81.022 Energy-Related Laboratory Equipment Grants (1978B)  
Transferred from 24.022 (1978B)  
Used Energy-Related Laboratory Equipment Grants (1981U)
- 81.023 Information Services-Exhibits, Public Speakers, Publications, Reference, and Analysis (1978B)  
Transferred from 24.023 (1978B)  
Information Services-Exhibits, Public Speakers, and Publications (1979B)  
Deleted (1983B)
- 81.026 Payments in Lieu of Property Taxes (1978B)  
Transferred from 24.026 (1978B)  
Deleted (1979U1)
- 81.028 Radiological Emergency Assistance (1978B)  
Transferred from 24.028 (1978B)  
Deleted (1991B)
- 81.029 Nuclear Industry Seminars (1978B)  
Transferred from 24.029 (1978B)  
Uranium Industry Seminars (1980B)  
Deleted (1983U)
- 81.030 Work Experience (1978B)  
Transferred from 24.030 (1978B)  
Deleted (1980B)
- 81.033 Citizens' Workshops (1978B)
- Transferred from 24.033 (1978B)  
Deleted (1980U1)
- 81.035 Research and Development in Energy Conservation (1978B)  
Transferred from 24.035 (1978B)  
Deleted (1980U1)
- 81.036 Energy-Related Inventions (1978B)  
Transferred from 24.036 (1978B)  
Inventions and Innovations (2001U)
- 81.037 Research and Development-Fission, Fossil, Solar, Geothermal, Electric and Storage Systems, Magnetic Fusion (1978B)  
Transferred/Consolidated from 24.024, 24.034 (1978B)  
Research and Development-Fission, Fossil, Solar, Geothermal, Electric and Storage Systems (1980B)  
Deleted (1980U1)
- 81.038 Energy Information Administration-Clearinghouse (EIAC) (1978B)  
Energy Information Administration-Clearinghouse (1980B)  
Deleted (1982B)
- 81.039 National Energy Information Center (NEIC) (1978B)  
Deleted (2007)  
National Energy Information Center (1980B)
- 81.040 Grants for Offices of Consumer Services (1978B)  
Deleted (1982B)
- 81.041 State Energy Conservation Program (1978B)  
Transferred from 80.001 (1978B)  
State Energy Conservation (1980B)  
Consolidated from 81.052 (1995U)  
State Energy Program (1997B)
- 81.042 Weatherization Assistance Program for Low-Income Persons (1978B)  
Transferred from 80.002 (1978B)  
Weatherization Assistance for Low-Income Persons (1980B)
- 81.043 Supplemental State Energy Conservation Program (1978B)  
Transferred from 80.003 (1978B)  
Supplemental State Energy Conservation (1980B)  
Deleted (1983B)
- 81.044 Public Education in Energy (1978B)  
Deleted (1980B)
- 81.045 Special Studies and Projects in Energy Education and Training (1978B)  
Deleted (1980B)
- 81.046 Research and Development in Biomedical and Environmental Sciences (1978B)  
Transferred/Split from 24.034, 24.034 (1978B)  
Environmental Research and Impact Assessments (1978U)  
Deleted (1980B)
- 81.047 PREFACE (Pre-Freshman and Cooperative Education for Minorities in Engineering) (1978B)  
PREFACE (Pre-Freshman and Cooperative Education for Minorities and Women in Engineering) (1978U)  
Pre-Freshman and Cooperative Education for Minorities and Women in Engineering (1980B)  
Pre-Freshman Education for Minorities and Women in Engineering (1980U1)  
Pre-Freshman Engineering for Minorities and Women (1980U2)  
Deleted (1981B)  
Reinstated (1983U)



	Pre-Freshman Engineering (1983U)		Deleted (1993U)
	Pre-Freshman Enrichment (1990B)	81.064	DOE Technical Information Center (1980U2)
	Consolidated into 81.049 (1992B)		Office of Scientific and Technical Information (1984B)
81.048	Materials Allocation (1978B)	81.065	Research and Development Nuclear Energy Programs (1980U2)
	Priorities and Allocations for Energy Programs and Projects (1980B)		Nuclear Waste Disposal Siting (1983B)
	Deleted (1996B)	81.066	American Indian Energy Production and Efficiency (1980U2)
81.049	Basic Energy Sciences, High Energy and Nuclear Physics, and Advanced Technology and Assessment Projects (1978B)		Deleted (1982B)
	Transferred/Split from 24.024 (1978B)	81.067	Technical Assistance for Local and Tribal Governments (1980U2)
	Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, and Program Analysis (1980B)		Deleted (1982B)
	Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Program Analysis and Field Operations Management (1980U2)	81.068	Biomass Loan Guarantees (1980U2)
	Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1981B)		Deleted (1982B)
	Incorporated into 81.049, 81.073, 81.074 (1981U)	81.069	Gasoline Rationing-State Preimplementation Activities (1980U2)
	Basic Energy Sciences, High Energy/Nuclear Physics, Magnetic Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1983U)		Deleted (1982B)
	Basic Energy Services, High Energy and Nuclear Physics, Magnetic Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1985B)	81.070	Energy Auditor Training and Certification Grants (1980U2)
	Basic Energy Sciences-University and Science Education (1991B)		Deleted (1982B)
	Consolidated from 81.011, 81.047 (1992B)	81.071	Emergency Energy Conservation Act Plans (1980U2)
	Office of Energy Research Financial Assistance Program (1997B)		Deleted (1982B)
	Office of Science Financial Assistance Program (1999B)	81.072	Conservation Retrofit Delivery-Research and Development (1981U)
81.050	Energy Extension Service (1978B)		Deleted (1982B)
	Deleted (1994B)	81.073	Geothermal Technologies-Research and Development (1981U)
81.051	Appropriate Energy Technology (1979U1)		Split from 81.049 (1981U)
	Deleted (1985U)		Deleted (1982B)
81.052	Energy Conservation for Institutional Buildings (1979U1)	81.074	Alcohol Fuels Loan Guarantees (1981U)
	Consolidated into 81.041 (1995U)		Split from 81.049 (1981U)
81.053	Public Utility Regulatory Innovative Rates Support (1979U1)		Deleted (1983B)
	Deleted (1982B)	81.075	Energy Graduate Traineeship Program (1981U)
81.054	Public Utility Regulatory Support (1979U1)		Deleted (1983U)
	Deleted (1981U)	81.076	Indian Energy Resources (1983B)
81.055	Small Hydroelectric Power Project Feasibility Studies (1980B)		Deleted (1986U)
	Deleted (1981U)	81.077	University Research Instrumentation (1983U)
81.056	Coal Loan Guarantees (1980B)		Deleted (1996B)
	Deleted (1987U)	81.078	Industrial Energy Conservation (1983U)
81.057	University Coal Research (1980B)		Consolidated into 81.086 (1992U)
81.058	Geothermal Loan Guarantees (1980B)	81.079	Biomass Energy Technology (1983U)
	Deleted (1983B)		Biofuels and Municipal Waste Technology (1985U)
81.059	Clearinghouse for Community Energy Efficiency (1980B)		Regional Biomass Programs (1990U)
	Deleted (1982B)		Regional Biomass Energy Programs (1992U)
81.060	Electric and Hybrid Vehicle Loan Guaranties (1980B)	81.080	Energy Policy, Planning and Development (1983U)
	Deleted (1983B)		Domestic and International Energy Policy Development (1992B)
81.061	Oil Shale State Grants (1980U1)		Consolidated from 81.088 (1992B)
	Deleted (1981U)		Policy, Planning and Program Development (1993U)
81.062	National Clubs, Organizations and Associations Energy Conservation Projects (1980U1)		Office of Policy and Financial Assistance (1995B)
	National Clubs, Organizations and Associations Energy Awareness Projects (1981B)		Office of Policy Financial Assistance (1996B)
	Deleted (1983B)	81.081	Energy Task Force for the Urban Consortium (1983U)
81.063	Office of Minority Economic Impact Loans (1980U2)		Deleted (2001B)
		81.082	Management and Technical Assistance for Minority Business Enterprises (1984B)
			Deleted (2004)
		81.083	Minority Educational Institution Research Travel Fund (1984B)
			Deleted (1995B)

- 81.084 Minority Honors Vocational Training (1984B)  
Minority Honors Training and Industrial Assistance Program (1988B)  
Deleted (1994B)
- 81.085 National Energy Information Clearinghouse (1984B)  
National Minority Energy Information Clearinghouse (1985B)  
Minority Energy Information Clearinghouse (1992B)  
Deleted (1997B)
- 81.086 Conservation Research and Development (1984U)  
Consolidated from 81.078 (1992U)
- 81.087 Renewable Energy Research and Development (1984U)
- 81.088 International Affairs and Energy Emergencies (1984U)  
Consolidated into 81.080 (1992B)
- 81.089 Fossil Energy Research and Development (1984U)
- 81.090 State Heating Oil Grants (1985B)  
Deleted (1988B)
- 81.091 Socioeconomic and Demographic Research, Data and Other Information (1985U)  
Socioeconomic and Demographic Research, Data Analytic Model Development and Information (1993U)  
Deleted (1997B)
- 81.092 Remedial Action and Nuclear Waste Technology (1986B)  
Remedial Action and Waste Technology (1987U)  
Environmental Restoration (1990B)  
Deleted (1995B)
- 81.093 Nuclear Energy Policy, Planning and Development (1986U)  
Deleted (1991B)
- 81.094 Minority Educational Institution Assistance (1986U)  
Deleted (1991U)
- 81.095 Nuclear Energy, Reactor Systems, Development, and Technology (1987B)  
Deleted (1995B)
- 81.096 Innovative Clean Coal Technology (1988B)  
Clean Coal Technology Program (1990B)  
Deleted (1994B)
- 81.097 Science and Engineering Research Semester (1989B)  
Consolidated into 81.004 (1997B)
- 81.098 Minority Undergraduate Training for Energy Related Careers (1991B)  
Deleted (1995B)
- 81.099 Minority Math/Science Leadership Development Recognition (1991B)  
Deleted (1993B)
- 81.102 Academic Partnerships (1991B)  
Deleted (1998B)
- 81.103 Technology Integration (1991B)  
Consolidated into 81.104 (1993U)
- 81.104 Technology Development for Environmental Restoration and Waste Management (1992U)  
81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING (2008)  
Consolidated from 81.103 (1993U)  
Technology Development for Environmental Management (1994B)  
Office of Science and Technology for Environmental Management (2000B)  
Office of Technology Development and Deployment for Environmental Management (2003B)
- 81.105 National Industrial Competitiveness through Energy, Environment, and Economics (1993B)
- 81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns and Proposed Solutions (1993B)  
Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions, and Environmental Monitoring (1994U)  
Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (1995B)  
States and Tribal Concerns, Proposed Solutions (2003B)
- 81.107 Oil Recovery Demonstration (1993U)  
Deleted (1996B)
- 81.108 Epidemiology and Other Health Studies Financial Assistance (1994B)  
Deleted (1996B)  
Epidemiology and Other Health Studies Financial Assistance Program, Reinstated (1999B)
- 81.109 Financial Assistance Program-Science Education and Technical Information (1994U)  
Deleted (1997B)
- 81.110 National Resource Center for Plutonium (1995B)  
Deleted (2003B)
- 81.111 Alternative Fuel Transportation Program (1996B)  
Deleted (1997B)
- 81.112 Inertial Fusion Science-Support of Stockpile Stewardship (1997U)  
Stewardship Science Grant Program (1999B)
- 81.113 Nonproliferation and National Security Research (1998B)  
Defense Nuclear Nonproliferation Research (2000B)
- 81.114 University Nuclear Science and Reactor Support (1998B)
- 81.116 Science and Engineering Training to Support Diversity- Related Programs (1998U)  
Deleted (2004)
- 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (1999B)
- 81.118 Solar Energy Partnership Support and Barrier Elimination (1999B)  
Deleted (2001B)
- 81.119 State Energy Program Special Projects (2000B)
- 81.120 Arms Control and Nonproliferations Policy Analysis (2001B)  
Deleted (2003)  
Rescinded (2003B)
- 81.121 Nuclear Energy Research Initiative (2001U)  
Nuclear Energy Research, Development and Demonstration (2003B)
- 81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (2005)
- 81.123 National Nuclear Security Administration (NNSA) Historically Black Colleges and Universities (HBCU) Program (2005)  
National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (2006)
- 81.124 PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM (PSAAP) (2007)
- 81.126 Federal Loan Guarantees for Innovative Energy Technologies (2006)
- UNITED STATES INFORMATION AGENCY**
- 82.001 Educational Exchange-Graduate Students  
Transferred from 19.101 (1978B)  
Number changed to 19.400 (2000B)
- 82.002 Educational Exchange-University Lecturers (Professors) and Research Scholars  
Transferred from 19.102 (1978B)

82.003	Number changed to 19.401 (2000B) Private Sector Programs (1980B) Deleted (1981B)	83.002	State Fire Incident Reporting Assistance (1977B) Transferred from 11.701 (1979B) Number changed to 83.407 (1983B)
82.004	International Visitors Program (1998B) Number changed to 19.402 (2000B)	83.003	Public Education Assistance Program (1979B) Deleted (1983B)
82.005	Near and Middle East Research and Training Act (NMERTA) (1997U) Foreign Language and Area Studies-U.S. Students and Scholars (1998B) Deleted (1999B)	83.004	Technical Support Services (1980B) Number changed to 83.408 (1983B)
82.006	American Council of Young Political Leaders (1999B) Number changed to 19.403 (2000B)	83.005	Arson Task Force Assistance Program (1980U1) Deleted (1983B)
82.009	Professional Development-International Educators/Administrators (1997U) Number changed to 19.404 (2000B)	83.006	Student Stipend Program (1980U2) Number changed to 83.405 (1982B)
82.010	College and University Partnerships Program (1998U) Number changed to 19.405 (2000B)	83.007	Reimbursement for Firefighting on Federal Property (1980U2) Number changed to 83.409 (1983B) Number changed from 83.409 (1989B) Transferred to 97.016 (2003B)
82.011	College and University Affiliations Program (1998B) Number changed to 19.406 (2000B)	83.008	Community-Based Anti-Arson Program (1984U) Number changed from 83.410 (1989B) Deleted (1996B)
82.012	Teacher Exchange-New Independent States (NIS) (1998B) Number changed to 19.407 (2000B)	83.009	National Fire Academy-Training Assistance Number changed from 83.405 (1991B) National Fire Academy Training Assistance (1993B) Deleted (1996B) Reinstated (1996U) Transferred to 97.018 (2003B)
82.013	Educational Exchange-Teachers from Secondary and Postsecondary Levels (1997U) Number changed to 19.408 (2000B)	83.010	National Fire Academy Educational Program Number changed from 83.411 (1991B) Transferred to 97.019 (2003B)
82.015	Creative Arts Grants (1998B) Number changed to 19.409 (2000B)	83.011	Hazardous Materials Training Program for Implementation of the Superfund Amendment and Reauthorization Act (SARA) of 1986 (1993B) Transferred/Split into 83.552 (2000B) Transferred to 97.020 (2003B)
82.016	Educational Exchange-Congress-Bundestag Youth Exchange (1998B) Number changed to 19.410 (2000B)	83.012	Hazardous Materials Exercise Assistance Program (1993B) Hazardous Materials Assistance Program (1994B) Consolidated into 83.534 (1996B) Reinstated (2000B) Transferred to 97.021 (2003B)
82.018	Educational Exchange-NIS Secondary School Initiative (1998B) Number changed to 19.411 (2000B)	83.013	National Fire Academy Fire Executive Fellowship Program (1994B) Deleted (1995B)
82.021	Educational Exchange-Faculty (1997U) Deleted (1998B)	83.100	Flood Insurance (1980B) Transferred from 14.001 (1980B) Transferred to 97.022 (2003B)
82.026	Educational Exchange-Postgraduates and Faculty (1997U) Number changed to 19.412 (2000B)	83.101	Urban Property Insurance (1980B) Transferred from 14.002 (1980B) Deleted (1984U)
82.030	Cultural Exchange (Performing Arts) (1998U) Number changed to 19.413 (2000B)	83.102	Crime Insurance (1980B) Transferred from 14.003 (1980B) Deleted (1984U)
82.032	Cultural Exchange (1997U) Cultural Exchange (Visual Arts) (1998U) Number changed to 19.414 (2000B)	83.103	State Assistance Program-National Flood Insurance Program (1980U1) Number changed to 83.501 (1982B)
82.033	Professional Exchange-Annual Open Grant (1997U) Number changed to 19.415 (2000B)	83.104	Acquisition of Flood-Damaged Structures (1981B)
82.034	Exchange-English Teaching Fellows (1997U) Number changed to 19.416 (2000B)		
82.035	Exchange-English as a Foreign Language (EFL) Fellows (1997U) Number changed to 19.417 (2000B)		
82.038	Educational Exchange-American Studies Institutes (1997U) Number changed to 19.418 (2000B)		
<b>FEDERAL EMERGENCY MANAGEMENT ADMINISTRATION</b>			
83.001	Academy Planning Assistance (1975B) Transferred from 11.700 (1979B) Number changed to 83.404 (1982B)		



	Number changed to 83.502 (1982B)		Number changed to 83.527 (1991B)
	Number changed from 83.502 (1990U)	83.401	Emergency Management-Architect/Engineer Student Development (1980B)
	Deleted (1995B)		Transferred from 12.324 (1980B)
83.105	Community Assistance Program-State Support Services Element (CAP-SSSE) (1993B)		Emergency Management Institute-Architect/Engineer Student Program (1983U)
	Transferred to 97.023 (2003B)		Incorporated into 83.525 (1990B)
83.200	Civil Defense-State and Local Management (1980B)	83.402	Radiological Emergency Response-Training Assistance (1980B)
	Transferred from 12.315 (1980B)		Transferred from 77.002 (1980B)
	Emergency Management Assistance (1980U2)		Emergency Management Institute Radiological Emergency Response-Training (1983U)
	Number changed to 83.503 (1982B)		Incorporated into 83.400 (1989U)
83.201	Civil Defense-State and Local Maintenance and Services (1980B)	83.403	Training and Education Field Deployment (1981B)
	Transferred from 12.319 (1980B)		National Emergency Training Center-Field Training Program (1983U)
	State and Local Maintenance and Services (1980U2)		Emergency Management Institute-Field Studies Program (1984U)
	Number changed to 83.504 (1982B)		Number changed to 83.528 (1991B)
83.203	State Disaster Preparedness Grants (1980B)	83.404	Academy Planning Assistance (1982B)
	Transferred from 14.702 (1980B)		Number changed from 83.001 (1982B)
	Number changed to 83.505 (1982B)		Deleted (1983B)
83.204	Earthquake and Hurricane Loss Study and Contingency Planning Grants (1980B)	83.405	Student Stipend Program (1982B)
	Number changed to 83.506 (1982B)		Number changed from 83.006 (1982B)
83.205	Civil Defense-Industrial Preparedness Planning (1980B)		National Fire Academy Student Stipend Program (1983U)
	Transferred from 12.309 (1980B)		Number changed to 83.009 (1991B)
	Industrial Preparedness Planning (1980U2)	83.406	Training and Fire Programs Educational Program (1983B)
	Number changed to 83.507 (1982B)		National Emergency Training Center-Training Program (1983U)
83.206	Civil Defense-Radiological Instrument Maintenance and Calibration (1980B)		Deleted (1986B)
	Transferred from 12.310 (1980B)	83.407	State Fire Incident Reporting Assistance (1977B)
	Radiological Instruments Maintenance and Calibration (1980U2)		Number changed from 83.002 (1983B)
	Radiological Systems Maintenance (1981U)		Deleted (1984U)
	Number changed to 83.508 (1982B)	83.408	Technical Support Services (1980B)
83.207	Civil Defense-National Shelter Survey (1980B)		Number changed from 83.004 (1983B)
	Transferred from 12.312 (1980B)		Deleted (1984B)
	National Shelter Survey (1980U2)	83.409	Reimbursement for Firefighting on Federal Property (1980U2)
	Number changed to 83.509 (1982B)		Number changed from 83.007 (1983B)
83.208	Civil Defense-Radiation Shielding Design (1980B)		Number changed to 83.007 (1989B)
	Transferred from 12.316 (1980B)	83.410	Community-Based Anti-Arson Program (1984U)
	Radiation Shielding Design (1980U2)		Number changed to 83.008 (1989B)
	Number changed to 83.510 (1982B)	83.411	National Fire Academy Educational Program (1989U)
83.209	State Radiological Defense Officers (1981B)		Number changed to 83.010 (1991B)
	Number changed to 83.511 (1982B)	83.412	Emergency Management Institute (EMI)-Home Study Program (1989U)
83.210	State and Local Emergency Operating Centers (1981B)		Number changed to 83.529 (1991B)
	Number changed to 83.512 (1982B)	83.413	Emergency Management Institute (EMI)-Resident Educational Program (1989U)
83.211	Civil Defense-State and Local Supporting Materials (1981B)		Number changed to 83.530 (1991B)
	Number changed to 83.513 (1982B)	83.500	General Research, Development, and Demonstration Activity (1981U)
83.212	Nuclear Civil Protection Planning (1981U)		Deleted (1984U)
	Number changed to 83.514 (1982B)	83.501	State Assistance Program (1982B)
83.300	Disaster Assistance (1980B)		Number changed from 83.103 (1982B)
	Transferred from 14.701 (1980B)		Deleted (1985U)
	Number changed to 83.516 (1982B)	83.502	Acquisition of Flood-Damaged Structures (1982B)
83.400	Emergency Management Institute-Student Expense Program (1980B)		Number changed to 83.104 (1990U)
	Transferred from 12.314 (1980B)	83.503	Emergency Management Assistance (1982B)
	Emergency Management Institute-Training Assistance (1983U)		

	Number changed from 83.200 (1982B)		Consolidated into 83.532 (1993B)
	Civil Defense-State and Local Emergency Management Assistance (1987B)	83.516	Disaster Assistance (1982B)
	Consolidated into 83.534 (1996B)		Number changed from 83.300 (1982B)
83.504	State and Local Maintenance and Services (1982B)		Split into 83.537, 83.538, 83.539, 83.540, 83.541, 83.542, 83.543, 83.544, 83.545, 83.548 (1997U)
	Number changed from 83.201 (1982B)	83.517	Electromagnetic Pulse (EMP) Technical Support (1983B)
	Other State and Local Direction, Control and Warning (1984U)		Consolidated into 83.532 (1993B)
	Consolidated into 83.532 (1993B)	83.518	Emergency Public Information Competitive Challenge Grants (1984U)
83.505	State Disaster Preparedness Grants (1982B)		Deleted (1988B)
	Number changed from 83.203 (1982B)	83.519	Hazard Mitigation Assistance (1985U)
	Consolidated into 83.552 (2000B)		Deleted (1995B)
83.506	Earthquake and Hurricane Loss Study and Contingency Planning Grants (1982B)	83.520	Hurricane Preparedness Grants (1988B)
	Number changed from 83.204 (1982B)		Hurricane Program (1994B)
	Earthquake and Hurricane Preparedness Planning Grants (1983B)		Consolidated into 83.535 (1997U)
	Earthquake and Hurricane Preparedness Grants (1984U)	83.521	Earthquake Hazards Reduction Grants (1988B)
	Deleted (1988B)		Consolidated into 83.535 (1997U)
83.507	Industrial Preparedness Planning (1982B)	83.522	Radiological Defense (1988B)
	Number changed from 83.205 (1982B)		Consolidated into 83.531 (1993B)
	Deleted (1983B)	83.523	Federal Emergency Management Food and Shelter Program (1989B)
83.508	Radiological Systems Maintenance (1982B)		Emergency Food and Shelter National Board Program (1996U)
	Number changed from 83.206 (1982B)		Transferred to 97.024 (2003B)
	Radiological Instrumentation (1984U)	83.524	Superfund Permanent Relocation Assistance Program (1989U)
	Deleted (1988B)		Deleted (1992U)
83.509	National Shelter Survey (1982B)	83.525	Shelter Survey Technician Program-Job Qualification Training (1990B)
	Number changed from 83.207 (1982B)		Deleted (1993B)
	Facility Survey, Engineering and Development (1984B)	83.526	National Urban Search and Rescue (US&R) Program (1991B)
	Deleted (1993B)		National Urban Search and Rescue (US&R) Response System (1995B)
83.510	Radiation Shielding Design (1982B)		Transferred to 97.025 (2003B)
	Number changed from 83.208 (1982B)	83.527	Emergency Management Institute-Training Assistance
	Shelter Development (1983B)		Number changed from 83.400 (1991B)
	Facility Survey Development (1986B)		Transferred to 97.026 (2003B)
	Deleted (1993B)	83.528	Emergency Management Institute-Field Training Program
83.511	State Radiological Defense Officers (1982B)		Number changed from 83.403 (1991B)
	Number changed from 83.209 (1982B)		Consolidated into 83.534 (1996B)
	Radiological Protection Program (1985B)	83.529	Emergency Management Institute (EMI)-Home Study Program
	Radiological Protection Planning and Development (1986B)		Number changed from 83.412 (1991B)
	Radiological Defense Planning and Development (1987U)		Emergency Management Institute (EMI)-Independent Study Program (1993U)
	Deleted (1988B)		Transferred to 97.027 (2003B)
83.512	State and local Emergency Operating Centers (1982B)	83.530	Emergency Management Institute (EMI)-Resident Educational Program
	Number changed from 83.210 (1982B)		Number changed from 83.413 (1991B)
	Consolidated into 83.532 (1993B)		Transferred to 97.028 (2003B)
83.513	State and Local Supporting Materials (1982B)	83.531	State and Local Emergency Management Assistance-Other Assistance
	Number changed from 83.211 (1982B)		Consolidated from 83.514, 83.522 (1993B)
	State and Local Warning and Communication Systems (1983B)		Consolidated into 83.534 (1996B)
	Consolidated into 83.532 (1993B)	83.532	Facilities and Equipment
83.514	Nuclear Civil Protection Planning (1982B)		Consolidated from 83.504, 83.512, 83.513, 83.515, 83.517 (1993B)
	Number changed from 83.212 (1982B)		Consolidated into 83.534 (1996B)
	Population Protection Planning (1983B)	83.533	COOPs for Digitization of Flood Maps (1995B)
	Consolidated into 83.531 (1993B)		Deleted (1996B)
83.515	Broadcast Station Protection Program (1982B)		
	Emergency Broadcast System Guidance and Assistance (1983B)		

83.534	Emergency Management-State and Local Assistance Consolidated from 83.012, 83.503, 83.528, 83.531, 83.532 (1996B) Consolidated into 83.552 (2000B)	Consolidated from 83.011, 83.505, 83.534, 83.535 (2000B) Transferred to 97.042 (2003B)
83.535	Mitigation Assistance Consolidated from 83.520, 83.521 (1997U) Consolidated into 83.552 (2000B)	83.553 State Fire Training Systems Grants (2001B) Transferred to 97.043 (2003B)
83.536	Flood Mitigation Assistance (1997U) Transferred to 97.029 (2003B)	83.554 Assistance to Firefighters Grant (2002B) Transferred to 97.044 (2003B)
83.537	Community Disaster Loans Incorporated from 83.516 (1997U) Transferred to 97.030 (2003B)	83.555 Cooperating Technical Partners (2002B) Transferred to 97.045 (2003B)
83.538	Cora Brown Fund Incorporated from 83.516 (1997U) Transferred to 97.031 (2003B)	83.556 Fire Management Assistance Grant (2002B) Transferred to 97.046 (2003B)
83.539	Crisis Counseling Incorporated from 83.516 (1997U) Transferred to 97.032 (2003B)	83.557 Pre-Disaster Mitigation (2002B) Transferred to 97.047 (2003B)
83.540	Disaster Legal Services Incorporated from 83.516 (1997U) Transferred to 97.033 (2003B)	83.558 Federal Assistance to Individuals and Households-Housing (2002B) Transferred to 97.048 (2003B)
83.541	Disaster Unemployment Assistance Incorporated from 83.516 (1997U) Transferred to 97.034 (2003B)	83.559 Federal Assistance to Individuals and Households- Disaster Housing Operations (2002B) Transferred to 97.049 (2003B)
83.542	Fire Suppression Assistance Incorporated from 83.516 (1997U) Transferred to 83.55 (2002B)	83.560 Federal Assistance to Individuals and Households-Other Needs (2002B) Transferred to 97.050 (2003B)
83.543	Individual and Family Grants Incorporated from 83.516 (1997U) Transferred to 97.035 (2003B)	83.562 State and Local All Hazards Emergency Operations Planning (2000B) Transferred to 97.051 (2003B)
83.544	Public Assistance Grants Incorporated from 83.516 (1997U) Transferred to 97.036 (2003B)	83.563 Emergency Operations Centers (2000B) Transferred to 97.052 (2003B)
83.545	Disaster Housing Program Incorporated from 83.516 (1997U) Transferred to 97.037 (2003B)	83.564 Citizen Corps (2000B) Transferred to 97.053 (2003B)
83.546	National Arson Prevention Initiative (1997U) Deleted (1998U)	83.565 Community Emergency Response Teams (2000B) Transferred to 97.054 (2003B)
83.547	First Responder Anti-Terrorism Training Assistance (1997U) First Responder Counter-Terrorism Training Assistance (1999B) Transferred to 97.038 (2003B)	83.566 Interoperable Communications Equipment (2000B) Transferred to 97.055 (2003B)
83.548	Hazard Mitigation Grant Incorporated from 83.516 (1997U) Transferred to 97.039 (2003B)	
83.549	Chemical Stockpile Emergency Preparedness Program (1998U) Transferred to 97.040 (2003B)	
83.550	National Dam Safety Program (1998U) Transferred to 97.041 (2003B)	
83.551	Project Impact-Building Disaster Resistant Communities (1998U) Deleted (2002B)	
83.552	Emergency Management Performance Grants (1999U)	
<b>DEPARTMENT OF EDUCATION</b>		
		84.001 Academic Facilities Reconstruction and Renovation for Removal of Architectural Barriers (1980U1) Deleted (1981U)
		84.002 Adult Education-State-Administered Program (1980U1) Adult Education - Basic Grants to States (2008) Transferred from 13.400 (1980U1) Adult Education-State Administered Basic Grant Program (1988U) Adult Education-State Grant Program (1995U)
		84.003 Bilingual Education (1980U1) Transferred from 13.403 (1980U1) Deleted (1998B)
		84.004 Civil Rights Technical Assistance and Training (1980U1) Transferred from 13.405 (1980U1) Desegregation Assistance, Civil Rights Training, and Advisory Services (1989U) Civil Rights Training and Advisory Services (1997B)
		84.005 College Library Resources (1980U1) Transferred from 13.406 (1980U1) Deleted (1985B)
		84.006 Teacher Centers (1980U1) Transferred from 13.416 (1980U1)



- Deleted (1982B)
- 84.007 Supplemental Educational Opportunity Grants (1980U1)  
Transferred from 13.418 (1980U1)  
Federal Supplemental Education Opportunity Grants (1992U)
- 84.008 Alcohol and Drug Abuse Education Program (1980U1)  
Transferred from 13.420 (1980U1)  
Deleted (1982B)  
Reinstated (1983U)  
Alcohol and Drug Abuse Education (1983U)  
Deleted (1987B)
- 84.009 Program for Education of Handicapped Children in State Operated or Supported Schools (1980U1)  
Transferred from 13.427 (1980U1)  
Education of Handicapped Children in State Operated or Supported Schools (1990U)  
Education of Children with Disabilities in State Operated or Supported Schools (1994B)  
Deleted (1995U)
- 84.010 Educationally Deprived Children-Local Educational Agencies (1980U1)  
Transferred from 13.428 (1980U1)  
Chapter 1 Programs-Local Educational Agencies (1990U)  
Chapter 1 Grants to Local Educational Agencies (1994U)  
Title I Grants to Local Educational Agencies (1995B)
- 84.011 Educationally Deprived Children-Migrants (1980U1)  
Transferred from 13.429 (1980U1)  
Migrant Education Program-State Formula Grant Program (1980U2)  
Migrant Education-Basic State Formula Grant Program (1981U)  
Migrant Education-Basic State Grant Program (1994U)  
Migrant Education-State Grant Program (2002B)
- 84.012 Educationally Deprived Children-State Administration (1980U1)  
Transferred from 13.430 (1980U1)  
Deleted (1995U)
- 84.013 Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (1980U1)  
Transferred from 13.431 (1980U1)  
Neglected and Delinquent Children (1984B)  
Chapter 1 Program for Neglected and Delinquent Children (1990U)  
Title I Program for Neglected and Delinquent Children (1995B)
- 84.014 Follow Through (1980U1)  
Transferred from 13.433 (1980U1)  
Deleted (1995U)
- 84.015 International Studies Centers and Foreign Language Area (1980U1)  
National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (2008)  
Transferred from 13.434 (1980U1)  
National Resource Centers and Fellowships in International Studies (1981B)  
National Resource Centers and Fellowships Program for Language and Area or Language and International Studies (1983B)
- 84.016 International Studies Programs (1980U1)  
Transferred from 13.435 (1980U1)  
International Studies Program (1981B)  
Undergraduate International Studies and Foreign Language Programs (1981U)
- 84.017 Foreign Language and Area Studies-Research (1980U1)  
Transferred from 13.436 (1980U1)  
International Research and Studies (1981B)
- 84.018 Teacher Exchange (1980U1)  
Overseas Programs-Special Bilateral Projects (2004)  
Transferred from 13.437 (1980U1)  
Summer Seminars Aboard (1984U)  
Fulbright-Hays Training Grants-Seminars Abroad (1986B)  
Fulbright-Hays Seminar Abroad-Special Bilateral Projects (1986U)  
Fulbright-Hays Seminars Abroad-Bilateral Projects (1989U)  
International: Overseas Seminars Abroad-Bilateral Projects (1994U)  
Overseas Seminars Abroad-Bilateral Projects (2003B)
- 84.019 Fulbright-Hays Training Grants-Faculty Research Abroad (1980U1)  
Overseas Programs - Faculty Research Abroad (2008)  
Transferred from 13.438 (1980U1)  
International: Overseas-Faculty Research Abroad (1994U)  
Overseas-Faculty Research Abroad (2003B)
- 84.020 Fulbright-Hays Training Grants-Foreign Curriculum Consultants (1980U1)  
Transferred from 13.439 (1980U1)  
Deleted (1988U)
- 84.021 Fulbright-Hays Training Grants-Group Projects Abroad (1980U1)  
Overseas Programs - Group Projects Abroad (2008)  
Transferred from 13.440 (1980U1)  
International: Overseas-Group Projects Abroad (1994U)  
Overseas-Group Projects Abroad (2003B)
- 84.022 Fulbright-Hays Training Grants-Doctoral Dissertation Research Abroad (1980U1)  
Overseas Programs - Doctoral Dissertation Research Abroad (2008)  
Transferred from 13.441 (1980U1)  
International: Overseas-Doctoral Dissertation (1994U)  
Overseas-Doctoral Dissertation (2003B)
- 84.023 Handicapped-Research and Demonstration (1980U1)  
Transferred from 13.443 (1980U1)  
Research in the Education of the Handicapped (1981B)  
Handicapped-Research and Demonstration (1981U)  
Handicapped-Innovation and Development (1985B)  
Disabled-Innovation and Development (1991B)  
Special Education-Innovation and Development (1993B)  
Deleted (1998B)
- 84.024 Handicapped Early Childhood Assistance (1980U1)  
Transferred from 13.444 (1980U1)  
Handicapped Early Childhood Education (1985B)  
Early Education for Children with Disabilities (1991B)  
Deleted (1998B)
- 84.025 Handicapped Innovative Programs-Deaf-Blind Centers (1980U1)  
Transferred from 13.445 (1980U1)  
Handicapped Innovative Programs-Deaf-Blind (1984B)  
Deaf-Blind Centers (1985B)  
Handicapped Education-Deaf-Blind Centers (1987U)  
Services for Deaf-Blind Children and Youth (1991B)  
Services for Children with Deaf-Blindness (1992B)

	Deleted (1998B)		Transferred from 13.464 (1980U1)
84.026	Handicapped Media Services and Captioned Films (1980U1)		Library Services (1985U)
	Transferred from 13.446 (1980U1)		Public Library Services (1990U)
	Media and Captioning for Individuals with Disabilities (1991B)		Deleted (1997B)
	Media and Captioning Services for Individuals with Disabilities (1994B)	84.035	Interlibrary Cooperation (1980U1)
	Deleted (1998B)		Transferred from 13.465 (1980U1)
84.027	Handicapped Preschool and School Programs (1980U1)		Interlibrary Cooperation and Resource Sharing (1986U)
	Transferred from 13.449 (1980U1)		Interlibrary Cooperation (1990U)
	Handicapped-State Grants (1985U)		Interlibrary Cooperation and Resource Sharing (1991B)
	Special Education-State Grants (1991B)		Deleted (1997B)
	Special Education-Grants to States (1994U)	84.036	Library Training (1980U1)
84.028	Handicapped Regional Resource Centers (1980U1)		Transferred from 13.468 (1980U1)
	Transferred from 13.450 (1980U1)		Library Career Training (1981U)
	Handicapped Regional Resource and Federal Centers (1987U)		Library Education and Human Resource Development (1992U)
	Disabled-Regional Resource and Federal Centers (1991B)		Library Education and Training (1993U)
	Special Education-Regional Resource and Federal Centers (1993B)		Deleted (1997B)
	Special Education Resource Centers (1994B)	84.037	National Defense/Direct Student Loan Cancellations (1980U1)
	Special Education-Regional Resource Centers (1994B)		Transferred from 13.470 (1980U1)
	Deleted (1998B)		National Defense/National Direct/Perkins Loan Cancellations (1988B)
84.029	Handicapped Personnel Preparation (1980U1)		National Defense/National Direct/Federal Perkins Loan Cancellations (1992U)
	Transferred from 13.451 (1980U1)		Federal Perkins Loan Cancellations (1994B)
	Training Personnel for the Education of the Handicapped (1983B)		Loan Cancellations (2001B)
	Special Education Personnel Development (1985B)		Perkins Loan Cancellations (2003B)
	Handicapped Education-Special Education Personnel Development (1987U)	84.038	National Defense/Direct Student Loans (1980U1)
	Special Education-Special Education Personnel Development (1991B)		Transferred from 13.471 (1980U1)
	Special Education-Special Education Personnel Development and Parent Training (1992B)		Perkins Loans (1987B)
	Special Education Personnel Development and Parent Training (1994B)		Perkins Loan Program (1990B)
	Special Education-Personnel Development and Parent Training (1994B)		Perkins Loan Program-Federal Capital Contributions (1990U)
	Deleted (1998B)		Federal Perkins Loan Program-Federal Capital Contributions (1992U)
84.030	Handicapped Teacher Recruitment and Information (1980U1)	84.039	Library Research and Demonstration (1980U1)
	Transferred from 13.452 (1980U1)		Transferred from 13.475 (1980U1)
	Handicapped Teacher Recruitment and Information Dissemination (1984B)		Deleted (1997B)
	Handicapped Teacher Recruitment and Information (1985B)	84.040	School Assistance in Federally Affected Areas-Construction (1980U1)
	Clearinghouses for the Handicapped Program (1987U)		Transferred from 13.477 (1980U1)
	Clearinghouses for the Disabled (1991B)		Impact Aid-Construction (1987U)
	Clearinghouses for Individuals with Disabilities (1992B)		Impact Aid-Facilities Maintenance (1995U)
	Deleted (1998B)	84.041	School Assistance in Federally Affected Areas-Maintenance and Operation (1980U1)
84.031	Higher Education-Strengthening Developing Institutions (1980U1)		Transferred from 13.478 (1980U1)
	Transferred from 13.454 (1980U1)		Impact Aid-Maintenance and Operation (1987U)
	Higher Education-Institution Aid (1985B)		Impact Aid-Maintenance and Operations (1990U)
84.032	Higher Education Act Insured Loans (1980U1)		Impact Aid (1995U)
	Transferred from 13.460 (1980U1)	84.042	Special Services for Disadvantaged Students (1980U1)
	Guaranteed Student Loans (1989B)		Transferred from 13.482 (1980U1)
	Federal Family Education Loans (1993U)		Student Support Services (1987B)
84.033	College Work-Study Program (1980U1)		TRIO-Student Support Services (1995U)
	Transferred from 13.463 (1980U1)	84.043	Strengthening State Educational Agency Management (1980U1)
	Federal Work-Study Program (1992U)		Transferred from 13.486 (1980U1)
84.034	Public Library Services (1980U1)		Deleted (1982B)
		84.044	Talent Search (1980U1)

	Transferred from 13.488 (1980U1) TRIO-Talent Search (1995U)	84.058	Emergency School Aid Act-Educational Television and Radio (1980U1) Transferred from 13.530 (1980U1) Deleted (1982B)
84.045	Teacher Corps-Operations and Training (1980U1) Transferred from 13.489 (1980U1) Deleted (1982B)	84.059	Emergency School Aid Act-Special Programs and Projects (1980U1) Transferred from 13.532 (1980U1) Split/Incorporated into 84.106, 84.107, 84.108, 84.109, 84.110 (1981B)
84.046	Community Service and Continuing Education-State Grants (1980U1) Transferred from 13.491 (1980U1) Continuing Education Outreach-State Administered Program (1981B) Deleted (1983B)	84.060	Development Awards Program-Indian Education-Local Educational Agencies and Tribal Schools (1980U1) Transferred from 13.534 (1980U1) Indian Education-Entitlement Grants to Local Educational Agencies and Tribal Schools (1981U) Indian Education-Formula Grants to Local Educational Agencies and Tribal Schools (1984U) Indian Education-Formula Grants to Local Educational Agencies (1988U) Indian Education-Grants to Local Educational Agencies (1994U)
84.047	Upward Bound (1980U1) Transferred from 13.492 (1980U1) TRIO-Upward Bound (1995U)	84.061	Indian Education-Special Programs and Projects (1980U1) Transferred from 13.535 (1980U1) Deleted (1995U)
84.048	Vocational Education-Basic Grants to States (1980U1) Career and Technical Education -- Basic Grants to States (2008) Transferred from 13.493 (1980U1)	84.062	Indian Education-Adult Indian Education (1980U1) Transferred from 13.536 (1980U1) Indian Education-Adult Education (1990U) Deleted (1997B)
84.049	Vocational Education-Consumer and Homemaking Education (1980U1) Transferred from 13.494 (1980U1) Vocational Education-Consumer and Homemaker Education (1985B) Deleted (1996B)	84.063	Basic Educational Opportunity Grant Program (1980U1) Transferred from 13.539 (1980U1) Pell Grant Program (1981B) Federal Pell Grant Program (1992U)
84.050	Vocational Education-Program Improvement and Supportive Service (1980U1) Transferred from 13.495 (1980U1) Deleted (1985B)	84.064	Higher Education-Veterans' Cost of Instruction Program (1980U1) Transferred from 13.540 (1980U1) Higher Education-Veterans Education Outreach Program (1987B) Deleted (1994B)
84.051	Vocational Education-Program Improvement Projects (1980U1) Vocational Education-National Programs (2004) Career and Technical Education -- National Programs (2008) Transferred from 13.498 (1980U1) National Vocational Education Research (1985B) Vocational Education-National Centers for career and Technical Education (2002B)	84.065	Educational Television and Radio (Programming) (1980U1) Transferred from 13.541 (1980U1) Educational Television and Radio Programming (1981B) Deleted (1983B)
84.052	Vocational Education-Special Programs for the Disadvantaged (1980U1) Transferred from 13.499 (1980U1) Deleted (1985B)	84.066	Educational Opportunity Centers (1980U1) Transferred from 13.543 (1980U1) TRIO-Educational Opportunity Centers (1995U)
84.053	Vocational Education-State Advisory Councils (1980U1) Transferred from 13.500 (1980U1) Vocational Education-State Councils (1985B) Deleted (1997B)	84.067	Use of Technology in Basic Skills Instruction (1980U1) Transferred from 13.544 (1980U1) Deleted (1983B)
84.054	Vocational Education-Leadership Development Awards Program (1980U1) Transferred from 13.503 (1980U1) Deleted (1981B)	84.068	Indochina Refugee Children Assistance (1980U1) Transferred from 13.545 (1980U1) Deleted (1982B)
84.055	Higher Education-Cooperative Education (1980U1) Transferred from 13.510 (1980U1) Deleted (1997B)	84.069	Grants to States for State Student Incentives (1980U1) Transferred from 13.548 (1980U1) State Student Incentives Grants (1994U) Leveraging Educational Assistance Partnership (1999B)
84.056	Emergency School Aid Act-Basic Grants to Local Educational Agencies (1980U1) Transferred from 13.525 (1980U1) Deleted (1982B)	84.070	Ethnic Heritage Studies Program (1980U1) Transferred from 13.549 (1980U1) Deleted (1982B)
84.057	Emergency School Aid Act-Grants to Nonprofit Organizations (1980U1) Transferred from 13.529 (1980U1) Deleted (1982B)	84.071	State Postsecondary Education Commissions Program-Intrastate Planning (1980U1)



	Transferred from 13.550 (1980U1) Incorporated into 84.046 (1981B)		Transferred from 13.567 (1980U1) Incorporated into 84.094 (1981B)
84.072	Indian Education-Grants to Indian-Controlled Schools (1980U1) Transferred from 13.551 (1980U1) Deleted (1996B)	84.086	Innovative Programs for Severely Handicapped Children (1980U1) Transferred from 13.568 (1980U1) Handicapped Education-Severely Handicapped Program (1987U) Special Education-Severely Disabled Program (1991B) Special Education-Program for Severely Disabled Children (1994U) Deleted (1998B)
84.073	National Diffusion Program (National Diffusion Network) (1980U1) Transferred from 13.553 (1980U1) National Diffusion Program (1981B) National Diffusion Network (1981U) Deleted (1997B)	84.087	Indian Education-Fellowships for Indian Students (1980U1) Transferred from 13.569 (1980U1) Deleted (1997B)
84.074	Career Education (1980U1) Transferred from 13.554 (1980U1) Deleted (1982B)	84.088	Instructional Materials and School Library Resources (1980U1) Transferred from 13.570 (1980U1) Deleted (1982B)
84.075	Public Service Education-Institutional Grants and Fellowships (1980U1) Transferred from 13.555 (1980U1) Incorporated into 84.094 (1981B)	84.089	Improvement in Local Educational Practice (1980U1) Transferred from 13.571 (1980U1) Deleted (1982B)
84.076	Community Service and Continuing Education-Special Projects (1980U1) Transferred from 13.557 (1980U1) Deleted (1980U2)	84.090	Health Education Assistance Loans (1980U1) Transferred from 13.574 (1980U1) Transferred to 13.108 (1981B)
84.077	Bilingual Vocational Training (1980U1) Transferred from 13.558 (1980U1) Deleted (1996B)	84.091	Strengthening Research Library Resources (1980U1) Transferred from 13.576 (1980U1) Improving Access to Research Library Resources (1992U) Deleted (1996B)
84.078	Regional Education Programs for Deaf and Other Handicapped Persons (1980U1) Transferred from 13.560 (1980U1) Postsecondary Education Programs for Handicapped Persons (1984B) Postsecondary Education Programs for Persons with Disabilities (1991B) Special Education-Postsecondary Education Programs for Persons with Disabilities (1994U) Deleted (1998B)	84.092	Guidance, Counseling, and Testing in Elementary/Secondary Schools (1980U1) Transferred from 13.577 (1980U1) Deleted (1981B)
84.079	Education for the Use of the Metric System of Measurement (1980U1) Transferred from 13.561 (1980U1) Deleted (1982B)	84.093	Emergency Adult Education Program for Indochina Refugees (1980U1) Transferred from 13.579 (1980U1) Deleted (1982B)
84.080	Education for Gifted and Talented Children and Youth (1980U1) Transferred from 13.562 (1980U1) Deleted (1982B)	84.094	Graduate and Professional Opportunities (1980U1) Transferred from 13.580 (1980U1) Graduate and Professional Study (1981B) Patricia Roberts Harris Fellowships (1987B) Harris Fellowships (1993U) Deleted (1997B)
84.081	Community Education (1980U1) Transferred from 13.563 (1980U1) Deleted (1982B)	84.095	Citizen Educational for Cultural Understanding Program (1980U1) Transferred from 13.581 (1980U1) International Understanding Program (1981B) Deleted (1982B)
84.082	Consumers' Education (1980U1) Transferred from 13.564 (1980U1) Deleted (1982B)	84.096	Incentive Grants for State Student Financial Assistance Training (1980U1) Transferred from 13.582 (1980U1) Deleted (1981U)
84.083	Women's Educational Equity (1980U1) Transferred from 13.565 (1980U1) Women's Educational Equity Act Program (1994U)	84.097	Law School Clinical Experience Program (1980U1) Transferred from 13.584 (1980U1) Deleted (1997B)
84.084	Elementary and Secondary School Education in the Arts (1980U1) Transferred from 13.566 (1980U1) Deleted (1982B)	84.098	Educational Information Centers (1980U1) Transferred from 13.585 (1980U1) Incorporated into 84.046 (1981B)
84.085	Domestic Mining and Mineral and Mineral Fuel Conservation Fellow (1980U1)		

84.099	Bilingual Vocational Instructor Training (1980U1) Transferred from 13.586 (1980U1) Deleted (1996B)	Transferred from 13.691 (1980U1) Deleted (1982B)
84.100	Bilingual Vocational Instructional Materials, Methods, and Techniques (1980U1) Transferred from 13.587 (1980U1) Bilingual Vocational Materials, Methods, and Techniques (1985B) Deleted (1996B)	84.113 Adult Education Program for Adult Immigrants (1980U1) Transferred from 13.692 (1980U1) Deleted (1982B)
84.101	Vocational Education-Program for Indian Tribes and Indian Organizations (1980U1) Career and Technical Education - Indian Set-aside (2008) Transferred from 13.588 (1980U1) Vocational Education-Indian and Hawaiian Natives (1985B) Vocational Education-Indians (1992U) Vocational Education-Indians Set-aside (1994U)	84.114 Capacity Building for Statistical Activities (1980U1) Transferred from 13.922 (1980U1) Capacity-Building Grants for Data Systems in State Agencies (1981U) Deleted (1982B)
84.102	Emergency School Aid Act-Magnet Schools, University/Business Cooperation and Neutral Site Planning (1980U1) Transferred from 13.589 (1980U1) Deleted (1982B)	84.115 Institute of Museum Services (1980U1) Transferred from 13.923 (1980U1) Transferred to 45.301 (1982B)
84.103	Training for Special Programs Staff and Leadership Personnel (1980U1) TRIO Staff Training Program (2005) TRIO Staff Training Program (2005) Transferred from 13.592 (1980U1) Training Program for Federal TRIO Programs (1993B) Higher Education-TRIO Staff Training Program (1994U)	84.116 Fund for the Improvement of Postsecondary Education (1980U1) Transferred from 13.925 (1980U1)
84.104	Career Education State Allotment Program (1980U1) Transferred from 13.596 (1980U1) Deleted (1982B)	84.117 Educational Research and Development (1980U1) Transferred from 13.950 (1980U1) Deleted (1996B)
84.105	Basic Skills Improvements (1980U1) Transferred from 13.599 (1980U1) Basic Skills Improvement (1981B) Deleted (1982B)	84.118 National Adult Education Development and Dissemination Program and Planning Grants (1980U1) Deleted (1981B)
84.106	Emergency School Aid Act-Planning Grants (1980U1) Transferred from 13.685 (1980U1) Deleted (1982B)	84.119 Pre-College Teacher Development In Science Program (1980U1) Deleted (1982B)
84.107	Emergency School Aid Act-Pre-Implementation Assistance Grants (1980U1) Transferred from 13.686 (1980U1) Deleted (1982B)	84.120 Minority Institutions Science Improvement Program (1980U1) Minority Science Improvement (1987B) Minority Science and Engineering Improvement (1999B)
84.108	Emergency School Aid Act-Out-of-Cycle Grants (1980U1) Transferred from 13.687 (1980U1) Deleted (1982B)	84.121 Vocational Education-State Planning and Evaluation (1980U1) Deleted (1985B)
84.109	Emergency School Aid Act-Special Discretionary Assistance Grants (1980U1) Transferred from 13.688 (1980U1) Deleted (1982B)	84.122 Secretary's Discretionary Program (1980U1) Deleted (1982B) Reinstated (1983U) Secretary's Discretionary (1983U) Deleted (1990B)
84.110	Emergency School Aid Act-State Agency Grants (1980U1) Transferred from 13.689 (1980U1) Deleted (1982B)	84.123 Law-Related Education (1980U1) Deleted (1982B) Reinstated (1983U) Instruction in Civics, Government, and Law (1995B) Deleted (1997B)
84.111	Emergency School Aid Act-Grants for the Arts (1980U1) Transferred from 13.690 (1980U1) Deleted (1982B)	84.124 Territorial Teacher Training Assistance Program (1980U1) Deleted (1995U)
84.112	Biomedical Sciences for Talented Disadvantaged Secondary Students (1980U1)	84.125 Office for Handicapped Individuals (1980U1) Transferred from 13.603 (1980U1) Office of Information and Resources for the Handicapped (1980U2) Clearinghouse on the Handicapped (1981U) Clearinghouse on Disability Information (1989B) Deleted (1996B)
		84.126 Rehabilitation Services-Basic Support (1980U1) Transferred from 13.624 (1980U1) Rehabilitation Services-Vocational Rehabilitation of State Grants (1994B) Rehabilitation Services-Vocational Rehabilitation Grants to States (1994U)
		84.127 Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1980U1)

	Transferred from 13.625 (1980U1) Deleted (1981B)		Migrant Education-Coordination Program (1990B)
84.128	Rehabilitation Services-Special Projects (1980U1) Transferred from 13.626 (1980U1) Rehabilitation Services-Service Projects (1984B)	84.145	Federal Real Property Assistance Program (1980U2)
84.129	Rehabilitation Training (1980U1) Transferred from 13.629 (1980U1) Rehabilitation Long-Term Training (1993U)	84.146	Transition Program for Refugee Children (1981B) Deleted (1991B)
84.130	Rehabilitation Services-Innovation and Expansion (1980U1) Transferred from 13.649 (1980U1) Deleted (1981U)	84.148	Allen J. Ellender Fellowship Program (1981B) Deleted (1988B)
84.131	Vocational Rehabilitation Services for Supplemental Security Income Beneficiaries (1980U1) Transferred from 13.651 (1980U1) Deleted (1981B)	84.149	Migrant Education Program-Part B-College Assistance Program (1981B) Split from 84.141 (1981B) Migrant Education-College Assistance Migrant Program (1981U)
84.132	Centers for Independent Living (1980U1) Transferred from 13.653 (1980U1)	84.151	Education Consolidation and Improvement Programs-Chapter 2 (1982B) Improving Schools Programs-State Block Grants (1983B) Federal, State, and Local Partnerships for Educational Improvement (1988U) Chapter 2-State Block Grants (1994U) Deleted (1995U)
84.133	National Institute of Handicapped Research (1980U1) Transferred from 13.654 (1980U1) National Institute on Disability and Rehabilitation Research (1987B)	84.152	Neglected or Delinquent Transition Services (1982B) Deleted (1984B)
84.134	Telecommunications Demonstrations for Health, Education and Other Social Services (1980U1) Transferred from 13.680 (1980U1) Deleted (1981U)	84.153	Business and International Education (1983B) International Business Education (2000B) Business and International Education Projects (2001B)
84.135	Aid to Land-Grant Colleges (1980U2) Transferred to 10.003 (1983U)	84.154	Library Services and Construction Act-Construction (1983B) Public Library Construction (1985U) Public Library Construction and Technology Enhancement (1991B) Deleted (1997B)
84.136	Legal Training for the Disadvantaged (1980U2) Deleted (1997B)	84.155	Removal of Architectural Barriers to the Handicapped (1983U) Deleted (1990B)
84.138	Educational Services to Cuban and Haitian Entrant Children (1980U2) Deleted (1981U)	84.157	Secretary's Initiative to Improve the Quality of Chapter 1, ECIA Projects (1983U) Deleted (1984B)
84.139	Cities in Schools (1980U2) Deleted (1982B)	84.158	Secondary Education and Transitional Services for Handicapped Youth (1984B) Deleted (1998B) Secondary Education and Transitional Services for Youth with Disabilities (1991B)
84.140	Push for Excellence (1980U2) Deleted (1982B)	84.159	Handicapped-Special Studies (1984B) Disabled-Special Studies and Evaluation (1991B) Special Studies for Programs with Disabilities (1994B) Special Studies for Persons with Disabilities Program (1994B) Special Education-Special Studies for Persons with Disabilities (1994U) Deleted (1998B)
84.141	High School Equivalency and College Assistance Migrant Program (1980U2) Split into 84.141, 84.149 (1981B) Migrant Education Program-Part A-High School Equivalency Program (1981B) Migrant Education-High School Equivalency Program (1981U)	84.160	Training Interpreters for Deaf Individuals (1984B) Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (1993B)
84.142	Housing for Educational Institutions (1980U2) Housing and Other Educational Facilities Loans (1987B) College Housing and other Educational Facilities Loans (1989B) College Facilities Loans (1990B) College Housing and Academic Facilities Loans (1991B) Deleted (1998B)	84.161	Client Assistance for Handicapped Individuals (1984B) Client Assistance for Individuals with Handicaps (1990U) Client Assistance for Individuals with Disabilities (1991B) Rehabilitation Services-Client Assistance Program (1991U)
84.143	Emergency School Aid Act-Evaluation Contracts (1980U2) Deleted (1983B)	84.162	Emergency Immigrant Education Assistance (1984U) Emergency Immigrant Education (1987U) Immigrant Education (1995B) Deleted (2002B)
84.144	Migrant Education-Discretionary Interstate/Intrastate Coordination Program (1980U2) Migrant Education Program-Discretionary Interstate and Intrastate Coordination (1981B) Migrant Education-Interstate and Intrastate Coordination Program (1981U)	84.163	Library Services for Indian Tribes and Hawaiian Natives (1985B)



- Deleted (1997B)
- 84.164 State Grants for Strengthening the Skills of Teachers and Instruction in Mathematics, Science, Foreign Languages, and Computer Learning (1985B)  
State Grants for Strengthening the Skills of Teachers and Instruction in Mathematics and Science (1989B)  
Mathematics and Science Education (1990B)  
Eisenhower Mathematics and Science Education-State Grants (1990U)  
Deleted (1995U)
- 84.165 Magnet Schools Assistance (1985B)  
Magnet Schools Assistance in Desegregating Districts (1991B)  
Magnet Schools Assistance (1994U)
- 84.167 Library Literacy (1986B)  
Deleted (1996U)
- 84.168 Secretary's Discretionary Program for Mathematics, Science Computer Learning, and Critical Foreign Languages (1985B)  
National Programs for Strengthening, Teaching, and Administration in Mathematics and Science Programs (1989B)  
National Program for Mathematics and Science Education (1989U)  
Eisenhower National Program for Mathematics and Science Education (1991U)  
Dwight D. Eisenhower National Program for Mathematics and Science Education (1992B)  
Eisenhower Mathematics and Science Education-National Program (1994U)  
Eisenhower Professional Development-Federal Activities (1995B)  
Eisenhower Professional Development-National Activities (1995U)  
Eisenhower Professional Development-Federal Activities (1997U)  
Deleted (2004)
- 84.169 Comprehensive Services for Independent Living (1985B)  
Independent Living Services (1993B)  
Independent Living-State Grants (1993U)
- 84.170 National Graduate Fellows (1985B)  
Jacob K. Javits Fellowships (1987B)  
Javits Fellowships (1993U)
- 84.171 Excellence in Education (1985B)  
Deleted (1988B)
- 84.172 Construction, Reconstruction, and Renovation of Academic Facilities (1985B)  
Deleted (1990B)
- 84.173 Handicapped-Preschool Incentive Grants (1985U)  
Handicapped-Preschool Grants (1987U)  
Special Education-Preschool Grants (1991B)
- 84.174 Vocational Education-Community Based Organizations (1986B)  
Deleted (1996B)
- 84.175 Rehabilitation Services-Innovation and Expansion (1986B)  
Deleted (1986U)
- 84.176 Carl D. Perkins Scholarships (1986U)  
Paul Douglas Teacher Scholarships (1987U)  
Douglas Teacher Scholarships (1992B)  
Deleted (1997B)
- 84.177 Rehabilitation Services-Independent Living for Older Blind Individuals (1986B)  
Rehabilitation Services-Independent Living Services for Older Blind Individuals (1987U)  
Rehabilitation Services-Independent Living Services for Older Individuals Who are Blind (1993B)
- 84.178 Leadership in Educational Administration Development (1986U)  
Deleted (1995B)
- 84.180 Technology, Educational Media and Materials for the Handicapped (1987B)  
Technology, Educational Media and Materials for Individuals with Disabilities (1991B)  
Technology Applications for Individuals with Disabilities (1993B)  
Technology, Educational Media and Materials for Individuals with Disabilities (1994B)  
Technology Applications for Individuals with Disabilities (1995U)  
Deleted (1998B)
- 84.181 Handicapped Infants and Toddlers (1987B)  
Infants and Toddlers with Disabilities (1991B)  
Grants for Infants and Toddlers with Disabilities (1992U)  
Grants for Infants and Families with Disabilities (1993U)  
Special Education-Grants for Infants and Families with Disabilities (1994U)  
Special Education-Grants for Infants and Families (2008)
- 84.184 National Program for Drug-Free Schools and Communities (1987B)  
Drug-Free Schools and Communities-National Programs (1990U)  
Safe and Drug-Free Schools and Communities-National Programs (1996U)
- 84.185 Robert C. Byrd Honors Scholarships (1987B)  
Byrd Honors Scholarships (1993U)
- 84.186 Drug-Free Schools and Communities-State Grants (1987B)  
Safe and Drug-Free Schools-State Grants (1995B)  
Safe and Drug-Free Schools and Communities-State Grants (1996U)
- 84.187 Supported Employment Services for Individuals with Severe Handicaps (1987B)  
Supported Employment Services for Individuals with Severe Disabilities (1993B)  
Supported Employment Services for Individuals with Significant Disabilities (2008)
- 84.188 Drug-Free Schools and Communities-Regional Centers (1987B)  
Deleted (1995U)
- 84.190 Christa McAuliffe Fellowships (1987B)  
Deleted (1997B)
- 84.191 National Adult Education Discretionary Program (1987U)  
National Adult Education Research (1989B)  
National Adult Education Discretionary Program (1991B)  
Adult Education-National Programs (1994U)  
Adult Education-Evaluation and Technical Assistance (1997B)  
Adult Education-National Leadership Activities (1998U)
- 84.192 Adult Education for the Homeless (1987U)  
Adult Education-Literacy Training for Homeless Adults (1994U)  
Deleted (1997B)
- 84.193 Demonstration Centers for the Retraining of Dislocated Workers (1987U)  
Demonstration Centers for the Training of Dislocated Workers (1991B)  
Deleted (1994B)
- 84.194 Bilingual Education Support Services (1987U)  
Deleted (2002B)
- 84.195 Bilingual Education Training Grants (1987U)  
Bilingual Education-Professional Development (1996B)  
Deleted (2004)
- 84.196 State Activities-Education of Homeless Children and Youth (1987U)

	State Activities-Education for Homeless Children and Youth (1990B)		Deleted (1995U)
	Education for Homeless Children and Youth-Grants for State and Local Activities (1992B)	84.212	FIRST Family School Partnerships (1988U)
	Education for Homeless Children and Youth (1994U)		FIRST Family School Partnership (1989U)
84.197	College Library Technology and Cooperation Grants (1988B)		Deleted (1995U)
	College Library Technology (1990U)	84.213	Even Start-Local Education (1988U)
	College Library Technology and Cooperation Grants (1992U)		Even Start-Local Education Agencies (1989B)
	Deleted (1996B)		Even Start-Local Educational Agencies (1990U)
84.198	Workplace Literacy Partnership (1988B)		Even Start-State Educational Agencies (1991U)
	Workplace Literacy (1988U)	84.214	Even Start-Migrant Education (1988U)
	Workplace Literacy Partnerships (1990U)	84.215	Innovation in Education (1988U)
	National Workplace Literacy Partnerships (1991B)		The Secretary's Fund for Innovation in Education (1989B)
	National Workplace Literacy Program (1991U)		Fund for the Improvement of Education (1994U)
	National Workplace Literacy Partnerships (1993U)	84.216	Private School-Capital Expenses (1988U)
	Workplace Literacy Partnerships (1994U)		Deleted (2003B)
	Deleted (1998B)	84.217	Ronald E. McNair Post-Baccalaureate Achievement (1989B)
84.199	Vocational Education-Cooperative Demonstration (1988B)		McNair Post-Baccalaureate Achievement (1993U)
	Deleted (1996B)		TRIO-McNair Post-Baccalaureate Achievement (2002B)
84.200	Graduate Assistance in Areas of National Need (1988B)	84.218	State Improvement (1989B)
	Graduate Assistance in Areas of National Need (2005)		State Program Improvement Grants (1990B)
	Graduate Assistance in Areas of National Need (2005)		State School Improvement Grants (1996B)
84.201	School Dropout Demonstration Assistance (1988B)		Deleted (1998B)
	Dropout Demonstration Assistance (1994U)	84.219	Student Literacy Corps (1989B)
	Dropout Prevention Demonstration Assistance (1995U)		Student Literacy Corps and Student Mentoring Corps Programs (1992U)
	Deleted (1997B)		Student Literacy Corps and Student Mentoring Corps (1994B)
84.202	Grants to Institutions to Encourage Minority Participation in Graduate Education (1988B)		Deleted (1995B)
	Grants to Institutions to Encourage Women and Minority Participation in Graduate Education (1992U)	84.220	Center for International Business Education (1989B)
	Women and Minority Participation in Graduate Education (1994B)	84.221	Native Hawaiian Special Education (1989B)
	Deleted (1996B)		Deleted (2004)
84.203	Star Schools Program (1988B)	84.222	National School Volunteer Program (1989B)
	Star Schools (1994U)		Deleted (1991B)
84.204	School, College, and University Partnership (1988U)	84.223	State-Administered English Literacy (1989B)
	School, College, and University Partnerships (1991B)		English Literacy Program (1989U)
	Deleted (1997B)		Deleted (1995B)
84.206	Jacob K. Javits Gifted and Talented Students (1988U)	84.224	State Grants for Technology-Related Assistance to Individuals with Disabilities (1989B)
	Jacob K. Javits Gifted and Talented Students Education Grant Program (1991U)		State Grants for Assistive Technology (1994U)
	Javits Gifted and Talented Students Education Grant Program (1994U)		Assistive Technology (1999B)
84.207	Educational Personnel Training (1989B)	84.225	Education for Homeless Children and Youth-Exemplary Grants (1989U)
	School Personnel Training (1990B)		Deleted (1992B)
	Drug-Free Schools and Communities-School Personnel Training (1990U)	84.226	Income Contingent Loan Program (1990B)
	Deleted (1995U)		Deleted (1994B)
84.208	Native Hawaiian Model Curriculum Implementation Project (1988U)	84.227	Secondary Schools-Basic Skills Demonstration Assistance (1990B)
	Native Hawaiian Model Curriculum Development (1989U)		Deleted (1992B)
	Deleted (1995U)	84.228	Educational Partnerships (1990B)
84.209	Native Hawaiian Family Based Education Centers (1988U)		Education Partnerships (1994U)
	Deleted (2004)		Deleted (1995B)
84.210	Native Hawaiian Gifted and Talented (1988U)	84.229	Language Resource Centers (1990B)
	Deleted (2004)	84.230	Technology Education Demonstration (1990B)
84.211	FIRST Schools and Teachers (1988U)		Deleted (1994B)

- 84.231 Demonstration and Innovation Projects of National Significance in Technology-Related Assistance for Individuals with Disabilities (1990B)  
Demonstration and Innovation Projects of National Significance in Assistive Technology for Individuals with Disabilities (1994U)  
Deleted (1995U)
- 84.232 Mid-Career Teacher Training (1990B)  
Deleted (1993B)
- 84.233 Emergency Grants (1991B)  
Drug-Free Schools and Communities-Emergency Grants (1992B)  
Deleted (1995U)
- 84.234 Projects with Industry (1991B)
- 84.235 Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Handicaps (1991B)  
Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Disabilities (1992B)  
Rehabilitation Services Demonstration and Training-Special Demonstration Programs (1999B)  
Rehabilitation Services Demonstration and Training Programs (2003B)
- 84.236 Training and Public Awareness Projects in Technology Related Assistance for Individuals with Disabilities (1991B)  
Training and Public Awareness Projects in Assistive Technology for Individuals with Disabilities (1994U)  
Deleted (1995U)
- 84.237 Children and Youth with Serious Emotional Disturbance (1991B)  
Special Education-Program for Children with Serious Emotional Disturbance (1994U)  
Deleted (1998B)
- 84.238 Training Programs for Educators-Alcohol Abuse (1991B)  
Deleted (1995B)
- 84.239 Foreign Language Materials Acquisition (1991B)  
Deleted (1995B)
- 84.240 Program of Protection and Advocacy (1991B)  
Program of Protection and Advocacy of Individual Rights (1992B)
- 84.241 Counselor Training (1991B)  
Drug-Free Schools-Counselor Training (1994U)  
Deleted (1995U)
- 84.242 National Science Scholars (1991B)  
Deleted (1997B)
- 84.243 Tech-Prep Education (1991B)
- 84.244 Business and Education Standards (1991B)  
Deleted (1997B)
- 84.245 Tribally Controlled Postsecondary Vocational Institutions (1991B)  
Tribally Controlled Postsecondary Vocational and Technical Institutions (1999B)  
Tribally Controlled Postsecondary Career and Technical Institutions (2007)
- 84.246 Rehabilitation Short-Term Training (1991B)
- 84.247 Commercial Drivers Education (1991U)  
Deleted (1994B)
- 84.248 Demonstration Projects for the Integration of Vocational and Academic Learning (1991U)  
Deleted (1997B)
- 84.249 Foreign Languages Assistance (1991U)  
Deleted (1995U)
- 84.250 Rehabilitation Services-American Indians with Disabilities (1991U)
- 84.251 Periodicals Published Outside the United States (1992B)  
Foreign Periodicals (1993U)  
Deleted (1996B)
- 84.252 Urban Community Services (1992B)  
Urban Community Service (1994B)  
Deleted (2001B)
- 84.253 Supplementary State Grants for Facilities, Equipment, and Other Program Improvement Activities (1992B)  
Deleted (1995B)
- 84.254 State Literacy Resource Centers (1992B)  
Deleted (1997B)
- 84.255 Literacy for Incarcerated Adults (1992B)  
Literacy Programs for Prisoners (1994U)  
Deleted (2008)
- 84.256 Territories-Freely Associated States Education Grant Program (1992B)  
Education Grant Program for the Freely Associated States (1994U)  
Freely Associated States-Education Grant Program (1997U)
- 84.257 National Institute for Literacy (1995B)
- 84.258 Even Start-Indian Tribes and Tribal Organizations (1992U)
- 84.259 Native Hawaiian Vocational Education (1992U)  
Native Hawaiian Career and Technical Education (2007)
- 84.260 National Academy of Science, Space, and Technology (1993B)  
Deleted (1995U)
- 84.261 Dwight D. Eisenhower Leadership Development (1993B)  
Eisenhower Leadership (1994B)  
Eisenhower Leadership Program (1994U)  
Deleted (1996B)
- 84.262 Minority Teacher Recruitment (1993U)  
Deleted (1999B)
- 84.263 Rehabilitation Training-Experimental and Innovative Training (1993B)
- 84.264 Rehabilitation Training-Continuing Education (1993B)
- 84.265 Rehabilitation Training-State Vocational Rehabilitation Unit In-Service Training (1993B)
- 84.266 Training in Early Childhood Education and Violence Counseling (1993B)  
Deleted (1996B)
- 84.267 State Postsecondary Review (1993U)  
Deleted (1996B)
- 84.268 Federal Direct Student Loan (1994B)  
Federal Direct Loan (1997U)  
Federal Direct Student Loans (2002B)
- 84.269 Institute for International Public Policy (1994B)
- 84.270 Teacher Corps (1994B)  
Deleted (1995U)
- 84.271 Faculty Development Fellowship (1994B)  
Deleted (1996B)
- 84.272 National Early Intervention Scholarship and Partnership (1994B)  
National Early Intervention Scholarship and Partnership (NEISP) (1994U)  
National Early Intervention Scholarship and Partnership (1995U)  
Deleted (1999B)
- 84.273 Demonstration Grants for Critical Language and Area Studies (1994B)



- Deleted (1996U)
- 84.274 American Overseas Research Centers (1994B)
- 84.275 Rehabilitation Training-General Training (1995U)
- 84.276 Goals 2000-State and Local Education Systemic Improvement Grants (1995B)  
Deleted (2002B)
- 84.277 Safe Schools Discretionary Grants to Local Education Agencies (1995B)  
Deleted (1995U)
- 84.278 School to Work Opportunities (2001U)  
Deleted (2002B)
- 84.279 Goals 2000-Assessment Development and Evaluation Grants (1995B)  
Deleted (1996U)
- 84.280 Goals 2000-Opportunity-To-Learn Development Grants (1995B)  
Deleted (1996U)
- 84.281 Eisenhower Professional Development State Grants (1995B)  
Deleted (2004)
- 84.282 Public Charter Schools (1995B)  
Charter Schools (1997B)
- 84.283 Comprehensive Regional Assistance Centers (1995B)  
Comprehensive Centers (2005)  
Comprehensive Centers (2005)
- 84.284 School Facilities Infrastructure Improvement (1995B)  
Deleted (1995U)
- 84.285 Family and Community Endeavor Schools Grant Program (1995B)  
Deleted (1995U)
- 84.286 Telecommunications Demonstration Project for Mathematics (1995B)  
Ready to Teach (2003B)  
Ready to Teach (2005)  
Ready to Teach (2005)
- 84.287 21st Century Community Learning Centers Program (1995B)  
After School Learning Centers (1997B)  
Twenty-First Century Community Learning Centers (1998B)
- 84.288 Bilingual Education-Program Development and Implementation Grants (1995B)  
Deleted (2002B)
- 84.289 Bilingual Education-Program Enhancement Grants (1995B)  
Deleted (2002B)
- 84.290 Bilingual Education-Comprehensive School Grants (1996U)  
Deleted (2002B)
- 84.291 Bilingual Education-Systemwide Improvement Grants (1995B)  
Deleted (2002B)
- 84.292 Bilingual Education-Research Programs (1995B)  
Deleted (2002B)
- 84.293 Foreign Languages Assistance (1995B)  
Foreign Language Assistance (1997U)
- 84.294 Foreign Languages Assistance-Incentive Grants (1995B)  
Deleted (1998B)  
Foreign Language Incentive Program (2002B)  
Reinstated (2002B)  
Deleted (2004)
- 84.295 Ready-To-Learn Television (1995B)
- 84.296 Native Hawaiian Community-Based Education Learning Centers (1995B)  
Deleted (2004)
- 84.297 Native Hawaiian Curriculum Development, Teacher Training and Recruitment (1995B)  
Deleted (2004)
- 84.298 Innovative Education Program Strategies (1995B)  
State Grants for Innovative Programs (2004)
- 84.299 Indian Education-Special Programs (1995B)  
Deleted (1997B)
- 84.300 Alaska and Native Hawaiian Cultural and Arts Development (1995B)  
Native Hawaiian and Alaska Native Culture and Arts Development (1996U)  
Deleted (1997B)
- 84.301 Olympic Scholarships (1995B)  
Deleted (1995U)
- 84.302 Technical Support and Professional Development Consortia for Technology (1995B)  
Eisenhower Regional Mathematics and Science Education Consortia (1996B)  
Regional Technical Support and Professional Development Consortia (1996U)  
Regional Technology in Education Consortia (2002B)  
Deleted (2005)
- 84.303 Challenge Grants for Technology in Education (1995B)  
Local Innovation-Challenge Grants for Technology in Education (1996B)  
Technology Challenge Grants (1997B)  
Technology Innovation Challenge Grants (1997U)  
Deleted (2002B)
- 84.304 International Education Exchange (1995B)  
Cooperative Education Exchange Program (2002B)  
Civic Education-Cooperative Education Exchange Program (2003B)  
Civic Education - Cooperative Education Exchange Program (2004)
- 84.305 National Institute on Student Achievement, Curriculum, and Assessment (1995U)  
Education Research, Development and Dissemination (2003B)
- 84.306 National Institute on the Education of At-Risk Students (1995U)  
Deleted (2004)
- 84.307 National Institute on Early Childhood Development and Education (1995U)  
Deleted (2004)
- 84.308 National Institute on Educational Governance, Finance, Policymaking, and Management (1995U)  
Deleted (2004)
- 84.309 National Institute on Postsecondary Education, Libraries, and Lifelong Learning (1995U)  
Deleted (2004)
- 84.310 Goals 2000: Parental Assistance Program (1995U)  
Goals 2000: Parental Information Resource Centers (2000B)  
Goals 2000: Parental Assistance (2001B)  
Parental Assistance Centers (2002B)  
Parental Information and Resource Centers (2008)
- 84.311 Goals 2000: Tribal Divisions of Education School Reform Program (1995U)  
Deleted (1996U)
- 84.312 Goals 2000: Urban/Rural Local Reform Initiative (1995U)

	Deleted (1996U)	84.333	Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (1999B)
84.313	Even Start-Family Literacy in Women's Prisons Program (1995U) Deleted (1998B)	84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (1999B)
84.314	Even Start-Statewide Family Literacy Program (1995U) Deleted (2004)	84.335	Child Care Access Means Parents in School (1999B)
84.315	Capacity Building for Traditionally Underserved Populations (1995U)	84.336	Teacher Quality Enhancement Grants for States and Partnerships (1999B) Teacher Quality Enhancement Grants (2000B)
84.316	Native Hawaiian Higher Education Program (1995U) Deleted (2004)	84.337	Technological Innovation and Cooperation for Foreign Information Access (1999B) International Education-Technological Innovation and Cooperation for Foreign Information Access (2003B)
84.318	Technology Literacy Challenge Fund Grants (1998B) Education Technology State Grants (2003B) Education Technology State Grants (2005) Education Technology State Grants (2005)	84.338	Reading Excellence (1999B) Deleted (2003B)
84.319	Eisenhower Regional Mathematics and Science Education Consortia (1997B) Educational Technology State Grants (2004) Eisenhower Regional Math and Science Consortia (2005) Eisenhower Regional Math and Science Consortia (2005) Eisenhower Regional Math and Science Consortia (2005) Deleted (2006)	84.339	Learning Anytime Anywhere Partnerships (1999B) Deleted (2004)
84.320	Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program (1997B) Deleted (2004)	84.340	Class Size Reduction (1999B) Deleted (2003B)
84.321	Alaska Native Home Based Education for Preschool Children (1997B) Deleted (2004)	84.341	Community-Based Technology Centers (1999B) Community Technology Centers (2000B) Deleted (2008)
84.322	Alaska Native Student Enrichment Program (1997B) Deleted (2004)	84.342	Preparing Tomorrow's Teachers to Use Technology (1999B)
84.323	Special Education-State Program Improvement Grants for Children with Disabilities (1998B) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005)	84.343	Assistive Technology-State Grants for Protection and Advocacy (1999B)
84.324	Special Education-Research and Innovation to Improve Services and Results for Children with Disabilities (1998B) Research in Special Education (2005) Research in Special Education (2005)	84.344	TRIO-Dissemination (2000U) TRIO-Dissemination Partnership Grants (2001B) Deleted (2008)
84.325	Special Education-Personnel Preparation to Improve Services and Results for Children with Disabilities (1998B) Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (2006)	84.345	Underground Railroad Educational and Cultural Program (2000U)
84.326	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (1998B)	84.346	Occupational and Employment Information State Grants (2000U) Vocational Education-Occupational and Employment Information State Grants (2003B) Deleted (2008)
84.327	Special Education-Technology and Media Services for Individuals with Disabilities (1998B)	84.347	Community Scholarship Mobilization (2000U) Deleted (2002B)
84.328	Special Education-Training and Information for Parents of Children with Disabilities (1998B) Special Education-Parent Information Centers (2000B)	84.348	Title I Accountability Grants (2000U) Deleted (2004)
84.329	Special Education-Studies and Evaluations (1998B)	84.349	Early Childhood Educator Professional Development (2001U)
84.330	Advanced Placement Test Fee Payment Program (1998B) Advanced Placement Incentive Program (1999B) Advanced Placement Program (2002B) Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (2008)	84.350	Transition to Teaching (2001U)
84.331	Grants to States for Incarcerated Youth Offenders (1998B)	84.351	Arts in Education (2001U)
84.332	Comprehensive School Reform Demonstration (1999B)	84.352	Grants for School Repair and Renovation (2001U) School Renovation Grants (2002B) Deleted (2003B)
		84.353	Tech-Prep Demonstration Grants (2001U)
		84.354	Charter Schools Facilities Financing Demonstration (2002B) Credit Enhancement for Charter School Facilities (2005) Credit Enhancement for Charter School Facilities (2005)
		84.355	Child Care Provider Loan Forgiveness Demonstration (2002B)
		84.356	Alaska Native Educational Programs (2001U)
		84.357	Reading First State Grants (2002B)
		84.358	Rural Education Achievement Program (2002B) Rural Education (2003B)
		84.359	Early Reading First (2002B)
		84.360	Dropout Prevention Programs (2002B) School Dropout Prevention Program (2008)
		84.361	Voluntary Public School Choice (2002B)

- 84.362 Native Hawaiian Education (2002B)
- 84.363 School Leadership (2002B)
- 84.364 Literacy through School Libraries (2002B)
- 84.365 English Language Acquisition Grants (2004)
- 84.366 Mathematics and Science Partnerships (2004)
- 84.367 Improving Teacher Quality State Grants (2004)
- 84.368 Grants for Enhanced Assessment Instruments (2003B)  
Deleted (2004)
- 84.369 Grants for State Assessments and Related Activities (2004)
- 84.370 DC School Choice Incentive Program (2005)
- 84.371 Striving Readers (2006)
- 84.372 Statewide Data Systems (2006)
- 84.373 Special Education-Technical Assistance on State Data Collection (2006)
- 84.374 Teacher Incentive Fund (2006)
- 84.375 Academic Competitiveness Grants (2006)
- 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants (2006)
- 84.377 School Improvement Grants (2008)
- 84.378 College Access Challenge Grant Program (2008)
- 84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (2008)
- 84.380 Special Education -- Olympic Education Programs (2008)
- 84.382 Strengthening Minority-Serving Institutions (2008)
- 84.938 Hurricane Education Recovery (2008)

**HARRY S TRUMAN SCHOLARSHIP FOUNDATION**

- 85.001 Harry S Truman Scholarship Program (1980U1)

**CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION**

- 85.100 Christopher Columbus Fellowship Program (1997B)

**BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION**

- 85.200 Barry M. Goldwater Scholarship Program (1997B)

**WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS**

- 85.300 Woodrow Wilson Center Fellowships in the Humanities and Social Sciences (1997B)

**MORRIS K. UDALL SCHOLARSHIP AND EXCELLENCE IN NATIONAL ENVIRONMENTAL POLICY FOUNDATION**

- 85.400 Morris K. Udall Scholarship Program (1997B)
- 85.401 Morris K. Udall Fellowship Program (1997B)
- 85.402 Morris K. Udall Native American Congressional Internship Program (1997B)

**JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION**

- 85.500 James Madison Memorial Fellowship Program (1997B)

**PENSION BENEFIT GUARANTY CORPORATION**

- 86.001 Pension Plan Termination Insurance (1980U2)

**CONSUMER PRODUCT SAFETY COMMISSION**

- 87.001 Voluntary Standards Assistance (1980U2)  
Deleted (1986U)

**ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD**

- 88.001 Architectural and Transportation Barriers Compliance (1984U)

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

- 89.001 National Archives Reference Services (1985B)  
Transferred from 39.004 (1985B)  
National Archives Reference Services -- Historical Research (1988B)
- 89.002 National Audiovisual Center (1985B)  
Transferred from 39.005 (1985B)  
Multimedia and Publications Distribution (1993B)  
Deleted (1995B)
- 89.003 National Historical Publications and Records Grants (1985B)  
Transferred from 39.006 (1985B)
- 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (2006)

**COMMISSION ON THE BICENTENNIAL OF THE U.S. CONSTITUTION**

- 90.001 Bicentennial Educational Grant Program (1987U)  
Deleted (1991B)
- 90.002 The U.S. Constitution-College-Community Forums (1990B)  
Deleted (1991B)

**DENALI COMMISSION**

- 90.100 Denali Commission Program (2000U)

**DELTA REGIONAL AUTHORITY**

- 90.200 Delta Regional Development (2005)
- 90.201 Enter new title here!Delta Area Economic Development (2005)
- 90.202 Enter new title here!Delta Local Development District Assistance (2005)

**JAPAN US FRIENDSHIP COMMISSION**

- 90.300 Japan-US Friendship Commission Grants (2004)

**ELECTIONS ASSISTANCE COMMISSION**

- 90.400 Help American Vote College Pollworker Program (2004)  
Help America Vote College Pollworker Program (2006)  
Help America Vote College Program (2008)
- 90.401 Help America Vote Act Requirements Payments (2005)
- 90.402 Help America Vote Mock Election Program (2008)

**UNITED STATES INSTITUTE OF PEACE**

- 91.001 International Peace and Conflict Management-Research and Education (1990B)  
Unsolicited Grant Program (2000B)
- 91.002 International Peace and Conflict Management-Articles and Manuscripts (1990B)  
Solicited Grant Program (2000B)

**NATIONAL COUNCIL ON DISABILITY**



92.001 National Council on Disability (1992B)

Number changed from 13.788 (1990U)

Number changed to 93.567 (1992U)

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

93.001 Civil Rights Compliance Activities (1976B)

Number changed from 13.675 (1990U)

Civil Rights and Privacy Rule Compliance Activities (2004)

93.028 Low-Income Home Energy Assistance

Number changed from 13.789 (1990U)

Number changed to 93.568 (1992U)

93.002 Consumer Affairs (1976B)

Number changed from 13.678 (1990U)

Deleted (1999B)

93.029 Work Incentive Program/WIN Demonstration Program

Number changed from 13.790 (1990U)

Deleted (1991B)

93.003 Public Health and Social Services Emergency Fund (1992U)

Deleted (1994B)

Public Health and Social Services Emergency Fund -- Reinstated (1995U)

93.030 Emergency Services and Shelter AFDC Transitional Housing Demonstration Program

Number changed from 13.791 (1990U)

Deleted (1991B)

93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (1997U)

93.031 Community Services Block Grant

Number changed from 13.792 (1990U)

Number changed to 93.569 (1992U)

93.005 Project Grants for Facilities to Improve the Health Status of Minority Populations (1997U)

93.032 Community Services Block Grant-Discretionary Awards

Number changed from 13.793 (1990U)

Number changed to 93.570 (1992U)

93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (2000B)

93.007 Public Awareness Campaigns on Embryo Adoption (2002B)

93.008 Medical Reserve Corps Small Grant Program (2004)

93.033 Community Block Grant Discretionary Awards-Community Food and Nutrition

Number changed from 13.795 (1990U)

Number changed to 93.571 (1992U)

93.009 Compassion Capital Fund (2004)

93.010 Community-Based Abstinence Education (CBAE) (2005)

93.012 Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (2005)

93.034 Emergency Community Services for the Homeless

Number changed from 13.796 (1990U)

Number changed to 93.572 (1992U)

93.013 Ambassadors for Change Program (2006)

93.014 Steps to Healthier Girls Program (2006)

93.015 HIV Prevention Programs for Women (2006)

93.035 Community Services Block Grant Discretionary Awards-Demonstration Partnerships

Number changed from 13.797 (1990U)

Number changed to 93.573 (1992U)

93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (2006)

93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (2006)

93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (2008)

93.036 Child Care for Families At-Risk of Welfare Dependency (1991B)

Number changed to 93.574 (1992U)

93.020 Family Support Payments to States-Assistance Payments

Number changed from 13.780 (1990U)

Number changed to 93.560 (1992U)

93.037 Payments to States for Day Care Assistance (1991B)

Payments to States for Child Care Assistance (1992B)

Number changed to 93.575 (1992U)

93.021 Job Opportunities and Basic Skills Training

Number changed from 13.781 (1990U)

Number changed to 93.561 (1992U)

93.038 Refugee and Entrant Assistance-Discretionary Grants (1991U)

Number changed to 93.576 (1992U)

93.022 Assistance Payments-Research

Number changed from 13.782 (1990U)

Number changed to 93.562 (1992U)

93.039 Child Care Improvement Grants (1991B)

Deleted (1992B)

93.023 Child Support Enforcement

Number changed from 13.783 (1990U)

Number changed to 93.563 (1992U)

93.040 Family Support Centers Demonstration Program (1992B)

Number changed to 93.578 (1992U)

93.024 Child Support Enforcement Research

Number changed from 13.784 (1990U)

Number changed to 93.564 (1992U)

93.041 Special Programs for the Aging-Title III, Part G-Prevention of Abuse, Neglect, and Exploitation of Older Individuals

Number changed from 93.552 (1992U)

Special Programs for the Aging-Title VII, Chapter 3, Programs for Prevention of Elder Abuse, Neglect, and Exploitation (1993U)

93.042 Special Programs for the Aging-Title III, Part A-Long-Term Care Ombudsman Services for Older Individuals

Number changed from 93.553 (1992U)

Special Programs for the Aging-Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals (1993U)

93.025 State Legalization Impact Assistance Grants

Number changed from 13.786 (1990U)

Number changed to 93.565 (1992U)

93.043 Special Programs for the Aging-Title III, Part F-Disease Prevention and Health Promotion Services

Number changed from 93.555 (1992U)

93.026 Refugee and Entrant Assistance-State Administered Programs

Number changed from 13.787 (1990U)

Number changed to 93.566 (1992U)

Special Programs for the Aging-Title III, Part F-Disease Prevention and Health Promotion Services (1994B)

Special Programs for the Aging-Title III, Part D-Disease Prevention and Health Promotion Services (2002B)

93.027 Refugee Assistance-Voluntary Agency Programs

- 93.044 Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers  
Number changed from 93.633 (1992U)  
Consolidated from 93.046 (2001B)
- 93.045 Special Programs for the Aging-Title III, Part C-Nutrition Services  
Number changed from 93.635 (1992U)
- 93.046 Special Programs for the Aging-Title III, Part D-In-Home Services for Frail Older Individuals  
Number changed from 93.641 (1992U)  
Consolidated into 93.044 (2001B)
- 93.047 Special Programs for the Aging-Title VI, Part A, Indian Programs-Grants to Indian Tribes and Part B, Grants to Native Hawaiians  
Number changed from 93.655 (1992U)  
Special Programs for the Aging-Title VI, Part A, Grants to Indian Tribes-Part B, Grants to Native Hawaiians (2002B)
- 93.048 Special Programs for the Aging-Title IV-Training, Research and Discretionary Projects and Programs  
Number changed from 93.668 (1992U)  
Special Programs for the Aging-Title IV-and Title II-Discretionary Projects (2002B)
- 93.049 Special Programs for the Aging-Title VII, Chapter 6-Allotments for Vulnerable Elder Rights Protection Programs (1994B)  
Deleted (2000B)
- 93.050 Special Programs for the Aging-Title II-Preconference Programs for the White House Conference on Aging (1994U)  
Deleted (1995B)  
Geosciences (2003)
- 93.051 New Demonstration Grants to States with Respect to Alzheimer's Disease (1999B)  
Alzheimer's Disease Demonstration Grants to States (2002B)
- 93.052 Nation Family Caregiver Support Program (2001B)  
National Family Caregiver Support (2002B)  
National Family Caregiver Support, Title III, Part E (2007)
- 93.053 Nutrition Services Incentive Program (2003B)
- 93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (2007)
- 93.061 Innovations in Applied Public Health Research (2004)
- 93.063 Centers for Genomics and Public Health (2004)
- 93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (2004)
- 93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (2005)
- 93.066 Vital Statistics Re-engineering Program (2004)  
State Vital Statistics Improvement Program (2007)
- 93.067 Global AIDS (2005)
- 93.068 Chronic Diseases: Research, Control, and Prevention (2005)  
Chronic Diseases: Research, Control, and Prevention (2008)
- 93.069 Public Health Emergency Preparedness (2008)
- 93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (2006)
- 93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (2007)
- 93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (2008)
- 93.100 Field-Initiated Small Grants in Minority Health (1993B)  
Deleted (1995B)  
Health Disparities Grants in Minority Health, Reinstated (2001B)  
Health Disparities in Minority Health (2002B)
- 93.101 Grants for Residential Treatment Programs for Pregnant and Postpartum Women (1993U)  
Deleted (2002B)
- 93.102 Demonstration Grants for Residential Treatment for Women and Their Children (1993U)  
Deleted (2001B)
- 93.103 Food and Drug Administration-Research  
Number changed from 13.103 (1990U)
- 93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (1993U)
- 93.105 Bilingual/Bicultural Service Demonstration Projects in Minority Health (1993U)  
Bilingual/Biculture Service Demonstration Grants (2002B)
- 93.106 Minority International Research Training Grant in the Biomedical and Behavioral Sciences (1993U)  
Consolidated into 93.989 (2006)
- 93.107 Area Health Education Centers-Model Programs (1993U)  
Model State-Supported Area Health Education Centers (1999U)
- 93.108 Health Education Assistance Loans  
Number changed from 13.108 (1990U)  
Deleted (2005)
- 93.109 Linking Community-Based Primary Care, Substance Abuse, HIV/AIDS, and Mental Health Treatment Services (1993U)  
Deleted (1997B)
- 93.110 Maternal and Child Health Federal Consolidated Programs  
Number changed from 13.110 (1990U)
- 93.111 Adolescent Family Life Research Grants  
Number changed from 13.111 (1990U)
- 93.112 Characterization of Environmental Health Hazards  
Number changed from 13.112 (1990U)  
Deleted (1991B)
- 93.113 Biological Response to Environmental Health Hazards  
Number changed from 13.113 (1990U)  
Environmental Health (2006)
- 93.114 Applied Toxicological Research and Testing  
Number changed from 13.114 (1990U)  
Deleted (2006)
- 93.115 Biometry and Risk Estimation-Health Risks from Environmental Exposures  
Number changed from 13.115 (1990U)  
Deleted (2006)
- 93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs  
Number changed from 13.116 (1990U)
- 93.117 Grants for Preventive Medicine Residency Training  
Number changed from 13.117 (1990U)  
Grants for Preventive Medicine and Dental Public Health (1993B)  
Grants for Preventive Medicine (1998B)
- 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity  
Number changed from 13.118 (1990U)  
Incorporated from 93.160 (1993B)
- 93.119 Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services- Technical Assistance Centers for Evaluation (1993U)  
Deleted (1997B)
- 93.120 Mental Health Services for Cuban Entrants

- Number changed from 13.120 (1990U)  
Deleted (1996B)
- 93.121 Disorders of Craniofacial Structure and Function, and Behavioral Aspects of Dentistry  
Number changed from 13.121 (1990U)  
Oral Diseases and Disorders Research (1990U)
- 93.122 Cooperative Agreements for Substance Abuse Treatment and Recovery Systems for Rural, Remote and Culturally Distinct Populations (1993U)  
Deleted (2000U)
- 93.123 Health Professions Pregraduate Scholarship Program for Indians  
Number changed from 13.123 (1990U)
- 93.124 Nurse Anesthetist Traineeships  
Number changed from 13.124 (1990U)
- 93.125 Mental Health Planning and Demonstration Projects  
Number changed from 13.125 (1990U)  
Deleted (2002B)
- 93.126 Small Business Innovation Research  
Number changed from 13.126 (1990U)  
Small Business Innovation Research (NIAAA, NIDA, NIMH) (1992U)  
Incorporated into 93.242, 93.273, 93.279 (1993B)
- 93.127 Emergency Medical Services for Children  
Number changed from 13.127 (1990U)
- 93.128 Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services-Mental Health Statistics Improvement Program (1993U)  
Deleted (1999B)
- 93.129 Technical and Non-Financial Assistance to Community Health Centers  
Number changed from 13.129 (1990U)  
Technical and Non-Financial Assistance to Health Centers (1997B)  
Technical and Non-Financial Assistance to Health Centers and National Health Service Corps (NHSC) Delivery Sites (1999U)  
Technical and Non-Financial Assistance to Health Centers (2005)
- 93.130 Primary Care Services Planning and Development Cooperative Agreements  
Number changed from 13.130 (1990U)  
Primary Care Services-Resource Coordination and Development Primary Care Offices (1995B)  
Primary Care Services-Resource Coordination and Development-Primary Care Offices (1999U)  
Primary Care Services-Resource Coordination and Development (2002B)  
Primary Care Services Resource Coordination and Development (2005)  
Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (2007)
- 93.131 Cooperative Agreements for Addiction Treatment Training Centers (1993U)  
Consolidated into 93.230 (1999B)
- 93.132 Managed Care Demonstration Models for SSI Beneficiaries Disabled Due to Addiction to Alcohol and Other Drugs (1993U)  
Deleted (1997B)
- 93.133 Health Services Delivery to Persons with AIDS-Demonstration Grants  
Number changed from 13.133 (1990U)  
Deleted (1992B)
- 93.134 Assistance for Organ Procurement Organizations  
Number changed from 13.134 (1990U)
- Grants to Increase Organ Donations (1991B)
- 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention  
Number changed from 13.135 (1990U)
- 93.136 Injury Prevention and Control Research Projects, Injury Prevention Research Centers, Applied Methods in Surveillance Projects, and State and Community-Based Injury Control Projects  
Number changed from 13.136 (1990U)  
Injury Prevention and Control Research Projects (1990U)  
Injury Prevention and Control Research and State Grants Projects (1992U)  
Injury Prevention and Control Research and State and Community Based Programs (1996B)
- 93.137 Minority Community Health Coalition Demonstration  
Number changed from 13.137 (1990U)  
Community Programs to Improve Minority Health Grant Program (2001B)
- 93.138 Protection and Advocacy for Mentally Ill Individuals  
Number changed from 13.138 (1990U)  
Protection and Advocacy for Individuals with Mental Illness (1993B)
- 93.139 Financial Assistance for Disadvantaged Health Professions Students (FADHPS)  
Number changed from 13.139 (1990U)  
Financial Assistance for Disadvantaged Health Professions Students (1997B)  
Consolidated into 93.925 (2001B)
- 93.140 Intramural Research Training Award  
Number changed from 13.140 (1990U)
- 93.141 Special State Grant Program for Increasing the Availability of the 9-1-1 Emergency Telephone Number (1993U)  
Special Initiatives Trauma Grant Program (1994U)  
Deleted (1997B)
- 93.142 NIEHS Hazardous Waste Worker Health and Safety Training  
Number changed from 13.142 (1990U)
- 93.143 NIEHS Superfund Hazardous Substances-Basic Research and Education  
Number changed from 13.143 (1990U)
- 93.144 Drug and Alcohol Abuse Prevention-High-Risk Youth Demonstration Grants  
Number changed from 13.144 (1990U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1991U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1992U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Populations (1995B)  
Demonstration Grants for the Prevention of Alcohol and Drug Abuse Among High-Risk Populations (1996B)  
Deleted (2002B)
- 93.145 AIDS Education and Training Centers  
Number changed from 13.145 (1990U)  
National AIDS Education and Training Centers (1994U)  
AIDS Education and Training Centers (1998B)
- 93.146 Temporary AIDS Drug Reimbursements  
Number changed from 13.146 (1990U)  
Deleted (1992B)
- 93.147 Post-Baccalaureate Faculty Fellowships  
Number changed from 13.147 (1990U)  
Deleted (1991B)



93.148	Cooperative Agreements for Collaborative Demonstration Program for Homeless Individuals (1993U) Deleted (1997B)	Minority AIDS and Related Risk Factors Education/Prevention Grants (1991B) Incorporated into 93.118 (1993B)
93.149	Grants for Two-Year Programs of Schools of Medicine or Osteopathic Medicine Number changed from 13.149 (1990U) Deleted (1993U)	93.161 Health Program for Toxic Substances and Disease Registry Number changed from 13.161 (1990U) Split into 93.200, 93.201, 93.203, 93.204, 93.205, 93.206, 93.207, 93.208 (1994B)
93.150	Mental Health Services for the Homeless Block Grant Number changed from 13.150 (1990U) Projects for Assistance in Transition from Homelessness (PATH) (1991B)	93.162 National Health Service Corps Loan Repayment Number changed from 13.162 (1990U) National Health Service Corps Loan Repayment Program (1993U)
93.151	Project Grants for Health Services to the Homeless Number changed from 13.151 (1990U) Health Center Grants for Homeless Populations (1997B) Consolidated into 93.224 (2006)	93.163 Health Services in the Pacific Basin Number changed from 13.163 (1990U) Deleted (1997B)
93.152	Community Demonstration Grant Projects for Alcohol and Drug Abuse Treatment of Homeless Individuals Number changed from 13.152 (1990U) Deleted (1994)	93.164 Indian Health Service Educational Loan Repayment Number changed from 13.164 (1990U)
93.153	Pediatric AIDS Health Care Demonstration Program Number changed from 13.153 (1990U) Pediatric Family AIDS Health Care Demonstration Program (1993U) HIV Demonstration Program for Children, Adolescents, and Women (1994B) Coordinated HIV Services and Access to Research for Children, Youth, Women, and Families (2000B) Coordinated Services and Access to Research for Women, Infants, Children, and You (2002B)	93.165 Grants for State Loan Repayment Number changed from 13.165 (1990U) Grants To States for Loan Repayment Program (2005)
93.154	Special International Postdoctoral Research Program in Acquired Immunodeficiency Syndrome Number changed from 13.154 (1990U) Deleted (2001B)	93.166 Indian Health Service Health Promotion and Disease Prevention Demonstration Projects Number changed from 13.166 (1990U) Deleted (1991B)
93.155	Rural Health Research Centers Number changed from 13.155 (1990U)	93.167 Research Facilities Improvement Number changed from 13.167 (1990U) Deleted (1991U)
93.156	Grants for Faculty Training Projects in Geriatric Medicine and Dentistry Number changed from 13.156 (1990U) Geriatric Training Regarding Physicians and Dentists (1999U) Geriatric Training for Physicians, Dentists, and Behavioral/Mental Health Professionals (2002B) Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (2005) Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (2006)	93.168 International Cooperative Biodiversity Groups Program (1995U) Consolidated into 93.989 (2006)
93.157	Excellence in Minority Health Education and Care Number changed from 13.157 (1990U) Programs for Excellence in Health Professions Education for Minorities (1991B) Programs of Excellence in Health Professions Education for Minorities (1991U) Centers of Excellence (1999U)	93.169 Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse) Number changed from 13.169 (1990U) Demonstration Grants on Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse) (1991U) Deleted (2000U)
93.158	Adolescent Health Centers for American Indians/Alaska Natives (1993U) Deleted (1999B)	93.170 Community Youth Activity Demonstration Grants Number changed from 13.170 (1990U) Deleted (1993B)
93.159	Health Care Services in the Home Number changed from 13.159 (1990U) Deleted (1994B)	93.171 Community Youth Activity Block Grants Number changed from 13.171 (1990U) Deleted (1993B)
93.160	Minority AIDS Education/Prevention Grants Number changed from 13.160 (1990U)	93.172 Human Genome Research Number changed from 13.172 (1990U)
		93.173 Biological Research Related to Deafness and Communicative Disorders Number changed from 13.173 (1990U) Research Related to Deafness and Communication Disorders (1990U)
		93.174 Conference Grant (Substance Abuse) Number changed from 13.174 (1990U) Knowledge Dissemination Grants (Substance Abuse) (1996B) Deleted (1999B)
		93.175 Drug Abuse Treatment Waiting List Reduction Grants Number changed from 13.175 (1990U) Deleted (1992B)
		93.176 ADAMHA Small Instrumentation Program Grants Number changed from 13.176 (1990U)

	NIAAA, NIDA, and NIMH Small Instrumentation Program Grants (1992U) Incorporated into 93.242, 93.273, 93.279 (1993B)		Number changed from 13.191 (1990U) Allied Health Projects (1999U) Allied Health Special Projects (2002B)
93.177	Integrated Community-Based Primary Care and Drug Abuse Treatment Services Number changed from 13.177 (1990U) Deleted (1997B)	93.192	Interdisciplinary Training for Health Care for Rural Areas Number changed from 13.192 (1990U) Quentin N. Burdick Programs for Rural Interdisciplinary Training (1999U) Quentin N. Burdick Program for Rural Interdisciplinary Training (2005)
93.178	Nursing Education Opportunities for Individuals from Disadvantaged Backgrounds Number changed from 13.178 (1990U) Nursing Workforce Diversity (2000B)	93.193	Urban Indian Alcohol and Substance Abuse Prevention, Treatment, Rehabilitation and Education Number changed from 13.193 (1990U) Urban Indian Health Services (1991U)
93.179	State Data Collection-Uniform Alcohol and Drug Abuse Data Number changed from 13.179 (1990U) Deleted (1993U)	93.194	Community Partnership Demonstration Grant Number changed from 13.194 (1990U) Community Partnership Study Demonstration Grant (1991U) Community Partnership Demonstration Grant (1993U) Community Prevention Coalitions (Partnership) Demonstration Grant (1996B) Deleted (2002B)
93.180	Medical Treatment Effectiveness Research Number changed from 13.180 (1990U) Research on Health Care Outcomes and Quality (1997U) Consolidated into 93.226 (1999B)	93.195	Disaster Relief Assistance Grants for Drug Abuse Treatment Number changed from 13.195 (1990U) Deleted (1991B)
93.181	Podiatric Primary Care Residency Training Number changed from 13.181 (1990U) Grants for Podiatric Primary Care Residency Training (1993B) Podiatric Residency in Primary Care (1999U) Podiatric Residency Training in Primary Care (2002B)	93.196	Cooperative Agreements for Drug Abuse Treatment Improvement Projects in Target Cities Number changed from 13.196 (1990U) Deleted (2000U)
93.182	Scholarships for the Undergraduate Education of Professional Nurses Number changed from 13.182 (1990U) Deleted (1993B)	93.197	Childhood Lead Poisoning Prevention Projects-State and Community-Based Childhood Lead Poisoning Prevention Number changed from 13.197 (1990U) Childhood Lead Poisoning Prevention Projects-State and Community-Based Childhood Lead Poisoning Prevention Program (1991B) Childhood Lead Poisoning Prevention Projects-State and Community-Based Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (1995B) Childhood Lead Poisoning Prevention Projects-State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (2000B)
93.183	Federal Assistance for Rural Hospitals for the Advancement and Improvement of Health Care Services and the Enhancement of Quality Care Number changed from 13.183 (1990U) Deleted (1991B)	93.198	Biological Models and Materials Resources Number changed from 13.198 (1990U) Biological Models and Materials Research (1991B) Consolidated into 93.306 (1996B)
93.184	Disabilities Prevention Number changed from 13.184 (1990U)	93.199	HIV Home and Community-Based Health Services Number changed from 13.199 (1990U) Deleted (1992B)
93.185	Immunization Research, Demonstration, Public Information and Education-Education, Training, and Clinical Skills Improvement Projects Number changed from 13.185 (1990U) Immunization Research, Demonstration, Public Information and Education-Training and Clinical Skills Improvement Projects (1994U)	93.200	Educating Health Professionals Regarding Environmentally Hazardous Substances Split from 93.161 (1994B) Environmental Health Education Activities for Health Professionals and Communities (1996B) Deleted (1997B)
93.186	National Research Services Awards Number changed from 13.186 (1990U) National Research Service Award in Primary Care Medicine (2005) National Research Service Award in Primary Care Medicine (2006)	93.201	Public Health Assessments and Related Site-Specific Biological Testing Split from 93.161 (1994B) Deleted (1997B)
93.187	Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (1995U)	93.202	Capacity Building Among American Indian Tribes (2002B)
93.188	Special Project Grants to Schools of Public Health Number changed from 13.188 (1990U) Public Health Training Centers (1999U) Deleted (2002B)	93.203	Health Activities Recommendation Panel Health Activities Split from 93.161 (1994B)
93.189	Health Education and Training Centers Number changed from 13.189 (1990U)		
93.190	Model Education Projects for Health Professions Number changed from 13.190 (1990U) Deleted (1993B)		
93.191	Allied Health Project Grants		

	Deleted (1997B)		Number changed from 13.224 (1990U)
93.204	Surveillance of Hazardous Substance Emergency Events Split from 93.161 (1994B)		Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (2005)
93.205	Health Outcome Studies to Hazardous Substances and Adverse Health Effects Split from 93.161 (1994B) Deleted (1996B)	93.225	National Research Service Awards-Health Services Research Training Number changed from 13.225 (1990U)
93.206	Health Studies Initiative of Priority Health Conditions Split from 93.161 (1994B) Human Health Studies-Applied Research and Development (1997B)	93.226	Health Services Research and Development Grants Number changed from 13.226 (1990U) Health Care Systems Cost and Access Research and Development Grants (1998B) Consolidated from 93.180 (1999B)
93.207	Surveillance of the Relationship Between Hazardous Substances Exposure and Adverse Health Outcomes Split from 93.161 (1994B) Deleted (1996B)		Research on Healthcare Costs, Quality and Outcomes (2000B)
93.208	Great Lakes Human Health Effects Research Split from 93.161 (1994B)	93.227	Surveillance of the Complications of Hemophilia (1995U) Deleted (2001B)
93.209	Contraception and Infertility Loan Repayment Program (1995U) Contraception and Infertility Research Loan Repayment Program (2000B)	93.228	Indian Health Services-Health Management Development Program Number changed from 13.228 (1990U)
93.210	Tribal Self-Governance Demonstration Program: Planning and Negotiation Cooperative Agreements and IHS Compacts (1994B) Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreements and IHS Compacts/Funding Agreements (2004) Tribal Self-Governance Program: IHS Compacts/Funding Agreements (2008)	93.229	Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (1995B)
93.211	Rural Telemedicine Grants (1994B) Telehealth Network Grants (2004)	93.230	Consolidated Knowledge Development and Application Program (1996B) Consolidated from 93.131 (1999B) Consolidated Knowledge Development and Application (KD&A) Program (1999U)
93.212	Chiropractic Demonstration Projects (1994B) Chiropractic Demonstration Project Grants (2002B)	93.231	Epidemiology Cooperative Agreements (1996U)
93.213	Research and Training in Alternative Medicine (1994B) Research and Training in Complementary and Alternative Medicine (2001B)	93.232	Educational Loan Repayment Program for Research Professionals (1996U) Loan Repayment Program for Research (1997B) Loan Repayment Program for General Research (1997U)
93.214	Extramural Research Facilities Construction Projects (1994B) Consolidated into 93.389 (1996B)	93.233	National Center on Sleep Disorders Research (1997B)
93.215	Hansen's Disease National Ambulatory Care Program (1995U)	93.234	Traumatic Brain Injury (1997U) Traumatic Brain Injury-State Demonstration Grant Program (2000B) Traumatic Brain Injury State Demonstration Grant Program (2005)
93.216	HIV/AIDS Mental Health Services Demonstration Program (1994U) Deleted (2000U)	93.235	Abstinence Education (1997U) Abstinence Education Program (2005) Abstinence Education Program (2006)
93.217	Family Planning-Services Number changed from 13.217 (1990U)	93.236	Grants for Dental Public Health (1998B) Grants for Dental Public Health Residency Training (2000B)
93.218	Substance Abuse Treatment Conference Grants (1994U) Deleted (1999B)	93.237	Special Diabetes Program for Indians-Prevention and Treatment Projects (1998B) Special Diabetes Program for Indians-Diabetes Prevention and Treatment Projects (2001B)
93.219	Matching Grants for Health Professions Scholarships to Indian Tribes (1994U)	93.238	Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (1998B)
93.220	Loan Repayment Program for Individuals from Disadvantaged Backgrounds (1994U) Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (1995B)	93.239	Policy Research and Evaluation Grants (1998B)
93.221	Junior National Health Service Corps/Junior Health Careers Opportunity Program (1994U) Split from 93.258, 93.822 (1994U) Deleted (1997B)	93.240	State Capacity Building (1999B)
93.222	Centers for Medical Education Research (1994U) Deleted (2000B)	93.241	State Rural Hospital Flexibility Program (1999B)
93.223	Development and Coordination of Rural Health Services (1994U) Split from 93.913 (1994U)	93.242	Mental Health Research Grants Number changed from 13.242 (1990U) Incorporated from 93.126, 93.176 (1993B)
93.224	Community Health Centers	93.243	Substance Abuse and Mental Health Services-Projects of Regional and National Significance (2002B)
		93.244	Mental Health Clinical or Service Related Training Grants Number changed from 13.244 (1990U) Mental Health Clinical and AIDS Service-Related Training Grants (1995U)
		93.245	New Pilot Innovative Food Safety Projects (1999B) Innovative Food Safety Projects (2000B)



- Deleted (2005)
- 93.246 Migrant Health Centers Grants  
Number changed from 13.246 (1990U)  
Health Centers Grants for Migratory and Seasonal Farmworkers (1997B)  
Health Centers Grants for Migrant and Seasonal Farmworkers (1999U)  
Consolidated into 93.224 (2006)
- 93.247 Advanced Education Nursing Grant Program (2000B)  
Consolidated from 93.298, 93.299, 93.916 (2001B)
- 93.248 Residencies in the Practice of Pediatric Dentistry (2000B)  
Consolidated into 93.884 (2003B)  
Deleted (2003)
- 93.249 Public Health Training Centers Grant Program (2000B)
- 93.250 Geriatric Academic Career Award (2000B)  
Geriatric Academic Career Awards (2002B)
- 93.251 Universal Newborn Hearing Screening (2000B)
- 93.252 Community Access Program (2000B)  
Healthy Community Access Program (2004)  
Healthy Communities Access Program (2005)
- 93.253 National Poison Control Systems Stabilization and Support (2000U)  
Poison Control Stabilization and Enhancement Grants (2002B)
- 93.254 Infant Adoption Awareness Training (2001B)
- 93.255 Children's Hospitals Graduate Medical Education Payment (2001U)
- 93.256 State Planning Grant-Health Care Access for the Uninsured (2001U)  
State Planning Grants Health Care Access for the Uninsured (2005)  
State Planning Grants Health Care Access for the Uninsured (2006)
- 93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (2002B)
- 93.258 National Health Service Corps  
Number changed from 13.258 (1990U)  
Split into 93.221 (1990U)  
Deleted (1997B)
- 93.259 Rural Access to Emergency Devices Grant (2002B)
- 93.260 Family Planning-Personnel Training  
Number changed from 13.260 (1990U)
- 93.262 Occupational Safety and Health Research Grants  
Number changed from 13.262 (1990U)  
Occupational Safety and Health Research Projects (2004)  
Occupational Safety and Health Program (2005)
- 93.263 Occupational Safety and Health-Training Grants  
Number changed from 13.263 (1990U)  
Deleted (2005)
- 93.264 Nurse Faculty Loan Program (NFLP) (2003B)
- 93.265 Comprehensive Geriatric Education Program (CGEP) (2003B)
- 93.266 Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (2004)
- 93.267 State Grants for Protection and Advocacy Services (2004)
- 93.268 Childhood Immunization Grants  
Number changed from 13.268 (1990U)  
Immunization Grants (1997U)
- 93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (2008)
- 93.270 Adult Viral Hepatitis Prevention and Control (2008)
- 93.271 Alcohol Scientist Development Award and Research Scientist Development Award for Clinicians  
Number changed from 13.271 (1990U)  
Alcohol Research and Development Awards for Scientists and Clinicians (1993B)  
Alcohol Research Career Development Awards for Scientists and Clinicians (1993U)
- 93.272 Alcohol National Research Service Awards for Research Training  
Number changed from 13.272 (1990U)
- 93.273 Alcohol Research Programs  
Number changed from 13.273 (1990U)  
Incorporated from 93.126, 93.176 (1993B)
- 93.274 Alcohol and Drug Abuse Clinical or Service-Related Training  
Number changed from 13.274 (1990U)  
Clinical Training Grant for Faculty Development in Alcohol and Other Drug Abuses (1994B)  
Clinical Training Grant for Faculty Development in Alcohol and Drug Abuses (1996B)  
Deleted (2002B)
- 93.275 Substance Abuse and Mental Health Services-Access to Recovery (2004)
- 93.276 Drug-Free Communities Support Program Grants (2004)
- 93.277 Drug Abuse Scientist Development Award for Clinicians-Scientist Development Awards and Research Scientist Awards  
Number changed from 13.277 (1990U)  
Drug Abuse Scientist Development Awards, Research Scientist Development Awards, and Research Scientist Awards (1994B)  
Career Development Awards (2002B)  
Consolidated into 93.279 (2003B)  
Deleted (2003)
- 93.278 Drug Abuse National Research Service Awards for Research Training  
Number changed from 13.278 (1990U)  
Consolidated into 93.279 (2003B)  
Deleted (2003)
- 93.279 Drug Abuse Research Programs  
Number changed from 13.279 (1990U)  
Split into 93.949 (1992B)  
Incorporated from 93.126, 93.176 (1993B)  
Drug Abuse and Addiction Research Programs (2005)
- 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (2003B)
- 93.281 Mental Research Scientist Development Award and Research Scientist Development Award for Clinicians  
Number changed from 13.281 (1990U)  
Scientist Development Award (SDA), Research Scientist Development Award (RSDA), Scientist Development Award for Clinicians (SDAC), and Research Scientist Award (RSA) (1992U)  
Mental Health Research Career/Scientist Development Awards (1995U)
- 93.282 Mental Health National Research Service Awards for Research Training  
Number changed from 13.282 (1990U)
- 93.283 Centers for Disease Control-Investigations and Technical Assistance  
Number changed from 13.283 (1990U)  
Centers for Disease Control and Prevention-Investigations and Technical Assistance (1993B)
- 93.284 Injury Prevention Program for American Indians and Alaskan Natives-Cooperative Agreements (2000B)

93.285	National Institutes of Health Pediatric Research Loan Repayment Program (2004)	Consolidated into 93.371, 93.389 (1996B)
93.286	Biomedical Imaging Research (2002B) Discovery and Applied Research for Technological Innovations to Improve Human Health (2005)	93.342 Health Professions Student Loans Number changed from 13.342 (1990U) Health Professions Student Loans/Loans for Disadvantaged Students (1991B)
93.287	Discovery and Applied Research for Technological Innovations to Improve Human Health (2006) Bioengineering Research (2002B) Deleted (2004)	93.358 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (1993B) Professional Nurse Traineeships Number changed from 13.358 (1990U)
93.288	National Health Service Corps Scholarship Program Number changed from 13.288 (1990U)	Advanced Education Nursing Traineeships (2000B)
93.289	President's Council on Physical Fitness and Sports Number changed from 13.289 (1990U)	93.359 Nurse Training Improvement-Special Projects Number changed from 13.359 (1990U) Nursing-Special Projects (1998B)
93.290	National Community Centers of Excellence in Women's Health (2000U)	Basic Nurse Education and Practice Grants (2000B)
93.291	Surplus Property Utilization Number changed from 13.291 (1990U)	Nurse Education, Practice and Retention Grants (2003B)
93.294	Mentoring Partnership Program - Protege (2006)	93.361 Nursing Research Number changed from 13.361 (1990U)
93.295	Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (2006)	93.364 Nursing Student Loans Number changed from 13.364 (1990U)
93.296	State Partnership Grant Program to Improve Minority Health (2006)	93.365 Sickle Cell Treatment Demonstration Program (2006)
93.298	Nurse Practitioner and Nurse Midwife Education and Traineeships Number changed from 13.298 (1990U) Nurse Practitioner and Nurse-Midwifery Education Programs (1993U) Consolidated into 93.247 (2001B)	93.371 Biomedical Research Technology Number changed from 13.371 (1990U) Biomedical Technology, Consolidated from 93.337 (1996B) Consolidated into 93.389 (2003B) Deleted (2003)
93.299	Advanced Nurse Education Number changed from 13.299 (1990U) Consolidated into 93.247 (2001B)	93.375 Minority Biomedical Research Support Number changed from 13.375 (1990U) Consolidated into 93.859 (2003B) Deleted (2003)
93.300	National Center for Health Workforce Analysis (2002B)	93.379 Grants for Graduate Training in Family Medicine Number changed from 13.379 (1990U) Consolidated into 93.884 (2001B)
93.301	Small Rural Hospital Improvement Grants (2002B) Small Rural Hospital Improvement Grant Program (2005)	93.385 National Institutes of Health Pediatric Research Loan Repayment Program (2003B)
93.302	Healthy Schools, Healthy Communities (2004)  Incorporated into 93.224 (2006)	93.389 Research Centers in Minority Institutions Number changed from 13.389 (1990U) Research Infrastructure (1996B) Consolidated from 93.337, 93.922 (2003)
93.303	Nursing Scholarship Program (2007)	93.390 Academic Research Enhancement Award Number changed from 13.390 (1990U) Deleted (2006)
93.306	Laboratory Animal Sciences and Primate Research Number changed from 13.306 (1990U) Comparative Medicine Program (1991U) Comparative Medicine, Consolidated from 93.198 (1996B) Consolidated into 93.389 (2003B) Deleted (2003)	93.392 Cancer Construction (1990U)
93.307	Loan Repayment for Health Disparities Research (2002B)	93.393 Cancer Cause and Prevention Research Number changed from 13.393 (1990U)
93.308	Extramural Loan Repayment for individuals from Disadvantaged Backgrounds Conducting Clinical Research (2002B)	93.394 Cancer Detection and Diagnosis Research Number changed from 13.394 (1990U)
93.309	Bioinformatics and Computational Biology Research (2002B) Consolidated into 93.859 (2003B) Deleted (2003)	93.395 Cancer Treatment Research Number changed from 13.395 (1990U)
93.310	Trans-NIH Research Support (2006)	93.396 Cancer Biology Research Number changed from 13.396 (1990U)
93.333	General Clinical Research Centers Number changed from 13.333 (1990U) Clinical Research (1996B)	93.397 Cancer Centers Support Number changed from 13.397 (1990U)
93.337	Biomedical Research Support Number changed from 13.337 (1990U)	

93.398	Cancer Research Manpower Number changed from 13.398 (1990U)	Reinstated (1997U)	93.565	State Legalization Impact Assistance Grants Number changed from 93.025 (1992U) Deleted (1997B)
93.399	Cancer Control Number changed from 13.399 (1990U)		93.566	Refugee and Entrant Assistance-State Administered Programs Number changed from 93.026 (1992U) Split into 93.584 (1994U)
93.441	Indian Self-Determination (2000U)		93.567	Refugee Assistance-Voluntary Agency Programs Number changed from 93.027 (1992U) Refugee and Entrant Assistance-Voluntary Agency Programs (2000B)
93.442	Special Diabetes Program for Indians (SDPI) Competitive Grant Program (2004)		93.568	Low-Income Home Energy Assistance Number changed from 93.028 (1992U)
93.443	Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (2008)		93.569	Community Services Block Grant Number changed from 93.031 (1992U)
93.444	Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (2008)		93.570	Community Services Block Grant-Discretionary Awards Number changed from 93.032 (1992U)
93.447	State Health Fraud Task Force Grants (2004)		93.571	Community Services Block Grant Discretionary Awards-Community Food and Nutrition Number changed from 93.033 (1992U) Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2005) Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2006) Deleted (2008)
93.448	Food Safety and Security Monitoring Project (2005)		93.572	Emergency Community Services for the Homeless Number changed from 93.034 (1992U) Deleted (1997B)
93.449	Ruminant Feed Ban Support Project (2005)		93.573	Community Services Block Grant Discretionary Awards-Demonstration Partnerships Number changed from 93.035 (1992U) Deleted (1997U)
93.550	Administration for Children, Youth and Families-Transitional Living for Runaway and Homeless Youth Number changed from 13.550 (1990U) Transitional Living for Runaway and Homeless Youth (1991U) Transitional Living for Homeless Youth (1992U)		93.574	Child Care for Families At-Risk of Welfare Dependency Number changed from 93.036 (1992U) Deleted (1998B)
93.551	Administration for Children, Youth and Families-Abandoned Infants Number changed from 13.551 (1990U) Abandoned Infants (1991U)		93.575	Payments to States for Child Care Assistance Number changed from 93.037 (1992U) Child Care and Development Block Grant (1995B)
93.552	Special Programs for the Aging-Title III, Part G-Prevention of Abuse, Neglect, and Exploitation of Older Individuals (1991B) Number changed to 93.041 (1992U)		93.576	Refugee and Entrant Assistance-Discretionary Grants Number changed from 93.038 (1992U) Consolidated from 93.987 (1997B)
93.553	Special Programs for the Aging-Title III, Part A-Long-Term Care Ombudsman Services for Older Individuals (1991B) Number changed to 93.042 (1992U)		93.577	Early Learning Fund (2001U)
93.554	Emergency Protection Grants-Substance Abuse (1991B) Deleted (1995B)		93.578	Family Support Centers Demonstration Program Number changed from 93.040 (1992U) Homeless Families Support Services Demonstration Program (1992U) Family Support Center and Gateway Demonstration Program (1993U) Deleted (1997B)
93.555	Special Programs for the Aging-Title III, Part F-Preventive Health Services (1992B) Number changed to 93.043 (1992U)		93.579	U.S. Repatriate Program (1992U) U.S. Repatriation Program (1999U)
93.556	Family Preservation and Support Services (1993U) Promoting Safe and Stable Families (2000B)		93.580	Family Resource and Support Program (1993B) Family Resource Centers (1994B) Deleted (1995B)
93.557	Education and Prevention to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (1999B)			
93.558	Temporary Assistance for Needy Families (1997B)			
93.559	Federal Loans for State Welfare Programs (1997B) Deleted (2000B)			
93.560	Family Support Payments to States-Assistance Payments Number changed from 93.020 (1992U)			
93.561	Job Opportunities and Basic Skills Training Number changed from 93.021 (1992U) Deleted (1998B)			
93.562	Assistance Payments-Research Number changed from 93.022 (1992U) Deleted (1997B) Reinstated (1997U) Consolidated into 93.647 (1998B)			
93.563	Child Support Enforcement Number changed from 93.023 (1992U)			
93.564	Child Support Enforcement Research Number changed from 93.024 (1992U) Deleted (1997B)			



93.581	Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (1994U)	Child Welfare Research and Demonstration (1991U) Deleted (1998B)
93.582	Mitigation of Environmental Impacts to Indian Lands Due to Department of Defense Activities (1994U)	93.612 Native American Programs Number changed from 13.612 (1990U)
93.583	Refugee and Entrant Assistance-Wilson/Fish Program (1994U)	93.613 Mental Retardation-President's Committee on Mental Retardation Number changed from 13.613 (1990U)
93.584	Refugee and Entrant Assistance-Targeted Assistance (1994U) Split from 93.566 (1994U) Refugee and Entrant Assistance-Targeted Assistance Grants (2004)	93.614 Child Development Associate Scholarships Number changed from 13.614 (1990U) Deleted (1997B)
93.585	Empowerment Zones Program (1994U) Deleted (1998B)	93.616 Mentoring Children of Prisoners (2003B)
93.586	State Court Improvement Program (1994U)	93.617 Voting Access for Individuals with Disabilities-Grants to States and Local Government (2003B) Voting Access for Individuals with Disabilities-Grants to States (2004)
93.587	Promote the Survival and Vitality of Native American Languages (1994U) Promote the Survival and Continuing Vitality of Native American Languages (1995B)	93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (2003B) Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (2004)
93.588	Community Schools Program (1995U) Community Schools Youth Services and Supervision Program (1996U) Deleted (1999B)	93.623 Administration for Children, Youth and Families-Runaway and Homeless Youth Number changed from 13.623 (1990U) Runaway and Homeless Youth (1991U) Comprehensive Runaway and Homeless Youth (1995U) Runaway and Homeless Youth (1996B)
93.589	Refugee Assistance-Naturalization and Citizenship Activities (1995U) Deleted (1999B)	93.630 Administration on Developmental Disabilities-Basic Support and Advocacy Grants Number changed from 13.630 (1990U) Developmental Disabilities Basic Support and Advocacy Grants (1991U)
93.590	Community-Based Resource Centers (1995U) Community-Based Family Resource and Support Grants (1998B) COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS (2005) Community-Based Child Abuse Prevention Grants (2006)	93.631 Administration on Developmental Disabilities-Projects of National Significance Number changed from 13.631 (1990U) Developmental Disabilities Projects of National Significance (1991U)
93.591	Family Violence Prevention and Services: Grants to State Domestic Violence Coalitions (1995U) Family Violence Prevention and Services/Grants for Battered Women's Shelters-Grants to State Domestic Violence Coalitions (1997U)	93.632 Administration on Developmental Disabilities-University Affiliated Programs Number changed from 13.632 (1990U) Developmental Disabilities University Affiliated Programs (1991U) University Centers for Excellence in Developmental Disabilities Education, Research, and Service (2002B)
93.592	Family Violence Prevention and Services: Discretionary Grants (1995U) Family Violence Prevention and Services/Grants for Battered Women's Shelters-Discretionary Grants (1997U)	93.633 Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers Number changed from 13.633 (1990U) Number changed to 93.044 (1992U)
93.593	Job Opportunities for Low-Income Individuals (1995U)	93.635 Special Programs for the Aging-Title III, Part C-Nutrition Services Number changed from 13.635 (1990U) Number changed to 93.045 (1992U)
93.594	Tribal Work Grants (1997B)	93.641 Special Programs for the Aging-Title III, Part D-In-Home Services for Frail Older Individuals Number changed from 13.641 (1990U) Number changed to 93.046 (1992U)
93.595	Welfare Reform Research, Evaluations and National Studies (1997B)	93.643 Children's Justice Grants to States Number changed from 13.643 (1990U)
93.596	Child Care Mandatory and Matching Funds of the Child Care and Development Fund (1997B)	93.645 Child Welfare Services-State Grants Number changed from 13.645 (1990U)
93.597	Grants to States for Access and Visitation Programs (1997B)	93.647 Social Services Research and Demonstration Number changed from 13.647 (1990U) Consolidated from 93.562 (1998B)
93.598	Assistance for Victims of Trafficking (2001U) Services to Victims of a Severe Form of Trafficking (2002B)	
93.599	Chafee Education and Training Vouchers Program (ETV) (2003B)	
93.600	Administration for Children, Youth and Families-Head Start Number changed from 13.600 (1990U) Head Start (1991U)	
93.601	Child Support Enforcement Demonstration and Special Projects (1999B)	
93.602	New Assets for Independence Demonstration Program (1999B) Assets for Independence Demonstration Program (2005) Assets for Independence Demonstration Program (2006)	
93.603	Adoption Incentive Payments (1999B)	
93.604	Assistance to Torture Victims (2000B) Assistance for Torture Victims (2005)	
93.608	Administration for Children, Youth and Families-Child Welfare Research and Demonstration Number changed from 13.608 (1990U)	

93.648	Child Welfare Services Training Grants Number changed from 13.648 (1990U)	Child Abuse and Neglect State Prevention Grants (1992U) Community-Based Prevention Program (1993U) Deleted (1995B)
93.652	Administration for Children, Youth and Families-Adoption Opportunities Number changed from 13.652 (1990U) Adoption Opportunities (1991U)	93.673 Grants to States for Planning and Development of Dependent Care Programs Number changed from 13.673 (1990U) Deleted (1997B)
93.655	Special Programs for the Aging, Title VI-Part A, Indian Programs-Grants to Indian Tribes-Part B, Grants to Native Hawaiians Number changed from 13.655 (1990U) Special Programs for the Aging, Title VI-Part A, Indian Programs-Grants to Indian Tribes and Part B, Grants to Native Hawaiians (1991B) Number changed to 93.047 (1992U)	93.674 Independent Living Number changed from 13.674 (1990U) Chafee Foster Care Independent Living (2002B) Chafee Foster Care Independence Program (2005) Chafee Foster Care Independence Program (2006)
93.656	Temporary Child Care and Crisis Nurseries Number changed from 13.656 (1990U) Deleted (1998B)	93.676 Unaccompanied Alien Children Program (2003B)
93.657	Drug Abuse Prevention and Education for Runaway and Homeless Youth Number changed from 13.657 (1990U) Drug Abuse Prevention Program for Runaway and Homeless Youth (1991B) Drug Education and Prevention for Homeless Youth (1993U) Deleted (1997B)	93.760 Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (2006) 93.766 Health Care Financing Research, Demonstrations and Evaluations Number changed from 13.779 (1990U) 93.767 State Children's Insurance Program (1998B) 93.768 Medicaid Infrastructure Grants to Support the Competitive Employment of People with Disabilities (2000U) 93.769 Demonstration to Maintain Independence and Employment (2000U)
93.658	Foster Care-Title IV-E Number changed from 13.658 (1990U)	93.770 Medicare-Prescription Drug Coverage (2005) 93.773 Medicare-Supplementary Medical Insurance Number changed from 13.773 (1990U)
93.659	Adoption Assistance Number changed from 13.659 (1990U)	93.774 Health Insurance for the Aged-Supplementary Medical Insurance Number changed from 13.774 (1990U)
93.660	Drug Abuse Prevention and Education Relating to Youth Gangs Number changed from 13.660 (1990U) Drug Education and Prevention Programs for Youth Gangs (1993U) Youth Initiative/Youth Gangs (1994B) Deleted (1997B)	93.775 State Medicaid Fraud Control Units Number changed from 13.775 (1990U) 93.776 Hurricane Katrina Relief (2006) 93.777 State Survey and Certification of Health Care Providers and Suppliers Number changed from 13.777 (1990U)
93.666	Comprehensive Child Development Centers Number changed from 13.666 (1990U) Deleted (1996B)	93.778 Medical Assistance Program Number changed from 13.714 (1990U)
93.667	Social Services Block Grant Number changed from 13.667 (1990U)	93.779 Health Care Financing Research, Demonstrations and Evaluations Number changed from 13.766 (1990U) Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (2002B)
93.668	Special Programs for the Aging-Title IV-Training, Research and Discretionary Projects and Programs Number changed from 13.668 (1990U) Number changed to 93.048 (1992U)	93.780 Grants to States for Operation of Qualified High-Risk Pools (2003B) 93.781 Seed Grants to States for Qualified High-Risk Pools (2003B) 93.782 Medicare Transitional Drug Assistance Program for Territories (2004) 93.783 Medicare Transitional Drug Assistance Program for States (2004) 93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (2004)
93.669	Administration for Children, Youth and Families-Child Abuse and Neglect State Grants Number changed from 13.669 (1990U) Child Abuse and Neglect State Grants (1991U)	93.785 Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care (2004) 93.786 State Pharmaceutical Assistance Programs (2004) 93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (2006)
93.670	Administration for Children, Youth and Families-Child Abuse and Neglect Discretionary Activities Number changed from 13.670 (1990U) Child Abuse and Neglect Discretionary Activities (1991U)	93.790 Alternate Non-Emergency Service Providers or Networks (2006) 93.791 Money Follows the Person Rebalancing Demonstration (2006) 93.793 Medicaid Transformation Grants (2006) 93.794 Reimbursement of State Costs for Provision of Part D Drugs (2006)
93.671	Family Violence and Prevention Services Number changed from 13.671 (1990U) Family Violence Prevention and Services-Grants to States and Indian Tribes (1995B) Family Violence Prevention and Services/Grants for Battered Women's Shelters-Grants to States and Indian Tribes (1997U)	93.802 Social Security-Disability Insurance Number changed from 13.802 (1990U)
93.672	Child Abuse Challenge Grants Number changed from 13.672 (1990U)	

	Number changed to 96.001 (1995B)		Number changed from 13.849 (1990U)
93.803	Social Security-Retirement Insurance Number changed from 13.803 (1990U) Number changed to 96.002 (1995B)		Deleted (2008)
93.804	Social Security-Special Benefits for Persons Aged 72 and Over Number changed from 13.804 (1990U) Number changed to 96.003 (1995B)	93.853	Clinical Research Related to Neurological Disorders Number changed from 13.853 (1990U) Consolidated from 93.854 (1999B) Extramural Research Programs in the Neurosciences and Neurological Disorders (2000B)
93.805	Social Security-Survivors Insurance Number changed from 13.805 (1990U) Number changed to 96.004 (1995B)	93.854	Biological Basis Research in the Neurosciences Number changed from 13.854 (1990U) Consolidated into 93.853 (1999B)
93.806	Special Benefits for Disabled Coal Miners Number changed from 13.806 (1990U) Number changed to 96.005 (1995B)	93.855	Allergy, Immunology and Transplantation Research Number changed from 13.855 (1990U)
93.807	Supplemental Security Income Number changed from 13.807 (1990U) Number changed to 96.006 (1995B)	93.856	Microbiology and Infectious Diseases Research Number changed from 13.856 (1990U)
93.812	Public Assistance Research Number changed from 13.812 (1990U) Number changed to 96.007 (1995B)	93.859	Pharmacological Sciences Number changed from 13.859 (1990U) Pharmacology and Biorelated Chemistry (1993U) Incorporated from 93.863 (1995B) Pharmacology, Physiology, and Biorelated Chemistry (1995B) Pharmacology, Physiology, and Biological Chemistry Research (1995U)
93.820	Scholarships for Students of Exceptional Financial Need Number changed from 13.820 (1990U) Deleted (2002B)	93.862	Genetics Research Number changed from 13.862 (1990U) Genetics and Developmental Biology Research (1995B) Genetics and Developmental Biology Research and Research Training (2000B) Consolidated into 93.859 (2003B) Deleted (2003)
93.821	Biophysics and Physiological Sciences Number changed from 13.821 (1990U) Incorporated from 93.863 (1995B) Cell Biology and Biophysics Research (1995B) Consolidated into 93.859 (2003B) Deleted (2003)	93.863	Cellular and Molecular Basis of Disease Research Number changed from 13.863 (1990U) Incorporated into 93.821, 93.859 (1995B)
93.822	Health Careers Opportunity Program Number changed from 13.822 (1990U) Split into 93.221 (1994U)	93.864	Population Research Number changed from 13.864 (1990U) Consolidated into 93.865 (2003B) Deleted (2003)
93.824	Area Health Education Centers Number changed from 13.824 (1990U) Basic/Core Area Health Education Centers (1999U)	93.865	Research for Mothers and Children Number changed from 13.865 (1990U) Center for Research for Mothers and Children (1998B) Child Health and Human Development Extramural Research (2004)
93.837	Heart and Vascular Diseases Research Number changed from 13.837 (1990U) Cardiovascular Diseases Research (2008)	93.866	Aging Research Number changed from 13.866 (1990U)
93.838	Lung Diseases Research Number changed from 13.838 (1990U)	93.867	Retinal and Choroidal Diseases Research Number changed from 13.867 (1990U) Incorporated from 93.868, 93.871 (1993B) Vision Research (1993B)
93.839	Blood Diseases and Resources Research Number changed from 13.839 (1990U)	93.868	Anterior Segment Diseases Research Number changed from 13.868 (1990U) Incorporated into 93.867 (1993B)
93.846	Arthritis, Musculoskeletal and Skin Diseases Research Number changed from 13.846 (1990U)	93.871	Strabismus, Amblyopia and Visual Processing Number changed from 13.871 (1990U) Incorporated into 93.867 (1993B)
93.847	Diabetes, Endocrinology and Metabolism Research Number changed from 13.847 (1990U) Diabetes, Digestive, and Kidney Diseases Extramural Research (2008)	93.879	Medical Library Assistance
93.848	Digestive Diseases and Nutrition Research Number changed from 13.848 (1990U) Deleted (2008)		
93.849	Kidney Diseases, Urology and Hematology Research		



	Number changed from 13.879 (1990U)		Consolidated into 93.895 (2001B)
93.880	Minority Access to Research Careers Number changed from 13.880 (1990U) Consolidated into 93.859 (2003B) Deleted (2003)	93.901	Communications Programs Aimed Toward the Prevention of Alcohol and Other Drug Problems Number changed from 13.901 (1990U) Communications Programs Aimed Toward the Prevention of Alcohol, Tobacco, and Other Drug Problems (1992U) Communications Programs for Demonstrating the Prevention of Alcohol, Tobacco, and Other Drug Problems (1995B) Communications Programs for Demonstrating the Prevention of Alcohol, and Drug Problems (1996B) Deleted (1999B)
93.884	Grants for Residency Training in General Internal Medicine and/or General Pediatrics Number changed from 13.884 (1990U) Consolidated from 93.379 (2001B) Grants for Residency Training in Primary Care Medicine and Dentistry (2004) Grants for Training in Primary Care Medicine and Dentistry (2005) Grants for Training in Primary Care Medicine and Dentistry (2006)	93.902	Model Comprehensive Treatment Programs for Critical Populations (1990U) Model Comprehensive Drug Abuse Treatment Programs for Critical Populations (1991B) Deleted (1999B)
93.886	Grants for Physician Assistant Training Program Number changed from 13.886 (1990U) Physician Assistant Training in Primary Care (1999U) Consolidated into 93.884 (2003B) Deleted (2003)	93.903	Model Criminal Justice Drug Abuse Treatment-Incarcerated Populations-Non-Incarcerated Populations-Treatment Prison (1990U) Model Criminal Justice Drug Abuse Treatment-Incarcerated Populations-Non-Incarcerated Populations-Juvenile Justice Populations (1991B) Model Criminal Justice Drug Abuse Treatment for Incarcerated Populations, Non-Incarcerated Populations and Juvenile Justice Populations (1992U) Deleted (1997B)
93.887	Project Grants for Non-Acute Care Intermediate and Long-Term Care Facilities for Patients with AIDS Number changed from 13.887 (1990U) Project Grants for Renovation or Construction of Non-Acute Health Care Facilities (1995U) Project Grants for Renovation or Construction of Non-Acute Health Care Facilities and Other Facilities (1999U) Health Care and Other Facilities (2002B)	93.904	Prevention and Primary Health Care Services to Persons with HIV Infection and/or AIDS in Community Health Facilities (1990U) Deleted (1991U)
93.888	Specially Selected Health Projects (2004)	93.905	Indian Health Service Research (1990U) Deleted (2001B)
93.889	National Bioterrorism Hospital Preparedness Program (2004)	93.906	Rural Health Medical Education Demonstration Projects (1990U) Deleted (2000B)
93.890	Healthy Communities Access Program (HCAP) Demonstration Authority (2004)	93.907	Grants for Nurse Anesthetist Faculty Fellowships (1990U) Deleted (2000B)
93.891	Alcohol Research Center Grants Number changed from 13.891 (1990U)	93.908	Nursing Education Loan Repayment Agreements for Registered Nurses Entering Employment at Eligible Health Facilities (1990U) Nursing Education Loan Repayment Program for Registered Nurses Entering Employment at Eligible Health Facilities (1993U) Nursing Education Loan Repayment Program (2005)
93.894	Resource and Manpower Development in the Environmental Health Services Number changed from 13.894 (1990U) Deleted (2006)	93.909	Subacute Care Demonstration Grants (1990U) Deleted (1992B)
93.895	Grants for Faculty Development in Family Medicine Number changed from 13.895 (1990U) Consolidated from 93.900 (2001B) Consolidated into 93.884 (2003B) Deleted (2003)	93.910	Community Coalition Projects to Support Health and Human Services Needs for Minority Males (1990U) Community Coalition Intervention Demonstration Projects to Support Health and Human Services Needs for Minority Males (1991B) Community Coalition Demonstration Projects to Support Health and Human Services Needs for Minority Males (1992B) Family and Community Violence Prevention Program (1995B)
93.896	Grants for Predoctoral Training in Family Medicine Number changed from 13.896 (1990U) Predoctoral Training in Primary Care (Family Medicine, General Internal Medicine/General Pediatrics) (2000B) Consolidated into 93.884 (2003B) Deleted (2003)	93.911	Cooperative Agreements for Drug Abuse Campus Treatment Demonstration Projects (1991B) Deleted (1995B)
93.897	Residency Training and Advanced Education in the General Practice of Dentistry Number changed from 13.897 (1990U) Residencies and Advanced Education in the Practice of General Dentistry (1999U) Consolidated into 93.884 (2003B) Deleted (2003)	93.912	Rural Health Services Outreach (1991B) Rural Outreach-Rural Network Development Program (1997B) Rural Health Outreach and Rural Network Development Program (2000B) Rural Health Care Services Outreach and Rural Health Network Development Program (2005)
93.900	Grants for Faculty Development in General Internal Medicine and/or General Pediatrics Number changed from 13.900 (1990U)	93.913	Grants to States for Operation of Offices of Rural Health (1991B) Split into 93.223 (1994U)
		93.914	HIV Emergency Relief Project Grants (1991B) Consolidated into 93.915 (1999B)

- Reinstated (2000B)
- 93.915 HIV Emergency Relief Formula Grants (1991B)  
Consolidated from 93.914 (1999B)  
Deleted (2000B)
- 93.916 Nurse Anesthetist Education Programs (1991B)  
Consolidated into 93.247 (2001B)
- 93.917 HIV Care Formula Grants (1991B)
- 93.918 Grants to Provide Outpatient Early Prevention Services with Respect to HIV Disease (1991B)
- 93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Control Programs (1991B)  
Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (1993B)
- 93.920 Facilities Construction Projects to Support Centers for Treatment and Research on Substance Abuse (1991B)  
Deleted (1992B)
- 93.921 ADAMHA Science Education Partnership Award (1991B)  
NIAAA, NIDA and NIMH Science Education Partnership Awards (1992U)  
Incorporated into 93.922 (1993B)
- 93.922 NIH Science Education Partnership Award (1991B)  
Incorporated from 93.921 (1993B)  
NCRR Science Education Award (1994B)  
Consolidated into 93.389 (1996B)
- 93.923 Disadvantaged Health Professions Faculty Loan Repayments (1991B)  
Disadvantaged Health Professions Faculty Loan Repayment and Fellowship Program (1993B)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2005)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2006)
- 93.924 HIV/AIDS Dental Reimbursements (1991B)  
Ryan White HIV/AIDS Dental Reimbursements (1996U)  
Ryan White HIV/AIDS Dental Reimbursements/Community Based Dental Partnership (2005)
- 93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (1991B)  
Consolidated from 93.139 (2001B)
- 93.926 Maternal and Child Health-Targeted Infant Mortality Initiative (1991U)  
Healthy Start Initiative (1992B)
- 93.927 Health Services to Residents of Public Housing (1991U)  
Residents of Public Housing Primary Care Program (1992U)  
Health Centers Grants for Residents of Public Housing (1997B)  
Incorporated into 93.224 (2006)
- 93.928 Special Projects of National Significance (1991U)
- 93.929 Center for Medical Rehabilitation Research (1991U)  
Consolidated into 93.865 (2003B)  
Deleted (2003)
- 93.930 Nursing Education Loan Demonstration (1991U)  
Deleted (1992B)
- 93.931 Demonstration Grants to States for Community Scholarship (1991U)  
Deleted (2000B)
- 93.932 Native Hawaiian Health Centers (1991U)  
Native Hawaiian Health Systems (1993B)
- 93.933 Research and Demonstration Projects for Indian Health (1991U)  
Demonstration Projects for Indian Health (2000B)
- 93.934 Fogarty International Research Collaboration Award (1992B)  
Consolidated into 93.989 (2006)
- 93.935 Project Grants for Renovation or Construction at Tertiary Perinatal Facilities (1992B)  
Deleted (1993U)
- 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (1992B)
- 93.937 Comprehensive Residential Drug Prevention and Treatment Projects for Substance-Using Women and Their Children (1992B)  
Deleted (1999B)
- 93.938 Cooperative Agreements to Support School Health Education to Prevent the Spread of Acquired Immunodeficiency Syndrome (1992U)  
Split from 93.118 (1992U)
- 93.939 HIV Prevention Activities-Non-Governmental Organization Based (1992U)  
Split from 93.118 (1992U)
- 93.940 HIV Prevention Activities-Health Department Based (1992U)  
Split from 93.118 (1992U)
- 93.941 HIV Demonstration, Research, Public and Professional Education Projects (1992U)  
Split from 93.118 (1992U)
- 93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (1992B)
- 93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (1992U)  
Split from 93.118 (1992U)
- 93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (1992U)  
Split from 93.283 (1992U)
- 93.945 Assistance Program for Chronic Disease Prevention and Control (1992U)  
Split from 93.283 (1992U)  
Deleted (1994U)  
Reinstated (2001B)  
Assistance Programs for Chronic Disease Prevention and Control (2006)
- 93.946 Cooperative Agreements to Support State-Based Pregnancy Risk Assessment Monitoring System (1992U)  
Split from 93.283 (1992U)  
Cooperative Agreements to Support State-Based Infant Health Initiative Programs (1993B)  
Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (2002B)
- 93.947 Tuberculosis Demonstration, Research, Public and Professional Education (1992U)  
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- 93.948 Pilot Clinical Pharmacology Training (1992B)  
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- 93.949 HIV/AIDS and Related Diseases Among Substance Abusers: Community-Based Outreach and Intervention Demonstration Program (1992B)  
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Community-Based Comprehensive HIV/STD/TB Outreach Services for High Risk Substance Abusers Demonstration Program (1996U)  
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- 93.950 Capacity Expansion Program (1992B)  
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93.951	Demonstration Grants to States with Respect to Alzheimer's Disease (1992U) Deleted (2000B)	Number changed from 13.969 (1990U) Grants for Geriatric Education Centers (1993B) Geriatric Education Centers (2002B)
93.952	Improving EMS/Trauma Care in Rural Areas (1992U) Deleted (1997B) Reinstated (2001U) Trauma Care Systems Planning and Development (2005)	93.970 Health Professions Recruitment Program for Indians Number changed from 13.970 (1990U)
93.953	Modification of Trauma Care Component of State EMS Plan (1992U) Deleted (1997B) Reinstated (2001U) Trauma Care Systems Planning and Development (2004) Consolidated into 93.952 (2005)	93.971 Health Professions Preparatory Scholarship Program for Indians Number changed from 13.971 (1990U)
93.954	Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (1992U)	93.972 Health Professions Scholarship Program Number changed from 13.972 (1990U)
93.955	Health and Safety Programs for Construction Work and Model Construction Safety and Health (1992U) Split from 93.263, 93.962 (1992U) Health and Safety Programs for Construction Work (1995B) Deleted (2005)	93.973 Special Loans for National Health Service Corps Members to Enter Private Practice Number changed from 13.973 (1990U) Deleted (1997B)
93.956	Centers for Agricultural Research, Education and Disease and Injury Prevention and Occupational Respiratory Disease and Musculoskeletal Disorders Evaluation and Rehabilitation (1992U) Split from 93.262, 93.283 (1992U) Agricultural Health and Safety Programs (1996B) Deleted (2005)	93.974 Family Planning-Service Delivery Improvement Research Grants Number changed from 13.974 (1990U)
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93.958	Block Grants for Community Mental Health Services (1993B)	93.978 Preventive Health Services-Sexually Transmitted Diseases Research, Demonstrations and Public Education Grants Number changed from 13.978 (1990U)
93.959	Block Grants for Prevention and Treatment of Substance Abuse (1993B)	93.982 Mental Health Disaster Assistance and Emergency Mental Health Number changed from 13.982 (1990U)
93.960	Special Minority Initiatives (1993B) Consolidated into 93.859 (2003B)	93.984 Grants for the Establishment of Departments of Family Medicine Number changed from 13.984 (1990U) Academic Administrative Units in Primary Care (1999U) Consolidated into 93.884 (2003B) Deleted (2003)
93.962	Health Administration Graduate Traineeships Number changed from 13.962 (1990U) Health Administration Traineeships and Special Projects Program (1993B) Health Administration Traineeships Program (2005)	93.987 Health Programs for Refugees Number changed from 13.987 (1990U) Consolidated into 93.576 (1997B)
93.963	Graduate Programs in Health Administration Number changed from 13.963 (1990U) Deleted (1993B)	93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems Number changed from 13.988 (1990U)
93.964	Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs Number changed from 13.964 (1990U) Traineeships for Students in Schools of Public Health (1990U) Public Health Traineeships (1993B)	93.989 Senior International Fellowships Number changed from 13.989 (1990U) International Research and Research Training (2004)
93.965	Coal Miners Respiratory Impairment Treatment Clinics and Services Number changed from 13.965 (1990U)	93.990 National Health Promotion Number changed from 13.990 (1990U)
93.969	Grants for the Training of Health Professions in Geriatrics	93.991 Preventive Health and Health Services Block Grant Number changed from 13.991 (1990U)
		93.992 Alcohol and Drug Abuse and Mental Health Services Block Grant Number changed from 13.992 (1990U) Deleted (1993B)
		93.993 Public Health Research Accreditation Project (2004)
		93.994 Maternal and Child Health Services Block Grant Number changed from 13.994 (1990U) Maternal and Child Health Services Block Grant to the States (1993B)
		93.995 Adolescent Family Life-Demonstration Projects Number changed from 13.995 (1990U)
		93.996 Bioterrorism Training and Curriculum Development Program (2003B)
		93.999 Test for Suppression Effects of Advanced Energy (2005)



97.074 Law Enforcement Terrorism Prevention Program (LETPP) (2004)

96.020 Special Benefits for Certain World War II Veterans (2000U)

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94.002 Retired Senior Volunteer Program  
Number changed from 72.002 (1995B)  
Retired and Senior Volunteer Program (1996B)

94.003 State Commission (1995B)  
State Commissions (1996B)

94.004 Learn and Serve America-School and Community Based Programs (1995B)

94.005 Learn and Serve America-Higher Education (1995B)

94.006 AmeriCorps (1995B)

94.007 Planning and Program Development Grants (1995B)

94.009 Training and Technical Assistance (1995B)

94.010 Literacy Corps  
Number changed from 72.015 (1995B)  
Deleted (1997B)

94.011 Foster Grandparent Program  
Number changed from 72.001 (1995B)

94.013 Volunteers in Service to America  
Number changed from 72.003 (1995B)

94.016 Senior Companion Program  
Number changed from 72.008 (1995B)

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95.001 High Intensity Drug Trafficking Program (1993U)  
Deleted (1994B)

95.002 Crime Prevention-Ounce of Prevention Grants (1996B)  
Deleted (1996U)

### **SOCIAL SECURITY ADMINISTRATION**

96.001 Social Security-Disability Insurance  
Number changed from 93.802 (1995B)

96.002 Social Security-Retirement Insurance  
Number changed from 93.803 (1995B)

96.003 Social Security-Special Benefits for Persons Aged 72 and Over  
Number changed from 93.804 (1995B)  
Deleted (2006)

96.004 Social Security-Survivors Insurance  
Number changed from 93.805 (1995B)

96.005 Special Benefits for Disabled Coal Miners  
Number changed from 93.806 (1995B)  
Deleted (2004)

96.006 Supplemental Security Income  
Number changed from 93.807 (1995B)

96.007 Social Security-Research and Demonstration  
Number changed from 93.812 (1995B)

96.008 Social Security-Benefits Planning, Assistance, and Outreach Program (2000U)  
Social Security - Work Incentives Planning and Assistance Program (2006)

96.009 Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (2002B)

### **DEPARTMENT OF HOMELAND SECURITY**

97.001 Special Projects (2003B)  
Pilot Demonstration or Earmarked Projects (2005)  
Deleted (2008)

97.002 Research Projects (2003B)

97.003 Agriculture Inspection (2003B)

97.004 State Domestic Preparedness Equipment Support Program (2003B)  
Transferred from 16.007 (2003B)  
Homeland Security Grant Program (2004)

97.005 State and Local Domestic Preparedness Training Program (2003B)  
Transferred from 16.008 (2003B)  
State and Local Homeland Security Training Program (2004)

97.006 State and Local Domestic Preparedness Exercise Support (2003B)  
Transferred from 16.009 (2003B)  
State and Local Homeland Security Exercise Support (2004)

97.007 State and Local Domestic Preparedness Technical Assistance (2003B)  
Transferred from 16.010 (2003B)  
Homeland Security Preparedness Technical Assistance (2004)  
Homeland Security Preparedness Technical Assistance Program (2006)

97.008 Urban Areas Security Initiative (2003B)  
Transferred from 16.011 (2003B)

97.009 Cuban and Haitian Entrant Resettlement Program (2003B)  
Transferred from 16.201 (2003B)  
Cuban/Haitian Entrant Program (2004)

97.010 Citizenship Education and Training (2003B)  
Transferred from 16.400 (2003B)

97.011 Boating Safety (2003B)  
Transferred from 20.001 (2003B)

97.012 Boating Safety Financial Assistance (2003B)  
Transferred from 20.005 (2003B)

97.013 State Access to the Oil Spill Liability Trust Fund (2003B)  
Transferred from 20.006 (2003B)

97.014 Bridge Alteration (2003B)  
Transferred from 20.007 (2003B)

97.015 Secret Service-Training Activities (2003B)  
Transferred from 21.100 (2003B)

97.016 Reimbursement for Firefighting on Federal Property (2003B)  
Transferred from 83.007 (2003B)

97.017 Pre-Disaster Mitigation (PDM) Competitive Grants (2004)

97.018 National Fire Academy Training Assistance (2003B)  
Transferred from 83.009 (2003B)

97.019 National Fire Academy Educational Program (2003B)  
Transferred from 83.010 (2003B)

97.020 Hazardous Materials Training Program (2003B)  
Transferred from 83.011 (2003B)

97.021 Hazardous Materials Assistance Program (2003B)  
Transferred from 83.012 (2003B)

97.022	Flood Insurance (2003B) Transferred from 83.100 (2003B)	Transferred from 83.554 (2003B)
97.023	Community Assistance Program-State Support Services Element (CAP-SSSE) (2003B) Transferred from 83.105 (2003B)	97.045 Cooperating Technical Partners (2003B) Transferred from 83.555 (2003B)
97.024	Emergency Food and Shelter National Board Program (2003B) Transferred from 83.523 (2003B)	97.046 Fire Management Assistance Grant (2003B) Transferred from 83.556 (2003B)
97.025	National Urban Search and Rescue (US&R) Response System (2003B) Transferred from 83.526 (2003B)	97.047 Pre-Disaster Mitigation (2003B) Transferred from 83.557 (2003B)
97.026	Emergency Management Institute-Training Assistance (2003B) Transferred from 83.527 (2003B)	97.048 Federal Assistance to Individuals and Households-Housing (2003B) Transferred from 83.558 (2003B)
97.027	Emergency Management Institute (EMI)-Independent Study Program (2003B) Transferred from 83.529 (2003B)	Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Zones (2006) Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (2007)
97.028	Emergency Management Institute (EMI)-Resident Educational Program (2003B) Transferred from 83.530 (2003B)	97.049 Federal Assistance to Individuals and Households-Disaster Housing Operations (2003B) Transferred from 83.559 (2003B)
97.029	Flood Mitigation Assistance (2003B) Transferred from 83.536 (2003B)	Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (2006)
97.030	Community Disaster Loans (2003B) Transferred from 83.537 (2003B)	97.050 Federal Assistance to Individuals and Households-Other Needs (2003B) Transferred from 83.560 (2003B)
97.031	Cora Brown Fund (2003B) Transferred from 83.538 (2003B)	Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (2006)
97.032	Crisis Counseling (2003B) Transferred from 83.539 (2003B)	97.051 State and Local All Hazards Emergency Operations Planning (2003B) Transferred from 83.562 (2003B)
97.033	Disaster Legal Services (2003B) Transferred from 83.540 (2003B)	Deleted (2005)
97.034	Disaster Unemployment Assistance (2003B) Transferred from 83.541 (2003B)	97.052 Emergency Operations Centers (2003B) Transferred from 83.563 (2003B)
97.035	Individual and Family Grants (2003B) Transferred from 83.543 (2003B) Deleted (2004)	97.053 Citizen Corps (2003B) Transferred from 83.564 (2003B)
97.036	Public Assistance Grants (2003B) Transferred from 83.544 (2003B) Disaster Grants - Public Assistance (Presidentially Declared Disasters) (2006)	97.054 Community Emergency Response Teams (2003B) Transferred from 83.565 (2003B) Incorporated into 97.053 (2006)
97.037	Disaster Housing Program (2003B) Transferred from 83.545 (2003B) Deleted (2004)	97.055 Interoperable Communications Equipment (2003B) Transferred from 83.566 (2003B)
97.038	First Responder Counter-Terrorism Training Assistance (2003B) Transferred from 83.547 (2003B) Deleted (2005)	97.056 Port Security Grants for Critical National Seaports (2003B) Port Security Grant Program for Critical National Seaports (2004) Port Security Grant Program (2005)
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97.040	Chemical Stockpile Emergency Preparedness Program (2003B) Transferred from 83.549 (2003B)	97.058 Operation Safe Commerce (OSC) (2003B) Operation Safe Commerce (OSC) Cooperative Agreement Program. (2004)
97.041	National Dam Safety Program (2003B) Transferred from 83.550 (2003B)	97.059 Truck Security Program (2003B)
97.042	Emergency Management Performance Grants (2003B) Transferred from 83.552 (2003B)	97.060 Port Security Research and Development Grant (2004)
97.043	State Fire Training Systems Grants (2003B) Transferred from 83.553 (2003B)	97.061 Centers for Homeland Security (2004)
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		97.066 Homeland Security Information Technology and Evaluation Program (2004)

- Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (2008)
- 97.067 Homeland Security Grant Program (2004)
- 97.068 Competitive Training Grants (2004)
- 97.069 Aviation Research Grants (2004)
- 97.070 Map Modernization Management Support (2004)
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- 97.072 National Explosives Detection Canine Team Program (2004)
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Buffer Zone Protection Program (BZPP) (2007)
- 97.079 Public Alert Radios for Schools (2005)
- 97.080 97.080 Information Analysis Infrastructure Protection (IAIP) Pilot Projects (2005)
- 97.081 Law Enforcement Training and Technical Assistance (2005)
- 97.082 Earthquake Consortium (2005)
- 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (2005)
- 97.084 Hurricane Katrina Case Management Initiative Program (2005)
- 97.085 9-11 Heros Stamp Program (2005)
- 97.086 Homeland Security Outreach, Education, and Technical Assistance (2005)
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- 97.098 Disaster Donations Management Program (2006)
- 97.099 Residential Fire Safety & Fire Sprinkler Initiatives (2007)
- 97.100 Airport Checked Baggage Screening Program (2007)
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- 97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (2007)
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- 97.106 Securing the Cities (2007)
- 97.107 National Incident Management System (NIMS) (2007)
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- 98.003 Ocean Freight Reimbursement Program (OFR) (2004)
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Institutional Capacity Building (ICB) (2005)
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